



Salesforce App User Manual

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Introduction

The RiskScreen Salesforce App enables you to conduct AML screening of your clients at onboarding and on a continuous basis. This manual will detail what RiskScreen is capable of and how to take advantage of these capabilities.

Fundamentally the RiskScreen Salesforce App stores a list of your clients and periodically screens them against a list of Dow Jones Data Entities that may be:

- Politically Exposed
- Sanctioned
- On a Special Interest Watchlist
- Relative or Close Associate of any of the above
- Adversely reported in the Media

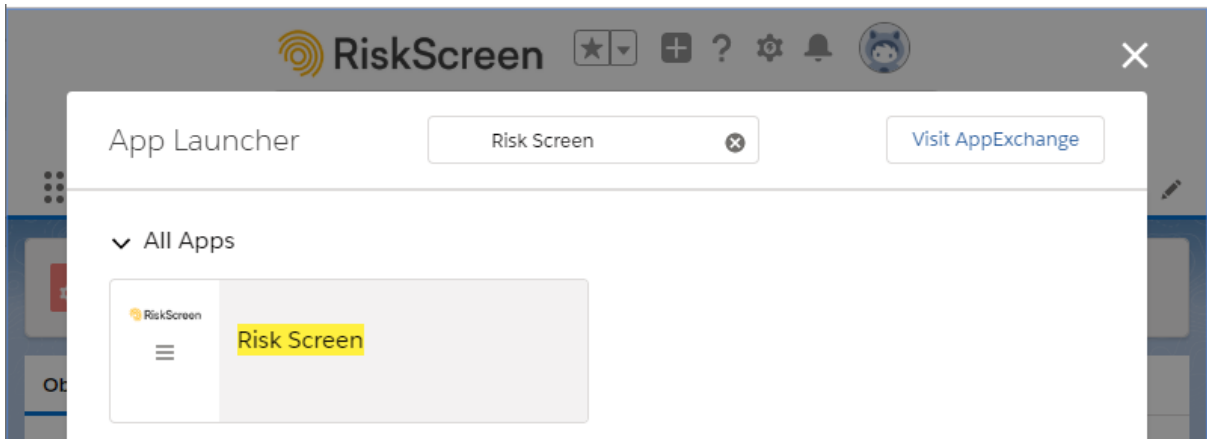
This screening process will identify potential matches between your Client Entities and the list of Dow Jones Data Entities. Due to the incompleteness of some of the client or screening data and the possibility that different people or entities may have the same name, human interaction is required to confirm (Flag) or reject (Discount) false positives.

The Salesforce application interacts with RiskScreen in a two step process. When a new client is added to Salesforce, this client record is then sent to RiskScreen through scheduled automated batch runs or real-time interactive screen. The client data is added to its database ready to be scanned. Any potential matches results are then generated in RiskScreen database and sent to Salesforce per scheduled batch runs.

User Interface

Launching Risk Screen

You can launch the Risk Screen app by searching for “Risk Screen” via the App Launcher in your Salesforce

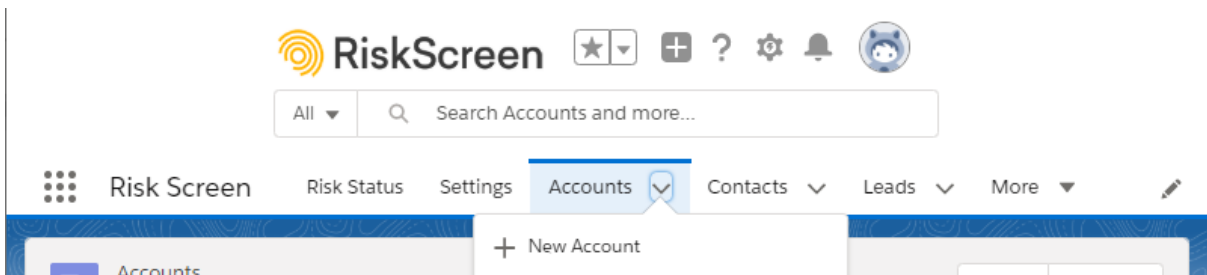


Adding a client

Client records can be added using any of Salesforce structure, Accounts, Contacts, Leads.

Accounts

Click on dropdown arrow next to account to select “New Account”



Select “Person Account” if you are creating record for individuals and “Business Account” for entities

New Account

Select a record type

Person Account

Business Account

For Person accounts, Risk Screen will use the Last Name and First Name only from the entry screen. Click on Save once request information is provided.

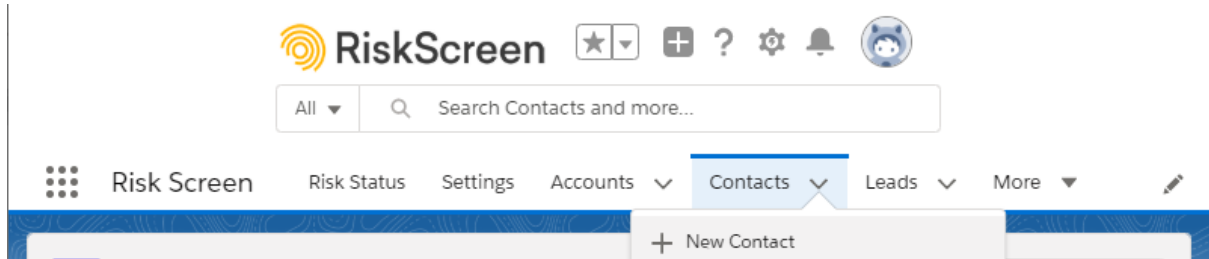
The screenshot shows the 'New Account: Person Account' form in the RiskScreen application. The form is divided into two main sections: 'Account Information' and 'Additional Information'. In the 'Account Information' section, the 'Account Owner' is pre-filled with 'Sherjeel Aman'. Other fields include 'Phone', 'Account Name', 'Salutation' (a dropdown menu currently set to '--None--'), 'First Name', 'Last Name' (marked with an asterisk as required), 'Fax', and 'Website'. The 'Additional Information' section includes 'Type' (dropdown, '--None--'), 'Employees', 'Industry' (dropdown, '--None--'), 'Annual Revenue', and a 'Description' text area. At the bottom of the form, there are three buttons: 'Cancel', 'Save & New', and 'Save'.

