



[Date]

[Name]

[Title], [Firm]

Address

Address

Address

Address

Dear [Name]

**[Firm name and Licence number]**

**Anti money laundering/ combating the financing of terrorism (AML/CFT) and the prevention of fraud**

### **Self Assessment Questionnaire**

As you are aware, one of the key statutory objectives of the Qatar Financial Centre (QFC) Regulatory Authority (Regulatory Authority) is to prevent the occurrence of financial crime within the QFC. In this context, financial crime includes not only money laundering and terrorist financing but also fraud.

As a licensed professional firm, you will already have received a post authorisation letter from me setting out your responsibilities under the QFC Anti Money Laundering Regulations (AML Regulations). To further assist you in complying with the AML Regulations, the Regulatory Authority has developed a self assessment questionnaire which addresses not only the key anti money laundering and terrorist financing regulatory requirements, as set out in the AML Regulations, but also the equally important issue of fraud prevention.

The AML/CFT and fraud prevention self assessment questionnaire is designed primarily as an educational tool to both help you consider the key regulatory requirements and best practice in this area and to prompt you to evaluate and benchmark the effectiveness of your own internal policies and procedures.

To assist you in this exercise we have included a 'self-confidence scale' against each question. The scale is scored 1-10, with 1 representing the



lowest level of confidence that your firm has considered and satisfactorily addressed the issues raised by the question and 10 representing the highest level of confidence that your firm has satisfactorily addressed these issues.

We hope that you will find this self assessment tool useful. As this is a self assessment exercise, you are not obligated to reply to the Regulatory Authority, however we may request to see evidence that you have completed the self assessment exercise. Should you wish to discuss the questionnaire or have any comment, you are welcome to contact me directly by telephone: +974 495 6754 or by e-mail: [k.dolan@qfcra.com](mailto:k.dolan@qfcra.com).

Yours sincerely

Kevin Dolan  
Associate Director, Supervision