



# Compliance Background Check

## AML/KYC background checks on clients and prospects

Banks, asset managers and other financial intermediaries must comply with increasingly strict compliance requirements when entering into new business relationships and when monitoring existing business relationships. In particular, if there are indications of increased risks or unusual circumstances, the financial intermediary must make and document additional clarifications in accordance with the AMLO-FINMA. At the same time, the requirements for an up-to-date and meaningful KYC profile, especially for high-risk clients, have risen steadily in recent years.

With our Compliance Background Check, we support you with in-depth AML/KYC background checks of clients and prospects for compliance-relevant information. This enables

you to identify and assess the legal and reputational risks associated with the individuals and make the right decisions.

We use dedicated systems and databases and consult the following sources of information, among others:

- PEP: Politically Exposed Persons (PEP databases)
- Sanctions: National and international sanctions/embargo lists
- Adverse Media: multilingual structured media research internationally (possible links to money laundering, financing of terrorism, fraud, tax evasion, document offences, etc.)
- Web check: Compliance-relevant information in publicly accessible sources
- Other blacklists/watchlists

While ensuring the applicable confidentiality obligations and data protection, the simple and secure process of a Compliance Background Check is accordingly as follows:

1. You send us the full name of the natural or legal person via a secure channel
2. We carry out the screening for you
3. We evaluate the results, if necessary with recommendations for action
4. We document the results and recommendations in a report

5. You assess the results and make the decisions that are suitable for you
6. We offer you the possibility of a recurring check

Since there is no «one size fits all» approach to compliance, you can choose from our three levels of compliance background checks based on the potential risk and your specific requirements. We cost-effectively provide you with the information you need to make an informed decision.

### Overview Compliance Background Check Modules:

Level 1 Quick-Check	Level 2 Standard Background Check	Level 3 Special Background Check
<p><b>Classification:</b> For prospects or business relationships with low to medium risk.</p> <p><b>Result:</b> Enables initial assessment and provides information on whether further research is needed.</p>	<p><b>Classification:</b> For prospects or business relationships with medium to high risk.</p> <p><b>Result:</b> Comprehensive overview of existing legal and reputational risks.</p>	<p><b>Classification:</b> For prospects or business relationships with high and very high risk.</p> <p><b>Result:</b> Comprehensive overview of existing legal and reputational risks.</p>



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Our experts from the Regulatory & Compliance Financial Services Team support you with their industry-specific know-how in efficiently assessing your individual legal and reputational risks of a business relationship or client base.

We look forward to hearing from you and are happy to answer any questions you may have.

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