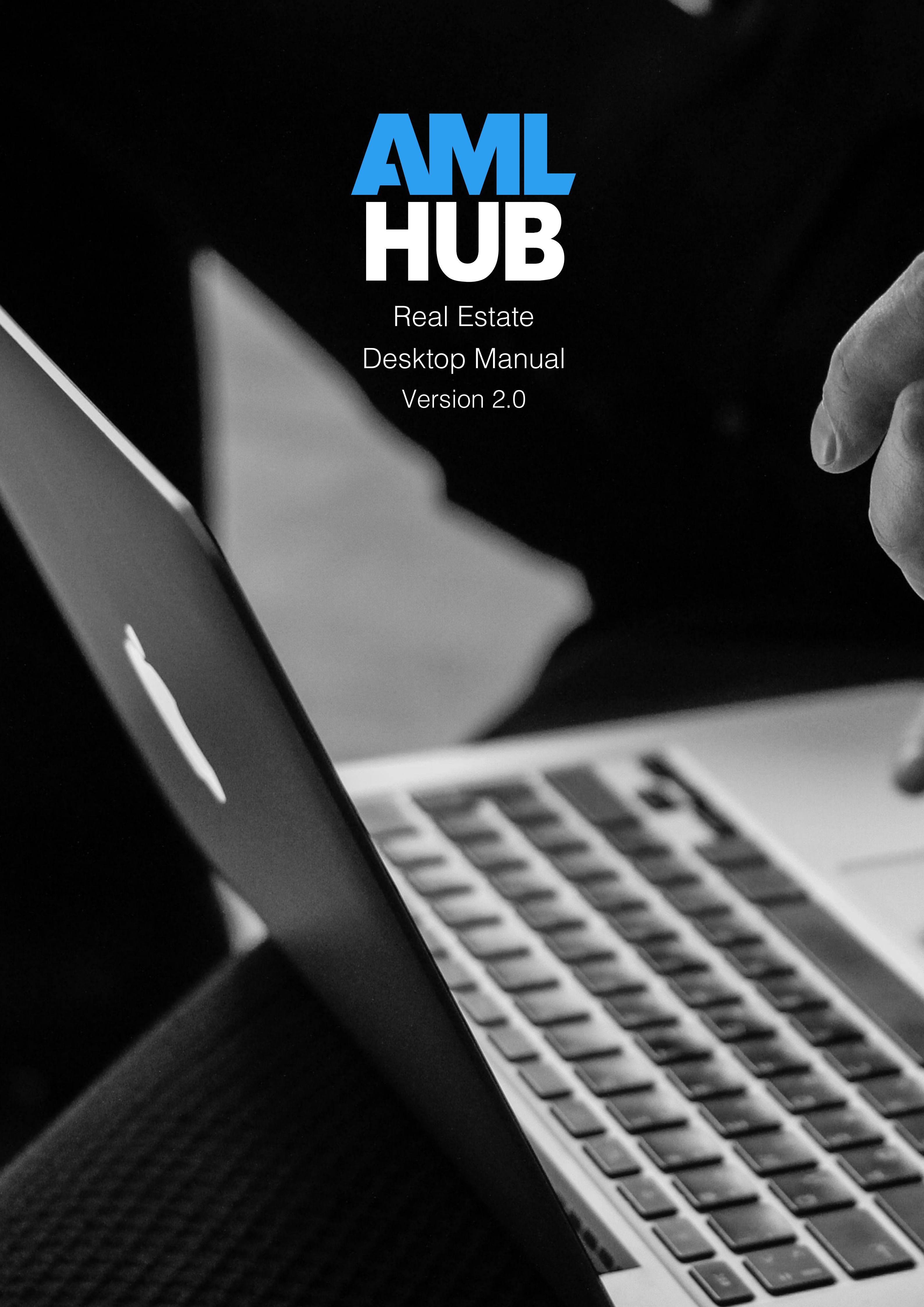


AML HUB

Real Estate

Desktop Manual

Version 2.0

Contents

Staff Assurance

Further Support

AML HUB

Introduction to the Desktop Manual

Email Verification

Following the creation of your user account, you will be sent a verification email from the AMLHub. If you cannot find this email in your primary inbox, it may be in your junk mail or spam folder.

1. Ensure the email is in your primary inbox. This may mean it has to be moved from your junk mail or spam folder.

2. Click 'verify email'.

3. Set your password (minimum of 8 characters).

Your user account is now verified; you can log in to both the AMLHub app and desktop with your email address and password.

Login

1. Visit the AMLHub desktop login page (amlhub.co.nz).

2. Log in using the following credentials:
   - email address; and
   - password – as you created it through the verification email, unless you have reset it since then.

3. You will be directed to a page where you select a reporting entity you would like to view. The number of reporting entities displayed on this list will depend on how many entities your user account is assigned to.

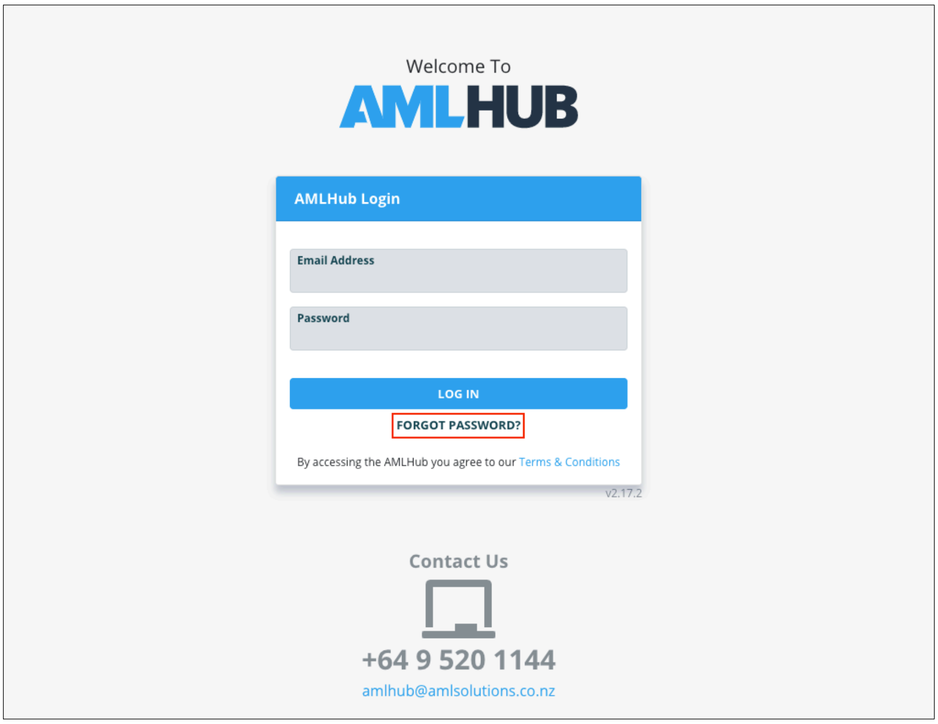
Password Reset

Unable to Log in to the AMLHub Desktop

If you are unable to log in to the AMLHub app or desktop due to either forgetting your password or entering an incorrect one, this can be reset from the AMLHub desktop login page.

1. Visit the AMLHub desktop login page (amlhub.co.nz).

2. Click 'forgot password?'.

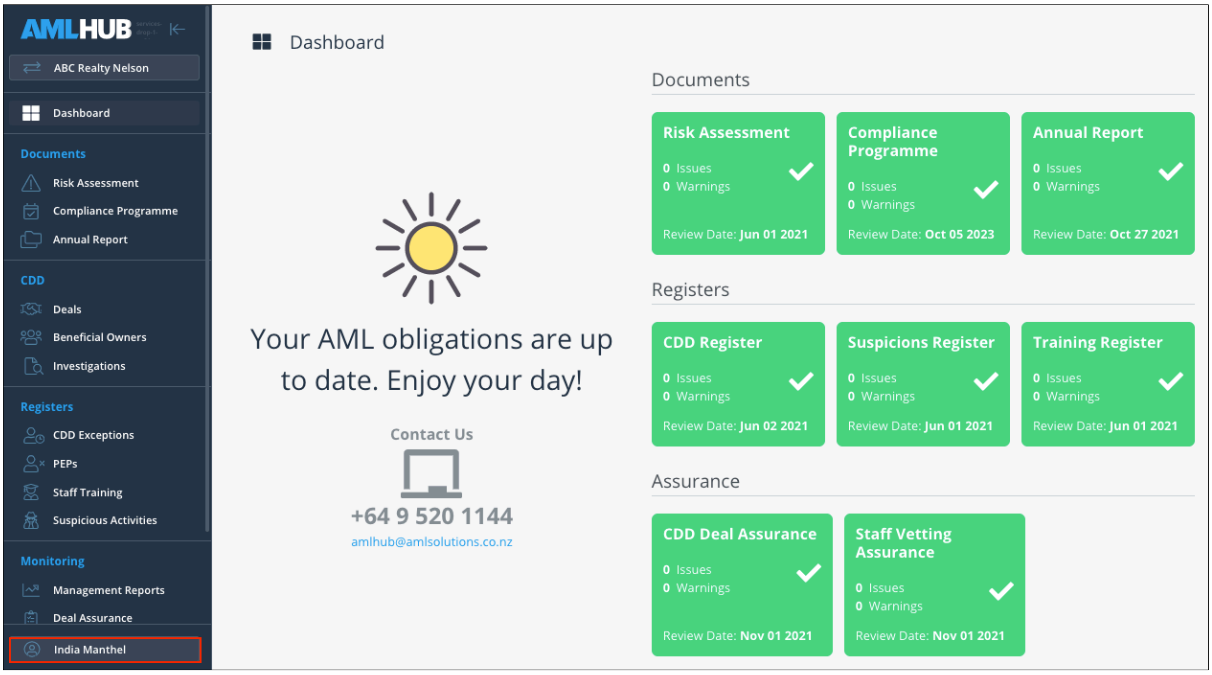


3. Enter the email address associated with your user account.
4. Click ‘send reset link’.
5. You will be sent an email allowing you to reset your password. If you cannot find this email in your primary inbox, it may be in your junk mail or spam folder.

Able to Log in to the AMLHub Desktop

Alternatively, if you are able to log into the AMLHub desktop, you can reset your password using the left-hand sidebar.

1. Click on your name, found in the bottom left-hand corner of the screen.

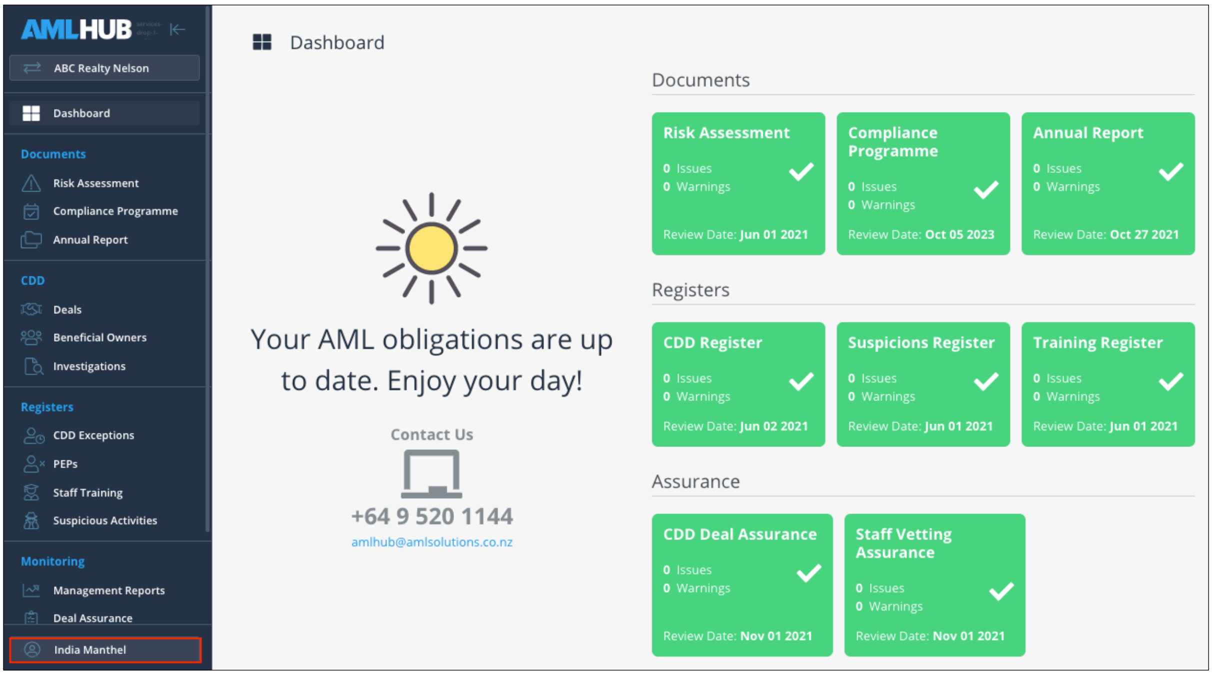


2. Click ‘profile’.
3. Click ‘request password reset’.
4. A pop-up message will appear to signal that a password reset email has been successfully sent to the email address associated with your user account. If you cannot find this email in your primary inbox, it may be in your junk mail or spam folder.

Updating Details

If you would like to update your details, you can do so from the dashboard of a reporting entity.

1. Click on your name, found in the bottom left-hand corner of the screen.



2. Click ‘profile’.
3. The following pop-up window will appear.

4. Make any necessary changes to your first name, last name and/or email address.
5. Click ‘save’.
6. It is now safe to click ‘close’, and exit out of the pop-up window.

Navigation

Dashboard

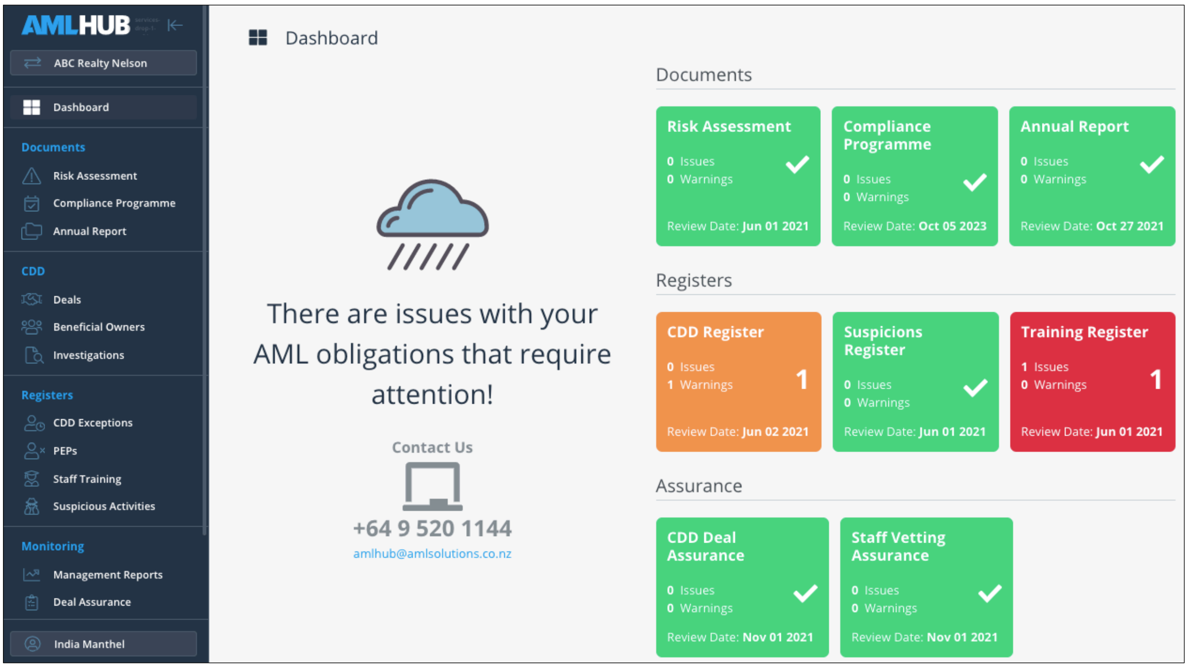
The dashboard of a branch will look as follows. Please note: the tiles on your dashboard may appear as either red, orange or green – each colour corresponds to a particular message.

- Green
  No warnings or issues.

- Orange
  One or more outstanding warnings

- Red
  One or more outstanding issues.

To navigate to various aspects of the AMLHub, use either the left-hand sidebar or the tiles displayed on the dashboard.



Switching Reporting Entities

1. From the dashboard of a reporting entity, click on this  icon, found to the left of the reporting entity's name.

2. Click 'browser'.

3. You will be directed to the homepage, displaying a list of reporting entities you are assigned to.

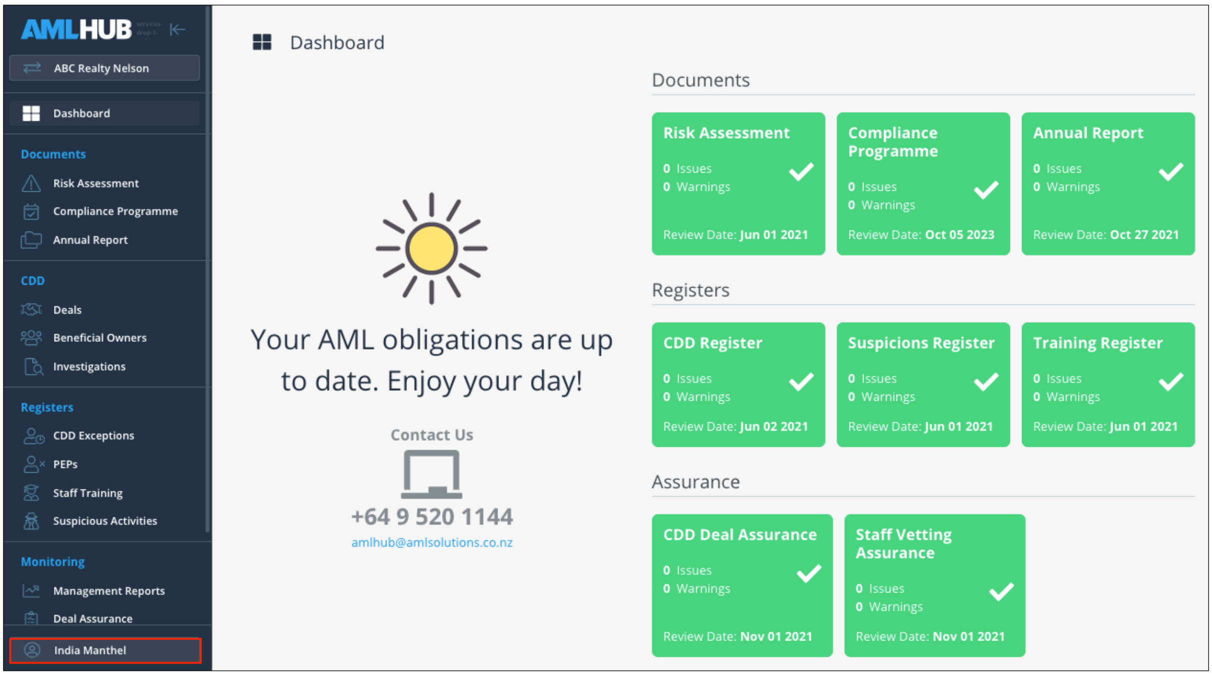
4. Click on the reporting entity you would like to switch to.

5. You will be directed to the dashboard of the reporting entity you have selected.

Logging Out of your Account

Logging out of your account can be done from the dashboard of a reporting entity.

1. Click on your name, found in the bottom left-hand corner of the screen.



2. Click ‘sign out’.

3. You will be directed to the login page of the AMLHub desktop.

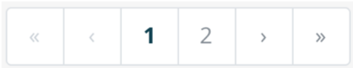
AML HUB

User Management

Navigation

You can navigate to the 'User Management' section of the AMLHub desktop through the left-hand sidebar, or by clicking on the tile found on the dashboard.

Searching for a User

The page will display a list of users, where you can navigate between multiple pages of users by scrolling to the bottom of the page and using these 

arrows. To search for a user, type their name into the 'Search Users' field.

Review Date

The review date set for the reporting entity's 'User Management' section can be found in the top right-hand corner of the screen 

. To edit this review date, click on this icon.

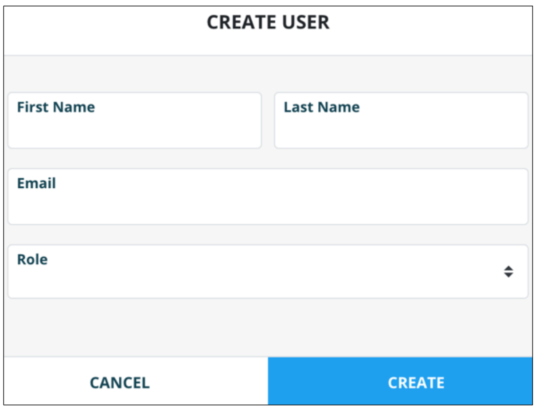
Adding & Removing Users

Adding a User

Adding a user to a reporting entity can be done through the 'User Management' section of the AMLHub desktop.

1. Click the 

button.
2. The following pop-up window will appear.



3. Enter the first & last name, email and role for the user.

4. Click ‘create’.

5. A pop-up window will appear to signal that the user has been successfully created.

Removing a User

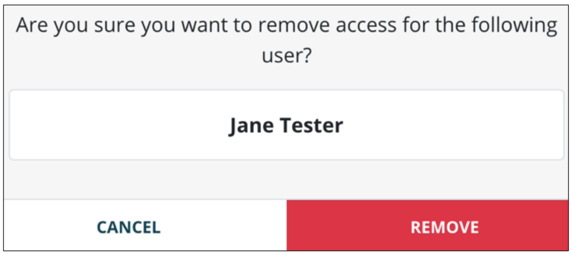
Note: if the user is a staff member, they cannot be removed from a reporting entity until their staff membership period has been concluded.

Removing a user from a reporting entity can be done through the ‘User Management’ section of the AMLHub desktop.

1. Locate the user you would like to remove by typing their name into the ‘Search Users’ field.

2. Click on this icon, found to the right of the user’s name.

3. The following pop-up window will appear.



4. Click ‘remove’.

5. A pop-up message will appear to signal that the user has been successfully removed from the reporting entity.

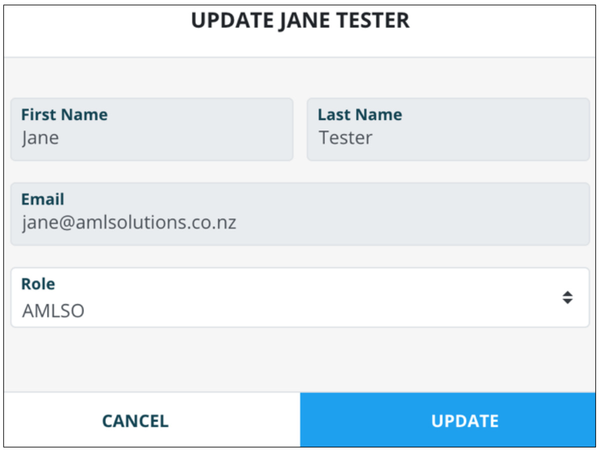
Updating a User Role

Updating the role of a user can be done through the ‘User Management’ section of the AMLHub desktop.

1. Locate the user whose details you would like to update by typing their name into the ‘Search Users’ field.

2. Click on this icon, found under the ‘Actions’ field to the right of the user’s name.

3. The following pop-up window will appear.



4. Select a role for the user from the drop-down menu.

5. Click ‘update’.

6. A pop-up message will appear to signal that the user has been successfully updated.

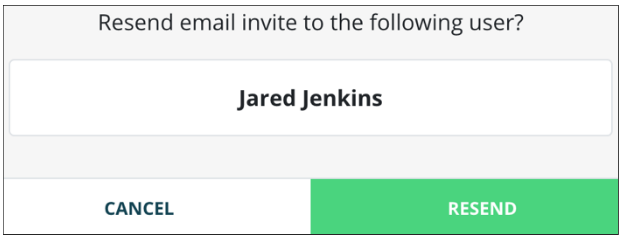
Re-Sending Email Verification

Re-sending a verification email to a pending user can be done through the ‘Users’ section of the AMLHub desktop.

1. Locate the user you would like to re-send a verification email to by typing their name into the ‘Search Users’ field.

2. Click on the **Pending** icon, found to the right of the user’s name.

3. The following pop-up window will appear.



4. Click ‘resend’.

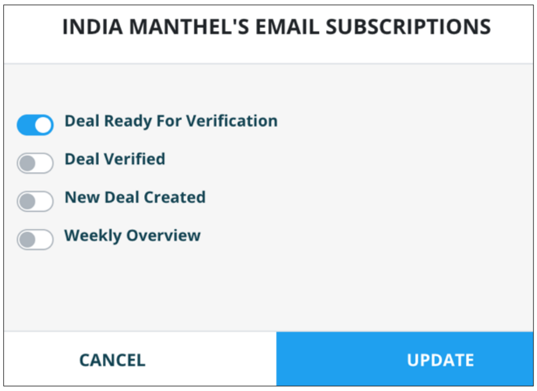
5. Another verification email will be sent to the email address associated with the user’s account. If they do not receive the email, this may be found in their junk mail or spam folder.

User Notifications

Enabling and/or disabling a user's email subscriptions can be done through the 'User Management' section of the AMLHub desktop.

1. Click on this icon, found under the 'Actions' field to the right of the user's name.

2. The following pop-up window will appear.



3. Click on the bar icon displayed to the left of any email subscription(s) you would like to turn on or off. The bar will appear grey if turned off and blue if turned on for that user.

4. Click 'update'.

5. A pop-up message will appear to signal that notifications for the user have been successfully updated.

6. If select notifications are turned on for a particular user, you will receive these email notifications to the email address associated with your user account.

Staff Members & Vetting

Introduction

Staff vetting is a requirement for all staff involved in AML obligations, such as onboarding new vendors and clients.

What is the Difference Between Staff Members and Users?

A *user* is a member added to a reporting entity. Depending on their allocated role, users are able to view different sections of the AMLHub desktop.

Users *without staff memberships* are those with no involvement in such AML obligations, for example, third party providers (CDD Outsourcing). Users with no staff membership may be allocated to several reporting entities, however, do not need to be vetted and cannot be added to the training register.

