

29th Swiss Compliance Officers Meeting / SCOM

May 25, 2011

Seminarhotel Spirgarten, Zürich (www.spirgarten.ch)

17th SCOM Forum

with

AppwayTM



SACO

Swiss Association of Compliance Officers

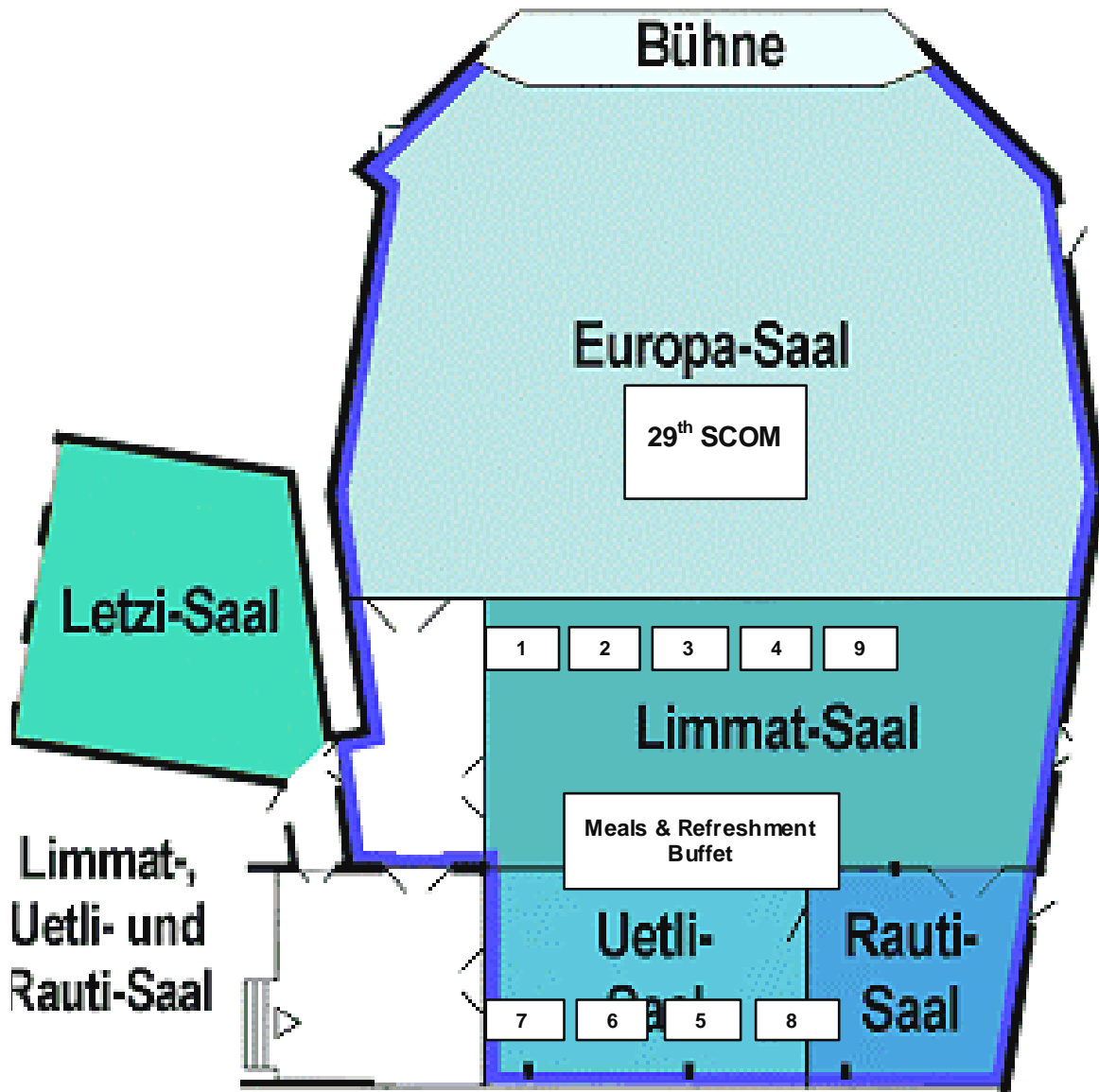
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Swiss Association of Compliance Officers

