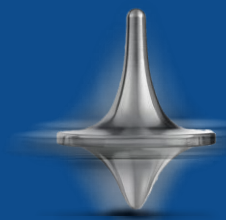


CLIENT STORY



Your Regulatory Technology Partner

CASESTUDY

WINDSOR BROKERS

RegTek+ Onboarding, KYC & AML Solution

3

OFFICES

USERS

1

MODULES USED

24

MONTHS OF
WORK

Based in Cyprus, and operating around the world, WINDSOR BROKERS is a leading investment firm established in 1988 offering Forex and CFD trading on gold, oil, soft commodities, shares, indices and more. The company's mission focuses on facilitating investors' access to the financial markets by providing regulated and transparent trading practices, as well as unrivalled customer support.

Your
Regulatory
Technology
Partner

THE CHALLENGE:

WINDSOR BROKERS were already operating at a high level, but sought the help of iSPIRAL to achieve operational excellence with regards to their customer relationship management processes. It was determined that the Firm's risk environment needed to be both automated and streamlined to save on time and costs: enhanced due diligence upon onboarding and throughout the client life cycle was required, along with an improved functionality in transaction monitoring dynamics.

THE RegTek+ SOLUTION:

Windsor Brokers introduced iSPIRAL's RegTek+ Solution to their day-to-day activities. This solution included the KYC/AML module, which delivered a comprehensive approach to the Firm's management of risk, allowing for the automatic creation and update of client profiles. At the same time, a highly functional and intuitive Transaction Monitoring module was introduced, which allows for the management of huge volumes of data and provides compliance staff with real time transaction monitoring.

BENEFITS:

Together, these two modules have allowed Windsor Brokers to achieve new standards of operational excellence, reducing costs and time while boosting the Firm's reputation. Windsor Brokers is now safeguarded across the board, with clients automatically protected from fraudulent activities, and any suspicious or unusual activity constantly monitored.

**WHAT OUR
CUSTOMERS
SAY**

"When it comes to choosing automation to aid your compliance department with AML and KYC objectives, an organisation should evaluate knowledge, expertise and level of support. iSPIRAL and its team of professionals rank high in all these parameters."

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