99089148261000, 99089148261000

# Receiving complaints in the context of money laundering supervision



| Modul | Sachverhalt |
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| **Leistungsschlüssel** | 99089148261000, 99089148261000 |
| **Leistungsbezeichnung I** | Receiving complaints in the context of money laundering supervision |
| **Leistungsbezeichnung II** | Complaint about disadvantages due to a suspicious activity report or internal report |
| **Typisierung** | 1 - Bund: Regelung und Vollzug, 3 - Bundesaufsichtsverwaltung: Regelung |
| **Quellredaktion** | Nordrhein-Westfalen |
| **Freigabestatus Katalog** | fachlich freigegeben (gold) |
| **Freigabestatus Bibliothek** | unbestimmter Freigabestatus |
| **Begriffe im Kontext** | |
| **Leistungstyp** | Leistungsobjekt mit Verrichtung |
| **Leistungsgruppierung** | Sicherheit und Ordnung (089) |
| **Verrichtungskennung** | Entgegennahme (261) |
| **SDG-Informationsbereich** | Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und |

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| | Führung eines Unternehmens |
| Lagen Portalverbund | Beschwerden und Petitionen (2140200), Gerichtliche Entscheidungen (2140300) |
| Einheitlicher Ansprechpartner | Nein |
| Fachlich freigegeben am | 03.08.2022 |
| Fachlich freigegen durch | Ministry of Economic Affairs, Industry, Climate Protection and Energy of the State of North Rhine-Westphalia |
| Handlungsgrundlage | |
| Teaser | If you suffer disadvantages following a suspicious activity report or an internal report to your employer, you can lodge a complaint with the competent supervisory authority. |
| Volltext | If there are facts indicating that<br>• an asset associated with a business relationship, brokerage or transaction originates from a criminal offense that could constitute a predicate offense to money laundering<br>• a business transaction, a transaction or an asset is related to terrorist financing, or<br>• the contracting party has not fulfilled its obligation to disclose to the obliged entity whether it intends to establish, continue or carry out the business relationship or transaction for a beneficial owner,<br>the obliged entity must immediately report this fact to the Financial Intelligence Unit (FIU), irrespective of the value of the asset concerned or the amount of the transaction.<br>If you are exposed to a disadvantage in connection with your employment relationship due to the submission of a suspicious activity report to the FIU or due to the internal reporting of such facts to the obliged entity, you have the right to lodge a complaint with the competent supervisory authority.<br>Legal action remains unaffected by the complaints procedure.<br>The complaint is made via a protected communication channel. |

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| **Erforderliche Unterlagen** | none |
| **Voraussetzungen** | • You have submitted a suspicious activity report to the FIU or an internal report of suspicious circumstances to your employer<br>• As a result of this report, you are at a disadvantage in connection with your employment relationship |
| **Kosten** | none |
| **Verfahrensablauf** | • The complainant submits the complaint to the competent supervisory authority<br>• The complaint is examined by the competent authority<br>• The competent authority may take supervisory measures<br>• The complainant is informed at the end of the procedure |
| **Bearbeitungsdauer** | Expected 1-3 months |
| **Frist** | none |
| **weiterführende Informationen** | |
| **Hinweise** | |
| **Rechtsbehelf** | |
| **Kurztext** | • Complaint about disadvantages due to a suspicious activity report or internal report<br>• Persons who are exposed to discrimination in connection with their employment relationship due to the submission of a suspicious activity report to the FIU or due to the internal reporting of a matter to their employer have the right to lodge a complaint with the competent supervisory authority<br>• Responsible: District regulatory authority |
| **Ansprechpunkt** | |
| **Zuständige Stelle** | |
| **Formulare** | • Forms: yes, confidential information system of the supervisory authority, Section 49 para. 5 sentence 3 in conjunction with Section 53 para. § Section 53 para. 1 |

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| | sentence 2 GwG<br>• Online procedure possible: yes<br>• Written form required: no<br>• Personal appearance required: no |
| **Ursprungsportal** | Beschwerde wegen Nachteilen aufgrund einer Verdachtsmeldung oder internen Meldung, Receiving complaints in the context of money laundering supervision |