

**MONTHLY PREVENTION STATEMENT FOR THE PREVENTION OF MONEY LAUNDERING AND TERRORIST FINANCING**

**Name of Supervised Person: «………………………….………....»**

**Authorisation Number: «……...….……………….…………»**

**Reporting Month: «……...….……………….…………»**

**Purpose of this form**

This form should be completed every month by the compliance officer for preventing money laundering and terrorist financing as regards to the total amount of cash deposits that the Supervised Person has accepted, the Internal Suspicion Reports and the Reports submitted by the compliance officer to the Unit for Combating Money Laundering Offences (MOKAS).

**Monthly Prevention Statement according to paragraph 11 of the Directive DI144-2007-08 of the Cyprus Securities and Exchange Commission for the prevention of money laundering and terrorist financing**

**General Comments**

1. The monthly prevention statement must be completed in electronic form. An electronic version of it can be downloaded from the website of the Cyprus Securities and Exchange Commission (‘the CySEC’) at the address [www.cysec.gov.cy](http://www.cysec.gov.cy).
2. The monthly prevention statement must be completed and submitted to the CySEC within 15 days from the end of each month at the address [mviolari@cysec.gov.cy](mailto:mviolari@cysec.gov.cy)
3. In cases where no clients’ money are kept/held or no cash transactions are conducted over €10.000 or no reports on money laundering or terrorist financing are submitted, the monthly prevention statement should be submitted with a “zero” indication.
4. The term cash deposits includes cash receipts from clients, as well as cash deposits made by clients directly to the accounts of Supervised Entities kept in credit institutions.

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1. **Cash deposits over € 10.000:**

|  |  |  |
| --- | --- | --- |
| i. | Total number of transactions | ……………… |

|  |  |  |
| --- | --- | --- |
| ii. | Total number of client accounts affected from the abovementioned transactions | ……………… |

€’000

|  |  |  |
| --- | --- | --- |
| iii. | Total amount of cash deposits over €10.000 | ……………… |

1. **Reports submitted regarding money laundering and terrorist financing:**

|  |  |  |
| --- | --- | --- |
| i. | Total number of Internal Suspicion Reports submitted by the Supervised Person employees to the compliance officer | ……………… |

|  |  |  |
| --- | --- | --- |
| ii. | Total number of Reports submitted by the compliance officer to MOKAS | ……………… |

**I confirm that the above figures extracted from the books and records of the Supervised Person are true and accurate and this statement has been completed in accordance with the explanations and instructions of the CySEC.**

**I acknowledge and accept that the CySEC may reveal information in the discharge of its duties, as these are defined in the Law.**

**The provision of false, or misleading information or details or documents or forms, or the withholding of material information from the current document, in addition to constituting a violation, which it is subject to an administrative fine not exceeding €350.000 and in case of remission or continuation of the violation, to an administrative fine not exceeding €700.000, is also a criminal offence punishable, in the event of conviction, by imprisonment not exceeding five years.**

Full name of the compliance officer: ………………………………………………...

Signature: ………………………………………………………………………..…….

Date: ………….………………………………………………………………………..

**Explanation notes for completing the Monthly Prevention Statement**

* 1. Cash deposits over € 10.000:

(a) Refers to cash deposits by clients over €10.000 per transaction.

(b) Subcategory 1(i) refers to the total number of cash deposits transactions and subcategory 1(ii) refers to the total number of clients accounts affected by the abovementioned cash deposits.

(c) For example if a client deposits the cash amount of €10.000 in five different accounts by €2.000, then:

1. Total number of transactions (1).
2. Total number of client accounts affected from the abovementioned transaction (5).

(d) Subcategory 1(iii) refers to the total amount of cash deposits over €10.000 that the Supervised Person has accepted from clients during the month under review.

* 1. Reports submitted regarding money laundering and terrorist financing:

(a) Subcategory 2(i) includes the total number of the Internal Suspicion Reports submitted by the Supervised Person employees to the compliance officer during the month under review.

(b) Subcategory 2(ii) includes the total number of reports submitted by the compliance officer to MOKAS during the month under review.