



AML **HUB**

Desktop Manual

Version 1.1

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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

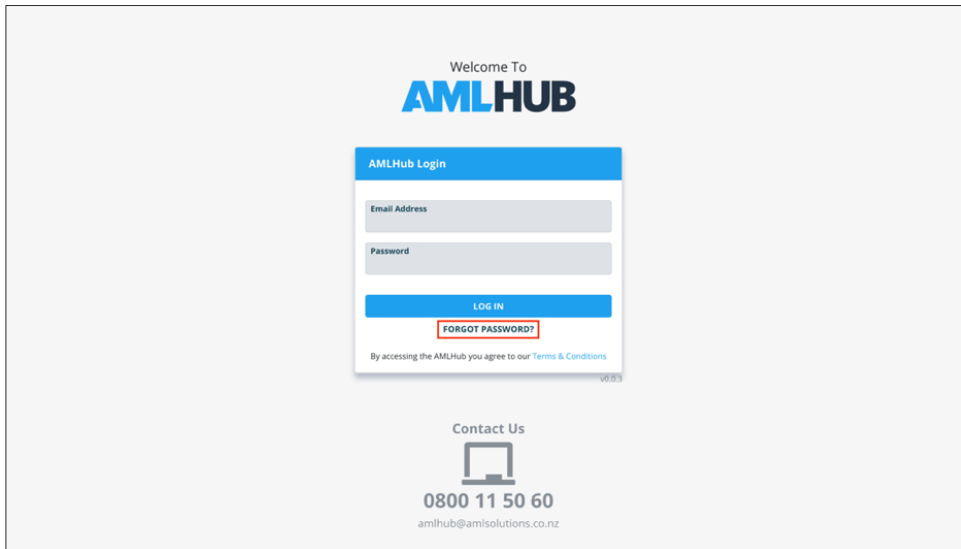
1. Visit the AMLHub desktop login page (amlhub.co.nz).
2. Login using the following credentials:
 - email address; and
 - password – as you created it through the verification email, unless you have reset it since then.
3. You will be directed to a page where you select a branch you would like to view. The number of branches displayed on this list will depend on how many branches your user account is assigned to.

Password Reset

Unable to Login 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?'.

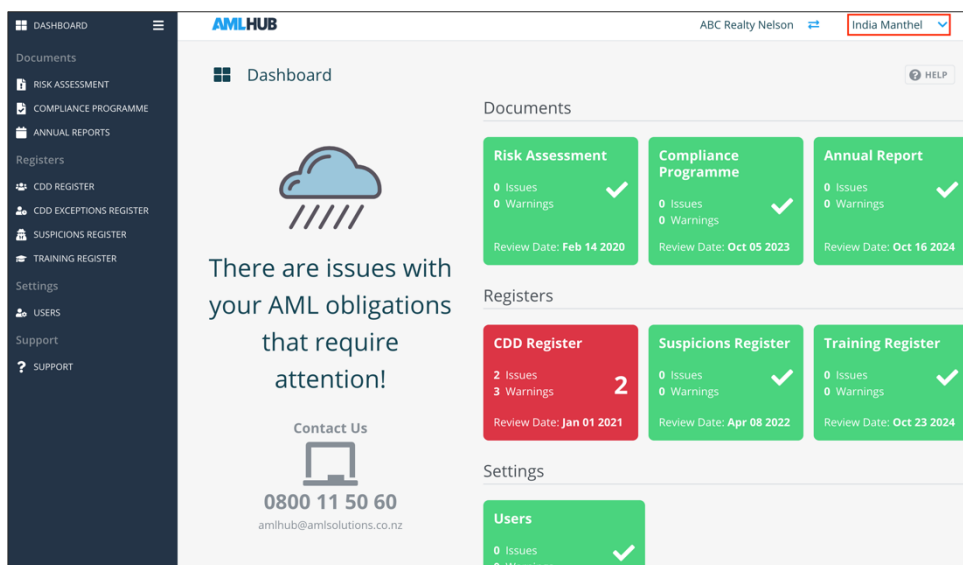


3. Enter the email address associated with your user account.
4. Click 'send reset link'.
5. You will be sent an email allowing you to reset your password. If you cannot find this email in your primary inbox, it may be in your junk mail or spam folder.

Able to Log into the AMLHub Desktop

Alternatively, if you are able to log into the AMLHub desktop, you can reset your password from either the AMLHub desktop homepage or dashboard of a branch.

1. Click on this  icon, found to the right of your name in the top right-hand corner of the screen.




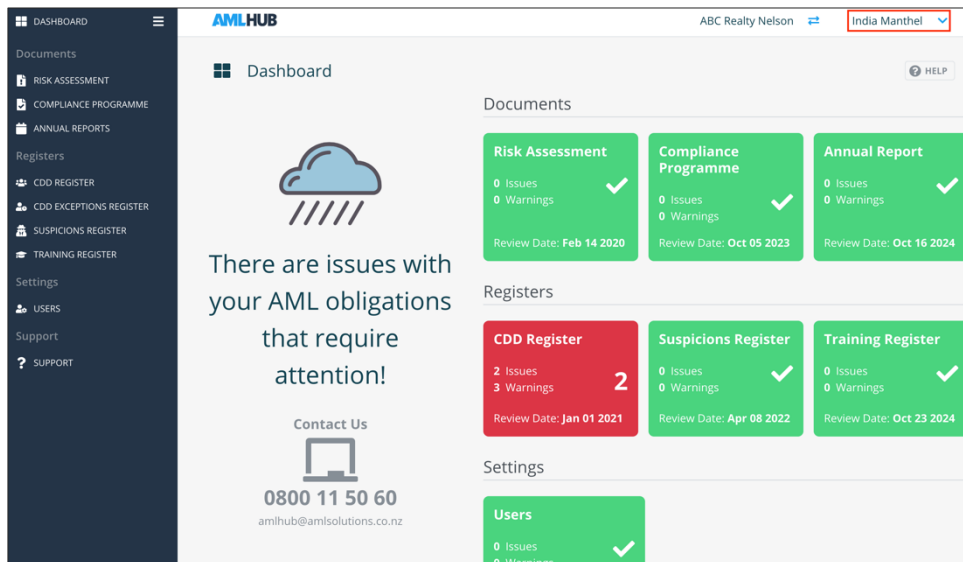
2. Click 'profile'.

3. Click 'request password reset'.
4. A pop-up message will appear to signal 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 either the homepage or dashboard of a branch.

1. Click on this  icon, found to the right of your name in the top right-hand corner of the screen.



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

INDIA MANTHEL DETAILS

First Name
India

Last Name
Manthel

Email
india@amlsolutions.co.nz

REQUEST PASSWORD RESET

CLOSE SAVE

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, where 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.

The screenshot shows the AMLHub dashboard for ABC Realty Northland, user India Manthel. The dashboard features a central message: "Your AML obligations are looking okay but keep an eye on things." Below this is a "Contact Us" section with the phone number 0800 11 50 60 and email amlhub@amsolutions.co.nz. The dashboard is organized into sections: Documents, Registers, and Settings. The Documents section includes Risk Assessment, Compliance Programme, and Annual Report, all with 0 issues and 0 warnings. The Registers section includes CDD Register, Suspensions Register, and Training Register. The Training Register is highlighted in orange, indicating 6 warnings. The Settings section includes Users, which shows 0 issues and 0 warnings.


Section	Item	Issues	Warnings	Review Date
Documents	Risk Assessment	0	0	Apr 01 2020
	Compliance Programme	0	0	Apr 01 2020
	Annual Report	0	0	Jan 01 2020
Registers	CDD Register	0	0	Apr 01 2020
	Suspensions Register	0	0	Apr 01 2020
	Training Register	0	6	Jul 01 2020
Settings	Users	0	0	

Switching Branches

1. From the dashboard of a branch, click on this  icon, found to the right of the branch's name.
2. You will be directed to the homepage of the AMLHub desktop.
3. Click on the branch you would like to switch to.
4. You will be directed to the dashboard of the branch you have selected.

Logging Out of your Account

Logging out of your account can be done either from the AMLHub desktop homepage or the dashboard of a branch.

1. Click on this  icon, found to the right of your name in the top right-hand corner of the screen.
2. Click 'logout'.
3. You will be directed to the login page of the AMLHub desktop.

Further Support

If you require further assistance with navigation through the AMLHub desktop, click on the



icon, found in the top right-hand corner of the screen.

AML HUB

Users

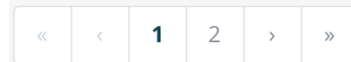
Navigation

You can navigate to the 'Users' 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

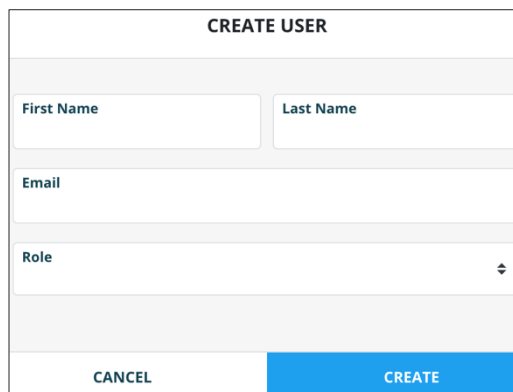
The review date set for the branch's users page can be found in the top right-hand corner of the screen  **REVIEW DATE: JAN 01 2021**. To edit this review date, click on this icon.

Adding & Removing Users

Adding a User

Adding a user to a branch can be done through the 'Users' section of the AMLHub desktop.

1. Click the  button.
2. The following pop-up window will appear.

A pop-up window titled "CREATE USER". It contains four input fields: "First Name", "Last Name", "Email", and "Role". The "Role" field is a dropdown menu. At the bottom, there are two buttons: "CANCEL" and "CREATE".

CREATE USER	
First Name	Last Name
Email	
Role	
CANCEL	CREATE


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

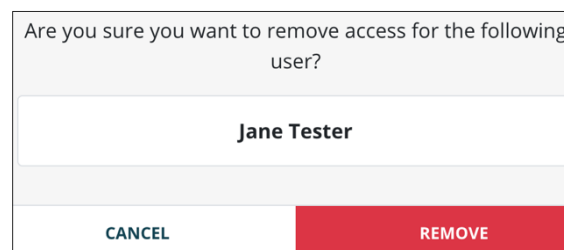
4. Click 'create'.
5. A pop-up window will appear to signal that the user has been successfully created.

Removing a User

Please note: if the user is a staff member, they cannot be removed from a branch until their staff membership period has been concluded.

Removing a user from a branch can be done through the 'Users' 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 branch.

Updating a User Role

Updating the role of a user can be done through the 'Users' 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.

UPDATE JANE TESTER

First Name
Jane

Last Name
Tester

Email
jane@amlsolutions.co.nz

Role
AMLSO

CANCEL UPDATE

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.

Resend email invite to the following user?


Jared Jenkins

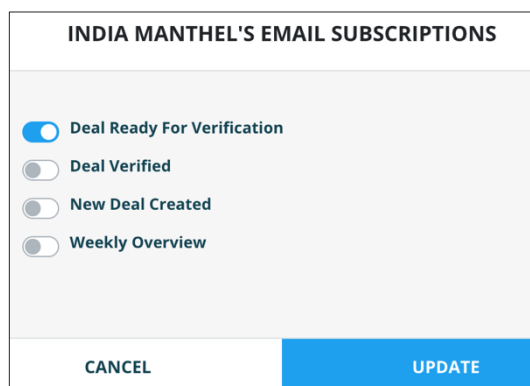
CANCEL RESEND

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 user notifications can be done through the 'Users' 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.

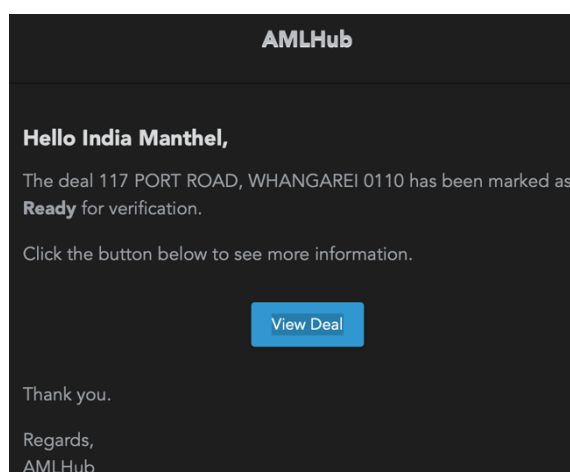


INDIA MANTHEL'S EMAIL SUBSCRIPTIONS

- Deal Ready For Verification
- Deal Verified
- New Deal Created
- Weekly Overview

CANCEL UPDATE

3. Click on the bar icon displayed to the left of any notification option(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 notifications for the user have been successfully updated.
6. If select notifications are turned on for a particular user, you will receive these respective email notifications to the email address associated with your user account.



AML **HUB**

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 branch. 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 branches, however, do not need to be vetted and cannot be added to the training register.

