



**RockFin builds tailor-made solutions for companies to enable their COMPLIANCE teams to be more efficient and achieve cost-effective solutions**

*We understand the challenging business and demanding regulatory environments in Mauritius*

## **WE ARE HERE TO SUPPORT YOU**



**COMPLIANCE**



**CONSULTANCY**

**We provide the following for the least:**

◆ **Client Acceptance & Onboarding exercise**

- Carrying out due diligence exercise on individual/entity and risk assessment
- Generating KYC search and reports and verifications in line with the UN sanction list, OFAC and FATF
- Identification of source of funds/wealth

◆ **On-Going Monitoring**

- Compliance review of client files and Transaction monitoring
- Risk management & assessment
- Liaising with authorities and assisting for suspicious transaction reporting

◆ **Advice on corporate matters, during restructuring, employment matters and termination processes**

◆ **Assistance on other administrative, regulatory, contractual or commercial issues**

◆ **Consultancy Services**

- Implement and review policies/procedure and control to ensure that clients are in compliance with all relevant law, rules, regulation, code and guidelines
- Recommendation for improvement of clients' compliance & control framework
- Drafting of compliance manual, AML policies & procedures
- Business continuity plan, Audit & Training
- FATCA/CRS – XML conversion

**Contact Us For More Information:**

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