Exhibition Plan



Exhibitors

- | | |
|-------------------|-----------------------------|
| 1 Info4C | 6 Scalaris |
| 2 KYC Spider | 7 World-Check |
| 3 BBP | 8 Rolotec AG / SIX Telekurs |
| 4 Appway | 9 Informatique-MTF |
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SACO

Swiss Association of Compliance Officers

Exhibitor Portraits Provided by the Companies and their Contact Persons
(in alphabetical order)

Appway BPM for FSi Solutions | Numcom Software Stand 4 www.appway.com

Are you in need of established solutions which can be adapted and change in days rather than months? In the last few months we implemented at Swiss institutions our FINMA compliant **Internal Control System (ICS)** and Task Management system which Auditors mark as “the reference”. Implementation time for a 30 user Bank is around 3-5 weeks and costs therefore very cost efficient. As there is an underlying IT platform, which allows the customization of all compliance and approval processes, the solution can be easily enhanced.

Please visit us at “Stand 4” and we are happy to share our insight and customer references.

Internal Control System - Dashboard										
Category			Pending	Overdue	Failed	Passed	Overdue	Failed	Total	
Market Risks	Id	Market Risks								
●	COPY ID	Kassa zahlen	8	1	3	7	2	1	15	
●	STC-03	Scheduler Test Control #3	0	0	0	0	0	0	0	
●	STC-04	Scheduler Test Control #4	10	9	3	1	0	0	12	
●	COPY ID	Kassa zahlen	1	0	0	0	0	0	1	
●	COPY ID	Kassa zahlen	0	0	0	0	0	0	0	
●	asdf	asdf	2	0	1	1	0	0	3	
Liquidity Risks	Id	Liquidity Risks	Pending	Overdue	Failed	Passed	Overdue	Failed	Total	
●	My Control ID	My name	0	0	2	4	1	0	4	
●	My Control ID	My name	0	0	0	0	0	0	0	
●	My Control ID	My name	1	0	1	0	0	0	1	
●	My Control ID	My name	1	1	0	0	0	0	1	
Operational Risks	Id	Operational Risks	Pending	Overdue	Failed	Passed	Overdue	Failed	Total	
●	STC-01	Scheduler Test Control #1	1	1	0	1	0	0	2	
●	STC-02	Scheduler Test Control #2	1	1	0	0	0	0	1	
●	DK 333	Nächtlicher Kontrollgang	2	1	1	3	1	1	5	

Internal Control System (ICS) and Task Management Dashboard view

Additional reference solutions from the Appway BPM for FSi include:

- Client on-boarding process including forms management
- Client update, mutations and Account closing process
- Prospect management and Process Centric CRM
- Internal Control System
- Mortgage processing, Commercial loans and lombard lending
- Payments process
- Black List checks
- KYC, Annual Client Review including PEP Check

About Appway

Established in 2003, the Swiss company is based in Zurich with offices in Lugano and New York. Today, specialized BPM solutions are serving more than 70 institutions in Europe, Asia and the Americas to improve customer service, reach new markets and boost operational effectiveness.

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Swiss Association of Compliance Officers

Mit dem Compliance-Filter von BBP prüfen Sie zuverlässig Transaktions- und Kundendaten mit Listen Ihrer Wahl.

