



COMPLIANCE AND REGULATION

Safety Guide

Financial Services

4

Key Benefits

16

Control Measures

3

Checklist Items

KEY BENEFITS

Risk Mitigation

Mitigates legal and financial risks from non-compliance.

Trust Building

Builds trust with stakeholders and regulators.

Efficiency

Improves operational efficiency through structured processes.

Reputation

Enhances organizational reputation and credibility.

KEY HAZARDS & CONTROL MEASURES

Regulatory Non-compliance

- ✓ Regulatory monitoring systems
- ✓ Staff training programs
- ✓ Compliance calendar maintenance
- ✓ Internal audit procedures

Data Breaches

- ✓ Data protection policies
- ✓ Access control procedures
- ✓ Encryption standards
- ✓ Incident response plans

AML Failures

- ✓ Transaction monitoring
- ✓ Suspicious activity reporting
- ✓ KYC procedures
- ✓ AML training programs

Regulatory Changes

- ✓ Regulatory horizon scanning
- ✓ Change management procedures
- ✓ Impact assessment processes
- ✓ Industry association engagement



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