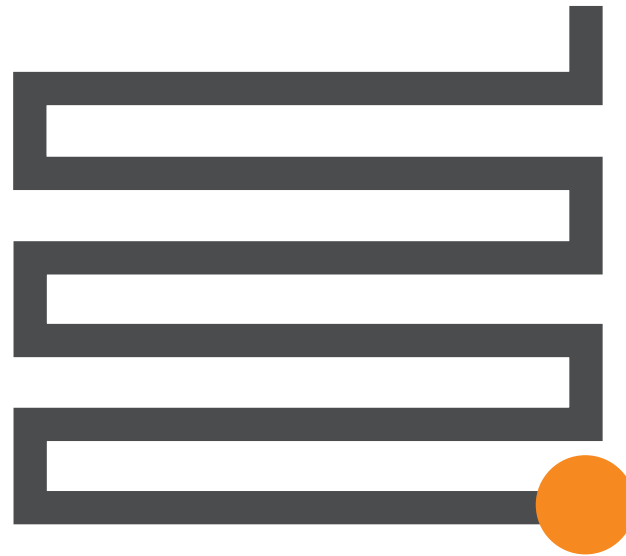


# Thomson Reuters Enhanced Due Diligence

**Enhance. Simplify. Protect.**



Thomson Reuters Enhanced  
Due Diligence

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# Background and integrity checks with Thomson Reuters Enhanced Due Diligence

Our Enhanced Due Diligence reports provide detailed background checks on individuals and entities as part of wider anticorruption, anti-money laundering, or other compliance programs. Our reports are used by organizations globally to enhance and simplify the due diligence process and protect against reputation damage.

We offer a number of different specialized reports to suit your needs:

- Lite Report
- Lite Plus Report
- Report
- Premium Report
- Foreign Corrupt Practices Act Report (FCPA Report)
- UK Bribery Act Report (UKBA Report)
- Economic Citizenship Report
- Source of Wealth Reports (SoW Reports)
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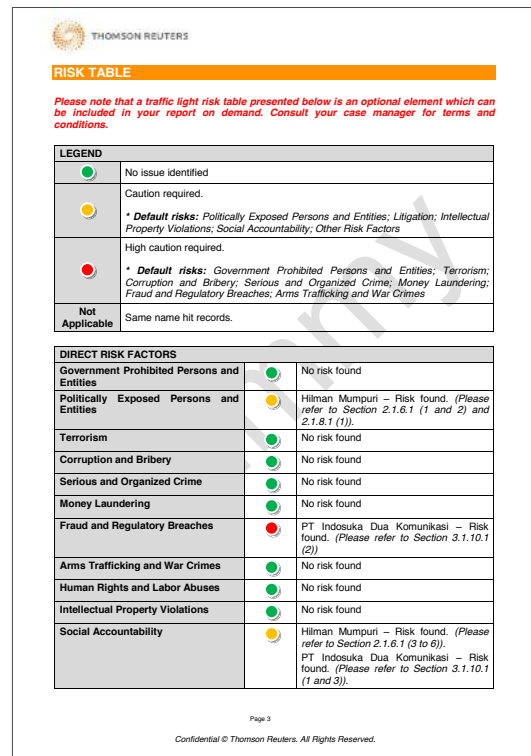
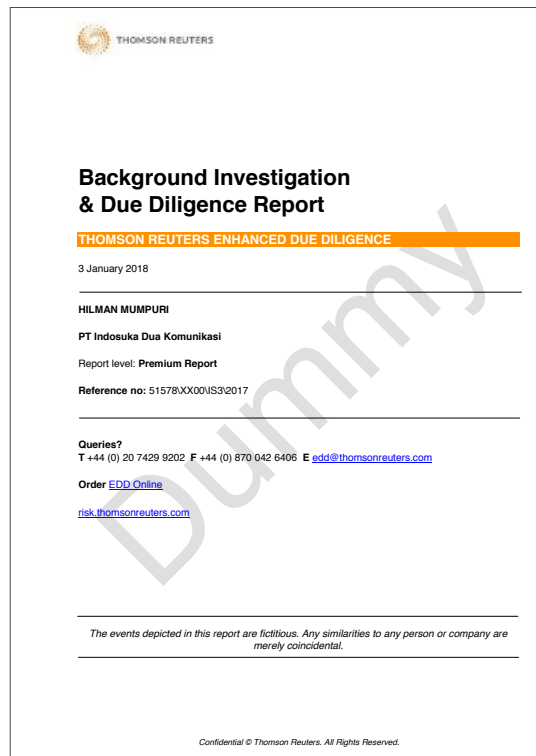
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# Lite Report

This entry-level report is designed to screen subjects for major derogatory information. Covering major compliance databases and media, this report offers basic due diligence and is provided in English only.

