

GOVERNANCE AND REPORTING - AML / CFT SUPERVISORS + FINANCIAL INTELLIGENCE UNIT.

POLICIES, PROCEDURES AND TEMPLATES

RISK ASSESSMENT AUDITS

REPORTING

YOUR AML PROCESS

EXECUTION PHASES

CONSULTING
 Are you Captured?
 Risk Profiles
 Policy documentation
 Procedure and Process Documentation
 Templates for Onboarding and Transactions
 Roles and Job Description templates
 Terms and Conditions updates
 Employment Contract alignment

INCEPTION
 Data Source Agreements
 Data Service Setup
 Staff vetting and training
 Record Management Processes
 Reporting templates and data source development
 Privacy Policy Review

ONBOARDING

- Customer Identity
- Customer Location
- Due Diligence (SDD/CDD/EDD)
- PEP
- Sanctions
- Ultimate Beneficial Owner

KNOW YOUR CUSTOMER (KYC)

- Changes to that verified
- Ongoing Monitoring

TRANSACTION SUPPORT

- Source of Wealth
- Source of Funds
- Enhanced Due Diligence
- Transaction Normality

AML MANAGEMENT

- Activity review
- Reporting to Governance Body
- Audit preparation
- Response to Supervisor messaging
- Process and Procedure updates as required

AUDITS (Independent)
 Review Policies and Procedures
 Review Risk and business profiles
 Verify activity compliance according to Policy/Profiles
 Report to Supervisor

ACCESS + SUPPORT

DATA

MONITOR + NOTIFY

DATA

REPORTING

infolog DATA SERVICES

- Authority Agreements
- Infolog will work with your chosen consultancy service to ensure all the required agreements are in place
- Support consultant in training new staff on Infolog Services, also supported with Online Training Modules

- Infolog ID Plus
- Passport verification
- Drivers License / MVR
- Property and Company for address verification
- Property and tenancy data for address checks
- Follow up and "Out of Wallet" Questions
- Other database resources

- Lexis Nexis international ID check
- Thomson Reuters Worldcheck One
- Custom EDD
- Ultimate Beneficial Owner

- Source of Funds Checks
- Source of Wealth Checks
- Sanctions
- Affiliates
- Aliases
- Bank relationships
- Negative Press Commentary
- Jurisdictional Risks

- Activity/Audit Reports
- Privacy compliance checks
- Simplified management
- Usage reports
- Monitoring / Notification Management Suite

ONLINE TRAINING MODULES