KYC360

Screening User Manual



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Country Codes

KYC360

Introduction

The KYC360 Screening (referred to as KYC360 for the remainder of the document) App enables you to conduct AML (Anti Money Laundering) screening of your clients on a continuous basis. This manual will detail what KYC360 is capable of and how to take advantage of these capabilities.

Fundamentally KYC360 stores a list of your clients (Client Entities) and periodically screens them against a list of Data Source Data Entities (Entities) that may be:

- Politically Exposed
- Sanctioned
- On a Special Interest Watch/Blacklist
- 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 Data Source 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.

Onboarding

Once you have responded to the onboarding email, we will create your organisation in KYC360 and send an automated invite to the admin user you have nominated. Once the admin user completes the registration process, they will be able to:

- Add more users and add them to user groups
- Import customers for screening.
 - o Screening will only start from the contracted Go-Live date.

All customer additions and data updates in KYC360 are done through an import file. The import file must conform to the file specification given below. It is important to note that customers are not screened immediately when they are uploaded, they are screened as part of the daily screening that runs at 18:00 GMT.

Home Page

You can log into KYC360 by going to this website: <u>https://batch.riskscreen.com/</u>. Once logged in you will be greeted by the screen shown below. You can always return to this page by clicking the KYC360 logo in the top left of the page.

- Home
 - The <u>Potential Matches</u> page shows a list of customers that have outstanding hits against Dow Jones entities.
 - The <u>Reports</u> page allows you to download system wide reports for your customers.
 - Export Data allows you to pull out your import file from the system.
- Data
 - The <u>Customer Management</u> page allows you to both search for and add an individual customer once you have found the customer you want to review you can review their profile which includes:
 - Customer Details
 - Outstanding Match Potentials and Existing Flagged/Discounted Matches
 - Reports
 - The <u>Upload Customers</u> option takes you to a page where you can import your client file.
 - The <u>Audit History</u> page allows you to run reports showing changes made to records over time.
- Static
 - The <u>Criteria</u> page allows you to view and edit the screening criteria used to screen your clients.
 - The <u>Risk</u> option lets you view and edit the risk classifications assigned to clients.
 - The <u>Discount Category</u> Page allows you to view and edit the reasons for discounting potential matches.
 - The <u>Flag Category</u> allows you to view and edit the reasons for flagging potential matches.
- System
 - The <u>Account details</u> page allows you to view your user details, set the default homepage and change your password.
 - The <u>User Management</u> page allows you as an admin to add users via an email invite.
 - The <u>Group Management</u> page allows you to add new user groups as well as edit member and permissions within existing user groups.

Navigation Bar

The navigation bar at the top of the page will appear on all KYC360 Pages, this screen allows you to navigate the site without returning to the Home Page all the time. You can also logout by clicking the Logout option in the top right of the screen.

Customers

Customers refer to the list of people/entities you screen through KYC360. Each Customer has its own profile with the following information.

Customer Management

You can search for any of your customers held in KYC360 by:

- Clicking the Customer management option on the Home Page
- Clicking the Data tab then Customer Management option in the navigation bar at the top of the page

Search for a customer by entering a search term and setting the search criteria to refine the search results.

Custo	omer Management									Home
Search	Name/Term:*		Search On:*		Match Type	* 0		Customer	Status:*	
Putin			Last name	~	Starts with		~	All		~
Rows F	Per Page:		Sort by:		Sort Direction	on:				
100		~	Client Entity ID	~	Ascending		~			
	ecords: 2 Page: 1 of 1		< Previous Next > Last >>	> 1	<u>Go to Pag</u>	<u>16</u> •				
	Client Entity ID	Custom	er Name	Reference		Status	Risk	Edit	Delete	Reports
	5030	VLADIM	R PUTIN	TRG0030		Active	High	<u>Edit</u>	<u>Delete</u>	Reports
	5065	VLADIM	R VLADIMIROVICH PU	TRG-06112	3-E1	Active	High	<u>Edit</u>	<u>Delete</u>	Reports

The table below contains additional information for each of the search criteria.

Field	Description
Search name/term	Search term you want to use to perform the search.
Search On	 The customer information you want to search by: Last name First name Middle name Reference
Match Type	 Where the search term should appear in the specific field: Starts with Contains
Customer Status	 Whether you want to filter the results by their status: Active Disabled
Rows Per page	How many results are shown per page

Field	Description
Sort By	 Filtering option to sort the records by one of the dropdown values: Client Entity ID Customer Name Reference
Sort Direction	Functionality to change the sorting direction
Total Records	Total number of records within the potential matches

Search results are returned as shown in the below image, detailing the Name, Reference, Status and Risk of the customer. You can open the customer profile of any of the results by clicking on the Name field.

Cust	omer Management								∢ Home
Search	n Name/Term:*		Search On:*	Ma	atch Type:* 😡		Customer	Status:*	
Putin			Last name	✓ S	tarts with	~	All		~
Rows	Per Page:		Sort by:	So	rt Direction:				
100		~	Client Entity ID	✓ A	scending	~			
	ecords: 2 Page: 1 of 1				o to Page				
	Client Entity ID	Custome	er Name	Reference	Status	Risk	Edit	Delete	Reports
	5030	VLADIMI	<u>R PUTIN</u>	TRG0030	Active	High	Edit	<u>Delete</u>	D
									Reports

Add Customer

Add Customer						Go back
Last Name*						
First Name						
Middle Name						
Gender	~	Date dd/mm/yyyy			Interface Reference*	
Country 1		danimiyyyy		U	Status"	
Unknown				~	Active	~
Country 2					Risk*	
Unknown				~		~
Country 3 Unknown					Handled By User Group*	~
Criteria:*				~	Handled By User	
				~		~
Custom Text 1			Custom Text 2			
AVM Criteria	~	AVM Country* -Use AVM Criteria-		~	AVM Date Range* Match AVM Frequency	~
AVM Additional Terms AND ③	•					
AVM Additional Terms OR 💿						
AVM Exclude Terms 🕲						
Action*						
Add	~					
Submit						

From the 'Add Customer' page you get taken to a form to fill out with the <u>client details</u>, including <u>screening criteria</u>. With this functionality you can add a new customer manually rather than through the 'Upload Customers'/bulk uploading screen. Following completing the form there are three options. You can either choose to:

- Add this adds the customer to your database in preparation for the next screening.
- Add and screen this adds the customer to your database for overnight screening and performs an ad hoc screening of that customer at the time.
- Add and Screen Once this adds the customer to the database and performs an ad hoc screening of that customer at the time but after that screening is performed, the customer will be automatically disabled from future screenings.

Profile

The <u>Customer Search</u> function allows you to search for a specific customer to open their profile, the image below shows the profile page for an example customer:

- Client Entity Details
 - Shows all information stored on the customer profile.
 - o Buttons to generate/download a detailed customer report.
- Potential Matches
 - Shows a list of outstanding hits for this customer.
 - Allows you to perform a bulk match function to deal with multiple potential matches at once.
 - o Delete Match Potentials option to delete unresolved matches.
- Flagged & Discounted Matches
 - Flagged & Discounted matches for the customer.

• • Customer Del	etails: ABSHIRE													
ame: iender: ale: lient: andler Group: andler User:	ABSHIRE Mai 18 Aug2023 Handler Group				Reference Date Adde File Criteri Risk: Status: Veer Cus	d: 18 a: Al	ATI7RLUFRF dil I Delete I Bet 8 Aug 2023 PI Criteria-256 ledium active Download Custo		hes					
- Adverse Media	a Criteria													
Criteria: Date Range: Additional Terms AND: Additional Terms O	Nex AVM All				Country: Exclude Te Last Scree		All 18-Aug-2023							
Flagged Match	hes (0) res were found.													
	Aug (1869)													
Potential Match														
Potential Match		: 0 :	Country :	DOBIDOI :	Match % :	Meta : Bump :	Metadata Matches	Туре :	Handler Group	Handler User	: Date Generated :	Discount	Flag	Details
Potential Match Delete Match Poter	enfiais ¥ Name	: 10 : 14015	Country :	DOBIDOI :	Match % : 78.35	Meta Bump : 0	Metadata Matches	Type : PEP	Handler Group :	Handler User Krunal API 101 STOUAT	: Date Generated : 18 Aug 2023			Details
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Potential Match Delete Match Pote	antinia D Name warQuR toubuR DavaR	14015	Iraq	DOBIDOI :	78.3%	Bump	Metadata Matches	PEP	Handler Group	Krunal API 101 STOUAT	18 Aug 2023			•
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Potential Match Delete Malch Poten RADHILABOUL GH MUHAMMAD AL-DP NIZAR JOMAA ALIA BRIGADIER GENEF	Name Name VarDUR Davolt Doott ArXASABR ArXASABR	14075 14188 14289 35583	raq raq raq Kosavs	DOBIDON :	78.3% 79.0% 79.0% 79.0%	Bump	Metadata Matches	PEP PEP PEP, SAN PEP	Handler Group Handler Group Handler Group Handler Group	Krunal API 101 STGUAT Krunal API 101 STGUAT Krunal API 101 STGUAT Krunal API 101 STGUAT	18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023		0 0 0	* * *
Potential Match Delete Match Poten RADHIL ABOUL OH NULHAMMAD AL-DA NIZAR JOMAA ALI A BRIGADIER GENER NEDZIB SAKIRBEY ISAM AHMED AL-B	Name Name VarDUR Davolt Doott ArXASABR ArXASABR Y	14015 14188 14299 35583 43782	ing ing ing Kasoro Bonia and Herzagovina	DOBIDOI :	78.35 79.05 79.05 79.05 79.05 78.65	Bump - 0 - 0 - 0 - 0 - 0 - 0 -	Metodata Matches	PEP PEP PEP, SAN PEP RCA	Handler Group Handler Group Handler Group Handler Group Handler Group	Krunal API 101 STOUAT Krunal API 101 STOUAT Krunal API 101 STOUAT Krunal API 101 STOUAT Krunal API 101 STOUAT	18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023		0 0 0 0	* * *
Potential Match Delete Match Poten RADHIL ABOUL OH NULHAMMAD AL-DA NIZAR JOMAA ALI A BRIGADIER GENER NEDZIB SAKIRBEY ISAM AHMED AL-B	Name word"byth Davent South <	14015 14108 14209 28893 43782 61803	ing Ing Ing Kosee Bona and Hezgovina Sudan	DOBIDOI :	78.35 78.05 78.05 78.05 78.05 78.05 78.85 88.75	Bump - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 -	Metadata Matches	PEP PEP PEP, SAN PEP RCA PEP	Handler Group Handler Group Handler Group Handler Group Handler Group Handler Group	Kunal API 101 STOLIAT Kunal API 101 STOLIAT	18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023 18 Aug 2023			* * *
Potential Metch Poten Pachel, ABOUL OH INUHAMIMO AL-DU INIZAR JOMAR ALIJ BRIGADER GENER INIZAR JAMER AL-B ISAM ANSIED AL-B YUNUS AL-BHARIF MICHANED HASSA	Name wh/2018 wh/2018 Solid Soli	14056 14188 14289 2663 43782 81063 61002	Ing Ing Ing Ranne Dash and Hengguina Dadan Sudan	DOBIDON :	78.35 78.05 78.05 78.05 78.05 78.05 78.05 88.75 88.75 81.35	Bump - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 -	Metadata : Matahes :	PEP PEP SAN PEP RCA PEP PEP	Handler Group Handler Group Handler Group Handler Group Handler Group Handler Group Handler Group	Komil API 101 STOLAT Komil API 101 STOLAT	18 Aug 2023			* * * *
Potential Metal Belefe March Poten FADHL ABOUL ON MUHAMIMA AL-DU NIZAR JOMAALI AN INIDADIR AGREE ISAM ARMED AL-B VINDE AL-BOARD MOHAMID HASEA ABD ELBAG HAMC	Name wh/2018 wh/2018 Solid Soli	14015 14188 14299 28683 42782 61893 61893 61892 82011	Frg Frg Frg Frg Frg Frg Frg Frg Frg Frg	DOBIDOI :	78.35 79.05 79.05 79.05 79.05 78.05 89.75 89.75 81.35 77.45	Bump -	Metadata Matahes	PEP PEP PEP RCA PEP PEP PEP	Handler Group Handler Group Handler Group Handler Group Handler Group Handler Group Handler Group Handler Group	Koust API 101 STOUAT Koust API 101 STOUAT	18 Aug 2023 18 Aug 2023			
Potential Metch Delete March Date RACHILARCUL ON NUCHAMING ALCO NICAR JOMAAGJA BIOGODIR ARCHEN STAN ARNED ALC NUCHAR ALCOMMENT MICHARD HACE ARD EUSAG HANC	Name ward Out Dawait South Call	14015 14180 14180 3680 40702 51805 51802 80011 50055	Ing Ing Ing Ing Ing Ing Ing Ing Ing Ing	DOBIDOI :	78.35 79.05 79.05 79.05 79.05 79.05 89.75 89.75 81.35 77.45 79.05	Bump - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 - 0 -	Metadata Matahes	PEP PEP PEP PEP RCA PEP PEP PEP PEP	Hander Group Hander Group Hander Group Hander Group Hander Group Hander Group Hander Group Hander Group Hander Group	Kouni API 101 310UAT Kouni API 101 310UAT	18 Aug 2023 18 Aug 2023			

Client Entity Details

The table below contains detailed information of customer data held in KYC360.

Field	Description
Name	The full name of the person or entity. For person records this will contain the First, Middle and Last names imported into KYC360.
Gender	The Gender of the person. Available options: • Any • Male • Female • Not Applicable (use for entity records) • Unknown
Country	Up to 3 countries associated with the person or entity.
Date	Date of birth for persons and date of incorporation for entities.
Client	Your organisations client name as a client of KYC Global Technologies. It will be the same for all your customers.

KYC360

Field	Description
Handler Group	The user group the customer is assigned to. Only users in the handler group or an admin group will be able to see this customer record and any potentials it has.
Handler User	The user the customer is assigned to. Only the handler user or admin users will be able to see this customer record and any potentials it has.
Reference	Used to facilitate the matching of external system references to the associated KYC360 customer. Typically, this would be a unique customer reference such as a client number or account number for this purpose.
Data Added	The date the customer was added to KYC360.
File Criteria	The file criteria define the screening parameters for the customer. KYC360 comes with 6 criteria by default (High, Medium & Low for Persons and Entities) where high will be less strict to reduce the probability of false negatives.
Risk	Risk classification you have assigned the customer internally. The risk assigned to a customer has no effect on its screening and is used for reporting purposes only.
Status	 Status controls whether a customer is screened or not. Available options: Active Disabled

Potential Matches

Hits that KYC360 identify during the screening process are referred to as potential matches. The potential matches section of the customer profile shows all potential matches for the customer that have not been reviewed and actioned.

You can open the potential matches page by:

- Clicking the Potential Matches option on the <u>Home Page</u>
- Clicking the Potentials option in the navigation bar at the top of the page

Clicking on the Customer Name of any of the potential match records will open the customers profile.

ot	ential Ma	tches												٩H	lome
Pr	iority Filter:		М	atch Filter:			Group	Filter:			ι	Jser Filter	:		
V	/iew all		~	Select a mate	h characteristic	Ŧ	View	all			~	View all			•
Ro	ows Per Pa	ge:	S	ort by:			Sort Di	irection:							
1	00	~	c	ustomer Nan	ne	~	Ascer	nding			~				
	Records: 4														
	Priority \$	Customer Name	Potential Matches ≑	Highest %≑	Metadata Matches	SAN \$	PEP \$	WBL \$	RCA 🗘	AVM \$	UNK \$	OTH \$	Age (Days) ≑	Handler Group ≑	Ha
		A			A	SAN ≑ 0	PEP \$	WBL \$	RCA ≑ 0	AVM ≎ 0	UNK ¢	ОТН \$ 0			
	Priority 🗘	Name 🗘	Matches [÷]	% ≎ Match	Matches 🍦								(Days) ≑ ₢	Group [‡] Training	
	Priority ≑ 5	Name ALAN SUGAR ALISHER	Matches ^{\$}	% ≎ Match 100.0%	Matches Country	0	1	0	0	0	0	0	(Days) ≎	Group Training Group Training	

By default, KYC360 will show all customers with outstanding potential matches as shown by the image below. You can sort the potential matches based on the values in any of the columns by clicking the column header you want to sort the results by, clicking the same header again will reverse the sorting order.

