

Financial crime & compliance



Global reach  
Pinpoint delivery

  
**SIONNIC**<sup>®</sup>

Global financial services specialists

**Financial crime & compliance**



Sionic is a global consulting firm.

Our focus is on change and we specialise in a unique blend of business and people performance.

We are agile, independent and hold a straightforward philosophy – that outstanding people produce outstanding work.

We tackle complex operational, economic and strategic problems, big and small, for clients dealing with evolving markets, changing risks, intricate regulation, cultural change, technology and digital advances.

At Sionic, we attract, nurture and promote only the finest people. We constantly create new partnerships that focus on broader horizons.

We are a global, sector-wide team of experts of longstanding pedigree, and one of the world's fastest growing independent consulting firms.

We have over 300 professionals based in more than a dozen locations worldwide, including America, Europe and Asia and we continue to expand at pace.

We deliver measurable value. When the world's leading firms in financial services are looking to accelerate their performance, they call us. Our practices are communities of expertise. Combined with our collaborative approach, this framework allows us to foster specialist talent and deliver cross-specialism expertise. Underpinning this is our commitment to offer exceptional client care and to deliver services that are client-responsive, designed to reduce costs, navigate complexity and accelerate business, technology and people performance.

[www.sionic.com](http://www.sionic.com)



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## Our values

**Our approach is rooted in our DNA.** Our values determine our behaviour and how we work with our clients, partners and colleagues.

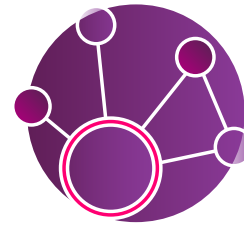
Global Collaboration | Pace & Ambition | Expertise with Integrity



“ We have a not-so-secret weapon: our people. Combined, they possess an incredible depth of knowledge and a unique ability to deliver that knowledge where clients need it most. We call it specialism at scale. ”

Craig Sher Chief executive officer

# Our sectors



Asset management



Financial markets infrastructure



Private equity, real estate & trust administrators



Corporate & investment banking



Insurance & reinsurance



Wealth management

# Our practices



**Asset management**

We provide specialist advisory and implementation consultancy services covering strategy, business, operations and technology change.



**Client lifecycle management**

We are experts in the analysis, design and implementation of KYC including client onboarding, life-cycle management and off-boarding.



**Data & technology**

We specialise in data strategy, governance and management; technology architecture and organisation design, cyber and digital.



**Finance & fund administration**

We work with finance and asset servicing organisations to simplify and enhance process and data for analysis and reporting.



**Financial crime & compliance**

We help clients to manage their risks and responsibilities with regard to anti money laundering, terrorism, bribery, corruption and fraud.



**Front office business lines**

We support all aspects of front-office activity, enhancing client relationships, client services, client protection and the overall client experience.



**Group risk & capital**

We are expert practitioners in market, credit, counterparty, liquidity and funding risks, as well as leverage ratio and balance sheet management.



**Learning & development**

We accelerate improvements in results by building new capabilities and creating cultures of high performance.



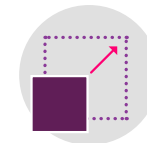
**Operations**

We specialise in operations strategy, operating models, business platforms, risk management and governance.



**Regulation**

We help clients to enhance, remediate and rationalise compliance and control, through technology, people and process improvements.



**Transformation**

We draw on our specialist knowledge and extensive industry experience to deliver meaningful and lasting organisational change.



**Wealth management & private banking**

We advise on proposition development, end-to-end business improvement, technology, risk and corporate governance.

# Financial crime & compliance



## Overview

Regulators' relentless focus on financial crime and compliance and the penalties for non-compliance continue to escalate – even beyond the tenfold increase of the last five years. At the same time, firms face an increasingly unpredictable political landscape, sanctions and restrictions at both a jurisdiction and personal level. Combating financial crime requires a material compliance focus. The challenges are complex, and the costs can be substantial. We help clients to formulate strategic approaches and demonstrate measurable progress in reducing risk exposure and maximising the efficiency and effectiveness of their financial crime compliance programs, applications, and solutions.

# Financial crime & compliance



## Specialisms

Anti-money laundering (AML) & countering terrorist financing

Conduct & culture

Fraud prevention

Information barriers & control rooms

KYC, CDD & EDD

Market abuse

Model management, validation & tuning



Read a selection of our  
latest **CASE STUDIES** >

# Meet the experts



**Joseph Cataldo**  
Managing Partner

Meet Joe Cataldo, Sionic Managing Partner  
and financial crime and compliance expert

I am a compliance and technology specialist. I have over 20 years' experience as an engagement and delivery manager, initiating and managing anti money-laundering, regulatory and compliance projects. I help our clients tailor, implement and remediate anti money-laundering solutions for their know your customer and customer identification programs, customer due diligence, enhanced due diligence, sanctions screening, trade surveillance and suspicious activity transaction monitoring. Before joining Sionic, I served as head of professional services for Actimize Europe, as well as adjunct professor at Baruch College. I hold both a BSc in Electrical Engineering and an MBA from the Wharton School of Business

## FINANCIAL CRIME & COMPLIANCE

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# Meet the experts



**Joseph Buonpastore**  
Managing partner

I have over 25 years' experience in capital markets compliance and operations, spanning a broad range of asset classes and functional areas. My work has included regulatory reviews and remediation projects, having served as the liaison for banks and broker dealers with regulators, SROs and exchanges including **FINRA, SEC, CFTC, NFA, FRB, CME** and **NYSE**. In addition to my compliance and regulatory work, I am an experienced operations manager for banks and broker dealers, leading large scale change initiatives such as processing system implementations and conversions.

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# Meet the experts



**Gareth Evans**  
Director

Meet Gareth Evans, Sionic Director and fraud prevention specialist

I am a fraud prevention specialist with over 20 years' experience protecting financial institutions, banks and their customers from attack. I recently joined Sionic to develop the fraud offering within the financial crime practice, having worked for a number of specialist fraud prevention technology vendors and several tier one banks. I help our customers manage their fraud threats from different perspectives.

## FINANCIAL CRIME & COMPLIANCE

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# Our global presence





## Our offices include

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