| SURVEILLENS™ DUE DILIGENCE (DD)

Having a robust process for vetting third parties makes good business sense, promotes compliance and reduces risk.

Use of third parties such as agents, distributors, consultants, channel partners, counterparties and customers presents a host of legal, regulatory and reputational risks to an organization. The organization must ensure that third parties not only comply with applicable laws and regulations like anti-bribery and anti-corruption, know your customer (KYC) rules for money laundering and terrorist financing, but also with the organization's own internal policies and procedures. Conducting comprehensive due diligence enables an organization to monitor and manage third-party relationships.

The heightened risk associated with third parties requires the organization to develop a robust due diligence process so that the organization fully investigates the background of all third parties and understands the risks of doing business with such parties. A thorough process requires the use of a technology solution that performs in-depth investigations of third-party individuals and entities as well as their beneficial ownership interests and associates.

surveilLens™
PROACTIVE COMPLIANCE

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SURVEILLENS™ DUE DILIGENCE (DD)

Using surveilLens™ DD, organizations are able to develop a defensible methodology to identify high risk third parties and employ adequate resources to screen such parties. DD offers organizations different levels of diligence based on specific third-party risk profiles. Our solution incorporates gathering of publicly available information, on-site reviews, and reviewing of financial records. By searching government sanction lists, external databases and other public information, organizations are able to identify connections to sanctioned entities, prior incidents of fraud, litigation, adverse media and other negative information.

surveilLens™ DD allows analysts to tag third parties under aforementioned negative information categories. These tags feed into surveilLens™ Transaction Monitoring and Internal Controls Assessment to identify transactions with these potentially risky parties.

The final outcome of the due diligence process is the acceptance, rejection or termination of third-party relationships.
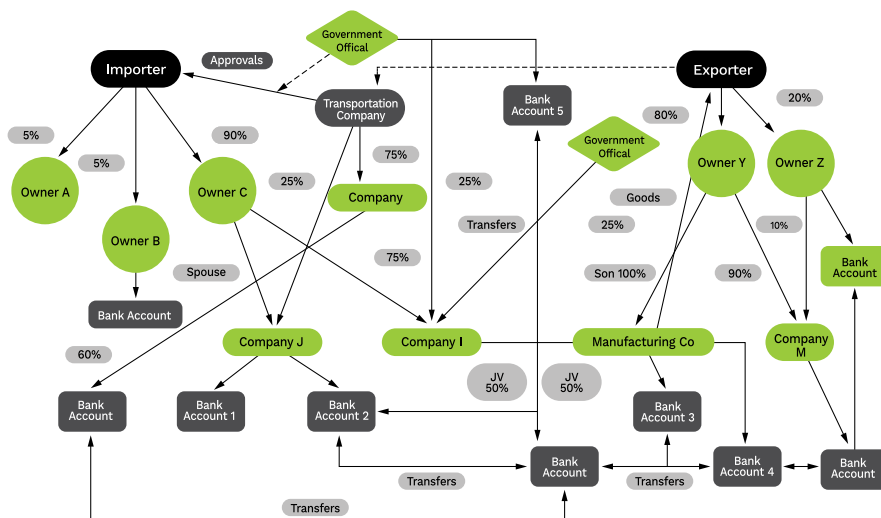
Onboarding Third-Party Portal

Third parties are able to log into a secured portal, complete the application process and upload supporting documentation. Third parties failing to fill out the application can automatically be rejected or terminated.

Integrated Results

The results of the third-party diligence are tagged and where required, incorporated into the organization's vendor and/or customer master database. Any future transactions with tagged third parties are then monitored and flagged by the solution for further review.

Social Networking Analysis

DD aggregates the results of all reviews conducted, identifies connections amongst common parties or entities and business connections within an organization and displays them in a link analysis format. This allows the organization to obtain a complete picture of its third-party relationships and prevents the use of intermediaries to induce payment for questionable activities.

SURVEILLENS™ | 30 Wall Street, 8th Floor | New York, NY 10005

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ABOUT SURVEILLENS™

surveilLens™ provides enterprise fraud monitoring, governance, compliance and risk solutions.

Our enterprise platform operates in real-time, analyzes large volumes of structured and unstructured data, and provides higher false positive accuracy. This results in cost efficiencies and achieves greater overall return on investment.

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surveilLens™ identifies, mitigates and remediates organizational risks while bringing convenience, effectiveness and efficiencies to an organization's compliance program.

Big Data analytic technology provides organizations with customizable and scalable compliance solutions. This transforms the traditional manual approach of governance risk and compliance to an automated one.

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surveilLens™ was founded by experts with over 100 years of combined global experience in anti-fraud, risk monitoring, legal, regulatory compliance, techno-logy, data science and auditing.

Our subject matter expertise combined with a top engineering team of software designers and Big Data theorists makes us a leader in domain-learned models across various industries.

