

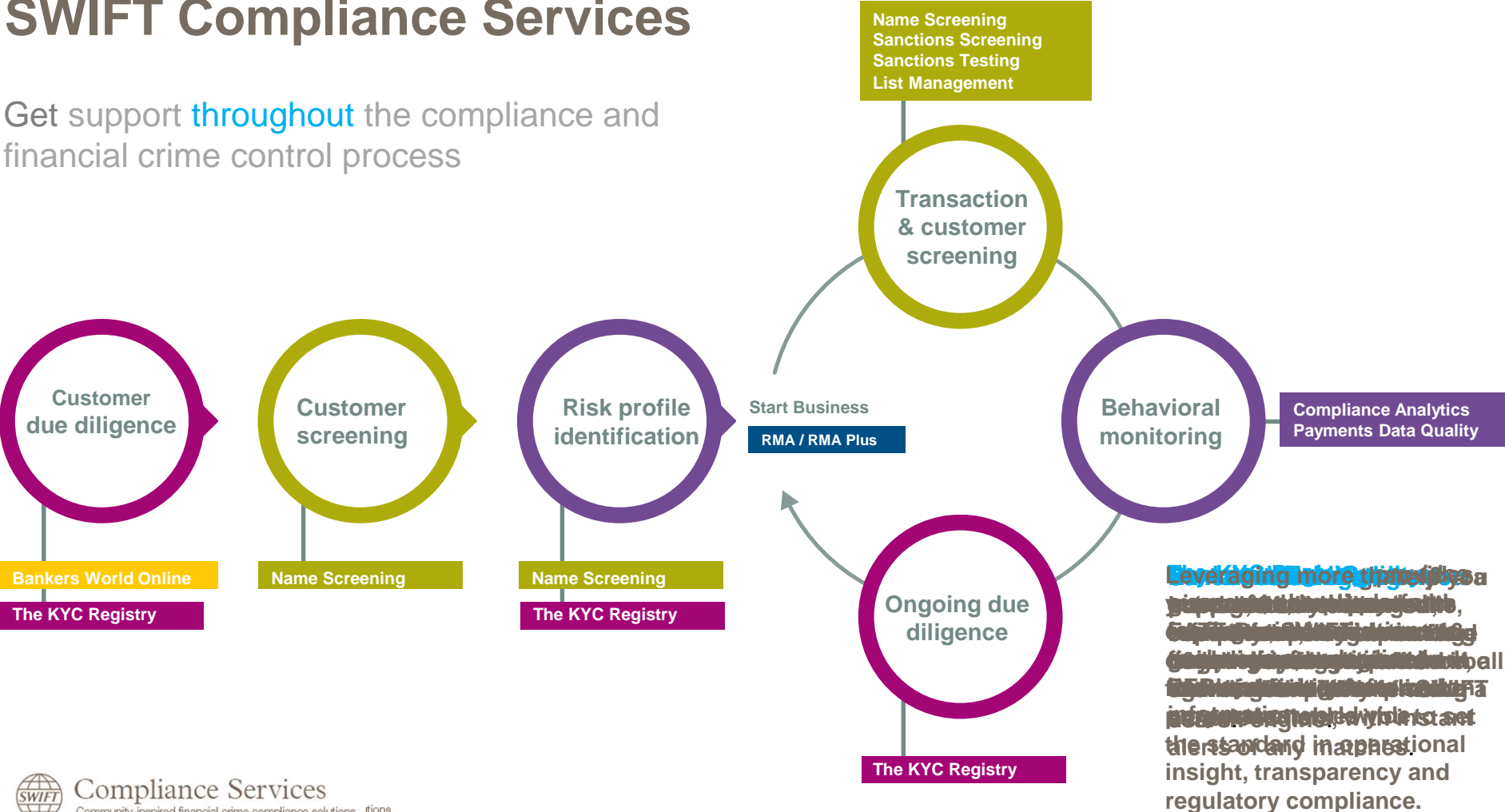


# SWIFT Compliance Services Overview

Julien Laurent,  
Head of Compliance Services CEE / BNL

# SWIFT Compliance Services

Get support **throughout** the compliance and financial crime control process



Empowering more global players with insight, transparency and regulatory compliance.

