

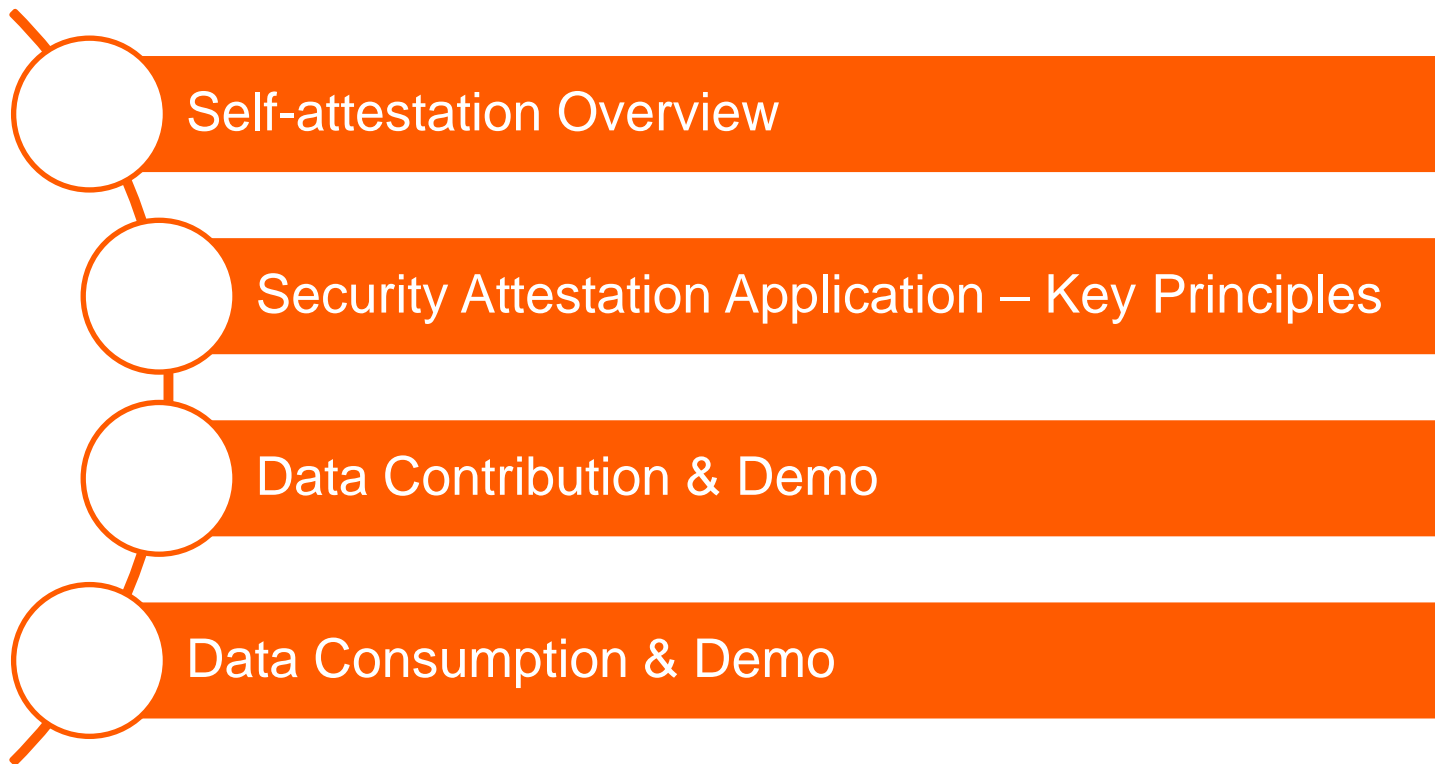


The KYC Registry Security Attestation Application

**Customer Security Programme
Demo**

October 2017

Outline



Security Attestation | Who

- **All SWIFT users**, regardless whether they connect directly or indirectly (e.g. service bureau, Alliance Lite2)
- Attestation will be **required for all live BIC8** (published and non-published) against all mandatory security controls
- For **non-published BICs** data can only be submitted but **not consumed**
- Your organisation's self-attestation **must be renewed every 12 months**
- **A renewal of the self-attestation** will also be required when there is a change in the local setup (e.g. change in architecture, service provider, status of the security control)

Self-attestation Submission and Counterparty Access

Builds on the principles of fostering transparency between users and ensuring customer remains in control:

- Central tool to submit self-attestation and security controls compliance
- Attesting user remains in control of sharing its data to counterparties
- Any other user must request access to the attesting user to view its data

**The KYC
Registry
Security
Attestation
Application**

A central tool

- To securely share compliance results with counterparties, as deemed appropriate
- Possibility for central management and copy-functionality

Open for data submission from July 2017

- Security attestation needs to be renewed every 12 months
- Consumption will be free of charge

What will you attest on?

1

Contact information

- Contact details for Self-Attestation
- Contact details of the CISO or similar function
- Contact details for 24x7 SOC
- Financial Supervisory Authority (+ contact details)



Not shared with
your counterparties

2

Type of evaluation

- Assurance Type (self-assessment, internal audit, external audit)
- Name of the external audit company (if applicable)

3

Type of SWIFT infrastructure

- Architecture Type
- Connectivity owner (messaging / communication interface) info. Architecture type and Service Provider type (SB, SWIFT hosted, Group Hub...)



Prepopulated
(when available)

What will they attest on?

4

Security controls

- **Mandatory controls**

- 1.1 SWIFT Environment Protection

- ☐ I comply as per implementation guidelines in the Customer Security Framework documentation
 - ☐ I comply using an alternative implementation while meeting the same control objective
 - ☐ I will comply by a given date
 - ☐ I do not comply

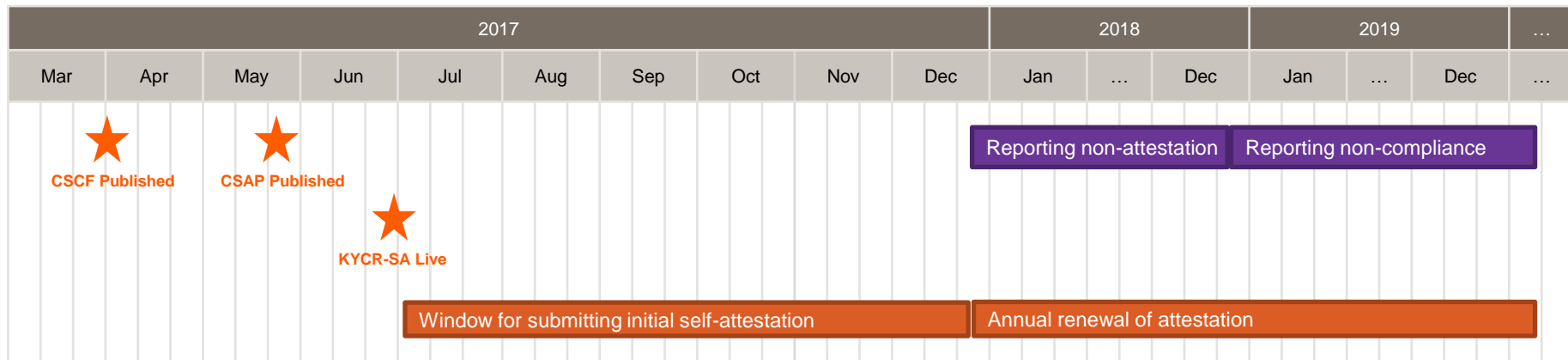
- 1.2 Operating System Privileges Account Control

- ☐ I comply as per implementation guidelines in the Customer Security Framework documentation
 - ☐ ...

- **Advisory controls** (optional)

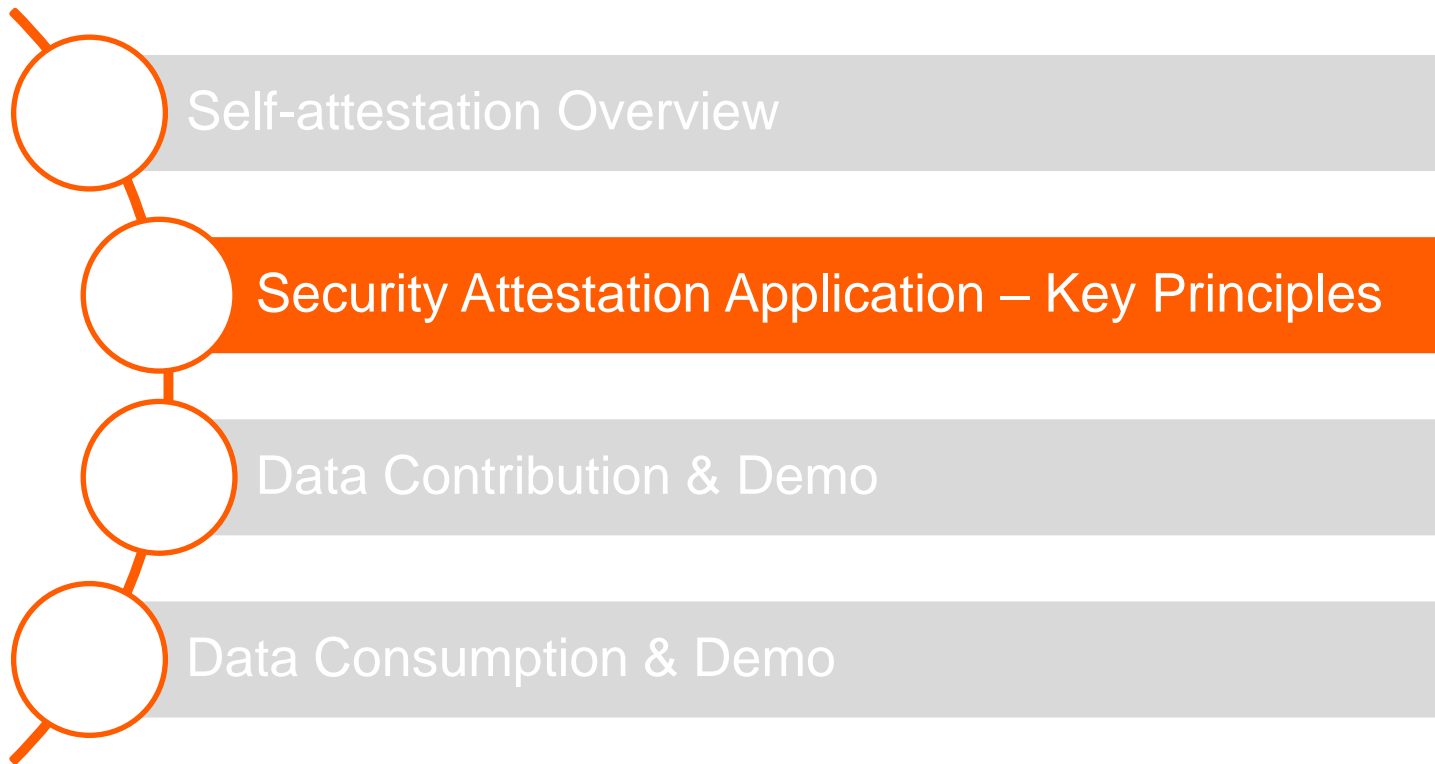
Note: Applicable controls depend on architecture type (cloud, on-premises, hosted gateway etc.)