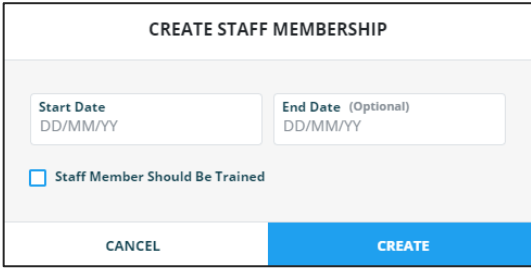
A *staff member* is a further classification of a user. A user meets the criteria for staff membership if they are involved in AML obligations, such as onboarding new vendors or clients. Staff members must be vetted.

Creating a Staff Membership

Please note: to be added as a staff member, the user must have already been created and added to the branch. Adding a user can be done through the  button in the 'Users' section of the AMLHub desktop.

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

1. Click on the  button found under the 'Staff Member' field adjacent to the user's name.
2. A window will appear, as shown in the image below.



CREATE STAFF MEMBERSHIP

Start Date DD/MM/YY

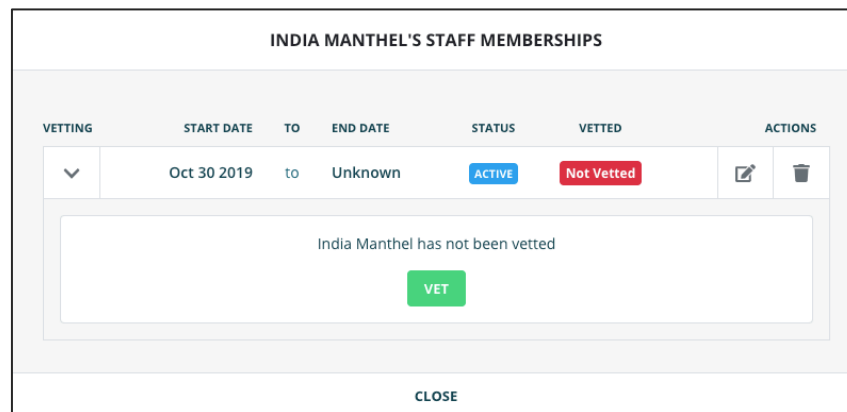
End Date (Optional) DD/MM/YY

Staff Member Should Be Trained

CANCEL CREATE

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.


- 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. Staff members must be added to the training register, where if they were not added upon creation this can be done through the training register at a later stage.
- Click 'create'.
- A window will appear, as shown in the image below.



- The user is now an active staff member with a start date, which means they are ready for vetting.

Vetting a Staff Member

Please 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.

- From the window 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 adjacent to the user's name.
- The following window will appear after clicking the VET button.

VET INDIA MANTHEL

Checks Run:

- Checked Criminal History
- Checked PEP Status
- Confirmed Qualifications
- Identified Secondary Interests
- Met In Person
- Obtained And Verified References
- Reviewed Application
- Other

Vetting Date
30/10/19

Exempt Staff Member (Optional)

India Manthel Is Exempted Vetting Requirements

CANCEL
VET

3. The list provided above is a guideline of possible checks that may have been conducted by your HR department during the hiring process. You will need to liaise with your HR department to find out what checks were completed. 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.

INDIA MANTHEL'S STAFF MEMBERSHIPS

VETTING	START DATE	TO	END DATE	STATUS	VETTED	ACTIONS
▼	Oct 30 2019	to	Unknown	ACTIVE	Oct 30 2019	✎ 🗑

Vetting Details | Vetting Documents | Vetting Notes

Checks Run

- Checked Criminal History
- Checked PEP Status
- Confirmed Qualifications
- Identified Secondary Interests
- Met In Person
- Obtained and Verified References
- Reviewed Application


Details

Vetting approval procedure was completed by India Manthel.

Date: Oct 30 2019


✎ UPDATE
🗑 DELETE

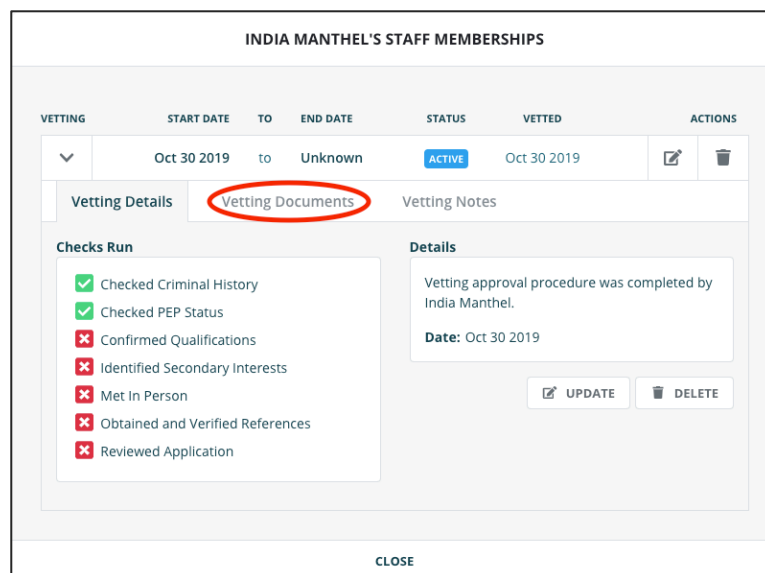
CLOSE


To update the checks completed, click on the  button and make any necessary changes.

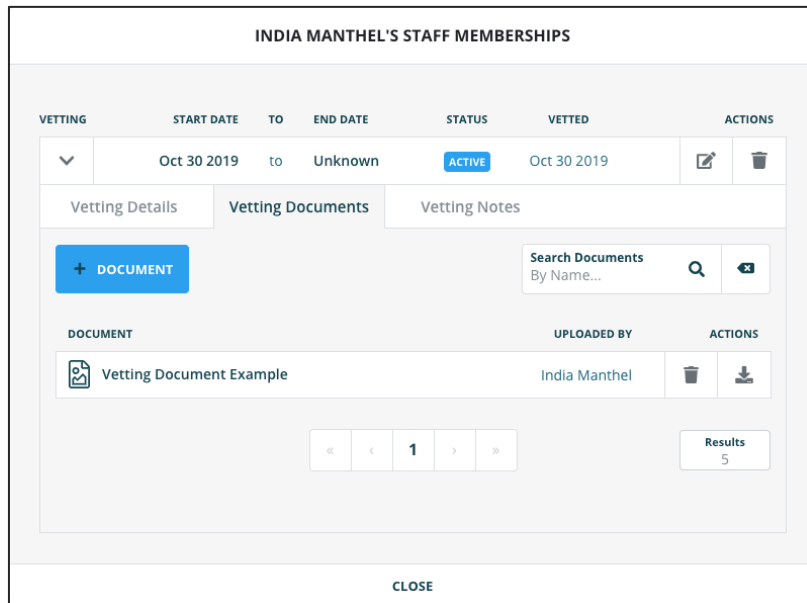
Uploading Vetting Documents

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 adjacent to the user's name.
2. Click on the 'Vetting Documents' tab from this window.




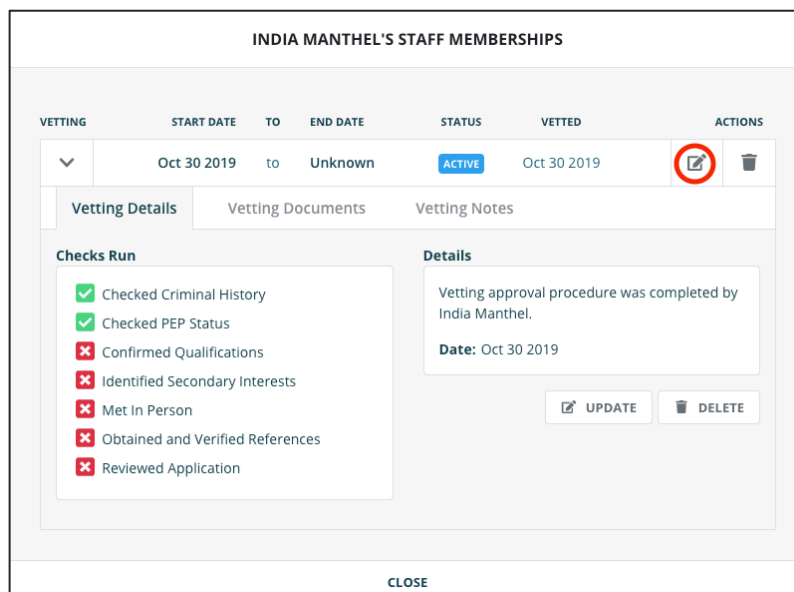
3. Click on the  button to upload a document to the AMLHub.
4. Name the document and click 'browse' to select the document from your library.
5. Click 'create'.
6. The uploaded document will subsequently be displayed in the following window, under the 'Vetting Documents' tab.



Concluding the Staff Membership Period for a User


If a staff member is no longer involved in AML obligations, for example, they leave a particular branch or entity, please follow the procedure below. Before concluding the period of 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'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 adjacent to 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 and click 'update'.
4. Underneath the 'Staff Member' tab adjacent to the user's name, it will now say 'ended' with a subsequent end date.




5. If the user has left the branch entirely and needs to be removed as a user from the branch, click on the  icon, found under the 'Actions' field adjacent to the user's name.


The correct procedure for a staff member leaving a branch is their staff membership be concluded and subsequently their user removed from the branch if desired.

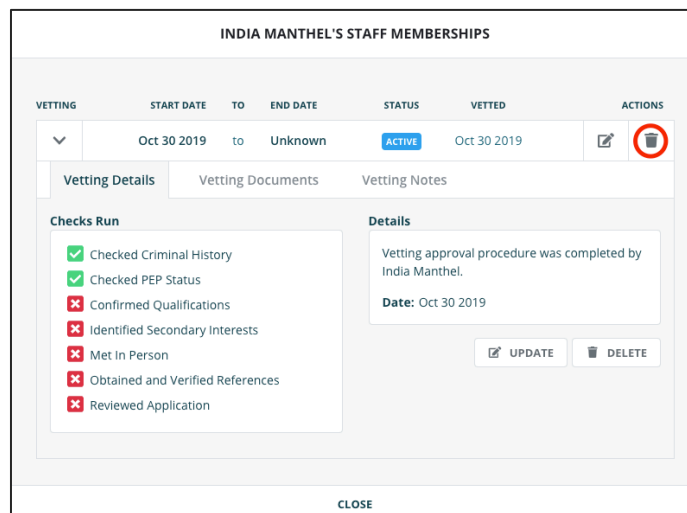
Removing Staff Membership from a User

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.

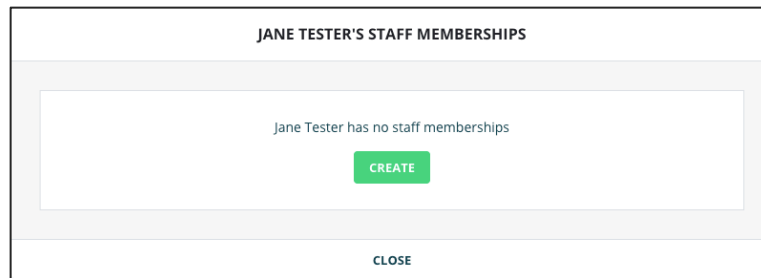
Before removing the staff membership, please check the CDD register to see if the staff member is assigned to any unverified deals. If this is the case, ensure a new user is added to such deal(s) before the staff member is removed.

Please note: this does not remove the user from a branch, it removes the title of staff member from the user's profile. To remove a user entirely from a branch, click on the  icon, found under the 'Actions' field adjacent to the user's name.

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 adjacent to the user's name.
2. Click on the rubbish bin 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

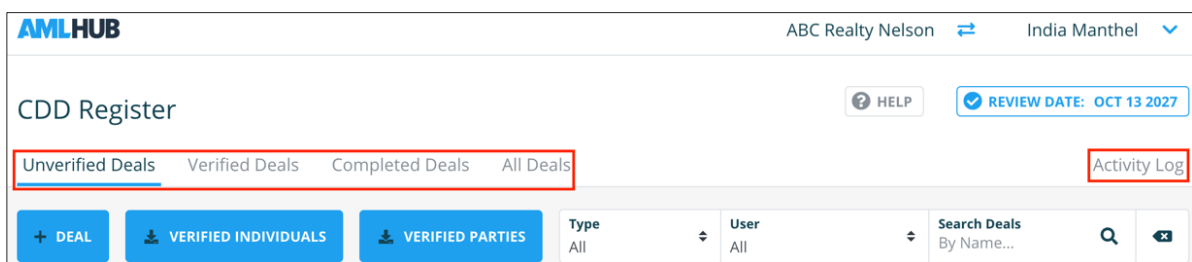
The CDD register contains all deals loaded to the AMLHub by users of a particular branch through either the AMLHub desktop or app. When first created, these deals will be unverified; subsequently, they will undergo the verification process by those authorised to do so in order to validate the deal for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

Navigation

Different Sections Within the CDD Register


You can navigate to the 'CDD 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 four tabs:

- **Unverified Deals**
The deal appears here following its initial creation through either the AMLHub app or desktop.
- **Verified Deals**
Unverified deals are moved to this section following the completion of the verification process by someone who has received sufficient training to do so. Once verified, deals can become a listing.
- **Completed Deals**
Deals should be moved to this section of the CDD register from the 'Verified Deals' section if a sale is made or the client is lost; in these circumstances, the deal should not be deleted.
- **All Deals**
A combined list of all unverified, verified and completed 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 four tabs mentioned above.

