

Canon Customer Identity Verification and Compliance (CIVC)



Key Features and Benefits

FEATURES

- Canon CIVC solution is flexible and offers a variety of configuration options to meet the needs of small and large companies
- Scan directly from Canon DR-Series Scanners or MFP devices into Canon imageWARE™ Document Manager database or file server
- Using eCopy connectors, scan to typical content management repositories
- Easily index documents for retrieval
- Quickly retrieve, view, share, and present copies of the actual identity documents
- Capture and retain identity documents such as awaiting SS#/TIN certifications, customer information discrepancy reports, government list verification reports, foreign-owned business papers, non-U.S. citizen ID, etc.
- Separate and protect records obtained under USA Patriot Act requirements from other account records in accordance with the regulations
- Set document expiration dates
- Accessing database is simple using a standard Web browser

BENEFITS

- Helps financial firms comply with the records retention requirements under Sect. 326 by providing a seamless path for documents to move from paper to the database, thus completing the records retention requirement in one step
- Automatic document imaging relieves need to type notes describing the documents
- Saves time and money by retrieving and presenting copies of documents upon law enforcement inquiry
- From the IT perspective, Canon CIVC solution products are simple to deploy and maintain, and can easily scale
- The investment in the CIVC solutions is amplified, as the products also can be used for other purposes

In October 2001, the USA Patriot Act was signed into law. Rules implementing Section 326 of the USA Patriot Act set forth minimum standards for financial institutions regarding the identification and verification of any customer who applies to open an account. These new regulations require the implementation of procedures for (1) verifying the identity of any customer seeking to open an account; (2) maintaining records of the information used to verify the customer's identity; and, (3) determining whether the customer appears on a government list of known or suspected terrorists or terrorist organizations.

The Canon Customer Identification and Verification Compliance (CIVC) solution is a combination of Canon hardware and software products that can be configured by a financial institution to help it easily capture, maintain, and retrieve records and documents relied upon to verify the customer's identity.

As part of the normal new-account-opening process, staff members simply scan and deposit documents into imageWARE Document Manager, other document management databases, or file servers from Canon MFP or DR-Series scanner devices. Based on access rights, staff can share and retrieve

records/documents, thus saving time and money complying with law enforcement inquiries. The identity documents can be easily protected using cabinets and access rights. This is important since regulations prohibit the use of certain customer information, such as race, for marketing purposes.

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USA Patriot Act Customer Identification Program

REQUIREMENT	CANON PRODUCT APPLICATION	CANON CIVC COMPONENTS ¹
Collection of Required Information	<ul style="list-style-type: none"> • Scan and index consumer, business, and foreign account owner ID documents such as non-U.S. citizen, unfamiliar ID documents, awaiting SS#/TIN certifications, business papers • Forward incoming faxed documents to E-mail or database: <ul style="list-style-type: none"> - indirect lending operations - mortgage operations - asset management operations • Receive Indirect Lending ID documents 	<ul style="list-style-type: none"> • imageRUNNER MFP² • DR-Series Scanners² • eCopy ScanStation • eCopy Connectors • imageWARE Scan Manager • ImageWARE Document Manager • CD-4050 Digital Document Recorder
Identity Verification	<ul style="list-style-type: none"> • Scan and store Information Discrepancy and Resolutions Reports • Look up, retrieve, and print stored ID and account documents 	
Record-keeping and Retention	<ul style="list-style-type: none"> • Minimizes data entry • Accelerates account-opening process • Captures and indexes documents for easy retrieval and sharing • Separates Customer Identification Program (CIP) records from other customer records • Deposits documents in a variety of document management databases • Creates electronic repository and backup • Sets document expiration date 	
Comparison with Government Lists	<ul style="list-style-type: none"> • Capture and store OFAC, FinCEN Reports 	
Notice of CIP Requirements	<ul style="list-style-type: none"> • Stores CIP Notice in the imageRUNNER Mail Box for on-demand, local printing 	

¹ The combination of Canon CIVC Components will depend on your specific requirements. Please contact your local Canon-authorized Dealer for more information.
² Applicable model will depend on customer needs.

Please consult your own professional advisor, as the information provided herein is a summary of significant issues, and may not address all issues unique to your business and compliance with the USA Patriot Act.

Sample Canon CIVC Solution Architecture