Customer Security Attestation Process - Timeline

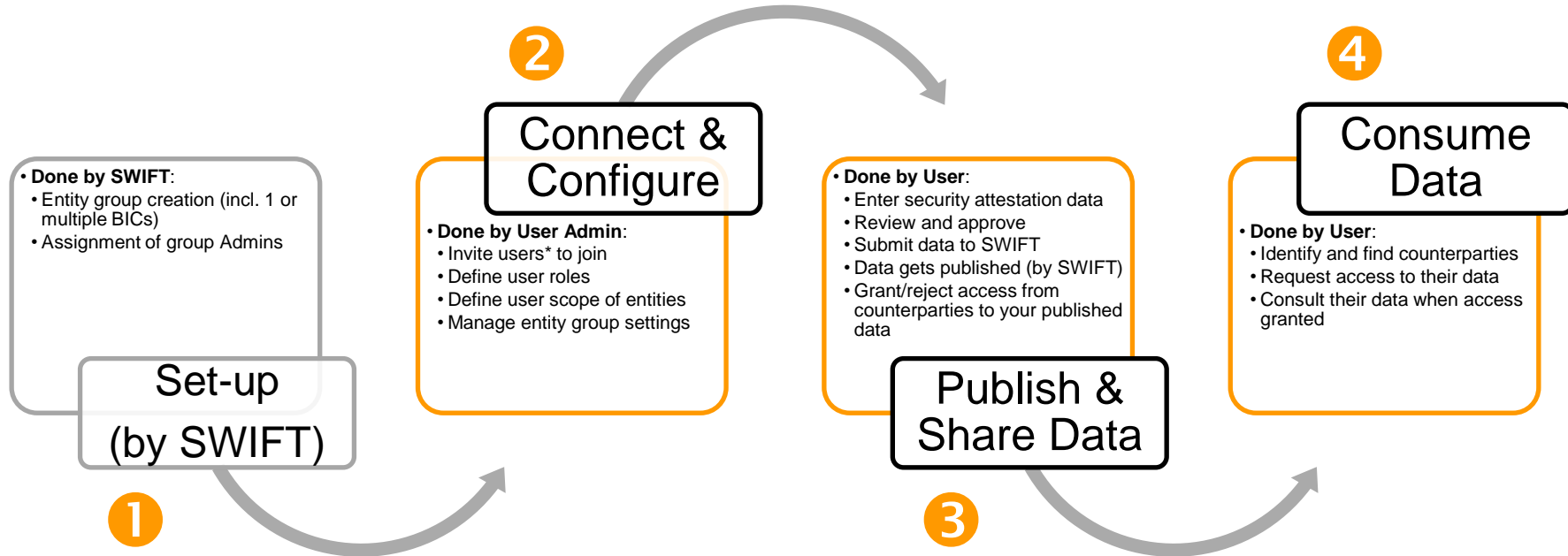


- 31 March, 2017: Publication of Security Control framework (CSCF)
- 19 May, 2017: Publication of Customer Security Attestation Policy (CSAP)
- July 2017: KYC Registry – Security Attestation Application (KYC-SA) will become available
- All customers must self-attest before the end of 2017 and will be required to renew their attestation every 12 months
- As of Jan, 2018: SWIFT reserves the right to report on non-attestation
- As of Jan, 2019: SWIFT reserves the right to report on non-attestation & non-compliance

Outline



KYC-SA Application – High Level Overview



(*) must have a valid registered swift.com account

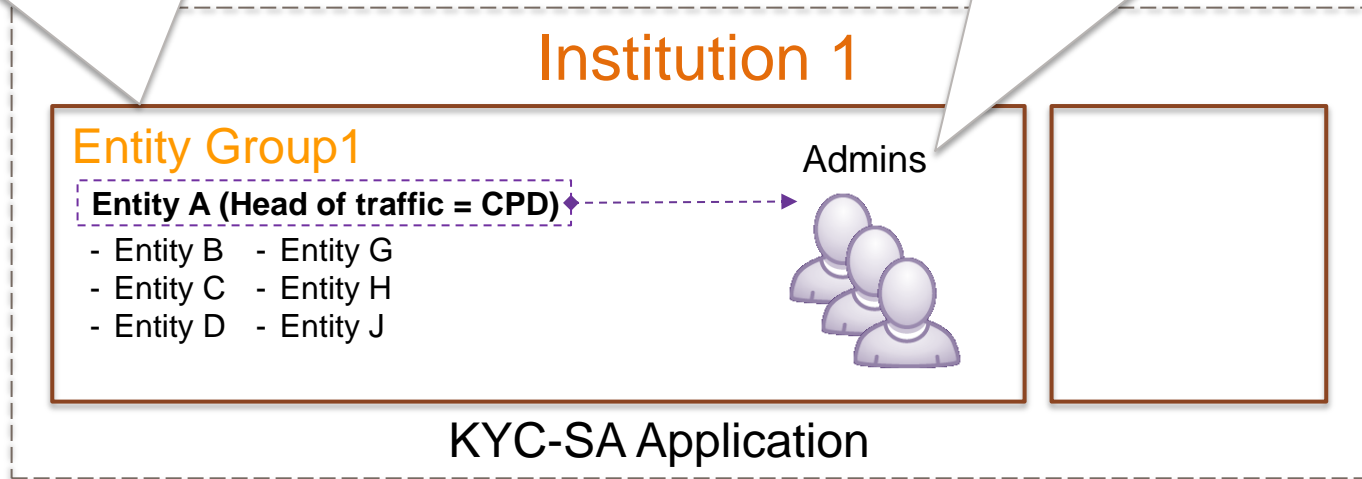
KYC-SA Application – Entity Group Initial Set up

An entity group is a collection of entities/BICs:

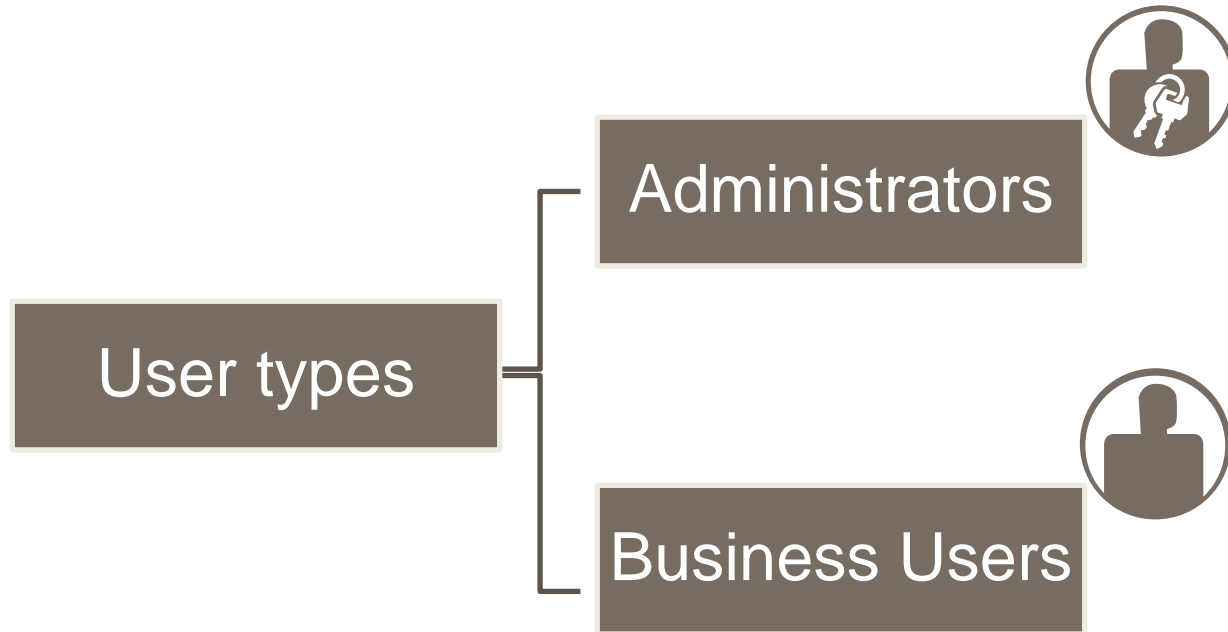
- By default, BICs belonging to the same traffic hierarchy
- An institution can have multiple groups (by default 1)
 - Request to SWIFT Support to ask for the creation of another entity group if needed
- An entity/BIC cannot be in different groups

Admins:

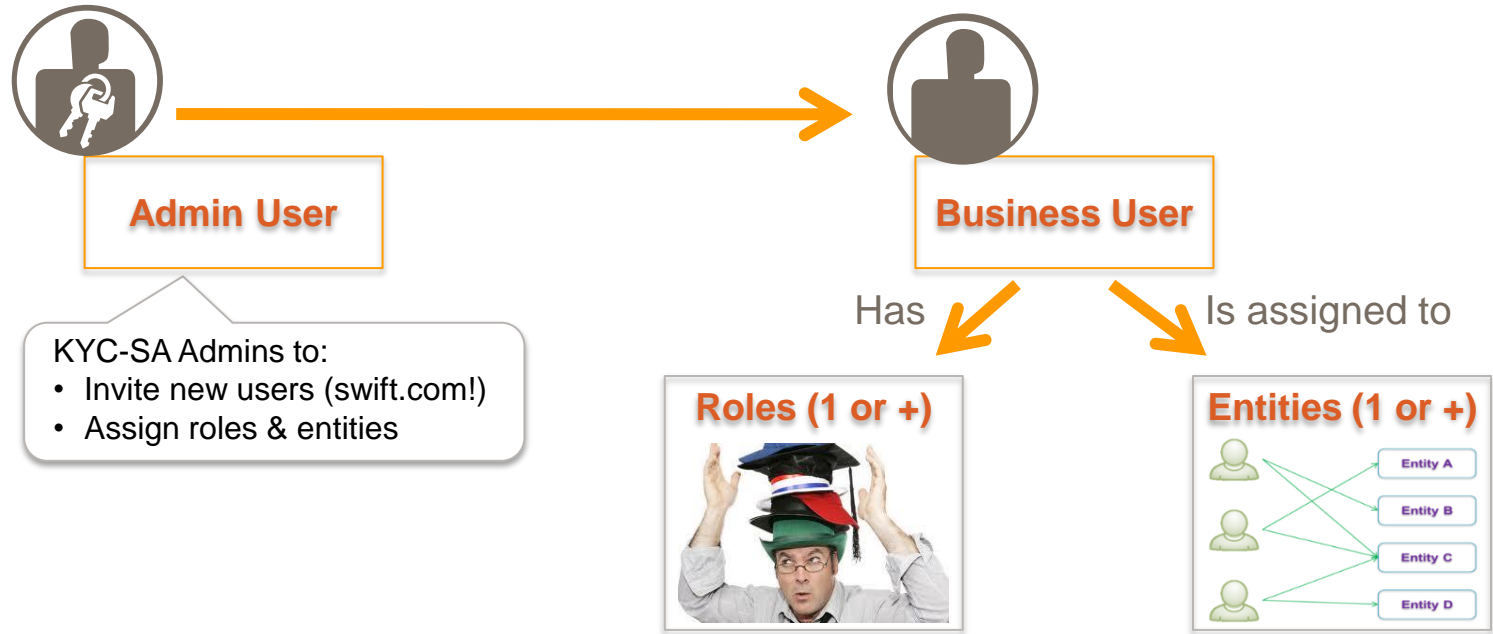
In the initial setup, the swift.com administrators of the top parent entity (CPD) will be assigned the Admin role in the KYC-SA application.
> SDC Admins = KYC-SA admins



KYC-SA Application – User Types



KYC-SA Application – User Administration



KYC-SA Application – Business User Roles

**Submitter**

*Create and edit data
for your institution*

**Approver (4-eyes)**

*Review and approve
data for your institution*

Contribution roles**Requester**

*Request access and
review data of
counterparties*

**Viewer**

*Consult data of
counterparties*

**Granter**

*Grant access to
counterparties' requests*

Consumption roles

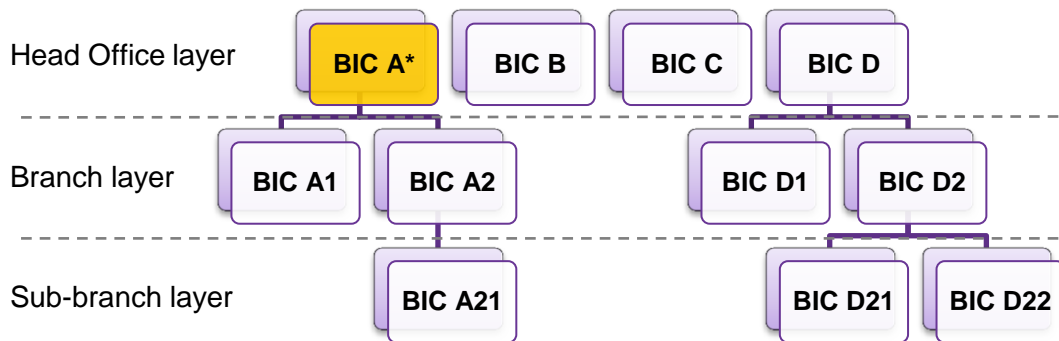
- Invite (swift.com!) users
- Define their roles
- Define their scope of entities

Connect

KYC-SA Application – User Administration – Example

Entity Group of BIC A

BIC Hierarchy of BIC A (top parent BIC)



