



Smart Oversight

Overcome your AML & KYC
challenges



Smart Oversight



www.smart-oversight.com

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The problem of KYC burden for small and medium entities



Time per client
up to 30 hours



Average annual cost
1,7% of your total assets

Small or big, you have to comply



The problem of current solutions for small and medium entities

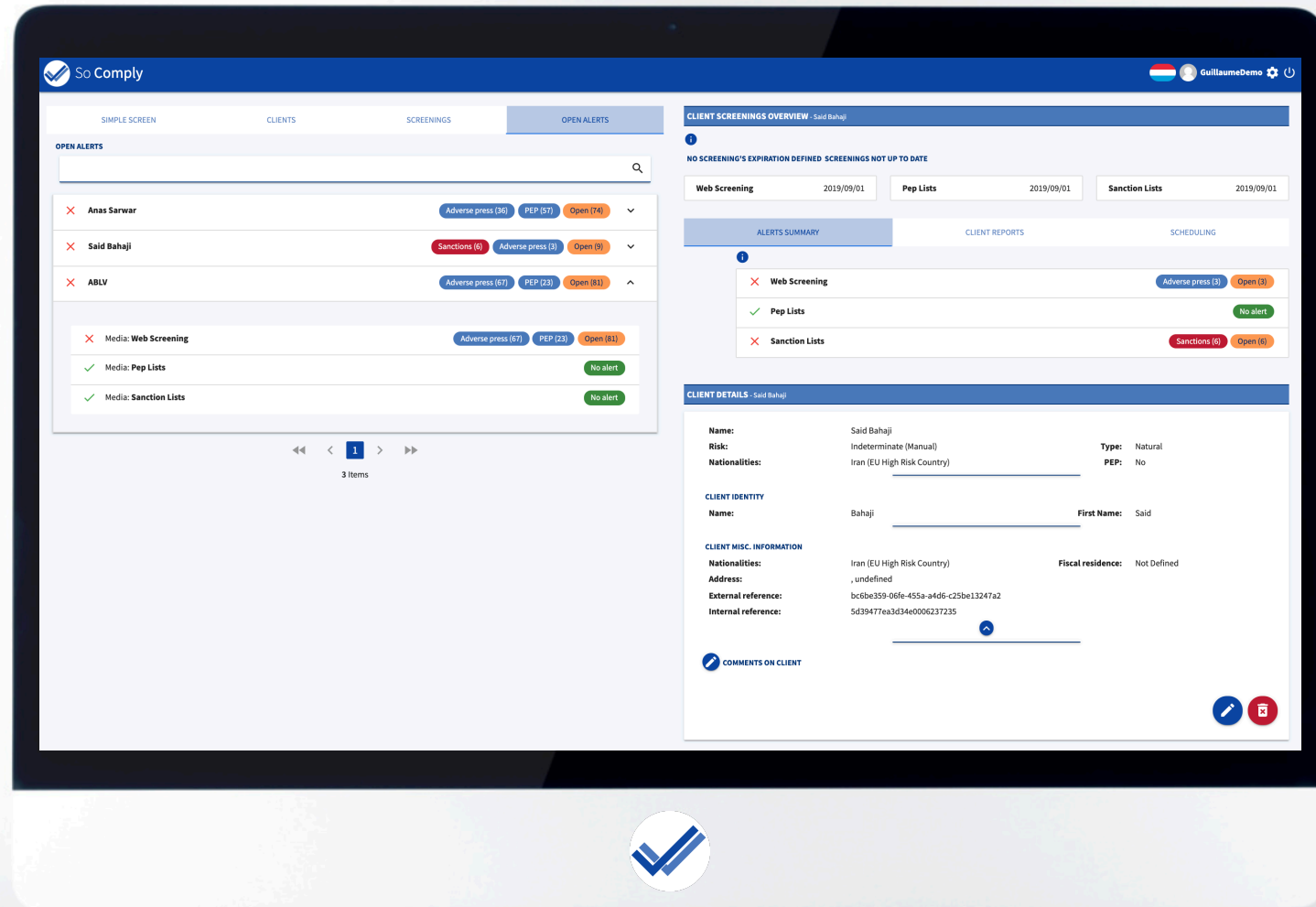
Time consuming



OR

Expensive





Our solution is ready to save you time

Our technologies backstage



Natural Language Processing



Expert system



Multi-lingual approach



Fully scalable

Official sanctions lists

- ✓ **European Union and Swiss compliant**

standard sanctions lists setup are: United Nations, European Union, US-OFAC, SECO, and HMT.

