Fortify your compliance program by finding strength in numbers

A multi-national investment bank was fined $15 million for failures to detect and report suspicious activities in connection with multiple accounts that had moved money to potential shell companies in Mexico, Venezuela, and Panama.

Increased scrutiny has resulted in escalating regulatory enforcements across the industry.

Stronger compliance starts with knowing exactly who you conduct business with.

The current regulatory climate on the radar for year-on-year demand for transparency across every interaction within the customer lifecycle.

Effective compliance begins with a 360-degree view of your risks across the compliance continuum.

No firm can afford to expose front-line staff, excessive operational expense and needed shareholder value that results from non-compliance.

The regulatory climate for investment firms has grown increasingly turbulent.

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

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60 risk categories and subcategories covering PEPs, state-owned enterprises, registration lists, and emerging risks.

60 risk categories, and who

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