Submitters

Approvers



Granters



Requesters

Viewers

Business users

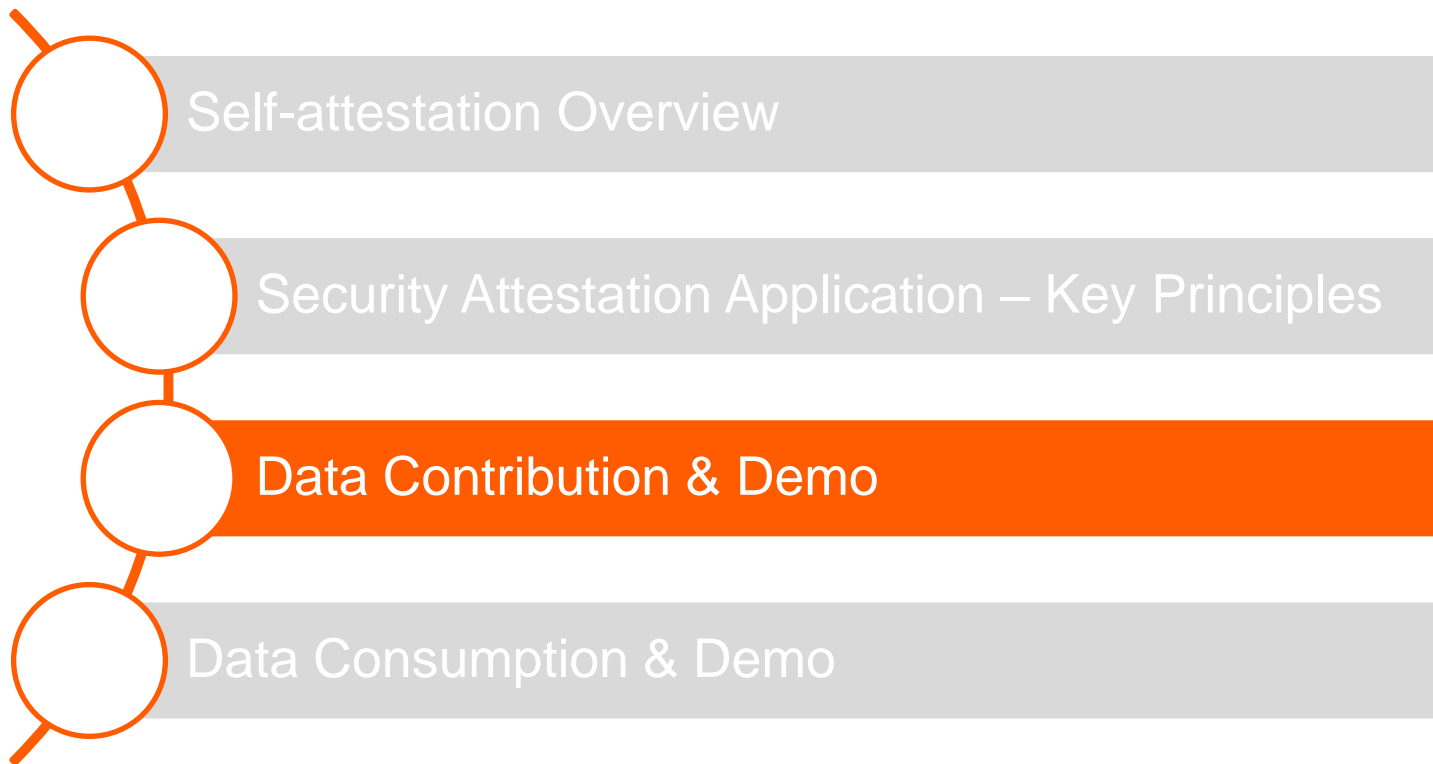


Admins

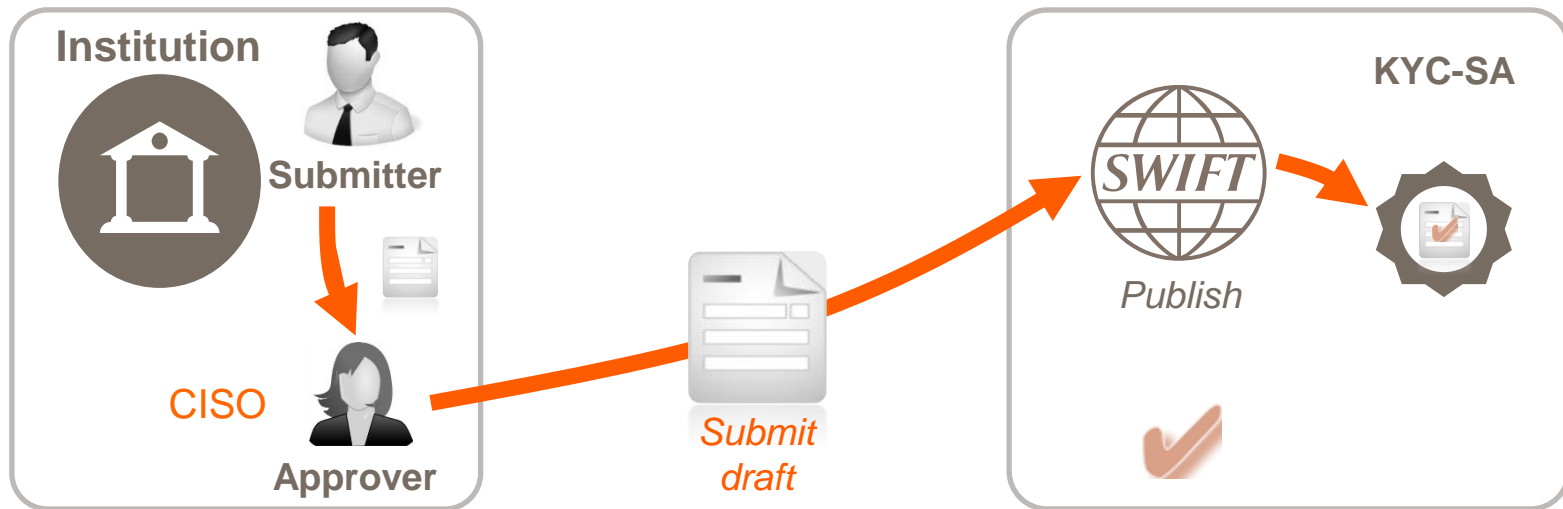
EXAMPLE

		Entities			
User	Role	A	B	C	D
Sam	Submitter			✓	✓
Susan	Submitter	✓	✓		
Alan	Submitter Approver			✓	✓
Gloria	Submitter Approver Granter			✓	✓
Rachel	Requester	✓	✓		
Bob	Admin	✓	✓	✓	✓
Will	Admin	✓	✓	✓	✓
	Approver	✓	✓		

Outline



KYC-SA Application - Data Contribution





Starting

- **Log In SWIFT.com**
- **Administration**
- **Assigning users**

Business users that do not have a swift.com account should register

The screenshot shows the SWIFT website homepage. At the top left is the SWIFT logo with the tagline 'The global provider of secure financial messaging services'. To the right is a 'Security notice' button, language links for '日本語 | Languages | 中文', and 'Ordering & Support' with a search icon. A navigation bar includes links for 'About Us', 'Your Needs', 'Our Solutions', 'Standards', 'News & Events', 'Join SWIFT', 'Contact Us', and 'mySWIFT'. The main content area has three columns: 'Are you a customer?' with a description of mySWIFT and a 'Discover more' link; 'Ordering & Support' with links for 'Ordering', 'Billing', 'CSP', 'Contact Support', and 'Read more ...'; and 'Access mySWIFT' with a prominent orange 'Login to mySWIFT' button. An orange callout bubble points to this button with the text: 'Go to www.swift.com and under “mySWIFT” select “Login to mySWIFT”'. Below this is a large banner titled 'global gpi industry challenge' with the subtitle 'Opportunity for collaborative innovation in cross-border payments'. At the bottom are four category boxes: 'Banking', 'Securities', 'Corporates', and 'Market Infrastructures', each with a brief description of their services.



Business users that do not have a swift.com account should register



Sign in with your swift.com credentials

Setup a login seal to protect yourself against phishing attacks

Email address

Password

[Forgot password?](#)

Your swift.com password

Sign in

Don't have an account?

['How do I become a swift.com user' video](#)

[Registration User Guide](#)

[swift.com security guidelines](#)

Create account

Step 1, Select
“Create account” to
register and create
a new account.

Step 2, Refer to the
“Registration User
Guide” to link your
account to your
institution



Your swift.com admin logs into the Self Attestation (KYCR-SA) tool, at <https://kycregistry.swift.com/security-attestation>

After log in KYCR-SA Admin will see this home page

THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 1.1

Build a89489b6eda | 50 watches | demo.kyc.administrator1@tulip.com | Logged in as demo.kyc.administrator1@tulip.com | Edit your profile | Logout

Search the registry...

Home Find data My entities Administration Inbox My preferences

I am looking for [Find](#)

Entities in your group are missing essential roles. [User administration](#)

Inbox summary Assigned to me Unassigned

For information [1 Unread](#)

My entities

33 entities that are assigned to you require attention:

No data available	ISLE OF MAN BANK (TULIP BANK OFFSHORE LIMITED) BIC: TULIIMD2XXX	Isle Of Man Head Office / Subsidiary	View and edit
No data available	THE TULIP BANK OF SCOTLAND N.V. BIC: TULIGB22XXX	United Kingdom Domestic Branch or department	View and edit

My user profile

tulip administrator1
demo.kyc.administrator1@tulip.com

Your roles (All roles)
Administrator

Your administrators
tulip administrator1
demo.kyc.administrator1@tulip.com

Customer Security Attestation Overview

[Find out more](#)

The KYC Registry
A secure, shared platform to exchange



Your swift.com admin invites your business users to use the tool

Under "Administration" click on "User administration"

THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 1.1

Build a89489b6eda | 50 watches | demo.kyc.administrator1@tulip.com | Logged in as demo.kyc.administrator1@tulip.com | Edit your profile | Logout

Search the registry...

Find data | My entities | Administration | Inbox | My preferences

User administration
Settings
Reporting

Looking for [] or LEI [] [Find](#)

[] group are missing essential roles. [User administration](#)

Inbox summary

Assigned to me | Unassigned

For information [1 Unread](#)

My entities

33 entities that are assigned to you require attention:

No data available	ISLE OF MAN BANK (TULIP BANK OFFSHORE LIMITED) BIC: TULIIMD2XXX	Isle Of Man Head Office / Subsidiary	View and edit
No data available	THE TULIP BANK OF SCOTLAND N.V. BIC: TULIGB22XXX	United Kingdom Domestic Branch or department	View and edit

My user profile

tulip administrator1
demo.kyc.administrator1@tulip.com

Your roles (All roles)
Administrator

Your administrators
tulip administrator1
demo.kyc.administrator1@tulip.com


Customer Security Attestation Overview

[Find out more](#)

The KYC Registry
A secure, shared platform to exchange
standardised Know Your Customer data



Your swift.com admin invites your business users to use the tool

**THE KYC REGISTRY**
SECURITY ATTESTATION
VERSION 1.1

Build a89489b6eda | 218 watches demo.kyc.administrator1@tulip.com

Logged in as demo.kyc.administrator1@tulip.com | [Edit your profile](#) | [Logout](#)

Search the registry...

[Home](#) | [Find data](#) | [My entities](#) | [Administration](#) | [Inbox](#) | [My preferences](#)

User administration

Type text to search for

Assigned roles
☒ All (23)
☐ Administrator (1)
☐ Approver (3)
☐ Granter (4)
☐ Requester (5)
☐ Submitter (6)
☐ Viewer (1)

[Reset](#) [Apply filters](#)

The following entities are missing essential roles
Below entities are missing users for one or more roles:
THE TULIP BANK OF SCOTLAND PLC PARIS BRANCH - XXIXFRPPXXX is missing **Submitter** , **Granter**
XXXXXXXXXXXXXXXXXXXX XXXX - RGRTGB2LXXX is missing **Submitter** , **Granter**

[Download report](#)

23 of 23 Users to which you are assigned as user administrator:

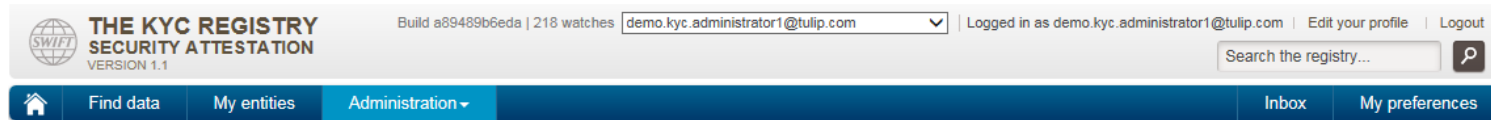
Name	E-mail	Assigned roles	Actions
tulip administrator1	demo.kyc.administrator1@tulip.com	Administrator	View and Modify
tulip approver1	demo.kyc.approver1@tulip.com	Approver	View and Modify
tulip approver2	demo.kyc.approver2@tulip.com	Approver	View and Modify

[+ Invite a new user](#)

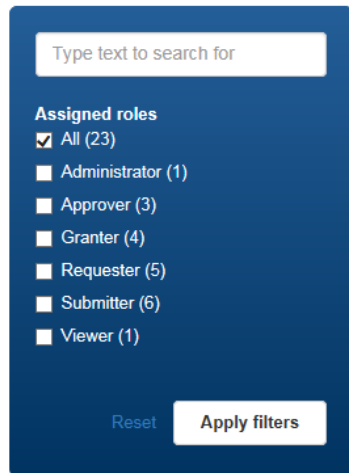
Click “Invite a new user” to send invitation to your business users



Your swift.com admin assigns “submitter” and “approval” roles to your business users



User administration



The following entities are missing essential roles

Below entities are missing users for one or more roles:

THE TULIP BANK OF SCOTLAND PLC PARIS BRANCH - XXIXFRPPXXX is missing **Submitter** , **Granter**
XXXXXXXXXXXXXXXXXXXX XXXX XXX - RGRTGB2LXXX is missing **Submitter** , **Granter**

[Download report](#)

23 of 23 Users to which you are assigned as user administrator:

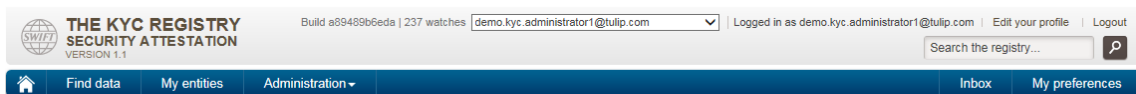
Name ▼	E-mail	Assigned roles	Actions
tulip administrator1	demo.kyc.administrator1@tulip.com	Administrator	View and Modify
tulip approver1	demo.kyc.approver1@tulip.com	Approver	View and Modify
tulip approver2	demo.kyc.approver2@tulip.com	Approver	View and Modify

[+ Invite a new user](#)

Click “View and Modify” to assign roles to your business users



Your swift.com admin assigns “submitter” and “approval” roles to your business users



User - tulip approver1

The following entities are missing essential roles

Below entities are missing users for one or more roles:

THE TULIP BANK OF SCOTLAND PLC PARIS BRANCH - XXXXXXXXXXXXXXXXXXXX XXXX XXX - RGRTGB2LXXX

[Download report](#)

User details

Name: tulip approver1 E-mail: demo.kyc.approver1@tulip.com

Assigned roles

Administrator	Manages users and roles, and configures group settings	Assign role
Submitter	Contributes and manages data	Assign role
Approver	Approves data submitted by the Submitter (4-eyes mode)	Remove role
Viewer	Views data of counterparties	Assign role
Requester	Views and requests access to data of counterparties	Assign role
Grantor	Grants access to own data	Assign role

Assigned access to entities (31 of 33)

☐ All entities

Filter list

Select all Clear all

- ☒ ISLE OF MAN BANK (TULIP BANK OFFSHORE LIMITED)
DOUGLAS - Isle Of Man - Head Office / Subsidiary - BIC: TULIIMD2XXX
- ☒ THE TULIP BANK OF SCOTLAND N.V.
LONDON - United Kingdom - Domestic Branch or department - BIC: TULIGB22XXX
- ☒ THE TULIP BANK OF SCOTLAND N.V.
AMSTERDAM - Netherlands - Sub Foreign Branch - BIC: TULINL2RXXX

Step 2, Assign roles for the selected entities

Step 1, Select the entities you want to assign roles to, or select “All Entities”

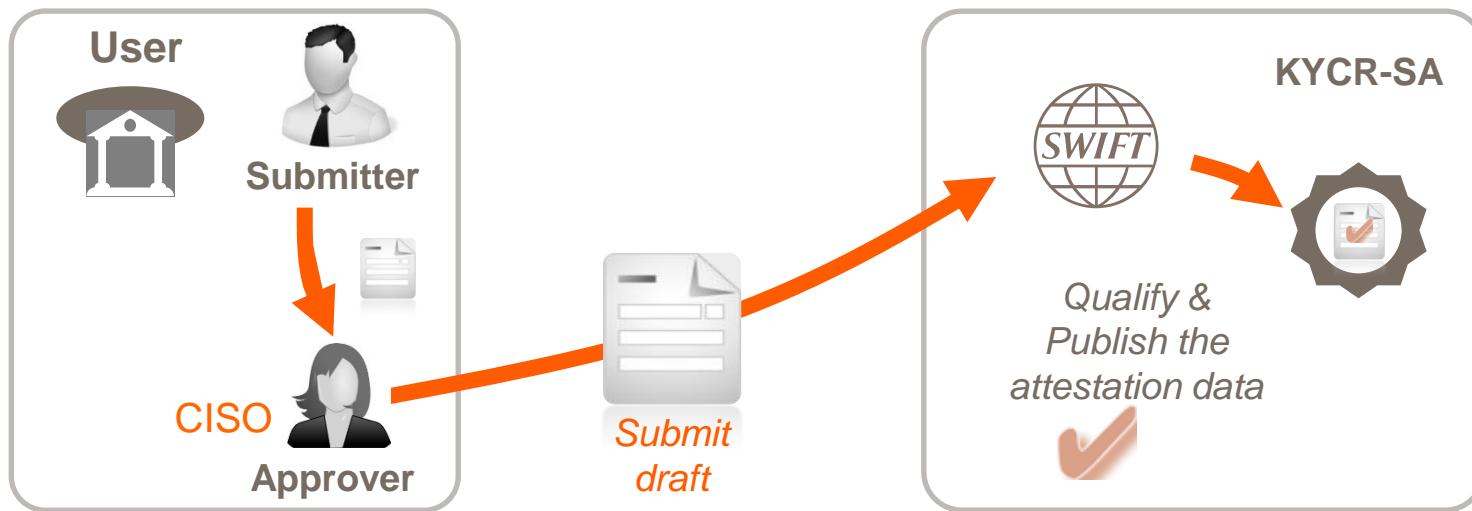
Step 3, Select “Save changes”



Attesting

- **Do your assessment and collect information**
- **Start a Draft**
- **Contact information**
- **Assurance Type**
- **Infrastructure Type and provider (multiple examples)**
- **Current compliance status per control**
- **Submit draft**
- **Review and Approve**
- **Published**

By default a “submitter” must draft an attestation, and a second “approver” user must approve the attestation



Tip:

- For more details on the Self Attestation tool refer to the KYCR-SA Baseline and User Guide [here](#)



Collect information required for attestation

- The following information is required to submit an attestation
- You can collect this information offline before submitting in the KYCR-SA tool

Submitter and approver info

Evaluation method (self-assessment, internal audit, external audit)

Type of infrastructure (including hub owner or service bureau if applicable)

Contact information

For each control:

- ☐ I comply
 - in line with guidance
 - with alternative implementation
- ☐ I will comply
 - with qualification date field
- ☐ I do not comply

Any mandatory control with a missing response will default to “Do not comply”

Advisory controls may be left with a blank response

Tip:

- Use this Excel template to create a draft attestation offline



Microsoft Excel
Worksheet

Business user with “submitter” role logs into the KYCR-SA tool and selects entity to attest, at <https://kycregistry.swift.com/security-attestation>

THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 1.1

Build a89489b6eda | 44 watches | demo.kyc.submitter1@tulip.com | Logged in as demo.kyc.submitter1@tulip.com | Edit your profile | Logout

Search the registry...

Find data | My entities | Inbox | My preferences

I am looking for Type entity name, country, city, BIC or LEI

My entities

31 entities that are assigned to you require attention:

No data available	ISLE OF MAN BANK (TULIP BANK OFFSHORE LIMITED) BIC: TULIIMD2XXX	Isle Of Man Head Office / Subsidiary	View and edit
No data available	THE TULIP BANK OF SCOTLAND N.V. BIC: TULIGB22XXX	United Kingdom Domestic Branch or department	View and edit
No data available	THE TULIP BANK OF SCOTLAND N.V. BIC: TULINL2RXXX	Netherlands Sub Foreign Branch	View and edit

My user profile

tulip submitter1
demo.kyc.submitter1@tulip.com

Your roles (All roles)
Submitter

Your administrators
tulip administrator1
demo.kyc.administrator1@tulip.com

Customer Security Attestation Overview

Step 1, After log in Business User with “submitter” role will see this home page

Step 2, Select “View and edit” for the entity to attest




Create draft submission

The screenshot shows the 'THE KYC REGISTRY SECURITY ATTESTATION' interface. The header includes the SWIFT logo, version 1.1, build number a89489b6eda, 64 watches, and a dropdown menu showing 'demo.kyc.submitter1@tulip.com'. It also indicates the user is logged in as 'demo.kyc.submitter1@tulip.com' with links to 'Edit your profile' and 'Logout'. A search bar is present with the text 'Search the registry...'. The main navigation bar has tabs for 'Find data', 'My entities', 'Inbox', and 'My preferences'. The main content area displays 'THE TULIP BANK OF SCOTLAND N.V. Sub Foreign Branch' with BIC: TULINL2RXXX and Location: AMSTERDAM, Netherlands. Below this, the 'Security Controls' section shows 'No data available' and a 'Create draft' button. An orange callout bubble points to the 'Create draft' button with the text 'Select "Create draft"'. Below the 'Security Controls' section, the 'Entity names and addresses' section lists the following information:

Anglicised legal name	THE TULIP BANK OF SCOTLAND N.V.
Trading name	THE TULIP BANK OF SCOTLAND N.V.
Registered address	MAIN STREET 1 LONDON EC2M 4XB United Kingdom (GB)



Create draft submission

 **THE KYC REGISTRY**
SECURITY ATTESTATION
VERSION 1.1

Build a89489b6eda | 1055 watches demo.kyc.submitter1@tulip.com

Logged in as demo.kyc.submitter1@tulip.com | [Edit your profile](#) | [Logout](#)

Search the registry...

[Home](#) [Find data](#) [My entities](#) [Inbox](#) [My preferences](#)

THE TULIP BANK OF SCOTLAND N.V. Sub Foreign Branch

BIC: TULINL2RXXX | Location: AMSTERDAM, Netherlands

Security Controls

No entities to copy from

Contact details

Select the contact person or department for the self-attestation *

☐ Person
☐ Department

CISO or similar role * [+ Add new](#)

Not shared with your counterparties

Select the contact person or department for the 24x7 SOC *

☐ Person

[Cancel](#) [Save draft](#)

Step 1, Input
attestation data

Step 2, Select
"Save draft"

You need to provide all fields (7 missing) marked with an * before you can submit



Create draft submission

THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 0.1

Build 5a820d2bb91 | 1055 watches

Logged in as demo.kyc.su

[Find data](#)
[My entities](#)

THE TULIP BANK OF SCOTLAND N.V.

Sub Foreign Branch

BIC: TULINL2RXXX | Location: AMSTERDAM, Netherlands

Security Controls

Contact details

Select the contact person or department for the self-attestation *

CISO or similar role * [Add new](#)

Select the contact person or department for the 24x7 SOC *

Is your institution a "Supervised Financial Institution"? *

Country of regulator or supervisory authorities *

Name of the regulator or supervisory authorities *

☐ Person

☐ Department

☐ Person

☐ Department

☒ Yes


☐ Germany

On the left hand side you will see which information needs to be filled out.

You need to provide all fields (7 missing)

Create draft submission

Contact Details

 THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 1.1

Build 1b85aa932c8 | 1584 watches | john.doe@bankus33.com

Logged in as john.doe@bankus33.com | Edit your profile | Logout

Search the registry...

[Find data](#) [My entities](#) [Inbox](#) [My preferences](#)

THE TULIP BANK OF SCOTLAND N.V. Sub Foreign Branch
BIC: TULINL2RXXX | Location: AMSTERDAM, Netherlands

Security Controls

Copy data from other entity

Input Contact details at individual (person) or group (department) level

Contact details

Select the contact person or department for the self-attestation *

☒ Person
☐ Department

Contact person for self-attestation * [+ Add new](#)

First name	Last name	Job title	Direct work phone number (incl. plus sign (+) with the international prefix)	E-mail address	Actions
John	Doe	Security Specialist	+1-555-867-5309	john.doe@bankus33.com	Update Delete

CISO or similar role * [+ Add new](#)

Not shared with your counterparties

First name	Last name	Job title	Direct work phone number (incl. plus sign (+) with the international prefix)	Phone number in case of emergencies (incl. plus sign (+) with the international prefix)	E-mail address	Actions
Jane	Doe	CISO		+1-555-867-5309	jane.doe@bankus33.com	Update Delete

[Cancel](#) [Save draft](#)



Create draft submission

Contact Details & Supervisory Information

Select the contact person or department for the 24x7 SOC *

☐ Person
☒ Department

Contact department for the 24x7 SOC *

Department name *

SOC

3/1000

E-mail address *

soc@bankus33.com

Phone number (incl. plus sign (+) with the international prefix)

Input Contact details at individual (person) or group (department) level

Is your institution a "Supervised Financial Institution"? *

☒ Yes

Country of regulator or supervisory authorities *

United States

Name of the regulator or supervisory authorities *

Alaska Department of Commerce, Community, and Economic Development (Banking and Securities)

Select the contact person or department for the regulator or supervisory authorities

☐ Person
☒ Department

Contact department for the regulator or supervisory authorities

Department name

I

0/1000

E-mail address

Phone number (incl. + International prefix)

Input Supervisory information

Cancel Save draft



Create draft submission

Select Assessment type & Architecture type

Privacy statement agreement *

☒ I agree that SWIFT may process personal data collected as part of the self-attestation in accordance with the SWIFT Customer Security Controls Policy (Data Protection section)

Assurance type

Assessment type *

☒ Self-assessment
☐ External audit

☐ Internal audit

[Select all](#) | [Deselect all](#)

SWIFT infrastructure

Architecture type *

Messaging interface product name

☐ Do not share

1 - Restrict Internet Access & Segregate Critical Systems from General IT E

1.1 SWIFT Environment Protection *

A1 - Full stack

A1 - Full stack

A2 - Partial stack

A3 - Connector

B - No local footprint

Self-Assessment or
also includes a
External or Internal
Audit

Select
Architecture
type

Example:

A1 using SWIFT or another Interface provider

SWIFT infrastructure

Architecture type *

A1 - Full stack

Messaging interface product name

☐ Do not share

1 - Restrict Internet Access & Segregate Critical Systems

1.1 SWIFT Environment Protection *

Alliance Access (SWIFT)

Alliance Access (SWIFT)

Alliance Entry (SWIFT)

Alliance Messaging Hub (SWIFT)

Example:

A2 using SWIFT or another Interface provider

SWIFT infrastructure

Architecture type *

A2 - Partial stack

Service provider type *

Group Hub or Shared Connection Provider

Communication interface owner BIC *

TULIGB22

8/1000

Messaging interface product name

☐ Do not share

Alliance Access (SWIFT)

Alliance Access (SWIFT)

Alliance Entry (SWIFT)

Alliance Messaging Hub (SWIFT)

1 - Restrict Internet Access & Segregate Critical System

1.1 SWIFT Environment Protection *

Example: A3 using SWIFT Lite2 or a Service Bureau

SWIFT infrastructure

Architecture type *

A3 - Connector

Service provider type *

SWIFT

SWIFT infrastructure

Architecture type *

A3 - Connector

Service provider type *

Service Bureau

Communication interface owner name *

Service Bureau XYZ

☐ Do not share

Is the Messaging Interface hub provider a Service Bureau? *

☒ Yes☐ No

Messaging interface hub name *

Service Bureau XYZ

☐ Do not share

Example

B using SWIFT Lite2 or a Hub

SWIFT infrastructure

Architecture type *

B - No local footprint



Service provider type *

SWIFT



SWIFT infrastructure

Architecture type *

B - No local footprint



Service provider type *

Group Hub or Shared Connection Provider



Communication interface owner BIC *

GLOBUS33

8/1000

Is the Messaging Interface hub provider a Service Bureau? *

☐ Yes☒ No

Messaging interface hub BIC *

GLOBUS33

8/1000

Create draft submission

Update current compliance status and plans

1 - Restrict Internet Access & Segregate Critical Systems from General IT Environment

1.1 SWIFT Environment Protection *

I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework

1.2 Operating System Privileged Account Control *

I comply using an alternative implementation while meeting the same control objective

Optional clarification

Comments.....

13/1000

2 - Reduce Attack Surface and Vulnerabilities

2.1 Internal Data Flow Security *

I will comply by a given date

Target date to comply *

28 Oct 2017



Optional clarification

0/1000

2.2 Security Updates *

I will comply by a given date

Target date to comply *

15 Nov 2017



Optional clarification


Pending update from vendor

Update with your
current level of
compliance including
comments where
appropriate

Cancel

Save draft

Save draft

 **THE KYC REGISTRY**
SECURITY ATTESTATION
VERSION 1.1

Build a89489b6eda | 1055 watches demo.kyc.submitter1@tulip.com

Logged in as demo.kyc.submitter1@tulip.com | [Edit your profile](#) | [Logout](#)

Search the registry...

[Home](#) [Find data](#) [My entities](#) [Inbox](#) [My preferences](#)

THE TULIP BANK OF SCOTLAND N.V. Sub Foreign Branch

BIC: TULINL2RXXX | Location: AMSTERDAM, Netherlands

Security Controls

No entities to copy from

Contact details

Select the contact person or department for the self-attestation *

☐ Person
☐ Department

CISO or similar role * [+ Add new](#)

Not shared with your counterparties

Select the contact person or department for the 24x7 SOC *

☐ Person

[Cancel](#) [Save draft](#)

Select "Save draft"

You need to provide all fields (7 missing) marked with an * before you can submit



Review draft for approval

Review Attestation
summary and
details

Assessment type * ? Self-assessment

SWIFT infrastructure

Architecture type * ? A3 - Connector

Service provider type * ? Service Bureau

Communication interface owner name * ? Service Bureau XYZ

Communication interface provider - SIP Compliance at publication time * ? [View only](#) SIP 2016

Communication interface provider - current SIP Compliance * ? [View only](#) SIP 2016

Note: Click [here](#) for more information on the compliance status of Service Bureaux against the Shared Infrastructure Programme.

Messaging interface hub name * ? Service Bureau XYZ - - - - -

Messaging interface provider - SIP Compliance at publication time * ? [View only](#) SIP 2016


Messaging interface provider - current SIP Compliance * ? [View only](#) SIP 2016

Note: Click [here](#) for more information on the compliance status of Service Bureaux against the Shared Infrastructure Programme.

1 - Restrict Internet Access & Segregate Critical Systems from General IT Environment

ast updated by longbridge submitter1 on 28 Aug 2017
sing Baseline version 1 (See [Baseline Definition](#))

Submit draft for approval


**THE KYC REGISTRY**
SECURITY ATTESTATION
VERSION 1.1

Build a89489b6eda | 1240 watches

demo.kyc.submitter1@tulip.com

Logged in as demo.kyc.submitter1@tulip.com | [Edit your profile](#) | [Logout](#)

Search the registry...

 Find data My entities

Inbox **1** My preferences

THE TULIP BANK OF SCOTLAND N.V

Domestic Branch or department

BIC: TULIGB22XXX | Location: LONDON, United Kingdom

Complete draft & submit → Approval → Publish by SWIFT

Actions ▼

Security Controls

Draft Version history

Working with drafts
Folders in draft status are work in progress and only visible to the users who have the rights to edit data in your institution. While editing a draft you can modify and upload data.
[Submit this draft](#) to be published by SWIFT. [Got it](#)

Complete and submit your draft

Last updated by tulip_submitter1 on 20 Sep 2017
Using Baseline version 1 (See [Baseline Definition](#))

Delete Edit draft **Submit draft for approval**

Review, and select
“Submit draft for
approval”



Submit draft for approval

The screenshot shows the 'THE KYC REGISTRY' interface. At the top, it says 'Build a89489b6eda | 1249 watches' and 'demo.kyc.submitter1@tulip.com'. The user is logged in as 'demo.kyc.submitter1@tulip.com'. A modal dialog titled 'Submit draft for approval' is open. The dialog contains the text: 'Submitting this draft will send it to the responsible person in your organisation for approval. You will not be able to edit this draft until it is published or rejected.' Below this is a 'Message:' label and a text input field. At the bottom of the dialog are 'Cancel' and 'Submit draft for approval' buttons. An orange callout bubble points to the 'Submit draft for approval' button with the text: 'If required enter message for “approver” and select “Submit draft for approval”'. The background interface shows 'THE KYC REGISTRY' logo, 'VERSION 1.1', 'Find data', 'My preferences', 'Complete draft', 'Security', 'Working with drafts', 'Folders in draft status are work in progress and only visible to the users who have the rights to edit data in your institution. While editing a draft you can modify and upload data.', 'Submit this draft to be published by SWIFT. Got it', 'Complete and submit your draft', 'Last updated by tulip submitter1 on 20 Sep 2017', 'Using Baseline version 1 (See Baseline Definition)', 'Delete', 'Edit draft', and 'Submit draft for approval' buttons.

Submit draft for approval

Submitting this draft will send it to the responsible person in your organisation for approval. You will not be able to edit this draft until it is published or rejected.

Message:

0/4000

Cancel Submit draft for approval

Working with drafts
Folders in draft status are work in progress and only visible to the users who have the rights to edit data in your institution. While editing a draft you can modify and upload data.

Submit this draft to be published by SWIFT. [Got it](#)

Complete and submit your draft

Last updated by tulip submitter1 on 20 Sep 2017
Using Baseline version 1 (See [Baseline Definition](#))

Delete Edit draft Submit draft for approval

If required enter message for “approver” and select “Submit draft for approval”



Business user with “approver” role logs into the KYCR-SA tool and selects entity to approve attestation, at <https://kycregistry.swift.com/security-attestation>

Step 1, After log in Business User with “approver” role will see this home page

**THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 1.1**

Build a89489b6eda | 44 watches | demo.kyc.approver1@tulip.com | Logged in as demo.kyc.approver1@tulip.com | Edit your profile | Logout

Search the registry...

[Find data](#) [My entities](#) [Inbox](#) [My preferences](#)

I am looking for [Find](#)

My entities

31 entities that are assigned to you require attention:

No data available	ISLE OF MAN BANK (TULIP BANK OFFSHORE LIMITED) BIC: TULIIMD2XXX	Isle Of Man Head Office / Subsidiary	View and edit
No data available	THE TULIP BANK OF SCOTLAND N.V. BIC: TULIGB22XXX	United Kingdom Domestic Branch or department	View and edit
No data available	THE TULIP BANK OF SCOTLAND N.V. BIC: TULINL2RXXX	Netherlands Sub Foreign Branch	View and edit

My user profile

tulip approver1
demo.kyc.approver1@tulip.com

Your roles (All roles)
Approver

Your administrators
tulip administrator1
demo.kyc.administrator1@tulip.com


**Customer Security
Attestation Overview**

Step 2, Select “View and edit” for the entity to approve attestation

NOTE: This screen shot is from a demo environment and actual user screens will look different



Review and Approve draft attestation


**THE KYC REGISTRY**
SECURITY ATTESTATION
VERSION 1.1


Build a89489b6eda | 1239 watches

demo.kyc.approver1@tulip.com

Logged in as demo.kyc.approver1@tulip.com | [Edit your profile](#) | [Logout](#)

Search the registry...

 Find data

 My entities

Inbox **1**

[My preferences](#)

THE TULIP BANK OF SCOTLAND N.V

Domestic Branch or department

BIC: TULIGB22XXX | Location: LONDON, United Kingdom

Submitted → **Approve draft** → Publish by SWIFT

Actions ▼

Draft [Version history](#)

Your approval is required for submitting this draft

Reject

Approve draft

Select "Approve draft"

Entity names and addresses

Anglicised legal name	THE TULIP BANK OF SCOTLAND N.V
Trading name	THE TULIP BANK OF SCOTLAND N.V. LONDON

Last updated by tulip submitter1 (Submitter) on 20 Sep 2017
Using Baseline version 1 (See [Baseline Definition](#))

Reject

Approve draft



Approve draft attestation

The screenshot shows the 'THE KYC REGISTRY' interface. At the top, there's a header with the SWIFT logo, 'THE KYC REGISTRY SECURITY VERSION 1.1', build information, a user dropdown, and login/logout links. A modal window titled 'Approve draft and send for publication' is open. It contains a warning message: 'Approving this draft will send it to SWIFT for publication. You will not be able to edit this draft until it is published or rejected. You can view the status of the publication request from your Inbox.' Below this is a 'Message:' label and a text input field. At the bottom of the modal are 'Cancel' and 'Approve draft' buttons. An orange callout bubble points to the 'Approve draft' button with the text 'Select “Approve draft”'. In the background, the main interface shows 'THE TULIP BANK' details, including BIC 'TULIGB22XXX', a 'Submitted' status, and a table of entity names and addresses. At the bottom of the background interface, there are 'Reject' and 'Approve draft' buttons.

Approve draft and send for publication

Approving this draft will send it to SWIFT for publication. You will not be able to edit this draft until it is published or rejected. You can view the status of the publication request from your Inbox.

Message:

0/4000

Cancel Approve draft

Entity names and addresses

Anglicised legal name	THE TULIP BANK OF SCOTLAND N.V
Trading name	THE TULIP BANK OF SCOTLAND N.V. LONDON
Registered address	MAIN STREET 1

Last updated by tulip submitter1 (Submitter) on 20 Sep 2017
Using Baseline version 1 (See [Baseline Definition](#))

Reject Approve draft



Attestation Published

Inbox

Awaiting action

Assigned to me

For information

1

Completed

Show all

Showing 11 of 11 items

Type to filter

All types of actions

Choose an entity

[More filters](#)

Title

Received

Assigned

Status

NEW

This draft was **successfully published by SWIFT**

THE TULIP BANK OF SCOTLAND N.V. [TULINLNVXXX] - Security Controls

21 Sep 2017
09:58

Informative
[Dismiss](#)

Note by SWIFT - 21 Sep 2017 Thank Tulip for your attestation

Confirmation from
SWIFT



Attestation Published

Security Controls

Actions ▼

Published

[Version history](#)

Publication comment :
Thank Tulip for your attestation

Entity names and addresses

Anglicised legal name	THE TULIP BANK OF SCOTLAND N.V
Trading name	THE TULIP BANK OF SCOTLAND N.V. LONDON
Registered address	MAIN STREET 1 LONDON EC2M 4XB United Kingdom (GB)
Operating address	MAIN STREET 1 LONDON EC2

Last updated by **tulip submitter1** (Submitter) on **21 Sep 2017**

Approved by **tulip approver1** (Approver) on **21 Sep 2017**

Published by **SWIFT** on **21 Sep 2017**

Using **Baseline version 1** (See [Baseline Definition](#))

History of
submission and
publication

Edit



Additional tools

- **Copy/paste**
- **Compares**
- **Activity Log**

KYC-SA Application - Folders copy/paste & edit



Submitter

Security Controls

Contact details

Select the contact person or department for the self-attestation *

☐ Person
☐ Department

[Copy data from other entity](#)



