



# Stay on top of the sanctioned securities challenge

*Financial instrument screening*

## Uncover hidden risks in financial instrument compliance

Mitigating sanctions risk related to financial securities, including indirect investments, is a complex undertaking as regulatory scrutiny of investment management strategies intensifies.

In addition to vigilantly screening and monitoring sanctioned entities, risk and compliance teams must monitor and track exposures and identify beneficial owners and subsidiary relationships across entities and a wide range of financial instruments, such as structured products and options. This requires a robust solution that improves data quality, analyzes and uncovers connections across multiple jurisdictions, and ensures readiness to pass any audit or regulatory inspection.

FinScan Securities brings together advanced technology and sanctioned securities data from leading data providers to uncover the potential risk of violations hiding in your trading books and securities inventory according to the latest regulations. FinScan Securities identifies associated companies, securities, and connections between domiciles, companies, and individuals, aggregates the results into a single consolidated list, and provides a clear and transparent audit trail and intuitive review process.

## A better way to mitigate sanctioned securities risk

Save time and reduce risk by eliminating reliance on spreadsheets and the manual process of scrubbing through data to screen and identify hidden sanction risks. Remove your IT department's burden from having to design, build, and maintain a home-grown solution. FinScan Securities provides a complete, streamlined workflow from data analysis and cleanup to audit trails and reporting. This includes:

- ✓ **Better data quality**  
No one's data is perfect. Dramatically improve your match accuracy and reduce risk by correcting errors in company names, populating missing elements, and standardizing formats across source data or securities data feeds to create proper configurations.
- ✓ **Fine-tuned risk alerts**  
Ensure your configurations match your exact sanctions obligations by building risk scenarios based on customer data and securities alphanumeric attributes such as ticker, ISIN, SEDOL, CUSIP, and other security identifiers.
- ✓ **Improved productivity**  
Clear sanctions hits faster by reviewing alerts for all business operations, including screening for securities positions held, in a single case review screen.



### 4 Potential Risks

✓ **Peace of mind**

Always stay compliant by monitoring securities positions against dynamically updated sanctions lists and get notified of changes in beneficial ownership results in sanction exposure.

✓ **Flexible configuration**

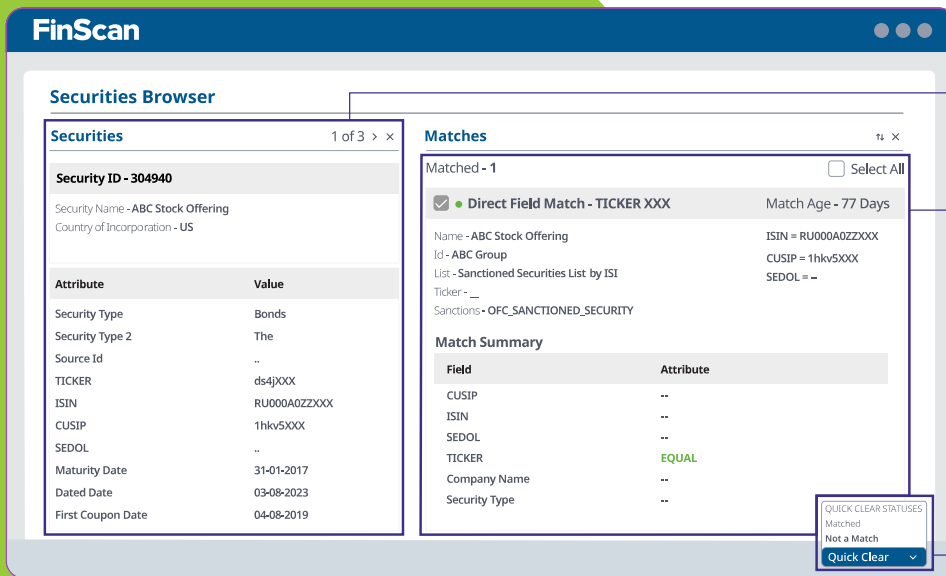
Free yourself from the IT backlog by quickly and easily creating rules to match your securities to your sanctions list.

✓ **Efficient workflows**

Create time-saving, logical workflows that match your own business processes when evaluating positions in sanctioned securities—from the trading desk to the book of records.

✓ **Immutable audit trail**

Easily prove and explain your security matches and disposition decisions with a trusted audit trail based on the active or liquidated status of securities positions. Generate reports and export data for other applications.



Generates alert for a sanctioned security

Provides the reason why the match was generated; in this case, a direct field match with the Ticker

Lets you easily remediate alerts

**Unparalleled flexibility, done your way**

Based on your scalability, cost, security, and data privacy requirements as well as national and regional regulations, our highly experienced team will work with you to develop a flexible deployment strategy that fits your needs.

SaaS

On-premise

Hybrid