



BUREAU VAN DIJK

A Moody's Analytics Company

Detection through Global Data

| Maqbool Lalljee
| Tax Risk Specialist

| Fabian Mazza
| Global Head of Government

Welcome to the business of certainty

Bureau van Dijk, A Moody's Analytics Company



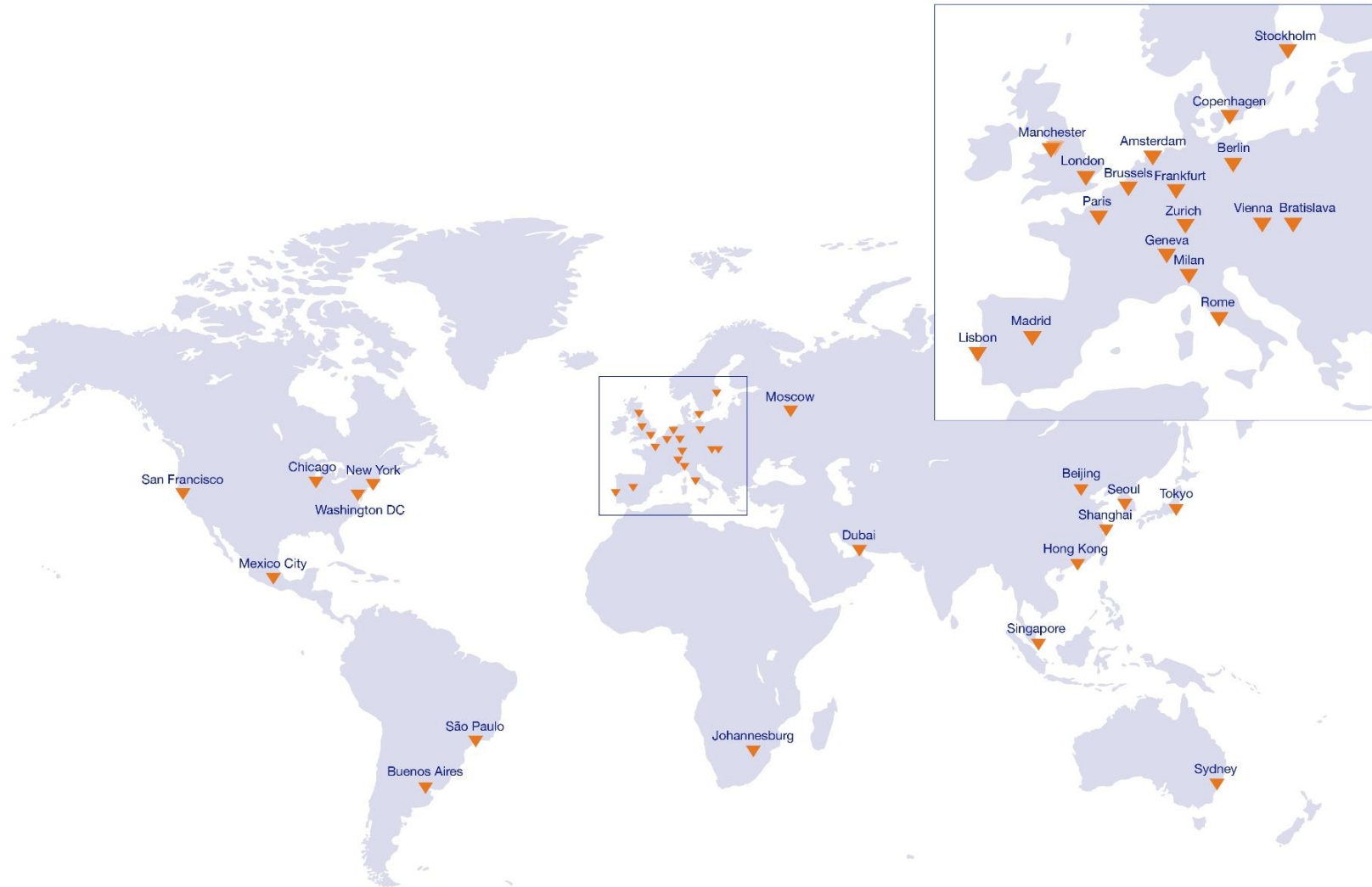
BUREAU VAN DIJK

A Moody's Analytics Company

- Moody's Analytics acquired Bureau van Dijk in August 2017.
- This union means we can create the best products available on the market.
- With considerable investments in data collection and delivery, we are able to offer very detailed and accessible solutions.



A global presence



We capture a wide variety of information

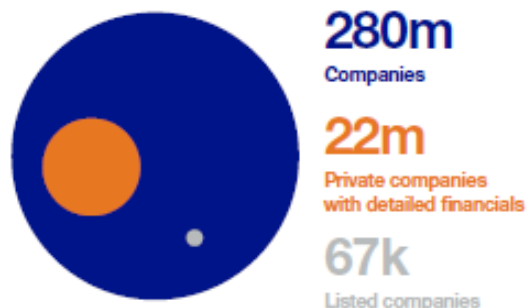
We capture data from regulatory and other sources

News	Industry research	M&A deals	PIEs	Industry codes	Directors and contacts	Royalty agreements	Marine vessels	Corporate actions
Company overviews	Original documents	LEI numbers	PEPs and sanctions	Agency ratings	Intellectual property	Patents	Stock data and earning estimates	
		Public tenders	Company financials	AML documents	Financial strength data	ESG Risk info		



The resource for private company data

Companies



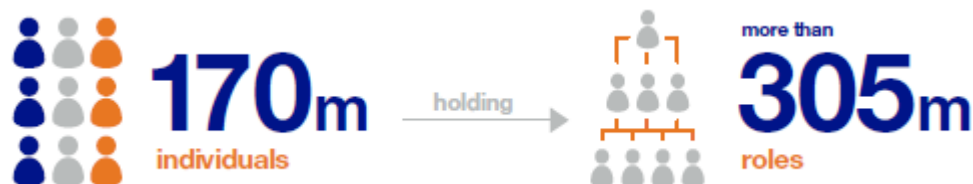
Specialist financial formats:



