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# **AML Survey – Completion Guide: Mutual Fund Administrators**

Document version: 1.3

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**Revision History:**

<b>Effective Date</b>	<b>Version Number</b>	<b>Revision Description</b>
28 September 2022	1.0	Initial release of document
3 October 2022	1.1	Update to definitions
31 May 2023	1.2	Updates to definitions, descriptions, explanations, and questions
31 May 2024	1.3	Updates to definitions, descriptions, explanations, and questions

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## 1 INTRODUCTION

The Cayman Islands Monetary Authority (the “Authority”) periodically undertakes sectoral ML/TF/PF and Sanctions risk assessments as part of its risk-based approach to AML/CFT supervision of regulated financial service providers (“FSPs”). In conducting sectoral ML/TF risk assessments and other related research, the Authority uses a software called STRIX to distribute the AML Survey to FSPs and further collect, analyse, model, and score ML/TF/PF and Sanctions risk data.

FSPs are required to provide this data by completing the AML Survey Form and submit it through the Authority’s web-based e-mail survey software, to the Anti-Money Laundering Division (the “AML/D”). This AML Survey Form is issued in accordance with section 29(2)(c) of the Mutual Funds Act (2021 Revision).

This Guide provides support to FSPs, which carry out mutual fund administration business, with accessing, completing and submitting the AML Survey – Mutual Fund Administrator Form.

## 2 FORM INFORMATION

The AML Survey – Mutual Fund Administrator Form is to be completed by each FSP holding a Mutual Fund Administration licence, who are commonly referred to as “Entity” for purposes of this form.

The AML Survey – Mutual Fund Administrator Form is made up of two (2) sections for collecting AML risk data; the AML Inherent Risks and AML Controls.

## 3 ACCESSING AND SUBMITTING THE AML SURVEY

### 3.1 ACCESS TO THE AML SURVEY


Entities will receive an invitation to the web-based survey by email using the current email contact details of the Entity which the Authority has on record. Each member of the Entity who receives an invitation email can activate their own account. The invitation email is specific to the recipient email address and cannot be shared or forwarded. Clicking on the link provided in the invitation email will take the user to the account creation webpage. On successful account activation, the user will receive a confirmation email.

Login then takes place via clicking on the ‘Return Home’ button available immediately after activation, or via the link provided in the confirmation email. Login is only possible using a two-factor verification code which will be sent by email to the individual. If an Entity has multiple points of contact on file, they will all have joint access to the same survey.

The Authority is using the following entity contacts to distribute the AML Survey: Anti-Money Laundering Compliance Officer (“AMLCO”), Money Laundering Reporting Officer (“MLRO”), Registered Office, and any other additional contacts upon request from the Entity. If an Entity is unsure of what their contact details are, they can contact the Authority at [AMLSurveys@cima.ky](mailto:AMLSurveys@cima.ky).

To access the AML Survey:

1. When the AML Survey is distributed from STRIX, the recipients will receive an invitation email from “Cayman Islands Monetary Authority” with the address [AMLDoNotReply@cima.ky](mailto:AMLDoNotReply@cima.ky). The email will request the recipient to ‘Confirm Account’. The recipient should click on the ‘Confirm Account’ button, which will redirect the recipient to the activation page using their default browser. A modern browser (e.g. MS Edge, Chrome, Safari) should be used for security purposes.



**Cayman Islands Monetary Authority**

In accordance with our duties under section 6(b)(ii) of the Monetary Authority Act, the Authority requires the entity to complete the following AML/CFT/CFP and Sanctions survey.

Survey Name: **Securities AML/CFT Survey**

Submission Deadline: **15 September 2022, 23:59 (UTC-05:00) Bogota, Lima, Quito, Rio Branco**

Entity Name: Company ABC

Entity Unique ID: BSD1234

The **Username** for this account is:

The following link provides steps to **activate your account**:

Confirm Account

If the above button is not clickable, try clicking the URL or copying and pasting the URL below into the address bar of your web browser.

<https://amlidentity.cimaconnect.com/UserActivation/SetPassword?SecurityCode=YJa0JBLI86VZCRbBxm3fq3fSoAMoPYyQ6XKfqt0MoYGkSpT5b5bDc%2B2cgghPQ8d%2BUVVhbZktQht%2F4d2cbioYpsg%2BJke0tE3GtLwMObYsoP%2Bk8rPURRSvrPSQt6JA5hgsaBaC6uvcZV4KB266HiFgh4FhAtaTNSa3IE3aiA%3D>

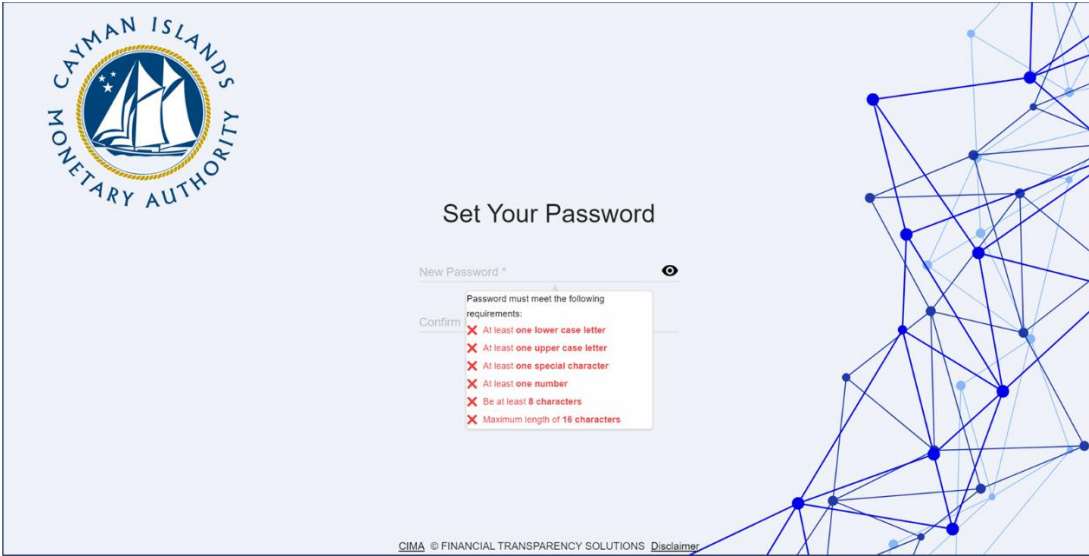
For any questions concerning the survey or the current reporting cycle, please contact: [AMLSurvey@cima.ky](mailto:AMLSurvey@cima.ky)

Please do not reply to this email, it is automatically generated.

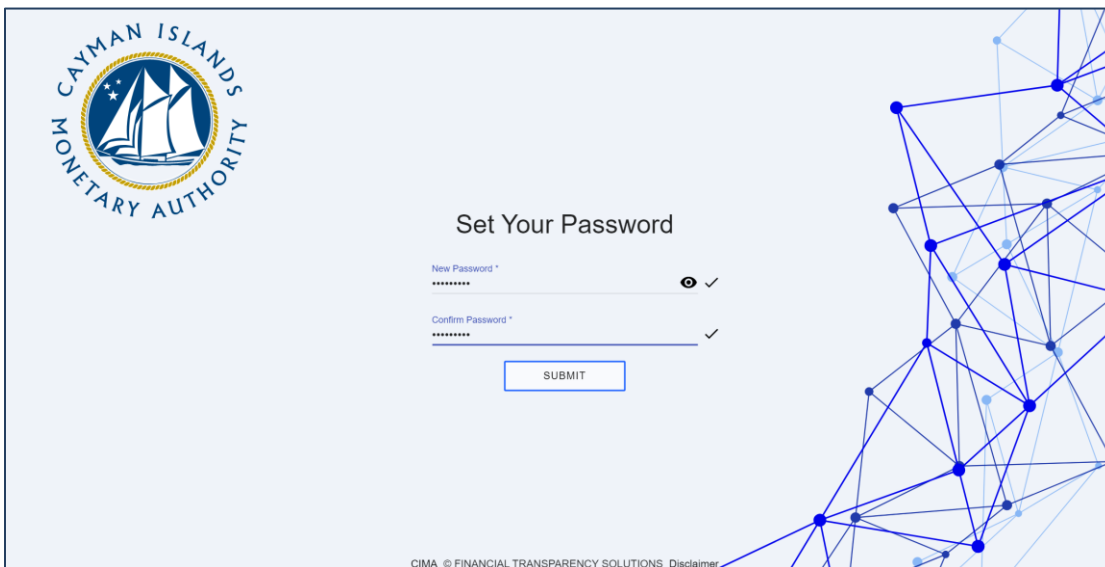
Disclaimer:  
This message contains **confidential** information and is intended only for the addressee. If you are not the addressee you should not disseminate, distribute or copy this e-mail. If you have received this e-mail by mistake, delete this e-mail from your system.

Strix™ AML is part of the Financial Transparency Solutions product suite. [www.ft-solutions.com](http://www.ft-solutions.com)

2. The recipient will then be asked to create a password using uppercase, lowercase, number, and a special character. The password is required to be between 8 and 16 characters long.



3. The recipient will be asked to re-enter their password.



4. Once the recipient’s password has been re-entered, and matches, they can submit and finish the activation process. An email “Notification of Successful Activation” will be sent providing a ‘Go to Portal’ link which can be used for all future access.



## Cayman Islands Monetary Authority

The **Username** for this account is:

**Your account has been successfully activated.**

The following link provides access to your account:

[Go to Portal](#)

If the above button is not clickable, try clicking the URL or copying and pasting the URL below into the address bar of your web browser.

<https://amlsurvey.cimaconnect.com>

If you did not initiate this request, please contact us immediately at: [AMLSurvey@cima.ky](mailto:AMLSurvey@cima.ky)

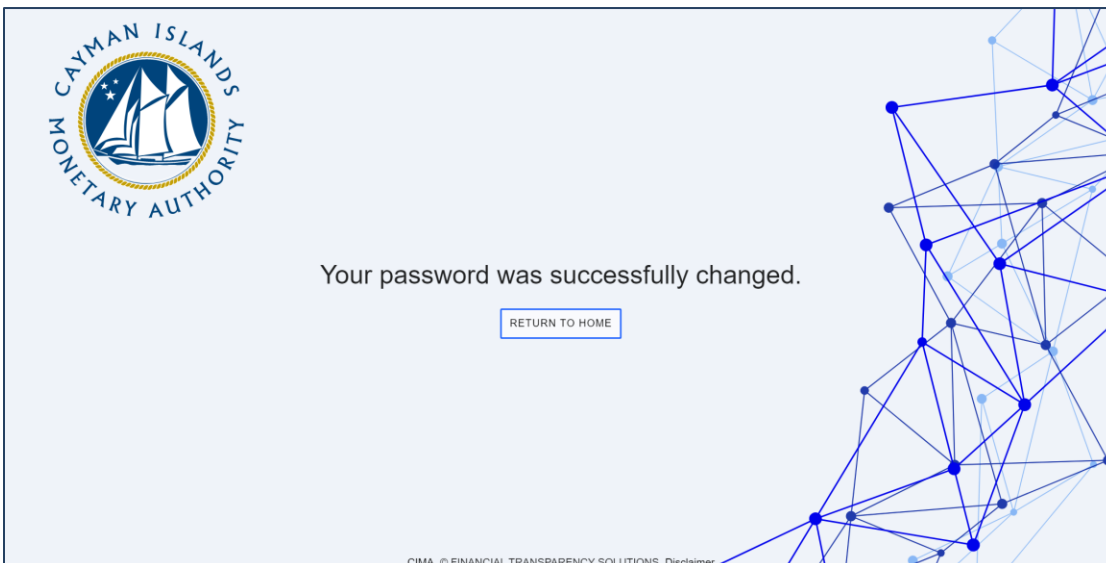
Please do not reply to this email, it is automatically generated.