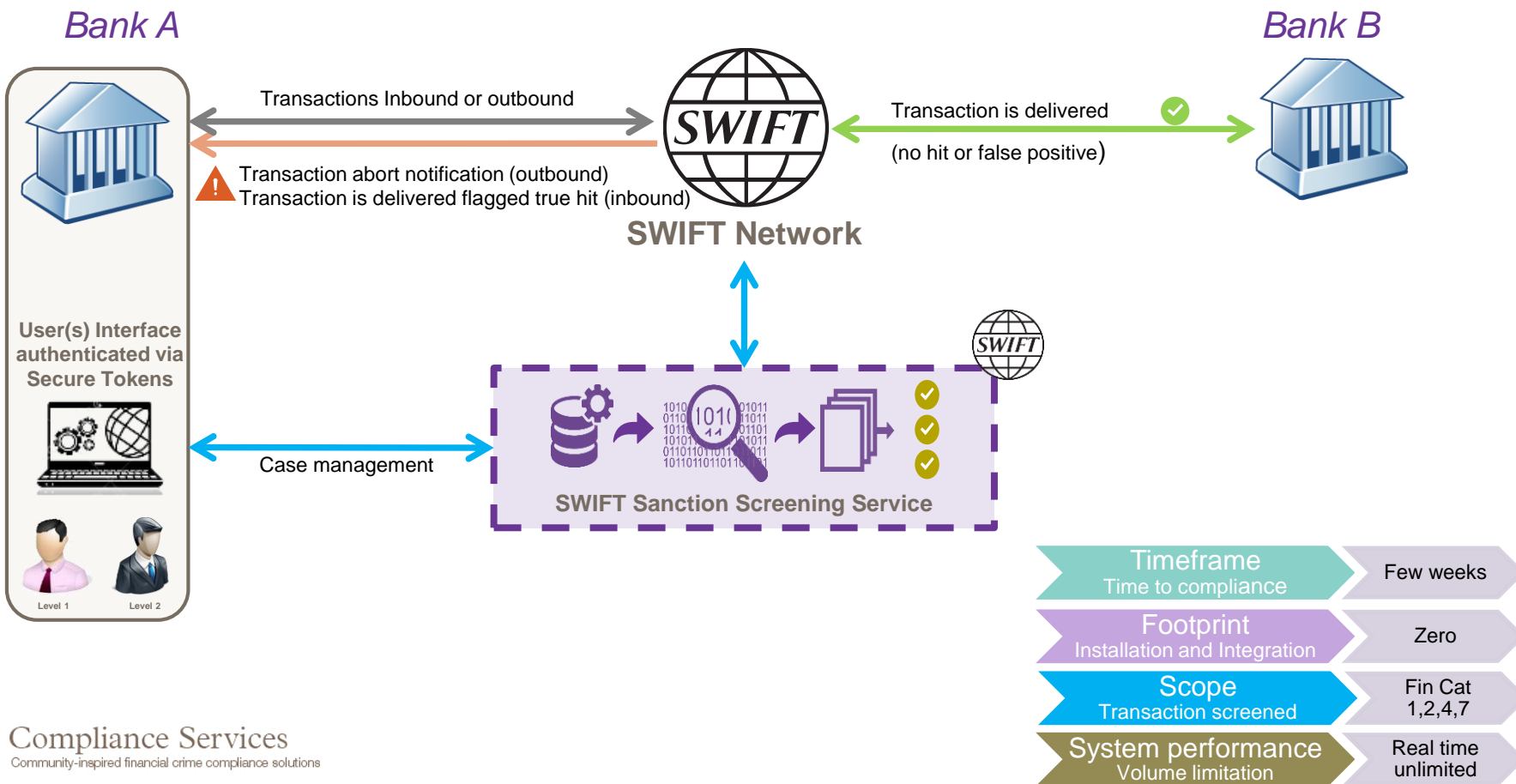


# **SWIFT Compliance Services**

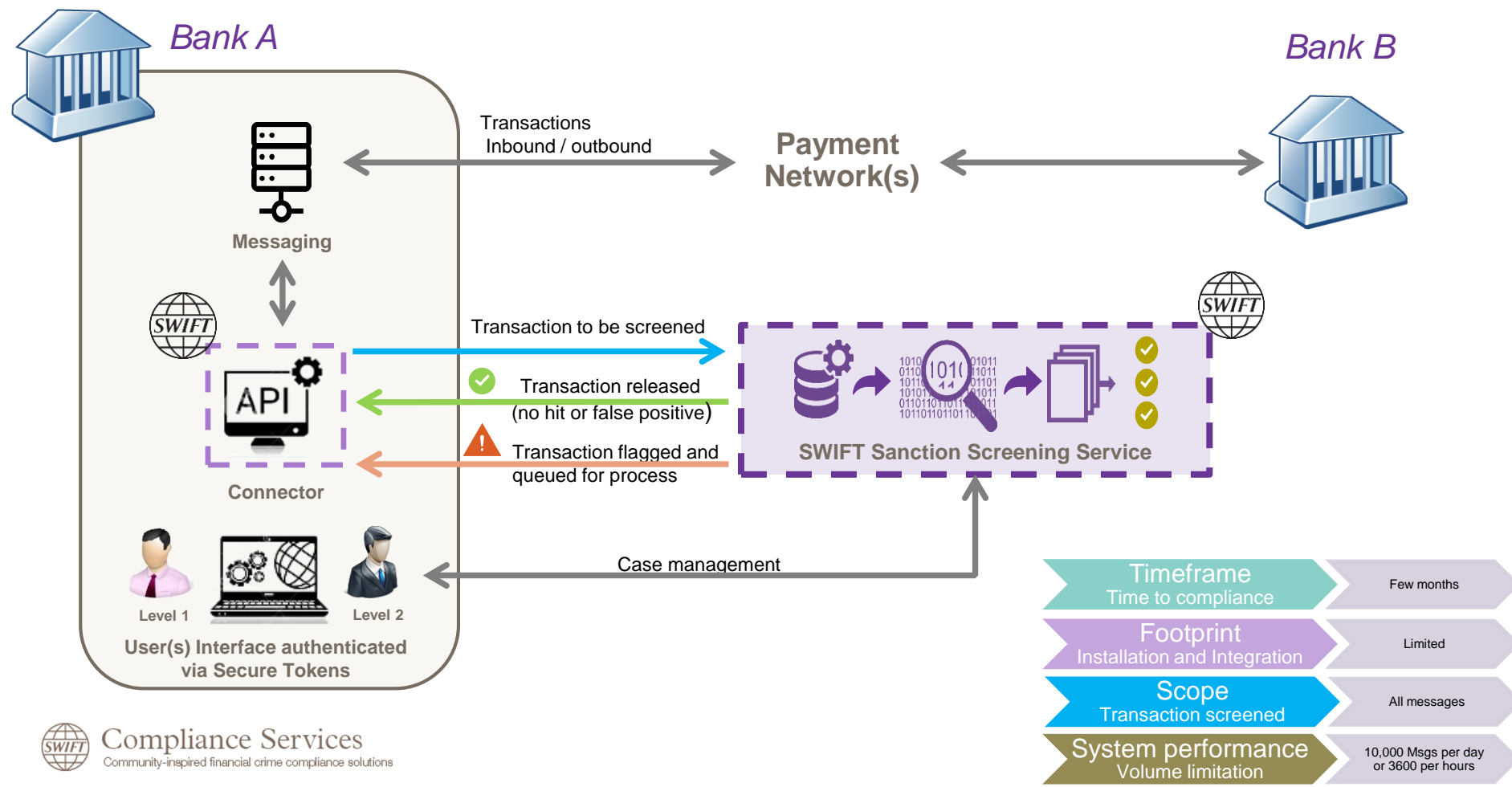
## **Sanctions Screening**

### **Overview**

# SWIFT Sanction Screening



# Sanction Screening Connector overview





# **SWIFT Compliance Services**

## **Sanctions Testing**

**Overview**

# Sanctions compliance – balancing priorities

## Testing

Meeting regulatory demands

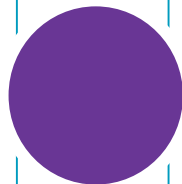
### Effectiveness

Provide assurance that your filter works

Measure system's fuzzy  
matching performance

Assess coverage of sanctions lists

Align screening system to your  
risk appetite



## Tuning

Managing cost and resources