Security Controls

Fill this category with data from

GLOBDESTXXX - GLOBAL BANK BADEN-WUERTEMBERG - MANNHEIM - Germany - Head Office / Subsidiary

PUBLISHED

[Cancel](#) [Preview](#) [Add data](#)

Contact details

Select the contact person or department for the self-attestation *

☐ Person
☐ Department

Folders copy/paste & edit principles:

- Submitter decides which folder (latest draft or published version) from which entity to be copied
- Once pasted, information can be freely updated (no linkage)
- All data included in the source folder is copied and pasted in the destination one
- No specific restrictions: any entity of the group can benefit from this feature

KYC-SA Application - Compare folders

Compare folder versions:

- Either draft or published versions
- Both for contribution and consumption

Comparing folders shows:

- Data and documents impacted by the updates
- Additions in green
- Deletion in red strike-through

Security Controls

[Draft](#) [Published](#) [Version history](#)

Complete and submit your draft

Comparing 'Current draft' with 'Current published version' [Stop compare](#)

Contact details

Contact department for self-attestation *	Department name *	d
	E-mail address *	d@mail.com
	Phone number (incl. plus sign (+) with the international prefix)	+1213213122

CISO or similar role *

First name *

Last name *

Job title *

Direct work phone number (incl. plus sign (+) with the international prefix)

Phone number in case of emergencies (incl. plus sign (+) with the international prefix) *

E-mail address *

Jack

Doe Jones

CISO

+54565464656

kjack.jones@mail.com

Not shared with your counterparties

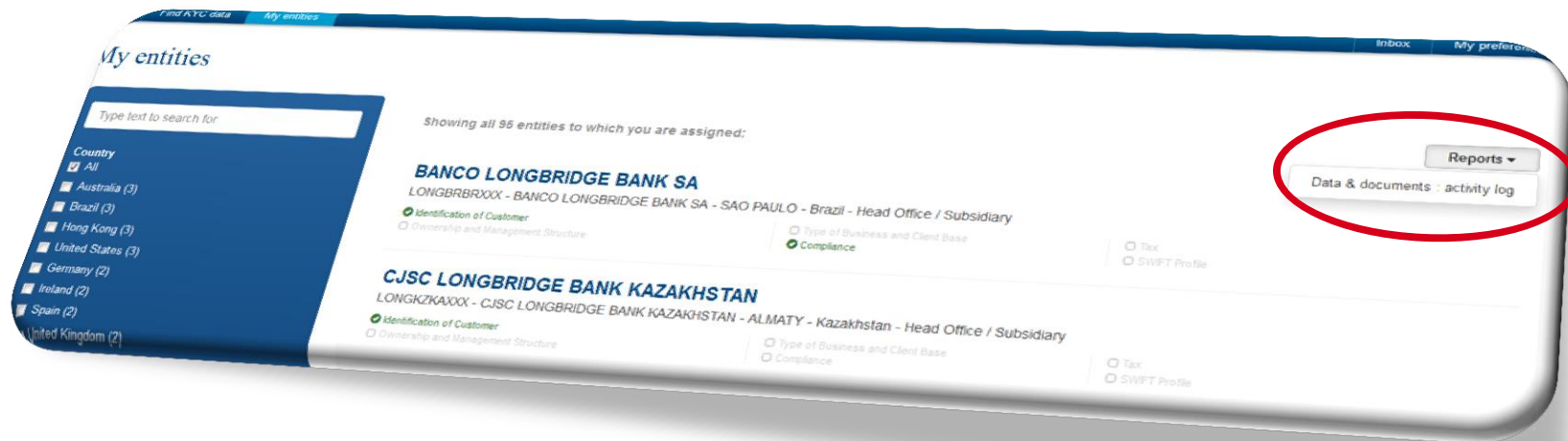
Contact department for the 24x7 SOC *	Department name *	soc
	E-mail address *	soc@email.com
	Phone number (incl. plus sign (+) with the international prefix)	+56555656

Not shared with your counterparties

KYC-SA Application - Data contribution activity log report

Track who did what and when per entity and per folder

For KYC **Admins** (Group scope) and **Submitters/Approvers** (Entities assigned scope)



KYC-SA Application - Download information



On top of the XML format, users get a PDF version of the draft or published data (as part of a ZIP file)

Security Controls

Anglicised legal name: GLOBAL BANK BADEN-WUERTTEMBERG
Trading name: GLOBAL BANK BADEN-WUERTTEMBERG
Registered address: MAIN STREET 1
MANNHEIM 68165
Germany (DE)
Operating address: POB 10 60 49 MAIN STREET 1
STUTTGART 70173
Germany (DE)

Contact details

Contact person for self-attestation

First name	Last name	Job title	Direct work phone number (incl. plus sign (+) with the international prefix)	E-mail address
Jerome	Jadoulle	CISO	+60125865332	jerome.jadoulle@swift.com

CISO or similar role

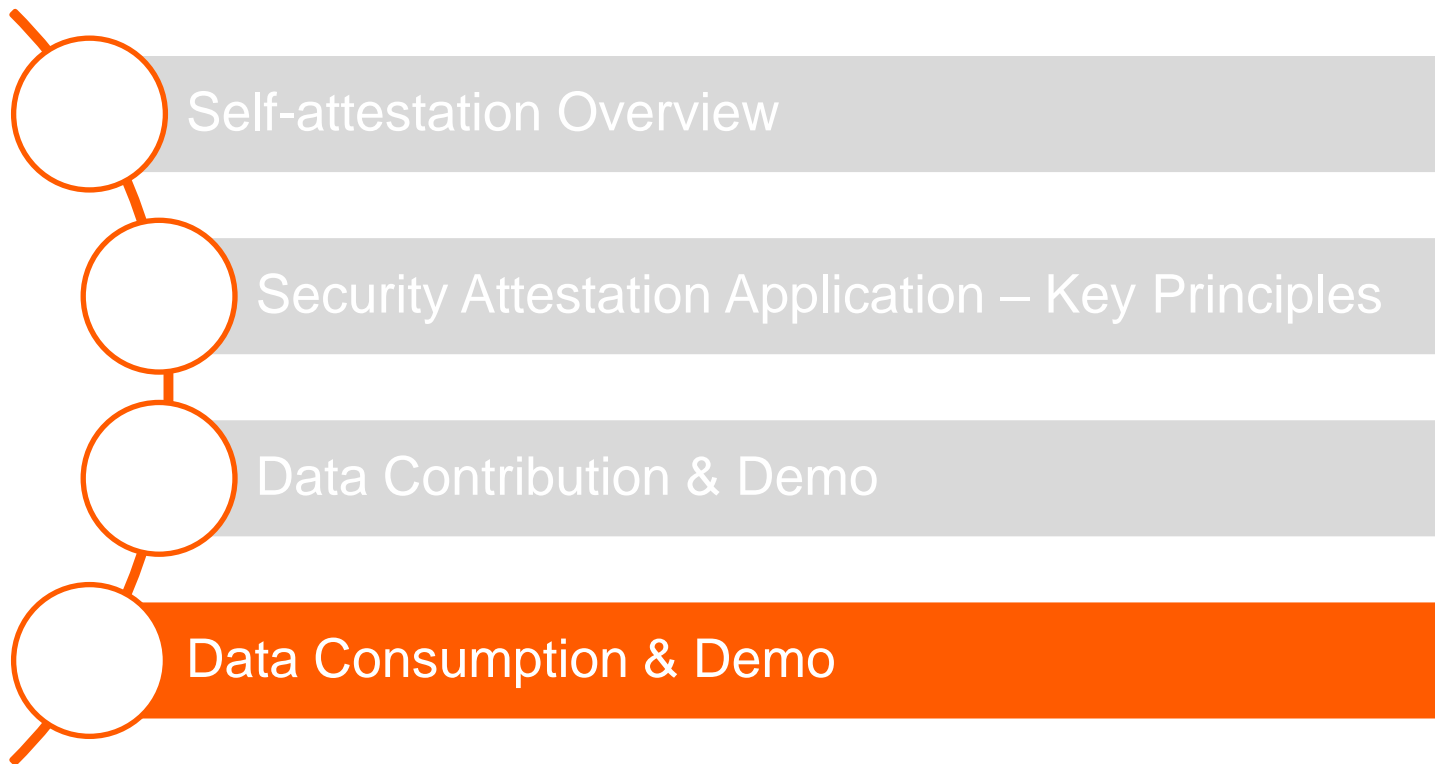
First name	Last name	Job title	Direct work phone number (incl. plus sign (+) with the international prefix)	Phone number in case of emergencies (incl. plus sign (+) with the international prefix)	E-mail address
Jerome	Jadoulle	CISO	+60125865332		jerome.jadoulle@swift.com

Contact department for the 24x7 SOC

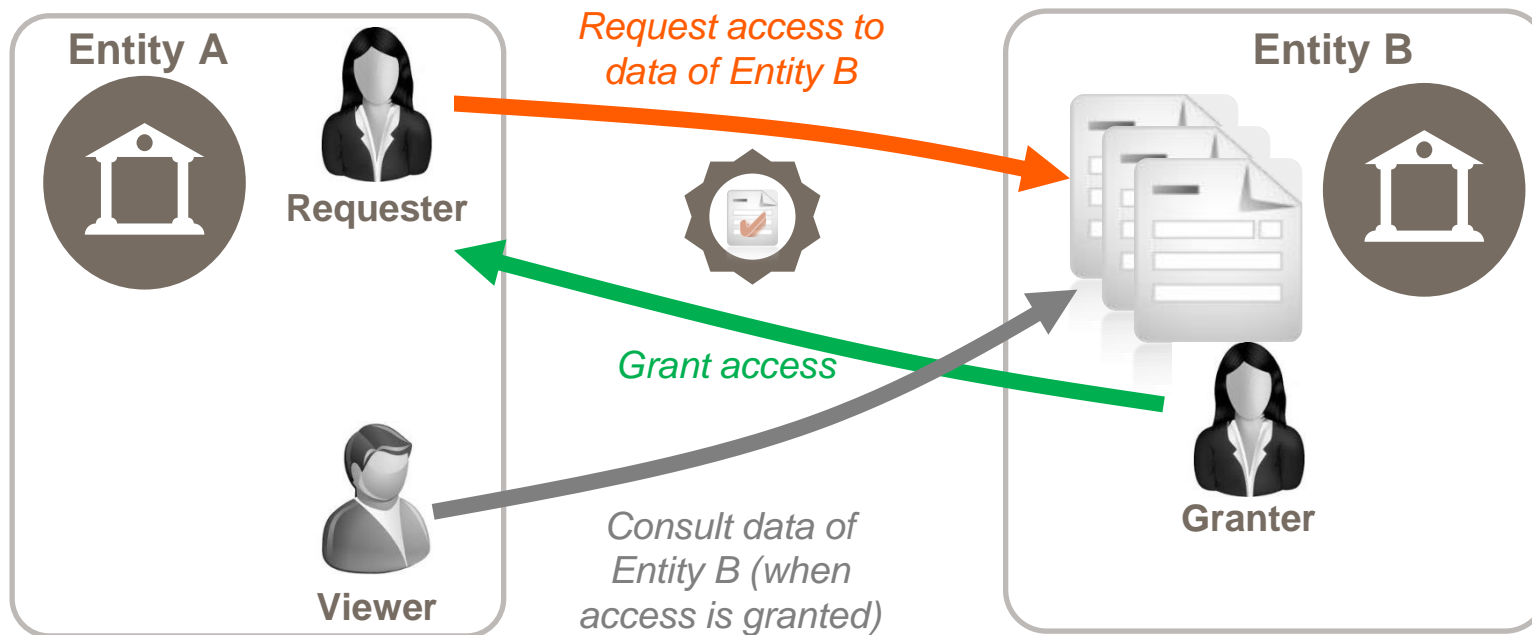
Department name	SOC
E-mail address	SOC@swift.com



Outline



KYC-SA Application - Data Consumption



Consulting authorised Security Attestation data is free of charge

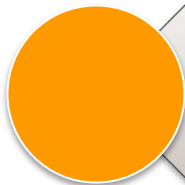
KYC-SA Application - **Access management principles**



An entity must have published data to be able to receive an access request



Access requests are granted between entities
(not users)



Access requests are always triggered on demand
of a counterparty (no proactive access granting)



Consumption

Requesting

- Search for counterparties
- Request access to their Attestation
- Request for multiple BICs
- Confirm request

Business user with “requestor” role logs into the KYCR-SA tool and searches for Entity to request Attestation



Find data

I am looking for Q Find

Entities (101)

Relationship

- ☒ All
- ☐ Counterparty (0)
- ☐ Non-counterparty (101)

Office type

- ☒ All
- ☐ Head Office / Subsidiary (32)
- ☐ Domestic Branch or department (3)

101 Entities found:

Longbridge Bank N.A.

