



THE

LAW SOCIETY  
OF HONG KONG

香港律師會

## The Anti-Money Laundering and Counter-Terrorist Financing Compliance Self-Assessment Form (“AML/CTF Self-Assessment Form”)

The covering period for this AML/CTF Self-Assessment Form applies to all transactions conducted by the Legal Practice between 1 January 2025 and 31 December 2025.

**Please read the following instructions carefully before proceeding to complete this form.**


### **Procedures for saving the form:**

You may save your progress at any time by clicking the “Save” button at the bottom of each section. A pop-up window will appear inviting you to sign up for an account.



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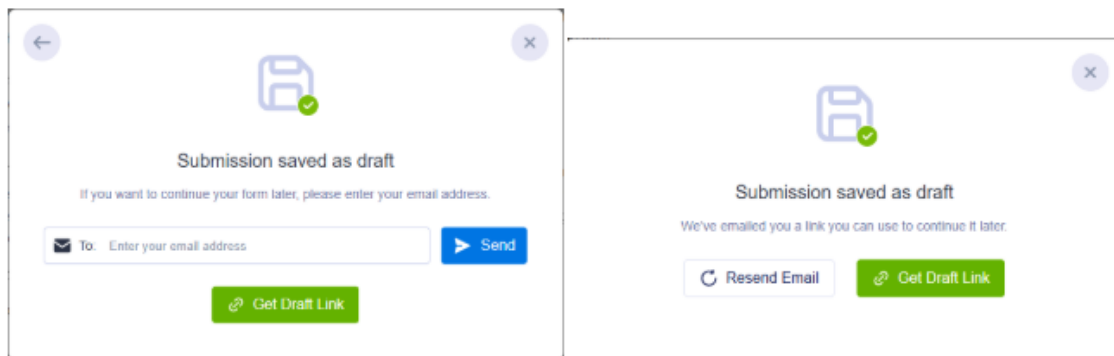
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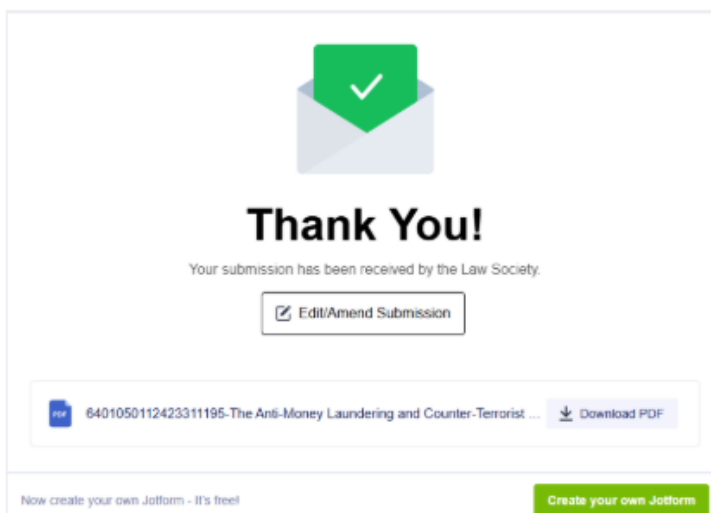
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## Section A - Legal Practice Information

A1. Legal Practice Name \*

A2. Please provide the email address for correspondence purposes. \*

example@example.com

A3. Name and job title of the AML/CTF Compliance Officer or Money Laundering Reporting Officer responsible for AML oversight and reporting of suspicious transactions for the Legal Practice? \*

	Please enter below:
Name	
Job Title	

A4. Type of Legal Practice \*

- ☐ Hong Kong Law Firm
- ☐ Foreign Jurisdiction Registered Law Firm

A5. Size of the Legal Practice \*

- ☐ Sole Practitioner
- ☐ 2-5 Partners
- ☐ 6-10 Partners
- ☐ 11-20 Partners
- ☐ Over 20 Partners

A6. Does the Legal Practice operate a client money account? \*

- ☐ Yes
- ☐ No

A7. If the Legal Practice does not maintain a client money account, does it hold an exemption granted by the Law Society?

- ☐ Yes
- ☐ No

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## Section B - Legal Service Information

B1. Does the Legal Practice engage in any of the activities set out under Part 2, Section 5A(3) of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615) ("AMLO"), and any of the activities defined as "Applicable Situations" set out in Item 2 (Client Due Diligence) under the Table of Mandatory Requirements of the Practice Direction P ("PDP")?

