compliance catalyst

Customised analysis for risk assessment and documentation

A Catalyst from Bureau van Dijk
Faster results – improved efficiency

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BUREAU VAN DIJK

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What is compliance catalyst?

Compliance Catalyst is a risk assessment tool that streamlines 'Know Your Customer' (KYC) and Anti-Money Laundering (AML) research.

We created Compliance Catalyst to help our customers use the 'compliance critical' information in our products more efficiently. It pulls relevant data from our existing Orbis/Mint Global databases into a tailor-made platform. We've also linked our company reports with information on politically exposed persons (PEPs), sanctions and other adverse data.

Compliance Catalyst automates steps in your on-boarding process, analysing various types of potential risk. You can tailor these analyses according to your in-house definitions, risk appetite and methodology. Using Compliance Catalyst you can rate risk concerning countries, sectors, state owned companies, PEPs, sanctions and other adverse data. It gives you access to full company, and director, reports plus original documents and filings. You can also add attachments to support your analysis.

The final output is a secure PDF report that includes your annotations, attachments, processes undertaken and decisions – complete with an audit trail of your research.

You can upload multiple companies for Compliance Catalyst to process. These files can be new customers to on-board, or existing clients you need to review and monitor.

Compliance Catalyst harnesses the power of valuable datasets in a purpose built platform. It can be completely aligned with your existing compliance processes. It helps you work more efficiently and accurately - and saves you huge amounts of time.

What's different about compliance catalyst?

Compliance Catalyst is the only place where you'll find PEP and sanction intelligence integrated with comprehensive corporate ownership structures. Companies' managers and directors are also screened against these PEP and sanction lists.

Compliance Catalyst saves you time, and not just because of its content and functionality. It allows you to review a corporate group as a whole – you don't need to research each part of the group separately. Compliance Catalyst creates a group-wide analysis so you can include all subsidiaries and shareholders when researching a company.

compliance catalyst

Customised analysis for risk assessment and documentation

A process and data driven dynamic compliance tool

INPUT

| Company financials | Company descriptions | Financial strength data | Beneficial owners | PEPs and Sanctions |

| Directors & managers | Adverse data | Original documents | Adverse news |

| Exchanges | Share-holdings & subsidiaries | Regulators |

Valuable compliance critical datasets

compliance catalyst

- Streamlines your on-boarding process
- Analyses and ranks risk
- Screens across corporate groups
- Automates processes
- Provides an audit trail
- Saves you time and improves your efficiency

You can:

- Add attachments
- Capture screen grabs
- Prioritise your research resource
- Annotate
- Create customised models and processes
- Manage your workflow

A purpose built platform

Your bespoke Compliance Report

Professional, secure hard copy and electronic reporting

OUTPUT

What information is integrated in compliance catalyst?

orbis   **MintGlobal**

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We work with around 100 information providers to create these comprehensive databases of global business intelligence. They have information on both public and private companies and are regarded as 'reputable sources' for compliance researchers. They're ideal for company verification, telling you what a company does and where it's based. They also include financial data, information on directors, links to original filings and extensive corporate structures. This renowned corporate ownership data shows both direct and indirect ownership. The domestic and global ultimate owners are clearly indicated. This is a unique data set, and it's ideal for effectively researching beneficial ownership.

Exchanges

Information on all exchanges across the globe is stored within Compliance Catalyst. In setting up Compliance Catalyst you, or your account administrator, can choose which exchanges your firm recognises and treats as equivalent.

Regulators

A comprehensive list of regulators across the globe is stored in Compliance Catalyst with links to their websites to speed up your research.

News

We have created a customisable algorithm that's applied to the news feeds we receive from leading providers. This looks for adverse news stories associated with your subject company.

Search accelerator – launch a web search

Click to launch a pre-formatted web search for individuals or companies mentioned in Compliance Catalyst. This can be in Google, or your choice of search engine, and can be set to include your chosen key words. It's a useful tool that speeds up your research.

The integration of WorldCompliance data into Compliance Catalyst means that you can use it to effectively research sanctions and PEPs.

WorldCompliance is a leading provider of Know Your Customer and Due Diligence solutions. With over two thousand clients in over 150 countries WorldCompliance is ideally placed to meet the unique compliance needs of customers worldwide.

The Global PEP List

WorldCompliance started building the Global PEP List more than 10 years ago. Updated and enhanced daily by dedicated analysts around the world, it has become the world's largest relational database of PEPs including family members and close business associates. The Global PEP List is relied on by clients in over 150 countries to research high risk individuals and to comply with today's strict AML legislation.

Integrating the Global PEP List into Compliance Catalyst means you can perform a comprehensive Ultimate Beneficial Ownership verification and identify risk associated with your subject company. The reports on individuals include detailed information, including portrait photographs and multiple address information.

