



**I V A S S**  
ISTITUTO PER LA VIGILANZA  
SULLE ASSICURAZIONI



Instructions for the electronic transmission on the **Infostat** platform

**AML – Anti Money Laundering**  
**Anti money laundering**  
**IVASS REGULATION NO. 50 OF 03 May 2022**  
**IVASS REGULATION NO. 44 OF 12 February 2019**

Version 3.0

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## 1. Data collection and transmission frequency

This document refers to the letter to the market dated November 29, 2022 (ref. No. 0228212/22) on the new protocol for requesting information on the insurance business carried out in Italy in the life insurance classes in order to assess the risks of money laundering and terrorist financing under IVASS Regulation No. 44 of February 12, 2019, and on the insurance business carried out in Italy with respect to premium income in non-life business under IVASS Regulation No. 50<sup>1</sup> of May 3, 2022. The document provides instructions for the transmission of annual periodic reports as set forth in the aforementioned Regulations.

The companies required to report are:

- insurance undertaking authorised in Italy or Italian insurance undertaking: insurance undertakings having their head office in Italy and branches in Italy of insurance undertakings having their head office in a third State;
- EU insurance undertakings: undertakings with head office and central administration in a member State of the European Union other than Italy or in a State belonging to the European Economic Area, authorised to pursue business in Italy under the right of establishment or the freedom to provide services;

Insurance undertakings operating in life line-of-business in Italy by way of freedom of services and all insurance undertakings operating only in non-life line-of-business are required to fill in section 5 only.

This submission must be made by June 30 of each year with data referring to the previous calendar year.

All the prescribed reporting requirements must be fulfilled exclusively on-line in the manner described below.

## 2. Compilation of XML files and data transmission

Transmission of annual periodic AML reports involves sending a set of data structured in a stream formatted in XML.

Exchanges of information between companies and IVASS are carried out exclusively through the Infostat platform. With regard to the instructions necessary for accreditation, refer to the guidance provided in the following links to the Accreditation Form for other Surveys:

**Italian version:** [https://www.ivass.it/operatori/imprese/raccolta-dati/infostat/Modulo\\_accreditamento\\_altre\\_Survey.docx?force\\_download=1](https://www.ivass.it/operatori/imprese/raccolta-dati/infostat/Modulo_accreditamento_altre_Survey.docx?force_download=1)

**English version:** [https://www.ivass.it/operatori/imprese/raccolta-dati/infostat/Registration\\_to\\_the\\_INFOSTAT\\_platform.docx?language\\_id=3&force\\_download=1](https://www.ivass.it/operatori/imprese/raccolta-dati/infostat/Registration_to_the_INFOSTAT_platform.docx?language_id=3&force_download=1)

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<sup>1</sup> Identified hereafter in this document simply as Regulations.

General directions on the use of the procedure for collecting information are available in the “[Infostat User Manual](#)”<sup>2</sup> available on the IVASS website.

For the transmission of reports, companies already approved with Infostat do not have to proceed to a new accreditation on the platform<sup>3</sup>. The company's internal manager can, in fact, delegate each user already active in Infostat to send reports for multiple surveys and therefore also those for AML and/or can enable new ones for the management of the AML survey, using the specific function in Infostat.

With particular reference to EU insurance companies, operating in Italy by way of establishment or of free provision of services, please note that, if they have not already sent reports to IVASS in Infostat, they may not have the necessary authorizations to send the data they are required to report through the new collection channel. In this case, such companies will have to carry out the registration and accreditation procedure on the Infostat platform by first registering at <https://infostat-ivass.bancaditalia.it> and then sending the properly filled out accreditation form<sup>4</sup> to the e-mail box [studi.gestionedati@pec.ivass.it](mailto:studi.gestionedati@pec.ivass.it), with the following in the subject line: “Infostat – licence application for AML survey”.

The sending of reports through the Infostat platform normally takes place by invoking an application (so-called Application-to-Application or A2A mode) of a Web Service whose specifications are available in the [relevant manual](#)<sup>5</sup> available on the Bank of Italy website. In addition, reports can also be sent manually (so-called User-to-Application or U2A mode) by uploading files containing the report data through the specific function made available by the [web](#)<sup>6</sup> interface of the IVASS Infostat platform.

The format to be used for the production of reports, containing structured data, is XML<sup>7</sup> (eXtensible Markup Language). This format is characterized by the presence of markers, called TAGs, which allow the identification of the transmitted data. In particular, the XML to be produced is of the standard type provided by Infostat.

The data, identified by TAGs and sent via XML files, are organized into data structures, typical of the Infostat format, called "cubes". In its turn, a cube, identified by specific TAGs, is made up of a series of heterogeneous elements, called "fields," which represent the variables to be reported. The characteristics of the different variables in the cubes, contained in the fields, as well as their type, are specified in paragraph no. 5; The allowed values (domains in use) for the elements of the reported data structures are specified in the METADATA (DOMAINS) list in paragraph no. 6. For a more detailed explanation of the data organization envisaged for this

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<sup>2</sup> [https://www.ivass.it/operatori/imprese/raccolta-dati/infostat/manuale\\_utente\\_infostat\\_IT.pdf](https://www.ivass.it/operatori/imprese/raccolta-dati/infostat/manuale_utente_infostat_IT.pdf)

<sup>3</sup> For all surveys other than Solvency II, each company may designate a single internal manager (who can always be replaced, with change of designation).

<sup>4</sup> [https://www.ivass.it/operatori/imprese/raccolta-dati/infostat/Registration\\_to\\_the\\_INFOSAT\\_platform.docx?language\\_id=3&force\\_download=1](https://www.ivass.it/operatori/imprese/raccolta-dati/infostat/Registration_to_the_INFOSAT_platform.docx?language_id=3&force_download=1)

<sup>5</sup> <https://www.bancaditalia.it/statistiche/raccolta-dati/informazioni-generalii/raccolta-internet/ManualeA2AeArtefatti.zip>

<sup>6</sup> <https://infostat-ivass.bancaditalia.it/>

<sup>7</sup> Each XML file should preferably be transmitted in a compressed file (.zip) containing only the XML file (without any folders, etc.).

survey, please refer to the following paragraph 3.1.

All the fields in a cube must be present in the XML file but the order in which these are entered is not relevant.

Data should be transmitted according to the timelines given in paragraph No. 1.

### 3. Surveys that are part of the reporting

The reporting requirements referred to in paragraph No. 1 are fulfilled through the Infostat survey called AML, which collects **structured data** submitted by reporting entities via XML files, in standard Infostat format.

For surveys containing structured data, Infostat allows the sending of a reporting stream in two modes: *diagnostic* and *delivery*.

In *diagnostic* mode, the stream is accepted, the report is verified through all the controls defined for the survey but the information is never captured for the purposes of the reporting requirements. This mode can be used by the reporting entity to verify the reporting stream through the checks defined for the survey but without making the delivery, as the system flags any anomalies found in the submitted flow.

In *delivery* mode the flow, after passing all the checks (see 8 DATA CHECKS) defined for the survey, is always acquired by Infostat for the purpose of reporting obligations.

In general, it is recommended that structured data be first sent in *diagnostic* mode in order to assess any anomalies in the data in good time before proceeding to use the *delivery* mode.

Scadenario delle informazioni richieste per rilevazione

Seleziona il partner:

Rilevazione

Data scadenza	Data contabile	Inizio lavorazione

Funzionalità Data Entry

Funzionalità Upload file


GESTIONE MESSAGGI:

Consegna Diagnostico

Conferme Visualizza

Figure 1 – after selecting the undertaking (partner) and the year of the expiry date, it is possible to select the accounting date and then send the report in delivery/diagnostic mode

Reports sent in both delivery and diagnostic modes and any findings generated as a result of the submission can be viewed by the reporting undertaking in the appropriate "View Messages" section of the Infostat platform.



Consulta Messaggi

Indietro

MESSAGGI RICEVUTI

MESSAGGI INVIATI

Rilevazione:

Reclami Imprese (REI)

Seleziona il partner:

UTENTE TEST 25

Tipo messaggio:

--- Tutti i valori ---

Da:

A:

☐ Messaggio più recente

Cerca

Pulisci

	Rilevazione	Data di produzione	N.ro Protocollo	Data Protocollo	Data di Riferimento	Modalità Inoltro	Tipo messaggio	Messaggio originale
	Reclami Imprese (REI)	2022-05-12 13:18:08	IV202200000000002267	2022-05-12 13:18:28	2021-12-31	Invio Ufficiale	Notifica di diagnostico	IV202200000000002265
	Reclami Imprese (REI)	2022-05-12 13:16:11	IV202200000000002266	2022-05-12 13:16:35	2021-12-31	Invio Ufficiale	Notifica di protocollo	IV202200000000002265
	Reclami Imprese (REI)	2022-05-12 13:06:42	IV202200000000002264	2022-05-12 13:07:03	2021-12-31	Invio Ufficiale	Rilievo	IV202200000000002262
	Reclami Imprese (REI)	2022-05-12 13:04:45	IV202200000000002263	2022-05-12 13:05:08	2021-12-31	Invio Ufficiale	Notifica di protocollo	IV202200000000002262
	Reclami Imprese	2022-05-12	XXXXXXXXXXXXXXXXXXXX	2022-05-12	2021-12-31	Invio Ufficiale	Notifica di protocollo	XXXXXXXXXXXXXXXXXXXX

Figure 2 - detail of messages sent and comments received - NB the figure shows an example screenshot related to a different survey

### 3.1. AML

The AML survey involves the transmission of a structured data set divided into six sections:

- Section 1 – Organization
- Section 2 – Premiums issued
- Section 3 – Benefits paid
- Section 4 – Management and control
- Section 5 – Intermediaries
- Section 6 – Outcome of self-assessment

As mentioned earlier, the communication of structured data in AML is done by using **cubes**. Each section is represented by one or more cubes depending on the complexity of the section. A **cube** is a data structure composed of several heterogeneous elements called **fields**. Each field (also called **variable**) has a **name** and a data **type** (ex: integer, date or alphabetic string). All structured data transmitted in a cube is divided into **identifying data** (key/classification) of the cube itself and **measurement data** that characterizes it.