A *staff member* is a further classification of a user. A user meets the criteria for staff membership if they are involved in AML obligations, such as onboarding new vendors or clients. Staff members must be vetted.

Creating a Staff Membership

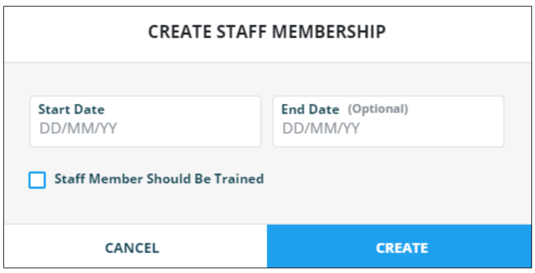
Note: to be added as a staff member, the user must have already been created and added to the reporting entity.

Classifying the user as a staff member can be done through the 'User Management' section of the AMLHub desktop.

1. Click on the 

button, found under the 'Staff Member' field to the right of the user's name.

2. The following pop-up window will appear.

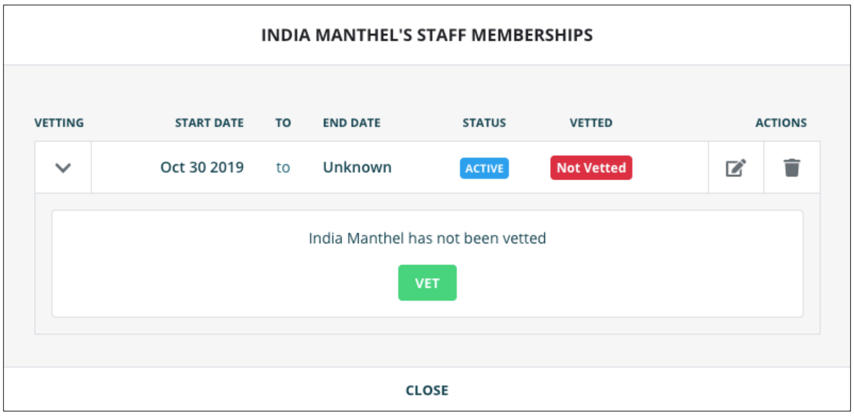


3. Enter the start date of the user; this should be the date the user started with the company. Entering the user's end date is an optional field.

4. Click on the ‘Staff Member Should Be Trained’ tick box, then select a respective training role for the user. If not selected, the staff member will not be added to the training register.

5. Click ‘create’.

6. The following pop-up window will appear.



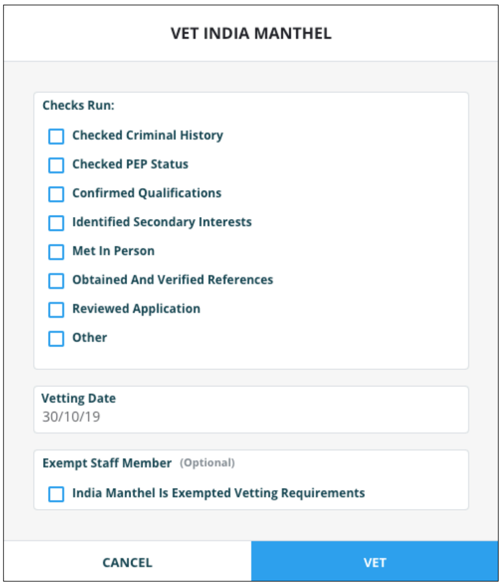
7. The user is now an active staff member, which means they are ready for vetting.

Vetting a Staff Member

Note: any staff member hired before the 1st of January 2019 can be exempted from the vetting process. All staff members hired after the 1st of January 2019 will need to be vetted.

1. From the pop-up window displayed in the image above, click on the VET button. This window can be accessed either directly after creation of a staff membership, or by clicking on the following icon, found under the ‘Actions’ field to the right of the user’s name.

2. The following pop-up window will appear after clicking the VET button.

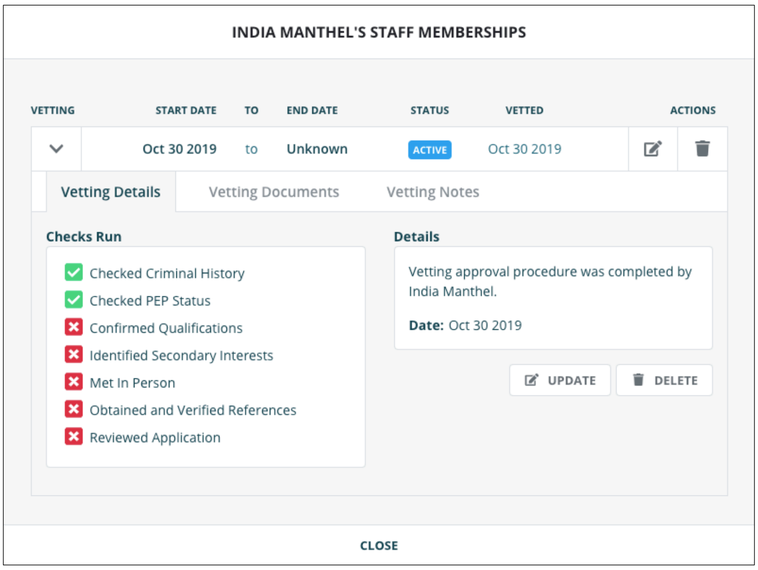


3. The list provided above is a guideline of possible checks that may have been conducted during the hiring process. Select the applicable checks conducted.

4. There is an 'other' option to add additional checks not included in the list. Tick the 'other' box and type in the name of the check conducted; click 'add'. You can add as many additional checks as desired (if any), just remember to click 'add' each time after typing in a particular check.

5. If the staff member was hired before 1st of January 2019, please disregard steps three & four and select the 'Exempt Staff Member' option.

6. The following window will appear, displaying which of the checks have been conducted.



To update the checks completed, click on the 

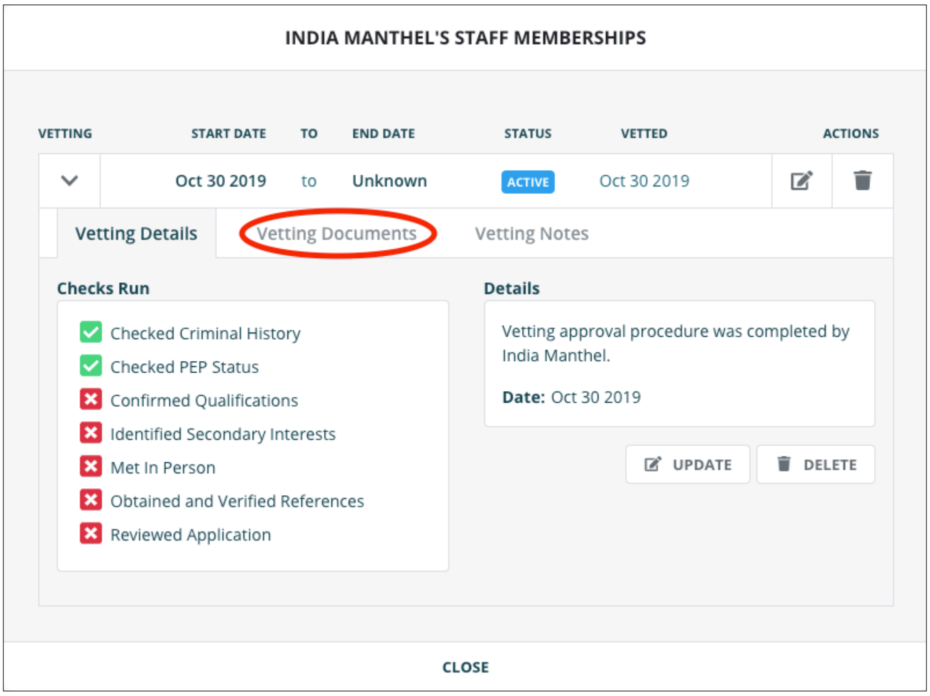
button and make any necessary changes.

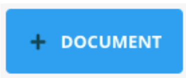
Uploading Vetting Documents

Vetting documents from checks conducted on a staff member can be uploaded to the AMLHub for accessibility and staff monitoring.

1. Open the staff memberships window either directly after creation of a staff membership, or by clicking on the following icon , found under the ‘Actions’ field to the right of the user’s name.

2. Navigate to the ‘Vetting Documents’ tab of this window.



3. Click on the 

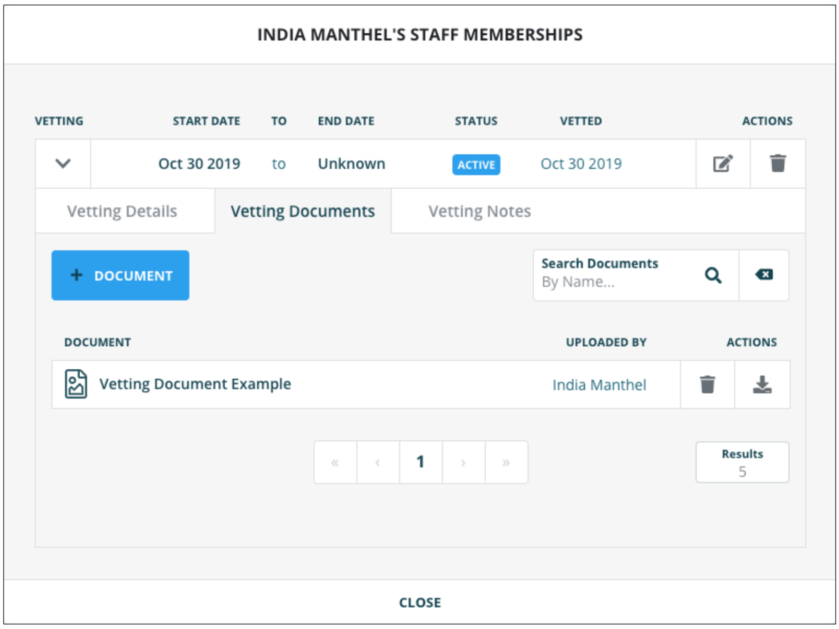
button.

4. Name the document.

5. Click ‘browse’ to select the document from your library.

6. Click ‘create’.

7. The uploaded document will then be displayed in the following window, under the ‘Vetting Documents’ tab.

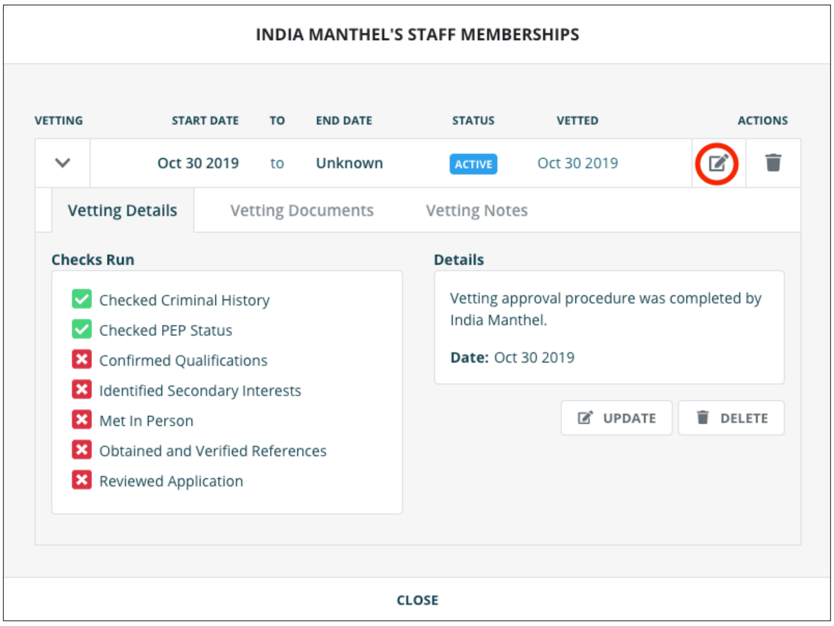


Concluding the Staff Membership Period for a User

Before concluding the period of staff membership, please check the CDD register to see if the staff member is assigned to any ‘New’ or ‘Ready’ deals. If this is the case, ensure a new user is added to such deal(s) before the staff member’s period is concluded.

1. Open the staff memberships window either directly after creation of a staff membership, or by clicking on the following icon , found under the ‘Actions’ field to the right of the user’s name.

2. Click on the ‘edit’ icon, displayed in the following window.



3. Enter the end date of the staff membership for the particular user.

4. Click ‘update’.

5. Underneath the ‘Staff Member’ tab found to the right of the user’s name, it will now say ‘ended’ with a subsequent end date.

6. If the user has left the reporting entity entirely and needs to be removed as a user from the branch, click on the icon, found under the ‘Actions’ field to the right of the user’s name.

Removing Staff Membership from a User

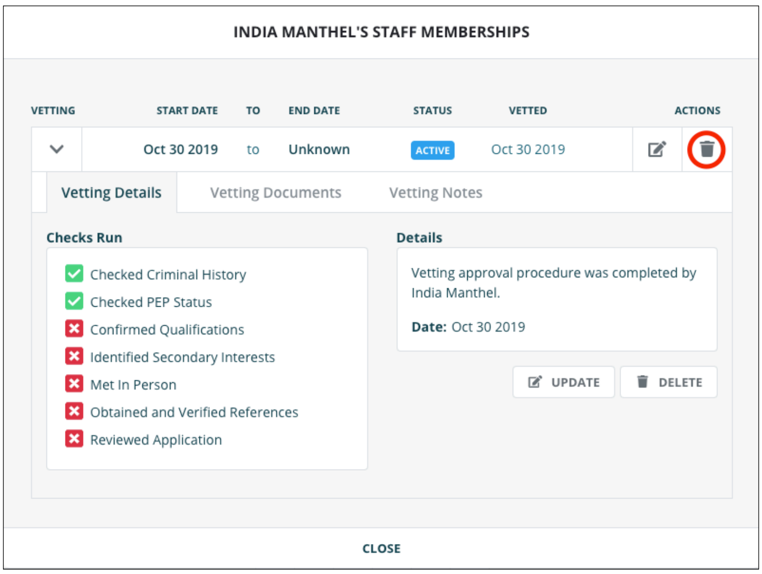
Removing the staff membership title from a user should be done only if, for example, the user was added as a staff member by mistake. If this is not the case, users should have their staff membership period concluded following the outlined procedure above.

Before removing the staff membership, please check the CDD register to see if the staff member is assigned to any unverified deals. If this is the case, ensure a new user is added to such deal(s) before the staff member is removed.

Note: this does not remove the user from a reporting entity, it removes the title of staff member from the user’s profile.

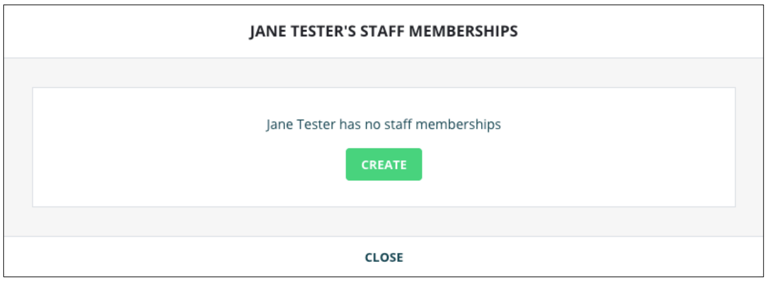
1. Open the staff memberships window either directly after creation of a staff membership, or by clicking on the following icon, found under the ‘Actions’ field to the right of the user’s name.

2. Click on this icon, displayed in the following window.



3. Click ‘delete’.

4. The following window will appear to indicate the removal of the staff membership from the user.



AML HUB

CDD Register

Introduction

The CDD register contains all deals loaded to the AMLHub by users of a reporting entity through either the AMLHub desktop or app. When first created, these deals will be unverified; they will then undergo the verification process, by those authorised to do so, in order to validate the deal for it to become a listing.

Navigation

There are three sections of the CDD register – 'Deals', 'Beneficial Owners' and 'Investigations'.

Deals Section

The page will display the following five tabs:

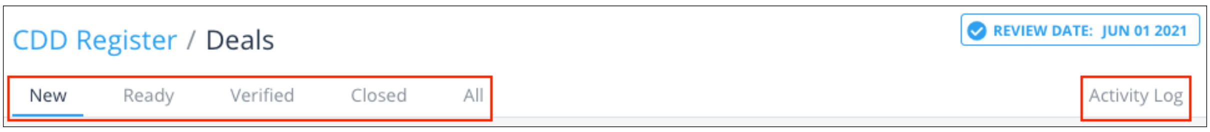
- **New**
  The deal appears here following its initial creation through either the AMLHub app or desktop.

- **Ready**
  A list of all deals marked ready for verification, but not yet verified.

- **Verified**
  Deals are moved to this section following the completion of the verification process.

- **Closed**
  Deals should be moved to this section of the CDD register from the 'Verified' section if a sale is made, the deal is not sold, or the client is lost. In these circumstances, the deal should not be deleted.

- **All**
  A combined list of all new, ready, verified and closed deals.



The CDD register additionally contains the 'Activity Log', which keeps a record of all activity occurring within the CDD register. You can navigate here by clicking on 'Activity Log', adjacent to the five tabs mentioned above.

Deals displayed within a particular tab of this section can be sorted through this icon.

The fields displayed for each deal within a particular tab can be adjusted through this icon.

Beneficial Owners Section

The page will display the following four tabs:

- **New**
  Owners appear here following their creation through either the AMLHub app or desktop.

- **Temporarily Excepted**
  A list of all owners that have been granted a temporary exception from the verification process.

- **Verified**
  Owners will be moved to this section following the completion of the verification process.

- **All**
  A combined list of all new, temporarily excepted and verified owners.

Owners displayed within a particular tab of this section can be sorted through this icon.

The fields displayed for each owner within a particular tab can be adjusted through this icon.

Investigations Section

This page displays a list of all company ownership investigations undertaken for companies onboarded to this reporting entity's CDD register. Results can be filtered using the fields in the top right-hand corner of the screen.

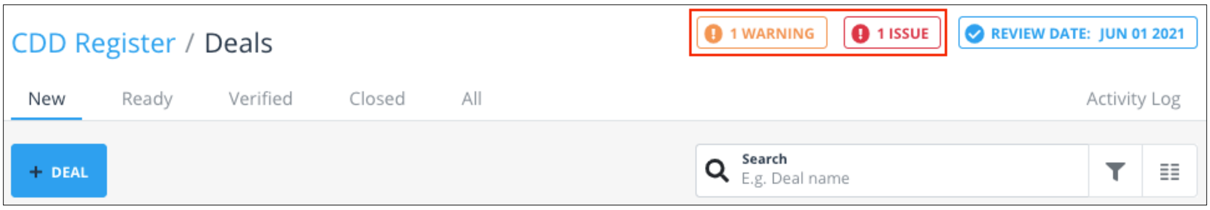
Review Date, Issues & Warnings

The review date set for the reporting entity's CDD register can be found in the top right-hand corner of the screen. To edit this review date, click on this REVIEW DATE: JUN 01 2021 icon.

Issues and/or warnings may appear in the CDD register in relation to temporary exceptions.

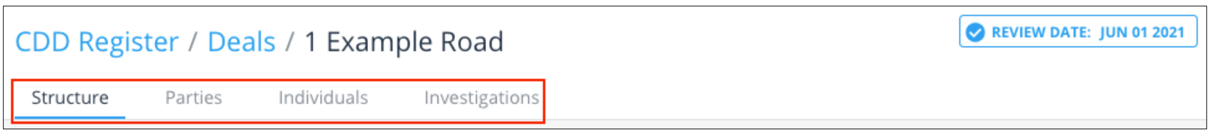
- A warning 1 WARNING will appear if a temporary exception has been granted for an individual and has not yet 'failed' or been resolved.
- An issue 1 ISSUE will appear if a temporary exception has surpassed its due date and is now overdue.

Warnings and issues are displayed in the top right-hand corner of the CDD register. Clicking on either icon will display the respective details of any outstanding warnings or issues.



Navigation Within a Deal

Once a deal has been created, there are four tabs you can navigate between within its structure.



- **Structure**
  A diagram of the deal's entire structure, including all individuals and parties onboarded to the AMLHub at their respective levels.
- **Parties**
  A list of all parties onboarded to the AMLHub for that particular deal.
- **Individuals**

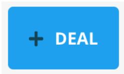
A list of all individuals onboarded to the AMLHub for that particular deal.

- **Investigations**
  A list of all company ownership investigations carried out on companies within that particular deal.

Creating and Deleting Deals

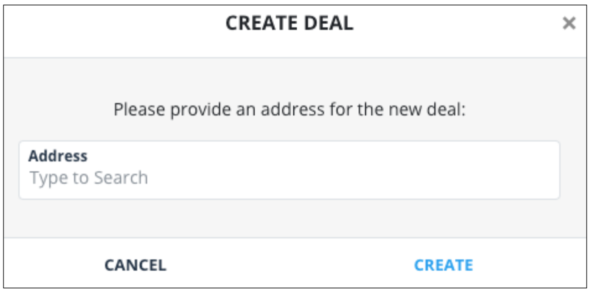
Creating a Deal

Creating a deal through the AMLHub desktop can be done under the 'New' tab of the CDD register 'Deals' section.

1. Click on the 

button.

2. The following pop-up window will appear.



3. Enter an address for the new deal.

4. Click 'create'.

5. You will be redirected to the deal's structure.

6. From here, individuals and parties can be onboarded to this deal. To enter further details about the deal itself, click on the deal name/property address and an 'Update Deal' pop-up window will appear on the right-hand side of the screen.

Deleting a Deal

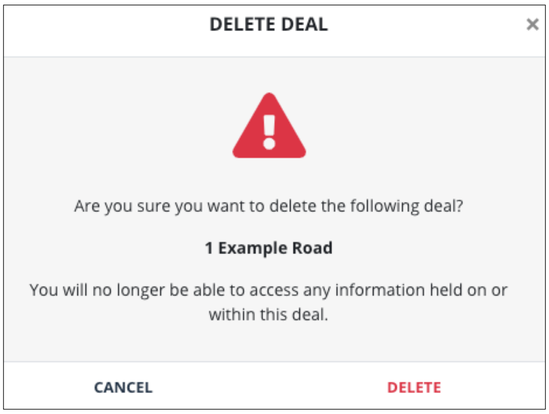
Deleting a deal should only be utilised in the instances of duplicates or accidental creation.

Deleting an unverified deal can be done through the 'New' tab of the CDD register 'Deals' section.

1. Click on this ••• icon, found under the 'Actions' field to the right of the deal name/property address.

2. Click 'delete'.

3. The following pop-up window will appear.



4. Click 'delete'.

Assigning Users to a Deal

Individuals with less permissions – such as sales agents – are only able to view and edit deals in the CDD register of the AMLHub desktop and their 'Update a Deal' section of the AMLHub app that they have been assigned to.

Individuals with more permissions – such as senior staff members – can view all deals in the CDD register of the AMLHub desktop; however, these individuals must be assigned to a deal if they want to view and edit this deal through the app.

Assigning users to an unverified deal can be done through the 'New' and 'Ready' tabs of the CDD register 'Deals' section.

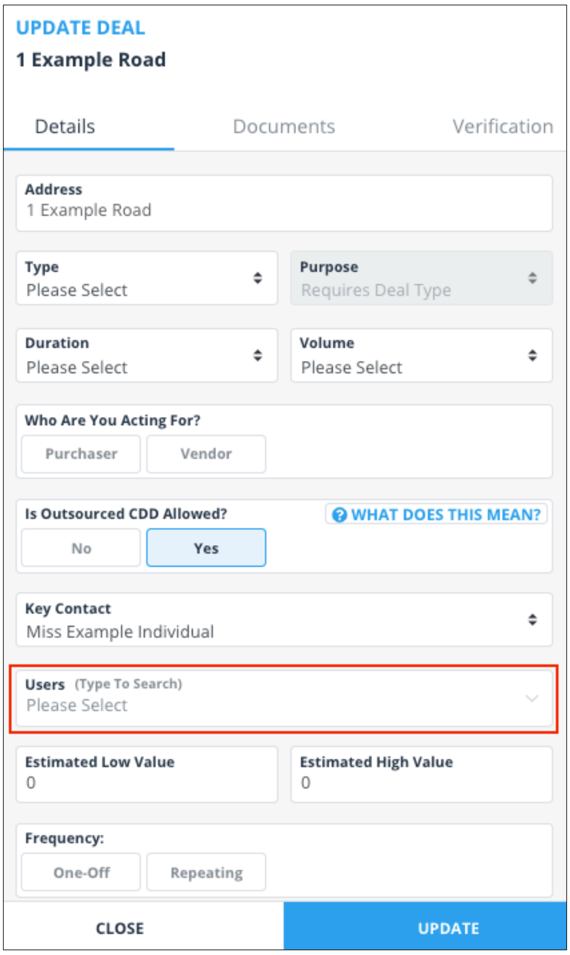
1. From the list of deals displayed under the 'New' or 'Ready' tab, click on the deal name/property address.

2. You will be redirected to the structure of the deal.

3. Under the deal's structure, click on the deal name/property address.

4. An 'Update Deal' pop-up window will appear on the right-hand side of the screen.

5. Under the 'Details' tab of this page, there is a 'Users' field. Click on this field and a drop-down menu will appear.



6. Select the user(s) you would like to assign to the deal by clicking on their name(s).

7. Click 'update'.

Onboarding Individuals and Parties

Onboarding an Individual

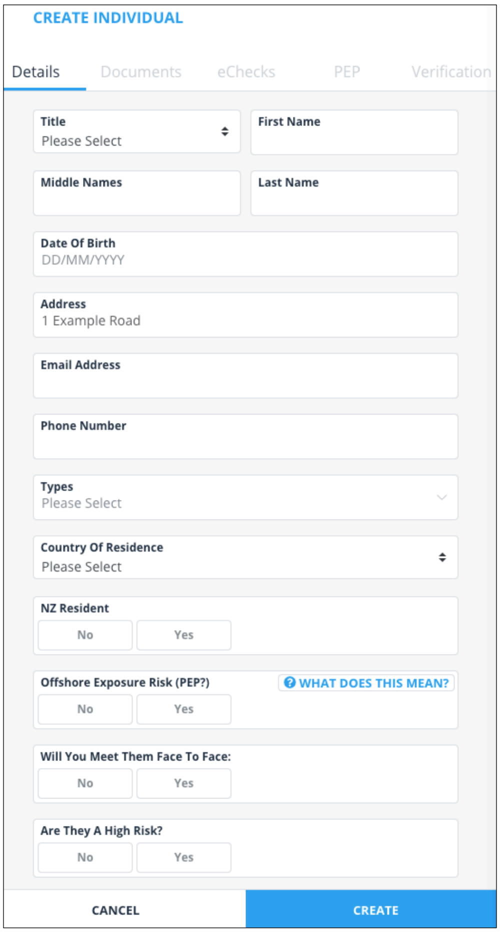
Onboarding an individual can be done, after a deal is created, through the 'New' tab of the CDD register 'Deals' section.