Risk Based Due Diligence

The current global economy requires companies to continually expand their operations into foreign markets. Such expansion however does not come without a cost. Business with third parties in foreign jurisdictions, whether they be employees, customers, suppliers, vendors, consultants or agents, remains a huge area of legal regulatory and compliance risk for all companies. Governments, both domestic and foreign now mandate that organizations must the performance of due diligence on third parties as part of their compliance program.

Because of increasingly complex and vast third-party networks, varying requirements by jurisdiction and the high costs associated with third party management however, many companies particularly those with multi-national operations, are struggling to implement due diligence programs that can manage and minimize the risk from watchlist sanctioned individuals, politically exposed persons (PEPs) and other high risk third parties, and satisfy regulatory requirements.

T*he surveilLens*TM *Due Diligence Solution*

The surveilLens Due Diligence solution is a web-based monitoring and third-party solution that utilizes big data technologies to simplify an organization's due diligence mandate and understand the risks associated with third parties.

Our solution, which can be customized to match specific industry and organizational needs, employs a risk based approach to due diligence that enables efficient management of third party compliance and ensures prompt identification and proper communication of due diligence results to the functions and units that need them.

The surveilLens solution:
- Secures, assimilates and manages all forms of data, both structured and unstructured, on a substantial scale.
- Overcomes traditional challenges with organizational data that can create potential false positives thus allowing for more efficient diligence process.
- Assigns clear ownership and accountability of tasks associated in the due diligence process.
- Conducts searches of all relevant website for online and business personal references, watchlists, negative news media etc.
- Utilizes appropriate tools such as fuzzy matching logic to identify and flag names that approximate the names of sanctioned parties, PEPs, or other high risk third parties.
- Employs technology such as graph databases to identify entity ownerships, associations and common relationships not readily apparent from transaction review alone.

Regulations and Institutions Requiring Third Party Diligence as Part of the Overall Compliance Program

- General
  - Foreign Corrupt Practices Act
  - UK Bribery Act
  - US Federal Sentencing Guidelines

- Financial Services (Anti-Money Laundering)
  - USA PATRIOT Act
  - Department of Treasury's Office of Foreign Asset Control (OFAC)
  - Financial Actions Task Force (FATF)
  - US Department of Financial Crimes Enforcement Network (FinCEN)
  - Dodd Frank Act
  - Foreign Account Tax Compliance Act (FATCA)

- Healthcare
  - Health Insurance Portability and Accountability Act (HIPAA)

FEATURES

- Modular based solution allowing customers to customize the platform to fit their due diligence requirements.

- Processes 10,000,000 + transactions a day (easily scalable).

- 100% data coverage and analysis.

- Fully audited workflow and case management.

- Real time batch integration and updates.

- Integrates data from multiple systems.

- Out of the box alert scenarios.

- Meets highest data security standards – offered in cloud based and enterprise version.

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Key Features

Flexible Solution – Users can add, screen and update information on third parties in real time. Users can also add additional information sources to search from.

Scalable Platform – Ability to handle massive amounts of data in motion from various data sources.

Suspicious Activity Monitoring – Seamlessly integrates with existing customer relationship management (CRM) and enterprise resource planning (ERP) systems to flag transactions with third parties marked as high risk.

Risk Assessment – Categorizes due diligence results into low, medium and high-risk tiers to allow for prioritization of reviews. Incorporates the due diligence results and rankings as a key risk indicator into the entity and level risk assessment.

Automated Workflow Process - Establish workflows to manage the due diligence process from third party onboarding, initial and ongoing screening and appropriate communication of negative results to affected parties within the organization.

High-Quality Alerts – High-quality alerts allow for the notification of changes in third party information.

Documented Audit Trail - Provides complete auditing transparency and traceability throughout the due diligence process.

Graphical Displays – Visualize connections between people and business and probe entity ownerships. Filtering tools allow users to drill down to get key information on specific parties.

Integrated Case Management - Allows users to investigate and prepare cases in a shared repository and workflow tool for investigations that fosters greater collaboration and information sharing among those teams.

Intuitive and User-Friendly Dashboards – User friendly dashboard with visualizations, filtering and drill down capabilities. Ability to create custom reports.

Reporting – Established compliance metrics and reporting capabilities allow users to create reports on third parties for internal and external presentation.

Why surveilLens™?

Cost Efficient Solution - Standardized processes, user based workflows, and case management capabilities allow firms to establish standard processes and procedures and adhere to regulatory obligations for effective, automated, and cost-efficient compliance.

Flexible Technology Platform – Up to date data architectures, proven best practices and methodologies, built-in legacy system connectors, user-friendly system controls, powerful analytics, and policy management tools offer the best combination of out-of-the-box functionality and customization capabilities.

For MORE INFORMATION or to REQUEST A DEMO please visit us at: www.surveil-lens.com or contact us directly at: (212) 804-5734 or inquires@surveil-lens.com.

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