

AML HUB

Assurance Manual



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Staff Vetting Assurance

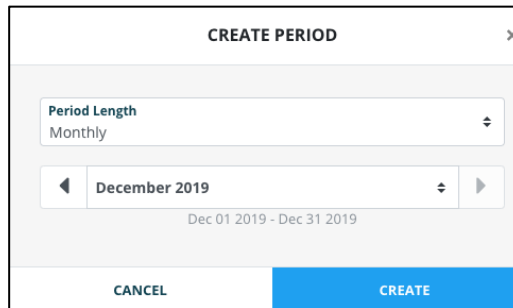
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Creating an Assurance Period

Creating an assurance period can be done through the 'CDD Deal Assurance' section of the AMLHub desktop.

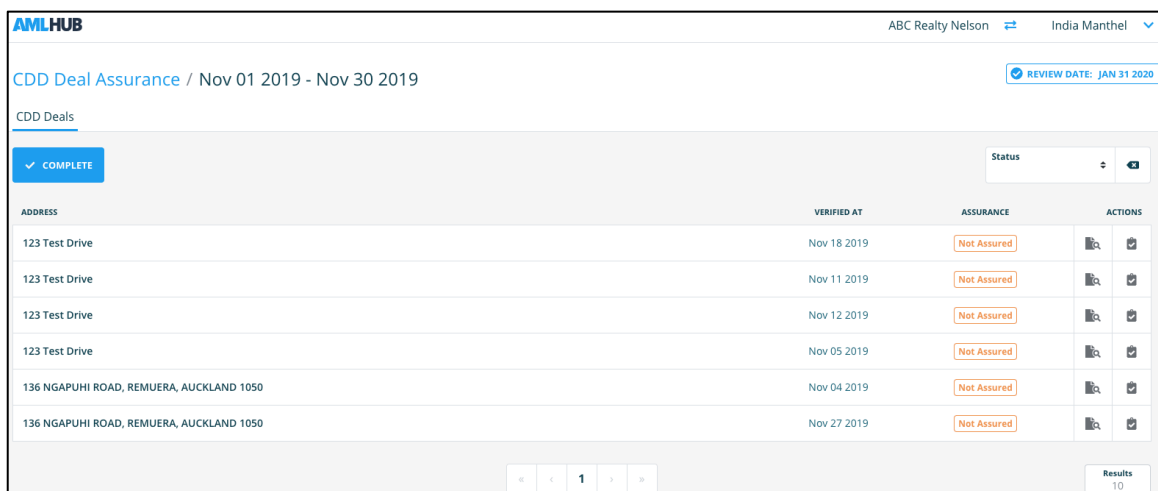
1. Click on the  **PERIOD** button, found in the top left-hand corner of the screen.
2. The following pop-up window will appear.















The 'CREATE PERIOD' pop-up window contains the following elements:

- Period Length:** A dropdown menu currently set to 'Monthly'.
- Start Date:** A date selector currently showing 'December 2019'.
- Period Range:** A text label below the date selector showing 'Dec 01 2019 - Dec 31 2019'.
- Buttons:** 'CANCEL' and 'CREATE' buttons at the bottom.

3. If you would like to select a different period length, click on the 'period length' field. Select from the drop-down menu the new period length you would like to be applied to this assurance period.
4. If you would like to select a different date for this assurance period to start from, click on the field stating the current month and year. Select from the drop-down menu the new date you would like this assurance period to start from.
5. Click 'create'.
6. The assurance period will appear created, with all deals verified in this period listed.




The AMLHUB interface shows the 'CDD Deal Assurance' section for the period 'Nov 01 2019 - Nov 30 2019'. It includes a 'REVIEW DATE: JAN 31 2020' button and a 'CDD Deals' table.

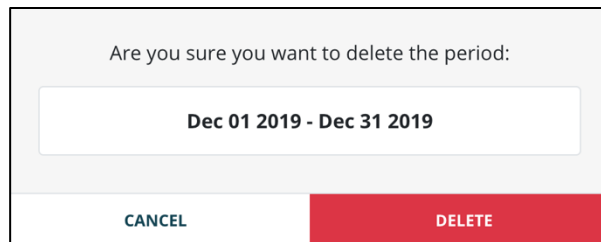
ADDRESS	VERIFIED AT	ASSURANCE	ACTIONS
123 Test Drive	Nov 18 2019	Not Assured	 
123 Test Drive	Nov 11 2019	Not Assured	 
123 Test Drive	Nov 12 2019	Not Assured	 
123 Test Drive	Nov 05 2019	Not Assured	 
136 NGAPUHI ROAD, REMUERA, AUCKLAND 1050	Nov 04 2019	Not Assured	 
136 NGAPUHI ROAD, REMUERA, AUCKLAND 1050	Nov 27 2019	Not Assured	 

At the bottom, there is a pagination bar showing '1' and a 'Results 10' indicator.