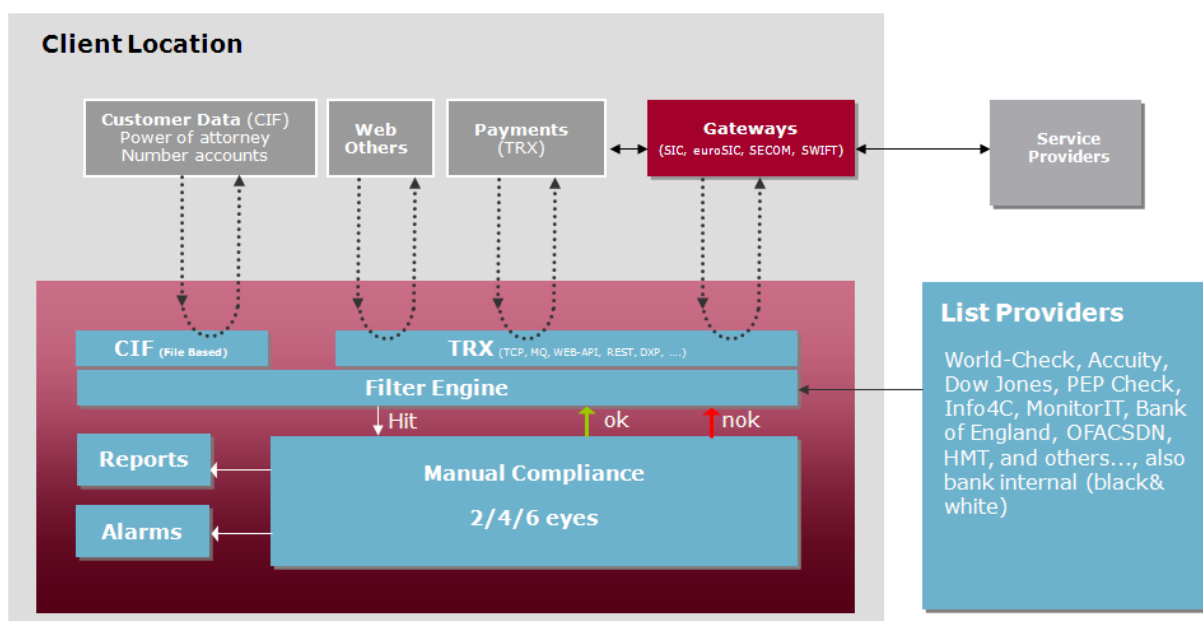
BBP mit Sitz in Baden entwickelt, implementiert und betreibt Interbank-Applikationen und Compliance-Lösungen. Die Produkte können sowohl in die Kundenumgebung integriert oder als Service (SaaS) über das führende ServiceBureau von BBP bezogen werden.

Der BBP Compliance-Filter unterstützt Sie bei der Umsetzung der Anforderungen von nationalen und internationalen Embargo- und Geldwäscherei-Gesetzgebungen. Bevor die Transaktionsdaten die Bank verlassen, werden sie mit bankexternen und internen Sanktionslisten verglichen. Unterstützt werden die Listen von OFAC (Office of Foreign Assets Control), World-Check, Info4C, PEP Check, KYC sowie von weiteren länderspezifischen Publikationslisten.

Es stehen zwei Module zur Verfügung

Das **TRX-Modul** stellt in Echtzeit sicher, dass keine sanktionierten Transaktionen die Bank verlassen oder das Bankensystem von aussen erreichen. Das TRX-Modul unterstützt die Prüfung der Formate von SWIFT, SIC / euroSIC, SECOM und XML.

Das **CIF-Modul** prüft Kundendaten und kennzeichnet mögliche Übereinstimmungen zu schwarzen Listen. Ein zusätzlicher Workflow erlaubt eine effiziente Verarbeitung von Verdachtsfällen.



Kontaktperson

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Swiss Association of Compliance Officers

Tailor-made information for compliance and risk management.

Fulfill regulatory requirements and reduce risks efficiently and rapidly.

PEP Desk™ (politically exposed persons)

Cost-efficient automatic screening for large numbers of names, audit-proof documentation.

