### Initial Screening Report

**{{ name }}**

**{{ date }}**

Contents

[1. Company Profile 3](#_Toc187323965)

[2. Executive Summary 4](#_Toc187323966)

[3. Detailed Findings 5](#_Toc187323967)

[**A. Sanctions** **6**](#_Toc187323968)

[**B. Anti-Bribery and Anti-Corruption 7**](#_Toc187323969)

[**C. Government Ownership and Political Affiliations 8**](#_Toc187323970)

[**D. Financial Indicators 8**](#_Toc187323971)

[**E. Other Adverse Media 9**](#_Toc187323972)

[**F. Cybersecurity 10**](#_Toc187323972)

[**G. ESG 11**](#_Toc187323972)

[**H. Regulatory & Legal 12**](#_Toc187323972)

[4. Data Sources 13](#_Toc187323973)

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| --- |
| Company Profile |

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | {{ name }} | **Location** | {{ location }} |
| **Address** | {{ address }} | **Website** | {{ website }} |
| **Active Status** | {{ active\_status }} | **Operation Type** | {{ operation\_type }} |
| **Legal Status** | {{ legal\_status }} | **National Identifier** | {{ national\_id }} |
| **Alias** | {{ alias }} | **Incorporation Date** | {{ incorporation\_date }} |
| **Subsidiaries** | {{ subsidiaries }} | **Corporate Group** | {{ corporate\_group }} |
| **Shareholders** | {{ shareholders }} | **Key Executives** | {{ key\_exec }} |
| **Revenue** | {{ revenue }} | **Employee** | {{ employee\_count }} |

|  |  |
| --- | --- |
| {% if risk\_level == "High" %}**Overall Risk RATING** | **High** |
| {% elif risk\_level == "Medium" %} **Overall Risk RATING** | **Medium** |
| {% elif risk\_level == "Low" %}**Overall Risk RATING** | **Low{% endif %}** |

|  |
| --- |
| **Summary of findings** |
| **{{ summary\_of\_findings }}** |

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| --- |
| Executive Summary |

The below ratings are assigned:

|  |  |
| --- | --- |
| **Risk Areas** | **Risk Rating** |
| Sanctions | {{ sanctions\_rating }} |
| Anti-Bribery and Anti-Corruption | {{ anti\_rating }} |
| Government Ownership and Political Affiliations | {{ gov\_rating }} |
| Financial Indicators | {{ financial\_rating }} |
| Other Adverse Media | {{ adv\_rating }} |
| Cybersecurity | {{ cyber\_rating }} |
| ESG | {{ esg\_rating }} |
| Regulatory & Legal | {{ regulatory\_and\_legal\_rating}} |

Summary of the findings noted are as under:

|  |  |
| --- | --- |
| **Risk Areas** | **Summary** |
| Sanctions | {% for value in sanctions\_summary %}   * {{ value }}{% endfor %} |
| Anti-Bribery and Anti-Corruption | {% for value in anti\_summary %}   * {{ value }}{% endfor %} |
| Government Ownership and Political Affiliations | {% for value in gov\_summary %}   * {{ value }}{% endfor %} |
| Financial Indicators | {% for value in financial\_summary %}   * {{ value }}{% endfor %} |
| Other Adverse Media | {% for value in adv\_summary %}   * {{ value }}{% endfor %} |
| Cybersecurity | {% for value in cyber\_summary %}   * {{ value }}{% endfor %} |
| ESG | {% for value in esg\_summary %}   * {{ value }}{% endfor %} |
| Regulatory & Legal | {% for value in ral\_summary %}   * {{ value }}{% endfor %} |

