

Deloitte Codex

A Digital Financial Crime Obligations Register

A single-source of truth with over 950
Obligation Sources from 20 jurisdictions

The image displays the Deloitte Codex interface across three devices: a desktop monitor, a laptop, and a tablet. The desktop monitor shows the 'Underlying Obligations' section with a search bar and a list of results. The laptop shows a detailed view of an obligation source titled 'Additional KYC requirements for companies deemed to be higher risk'. The tablet shows a 'Welcome to Deloitte Codex' screen.

Deloitte Codex Desktop View:

- Navigation: Home, Consolidated Obligations, **Underlying Obligations**, 111 Page
- Section: Underlying Obligations
- Filter by: Obligation Group/Theme (AMCT/AFSB, Sanctions/750), Obligation Category/Sub-Theme
- Results: 632 Underlying Obligations
- Search: [Search] 1 2 3 4 5 Next
- Item 1: **Third-Party Relationships Risk Management Guidance**
Jurisdiction: United States | Regulatory: Office of the Comptroller of the Currency (OCC) | Obligation Type: Guidance | 847 | [Bookmark]
- Item 2: **Reference APPENDIX A**
Bank assessment with Third-Party Relationships Use of Third-Party Risk Management's direct control of advice and may in...
Published: Last updated: 11 Jan 2018 | [Bookmark]
- Item 3: **Reference Contract Negotiation**
Once the bank selects a third party management, it should negotiate a contract that clearly specifies the rights and responsibilities...
Published: Last updated: 11 Jan 2018 | [Bookmark]
- Item 4: **Reference Documentation and Reporting**
A bank should properly document and report on its third-party risk management process and specific arrangements throughout the...
Published: Last updated: 11 Jan 2018 | [Bookmark]
- Item 5: **Reference Due Diligence and Third-Party Selection**
A bank should conduct due diligence on all prospective third parties before entering into an emerging business relationship...
Published: Last updated: 11 Jan 2018 | [Bookmark]
- Item 6: **Reference Independent Reviews**
Senior management should ensure that periodic independent reviews are conducted on the third-party risk management process...
Published: Last updated: 11 Jan 2018 | [Bookmark]
- Item 7: **Reference Monitoring**
Ongoing monitoring should be a component of the...
Published: Last updated: 11 Jan 2018 | [Bookmark]

Deloitte Codex Laptop View:

- Section: **Additional KYC requirements for companies deemed to be higher risk**
- Status: Published | Last updated: 11 Jan 2018
- Summary: Review and assess the risk of a company to determine whether, in addition to standard KYC, additional due diligence or enhanced due diligence should be conducted on a company, where the risk is higher than the standard information provided or provided. Examples of risks that may include, but are not limited to: 1. Whether the company is a customer's business partner; 2. Use of the industry activity or public identity; 3. Use of appropriate independent third-party due diligence checks; 4. Company is based in high-risk jurisdiction; 5. Company is a shell company, company, or represents a public company with excessive debt; 6. Ownership structure raises potential concerns.
- Comments: Add a comment
- Sources: 5 Underlying Obligations
 - AMCT/AFSB: Monetary Authority of Singapore (MAS) | Published: 06 Feb 2018
 - Sanctions/750: Potential Indicators of Proliferation Financing | Published: 06 Feb 2018
 - AMCT/AFSB: Reference: 31 | Published: 06 Feb 2018
 - Sanctions/750: Reference: 31 | Published: 06 Feb 2018
 - Sanctions/750: Reference: 31 | Published: 06 Feb 2018