Extensive Analysis Reports

Compliance reports for the identification of higher risk current and potential customers; **due diligence reports** for senior management recruitments and business partners

Watchlists and Blacklists

Compliance, legal and reputational support with **more than 700 lists** from more than 60 countries translated from multiple languages

Online Due Diligence Check

More than one million compliance relevant data on individuals, companies, and countries

Country Factsheets

- Company identification
- Doing business abroad
- Compliance country information

Country Compliance Risk Matrix and Index

Swiss Quality, Security, Discretion

Contact Person

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IMTF (Informatique-MTF SA), founded in 1987, is an international, privately owned software and application integration company with its headquarters based in Givisiez/Fribourg. IMTF develops, markets and implements professional software applications in the field of **Compliance** (AML), **Risk Management** (Fraud Detection and Prevention) and **Enterprise Content Management**.

Our **Compliance** and **Customer Due Diligence** solutions help to fully comply with intensified regulations and to deploy a truly risk based approach to customer risk management. Our solutions cover:

- AML Monitoring
- Sanctions Filtering
- Due Diligence / KYC / PEP

Our real-time, cross-channel **Fraud Prevention** solutions help to protect against operational and reputational risks and losses, which include:

- Remote Banking Fraud
- Card Fraud
- Employee Fraud
- Deposit Fraud
- Commercial Banking Fraud

Our real-time and batch **Trading Surveillance** solution provides global surveillance, supervision and Compliance Risk Management solutions to detect, prevent, and deter non-compliant activities for Brokerage firms and regulators, which include:

- Trading Compliance
- Market Monitoring
- Case Management

As a leading provider of Financial Crime and Compliance Software Solutions to the global Financial Services Industry, our solutions are deployed in more than 50 countries. Our financial crime and compliance solutions monitor millions of transactions each day for an expanding client base of more than 200 banks.

Contact Person

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The logo for SACO (Swiss Association of Compliance Officers) features the letters "SACO" in a bold, white, sans-serif font, centered within a dark red rectangular background.

Swiss Association of Compliance Officers

KYC Spider liefert perfekt strukturierte, Compliance-relevante Informationen aus öffentlich zugänglichen und kostenpflichtigen Datenbanken über:

- Personen, Personengruppen, Unternehmen, Organisationen auf Sanktionslisten
- PEP (direkte und indirekt, aktuelle und historische)
- Informationen über verbrecherische und/oder reputationsrelevante Ereignisse
- SHAB-Informationen usw.

Mit KYC Spider können die gesetzlichen Anforderungen über den Einsatz von Datenbanken (Sanktions- und PEP-Listen, Watchlists und Blacklists) zeitnah und kostengünstig erfüllt werden. Kundenbeziehungen können entweder durch Einzelabfragen (CHECK) oder durch das Einlesen von Kundendatenbanken (SCAN) überprüft werden. Daneben steht dem Compliance Officer mit INVESTIGATE ein Werkzeug für die Durchführung von zusätzlichen Abklärungen zur Verfügung. Zudem kann der Compliance Officer mit CUSTOMIZE eigene Regeln für Abklärungen in CHECK und SCAN definieren und einstellen. Diese Einstellungen und sämtliche Änderungen sind dokumentier- und nachvollziehbar und somit vollständig revisionsfähig.

Mit KYC Spider haben Sie Zugang zu einem umfassenden Repository mit detaillierten Informationen aus:

- ca. 200 Sanktionslisten (SECO/Bush, OFAC, EU, etc.)
- ca. 500'000 PEP
- ca. 500'000 Medienausschnitte mit compliance-relevanten Informationen
- ca. 4'000 Internet Quellen (Fahndungslisten, Regierungs-Websites, etc.)
- ca. 450 Medien weltweit

KYC Spider ist sicher, benutzerfreundlich und einfach integrierbar.

Kontaktpersonen

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Die Unternehmen Rolotec und SIX Telekurs gehören zu SIX Group, Diese Gruppe bietet Finanzmarktteilnehmern eine international führende Infrastruktur für den Wertschriftenhandel und die Wertschriftenabwicklung sowie für Finanzinformationen und den Zahlungsverkehr.