For entities type the name of the entity in “Account Name”

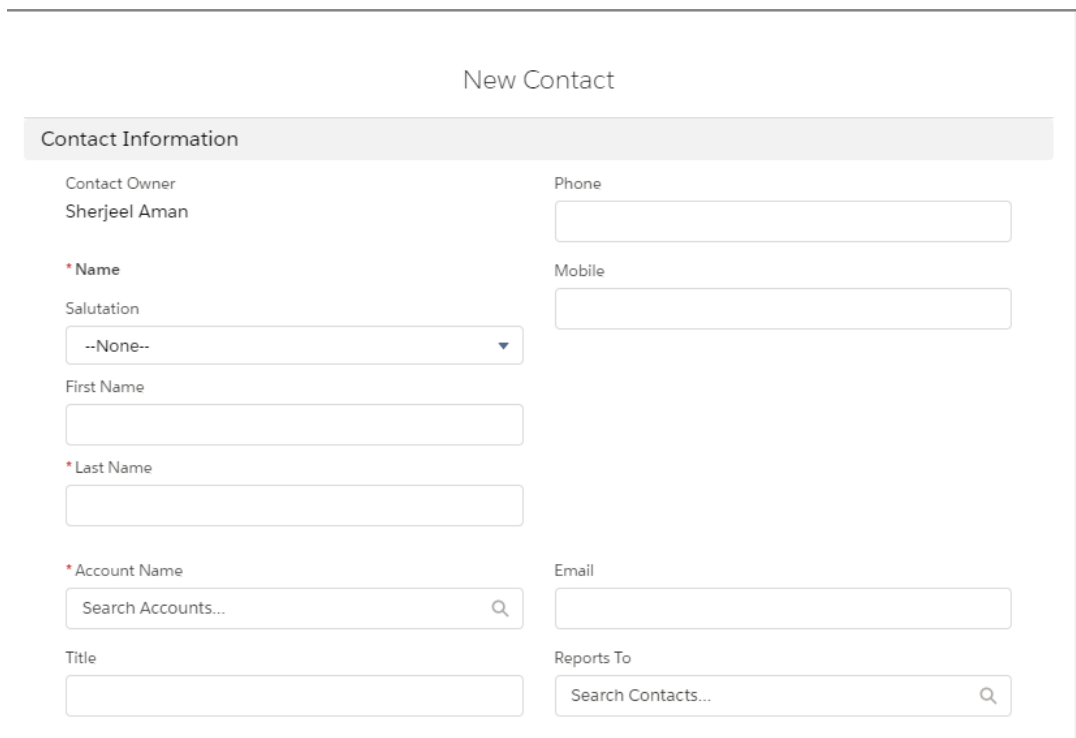
The screenshot shows the 'New Account: Business Account' form in the RiskScreen application. The form is divided into two main sections: 'Account Information' and 'Additional Information'. In the 'Account Information' section, the 'Account Owner' is pre-filled with 'Sherjeel Aman'. Other fields include 'Phone', 'Account Name' (marked with an asterisk as required), 'Fax', 'Parent Account' (with a search field labeled 'Search Accounts...'), and 'Website'. The 'Additional Information' section is partially visible at the bottom of the form.

Contacts

Click on dropdown arrow next to account to select “New Contact”.

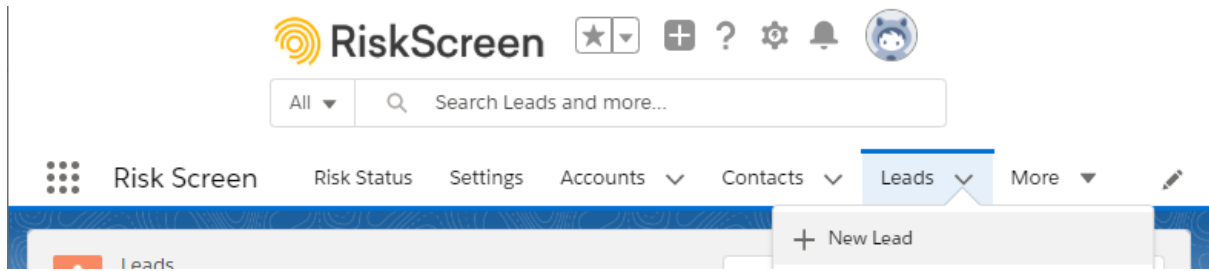


Note for contacts it is mandatory to link them with an existing “Account Name”. Risk Screen will use Last Name and First Name from the entry screen for screening purposes.

A screenshot of the "New Contact" form in the RiskScreen app. The form is titled "New Contact" and contains several fields for contact information. The fields are organized into two columns. The left column includes: "Contact Owner" (Sherjeel Aman), "* Name" (Salutation: --None--), "First Name", "* Last Name", "* Account Name" (Search Accounts...), and "Title". The right column includes: "Phone", "Mobile", "Email", and "Reports To" (Search Contacts...). The form is displayed in a light gray theme.

Leads

Click on dropdown arrow next to Leads to select “New Lead”




Users will be able to convert Leads to Contacts and will have the ability to set constraints using [System Settings] to either 1) Prevent conversion if there are open matches; or 2) Prevent conversion if the client has not been screened.

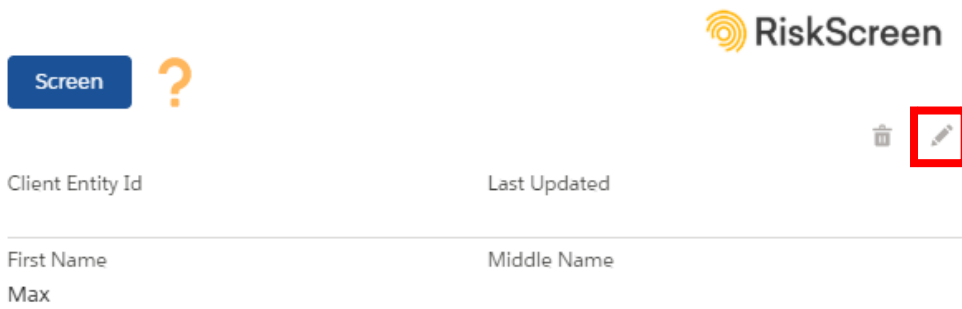
Risk Screen will use Last Name and First Name from the entry screen for screening purposes. Set Status to "Active" for lead to be included in the overnight batch process.

The screenshot shows the "New Lead" form in the RiskScreen app. The form is divided into two main sections: "Lead Information" and "Address Information".
Lead Information Section:
- Lead Owner: Sherjeel Aman
- * Lead Status: New (dropdown menu)
- * Name: Salutation (dropdown menu, currently "--None--")
- First Name: (text input field)
- * Last Name: (text input field)
- * Company: (text input field)
- Title: (text input field)
- * Status: Inactive (dropdown menu)
- Phone: (text input field)
- Email: (text input field)
- Rating: --None-- (dropdown menu)
Address Information Section:
- Address: (text input field with a "Search Address" button)
- Website: (text input field)
- Street: (text input field)
At the bottom right of the form are three buttons: "Cancel", "Save & New", and "Save".

Updating Meta Data

RiskScreen uses meta data, such as date of birth and country information to help reduce the number of false positives. You can update the details by clicking on the “Edit Record”  icon in the RiskScreen widget.

Additionally, if this data is already held in your Salesforce Org your IT team will be able to perform field mappings to pull data into the RiskScreen widget.



