

# ProScan - financial sanctions monitoring

## Non-compliance is not an option

Increasingly, banks are under pressure from governmental bodies to implement means of preventing their products and services from being used in the funding of terrorist and criminal activity.

EU and US financial sanctions regulations demand that customer records and financial transactions are checked against officially published lists of terrorist and criminal suspects. Violating cases must be reported promptly to the financial authorities.

Whilst the legal framework has been in place for a number of years, the practical implications for banks have been less clear, particularly in Europe, with the result that many banks have only a partial solution in place and still others have no solution in place at all.

The number and level of fines issued in recent months for non-compliance with the regulations, and the publicity they have generated has sharpened the focus; it has become clear that the risks of non-compliance, particularly in terms of loss of reputation, are high indeed.

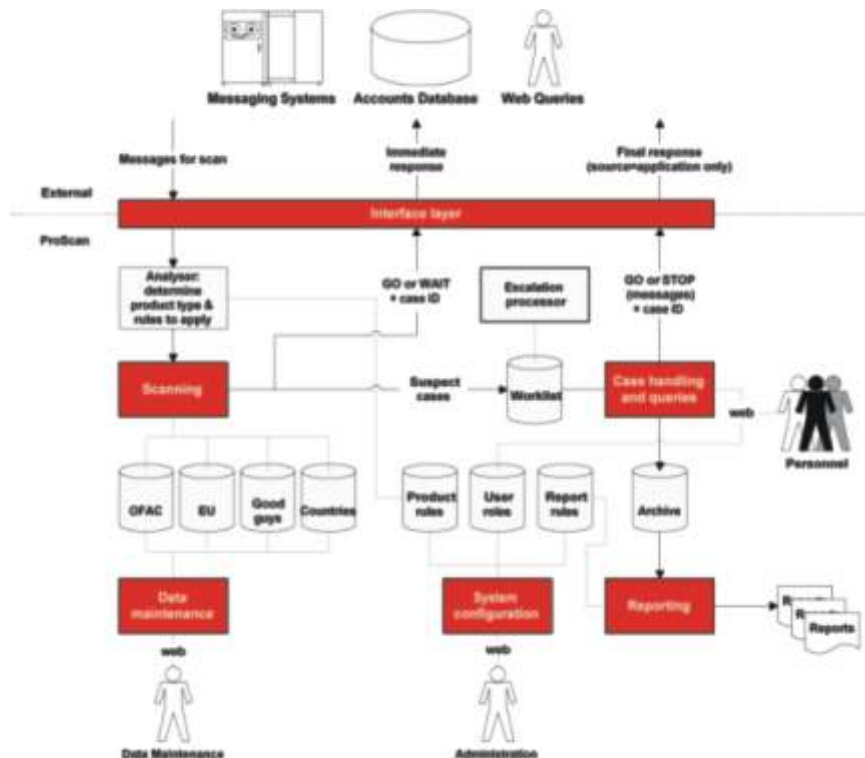
With ProScan, TietoEnator offers a complete solution, which through the use of innovative technology will reduce these risks to the absolute minimum.

## Full compliance

ProScan offers a complete solution, which is fully tailored by the bank's own business specialists, to the bank's specific service offering.

The main functional areas of ProScan are as follows:

- Automatic scanning of the customer database and financial transactions.
- Web query interface enabling ad-hoc checking of names and addresses from anywhere within the bank
- User-definable rules covering scanning, workflow and escalation procedures.
- User-friendly screens all web-based allowing efficient processing and documentation of suspicious cases.
- Complete data-maintenance features allowing import and edit of various lists, including: EU list, OFAC, UK list, country lists, and user-defined lists.
- Full audit of user actions and case history
- Extensive reporting features
- Export of data in XML format for data-warehousing and archiving purposes



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## Minimal disruption of business processing

ProScan achieves full compliance with a minimum of false positives. The built-in workflow facilitates the proper handling of suspect transactions. And ProScan handles high traffic peaks to meet cut-off times for the different types of transactions.

## Secure and powerful integration

One of the important advantages of ProScan is a broad range of integration options. A complete integration solution is offered in conjunction with ProSwitch TietoEnator's host-based message switching application comprising features such as security, recovery, monitoring, archiving and querying.

## Global operations

ProScan acts as a central service for enterprise-wide compliance monitoring - eliminating the need for patchwork on numerous systems within the bank.

## Powerful and robust

ProScan is functionally rich and is designed for uninterrupted operation. Parameter administration is performed in real-time.

## Efficient user interaction

ProScan provides the operators with the necessary information to make informed decisions related to suspicious cases.

Operators have access to the original item scanned and the item matched from the block-lists; they can also input case notes to record their investigations before taking action to stop or release the transaction.

Work screens allow supervisors an overview of the outstanding cases and allow escalation, reassignment and follow-up on cases.

**Worklist Messages**

User: MHT Bank: HAND  
Department: CUBS

**Overview**

Messages	34
Queries	2
Customers	151

Id	I/O	Pri	Message ref.	Value date	Our bank id	Corr bank id	Curr	Amount	Stage	User	
<input type="checkbox"/>	051013AA00	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	JHO
<input type="checkbox"/>	051013AA01	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	
<input type="checkbox"/>	051013AA02	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	GEI
<input type="checkbox"/>	051013AA03	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	
<input type="checkbox"/>	051013AA36	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	
<input type="checkbox"/>	051013AA37	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	
<input type="checkbox"/>	051013AA38	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	
<input type="checkbox"/>	051013AA39	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESMMZ2XXX	EUR	15000	REVIEW1	JED
<input type="checkbox"/>	051013AA41	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	
<input type="checkbox"/>	051013AA43	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESMMZ2XXX	EUR	15000	REVIEW1	
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<input type="checkbox"/>	051013AA47	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESMMZ2XXX	EUR	15000	REVIEW1	
<input type="checkbox"/>	051013AA48	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESMMZ2XXX	EUR	15000	REVIEW1	
<input type="checkbox"/>	051013AA49	I	1	TEST0	2005-01-30	HANDGB2LXXX	CRESCHZ2XXX	EUR	15000	REVIEW1	MSI

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