

BROCHURE

D&B Risk Analytics

COMPLIANCE INTELLIGENCE

An intelligent KYC/KYB monitoring and
assessment solution for future-ready
compliance risk mitigation



Introducing Dun & Bradstreet's New Policy-Driven Compliance Risk Management and Screening Solution

Compliance risks and regulations are growing more complex every year, and with it — growing costs associated with non-compliance.

With a backdrop of continued evolution of regulation and ever-increasing fines, compliance teams continue to struggle to balance their compliance requirements against cost and efficiency pressures.

Conducting proper due diligence requires numerous time and budget consuming processes, most of which require focus that draws away from direct risk mitigation.

The call for heightened due diligence and verifying business identity through multiple sources with limited resources and manual processes leaves compliance teams spread thin and companies at risk.

Compliance professionals need a way to continuously monitor compliance risks while reducing the time spent on manual processes, lengthy research, and unnecessary outreach — to best direct focus on risk-related situations before disruption occurs.

D&B Risk Analytics Compliance Intelligence is an ongoing KYC/KYB monitoring and compliance decision making solution driven by Dun & Bradstreet's AI-powered data and fit with a unique policy-led risk engine that allows compliance teams to better highlight material risk and greatly reduce workloads while improving the intelligence of risk decisions.

This cloud-based solution leverages Dun & Bradstreet's best-in-class compliance risk data to help drive informed decisions and delivers unprecedented visibility throughout business relationship lifecycles via continuous third-party risk monitoring.



D&B Risk Analytics

COMPLIANCE INTELLIGENCE

A comprehensive, policy-driven solution to:



Verify and Identify Entities



Screen Business Partners during Onboarding



Expedite Risk Analysis and Decisioning with Automation



Assess and Report Compliance Risk



Continuously Monitor Third-Party Risk of your Portfolio

Build the Defensibility of Your Compliance Policies with Robust Compliance Risk Insights

Connected to the Dun & Bradstreet Data Cloud, D&B Compliance Intelligence brings you key risk insights from over 10,000 trusted global sources covering over 500 million entities all in one solution — reducing the time and effort needed to conduct research.

With data refreshes conducted in near real-time, you'll be sure you have the materials, services, and partners to:

- Streamline your onboarding process
- Quickly identify and verify entities and people your company looks to do business with
- Define risk relevancy and materiality based on your company's specific risk policies
- Monitor changes to business partners so you can proactively mitigate risk
- Highlight your riskiest areas are to mitigate
- Regularly screen business partners against sanctions and watchlists, PEP lists, adverse media

In addition, restricted party screening capabilities help businesses perform regulatory risk checks on executives and principals with ease by leveraging data from another trusted global provider, Dow Jones.



Restricted Party Screening



SANCTIONS AND WATCHLISTS

Detects, prevents, and manages sanctions risk of people and/or entity-level associated with Anti-Money Laundering (AML), Anti-Bribery and Corruption (ABC), terrorism, terrorist financing, narco-trafficking, war crimes, and economic sanctions



SPECIAL INTEREST PERSONS

Provides global media coverage of individuals involved in a legal process for serious crimes such as financial crime, tax crime, organised crime, corruption, trafficking, and terrorism financing



ADVERSE MEDIA ENTITIES

Focuses on companies with a corporate structure and commercial purpose that may have had adverse/negative media coverage on regulatory, competitive, financial, environmental, production, social, and labour-related topics

Automate Compliance Risk and Screening via Policy-Led Risk Engine

D&B Compliance Intelligence is built around a highly configurable policy-led screening workflow, allowing you to define risk that is most relevant to your company's compliance policies and identify that risk on an automated basis through compliance risk insights from the Dun & Bradstreet Data Cloud.

