

# RESTRICTED PARTY SCREENING FOR PIVOTAL CRM

## DATA SHEET

### ESSENTIAL TO ANY COMPLIANCE PROGRAM

In today's dynamic and global business world, it is important that you know who you're doing business with. If you are conducting domestic and international trade, compliance due diligence can help you meet your required regulatory obligations and protect you from government penalties. Export regulations (including US Federal Law) state that any company transaction engaging with individuals, parties, companies or locations, that are listed on government issued restricted party lists, can result in fines, denial of export privileges, disbarment, criminal and/or civil prosecution. The penalties are exponentially higher for companies that do not have any compliance measures in place that would prevent doing business with restricted parties.

For financial institutions, compliance with numerous regulations and determining best practices to mitigate risk through Know Your Customer (KYC), Anti-Money Laundering (AML), and Third/Fourth Party compliance is essential. But keeping pace with ever-changing restricted and sanctioned parties can be challenging. As government agencies continue to create more regulations that can impact your business, it is critical that you protect yourself with Restricted Party Screening (RPS), now available with Pivotal CRM.

### PIVOTAL'S RESTRICTED PARTY SCREENING SOLUTION

Pivotal's Restricted Party Screening (RPS) solution provides a simple way to check that people and companies you are doing business with are not on any Restricted Party lists. Pivotal CRM seamlessly integrates to Tradebeam's RPS application, which checks over 180 sources for lists on a daily basis. Names of contacts and companies you deal with are compared to names on the Restricted Party lists.



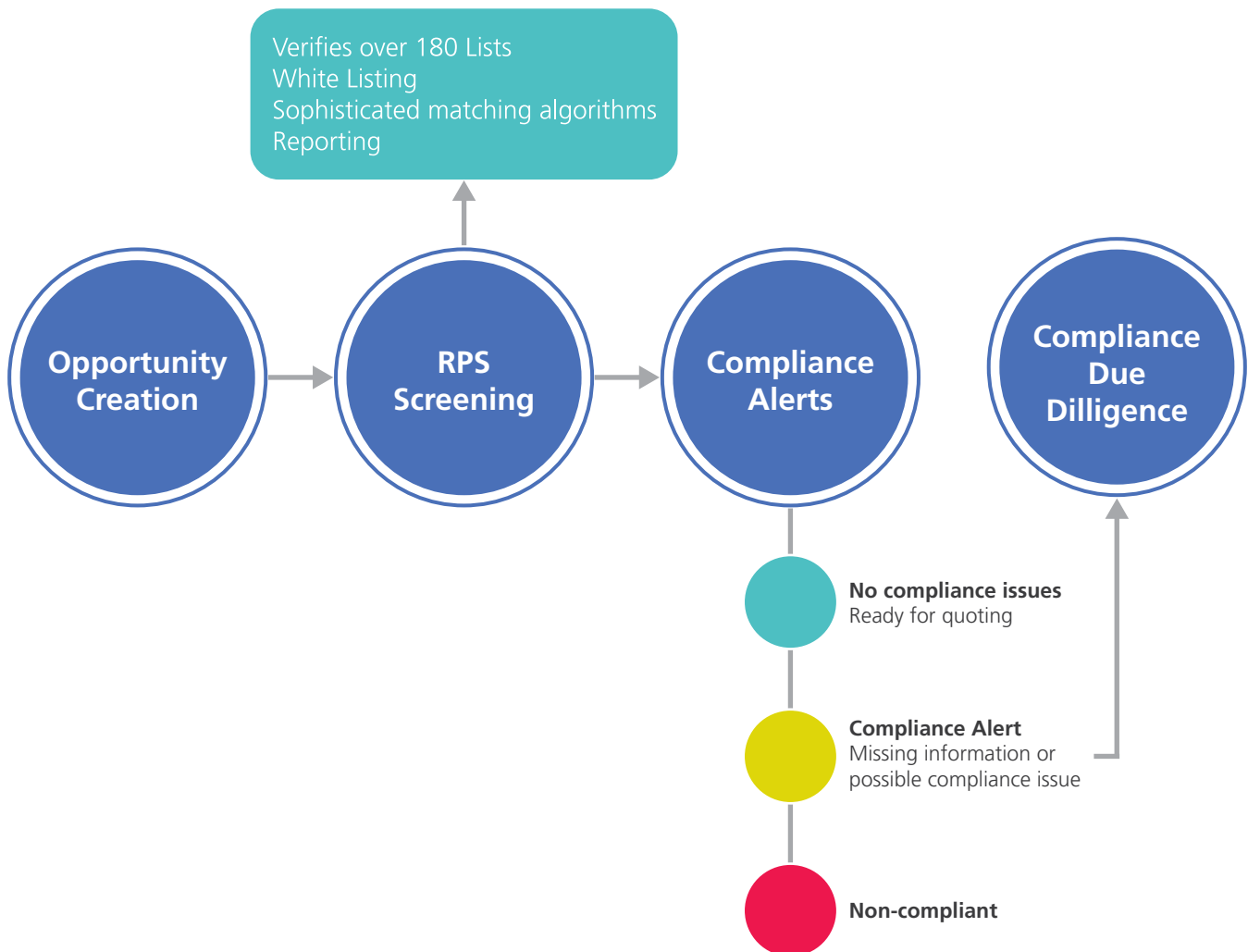
Below is a short sample of the lists checked globally:

North America	Europe
<ul style="list-style-type: none"> <li>• OFAC Specially Designated Nationals (SDN)</li> </ul>	<ul style="list-style-type: none"> <li>• European Union Restrictive Measures (sanctions)</li> </ul>
<ul style="list-style-type: none"> <li>• BIS Denied Persons List (DPL)</li> </ul>	<ul style="list-style-type: none"> <li>• UK Financial Sanctions</li> </ul>
<ul style="list-style-type: none"> <li>• FBI Most Wanted List</li> </ul>	<ul style="list-style-type: none"> <li>• Switzerland Sanctions</li> </ul>
<ul style="list-style-type: none"> <li>• Foreign Corrupt Practices Act (FCPA)</li> </ul>	Asia Pacific
<ul style="list-style-type: none"> <li>• World Bank Fraud and Corruption List</li> </ul>	<ul style="list-style-type: none"> <li>• Asian Development Bank Anti-Corruption List</li> </ul>
<ul style="list-style-type: none"> <li>• Canada Anti-Terrorism Financing List</li> </ul>	<ul style="list-style-type: none"> <li>• Australian Sanctions</li> </ul>
United Nations Sanctions List	<ul style="list-style-type: none"> <li>• Japan End User List</li> </ul>

## HOW IT WORKS

On Pivotal opportunity creation, the solution automatically checks if there are any compliance issues. If there are any potential matches for restricted parties, your compliance team, working alongside sales, will be alerted and further due diligence checks can be performed.

TradeBeam’s cloud-based technology means that there is no need for your staff to check and update all of the different published lists from various governments and agencies, or require long lead times to implement a solution.



# FEATURES AND BENEFITS

Feature	Benefit
<b>Flexible Screening Rules</b>	Create your own screening rules by choosing which Restricted Party Lists to opt in and out of and customizing settings for easy implementation
<b>Intuitive Match Resolution</b>	A simple screen allows you to click through all identified matches and approve or deny them one time or for all future transactions
<b>Batch Screening</b>	Upload multiple parties (contacts/companies/leads) into the service at once to perform bulk screening
<b>Scalable Solution</b>	Whether you perform a once-annual screening or screen thousands of parties daily, Tradebeam's solution supports the Restricted Party Screening needs of your business

## Restricted Party Resolution

<b>Party</b>	AFM Advanced Financial Markets - AFM Advanced Financial Markets/0016F00001xZMgLOAW	<b>Location</b>	CHE/AFM Advanced Financial Markets/1490075743809 - 1490075743809
<b>Screening Status</b>	On Hold	<b>Screening Time</b>	2017-03-21 01:55:44.941
<b>Screening Reference Number</b>	1490075743809	<b>Screening Group</b>	
<b>Related Screenings</b>	<a href="#">Next Single Party Screening</a> <a href="#">Previous Single Party Screening</a>		

**Risk**  **Highest Risk**

**Initial Review**  Mark as Complete **Notes**   
**Management Review**  Mark as Complete **Notes**   
**Resolution** Deny - 1 Day **Notes**

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Restricted Party Name	Restricted Party List	Risk	Match Words	Relevance	
				Screened Party	List Party
<a href="#">AFM Advanced Financial Markets</a>	FINMA Warning List Switzerland	Highest Risk	106_8001_ADVANCED_AFM_BAHNHOFSTRASSE_FINANCIAL_MARKETS_Switzerland_ZURICH	100%	100%
<a href="#">World Wide Financial</a>	FINMA Warning List Switzerland	Moderate Risk	8001_BAHNHOFSTRASSE_FINANCIAL_Switzerland_ZURICH	55.56%	50%
<a href="#">Mane Capital Markets</a>	FMA Warning and Alert List New Zealand	Low Risk	BAHNHOFSTRASSE_MARKETS_Switzerland_ZURICH	44.44%	40%
<a href="#">Triumph Financial Advisors Inc.</a>	FINMA Warning List Switzerland	Low Risk	8001_FINANCIAL_Switzerland_ZURICH	44.44%	44.44%

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When a party is flagged in Pivotal, it goes to the Global Trade Management (GTM) Resolution area for further inspection.

## ADDITIONAL INFORMATION

If you have questions or require additional information please contact your Account Manager.



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