



imeta

Lysis Operations CLM & KYC Managed Service



Introduction

Lysis Operations provides best-in-class KYC & Client Lifecycle Management execution services from our AML Delivery Centres based in London, New York, Frankfurt, Dublin and Edinburgh or on site from client locations.

We provide secure, efficient and cost effective end-to-end KYC managed services that include:

- **New Client Onboarding**
- **Periodic KYC review**
- **Screening & Ongoing Monitoring**
- **Regulatory Classification**
- **Client Outreach**

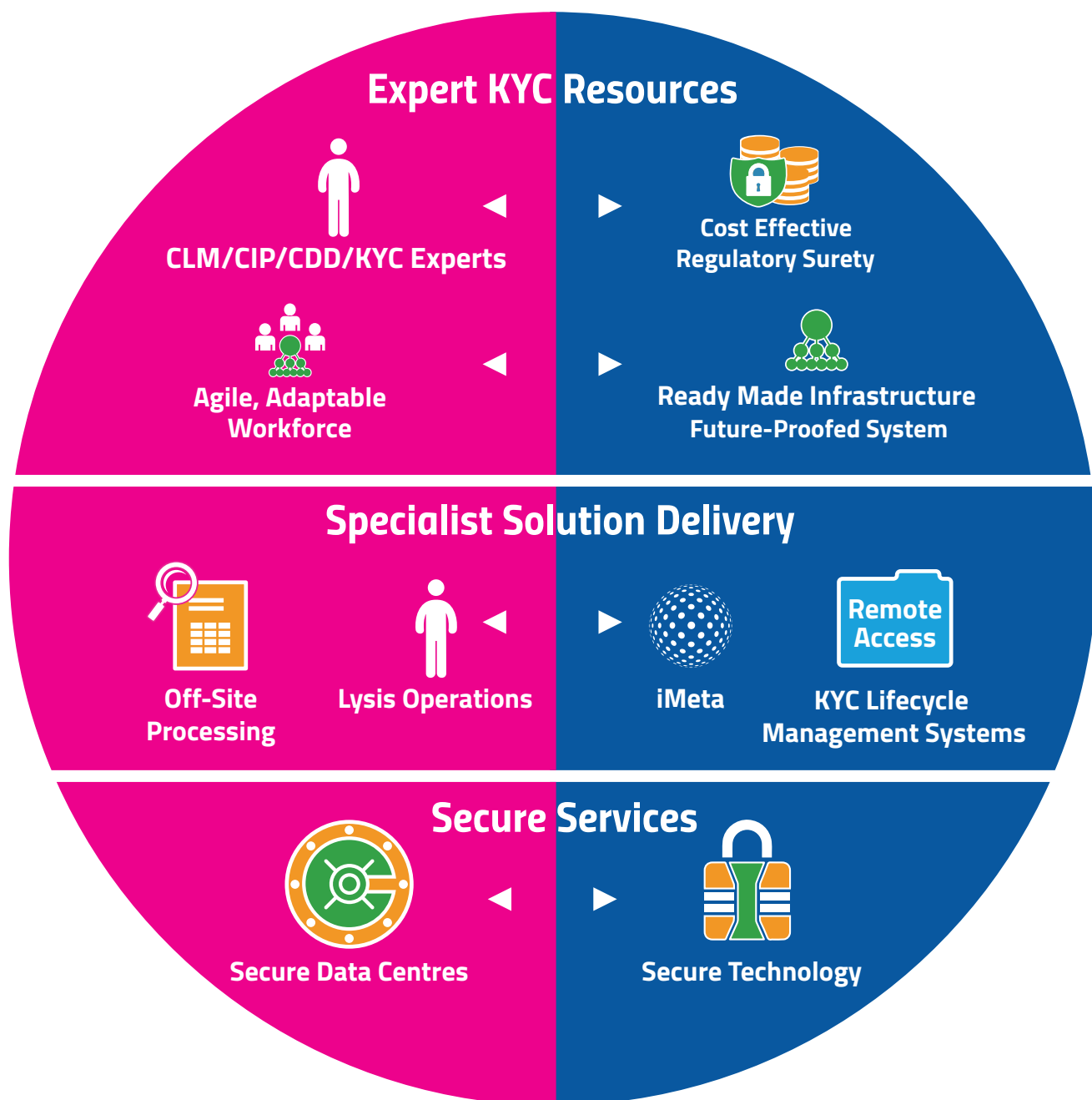
The service can be tailored to specific requirements and is delivered by professional teams that can be scaled as required.