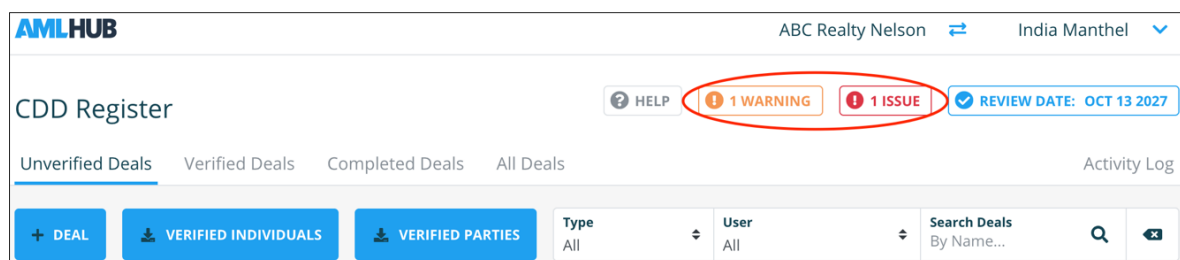
Review Date, Issues & Warnings

The review date set for the branch's CDD 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 CDD register of the AMLHub desktop in relation to temporary exceptions.

- A warning  will appear if a temporary exception has been granted for an individual and has not yet 'failed' or been resolved.
- An 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.




Further Support

If you require further support regarding the CDD register, a  button can be found in the top right-hand corner of the screen. This section contains several videos on how to utilise different aspects of the CDD register.

Creating & Deleting Deals

Creating a Deal

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

1. Click the  button.
2. The following pop-up window will appear.

CREATE DEAL

Address
Type to Search

Type
Please Select

Purpose
Requires Deal Type

Duration
Please Select

Volume
Please Select

Who Are You Acting For?
Purchaser Vendor

Is Outsourced CDD Allowed? [WHAT DOES THIS MEAN?](#)
No Yes

Users (Type To Search)
India Manthel

Estimated Low Value
0

Estimated High Value
0

Frequency:
One-Off Repeating

CANCEL CREATE


3. Enter the details of the deal.
4. Click 'create'.
5. A pop-up message will appear to signal the creation of the deal and you will be redirected to the deal's structure.
6. From here, you can subsequently onboard individuals and parties to this deal.

Please note: entering a correct purpose is essential for when management reports are extracted and used for transaction monitoring.

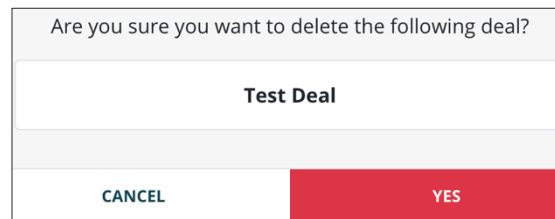
Deleting a Deal

When a sale is made, a deal is not sold or a client is lost, these deals should be moved to the 'Completed Deals' section of the CDD register as opposed to being deleted. Deleting a deal should only be utilised in the instances of duplicates or accidental creation.

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

1. Locate the deal you would like to delete by typing the address of the deal into the 'Search Deals' field.
2. Click on this  icon, found under the 'Actions' field to the right of the deal name/address.

3. Click 'delete'.
4. The following pop-up window will appear.



Are you sure you want to delete the following deal?	
Test Deal	
CANCEL	YES

5. Click 'yes'.
6. A pop-up message will appear to signal that the deal has been successfully deleted.

Assigning Users to a Deal

Sales agents will only be able to view and edit deals in the CDD register of the AMLHub desktop and/or their 'Update a Deal' section of the AMLHub app that they have been assigned to.

Senior staff members such as the AMLCO, SO, AML ADMIN etc. are able to view all deals in the CDD register of the AMLHub desktop, however, must be assigned to the deal if they want to be able to view and edit the deal through the app.

During the creation of a deal through the app, sales agents are provided with the option to assign users to this deal. If they do not do this, or following the deal being created more users need to be assigned, the procedure below may be followed.

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

1. Locate the deal you would like to assign a user to by typing in the address of the deal into the 'Search Deals' field.
2. Click on the deal name/address; you will be redirected to the structure of the deal.
3. Under the deal's structure, click on the deal name/address.
4. A pop-up window of the 'Update Deal' page will appear on the right-hand side of the screen.
5. Under the 'Details' tab of this page, there will be a 'Users' section. Click on this section and a drop-down menu will appear; select the user(s) you would like to assign to the deal by clicking on their name(s).

UPDATE DEAL
123 Test Drive

Details Documents Verification

Address
123 Test Drive

Type
Residential

Purpose
Relocating

Duration
0-1 Year

Volume
1

Who Are You Acting For?
Purchaser Vendor

Is Outsourced CDD Allowed? [WHAT DOES THIS MEAN?](#)
No Yes

Key Contact
-- Select Key Contact --

Users (Type To Search)
India Manthel


CLOSE UPDATE

6. Click 'update'.

Onboarding Individuals & Parties

Onboarding an Individual

Onboarding an individual can be done following the creation of a deal. Locate the deal you would like to onboard the individual to and click on the deal name/address to bring up the structure of the deal.

1. Click the  button, found to the right of the deal name/address.
2. Select 'add individual'.
3. The following pop-up window will appear on the right-hand side of the screen. Enter the details of the individual into the respective sections.
 - o The current address of the individual may not necessarily be the address of the property being sold.
 - o Entering an email address and phone number are especially important if you require outsourced CDD, so the individual can be contacted.

CREATE INDIVIDUAL

Details Documents eChecks PEP Verification

Title Please Select First Name

Middle Names Last Name

Date Of Birth DD/MM/YYYY

Address 123 Test Drive

Email Address

Phone Number

Types Please Select

Country Of Residence Please Select

CANCEL CREATE

4. Click 'create'.
5. A pop-up message will appear to signal that the individual has been successfully created.


Run-Down of Individual Types

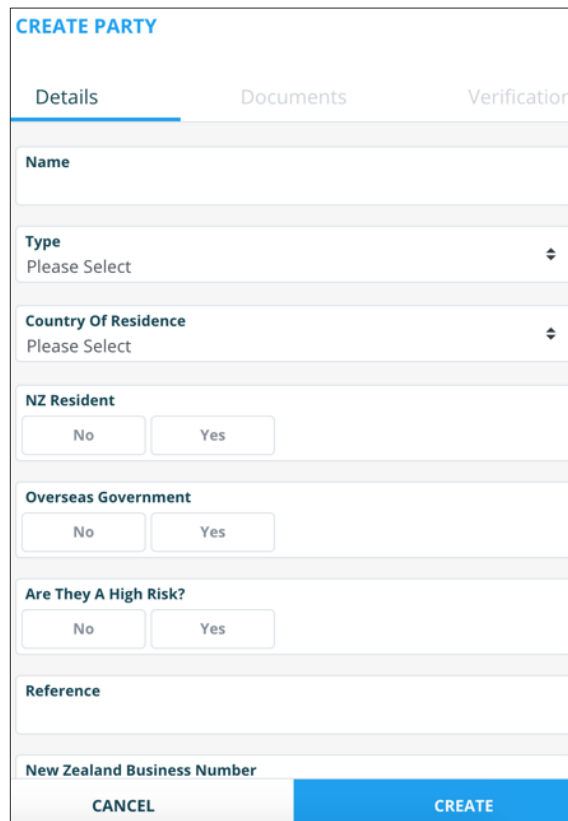
- **25%+ Ownership**
This is where someone owns more than 25% of the asset, meaning they are a beneficial owner.
- **Trustee**
Trustee of the trust. These are the named trustees in a Trust Deed. For example, for a family trust this would typically be the husband and wife, and their lawyer.
- **Settlor**
Settlor of the trust; this is the named Settlor in a Trust Deed.
- **Effective Controller**
Someone who is in effective control of the asset i.e. Managing Director, who may also be a 25%+ shareholder.
- **Acting on Behalf**
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 following the creation of a deal, underneath the deal's structure. Locate the deal you would like to onboard the party to and click on the deal name/address to bring up the structure of the deal.

1. Click the  button, found to the right of the deal name/address.
2. Select 'add party'.
3. The following pop-up window will appear on the right-hand side of the screen. Enter the details of the party into the respective sections of the window.



CREATE PARTY

Details Documents Verification

Name

Type
Please Select

Country Of Residence
Please Select

NZ Resident
No Yes

Overseas Government
No Yes

Are They A High Risk?
No Yes

Reference

New Zealand Business Number

CANCEL CREATE

4. Click 'create'.
5. A pop-up message will appear to signal that the party has been successfully created.

Please note: all trusts are automatically marked as high risk.

Updating Details

Updating the Details of a Deal

Updating the details of an unverified deal can be done through the 'Unverified Deals' section of the CDD register.

1. Locate the deal of interest by typing the address of the deal into the 'Search Deals' field.
2. Click on the deal name/address; you will be redirected to the structure of the deal.
3. Under the deal's structure, click on the deal name/address.
4. A pop-up window of the 'Update Deal' page will appear on the right-hand side of the screen.

The screenshot shows the AMLHUB interface for updating a deal. On the left, the 'CDD Register / 123 Test Drive' page is visible, showing a structure with a deal named '123 Test Drive' (Residential) and a party 'Mr Example Individual' (25%+ Ownership). On the right, the 'UPDATE DEAL' pop-up window is open, displaying the following details:

- Address:** 123 Test Drive
- Type:** Residential
- Purpose:** Relocating
- Duration:** 0-1 Year
- Volume:** 1
- Who Are You Acting For?:** Purchaser (selected), Vendor
- Is Outsourced CDD Allowed?:** No (selected), Yes
- Key Contact:** -- Select Key Contact --
- Users (Type To Search):** India Manthel (selected)

At the bottom of the pop-up, there are 'CLOSE' and 'UPDATE' buttons.

5. Make any necessary changes to the details of the deal.
6. When satisfied with these changes, click 'update'.
7. 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' page.

Updating the Details of a Party

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

1. Locate the deal containing the party you would like to update by typing the address of the deal into the 'Search Deals' field.
2. Click on the deal name/address; you will be redirected to the structure of the deal.
3. Under the deal's structure, click on the name of the party you would like to update.
4. A pop-up window of the 'Update Party' page will appear on the right-hand side of the screen.

The screenshot displays the AMLHUB interface for updating a party. On the left, the 'Structure' pane shows a deal named '123 Test Drive' with a residential status. It lists three parties: 'Test Trust' (Trust), 'Mrs Example Trustee', and 'Mr Example Individual' (25%+ Ownership). The right pane, titled 'UPDATE PARTY Test Trust', contains a form with the following fields: 'Name' (Test Trust), 'Type' (Trust), 'Country Of Residence' (Please Select), 'NZ Resident' (No/Yes), 'Overseas Government' (No/Yes), and 'Are They A High Risk?' (No/Yes). A warning message indicates that the 'Yes' option for 'Are They A High Risk?' is disabled because a high-risk party type has been selected. At the bottom of the form are 'CLOSE' and 'UPDATE' buttons.

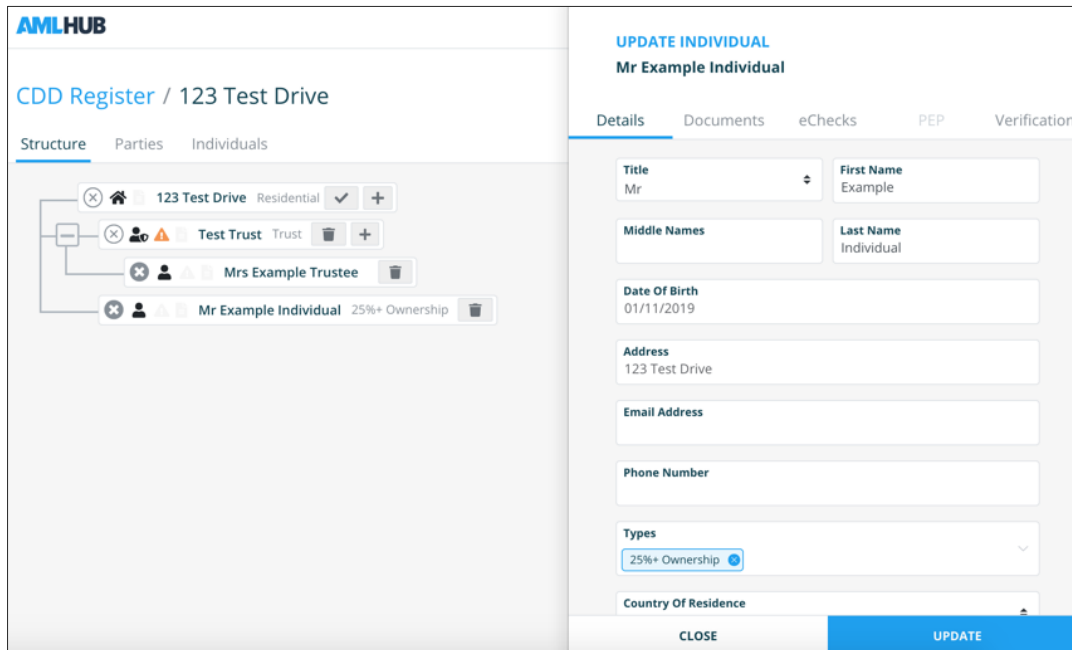
5. Make any necessary changes to the details of the party.
6. When satisfied with these changes, click 'update'.
7. A pop-up message will appear to signal that the party has been successfully updated. It is now safe to click 'close', which exits the 'Update Party' page.