Corporate structures



People



Rapidity of change of corporate ownership



Historic ownership links



companies that had ownership
changes last month

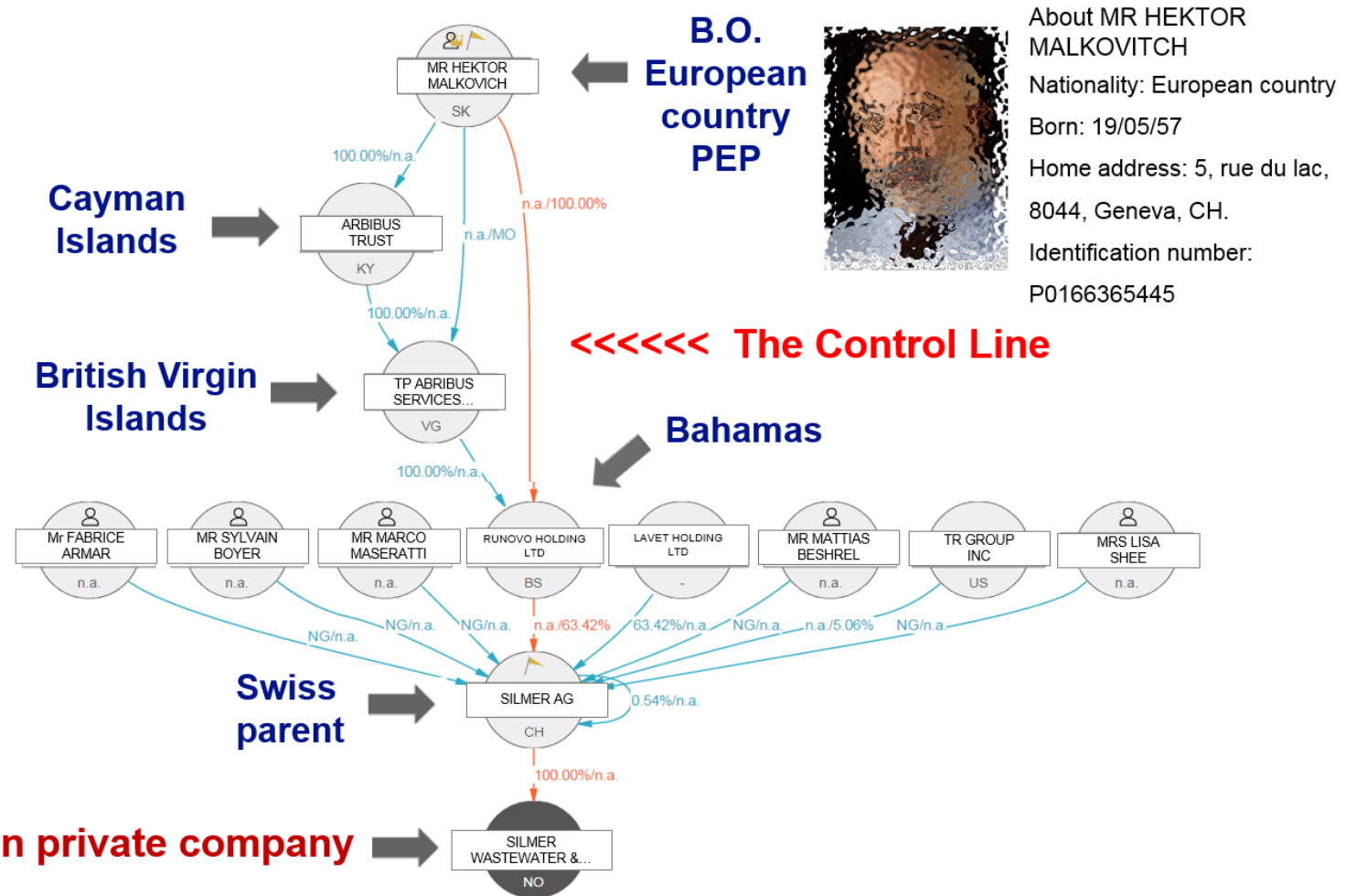
That's equal to more than 200,000 per day,
8,800 changes per hour or over **2 changes per second!***

**Statistics taken from Bureau van Dijk's Orbis database Jul 2017*





Opacity of ownership structure



Source: Orbis, published by Bureau van Dijk



Solution for your role and organization



Corporate credit
risk



Compliance and
financial crime



Tax and transfer
pricing



Business
development
and strategy



Corporate
finance and
M&A



Data
management



Supplier risk
and
procurement



Corporate



Financial



Professional
services and the
Big 4



Government and
not for profit

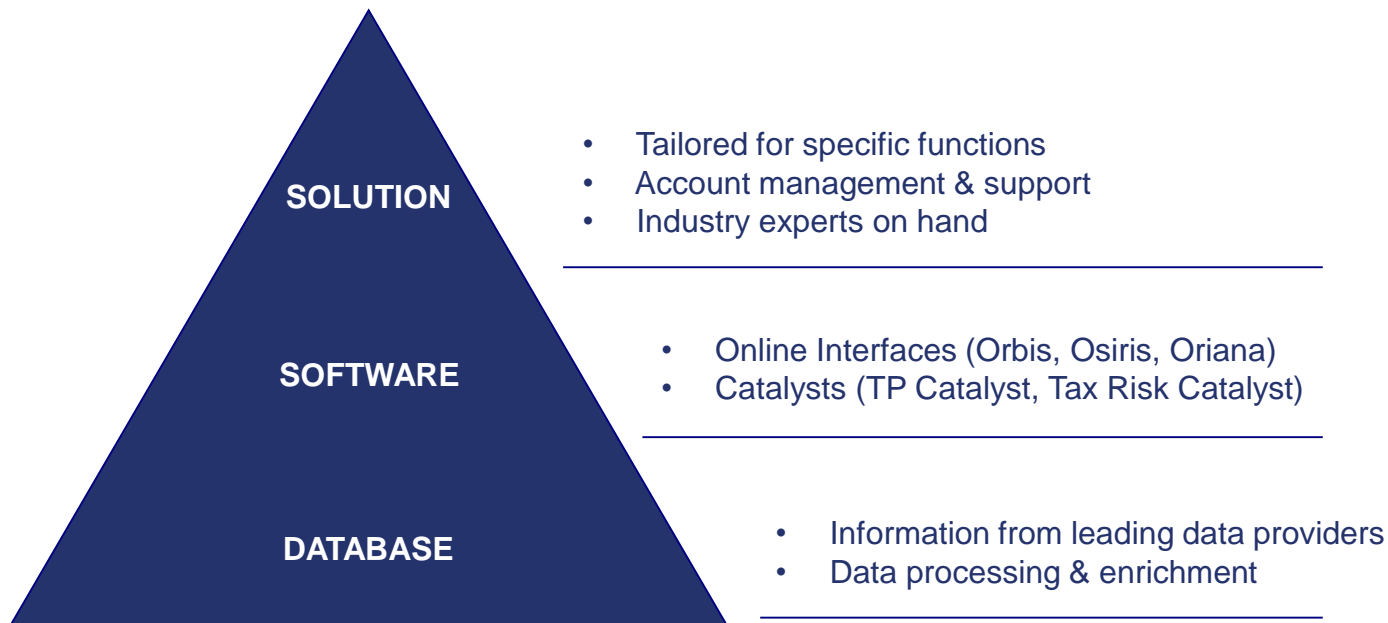


Academic



Our solutions

Bureau van Dijk offers data solutions by combining comprehensive data with software applications to facilitate sophisticated search and analysis.



Interface and Tools for deployment

Addition of user interface and data visualization tools

Standardizing
financials
and ratios

Appending and
linking corporate
structures

Adding
bespoke
research

Applying data verification,
cleansing and quality control

Create
unique
identifiers

Identifying
beneficial
owners

Linking data
sources

Linking
directors and
contacts

Integrating
M&A deals
and rumours

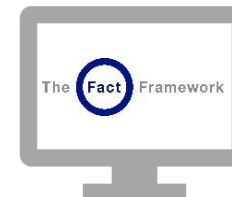
Output



Data



Catalyst



Custom



Automated workflow process for AEO schemes

Description

Compliance Catalyst help our customers use the 'compliance critical' information in our products more efficiently. Compliance Catalyst cleverly combines data from Orbis with PEPs and sanctions data from World Compliance. It's the only place where you'll find PEP and sanction intelligence integrated with comprehensive corporate ownership structures. Companies' managers and directors are also screened against these PEP and sanction lists.

Compliance Catalyst allows you to review a corporate group as a whole - you don't need to research each part of the group separately. It also automates checks and captures proof a company's listed status, creates customised risk scores and offers secure and detailed reporting.

Why is it useful?

