

Title 31 compliance checklist for tribal casinos

Use this checklist to evaluate your AML program

Title 31/AML checklist

- ☐ Maintain a comprehensive, written AML program
- ☐ Conduct an annual independent review of the program
- ☐ Complete and document an annual AML risk assessment
- ☐ Establish procedures for identifying and investigating suspicious activity
- ☐ Establish know your customer (KYC) procedures
- ☐ Designate an AML compliance officer to oversee the program
- ☐ Ensure CTRs and SARs are filed accurately and on time
- ☐ Verify transaction monitoring systems are aggregating activity correctly
- ☐ Maintain organized records and supporting documentation
- ☐ Establish an AML committee that regularly reviews risks, trends and compliance efforts

How Wipfli can help

At Wipfli, we help tribal casinos strengthen AML programs by performing independent compliance reviews and risk assessments. We can also help write your AML program, provide employee training and monitor your compliance on an ongoing basis.

[Contact us to learn more](#)