- ✓ **Up-to-date sanctions lists**

with a daily real-time update.

- ✓ **Direct access to official sanctions lists**

which allows us to offer you competitive pricing and reduce risks from a third-party



SCREENINGS

PEOPLE & COMPANIES

OPEN ALERTS

☒ Natural ☐ Legal

First name Last name

Person status Nationality

Prospect Germany

 [CREATE AND SCREEN](#) 

SCREENING HISTORY

Screenings performed in the last 14 days

Person's Name

Date

Person's Name	Date	
Guillaume Vieira de Carvalho	2020/09/16	Succeed

GUILLAUME VIEIRA DE CARVALHO

DETAILS

SCREENINGS

DOCUMENTS

RISK SCORING

Natural

Prospect

Undefined risk (Manual)

Nationalities:

France

PEP: Not Defined

 COMMENTS ON PERSON

RELATED PARTIES

No related party identified

[CREATE A RELATION BETWEEN PARTIES](#)

- ✓ **A database of more than 3 million PEP related data** collected from official governmental website at regional, national, and supra-national levels.
- ✓ **The Web Screening, NLP based, screens in a minute thousands of web pages** to spot negative media about an individual or a legal entity, in more than 30 languages.
- ✓ **The NLP algorithm improves identification of PEP entourage**, including family members and business associates, to comply with the FATF Recommendation n°12 and the EU AML Directive.



SCREENINGS


PEOPLE & COMPANIES

OPEN ALERTS

☒ Natural First name _____ Last name _____
☐ Legal

Person status: Prospect Nationality: United Kingdom ▼



CREATE AND SCREEN 

SCREENING HISTORY

Screenings performed in the last 14 days

Person's Name	Date	
Said Bahaji	2020/09/16	Succeed
Guillaume Vieira de Carvalho	2020/09/16	Succeed

SAID BAHAJI

DETAILS

SCREENINGS

DOCUMENTS

RISK SCORING

Natural

Prospect

Undefined risk (Manual)

Nationalities:

Germany

PEP: Not Defined

 COMMENTS ON PERSON

RELATED PARTIES

No related party identified

CREATE A RELATION BETWEEN PARTIES

SCREENINGS

PEOPLE & COMPANIES

OPEN ALERTS

☐ Natural
☒ Legal

Company name



Person status

Prospect

Country of incorporation

Luxembourg



CREATE AND SCREEN



SCREENING HISTORY

Screenings performed in the last 14 days

Person's Name

Date

Henri Kox	2020/09/16	Succeed
Said Bahaji	2020/09/16	Succeed
Guillaume Vieira de Carvalho	2020/09/16	Succeed

HENRI KOX

DETAILS

SCREENINGS

DOCUMENTS

RISK SCORING

Web Screening

enabled

Pep Lists

enabled

Sanction Lists

enabled

Scheduling defined: 12 month(s)

RUN A SCREENING ✓

ALERTS SUMMARY

SCREENING REPORTS

SCHEDULING

✗ Web Screening (2020/09/16)

PEP

Open



✗ Pep Lists (2020/09/16)

PEP

Open



✓ Sanction Lists (2020/09/16)

No alert

An easy and trackable workflow

✓ **Periodic screenings can be automatized** based on customizable rules at a global or client level. A risk based approach can also be setup.

✓ **The user-friendly interface** supports you with resolving alerts and allows you to type free comments. The system keeps track of them and all the diligence performed.