**Disclaimer:**

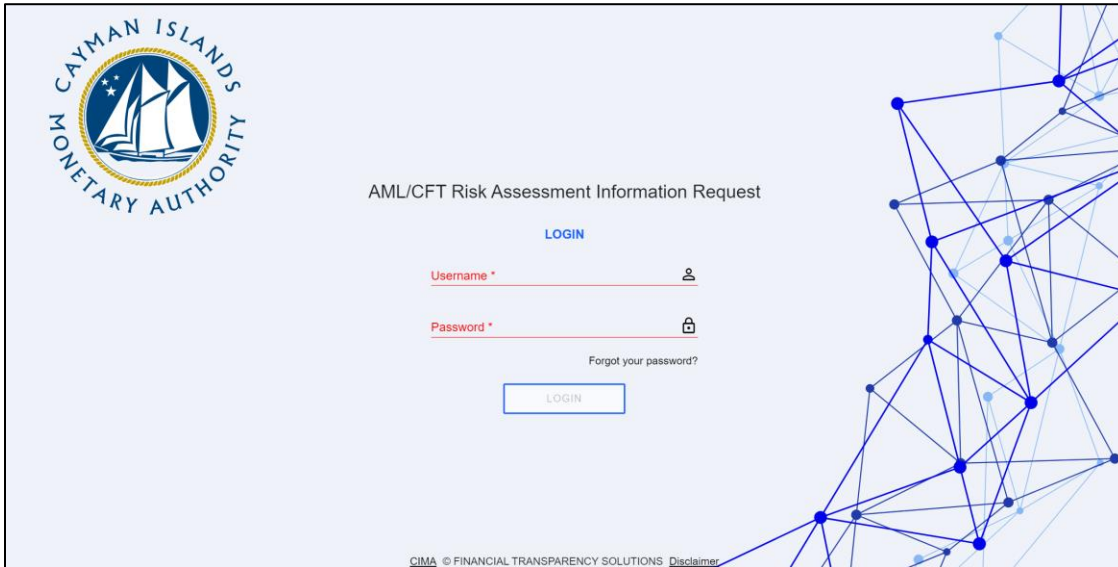
This message contains **confidential** information and is intended only for the addressee. If you are not the addressee you should not disseminate, distribute or copy this e-mail. If you have received this e-mail by mistake, delete this e-mail from your system.

Strix™ AML is part of the Financial Transparency Solutions product suite, [www.ft-solutions.com](http://www.ft-solutions.com)

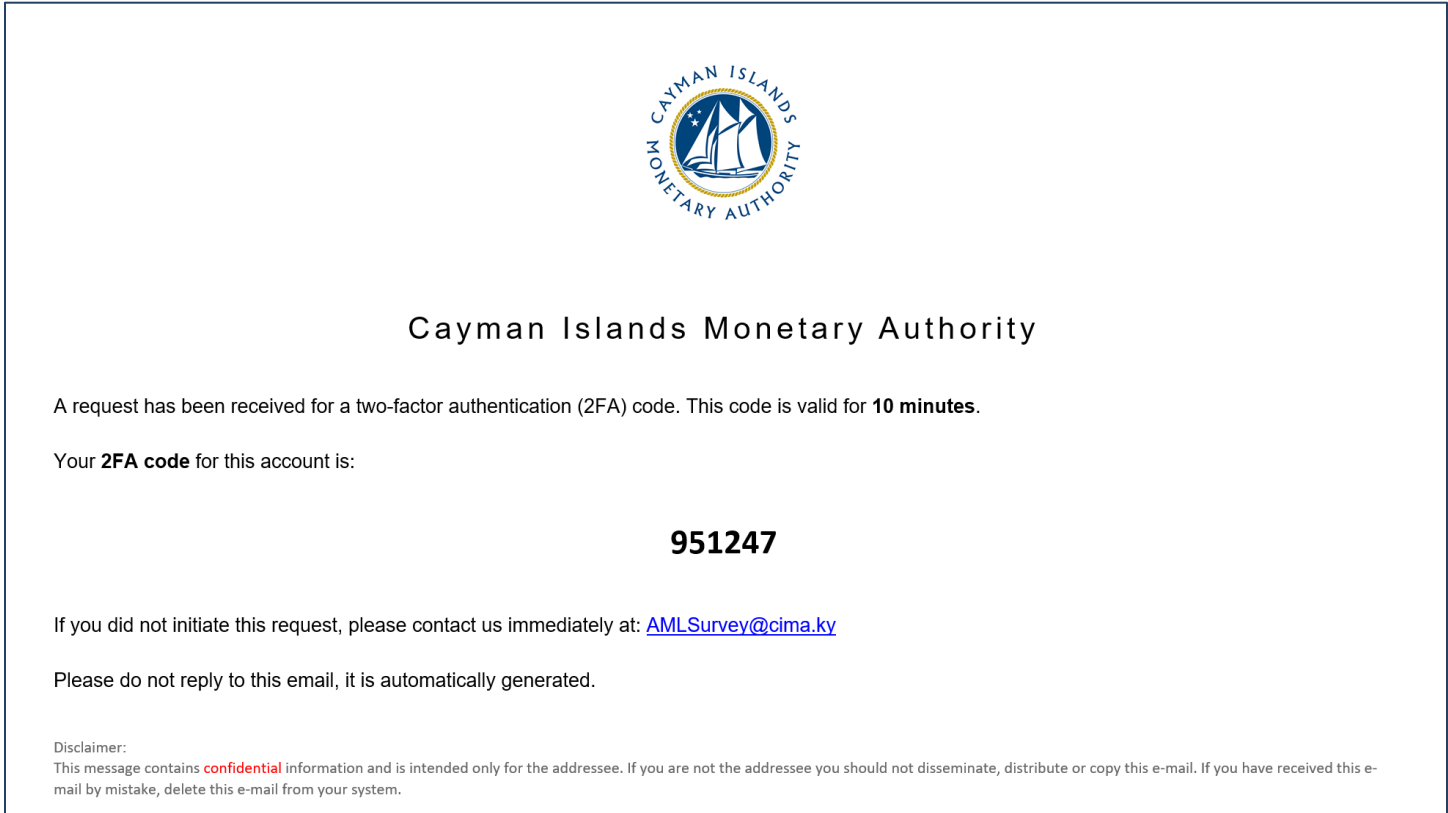
5. The user should then click on the 'Return To Home' button.



- 6. The recipient should then enter their username, which is their email address where they received the AML Survey invite, and the password they just created.

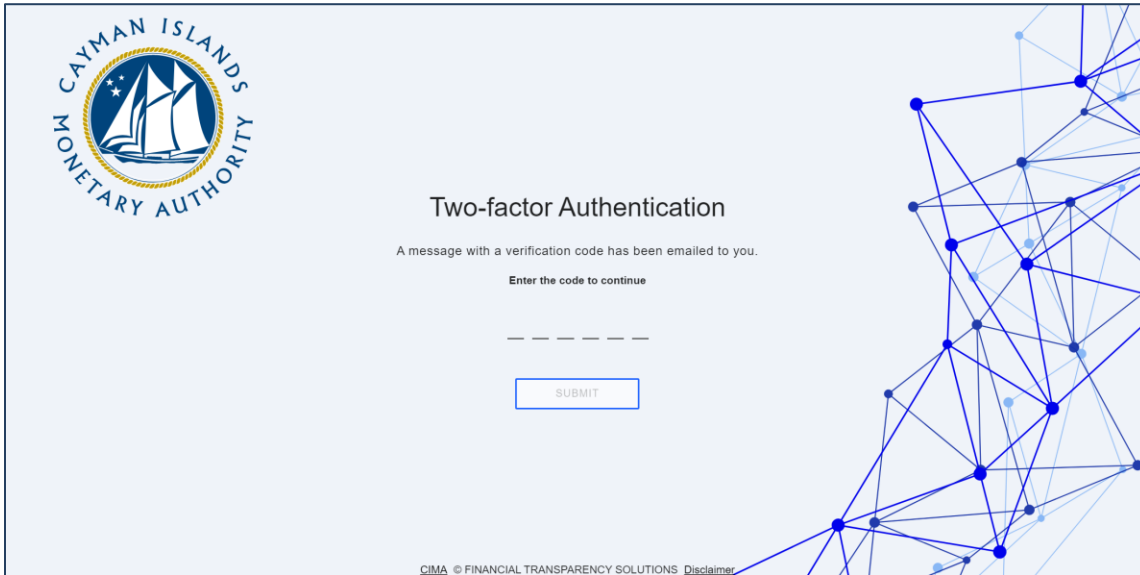


- 7. A six digit two-factor authentication code will be sent to the survey recipient’s email

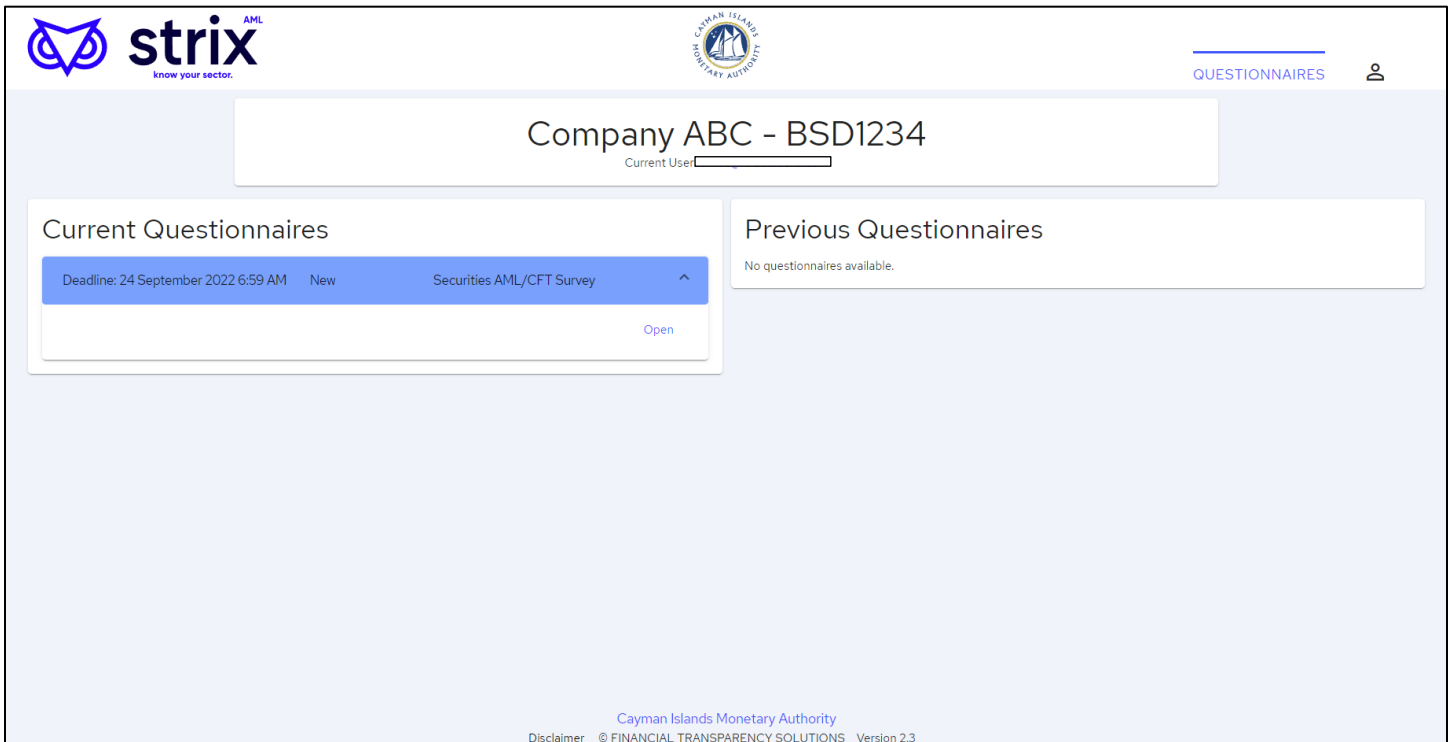




- 8. The recipient should enter the six (6) digit two-factor authentication code on the webpage where prompted.



- 9. Click 'Open' to access the AML Survey request. If a survey recipient is a contact for two (2) or more FSPs, or where an Entity has two or more licences or registrations, related surveys will be listed here for the recipient to view and access.