The **identifying data** is contained in the **variables**:

- CITTA\_SEDE
- CODICE\_RUI
- DATA\_CONTABILE

- ENTE\_SEGN
- INDIRIZZO\_SEDE
- LUOGO\_STIPULA
- NCIVICO\_SEDE
- SEZIONE\_AML
- TIPO\_ENTE
- UNITA\_O\_CATEGORIA
- VOCE\_SEZ1\_D5\_6
- VOCE\_SEZ2
- VOCE\_SEZ3
- VOCE\_SEZ4

**Measurement data** is, instead, contained in the **variables**:

- OTHER
- DESCRIPTION
- DESCRIZIONE\_VOCE\_ALTRA
- INCIDENZA\_PERCENTUALE
- MISURA\_N
- MISURA\_T
- NPOD\_DICUI\_POLIZ\_RM\_10
- NPOD\_DICUI\_POLIZ\_RM\_13
- NPOD\_DICUI\_POLIZ\_RM\_15
- NPOV\_DICUI\_POLIZ\_INDIV\_RM\_MULT
- NPOV\_DICUI\_POLIZ\_INDIV\_RM\_1
- NPOV\_DICUI\_POLIZ\_INDIV\_RM\_3
- N\_RISORSE\_ESCLUSIVE
- N\_RISORSE\_PARZIALI
- NUMERO\_RISORSE
- PERIODO
- PRD\_DICUI\_POLIZ\_RM\_10
- PRD\_DICUI\_POLIZ\_RM\_13
- PRD\_DICUI\_POLIZ\_RM\_15



- PREMI\_DANNI\_TOT
- PREMI\_VITA\_TOT
- PRV\_DICUI\_POLIZ\_COLLETTIVE
- PRV\_DICUI\_POLIZ\_INDIV\_RM\_MULT
- PRV\_DICUI\_POLIZ\_INDIV\_RM\_1
- PRV\_DICUI\_POLIZ\_INDIV\_RM\_3
- RISCHIO\_INTRINSECO
- VOCE\_SEZ1\_D1
- VOCE\_SEZ1\_D2
- VOCE\_SEZ1\_D3
- VULNERABILITA

The cubes included in this collection are:

Section	Name	Description
1	AML_SEZ1_D1	Cube for section 1 question 1
1	AML_SEZ1_D2	Cube for section 1 question 2
1	AML_SEZ1_D3	Cube for section 1 question 3
1	AML_SEZ1_D3_RIPARTIZ	Cube for section 1 question 3 - Information regarding the allocation of resources by office
1	AML_SEZ1_D4	Cube for section 1 question 4
1	AML_SEZ1_D5	Cube for section 1 question 5
1	AML_SEZ1_D5_DESCR	Cube for section 1 question 5 - cube reserved for the descriptive field of the answer
1	AML_SEZ1_D5_RIPARTIZ	Cube for section 1 question 5 breakdown - information regarding the breakdown of training by organizational structure
1	AML_SEZ1_D6	Cube for section 1 question 6
1	AML_SEZ1_D6_DESCR	Cube for section 1 question 6 - cube reserved for the descriptive field of the answer
2	AML_SEZ2	Cube for section 2
3	AML_SEZ3	Cube for section 3
4	AML_SEZ4	Cube for section 4
5	AML_SEZ5	Cube for section 5

Section	Name	Description
6	AML_SEZ6	Cube for section 6
	AML_GIUSTIFICATIVO	Justification cube for sections used to describe the reasons for any missing section due to particular reporting

#### 4. Variables to be reported in survey headers

In addition to the cubes, the reporting XML file for the AML survey has a header containing a set of TAGs to be filled in.

The information in the header includes, in particular:

- the Infostat **agreement** composed of the pair {partner, initialDate} necessary to identify the origin of the report.
- two TAGs (survey, type) that must always take a predetermined value.

The following is a description of the TAGs included in the header:

##### **<survey>**

This is the name of the survey for which the report is being submitted. For the survey reporting AML information, this TAG always takes only the value: "AML".

##### **<partner>**

This field must be filled in with the value of the partner field present in the agreement under which reports are submitted. The partner coincides with the IVASS Code (see: [IVASS Supervisory Registers and Lists](#)<sup>8</sup>) of the company, otherwise indicated as ENTE\_SEGN within the cubes<sup>9</sup>.

##### **<initialDate>**

The *initialDate* contains the date of the corresponding field provided in the *agreement*.

The expected format for this field is: YYYY-MM-DD. For example 2021-12-31 to indicate December 31, 2021.

The same value is shown in the survey cubes as DATA\_CONTABILE (with a different format, i.e.: YYYYMMDD) e.g. 20211231 to indicate December 31, 2021. The AML survey is

<sup>8</sup> <https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home>. The IVASS code is an alphanumeric code made up exactly of 5 characters. The IVASS code is made up, for undertakings with head office in Italy or carrying on business by way of establishment, by the sequence of one alphabetic character, three numbers and one alphabetic character, while for those carrying on business by way of free provision of services by the sequence of five numbers.

<sup>9</sup> The IVASS Code reported inside the XML file must be the same as that of the partner associated with the reporting Infostat user.

annual, so in this case the date to be inserted is December 31 of the reporting year<sup>10</sup>.

### <timeProduction>

As regards the timeProduction field, this should be filled in with a timestamp data type (number of milliseconds from "epoch", e.g. 1642675420053) referring to the date of file creation or the date of sending it. In case the same stream is submitted a second time, there is a constraint that the timestamp given in the second stream for the timeProduction field must be subsequent to the first one. For example, the following site may be used to generate a timestamp and to fill the timeProduction field: <https://currentmillis.com/> that can provide the data in the correct format.

### <type>

This TAG must always be filled with the string "SUBSTITUTION."

```
<header>
  <survey>AML</survey>
  <partner>A000S</partner>
  <initialDate>2021-12-31</initialDate>
  <timeProduction>1669391189896</timeProduction>
  <type>SUBSTITUTION</type>
</header>
```

Figure 3 - Example of header

## 5. AML survey cubes and related variables

Below are the descriptions of the cubes that make up the survey and the related variables they contain, with an indication of their type (TYPE). Where a variable is mandatory, it is indicated in the appropriate column (MANDAT.). Mandatory variables are those for which the above column assumes the value: "YES". For optional variables, i.e. those for which it is possible not to specify any value, the convention mark "" should be used to indicate the absence of value inside the XML file.

```
<dim name="VAR1" value="" />
```

Figure 4 - How to indicate the absence of value for an optional variable.

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<sup>10</sup> For example, for reports to be transmitted in June 2023 insert 2022-12-31 as *initialDate*

Variables of the DATA type should be indicated using the format YYYYMMDD. The first four digits indicate the year, the next two the month, and the remaining two the day.

When sending all the information required for a report, it may be necessary to transmit only one instance of a cube or multiple instances of the same. An instance is defined as a cube that has values entered for its variables. For example, when transmitting Section 5 information, only the AML\_SEZ5 cube is used, but in a report the instances of the AML\_SEZ5 cube will be many, one for each intermediary the undertaking intends to report.

### 5.1. AML\_SEZ1\_D1

AML\_SEZ1\_D1 is the cube through which it is possible to answer question 1 of section 1 intended to know who, within the undertaking, performs the AML function.

Only one instance of this cube can be transmitted for each report.

VARIABLE	TYPE	ROLE	MANDAT.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF.	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF.	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>11</sup> ).
VOCE_SEZ1_D1	VOCI_AML_SEZ1_D1	MISURA	YES	The code of the item identifying the response (see <b>Errore. L'origine riferimento non è stata trovata.</b> )
DESCRIPTION	Alphanumeric max 4000 characters	MISURA	YES	Brief description with information deemed useful to better capture the business reality compared to "closed" answers.

### 5.2. AML\_SEZ1\_D2

AML\_SEZ1\_D2 is the cube through which it is possible to answer question 2 of section 1

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<sup>11</sup> <https://infostat-ivass.bancaditalia.it/RIGAIquiry-public/ng/#/home>.

intended to know whom the AML function reports to.

Only one instance of this cube can be transmitted for each report.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>12</sup> ).
VOCE_SEZ1_D2	VOCI_AML_SEZ1_D2	MISURA	YES	The code of the item identifying the response (see 6.2)
DESCRIZIONE_VOCE_ALTRA	Alphanumeric max 100 characters	MISURA	NO	Description of the item to be valued only in case you have selected the item code: "05 - other"
DESCRIPTION	Alphanumeric max 4000 characters	MISURA	YES	Brief description with information deemed useful to better capture the business reality compared to "closed" answers.

### 5.3. AML\_SEZ1\_D3

AML\_SEZ1\_D3 is the cube through which it is possible to answer question 3 of section 1 intended to know where the AML function is situated.

Only one instance of this cube can be transmitted for each report.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>13</sup> ).
VOCE_SEZ1_D3	VOCI_AML_SEZ1_D3	MISURA	YES	The code of the item identifying the response (see 6.3)
DESCRIZIONE_VOCE_ALTRA	Alphanumeric max 100 characters	MISURA	NO	Description of the item to be valued only in case you have selected the item code: "04 - other"
DESCRIPTION	Alphanumeric max 4000 characters	MISURA	YES	Brief description with information deemed useful to better capture the business reality compared to "closed" answers.

#### 5.4. AML\_SEZ1\_D3\_RIPARTIZ

AML\_SEZ1\_D3\_RIPARTIZ is the cube by which the breakdown by location of the resources allocated to the AML function (question 3 of section 1) can be indicated. This information was previously requested, in free format, as part of the brief description of the answer to the question.

Multiple instances of this cube can be transmitted for each report. Each instance corresponds to a location where resources allocated to the AML function work. The number of instances of reported cubes is therefore not predetermined.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.

<sup>13</sup> <https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home>.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>14</sup> ).
CITTA_SEDE	Alphanumeric max 100 characters	CLASSIF .	YES	The town where the office is located.
INDIRIZZO_SEDE	Alphanumeric max 100 characters	CLASSIF .	YES	The address of the office.
NCIVICO_SEDE	Alphanumeric max 20 characters	CLASSIF .	YES	The street number of the office (indicate "snc" if the office has no street number).
NUMERO_RISORSE	Whole number from 1 to 9999999	MISURA	YES	The number of resources of the AML function working in the office. In the case of part-time staff, indicate the full-time equivalent number <sup>15</sup> .

### 5.5. AML\_SEZ1\_D4

AML\_SEZ1\_D4 is the cube through which it is possible to answer question 4 of section 1 intended to know how many resources are allocated to the AML function.

Only one instance of this cube can be transmitted for each report. Therefore, the answer is unique. Compared to the past, it is no longer necessary for question 4 to report the name of the person in charge of the function and his or her email address. This information, in fact, must be reported to the Register of Insurance Undertakings and Groups (RIGA) through the channel expressly provided for this purpose. Companies are therefore required to enter and keep up to date the name of the person in charge of the function and his or her email address in the said system.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.

<sup>14</sup> <https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home>.

<sup>15</sup> Round down any decimal number to the nearest whole number.

VARIABLE	TYPE	ROLE	MANDAT.	DESCRIPTION
ENTE_SEGN	AZIENDA_IVASS	CLASSIF	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>16</sup> ).
N_RISORSE_ESCLUSIVE	Whole number from 1 to 9999999	MISURA	YES	Number of staff exclusively dedicated to the function.
N_RISORSE_PARZIALI	Whole number from 1 to 9999999	MISURA	YES	Number of part-time staff dedicated to the function (indicate the full-time equivalent number)
DESCRIPTION	Alphanumeric max 4000 characters	MISURA	YES	Brief description with information deemed useful to better capture the business reality compared to "closed" answers.

