

Tax Justice Network - Questionnaire to the Financial Intelligence Unit

1: How many of each of the following types of **arrangement, entity or professional individuals**¹ are registered in your territory at the end (31 of December) of the most recent year for which you have data, and which of those are covered by your preventive anti-money laundering framework?

Type of Arrangement / Entity / Professional ¹ :	Number of:	Year	AML-covered?
Banks (incl. branches of foreign banks)			
Insurance companies			
Collective Investment Schemes / Investment Funds			
Foreign exchange traders			
Fund managers			
Investment advisers			
Other financial institutions (see Definition FATF 2012: 115), please specify			
Casinos, FATF 2012 Rec 22 (a)			
Real estate agents, FATF 2012 Rec 22 (b), Individuals			
Real estate agents, FATF 2012 Rec 22 (b), Others ²			
Dealers in precious metals / precious stones, FATF 2012 Rec 22 (c), Individuals			
Dealers in precious metals / precious stones, FATF 2012 Rec 22 (c), Others ²			
Accountants, FATF 2012 Rec 22 (d), Individuals			
Accountants, FATF 2012 Rec 22 (d), Others ²			
Lawyers, notaries, other legal professionals, FATF 2012 Rec 22 (d), Individuals			
Lawyers, notaries, other legal professionals, FATF 2012 Rec 22 (d), Others ²			
Trust and Company Service Providers, FATF 2012 Rec. 22 (e), Individuals			
Trust and Company Service Providers, FATF 2012 Rec. 22 (e), Others ²			

¹ The full definitions of the categories can be found in this FATF-publication, pages 19-20, 115, in: [www.fatf-gafi.org/media/fatf/documents/recommendations/pdfs/FATF%20Recommendations%20\(approved%20February%202012\)%20reprint%20May%202012%20web%20version.pdf](http://www.fatf-gafi.org/media/fatf/documents/recommendations/pdfs/FATF%20Recommendations%20(approved%20February%202012)%20reprint%20May%202012%20web%20version.pdf); 18.10.2012.

² „Others“ includes entities, groups and undertakings and any other institution except an individual (=natural person).

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Can we have this data for the last ten years (please provide in an extra sheet)?	
Please answer Yes/No	

2: How many **government agencies** and how many **staff members** (full time equivalents, FTE) are in charge of **supervising** the correct implementation of **preventive** measures against **money laundering** (such as customer due diligence regulations) for each of the different type of arrangement/entity/professionals? If data is not available in given breakdowns, please provide us with available aggregates. Please provide the year for which this applies.

Type of Arrangement / Entity / Professional ¹ :	Number and name of agencies	Number of staff (FTE)
Banks (incl. branches of foreign banks)		
Insurance companies		
Collective Investment Schemes / Investment Funds		
Foreign exchange traders		
Fund managers		
Investment advisers		
Other financial institutions (see Definition FATF 2012: 115; in FN 1 above), please specify		
Casinos , FATF 2012 Rec 22 (a)		
Real estate agents , FATF 2012 Rec 22(b)		
Dealers in precious metals / precious stones , FATF 2012 Rec 22(c)		
Accountants , FATF 2012 Rec 22(d)		
Lawyers, notaries, other legal professionals , FATF 2012 Rec 22(d)		
Trust and Company Service Providers , FATF 2012 Rec. 22(e)		

3: How many on-site visits were carried out by regulatory government agencies (or similar; see question 2 above) in order to supervise the correct implementation of preventive measures against money laundering (such as customer due diligence) for each of the different type of arrangement/entity? If data is not available in given breakdowns, please provide us with available aggregates.

Type of Arrangement / Entity / Professional ¹ :	Number of onsite visits		
	2010	2011	2012
Banks (incl. branches of foreign banks)			
Insurance companies			
Collective Investment Schemes /			

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Type of Arrangement / Entity / Professional ¹ :	Number of onsite visits		
Investment Funds			
Foreign exchange traders			
Fund managers			
Investment advisers			
Other financial institutions (see Definition FATF 2012: 115; in FN 1 above), please specify			
Casinos, FATF 2012 Rec 22 (a)			
Real estate agents, FATF 2012 Rec 22(b)			
Dealers in precious metals / precious stones, FATF 2012 Rec 22(c)			
Accountants, FATF 2012 Rec 22(d)			
Lawyers, notaries, other legal professionals, FATF 2012 Rec 22(d)			
Trust and Company Service Providers, FATF 2012 Rec. 22(e)			

4: What was the result of these on-site visits with a view to the level of compliance with anti-money laundering laws and regulations? Please provide us with any available statistical information as well as, if available, specific case studies.

