

16 April 2019

## **Circular to Licensed Corporations and Associated Entities**

### **Anti-Money Laundering / Counter-Financing of Terrorism**

#### **Updated AML/CFT Self-Assessment Checklist**

The Securities and Futures Commission (“SFC”) today posted an updated AML/CFT Self-Assessment Checklist which has incorporated revisions to reflect the latest Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Licensed Corporations)<sup>Note 1</sup>. A copy of the updated checklist can be downloaded from the SFC’s website at ([https://www.sfc.hk/web/EN/files/IS/AML/AML\\_Self\\_Assessment\\_Checklist\\_EN.docx](https://www.sfc.hk/web/EN/files/IS/AML/AML_Self_Assessment_Checklist_EN.docx)).

The AML/CFT Self-Assessment Checklist has been prepared to provide a structured framework for licensed corporations (“LCs”) and associated entities (“AEs”) to assess compliance with the key AML/CFT requirements. LCs and AEs are advised to use the self-assessment checklist as part of their regular review to monitor their AML/CFT compliance.

The senior management of LCs and AEs should ensure that any compliance deficiencies identified during the regular reviews are rectified in a timely manner. In the course of our regular inspections, we may require LCs and AEs to provide documentary evidence of the performance of such review and its results.

Should you have any queries regarding the contents of this circular, please contact Ms Kiki Wong at 2231 1569 who will assist to refer your queries to the relevant officer.

Intermediaries Supervision Department  
Intermediaries Division  
Securities and Futures Commission

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*Note 1 Please refer to the press release on 12 October 2018 re the consultation conclusions on amendments to anti-money laundering and counter-financing of terrorism guidelines (<https://www.sfc.hk/edistributionWeb/gateway/EN/news-and-announcements/news/doc?refNo=18PR119>).*