# **KYC**360

# **Onsite Batch User Manual**

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# Introduction

RiskScreen Onsite Batch allows you to monitor the KYC data of your clients on a continuous basis. This manual will detail what RiskScreen is capable of and how to take advantage of these capabilities.

Fundamentally RiskScreen stores a list of your clients (<u>Client Entities</u>) and periodically screens them against a list of Dow Jones Data or Worldcheck Entities (<u>Entities</u>) that may be:

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

This screening process will identify potential matches between your Client Entities and the list of Dow Jones or World Check 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.

At implementation, you will be able to decide whether you use Dow Jones data or Worldcheck data against which to screen your results. At the bottom of the home page, there will either be a D (Dow Jones) or a W (Worldcheck), to inform you which data set you are using:

13:44	30/11/2020	Caps: O	Num: O	Ready	Default\RiskScreen15	2 ADMIN	D	ns: ()	Sert: O	Poll in - 14	<u>.</u>	<u>.</u>
13:45	30/11/2020	Caps: O	Num: •	Ready	15w2\RiskScreen15w2	🚨 ADMIN	w	0 21	Sert: O	Poll in - 30	<u> </u>	<u>i</u>



#### **Application Button**

The application button allows you to exit RiskScreen or access the Options screen.



#### **Quick Access Toolbar**

The quick access toolbar has two options available

- Clicking this picture will open the options screen.
- Clicking this picture will take a screenshot of the RiskScreen window and copies it to the clipboard.

#### **Ribbon Tabs**

The ribbon tabs divide the ribbon menu into logical groups to make finding the screen you need easier. More information on which screens are available in each of the tabs can be found <u>here</u>.



#### **Ribbon Menu**

The ribbon menu displays all the screens available for the selected Tab, click on any of the buttons to open the appropriate screen in the working area.

#### Working Area

The working area is where the screen you have selected will be displayed. It supports tabs so if you open multiple screens there will be a row of tabs you can select to quickly go to a different screen.

#### Separation of Function

RiskScreen separates the following functions for all data in the application:

- Enquiry (View)
- Create (Add)
- Maintenance (Update)
- Delete

This means that there is a separate tab on the screen for each of the actions listed above for any data stored in the application. You will not be able to Update a client entity or user from an Enquiry screen or delete a user from the Maintenance screen.



In most cases you will find tabs like the ones in the picture above at the bottom left of the working area to select the type of action you want to perform on the data.

#### Exceptions

1. Client Entities do not show the tabs but have separate buttons on the ribbon to access each of the four functions.



2. Dow Jones/Worldcheck Data Entities can't be Added, Updated or Deleted manually and consequently only have an Enquiry screen.

#### Action Buttons

The following buttons will appear in the top left of the working area where they are relevant:

- Tick Mark confirms that you want to submit the action with the information on the screen.
- Save saves changes to values on the screen.
- Cancel rejects all changes on the screen and closes the screen, in some cases it will return you to the previous screen.
- 🖎 Run start a manual run.
- Assign To/Take Ownership assign a match potential to another user or yourself.
- B Refresh refresh the information on the screen.
- More Information shows a popup with useful information.

# Status Bar

The status bar at the bottom of the screen shows some useful information.

- The current time
- The date
- Whether you have CapsLock enabled
- Whether you have NumLock enabled
- The name of the RiskScreen instance and Database you are connected to (InstanceName\Database)
- The user you are logged in as
- The Datasource being used.
- Whether you have Insert enabled
- Whether you have ScrollLock enabled
- A timer showing when the next database connection test will be executed.
- Zoom Slider

# Working Area Zoom

The zoom slider allows you to zoom in or out of screens displayed in the working area. The zoom will be applied to all screens in the working area not just the currently selected screen.

# **Report Toolbar**

All RiskScreen reports will have the following toolbar to interact with the report.



From left to right the buttons allow you to do the following:

- 1. Print the report to any configured printer 🗖
- 2. Export the report to one of the following formats 🗖
  - a. PDF
  - b. Word
  - c. Word (open file format)
  - d. Excel
  - e. Excel (open file format)
  - f. TIFF
  - g. CSV
    - i. Some reports support exporting the results to a CSV file that you can import into Excel
- 3. Show the first page of the report
- 4. Show the previous page of the report
- 5. Shows the page you are on and how many pages the report has 1/1
- 6. Show the next page of the report

- 7. Show the last page of the report
- 8. Select the page layout to display the report in the viewer Page Width
  - a. Page Width
  - b. Full Page
  - c. % Zoom you want to apply in the report viewer
- 9. Show the page layout for printing 🖻
- 10. Set page settings (orientation, paper size, etc.)
- 11. Refresh the report ව
- 12. Show the parameter bar if the report supports parameters 🕟
  - a. The new parameter will not take effect until you have clicked the "Apply" button
- 13. Close the report 🗵

# **Navigation Convention**

Throughout this manual you will be given directions to find a screen relating to functions performed within RiskScreen. The following convention will be used to point you to the correct screen:

Ribbon Tab Name > Ribbon Section > Ribbon Button > Screen Tab

Example:

To search the Dow Jones/Worldcheck data for a client name you need to be on the Name Data Enquiry screen. You can find the screen here:

· * • ·	Risl	kScreen	_ = x
	ATIC SYSTEM		
Search Search Search	Add Update Delete iv Votential Monitor Match Advers	Potential Search Connected	
S Name Data Search	ny match notcia		
Search Criteria			
Last Name		Jaro Bias	92%
First Name		Jaro Bias	85% 🗸 Search
Middle Name		Jaro Bias	60%
Entity Type 🛛 All 🔽 Revers	e Search No 🔽 Gender All 🔽	Constrained Yes 🗸 Results in Secs	
Profile Type			
Include J PEP J RC	A JWBL JSAN JAVM	✓ OTH ✓ UNK	
Search Results			
Last Name	LN JCB First Name FI	N JCB Middle Name	MN JCB Entity Type
0 Results Found			
11:13 25/10/2022 Caps: O Nu	m: • Ready 🗮 RiskScreen15DJ\RiskS <u>creen1! 💂 A</u>	DMIN D Ins: O Scri: O Poll ir	- 6 <b>'</b> '

• Home > Name Data > Search

# **Dow Jones/Worldcheck Entities**

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

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

The Internal Watchlist allows you to add additional records to the Dow Jones/Worldcheck entity list.

#### Ad Hoc Search

An ad hoc search is done through the <u>Name Data Search</u> screen and does not allow you to exclude any results based on the Whitelist, Date Meta or Country Meta Data.

Parameter	Information
Last Name	Enter the last name you would like to use for the search, if it is not a
	natural person enter the full name here.
First Name	Enter the first name of the person you are searching for.
Middle Name	Enter the middle name of the person you are searching for.
Jaro Bias	Each of the name fields has their own Jaro Bias you can set. The Jaro
	Bias (Jaro Containment Bias) represents a measure of "closeness"
	between two sets of text, the higher the value the closer the two
	strings are too identical. The value ranges from 0 (very different) to
	100% (likely identical). Setting this higher will reduce the number of
	results displayed but you run the risk of excluding potentially
	correct results.
Entity Type	Select the type of entity you are looking for.
	• All
	Person
	Entity
Include Reverse Search	Select whether you want to include reverse search results.
	• Yes
Candar	• NO
Gender	Select the Gender of the entity you are looking for.
	• All
Constrained	Female     Select whether to was Constrained on Unconstrained course. Note
Constrained	Select whether to use Constrained or Unconstrained search. Note
	norformance and is intended for use in smaller high risk data
	searches and will increase the volume found
Politically Exposed Person	Select whether you would like to search for PEP's
Politically Exposed Person	performance and is intended for use in smaller high risk data searches and will increase the volume found. Select whether you would like to search for PEP's

Parameter	Information
Relative and Close Assoc	Select whether you would like to search for Relatives or Close Associates.
Watch List Special Interest	Select whether you would like to search for entities on Special Interest Watch Lists.
Sanctioned	Select whether you would like to search for entities that are Sanctioned.
Adverse Media	Select whether you would like to search for entities that have Adverse Media articles.
Unknown/Other	<ul> <li>Select whether you would like to search for entities that are not in any of the other sections:</li> <li>Politically Exposed Person</li> <li>Relative and Close Assoc</li> <li>Watch List Special Interest</li> <li>Sanctioned</li> <li>Adverse Media</li> </ul>

#### Search (Enquiry)

The search screen allows you to search the Dow Jones/Worldcheck data for a person or entity, refer to the <u>Understanding RiskScreen Search</u> for more information.

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Ently Type Al 💌 Revenue Search No 💌 Gende	er 🛛 🖌 🖉 Results in Secs	ເກເຊ		
/ holia 1ge				
Indule # HP # RCA # WSL # SAN	ANN A CTH A UNK			
Search Tenuts				
Last Name UN X3 Fest Name	IXX3 Middle Name	MN.ICE EntryType	Gender Title Suffix	ful Name
JOHN 1007% BIONLE	0.05	6.00% Person	Male	BRIALE IOHN
JOHN 100.00% INCTOR BIRLINEZ	6.0%	0.00% Person	Male	INSTOLEMENT (OHN
JOHN 100.00% PKCTOR	630% BRUNLE	0.00% Person	Male	INSTOLEMENTE KOHN
JOHN 100,00% MAZA/MANDMEY	6305	0.00% Person	Male	RAZA/IMANOMEY JOHN
JOHN 10E076 JACOB	6305	0.00% Person	Male	JACOB JOHN
JOIN 100.076 JAK	6.0%	0.00% Person	Male	ALC ON
JOHN 106.00% CURTS	6305	0.00% Person	Male	CURTS KOHN
JOHN 105076 JORDAN	DOTS HANK	6.00% Person	Male	JORDAN HARK JOHN
JOHN 10520% OKAYOR	630% OHE	6.00% Person	Male	OKA/OR CHIKE JOHN
JOHN 10EX05 NZAMJOON	0.00% (ALL	6.00% Person	Male	NZAMUCON JALL KHN
JOHN 10E00% NZAM	630% UCON JALL	6.00% Person	Male	NZAM UCON JALE JOHN
IONI 105205 WAINE	630% \$7.	0.00% Person	Male	WRINE ST. JOIN

*Navigation: Home > Name Data > Search* 

Once you have found the entity you are looking for you can open it by:

- Double clicking on the record in the Search Results or
- Selecting the record in the Search Results and clicking the open record button (IIII) in the top left of the working area

Once opened you will be shown the <u>Details</u> tab of the Entity.



# **Entity Data**

To view entity information, you can simply click on the tab with the information you need (tabs that contain data will have a blue dot next to their name).

You can return to your search by clicking the Return to Search button ( $\square$ ) in the top left of the working area.

#### Details

The Details tab contains general information about the entity. All the name fields on the details tab are based on the primary name for the record.

🖏 Name Data S	R, Name Dufa Saanh 🗙																
🗱 Details 🌻	<b>4</b> 4 A	āas 😐	💡 Country 😐 📰 D	ate 😐 🖣	Relation	ship 🛛	🖬 Identity 📘	General 😑 🕫 Lini	is 😐 🔝	Note 😑	Reports						
Last Name		PUTIN														Entity ID	12611176
First Name		VLADIME	ł													Entity Type	Person
Middle Name		GENNAD	EVICH														07-0ct-2021
Full Name		VLADIMI	R GENNADEVICH PUTIN													Gender	Male
Title						Suttix					Deceased		No			Status	Active
Data Classificatio	ion	IS PEP	No	Is RCA	No		h WBL	No	Is SAN	Yes		6 AVM	No	IL OTH	No	is UNK	No
Description							Description 2						Description 3				
Special Interest							Sanctions List						Descriptions				
																	I
																	I
																	I
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																	I

Field	Information
Last Name	If Entity Type is not Person, the entire name for the entity will appear in the Last Name field.
First Name	First name if the entity is a person.
Middle Name	Middle names if the entity is a person.
Full Name	Full first, middle, and last names of the entity.
Title	Title of the entity if it is a person.
Suffix	Suffix of the entity if it exists.
	E.g. LTD, Limited, Co., etc.
Deceased	Yes or No
Entity ID	Dow Jones/Worldcheck Identifier
Entity Type	Person or Entity
Action Date	Date that the entities record was last updated.
Gender	Male     Famala
	• Female
	Unknown     Net A set lise has
	Not Applicable
Status	Active or Inactive
Is PEP	Yes or No
Is RCA	Yes or No
Is WBL	Yes or No

17

Field	Information
Is SAN	Yes or No
Is AVM	Yes or No
Is UNK	Yes or No
Description1	Descriptions show the Dow Jones/Worldcheck classification of an entity, RiskScreen uses these classifications to determine in which of the lists the entity is part of (PEP, RCA, WBL, SAN, AVM, OTH, UNK).
Description2	Descriptions show the Dow Jones/Worldcheck classification of an entity, RiskScreen uses these classifications to determine in which of the lists the entity is part of (PEP, RCA, WBL, SAN, AVM, OTH, UNK).
Description3	Descriptions show the Dow Jones/Worldcheck classification of an entity, RiskScreen uses these classifications to determine in which of the lists the entity is part of (PEP, RCA, WBL, SAN, AVM, OTH, UNK).

#### Alias

The Alias tab contains all known aliases for the entity. Doing a search on any of these aliases will point you to the same entity.



Field	Information
Name Type	Type of alias record, refer to the <u>Alias Types</u> in the appendix for a full list of possible types.
Serial	Number of the alias relating to the entity.
Last Name	If Entity Type is not Person, the entire name for the entity will appear in the Last Name field.
First Name	First name if the entity is a person.
Middle Name	Middle names if the entity is a person.
Full Name	Full first, middle, and last names of the entity.
Title	Title if the entity is a person.
Suffix	Suffix of the entity if it exists.

E.g. LTD, Limited, Co., etc.

#### Country

The Country tab contains all countries related to the entity as well as any known addresses and a birthplace.

🛐 Name Data Se	earch 🗙														
🗱 Details 😑	💒 Alias 😑	🕈 Country 🔍	📰 Date 😐	Relationship	Identity	👗 General 🥥	Ø₽ Links 😑	🔝 Note 🥥	Reports						
Country															
Country Type						Country								Serial	
Citizenship						Russia								1	
Resident of						Not Kno									
Addresses	_	_	_	_	_	_	_	_				_	_		=
Line					City				Country Name				URL		
Birth Place	_		_	_	_		_	_				_	_		
Birth Place															
Vereshchagino.															
	_		_	_	_							_	_		
19:21 22/12/2	021 Caps: C	Num: 🔍 R	eady						Nikit/RiskScreen	🚨 ADMIN	D Inc O				

Field	Information
Country	Any countries the entity has a relationship with along with the type of relationship:
	Citizenship
	<ul><li>Resident of</li><li>Jurisdiction</li></ul>
	<ul><li>Country of Affiliation</li><li>Country of Registration</li></ul>
	Enhanced Risk Country     Country of Reported Allogation
	<ul> <li>Sanctioned Region</li> </ul>
	Formerly Sanctioned Region
Addresses	All known addresses for the entity.
Birth Place	Birth place of the entity if it is a Person.

#### Date

The Date tab contains all relevant dates for the entity.

10	Name Data Se	arch 🗙												
F	<.													
E	Details 😑	🕹 Alias 😑	💡 Country 🧧	Date 1	🚺 📮 Relationship	Identity	📕 General 🧧	ØP Links 😑	🗈 Note 😑	Reports				
I P	Date Turne			Secial	Dav	Month		Year	Note					٦
10	Date of Birth				66									
IL.											 			
10	2 2000	I com O								Milest Bird Courses	 Dimo		1	

Field	Information
Date Type	<ul> <li>Date of Birth</li> <li>Deceased Date</li> <li>Date of Registration</li> <li>Cessation Date</li> <li>Inactive as of (PEP)</li> <li>Inactive as of (RCA related to PEP)</li> </ul>
Dates	RiskScreen does date comparisons on each part of a date (day, month, year) individually as some dates may not have values for all of the parts of a date.
Day	The day section of the date record.
Month	The month section of the date record.
Year	The year section of the date record.
Note	Any notes relevant to the date record.

### Relationship

The Relationship tab shows all direct and indirect relationships for the entity.

🋱 Name Data Search 🗙									
🗱 Details 😐 💒 Alias 🔍 💡	Country 😐 📰 Date 🔍	🖗 Relationship 🌒	🚥 Identity 📕 Gener	al dP Links 😑	🗋 Note 😑	Reports			
Relationship	Associated Entity						Entity ID	Current	Relationship Type
Associated Special Interest Person									Public Figure
Associated Special Interest Person	VINCENTE BENITEZ						1175950		Public Figure
/ Indirect Relationship									
Relationship	Entity						Entity ID		Relationship Type
Associated Special Interest Person	ADRIANA VENTURA						1175954	Yes	Public Figure
Associated Special Interest Person	VINCENTE BENITEZ						1175950		Public Figure
					_				1 4

Indirect relationships are the opposite side of a direct relationship, for example: Asma Al Assad has the relationship of "Mother" to Zein Al Assad, the indirect side of this relationship is Zein Al Assad has the relationship of Daughter to Asma Al Assad.

Field	Information
Relationship	Type of relationship with the other entity.
	Refer to <u>Relationship Types</u> in the Appendix for a full list of possible relationships.
Associated Entity	Full name of the Dow/Worldcheck Entity they have the relationship with.
Entity ID	Dow/Worldcheck Entity ID of the Dow/Worldcheck Entity they have the relationship with.
Current	Yes – Represents a current relationship/association. No – Represents a former relationship/association.
Relationship Type	<ul><li>Refers to the type of the entity the relationship is to.</li><li>Public Figure</li><li>Special Entity</li></ul>

#### Identity

The Identity tab shows all known identifying information for the entity.

🗖 Name Data S	earch 🗙									
Ι.										
🗱 Details 😑	🐴 Alias 😑	💡 Country 🤇	🕨 🔚 Date 🤇	Relationship	Identity	👗 General 🄇	00 Links 🔍	🖻 Note 😑	Reports	
Identity Identity	_	s	erial Value	_			Note			
Vessel	_	_	_		_	_	_	_	_	
Call Sign		Type		Tonnage			Owner	Flag		Serial
10:31 22/12/2	021 Caps: •	Num: •	Ready 🗮 Ni	kit\RiskScreen	🚨 ADMIN	D In	s: O Sert: C	Poll in - 18		

Field	Information
Identity	If the entity is not a vessel its information will be shown in this section.
Identity Type	Type of identity record.
	Refer to <u>Identity Types</u> in the Appendix for a full list of possible identity types.
Value	Data Value
Note	Any applicable notes
Vessel	<i>If the entity is a vessel further information will be shown in this section.</i>
Call sign	The Call Sign of the Vessel
Туре	The Type of Vessel
Tonnage	The Tonnage of the Vessel
GRT	Gross Registered Tonnage of the Vessel
Owner	Owner of the Vessel
Flag	The Flag that the Vessel sails under

#### General

The General tab shows any Roles the Entity is performing as well as Sanctions. You can find a more information on the sanction lists included in the Dow/Worldcheck data <u>here</u>.

🖡 Details 😑 斗 Alias 😑	🕈 Cou	ntry 😐 📰	Date 😑	Relations	hip 😑 💷	Identity	General 🗢	Ø Links 😑	🖻 Note 🤇	Re	ports
Role											_
Role Type	Serial	Title					Occupation				Since Day
Primary Occupation		President of R	issia				Heads & Dep	uties State/Na	tional Governmer	nt	07
Other Roles		Chairman, Seo	urity Counc				Senior Civil S	ervants-Nation	al Government		
Other Roles		Member, Secu	rity Counci				Senior Civil S	ervants-Nation	al Government		
Other Roles		Supreme Com	mander-in-	Chief, Armed F	orces		Senior Memb	ers of the Arm	ed Forces		
Previous Roles		President of R	ussia				Heads & Dep	uties State/Na	tional Governmer	nt	
Previous Roles		President of R	ussia				Heads & Dep	uties State/Na	tional Governmer	nt	
Previous Roles		President of R	ussia				Heads & Dep	uties State/Na	tional Governmer	nt	
Previous Roles	8	Prime Minister	of Russia				Heads & Den	erties State/Na	tional Governmer	nt	08
Sanctions & Watchlists											
List Title			Serial	Since Day	Since Month	Since Year	To Day	To Month	To Year	Status	Category

Field	Information
Role	Any relevant roles being performed by the Entity
Role Type	Type of role.
	Unknown
	Primary Occupation
	Other Roles
	Previous Roles
Title	Title of the Role
Occupation	Refer to Occupations List in the Appendix for a full list of possible
	relationships.
Since Day, Month, Year	The date the Role started or is believed to have started
To Day, Month, Year	The date the Role ended or is believed to have ended
Sanctions	If the entity has sanctions against them information on each
	sanction will be shown in the bottom section of the screen and
	whether this sanction is ongoing or expired as well as whether the
	sanctions list sub category comes under SAN or WBL in the static
	data.
Sanction	The Sanctioning body / list
Since Day, Month, Year	The date the Sanction started
To Day, Month, Year	The date the Sanction ended

#### Links

The Links tab shows any image records relating to the entity and the origin of the information collected for the entity.

Details	Alias	• Country	•	Date	•	Relationshi		Identity	X Ger	veral	al Links	Note	Rec	orts
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http://static.kr	remlin.ru/media/e	vents/presiden	tphotos	/medium/	41d559	0d988983a5ba	da.jpeg	,						
http://static.kr	remlin.ru/media/e	vents/presiden	ts/medii	um/3g9cn	ıvQyymi	MwgtfjOnMy1	v4BK6C	6DQ8c.png						
http://www.ob	bltv.ru/upload/res	ze_cache/ibloc	k/c3c/6	90_6900_1	/hepta_	3464606.jpg								
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Origin Origin Bizekon-Russi Der Spiegel, 2 Ekonomika Co El Economista, Forbes, 15-Sej http://news.bt	ca Izvestia (Russia 7-Jun-2015, on Fa ommunication Hu , 27-Nov-2008, or p-2003, on Factivi bc.co.uk/hi/russiar	). 04-Apr-2006 ctiva.com (http ). 7-Apr-2016, Factiva.com ( I.com (https://y /russia/newsic	. on fact ss://glob on Facti sttps://g plobal.fa L_720600	iva.com (h al.factiva. va.com (h lobal.facti ctiva.com/ 00/720600	ttps://g com/red tps://gk va.com/ 'redir/de 9.stm	lobal factiva.co iir/default.aspi obal factiva.co redir/default.a efault.aspx?P=	m/redi ?P=sa8 m/redir spx?P= sa&AN	ir/default.aspx 8xAN=SPGL000 r/default.aspx? sa&XAN=ELECC =FB000000200	P=sa8cAN= 0201506274 P=sa8cAN=1 0000200811 30905dz9f0	BIZKONO eb6r0000x EKODELO 27e4br00 3000p&cal	320060404e244 &cat=a&ep=A 120160407ec47 300q&cat=a&ep =a&ep=ASE)	00002&cat=a&ca SE) 0008f&cat=a∩ =ASE)	=ASE) =ASE)	Serial 1 2 3 4 5 6
Origin Origin Bizekon-Russi Der Spiegel, 2 Ekonomika Co El Economista Forbes, 15-Seg http://news.bt http://www.fo	ca Izvestia (Russia 7-Jun-2015, on Fa ommunication Hu , 27-Nov-2008, or p-2003, on Factivi bc.co.uk/hi/russiar rbes.ru/sobytiya/	), 04-Apr-2006 ctiva.com (http ), 7-Apr-2016, i Factiva.com ( l.com (https://y /russia/newsic fast/265659-kc	on fact s://glob on Facti https://g global.fa i_720600 andidat-i	iva.com (h al.factiva. lobal.facti ctiva.com/ 00/720600 iz-kgb-ros	ittps://g com/red ttps://gl va.com/ iredir/de 9.stm rezerv-i	lobal factiva.cr iir/default.aspi obal factiva.co rediir/default.a fault.aspx?P= mozhet-vozgli	om/redi ?P=sa& m/redir spx?P= sa&AN vit-zna	ir/default.aspx 8xAN=SPGL000 r/default.aspx? sa&xAN=ELECC =FB000000200 komyi-putina	P=sa80AN = 0201506274 P=sa8tAN =1 0000200811 30905dz9f0	BIZKONO eb6r0000 EKODELO 27e4br00 0000p&cat	320060404e244 &cat=a&ep=A 120160407ec47 30q&cat=a&ep =a&ep=ASE)	00002&cat=a&ce SE) 0008f&cat=a&cep ==ASE)	=ASE) =ASE)	Serial 1 2 3 4 5 6 7

Field	Information
Image	If any known images are available on the internet they will be listed here.
URL	Holds the URL to an image relating to the entity. The links may break if the site that hosts the image is not available.
Origin	All data collected on the entity has its origin listed in the origin section.
Origin	Holds a description or URL of an origin record.
	If the record is a URL double clicking the record will open the URL in your browser.

#### Note

The Note tab shows any notes Dow Jones/Worldcheck have recorded for the entity.



#### Reports

The Reports tab allows you to run reports related to the entity. The <u>Data Entity Detail Report</u> is currently the only report configured for Dow/Worldcheck Entities.

🕰 Name Data Search 🗙				
<b>[4</b> ]				
🗱 Details 🔹 💒 Alias 🔹 💡 Country 🔍 📰 Date 🕯	🕨 📮 Relationship 🔹 💷 Identity 👗 General 🔹 🕫 Links 🔹 🔝 Note 🔍 🗊 R	ports		
Reports				
* Reports	Description			
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	· ·			
Entity Detail				
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19:31 22/12/2021 Cape: O Nume • Ready	E Nach, For	kScreen 🚨 ADMIN 🛛		i <u> </u>

# Whitelist

Whitelisted Dow/Worldcheck Entities are skipped during the screening process and will consequently never show up as a Match Potential. Whitelisted entities are <u>Client</u> specific.

# Properties

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10:39 22/12/2021 Cap	s: O Num: O Rea	dy 🔳 Nikit\RiskScreen	🚨 ADMIN	D Ins: O Scrt: O Poll in -	26 <sup>°</sup> <sup>°</sup>

#### **Field Information**

Entity ID	Dow/Worldcheck Entity ID to be whitelisted
Lookup	Clicking the "Lookup" button will fetch the name of the
	Dow/Worldcheck Entity relating to the Entity ID provided, ensure
	the name is correct for the entity you want to whitelist.
Reason	The reason why the Dow/Worldcheck Entity is whitelisted.
Notify User Group	If you want to notify a user group that the Dow/Worldcheck entity
	is being whitelisted select the <u>User Group</u> you wish to notify from
	the list.
Notify	Yes – RiskScreen will notify the Handling User Group if Data changes
	on the Dow/Worldcheck Entity.
	No – RiskScreen will take no action if Data changes on the
	Dow/Worldcheck Entity – this is the default when discounting.
Valid to Date	The date on which the whitelisting record will expire.

