



# Software Solutions for FinCEN Compliance



*ATTUS Technologies' FinCEN GuardDOG solution provides an easy means of checking the FinCEN list and complying with Section 314(a) of the USA PATRIOT Act.*

**Section 314(a)** of the USA PATRIOT Act authorizes the Financial Crimes Enforcement Network (FinCEN) to establish a mechanism to request information about suspected terrorist financing and money laundering from financial institutions. FinCEN is a network of law enforcement partners whose mission is to protect the U.S. financial system as an extension of the Treasury Department.

Financial institutions must comply with these requests quickly and confidentially. To comply, institutions must conduct a one-time search of records to identify any matches to FinCEN's list of suspected terrorists, drug dealers, arms dealers, organized crime bosses, corrupt politicians and other criminals under investigation. A new list is released every two weeks.

ATTUS' FinCEN GuardDOG solution makes compliance simple through special features including:

- An encrypted list so the names cannot be read
- Searches can be run as an individual look up or as a batch process running through all records
- Password protection limits usage only to authorized individuals
- Eliminates false positives through advanced search technology
- Transaction and hit reports help meet notification requirements quickly and easily
- Processing log proves institution is compliant

- Provides step by step procedures for confirming positive matches and understanding notification and record keeping procedures

FinCEN GuardDOG runs on a variety of Microsoft platforms.



**Single Version** FinCEN GuardDOG can run in almost any Windows environment. This solution enables the user to perform a single-name or company lookup as well as run a batch with a customer list. Batches can be run on any core processor and third party delimited files including wire logs and safety deposit records.

**Outsourced Batch Processing** ATTUS can serve as a company's outsourced compliance department through batch processing services. Institutions send in customer files via a secure e-mail system

and ATTUS runs a scan of those files against the FinCEN list to determine if there are any customer record matches. Compliance experts review the result for false positives and a complete report detailing what was checked and identifying any matched records is sent back to the institution. These batches can be run daily, weekly, monthly, quarterly or annually depending on an institution's needs.

For more information on FinCEN GuardDOG and all of the other compliance solutions that ATTUS Technologies offers, please visit the ATTUS website at [www.attustech.com](http://www.attustech.com) or call 888-494-8449.