

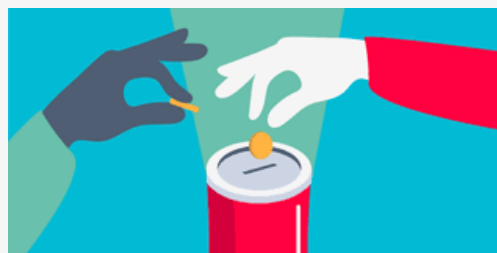
December 2020

What's Been Happening?

Each month, DigiPli highlights several developments or trends to keep you up-to-date on the latest in Anti-Money Laundering and Know Your Customer compliance. We'll also share some original content and information regarding upcoming events. And as we end the year, we'd like to wish you Happy Holidays from the team at DigiPli!

Upcoming Events

Jeff Horvath, DigiPli CEO and Co-Founder, will be participating in Fintech Friday at Rise New York on 12/18. Fintech startups can sign up to receive feedback from mentors in the Rise community. Learn more [here](#).



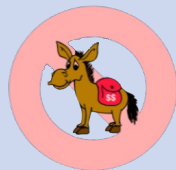
Charitable Giving In Peril

'Tis the season ... but in addition to the usual acts of giving throughout the holidays, this year is expected to see an increase in contributions to COVID-19 charities. While that's great, some charities are struggling to open bank accounts. Recognizing this, the US banking regulators published a Joint Fact Sheet providing helpful guidance in opening accounts for charities. Click the [here](#) to read more.

AML Tip of the Month

Watch out for Mules!

Click [here](#) for details.



CCO Personally Liable for AML Failures



A CCO and AML Officer of a small Miami-based broker-dealer settled charges brought against her personally by FINRA for failure to reasonably establish and maintain an AML program. One of the many red flags she disregarded was opening an account for a Venezuelan PEP with public allegations of criminal misconduct, and failing to question suspicious wire transfers in the account. Read more [here](#).

DigiPli is a RegTech firm with a mission to revolutionize how FinTechs and other financial institutions meet their anti-money laundering obligations.

Schedule a Call