Priority 0	Customer Name	Potential Matches	Highest % Match	Metadata Matches	SAN ¢	PEP 🗘	WBL 0	RCA 0	AVM 0	UNK 0	OTH 0	Age (Days) ≎ ₽	Handler Group	Handl Use
5	ALAN SUGAR	1	100.0%	Country	0	1	0	0	0	0	0	0	Training Group	
5	ALISHER USMANOV	1	100.0%	Date, Country	1	1	0	0	0	0	0	0	Training Group	
5	ALISON ROSE	3	100.0%	Country	0	3	0	0	0	0	0	0	Training Group	
9	ANDREY MELNICHENKO	27	100.0%	Date, Country	3	9	11	5	0	0	0	0	Training Group	

The table below contains detailed information of columns shown for the potential matches.

Column	Description
	Customers are prioritised based on the Risk classification assigned to them.
Priority	 Unclassified – 0 Low – 1
	 Medium – 5 High – 9
Customer Name	Name of the customer that has potential matches.

Column	Description
Reference	The external reference number for the customer. Typically, this would be a unique customer reference such as a client number or account number for this purpose.
Potential Matches	Number of potential matches for the customer.
Highest % Match	This column displays the highest match percentage figure of all the potential matches the customer has
Meta Data Matches	Will only show the meta data matches for the potential match with the highest meta bump.
Match Characteristics	Shows a distinct list of the classifications for the Dow Jones records the customer has potential matches for.
Handler Group	The user group the customer is assigned to.
Handler User	The user the customer is assigned to. Only the handler user or admin users will be able to see this customer record and any potentials it has.
Age	The number of days the oldest potential match has been outstanding.

When you click on a particular records name, these are all hyperlinks, you will be taken to the Screen which contains all of the matches on that particular record and will appear as below:

Potential Matches (3869)													
Delete Match Potentials													
Name	ID -	Country :	008/001 :	Match % :	Meta : Bump :	Metadata Matches	Туре :	Handler Group	Handler User :	Date Generated :	Discount	Flag	Details
FADHIL ABDUL GHAFOUR SHAHIR	14015	Iraq		78.3%	٥		PEP	Handler Group	Krunal API 101 STOUAT	18 Aug 2023		0	*
MUHAMMAD AL-DAHIR	14188	Iraq		79.0%	0		PEP	Handler Group	Krunal API 101 STGUAT	18 Aug 2023			
NIZAR JOMAA ALI AL-QASSIR	14289	Iraq		79.0%	0		PEP, SAN	Handler Group	Krunal API 101 STGUAT	18 Aug 2023	0	0	*
BRIGADIER GENERAL XHR/IT GASHI	35583	Kosovo		79.0%	0		PEP	Handler Group	Krunal API 101 STOUAT	18 Aug 2023		0	*
NEDZIE SAIORBEY	43782	Bosnia and Herzegovina		78.6%	0		RCA	Handler Group	Krunal API 101 STOUAT	18 Aug 2023			*
ISAM AHMED AL-BASHIR	51983	Sudan		89.7%	0		PEP	Handler Group	Krunal API 101 STGUAT	18 Aug 2023		0	*
YUNUS AL-SHARIF AL-HASSAN AL-SAYED	51992	Sudan		81.3%	0		PEP	Handler Group	Krunal API 101 STGUAT	18 Aug 2023		0	*
MOHAMED HASSAN AL BAHI	52011	Sudan		77.4%	0		PEP	Handler Group	Krunal API 101 STGUAT	18 Aug 2023		0	*
ABD ELBAGI HAMDAN KABEIR	52055	Suden		79.0%	0		PEP	Handler Group	Krunal API 101 STOUAT	18 Aug 2023		0	~
MAJOR GENERAL MUHAMMAD OSMAN AL TAHIR	52129	Sudan		78.0%	0		PEP	Handler Group	Krunal API 101 STGUAT	18 Aug 2023		0	*
HAJ ADAM TAHIR HASSAN AL TAHIR	52145	Sudan		79.0%	0		PEP	Handler Group	Krunal API 101 STGUAT	18 Aug 2023		0	*
ABDEL MAHMOUD ABBO	52109	Suden		75.8%	0		PEP	Handler Group	Krunal API 101 STOUAT	18 Aug 2023	0	0	

Each of the column details are explained below:

Column	Description
Match Name	Full name of the Dow Jones record.
ID	The ID of the record.
Country	The main country of the match so will initially be country of residence but may also include nationality.
DOB/DOI	The Date of Birth or Date of Incorporation of the record
Match %	Average similarity % returned by the Dow Jones record for the <u>name matching</u> section of the screening process.
Meta Bump	Higher scores indicate a higher probability that the potential match is a true match.
Meta Data Matches	 Shows customer information other than names that matched the Data record. Date Country

Column	Description
	Classification of the Data Record.
	 PEP (Politically Exposed Person)
Type	SAN (Sanctioned)
Туре	 RCA (Relative or Close Associate)
	AVM (Adverse Media)
	WBL (Watch/Blacklist)
Handler Group	The user group the potential is assigned to for review.
Handler User	The user the potential is assigned to for review.
Date Generated	The date the potential was identified.

Delete Match Potentials

From the potential matches page, you are also able to delete match potentials without having to discount or flag them. This will delete the potential matches until the next batch run. This may be useful when planning to amend the data of a client after previous upload.

The Potential Matches section of the Screen allows you to bulk match as well as singularly disposition matches.

The workflow is designed to start with bulk match dispositioning, the easy matches where the outcome is obvious. Then you would move onto the more complex matches which require individual investigation.

Bulk Match

elete Match Potentials													-
Natse	a	Country	DOBIDOI	Match %	Meta Bump	Metadata Matohes	: Type	: Handler Group	: Handler User 3	Date Generated	Discount O	Plag O	Details
FADHIE ABDUE GHAFOUR SHAHIR	14015	Iraq		78.3%	0		PEP	Handler Greup	Krunal API 101 STGUAT	18 Aug 2023	0	0	
VUHAMMAD AL-CAHIR	14188	Iraq		79.0%	0		PEP	Handler Group	Krunal API 101 STOUAT	18 Aug 2023	0		~
NIZAR JOMAAALI AL-QASSIR	14289	iraq		79.0%	0		PEP, SAN	Handler Group	Krunal API 101 STIGUAT	18 Aug 2023	0	0	~
BRIGADIER GENERAL XHAVIT GASHI	35583	Ковача		79.0%	٥		PEP	Handler Group	Krunal API 101 STOUAT	18 Aug 2023	Ó		~
VEDZIB SAXIRBEY	43782	Bosnia and Harzegovina		78.6%	٥		RCA	Handler Group	Krunal API 101 STGUAT	18 Aug 2023	0	O	~
SAM AHMED AL-BASHIR	51983	Sudan		89.7%	0		PEP	Handler Group	Kiunal API 101 STOUAT	18 Aug 2023	0	0	*
'UNUS AL-SHARIF AL-HASSAN AL-SAYED	51092	Sedan		01.3%	٥		PEP	Handler Greup	Krutal API 101 STOUAT	18 Aug 2023	0	0	~
VOHAMED HASSAN AL BAHI	52011	Sudan		27.4%	0		PEP	Handler Greup	Krunal API 101 STGUAT	18 Aug 2023	0	0	*
ABD ELBAGI HAMDAN KABEIR	62055	Sudan		78.0%	0		PEP	Handler Group	Krunel API 101 STGUAT	18 Aug 2023	0	0	*
MAJOR GENERAL MUHAMMAD OSMAN AL TAHIR	52120	Sudan		79.0%	0		PEP	Hardler Steep	Krunal API 101 STOUAT	18 Aug 2023	0	0	~
IAJ ADAM TAHIR HASSAN AL TAHIR	82148	Suden		78.0%	0		PEP	Handler Group	Krunal API 101 STOUAT	18 Aug 2023	0	0	~
BDEL MAHMOUD ABBO	62160	Sudan		76.5%	0		PEP	Handler Group	Krunal API 101 STGUAT	18 Aug 2023	0		~

If you have multiple potential matches for the same customer and wish to undertake bulk match dispositioning, there are two columns which makes this possible: Discount and Flag.

The radio button within each of these columns allow you to select all. Or if you want to choose, click each of the relevant matches you want to 'flag' and/or 'discount' and then navigate your way down to the bottom of the page. Select your flag colour, a match category, valid to date and whether you want to be notified if there are changes to the records you have actioned.

		View Usehoner Report
Match Category."		Drop Document(s) Here:
		Brance for file
Resson.*		
Valid To Date:"	Notify.*	
51/12/2099	🗇 Yes	v
Natch Category.*		Drop Document(s) Here:
		Brooke Brooke
Resson."		
Valid To Date:"	Notify.*	
01/12/2000	The Yes	¥
Save Clos		

In addition, you can also add a document to several of the matches at once using the bulk match. Either click to browse to find the document/s or drag and drop into the space. Please note: The maximum number of files per match is 10 with each one having a limit of 5MB.

Actioning single potential matches

To action a single potential match, you need to click the accordion arrow in the details column or click on the name to open the match details.

You will see the name of the Data Source record your customer data record has matches against. Next to this will be information on what type of match the record is i.e. Sanctions, PEP, WatchList, Adverse Media. More information on this can be found XXX

Once you can see these you choose the flag you want to.

NIZAR JOMAA ALI AL-QASSI Active sanctions detected, plea Overview Aliases (13)				(F) (F) (F)
See Previous Roles		National Government Ministers		
Minister of Irrigation		National Government Ministers		
Presidential Adviser		Senior Civil Servants-National Government		
Туре:	Person	Match:	79.0%	
Citizenship: Jurisdiction: Resident of: Cender:	iraq iraq iraq iraq	PEP Balas	Insetire (18 Oct 2013)	
F	Discount the match as no	t relevant.		
F	Flag the match as relevar	nt but is acceptable.		
F	Flag the match as relevar as not acceptable require decision.			

Clicking the flag will bring up the match status window shown below.

FADHILABDUL GHAFOUR SHAHIR	14015	keg		78.3%	0	PEP	Handler Group	Krunal API 101 STGUAT	18 Aug 2023	0	0	•
FACHEL ARDOL CHARCOUR SHAME Internation Di-14015 Dienker Alasse (0) Desils Related (0)									e 🔒 e			
See Previous Roles Iragi Ambassador to Oman			Embasey & Consular Staff Embasey & Consular Staff						Mar 2001 - Age 2000			
Type: Person				Match:			78.3%					
Citomship: ing Junistico: ing Realder of Nex Kown Genter: Male				PCP Hot	3		Institut Apr 2002					
Match Category.*				► Browse	cument(s) Here: for file						Brok	wse
Reason*												
Valid To Dava* 31/12/2009		Notify.*		~								
See Class												

Once you have selected a reason for the action, completed the note (if required) and added any documents you wish to you can save the status which moves the potential match to the flagged/discounted section of the customer profile.

IMPORTANT: Any documents uploaded via the new 'adding documents' process within match dispositioning will be securely stored within the Azure Blob Storage. Each tenant i.e. each customer has a dedicated unique secure storage container and can only be accessed by the customer via the Screening application over HTTPS and encrypted at rest with 256 aes encryption.

Each potential match provides additional information to assist in your review and eventual decision. The information is displayed in the following tabs:

- Overview
 - Basic information for the Data Providers record (country and date information that matches your customer will be highlighted)
 - o Roles
 - Related Countries
 - Date of Birth/Incorporation
- Aliases
 - o Any known aliases for the record
- Details
 - o Detailed profile of the record
 - Classification
 - Known addresses.
 - Place of Birth
 - Known identifying information.
 - o Links to images available on the internet
 - o Sanction information
- Related
 - Other records the potential match is related to in some way.
- Comments
 - Only populated once a potential match is flagged or discounted.
- Documents
 - o This includes any documents you have updated, as per below
 - In addition, you are also able to, after dispositioning the alert, add more documents
 - Finally, if you are an Admin, you can delete any irrelevant documents

tich Details				
Match not relevant	Relevant match-high risk	F 1	Relevant match-very high risk	
DHIL ABDUL GHAFOUR SHAHIR FORMETINE DJ-14015		Potential Matches		ی 🕘 🖲
Overview Aliases (9) Details Related (0) Comments Documents (1)				
Name SORIS_JOHNSON_2024-05-21.09_57_34 (r).edf		User Charlotte (STGUAT)	Date 18 Jun 2024 11 59	Action
p Document Hars*				
p Document Have"	Reverse	Add Document		
	0.000			
Match not relevant Relevant match - high risk				

Sanctions classification

For Sanction records specifically there is a distinction between the different types which are shown below.

1. For Active Sanction results you will see Sanctions highlighted in red and the wording 'Active sanctions detected, please review the profile' underneath



 For Inactive Sanction results you will see Sanctions highlighted in orange and the wording 'No active sanctions detected, please review the profile'. If sanction records exist but have all expired then an orange box is displayed along with the new context message.

	ULHAMID MOHA			Sanctions	Watch or Black Listed Inactive	DJ-12526279
Overview	Aliases (61)	Details	Related (0)			
Туре:			Person			
Citizenship: Resident of: Gender:			Egypt Not Kn Male	own		

3. For no Sanction results for the primary record returned but a potential Sanctions record for a related match Sanctions will be highlighted in yellow and the wording 'No sanctions measures detected for this entity, please review the profile for evidence of sanctions control and ownership'

OFI Sanctions Watch or Black Listed

No sanctions measures detected for this entity, please review the profile for evidence of sanctions control and ownership.



Inactive Status

Records will show their category status next to their profile name and Data Source profile ID. This will be shown in a grey box if inactive, or red if the status is still active.

PEP Inac	tive R	CA Inactive	Wa	tch or Black Listed Inactive	Sanctioned Inactive
RCA	PEP	Senctio	bned	Watch or Black Listed	

In the Overview tab, you can easily identify inactive records by looking at the PEP, RCA, or Sanction/Watchlist Status. In the Details tab of the Potential Matches Screen, you can find further information about the inactive records, including notable dates.

If all lists are inactive for any of these categories, the status will be displayed in orange and bold. If ALL lists are inactive for (1) PEP, (2) RCA and/or (3) Sanctions/Watchlist. See the below breakdown:

PEP/RCA:

In the Overview, you will see a field called "RCA/PEP Status: Inactive (DDMMYYYY)," highlighted in orange. This status will also be visible in the Details tab and any corresponding reports.

Other Matches			
ALI AKBAR FAMIL-P	KARIMI PEP Inactive DJ-1771959	Potential Matches	۴ (۴
Overview Aliase	es (5) Details Related (0) Comments		
Full Name	ALI AKBAR FAMIL-KARIMI		
Description	Politically Exposed Person (PEP)		
Role	Primary Occupation		
	See Previous Roles	Heads & Deputy Heads of Regional Government	
	Previous Roles		
	Deputy Governor General of Hamadan	Heads & Deputy Heads of Regional Government	
	Previous Roles		
	Acting Governor General of Hamadan	Heads & Deputy Heads of Regional Government	Jul 2012 - Aug 2012
Address	No Address data held		
Citizenship &	Citizenship: Iran		
Residency	Jurisdiction: Iran		
	Resident of: Iran		
Notable Dates	PEP Status: Inactive (Aug 201		
	Macuve (Aug 20)		

Sanctions/Watchlist:

The "Sanctions" status will only be displayed in the Overview, Details tab, and reports if all Sanctioned Lists are inactive/expired. It will also be highlighted in orange.

Sanctioned Inactive	Watch or Black Listed Inactive	J-12525029	(*) (*) (*
Overview Aliase	es (127) Details Relat	ed (0) Comments	
Full Name	YUSOF MOHAMMAD	ABDOH ABDULNABY	
Description	Special Interest Person	(SIP)	
	Sanctions Lists		
	Special Interest Person	(SIP)	
	Terror		
Role	No Role data held		
Address	No Address data held		
Citizenship &	Citizenship:	Not Known	
Residency	Resident of:	Not Known	
Notable Dates	Date of Birth:	20 Jun 1905	
	Sanction Status:	Inactive	

Combinations of Records

If there is a combination of records, such as a mix of PEP/RCA and Sanction/Watchlist, only the lists that are inactive will be displayed. For example, if a record is no longer active on PEPs (Politically Exposed Person) but is still on Sanctions, you will see "PEP Status: Inactive (DDMMYYY)" without any reference to Sanctions being inactive.