#### Enquiry

To show the Whitelisted Entities Enquiry screen for a Client:

- Select the Client from the list and click on the "tick mark" in the top left of the screen.
- Double Click the Client in the list.

Navigation: Home > Match > WhiteList



#### ≔ Match White List 🗙 1 × | × | Entity Name 🔻 GERT L. C. M. DE KOK Valid to Date Entity ID 530877 Notify Client 31/12/2099 No Jersey Head Office Entity ID 530877 Entity Name gert L. C. M. DE KOK Whitelist Demo. Reasor Notify No Valid to Date 31/12/2099 Notify User Group None 🔂 Add 🗴 Delete 🙆 Update 🖒 View

Navigation: Home > Match > WhiteList > Client > View

A list of whitelisted Dow/Worldcheck Entities will be shown in the top portion of the screen. The bottom portion of the screen will show additional information for the selected whitelisted entity.

#### Add

To add a Dow/Worldcheck Entity to the whitelist, complete the fields and click the "tick mark" in the top left of the screen.

Navigation: Home > Match > WhiteList > Client > Add

Entity Name *       Entity ID       Notify       Valid to Date       Client         GERT L. C. M. DE KOK       530877       No       31/12/2099       Jersey Head Office	
Entity Name *         Entity ID         Notify         Valid to Date         Client           GERT L. C. M. DE KOK         530877         No         31/12/2099         Jersey Head Office	
GERT L. C. M. DE KOK 530877 No 31/12/2099 Jersey Head Office	
Entity ID 599042 Lookup MZIWOXOLO EDWARD ZUMA	
Reason Whitelist Deom	
	۲
Notify User Group None Notify No Valid to Date 31/12/2099	
🗋 View 🔂 Add 🕼 Delete 🙆 Update	

#### Delete

To remove a Dow/Worldcheck Entity from the whitelist;

- Select the "Delete" tab
- Select the entity you want to remove
- Tick the box next to "Delete White List Entry?
- Click the "tick mark" in the top left of the screen
  - You will not be asked to confirm the action it will remove the entity from the whitelist as soon as you click the tick

#### Navigation: Home > Match > WhiteList > Client > Delete

😑 Match White List 🗙 🛛	🔍 Name Data Search  🗙					
×.						
Entity Name 🔻		Entity ID	Notify	Valid to Date	Client	
GERT L. C. M. DE KOK		530877	No	31/12/2099	Jersey Head Office	
MZIWOXOLO EDWARD ZUM	IA	599042	No	31/12/2099	Jersey Head Office	
Entity Name	MZIWOXOLO EDWARD ZUMA				Entity ID	599042
Pelete White List Entry?	7					
Delete White List Entry?						
🗋 View 🔂 Ad	ld 🗵 Delete 🙆 Update					

#### Update

To update a whitelist entry;

- Select the "Update" tab
- Select the entity you want to update
- Make the required changes to the data fields
  - o Refer to the Whitelist View section for more information regarding the data fields
- Click the "tick mark" in the top left of the screen
  - You will not be asked to confirm the action it will update the entity as soon as you click the tick

I Match White List X						
· · × .						
Entity Name 🔻		Entity ID	Notify	Valid to Date	Client	
GERT L. C. M. DE KOK		530877	No	31/12/2099	Jersey He	ad Office
Entity Name	Gert L. C. M. DE KOK			Entity ID		530877
Reason	Whitelist Demo 2			,		
Notify User Group	None	✓ Notify	No	✓ Valid t	o Date	31/12/2099
🖒 View 🔂 Ad	ld 🗹 Delete 🙆 Update					

Navigation: Home > Match > WhiteList > Client > Update

# **Identity Search**

The identity search allows you to search for Dow Jones/Worldcheck entities based on an identity number in their profile. You can open the ID Data Search screen from the **Home** tab under the **ID Data** section.



To search for a Dow Jones/Worldcheck entity based on an identity number:

- 1. Open the Search screen from the Home tab under the ID Data section.
- 2. Search for the entity using the search controls provided (see <u>Search Parameters</u>).
- 3. You can open the record you want to view from the list of search results by
  - a. Double clicking the record
  - b. Selecting the record and clicking the "tick" in the top left of the screen



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Search For	63									
Entity Type	44	Search Te		Ramo With						
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Mentity Type		kdentity Volue	Lat Name		Fest Name	Middle Name	Entity Type	244	Gender	640y 10 *
DUNG Number									Not Applicable	4005754
National Tax No.		41235634653	ARAGIO LARA		CLINK		Person	Active	Male	12591562
Company Merti	Nation No.		B-LO FINANCE				Entity		Not Applicable	11586432
DUNG Number			BOUREDRUW RESULT				Entity		Not Applicable	12125733
National D			CASAS		MURIA ELSA			hadire	Fenale	1545822
DUNG Number			DELOTTE CONSEIL				Entity		Not Applicable	464/182
DUNG Number		452503409	E.C.M. ENTREPRISE COUVER	TURE MACONINERIE			Entry		Not Applicable	12110633
DUNG Number		412994207	GOSS INTERNATIONAL FRAM	NCE					Not Applicable	310601
Company Merti	Ration No.		HEIMANN GRÖGERS OTT.				Entry		Not Applicable	1176252
Company Meets	Nation No.		IRSH PROCEAKORES				Delay	Adve	Not Applicable	4334333
Central Registra	ntion Depository (CRD)				SABRINA	MARE	Person		Female	3072814
DUNG Number		452503334	LES BOULANGERIES PAINES						Not Applicable	3122568
DUNG Number			OUMPOLE DE MARSEUE						Not Applicable	2989416
Central Registra	nion Depository (CRD)	4525549	PERINS			ANDREW	Person	hadin	Male	12540134
Company Merti	Hation No.		RENASSANCE OFFSHORE				Entity	Active	Not Applicable	4070167
Central Registra	ation Depository (CRD)		SCHOTTENSTEIN		EVAN		Peson		Male	12531064
P										
20 Kershard										
	2521 Cape O Nur	x • Ready				Not/RekSower	& ADMIN D			

#### Navigation: Home > ID Data > Search

## Search Parameters

Parameter	Information					
Search For	Search term you want to use to perform the search.					
Entity Type	Select the entity type you are searching for.					
Default (Any)	• Any					
	Entity					
	Person					
Search Type	Select where in the field the search term will appear.					
Default (Starts With)	Starts With					
	<ul> <li>The search term you have entered appears at the start of the identity number.</li> </ul>					
	Contains					
	<ul> <li>The search term can appear anywhere in the identity number.</li> </ul>					
Identity Type Default (Any)	<ul> <li>This sets the type of identity number you are providing, leaving the type on "Any" will return all records that match the search for value provided regardless of Identity Type. Below is a list of all the available Identity Types:</li> <li>National ID</li> <li>National Tax No.</li> <li>DUNS Number</li> <li>Others</li> <li>Company Identification No.</li> <li>OFAC Program ID</li> <li>OFAC Unique ID</li> <li>Bank Identifier Code (BIC)</li> <li>Legal Entity Identifier (LEI)</li> <li>Driving Licence No.</li> </ul>					

#### Parameter Information

- Passport No.
- HM Treasury Group ID
- DFAT Reference Number
- OSFI Individuals ID
- EU Sanctions Programme Indicator
- EU Consolidated Electronic List ID
- SECO SSID
- National Criminal Identification Code (USA)
- Federal Bureau of Prisons Register Number
- National Provider Identifier (NPI)
- UN Permanent Reference No.
- OSFI Iran ID
- Central Registration Depository (CRD)
- Standard Industrial Classification (SIC)
- North American Industry Classification System (NAICS)
- NACE (European Union Economic Activity Classification System)
- Related OFAC Program ID
- Related OFAC Unique ID
- Related EU Sanctions Programme Indicator
- Related EU Consolidated Electronic List ID
- OSFI Entities ID
- International Securities Identification Number (ISIN)
- International Maritime Organization (IMO) Ship No.
- OSFI North Korea ID
- Aircraft Manufacturer's Serial Number (MSN)
- Aircraft Construction, Line, Fleet or Serial Number
- OFAC Additional Sanctions Information
- Unknown

# Internal Watchlist

RiskScreen allows you to add additional entities to the Dow Jones/Worldcheck data to screen your client entities against. These additional entities are added to the Dow Jones/Worldcheck entities every time a screening run occurs and act in the same way as any other Dow Jones/Worldcheck entity.

The Internal Watchlist allows you to populate the following sections of a data for the new entity:

- Details
- Aliases
- Addresses
- Countries
- Dates
- Note

Internal watchlist entities are added to the Dow Jones/Worldcheck dataset as part of the <u>data</u> <u>import</u>, any changes or additions will only appear after an import is run. Once added to the system through the Dow Jones/Worldcheck import entities on the internal watchlist act the same as normal Dow Jones/Worldcheck entities throughout the system.

You can open the internal watchlist screens from the Data tab under the Internal Watchlist section.



#### Search

The search screen allows you to search for entities in your internal watchlist.

🛸 Ir	ternal Watchlist Se	arch 🗙										
	× _											
Sear	ch For	[										
Sear	ch Client	Default				Search Business Unit	Default				Search	
Sear	ch On	Last Name				<ul> <li>Search Type</li> </ul>	Starts Wi	th				
Last	Name		First Nam	e	м	iddle Name		Status	Gender	Entity ID	Interface	Ref
												- 1
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Search for an entity by entering a search term and setting the search criteria to refine the search results.

Field	Information
Search For	Search term you want to use to perform the search.
Search Client	Client you want to search in
Search Business Unit	Business Unit you want to search in
Search On Default (Last Name)	<ul> <li>The field that will contain the search term you have entered.</li> <li>Last Name</li> <li>First Name</li> <li>Middle Name</li> </ul>
	<ul><li>Entity ID</li><li>Interface Reference</li></ul>
Search Type Default (Starts With)	<ul> <li>Select where in the field the search term will appear.</li> <li>Starts With         <ul> <li>The search term you have entered appears at the start of the field you are searching on.</li> </ul> </li> </ul>
	<ul> <li>Contains         <ul> <li>The search term can appear anywhere in the field you are searching on.</li> </ul> </li> </ul>

Once you have found the entity you are looking for you can open it by:

- Double clicking on the record in the Search Results or
- Selecting the record in the Search Results and clicking the "tick" in the top left of the working area

Once opened you will be shown the Details tab of the Entity.

#### Add

Internal watchlist entities are added using the Add screen in the internal watchlist section. When adding a new entity, you have the option of adding it with additional information (Alias, Address, Country, Date & Note) by adding records on the appropriate tabs. Once you have completed all the appropriate fields click the "tick mark" in the top left of the working area. Once you have added the record by clicking the "tick", you can add to or update any part of the record from the <u>Update</u> screen.

The toolbar above the row of tabs allows you to do the following:

$\checkmark$	Add the populated record to the internal watchlist
+	Add a new alias
2	Edit the selected alias record
Ū	Delete the selected alias record
$\times$	Close the record without adding it to the internal watchlist

#### Important

Newly added internal watchlist entities will only appear in the Dow Jones/Worldcheck dataset after the next Dow Jones/Worldcheck daily update.

📌 Internal Watchlist Ad	d X		
<b>√</b>  + ∮ 亩 >			
🏶 Details 🏼 🛓	Alias 🕋 Address 🗣 Country 📰 Date 🗎 Note		
Entity Details ——— Client	Default Business Unit Default	Entity Type Person	
Last Name		Action Date 25/10/2022	
First Name		Gender Unknown	
Middle Name		Status Active	
Title	Interface Ref	Deceased No	
Suffix		j .	
Data Classification	Is PEP No 🖤 Is RCA No 🖤 Is WBL No 🖤 Is SAN No 🖤 Is AVM No 🖤 Is OTH	I No Vis UNK No	

#### Field Information

Client	Applies to this Client.
Business Unit	Applies to this Business Unit.
Last Name (Mandatory)	Last name if the entity is a person or full legal name if an entity.
First Name	First name if the entity is a person.
Middle Name	Middle name if the entity is a person.
Title	Title if the entity is a person.
Interface Reference (Mandatory)	Unique reference for this specific entity. Typically, you would use a unique customer reference such as a client number or account number for this purpose.
Suffix	Suffix of the entity if it exists.
	E.g. LTD, Limited, Co., etc.

Field	Information
Entity Type	Person or Entity
Action Date	The date on which the entity was last updated.
Gender	Gender of the entity
	Female
	Male
	Not Applicable
	<ul> <li>Use for entities of type Entity</li> </ul>
	Unknown
Status	Active or Inactive
	Does not impact the screening process, Inactive persons & entities will
	still be screened against.
Deceased	Yes or No
	Does not impact the screening process, deceased persons will still be
	screened against.
IS RCA	Sets whether the entity is on each of the lists.
IS WBL	·
Is SAN	At least one of the lists needs to be set to " <b>Yes</b> " for the record to be
IS AVM	added to the internal watchlist.
Is OTH	
IS UNK	

#### Alias

The internal watchlist alias tab captures the same information as the <u>Alias</u> tab for normal Dow Jones/Worldcheck entities. You can add an alias by clicking the add button (Plus) while on the alias tab. After completing the appropriate fields click "Ok".

· * □ ÷	RiskScreen -	. s x
HOME DATA STATIC SYSTEM		
Run         Import         Run         Run         Search           Batch         Data Source         Processing         Adverse Media         Internal	* Add     \$	
🖷 Internal Watchlist Update 🗙		
<b>  ✓   + </b> <i>i</i> â   × .		
🇱 Details 🔍 🏕 Alias 🔍 🎓 Address 🔍 🎗 Country	🔍 📰 Date 🛛 🔛 Note	
Alias Name Type Serial Last Name	First Name Title Suffic	
Spelling Variation 0 JONAS	Internal Watchlist Alias - Add	
	Alias       Name     Spetling Variation       Last Name     JOHN       First Name     SMITH       Verified to Name	
	Trice	
	Ok Close	

Field	Information				
Name Type	Every alias has a type attached to it, name types are different for Persons or Entities. The list below shows the name types available for each of the entity				
	types:				
	Person				
	<ul> <li>Also Known As</li> </ul>				
	<ul> <li>Low Quality AKA</li> </ul>				
	<ul> <li>Maiden Name</li> </ul>				
	<ul> <li>Formerly Known As</li> </ul>				
	<ul> <li>Spelling Variation</li> </ul>				
	<ul> <li>Expanded Language Variation</li> </ul>				
	Entity				
	<ul> <li>Also Known As</li> </ul>				
	<ul> <li>Formerly Known As</li> </ul>				
	<ul> <li>Spelling Variation</li> </ul>				
	<ul> <li>Low Quality AKA</li> </ul>				
	<ul> <li>Expanded Language Variation</li> </ul>				
Last Name	If the entity is a person, the Last Name of the alias otherwise the full legal name				
	of the entity.				
First Name	If the entity is a person, the First Name of the alias.				
Middle Name	If the entity is a person, the Middle Name of the alias.				
Title	If the entity is a person, the Title of the alias.				
Suffix	Suffix of the entity if it exists.				

Eg. LTD, Limited, Co., etc.

#### Address

The internal watchlist address tab captures the same information as the <u>Address</u> tab for normal Dow Jones/Worldcheck entities. You can add an address by clicking the add button (Plus) while on the Address tab. After completing the appropriate fields click "Ok".

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🏶 Details 🌒 💒 Alias 🔍 🕋 Address 🔍 💡 Country (	Date 🖻 Note	
Ine	Ote     Country       Address     Internal Watchint Address Add       Line     Address       Line     Address       City     Londori       Country     United Kingdom       URL     Ok	Send URL o
19:56 22/12/2021 Caps: Num: Ready	E NäittRiskScreen & ADMIN D	Ins: O Scrt: O Poll in - 13
### **Field Information**

Line	The addresses information excluding City and Country.
City	City associated with the address.
Country	Country associated with the address.
URL	The URL where the address was found.

### Country

The internal watchlist country tab captures the same information as the <u>Country</u> tab for normal Dow Jones/Worldcheck entities. You can add a country by clicking the add button (Plus) while on the Country tab. After completing the appropriate fields click "Ok".

· × □ ·	RiskScreen	_ e x
HOME DATA STATIC SYSTEM		
Run Import Run Run Search Batch Data Source Processing Adverse Media Internal V	Add     September     Augustant     Contract     Contract	
🛒 Internal Watchlist Update 🗙		
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Country		
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	Country Type Readent of Country United Kingdom Ok Core	
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### **Field Information**

Country Type The type of relationship the entity/person has with the country selected. Below is a list of the available relationship types.

- Citizenship
- Resident of
- Jurisdiction
- Country of Affiliation
- Country of Registration
- Enhanced Risk Country
- Country of Reported Allegation
- Sanctioned Region
- Formerly Sanctioned Region
- Unknown

Country The country the relationship is with.

37

### Date

The internal watchlist date tab captures the same information as the <u>Date</u> tab for normal Dow Jones/Worldcheck entities. You can add a date by clicking the add button (Plus) while on the Date tab. After completing the appropriate fields click "Ok".

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i <b>√ + ἐ</b> ἁ   Χ	
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	Note
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### Field Information

Date Type	Type of date for the person/entity, below is a list of the date types available to each
	of the entity types.
	• Person
	<ul> <li>Date of Birth</li> </ul>

- Deceased Date
- Inactive as of (PEP)
- Inactive as of (RCA related to PEP)
- Entity
  - Date of Registration
  - o Cessation Date

Day	
Month	Day, month and year value for the date record.
Year	
Note	Any note relating to the date record.

### Note

The internal watchlist note tab captures the same information as the <u>Note</u> tab for normal Dow Jones/Worldcheck entities. You can add a note by typing it into the space provided while on the Note tab.



### **Bulk Import**

By heading to Data > IWL Entity > Import you will be able to bulk import from a csv file in the following format:

ClientID, BusinessUnitID, InterfaceRef, EntityTypeID, GenderID, StatusID, LastName, FirstName, MiddleNa me, Title, Suffix, Deceased, IsPEP, IsRCA, IsWBL, IsSAN, IsAVM, IsOTH, IsUNK, Aliases, Dates, Countries, Addr esses, Notes

## Update

The update screen allows you to update your internal watchlist records. The update screen functions mostly the same as the Add screen except, Alias, Address, Country and Date changes will be applied as they are made and do not require saving the record using the "tick" in the top left of the screen.

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Run Import	Run Run Search	Update Map Too	box Logs Import	Import											
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📌 Internal Watchlist Add 🗙 💘 Internal Watchlist Update 🗙															
[ <b>√</b> + 3 亩 >															
🗱 Details 😐 🛓	Alias 🕋 Address 💡 Country	🖩 Date 🖹 Note													
Entity Details —					]										
Client	Default	Business Unit	Default	Entity Type	Person 🗸										
Last Name	RUELLAN			Action Date	e 14/12/2021 🛅										
First Name	CHRISTIAN			Gender	Unknown										
Middle Name				Status	Active 🗸										
Title		Interface Ref		Deceased	No										
Suffix															
Data Classification	is PEP Yes 💙 is RCA No	VISWBL No VISS	AN No 💙 Is AVM	No soth No											

\*Tabs with a blue dot contain data.

To delete an internal watchlist entity:

- 4. Open the Update screen from the Data tab under the Internal Watchlist section.
- 5. Search for the entity using the search controls provided.
- 6. Open the record you want to update from the list of search results by
  - a. Double clicking the record
  - b. Selecting the record and clicking the "tick" in the top left of the screen
- 7. Update the record as needed, see the <u>Add</u> section for more information on each of the tabs.
- 8. Confirm the delete by clicking "Ok" when asked.

### Important

Changes made to internal watchlist entities will only appear in the Dow Jones/Worldcheck dataset after the next Dow Jones/Worldcheck daily update.

## Delete

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Run Batch	Import Data Source	Run Processing	Run Adverse Media	Search Meternal Watchlist	Map 1	ioolbox Logs General	Import Client Entity								
🛒 Interna	🖈 internal Watchlist Delete 🗙														
v x															
Search For Search On	JONAS Last Na	me		✓ Search Type		Starts With									
Last Name			First Name		Middle Name	2	Status	Gender	Entity ID	Interface Ref	Is PEP	Is RCA	Is WBL	Is SAN	Is AVM
JONAS			JACK			RiskScree	en		×	1000	Yes	Yes	Yes	Yes	
1 internal We	chist Items Found					0	for the Database: JONAS - 100000000 Are you sure you want to Yes	proceed? No	More						·
20:02 2	2/12/2021 Ca		um: O Ready					E Ni	kit\RiskScreen	🚨 admin	D Ins: O	Scrt: O	Poll in - 10	<u> </u>	_ii

The delete screen allows you to delete entities from your internal watchlist.

To delete an internal watchlist entity:

- 1. Open the **Delete** screen from the **Data** tab under the **Internal Watchlist** section.
- 2. Search for the entity using the search controls provided.
- 3. Select the record you want to delete from the list of search results and click the "tick" in the top left of the screen.
- 4. Confirm the delete by clicking "Ok" when asked.

# **Adverse Media**

RiskScreen Adverse Media allows you to screen and monitor negative news and reputational risks against your client entity as a company's onboarding, KYC and AML process.

Navigation: Home > Adverse Media

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## **AVM Search**

The search screen allows you to search Adverse Media information for a person or entity if you are licensed.

#### Navigation: Home > Adverse Media > Search

Once you have clicked on search option, System will give you an option to search for your entity.

- Clicking on the record in the Search Results or
- Selecting the record in the Search Results and clicking the open record button (IIII) in the top left of the working area

Information
If Entity Type is not Person, the entire name for the entity will
appear in the Last Name field.
First name if the entity is a person.
Middle names if the entity is a person.
Date range relevant to search
Name of country for search
Allows you to set searching Criteria
Display search time
If ticked, Enables type of search engine
Clears existing search results
Returns a result based on user inputs
Generate report
Displays Adverse Media Potential matches

On searching an entity, System will display search results in left hand of the screen.



Search results allows you to view detailed Adverse Media information by clicking on the results. This screen will also display name of search engine.



As soon as you click on any of the search result, detailed information will be displayes on left hand of a screen. Screen wil also allow you you flag the match.

### VERSION: 2.3.4717.1

# **KYC**360



To Flag or discount the potential match, click on Flag icon.



On clicking Flag icon, System will allow to set actions based on user decision.

**KYC**360

# Understanding RiskScreen Search

## Jaro Containment Bias

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

## **Internal Watchlist**

Internal watchlist entities are added to the Dow Jones/Worldcheck dataset and act the same as normal Dow Jones/Worldcheck entities for the purpose of RiskScreen searches.

## Search Process

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

### Create Screening List

The first sieve in the search removes Dow/Worldcheck entities 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.
Default All	Person – only entities with entity type person pass through.
	Entity – only entities with entity type entity pass through.
Gender	All – both genders pass through.
Default All	Male – only entities that are male pass through.
	Female – only entities that are female pass through.
Politically Exposed Persons	Ticked – entities that are marked as PEP's will pass through.
Default Ticked	Unticked – entities that are marked as PEP's will not pass through.
Relative and Close Assoc	Ticked – entities that are marked as RCA's will pass through.
Default Ticked	Unticked – entities that are marked as RCA's will not pass through.
Watch List Special Interest	Ticked – entities that are marked as WBL's will pass through.
Default Ticked	Unticked – entities that are marked as WBL's will not pass through.
Sanctioned	Ticked – entities that are marked as SAN's will pass through.
Default Ticked	Unticked – entities that are marked as SAN's will not pass through.
Adverse Media	Ticked – entities that are marked as ADV's will pass through.
Default Ticked	Unticked – entities that are marked as ADV's will not pass through.
Other	Ticked – entities that are marked as OTH's will pass through.
Default Ticked	Unticked – entities that are marked as OTH's will not pass through.
Unknown	Ticked – entities that are marked as UNK's will pass through.
Default Unticked	Unticked – entities that are marked as UNK's will not pass through.

Setting these parameters correctly for a search has the largest potential for reducing the number of results and improving search speed.

### Screen Last Name

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

### Screen First Name

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

### Screen Middle Name

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

### **Exclude Whitelisted**

Any results that have matched to a Dow/Worldcheck entity on the Whitelist will not pass through.

\*<u>Name Data (Ad hoc) Search</u> ignores this step.

### Exclude Mismatching Dates

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

#### \*<u>Name Data (Ad hoc) Search</u> ignores this step.

### **Exclude Mismatching Countries**

If "Exclude Ctry No Match" is set to yes, each result will have the countries related to them (found on the <u>Country</u> tab) compared to the Country1, Country2 and Country3 properties of the client entity. If none of the client entity countries match the Dow/Worldcheck entity countries the result will not pass through. If either or both Dow/Worldcheck and Client Entities have no country, they will pass through.

\*<u>Name Data (Ad hoc) Search</u> ignores this step.

# Clients

A Client is a partition within RiskScreen which is used to ensure that customers belonging to e.g. the Jersey office can only be seen by users authorised to view client entities belonging to that Client. Clients also assist with the division of data for management information and reporting purposes.

It is recommended to define a Client for each jurisdiction in which your business operates.

## **Properties**

Property	Information
Name	Name of the Client.
Description	Description of the Client.
Identifier	System allocated identifier which cannot be changed.
Active	Yes - screens all client entities with a status of Active when batch runs are executed. No - will not screen any client entity records when batch runs are executed.
AVM Active	Yes – AVM Live module (separate license) will screen all entities which are set too. No – No AVM Live screening will take place
Match Legacy PDF	Yes – Enable No – Disable and use snapshot

## Enquiry

The top portion of the enquiry screen will show a list of Clients while the bottom portion will show data for the selected Client.

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a	<b>7</b>	HOME	DATA	STATIC	SYSTEM									
	Criteria	A Risk	(Tient	Business Unit	Discounted Fla	gged Engir	te Term	Criteria	Discounted	Flagged				
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6	🕽 Client	×												
	~   X	Ļ												
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16	Guernsey	Office						Guernsey Office	e					
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### Navigation: Static > Definitions > Client > View

## Add

Confirm the creation by clicking the "tick" in the top left of the working area.

🕅 Client 🗙	-	
×		
Name 👻		Description
Default		Default
Guernsey Office		Guernsey Office
IOM Office		IOM Office
Japan Office		Japan Office
Jersey Office		Jersey Office
London Office		London Office
One-off screening		One-off screening
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Name		
Description		
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Match Legacy PDF	Ves V	
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Navigation: Static > Definitions > Client > Add

## Delete

Select the client you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

Client X	
Name   Description	
Default Default	
Guernsey Office Guernsey Office	
IOM Office IOM Office	
Japan Office Japan Office	
Jersey Office Jersey Office	
London Office London Office	
One-off screening One-off screening	
Name Default Identifier 100	
When deleting a Client any dependant Static data that exists is automatically deleted provided these is no dependant Client related data.	
🕻 View 🚯 Add  🛣 Delete 🙆 Update	
16:05 25/10/2022 Caps: ONum: • Ready 🗮 RiskScreen15DJ\RiskScreen1! 📩 ADMIN D Ins: OScrk O	Poll in - 18

Navigation: Static > Definitions > Client > Delete

# Update

Update the fields as required and confirm the update by clicking the "tick" in the top left of the working area.

