



MORGAN STANLEY

Automated KYC/AML regulatory reporting program

A SUBMISSION FOR THE CFG FINAL PROJECT

DECEMBER 12, 2024

Problem and Objective

Problems: The actual eligible process for Startups at Morgan Stanley is not completely digital, as well startups might face regulatory burdens when join the Venture Lad.

Solution: Provide an automated KYC/AML platform that simplifies compliance and builds trust.

Key Features & Process

How it works

STARTUP
DASHBOARD

DATA
VALIDATION

SANCTIONS & PEP
SCREENING

RISK SCORING

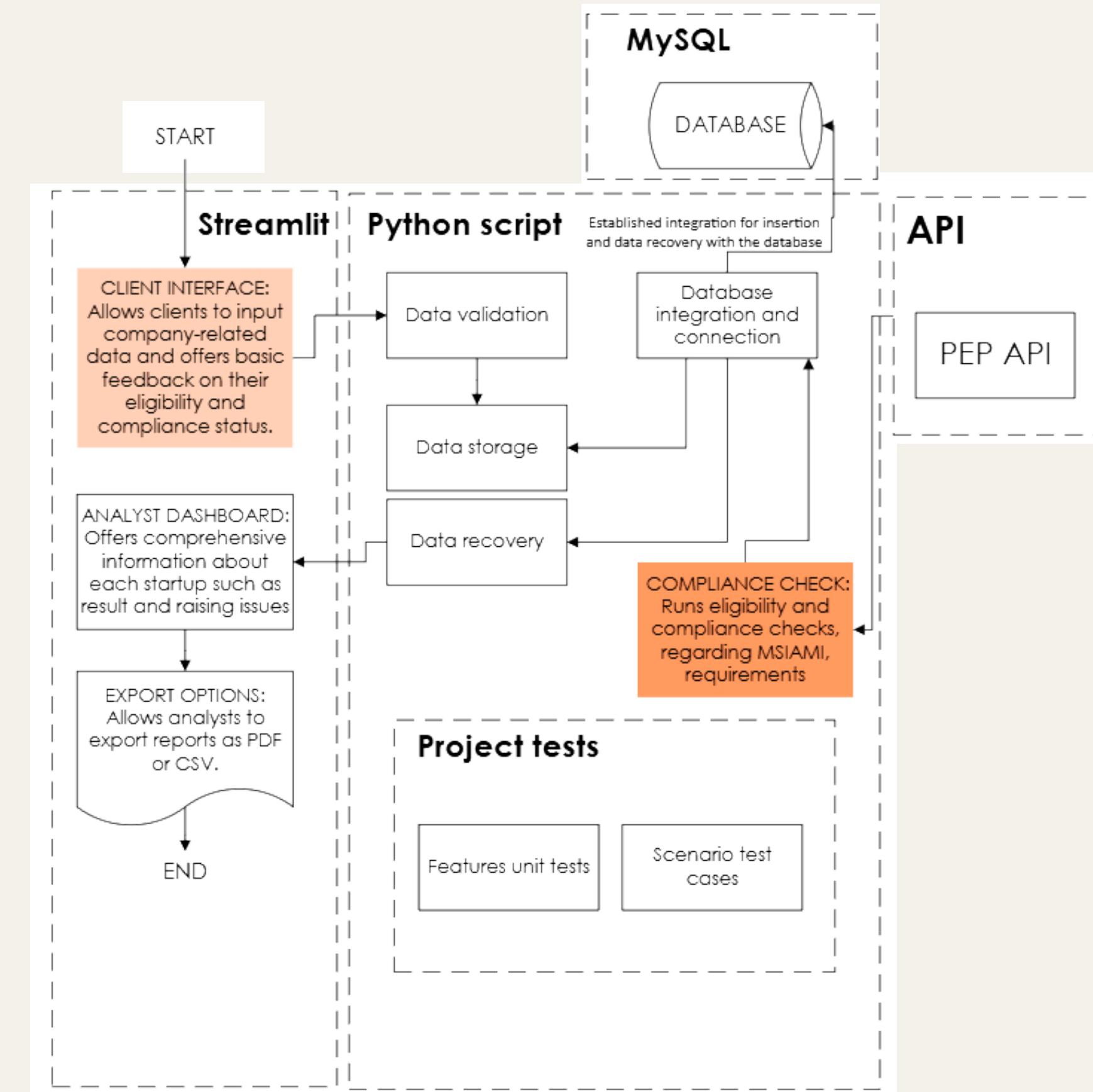
REPORT
GENERATION

MoSCoW Prioritization

Must Have	Should Have	Could Have	Won't have
✓ PEP Screening	◆ Enhanced Risk Scoring	◆ Multi-Language Support	✗ Manual Document Review
✓ High-Risk Country Check	◆ Advanced Fraud Detection	◆ Self-Service Portal	✗ Customizable Risk Rules
✓ User Input Validation	◆ Notifications for Errors	◆ Multi-Factor Authorization	✗ Manual Audits
✓ Automated Report Generation	◆ PDF and CSV formats	◆ Machine Learning-Based Behavioral Analytics	✗ Offline Processing Capabilities

