

Internal Watchlists

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Customer Success
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Contents

- 1. Introduction / 3
- 2. Using the Template File..... / 3
 - a) Columns A - J
 - b) Columns K - Q
 - c) Columns R - V
- 3. Uploading the Template File..... / 6

1. Introduction

The Internal Watchlists functionality has been developed to allow you to create your own watchlists that will be included in the screening process. This will allow you to compile bespoke lists for the system to screen against, outside of the Dow Jones database. You can create lists for any purpose and if the screened record appears both on your list and within the Dow Jones database the result will show both within your Screening (Hosted Batch) system.

2. Using the template file

When the KYC360 Implementation team set this module up for you they will provide a unique Internal Watchlists Template file. The process is like the original Screening (Hosted Batch) upload file, in that you must complete the data for the records you wish to create a watchlist from and then upload it into the Screening system.

	A	B	C	D	E	F	G	H	I	J
1	ClientID	InterfaceRef	EntityTypeID	GenderID	StatusID	LastName	FirstName	MiddleName	Title	Suffix
2	101	IWL5001	1	1	1	BLAIR	TONY	CHARLES LYNTON	WING COMMANDER	

Columns A – J

Begin to fill in the file by adding (Mandatory fields are indicated):

Client ID – Mandatory This is the environment Identifier. You can find this by clicking into settings in the top right-hand corner of the platform and then clicking into Profile, as shown

Interface reference - Mandatory – The interface reference is the unique identifier for the record you are creating. You can use something that makes sense internally and should be easily differentiated from your client’s interface references.

Entity Type ID - Mandatory – This is where you are distinguishing between a natural person or a corporation. Entity Type 1 = Person Entity Type 2 = Corporation

Gender ID – This is where you are telling the platform the gender of the record you are creating. Gender Type 1 = Male, Gender Type 2 = Female Gender Type 8 = Not Applicable (to be user for a corporation)

Status ID – Mandatory - The status is whether this record is active or inactive within the system. This will mean that the record will be active on the list. This gives flexibility to ‘remove’ records from being active within a watchlist. If you make a record inactive it will no longer be matched with screenings.

Last Name – Mandatory - This is where you would add the Last Name of a person, that you would like to add to your Internal Watchlist, or, if you are adding a corporation the full incorporated name should appear here.

First Name – This should only be used when a person is being added to the Internal Watchlist.
INTERNAL WATCHLISTS 4

Middle Name – This should only be used when a person is being added to the Internal Watchlist. You can add all middle names here, using a space to separate them.

Title – This is optional but should only be used for a person being added to the Internal Watchlist. Titles might include Mr, Mrs, Rev. Dr, Lord etc.

Suffix - Similar to 'title' this field is optional and should only be used for adding a person to the Internal Watchlist. Suffixes might include Jr, iii,

Columns K – Q

These columns are optional, you can add them if you have previously screened your client and you know they hold the below status. You may also have prior information that you would like to include within the Internal Watchlist record. This information can be updated at any time, to include this information with the watchlist record in future.

K	L	M	N	O	P	Q
IsPEP	IsRCA	IsWBL	IsSAN	IsAVM	IsOTH	IsUNK
1	0	0	0	0	0	0

Is PEP – This should be changed from a 0 to a 1 if you know that the person the record is for holds the status of a Politically Exposed Person.

Is RCA – This should be changed from a 0 to a 1 if you know that the person the record is for holds the status of a Relative or Close Associate of a PEP.

Is WBL – This should be changed from a 0 to 1 if you know that the person or entity the record is for is considered to be watch/blacklisted.

Is SAN – This should be changed from a 0 to a 1 if you know the person or entity the record is for is Sanctioned.

Is AVM – This should be changed from a 0 to a 1 if you know the person or entity has Adverse Media corresponding to them.

Is OTH – This is in relevance to anything that is returned from screening results by Refinitiv database, which you may not be using, that doesn't fit into any of the above categories.

Is UNK – This is in relevance to anything that is returned from screening results by Dow Jones database, which you may not be using, that doesn't fit into any of the above categories.