1 Client X	, ,	,				
<b>√</b> × .						
Name 🔻			Description			
Default			Default			
Guernsey Office			Guernsey Office			
IOM Office			IOM Office			
Japan Office			Japan Office			
Jersey Office			Jersey Office			
London Office			London Office			
One-off screening			One-off screening			
L						
Name	Default		Identifier	100		
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*Navigation: Static > Definitions > Client > Update* 

# **Business Units**

A Business Unit is a partition of a Client within RiskScreen. This allows further control over who can see certain client entities e.g. the Fund department which is part of the client Jersey office can only be seen by Fund users authorised to view client entities belonging to that Client and Business Unit. Clients also assist with the division of data for management information and reporting purposes.

## Properties

Property	Information
Client Name	Client that is associated with this Business Unit.
Name	Name of the Business Unit.
Description	Description of the Business Unit.
Identifier	System allocated identifier which cannot be changed.
Active	Yes - screens all client entities with a status of Active when batch runs are executed. No - will not screen any client entity records when batch runs are executed.

## Enquiry

The top portion of the enquiry screen will show a list of Clients and associated Business Units while the bottom portion will show data for the selected Business Unit.

Navigation: Static > Definitions > Business Unit > View

			RiskScreen		_ = x
Номе	DATA STATIC	SYSTEM			
Criteria Risk	Client Business Unit	Discounted Flagged	Engine Term Criteria	Discounted Flagged	
	· · · · ·	Match Category	Avin Dennidon	Avin match category	
🕲 Client 🗶 🖁 Bu	isiness Unit				
×					
Client Name 🔻		Name		Description	
Default		Default		Default	
Guernsey Office		Default		Default	
IOM Office		BU2		BU2	
IOM Office		Default		Default	
Japan Office		Default		Default	
Jersey Office		Default		Default	
London Office		Default		Default	
Client Name	Default		ci	ient ID 100	
Name	Default		Bu	usiness Unit ID 10	
Description	Default				
Description					
Active	Yes				
🖒 View	🖬 Add 🖾 De	lete 🙆 Update			
11.52 25/10/2022	Canci O Numi O	Baadu 🗮 BirkScraat			ll in - 28

## Add

Select the Client you wish to assign this Business Unit too, and populate details. Confirm the creation by clicking the "tick" in the top left of the working area.

× □ =	RickSrreen – 🗖 🕽
Criteria Risk Clie Definitions	Image: Solution     Image: Solution       Image: Solution     Image: Solution
🖁 Business Unit 🗙	
CLOK Name -	Name Description
Default	Default Default
Guernsey Office	Default Default
IOM Office	BU2 BU2
IOM Office	Default Default
Japan Office	Default Default
Jersey Office	Default Default
London Office	Default Default
Client	Jersey Office
Description	Funds Team
Δctive	Vac V
Active	
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Navigation: Static > Definitions > Business Unit > Add

### Delete

Select the Business Unit you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

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		RiskScreen		_ = x
HOME DATA	STATIC SYSTEM			
Criteria Risk Client	Business Discounted Flagge	t Engine Term Criteria	Discounted Flagged	
Definitions	Unit Match Category	AVM Definition	AVM Match Category	
	match category		And Match Category	
Business Unit 🗶				
Client Name 🤝	Name		Description	<u>^</u>
Default	Default		Default	
Guernsey Office	Default		Default	
IOM Office	BU2		BU2	
IOM Office	Default		Default	
Japan Office	Default		Default	
Jersey Office	Default		Default	•
London Office	Default		Default	
Client Name D	Default	Clie	ent ID 100	
Name D	Pefault	Bus	iness Unit ID 10	
Delete Business Unit				
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when deleting a Business Unit	it any dependent static data that exists	s automatically deleted provided there is r	no dependant Client related data.	
L				
🗋 View 🔂 Add	🗴 Delete 🗴 Update			

Navigation: Static > Definitions > Business Unit > Delete

## Update

Update the fields as required and confirm the update by clicking the "tick" in the top left of the working area.

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Criteria Risk Clie		🗱 🕄 🕅 🕅	
Chicha hisk chic	Unit	letting	
Definitions	Match Category	AVM Definition AVM Match Category	
🕅 Business Unit 🗙			
! <b>~</b>   <b>×</b> ↓			
Client Name 🔻	Name	Description	
Default	Default	Default	
Guernsey Office	Default	Default	
IOM Office	BU2	BU2	
IOM Office	Default	Default	
Japan Office	Default	Default	
Jersey Office	Default	Default	
London Office	Default	Default	
Client Name	Default	Client ID 100	
Name	Default	Business Unit ID 10	
Description	Default		
A -15	v l		
Active	Yes 🞽		
🖸 View 🙆 Ad	ld 🗹 Delete 🙆 Update		
11:55 25/10/2022 Cap	is: 🔿 Num: 🔍 Ready 🗮 RiskScreen15E	DJ\RiskScreen1! 🔍 ADMIN 🛛 Ins: 🔿 Scrl: 🔿	Poll in - 4

Navigation: Static > Definitions > Business Unit > Update

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# **Client Entities**

Client Entities refer to your list of clients you will screen using RiskScreen.

## **Properties**

The following information is held on each of the Client Entities.

Field	Information
Client	This is the Client that the Client Entity falls under. Refer to the Client
Mandatory	section for more information about Clients.
	Notes:
	Once set this cannot be changed.
Business Unit	This is the Business Unit that the Client Entity falls under. Refer to
	the Business Unit section for more information about Business
	Units.
	Notes:
	Once set this cannot be changed.
Last Name	When the Client Entity is not a person enter the full name here.
Mandatory	
First Name	When the Client Entity is not a person First Name is ignored when
	screening against the Dow/Worldcheck Entities.
Middle Name	When the Client Entity is not a person Middle Name is ignored
	when screening against the Dow/Worldcheck Entities.
Gender	Gender of the client entity.
	Female
	Male
	Not Applicable
	Unknown
Date	Birth Date/Incorporation Date.
Country 1	Any country that relates to the entity, this can be:
	Refer to the <u>Country Types</u> list for the full list of country types used
	during screening.
Country 2	Any country that relates to the entity, this can be:
	Refer to the <u>Country Types</u> list for the full list of country types used
	during screening.
Country 3	Any country that relates to the entity, this can be:
	Refer to the <u>Country Types</u> list for the full list of country types used
	during screening.
Criteria	The Search Criteria used when screening the Entity for potential
	matches. Refer to the <u>Criteria section</u> for more information.
Client Entity ID	This is the RiskScreen identifier for the Client Entity.
	Notes:
	System Generated and cannot be changed.

Field	Information
Interface Reference	In order to facilitate the matching of external system references to the associated RiskScreen Client Entity the Interface Reference is used. Typically, you would use a unique customer reference such as a client number or account number for this purpose.
Status	Active – Client Entity is active and requires screening. Disabled – Client Entity is no longer active and screening will not be performed.
Risk	Internal Risk Classification used by your organisation to classify clients.
Handled by User Group	User Group that will be responsible for this client.
Handled by User	User that will be responsible for this client. Notes: You can leave this blank to allow anyone in the User Group to take ownership of this client.
Custom Text Fields	RiskScreen allows organisations to define 2 additional fields that are stored for Client Entities. In this manual we will use "Relationship Manager" and "Active Jurisdictions" as the names of the two fields.
Custom Text 1	The name of the field is defined in the Options and is the same for all Client Entities.
Custom Text 2	The name of the field is defined in the Options and is the same for all Client Entities.
AVM Fields	Note additional fields are displayed if using the LIVE AVM module. This is covered in a separate guide.

## Search (Enquiry)

The Client Entity Search allows you to search for a Client Entity to open their Enquiry screen. The Enquiry Screen allows you to view:

- Details
- Discounted Matches
- Flagged Matches
- Reports

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Search On	Last Name		Search Type	e Star	ts With			Search
Search Status	Both		▼					
Last Name		First Name	Mide	dle Name	Status	Entity ID	Interface Ref	Risk
0 Client Entities Found								
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### Navigation: Home > Client Entity > Search

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

Field	Information		
Search For	Search term you want to use to perform the search.		
Search Client	The <u>Client</u> the Client Entity will fall under.		
Search Business Unit	The Business Unit the Client Entity will fall under.		
Search On	The field that will contain the search term you have entered.		
Default (Last Name)	Last Name		
	First Name		
	Middle Name		
	Client Entity ID		
	Interface Reference		
Search Status	You can select to search for Client Entities that have the following		
Default (Both)	Status:		
	• Both		
	Active		
	Disabled		

Field	Information
Search Type Default (Starts With)	<ul><li>Select where in the field the search term will appear.</li><li>Starts With</li></ul>
	<ul> <li>The search term you have entered appears at the start of the field you are searching on.</li> </ul>
	Contains
	<ul> <li>The search term can appear anywhere in the field you are searching on.</li> </ul>

Once you have found the Client Entity you want to view you can open it by:

- Selecting the Client Entity in the result list and clicking on the "tick mark" in the top left of the screen.
- Double Click the Client Entity in the result list.

### Details

The details tab shows you all the Client Entity information. If a NavOne / MS Dynamics link is present in the custom field 1 or custom field 2 fields, a button will appear on the left. Clicking on this button will launch NavOne/MS Dynamics and follow the link directly into Nav.

🦻 Client Entity Search 🗙	🖻 PUTIN 🗙										
😇 Details 🛯 🏙 Ma	tch Discounted 🛛 🗮 Ma	tch Flagged 🛛 🖬 AVM N	latch Discounted 🛛 🗮 AVM	l Match Flagged 🛛 🔊 Excl	usion URL 👖 Reports						
Details Client	Default		Business Unit	Default							
Last Name	PUTIN										
First Name	VLADIMIR			Client Entity ID	5000						
Middle Name				Interface Reference	ZR001						
Gender	Male	Date	07/10/1952	Status	Active						
Country 1	Russia			Risk	High						
Country 2	Unknown			Handled by User Group	All Users						
Country 3	Unknown			Handled by User	None						
Criteria	Default - Person			Date Added	17/03/2021						
Adverse Media Criteria	Default Criteria			AVM Last Screen Date	03/12/2021						
AVM Country	Use AVM Criteria			AVM Date Range	Use AVM Criteria						
Additional Terms AND											
Additional Terms OR											
Exclude Terms											
Custom Text 1											
Custom Text 2											
Client Entity	🖞 Criteria										

*Navigation: Home > Client Entity Search > Details* 

Note that these two fields at the bottom can be called whatever is defined by your IT or Compliance department

Clicking the Criteria button at the bottom of the working area will show detailed information on the Criteria applied to this Client Entity, see <u>Criteria</u> for more information.

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### Match Discounted

The "Meta Data" tab of the Match Discounted screen shows the discount reason, category and the date and countries used in the screening process for the selected match.

*Navigation: Home > Client Entity > Search > Entity > Match Discounted > Meta Data* 

Details	*** Match Discounted	F Match	Flagged	AVM Match Disc	counted 🏴 AV	/M Match Flagged	S Exclusion URL	Reports	
Last Name	First Name	Middle Name	Entity ID	Match Date	Gen Date	Handled by User Gro	Handled by User	Valid to Date	Notify
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🗟 Meta Data	Report	🔎 Au	dit						

On the Report tab it will show the <u>Data Entity Detail Report</u> of the Entity for which the match was discounted at the time of discounting. This report will not change if the Dow/Worldcheck entity is updated and acts as a snapshot of the data you had at the time that you made the decision.



k	Client Entity	Search	🗙 🤤 PUT	in 🗙															
	ᄒ Details		Match Discour	nted		Match	Flagged		AVM N	latch Dis	counted	F A	VM Mat	ch Flagged	🔊 Exclu	sion URL	Reports	5	
	Match Discount	it <del>eu -</del>	First Name		Middle Na	ame	Entity ID	_	Match	n Date	Gen Dat	e	Handl	ed by User Gro	Handled	by User	Valid to Dat	te Not	tify
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*Navigation: Home > Client Entity > Search > Entity > Match Discounted > Report* 

### Match Flagged

The "Meta Data" tab of the Match Flagged screen shows all the potential matches against the Client Entity that have been Flagged.

Navigation: Home > Client Entity > Search > Entity > Match Flagged > Meta Data

🖻 AFFEEJEE 🗙						
🗇 Details	Match Discounted	R Match Flagged	<b>AVM Match Discounted</b>	AVM Match Flagged	Exclusion URL	Reports
Match Discounted	First Name	Middle Name Entity ID	Match Date Gen Date	Handled by User Gro	Handled by User	Valid to Date Notify
÷₽₽▲		<u>~</u> ₩ 4 4 4 4				
B		a Audia				
🖙 Meta Data	III Report	Audit				
12:25 22/12/202	21 Caps: O Num:	: • Ready 🗮 Nikit\I	RiskScreen 🔍 ADMIN	D Ins: O S	crl: O Poll in -	13

On the Report tab it will show the <u>Data Entity Detail Report</u> of the Entity for which the match was flagged at the time of flagging. This report will not change if the Dow/Worldcheck entity is updated and acts as a snapshot of the data you had at the time that you made the decision.

Navigation: Home >	Client Entity > S	Search > Entity >	Match Flagged >	Report

🤌 Client Entity	Search	× 🛡 PUTIN	×							
😇 Details		Match Discounted	👎 Matc	h Flagged	<b>***</b> AVM Match Dis	counted 👎	AVM Match Flagged	Exclusion URL	Reports	
Match Discount	ed ——									]
Last Name		First Name	Middle Name	Entity ID	Match Date	Gen Date	Handled by User Gro	Handled by User	Valid to Date	Notify
		0/0	<u>∩</u> ∦ Q	<b>q</b> Q 15	0 X - 1					
🗟 Meta Da	ta	Report	<i>,</i> ⊅ Aı	ıdit						
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If you have enabled Snapshot in System options under Match Action Display Profile Image, you will also be presented with the Data Entity Snapshot Difference report. Which shows you if any details have changed in the data from when it was flagged.

Matc	h Discounted	Match	n Flagged	AVM Match Dis	scounted 👎 /	WM Match Flagged	S Exclusion URL	Reports	
	t Name 🛛 🕴	Middle Name	Entity ID	Match Date	Gen Date	Handled by User Gro	Handled by User	Valid to Date	N
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The "Audit" tab of the Match Discounted and Flagged screens allow the users to view the audit history of a Discount or Flag record and associated Match Potential that existed before the record was actioned

Client	Entity Search 🗶 🤤	WILSON X				-							
🖨 Det	ais 🗰 Match D	iscounted 📃 🖪	Match Flacored	Reports									
Match Di	scounted	int Name	Midde Name	Festilev ID	Match Date	Gen Date	Handler	the User Group	Hardled by	liver	Valid to Date	Notity	
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WILSON		BRIAN	ALFRED SAMUEL	969451	12/02/2020	29/07/2019	Jersey N	Monitor Users	Administrat	or	31/12/2099	Yes	-11
WILSON		BRIAN	ARTHUR	1789887	11/03/2020	29/07/2019	Jersey N	Monitor Users	Administrat	or	31/12/2099	No	
WILSON	. I	BRIAN	w.	3019509	06/03/2020	29/07/2019	Jersey N	Monitor Users	Administrat	or	31/12/2099	No	
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WILSON	1 1	BRIAN		4719788	12/02/2020	29/07/2019	Jersey N	Monitor Users	Administrat	or	31/12/2099	Yes	
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Type	Transaction Date	Client		Client Entity ID	VF Reference	Client Last Name		Client First Name		Client Middle	Name	Entity ID	Ent
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Navigation: Home > Client Entity > Search > Entity > Match Flagged/Discounted > Audit

#### Reports

The reports screen shows all the reports that can be run for the Client Entity. Refer to the <u>Reporting</u> section for more information regarding the reports available in RiskScreen.

Navigation: Home > Client Entity > Search > Entity > Reports

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Report	ts												
Name				Descript	ion								
Client Entity	y Detail Report			Contain	s Client Entity	/ detail info	rmation						
Client Entity	y Match Discounted	Report		Contain	s Client Entity	match disc	ounted item	ns between s	pecified date				Run Report
Client Entity	y Match Flagged Re	port		Contain	s Client Entity	/ match flag	ged items b	etween speci	ified dates				
Client Entity	y Search History Rep	ort		Contain	s Client Entity	/ Audit data	and Search	History data					
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# **Managing Client Entities**

## Add

Client entities are added using the Add screen in the client entity section. Once you have completed all the appropriate fields click the "tick mark" in the top left of the working area. You can find more information on the fields in the <u>Client Entities Properties</u> section.

Navigation: Home > Client Entity > Add

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Search Search	AliA Static Static Add Static Static Search Delete	Monitor WhiteList	Search Polling	
Client X O Client	Entity Search 🗶 🎯 AGA KHAN 🗙	Client Entity Add	rouny cing rouning	
Client Last Name	Default	Business Unit	Default	
First Name Middle Name Gender Country 1	Any Date		Interface Reference	
Country 2 Country 3 Criteria	Unknown Unknown Default - Person		Risk Unclassified V Handled by User Group Administration V Handled by User None V	
Adverse Media Criteria - Customise Adverse Media AVM Country	Disable Criteria Use AVM Criteria		AVM Date Range Use AVM Criteria	
Additional Terms AND Additional Terms OR Exclude Terms				
Custom Text 1 Custom Text 2				
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## Update

The Update screen allows you to update Client Entities and run interactive screening for the entity:

- Details
- Discounted Matches
- Flagged Matches



The Update screen will show the default Client Entity search screen, use the screen to find the Client Entity you want to update and open it by:

- Selecting the Client Entity in the result list and clicking on the "tick mark" in the top left of the screen.
- Double Click the Client Entity in the result list.

*Navigation: Home > Client Entity > Update* 

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Added Discovered												
Last Name	First Name	Middle Name	Entity ID	Match Date	Gen Dute	Handled by User Gro	Handled by User	Valid to Date	Notity			
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WILSON	BRIAN		4719766	12/02/2020	29/07/2019	Jersey Monitor Us	Administrator	31/12/2099	**			
WESON	BRIAN	JOHN	11421382	12/02/2020	29/07/2019	Jeruey Monitor Us	Administrator	31/12/2099	*			
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Once you have made the desired changes to the Client Entity confirm the changes by clicking the "tick mark" in the top left of the working area. You can find more information on the fields in the <u>Client Entities Properties</u> section.

*Navigation: Home > Client Entity > Update > Details* 

			RiskScreen		
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inere bars ID bars	Client Entity	Match	Adverse Media Notify Org	Paling	
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Details Matc	h Discounted	<ul> <li>Match Flagged IIII AVM Ma</li> </ul>	atch Discounted 🏴 AVM Ma	atch Flagged 🔊 Exclusion	N URL
Client	Jersey Head Office			Client Entity ID	1240
Last Name	SMITH				
First Name	JOHN				
Middle Name	CLARLES				1
Gender	Male	Date Date	15/04/1987	Interface Reference	NK123
Country 1	United Kingdom			Status	Active 🗵
Country 2	India			Risk	Medium 🗵
Country 3	Portugal			Handled by User Group	Administration
Criteria	Default - Person			Handled by User	None 💌
Adverse Media Criteria	Default Criteria		E	]	
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Additional Terms AND	Ose AVM Criteria		M	AVM Date Kange	Ose AVM Criteria
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You can update Discounted or Flagged matches but clicking on their respective tabs. The toolbar above this list of tabs allows you to do the following:

$\checkmark$	Confirm the changes to the Client Entity.
<u></u>	Interactively screen the Client Entity.
8	Swap the Discounted Match for a Flagged Match or the opposite.
Ш	Delete the Flagged or Discounted Match.
	Delete Client Match Potentials
$\times$	Close the Client entity and go back to the search screen.

*Navigation: Home > Client Entity > Update > Match Discounted* 

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Match Discounted -									
Last Name	First Name	Middle Name	Entity ID	Match Date	Gen Date	Handled by User Gro	Handled by User	Valiet to Date	Nickly
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WILSON	BRIAN	ALFRED SAM	969451	12/02/2020	29/07/2019	Jersey Monitor Us	Administrator	31/12/2099	Yes
WILSON	BRIAN	w.	3019509	06/03/2020	29/07/2019	Jercey Monitor Us	Administrator	31/12/2099	No
WILSON	BELAN		4719766	12/02/2020	29/07/2019	Jersey Monitor Us	Administrator	31/12/2099	100
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Navigation: Home > Client Entity > Update > Match Flagged

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Pada Calegory Dere Merce Dece		2 1441		12 Martin				
Courty Mela Data		_	_	_				

From the update screen you are also able to delete match potentials whereby you can remove outstanding potential matches until the next batch run by highlighting the match potential and clicking the button in the toolbar next to the bin icon. This will delete match potentials from the Potentials screen.

VERSION: 2.3.4717.1



## Delete

The Delete screen allows you to delete Client Entities from RiskScreen. When you open the Delete screen you will be shown the normal Client Entity Search screen to find the entity you want to delete.

Once you have completed your search and found the entity you want to delete select it in the results window and click the "tick mark" in the top left of the work area. You will be asked to confirm the deletion of the Client Entity, once you confirm the Client Entity will be deleted **permanently**.

Navigation: Home > Client Entity > Update > Delete



## **Interactive Screening**

Client entities can be screened interactively from the <u>Entity Update</u> screen. The interactive screening is identical to the normal overnight screening but is significantly less performant.

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# Match Potentials

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

The Match Potential screen shows you a list of your Client Entities that have been screened and found to potentially match an Entity in the Dow or Worldcheck Data.

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Searc Name [	h Se Data ID	arch Data	Search Clie	<ul> <li>Add</li> <li>Upda</li> <li>Delet</li> <li>nt Entity</li> </ul>	te Potential	Monitor W Match	/hiteList Search Adverse	Potential	Search Notify Chg	Connected 🖌	
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Client		Jersey H	Head Offic	:e			✓ User Group	All User Gr	oups	✓ User	•
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1			~	20	29/07/2019	ZR5197	1196		EDV	WARDS	LIAM
1			~	20	29/07/2019	ZR5173	1172		JON	NES	CAMERON
1			~	20	29/07/2019	ZR5156	1155		LEW	vis	DOMINIC
			~	20	29/07/2019	ZR5020	1019		PAT	EL	IQBAL
			~	20	29/07/2019	ZR5109	1108		ROE	BERTS	IAN
1			~	20	29/07/2019	ZR5126	1125		ROE	BINSON	JASON
				20	0100100	705014	1017		11/1	TIALIC	
22 Mat	th Potential II	ems									

*Navigation: Home > Match > Potential* 

You can refine the results on the screen by specifying:

### Client

This will restrict the results to Client Entities that fall under only the selected <u>Client</u>. Only clients you are authorised to will appear in the list.

### User Group

This will restrict the results to Client Entities that are "Handled by" the selected User Group.

#### User

This will restrict the results to Client Entities that are "Handled by" the selected User. \*You must select the User Group first if you want to restrict to only a specific User.



You can get more information on the columns that contain ticks by clicking on the "Light Bulb" next to the user dropdown.

器 Match Poten	tial 🗙												
1 2 0	¥ X												
Client	Jersey Head Office		User	<u>Column PTY</u>									
Match Potential PTY DCM	рм см ни	8 Dute	Interface Ref E	Priority of the Match Potentials - Reflects customer risk rating. Values range from 0 to 9 and are defined on the Static Risk screen for each risk classification. When the Match Potential is being generated for a Client Entity record the associated risk priority is used.		Middle Name	SAN	PEP	WBL	RA.			
				Column DCM									
				Date and Country Match. One or more Match Potential records exist that have both Date and Country Matches. The colour of the indicator denotes the following and reflects the best match condition out of the items held.									
				🛫 The Date is an Exact Match									
				The Date has a matching Month and Year									
				The Date has a matching Year									
				The Date has a matching Day and Month.									
				Column DM									
				Date Match. One or more Match Potential records exist that have a Date Match. The colour of the indicator denotes the same as the above and reflects the best match condition out of the items held.									
				Column CM									
				Country Match. One or more Match Potential records exist that have a Country Match.									
				Column HM8									
				Highest Meta Bump. The highest meta bump value that exists within the underlying Match Potential records. Meta bumps are defined on the Criteria screen and are assigned to Match Potentials based on matching meta data.									
0 Match Potential Te	ms												
	_	_		-			_						
15:34 22/12/	2021 Caps: O Nu	um:  Ready		Nikt/RiskScreen	ADMIN	D Ins: O Sert	O Poll in - 22		_	<u> </u>			

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

To open the Match screen for a Client Entity:

- Select the Client Entity in the result list and click on the "tick mark" in the top left of the screen.
- Double Click the Client Entity in the result list.

You can sort the Match Potentials based on any column by clicking on the column header, clicking the header again will reverse the sort order. The following table provides useful information on each of the columns shown in the Match Potential screen.

You can also export your match potentials data by clicking on the cross symbol next to the refresh button. This will export all of your match potential data to an excel spreadsheet.

Column	Information
PTY	Priority for the <u>Risk Classification</u> assigned to the client entity.
DCM	<ul> <li>One or more of the match potentials has a date and country match.</li> <li>The colour of the tick denotes the following for the best match for the client entity.</li> <li>Red – date is an exact match.</li> <li>Orange – date matches on month and year.</li> <li>Blue – date matches on year.</li> <li>White – date matches on day and month.</li> </ul>
DM	<ul> <li>One or more of the match potentials has a date match.</li> <li>The colour of the tick denotes the following for the best match for the client entity.</li> <li>Red – date is an exact match.</li> <li>Orange – date matches on month and year.</li> <li>Blue – date matches on year.</li> <li>White – date matches on day and month.</li> </ul>
CM	One or more of the match potentials has a country match.