Updating the Details of an Individual

Updating the details of an individual within an unverified deal can be done through the 'Unverified Deals' section of the CDD register.

1. Locate the deal containing the individual you would like to update by typing the address of the deal in the 'Search Deals' field.

2. Click on the deal name/address; you will be redirected to the structure of the deal.
3. Under the deal's structure, click on the name of the individual you would like to update.
4. A pop-up window of the 'Update Individual' page will appear on the right-hand side of the screen.



5. Make any necessary changes to the details of the individual.
6. When satisfied with these changes, click 'update'.
7. 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' page.

Document Upload

Please note: only one image or document can be uploaded at a time. For example, you cannot add two images of the front and back of a driver licence in the same document. In this case, these should be added as separate documents and, for example, titled "Driver Licence Front" and "Driver Licence Back".

Uploading Documents to a Deal

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

1. Locate the deal you would like to upload documents to by typing the address of the deal into the 'Search Deals' field.
2. Click on the deal name/address; you will be redirected to the structure of the deal.
3. Under the deal's structure, click on the deal name/address.
4. A pop-up window of the 'Update Deal' page will appear on the right-hand side of the screen.
5. Navigate to the 'Documents' tab of this page.

The screenshot shows a modal window titled "UPDATE DEAL" for a deal named "123 Test Drive". It has three tabs: "Details", "Documents" (which is selected and highlighted with a red box), and "Verification". Below the tabs, there is a "Document Name" input field. Underneath that is a "Document" section with a text input field containing "Drop File Or Click To Browse" and a "Browse" button. A message box below the input fields states "No Documents Uploaded". At the bottom of the modal, there are two buttons: "CLOSE" and "UPLOAD".

6. Enter the name of the document.
7. Either drag & drop a document OR click 'browse' and subsequently choose the desired document to be uploaded from your library.
8. Click 'upload'.
9. 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 'Unverified Deals' section of the CDD register.

1. Locate the deal containing the party you would like to upload documents to by typing the address of the deal into the 'Search Deals' field.

2. Click on the deal name/address; you will be redirected to the structure of the deal.
3. Under the deal's structure, click on the name of the party you would like to upload documents to.
4. A pop-up window of the 'Update Party' page will appear on the right-hand side of the screen.
5. Navigate to the 'Documents' tab of this page.

The screenshot shows a web form titled "UPDATE PARTY" for "Test Trust". It has three tabs: "Details", "Documents" (which is selected and highlighted with a red box), and "Verification". The form contains the following fields and controls:

- Document Name:** A text input field.
- Type:** A dropdown menu with "Please Select" and a downward arrow.
- Document:** A text input field with the placeholder "Drop File Or Click To Browse" and a "Browse" button.
- Enhanced CDD:** Two radio buttons labeled "No" and "Yes".
- Footer:** A "CLOSE" button and a blue "UPLOAD" button.

At the bottom of the form, there is a message: "No Documents Uploaded".

6. Enter the name of the document.
7. Select document type.
8. Either drag & drop a document OR click 'browse' and subsequently choose the desired document to be uploaded from your library.
9. Click 'upload'.
10. 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 'Unverified Deals' section of the CDD register.

1. Locate the deal containing the individual you would like to upload documents to by typing the address of the deal into the 'Search Deals' field.

2. Click on the deal name/address; you will be redirected to the structure of the deal.
3. Under the deal's structure, click on the name of the individual you would like to upload documents to.
4. A pop-up window of the 'Update Individual' page will appear on the right-hand side of the screen.
5. Navigate to the 'Documents' tab of this page.


The screenshot shows a web form titled "UPDATE INDIVIDUAL" for "Mr Example Individual". The "Documents" tab is selected and highlighted with a red box. The form contains the following elements:

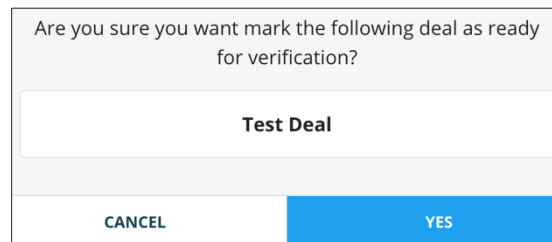
- Document Name:** A text input field.
- Type:** A dropdown menu with "Please Select" as the current selection.
- Document:** A text area with the prompt "Drop File Or Click To Browse" and a "Browse" button.
- Enhanced CDD:** Two radio buttons labeled "No" and "Yes".
- Message Box:** A white box with the text "No Documents Uploaded".
- Buttons:** "CLOSE" and "UPLOAD" buttons at the bottom.


6. Enter the name of the document.
7. Select document type.
8. Either drag & drop a document OR click 'browse' and subsequently choose the desired document to be uploaded from your library.
9. Click 'upload'.
10. A pop-up message will appear to signal a successful document upload.

Marking Ready for Verification

Marking a deal ready for verification is typically done by sales agents who have onboarded individuals and/or parties to a deal, uploaded documents to each and would like to notify their compliance officer that the deal is ready to undergo the verification process.

1. Locate the deal you would like to mark as ready for verification by typing the address of the deal into the 'Search Deals' field.
2. Click on the deal name/address; you will be redirected to the structure of the deal.
3. Click on this  icon, found to the right of the deal name/address.
4. The following pop-up window will appear.

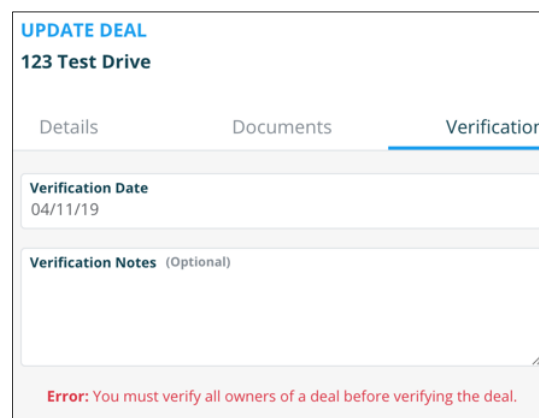


5. Click 'yes'.
6. The icon should now appear green, like so .
7. If your compliance officer has the user notification 'Deal Ready for Verification' turned on for your particular user, they will receive an email notification informing them of the deal being ready for verification.

Manual Verification

When you are confident with the information and documentation uploaded to each individual, party and the deal itself, you can undergo the verification process in order for it to become a valid listing.

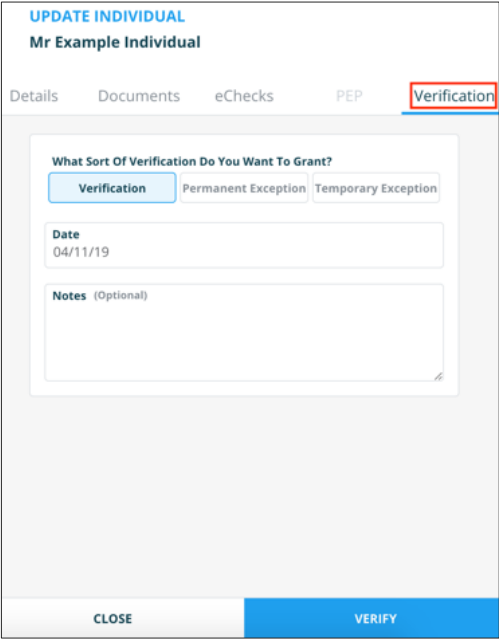
You must verify each individual and party loaded to the deal before you can verify the deal itself. If you attempt to verify the deal prior to doing this, you will be presented with the following message.



Manually Verifying an Individual

Manually verifying an individual loaded to an unverified deal can be done through the 'Unverified Deals' section of the CDD register. Locate the deal containing the individual you would like to verify and click on the deal name/address to bring up the structure of the deal.

1. Click on the name of the individual.
2. A pop-up window of the 'Update Individual' page will appear on the right-hand side of the screen.
3. Navigate to the 'Verification' tab.



The screenshot shows a web interface for updating an individual. At the top, it says 'UPDATE INDIVIDUAL' and 'Mr Example Individual'. Below this are several tabs: 'Details', 'Documents', 'eChecks', 'PEP', and 'Verification'. The 'Verification' tab is highlighted with a red box. The main content area of the 'Verification' tab contains a form with the following elements:

- A heading: 'What Sort Of Verification Do You Want To Grant?'
- Three buttons: 'Verification' (selected), 'Permanent Exception', and 'Temporary Exception'.
- A 'Date' field with the value '04/11/19'.
- A 'Notes (Optional)' text area.

At the bottom of the form, there are two buttons: 'CLOSE' and 'VERIFY'.

4. Select the type of verification.
5. Enter the verification date.
6. Add any notes you might feel are necessary for keeping an accurate and traceable record of the individual's verification.
7. Click 'verify'.
8. A pop-up window will appear to signal a successful verification of the individual. It is now safe to click 'close' and repeat this verification process for any additional individuals needing to be verified.

Manually Verifying a Party

Manually verifying a party loaded to an unverified deal can be done through the 'Unverified Deals' section of the CDD register. Locate the deal containing the party you would like to verify and click on the deal name/address to bring up the structure of the deal.

1. Click on the name of the party.
2. A pop-up window of the 'Update Party' page will appear on the right-hand side of the screen.
3. Navigate to the 'Verification' tab.

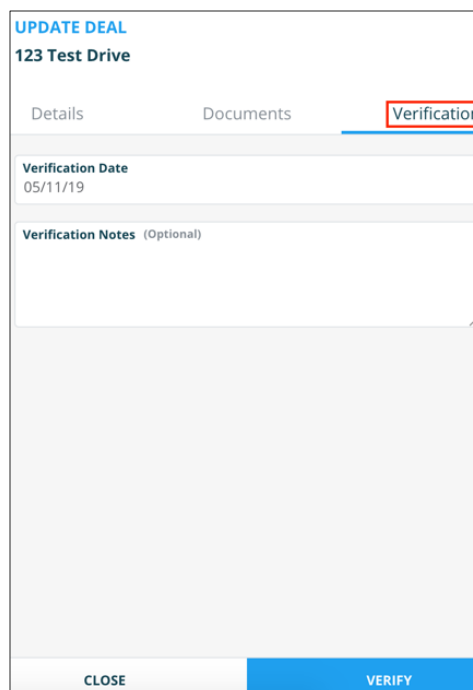
The screenshot shows a mobile application interface for updating a party. At the top, it says 'UPDATE PARTY' and 'Test Trust'. Below this are three tabs: 'Details', 'Documents', and 'Verification', with the 'Verification' tab selected and highlighted in blue. A warning message in an orange box states: 'This party is high risk and requires Enhanced CDD. Have you obtained source of funds/wealth?'. Below the warning, there is a section titled 'What Sort Of Verification Do You Want To Grant?' with three radio button options: 'Verification' (selected), 'Permanent Exception', and 'Temporary Exception'. Underneath, there is a 'Date' field with the value '04/11/19' and a 'Notes (Optional)' text area. At the bottom of the form, there are two buttons: 'CLOSE' and 'VERIFY'.

4. Select the type of verification.
5. Enter the verification date.
6. Add any notes you might feel are necessary for keeping an accurate and traceable record of the party's verification.
7. Click 'verify'.
8. A pop-up window will appear to signal a successful verification of the party. It is now safe to click 'close' and repeat this verification process for any additional parties needing to be verified.

Manually Verifying a Deal

Manually verifying an unverified deal can be done through the 'Unverified Deals' section of the CDD register. Locate the deal you would like to verify and click on the deal name/address to bring up the structure of the deal.

1. Under the deal's structure, click on the deal name/address.
2. A pop-up window of the 'Update Deal' page will appear on the right-hand side of the screen.
3. Navigate to the 'Verification' tab.



The screenshot shows a pop-up window titled 'UPDATE DEAL' for the deal '123 Test Drive'. It features three tabs: 'Details', 'Documents', and 'Verification', with the 'Verification' tab selected and highlighted in red. The 'Verification' tab contains a 'Verification Date' field with the value '05/11/19' and a 'Verification Notes (Optional)' text area. At the bottom of the window are two buttons: 'CLOSE' and 'VERIFY'.


