



**BUREAU VAN DIJK**

A Moody's Analytics Company



## **The data-driven decision engine and risk management platform**

Your data, the best entity data powered by Orbis, and flexible due diligence screening – both automated and enhanced. New Compliance Catalyst is a game changer because nothing else combines data, technology and people power in a single platform.

**Welcome to the  
business of certainty**



Our new, enhanced Compliance Catalyst is a complete rebuild of our popular risk platform. It's more scalable, faster and includes a range of modules so you can build your own solution.

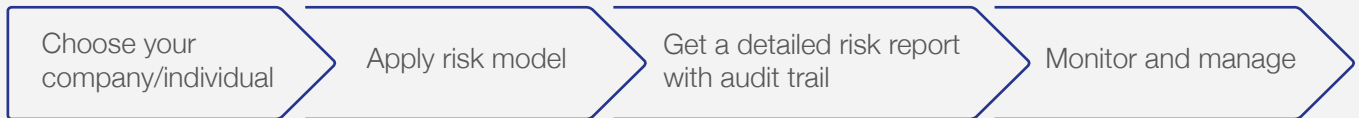
It has a new and contemporary user interface, integrates more smoothly with the Orbis database, and has many other enhancements to make it the ideal contemporary risk management platform.

### What is Compliance Catalyst?

Compliance Catalyst is an integrated platform that combines data, technology and people power. It streamlines your know your customer (KYC), anti-money laundering (AML) and anti-bribery and corruption (ABAC) research, and makes your client onboarding and customer due diligence more efficient.

It runs entities and individuals through a series of checks that you can audit and automate to help you identify risk quickly. Get started straightaway with our out-of-the-box models, or create your own models tailored to your risk profiles and appetite. Compliance Catalyst is powered by the Orbis entity database. Alongside this you can combine your own data, and data from your customers, into your analyses. For more complex entities you can push research directly to an integrated enhanced due diligence service.

### Compliance Catalyst process: a simple overview



Powered by



Orbis is the world's most powerful, comparable data resource on private companies. And it includes other entities too, including listed companies, banks, insurance companies, marine vessels and sole traders and individuals associated with entities.

It's used to analyze and compare companies worldwide for better, faster decision making.

Orbis contains extensive corporate ownership structures that highlight ultimate and beneficial owners, and power and control. These structures

are run against watchlists and PEPs and sanctions lists, and adverse media algorithms, so you can get a holistic view on risk associated with specific entities and individuals.

## | Key features

### **The integrated platform**

What sets Compliance Catalyst apart is that it's an integrated solution. It combines your data, the best entity data from Orbis, and flexible due diligence screening — automated and enhanced — all in one place.

Your own data can include feeds via Web Services, or you can integrate automated eforms and questionnaires to incorporate data from your clients and onboarding entities themselves. And to complement Compliance Catalyst's risk reporting you can choose to employ its integrated enhanced due diligence.

### **An instant KYC company report and risk preview**

As soon as you've completed the entity resolution step — linking your subject company to the correct entity in Orbis — you'll get an instant screening against watchlists and adverse media, plus a succinct overview of compliance relevant data, all visible before you've even started your risk assessment.

### **Get started out of the box — or do detailed customization**

You can get started straightaway with our range of out-of-the-box models or create your own models that are tailored to your risk profiles. The models are simple to create and are part of the self-serve concept that means you can manage your Compliance Catalyst customization, workflow and uploads without relying on us or other third-parties.

### **Enhanced alerts**

New Compliance Catalyst has significantly enhanced alerts that are easier to dismiss in bulk, can be adapted for sensitivity and use machine learning to contextualize adverse news to help minimize false positive alerts.

### **Dashboards and analytics**

Dashboards give a clear overview of your entire portfolio and management views on research in progress, and resolved and unresolved alerts.

### **Build your own Compliance Catalyst**

**Create your own workflows — choose your own modules — develop your own automation.**

Create your own workflow, triggers and dataset combinations and choose from a wide range of modules. Your Compliance Catalyst can be as simple or as sophisticated as you like, and suitable for your internal user base — from pre-sales look ups to detailed and enhanced due diligence.



