

Compliance Management

We drive regulatory transformation with high professional and methodical implementation competence as well as sustainable, rule-compliant results

Non-financial risk management



- _ Risk strategy
- _ Structure and process organization
- _ Target Operating Model
- _ Risk management processes
- _ Risk reporting

Processes & controls



- _ Internal control systems/ ICS
- _ KYC, due diligence
- _ Investigation/ forensics
- _ Alert / suspected case processing
- _ Regulatory efficiency

Regulatory IT management



- _ Compliance surveillance
- _ Transaction monitoring
- _ Embargo-/ sanction screening
- _ Client name screening
- _ Case management/ workflow

Organization



- _ Governance
- _ Organizational models
- _ Management systems
- _ Post merger integration
- _ Organizational efficiency

Compliance



- _ Capital market/ corporate compliance
- _ Anti Money Laundering/ AML
- _ Embargoes & sanctions
- _ Anti-fraud
- _ Anti-bribery / Anti-corruption

Policies & procedures



- _ Regulatory framework/ regulatory management
- _ Policy analysis/ matching
- _ Organization/ procedural descriptions
- _ Work instructions

Digitalization/ RegTech



- _ Artificial Intelligence/ expert systems
- _ Real time analytics
- _ Big Data/ data fusion
- _ Open Source research
- _ Automatization/ robotics

Regulatory reporting



- _ Reporting framework
- _ Internal & external notification/reporting obligations
- _ Key Performance Indicators
- _ Regulatory performance