Properties

The following information is held in the widget for Contact, Lead and Person Account

Field	Information
Client Entity ID	This is the unique ID assigned by RiskScreen once the client has been screened by either using the interactive screening or overnight batch process Notes: System Generated and cannot be changed.
Last Name	
Mandatory	
First Name	
Middle Name	
Gender	Possible values <ul style="list-style-type: none"> Female Male Not Applicable Unknown
Date of Birth	
Country 1	Any country that relates to the entity, this can be: Refer to the Country Types list for the full list of country types used during screening.
Country 2	Any country that relates to the entity. Allows clients to provide additional country information where different
Country 3	Any country that relates to the entity. Allows clients to provide additional country information where different
Criteria	The Search Criteria used when screening the Entity for potential matches. Refer to the Criteria section for more information.

Field Information

Status	Active – Client Entity is active and requires screening. Inactive – Client Entity is no longer active and batch screening will not be performed
Risk	Internal Risk Classification used by your organisation to classify clients.
<i>Custom Text Fields</i>	<i>RiskScreen allows organisations to use 2 additional fields where they can map it to internal data fields they hold</i>
Custom Text 1	Optional - As defined by your organisation
Custom Text 2	Optional - As defined by your organisation


For Business Account type, fields (Last Name, First Name, Middle Name, DOB) specific to an individual are removed. Following two fields are added:

Field Information

Name	This is the full Legal Name of the entity you are screening
Mandatory	
Date of incorporation	Used for screening purposes to compare with Dow Jones data as defined in

Screening Process

Interactive Screening

Users will be able to perform interactive screening by clicking the “Screen”  button in the RiskScreen widget.

If there are any potential matches with the data held in Dow Jones data set a case will be generated for users to review the underlying data.

Screening Status

Icons next to the “Screen” icon display the status of each client entity. Please see below description of each icon:

1. New entity in Salesforce, client data has not been sent to RiskScreen



2. Entity has been screened no potential matches



3. Added to RiskScreen, screened, outstanding matches to action



4. Added to RS, screened, all matched actioned, at least 1 match flagged



5. Entity data has been added to RiskScreen waiting for next RiskScreen batch to run / waiting for Salesforce schedule to fetch results; Or client data has changed since last screen



- Added to RS, screened, outstanding matches to action, data has changed since last screen



- Added to RS, screened, all matched actioned, at least 1 match flagged, data has changed since last screen



Reviewing Potential Matches

Once RiskScreen has screened your Client Entities against the Dow Entities it will generate a list of Potential Matches between your Client Entities and the Dow Entities. You will need to go through the list of Potential Matches and either Discount them as false positives or Flag them as a correctly matched Entity.

Users can view potential matches for your client entities through one of the following three screens

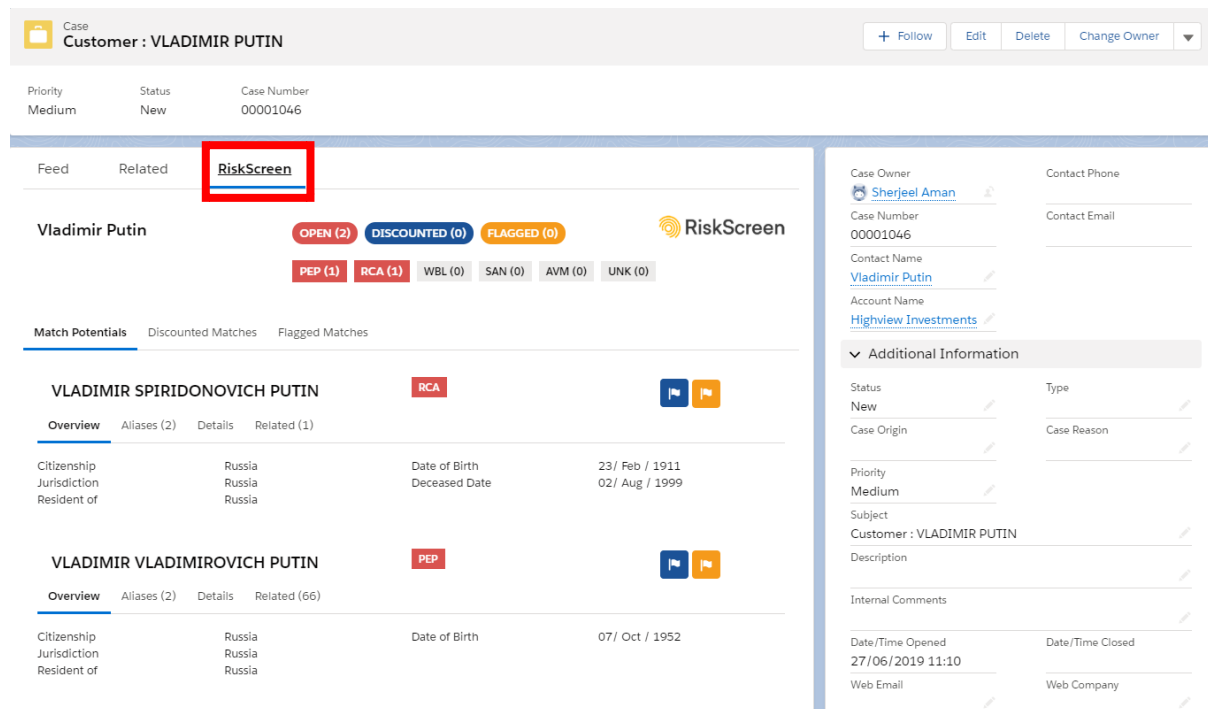
- Risk Status >> click on case number in Open Match Potential Summaries
- Account / Contact page >> click on case number in the cases section (screenshot below)
- Cases tab >> click on case number to view results

The screenshot displays the Salesforce CRM interface for a contact named Vladimir Putin. The 'RiskScreen' section is active, showing a 'Screen' button with a red prohibition sign. The 'Cases (1)' section is highlighted, showing a case with ID 00001046. The 'RiskScreen' details panel on the right shows the following information:

RiskScreen	
Client Entity Id	Last Updated
294627	2019-06-27 15:41:08
First Name	Middle Name
Vladimir	
Last Name	
Putin	
Gender	Date of Birth
Unknown	
Country 1	Country 2
Unknown	Unknown
Country 3	
Unknown	

Actioning a Case

On the case page, users can navigate to the potential matches linked to your client by clicking on the RiskScreen tab



The screenshot displays the Salesforce Case page for 'Customer: VLADIMIR PUTIN'. The 'RiskScreen' tab is highlighted with a red box. The page shows match statistics (OPEN: 2, DISCOUNTED: 0, FLAGGED: 0, PEP: 1, RCA: 1, WBL: 0, SAN: 0, AVM: 0, UNK: 0) and two match entries: VLADIMIR SPIRIDONOVICH PUTIN (RCA) and VLADIMIR VLADIMIROVICH PUTIN (PEP). The right sidebar contains case details like Case Owner (Sherjeel Aman), Case Number (00001046), and Status (New).

