













# AML/CTF CHECKLIST

## ARE YOU COMPLIANT?

This is a quick way to identify if you and your business is compliant and understand your obligations under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*.

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|---|--|
| <input type="checkbox"/>  <b>COMPLIANCE OFFICER</b><br>Has an AML/CTF officer been appointed and trained?  | <input type="checkbox"/>  <b>RISK ASSESSMENT</b><br>Is your risk assessment up-to-date with technology, designated services, business structure and customer profile? |
| <input type="checkbox"/>  <b>PROGRAM</b><br>Is an AML/CTF Program in place and up-to-date with current legislation?                                | <input type="checkbox"/>  <b>CHECKS</b><br>Have you completed the appropriate checks when recruiting staff?   |
| <input type="checkbox"/>  <b>TRAINING</b><br>Have staff been provided with AML/CTF risk awareness training?  | <input type="checkbox"/>  <b>REGISTER</b><br>Is your training register maintained & current with employee qualifications?   |
| <input type="checkbox"/>  <b>RECORDS</b><br>Are records made and kept for 7 years of your Program, customer ID, reports and other records?         | <input type="checkbox"/>  <b>PROGRAM</b><br>Is part A and B separated in your AML/CTF Program?  |
| <input type="checkbox"/>  <b>PART A</b><br>Is part A of your AML/CTF Program subject to regular independent review?                                | <input type="checkbox"/>  <b>DETAILS</b><br>Have you updated your details with AUSTRAC online within 14 days of the change?   |
| <input type="checkbox"/>  <b>PART B</b><br>Is Part B of the AML/CTF Program compliant? Have you done your due diligence on your staff & customers? | <input type="checkbox"/>  <b>REPORTING</b><br>Are all required reports being undertaken in the right timeframe?   |

AUSTRAC REPORTING DUE: 31 MARCH

Our Safety and Compliance team specialise in the AML/CTF Act 2006. We can assist with your AUSTRAC compliance, contact Michelle Pitman on 0401 014 619 or email [michelle@dws.net.au](mailto:michelle@dws.net.au).