✓ **PDF reports capture results of the process**, secured with a cryptographic key. Meaning that all the diligence and all the sources screened are stored in the PDF as audit evidence.



The screenshot displays the So Comply Online interface for alert resolution. At the top, there are filter controls for STATUS, NATURES, and LANGS, with an 'Inclusive filter mode' toggle. Below these are several alert cards, each with a title, a URL, and buttons for 'Open', 'Adverse press', 'PEP', and 'English'. A list of 'All Matching Words' is shown, including laundering, investigation, corruption, parliamentary, minister, government, jailed, bullets, judges, and political. At the bottom, there is an 'ALERT RESOLUTION' section with three toggle switches: 'IS IT MY CLIENT?', 'IS THE INFO RELEVANT?', and 'WHAT IS THE NATURE OF THE ALERT?'. The 'WHAT IS THE NATURE OF THE ALERT?' toggle is set to 'Sanctions'.

[Click here to start the video](#)

- General Information
- Consumption
- User Settings
- Company Settings
- Screenings Settings**
- Risk Scoring Settings
- Document Management Settings

SCREENING SETTINGS

DOWNLOAD GROUPED AUDIT TRAILS

download method

since the last download (2020-07-09)

DOWNLOAD GROUPED AUDIT TRAILS

Occurrences of grouped download execution are limited per month. current execution this month: : 0 / 4

DEFAULT MEDIA TO SCREEN i

☒ Web Screening

☒ Pep Lists

☒ Sanction Lists

AUTOMATED SCREENING OF YOUR PERSONS REGISTERED IN SO-COMPLY FOR EVERY UPDATE OF THE EU CFSP LIST i

☐ Automated screening for every update of the EU CFSP list disabled

SCREENINGS EXPIRATION & SCHEDULING MANAGER i

☐ Persons screening scheduler disabled

SAVE APP SETTINGS ✓

CLOSE ✕

Said Bahaji

Screening's Audit Trail (14-10-2020)

Overview

Web Screening:

- **Status:** Open: 25, Reviewed: 0, Validated: 0
- **Nature:** PEP: 4, Adverse press: 21

Pep Lists: No alert

Sanction Lists:

- **Status:** Open: 0, Reviewed: 0, Validated: 6
- **Nature:** Sanctions: 6

screening id: 5f87131404a6920006fd6089

Comment about the client: commentaire de test

Client's information

Name: Said Bahaji

Type: Natural

Risk: Indeterminate

Nationalities: Germany

PEP: null (Value on your DB: undefined)

Marital Status: unknown

Last Name: Bahaji

First Name: Said

Birth Date: Date Undefined

Internal reference: 5f871314efd64f000607c36e

External reference: 96566085-746f-4733-a772-5de1d20c6767

Sanction Lists search results

- EU-CFSP

Alert Detected: true

Alert Status & Resolution: Validated (Related to the client) - id: 5f87131ac8199c0006a471f5

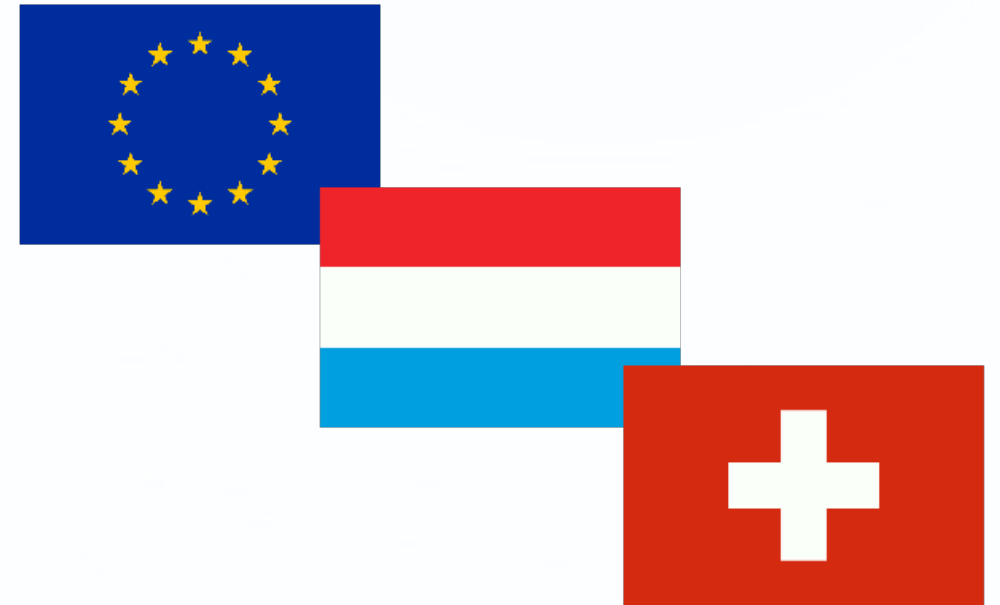
Comments on resolution: test commentaire