Column	Information
НМВ	Highest Meta Bump reflects the likelihood that a match will be
	flagged (this is an absolute value not a probability).
Date	The earliest match potential date from the list of match potentials.
Interface Ref	Client reference of the client entity.
Entity ID	RiskScreen ID of the client entity.
Matches	Number of match potentials for the client entity.
Last Name	Client Entity Last Name.
First Name	Client Entity First Name.
Middle Name	Client Entity Middle Name.
Dow Jones	
SAN	Number of matches that are classified as Sanctioned.
PEP	Number of matches that are classified as Politically Exposed Person.
WBL	Number of matches that are classified as Watchlist or Blacklisted.
RCA	Number of matches that are classified as Relative or Close
	Associate.
AVM	Number of matches that are classified as Adverse Media for entities
OTH	Number of matches that are classified as SO, SOE, Board member or
	Other.
UNK	Number of matches that are classified as SIE, SIP or Unknown.
Worldcheck	
SAN	Number of matches that are classified as Sanctioned.
PEP	Number of matches that are classified as Politically Exposed Person.
WBL	Number of matches that are classified as Watchlist or Blacklisted.
RCA	Number of matches that are classified as Relative or Close
	Associate.
AVM	Number of matches that are classified as Adverse Media.
OTH	Number of matches that are classified as SOE, SIE, Military,
	Corporate, Political or Religious organisation, Trade Union, Special
	Jurisdiction Diplomat, Website or Other.
UNK	Number of matches that are classified as SIE, Internal Watchlist
	Unknown.
Days OS	Shows the number of days the oldest match potential for the client
	entity has been outstanding.
Handled by User	User the match potentials are currently assigned to. Other non-
	supervisor users will not be able to open the match potential record
	while another user is handling it.
Handled by User Group	User Group the match potential record is assigned to.

## **Dealing with Match Potentials**

You can view all the Match Potentials for a Client Entity by:

- Selecting the Client Entity from the list and click on the "tick mark" in the top left of the screen.
- Double Click the Client Entity in the list.

The match screen shown below will list all the Dow or Woldcheck entities that may correspond to the client entity with some additional information on the data that was used to make the match.



The top portion of the screen shows a list of Match Potentials that have not been dealt with. The bottom portion of the screen will change based on the tab selected. The 3 tabs allow you to:

### 1. Client Entity

• Shows the <u>Client Entity Enquiry</u> screen

		<b>)</b> <del>,</del>	ATA	STATIC	SYSTEM		RiskScro	en				_ =	x
S	earch Se me Data ID	earch	Search Clier	+ Add Update Delete t Entity	A D Totential	Monitor Match	ist Search Potent	al Search	Connected g Pollir	V			
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And the second se	<ul> <li>Details</li> <li>Client</li> <li>Last Name</li> <li>First Name</li> <li>Middle Name</li> </ul>		Match Di Jers PUT VLA	iscounted ey Head Offic IN IXMIR	P Match	Flagged	Reports		Client Entity I	D	1064 2R5085		1
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State of the second sec	Details Details Client Last Name First Name Middle Name Gender Country 1		Match Di Jers PUT Mal Rus	iscounted ley Head Offic IIN IDIMIR le sia	Match #	Flagged Nate	Reports		Client Entity I Interface Refe Status Riak	D	2R5005 Active High		Î
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### 2. Data Entity

 Shows the <u>Data Entity Enquiry</u> screen for the Dow/Worldcheck Entity for the selected match potential

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🗄 Match Potenti	al 🗙														
✓   £   X															
Match		Bulk Ma	atch												
Match Potential															
Date	Entity IC	)	Ave JCB	Last Name		F	irst Name		Middle	Name	Date Ma	tch	Country N	latch	Meta Bump
13/08/2018	98141		100.00%	PUTIN			LADIMIR		VLADI	MIROVICH	Yes		Yes		
16/08/2018	170352		100.00%	PUTIN		۷	LADIMIR		spirid	ONOVICH			Yes		25
😇 Client Enti	ty	🗱 Data E	intity	🖇 Action											
🗱 Details 🔵	<b>4</b> 4 A	lias 😑	🕈 Country (	Date	• 📮	Relationship	• •	dentity	📕 G	eneral 😑	Ø∂ Links	•	🖻 Note (		Reports
Last Name		PUTIN										Entity	ID	98141	
First Name		VLADIMIR							Entity	Туре	Person	ı			
Middle Name		VLADIMIR	очісн									Action	Date	22-Jun	r-2018
Full Name		VLADIMIR	VLADIMIROVI	CH PUTIN								Gende	r	Male	
Title				Suffix			Deo	eased	ľ	No		Status		Active	
Data Classificati	ion	Is PEP	Yes	Is RCA	No	ls WBL	No	ls SA	N	No	Is AVM	N	lo	Is UNK	No
Description —		_											_		
Description1				1	Description	2				Descrip	ption3				
Politically Expo	osed Pers	ion (PEP)													

## 3. Action

 $\circ$   $\;$  Allows you to Discount or Flag the selected match

Match potentials can be individually flagged or discounted on the Action tab. To discount or flag a match, complete the information on the Action tab and click the "tick mark" in the top right of the screen to confirm the match.

🗄 Match Potential 🗙								
Match	📩 Bulk Match							
Match Potential		<b>6</b> 1 1 1		F		<b>B</b> · • • • •		
Date Entity 15/02/2018 9814	1D Ave J 1 100.0	CB Last Name XXX PLITIN	,	First Name VLADIMIR	Middle Name	Date Match	Country Mi	ss
15/02/2018 1703	52 100.0	XXX PUTIN		VLADIMIR	SPIRIDONOVICH	Hes	Yes	25
Client Entity	🏶 Data Entity	Action					_	
Client	Jersey Head Offic	e						
Client Entity Name	VLADIMIR PUTIN					Client Entity I	D 30	0700076
Data Entity Name	VLADIMIR VLADI	MIROVICH PUTIN				Entity ID	98	3141
Reson		med one match recor	i so toe naggeol					
Actions	Flag this potent	ial match as relevant	with your documente	d findings.				
Match Category	Relevant Not Acc	eptable - High Risk Pl	EP					
Valid to Date	31/12/2099	<ul> <li>Today</li> </ul>	Notify	Yes	2			
Field	Information							
--	--							
Reason Mandatory	Reason for the action selected.							
Actions Mandatory	<ul> <li>Select the action you wish to perform on the match</li> <li>Save the reason entered and leave the potential match outstanding.</li> <li>Discount this potential match as not being relevant.</li> <li>Flag this potential match as relevant with your documented findings.</li> </ul>							
Match Category Mandatory	Select the category for the match. Refer to the <u>Match Category</u> section for more information.							
Valid to Date Mandatory Default (31/12/2099)	Enter the date on which the match discount/flag will expire. Once expired the match may appear in the Match Potential screen.							
Notify Mandatory	Yes – RiskScreen will <u>notify</u> the Handling User Group if the Dow Jones/Worldcheck data changes in subsequent updates. No – RiskScreen will take no action if Data changes on the matched Entity.							

### **Bulk Match**

Bulk Match allows you to discount or flag matches in bulk for Client Entities that have many match potentials.

- 1. For each match tick either the Disc or Flag box to indicate which matches need to be discounted or flagged.
- Complete the additional information at the bottom of the screen for Discounted matches (Left)
  - a. All the matches selected for discounting will be discounted with the same information.
- Complete the additional information at the bottom of the screen for Flagged matches (Right)

   All matches selected for flagging will be flagged with the same information.
- 4. Confirm the discounts and flags by clicking the "tick mark" at the top left of the screen.
- 5. The Meta Data section will highlight in orange if the Dow data matches the Client entity data.

Refer to the <u>Action</u> section for information regarding the additional information fields.

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BB Match Pote	ntial 🗙									
<b> </b> √ £ >	۲.,									
Matc	h 📩 Bulk N	Aatch								
-Bulk Match -										
Disc Flag	Last Name	First Name	Middle Name	SAN PEP	WBL RCA	AVM	UNK	Date Match	Country Match	Meta Bump
	PUTIN	VLADIMIR	VLADIMIROV	Yes		_		Yes	Yes	55
	PUTIN	VLADIMIR	SPIRIDONOV		Yes				Yes	25
<u> </u>										
Meta Data —									Curta	
Late	07 Oct 1952								Gender	Male
Country	Citizenship : Russia	Jurisdiction : Russ	ia   Resident of : Rus	sia						
Client										
Country 1	Russia							Date	07/10/1952	
Country 2	Unknown							Risk	High	
Country 3	Unknown							Gender	Male	
Discount -					- Flag					
Reason					Reason					
						_				
Match Categ	ory Please Select		M		Match Categ	ory Pk	ease Select			
Valid to Date	31/12/2099	<ul> <li>Toda</li> </ul>	y Notify	Yes 👻	Valid to Date	31,	/12/2099	▼ Te	iday Notify	Yes 👻

Navigation: Home > Match > Potential > Client Entity > Bulk Match

# Adverse Media Potential Matches

Once RiskScreen has screened your Client Entities against Adverse media, it will generate a list of Potential Matches between your Client Entities and Adverse media information if using the Live AVM Module. You will need to go through the list of Potential Matches and either Discount them as false positives or Flag them as a correctly matched Entity.

Field	Information
Client	This is the Client that the Client Entity falls under.
Last Name	Last name of entity or person screened
First Name	First name of entity or person screened
Middle Name	Middle name of entity or person screened
Date	Date of AVM Screening
Entity ID	This is the RiskScreen identifier for the Client Entity.
Interface Reference	To facilitate the matching of external system references to the associated RiskScreen Client Entity the Interface Reference is used. Typically, you would use a unique customer reference such as a
	client number or account number for this purpose.

Field	Information
Matches	Number of AVM potential Matches
Handled by User Group	User Group that will be responsible for this client.
Handled by User	User that will be responsible for this client. Notes: You can leave this blank to allow anyone in the User Group to take ownership of this client.

Listed tools allows you to perform below actions:



Confirm records



Assign User



View Entity Details



Settings to Customised AVM Criteria and Exclusion URL



Add Exclusion URL or Client Entity



Close the Window

	× 🗆 .	Ŧ						RiskScreen						- x
	HOME	DATA	STATIC	SYSTEM										
			Add			•—								
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22/12/2021				INVINES										
22/12/2021	2015076			IENIDIALIAH			MORAMED						Arrary Flandler Users	
22/12/2021	285048	1160	15 1	IENNETT ILACKETONE TRADE LIME	nep.		NICHOLAS				1 7 Adv	restrator	Arrary Handler Users	
22/12/2021	285005	1004		IORIAND			ANDREW		DAMD				Arsey Handler Users	
22/12/2021				IROWN									Aersey Handler Users	
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22/12/2021	285118	1117	17 1	ROWNING			IAN						Jersey Handler Users	
22/12/2021				IENANT										
22/12/2021	ZR5199	1198		INTLER			SYDNEY				•		Arrory Handler Users	
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#### Navigation: Home > Adverse Media > Potential

# **Change Notifications**

Whenever a Dow Jones or Worldcheck entity that has a discounted or flagged match with Notify turned on is updated as part of the daily Dow Jones/Worldcheck data update RiskScreen will send a notification email to the following users:

- The user that made the flag or discount
- Supervisors of the Group the client entity is assigned to

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

- Classification
- Name
- Date
- Address
- Country

VERSION: 2.3.4717.1

76



# Notify Change Search

The Notify Chg Search allows you to search and clearly see what has been changed on a Dow Jones/Worldcheck record.

	* 🗆	Ŧ					Ris	kScreen			
	HOME	DATA	STATIC	SYSTEM							
Search	<b>= :</b> Search	Search	<ul><li>✤ Add</li><li>⋧ Update</li><li>➢ Delete</li></ul>	▲ ● ★ ■ Potential	Monitor	<b>W</b> hiteList	Search	▲ ● ★ ■ Potential	Search	Connected	<b>⊘</b>
Name Dat	ta ID Data	Clie	nt Entity		Match		Advers	e Media	Notify Chg	Polling	

The screen allows you to view past and present Notification Change events which are searchable by Client, BU, From and To dates.

Notify Cham	ige 🗙						
Client Jersey Head Of	fice	Business Unit		From Date	To Date	Snapshot	search
Feed Date	Interface Ref	Client Entity ID	Last Name	First Name		Data Entity ID	Name
13/10/2022			BULAEV	NIKOLAY		98366	NIKOLAY IVANOVICH BULAEV
13/10/2022	DT08	1264	BULGAKOV	DMITRY		533670	DMITRY VITALIEVICH BULGAKOV
13/10/2022	DT06	1262	CHAUDHARY	SIB		531532	SIB PRASAD CHAUDHARY
13/10/2022	DT11	1267	GOOGLE			853318	GOOGLE LIMITED LIABILITY COMPA
13/10/2022	DT01	1257	GREF	GERMAN		98156	GERMAN OSKAROVICH GREF
13/10/2022	DT10	1266	KOREA MINING DEVELOPMENT T	R		757689	KOREA MINING DEVELOPMENT TR/

Search for Notification Change events by setting the search criteria to refine the search results.

#### **Field Information**

Search Client	Notification Change events under this <u>Client</u>
Search Business Unit	Notification Change events under this Business Unit
From Date	Start Date of search
To Date	End date of search

Snapshot	What happens when you double click on a search hit.
Difference (Starts With)	Difference
	<ul> <li>Difference Report is launched.</li> </ul>
	This is the difference report between the Profile pre
	change and the Profile post change which is stored
	against the Notification Change record. This is
	different to the enquiry screen in RiskScreen which
	compares the Profile at point of match to the most
	recent Profile record. This will always retain the
	Profile data (pre and post) at the point that the
	Notification Change event occurred
	• After
	• After Reporting is launched.
	Before
	• Before Reporting is launched.
	• All
	<ul> <li>Launches all three above reports when double</li> </ul>
	clicking on a search hit.

## Annotated some of the symbols in the difference report to provide meaning below:

11.0	ciun	
∕∕ ⊶	Identifier	757689
<u>∽</u> → 🦄	Action Date	15-Sep-2022
ذ •→	Action Date	12-Oct-2022
Address	es Befo	re Image Indicator
→ 🗙	Line	Botonggang District
★ ←0	City	Pyongyang
★ ←0	Country	North Korea
Sanctior	ns Delete li	ndicator
i •	Name	Central Bank of Russia Special Economic Measures List
🖉 ⊷	To Month	
<u>∕</u> ⊶	To Month	Sep
	To Year	
Ø •→	To Year	2022

# Managing Existing Matches

You can update Discounted or Flagged matches but clicking on their respective tabs. The toolbar above this list of tabs allows you to do the following:

V
<u>II</u>

Π

Confirm the changes to the Client Entity.

Interactively screen the Client Entity.

Swap the Discounted Match for a Flagged Match or the opposite.

Delete the Flagged or Discounted Match.

Close the Client entity and go back to the search screen.

## Discounted

To see all existing discounted matches for a Client Entity:

- 1. Open the update screen for the client entity
- 2. Go to the Match Discounted tab

To Update a discounted match

- 1. Select the match you want to update from the list
- 2. Update the fields as required
  - a. Reason
  - b. Category
  - c. Valid to Date
  - d. Notify
- 3. Click the "tick mark" to confirm the update

To Delete a discounted match

- 1. Select the match you want to update from the list
- 2. Click delete in the top left of the working area (dustbin icon)

To Swap it to a flagged match

- 1. Select the match you want to update from the list
- 2. Click swap in the top left of the working area (mask icon)
- 3. Select the Match Flagged category
- 4. Click Ok

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Navigation: Home > Client Entity > Update > [Select Client Entity] > Match Discounted

HOME       DATA       STATIC       SYSTEM         Search       Search <t< th=""></t<>
Search Search   Search Otherta   Data Deterta   Match Adverse Media   Poling     Clent Entity Update     Clent Entity Update     Match     Adverse Media   Poling   Clent Entity Update     Match   Poling   Clent Entity Update     Match   Poling   Clent Entity Update     Match   Poling   Clent Entity Update   Poling   Clent Entity Update   Poling   Clent Entity Update   Poling   Clent Entity Update   Poling    Poling   Clent Entity Update   Poling    Poling   Clent Entity Update   Poling    Polin
Name Data D Data Clent Entry Match Adverse Media Poling  Clent Entry Update  Clent Ent
Image: Second and the second and th
Image: Solution of the soluti
C Details  Match Discounted  Match Flagged  AVM Match Discounted  AVM Match Flagged  C Details  C
Client chity iD 1240
Lat Name SMITH
First Name JOHN
Middle Name CLARLES
Gender Male Date 15/04/1967 C Interface Reference NK123
Country 1 United Kingdom Status Active
Country 2 India Risk Medium
Country 3 Portugal Handled by User Group Administration
Criteria Default - Person Handled by User None
Adverse Media Criteria Default Criteria
Customie Adverse Model Offena
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## Match Flagged

To see all existing flagged matches for a Client Entity:

- 3. Open the update screen for the client entity
- 4. Go to the Match Flagged tab

To Update a flagged match

- 4. Select the match you want to update from the list
- 5. Update the fields as required
  - a. Reason
  - b. Category
  - c. Valid to Date
  - d. Notify
- 6. Click the "tick mark" to confirm the update

To Delete a flagged match

- 3. Select the match you want to update from the list
- 4. Click delete in the top left of the working area (dustbin icon)

To Swap it to a discounted match

- 5. Select the match you want to update from the list
- 6. Click swap in the top left of the working area (mask icon)
- 7. Select the Match Discounted category
- 8. Click Ok

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Navigation: Home > Client Entity > Update > [Select Client Entity] > Match Flagged

# Match Category

# Discounted

To improve input efficiency and assist with meaningful reporting Match Discount Categories provide a mechanism to create a set list of reasons a match potential is discounted that users can select from instead of manually typing them in.

#### **Properties**

Property	Information
Name	Name of the match discount category.
Description	Description of the match discount category.
Identifier	System allocated identifier which cannot be changed.
Require Reason	Options
	• No
	<ul> <li>User will not be required to supply a reason when discounting a match.</li> </ul>
	• Yes
	<ul> <li>User will be required to supply a reason when discounting a match.</li> </ul>
Grouping	Allows you to group the match discount categories.

#### Enquiry

The top portion of the screen will show a list of Match Discount Categories while the bottom portion will show the properties of the selected category.

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Navigation: Static > Match Category > Discounted > View

# Add

Confirm the creation by clicking the "tick" in the top left of the working area.

A Discount Category needs to be linked to a client before it can be used to discount matches for the client's client entities. You can link a Match Discount Category to a client on the <u>Link</u> screen.

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Navigation: Static > Match Category > Discounted > Add

#### Delete

Select the category you want to delete, confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.



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Navigation: Static > Match Category > Discounted > Delete

### Update

Confirm the update by clicking the "tick" in the top left of the working area.

Navigation: Static > Match Category > Discounted > Update

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#### Link

Linking a Match Discount Category to a client allows you to discount matches with the category for client entities that fall under that client.

#### Linking a match discount category

1. Select the match discount category from the list in the top section of the screen

- 2. Select the client you wish to link the match discount category to from the list of "Available Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the right
- 4. The client name should now appear in the list of "Linked Clients" (bottom right)

Navigation: Static > Match Category > Discounted > Link

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#### Unlinking a match discount category

- 1. Select the match discount category from the list in the top section of the screen
- 2. Select the client you wish to unlink the match discount category from in the list of "Linked Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the left
- 4. The client name should now appear in the list of "Available Clients" (bottom right)

Navigation: Static > Match Category > Discounted > Link

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VERSION: 2.3.4717.1

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# Flagged

To improve input efficiency and assist with meaningful reporting Match Flagged Categories provide a mechanism to create a set list of reasons a match potential is flagged that users can select from instead of manually typing them in.

#### **Properties**

Property	Information
Name	Name of the match flagged category.
Description	Description of the match flagged category.
Identifier	System allocated identifier which cannot be changed.
Require Reason	Options
	<ul> <li>No         <ul> <li>User will not be required to supply a reason when flagging a match.</li> </ul> </li> <li>Yes         <ul> <li>User will be required to supply a reason when flagging a match.</li> </ul> </li> </ul>
Grouping	Allows you to group the match discount categories.

### Enquiry

The top portion of the screen will show a list of Match Flagged Categories while the bottom portion will show the properties of the selected category.

Navigation: Static > Match Category > Flagged > Enquiry

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#### Add

Confirm the creation by clicking the "tick" in the top left of the working area.

A Flagged Category needs to be linked to a client before it can be used to flag matches for the client's client entities. You can link a Match Flag Category to a client on the <u>Link</u> screen.

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Navigation: Static > Match Category > Flagged > Add

#### Delete

Select the category you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

Navigation: Static > Match Category > Flagged > Delete

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Relevant Acceptable - Generic	Relevant Acceptable - Generic
Relevant Acceptable - Related Close Assoc	Relevant Acceptable - Related Close Assoc
Relevant Acceptable - Standard Risk PEP	Relevant Acceptable - Standard Risk PEP
Relevant Not Acceptable - Country Risk	Relevant Not Acceptable - Country Risk
Relevant Not Acceptable - Generic	Relevant Not Acceptable - Generic
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When deleting a Category any Client links that exist are automatically removed from the system.	
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#### Update

Confirm the update by clicking the "tick" in the top left of the working area.

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Navigation: Static > Match Category > Flagged > Update

#### Link

Linking a Match Flagged Category to a client allows you to flag matches with the category for client entities that fall under that client.

#### Linking a flag discount category

- 1. Select the match flag category from the list in the top section of the screen
- 2. Select the client you wish to link the match flag category to from the list of "Available Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the right
- 4. The client name should now appear in the list of "Linked Clients" (bottom right)

Navigation: Static > Match Category > Flagged > Link

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Relevant Acceptable - Standard Risk PEP	Relevant Acceptable - Standard Risk PEP
Relevant Not Acceptable - Country Risk	Relevant Not Acceptable - Country Risk
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VERSION: 2.3.4717.1

#### Unlinking a flag discount category

- 1. Select the match flag category from the list in the top section of the screen
- 2. Select the client you wish to unlink the flag discount category from in the list of "Linked Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the left
- 4. The client name should now appear in the list of "Available Clients" (bottom right)

Navigation: Static > Match Category > Flagged > Link

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# Monitor

You can get summary statistics of all the match potentials for a client by opening the match monitor screen and selecting the Widgets tab. The charts on the screen will show the number of match potentials of each type for the client and user group selected

Navigation: Home > Match > Monitor > Widgets



**KYC**360



You can refine the summary statistics by selecting appropriate values from the dropdowns on the screen:

- Client
  - Restricts summary statistics to Client Entities from a specific <u>Client</u> only or All Authorised Clients.
- Business Unit
  - Restricts summary statistics to a specific <u>Business Unit</u> and <u>Client</u>.
- User Group

•

- Restricts summary statistics to Client Entities "Handled by" a specific <u>User Group</u> only.
- Filter by Risk Priority
  - Restricts summary statistics to Client Entities that have a specific <u>Risk Priority</u> only.

You can modify the Chart at the top of the screen by moving the "Start" and "End" sliders.

**KYC**360

# **Risk Classifications**

Risk Classifications are assigned to client entities based on their level of expected risk. The <u>Match</u> <u>Potential</u> screen is sorted by the priority of the Risk Classification assigned to the client entity (PTY column).

## Properties

Field	Information
Name	Name of the Risk Classification.
Description	Description of the Risk Classification.
Identifier	System allocated identifier which cannot be changed.
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.

# Managing Risk Classifications

## Enquiry

You can view all existing Risk Classifications on the enquiry screen.

#### Navigation: Static > Definitions > Risk > View

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### Add

Confirm the creation by clicking the "tick" in the top left of the working area.

A risk classification needs to be linked to a client before it can be assigned to the client's client entities. You can link a risk classification to a client on the <u>Link</u> screen.

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#### Navigation: Static > Definitions > Risk > Add

# Delete

Select the risk classification you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

Navigation: Static > Definitions > Risk > Delete

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## Update

Update the fields as required and confirm the update by clicking the "tick" in the top left of the working area.

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Medium						Medium Risk Classification			2
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Navigation: Static > Definitions > Risk > Update

## Link

Linking a risk classification to a client allows you to classify client entities that fall under that client.

Linking a risk classification

- 1. Select the risk classification from the list in the top section of the screen
- 2. Select the client you wish to link the risk classification to from the list of "Available Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the right
- 4. The client name should now appear in the list of "Linked Clients" (bottom right)

Unlinking a risk classification

- 1. Select the risk classification from the list in the top section of the screen
- 2. Select the client you wish to unlink the risk classification from in the list of "Linked Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the left
- 4. The client name should now appear in the list of "Available Clients" (bottom right)

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Navigation: Static > Definitions > Risk > Link

# Criteria

Criteria define the parameters used by the batch engine when a client entity is screened. Each client entity is assigned a criteria when it is created.

# **Properties**

Field	Information
Name	Name of the Criteria.
Description	Description of the Criteria.
Identifier	System allocated identifier which cannot be changed.
Entity Type	The entity type determines which Dow/ Worldcheck 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/Worldcheck Data.
	Options:
	Person
	Entity
	• All
	% to use as the Last Name Jaro Bias. Refer to the Understanding
Last Name Match %	RiskScreen Search section for more information on what these
	numbers mean.
	% to use as the First Name Jaro Bias. Refer to the <u>Understanding</u>
	RiskScreen Search section for more information on what these
First Name Match %	numbers mean.
	*Recults that have no first name will ignore this restriction
	% to use as the Middle Name Jaro Bias. Refer to the Understanding
	RiskScreen Search section for more information on what these
Middle Name Match %	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	Sets whether match potentials will be generated when no Middle
Records	Name is present in the search.

Field	Information
Exact Date Match	Sets whether match potentials are <b>only</b> generated when an exact date match is present.
Exclude Date No Match	This field allows you to decide if you wish to discount matches that do not have a date match in the system
	If the number of years between the Client Entity Date and Dow/Worldcheck Entity Date is larger than this number no match potential will be generated.
Exclude Year Range Default: 0	A value of 5 would give you a 10-year radius reflecting 5 years either side of the date.
	<ul> <li>Notes:</li> <li>Only checks against Date of Birth/Incorporation records for the Dow/Worldcheck entity.</li> <li>If either or both client entity and Dow/Worldcheck entity have no Date this value is ignored.</li> </ul>
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 <b>entire</b> date matches the search date.
Bump Date MM YY Match Default: 20	Increases Meta Bump by the amount set if the month <b>and</b> year matches the search date.
Bump Date YY Match Default: 10	Increases Meta Bump by the amount set if <b>only</b> the year matches the search date.
Bump Date DD MM Match Default: 5	Increases Meta Bump by the amount set if the day <b>and</b> month matches the search date.
Bump Country Match Default: 25	Increases Meta Bump by the amount set if the country matches one of the search countries.
	If none of the countries in the Client Entity match the countries in the Dow/Worldcheck entity no match potential will be generated.
Exclude Ctry No Match Default: Yes	Notes: If either or both client entity and Dow/Worldcheck entity have no Country this value is ignored.
No Match Include PEP Default: Yes No Match Include SAN	These settings allow you to turn country filtering off for the various lists.
No Match Include WBL Default: Yes	Yes – Country filtering will be applied to the list. No – Country filtering will not be applied to the list.

## **Managing Criteria**

You can view and manage criteria from the **Criteria** screen. The top portion of the screen will show a list of the existing criteria in RiskScreen while the bottom portion of the screen will show the settings for the currently selected criteria.

