



Ordinance on the Money Laundering Reporting Office Switzerland

(Money Laundering Reporting Office Switzerland Ordinance, MROSO)

SR 955.23
dated 1 July 2016

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Table of Contents

1.	Money Laundering Reporting Office Switzerland Ordinance	pg. 2
2.	Annex 1	pg. 14
3.	Annex 2	pg. 19

1 Other Languages

DE: [Verordnung über die Meldestelle für Geldwäscherei \(MGwV\)](#)

FR: [Ordonnance sur le Bureau de communication en matière de blanchiment d'argent \(OBCBA\)](#)

IT: [Ordinanza sull'Ufficio di comunicazione in materia di riciclaggio di denaro \(OURD\)](#)

Ordinance On the Money Laundering Reporting Office Switzerland (MROSO)

dated 25 August 2004 (version as at 1 July 2016)

The Swiss Federal Council, based on Articles 8a(5) and 41(1) of the Anti-Money Laundering Act of 10 October 1997¹ (AMLA) as well as the Articles 4(1), 13(1) and 15 of the Federal Act on the Central Offices of the Federal Criminal Police of 7 October 1994² (FCPCOA)³ decrees:

Chapter 1: Tasks

ARTICLE 1⁴

- 1 The Money Laundering Reporting Office Switzerland (MROS) shall hold the following functions:
 - a. It shall support the prosecution authorities in the combating of money laundering, its predicate offenses, organized crime⁵ and the financing of terrorism.
 - b. It shall act as a national reporting office for combating money laundering, its predicate offenses, organized crime and the financing of terrorism.
 - c. It shall make financial intermediaries aware of the problems related to money laundering, its predicate offenses, organized crime and the financing of terrorism.
 - d. It shall publish an annual report on how the statistics on the combating money laundering, its predicate offenses, organized crime and the financing of terrorism have developed using anonymized data.
- 2 In order to fulfill its tasks, it shall:
 - a.⁶ accept reports from financial intermediaries, self-regulating organizations, the Swiss Financial Market Supervisory Authority (FINMA), Federal Gaming Board, traders according to Article 8a AMLA, as well as audit firms, and evaluates this data;
 - b. perform investigations to clarify the reports;

¹ SR **955.0**

² SR **360**

³ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS 2015 4819).

⁴ Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497)

⁵ Terminology as per Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819). This amendment has been taken into account throughout the entire enactment.

⁶ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

- c. decide on whether to pass on reports, information and other data to the prosecuting authorities of the Swiss Confederation and the Cantons;
- d. exchange information on money laundering, its predicate offenses, organized crime and the financing of terrorism at national and international levels;
- e. maintain its own data processing system for the combating of money laundering, its predicate offenses, organized crime and the financing of terrorism (AML DP);
- f.⁷ evaluate the data on money laundering, its predicate offenses, organized crime and the financing of terrorism and prepare statistics which allow operational and strategic analyses.
- g.⁸ accepts information from persons and institutions pursuant to Article 7 of the Act of 18 December 2015 on the Federal Act on the Freezing and Restitution of Assets Illicitly Obtained by Politically Exposed Persons (PEPs)⁹ (FRIAA).

Chapter 2: Processing Reports and Data¹⁰

Section 1: Registration

ARTICLE 2¹¹ Origin of the Data

The MROS shall process reports and data in accordance with:¹²

- a.¹³ Articles 9(1) and 11a AMLA as well as Article 305ter(2) Swiss Penal Code¹⁴ (SPC) if from financial intermediaries;
- b. Article 27(4) AMLA if from self-regulating organizations;
- c. Article 16(1) AMLA if from the FINMA;
- d. Article 16(1) AMLA if from the Swiss Federal Gaming Board;
- e.¹⁵ Articles 9(1bis) and 15(5) AMLA if coming from traders or their audit firms.

⁷ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

⁸ Inserted by Section I of the Ordinance of 25 May 2016, in force since 1 July 2016 (AS **2016** 1943).

⁹ SR **196.1**

¹⁰ Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497).

¹¹ Version according to Annex Section 10 of the Financial Market Audit Ordinance of 15 October 2008, in force since 1 January 2009 (AS **2008** 5363)

¹² Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497).