LONGUS33XXX - NEW YORK,NY - United States - Head Office / Subsidiary

Security Controls

Longbridge Bank Pty Limited, Sydney

LONGAU2XXXX - SYDNEY - Australia - Head Office / Subsidiary

Search by Name,
BIC or LEI

A high level
search will bring
multiple results



Search for counterparties with completed Attestations

The screenshot displays a list of bank branches from the Longbridge Bank group. Each entry includes the bank name, a SWIFT code, location, and a 'Security Controls' link. A blue callout at the top left states: 'There is a published security attestation. The information provided is valid in time.' An orange callout on the right says: 'Select the Attestation for which you would like access'. Another orange callout points to the 'Security Controls' link, stating: '“Security Controls” will be Blue when an Attestation has been published'.

Bank Name	SWIFT Code	Location	Branch Type	Security Controls
LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH			Foreign Branch	Security Controls
LONGBRIDGE BANK CONGO	LONGCDKXXXX	KINSHASA	Congo, The Democratic Republic Of The - Foreign Branch	Security Controls
LONGBRIDGE BANK NA - BRAZIL	LONGBRSPXXX	SAO PAULO	Brazil - Foreign Branch	Security Controls
LONGBRIDGE BANK NA - BRAZIL	LONGBRXXXX	SAO PAULO	Brazil - Sub Foreign Branch	Security Controls
BANCO LONGBRIDGE BANK SA	LONGBRBRXXX	SAO PAULO	Brazil - Head Office / Subsidiary	Security Controls



Request Access

LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH

Foreign Branch
BIC: LONGBEBXXXX | Location: BRUSSELS, Belgium

You don't have access to this entity

[Send message](#) [Request access](#)

Entity names and addresses

Anglicised legal name	LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH
Trading name	LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH
Registered address	MAIN STREET 1 LONDON WC2R 1HB United Kingdom (GB)
Operating address	MAIN STREET 1 BRUSSELS 1040 Belgium (BE)
Head office anglicised legal name	LONGBRIDGE BANK INTERNATIONAL LIMITED

Request Access



Request access for one or more of your BICs

THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 1.1

Build c31986767aa | 364 watches | demo.kyc.requester1@tulip.com | Logged in as demo.kyc.requester1@tulip.com | Edit your profile

Find data | My entities | My countries

LONGBRIDGE BANK
BIC: LONGBEBXXXX | Location: BRUSSELS, Belgium

You don't have access to this entity

Entity names and addresses

Anglicised legal name
Trading name
Registered address
Operating address

Head office anglicised legal name
Head office BIC
Head office registered country

[Browse BIC hierarchy](#)

Security Attestation Data
Security Controls

View and manage your access to LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH

Filter list

My entities that need/have access

Data
ISLE OF MAN BANK (TULIP BANK OFFSHORE LIMITED) DOUGLAS - Isle Of Man - Head Office / Subsidiary - BIC: TULIIMD2XXX Will request access
THE TULIP BANK OF SCOTLAND N.V. LONDON - United Kingdom - Domestic Branch or department - BIC: TULIGB22XXX Request access
THE TULIP BANK OF SCOTLAND N.V. AMSTERDAM - Netherlands - Sub Foreign Branch - BIC: TULINL2RXXX Will request access
THE TULIP BANK OF SCOTLAND N.V. AMSTERDAM - Netherlands - Sub Foreign Branch - BIC: TULINLNVXXX Request access
THE TULIP BANK OF SCOTLAND N.V. (HONG KONG) BRANCH HONG KONG - Hong Kong - Sub Foreign Branch - BIC: TULIHKAVXXX Will request access
THE TULIP BANK OF SCOTLAND PLC PIRAEUS - Greece - Foreign Branch - BIC: TULIGRAAXXX Request access

Note (optional):
Please provide us access to view your Attestation|

49/4000

Disclaimer After confirming, your access request and all the information you have provided here will be sent to the designated employees of the entity who may, at their discretion, grant or not grant the requested access to data.

[Cancel](#) [Next >](#)

Request Access
for one, multiple
or all of your
BICs

Include a
message if
you wish

Select Next



Confirm and submit your request

Confirm your access request

Filter list

My entities that request/surrender access	Data
ISLE OF MAN BANK (TULIP BANK OFFSHORE LIMITED) DOUGLAS - Isle Of Man - Head Office / Subsidiary - BIC: TULIIMD2XXX	Will request access
THE TULIP BANK OF SCOTLAND N.V. AMSTERDAM - Netherlands - Sub Foreign Branch - BIC: TULINL2RXXX	Will request access
THE TULIP BANK OF SCOTLAND N.V. (HONG KONG) BRANCH HONG KONG - Hong Kong - Sub Foreign Branch - BIC: TULIHKAVXXX	Will request access

Note (optional):
Please provide us access to view your Attestation

49/4000

Disclaimer After confirming, your access request and all the information you have provided here will be sent to the designated employees of the entity who may, at their discretion, grant or not grant the requested access to data.

Cancel

Back

Submit your request

Verify your request

Submit



Granter of Counterparty Organization: As A Recipient of a Request – “Granter” can grant access



Granter

THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 1.1

Build c31986767aa | 52 watches | demo.kyc.granter1@longbridge.com | Logged in as demo.kyc.granter1@longbridge.com | Edit your profile | Logout

Search the registry...

Find data | My entities | Inbox 1 | My preferences

I am looking for [Find](#)

Inbox summary

	Assigned to me	Unassigned	Assigned to me	Unassigned
Data requests		1	For information	5 Unread

My entities

90 entities that are assigned to you require attention:

No data available	LONGBRIDGE BANK BIC: LONGES2XXXX	Spain Head Office
No data available	LONGBRIDGE BANK (CHINA) CO., LTD. BIC: LONGCNSXXXX	China Head Office
No data available	LONGBRIDGE BANK (HONG KONG) LIMITED BIC: LONGHKAXXXX	Hong Kong Head Office / Subsidiary
No data available	LONGBRIDGE BANK A.S. BIC: LONGTRIXXXX	Turkey Head Office / Subsidiary

[View and edit](#)

My user profile

longbridge.granter1
demo.kyc.granter1@longbridge.com

Your roles (All roles)
Granter

Your administrators
longbridge.administrator1
demo.kyc.administrator1@longbridge.com

Customer Security Attestation Overview

[Find out more](#)

Granter of
receiving party

Receipt of a
data request



Consumption


Granting

- **Inbox & preferences**
- **Grant or reject access**

Granter of Counterparty Organization: Request and details can be found in your Inbox



Granter

**THE KYC REGISTRY**
SECURITY ATTESTATION
VERSION 1.1

Build c319867aa | 121 watches demo.kyc.granter1@longbridge.com | Logged in as demo.kyc.granter1@longbridge.com | [Edit your profile](#) | [Logout](#)

[Find data](#) | [My entities](#) | [Inbox ¹](#) | [My preferences](#)

Inbox

Awaiting action ¹

Assigned to me

For information ⁵

Completed

Show all

Outbox

Pending reply

Show all

Showing 1 of 1 items ([Clear filters](#))

Title	Received	Assigned	Status
NEW TULI_GROUP (3 entities) is requesting access to data LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH [LONGBEBXXXX] Hide comments (1) - Add an internal comment Note by TULI_GROUP - 22 Sep 2017 Please provide us access to view your Attestation	22 Sep 2017 18:17	Unassigned ~	Awaiting action

There might be more results in the section [Show all](#)

[Terms of use](#) | [Documentation](#) | [Support](#)

Select to see
details of the
request

Inbox awaiting
action



Granter of Counterparty Organization: Grant or deny request/s



Granter

TULI_GROUP is requesting access to data of LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH

Grant or reject access and click Next to confirm your selection

Filter list

Entities requesting access	Data ▾
ISLE OF MAN BANK (TULIP BANK OFFSHORE LIMITED) DOUGLAS - Isle Of Man - Head Office / Subsidiary - BIC: TULIIMD2XXX	Grant access ▾
THE TULIP BANK OF SCOTLAND N.V. AMSTERDAM - Netherlands - Sub Foreign Branch - BIC: TULINL2RXXX	Reject access ▾
THE TULIP BANK OF SCOTLAND N.V. (HONG KONG) BRANCH HONG KONG - Hong Kong - Sub Foreign Branch - BIC: TULIHKAVXXX	Grant access ▾

Access requested to:
LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH [View and manage counterparty access rights](#)
BRUSSELS - Belgium - Foreign Branch - BIC: LONGBEBXXX

Note by TULI_GROUP:
Please provide us access to view your Attestation

Note (optional):

99/4000

Cancel Next >

Grant or Reject
Access

Include a
message if
you wish

Select Next



Consumption

Viewing

- **Inbox & preferences**
- **View access granted**
- **View Attestation**
- **Follow-up as needed**

Viewer:

Viewer can see counterparty response and access Attestation detail



Viewer

THE KYC REGISTRY
SECURITY ATTESTATION
VERSION 1.1

Build c31986767aa | 88 watches | demo.kyc.testviewer@tulip.com | Logged in as demo.kyc.testviewer@tulip.com | Edit your profile | Logout

Search the registry...

Find data | My entities | My counterparties | **Inbox** | My preferences

Inbox

Awaiting action

Assigned to me

For information 1

Completed

Show all

Outbox

Pending reply

Show all

Showing 1 of 1 items

Type to filter | Choose an entity

Title	Received	Status
NEW Longbridge Bank International Limited Belgium Branch [LongbeXXXXX] partially granted you access to data: Longbridge Bank International Limited Belgium Branch [LongbeXXXXX] <i>Note by LONG_GROUP - 22 Sep 2017 Thanks for your request to access our Attestation. I have granted access based on our relationship</i>	22 Sep 2017 18:30	Informative Dismiss

Terms of use | Documentation | Support

Viewer will be able to see response from counterparty

Select to access detail



Viewer:

Viewer can see counterparty response and access Attestation detail



Viewer



My counterparties

Type text to search for

Country of the entity

- ☒ All
- ☐ Belgium (1)

Type of entity

- ☒ All
- ☐ Foreign Branch (1)

Reset

Counterparty list Counterparty updates

Showing 1 entity that have granted you access to their data:

LONGBRIDGE BANK INTERNATIONAL LIMITED BELGIUM BRANCH

LONGBEBXXXX - BRUSSELS - Belgium - Foreign Branch

[Security Controls](#)

Terms of use | Documentation | Support

You can also see this in "My Counterparties" list

Select to access detail



Viewer:

Viewer can see Attestation detail



Viewer

Find data My entities My counterparties Inbox My preferences

Longbridge Bank International Limited Belgium Branch Foreign Branch

BIC: LONGBEBXXXX | Location: BRUSSELS, Belgium

Security Controls

Actions

Published

Version history

Entity names and addresses

Anglicised legal name	Longbridge Bank International Limited Belgium Branch
Trading name	Longbridge Bank International Limited Belgium Branch
Registered address	Main Street 1 London WC2R 1HB United Kingdom (GB)
Operating address	Main Street 1 Brussels 1040 Belgium (BE)

Head office anglicised legal name	Longbridge Bank International Limited
Head office BIC	GAFWGB2LXXX
Head office registered country	United Kingdom

[Browse BIC hierarchy](#)

Contact details

Contact department for self-attestation	Department name	Contact
	E-mail address	contact@mail.com
	Phone number (incl. plus sign (+) with the international prefix)	

Assurance type

Assessment type	Self-assessment, External audit
Name of the external audit company	PwC

SWIFT infrastructure

View Overview data

Including Contact
and Type of
Attestation



Viewer:

Viewer can see Attestation detail



Viewer

SWIFT infrastructure	
Architecture type ⓘ	A1 - Full stack
1 - Restrict Internet Access & Segregate Critical Systems from General IT Environment	
1.1 SWIFT Environment Protection ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
1.2 Operating System Privileged Account Control ⓘ	I comply using an alternative implementation while meeting the same control objective
Optional clarification	alternative
2 - Reduce Attack Surface and Vulnerabilities	
2.1 Internal Data Flow Security ⓘ	I will comply by a given date
Target date to comply	02 Dec 2017
Optional clarification	will install new version of xyz
2.2 Security Updates ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
2.3 System Hardening ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
3 - Physically Secure the Environment	
3.1 Physical Security ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
4 - Prevent Compromise of Credentials	
4.1 Password Policy ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
4.2 Multi-factor Authentication ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
5 - Manage Identities and Segregate Privileges	
5.1 Logical Access Control ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
5.2 Token Management ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
6 - Detect Anomalous Activity to Systems or Transaction Records	
6.1 Malware Protection ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
6.2 Software Integrity ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
6.3 Database Integrity ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework
6.4 Logging and Monitoring ⓘ	I comply as per implementation guidelines in the SWIFT Customer Security Controls Framework

View details



Additional tools

- **Notifications**
- **Updates**

KYC-SA Application - **Follow entity**

Be notified when an entity publishes data for the first time (in the KYC-SA)
For **Requesters/Viewers**

TULIP BANK OF SCOTLAND PLC Head Office / Subsidiary
BIC: TULIGB2LXXX | Location: LONDON, United Kingdom