#### 5.6. AML\_SEZ1\_D5

AML\_SEZ1\_D5 is the cube through which it is possible to answer question 5 of section 1 intended to know how many resources have been trained for the AML function.

Multiple instances of this cube can be transmitted for each report. Each instance is identified by the corresponding item (see 6.4).

VARIABLE	TYPE	ROLE	MANDAT.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF.	YES	Last day of the reporting year.

<sup>16</sup> <https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home>.



VARIABLE	TYPE	ROLE	MANDAT.	DESCRIPTION
ENTE_SEGN	AZIENDA_IVASS	CLASSIF.	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>17</sup> ).
VOCE_SEZ1_D5_6	VOCI_AML_SEZ1_D5_6	CLASSIF.	YES	The code of the item identifying the response (see 6.4)
NUMERO_RISORSE	Whole number from 1 to 9999999	MISURA	YES	The number of resources that have attended training courses regarding the AML function.

### 5.7. AML\_SEZ1\_D5\_DESCR

AML\_SEZ1\_D5\_DESCR is the cube through which it is possible to provide a brief description for the answer to question 5 in section 1.

Only one instance of this cube can be transmitted for each report.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF.	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF.	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>18</sup> ).

<sup>17</sup> <https://infostat-ivass.bancaditalia.it/RIGAIquiry-public/ng/#/home>.

<sup>18</sup> <https://infostat-ivass.bancaditalia.it/RIGAIquiry-public/ng/#/home>.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DESCRIPTION	Alphanumeric max 4000 characters	MISURA	YES	Brief description with information deemed useful to better capture the business reality compared to "closed" answers.

### 5.8. AML\_SEZ1\_D5\_RIPARTIZ

AML\_SEZ1\_D5\_RIPARTIZ is the cube through which it is possible to indicate the breakdown by organizational unit and/or category of insurance intermediaries of the training provided on AML (question 5 of section 1) . This information was previously provided, in free format, as part of the brief description of the answer to the question.

Multiple instances of this cube can be transmitted for each report. Each instance corresponds to an organizational unit or to a category of insurance intermediaries. The number of instances of reported cubes is not predetermined.

The items that can be shown in this cube (VOCI\_AML\_SEZ1\_D5\_6\_RIP) are a subset of those that can be transmitted in the cube AML\_SEZ1\_D5 (VOCI\_AML\_SEZ1\_D5\_6).

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>19</sup> ).
UNITA_O_CATEGORIA	Alphanumeric max 100 characters	CLASSIF .	YES	Name of the organizational unit or of the category of insurance intermediaries.

<sup>19</sup>

<https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home>.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
VOCE_SEZ1_D5_6	VOCI_AML_SEZ1_D5_6_RIP	CLASSIF.	YES	The item code that determines whether the transmitted data refers to an organizational unit or to a category of insurance intermediary (see 6.4)
INCIDENZA_PERCENTUALE	Number with two decimal digits	MISURA	YES	Percentage incidence characterizing the breakdown. The sum of the various percentages in each breakdown must always equal 100.

#### 5.9. AML\_SEZ1\_D6

AML\_SEZ1\_D6 is the cube through which it is possible to answer question 6 of section 1 intended to know the frequency with which training is administered to the AML function.

Multiple instances of this cube can be transmitted for each report. Each instance is identified by the corresponding item (see 6.4).

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF.	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF.	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>20</sup> ).
VOCE_SEZ1_D5_6	VOCI_AML_SEZ1_D5_6	CLASSIF.	YES	The code of the item identifying the response (see 6.4)

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
OTHER	Y or N	MISURA	YES	When a value is entered for the period, it must be N, otherwise it must be Y, when a precise period cannot be indicated.
PERIODO	Whole number from 1 to 99	MISURA	NO	Number of months determining frequency, i.e.: 6 for semi-annual, 12 for annual and so on

In case the frequency of training cannot be expressed as number of months, then indicate the value "Y" in the ALTRO field and do not enter any value in the PERIODO field. In this case, in the AML\_SEZ1\_D6\_DESCR cube it is necessary to specify the frequency of training for the corresponding item code. In the case of an item identifying a response training was not delivered, indicate ALTRO = 'Y' and do not enter any value the PERIODO field.

#### 5.10. AML\_SEZ1\_D6\_DESCR

AML\_SEZ1\_D6\_DESCR is the cube through which it is possible to provide a brief description for the answer to question 6 of section 1.

Only one instance of this cube can be transmitted for each report.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home">IVASS Supervisory Registers and Lists</a> <sup>21)</sup> ).

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DESCRIPTION	Alphanumeric max 4000 characters	MISURA	YES	Brief description with information deemed useful to better capture the business reality compared to "closed" answers.

### 5.11. AML\_SEZ2

AML\_SEZ2 is the cube by which data related to section 2 can be reported.

Multiple instances of this cube must be transmitted for a report.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>22</sup> ).
LUOGO_STIPULA	VOCI_AML_LUOGO_STIPULA	CLASSIF .	YES	Place of conclusion of the contract related to the transmitted data (see 6.6)
TIPO_ENTE	VOCI_AML_TIPO_ENTE	CLASSIF .	YES	Determines whether the transmitted data relates to an undertaking or to the entire insurance group (see 0)
VOCE_SEZ2	VOCI_AML_SEZ2	CLASSIF .	YES	The code of the item identifying the data transmitted (see 6.5)

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
MISURA_N	Whole or decimal number (two decimal digits)	MISURA	YES	The transmitted data identified by the item. The type of data depends on the item that identifies it.

Transmissions related to Companies should have the instances of cubes with TIPO\_ENTE filled in exclusively with the value "C". If a Company also holds the role of Parent Company, in addition it will have to report information related to the Group, entering the value "G" for the variable TIPO\_ENTE<sup>23</sup>.

Any data identified by the entry in the field VOCE\_SEZ2 must in any case be transmitted for both the place of conclusion "Italy" and the place of conclusion "Abroad - Countries other than Italy".

#### 5.12. AML\_SEZ3

AML\_SEZ3 is the cube by which data related to Section 3 can be reported.

Multiple instances of this cube can be transmitted for each report (one for each code in the domain 6.8).

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>24</sup> ).

<sup>23</sup> Parent Companies that do not carry out insurance business report Section 2 through the Infostat procedure, while they continue to transmit Sections 1 and 6 (using Excel format) by certified electronic mail (PEC) to [ispettorato@pec.ivass.it](mailto:ispettorato@pec.ivass.it). Companies fulfilling the role of Parent Company use the descriptive fields in Sections 1 and 6 to report separately the relevant information regarding the role of Parent Company and the insurance business carried out for its own account.

<sup>24</sup> <https://infostat-ivass.bancaditalia.it/RIGAIquiry-public/ng/#/home>.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
VOCE_SEZ3	VOCI_AML_SEZ3_SE GN	CLASSIF .	YES	The code of the item identifying the data transmitted (see 6.8)
MISURA_N	Whole or decimal number (two decimal digits)	MISURA	YES	The transmitted data identified by the item. The type of data depends on the item that identifies it.

### 5.13. AML\_SEZ4

AML\_SEZ4 is the cube by which data related to section 4 can be reported.

Multiple instances of this cube can be transmitted for each report (one for each code in the domain 6.9).

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>25</sup> ).
VOCE_SEZ4	VOCI_AML_SEZ4_SE GN	CLASSIF .	YES	The code of the item identifying the data transmitted (see 6.9)
MISURA_T	Whole or decimal number (two decimal digits) or free text.	MISURA	YES	The transmitted data identified by the item. The type of data depends on the item that identifies it.

#### 5.14. AML\_SEZ5

AML\_SEZ5 is the cube by which data related to section 5 can be reported.

For a report, one instance of this cube must be submitted for each intermediary that contributed to the undertaking's total amount of premiums earned in the year<sup>26</sup> plus one instance for the amount of premiums earned directly by the reporting undertaking (DIREZIONALE)<sup>27</sup>.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>28</sup> ).
CODICE_RUI	RUI number or other identifier	CLASSIF .	YES	RUI <sup>29</sup> number or other identifier preceded by the country code.
PREMI_VITA_TOT	Number with two decimal digits	MISURA	NO	Total life premiums collected by intermediaries

<sup>26</sup> Premiums mediated by non-life insurance undertakings with head office in Italy and by branches in Italy of non-life insurance undertakings having their head offices in a EEA Member State or in a third country include:

- those premiums for which the company has quantified commissions directly to one of the entities listed in section 5 (this also includes cases in which no commissions were paid because the 0 rate was applied);
- any type of product included in the "Life" classes (I to VI, including the share of premiums of hybrid products referring only to "Life" classes), regardless of any exemption - by subject or threshold - from due diligence requirements.

Information provided by undertakings pursuing business in Italy by way of freedom of services must be referred to:

- 31 December of the year preceding the date when stock data must be reported (...);
- the whole year preceding the date when stream data must be reported (for example gross premiums written in the year).

<sup>27</sup> Premiums earned directly by the undertaking include those collected through subjects enrolled in the register referred to in Article 109(c) of the CAP.

<sup>28</sup> <https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home>.

<sup>29</sup> Single Register of Intermediaries, <https://servizi.ivass.it/RuirPubblica/>



VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
PRV_DICUI_POLIZ_COLLETTIVE	Number with two decimal digits	MISURA	NO	Share of total life premiums collected by intermediaries relating only to collective policies
PRV_DICUI_POLIZ_INDIV_RM_1	Number with two decimal digits	MISURA	NO	Share of total life premiums collected by intermediaries relating only to Class I individual policies
NPOV_DICUI_POLIZ_INDIV_RM_1	Whole number (0 included)	MISURA	NO	Number of Class I individual policies
PRV_DICUI_POLIZ_INDIV_RM_3	Number with two decimal digits	MISURA	NO	Share of total life premiums collected by intermediaries relating only to Class III individual policies
NPOV_DICUI_POLIZ_INDIV_RM_3	Whole number (0 included)	MISURA	NO	Number of Class III individual policies
PRV_DICUI_POLIZ_INDIV_RM_MULT	Number with two decimal digits	MISURA	NO	Share of total life premiums collected by intermediaries relating only to hybrid individual policies
NPOV_DICUI_POLIZ_INDIV_RM_MULT	Whole number (0 included)	MISURA	NO	Number of hybrid individual policies
PREMI_DANNI_TOT	Number with two decimal digits	MISURA	NO	Total non-life premiums collected by intermediaries
PRD_DICUI_POLIZ_RM_10	Number with two decimal digits	MISURA	NO	Share of total non-life premiums collected by intermediaries relating only to Motor liability policies (class 10).
NPOD_DICUI_POLIZ_RM_10	Whole number (0 included)	MISURA	NO	Number of Motor liability Policies (class 10)

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
PRD_DICUI_POLIZ _RM_13	Number with two decimal digits	MISURA	NO	Share of total non-life premiums collected by intermediaries relating only to General liability policies (class 13).
NPOD_DICUI_POL IZ_RM_13	Whole number (0 included)	MISURA	NO	Number of General liability policies (class 13).
PRD_DICUI_POLIZ _RM_15	Number with two decimal digits	MISURA	NO	Share of total non-life premiums collected by intermediaries relating only to Suretyship policies (class 15).
NPOD_DICUI_POL IZ_RM_15	Whole number (0 included)	MISURA	NO	Number of Suretyship Policies (class 15)

The CODICE\_RUI field identifies the entity to which the collected premiums in Italy<sup>30</sup> are referred. Different codes can be entered in this field depending on whether the subject is the same undertaking that is submitting the report (DIREZIONALE) or whether it is an intermediary registered with the RUI or it is another intermediary. Below is a description of the available alternatives accompanied by some examples<sup>31</sup>:

- **Premiums collected directly by the undertaking.** In this case, the fixed string "DIREZIONALE" is indicated.
- **Premiums written by intermediaries registered in the RUI** In this case, the RUI registration number<sup>32</sup> is reported for one of the sections allowed by AML. Then a string identifying the section which can be one of the following: A, B, D, F or EU followed exactly by 9 digits (8 digits in case of EU section).