Our staff are Compliance and Operations professionals with experience within major financial services firms and are trained accordingly.

Partnered with iMeta technology, the service is complimented by a world-class CLM workflow solution.



How it works



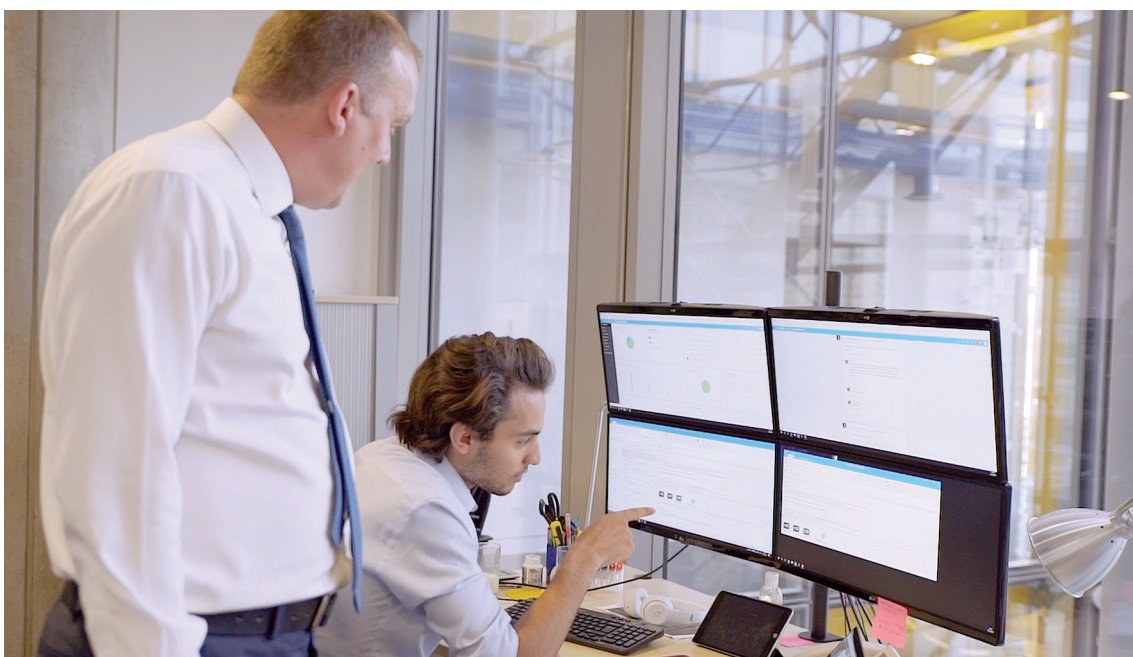
Why

The cost of KYC and managing CLM requirements is a necessary burden all financial institutions and other regulated firms, large or small, need to manage.

The regulatory demands necessitate the need for policies and controls that rely on experienced and capable operational resource as well as adequate systems and processes.

Many firms struggle to balance the cost of these requirements with their business and budgetary constraints as well as dealing with the operational risk associated with KYC and CLM processing and resourcing.

Our service increases efficiency, which in turn improves the customer experience, lowers cost and provides the security that the KYC operation is being managed by expert personnel.



The Service

The award-winning service has been designed and is managed by industry leading AML and KYC experts with over 15 years' experience in operational and advisory roles within a wide range of regulated institutions.

We provide a service to suit multiple requirements, large or small. Our larger operations are structured with specific teams focusing on specific client types, risk types and other relevant requirements.

All operations are supported by Team Leaders who ensure Quality Assurance service levels are maintained and each Managed Service is overseen by experienced Operations Managers.

Our flagship service is supported by iMeta's CLM platform. However, we also offer the service using existing CLM systems clients have in place. This can be carried out either on-site or remotely by our secure IT connection – connections are regularly tested and audited by independent third party IT security experts.