Flagged & Discounted Matches

Flagged and Discounted matches are potential matches that have been reviewed and once a potential match has been actioned (flagged/discounted) the record will move to the appropriate section of the customer profile.

		Handler Date Va User Generated Handled Ur
	ID ID Group	Oser Generated Handled Of
/LADIMIR VLADIMIR OVICH Relevant Not Acceptable		31

Match Name 3	Dow ID ÷	Discounted Reason =	Handler Group ‡	Handler User 3	Date Generated =	Date Handled	Valid Until
LADIMIR SPIRIDONOVICH PUTIN	170352	Name does not match	Handler Group	Andy King	01 Nov 2023	02 Nov 2023	31 Dec 2099

You can order the matches by clicking the column header of the column you want to order by, clicking the column header again will reverse the ordering. The table below contains detailed information of columns shown in the potential matches section.

Column	Description
Match Name	Full name of the Dow Jones record.
Dow ID	The Dow Jones Id of the record.
Flagged/Discounted	The reason that was selected when actioning the potential
Reason	match.
Handler Group	The user group the potential is assigned to for review.
Handler User	The user the potential is assigned to for review.
Date Generated	The date the potential was identified.
Date Handled	The date the flagged/discounted match was actioned.
Valid Until	The date to which the flag/discount will be valid.

Clicking on the Match Name of a record will open the match details page for that flagged/discounted match. The match details page allows you to review the match information and update the match if needed. The comments tab shows (shown below) the current status of the flag/discount. From this page you can also delete a match (flagged or discounted) which will then reappear in potential matches the next day, assuming it complies with criteria.

SCREENING USER MANUAL

Customer Details	: VLADIMIR PUTIN			< G	io bi
Name:	VLADIMIR PUTIN		Reference:	TRG0030 Edit Delete Reports AVM Matches	
Gender:	Male		Date Added:	01 Nov 2023	
Country:	Russia		File Criteria:	Person High Risk	
Date:			Risk:	High	
Client:			Status:	Active	
Handler Group:	Handler Group		otatus.		
Handler User:			View Customer R	Report Download Customer Report	
Adverse Media C	riteria				
Criteria:			Country:	Use AVM Criteria [All]	
Date Range:		Match AVM Frequency	Exclude Terms:		
Additional Terms A	ND:		Last Screen Date	-	
Additional Terms O	R:				
Match Details					
Match not relev	vant	F Relevant match	- high risk	Relevant match - very high risk	
VLADIMIR VLADII	MIROVICH PUTIN Sanct	ioned PEP Other DJ-9	8141	Potential Matches	
Overview Alia	ases (15) Details F	Related (86) Comments			
President of Russi	a	Heads & D	eputies State/National Govern	ment 07 May 2018- Ongoing	J
Member, Security (Council	Senior Civi	Servants-National Governme	nt 01 Oct 1998- Ongoing	
Chairman, Security	y Council	Senior Civi	Servants-National Governme	nt 07 May 2012- Ongoing	3
Supreme Comman	der-in-Chief, Armed Forces	Senior Mer	nbers of the Armed Forces	07 May 2012- Ongoing	1

Flag Category

The Flag Category screen can be accessed through the home screen or under the Static section of the navigation bar. From here you can view, add, delete and manage the reasons for flagging a potential match. From here you can also add a new flag category.

SCREENING USER MANUAL

Catego	ry					
Id	Name	Description	Grouping	Require Reason	Edit	Delete
39	FalgCategory1	FalgCategory1	Relevant Acceptable	Yes	Edit	Delete
17	Relevant Acceptable - Adverse Media	Relevant Acceptable - Adverse Media	Relevant Acceptable	No	Edit	Delet
14	Relevant Acceptable - Domestic PEP	Relevant Acceptable - Domestic PEP	Relevant Acceptable	No	Edit	Delet
13	Relevant Acceptable - Generic	Relevant Acceptable - Generic	Relevant Acceptable	No	Edit	Delet
16	Relevant Acceptable - Related Close Assoc	Relevant Acceptable - Related Close Assoc	Relevant Acceptable	No	Edit	Delet
15	Relevant Acceptable - Standard Risk PEP	Relevant Acceptable - Standard Risk PEP	Relevant Acceptable	No	Edit	Delet
22	Relevant Not Acceptable - Country Risk	Relevant Not Acceptable - Country Risk	Relevant Not Acceptable	Yes	Edit	Delet
18	Relevant Not Acceptable - Generic	Relevant Not Acceptable - Generic	Relevant Not Acceptable	Yes	Edit	Delet
20	Relevant Not Acceptable - High Risk PEP	Relevant Not Acceptable - High Risk PEP	Relevant Not Acceptable	Yes	Edit	Delete
23	Relevant Not Acceptable - Related Close Assoc	Relevant Not Acceptable - Related Close Assoc	Relevant Not Acceptable	Yes	Edit	Delet
24	Relevant Not Acceptable - Reputational Risk	Relevant Not Acceptable - Reputational Risk	Relevant Not Acceptable	Yes	Edit	Delet
19	Relevant Not Acceptable - Sanctioned	Relevant Not Acceptable - Sanctioned	Relevant Not Acceptable	Yes	Edit	Delet
21	Relevant Not Acceptable - Watch/Black Listed	Relevant Not Acceptable - Watch/Black Listed	Relevant Not Acceptable	Yes	Edit	Delet

Add a new flag category

By clicking into the name of the flag reason you will be able to edit the:

- Name
- Description
- Grouping this is whether the reason means that the match is acceptable or not.
- Require reason this denotes when this flag reason is selected whether there is a mandatory free text field.

From this page you can also delete a particular flag category. If you decide to add a new flag category, you will have the same fields to fill out.

Edit Flag Category: Relevant Acceptable - Domestic PEP				Go back
Name* Relevant Acceptable - Domestic PEP	Grouping* Relevant Acceptable	~	Flag Category Identifier 14	
Description* Relevant Acceptable - Domestic PEP	Require Reason*	~		
Update Flag Category	110			
Delete flag category				

Discount Category

The Discount Category screen can be accessed through the home screen or under the Static section of the navigation bar. From here you can view, add, delete and manage the reasons for discounting a potential match.

	Description	Require Reason	Edit	Delete
Address does not match	Address does not match	No	Edit	Delete
Date does not match	Date does not match	No	Edit	Delete
DiscountCategory1	DiscountCategory1	No	Edit	Delete
Gender does not match	Gender does not match	No	Edit	Delete
Name does match but eliminated after investigation	Name does match but eliminated after investigation	No	Edit	Delete
Name does not match	Name does not match	No	Edit	Delet
	Date does not match DiscountCategory1 Gender does not match Name does match but eliminated after investigation	Date does not match Date does not match DiscountCategory1 DiscountCategory1 Gender does not match Gender does not match Name does match but eliminated after investigation Name does match but eliminated after investigation	Date does not match Date does not match No DiscountCategory1 DiscountCategory1 No Gender does not match Gender does not match No Name does match but eliminated after investigation Name does match but eliminated after No	Date does not match Date does not match No Edit DiscountCategory1 DiscountCategory1 No Edit Gender does not match Gender does not match No Edit Name does match but eliminated after investigation Name does match but eliminated after No Edit

Add a new discount category.

By clicking into the name of the discount reason you will be able to edit the:

- Name
- Description
- Require reason this denotes when this flag reason is selected whether there is a mandatory free text field.

From this page you can also delete a particular flag category. If you decide to add a new discount category, you will have the same fields to fill out.

Edit Discount Category: Date does not match		
Name*	Discount Category Identi	fier
Date does not match	8	
Description*	Require Reason*	
Date does not match	No	~
Update discount category		
Delete Discount Category		
Delete discount category		

Customer Report

A detailed customer report can be generated from the customer profile page. The generated report will provide an in-depth summary of the customer's:

- o Profile
- o Match Statistics
- Potential Matches
- Flagged Matches
- Discounted Matches
- o Screening History

Flagged Entity Report

The data entity detail report shows all information found on the Details tab of a client entity.

Client Entity Detail Report Go back									
	f 1 > > C © Page Width	• □ - □	Find Next						
KYC 360 Client Entity Detail Report									
Client Detail									
Client Name	STGLOADUAT-DEMO-CLIENT-1	Client	Entity ID 5030						
Business Unit	Default								
Last Name	PUTIN								
First Name	VLADIMIR								
Middle Name									
Gender	Male	Date							
Status	Active	Interface Reference	TRG0030						
Country 1	Russia	Risk	High						
Country 2	Unknown	Handled by User Group	Handler Group						
Country 3	Unknown	Handled by User							
Criteria	Person High Risk	Date Added	01/11/2023						
Criteria Detail		-							
Name	Person High Risk	Ident	ifier 7						

Managing Customers

Customers in KYC360 are added or updated through either an import file or a manual addition. Only admin users can upload customer import files.

You can import a customer file by clicking the Upload Customers link under the Data section in the navigation bar.



VERSION: 4.6

To Upload a customer file, complete the fields and click the "Import Customer file" button.

- Browse
 - Allows you to browse your local drive and select the import file you have created, for more information on the required format of the file see the <u>Import</u> <u>File</u>.
- Number of header rows
 - Set the number of rows at the top of the import file that contain column headers and should be ignored
 - Not all files will contain headers as a first row, in this case set the value to 0
- Delimiter
 - \circ Select the delimiter the import file uses, available options are:
 - Comma
 - Colon
 - Semi Colon
 - Tab
 - Vertical Bar

Upload Customers		∢ Home
	blit into first name and last name fields, or first, middle and last name fields. Na t name) field, unless it is in characters of a non-latin alphabet. For further infor ntact <u>support@kyc360.com</u> .	
Customer File Path:*		
Browse for input file	Browse	
Number of Header Rows.*		
1		
Delimiter / File Format:*		
Excel Files (*.xls *.xlsx)	~	
Import Customer File		

Understanding the Screening Process

Risk

Risk Classifications are assigned to client entities based on their level of expected risk. You can access the risk classification page either from the home page or under the Static option on the navigation bar. This will take you to a page where you can view, add, delete and manage your risk classifications.

ld	Name	Description	Priority	Edit	Delete	
4	Unclassified	Unclassified Risk Classification	0	Edit	Delete	
5	Low	Low Risk Classification	1	Edit	Delete	
16	Risk1	Risk1	2	Edit	Delete	
6	Medium	Medium Risk Classification	5	Edit	Delete	
7	High	High Risk Classification	9	Edit	Delete	

Each risk classification is assigned a priority which can be edited. What this does is provide one way in which to order potential matches, bringing the high risk classified potential matches to the top of the list in the first instance.

In order to edit a risk classification, click on the edit option and you will be taken to a page where you can edit the:

- Risk Name
- Risk Description
- Risk Priority The priority given to a risk classification is used to determine the sort order of the match potential screen. Values range from 0 being the lowest to 9 being the highest.

You will also have the same options to fill out if you were adding a new Risk Classification. From the edit page you can also delete the risk classification.

Edit Risk: Low		€ Go back
Risk Name:*	Risk Identifier:	
Fom	5	
Risk Description:* Low Risk Classification	Risk Priority:*	
Low rusk classification	1	
Update Risk Details		
Delete Risk		
Delete this risk		

File Criteria

Criteria define the parameters used by the Screening engine when a client entity is screened. The onboarding email allows you to set the parameters for up to 6 criteria for your organisation. This section will explain each parameter in detail and follow up with a walkthrough of the screening process to help you understand how the criteria parameters affect screening results.

Each client entity is assigned a criteria when it is created. You can view, add, and manage criteria from the criteria screen which you can access from the home page or by clicking on the Criteria option under Static on the navigation bar.



ld	Name	Description	Туре	Edit	Delete
3	Person Low Risk	Person Low Risk	Person	Edit	Delet
4	Entity Low Risk	Entity Low Risk	Entity	Edit	Delet
5	Person Medium Risk	Person Medium Risk	Person	Edit	Delet
6	Entity Medium Risk	Entity Medium Risk	Entity	Edit	Delet
7	Person High Risk	Person High Risk	Person	Edit	Delet
8	Entity High Risk	Entity High Risk	Entity	Edit	Delet
18	Criteria1	Criteria1	Person	Edit	Delet

If you choose to add or edit a criteria you will be taken to a page with all the individual criteria able to be changed. There is also an option at the bottom to delete these particular criteria.

29

Edit Criteria: Person Med	ium Risk					∢ G	o back
Criteria Name:*						Criteria Identifier:	
Person Medium Risk						5	
Criteria Description.*						Type:*	
Person Medium Risk						Person	~
Last Name Match Percentage:*		First Name Match Percentage.*		Middle Name Match Percentage	e: *	Reverse Search:*	
87		87		60		No	~
Search PEP:*		Search RCA:*		Search WBL:*		Search SAN:*	
Yes	~	Yes	~	Yes	~	Yes	~
Search AVM:*		Search UNK:*		Search OTH.*			
No	~	Yes	~	Yes	~		
Include Blank Middle Name Red	cords:*	Exact Date Match:*		Exclude Year Range:*		Bump Country Match:*	
Yes	~	No	~	5		25	
Bump Date Match:*		Bump Date MM YY Match:*		Bump Date YY Match:*		Bump Date DD MM Match:*	
30		20		10		5	
Exclude Country No Match:*		No Match Include PEP:*		No Match Include SAN:*		No Match Include WBL:*	
Yes	~	Yes	~	Yes	~	Yes	~
Update Criteria Go bar Delete Criteria	ck						
Delete Criteria							

Below is a table that provides more information on each of the criteria parameters.

Field	Information
Name	Name of the Criteria.
Description	Description of the Criteria.
Identifier	System allocated identifier which cannot be changed.
	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.
Entity Type	
	Options:
	Person
	Entity
	• All
Last Name Match %	% to use as the Last Name Jaro Bias. Refer to the <u>Understanding KYC360 Search</u> section for more information on what these numbers mean.
	% to use as the First Name Jaro Bias. Refer to the
	Understanding KYC360 Search section for more information
First Name Match %	on what these numbers mean.
	*Results that have no first name will ignore this restriction.

Field	Information
Middle Name Match %	% to use as the Middle Name Jaro Bias. Refer to the <u>Understanding KYC360 Search</u> section for more information on what these numbers mean.
	*Results that have no middle name will ignore this restriction.
	Perform a reverse search.
Reverse Search	*A reverse search will perform a second search with the First and Last Names transposed and display the results from both searches.
Search PEP	Search against entities that are classified as PEP (Politically Exposed Person) list.
Search RCA	Search against entities that are classified as RCA (Relative and Close Associate) list.
Search WBL	Search against entities that are classified as WBL (Watch List Special Interest) list.
Search SAN	Search against entities that are classified as SAN (Sanctioned) list.
Search AVM	Search against entities that are classified as AVM (Adverse Media) list.
Search UNK	Search against entities that are classified as UNK (Unknown) list.
Include Blank Middle Name Records	Sets whether match potentials will be generated when no Middle Name is present in the search.
Exact Date Match	Sets whether match potentials are only generated when an exact date match is present.
	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.
Exclude Year Range	A value of 5 would give you a 10-year radius reflecting 5 years either side of the date.
	 Notes: 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	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.
Bump Date Match Default: 30	Increases Meta Bump by the amount set if the entire date matches the search date.
Bump Date MM YY Match Default: 20	Increases Meta Bump by the amount set if the month and year matches the search date.
Bump Date YY Match Default: 10	Increases Meta Bump by the amount set if only the year matches the search date.
Bump Date DD MM Match Default: 5	Increases Meta Bump by the amount set if the day and month matches the search date.

