



AMC Advisory –  
Compliance & Risk Management Services  
Corporate presentation





## About me

- *21 years of experience in external & regulatory audit (financial services) & Compliance (Consulting and industry)*
- *Established AMC Advisory in 2017 (previously Flying CFO®)*
- *Chair of the Switzerland Chapter ACAMS*  
<https://www.acams.org/en/chapters/europe/switzerland-chapter#board-f2812d3a>
- *ACAMS Instructor & Speaker in conferences*
- *German, French and English*

## Professional Certifications

- *Global Sanctions Specialist (ACAMS, 2023)*
- *Specialist Anti-Money-Laundering (ACAMS, 2016)*
- *Certified Fraud Examiner (CFE, 2013)*
- *Fellow Chartered Certified Accountant (ACCA, IFRS, 2008)*

## Before AMC Advisory

- *eBay Europe & Rest of the World Lead for financial compliance - 2013-2016*
- *Syngenta Global Lead for financial compliance - 2010-2013*
- *Financial external auditor (Mazars, KPMG) & Transaction Services, (KPMG) – 2002-2010*

## Recent conferences/Events

- Moderator to the ACAMS event hosting Kenneth Rijock, author of *"The Laundry Man"* (Online, 6 December 2023)
- Panel speaker at the 6th Conference on Ethics & Governance: *"Compliance at Risk"* (Geneva Sept 14, 2023, ACFE)
- Moderator to the ACAMS event: *Will you ever know your customer?* (Zurich, Sept 13, 2023) sponsored by NiceActimize
- Speaker at Society of Corporate Compliance and Ethics: *"How to efficiently leverage Compliance Monitoring program for ISO audits?"* (Virtual, Sept 6, 2023)

## Publications

- Article "Leveraging compliance monitoring programs for successful ISO audits", Society of Corporate Compliance and Ethics, January 2024
- Article "Swiss whistleblowers pay the price", ACAMS July-August 2018
- Article "How local labour laws could stymie a fraud dismissal", Fraud Intelligence, [www. counter-fraud.com](http://www.counter-fraud.com) (2018)

## Clients

- *Asset & funds managers*
- *Casinos*
- *Retail banks*
- *“Big 4” firms (prudential audit assistance)*



## 3 lines of business entirely dedicated to the financial industry regulatory

### Regulatory training

Switzerland & international specific requirements:

- Anti- Money Laundering (AML)
- Know Your Customer (KYC)/Transaction + Customer Due Diligence (CDD)
- Transactions monitoring
- Sanctions...

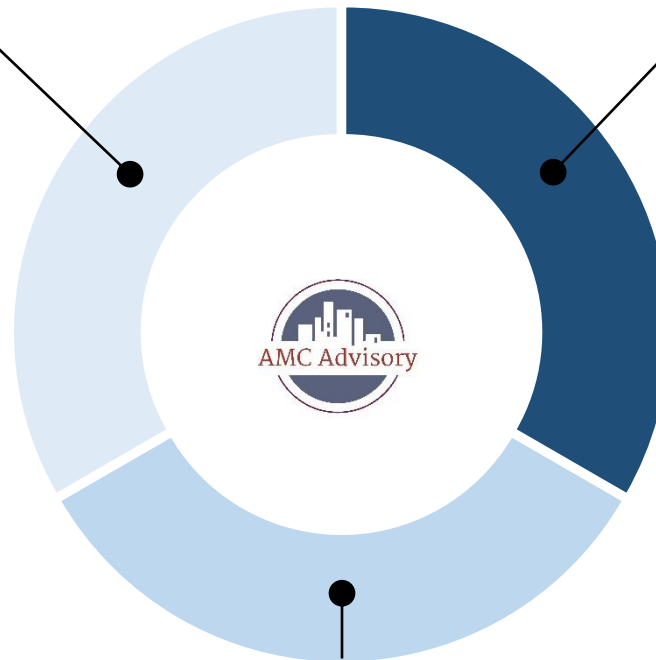
### Regulatory consulting

Assess/implement

- AML related policies and processes
- KYC / CDD documentation review
- Mitigation of prudential audit findings
- Review/implement ation of Risk Management setup & internal controls

### Assistance on regulatory audits

- Conduct or review findings from prudential audits
- AML audits



	Ad interim Head of Compliance	Ad interim services
	<ul style="list-style-type: none"> <li>Act as Head Compliance ad interim (new teams/cover)</li> </ul>	<ul style="list-style-type: none"> <li>Provides support for specific projects eg regulatory alignments to financial institutions</li> </ul>
Corporate governance	<ul style="list-style-type: none"> <li>Set up «new» corporate governance structure</li> <li>Establish policies &amp; procedures</li> <li>Provide trainings to governing bodies (AML, Data Protection...)</li> </ul>	<p>Other ad hoc include:</p> <ul style="list-style-type: none"> <li>Supporting on findings remediations &amp; liaising with external parties (auditors, ISO auditors, lawyers or regulators)</li> <li>Conducting prudential audits and investigations</li> <li>Conducting dedicated trainings</li> <li>Acting as a contact and coordinator for Due diligence purposes</li> <li>Attending the General Assembly as a Guest Subject Matter Expert (SME) on Compliance matters</li> <li>Scouting for automated solutions where/if needed</li> </ul>
Compliance & Risk Management	<ul style="list-style-type: none"> <li>Establish a Quarterly Compliance monitoring program testing &amp; Risk matrix (risk rating, criteria)</li> <li>Makes recommendations on various Compliance and regulatory topics</li> <li>Provide training</li> </ul>	
Reporting	<ul style="list-style-type: none"> <li>Establish regular reporting on Compliance &amp; Risk Management activity</li> </ul>	

