

WorldCompliance™ Information

The WorldCompliance research operations group consists of hundreds of individuals, with fluencies in all major languages. The LexisNexis proprietary automated monitoring and detection systems, plus the strategic distribution of our research centers, yield continuous awareness of relevant risk events. The LexisNexis staff are geographically located to understand local markets, languages, and scripts. The blend of LexisNexis proprietary technology and subject matter expertise ensures you that the WorldCompliance data is comprehensive, relevant, and up-to-date

The WorldCompliance information helps you to rapidly and accurately identify and resolve potential entities that can represent regulatory, reputational, or financial risk to your organization. LexisNexis WorldCompliance content uses the following key data elements:

- **PII (personally identifiable information)**—information such as DOB (date of birth), POB (place of birth), photograph, passport IDs, national IDs, other forms of country identification, gender, titles, roles, country affiliations, and addresses.
- **Aliases**—different types that include nick names, common names, weak aliases, strong aliases, and names represented in native script. Weak and strong aliases are specific to sanctioned entities from the Office of Foreign Assets Control (OFAC) list.
- **Open source substantiation**—WorldCompliance data is fully substantiated with multiple source links and references to the source of the information.
- **Relationships**—between organizations, individuals, companies, and vessels are investigated by the LexisNexis research staff. The structure of the entity relationship trees permit LexisNexis to recursively build, examine, and discover second, third, or *any degree* of indirect relationships that may exist.

WorldCompliance monitors continuously more than 125 distinct sanctions lists.

The WorldCompliance Adverse Media and Enforcement categories include profiles for persons who have been arrested, charged, convicted, or sentenced for a relevant criminal offense, or have received disciplinary actions or fines.

Because there is no universally accepted definition for what qualifies as a PEP, WorldCompliance follows the Financial Action Task Force (FATF) definition. For specific jurisdictions, WorldCompliance takes into consideration country-specific laws that qualify an individual as a PEP, outside of the FATF classifications.

A PEP is further defined as any person who is, or has been, entrusted with a prominent function by an international organization. This includes members of senior management or individuals who have been entrusted with equivalent functions, such as directors, deputy directors, and members of the board.

PEPs also include foreign or domestic heads of state or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, and important political party officials.

WorldCompliance™ Reference Guide

World Compliance NEW REFINE PRINT EMAIL
ALAN WINDE

Search Criteria

Search Summary

Score A	Entity Name	Best Match	File Type	Source Date	<input type="checkbox"/> View All
96	Winde, Alan Richard	Winde, Alan Richard	WorldCompliance - Full	2020/09/17	<input type="checkbox"/>

[View Selected](#)

The confidence score is not a percentage; the confidence score is an indicator of how closely your input entity matches a screening list entity. This score can range from 0 (low) to 100 (high).

For example, a score of 100 does not mean that your input entity is the screening list entity. The score means some of the input information matches the screening list entity information, and you may want to further examine the alert to determine whether you need to take additional steps. XG reports only potential matches that meet the minimum score threshold. You set the minimum score threshold for each screening list that is searched.

World Compliance NEW REFINE PRINT EMAIL
ESKOM

Search Criteria

Search Summary

Score	Entity Name	Best Match	File Type B	Source Date C	<input type="checkbox"/> View All
92	Eskom Development Foundation	Eskom Development Foundation	WorldCompliance - Full	2020/09/07	<input type="checkbox"/>
92	Eskom Enterprises (Pty) Limited	Eskom Enterprises (Pty) Limited	WorldCompliance - Full	2020/09/07	<input type="checkbox"/>

[View Selected](#)

A Search Summary Section (Score)

Score Range	Description
100	Exact Match of Data Elements Considered
95-95	Highly Likely Match
94-90	Very Good Match
89-85	Good Match
84-80	Less Likely Match
79-75	Weak Match
74-0	Unlikely Match

B Search Summary Section (File Type)

The File Type is based on Screening Lists. We cater for three different types of File Types, which are:

- WorldCompliance – Full (All Categories of Risk included in this Watch list)
- WorldCompliance – Registrations (Registered Businesses (Special License Required. E.g. Dealing with Cash / Drugs)
- WorldCompliance – Sanctions and Enforcements (A sub-set of the Full File data)

C Search Summary Section (Source Date)

The Source Date is the date of when the report data was sourced by the user

1. Winde, Alan Richard [more info](#)

Match Summary			
Name	Winde, Alan Richard	Reason Listed	State:PEP:Govt Branch Member
Score	96	Entity Date	2011/07/18
Source Date	2020/10/16	Entity Type	Individual
Gender	Male		
ID Number	6503185135081 D	Proprietary UID	2295372

Comments	
Source	E International,Website
Level	F State
Category	G PEP
Subcategory	Govt Branch Member
Last Updated	2020/03/02

