

**Specification of Competency Standards**  
**for the Banking Industry**  
**Unit of Competency**

Functional Area - 5. Internal Control and Compliance  
(Key Function – 5.5 Anti-Money Laundering / Counter- Financing of Terrorism (AML/CFT) /  
Sanctions)

Title	Handle request from law enforcement agencies related to anti-money laundering / counter-financing of terrorism / sanctions
Code	109350L4
Range	Handling request from different law enforcement agencies. This applies to requests of financial information of the bank's clients for the purpose of investigating anti-money laundering, counter-financing of terrorism and prevention of violation of sanctions activities.
Level	4
Credit	3 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Knowledge in the Subject Area</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Demonstrate proficient knowledge in banking law and compliance in order to interpret the requests from law enforcement agencies;</li> <li>• Understand the regulatory requirements in anti-money laundering, counter-financing of terrorism and prevention of violation of sanctions and apply the knowledge to interpret the request of law enforcement agencies for the purpose of providing appropriate responses.</li> </ul> <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Verify the requests received are from regulators or authorized law enforcement agencies by examining their support documentations;</li> <li>• Examine the instructions from regulators or law enforcement agencies in order to identify information to be provided;</li> <li>• Liaise with different parties to consolidate and provide information according to the scope of the request;</li> <li>• Develop the plan in preparing the response to handle regulatory reporting in accordance with the specified time schedule;</li> <li>• Consolidate information from different sources to provide the report which can meet the requirements of the requests;</li> <li>• Identify on-going obligations of the bank in order to allocate resources to support the investigation.</li> </ul> <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Review operations and activities of the bank in order to detect non-compliance of anti-money laundering policies and regulations;</li> <li>• Handle clients' information properly as per defined procedures and guidelines to prevent damaging the relationship and reputation of the bank;</li> <li>• Record all submitted information and take necessary action to prevent unauthorized access of the information.</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Provision of information in a decent reporting format in order to satisfy the requests from law enforcement agencies;</li> </ul>

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	<ul style="list-style-type: none"><li>• Provision of responses to law enforcement agencies related to anti-money laundering, counter-financing of terrorism and prevention of violation on sanctions based on the consolidated information collected from different sources.</li></ul>
Remark	