

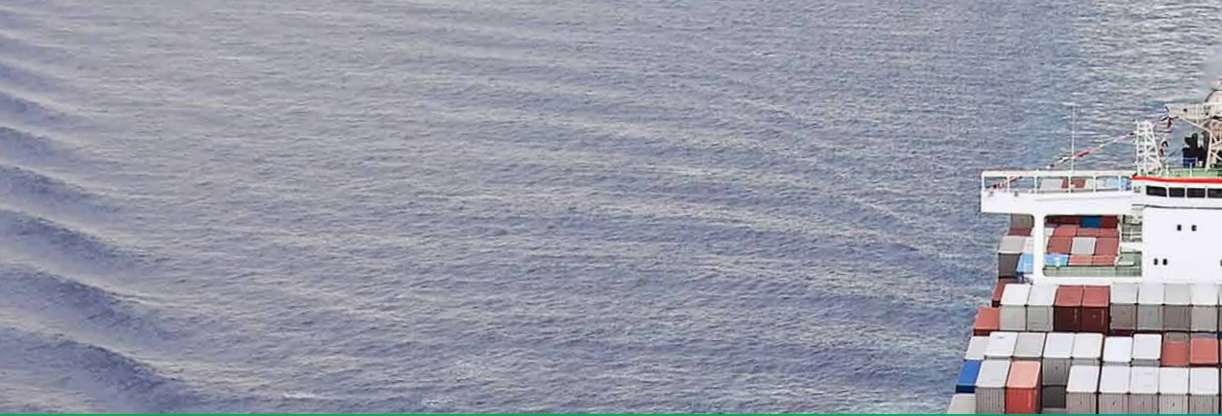


IHS Markit®

# Risk & Compliance

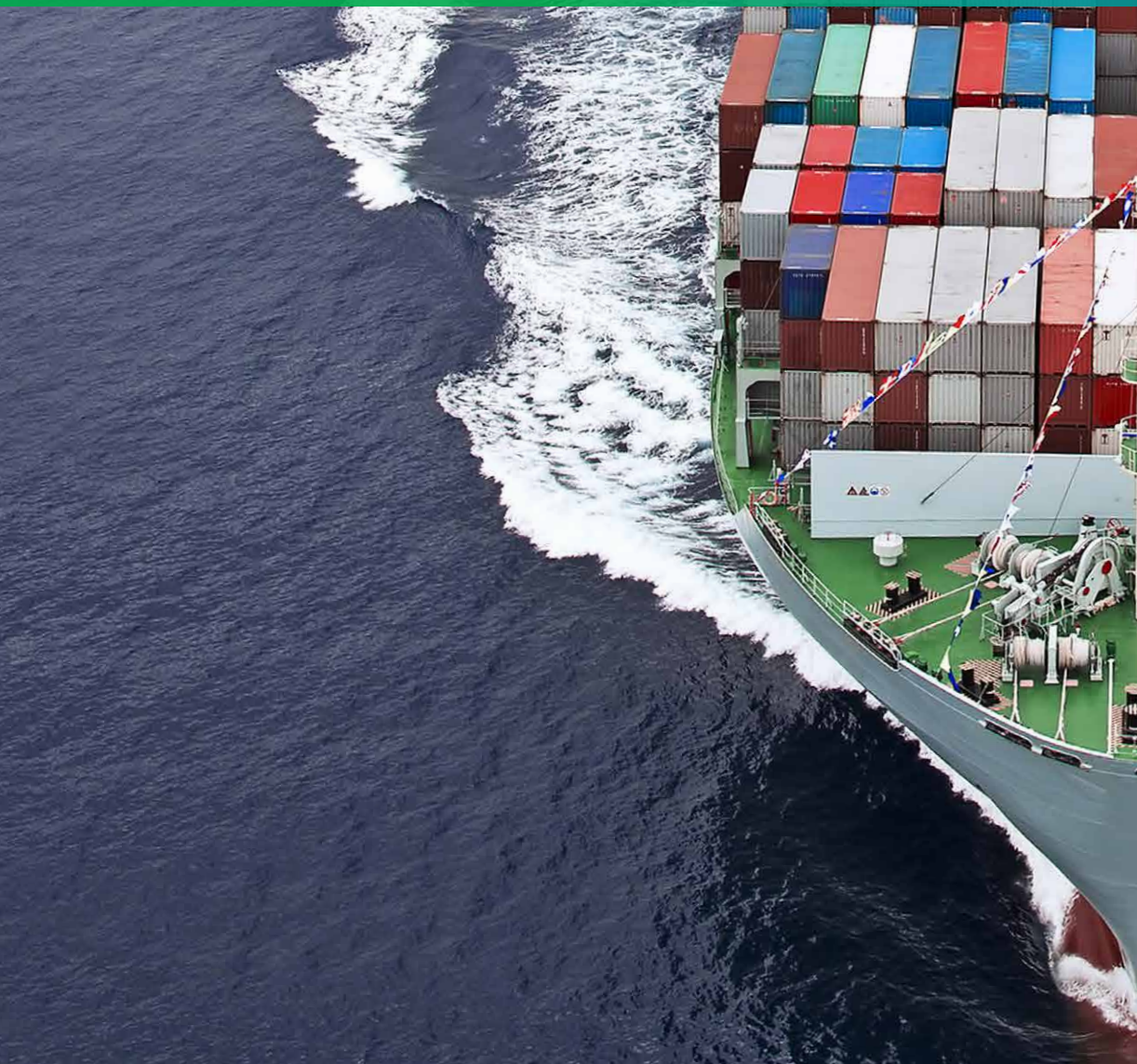
Trade Compliance Intelligence  
for Financial Institutions





