

# Financial Crime

Firms face ever increasing pressure to comply with complex anti-money laundering, KYC and sanctions regulations. The potential fines and regulatory enforcement actions arising from firms getting it wrong can be significant.

Our team, many of whom are ex-regulators, hold decades of cumulative experience working on financial crime compliance. Together with our proprietary technology solutions, we deliver cost-efficient and effective outcomes for our clients.

## FINANCIAL CRIME SOLUTIONS

Clear advice and guidance // Efficient, fast, and practical solutions // Deep expertise from dedicated professionals



### OUTSOURCED AML TEAM

We offer an outsourced AML Team solution handling all day-to-day tasks such as customer onboarding and periodic reviews, PEPs & sanctions screening, transaction monitoring, AML reporting, regulatory filings, compliance framework monitoring, and general financial crime advice.



### FINANCIAL CRIME FRAMEWORK

We can help review firm's existing AML framework including their CDD programme, financial crime policies and risk assessments.



### AML AUDIT

We carry out an independent audit to examine and evaluate firm's policies, controls and procedures, including a review of firm's KYC onboarding records.



## OUTSOURCED CUSTOMER ONBOARDING

We provide outsourced customer due diligence / know your customer solutions and PEPs & sanctions screening using an efficient and pragmatic approach so that firms can focus on their core business offering.



## TRAINING

- Anti-Money Laundering
- Anti-Bribery
- Anti-Tax Evasion
- Cyber Security
- Fraud
- Market Abuse
- Sanctions



## MARKET ABUSE AND INSIDER TRADING

We help firms implement conduct risk and surveillance control frameworks to detect market abuse and insider dealing.



## ANTI-BRIBERY AND CORRUPTION (ABC)

We provide solutions to manage firms' ABC and third-party risks such as implementing risk frameworks and performing due diligence on outsourced providers, distributors and counterparties.



## ANTI-TAX EVASION

We implement risk assessments and procedures to ensure firms manage their tax evasion and tax fraud risks.



## FRAUD

We implement policies, procedures and risk frameworks to help firms manage their fraud risks and to address emerging regulatory requirements.

## FINANCIAL CRIME TEAM



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## About Newgate Compliance

Newgate Compliance is a compliance consultancy offering a modern solution to implement your compliance function using an innovative compliance software solution called **The GATEway**.

Newgate has an unrivalled combination of experienced professionals, many of whom are ex-regulators.

Our customer focused approach seeks to provide appropriate, pragmatic and flexible solutions to our clients helping them to meet both the regulator's rules but also the spirit, principles and culture of the regulatory regime.

We look to build long-term relationships with our customers helping to encourage business growth, productivity and innovation. Our proactive approach is tailored to each customer's needs changing to meet those needs as the customer progresses and develops.

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