4. Enter the verification date.
5. Add any notes you might feel are necessary for keeping an accurate and traceable record of the deal's verification.
6. Click 'verify'.
7. A pop-up window will appear to signal a successful verification of the deal. It is now safe to click 'close'.
8. Once all individuals, parties and subsequently the deal itself have been verified, it will then appear under the 'Verified Deals' section of the CDD register.

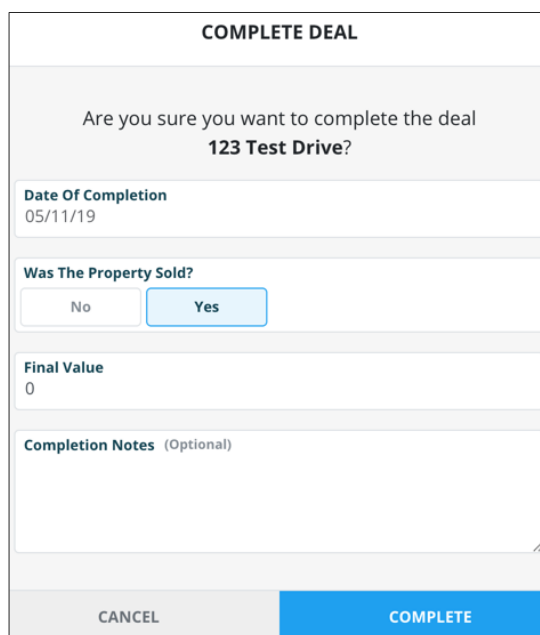
Completing & Uncompleting Deals

Completing a Deal

When a sale is made, a deal is not sold or a client is lost, these deals should be moved to the 'Completed Deals' section of the CDD register as opposed to being deleted.

Completing a deal can be done through the 'Verified Deals' section of the CDD register.

1. Locate the deal you would like to complete by typing the address of the deal into the 'Search Deals' field.
2. Click on this  icon, found under the 'Actions' field to the right of the deal name/address.
3. Click 'complete'.
4. The following pop-up window will appear.



COMPLETE DEAL

Are you sure you want to complete the deal
123 Test Drive?

Date Of Completion
05/11/19

Was The Property Sold?

No Yes

Final Value
0

Completion Notes (Optional)


CANCEL COMPLETE

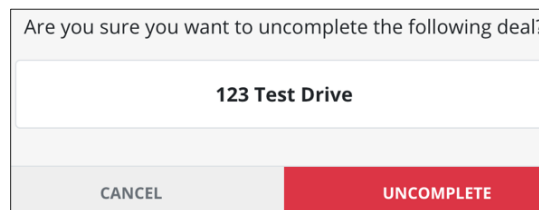
5. Enter the date of completion.
6. Select whether the property was sold.
7. Enter the final value.
8. Add any notes you might feel are necessary for keeping an accurate and traceable record of the deal's completion.
9. Click 'complete'.

10. The deal will subsequently be moved to the 'Completed Deals' section of the CDD register.

Uncompleting a Deal

Uncompleting a deal can be done through the 'Completed Deals' section of the CDD register.


1. Locate the deal you would like to uncomplete by typing the address of the deal into the 'Search Deals' field.
2. Click on this  icon, found under the 'Actions' field to the right of the deal name/address.
3. Click 'uncomplete'.
4. The following pop-up window will appear. Click 'uncomplete'.



5. The deal will subsequently be moved to the 'Verified Deals' section of the CDD register.


Downloading Reports

Downloading a Report of Verified Individuals

A report of all individuals who have been verified by members of a branch in the most recent one-month period can be extracted as a spreadsheet from the AMLHub desktop. This file can be downloaded by clicking on the  button, found under any of the four tabs within the CDD register.

Downloading a Report of Verified Parties

A report of all parties who have been verified by members of a branch in the most recent one-month period can be extracted as a spreadsheet from the AMLHub desktop. This file

can be downloaded by clicking on the  button, found under any of the four tabs within the CDD register.

AML **HUB**

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).

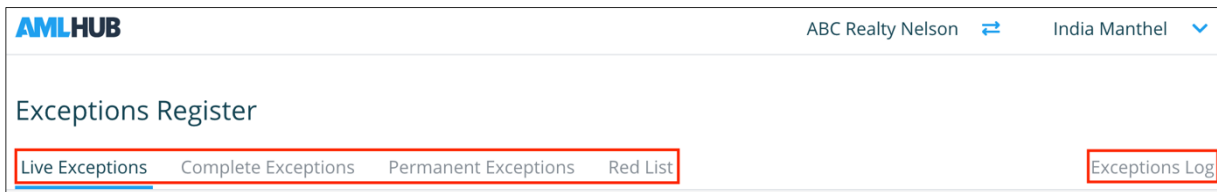
The CDD exceptions register of the AMLHub desktop provides the required framework for monitoring, justifying and recording exceptions.

Navigation

Different Sections Within the CDD Exceptions Register

You can navigate to the 'CDD Exceptions Register' 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, includes temporary exceptions that have been intentionally chosen to 'fail'.



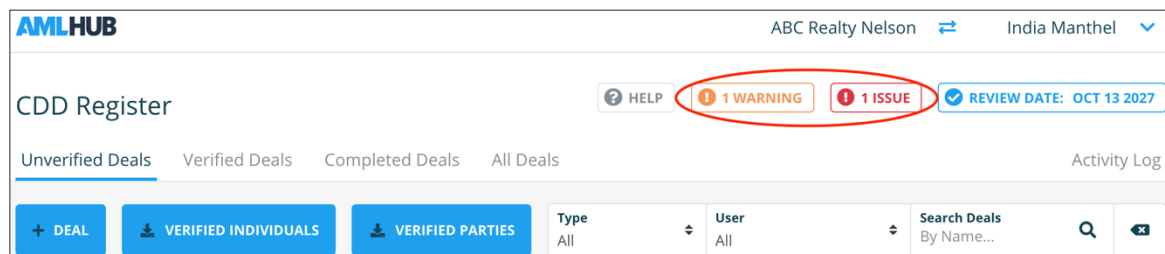
The CDD exceptions register additionally contains the ‘Exceptions Log’. This keeps a record of all activity within the CDD exceptions register. You can navigate here by clicking on ‘Exceptions Log’, adjacent to the four tabs mentioned above.

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.

DEAL

2. Click on the rightward arrow  found under the ‘Deal’ field adjacent to the name of the individual. You will subsequently 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' page.
4. Details of the exception will be found under this 'Verification' tab.

Through the *CDD Register*

1. Locate the deal containing the individual with the exception by typing the address of the deal in the 'Search Deals' field.
2. Click on the deal to bring up its structure.
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' page.
4. 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' page. In this case, undergoing the verification process will not be possible until the listed information is present; additionally, a permanent exception is unable to be granted.



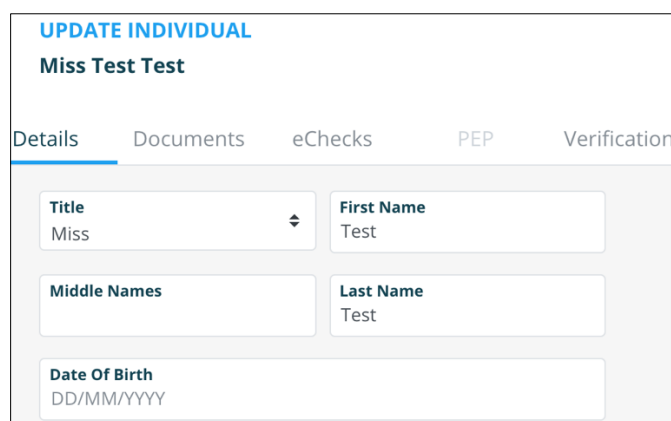
The system, however, will allow for a temporary exception if information is missing.

Temporary Exceptions

Granting a Temporary Exception

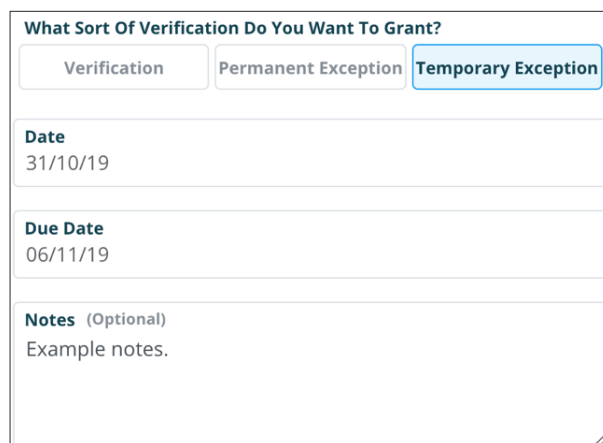
Granting a temporary exception can be done through the CDD register of the AMLHub desktop.

1. Locate the deal containing the individual who you would like to make an exception for by typing the address of the deal in the 'Search Deals' field.
2. Look for the individual you would like to make an exception for; click on the individual's name.
3. You will be taken to the 'Details' section of the 'Update Individual' page. Navigate to the 'Verification' tab.




The screenshot shows the 'UPDATE INDIVIDUAL' page for 'Miss Test Test'. The page has a navigation bar with tabs: Details, Documents, eChecks, PEP, and Verification. The 'Details' tab is active. Below the navigation bar, there are several input fields: 'Title' (Miss), 'First Name' (Test), 'Middle Names', 'Last Name' (Test), and 'Date Of Birth' (DD/MM/YYYY).

4. Select 'Temporary Exception' from the types of verification list.
5. Enter a due date for the exception.
6. Add any relevant notes that will be useful when keeping a record of any documents missing, when they will arrive etc.



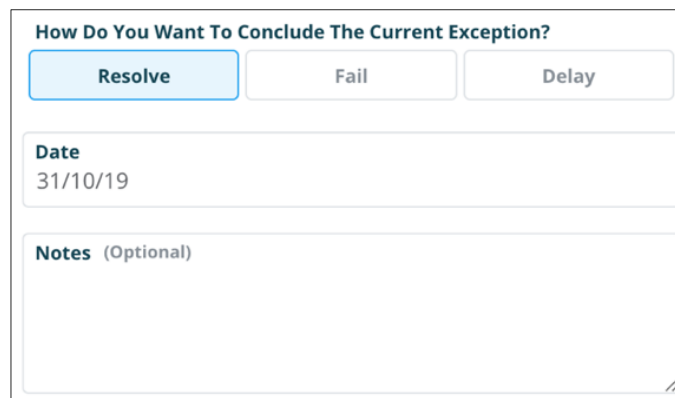
The screenshot shows the 'What Sort Of Verification Do You Want To Grant?' form. It has three radio buttons: 'Verification', 'Permanent Exception', and 'Temporary Exception'. The 'Temporary Exception' radio button is selected. Below the radio buttons, there are three input fields: 'Date' (31/10/19), 'Due Date' (06/11/19), and 'Notes (Optional)' (Example notes.).

7. Click 'verify'.
8. A pop-up message will appear to signal that a temporary exception for the individual has been granted.
9. There will now be this  icon displayed to the left of the individual's name in the deal's structure.

Resolving a Temporary Exception

Resolving a temporary exception can be done through the 'Verification' tab under the 'Update Individual' page for the individual of interest.

1. Fill out any missing information listed if you are presented with a warning screen under the 'Verification' tab.
2. Select 'resolve' for how you would like to conclude the current exception.



The screenshot shows a form titled "How Do You Want To Conclude The Current Exception?". It features three buttons: "Resolve" (highlighted in blue), "Fail", and "Delay". Below the buttons is a "Date" field containing "31/10/19". At the bottom is a "Notes (Optional)" text area.

3. Add any relevant notes that will be useful when keeping a record of the receipt 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.
4. Click 'verify' – this resolves the temporary exception and subsequently verifies the individual.
5. A pop-up message will appear to signal the verification of the individual.
6. 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 'Verification' tab under the 'Update Individual' page for the individual of interest.

1. Select 'delay' for how you would like to conclude the current exception.
2. Enter a new due date for the exception.
3. Add any notes you think may be relevant when keeping an accurate and traceable record of the exception and its delay.

The screenshot shows a form titled "How Do You Want To Conclude The Current Exception?". At the top, there are three buttons: "Resolve", "Fail", and "Delay". The "Delay" button is highlighted in blue. Below the buttons, there are three input fields: "Date" with the value "31/10/19", "Due Date" with the value "09/11/19", and "Notes (Optional)" which is currently empty. A small pencil icon is visible in the bottom right corner of the form.

4. Click 'verify' – please note, this will not verify the individual.
5. A pop-up message will appear to signal a successful delay of the temporary exception's due date.
6. This delayed exception will still be found under the 'Current Exceptions' section of the CDD exceptions register.

Please 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 'Verification' tab under the 'Update Individual' page for the individual of interest.

1. Fill out any missing information listed if you are presented with a warning screen under the 'Verification' tab.
2. Select 'fail' for how you would like to conclude the current exception.


How Do You Want To Conclude The Current Exception?