Field	Information		
Bump Country Match Default: 25	Increases Meta Bump by the amount set if the country matches one of the search countries.		
Exclude Country No	If none of the countries in the Client Entity match the countries in the Dow entity no match potential will be generated.		
Match Default: Yes	Notes: If either or both client entity and Dow entity have no Country this value is ignored.		
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	Yes – Country filtering will be applied to the list.		
No Match Include WBL Default: Yes	No – Country filtering will not be applied to the list.		

Jaro Containment Bias

KYC360 uses an algorithm like 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 (vastly different) to 100 (identical). When doing a search KYC360 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 KYC360 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 all Dow Jones records and as it moves down through the different sieves the number of records reduces until only the records that go to the potential matches for the customer remain.

Create Screening List

The first sieve in the search removes Dow Jones records that you do not want to include in the screening list. The list of parameters below

Parameter	Information
Entity Type	All – both entity types pass through. Person – only entities with entity type person pass through. Entity – only entities with entity type entity pass through.
Gender	All – both genders pass through. Male – only records that are male pass through. Female – only records that are female pass through.
Politically Exposed Persons	Ticked – records that are marked as PEP's will pass through. Unticked – records that are marked as PEP's will not pass through.
Relative and Close Assoc	Ticked – records that are marked as RCA's will pass through. Unticked – records that are marked as RCA's will not pass through.
Watch List Special Interest	Ticked – records that are marked as WBL's will pass through. Unticked – records that are marked as WBL's will not pass through.

Parameter	Information
Sanctioned	Ticked – records that are marked as SAN's will pass through. Unticked – records that are marked as SAN's will not pass through.
Adverse Media	Ticked – records that are marked as ADV's will pass through. Unticked – records that are marked as ADV's will not pass through.
Unknown	Ticked – records that are marked as UNK's will pass through. Unticked – records that are marked as UNK's will not pass through.

Screen Last Name

Only Dow Jones records 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 (Person records only). The **Last Name** of your customer gets compared to the **Last Name** of all records in the list of records that have reached this point returning a Jaro Containment Bias (JCB) between 0% and 100% indicating how close the two last names are too identical. All the results that have a higher % than the threshold value you have set pass through.

Screen First Name

The **First Name** of your customer gets compared to the **First Name** of all the remaining records 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 exists all results pass through.

Screen Middle Name

The **Middle Name** of your customer gets compared to the **Middle Name** of all remaining records 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 exists all results pass through. If Dow Jones records do not contain a middle name, they are included by default.

Date Filtering

Results that have a birth/incorporation date related to them are compared to the Date of the Customer. If the difference in date is larger than the thresholds you have set, they will not pass through. If either or both Dow Jones and Customer have no date, they will pass through. The threshold represents several 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.

Country Filtering

If country filtering is enabled, each result will have the countries related to them compared to the Country1, Country2 and Country3 properties of the customer. If none of the customer countries match the Dow Jones records' countries the result will not pass through. If either or both Dow and customer have no country, they will pass through.

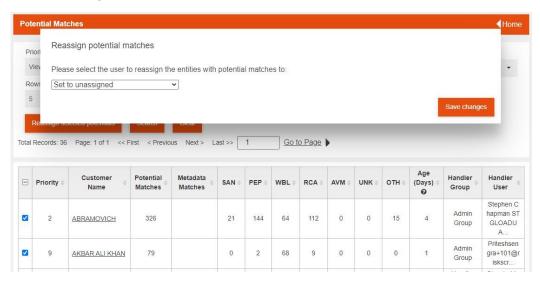
Reassigning Matches

Only Supervisor users and the user the potential matches for a customer are assigned to will be able to see their potential matches. If potential matches need to be reassigned to a new user or unassigned from the user they are currently assigned to, Supervisor users can reassign them from the <u>Potential Matches</u> page.

To reassign a potential match to a different user or to unassign it:

- Tick the box to the left of the customer(s) you want to reassign potential matches for

 a. You can select all the match potentials by ticking the box in the header row.
- 2. Click the "Reassign selected potentials" button above the potential matches.
- 3. Select the user you want to assign the potential matches to from the list and click "Save Changes."



Data Management (Bulk Deletion/Approvals)

The Data Management screen (found in 'Settings' \rightarrow 'Data Management') is your hub for managing data deletions within Screening. This functionality allows you to efficiently request the deletion of data, track the status of your requests, and ensure compliance with data retention policies.

IMPORTANT: This is only available for users within the Admin User Group. To execute the deletion of data you must have at least two admin users; one to request and one to approve the deletion.

Data Deletion Process

To initiate the data deletion process, follow these steps:

Access the Data Management Screen: Log in to your account and navigate to the Data Management Screen found under 'Settings' \rightarrow 'Data Management.'

Data Manageme	ent									Kenter Home
Search Name/Term	*			Search On:*				Match Type	* 0	
Enter name/term	here			Last name			~	Starts with		~
Customer Status:*		Date Added From:		Date Added To:		Handler Group:			Handler User:	
All	~	19/09/2023		19/12/2023		View all		~	View all	~
Rows Per Page:				Sort by:				Sort Directio	on:	
100			~	Customer Name			~	Ascending		~
Search Entities		Create New Deletion F	Request	Add to Existi	ng Delet	ion Request	Show Da	ata Deletion F	Requests	
Please note we	will	retain the data for a	30 days	period after dele	tion in	case for any rea	ason you	need to retri	eve the data. After th	ne 30 days
period the requ	lest is	s archived and the	data is	permanently dele	eted. Pl	lease keep the u	ise of this	retrieval pro	ocess to a minimum.	

From this landing page, you can apply multiple filtering options to narrow down your search and find the specific data you want to delete. Filters include the following options:

Field	Description						
Search Name/Term	Search term you want to use to perform the search.						
Search On	 The customer information you want to search by: Last name First name Middle name Reference 						
Match Type	 Where the search term should appear in the specific field: Starts with Contains 						
Customer Status	 Whether you want to filter the results by their status: Inactive Active All 						

Field	Description				
Date Added	Date option to specify which date the customer(s) were added into the				
from/to	system.				
Handler Group	The user group the customer record is assigned to.				
Handler User	The user the customer record is assigned to.				
Rows Per Page	How many results are shown per page.				
Sort By	 Filtering option to sort the records by one of the dropdown values: Customer Name Reference Handler Group Handler User Date added 				
Sort Direction	Functionality to change the sorting direction				

Select Data for Deletion

Once you have applied your filters and identified the data you wish to delete, you can select individual items or select multiple items simultaneously via the tick box functionality.

Dat	ta Management										Home
Sea	rch Name/Term:*		S	earch O	n:*			Matc	h Type:* 🔞		
%				Last nar	ne			✓ Star	ts with		~
Cus	tomer Status:*	Date Added F	rom: D)ate Add	ed To:	Handler G	Group:		Ha	ndler User:	
All	~	19/09/2023		19/12/20	023 🗖	View all			✓ V	ew all	~
Row	/s Per Page:		S	Sort by:				Sort	Direction:		
100	0		~	Custom	er Name			✓ Asc	ending		~
Se	earch Entities	Create New Delet	ion Request	Add	to Existing Delet	ion Request	5	how Data Del	etion Reque	ests 🕨	
pe	riod the request										
Total	Records: 67 Page	1 of 1 << First		d≻ La		<u>Go to F</u>	<u>⊃age</u> ▶				
Total		1 of 1 << First		kt> La MP≑		<u>Go to F</u>	AVM MP	AVM Discounted	AVM Flagged	Handler Group	Handler User
Total	Records: 67 Page	ts	< Previous Nex		st>> 1]	AVM				Handler User Shweta Mulik
	Records: 67 Page tity Search Resul Customer Name (@)SHWETA	ts	< Previous Nex	MP ¢	st >> 1 Discounted ÷	Flagged 🕀	AVM MP	Discounted	Flagged	Group ⁺ Admin	
Total	Records: 67 Page tity Search Resul Customer Name (@)SHWETA TESTRIG M (@)SHWETA	ts	< Previous Nex Date Added 29-Nov-2023	MP \$	st >> 1 Discounted \$	Flagged ⇒	AVM MP	Discounted	Flagged	Group Admin Group Admin	Shweta Mulik
Ent	Records: 67 Page	E1 of 1 << First ts Reference SM001 SMTTTTTT	< Previous Nex Date Added 29-Nov-2023 08-Dec-2023	MP \$	st >> 1 Discounted ¢	Flagged ⇒	AVM MP ÷ 5 49	Discounted	Flagged	Group Admin Group Admin Group Admin	Shweta Mulik
Ent E	Records: 67 Page tity Search Resul Customer Name (@)SHWETA TESTRIG M (@)SHWETA TESTRIG M ABRAMOVICH AKBAR ALI	Reference ¢ SM001 SMTTTTTT TEST-123-QWE TEST 123123	< Previous Nex Date Added 29-Nov-2023 08-Dec-2023 15-Dec-2023	MP \$ 0 326	st >> 1 Discounted ¢ 0 0	Flagged ⇒ 0 0	AVM MP ↔ 5 49 0	Discounted •	Flagged 0	Group Admin Group Admin Group Admin Group Admin	Shweta Mulik Shweta Mulik

KYC360

Once all the data has been selected - you can click either:

- "Create New Deletion Request" button to initiate a new deletion process. This will generate a request for data deletion (please note these requests must be approved/rejected within 24 hours).
- 2) Add to Existing Request (Optional): If there is already a pending deletion request you can choose to add the new items to that request. This streamlines the approval process by consolidating multiple deletion requests into one.

Creating a new deletion request pulls up the following menu:

	Dat	a Management										Hon	ne
	Sear	rch Name/Term:*			Search On	:*				Match Type:* 0			
	%				Last name	е			~	Starts with			~
	Cust	omer Status:*	Date Added Fi	rom:	Date Adde	d To:	Handler	Group:		Ha	ndler User:		
Add D	eletio	on Request											
Name*													
Description	n												
Admin Us	er dele	etion is sent to:*					Deletion A	Action: * 🛛					
- Select -						~	Select [Delete Acti	ion(s)				
										Add S	elected and	Send for Approval	Cano
	-	Name						MP	Discoun	ited Flagged	Group		
		(@)SHWETA TESTRIG M	SM001	29-Nov-2023				5			Admin Group	Shweta Mulik	
		(@)SHWETA TESTRIG M	SMTTTTTT	08-Dec-2023	0		0	<u>49</u>	0	o	Admin Group	Shweta Mulik	
		ABRAMOVICH	TEST-123-QWE	15-Dec-2023	326		0	0	0	0	Admin		

The options include:

Field	Description
Name of Deletion	Naming convention for your deletion request.
Description	Optional description field to describe the deletion/purpose etc.
Admin User deletion is sent to	Function to directly assign to specific admin user for review.

Field	Description
Deletion Action	 Select ALL (can select multiple) relevant delete requests. Delete Entities (delete the full customer record) Delete Match Potentials (delete the outstanding match potentials) Delete Discounted Matches (delete the discounted matches) Delete Flagged Matches (delete the flagged matches) Delete AVM Match Potentials (delete the outstanding AVM match potentials) Delete AVM Discounted Matches (delete the AVM discounted matches) Delete AVM Discounted Matches (delete the AVM discounted matches) Delete AVM Discounted Matches (delete the AVM discounted matches) Delete AVM Flagged Matches (delete the AVM flagged matches) MPORTANT: If you choose to 'Delete entities' then this deletes the whole customer data set for that record i.e. it will delete the entity and any associated matches.
Add Selected and Send for Approval	Sends the approval request.
Cancel	Cancels the pop-up box.

Add to Existing Deletion Request brings up the following menu:

%	/Term:*			Search On:* Last name		~	Match Type: Starts with		
Customer Sta	tus:*	Date Added From	n:	Date Added To:	Handler Group:			Handler User:	
All	~	19/09/2023		19/12/2023	View all		~	View all	
Delete Reque									
	tion roquos	ste wore found							
	etion reques	sts were found.							

Here you can select to add on the additional deletion requests to an already open, pending approval.

Approval/Rejection Process

Please note that your deletion request must be approved by an admin user, or by another admin user if the user who requested the approval is also an admin. The admin approver will then review the request and decide whether to approve or reject it.

To monitor the progress of your deletion requests you can go to the 'Show Data Deletion Requests' page.

Search Name/Term:				Search On:*				Match Type:	• 0	
%				Last name			~	Starts with		~
Customer Status:*		Date Added From	0	Date Added To:		Handler Group	D:		Handler User:	
All	~	19/09/2023		19/12/2023		View all		~	View all	~
Rows Per Page:				Sort by:				Sort Directio	n:	
100			~	Customer Name	9		~	Ascending		~
Search Entities	0	Create New Deletion	Request	Add to Exist	ing Deleti	ion Request	Show Da	ata Deletion F	Requests	
Please note we	will re	etain the data for	30 days	period after del	etion in	case for any r	eason you r	need to retrie	eve the data. After th	ne 30 davs
									cess to a minimum.	

The Deletion Requests page looks like this:

My Approvals											•	Go bac
lo data deletion	requests in	n selected	l business i	unit for approv	val were fo	und.						
Data Deletion R	Requests											
				11								
Request Name	No. of Entities	MP	Flagged	Discounted	AVMMP	AVM Flagged	AVM Discounted	Created By	Approver	Status	Edit	Delete
	No. of	MP 5689	Flagged 0	Discounted 502	AVMMP 64			Created By Charlotte Croxford	Approver Vinod Agole	Status Expired	Edit Edit	Delete

Field	Description
Request Name	Naming convention for the deletion request (linked to the 'Name of Deletion' field when creating the request.
No. of Entities	Total number of entities/customer records being requested for deletion.
MP	Match Potentials to be deleted.
Flagged	Flagged matches to be deleted.
Discounted	Discounted matches to be deleted.
AVM MP	Live Adverse Media Match Potentials to be deleted.
AVM Flagged	Live Adverse Media Flagged matches to be deleted.
AVM Discounted	Live Adverse Media Discounted matches to be deleted.
Created By	The User that has created the deletion request.
Approver	The User that the approval/rejection is pending with.
Status	Status indicator showing whether the request is pending approval,
Olalus	approved, or rejected.
Edit	Edit the request.
Delete	Delete the request.

You can also click through into the highlighted numbers in the deletion request table. For example, you have the option to click into the red highlighted numbers – this will load up the following page to provide more details on what will be deleted (what has been requested).

(You will notice that some numbers are black, and some are red - the red ones are those that the user has requested for deletion)

View Data Deletion	Request: KY(C360 Testing								Go bacl
al Records: 3 Page:	1 of 1 << First	< Previous N	lext > La	ast >> 1	Go to	Page				
Entities										
Customer Name	Reference	Date Added	MP	Discounted	Flagged	AVM MP	AVM Discounted	AVM Flagged	Handler Group	Handler User
(@)SHWETA TESTRIG M	SM001	29-Nov-2023	0	0	0	5	0	0	Admin Group	Shweta Mulik
(@)SHWETA TESTRIG M	SMTTTTTT	08-Dec-2023	0	0	0	49	0	0	Admin Group	Shweta Mulik
ABRAMOVICH	TEST-123- QWE	15-Dec-2023	326	0	0	0	0	0	Admin Group	

Data Retention Policy

It is important to be aware of our data retention policy Data Retention Period.

We will retain the deleted data for a 30-day period after the deletion request is approved. This retention period allows for data recovery in case it is needed for any reason.

After 30 Days - After the 30-day retention period expires, the deletion request is archived (as shown in below screenshot), and the data is permanently deleted from our system. Please use the data retrieval process sparingly and only, when necessary, as data cannot be recovered once it is permanently deleted.

Wy Approvals											4	Go bac
o data deletion	requests in	selected	l business (unit for approv	/al were fo	und.						
)ata Deletion R	le muente											
Jata Deletion R	equests											
Request Name	No. of Entities	MP	Flagged	Discounted	AVMMP	AVM Flagged	AVM Discounted	Created By	Approver	Status	Edit	Delete
DELETE	1	5689	0	502	64	0	0	Charlotte Croxford	Vinod Agole	Expired	Edit	
KYC360 Testing	3	326	0	0	54	0	0	Stephen Chapman STGLOADUA Ø	Annie Roberts	Pending	<u>Edit</u>	Delete
shweta regression	1	0	0	0	20	0	0	Sukanya Suryawanshi 🕢	Shweta Mulik	Expired	Edit	Delete
Req	1	0	0	0	0	0	0	Shweta Mulik 😡	Sukanya Suryawanshi	Expired	Edit	Delete
Test delete	1	1	0	0	0	0	0	Sukanya Suryawanshi 🕢	Krunal Lute	Expired	Edit	Delete
lest	1		0	0	0	0	0	Teial 😡	Shweta Mulik	Expired	Edit	Delete

VERSION: 4.6



KYC360

Profile

The first option under 'Settings' is called Profile and show each user their main attributes, such as email address, and what permissions they have.

