



F880 MONEY LAUNDERING REPORT

PERIOD	LATEST DAY	
INSTITUTE	INSTITUTE NUMBER	
ADMINISTRATOR	ORG. NUMBER	LEI-KOD

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A. INFORMATION ABOUT THE ACTIVITIES OF THE UNDERTAKING

VALUE IS INPUT AS HELTAL VALBAR VALUTA (SEK) IF NOT OTHERWISE STATED

The undertakings beneficial owners and domicile

A1 Does the undertaking have beneficial owners with a legal tax domicile abroad?
, select

A2 How many (if any) of the undertakings beneficial owners have their legal tax domicile abroad?
, amount

A3 In which countries besides Sweden (if any) do the undertakings beneficial owners have their legal tax domicile?
, multiSelect

A4 Does the undertaking have any cross-border operations in Sweden (branch, agent)?
, select

A5 In which country is the Parent undertaking domiciled?
, select

The undertakings KPIs

A6 Specify the undertakings net sales as per the most recent annual accounts

A7 Specify the undertakings balance sheet total as per the most recent accounts

A8 For UCITS management companies and AIF managers, specify the value of the managed assets for all managed funds in the past year

The undertakings employees

A9 Enter the total number of employees (in Sweden)
, amount

The undertakings product range:

A10 Deposits on account with deposit insurance
, select

A11 Deposits on account without deposit insurance
, select

A12 Loans with collateral

, select	
A13 Loans without collateral , select	
A14 Money remittance , select	
A15 Securities trading , select	
A16 Pension solutions , select	
A17 Insurance , select	
A18 Cash handling , select	
A19 debit card , select	
A20 Pre-paid debit card , select	
A21 Swish , select	
A22 Private Banking , select	
A23 Currency exchange , select	
A24 Leasing , select	
A25 Payment services , select	
A26 Electronic money , select	
A27 Cryptocurrency , select	
A28 Trade finance products , select	



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B. THE UNDERTAKINGS RISK ASSESSMENT AND PROCEDURES

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General risk assessment

B1 Has the undertaking conducted a general risk assessment?
, select

B2 Most recent update (if applicable) to the general risk assessment
, YYYY-MM

B3 Most recent previous update (if applicable) to the general risk assessment
, YYYY-MM

Procedures and guidelines

The undertaking has procedures and guidelines for:

B4 Gathering customer due diligence
, select

B5 Monitoring
, select

B6 Reporting to the Swedish Police (Financial Intelligence Unit)
, select

B7 Processing of personal data
, select

B8 Suitability assessment
, select

B9 Education
, select

B10 Protection of employees
, select

B11 Maintenance of a register
, select

High risk countries

B12 How many countries (if any) has the undertaking assessed to be a high risk in the general risk assessment?
, amount

B13 Of these (if any), in how many does the undertaking have business relationships?
, multiSelect

Preparation of and updates to the general risk assessment

Which functions/persons in the undertaking are involved in the preparation and updating of the general risk assessment?

B14 Specially appointed executive

, select

B15 Management

, select

B16 Persons in each business area

, select

B17 Other function/person in the undertaking (specify)

, txt

Declined business relationships

B18 which customer category(-ies) (if any) has the undertaking declined business relationships because the risk associated with this category was too large (multiple answers possible)?

, txt



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C. CUSTOMER DUE

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Information about business relationships and customers

Established business relationships in Sweden

C1 Number of established business relationships in Sweden (rounded to nearest hundred)
, amount

Number of customers

with legal tax domicile in Sweden

C2 Natural persons
, amount

C3 Legal persons
, amount

with legal tax domicile in EU/EEA (not Sweden)

C4 Natural persons
, amount

C5 Legal persons
, amount

with legal tax domicile outside of EU/EEA

C6 Natural persons
, amount

C7 Legal persons
, amount

How many customers are considered to be high risk? Specify number

C8 Natural persons
, amount

C9 Legal persons
, amount

For how many established business relationships does the undertaking not have current and adequate information for customer due diligence?