|  |
| --- |
| Detailed Findings |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  | | --- | | {% if sanctions\_rating == "High" %}**Sanctions** **High** | | *This section shall list third parties and related entities of all economic or financial sanctions, sectoral sanctions, secondary sanctions, trade embargoes and anti-terrorism laws, including but not limited to those imposed, administered, or enforced from time to time by US-OFAC, UNSC, the European Union, the United Kingdom, or any other Governmental authorities.* | | {% elif sanctions\_rating == "Medium" %}**Sanctions** **Medium** | | *This section shall list third parties and related entities of all economic or financial sanctions, sectoral sanctions, secondary sanctions, trade embargoes and anti-terrorism laws, including but not limited to those imposed, administered, or enforced from time to time by US-OFAC, UNSC, the European Union, the United Kingdom, or any other Governmental authorities.* | | {% elif sanctions\_rating == "Low" %}**Sanctions** **Low** | | *This section shall list third parties and related entities of all economic or financial sanctions, sectoral sanctions, secondary sanctions, trade embargoes and anti-terrorism laws, including but not limited to those imposed, administered, or enforced from time to time by US-OFAC, UNSC, the European Union, the United Kingdom, or any other Governmental authorities.* | | {% elif sanctions\_rating == "None" %}**Sanctions** **No Alerts** | | *This section shall list third parties and related entities of all economic or financial sanctions, sectoral sanctions, secondary sanctions, trade embargoes and anti-terrorism laws, including but not limited to those imposed, administered, or enforced from time to time by US-OFAC, UNSC, the European Union, the United Kingdom, or any other Governmental authorities.{% endif %}* |   {% if sanctions\_findings == True %}   |  |  |  | | --- | --- | --- | | Definition | Rating | Details | | {%tr for finding in sape\_data %} | | | | {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} | | {%tr endfor %} | | |   {% elif sanctions\_findings == False %}  Sanctions   |  | | --- | | **NO TRUE HITS IDENTIFIED** |   {% endif %}{% if pep\_findings == True %}   |  |  |  | | --- | --- | --- | | Definition | Rating | Details | | {%tr for finding in pep\_data %} | | | | {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} | | {%tr endfor %} | | |   {% elif pep\_findings == False %}  Politically Exposed Person   |  | | --- | | **NO TRUE HITS IDENTIFIED**{% endif %} |  |  | | --- | | {% if anti\_rating == "High" %}**Anti-Bribery and Anti-Corruption** **High** | | *This section shall list third parties and related entities that have been charged or reported to be accused of bribery and corruption.* | | {% elif anti\_rating == "Medium" %}**Anti-Bribery and Anti-Corruption** **Medium** | | *This section shall list third parties and related entities that have been charged or reported to be accused of bribery and corruption.* | | {% elif anti\_rating == "Low" %}**Anti-Bribery and Anti-Corruption** **Low** | | *This section shall list third parties and related entities that have been charged or reported to be accused of bribery and corruption.* | | {% elif anti\_rating == "None" %}**Anti-Bribery and Anti-Corruption** **No Alerts** | | *This section shall list third parties and related entities that have been charged or reported to be accused of bribery and corruption.* |   {% endif %}{% if bribery\_findings == True %}   |  |  |  | | --- | --- | --- | | Definition | Rating | Details | | {%tr for finding in bribery\_data %} | | | | {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} | | {%tr endfor %} | | |   {% elif bribery\_findings == False %}  Anti Bribery   |  | | --- | | **NO TRUE HITS IDENTIFIED** |   {% endif %}{% if corruption\_findings == True %}   |  |  |  | | --- | --- | --- | | Definition | Rating | Details | | {%tr for finding in corruption\_data %} | | | | {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} | | {%tr endfor %} | | |   {% elif corruption\_findings == False %}  Anti Corruption   |  | | --- | | **NO TRUE HITS IDENTIFIED**{% endif %} |  |  | | --- | | {% if gov\_rating == "High" %}**Government Ownership and Political Affiliations** **High** | | *This section shall list third parties and related entities that are fully or partly owned by the State or the Government of any countries, or by bodies that are owned or controlled by the State or the Government or are related to political influenced individuals meaning entrusted with positions in public functions or relative of such persons.