



We are now Refinitiv, formerly the Financial and Risk business of Thomson Reuters. We've set a bold course for the future – both ours and yours – and are introducing our new brand to the world.

As our brand migration will be gradual, you will see traces of our past through documentation, videos, and digital platforms.

Thank you for joining us on our brand journey.



REFINITIVTM

The Refinitiv logo, which is a blue L-shaped graphic consisting of two perpendicular lines of equal length, positioned to the right of the word "REFINITIV".



Screening Deployed

FOR KNOW YOUR CUSTOMER & ANTI-MONEY LAUNDERING



THOMSON REUTERS



Internally installed screening solution

Screening Deployed is a robust and effective screening solution that offers comprehensive security and convenience. A powerful combination of World-Check risk intelligence and optimized, user-friendly software, Screening Deployed fits seamlessly with internal systems to provide a comprehensive customer and enhanced due diligence screening solution.

- Internally installed database screening application – data stays on-site
- Automated screening of small (100s) to very large (2+ mil) size databases
- Case management workflow that is customizable for increased control of the screening process
- Enables fast and effective remediation for reviewing screening matches in a multi-user environment
- Powered by World-Check risk intelligence to uncover regulatory, reputational and financial risk in local and overseas locations
- Facilitates compliance with KYC legislation for AML, CFT and PEPs
- Powerful linguistic name matching engine



The answer for those who require the highest levels of client data security

WHAT DOES IT DO?

Screening Deployed screens customer, vendor, partner and supplier data against World-Check risk intelligence to detect risk attached to sanctions, watch or enforcement lists, or presence in high risk media gathered from hundreds of thousands of verifiable, public domain sources, not found on official lists. Powerful volume handling, case management and reporting options make for an efficient, robust internal system that assists regulatory compliance.

WHY IS IT USED?

Financial services and corporate organizations globally are regulated under KYC legislation for AML, CFT, and

the monitoring of PEPs. Screening Deployed helps to avoid fines and penalties for compliance breaches by warning against unwitting association with unwanted entities, safeguarding an organization's reputation. Screening Deployed is powered by Thomson Reuters World-Check, the data that pioneered the KYC risk intelligence industry.

WHO USES IT?

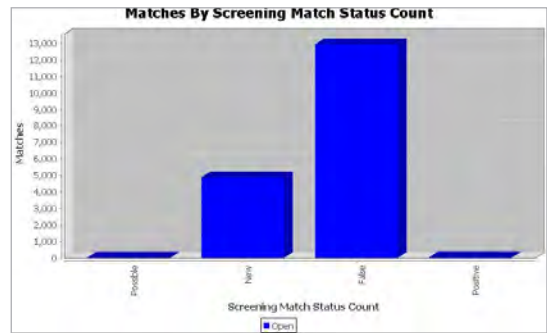
Organizations who do not want to use SaaS screening solutions; require the highest levels of data security and as a result have policies that prevent customer data from leaving the premises; or who by law cannot have customer data leave their jurisdiction.

SINGLE NAME CHECK AND SEARCH RESULTS VIEW – matches can be viewed in greater detail.

Name	Address	Postcode	Date of Birth	Gender	Nationality	Residency	Risk Score	Entity Type
John Doe	123 Main St	10001	1980-01-01	Male	USA	NYC	5	Individual
Jane Smith	456 Elm St	10002	1985-03-15	Female	USA	NYC	3	Individual
ABC Corp	789 Park Ave	10003			USA	NYC	4	Organisation

MATCH VIEW IN CASE MANAGER - allows for quick resolution through positive, possible or false control buttons.

VIZUALIZATION - amount of matches by type: positive, possible or false.



Key benefits

INTERNAL HOSTING

Screening Deployed allows you to keep confidential data behind your own secure IT infrastructure. For clients who require the utmost privacy, or are required by law to keep data in-country, Screening Deployed ensures that screening is conducted internally for peace of mind.

THE INSTALLATION IS SIMPLE AND QUICK, REQUIRES NO EXTENSIVE TRAINING AND IS INCLUDED IN THE LICENSE FEE

Screening Deployed has minimal impact on internal operations and IT infrastructure and does not need dedicated technical resources to manage it on a day-to-day basis.

ACCURATE SCREENING RESULTS

Adaptive rule-based filtering, a powerful linguistic name-matching engine and secondary identifiers in World-Check data means more accurate screening results and less time spent remediating false positive matches.

