

## 1. SUMMARY

### 1.1 LOGGING IN

Login via [www.registereddiamondcompanies.be](http://www.registereddiamondcompanies.be) with your login and password.

If you don't have a login and password yet, contact the AML & Compliance helpdesk via [iris.leerdam@awdc.be](mailto:iris.leerdam@awdc.be) or 03/222.05.06 to get free access to the database.

## 2. QUICK REVIEW

Search an entity or individual → Check if the company has a low risk rating ("green")

**YES** → Change status to 'completed'

CHINA SHIPBUILDING TRADING (XIAN) COMPANY LTD.

**LOW**  
**IN PROGRESS**

**CHINA SHIPBUILDING TRADING (XIAN) COMPANY LTD.**

BvD ID number: CN9361099356  
Client ID:   
Engagement ID:

Created: ComplianceJHE (09/06/2016 11:44 AM) - Status: In progress

**Outcome**

Rating: **Low**    Score: **6**    Evaluation by: *Decision model (07/09/2016 3:13 PM)*  
Status: **In progress**    Modification by: *Decision model (09/06/2016 11:45 AM)*

Add a sum: **Completed**  
Add a comment:

select 'accept engagement and start monitoring'.

CHINA SHIPBUILDING TRADING (XIAN) COMPANY LTD.

**LOW**  
**COMPLETED**

**CHINA SHIPBUILDING TRADING (XIAN) COMPANY LTD.**

BvD ID number: CN9361099356  
Client ID:   
Engagement ID:

Created: ComplianceJHE (09/06/2016 11:44 AM) - Completed: ComplianceJHE 07/09/2016 3:15 PM

**Outcome**

Rating: **Low**    Score: **6**    Evaluation by: *Decision model (07/09/2016 3:13 PM)*  
Status: **Completed**    Modification by: *ComplianceJHE (07/09/2016 3:15 PM)*

Launch wizard  
**Accept engagement and start monitoring**  
 Reject engagement

**NO** → Review potential risks

Click recalculate until the analysis is completely checked and follow the previous steps.

### 3. SEARCH AN ENTITY OR INDIVIDUAL

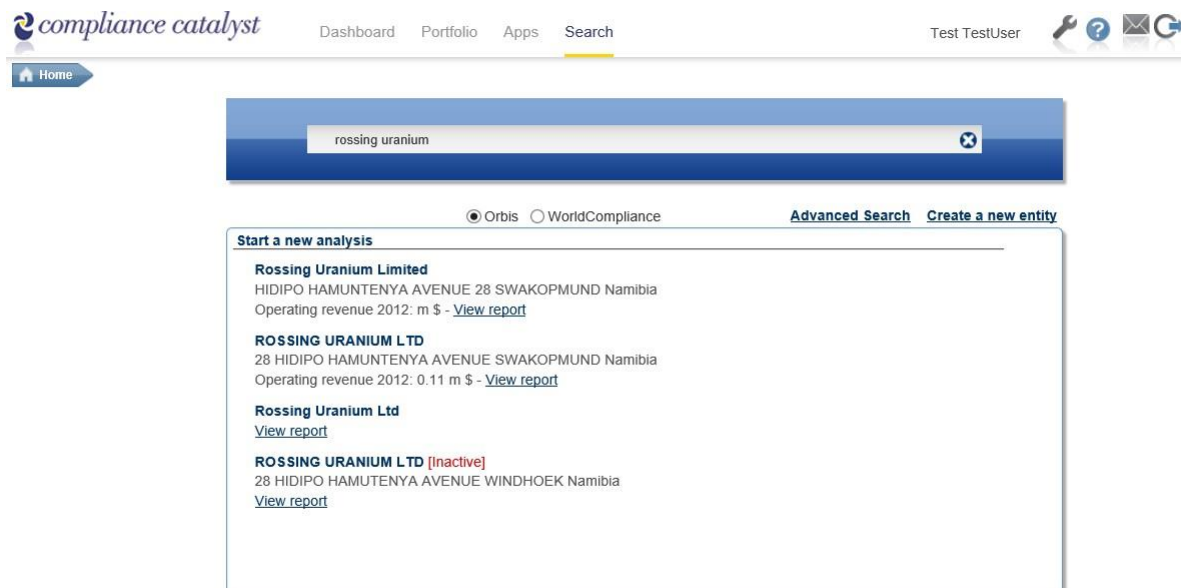
Select **Search** from the main menu to display the text box in which you can either search the **Orbis** database for a company, or search the **WorldCompliance** database for an individual.

With **advanced search**, multiple search criteria can be added to reduce the amount of matching results.

