

Securities investment business registered persons – AML audit solution

The Cayman Islands Anti-Money Laundering Regulations (as amended) (“AMLRs”) and the Cayman Islands Monetary Authority’s Guidance Notes requires all SIBA Registered Persons to place additional focus on their AML / CFT / CPF and Sanctions framework and to ensure that the expected standards are being met.

Ensuring your business is fully compliant and that you are adhering to regulations in the most efficient manner, will protect you from enforceable penalties.

Grant Thornton’s internal audit team has built an efficient, effective & low-cost regulatory compliance solution to fulfill your organisation’s regulatory obligations to perform an independent AML Audit and improve its ability to prevent, detect, and respond to compliance violations and misconduct and foster a culture of integrity.

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Are you confident that you are fully compliant with your regulatory obligations, given the pace of change in the regulatory environment? Don’t wait for a visit from the regulator to highlight weaknesses and find yourself subject to costly regulatory censure.

Our AML Audit covers the following:

- Assessment of the adequacy of AML internal policies and procedures
- Assessment of compliance with relevant laws, regulations and guidance
- Testing of the overall integrity and effectiveness of the AML / CFT / CPF and Sanctions systems and controls
- Real time recommendations & feed back
- Draft Report with observations & findings
- Suggesting Remedial Actions
- Final Report with remediation points addressed (if any)

Our experts at your side



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