CAPABLE OF HANDLING LARGE VOLUMES OF DATA.

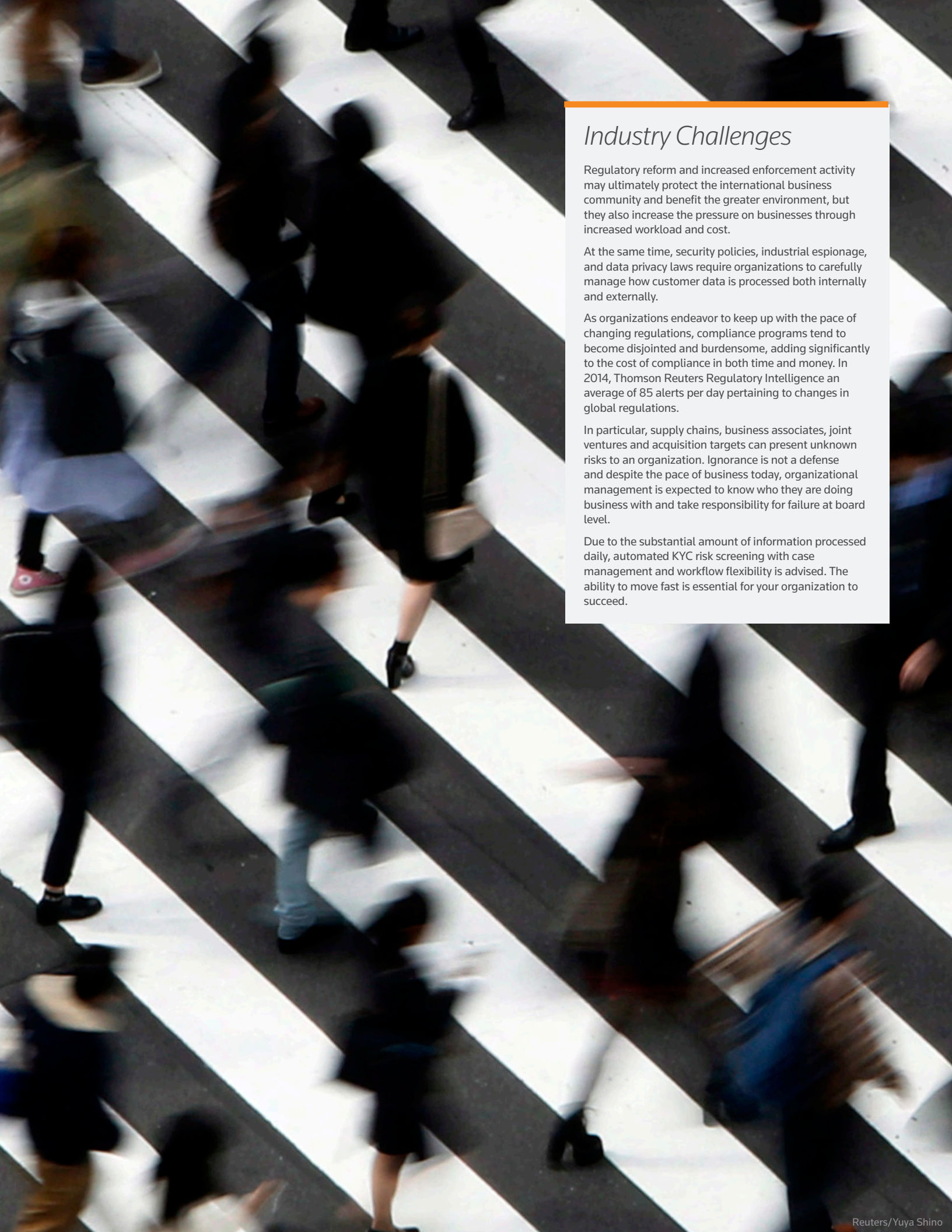
Screening Deployed can screen small (100s) to very large databases (2 mil+).

SIMPLIFIED REMEDIATION.

Any risk uncovered is investigated at the appropriate level, providing for quick and easy remediation. For management reporting, the system enables effective summaries of the overall screening process and results. The use of simple, intuitive layouts and interfaces enhance usability.

POWERED BY WORLD-CHECK DATA.

Human networks hide many risks. World-Check exposes them. Used by over 6000 financial services and corporates including 49 of the world's top 50 banks. Read more at risk.thomsonreuters.com/products/world-check.