If the entity or individual is not included in the database, this counterparty can be added via 'create a new entity' (only for your own usage). The main advantage of this functionality is the automatic monitoring of your third party, including their directors and their beneficial owners.



When you click on an item in the list of matching results you can run an analysis of that company against the general pre-defined model (this is a model adapted to the needs of the diamond sector), which includes multiple compliance processes to generate a score and rating for the company, indicating its suitability for on boarding as one of your counterparties.



## 4. ANALYSIS RESULTS

### 4.1 OVERVIEW

Before the processes are calculated, a KYC input form will appear. These questions are part of the Client acceptance policy. This KYC input form can be changed in a later stage and is only for own usage.



KYC Input Form	
<b>Subject Company</b>	Rossing Uranium Limited
<b>Country</b>	Namibia
1. This client/supplier handed over all identification data of his company (Identity card, bylaws, names of ultimate beneficiaries)?	<input type="text"/>
2. This client/supplier insists on cash transactions above 3000 euros or other atypical payment methods?	<input type="text"/>
3. I have had bad experiences with this client/supplier in the past. Issues that were related to false information, fraude, money laundering, terrorism of financing, other...	<input type="text"/>
4. Have you met this client/supplier in person?	<input type="text"/>
5. This client/supplier has experience in the diamond sector?	<input type="text"/>

IMPORTANT NOTE: The results of your search are intended to verify the identification documents the client/supplier provided to you and to investigate what other risks are connected with doing business with you client/supplier. This tool does not release you from your legal responsibility to obtain the identification documents from your client (art. 4, 5 and 6 Royal Decree 7 October 2013) and does not release you from your legal responsibility to perform a thorough investigation of your client based on your client acceptance policy (art. 9 Royal Decree 7 October 2013).

When all the KYC-questions are answered and an analysis of the company has been made, the results are presented in an Overview page, which includes a colour-coded description of the company's compliance rating that was calculated by the combination of processes.



Rossing Uranium Limited

**Rossing Uranium Limited** - SWAKOPMUND, NAMIBIA

GUO: NAMIBIA - NAMIBIA

BvD ID number: NA0000019009

Client ID:

Engagement ID:

Created: AWDC-TestUser (05/09/2016 3:13 PM) - Status: In progress

Outcome

Rating: **Medium** Score: **40** Evaluation by: Evaluation must be recalculated  
 Status: **In progress** Modification by: Decision model (05/09/2016 3:15 PM) **Recalculate all**

Add a comment/attachment(s)

Processes

Process	Rating	Score	Process details	Comment(s)/ Attachment(s)	Evaluation by	Last edited
<b>Client type</b>	Low	25	Unlisted. Regulation unknown.	No	Decision model	05/09/2016 3:14 PM
<b>Sector</b>	Low	25	NACE code / description: 0899/Other mining and quarrying nec	No	Decision model	05/09/2016 3:14 PM
<b>Kimberley process</b>	Low	0	Country: Namibia Your counterparty is located in a country that does satisfy the minimum requirements of the Kimberley Process Certification scheme.	No	Decision model	05/09/2016 3:14 PM
<b>FATF and EU high risk countries</b>	Low	0	Country: Namibia Your counterparty is not situated in a high risk and non-cooperative jurisdiction.	No	Decision model	05/09/2016 3:14 PM
<b>Directors</b>	Medium	40	1 Director has potential enforcements.	No	Evaluation must be recalculated	05/09/2016 3:14 PM
<b>Beneficial owners</b>	Low	0	No BO identified.	No	Decision model	05/09/2016 3:14 PM
<b>Controlling shareholders</b>	Low	0	1 CSH, no further information.	No	Decision model	05/09/2016 3:14 PM
<b>Corporate group risk</b>	Low	23	Subject location: Medium risk. 1 other risk factor(s) identified.	No	Evaluation must be recalculated	05/09/2016 3:14 PM
<b>News</b>	Low	0	No negative news.	No	Decision model	05/09/2016 3:14 PM

Export  
Print  
Save

The Overview page also includes links to drill down into the details of each process that was applied to generate the rating. For example, you may view a process that checked the subject company's directors for PEP status and presence on the WorldCompliance database. In the example below, there is one potential match for the first director. By clicking on this indicator, you will get the potential matches that can be accepted or rejected, based on the detailed descriptions and source links you get.



Rossing Uranium Limited

Evaluation

Rating: **Medium** Score: **40** Evaluation by: Evaluation must be recalculated **Recalculate**

1 Director has been matched in the WorldCompliance database, as being present on enforcement list(s). However the match is not confirmed.

