

SCHEDULES

SCHEDULE 4

Regulation 51(1)

Supervisory Information

1. The number of persons subject to the supervision of the supervisory authority, or in the case of a self-regulatory organisation, the number of its members (“supervised persons”).
2. The number of supervised persons who are individuals.
3. In the case of a self-regulatory organisation, the number of its supervised persons who act as trust or company service providers.
4. In the case of a self-regulatory organisation, the number of applications for membership which the organisation has—
 - (a) received,
 - (b) rejected, and
 - (c) accepted.
5. The services provided by supervised persons.
6. The number of firms subject to the supervision of the supervisory authority which the authority considers to be—
 - (a) high risk;
 - (b) medium risk;
 - (c) low risk;and for these purposes, “risk” refers to the risk that the firm will be subject to money laundering or terrorist financing.
7. The number of applications for approval received by the supervisory authority under regulation 26, and the number of those that—
 - (a) were refused;
 - (b) were accepted;
 - (c) are to be determined.
8. The number of approvals under regulation 26 which were not valid, or ceased to be valid under paragraph (9) of that regulation.
9. In the case of a self-regulatory organisation, the number, amount and type of disciplinary measures it has imposed in relation to contraventions of these Regulations on supervised persons.
10. The number of times the supervisory authority has—
 - (a) refused to register an applicant for registration under regulation 59; or
 - (b) exercised any powers under regulation 60.
11. The number of times the supervisory authority has exercised any powers under Part 8.
12. The number of contraventions of these Regulations committed by supervised persons.

Status: Point in time view as at 26/06/2017.

Changes to legislation: There are currently no known outstanding effects for the *The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017, SCHEDULE 4.* (See end of Document for details)

13. The number and amount of penalties or charges which have been imposed under Part 9.
14. The number of times the supervisory authority has exercised the other powers under Part 9.
15. The number of times the supervisory authority or any of its supervised persons has made a suspicious activity disclosure to the NCA, and for these purposes, “suspicious activity disclosure” has the meaning given in regulation 104(4).
16. The number of supervised persons who have contravened requirements imposed by or under—
 - (a) Part 3 of the Terrorism Act 2000 (terrorist property) ^{M1}, or
 - (b) Part 7 (money laundering) or 8 (investigations) of the Proceeds of Crime Act 2002 ^{M2}.

Marginal Citations

M1 2000 c.11.

M2 2002 c. 29.

17. Information on the money laundering and terrorist financing practices that the supervisory authority considers apply to its own sector.
18. Indications that the supervisory authority considers to suggest that a transfer of criminal funds takes place in their own sector.

Status:

Point in time view as at 26/06/2017.

Changes to legislation:

There are currently no known outstanding effects for the The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017, SCHEDULE 4.