- Automates the risk assessment process for customs agency (especially important for Customs where there is a relatively smaller team and a larger volume of cases).
- This software tool will automate the process and increase efficiency
- Audit trail – important because government need to be accountable for decisions
- Customisable to Customs' agencies risk appetite
- Integrated PEPs and Sanctions data
- Software tool much easier to use than just Orbis (better User Interface for the team)
- Easy to generate a workflow report - this report could be given to manager in a nice format





Global Data

For better Security
and Compliance

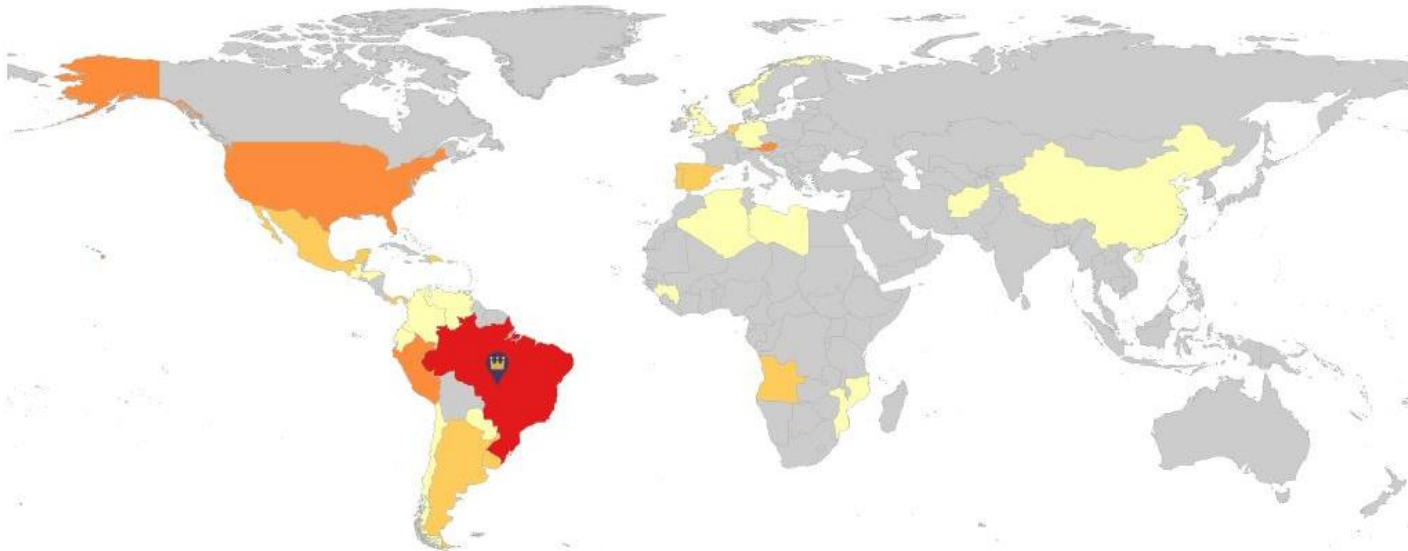
Global Data: for better Security and Compliance

- Financial Solvency assurance
- Reputational, Environment & Governance Risks
- Regulatory Compliance Risks around Corporates & Individual
- Ownership of businesses across borders
- Tools for deployment



Case Study: Depicting Security and Compliance Risks

A South American Global Business - Global Footprint



The map represents the geographical location of the companies in the corporate group
308/310 companies in the corporate group are represented (for 2 the country is unknown)

Legend

Number of entities by country

- More than 23
- From 7 to 23
- From 3 to 7
- Less than 3

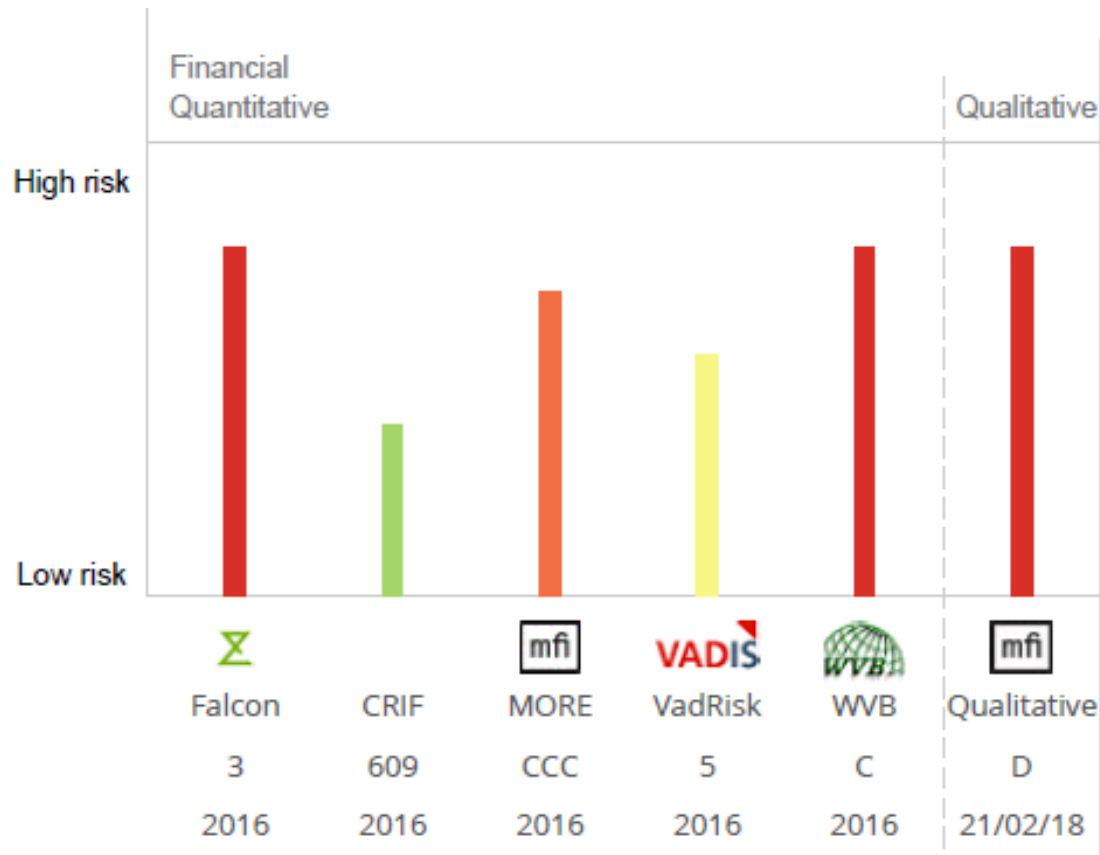


Country of both the company and the GUO



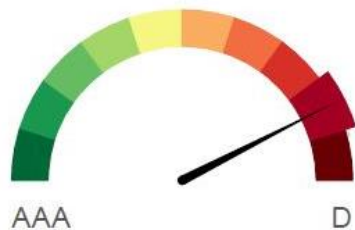
Case study continued: Financial, reputational and regulatory assurance risks

Financial strength summary



Case study continued: Financial, reputational and regulatory assurance risks

RepRisk indicators



C - High
on 20/02/2018

Current index (20/02/2018):	22
Peak index (19/04/2017):	65
Repartition of risk:	0% environmental 0% social 100% governance
Key issues:	Corruption, bribery, extortion and money laundering Violation of national legislation Fraud
Key countries:	Brazil United States of America Switzerland
Industry:	Chemicals



Case study continued:

Regulatory compliance risks around corporates

World Compliance report

..... S.A. (.....)