¹³ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

¹⁴ SR **311.0**

¹⁵ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

f.¹⁶ Article 7(1) and (2) FRIAA¹⁷.

ARTICLE 3¹⁸ Review of reports

- 1 Reports as per Article 2(a)(d) shall contain at least the following:
 - a. the name of the financial intermediary or the authority from where the reports originates, always indicating the contact there including that person's direct phone or fax number;
 - b. the authorities that supervise financial intermediaries pursuant to Article 12 AMLA;
 - c. the information required for the identification of the contractual party of the financial intermediary as stipulated in Article 3 AMLA;
 - d. the information required for the identification of the beneficial owner as stipulated in Article 4 AMLA;
 - e. information on any other persons sharing this account or represent the contractual party of the financial intermediary;
 - f. the assets involved at the time of the reports, including the current account balance;
 - g. the most precise presentation possible of the business relationship, including the number of the account and the date when it was opened;
 - h. the most precise presentation possible of the suspicions which led to the report, including the documentation of suspicious transactions by means of account statements and detailed receipts as well as any connections to further business relationships.
- 2 Reports pursuant to Article 2(e) shall in analogy at least contain the information pursuant to Article 1(a), (c)(e) and (h).
- 2^{bis} If persons and institutions that report something in accordance with Article 7(1) and (2) FRIAA¹⁹ are not financial intermediaries pursuant to AMLA, their report must contain at least the information stipulated in (1)(f), provided this is known.²⁰
- 3 Reports shall be made on the reporting form provided by the MROS. The information on the contact person as per (1)(a) may also be indicated in a separate document.
- 4 The financial transaction's documentation, the investigative measures taken as well as any other evidence must be included in the report.

¹⁶ Inserted by Section I of the Ordinance of 25 May 2016, in force since 1 July 2016 (AS **2016** 1943)

¹⁷ SR **196.1**

¹⁸ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

¹⁹ SR **196.1**

²⁰ Inserted by Section I of the Ordinance of 25 May 2016, in force since 1 July 2016 (AS **2016** 1943)

- 5 Upon request, the financial intermediary shall immediately forward the documents which allow tracing any transactions taking place during the period when the MROS is investigating the case.

ARTICLE 4²¹ Records

- 1 Reports and information coming from financial intermediaries shall be recorded in the AML DB under the date when the report was made. The recording date shall serve to monitor deadlines.
- 2 Should more than one contractual party be object of a report, the MROS may deal with each business relationship separately.
- 3 The MROS shall immediately confirm that it has received the report; it shall indicate the deadline until when it will provide a decision on whether to forward the case to the prosecuting authorities in accordance with to Article 23(5) AMLA.
- 4 Should a case be forwarded or if a report is based on Article 9(1)(c) AMLA, the MROS shall provide a deadline until when the assets shall be frozen pursuant to Article 10(2) AMLA.

Section 2: Reviews and investigations

ARTICLE 5²²

ARTICLE 6 Obtaining information in accordance with FCPCOA²³

In order to fulfill its legal duties, the MROS may obtain information as listed in Article 3(a) - (e) FCPCOA.

ARTICLE 7 Collaborating with authorities and government agencies

- 1 The MROS may request any information it needs to fulfill its legal duties pursuant to Article 4(1) FCPCOA and Article 29(1) and (2) AMLA from the authorities or government agencies related to money laundering, its predicate offenses, organized crime or terrorist financing. Specifically, the MROS may review whether:²⁴
 - a. the relevant person or entity is or has been the object of legal or administrative proceedings;
 - b. the person or entity has a police record;
 - c.²⁵ the person in the report is domiciled in Switzerland, has the right to live in Switzerland and is

²¹ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

²² Repealed by Section I 20 of the Ordinance of 15 October 2008 on the amendments to the Swiss Federal Act on the Federal Police Information Systems in force since 5 December 2008 (AS **2008** 4943)

²³ Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497).

²⁴ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

²⁵ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

entitled to local employment;

d.²⁶ the reporting financial intermediary is subject to supervision by the FINMA or the Swiss Federal Gaming Board.