Industry Challenges

Regulatory reform and increased enforcement activity may ultimately protect the international business community and benefit the greater environment, but they also increase the pressure on businesses through increased workload and cost.

At the same time, security policies, industrial espionage, and data privacy laws require organizations to carefully manage how customer data is processed both internally and externally.

As organizations endeavor to keep up with the pace of changing regulations, compliance programs tend to become disjointed and burdensome, adding significantly to the cost of compliance in both time and money. In 2014, Thomson Reuters Regulatory Intelligence an average of 85 alerts per day pertaining to changes in global regulations.

In particular, supply chains, business associates, joint ventures and acquisition targets can present unknown risks to an organization. Ignorance is not a defense and despite the pace of business today, organizational management is expected to know who they are doing business with and take responsibility for failure at board level.

Due to the substantial amount of information processed daily, automated KYC risk screening with case management and workflow flexibility is advised. The ability to move fast is essential for your organization to succeed.

Key features

ADVANCED WORKFLOW

Multi-user workflow means specific individuals or teams, and escalation paths can be utilized to share the task of reviewing screening matches. Any risk uncovered is investigated at the appropriate level, providing for quick and easy remediation. For management reporting, the system enables effective summaries of the overall screening process and results and simplifies preparation of reports on suspicious transactions for disclosure in Suspicious Activity/Transaction Reports (SAR/STRs).

INCREASED CONTROL WITH CASE MANAGER

The easy to use case management software helps to track any alerted behavior. Any information relating to a case is easily captured through storage of document scans, faxes, correspondence and emails. Case workflow activity ensures cases are taken through to completion. Advanced workflow and case management for hyphenated teams provide individuals with an escalation path and the ability to share the task of reviewing screening matches. Cases that cannot be closed for a particular reason can be tagged for further scrutiny, which facilitates collaboration amongst teams and supervisors.

AUTOMATED ONGOING SCREENING BASED ON YOUR REQUIREMENTS

Users can enter a name or batch of names to be screened which can be saved for ongoing monitoring. Names can be screened automatically every 24 hours, with full case management and immediate notification options, including email and text messages. Users are able to configure the risk parameters and schedules of screening most suitable for their needs.

POWERFUL LINGUISTIC TECHNOLOGY

During AML/CFT screening, a sophisticated matching engine analyzes the structure of a name and performs a comparison using advanced linguistic algorithms. This helps to overcome common name matching issues, increasing accuracy of results and reducing false positives. The matching engine is particularly powerful in these difficult scenarios:

- Same name written in multiple languages
- Phonetic spelling differences
- Nicknames
- Inclusion of initials
- Missing name components
- Out-of-order name components
- Non-Latin character support in Arabic, Chinese (Simplified or Traditional), Japanese, Korean, Pashto, Persian (Farsi/Dari), Russian and Urdu

INTERNAL WATCH LIST (IWL) FUNCTIONALITY

Enables administration and management for IWL data which includes processing of entities. Also includes an ability to match score the IWL using an updated version of the Matching Engine.

SECONDARY IDENTIFIERS

These allow individuals to conduct a search based on secondary identifying fields in the World-Check data, such as date of birth and country of origin. This significantly minimizes or eliminates false positives, and simplifies the remediation process.

INCREASED GRANULARITY FOR PEPs

PEPs in World-Check are ranked according to predefined categories. These categories include, among others, level or type of government, individual, international organization or State Owned Enterprise (SOE), associate or family member. Screening Deployed enables clients to only screen against the type of PEP they are interested in.

SCREENING API

Incorporate your customer data with the screening API matching engine adapter. Automate your KYC risk screening to cover AML, CFT and PEP requirements. Using industry standard deployed web services, the API provides a simple-wired protocol connection to your internal screening solution – just map to the XML schema definition and go.

MARITIME VESSEL DATA

World-Check sanctioned or embargoed maritime vessel data ensures that the vessels you are dealing with are not on global sanctions, watch or enforcement lists and helps to uncover risk related to known heightened risk individuals, entities, associates or terror networks. Users can conduct a search against the World-Check database of sanctioned and embargoed vessels and ports, to understand any possible high risk ownership structure and associations. It also provides access to the IHS Fairplay database, the world's most authoritative list of vessels, containing information on every vessel in existence. The largest maritime database in the world, it evolved from the Lloyd's Register of Ships published since 1764 and contains ship characteristics, movements, ownership, ports and IMO numbers.