○ For example: A123456789 or UE12345678

If the intermediary is not registered in the RUI, the company may provide the following alternative codes to the RUI registration number:

<sup>30</sup> For Italian insurance undertakings refer to gross premium written as direct insurance of the Italian portfolio

<sup>31</sup> All the examples given do not contain real data of individuals or intermediaries or other legal entities.

<sup>32</sup> Registration number means the number of registration in the RUI Section under Art. 109, 2nd paragraph of the CAP.

- **Premiums written by Italian intermediaries not registered in the RUI** These intermediaries are identified with the string "IT"<sup>33</sup> followed by the tax code or VAT number of the entity itself.
  - Example of tax code: IT/RSSMRA70A01H501S
  - Example VAT number: IT/12345678901
- **Premiums written by intermediaries not registered in the RUI and belonging to the European Economic Area (excluding Italy).** In this case, the two-letter ISO 3611-1<sup>34</sup> code (Alpha 2) identifying the intermediary's country of origin is indicated, followed by a separator character "/" and by the registration code in the Register of intermediaries of the home country (registration number provided by the "Home" Insurance Supervisory Authority)<sup>35</sup>
  - For example: FR/XYZ
- **Life Premiums written by intermediaries not registered in the RUI and not belonging to the European Economic Area<sup>36</sup>.** Here too, please enter the two-letter ISO 3611-1 (Alpha 2) code identifying the intermediary's country of origin followed by a separator character "/". The intermediary's LEI<sup>37</sup> (Legal Entity Identifier) code is then indicated.
  - For example: CH/506700GE1G29325QX363

#### 5.15. AML\_SEZ6

AML\_SEZ6 is the cube by which data related to section 6 can be reported.

Only one instance of this cube can be transmitted for each report.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="#">IVASS Supervisory Registers and Lists</a> <sup>38</sup> ).

<sup>33</sup> Here too, as in the following cases, the Alpha 2 code of ISO 3611-1 is used. In fact, the code "IT" identifies Italy.

<sup>34</sup> <https://www.iso.org/iso-3166-country-codes.html>

<sup>35</sup> In this way, it is also possible to report the identifiers of intermediaries from the Vatican State or the Republic of San Marino. For example: SM/XXX. If the intermediary collects premiums in Italy, the reporting undertaking must make a double report (with RUI code for premiums collected in Italy).

<sup>36</sup> In the case of intermediaries not belonging to the European Economic Area, non-life premiums are not accepted if the intermediary is not registered in the RUI

<sup>37</sup> <https://www.gleif.org/en/about-lei/introducing-the-legal-entity-identifier-lei>

<sup>38</sup> <https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home>.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
RISCHIO_INTRINSECO	VOCI_AML_RISCHIO_INTRINSECO	MISURA	YES	The code for inherent risk (see 6.10)
VULNERABILITA	VOCI_AML_VULNERABILITA	MISURA	YES	The code for vulnerability (see 6.11)
DESCRIPTION	Alphanumeric max 4000 characters	MISURA	YES	Brief description with information deemed useful to better capture the business reality compared to "closed" answers.

#### 5.16. AML\_GIUSTIFICATIVO

AML\_GIUSTIFICATIVO is the cube by which it is possible to state the reason for not transmitting a section of the report despite being required to do so.

Multiple instances of this cube can be transmitted for each report, one for each section not transmitted and therefore to be justified.

VARIABLE	TYPE	ROLE	MANDA T.	DESCRIPTION
DATA_CONTABILE	DATA	CLASSIF .	YES	Last day of the reporting year.
ENTE_SEGN	AZIENDA_IVASS	CLASSIF .	YES	IVASS' code assigned to the company (see: <a href="https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home">IVASS Supervisory Registers and Lists</a> <sup>39</sup> ).
SEZIONE_AML	SEZIONI_AML	CLASSIF .	YES	The code of the section to be justified (see 6.12)
DESCRIPTION	Alphanumeric max 4000 characters	MISURA	YES	The justification given.

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<https://infostat-ivass.bancaditalia.it/RIGAInquiry-public/ng/#/home>.

## 6. METADATI (DOMINI)

The following are the enumerable domains used in the AML survey

### 6.1. VOCI AML SEZ1 D1

Domain of the values of the variable VOCE\_SEZ1\_D1 (see 5.1).

Item Code	Description
01	assigned to a specific organisational unit
02	assigned to an organisational unit that also performs other tasks
03	outsourced
04	outsourced to an undertaking of the group
05	carried out abroad by a specific function of the parent company

### 6.2. VOCI AML SEZ1 D2

Domain of the values of the variable VOCE\_SEZ1\_D2 (see 5.2).

Item Code	Description
01	to the administrative and/or control body
02	to the person in charge of another control function
03	to the CEO
04	to the Director General
05	other

### 6.3. VOCI AML SEZ1 D3

Domain of the values of the variable VOCE\_SEZ1\_D3 (see 5.3).

Item Code	Description
01	at the premises of the Head Office
02	at the premises of the General Direction
03	at the premises of the Parent Company
04	other

### 6.4. VOCI AML SEZ1 D5 6

Domain of the values of the variable VOCE\_SEZ1\_D3 (see 5.6, 5.8 and 5.9).

Item Code	Description
01	Staff of the Function
02	Staff of other Functions
03	intermediaries

#### 6.5. VOCI AML SEZ2

Domain of values of the variable VOCE\_SEZ2 (see 5.11).

Transmissible values consist of amounts or whole numbers. Amounts are expressed in euros and must also carry the decimal part (exactly two digits separated from the whole number by the comma ",") representing cents. Whole numbers cannot have the decimal part.

Item Code	Description	Data Type
01	gross premiums written <sup>40</sup> (Annex 28 to the notes on the accounts, item 0001)	Amount
02	number of corresponding policies (01)	Whole number
03	corresponding number of customers (01)	Whole number
04	of which gross premiums referring to annual premiums subsequent to the first one and to monthly instalments of the first annual premium paid in the year following the contract conclusion (01)	Amount
05	number of corresponding policies (04)	Whole number
06	corresponding number of customers (04)	Whole number
07	of which gross premiums referring to new contracts [single premiums (including recurrent premiums), first annual premium and additional payments] (01)	Amount
08	of which gross premiums referring to customers whose new contracts expired during the year (07)	Amount
09	number of corresponding policies (07)	Whole number

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<sup>40</sup> As a rule, item 1 is equal to the sum of item 4 and item 7. Any squaring of amounts is allowed only in the case of portfolio purchases during the year; in this case the accepting undertaking must also include in items 4 and 7 the respective portions referring to the period from January 1 to the date of purchase concerning the customers that are included in the purchased portfolio. The sum of these portions included in Items 4 and 7 must represent the squaring: item 4 + item 7 - item 1.

Item Code	Description	Data Type
10	corresponding to the number of policies of customers whose new contracts expired during the year (09)	Whole number
11	corresponding number of customers (07)	Whole number
12	corresponding to the number of customers whose new contracts expired during the year (11)	Whole number
13	of which gross premiums related to class I products (7 -8)	Amount
14	number of corresponding policies (13)	Whole number
15	corresponding number of customers (13)	Whole number
16	of which gross premiums related to pure risk products (13)	Amount
17	number of corresponding policies (16)	Whole number
18	corresponding number of customers (16)	Whole number
19	of which gross premiums related to products other than pure risk products (13)	Amount
20	number of corresponding policies (19)	Whole number
21	corresponding number of customers (19)	Whole number
22	of which gross premiums related to class III products (7 -8)	Amount
23	number of corresponding policies (22)	Whole number
24	corresponding number of customers (22)	Whole number
25	of which gross premiums related to hybrid products (7 -8)	Amount
26	of which gross premiums related to class I products (25)	Amount
27	of which gross premiums related to class III products (25)	Amount
28	number of corresponding policies (25)	Whole number
29	corresponding number of customers (25)	Whole number
30	of which gross premiums related to class V products (7 -8)	Amount

Item Code	Description	Data Type
31	number of corresponding policies (30)	Whole number
32	corresponding number of customers (30)	Whole number
33	of which gross premiums related to other classes (7 -8)	Amount
34	of which gross premiums related to customers classified as high profile (7 -8)	Amount
35	number of corresponding policies (34)	Whole number
36	corresponding to the number of customers classified as high profile (34)	Whole number
37	of which gross premiums related to customers classified as medium profile (7 -8)	Amount
38	number of corresponding policies (37)	Whole number
39	corresponding to the number of customers classified as medium profile (37)	Whole number
40	of which gross premiums related to customers classified as low profile (7 -8)	Amount
41	number of corresponding policies (40)	Whole number
42	corresponding to the number of customers classified as low profile (40)	Whole number
43	of which gross premiums related to customers classified as irrelevant profile (7 -8)	Amount
44	number of corresponding policies (43)	Whole number
45	corresponding to the number of customers classified as irrelevant profile (43)	Whole number
46	of which gross premiums written related to all relationships in the name of customers and/or concerning products subject to simplified measures for customer due diligence (7-8)	Amount
47	of which number of policies subject for any reason to simplified measures for customer due diligence (46)	Whole number
48	corresponding number of customers subject to simplified measures for customer due diligence (46)	Whole number



