

Raising an AML concern

RAISE A CONCERN ABOUT AN ICAEW SUPERVISED FIRM THAT MAY BE BREACHING THE MONEY LAUNDERING REGULATIONS 2017



BEFORE YOU RAISE A CONCERN

- Please check the accountant or accountancy firm is supervised by ICAEW.
- Please ensure you have copies of any relevant supporting letters and other documents. We may not be able to help you if you don't have documentary evidence to support your allegation.
- If your issue relates to a criminal matter, you should also ask the police (or other relevant authority) to investigate it. Please let us know you've reported the matter and please include the case number and contact details of the officer who is dealing with the case.
- Please seek legal advice straight away if you think you have a reason to make a civil claim. Do not wait until our investigation process has concluded.

IF YOU'RE COMPLETING THIS FORM ELECTRONICALLY, FIRST SAVE IT TO YOUR COMPUTER.

YOUR DETAILS

You don't need to give us your identity or contact details, although it would make it easier if we need to clarify things or ask for further information. If you have provided contact details then we may well proactively contact you if we require any further information, unless you specifically ask us not to.

Name (forename/surname)

Organisation (if appropriate)

Address

Postcode/zipcode

Telephone number

Email address

If you provide your details to allow further contact but wish to remain anonymous, please mark this clearly below. We will take the appropriate steps to protect your identity.

Do you wish to remain anonymous? YES NO

Do you wish to receive further contact from ICAEW? YES NO

WHO DO YOU WANT TO NOTIFY US ABOUT?

Name (forename/surname)

Practice name

Address

Postcode/zipcode

If you need to write more than the fields allow, please do so in a separate Word document and send it to us with this form.

What has happened? Please explain your concern in full. Please send us copies of relevant supporting correspondence or documents.

Why do you think the firm or accountant is at fault?

SUPPORTING EVIDENCE

So that we can review your concern as quickly as possible, please send supporting evidence (for example, letters and documents you have sent to or received from the firm or accountant) with this form to us at mlco@icaew.com

If you are not able to email the documents, please send your completed form and documentary evidence to the address below.

Will you be sending supporting evidence?

YES NO

If 'Yes', how will you be sending it?

by post by email

If, on conclusion of our investigation, we decide to take disciplinary action against the ICAEW accountant or firm, we may need to show them material that is relevant to the complaint against them. We will protect your identity if you wish to remain anonymous.

Please tick this box if you DO NOT want us to share any evidence or correspondence with the ICAEW accountant or firm.

If there are any specific documents you do not wish us to share with the ICAEW accountant or firm, please mark them clearly as such.



USING YOUR PERSONAL INFORMATION

We will treat your personal information in accordance with data protection legislation. We will use your information to carry out our responsibilities as a regulator and as a professional body. We may, either as required by law or to carry out those responsibilities, share your personal information to comply with the requirements of government departments, agencies and regulators. Where necessary, we may transfer your information outside the European Economic Area (EEA) eg, to one of our offices. These countries may not have similar data protection laws to the EEA so, if we do transfer your information, we will take the necessary steps to ensure that your privacy rights are still protected. For more information about our data protection policy, please go to icaew.com/dataprotection

Please send your completed form and supporting documents to mlco@icaew.com

Or send your complaint by post to:

Head of AML and Operations
Quality Assurance Department
ICAEW
Metropolitan House
321 Avebury Boulevard
Milton Keynes MK9 2FZ
UK