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AML/CTF Compliance Officer Appointment Checklist

Proposed AML/CTF Compliance Officer Name:

Date:

Person completing checklist:

Item	Requirement	Yes/No/Comment
Eligibility Criteria		
1.	The relevant individual is employed or engaged by us at management level.	
2.	The relevant individual has sufficient authority, independence and access to resources and information to ensure they can perform the functions of an AML/CTF Compliance Officer effectively.	
3.	The relevant individual is a resident of Australia.	
4.	The individual has the necessary competence, skills, knowledge, diligence, expertise and soundness of judgment to properly perform the duties of the AML/CTF Compliance Officer. [Add any notes about how you have formed your view on this, including additional support provided to the individual]	
5.	The individual has the attributes of good character, honesty and integrity. [Add any notes about how you have formed your view on this, i.e. character reference(s) obtained]	
6.	Has the individual been convicted of a serious offence? [Add any notes about how you have formed your view on this. i.e. police check obtained]	
7.	Has the individual been the subject of civil or criminal proceedings or a regulatory or disciplinary process in Australia or a foreign country that: a) related to the management of an entity, or commercial or professional activity; and b) involved an adverse finding as to the individual's competency, diligence, judgement, honesty or integrity? ¹ [Add any notes about how you have formed your view on this. i.e. declaration by the individual]	
8.	Is the individual an undischarged bankrupt under the law of Australia or a foreign country? [Add any notes about how you have formed your view on this. i.e. bankruptcy check and/or declaration by the individual]	

¹ Refer to *Fit and Proper Declaration (AML/CTF Compliance Officer)* to support this.

Item	Requirement	Yes/No/Comment
9.	<p>Has the individual executed a personal insolvency agreement under Part X of the Bankruptcy Act 1966 or a similar law of a foreign country?</p> <p>[Add any notes about how you have formed your view on this. i.e. bankruptcy check and/or declaration by the individual]</p>	
10.	<p>Does the individual have any conflict of interest that will create a material risk that the individual will fail to properly perform the duties of the AML/CTF Compliance Officer?</p> <p>[Add any notes about how you have formed your view on this. i.e. declaration by the individual]</p>	
Appointment Process		
11.	Does the proposed AML/CTF Compliance Officer understand what is involved in their role?	
12.	Has our Governing Body resolved to appoint AML/CTF Compliance Officer?	
13.	<p>Have you updated DCP personnel records including completing ALL fields in the personnel entry?</p> <p><i>Note: The personnel record will prompt you to complete the training requirements for the AML/CTF Compliance Officer.</i></p>	
14.	Have you updated our AUSTRAC business profile (note for reporting groups, you will need to update the business profile for each member of the group for which the AML/CTF Compliance Officer will be the AML/CTF Compliance Officer.	

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November 2025

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