The report is ideal for clients requiring a low cost, high volume, rapid turnaround solution.

Turnaround times start at 24 hours.

## Report Content Structure

Item	Explanation
1 <b>Executive Risk Summary</b>	A summary of major risks identified regarding the report subject and the environment in which it operates.
2 <b>Global Compliance Searches</b>	Searches of major international online sanctions lists and World-Check's proprietary suite of risk and compliance databases.
3 <b>International English Electronic Media Searches</b>	Searches of major international online media and a search of prominent internet pages for derogatory information regarding the report subject.

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# Lite Plus Report

The Lite Plus report includes everything in the Lite Report as well as local language searches.

Turnaround times start at 6 working days.

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**EXECUTIVE SUMMARY**

**Hilman Mumpuri**, 62, is the President Director and founder of PT Indosuka Dua Komunikasi. He is also the founder, Ultimate Beneficial Owner, Chairman and Chief Executive Officer of Indosuka Dua Group since 1984. PT Indosuka Dua Komunikasi was found to be a key member of the Indosuka Dua Group.

In 2014, Hilman Mumpuri was listed by the Fortune magazine as the 15th richest man in Indonesia with total wealth of USD 2.2 billion.

**PT Indosuka Dua Komunikasi**, which was formerly known as PT Indosuka Nosa Dao, was incorporated on 2 January 1990. It is limited liability company with an issued and paid-up capital of IDR 598,000,001,000. PT Indosuka Dua Komunikasi is primarily engaged in telecommunication, hotel, cement, consumer's goods, retailing, department store and transportation businesses in Indonesia. The Ultimate Beneficial Owner of the company is Hilman Mumpuri.

Industry sources identified Hilman Mumpuri as a high profile Indonesian businessman who has a poor reputation due mainly to his proximity to controversial or discredited business and political figures. The subject hails from a wealthy Chinese business family in Jakarta and came to prominence in his own right during the 1970's and '80's when his PT Indosuka Dua Group entered into business with Faiz Gamil Mohammed Aziz and Fidel Analido Aziz, sons of the former Politician and Vice President Landy (deceased) who presided over a period of blatant crony capitalism in Indonesia.

The subject remains closely connected to powerful members of the Indonesian business and political elite in the post-Landy era. He is known to be a close associate of controversial Ameya group founder and political figure Malik 'Mali' T Ameya, who was Economics Minister for a short time in the first term of President Ma'qil Asad Ashraf's (Ashraf) government (1999-2004), and plans to run for Indonesian president in 2014. The subject is also known to be a large campaign donor to Ashraf's 2009 campaign. Furthermore, the government's purchase of Indosuka Dua Group's stake in PT Indosuka Air Transport is widely seen as payback for his political support of Ashraf.

It was reported that PT M-Engine Surabaya, in which the subject company (operating under its former name PT Indosuka Nosa Dao) was the major shareholder, was granted loans of nearly IDR 1 trillion by Bank Co-Indobit and Bank Al Hamid Indonesia. The company, a part of Surabaya Tourism Corporation, develops tourism in the Surabaya area. Although the entire project which consists of resorts, golf courses and the completion of a five-star hotel, costs about IDR 550 billion, the company was granted loans of IDR 1 trillion. The media questioned if this was due to the fact that Nazia Soraya Tibliki, the first daughter of the late former Indonesian Vice President Landy, was the Company's Commissioner.

Searches revealed that a few subsidiaries and affiliates of Indosuka Dua Group were involved in numerous land disputes with the local communities over their mining and logging activities in Indonesia that allegedly caused damages to the environment. Hilman Mumpuri is the key player in this company as mentioned.