Das Bieler Softwareunternehmen Rolotec entwickelt individuell angepasste Lösungen, die von Datenschnittstellen bis zu kundenspezifischen Systemen für das Zusammenspiel von Daten, Prozessen und Software reichen. Zu den Haupttätigkeitsfeldern zählen unter anderem Compliance & Risk Solutions.

SIX Telekurs ist eine führende Anbieterin im Bereich der Beschaffung, Veredelung und Verbreitung internationaler Finanzinformationen. Mit Geschäftsstellen in 23 Ländern verknüpft SIX Telekurs die Vorteile einer globalen Präsenz mit lokalem Know-how.

Mit PEP-Check bieten die beiden Unternehmen Rolotec und SIX Telekurs gemeinsam eine Compliance-Lösung im Rahmen des Geldwäschereigesetzes an. Die Applikation erlaubt Finanzinstituten, potenzielle und bestehende Kunden anhand von öffentlich zugänglichen Listen (PEP- und Finanz-Sanktionslisten) zu prüfen und damit Verstösse gegen die Gesetzgebung zu verhindern. Dabei sind Einzelabfragen im Rahmen von Kontoeröffnungen, ein periodischer Check des gesamten Kundenstamms und auch die Namensüberprüfung bei Transaktionen möglich.

Die Vorteile von PEP Check sind:

- Mit PEP-Check können nicht nur Neukunden, sondern der gesamte Kundenstamm und alle Transaktionen überprüft werden.
- Optimiertes Listen-Angebot:
 - offizielle Finanz-Sanktionslisten
 - PEP-Listen
 - Risiko-Listen
 - eigene Listen
- Minimale „false positive“-Treffer dank effizienten Filtermöglichkeiten.
- Minimierter Bearbeitungsaufwand durch intelligente Whitelist-Funktion.
- Integrierte Recherchemöglichkeiten.
- Revisionstauglich und gesetzeskonform.
- Sicher und vertrauensvoll:
 - Kundendaten bleiben im Hause.
 - SIX Telekurs bürgt für einen sicheren Betrieb.
 - Compliance-Spezialist Info4 sichert die Qualität der Listen.
- Anonymes Recherchieren im Internet als Option verfügbar.
- Einfache Installation und Bedienung.
- Mandantenfähig.
- Vollständig in bestehende Systeme integrierbar.
- Bewährt bei über 50 Kunden im In- und Ausland.

PEP Check bietet für jedes Unternehmen die richtige Lösung:

- Online-Lösung für Einzelabfragen
- Einzelplatz-Version für Einzel- und Kundenstammprüfungen
- Mehrplatz-Version für Einzel-, Kundenstamm- und Transaktionsprüfungen



Back

Search input: **Adhoc Search**

Input: Shaweesh, Yasser Abu

Filtered: shaweesh yasser abu

Perform additional search on [rulers.org](#) or [LexisNexis](#)

Results: 3

[Expand all](#) / [Collapse all](#)

