



Certification Application Form for Associate AML Professional (AAMLPL)

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 CURRENT position/ functional title** in your application. You can make sufficient copies of HR Verification Annex (AAMLPL) (p.AC1-AC2).
3. Use BLOCK LETTERS to complete HR Verification Annex (AAMLPL).

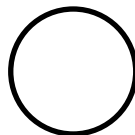
Employment Information	
Name of the applicant:	
HKID/ passport number:	
Position/ functional title:	
Name of employer:	
Business division/ department:	
Employment period of <u>Current</u> functional title/ position: (DD/ MM/ YYYY)	From: To:
Number of Years and Months of Work Experience in the <u>Current</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 **current** functional title/ position stated on p.AC1 of HR Verification Annex (AAMLPL).

Key Roles/ Responsibilities	Please "✓" where appropriate
1. Assist in conducting AML/ CFT risk assessment reviews and communicating results	
2. Assist management in reviewing the AML/ CFT compliance risk management framework by performing periodic compliance tests on the AML/ CFT programme	
3. Analyse data to explore root causes and to derive remedial initiatives	
4. Execute remediation of compliance deficiencies (discovered internally or by regulators) within a bank	
5. Review and investigate suspicious transaction alerts and prepare appropriate documentation on AML/ CFT inquiries	
6. Communicate review findings in an accurate and timely manner and work collaboratively with internal and external stakeholders of the bank	
7. Escalate investigation of suspicious activity to the appropriate personnel (e.g. Money Laundering Reporting Officer) where further investigation and report filings may be necessary	
8. 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: _____