Please select where applicable from the list of activities: \*

- ☐ No, the Legal Practice does not engage in any of the below activities.
- ☐ The buying or selling of real estate
- ☐ The managing of client money, securities or other assets
- ☐ The management of bank, savings or securities accounts
- ☐ The organization of contributions for the creation, operation or management of corporations
- ☐ The creation, operation or management of legal persons
- ☐ The creation, operation or management of legal arrangements
- ☐ The buying or selling of business entities
- ☐ Insolvency cases
- ☐ Tax advice
- ☐ Other transactions involving custody of funds as stakeholder or escrow agent or transfer of funds through their bank accounts.
- ☐ Comments

### Additional Information:

#### What does "the managing of client money, securities or other assets" mean?

"Managing" include arranging or making transactions on behalf of a client, going beyond merely holding assets or providing advice. It involves active control or authority over financial assets, such as securities or other property, but it would not include just holding on to assets on behalf of the client or operating a solicitor's client account. Some examples can include:

- Transactions – (i) buying or selling securities, or valuable assets for a client or (ii) executing transactions under a Power of Attorney.
- Portfolio Administration – overseeing a client's investment portfolio and reallocating assets.
- Asset Transfers – (i) arranging the transfer of securities or valuable assets between parties.

#### What does "management of bank, savings or securities accounts" mean?

"Management" refers to the exercise of control or authority over financial accounts on behalf of a client, going beyond merely holding assets or providing advice. It involves active administration and operational responsibilities. Some examples include:

- Opening or closing bank, savings, or securities accounts for clients.
- Administering accounts for settlement funds, transfers or trust monies.
- Holding signatory authority or acting under a power of attorney for accounts.
- Acting as custodian or trustee for investment accounts.
- Overseeing compliance and reporting obligations related to those accounts.

**What does “creation, operation or management of legal persons or legal arrangements” mean?**

This term overlaps with the “trust or company services” definition set out in Section 1 of Part 1 of Schedule 1 to the AMLO, and Question B2 of this AML/CTF Self- Assessment Form. When members select the activity of “creation, operation or management of legal persons or legal arrangements”, Questions B2 and B3 will automatically appear, prompting additional queries related to the type of trust or company services provided. Legal Practices offering such services should complete Questions B2 and B3, clearly specifying the types of trust or company services offered by the firm.

B2. Does the Legal Practice provide the following “trust or company services” as defined in Section 1 of Part 1 of Schedule 1 of the AMLO? “trust or company service” (信託或公司服務) means the provision, in Hong Kong, by a person, by way of business, of one or more of the following services to other persons. Please select where applicable: \*

Note: This question pertains SOLELY to trust or company services provided DIRECTLY BY THE LEGAL PRACTICE. If such services are delivered exclusively through a separate company or companies holding a Trust or Company Service Provider (“TCSP”) licence issued by the Registrar of Companies, please select “NO” and proceed to complete Question B4 below.

- ☐ No, the Legal Practice does not provide any of the below trust or company services DIRECTLY; these services are provided EXCLUSIVELY through a service company set up by the Legal Practice. (Go to Question B4)
- ☐ Forming corporations or other legal persons;
- ☐ Acting, or arranging for another person to act as a director or a secretary of a corporation;
- ☐ Acting, or arranging for another person to act as a partner of a partnership
- ☐ Acting, or arranging for another person to act in a similar position in relation to other legal persons;
- ☐ Providing a registered office, business address, correspondence or administrative address for a corporation, a partnership or any other legal person or legal arrangement
- ☐ Acting, or arranging for another person to act as a trustee of an express trust or a similar legal arrangement;
- ☐ Acting, or arranging for another person to act nominee shareholder for a person other than a corporation whose securities are listed on a recognized stock market;
- ☐ Comments

B3. In relation to Question B2, in what capacity does the Legal Practice undertake the trust and company services work: \*

- ☐ The Legal Practice provides trust or company services ("TCSP") by way of business, independent of any wider legal matter.  
(For example, acting as a company formation agent, providing registered office services, company secretary services or setting up and administering trusts for clients as a dedicated service)
- ☐ The Legal Practice does not provide TCSP services by way of business, and the TCSP services are incidental (ancillary) to another legal matter.  
(For example, creating a company in relation to M&A, joint ventures, property transaction, restructuring, financing or creation of a trust/acting as a trustee as part of estate planning/corporate work)
- ☐ Comments

B4. Does the Legal Practice operate a company or companies that hold a TCSP licence issued by the Registrar of Companies for the provision of trust or company services in Hong Kong? \*

- ☐ Yes
- ☐ No
- ☐ Comments

B5. If the Legal Practices do not engage in any of the activities or services listed under Question B1, please provide an overview of the services offered by the Practice.