In addition, we have now placed a full screen option which if you toggle on, to the right, you will see that the screen moves to taking over the full webpage.

We recommend this setting when you have a large amount of data, customer records in the system as its easier to navigate.

User Groups

KYC360 restricts access to customers through user groups. Only users that are part of a user group a customer is assigned to will be able to view their profiles, or any potential matches they generate.

If a user group is enabled to run reports, then they will be able to run reports and export data across all user groups, not just their own. This does not affect the segregation of user groups when it comes to assigning potential matches.

Those that have access to the Administrator Group will have the ability to add themselves to other user groups.

User Group Types

Handler Groups

Handler groups are used to work on customer potential matches. Each customer is assigned a user group when imported and only users in that user group will be able to handle any potential matches for that customer and view their customer profile.

Supervisors

A standard user can view all unassigned matches and matches they own for the user groups they are a member of. User group supervisors can view all potential matches within a group and assign or reassign potential matches to other members of the user group.

Admin Groups

Each client has an admin group which grants its users the following privileges.

- Access to all customers in all user groups
- User management (invite new users, disable users)
- Group management (add, change, or delete groups, change user group memberships)
- Import new customer files
- Export customer files with high-level match statistics

Managing User Groups

User groups are managed from the Group Management page in the admin section of the navigation bar.

Settings -
Profile
User Management
Group Management

Groups can be added, deleted and updated from the Group Management page.

ld	Name	Admin	Edit	Delete	Permissions
202	Admin Group	*	Edit	Delete	-
203	Handler Group	-	Edit	<u>Delete</u>	Permissions
204	Handler Group 2	-	Edit	<u>Delete</u>	Permissions
213	Rebranddd	-	Edit	Delete	Permissions

Add User Group

To add a new user group:

- 1. From the Group Management page, click the "Add a new group button."
- 2. Enter a name for the new group.
- 3. Set whether the new group is an admin group.
- 4. Set which of your existing users will be part of the new group (optional).
- 5. Click "Add new group."

Create Group					Go back
Group Name:					
Admin					
Is this an administrator group?					
Choose members, supervisors,	managers and directors				
Email Address	User Name	Member	Supervisor	Manager	Director
akshaypardeshi+suat@riskscreen.com	Akshay Pardeshi				
alicefoster@riskscreen.com	Alice Foster				
andyking@riskscreen.com	Andy King				
annieroberts@riskscreen.com	Annie Roberts				
		-	-		-
Create Group					

Edit User Group

Editing a user group allows you to:

- Change the name of the user group.
- Change whether the group is an admin user group or not.
- Add or remove users from the group.
- Change the supervisors in the group.
- Promote or demote people within the group.
- Delete the group.

To edit user group details:

- 1. From the Group Management page, click the "Edit" button next to the user group you want to change.
- 2. Make any changes to the name or admin status.



3. Click "Update group details."

To edit group membership:

- 1. From the Group Management page, click the "Edit" button next to the user group you want to change.
- 2. Under the Manage Group Members section click "Add" in the first **Action** next to the user's name to add them to the group
 - a. If they are already in the group click the Remove button to remove the user from the group
- 3. Promote a user to supervisor by clicking the "Promote" button in the second Action column next to the users' name.
 - a. If the user is already a supervisor click the "Demote" button to make them a regular user

	p: Handler Group						Go back
Group Name	B.*		Admi	n*			
Handler Gro	oup			Is this an administ	trator group?		
	ge Group Per						
	ermissions for this group						
	ge Group Me						
			Enabled	Member	Supervisor	Manager	Director
Mana	ge Group Me	mbers	Enabled	Member Add	Supervisor Promote	Manager Promote	Director Promote
Mana ^{User ID}	ge Group Me	Email Address					

Delete User Group

User groups can only be deleted if there are no customers assigned to them.

To delete a user group:

4. From the Group Management page, click the "Delete" button next to the user group you want to delete. You can also delete a group once its selected.

ld	Name	Admin	Edit	Delete	Permissions
02	Admin Group	~	Edit	Delete	-
03	Handler Group		Edit	Delete	Permissions
04	Handler Group 2	-	Edit	<u>Delete</u>	Permissions
13	Rebranddd	-	Edit	Delete	Permissions

Permissions

To adjust permissions of certain user groups for them to have access to edit static data, edit groups and permissions and run reports, you need to amend their permissions with the permission screen. To get to this screen, click on the Permissions option on the Group Management page.

ld	Name	Admin	Edit	Delete	Permissions
202	Admin Group	-	Edit	Delete	÷
203	Handler Group	-	Edit	Delete	Permissions
204	Handler Group 2	L	Edit	Delete	Permissions
213	Rebranddd	-	Edit	Delete	Permissions

This will take you to a page where you can change permissions for viewing, adding, deleting or updating. This comes in the form of tick boxes next to the relevant options where the corresponding boxed should ticked and then the option Update Group Permissions selected at the bottom of the screen. The Menu option allows the user group to view the assorted options in the navigation bar but not to make changes.

Category	Permission	Menu	Add	Update	Delete	Viev
Customer Screening	Potential Matches					
Customer Screening	Reports	2				
Customer Screening	Customer Management					
Customer Screening	Upload Customers					
Customer Screening	Configure Criteria	0				
Customer Screening	Configure Risk					

As per the relevant sections detailed elsewhere in this manual, this page manages who has access to these. please note that if a user group is enabled to run reports, then they will be able to run reports across all user groups, not just their own. This does not affect the segregation of user groups when it comes to assigning potential matches.

Users

KYC360 uses users to control access to the website. Every time you open KYC360 you will be asked to log in with your user account by providing your email address and a Password. Once logged in you will be shown the <u>Home Page</u>.

Managing Users

Users are managed from the User Management page in the System section of the navigation bar.

	Settings -
Pro	file
Use	er Management
Gro	up Management

The User Management page will show a list of all users associated with your organisation, pending invites and the status of each user. Users can also be invited and disabled from this page.

User Management						∢ Hom
Add a new user / link an	existing Microsoft accoun	t				
Name*	Email Address:*	Azure Active Directory Account:		Two Factor /	Authentication:	
		No	~	No		
Add User						
Pending Invitations						
When this is done, the user will be a	ccounts, when a user is sent an invitatio added to your organisation. add the new user to the groups they wi		a registra	ation form.		
Email Address	Last sent (UTC)	Two Step Login		Resend	Delete	
alicefoster@riskscreen.com	07 Dec 2023 09:20:53			Resend	<u>Delete</u>	
christophemontoya@riskscreen.com	15 Dec 2023 17:23:07			Resend	Delete	
gabrielfranks@riskscreen.com	07 Dec 2023 09:19:43			Resend	Delete	

User Details

Clicking on the username of any of the users in the list will show the user details page for that user.

Edit User: Stephen Chapman STG	LOADUA				Go back
User Details					
User ID: User Name: User Email: Status: Business Unit Transfer Permission:		oman STGLOADUAT nan@riskscreen.com			
Update User Status					
Business Unit Transfer P Grant business unit transfer permissi					
Update User Name	<u></u>				
User Name: Stephen Chapman STGLOADUAT					
Change User Name					
Group Memberships					
Group Name	Admin Group	Member	Supervisor	Manager	Director
Admin Group	-	✓ (<u>Remove</u>)	✓ (<u>Demote)</u>	Promote	Promote

The user details page shows detailed information on the user including:

- User Id, Name, Email address and status
- User groups the user is a member of
- Whether the user is a supervisor in the groups they are a member of

The user details page also allows you to disable the user or manage the users' group memberships.

Add User

To add a new user:

- 1. On the User Management page
- 2. Complete the name and email address for the new user.
- 3. Click the "Add User" button to send an invite to the user.
 - a. The user will receive an email invite to your KYC360 organisation and will be required to provide a password for their account before they can access the system.
 - b. You can resend the invite email by clicking the "Resend" button next to the users' name in the **Pending Invitations** section.

Disable User

To disable a user:

1. On the User Management page

- 2. Click the "Disable" button next to the users' name in the user list.
 - a. Disabled users will not be allowed to log into KYC360.

Resetting Your Password

If you have forgotten your password, you can click on the "Forgotten your password?" button on the login page to send a password reset link to your email address.

Sig	ın in
Ema	il Address
Pass	word
	Remember me?
Ent	er KYC360 (TEST)
Forgo	ten your password?
Login	with Azure Active Directory Account
- 18k	are experiencing problems, then please contact your istrator or email <u>support@kyc360.com</u> .

You can also reset your password from your Accounts Details page without having to send the password reset link through email.

From the <u>Home Page</u>, click the Account details button enter your existing password and your desired new password and confirm the change by clicking the "Update password" option below the entry fields.

User Details		Update Your Password
Client ID: Client Name: User ID: User Name:	101 STGLOADUAT-DEMO-CLIENT-1 138 Stephen Chapman STGLOADUAT	Current password:
User Email: Administrator: Two Factor Authentication:	stephenchapman@riskscreen.com Yes No	New password: 😧
Home Page Home Page:		Confirm new password:
Welcome	*	
Save		Update Password

KYC360

Two Factor Authentication

A two-factor authentication option for log on can be enabled/disabled by Admin users in the User Management section under 'Add a new user.' This option will default to 'Yes' if there are any already existing users or invites with this option on.

User Management					Home
Add a new user	/ link an existing Microsoft a	ccount			
Name*	Email Address:*	Azure Active Directory Ac	count:	Two Factor Authenticatio	n:
		No	~	No	~
Add User					

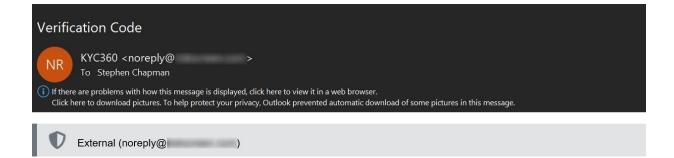
You can toggle the 'Two Step Login' option on for existing users in the 'Mange Users' section by clicking enable/disable in the Action column to the right of it.

Manage Users

Id	User Name	Email Address	Registered	Enabled	Two Factor Auth
126	Akshay Pardeshi	akshaypardeshi+suat@riskscreen.com	~	✓ <u>(Disable)</u>	Enable
131	Alice Foster	alicefoster@riskscreen.com		✓ <u>(Disable)</u>	
109	Andy King	andyking@riskscreen.com	-	✓ (Disable)	Enable
135	Annie Roberts	annieroberts@riskscreen.com	1	✓ <u>(Disable)</u>	Enable
122	ARUN STGLOADUAT DEMO1	arunputhran+101@riskscreen.com	~	✓ (Disable)	Enable

Verification codes will be sent to the email address (login) for all users who have two step login option enabled when they try to log on. User will be prompted to enter this verification code to complete login as shown below. Verification code will be a 6-digit number and valid for 6 minutes.

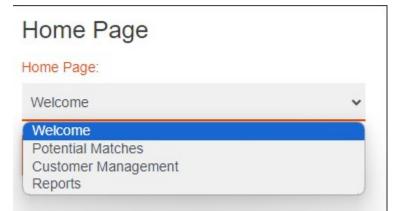
LIII	er Verification Code
Verific	cation Code
Ente	er KYC360
lf you h	ave not received an email with the verification code, then
please	click 'Log In' on the top right to log in again for a new
verifica	tion code to be sent to your email. Please check your junk
email fo	older if you don't see this email in your inbox. Please add
noreply	@riskscreen.com to your Contacts so that these emails don't
go to yo	our junk folder in future.
If you a	re experiencing problems, then please contact your
adminis	strator or email support@kyc360.com.



Your one-time verification code is:

Home page selection

Users can select which page they first see when they login to KYC360. You can change your default home page option by visiting System >> Account Details. The options available are:



Reports

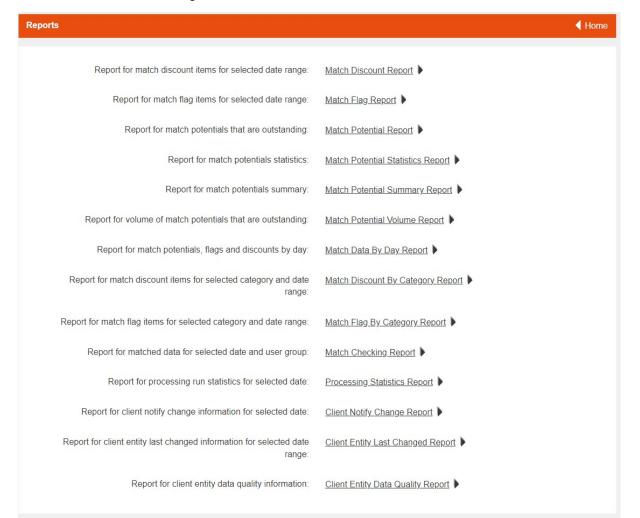
The Reports page allows you to generate reports across all your customers in KYC360. You can open the Reports and Data Export page by:

- Clicking the Reports option on the <u>Home Page</u>
- Clicking the Reports option under Home in the navigation bar at the top of the page

It is useful to note that if a user group is enabled to run reports, then they will be able to run reports across all user groups, not just their own. This does not affect the segregation of user groups when it comes to assigning potential matches.

If the report you wish to view includes more than 1500 rows, a message will appear on the screen, informing you of how many results are in the report. In this case, only the first 1500 rows are displayed on the report, you are prompted to use the 'Export to Excel' option to view all rows.

When the Export to Excel option is used, a message is displayed informing you that a new tab will open with the download and that you can continue with your work whilst the download runs in the background.



53

Match Discount Report

The match discount report shows all match potentials that were discounted in the date range selected with some additional information. You also have the option to export this data to excel to create summary metrics.

Parameters:

- From Date
- To Date

KYC 360	Match Discount Between 01/12/2023 and 19/12					
Match Discount	Items			Betwe	en 01/12/2023	3 and 19/12/2023
	Current Data	S			-	
Client	STGLOADUAT-DEMO-CLIENT-1	Business Unit	Default		Client Entity ID	5002
Last Name	ABRAMOVICH	First Name	ROMAN	Middle Name		
Entity Full Name	ROMAN EVGENEVICH AMBAROV			E	ntityID	4331089
	Historic Data					
Matched Date	19/12/2023 Generated Date	08/12/2023 Action Days	11 Valid to Date	31/12/2099	Notify	No
Reason	ZXcvbnm,./	ZKcybnm,/ Discount Category Address does not match			ot match	
Date Meta	26 May 1968	Country Meta	Citizenship : Russia Jurisdictio	n : Russia Resident of : Rus	ia	
User Group	Handler Group		Handling User	Tejal		

Match Flag Report

The match flag report shows all match potentials that were flagged in the date range selected with some additional information. You also have the option to export this data to excel to create summary metrics.

Parameters:

- From Date
- To Date

KYC 36 <mark>0</mark>	Match Flag By Between 01/12/2023 and 19	NAME AND ADDRESS OF A DRESS OF A				
Match Flag Item	s			Betw	een 01/12/2023	and 19/12/2023
	Current Data		n 62			
Client	STGLOADUAT-DEMO-CLIENT-1	Business Unit	Default		Client Entity ID	5076
Last Name	GANDHI	First Name		Middle Nam	e	
Entity Full Name	DEVAVRAT GANDHI				EntityID	731844
	Historic Data					
Matched Date	04/12/2023 Generated Date	29/11/2023 Action Days	5 Valid to Date	31/12/2099	Notify	Yes
Reason	rtyy			Flag Category	Relevant Not Accep	otable - Generic
Date Meta		Country Meta	Citizenship : India Jurisdiction	: India Resident of : India	3	
User Group	Admin Group		Handling User	Sukanya Suryawans	hi	

Match Potential Report

The match potentials report shows all the client entities that have match potentials still outstanding with the Dow Entities they have matched against.