## 3.2 COMPLETING THE AML SURVEY FORM

1. Click the Current Questionnaire to access the AML Survey Form and start populating the form with the required data.
  - a. Completion guidance for the AML Survey is available at section 5 of this Guide below.
  - b. The recipient(s) can open, update, and close the AML Survey as many times as needed prior to the survey due date so long as the recipient selects 'Save'.
  - c. Once the AML Survey has been completed it can either be 'Saved' and 'Exported' for internal review or 'Saved' and 'Submitted' to the Authority.
  - d. Upon submission, you will receive a confirmation email from Cayman Islands Monetary Authority stating, 'Notification of Successful Submission'. The Entity's name and the survey name will be listed for verification, useful for instances where users are submitting for more than one entity.
  - e. Once the AML Survey is 'Submitted' an Excel and PDF copy of the completed survey will be available under 'Current Questionnaire'.
  - f. Upon submission to the Authority a review of the AML Survey will be conducted by a member of the AMLD. If information is missing or needs clarification the Authority will 'Reject' the AML Survey through an email notification detailing the specifics. The recipient will then be required to make the necessary corrections or provide the additional detail to the Authority as indicated in the email.
  - g. Partial or incomplete submissions will only be permitted by the Authority under approved circumstances. If an Entity submits an 'Incomplete' AML Survey, they are required to submit a Request for Incomplete Submission to the Authority. Incomplete Submission Requests are to be submitted to [AMLSurveys@cima.ky](mailto:AMLSurveys@cima.ky) detailing the following:
    - i. Licence or Registration Name
    - ii. Licenced or Registration Number
    - iii. Date of Licence or Registration
    - iv. List of current directors
    - v. Number of Clients
    - vi. Reason for requesting to make an Incomplete Submission.
2. If a user receives or has access to more than one survey, they will not see the additional survey(s) in the 'Current Surveys' section of the web page. At the top of the page, where it shows the Entity name, there should be a bold blue number indicating the number of Entity accounts the user has access to. Once the user clicks the number, a drop-down list will appear displaying the additional Entity names.
3. The STRIX portal allows you to copy two-column lists from an Excel document and paste the data directly into the survey. Given that there are several questions in the survey that require country breakdown details, the ability to bulk paste into STRIX will ease the burden of inputting individual responses. To upload bulk entries for those country breakdown questions, please do the following:

- a. *Open an Excel spreadsheet and using 2 columns – enter the question responses (number or value) in the first column and the country details (ISO code or name) in the second column.*
- b. *Highlight and copy the information from the 2 columns in Excel, select the upload button next to the relevant question in STRIX and then paste the data into the pop-up window.*
- c. *Select 'Add' to upload the desired data into the survey form, or 'Clear' to remove the data.*

*Note: Individual items may also be removed from the list by clicking on the delete button, next to the respective country, on the list*

## 4 OTHER USEFUL INFORMATION

### 4.1 USER ACCOUNT LOCKOUTS

In the event the AML Survey recipient has exceeded the number of permitted failed login attempts, their account will be temporarily locked. An email will be sent to the user identifying that they won't be able to log in. There are three (3) stages of lock out: 1) locked out for five (5) minutes; locked out for ten (10) minutes; and, if the user persists, locked out permanently.

To avoid being locked out, if the user fails to remember their password, they should update their password on the login page.

If the user is permanently locked out, they should contact [AMLSurveys@cima.ky](mailto:AMLSurveys@cima.ky) to request having their account re-activated.

### 4.2 INTERNET BROWSER

Users should be aware that the AML Survey will not open using the legacy Windows Explorer browser or with dated Windows operating systems for security purposes. If the user's browser is defaulted to Explorer the link should be copied and opened in Chrome, Edge, Safari, or other modern browser.

### 4.3 DATA AND SECURITY

The AML Survey, the auto-generated communication from STRIX, and the data collected from FSPs in the AML Survey are all maintained on-premise on the Authority's server systems. The Authority continues to use the same firewalls and data protection protocols that are deployed for the REEFs portal and other applications.

### 4.4 APPLICABLE FEES

There are no fees associated with this Form.

## 5 AML SURVEY GUIDANCE

Below are descriptions and explanations to the risk factors and controls factors you are required to provide information about. The risk factors are used to assess Inherent ML/TF Risk. Control factors are used to assess the AML/CFT/CPF, and Sanctions controls the entity has in place.

### AML Inherent Risk Factors Descriptions

Terms/Abbreviations	Definition/Meaning
AMLRs	Anti-Money Laundering Regulations, (2023 Revision), as amended.
AMLCO	Anti-Money Laundering Compliance Officer
BO	<p>Beneficial Owner (or UBO) (as defined in Regulation 2 of the Anti-Money Laundering Regulations (as revised)) means the natural person who ultimately owns or controls the customer or on whose behalf a transaction or activity is being conducted and includes but is not restricted to –</p> <p>(a) in the case of a legal person other than a company whose securities are listed on a recognized stock exchange, a natural person who ultimately owns or controls, whether through direct or indirect ownership or control, 10% or more of the shares or voting rights in the legal person.</p> <p>(b) in the case of any legal person, a natural person who otherwise exercises ultimate effective control over the management of the legal person.</p> <p>(c) in the case of a legal arrangement, the trustee or other person who exercises ultimate effective control over the legal arrangement.</p>
Client / Customer	<p>A person who is in a business relationship, or is carrying out a one-off transaction, with a person who is carrying out relevant financial business in the Islands.</p> <p>This includes both Natural Persons and Legal Persons and Arrangement Clients.</p> <p>Generally, for a Mutual Fund Administrator licence holder the client is a Fund.</p>
Corporate Entity	A corporate body constituted under the Laws of the Islands or any other jurisdiction, which is formed specifically to perform activities, such as running an enterprise or holding assets.

Currency used for the Survey	<b>United States Dollars (US\$).</b> All other currencies must be converted to US\$ unless otherwise stated.
Dealers in Precious Metals and Stones	Legal and natural persons who produce precious metals or precious stones at mining operations, or intermediate buyers and brokers, or precious stone cutters and polishers, or precious metal refiners, or jewellery manufacturers who use precious metals and precious stones, or retail sellers to the public, or buyers and sellers in the secondary and scrap markets.
DMLRO	Deputy Money Laundering Reporting Officer
Eligible Introdurers	A person that “introduces” applicants for business to a FSP whereby the FSP may place reliance on the introducer to verify the identity of the applicant for business, or beneficial owners, in accordance with Part IV of the AMLRs. The Eligible Introducer must satisfy the conditions set out in Regulation 25 of the ALMRs i.e., a person who falls within one of the categories under regulation 22(d) and who provides a written assurance pursuant to regulation 24(2)(b) that they verified the identity of an applicant for business, or beneficial owner, in accordance with Part IV of the AMLRs.
Entity	For the purposes of this form/survey, an ‘entity’ is the holder of the Mutual Fund Administration licence that is responding to this survey.
F2F	The face-to-face engagement with a client directly, with the natural person physically present. The engagement will not be via phone, email, online, etc.
Foundation	This definition refers to Cayman Islands foundation companies that are governed by the Companies Act (Revised), except to the extent that it is modified by the Foundation company Act, 2017 or those foundation companies established in other jurisdictions.
FRA	Financial Reporting Authority.
Gov / Pub Sector	Business conducted in or with Government or Public Sector.
High Value Dealers	Any business or sole trader that accepts or makes high value cash payments of US\$15,000 or more (or equivalent in any currency) in exchange for goods.

HNWI	<p>A high net worth individuals (HNWI) is:</p> <ul style="list-style-type: none"> <li>(i) an individual whose net worth is at least CI\$800,000 (approx. US\$1,000,000) or its equivalent in any other currency; or</li> <li>(ii) any person that has total assets of not less than CI\$4,000,000 (approx. US\$5,000,000) or its equivalent in any other currency.</li> </ul> <p>HNWIS are <u>NOT</u> Ultra HNWI and should not be double counted.</p>
Import and Export Business	<p>A company that facilitates trades of goods and commodities between domestic and foreign companies. In other words, it's a company that buys goods internationally and ships them in for domestic purchases and/or exports goods and services produced in the home country for sale to other markets.</p>
Individual	<p>A Natural Person that is not a Legal Person or Legal Arrangement.</p>
Investor	<p>Investor", in respect of a mutual fund, means the legal holder of record or legal holder of a bearer instrument representing an equity interest in the mutual fund but does not include a promoter or operator as defined in the Mutual Funds Act (as amended) ".</p>
Legal Person	<p>A company or other entity created by operation of law with separate legal personality.</p>
Legal Arrangement	<p>A trust or partnership, or other entity created between parties which lacks separate legal personality.</p>
MLRO	<p>Money Laundering Reporting Officer</p>
ML/TF/PF	<p>Money Laundering/Terrorism Financing/Proliferation Financing.</p>
Mutual Fund	<p>A company, unit trust or partnership that issues equity interests, the purpose or effect of which is the pooling of investor funds with the aim of spreading investment risks and enabling investors in the mutual fund to receive profits or gains from the acquisition, holding, management or disposal of investments but does not include a person licensed under the Banks and Trust Companies Act (2021 Revision) or the Insurance Act, 2010, or a person registered under the Building Societies Act (2020 Revision) or the Friendly Societies Act (1998 Revision).</p>

Natural Person	A human being, as distinguished from a company or other entity created by operation of law with separate legal personality.
Nominee Director	A natural or legal person who takes on the role of company director on the behalf of another.
Nominee Shareholder	A nominee shareholder is someone who acts as a legal, unrelated, third party, who is officially registered as the holder of shares on behalf of the actual shareholder.
Non-face-to-face	Or Non-F2F, where a customer can open an account and transact with a regulated financial service provider (FSP) without being physically present for identification purposes, at the physical premises/office of the FSP.
NPO	A legal person or arrangement that primarily engages in raising or disbursing funds for purposes such as charitable religious, cultural, educational, social or fraternal purposes, or for the carrying out of other types of “good works”.
OSP	Outsourced Service Provider (OSP) is a third party, either an affiliated entity within a group or an entity that is external to entity, that provides functions or activities on a continuing basis to a FSP, that would normally be undertaken by the regulated entity, now or in the future.  Outsourcing does not include purchasing contracts.
PEP	“Politically Exposed Person” includes — <ul style="list-style-type: none"> <li>a) a person who is or has been entrusted with prominent public functions by a foreign country, for example a Head of State or of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation, and important political party official.</li> <li>b) a person who is or has been entrusted domestically with prominent public functions, for example a Head of State or of government, senior politician, senior government, judicial or military official, senior executives of a state-owned corporation and important political party official; an</li> <li>c) a person who is or has been entrusted with a prominent function by an international organization like a member of senior management, such as a director, a deputy</li> </ul>

	<p>director and a member of the board or equivalent functions.</p> <p>Politically exposed persons also include:</p> <ul style="list-style-type: none"> <li>(i) Family members of a PEP who are related either directly (consanguinity) or through marriage or similar (civil) forms of partnership.</li> <li>(ii) Close associates to PEPs: individuals who are closely connected to PEP, either socially or professionally.</li> </ul>
Reporting Period	January 1 through December 31, 2023, and future calendar years thereafter.
Source of Funds	<p>The origin of the assets that will be used to form and maintain the business relationship.</p> <p>A client can have multiple sources of funds which should be established and recorded separately. However, multiple sources of funds that were used when forming the business relationship and monitoring the ongoing activity should be counted together.</p> <p>Take this into account when answering questions relating to the 'Nature of Business – Source of Funding.</p>
Special Economic Zone Business	Any type of business authorised to be carried on in a special economic zone pursuant to any Law in force in the Islands.
Targeted Financial Sanctions (TFS)	Means both asset freezing and restrictions and directions to prevent funds or other assets from being made available, directly, or indirectly, to or for the benefit of persons and entities designated by the Office of Financial Sanctions Implementation, HM Treasury ("OFSI").
TCSP	Includes those entities conducting Trust, Company Manager, and Corporate Service Provider business.
Transaction	<p>For the purposes of this survey, a transaction is the movement of assets, whether it be between the client and the entity, the client account and a third party, or the entity on behalf of the client.</p> <p>Fees paid from an external source, other than the client account held by the entity, should be reported as a transaction.</p> <p>Fees paid from client accounts, held by the entity, along with payments made to governments for taxes associated to securities trades should be excluded from the definition.</p>



Trust	A legal arrangement which distinguishes between the legal and beneficial ownership of property. Legal ownership is transferred to a trustee who manages and administers the property for the benefit of the beneficiaries or for the furtherance of certain purposes.	
Ultra HNWI	Ultra-High Net Worth Individuals, also referred to as UHNWI, are all HNWIs whose net worth is greater than or equal to US\$30,000,000.	
Value of Assets Under Management	The total market value of assets or investments managed on behalf of a client or clients. The total amount can represent one client's assets under management (AUM) or the entire investment portfolio.	
Virtual Assets Products and Services	Includes those services identified within the Virtual Asset (Service Providers) Act (2022 Revision), or as amended, as well as products which include any digital representation of value that can be digitally traded, transferred or used for payment.	
Timeframe	Assets Under Management	Value of AUM <b>as at the end of the reporting period.</b>
Timeframe	Number of Clients	Number of clients <b>as at the end of the reporting period.</b>
Timeframe	Number of Transactions	Number of Transactions conducted for the client <b>during the reporting period.</b>

### AML Inherent Risk Questions:

Ref. No.	Question No.	Question	Description/Explanation
1.1.1	1	Total Clients / Customers.	Enter the total number of clients the entity has at the end of the reporting period.  Total clients consist of natural persons and legal persons and arrangements.
1.1.2	2	Total Transactions for the reporting period.	Enter the total number of all transactions conducted for clients during the reporting period.

