

Simply Office 365 Client Due Diligence



Providing robust controls and record keeping to meet any Client Due Diligence or anti-money laundering requirements during the on-boarding or ongoing account servicing activities.

Client Due Diligence made simple

The Compliance Hub's **Client Due Diligence** module is designed to deliver robust controls and secure record keeping for your CDD process, so you are always on top of your obligations and know you always have golden copy client information stored safely and securely.

It can be implemented stand-alone or can be integrated with other Hub modules to provide extended client management capabilities. Use with the Compliance Officer Room and Employee Compliance for a complete compliance solution for your firm, on a single integrated platform.



The **Compliance Hub** brings everything you need to manage your compliance into one place. All of your registers, calendars and activities, with connected compliance intranet services available for all your staff.

For AML supervised firms

The Client Due Diligence module will help any firm regulated or supervised for compliance with the Anti-Money Laundering Regulations.

Designed originally for regulated financial service firms, it also provides a robust Client Due Diligence framework for any other type of firm captured by the regulations, ensuring you're always compliant with the CDD control and record keeping obligations required by your supervisory authority.

Features



Centralised Workflows

Centrally record and manage all CDD activity for each account - driven by standardised forms and checklists. Flexible tags enable the account to be categorised according to industry and regulator standards.



Standardised Templates

The firm can associate its standard CDD checklists and forms to the service, ensuring all CDD is completed in accordance with the firm's current standards and process. Changes to templates are version controlled and tracked. If required, best practice templates can be provided from one of our partners.



Robust Evidence & Audit Trails

All CDD information and related documents are version controlled, tracking every change. When a CDD set is approved, the system automatically snapshots all information enabling a full audit trail to be maintained.



Account & Evidence Reviews

Imminent account reviews are displayed on the home page - all reviews can be tracked and evidenced in the version snapshot history, ensuring the firm complies with industry standards. In addition, any evidence that is expiring (e.g. passports) will be displayed, prompting a review to be undertaken.



Risk Management

The rich classification and tagging enables key risk indicators to be surfaced in real-time and analysed by compliance and management. Analyse risk by any of the tags, including sanctioned country, PEP relationships, or level of CDD applied.



Flexible Controls

The Client Due Diligence module is highly configurable, enabling multiple control checks to be configured to implement your current processes.