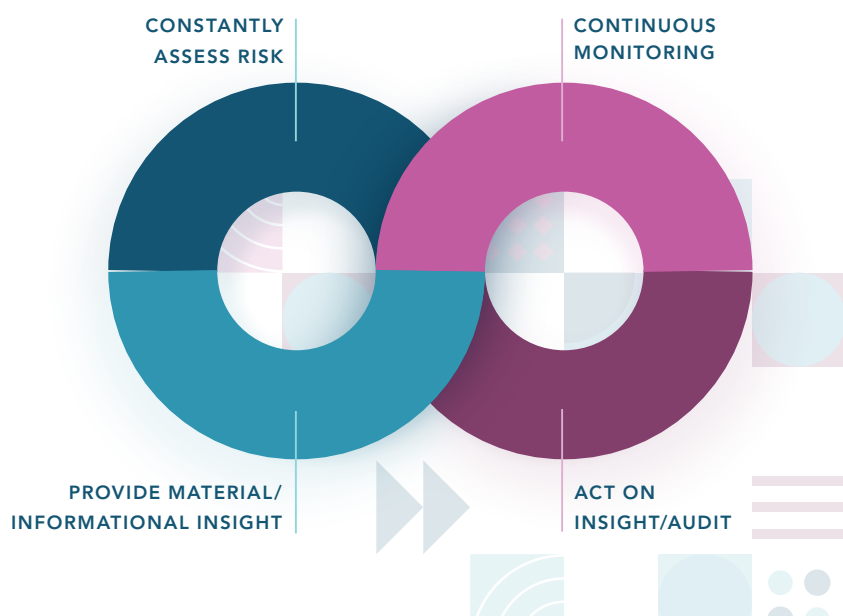
This capability helps you to:

- Automate restricted party screening and false-positive management
- Proactively identify risk-relevant events defined by your policy settings
- Reduce manual labour, time, and effort of conducting due diligence
- Accelerate decisioning for quicker time to revenue and risk assessments
- Leverage ongoing monitoring strategies to avoid risk gaps during periodic assessments

Traditional KYC vs Ongoing KYC Monitoring Approaches

Traditional KYC approaches call for periodic compliance risk reviews at a routine cadence and capture a snapshot of risk during that period of time. The grim truth is that *risk factors shift* more frequently than this process can keep up with, leaving *potential risks* between periodic reviews.

ONGOING KYC/KYB MONITORING FROM DUN & BRADSTREET allows you to assess the risk of your customers and business partners on a continuous basis, alerting you in near real-time when risk factors shift — rather than only analysing risk during periodic KYC reviews.



Ad Hoc Screening

Built for Speed

D&B Compliance Intelligence is also equipped with an Ad Hoc Screening function, allowing you to instantly screen entities at a high level when time is of the essence

Risk Scores, Rankings, and Ratings

D&B Compliance Intelligence features numerous key risk indicators

Country Risk

Provides a calculation when an entity is domiciled in a high-risk jurisdiction. The set default country risk in solution is based on Transparency International Guidance. Country Risk is a configurable attribute and can be set based on your company's policies.

Industry Risk

Provides a calculation of risk based on specific industries organised via SIC code. Industry Risk is configurable attribute and can be set based on your company's policies.

Entity Risk

Provides risk level based on attributes associated with your business partners including risk associated with number of employees, length of time business has existed, and management team associated with the entity. Entity Risk is configurable attribute and can be set based on your company's policies.

D&B ESG Rankings*

Provides an indication of an entities environmental, social, and governance performance that may directly affect the entities business health and performance as a business partner. This ranking is broken down into 31 topic specific levels spanning 13 key categories.

D&B Cyber Risk Ratings*

Provides an indication of a supplier's cyber security performance, powered by the global leader in cyber security ratings, SecurityScorecard. This Rating is broken down into 10 scored categories that help you easily understand your suppliers' level of cyber risk in specific key areas.

Key Capabilities and Functionality

Verify and Enrich Entity Data

D&B Compliance Intelligence provides you with one source of truth for the data you need to verify and identify the right potential customers, business partners, and third parties including:

- Core Company Information
- Financial Insights
- Firmographics
- Ownership and Linkage
- Public Filings
- D-U-N-S Registered Verification
- Original Registry Documents*

D&B Compliance Intelligence is powered by the world's most comprehensive source of commercial business data for informed decision making, the Dun & Bradstreet Data Cloud, helping to eliminate the need for time consuming research and data validation between disparate sources.