Navigation: Static > Definitions > Criteria > View



## Add

The Add tab allows you to create new Criteria. Complete the fields and confirm the creation by clicking the "tick" in the top left of the working area. Refer to the <u>Search Criteria Properties</u> section for more information on each of the fields.

Navigation: Static > Definitions > Criteria > Add

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Default - Entity Medium Risk			Default - Entity Medium R	ak	4
Default - Person			Default - Person		1
Default - Person High Risk			Default - Person High Risk		5
Default - Person Medium Risk			Default - Person Medium i		3
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Description					
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Search AVM	Yes Search OTH	Yes Search UNK	Yes Vinclude Blank Middle N	ames Yes	
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A search criteria needs to be linked to a client before it can be used to screen the client's client entities. You can link a search criteria to a client on the <u>Link</u> screen.

### Delete

The Delete tab allows you to delete existing Criteria. Select the Search Criteria you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

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Default - Entity Medium Risk	Default - Entity Medium Risk 4	
Default - Person	Default - Person 1	
Default - Person High Risk	Default - Person High Risk 5	
Default - Person Medium Risk	Default - Person Medium Risk 3	
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*Navigation: Static > Definitions > Criteria > Delete* 

# Update

The Update tab allows you to update existing Criteria. Select the Search Criteria you want to update, change the fields as required and confirm the update by clicking the "tick" in the top left of the

working area. For further information on 'Exclude Country No Match' and 'No Match Include SAN, PEP & WBL' you can click the lightbulb option on the bottom right hand side of the screen.

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Default - Entity Medium Risk			Def	ault - Entity Medium Risk				4
Default - Person			Def	ault - Person				1
Default - Person High Risk			Def	ault - Person High Risk				5
Default - Person Medium Risk			Def	ault - Person Medium Risk				3
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Last Name Match %	95 First Name Match %	90 Middle Name Match %	60	Reverse Search	No V			
Search PEP	No Search RCA	Yes Search WBL	Yes V	Search SAN	Yes V			
Search AVM	Yes Search OTH	Yes Search UNK	Yes V	Include Blank Middle Names	Yes			
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Rump Date Match	20 Burno Date MM VV Match	20 Bump Date VY Match	10	Bump Date DD MM Match				
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Navigation: Static > Definitions > Criteria > Update

### Link

Linking a criteria to a client allows you to use the criteria to screen client entities that fall under that client.

Linking a criteria

- 1. Select the criteria from the list in the top section of the screen
- 2. Select the client you wish to link the criteria to from the list of "Available Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the right
- 4. The client name should now appear in the list of "Linked Clients" (bottom right)

Unlinking a criteria

- 1. Select the criteria from the list in the top section of the screen
- 2. Select the client you wish to unlink the criteria from in the list of "Linked Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the left
- 4. The client name should now appear in the list of "Available Clients" (bottom right)

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Navigation: Static > Definitions > Criteria > Link

# Adverse Media Definition (AVM)

Navigation: Static > AVM Definition



# **AVM Criteria**

You can view and manage AVM criteria from the **Criteria** screen. The top portion of the screen will show a list of the existing criteria in RiskScreen while the bottom portion of the screen will show the settings for the currently selected criteria.

#### **Properties**

Field	Information
Name	Name of Criteria
Identifier	Identifier remains constant
Description	Description of Criteria
Search Engine Group	Name of search engine group
Term Group	Name of Term Group
Date Range	Date Range
AVM Frequency in Days	No of days
Search Term Option	Searching term
Identifier Description Search Engine Group Term Group Date Range AVM Frequency in Days Search Term Option	Identifier remains constant Description of Criteria Name of search engine group Name of Term Group Date Range No of days Searching term

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Navigation: Static > AVM Definition > Criteria > View

# Add

The Add tab allows you to create new AVM Criteria. Complete the fields and confirm the creation by clicking the "tick" in the top left of the working area.

Navigation: Static > AVM Definition> Criteria > Add

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Criteria Risk Client Discounted Flagged Engine Term Criteria Discounted Flagged		
Definitions Match Category AVM Definition AVM Match Category		
4 Adverse Media Processing Run X Starm X R AVM Match Category Flagged X AVM Match Category I	Discounted 🗙 😵 Engine Setting 🗙 🖪 AVM Criteria 🗶	
Criteria 🔊 Exclusion URL		
Name *	Description	ID
Default Criteria	Default Criteria	1000
Name	Term Group V	
Description		
Search Engine Group Default Search Engine Group Date Range All	Country All	
AVM Frequency In Days 1 Search Term Option LastName 🗸		
🗋 View 🚺 Add 😡 Delete 🔞 Update 🕫 Link		

### Delete

The Delete tab allows you to delete existing AVM Criteria. Select the Search Criteria you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

Navigation: Static > Definitions > Criteria > Delete

	RiskScreen	_ s X
HOME DATA STATIC SYSTEM		
Criteria         Risk         Cilent         Discounted         Flagged         Sering         Criteria         Criteria         Discounted         Flagged         AVM Definition         AVM Match Category		
📕 AVM Match Category Flagged 🗶 🎬 AVM Match Category Discounted 🗶 😵 Engine Setting 🗶 🖏 Adverse Mi	edia Search 🗙 🖏 AVM Criteria 🗙	
Criteria 🔊 Exclusion URL		
Name *	Description	ID .
Default Criteria	Default Criteria	1000
Name Defend Causia		
Delete		
When deleting a Criteria any Client links that exist are automatically removed from the system.		
🗋 View 🖬 Add 🚺 Delete 🕼 Update 🛷 Link		
14:38 29/12/2021 Caps: O Num: • Ready	🗮 Nikitt/RiskScreen 🌲 ADMIN D Ins: O Scri: O Poll in - 0	

#### Update

The Update tab allows you to update existing AVM Criteria. Select the Search Criteria you want to update, change the fields as required and confirm the update by clicking the "tick" in the top left of the working area.

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HOME DATA	STATIC SYSTEM		
Criteria Risk Clie	nt Discounted Flagged Engine Term Criteria Match Category AVM Definition	Discounted Flagged AVM Match Category	
AVM Match Category Flag	ged 🗙 🎬 AVM Match Category Discounted 🗙 😵 Engine Sett	ng 🗙 🕰 Adverse Media Search 🗶 🧏 AVM Criteria 🗶	
🔍 Criteria 🔗 Exclus	ion URL		
Name 🖛		Description	a
Default Criteria			1000
Name	Default Criteria	kientifer 1000	
Description	Default Criteria	Term Group Default Term Group	
Search Engine Group	Default Search Engine Group 🔽 Date Range All	Country All	
AVM Frequency In Days	T Search Term Option LastName a	nd MiddleNlame 🛛	
14:40 29/12/2021 Caps	: O Num: • Ready	🚍 Nikit\RiskScreen 🔒 A	DMIN D Ins: O Scrt: O Poll in - 22

Navigation: Static > AVM Definition > Criteria > Update

VERSION: 2.3.4717.1

### Link

Linking a criterion to a client allows you to use the criteria to screen client entities that fall under that client.

Linking a criteria

- 5. Select the criteria from the list in the top section of the screen
- 6. Select the client you wish to link the criteria to from the list of "Available Clients" (bottom left)
- 7. Click the button with the three arrows pointing to the right
- 8. The client's name should now appear in the list of "Linked Clients" (bottom right)

Unlinking a criteria

- 5. Select the criteria from the list in the top section of the screen
- 6. Select the client you wish to unlink the criteria from in the list of "Linked Clients" (bottom left)
- 7. Click the button with the three arrows pointing to the left
- 8. The client's name should now appear in the list of "Available Clients" (bottom right)

Navigation: Static > AVM Definitions > Criteria > Link

	* 🗆									Risk	Screen						_ s X
-	HOME	DATA	STATIC	SYSTEM													
Criteri	Risk Definition:	Image: Client	Discounted Match C	Flagged ategory	Engine Setting	Term	Criteria	Discounted AVM Mate	Flagged								
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# **Exclusion URL**

AVM Exclusion term will allow to exclude specific URL/Terms that helps user to find more close results.

Conditions:

- 1. The URL should not contain http:// or https:// as both variants are automatically checked
- The URL matches from the left so <u>www.abc.co</u> would exclude <u>www.abc.co.uk</u> and <u>www.abc.com</u>
- 3. The URL exclude any results starting with the value specified.

Navigation: Static > AVM Definitions > Exclusion URL

	RiskScreen 🗕 🖝 🗶
HOME DATA STATIC SYSTEM	
Criteria         Construction         Construction <th></th>	
🟲 AVM Match Category Flagged 🗶 🎬 AVM Match Category Discounted 🗶 😵 Engine Setting 🗶 🛱 Adverse Media Search	X AVM Criteria X
🖡 Criteria 🔊 Exclusion URL	
Criteria 🕶 URL	
Default Criteria www.faceb	ook.co
URL www.facebook.co Identifier 100	
AVM Criteria Default Criteria	
The URL should not contain http:// or https:// as both variants are automatically checked.	
The URL matches from the left so www.abc.co would exclude www.abc.co.uk and www.abc.com.	
The URL excludes any results starting with the value specified.	
🗋 View 🕢 Add 🕢 Delete 🙆 Update	
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# **AVM Term**

AVM Term section allows user to View, Add, Delete and Update Search terms. Default search terms are:

Money laundering, terrorism, tax evasion, illegal, fraud, scandal, crime, criminal, sanctions, laundered, laundering, corrupt, corruption, bribe, bribery, bribed, prosecution, prosecuted, prosecution, sanctioned, OFAC, elected, investigation, investigated, minister, defendant, blacklist, leader, arms, bearer share, drug

User can include or exclude terms based on their requirements.

#### Properties

Field	Information
Name	Name of Search Term
Terms	Default search terms
Identifier	Identifier



Navigation: Static > AVM Definition > Term>Term Set >View

# Add

The Add tab allows you to create new AVM Term. Complete the fields and confirm the creation by clicking the "tick" in the top left of the working area.

Navigation: Static > AVM Definition> Term > Add



### Delete

The Delete tab allows you to delete existing AVM Term. Select the Term you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

Navigation: Static > Definitions > Term > Delete

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номе da	TA STATIC SYSTEM				
Criteria Risk C	Image: Second control         Image: Second contro         Image: Second contro         <	scounted Flagged			
	Match Category AVM Definition A	VM Match Category			
🏶 Term 🗙					
<ul> <li>✓ ×</li> </ul>					
🗐 Terms Set 🛛 😫 1	ferm Group				
Name		Terms			
Default Search Terms		money la	undering, terrorism, tax evasion, illegal, fraud, scanda	al, crime, criminal, sanctions, laundered, laundering, corrupt, co	orruption, bribe, bri
Name	Default Search Terms	Identifier 200			
Delete Terms Set					
	When deleting a Terms Set any Term Group or Criteria links that exist are au	itomatically removed from the system.			
L View D	Add G Delete & Update				
	- 1 1		-		· · ·
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### Update

The Update tab allows you to update existing AVM Term. Select the Term you want to update, Include, or exclude terms and confirm the update by clicking the "tick" in the top left of the working area.

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Navigation: Static > AVM Definition > Term > Update

# **AVM Term Group**

AVM Term Group allow to View, Add, Delete and Update Term Group

## **Properties**

Field	Information
Name	Name of Search Term Group
Description	Description of Search Term Group
Identifier	Identifier

#### Navigation: Static > AVM Definition > Term > Term Group

· · · ·		RiskScreen	_ s X
HOME DATA STATIC SYS			
Criteria Risk Client Discounted Hago	ed Engine ierm Criteria Discounted Hagged		
♣ Term ×			
Terms Set Ferm Group			
Name *		Description	
Default Term Group		Default Term Group	
			- 1
Name Default Term Group	Identifier 100		
Description Default Term Group			
🗋 View 🔒 Add 🕼 Delete	Dupdate Ø Link		

# Add

The Add tab allows you to create new AVM Term Group. Complete the fields and confirm the creation by clicking the "tick" in the top left of the working area.

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-	HOME	DATA	STATIC SYSTE	м									
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	×												
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Defa	ult Term Group							Default Term Group					
	_										_	_	
Nam		Def	ault Term Group			Identifier	100						
Desc	ription	Def	ault Term Group										
	View	🖬 Add	Delete	Update	Ø2 Link								
			Nume Danate					= .	• • • • • • • • •	D In O			

Navigation: Static > AVM Definition> Term > Term Group> Add

# Delete

The Delete tab allows you to delete existing AVM Term Group. Select the Term Group you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

* • •		RiskScreen	_ # X
	A STATIC SYSTEM		
Criteria Risk Clie	ent Discounted Flagged Setting Match Category XMM Definition AVM Match Category		
🏶 Term 🗙			
I <b>√</b>   <b>X</b> ,			
🗐 Terms Set 🛛 🕸 Te	rm Group		
Name 👻		Description	
Default Term Group		Default Term Group	
I			
Name	Default Term Group Identifier 1	100	
Description	Default Term Group		
View Ac	dd 🔽 Delete 🙆 Update 🧇 Link		
09:37 30/12/2021 Cap	s: O Num: • Ready	🗏 Nikit\RiskScreen 🏦 ADMIN D Ins: O Scrit O Poll	in - 5

*Navigation: Static > Definitions > Term > Term Group > Delete* 

# Update

The Update tab allows you to update existing AVM Term Group. Select the Term Group you want to update and confirm the update by clicking the "tick" in the top left of the working area.

Navigation: Static > AVM Definition > Term > Term Group > Update

											RiskScro	een									_ # ×
-	HOME	DATA	STATIC																		
Criteria	Risk	(Îient	Discounted	Flagged	Engine Setting	Term	Criteria	••• Discounted	Flagged												
	Definitions		Match Ca	tegory	4	WM Definitio		AVM Match	n Category												
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		_																			
٥	liew	🖬 Add	Delet	te 🙆	Update	Ø Lir	ık														
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# Link

Link tab allows you to link search terms to specific Term Group.

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DATA

NOME
DATA

Store
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Not Decoded

*Navigation: Static > AVM Definition > Term > Term Group > Link* 


# **AVM Engine Setting**

AVM Engine setting allows user to View, Add, Delete and Update Search engine for Adverse Media.

### **Properties**

Field	Information
Name	Name of Search engine
Description	Description Type
Identifier	Identifier
API Name	Name of API
API URL	API link
API Key	АРІ Кеу
Search Engine Type	Type of Search Engine

Navigation: Static > AVM Definition > Engine setting > Search Engine Configuration

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HOME DATA STATIC SYSTEM			
Criteria Risk Client Discounted Flagged Settin	Term Criteria Discounted Flagged		
Definitions Match Category	AVM Definition AVM Match Category		
🕸 Term 🗙 😵 Engine Setting 🗙			
IV X.			
ᆂ Search Engine Configuration 📃 📥 Search Engine Group			
Name *		Description	
Bing News		Bing News	
Bing Web		Bing Web	
Google Web Search		Google Web Search	
Google Web Search 2		Google Web Search 2	
Google Web Search 3		Google Web Search 3	
Google Web Search 4		Google Web Search 4	
Name Bing News	Ider	er 2001	
Description Bing News			
Api Name Ocp-Apim-Subscription-Key	Api Url https://api.cognitive.microsoft.com/	g/v7.0/news/	
Api Key e7fa1fdb5c114cbdb18e8d3cdf337c5f		Engine Type Bing News	
View Add & Delete & Updat			
00-E2 20/13/2021 Carry O Nurry O Bardy			

### Add

The Add tab allows you to create new AVM search engine. Complete the fields and confirm the creation by clicking the "tick" in the top left of the working area.

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HOME DATA	STATIC SYSTEM					
<b>A</b> 🕲	- <del>7</del> 0	191 V. 111 V				
Criteria Risk Client	Discounted Flagged Engine	Term Criteria Discounted Fla	gged			
	Match Category A	AVM Definition AVM Match Cat				
Term X Yo Engine Setting	×					
Search Engine Configuration	Search Engine Group					
Name 🔻			Description			
Bing News			Bing News			
Bing Web			Bing Web			
Google Web Search			Google Web Search			
Google Web Search 2			Google Web Search 2			
Google Web Search 3			Google Web Search 3			
Google Web Search 4			Google Web Search 4			
Name						
Description						
Api Name		Api Url				
Api Key			Search Engine Type Google			
C View Add	🛛 Delete 🛛 🙆 Update					
	x					
10:03 30/12/2021 Caps: O	Num: Ready		Nikit\B	iskScreen 🔒 ADMIN	D Ins: O Scri: O Poll in -	18

Navigation: Static > AVM Definition > Engine setting > Search Engine Configuration > Add

### Delete

The Delete tab allows you to delete existing Search Engine configuration. Select the configuration you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

*Navigation: Static > AVM Definition > Engine setting > Search Engine Configuration > Delete* 

		RiskScreen	- # X
HOME DATA	STATIC SYSTEM		
Criteria Risk Client D	Viscounted Flagged Engine Term Criteria Discounted Flagged		
	Setting		
Definitions	Match Category AVM Definition AVM Match Category		
🕸 Term 🗙 😵 Engine Setting 🗙			
VX.			
▲ Search Engine Configuration	▲ Search Engine Group		
Name 👻		Description	
Bing News		Bing News	
Bing Web		Bing Web	
Google Web Search		Google Web Search	
Google Web Search 2		Google Web Search 2	
Google Web Search 3		Google Web Search 3	
Google Web Search 4		Google Web Search 4	
Name	Bing News Identifier 2001		
Delete Search Engine Configuration			
When deleting a Search Engine Conf	iguration any Search Engine Group or Criteria links that exist are automatically removed from the system.		
	A patra A Undate		
🗋 View 🔒 Add	Delete Delete		

### Update

The Update tab allows you to update existing Search Engine configuration. Select the configuration you want to update and confirm the update by clicking the "tick" in the top left of the working area.

*Navigation: Static > AVM Definition > Engine setting > Search Engine Configuration > Update* 

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HOME DATA	STATIC SYSTEM					
Criteria Risk Clien	t Discounted Flagged Engine	Term Criteria	Flagged			
Definitions	Match Category AV	VM Definition AVM Match 0	Category			
🏶 Term 🗶 😵 Engine Sett	ting 🗙					
I✓ X .						
Search Engine Configuration	on 👤 Search Engine Group					
Name 👻			D	escription		
Bing News			E	ing News		
Bing Web			e	ing Web		
Google Web Search				oogle Web Search		
Google Web Search 2				oogle Web Search 2		
Google Web Search 3				oogle Web Search 3		
Google Web Search 4				oogle Web Search 4		
Name	Bing News		Identifier	2001		
Description	Bing News					
Api Name	Ocp-Apim-Subscription-Key	Api Url https://api.cognitive.rr	icrosoft.com/bing/v7.0/news/			
Api Key	e7fa1fdb5c114cbdb18e8d3cdf337c5f		Search Engine Type	Bing News		
			_			
C View 6 Add	Delete					
	La opuace					

## AVM Search Engine Group

AVM Search Engine Group allow to View, Add, Delete and Update Search Engine Group

### **Properties**

Field	Information
Name	Name of Search engine Group
Description	Description Type
Identifier	Identifier
Google Result Size	Size
Bing Web Size	Size
Bing News Result Size	Size

Navigation: Static > AVM Definition > Engine setting > Search Engine Group > View

* □ *		RiskScreen	_ s x
HOME DA	FA STATIC SYSTEM		
Criteria Risk Cl	Image: Second control         Image: Second contrecond control         Image: Second control </td <td>Discounted Flagged</td> <td></td>	Discounted Flagged	
Definitions	Match Category AVM Definition	AVM Match Category	
😫 Term 🗙 😵 Engine S	ietting 🗙		
IVX.			
📥 Search Engine Configur	ation 上 Search Engine Group		
Name 🔻		Description	
Default Search Engine Grou	ap	Default Search	h Engine Group
L			
Name	Default Search Engine Group	Identifier 500	
Description	Default Search Engine Group		
Google Result Size	5 Bing Web Result Size 5	Bing News Result Size 5	
View 6 #	dd 🗽 Delete 🕑 Update 🕫 Link		
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### Add

The Add tab allows you to create new Search Engine Group. Complete the fields and confirm the creation by clicking the "tick" in the top left of the working area.

Navigation: Static > AVM Definition > Engine setting > Search Engine Group > Add

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HOME DATA STATIC SYSTEM	
Criteria         Cilent         Discounted         Ragged           Definitions         Match Category         AVM Definition         AVM Date	
🛊 Term 🗙 🗣 Engine Setting 🗙	
Search Engine Configuration     Search Engine Group	
Name 🕶	Description
Default Search Engine Group	Default Search Engine Group
Name Description Google Result Size S Bing Web Result Size S	
C View Add Delete Ø Update Ø Link	
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### Delete

The Delete tab allows you to delete existing Search Engine Group. Select the Group you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

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HOME DATA	STATIC SYSTEM					
Criteria Risk Client I	Discounted Flagged Engine Sectory Term Criteria Disc	Dunted Flagged				
Definitions	AVM Definition AVM	n Match Category				
🔹 Term 🗙 😵 Engine Setting 🎗	l					
. ✓ X						
Search Engine Configuration	± Search Engine Group					
Name 🖛			scription			
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Delete Search Engine Group						
When deleting a Search Engine Gros	up any Search Engine Configuration or Criteria links that exist are auto	matically removed from the system.				
	p any ocares engine consignation of enterio sino that exist are auto					
🗋 View 🔂 Add	🗴 Delete 🙆 Update 🛷 Link					
	-					
10:19 30/12/2021 Caps: O	Num:  Ready		Nikit\RiskScreen	🚨 ADMIN 🛛 🛛	Ins: O Scrt: O Poll in - 9	·`

*Navigation: Static > AVM Definition > Engine setting > Search Engine Group > Delete* 

## Update

The Update tab allows you to update existing Search Engine Group. Select the Group you want to update and confirm the update by clicking the "tick" in the top left of the working area.

Navigation: Static > AVM Definition > Engine setting > Search Engine Group > Update

× □ ;	RiskScreen 🗕 🕫 🗶
HOME DATA SYSTEM	
Risk         Other         Match Category         Match Category         Match Category	
Term X % Engine Setting X	
Search Engine Configuration     Search Engine Group	
Name 🔻	Description
Default Search Engine Group	Default Search Engine Group
Name Default Search Engine Group Identifier 500	
Description Default Search Engine Group	
Google Result Size 5 v Bing Web Result Size 5 v Bing News Result Size 5	
	_
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### Link

Link tab allows you to link Search Engine Configuration to specific Search Engine Group.

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Navigation: Static > AVM Definition > Engine setting > Search Engine Group > Link

# **AVM Match Category**

## Discounted

To improve input efficiency and assist with meaningful reporting Match Discount Categories provide a mechanism to create a set list of reasons a match potential is discounted that users can select from instead of manually typing them in.

#### **Properties**

Property	Information
Name	Name of the AVM match discount category.
Description	Description of the AVM match discount category.
Identifier	System allocated identifier which cannot be changed.
Require Reason	Options
	<ul> <li>No         <ul> <li>User will not be required to supply a reason when discounting AVM match.</li> </ul> </li> </ul>
	<ul> <li>res         <ul> <li>User will be required to supply a reason when discounting AVM match.</li> </ul> </li> </ul>
Grouping	Allows you to group the match discount categories.

## Enquiry

Allows user to View, Add, Delete and Update AVM Match Discounted Category.

The top portion of the screen (Highlighted) will show a list of AVM Match Discount Categories while the bottom portion will show the properties of the selected category.



Navigation: Static > AVM Match Category > Discounted > View

#### Add

Allows user to add new AVM Discounted Category. Discounted Category can be used by user to update their action on any AVM potential match.

Navigation: Static > AVM Match Category > Discounted > Add

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MARKAC Category Discounted     Image *     Description     Attack not related to the searched individual     Other     Unable to determine but discounted anyway, not relevant     Unable to determine if the Article relates to the searched individual     Name     Description     Require Reason     No     Require Reason     Require Reason <td>Criteria Rak Client Discounted Ragged Engine Term Criteria Discounted Ragged Advances Adva Math</td> <td>Flagged</td>	Criteria Rak Client Discounted Ragged Engine Term Criteria Discounted Ragged Advances Adva Math	Flagged
Multic Leigny Decounted		
Name   Description   Ancie not related to the searched individual   Other   Unable to determine but discounted anyway, not relevant     Unable to determine if the Anticle relates to the searched individual     Name   Description   Require fleason     No     Coupling     No     Require fleason     Require fleason <td>WM Match Category Discounted</td> <td></td>	WM Match Category Discounted	
Here *       Description         Article not related to the searched individual       Article not related individual         Other       -         Unable to determine but discounted asyssey, not relevant       Unable to determine if the Article relates to the searched individual         Name		
Antice for leasesched individual     Other     Unable to determine but discounted anyway, not relevant.     Unable to determine if the Article relates to the searched individual     Name     Description     Require Reason     No     Grouping     No     Sciouping     No     No     Sciouping     No     No     Sciouping     No     No     Sciouping     No     Sciouping     No     Sciouping	Name 🔻	Description
Other Other   Unable to determine but discounted anyway, not relevant   Unable to determine if the Antide relates to the searched individual     Name   Description   Require Reason   No     Require Reason     No     No	Article not related to the searched individual	Article not related to the searched individual
Unable to determine but discounted anyway, not relevant Unable to determine if the Article relates to the searched individual          Hame	Other	Other
Name	Unable to determine but discounted anyway, not relevant	Unable to determine if the Article relates to the searched individual
Name  Description Require Reason No Grouping 0 Require Scrape No Grouping		
Require Reason No Grouping 0 Require Scrape No C	Name	
Decaylaran Require Reason No 🖌 Girouping O Require Scrape No 🖌		
inequire neadon No o Grouping 0 inequire scrape No o		
	Require Reason No Grouping 0 Require Scrape	No
C View 🙆 Add 🖉 Delete 🙆 Update 🛷 Link	C) View G Add G Delete G Update 40 Link	
	11/26 20/12/2021 Cana Num Bandu	

#### Delete

Allows user to delete existing AVM Discounted Category. Select the category you want to delete, confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

Navigation: Static > AVM Match Category > Discounted >Delete

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-	HOME	DATA	STATIC SY											
Criteria	Risk Definitions	Openation     Client	Discounted Flag	gged Engine Setting	Term	Criteria	Discounted Flagged							
		- D'	. 💌											
AVM	Match Catego	ory Discounte												
	< .													
Name 🤊							Description							
Article r	iot related to t	he searched ir	idividual				Article not i	related to the searched individu	4					
Other							Other							
Unable	Insuble to determine but discounted anyway, not relevant Unable to determine if the Article relates to the searched individual													
Name		Artic	le not related to the	e searched individu	al		Identifier	1						
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	When deleting a Category any Client links that exist are automatically removed from the system.													
1 v	ew I	Add	🗴 Delete	🙆 Update	Ø2 Link									
11:29	30/12/2021	Caps: O	Num: Read	lv.					Nikit\RiskScreen		D Ins O	Sert: O	Poll in - 6	

# Update

Allows user to Update existing AVM Discounted Category. Confirm the update by clicking the "tick" in the top left of the working area.