### **Contemporary interface and machine learning**

New Compliance Catalyst gives you an improved user experience and uses more contemporary technology — including machine learning to improve the relevance of adverse news and false positives.

### **Own data and forms**

Compliance Catalyst has a range of data integration and custom upload options, and you can create your workflow around them. These include forms and questionnaires so you can add data from your customers, and the onboarding entities themselves.

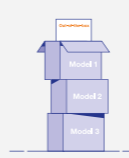
# The data-driven decision engine and risk management platform

 Compliance Catalyst<sup>2</sup> platform  
 Powered by Orbis

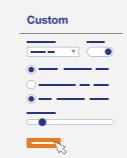
**External data input**  
 Request and import client data, and your own data, using:

- custom uploads
- eForms
- questionnaires


**Choose your model and get your risk report**



Out-of-the-box models



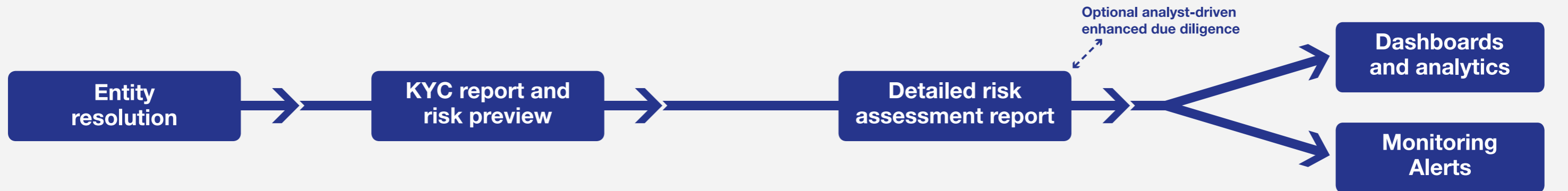
Custom models



Risk report

**Manage and analyze**

- Management information
- Resolved/unresolved alerts
- Risk reporting
- Portfolio analysis and management



**Entity search**

Matching names and identifiers against the Orbis database

Includes the option to batch upload

ACME

- ACME INC
- ACME LIMITED**
- ACME PLC
- ACME POLONIUS LIMITED
- SANLIAN-ACME LIMITED

**Entities and ID numbers**

- Companies
- Banks
- ID numbers
  - BvD ID
  - LEI
  - National ID
  - GIIN
- Individuals
- Sole proprietorships
- Insurance companies
- Non-bank financial institutions
- Marine vessels

**Risk checks**

 Political risk

 Country risk

 Legal status

 Beneficial owners

 Ultimate owners

 PEPs, sanctions, other watchlists

 Indirect ownership

 Date of incorporation

 Financial strength

 Corporate group

 AI-driven adverse news powered by ML Fabric

• Flexible rule and sensitivity setting

• Easy alert dismissal

**Watch for changes**

- PEPs
- Sanctions
- Ownership
- Status
- Directors
- News
- Watchlists
- Solvency and liquidity events
- Financial strength
- Address
- Other company data

← Create your own workflow and triggers →

← Ongoing analysis and monitoring →

← Full audit trail and annotation options →

# | Powering Compliance Catalyst

Orbis offers the most extensive company information and corporate structures, combined with adverse data, to deliver new levels of certainty on your third parties. And you can create flexible alerts on these datasets to continue to monitor for risk and change.

## Unique identifiers

These include the BvD ID numbers, local ID numbers, plus other recognized systems including LEIs and GIINs.

## Extensive corporate ownership structures and beneficial ownership

Our carefully sourced, treated and structured ownership data helps you learn more about the ownership structures of individual companies, as well as their corporate group. Where possible information is date-stamped and the source indicated. You can see changes over time and archived ownership. You can also define beneficial ownership to be consistent with your internal or local regulatory requirements. Information also includes:

- comprehensive lists of direct and indirect subsidiaries and controlling shareholders
- corporate groups – all companies with the same ultimate owner as the subject company
- direct and indirect ownership and ultimate owners
- clearly indicated beneficial owners – and the path from your subject company to the beneficial owner
- beneficial ownership as filed at the local registry

## Individuals affiliated to companies

Orbis offers an extensive database of relevant people within or connected to companies, including: directors, advisors, auditors, board members and senior managers.

