

# AML LOOKBACKS: TOP 10 LESSONS LEARNED

1

SELECT THE RIGHT PARTY



2

UNDERSTAND THE APPROACH



3

BE CANDID AND OPEN ABOUT  
THE CHALLENGES



4

GET REGULATOR BUY-IN



5

ENSURE AVAILABILITY, ACCESS AND  
UNDERSTANDING OF DATA



6

ESTABLISH AND COMMUNICATE  
OPERATING PROTOCOLS



7

CONSIDER HOW THE RESULTS OF THE  
LOOKBACK WILL BE INTEGRATED INTO  
YOUR MONITORING PROGRAM



8

STAY ENGAGED



9

ASK FOR RECOMMENDATIONS



10

RESPECT THE INDEPENDENCE OF  
THE THIRD PARTY



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