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Image: Criteria         Image: Cri	Flagged Category
III AVM Match Category Discounted 🗙	
Name *	Description
Article not related to the searched individual	Article not related to the searched individual
Other	Other
Unable to determine but discounted anyway, not relevant	Unable to determine if the Article relates to the searched individual
Name Article not related to the searched individual	låentifier 1
Description Article not related to the searched individual	
Require Reason No Grouping 1 Require Scrape	No 🗑
🗋 View 🙆 Add 🔂 Delete 🙆 Update 🛷 Link	
11/20 20/32/2021 Care Nume Basely	ADUN Distance ADUN D Inc. Cost O Datin 16

Navigation: Static > AVM Match Category > Discounted > Update

### Link

Linking AVM Match Discount Category to a client allows you to discount matches with the category for client entities that fall under that client.

Linking a match discount category

- 5. Select the AVM match discount category from the list in the top section of the screen
- 6. Select the client you wish to link the match discount category to from the list of "Available Clients" (bottom left)
- 7. Click the button with the three arrows pointing to the right
- 8. The client's name should now appear in the list of "Linked Clients" (bottom right)

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Navigation: Static > AVM Match Category > Discounted > Link

#### Unlinking a match discount category

- 5. Select the AVM match discount category from the list in the top section of the screen
- 6. Select the client you wish to unlink the match discount category from in the list of "Linked Clients" (bottom left)
- 7. Click the button with the three arrows pointing to the left
- 8. The client name should now appear in the list of "Available Clients" (bottom right)

Navigation: Static > AVM Match Category > Discounted > Link

	* 🗆										RiskScr	en							_ # X
-	HOME	DATA	STATIC	SYSTEM															
Criteria	Risk Definition	Client s	Discounted Match C	Flagged ategory	Engine Setting	Term AVM Definitio	Criteria	Discounted	Flagged h Category										
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	×																		
Name	- <u>-</u>								Dergrintio										
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Other									Other										
Unable	to determine	but discounte	d anyway, not	relevant					Unable to	determine	if the Article rela	tes to the searched individu							
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Availa	ble Clients —											Linked Clients							
Name												Name 🔻							
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VERSION: 2.3.4717.1



# Flagged

To improve input efficiency and assist with meaningful reporting AVM Match Flagged Categories provide a mechanism to create a set list of reasons a match potential is flagged that users can select from instead of manually typing them in.

#### **Properties**

Property	Information
Name	Name of the AVM match flagged category.
Description	Description of the AVM match flagged category.
Identifier	System allocated identifier which cannot be changed.
Require Reason	Options
	• No
	<ul> <li>User will not be required to supply a reason when</li> </ul>
	flagging a match.
	• Yes
	<ul> <li>User will be required to supply a reason when</li> </ul>
	flagging a match.
Grouping	Allows you to group the match discount categories.

### Enquiry

Allows user to View, Add, Delete and Update AVM Match Category Flag. The top portion of the screen will show a list of all AVM Match Flagged Categories while the bottom portion will show the properties of the selected category.

						RiskScreen				 • ×
номе рат	A STATIC	SYSTEM								
Criteria Risk Cliv Definitions	ent Discounted F	Flagged Engine Setting	Term Cr	iteria Discounted	Flagged Category					
👎 AVM Match Category Fla	gged 🗙									
[ <b>√</b>   <b>×</b> ],										ר
Name 🔻					Description					
Other					Other					
Relevant Acceptable					Relevant Acceptable					
Relevant NOT Acceptable					Relevant NOT Accepta	able				
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										- 11
Name	Other					Identifier	3			┥
Name Description	Other					Identifier	3			┥
Name Description Require Reason	Other Other Yes Grou	pina	3	Require Scrape	Yes	Identifier	3			
Name Description Require Reason	Other Other Yes Grou	ping	3	Require Scrape	Yes	Identifier	3			
Name Description Require Reason	Other Other Yes Grou	ping	3	Require Scrape	Yes	Identifier	3			
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Name Description Require Reason	Other Other Yes Grou d <b>G</b> Delete	ping Ø Update	3 Ø Link	Require Scrape	Ves	Identifier	3			

Navigation: Static > AVM Match Category > Flagged > View

VERSION: 2.3.4717.1

# **KYC**360

## Add

Allows user to add new AVM Match Category Flagged. Flag Category can be used by user to update their action on any AVM potential match.

	* □									RiskScreen								_ # X
	HOME	DATA	STATIC															
Criteria	Risk	(filent	Discounted	Flagged	Engine Setting	Term (	Criteria Discou	nted Flagged										
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AVN	Match Cate	gory Flagged	×															
	×																	
Name	•							Descript	tion									
Other								Other										
Releva	nt Acceptable							Relevan	nt Acceptable									
Releva	nt NOT Accept	table						Relevan	nt NOT Acceptabl									
Name																		
Descrip																		
Require	e Reason	No	🗸 Grou	uping		0	Require Scrape		No 🔽			_						
۵	/iew	🖬 Add	Delete	🙆 ເ	Jpdate	Ø Link												
11-47	30/12/2021	Come O	Num:	landu							Nikit\DiskScreen		D log	O Sert	0 1	llin 14	-	

Navigation: Static > AVM Match Category > Flagged > Add

#### Delete

Allows user to delete existing AVM Match Category Flag. Select the category you want to delete, confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

A X D	Ŧ					RiskScreen						_ s X
номе	DATA	STATIC SYSTEM										
Criteria Risk Definitio	Client	Discounted Flagged Match Category	Engine Term Setting AVM Defini	Criteria Discou	nted Flagged Match Category							
AVM Match Cat	teoory Flagged	X										
IVX.												
Name 🔻					Description							
Other					Other							
Relevant Acceptab					Relevant Acceptabl	le						
Relevant NOT Acce	eptable				Relevant NOT Acce	eptable						
Name	Oth	er	_		Identifier	3		_				
Delete												
	wh	en deleting a Category an	y Client links that exist ar	e automatically removed	from the system.							
C View	🔂 Add	Delete	Update d≎ L	link								
11:50 30/12/20	21 Caps: O	Num: Ready					Nikit\RiskScreen		D Ins: O	Scrt: O Po	ll in - 10	··

Navigation: Static > AVM Match Category > Flagged > Delete

# Update

Allows user to Update existing AVM Match Category Flag. Confirm the update by clicking the "tick" in the top left of the working area.

Navigation: Static > AVM Match Category > Flagged > Update

· ·		RiskScreen	_ s X
HOME DATA	STATIC SYSTEM		
Criteria Risk Client Definitions	Discounted Flagged Engine Term Ci Setting AvM Definition	eria Discounted Flagged AVM Match Category	
K Match Category Flagged			
Name 🔻		Description	
Relevant Acceptable - Adverse M	tedia	Relevant Acceptable - Adverse Media	
Relevant Acceptable - Domestic	PEP	Relevant Acceptable - Domestic PEP	
Relevant Acceptable - Generic		Relevant Acceptable - Generic	
Relevant Acceptable - Related Cl	ose Assoc	Relevant Acceptable - Related Close Assoc	· · · · · · · · · · · · · · · · · · ·
Relevant Acceptable - Standard F	Risk PEP	Relevant Acceptable - Standard Risk PEP	
Relevant Not Acceptable - Count	try Risk	Relevant Not Acceptable - Country Risk	
Relevant Not Acceptable - Gener	nc	Relevant Not Acceptable - Generic	
Name	elevant Acceptable - Adverse Media	Identifier 5	
Description	elevant Acceptable - Adverse Media		
Require Reason N	No Grouping 1		
🖒 View 🔓 Add	🖌 Delete 🛛 Update 🛷 Link		
20:32 22/12/2021 Caps: C	🔾 Num: 🔍 Ready	🗏 Nikit\RiskScreen 🛛 🚨 ADMIN 🔲 Ins: 🔾	Scrt: O Poll in - 19

#### Link

Linking AVM Match Flagged Category to a client allows you to flag matches with the category for client entities that fall under that client.

#### Linking a flag discount category

- 5. Select the AVM match flag category from the list in the top section of the screen
- 6. Select the client you wish to link the match flag category to from the list of "Available Clients" (bottom left)
- 7. Click the button with the three arrows pointing to the right
- 8. The client's name should now appear in the list of "Linked Clients" (bottom right)

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<b>_</b>	номе	DATA	STATIC	SYSTEM													
Criteria	Risk Definitions	Official     Client	Discounted Match Ca	Flagged	Engine Setting	Term	Criteria	Discounted	Flagged Category								
	Match Catego	ry Flagged	×														
×	۲.,																
Name 🔻									Description								
Other									Other								
Relevant	Acceptable								Relevant Acc	eptable							
Relevant	NOT Acceptat								Relevant NO	T Acceptable							
Available	e Clients		_	_			_				∼ ∠ Linked Clients			_	_		
Name T	<b>~</b>										Name 👻						
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#### Navigation: Static > AVM Match Category > Flagged > Link

#### Unlinking a flag discount category

- 5. Select the AVM match flag category from the list in the top section of the screen
- 6. Select the client you wish to unlink the flag discount category from in the list of "Linked Clients" (bottom left)
- 7. Click the button with the three arrows pointing to the left
- 8. The client's name should now appear in the list of "Available Clients" (bottom right)



Navigation: Static > AVM Match Category > Flagged > Link

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# **Batch Run**

Batch run can be configured to update Client Entity and Processing Runs. It always Downloads and Updates Dow/Worldcheck data when running as part of a batch.

**Process Summary** 

- 1. Download most recent Dow Jones/Worldcheck Entity File
- 2. Import the Dow Jones/Worldcheck Entity File
- 3. Import Client Entity Data (based on the "Client Import Enabled" option)
- 4. Screen all Client Entities

#### **Batch Run Options**

The following <u>options</u> under the "Batch Run Settings" section affect the functioning of a processing run.

Option	Information
Batch Run	
Email Logs	Enables batch run logs to be sent by email.
To Email Address	Email address that batch run logs will be sent to.
Processing Enabled	Sets whether to do a processing run after the Dow/Worldcheck data
	has been updated and the Client Entity import has been run.
Processing Data Loading Threads	Number of threads used to load the data for the processing run.
Processing Name Search Threads	Number of threads used to perform the name searches.
Client Import Enabled	Sets whether to do an automated <u>Client Entity Import</u> using the
	settings below after the Dow/Worldcheck data has been updated.
Client Import File Location	Folder used for automated Client Entity Import.
Client Import File	Filename of file used for automated Client Entity Import.
Client Import Header Rows	Number of header rows in the file need to be excluded from the
to Exclude	import.
Client Import Delimiter	Delimiter used in the file.
Automated Run Only	
Batch Enabled	Enables the automated batch run. Other than being started by the
	system automated batch runs function in the same manner as
	manual batch runs described in the <u>Manual Batch Run</u> section.
Start Time Hours	Hour to start the first automated batch run for the day. Combined
	with Start Time Mins to determine start time.
Start Time Mins	Minutes to start the first automated batch run for the day.
	Combined with Start Time Hours to determine start time.
Frequency Hours	Number of hours between automated batch runs. Combined with
	Frequency Mins to determine batch run interval.
Frequency Mins	Number of minutes between automated batch runs. Combined with
	Frequency Hours to determine batch run interval.

## Automated Batch Run

RiskScreen can be configured to do processing runs on an automated schedule to ensure Client Entities are continuously screened against the most up to date Dow/Worldcheck data. There are two ways of scheduling the automated batch run, through a running instance of the RiskScreen application or by running the batch run console application.

### **RiskScreen Application Instance**

The automated processing requires:

- A running instance of RiskScreen, normally on the dedicated RiskScreen server or any other available server.
- A user with Access to:
  - System > Options (Update)
  - Data > Processing > Run (Menu)
- Folder to import Client Entities from if enabled

Once configured RiskScreen will do a processing run based on the configuration. Each part of the run is logged in their respective logs.

### Automated Batch Run Console Application

RiskScreen comes with a console application that will initiate an automated batch run. You can call the console application from the Windows Task Scheduler. This version of the automated batch run will use the same <u>batch run options</u> as the application instance batch run ignoring the scheduling settings (Start time, Interval & Batch Enabled).

The console application writes a basic log (RiskScreen.BatchRun.log) in the location it is run from to assist debugging. Normal batch run logging will appear in the <u>Logs screen</u> in RiskScreen.

#### **Config File**

The console application uses a configuration file (RiskScreen.BatchRun.exe.config) to initiate the batch run. The following table will provide more information on each of the settings available in the file.

Setting	Information
Application Name	The name of the application using the connection.
Default (RiskScreen)	Up to 128 characters.
Connection Timeout	The length of time (in seconds) to wait for a connection to the
Default (10)	server before terminating the attempt and generating an error.
	Value between 0 and 2147483647
Database Name	The name of the database
Default (RiskScreen)	Up to 128 characters
Encrypt	When true, SQL Server uses SSL encryption for all data sent
Default (false)	between the client and server if the server has a certificate
	installed.
	Value of true or false.
Enlist	When true the SQL Server connection pooler automatically enlists
Default (false)	the connection in the creation thread's current transaction context.
Failover Partner	The name of the failover partner server where database mirroring is
Default ()	configured.
Integrated Security	When false, Server User and Server Password must be specified to
Default (true)	use SQL Server authentication. When true, the current Windows
	account credentials are used for authentication.
	Value of true or false.



Setting	Information
Load Balance Timeout	The Load Balance Timeout is the minimum time for the connection to
Default (0)	live in the pool
Min Pool Size	The minimum number of connections that are allowed in the pool.
Default (0)	
Max Pool Size Default (100)	The maximum number of connections that are allowed in the pool.
Network Library	The network library used to establish a connection to an instance of
Default (dbmslpcn)	SQL Server. Supported values include:
	dbnmpntw (Named Pipes)
	dbmsrpcn (Multiprotocol, Windows RPC)
	dbmsadsn (Apple Talk)
	dbmsgnet (VIA)
	dbmslpcn (Shared Memory)
	dbmsspxn (IPX/SPX)
	abmssoch (TCP/IP)
Dackat Siza	Gomsvinn (Banyan Vines)
Packet Size	Size in bytes of the network packets used to communicate with an
Delault (8000)	Instance of SQL Server.
Persist Security Info	When set to false (strongly recommended), security-sensitive
Default (false)	information such as the password is not returned as part of the
Deraale (raise)	connection if the connection is open or has ever been in an open
	state
	Value of true or false.
Pooling	When the value of this key is set to true, any newly created
Default (true)	connection will be added to the pool when closed by the application.
	In a next attempt to open the same connection, that connection will
	be drawn from the pool.
	Value of true or false.
Server Default ((local))	The name or network address of the instance of SQL Server to which to connect. If a server name is provided and TCP is used then the
	default port number of 1433 is assumed. The port number can be
	specified after the server name if required to be different:
	<servername>,<portnumber></portnumber></servername>
Server Password	Password used for SQL Authentication to connect to the database
Default ()	server.
	The password is saved in an encrypted format, you can find the
	encrypted password currently set for any of the connections you
	have configured by looking at the following registry key:
	HKEY_CURRENT_USER\Software\RiskScreen\Connection\C[0-
	9]\ServerPassword
Server User Default ()	User used to connect to the database server.
	The user is saved in an encrypted format, you can find the
	encrypted user currently set for any of the connections you have
	configured by looking at the following registry key:
	HKEY_CURRENT_USER\Software\RiskScreen\Connection\C[0-
	9]\ServerUser



Setting	Information
Trust Server Certificate Default (false)	When set to true, SSL is used to encrypt the channel when bypassing walking the certificate chain to validate trust. If TrustServerCertificate is set to true and Encrypt is set to false, the channel is not encrypted. Value of true or false.
Log Append Default (false)	Sets whether to append new entries to the existing log or overwrite the existing log.
Culture Default (en-gb)	Currently the only accepted value is en-gb.
Download Minus Days Default (1)	Number of days to subtract from today's date when determining which Dow/Worldcheck daily delta file to download. The default value of 1 will download yesterday's file which is the most current available.
Bypass Download Via HTTPS Default (false)	Bypass the Web Client that downloads the Dow Jones/Worldcheck file via https. Process will look in the ImportFile folder for the expected zip file and process it.
Import User ID Default (100)	RiskScreen User ID under which the batch run will take place. If the user does not exist, the default will be used which is 100 Administrator.
Client Import Enabled Default (true)	The value entered here will override the setting in the Options screen Client Import Enabled. If overriding to True the Client Import File Location, Client Import File, Client Import Header Rows and Client Import Delimiter must be set correctly in the Options screen. Value of true or false.
Batch Processing Enabled Default (true)	The value entered here will override the setting in the Options screen Processing Enabled. Value of true or false.

# Manual Processing Run

Manual processing allows you to return only the screening portion of a processing run (it will not update Client or Dow Entities). Manual processing is run from the screen displayed below. You can start a processing run by clicking the Run icon in the top left of the working area. Once the run has finished it will be added to the processing history.

Navigation: Data > Processing > Run



## **Processing History**

Processing history is shown in the Batch History section of the Run screen. The table below provides some additional information on each of the columns.

#### Navigation: Data > Processing > Run

		RiskScreen		_ # X							
HOME DATA STATIC SYSTEM											
Run Import Run Run Search	F Add 6 Update Map Toolbox Logs Import Atchist General Client Entity										
C Processing Run X											
Options Data Loading Threads Two V Name Search Threads 2											
Batch Progress	Idle										
Batch History											
Start Date End Date	Client	Searches	Client Entity Matches	Total Data Matches SAN							
09/02/2018 09:25:03 09/02/2018 09:25:03	Singapore Office	11	0	0							
09/02/2018 09:25:02 09/02/2018 09:25:03	Swiss Office			0							
09/02/2018 09:24:52 09/02/2018 09:25:02	Jersey Head Office	208		0							
08/02/2018 10:18:44 08/02/2018 10:18:44	Singapore Office			0							
08/02/2018 10:18:43 08/02/2018 10:18:44	Swiss Office			0							
08/02/2018 10:18:31 08/02/2018 10:18:43	Jersey Head Office	208		0							
07/02/2018 12:35:05 07/02/2018 12:35:06	Singapore Office			0							
07/02/2018 12:35:04 07/02/2018 12:35:05	Swiss Office			0							
07/02/2018 12:34:52 07/02/2018 12:35:04	Jersey Head Office	208		0							
07/02/2018 11:21:07 07/02/2018 11:21:07	Singapore Office			0							
07/02/2018 11:21:05 07/02/2018 11:21:06	Swiss Office			0							
07/02/2018 11:20:52 07/02/2018 11:21:05	Jersey Head Office	208		0							
06/02/2018 09:01:30 06/02/2018 09:01:31	Singapore Office			17							
06/02/2018 09:01:29 06/02/2018 09:01:30	Swiss Office			29							
06/02/2018 09:01:18 06/02/2018 09:01:29	Jersey Head Office	208	63	172							
15:07 22/12/2021 Caps: Num: Ready		Nikit\RiskScreen	ADMIN D Ins: O Scrit	O Poll in - 25							

Column	Information
Start Date	Date and time the screening process started.
End Date	Date and time the screening process ended.
Client	The <u>Client</u> who's Client Entities were screened.
Searches	Number of Client Entities screened.
Client Entity Matches	Number of match potentials identified.
Total Data Matches	
SAN Volume	Number of matches that are Sanctioned.
PEP Volume	Number of matches that are Politically Exposed People.
WBL Volume	Number of matches that are on a Special Interest Watch List.
RCA Volume	Number of matches that are Relatives or Close Associates.
AVM Volume	Number of matches that are Adverse Media.
UNK Volume	Number of matches that are Unknown.
Initial Matches	Total matches on name fields only (Last Name, First Name, Middle
	Name)
Disc Multi Match	Discounted multiple matches to the same Dow/Worldcheck Entity.
Disc White List	Discounted whitelisted Dow/Worldcheck Entities.
Disc Date Meta	Discounted due to date disparities.
Disc Ctry Meta	Discounted due to Country disparities.
Disc Existing	Discounted matches that are already Match Potentials, Discounted
	Matches or Flagged Matches.
Disc Total	Number of matches discounted.
DL Threads	Number of threads to use for loading the data for processing.
NS Threads	Number of threads to use for processing the name search.

All processing runs are logged, refer to the <u>Batch Engine Log</u> for more information regarding the logging of processing runs.

# Adverse Media Manual Processing Run

Adverse Media Manual processing allows you to return only the screening portion of a processing run (it will not update Client or Dow Entities). Manual processing is run from the screen displayed below. You can start a processing run by clicking the Run icon in the top left of the working area. Once the run has finished it will be added to the <u>processing history</u>.

Navigation: Data > Adverse Media > Run

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	HOME	DATA	STATIC SYST	TEM							
*	<b>36</b>	茚	茚	• <b>•</b> •	📭 Add	50 <sup>6</sup>	- <del></del> -	<b>1</b>	1		
Run	Import	Run	Run	Search	📌 Update	Мар	Toolbox	Logs	Import		
Batch		Processing	Adverse Media		Watchlist						
🗟 Adve	rse Media Searcl	n 🗙 🕼 Ai	dverse Media Proc	cessing Run	×						
*   :	×.										
Options											
Data Lo	Data Loading Threads Two 🔽 Name Search Threads 2										
Adverse	Media Engine —										
Batch P	rogress				Idle						

## **Processing History**

Processing history is shown in the Batch History section of the Run screen. The table below provides some additional information on each of the columns.

Navigation: Data > Adverse Media > Run

			RiskScreet	1				_ s X				
HOME DATA	STATIC SYSTEM											
Run Import Run Batch Data Source Processing	Run Search Watchlist	Toolbox Logs Imp General Client	ort Entity									
🛱 Adverse Media Search 🗙 🕮 /	Adverse Media Processing Run 🗙											
1× ×												
Options Data Loading Threads Two	Name Search Threads 2											
- Adverse Media Engine - Batch Progress	Idle											
Batch History Start Date End Date	Client	Searches	Client Entity Matches	Total Data Matches	Initial Matches	Disc Multi Match	Disc Existing	Disc Total D				
23/12/2021 11:57:17 23/12/2021	11:57:22 Singapore Office	11	2	3	44	0	41	0				
23/12/2021 11:57:08 23/12/2021	11:57:17 Swiss Office	21	3	3	123	0	120	0				
23/12/2021 11:55:25 23/12/2021	11:57:08 Jersey Head Office				1.612			0				
22/12/2021 20:52:53 22/12/2021	20:52:58 Singapore Office							0				
22/12/2021 20:52:43 22/12/2021	20:52:53 Swiss Office							0				
22/12/2021 20:50:35 22/12/2021	20:52:43 Jersey Head Office							0				
								, ,				
13:25 29/12/2021 Caps: O	Num: • Ready			Nikit\RiskScreen	🚨 ADMIN	D Ins: O Scrit	O Poll in - 21					

### **Properties**

Column	Information
Start Date	Date and time the screening process started.
End Date	Date and time the screening process ended.
Client	The <u>Client</u> who's Client Entities were screened.
Searches	Number of Client Entities screened.
<b>Client Entity Matches</b>	Number of match potentials identified.
Total Data Matches	
Initial Matches	Total matches on name fields only (Last Name, First Name, Middle
	Name)
Disc Multi Match	Discounted multiple matches
Disc Existing	Discounted matches that are already Match Potentials, Discounted
	Matches or Flagged Matches.
Disc Total	Number of matches discounted.
DL Threads	Number of threads to use for loading the data for processing.
NS Threads	Number of threads to use for processing the name search.

# Data

RiskScreen holds 3 main sets of data:

- Dow Jones/Worldcheck Entities
- Client Entities
- Match Potentials

The following sections will describe how this data is imported, updated or generated.

# **Dow Jones/Worldcheck Entities**

Dow/Worldcheck provides their data files in different increments (Daily delta or Full files) each of which can be imported in to RiskScreen to stay up to date.

# **Daily Files**

Navigation: Data > Batch > Run



#### **File Downloads**

Running this process downloads a Dow Jones/Worldcheck Daily file for any day in the last 3 months into the import folder. Below is a list of the settings related to the file download, they can be found in the <u>Options</u> screen in the "Settings" section.

Setting	Information
File Folder Location	Location the Dow/Worldcheck file is downloaded to.
Download URL	URL to download file from.
User Name	User Name to use to access the download.
Password	Password to use to access the download.
File Type	Type of Dow Jones/Worldcheck file to download.
	WBL – PEP and Watch List
	AMe – Adverse Media
	WBL + AME – PEP, Watch List and Adverse Media

#### Setting Information

Verbose Logging No – Default level of logging. Yes –Detailed logging for support.

Verbose logging is only applicable for Incremental files

All file downloads are logged, refer to the <u>Download Log</u> for more information regarding the logging of the download.

#### **Internet Check**

Before attempting to download the Dow/Worldcheck daily delta file RiskScreen will check for a working internet connection by connecting to <u>www.google.com</u>, if the connection fails the update will fail.

This functionality can be configured using the following registry settings:

- Computer\HKEY\_CURRENT\_USER\Software\RiskScreen\Application\InternetCheck

   Sets whether to do the check or not.
- Computer\HKEY\_CURRENT\_USER\Software\RiskScreen\Application\InternetCheckURL

   Specifies the URL used for the internet check.

#### Dow Jones/Worldcheck Import

This process allows you to process the Dow Jones/Worldcheck Daily file currently in the import folder. The settings used for the import are listed above in the File Downloads section.

All Dow Jones/Worldcheck Imports are logged, refer to the <u>Log</u> for more information regarding the logging of the import.

## Manual Import

The manual import allows you to import any valid Dow Jones/Worldcheck File. It is intended for use with Full import files but can under the guidance of the support team be used for incremental files.

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HOME DATA	STATIC SYSTEM											
Run Batch Data Source Processing	Run Search Delete Add	Toolbox Logs Client Entity										
Ne Data Source Import												
Processing Ontions												
Selected Folder C:\Program Files\R	skScreen\ImportFiles\											
File Type Incremental	Incremental = Daily or weekly delta updates. Full =	Entire data set update.										
c Import History												
Start Date	End Date		Туре	Incremental File Date								
20/12/2021 18:00:02												
20/12/2021 16:42:59	20/12/2021 16:43:14		Incremental									
17/12/2021 15:10:07	17/12/2021 15:11:43		Incremental									
16/12/2021 16:00:39			Incremental									
16/12/2021 15:00:05			Incremental	25-Jul-2008								
15:03 22/12/2021 Caps: O	Num: • Ready		Nikit\RiskScreen	ADMIN D Ins: O Scrt: O Poll in - 6								

Navigation: Data > Feeds > Dow Jones/Worldcheck

To import a Dow Jones/Worldcheck file:

- 1. Click the "Select" button and browse to the folder that contains the file.
- 2. Select the "File Type" from the dropdown.
  - $\circ$  ~ Incremental use this option for daily or daily files.
  - Full use this option only for importing a full file.
    - Any records in the database that are not in the file will be deleted at the end of the import process.
- 3. Click the tick in the top left of the working area.