ROMAN AVILOVICH [300210]

File Edit Launch Case Help

Profile | Details | Cases | Contacts | Identification | Visualisation |

Active Cases

Case Number	Phase	Referred To	Modified
20130000591	Matched	Test User	14/05/2014 09:22:19.922
20130000592	Investigation	Test User	02/05/2014 15:03:57.183
20130000606	Investigation	RAVI	14/06/2013 10:16:28.547
20130000607	Follow Up	ANDREW BURLISON	20/11/2013 13:42:58.753
20130000743	Validation	ISHBEL BROWN	23/05/2013 10:10:05.170
20130000753	Validation	ISHBEL BROWN	22/05/2013 11:03:13.217
20130000834	Validation	ISHBEL BROWN	22/05/2013 11:03:15.063

Dormant Cases

No Dormant Cases

Closed Cases

Case Number	Phase	Reported	Decided by	Last Accessed By	Last Accessed
20130000593	CaseCase	No	-	Test User	22/04/2014 09:38:27.863
20130000605	CaseCase	No	-	ANDREW BURLISON	29/08/2013 19:33:53.680
20130000744	CaseCase	No	-	ISHBEL BROWN	22/05/2013 09:48:51.110
20130000745	CaseCase	No	-	ANDREW BURLISON	19/11/2013 15:42:30.790

CASE MANAGER

Perform a quick resolution of the match through positive, possible or false control buttons. Screening matched can be viewed in greater detail.

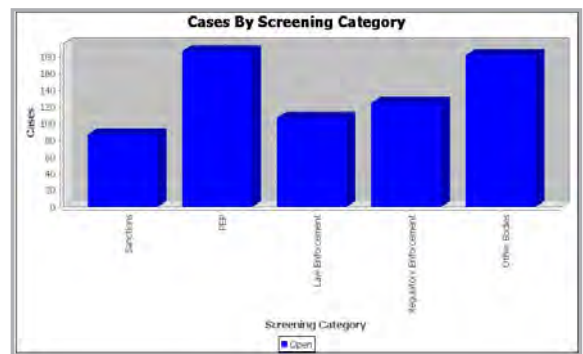
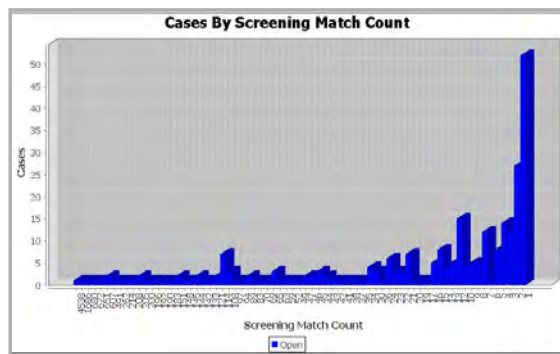
Case Manager