This view shows the data across 3 tabs

- Match Potentials: Any potential open matches that have yet to be actioned appear here
- Discounted Matches: Any potential matches that may have been discounted by users as false positives will appear here
- Flagged Matches: Any potential matches that have been flagged as a true match will appear here

RiskScreen uses data obtained from Dow Jones to screen your clients. The dataset has more than 6 million name records (2.25mil entities and 4.35mil aliases) that fall under one or more the following categories:



- Politically Exposed Person (PEP)
- Watch List Special Interest (WBL)
- Sanctioned (SAN)
- Relative and Close Associate of any of the above (RCA)
- Adverse Media (AVM)
- Unknown (UNK)
 - The unknown category is a catch all bucket for all entities that do not fall into one of the categories listed above

Entity Data

To view entity information, you can simply click on the tab with the information you need. Below is a snapshot of sample data available across the tabs:

Overview

The overview tab will contain summary information on the entity with country and Date of Birth / Deceased Date.

VLADIMIR VLADIMIROVICH PUTIN		PEP	 	
<u>Overview</u>	Aliases (2)	Details	Related (66)	
Citizenship	Russia	Date of Birth	07/ Oct / 1952	
Jurisdiction	Russia			
Resident of	Russia			

Aliases

The Alias tab contains all known aliases for the entity. Doing a search on any of these aliases will point you to the same entity. Refer to the [Alias Types](#) in the appendix for a full list of possible types.

SAMANTHA GWENDOLINE CAMERON		RCA		
Overview	<u>Aliases (2)</u>	Details	Related (2)	
Also Known As	SAM GWENDOLINE CAMERON	Maiden Name	SAMANTHA GWENDOLINE SHEFFIELD	

Details

The Details tab contains general information about the entity including roles held, images and any Dow Jones notes that have been added as part of collating information on the entity

VLADIMIR VLADIMIROVICH PUTIN

PEP

Overview
Aliases (2)
Details
Related (66)

Full Name

VLADIMIR VLADIMIROVICH PUTIN

Description

Politically Exposed Person (PEP)

Roles

President of Russia 07 May 2018 -

Heads & Deputies State/National Government

Supreme Commander-in-Chief, Armed Forces 07 May 2012 -

Senior Members of the Armed Forces

Member, Council, Our Home - Russia (NDR) 12 May 1995 - 26 May 1996

Political Party Officials

Address

No Address data held

Citizenship Residency

Citizenship Russia

Jurisdiction Russia

Resident of Russia

Notable Dates

Date of Birth 07/ Oct / 1952

Place of Birth

St. Petersburg,Russia

Identity Documents

No Identity Documents held

Images

Related

The Related tab shows all direct and indirect relationships for the entity. Refer to [Relationship Types](#) in the Appendix for a full list of possible relationships. Users can click on any of the related entries to see details of that record in a pop up window

VLADIMIR VLADIMIROVICH PUTIN

PEP

Overview
Aliases (2)
Details
Related (66)

Brother

Brother

Colleague

Colleague

Colleague

[OLEG VLADIMIROVICH PUTIN](#)

[VIKTOR VLADIMIROVICH PUTIN](#)


[ANATOLIY ALEKSANDROVICH SOBCHAK](#)

[EVGENIY MIKHAILOVICH SHKOLOV](#)

[LIEUTENANT GENERAL SERGEY VLADIMIROVICH VEREVKIN-RAKHALSKIY](#)

Discounting a potential match

After reviewing the information for a potential match, users can discount a potential match by

clicking the blue flag  next to the name. This will open a pop-up window allowing users to select reason for discounting the math:

Set Match Status

This match is not relevant to the customer

Customer: **VLADIMIR PUTIN**
Matched name: **VLADIMIR SPIRIDONOVICH PUTIN**

*Please select the reason why the match has been discounted:

Select an Option ▼

Notes

Notify Valid To: 31-Dec-2099

Inactive


Save
Cancel

Users can add free text reason in the Notes box available.

The notify toggle at the bottom of the screen allows the system to send a notification email (when marked Active) to the designated email address provided at configuration.

After clicking save, the Discounted Match will appear in the Discounted Matches tab.

Related
Details
News
RiskScreen

Overview data from Risk Screen 

OPEN (0)
DISCOUNTED (1)
FLAGGED (1)

Match Potentials
Discounted Matches
Flagged Matches
Salesforce Audit


VLADIMIR SPIRIDONOVICH PUTIN Data Entity
170352

Discounted

Status	Handled Date
Discounted	2019-06-27
Matched Category	Reason
Date does not match	Test
Notify	Valid To
false	2099-12-31

Flagging a potential match

After reviewing the information for a potential match, users can flag a potential match by clicking

the yellow flag  next to the name. This will open a pop-up window allowing users to select reason for discounting the math:

Set Match Status

This match is relevant to the customer

Customer: **VLADIMIR PUTIN**
Matched name: **VLADIMIR VLADIMIROVICH PUTIN**

* Please select the reason why the match has been flagged:

Select an Option ▼

* Notes

Notify Valid To

Active 31-Dec-2099 📅

Save Cancel

Users can add free text reason in the Notes box available. The Notes section could be mandatory to complete for selected reason as configured at set up.

The notify toggle at the bottom of the screen allows the system to send a notification email (when marked Active) to the designated email address provided at configuration.

After clicking save, the Flagged Match will appear in the Flagged Matches tab.

Match Potentials	Discounted Matches	Flagged Matches
VLADIMIR VLADIMIROVICH PUTIN		Data Entity 98141 🗑️ ✎️ ↺
Flagged Match percentages		
Status	Matched Flag	Handled Date 27-Jun-2019
Matched Category	Relevant Not Acceptable - High Risk PEP	Reason test1
Notify	true	Valid To 2099-12-31

Bulk Discount or Flag matches

As of version 1.105 of the RiskScreen package, you can now bulk flag or discount matches.

Once you have identified the which open matches you would like to discount or flag you can select multiple matches using the radio buttons on the left-hand side of the page.

Next, you will be presented with the window allowing you to select the reason you're discounting or flagging and add a note to support your reasoning.

As you can see, the two matches we want to discount now appear in this window. Once you give a reason for discounting these matches you can then hit the 'Bulk Match Potential' button underneath the window.




This also works for flagging multiple matches.

Once you've clicked the Bulk Match Potential button, those matches will then appear in the Discounted Matches or Flagged Matches tab

Match Potentials	Discounted Matches	Flagged Matches
PJSC VTB BANK (KIEV) Data Entity 1044565 🗑️ ✎️ ↺️		
Discounted Match percentages		
Status	Matched Discounted	Handled Date 26 Oct 2022
Matched Category	Reason	
Name does not match		
Notify	false	Valid To 2099-12-31
VNESHECONOMBANK Data Entity 1053042 🗑️ ✎️ ↺️		
Discounted Match percentages		
Status	Matched Discounted	Handled Date 26 Oct 2022
Matched Category	Reason	
Name does not match		
Notify	false	Valid To 2099-12-31

Managing Existing Matches

You can update Discounted or Flagged matches by clicking on their respective tabs. The icons on the right hand side allows you to do the following:

-  Edit the record to update reason, notes, notify status
-  Swap the Discounted Match for a Flagged Match or vice versa.
-  Delete the Flagged or Discounted Match

Dashboard

Salesforce allows end users to create their own reports enabling them to see metrics in the format they prefer. We have built a dashboard view as a starting point of what users may want to see. The dashboard can be accessed by clicking the “Risk Status” tab.