2 Information may be exchanged verbally, electronically or on paper.

Section 3: Forwarding

ARTICLE 8 Notifying the prosecuting authorities

- 1 Based on the assessment of the collected information, the MROS shall take measures pursuant to Article 23(4) AMLA.
- 2 Reports which were not immediately forwarded to the prosecuting authorities pursuant to Article 23(4) AMLA may still be forwarded at a later point in time if there are new developments which reveal aspects which lead the MROS to hold justified suspicions then.²⁷

ARTICLE 9 Informing the financial intermediary

- 1 The MROS shall inform the financial intermediary of the steps it has taken.²⁸
- 2 Should a case have been forwarded to the prosecuting authorities, no information shall be transmitted to the financial intermediary without their prior authorization.²⁹

ARTICLE 10³⁰ Information

- 1 The MROS may inform the following:
 - a. financial intermediaries: on the steps it has taken in view of reports as per Article 2(a);
 - b. self-regulating organizations: on the steps it has taken in view of reports as per Article 2(b);
 - c. the FINMA: on the steps it has taken in view of reports as per Article 2(c);
 - d. the Swiss Federal Gaming Board: on the steps it has taken in view of reports as per Article 2(d).³¹

²⁶ Repealed in Annex 2 Section II 3 of the Anti-Money Laundering Ordinance of 11 November 2015, with effect from 1 January 2016 (AS **2015** 4819).

²⁷ Repealed in Annex 2 Section II 3 of the Anti-Money Laundering Ordinance of 11 November 2015, with effect from 1 January 2016 (AS **2015** 4819).

²⁸ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

²⁹ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

³⁰ Version according to Annex Section 10 of the Financial Market Audit Ordinance of 15 October 2008, in force since 1 January 2009 (AS **2008** 5363).

³¹ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1

- 2 Should the MROS find that a financial intermediary has breached its due diligence or its duties in case of suspicions of money laundering, it may, at its own initiative and in reference to Article 29(1) AMLA, provide the supervisory authorities with the following information:
 - a. Name of the financial intermediary that reported its suspicions;
 - b. Date of the report;
 - c. Amount of assets involved;
 - d. Type and aspect of duty breached;
 - e. prosecuting authorities involved.
- 3 The MROS may inform the prosecuting authorities involved.

ARTICLE 11³²

Chapter 3: Cooperation

ARTICLE 12 Swiss authorities

- 1 ...³³
- 2 Should the MROS learn that a prosecuting authority is already investigating against the person in question, it shall refer the requesting authority to the prosecuting authority for further information.

ARTICLE 13³⁴ Foreign authorities

- 1 In consideration of the conditions stipulated in (2), the MROS may forward personal data and information regarding the suspicion of money laundering, its predicate offenses, organized crime and the financing of terrorism to the following foreign authorities or provide these with information to support these so they can fulfill their legal duties:
 - a. Authorities which fulfill the duties of prosecuting authorities and the police, provided the provisions of Article 13(2) FCPCOA are also complied with.
 - b. Authorities which assume duties which are similar to those of the MROS, provided the provisions of Article 30 AMLA are fulfilled.

January 2016 (AS **2015** 4819).

³² Repealed in Annex 2 Section II 3 of the Anti-Money Laundering Ordinance of 11 November 2015, with effect from 1 January 2016 (AS **2015** 4819).

³³ Repealed by Annex 2 Section II 3 of the Anti-Money Laundering Ordinance of 11 November 2015, with effect from 1 January 2016 (AS **2015** 4819).

³⁴ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

- 2 Personal data and information pursuant to (1) may only be exchanged or forwarded if:
 - a. this is necessary to obtain the information required by the MROS;
 - b. if this is not data subject to international legal assistance;
 - c. the request for administrative assistance is justified.
- 3 Article 6, 7 and 12 are also applicable for the processing of requests submitted by foreign authorities.

Chapter 4: AML DB

ARTICLE 14 Purpose

The data processing system AML DB enables the MROS to:

- a. fulfill its legal information and investigative duties;
- b.³⁵ investigate cases of money laundering, its predicate offenses, organized crime and the financing of terrorism;
- c. collaborate with federal and cantonal prosecutors;
- d. collaborate with relevant foreign authorities and foreign prosecutors;
- e.³⁶ collaborate with the FINMA and the Swiss Federal Gaming Board;
- f.³⁷ prepare strategic analyses using anonymized statistics.

