

Legal and Compliance > Compliance Evaluation and Reporting

Title	Handle request from regulatory bodies and law enforcement agencies
Code	106675L4
Range	Handling requests from different regulatory bodies and law enforcement agencies. This applies to requests for financial information relating to the bank's clients for the purpose of investigations
Level	4
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> <li>1. Understand the request of regulatory bodies and law enforcement agencies                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Demonstrate proficient knowledge in banking law and compliance in order to understand the requests from regulatory bodies and law enforcement agencies</li> <li>• Interpret relevant laws and regulations including anti-money laundering laws in order to provide appropriate response to requests received</li> </ul> </li> <li>2. Collect information for the requests                             <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 supporting 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>• Identify ongoing obligations of the bank in order to allocate resources to support the investigation</li> </ul> </li> <li>3. Draft reply in response to the request                             <p>Be able to:</p> <ul style="list-style-type: none"> <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 and ensure fulfillment of the requests</li> <li>• Review operations and activities of the bank for the investigation</li> <li>• Ensure clients' information are treated properly to prevent damaging the client relationship and reputation of the bank</li> <li>• Record all submitted information and take necessary action to prevent unauthorized access to the information</li> </ul> </li> </ol>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Provision of information in order to satisfy the requests from regulatory bodies and law enforcement agencies. Such information should be compiled from information from different sources and assessed for relevance.</li> </ul>
Remark	