Deleting an Incomplete Assurance Period

Deleting an incomplete assurance period can be done through the 'CDD Deal Assurance' section of the AMLHub desktop.

1. From the list of assurance periods displayed, click on this  icon. This icon is found in the 'Actions' field, to the right of the assurance period date.
2. The following pop-up window will appear. Click 'delete'.



Are you sure you want to delete the period:


Dec 01 2019 - Dec 31 2019

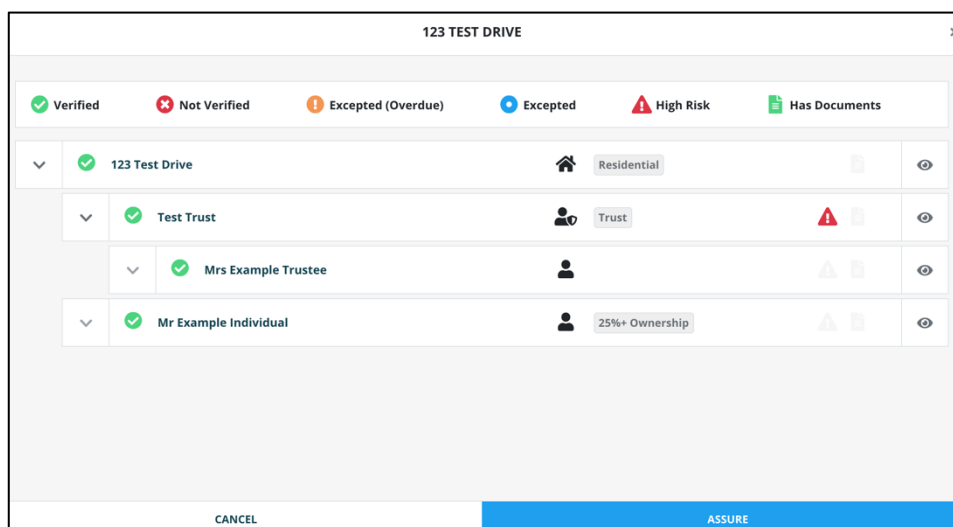
CANCEL **DELETE**

Please note: assurance periods cannot be deleted if they have been manually 'completed'.

Assuring a Deal

Assuring a deal can be done through the 'CDD Deal Assurance' section of the AMLHub desktop.

1. Click on the period you would like to complete assurance for.
2. Click on this  icon, found to the right of the deal you would like to assure.
3. You will be re-directed to a pop-up window displaying the deal's structure.



123 TEST DRIVE


✓ Verified ✗ Not Verified ⓘ Excepted (Overdue) ⚙ Excepted ⚠ High Risk 📄 Has Documents

✓ 123 Test Drive	🏠 Residential		👁
✓ Test Trust	👥 Trust	⚠	👁
✓ Mrs Example Trustee	👤	⚠	👁
✓ Mr Example Individual	👤 25%+ Ownership	⚠	👁



CANCEL **ASSURE**

4. From this window, review the deal's details, CDD etc. and take note of any issues.
5. When the review is complete, click 'assure'.
6. The following pop-up window will appear.

Passing Assurance

1. From the pop-up window displayed above, click .
2. Click 'assure'.
3. The deal will subsequently be displayed in this assurance period with a status of 'passed'. This status is noted under the 'Assurance' field, found to the right of the deal name/address.


Action Required

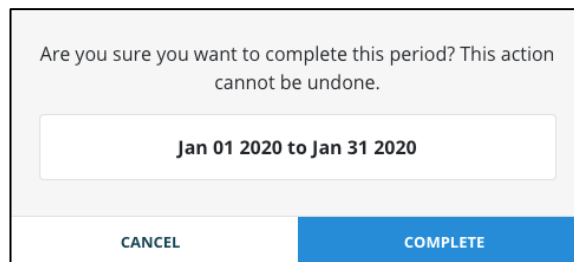
1. From the pop-up window displayed above, click .
2. You will then need to add any issues identified during your review of the deal.
 - Enter a name for the identified issue.
 - Describe what remediation should be implemented for this identified issue in the 'planned remediation' field.
 - Click .
 - The issue will then be displayed under the 'identified issues' field.
 - Repeat this process for any additional issues identified during your review of the deal.