KYC 36 <mark>0</mark>	Match Potential Report Between 01/01/2023 and 19/12/2023						
Match Potentials	Outstanding						
Client	STGLOADUAT-DEMO-CLIENT-1	Business Unit	Default				
User Group	Admin Group	Priority	0	Generated Date	19/12/2023 Po	otential Matches	489
Last Name	MESSI	First Name					
Middle Name		Client Entity ID	5123		Handling User	Priteshsengra+101	Driskscreen.com
PEP Volume	234 RCA Volume 97 WBL Volume	162 SAN Volume	1	AVM Volume	0 OTH Volume	9 UNK V	olume 0
Entity Name	NEY EMIL DA CONCEIÇÃO MESSIAS JÚNIOR			Entity ID	1647924	Generated Date	19/12/2023
Average Bias	90,4762 % Date Match No Count	ry Match No]	Priority	0	Meta Bump	0
Is PEP	Yes Is RCA No Is WBL	No Is SAN	No	Is AVM	Is OTH	No Is UN	K No
Entity Name	ELISABETH ELENA VON MESSING			Entity ID	1065445	Generated Date	19/12/2023
Average Bias	90.4762 % Date Match No Count	ry Match No		Priority	0	Meta Bump	0
Is PEP	No Is RCA No Is WBL	Yes Is SAN	No	Is AVM No	Is OTH	No Is UN	< No

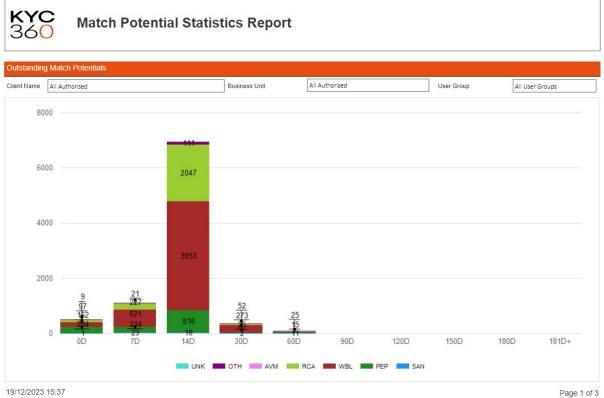
Match Potential Statistics

The match potential statistics report shows the following statistics on the outstanding match potentials:

- Match Potential Age •
- Match Potentials by Priority •
- Number of Potentials in each of the lists (SAN, PEP, WBL, RCA, AVM, UNK) •

Parameters:

User Group •







Match Potential Summary

The match potential summary report shows summary information for each of the outstanding match potentials based on the user group they are assigned to.

KYC 36 <mark>0</mark>	Match Potential Summar Between 19/12/2022 and 19/12/2023	y Repo	rt					
Match Potentia	IS STGLOADUAT-DEMO-CLIENT-1	B	usiness Unit	Default				
			ser Group	Admin Group			Items	16
Priority	0 Meta Bump Days OS	G	enerated Date	19/12/2023	Potential Matches	489	4	
Last Name	MESSI	First Name			-			
Middle Name		Client Entit	y ID 5123		Handling User	Priteshsengra+101@	priskscreen.co	m
PEP Volume	234 RCA Volume 97 WBL Volume	162 SA	N Volume	1 AVM Volum	ne 0 OTH Vo	olume 9	UNK Volume	
Priority	9 Meta Bump Days OS	G	enerated Date	18/12/2023	Potential Matches	3		
Last Name	ABRAMOVICH	First Name	ROMAI	N	4 ·	5		
Middle Name		Client Entit	ty ID 5120		Handling User	Annie Roberts		
PEP Volume	2 RCA Volume 0 WBL Volume	1 SA	N Volume	2 AVM Volum	ne 0 OTH Va	olume 0	UNK Volume	
Priority	9 Meta Bump Days OS	G	enerated Date	18/12/2023	Potential Matches	79		
Last Name	KHAN	First Name	AKBAR					
Middle Name	ĀLI	Client Entit	ty ID 5119		Handling User	Priteshsengra+101@	priskscreen.co	n
PEP Volume	2 RCA Volume 9 WBL Volume	68 SA	N Volume	0 AVM Volum	ne 0 OTH Vo	olume 0	UNK Volume	

Match Potential Volume

The match potential volume report shows the number of match potentials outstanding based on the following groupings:

- Total
- By Priority (Risk Classification)
- By Generated Date
- By Priority and Generated Date
- By Generated Date and User Group
- By Generated Date and User Group and Priority

KYC	~	-	
	Y	'C	2
210	52	C	5

Match Potential Volumes Report

Between 19/12/2022 and 19/12/2023

Client Name	STGLOADUAT-DEMO-CLIENT-	0	Business Unit Default		Total Item	15		2,625
PEP Volume	669 RCA Volume	639 WBL Volume	1,319 SAN Volume	39 AVM Volume	9 OTH Volume	47	UNK Volume	C
Priority Volume	'S							
Priority	9				Total Item	15		112
PEP Volume	23 RCA Volume	13 WBL Volume	80 SAN Volume	8 AVM Volume	0 OTH Volume	3	UNK Volume	0
Priority	5				Total Item	15		532
PEP Volume	120 RCA Volume	153 WBL Volume	256 SAN Volume	6 AVM Volume	8 OTH Volume	10	UNK Volume	0
Priority	2				Total Item	ıs		326
PEP Volume	144 RCA Volume	112 WBL Volume	64 SAN Volume	21 AVM Volume	0 OTH Volume	15	UNK Volume	0
Priority	1				Total Item	ns		1,047
PEP Volume	138 RCA Volume	229 WBL Volume	682 SAN Volume	3 AVM Volume	1 OTH Volume	9	UNK Volume	0
Priority	0				Total Item	ıs		608
PEP Volume	244 RCA Volume	132 WBL Volume	237 SAN Volume	1 AVM Volume	0 OTH Volume	10	UNK Volume	0
Generated Dat	e Volumes							
Generated Date	19/12/2023				Total Item	ns		489
PEP Volume	234 RCA Volume	97 WBL Volume	162 SAN Volume	1 AVM Volume	0 OTH Volume	9	UNK Volume	0
Generated Date	18/12/2023				Total Item	ıs		593
PEP Volume	32 RCA Volume	63 WBL Volume	500 SAN Volume	2 AVM Volume	0 OTH Volume	2	UNK Volume	0

Match Data by Day

The match data by day report shows all match potentials generated on a specific day.

Parameters:

• Data Date

KYC 36 <mark>0</mark>	Match D	ata By Da	iy F	Repo	rt											
outstanding Mate	h Potentials															
lient	STGLOADUAT-DEMO	0-CLIENT-1														
ser Group	Admin Group															
Client Entity ID	5123	Last Name	[MESSI						First Na	ame					
EntityID	115022	Entity Full Name		SELMA-JOHANNA KAAL					Handling User Priteshsengra+10				Driskscree	en.com		
Generated Date	19/12/2023	PEP No	RCA	Yes	WBL	No	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	No
EntityID	251253	Entity Full Name	[EMANUEL	MESSIAS	DE OLIV	EIRA			Handlin	ig User		Priteshsengra+101	Priskscree	en.com	
Generated Date	19/12/2023	PEP Yes	RCA	No	WBL	No	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	No
EntityID	251460	Entity Full Name	[IOÃO MAR	RIA MESSI					Handlin	ig User		Priteshsengra+101(Priskscree	en.com	
Generated Date	19/12/2023	PEP Yes	RCA	No	WBL	No	SAN	No	AVM.	No	UNK	No	Date Match	No	Country Match	No
EntityID	295523	Entity Full Name	- [MESSAOU	D MESSIK	н				Handlin	ig User		Priteshsengra+101	@riskscre	en.com	
Generated Date	19/12/2023	PEP Yes	RCA	No	WBL	No	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	No

Match Discount by Category

The match discount by category report shows information for each discounted match potential for the selected category between the dates supplied.

Parameters:

- From Date
- To Date
- Category

KYC 360	Match Discount By Car Between 09/01/2023 and 09/01/2024	tegory Rej	port				
Match Discount	t Items				Between	09/01/2023	and 09/01/2024
	Current Data						
Client	Jersey Company (TEST)	Business Unit	Default			Client Entity ID	1147641
Last Name	PUTIN	First Name	VLADIMIR		Middle Name		
Entity Full Name	VLADIMIR GENNADEVICH PUTIN					EntityID	12611176
Is PEP	No Is RCA No Is WBL	No Is SAN	Ye	s Is AVM	No Is OTH	No Is	UNK No
	Historic Data						
Matched Date	09/01/2023 Generated Date 09/01/2023	Action Days	0	Valid to Date	31/12/2099	Notify	No
Reason					Discount Category	Date does not match	
Date Meta	06 Mar 1975	Country Meta	Citizenship	: Russia			
User Group	Admin Group			Handling User	Lucie (RiskScreen)		
Custom Text 1				-			,

Match Flag by Category

The match flag by category report shows information for each flagged match potential for the selected category between the dates supplied.

Parameters:

- From Date
- To Date
- Category

KYC 36 <mark>0</mark>		Flag By Ca		ry Report						
Match Flag Iten	ns						Between	09/01/2023	and	09/01/2024
	Current Data									
Client	Jersey Company	(TEST)		Business Unit	Default			Client Entity ID	11476	41
Last Name	PUTIN			First Name	VLADIMIR		Middle Name			
Entity Full Name	VLADIMIR VLAD	DIMIROVICH PUTIN						EntityID	98141	
IS PEP	Yes Is Ro Historic Data	CA No	Is WBL	No Is SAN	Yes	is AVM	No Is OTH	No	Is UNK	No
Matched Date	09/01/2023	Generated Date	09/01/2023	Action Days	0 V	alid to Date	31/12/2099	Notify	Yes	
Reason		-					Flag Category	Relevant Acceptat	le - Generic	
Date Meta	1952 07 Oct 19	952		Country Meta		ussia Jurisdiction : ss : Russia Addres	Russia Resident of : Russia s : Russia	Address : Russia	Address : R	ussia Address :
User Group	Admin Group				н	andling User	Lucie (RiskScreen)			
Custom Text 1										

Match Checking

The match checking report shows all matches that were made on the date and user group selected with some additional information on each of the matches.

Parameters:

• Match Date

• User Group

ate:*		User Group	*		Business Uni	it:*		
01/12/2023		All		*	Default		~	
View Report Ex	port To Excel	Go back						
⊲ < 1	of 1 >	⊳ı (Page Width 🗸		合	Find Next	
	atch Che	cking Re	eport					
KYC ™	atch Che	cking Re	eport					

Processing Run Statistics

The processing run statistics report will show summary statistics for any processing runs for a client on the date selected.

Parameters:

• Processing Date

300	Processing or the 01/12/2023	Sta	itistics	Re	port							
Client Processing Sta	tistics											
Client	STGLOADUAT-DEMC	-CLIEN	T-1		Business Unit		Default			Batch	Identifier	116
Start Date	01/12/2023 07:07	End	Date	01/	12/2023 07:07	DL	Threads	1	NS Threads	1		
Searches Performed		32	Client Entity Ma	itches			0	Total Data	Matches		0	
Data Match Volumes	F	PEP	0	RCA	0	WBL	0	SAN	0 AVM	0	отн	0 UNK
nitial Matches		1,206	Discount Total				1,206	Discount N	Aulti Match		489	
			Discount White	List			0	Discount D	Date Meta		29	
			Discount Count	ry Met	a		300	Discount E	xisting		388	
lient Adverse Media	Processing Statistics											
Client	STGLOADUAT-DEMO	-CLIEN	T-1		Business Unit		Default			Batch	Identifier	68
Start Date	01/12/2023 22:30	End	Date	01/	12/2023 22:30	DL	Threads	2	NS Threads	2		
earches Performed		14	Client Entity Ma	itches			5	Total Data	Matches		10	
nitial Matches		64	Discount Total				54					
Discount Multi Match		0	Discount Existin	ıg			54					

19/12/2023 15:47

Page 1 of 1

Client Notify Change

The client notify change report will show the list of Dow entities that generated a change notification for the client and date selected.

Parameters:

• Data Feed Date

KYC 360	Client Notify Change Report Between 01/12/2022 and 19/12/2023		
Notify Change Ite	ems		
Client	STGLOADUAT-DEMO-CLIENT-1 Business Unit Default	Data Feed ID	112
Last Name	PUTIN	Client Entity ID	5030
First Name	VLADIMIR	Area	Match Flagged
Middle Name		Notify	Yes
Entity Name	VLADIMIR VLADIMIROVICH PUTIN	Entity ID	98141
Data Feed Date	19/12/2023 User Group Handler Group	User	Andy King
Deleted	No Record Changed Yes Classification No Name Changed No Date Changed No	Address Changed	No Country Changed No

AVM Match Potentials:

The AVM Match Potentials Report will show a list of Adverse Media potential matches from a selected Business unit and date range. This is found in the Adverse Media \rightarrow Reports section.

Parameters:

- Business Unit
- User Group
- Date Range

VM Ma	atch Po	otential Re	port									d Go ba
om Dat	te:*			To Date:*				User Group:	*	Busin	ess Unit:*	
1/12/20	022		•	19/12/20	023			All		✓ Defa	iult	
View R	eport	Export 7	To Excel	Go back								
	<	1	of 28 💙	DI	0	Page	• Width 🗸		д	Find Ne	ext	
36	0	Between	h Poter									
36 atch Po	otential Entity ID	Betwee Items				Generated Date	Search Engine	Display Link	Bet Snippet	tween 01/12 Business Unit	V2022 and Handled By User Group Name	19/12/2023 Handled By User Name
	otential Entity ID	Betweel Items Entity	n 01/12/2022 :	and 19/12/2	023		Engine				Handled By User	Handled By

Data Quality Report

This report assesses the quality of your customer data and provides a quality check for common issues.



- Status

- Business Unit (or 'All')

Parameters/Test Conditions:

- Where data subject is Person and first or last name contains multiple words
- Where data subject is Person and first name contains two or more words and middle name is blank
- o Where data subject is Person and younger than 16 years
- Where data subject is Person and is older than 80 years
- Where data subject is Person and first name or last name are more than 18 characters long
- Where data subject is Person and has a single character between two spaces or a single character followed by a full stop in the first, middle or last name fields.
- Where data subject is Person and has a single character in either the first name, middle name, or last name fields.
- Where data subject is Person and first name, middle name or last name contains an integer value.
- o Where data subject is Person and duplicate records exist with the same name
- o Where data subject is Person and first name is empty
- \circ $\;$ Where data subject is Entity and last name contains an integer value
- Where data subject is Entity and duplicate records exist with the same name
- Summarises the volume/percentage of customer records affected by each issue.
- For each test condition, lists each record with the interface reference number/entity ID and name data, so that you can easily identify the specific customer with the potential issue.

KYC 36 <mark>0</mark>	Client Entity D	ata Quality Re	port				
est Conditions -	Where data subject is:						
Yes Person and	first or last name contains multiple wor	ds	Yes	Person and first name or last r	name are more than 18 characters long		
Yes Person and	first name contains two or more words	and middle name is blank	Yes	Person and has a single chara name fields	cter between two spaces or a single char	acter followed by a full	stop in the all
Yes Person and	younger than 16 years		Yes	Person and has a single chara	cter in either the first name, middle name	e or last name	
Yes Person and	is older than 80 years		Yes	Person and first name, middle	name or last name contains an integer v	alue	
Yes Person dup	licate name check		Yes	Person and first name is empt	y.		
Yes Entity and la	ast name contains an integer value		No] Entity duplicate name check			
lient: STGLO/	ADUAT-DEMO-CLIENT-1	Business Unit:		Default			
lest Condition					Volume	Total Volume	Percenta
Where data subject i	s Person and younger than 16 years				2	69	2.89
Where data subject i	s Person and has a single character in ei	ther the first name, middle name	or last name		6	69	8.69
Vhere data subject i	s Person and first name, middle name o	r last name contains an integer va	ilue		3	69	4.34
Where data subject i	s Person and duplicate records exist with	h the same name			8	69	11.59
Where data subject i	s Person and first name is empty				9	69	13.04
lient: STGLOA	DUAT-DEMO-CLIENT-1	Business Unit:		Jersey Business Unit			
lest Condition					Volume	Total Volume	Percent
Where data subject i	s Person and first name, middle name o	r last name contains an integer va	lue		1	7	14.28
Where data subject i	s Person and first name is empty				2	7	28.57
lient: STGLO	ADUAT-DEMO-CLIENT-1	Business Unit:		Default			
lest: Where d	lata subject is Person and younger th	an 16 years					
nterface Ref	Last Name		First Name		Middle Name	E	<u>ntity ID</u>
RG015	ABBOTT		DIANE			5	015
Vwe1	KURT1		DIANE			5	095

Audit History

The audit History reporting function allows you to run reports which show historical changes made to data over time.