Each status will then appear under the record tabs for the client after screening has taken place, as shown below:

ALEXANDER BORIS DE PFEFFEL JOHNSON PEP Inactive Watch or Black Listed Potential Matches

358506

Overview Aliases (8) Details Related (36) Comments Documents (0)

See Previous Roles	Members of the National Legislature	
Prime Minister of the United Kingdom	Heads & Deputies State/National Government	24 Jul 2019 - 06 Sep 2022
Secretary of State for Foreign and Commonwealth Affairs	National Government Ministers	13 Jul 2016 - 09 Jul 2018
Minister for the Civil Service	National Government Ministers	24 Jul 2019 - 06 Sep 2022
Minister for the Union	National Government Ministers	24 Jul 2019 - 06 Sep 2022
Member, House of Commons	Members of the National Legislature	07 Jun 2001 - 04 Jun 2008
Member, House of Commons	Members of the National Legislature	07 May 2015 - 12 Jun 2023
First Lord of the Treasury	Senior Civil Servants-National Government	24 Jul 2019 - 06 Sep 2022
Chairman, Metropolitan Police Authority (MPA)	State Agency Officials	01 Oct 2008 - 27 Jan 2010
Deputy Chairman, Conservative Party	Political Party Officials	01 Jul 2003 - 01 Jul 2004
Leader, Conservative Party	Political Party Officials	23 Jul 2019 - 05 Sep 2022
Mayor of London	City Mayors	02 May 2008 - 05 May 2016

Columns R – V

The below columns are also not mandatory, as optional fields they add richness to the record. They can also be amended at any time by changing the detail in the form and reuploading.

R	S	T	U	V
Aliases	Dates	Countries	Addresses	Notes
2,BLAIR,TONY,,,6,TOOMBSTONE,TONY,,,	1,06,May,1953;1,,Jul,1953;1,,,1954;8,30,Jun,2015	1,235;2,235;4,235	10 Mansion Gardens,London,23	This is the notes field containing free text

Aliases – If you have knowledge of the client’s known aliases you may include them in the record here. Separate aliases with commas. This may include native language forms of the client’s name, or AKA names of the incorporation.

Dates – You can add any relevant dates to be associated with the record here. These would typically be the date of birth or date of incorporation. Separate dates with commas. Dates should be indicated using the following codes:

STDT_ID	STDT_NAME
1	Date of Birth
2	Deceased Date
3	Date of Registration
4	Date of Nationalism
5	Date of Privatisation
6	Cessation Date
8	Inactive as of (PEP)
9	Inactive as of (RCA related to PEP)

Countries – You can add any relevant countries to be associated with the record. These would typically be country of birth or country of incorporation but might also include country of

domicile or residence and location of major offices. Separate countries with commas. Countries that are indicating different association can be named using the codes below:

STCT_ID	STCT_NAME
0	Unknown
1	Citizenship
2	Resident of
3	Jurisdiction
4	Country of Affiliation
5	Country of Registration
6	Enhanced Risk Country
7	Country of Reported Allegation
8	Sanctioned Region
9	Formerly Sanctioned Region

Addresses – You can add any relevant addresses to be associated with the record. Separate words and numbers with commas.

Notes – This is a free notes field that you can use to add any details that you'd like to be kept with the record.

It is advisable to create a master file for your template and add or adapt records from there. You can then upload the file directly to the platform whenever you want to make any changes to your current Internal Watchlist.

3. Uploading the Template File

From the home screen within the Screening platform, you will see the option to Upload Internal Watchlist, as shown below:



The option will then be available to browse for your template file to begin the upload.

Upload Internal Watchlist ◀ Home

Internal Watchlist File Path: *
Browse for input file... Browse

Number of Header Rows: *
1

Delimiter / File Format: *
Excel Files (*.xls | *.xlsx)

Import Internal Watchlist File

Select the correct file and the Import button will become available. You may now select to import the file. If this is successful, you will see a green banner and a message that says the import was successful.

The Internal Watchlist screening happens at the same time as the batch run, overnight UK time. You will therefore see the results of your clients being screened against your newly created Internal Watchlist the next morning.

The results will appear in Potential Matches in the same way as screening results against the Dow Jones database will appear there. You can then flag these in the same way.

KYC360

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