Person type: Natural

Name on the List 1: Said Bahaji (SaidBahaji)

A secured flexible solution

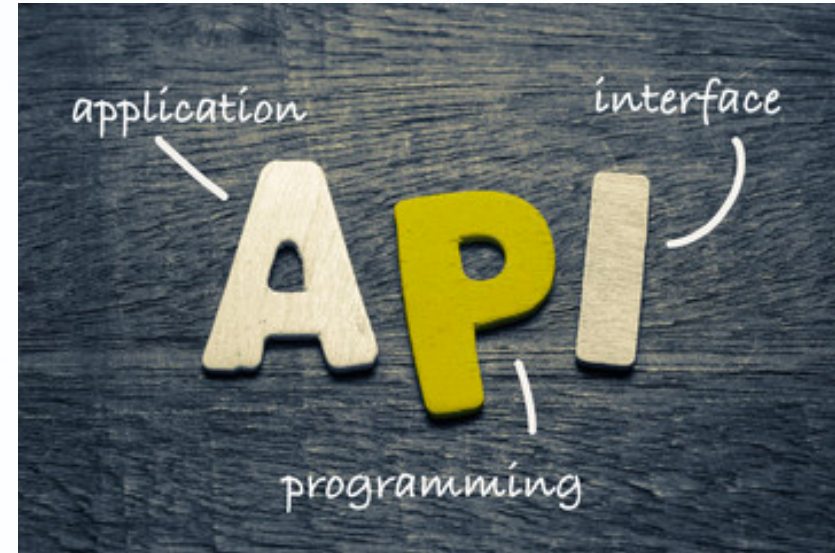
- ✓ **An easy-access SaaS solution**, you just need a recent browser on any computer.
- ✓ **The pay as you go pricing makes it flexible** and adapted to your needs. The volume pricing plan makes it sustainable on the long term.
- ✓ **Data is hosted in high-security level data centers in Europe**, we have selected data centers rated Tier III or above located in Luxembourg, Switzerland, and France to match at best your business data compliance needs.
- ✓ **Screening functions are also available using an API**, to be easily integrated into your system.



Our solution can be easily integrated in your current IT system using API. This API is accessible through a set of Representational State Transfer (REST) services that can be reached on the web. These REST services are accessible over HTTP or HTTPS.