You don't have access to this entity

Send message

Notify me when data is provided

Entity names and addresses

Anglicised legal name

TULIP BANK OF SCOTLAND PLC

Trading name

TULIP BANK OF SCOTLAND PLC

Registered address

MAIN STREET 1
LONDON EC2M 4XB
United Kingdom (GB)

Operating address

POB 39971 MAIN STREET 1
LONDON EC2M 4XB
United Kingdom (GB)

 Browse BIC hierarchy

Security Attestation Data

 Security Controls



KYC-SA Application - Counterparty updates

Be notified for counterparty updates (as a newsfeed in the KYC-SA)
For Requesters/Viewers

When a counterparty updates a category

When an entity you follow publishes its first category

When one of your counterparty will leave / has left the service

The screenshot shows the 'KYC REGISTRY' interface with the 'My counterparties' tab selected. The left sidebar contains filters for 'Country' (All, Netherlands (21), Turkey (6), Belgium (4), Portugal (2), Australia (1), Bulgaria (1), Hungary (1), Russian Federation (1)) and 'Type of entity' (All, Head office (1), Branch (6), Subsidiary (36)). The main content area displays 'Counterparty updates' with a list of updates. Three updates are highlighted with dashed yellow boxes:

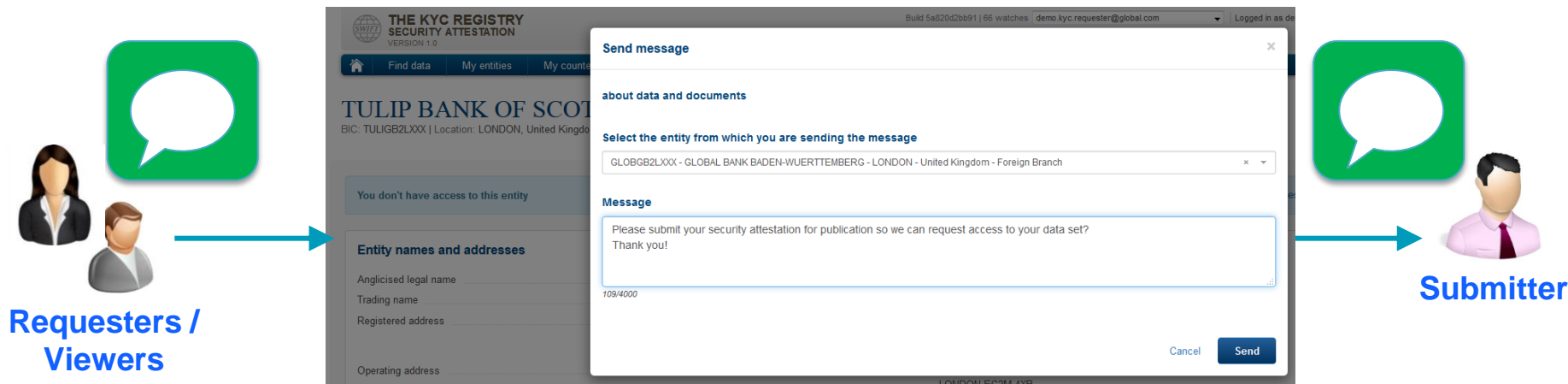
- Merrick Bank updated 'Identification of the customer'**
Amsterdam, Netherlands - Head Office - BIC: BANKNL2A - LEI: 3TK20VILUJ8J3ZU0QE75
CHANGED: Certificate of Incorporation
ADDED: Issue date
CHANGED: Date of Incorporation
ADDED: Registered address
CHANGED: Operational address
- Umbrella Bank added 'Ownership and management structure' and you can now request access**
Brussels, Belgium - Head Office - BIC: BANKBEBB - LEI: 3TK20VILUJ8J3ZU0QE75
- Merrick Bank has left the KYC Registry**
Amsterdam, Netherlands - Head Office - BIC: BANKNL2A - LEI: 3TK20VILUJ8J3ZU0QE75
The data and documents will be deleted in 90 days. Please download all the data and documents you require before 11/3/2015.

KYC-SA Application - **Send messages to entities**

In preparation of an access request

Send messages to counterparty entities (with or w/o published data)

From **Requesters/Viewers** to **Submitters** (at the counterparty)

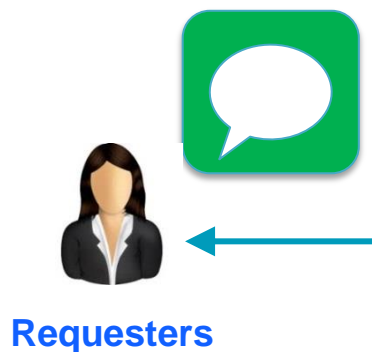


KYC-SA Application - **Send messages to entities**

Before granting or rejecting an access request

Send messages on access requests

From **Granters** to **Requesters** (at the counterparty)



GLOB_GROUP is requesting access to data and documents of LONGBRIDGE BANK N.A.

Filter list

GLOBAL BANK BADEN-WUERTEMBERG STUTT GART - Germany - Head Office / Subsidiary - BIC: GLOBDESTXXX - LEI: B81CK4ESG5472RHJ606	Access will be granted ▼ Reject access Send message
--	---

Access requested to:
LONGBRIDGE BANK N.A. [View and manage](#)
NEW YORK,NY - United States - Head Office / Subsidiary

Note by GLOB_GROUP:
This is a test note for the Longbridge bank Gr

Note (optional):
Type a note for GLOB_GROUP

Send message

for the requester

Select the entity from which you are sending the message

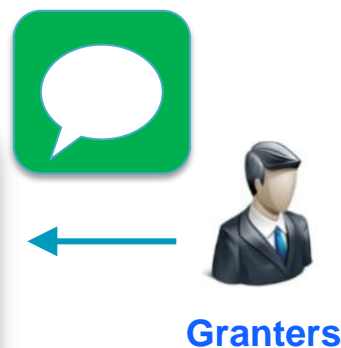
GLOBDESTXXX - GLOBAL BANK BADEN-WUERTEMBERG - STUTT GART - Germany - Head Office / Subsidiary

Message

I would like to gather some more information regarding the access requests you sent me for entities X, Y, Z

107/4000

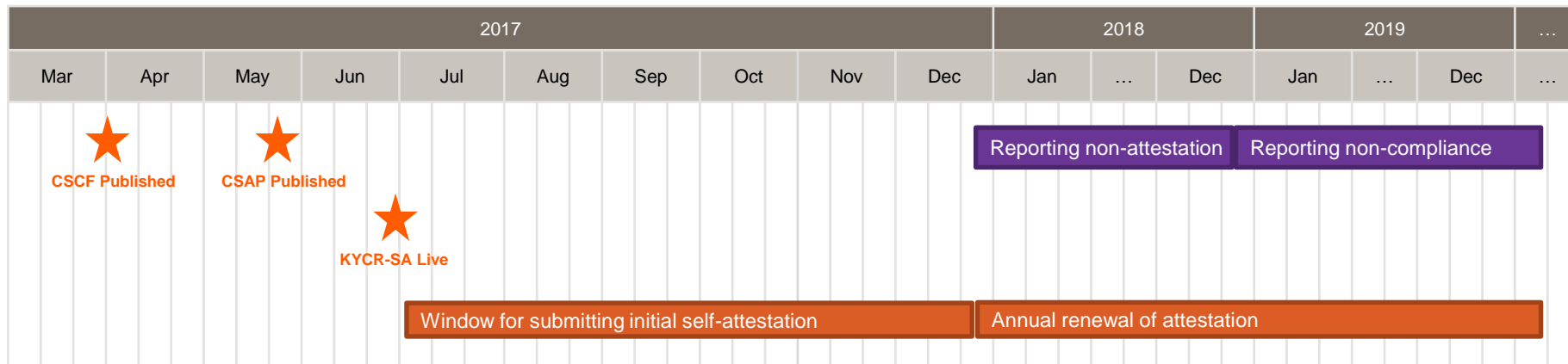
Cancel Send



CSP...

reinforcing the security of the global banking system

Customer Security Attestation Process - Timeline



- 31 March, 2017: Publication of Security Control framework (CSCF)
- 19 May, 2017: Publication of Customer Security Attestation Policy (CSAP)
- July 2017: KYC Registry – Security Attestation Application (KYC-SA) will become available
- **All customers must self-attest before the end of 2017 and will be required to renew their attestation every 12 months**
- As of Jan, 2018: SWIFT reserves the right to report on non-attestation
- As of Jan, 2019: SWIFT reserves the right to report on non-attestation & non-compliance

Where can I go if I need help?



CSP pages

Visit the [CSP pages](#) for programme news and updates

MySWIFT

A self-service portal containing “how-to” videos, guidance on frequently asked questions and Knowledge Base tips.

SWIFT ISAC Portal

Consult the portal for information related to security threats

User Handbook

- SWIFT Customer Security Controls Policy
- SWIFT Customer Security Controls Framework
- KYC-SA Registry Baseline
- KYC-SA Registry User Guide

Knowledge Base

KYC-SA Quick-Start User Guide: [Tip 5021858](#)

How-to video's:

- [Tip 5021825](#): KYC-SA Role Families
- [Tip 5021826](#): KYC-SA Administration
- [Tip 5021827](#): KYC-SA Data Contribution
- [Tip 5021828](#): KYC-SA Data Consumption



Need more help?



SWIFTSmart

The [SWIFTSmart](#) e-learning training platform includes a portfolio of modules, including in-depth modules on each of the mandatory security controls

SWIFT Customer Support

SWIFT Customer Support teams are on hand 24/7 to answer specific queries if you don't find the information resources you are looking for.

Third-party support

Directory of Cyber Security Service Providers

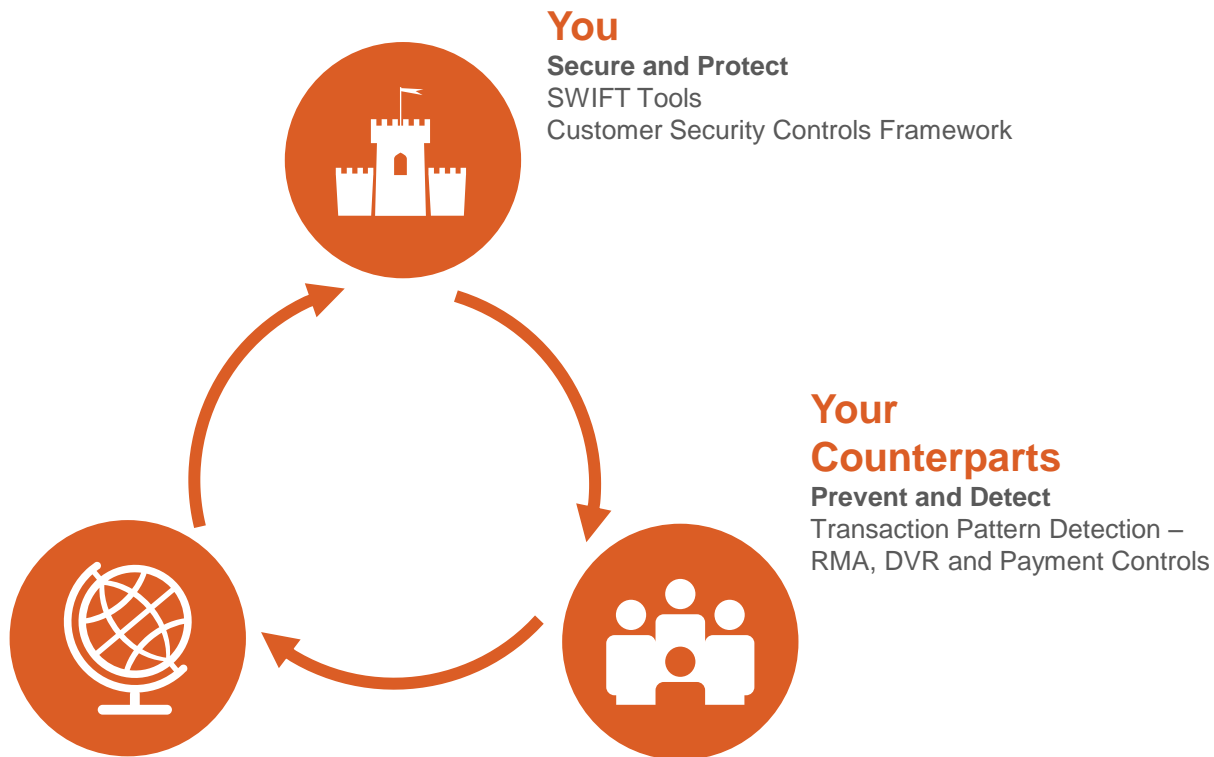
If you need practical, on-the-ground implementation support, you can consult the Directory of Cyber Security Service Providers on SWIFT.com to help find a third-party project partner that may be suitable for your needs.



Customer Security Programme (CSP)

SWIFT launched the Customer Security Programme to help customers **reinforce the security of the global banking system.**

Your Community
Share and Prepare
Intelligence Sharing
SWIFT ISAC Portal





Questions