Add a comment/attachment(s)

Director

Boards & committees

1 of 2 pages

Score	Name	Original job title	Body/Dep	Source	Country	Date of birth	PEP /SOE	Source Lists	Verified
40	P D Carlson	- Director	BoD	WB	n.a.		0	4	<input type="checkbox"/>
0	P257631596	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	F Fredericks	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	P276729099	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	A A Genis	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	P257631597	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	A Ilienda	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	P140882310	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	A K Kasete	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	P140882309	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	A V Kalantari	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	P257631598	- Director	BoD	WB	ZA	14/01/1992	0	0	<input type="checkbox"/>
0	Mr Bruce Henderson Beath	- Director	BoD	WB	NA	30/09/1956	0	0	<input type="checkbox"/>
0	P062001570	- Director	BoD	WB	NA	30/09/1956	0	0	<input type="checkbox"/>
0	Mr Exer Hosaa Tala Angula	- Director	BoD	WB	NA	30/09/1956	0	0	<input type="checkbox"/>
0	P039083821	- Director	BoD	WB	ZA	27/12/1920	0	0	<input type="checkbox"/>
0	Ms John Schabert Louw	- Director	BoD	WB	ZA	27/12/1920	0	0	<input type="checkbox"/>
0	P113808456	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	M M Kapia	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>
0	P140882312	- Director	BoD	WB	n.a.		0	0	<input type="checkbox"/>

Management & staff

No data available

Additional directors (user input)

No data available

[Add a new director](#)

P D Carlson match(es)

WorldCompliance match(es) for P D CARLSON\*

Restrict the selection to the entities located in All countries

	M	Name	Country	Category	SubCategory	Date	Matched by
<input type="radio"/>	<input type="radio"/>	95 % <a href="#">Carlson, Denise (2325403)</a>	US	Adverse Media	Drug Trafficking	10/08/2011	Match rejected by AWDC_811 12/04/2016
<input checked="" type="radio"/>	<input type="radio"/>	95 % <a href="#">CARLSON, DUANE (2592434)</a>	US	Enforcement	N/A	30/04/2012	Automated match
<input type="radio"/>	<input type="radio"/>	95 % <a href="#">CARLSON, DAVID (5941961)</a>	US	Enforcement	Excluded Party	28/05/2015	Automated match
<input type="radio"/>	<input type="radio"/>	95 % <a href="#">Carlson, Damon (890446)</a>	US	Enforcement	Disciplined	21/01/2015	Automated match
<input checked="" type="radio"/>	<input type="radio"/>	95 % <a href="#">Carlson, Damon (891661)</a>	US	Enforcement	RICO	21/01/2015	Automated match

Please perform an additional search for more results.

First name    
  Second names or initials    
  Last name    

## 4.2 FUNCTIONALITIES WITH IN A PROCESS

First of all, after review of a process, a recalculation will be necessary. Click 'recalculate'.

If you have additional information or documents, these can be added to the process. As well as additional directors, beneficial owners and shareholders or subsidiaries. This results in an automatic monitoring of own added data.

The own added data will not be available for other users.

Finally, ratings can be adjusted manually.

**Rossing Uranium Limited**

**Evaluation**

Rating: Low     Score: 0     Evaluation by: 0 Evaluation must be recalculated    

No Controlling shareholders have been matched in the WorldCompliance database.

[Add a comment/attachment\(s\)](#)

**Controlling shareholders**

BvD Independence Indicator: D

Name	Country	Type	Direct %	Total %	Source	Date	PEP / SOE	Source Lists	Verified
<input checked="" type="checkbox"/> NAMIBIA	NA	S	51.00	n.a.	WW	09/2016	<span>0</span>	<span>0</span>	<input checked="" type="checkbox"/>
<input type="checkbox"/> ROSSING URANIUM LIMITED	NA								

Rio Tinto Limited and Rio Tinto Plc are dual-listed companies with Rio Tinto Limited listed on the Australian Stock Exchange and Rio Tinto Plc listed on the London Stock Exchange ...

A dual-listed company (DLC) structure involves two listed companies under contractual agreement which operate as if they were a single economic enterprise, while retaining separate legal identities, tax residencies, stock exchange listings with separate bodies of shareholders.