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compliance catalyst – the steps

You, or your administrator, can create your own bespoke model(s) to match your firm's risk appetite and existing protocol. You can create multiple models to apply as you wish.

When you do a new company search Compliance Catalyst immediately applies your chosen model to your company, showing you the risk associated with the various research steps. This helps you prioritise areas for your attention.

You can accept, override or edit any of Compliance Catalyst's proposed risk ratings, and make annotations as you go. You can tailor your analysis depending on the type, and relationship with, your subject company. All the information is included in a final, date stamped report. This report is suitable to use for KYC, customer due diligence and client on-boarding processes.

You can include all, or selected, steps from Compliance Catalyst detailed below, or even add in your own customised steps:

Client type

Stock Exchange listings

Shows if your subject company, and/or its Global Ultimate Owner, are listed on any Stock Exchanges that you recognise and deem equivalent. Links are provided to their listings for you to verify. You can use this information to determine risk levels or the level of due diligence required per company. ISIN number (plus other relevant ID numbers) and IPO date are also provided if relevant. Compliance Catalyst automates capturing screen grabs from the exchanges' websites to include in your reports as proof of a company's listing.

Regulatory status

Links to regulators' websites are provided to speed up your research in identifying if a company is regulated and subsequently to assess risk and the level of due diligence required.

Beneficial owners

Integrating our own corporate ownership information, Compliance Catalyst indicates any known beneficial owner. You can set your own definitions of beneficial ownership – it can be as low as 10%. You can easily edit your definition so you can adapt it to the context of your subject company.

Compliance Catalyst creates a diagram showing the path from your subject company to its beneficial owner, or the company at the top of its ownership 'tree'. A tabular presentation is also given.

Compliance Catalyst also screens shareholders against PEP or other sanction and risk related data for you to accept or reject.

Directors

Compliance Catalyst screens known directors, and senior managers, against WorldCompliance's PEP and risk related data. Possible matches are highlighted – you then have the opportunity to accept or reject these matches. Photographs and additional information are included to assist, plus helpful shortcuts like our pre-formatted web search feature. This step also includes directors' reports from Orbis which contain directors' dates of birth, biographical data and other directorships.

Corporate Group Risk

This step ranks companies, and shareholders, in the same corporate group as your subject company, according to their exposure to risk – as defined in your risk model. The various risk factors include:

- **Sector** – what do the various parts of the group do, are they exposed to high risk industries?

- **Country** – where are organisations in the corporate group based?

- Are any parts of the group **state owned**?

- **Negative data** – including sanctions, across the corporate group

These are then ranked by risk, highest to lowest, so you can prioritise your research. The relationships between your subject company, and each subsidiary and shareholder, is clearly indicated.

FATCA

Of particular relevance to financial institutions, this step indicates if a company is incorporated in the United States (US), if it has a US shareholder, 'corporate sibling' or one of its directors or managers has an official directorship in a US company, to help you identify indicia for further FATCA remediation.

Managing your research

Using Compliance Catalyst you can manage your, or your team's, research portfolio. It's ideal to get an overview on your research and a history of work completed. You can see the research in the workflow and share analyses across the team.

Compliance Catalyst gives you a summary, and outcome, of each step of your analysis and a précis report on your subject company.
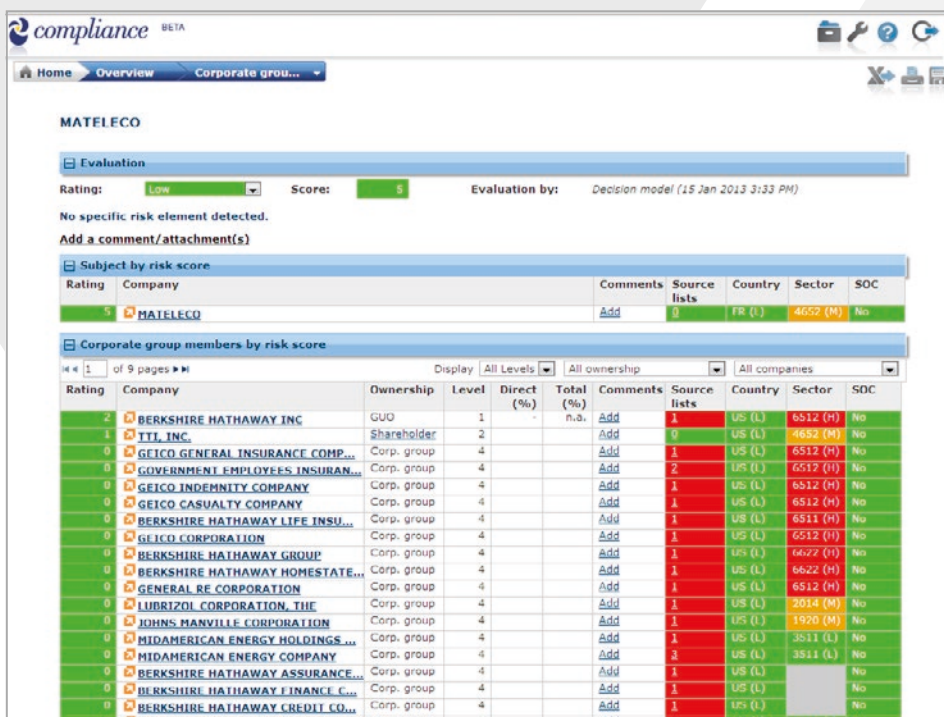
compliance catalyst – simple to use