Note: Legal Practices that do not engage in any of the activities or services listed in Question B1 are not required to complete Section C and Section D of the AML/CTF Self-Assessment Form, and might proceed directly to submitting this form.

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## Section C - AML/CTF Client Due Diligence Measures

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For each client engaged in activities or services listed under Questions B1 and B2 of the AML/CTF Self-Assessment Form, did the Legal Practice perform the following Client Due Diligence ("CDD") measures?

C1. Did the Legal Practice identify the potential client and verify the client's identity using documents, data or information provided by a reliable and independent source. \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

C2. Did the Legal Practice identify and take reasonable measures to verify the identity of any beneficial owner of the client, and, where the client is a legal person or trust, obtain an understanding of its ownership and control structure? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

C3. Did the Legal Practice comply with the following measures if a person purports to act on behalf of the client:

- (a) identify the person and take reasonable measures to verify the person's identity using documents, data or information provided by a reliable and independent source; and
- (b) verify the person's authority to act on behalf of the client. \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

C4. Did the Legal Practice obtain information from the client on the purpose and intended nature of the transaction within the scope of work? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

C5. Did the Legal Practice obtain and document information from the client on the business relationship between the client and other interested parties to the transaction? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate



C6. Did the Legal Practice obtain sufficient information on the source of funding for the transaction, taking into account the money laundering and terrorist financing risks associated with the client and the transaction. \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

C7. Did the Legal Practice conduct a search of the client's, beneficial owner's and connected parties' names against the United Nations Consolidated Sanctions List and the list of designated terrorists or terrorist associates, available at: <https://main.un.org/securitycouncil/en/content/un-sc-consolidated-list> \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

C8. Did the Legal Practice assess money laundering and terrorist financing risks associated with a new or existing client by taking into account various factors such as (1) client risk, (2) country risk, (3) service risk, (4) transaction and (5) delivery channels risk for client due diligence. \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate



C9.1 Did the Legal Practice consider the potentially higher-risk factors set out in the Table of Mandatory Requirements of the PDP, Section 3 (Enhanced Client Due Diligence ("EDD")) as part of the due diligence process? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

Table of Mandatory Requirements of the PDP, Section 3 (Enhanced Client Due Diligence):

<b>3. Enhanced client due diligence</b>	<ul style="list-style-type: none"> <li>▪ <b>Applicable situations:-</b> <ul style="list-style-type: none"> <li>(i) When handling complex, unusually large transactions, or an unusual pattern of transactions, which have no apparent economic or lawful purpose; or</li> <li>(ii) When acting for clients considered as "high risk", for example (without limitation):-                             <ul style="list-style-type: none"> <li>- Overseas companies where corporate information is not readily accessible or with nominee shareholders/directors or a significant portion of capital in the form of bearer shares; or</li> <li>- Non-Hong Kong and other high-risk politically exposed persons ("PEPs") and persons, companies and government organisations related to them; or</li> <li>- Persons or entities from or in non-cooperative countries and territories ("NCCT")<sup>3</sup> identified by the Financial Action Task Force ("FATF")<sup>4</sup> or such other jurisdictions known to have insufficiently complied with FATF Recommendations;</li> </ul> </li> <li>(iii) When preliminary interview leads to:-                             <ul style="list-style-type: none"> <li>- Suspicion of money laundering, terrorist or proliferation financing; or</li> <li>- Doubt about the veracity or adequacy of previously obtained client identification data.</li> </ul> </li> </ul> </li> </ul> <p>or</p>
	<ul style="list-style-type: none"> <li>(iv) Where the Government through the Law Society has issued notices informing Members of situations which may present a high risk of money laundering or terrorist financing.</li> <li>▪ <b>How:-</b> Conduct enhanced due diligence as set out in paragraphs 122 – 125.</li> </ul>

C9.2. Did the Legal Practice apply EDD measures to a business relationship or transaction that, by its nature, presents a high risk of money laundering or terrorist financing taking? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

C10. Did the Legal Practice establish and maintain effective procedures for determining whether a client or beneficial owner of a client is a non-Hong Kong Politically Exposed Person ("PEP") and, if applicable, apply EDD measures set out in paragraph 122 of the PDP? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

Paragraph 122 of the PDP:

**Enhanced client due diligence**

122. Where enhanced due diligence is required in applicable situations or in respect of clients considered as "high risk", additional measures must be applied by solicitors, including:-
- 122.1 requiring approval from the management or senior partner to establish the business relationship or to continue an existing business relationship; and either
- 122.2 taking reasonable measures to establish the relevant client's or beneficial owner's source of wealth and the source of funds that will be involved in the business relationship; or
- 122.3 taking additional measures to mitigate the risk of money laundering and terrorist financing involved (e.g. by obtaining and verifying further details on the transaction(s) to be undertaken, their underlying purpose and parties involved); and
- 122.4 conducting enhanced on-going monitoring of the business relationship.