1. From the list of deals displayed under the 'New' tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on this icon, found to the right of the deal or party name.

3. Depending on the level within the structure, select 'add client – individual' or 'add individual'.

4. The following pop-up window will appear on the right-hand side of the screen. Enter the individual's details into the respective fields. Points to note:
    - The individual's current address may not necessarily be the address of the property being sold.
    - Entering an email address and phone number are especially important if you require CDD Outsourcing, so the individual can be contacted.



5. Click 'create'.

6. A pop-up message will appear to signal that the individual has been successfully created.

Run-Down of Individual Types

- **25%+ Ownership**
  This is where someone owns more than 25% of the asset, meaning they are a beneficial owner.

- **Trustee**
  Named in a trust deed as the trustee of a trust. For example, for a family trust this would typically be the husband and wife, and their lawyer.

- **Settlor**
  Settlor of the trust; the named Settlor in a trust deed.

- **Effective Controller i.e. Director**
  Someone who is in effective control of the asset i.e. Managing Director, who may also be a 25%+ shareholder.

- **Acting on Behalf of Client**
  Someone who is instructing you on behalf of the owner. This may be a lawyer or power of attorney.

- **Executor**
  The executor of the will.

Onboarding a Party

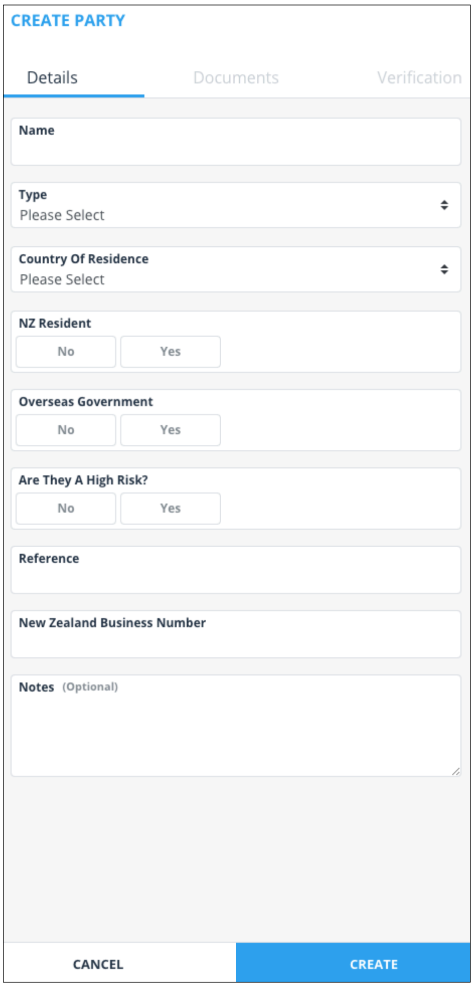
Onboarding a party can be done, after a deal is created, through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on this icon, found to the right of the deal or party name.

3. Depending on the level within the structure, select ‘add client – party’ or ‘add party’.

4. The following pop-up window will appear on the right-hand side of the screen. Enter the party’s details into the respective fields.



5. Click ‘create’.

6. A pop-up message will appear to signal that the party has been successfully created.

Note: all trusts are automatically marked as high risk.

Company Ownership Investigations

Completing a Company Ownership Investigation

Note: the party must be added to the AMLHub before this process can occur. A charge of $6.00 applies to every company ownership investigation undertaken through the AMLHub.

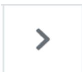
Completing a company ownership investigation can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

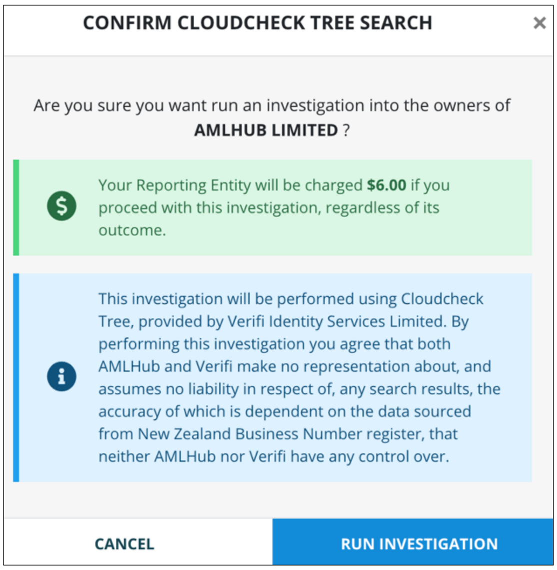
2. Click on this icon, found to the right of the company name.

3. Click ‘find owners’.

4. The following pop-up window will appear. All companies that are registered in the New Zealand Companies Register and match the name of the onboarded party will be displayed.

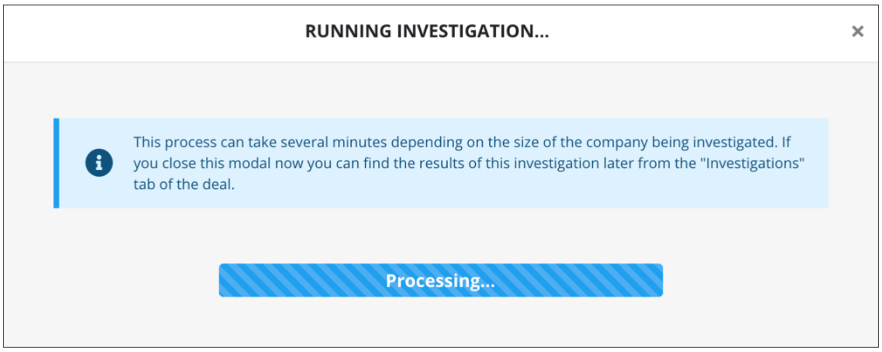
5. Click on this  icon, found to the right of the search result that you would like to investigate.

6. The following pop-up window will appear.

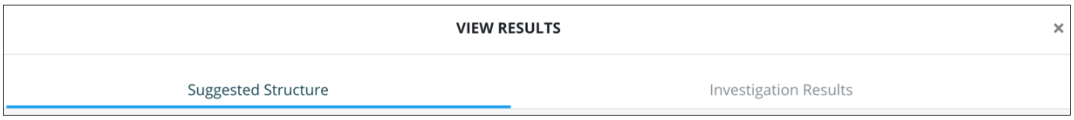


7. Click ‘run investigation’.

8. The following pop-up window will appear.



9. Once the investigation is complete, you will be directed to a pop-up window displaying two tabs.
    - **Suggested Structure** – the suggested structure to onboard to the AMLHub. In some cases, depending on ownership percentage, not all individuals and parties yielded from the results of the investigation will be displayed in this tab. This structure can be added to the AMLHub by clicking ‘apply’.
    - **Investigation Results** – a list of all directors, shareholders and possible trusts that may be involved in the company.



Viewing Investigation Results

Viewing company ownership investigation results can be done through any tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the tab, click on the deal name/property address to bring up the deal’s structure.

2. Navigate to the ‘Investigations’ tab.

3. Click on this  icon, found under the ‘Results’ field to the right of the investigation ID.

OR

Viewing company ownership investigation results can be done through the CDD register ‘Investigations’ section.

1. Click on this  icon, found under the ‘Results’ field to the right of the investigation ID.

Document Upload

Uploading Documents to a Deal

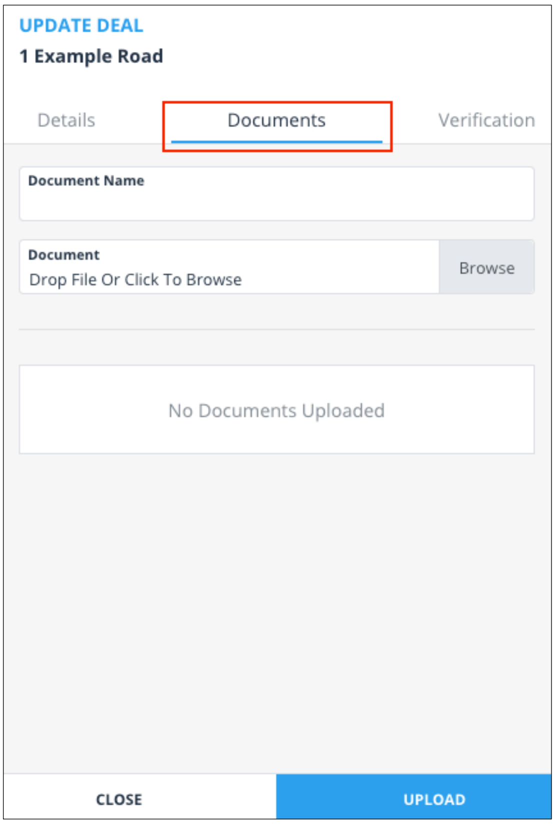
Uploading documents to an unverified deal can be done through the 'New' tab of the CDD register 'Deals' section.

1. From the list of deals displayed under the 'New' tab, click on the deal name/property address to bring up the structure of the deal.

2. Under the deal's structure, click on the deal name/property address.

3. An 'Update Deal' pop-up window will appear on the right-hand side of the screen.

4. Navigate to the 'Documents' tab of this window.



5. Enter the name of the document.

6. Either drag & drop OR click 'browse' and then choose the desired document to be uploaded from your device's library.

7. Click 'upload'.

8. A pop-up message will appear to signal a successful document upload.

Uploading Documents to a Party

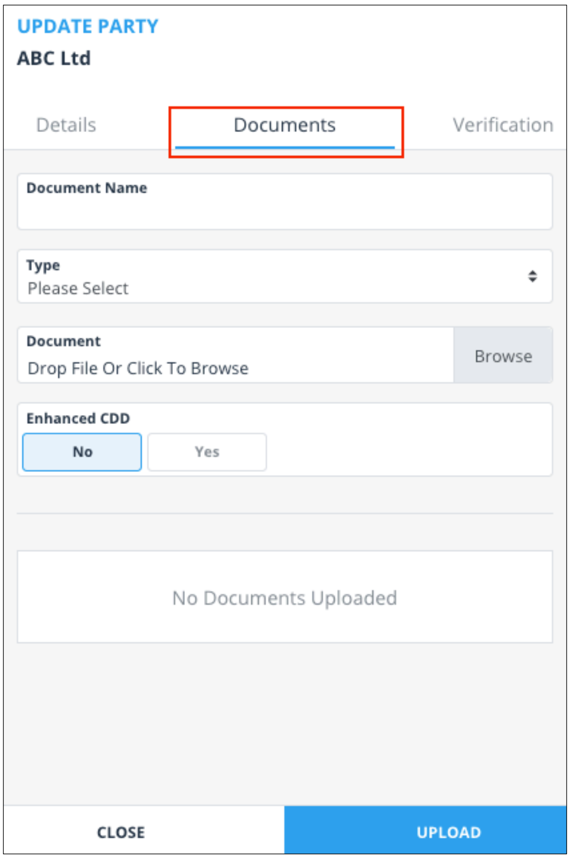
Uploading documents to a party within an unverified deal can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Under the deal’s structure, click on the name of the party you would like to upload documents to.

3. An ‘Update Party’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Documents’ tab of this window.



5. Enter the name of the document.

6. Select document type.

7. Either drag & drop OR click ‘browse’ and then choose the desired document to be uploaded from your device’s library.

8. Click ‘upload’.

9. A pop-up message will appear to signal a successful document upload.

Uploading Documents to an Individual

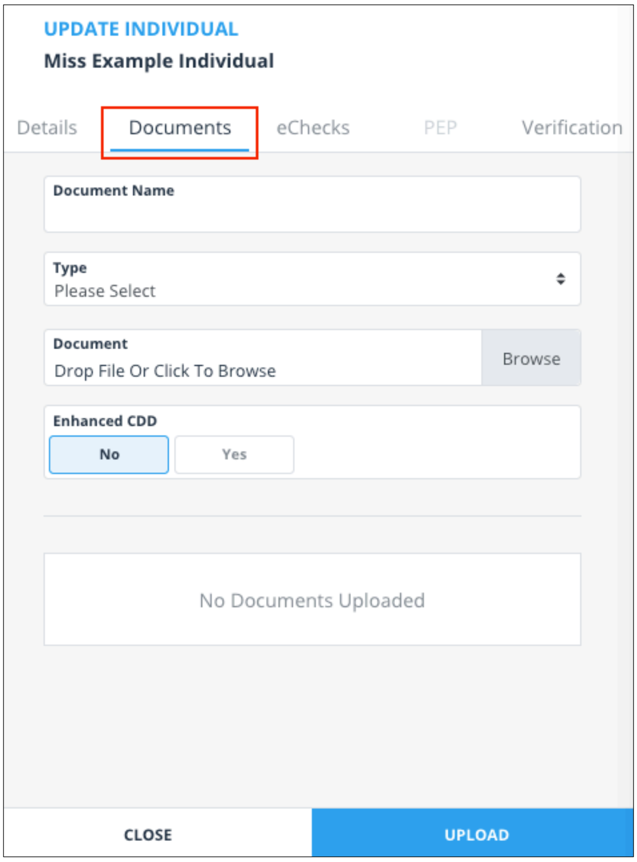
Uploading documents to an individual within an unverified deal can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Under the deal’s structure, click on the name of the individual you would like to upload documents to.

3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Documents’ tab of this window.



5. Enter the name of the document.

6. Select document type.

7. Either drag & drop OR click ‘browse’ and then choose the desired document to be uploaded from your device’s library.

8. Click ‘upload’.

9. A pop-up message will appear to signal a successful document upload.

Outsourcing CDD

Contact

To find out information on the status of a deal being outsourced via the AMLHub, please contact CDD Outsourcing directly.

- Phone: 0508 233 123
- Email: info@cddoutsource.co.nz

Process Outline

1. CDD Outsourcing is granted access to your reporting entity.
2. User elects for CDD to be outsourced.
3. Key contact is selected for the deal.
4. CDD Outsourcing is assigned to the deal.
5. A request is made for CDD to be outsourced for that particular deal.
6. You will be contacted by CDD Outsourcing in regard to the request made.
7. CDD Outsourcing will correctly onboard deal structure (if not done already), complete CDD and collect & verify source of funds/wealth (if need be).
8. When finished, CDD Outsourcing will mark the deal ready for verification.
9. If user notifications are enabled, you will be notified of the deal having been marked ready for verification.

Granting CDD Outsourcing Access to your Reporting Entity

In order to engage with the services of CDD Outsourcing, you will need to add one of their staff members as a user to your reporting entity in the AMLHub.

1. Navigate to the ‘User Management’ section of the AMLHub desktop using the left-hand sidebar.
2. Click on the 

button.

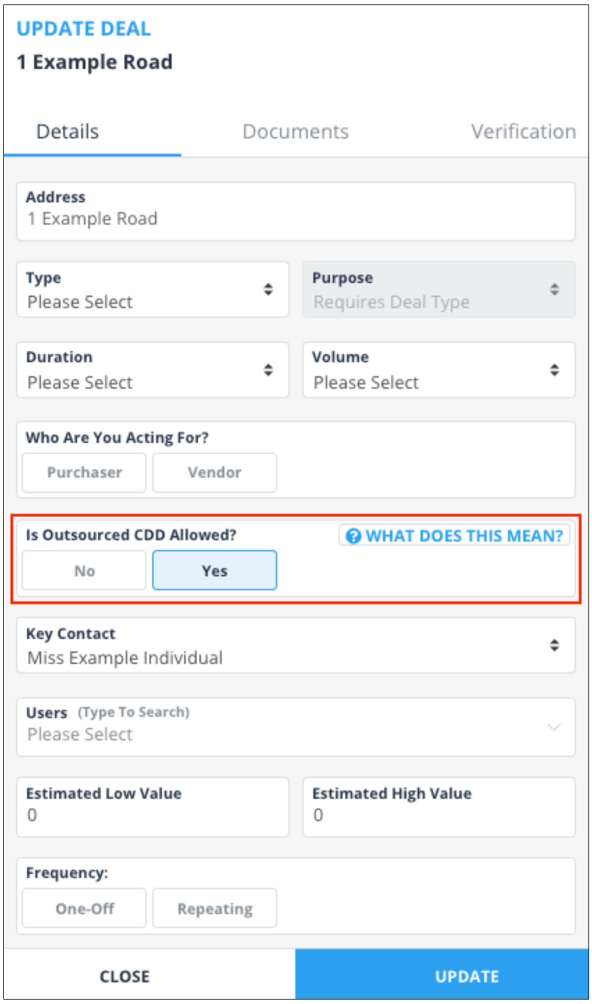
3. A pop-up window will appear. Enter the following details into the fields of the window:
   First name: Karen
   Last name: Jackson
   Email: info@cddoutsource.co.nz
   Role: 'CDD Outsourcer'

4. A pop-up message will appear to signal that the user has been successfully added to your reporting entity.

Electing to Outsource CDD

When creating a deal through the AMLHub app or desktop, users will be asked the question 'Is Outsourced CDD Allowed?'. If you would like to outsource the CDD for a particular deal, select 'yes' to this field.

Please note: electing to outsource the CDD in this question **does not** make a direct request to CDD Outsourcing (this must be done in a separate step, highlighted below). When this question is answered as 'yes', it then allows for a request to be made for the services of CDD Outsourcing through the 'Verification' tab of the 'Update Deal' window.

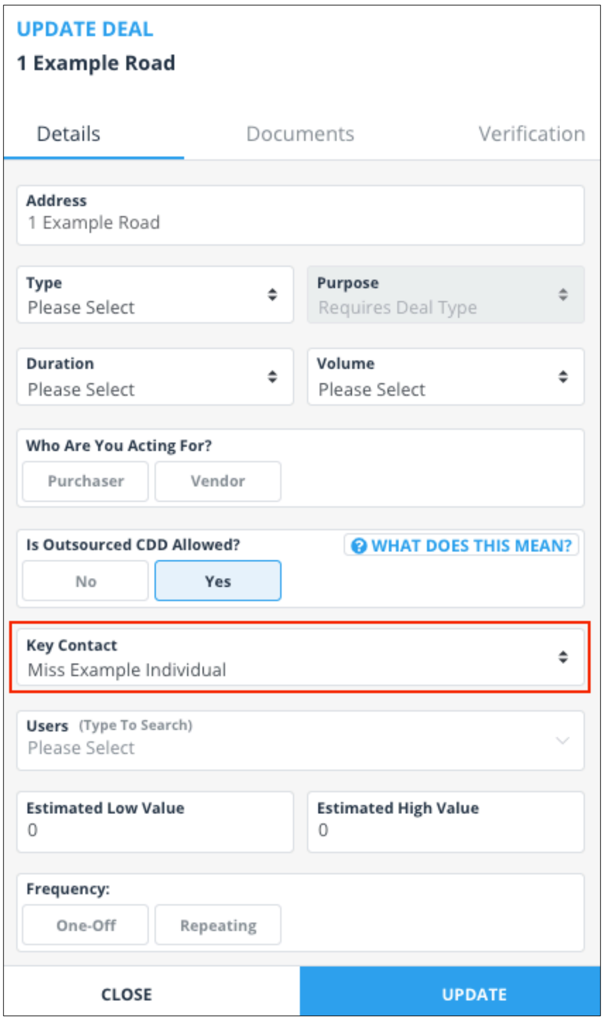


Key Contact

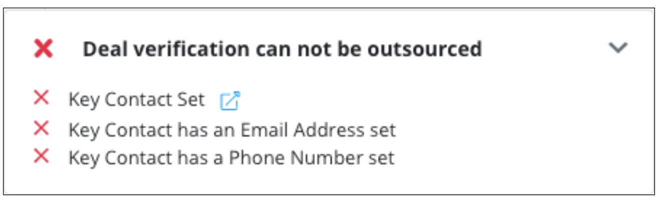
CDD Outsourcing requires a key contact to be selected; they will contact this individual in order to correctly onboard the structure of the deal and complete CDD. Please ensure at least one individual is onboarded for this purpose and the following fields are filled out for that individual:

- email address; and
- phone number.

Under the 'Update Deal' pop-up window, select the individual from the drop-down menu in the 'Key Contact' field who should be contacted by CDD Outsourcing.



You will be unable to request outsourced CDD if a key contact has not been selected and onboarded with an email address & phone number.



Assigning CDD Outsourcing to the Deal

Once Karen Jackson has been added as a user to the reporting entity and you have answered 'yes' to whether you would like to outsource the CDD, Karen must be assigned to the particular deal in order to be able to view it in her CDD register.

Assigning users to an unverified deal can done through the 'New' tab of the CDD register 'Deals' section.

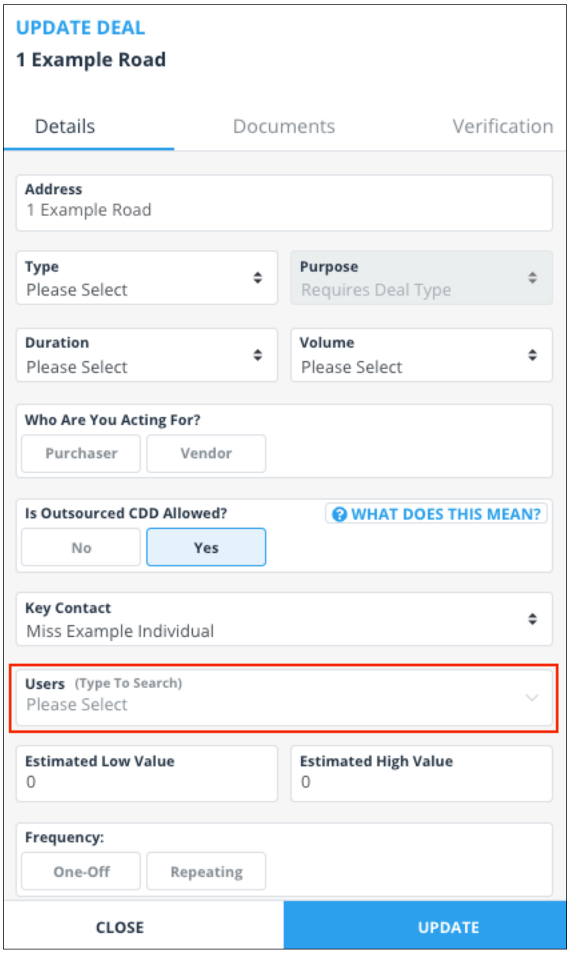
1. From the list of deals displayed under the 'New' tab, click on the deal name/property address to bring up the structure of the deal.

2. Under the deal's structure, click on the deal name/property address.

3. An 'Update Deal' pop-up window will appear on the right-hand side of the screen.

4. Under the 'Details' tab of this window, there will be a 'Users' field. Click on this field and a drop-down menu will appear.

5. Click on Karen's name to assign her to the deal.



6. Click 'update'.

Requesting to Outsource CDD

Requesting for CDD to be outsourced can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Under the deal’s structure, click on the deal name/property address.

3. An ‘Update Deal’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.

5. Click on this 

button.

6. A request will be sent to CDD Outsourcing for that particular deal.

Following the Request

1. You will be contacted by CDD Outsourcing via email, where they will notify you of them having received your request.

2. CDD Outsourcing will correctly onboard the remainder of the deal structure (if not onboarded already), complete CDD and collect & verify source of funds/wealth (where applicable).

3. Once complete, CDD Outsourcing will mark the deal ready for verification.

4. Anyone with the email subscription ‘Deal Ready for Verification’ enabled will receive an email, notifying them of the deal having been marked as ready.

5. After CDD Outsourcing has marked the deal ready for verification, you will be able to verify the deal as per the normal process.

Updating Details

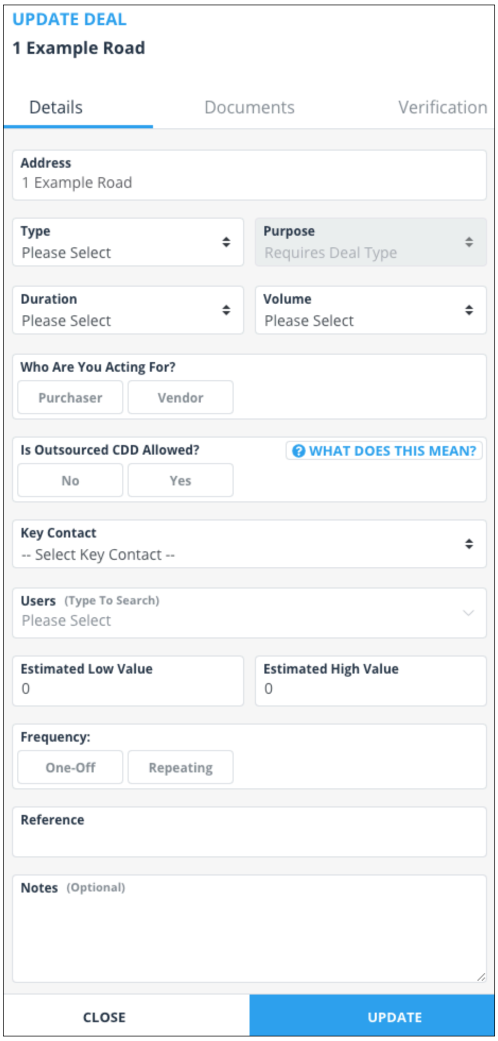
Updating the Details of a Deal

Updating the details of an unverified deal can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Under the deal's structure, click on the deal name/property address.

3. An 'Update Deal' pop-up window will appear on the right-hand side of the screen.



4. Make any desired changes to the details of the deal.

5. Click 'update'.

6. A pop-up message will appear to signal that the deal has been successfully updated. It is now safe to click 'close', which exits the 'Update Deal' window.