The dashboard is titled "Risk Status" and includes a navigation bar with "Risk Screen", "Risk Status", "Settings", "Accounts", "Contacts", "Leads", "Cases", and "Match Summaries". Below the navigation bar, there is a "Risk Status" header and a "DASHBOARD RiskScreen Default" section with "Open", "Refresh", and "Subscribe" buttons. The main content area features several widgets:

- Open Match Potential Summaries:** A table with columns: Case: Case Number, Priority, DCM, CM, Meta Bump, Open Matches, SAN, PEP, WBL, RCA.

Case: Case Number	Priority	DCM	CM	Meta Bump	Open Matches	SAN	PEP	WBL	RCA
00001051	5	<input type="checkbox"/>	<input type="checkbox"/>	0	2	0	0	1	1
00001045	1	<input type="checkbox"/>	<input type="checkbox"/>	0	15	0	9	5	1
00001046	-	<input type="checkbox"/>	<input type="checkbox"/>	0	2	0	1	0	1
00001047	-	<input type="checkbox"/>	<input type="checkbox"/>	20	1	0	1	0	0
00001048	-	<input type="checkbox"/>	<input type="checkbox"/>	10	10	0	0	9	1
00001049	-	<input type="checkbox"/>	<input type="checkbox"/>	0	2	0	0	0	2
00001050	-	<input type="checkbox"/>	<input type="checkbox"/>	20	1	0	1	0	0
- Summary Cards:** A row of cards showing counts for SAN (0), WBL (15), PEP (12), AVM (0), RCA (6), and UNK (0). Each card has a "View Report" link.
- Open Match Potential Summaries - Owner:** A table with columns: Case, Customer Name, Priority, Create Date, Open Date, Owner.

Case	Customer Name	Priority	Create Date	Open Date	Owner
00001051	Max Smith	5	27/0...	2	Sherjeel A
00001045		1	26/0...	15	Sherjeel A
00001049	Samantha C...	-	27/0...	2	Sherjeel A
00001048	Brian Wilson	-	27/0...	10	Sherjeel A
00001050	Theresa May	-	27/0...	1	Sherjeel A
00001047	Theresa May	-	27/0...	1	Sherjeel A
00001046	Vladimir Putin	-	27/0...	2	Sherjeel A
- Open Match Potentials:** A table with columns: Case: Case Number, Pri..., DC..., CM, Meta B..., Customer Name.

Case: Case Number	Pri...	DC...	CM	Meta B...	Customer Name
00001045	1	<input type="checkbox"/>	<input type="checkbox"/>	0	
00001046	-	<input type="checkbox"/>	<input type="checkbox"/>	0	Vladimir Puti
00001047	-	<input type="checkbox"/>	<input type="checkbox"/>	20	Theresa May
00001048	-	<input type="checkbox"/>	<input type="checkbox"/>	10	Brian Wilson
00001049	-	<input type="checkbox"/>	<input type="checkbox"/>	0	Samantha Cu
00001050	-	<input type="checkbox"/>	<input type="checkbox"/>	20	Theresa May
00001051	5	<input type="checkbox"/>	<input type="checkbox"/>	0	Max Smith
- Open Match Summaries By Priority:** A bar chart showing record counts for priority levels 0, 1, and 5. Priority 0 has 15 records, priority 1 has 1 record, and priority 5 has 1 record.

A Client Entity will only appear in the Match Potential screen if it has a potential match with a Dow Entity that has not been Discounted or Flagged.

To review the potential matches for your client entity click on the case number and navigate to RiskScreen tab.

You can sort the Match Potentials based on any column by clicking on the column header, clicking the header again will reverse the sort order. The following table provides useful information on the columns / widgets displayed on this page

Column Information

Priority	Priority for the Risk Classification assigned to the client entity.
DCM	One or more of the match potentials has a date and country match.
DM	One or more of the match potentials has a date match.
CM	One or more of the match potentials has a country match.
Meta Bump	Meta Bump reflects the likelihood that a match will be flagged (this is an absolute value not a probability).
Case Number	Salesforce reference number for the potential matches of your client entity
Open Matches	Number of match potentials for the client entity.
SAN	Number of matches that are classified as Sanctioned.
PEP	Number of matches that are classified as Politically Exposed Person.
WBL	Number of matches that are classified as Watchlist or Blacklisted.
RCA	Number of matches that are classified as Relative or Close Associate.
AVM	Number of matches that are classified as Adverse Media.
UNK	Number of matches that are classified as Unknown.

Change Notifications

Whenever a Dow Jones entity that has a discounted or flagged match with Notify turned on is updated as part of the daily Dow Jones data update RiskScreen will send a notification email to the email address specified at to the implementation team when configuring your set up.

The email notification will give the recipient and indication of where in the Dow Jones record the change was made:

- Classification
- Name
- Date
- Address
- Country

Understanding RiskScreen Search

Jaro Containment Bias

RiskScreen uses an algorithm similar to Jaro-Winkler string distance to indicate how similar two names are. The Jaro Containment Bias represents a measure of “closeness” between two names where the higher the value the closer the two names are to identical. The value ranges from 0 (very different) to 100 (identical). When doing a search RiskScreen will use the JCB to compare the name you have searched to every other name of that type in the database.

Search Process

Conceptually a RiskScreen search works a lot like multiple sieves stacked on top of each other that only allow the names that fit their requirements through. Each search will start with the entire Dow entity list and as it moves down through the different sieves the number of entities reduces until it displays the final list of entities on the screen.

The first sieve in the search removes Dow entities that you do not want to include in the screening list. As part of configuring RiskScreen for your organisation clients have the ability to define the screening parameters, such as removing matches where Country information of your client does not match Country information of records held by Dow Jones. Setting these parameters correctly for a search has the largest potential for reducing the number of results and improving search speed.

Screen Last Name

Only entities that have a last name starting with the same letter as the last name you have provided pass through to the actual last name search. The **Last Name** you have provided gets compared to the **Last Name** of all entities in the list of entities that have reached this point returning a Jaro Containment Bias (JCB) between 0% and 100% indicating how close the two last names are to identical. All the results that have a higher % than the threshold value you have set pass through.

Screen First Name

The **First Name** you have provided gets compared to the **First Name** of all the remaining returning a Jaro Containment Bias (JCB). All the results that have a higher % than the threshold value you have set pass through. If no first name was entered all results pass through.

Screen Middle Name

The **Middle Name** you have provided gets compared to the **Middle Name** of all remaining entities returning a Jaro Containment Bias (JCB). All the results that have a higher % than the threshold value you have set pass through. If no middle name was entered all results pass through. If Dow records do not contain a middle name they are included by default.