Commenting on the above-mentioned issues, sources said that the Indosuka Dua Group was now concentrating on sustainability initiatives and corporate social responsibility (CSR) programs, primarily in its palm oil and mining businesses, a move to clean up Hilman Mumpuri's public image. It was widely held that the subject's communications team had bribed Indonesian

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# Standard Report

This report screens subjects for major derogatory information and identifies company owners and directors. It includes foreign language content and local checks for litigation, bankruptcy and other red flag issues. It is ideal for clients concerned about FCPA or AML requirements.

Turnaround times start at 10 – 12 working days.

## Report Content Structure

Item	Explanation
1 <b>Executive Risk Summary</b>	A summary of major risks identified regarding the report subject and the environment in which it operates.
2 <b>Global Compliance Searches</b>	Searches of major international online sanctions lists and World-Check's proprietary suite of risk and compliance databases.
3 <b>International English Electronic Media Searches</b>	Searches of major international online media and a search of prominent internet pages for derogatory information regarding the report subject.
4 <b>International Local Media Searches</b>	Search of online media and websites in the prevailing business language of the country of incorporation of the report subject for derogatory information.
5 <b>Company Background Analysis</b>	A search of publicly available corporate information regarding the report subject for filed registration details such as company number, registered name, registered address, ownership and management. All information would be sourced from official sources such as company registries.
6 <b>Civil Litigation, Regulatory, Criminality and Bankruptcy Searches</b>	Searches of online national databases or sources pertinent to the country of incorporation for the report subject for available records regarding civil litigation, bankruptcy, criminality and censure by government agencies. All information would be sourced from official sources such as court registries.
7 <b>Retrieval of official company documents from primary sources</b>	Full company registry search for available information on the ownership, management and historical development of the report subject. Where information is available connected individuals and businesses, including those present and past will be identified.

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## Standard Report – continued

Item	Explanation
1 <b>Executive Risk Summary</b>	An summary of major risks identified regarding the report subject and the environment in which it operates would be provided.
2 <b>Global Compliance Searches</b>	Searches of major international online sanctions lists and World-Check's proprietary suite of risk and compliance databases.
3 <b>International English Electronic Media Searches</b>	Searches of major international online media and a search of prominent internet pages for derogatory information regarding the report subject.
4 <b>International Local Media Searches</b>	Search of online media and web pages in the prevailing business language of the country of residence of the report subject for derogatory information.
5 <b>Civil Litigation, Regulatory, Criminality and Bankruptcy Searches</b>	Search of online national databases or sources pertinent to the country of residence for the report subject for available records regarding criminality, civil litigation, bankruptcy and censure by government agencies. All information would be sourced from official sources such as court registries.

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# Premium Report

Our Premium Report includes all components of Standard reports, but also adds general background and information on the reputation of the subject. It is ideal for high risk or high value transactions such as an IPO or M&A activity.

Turnaround times start at 15-18 working days.

## Report Content Structure

Item	Explanation
1 <b>Executive Summary and Analysis</b>	All information gathered is subjected to analysis and summary by a research analyst.
2 <b>Retrieval of official company documents from primary sources</b>	Full company registry search for available information on the ownership, management and historical development of the report subject. Where information is available connected individuals and businesses, including those present and past will be identified. Includes financial statements (where available).
3 <b>Comprehensive International English Electronic Media Searches</b>	Searches of major international online media and a search of prominent web pages for information regarding the report subject, its operations and its track record.
4 <b>Comprehensive International Local Media Searches</b>	Search of online media databases and web pages in the prevailing business language of the country of incorporation of the report subject for information regarding the report subject, its operations and its track record.
5 <b>Civil Litigation, Regulatory, Criminality and Bankruptcy Searches</b>	Search of online national databases or sources pertinent to the country of incorporation or residence for the report subject for available records regarding criminality, civil litigation, bankruptcy and censure by government agencies. All information would be sourced from official sources such as court registries.
6 <b>Business Intelligence</b>	Confidential background commentary from informed individuals within pertinent industrial sectors, government organizations and of opinion formers, for an indication of track record, local knowledge and industry insight in relation to the report subject.
7 <b>Ultimate Beneficial Owner (UBO) Unwrap</b>	Identification of all physical persons holding a significant percentage of the company's shares – directly or through aggregate, and those exercising control over it. We will not rely on pre-collected database source, but on most current information from corporate registries, wherever the shareholders may be.