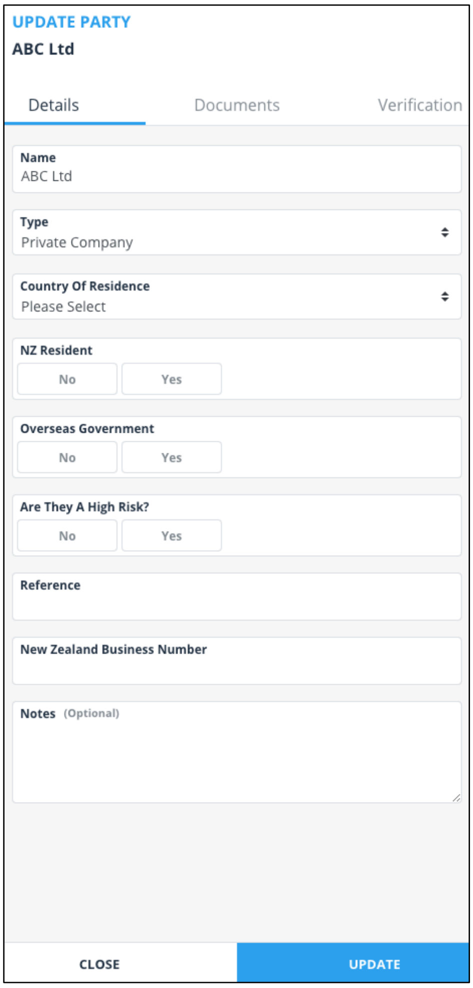
Updating the Details of a Party

Updating the details of an unverified party within an unverified deal can be done through the 'New' tab of the CDD register 'Deals' section.

1. From the list of deals displayed under the 'New' tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the party you would like to update.

3. An ‘Update Party’ pop-up window will appear on the right-hand side of the screen.



4. Make any desired changes to the details of the party.

5. Click ‘update’.

6. A pop-up message will appear to signal that the party has been successfully updated. It is now safe to click ‘close’, which exits the ‘Update Party’ window.

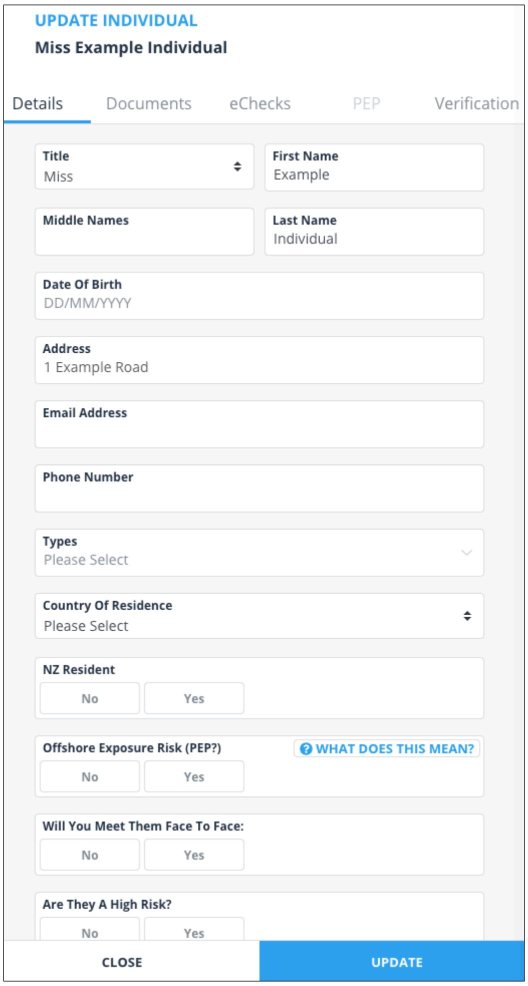
Updating the Details of an Individual

Updating the details of an unverified individual within an unverified deal can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the individual you would like to update.

3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.



4. Make any desired changes to the details of the individual.

5. Click ‘update’.

6. A pop-up message will appear to signal that the individual has been successfully updated. It is now safe to click ‘close’, which exits the ‘Update Individual’ window.

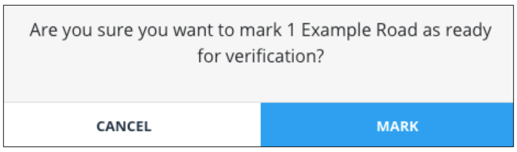
Marking Ready for Verification

Marking a deal ready for verification can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on this icon, found to the right of the deal name/property address.

3. Click ‘mark as ready’.
4. The following pop-up window will appear.

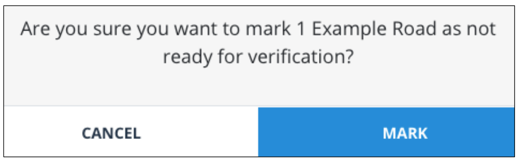


5. Click ‘mark’.
6. An icon to the right of the deal name/property address should now appear green, like so .
7. The deal can now be located in the ‘Ready’ tab.
8. If an individual authorised to undertake the verification process has the email subscription ‘Deal Ready for Verification’ enabled, they will receive an email notifying them of this deal having been marked as ready for verification.

Marking as Not Ready for Verification

Marking a deal as not ready for verification can be done through the ‘Ready’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘Ready’ tab, click on the deal name/property address to bring up the structure of the deal.
2. Click on this icon, found to the right of the deal name/property address.
3. Click ‘mark as not ready’.
4. The following pop-up window will appear.



5. Click ‘mark’.
6. This icon to the right of the deal name/property address should now appear grey.
7. The deal can now be located in the ‘New’ tab.

Manual Verification

Note: each individual and party onboarded to the deal must be verified before you can verify the deal itself.

Manually Verifying an Individual

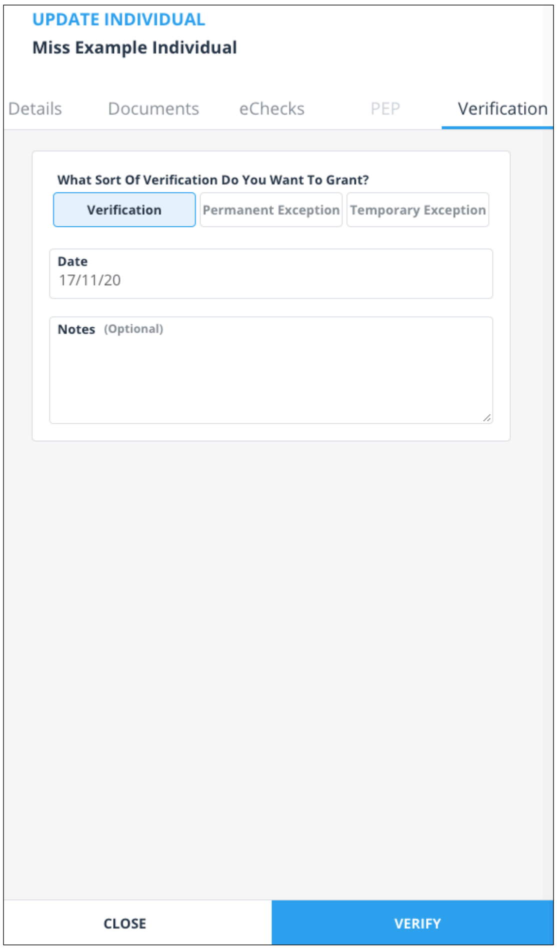
Manually verifying an individual onboarded to an unverified deal can be done through the ‘New’ and ‘Ready’ tabs of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ or ‘Ready’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the individual.

3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.



5. Select the type of verification.

6. Enter the verification date.

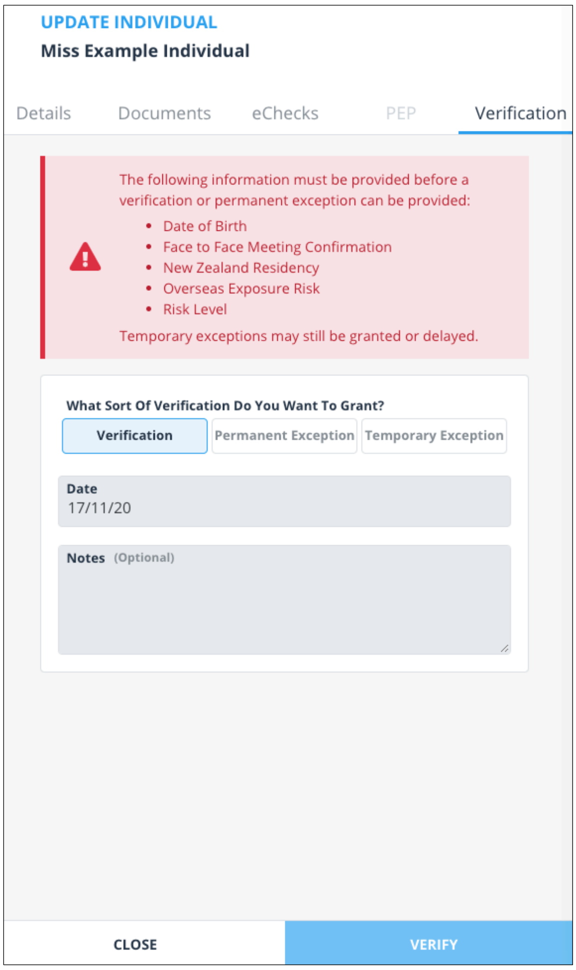
7. Add any notes you may feel are necessary for keeping an accurate and traceable record of the individual's verification.

8. Click 'verify'.

9. A pop-up window will appear to signal that the individual has been successfully verified. It is now safe to click 'close' and repeat this verification process for any additional individuals needing to be verified.

Individual Verification Warning

Particular fields must be filled out before an individual can be verified. Any fields yet to be filled out before verification can proceed will be listed under the 'Verification' tab of the 'Update Individual' window.



Manually Verifying a Party

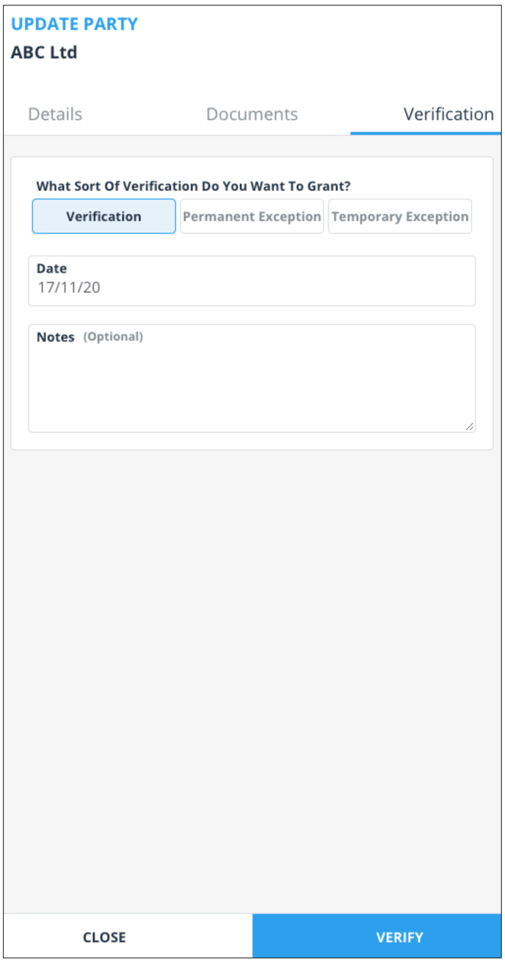
Manually verifying a party onboarded to an unverified deal can be done through the 'New' and 'Ready' tabs of the CDD register 'Deals' section.

1. From the list of deals displayed under the 'New' or 'Ready' tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the party.

3. An 'Update Party' pop-up window will appear on the right-hand side of the screen.

4. Navigate to the 'Verification' tab.



5. Select the type of verification.

6. Enter the verification date.

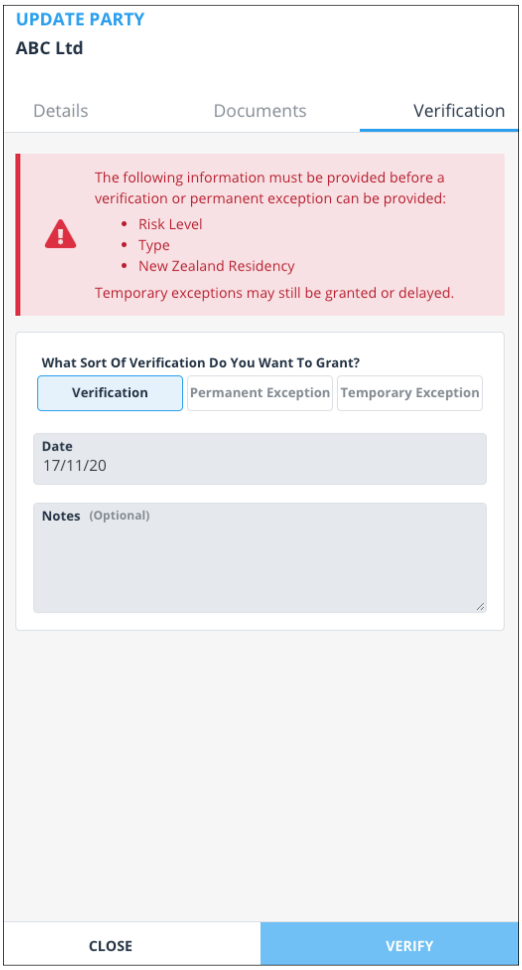
7. Add any notes you may feel are necessary for keeping an accurate and traceable record of the party's verification.

8. Click 'verify'.

9. A pop-up window will appear to signal that the party has been successfully verified. It is now safe to click ‘close’ and repeat this verification process for any additional parties needing to be verified.

Party Verification Warning

Particular fields must be filled out before a party can be verified. Any fields yet to be filled out before verification can proceed will be listed under the ‘Verification’ tab of the ‘Update Party’ window.



Manually Verifying a Deal

Manually verifying an unverified deal can be done through the ‘New’ and ‘Ready’ tabs of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ or ‘Ready’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Under the deal’s structure, click on the deal name/property address.

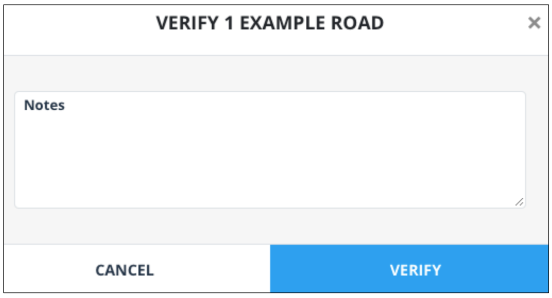
3. An ‘Update Deal’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.

5. Click on the 

button.

6. The following pop-up window will appear.



7. Add any notes you may feel are necessary for keeping an accurate and traceable record of the deal’s verification.

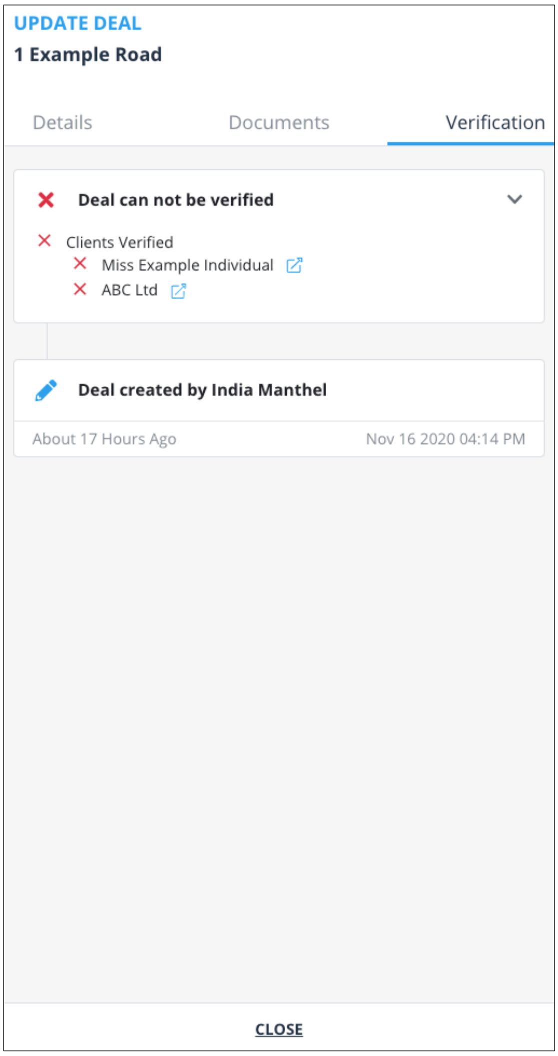
8. Click ‘verify’.

9. A pop-up message will appear to signal that the deal has been successfully verified.

10. Once all individuals, parties and the deal itself have been verified, the deal will appear under the ‘Verified’ tab.

Deal Verification Warning

Particular fields must be filled out before a deal can be verified. Any fields yet to be filled out before verification can proceed will be listed under the ‘Verification’ tab of the ‘Update Deal’ window.



Revoking Verification

Revoking a Deal Verification

Revoking a deal verification can be done through the ‘Verified’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘Verified’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Under the deal’s structure, click on the deal name/property address.

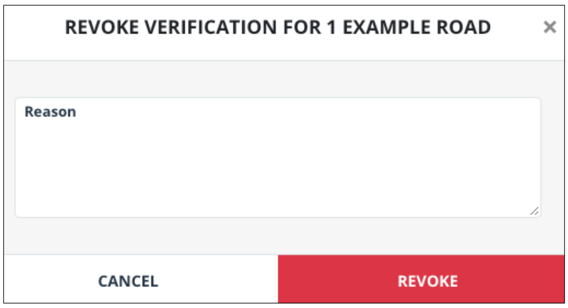
3. An ‘Update Deal’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.

5. Click on the 

button.

6. The following pop-up window will appear.



7. Enter a reason for revoking the verification.

8. Click ‘revoke’.

9. A pop-up message will appear to signal that the deal verification has been successfully revoked.

10. The deal will now appear under the ‘New’ tab.

Revoking a Party Verification

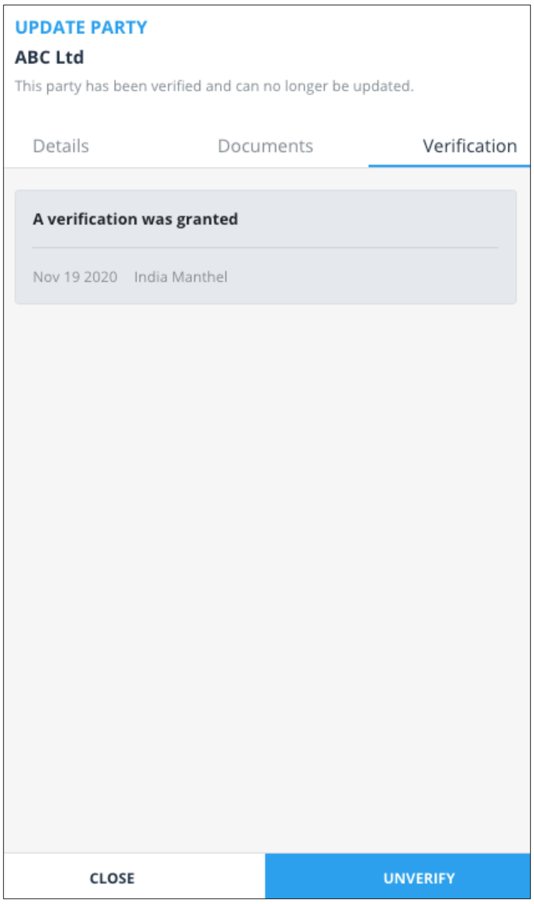
Revoking a party verification can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the party.

3. An ‘Update Party’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.



5. Click ‘unverify’.

6. You will now be able to make further changes and upload additional documents to the unverified party.

Note: the deal itself must be unverified before any party verifications can be revoked.

Revoking an Individual Verification

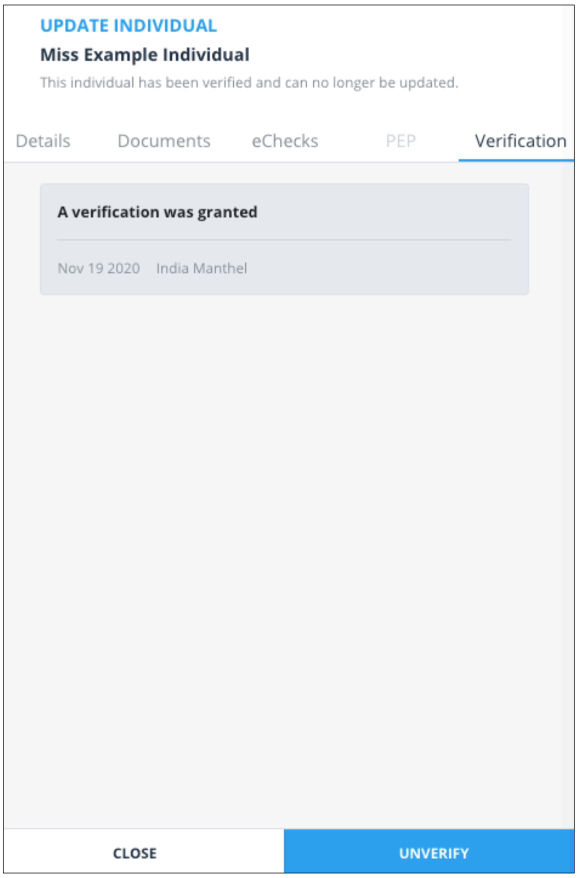
Revoking an individual verification can be done through the ‘New’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the individual.

3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.



5. Click ‘unverify’.

6. You will now be able to make further changes and upload additional documents to the unverified individual.

Note: the deal itself must be unverified before any individual verifications can be revoked.

Drag and Drop

This feature allows for the remedying of any incorrectly onboarded structures within an unverified deal. For example, if a beneficial owner has been onboarded under the same level of the structure as the client.

Note: when moving a party using drag and drop, all individuals onboarded underneath this entity will be moved also. Individuals and parties can be moved only within their respective deals, not between deals.

The drag and drop feature can be utilised through all tabs of the CDD register ‘Deals’ section.

1. From the list of deals displayed under any tab, click on the deal name/property address to bring up the structure of the deal.

2. Click and hold on this  icon, found to the left of every individual and party onboarded to the deal.

3. Drag the individual or party to the correct level of the structure.

4. ‘Drop’ the individual to the ‘Move to…’ field.

Closing and Reopening Deals

Closing a Deal

When a sale is made, a deal is not sold or a client is lost, these deals should be closed as opposed deleted.

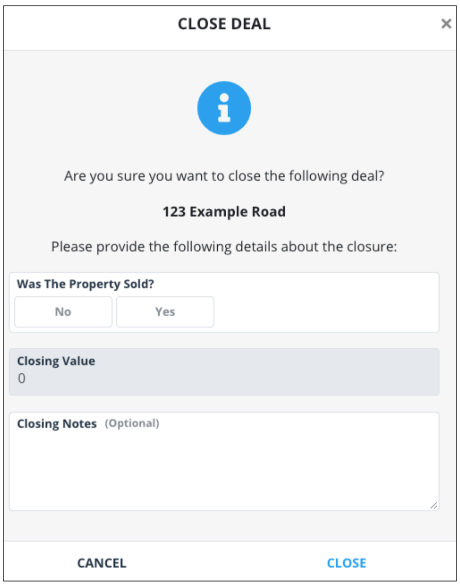
Closing a deal can be done through the ‘Verified’ tab of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘Verified’ tab, locate the deal you would like to close.

2. Click on this icon, found under the ‘Actions’ field to the right of the deal name/property address.

3. Click ‘close deal’.

4. The following pop-up window will appear.



5. Select whether the property was sold.

6. If sold, enter the closing value.

7. Add any notes you may feel are necessary for keeping an accurate and traceable record of the deal's closure.

8. Click 'close'.

9. The deal will now appear in the 'Closed' tab of the CDD register 'Deals' section.

Reopening a Deal

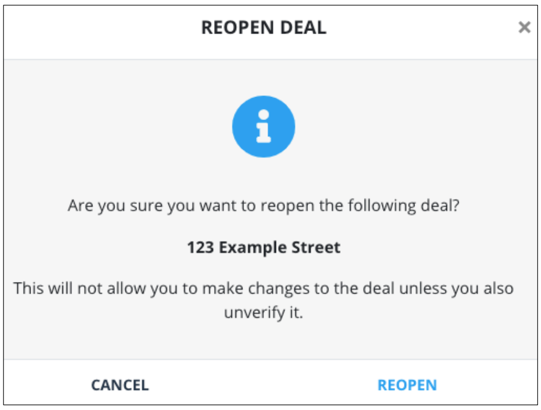
Reopening a deal can be done through the 'Closed' tab of the CDD register 'Deals' section.

1. From the list of deals displayed under the 'Closed' tab, locate the deal you would like to reopen.

2. Click on this icon, found under the 'Actions' field to the right of the deal name/property address.

3. Click 'reopen deal'.

4. The following pop-up window will appear.



5. Click 'reopen'.

6. The deal will now appear in the 'Verified' tab of the CDD register 'Deals' section.

Downloading Reports

Downloading a Report of Verified Individuals

A report of all individuals who have been verified by members of a reporting entity can be extracted as a spreadsheet.

This file can be downloaded from all tabs of the CDD register 'Beneficial Owners' section.

1. Click EXPORTS.
2. Click Verified Individuals.
3. You will be prompted to save the document to your device.
4. Once saved, the document can be opened.

Downloading a Report of Verified Parties

A report of all parties who have been verified by members of a reporting entity can be extracted as a spreadsheet.

This file can be downloaded from all tabs of the CDD register 'Beneficial Owners' section.

1. Click EXPORTS.
2. Click Verified Parties.
3. You will be prompted to save the document to your device.
4. Once saved, the document can be opened.

CDD Exceptions Register

Introduction

An exception enables an authorised staff member to move forward with onboarding a client when less than the required CDD has been performed. It is an AML requirement to maintain a register of all exceptions, whether temporary or permanent, and monitor them.

As a general rule, customer due diligence must be completed before entering into an agency agreement with a customer. However, the legislation is risk-based, and you can grant either:

- a temporary exception, where a finite period is attached to any missing CDD; or
- a permanent exception, where CDD is not able to be fully completed for a justifiable reason.

