

Compliance Check

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Our Compliance Check assists you when initiating new business relationships or purchasing companies. You can use this service via the Credit Information website or as an automated web service.

It is based on the principle that all the data is strictly confidential and may only be requested by a legal entity for the purpose of checking its business partners, which can be natural or legal persons.

KYC/AML Compliance Services

Compliance Process Services

With our **Compliance Audit Report**, we support you in the **initiation of new business relationships and in corporate acquisitions**. You have the option to use this service via the Credit Information website, as well as an automated web service.

With our **Digital Onboarding Services** we ensure a **regulatory compliant Onboarding** of your business partners providing you with an audit-file and digital services to complete your clients digital journey with a **qualified electronic signature** (QES, AES, SES).

With our **Business Data Intelligence** delivered to you seamlessly integrated in the compliance process, we deliver you with additional relevant information for **Beneficial Ownership and Entity Due Diligence**.

This unique combination of services and data, in addition to your **internal Compliance Due Diligence Data and Reporting**, ensures a compliant onboarding and Enhance Due Diligence/Supply Chain of your local – international and global – business partnerships, covering all your industries and regulatory frameworks.

Data is strictly confidential and may only be requested by a legal person who checks your business partners.

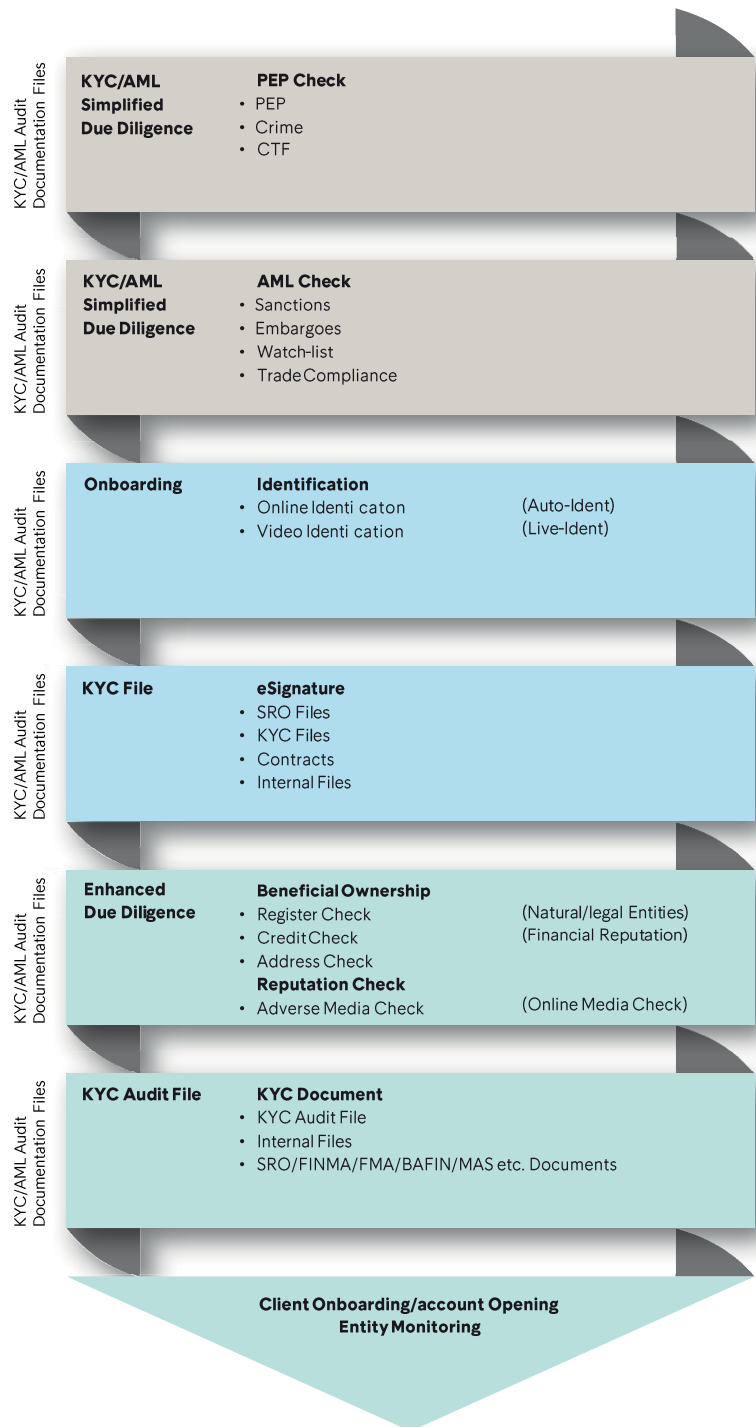
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KYC/AML Compliance Process