3. When all issues have been identified, click 'assure'.
4. The deal will subsequently be displayed in this assurance period with a status of 'passed'. This status is noted under the 'Assurance' field, found to the right of the deal name/address.

Completing an Assurance Period

Completing an assurance period can be done through the 'CDD Deal Assurance' section of the AMLHub desktop.

1. Click on the relevant period you would like to complete assurance for.
2. Click on the  button.
3. The following pop-up window will appear. Click 'complete'.



Are you sure you want to complete this period? This action cannot be undone.

Jan 01 2020 to Jan 31 2020

CANCEL COMPLETE


4. The assurance period will subsequently be displayed under the 'Assurance Periods' list with a status of completed. This status is noted under the 'Completed' field, found to the right of the assurance period.

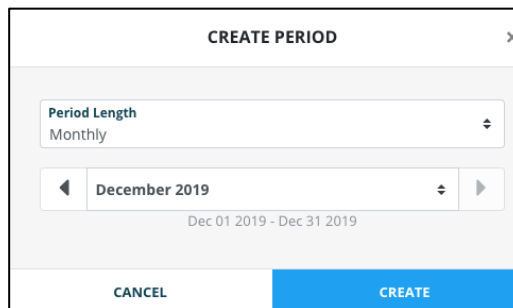


Staff Vetting
Assurance

Creating an Assurance Period

Creating an assurance period can be done through the 'Staff Vetting Assurance' section of the AMLHub desktop.

1. Click on the  **PERIOD** button, found in the top left-hand corner of the screen.
2. The following pop-up window will appear.



The 'CREATE PERIOD' pop-up window contains the following fields and buttons:

- Period Length**: A dropdown menu currently set to 'Monthly'.
- Month/Year**: A date selector currently showing 'December 2019'.
- Date Range**: A text field below the date selector showing 'Dec 01 2019 - Dec 31 2019'.
- CANCEL**: A button on the bottom left.
- CREATE**: A blue button on the bottom right.

3. If you would like to select a different period length, click on the 'period length' field. Select from the drop-down menu the new period length you would like to be applied to this assurance period.
4. If you would like to select a different date for this assurance period to start from, click on the field stating the current month and year. Select from the drop-down menu the new date you would like this assurance period to start from.
5. Click 'create'.
6. The assurance period will appear created, with all staff vetted in this period listed.

AMLHUB

ABC Realty Nelson

India Manthel











Staff Vet Assurance / Nov 01 2019 - Nov 30 2019

REVIEW DATE: JAN 31 2020

Staff Vets

COMPLETE

Status
All


STAFF MEMBER	VETTED BY	VETTED AT	ASSURANCE	ACTIONS
India Manthel	India Manthel	Nov 01 2019	Not Assured	 
Jared Jenkins	India Manthel	Nov 01 2019	Not Assured	 
Lucas Cottle	Jono Dilsook	Nov 04 2019	Not Assured	 
Anna Sans Palacios	India Manthel	Nov 11 2019	Not Assured	 
Emily van Arendonk	India Manthel	Nov 18 2019	Not Assured	 

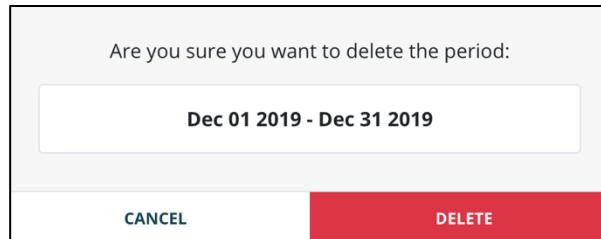
1

Results
10

Deleting an Incomplete Assurance Period

Deleting an incomplete assurance period can be done through the 'Staff Vetting Assurance' section of the AMLHub desktop.

1. From the list of assurance periods displayed, click on this  icon. This icon is found in the 'Actions' field, to the right of the assurance period date.
2. The following pop-up window will appear. Click 'delete'.




