

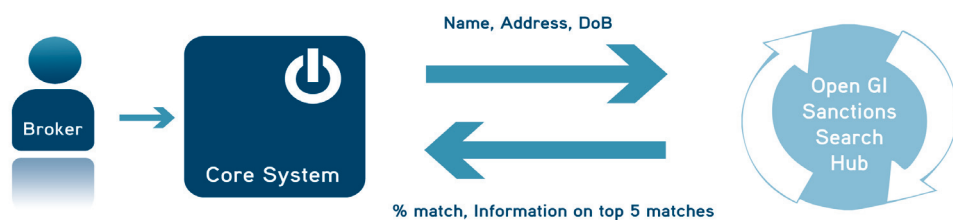
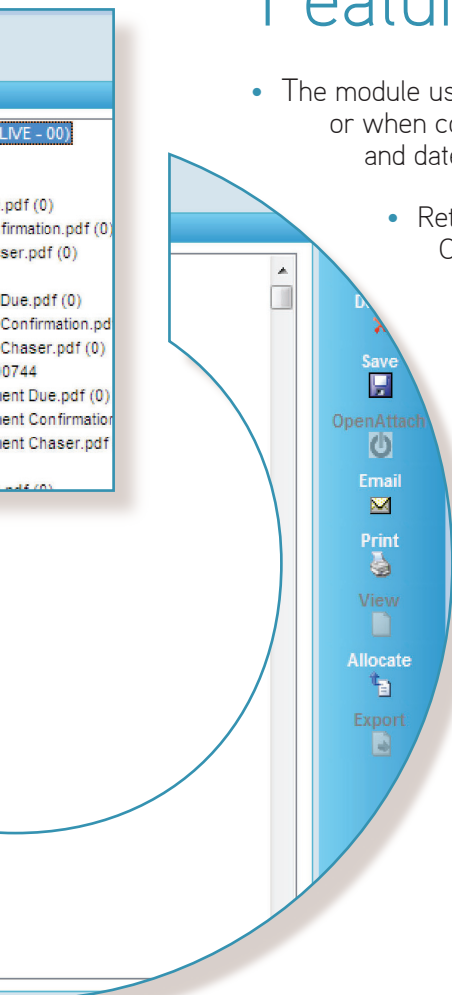
Sanctions Checking Module

Automated Client Screening

The sanctions checking module allows you to screen clients against Her Majesty's Treasury UK and NI sanctions list at Point of Sale from within the Open GI system or retrospectively, via a real time look-up. This avoids litigation associated with the sale of insurance to sanctioned organisations and individuals such as those guilty of terrorism.

Features

- The module uses a real time look-up facility which can be activated at the quotation stage or when converting a policy. It checks against the prospect's name, address, postcode and date of birth
 - Retrospective look-up facility allows batch checks to take place in the Back-Office on all live clients. Due to continuous updates of the sanctions list regular re-screening is necessary
 - The matching process returns results based on an accuracy/tolerance threshold, which will return a match quality message dependent on a high percentage match
 - Fully integrated with the Back-Office. No third party intervention involved as Open GI store all required information via a hosted sanction search hub
 - Standard audit reports and audit trail flags in each client record
 - Fuzzy logic technology automatically matches records using letters rather than full names - preventing slight name manipulation by consumers. This includes name reversal and character manipulation
 - All data is HTTPS encrypted, adhering to system security and best industry practice



Sanctions Checking process

For further information contact Open GI:

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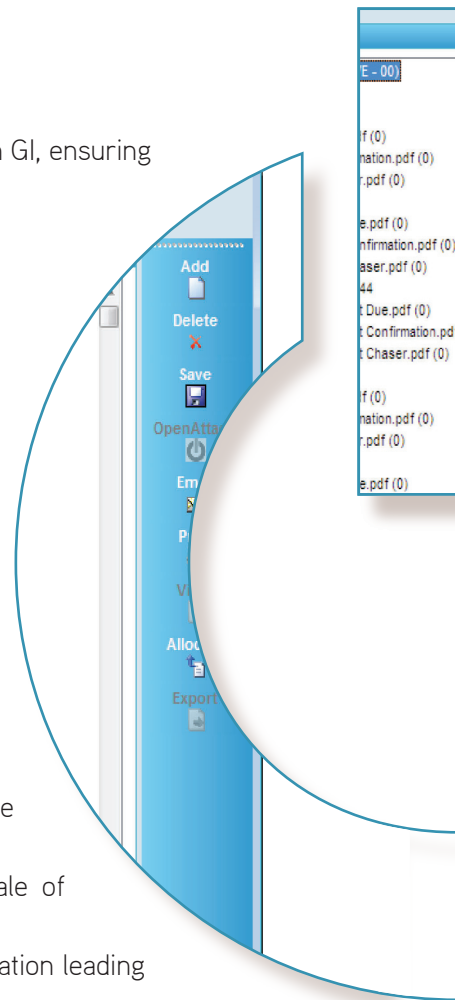
"Protect your business against potential litigation with automated client screening."

Advantages

- You can configure when and how often the sanctions checks happen, providing flexibility for your business
- Batch checks can be scheduled at a time to suit you and will run overnight
- If the client is clearly not a risk to your business all returned searches can be overridden if deemed necessary using the override option with free-type. This is then added to the client record
- Back-Office integration means search results are flagged in client records
- Provides complete history of checks to comply with FSA regulations
- Weeds out unnecessary data, only returns matched results
- Client data is stored on the broker system only and is not retained by Open GI, ensuring compliance with data protection

Benefits

- The module provides a safeguard for your business as you cannot sell cover unless a prospect has been checked against Her Majesty's Treasury sanctions list
- You can check existing records quickly and accurately and there is an option to recheck records after a specified period of time. This means you are fully up to date as the sanctions list is continually changing
- Limits human intervention except in cases where an override is required and saves time manually checking records
- The information returned is accurate as it is regularly updated in real-time by Her Majesty's Treasury, ensuring no impact on system performance. It also eliminates the need for rekeying which increases your business efficiency and saves time
- Provides an extra safeguard as results are returned using a fixed tolerance setting
- Cost effective solution to aid your legal requirements regarding the sale of insurance
- Proves Government required checks have been completed to prevent litigation leading to possible imprisonment



For more information, including examples of good practice and common misconceptions, visit www.fsa.gov.uk/pubs/other/Sanctions%20Final%20Report.pdf (refer to pages 32-35 of the document)

Minimum Requirements

MLS server	Broadband internet	Core 13.50	System X2.88A/12
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