Primary Name n.a.

Aliases S.A.

Gender n.a.

Category SOE

Sub Category Govt Linked Corp

Level Not Applicable

Data source BR- Ministério Público Federal

Primary Country BR

Position Fined USD 632,600,000 for corruption - January 26, 2017.

National ID n.a.

Other ID

Passport # n.a.

Last Updated 19/01/2018

Additional Information

According to the www.reuters.com; January 26, 2017: On January 26, 2017, companySA, was sentenced to **pay USD 632,600,000** in criminal fine in connection with a corruption case



Case study continued: Regulatory compliance risks around linked individuals to corporates

WorldCompliance report

..... (.....)

PrimaryName n.a.

Gender M

Category Enforcement

Sub Category Environmental Crimes

Level Not Applicable

Data source BR- Ministério Público Federal

Date(s) of birth

Place of birth

Primary Country BR

Case Accused of environmental crimes.

National ID

Other ID n.a.

Passport # n.a.

Last Updated 24/10/2017

Additional Information

According to Ministério Público Federal. On2017, the Federal Public Ministry (MPF) requested to restart the process of the environmental crime



Complex ownership, made simple

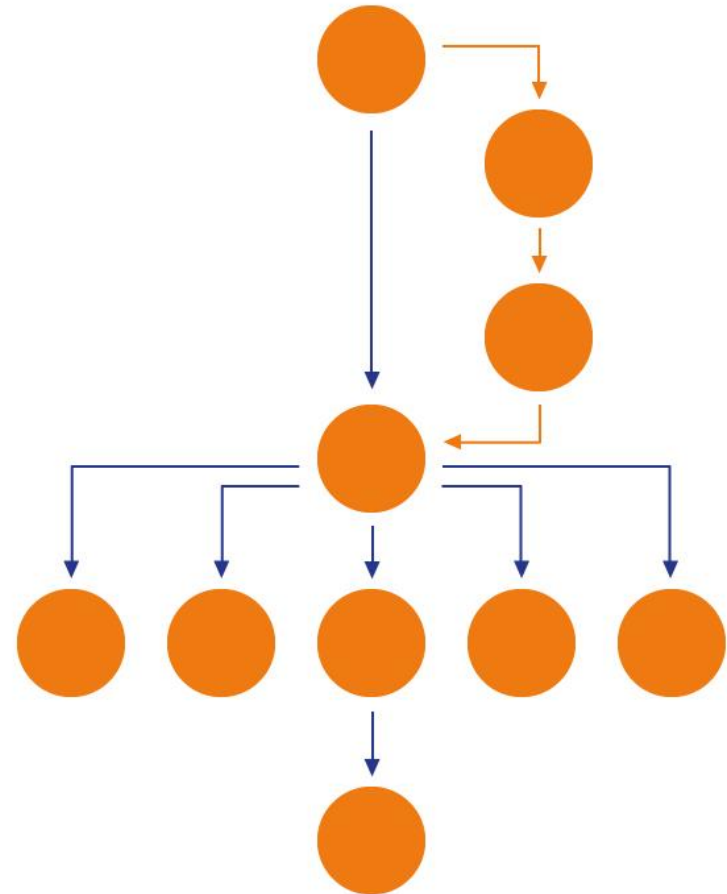
Ownership Explorer, our ownership visualization tool, shows you extensive ownership structures within a corporate family.

We are masters of corporate ownership, and the way we treat our ownership data reflects this.

- 7,000 updates an hour
- 456 million ownership links since 2012
- 43 million beneficial owners identified
- 5 million edits, every month

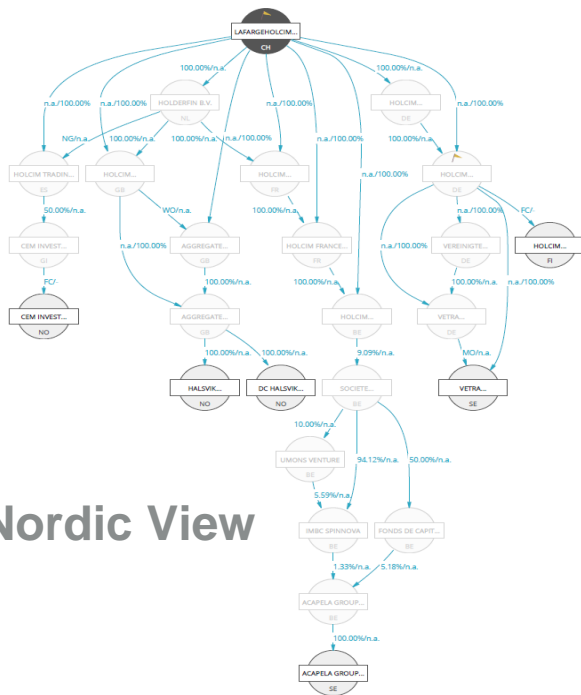
The added detail Ownership Explorer gives means you can be more efficient and make better informed business decisions about the companies you work with.

- ✓ Highlight both domestic and international ownership
- ✓ Combine direct and indirect ownership
- ✓ Find out who, and where, the beneficial owners are
- ✓ See sanctioned companies and the businesses they have shares in
- ✓ Customise the structures to highlight key information
- ✓ Change the definition of ownership according to percentage levels
- ✓ Upload your customers and third party companies