The screenshot shows the profile of Gorman Manufacturing Company, Inc. The interface includes a top header with the company name, address (492 Koller St, San Francisco, California, 94110, US), phone (1) 650-555-0000, website, and third party ID. Below this is a 'Summary' sidebar with links to Company Overview, Financial Characteristics, Public Filings, Environmental Social Governance, Corporate Linkage, Control and Ownership, Compliance Risk Management, Cyber Risk, Custom Fields, Alerts, History, Snapshots, Contacts, Comments, and Documents. The main content area displays 'RISK ASSESSMENT RESULTS' with a 'Third Party Approved (Pending review)' warning. It shows risk scores for Country Risk (5), Industry Risk (1), Entity Risk (2), Sanctions, Watchlists, and Political Affiliations (3). A 'COMPANY OVERVIEW' section lists Total Employees (153), Year Started (1985), Stock Ticker & Exch., and Management Control Year (1985).

Automate Screening with Configurable Policy-Led Workflows

Define material risk via robust configurable risk policy settings covering sanctions, watchlists, adverse media, political affiliations, country risk, industry risk, entity risk, and more.

Automate screening of entities, beneficial owners, and trade styles based on configured policy settings to identify relevant risk via insights from the Dun & Bradstreet Data Cloud.

Reduce manual labour and save time by setting automated decisioning based on policy workflow rules.

The screenshot shows the 'Screening Subjects' interface. It displays 'CURRENT RISK RESULTS' with scores for Country Risk (4.25), Industry Risk (1), Entity Risk (1.75), Sanctions (5), Watchlists (4), and Political Affiliations (3). Below this is a table with columns for 'Screening Subjects', 'Risk Level', and 'Event Categories'. The table lists five subjects: John Johnson (Beneficiary (Indirect Shareholder), Risk Level 5, Watchlists (40), Adverse Media), William Swanson (Principal, Risk Level 5, Watchlists (72), Political Affiliations), Gorman Manufacturing (Beneficiary (Indirect Shareholder), Risk Level 5, Watchlists (3), Adverse Media (2)), Fredrick Turnerson (Principal, Risk Level 4, Watchlists (14), Adverse Media), and Gorman Enterprises (Global Ultimate, Risk Level 1, Adverse Media (15)).

*Original registry documents are only included with the D&B Registry Intelligence add-on

Streamline Compliance Assessments and Reporting

D&B Compliance Intelligence brings you robust reporting capabilities to help you quickly identify risk at the portfolio level and meet regulatory requirements including:

- Interactive dashboard widgets
- Automated and customisable reports
- Saved report snapshots
- PDF download of end-to-end compliance reports of audits
- Saved reports and report management to reference during potential audits

Monitor Third-Party Compliance Risk in Near Real-Time

Increase the defensibility of your third-party compliance risk program by adopting ongoing monitoring practices that help eliminate missing risk events between traditional periodic assessments.

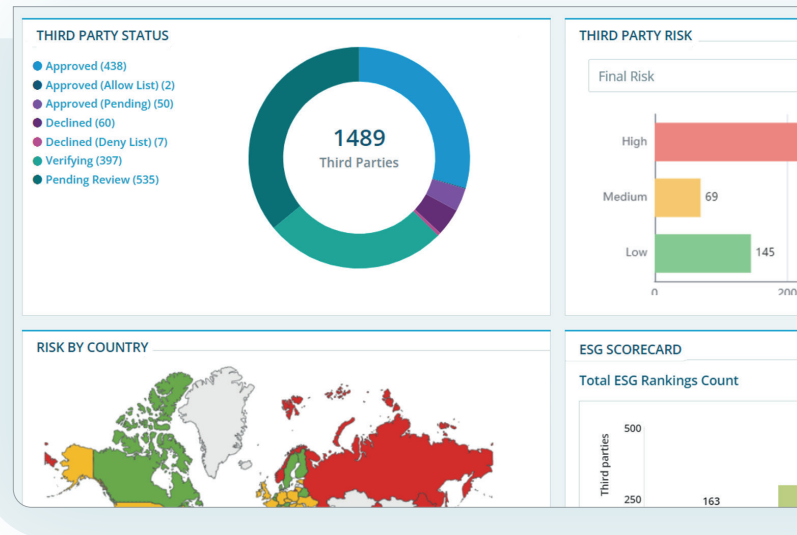
D&B Compliance Intelligence keeps your third parties' records updated in near real-time, allowing you to proactively mitigate shifting risk factors before disruption occurs.