Exceptions, by definition, are expected to be rare. The criteria for granting an exception is:

1. it is essential not to interrupt the normal course of business;
2. you effectively manage ML/TF risks through appropriate risk management procedures; and
3. you complete CDD as soon as practical once you have established a business relationship (for temporary exceptions).

The CDD exceptions register of the AMLHub desktop provides the required framework for monitoring, justifying and recording exceptions.

Navigation

Different Sections Within the CDD Exceptions Register

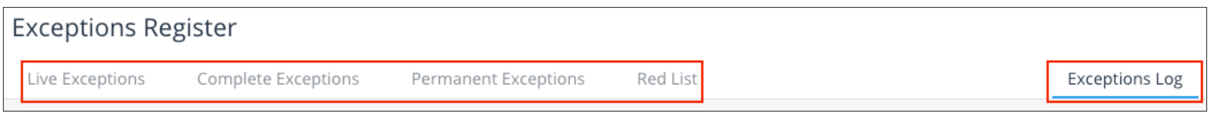
You can navigate to the ‘CDD Exceptions’ section of the AMLHub desktop through the left-hand sidebar. The page will display the following four tabs:

- **Live Exceptions**
  Contains temporary exceptions with active due dates that have not yet been resolved.

- **Complete Exceptions**
  Temporary exceptions that have been resolved.

- **Permanent Exceptions**
  All permanent exceptions granted.

- **Red List**
  Temporary exceptions that have surpassed their due date and have not been resolved. Additionally, this includes temporary exceptions that have been intentionally chosen to ‘fail’.



The CDD exceptions register additionally contains the ‘Exceptions Log’. This keeps a record of all activity within the CDD exceptions register. You can navigate here by clicking on ‘Exceptions Log’, found to the right of the four tabs mentioned above.

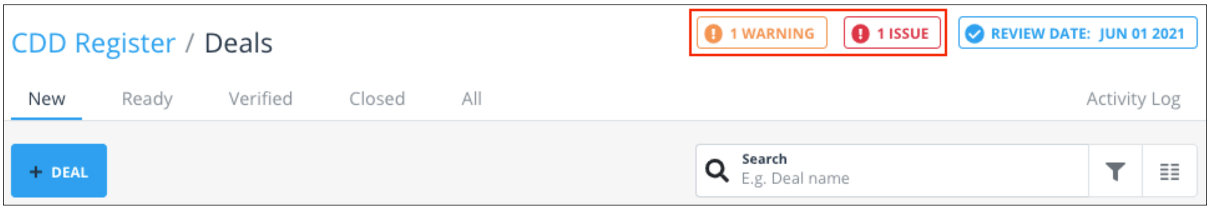
Issues & Warnings

Issues and/or warnings may appear in the CDD register of the AMLHub desktop in relation to temporary exceptions.

- A warning 1 WARNING will appear if a temporary exception has been granted for an individual and has not yet ‘failed’ or been resolved.

- An issue 1 ISSUE will appear if a temporary exception has surpassed its due date and is now overdue.

Warnings and issues are displayed in the top right-hand corner of the CDD register. Clicking on either icon will display the respective details of any outstanding warnings or issues.



Viewing a Current Exception

Through the *CDD Exceptions Register*

1. Navigate to the ‘Live Exceptions’ section of the CDD exceptions register.

2. Click on the rightward arrow found under the ‘Deal’ field to the right of the individual’s name. You will then be redirected to the CDD register, displaying the details of the relevant deal.

3. Look for the individual with an exception. Click on the icon, displayed to the left of the individual’s name. You will be taken to the ‘Verification’ tab of the ‘Update Individual’ pop-up window.

4. Details of the exception will be found under this ‘Verification’ tab.

Through the *CDD Register*

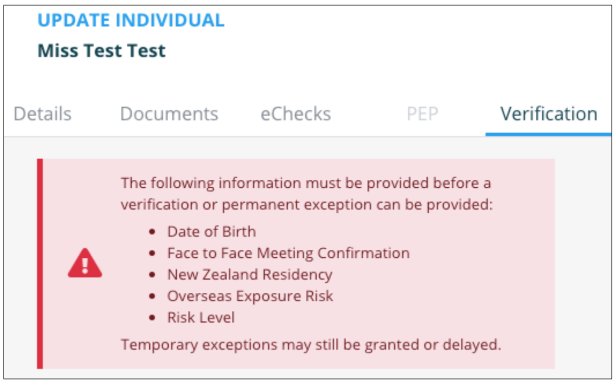
1. From the list of deals displayed under the ‘New’ or ‘Ready’ tabs of the CDD register ‘Deals’ section, click on the deal name/property address to bring up the structure of the deal.

2. Look for the individual with an exception. Click on the icon, displayed to the left of the individual’s name. You will be taken to the ‘Verification’ tab of the ‘Update Individual’ pop-up window.

3. Details of the exception will be found under this ‘Verification’ tab.

Onboarding an Individual with Missing Information

If an individual is onboarded with missing information, the system will display the following message under the ‘Verification’ tab of the ‘Update Individual’ pop-up window. In this case, undergoing the verification process will not be possible until the listed information is present; additionally, a permanent exception cannot be granted.



The system, however, will allow for a temporary exception if information is missing.

Temporary Exceptions

Granting a Temporary Exception

Granting a temporary exception can be done through the ‘New’ and ‘Ready’ tabs of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ or ‘Ready’ tab, click on the deal name/property address to bring up the structure of the deal.

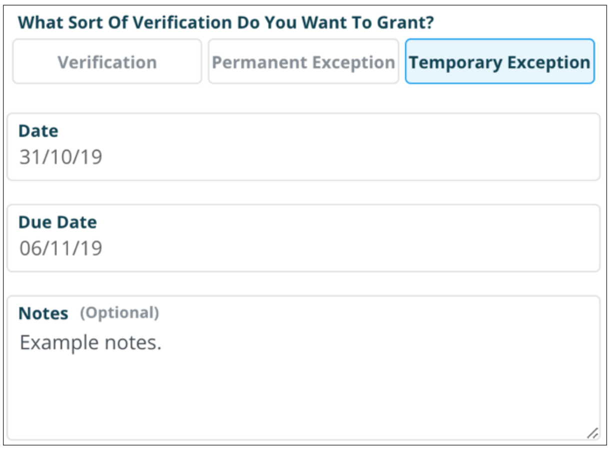
2. Click on the name of the individual you would like to grant an exception for.

3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.
4. Navigate to the ‘Verification’ tab.

5. Select ‘Temporary Exception’ from the types of verification list.

6. Enter a due date for the exception.

7. Add any relevant notes that will be useful when keeping a record of any documents missing, when they will arrive etc.



8. Click ‘verify’.

9. A pop-up message will appear to signal that a temporary exception for the individual has been granted.

10. There will now be this icon displayed to the left of the individual’s name.

Resolving a Temporary Exception

Resolving a temporary exception can be done through the ‘New’ and ‘Ready’ tabs of the CDD register ‘Deals’ section.

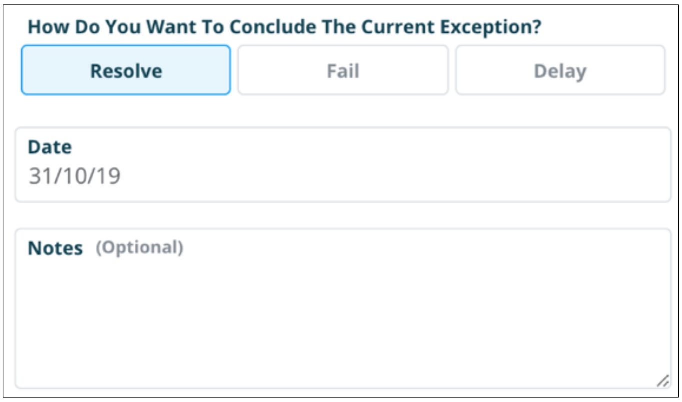
1. From the list of deals displayed under the ‘New’ or ‘Ready’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the individual you would like to resolve an exception for.

3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.

5. Select ‘resolve’ for how you would like to conclude the current exception.



6. Add any relevant notes that will be useful when keeping a record of the receival of missing documents, when they were received etc. Please note: these notes cannot be edited or updated once the exception has been resolved and the individual verified.

7. Click ‘verify’ – this resolves the temporary exception and then verifies the individual.

8. A pop-up message will appear to signal the verification of the individual.

9. There will now be this  icon displayed to the left of the individual’s name.

10. This resolved exception will now appear under the ‘Complete Exceptions’ section of the CDD exceptions register.

Delaying a Temporary Exception

Delaying a temporary exception can be done through the ‘New’ and ‘Ready’ tabs of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ or ‘Ready’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the individual you would like to delay an exception for.

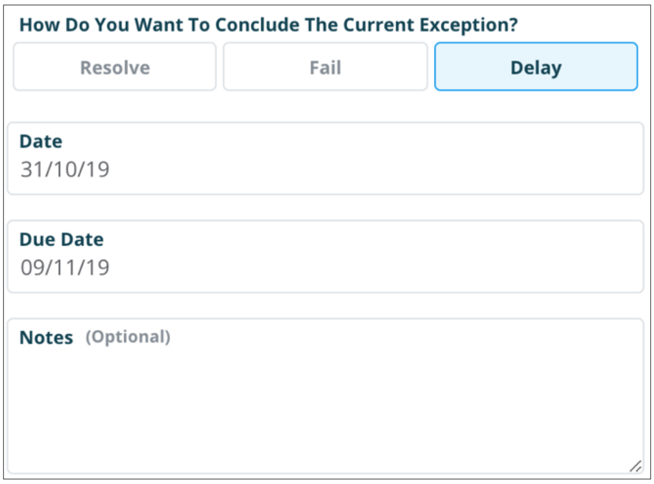
3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.

5. Select ‘delay’ for how you would like to conclude the current exception.

6. Enter a new due date for the exception.

7. Add any notes you think may be relevant when keeping an accurate and traceable record of the exception and its delay.



8. Click ‘verify’ – please note, this will not verify the individual.

9. A pop-up message will appear to signal a successful delay of the temporary exception’s due date.

10. This delayed exception will still be found under the ‘Current Exceptions’ section of the CDD exceptions register.

Note: the due date of a temporary exception is only able to be delayed once. If the exception is not resolved before this delayed due date, it will ‘fail’ and be moved to the ‘Red List’ section of the CDD exceptions register.

Failing a Temporary Exception

Failing a temporary exception can be done through the ‘New’ and ‘Ready’ tabs of the CDD register ‘Deals’ section.

1. From the list of deals displayed under the ‘New’ or ‘Ready’ tab, click on the deal name/property address to bring up the structure of the deal.

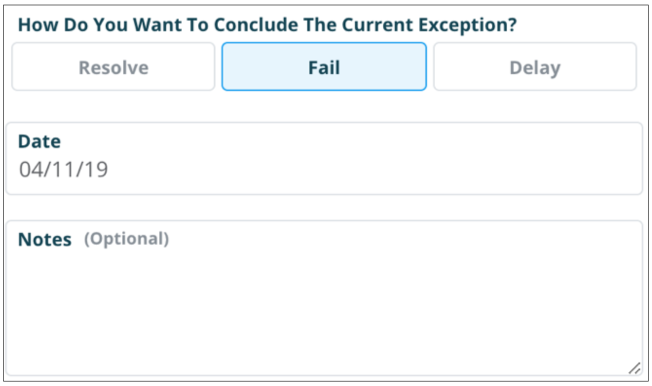
2. Click on the name of the individual you would like to fail an exception for.

3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.

4. Navigate to the ‘Verification’ tab.

5. Fill out any missing information listed for the individual if you are presented with a warning screen under the ‘Verification’ tab.

6. Select ‘fail’ for how you would like to conclude the current exception.



7. Add any notes you think may be relevant when keeping an accurate and traceable record of the temporary exception 'failing'.

8. Click 'verify'.

9. A pop-up message will appear to signal that the temporary exception has 'failed'.

Note: after you have clicked 'verify', the individual will appear under the structure of the deal as having been verified; this  icon will be present to the right of their name. The individual will, however, be found under the 'Red List' section of the CDD exceptions register due to their temporary exception failing.

Permanent Exceptions

Granting a Permanent Exception

Granting a permanent exception can be done through the 'New' and 'Ready' tabs of the CDD register 'Deals' section.

1. From the list of deals displayed under the 'New' or 'Ready' tab, click on the deal name/property address to bring up the structure of the deal.

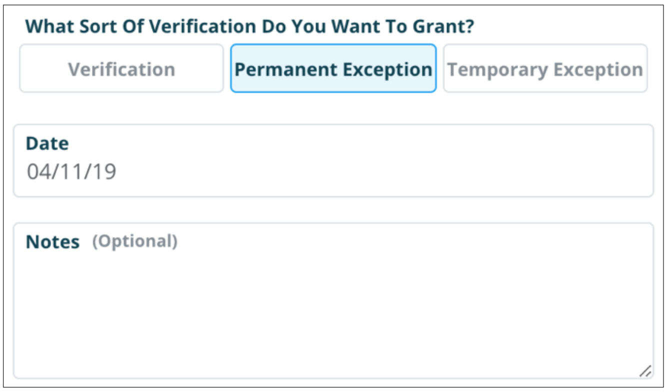
2. Click on the name of the individual you would like to grant a permanent exception for.

3. An 'Update Individual' pop-up window will appear on the right-hand side of the screen.

4. Navigate to the 'Verification' tab.

5. Fill out any missing information listed if you are presented with a warning screen under the 'Verification' tab.

6. Select 'Permanent Exception' from the types of verification list.



7. If different to the current day’s date, select a date for the granting of a permanent exception.

8. Add any relevant notes that will be useful when keeping an accurate and traceable record of the exception.

9. Click ‘verify’.

10. A pop-up message will appear to signal that a permanent exception for the individual has been granted.

Note: after you have clicked ‘verify’, the individual will appear under the structure of the deal as having been verified; this icon will be displayed to the right of their name. The individual will, however, be found under the ‘Permanent Exceptions’ section of the CDD exceptions register.

AML HUB

PEPs Register

Adding an Individual to the PEPs Register

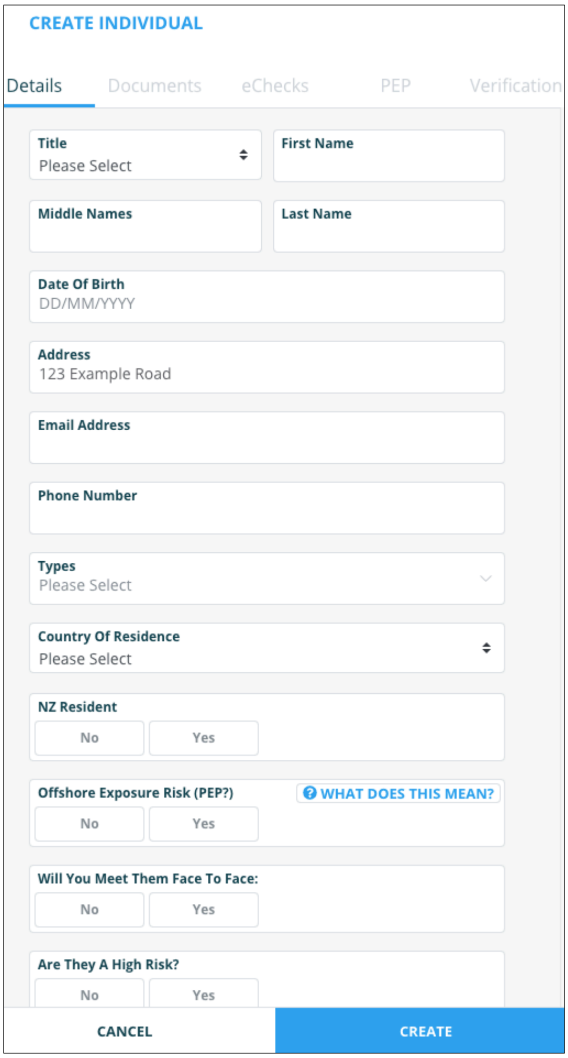
Adding an individual to the PEPs Register can be done when either creating or updating an individual, through the ‘New’ tab of the CDD register ‘Deals’ section.

When Creating an Individual

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Add the individual by clicking on the button, found to the right of the deal or party name (depending on where you want to onboard the individual in the structure).

3. The following pop-up window will appear on the right-hand side of the screen.



4. Select yes to the ‘Offshore Exposure Risk (PEP?)’ field.

5. Click ‘create’.

6. The ‘PEP’ tab of the ‘Update Individual’ window will now become available for access.

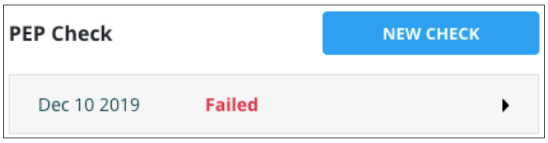
7. Navigate to the ‘eChecks’ tab of the ‘Update Individual’ window.

8. Under the ‘PEP Check’ field, click 

.

9. Select ‘run check’.

10. If the PEP check fails, the following will be displayed in the ‘PEP Check’ field.



11. A further investigation will need to be conducted through the available databases to confirm whether the individual is a PEP.

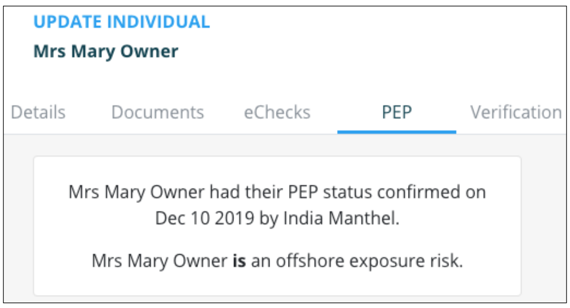
12. If the individual is a PEP, navigate to the ‘PEP’ tab of the ‘Update Individual’ window.

13. Select ‘yes’ to the field ‘Are They A PEP?’.

14. Add any notes you may think are relevant for record keeping purposes.

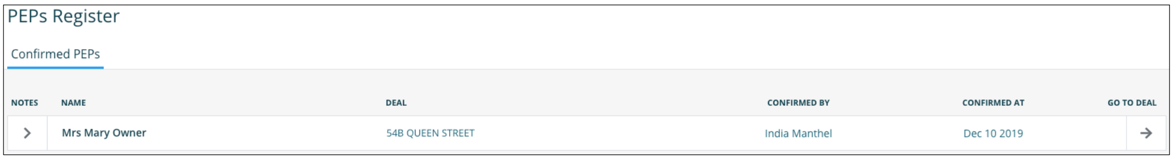
15. Click ‘confirm’.

16. The following message will be displayed under the ‘PEP’ tab.



17. Navigate to the PEPs Register using the left-hand sidebar.

18. The individual will be displayed in the PEPs Register if this process has been completed correctly.

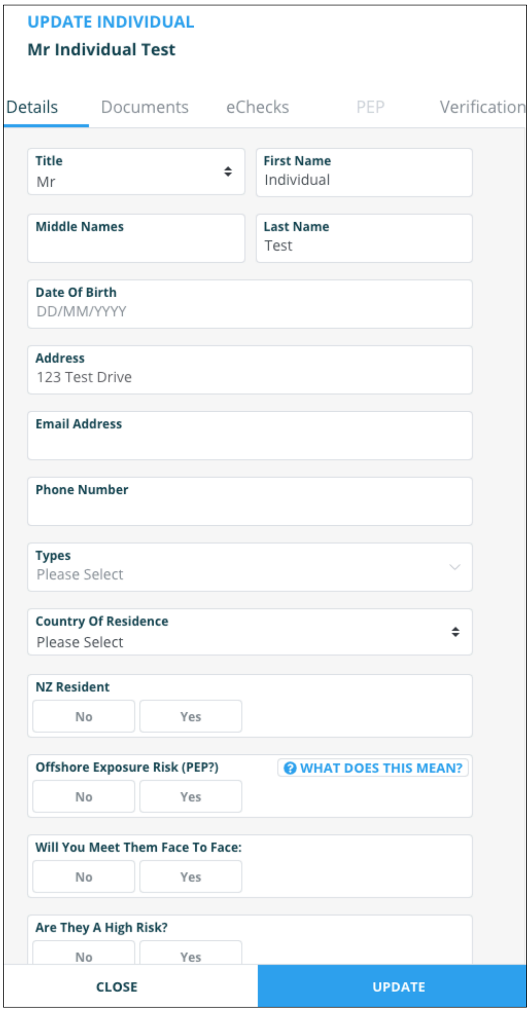


When Updating an Individual

1. From the list of deals displayed under the ‘New’ tab, click on the deal name/property address to bring up the structure of the deal.

2. Click on the name of the individual you would like to update.

3. An ‘Update Individual’ pop-up window will appear on the right-hand side of the screen.



4. Select yes to the ‘Offshore Exposure Risk (PEP?)’ field.

5. Click ‘update’.

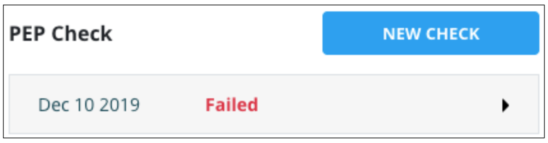
6. The ‘PEP’ tab of the ‘Update Individual’ window will now become available for access.

7. Navigate to the ‘eChecks’ tab of the ‘Update Individual’ window.

8. Under the ‘PEP Check’ field, click 
.

9. Select ‘run check’.

10. If the PEP check fails, the following will be displayed in the ‘PEP Check’ field.



11. A further investigation will need to be conducted through the available databases to confirm whether the individual is a PEP.

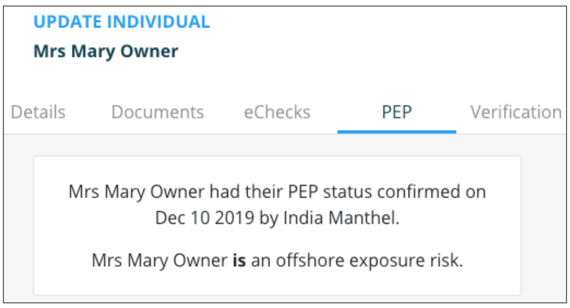
12. If the individual is a PEP, navigate to the ‘PEP’ tab of the ‘Update Individual’ page.

13. Select ‘yes’ to the field ‘Are They A PEP?’.

14. Add any notes you may think are relevant for record keeping purposes.

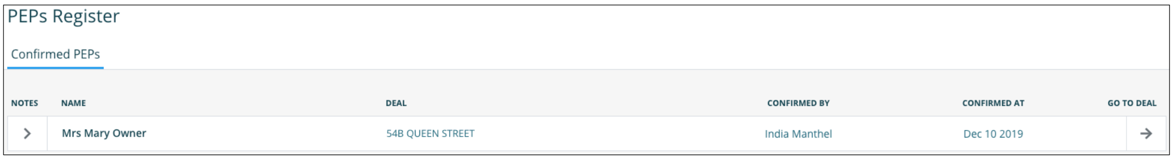
15. Click ‘confirm’.

16. The following message will be displayed under the ‘PEP’ tab.



17. Navigate to the PEPs Register using the left-hand sidebar.

18. The individual will be displayed in the PEPs Register if this process has been completed correctly.



AML HUB

Suspicions Register

Introduction

The suspicions register is a platform where one can form, lodge and resolve potential suspicions regarding suspicious activity or transactions.

Navigation

Different Sections Within the Suspicions Register

You can navigate to the 'Suspicions Register' section of the AMLHub desktop through the left-hand sidebar, or by clicking on the tile found on the dashboard. The page will display the following five tabs:

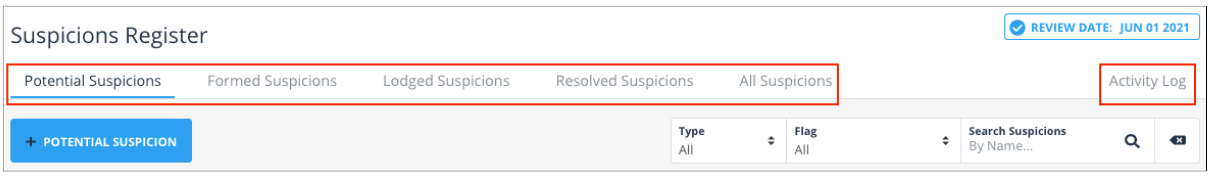
- **Potential Suspicions**
  Activities or transactions that may need to be formed and subsequently lodged, however, are not yet confirmed as being suspicious.

- **Formed Suspicions**
  Activities or transactions that have been confirmed as suspicious. Once a suspicion has been formed, it has 72 hours to be lodged.

- **Lodged Suspicions**
  Suspicions that have been submitted by your branch separately to GoAML and then lodged in the AMLHub afterwards.

- **Resolved Suspicions**
  Activities or transactions that were potential suspicions, but have turned out not to be suspicious.

- **All Suspicions**
  A combined list of all suspicions within the suspicions register.



The suspicions register additionally contains the 'Activity Log', which keeps a record of all activity occurring within the suspicions register. You can navigate here by clicking on 'Activity Log', found to the right of the five tabs mentioned above.

Review Date, Issues & Warnings

The review date for the reporting entity's suspicions register can be found in the top right-hand corner of the screen REVIEW DATE: JAN 01 2021. To edit this review date, click on this icon.

Issues and/or warnings may appear in the suspicions register in relation to formed suspicions.

- A warning 1 WARNING will appear if a potential suspicion has been formed and must be lodged in the next 72 hours.

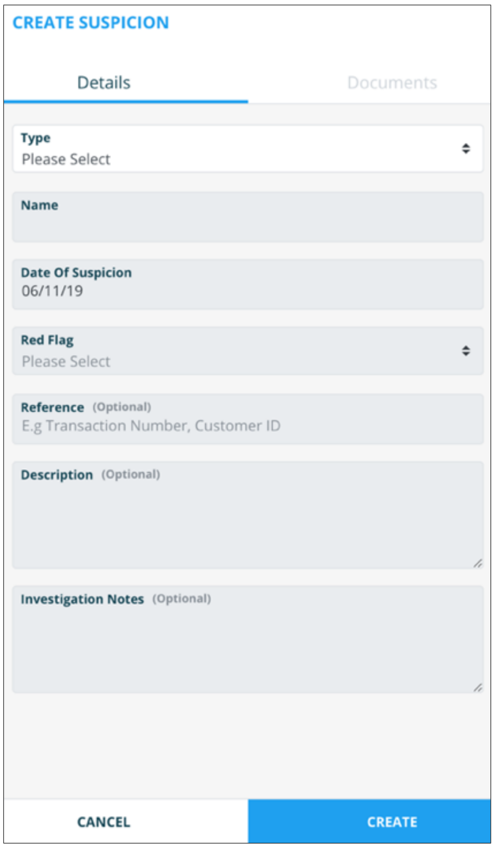
- An issue 1 ISSUE will appear if a formed exception has not been lodged following 72 hours since its formation.

