RISKS
INTERNATIONAL

# COMPLIANCE
# AML Screening

Screen any person or company against the lists the law requires you to check — and keep the evidence.

# What it is, and what it solves

## Screen any person or company against the lists the law requires you to check — and keep the evidence.

The obligation is not «having access to lists»: it is being able to prove, two years later and to whoever asks, that the counterparty was screened before onboarding, on what date and with what result. Most sanctioned companies were screening; what they lacked was the evidence.

COMPLIANCE cross-checks binding sources and those that define real exposure — OFAC, European Union, public-procurement disqualifications, background records and politically exposed person status — and leaves a downloadable certificate for every query.

# What's included

**01** Binding and mandatory lists: UN Security Council Resolutions, OFAC (SDN and consolidated), European Union and other international sanctions sources.

**02** Politically exposed persons, with the scope required by Colombian Decree 830 of 2021: spouses, relatives to the second degree and close associates.

**03** Colombian public sources: tax, disciplinary and judicial records, disqualification from public contracting, and commercial and social-security registries.

**04** Match handling: each result states the source, the cut-off date and the similarity score, so an analyst can clear a false positive without opening ten more tabs.

**05** Batch screening: up to 15,000 queries per file.

**06** Per-user audit trail: who screened what, and when.

**07** Report history retained for up to ten (10) years.

**08** Web Service / API, with a dedicated API user.

# How it works

STEP 1

### The counterparty is identified

A person or company is submitted, individually or in a Batch file.

STEP 2

### Sources are cross-checked

Binding lists, OFAC, European Union, PEP with its statutory scope, and Colombian public sources.

STEP 3

### The match is resolved

Each result carries source, cut-off date and similarity score, to clear the false positive or escalate it.

STEP 4

### The evidence remains

The screening certificate is downloaded and the history is retained for audits.

# What your organisation gains

### 01 The evidence, not just the search

Every check produces a certificate with date, time, user, sources cross-checked and result. That is what you show a statutory auditor or a regulator.

### 02 False positives cleared in minutes

Each match arrives with its source, cut-off date and similarity score, so a name coincidence does not halt commercial operations.

### 03 PEP screening with the scope the rule demands

Spouses, relatives to the second degree and close associates, as Decree 830 of 2021 requires: screening the individual alone is not enough.

### 04 Fifteen thousand counterparties in one file

Batch screening lets you review an entire third-party base at once, instead of one by one.

### 05 Audit your own process, not only the third party

The per-user trail lets you prove that due diligence was performed, by whom and when.

# What you receive

- Screening certificate per counterparty, with date, sources and result.
- Complete query history, exportable.
- Match report with its analysis and decision.
- Users and profiles configured by department.

# Service level agreements

| INDICATOR | COMMITMENT | HOW IT IS MEASURED |
|---|---|---|
| **Report retention** | Up to ten (10) years. | Subject to the service's retention and security policies. |
| **Batch screening capacity** | Up to 15,000 queries per Batch file. | Per-file limit on the platform. |
| **Support availability** | PENDING VALIDATION | — |
| **Platform availability** | PENDING VALIDATION | — |

**PENDING VALIDATION**

Fields marked «pending validation» are not an oversight in this document: they are commitments the firm has not yet put in writing. They are published in plain sight rather than filled in with a plausible figure, because an invented service level agreement binds just as much as an agreed one.

# Purpose and conditions

Services are provided for the sole purpose of preventing, monitoring and controlling money laundering, terrorist financing, proliferation financing, transnational bribery and corruption. Any other use is grounds for immediate termination without refund.

This document describes the scope of the service. Commercial and contractual terms are set out in the quotation, which carries its own legal provisions.

Personal data is processed under Colombian Law 1581 of 2012. Data protection channel: habeasdata@risksint.com

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# Request your quote at risksint.org/precios/compliance

MORE INFORMATION

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