# **Client Entity**

Client entity data can be imported manually through the <u>Client Entity Import</u> screen or by the <u>scheduled Batch run</u>.

## Import

The import screen allows you import a list of client entities from a text or csv file.

Start by selecting the folder that contains the file you wish to import by clicking the Select button in the top right of the working area. RiskScreen will scan the folder you have selected for all files that have a <u>supported file type</u> and display them in the "Files" list. You can change the selected folder by clicking the "Select" button and navigating to a new folder.

Once you have selected the file you wish to import from the "Files" list RiskScreen will show a preview of the first 60 lines of the file. RiskScreen will attempt to detect the values for "Header rows to exclude" and "File Delimiter", ensure the values it entered are correct before you continue. Clicking the "tick" in the top left of the screen will ask you if you wish to start validation of the file, if you click "Yes" the file will be validated.

	,	,	Ris	kScreen							_ s X	
Run Import Run Run Search	r¥ Add ₩ Update Belete nal Watchlist (	oolbox Logs General	(1) Import Client Entity									
Olient Entity Import ×												
i√ X ↓												
Selected Folder C:\Temp\RiskScreen Imp	oorts										Select	
Files								Date		Size		
ImportTempateInternalCountry.csy								26/01/20	18 10:38		15 KB	
								26/01/20	18 10:37		29 KB	
		_	_	_	_	_	_	26/01/20	18 10-37	_	14 KB	
								15/02/20	18 16:37		30 KB	
								26/01/20	10 10.27		14 KB	
								20/01/20			14 KD 🗸	
Header rows to exclude	1 File De	elimiter	Tab									
File Preview												
ClientID InterfaceRef	LastName	FirstNam	ne Middle	Name	Criter	iaID	Gender	ID	Date	Country	y1ID C	
100 ZR5001 YORK TONY	1	1 1	5/11/1958	44	108	0	202	0	1	1		
100 ZR5002 HUSSAIN	MONIR	1 1	12/01/	1960	106	0	0	202	0	1	1	
100 ZR5003 TOVI SHIVA	N 1	1 2	2/02/1966	235	109	0	202	0	1	1		
100 ZR5004 CHILOWA	EDSON	1 2	04/04/	1980	214	0	0	202	0	1	1	
100 ZR5005 BORLAND	ANDREW DAVID	1 1	19/05/	1966	235	109	0	202	0	1	1	
100 ZR5006 HASSAN AHMED	JAMA 1	1 0	7/12/1949	203	0	0	202	0	1	1		
100 ZR5007 REZAIE HOMA	1	1	235	0	0	202	0	1	1			
100 ZR5008 DERGAL DJAME	L 1	1 1	5/08/1977	235	0	0	202	0	1	1		
100 ZR5009 GUMA YAGOU	B IBRAHIM AHME	D1 1	19/03/	1969	235	0	0	202	0	1	1	
100 ZR5010 AL-HAMDANY	ALI HASSA	N1 1	01/07/	1982	235	0	0	202	0	1	1	
100 2R5011 SIMANI IMANE	5	1 0	2/09/1984	235	0	0	203	0	3	1		

Navigation: Data > Client Entity > Import

Once the validation completes you will be shown the Import Validation screen that consists of 3 areas:

- 1. Validated Action Required
  - a. This list contains records that have passed validation and will perform the action listed in "Update Type" for each record.
- 2. Validated No Action Required
  - a. This list contains records that have passed validation, but an identical record already exists.
- 3. Rejected
  - a. This list contains records that have been rejected during validation.
  - b. Rejection Reason will give a reason for each row in the file that has been rejected.
  - c. You can import a file that contains rejections, the rejected records will not be imported.

If you are happy with the records in each area clicking the "tick" will perform the import of the data.

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-	HOME	DATA STATIC SY	/STEM										
2	š 🏶		🛛 📫 👫 Add 💦 🎬 🖆	(a)									
Ru	in Import	Run Run	Search Search Map Toolbox	: Logs Import									
Bat	ch Data Source	Processing Adverse Media	a Internal Watchlist General	Client Entity									
0	Client Entity Import 🗙												
	<ul> <li>✓ × </li> </ul>												
(In	nport Validatio	n — n Required — — —											
	File Row	Update Type	Client	Client Entity ID	Interface Reference	Last Name	First Name	Mi 🔶					
		Add	Jersey Head Office	0	ZR5001	YORK	TONY	•					
	3	Add	Jersey Head Office	0	ZR5002	HUSSAIN	MONIR						
	4	Add	Jersey Head Office		ZR5003	TOVI	SHIVAN						
	5	Add	Jersey Head Office		ZR5004	CHILOWA	EDSON						
		۸dd	lower Hood Office	^	705005								
	/alidated No A	ction Required											
	File Row	Update Type	Client	Client Entity ID	Interface Reference	Last Name	First Name	Middl					
111_													
_ F	Rejected ——												
1112	File Row	Rejection Reason				Client	Interface Reference	Last Name					

All client entity imports are logged, refer to the <u>Client Entity Import Log</u> for more information regarding the logging of the import.

### **Automated Import**

RiskScreen automated processing automatically imports a file from a set location before screening client entities. It is possible to initiate this automated process from the Batch Run screen. Importing client entities in this way will not allow you to select a file or show the validation screen.

Clicking the "Run" button will run the automated Client Entity import process based on the settings specified in the options screen. Below is a list of the settings related to the client data import, they can be found in the <u>Options</u> screen in the "Batch Run Settings" section.

Setting	Information
Email Logs	Yes – a copy of the log will be sent to the email address specified.
	No – will not send a copy of the log to the specified email address.
To Email Address	Email address to send the log to.
Client Import File Location	Location of the client import file.
Client Import File	Name of the client import file.
Client Import Header Rows	Number of header rows in the client import file, these will be
to Exclude	ignored.
Client Import Delimiter	Delimiter used in the client import file.
	Supported delimiters:
	Comma
	Colon
	Semi-colon
	• Tab
	Pipe/Vertical Bar

#### Navigation: Data > Batch > Run

	* 🗆 🔹								RiskScreen	
-		DATA ST								
Run Batch	Import Data Source	Run Processing	Run Adverse Media	Search	Map	Toolbox General	kogs	Import Client Entity		
🗱 Data	Source Import	🗙 🚓 Data N	Мар 🗙 🖄 В	latch Run 🗙						
<   ـ ۴	< .									
File Dow Data So	nloads urce File Downloa	•			Idle					Run
Data So	ata urce Import									Run
-Import C Client D	lient Data ——— ata Import		_							
Processie Data Pro	ng Run ocessing									
Adverse Data Pro	Media Processing	) Run								

All client entity imports are logged, refer to the <u>Client Entity Import Log</u> for more information regarding the logging of the import.

### **File Information**

The following section will detail the requirements for a valid import file.

Fields

The import allows either 15 or 17 (including custom text fields) field records. A single file can contain a mix of the two types of records.

Field	Information
ClientID	RiskScreen Client Identifier
Integer (Int16)	
InterfaceRef	Internal ID your organisation uses to uniquely identify clients.
String (50)	
LastName	For Non-person entities enter the entire name in the Last Name
Required	field.
String (255)	
FirstName	For Non-person entities please leave this field empty
String (255)	
MiddleName	For Non-person entities please leave this field empty
String (255)	
CriterialD	RiskScreen Criteria Identifier
Integer (Int16)	
GenderID	1 – Male
Integer (Int8)	2 – Female
	8 – Not Applicable
	9 – Unknown
Date	Supported date formats:
	• DD/MM/YYYY
Country1ID	Use Unknown (0) if no value can be provided.
Integer (Int16)	
Country2ID	Use Unknown (0) if no value can be provided.
Integer (Int16)	
Country3ID	Use Unknown (0) if no value can be provided.
Integer (Int16)	
HandledByGroup	RiskScreen User Group Identifier
Integer (Int16)	
HandledByUser	RiskScreen User Identifier of a member of the handled by user
Integer (Int16)	group for specific assignments or enter zero for unassigned.

Field	Information
RiskID	RiskScreen Risk Identifier.
Integer (Int16)	
StatusID	0 – Disabled
Integer (Int8)	1 – Active
Custom Text 1	RiskScreen provides 2 custom text fields for client entities in the system. You can use these 2 fields to store useful data in RiskScreen that is unique to your organisation. Hyperlinks contained in this field can be clicked on and opened in the default browser.
Custom Text 2	RiskScreen provides 2 custom text fields for client entities in the system. You can use these 2 fields to store useful data in RiskScreen that is unique to your organisation.

#### File Types

- CSV (.csv)
- Text (.txt)

#### Delimiters

- Comma
- Colon
- Semi-colon
- Tab
- Pipe/Vertical Bar

#### Unicode

Microsoft Excel does not support the creation of Unicode CSV files. Please check that you're outputting the file using the correct encoding for the content of the file. If you client list contains only ASCII characters use ANSI encoding. If non-ASCII data is held then the file should be encoded in UTF8 or Unicode and the file is a tab delimited text file.

# Map

The map screen shows the number of Dow/Worldcheck Entities in RiskScreen. If "Difference" is not 0 the Dow/Worldcheck data is out of sync (during an import it will not be 0).

Navigation: Data > General > Map

	* 🗆 🕫									RiskScreen
	HOME	DATA	STATIC SYS	TEM						
Run Batch	Import Data Source	Run	Run Adverse Media	Search	₽ Add ₽ Update ₽ Delete atchlist	ор Мар	Toolbox General	R Logs	(1) Import Client Entity	
M. Data	Source Import	M Arth Date	Man 🗶				<u> </u>	• •		
	source import									
X										
		Check 1	otals							
Na	ame Search Total			15,074,766						
En	tity Total			3,260,872						
Ali	ias Total			11,813,894						
Dit	fference	L		0						

# Toolbox

The toolbox allows the data administration capabilities. Due to the destructive nature of the buttons on the screen you have to unlock the screen before you can execute any of the actions. Contact RiskScreen support for the password.

· * · ·	RiskScreen	_ s X
HOME DATA STATIC SYSTEM		
Import         Import<	SSE     GO       Map     Toolbox       Logs     Import       General     Client Entity	
😽 Logs 🗙 💼 Toolbax 🗶		
or X		
Commands	ick on the Key button and enter the password in order to enable the buttons.	
Delete all Data Source data from the database Execute	Delete all Client Match Potential data from the database Execute	
Delete all Data Source IWL data from the database Execute	Delete all Client AVM Match Potential data from the database Execute	
Export Static Data to XML File Export		
13:59 22/12/2021 Caps: O Num: ● Ready	Tikit/RiskScreen	♣ ADMIN <b>D</b> Ins: O Scrt: O Poll in - 13

# Delete Dow/Worldcheck Data

This will delete all Dow Jones/Worldcheck data in the system and should only be done before a new full Dow Jones/Worldcheck import.

# **Delete Match Potentials**

This will delete all outstanding <u>Match Potentials</u> in the system. **Discounted and Flagged matches are not deleted.** 

# **Export Static Data**

This will generate an XML file that contains the static data for your system and is used to assist the RiskScreen team in troubleshooting any issues you may have. **The export contains not client related information.** 

# Logs

RiskScreen logs all data download, import and processing runs. The logs screen allows you to view all the logs produced by RiskScreen. Each log is displayed in its own tab.

You can select the date you want the log to display for using the date picker provided. The log displayed will not update until you click the refresh button (two arrows in the shape of a circle) after you have changed the date.

# **Download Log**

The download log shows all logging done as part of the Dow Jones/Worldcheck file download.

Navigation: Data > General > Logs > Download Log

	RistScreen _ 🖉 🗶
HOME DATA STATIC SYSTEM	
Run     Import     Run     Run     Import     Add Search     Import     Import	
💼 Toolbox 🗙 🤜 Logs 🗙	
Log Date 22/12/2021 💼 🖸	
🛓 Download Log 🗱 Data Source Log 🛛 Client Entity Import 🛱 Batch Engine Log 🛱 Adverse Media Engine L	og 🗶 Options
Download Log	
Download of Dow Jones Data - Process started & 09/02/2018 - 09:20:20 1D: 7	
<pre>Verbose Loging web est to Off File type NM = NM is bring used. Checking for valid internet comection Download of File complete uncompression of File (::\Program Files\ViskScreen\ImpartFiles\\DMC,M-Me_ML_201802002399_D.eml) was successful NM. splits File processing completed Bamload process complete </pre>	
13:57 22/12/2021 Caps: O Num: ● Ready	≣ Nikit/RsikScreen ★ ADMIN D Ins: O Sort O Pollin - 0

# Dow Jones/Worldcheck Log

The Dow Jones/Worldcheck log shows all logging done as part of the Dow Jones/Worldcheck file import (manual and automated).



Navigation: Data > General > Logs > Data Source Logs >Dow Jones/Worldcheck Log

## **Client Entity Import**

The client entity import log shows all logging done as part of the Client Entity import (manual and automated).

Navigation: Data > General > Logs > Client Entity Import



# Batch Engine Log

The batch engine log shows all logging done as part of the screening process (manual and automated).

Navigation: Data > General > Logs > Batch Engine Log

(###)		•					Naka				
~	HOME	DATA	STATIC S	SYSTEM							
Run 🤇	Impor	t Run		Search <sup>™</sup> Add Search <sup>™</sup> Delete	Map Toolbo	x Logs Imp	Doort				
Batch		urce Processing	g Adverse Med	dia Internal Watchlist		l Client					
🗊 Clie	nt Entity Imp	ort 🗙 🔜 Log	gs 🗙								
Log Da	te	22/12/202	1 🖬 🔂								
± De	wnload Log	🗱 Data So	urce Log 🛛 🕻	Client Entity Import	🔅 Batch Engine Log	🕼 Adverse Med	ia Engine Log 🔰	🛠 Options			
Batch	ingine Log —										
Bate	h proces	s started @	09/02/201	8 - 09:23:50-285.	10: 5						
Name Load Name Ana	data lo ling of N data lo ysing Na	ading using ame Data - ading proce me Data col	Four Three Process sta ss complete lection vo	ads. arted 8 09/02/201 e 8 09/02/2018 - lumes	8 - 09:23:50-294 09:24:36-063 : t	uration 45.7688	Seconds				- 1
PA= PH=	415,6 178,2	19 PB= 3 28 PI=	11,037 PC= 64,756 P3=	328,663 PD= 91,579 PK=	265,614 PE= 236,820 PL=	94,137 PF= 233,927 PM=	139,946 PG= 439,645 PN=	277,913 120,670			
PO= PV=	95,1 134,1	10 PP= 2 08 PW=	57,491 PQ= 76,375 PX=	18,400 PR= 7,104 PY=	233,946 PS= 59,351 PZ=	430,506 PT= 67,251 P#=	173,560 PU= 758 PB=	26,866 30,258			
EA=	= 163,0 45,5	03 P0CH= 3 82 EB=	37,904 P8C 28,334 EC=	Y= 319,738 P@GR= 43,460 ED=	35,175 PGHE= 19,070 EE=	4,401 P8IN= 24,088 EF=	68,776 P8TH= 19,262 EG=	49,805 24,613			
EH=	19,0	27 EP=	19,334 EJ= 30,257 EQ=	2,286 ER=	21,047 ES=	18,412 EM= 56,645 ET=	34,048 EN= 32,229 EU=	9,969			
EGA	= 7.1	59 EW= 89 E0CH=	57,084 E0C	Y= 71,692 E@GR=	206 EGHE=	882 EGIN=	4.579 E8= 508 E8TH=	742			
Tota Tota	1 memory 1 memory	resident P resident E	erson reconnect	rds = 5,788,440. rds = 694,626.	Total Data Map i Total Data Map i	Person records = Entity records =	5,788,440. 694,626.				
1											
											النــــــــــــــــــــــــــــــــــــ
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## Log Options

The log options screen allows you to clear logs for a specific date.

Select the date you want to clear the logs for in the "Log Date" box and click the appropriate button for the logs you want to clear.

*Navigation: Data > General > Logs > Options* 

	RiskScreen 🗕 🗖 🗶
HOME DATA STATIC SYSTEM	
Run         Import         Run         Import         Run         Import         Import	
🔨 Client Entity Import 🗙 😽 Logs 🗶	
Log Date 22/12/2021 🖬 🔿	
± Download Log 🗱 Data Source Log 🔮 Client Entity Import 🌐 Batch Engine Log 🌐 Adverse Media Engine Log	* Options
Options	
Clear All Logs for Date Clear All	
Clear Download Logs for Date Clear	
Clear Data Source Logs for Date Clear	
Clear Client Entity Import Logs for Date Clear	
Clear Batch Engine Logs for Date Clear	
Clear Adverse Media Engine Logs For Date Clear	
13:54 22/12/2021 Caps: ○ Num: ● Ready	🗏 Nikit/RiskScreen 🗶 ADMIN D Ins: O Scrb: O Poll in - 29 📜



# Users

RiskScreen uses users to control access to the application. Every time you open RiskScreen you will be asked to log in with your user account by providing a Logon Identifier and a Password.

Once logged in a user will be able to access the parts of RiskScreen their <u>User Group</u> has been granted access to. Refer to the <u>Permissions</u> section for more information regarding user permissions.

## **Properties**

Property	Information				
Logon Identifier	This is the users User Name when logging into RiskScreen.				
User Identifier	System allocated number that cannot be changed.				
User Name	Name that will be displayed throughout RiskScreen.				
Status	Options				
	• Live				
	<ul> <li>Suspended - cannot log into RiskScreen</li> </ul>				
Description	A description for the user.				
Email Address	This is the email address that all notifications will be sent to for this				
	user.				
Windows Identity	In order to use your Windows login for RiskScreen, IT will need to enter the user's SID in this field.				
Password Last Changed	Date the user last changed their password.				
Expiry Warnings From	The user will receive a password reset warning when logging in from this date. Refer to "Security Settings" under the <u>Options</u> section for more information on when password reset warnings will start.				
Password Next Expires On	The user will be required to reset their password to login from this date. Refer to "Security Settings" under the <u>Options</u> section for more information on how often passwords need to be reset.				
Password	Refer to "Security Settings" under the <u>Options</u> section for more information on password complexity requirements.				

# Managing Users

#### Enquiry

The top portion of the screen will show a list of Users while the bottom portion will show the properties of the currently selected User.

Navigation: System > User > Users > View

- <b>- x</b>					RiskScreen				_ # X
HOME DATA	STATIC SYS	STEM							
User User	Permission Members P User Group	s Options License Settings							
🚢 User 🗙									
<b>!~</b>   <b>×</b> .									
Logon Identifier 🔻		User Name			Description				
ADMIN		Administrator			Administrato				
ANNA		Anna Chin - Singapore			Anna Chin - S	ingapore			
вов		Bob Barker - Jersey			Bob Barker	ersey			
JANE		Jane Turner - Jersey			Jane Turner -	Jersey			
MARK		Mark Lang - Singapore			Mark Lang - S	ingapore			
MARY		Mary Andrews - Swiss			Mary Andrew	s - Swiss			
TONY		Tony Smith - Swiss			Tony Smith -	- Wiss			
WENDY		Wendy King - Group			Wendy King -	Group			
Logon Identifier	ADMIN			User Identifier	100				
User Name	Administrator			Status	Live				
Description	Administrator			Security Mode	Internal				
Email Address	nealking@3bsl.com			Email on MP Generation	No				
Windows Identity									
Password Last Changed	16/12/2021 E	xpiry Warnings From	09/03/2022	Password Next Expires On	16/03/2022				
	-								
🗋 View 🚺 Add	I 🔝 Delete	Update							
13:34 22/12/2021 Caps	: O Num: O Ready					Nikit\RiskScreen	🚨 admin	D Ins: O	· · · · · · · · · · · · · · · · · · ·

#### Add

Complete the fields and confirm the creation by clicking the "tick" in the top left of the working area.

Navigation: System > User > Users > Add

- × ×		RiskScr	reen		_ # X
	STEM				
Users Password User Permission Member Group User User Group	Options License Settings				
🕹 User 🗙					
I✓ X ,					
Logon Identifier 🔻	User Name	Descript	tion		
ADMIN	Administrator	Adminis	strator		
ANNA	Anna Chin - Singapore	Anna Cl	hin - Singapore		
вов	Bob Barker - Jersey	Bob Bar	rker - Jersey		
JANE	Jane Turner - Jersey	Jane Tu	rner - Jersey		
MARK	Mark Lang - Singapore	Mark La	ing - Singapore		
MARY	Mary Andrews - Swiss	Mary Ar	ndrews - Swiss		
TONY	Tony Smith - Swiss	Tony Sn	nith - Swiss		
WENDY	Wendy King - Group	Wendy	King - Group		
		_			
Logon Identifier	Sta	itus Live			
Password	Sec	curity Mode Internal	· ·		
Password Confirmation					
Windows Identity					
User Name					
Description					
Email Address	Em	ail on MP Generation No			
🗋 View 🚺 Add 😡 Delete	Update				
13:35 22/12/2021 Caps: O Num: • Ready	,		Nikit\RiskScreen	ADMIN D Ins:	O Scri: O Poll in - 12

A user gets their permissions from User Groups they are a member of and you will have to add the user to the appropriate User Groups before they will be able to access any screens in RiskScreen. Refer to the <u>User Group</u> section for more information on User Groups and how to add users to them.

#### Delete

Select the user you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

Navigation: System > User > Users > Delete

· · · ·		RiskScreen	_ s X
HOME DATA STATIC	STEM		
Users Password User Permission Members Group User Group	s Options Leense Settings		
🚢 User 🗙			
Logon Identifier 💌	User Name	Description	
ADMIN			
ANNA	Anna Chin - Singapore	Anna Chin - Singapore	
вов	Bob Barker - Jersey	Bob Barker - Jersey	
JANE	Jane Turner - Jersey	Jane Turner - Jersey	
MARK	Mark Lang - Singapore	Mark Lang - Singapore	
MARY	Mary Andrews - Swiss	Mary Andrews - Swiss	
TONY	Tony Smith - Swiss	Tony Smith - Swiss	
WENDY	Wendy King - Group	Wendy King - Group	
User Identifier 100 Logon Identifier ADMIN Delete User When deleting users their User Group memberships are	e automatically removed from the system.		
🗋 View 💼 Add 🔂 Delete	🙆 Update		
13:36 22/12/2021 Caps: ○ Num: ● Ready	·	🗄 Nikit\RiskScreen 🔔 ADMIN D Ins	O Scrt: O Poll in - 26
#### Update

Update the fields as required and confirm the update by clicking the "tick" in the top left of the working area. If you want the user to change their password at their next login you can tick the box next to "Force Password Change".

*Navigation: System > User > Users > Update* 

		R	RiskScreen			_ # X
HOME DATA STATIC S	VSTEM					
Users Password User Vser Group	ers Options License Settings					
🚨 User 🗙						
Logon Identifier 🔻	User Name	De	escription			
ADMIN	Administrator	A	dministrator			
ANNA	Anna Chin - Singapore		nna Chin - Singapore			
BOB	Bob Barker - Jersey	Bo	ob Barker - Jersey			
JANE		Ja	ane Turner - Jersey			
MARK	Mark Lang - Singapore	м	lark Lang - Singapore			
MARY	Mary Andrews - Swiss	м	lary Andrews - Swiss			
TONY	Tony Smith - Swiss		ony Smith - Swiss			
WENDY	Wendy King - Group	w	/endy King - Group			
Logon Identifier ANNA		Jser Identifier	06			
Password		štatus Li	ive 🔽			
Password Confirmation		Force Password Change				
		orec russional change				
Windows Identity		Security Mode W	Vindows Identity			
User Name Anna Chin - Singapore						
Description Anna Chin - Singapore						
Email Address neaLking@panopticrisk	Lcom	mail on MP Generation	lo 🗸			
		_				
	Amm					
Add Delete	Le Update					
13:37 22/12/2021 Caps: O Num: O Read	dy		Nikit\RiskScreen		icrt: O Poll in - 29	l'i

You can enable the windows identity logon by updating the Security Mode dropdown to Windows Identity and then clicking the tick to save the

setting.

#### **Resetting Your Password**

You must be logged into RiskScreen to change your password. Navigate to the screen indicated below and enter your existing password and your desired new password and confirm the change by clicking the "tick" in the top left of the working area.

Navigation: System > User > Password

	RiskS	creen		_ # X
HOME DATA STATIC SYSTEM				
Users Password User Group User Group Settings				
🏋 Options 🗙 🎄 User Group Permission 🗶 🚢 User Group 🗶 🚢	Password 🗙			
Logon Identifier ADMIN	User Identifier 100			
Existing Password				
New Password				
New Password Confirmation				
13:37 22/12/2021 Cape: 🔿 Num: 🗨 Ready		E Nikit\RickScreen	D Ine: O Serk O Poll in - 2.	'

If a user has forgotten their password and cannot log in to reset it, an Admin user will need to <u>update the user</u> with a new password and tick the option to force them to change their password at their next login.

# **User Groups**

To simplify permissions in RiskScreen all permissions are enforced against a User Group instead of individual users. All users in a User Group will have the permissions set for that User Group. User Groups will only be able to see Client Entities for Clients they are linked to. If a user is a member of multiple User Groups, their permissions are consolidated into a single permission set.

## Properties

Property	Information
Name	User Group name
Description	User Group description
Identifier	System allocated ID number that cannot be changed.
Admin Group	Indicates if the User Group is an administrative group.
	The options screen uses this flag to only display administrative
	settings to users in an administrative group.
Email Enabled	If set to 'Yes' and email is sent at the end of batch runs to notify
	user that items have been generated.

# Managing User Groups

#### Enquiry

The top portion of the screen will show a list of Users Groups while the bottom portion will show the properties of the currently selected User Group.

Navigation: System > User Group > User Group > View

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#### Add

Complete the fields and confirm the creation by clicking the "tick" in the top left of the working area.

Navigation: System > User Group > User Group > Add

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Once a User Group is created it needs to be linked to a Client for it to access the Client Entities under that Client. Refer to the <u>Link</u> section for more information on linking a User Group to a client.

#### Delete

Select the User Group you want to delete and confirm the deletion by ticking the "Delete" box and clicking the "tick" in the top left of the working area.

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*Navigation: System > User Group > User Group > Delete* 

#### Update

Update the fields as required and confirm the update by clicking the "tick" in the top left of the working area.

