



Cross-Border Services

Regulatory & Compliance

Avoid reputational risks by deploying the KPMG cross-border tool used by leading Swiss financial service providers.

Your Benefits

Overarching global network and best practice

KPMG works exclusively with highly experienced local specialists that have a profound market knowledge and that are in constant contact with the local regulators

High-quality product and reliable guidance

We leverage our worldwide audit experience, local market insights and international specialist contacts for you

Unique worldwide coverage

Our cross-border manual portfolio includes more than 150 countries

Regular updates and change notification

We provide you with an updated version of our documents at least once a year, highlighting all changes in color and provide a summary outlining all substantial regulatory changes

Standardized format and structure

Our fully standardized cross-border manuals make internal handling / processing easy and lower implementation costs

Full service offering

We will support you in all aspects of cross-border compliance and client suitability (e.g. processes, trainings, certifications, policies, risk analysis, etc.)

No extra cost and strong service level

We provide prompt and reliable feedback. Clarification requests are free of charge

Automation / Digitalization

Our service offering includes a state-of-the-art automated solution for your cross-border, client and product suitability assessments

Our Experience and Expertise

- Constant exchange with cross-border specialists in more than 150 countries worldwide
- Perform cross-border, in-depth audits for national and international banks
- Have implemented cross-border frameworks for various types of financial service providers
- Act as cross-border single point of contact for two major universal banks
- Digitalize cross-border and suitability rule sets by integrating these into a stand-alone tool or into your own software environment (digital implementation through our strategic partners or the partner of your choice)

Cross-Border Service Portfolio

Risk Analysis	<ul style="list-style-type: none">• Analysis of relevant risk exposure per country (legal and reputational risks)• Advice on risk strategy and allocation of employees
Internal Policies & Processes	<ul style="list-style-type: none">• Individual cross-border policies and processes tailored to internal structures• Other policies and processes (e.g. escalation process)
Cross-Border Manuals	<ul style="list-style-type: none">• Generic or individual Private Banking Cross-Border Manuals outlining the country-specific rule set• Regular updates of content provided and information about upcoming changes
Training Concept	<ul style="list-style-type: none">• Creation of a script for an e-learning tool based on the individual Cross-Border Framework• Individual Cross-Border Banking classroom education and workshops/trainings
Travel Approval Process	<ul style="list-style-type: none">• Setup of individual travel approval process in consideration of available tools and infrastructure• Creation of documentation supporting the approval process
Internal Control System	<ul style="list-style-type: none">• Setup of comprehensive Internal Control System (ICS) to match the Cross-Border Framework• ICS related to training, travel, documentation and communication
External Asset Managers	<ul style="list-style-type: none">• Due diligence for new EAMs• EAM contracts
Employee Remuneration	<ul style="list-style-type: none">• Setup of employee remuneration program• Creation of related policies/directives
Cross-Border Audit	<ul style="list-style-type: none">• Detailed Audit of the existing Cross-Border Framework (policies, manuals, processes, ICS, etc.)• Risk assessment of existing cross-border frameworks and support in defining counteractions
Cross-Border Monitoring	<ul style="list-style-type: none">• Monitoring Compliance with Cross Border Framework• Regular update of relevant concepts; sanctioning of breaches

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