Architectural Design

SYSTEMFLOW CHART



Tech Stack & Data Security

Languages: Python, Flask, SQL

Data Security: GDPR Compliance,
Limited Data Access

Libraries: Streamlit, Requests

Client interface

**Morgan Stanley Inclusive Venture
Lab**

Login to the Portal

Please enter your credentials to access the Portal.

Username

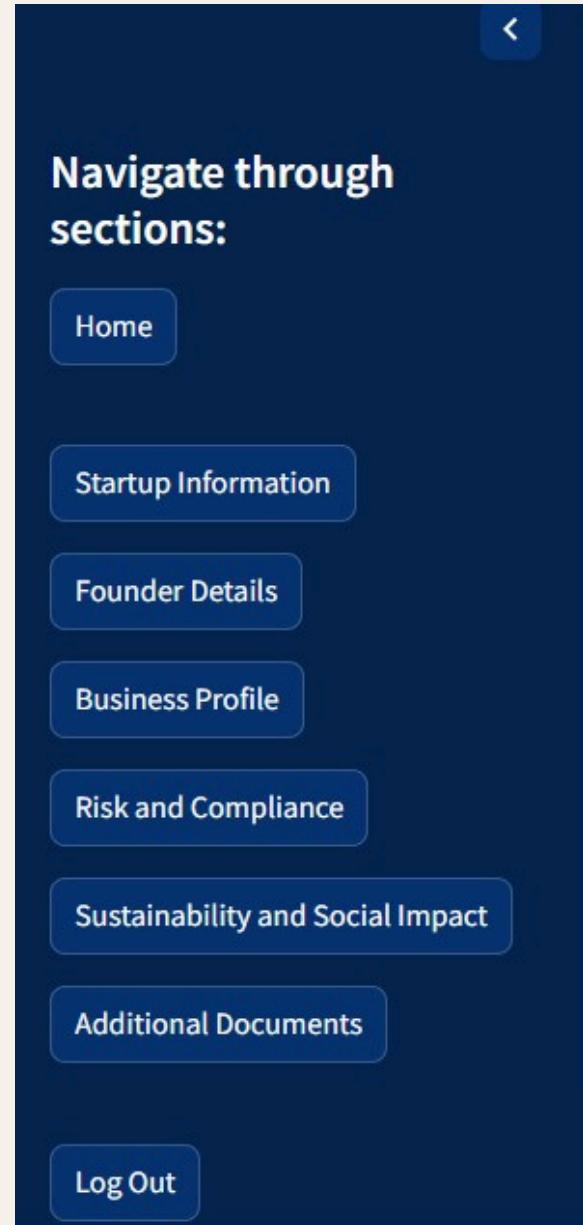
Password

Login

Login page

Client interface



Companies' input dashboard

Client interface

The screenshot shows a client interface for a startup submission process. On the left, a sidebar titled "Navigate through sections:" lists several categories: Home, Startup Information, Founder Details, Business Profile, Risk and Compliance, Sustainability and Social Impact, Additional Documents, and Log Out. The main content area is titled "Morgan Stanley Inclusive Venture Lab Submission". It contains three sections for document uploads: "Proof of Incorporation", "Financial Statements", and "Certifications", each with a "Drag and drop file here" field, a "Limit 200MB per file • PDF" note, and a "Browse files" button. A "Submit All" button is located at the bottom right of the main content area.

Morgan Stanley Inclusive Venture
Lab Submission

Additional Documents

Proof of Incorporation: Provide an official registration document for your startup.

Drag and drop file here
Limit 200MB per file • PDF

Browse files

Financial Statements: Provide your financial statements for the last two years.

Drag and drop file here
Limit 200MB per file • PDF

Browse files

Certifications: Provide a certification proving sustainable practices.

