U.S. REGULATORY AGENCIES HAVE INVESTMENT FIRMS ON THEIR RADAR

Are you using the best compliance tools to avoid increased sanctions and enforcements?



Regulatory agencies have fortified their anti-money laundering policies and staggering fines have followed

Increased scrutiny has resulted in escalating

FINRA enforcements including:

For the last four consecutive years, 2016 to 2019, the SEC and Financial Industry Regulatory Authority (FINRA) have published **Examination Priorities** that included a **renewed**, **more** rigorous focus on Anti-Money Laundering (AML) programs⁴



fine against a large U.S. multi-national bank for multiple AML and Bank Secrecy Act (BSA) regulatory failures, including failure to devote sufficient resources to review alerts⁵

\$400K

BSA violation against a Midwest broker-dealer for the willful failure to file a Suspicious Activity Report (SAR); this is the first instance of a BSA-related criminal charge against a broker⁶



Stronger compliance starts with knowing exactly who you conduct business with



the exorbitant fines, extensive reputational damage and eroded shareholder value that results from

No firm can afford the **exposure to**



leaves **no room for error and** demands full transparency



Effective compliance begins with a 360-degree view





Customer





(EDD)



Due Diligence

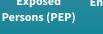


Profiling











Sanctions and

Third-Party Due Diligence and deeper investigations are another **critical component** of a comprehensive compliance strategy



Fortify your compliance program by finding strength in numbers Fransform your compliance program with our configurable, end-to-end tools that deliver







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for global sanctions,



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top 10 banks and who

database of profiles that have

been linked to illicit activities

Utilize our proprietary



sanction screens in 2018 alone

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with human-curated data that enables more precise risk management and streamlined compliance operations.



1. And 2. Hodgkins, Gerald; Hulnick, Blake and McGrath, Catherine, "SEC has been busy in 2019", www.law360.com, April 2019

selling-ipos-to-industry-insiders/ 4. Cadwalader, Wickersham & Taft LLP Webinar, "Cannabis, crypto and broker-dealers in the anti-money laundering hot seat," www.cadwalader.com/uploads/media/Cannabis_Crypto_and_Broker-Dealers_in_the_AML_Hot_Seat_-_Final.pdf

5. http://www.finra.org/newsroom, December 2018

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6. www.law360.com/articles, December 2018

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3. https://news.law/related-broker-dealers-fined-us-15-million-by-the-sec-finra-and-fincen-for-alleged-aml-program-deficiencies-unrelated-bd-fined-us-5-5-million-for-purportedly-