Building Effective
Due Diligence Processes

Neil Farquhar MICA

Product Manager – Compliance

**Experts in company information and business intelligence**

- Extensive private company data – around 130 million companies

- Detailed corporate structures including beneficial ownership

- Created a bespoke compliance platform optimising the combination of data and technology   *compliance catalyst*
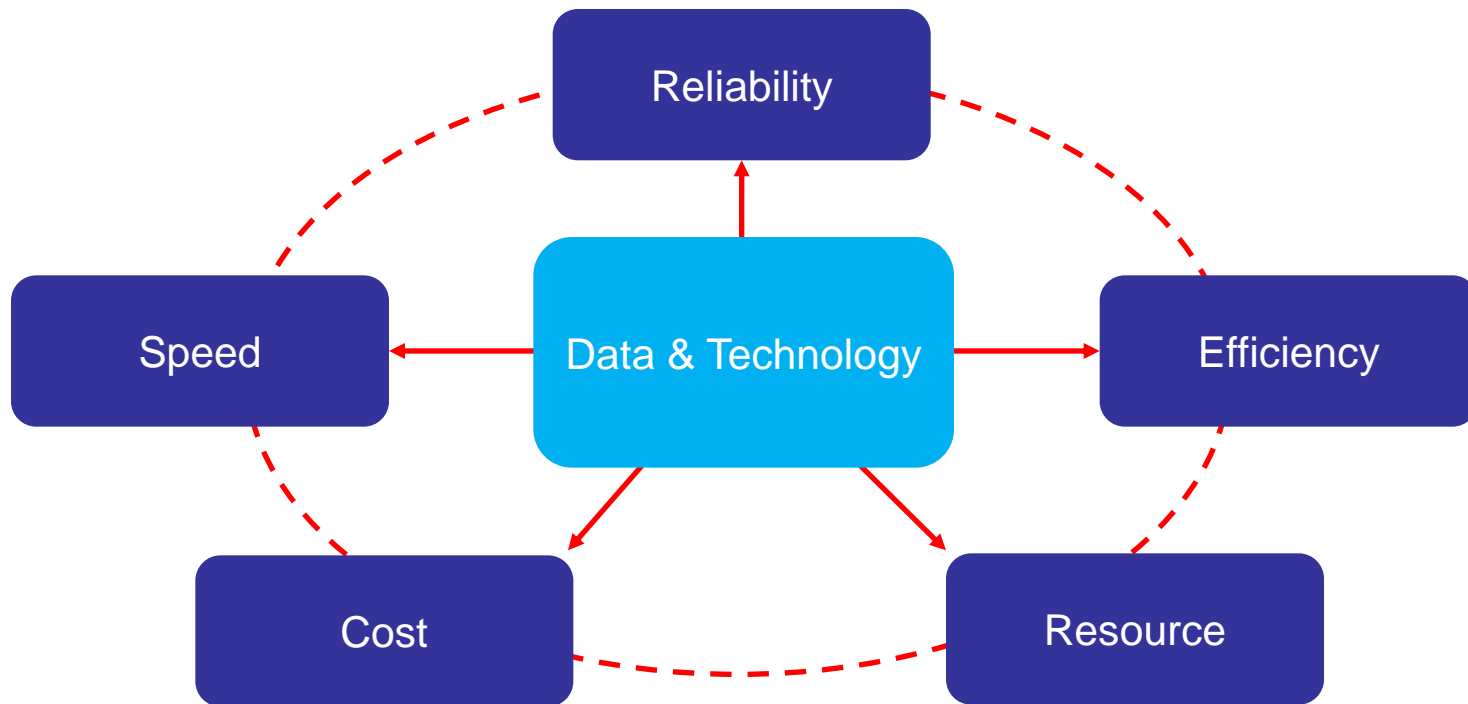
Your objective

To deliver a robust Due Diligence programme to manage and monitor risk exposure for your business.
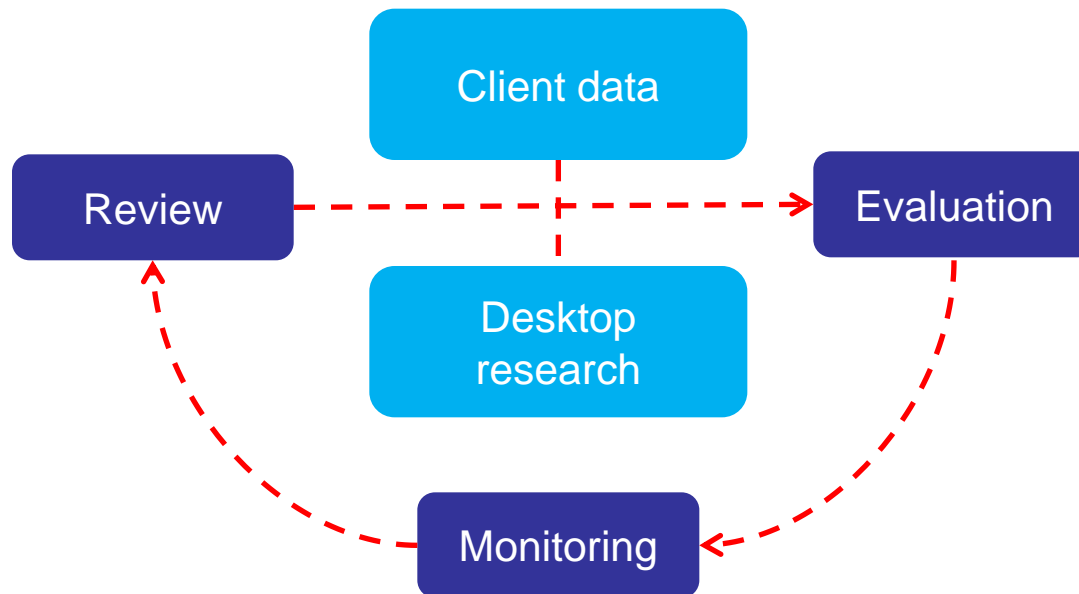
Finding the balance

Your challenges

Data	Technology
Availability	Alignment
Management	Usability
Quality	Reliability

bvdinfo.com

Every business is unique…

…and so are the requirements.

Risk appetite

Location

Relationship type

Business type

Product type

Market(s)

Exposure

Designing the risk model

STANDARD PROCESSES

Combine standard data with watch lists and PEPs

EXAMPLES

- Beneficial owners
- Directors
- Corporate group
- News
- FATCA

BESPOKE PROCESSES

Use any data elements and assess risk

- Country risk
- Sector risk
- Size (turnover)
- Financial strength
- Employee numbers

OWN DATA PROCESSES

Use organisation specific data

- Customer category
- Sales manager
- Sales channel
- Office
- Questionnaire

Defining the Processes in the risk model

Step 1 – Name the model

Step 2 – Add process(es)

Monitoring – what to look for

- Flexibility so you can tailor to your environment, who, when etc.

- Triggers - work actions and improves workflow

- Monitoring brings new intelligence, new connections and owners

Contact

Neil Farquhar
Product Manager – Compliance

neil.farquhar@bvdinfo.com