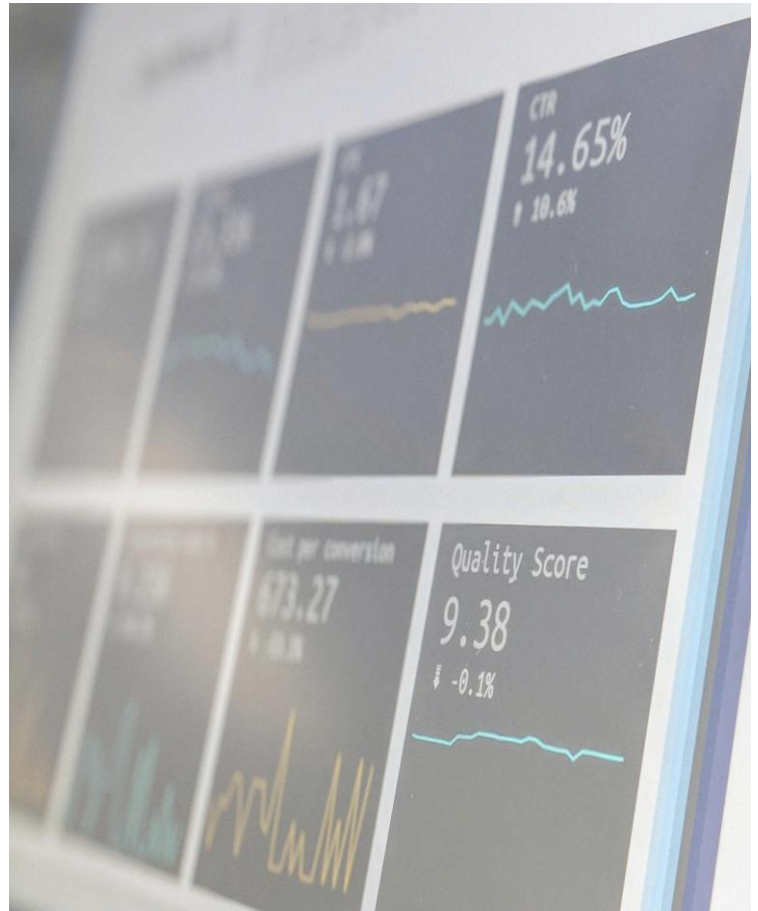


# ISSA Symposium 2025

## Purpose

In August 2015, ISSA released 17 Principles for the global community of Securities Services Providers and intermediaries to adopt. These principles aimed to address the critical challenges posed by financial crime, particularly in environments where omnibus and commingled account structures are utilized.

The Working Group (WG)'s business-as-usual scope includes ongoing reviews of these principles and the related Due Diligence Questionnaire. Additional topics are also taken on by the WG as identified by the ISSA Board and broader membership.



## Financial Crime Compliance

### Scope

The WG's activities in 2025 will include a review of the Principles and ISSA Due Diligence Questionnaire to understand whether additional questions need to be added to the ISSA Questionnaire to mitigate the risks posed by emerging asset classes and in the context of the new geopolitical environment. Additional, in scope topics for 2025 include:

- Geopoliticals Impact Forum
- Sanctions Benchmarking Survey
- Securities Lifecycle

### Key Deliverables

The key deliverables will be:

- An updated ISSA FCC Due Diligence Questionnaire
- A report outlining the key results of the benchmarking sanctions survey
- A best practice paper on securities sanctions screening

### Key Outcomes

- To have an up to date and complete ISSA FCC Due Diligence Questionnaire that takes into consideration the risk dimensions of the different asset classes
- To master the impact of geopolitical risk on financial crime compliance approaches
- To promote a better understanding of current practices in sanctions management, identifying actionable opportunities for enhancement
- To ensure that the Securities Services industry is aware of best practice in sanctions screening across all stage of the securities lifecycle and provide guidance on best practice for screening securities

### Working Group Co-Chairs

- Olivier Goffard, Euroclear
- Mark Gem, Deutsche Börse Group
- Sophie Spassky, BNP Paribas

### Executive Sponsor

- Margaret Harwood-Jones, Standard Chartered Bank