Warnings and issues are displayed in the top right-hand corner of the suspicions register. Clicking on either icon will display the respective messages.

Creating a Potential Suspicion

Creating a potential suspicion can be done through the 'Potential Suspicions' section of the suspicions register.

1. Click on the + POTENTIAL SUSPICION button.
2. The following pop-up window will appear on the right-hand side of the screen.



3. Select the type of suspicion.

4. Enter the details of the suspicion.

5. Click ‘create’.

6. A pop-up message will appear to signal the potential suspicion has been successfully created.

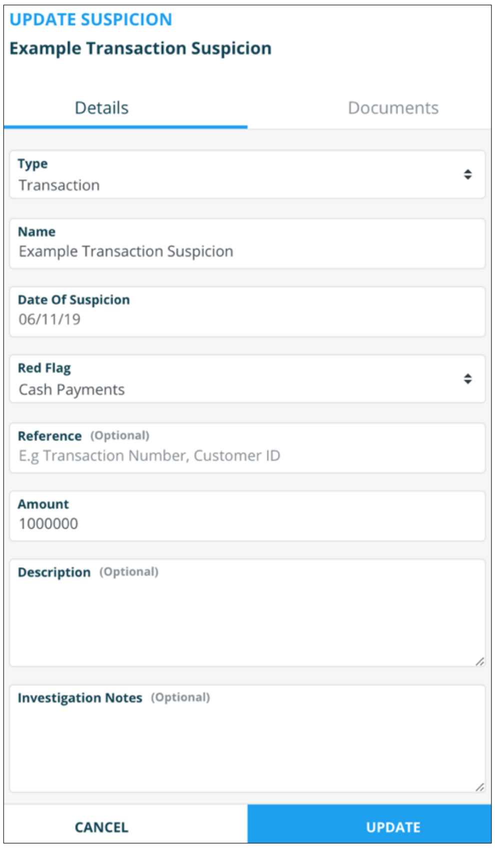
Updating Details

Updating the details of a suspicion can be done through any section of the suspicions register.

1. Click on this icon, found under the ‘Actions’ field to the right of the suspicion’s name.

2. Click ‘update’.

3. The following pop-up window will appear.



4. Make any necessary changes.

5. Click ‘update’.

6. A pop-up message will appear to signal that the updates have been saved.

Formed Suspicions

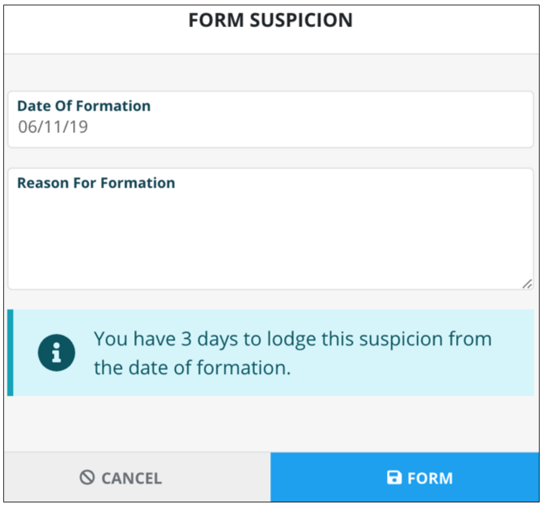
Forming a Potential Suspicion

Forming a potential suspicion can be done through the ‘Potential Suspicions’ section of the suspicions register.

1. Click on this icon, found under the ‘Actions’ field to the right of the suspicion’s name.

2. Click ‘form’.

3. The following pop-up window will appear.



4. Enter the date of formation.

5. Enter the reason for forming this potential suspicion.

6. Click ‘form’.

7. The suspicion will now appear under the ‘Formed Suspicions’ section of the suspicions register.

Note: a formed suspicion must be lodged within 72 hours of first being formed in the AMLHub.

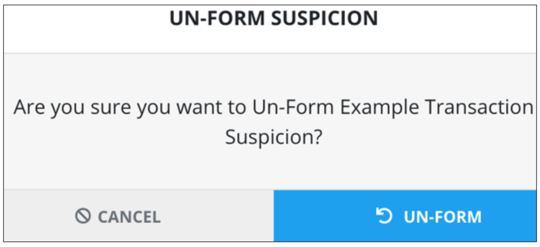
Un-Forming a Formed Suspicion

Un-forming a formed suspicion can be done through the ‘Formed Suspicions’ section of the suspicions register.

1. Click on this icon, found under the ‘Actions’ field to the right of the suspicion’s name.

2. Click ‘un-form’.

3. The following pop-up window will appear.



4. Click ‘un-form’.

5. The suspicion will now appear under the ‘Potential Suspicions’ section of the suspicions register.

Lodged Suspicions

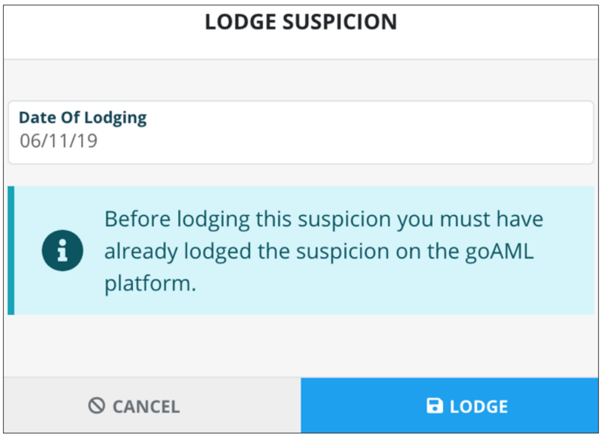
Lodging a Formed Suspicion

Lodging a formed suspicion can be done through the ‘Formed Suspicions’ section of the suspicions register.

1. Click on this icon, found under the ‘Actions’ field to the right of the suspicion’s name.

2. Click ‘lodge’.

3. The following pop-up window will appear.



4. Click ‘lodge’.

5. The suspicion will now appear under the ‘Lodged Suspicions’ section of the suspicions register.

Note: a formed suspicion must be lodged within 72 hours of first being formed in the AMLHub.

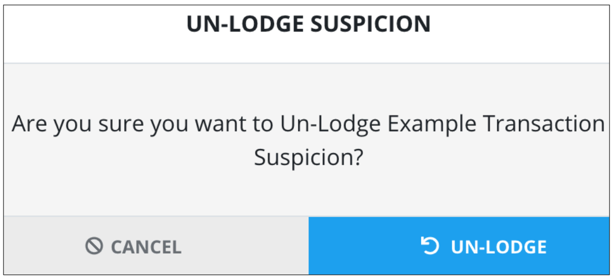
Un-Lodging a Lodged Suspicion

Un-lodging a lodged suspicion can be done through the ‘Lodged Suspicions’ section of the suspicions register.

1. Click on this ••• icon, found under the ‘Actions’ field to the right of the suspicion’s name.

2. Click ‘un-lodge’.

3. The following pop-up window will appear.



4. Click ‘un-lodge’.

5. The suspicion will now appear under the ‘Formed Suspicions’ section of the suspicions register.

Resolved Suspicions

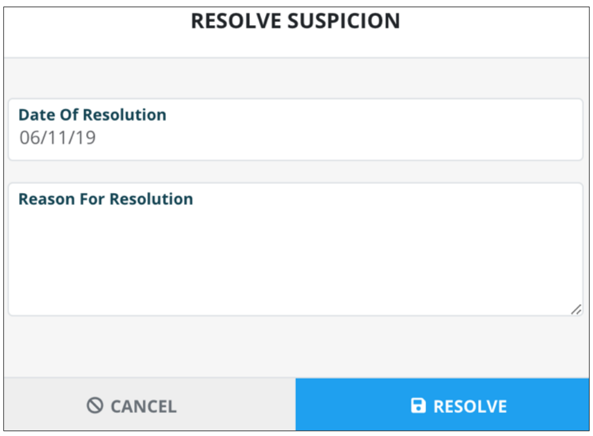
Resolving a Potential Suspicion

Resolving a potential suspicion can be done through the ‘Potential Suspicions’ section of the suspicions register.

1. Click on this ••• icon, found under the ‘Actions’ field to the right of the suspicion’s name.

2. Click ‘resolve’.

3. The following pop-up window will appear.



4. Enter the date of resolution.

5. Enter the reason for resolving the potential suspicion.

6. Click ‘resolve’.

7. The suspicion will now appear under the ‘Resolved Suspicions’ section of the suspicions register.

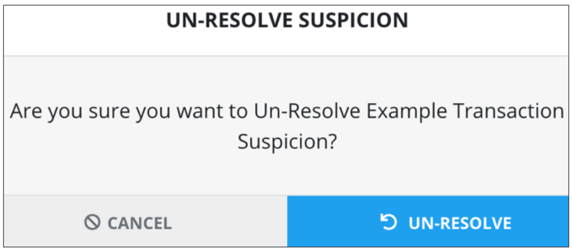
Un-Resolving a Resolved Suspicion

Un-resolving a resolved suspicion can be done through the ‘Resolved Suspicions’ section of the suspicions register.

1. Click on this icon, found under the ‘Actions’ field to the right of the suspicion’s name.

2. Click ‘un-resolve’.

3. The following pop-up window will appear.



4. Click ‘un-resolve’.

5. The suspicion will now appear under the ‘Potential Suspicions’ section of the suspicions register.

AML HUB

Training Register

Introduction

The training register holds a record of AML compliance training assignments associated with a particular reporting entity, as well as the participation status of staff members for these assignments.

Navigation

Different Sections Within the Training Register

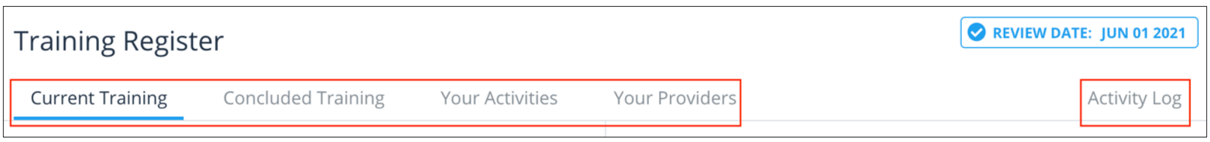
You can navigate to the 'Staff Training' section of the AMLHub desktop through the left-hand sidebar. You will be directed to the 'Current Training' section of the training register, where the page will display the following four tabs:

- **Current Training**
  All staff members added to the training register on the left-hand side of the screen, current training assignments displayed on the right-hand side of the screen.

- **Concluded Training**
  Staff members with completed training assignments displayed on the left-hand side of the screen, concluded training assignments displayed on the right-hand side.

- **Your Activities**
  A list of training assignments created by your reporting entity.

- **Your Providers**
  A list of training providers for your particular reporting entity.



The training register additionally contains the 'Activity Log'. This keeps a record of all activity within the training register. You can navigate here by clicking on 'Activity Log', found to the right of the four tabs mentioned above.

Colours

There are several colours associated with staff members that denote different participation statuses.

- Orange
  No training activities have ever been assigned to the staff member.

- Grey
  No training activities are currently assigned to the staff member.

- Blue
  Training has been allocated to a staff member, however, is not yet complete or overdue. The number inside the square shows the number of training activities allocated to the staff member.

- Green
  Displayed in the 'Concluded Training' section of the training register. Indicates the staff member has completed particular training assignments. The number inside the square shows the number of training activities completed by the staff member.

- Red
  There are one or more overdue assignment(s) yet to be completed by the staff member.

Review Date, Issues & Warnings

The review date set for the reporting entity's training register can be found in the top right-hand corner of the screen 

. To edit this review date, click on this icon.

Issues and/or warnings may appear in the training register in relation to training assignments.

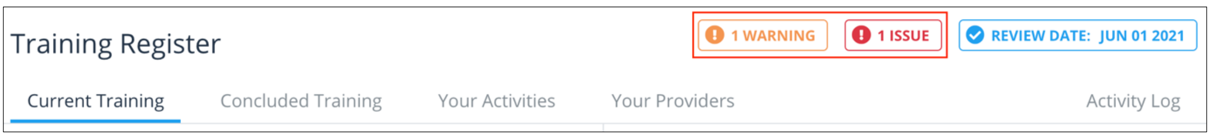
- A warning 

 will appear if a staff member has never been assigned any training activities.

- An issue 

 will appear if a training assignment has surpassed its due date and is now overdue for an individual(s).

Warnings and/or issues are displayed in the top right-hand corner of the training register. Clicking on either icon will display the respective details of any outstanding warnings or issues.



Members of the Training Register

Adding a Staff Member to the Training Register

This can be done either during the creation of a staff membership or in the training register following the creation of a staff membership.

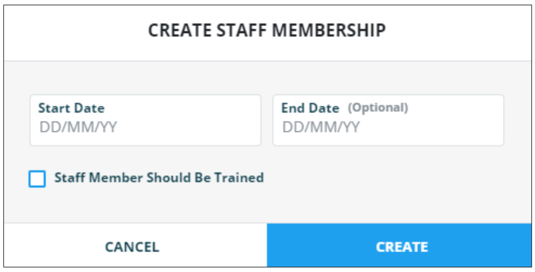
During **the creation of their staff membership**

1. Navigate to the ‘User Management’ section of the AMLHub desktop through the left-hand sidebar.

2. Click on this 

icon, found under the ‘Staff Member’ field to the right of the user’s name.

3. A pop-up window will appear, as shown in the image below.



4. Enter the start date of the user. Entering the user’s end date is an optional field.

5. Click on the ‘Staff Member Should Be Trained’ tick box, then select a respective training role for the user. If not selected, the staff member will not be added to the training register.

6. Click ‘create’.

7. The staff membership for the user will be created and the staff member will then be added to the training register.

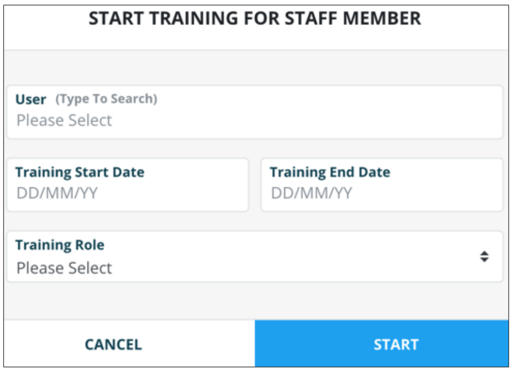
Following **the creation of a staff membership**

1. Navigate to the ‘Staff Training’ section of the AMLHub desktop through the left-hand sidebar.

2. Under the ‘Current Training’ section of the training register, click the 

button.

3. The following pop-up window will appear.



4. Click on the ‘user’ field to view a drop-down menu of all staff members who were not added to the training register during the creation of their staff membership.
   - Please note: the message ‘No Untrained Users Found’ will be displayed if all staff members have already been added to the training register.

5. Select the staff member you would like to add.

6. Enter a training start date, end date and training role (these can be edited later on if need be).

7. Click ‘start’.

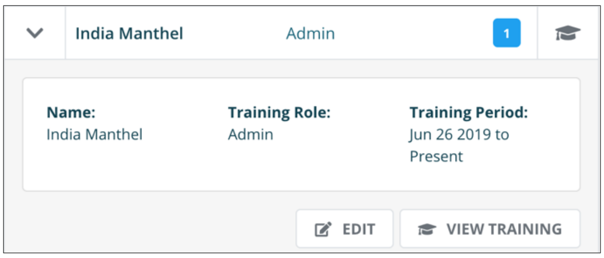
8. A pop-up message will appear to signal the addition of a new staff member to the training register.

Editing the Details of a Staff Member in the Training Register

Editing the details of a staff member can be done through the ‘Current Training’ section of the training register.

1. From the list of staff members displayed on the left-hand side of the screen, click on this > arrow found to the left of the individual’s name.

2. This will expand the view, showing details for the staff member.



3. Click ‘edit’.

4. A pop-up window will appear, where you are able to edit the training start and end dates for the individual, as well as their training role.

5. Make any desired changes.

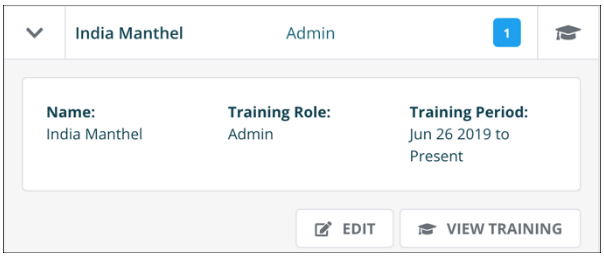
6. Click ‘save’.

Removing a Staff Member from the Training Register

Removing a staff member from the training register can be done through the ‘Current Training’ section of the training register.

1. From the list of staff members displayed on the left-hand side of the screen, click on this > arrow found to the left of the individual’s name.

2. This will expand the view, showing details for the staff member.



3. Click ‘edit’.

4. A pop-up window will appear, where you are able to edit the training start and end dates for the individual, as well as their training role.

5. Enter the employment end date to any date before the current day.

6. Click ‘save’.

Note: a staff member will not be removed from the ‘Current Training’ section of the training register if they still have existing training activities assigned to them. You must conclude the staff member’s involvement in any existing training activities if this is the case.

The staff member will still appear under the ‘Concluded Training’ section in order to maintain a record of all staff members (past and present) who have completed training activities.

Training Providers

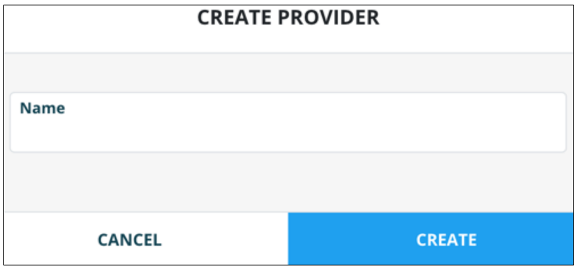
Adding a New Provider to Your Training Register

Adding a new training activity provider can be done through the ‘Your Providers’ section of the training register.

1. Click 

.

2. The following pop-up window will appear.



3. Enter the name of the provider.

4. Click ‘create’.

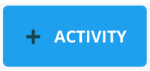
5. A pop-up message will appear to signal that the provider has been created.

6. You will now be able to select this provider as the provider of any new training activities.

Training Activities

Creating a Training Activity

Creating a training activity can be done through the ‘Your Activities’ section of the training register.

1. Click 

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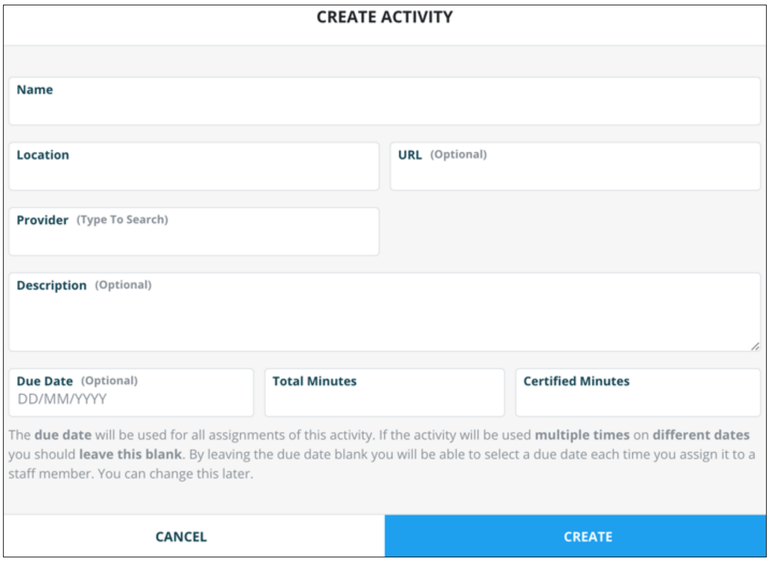
2. The following pop-up window will appear.



3. Fill in the mandatory fields – name of activity, location, provider, total & certified minutes.
    - If the number of certified minutes equates to none for that particular training activity, type '0' into the 'Certified Minutes' field as opposed to leaving it blank.
    - A URL link may be added if, for example, the training was completed over an online platform or watched as a video.
    - A due date can be entered if the training activity is a non-recurring activity, for example, from a third-party provider.

4. Click 'create'.

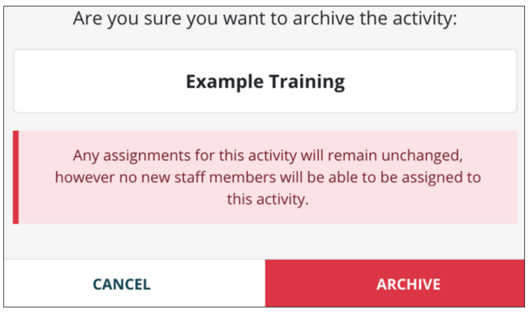
5. A pop-up message will appear to signal the training activity has been created.

Archiving a Training Activity

Archiving a training activity can be done under the 'Your Activities' section of the training register.

1. From the list of training activities displayed under the 'Your Activities' section, click on this icon found under the 'Actions' field to the right of the name of the training activity.

2. The following pop-up window will appear.



3. Click ‘archive’.

4. A pop-up message will appear to signal the training activity has been archived.

Please note: no new staff members can be assigned to this training activity; however, this will not affect any current assignments of this activity to staff members.

Un-Archiving a Training Activity

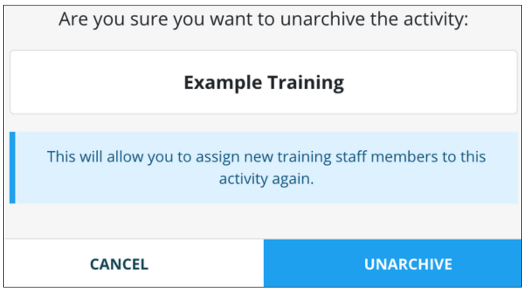
Un-archiving a training activity can be done under the ‘Your Activities’ section of the training register.

1. Bring up a list displaying all archived activities by clicking ‘status’ and then selecting ‘archived’ from the drop-down menu.

2. Find the training activity you would like to un-archive from those listed.

3. Click on this icon, found under the ‘Actions’ section adjacent to the name of the training activity.

4. The following pop-up window will appear.



5. Click ‘unarchive’.

6. A pop-up message will appear to signal the un-archiving of an activity.

Training Assignments

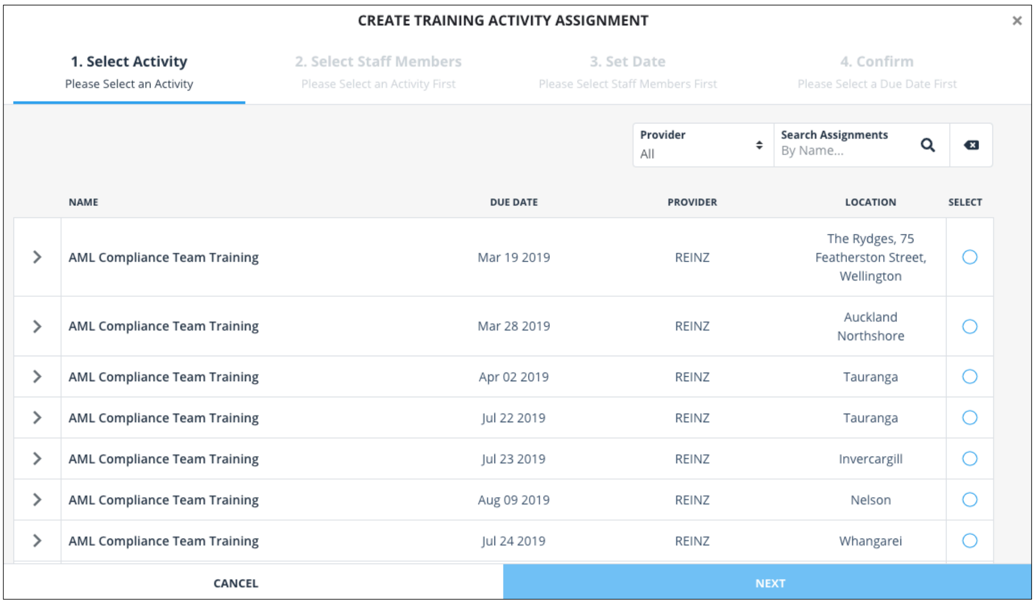
Assigning a Training Activity to Staff Members

Once a training activity has been created under the ‘Your Activities’ section of the training register, it can then be assigned to staff members.

Assigning a training activity to staff members can be done through the ‘Current Training’ section of the training register.

1. Click on the  button.

2. The following pop-up window will appear.



3. Select an activity – you will be provided with a combined list of activities created by AML Solutions and the activities created by your reporting entity. Use the ‘Search Assignments’ tool to navigate through several pages of activities.

4. Click on the name of the training activity you would like to assign staff members to.

5. A list of staff members will appear. Click on the name of each staff member you would like to assign the activity to.

6. Click ‘next’.

7. Enter a due date for the training assignment. If you selected this date from the calendar, you will be taken directly to the next page. If entering manually, click ‘next’ after typing in the due date.

8. The details of the assignment will be displayed, review these details and click ‘create’ if satisfied. If you need to make changes to the assignment before creating it, click ‘back’.

9. A pop-up message will appear to signal the creation of a new training assignment. This assignment will now be displayed under the ‘Current Training’ section of the training register, on the right-hand side of the screen.

