

Business Case 1: Source of Wealth report solutions

Context: A major private banking entity contacted Sqope to provide KYC assistance to support the acquisition of another bank. The client was obligated to identify the sources of wealth for hundreds of accounts belonging to the counter-party, within a cost and timeframe acceptable to the parameters of the acquisition, while remaining within regulations.

Solution: Within one week, Sqope's intelligence division assembled a bespoke, high-level solution for the client:

- Assembly of a crack team of multi-lingual analysts with backgrounds relevant to the jurisdictions of the majority of the client's accounts around the world.
- Construction of a tailored, source of wealth-focused reporting methodology and report outline together with the Client. The report provided would enable the client to efficiently gauge how each account-holder acquired their wealth, while also identifying high-level risk issues that could warrant further due diligence.
- Establishment of a convenient delivery pace to allow the Client's compliance department to efficiently evaluate report results.

Outcome: Sqope's bespoke "Source of Wealth" team delivered all reports to the client ahead of schedule. Throughout the process, the Client had full access to Sqope's team leader to consult on potential red flags. In some cases, further due diligence was conducted in order to further mitigate client risk.

Business Case 2: Successful HNWI Onboarding

Context: A Lugano-based wealth manager's request to open an account for an Eastern Europe-based HNWI was rejected after the bank's compliance team found the prospect's name associated with fraud allegations, per information in a commercial database.

Solution: At the wealth manager's request, Sqope undertook enhanced due diligence research into the prospect and uncovered a case of mistaken identity. The prospect's individual tax ID number and additional personal data confirmed that he had been misidentified with a similarly-named person who was the subject of fraud allegations.

Outcome: The wealth manager presented Sqope's objective research and transparent sources to another reputable bank that approved the account opening.

Business Case 3: M&A Client Due Diligence

Context: Two established Swiss banks engaged in a high-profile transaction faced issues due to media articles alleging inadequate AML practices at the bank subject to the merger.

Solution: Under pressure from financial regulators, the acquiring bank mandated Sqope to undertake comprehensive client due diligence on its counterparty's portfolio within a tight deadline. Sqope implemented a tailored solution to screen hundreds of cases within several weeks.

Outcome: Sqope's reports effectively identified problematic accounts, impacted the price of the transaction, and the acquirer bank presented the reports to the regulators, who approved the merger.

Business Case 4: Assessing Business Partners

Context: A Luxembourg-based law firm advising a client on a potential investment relied on Sqope to assess their client's joint-venture partner in a complex emerging markets transaction.

Solution: Sqope's analyst team independently verified the joint-venture partner's corporate assets, professional career, transaction history, and business associates. Detailed research revealed possible concerns related to political exposure and sanctions violations involving a black-listed third-party subcontractor.

Outcome: Based on Sqope's findings, the law firm advised its client to amend the terms of its joint venture. The law firm now relies on Sqope to screen all emerging markets business ventures.

Business Case 5: Resolving Dormant Accounts

Context: A medium-sized private bank in Zurich relied on Sqope's assistance to trace hundreds of dormant account-holders and their beneficiaries worldwide. The bank could not complete its liquidation process until it had successfully resolved its dormant accounts.

Solution: Sqope deployed its in-house analyst expertise, extensive access to premium information sources, and a global network of licensed investigative professionals in over 40

countries to clarify the status and contact information for all dormant account-holders and their beneficiaries.

Outcome: Sqope's dormant account tracing solutions enabled the bank to comply with rigorous financial sector regulations and conclude its liquidation process.

Business Case 6: Executive Search for C-Level recruitment

Context: An EU-based asset manager retained Sqope to independently evaluate a candidate for a management position at one of its representative offices.

Solution: Sqope's analysts spotted discrepancies in the candidate's CV, determined that the candidate used multiple identities to register companies, and relied on link analysis to demonstrate how the candidate misrepresented his professional qualifications.

Outcome: Sqope's findings persuaded the hiring managers to remove the problematic candidate from the recruitment process and opt for a more qualified applicant for the position.