ARTICLE 15 Origin of the information

The data archived in the AML DB originates from:

- a.³⁸ reports and information pursuant to Article 2;
- b. requests for mutual or administrative assistance pursuant to Articles 12 and 13;
- c.³⁹ memoranda on police investigations which were performed prior to an actual investigation;

³⁵ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

³⁶ Version according to Appendix Section 10 of the ordinance of 15 October 2008, in force since 1 January 2009 (AS 2008 5363).

³⁷ Inserted by Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

³⁸ Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497).

³⁹ Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497).

- d.⁴⁰ memoranda of prosecuting authorities of the Swiss Confederation or the cantons pursuant to Article 29a AMLA;
- e. memoranda provided pursuant to Articles 4 and 8(1) FCPCOA, provided these serve to fulfill the legal duties of the MROS;
- f.⁴¹ lists with names of persons and companies which appear in resolutions passed by the Security Council of the United Nations in relationship to money laundering, its predicate offenses, organized crime and the financing of terrorism;
- g.⁴² lists with names of persons and companies that are suspected by Swiss authorities to be involved in money laundering, its predicate offenses, organized crime and the financing of terrorism;
- h. the MROS's own investigations.

ARTICLE 16⁴³ Processed data

- 1 In order to combat money laundering, its predicate offenses, organized crime and the financing of terrorism, the data in the AML DB shall be processed for:
 - a. Suspicious financial transactions;
 - b. Persons and companies suspected of engaging in money laundering (actual and attempted), its predicate offenses, organized crime pursuant to Article 260ter SPC or that they support the financing of terrorism pursuant to Article 260quinquies SPC;
 - c. Persons and companies suspected of preparing, engaging in or supporting delinquencies, where it is suspected that they are predicate offenses leading to money laundering or where a connection to organized crime as per (b) is suspected.
- 2 The AML DB data may save records on third parties which are not subject to the criteria of (1) if this serves the purposes of Article 14.

ARTICLE 17 Encryption

Transmitting AML DB data must take place with an encryption during the entire transmission process.

⁴⁰ Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497).

⁴¹ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

⁴² Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

⁴³ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

ARTICLE 18 Structure [of database]

- 1 The database AML DB has a modular structure. This consists of the following:
 - a.⁴⁴ Management of reports (case management);
 - b. Other transactions;
 - c. Persons;
 - d. Financial intermediaries;
 - e. Business;
 - f. Parameters;
 - g. Analyses;
 - h. Minutes;
 - i. Users;
- 2 The data catalog which shall be processable in AML DB is subject to Annex 1.

ARTICLE 19 Data protection and protocol

- 1 The Ordinance to the Swiss Federal Act on Data Protection of 14 June 1993⁴⁵ and the Ordinance on Information Technology dated 9 December 2011⁴⁶ apply to data protection.⁴⁷
- 2 The Federal Police Department (fedpol) shall regulate the organizational and technical measures which prevent unauthorized processing of data and ensure the automatic logging of data processing.⁴⁸

ARTICLE 20⁴⁹ Access to the AML DB

The following have access to the AML DB using an online query system:

- a. MROS employees;
- b. persons entrusted with system administrations to modify and adjust the system.

⁴⁴ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

⁴⁵ SR **235.11**

⁴⁶ SR **172.010.58**

⁴⁷ Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497).

⁴⁸ Version of Section I 20 of the Ordinance of 15 October 2008 on the amendments to the Swiss Federal Act on the Federal Police Information Systems in force since 5 December 2008 (AS **2008** 4943)

⁴⁹ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

ARTICLES 21 AND 22⁵⁰

Chapter 5:⁵¹ Statistical data, annual report and analyses

ARTICLE 23

- 1 In order to analyze information regarding money laundering, its predicate offenses, organized crime and the financing of terrorism, the MROS shall prepare anonymized statistics on:
 - a. reports as per Article 2;
 - b. information requests from relevant foreign authorities;
 - c. prosecutions initiated based on reports.
- 2 The statistics shall contain:
 - a. Reports as per (1)(a): information on the number, content, origin, suspicious cases, frequency, types of infringements and MROS treatment;
 - b. for information requests as per (1)(b): information on the number of requests, their date of entry, country of origin and number of persons who were the subject of these requests;
 - c. for procedures as per to (1)(c): Number of reported incidents which have been passed on to prosecution authorities and the results of the proceedings.
- 3 The MROS shall publish an annual report and analyses related to the combating of money laundering, its predicate offenses, organized crime and the financing of terrorism.