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# Premium Report – continued

## Report options that can be added

<b>Reference Checks</b>	Contacting up to three referees identified by the client to confirm their apparent knowledge of the report subject and their experience of doing business with them. Subject to consent form from report subject being provided and delivery of referees' contact details by client.
<b>Education Verification</b>	Verification of highest level of professional qualification obtained by the report subject through direct contact with the University where possible and through public domain research elsewhere. Subject to consent form from report subject being provided and delivery of educational establishment details by the client.
<b>Employment Verification</b>	Verification of the report subject's apparent employment history with up to three former employers. Verification conducted through telephone, email and fax inquires and limited to up to 5 contact attempts per employer. Subject to consent form from report subject being provided and delivery of employer details by the client.
<b>Site Visit</b>	A visit to a commercial, public and accessible address provided by the client to provide photographic confirmation of the subject company's apparent presence in the building.
<b>Business Intelligence</b>	Confidential background commentary from informed individuals within pertinent industrial sectors, government organizations and of opinion formers, for an indication of track record, local knowledge and industry insight in relation to the report subject.

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## Report Comparison

Lite	Lite Plus	Standard	Premium
Exact Name Check Only	Exact Name Check Only	Full Naming Variation Checks on all known and identified aliases	Full Naming Variation Checks on all known and identified aliases
Negative English Media & Internet Database Checks	Negative English and Local Language Media and Internet Database Checks	Negative English and Local Language Media and Internet Database Checks	Full English and Local Language Media and Internet Database Checks
Global Compliance Checks	Global Compliance Checks	Global Compliance Checks	Global Compliance Checks
		Retrieval of Official Corporate Records and Company Background Analysis	Retrieval of Official Corporate Records and Company Background Analysis
		Individual Business Interest Checks, Directorship Checks and Individual Background Analysis	Individual Business Interest Checks, Directorship Checks and Individual Background Analysis
		Litigation Checks	Litigation Checks
		Bankruptcy Checks	Bankruptcy Checks
		Regulatory Checks	Regulatory Checks
			Executive Risk Summary & Analysis
			Business Intelligence and Reputational Source Inquiries
			UBO Unwrap – identification of all physical persons holding a significant percentage of the company's shares

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# Foreign Corrupt Practices ACT Report (FCPA Report)

## Failure to comply with FCPA requirements can have significant consequences

The Foreign Corrupt Practices Act (FCPA) prohibits paying, offering to pay or authorizing to pay money or anything of value to a foreign official, foreign political party or any candidate for political office in order to obtain, retain or direct business to any person. In simple word, the Act prohibits paying or offering to pay or authorizing to pay any bribe (in cash or kind or otherwise) to any foreign political party or foreign official for obtaining any business whatsoever. Such an activity cannot be done even through an intermediary.

The graph to the left details the number of FCPA enforcement actions initiated by the U.S. Department of Justice (DOJ) and the U.S. Securities and Exchange Commission (SEC) during each of the past ten years.