Simple name searching, comprehensive coverage
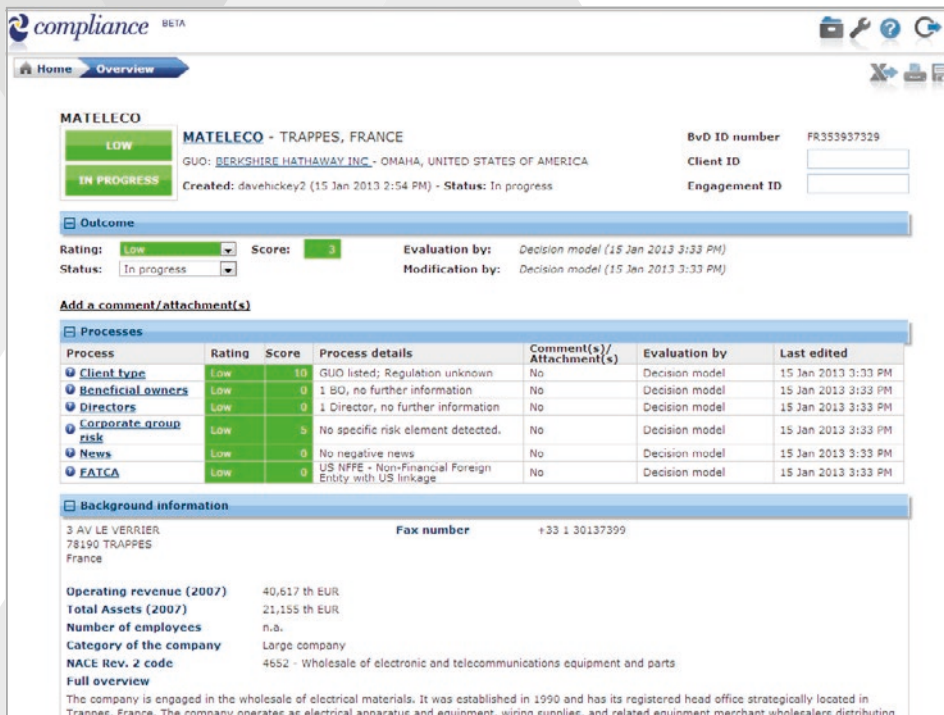
Compliance Catalyst gives you an immediate overview on your company – ready for you to research

Assess risk across the corporate group – ranked by your modelled risk factors so you can prioritise your research

Working with the information

Choose your environment – tailor Compliance Catalyst to suit you

Compliance Catalyst is not just a comprehensive data tool – it can easily be integrated with your workflow and tailored to your environment. You can choose how you incorporate it in your firm.

- Use all the steps or be selective.

- Use our processes or create your own.

- Use data from Orbis and WorldCompliance or bring in your own content.

You can also choose whether to use the Compliance Catalyst interface, or to use your own in-house front-end. We can advise you on how you can use Web Services to create the ideal solution for your firm, including building custom processes and integrating your own, or other, external content.

Monitor

Once you've on-boarded a company, you'll need to monitor it. Our alerts will notify you to a wide range of changes, and new intelligence that could affect their client status. Tailor them to suit your risk appetite and scheduling preferences.

Access data via Orbis or Mint Global

As well as using our compliance platform via Compliance Catalyst, you can also access the Orbis and Mint Global databases for general company research and screening.

Check for conflicts of interest

Our Pathfinder tool helps you identify if two companies are linked. You can also screen a potential customer against your entire client, or conflict checking file, to identify any links, or potential conflicts.