# Overview: trade compliance solutions and applications

Intelligent maritime and trade compliance solutions powered by big data and artificial intelligence



## Shipping: movement tracking and compliance status of vessels

Perform initial screening of ownership, sanctions and movements including:

- Vessel Sanction Screening (OFAC/UN/EU/HMT/Canada/Australia/Swiss)
- Vessel Movement Screening (JWC/Sanctioned Country Call)
- Historical Port Calls
- Ship Operator & Ownership Screening
- Ship-to-Ship Transfers and 'Dark' Activity Checks

## Dual-use goods: accuracy and precision in matching products



**Product identification**  
Electronics, engineering,  
chemicals



**Military goods**  
Biggest commercial database  
of terms and goods



**Machine learning**  
Risk identification on  
real-life bill of lading

## Under/over invoicing: identify price anomalies in goods descriptions



Goods and commodity  
pricing mapped to the  
complete HS code schema



Identify the true cost of  
traded goods from  
official customs data

## Know your customer: screen individuals, companies and entities as part of a risk-based approach

KYC: Continuous portfolio monitoring

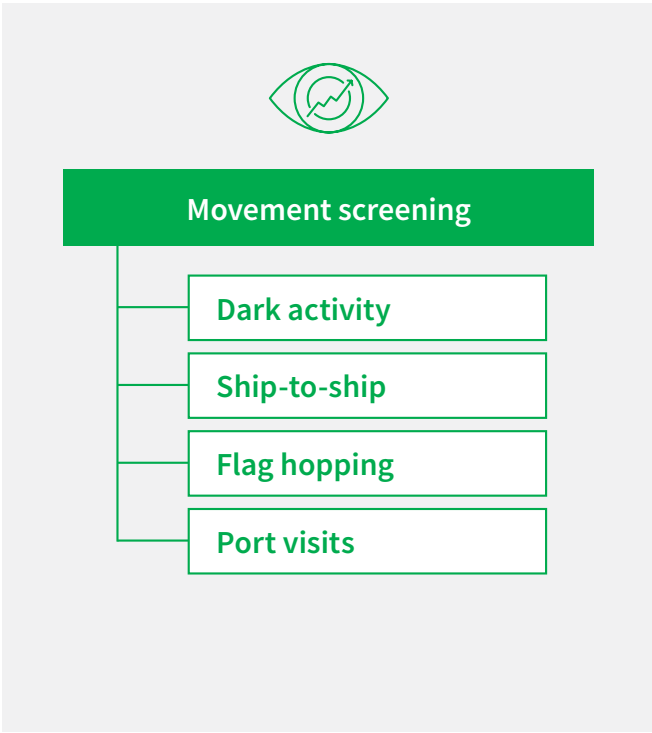
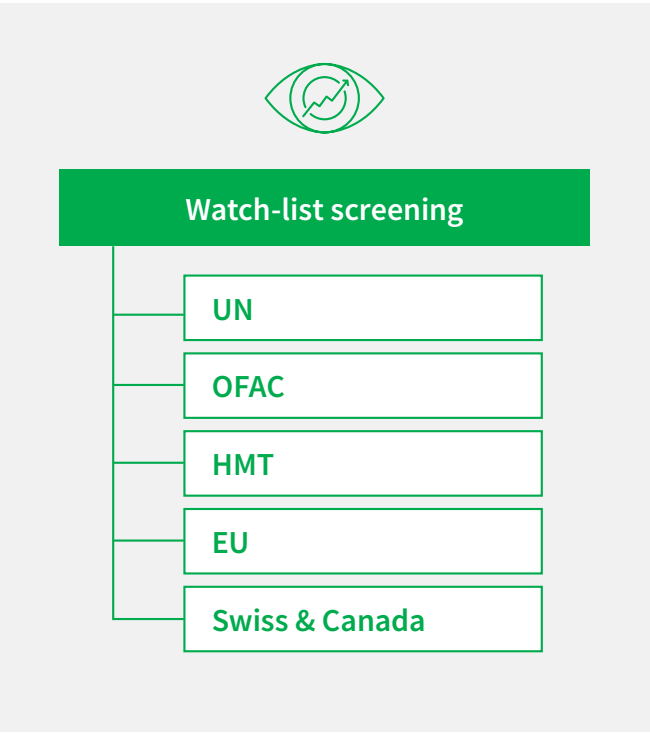
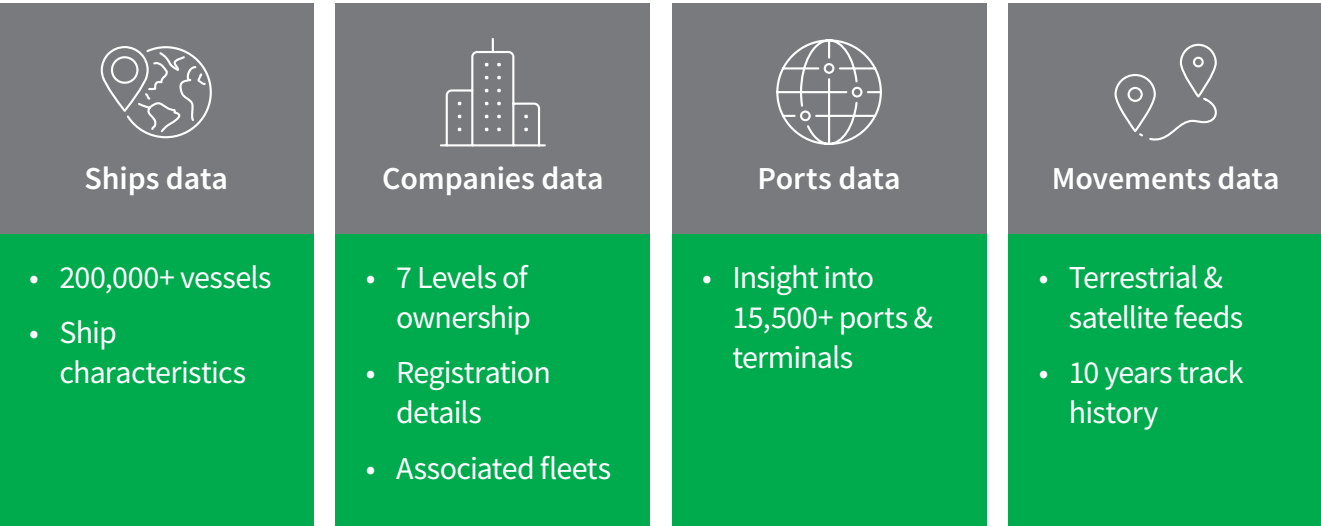
KYC: Sanctions, PEPs, Adverse Media

**10m+**  
risk profiles

**120,000+**  
unique sources

# Trade compliance solutions: shipping

IHS Markit assigns the vessels IMO number on behalf of the UN and manages the world's largest corporate network of ship owners and managers



# Trade compliance solutions: dual-use goods

Specialist product and goods database combined with AI technology minimises false positives when identifying dual-use and military items



Military & Defence



Chemicals



Engineering



Electronics & Computers

**500,000** product names, acronyms, synonyms, serial and part numbers

Current output results of IHS Markit's dual-use goods model:



100,000 random goods descriptions



96.3% of goods accurately identified as not dual-use



False positive ratio = 3.7%  
True positive ratio = 0.9%



Bill of lading

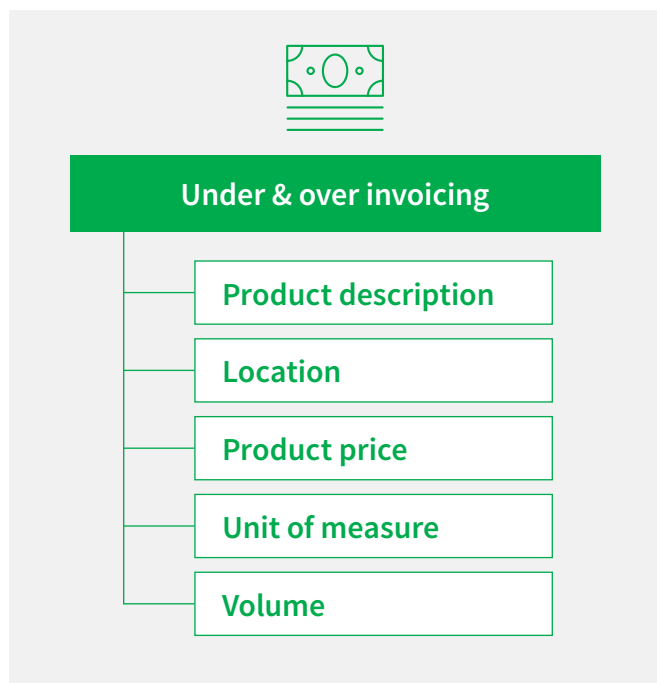


Goods descriptions

**500,000+** bill of lading 'goods descriptions' added to IHS Markit's dual-use goods model for machine learning and accuracy purposes

# Trade compliance solutions: under/over invoicing

Evaluate the fair price of globally traded goods - from industrial machinery to consumer products



**117**

Monthly data sets †

**101**

Monthly reporting countries / states

**+20,000**

HS product goods

**>96%**

Of global bilateral trades\*\*

**Delivery**

Monthly via CSV, API Services, & Online Interface

\*\* Based on World Bank estimate of global merchandise trade in 2019 at \$38.4 trillion

† Some reporting countries/states have multiple data sets with varying sources or methodologies

## The most comprehensive macro trade statistics database

- The Only Historical Data Set available  
30+ Years
- Visibility of all Traded Goods  
Quantities, Values and Unit Price of traded goods (e.g. T-shirts, Cereals, Chemicals)
- Currency and Unit Conversions  
In-built with conversion tables on CCY and UNITS
- Harmonised System Codes “HS”  
Data is reported under “HS” Codes across all chapters, down to the granular Tariff Line level.
- Commodity Coder  
Translating natural language product description to HS description.

# Trade compliance solutions: KYC & AML

Compliment trade screening with checks on shippers, consignees, companies and entities found on trade documents

## Global regulatory information database



**10M+ profiles** built from **120,000+ unique sources**, **fully-transparently sourced**, and summarised into **easy-to-read profiles** in a SaaS-based solution

## 800+ government, regulatory and disciplinary lists



- Global & U.S. sanctions
- Securities exchange actions
- Fugitive lists
- Exclusions lists
- Fraud warnings
- Debarment lists
- Disciplinary actions
- Enforcement actions
- Law enforcement press

## Adverse media



- Daily media scanning includes newspapers, magazines, TV / radio, transcripts, etc. from over 120,000 sources
- Screened over 2.5 billion media articles to establish world's most formidable "negative news" franchise
- Largest collection of terrorists, fraudsters, criminals

## Politically exposed persons



- Government officials
- Senior legislative branch, military & judicial figures
- State-controlled businesses in key sectors & key executives
- Ambassadors & top diplomatic officials
- Family, associates & advisors
- Multi-national organizations & associated leadership

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## About IHS Markit

IHS Markit (NYSE: INFO) is a world leader in critical information, analytics and expertise to forge solutions for the major industries and markets that drive economies worldwide. The company delivers next-generation information, analytics and solutions to customers in business, finance and government, improving their operational efficiency and providing deep insights that lead to well-informed, confident decisions. IHS Markit has more than 50,000 business and government customers, including 80 percent of the Fortune Global 500 and the world's leading financial institutions. Headquartered in London, IHS Markit is committed to sustainable, profitable growth.