### Efficiency

Reduce false positives  
through iterative testing

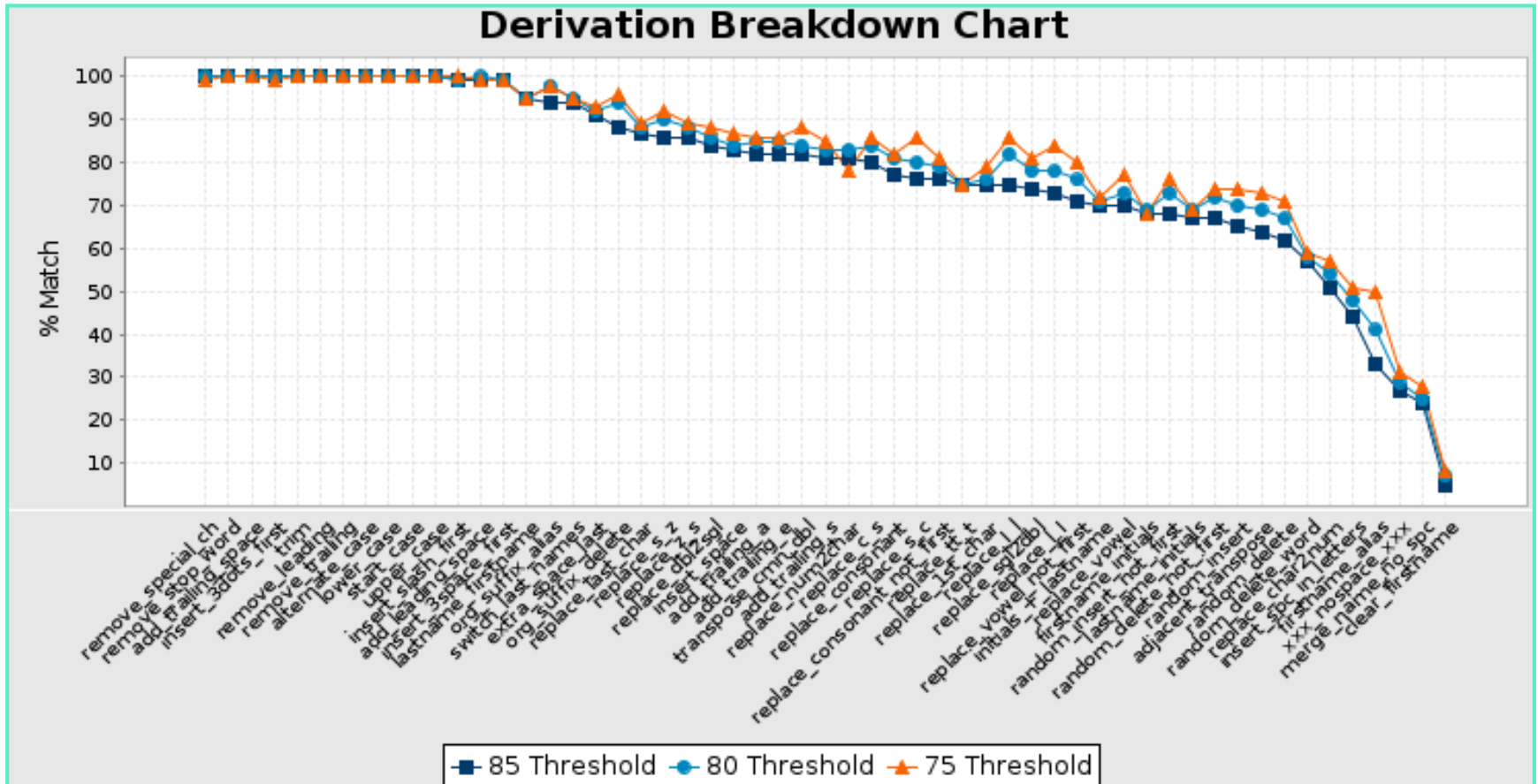
Build optimisation tests into  
your processes

Understand parameter changes

Manage and tune rules and “good-guy” lists



## Sanctions Testing: Fuzzy Matching by Derivation







# **SWIFT Compliance Services**

## **KYC Registry**

**Overview**

# The KYC Registry: Stronger together as a Community





# THE KYC REGISTRY

*For correspondent banking, and funds distribution and custody*

## Over **3,000** financial institutions by October 2016

**1,654 +** in Europe, Middle East and Africa

**812 +** in Asia Pacific

**545 +** in the Americas

**200 +** countries and territories worldwide



Standardised baseline



Up-to-date information



Data verification by SWIFT



Cooperative business model



Secure, user-control access



Launched in December 2014 in collaboration with Bank of America Merrill Lynch, Barclays, Citi, Commerzbank, Deutsche Bank, Erste Group Bank AG, HSBC,



**Compliance Services**

JP Morgan Chase Bank International AG, Societe Generale, and Standard Chartered Bank.

Community-inspired financial crime compliance solutions

# Questions & Answers



Compliance Services  
Community-inspired financial crime compliance solutions



Thank you!