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Receiving complaints in the context of money laundering supervision

Heruntergeladen am 24.05.2025

<https://fimportal.de/xzufi-services/121380302/L100002>

Modul	Sachverhalt
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 freigegeben durch	Ministry of Economic Affairs, Industry, Climate Protection and Energy of the State of North Rhine-Westphalia
Handlungsgrundlage	[§ Section 49 (5) of the Money Laundering Act (GwG)](https://www.gesetze-im-internet.de/gwg_2017/_49.html) [§ Section 53 (5a) of the Money Laundering Act (GwG)](http://www.gesetze-im-internet.de/gwg_2017/_53.html)
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 1. an asset associated with a business relationship, brokerage or transaction originates from a criminal offense that could constitute a predicate offense to money laundering 2. a business transaction, a transaction or an asset is related to terrorist financing, or 3. 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, 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.

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	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. Legal action remains unaffected by the complaints procedure. The complaint is made via a protected communication channel.
Erforderliche Unterlagen	none
Voraussetzungen	• You have submitted a suspicious activity report to the FIU or an internal report of suspicious circumstances to your employer • 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 • The complaint is examined by the competent authority • The competent authority may take supervisory measures • 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 • Persons who are exposed to discrimination in

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	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 • 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. 5 Section 53 para. 1 sentence 2 GwG • Online procedure possible: yes • Written form required: no • Personal appearance required: no
Ursprungsportal	Beschwerde wegen Nachteilen aufgrund einer Verdachtsmeldung oder internen Meldung, Beschwerden im Rahmen der Geldwäscheaufsicht Entgegennahme, Receiving complaints in the context of money laundering supervision, Beschwerden im Rahmen der Geldwäscheaufsicht Entgegennahme