Audit History	✓ Home
Audit records for client entities:	Client Entity Audit
Audit records for discounted matches:	Match Discounted Audit
Audit records for flagged matches:	Match Flagged Audit

Client Entity Audit

The client entity audit report lets you see changes made to a certain client record in a particular period (up to 24 months lookback range).

Client Entity Audit							d Go back
User.*				From Date:*		To Date:*	
- Select -			~	19/11/2023		19/12/2023	
Search Customer:		Search On:		Match Type: 🔞		Customer Status:	
Enter name/term (optional)		Last name	*	Starts with	~	All	~
Rows Per Page:		Sort by:		Sort Direction:			
100	~	Audit Date	~	Ascending	~		
View Audit Data Export	Audit Dat	a Clear					

Parameters:

- User
- From Date
- To date
- Search Customer
- Search On
- Match Type
- Customer Status
- Rows Per Page
- Sort By
- Sort Direction

Audit Date	Entity Name	Action	Interface Reference	Criteria	Country 1	Country 2	Country 3	Risk
<u>15/12/2023 18:55:18</u>	MICROSOFT	Add	ZZX998	Person Low Risk	United States	Unknown	Unknown	Unclassified
<u>15/12/2023 18:55:59</u>	MICROSOFT	Update	ZZX998	Entity Low Risk	United States	Unknown	Unknown	Unclassified

Match Discounted Audit

The match discounted audit report lets you see changes made to discounted matches in a particular period (up to 24 months lookback range).

Parameters:

- User
- Date
- Customer
- Match Type
- Status

SCREENING USER MANUAL

Audit Date	Entity Name	Action	Interface Reference	Match Name	Generated Date	Matched Date	Action Days	Discount Category	Download
07/12/2023 12:54:21	GANDHI	Add	1F705F6E- 3B8A-4AC4- 9A03- 9ECB7C25F48F	SAROJ DILIP GANDHI	29/11/2023	07/12/2023	8	Gender does not match	Download
07/12/2023 12:54:21	GANDHI	Add	1F705F6E- 3B8A-4AC4- 9A03- 9ECB7C25F48F	MANEKA SANJAY GANDHI	29/11/2023	07/12/2023	8	Gender does not match	Download
07/12/2023 12:54:21	GANDHI	Add	1F705F6E- 3B8A-4AC4- 9A03- 9ECB7C25F48F	SANJAY GANDHI	29/11/2023	07/12/2023	8	Gender does not match	Download
07/12/2023 12:54:21	GANDHI	Add	1F705F6E- 3B8A-4AC4- 9A03- 9ECB7C25F48F	TARA GANDHI	29/11/2023	07/12/2023	8	Gender does not match	Download
<u>07/12/2023 12:54:21</u>	GANDHI	Add	1F705F6E- 3B8A-4AC4- 9A03- 9ECB7C25F48F	HARILAL GANDHI	29/11/2023	07/12/2023	8	Gender does not match	Download

Match Flagged Audit

The match flagged audit report lets you see changes made to flagged matches in a particular period (up to 24 months lookback range).

Parameters:

- User
- Date
- Customer
- Match Type
- Status

Audit Date	Entity Name	Action	Interface Reference	Match Name	Matched Date	Flag Category	Download
04/12/2023 09:08:38	GANDHI	Add	1F705F6E-3B8A-4AC4- 9A03-9ECB7C25F48F	DEVAVRAT GANDHI	04/12/2023	Relevant Not Acceptable - Generic	Download
13/12/2023 13:04:29	BORIS JONHSON	Add	A192F0B7-98AA-484F- 87D2-980313F6D756	ALEXANDER BORIS DE PFEFFEL JOHNSON	13/12/2023	Relevant Not Acceptable - Generic	Download
18/12/2023 12:38:35	TESCO	Add	TRG007	TESCO PLC	18/12/2023	Relevant Acceptable - Generic	Download
18/12/2023 12:41:37	ALI PATHAN	Add	PATHANNNNNN	ALI GUL PATHAN	18/12/2023	Relevant Acceptable - Generic	Download
<u>18/12/2023 12:41:51</u>	ALI PATHAN	Add	PATHANNNNNN	ALI PATHAN	18/12/2023	Relevant Not Acceptable - Generic	Download

Export Customer List

The export customer list report contains a list of all customers and their data as well as their match statistics. You can set what data is included in the report by toggling the data inclusion options on and off. Generate the report by clicking the "Export customer list" button. The report can be generated in either a CSV or excel format.

Option	Description
Numerical IDs	Include the numerical ID's for data that have them: • Criteria • Gender • Country1-3 • Handled by User Group • Handled by User • Risk • Status
Person/entity criteria	Include the criteria the customer is screened under.
Gender	Include the gender of the customer.
Date of	Include the Date of Birth/Registration of the customer.
birth/registration	-
Countries	Include the Countries associated with the customer.
Handler Group	Include the Handler Group the customer is assigned to.
Handler User	Include the User the customer is assigned to.
Risk Category	Include the Risk classification of the customer.
Status	Include the status of the customer.
Date Added	Include the date the customer was added to KYC360.
Match Statistics	Include columns showing how many of the following the customer has: Potential Matches Discounted Matches Flagged Acceptable Matches Flagged Not Acceptable Matches

Export customer list in import format

This report will generate a file in the format required to import customers that includes the current information for all your customers. The most likely use for this report is to update customer data by exporting the list, making any necessary changes to the file and <u>importing</u> the file to update the customers in KYC360.

Note: Should a high volume of data be exported the system will display a process wheel and grey out all export options whilst the data is being exported. Please be patient whilst this process is running.





Customer Report

A detailed customer report can be generated or downloaded from the <u>customers profile</u> page. Click the "generate customer report" or "download customer report" button in the Client entity details section to generate the report.

Customer Details	s: VLADIMIR PUTIN		Go back
Name:	VLADIMIR PUTIN	Reference:	TRG0030
Gender:	Male	Reference.	Edit Delete Reports AVM Matches
Country:	Russia	Date Added:	01 Nov 2023
Date:		File Criteria:	Person High Risk
Client:		Risk:	High
Handler Group:	Handler Group	Status:	Active
Handler User:		View Customer F	Report Download Customer Report

The report is generated as a downloadable PDF and contains detailed information on potential matches, flagged/discounted matches, and screening history for the customer.

Example

The first page of the report is a summary of the client details, including the handler group it has been assigned to and statistics for outstanding potential matches and flagged/discounted matches.

Customer Report			
KYC360 Customer Report			09 Jan 2024
Summary			
Customer Name		Handler Group	
VLADIMIR PUTIN		Admin Group	
Client		Handler User	
Jersey Company (TEST)		-	
Prepared by		Custom Text 1	
harryhulme@riskscreen.com			
Customer Details			
Customer Name		Reference	
VLADIMIR PUTIN		ABC1111	
Gender		Date Added	
Unknown		03 Jun 2021	
Country		File Criteria	
Russia		Person	
Date		Risk	
		High Status	
		Inactive	
		macuve	
Statistics			
Red flagged matches (not acceptable):	1	AVM Flagged Matches:	2
Yellow flagged matches (acceptable):	0	AVM Discounted Matches:	1
Discounted Matches:	0	AVM Unchecked Matches:	33
Unchecked Matches:	0	AVM Total count:	36

In the following pages of the report, it will include flagged matches, starting with the red flagged matches (not acceptable), followed by the orange (Acceptable) and grey matches (Discounted) and their corresponding details.

Red flagged matches (not acceptable)

VLADIMIR VLADI	MIROVICH PUTIN Sanctioned PEP Other		
Match status:	Flagged (unacceptable)		
Match category:	Relevant Not Acceptable - Sanctioned		
Jser:	Andy King		
Jser notes:	Multiple current sanctions and linked to sev	eral sanctioned entities. H	igh risk PEP and several adverse media hits.
Full Name	VLADIMIR VLADIMIROVICH PUTIN		
Role	Primary Occupation		
	President of Russia		
	Heads & Deputies State/National Government (07 N	lay 2018- Ongoing)	
	Other Roles Member, Security Council		
	Senior Civil Servants-National Government (01 Oct	1998- Ondoind)	
	Other Roles	rood ongoing)	
	Chairman, Security Council		
	Senior Civil Servants-National Government (07 May	2012- Ongoing)	
liases	Primary Name: ВЛАДИМИР	Related Entities	Relationship: Associate
	ВЛАДИМИРОВИЧ ПУТИН		VLADIMIR VLADIMIROVICH PUTIN
	Also Known As: VLADIMIR PUTIN		Public Figure
	Also Known As: ВЛАДИМИР ПУТИН		ALEKSANDR ALEKSANDROVICH SHULGIN
	Also Known As: ウラジーミル・プーチン		Current: YES
	Also Known As: VLADIMIR VLADIMIROVIC	н	Relationship: Associate
	POUTINE Also Known As: VOLODYMYR		VLADIMIR VLADIMIROVICH PUTIN Public Figure
	VOLODYMYROVYCH PUTIN		ALEKSANDR SEMENOVICH BROD
	Also Known As: ВОЛОДИМИР		Current: YES
Description	Person (SO)	Address	Moscow
Description	Board Member (BRD)	Address	Russia
	Politically Exposed Person (PEP)		Bocharov Ruchey
	Special Interest Person (SIP)		Sochi
	Sanctions Lists		Russia
			Kremlin
			Moscow
			Russia
			Novo-Ogaryevo Moscow Region
			Russia
			Valdai Novgorod Region
			Russia
Sanctions	DFAT (Australia) Consolidated List: 28 Feb	2022 [Ongoing]	
	DFATD (Canada) Special Economic Measu	res (Russia) Regulations:	28 Feb 2022 [Ongoing]
	EC (CFSP) 2022/331 Ukraine List: 25 Feb 2		
	EC 2022/332 Ukraine List: 25 Feb 2022 [0		
	FCDO (UK) Sanctions List - Asset Freeze: 2		
	French Economy Ministry - EU and UN Ass HM Treasury Consolidated List: 25 Feb 202	2	Feb 2022 [Ongoing]
	Japanese Finance Ministry - Russia List: 01		
	MFAT (New Zealand) Autonomous Sanction		1
	Monaco National Asset Freeze List: 26 Feb		
	NSDC (Ukraine) Special Economic and Oth	er Restrictive Measures (S	Sanctions): 09 Jun 2022 [Ongoing]
	OFAC - Specially Designated National List:		
	SECO (Switzerland) Ukraine List: 28 Feb 2	022 [Ongoing]	
Images		-	
	Ta		
	if the		
	Can All		

The next section (Unchecked potential matches) contains information for outstanding potential matches.

VLADIMIR VLADIN	IROVICH PUTIN Sanctioned PEP Other		
Match:	Match:100.0%		
Meta bump:	25 (Country match)		
Full Name	VLADIMIR VLADIMIROVICH PUTIN		
Role	Primary Occupation		
	President of Russia		
	Heads & Deputies State/National Governmen	it (07 May 2018- Ongoing)	
	Other Roles		
	Member, Security Council		
	Senior Civil Servants-National Government (01 Oct 1998- Ongoing)	
Citizenship &	Citizenship: Russia	Notable Dates	Date of Birth: 07 Oct 1952
Residency	Jurisdiction: Russia		Date of Birth: 1952
	Resident of: Russia		
Gender	Male		
Place of Birth	Leningrad,Russia	Identity Documents	DFAT Reference Number: 6678
	Léningrad,Russia		EU Consolidated Electronic List ID: 135909
	Saint Petersburg,Russia		EU Sanctions Programme Indicator: UKR
	Saint-Pétersbourg,Russia		HM Treasury Group ID: 14196
	Saint-Petersburg,Russia		HM Treasury Regime: Russia
	St Petersburg,Russia		OFAC Program ID: RUSSIA-E014024
	St. Petersburg, Russia		OFAC Unique ID: 35096 SECO SSID: 49812
			UK Sanctions List Regime: The Russia
			(Sanctions) (EU Exit) Regulations 2019
			UK Sanctions List Unique ID: RUS0251

Unchecked potential matches

The closing section (Batch run details) shows the screening history of the customer.

Dashboards

In addition to detailed reports, Screening provides interactive visual dashboards that offer essential summary information immediately. The dashboards provide a clear insight into key performance metrics, allowing you to measure how effectively your team is handling Screening matches. These dashboards screens are **only** available to Admin users.

There are two dashboards available:

Matches Dashboard

This dashboard allows you to analyse the volume and type of matches over a specified period. It helps identify trends and provides essential reporting to key stakeholders. You can navigate to the Matches Dashboard menu option from within the Settings menu.

/erse	e Media ▼ Settings ▼
	Profile
	User Management
	Group Management Fi
	Web Branding
	Email Template
	1
T	Data Management
	Data Management Matches Dashboard
•	
▶	Matches Dashboard
•	Matches Dashboard

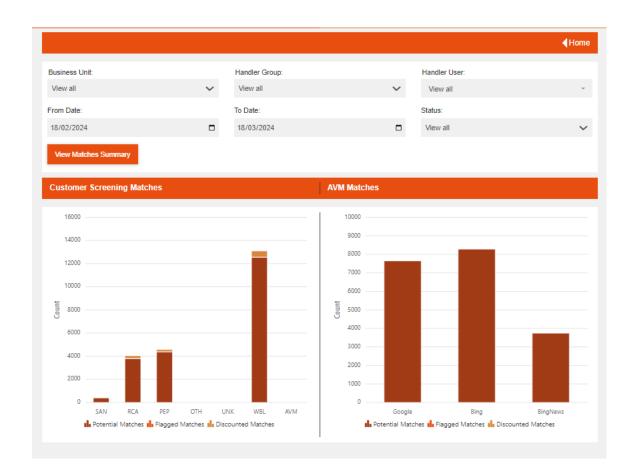
Business Unit:		Handler Group:		Handler User:	
View all	*	View all	*	View All	*
From Date:		To Date:		Status:	
26/01/2024		26/02/2024	Ē	View all	~

Parameters/Test Conditions:

- Business Unit (select a specific Business Unit, or 'view all')

- Handler Group (select a specific Handler Group, or 'view all')
- Handler User (select specific Handler Users, or 'view all')
- From/To Date (date range)
- Status (select 'active'/'inactive' records, or 'view all'

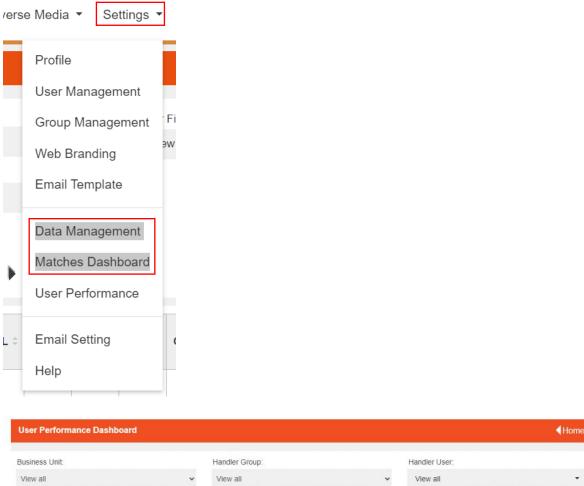
Once your required parameters are set, click on the View Matches Summary button to view the associated dashboard data.



User Performance Dashboard

This dashboard enables you to enter SLA parameters and analyse user performance against those SLAs over time. It helps identify trends and potential knowledge gaps or training issues. You can navigate to the Matches Dashboard menu option from within the Settings menu.