1.1.3	3	Total Value of Assets Under Management	Enter the value of assets under management for clients, at the end of the reporting period.
1.1.4	4	Clients / Customers that are Legal Persons, broken down by country of incorporation of the client.	<p>Enter the total number of clients that are legal persons subdivided by their country of incorporation as at the end of the reporting period.</p> <p>Examples include, but are not limited to, Limited Liability Companies, Non-Resident Companies, and Foundation companies.</p>
1.1.5	5	Client / Customer who are Legal Arrangements, broken down by the country of establishment of the client.	<p>Enter the total number of clients that are Legal Arrangements, broken down by the country of establishment of the client, as at the end of the reporting period.</p> <p>If an entity does not have such clients, a '0' value should be used.</p> <p>Example of legal arrangement include but are not limited to Trusts and Partnerships.</p>
1.1.6	6	Total number of PEPs.	<p>Enter the total number of PEPs, by nationality of the PEP, as at the end of the reporting period.</p> <p>Total PEPs should include, but may not be limited to, those who are clients that are Natural Persons, BOs, Directors, Investors, Promoters, or hold any other form of control, including signatories.</p>
1.1.7	7	Total Number of Investors of clients.	Enter the total number of Investors of all clients.
1.1.8	8	Total number of High Risk Clients.	Enter the total number of clients / customers that are high risk, at the end of the reporting period.
1.1.9	9	Total number of Non-Compliant Accounts at the end of the reporting period.	Enter the number of customer accounts that remain non-compliant with required identification and verification procedures.
1.1.10	10	Total value of Clients / Funds, by geographic location of the assets, at the end of the reporting period.	Enter the total value of Clients / Funds, by the geographic location where the assets of the

			Funds are custodied, at the end of the reporting period.
1.2.1	11	Does the entity have any clients whose Investors are Individuals / Natural Persons?	Please answer 'Yes' or 'No'.
1.2.2	12	Number of Individual / Natural Person Investors in all clients.	Enter the number of Individual / Natural Person Investors of all clients.
1.2.3	13	Number of Individual / Natural Person Investors, in clients, who are PEPs.	Enter the number of Individual / Natural Person Investors, in clients, who are PEPs, broken down by the nationality of the PEP.
1.2.4	14	Number of Individual / Natural Person Investors, in clients, who are HNWIs.	Enter the number of Individual / Natural Person Investors, in clients, who are HNWIs.  <u>Do not</u> include those individuals who are Ultra-HNWIs.
1.2.5	15	Number of Individual / Natural Person Investors, in clients, who are Ultra HNWIs.	Enter the number of Individual / Investors, in clients, who are Ultra-HNWIs.
1.2.6	16	Does the entity have any clients whose Investors are Legal Persons?	Please answer 'Yes' or 'No'.
1.2.7	17	Number Investors, in clients, who are Registered Companies.	Enter the number of Investors, in clients, who are Registered Companies.
1.2.8	18	Number Investors, in clients, who are Foundations.	Enter the number of Investors, in clients, who are Foundations.
1.2.9	19	Number of Investors, in clients, who are Gov / State Owned Entities (PEPs).	Enter the number of investors, in clients, who are Gov / State-owned entities, broken down by the government jurisdiction.
1.2.10	20	Number of Investors, in clients, who are NPOs.	Enter the number of investors, in clients, who are NPOs, broken down by the country of registration.
1.2.11	21	Does the entity have any clients whose Investors are Legal Arrangements?	Please answer 'Yes' or 'No'.

1.2.12	22	Number Investors, in clients, who are Trusts.	Enter the number of investors, of clients, who are Trusts.
1.2.13	23	Number of Investors, in clients, who are Partnerships.	Enter the number of investors, of clients, who are Partnerships.
1.3.1	24	Total number of BOs of clients who are Legal Persons and Arrangements.	<p>Enter the total number of BOs of all clients who are Legal Persons or Arrangements.</p> <p>This category is specific to all Legal persons and Arrangements. Examples include, but are not limited to, the total number of BOs of Corporate entities, Settlers of Trusts and General Partners of limited Partnerships.</p> <p>A BO should not be counted more than once regardless of the number of business relationships they have with the entity.</p>
1.3.2	25	Number of BOs of clients who are Legal Persons.	Enter the number of BOs of legal person clients, broken down by the nationality of the BO.
1.3.3	26	Number of settlors of clients who are Legal Arrangements.	<p>Enter the number of settlors of legal arrangement clients, broken down by the nationality of the settlor.</p> <p>This category is specific to clients who are legal arrangements and are Trusts.</p>
1.3.4	27	Number of Partners of clients who are Legal Arrangements.	Enter the number of partners of legal arrangement clients, broken down by the nationality of the partner.
1.3.5	28	Number of Clients that have BOs who are HNWI's.	<p>Enter the total number of clients that have BOs who are HNWI's.</p> <p>HNWI's is specific to those persons whose net worth is at least CI\$800,000 (approx. US\$1,000,000) and/or those that have assets valued at least CI\$4,000,000 (approx. US\$5,000,000)</p> <p><u>Do Not include</u> clients/customers with net worth equal to or greater than US\$30,000,000</p>

			If the entity does not have any clients that fit this category record a '0'
1.3.6	29	Number of Clients that have BOs who are Ultra HNWI's.	Enter the total number of clients who have BOs who are Ultra HNWI's.  If the entity does not have any clients that fit this category record a '0'.
1.3.7	30	Number of BOs of clients who are Legal Persons or Arrangements which are also PEPs.	Enter the total number of clients who are Legal Person and Legal Arrangements that have BOs who are PEPs, as at the end of the reporting period.
1.3.8	31	Number of clients that have Nominees acting on behalf of a beneficial owner, or a Nominee within the ownership structure, broken down by nationality of the beneficial owner.	Enter the total number of clients that have nominees acting on behalf of beneficial owners, or within its ownership structure, broken down by nationality of the beneficial owner.  This category is specific to clients who are Legal Persons and Arrangements.
1.4.1	32	Total Number of directors appointed to clients.	Enter the total number of directors of clients, at the end of the reporting period.
1.4.2	33	Number of clients that have a nominee appointed on behalf of a director, broken down by country of nationality of the director.	Enter the total number of clients which have nominee directors appointed, as at the end of the reporting period, broken down by country of nationality of the director and <u>not</u> the nominee director.
1.4.3	34	Number of clients that have a nominee appointed on behalf of a director, broken down by country of nationality of the nominee director.	Enter the total number of clients which have a nominee director as at the end of the reporting period, broken down by country of nationality of the director (not the nominee).
1.4.4	35	Number of directors and/or senior management of clients who are PEPs.	Enter the total number of clients who have directors and/or senior management who are also PEPs, as at the end of the reporting period.

1.4.5	36	Number of directors and/or senior management of clients who are High Net Worth Individuals.	Enter the number of directors and/or senior management of the clients who are also HNWIs, as at the end of the reporting period.  <u>Do not include</u> senior management who are Ultra HNWIs.
1.4.6	37	Number of directors and/or senior management of clients who are Ultra High Net Worth Individuals.	Enter the number of directors and/or senior management of the clients who are also Ultra HNWIs, as at the end of the reporting period.
1.4.7	38	Number of directors and/or senior management of clients who are PEPs & HNWIs / Ultra-HNWIs.	Enter the number of directors and/or senior management of the clients who are both PEPs and HNWIs / Ultra-HNWI, as at the end of the reporting period.
1.5.1	39	Does the entity have any clients that are Gov / Pub Sector?	Please answer 'Yes' or 'No'.
1.5.2	40	Gov / Pub Sector - Number of Clients, broken down by country of the government jurisdiction.	Enter the number of clients that the entity has, as at the end of the reporting period, that are a government or public sector, broken down by government jurisdiction.
1.5.3	41	Gov / Pub Sector - Number of Transactions.	Enter the number of transactions processed by clients that are Government or Public Sector during the reporting period.
1.5.4	42	Does the entity have any clients that are NPOs?	Please answer 'Yes' or 'No'.
1.5.5	43	NPO - Number of Clients, broken down by country of incorporation of the client.	Enter the number of NPO clients the entity has, as at the end of the reporting period broken down by country of incorporation of the client.
1.5.6	44	NPO - Number of Transactions.	Enter the number of transactions conducted by clients that are NPOs during the reporting period.
1.5.7	45	Does the entity have any clients that are Foundations?	Please answer 'Yes' or 'No'.

1.5.8	46	Foundations - Number of Clients.	Enter the number of clients the entity has that are a Foundation, broken down by country of establishment of the client, at the end of the reporting period.
1.5.9	47	Foundations - Number of Transactions.	Enter the number of transactions processed on behalf of clients that are a Foundation during the reporting period.
1.5.10	48	Does the entity have any clients that are Trusts?	Please answer 'Yes' or 'No'.
1.5.11	49	Trusts - Number of Clients.	Enter the number of clients the entity has, that are Trusts, broken down by country of establishment, as at the end of the reporting period.
1.5.12	50	Trusts - Number of Transactions.	Enter the number of transactions processed for clients that are Trusts, during the reporting period.
1.5.13	51	Trusts – Value of Legal Arrangements.	Enter the value of clients who are Trusts at the end of the reporting period.
1.5.14	52	Does the entity have any clients that are Segregated Portfolio Companies?	Please answer 'Yes' or 'No'.
1.5.15	53	Segregated Portfolio Companies - Number of Clients.	Enter the number of clients which are Segregated Portfolio Companies, as at the end of the reporting period.
1.5.16	54	Segregated Portfolio Companies - Number of Transactions.	Enter the number of transactions processed on behalf of clients, that are Segregated Portfolio Companies, during the reporting period.
1.5.17	55	Does the entity have any clients that operate from Special Economic Zone?	Please answer 'Yes' or 'No'.
1.5.18	56	Special Economic Zone - Number of Clients.	Enter the number of clients the entity has, that are registered / operate in a Special Economic

			Zone, as at the end of reporting period.
1.5.19	57	Special Economic Zone - Number of Transactions.	Enter the number of transactions conducted by clients, that are registered / operate in a Special Economic Zone, during the reporting period.
1.5.20	58	Does the entity have any clients that are Funds / Collective Investment Vehicles?	Please answer 'Yes' or 'No'.
1.5.21	59	Funds / Collective Investment Vehicles - Number of Clients.	Enter the number of clients the entity has, that are Funds / Collective Investment Vehicles as at the end of reporting period.
1.5.22	60	Funds / Collective Investment Vehicles - Number of Transactions.	Enter the number of transactions processed on behalf of clients, that are Funds / Collective Investment Vehicles, during the reporting period.
1.5.23	61	Does the entity have any clients that are Partnerships?	Please answer 'Yes' or 'No'.
1.5.24	62	Partnerships – Number of clients.	Enter the number of clients the entity has that are Partnerships, as at the end of the reporting period.
1.5.25	63	Partnerships – Number of Transactions.	Enter the number of transactions processed on behalf of clients that are Limited Partnership during the reporting period.
1.6.1	64	Does the entity have any clients whose Promoters are Individuals / Natural Persons?	Please answer 'Yes' or 'No'.
1.6.2	65	Number of Promoters of clients who are Natural Persons.	Enter the number of Natural Person Promoters of clients broken down by the nationality of the Promoter.
1.6.3	66	Number of Natural Person Promoters of clients who are PEPs.	Enter the number of Natural Person Promoters of clients who are PEPs, broken down by the nationality of the PEP.



