

Tax Justice Network - Questionnaire to the Financial Intelligence Unit

1: What is the local regulatory structure? **Please direct us to an Internet Website (URL) in the box below where details of this structure can be found.**

1.1: When was this regulatory structure created? **Please write down the corresponding year in the box below.**

1.2: What legislation created it? **Please refer us to an Internet Website (URL) where the legislation can be found. If that legislation is not available online, please explain in the box below why not.**

1.3: Is the regulatory structure compliant and/or largely compliant with all of the 49 Financial Action Task Force (FATF) 2003 recommendations? If the structure is not consistent with FATF recommendations **please explain how and why it differs** in the box below or **please provide the URL** of a source we can read a third party assessment of the degree of non-compliance (if any).

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2: How many of each of the following types of entity or professional individuals are registered in your territory at the end (31 of December) of the most recent year for which you have data? **Please write down the numbers** in the corresponding boxes. We are seeking this information either because we have not been able to secure from public sources or to verify that available from sources we have been able to find.

Type of Entity / Professional:	Number of:	Year:
2.1: Banks		
2.2: Trust and Company Service Providers		
2.3: Lawyers		
2.4: Accountants		
2.5: Investment advisers		
2.6: Insurance companies		
2.7: Fund managers		
2.8: Investment Funds		

3.1: How many Suspicious Transaction Reports (STR, STA or equivalent) have been filed in the last 3 years? **Please write down the numbers** in the corresponding boxes.

Year:	Number of STRs:
3.1.1: 2005	
3.1.2: 2006	
3.1.3: 2007	

3.2: Who was the principal reporting source for the above list of referrals? **Please tick:**

Principal Reporting Source:	Please tick:
3.2.1: Banks	
3.2.2: Trust and Company Service Providers	
3.2.3: Lawyers	
3.2.4: Accountants	
3.2.5: Investment advisers	
3.2.6: Insurance companies	
3.2.7: Fund managers	
3.2.8: Investment Funds	
3.2.9: Other	

3.3: Are Suspicious Transaction Reports (STRs or equivalents) systematically stored in a digital database? **Please tick:**

Answer:	Please tick:
Yes	
No	

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3.3.1: If the answer to the previous question was 'no', please provide the reason (e.g. lack of resources, data protection issues, etc.) in the box below:

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3.4: How many Suspicious Transaction Reports (STR; or equivalent) resulted in an investigation in each year? Please write down the numbers in the corresponding boxes below.

Year:	Number of:
3.4.1: 2005	
3.4.2: 2006	
3.4.3: 2007	

3.5: How many Suspicious Transaction Reports (STR; or equivalent) resulted in a prosecution in each year? Please write down the numbers in the corresponding boxes below.

Year:	Number of:
3.5.1: 2005	
3.5.2: 2006	
3.5.3: 2007	

3.6: How many people are employed by the Financial Intelligence Unit (FIU) or its equivalent? Please write down the number in the box below.

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3.7: What value of assets has been frozen as a result of money-laundering enquiries in each of the following years? Please write the value and the currency in the corresponding boxes below.

Year:	Amount:	Currency:
3.7.1: 2005		
3.7.2: 2006		
3.7.3: 2007		

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4: Is tax evasion in a foreign jurisdiction a predicate offence under your money laundering regulations? **Please tick:**

Answer:	Please tick:
Yes	
No	

4.1: If the previous question was answered yes: how many STRs (Suspicious Transaction Reports; or equivalent) have been submitted relating to suspicion of this offence? **Please write down the numbers** in the corresponding boxes below.

Year:	Number of:
4.1.1: 2005	
4.1.2: 2006	
4.1.3: 2007	

4.2: If STRs (Suspicious Transaction Reports; or equivalent) have been submitted has prosecution followed any of these STRs? **Please tick:**

Answer:	Please tick:
Yes	
No	

4.3: If the previous question was answered yes: did prosecution result in a guilty verdict? **Please tick:**

Answer:	Please tick:
Yes	
No	

4.4: Under your laws, are the members of banks' boards of directors (or equivalents) criminally liable if their institution launders money? **Please tick:**

Answer:	Please tick:
Yes	
No	

5. Does your jurisdiction have effective measures in place to ensure that correspondent banking arrangements are not entered into with shell banks? **Please tick:**

Answer:	Please tick:
Yes	
No	

5.1 If the previous question was answered yes: May we please have a copy of the appropriate regulations? (If answered yes: please attach the copy). **Please tick:**

Answer:	Please tick:
Yes	
No	

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5.2 Have any investigations arisen as a result of this regulation (mentioned under 5) as a result of which a registered person was required to change their modus operandi? **Please tick:**

Answer:	Please tick:
Yes	
No	

6. May we contact you for further enquiries? **Please tick.**

Answer:	Please tick:
Yes	
No	

7. Please write down your position and affiliation and, if possible, your name and contact details in the corresponding boxes below.

Position:	Name:
Institution / affiliation	
Name / Contact Details	

8. Please sign the box below to confirm that we may make use of the information provided for research purposes and that the information is accurate to your best belief:

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