## Specialised AML staff trainings

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International standards and framework with focus on every organization's needs:

- ½ days on dedicated topics
- Use of real case studies to apply theory to practice

Each training includes a final assessment

## Compliance Academy Training

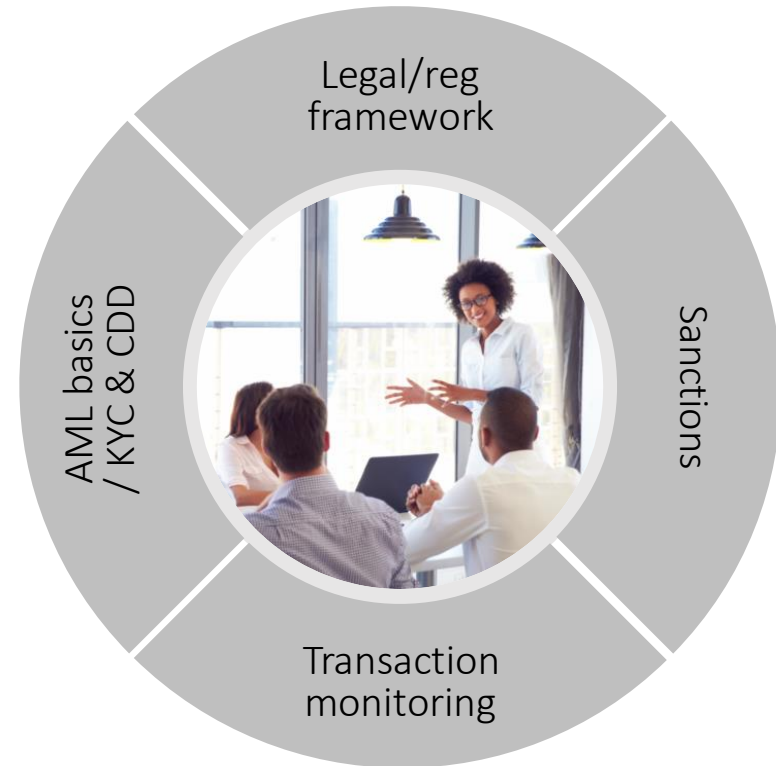
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Compliance fundamentals for Compliance officers:

- 5 modules of 8 hours each
- Final assessment of 50 questions with 85% pass rate

Each training includes a final assessment

- *Other trainings include Data Protection and tailored trainings*



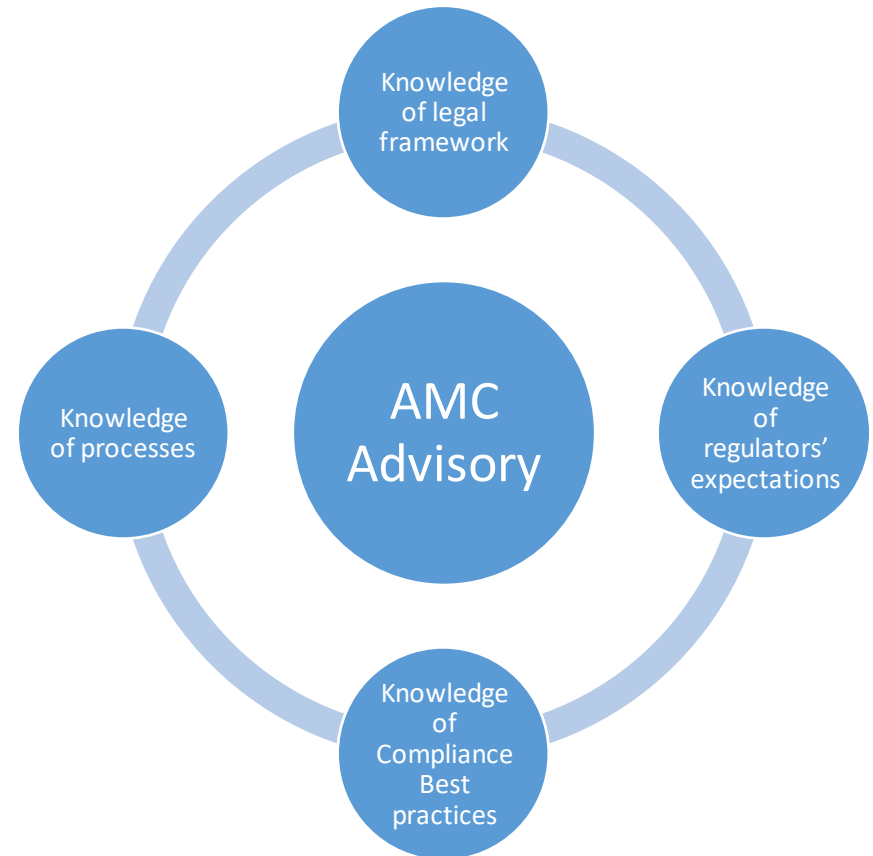
AMC Advisory **combines a full set of expertise** ranging from external to prudential audits, legal & regulatory knowledge to operational processes & internal controls necessary for Risk Management



POINT OF CONVERGENCE



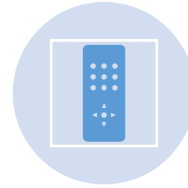
AMC Advisory **provides a one-stop shop solution to Clients:** from assessment to remediation and adequate reporting to Management and governing bodies





**Responsive**

Remote working or on  
Clients 'premises



**Flexible  
&  
efficient**



**Transparent costs** with  
clearly defined timelines



**One-stop-shop knowledge  
pool**



**ACAMS authorized instructor**  
for the preparation to the  
ACAMS certification &  
trainings



*AMC Advisory is a niche provider with immediate & tailored response*



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