

Audit Report

Title: Audit AML

Date: 2025-01-07 - 2025-01-09

Auditor: Soumya Auditor Ghosh

Auditee: Partha BU Dey

Status: Complete

① **Organization Details:**

1. What is the legal name of your organization?

answered

2. What is your organization's business registration number?

answered

② **AML Policies and Procedures:**

1. Does your organization have a written AML compliance policy?

☐ Yes ☒ No

Comment:

Partha BU Dey(2025-01-07)

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Attachment:

Partha BU Dey(2025-01-07)

Audit0107_FraudDetection (1).pdf

Comment:

Soumya Auditor Ghosh(2025-01-07)

please put a doc

2. How often is the AML policy reviewed and updated?

answered

3. Can you provide evidence of the last policy review?

☒Yes ☐No

3 Know Your Customer (KYC):

1. What KYC procedures does your organization have in place?

answered

2. How does your organization verify the identity of new clients?

answered

3. Is there an ongoing monitoring process for existing clients?

☐Yes ☒No

Comment:

Soumya Auditor Ghosh(2025-01-07)

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Attachment:

Soumya Auditor Ghosh(2025-01-07)

Audit0107_AntiMoneyLaundryEdit.pdf

4 Employee Training:

1. How frequently do you provide AML training to your employees?

answered

2. What does the training program include?

answered

3. How do you assess the effectiveness of the AML training?

answered

5 Risk Assessment:

1. How does your organization assess AML risk?

answered

2. What risk mitigation strategies are in place?

answered

3. How often is the risk assessment updated?

answered

6 Reporting and Record-Keeping:

1. What is the process for reporting suspicious activities?

answered

2. How long are AML-related records kept?

answered

3. Who is responsible for maintaining AML records?

answered

7 Compliance Officer:

1. Who is the designated AML Compliance Officer in your organization?

answered

2. What are the responsibilities of the AML Compliance Officer?

answered

3. How can the AML Compliance Officer be contacted?

answered

8 Auditing and Monitoring:

1. Does your organization have an independent audit function for AML compliance?

☐ Yes ☒ No

2. How often are internal audits conducted?

answered

3. What monitoring systems are in place to detect unusual transactions?

answered

9 Regulatory Compliance:

1. Is your organization compliant with local AML regulations?

☒ Yes ☐ No

2. Has your organization ever been subject to AML regulatory action?

☐ Yes ☒ No

3. How does your organization stay updated on changes in AML laws and regulations?

answered

10 Third-Party Relationships:

1. Does your organization conduct AML due diligence on third parties?

☒ Yes ☐ No

2. What information is collected from third parties for AML purposes?

answered

3. How is third-party AML compliance monitored?

answered