



Expert Governance, Risk
& Compliance Consulting



Client On-Boarding, Anti-Money Laundering, Know Your Client and Financial Crime services

Lysis Financial is a boutique City-of-London-based consulting firm providing strategy and execution services to the global financial services market across the disciplines of Governance, Risk and Compliance.

Lysis' Client On-Boarding (COB), Anti-Money Laundering (AML) and Know Your Client (KYC) services are offered to financial services firms and to other industry sectors where AML/KYC is required. These include law firms, accountancy firms, payment companies, money services businesses and the gambling industry.

Services include:

- **AML/KYC operational strategy** – We advise the COOs and Chief Compliance Officers (of global and regional firms) on the most effective operational strategy for executing AML/KYC given the firm's geographical coverage and customer mix. We consider delivery models; in-house versus out-sourced, on-shore versus off-shore. Organisational models; should KYC sit within compliance or within operations, and the appropriate level of automation, MI and process effectiveness.
- **Operations design, strategy implementation and change management** – We work with the front office, operations, compliance and legal teams to transition the firm to a new or enhanced COB, AML and KYC operating model. Our services include operating model design and implementation, and change and programme management.
- **KYC operational review** – We review the coverage, capabilities and effectiveness of a firm's KYC regime and recommend improvements. This includes a review of the internal policies and operational frameworks, and sample-checking the output of KYC operations to ascertain if the quality of files satisfies internal policy, regulatory and best practice standards.
- **Financial Crime Advisory** – We work with Financial Crime compliance functions to review the firm's financial crime provisions and to design and implement improvements. We can supply interim personnel to work within Financial Crime departments from our team of qualified compliance professionals and money-laundering reporting officers (MLROs).

We also provide a KYC case execution service (Lysis Operations) and a KYC training service (Lysis Academy).

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