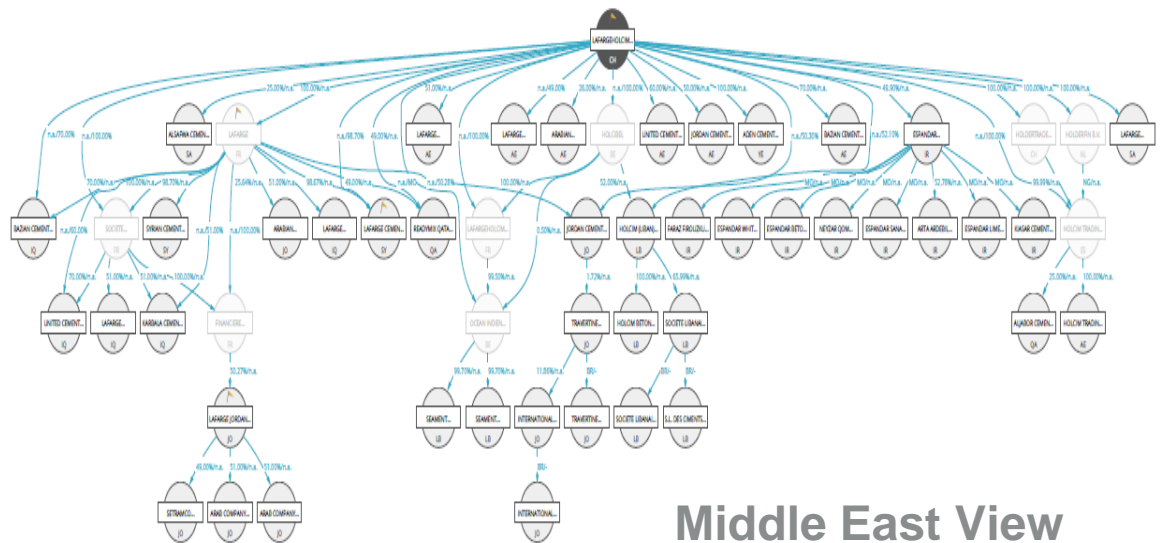


A Swiss corporate group with over 1,000 Companies

Dissected view across Middle East & Nordic subsidiaries



Nordic View

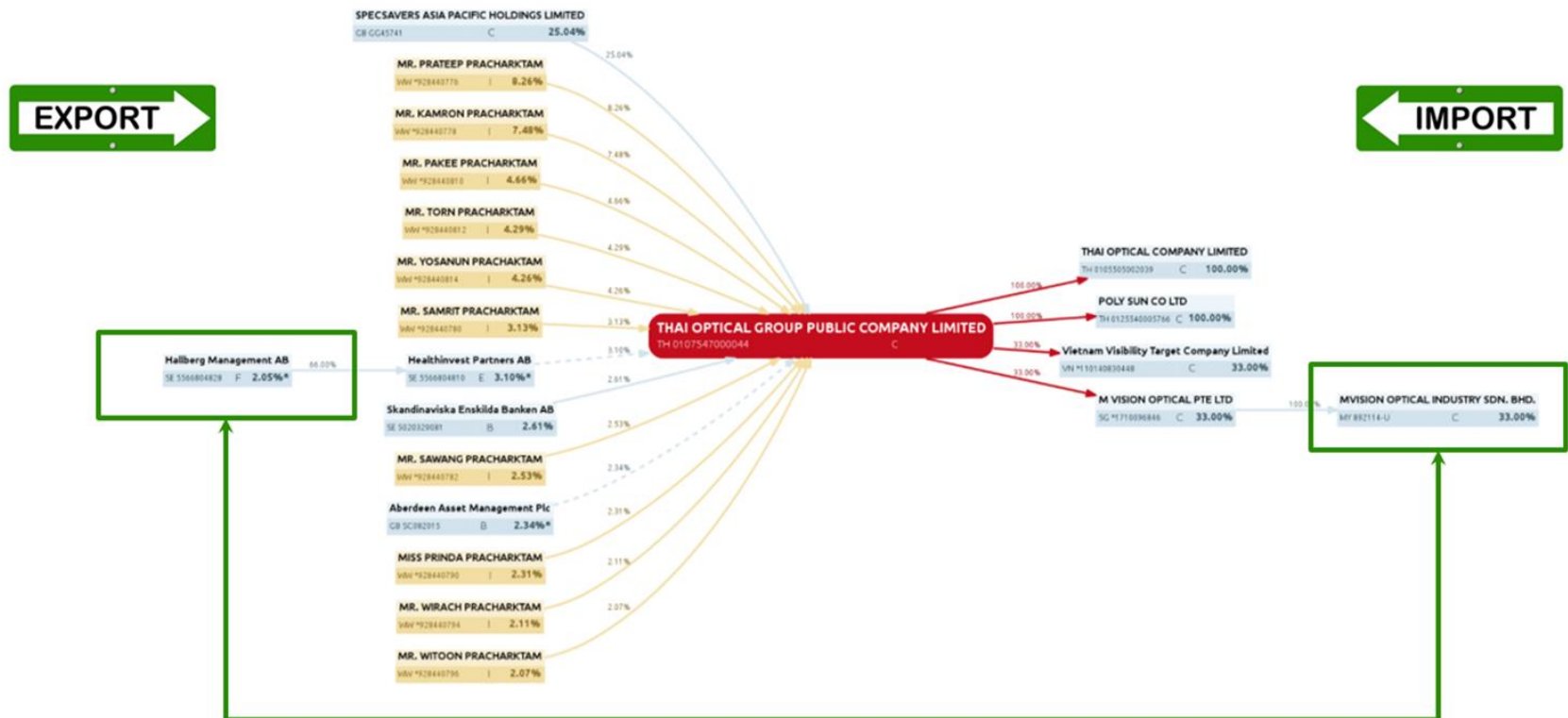


Middle East View



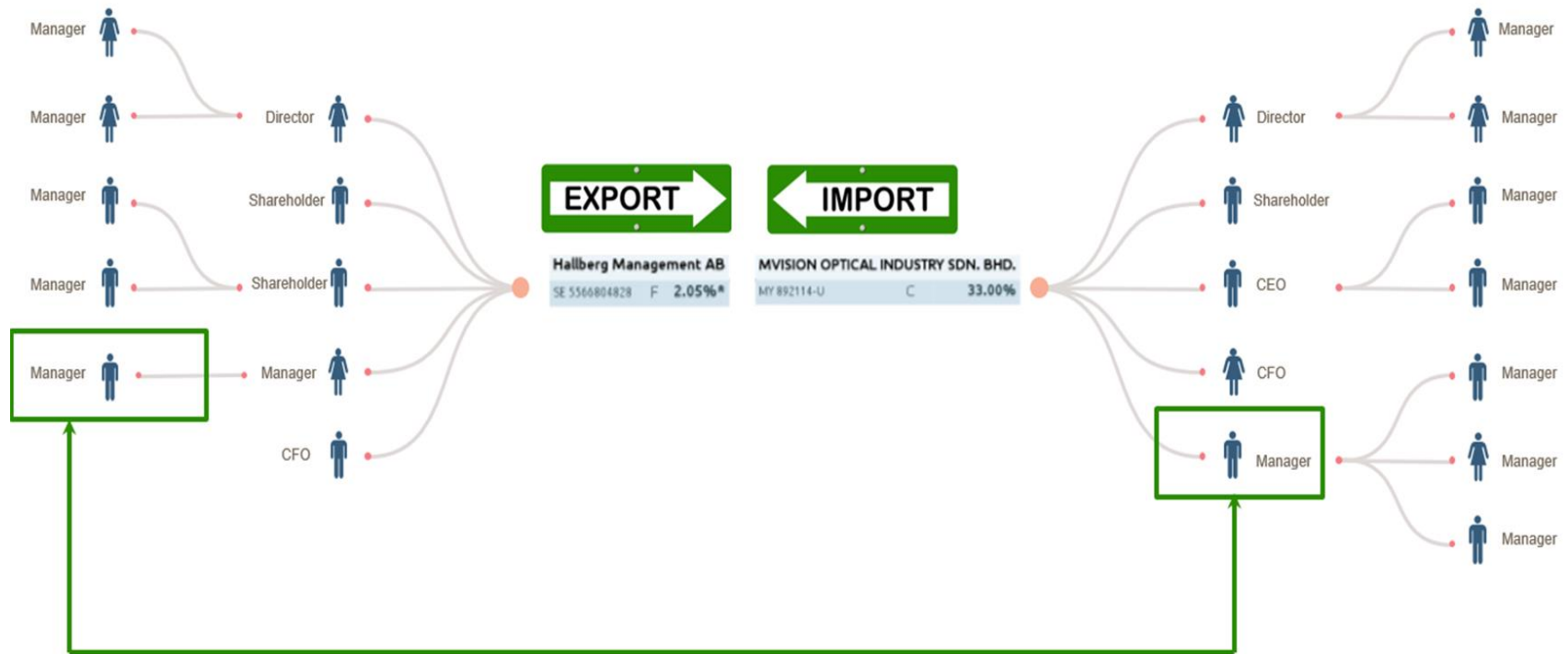
Business screening through wider ownership links – connected companies

