Template for money laundering and terrorist financing risk assessment form

**This form may only be used for the purpose for which it was made.**

Instructions for completing the form can be found on the website of the Regional State Administrative Agency.

**Company details**

|  |  |
| --- | --- |
| **Name of the company** |  |
| **Business ID** |  |
| **Business sector(s)** |  |
| **Turnover** |  |
| **Number of employees** |  |
| **Description of the company, its activities and customer base** |  |
| **Operating area** |  |

**Risk assessment details**

|  |  |
| --- | --- |
| **Risk assessment prepared (date)** |  |
| **Person responsible for preparing the risk assessment** |  |
| **Authors of the risk assessment** |  |
| **Management approval** |  |
| **Description of the preparation of the risk assessment** |  |
| **Updates to the risk assessment** |  |

**Sources used for the risk assessment**

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|  |

# Risk identification and assessment

## Products and services: vulnerabilities, threats and other risk factors

Product or service: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| --- | --- |
| **Risk factors associated with the product or service** | **Level** |
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| **National assessment of the risk of money laundering and terrorist financing in the company’s sector and its potential impacts on your activities** | **Level** |
|  |  |

|  |  |
| --- | --- |
| **Assessment of the overall risk level associated with the product or service** | **Risk level** |
|  |  |

## Customers

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| --- | --- | --- |
| **Customer group** | **Assessment of the risk factors** | **Risk level** |
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**How does the risk assessment impact compliance with customer due diligence obligations?**

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| --- | --- |
| **Simplified due diligence procedure** |  |
| **Enhanced due diligence procedure** |  |
| **Politically exposed persons** |  |
| **Verifying the identity of beneficial owners** |  |
| **Sanctions and freezing orders** |  |

# Money laundering and terrorist financing risk management

|  |  |
| --- | --- |
| **Risk management methods** | **Functionality of the management method** |
| **Customer due diligence** |  |  |
| **Compliance with sanctions regulation and decisions on the freezing of funds** |  |  |
| **Systems** |  |  |
| **Continuous monitoring and obligation to obtain information** |  |  |
| **Risk management practices** |  |  |
| **High-risk customers** |  |  |
| **Reporting suspicious transactions** |  |  |
| **Internal control** |  |  |
| **Personnel** |  |  |
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# Assessment of residual risks

Product or service: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| --- | --- |
| **Assessment of residual risk**  | **Acceptability of residual risk** |
|  |  |