

AMC Advisory – Compliance & Risk Management Services

Corporate presentation





About me

- *21 years of experience in external & regulatory audit (financial services) & Compliance (Consulting and industry)*
- *Established AMC Advisory in 2017 (previously Flying CFO®)*
- *Chair of the Switzerland Chapter ACAMS*
<https://www.acams.org/en/chapters/europe/switzerland-chapter#board-f2812d3a>
- *ACAMS Instructor & Speaker in conferences*
- *German, French and English*

Professional Certifications

- *Specialist Anti-Money-Laundering (ACAMS, 2016)*
- *Certified Fraud Examiner (CFE, 2013)*
- *Fellow Chartered Certified Accountant (ACCA, IFRS, 2008)*

Before AMC Advisory

- *eBay Europe & Rest of the World Lead for financial compliance - 2013-2016*
- *Syngenta Global Lead for financial compliance - 2010-2013*
- *Financial external auditor (Mazars, KPMG) & Transaction Services, (KPMG) – 2002-2010*

Recent conferences/Events

- *Panel speaker at the 6th Conference on Ethics & Governance: "Compliance at Risk" (Geneva Sept 14, 2023, ACFE)*
- *Speaker at Society of Corporate Compliance and Ethics: "How to efficiently leverage Compliance Monitoring program for ISO audits?" (Virtual, Sept 6, 2023)*
- *Moderator to the ACAMS event : Will you ever know your customer? (Zurich, Sept 13, 2023) sponsored by NiceActimize*

Publications

- *Article "Swiss whistleblowers pay the price", ACAMS July-August 2018*
- *Article "How local labour laws could stymie a fraud dismissal", Fraud Intelligence, [www. counter-fraud.com](http://www.counter-fraud.com) (2018)*

Clients

- *Asset & funds managers*
- *Casinos*
- *Retail banks*
- *“Big 4” firms (prudential audit assistance)*



3 lines of business entirely dedicated to the financial industry regulatory

Regulatory training

Switzerland & international specific requirements:

- Anti- Money Laundering (AML)
- Know Your Customer (KYC)/Transaction + Customer Due Diligence (CDD)
- Transactions monitoring
- Sanctions...

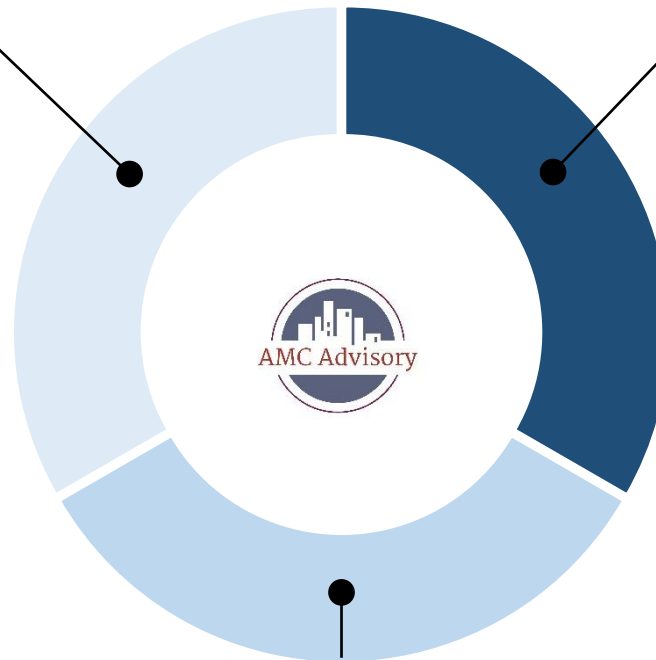
Regulatory consulting

Assess/implement

- AML related policies and processes
- KYC / CDD documentation review
- Mitigation of prudential audit findings
- Review/implement ation of Risk Management setup & internal controls

Assistance on regulatory audits

- Conduct or review findings from prudential audits
- AML audits



	Ad interim Head of Compliance	Ad interim services
	<ul style="list-style-type: none"> Act as Head Compliance ad interim (new teams/cover) 	<ul style="list-style-type: none"> Provides support for specific projects eg regulatory alignments to financial institutions
Corporate governance	<ul style="list-style-type: none"> Set up «new» corporate governance structure Establish policies & procedures Provide trainings to governing bodies (AML, Data Protection...) 	<p>Other ad hoc include:</p> <ul style="list-style-type: none"> Supporting on findings remediations & liaising with external parties (auditors, ISO auditors, lawyers or regulators)
Compliance & Risk Management	<ul style="list-style-type: none"> Establish a Quarterly Compliance monitoring program testing & Risk matrix (risk rating, criteria) Makes recommendations on various Compliance and regulatory topics Provide training 	<ul style="list-style-type: none"> Conducting prudential audits and investigations Conducting dedicated trainings Acting as a contact and coordinator for Due diligence purposes Attending the General Assembly as a Guest Subject Matter Expert (SME) on Compliance matters
Reporting	<ul style="list-style-type: none"> Establish regular reporting on Compliance & Risk Management activity 	<ul style="list-style-type: none"> Scouting for automated solutions where/if needed

Specialised AML staff trainings

International standards and framework with focus on every organization's needs:

- ½ days on dedicated topics
- Use of real case studies to apply theory to practice