**Additional controlling shareholders (user input)**

### 4.3 PROCESSES

The process pages indicate the impact the relevant process had in generating the subject's risk rating. Typically, they also include further links to view the Orbis report on an individual or organization, to browse the internet for further details about them, or a further pop-up dialog enabling you to view and evaluate the proposed matches against WorldCompliance data:

The decision model includes the following processes:

- Client type : This process determines whether the subject (or its GUO) is listed on a recognised stock exchange, and also whether the subject (or GUO) is regulated.
- Sector : This process gives the first available NACE code with 4 digits.
- Kimberley Process : This process indicates if the counterparty is located in a country that does/does not satisfy the minimum requirements of the Kimberley Process Certification Scheme.
- FATF and EU high risk countries: This process indicates if the counterparty is situated in a high risk and non-cooperative jurisdiction.
- Directors : This process determines which entities on the Orbis Contacts database are key staff of the subject company, and are potentially matched to WorldCompliance risk records.
- Beneficial owners : This process determines which entities on the Orbis Ownership database have a controlling interest in the subject company.
- Controlling shareholders : This process determines if a controlling shareholder is potentially matched to WorldCompliance risk records.
- Corporate group risk : This process evaluates the level of risk represented by members of the subject company's corporate group.
- News : This process searches for news articles in which the subject company (or a linked entity) is mentioned in the context of negative content.
- Q1-Q5 : These processes give a risk score and rating according to the responses of the KYC input Form.

## 5. PORTFOLIO

Select **Portfolio** from the main menu to open the portfolio page. In this page you can view a list of engagements. The portfolio page can also be filtered by various standard criteria.

On the right side, you have an overview of all pending alerts; please note that you only receive alerts when you completely finished the analysis and **'accepted' the company status so that** monitoring is activated.

The screenshot shows the 'Portfolio' page in the Compliance Catalyst application. The top navigation bar includes 'Dashboard', 'Portfolio' (highlighted), 'Apps', and 'Search'. The user 'Heylen Jolien' is logged in. Below the navigation is a search bar for engagement IDs, names, or company names. The main content area displays a table of engagements with the following columns: Page (1/6), Status, Rating, Engagement ID, Engagement name, Last modified, Next review date, and #. A sidebar on the left shows monitoring categories like 'Alerts pending (14)', 'WorldCompliance (9)', etc. The table lists various companies such as GRIB DIAMONDS, Stoc Holding AB, and CLEAR CHANNEL BELGIUM, with their respective status and ratings.

Page	Status	Rating	Engagement ID	Engagement name	Last modified	Next review date	#
1/6	Pending	Very High		GRIB DIAMONDS	02/09/2016		1
	Accepted	Low		Stoc Holding AB	02/09/2016	02/09/2017	1
	Pending	High		CLEAR CHANNEL BELGIUM	02/09/2016		1
	Pending	High		ROSTVERTOL INTERNATIONAL	02/09/2016		1
	Accepted	Low		SHAIRU GEMS DIAMONDS PRIVATE LIM:	02/09/2016	20/05/2017	1
	Pending	High		BANK MELLI IRAN	01/09/2016		2
	Accepted	Low		USITOLS	01/09/2016	01/09/2017	1
	Accepted	Very High		Jamal El Koua	01/09/2016	01/12/2016	1
	Accepted	Very High		François Musonera	01/09/2016	01/12/2016	1
	Accepted	Very High		Medhi Jahir	01/09/2016	01/12/2016	1
	Accepted	High		CANDRIAM BELGIUM	31/08/2016	20/08/2016	1
	Accepted	Very High	123456789	BANK ROSSIYA OAO	31/08/2016	13/09/2016	1

Individual rows in the page can be expanded to view more details of the engagements

A new feature is the possibility to perform an action for multiple entities of your portfolio. First of all, select a maximum of 10 entities of your portfolio, accordingly select the preferred action.

This screenshot shows the same 'Portfolio' page as above, but with the 'Actions' dropdown menu open for the first row (GRIB DIAMONDS). The menu options include: Reassign, Delete, Ignore alerts, Review date, Change type of work, Stop monitoring, Review and Update, and Accept and Monitor. The 'Accept and Monitor' option is highlighted, indicating it is the selected action. The table below the menu shows the same list of engagements as in the previous screenshot.

Page	Status	Rating	Engagement ID	Engagement name	Last modified	Next review date	#
1/6	Pending	Very High		GRIB DIAMONDS	02/09/2016		1
	Accepted	Low		Stoc Holding AB	02/09/2016	02/09/2017	1
	Pending	High		CLEAR CHANNEL BELGIUM	02/09/2016		1
	Pending	High		ROSTVERTOL INTERNATIONAL	02/09/2016		1
	Accepted	Low		SHAIRU GEMS DIAMONDS PRIVATE LIM:	02/09/2016	20/05/2017	1
	Pending	High		BANK MELLI IRAN	01/09/2016		2
	Accepted	Low		USITOLS	01/09/2016	01/09/2017	1
	Accepted	Very High		Jamal El Koua	01/09/2016	01/12/2016	1
	Accepted	Very High		François Musonera	01/09/2016	01/12/2016	1
	Accepted	Very High		Medhi Jahir	01/09/2016	01/12/2016	1
	Accepted	High		CANDRIAM BELGIUM	31/08/2016	20/08/2016	1
	Accepted	Very High	123456789	BANK ROSSIYA OAO	31/08/2016	13/09/2016	1



