

Cross-Border Manuals for Investment Banking Services

Regulatory & Compliance

Mitigate your legal and reputational risks when providing investment banking services and/or dealing with correspondence banks on global financial markets

Sophisticated Cross-Border Business

The legal and reputational risk associated with cross-border financial services have increased significantly over recent years. Not only private client business is a central facet in this relation, but also business with professional counterparties. Regulatory cross-border requirements also apply when dealing with foreign professionals (incl. other regulated financial service providers / interbank market) or performing other activities with an international dimension.

The investment banking «IB» manuals are designed to meet the needs of the investment banking division making a distinction between the following activities for example:

- treasury / liquidity management
- proprietary trading
- brokerage
- acting as service provider or recipient
- correspondence banking
- etc.

KPMG's «IB manuals» cover all aspects and stages of prospective and existing relationships in terms of market approach, basic communication, solicitation, onboarding, contracting, negotiations for new clients, relationship management enhanced with a broad range of services and products for existing clients for all kind of business relationships.

Our offering includes physical and digital cross-border rules covering all types of financial services for a global clientele. This means that we can integrate the cross-border content into your core banking system (via interface / API) or as a plugin solution (web-based).

As a financial service provider, you are the indispensable link between users and providers of capital. You facilitate the flows of funds while our IB cross-border manuals assist you in complying with local regulatory requirements for your off-shore business relationships.

Your Benefits

Overarching global network and best practice

KPMG works exclusively with highly experienced local specialists that have a profound market knowledge and that are in constant contact with the local regulators

High-quality product and reliable guidance

We leverage our worldwide audit experience, local market insights and international specialist contacts for you

Regular updates and change notification

We provide you with an update of the manual(s) at least once a year, highlighting all changes in color plus provide a summary outlining all substantial regulatory changes

User friendly due to standardized format and structure

Our fully standardized cross-border manuals make internal handling / processing easy and lower implementation costs

No extra cost and strong service level

We provide prompt and reliable feedback. Clarification requests are free of charge

Automation / Digitalization

Our service offering includes a state-of-the-art automated solution for your cross-border, client and product suitability assessments

IB Manual Service Scope

Primary Capital Market Transaction Services (issuing)

Secondary Capital Market Transaction Services (trading)

Foreign Exchange / FX Services

Precious Metal Services (physical & non-physical)

Rates Services

Transaction, Clearing & Settlement Services

Treasury, Cash & Banknotes Services

Advisory for Mergers & Acquisitions (M&A transactions)

Vault

The screenshot displays a table titled 'Cross-Border Services Catalogue / Rules of Conduct / Investment Banking Manual ("IB Manual")'. It details the permitted status of various services across different client types and service approaches. The table is organized into two main sections: 'PROSPECTING' and 'PROSPECTS - INITIAL CONTACT / PROSPECT APPROACH'. The 'PROSPECTS - INITIAL CONTACT / PROSPECT APPROACH' section includes a sub-note: 'Presenting the following specific services and providing specific info and/or marketing material [at prospect's initiative] (rev. solicitation):'. The table columns are: Service Category, Private Entity Service Approach (Client/CP representative travels to the FSP's domicile, Cross-border supply, FSP representative travels to Germany), and Public Entity Service Approach (Client/CP representative travels to the FSP's domicile, Cross-border supply, FSP representative travels to Germany). The rows list services 3.40 through 3.48, all of which are marked as 'Permitted' (green checkmark) across all applicable columns.

Source: Screenshot of our Cross-Border Investment Banking Manual («IB manual»)

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