Assigning a Current Training Activity to Additional Staff Members

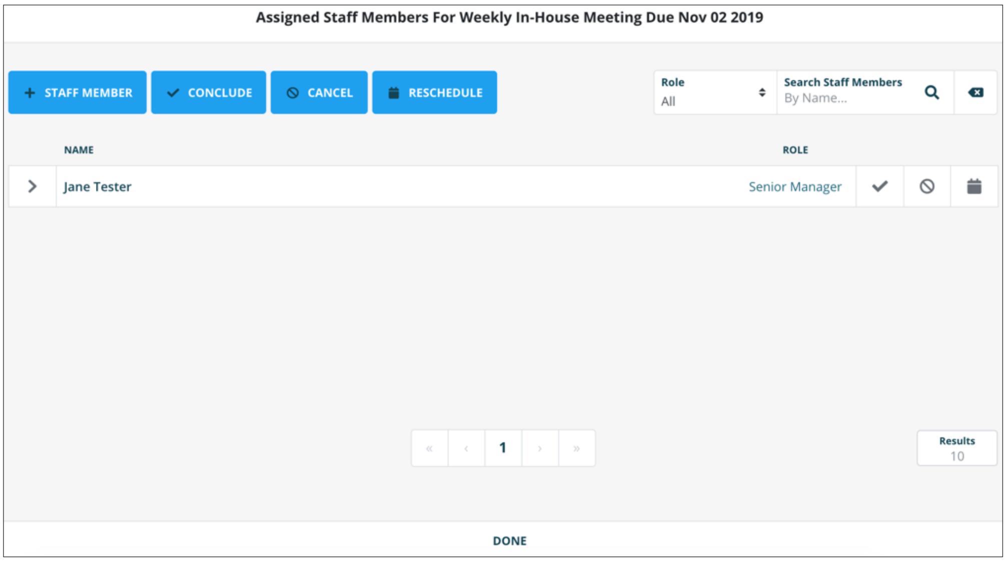
Once a training activity has been assigned to staff members, you can add additional staff members to an assignment through the 'Current Training' section of the training register.

1. Look for the training activity you would like to conclude from the list of current training assignments on the right-hand side of the screen.

2. Click on this icon, found to the right of the name of the training activity.

3. The following pop-up window will appear. Click on the 

button.



4. Select from the list of staff members the individual(s) you would like to add. You do not need to select the names of already assigned individuals again.

5. Click 'next'.

6. A details page will appear including the activity name and staff members being added.

7. When satisfied with these changes, click 'create'.

8. A pop-up message will appear to signal the addition of new staff members to a training assignment.

Concluding Training Assignments

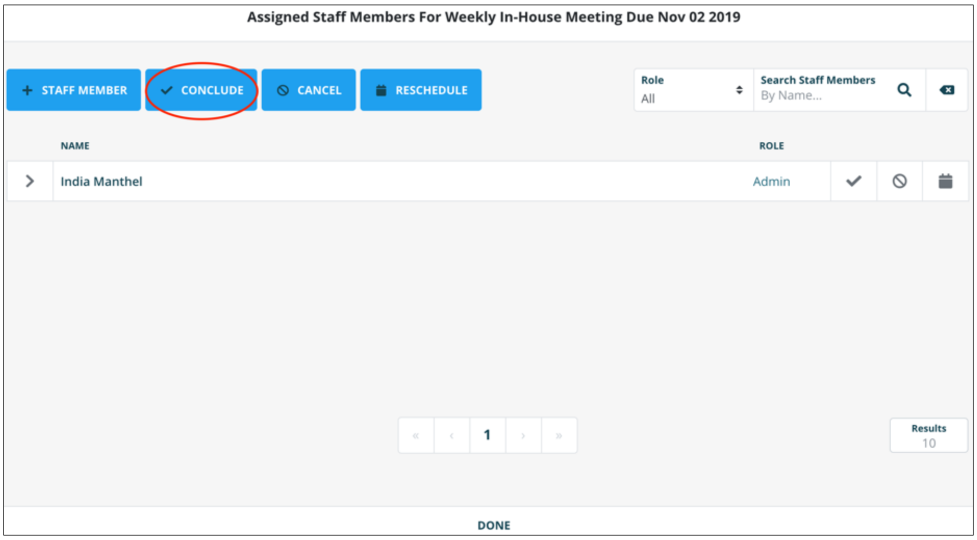
Concluding a Training Assignment for all Assigned Staff Members

A current training assignment can be concluded through the ‘Current Training’ section of the training register.

1. Look for the training assignment you would like to conclude from the list of current assignments on the right-hand side of the screen.

2. Click on this icon, found to the right of the name of the training assignment.

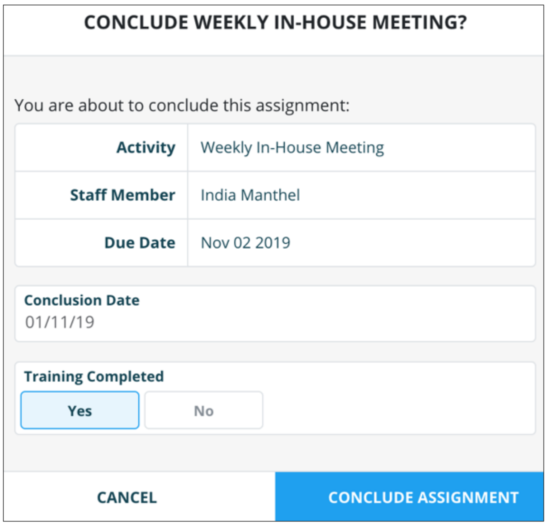
3. The following pop-up window will appear. Click ‘conclude’.



4. All staff members assigned to the training assignment will now be highlighted in blue to signal they will be marked as having completed the training. Deselect any staff members who have not completed/did not attend the training assignment by clicking on their name.

5. Click ‘conclude assignments’.

6. The following pop-up window will appear.



7. Review the displayed details and make changes if necessary.

8. Click ‘conclude assignment’.

9. A pop-up message will appear to signal the conclusion of the training assignment.

10. This assignment can now be found under the ‘Concluded Training’ section of the training register. If all staff members assigned have completed the training assignment, it will no longer be displayed in the ‘Current Training’ section of the training register.

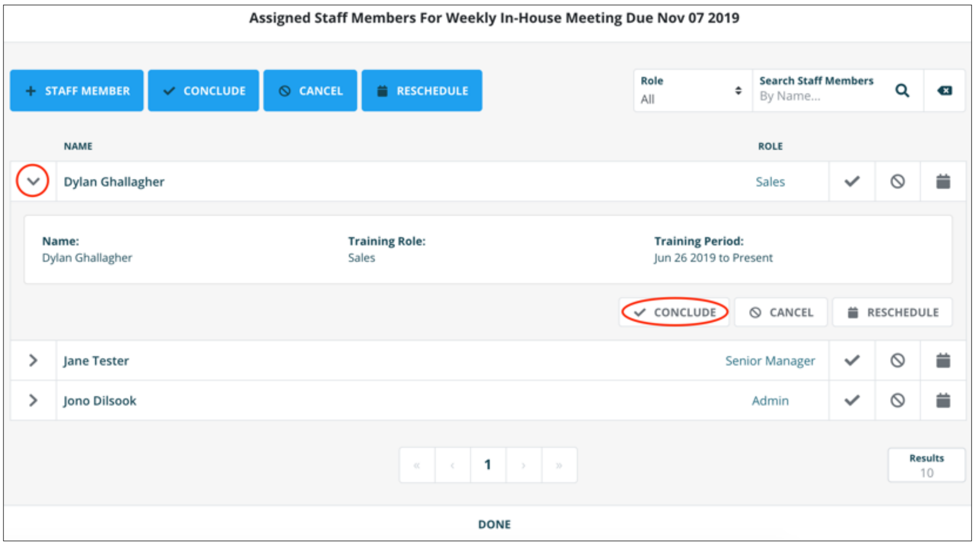
Concluding a Training Assignment for an Individual Staff Member

A current training assignment can be concluded for an individual through the ‘Current Training’ section of the training register.

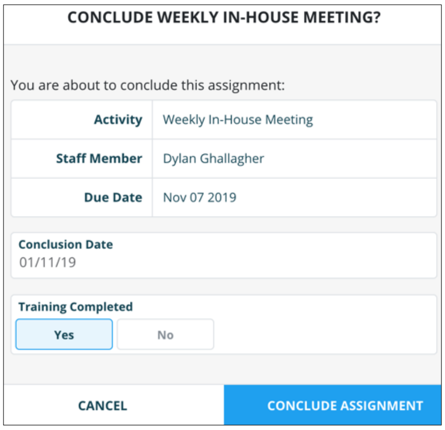
1. From the list of training assignments displayed in the ‘Current Training’ section, click on this icon, found to the right of the name of the training assignment.

2. The following pop-up window will appear. Look for the name of the individual you would like to conclude the training assignment for and click on the arrow found to the left of their name.

3. Click ‘conclude’.



4. The following pop-up window will appear.



5. Review the displayed details and make changes if necessary.

6. Click ‘conclude assignment’.

7. A pop-up message will appear to signal the conclusion of the training assignment.

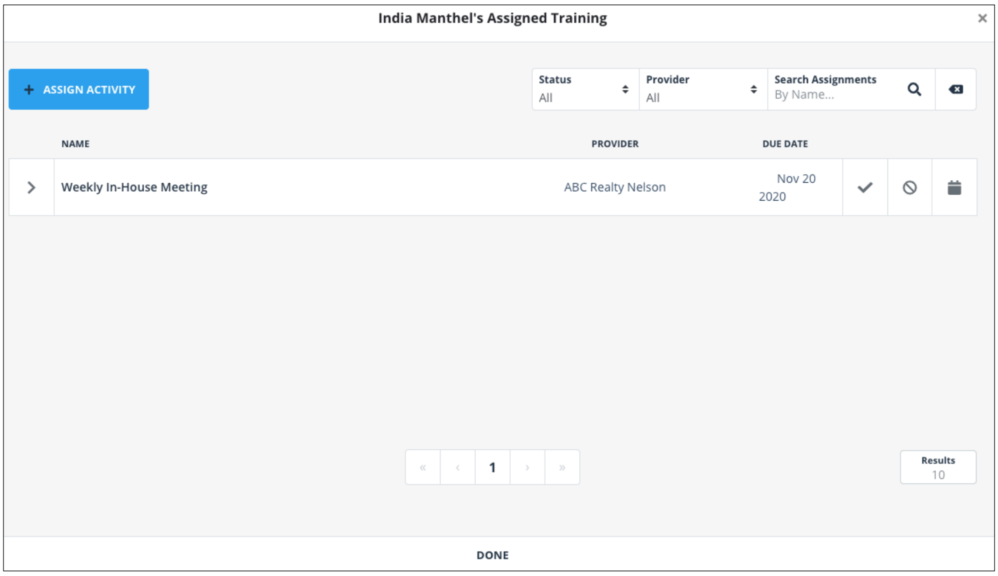
8. This assignment can now be found under the ‘Concluded Training’ section of the training register. Because not all staff members assigned have completed the training assignment, it will also still be displayed in the ‘Current Training’ section of the training register.

Viewing a Staff Member's Training

Viewing Current or Overdue Training

Viewing any current or overdue training activities assigned to a staff member can be done through the 'Current Training' section of the training register.

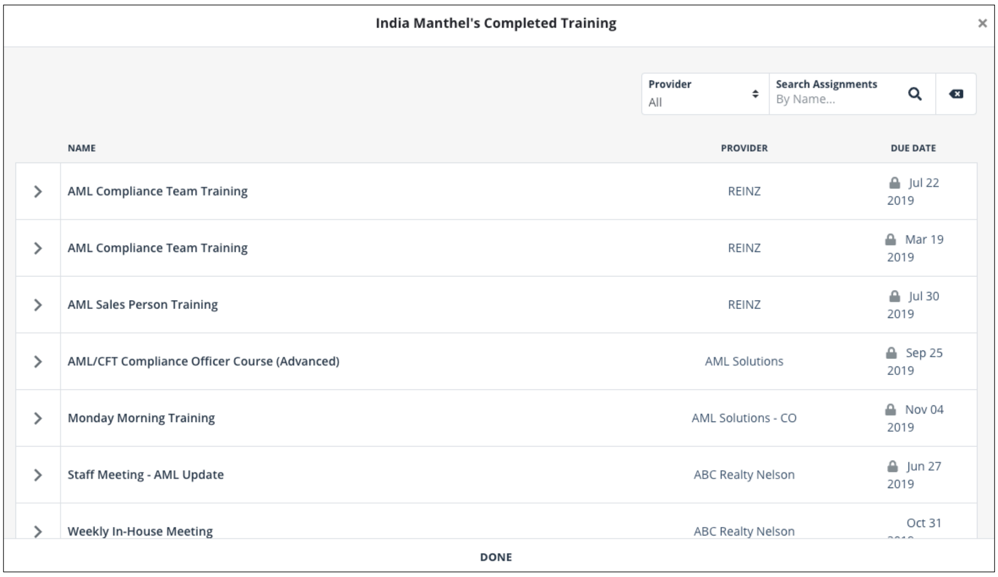
1. From the list of staff members displayed in the 'Current Training' section, click on this icon found to the right of the individual's name.
2. The following pop-up window will appear.



Viewing Completed Training

Viewing a staff member's completed training activities assigned to a staff member can be done through the 'Concluded Training' section of the training register.

1. From the list of staff members displayed in the 'Current Training' section, click on this icon found to the right of the individual's name.
2. The following pop-up window will appear.



Rescheduling Training Assignments

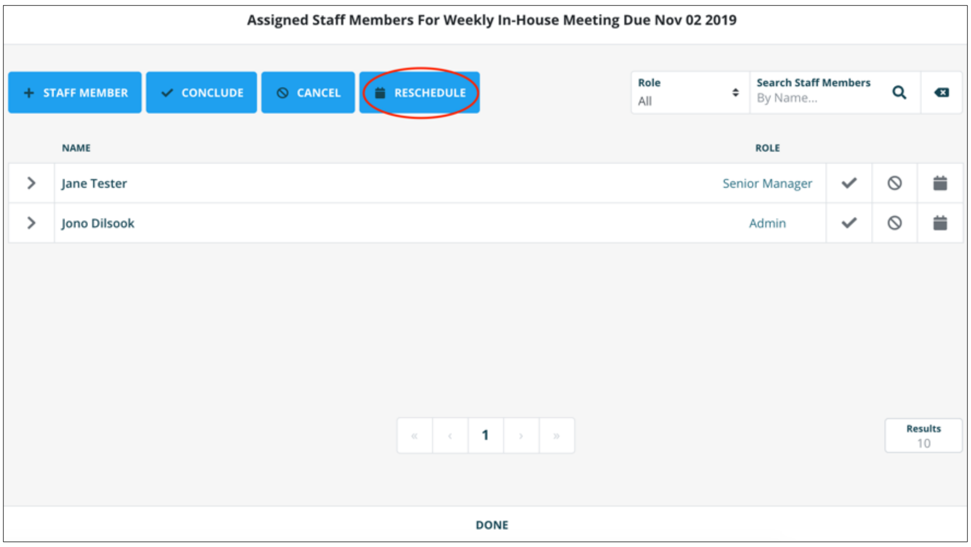
Rescheduling a Training Assignment for all Assigned Staff Members

A current training assignment can be rescheduled through the ‘Current Training’ section of the training register.

1. Look for the training assignment you would like to reschedule from the list of current assignments on the right-hand side of the screen.

2. Click on this icon, found to the right of the name of the training assignment.

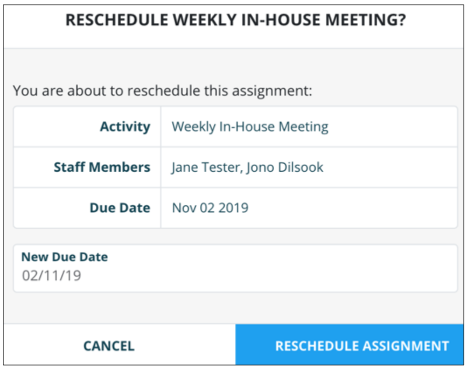
3. The following pop-up window will appear. Click ‘reschedule’.



4. All staff members assigned to the training assignment will now be highlighted in blue to signal they will have their training assignment rescheduled. Deselect any staff members who you do not want this training activity to be rescheduled for.

5. Click ‘reschedule assignments’.

6. The following pop-up window will appear.



7. Enter the new due date for the training assignment.

8. Review the displayed details and make changes if necessary.

9. Click ‘reschedule assignment’.

10. A pop-up message will appear to signal the rescheduling of the training assignment.

11. This assignment will still be found under the ‘Current Training’ section of the training register.

Rescheduling a Training Assignment for an Individual Staff Member

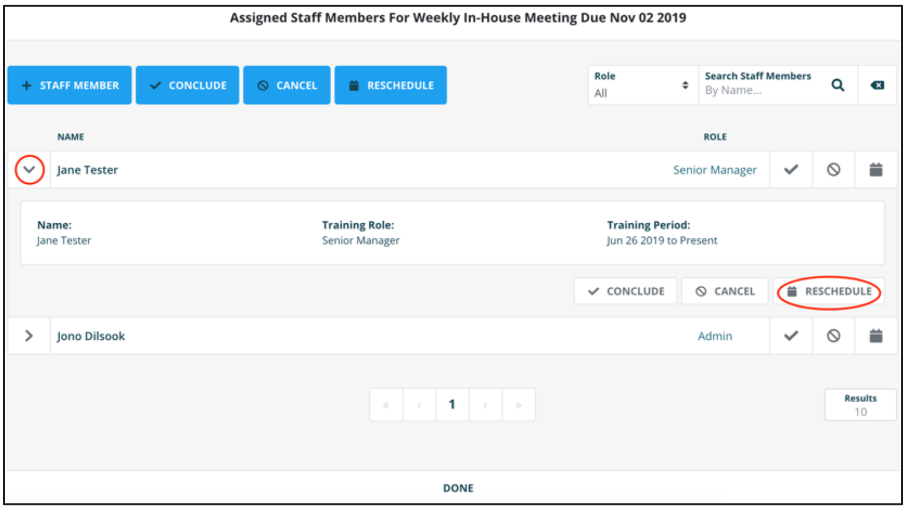
A current training assignment can be rescheduled for an individual through the ‘Current Training’ section of the training register.

1. Look for the training assignment you would like to reschedule from the list of current assignments on the right-hand side of the screen.

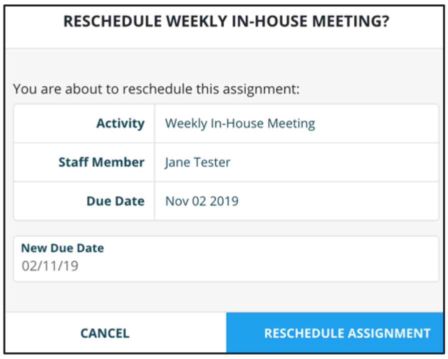
2. Click on this icon, found to the right of the name of the training assignment.

3. The following pop-up window will appear. Look for the name of the individual you would like to reschedule the training assignment for and click on the arrow found to the left of their name.

4. Click ‘reschedule’.



5. The following pop-up window will appear.



6. Enter the new due date for the training assignment.

7. Review the displayed details and make changes if necessary.

8. Click ‘reschedule assignment’.

9. A pop-up message will appear to signal the rescheduling of the training assignment.

10. This assignment will still be found under the ‘Current Training’ section of the training register.

Cancelling Training Assignments

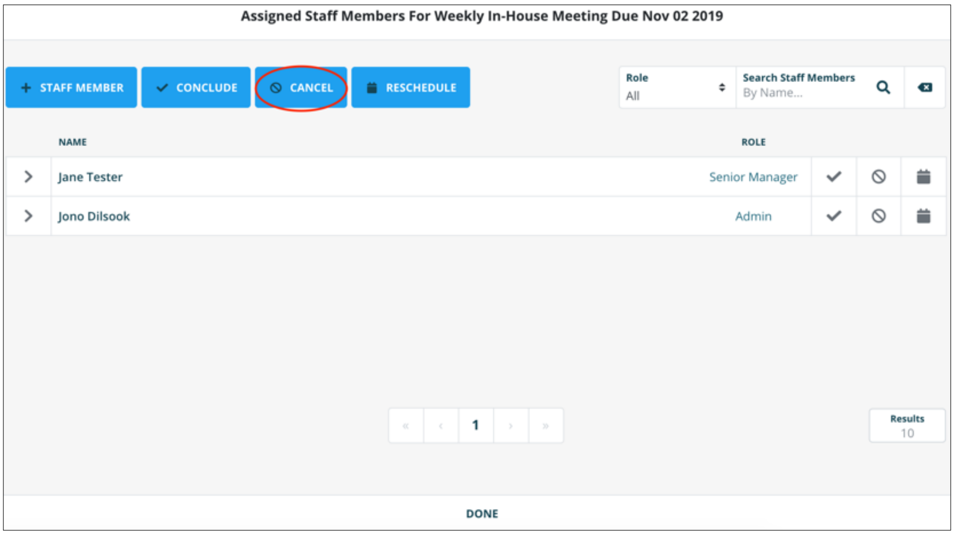
Cancelling a Training Assignment for all Assigned Staff Members

A current training assignment can be cancelled through the ‘Current Training’ section of the training register.

1. Look for the training assignment you would like to reschedule from the list of current assignments on the right-hand side of the screen.

2. Click on this icon, found to the right of the name of the training assignment.

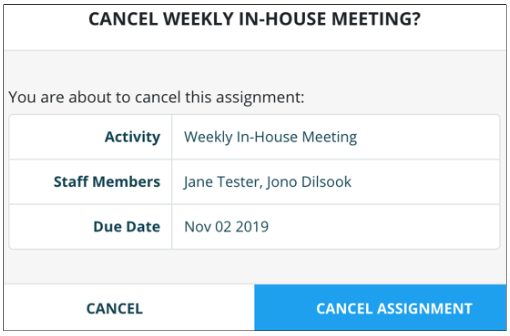
3. The following pop-up window will appear. Click ‘cancel’.



4. All staff members assigned to the training assignment will now be highlighted in blue to signal the training assignment will be cancelled for all of them. Deselect any staff members who you do not want this training assignment to be cancelled for.

5. Click ‘cancel assignments’.

6. The following pop-up window will appear.



7. Review the displayed details and make changes if desired by clicking ‘cancel’.

8. Click ‘cancel assignment’ when satisfied.

9. A pop-up message will appear to signal the cancelling of the training assignment.

10. This assignment will no longer be found under any section of the training register.

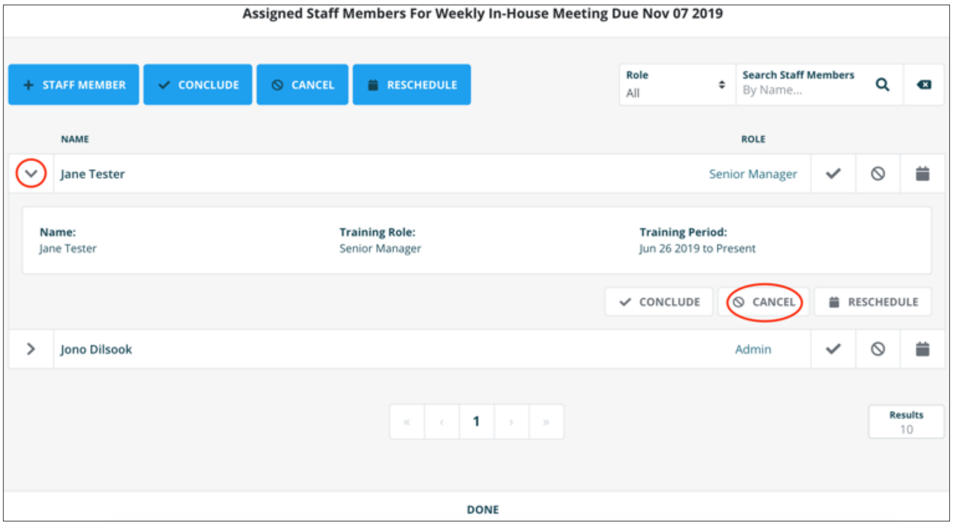
Cancelling a Training Assignment for an Individual Staff Member

1. Look for the training assignment you would like to cancel from the list of current assignments on the right-hand side of the screen.

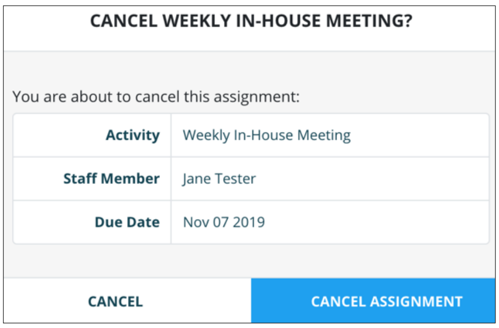
2. Click on this icon, found to the right of the name of the training assignment.

3. The following pop-up window will appear. Look for the name of the individual you would like to cancel the training assignment for and click on the arrow found to the left of their name.

4. Click ‘cancel’.



5. The following pop-up window will appear.



6. Review the displayed details and make changes if desired by clicking ‘cancel’.

7. Click ‘cancel assignment’ when satisfied.

8. A pop-up message will appear to signal the cancelling of the training assignment for the individual.

9. This assignment will no longer be found assigned to the individual under any section of the training register.

Management

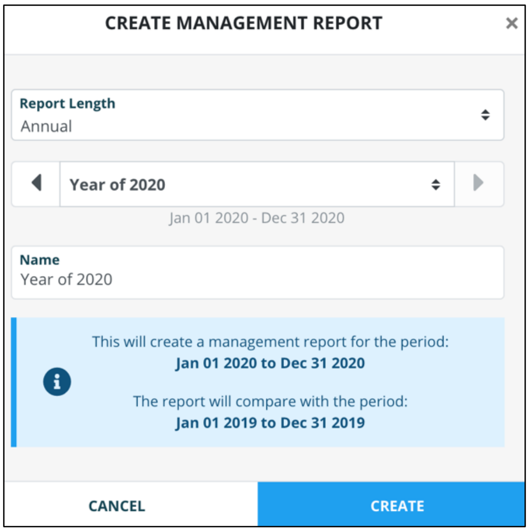
Reports

Generating a Management Report

Generating a management report can be done through the ‘Management’ section of the AMLHub desktop.

1. Click the  button.

2. The following pop-up window will appear.



3. Select the length of the report – annual, semi-annual, quarterly or monthly.

4. In the field below the ‘Report Length’ field, choose the time period for which you would like the report to be generated for.

5. Enter a name for the management report.

6. Click ‘create’.

7. The generated management report will then be displayed in a list amongst any other previously generated reports in the ‘Management Reports’ section of the AMLHub desktop.

Downloading a Management Report

Management reports can be downloaded in both CSV (tabular) and PDF (image) format.

Downloading a Management Report in CSV Format

Downloading a management report in CSV format can be done through the ‘Management Reports’ section of the AMLHub desktop.

