# SAMPLE OF AML QUESTIONS WITHIN THE RELIANCE AGREEMENT QUESTIONNAIRE



## AUSTRAC Registration and AML/CTF Program

Is your organisation enrolled with AUSTRAC as a reporting entity?

Provide the AUSTRAC enrolment number.

Provide the AUSTRAC enrolment date.

Does your organisation have a written AML/CTF Program in place?

Provide full name of the AML/CTF Compliance Officer within your organisation.

## KYC Process and Methodology

How is KYC / identity verification performed? (Select all that apply)

☐ Fully manual (no system support)

☐ In-house technology solutions / tools

☐ Third-party service provider(s)

☐ Hybrid (combination of the above)

☐ Other

If third-party provider(s) are used, list each provider and describe what specific checks the provider performs? (document verification method, liveness capability, sanctions lists screened, PEP database used, adverse media coverage)

Is a liveness check or biometric / facial comparison performed as part of individual identity verification?

Separately from individual KYC, does your organisation perform Know Your Business (KYB) verification for entity clients (e.g., companies, trusts, SMSFs) before providing services?

## KYC Process and Methodology

Select the sanction list(s) the screening is performed against.

☐ DFAT Consolidated List

☐ UN Security Council Consolidated List

☐ OFAC

☐ Other

Is screening for Politically Exposed Person (PEP) status performed on clients?

What is your organisation's procedure when a client is identified as a PEP or close associate?