Item Code	Description	Data Type
49	of which gross premiums written related to all relationships in the name of customers subject to ordinary measures for customer due diligence (7-8)	Amount
50	of which number of policies in the name of customers subject for any reason to ordinary measures for customer due diligence (49)	Whole number
51	corresponding number of customers subject to ordinary measures for customer due diligence (49)	Whole number
52	of which gross premiums written related to all relationships in the name of customers subject to enhanced measures for customer due diligence (7-8)	Amount
53	of which number of policies in the name of customers subject for any reason to enhanced measures for customer due diligence (52)	Whole number
54	corresponding number of customers subject to enhanced measures for customer due diligence (52)	Whole number
55	of which gross premiums related to policies in the name of customers identified as PEPs (52)	Amount
56	of which number of policies in the name of customers identified as PEPs (55)	Whole number
57	corresponding number of customers identified as PEPs (55)	Whole number
58	of which gross premiums written collected through subjects registered in Article 109(d) of the CAP (7-8)	Amount
59	of which collected through financial promoters (58)	Amount
60	number of corresponding policies (58)	Whole number
61	number of corresponding policies (59)	Whole number
62	corresponding number of customers (58)	Whole number
63	corresponding number of customers (59)	Whole number
64	of which gross premiums written collected through subjects registered in Article 109(a) of the CAP (7-8)	Amount
65	number of corresponding policies (64)	Whole number

Item Code	Description	Data Type
66	corresponding number of customers (64)	Whole number
67	of which gross premiums written collected through subjects registered in Article 109(b) of the CAP (7-8)	Amount
68	number of corresponding policies (67)	Whole number
69	corresponding number of customers (67)	Whole number
70	of which gross premiums written collected directly by the undertaking [including those collected through subjects registered in Article 109(c) of the CAP] (7-8)	Amount
71	number of corresponding policies (70)	Whole number
72	corresponding number of customers (70)	Whole number
73	of which gross premiums written collected through intermediaries registered in the list enclosed to the RUI and licensed to pursue business by way of establishment or of free provision of services (7-8)	Amount
74	number of corresponding policies (73)	Whole number
75	corresponding number of customers (73)	Whole number
76	of which gross premiums written for an amount not exceeding EUR 250,000 (7-8)	Amount
77	number of corresponding policies (76)	Whole number
78	corresponding number of customers (76)	Whole number
79	of which gross premiums written for an amount ranging from EUR 250,001 to 1,000,000 (7-8)	Amount
80	number of corresponding policies (79)	Whole number
81	corresponding number of customers (79)	Whole number
82	of which gross premiums written for an amount ranging from EUR 1,000,001 to 5,000,000 (7-8)	Amount

Item Code	Description	Data Type
83	number of corresponding policies (82)	Whole number
84	corresponding number of customers (82)	Whole number
85	of which gross premiums written for an amount exceeding EUR 5,000,000 (7-8)	Amount
86	number of corresponding policies (85)	Whole number
87	corresponding number of customers (85)	Whole number

#### 6.6. VOCI AML LUOGO STIPULA

Domain of values of the variable LUOGO\_STIPULA (see 5.11).

Item Code	Description
IT	Italy
NO_IT	Abroad - Countries other than Italy

The IT code identifies values referring to direct insurance of the Italian portfolio. In particular, in accordance with the accounting criteria of the Individual Financial Statements, the Italian portfolio also includes the premiums that Italian companies and secondary branches collect under the freedom to provide services towards policyholders resident in the territory of the Republic of San Marino and the Vatican City State as well as relating to goods located and services carried out in the same territories.

The item NO\_IT: can only be filled in by Italian companies and not by branches in Italy; it refers to direct business of the foreign portfolio; it must be reported by the parent company in relation to the direct business of the foreign portfolio relating to the undertakings of the group with head offices outside Italy or to branch offices, located in third countries, of Italian undertakings belonging to the group.

#### 6.7. VOCI AML TIPO ENTE

Domain of values of the variable TIPO\_ENTE (see 5.11).

Item Code	Description
C	Company
G	Group

6.8. VOCI AML SEZ3 SEGN

Domain of values of the variable VOCE\_SEZ3 (see 5.12).

Some domain values are not transmissible. They have been introduced in the table below for the sole purpose of better defining the remaining items. Transmissible values consist of amounts or whole numbers. Amounts are expressed in euros and must also carry the decimal part (exactly two digits separated from the whole number by the comma ",") representing cents. Whole numbers cannot have the decimal part.

Item Code	Description	Transmissible	Data Type
A	Benefits paid (Group A)	NO	-
A.1	Gross total amounts paid in the year (item II.5.a.aa shown as 0045 in BILIN)	YES	Amount
A.1.1	of which paid to the policyholder, or in case of claim, to the beneficiaries indicated in the policy	YES	Amount
A.1.2	of which paid to the beneficiaries other than the policyholders for term policies	YES	Amount
A.1.3	of which paid to third parties, indicated by the beneficiary at the time of the settlement	YES	Amount
A.1.4	of which <ul style="list-style-type: none"> <li>paid for internal and external settlement expenses (and, where not attributable to individual positions, any substitute tax on income realized on pension plans)</li> <li>paid for indirect business of the Italian portfolio</li> <li>paid for the foreign portfolio</li> </ul>	YES	Amount
A.2	Number of policies for which sums were paid during the year	YES	Whole number
A.3	Number of recipients of payments made during the year	YES	Whole number
A.3.1	of which policyholders	YES	Whole number
A.3.2	of which beneficiaries other than the policyholder	YES	Whole number
A.3.3	of which third parties, indicated by the beneficiary	YES	Whole number

Item Code	Description	Transmissible	Data Type
B	Benefits paid to PEPs (including as beneficial owner of the beneficiary) (Group B)	NO	-
B.1	Amounts paid to PEPs	YES	Amount
B.2	Number of policies for which sums were paid to PEPs	YES	Whole number
B.3	Number of PEPs recipients of payments	YES	Whole number
C	Benefits paid on foreign accounts (when the beneficiary or the relevant beneficial owner are not a PEP) (Group C)	NO	-
C.1	Amounts paid on foreign accounts	YES	Amount
C.1.1	of which amounts paid on accounts held in "high risk third countries"	YES	Amount
C.2	Number of policies for which amounts were paid on foreign accounts	YES	Whole number
C.2.1	Number of policies for which amounts were paid on accounts held in "high risk third countries"	YES	Whole number
C.3	Number of recipients of payments made on foreign accounts	YES	Whole number
C.3.1	Number of recipients of payments made on accounts held in "high risk third countries"	YES	Whole number
D	Benefits paid to beneficiaries identified remotely (Group D)	NO	-
D.1	Amounts paid to beneficiaries identified remotely	YES	Amount
D.2	Number of policies remotely paid to beneficiaries	YES	Whole number
D.3	Number of recipients of payments identified remotely	YES	Whole number

#### 6.9. VOCI AML SEZ4 SEGN

Domain of values of the variable VOCE\_SEZ4 (see 5.13).

Some domain values are not transmissible. They have been introduced in the table below for the sole purpose of better defining the remaining items. Transmissible values consist of

amounts, whole numbers or free text. Amounts are expressed in euros and must also carry the decimal part (exactly two digits separated from the whole number by the comma ",") representing cents. Whole numbers cannot have the decimal part. Free text must not exceed 4000 characters.

Item Code	Description	Transmissible	Data Type
A	CUSTOMER DUE DILIGENCE	NO	-
A.1	Off-site controls carried out during the year by the AML function on customer due diligence	NO	-
A.1.1	Number of policies subject to off-site controls	YES	Whole number
A.1.2	Number of customers for which due diligence checks were made	YES	Whole number
A.1.3	corresponding premiums	YES	Amount
A.1.4	Number of beneficiaries for which due diligence checks were made	YES	Whole number
A.1.5	corresponding amounts paid	YES	Amount
A.2	Anomalies found	NO	
A.2.1	Number of customers in relation to whom anomalies were detected	YES	Whole number
A.2.1.1	Number of customers in relation to whom anomalies were detected in the identification of the customer's beneficial owner	YES	Whole number
A.2.2	Premiums relating to the contracts for which anomalies were detected	YES	Amount
A.2.2.1	of which premiums relating to the contracts for which anomalies were detected in the identification of the customer's beneficial owner	YES	Amount
A.2.3	Number of beneficiaries in relation to whom anomalies were detected	YES	Whole number
A.2.3.1	Number of beneficiaries in relation to whom anomalies were detected in the identification of the beneficiary's beneficial owner	YES	Whole number

Item Code	Description	Transmissible	Data Type
A.2.4	amounts paid for which anomalies were detected	YES	Amount
A.2.4.1	amounts paid for which anomalies were detected in the identification of the beneficiary's beneficial owner	YES	Amount
B	MANAGEMENT OF THE OPENING PHASE OF THE RELATIONSHIP (ENHANCED MEASURES TAKEN TO MITIGATE THE INCREASED RISK)	NO	-
B.1	Measures applied to new relationships, excluding those associated to PEPs	NO	-
B.1.1	Repayment of premiums to the same current accounts used during payment (in case of withdrawal)	NO	-
B.1.1.1	amount of premiums returned	YES	Amount
B.1.1.2	corresponding number of customers	YES	Whole number
B.1.2	Repayment of premiums through methods other than those indicated under point B.1.1 (in case of withdrawal)	NO	-
B.1.2.1	amount of premiums returned	YES	Amount
B.1.2.2	corresponding number of customers	YES	Whole number
B.1.3	number of policies whose premium was paid by parties other than the policyholder (or the beneficial owner represented by the insured, in the case of collective policies)	YES	Whole number
B.1.3.1	total amount of premiums	YES	Amount
B.1.3.2	corresponding number of customers	YES	Whole number
B.1.4	number of policies for which the consistency of the relationship between the payer and the customer was verified	YES	Whole number
B.1.4.1	amount of the relevant premiums	YES	Amount

Item Code	Description	Transmissible	Data Type
B.1.4.2	corresponding number of customers	YES	Whole number
B.1.5	description of the process and procedure used for checking the consistency of the relationship	YES	Text
C	REPORTING OF SUSPICIOUS TRANSACTIONS	NO	-
C.1	alerts extracted from the procedure during the year	NO	-
C.1.1	number of alerts	YES	Whole number
C.1.2	Number of resources charged with the preliminary assessment of alerts (unexpected operations) by the AML function or by other structures, including outsourced structures outside the company	YES	Whole number
C.1.3	Number of alerts (unexpected operations) not examined within 60 days as at 31 December	YES	Whole number
C.2	reports received by the delegate during the year	NO	-
C.2.1	Total number	YES	Whole number
C.2.1.1	of which arising from alerts (unexpected operations)	YES	Whole number
C.2.1.2	of which arising from enhanced due diligence	YES	Whole number
C.2.1.3	of which arising from distribution network	YES	Whole number
C.2.1.4	of which arising from management offices other than the AML function	YES	Whole number
C.2.1.5	of which arising from other sources	YES	Whole number
C.2.2	Brief description	YES	Text



Item Code	Description	Transmissible	Data Type
C.3	reports submitted to the FIU by the delegate (including in the year following the year of receipt)	NO	
C.3.1	Total number	YES	Whole number
C.3.1.1	of which arising from alerts (unexpected operations)	YES	Whole number
C.3.1.2	of which arising from enhanced due diligence	YES	Whole number
C.3.1.3	of which arising from distribution network	YES	Whole number
C.3.1.4	of which arising from management offices other than the AML function	YES	Whole number
C.3.1.5	of which arising from other sources	YES	Whole number
C.3.2	Brief description	YES	Text

6.10. VOCI AML RISCHIO INTRINSECO

Domain of values of the variable RISCHIO\_INTRINSECO (see 5.15).