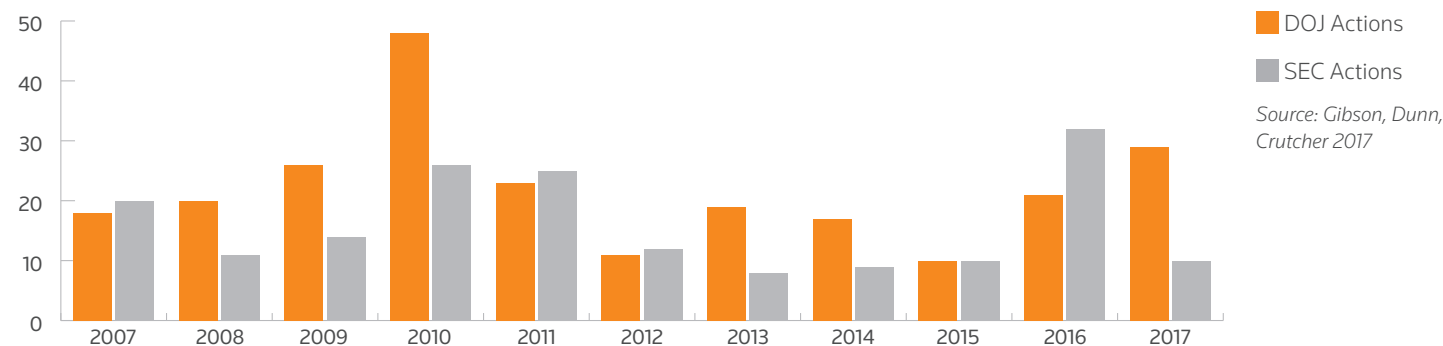
## How we can help

Foreign Corrupt Practices Act Reports are an invaluable tool when it comes to complying with FCPA requirements. Detailed information helps you to uncover hidden risk and make informed decisions.

The Report includes:

- An executive summary, including:
  - Direct risk factors
  - FCPA red flag indicators
- A jurisdiction transparency assessment
- International compliance and regulatory searches
- Foreign official check
- Company corporate analysis
- Company operational analysis
- Company track record analysis
- Litigation, bankruptcy, regulatory and law enforcement checks
- Criminality checks
- English and local language adverse media & internet database checks

## 2017 FCPA Enforcement Actions



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# United Kingdom Bribery Act Report (UKBA Report)

## The uk bribery act has near-universal jurisdiction, allowing for the prosecution of individuals or companies linked to bribery

The United Kingdom Bribery Act (UKBA) covers the crimes of bribery, being bribed, the bribery of foreign public officials and the failure of a commercial organization to prevent bribery on its behalf. The Act has a near-universal jurisdiction, allowing for the prosecution of an individual or company with links to the United Kingdom, regardless of where the crime occurred. This Act is more comprehensive than the FCPA. For example, the FCPA only prohibits bribes to foreign officials, whereas the UKBA prohibits bribes paid to any person; the FCPA indicts only the person who bribes, but under the UKBA even accepting bribes constitutes a passive offense.

### How we can help

UKBA Reports are offered to clients as a tool to comply with the stringent requirements of the UKBA. Detailed information helps you to uncover hidden risk and make informed decisions.

The Report includes:

- An executive summary, including:
  - Direct risk factors
  - Bribery Act compliance red flag indicators
- A jurisdiction transparency assessment
- International compliance and regulatory searches
- Foreign official check
- Company corporate analysis
- Company operational analysis
- Company track record analysis
- Litigation, bankruptcy, regulatory and law enforcement checks
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- English and local language adverse media & internet database checks

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# Economic Citizenship Report

## Background checks for Immigrant Investor Programs and Economic Citizenship

Investor Immigrant Programs (IIPs) are an effective method of raising capital investment and attracting talent and experience that help to boost regional economic growth. However, any significant inflow of cash brings with it the risk of money laundering or financial impropriety.

A common challenge for program administrators is the ability to quickly and efficiently verify information and claims about an individual's background. Information can be difficult to find because countries have different documentation requirements, while there is a growing sophistication in the actions of those who would deliberately abuse or try to circumvent the process. The trick is to manage controls and any subsequent risk without slowing down the pace of business, since there is a finite pool of high net worth individuals that meet desired business experience criteria.

## How we can help

Our Economic Citizenship report provides a thorough and detailed background check on any individual, no matter where they are located. This cost-effective and time efficient solution is delivered by skilled research analysts, who are experienced at locating difficult-to-find information. Business conduct and reputation history are analyzed and a thorough search is made for hidden liabilities.

The report verifies all vital information necessary for decision making, including:

- Education credentials
- Company associations
- Physical address
- Employment records

It also presents insight into:

- Track records
- Competencies
- Potential conflicts of interest
- Political and criminal links

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# Source of Wealth Report (SoW Report)

## A detailed profile to help you ensure that an individual's funds are derived from legitimate business means

In order to protect your organization from enforcement action or – worse – reputational damage, it is vital that you understand the source of wealth of those with whom you do business. If your clients or counterparties have derived funds from illegitimate means, including bribery, fraud or money laundering, there could be severe consequences. Sophisticated criminals are adept at concealing the source of illegitimate funds and tracking the exact source is not always straightforward.