1.6.4	67	Number of Natural Person Promoters of clients who are HNWIs.	Enter the number of Natural Person Promoters of clients who are HNWIs.  This category <u>does NOT</u> include those individuals who are Ultra HNWIs.
1.6.5	68	Number of Natural Person Promoters of clients who are Ultra HNWIs.	Enter the number of Natural Person Promoters of clients who are Ultra- HNWIs.
1.6.6	69	Does the entity have any clients with promoters who are Legal Persons or Arrangements?	Please answer 'Yes' or 'No'.
1.6.7	70	Number of Promoters, who are Legal Persons, of clients.	Enter the number of Legal Person Promoters of clients, broken down by country of incorporation of the Promoter.
1.6.8	71	Number of Promoters, who are Legal Arrangements, of clients.	Enter the number of Legal Arrangement Promoters of clients, broken down by country of formation.
1.6.9	72	Number of Promoters, who are Gov / State-owned, of clients.	Enter the number of Gov / State-owned Promoters of clients, broken down by government jurisdiction of the Promoter.
1.6.10	73	Number of Promoters, who are NPOs, of clients.	Enter the number of Promoters that are NPOs, broken down by the country of incorporation of the Promoter.
1.7.1	74	<p><b>Investors – Nature of Business / Source of Funding:</b></p> <p>Enter the total number of <u>investors</u> of clients whose source of funding falls within the list of sectors below.</p> <ul style="list-style-type: none"> <li>• Banking Institutions</li> <li>• Other Financial regulated Business*</li> <li>• Financial Leasing</li> <li>• Money Lending</li> <li>• Accountants</li> <li>• Fintech</li> </ul> <p><i>*excluding MSBs, Virtual Assets Products and Services, and TCSPs.</i></p>	Enter the total <u>number of investors</u> of clients whose source of funding falls within the list of sectors, at the end of the reporting period.

1.7.2	75	Does the entity have any investors of clients whose source of funding is from the Banking sector (excluding MSBs)?	Please answer 'Yes' or 'No'.
1.7.3	76	Banking Institutions (excluding MSBs) - Number of Investors.	Enter the <u>number of investors</u> of clients the entity has whose source of funding is from the banking sector.
1.7.4	77	Does the entity have any Investors of clients whose source of funding is from the financial services sector, other than banking, VASPs, MSBs and TCSPs?	Please answer 'Yes' or 'No'.
1.7.5	78	Other Financial Regulated Business - Number of Investors.	Enter the <u>number of investors</u> of clients the entity has, whose source of funding is from the financial sector (excluding Banking, VASPs, MSBs and TCSPs).
1.7.6	79	Does the entity have any investors of clients whose source of funding is from Financial Leasing operations?	Please answer 'Yes' or 'No'.
1.7.7	80	Financial Leasing- Number of Investors.	Enter the <u>number of investors</u> of clients the entity has, whose source of funding is from Financial Leasing operations.
1.7.8	81	Does the entity have any investors of clients whose source of funding is from Money Lending operations?	Please answer 'Yes' or 'No'.
1.7.9	82	Money Lending - Number of Investors.	Enter the <u>number of investors</u> of clients the entity has whose source of funding is from Money Lending operations.
1.7.10	83	Does the entity have any investors of clients whose source of funding is through being an Accountant, (including any of: Audit, Assurance, Bookkeeping, Insolvency)?	Please answer 'Yes' or 'No'.
1.7.11	84	Accountants (Audit / Assurance / Bookkeeping / Insolvency) - Number of Clients.	Enter the number of investors of clients whose source of funding is through being an Accountant, (including any of: Audit, Assurance, Bookkeeping, and Insolvency).

1.7.12	85	Does the entity have any investors of clients whose source of funding is from the Fintech industry?	Please answer 'Yes' or 'No'.
1.7.13	86	Fintech - Number of Investors.	Enter the <u>number of investors</u> of clients whose source of funding is from the Fintech industry.
1.7.14	87	<p><b>Investors – Nature of Business / Source of Funding:</b></p> <p>Enter the total number of <u>investors</u> of clients whose source of funding falls within the list of sectors below.</p> <ul style="list-style-type: none"> <li>▪ Legal Practitioners</li> <li>▪ Dealers in Precious Metals and Stones</li> <li>▪ Money Services Business (MSBs)</li> <li>▪ Virtual Asset Products and Services</li> <li>▪ High Value Dealers</li> <li>▪ Trust, Company Manager, and Corporate Service Providers (TCSPs)</li> <li>▪ Import/Export Industry</li> <li>▪ Shipping and Transport of Goods</li> </ul>	Enter the total <u>number of investors</u> of clients whose source of funding falls within the list of sectors, at the end of the reporting period.
1.7.15	88	Does the entity have any investors of clients whose source of funds is derived from Legal Practitioner business?	Please answer 'Yes' or 'No'
1.7.16	89	Legal Practitioners – Number of Investors.	Enter the <u>number of investors</u> of clients whose source of funds is derived from Legal Practitioner business.
1.7.17	90	Does the entity have any investors of clients whose source of funds is derived from Dealers in Precious Metals and Stones operations?	Please answer 'Yes' or 'No'
1.7.18	91	Dealers in Precious Metals and Stones – Number of Investors.	Enter the number of investors of clients whose source of funds is derived from Dealers in Precious Metals and Stones operations.
1.7.19	92	Does the entity have any investors of clients whose source of funds are derived from Money Services Business operations?	Please answer 'Yes' or 'No'.
1.7.20	93	Money Services Business - Number of Investors.	Enter the number of investors of clients whose source of funds are derived from Money Services Business operations.

1.7.21	94	Does the entity have any investors of clients whose source of funds is derived from the virtual asset sector (products, services, investments)?	Please answer 'Yes' or 'No'.
1.7.22	95	Virtual Asset Products and Services - Number of Investors.	Enter the number of investors of clients whose source of funds is derived from the virtual asset sector (products, services, investments).
1.7.23	96	Does the entity have any investors of clients whose source of funds is derived through High Value Dealer operations?	Please answer 'Yes' or 'No'.
1.7.24	97	High Value Dealers - Number of Investors.	Enter the number of investors of clients whose source of funds is derived through High Value Dealer operations.
1.7.25	98	Does the entity have any investors of clients whose source of funds is derived from TCSP operations?	Please answer 'Yes' or 'No'.
1.7.26	99	TCSPs - Number of Investors.	Enter the number of investors of clients whose source of funds is derived from TCSP operations.
1.7.27	100	Does the entity have any investors of clients whose source of funds is derived from the Import / Export Industry?	Please answer 'Yes' or 'No'.
1.7.28	101	Import / Export - Number of Investors.	Enter the number of investors of clients whose source of funds is derived from the Import / Export Industry.
1.7.29	102	Does the entity have any investors of clients whose source of funding is derived from the Shipping and Transport of Goods industry?	Please answer 'Yes' or 'No'.
1.7.30	103	Shipping and Transport of Goods - Number of Investors.	Enter the number of investors of clients whose source of funding is derived from the Shipping and Transport of Goods industry.
1.7.31	104	<p><b>Investors – Nature of Business / Source of Funding:</b></p> <p>Enter the total number of <u>investors</u> of clients whose source of funding falls within the list of sectors below.</p>	Enter the total <u>number of investors</u> of clients whose source of funding falls within the list of sectors, at the end of the reporting period.

		<ul style="list-style-type: none"> <li>▪ Real Estate Agents/Brokers</li> <li>▪ Gambling Business</li> <li>▪ Adult Entertainment Industry</li> <li>▪ Defence Industry</li> <li>▪ Oil and Gas Industry</li> <li>▪ Mining</li> <li>▪ Construction / Development</li> <li>▪ Retail / Restaurant</li> <li>▪ Cannabis Industry</li> </ul>	
1.7.32	105	Does the entity have any investors of clients whose source of funds is derived through the Real Estate industry (Agents / Brokers / sellers)?	Please answer 'Yes' or 'No'.
1.7.33	106	Real Estate Agents / Brokers - Number of Investors.	Enter the number of investors of clients whose source of funds is derived through the Real Estate industry (Agents / Brokers / sellers).
1.7.34	107	Does the entity have any investors of clients whose source of funds is derived through the Gambling industry (including online gambling)?	Please answer 'Yes' or 'No'.
1.7.35	108	Gambling business (including online gambling) - Number of Investors.	Enter the number of investors of clients whose source of funds is derived through the Gambling industry (including online gambling).
1.7.36	109	Does the entity have any investors of clients whose source of funds is derived from the adult entertainment industry?	Please answer 'Yes' or 'No'.
1.7.37	110	Adult Entertainment - Number of Investors.	Enter the number of investors of clients whose source of funds is derived from the adult entertainment industry.
1.7.38	111	Does the entity have any investors of clients whose source of funds are derived from the Defence Industry?	Please answer 'Yes' or 'No'.
1.7.39	112	Defence Industry - Number of Investors.	Enter the number of investors of clients whose source of funds are derived from the Defence Industry.
1.7.40	113	Does the entity have any investors of clients whose source of funds are derived	Please answer 'Yes' or 'No'.

		from operating in the Oil and Gas Industry?	
1.7.41	114	Oil and Gas Industry - Number of Investors.	Enter the number of investors of clients whose source of funds are derived from operating in the Oil and Gas Industry.
1.7.42	115	Does the entity have any investors of clients whose source of funds is derived from the Mining Industry?	Please answer 'Yes' or 'No'.
1.7.43	116	Mining Industry - Number of Investors.	Enter the number of investors of clients whose source of funds is derived from the Mining Industry.
1.7.44	117	Does the entity have any investors of clients whose source of funds are derived through operating in the Construction / Development industry?	Please answer 'Yes' or 'No'.
1.7.45	118	Construction / Development - Number of Investors.	Enter the number of investors of clients whose source of funds are derived through operating in the Construction / Development industry.
1.7.46	119	Does the entity have any investors of clients whose source of funds are derived from operating in the Retail & Restaurant Business?	Please answer 'Yes' or 'No'.
1.7.47	120	Retail & Restaurant Business - Number of Investors.	Enter the number of investors of clients whose source of funds are derived from operating in the Retail & Restaurant Business.
1.7.48	121	Does the entity have any investors of clients whose source of funds are derived through Cannabis Production & Distribution operations?	Please answer 'Yes' or 'No'.
1.7.49	122	Cannabis Production & Distribution - Number of Investors.	Enter the number of investors of clients whose source of funds are derived through Cannabis Production & Distribution operations.
1.7.50	123	Does the entity have any investors of clients whose source of funds is Unknown to the entity?	Please answer 'Yes' or 'No'.
1.7.51	124	Unknown Businesses and Professions - Number of Investors.	Enter the number of investors of clients the entity has, that are

			<p>legal persons or arrangements of Unknown Businesses and Professions, and natural persons that are employed in Unknown Businesses and Professions.</p> <p>Unknown business and profession are where the entity does not know, was not provided with, and was unable to verify the nature of business or profession (source of funds) of the Investor.</p>
1.7.52	125	Does the entity have any investors of clients whose source of funding is not listed in a category above?	Please answer 'Yes' or 'No'.
1.7.53	126	Other - Not mentioned above - Number of Investors.	Enter the number of investors of clients whose source of funds is not listed in a category above.
1.8.1	127	Does the entity have any comments or feedback for this tab?	Please answer 'Yes' or 'No'.
1.8.2	128	Please use this area to provide any comments or feedback for this tab.	<p>Provide any comments or feedback that may be relevant, which you could not provide on the tabs above.</p> <p>Enter 'N/A' if no comments.</p>
2.1.1	129	Number of Clients - Registered Fund.	Enter the number of clients who are a Registered Fund, at the end of the reporting period.
2.1.2	130	Number of Clients -Master Fund.	Enter the number of clients who are a Master Fund at the end of the reporting period.
2.1.3	131	Number of Clients - Limited Investor Fund.	Enter the number of clients who are a Limited Investor Fund, at the end of the reporting period.
2.1.4	132	Number of Clients - Administered Fund.	Enter the number of clients who are an Administered Fund, as at last date of reporting period.
2.1.5	133	Number of Clients - Licensed Fund.	Enter the number of clients who are a Licensed Fund, at the end of the reporting period.
2.1.6	134	Number of Clients - Private Fund.	Enter the number of clients who are a Private Fund, at the end of the reporting period.