Item Code	Description
1	Low
2	Medium-low
3	Medium-high
4	High

6.11. VOCI AML VULNERABILITA

Domain of values of the variable VULNERABILITA (see 5.15).

Item Code	Description
1	Not significant
2	Not very significant
3	Somewhat significant

Item Code	Description
4	Very significant

#### 6.12. SEZIONI AML

Domain of values of the variable SEZIONE\_AML (see 5.16).

Item Code	Description
1	Section 1 - Organization
2	Section 2 - Premiums issued
3	Section 3 - Benefits paid
4	Section 4 - Management and control
5	Section 5 - Intermediaries
6	Section 6 - Outcome of self-assessment

### 7. Additional instructions

#### 7.1. Management of corporate evolution

The following are some useful indications for the correct identification of the person who must manage the report following major business events such as, among the most common, the merger by incorporation of a company.

Data referring to the year preceding the one in which the merger became effective are transmitted by the merging company, with the identification of the merged company, if the latter has not already done so.

Data referring to the year in which the merger has become effective are consolidated by the merging company in its own portfolio and transmitted in a single file with its own identifier.

In case of portfolio transfer during the year:

- The ceding undertaking shall include in Item 8 of Section 2 the entire new production referring to the customers included in the transferred portfolio.
- The accepting undertaking must also include in items 4 and 7 (and in the details under the subsequent items starting with item 13) the respective portions referring to the period from January 1 to the date of purchase concerning the customers that are included in the purchased portfolio.

#### 7.2. Official language

All variables involving free text must contain only phrases in the Italian language. Neologisms in other languages are allowed.

### 7.3. Technical document

IVASS provides companies with a tool that allows the generation of XML flows for AML surveys as defined by these instructions, ready to be transmitted through Infostat in the manner provided by the platform (see below). This tool is hereafter referred to as the "Technical Document" and can be used in case the firm cannot produce XML files directly.

The Technical Document consists of a file in Microsoft Excel format. The macros in it allow the generation of the XML file to be transmitted. To save the data entered in the sheet locally so that it can be reused at a later time, it is possible to use the functions: "load," "save," and "save as" offered by Microsoft Excel.

The regulatory reporting requirement is met, with the transmission to Infostat of a correct XML file in the platform's standard reference format. Any malfunctioning of the Technical Document does not constitute a valid reason for non-delivery of the reporting flow, as its use is optional and this tool is made available for the sole purpose of facilitating the production of the XML files to be sent.

The Technical Document will be available in the "Data Collection" section on IVASS' website at the following link: <https://www.ivass.it/operatori/imprese/raccolta-dati/index.html>

For a correct use of the Technical Document, it is recommended:

- When copying values from another Excel document to use the "paste values" function without altering the format of the destination cell.
- When using a version of Microsoft Office in a language other than Italian, make sure that the values are expressed with a decimal comma (not a point) and that the thousand separator is a point and not a comma. Please consult the Office support web pages for more details.
- If the selected *timeProduction* algorithm generates errors in the version of Microsoft Office in use, it is possible to use one of the other algorithms selectable on the "Control Panel" sheet in the Technical Document.

### 7.4. Any supplementary documentation to be transmitted

Should the company deem it necessary to provide documentation to supplement the information sent by means of the reporting flow described in this manual (including justification for possible squaring), this must be transmitted (as an attachment) exclusively by certified electronic mail (PEC) to the following address: [ispettorato@pec.ivass.it](mailto:ispettorato@pec.ivass.it).

The subject of the PEC shall specify the reference number assigned, by Infostat, to the reporting flow to which the supplementary documentation refers.

## 8. DATA CHECKS

The negative outcome of one or more checks on the information sent generates a response with remarks.

A remark can be:

- **BLOCKING**, the system discards the report in its entirety;
- **NOT BLOCKING**, the report is not discarded; the remark highlights a situation that is considered anomalous and, potentially, incorrect and therefore worthy of verification, which, in case of error, can be corrected by the reporting entity.

In the event that a remark (blocking and non-blocking) is generated, the undertaking must, after verifying and, where necessary, correcting the information that generated the error message, retransmit the data to IVASS.

If blocking errors in reporting persist beyond the regulatory reporting deadline, this is regarded as a delay/non-submission with respect to such reporting.

Finally, it should be noted that companies are required to carefully check the correctness of the reported data when they receive remarks generated by the activation of "non-blocking" checks, as they are responsible for the correctness of the reported data.

The following table provides a list of the checks for the AML survey:

<b>Code</b>	<b>Error Message</b>	<b>Type of Error</b>	<b>Ref, to Sect.</b>
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AML.1.1	<p>Per le imprese assicurative operanti nel comparto vita ed iscritte all'albo alle sezioni I o II o all'elenco I è obbligatorio segnalare tutte le sezioni (dalla 1 alla 6) previste per la raccolta. Controllare di aver inserito nella segnalazione tutti i cubi relativi a tutte le segnalazioni o in alternativa di aver inserito il cubo di giustificazione (AML_GIUSTIFICATIVO) uno per ogni sezione non segnalata.</p> <p>Per le imprese capogruppo che abbiano nel gruppo imprese assicurative operanti nel ramo vita è obbligatorio segnalare la sezione 2 per i valori afferenti all'intero gruppo (TIPO_ENTE="G").</p> <p>For insurance companies operating in the life business and registered in Sections I or II or List I of the RUI, it is mandatory to report all sections (1 to 6) provided for collection. Check that you have entered all cubes for all the reports or alternatively that you have entered the justification cube (AML_GIUSTIFICATIVO), one for each section not reported.</p> <p>For parent companies with life insurance companies in the group, it is mandatory to report Section 2 for values pertaining to the entire group (TIPO_ENTE="G").</p>	BLOCC.	All
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AML.1.2	<p>Per le imprese operanti nel comparto vita ed iscritte all'albo alle sezioni I o II o all'elenco I è obbligatorio segnalare per la sezione 1 domanda 5 la ripartizione (AML_SEZ1_D5_RIPARTIZ) fra le unità interessate o le categorie di intermediari assicurativi nel caso la formazione abbia riguardato rispettivamente il personale di altre funzioni o gli intermediari.</p> <p>For companies operating in the life business and registered in Sections I or II or List I of the RUI, it is mandatory to report, in Section 1 question 5, the breakdown (AML_SEZ1_D5_RIPARTIZ) among the units concerned or the categories of insurance intermediaries in case the training involved personnel from other functions or intermediaries, respectively.</p>	BLOCC.	1
AML.1.3	<p>Per tutte le imprese è obbligatorio segnalare le informazioni della sezione 5. In alternativa è possibile indicare un giustificato motivo inserendo nella segnalazione il cubo di giustificazione (AML_GIUSTIFICATIVO) e valorizzandone il campo SEZIONE_AML con 5.</p> <p>It is mandatory for all undertakings to report the information in Section 5. Alternatively, it is possible to indicate the reason for not doing so by entering the justification cube (AML_GIUSTIFICATIVO) in the report and filling in the SEZIONE_AML field with 5.</p>	BLOCC.	5

AML.1.4	<p>Non esiste il cubo di giustificazione (AML_GIUSTIFICATIVO) per una sezione (o parte di essa) mancante nella segnalazione.</p> <p>There is no justification cube (AML_GIUSTIFICATIVO) for a section (or part of a section) that is missing in the report.</p>	BLOCC.	All
AML.1.5	<p>La segnalazione per la sezione 2 non risulta essere completa. Per la medesima tipologia di ente (Gruppo o Compagnia) e per il medesimo luogo di stipula (in Italia o in paesi diversi dall'Italia) non sono state comunicate tutte le voci dovute.</p> <p>Luogo di Stipula Italia: da 01 a 87</p> <p>Luogo di Stipula Non Italia: da 01 a 33</p> <p>The reporting for Section 2 is incomplete. For the same type of entity (Group or Company) and for the same place of conclusion (Italy or countries other than Italy) not all the mandatory items have been reported.</p> <p>Place of conclusion Italy: from 01 to 87</p> <p>Place of conclusion countries other than Italy: from 01 to 33</p>	BLOCC.	2

AML.1.6	<p>La segnalazione per la sezione 3 non risulta essere completa. Non sono state comunicate tutte le voci.</p> <p>The reporting for Section 3 is incomplete. Not all items have been reported.</p>	BLOCC.	3
AML.1.7	<p>La segnalazione per la sezione 4 non risulta essere completa. Non sono state comunicate tutte le voci.</p> <p>The reporting for Section 4 is incomplete. Not all items have been reported.</p>	BLOCC.	4
AML.2	<p>La descrizione della voce per il cubo AML_SEZ1_D2 deve essere fornita solo quando la voce per tale cubo è 05 - altro.</p> <p>The description of the item for cube AML_SEZ1_D2 must be provided only when the entry for that cube is 05 - other.</p>	BLOCC.	1
AML.3	<p>La descrizione della voce per il cubo AML_SEZ1_D3 deve essere fornita solo quando la voce per tale cubo è 04 - altro.</p> <p>The description of the item for cube AML_SEZ1_D3 must be provided only when the entry for that cube is 04 - other.</p>	BLOCC.	1



AML.4	<p>Per il cubo AML_SEZ1_D6 se il campo PERIODO è valorizzato allora il campo ALTRO deve essere valorizzato a N, se il campo PERIODO non è valorizzato allora il campo ALTRO deve essere valorizzato a S. In questo ultimo caso nella descrizione presente nel cubo AML_SEZ1_D6_DESCR è necessario dettagliare la periodicità della formazione.</p> <p>For the AML_SEZ1_D6 cube if a value has been entered in the PERIODO field, then the entry in the ALTRO field must be N, if no value has been entered in the PERIODO field, then the entry in the ALTRO field must be Y. In the latter case in the description present in the AML_SEZ1_D6_DESCR cube it is necessary to specify the frequency of the training.</p>	BLOCC.	1
AML.5	<p>I dati relativi al gruppo assicurativo della sezione 2 (TIPO_ENTE = G) devono essere inviati solo dalla compagnia capogruppo. Le altre compagnie del gruppo non possono inviare questi dati ma solo quelli riferiti alla singola compagnia (TIPO_ENTE = C).</p> <p>The data relating to the insurance group in Section 2 (TIPO_ENTE = G) must be sent only by the parent company. The other companies in the group cannot send this data but only the data referring to the individual company (TIPO_ENTE = C).</p>	BLOCC.	2
AML.6.1	<p>L'importo segnalato relativo ai premi lordi contabilizzati (voce 01 della sezione 2 per il luogo di stipula Italia) non è coerente con quanto segnalato nel Bilancio Individuale (Allegato 28 alla nota integrativa, voce 1).</p> <p>The reported amount related to gross premiums written (item 01 in Section 2 where the place of conclusion is Italy) is not consistent with what is reported in the Individual Financial Statements (Annex 28 to the notes on the accounts, item 0001).</p>	NON BLOCC.	2