Quick View | Date | Advanced |

Customer Name	Date Created	Total Matches	Remaining Matches	Category 1	Category 2
Viktor Blout	09/07/2014 11:46:09.207	4	1	Sanctions	Law Enforcement
Steve Jones	08/07/2014 16:01:18.007	48	0	Law Enforcement	Regulatory Enforcement
Stephen Jones	08/07/2014 14:38:11.510	57	21	Law Enforcement	Regulatory Enforcement
Julia Eo	07/07/2014 14:43:46.930	1	1	PEP	Other Bodies
Bo ilali	07/07/2014 14:02:20.203	5	2	PEP	Other Bodies
Lee Hsien Loong	07/07/2014 13:53:20.790	7	5	PEP	Other Bodies
Lee Hsien Loong	07/07/2014 13:50:41.433	7	5	PEP	Other Bodies
Raf D Manira	07/07/2014 09:48:45.833	1	1	PEP	Other Bodies
Lee Hsien loong	07/07/2014 08:55:42.400	7	5	PEP	Other Bodies
Anwar Ibrahim	07/07/2014 08:54:27.790	1	1	PEP	Other Bodies
Bo ilali	07/07/2014 08:52:00.797	5	2	PEP	Other Bodies
Stephen Smith	04/07/2014 14:47:33.183	70	44	Law Enforcement	Regulatory Enforcement
Mary Jane Smith	23/06/2014 12:30:48.200	63	33	Law Enforcement	Regulatory Enforcement
Keith Wang	27/05/2014 10:23:53.823	396	0	Law Enforcement	Regulatory Enforcement
John Smith	21/05/2014 13:49:34.787	195	102	Law Enforcement	Regulatory Enforcement
John Smith	21/05/2014 13:48:48.840	195	102	Law Enforcement	Regulatory Enforcement
John Smith	21/05/2014 13:48:08.507	195	102	Law Enforcement	Regulatory Enforcement
Ty HOW	19/05/2014 16:04:45.707	34	18	PEP	Other Bodies
Mad Hadimovich PUTIN	18/05/2014 14:23:13.963	1	1	PEP	Other Bodies
John W Alderson	19/05/2014 14:21:38.507	21	18	Law Enforcement	Regulatory Enforcement
J Smith	19/05/2014 14:12:56.417	656	169	Law Enforcement	Regulatory Enforcement
Abdul Wabude	19/05/2014 14:01:11.610	1,688	96	Sanctions	Law Enforcement
Muhammad Shehbaz	19/05/2014 13:58:57.880	16	10	Law Enforcement	Regulatory Enforcement
Shahraz Muhammad	19/05/2014 13:50:08.040	12	7	Law Enforcement	Regulatory Enforcement
John Smith	19/05/2014 13:47:54.833	63	3	PEP	Other Bodies
Alan Williams	19/05/2014 13:40:30.410	48	11	Law Enforcement	PEP
Alan Williams	19/05/2014 13:40:22.410	9	8	Law Enforcement	PEP
Alan Williams	19/05/2014 13:38:04.647	114	63	Law Enforcement	Regulatory Enforcement
James Smith	14/05/2014 14:00:00.307	83	0	Law Enforcement	Regulatory Enforcement
John Smith	08/05/2014 17:12:56.410	114	63	Law Enforcement	Regulatory Enforcement
Alan Williams	08/05/2014 17:10:10.520	15	15	Sanctions	Other Bodies
Alan Williams	08/05/2014 17:08:12.880	15	15	Sanctions	Regulatory Enforcement
Alan Williams	08/05/2014 17:08:13.133	1	1	Sanctions	Other Bodies
Alan Williams	08/05/2014 17:07:49.497	16	16	Sanctions	Regulatory Enforcement
Viktor Blout	02/05/2014 12:05:23.877	1	1	Sanctions	Law Enforcement
Viktor Blout	02/05/2014 10:48:47.827	1	0	Sanctions	Law Enforcement
Alan Williams	22/04/2014 09:30:03.577	134	100	Law Enforcement	Regulatory Enforcement
Alan Williams	22/04/2014 08:39:39.317	114	100	Law Enforcement	Regulatory Enforcement
Alan Williams	08/04/2014 11:47:21.287	10	0	Law Enforcement	Regulatory Enforcement
Peter Taylor	08/04/2014 11:42:13.187	4	3	Law Enforcement	Regulatory Enforcement
Peter Taylor	08/04/2014 11:41:43.913	10	9	Law Enforcement	Regulatory Enforcement
203 HOLDINGS INC	07/04/2014 12:04:14.117	3	2	Regulatory Enforcement	Other Bodies
203 HOLDINGS INC	07/04/2014 12:03:18.100	37	37	Regulatory Enforcement	Other Bodies
CANADA 3000 INC	07/04/2014 12:00:31.233	97	97	Sanctions	Law Enforcement
31 ONTARIO CORPORATION	07/04/2014 12:06:09.860	65	65	Regulatory Enforcement	Other Bodies
Hasbin Sali Al-Din	02/04/2014 11:51:34.391	1	1	Other Bodies	Other Bodies
1136987 ORSTARSD LTD	31/03/2014 20:58:39.877	65	65	Regulatory Enforcement	Other Bodies
Fawaz Al Akhras	20/03/2014 06:09:42.867	3	1	PEP	Other Bodies

QUEUE MANAGER

Allows the user to view and manage matches. Used to search and manage the case workload for individual staff members or across work groups, and provides the supervisors with a quick workload status.



Visualization options – Cases by screening category like Sanctions or PEP or by match count.

RISK MANAGEMENT SOLUTIONS FROM THOMSON REUTERS

Risk Management Solutions bring together trusted regulatory, customer and pricing data, intuitive software and expert insight and services – an unrivaled combination in the industry that empowers professionals and enterprises to confidently anticipate and act on risks – and make smarter decisions that accelerate business performance.

**For more information, contact your representative or visit us online
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