Resolve **Fail** Delay

Date
04/11/19

Notes (Optional)

3. Add any notes you think may be relevant when keeping an accurate and traceable record of the temporary exception 'failing'.
4. Click 'verify'.
5. A pop-up message will appear to signal that the temporary exception has 'failed'.

Please 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 left 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

1. Navigate to the CDD register of the AMLHub desktop using the left-hand sidebar.
2. Locate the deal containing the individual who you would like to make an exception for by typing the address of the deal in the 'Search Deals' field.
3. Look for the individual you would like to make an exception for; click on the individual's name.
4. You will be taken to the 'Details' section of the 'Update Individual' page. Navigate to the 'Verification' tab.

UPDATE INDIVIDUAL
Miss Example Individual

Details Documents eChecks PEP **Verification**

Title
Miss

First Name
Example


Middle Names

Last Name
Individual

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.

The screenshot shows a web form titled "What Sort Of Verification Do You Want To Grant?". At the top, there are three tabs: "Verification", "Permanent Exception" (which is selected and highlighted in blue), and "Temporary Exception". Below the tabs, there is a "Date" field containing the text "04/11/19". Underneath the date field is a large text area labeled "Notes (Optional)".

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.

Please 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 left of their name. The individual will, however, be found under the 'Permanent Exceptions' section of the CDD exceptions register.

AML HUB

Suspensions Register

Introduction

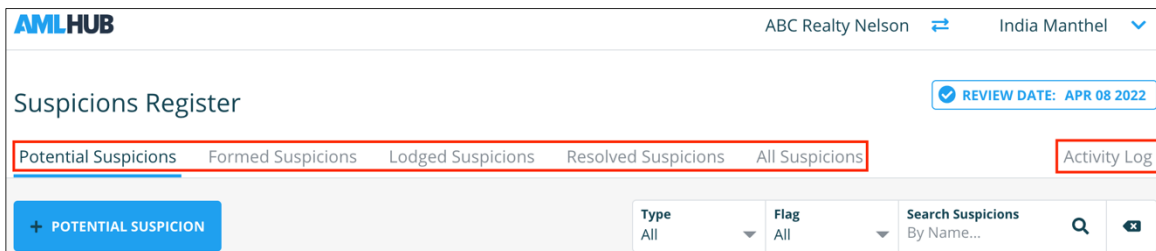
The suspicions register is a platform through which one can form, lodge or resolve potential suspicions regarding suspicious activity or transactions.

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 subsequently 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', adjacent to the five tabs mentioned above.

Review Date, Issues & Warnings

The review date for the branch'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 of the AMLHub desktop in relation to formed suspicions.

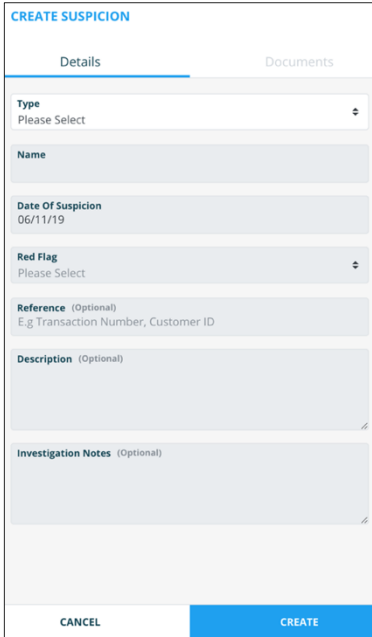
- A warning  **1 WARNING** will appear if a potential suspicion has been formed and must be lodged in the next 72 hours.
- An issue  **1 ISSUE** will appear if a formed exception has not been lodged following 72 hours of it being formed.

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



CREATE SUSPICION

Details Documents

Type
Please Select

Name

Date Of Suspicion
06/11/19

Red Flag
Please Select

Reference (Optional)
E.g Transaction Number, Customer ID

Description (Optional)


Investigation Notes (Optional)

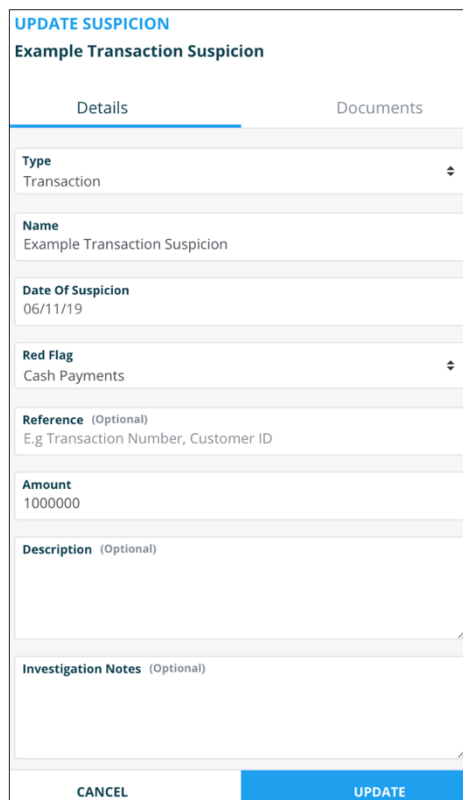
CANCEL CREATE

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.



The screenshot shows a pop-up window titled "UPDATE SUSPICION" for "Example Transaction Suspicion". It has two tabs: "Details" (selected) and "Documents". The form contains the following fields:

- Type**: Transaction (dropdown menu)
- Name**: Example Transaction Suspicion
- Date Of Suspicion**: 06/11/19
- Red Flag**: Cash Payments (dropdown menu)
- Reference (Optional)**: E.g Transaction Number, Customer ID
- Amount**: 1000000
- Description (Optional)**: (text area)
- Investigation Notes (Optional)**: (text area)

At the bottom, there are two buttons: "CANCEL" and "UPDATE".


4. Make any necessary changes.
5. Click 'update'.

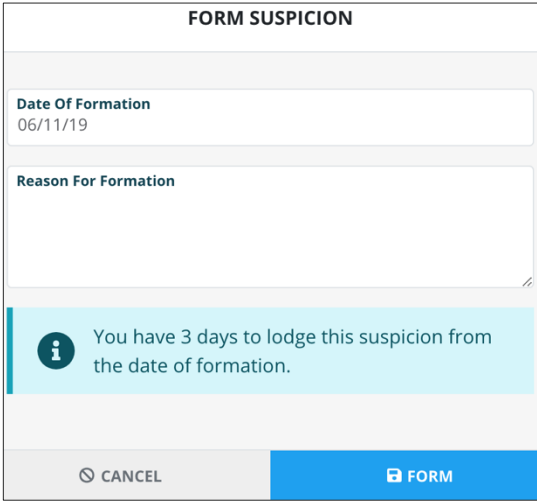
6. A pop-up message will appear to signal that the updates have been saved.

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.



FORM SUSPICION

Date Of Formation
06/11/19

Reason For Formation

i You have 3 days to lodge this suspicion from the date of formation.


CANCEL **FORM**

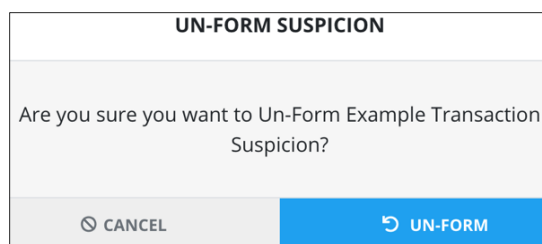
4. Enter the date of formation.
5. Enter the reason for the formation of this potential suspicion.
6. Click 'form'.
7. The suspicion will now appear under the 'Formed Suspicions' section of the suspicions register.

Please 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.

LODGE SUSPICION

Date Of Lodging
06/11/19


i Before lodging this suspicion you must have already lodged the suspicion on the goAML platform.

4. Click 'lodge'.
5. The suspicion will now appear under the 'Lodged Suspicions' section of the suspicions register.

Please 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.

UN-LODGE SUSPICION


Are you sure you want to Un-Lodge Example Transaction Suspicion?

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.




The screenshot shows a pop-up window titled "RESOLVE SUSPICION". It contains two main input sections: "Date Of Resolution" with the value "06/11/19" and "Reason For Resolution" with a text area. At the bottom, there are two buttons: "CANCEL" and "RESOLVE".

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.

UN-RESOLVE SUSPICION	
Are you sure you want to Un-Resolve Example Transaction Suspicion?	
<input type="button" value="CANCEL"/>	<input type="button" value="UN-RESOLVE"/>

4. Click 'un-resolve'.
5. The suspicion will now appear under the 'Potential Suspicions' section of the suspicions register.

AML HUB

Training Register

Introduction

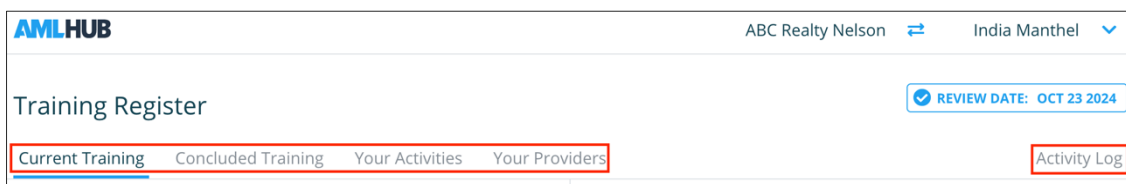
The training register holds a record of AML compliance training assignments associated with a particular branch, as well as the participation status of staff members for these assignments.

Navigation

Different Sections Within the Training Register

You can navigate to the 'Training Register' 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 branch.
- **Your Providers**
A list of training providers for your particular branch.




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', adjacent to the four tabs mentioned above.

Colours

There are several colours that can be associated with staff members which are indicative of 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, where 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.



Viewing a Staff Member's Training

To view any current or overdue training activities assigned to a staff member – under the 'Current Training' section of the training register, click on the  icon, found to the right of the individual's name.

Review Date, Issues & Warnings

The review date set for the branch'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 of the AMLHub desktop 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 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.

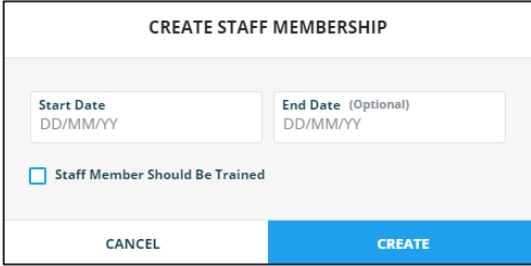
Members of the Training Register

Adding a Staff Member to the Training Register

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

Upon the creation of their staff membership

1. Navigate to the 'Users' section of the AMLHub desktop through the left-hand sidebar.
2. Click on the **ADD** button, found under the 'Staff Member' field adjacent to the user's name.
3. A window will appear, as shown in the image below.



The image shows a 'CREATE STAFF MEMBERSHIP' dialog box. It features two input fields for dates: 'Start Date' (DD/MM/YY) and 'End Date (Optional)' (DD/MM/YY). Below the date fields is a checkbox labeled 'Staff Member Should Be Trained'. At the bottom of the dialog are two buttons: 'CANCEL' and 'CREATE'.

4. 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.
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. Please note – staff members must be added to the training register, where if they were not added upon creation this can be done through the training register at a later stage.
7. Click 'create'.
8. The staff membership for the user will be created and the staff member will subsequently be added to the training register.

Following the creation of a staff membership

1. Navigate to the 'Training Register' section of the AMLHub desktop through the left-hand sidebar.

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



3. The following pop-up window will appear.

START TRAINING FOR STAFF MEMBER

User (Type To Search)
Please Select

Training Start Date DD/MM/YY Training End Date DD/MM/YY

Training Role
Please Select

CANCEL START

4. Click on the 'user' field to view a drop-down menu of all staff members who were not added to the training register upon the commencement of their staff membership.
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. Look for the name of the staff member you would like to edit the details of from the list of staff members on the left-hand side of the screen.
2. Click the arrow found to the left of the individual's name.
3. This will expand the view, showing details for the staff member.

▼ India Manthel Admin 1

Name: India Manthel **Training Role:** Admin **Training Period:** Jun 26 2019 to Present

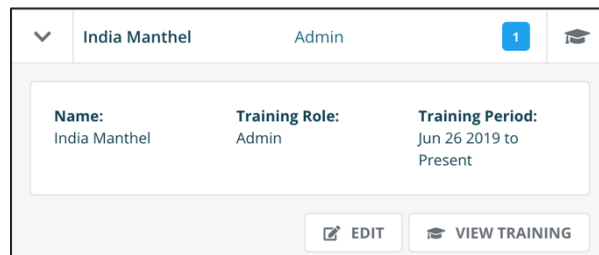
EDIT VIEW TRAINING

4. Click 'edit'. 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. Look for the name of the staff member you would like to remove from the list of staff members on the left-hand side of the screen.
2. Click the arrow found to the left of the individual's name.
3. This will expand the view, showing details for the staff member.



4. Click 'edit'. 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'.


Please 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.