AML.6.2	<p>L'importo segnalato relativo agli importi lordi totali pagati nell'anno (voce A.1 della sezione 3) non è coerente con quanto segnalato nel Bilancio Individuale (voce II.5.a.aa del Conto Tecnico dei rami vita).</p> <p>The reported amount related to gross total amounts paid in the year (item A.1 in Section 3) is not consistent with what is reported in the Individual Financial Statements (item II.5.a.aa shown as 0045 in BILIN).</p>	NON BLOCC.	3
AML.6.3	<p>La produzione complessiva DANNI dell'impresa ripartita per singolo intermediario segnalata in sezione 5 non è coerente con quanto segnalato nel Bilancio Individuale (Allegato 26 alla nota integrativa, voce 1).</p> <p>The total amount of NON-LIFE premiums earned by the undertaking and broken down by individual intermediary reported in Section 5 is not consistent with what is reported in the Individual Financial Statements (Annex 26 to the notes on the accounts, item 0001).</p>	NON BLOCC.	5
AML.8.1	<p>Attenzione. L'importo segnalato relativo ai premi lordi contabilizzati VITA (voce 01 della sezione 2) non risulta ancora fra i dati segnalati per il Bilancio Individuale (Allegato 28 alla nota integrativa, voce 1). Se non si è ancora proceduto alla sottomissione del Bilancio Individuale si prega di procedere con la massima sollecitudine. Questo rilievo non è bloccante per la segnalazione AML.</p> <p>Attention. The reported amount related to gross LIFE premiums written (item 01 in Section 2) is still not included among the data reported in the Individual Financial Statements (Annex 28 to the notes on the accounts, item 0001). If you have not yet submitted your Individual Financial Statements, please do so as soon as possible. This remark is not blocking for AML reporting.</p>	NON BLOCC.	2

AML.8.2	<p>Attenzione. L'importo segnalato relativo agli importi lordi totali pagati nell'anno (voce A.1 della sezione 3) non risulta ancora fra i dati segnalati per il Bilancio Individuale (voce II.5.a.aa del Conto Tecnico dei rami vita). Se non si è ancora proceduto alla sottomissione del Bilancio Individuale si prega di procedere con la massima sollecitudine. Questo rilievo non è bloccante per la segnalazione AML.</p> <p>Attention. The reported amount related to gross total amounts paid in the year (item A.1 in Section 3) is still not included among the data reported in the Individual Financial Statements (item II.5.a.aa shown as 0045 in BILIN). If you have not yet submitted your Individual Financial Statements please do so as soon as possible. This remark is not blocking for AML reporting.</p>	NON BLOCC.	3
AML.8.3	<p>Attenzione. La somma degli importi segnalati relativi alla produzione complessiva DANNI dell'impresa ripartita per singolo intermediario (sezione 5) non risulta ancora fra i dati segnalati per il Bilancio Individuale (Allegato 26 alla nota integrativa, voce 1). Se non si è ancora proceduto alla sottomissione del Bilancio Individuale si prega di procedere con la massima sollecitudine. Questo rilievo non è bloccante per la segnalazione AML.</p> <p>Attention. The sum of the reported amounts related to total NON-LIFE premiums earned by the undertaking and broken down by individual intermediary (Section 5) is still not included among the data reported in the Individual Financial Statements (Annex 26 to the notes on the accounts, item 0001). If you have not yet submitted your Individual Financial Statements, please do so as soon as possible. This remark is not blocking for AML reporting.</p>	NON BLOCC.	5

AML.10.1	<p>I premi e il numero di polizze vita per la sezione 5 devono essere segnalati solo se l'impresa è autorizzata ad operare nel comparto VITA.</p> <p>Premiums and number of life policies for Section 5 must be reported only if the company is authorized to pursue LIFE business.</p>	BLOCC.	5
AML.10.2	<p>I premi e il numero di polizze danni per la sezione 5 non possono essere segnalati se l'impresa è autorizzata ad operare solo nel comparto VITA.</p> <p>Premiums and number of non-life policies for Section 5 may not be reported if the company is authorized to pursue only LIFE business.</p>	BLOCC.	5
AML.10.3	<p>I premi e il numero di polizze danni per la sezione 5 dei rami: 10, 13 e 15 non possono essere segnalati se l'impresa è autorizzata ad operare solo nel comparto VITA o PICCOLO CUMULO.</p> <p>Premiums and number of non-life policies for Section 5 of the insurance classes: 10, 13 and 15 may not be reported if the company is authorized to pursue only LIFE business or ACCIDENT AND SICKNESS.</p>	BLOCC.	5
AML.11.1	<p>I premi e il numero di polizze danni per la sezione 5 devono essere segnalati solo se l'impresa è autorizzata ad operare nel comparto DANNI.</p> <p>Premiums and number of non-life policies for Section 5 must be reported only if the company is authorized to pursue NON-LIFE business.</p>	BLOCC.	5

AML.11.2	<p>I premi e il numero di polizze vita per la sezione 5 non possono essere segnalati se l'impresa è autorizzata ad operare solo nel comparto DANNI.</p> <p>Premiums and number of life policies for Section 5 may not be reported if the company is authorized to pursue only NON-LIFE business.</p>	BLOCC.	5
AML.12	<p>Non è stata comunicata correttamente una delle voci per la sezione 2 che devono contenere degli importi. Controllare la presenza delle due cifre decimali obbligatorie per tali valori.</p> <p>One of the items for section 2 that must contain amounts was not reported correctly. Check that these values have the two mandatory decimal digits.</p>	BLOCC.	2
AML.13	<p>Non è stata comunicata correttamente una delle voci per la sezione 2 che devono contenere dei numeri interi. Controllare la presenza delle due cifre decimali da non indicare per tali valori.</p> <p>One of the items for section 2 that must contain whole numbers was not reported correctly. Check that these values do not show the two decimal digits.</p>	BLOCC.	2
AML.14	<p>Non è stata comunicata correttamente una delle voci per la sezione 3 che devono contenere degli importi. Controllare la presenza delle due cifre decimali obbligatorie per tali valori.</p> <p>One of the items for section 3 that must contain amounts was not reported correctly. Check that these values have the two mandatory decimal digits.</p>	BLOCC.	3

AML.15	<p>Non è stata comunicata correttamente una delle voci per la sezione 2 che devono contenere dei numeri interi. Controllare la presenza delle due cifre decimali da non indicare per tali valori.</p> <p>One of the items for section 2 that must contain whole numbers was not reported correctly. Check that these values do not show the two decimal digits.</p>	BLOCC.	3
AML.16	<p>Non è stata comunicata correttamente una delle voci per la sezione 4 che devono contenere degli importi. Controllare la presenza delle due cifre decimali obbligatorie per tali valori.</p> <p>One of the items for section 4 that must contain amounts was not reported correctly. Check that these values have the two mandatory decimal digits.</p>	BLOCC.	4
AML.17	<p>Non è stata comunicata correttamente una delle voci per la sezione 4 che devono contenere dei numeri interi. Controllare la presenza delle due cifre decimali da non indicare per tali valori.</p> <p>One of the items for section 4 that must contain whole numbers was not reported correctly. Check that these values do not show the two decimal digits.</p>	BLOCC.	4
AML.18	<p>Attenzione, risulta essere stato comunicato un valore numerico per una voce che dovrebbe contenere una descrizione. Controllare il contenuto di quanto trasmesso per questa voce. Questo rilievo non è bloccante per la segnalazione AML.</p> <p>Attention, a numerical value was communicated for an item that should contain a description. Check the content transmitted for this item. This remark is not blocking for AML reporting.</p>	NON BLOCC.	4

AML.19	<p>La produzione complessiva VITA dell'impresa ripartita per singolo intermediario segnalata in sezione 5 non è coerente con l'importo segnalato nella sezione 2 per la voce 01 e relativo ai premi lordi contabilizzati (Allegato 28 alla nota integrativa, voce 1) con luogo di stipula Italia.</p> <p>The total amount of LIFE premiums earned by the undertaking and broken down by individual intermediary reported in Section 5 is not consistent with the amount reported in item 01 in Section 2 related to gross premiums written (Annex 28 to the notes on the accounts, item 0001) where the place of conclusion is Italy.</p>	BLOCC.	2 - 5
AML.20.1	<p>Per la sezione 2, l'importo dei premi lordi riferiti alla nuova produzione al netto di quelli la cui intera nuova produzione è cessata nel corso dell'anno devono essere uguali alla ripartizione dei premi per prodotto. Voce 07 - Voce 08 = Voce 13 + Voce 22 + Voce 25 + Voce 30 + Voce 33</p> <p>For section 2, the amount of gross premiums referring to new contracts net of the gross premiums relating to the new contracts expired during the year must be equal to the breakdown of premiums by product. Item 07 - Item 08 = Item 13 + Item 22 + Item 25 + Item 30 + Item 33</p>	BLOCC.	2
AML.20.2	<p>Per la sezione 2, l'importo dei premi lordi riferiti alla nuova produzione al netto di quelli la cui intera nuova produzione è cessata nel corso dell'anno devono essere uguali alla ripartizione dei premi per profilo di rischio del cliente. Voce 07 - Voce 08 = Voce 34 + Voce 37 + Voce 40 + Voce 43</p> <p>For section 2, the amount of gross premiums referring to new contracts net of the gross premiums relating to the new contracts expired during the year must be equal to the breakdown of premiums by customer's risk profile. Item 07 - Item 08 = Item 34 + Item 37 + Item 40 + Item 43</p>	BLOCC.	2