1. Click on this icon, found to the right of the generated management report.
2. A pop-up window will appear, allowing you to save the file to your computer.
3. Once saved to your computer, you may open the file through any application compatible with CSV format. For example, Microsoft Excel, Numbers etc.

Downloading a Management Report in PDF Format

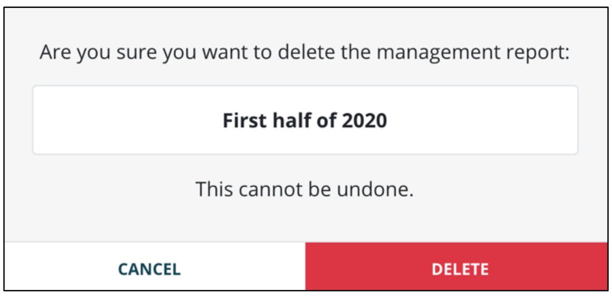
Downloading a management report in PDF format can be done through the ‘Management’ section of the AMLHub desktop.

1. Click on this icon, found to the right of the generated management report.
2. A pop-up window will appear, allowing you to save the file to your computer.
3. Once saved to your computer, you may open the file through any application compatible with PDF format. For example, Preview, Adobe Acrobat Reader etc.

Deleting a Management Report

Deleting a management report can be done through the ‘Management’ section of the AMLHub desktop.

1. Click on this icon, found to the right of the generated management report.
2. The following pop-up window will appear.



3. Click ‘delete’.

4. A pop-up message will appear to signal that the management report has been successfully deleted.

Interpreting a Management Report

This section provides definitions for particular terminology used in the management report.

Terminology	Definition
All Time	Encapsulates the reporting entity's entire time using the AMLHub.
Client	This is the person or entity that you are acting for i.e. the Vendor. For real estate, the term used is 'client', however, in legislation 'customer' is used. We use these terms interchangeably.
Current Period	Time period for which the particular management report was generated.
Marked Ready	An unverified deal marked ready for verification through the 'New' tab of the CDD register 'Deals' section.
PEP	A PEP is an individual who holds, or, has held at any time in the preceding 12 months, in any overseas country, certain prominent public functions. This includes heads of state or of government, government ministers, senior judicial or military officials, senior foreign representatives, ambassadors or high commissioners, senior executives of state/government owned enterprises and the Reserve Bank Governor (or equivalent position). The definition of a PEP also includes any immediate family member of the individual (i.e. spouse, partner, child, parent etc.) and certain known associates (having regard to publicly available information) of an individual who is a PEP. Approval from a Senior Manager is required before establishing or continuing a business relationship with a PEP.
PEP Screening	This refers to the PEP check offered in the AMLHub as one of our electronic identity verification (EIV) services.
Total Entities Onboarded	Any individual or party onboarded to the AMLHub, regardless of whether they are a client or not.
Unusual Events Created	Any potential suspicions that have been created in the current period.
Unusual Events Resolved	Any potential suspicions that have been resolved, as opposed to formed, in the current period.

AML HUB

Deal Assurance

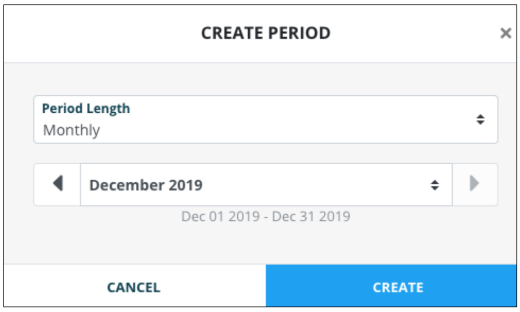
Creating an Assurance Period

Creating an assurance period can be done through the ‘Deal Assurance’ section of the AMLHub desktop.

1. Click on the 

button.

2. The following pop-up window will appear.

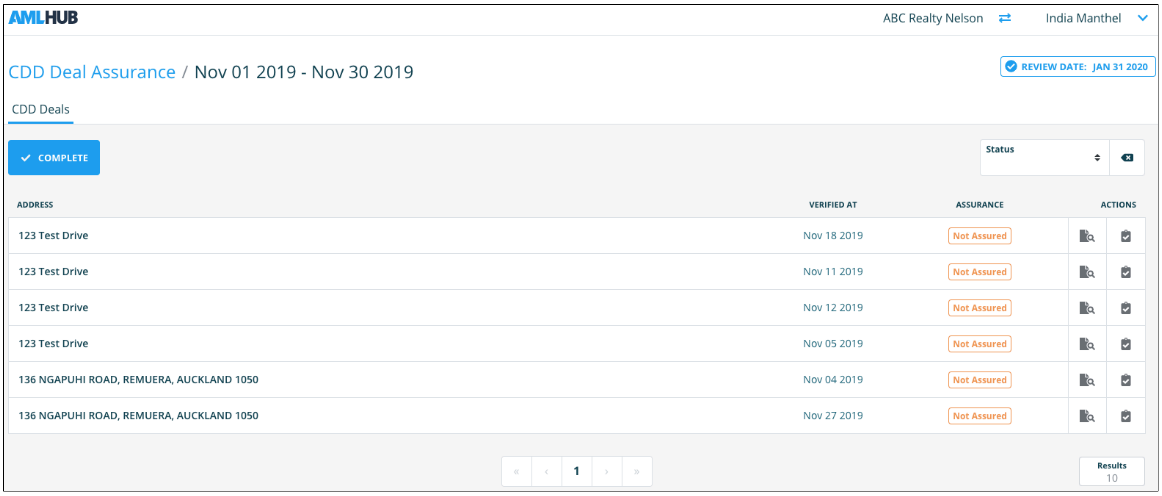


3. If you would like to select a different period length, click on the ‘period length’ field. Select from the drop-down menu the new period length you would like to be applied to this assurance period.

4. If you would like to select a different date for this assurance period to start from, click on the field stating the current month and year. Select from the drop-down menu the new date you would like this assurance period to start from.

5. Click ‘create’.

6. The assurance period will be created, with all of the deals verified in this period listed.

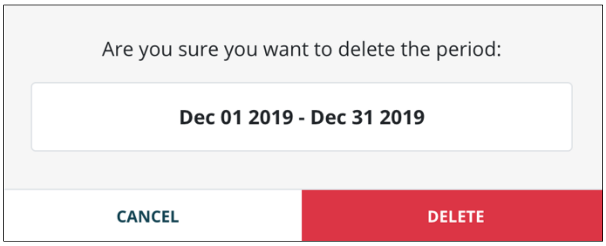


Deleting an Incomplete Assurance Period

Deleting an incomplete assurance period can be done through the ‘Deal Assurance’ section of the AMLHub desktop.

1. From the list of assurance periods displayed, click on this icon, found in the ‘Actions’ field to the right of the assurance period date.

2. The following pop-up window will appear. Click ‘delete’.



Please note: assurance periods cannot be deleted if they have been manually ‘completed’.

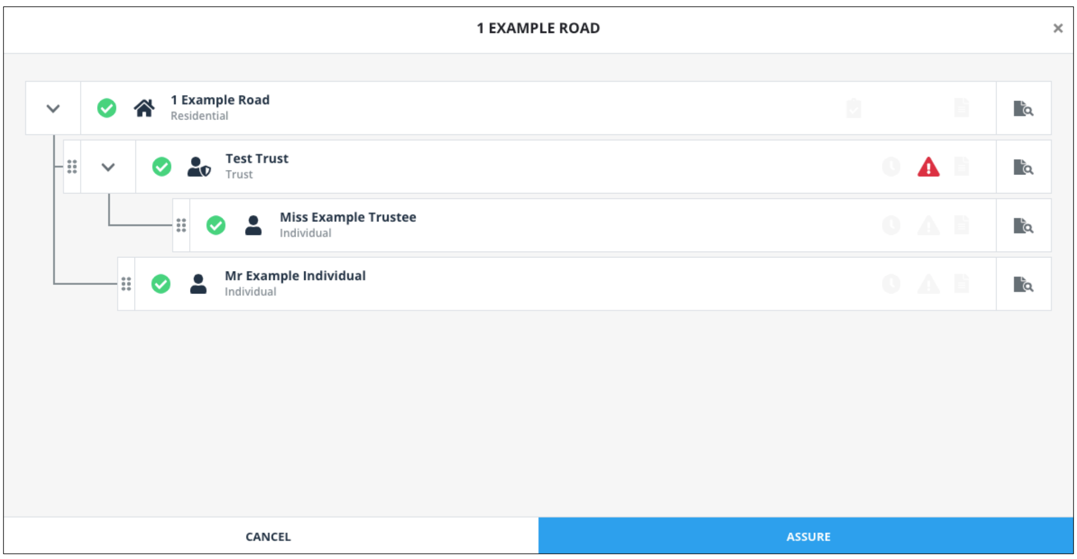
Assuring a Deal

Assuring a deal can be done through the ‘Deal Assurance’ section of the AMLHub desktop.

1. Click on the period you would like to complete assurance for.

2. Click on this icon, found to the right of the deal you would like to assure.

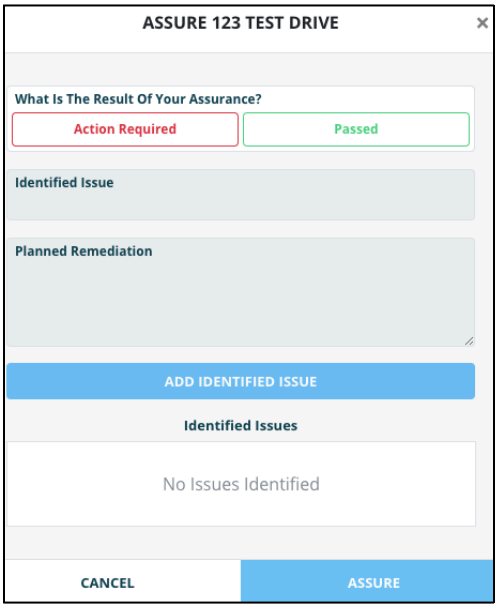
3. You will be redirected to a pop-up window displaying the deal’s structure.



4. From this window, review the deal's details, CDD etc. and take note of any issues.

5. When the review is complete, click 'assure'.

6. The following pop-up window will appear.



Passing Assurance

1. From the pop-up window displayed above, click 

.

2. Click 'assure'.

3. The deal will then be displayed in this assurance period with a status of 'passed'. This status is noted under the 'Assurance' field, found to the right of the deal name/property address.

Action Required

1. From the pop-up window displayed above, click 

.

2. You will then need to add any issues identified during your review of the deal.
   - Enter a name for the identified issue.
   - Describe what remediation should be implemented for this identified issue in the 'Planned Remediation' field.
   - Click 

.
   - The issue will then be displayed under the 'Identified Issues' field.

- Repeat this process for any additional issues identified during your review of the deal.

3. When all issues have been identified, click ‘assure’.

4. The deal will then be displayed in this assurance period with a status of ‘passed’. This status is noted under the ‘Assurance’ field, found to the right of the deal name/property address.

Completing an Assurance Period

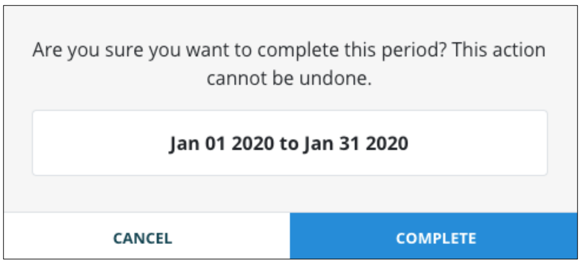
Completing an assurance period can be done through the ‘Deal Assurance’ section of the AMLHub desktop.

1. Click on the relevant period you would like to complete assurance for.

2. Click on the 

button.

3. The following pop-up window will appear. Click ‘complete’.



4. The assurance period will then be displayed under the ‘Assurance Periods’ list with a status of completed. This status is noted under the ‘Completed’ field, found to the right of the assurance period.

AML
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Staff Assurance

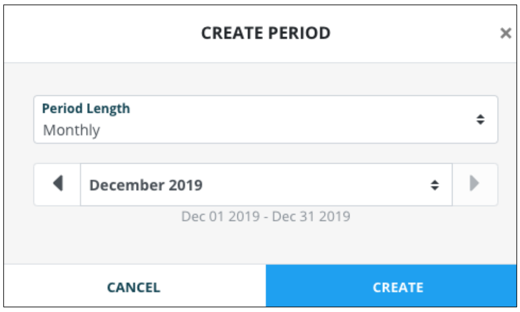
Creating an Assurance Period

Creating an assurance period can be done through the ‘Staff Assurance’ section of the AMLHub desktop.

1. Click on the 

button.

2. The following pop-up window will appear.

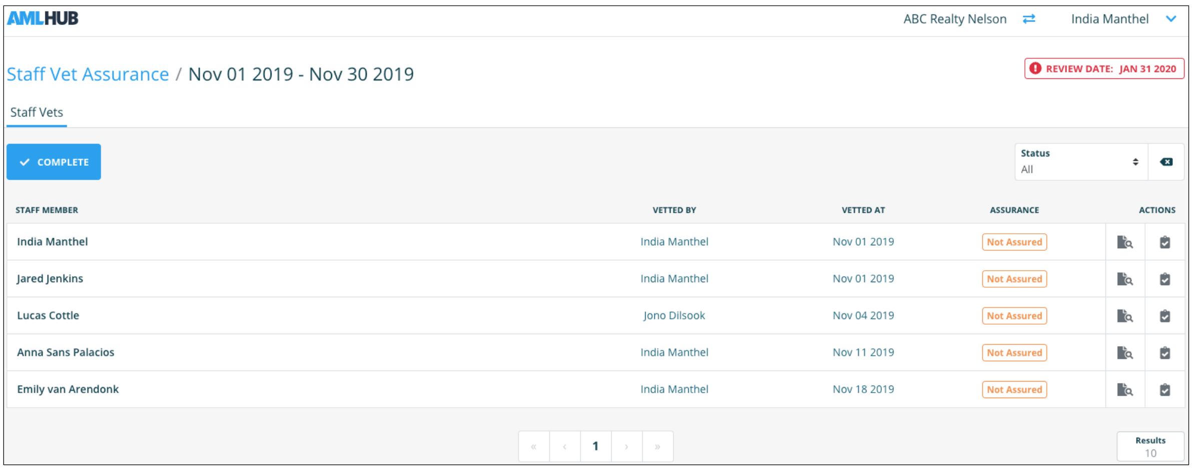


3. If you would like to select a different period length, click on the ‘period length’ field. Select from the drop-down menu the new period length you would like to be applied to this assurance period.

4. If you would like to select a different date for this assurance period to start from, click on the field stating the current month and year. Select from the drop-down menu the new date you would like this assurance period to start from.

5. Click ‘create’.

6. The assurance period will appear created, with all staff vetted in this period listed.

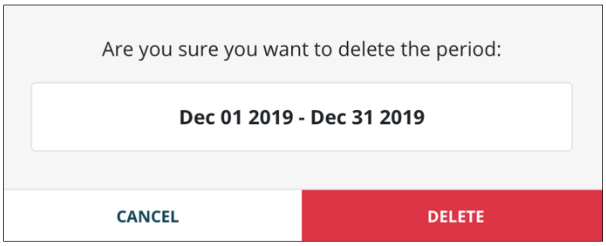


Deleting an Incomplete Assurance Period

Deleting an incomplete assurance period can be done through the ‘Staff Assurance’ section of the AMLHub desktop.

1. From the list of assurance periods displayed, click on this icon. This icon is found in the ‘Actions’ field, to the right of the assurance period date.

2. The following pop-up window will appear. Click ‘delete’.



Please note: assurance periods cannot be deleted if they have been manually ‘completed’.

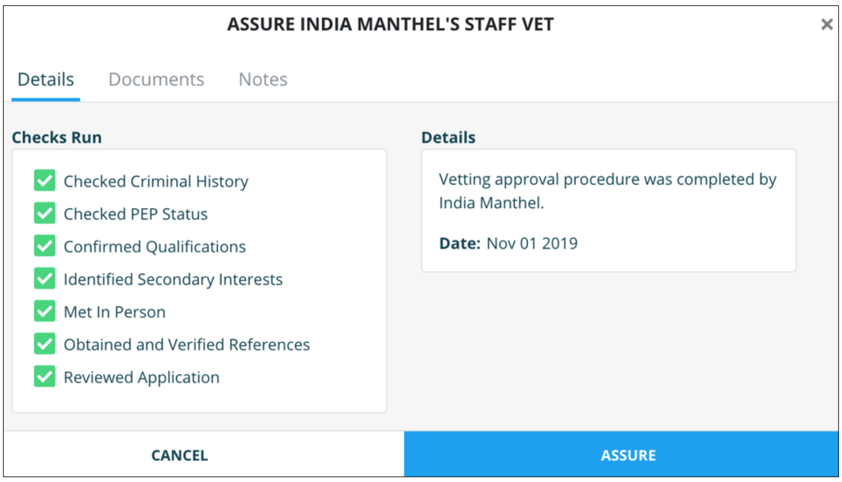
Assuring a Staff Member

Assuring a staff member can be done through the ‘Staff Assurance’ section of the AMLHub desktop.

1. Click on the period you would like to complete assurance for.

2. Click on this icon, found to the right of the staff member you would like to assure.

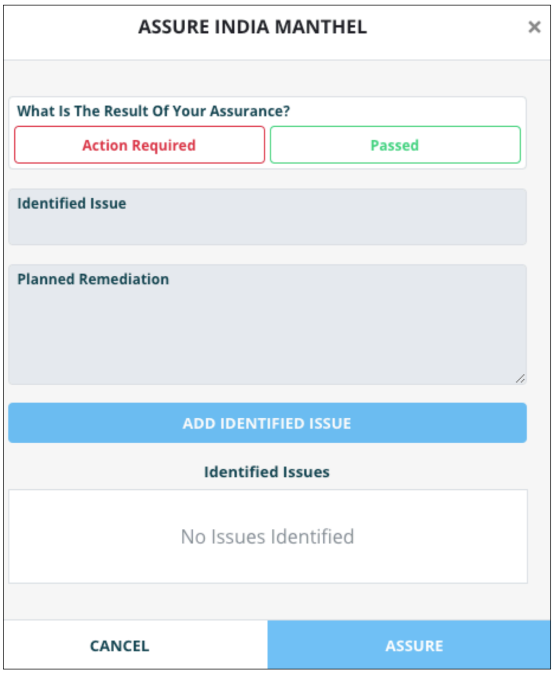
3. You will be redirected to a pop-up window displaying the staff member’s vetting records.



4. Review the staff member’s vetting records and take note of any issues found.

5. When review of these records has been completed, click ‘assure’.

6. The following pop-up window will appear.



Passing Assurance

1. From the pop-up window displayed above, click Passed.

2. Click ‘assure’.

3. The staff member will then be displayed in this assurance period with a status of ‘passed’. This status is noted under the ‘Assurance’ field, found to the right of the staff member’s name.

Action Required

1. From the pop-up window displayed above, click Action Required.

2. You will then need to add any issues identified during your review of the staff member’s vetting records.
    - Enter a name for the identified issue.
    - Describe what remediation should be implemented for this identified issue in the ‘Planned Remediation’ field.
    - Click ADD IDENTIFIED ISSUE.

- The issue will then be displayed under the ‘Identified Issues’ field.
- Repeat this process for any additional issues identified during your review of the staff member’s vetting records.

3. When all issues have been identified, click ‘assure’.

4. The staff member will then be displayed in this assurance period with a status of ‘passed’. This status is noted under the ‘Assurance’ field, found to the right of the staff member’s name.

Completing an Assurance Period

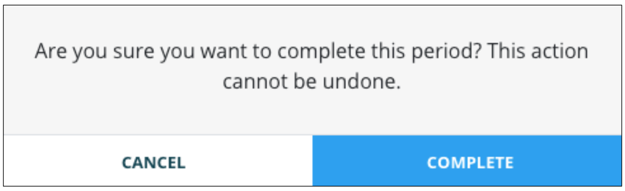
Completing an assurance period can be done through the ‘Staff Assurance’ section of the AMLHub desktop.

1. Click on the relevant period you would like to complete assurance for.

2. Click on the 

button.

3. The following pop-up window will appear. Click ‘complete’.



4. The assurance period will then be displayed under the ‘Assurance Periods’ list with a status of completed. This status is noted under the ‘Completed’ field, found to the right of the assurance period.

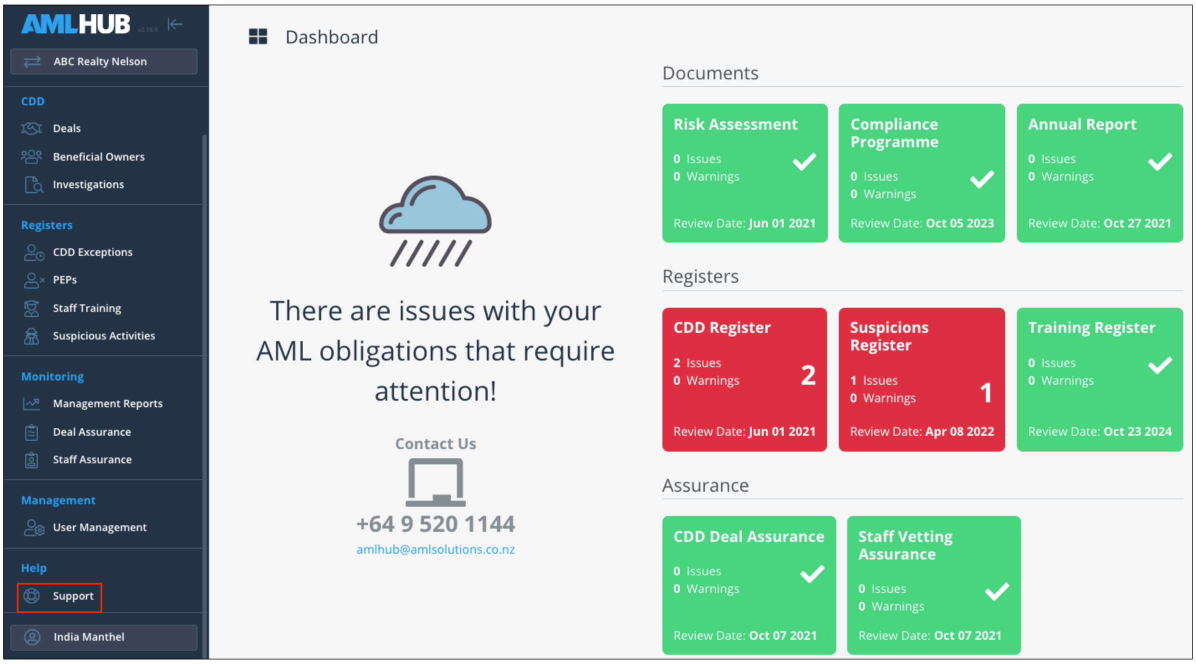
AML HUB

Further Support

FAQs

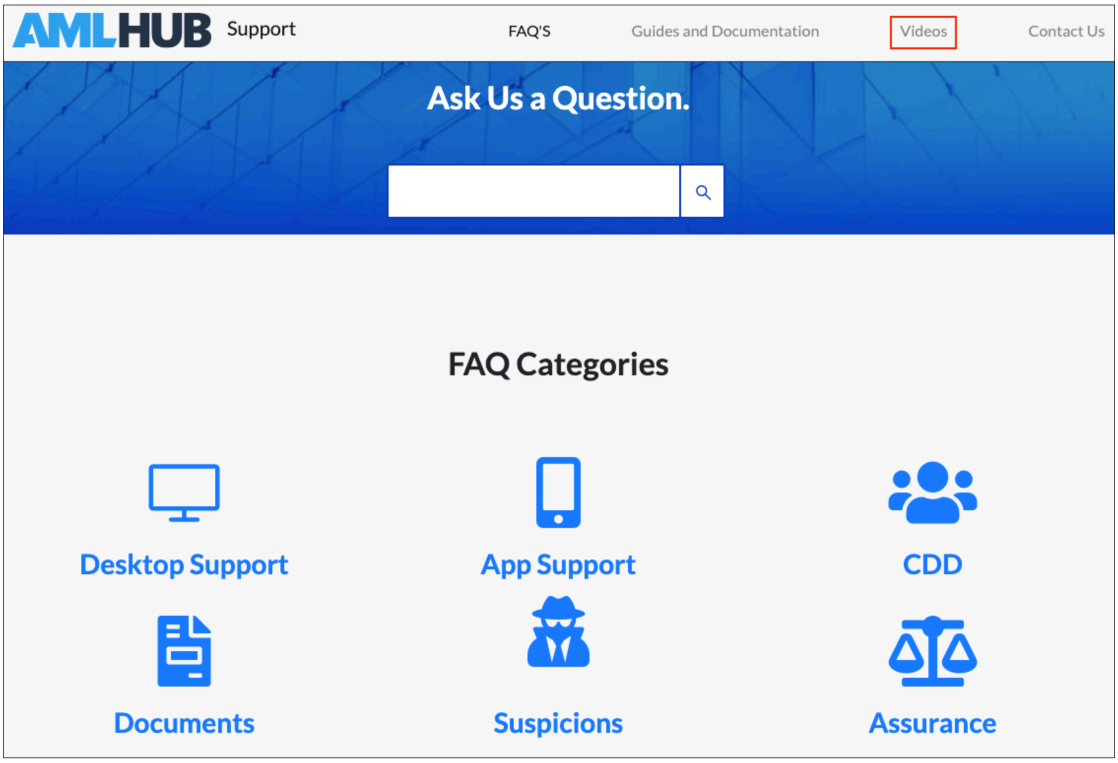
If you require further support in regards to utilising various aspects of the AMLHub desktop, please refer to our FAQ page. Our FAQs can be accessed through your reporting entity's dashboard of the AMLHub desktop.

Click on 'support', located in the left-hand sidebar.



Training Videos

You can access training videos also by clicking on 'support' from your branch's dashboard of the AMLHub desktop. Click on the 'videos' tab, found at the top of the screen.



AMLHub Technical Helpdesk

If your query is not answered in our FAQs or training videos, please submit an AMLHub technical query by visiting https://amlsolutions.co.nz/amlhub-2/aml-hub-technical-help/.

Alternatively, you can call our AMLHub technical helpdesk on (09) 520 1144.