KYC360



View all	~	View all		~	View all	•
From Date:*	To Date:*			Sanctions SLA.*	PEP SLA*	AVM SLA:*
26/01/2024	26/02/2024		Ŧ			

Parameters/Test Conditions:

- Business Unit (select a specific Business Unit, or 'view all')
- Handler Group (select a specific Handler Group, or 'view all')
- Handler User (select specific Handler Users, or 'view all')
- From/To Date (date range)
- Sanctions SLA (enter your target number of days for having Sanctions matches worked; this is mandatory and must be greater than or equal to 1 day)
- PEP SLA (enter your target number of days for having the following matches worked:
 - PEP, RCA, WBL, OTH, UNK and the structured AVM i.e. everything asides from SAN and Live AVM
 - This is mandatory and must be greater than or equal to 1 day)
- AVM SLA (enter your target number of days for having Adverse Media matches worked; this is mandatory and must be greater than or equal to 1 day)

Once your required parameters are set, click on the View Matches Summary button to view the associated dashboard data.

ser Performance Dash	board											∢ Hor
usiness Unit:			Handler Gr	roup:			Handle	r User:				
/iew all		\sim	View all			~	View	all				
om Date:*		To Date:*			Sanctions S	LA:* 🛈	PEP S	LA:* 🕕		AVM	SLA:* 📵	
8/02/2024		18/03/2024			5		5			5		
View Dashboard												
LA Performance - Sanc	tions											
100												
00												
				_								
o 🗖 –												
	North New York	North Contraction		anan a	of all of a	Notes I	1001124	Particular Particular	Penner	Person a	Mentary.	18.03/24
				🖬 Met SLA 🆠	Outside SLA							
LA Performance - PEPs	5											
	5											
15000	5			Outside SLA	1							
LA Performance - PEP	5			Outside SLA 01/03/24 : 4405]							
15000	5											
15000			•	01/03/24 : 4405	1		22	22	204	104 -		Particular Section 201

15000					
10000					
5000					
0					2 2
			and and a second se	Nau, Nau, Nau,	I.L.W.
		🔥 Met SLA 💼 Outside SLA			
Jser Performance					
otal Records: 37 Page: 1 of 4 << Fi	irst < Previous	Next > Last >> 1 Go to Page			
	Total				Average
User Name	Match Count	Performance Graph (most recent 30 days)	Ratio	Categories	Time (days)
	Count				(uays)
				_	
Adi	60	llu			2
				SAN PEP AVM	
				_	
AdiKul 1	591	llu			3
				SAN PEP AVM	
				1	4
Automation director	32	II.I			

Import File

Once the setup is complete you will be able to import customers into the system for screening. The below file specification defines how the import file is structured.

Import files must conform to the following:

- File Extensions
 - o TXT
 - o CSV
 - \circ Excel
- File Delimiters
 - o **Comma**
 - o Colon
 - \circ Semicolon
 - o Tab
 - Vertical bar (pipe)
- Text Qualifier
 - \circ $\;$ Is not mandatory but if used must be quotation marks.
 - Encoding
 - o ASCII
 - UTF8 if using Unicode characters.

The import allows the following 15 fields per record.

Column	Mandatory	Description
1	Yes	Client Identifier
2	Yes	Interface Reference
3	Yes	Last Name
4		First Name
5		Middle Names
6	Yes	Criteria Identifier
7	Yes	Gender Identifier
8		Date
9		Country 1 Identifier
10		Country 2 Identifier
11		Country 3 Identifier
12	Yes	Handled by User Group Identifier
13	Yes	Handled by User Identifier
14	Yes	Risk Identifier
15	Yes	Status Identifier
16		Custom Text 1
17		Custom Text 2
18		AVM Criteria
19		Business Unit ID

Client ID

Your organisation is the Screening KYC360 client.

You will be given the Client ID assigned to your organisation during onboarding.

Interface Reference

This field should contain your unique reference for the customer and is mandatory. This could be an account number or client number from your source system. This reference is used to determine whether a customer already exists in the system by the import process.

Last Name

This field contains the Last Name of a Person or the Full Name of an Entity and is mandatory.

First Name

This field contains the First Name of a Person and should be blank for an Entity and is optional.

Middle Name

This field contains the Middle Names of a Person and should be blank for an Entity and is optional.

Criteria

This field contains the identifier for the File Criteria that will be used to screen this customer.

You will be provided with a list of your Criteria and their identifiers during onboarding.

Gender

This field contains the KYC360 Gender Identifier and is mandatory.

Below is a list of available Gender Identifiers:

ID Name

- 0 Any
- 1 Male
- 2 Female
- 8 Not
- ^o Applicable
- 9 Unknown

Date

This field contains the Date of Birth for a Person or the Date of Registration for an Entity and is optional. You must enter a complete date or a blank value if not held or required. Dates should be provided in a DD/MM/YYYY format.

KYC360 also holds partial Date information. If you only have the Year of 1972 then the date should be provided as 01/01/1972. If you have a Month and Year of May 1972 then the date should be provided as 01/05/1972.

Date information is used with the Criteria option of "Date Filtering" and allows for records using a criteria with this value set to exclude potential matches if they fall outside of a radius of the value set. If the value is set to 10 years this would discount potentials that are outside of a 20-year radius of the supplied date (being 10 years either side).

Country 1

This field contains the KYC360 Country Code Identifier or the ISO 2-digit code and is optional. When using the xIs template, you do not need to use country codes and can select the country names in the import template dropdown. A full list of countries with their identifiers and 2-digit ISO codes used in KYC360 can be found in the <u>Country Codes</u> section. You can specify up to three countries per Client Entity to reflect associated countries of connection.

Country information is used with the Criteria option of "Country Filtering" and allows for records using a criteria with this value set to exclude potential matches if they do not have a Country association matching any of the three values.

Country 2

See detail for Country 1.

Country 3

See detail for Country 1.

Handled by User Group

This field contains the User Group Identifier of the <u>user group</u> the customer will be assigned to and is Mandatory.

You will be provided with a list of your User Groups and their identifiers during onboarding.

Handled by User

This field contains the KYC360 User Identifier (within the Handled by User Group) that the customer is assigned to and is optional. Set this value to 0 or leave blank to allow any user within the Handled by User Group to take ownership of the potential matches.

If you specify a specific User Identifier, other users that do not have Supervisor status within the Handled by User Group will not be able to take ownership of the potentials. Supervisor status users can re-assign assigned potentials to other users within the Group if necessary.

You will be provided with a list of your Users and their identifiers during onboarding.

Risk

This field contains the KYC360 Risk Identifier and is mandatory.

Below is a list of available Risk Identifiers:

You will be provided with a list of your Risk identifiers during onboarding.

Status

This field contains the KYC360 Status Identifier and is mandatory. It is recommended that this field is always set to Active as Disabled customer records are ignored by the screening process.

Below is a list of the available Status Identifiers:

- 0 Inactive
- 1 Active

Custom Text 1 and Custom Text 2

This field is a free text option for when internal notes are required. This is **not** used for any of the screening searches.

Adverse Media ID

This field is only mandatory for when you have the Live Adverse Media module addon. If you do not have the Live Adverse Media module this can be left as blank, or as a value of "0".

Business Unit ID

This field allows you to import entities into multiple Business Units in one single import file.

This field is only mandatory for when you have the additional Business Unit module. Otherwise, this can be left as blank (if this is left blank, then the entities will be imported to the default Business Unit – number "10").

Data Change Notifications

The image below illustrates the format of a Dow Jones 'change notification' email you will receive from noreply@kyc360.com if you set the 'Notify' flag to 'yes' when actioning a potential match. These emails serve as alerts to inform you that the Dow Jones record has changed in some way, allowing you to then assess the impact of the change on your customer data and recorded outcome.

Included within the email are details of your Customer (Client Name & Interface Ref) and the Data Source Record (Entity ID, Entity Name), with indicators to inform you if the record has been deleted or changed, and whether the Data Source have changed any key data items, such as the classification, name, date, address or country.

KYC360 - A change in your Screening Matches! N noreply@riskscreen.com To charlottecroxford+stgloodtest@riskscreen.com
(i) If there are problems with how this message is displayed, dick here to view k in a web browser. Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.
Known External (noreply@riskscreen.com)

Your KYC360 overnight screen has detected that one or more of your customer data matches that you have flagged/discounted has changed and may require your attention.

Client Name	Interface Ref	Entity ID	Entity Name	Match Status	Deleted or Changed?	Where is the Change?
MICHEL	MICHEL	866854	ANDREW JONATHAN MITCHELL	Discounted	Changed	Country
MICHEL	MICHEL	1390495	MICHAEL JOHN MITCHELL	Discounted	Changed	Details
MICHEL	MICHEL	1390496	PATRICIA ANNE MITCHELL	Discounted	Changed	Details
MICHEL	MICHEL	1390497	HELEN SARAH ANNE MITCHELL	Discounted	Changed	Details
MICHEL	MICHEL	12005967	WALTER MITCHELL SR.	Discounted	Changed	Details
MICHEL	MICHEL	12005968	LEVI MITCHELL	Discounted	Changed	Details
MICHEL	MICHEL	12005969	WILLIAM MITCHELL	Discounted	Changed	Details
PUTIN	SAFDAFAF	98141	VLADIMIR VLADIMIROVICH PUTIN	Discounted	Changed	Details
JOHNSON	TEST1-JOHNSON	1074017	RUTH ELIZABETH SPRINKLING	Discounted	Changed	Details
JOHNSON	TEST1-JOHNSON	3186274	PAULINE NORTHROP	Discounted	Changed	Details
JOHNSON	TEST1-JOHNSON	3186275	DOROTHY WAGNER	Discounted	Changed	Details
JOHNSON	TEST1-JOHNSON	3186278	BILL JOHNSON	Discounted	Changed	Details
JOHNSON	TEST1-JOHNSON	3186279	ESTHER KIRKLAND	Discounted	Changed	Details
JOHNSON	TEST1-JOHNSON	11991304	ÞORGEIR JÓNSSON	Discounted	Changed	Details
JOHNSON	TEST1-JOHNSON	11991338	JÓN KARL JÓNSSON	Discounted	Changed	Details
VLADIMIR V PUTIN	B2A36066-756E-40F9-AF46- 6D830D8097CA	98141	VLADIMIR VLADIMIROVICH PUTIN	Flagged	Changed	Details
MICHEL	MICHEL	12005971	JACK MITCHELL	Flagged	Changed	Details
MICHEL	MICHEL	12005965	WALTER MITCHELL JR.	Flagged	Changed	Details
KHAN	KHNA3	11210134	AMJAD INAM KHAN	Flagged	Changed	Address
KHAN	KHNA3	11600418	ABDUL ASHIK KHAN	Flagged	Changed	Country
VLADIMIR PUTIN	101	98141	VLADIMIR VLADIMIROVICH PUTIN	Flagged	Changed	Details

You are a Supervisor of Admin Group in STGLOADTEST which is why you have received this notification. This change was recorded on 17/09/2024 05:00:10 and was processed with ID 4658. This email was automatically generated and sent to email address charlottecroxford+stgloadtest@riskscreen.com for user CHARLOTTE by the KYC360 system.

The Client Name has a hyperlink on it which take you directly to the changed record for you to review and make any changes to its dispositioning or not.

- Match Status Gives you the original Flag outcome of the match
- Deleted or Changed confirms whether the record has now been deleted or if there is a change on it.
- Where is the Change? Confirms the main area of the change and will list one of the following options: Classification (SAN, PEP etc), Name, DOB/DOI, Address, Country or Details (anything else aside from the former options).

Tracking changes to the Lists via 'snapshots'.

Additionally, to further assist you in understanding the specific changes made to Dow Jones records that were involved in potential matches with your customer record, the system automatically takes a 'snapshot' of the original match record and the updated Dow Jones profile, compares them, and stores the 'differences' data for you.



When you view a customer record, click into any of the Flagged or Discounted Matches (by clicking on a 'Match Name' link), the match details are displayed, and two 'snapshot' buttons are available, highlighted below. Explore the other buttons on the screen by clicking on the icons below:

Match not relev	ant	F Relevant match - high risk	Relevant n	natch - very high risk
VLADIMIR SPIRID		nactive DJ-170352	Potential Matches	6 🖲 🦲
Overview Alia	ises (4) Details R	elated (4) Comments		
Deceased		Unknown		
Туре:	Person			
Citizenship:	Russia	Date	of Birth: 23 Feb 1911	
Jurisdiction:	Russia	Dece	eased Date: 02 Aug 1999	
	Russia	RCA	Status: Inactive	
Resident of:				

Download Flagged Entity Report

This option allows you to download a report which provides full details of the most up-to-date version of the Dow Jones record.

If you are viewing a discounted match, the button label will change to 'Download Discounted Entity Report.'

Delete Flagged Match

This option allows you to permanently remove the flagged match from the system.

If you are viewing a discounted match, the button label will change to 'Delete Discounted Match.'

Download Snapshot

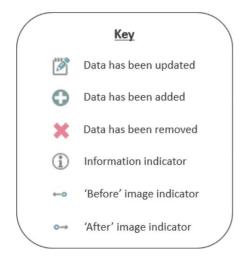
This option allows you to download a report which provides full details of the version of the Dow Jones record as it was when the potential match was created with your customer record.

Download Snapshot Difference

This option allows you to download a report which details the differences between the profile of the Dow Jones record when the potential match was created and the current profile of the Dow Jones record (i.e. the record that has been updated by Dow Jones, which has triggered a 'notify change' event).

Snapshot Difference Report Icons

Within the Snapshot Difference report, icons are used to indicate the type of difference, as illustrated opposite.



Should you wish to view the full details of the current version of the Dow Jones record, use the 'Download Flagged(/Discounted) Entity Report' option. This report contains the same level of information as the 'Snapshot' report, but for the most up-to-date version of the record.

Appendix

Country Codes

ID	Name	ISO Code
0	Unknown	100 0000
1	Antarctica	AQ
2	Abkhazia	GZ
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
46	Cocos (Keeling) Islands	CC

ID	Name	ISO Code
47	Colombia	СО
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
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

ID	Name	ISO Code
98	India	IN
99	Indonesia	ID
100	International	IZ
101	Iran	IR
102	Iraq	IQ
103	Ireland	IE
104	Isle of Man	İM
105	Israel	IL
106	Italy	IT
107	Jamaica	JM
108	Japan	JP
109	Jersey	JE
110	Jordan	JO
111	Cambodia	KH
112	Kazakhstan	KZ
112	Kenya	KE
114	Kiribati	KI
115	Kyrgyzstan	KG
116	Kosovo	XK
117	Kuwait	KW
118	Laos	LA
119	Laos	
120	Lebanon	LV
120	Lesotho	LB
121	Liberia	LS LR
122		
123	Libya Liechtenstein	
124		LI LT
125	Lithuania	LU
120	Luxembourg	MO
	Macau Maraball Jalanda	
128	Marshall Islands	MH
129	Madagascar	MG
130	Malawi	MW
131	Malaysia	MY
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

ID	Name	ISO Code
149	Curaçao	CW
150	Nauru	NR
151	Nepal	NP
152	Netherlands	NL
152	New Caledonia	NC
153	Nicaragua	NI
155	Nigeria	NG
156	Niger	NG
157	Niue	NU
158	North Korea	KP
159	Northern Mariana Islands	MP
160	None	NX
161	Norfolk Island	NF
162		NO
162	Norway Not Known	NO
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
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

ID	Name	ISO Code
200	Somalia	SO
201	South Ossetia	ZE
202	South Sudan	SS
202	Spain	ES
203	Western Sahara	EH
204	Sri Lanka	LK
205	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	Eswatini	SZ
214	Sweden	SE
215	Switzerland	СН
216	Syria	SY
217	Tajikistan	TJ
218	Djibouti	DJ
219	Taiwan	TW
220	Tanzania	TZ
221	Turks and Caicos Islands	TC
222	Thailand	TH
223	Timor Leste	TL
224	Тодо	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
235	Ukraine	UA
230		BF
	Burkina Faso	
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

ID	Name	ISO Code
251	Zambia	ZM
252	Zimbabwe	ZW