

# 43th SWISS COMPLIANCE OFFICERS MEETING / SCOM

June 5, 2018

SIX Convention Point, Pfingstweidstrasse 110, 8005 Zürich

## 31th SCOM FORUM



**BUREAU VAN DIJK**

A Moody's Analytics Company



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June 5, 2018  
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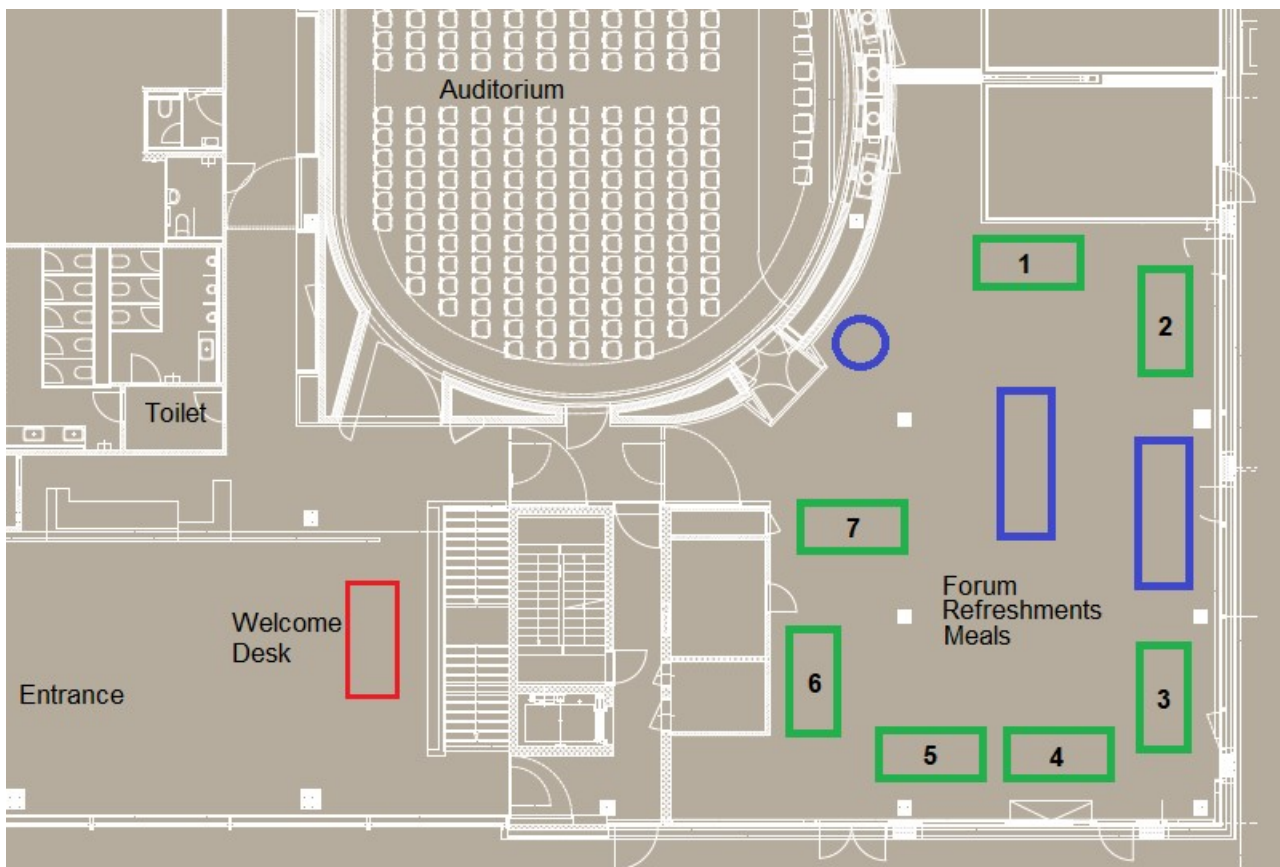
## 31th SCOM FORUM

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Exhibitor Portraits provided by the Companies (in alphabetical order)

## Exhibition Plan



### Exhibitors

- 1 Diction AG
- 2 Geissbühler Weber & Partner
- 3 LexisNexis
- 4 SWIFT
- 5 Bureau van Dijk
- 6 Synpulse
- 7 ZHAW

**Welcome Desk (Entrance Hall)**

**Buffet & Coffee**

**Bureau van Dijk – A Moody's Analytics Company is one of the world's leading publishers of electronic business & company information and a key compliance solutions provider.**

With extensive information on companies' financials, directors and corporate structures, our products can help you with your **AML research, KYC and financial crime prevention.**

They are invaluable for:

- Researching beneficial ownership
- Conflict checking and identifying links between companies
- Client on-boarding / Customer due diligence / KYC research / FATCA research

**Compliance Catalyst** is a risk assessment tool that streamlines KYC & AML research and helps with your client and supplier on-boarding and due diligence. It harnesses the power of valuable datasets in a purpose built platform, including:

- Company financials and descriptions
- Adverse data and news
- **Corporate structures**
- Regulators
- **PEPs and Sanctions**
- **Beneficial owners** and directors / managers
- Original documents

Compliance Catalyst can be completely aligned with your existing compliance processes. It will help you save huge amounts of time and **screen efficiently and accurately across corporate groups** so you can:

- Run automated checks
- Create customised risk scores and risk processes
- Generate secure and detailed reporting

Visit our stand and discover how we can help reduce your reputational and financial risk.