## How we can help

The SoW Report aims to construct a detailed profile of an individual's business profile to ensure his or her funds are derived from legitimate business means and to help you to make informed decisions.

Examples of information retrieved in the course of SoW research:

- Money invested in a deposit account and interest gained
- Investment originating from sale of property/business
- Inheritance
- Compensation payment
- Accumulated cash from trading profit
- Shares owned
- Assets (including real estate, luxury goods and vehicles)
- Divorce/alimony settlement
- Individual subject's wealthy family members (if available)
- Derogatory information, e.g., sanctioned countries and sanctioned parties

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# Source of Wealth Report (SoW Report) – Continued

## Report types

<p>This report provides quick and crisp insight into a subject's source of wealth status.</p> <ul style="list-style-type: none"> <li>• Global compliance checks through World-Check® database</li> <li>• Comprehensive public domain checks to identify and analyze the known sources of wealth and funds, including directorship, property ownership and corporate ownership checks</li> </ul>	<p>Our best-in-class Standard SoW Report provides comprehensive Enhanced Due Diligence checks and a full picture of the subject's net worth.</p> <ul style="list-style-type: none"> <li>• Global compliance checks through World-Check database</li> <li>• Comprehensive public domain checks to identify and analyze the known sources of wealth and funds, including directorship, property ownership and corporate ownership checks</li> <li>• An executive summary</li> <li>• An at-a-glance risk table, detailing all direct and indirect risks (e.g., PEP or money laundering risk flags), including indirect country-related risk factors</li> <li>• Background on the subject and specified associated individuals (including personal details, directorship check, source of wealth and other available information)</li> <li>• Comprehensive public domain research on the subject and specified associated individuals</li> <li>• Our trained bi- or trilingual analysts conduct extensive internet research and check multiple Thomson Reuters sources, such as Eikon and World-Check, and external databases as well as news aggregators; records of misconduct or any past accusations of involvement in illegal activities will be included</li> <li>• Litigation, bankruptcy, law enforcement and regulatory checks</li> </ul>	<p>Our Premium SoW Report provides the most detailed insight into the subject's sources of wealth and funds, and general background derived from public and nonpublic sources.</p> <ul style="list-style-type: none"> <li>• Global compliance checks through World-Check database</li> <li>• Comprehensive public domain checks to identify and analyze the known sources of wealth and funds, including directorship, property ownership and corporate ownership checks</li> <li>• An executive summary</li> <li>• An at-a-glance risk table, detailing all direct and indirect risks (e.g., PEP or money laundering risk flags), including indirect country-related risk factors</li> <li>• Background on the subject and specified associated individuals (including personal details, directorship check, source of wealth and other available information)</li> <li>• Comprehensive public domain research on the subject and specified associated individuals</li> <li>• Our trained bi- or trilingual analysts conduct extensive Internet research and check multiple Thomson Reuters sources, such as Eikon and World-Check, and external databases as well as news aggregators; records of misconduct or any past accusations of involvement in illegal activities will be included</li> <li>• Litigation, bankruptcy, law enforcement and regulatory checks</li> <li>• Highest ethical standard of collecting human intelligence via the most comprehensive network of sources in the market provides access to original intelligence not available through the public domain, giving our clients a crucial competitive advantage</li> </ul>
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# Ultimate Beneficial Ownership Report (UBO Report)

## Entering into a contract with a company without full knowledge of beneficial ownership, past or present, can introduce significant risk to an organization

There are several complex issues surrounding ultimate beneficial ownership (UBO). Recommendations in order to comply with expected legislation include customer due diligence and record-keeping, regulation and supervision and transparency of legal persons and arrangements. Even an unwitting contravention of legislation can have extreme consequences.

In terms of expected legislation, a legal entity will be required to hold information on its own beneficial ownership that is accurate, current and adequate. This will be presented on request to authorities, supervisors and entities conducting due diligence. For multinational companies, ensuring adherence to proposed directives cannot be achieved by the formulation and implementation of group-wide policies and procedure.