Identifying company links through ownership



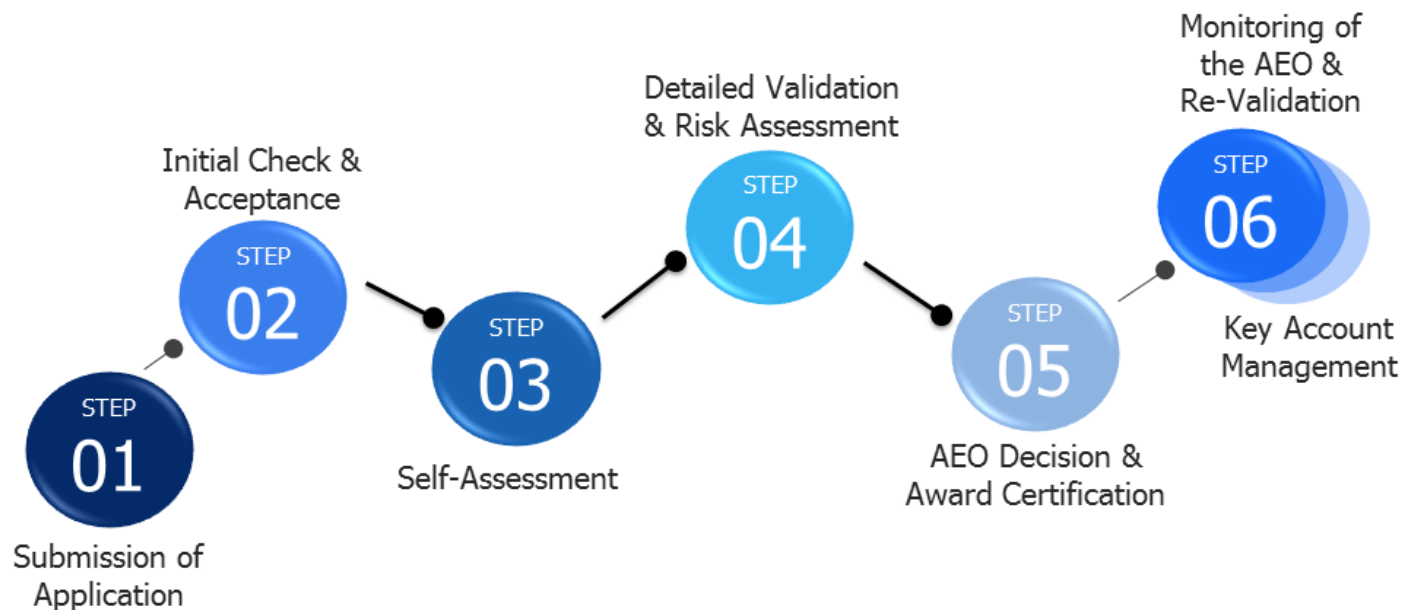
Business screening through wider Ownership links – connected persons

Identifying company links through individuals



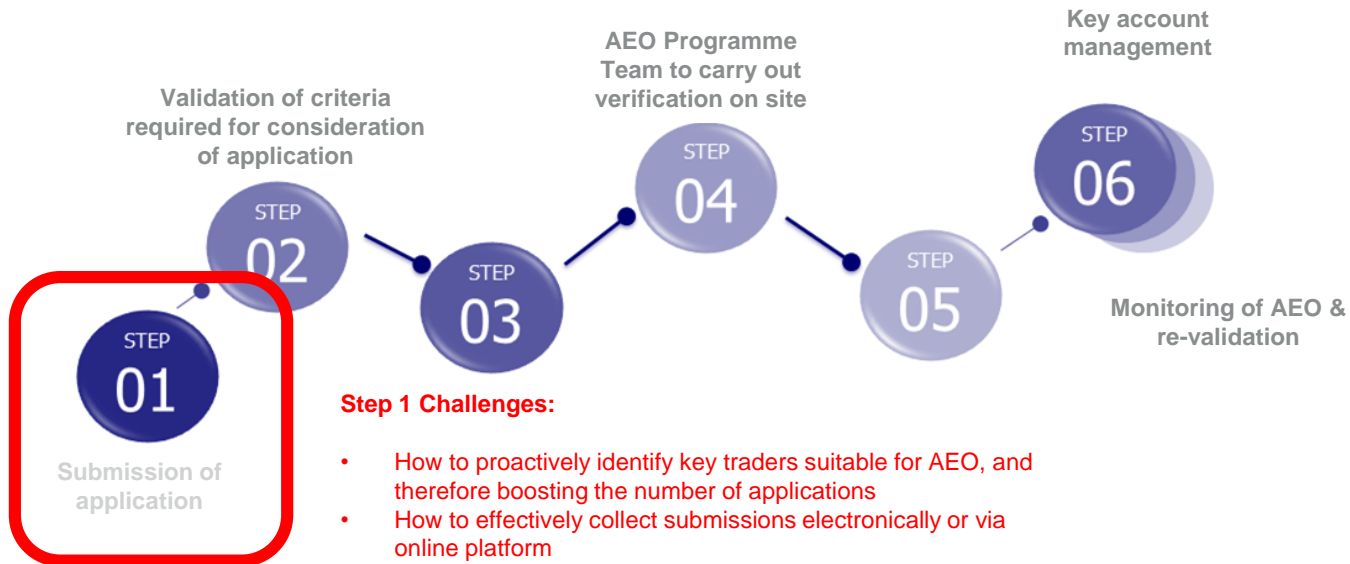
Case study: Australian Trusted Trader / Authorised Economic Operator (AEO)

While each AEO program will vary from country to country, the basic underlying process will follow a similar process:



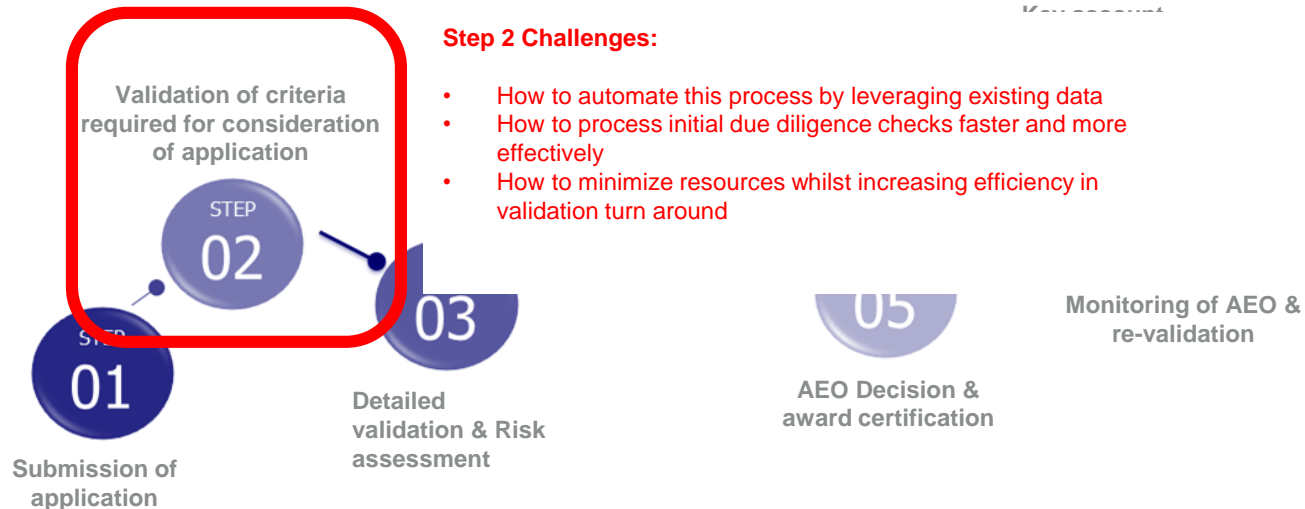
Challenges with existing process

We have outlined below some issues and challenges arising from the existing process:



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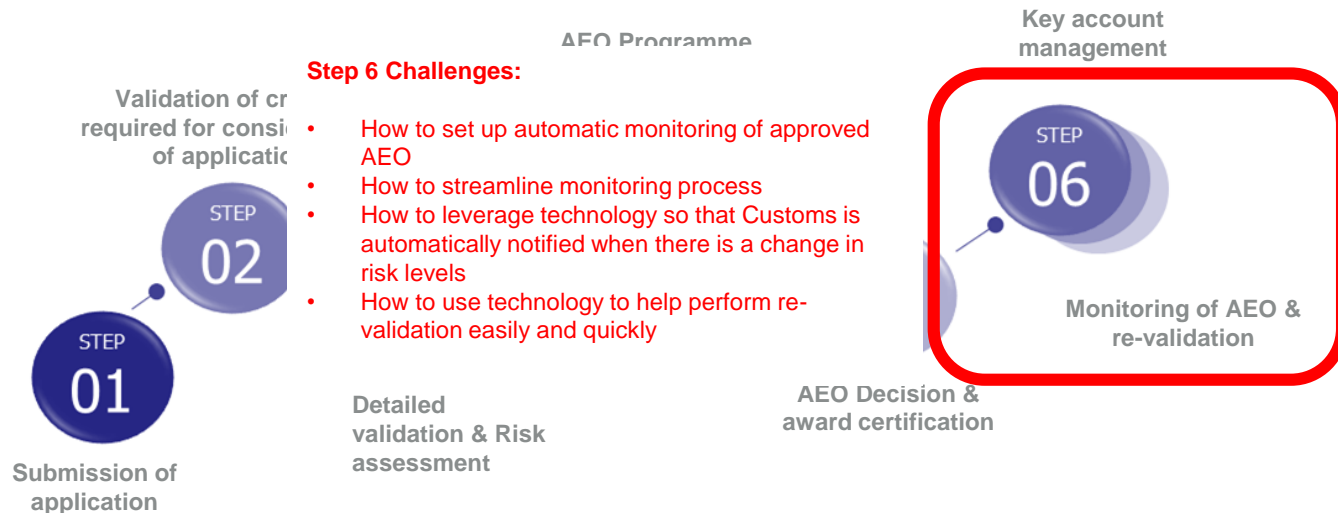
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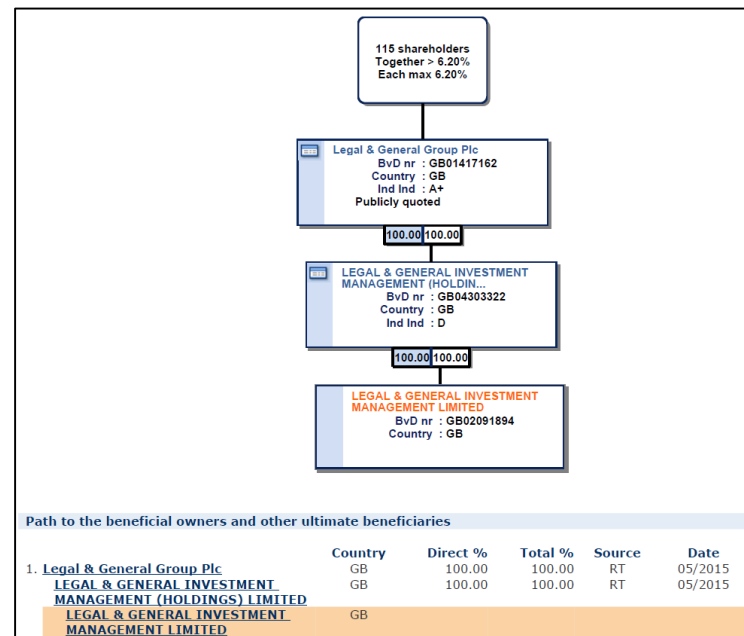


Onboarding – Data

THIRD PARTY DUE DILIGENCE	
(Requestor to complete parts A and B)	
PART A	
1. THIRD PARTY INFORMATION	
Company Name	HAMBERGS GOURMETSERVICE AB
BvD ID number	SE5568394869
Full address	NEDRE SLOTTSGATAN 6 753 09 UPPSALA
Invoice company name (if different)	
Invoice company address (if different)	
Contact	
Name	
Telephone	
Email	
Fax	
2. TYPE OF RELATIONSHIP	
Category	
Trading	Sales: Distributor
Agent	Intermediary
	Sales: Customer
	Supplier: Services
	J/V
	Supplier: Goods
	Acquisition
	Divestment
3. CLASSIFICATION	
Describe the nature of the relationship (e.g. consultancy / stationery)	
Frequency of Work	
Company code	
Time frame Start: End:	
Do you have a valid signed contract with this vendor?	
4. REQUESTOR & BUSINESS UNIT DETAILS	
Form completed by (name)	
Product group	
Business Unit name	
New vendor requested by (name) (if different to person completing this form)	
Position / Title (of person above)	
Date vendor requested	
5. APPROVAL	
General Manager level or above (Band A-E)	
Approving manager name	
Date approved	

- Client/C&P – eQuestionnaire
- PEPs and sanctions
- Ownership and directors
- Negative news
- Other sources

Identification numbers		
Identifier		Type
BvD ID number	IEECBFND-C27411	
BvD9 number	163121371	
National Central Bank number	IEFND-C27411	Company ID number
LEI	FG8C291GAQ1OVLTVCG50	Company ID number
Legal Entity Identifier (LEI) details		
LEI (Legal Entity Identifier)	FG8C291GAQ1OVLTVCG50	
Status	Issued	
First assignment date	06/06/2012	
Annual renewal date	20/10/2016	
Managing Local Operating Unit	GMEI - DTCC/SWIFT Global Markets Entity Identifier utility (USA)	



Onboarding – Risk assessment

Outcome

Rating: **High** Score: **100** Evaluation by: Deci
Status: **In progress** Modification by: Deci

[Add a summary](#)

Comments: [Add a comment/attachment\(s\)](#) [Refresh automatically attached file\(s\)](#)
Orbis company report for MEDIASET S.P.A. (IT09032310154)

Processes

Process	Rating	Score	Process details
Legal Status	Low	0	Legal Status : Active National Legal Form : Joint stock company - SPA Date of Incorporation : 12/31/1978 Type of Entity : Industrial company Trade Register Number : MI1284109
Client type	Low	0	Subject listed, unrecognised. Regulation unknown.
Beneficial owners	Low	0	No BO identified.
Directors	Low	45	11 Directors are potential PEPs. 3 managers/staff members are potential PEPs.
Controlling shareholders	Low	45	1 CSH is a potential PEP.
Corporate group risk	Low	50	No specific risk element detected.
PEPs and Sanctions	Medium	50	Subject source list(s): Medium
Relationship	High	100	Intermediary
Activity	High	100	High Risk activities identified
News	Medium	50	56 potential negative news.