Compliance Catalyst – the ultimate compliance tool

- ✔ Recognised data sources and expertise
- ✔ Extensive corporate ownership structures
- ✔ Wide-ranging PEP, Sanction and adverse data
- ✔ Time-saving tools
- ✔ Simple to implement and integrate with your workflow
- ✔ Comprehensive, global company coverage
- ✔ Tailored risk environment for your firm
- ✔ Easy to include supporting attachments
- ✔ Secure output with full annotation and audit trail
- ✔ Custom alerts and monitoring
- ✔ Multiple models, and processes, for a range of analyses

Belgium
Avenue Louise 250
1050 Brussels
tel: 32 2 639 06 06
brussels@bvdinfo.com

Netherlands
Amsteldijk 166
1079 LH Amsterdam
tel: 31 (0) 20 5400 100
amsterdam@bvdinfo.com

Slovak Republic
Kutlikova 17
852 50 Bratislava
tel: 421 2 682 86 760
bratislava@bvdinfo.com

United States
The Trump Building
40 Wall Street, 27th Floor
New York, NY 10005
tel: 1 (212) 797 3550
newyork@bvdinfo.com

100 Bush Street, 1600
San Francisco, CA 94104
tel: 1 (415) 773 1107
sanfrancisco@bvdinfo.com

120 North LaSalle, 1700
Chicago IL 60602
tel: 1 (312) 235-2515
chicago@bvdinfo.com

Argentina
Calle Maipú 1210, Piso 8
C1006ACT – Buenos Aires
tel: 54 11 4872 8146
buenosaires@bvdinfo.com

Mexico
Guillermo Gonzalez Camarena
No. 1450, Piso 7
Col. Centro Ciudad Santa Fe
Del. Alvaro Obregon, Mexico
D.F. 01210
tel: 5255 1105 0082
mexico@bvdinfo.com

United Kingdom
10 Northburgh Street
London EC1V 0PP
tel: 44 (0)20 7549 5000
london@bvdinfo.com

24 Great King Street
Edinburgh EH3 6QN
tel: 44 (0)131 200 7110
edinburgh@bvdinfo.com

Brook House
64-72 Spring Gardens
Manchester
M2 2BQ
tel: 44 (0)161 234 6880
manchester@bvdinfo.com

Italy
Via Zenale 15
20123 Milan
tel: 39 02 43 98 22 77
milan@bvdinfo.com

Via Nizza 128
00198 Rome
tel: 39 06 840 4611
rome@bvdinfo.com

Russian Federation
Testovskaya 10
Northern Tower 305
123317, Moscow
tel: 7 495 708 4193
moscow@bvdinfo.com

United Arab Emirates
PO Box 487995
2703 Jumeirah Lake Towers
JBC2 Tower, 2703
Dubai
tel: 971 44391703
dubai@bvdinfo.com

South Africa
Nelson Mandela Square
West Tower, Maude Street
Sandton, 2196 Johannesburg
tel: 27 (0) 11 881 5993
johannesburg@bvdinfo.com

France
7 Rue Drouot
75009 Paris
tel: 33 1 53 45 46 00
paris@bvdinfo.com

Spain
C/ Marqués de la Ensenada
2. 5ª Planta
28004 Madrid
tel: 34 91 310 38 04
madrid@bvdinfo.com

Portugal
Av. Joao Crisóstomo 30-5
1050-127 Lisbon
tel: 351 211 528 700
lisbon@bvdinfo.com

Austria
Clemens-Holzmeister-Strasse 4
1100 Vienna
tel: 43 (1) 606 11 96 0
vienna@bvdinfo.com

Japan
3F Kozuki Capital East Building
1-2-7 Kita-Aoyama
Minato-ku, Tokyo 107-0061
tel: 813 5775 3900
tokyo@bvdinfo.com

China
12-07 Tower C1 Oriental Plaza
1 East Chang An Avenue
Dong Cheng District
Beijing 100738
tel: 86 10 8515 2255
beijing@bvdinfo.com

ASA Building, 11-06
188, Jiangning Road
Jing An District
Shanghai 200041
tel: 86 21 3252 0610
shanghai@bvdinfo.com

Germany
Hanauer Landstrasse 175-179
60314 Frankfurt
tel: 49 (69) 963 665 0
frankfurt@bvdinfo.com

Switzerland
Bellerivestrasse 3
8008 Zurich
tel: 41 44 269 69 90
zurich@bvdinfo.com

Rue Du-Roveray 12
1207 Geneva
tel: 41 22 735 48 79
geneva@bvdinfo.com

Denmark
Ny Øestergade 7
1101 Copenhagen K
tel: 45 33 4545 20
copenhagen@bvdinfo.com

Sweden
Brunnsgränd 7
111 30 Stockholm
tel: 46 8 51 51 04 80
stockholm@bvdinfo.com

Singapore
1 Fusionopolis Walk
#11-04 Solaris South Tower
Singapore 138628
tel: 65 6496 9000
singapore@bvdinfo.com

Australia
66 Hunter Street, 907
Sydney, NSW 2000
tel: 61 (2) 922 330 88
sydney@bvdinfo.com

South Korea
605 Tower A
Yeouido Marriott Park Center-Seoul
28-3, Yeouido-Dong
Yeoungdeungpo-Gu
Seoul 150-881
tel: 82 2 3789 6727
seoul@bvdinfo.com