

Form 3

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

This form contains AML compliance data for General Insurers  
Frequency is quarterly

**Filters and Parameters**

Year

Quarter

Name of Insurer

#	Particulars	Number
	Column Code	a
1	No. of claims/refunds more than ₹ 1 lakh	
2	No. of policies underwritten for more than ₹ 1 lakh premium	
3	Proportion of Health portfolio to total business during the period (Volume & percentage)	
4	Proportion of Direct Marketing to total business during the period	
5	No. of transactions where premium is paid by other than the insured	
6	No. of contracts with PEPs	
7	No. of cash transactions beyond ₹ 10 lakh / transaction during the period	
8	No. of integral cash transactions beyond ₹ 10 lakh during the period	
9	No. of cash transactions reported to FIU– break ups for individual and legal entities	
10	No. of STRs reported to FIU - break ups for individual and legal entities	
11	No. of cash based suspicious transactions reported to FIU-IND	
12	No. of CCRs to FIU-IND	
13	No. of reports on receipts in NPO's accounts	
14	No. of attempted transactions reported as STRs during the period	
15	No. of cases verified for suspicious nature in the form of avoidance of PAN details. No. of such cases reported to FIU	
16	No. of matches found based on UNSC lists	
17	No. reported under UAPA	
18	No. of third party assignments	
19	No. of requests received from domestic authorities for customer information; No. of cases where information was provided	
20	Details of training imparted – Agents/Corp.Agents/Employees	
20.1	Number trained during the period – for each of the categories	
20.2	Whether in-house or external	
20.3	Indicate the number of new persons trained	
21	No. of cases where action was initiated on employees/agents/corp. agents for AML/CFT violations	
22	No. of cases where penalties were imposed on employees/ agents/ corp. agents–monetary, suspension/termination etc	
23	Number of internal audits/inspections conducted during the period on AML/CFT compliance	