* | | {% elif gov\_rating == "Medium" %}**Government Ownership and Political Affiliations** **Medium** | | *This section shall list third parties and related entities that are fully or partly owned by the State or the Government of any countries, or by bodies that are owned or controlled by the State or the Government or are related to political influenced individuals meaning entrusted with positions in public functions or relative of such persons.* | | {% elif gov\_rating == "Low" %}**Government Ownership and Political Affiliations** **Low** | | *This section shall list third parties and related entities that are fully or partly owned by the State or the Government of any countries, or by bodies that are owned or controlled by the State or the Government or are related to political influenced individuals meaning entrusted with positions in public functions or relative of such persons.* | | {% elif gov\_rating == "None" %}**Government Ownership and Political Affiliations** **No Alerts** | | *This section shall list third parties and related entities that are fully or partly owned by the State or the Government of any countries, or by bodies that are owned or controlled by the State or the Government or are related to political influenced individuals meaning entrusted with positions in public functions or relative of such persons.* |   {% endif %}{% if sown\_findings == True %}   |  |  |  | | --- | --- | --- | | Definition | Rating | Details | | {%tr for finding in sown\_data %} | | | | {{finding.kpi\_definition}} | **{{finding.kpi\_rating}}** | **{{finding.kpi\_details}}** | | {%tr endfor %} | | |   {% elif sown\_findings == False %}   |  | | --- | | **NO TRUE HITS IDENTIFIED**{% endif %} |  |  | | --- | | {% if financial\_rating == "High" %}**Financial Indicators** **High** | | *The section shall list third parties and related entities involvement in areas such as sanctions, bribery, corruption, government ownership, political affiliation, litigation, and bankruptcy.* | | {% elif financial\_rating == "Medium" %}**Financial Indicators** **Medium** | | *The section shall list third parties and related entities involvement in areas such as sanctions, bribery, corruption, government ownership, political affiliation, litigation, and bankruptcy.* | | {% elif financial\_rating == "Low" %}**Financial Indicators** **Low** | | *The section shall list third parties and related entities involvement in areas such as sanctions, bribery, corruption, government ownership, political affiliation, litigation, and bankruptcy.* | | {% elif financial\_rating == "None" %}**Financial Indicators** **No Alerts** | | *The section shall list third parties and related entities involvement in areas such as sanctions, bribery, corruption, government ownership, political affiliation, litigation, and bankruptcy.* |   {% endif %}{% if financial\_findings == True %}   |  |  |  | | --- | --- | --- | | Definition | Rating | Details | | {%tr for finding in financial\_data %} | | | | {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} | | {%tr endfor %} | | |   {% elif financial\_findings == False %}  Financials   |  | | --- | | **NO TRUE HITS IDENTIFIED** |   {% endif %}{% if bankruptcy\_findings == True %}   |  |  |  | | --- | --- | --- | | Definition | Rating | Details | | {%tr for finding in bankruptcy\_data %} | | | | {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} | | {%tr endfor %} | | |   {% elif bankruptcy\_findings == False %}  Bankruptcy   |  | | --- | | **NO TRUE HITS IDENTIFIED**{% endif %} | | |
| {% if adv\_rating == "High" %}**Other Adverse Media** **High** |
| *This section focuses on third parties that have negative/adverse media coverage on fraud, fair competition, securities exchange violations, tax violations, data privacy, etc.* |
| **{% elif adv\_rating == "Medium" %}Other Adverse Media** **Medium** | |
| *This section focuses on third parties that have negative/adverse media coverage on fraud, fair competition, securities exchange violations, tax violations, data privacy, etc.* | |
| **{% elif adv\_rating == "Low" %}Other Adverse Media** **Low** | |
| *This section focuses on third parties that have negative/adverse media coverage on fraud, fair competition, securities exchange violations, tax violations, data privacy, etc.* | |
| **{% elif adv\_rating == "None" %}Other Adverse Media** **No Alerts** | |
| *This section focuses on third parties that have negative/adverse media coverage on fraud, fair competition, securities exchange violations, tax violations, data privacy, etc.* | |