Category 1 - Exact match in fullname	Found in: Public: OFAC SDN	Sanction
Yasser Abu,SHAWEESH		100%
Category 1 - Exact match in fullname	Found in: Public: SECO	Sanction
YASSER,MOHAMED ISMAIL ABU SHAWEESH		100%
ID: 10121001430 ListID: LISTNAME:Seco List Taliban Part C;LISTTYPE:Seco List;AUTHORITY:State Secretariat for Economic Affairs, Switzerland;DATE_PUBL:07.04.2011		
Alias: Yasser Mohamed Abou Shaweesh		
Place of Birth: Benghazi, Libya Arab Jamahiriya		
Date of Birth: 20.11.1973		
Passport: Egyptian travel document 939254; Egyptian passport 0003213; Egyptian passport 981358; Passport substitute C00071659 issued by the Federal Republic of Germany		
Address: Germany		
Fullrecord: ID:10121001430;FULLNAME:YASSER,MOHAMED ISMAIL ABU SHAWEESH;ALIAS:Yasser Mohamed Abou Shaweesh;DOB:20.11.1973;POB:Benghazi, Libya Arab Jamahiriya;ADDRESS:Germany;PASSPORT_NO:Egyptian travel document 939254; Egyptian passport 0003213; Egyptian passport 981358; Passport substitute C00071659 issued by the Federal Republic of Germany;ADD INFO:Listed on: 6 Dec. 2005 (amended on 7 Sep. 2007, 11 Mar. 2010, 28 Sep. 2010); Other information: On 6 Dec. 2007 he was found guilty of supporting a foreign terrorist organization and of multiple counts of fraud and attempted fraud. He received a prison sentence of 5 years and 6 months. The judgement has taken final and binding effect. His brother is Ismail Mohamed Ismail Abu Shaweesh (Q.I.A.224.06.). Review pursuant to Security Council resolution 1822 (2008) was concluded on 24 Nov. 2009.; Name (original script): http://www.sec.o.admin.ch/themen/00513/00620/00622/00623/index.html?lang=de ;TYPE:I		
Category 1 - Exact match in fullname	Found in: Public: Bush	Sanction
Yasser Abu,SHAWEESH		100%

Kontaktperson

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Swiss Association of Compliance Officers

Sword FircoSoft, the leading global provider of **watch list filtering solution***, has over 15 years' experience of providing reliable **best-in-class watch list filtering solutions** which are all quick to deploy.

Today, financial institutions are required to comply with increasingly stringent national and international regulations on terrorist financing and embargoes. Sword FircoSoft's watch list filtering solution, **Firco Filtering Suite**, provides invaluable support to financial institutions by eliminating the risk of processing illegal transactions through real-time, on demand or retrospective transaction filtering. In addition, checks on third parties can be carried out during the all-important client on-board process in order to enhance financial institutions "know your Customer" procedures.

Firco Filtering Suite solution is multi-alphabet ready and can be interfaced in a straightforward manner with any system and operate on all major IT platforms. Over 400 customers in more than 70 countries (representing over 650 live sites worldwide) already benefit from Sword FircoSoft's watch list filtering solutions.

Governments and official bodies (like the United Nations, OFAC and SECO) issue lists of thousands of entries for which financial transactions must be blocked. This is a challenge which is made more difficult by the rapid growth and overnight changes of these lists. In response to a growing customer demands, Sword FircoSoft has developed **Firco List Service**, in partnership with major financial institutions to provide updated and tested and "ready to use" sanctions lists.

For more information about the advantages that Sword FircoSoft can offer, please visit www.sword-fircosoft.com.

* Ranked #1 watch list filtering solution by Celent since 2003

Contact Person

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About Sword FircoSoft

State-of-the-art watch list filtering and financial messages repair solutions

Commitment to performance

Since 1990, Sword FircoSoft products have consistently evolved providing improvements in performance and qualitative, quantitative results often ahead of market demands. Our experience with compliance filtering allows us to guarantee the lowest “false positive” rate in our marketplace.

Our solutions are simple and quick to deploy and can be easily interfaced to any system and operate on major platforms, preserving your existing investment. Our solutions are deployed in more than 700 sites worldwide from bank’s local branches to centralized hubs of worldwide financial organizations. Over 400 customers across 70 countries already benefit from our best-in-class watch list filtering solutions.

Sword FircoSoft Products

The financial marketplace is changing fast, generating new challenges. To remain competitive in this environment, organizations have to adapt their systems and applications to evolving trends and regulations. Sword FircoSoft provides high-quality solutions to help financial institutions reach their objectives.

- **Firco Filtering Suite**

Sword FircoSoft’s solution to facilitate compliance with national and international regulations by eliminating the risk of processing illegal transactions and detecting high-risk financial customers and counterparties.