## Contacts

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Diction has been a leading language services provider in Switzerland since 2004 (ISO 17100 certified). At our three offices in Buchs, St. Gallen and Vancouver, we offer first-class translation and proofreading services as well as copywriting and language consultation for a range of industries – including the legal sector.

## Our services

Every legal translation or editing project is carried out according to our four-eyes principle. This means that a minimum of two legal experts will work on every text you send us. Naturally, we rely on native speakers with legal qualifications and years of experience to translate our specialist legal texts, and our experts are always available to answer any questions you might have on language or content. A select circle of trusted external specialists complements our in-house expertise – we never work with anonymous freelancer databases.

Our stringent quality checks are what really set us apart from other language agencies, ensuring flawless, precise and correct legal content in a range of specialist legal texts and fields.

Our in-house terminologist will create and maintain a comprehensive style guide for you, ensuring we are able to make consistent use of the correct legal content and terminology. And, if you would like, we can also provide you with an adjusted layout and clean microtypography.

## Your advantages

- Always there for you – 24 hours a day, 365 days a year – no extra fees or minimum rates
- Efficient teamwork among our internal language experts
- Your questions answered directly by Gianna Halter, Head of Legal Translation, and our team of expert translators
- All translation and editing work carried out according to our four-eyes principle
- Use of CAT (computer-aided translation) tools
- Word processing and layout directly in InDesign or QuarkXPress

## Legal language services in the following areas

- General legal texts: teaching materials, correspondence, website content and internal communication
- Specialised legal texts: court documents, witness testimonies, expert opinions, judgements and documentary evidence
- Compliance texts: organisational regulations, employee handbooks, account opening forms, directives governing cross-border business (including QI, FATCA and AEOI documents) and directives aimed at combating money laundering

## Data protection

All our servers and data are held in an enclosed rack which is monitored around the clock in our secure data centre in Zurich (ISO 22301 and ISO 27001 certified and FINMA Circular 2008/7 compliant). We store all data and backup data on our own servers. We do not use cloud solutions or any third-party servers.

## Your personal contact partners

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## «We set quality standards in compliance»

Geissbühler Weber & Partner (GWP) advises financial services providers on the fulfilment of financial market regulatory requirements and the optimisation of compliance and risk processes. The company supports its clients in their response to regulatory issues and works with them to develop holistic solutions – from planning to implementation and after sales service.

Geissbühler Weber & Partner was founded in Zurich in 2014 by experienced financial market legal specialists Alex Geissbühler and Reto Weber with the idea of developing customised, effective solutions for their clients. Today, GWP is known in Switzerland as a reliable partner for banks and asset managers.

**GWP is part of the Geissbühler Weber Group which is represented in Zurich, Frankfurt, Lugano and Geneva.** In all locations, over 75 specialists in law, regulation and economics work on solutions for issues related to financial market law.

## «We share information, transfer knowledge and reflect on our collaborative work»

Geissbühler Weber & Partner aims to meet the diverse needs of its clients and offers customised services. In close collaboration with its clients, GWP adopts a pragmatic approach to find the right solution.

### Banks



### Asset Managers, Trustees & FinTechs



## «We are more than just a service provider – we are a partner»

With Geissbühler Weber & Partner, you benefit from our extensive market expertise in the implementation of customised compliance projects, and our many years of experience in advising and supporting financial services providers. In all relevant areas and all the way from strategy through to implementation, GWP offers a hands-on partnership with an expert team and direct communication with account managers and partners. Take advantage of our excellent financial market connections and in-depth knowhow.

## Contacts

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**LexisNexis® Risk Solutions** combines data with advanced technology and analytics to assist our customers in evaluating, predicting and managing risk, whilst enhancing operational efficiency.

Our extensive expertise and proven solutions can help you to reduce your risk and strengthen your compliance with Anti-Money Laundering (AML), Combatting Terrorist Financing (CTF) and Anti-Bribery and Corruption solutions (ABC).

We can help you to:

- Assess customers and suppliers for their adherence to relevant financial crime compliance mandates
- Identify gaps and tighten due diligence workflows associated with the Bank Secrecy Act (BSA), Foreign Corrupt Practices Act (FCPA), UK Bribery Act, and critical AML mandates like Know Your Customer (KYC), and Economic Sanctions
- Employ watchlist screening and model risk management to satisfy regulatory expectations with confidence.

We look forward to meeting you at our stand to learn more about how we could assist you with your financial crime compliance challenges.

### Contact

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**Synpulse Management Consulting** is a multinational management consulting company and valued partner of leading financial service providers around the globe.

Our offices in all major financial services centers, our comprehensive service offering and our in-depth industry expertise are the basis for outstanding and bespoke advice and implementation support of our clients. Leading private and retail banks, direct and health insurers, as well as reinsurers trust us to support them on the definition, design, and implementation of their strategic and regulatory change programs.