**{% endif %}{% if adv\_findings == True %}**

|  |  |  |
| --- | --- | --- |
| Definition | Rating | Details |
| {%tr for finding in adv\_data %} | | |
| {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} |
| {%tr endfor %} | | |

{% elif adv\_findings == False %}

|  |
| --- |
| **NO TRUE HITS IDENTIFIED**{% endif %} |

|  |
| --- |
| {% if cyber\_rating == "High" %}**Cybersecurity** **High** |
| *This section shall list third parties and related entities involved in data breaches, unauthorized access, malware incidents, regulatory non-compliance, and cybersecurity risks, including but not limited to those identified by NIST, ISO, GDPR, CCPA, and other relevant regulatory authorities.* |
| {% elif cyber\_rating == "Medium" %}**Cybersecurity** **Medium** |
| *This section shall list third parties and related entities involved in data breaches, unauthorized access, malware incidents, regulatory non-compliance, and cybersecurity risks, including but not limited to those identified by NIST, ISO, GDPR, CCPA, and other relevant regulatory authorities.* |
| {% elif cyber\_rating == "Low" %}**Cybersecurity** **Low** |
| *This section shall list third parties and related entities involved in data breaches, unauthorized access, malware incidents, regulatory non-compliance, and cybersecurity risks, including but not limited to those identified by NIST, ISO, GDPR, CCPA, and other relevant regulatory authorities.* |
| {% elif cyber\_rating == "None" %}**Cybersecurity** **No Alerts** |
| *This section shall list third parties and related entities involved in data breaches, unauthorized access, malware incidents, regulatory non-compliance, and cybersecurity risks, including but not limited to those identified by NIST, ISO, GDPR, CCPA, and other relevant regulatory authorities.* |

{% endif %}**{% if cyb\_findings == True %}**

|  |  |  |
| --- | --- | --- |
| Definition | Rating | Details |
| {%tr for finding in cyb\_data %} | | |
| {{finding.kpi\_definition}} | **{{finding.kpi\_rating}}** | **{{finding.kpi\_details}}** |
| {%tr endfor %} | | |

**{% elif** cyb**\_findings == False %}**

|  |
| --- |
| **NO TRUE HITS IDENTIFIED{% endif %}** |

|  |
| --- |
| {% if esg\_rating == "High" %}**ESG** **High** |
| *This section shall list third parties and related entities linked to environmental, social, and governance risks, including but not limited to carbon emissions, labor rights violations, corporate governance failures, and non-compliance with ESG frameworks such as UNPRI, GRI, SASB, and other relevant regulatory bodies.* |
| {% elif esg\_rating == "Medium" %}**ESG** **Medium** |
| *This section shall list third parties and related entities linked to environmental, social, and governance risks, including but not limited to carbon emissions, labor rights violations, corporate governance failures, and non-compliance with ESG frameworks such as UNPRI, GRI, SASB, and other relevant regulatory bodies.* |
| {% elif esg\_rating == "Low" %}**ESG** **Low** |
| *This section shall list third parties and related entities linked to environmental, social, and governance risks, including but not limited to carbon emissions, labor rights violations, corporate governance failures, and non-compliance with ESG frameworks such as UNPRI, GRI, SASB, and other relevant regulatory bodies.* |
| {% elif esg\_rating == "None" %}**ESG** **No Alerts** |
| *This section shall list third parties and related entities linked to environmental, social, and governance risks, including but not limited to carbon emissions, labor rights violations, corporate governance failures, and non-compliance with ESG frameworks such as UNPRI, GRI, SASB, and other relevant regulatory bodies.* |

{% endif %}**{% if esg\_findings == True %}**

|  |  |  |
| --- | --- | --- |
| Definition | Rating | Details |
| {%tr for finding in esg\_data %} | | |
| {{finding.kpi\_definition}} | **{{finding.kpi\_rating}}** | **{{finding.kpi\_details}}** |
| {%tr endfor %} | | |