We show their current and previous positions as well as their connections to other individuals in Orbis.

## Financial data and financial strength metrics

Orbis's standardized financials and financial models, show you financial viability and predictive indicators of a company's financial strength.

## News and adverse news filter

Orbis includes a huge range of news sources and algorithms to show stories with a negative sentiment. This is now powered by Moody's Analytics Accelerator's ML Fabric to harness the power of artificial intelligence to deliver the most relevant news stories and to reduce the incidences of false positive news – across multiple languages.

## ESG reputational risk data

Environmental, social and governance (ESG) risk data and metrics, to assess the reputational risk associated with companies to help decide whether to work with them.

## PEPs, sanctions and other watchlists

We flag individuals and companies that are matched against PEPs and sanctions lists and provide the details to help you to verify them. And we make it easy for you to screen our entire corporate groups for matches to PEPs and sanction data and other watchlists.

## Marine vessels

Track whether specific vessels appear on sanctions lists and how they are linked to entities.

## Original documents

- Locally filed "scanned images"
- The ability to order copies of official business documents from around the world
- PDFs of annual reports
- Links to documents filed at registries

## Other company information, including:

- Indications that an entity has been awarded a public tender
- Legal status, date of incorporation, an entity's industry and country/political regime
- AML documents for financial institutions

## | The modules

Optimize Compliance Catalyst for your organization, audience and risk profiles. Here are some of our premium modules:

### Entity resolution and enrichment

Confirm your entity against the huge Orbis universe of entity data, including companies (private and listed), banks and financial institutions, sole proprietorships, insurance companies, non-bank financial institutions, marine vessels, and individuals. Orbis only has official entity names (with their unique identifier numbers) and searching is simple and fast. So, once you've matched your subject entity to the correct record in Orbis, you can be confident your ongoing analysis is based on the appropriate legal entity and its associated data. And this works for your self-serve batch uploads too. And once you've matched your entity you can enrich your records from the data in Orbis.

### Adverse media tool

See filtered, relevant news relating to your subject company, individuals and your portfolio. Recent innovations mean the adverse media tool is powered by machine learning resulting in more accurate identification of a genuine negative sentiment, reducing false positives and erroneous stories.

### Enhanced due diligence

If your screening suggests you need to take a closer look at higher risk entities or individuals, you can use the workflow to send it straight to your own analysts or our enhanced due diligence (EDD) service.

### API web service

This automates the appearance of data from your own systems into Compliance Catalyst via an API for smooth integration with your internal systems.

### Sanctioned-by-extension

According to OFAC's 50% rule, companies who may not be sanctioned in their own right can still be subject to sanctions due to their connection to sanctioned corporations or individuals. Our ownership data and tools can help you identify the entities who are "sanctioned by extension".

### Shareholder power

The Power Score looks deeper than just volume of ownership. It helps you locate and identify powerful shareholders who are easily overlooked because they're not legal and/or beneficial owners.

### Ownership Explorer

This dynamic data visualization tool gives you navigable bottom-up and top-down views of complex ownership structures. It has filters and colour coding to make corporate structures come alive for easy analysis.

### Conflict/affiliation checker

You can quickly see if companies or individuals are linked. The results are in diagrammatical and tabular formats and even complex screening takes just minutes.

### Key benefits

- Compliance Catalyst has an intuitive and fast new user experience.
- It's powered by Orbis, so you get access to the best entity data to help you make better, faster decisions.
- It helps you spot and escalate risk more quickly and focus your resources on higher risk cases.
- It's a self-serve user experience. You can now batch upload large numbers of companies, and work with the models without external support.
- Your data is centralized, with audit trails and it's easier to manage and report on. And your data, workflow, risk profiles and compliance policies are all embedded into the platform.
- You can choose from light-touch assessments or "full works" analysis – and anything in between. It's a scalable solution and ideal for small and large portfolios, and it's suitable for a broad range of users, including sales, analysts, non-experts and those new to compliance. Compliance Catalyst gives you the flexibility to build the right solution for your portfolio and your stakeholders.

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