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## Overview

This standard is about making sure that requests for financial information from your organisation are made by a person or agency entitled to it, and that they are accompanied by the correct paperwork or instructions. Requests for information may come, as examples, via Court Orders or from the Fraud Investigation Service of the Department of Work and Pensions. You must respond to valid requests within specified timescales and ensure that 'tipping off' does not occur. You must store records securely and ensure that they are only available to authorised persons.

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## Performance criteria

*You must be able to:*

1. determine whether the agency and the person within the agency making a request for information is entitled to it
2. check requests are accompanied by the correct paperwork or instruction
3. review previous dealings with the affected subject or accounts to consider if a suspicious activity report is required
4. respond to requests with all pertinent information that falls within the scope of the request
5. respond to requests for information within specified timescales or agreed revised ones
6. handle clients about whom information has been requested appropriately and that tipping-off, where proscribed under the applicable legislation, does not occur
7. store records and information about requests from relevant authorities securely and for the required time, and ensure that they are available only to authorised persons and in line with relevant legislation and regulations
8. review orders to ensure they are still valid
9. take appropriate steps to avoid unauthorised access or release of information or any breach of restrictions imposed in line with relevant legislation and regulations

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## Knowledge and understanding

*You need to know and understand:*

1. persons and/or agencies entitled to make a request for information, and the type of information they are entitled to
2. any timescales – including by law – within which you must respond to a request for information
3. procedures to use to confirm that a request is from an authorised person or agency
4. what paperwork or instructions are needed to support a request
5. how to determine what information falls within the scope of a request
6. how to manage communications with clients and other interested parties about whom you have been asked for information, and how to avoid ‘tipping-off’ and prejudicing the investigation in any way
7. how to escalate and manage requests for information
8. the appropriate safe storage of records and information
9. what controls to use to avoid unauthorised access or release of information or a breach of any restrictions imposed
10. why it is important to regularly review orders to determine if they are still valid
11. your organisation’s requirements relating to the application of codes, laws regulatory requirements and guidance, including data protection, as they impact on your activities

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## Glossary

### **Anti-money laundering and counter terrorist financing measures**

This encompasses all required policies, procedures and systems as well as the requirement for regulated organisations to apply enhanced customer due diligence and enhanced ongoing monitoring on a risk-sensitive basis in certain defined situations and any other situations which present a higher risk of Money Laundering or Terrorist Financing.

### **Relevant authorities**

This should be extended to all jurisdictions which have control over the organisations, including regulatory, statutory, legal, investing, licensing, issuing and supervisory authorities.

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