



**CubeMatch**  
Powering Change

# Financial Crime Solutions (FCS)

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Service Brochure

# CAPABILITIES & EXPERTISE

As Financial Crime and Anti-Money Laundering continue to dominate the regulatory landscape, financial services firms are set on increasing efficiencies, updating legacy systems and adopting new technologies. The projected cost of Financial Crime to the financial services industry is 3% of annual turnover.

Over the past decade, CubeMatch has worked with a number of financial institutions to develop policies, define and implement new target operating models, conduct remediation and deliver on-going operations. We are now extending our suite of services to include Anti Money Laundering (AML) Audit, Enhanced Due Diligence (EDD), Anti Bribery and Corruption Investigations and others. Chris Anderson has been appointed as Managing Partner for CubeMatch's FCS practice and is responsible for delivery of the following services:



**AML AUDIT**

**EDD & INVESTIGATIONS**



**CUSTOMER DUE DILIGENCE (CDD) REMEDIATION**



**ABAC & SANCTIONS RISK ASSESSMENT**



**THIRD PARTY/SUPPLY CHAIN RISK ASSESSMENT**



**REGULATORY AUTHORISATION**



# OUR CAPABILITIES



## CONSULTING

Our team of consultants conduct audit assessments, compile reports, provide deep domain investigations expertise and recommend technology strategies.



## SKILLED RESOURCING

Partnering with us isn't simply about buying consultancy, as our service is provided by a team of professionals with a wealth of real-world expertise. Our SMEs have held senior positions in Global Financial Crimes Compliance in the private sector and Fraud Prevention within Government Organisations.



## TOOL SELECTION & IMPLEMENTATION

With more than 400 vendors supplying a combination of one or more solutions, CubeMatch can identify the best product to meet your regulatory, compliance, risk, and business requirements.



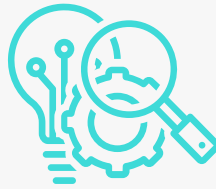
## AECIS (ASSIMILATED ECONOMIC CRIME INTELLIGENCE SYSTEM)

Certain services can be provided in the conventional manner or, alternatively, customers can opt for the AECIS case management and collaboration system. This platform enables us to document and package the work undertaken on your behalf and incorporate related intelligence instantaneously. We can securely communicate with customers via AECIS on a case-by-case basis which results in a highly efficient method for delivering our services.



## AML AUDIT

Regulated firms are required to have their anti-money laundering procedures, personnel and controls independently audited against regulatory obligations on an annual basis. Firms can depend on our specialists to ensure that the highest compliance standards are met.



## EDD & INVESTIGATIONS

Our team is skilled in conducting extensive research on high-net-worth customers and Politically Exposed Persons (PEPs). Exhaustive analysis on current/historical business activities and source of wealth is undertaken and links to money laundering and organised crime identified. Our team is steeped in investigative experience and available to provide full support on both internal and regulator-initiated matters.



## CDD REMEDIATION

It is a mandatory requirement to review customer records regularly to ensure the accuracy of the information held and understand the risk exposure of each customer relationship. This can sometimes place a significant burden on a firm's resources, however, CubeMatch can be relied upon to cover any gaps with qualified personnel.



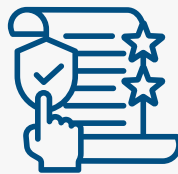
## ABAC AND SANCTIONS RISK ASSESSMENT

Our ABAC specialists can help you investigate alleged violations of bribery and corruption legislation. We also provide advice on implementing practical compliance enhancements across jurisdictions by conducting a Risk and Gap Analysis of your ABAC programme. With our assistance, you will be well equipped to avoid financial and reputational damage.



## THIRD PARTY/SUPPLY CHAIN RISK ASSESSMENT

We provide a third-party/supply chain security assessment report, typically within 24 hours. A thorough evaluation of external partners is conducted, quantifying financial risk exposure (FAIR model) and assessing policy compliance against standards such as ISO 27001, NIST, PCI DSS and others. Most importantly, our analysis indicates if a third party is putting your organisation at risk and what you need to do to mitigate and/or remediate it.



## REGULATORY AUTHORISATION

The authorisation process can be time consuming with several application forms to complete and many supporting documents to assemble. These are required to cover your firm's intended business, governance, financial information and key individuals. There follows a series of interviews with the regulator for you to demonstrate your credentials. This process is lengthy and we have a thorough understanding of it backed by decades of experience in supporting firms with their applications.

