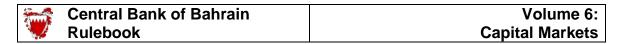
# ANTI-MONEY LAUNDERING AND COMBATING OF FINANCIAL CRIME MODULE

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#### **Supplementary Information**

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Item Number	Subject	
AML-(i)	Decree Law No. 4 (2001)	10/2010
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#### AML-1.12 Reliance on Third Parties for Customer Due Diligence

#### AML-1.12.1

<u>Licensees</u> are permitted to rely on third parties to perform elements of CDD measures and recordkeeping requirements stipulated in Chapter AML-1 related to customer and beneficial owner identity, verification of their identity and information on the purpose and intended nature of the business relationship with the <u>licensee</u>, subject to complying with the below:

- (a) <u>Licensees</u> remain ultimately responsible for CDD measures;
- (b) <u>Licensees</u> immediately obtain the relevant CDD information from the third party upon onboarding clients;
- (c) There is an agreement with the third party for the arrangement with clear contractual terms on the obligations of the third party;
- (d) The third party without delay makes available the relevant documentation relating to the CDD requirements upon request;
- (e) <u>Licensees</u> ensure that the third party is a financial institution that is regulated and supervised for, and has measures in place for compliance with, CDD and recordkeeping requirements in line with FATF Recommendations 10 and 11; and
- (f) For third parties based abroad, <u>licensees</u> must consider the information available on the level of country risk.

### AML-1.12.2 Where a <u>licensee</u> relies on a third-party that is part of the same financial group, the licensee can consider that:

- (a) The requirements under Subparagraphs AML-1.12.1 (d) and (e) are complied with through its group programme, provided the group satisfies the following conditions:
  - (i) The group applies CDD and record keeping requirements consistent with FATF Recommendations 10, 11 and 12 and has in place internal controls in accordance with FATF Recommendation 18; and
  - (ii) The implementation of CDD, record keeping and AML/CFT measures are supervised at a group level by a financial services regulatory authority for compliance with AML/CFT requirements consistent with standards set by the FATF.
- (b) The requirement under Subparagraph AML-1.12.1 (f) is complied with if the country risk is adequately mitigated by the group's AML/CFT policies.

## AML-1.12.3 This Section does not apply to outsourcing or agency arrangements in which the outsourced entity applies the CDD measures on behalf of the delegating <u>licensee</u>, in accordance with its procedures.

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