Synpulse puts its project experience at the service of its clients from Switzerland, Germany, UK, Singapore, Hong Kong and USA. Our broad range of consulting services for banks are assigned to three Competence Centers:

- Digital Banking
- Regulatory & Compliance
- Operational Excellence

### **Synpulse Regulatory & Compliance Competence Center Switzerland**

Synpulse's Regulatory & Compliance Competence Center advises banks and supports them as a regulatory & compliance implementation partner based on a profound regulatory expertise, long-term experience on Compliance topics, and strong realization competencies.

In addition to our expertise, a well-established project procedure, a comprehensive quality assurance, and strong collaboration between Business, Compliance and IT departments are our key success factors for effectively integrating regulatory requirements in the bank's processes and systems as well as aligning and improving compliance structures and processes.

Depending on our clients' needs, we provide support beginning with the definition of relevant regulatory requirements, followed by an impact analysis and solution design, throughout the implementation of requirements and assurance of a smooth hand-over to the "run-the-bank" organization. We are convinced that only a proper, timely, complete, and cost-conscious implementation sets the foundation to building up long-term client relationships.

Our focus in 2018 lies on regulatory topics such as **GDPR, Data Protection & Security, MiFID II, FIDLEG, KYC Management**, and on prevailing banking industry subjects like compliance automation, RegTech integration, and the digitalization of client interaction.

We look forward to meeting you at our SCOM Forum stand.

#### **Contact details:**

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## SWIFT

**SWIFT** is a global member-owned cooperative and the world's leading provider of secure financial messaging services. We provide our community with a platform for messaging, standards for communicating and we offer products and services to facilitate access and integration; identification, analysis and regulatory compliance.

Financial crime compliance is critical to every institution operating in today's increasingly regulated financial markets. You have to comply promptly and accurately with challenging regulatory requirements across multiple jurisdictions. You're charged with detecting illicit activity wherever it occurs. But you also have to keep control of costs and deliver unparalleled customer service, among others:

- Your sanctions filters must detect illicit transactions, without raising so many false-positives that day-to-day business is adversely affected.
- It's necessary to analyse growing amounts of complex data across business lines, geographies and systems, thoroughly but efficiently.
- A lack of standardisation, plus changing requirements such as Anti-Money laundering (AML), makes cost control a difficult challenge.

Whether yours is a large institution transacting in multiple jurisdictions with thousands of counterparties, or a smaller institution with more limited resources, you face the same challenges.

Thankfully, now there's a portfolio of innovative solutions, inspired by the SWIFT community, to help you meet these challenges and control the costs of financial crime compliance. We can help you navigate through the financial crime compliance maze and provide you with the tools you need to tackle the challenges and opportunities head-on. Our proven solutions in the compliance space address industry-wide challenges – in close collaboration with you, our customers.

We are looking forward to meeting you at our SCOM Forum stand to discuss our solutions in the following three areas:

1. **Sanctions** - optimise sanctions compliance with pinpoint precision using our modular set of screening, testing and list services
2. **KYC** - Establish and strengthen correspondent banking relationships using our secure, shared platform to exchange standardised and validated KYC data
3. **Analytics** - use our unique data and world-class analytics to address compliance and fraud risk, keeping your business on the right track.

### Your contacts

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P.S. SWIFT is soon launching the Payment Controls System, a new tool to guard against payment fraud: real-time, in-flight screening of sent transactions.

## Leading in Compliance

The **ZHAW Zurich University of Applied Sciences** is the largest university of applied sciences in Switzerland. Teaching, research, continuing education and other services are both scientifically-based and practice-oriented.

### Compliance Skills – up-to-date & business oriented

We offer practice-oriented and scientifically based continuing education courses, from short courses to comprehensive professional Master's programs.

### Compliance Services – tailored & customized

We train you to become an expert in specific compliance fields, keep you up to date at our conferences, and develop customized solutions to help you meet your compliance challenges.

### Compliance Education – fulfilling legal requirements

#### ▪ **MAS Compliance**

The comprehensive MAS in Compliance has a modular structure consisting of two basic CAS programs and two selective CAS programs that you can choose depending on your needs.

#### ▪ **CAS Compliance Officer**

The CAS Compliance Officer will enable you to set up a Compliance Management System. You will learn about compliance risks and what factors to consider while minimizing these risks.

#### ▪ **CAS Compliance International**

This program will equip you with the knowledge you need for dealing with compliance issues in an international context.

#### ▪ **CAS Compliance Investigator**

In this course, you will learn to conduct an international investigation in a company, from the initial planning and analysis stages, through the execution and conclusion of the process.

#### ▪ **CAS International Competition Law and Compliance**

Let us introduce you to the world of anti-trust law. We will show you how to develop an efficient, intelligent and well-structured compliance program.

## Where to find us

With locations in Winterthur, Zurich and Wädenswil, we are firmly integrated in the local region whilst also collaborating with international partners.

## Find out more

For more information: <https://www.zhaw.ch/en/sml/institutes-centres/zwh/compliance/>

## Contact us

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