AML.20.3	<p>Per la sezione 2, l'importo dei premi lordi riferiti alla nuova produzione al netto di quelli la cui intera nuova produzione è cessata nel corso dell'anno devono essere uguali alla ripartizione dei premi per tipologia di misure (semplificate, ordinarie o rafforzate) di adeguata verifica. Voce 07 - Voce 08 = Voce 46 + Voce 49 + Voce 52</p> <p>For section 2, the amount of gross premiums referring to new contracts net of the gross premiums relating to the new contracts expired during the year must be equal to the breakdown of premiums by (simplified, ordinary or enhanced) measures of due diligence. Item 07 - Item 08 = Item 46 + Item 49 + Item 52</p>	BLOCC.	2
AML.20.4	<p>Per la sezione 2, l'importo dei premi lordi riferiti alla nuova produzione al netto di quelli la cui intera nuova produzione è cessata nel corso dell'anno devono essere uguali alla ripartizione dei premi per canale di vendita. Voce 07 - Voce 08 = Voce 58 + Voce 64 + Voce 67 + Voce 70 + Voce 73</p> <p>For section 2, the amount of gross premiums referring to new contracts net of the gross premiums relating to the new contracts expired during the year must be equal to the breakdown of premiums by sales channel. Item 07 - Item 08 = Item 58 + Item 64 + Item 67 + Item 70 + Item 73</p>	BLOCC.	2
AML.20.5	<p>Per la sezione 2, l'importo dei premi lordi riferiti alla nuova produzione al netto di quelli la cui intera nuova produzione è cessata nel corso dell'anno devono essere uguali alla ripartizione dei premi per fascia d'importo. Voce 07 - Voce 08 = Voce 76 + Voce 79 + Voce 82 + Voce 85</p> <p>For section 2, the amount of gross premiums referring to new contracts net of the gross premiums relating to the new contracts expired during the year must be equal to the breakdown of premiums by amount band. Item 07 - Item 08 = Item 76 + Item 79 + Item 82 + Item 85</p>	BLOCC.	2



AML.21	<p>La somma delle sottovoci A.1.1, A.1.2, A.1.3, A.1.4 della sezione 3 non risulta essere uguale a quanto indicato per la voce A.1.</p> <p>The sum of sub-items A.1.1, A.1.2, A.1.3, A.1.4 in section 3 is not the same as for item A.1.</p>	BLOCC.	3
AML.22	<p>Per la sezione 3, la voce C.1.1 deve essere minore o uguale della voce C.1.</p> <p>For section 3, item C.1.1 must be smaller than or equal to item C.1.</p>	BLOCC.	3
AML.23	<p>Per la sezione 3, la voce C.2.1 deve essere minore o uguale della voce C.2.</p> <p>For section 3, item C.2.1 must be smaller than or equal to item C.2.</p>	BLOCC.	3
AML.24	<p>Per la sezione 3, la voce C.3.1 deve essere minore o uguale della voce C.3.</p> <p>For section 3, item C.3.1 must be smaller than or equal to item C.3.</p>	BLOCC.	3
AML.25	<p>Per la sezione 4, la voce A.2.1 deve essere minore o uguale della voce A.1.2.</p> <p>For section 4, item A.2.1 must be smaller than or equal to item A.1.2.</p>	BLOCC.	4
AML.26	<p>Per la sezione 4, la voce A.2.1.1 deve essere minore o uguale della voce A.2.1.</p> <p>For section 4, item A.2.1.1 must be smaller than or equal to item A.2.1.</p>	BLOCC.	4

AML.27	<p>Per la sezione 4, la voce A.2.2 deve essere minore o uguale della voce A.1.3.</p> <p>For section 4, item A.2.2 must be smaller than or equal to item A.1.3.</p>	BLOCC.	4
AML.28	<p>Per la sezione 4, la voce A.2.2.1 deve essere minore o uguale della voce A.2.2.</p> <p>For section 4, item A.2.2.1 must be smaller than or equal to item A.2.2.</p>	BLOCC.	4
AML.29	<p>Per la sezione 4, la voce A.2.3 deve essere minore o uguale della voce A.1.4.</p> <p>For section 4, item A.2.3 must be smaller than or equal to item A.1.4.</p>	BLOCC.	4
AML.30	<p>Per la sezione 4, la voce A.2.3.1 deve essere minore o uguale della voce A.2.3.</p> <p>For section 4, item A.2.3.1 must be smaller than or equal to item A.2.3.</p>	BLOCC.	4
AML.31	<p>Per la sezione 4, la voce A.2.4 deve essere minore o uguale della voce A.1.5.</p> <p>For section 4, item A.2.4 must be smaller than or equal to item A.1.5.</p>	BLOCC.	4
AML.33	<p>Per la sezione 4, la voce C.2.1 deve essere uguale alla somma delle voci: C.2.1.1, C.2.1.2, C.2.1.3, C.2.1.4, C.2.1.5</p> <p>For section 4, item C.2.1 must equal the sum of the items: C.2.1.1, C.2.1.2, C.2.1.3, C.2.1.4, C.2.1.5</p>	BLOCC.	4

AML.34	<p>Per la sezione 4, la voce C.3.1 deve essere uguale alla somma delle voci: C.3.1.1, C.3.1.2, C.3.1.3, C.3.1.4, C.3.1.5</p> <p>For section 4, item C.3.1 must equal the sum of the items: C.3.1.1, C.3.1.2, C.3.1.3, C.3.1.4, C.3.1.5</p>	BLOCC.	4
AML.35	<p>Per la sezione 5, di norma<sup>41</sup>, i premi vita totali devono essere maggiori o uguali alla somma dei premi "di cui" indicati per le polizze collettive e individuali (ramo 1, ramo 3 e multiramo). Questo rilievo non è bloccante per la segnalazione AML.</p> <p>For section 5 total life premiums should usually be greater than or equal to the sum of the "of which" premiums shown for collective and individual policies (class 1, class 3 and hybrid). This remark is not blocking for AML reporting.</p>	NON BLOCC.	5
AML.36	<p>Per la sezione 5, di norma<sup>42</sup>, i premi danni totali devono essere maggiori o uguali alla somma dei premi "di cui" indicati per le polizze individuali (rami: 10, 13 e 15). Questo rilievo non è bloccante per la segnalazione AML.</p> <p>For section 5 total non-life premiums should usually be greater than or equal to the sum of the "of which" premiums shown for individual policies (classes: 10, 13 and 15). This remark is not blocking for AML reporting.</p>	NON BLOCC.	5
AML.40	<p>Il codice RUI indicato non risulta essere fra quelli operanti per l'anno relativo alla data contabile della segnalazione o per quello precedente.</p> <p>The RUI code reported is not among those operating for the year related to the accounting date of the report or the previous year.</p>	BLOCC.	5

<sup>41</sup> The consistency of the non-blocking check may not be achieved in special cases, such as in the reporting of negative total life premiums.

<sup>42</sup> The consistency of the non-blocking check may not be achieved in special cases, such as in the reporting of negative total life premiums.

AML.41	<p>Il codice identificativo dell'intermediario appartenente ad un paese dello Spazio Economico Europeo non è ammesso nel caso in cui si stiano trasmettendo esclusivamente premi vita. Si prega di inserire la matricola RUI dell'intermediario. Sono ammessi unicamente i codici identificativi degli intermediari dello Stato del Vaticano o della Repubblica di San Marino. Esempio: SM/XXX.</p> <p>The identification code of the intermediary belonging to a country in the European Economic Area is not allowed if only life premiums are being transmitted. Please enter the intermediary's RUI number. Only identification codes of intermediaries from the Vatican State or the Republic of San Marino are allowed (i.e. SM/XXX).</p>	BLOCC.	5
AML.42	<p>Nel caso in cui si stiano trasmettendo premi vita oltre ai premi danni per un intermediario operante nello Spazio Economico Europeo allora l'intermediario dovrebbe avere una matricola RUI. Il codice identificativo trasmesso potrebbe quindi non essere quello dovuto per questa segnalazione. Si prega di controllare l'esistenza della matricola RUI per l'intermediario e, nel caso in cui dovesse esistere, di risottomettere la segnalazione (ignorare questo rilievo in caso di intermediario operante nella Repubblica di San Marino o nello Stato del Vaticano). Questo rilievo non è bloccante.</p> <p>When life premiums are being transmitted in addition to non-life premiums for an intermediary operating in the European Economic Area, then the intermediary should have a RUI number. The identification code transmitted may therefore not be the one due for this reporting. Please check if the intermediary has a RUI number and, if it does, resubmit the report (please ignore this remark if the intermediary operates in the Vatican State or in the Republic of San Marino). This remark is not blocking.</p>	NON BLOCC.	5

AML.43	<p>Un intermediario appartenente ad un paese al di fuori dello Spazio Economico Europeo non può raccogliere premi per il comparto danni. Si prega di correggere i dati trasmessi cancellando i valori, anche pari a zero, per i seguenti campi:</p> <p>PREMI_DANNI_TOT</p> <p>PRD_DICUI_POLIZ_RM_10</p> <p>NPOD_DICUI_POLIZ_RM_10</p> <p>PRD_DICUI_POLIZ_RM_13</p> <p>NPOD_DICUI_POLIZ_RM_13</p> <p>PRD_DICUI_POLIZ_RM_15</p> <p>NPOD_DICUI_POLIZ_RM_15</p> <p>Questo rilievo non è bloccante.</p> <p>An intermediary belonging to a country outside the European Economic Area may not collect premiums for non-life business. Please correct the submitted data by deleting values, even when equal to zero, for the following fields:</p> <p>PREMI_DANNI_TOT</p> <p>PRD_DICUI_POLIZ_RM_10</p> <p>NPOD_DICUI_POLIZ_RM_10</p> <p>PRD_DICUI_POLIZ_RM_13</p> <p>NPOD_DICUI_POLIZ_RM_13</p> <p>PRD_DICUI_POLIZ_RM_15</p> <p>NPOD_DICUI_POLIZ_RM_15</p> <p>This remark is not blocking.</p>	NON BLOCC.	5
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AML.44	<p>Per i paesi al di fuori dello Spazio Economico Europeo l'unico codice identificativo accettato è il codice LEI (Legal Entity Identifier).</p> <p>For countries outside the European Economic Area, the only accepted identification code is the LEI code (Legal Entity Identifier).</p>	BLOCC.	5
AML.45	<p>Il codice paese di due caratteri fornito per l'identificazione dell'intermediario, sprovvisto di matricola RUI, non risulta essere corretto. Fare riferimento allo standard ISO 3166-1 Alpha2.</p> <p>The two-character country code provided for the identification of the intermediary, where the RUI number is not indicated, is not correct. Please refer to the ISO 3166-1 Alpha2 standard.</p>	BLOCC.	5
AML.50	<p>Per la sezione 4, la voce A.2.4.1 deve essere minore o uguale della voce A.2.4.</p> <p>For section 4, item A.2.4.1 must be smaller than or equal to item A.2.4.</p>	BLOCC.	4
AML.51	<p>Per la sezione 4, la voce B.1.4 deve essere minore o uguale della voce B.1.3.</p> <p>For section 4, item B.1.4 must be smaller than or equal to item B.1.3.</p>	BLOCC.	4
AML.52	<p>Per la sezione 4, la voce B.1.4.1 deve essere minore o uguale della voce B.1.3.1.</p> <p>For section 4, item B.1.4.1 must be smaller than or equal to item B.1.3.1.</p>	BLOCC.	4

AML.53	<p>Per la sezione 4, la voce B.1.4.2 deve essere minore o uguale della voce B.1.3.2.</p> <p>For section 4, item B.1.4.2 must be smaller than or equal to item B.1.3.2.</p>	BLOCC.	4
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These instructions are updated as of the date indicated on the cover page. Please consult the data collection section of the IVASS website for any updates.