5: Under what laws (and under which paragraph) are the board members (or equivalents) of banks criminally liable if their institution launders money? **Please write down the applicable laws and paragraphs.**

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5.1: How many investigations have arisen from this regulation as a result of which banks were required to change their operations (i.e. replace board members)?

Year:	Number of investigations:
2010	
2011	
2012	

6: How many Suspicious Activity Reports or Suspicious Transaction Reports (STR, STA or equivalent) have been filed in the last years by each of the reporting sources?

Reporting Source ¹ :	Number of SARs / STRs		
	2010	2011	2012
Banks (incl. branches of foreign banks)			
Insurance companies			
Collective Investment Schemes / Investment Funds			
Foreign exchange traders			
Fund managers			
Investment advisers			
Other financial institutions (see Definition FATF 2012: 115; in FN 1 above), please specify			
Casinos , FATF 2012 Rec 22 (a)			
Real estate agents , FATF 2012 Rec 22(b)			
Dealers in precious metals / precious stones , FATF 2012 Rec 22(c)			
Accountants , FATF 2012 Rec 22(d)			
Lawyers , notaries, other legal professionals, FATF 2012 Rec 22(d)			
Trust and Company Service Providers , FATF 2012 Rec. 22(e)			

7: How many Suspicious Transaction Reports (STR; or equivalent) resulted in an investigation in each year?

Year:	Number of STRs resulting in investigation:
2010	
2011	
2012	

8: How many prosecutions for money laundering were initiated each year?

Year:	Number of prosecutions:
2010	
2011	
2012	

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8.1: Do you know how many of those initiated **prosecutions** were initially **triggered by a STR** (or equivalent)? If your answer is yes, please provide us with the number and if your answer is no, please describe to us what would need to change for this number to be available.

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9: How many **guilty verdicts** for money laundering did you record in each year?

Year:	Number of guilty verdicts:
2010	
2011	
2012	

9.1: Do you know how many of those **guilty verdicts** for money laundering were initially **triggered by a STR** (or equivalent)? If your answer is yes, please provide us with the number and if your answer is no, please describe to us what would need to change for this number to be available.

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10: What value of **assets has been frozen (seized/confiscated)** as a result of money-laundering investigations (and prosecutions, etc.) in each year?

Year:	Amount:	Currency:
2010		
2011		
2012		

11: Is **domestic tax evasion a predicate offence** under your money laundering regulations/legislation?

Answer:	Relevant legal source (law/regulation and paragraph):
Yes	
No	
Only specific forms of tax evasion (please specify)	

11.1: If **domestic tax evasion is a predicate offence** under your money laundering regulations/legislation, how many **STRs** (Suspicious Transaction Reports; or equivalent) have been submitted concerning this particular offense (domestic tax evasion)? If you do not dispose of this number, please explain to us what changes would be required to find out about this number in the future.

Year:	Number of STRs: / What changes required to know?

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12: Is tax evasion as defined under the tax laws of foreign jurisdictions if committed (through assets and/or structures linked to your jurisdiction, e.g. a bank account) by a tax resident of the same foreign jurisdiction considered a **predicate crime** under your money laundering regulations/legislation?

Foreign Tax Evasion is Predicate Crime?	
Yes (please specify under what conditions, and since when)	
No	

12.1: If **foreign tax evasion** (see question 12 above for details) is a **predicate crime** under your applicable law and regulations, how many **STRs** (Suspicious Transaction Reports; or equivalent) have been submitted concerning this particular offense (tax evasion under foreign law)? If this information is not available, please explain to us what changes would be required to obtain this information in the future.

Year:	Number of STRs: / What changes required to know?

13: How many **prosecutions** for money laundering with the **predicate crime of foreign tax evasion** (see question 12 for details) did you record?

Year:	Number of prosecutions:
2010	
2011	
2012	

14: How many **guilty verdicts** for money laundering with the **predicate crime of foreign tax evasion** (see question 12 for details) did you record in each year?

Year:	Number of guilty verdicts:
2010	
2011	
2012	

15: How many people are **employed** (full time equivalents) by the Financial Intelligence Unit (FIU) or its equivalent, and how has this staffing level changed over time?

Year:	Number of staff (FTE):
2010	
2011	
2012	

16. Please write down your name, position and affiliation with contact details:

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17. 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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