

Tax Justice Network - Questionnaire to the Financial Intelligence Unit

1: How many of each of the following types of entity or professional individuals are registered in your territory at the end (31 of December) of the most recent year for which you have data? **Please write down the numbers** in the corresponding boxes. We are seeking this information either because we have not been able to secure from public sources or to verify that available from sources we have been able to find.

Type of Entity / Professional:	Number of:	Year:
Banks		
Trust and Company Service Providers		
Lawyers		
Accountants		
Investment advisers		
Insurance companies		
Fund managers		
Investment Funds		

2: How many Suspicious Transaction Reports (STR, STA or equivalent) have been filed in the last years by each of the reporting sources? **Please write down the numbers** in the corresponding boxes.

Principal Reporting Source:	Number of STRs:		
	2007	2008	2009
Banks			
Trust and Company Service Providers			
Lawyers			
Accountants			
Investment advisers			
Insurance companies			
Fund managers			
Investment Funds			
Other			

3: Are Suspicious Transaction Reports (STRs or equivalents) systematically stored in a digital database? **Please tick:**

Answer:	Please tick:
Yes	
No	

3.1: If the answer to the previous question was 'no', **please provide the reason** (e.g. lack of resources, data protection issues, etc.) in the box below:

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4: On how many occasions did you (the national Financial Intelligence Unit) contact your foreign counterparts (other FIUs) for the purpose of an ongoing investigation, and how many times were you contacted to the same end by your foreign counterparts? **Please write down the numbers** in the corresponding boxes below.

International Cooperation among FIUs	Number of queries:		
	2007	2008	2009
Queries initiated:			
Queries received:			
Queries satisfactorily answered by foreign FIU:			
Queries left unanswered by foreign FIU:			
Queries left unanswered by own FIU:			

4.1: How would you describe the general quality of cooperation and support among anti-money laundering units across countries, both within and beyond the Egmont-Group? **Please write down your answer** in the box below.

5: How many Suspicious Transaction Reports (STR; or equivalent) resulted in an investigation in each year? **Please write down the numbers** in the corresponding boxes below.

Year:	Number of STRs resulting in investigation:
2007	
2008	
2009	

6: How many prosecutions for money laundering were initiated each year? **Please write down the numbers** in the corresponding boxes below.

Year:	Number of prosecutions:
2007	
2008	
2009	

7: How many guilty verdicts for money laundering did you record in each year? **Please write down the numbers** in the corresponding boxes below.

Year:	Number of guilty verdicts:
2007	
2008	

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2009	
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8: What value of assets has been frozen (seized/confiscated) as a result of money-laundering investigations (and prosecutions, etc.) in each year? **Please write the value and the currency** in the corresponding boxes below.

Year:	Amount:	Currency:
2007		
2008		
2009		

9. Is domestic tax evasion a predicate offence under your money laundering regulations/legislation? **Please write down your answer** in the corresponding boxes below.

Domestic Tax Evasion is Predicate Crime?	
Yes, since the year:	
No	

10: Is tax evasion committed in a foreign jurisdiction a predicate offence under your money laundering regulations/legislation? **Please write down your answer** in the corresponding boxes below.

Foreign Tax Evasion is Predicate Crime?	
Yes, since the year:	
No	

10.1: If tax evasion committed in a foreign jurisdiction is a predicate crime under your applicable law and regulations, how many STRs (Suspicious Transaction Reports; or equivalent) have been submitted concerning this particular crime (foreign tax evasion)? **Please write down the numbers** in the corresponding boxes below.

Year:	Number of STRs:
2007	
2008	
2009	

11: How many prosecutions for money laundering with the precedent crime of foreign tax evasion did you record? **Please write down the numbers** in the corresponding boxes below.

Year:	Number of prosecutions:
2007	
2008	
2009	

12: How many guilty verdicts for money laundering with the precedent crime of foreign tax evasion did you record in each year? **Please write down the numbers** in the corresponding boxes below.

Year:	Number of guilty verdicts:
2007	
2008	
2009	

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13: How many people are employed by the Financial Intelligence Unit (FIU) or its equivalent, and how did it change over time? **Please write down the numbers in the corresponding boxes below.**

Year:	Number of staff:
2007	
2008	
2009	

14: Under what law and paragraph are the board members (or equivalents) of banks criminally liable if their institution launders money? **Please write down the applicable laws and paragraphs.**

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15: Under what law and paragraph does your jurisdiction ensure that correspondent banking arrangements are not entered into with shell banks? **Please write down the applicable laws and paragraphs.**

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15.1: How many investigations did arise because of this regulation as a result of which registered entities were required to change their modus operandi? **Please write down the numbers in the corresponding boxes below.**

Year:	Number of investigations:
2007	
2008	
2009	

16: May we contact you for further enquiries? **Please tick.**

Answer:	Please tick:
Yes	
No	

17. Please write down your position and affiliation and, if possible, your name and contact details in the corresponding boxes below.

Position:	Name:
Institution / affiliation	
Name / Contact Details	

18. Please sign the box below to confirm that we may make use of the information provided for research purposes and that the information is accurate to your best belief:

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