Set custom risk alerts to automatically notify your team when risk factors do shift — allowing your team to save time and hyperfocus on risk-relevant events.

Identify and Understand Cyber Risk Exposure

Assess and manage cyber risk throughout the compliance process — from onboarding evaluations to ongoing monitoring for changes in risk.

This feature add-on provides a breakdown of 10 key cyber risk factors that will help you to understand a business partners cyber hygiene and potential to expose your company to cyber threats.



Create New Alert Policy

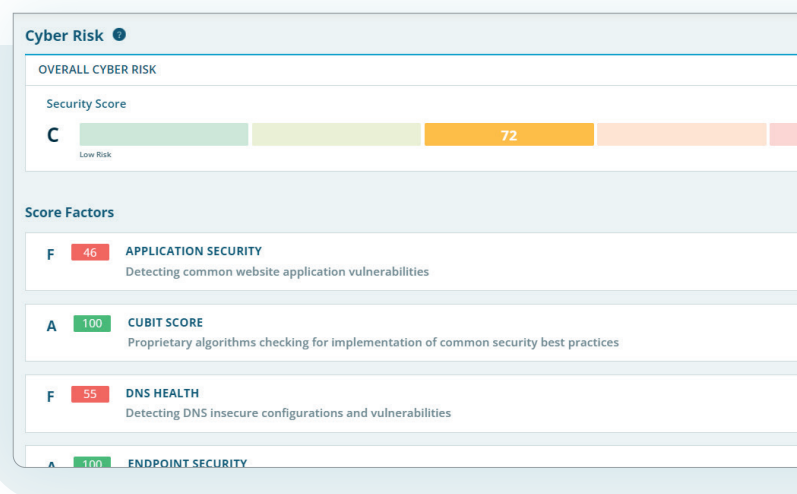
Policy Name* China Manufacturing Risk Warning

Description Risk shifts for all microchip suppliers in greater China

Rules

Alert me if any of these score conditions are met

Score	Condition	Threshold
<input checked="" type="checkbox"/> SSI Score	Increases By	3
<input checked="" type="checkbox"/> SER Score	Decreases By	2
<input checked="" type="checkbox"/> Paydex Score	Goes Below	44
<input type="checkbox"/> FSS Class		
<input checked="" type="checkbox"/> Failure Score	Goes Below	4
<input type="checkbox"/> Delinquency Class Score		
<input type="checkbox"/> Delinquency Score		
<input type="checkbox"/> D&B Rating		
<input type="checkbox"/> Viability Rating		
<input type="checkbox"/> Composite Risk Scorecard Value		



Identify Beneficial Ownership and Resolve Individual's Roles in Your Network

D&B Compliance Intelligence delivers comprehensive beneficial ownership data to establish source of wealth and gain visibility into who you are doing business with.