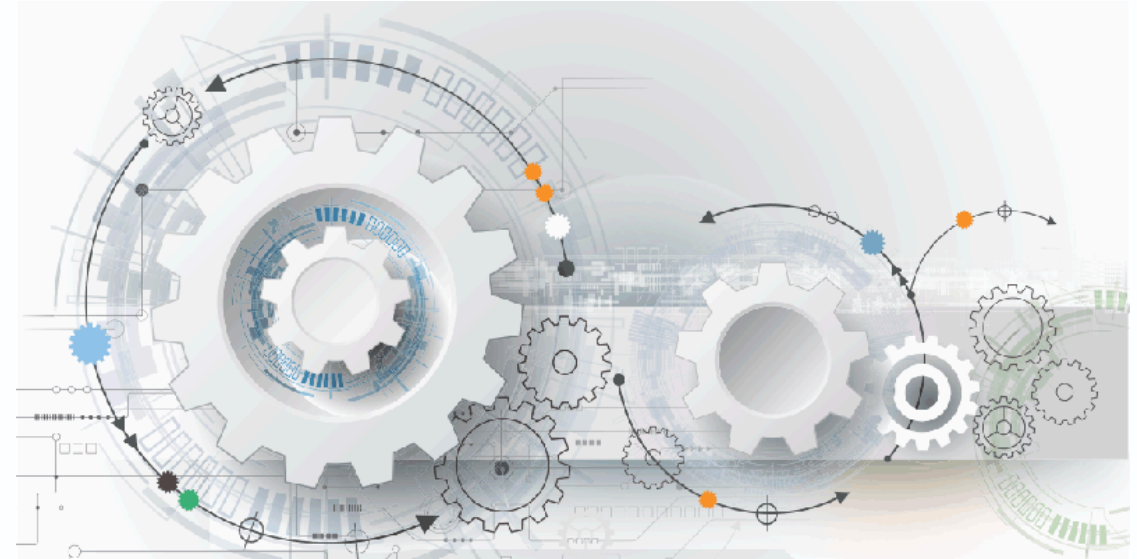
Our API gives you access to our three screening processes:

- ✓ “Sanction list screening”: screening of a natural or a legal person, against defined official sanction lists. Official sanction lists controlled by default are EU-CSFP, United Nations – Consolidated Sanctions list, OFAC, UK-HMT, SECO.
- ✓ “PEP List screening”: screening of a natural or a legal person, against the Smart Oversight database of politically exposed persons (PEP).
- ✓ “Web screening”: application identifies a natural or a legal person on the web and screens if these web pages are related to negative media or PEP topics using a specific Natural Language Processing algorithm.



Electronic document management

- ✓ **Define your own checklist of required document, with no limitation in the number of editable documents.**
- ✓ **Store and monitor your KYC documents, in a single easy system.**



SCREENINGS

PEOPLE & COMPANIES

OPEN ALERTS

☒

Natural

☐

Legal

First name

Last name

Person status

Active Client

Nationality

Luxembourg

CREATE AND SCREEN

SCREENING HISTORY

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Guillaume Vieira de Carvalho	2020/09/16	Succeed

HENRI KOX

DETAILS

SCREENINGS

DOCUMENTS

RISK SCORING

No template available. Please go to the Documents Settings menu to activate a template.

DOCUMENTS SETTINGS

Client Risk Scoring

- ✓ **Integrated risk scoring**, So Comply Enterprise gives you access to our flexible risk scoring system integrated in the solution.
- ✓ **The risk scoring process can be automated**, our scoring system can be connected to your client environment to score automatically your clients based on existing data.
- ✓ **Risk scoring mechanisms are customizable**, our solution can identify if your client is linked to a specific business sector like gambling or arms industry.



SCREENINGS

PEOPLE & COMPANIES

OPEN ALERTS

☒ Natural ☐ Legal

First name Last name

Person status Nationality

Active Client Luxembourg

CREATE AND SCREEN



SCREENING HISTORY

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HENRI KOX

DETAILS

SCREENINGS

DOCUMENTS

RISK SCORING

Checklist name:

Checklist Onboarding

ID Document



Proof of residence (Missing Document)



Document supplémentaire



ADD DOCUMENT +

- ✔ **Connected to your clients**, So Comply Enterprise can be directly connected to your CRM or your client database to automatize the screening process.
- ✔ **Connected to your people**, So Comply Enterprise, can communicate by mail or webhook technologies with your team to send results of screening or warning in case of critical information.
- ✔ **Connected to your IT system**, So Comply Enterprise can be easily integrated in your IT environment and to make it even more flexible, you can choose either the on-premise or dedicated SaaS version.





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