- **Firco STP Factory**

Sword FircoSoft’s solution to improve the automated processing of bank-to-bank transactions rate, by transforming, fixing and completing rejected payment and securities messages.

- **Firco Preferred Routing**

Sword FircoSoft’s solution for correspondent banking offers an innovative approach to payment routing, providing financial institutions more flexibility to address compliance and regulatory requirements and offers good return on investment by increasing straight through processing rates, enhancing customer services and producing relevant reporting.

CELENT

Ranked #1 Watch list
Filtering solution since 2003
by Celent Communications

Aite

Qualified as “Best-of-
breed filtering solution”
by AITE Group in 2007



Ready Application

Alliance Screening Add-on 2011

Sword FircoSoft has
been awarded the
SWIFT Alliance Add-on
Label since 2001



Sword FircoSoft Services

To fully benefit from our solutions, Sword FircoSoft offers a range of value-added services. Our services offerings include:

- **Professional services**

We provide expertise for installation, integration assistance, tuning...

- **Firco List Service**

Governments and official bodies (like the United Nations) issue lists of thousands of entries for which financial transactions must be blocked. This is a challenge which is made more difficult by the rapid growth and overnight changes of these lists. To meet growing customer demands, Sword FircoSoft has developed Firco List Service to provide updated and tested sanction lists.

- **Training**

Our high-quality training courses, given by professional trainers, will assist you in getting the full potential of Sword FircoSoft solutions rapidly.

Sword FircoSoft Partners

Sword FircoSoft has developed fruitful partnerships as a means of providing local expertise on its products everywhere in the world.

We provide our partners with high-quality training, sales and technical support, access to our expertise and more. Our technological partners trusted Sword FircoSoft and our best-of-breed solutions, enabling our products to be integrated in more than 20 different payment systems.



Sword FircoSoft

Filtering Since 1994

Contact us today for more information about the advantages that Sword FircoSoft can offer your organisation!

Visit our website: www.sword-fircoSoft.com or call us:

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Complicated compliance rules?

World-Check has the solution.

Trusted by more than 4,500 institutions in over 160 countries, including 49 of the world's top 50 banks, World-Check risk intelligence helps organisations understand who they are really doing business with.

Global risk intelligence – the industry standard

It's easy to understand why compliance professionals and risk management teams in the world's top organisations choose World-Check.

With more than 350 research analysts based in 12 research centres across 5 continents, speaking more than 60 local languages, we deliver the widest coverage available. We monitor over 300 sanction lists and hundreds of thousands of information sources 24 hours a day, often identifying high-risk entities months or years before they are listed. In 2010 alone we had identified over 200 entities before they appeared on the US Government's OFAC list.

We deliver targeted intelligence through our specialist research units, including sanctions, Politically Exposed Persons (PEPs), organised crime and terrorism. Risk is monitored on a round-the-clock basis with over 15 000 profiles added monthly.

Our highly structured risk intelligence is applicable to multiple industries including insurance, legal, high-tech, manufacturing, defence, aviation, real estate, consultancy, oil, gas, mining, energy and accounting.

With a combined 750,000 working hours of research a year, World-Check gives you the most relevant intelligence.

Serious about risk?

World-Check Screening - the most comprehensive and widely adopted source of structured intelligence on Politically Exposed Persons (PEPs), heightened risk individuals and organisations.

Country-Check – a unique tool for fast, objective ranking of geopolitical risk. It quantifies risk attached to customers and transactions based on country of origin.

IntegraScreen Reports – cost effective with a rapid turnaround, our due diligence reports are compiled by locally-based researchers across five continents. They are structured, comprehensive, consistent and easy to review.

Iran sanctions solution

The Iran Economic Interest (IEI) solution has two components: 1) IEI Database - contains tens of thousands of records of entities believed to have significant and relevant relationships with Iran 2) IEI IntegraScreen Report - custom due diligence reports specifically targeting Iran exposure.

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