C10 For natural persons
, amount

C11 For legal persons



, amount

Specify the number of the undertakings customers that have been identified as PEP, family members of the PEP or close associates of the PEP

with legal tax domicile in Sweden

C12 Natural persons
, amount

C13 Beneficial owners for legal persons
, amount

with legal tax domicile in EU/EEA (not Sweden)

C14 Natural persons
, amount

C15 Beneficial owners for legal persons
, amount

with legal tax domicile outside of EU/EEA

C16 Natural persons
, amount

C17 Beneficial owners for legal persons
, amount

Where appropriate for banks, specify information about correspondent banks with legal tax domicile in:

C18 Sweden
, amount

C19 EU/EEA (not Sweden)
, amount

C20 Outside of the EU/EEA
, amount



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D. MONITORING AND REPORTING

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Transaction review system

D1 Does the undertaking utilise a transaction review system for assisting efforts to identify suspicious transactions or deviant activities?
, select

Which type of transaction review system is used (if any)?

D2 Automatic transaction review system
, select

D3 Manual transaction review system
, select

Alarms and reports

D4 Does the undertaking document the reasoning for why an alarm for suspicious transactions or deviant activities is rejected or reported to the Financial Intelligence Unit?
, select

D5 If the undertaking has an automatic monitoring system, how many alarms for suspicious transactions or deviant activities were generated in the past year?
, amount

D6 How many money laundering reports did the undertaking submit to the Financial Intelligence Unit in the past year?
, amount

How long did it take from when the alarm was generated until a report was submitted to the Financial Intelligence Unit (in the past year)?

D7 Shortest time (in days) until a report was submitted to the Financial Intelligence Unit
, amount

D8 Longest time (in days) until a report was submitted to the Financial Intelligence Unit
, amount

D9 The median (in days) of all cases where a report was submitted to the Financial Intelligence Unit
, amount

[D5 : D9 Not applicable for 2017]



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E. COMPLIANCE

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Do any of the following control functions exist?

E1 Specially appointed executive
, select

E2 Appointed officer for controlling and reporting obligations
, select

E3 Independent audit function
, select

Identified deficiencies

E4 Has any control function identified deficiencies in the undertakings compliance with the money laundering regulations during the past year?
, select

If deficiencies were identified by the control function, were any measures taken with regard to them?

E5 Deficiencies identified by the control function are rectified
, select

E6 The deficiencies identified by the control function are not rectified, but the process to rectify them is currently underway
, select

E7 The deficiencies have been left unrectified, select

EU regulations regarding sanctions

E8 Are new customers checked against the sanction lists before a business relationship is entered into?
, select

E9 Is a new beneficial owner checked against the sanction lists before a business relationship is entered into?
, select

E10 How often are existing customers checked against the sanction lists?
, select

E11 How often is a beneficial owner checked against the sanction lists?
, select

E12 Are cross-border transactions checked against the sanction lists?



, select

E13 Does the undertakings have assets or economic resources belonging to natural or legal persons, units or bodies that are identified on the sanction lists?

, select

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F. TRAINING

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Training to identify suspected money laundering and financing of terrorism

F1 Does the undertaking offer training for employees, consultants and other persons involved in its activities in a similar capacity with the aim of identifying suspected money laundering or financing of terrorism?

, select

F2 If the company does offer such training, has the content been updated in the past year?

, select

F3 If the undertaking does offer such training, has the content been adapted to the needs of different personnel categories?

, select

F4 If the undertaking offer such training, has the undertaking held any type of training for money laundering and the financing of terrorism in the past year?

, select

What components are included in the training (if applicable)?

F5 Content of applicable regulations

, select

F6 The undertakings general risk assessment

, select

F7 The undertakings procedures, guidelines, etc., to facilitate the identification of suspected money laundering and financing of terrorism

, select

F8 Typologies and methods for money laundering and the financing of terrorism

, select