

# Compliance services by subscription

## Have you ever thought about this?

You have a complex issue and need straightforward, expeditious help? You are experiencing a resource bottleneck and need temporary relief by experts on regulatory compliance? You want to make better use of your existing AML/KYC software, optimise the rule model, or adapt your system to new trends, standards such as the published criminal offences in connection with COVID-19 subsidies?

Then why not take advantage of our subscription compliance services. This guarantees you fast access to in-depth expert knowledge and a wide range of services.



### The subscription in detail

- Fixed monthly subscription, minimum term 24 months, monthly billing
- Contents + scope individually definable (see also 2nd page)



### Your benefit

- Flexible technical and professional advice in 15-minute units if required
- Service for consulting requests of:
  - < 1 hour within 2 days,
  - > 1 hour by arrangement
- Consultation by telephone, online meeting, email

We are specialists in Anti-Financial Crime Compliance. In the area of Anti-Money Laundering (AML) and Know Your Customer (KYC), our employees have been advising and supporting banks and savings banks for many years in implementing their compliance strategy to combat money laundering and terrorist financing in all processes along their value chain – from preparing and updating the risk analysis to onboarding and continuous monitoring of customers and transactions to business relations end. We also provide support on special topics such as compliance in correspondent banking or trade finance. Our advisors know what challenges you face every day and are very familiar with your AML/KYC systems.

# Bausteine der Compliance-Services im Überblick:

**1. Support in the preparation of the risk analysis** Let us support you in the preparation of your individual risk analysis as well as the continuous updating based on new typologies, case findings, publications (FATF, Europol, etc.) or recommendations of the associations or auditing bodies.

**2. Regular analysis of risk parameters for the customer risk classification** In order to identify and analyse changes and trends at an early stage and to be able to derive measures promptly, regular analysis of the risk parameters for customer risk classification is important (monthly, quarterly, half-yearly). We not only document the risk classification of the entire customer base, but also analyse elementary percentage changes.

**3. Continuous parameterisation and fine-tuning of your AML system** We optimise your rule model by analysing „false“ hits based on customer, product and transaction types and map new typologies in the system. We also analyse new case constellations for you in order to define and integrate new indications in coordination with you.

**4. Preparation and submission of SARs with goAML** When preparing SARs, involving Case Management and all available customer, account, and transaction data, including third parties involved, we file the report in the system for the purpose of documentation, the feedback from the FIU, and any further follow-up reports that may become necessary. Customers with a report are assigned to the appropriate risk class in the next scoring.

**5. Taking over the daily processing of AML cases, including documentation** We gladly take over the time-consuming analysis and processing of daily anomalies for you, including the documentation of incidents. On request, we also record cases in Case Management, prepare detailed case descriptions, carry out transaction analyses and completely process the facts. Regular institution-specific reports for internal purposes are also prepared.

**6. Contact person in case of absence due to illness or holidays** We are a competent contact for your employees during absences of your money laundering officer due to holiday or illness. This significantly reduces the workload of your deputising colleagues. All enquiries are answered in writing and documented in a comprehensible manner.

**7. Preparation and monitoring of a control plan for AML and KYC** We continuously monitor the control plan, adapt it and prepare regular reports for your internal audit and the board. We can also take over the updating of the risk analysis considering the findings and offer you professional support in the implementation of necessary processes.

**8. Regular training for employees and/or the money laundering officer** We conduct initial and follow-up training for employees to be trained, taking into account the legal requirements. Our training courses with practical relevance also include the presentation and explanation of cases. And of course, we answer participants' questions.

**9. Assistance with implementing processes due to audit findings** In cooperation with the money laundering officer, we not only analyse the current findings, but also redefine and implement processes to avoid findings in the future. Furthermore, we regularly review the effectiveness of the implemented processes and measures with you.

**10. Point of contact for doubtful questions and complex cases** We are also happy to be a competent contact for money laundering officers and their representatives. In cases where a decision must be made on whether or not to file a SAR, or in more complex cases, we are at your side to advise you.

**11. Familiarisation of new obligated persons according to the Money Laundering Act (MLA)** We provide comprehensive training for new obligated persons according to the MLA. Your employees will be familiarised with topics such as due diligence, establishing identities, beneficial owners and PEPs, monitoring high-risk business relationships, the functioning of AML/KYC systems, and much more. We will present current case studies as well as money laundering typologies of different industries.

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## Are you interested?

Request detailed information:



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