Each training includes a final assessment

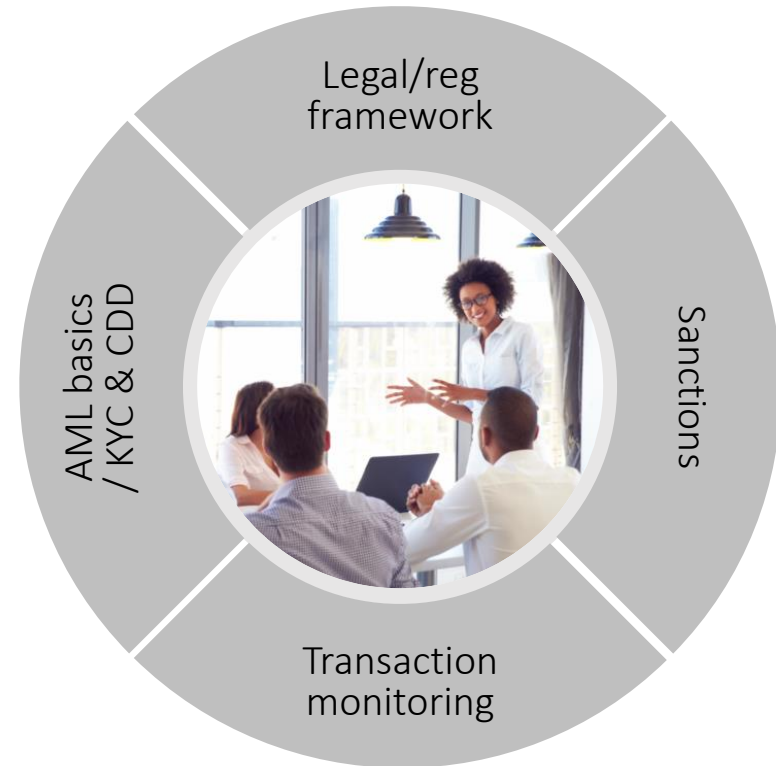
Compliance Academy Training

Compliance fundamentals for Compliance officers:

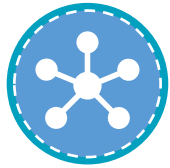
- 5 modules of 8 hours each
- Final assessment of 50 questions with 85% pass rate

Each training includes a final assessment

- *Other trainings include Data Protection and tailored trainings*



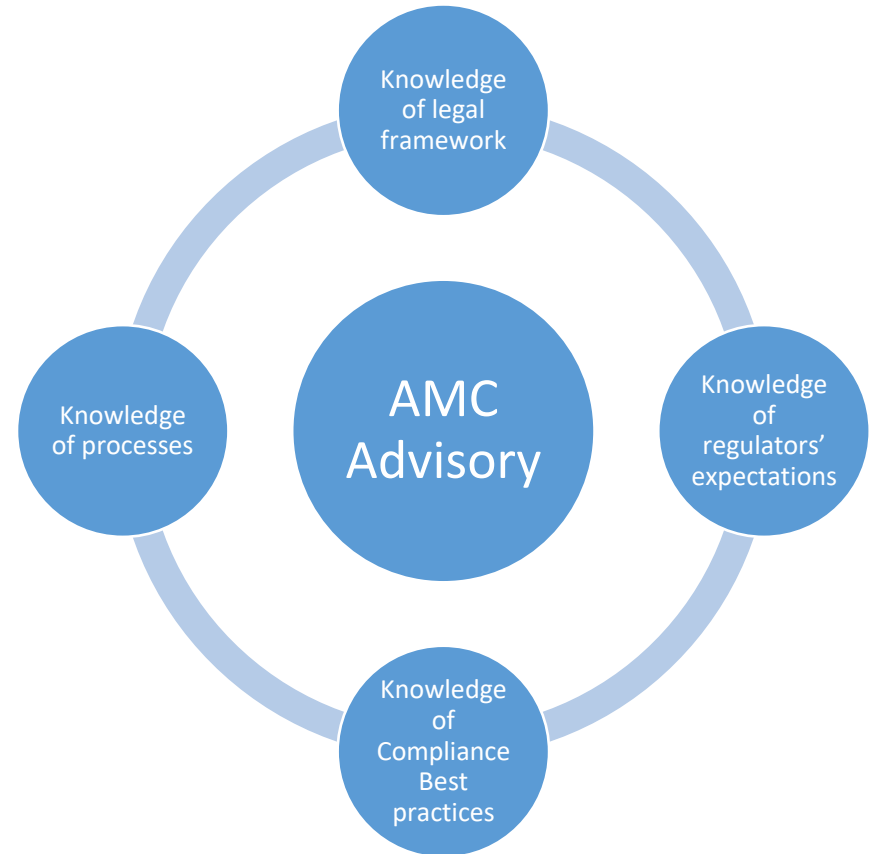
AMC Advisory **combines a full set of expertise** ranging from external to prudential audits, legal & regulatory knowledge to operational processes & internal controls necessary for Risk Management



POINT OF CONVERGENCE

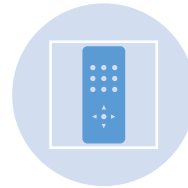


AMC Advisory **provides a one-stop shop solution to Clients:** from assessment to remediation and adequate reporting to Management and governing bodies



**Responsive**

Remote working or on
Clients 'premises



**Flexible
&
efficient**



Transparent costs with
clearly defined timelines



**One-stop-shop knowledge
pool**



ACAMS authorized instructor
for the preparation to the
ACAMS certification &
trainings



AMC Advisory is a niche provider with immediate & tailored response

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