Exclude Mismatching Dates

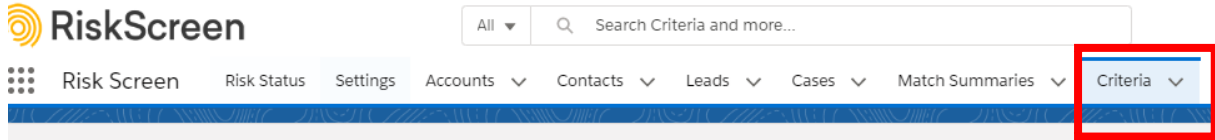
Results that have a birth/incorporation date related to them compared to the Date of the Client Entity. If the difference in date is larger than the thresholds you have set, they will not pass through. If either or both Dow and Client Entities have no date they will pass through. The threshold represents a number of years either side of the date. Setting the threshold to 5 will give you a 10 year radius being 5 years either side of the date.

Exclude Mismatching Countries

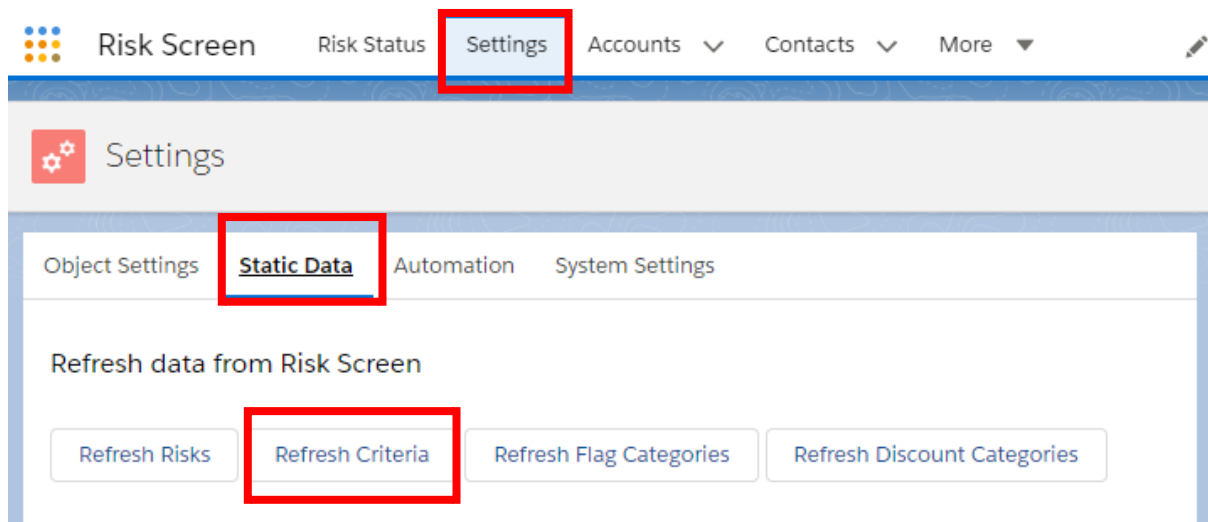
If “Exclude Ctry No Match” is set to yes, each result will have the countries related to them compared to the Country1, Country2 and Country3 properties of the client entity. If none of the client entity countries match the Dow entity countries the result will not pass through. If either or both Dow and Client Entities have no country, they will pass through.

Criteria

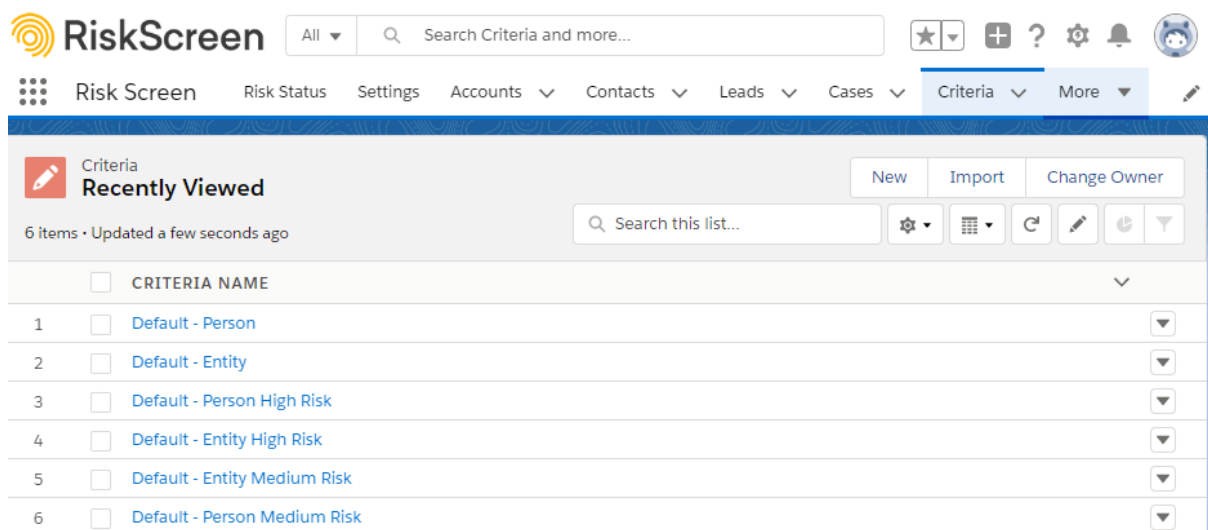
Criteria define the parameters used by RiskScreen when a client entity is screened. Each client entity is assigned a criteria when it is created. To view the criteria characteristics set for your organisation click on the Criteria tab.



Click on the criteria name to view the specific values set. If you do not see any entries in the list visit "Settings" >> click on Static Data tab and click on "Refresh Criteria" icon.



Once refreshed you should see the Criteria tab list populated.



A sample screenshot below of the criteria properties:

Criteria
Default - Person

New Coi

Related

Details

Criteria Name Default - Person	Owner luke Brindle
Id 1	Entity type id 1
Description Default - Person	Entity type name Person
Last Name Match Percentage 95.00%	Reverse search <input type="checkbox"/>
First Name Match Percentage 90.00%	
Middle Name Match Percentage 60.00%	

▼
Flags

Include empty middle names <input checked="" type="checkbox"/>	Is PEP <input checked="" type="checkbox"/>
Exclude dates except exact match <input type="checkbox"/>	Is WBL <input checked="" type="checkbox"/>
Exclude matches country no match <input checked="" type="checkbox"/>	Is AVM <input type="checkbox"/>
	Is RCA <input checked="" type="checkbox"/>
	Is SAN <input checked="" type="checkbox"/>
	Is UNK <input checked="" type="checkbox"/>

Bump	
Bump date year match 10	Bump date month match 5
Bump date exact match 30	Bump date month year match 20
Bump country match 20	

The following settings can be modified by contacting the RiskScreen implementation team at support@kycglobal.zendesk.com