**{% elif** esg**\_findings == False %}**

|  |
| --- |
| **NO TRUE HITS IDENTIFIED{% endif %}** |

|  |
| --- |
| **{% if regulatory\_and\_legal\_rating ==** "High" **%} Regulatory & Legal** **High** |
| *This section shall list third parties and related entities linked to environmental, social, and governance risks, including but not limited to carbon emissions, labor rights violations, corporate governance failures, and non-compliance with ESG frameworks such as UNPRI, GRI, SASB, and other relevant regulatory bodies.* |
| **{% elif regulatory\_and\_legal\_rating ==** "Medium" **%} Regulatory & Legal** **Medium** |
| *This section shall list third parties and related entities linked to environmental, social, and governance risks, including but not limited to carbon emissions, labor rights violations, corporate governance failures, and non-compliance with ESG frameworks such as UNPRI, GRI, SASB, and other relevant regulatory bodies.* |
| **{% elif regulatory\_and\_legal\_rating ==** "Low" **%} Regulatory & Legal** **Low** |
| *This section shall list third parties and related entities linked to environmental, social, and governance risks, including but not limited to carbon emissions, labor rights violations, corporate governance failures, and non-compliance with ESG frameworks such as UNPRI, GRI, SASB, and other relevant regulatory bodies.* |
| **{% elif regulatory\_and\_legal\_rating ==** "None" **%} Regulatory & Legal** **No Alerts** |
| *This section shall list third parties and related entities linked to environmental, social, and governance risks, including but not limited to carbon emissions, labor rights violations, corporate governance failures, and non-compliance with ESG frameworks such as UNPRI, GRI, SASB, and other relevant regulatory bodies.{% endif %}* |

{% if reg\_findings== True %}

|  |  |  |
| --- | --- | --- |
| Definition | Rating | Details |
| {%tr for finding in reg\_data %} | | |
| {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} |
| {%tr endfor %} | | |

{% elif reg\_findings == False %}

REGULATORY

|  |
| --- |
| **NO TRUE HITS IDENTIFIED**{% endif %} |

{% if leg\_findings == True %}

|  |  |  |
| --- | --- | --- |
| Definition | Rating | Details |
| {%tr for finding in leg\_data %} | | |
| {{finding.kpi\_definition}} | {{finding.kpi\_rating}} | {{finding.kpi\_details}} |
| {%tr endfor %} | | |

{% elif leg\_findings == False %}

LEGAL

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| **NO TRUE HITS IDENTIFIED**{% endif %} |

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| Data Sources |

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| --- | --- |
| Illustrative watchlists scanned through databases | |
| Bank of England Consolidated List | Specially Designated Nationals (SDN) – Syria |
| Bureau of Industry and Security List | Specially Designated Nationals (SDN) – Russia |
| Consolidated List – Australia | Weapons of Mass Destruction Proliferators (NPWMD) |
| FBI Hijack Suspects | Specially Designated Global Terrorists (SDGT) |
| FBI Top Ten Most Wanted | Specially Designated Narcotic Traffickers (SDNT) |
| Hong Kong Monetary Authority List | Specially Designated Narcotic Traffic Kingpins (SDNTK) |
| Interpol Most Wanted | Specially Designated Terrorists (SDT) |
| Monetary Authority of Singapore List | Blocked Pending Investigation – Patriot Act (BPI-PA) |
| Non-cooperative Countries and Territories | Blocked Pending Investigation – Specially Designated Narcotic Traffickers (BPI-SDNT) |
| OFAC's Specially Designated Nationals & Blocked Persons | Blocked Pending Investigation – Specially Designated Narcotic Traffic Kingpins (BPI-SDNTK) |
| Politically Exposed Persons | Primary Money Laundering Concern Institutions List |
| Terrorist Exclusion List | DFAT (Australia) Consolidated List |
| United Nations Consolidated List | OSFI Consolidated List (Individuals) |
| World Bank Debarred Parties | Canadian OSFI Consolidated List |
| Excluded Parties List System | Canada OSFI Cumulative Warning List |
| Debarred Parties List | EU Consolidated list |
| Other Weapons Proliferation Sanctions | Japan Foreign End Users of Concern |
| Foreign Terrorist Organizations | Singapore MAS Terrorism List |
| EU Combating Terrorism List |
| WMD End-Use Control Concerns: Iran |
| BIS (UK) WMD End-Use Control - Iran List |
| CSSF (Luxembourg) Sanctions List |
| SICCFIN (Monaco) Economic Sanctions |
| South Korea Ministry of Strategy and Finance - UN Iran List |
| UN Security Council Resolution 1737 (2006) Iran List |
| US Federal Reserve Board Enforcement Actions |
| UN Security Council Resolution 1747 (2007) Iran List |
| EU Combating Terrorism List |
| WMD End-Use Control Concerns: Iran |
| BIS (UK) WMD End-Use Control - Iran List |

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