Chapter 6: Safeguarding and archiving data

ARTICLE 24 Control

Upon request, the personal data shall be forwarded to the regulatory authorities of the Swiss Confederation and the cantons, as well as the Swiss Federal Data Protection and Information Commissioner⁵², so that these may fulfill their control function.

⁵⁰ Repealed in Annex 2 Section II 3 of the Anti-Money Laundering Ordinance of 11 November 2015, with effect from 1 January 2016 (AS **2015** 4819).

⁵¹ Version according to Annex 2 Section II 3 of the Anti-Money Laundering Ordinance dated 11 November 2015, in force since 1 January 2016 (AS **2015** 4819).

⁵² The title of this administrative entity has been amended in application of Article 16(3) of the Publication Ordinance of 17 Nov. 2004 (AS **2004** 4937).

ARTICLE 25 Forwarding data

- 1 Whenever data is forwarded, the recipients are to be informed of the reliability of the data from the AML DB, as well as how up-to-date it is. The recipients shall only use the data for the original purpose for which they have been transmitted. They are to be informed of the restricted use of the data and the MROS shall reserve the right to request information on how the data has been used.
- 2 Should data be forwarded to relevant national or foreign authorities, the MROS shall include a boilerplate that indicates that the forwarded data is only of an informative nature and that it may neither be used nor forwarded to another authority without the written agreement of the MROS.

ARTICLE 26 Applicable restrictions for forwarding data

- 1 When forwarding data from the AML DB, the restricted use shall be complied with. If the MROS intends to forward data on asylum seekers, recognized refugee and other vulnerable persons to these persons' countries of origin or domicile, the stipulations in Article 2 of the Ordinance to the Federal Asylum Act of 11 August 1999 shall apply.⁵³ Before forwarding data of persons who are temporarily accepted in accordance with Article 6 Asylum Act of 19 June 1992⁵⁴ to their home countries, the MROS shall confer with the State Secretariat for Migration of Switzerland.⁵⁵
- 2 The MROS shall refuse to forward data from the AML DB in the case of overriding public or private interests.

ARTICLE 27⁵⁶

ARTICLE 28 Retention period for archived data and deletion of data

- 1 Data archived in the AML DB shall be retained for a maximum of ten years by the MROS as of the date when it was recorded. Records shall be deleted individually.⁵⁷
- 2 Should a person be recorded in various files, the MROS shall only delete the data for which the statute of limitations has expired. Personal data shall be deleted once the last record concerning that person has been deleted.

ARTICLE 29 Transmitting data and documents to the Swiss Federal Archive

The delivery of data and documents from the MROS to the Swiss Federal Archives is subject to the Swiss Archiving Act of 26 June 1998⁵⁸ and its implementing ordinance⁵⁹.

⁵³ SR **142.314**

⁵⁴ SR **235.1**

⁵⁵ Version according to Section I of the ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497).

⁵⁶ Repealed by Section I of the ordinance of 16 October 2013, with effect from 1 November 2013 (AS **2013** 3497).

⁵⁷ Version according to Section I of the Ordinance of 16 October 2013, in force since 1 November 2013 (AS **2013** 3497)

⁵⁸ SR **152.1**

⁵⁹ SR **152.11/.21**

Chapter 7: Final provisions

ARTICLE 30 Repeal of the Previous Law

The Implementing Ordinance on the Money Laundering Reporting Office Switzerland (MROS) of 16 March 1998⁶⁰ shall be repealed.