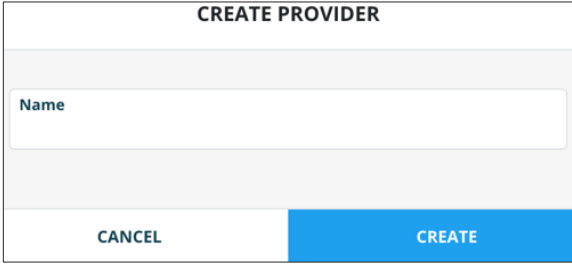
The staff member will still appear under the 'Concluded Training' section in order to maintain a record of all staff members (past and present) who have completed training activities.

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




The screenshot shows a modal window titled "CREATE PROVIDER". It contains a single text input field labeled "Name". At the bottom of the modal, there are two buttons: "CANCEL" on the left and "CREATE" on the right.

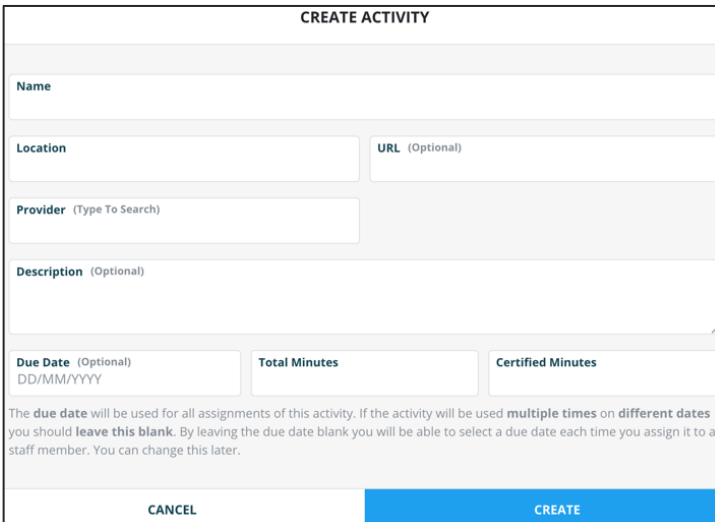
3. Type in the name of the provider.
4. Click 'create'.
5. A pop-up message will appear to signal the provider has been created.
6. You will now be able to select this provider as the provider of a training activity upon its creation.

Training Activities

Creating a Training Activity

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

1. Click on the  button.
2. The following pop-up window will appear.




The screenshot shows a modal window titled "CREATE ACTIVITY". It contains several input fields: "Name", "Location", "URL (Optional)", "Provider (Type To Search)", "Description (Optional)", "Due Date (Optional) DD/MM/YYYY", "Total Minutes", and "Certified Minutes". Below the input fields, there is a note: "The due date will be used for all assignments of this activity. If the activity will be used multiple times on different dates you should leave this blank. By leaving the due date blank you will be able to select a due date each time you assign it to a staff member. You can change this later." At the bottom of the modal, there are two buttons: "CANCEL" on the left and "CREATE" on the right.

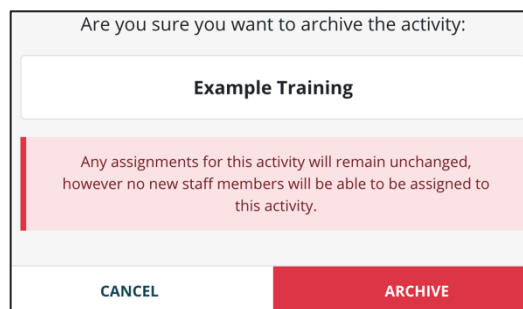
3. Fill in the mandatory fields – name of activity, location, provider, total & certified minutes.
 - If the number of certified minutes equates to none for that particular training activity, type '0' into the 'certified minutes' field as opposed to leaving it blank.
 - A URL link may be added if, for 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.

You are able to view the details of a training activity by clicking on the arrow found to the left of the name of the activity.

Archiving a Training Activity

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

1. Find the training activity you would like to archive from those listed.
2. Click on the  icon, found under the 'Actions' field adjacent to the name of the training activity.
3. The following pop-up window will appear.




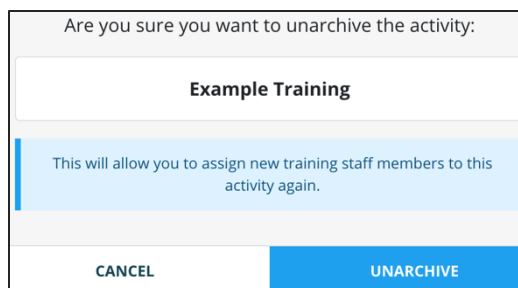
4. Click 'archive'.
5. A pop-up message will appear to signal the training activity has been archived.

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 archived activities by clicking 'status' and selecting 'archived' from the drop-down menu.
2. Find the training assignment you would like to un-archive from those listed.
3. Click on the  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 and subsequently be displayed as a current assignment in the 'Current Training' section.

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

CREATE TRAINING ACTIVITY ASSIGNMENT

1. Select Activity
Weekly In-House Meeting

2. Select Staff Members
1 Staff Members Selected

3. Set Date
Please Select a Due Date

4. Confirm
Please Select a Due Date First

Provider: All
Search Assignments By Name...
Q
✖



NAME	DUE DATE	PROVIDER	LOCATION	SELECT
> AML Compliance Team Training	Mar 19 2019	REINZ	The Rydges, 75 Featherston Street, Wellington	<input type="radio"/>
> AML Compliance Team Training	Mar 28 2019	REINZ	Auckland Northshore	<input type="radio"/>
> AML Compliance Team Training	Apr 02 2019	REINZ	Tauranga	<input type="radio"/>
> AML Compliance Team Training	Jul 22 2019	REINZ	Tauranga	<input type="radio"/>
> AML Compliance Team Training	Jul 23 2019	REINZ	Invercargill	<input type="radio"/>
> AML Compliance Team Training	Aug 09 2019	REINZ	Nelson	<input type="radio"/>

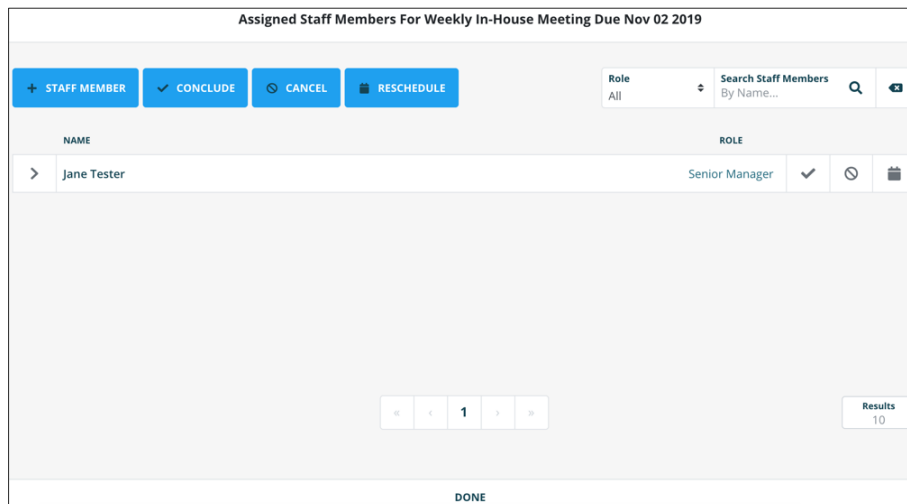
CANCEL
NEXT

3. Click on the name of the training activity you would like to assign staff members to.
4. A list of staff members will appear. Click on the name of each staff member you would like to assign the activity to.
5. Click 'next'.
6. 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.
7. 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'.
8. 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 the  icon, found to the right of the name of the training activity.
3. The following pop-up window will appear. Click the  button.




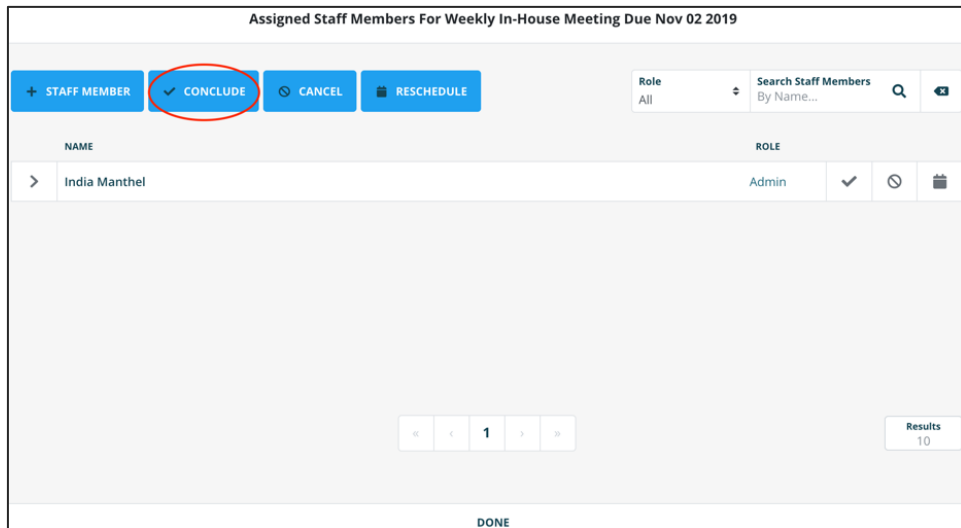
4. Select from the list of staff members the individual(s) you would like to add. You do not need to select the names of already assigned individuals again.
5. Click 'next'.
6. A details page will appear including the activity name and staff members being added.
7. When satisfied with these changes, 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 the  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.

CONCLUDE WEEKLY IN-HOUSE MEETING?

You are about to conclude this assignment:

Activity	Weekly In-House Meeting
Staff Member	India Manthel
Due Date	Nov 02 2019


Conclusion Date
01/11/19

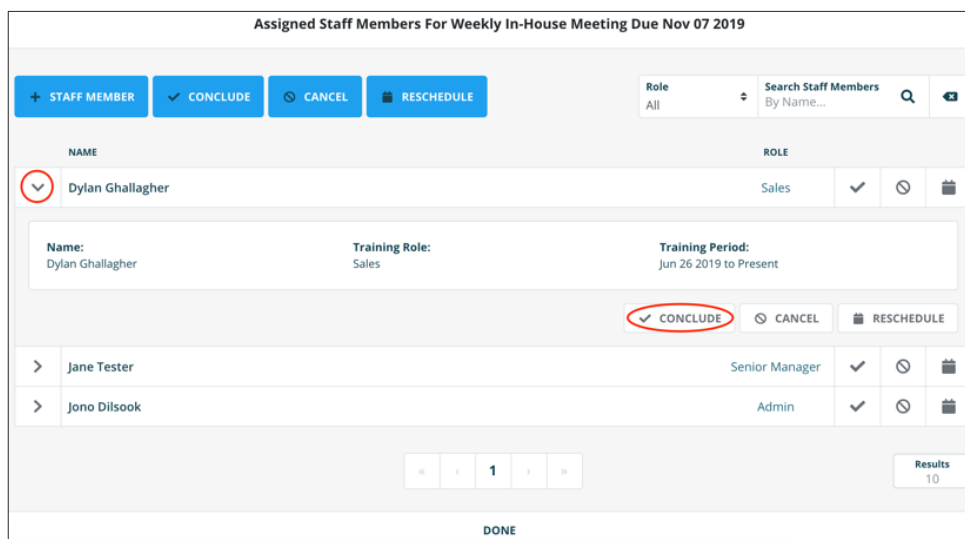
Training Completed

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. 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 the  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 conclude the training assignment for and click on the arrow found to the left of their name.
4. Click 'conclude'.



Assigned Staff Members For Weekly In-House Meeting Due Nov 07 2019

+ STAFF MEMBER ✓ CONCLUDE ⌂ CANCEL 🗓 RESCHEDULE

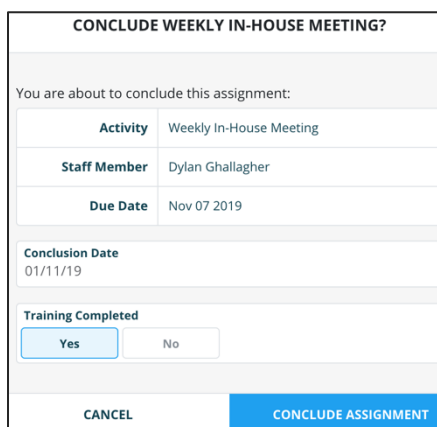
Role All Search Staff Members By Name...

NAME	ROLE
 Dylan Gallagher	Sales ✓ ⌂ 🗓
Name: Dylan Gallagher Training Role: Sales Training Period: Jun 26 2019 to Present	
✓ CONCLUDE ⌂ CANCEL 🗓 RESCHEDULE	
> Jane Tester	Senior Manager ✓ ⌂ 🗓
> Jono Dilsook	Admin ✓ ⌂ 🗓

Results 10

DONE

5. The following pop-up window will appear.



CONCLUDE WEEKLY IN-HOUSE MEETING?

You are about to conclude this assignment:

Activity	Weekly In-House Meeting
Staff Member	Dylan Gallagher
Due Date	Nov 07 2019

Conclusion Date
01/11/19


Training Completed

Yes No

CANCEL CONCLUDE ASSIGNMENT

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


7. Click 'conclude assignment'.
8. A pop-up message will appear to signal the conclusion of the training assignment.
9. 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.