D Match Summary Section (ID's)

The ID's are unique identifiers for all entities that are shown in the report. Different ID types are shown for either an individual or a company. An entity can have more than one ID type shown on a report. The list of ID types are as follows:

- ABA Routing - 9 digit check routing code for Banks
- Bank Party ID - Bank Identification Number
- Cedula Number - Spanish License ID
- Chips UID - Clearing House Interbank Payments System Universal Identifier
- Customer Number - Customer Reference Number on file
- Drivers License Number - Drivers License Number on file
- DUNS Number - 9 digit number issued by Dunn and Breadstreet
- EIN Number - Employer ID Number on file
- GLN Number - Global Location Number
- IBAN Number - International Bank Account Number
- IBEI Number - Institut Barcelona Estudis Internacionals Number (University in Barcelona)
- Medicare ID - Medicare ID Number (United States)
- Medicare Reference - Medicare Reference Number (United States)

- Member Number - Member ID on file
- Military Number - Military ID on file
- ID Number - National Identity Number
- NIT Number - National Identity Number
- Passport Number - Passport Number
- Proprietary UID - Customer Generated Unique Identifier
- RTA Card Number - Road and Transport Authority ID
- SSN - Social Security Number (United States)
- Swift BEI - Business Entity Number (SWIFT)
- Swift BIC - Bank ID Code (SWIFT)
- Tax ID - Tax Identification Number on file
- VISA - VISA Card ID

E Comments (Source)

LexisNexis® uses a vast and constantly-changing number of sources to build its WorldCompliance profiles

F Comments (Level/Offense)

Levels field contains a list of exposure-level values that apply ONLY to a PEP. Where as the Offense field indicates any offense made by a State Owned Equity (SOE).

G Comments (Category)

LexisNexis® WorldCompliance™ data can help your organization identify individuals, companies, and other entities as part of a risk-based approach to AML (anti-money laundering) and CTF (counterterrorist financing) screening. WorldCompliance is composed of the following categories:

Adverse Media - This category contains information about entities that are linked to AML and CTF illicit activities based on news that is published by credible media sources.

Associated Entity - This category contains information about entities that are linked to at least one sanctioned entity.

Enforcement - This category contains information that originates from monitoring material that is published by official government agencies, international organizations, industry regulators, and disciplinary boards for events that meet qualifying standards and definitions.

PEP - The PEP (Politically Exposed Persons) category contains information about individuals who act in a senior prominent public function.

Sanction List - This category contains information from targeted sanctions lists worldwide.

SOE - This category contains information about government-owned or government-linked companies and organizations and their officials.

Associations H			
Association	Name	Proprietary UID	Link
Executive (PEP:Govt Branch Member)	Jacob Maroga	1693805	-
Executive (PEP:Former PEP)	Dan Marokane	2086625	-
Key Member (PEP:Former PEP)	Prish Govender	8908870	-

H Associations

Associations is a list of all entities linked to the subject. The association can be either individual or company.

Articles I		
Source	Date	Information
the nbcnews.com	2020/02/04	On February 04, 2020, a judge in South Africa issued an arrest warrant for former president Jacob Zuma for failing to appear in court in a corruption case. He is accused of receiving bribes from French arms manufacturer Thales through his former financial adviser.
iol.co.za	2019/11/19	On October 11, 2019 a full bench of the Pietermaritzburg High Court made a judgement and ruled that the Former President of South Africa, Jacob Zuma, must be prosecuted for corruption, fraud and money laundering charges emanating from the arms deal of 1999 that was worth ZAR 30,000,000,000. Allegedly, Jacob Zuma received bribes from French arms firm Thales. According news24.com; November 05, 2019: Jacob Zuma faces 16 charges that include one count of money laundering, two counts of corruption one count of racketeering and 12 counts of fraud connected to 783 payments that he allegedly received related to the controversial arms deal. He submitted an application for a permanent stay of prosecution which was dismissed by the Pietermaritzburg High Court.

I Articles

Articles are extracts that are focused on the searched entity. The table contains the source of the data as well as major information about the entity.

Additional Information J	
Date of Birth	1942-04-XX
Occupation	Former President of South Africa (May 09, 2009 - February 14, 2018). Accused of corruption - October 15, 2019. Charged with corruption - June 08, 2018. Charged with money laundering - September, 2017.

J Additional Information Section

This section displays any additional information that the database has on the searched entity. The list of Additional Information types are:

- Citizenship
- Complexion
- Distinguishing Marks
- Date of Birth
- Eye Colour
- Hair Colour
- Height
- Weight
- Incident
- Mothers Name
- Nationality
- Occupation
- Other
- Place of Birth
- Position
- Race
- Vessel Call Sign
- Vessel Flag
- Vessel GRT
- Vessel Tonnage
- Vessel Type