Properties

Field	Information
Criteria Name	Name of the Criteria.
Entity Type Name	The entity type determines which Dow Entities the criteria will screen against, if person is selected client entities that use this criteria will only be screened against person records in the Dow Data. Options: <ul style="list-style-type: none"> • Person • Entity • All
Last Name Match Percentage	% to use as the Last Name Jaro Bias. Refer to the Understanding RiskScreen Search section for more information on what these numbers mean.
First Name Match Percentage	% to use as the First Name Jaro Bias. Refer to the Understanding RiskScreen Search section for more information on what these numbers mean. <i>*Results that have no first name will ignore this restriction.</i>
Middle Name Match Percentage	% to use as the Middle Name Jaro Bias. Refer to the Understanding RiskScreen Search section for more information on what these numbers mean. <i>*Results that have no middle name will ignore this restriction.</i>
Reverse Search	Perform a reverse search. <i>*A reverse search will perform a second search with the First and Last Names transposed and display the results from both searches.</i>
Include empty Middle Names	Sets whether match potentials will be generated when no Middle Name is present in the search.
Exclude dates except exact match	Sets whether match potentials are only generated when an exact date match is present.

Field	Information
Exclude matches country no match	<p>If none of the countries in the Client Entity match the countries in the Dow entity no match potential will be generated.</p> <p>Notes: If either or both client entity and Dow entity have no Country this value is ignored.</p>
Is PEP	Search against entities that are classified as PEP (Politically Exposed Person) list.
Is RCA	Search against entities that are classified as RCA (Relative and Close Associate) list.
Is WBL	Search against entities that are classified as WBL (Watch List Special Interest) list.
Is SAN	Search against entities that are classified as SAN (Sanctioned) list.
Is AVM	Search against entities that are classified as AVM (Adverse Media) list.
Is UNK	Search against entities that are classified as UNK (Unknown) list.
Exclude Year Range	<p>If the number of years between the Client Entity Date and Dow Entity Date is larger than this number no match potential will be generated.</p> <p>A value of 5 would give you a 10-year radius reflecting 5 years either side of the date.</p> <p>Notes:</p> <ul style="list-style-type: none"> • Only checks against Date of Birth/Incorporation records for the Dow entity. • If either or both client entity and Dow entity have no Date this value is ignored.
Meta Bump	<p><i>Once the final set of results are returned they are ordered based on a numerical value "Meta Bump". Where a higher Meta Bump means a higher placement in the list. The following fields starting with "Bump" will increase the Meta Bump by the configured amount if the criteria are met.</i></p>
Bump Date Exact Match Default: 30	Increases Meta Bump by the amount set if the entire date matches the search date.
Bump Date month year Match Default: 20	Increases Meta Bump by the amount set if the month and year matches the search date.
Bump Date year Match Default: 10	Increases Meta Bump by the amount set if only the year matches the search date.
Bump Date month Match Default: 5	Increases Meta Bump by the amount set if the day and month matches the search date.
Bump Country Match Default: 25	Increases Meta Bump by the amount set if the country matches one of the search countries.
No Match Include PEP Default: Yes	These settings allow you to turn country filtering off for the various lists.
No Match Include SAN Default: Yes	

Field Information

No Match Include WBL Default: Yes	Yes – Country filtering will be applied to the list. No – Country filtering will not be applied to the list.
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Glossary

Criteria

RiskScreen uses Criteria to apply risk based approach to screening. Each criteria is a pre-defined search profile used by the screening process when a client entity is screened against the Dow Jones data. Each client entity will have a criteria assigned which determines when they will generate new match potentials.

Risk Classification

Risk Classifications are assigned to client entities based on their level of expected risk.

Match Potential

Dow Jones entities that satisfy the requirements set by the criteria for a client entity will generate match potentials during the screening process. These match potentials can be found on the Risk Status screen and are then flagged or discounted by the users.

Match Flagged

A Flagged match represents a link between a client entity and a Dow Jones entity confirming that they are the same person or entity.

Match Discounted

A Discounted match is a match potential that was a false positive, i.e. the client entity and the Dow Jones entity are not the same person/entity.

Appendix

Alias Types

Entity Type	Possible Alias Types
Person	<ul style="list-style-type: none"> • Primary Name • Also Known As • Low Quality AKA • Maiden Name • Formerly Known As • Spelling Variation • Expanded Language Variation
Entity	<ul style="list-style-type: none"> • Primary Name • Also Known As • Formerly Known As • Spelling Variation • Low Quality AKA • Expanded Language Variation

Country Types

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

Date Types

Entity Type	Possible Date Types
Person	<ul style="list-style-type: none"> • Date of Birth • Deceased Date • Inactive as of (PEP) • Inactive as of (RCA related to PEP)
Entity	<ul style="list-style-type: none"> • Date of Registration • Cessation Date

Relationship Types

1. Wife
2. Husband
3. Brother
4. Sister
5. Son
6. Daughter

7. Mother
8. Father
9. Cousin
10. Step-Son
11. Step-Daughter
12. Brother-in-law
13. Sister-in-law
14. Uncle
15. Aunt
16. Mother-in-law
17. Father-in-law
18. Grandfather
19. Grandmother
20. Son-in-law
21. Daughter-in-law
22. Niece
23. Nephew
24. Grandson
25. Granddaughter
26. Stepfather
27. Stepmother
28. Business Associate
29. Friend
30. Financial Adviser
31. Legal Adviser
32. Colleague
33. Agent/Representative
34. Employee
35. Associate
36. Child
37. Family Member
38. Political Adviser
39. Senior Official
40. Unmarried Partner
41. Same-sex Spouse
42. Employer
43. Shareholder/Owner
44. Associated Special Interest Person
45. Parent Company
46. Subsidiary
47. Asset

RiskScreen Country List

ID	Name	ISO
0	Unknown	
1	Antarctica	AQ
2	Abkhazia	GZ

ID	Name	ISO
3	Afghanistan	AF
4	Albania	AL
5	Algeria	DZ
6	American Samoa	AS
7	Andorra	AD
8	Angola	AO
9	Anguilla	AI
10	Antigua and Barbuda	AG
11	Argentina	AR
12	Armenia	AM
13	Aruba	AW
14	Austria	AT
15	Australia	AU
16	Azerbaijan	AZ
17	Bahamas	BS
18	Bahrain	BH
19	Bangladesh	BD
20	Barbados	BB
21	Belgium	BE
22	Belize	BZ
23	Benin	BJ
24	Bermuda	BM
25	Bhutan	BT
26	British Indian Ocean Territory	IO
27	Bolivia	BO
28	Botswana	BW
29	Bouvet Island	BV
30	Brazil	BR
31	Brunei	BN
32	Bosnia and Herzegovina	BA
33	Bulgaria	BG
34	Myanmar	MM
35	Burundi	BI
36	British Virgin Islands	VG
37	Belarus	BY
38	Central African Republic	CF
39	Cameroon	CM
40	Canada	CA
41	Cayman Islands	KY
42	Chad	TD
43	Chile	CL
44	China	CN
45	Christmas Island	CX

