

## ***Assist*** - Reducing the impact of your regulatory screening

Technology can undertake the hard work when trying to identify sanctioned parties or politically exposed persons, but there will always be some potential matches to review.

Our team of analysts are available to provide assistance when required, reducing the impact on your internal resources.

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### **Low Risk Approach**

First and foremost, the use of our *Assist* service should not introduce any risk to your business. From the start we take a thorough approach, ensuring the end to end process is fully agreed and documented before any work starts. As part of this, a decision catalogue is formed which defines exactly how our analysts will determine if a potential match is false.

Having implemented this service for many clients we have extensive experience in documenting the process. This helps to further minimise the time taken to get your service ready.

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### **How We Work**

As your data is screened by our system, cases are created and those with potential matches not closed by the automated decision rules are referred to our analysts. The potential matches are then reviewed in line with the agreed approach in the decision catalogue.

Where a potential match can't be marked as false, it is referred for review by a member of your team.

For potential matches that appear to be a true match, these are escalated for your investigation and a final decision to be made.

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### **Continual Improvement**

Reducing the impact on your business is the goal. The decision making process will evolve over time based on feedback from your review of referred matches.

These updates are then entered in to the decision catalogue and the process updated. This allows us to constantly improve the potential match review process minimising the number of referrals.

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### **Quality Assurance**

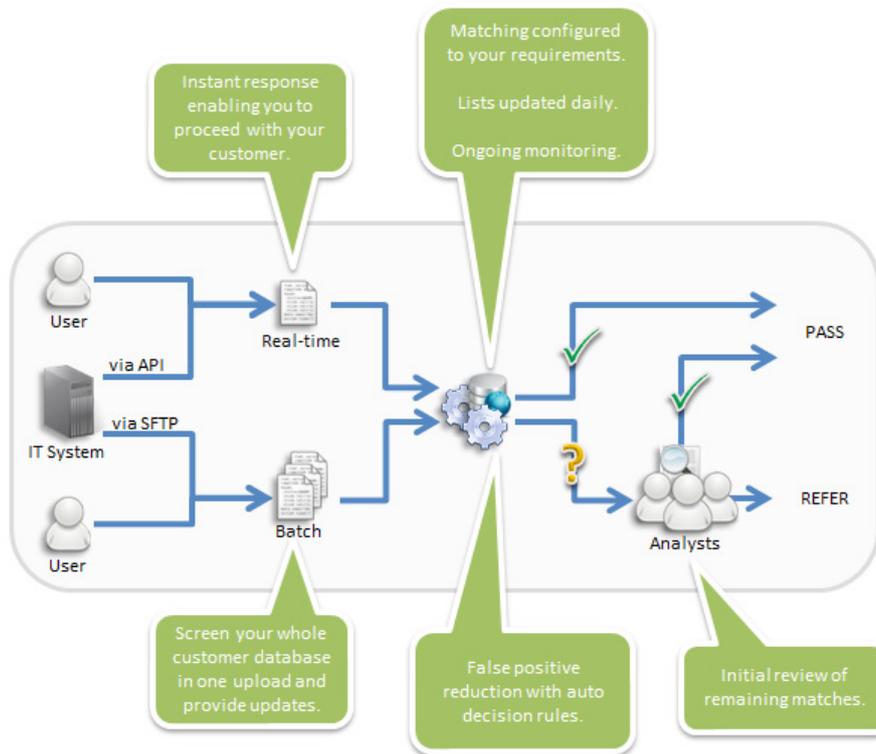
Management of a potential match doesn't end once it has been reviewed by one of our analysts. To maintain the high standards expected by ourselves and our clients, the cases go through our assurance process.

A random sample is selected and reviewed by a different analyst to the one who undertook the original review. This checks for the correct and accurate application of the entries in the decision catalogue.

## Effortless Integration

The ComplianceAssist systems have been designed to seamlessly integrate our analysts into your process. Where the *Assist* service is selected, the workflow looks after the correct routing whilst providing you with complete visibility.

The following diagram illustrates how a fully integrated *Assist* service would provide a true end to end solution for your screening requirements.



## Some of Our Clients



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