C11. Did the Legal Practice take reasonable measures to determine whether a client or a beneficial owner of a client is a Hong Kong PEP or an international organisation PEP and apply EDD measures set out in paragraph 124 of the PDP in a situation where the Hong Kong or the international organisation PEP presents a higher risk of money laundering or terrorist financing? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

Paragraph 124 of the PDP:

124. In relation to Non-Hong Kong and other high-risk PEPs and persons, companies and government organisations clearly related to them, additional measures must be taken by solicitors including:-
- 124.1 taking reasonable measures to establish the source of wealth and source of funds of such persons;
- 124.2 requiring approval from the management or a partner of the firm before accepting instructions; and
- 124.3 conducting enhanced on-going monitoring of the business relationship with such persons.

C12. Did the Legal Practice carry out additional measures to mitigate the risk associated with clients not physically present for identification purposes? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

C13. Did the Legal Practice ensure compliance with the requirements set out in paragraphs 118.1 and 118.2 of the PDP when relying on client identification and verification conducted by specified intermediaries, including any overseas office of the firm? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

Paragraph 118.1 and 118.2 of the PDP:

118. Law firms may rely on client identification and verification conducted by specified intermediaries (including an overseas office of the firm) in respect of clients referred by them, provided that the following are satisfied:-

- 118.1 the specified intermediary is adequately regulated or supervised, and has appropriate measures in place to comply with the client identification and verification requirements (e.g. banks, other law firms or professionals such as accountants); and
- 118.2 copies of the client identification and verification documents must be obtained from the specified intermediary and kept as a record. Where the intermediary is an overseas office of the firm, the firm may choose not to obtain copies of such documents if they are readily available from the overseas office upon request but the client identity information must be obtained.

C14. Did the Legal Practice conduct ongoing CDD by reviewing from time to time documents, data and information that have been obtained by the Legal Practice in relation to clients considered as (i) "high risk", or (ii) where there are changes to instructions or a relationship between the client and relevant party(ies) which give rise to suspicion to ensure they are up-to-date and relevant? \*

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

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## Section D - AML/CTF Compliance Measures

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D1. Did the Legal Practice put in place appropriate AML/CTF policies and procedures to ensure compliance with the Mandatory Requirements set out in Section A (Table of Mandatory Requirements), and paragraphs 22 -33 of the PDP?

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

D2. Did the Legal Practice arrange for all new and existing staff to receive adequate AML/CTF training, either through internal programs or by attending courses provided by external training providers, including those either developed by the Legal Practice or offered by the Law Society of Hong Kong?

Such training should cover the identification and handling of suspicious transactions, updates on relevant legal and regulatory requirements, the Legal Practice's own AML/CTF policies and procedures, and emerging trends in money laundering, terrorist financing, and proliferation financing techniques.

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

D3. Did the Legal Practice keep the following documents and records of clients' identification and due diligence for the period as follows:

- (i) Conveyancing matters – 15 years
- (ii) Tenancy matters – 7 years
- (iii) Other matters, except criminal cases – 7 years
- (iv) Criminal cases – 5 years from expiration of any appeal period
- (v) Records of transactions which are subject to suspicious transaction report ("STR") and investigation - until the relevant authority confirms case closure.

- ☐ Yes
- ☐ No
- ☐ Not Applicable – please elaborate

D4. Did the Legal Practice check from time to time the Law Society's AML resources and updates published on its website to stay informed and to obtain relevant information?

The Law Society's AML website:

<https://www.hklawsoc.org.hk/en/Support-Members/Professional-Support/AML/AML-Resources>

- ☐ Yes
- ☐ No
- ☐ Comments

D5. Would the Legal Practice like to receive the AML/CTF training delivered by the Law Society's AML team, focusing on the application of AML/CTF requirements and the Law Society's compliance tools?

- ☐ Yes
- ☐ No
- ☐ Comments

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**Thank you for taking the time to complete this  
AML/CTF Self-Assessment Form.**

Before submitting the form, do you have any comments or questions for the Law Society that you would like to share?

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