### How we can help

Our structured approach to identification and checking the UBO's of important third parties ensures up to date and auditable compliance. UBO's are screened against World-Check risk intelligence to:

- Uncover risk associated with all global sanctions and watch and enforcement lists
- Uncover political exposure (PEPs) and crime related to money laundering, bribery and corruption

### Key features of the UBO report

- **Set your own shareholder threshold** – FATF recommends a shareholder value threshold of 25% minimum. You can stipulate the share ownership threshold between 10–25% as a minimum based on your risk appetite
- **Data sources** – only official company registries are accessed, where permitted. There is no reliance on intermediary information
- **Ownership level** – in multi-layered organizations, checks are conducted on up to three levels of third party ownership. More can be done if required
- **Screening** – identified UBO's are screened against World-Check risk intelligence. Enhanced due diligence reports can be ordered for suspicious entities
- **Rescreening service** – ongoing monitoring and rescreening to ensure up-to-date information
- **Report output options** – individual or mass reports in Excel format with a company structure feature
- **Research flexibility** – to fit the demands of your specific risk based guidelines
- **Audit trail** – full regulatory checks to prove compliance
- **Multilingual capability** – information is gathered in 60+ primary languages
- **Strength in emerging markets** – direct access to company registry records in many jurisdictions

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Lite Plus Report

Standard Report

Premium Report

A Snapshot

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United Kingdom Bribery Act Report (UKBA Report)

Economic Citizenship Report

Source of Wealth Report (SoW Report)

**Ultimate Beneficial Ownership Report (UBO Report)**

Director's Declaration Verification Report (DDVR)

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# Director's Declaration Verification Report (DDVR)

## Pre-formatted reports for verification of individuals

AIM NOMADs (Alternative Investment Market Nominated Advisers) are companies which are gatekeepers, advisers and regulators of entities dealing on the Alternative Investment Market (a sub-market on the London Stock Exchange). According to NOMADs regulations, these companies must complete documented enhanced background check on each nominated director. This type of report is known as a Director's Declaration Verification Report (DDVR). Each director is required to fill out a Director's Questionnaire (DQ), which covers personal details (date of birth, nationality, and address), directorships (former and current) and other background information.

DDVRs are necessary:

- When companies list on the AIM
- When advising clients about joint ventures or possible mergers
- When taking on new directors or partners
- Moreover, DDVRs are not just best practice; they are required by AIM rules

## How we can help

Enhanced Due Diligence Reports offer a thorough and effective screening solution tailored to the challenges faced in this sector. Our reports cover the requirements of the London Stock Exchange (LSE) and AIM regulations to ensure that clients meet the appropriate levels of screening, whilst providing auditable proof of due diligence.

Our reports help with:

- Verification of information given in the DQ
- Obtaining information on all business affiliations of the individual
- Other derogatory research checks

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# Competitive Advantages

There are compelling reasons for choosing Thomson Reuters Enhanced Due Diligence. Not only do we offer competitive, transparent pricing and rapid turnaround times, but reports can be ordered online to further streamline your compliance process.

At Thomson Reuters, we never rely on pre-collected data that could be obsolete or employ outdated research techniques. Rather, we pride ourselves on delivering quality research, produced by highly trained analysts and make use of the most current data and techniques available. At Thomson Reuters, we never obtain information by misleading sources. Rather, we always adhere to Thomson Reuter’s highest standards of integrity and discretion.

## Key Benefits

- In-house researchers to guarantee information quality
- In-house supporting teams, including knowledge management; content management and business process improvement teams to provide access to the best in class sources and search methodologies
- An extensive global network of vetted in-country resources for relevant and top-quality reputational insight to fill in any risk gaps
- Capacity to research in more than 60 local languages
- Key staff are industry certified anti-money laundering and anti-fraud specialists
- Secure online ordering and delivery options via online user interface and API solution

Competitive, transparent pricing and rapid turnaround times

## Subscription Service

Instead of ordering due diligence reports on an ad hoc basis, you can purchase a points package – choosing one of four options – and select an invoicing plan that best suits your budget. The points included in each package provide for a set number of due diligence reports which can be ordered when needed. Each package also includes bonus points that represent extra spending power. Any points not used are carried over to the next subscription without penalty. Users therefore benefit from a significant volume discount as well as a streamlined ordering and invoicing process.

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