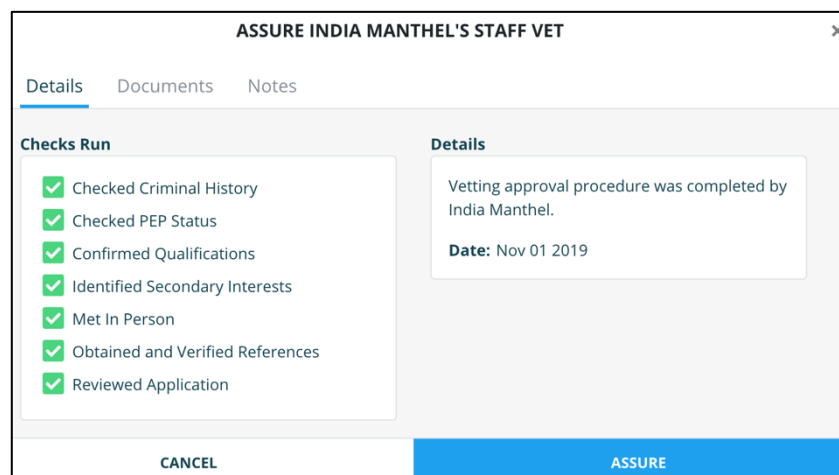
A confirmation dialog box with a light gray background. At the top, it asks "Are you sure you want to delete the period:". Below this is a white rectangular box containing the text "Dec 01 2019 - Dec 31 2019". At the bottom, there are two buttons: a white "CANCEL" button on the left and a red "DELETE" button on the right.

Please note: assurance periods cannot be deleted if they have been manually 'completed'.

Assuring a Staff Member

Assuring a staff member can be done through the 'Staff Vetting Assurance' section of the AMLHub desktop.

1. Click on the period you would like to complete assurance for.
2. Click on this  icon, found to the right of the staff member you would like to assure.
3. You will be re-directed to a pop-up window displaying the staff member's vetting records.



A pop-up window titled "ASSURE INDIA MANTHEL'S STAFF VET" with a close button (X) in the top right corner. It has three tabs: "Details" (selected), "Documents", and "Notes". The "Details" tab is divided into two sections. On the left, under "Checks Run", there is a list of seven items, each with a green checkmark: "Checked Criminal History", "Checked PEP Status", "Confirmed Qualifications", "Identified Secondary Interests", "Met In Person", "Obtained and Verified References", and "Reviewed Application". On the right, under "Details", there is a text box stating "Vetting approval procedure was completed by India Manthel." and a "Date: Nov 01 2019". At the bottom, there are two buttons: a white "CANCEL" button on the left and a blue "ASSURE" button on the right.

4. Review the staff member's vetting records and take note of any issues found.
5. When review of these records has been completed, click 'assure'.
6. The following pop-up window will appear.

ASSURE INDIA MANTHEL

What Is The Result Of Your Assurance?

Action Required Passed

Identified Issue

Planned Remediation


ADD IDENTIFIED ISSUE

Identified Issues



No Issues Identified

CANCEL ASSURE

Passing Assurance

1. From the pop-up window displayed above, click .
2. Click 'assure'.
3. The staff member will subsequently be displayed in this assurance period with a status of 'passed'. This status is noted under the 'Assurance' field, found to the right of the staff member's name.


Action Required

1. From the pop-up window displayed above, click .
2. You will then need to add any issues identified during your review of the staff member's vetting records.
 - o Enter a name for the identified issue.
 - o Describe what remediation should be implemented for this identified issue in the 'planned remediation' field.
 - o Click .

- The issue will then be displayed under the 'identified issues' field.
 - Repeat this process for any additional issues identified during your review of the staff member's vetting records.
3. When all issues have been identified, click 'assure'.
 4. The staff member will subsequently be displayed in this assurance period with a status of 'passed'. This status is noted under the 'Assurance' field, found to the right of the staff member's name.

Completing an Assurance Period

Completing an assurance period can be done through the 'Staff Vetting Assurance' section of the AMLHub desktop.

1. Click on the relevant period you would like to complete assurance for.
2. Click on the  button.
3. The following pop-up window will appear. Click 'complete'.

Are you sure you want to complete this period? This action cannot be undone.

CANCELCOMPLETE

4. The assurance period will subsequently be displayed under the 'Assurance Periods' list with a status of completed. This status is noted under the 'Completed' field, found to the right of the assurance period.