2.1.7	135	Number of Clients - Non-fund Arrangements.	Enter the number of clients who are a Non-fund Arrangement, at the end of the reporting period.
2.1.8	136	Number of Clients – Unregulated.	Enter the number of clients who are Unregulated, at the end of the reporting period.
2.2.1	137	Number of Clients - Principal Office.	Enter the number of clients provided the service of Principal Office by the entity, at the end of the reporting period.
2.2.2	138	Number of Clients - Registrar and Transfer Agency (RTA) Services.	Enter the number of clients provided the service of Registrar and Transfer Agency (RTA) by the entity, at the end of the reporting period.
2.2.3	139	Number of Clients - Net Asset Value (NAV) Calculation Services.	Enter the number of clients provided the service of Net Asset Value (NAV) Calculations by the entity, at the end of the reporting period.
2.2.4	140	Number of Clients - Operator Services.	Enter the number of clients provided the service of Operator Services (Director or General Partner) by the entity at the end of the reporting period.
2.2.5	141	Number of Clients - Registered Office Services.	Enter the number of clients provided the service of a Registered Office by the entity, at the end of the reporting period.
2.2.6	142	Number of Clients - Director Services	Enter the number of clients provided Director Services by the entity, at the end of the reporting period.
2.2.7	143	Number of Clients - Nominee Shareholder	Enter the number of clients provided Nominee Shareholder services by the entity, at the end of the reporting period.
2.2.8	144	Number of Clients – BO Filing Services	Enter the number of clients provided BO Filing Services by the entity, at the end of the reporting period.



2.2.9	145	Number of Clients - Company Secretary Services	Enter the number of clients provided Company Secretary Services by the entity, at the end of the reporting period.
2.2.10	146	Number of Clients - Statutory Filings Services	Enter the number of clients provided Statutory Filing Services by the entity, at the end of the reporting period.
2.2.11	147	Number of Clients the entity provides MLRO Services.	Enter the number of clients provided the service of MLRO &/or Deputy MLRO by the entity, at the end of the reporting period.
2.2.12	148	Number of Clients the entity provides AML Compliance Officer Services.	Enter the number of clients provided the service of an AMLCO by the entity, at the end of the reporting period.
2.2.13	149	Does the entity provide other services, under its Trust Licence, to clients that are not listed above?	Please answer 'Yes' or 'No'.
2.2.14	150	Number of Clients the entity provides other service not mentioned above.	Enter the number of clients the entity provides other services, not mentioned above, to under their Trust Licence.
2.2.15	151	Please describe the other types of services, that are not listed above, provided to clients.	Provide a description of the 'other services' the entity provides to clients under its Trust Licence.
2.3.1	152	Does your entity facilitate payments to/ from Clients in the form of Physical Cash?	Please answer 'Yes' or 'No'.
2.3.2	153	Physical Cash - Number of Clients.	Enter the number of clients which made payments in the form of Physical Cash during the reporting period.
2.3.3	154	Physical Cash - Value of Funds Transferred.	Enter the value of the Physical Cash transactions conducted by clients during the reporting period.  Payments include those between the entity and the client and those conducted on behalf of the entity.

2.3.4	155	Does the entity facilitate payments to/ from Clients in the form of Virtual Assets?	Please answer 'Yes' or 'No'.
2.3.5	156	Virtual Assets - Number of Clients.	Enter the number of clients which had payments in the form of Virtual Assets during the reporting period.
2.3.6	157	Virtual Assets - Value of Funds Transferred.	Enter the value of the Virtual Assets transactions entered into by clients during the reporting period.
2.3.7	158	Does the entity facilitate payments to/ from Clients via Third Parties?	Please answer 'Yes' or 'No'.
2.3.8	159	Third Parties - Number of Clients.	Enter the number of clients which conducted payments via Third Parties during the reporting period.  Payments via third party means that the payment was paid to a third party not associated with the business relationship or transaction.
2.3.9	160	Third Parties - Value of Funds Transferred.	Enter the value of the Third-Party transactions entered into by clients during the reporting period.
2.3.10	161	Does your entity facilitate payments to/ from Clients via Credit Card?	Please answer 'Yes' or 'No'.
2.3.11	162	Credit Card Payments - Number of Clients.	Enter the number of clients which had payments via Credit Card during the reporting period.
2.3.12	163	Credit Card Payments - Value of Funds Transferred.	Enter the value of Credit Card transactions processed for clients during the reporting period.
2.3.13	164	Does your entity facilitate payments to/ from Clients in the form of Wire Transfers?	Please answer 'Yes' or 'No'.
2.3.14	165	Wire Transfers - Number of Clients.	Enter the number of clients which made payments in the form of Wire Transfers during the reporting period.

2.3.15	166	Wire Transfers - Value of Funds Transferred.	Enter the value of funds wire transferred by clients during the reporting period.
2.3.16	167	Does your entity facilitate payments to/ from Clients in the form of Transfer of securities from another provider?	Please answer 'Yes' or 'No'.
2.3.17	168	Transfer of Securities from another provider - Number of Clients.	Enter the number of clients which transferred securities from another provider, during the reporting period.
2.3.18	169	Transfer of Securities from another provider - Value of Funds Transferred.	Enter the value of all transactions relating to Transfer of securities from another provider, conducted by clients during the reporting period.
2.3.19	170	Does your entity facilitate payments to/ from Clients in other forms not listed above?	Please answer 'Yes' or 'No'.
2.3.20	171	Other Payment Forms - Number of Clients.	Enter the number of clients which made payments using other forms of payment not listed above during the reporting period.
2.3.21	172	Other Payment Forms - Value of Funds Transferred.	Enter the value of funds that were transferred by clients using other forms of payments, during the reporting period.
2.3.22	173	Please indicate the types of Other Forms of Payments.	List the other forms of payment conducted by clients during the reporting period, which are not listed above.
2.4.1	174	Total value of funds received, broken down by originating country of payment.	Enter the total value of funds received by clients, or on behalf of clients, during the reporting period, broken down by the country where the funds originated.  These are funds transferred into the jurisdiction either into the regulated entity or through the jurisdictions banking system, or both.
2.4.2	175	Total number of transactions received, broken down by origin country of the transaction.	Enter the total number of transactions, relating to funds received by clients, or on behalf

			<p>of clients, during the reporting period, broken down by country of origin of the funds.</p> <p>These are funds transferred into the jurisdiction either into the regulated entity or through the jurisdictions banking system, or both.</p>
2.4.3	176	Total value of funds transferred out (remitted to clients or on behalf of clients), broken down by the country of payment destination.	Enter the total value of funds transferred out (remitted out by clients or on behalf of clients) during the reporting period, broken down by the country of payment destination.
2.4.4	177	Total number of transactions transferred out (remitted to clients or on behalf of clients), broken down by the country of payment destination.	Enter the total number of transaction of funds transferred out of the jurisdiction by clients, broken down by the country of payment destination.
2.5.1	178	Does the entity have any comments or feedback for this tab?	Please answer 'Yes' or 'No'.
2.5.2	179	Please use this area to provide any comments or feedback for this tab.	Provide comments or feedback. Please include 'N/A' if no comment.
3.1.1	180	Number of Clients - F2F.	Provide the total number of clients, in the entity's entire portfolio, that were onboarded via F2F methods, and <u>not only</u> those onboarded during the reporting period.
3.1.2	181	Number of Clients - Non-F2F.	<p>Provide the total number of clients, in the entity's entire portfolio, that were onboarded via Non-F2F methods, and not only those onboarded during the reporting period.</p> <p>Examples of Non-F2F include instances where the entity is onboarding clients through phone, email or online platform; however, they do not have F2F contact with the clients.</p>
3.1.3	182	Total number of Clients via Online Platforms.	Provide the total number of clients, in the entity's entire portfolio, that were onboarded via Online platforms, and <u>not</u>

			<u>only</u> those onboarded during the reporting period.
3.1.4	183	Number of Clients through Referrals within Group - F2F during the reporting year.	<p>Enter the number of clients which were onboarded using referrals within Group - F2F for the reporting period.</p> <p>An example of Group – F2F is where the entity is onboarding clients that are introduced through its group channels and the entity itself have F2F interaction with the clients.</p>
3.1.5	184	Number of Clients through Referrals within Group - Non F2F during the reporting year.	<p>Enter the number of clients which were onboarded using referrals within Group and via Non – Face to Face Channels for the reporting period.</p> <p>Example of Group Non – F2F is where the entity is onboarding clients that are introduced through its group channels and the entity itself does not have F2F interaction with the clients.</p>
3.1.6	185	Total number of Clients onboarded through Eligible Introducers.	<p>Total clients in the entity's entire portfolio that were onboarded using Eligible Introducers where the entity continues to rely on the Eligible Introducer for verification of the clients' identity.</p> <p>An Eligible Introducer is a person who falls within one of the categories under Regulation 22(d) and who provides a written assurance pursuant to Regulation 24(2)(b) that they verified the identity of an applicant for business, or beneficial owner, in accordance with Part IV of the AMLRs.</p>
3.1.7	186	Number of Clients through Eligible Introducers during the reporting period.	Enter the number of clients which were onboarded through Eligible Introducers during the reporting period.
3.1.8	187	Number of clients onboarded through use of Agents or Nominees during the reporting period.	Enter the number of clients onboarded placing reliance on Agents or Nominees, for the reporting period.
3.1.9	188	Number of Clients through Other Introducers - Non-F2F during the reporting period.	Enter the number of clients, that were onboarded through Other Introducers Non – F2F for the reporting period.

3.1.10	189	Number of Clients via Online Platforms during the reporting period.	Enter the number of clients which were onboarded during the reporting period.
3.2.1	190	Has the entity outsourced the role of AML Compliance Officer within the reporting period?	Please answer 'Yes' or 'No'.
3.2.2	191	To whom has the AML Compliance Officer role been outsourced?	<p>If outsourced, 'select' the status that best describes the outsourced relationship for the AML Compliance Officer:</p> <ul style="list-style-type: none"> <li>• Member within Group</li> <li>• 3<sup>rd</sup> Party and Member within Group</li> <li>• 3<sup>rd</sup> Party</li> </ul> <p>Select "3rd Party and Member within Group", in a case of the Compliance Officer turnover that includes one of each within the reporting period.</p>
3.2.3	192	What was the country of residency of the AML Compliance Officer at the end of the reporting period?	Enter the country of residency of the AML Compliance Officer at the end of the reporting period.
3.2.4	193	How many AML Compliance Officers has the entity had within the past 3 years?	If no turnover of the AML Compliance Officer role in the three-year period, answer "1".
3.2.5	194	Has the entity outsourced the role of Money Laundering Reporting Officer within the reporting period?	Please answer 'Yes' or 'No'.
3.2.6	195	To whom has the Money Laundering Reporting Officer role been outsourced?	<p>If outsourced, 'select' the status that best describes the outsource relationship for the Money Laundering Reporting Officer:</p> <ul style="list-style-type: none"> <li>• Member within Group</li> <li>• 3<sup>rd</sup> Party and Member within Group</li> <li>• 3<sup>rd</sup> Party</li> </ul> <p>Select "3rd Party and Member within Group", in a case of the Money Laundering Reporting Officer turnover that includes one of each within the reporting period.</p>
3.2.7	196	What was the country of residency of the Money Laundering Reporting Officer at the end of the reporting period?	Enter the country of residency of the Money Laundering Reporting

