

WATCH LIST SCREENING

THE TRUSTED DENIED PARTY SCREENING, CASE MANAGEMENT AND COMPLIANCE TOOL



KNOW WHO YOU DO BUSINESS WITH – IT'S KEY TO COMPLIANCE!

Global companies engaged in trade, manufacturing, finance, banking, as well as government contractors need to ensure they are not conducting business with any person, company or country on government denied, restricted, or sanctioned party lists. It's not enough to think you know your business partners. You may be restricted from doing business with any customers, suppliers, freight forwarders, banks and other 3rd parties, if they are found on any of the restricted party lists. You must first detect and properly react to such potential concerns.

The implications of improperly screening for denied parties can be catastrophic. At a minimum, it results in delayed shipments which affect the bottom line in higher costs. At the other extreme, it may mean hefty fines, loss of export privileges, damage to your brand and business reputation, and possible jail time. A due diligence screening process is highly sophisticated and arduous, and the requirements for audits are extensive and critical for your ability to be compliant.

OCR helps protect your business with our restricted party screening solution of the utmost accuracy and efficiency and with the audit trail to demonstrate your due diligence was properly performed.

KEY BENEFITS

- Screen thousands of names quickly
- Retrieve current regulatory information automatically
- Create reports and audit trails at the click of a button
- Eliminate time-consuming, repetitive data entry
- Streamline and simplify your denied party compliance processes
- Reduce overall cost of compliance
- Integrate with third party system seamlessly

WATCH LIST SCREENING

THE LINK BETWEEN YOUR BUSINESS AND SAFE TRANSACTIONS



GLOBAL LEADER IN GOVERNANCE, RISK AND COMPLIANCE SOLUTIONS

- Industry leading expert on compliance, trusted by the public and private sector
- Trusted by US Government agencies for most accurate and timely data OCR screening lists

DENIED PARTY LISTS

- Most comprehensive set of worldwide lists from government and non-government sources for Trade & Financial Sanctions, Embargoes, Anti-Money Laundering, Foreign Corrupt Practices, Law Enforcement, Politically Exposed Parties (PEP), and Medical & Pharmaceutical Exclusions, and more
- Screening Lists and content are updated daily
- Utilize your own custom black lists for internal compliance and diligence custom lists
- Add lists at any time without impacting previous screening case resolution

MOST ADVANCED SEARCH ALGORITHMS

- Fuzzy logic support with customizable parameters for different attributes
- Add Matching on partial and similar names, aka, DBA identification, nicknames, and synonyms
- Advanced matching analysis for low levels of false positives

- Real-time transaction screening of multiple names and aliases, address and/or country, in order to cover all possible combinations
- Screening using batch file uploads, ad-hoc, database, and web API service
- Schedule automatic nightly screenings on stored data against specified lists
- Easily re-screen based upon any prior results

SCREENING LOGIC & WORKFLOWS

- Notify users of screening status with detailed results and automated workflows
- Incrementally screen against entire Watch List or specific updates
- Employ micro-categorization and risk scoring strategies to decrease false positives
- Supports client customization, special rules, and custom lists (i.e. internal black lists)
- OCR's customizable re-screening criteria allows you to determine when to rescreen due to changes in your records or the various denied party lists; resulting in a more accurate hit rate



REPORTING OPTIONS FOR ANY AUDIT

- Extensive set of standard and custom reports
 - o Internal reports include case-by-case screening and history
 - o Specialized reports on any business partner database including customers and vendors, denied parties lists and more
- Defensible audit trails for agency and internal policy reviews
- Tracking of reasons for denial or override, personnel adjudicating the hits, and which Watch List tables were used

WLS DASHBOARD

- Easy-to-use dashboard with multiple levels of access privileges
- Schedule automatic batch screenings or perform ad-hoc screenings
- Choose entities to screen and lists to screen against
- Customizable access and override privileges and alert notifications
- Define and schedule reports
- Review details of hits from screenings
- Upload lists

SECURE COMMUNICATIONS

- Support secure access protocols and user authentication to Active Directory using LDAP, SAML 2.0 and Single Sign-On (SSO) tools
- Secure web forms support any secure 256 bit encrypted transmission and storage in a Relational DataBase Management System (RDBMS), such as, MS SQL or Oracle

INTEGRATION WITH THIRD PARTY SYSTEMS

- Open standards, Java-based application
- Seamless real-time integration with Oracle, SAP, and other ERP, CRM, Supply Chain Management or other enterprise systems
- Integration support for any system including those client developed software



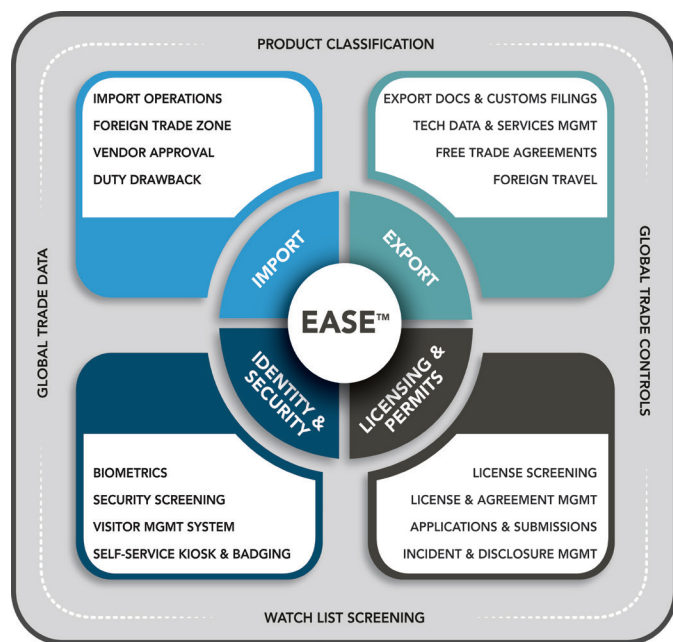
MOBILE READY

- Screen anytime, receive alerts, respond to hits, and review reports from a smart phone or tablet.



ABOUT OCR

As the foremost expert on Governance, Risk and Compliance (GRC) for international trade, OCR is trusted by Fortune 500 multi-national corporations, government agencies, and small businesses worldwide, to ensure compliance for cross-border transaction through a comprehensive solution that improves operations, complies with government regulations, saves money and provides a competitive advantage.



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EXPORT AND IMPORT WITH EASE

EASE SUITE OF SOLUTIONS

The Watch List Screening module is one of 16 modules in the OCR EASE suite of products.

Expedite Trade Flow

Avoid Regulatory Fines

Save Operating Costs

Enhance Supply Chain Security

EASE is a suite of scalable and configurable solutions designed to help clients automate and simplify their cross-border trading operations and address ever-changing international regulations.

All EASE modules are easily integrated with each other and third party solutions. They will automatically share data and documents seamlessly.

EASE software can be installed behind a firewall or implemented as a hosted service. Our Software as a Service (SaaS) platform operate in secure global data centers which are SSAE Certified with redundant failover and high availability bandwidth with full data encryption.

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For complete office locations and contact information please visit www.ocr-inc.com/contact-us/