



iComply Risk Management Limited

Products & Services

July 2020

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Company Profile

- iComply is a Compliance services provider based in the Abu Dhabi Global Market (ADGM), the financial centre of Abu Dhabi, United Arab Emirates
- Provide customized Compliance solutions to Financial Institutions (FIs)
- Optimize resources and design risk management and compliance programs
- Use state of the art technology platform
- Protect organisations against non-compliance to regulatory requirements

Our Products & Services

- Compliance Shared Services
- Compliance Assurance
- Policies, Procedures, Systems & Controls
- Compliance Trainings
- Remediation Programs
- Technology

Your Benefits

- Professional competence without burdening existing compliance resources
- Cost-effective solutions
- Efficient use of internal resources
- Expertise in building internal policy infrastructure
- Support in setting up companies and regulatory obligations
- Modern technology to enhance monitoring & controls and enable automation of compliance processes and

Compliance Shared Services

- Authorised Individuals - Compliance Officers (CO) and Money Laundering Reporting Officers (MLRO)
- Expertise across multiple sectors
- Experience with local and international regulators
- Setting up Financial Institutions in the UAE
- Compliance Advisory – Policies, Products, Marketing
- Client & Agent Due Diligence – KYC & CDD
- Bad Press Monitoring – Adverse information screening
- Regulatory Liaison – Regulatory reviews
- Regulatory Reporting – Annual AML return
- Transaction Monitoring – Alert handling, scenario review
- Suspicious Activity Reporting – Internal & External SAR

Compliance Assurance

- **Review of Systems & Controls** – We will conduct assurance reviews of Compliance systems, controls, policies and procedures to ensure that all internal controls are implemented and performed
- **Review of Client Files** – Perform sample checks on client files from a KYC standpoint, on a periodic basis and provide feedback to the Compliance Officer and Money Laundering Reporting Officer
- **Management Information Reporting** – Provide reports to the management on the outcome of the assurance reviews and decide on the corrective actions to be taken
- **Corrective Action Plan** – Implement corrective actions for the identified gaps in processes and assist firms in updating the internal policies and procedures

Policies & Procedures

- AML/CTF & KYC Policy and Client Acceptance Policy
- Sanctions Policy
- Intermediary (Introducers) Policy
- Escalation Procedure
- Gifts, Entertainment and Political Contributions Policy
- Whistleblowing Policy & Grievance Management Procedure
- Complaints Management Procedure
- Personal Account Dealing and Insider Trading Policy
- Conflicts of Interest Policy & Outside Business Activities Policy
- Breach Management Procedure
- Cross-border Management Procedure

Systems & Controls

- Risks & Controls Self Assessment (RCSA)
- Compliance Monitoring Program (CMP)
- Business Risk Assessment (BRA)
- Internal and Regulatory Audits
- Corrective Action Plans
- Capacity Planning and Resource Management
- Staff Conduct Monitoring
- Grievance and Whistle-blowing Review
- Cross-border Risk Review

Compliance Trainings

- General Compliance
- Anti-Money Laundering & Combating Financing of Terrorism
- Sanctions Compliance
- Anti-Bribery & Corruption
- Personal Account Dealing
- Gifts & Entertainment
- Conflicts of Interest
- 3 Lines of Defense
- Whistle Blowing Policy
- Employee Code of Conduct

Remediation

- Client File Review which will include the following:
 - Document Verification
 - Source of Wealth & Source of Funds
 - Transaction Monitoring
 - EDD for High Risk & PEPs
 - Sanctions & Adverse Information Screening
 - Internal SAR Filing
- Policy & Process enhancements
- Regulatory Liaison & update
- Training

Technology

We have partnered with 3Mindz Tech Limited to provide our clients with Compliance Activity Monitoring Portal (CAMP)

Technology

- Client Due Diligence
- Adverse Information Screening
- Trade & Transaction Surveillance
- Staff Conduct Monitoring
- Compliance Monitoring & Automation
- Regulatory Compliance Management
- Complaints Management
- Dashboard & Reports

Contact Us



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