## 6. MONITORING, ALERTS AND AUDIT TRAIL

### 6.1 MONITORING

For authorised users, the Monitoring page displays details for an engagement, which depend on how monitoring has been configured. In various categories of information, an alert will be raised when information on either the WorldCompliance database or the Orbis database is updated, and the frequency of alerting depends on the frequency of those database updates.

Monitoring can be activated for pending engagements. First collapse the engagement, accordingly the option 'accept engagement and start monitoring' appears.

**Pending** **High** ROSTVERTOL INTERNATIONAL 02/09/2016 1

ROSTVERTOL INTERNATIONAL Type of work Default  
 Last modified date 02/09/2016 1:41 PM Responsible ComplianceBeLux  
 Next review date Monitoring -  
 Comment

Analyses included

Rating	In use by	Name	Status	Creation date	Last saved by	Date last saved	Client ID
<b>H</b>		ROSTVERTOL INTERNAT...	In progress	02/09/2016 1:41 PM	ComplianceBeLux	02/09/2016 1:46 PM	

[Launch wizard](#) [Accept engagement and start monitoring](#) [View audit trail](#) [Modify engagement](#)

### 6.2 ALERTS

1. Click the icon to expand the required row. Click the exclamation mark to open a pop-up window that shows the updated information

**Accepted** **Very High** 123456789 BANK ROSSIYA OAO 05/09/2016 13/09/2016 1

BANK ROSSIYA OAO Type of work Default  
 Last modified date 05/09/2016 4:45 PM Responsible ComplianceJHE  
 Next review date 13/09/2016 9:16 AM Monitoring [View options / Show alerts](#)  
 Comment Automatic Review of engagement : Engagement status modified to Accepted

Analyses included

Rating	In use by	Name	Status	Creation date	Last saved by	Date last saved	Client ID
<b>VH</b>		BANK ROSSIYA OAO	Completed	29/08/2016 3:39 PM	ComplianceJHE	29/08/2016 3:39 PM	123456789

[View audit trail](#) [Modify engagement](#)  
[Create a new version of the engagement](#)  
[Review and update the engagement](#)

2. In this example the company has had changes detected by the Directors process, including new directors, removed directors and potential changes to WorldCompliance records concerning its directors.

Monitoring

Engagement name : BANK ROSSIYA OAO

Analysis name	Directors (Orbis)	Directors (WoCo)	BO (Orbis)	BO (WoCo)	GUO DUO ISH (Orbis)	GUO DUO ISH (WoCo)	GUO	News	General info	Legal info	Source lists	Listing status	Main exchange	Other exchanges	Ignore	Evaluate	Differences
BANK ROSSIYA OAO		31/08/2016		30/08/2016											<input type="radio"/>	<input type="radio"/>	<a href="#">View</a>

[Cancel](#) [OK](#)

3. In the Monitoring page, select an option button to ignore the updated details or to create a new version of the analysis that generated the alert.

4. If you select 'view', you will get more details of this alert

5. Click OK to close the Monitoring page, but first select 'ignore' or 'evaluate'.



## 6.3 AUDIT TRAIL

An audit trail is available for each engagement. This audit trail can be used to show authorities that the necessary identification and verification process took place, including date, time and user stamps.

			<b>Accepted</b>	<b>Very High</b>	123456789	BANK ROSSIYA OAO	05/09/2016	13/09/2016	1
BANK ROSSIYA OAO			Type of work	Default					
Last modified date			05/09/2016 4:45 PM	Responsible	ComplianceJHE				
Next review date			13/09/2016 9:16 AM	Monitoring	<a href="#">View options</a> / <a href="#">Show alerts</a>				
Comment			Automatic Review of engagement : Engagement status modified to Accepted						
Analyses included									
Rating		In use by	Name	Status	Creation date	Last saved by	Date last saved	Client ID	
<b>VH</b>	Edit	<a href="#">View</a> / <a href="#">PDF</a>	BANK ROSSIYA OAO	Completed	29/08/2016 3:39 PM	ComplianceJHE	29/08/2016 3:39 PM	123456789	
		<a href="#">View audit trail</a>							
		<a href="#">Modify engagement</a>							
<a href="#">Create a new version of the engagement</a>									
<a href="#">Review and update the engagement</a>									