Compliance Process Services

KYC Data Input

When onboarding new customers or business partners, data collection can take place at various touchpoints. In a truly digital onboarding process, information on the entity such as identification document, name, country of birth and citizenship or registry files are collected digitally.

Simplified KYC/AML and KYC Verification

Check your partner for possible Risk Flags such as PEP, Crime or running Sanctions. Registry Records are collected in order to assess the risk of the business relationship in its entirety. Identify your business partnership in accordance with the regulatory requirements under an SRO, FINMA, FMA, BAFIN, MAS and many more. In a globalized and digital world, solutions such as Remote identification replace classic methods of identification or the delivery of authenticated documents in correspondence. Depending on the industry, special requirements of the regulator apply.

Enhanced KYC/AML

For increased business risk by nature, or Red/Orange Flags appearing during the KYC/AML Process, an in-depth review and Enhanced Due Diligence become necessary. Your business partner is checked against any Adverse Media in connection with Compliance-Relevant flags, the business structure and ownership data are evaluated and checked against reliable and relevant Databases, and Reputational Risk is being prevented. This should be done in accordance with the requirements using data from Intrum in addition to publicly accessible databases.

KYC File

All data collected KYC/AML Data is collected in the KYC File, according to the specifications of current regulations. The KYC file provides all documents required for an Audit Process.

Ongoing Monitoring

Any Business Relationship shall be continuously checked for potential Risk Flags – post-transaction. Potential Risk Flags, i.e. during a KYC/AML Re-Check are begin reported, taking into account your internal whitelisting-processes. Batch Screenings and Monitoring's must be efficient to use and provide a unchangeable overview of any compliance-relevant Flags.

Business partners may be natural and/or legal entities.

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You receive a clear overview of information from the PEP list, sanctions list, watchlist and blacklist to give you maximum security.

PEP (politically exposed persons) categories

- Heads of state
- Members of government/cabinet members
- Members of parliament
- Members of the highest courts
- National bank presidents and high-ranking managers
- Political leaders
- High-ranking military officers
- Directors of state companies
- Regional PEPs
- Ambassadors, consuls, diplomats
- Family members and other close contacts of PEPs
- Former PEPs (eight months after leaving office)

Sanction lists

In order to avoid the high fines that arise when working with a listed company, we merge various sanction lists from a range of international sources. They include:

- United Nations Security Council Consolidated lists
- European Union lists
- OFAC SDN/OFAC consolidated lists (USA)
- FinCEN, 311 Special Measures list (USA)
- HM Treasury lists (UK)
- SECO/FDFA and other lists (CH)
- Canada, OSFI – Consolidated List of Entities/Individuals
- Australian Government Department of Foreign Affairs and Trade – consolidated lists

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Watchlists and blacklists

Sector-focused lists such as those below can be accessed once an NDA (non-disclosure agreement) has been concluded:

- Crimes against humanity
- Terror threats
- Non-financial sanctions
- Unapproved business activities
- Companies that have had their licences removed or been sanctioned
- Individuals forbidden from practising their profession and unauthorised companies
- International and national flags, regional warnings
- Lists from international courts, anti-money-laundering and anti-corruption organisations
- Special lists (e.g. individuals with Mafia connections, companies that use forced labour, etc.)

These lists are collected from the following sources, among others, and listed accordingly:

- International organisations (including Interpol, the World Bank, international courts)
- National governments, ministries and police authorities
- National banks, permit authorities and supervisory authorities
- Financial supervisory authorities (FINMA, Bafin, FSA, FMA, etc.)

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