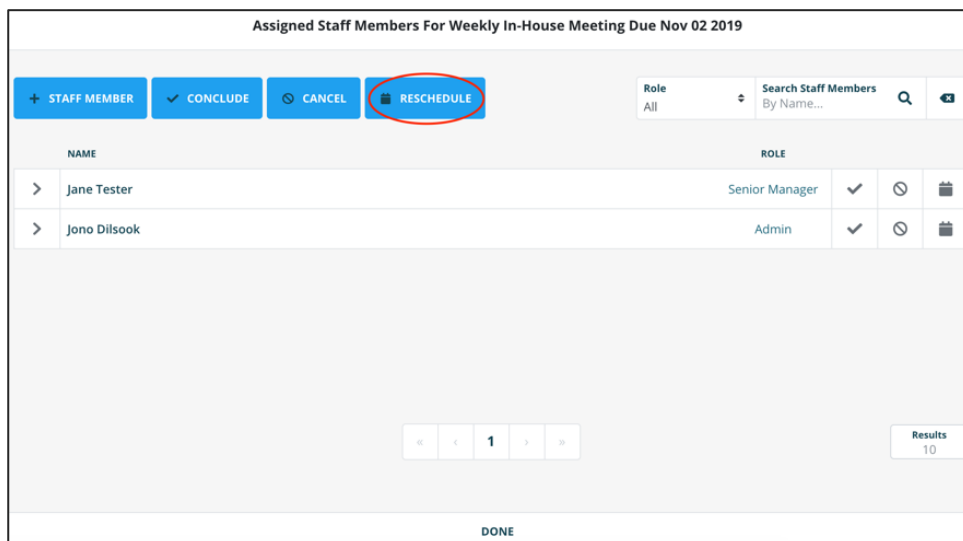
To view details of the training assignments an individual has completed, navigate to the 'Concluded Training' section of the training register and look for the individual's name from the list of staff members on the left-hand side of the screen. Click on the  icon, found to the right of the individual's name.

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 the  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.

RESCHEDULE WEEKLY IN-HOUSE MEETING?

You are about to reschedule this assignment:

Activity	Weekly In-House Meeting
Staff Members	Jane Tester, Jono Dilsook
Due Date	Nov 02 2019


New Due Date
02/11/19

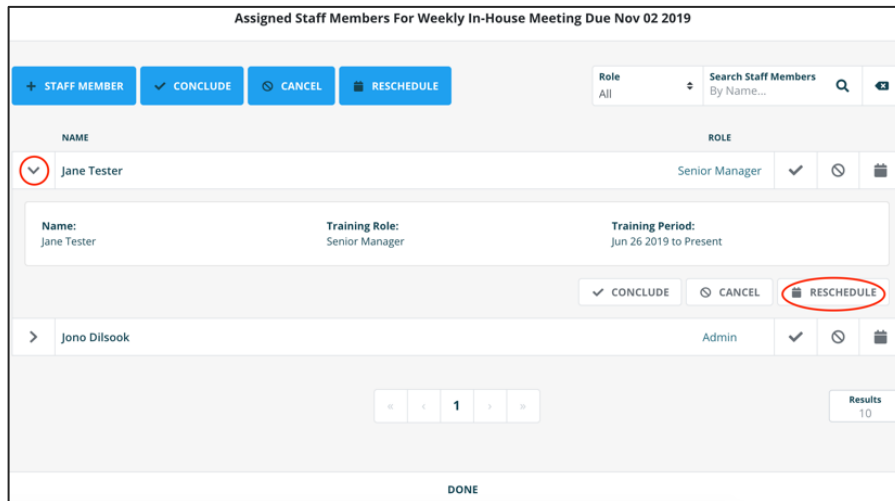
CANCEL RESCHEDULE ASSIGNMENT

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 the  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.

RESCHEDULE WEEKLY IN-HOUSE MEETING?

You are about to reschedule this assignment:

Activity	Weekly In-House Meeting
Staff Member	Jane Tester
Due Date	Nov 02 2019
New Due Date	
02/11/19	


CANCEL
RESCHEDULE ASSIGNMENT

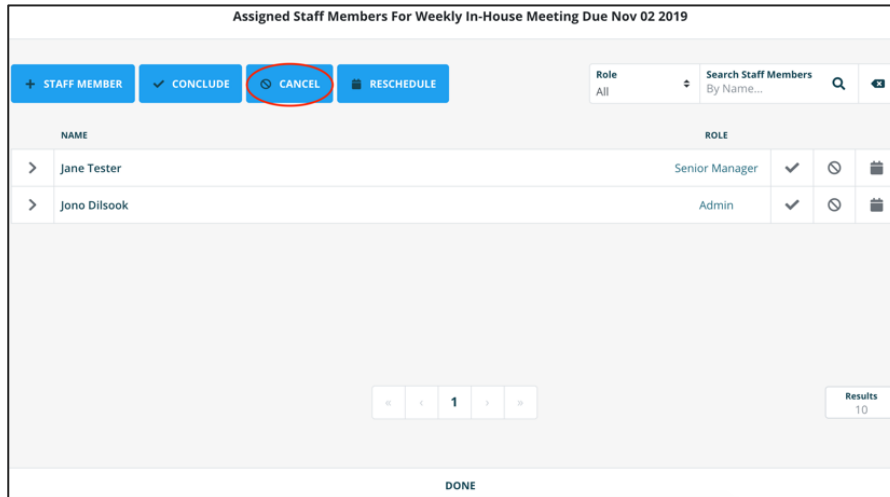
6. Enter the new due date for the training assignment.
7. Review the displayed details and make changes if necessary.
8. Click 'reschedule assignment'.
9. A pop-up message will appear to signal the rescheduling of the training assignment.
10. This assignment will still be found under the 'Current Training' section of the training register.

Cancelling Training Assignments

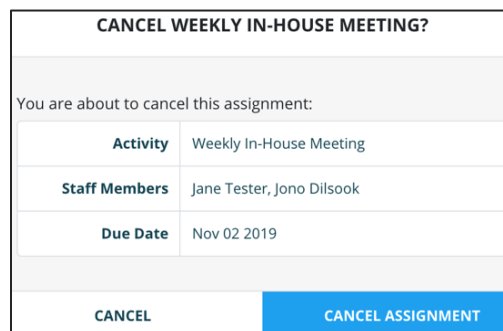
Cancelling a Training Assignment for all Assigned Staff Members

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 the  icon, found to the right of the name of the training assignment.
3. The following pop-up window will appear. Click 'cancel'.




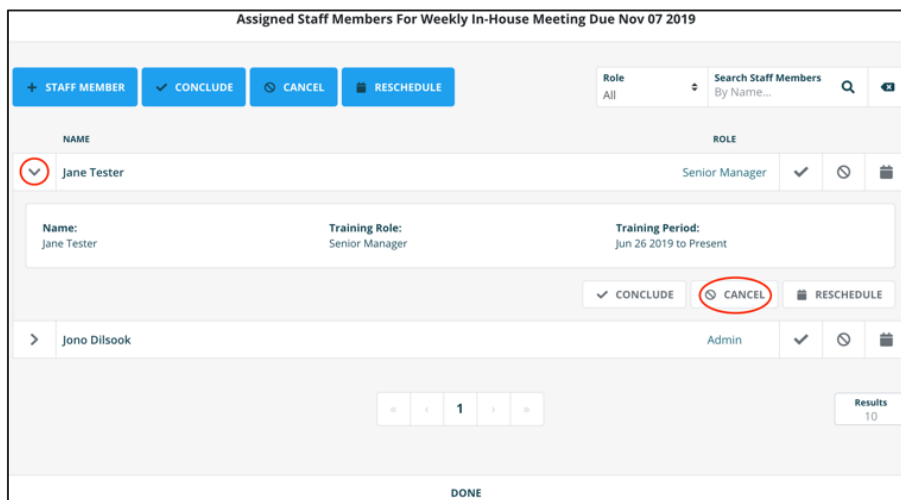
4. All staff members assigned to the training assignment will now be highlighted in blue to signal the training assignment will be cancelled for all of them. Deselect any staff members who you do not want this training assignment to be cancelled for.
5. Click 'cancel assignments'.
6. The following pop-up 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 the  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.

CANCEL WEEKLY IN-HOUSE MEETING?	
You are about to cancel this assignment:	
Activity	Weekly In-House Meeting
Staff Member	Jane Tester
Due Date	Nov 07 2019
CANCEL	
CANCEL ASSIGNMENT	

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.

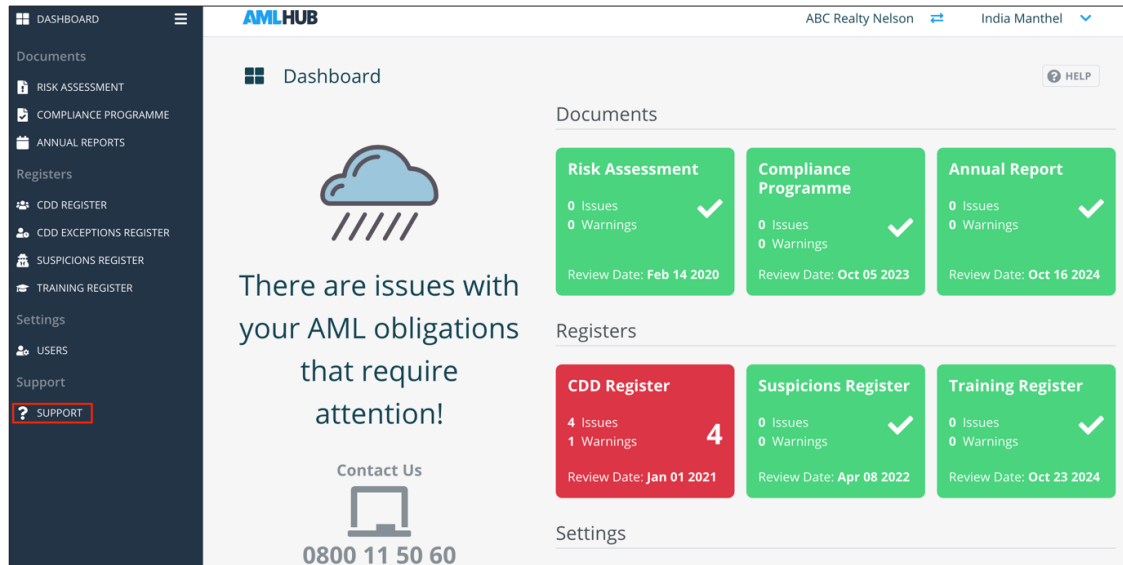
AML **HUB**

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 branch's dashboard of the AMLHub desktop.

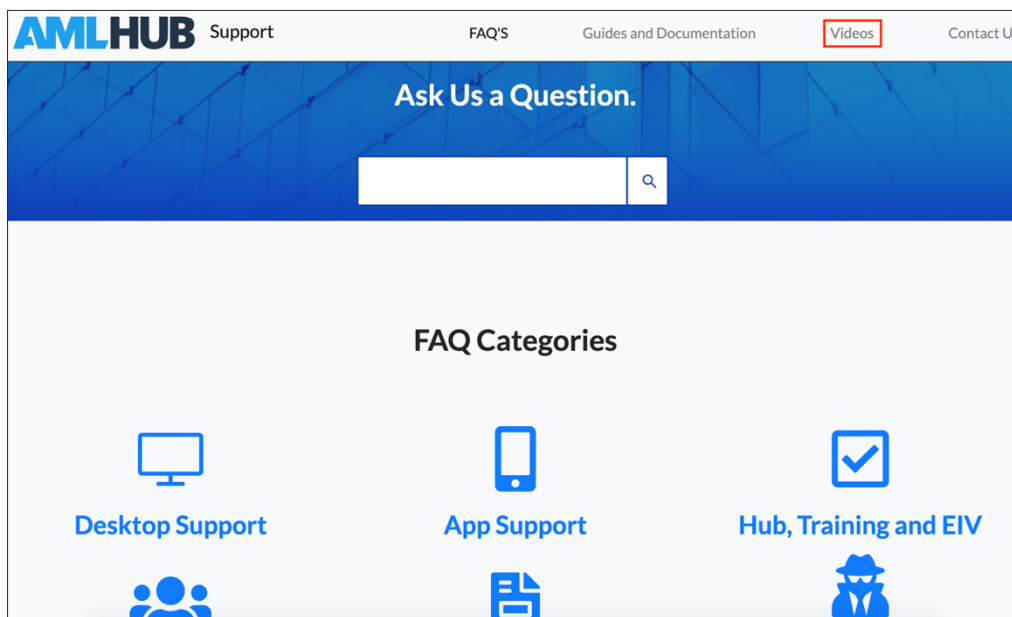
Click on 'support', located in the left-hand sidebar.



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.

These training videos additionally can be accessed by clicking on the  icon, found in the top right-hand corner of some sections of the AMLHub desktop.



AMLHub Technical Helpdesk

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

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