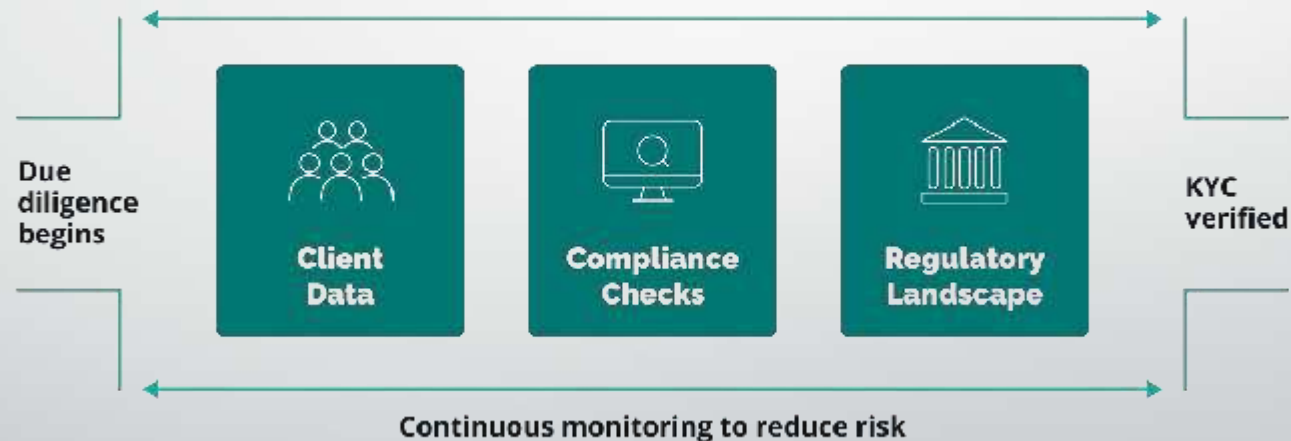# SQL PROJECT:- KYC COMPLIANCE TRACKER

To track KYC compliance, detect non-compliant clients, and support risk- based decision making using SQL — just like real analysts in finance teams.

End-to-End KYC Process

Due diligence begins

Client Data

Compliance Checks

Regulatory Landscape

KYC verified

Continuous monitoring to reduce risk

Presented by:- Kirti Shirsath

Project Overview

❑ Built a SQL-based KYC Compliance Tracker for financial data analysis.

❑ Identify non-compliant clients, overdue KYC deadlines, and compliance rate.

❑ Simulated a real-world use case for risk and regulatory compliance teams.

--Non-Compliant Clients

SELECT Client_ID, Client_Name, KYC_Status, Document_Submitted
FROM kyc_clients
WHERE NOT (KYC_Status = 'Completed' AND Document_Submitted = 'Yes');

Client_ID	Client_Name	KYC_Status	Document_Submitted
Client_ID	Client_Name	KYC_Status	Document_Submitted
C001	Amit Verma	Pending	No
C003	Nitin Desai	Pending	Yes
C004	Sara Khan	Pending	No
C009	Priya Mehra	Pending	Yes
C010	Deepak Joshi	Pending	Yes
C011	Deepak Joshi	Pending	No
C012	Sneha Patil	Pending	Yes

-- Total Count of Non-Compliant Clients

SELECT COUNT(*) AS Non_Compliant_Count
FROM kyc_clients
WHERE NOT (KYC_Status = 'Completed' AND Document_Submitted = 'Yes');

Non_Compliant_Count
30

Insight from this Query:
 Out of the total client base, 30 clients are non-compliant, meaning their KYC process is either incomplete or required documents have not been submitted. Immediate attention is required to bring them into compliance and reduce risk exposure.

--Overdue Clients (Due Date < Today)

SELECT Client_ID, Client_Name, Due_Date
FROM kyc_clients
WHERE Due_Date < '26-6-2025';

Client_ID	Client_Name	Due_Date
C001	Amit Verma	19-06-2025
C002	Sameer Jain	05-07-2025
C003	Nitin Desai	01-07-2025
C004	Sara Khan	21-06-2025
C005	John Smith	18-07-2025
C006	Arjun Kapoor	11-07-2025
C007	Amit Verma	15-07-2025
C008	Priya Mehra	05-07-2025

--Query to Count Overdue Clients:

SELECT COUNT(*) AS Overdue_Client_Count
FROM kyc_clients
WHERE Due_Date < '2025-06-26';

Overdue_Client_Count
35

Insight from this Query:
   35 clients have missed their KYC due date as of 26 June 2025. Follow-up is needed to ensure timely compliance and avoid potential regulatory penalties.

```
-- Compliance Rate (%)

SELECT
  ROUND(
    (SUM(CASE WHEN KYC_Status = 'Completed' AND
    Document_Submitted = 'Yes' THEN 1 ELSE 0 END) * 100.0)
    / COUNT(*), 2
  ) AS Compliance_Percentage
FROM kyc_clients;
```

Compliance_Percentage

41.18

Insight from this Query:
41.18% of clients are fully KYC compliant. A higher compliance rate reflects better risk control and regulatory alignment.

-- Risk Level Distribution

SELECT Risk_Level, COUNT(*) AS Total_Clients
FROM kyc_clients
GROUP BY Risk_Level;

Risk_Level	Total_Clients
High	23
Low	18
Medium	9
Risk_Level	1

Insight from this Query:
This shows how many clients fall under each risk level (High, Medium, Low), helping prioritize monitoring and compliance efforts.

```
-- Compliance Summary (Compliant vs Non-Compliant)

SELECT
  CASE
    WHEN KYC_Status = 'Completed' AND Document_Submitted = 'Yes' THEN 'Compliant'
    ELSE 'Non-Compliant'
  END AS Compliance_Status,
  COUNT(*) AS Client_Count
FROM kyc_clients
GROUP BY Compliance_Status;
```

Compliance_Status	Client_Count
Compliant	21
Non-Compliant	30

Insight from this Query:
 This summary shows how many clients are compliant vs non-compliant, helping assess overall KYC progress at a glance.

Key SQL Queries Executed

- ✔ List Pending KYC Clients
- ✔ Identify Non-Compliant Clients
- ✔ Show Overdue Clients
- ✔ Calculate Compliance Rate (%)
- ✔ Group Clients by Risk Level

THANK YOU !!