ID	Name	ISO
46	Cocos (Keeling) Islands	CC
47	Colombia	CO
48	Comoros	KM
49	Congo Republic	CG
50	Cook Islands	CK
51	Costa Rica	CR
52	Croatia	HR
53	Cuba	CU
54	Cape Verde	CV
55	Cyprus	CY
56	Czech Republic	CZ
57	Denmark	DK
58	Dominica	DM
59	Dominican Republic	DO
60	Ecuador	EC
61	Egypt	EG
62	El Salvador	SV
63	Equatorial Guinea	GQ
64	Eritrea	ER
65	Estonia	EE
66	Ethiopia	ET
67	Faroe Islands	FO
68	Falkland Islands	FK
69	Micronesia	FM
70	French Guiana	GF
71	Fiji	FJ
72	Finland	FI
73	French Polynesia	PF
74	France	FR
75	Gabon	GA
76	Gambia	GM
77	Germany	DE
78	Ghana	GH
79	Gibraltar	GI
80	Greece	GR
81	Greenland	GL
82	Grenada	GD
83	Georgia	GE
84	Guadeloupe	GP
85	Guam	GU
86	Guatemala	GT
87	Guinea-Bissau	GW
88	Guernsey	GG

ID	Name	ISO
89	Guinea	GN
90	Guyana	GY
91	Haiti	HT
92	Heard and McDonald Islands	HM
93	Hong Kong	HK
94	Honduras	HN
95	Hungary	HU
96	Iceland	IS
97	Cote d'Ivoire	CI
98	India	IN
99	Indonesia	ID
100	International	IZ
101	Iran	IR
102	Iraq	IQ
103	Ireland	IE
104	Isle of Man	IM
105	Israel	IL
106	Italy	IT
107	Jamaica	JM
108	Japan	JP
109	Jersey	JE
110	Jordan	JO
111	Cambodia	KH
112	Kazakhstan	KZ
113	Kenya	KE
114	Kiribati	KI
115	Kyrgyzstan	KG
116	Kosovo	XK
117	Kuwait	KW
118	Laos	LA
119	Latvia	LV
120	Lebanon	LB
121	Lesotho	LS
122	Liberia	LR
123	Libya	LY
124	Liechtenstein	LI
125	Lithuania	LT
126	Luxembourg	LU
127	Macau	MO
128	Marshall Islands	MH
129	Madagascar	MG
130	Malawi	MW
131	Malaysia	MY

ID	Name	ISO
132	Maldives	MV
133	Mali	ML
134	Malta	MT
135	Martinique	MQ
136	Mauritania	MR
137	Mauritius	MU
138	Mayotte	YT
139	Macedonia	MK
140	Mexico	MX
141	Montenegro	ME
142	Moldova	MD
143	Monaco	MC
144	Mongolia	MN
145	Montserrat	MS
146	Morocco	MA
147	Mozambique	MZ
148	Namibia	NA
149	Curaçao	CW
150	Nauru	NR
151	Nepal	NP
152	Netherlands	NL
153	New Caledonia	NC
154	Nicaragua	NI
155	Nigeria	NG
156	Niger	NE
157	Niue	NU
158	North Korea	KP
159	Northern Mariana Islands	MP
160	None	NX
161	Norfolk Island	NF
162	Norway	NO
163	Not Known	NN
164	New Zealand	NZ
165	Oman	OM
166	Pakistan	PK
167	Palau	PW
168	Palestine	PS
169	Panama	PA
170	Papua New Guinea	PG
171	Paraguay	PY
172	Peru	PE
173	Philippines	PH
174	Pitcairn	PN

ID	Name	ISO
175	Poland	PL
176	Portugal	PT
177	Sao Tome and Principe	ST
178	Puerto Rico	PR
179	Qatar	QA
180	Reunion	RE
181	Romania	RO
182	Russia	RU
183	Rwanda	RW
184	Saudi Arabia	SA
185	South Africa	ZA
186	Saint Barthélemy	BL
187	Senegal	SN
188	Seychelles	SC
189	South Georgia and South Sandwich Islands	GS
190	Sierra Leone	SL
191	Singapore	SG
192	St. Maarten	SX
193	St. Kitts and Nevis	KN
194	South Korea	KR
195	Saint Lucia	LC
196	Slovakia	SK
197	Slovenia	SI
198	San Marino	SM
199	Solomon Islands	SB
200	Somalia	SO
201	South Ossetia	ZE
202	South Sudan	SS
203	Spain	ES
204	Western Sahara	EH
205	Sri Lanka	LK
206	St. Helena	SH
207	St. Martin	MF
208	St. Pierre and Miquelon	PM
209	Sudan	SD
210	Suriname	SR
211	Svalbard and Jan Mayen Islands	SJ
212	St. Vincent and the Grenadines	VC
213	Swaziland	SZ
214	Sweden	SE
215	Switzerland	CH
216	Syria	SY
217	Tajikistan	TJ

ID	Name	ISO
218	Djibouti	DJ
219	Taiwan	TW
220	Tanzania	TZ
221	Turks and Caicos Islands	TC
222	Thailand	TH
223	Timor Leste	TL
224	Togo	TG
225	Tokelau	TK
226	Tonga	TO
227	Trinidad and Tobago	TT
228	Tunisia	TN
229	Turkey	TR
230	Turkmenistan	TM
231	Turkish Republic of Northern Cyprus	ZC
232	Tuvalu	TV
233	United Arab Emirates	AE
234	Uganda	UG
235	United Kingdom	GB
236	Ukraine	UA
237	Burkina Faso	BF
238	Uruguay	UY
239	United States	US
240	Uzbekistan	UZ
241	Vanuatu	VU
242	Vatican City	VA
243	Venezuela	VE
244	U.S. Virgin Islands	VI
245	Vietnam	VN
246	Wallis and Futuna Islands	WF
247	Samoa	WS
248	Yemen	YE
249	Serbia	RS
250	Democratic Republic of the Congo	CD
251	Zambia	ZM
252	Zimbabwe	ZW

Occupations List

ID	Name
0	Unknown
1	Heads & Deputies State/National Government
2	National Government Ministers
3	Members of the National Legislature
4	Senior Civil Servants-National Government
5	Senior Civil Servants-Regional Government

ID Name

6	Embassy & Consular Staff
7	Senior Members of the Armed Forces
8	Senior Members of the Police Services
9	Senior Members of the Secret Services
10	Senior Members of the Judiciary
11	State Corporation Executives
12	State Agency Officials
13	Heads & Deputy Heads of Regional Government
14	Regional Government Ministers
15	Religious Leaders
16	Political Party Officials
17	International Organisation Officials
18	City Mayors
19	Political Pressure and Labour Group Officials
20	Other
21	International NGO Officials
22	Local Public Officials
26	International Sporting Organisation Officials