REP-CRIM - Financial Crime Report

GROUP REPORTING   **A**

1   Does the data in this report cover more than one authorised firm?

                                                                                           FRN

2   If Yes, list the firm reference numbers (FRNs) of all additional firms included in this report.

+

Section 1: Operating Jurisdictions

                                                            A   **B**

3   Please list:

The jurisdictions within which the firm operates as at the end of the reporting period	Those jurisdictions assessed and considered high-risk by the firm
		+

Section 2: Customer Information

                                                            A   **B**

If any part of the the firm's business is subject to the Money Laundering Regulations, please provide the total number of the firm's relationships with:

As at the end of the reporting period	New in the reporting period

4   Politically Exposed Persons
5   Non-EEA Correspondent Banks
6   All Other High-Risk Customers

For any business conducted by the firm: **A**

Please provide the number of the firm's customer relationships located in the following geographical areas:

		As at the end of the reporting period
7	Europe	

Of which:

8	United Kingdom	
9	European Economic Area (EEA) & Switzerland	
10	Other Europe	

11	Middle East & Africa	
12	North America	
13	Central America & Caribbean	
14	South America	
15	Asia	
16	Oceania	

		As at the end of the reporting period
17	Please provide the number of the firm's customers linked to those jurisdictions considered by the firm to be high-risk:	

		A	**B**
		Relationships refused	Relationships exited
18	Please provide the number of customer relationships refused or exited for financial crime reasons during the reporting period:		

Section 3: Compliance Information

		A	**B**	**C**
		Submitted internally to the nominated officer/MLRO within the firm as at the end of the reporting period	Disclosed to the National Crime Agency as at the end of the reporting period	The number of those SARs which were consent requests under s.335 POCA 2002
19	Please provide the number of suspicious activity reports (SARs) under Part 7 of the Proceeds of Crime Act (POCA) 2002:			

		A
20	Please provide the number of SARs disclosed to the National Crime Agency under the Terrorism Act 2000 during the reporting period?	
21	Please provide the number of investigative court orders received as at the end of the reporting period:	

	A	B
	Restraint orders being serviced/ in effect as at the end of the reporting period	**New restraint orders received during the reporting period**

22 Please provide the number of restraint orders being serviced/ in effect as at the end of the reporting period and the number of new restraint orders received during the reporting period:

Relationships maintained	**Relationships exited**

23 Please provide the number of relationships maintained with natural or corporate persons (excluding group members) which introduce business to the firm. Please also provide the number of these relationships which have been exited for financial crime reasons during the reporting period:

If the firm has appointed representatives:

A
During the reporting period

24 Please provide the number of appointed representative (AR) relationships exited due to financial crime reasons:

For all firms:

25 As at the end of the reporting period, please provide the total FTE of UK staff with financial crime roles:

Of which:

26 Please provide the percentage of the FTE stated above dedicated to fraud responsibilities:

Section 4: Sanctions-Specific Information

27 Does the firm use an automated system(s) to conduct screening against relevant sanctions lists?

A	B
True customer sanctions matches	**True payments sanctions matches**

28 How many TRUE sanction matches were detected in the reporting period?

29 Does the firm conduct repeat customer sanctions screening?

Section 5: Fraud

Please indicate the firm's view of the top three most prevalent frauds which the FCA should be aware of and whether they are increasing, decreasing or unchanged:

	A	B	C	D
	Fraud Typology	**Suspected Perpetrator(s)**	**Primary Victim**	**Incidence**
30 1st most prevalent fraud				
31 Where 'Other' is selected in Question 30, please provide details				
32 2nd most prevelent fraud				
33 Where 'Other' is selected in Question 32, please provide details				
34 3rd most prevalent fraud				
35 Where 'Other' is selected in Question 34, please provide details				