



打擊洗錢及恐怖分子資金籌集外判和諮詢服務

ANTI-MONEY LAUNDERING AND COUNTER-TERRORIST FINANCING OUTSOURCING AND CONSULTING SERVICES



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The Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) (Amendment) Ordinance 2018 came into effect on 1 March 2018 to extend the statutory Customer Due Diligence ("CDD") and record-keeping requirements to cover designated non-financial businesses and professions ("DNFBPs") (viz. legal professionals, accounting professionals, estate agents, and trust or company service providers ("TCSPs")). Since then, the anti-money laundering and counter financing of terrorism (AML/CFT) requirements becomes to be a major compliance concern and DNFBPs are all now exposed to the risks of being publicly reprimanded, prosecuted and fined due to deficiencies in their AML/CFT control frameworks.

The experts from Integrity Consultancy Company Limited ("Integrity") are experienced in providing AML/CFT support. We provide a wide range of AML/CFT compliance outsourcing or compliance consulting/advisory that can be taken as a bundle or individually.

香港《2018年打擊洗錢及恐怖分子資金籌集（金融機構）（修訂）條例》已於2018年3月1生效，法律專業人士、會計專業人士、地產代理及信託或公司服務提供者須遵守同樣適用於金融機構的客戶盡職審查及備存記錄規定。從此，打擊洗錢及恐怖分子資金籌集(AML/CFT)的要求對上述行業構成主要的合規關注，並面對因AML/CFT 控制缺失而可能引致的公開遣責，檢控和罰款。

誠信顧問服務有限公司（“誠信”）擁有專業的防洗錢諮詢專才，服務經驗涵蓋多間金融機構。我們的防洗錢諮詢團隊致力協助閣下遵從法規要求，就以下各個防洗錢重點管控領域提供專業的外判或諮詢服務。

1. AML/CFT policies and procedures

We can help to set up the AML/CFT policies and procedures according to the organization structure, business scope and size of operation that applicable to your company. We can also conduct gap analysis on the latest AML/CFT regulations and your internal policies and procedures to ensure they are up-to-date and relevant to your business operation.

2. Customer ML/TF risk assessment methodology and profiling

We can assist to develop a robust customer risk assessment methodology and profiling with reference to your company's scale and size of business. We can also provide support to enhance the risk classification and profiling and drafting the internal procedures, so as to properly conduct the customer risk assessment in risk-based approach

3. Customer due diligence

We can assist in performing customer due diligence for your clients and/or enhancing your workflows of customer due diligence and can provide professional advices and support on the requirements of due diligence information in the course of client on-boarding, periodic review, triggering event and enhanced due diligence etc.

4. Name Screening

We can assist you in enhancing the sanction and politically exposed persons ("PEP") risk management by screening the names of your clients or potential clients (together with related parties) with renowned and viable commercially available database, facilitating and smoothening the workflows of your account opening, client on-boarding and transaction screening, and providing support for the record keeping of screening results.

5. Others

We can provide other professional support including drafting of suspicious transactions reporting to JFIU, staff training on AML/CFT and maintenance of Significant Controllers Register ("SCR") under the Companies (Amendment) Ordinance 2018 ("the Amendment Ordinance") that came into operation on 1 March 2018.

1. AML/CFT政策和程序

我們可以根據適用於貴公司的組織架構，業務範圍和運營規模，幫助制定貴公司的AML / CFT政策和程序。我們還可以對最新的AML / CFT法規以及您的內部政策和程序進行差距分析，以確保它們與時並進並配合貴公司的業務營運。

2. 客戶洗錢風險評估方法及評級

我們可以參考貴公司的規模和業務狀況，協助設立有效的客戶風險評估和分析方法。我們還可以提供支援，從而加強客戶風險評級和分析以及起草內部程序，以便適當地進行以風險為本的評估方法。

3. 客戶盡職調查

我們可以協助對您的客戶進行客戶盡職調查和/或檢視您的客戶盡職調查工作流程，並可以在接受新客戶之前、定期審查、觸發事件和需要對高風險客戶進行加強審查的過程中提供專業建議和支援。

4. 客戶名稱篩查

我們可以通過使用知名和可靠的商業數據庫篩選您的客戶或潛在客戶（以及相關方）的名稱來幫助您加強對制裁或政治人物（“PEP”）的風險管理，從而促進和理順您的工作流程：開戶，接受新客戶和交易篩查監控，並為篩選結果的記錄保存提供支援。

5. 其它

我們可協助閣下於呈交予聯合財富情報組的可疑交易報告提供專業意見和支援，為閣下機構員工提供AML/CFT的培訓和在2018年3月1日生效的《2018 年公司（修訂）條例》而需備存重要控制人登記冊的相關意見和支援。

SUPPORT AND ASSISTANCE

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