

## Certification Application Form for Certified AML Professional (CAMLPL)

### HR Department Verification Form on Key Roles/Responsibilities for AML/CFT Practitioner

**Important notes:**

1. All information filled in including company chop must be true and original.
2. Fill in **ONE complete HR Verification Annex form for each position/ functional title** in your application. A completed application form should contain p.1-6. You can make sufficient copies of HR Verification Annex (CAMLPL) (p.AP1-AP3).
3. Use BLOCK LETTERS to complete HR Verification Annex (CAMLPL).

Employment Information	
Name of the applicant:	
HKID/ passport number:	
Job number ( <i>Current job = 1, then in reverse chronological order is job 2 and job 3, etc</i> ):	Current/Job no:
Position/functional title:	
Name of employer:	
Business division/department:	
Employment period of <u>stated</u> functional title/ position: (DD/MM/YYYY)	From:  To:
Number of Years and Months of Work Experience in the <u>stated</u> AML/CFT Compliance Position	_____ Years _____ Months
Work Location	<input type="checkbox"/> Hong Kong <input type="checkbox"/> Others, please specify: _____

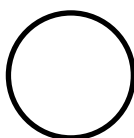
Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of HR Verification Annex (CAML P).

Key Roles/ Responsibilities	Please "✓" where Appropriate
1. Develop, implement and periodically review the AML/CFT compliance risk management framework and the related controls for identification, management, monitoring and reporting of AML/CFT compliance risks and issues (including the operation of AML/CFT systems)	
2. Review, analyse and communicate AML/CFT management information such as trends surrounding suspicious transactions/ filed Suspicious Transaction Reports (STR) and sanctions screening hits. Report results of AML/CFT risk management reviews and identify key areas of improvements. Monitor remedial actions for identified weak AML/CFT controls that require corrective actions	
3. Evaluate and communicate new laws and regulations and stay abreast of all legislative and regulatory developments relating to AML/CFT, both at local and international levels	
4. Review suspicious activity that has been investigated and concluded as reportable and file STRs to the Joint Financial Intelligence Unit (JFIU) in accordance with regulatory requirements	
5. Plan periodic compliance tests on the bank's AML/CFT program against compliance testing policies, procedures and regulations	
6. Provide guidance and training to business units on AML/CFT related matters, including but not limited to transaction monitoring, filtering, sanctions screening, trade based money laundering and correspondent banking	
7. Reassess the risk rating of the client and consider whether the discontinuance and reputational risks that may arise as a result of the suspicious transaction	

Key Roles/ Responsibilities	Please "✓" where Appropriate
8. Communicate and collaborate with internal and external stakeholders effectively to drive for actions on suspicious transactions and enhancement of AML/CFT practices in the bank	
9. Other Key Roles/ Responsibilities related to AML/CFT compliance work (please specify):  _____ _____	

### Verification by HR Department

The employment information provided by the applicant in this form has been verified to be consistent with the information on the applicant that is retained by the HR department of the applicant's employer (where the organisation has a record of this information).



\_\_\_\_\_  
**Signature & Company Chop**

\_\_\_\_\_  
**Date**

Name: \_\_\_\_\_

Department: \_\_\_\_\_

Position: \_\_\_\_\_