



18 August 2022

## NOTICE

### RE: Change in Distribution Method for AML Survey Forms

The Cayman Islands Monetary Authority (the "Authority") advises all regulated financial service providers ("FSPs") that the anti-money laundering ("AML") Inherent Risk ("AIR"), the AML Risk Controls ("ARC") and the Cash Flow Return ("CFR") forms will be combined into one annual form - the AML Survey. We are currently in the process of removing the AIR and ARC forms from our Regulatory Enhanced Electronic Forms Submission portal and will advise once this is complete. In the interim, please do not use these forms.

The CFR form will remain accessible to facilitate resubmissions and amendments until further notice. No new CFR submissions are permitted at this time.

The AML Survey is issued in accordance with section 6(b)(ii) of the Monetary Authority Act, to assist the Authority in the exercise of its functions, including the collection of AML/CFT/CPF and Sanctions data from FSPs to conduct sectoral ML/TF/PF and Sanctions risk assessments and other related research for the Cayman Islands. The AML Survey will further improve the Authority's data collection and online filing and will be distributed via e-mail using a new software, STRIX DCM.

The AML Survey will be shared with the email contact(s) listed by FSPs with the Authority. Specific guidance notes on how to complete the AML Survey will be available [here](#) in advance of the survey dates below:

| Sector  | Survey Issue Date | Survey Due Date    |
|---|-------------------|--------------------|
| Securities: Full, Restricted, and Registered Persons                            | 12 September 2022 | 7 October 2022     |
| *Virtual Asset Service Providers  | 12 September 2022 | 7 October 2022     |
| *Insurance RFB Self Declaration: Class A, Class B, Class C, Agents, and Brokers | 19 September 2022 | 30 September -2022 |
| Fiduciary: Trust, Company Manager, Corporate Service Providers                  | 19 September 2022 | 14 October 2022    |

|  |                   |                 |
|--|-------------------|-----------------|
| *Banking: Class A, Class B, Building Societies, Credit Union, Development Bank and Money Services Businesses | 26 September 2022 | 21 October 2022 |
| Investments: Mutual Fund Administrators  | 26 September 2022 | 21 October 2022 |

**Note:** Insurance entities will first receive the 'RFB Self Declaration' survey to assess whether they conduct relevant financial business. Only those entities that have indicated that they conduct relevant financial business will receive the AML Survey on 26 September 2022 and will be expected to complete within 30 days.

Additionally, surveys specifically for VASP Travel Rule reporting and Banking Cash Flow Return will be distributed through STRIX DCM at the end of each calendar quarter, commencing with the first surveys to be issued on 30 September 2022. These will be due to the Authority 30 days thereafter.

For any questions or concerns, or to verify your email contact(s), please email [AMLSurveys@cima.ky](mailto:AMLSurveys@cima.ky)