Our practice is spearheaded by Chris Anderson who is supported by Matthew Shoulder. Their sole focus is on helping customers meet their regulatory obligations and mitigate financial crime risks. Chris also manages a wider pool of experts with the skills to deliver service of the highest quality at competitive rates.



**Chris Anderson,**

**Managing Partner, Financial Crime Solutions Practice**

*As a financial crime expert with over 30 years of retail banking, stockbroking and investment banking experience, Chris has held senior management positions with several tier 1 organisations. His responsibilities centered on compliance, risk & control and financial crimes compliance.*

*Within these, he has managed several large scale projects including the creation of a local UK office for an investment bank, CDD remediation and the design and rollout of a Europe wide risk & control framework. Chris was also a member of the Fraud Strategic Advisory Panel at the British Bankers Association which led him to create AECIS, a unique case management and collaboration platform. This solution is garnering increasing attention from across the financial sector and the relevant representative bodies both here and overseas.*



**Matthew Shoulder**

**Senior Consultant, Financial Crime Solutions Practice**

*Matt brings a wealth of experience including 12 years at the UK Serious Fraud Office (SFO). He was responsible for leading on multi-layered investigations into complex fraud, including bribery and corruption cases from criminal investigation through to prosecution. He investigated some of the SFO's highest profile cases including one of only two corporate bribery prosecutions in English legal history.*

*Matt is highly experienced in data analytics and identifying critical information by developing strategies to examine terabytes of data. His expertise resulted in over £1 million in savings in a previous role where he created an AI based software solution to detect legally privileged information.*

## KYC Remediation Programme

UK Corporate Bank  
Managed Service

Refresh of 9,000 customer on-boarding files within a 12-month period  
400 KYC specialists across 30 teams and 3 locations  
Transferred resource to the client's permanent team

## Anti-Money Laundering

Global Investment Bank  
Resource Augmentation

Team of 15 AML experts to review and complete AML escalations  
Identified and escalated any sanctions or corruption concerns  
Advisory on AML matters identified through news media

## KYC Customer Outreach

Global Investment Bank  
Resource Augmentation

Team of 20 outreach specialists to clear a backlog of cases in periodic review  
Team management

# HOW CUBEMATCH CAN HELP

## WHO WE ARE

Founded in **2002**, CubeMatch is a **global change and transformation consultancy**, specialising in **Financial Services** and selected as the **chosen partner** for some of the largest and most demanding transformation projects within the Financial Services sector.

CubeMatch is an international brand continuously expanding with **six offices** worldwide : **Dublin, London, Amsterdam, Frankfurt, Singapore and Chennai**. Combining our world class expertise in Financial Services with our rich capabilities in all aspects of change and transformation, we apply a **Multiplier Effect**, helping clients to be more effective today while creating value for tomorrow.

We are **Banking Native**; it runs through our **DNA**. Unlike more general change consultancies, this banking intimacy means we deliver change and transformation programmes that stick, against a backdrop of complex regulations and continuous disruption.

Over the years, we have successfully built a global firm that is uniquely equipped to deliver pragmatic and business-focused results. We have over **400 staff and multi-million euro revenue**. Through our **strategic partnerships** we apply innovation to help organisations operate, compete and deliver at scale. Blending our powerful change capabilities with next generation technology, we deliver **innovation and business agility** to help businesses thrive.

## OUR GLOBAL SERVICES



**Strategic Change  
and Programme Delivery**



**Business and Digital  
Transformation**



**Regulatory, Risk  
and Compliance**



**Data and Technology**



**Quality Assurance**



**Managed Services**

To learn more about our global services: <https://www.cubematch.com/services>



# HOW CUBEMATCH CAN HELP

## GET IN TOUCH TODAY



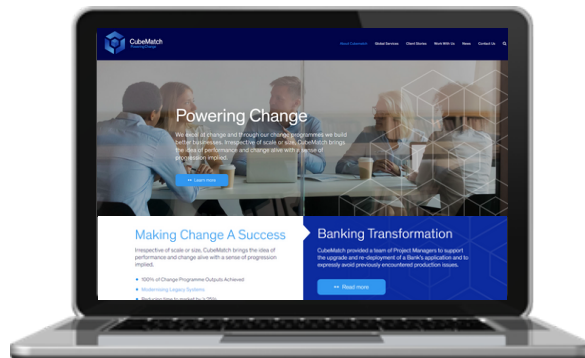
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