			Officer at the end of the reporting period.
3.2.8	197	How many Money Laundering Reporting Officers did the entity have in the past 3 years)?	If no turnover of the Money Laundering Reporting Officers role in the three-year period, answer "1".
3.2.9	198	Has the entity outsourced the role of Deputy Money Laundering Reporting Officer within the reporting period?	Please answer 'Yes' or 'No'.
3.2.10	199	To whom has the Deputy Money Laundering Reporting Officer role been outsourced?	<p>If outsourced, 'select' the status that best describes the outsource relationship for the Deputy Money Laundering Reporting Officer:</p> <ul style="list-style-type: none"> <li>• Member within Group</li> <li>• 3<sup>rd</sup> Party and Member within Group</li> <li>• 3<sup>rd</sup> Party</li> </ul> <p>Select "3rd Party and Member within Group", in a case of the Deputy Money Laundering Reporting Officer turnover that includes one of each within the reporting period.</p>
3.2.11	200	What was the country of residency of the Deputy Money Laundering Reporting Officer at the end of the reporting period?	Enter the country of residency of the Deputy Money Laundering Reporting Officer at the end of the reporting period.
3.2.12	201	How many Deputy Money Laundering Reporting Officers has the entity had in the past 3 years?	If no turnover of the Deputy Money Laundering Reporting Officers role in the three-year period, answer "1".
3.2.13	202	Has the entity outsourced the function of Targeted Financial Sanction screening within the reporting period?	Please answer 'Yes' or 'No'.
3.2.14	203	To whom has the Targeted Financial Sanction screening function been outsourced?	<p>If outsourced, 'select' the status that best describes the outsource relationship for the screening of targeted financial sanctions:</p> <ul style="list-style-type: none"> <li>• Member within Group</li> <li>• 3<sup>rd</sup> Party and Member within Group</li> <li>• 3<sup>rd</sup> Party</li> </ul> <p>Select "3rd Party and Member within Group", in a case of the screening of targeted financial sanctions turnover</p>

			that includes one of each within the reporting period.
3.2.15	204	What was the outsourcing country of the Targeted Financial Sanction screening function at the end of the reporting period?	Enter the country the entity outsourced the Targeted Financial Sanction screening function to, as at the end of the reporting period.
3.2.16	205	How many TFS Screening platforms / software did the entity have in the past 3 years?	If no turnover of the Targeted Financial Sanction screening function in the three-year period, answer "1".
3.2.17	206	Has the entity outsourced the function of transaction monitoring within the reporting period?	Please answer 'Yes' or 'No'.
3.2.18	207	To whom has the transaction monitoring function been outsourced?	<p>If outsourced, 'select' the status that best describes the outsource relationship transaction monitoring:</p> <ul style="list-style-type: none"> <li>• Member within Group</li> <li>• 3<sup>rd</sup> Party and Member within Group</li> <li>• 3<sup>rd</sup> Party</li> </ul> <p>Select "3<sup>rd</sup> Party and Member within Group", in a case of transaction monitoring services turnover that includes one of each within the reporting period.</p>
3.2.19	208	What was the outsourcing country of the transaction monitoring function at the end of the reporting period?	Enter the country the entity outsourced the transaction monitoring function to at the end of the reporting period.
3.2.20	209	How many transaction monitoring platforms / software did the entity have in the past 3 years?	If no turnover of the transaction monitoring platform in the three-year period, answer "1".
3.2.21	210	Has the entity outsourced any of its MFA functions during the reporting period?	Please answer 'Yes' or 'No'.
3.2.22	211	To whom has MFA Services function been outsourced?	<p>If outsourced, 'select' the status that best describes the outsource relationship transaction monitoring:</p> <ul style="list-style-type: none"> <li>• Member within Group</li> <li>• 3<sup>rd</sup> Party and Member within Group</li> <li>• 3<sup>rd</sup> Party</li> </ul>



			Select "3rd Party and Member within Group", in a case of transaction monitoring services turnover that includes one of each within the reporting period.
3.2.23	212	What was the country of the outsourced MFA services function at the end of the reporting period?	Enter the country the entity outsourced the MFA services function to at the end of the reporting period.
3.2.24	213	Enter the number of MFA Service functions that were outsourced in the past 3 years.	If no turnover of the transaction monitoring platform in the three-year period, answer "1".
3.3.1	214	Physical presence - Place of Business.	Enter the country of the entity's physical business operations.
3.3.2	215	Number of branches by location, broken down by country of operation.	Enter the number of branches the entity has, broken down by country of operation.
3.3.3	216	Number of Subsidiaries by location, broken down by country of operation.	Enter the number of subsidiaries the entity has, broken down by country of operation.
3.3.4	217	In which country is the parent or holding company incorporated?	Enter the country the parent or holding company incorporated.
3.3.5	218	In which countries, by percentage of equity ownership, are shareholders of the entity located. For publicly listed entities please list beneficial ownership of 10% or more.	Select the countries where all shareholders of the entity are located and their percentage of equity ownership. For publicly listed entities please list beneficial ownership of 10% or more.
3.3.6	219	How many Beneficial Owners does the entity have, by country of nationality of the Beneficial Owner, at the end of the reporting period?	Enter the number of Beneficial Owners of the entity, holding 10% or more, broken down by country of nationality of the shareholder(s).
3.3.7	220	How many directors does the entity have appointed, by country of nationality of the director, at the end of the reporting period?	Enter the number of directors of the entity, broken down by country of nationality of the directors.
3.4.1	221	Does the entity have any comments or feedback for this tab?	Please answer 'Yes' or 'No'.

3.4.2	222	Please use this area to provide any comments or feedback for this tab.	Use this area to provide any comments or feedback for this tab.  Please enter 'NA' if no comment.
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<b>AML Controls Questions:</b>			
<b>No.</b>	<b>Question No.</b>	<b>Question</b>	<b>Description/Explanation</b>
1.1.1	223	Does the Governing Body receive comprehensive reports, information and statistics regarding ML/TF/PF risks and issues?	Please answer 'Yes' or 'No'.
1.1.2	224	Does the Governing Body review all AML/CFT/CPF related policies and procedures periodically?	Please answer 'Yes' or 'No'.
1.1.3	225	What is the frequency, in months, that AML/CFT/CPF and Sanctions matters are reported to the Board?	Enter the frequency in number of months.
1.1.4	226	Is there an audit risk and compliance subcommittee?	Please answer 'Yes' or 'No'.
1.1.5	227	Is there an approved Charter for the Governing Body and Sub-Committees?	Please answer 'Yes' or 'No'.
1.1.6	228	Is the entity subject to group wide governance practices?	Please answer 'Yes' or 'No'.
1.1.7	229	Is there a documented ML/TF/PF/Sanctions risk assessment framework approved by the Governing Body?	Please answer 'Yes' or 'No'.
1.1.8	230	Is AML/CFT/CPF, including regulatory audit findings, a standard agenda item at Board/Principal and/or Board committee meetings?	Please answer 'Yes' or 'No'.
1.1.9	231	Does the Board / Governing Body ensure that recommendations made by the internal and external auditors and regulators to address AML/CFT/CPF and	Please answer 'Yes' or 'No'.

		Sanctions findings are acted upon in a timely manner?	
1.1.10	232	Has the entity, or its directors, shareholders, beneficial owners, or senior officers been denied an application by any regulatory body?	Please answer 'Yes' or 'No'.
1.1.11	233	Provide the country of jurisdiction.	Enter the names of the jurisdiction(s) in which the entity, or its directors, shareholders, beneficial owners or senior officers were denied an application by any regulatory body.
1.1.12	234	Are any of the entity's AML Officers, Shareholders, Beneficial Owners, Directors, or Senior Management PEPs?	Please answer 'Yes' or 'No'.
1.1.13	235	Does the Board ensure that the AMLCO/MLRO receive the appropriate training?	Please answer 'Yes' or 'No'.
1.2.1	236	Has an AML Compliance Officer been appointed?	Please answer 'Yes' or 'No'.
1.2.2	237	Has an MLRO been appointed?	Please answer 'Yes' or 'No'.
1.2.3	238	Is a Deputy MLRO appointed?	Please answer 'Yes' or 'No'.
1.2.4	239	Is the AMLCO employed at a managerial level of the company?	Please answer 'Yes' or 'No'.
1.2.5	240	For reporting lines, does the AMLCO report to the Governing Body?	Please answer 'Yes' or 'No'.
1.2.6	241	Does the AMLCO maintain independence from revenues related / client facing activities?	Please answer 'Yes' or 'No'.
1.2.7	242	Does the AMLCO have sufficient compliance/AML skills and experience to perform their function?	Please answer 'Yes' or 'No'.
1.2.8	243	Does the AMLCO report to the Board on AML/CFT/CPF related issues and on the adequacy of the AML/CFT/CPF framework?	Please answer 'Yes' or 'No'.
1.2.9	244	Does the AMLCO conduct any sample testing and review any exception reports to identify potential AML/CFT/CPF compliance breaches?	Please answer 'Yes' or 'No'.

1.2.10	245	Does the AMLCO provide oversight of the AML/CFT/CPF and Sanctions risk assessment framework and procedures?	Please answer 'Yes' or 'No'.
1.2.11	246	Does the MLRO maintain independence from revenues related / client facing activities?	Please answer 'Yes' or 'No'.
1.2.12	247	Does the MLRO report to the Board on AML/CFT/CPF related issues and on the adequacy of the AML/CFT/CPF framework?	Please answer 'Yes' or 'No'.
1.3.1	248	Has the entity developed and implemented AML/CFT/CPF and Sanctions training and awareness programme?	Please answer 'Yes' or 'No'.
1.3.2	249	Have the directors received AML/CFT/CPF and Sanctions training during the reporting period?	Please answer 'Yes' or 'No'.
1.3.3	250	Has the AML Compliance Officer received specialized compliance/AML/CFT/CPF training over the last year relevant to the current position?	Please answer 'Yes' or 'No'.
1.3.4	251	Has the MLRO received specialized compliance/AML/CFT/CPF training over the last year relevant to the current position?	Please answer 'Yes' or 'No'.
1.3.5	252	Has the DMLRO received specialized compliance/AML/CFT/CPF training over the last year relevant to the current position?	Please answer 'Yes' or 'No'.
1.3.6	253	Does the AMLCO ensure that ongoing training programs are kept up to date and relevant?	Please answer 'Yes' or 'No'.
1.3.7	254	Are changes to policy and procedures communicated to all staff/directors and senior management?	Please answer 'Yes' or 'No'.
1.3.8	255	Does the entity assess AML/CFT/CPF and Sanctions knowledge of its employees?	Please answer 'Yes' or 'No'.
1.3.9	256	What percentage of employees/agents/directors that have NOT been exposed to AML/CFT/CPF training by the company during the reporting period?	Enter the percentage of employees/ agents/ directors that have NOT been exposed to AML/CFT/CPF training by the entity during the reporting period.

1.3.10	257	Does the AMLCO organize or ensure AML/CFT/CPF and Sanctions training is conducted for all staff annually?	Please answer 'Yes' or 'No'.
1.4.1	258	Does the entity have an internal audit department / unit / function with oversight over AML functions?	Please answer 'Yes' or 'No'.
1.4.2	259	Is there a developed Internal Audit plan, with focus on AML/CFT/CPF and Sanctions, reviewed by the Board?	Please answer 'Yes' or 'No'.
1.4.3	260	Is the Internal Audit plan approved by the Board?	Please answer 'Yes' or 'No'.
1.4.4	261	Does the internal AML audit include reviews of the AML/CFT/CPF related policies, procedures and processes?	Please answer 'Yes' or 'No'.
1.4.5	262	Has the AML audit function performed an AML/CFT/CPF and Sanctions audit and issued a report for conclusions and recommendations?	Please answer 'Yes' or 'No'.
1.4.6	263	What is the frequency, in months, of the internal AML audit for the AML/CFT/CPF and Sanctions Programme?	Enter the frequency, in months, of how often an internal AML audit for the AML/CFT/CPF and Sanctions programme is conducted.
1.4.7	264	Does the Board review the AML audit program?	Please answer 'Yes' or 'No'.
1.4.8	265	Enter the frequency, in months, of the Board review of the AML audit program?	Enter the frequency, in months, of the Board review of the AML audit program.
1.4.9	266	Where applicable, does the internal audit include testing on functions which are outsourced?	Please select 'Yes', 'No', or 'Not Applicable'.
1.4.10	267	Where applicable, does the internal audit include testing of EI relationships?	Please enter Yes, No, or Not Applicable.
1.4.11	268	Does the Internal Audit include testing for the AML/CFT/CPF and Sanctions training function?	Please answer 'Yes' or 'No'.
1.4.12	269	Does the Internal Audit include testing for the entity's TFS and PF controls?	Please answer 'Yes' or 'No'.
1.5.1	270	Does the entity conduct a business risk assessment which considers ML/TF/PF and Sanctions risk factors?	Please answer 'Yes' or 'No'.