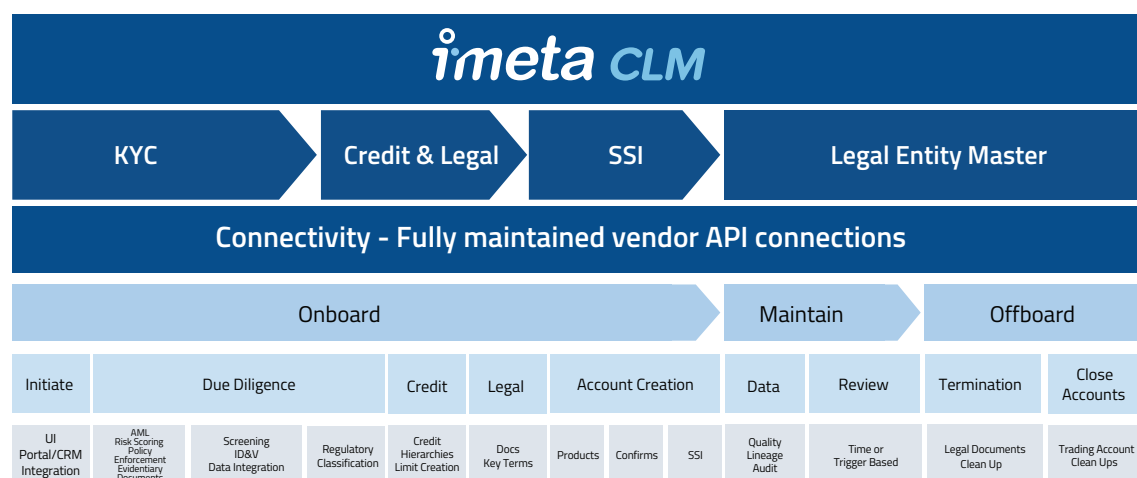
We are proud winners of this prestigious RegTech award for Best Alliance Between Solutions Partners to Address Regulatory Compliance.



iMeta Technology

The Lysis KYC Managed Service is underpinned by the iMeta Client Lifecycle Management Platform.

iMeta CLM is a client lifecycle and data management platform, developed for global financial institutions. It enables users to quickly and efficiently onboard and audit new clients and review existing clients; ensuring that best practice, risk based policies are applied, which comply with current regulatory and legal obligations. KYC data and the associated documentation is stored securely and reviews can be managed effectively through the review and approval process. At every step, a full audit trail of processes and policies, together with full data lineage, is readily available via the intuitive user interface. iMeta CLM provides a single source of clean, consolidated data across the enterprise – ensuring increased efficiencies and reduced onboarding times, whilst delivering regulatory surety.



iMeta is one of our Innovations Lab technology partners. In our Innovations Lab we work with financial services firms, both buy-side and sell-side, and RegTech firms to identify, test and implement new innovations with an objective of streamlining and lowering the costs associated with AML and CLM processing.

For more information on our Innovations Lab, please contact innovations@lysisfinancial.com

Expert Resource

The Lysis KYC Managed services are operated and managed by industry leading KYC and AML practitioners.

Management oversight and expert leadership is provided no matter how large or small the requirements are.

Operations Manager:

- Our Operations Managers provide oversight and leadership of our service and typically have 15+ years' experience within AML and KYC.

Team Leaders:

- Daily oversight of each managed service is provided by experienced Team Leaders with subject matter expertise in CLM, KYC and AML.
- Team Leaders also conduct and oversee Quality Assurance.

Quality Assurance:

- QA checks are carried out to ensure reviews are line with policies, procedures and any other specific requirements.
- Our QA analysts typically have 5+ years' experience within KYC.

KYC Analyst:

- Experienced KYC analysts are the engine of the KYC Managed Service and we ensure our analysts are experienced and suitably skilled to carry out reviews across all legal entity types, risk ratings and CLM requirements such as regulatory outreach and classification.



Expert Governance, Risk
& Compliance Consulting

Lysis Financial provides services across Governance, Risk and Compliance, including Section 166 remediation, enterprise-wide risk management frameworks, design of client on-boarding and anti-money laundering target operating models and compliance policies and procedures to global financial institutions and other financial services companies, regulated institutions and industries.

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AML & CLM Processing
by Professionals

Lysis Operations is an innovative AML and KYC service company which operates globally, serving major global investment banks, financial services institutions and other regulated industries, including estate agency businesses. We provide qualified and experienced teams from our City of London Operations Centre and we can also scale across New York, Frankfurt, Dublin and Edinburgh, where we have an operational presence. We deliver efficient and cost-effective KYC and AML processing, remediation and client on-boarding. Our ability to scale to meet our clients' needs is matched by our proactive and highly responsive customer service.

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AML, Governance, Risk
& Compliance Training

Lysis Academy provides comprehensive AML, and Governance Risk and Compliance training via Public and Bespoke Courses to individuals and to banks, financial services firms and estate agencies. The Public Courses, which are classroom-based, take place at our City of London headquarters and run regularly throughout the year. Our Bespoke courses can be delivered in-house or in clients' offices worldwide. Lysis Academy also collaborates with Cass Business School Executive Education to deliver the Cass Post-Graduate Certificate In Anti-Money Laundering.

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