Data points are rated against the clients risk metrics:

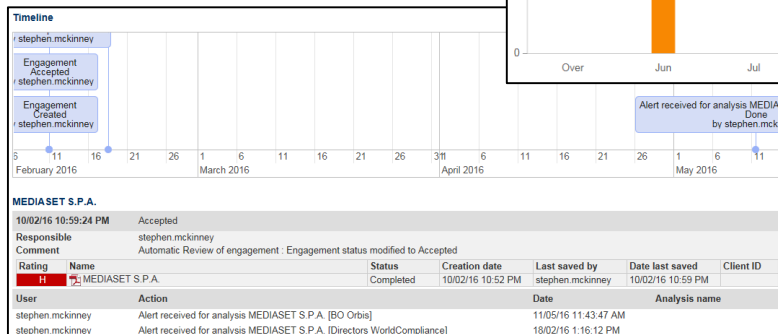
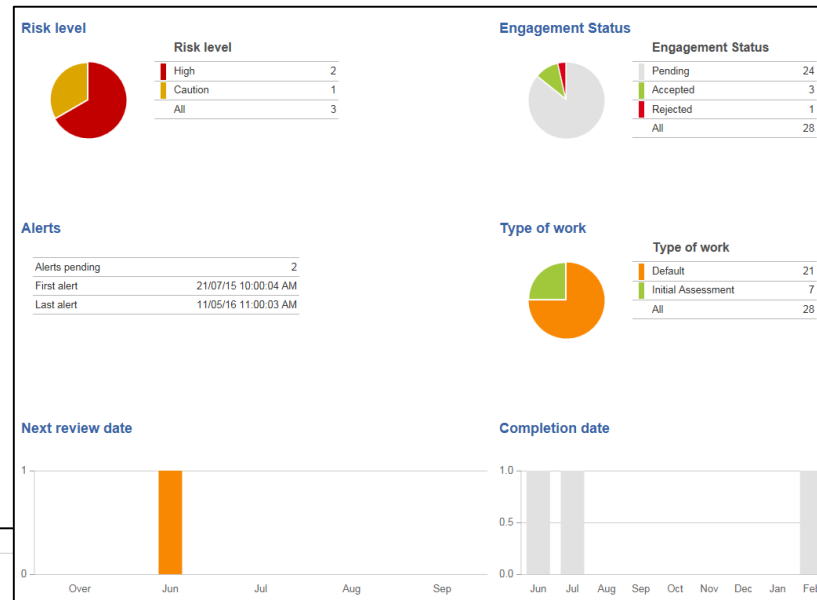
- E.g. Country/Location
- E.g. Directors – PEPs & sanctions
- E.g. Corporate group risk – OFAC
- E.g. Input Form – Relationship/Activity
- Beneficial ownership
- E.g. Blacklist or conflict check
- Negative news / Adverse media
- E.g. PEP and sanctions
- E.g. 3rd party data

Overall score triggers appropriate workflow & approval



Documentation and reporting

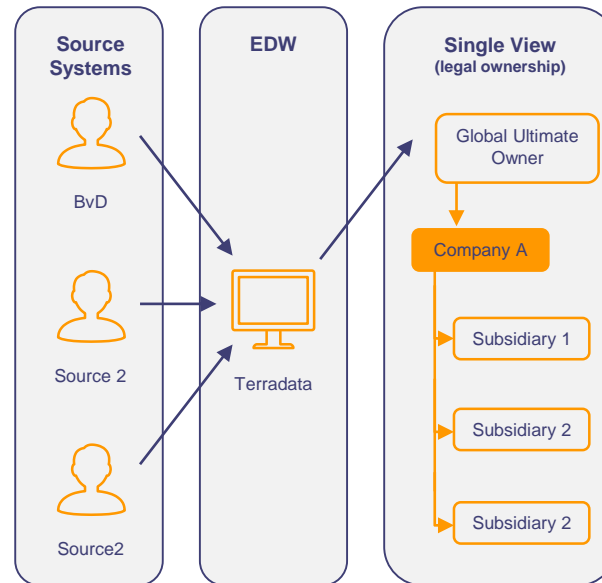
- Widget-based dashboards
- Complete report extraction
- Full audit trail
- User permissions and hierarchies
- Back end analytics



Case study: Enterprise wide data warehouse

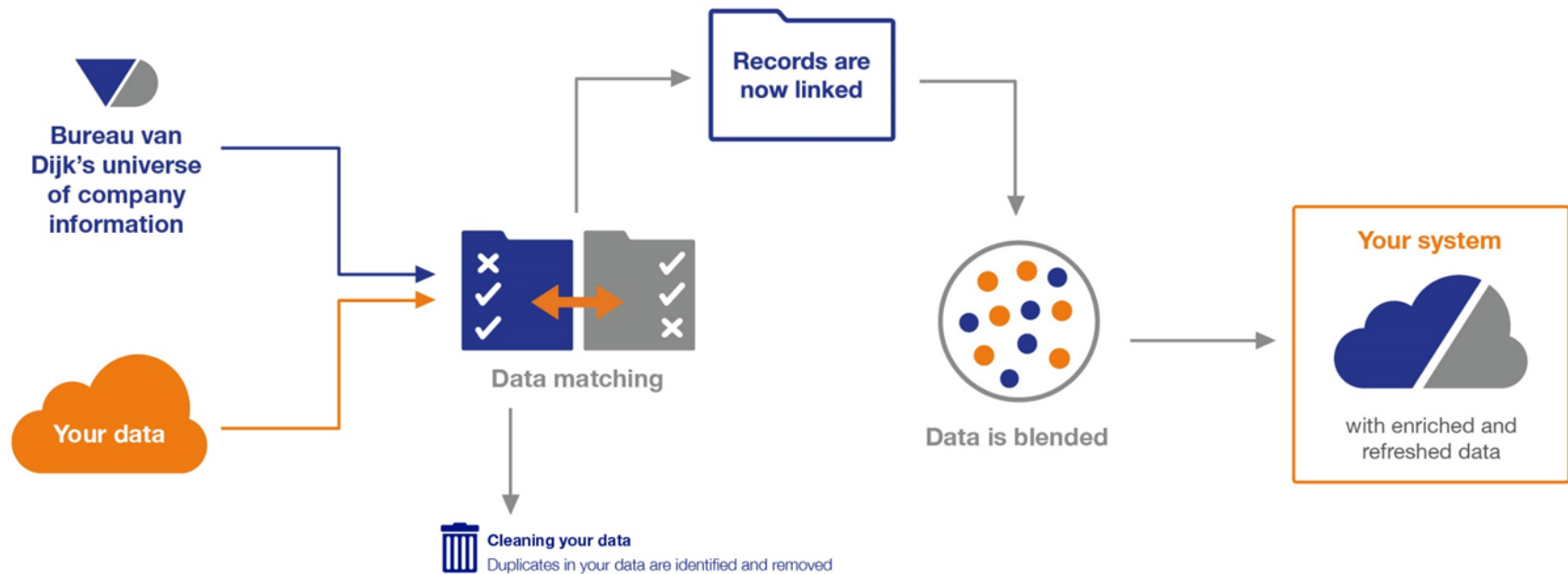
The **EDW** (Enterprise Data Warehouse) is a portal that provides staff with a single view of information and intelligence sources (both internal and external).

Phase 1 – Pilot is an initial project to incorporate Bureau van Dijk's data into the EDW for staff to use internally in a secure fit-for-purpose manner.



Integrate external data into your system

Accurate and efficient risk assessment processes



Key takeaways

- Extensive global data for risk detection across all areas of Tax Administration
- Powerful data and bespoke tools to support Tax Administrations' Authorised Economic Operators validation and monitoring processes
- Presentation of complex data in easy to use online systems
- Services to blend data and assist in developing powerful, accurate and efficient risk assessment processes





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