1.5.2	271	Does the entity employ a Risk Based Methodology when assessing and allocating oversight of its clients?	Please answer 'Yes' or 'No'.
1.5.3	272	Does the entity consider the ML/TF/PF risks of the clients, (including BOs, in their risk assessment?	Please answer 'Yes' or 'No'.
1.5.4	273	Does the entity consider the ML/TF/PF geographic location (also of counterparties and affiliates, branches, subsidiaries etc.) in their risk assessment?	Please answer 'Yes' or 'No'.
1.5.5	274	Does the entity consider the ML/TF/PF products and services (existing and new) in their risk assessment?	Please answer 'Yes' or 'No'.
1.5.6	275	Does the entity consider the ML/TF/PF delivery channels (existing and new) in their risk assessment?	Please answer 'Yes' or 'No'.
1.5.7	276	Does the entity ensure ML/TF/PF business risk assessments are done / updated prior to the launch of any new products/services/delivery channels/technologies?	Please answer 'Yes' or 'No'.
1.5.8	277	Does the entity consider the ML/TF/PF technology (existing and new) in their risk assessment?	Please answer 'Yes' or 'No'.
1.5.9	278	Does the entity consider Sanctions risk factors in their risk assessment?	Please answer 'Yes' or 'No'.
1.5.10	279	Does the entity consider PF risk factors in their risk assessment?	Please answer 'Yes' or 'No'.
1.5.11	280	Does the entity consider outsourcing risk factors in its risk assessment?	Please answer 'Yes' or 'No'.
1.5.12	281	Does the entity take their nature, size and complexity into consideration and consider the need for other risk factors, other than those listed above, when developing their business risk assessment?	Please answer 'Yes' or 'No'.
1.5.13	282	How often, in months, do you review High-Risk relationships/accounts?	Please respond using the following:  Never, More than 18 months, 7 – 12 months, 1 – 6 months.

1.5.14	283	How often, in months, do you review medium-Risk relationships/accounts?	Please respond using the following: Never, More than 18 months, 7 – 12 months, 1 – 6 months.
1.5.15	284	How often, in months, do you review low-Risk relationships/accounts?	Please respond using the following: Never, More than 18 months, 7 – 12 months, 1 – 6 months.
1.6.1	285	Does the entity rely on Group AML/CFT policies and procedures?	Please answer 'Yes' or 'No'.
1.6.2	286	If yes, has the entity conducted a GAP Analysis to identify whether the AML/CFT programme complies with Cayman's legislation and regulatory framework?	Please answer 'Yes' or 'No'.
1.6.3	287	Has the Board, or governing body, ensured that necessary amendments are made to the entity's policies and procedures for alignment with the requirements in the Cayman Islands?	Please answer 'Yes' or 'No'.
1.6.4	288	Does the entity have Board, or governing body, approved policies and procedures for Customer Due Diligence measures i.e. customer identification and verification?	Please answer 'Yes' or 'No'.
1.6.5	289	Does the entity have Board, or governing body, approved policies and procedures for identification of high risk customers inc. PEPs?	Please answer 'Yes' or 'No'.
1.6.6	290	Does the entity have Board, or governing body, approved policies and procedures for establishing Source of Funds?	Please answer 'Yes' or 'No'.
1.6.7	291	Does the entity have Board, or governing body, approved policies and procedures for employee screening?	Please answer 'Yes' or 'No'.
1.6.8	292	Does the entity have Board or governing body approve policies and procedures for training of staff?	Please answer 'Yes' or 'No'.
1.6.9	293	Does the entity have Board or governing body approved policies and procedures for ensuring confidential sharing and preservation of data within the group?	Please answer 'Yes' or 'No'.

1.6.10	294	Does the entity have policies and procedures on collecting due diligence on counterparties and business associates?	Please answer 'Yes' or 'No'.
1.6.11	295	Does the entity have procedures for declining, de-risking, terminating or restricting business relationships due to AML/CFT/CPF and Sanctions related reasons?	Please answer 'Yes' or 'No'.
1.6.12	296	Enter the total number of business relationships or clients' accounts that were de-risked /declined /terminated/restricted due to AML/CFT/CPF and Sanctions concerns for the reporting period.	
1.7.1	297	Does the entity have a screening process?	Please answer 'Yes' or 'No'.
1.7.2	298	Is the screening process manual, automated or a combination?	Select which best applies: Manual, Automated, or Automated with Manual Checks.
1.7.3	299	Is the screening process fully or partially outsourced?	Please select 'Fully' or 'Partially'.
1.7.4	300	When designated lists are updated, does the screening process reflect these updates within 24 hours?	Please answer 'Yes' or 'No'.
1.7.5	301	Is sanctions monitoring done in real time or after the event?	Select what applies: 'No process', 'After the event', or 'Real time'.
1.7.6	302	Is the customer and counterparty database screened against the designated H.M. Treasury list?	Please answer 'Yes' or 'No'.
1.7.7	303	Are procedures in place to ensure customers / counterparties are screened prior to payouts (remittance of funds)?	Please answer 'Yes' or 'No'.
1.7.8	304	Does the entity have Asset Freeze procedures?	Please answer 'Yes' or 'No'.
1.7.9	305	Have the assets of any customers identified as persons or entities designated by the United Nations Security Council or by the High Court as terrorists or for PF been frozen?	Please answer 'Yes' or 'No'.



1.7.10	306	Does the entity maintain a report of results of alerts, methodology of clearing alerts, and those positive matches resulting of sanction screening?	Please answer 'Yes' or 'No'.
1.7.11	307	Does the entity have systems and procedures in place to determine whether the entity or any of its affiliates, subsidiaries or counterparties is located within or operating from any country/jurisdiction that is subject to economic or financial sanctions?	Please answer 'Yes' or 'No'.
1.7.12	308	Does the entity have systems and procedures in place to determine whether the entity or any of its affiliates, subsidiaries or counterparties is engaged in transactions, investments, business or other dealings that directly or indirectly involve or benefit any country/jurisdiction that is subject to economic or financial sanctions?	Please answer 'Yes' or 'No'.
1.7.13	309	Does the entity have policies and procedures in place to ensure transactions conducted with customers / counterparties of countries surrounding sanctioned jurisdictions are scrutinized to ensure those the unlisted countries are not being used as conduits to evade targeted financial sanctions and proliferation alerts / risks?	Please answer 'Yes' or 'No'.
1.8.1	310	Does the entity have transaction monitoring policies and procedures developed commensurate to its operations?	Please answer 'Yes' or 'No'.
1.8.2	311	Does the entity have policies and procedures for restricting or flagging transactions (including international wire transfers, manager's drafts, and trade finance transactions) with countries where there are sanctions imposed or those that have been identified as having TF/PF deficiencies?	Please answer 'Yes' or 'No'.
1.8.3	312	Does the entity have in place an automated system for monitoring transactions for potential suspicion and reporting suspicious transactions?	Please answer 'Yes' or 'No'.

1.8.4	313	Is there a requirement for senior management approval before establishing high risk business relationships i.e. with PEPs?	Please answer 'Yes' or 'No'.
1.8.5	314	Does the entity have EDD procedures?	Please answer 'Yes' or 'No'.
1.8.6	315	Does the entity apply EDD on customers and counterparties based in higher-risk countries?	Please answer 'Yes' or 'No'.
1.8.7	316	Where high risk clients are identified, did the entity conduct EDD measures for every transaction such customers carry out?	Please answer 'Yes' or 'No'.
1.8.8	317	Enter the total number of Alerts resulting in Suspicious Activity Reports related to ML/TF/PF and Sanctions matters identified during transaction monitoring.	The total number of alerts produced through transaction monitoring which resulted in the escalation of an internal SAR.
1.9.1	318	Does the entity have Internal Reporting policies and procedures i.e. Identification and Reporting of Suspicious Activities and Transactions to the MLRO?	Please answer 'Yes' or 'No'.
1.9.2	319	Does the entity's policies and procedures identify the MLRO and how to make a filing to them?	Please answer 'Yes' or 'No'.
1.9.3	320	Does the entity have policies and procedures for reporting to the FRA?	Please answer 'Yes' or 'No'.
1.9.4	321	How many internal Suspicious Activity/Transaction Reports have been reported to the MLRO for the current reporting period?	Enter the number of internal Suspicious Activity/Transaction Reports reported to the MLRO during the reporting period.
1.9.5	322	How many Suspicious Activity Reports have been reported, to the FRA, by the MLRO for the current reporting period?	Enter the number of external Suspicious Activity Reports filed by the MLRO, to the FRA, during the reporting period.
1.9.6	323	How many hours on average does it take to file a SAR to the FRA?	Enter the number of hours (average) the entity takes to file a Suspicious Activity/Transaction Report to the FRA.
1.9.7	324	Has the entity been requested by law enforcement agencies or the courts to provide any information relating to its customers, business activities, directors or senior management?	Please answer 'Yes' or 'No'.

1.9.8	325	Has the entity been penalized or received a warning for non-compliance, from the FRA?	Please answer 'Yes' or 'No'.
1.9.9	326	Does the entity maintain a log identifying all internal SARs filed to the MLRO along with their status?	Please answer 'Yes' or 'No'.
1.9.10	327	Does the entity maintain a log identifying all SARs filed to the FRA along with their status?	Please answer 'Yes' or 'No'.
1.9.11	328	If the MLRO decides not to file a SAR to the FRA is the reason for not filing documented?	Please answer 'Yes' or 'No'.
1.10.1	329	Does the entity maintain Record Keeping Procedures?	Please answer 'Yes' or 'No'.
1.10.2	330	How many years after the end of the business relationship are records retained?	Enter the number of years
1.10.3	331	Are any records retained and accessible in the Cayman Islands?	Please answer 'Yes' or 'No'.
1.10.4	332	How accessible and swiftly available are records for competent authorities - in hours?	Enter the average time to comply in hours.
1.10.5	333	Does the entity maintain a declined business log?	Please answer 'Yes' or 'No'.
1.10.6	334	Does the entity maintain records of its training programme?	Please answer 'Yes' or 'No'.
1.11.1	335	If applicable, is there a board approved documented policy on outsourcing?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.11.2	336	Was a risk assessment conducted on all outsourcing arrangements prior to initiation of the arrangement?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.
1.11.3	337	Are there regular ongoing reviews of the outsourcing arrangement?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.11.4	338	In total, how many services does the entity outsource to either third parties,	Enter the total number of services the entity outsources

		or within its group or subsidiaries, during the reporting period?	from either third parties, or within the entity's group or subsidiaries.
1.11.5	339	Does the outsourcing agreement clearly set out the obligations of both parties?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.11.6	340	If relevant, does the outsourcing agreement require OSP to file a SAR with the FRA in cases of identified suspicious activity?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.11.7	341	If relevant, is there a contingency plan in the event the Outsourcing service provider fails to perform the outsourced activity?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.11.8	342	If relevant, does the regulated entity have timely access to all documents relevant to the outsourced activity maintained by the Outsourced service provider?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.11.9	343	If relevant, does the outsourced AMLCO/MLRO have access to the entity's board?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.11.10	344	If relevant, are there policies and procedures to ensure data protection restrictions would NOT delay access to data and documents?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.11.11	345	Is sub-contracting of any of the outsourced activities permitted?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.

1.11.12	346	Does the entity conduct testing to ensure the outsourced service provider complies with record keeping requirements?	Select which best applies: 'Yes', 'No' or 'Not Applicable'.  This question is only applicable if the entity outsources any activities.
1.12.1	347	Do you have any comments or feedback for this tab?	Please answer 'Yes' or 'No'.
1.12.2	348	Please use this area to provide any comments or feedback for this tab.	Provide any comments or feedback for this tab.  Enter 'N/A' if no comment.