

October 2019

RISK & COMPLIANCE BRIEFING

Anti-Money Laundering, Sanctions Compliance, Due Diligence

DOW JONES RISK & COMPLIANCE

- Over 19 years supplying Risk & Compliance data to Financial Institutions, Corporate and Governments.
- High growth business leveraging Dow Jones strengths
 - Access to open source information and research tools
 - Global footprint and infrastructure
 - Editorial standards and research methodologies
- Strategic area for Dow Jones and NewsCorp

GLOBAL RESEARCH EXPERTISE

- Five dedicated Dow Jones research and monitoring centers (Princeton, London, Barcelona, Singapore, Shanghai).
- Multilingual research team (over 70 languages), covering 30 risk categories
- Team combines human intelligence with sophisticated data discovery, entity extraction, machine learning
- Exclusive access to our proprietary risk and news



Research that goes beyond the internet



- Quality:
 - Stringent processes are in place to ensure the highest possible quality of our sanctions data
 - → Sanction data and quality processes reviewed by "Big 4" and accredited to international standards
 - First list provider to pass ISAE 3000 review
 - First list provider to pass accuracy and completeness testing

Key differentiators:

- One unique profile consolidates all details for each entity or individual.
- Profiles enriched with a higher level of 2nd level identifiers key for clearing false positives faster.
- ✓ Better structured and more flexibility to make screening more efficient.
- ✓ No broken links, no paywalls. Our news links go to our own news database.



Risk data categories

Global Sanc Official Lists		Politically Ex Persons	kposed	Relatives & Associates	Close	Sanctions Research	Ownership
	Adverse Me	dia Entities	Special Inter Persons	est	State-Owned Companies	ł	

Sanctions Ownership Research

Companies owned or controlled by people or entities sanctioned by the U.S. Office of Foreign Assets Control (OFAC) or the European Union:

- Minimum ownership stake of 10%
- A sanctioned individual has a possible controlling interest





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Companies owned or controlled by people or entities sanctioned by the U.S. Office of Foreign Assets Control (OFAC) or the European Union:

- Minimum ownership stake of 10%
- A sanctioned individual has a possible controlling interest
- Companies owned/controlled by comprehensively sanctioned regions (Iran, North Korea, Syria, Cuba, Crimea)





20,000+ entities in 172 countries



April 6th Russian OFAC Sanctions - SOR In Real-Time



SOR Entities Behind OFAC/EU Sanctioned Subjects



Close to 1,000 of these entities have been added last 6 months

So far 450+ SOR were later sanctioned with an average time of 650 days



Direct Targets

- **OFAC Related Majority Owned** (OFAC subject owns 50%-100%)
- OFAC Related Minority Owned (OFAC subject owns 10%-49.99%)
- OFAC Related Ownership Unknown (OFAC subject owns an unknown stake or holds a position of control)
- **Formerly OFAC Related** (no longer owned by OFAC subject/sanctions removed/ceased to exist)
- **EU Related Majority Owned** (EU subject owns 50%-100%)
- EU Related Minority Owned (EU subject owns 10%-49.99%)
- **EU Related Ownership Unknown** (EU subject owns an unknown stake or holds a position of control)
- Formerly EU Related (no longer owned by EU subject/sanctions removed/ceased to exist)

Research Methodology

- Daily monitoring of additions and modifications to the OFAC and EU Sanctions Lists.
- Research conducted in local languages by native speakers, e.g. Russian, Ukrainian, Farsi, Arabic, Korean, Spanish and more.
- Business registers, official gazettes, government web pages, corporate reports, corporate websites and reputable media publications.
- Ongoing regular review.
- Even subjects who have no holdings must be researched to prove the lack of ownership.



الاي هاي قانوني | فروشگاه محسولات | فوانين و مقررات | اشتراک محسولات | ورود کاربران | فيت نام

دمامي حقوق لين يوردال براي روزنامه رسمى كقور محفوظ است.

لارس، ديران د ضلع جدوبي پاراد، شهر دخيابان بيشت د جنب، شوراي استامي شهر ديران إحلمن گورد ، 25602059

Схема взаимосвязей акционеров АО «СОГАЗ» и лиц, под контролем либо значительным влиянием которых находится АО «СОГАЗ»



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Close Associates/Related Entities

		Name	Туре	Relation
E S	OR B SOC	Arab Petroleum Investments Corporation	Entity	Shareholder/Owner
⊞ s	AN B SOC	Libyan Foreign Investment Company	Entity	Shareholder/Owner
(()) S	AN 🗄 SOC 🗄 AI	Libyan Investment Authority	Entity	Shareholder/Owner

DOW JONES WATCHLIST



DOW JONES

Close Associates/Related Entities								
		Name	Туре	Relation				
	B SOR B SOC	Arab Petroleum Investments Corporation	Entity	Shareholder/Owner				
	E SAN E SOC	Libyan Foreign Investment Company	Entity	Shareholder/Owner				
	SAN B SOC B AM	Libyan Investment Authority	Entity	Shareholder/Owner				
• • •	W INNES WATCHLIST							
Profile Note:	5			Source Language: English	Translate (Beta)			
	DOW JONES NOTES:							
1	PROFILE CREATED: 05-Jul-20	017						
1	UPDATE ADDED: 18-Nov-20	17						
- · ·	UPDATE ADDED: 10-Jul-201	8						
	05-Jul-2017							
		s reportedly owned by Arab Petroleum Investments Corporation	which is 15% owned by OFAC EO13566 sanctioned Lib	wan Foreign Investment Company, a fully owned subsidiar	ov of OFAC EO13566 and EU			
	sanctioned Libyan Investme		n, which is 15% owned by of No 2010500 salledolled 210	yan roreign investment company, a rany owned subsidiar	y of of He 2010500 and 20			
	PROFILE UPDATED: 18-Nov-							
		owned by Arab Petroleum Investments Corporation, which is 1			013566 and EU sanctioned			
1	Libyan Investment Authority	y. In addition, the OFAC comprehensively sanctioned Governme	ent of Svria holds undisclosed shareholding in this comp	pany via Arab Petroleum Investments Corporation.				
	PROFILE UPDATED: 10-Jul-2	018						
	This company is 35% owned by Arab Petroleum Investments Corporation, which is 15% owned by OFAC EO13566 sanctioned Libyan Foreign Investment Company, a fully owned subsidiary of OFAC EO13566 and EU sanctioned Libyan							
	Investment Authority. In addition, the OFAC comprehensively sanctioned Government of Syria holds 1.05% in this company via Arab Petroleum Investments Corporation.							
Sources								
Sources								
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http://akhbar-alkhaleej.com/news/article/1016012 http://www.albayan.ae/economy/capital-markets/2016-04-20-1.2621750								
	http://www.apigan.ae/contempractures.stake-in-oil-services-company-ashtead-technology							
	http://www.apicorp-arabia.com/files/AR-2016/APICORP_Annual_Report_2016_English.pdf							
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	opencorporates.com/compa		ADMART COMPARING POINT CM (configuration of 12					
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