RISK & COMPLIANCE DASHBOARD

DOW JONES

PEPS & SANCTIONS SCREENING



AML360 in partnership with

Dow Jones provides

screening for Politically

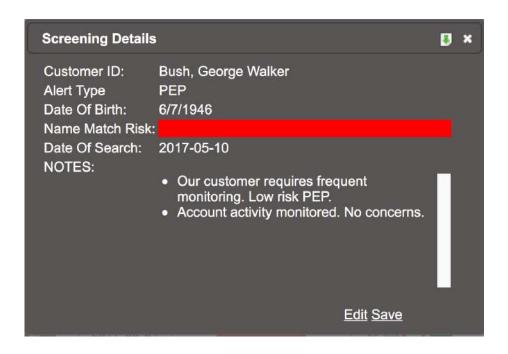
Exposed Persons and Global

Sanction data.

Our screening solution includes a Review and Monitor Register from where email notifications can be sent and file notes maintained.

Monitor

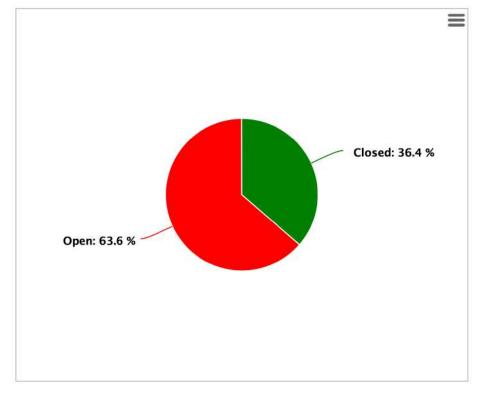
Customer ID	Alert Type	Date of Search	Name Match Risk	Actions
Obama, Barack Hussein	RCA	2017-07-20		× • • 🖂
Obama, Barack Hussein	RCA	2017-07-20		× • • 🖂
Obama, Barack Hussein	PEP	2017-07-17		* • • ×
Gillard, Julia Eileen	PEP	2017-07-05		*OO 🖂
Trump, Donald John	PEP	2017-06-08		× • • 🖂
Bush, George Walker	PEP	2017-05-10		× • • ×
Peters, Winston Raymond	PEP	2017-05-08		*OO 🖂



Easily keep track of the alerts
that need further
investigating or reporting

All screening results are maintained and updated in a central data place.

ACTION STATUS



Search Criteria used:

Name bush George

Content Set: Watchlist Search On: Person

Search Parameters: Sanctions Lists: No

ID Number Type: None
ID Number: None
Search Type: broad

Region: All Regions

Country Type: Citizenship USA Or Resident of USA Or Jurisdiction

USA Citizenship USA Or Jurisdiction USA Or Resident

of USA Resident of USA Or Jurisdiction USA

Or Citizenship USA

PEP Category: All PEP Categories

Exclude ADSR: No

Special Interest Categories : All Special Interest Categories

Sanctions Lists : All Sanctions Lists
Other Official Lists : All Other Official I

Other Official Lists: All Other Official Lists
Other Exclusion Lists: All Other Exclusion Lists

The Search returned: 3 entries

Date Of Search: 1:01.47PM Saturday 5th of August, 2017

User Name: Compliance Dept

Summary results can be emailed to a consistent compliance address to confirm searches were undertaken

We ensure record keeping is practical and meets regulatory requirements.

Customer ID	Date Of Birth	Alert Type	Name Match Risk	Actions
Bush, George Walker	6/7/1946	PEP		* • O • •
Arango Smith, Gustavo Adolfo	15/6/1972	RCA		*••• • •
Bariton Smith, Carlos	N/A	RCA		*••••

Email Form	×
	email address to send this profile: ple emails use ',' for at the end of email address:
* Email Address	
Subject	
Message	Email full profiles of screening results along with a file note for notifications or
	senior management sign-off.







The integrity of the Dow Jones data, integrated with AMI 360's dashboard provides the perfect compliance tool for Compliance Officers. Easily and accurately identify high-risk clients with detailed, up-to-date profiles on individuals and entities

AML360 provides a seamless work flow for the full cycle of the customer screening process. From notifying senior managers to managing and monitoring true positives, our Dashboard is a practical and effective solution for all husinesses

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HEAD OFFICE

Marina Bay Financial Centre
Tower 2
Level 39, 10 Marina Boulevard
SINGAPORE 018983
sg@aml360.com
+65 6818 5702