

Form 2

AML Details - to be filled by Life Insurers**Purpose and Objective**

This form contains AML compliance data for life insurers
Frequency is quarterly

Filters and Parameters

Year

Quarter

Name of Insurer

#	Particulars	Number
	Column Code	a
1	Total new business during the period	
	Linked	
	Non-linked	
2	Proportion of Health Portfolio in New business- Volume and Percent	
3	No. of policies where documents are collected post issuing the policy (eg., non face-to-face business etc.,)	
4	Proportion of direct marketing in new business during the period	
5	No. of cases where exemption on photograph and address proof was given during the period	
6	No. of policies underwritten for more than Rs. 1 lakh premium	
7	No. of transactions where premium is paid by other than the insured	
8	No. of contracts with PEPs	
9	No. of cash transactions beyond ₹ 10 lakhs/ transaction during the period	
10	No. of integral cash transactions beyond ₹ 10 lakh during the period	
11	No. of STRs reported to FIU - break ups for individual and legal entities	
12	No. of cash based suspicious transactions reported to FIU-IND	
13	No. of CCRs to FIU-IND	
14	No. of reports on receipts in NPO's accounts	
15	No. of attempted transactions reported as STRs during the period	
16	No. of cases verified for suspicious nature in the form of avoidance of PAN details. No. of such cases reported to FIU	
17	No. of cases where Form 60/61 obtained	
18	No. of matches found based on UNSC lists	
19	No. of matches reported under UAPA	

20	Free-look cancellations (premium refunded)	
21	No. of third party assignments	
22	No. of requests received from domestic authorities for customer information; No. of cases where information was provided	
23	Details of training imparted – Agents/Corp.Agents/Employees	
	Number trained during the period – for each of the categories	
	Whether in-house or external	
	Indicate the number of new persons trained	
24	No. of cases where action was initiated on employees/agents/corp. agents for AML/CFT violations	
25	No. of cases where penalties were imposed on employees/ agents/ corp. agents—monetary, suspension/termination etc for AML /CFT issues	
26	Number of internal audits/inspections conducted during the period on AML/CFT compliance	