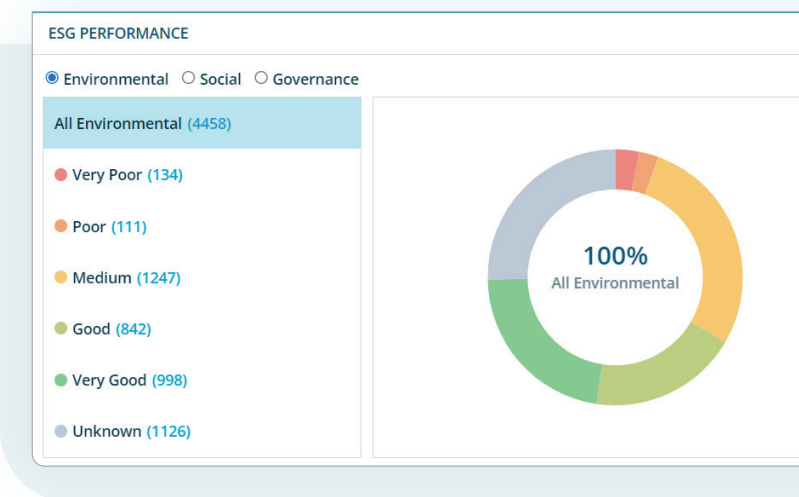
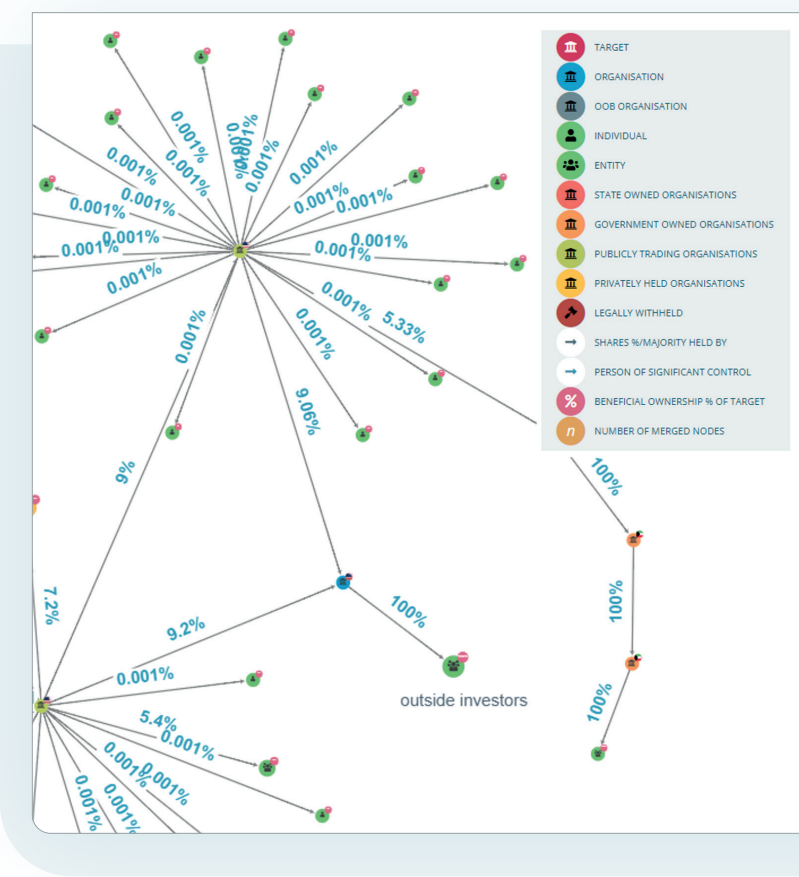
- Data on over 340 million shareholders
- Key insights on over 292 million individuals, over 16 million corporations, and 9-million direct entities

D&B Compliance Intelligence interactive Beneficial Ownership visualisation allows you to easily interpret complex ownership structures and filter to report on ownership by percentage, relationship, control type, country, and more. Conduct deeper due diligence on the individuals you do business with by connecting beneficial owners to the multiple roles they have within your business network via D&B Network Intelligence.

Gain Visibility into ESG Risk

Achieve detailed visibility into your business partners environmental, social, and governance practices that help you to evaluate entities based on policies and regulations and monitor changes in ESG performance throughout the business relationship.

This feature add-on provides comprehensive visibility into ESG insights on nearly 80 million global entities in more than 185 territories, broken into 13 key ESG themes and 31 specific topics.



Compliance Risk Insights and Decisioning Integrated into Your Current Solutions

Integrate data, insights, and decision making from D&B Risk Analytics Compliance Intelligence into your existing platforms and solutions to help enrich your current processes and technology with Dun & Bradstreet advancements.



D&B Risk Analytics Compliance Intelligence comes equipped with an integration tool that delivers data, insights, and decision making capabilities via API calls to your existing systems at the cadence of your choosing.

Take the Next Step

Want to learn more about D&B Risk Analytics – Compliance Intelligence?
Talk to a specialist and get a trial!

[GET A TRIAL](#)

ABOUT DUN & BRADSTREET®

Dun & Bradstreet, a leading global provider of B2B data, insights and AI-driven platforms, helps organizations around the world grow and thrive. Dun & Bradstreet's Data Cloud fuels solutions and delivers insights that empower customers to grow revenue, increase margins, manage risk, and help stay compliant—even in changing times. Since 1841, companies of every size have relied on Dun & Bradstreet. Dun & Bradstreet is publicly traded on the New York Stock Exchange (NYSE: DNB). Twitter: @DunBradstreet

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