

# NWAudit-Compliance

This software suite is a complete tool set of compliance technology. It meets FinCEN requirements. Each module addresses a specific area of regulatory responsibility: Title 31, Tax Forms, Patron Management, E-Filing and Training. New Wave carefully monitors changes in compliance requirements. We supply regular and timely software updates to address any regulatory changes that may occur.

## Title 31

NWAudit-Title31 tracks all combined patron activity from manual entries and every third party system your property uses. You can also add ID image and social security verification to your compliance system.

Given this real time information, it automatically generates all the logs, reports and forms for you. Archived data is simple to query and export for both internal and external audits.

## Tax Forms

This module aggregates disbursements and automatically populates the gaming tax form for you. It includes critical safeguards available only from this real time tracking: identify duplicate social security numbers, banned patrons and avoid double entries on logs.

You can customize this module for disbursement types and missing information alerts as well. Again, archives are easy to access.

## Patron Management

Just like the name implies, this software gives you the tools to manage your patron data. It gives you one electronic database that stores all your information - from credit applications and ID images to the account status.

Reports are useful in identifying and correcting duplicates and errors. With proper password access, data can be updated and changed.

## E-Filing

When you E-file with our software, the information stays with your filing entity (compliance, audit). This module interfaces with the NWAudit-Title31 and Tax Forms modules to generate forms or you can manually create them.

You submit directly through the BSA for Title 31 and SARC forms. End of year tax forms are submitted directly to the IRS.

## Training

This is a simple and easy to use framework for training staff on compliance to the Anti Money Laundering Act. The content is fully qualified by audit companies with deep expertise in the gaming environment.

The module can be customized for internal procedures, difficulty levels and acceptable comprehension.

## ID Ace

Swipe an ID using a hand held or a small USB device and the program displays:

✓Overall ✓18 or Older ✓21 or Older ✓Banned ✓OFAC ✓Expired

The device is secured by password access at three levels.

A red X indicates if the ID fails one of the tests. Patron information is stored in a database for future use. That includes the swipe data from the driver's license (not all states provide the same data), user security, OFAC and banned list data.

If you'd like a more detailed presentation or a product demo, please give us a call.