ARTICLE 31⁶¹ Entry into force

1 This Ordinance shall enter into force on 1 October 2004.

⁶⁰ [AS **1998** 905, **2000** 1369 Article 30(2), **2002 96 Article 30 111 Articles 19(2) 4362, 2003** 3687 Annex Sect. II 6]

⁶¹ Version of Section I 20 of the Ordinance of 15 October 2008 on the amendments to the Swiss Federal Act on the Federal Police Information Systems in force since 5 December 2008 (AS **2008** 4943)

Annex 1⁶²
(ARTICLE 18(2))

Data catalog

A. Management of reports (case management)

Sub-category “Financial intermediaries”

1 Reference number

Sub-category “Basic data”

1 Report number (consecutive numbering)

2 Date of the report

3 Recording date

4 Type of report

5 Manner of transmission

6 Canton

7 Status

8 Category

9 Suspicions

10 Date of status

11 Date of decreed order

12 Circumstances

13 Reasoning

14 Measures

15 Decision of the MROS

⁶² Adjusted as per Sect. II of the Ordinance of 16 October 2013 (AS **2013** 3497) and as per Annex 2 Sect. II 3 of the Anti-Money Laundering Ordinance of 11 November 2015, in force since 1 January 2016 (AS **2015** 4819)

- 16 Main file / ancillary file
- 17 Predicate offense (in Switzerland or abroad)
- 18 Country of predicate offense
- 19 FIU query (yes/no)
- 20 Key words
- 21 PEP (yes/no)

Sub-category “Total amount under management”

- 1 Total amount
- 2 Currency
- 3 Account number
- 4 Total assets
- 5 Comment
- 6 Total amount in Swiss francs
- 7 Confiscated amount in Swiss francs

Sub-category “Persons involved”

- 1 Role
- 2 Function (source of information)
- 3 Date
- 4 Comment

Sub-category “Competent prosecution authorities”

- 1 Abbreviation (Z code)
- 2 Canton
- 3 Description
- 4 Address

- 5 ZIP, Place
- 6 Language of correspondence

Sub-category “Decision of prosecuting authorities”

- 1 Date
- 2 Type of decision
- 3 Comment
- 4 Reason for closing the case
- 5 Reference number
- 6 Articles breached

B. Management of other cases

- 1 Case number (consecutive numbering)
- 2 Date of reception
- 3 Recording date
- 4 Category
 - 4.1 Traders
 - 4.2 Audit firms
 - 4.3 Other information
- 5 Country
- 6 Canton
- 7 Reference
- 8 Comment
- 9 Bank accounts

C. Personal data

Primary sub-category of "Personal data": natural persons

- 1 Personal number (consecutive numbering)
- 2 Name
- 3 First name
- 4 Date of birth
- 5 Gender
- 6 Place of birth
- 7 Nationality
- 8 Profession
- 9 Address
- 10 ZIP and place in Switzerland
- 11 ZIP and place abroad
- 12 Country
- 13 Phone number
- 14 Fax number
- 15 E-mail address
- 16 Comment

Secondary sub-category of "Personal data": false identity of natural person

- 1 Name
- 2 First name
- 3 Date of birth

Sub-category of “Personal data”: legal entities

- 1 Personal number (consecutive numbering)
- 2 Name
- 3 Industry
- 4 Address
- 5 ZIP and place in Switzerland
- 6 ZIP and place abroad
- 7 Country
- 8 Phone number
- 9 Fax number
- 10 E-mail address
- 11 Comment

Sub-category “Personal data”: connections

- 1 Role
- 2 Comment

D. Financial intermediaries

- 1 Financial intermediary number (consecutive numbering)
- 2 Corporations
- 3 Category
- 4 Language of correspondence
- 5 License number
- 6 Street
- 7 ZIP Place
- 8 Canton

- 9 Contact persons
- 10 Phone number
- 11 Fax number
- 12 E-mail address
- 13 Comment

E. Management

- 1 Name
- 2 Comment

F. Accounts

- 1 Type
- 2 Account number
- 3 Date
- 4 Details

Annex 2⁶³

⁶³ Repealed by Annex 2 Section II 3 of the Anti-Money Laundering Ordinance of 11 November 2015, with effect from 1 January 2016 (AS **2015** 4819)

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