Drag and drop file here
Limit 200MB per file • PDF

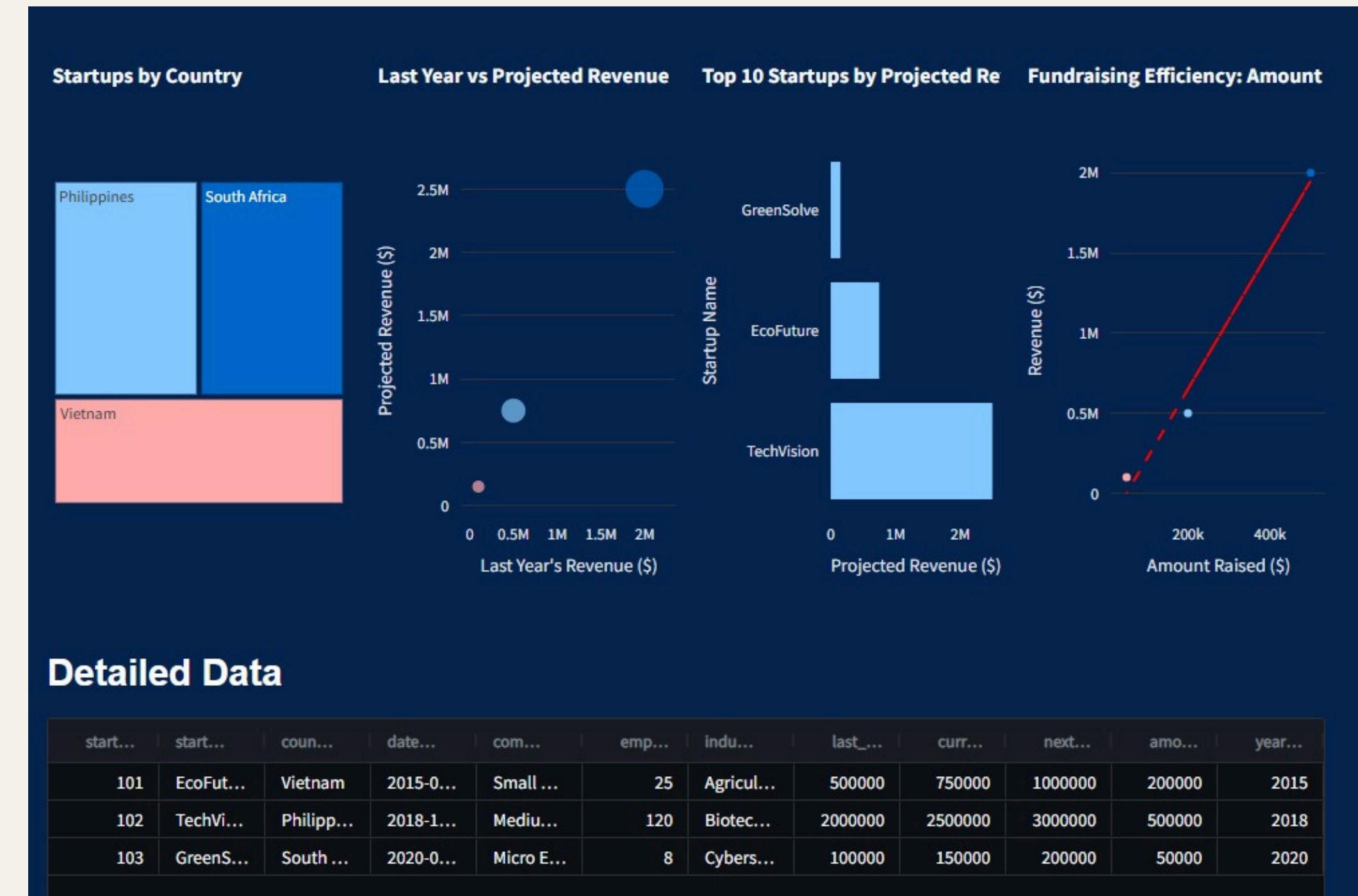
Browse files

Log Out

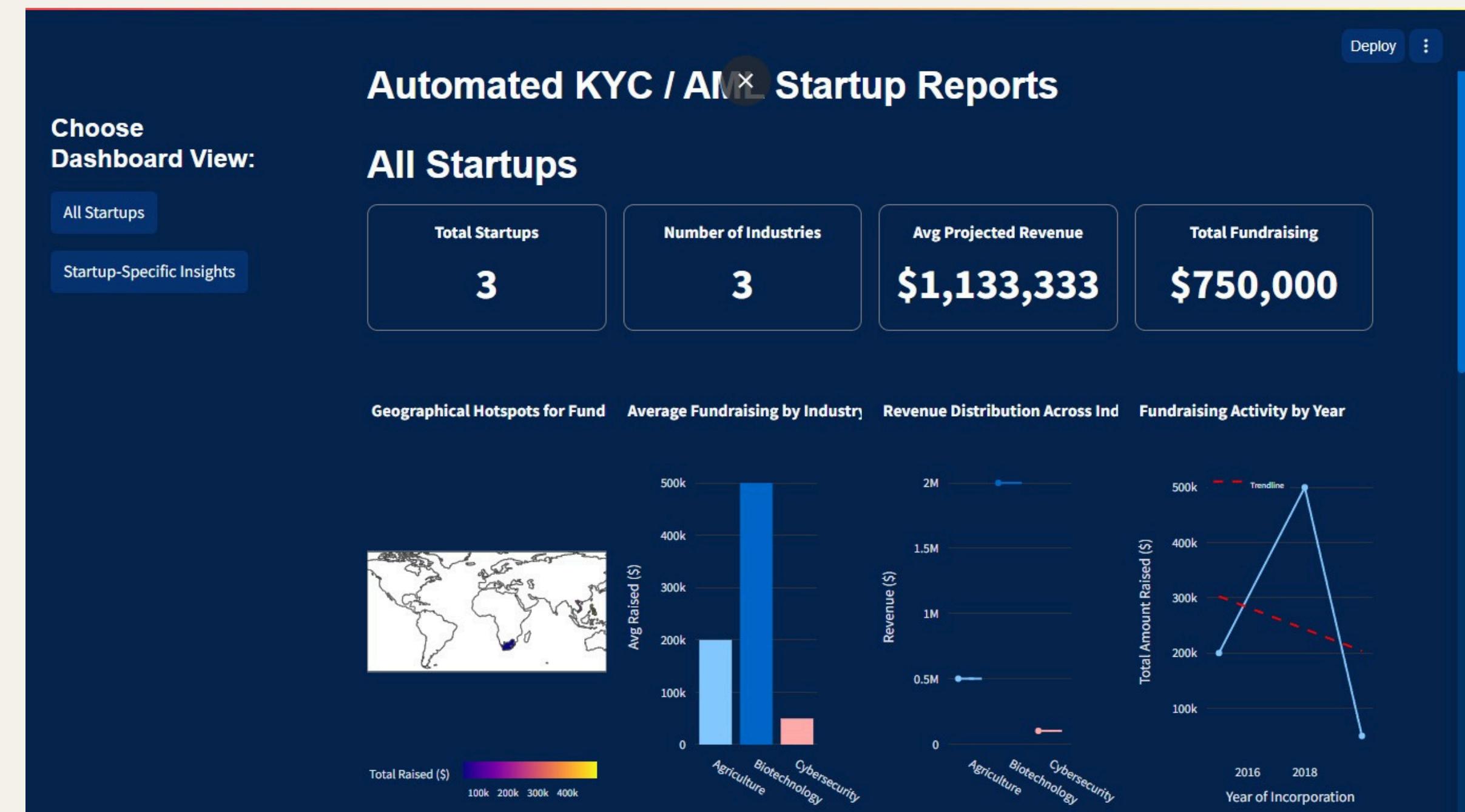
Submit All

Companies' input dashboard

Analyst interface



Analyst interface



Analyst interface

The screenshot displays a dashboard titled "Startup-Specific Insights" for the startup "EcoFuture". The interface includes a sidebar for selecting a dashboard view and a main area with six data cards.

Choose Dashboard View:

- All Startups
- Startup-Specific Insights**

Select a Startup: EcoFuture

Industry: Agriculture

Projected Revenue: \$750,000

Total Amount Raised: \$200,000

Company Size: Small Enterprise

Number of Employees: 25

Last Year's Revenue: \$500,000

Next Year's Projected Revenue: \$1,000,000

Revenue Growth Potential: 100.00%

Country of Origin: Vietnam

Deploy

#CODE

Functional Requirements

Data Input

Data Validation

Data Visualization for Analysts

Data Export

Non-Functional Requirements

Usability and Interfaces

Frontend Framework

API and Connectivity

establish connections

PEP/POI API

Conclusion

- Our KYC/AML platform simplifies compliance for startups.
- Fully automated system: Input → Screening → Risk Score → Report.
- Ready for UAT with Morgan Stanley reviewers.



Thank you!

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