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Navigation: System > User Group > User Group > Update

#### Link

Linking a User Group to a client allows users in the user group to access client entities that fall under that client.

#### Linking a user group

- 1. Select the user group from the list in the top section of the screen
- 2. Select the client and Business Unit you wish to link the user group to from the list of "Available Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the right
- 4. The client name should now appear in the list of "Linked Clients" (bottom right)

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Available Client and Business Units —	Duringen 11-14		Linked Client and Business	Units	
Client Name	Business Unit		Default	Business Unit	
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Jersey Office	Default			502	
Japan Office	Default				
London Office	Default				
One-off screening	Default	>>	>		
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#### Navigation: System > User Group > User Group > Link

#### Unlinking a user group

- 1. Select the user group from the list in the top section of the screen
- 2. Select the client and Business Unit you wish to unlink the user group from in the list of "Linked Clients" (bottom left)
- 3. Click the button with the three arrows pointing to the left
- 4. The client name should now appear in the list of "Available Clients" (bottom right)

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Description Administration				
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Navigation: System > User Group > User Group > Link

## **User Group Members**

Users can be added to a User Group through the User Group Members screen.

If a user is a supervisor they will be able to see all Client Entities the user group has access to, even if they are assigned to other users.

#### Adding a user to a user group

- 1. Select the user group from the list in the top section of the screen
- Select the user you wish to add to the user group from the list of "Available System Users" (bottom left)
- 3. Click the button with the three arrows pointing to the right
- 4. The client name should now appear in the list of "Linked Users" (bottom right)

#### Removing a user from a user group

- 1. Select the user group from the list in the top section of the screen
- 2. Select the user you wish to remove from the user group in the list of "Linked Users" (bottom right)
- 3. Click the button with the three arrows pointing to the left
- 4. The client name should now appear in the list of "Available System Users" (bottom left)

#### Setting a User as Supervisor

- 1. Select the user you wish to set as a Supervisor from the list of "Linked Users" (bottom right)
- 2. Click the Supervisor button

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Administration	Administration
All Users	All Users
Jersey Handler Users	Jersey Handler Users
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Available System Users	Linked Users
Name 💌 Logon Identifier	User Name 🔻 Supervisor
Anna Chin - Singapore ANNA	Administrator Yes
lana Turnar - Jarray IANE	
Mark Lang - Singapore MARK	
Mary Andrews - Swiss MARY	
Tony Smith - Swiss TONY	
Wendy King - Group WENDY	· · · · · · · · · · · · · · · · · · ·
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The ability of Supervisor within a User Group allows the user to see all Match Potentials in the group and allows them to reallocate taken potentials to other users within the group.

# Permissions

The permissions assigned to a user group determine which screens in RiskScreen its members can access as well as what they are able to do on the screens.

## **Permission Types**

Permission types determine whether a user can access that screen and what they will be able to do once in the screen.

Property	Information
Menu	Allows a user to access the screen through the Ribbon.
	If the User Group does not have the Menu permission, they will be able to see all the Buttons on the Ribbon, but they will be greyed out and clicking on them will not open the screen.
View	Allows users to view records related to the screen. Without this permission the screen will not display the detail of records.
	*You won't be able to assign this permission to screens that don't have a View (Enquiry) tab.
Add	Allows users to add new records related to the screen.
	*You won't be able to assign this permission to screens that don't have an Add tab.
Delete	Allows users to delete records related to the screen.
	*You won't be able to assign this permission to screens that don't have a Delete tab.

Property	Information
Update	Allows users to update records related to the screen.
	*You won't be able to assign this permission to screens that don't have an Update tab.
Link	Allows users to link records related to the screen.
	*You won't be able to assign this permission to screens that don't have a Link tab.

## Screens

Permissions for each screen in RiskScreen are set individually for each screen at the User Group level. The screen list below provides any useful information each screen.

Screen	Information
Name Data - Search	Screen used to search the Dow Jones/Worldcheck Entities.
Notify Change - Search	Screen used to search for changes in data in Dow Jones/Worldcheck Entities
Client Entity - Search	Screen used to Search Client Entities.
Client Entity - Add	Screen used to Add Client Entities.
Client Entity - Update	Screen used to Update Client Entities.
Client Entity - Delete	Screen used to Delete Client Entities.
Match - Potential	Screen that shows Match Potentials.
	<b>Note:</b> Users that have "Update" on this screen will have full access to all the tabs on the screen and any data that may be shown on them.
Match - Monitor	Potentials.
Match - Whitelist	Screen used to view and mange Whitelisted Entities.
Batch - Run	Screen used to do Manual batch runs.
	<b>Note:</b> All users that have Menu access to this screen will be able to start a manual batch run.
Feeds - Dow	Note: All users that have Menu access to this screen will be able to start a manual batch run. Screen used to run a full Dow Entity/Worldcheck update and view
Feeds - Dow Jones/Worldcheck	<ul><li>Note: All users that have Menu access to this screen will be able to start a manual batch run.</li><li>Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.</li></ul>
Feeds - Dow Jones/Worldcheck Processing - Run	Note: All users that have Menu access to this screen will be able to start a manual batch run.Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.Screen used to do manual Processing runs and view a history of previous runs.
Feeds - Dow Jones/Worldcheck Processing - Run General - Map	Note: All users that have Menu access to this screen will be able to start a manual batch run.Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.Screen used to do manual Processing runs and view a history of previous runs.Screen used to view statistics for the Entities in the system.
Feeds - Dow Jones/Worldcheck Processing - Run General - Map General - Toolbox	Note: All users that have Menu access to this screen will be able to start a manual batch run.Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.Screen used to do manual Processing runs and view a history of previous runs.Screen used to view statistics for the Entities in the system.Screen that allows users to lookup Dow/Worldcheck Entities and reset SHA values for all Dow/Worldcheck Entities.
Feeds - Dow Jones/Worldcheck Processing - Run General - Map General - Toolbox General - Logs	Note: All users that have Menu access to this screen will be able to start a manual batch run.Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.Screen used to do manual Processing runs and view a history of previous runs.Screen used to view statistics for the Entities in the system.Screen that allows users to lookup Dow/Worldcheck Entities and reset SHA values for all Dow/Worldcheck Entities.Screen used to view and manage RiskScreen log files.
Feeds - Dow Jones/Worldcheck Processing - Run General - Map General - Toolbox General - Logs Client Entity - Import	<ul> <li>Note: All users that have Menu access to this screen will be able to start a manual batch run.</li> <li>Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.</li> <li>Screen used to do manual Processing runs and view a history of previous runs.</li> <li>Screen used to view statistics for the Entities in the system.</li> <li>Screen that allows users to lookup Dow/Worldcheck Entities and reset SHA values for all Dow/Worldcheck Entities.</li> <li>Screen used to view and manage RiskScreen log files.</li> <li>Screen used to run Client Entity Imports.</li> </ul>
Feeds - Dow Jones/Worldcheck Processing - Run General - Map General - Toolbox General - Logs Client Entity - Import	<ul> <li>Note: All users that have Menu access to this screen will be able to start a manual batch run.</li> <li>Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.</li> <li>Screen used to do manual Processing runs and view a history of previous runs.</li> <li>Screen used to view statistics for the Entities in the system.</li> <li>Screen that allows users to lookup Dow/Worldcheck Entities and reset SHA values for all Dow/Worldcheck Entities.</li> <li>Screen used to view and manage RiskScreen log files.</li> <li>Screen used to run Client Entity Imports.</li> <li>Note: User permissions are ignored during the import consequently if a user has access to this screen they can import any valid Client Entity Import file irrespective of their permissions to the Client Entity View, Add, Update or Delete screens.</li> </ul>
Feeds - Dow Jones/Worldcheck Processing - Run General - Map General - Toolbox General - Logs Client Entity - Import	<ul> <li>Note: All users that have Menu access to this screen will be able to start a manual batch run.</li> <li>Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.</li> <li>Screen used to do manual Processing runs and view a history of previous runs.</li> <li>Screen used to view statistics for the Entities in the system.</li> <li>Screen that allows users to lookup Dow/Worldcheck Entities and reset SHA values for all Dow/Worldcheck Entities.</li> <li>Screen used to run <u>Client Entity Imports</u>.</li> <li>Note: User permissions are ignored during the import consequently if a user has access to this screen they can import any valid Client Entity Import file irrespective of their permissions to the Client Entity View, Add, Update or Delete screens.</li> <li>Screen used to run IWL imports.</li> </ul>
Feeds - Dow Jones/Worldcheck Processing - Run General - Map General - Toolbox General - Logs Client Entity - Import IWL Entity Import Definitions - Criteria	<ul> <li>Note: All users that have Menu access to this screen will be able to start a manual batch run.</li> <li>Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.</li> <li>Screen used to do manual <u>Processing runs</u> and view a history of previous runs.</li> <li>Screen used to view statistics for the <u>Entities</u> in the system.</li> <li>Screen that allows users to lookup Dow/Worldcheck Entities and reset SHA values for all Dow/Worldcheck Entities.</li> <li>Screen used to view and manage RiskScreen <u>log files</u>.</li> <li>Screen used to run <u>Client Entity Imports</u>.</li> <li>Note: User permissions are ignored during the import consequently if a user has access to this screen they can import any valid Client Entity Import file irrespective of their permissions to the Client Entity View, Add, Update or Delete screens.</li> <li>Screen used to run <u>IWL imports</u>.</li> <li>Screen used to view and manage Search Criteria.</li> </ul>

Screen	Information
Definitions - Risk	Screen used to view and manage Risk Classifications.
Definitions - Client	Screen used to view and manage Clients.
Match Category -	Screen used to view and manage Match Discount Categories.
Discounted	
Match Category - Flagged	Screen used to view and manage Match Flagged Categories.
User - User	Screen used to view and manage Users.
User - Password	Screen used to reset user passwords.
User Group - User Group	Screen used to view and manage User Groups.
User Group - Permission	Screen used to view and manage User Group Permissions.
User Group - Members	Screen used to view and manage User Group Members.
Settings - Options	Screen used to view and manage RiskScreen Options.
	Note: Only user in an Admin User Group will be able to access system wide administrative settings (Dow Jones/Worldcheck Settings, Batch Run Settings, Security Settings and Email Settings), other users will only see settings relating to their instance of RiskScreen.
Settings - License	Screen used to view and manage the RiskScreen License.

# Managing User Group Permissions

You can change the permissions for a user group from the User Group Permissions screen. Select the User Group you want to change permissions for and "tick" or "untick" the permissions you want to modify. Save the changes to the User Group Permissions by clicking the Save button.

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Jersey Monitor Users		Jersey	Monitor Users						-"
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Ribbon	Name	Menu	View	Add	Delete	Update	Link		:
Home Ribbon	Adverse Media - Potential								
Home Ribbon	Adverse Media - Search								
Home Ribbon	Client Entity - Add								
Home Ribbon	Client Entity - Delete								
Home Ribbon	Client Entity - Search								
Home Ribbon	Client Entity - Update								
Home Ribbon	ID - Search								
Home Ribbon	Match - Monitor								
Home Ribbon	Match - Potential								
Home Ribbon	Match - Whitelist								
Home Ribbon	Name Data - Search								
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# **Application Settings**

## Options

The options screen allows you to view and manage application wide settings.

Navigation: System > Settings > Options

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Language	English
Hide Logo	No
Terminal Server Mode	Off ·
Logon Banner	UNAUTHORISED ACCESS IS STRICTLY PROHIBITEDI ATTEMPTING TO ACCESS THIS SYSTEM WITHOUT PERMISSION MAY RESULT IN LEGAL PROCEEDINGS.
Environment	
Startup Resolution	1024x768 ·
Startup Resolution Warnings	No
Start Maximised	No
Polling	On .
Polling Server Interval Seconds	
Polling Retries	
Polling Retry Wait Time Seconds	
Environment Interval Seconds	
Sea Data Source Settings	
File Folder Location	C\Program Files\RiskScreen\ImportFiles\
File Retention Days	
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## **Option List**

Option	Information
General	
Language	Select the language for RiskScreen to display.
Hide Logo	Hides the logo that displays in the working area when no windows are open.
Terminal Server Mode	Disables certain user interface animations in RiskScreen to reduce CPU load when running on Terminal Servers / Citrix Servers.
Logon Banner	Sets the text to display in the box at the bottom of the login window.
	Note: The logon banner has a pulsing visual effect and this can be disabled and made static by enabling Terminal Server Mode.
Environment	
Startup Resolution	Sets the resolution that RiskScreen will use at startup (after logging in)
Startup Resolution Warnings	If set to Yes the user will receive a warning message if the start-up resolution setting is greater than the screens resolution. You may wish to set this to No if you are using scaling within your display settings.
Start Maximised	Sets whether RiskScreen should start maximised or not. Overrides the Startup Resolution option.
Polling	Enables polling to the server to ensure it is available.
Polling Server Interval Seconds	Number of seconds to wait between polling requests.

Option	Information
Polling Retries	Number of times to retry polling after an unsuccessfully polling the server.
Polling Retry Wait Time Seconds	Number of seconds to wait between polling retry requests.
Environment Interval Seconds	The interval in seconds that the user interface refreshes at. The default value is 1.0.
Data Source Settings	
File Folder Location	Location that Dow Jones/Worldcheck daily files will be downloaded to or imported from.
	Used by: • Manual <u>Batch Run</u> • Manual <u>file download</u> • Manual <u>file import</u> • Automated Batch Run • RiskScreen.BatchRun.exe console application
Retention Days	Sets the number of days Dow Jones/Worldcheck daily import files are retained in the File Folder Location. Retention is based on the date in the filename. Setting the value to 0 retains all files.
Download URL	URL to use to download Dow Jones/Worldcheck daily files. Do not change!
User Name	Username used to download Dow Jones/Worldcheck daily files. Do not change!
Password	Password used to download Dow Jones/Worldcheck daily files. Do not change!
File Type	<ul> <li>WBL + AMe – WatchList and Adverse Media</li> <li>WBL – WatchList only</li> <li>AMe – Adverse Media only.</li> <li>The Dow Jones/Worldcheck credentials you have are only valid for the specific feed you have purchased access to. WBL + AMe credentials cannot be used to access the WBL or AMe links.</li> </ul>
Verbose Logging	Increases the amount of information written to RiskScreen logs for incremental updates. Enable this option if instructed to by the support team.
Create additional alias	When importing the Dow Jones/Worldcheck data RiskScreen will
where person first name contains multiple names	create an additional alias where the first name field will contain the first and middle names. The alias is only created if the record has a middle name. <b>Default On.</b>
Create additional alias	When importing the Dow Jones/Worldcheck data RiskScreen will
where person and put primary FN+MN+LN in last name field	when the record is a person, create an additional Alias putting the entire primary name in the last name field. <b>Default Off.</b>
Create additional alias	When importing the Dow Jones/Worldcheck data RiskScreen will
where person and put	when the record is a person, create an additional Alias for record
primary FN+MN in first name field	primary name putting the first name and middle name in the first name field. <b>Default Off. Potential recommended On.</b>
Notification Change Emails	Turns notification change emails on or off for all users.
On	

Option	mormation
Batch Run Settings	
Batch Enabled	Enables the automated batch run. Other than being started by the
	system automated batch runs function in the same manner as
	manual batch runs described in the Manual Batch Run section.
Start Time Hours	Hour to start the first automated batch run for the day. Combined
	with Start Time Mins to determine start time.
Start Time Mins	Minutes to start the first automated batch run for the day.
	Combined with Start Time Hours to determine start time.
Frequency Hours	Number of hours between automated batch runs. Combined with
	Frequency Mins to determine batch run interval.
Frequency Mins	Number of minutes between automated batch runs. Combined with
	Frequency Hours to determine batch run interval.
Status	Shows status information on the automated batch run.
Email Logs	Enables batch run logs to be sent by email.
To Email Address	Email address that batch run logs will be sent to.
Processing Enabled	Sets whether to do a processing run after the Dow/Worldcheck data
C	has been updated and the Client Entity import has been run.
Processing Data Loading	Number of threads used to load the data for the processing run.
Threads	
	Note: Set this in accordance with your hardware specifications. For
	best performance do not exceed the physical core count on the CPU
	or CPUs.
Processing Name Search	Number of threads used to perform the name searches.
Threads	
	Note: Set this in accordance with your hardware specifications. For
	best performance do not exceed the physical core count on the CPU
	or CPUs.
Client Import Enabled	Sets whether to do an automated <u>Client Entity Import</u> using the
	settings below after the Dow/Worldcheck data has been updated.
Client Import File Location	Folder used for automated Client Entity Import.
Client Import File	Filename of file used for automated Client Entity Import.
Client Import Header Rows	Number of header rows in the file need to be excluded from the
to Exclude	import.
Client Import Delimiter	Delimiter used in the file.
Security Settings	
Password Must Contain	If enabled passwords that don't contain numbers will be rejected.
Numbers	
Password Must Contain	If enabled passwords that don't contain at least a single capital
Capitals	letter will be rejected.
Password Can Contain	If enabled passwords may contain more than one instance of a
<b>Repeated Characters</b>	character.
Password Can be Reused	If enabled users will be allowed to reuse passwords.
Password Minimum Length	Sets the minimum length of passwords.
Password Expires After	Sets the number of days before a password expires and a user is
Davs	forced to reset their password.
Password Warning Before	Number of days before their password expires a user will be warned
Expiry Days	of the pending expiry.
Email Settings	
SMTP Port	SMTP Port used for system emails.

## **Option** Information

Option	Information
Enable SSL	Enables SSL for system emails.
Host Name	Host name of email server to use to send system emails.
From Address	Email address system emails will be sent from.
From Display Name	Display name to use for sender of system emails.
Timeout	Timeout for attempts to send system emails.
Priority	Priority set for system emails.
Requires Authentication	Sets whether mail server requires authentication.
User Name	Sets the username to use for authentication with the mail server.
Password	Sets the password to use for authentication with the mail server.
Test Email Settings	Allows you to test the configured email settings, the email will be
	sent to the <u>email address configured</u> for the user initiating the test.
<b>Client Entity Settings</b>	
Custom Text Enabled	Sets whether the custom text fields are displayed for Client Entities.
Custom Text 1 Name	Name that will appear for custom text 1 field (screens & reports).
Custom Test 2 Name	Name that will appear for custom text 2 field (screens & reports).
Match Action Display	Use Legacy PDF, Snapshot or both in match flagged/discounted
Profile Image	screen on a client entity.

### License

The license screen shows information on your current license configured for RiskScreen and allows you to update your license key.

### Properties

Screen	Information
Current Licensee	Licensee currently configured in RiskScreen.
Current License Key	License Key currently configured in RiskScreen.
Current Expiry Date	Expiry date of the current license. If the license expires access to
	RiskScreen will be restricted based on the Current Grace Days.
Current User Volume	The user volume is enforced on the number of active users in
	RiskScreen.
Current Grace Days	The grace days is the number of days prior to the license expiry date
	that a warning message will be displayed to every user at login
	warning of the impending expiry.
Current Licenced Version	Applied Licence type
Current Build	Name of current RiskScreen Onsite batch Version
New Licensee	Enter the new licensee name provided to you by RiskScreen.
	Note: The license key is paired to this licensee name and won't work
	if you don't enter the correct licensee name. The licensee is case
	sensitive and must be entered exactly as provided.
New License Key	Enter the new license key provided to you by RiskScreen.

## Enquiry

## Navigation: System > Settings > License

		RiskScreen	_ = x
HOME DA			
Users Password Us Gro	er Permission Members Options License		
User	User Group Settings		
🔉 License 🗙			
<ul> <li>✓   ×  </li> </ul>			
Current Licensee			
Current License Key			
Current Licensed Version	RiskScreen with Adverse Media	Current Build 2.3.4717	
Current Expiry Date	21/11/2024 Current User Volume 30	Current Grace Days 14	
New Licensee			
New License Key	[		ן ר
·			
13:56 03/01/2024 Ca	s: O Num: 🔍 Ready 🗮 Default\RiskScreen	♣ ADMIN <b>D</b> Ins: ○ Scrl: ○ Poll in - 15	_i

# Reporting

The reports tab allows you to generate reports for Client Entities. Refer to the <u>reports toolbar</u> section for more information on interacting with the report viewer.

## **Client Entities**

Client entity reports can be found on the "Reports" tab of the Client Entity Enquiry screen.

Navigation: Home > Client Entity > Search > [Client Entity] > Reports

🔛 Mato	h Monitor 🔀 🤌 Client Entity Se	arch 🗙 😇 JOHN 🗙						
© D Reports ▼ Re	etails Match Discounted	Katch Flagged	AVM Match Discounted	AVM Match Flagged	8 Exclusion URL	Reports		
Name				Description				
Client	Entity Detail Report			Contains Client Entity detail	linformation			
Client	Entity Match Discounted Report			Contains Client Entity match	h discounted items bet	ween specified dates		Run Report
Client	Entity Match Flagged Report			Contains Client Entity match	h flagged items betwee	n specified dates		
Client	Entity Search History Report			Contains Client Entity Audit	data and Search Histo	ry data		
-		Full Page	× ac a a .					

They can also be accessed from the Match Potential screen on the Client Entity tab.

#### **Client Entity Detail**

The client entity detail report shows all information found on the Details tab of a client entity and the search criteria used during a processing run.



# **Client Entity Detail Report**

Client Detail						
Client Name	Jersey Head Offi	ce		Client	Entity ID 1	064
Last Name	PUTIN					
First Name	VLADIMIR					
Middle Name						
Gender	Male		Date		07/10/1952	
Status	Active		Interface Reference		ZR5065	
Country 1	Russia		Risk		High	
Country 2	Unknown		Handled by User Gr	landled by User Group		r Users
Country 3	Unknown		Handled by User	Handled by User		
Criteria	Default - Person	High Risk	Date Added	ate Added		
Criteria Detail						
Name	Default - Person	High Risk		Ident	ifier	5
Description	Default - Person	High Risk				
Last Name Match %	90	First Name Match %	85	Midd	le Name Match	% 60
Search PEP	Yes	Search RCA	Yes	Searc	h WBL	Yes
Search SAN	Yes	Search AVM	No	Searc	h UNK	Yes
Reverse Search	No	Exclude Year Range	0	Exclu	de Ctry No Matc	h No
Date Match Bump	30	MM YY Match Bump	20	YY Match Bump		10
DD MM Match Bump	5	Country Match Bump	25			

## **Client Entity Match Discounted**

The client entity match discounted report shows information on all discounted matches for the selected entity.

Parameters:

- From Date
- To Date



# **Client Entity Match Discounted Report**

Client Detail											
Client Name	Jersey Head Office			Client E	intity ID	1065					
Last Name	ПУТИН										
First Name	владимир										
Middle Name				Interface Reference ZR5066							
Gender	Male	Date 07/10/1952									
Country 1	Russia		Risk High								
Country 2	Unknown		Handled by User Grou	p	Jersey Monitor (	Users					
Country 3	Unknown		Handled by User								
Status	Active		Date Added		04/04/2018	04/04/2018					
Date Range											
Between	09/04/2017 And 09/04/2018										
<b>Match Discounted</b>											
Matched Date	09/04/2018	Generated Date	04/04/2018	Identifi	er	170352					
Last Name	PUTIN										
First Name	VLADIMIR										
Middle Name	SPIRIDONOVICH										
Reason											
Category	Date does not match										
Date Meta Data	23 Feb 1911										
Country Meta Data	Citizenship : Russia   Jur	isdiction : Russia   Reside	ent of : Russia								
Handling User Group	Jersey Monitor Users			Valid To	, [	31/12/2099					
Handling User	Administrator			Notify		No					

## **Client Entity Match Flagged**

The client entity match flagged report shows information on all flagged matches for the selected entity.

Parameters:

- From Date
- To Date



# **Client Entity Match Flagged Report**

Client Detail							
Client Name	Jersey Head Office			Client E	intity ID	1065	
Last Name	путин						
First Name	владимир						
Middle Name				Interfac	e Reference	ZR5066	
Gender	Male	Date		07/10/1952			
Country 1	Russia	Risk		High			
Country 2	Unknown	Handled by User Grou	р	Jersey Monitor	Users		
Country 3	Unknown		Handled by User				
Status	Active		Date Added		04/04/2018		
Date Range							
Between	09/04/2017	And 09/04/2018					
Match Flagged							
Matched Date	09/04/2018	Generated Date	04/04/2018	Identifier		98141	
Last Name	PUTIN						
First Name	VLADIMIR						
Middle Name	VLADIMIROVICH						
Reason							
Category	Relevant Acceptable - D	omestic PEP					
Date Meta Data	07 Oct 1952						
Country Meta Data	Citizenship : Russia   Jur	isdiction : Russia   Reside	ent of : Russia				
Handling User Group	Jersey Monitor Users			Valid To		31/12/2099	
Handling User	Administrator			Notify		Yes	

#### **Client Entity Match Potential**

The client entity match potential report shows information on all potential matches for the selected entity.

Parameters:

- From Date
- To Date

Client Detail												
Client Name	Default		Client B	Entity ID	5040							
Business Unit	Default											
Last Name	FACEBOOK	ACEBOOK										
First Name												
Middle Name			Interfac	ce Reference								
Gender	Any	Date										
Country 1	Unknown	Risk		Unclassified	Inclassified							
Country 2	Unknown	Handled by User Group	p	Administration								
Country 3	Unknown	Handled by User										
Status	Active	Date Added		06/04/2022								
Date Range												
Between	25/10/2021 And 25/10/2022											
Match Potentials												
Generated Date	06/04/2022 Priority 0	Bump 0	Ide	ntifier	2896992							

#### **Client Entity Match Data**

The client entity match data report contains basic Client Entity data along with Discounts, Flags and Potentials in one report.

Parameters:

- From Date
- To Date

Client Detail										
Client Name	Default	Client Entity ID		intity ID	5040					
Business Unit	Default									
Last Name	FACEBOOK									
First Name										
Middle Name			Interfac	te Reference						
Gender	Any	Date								
Country 1	Unknown	Risk		Undassified	Indassified					
Country 2	Unknown	Handled by User Group	p	Administration						
Country 3	Unknown	Handled by User								
Status	Active	Date Added		06/04/2022						
Date Range										
Between	25/10/2021 And 25/10/2022									
<b>Match Discounted</b>										
Match Flagged	Match Flagged									

## **Client Entity Search History**

The client entity search history report shows a summary of all the batch runs a client entity was screened in as well as a summary of all its match potentials, discounted and flagged matches.

<b>Client Entity Audit</b>	History								
Audit Type	Add	Audit Date	0	4/04/2018 06:27	Client E	ntity ID	1065		
Last Name	ПУТИН	-							
First Name	владимир								
Middle Name					Interface Reference ZR			ZR 5066	
Gender	Male			Date 07/10/1952					
Country 1	Russia			Risk High					
Country 2	Unknown			Handling User Group Jersey Monitor Users			Users		
Country 3	Unknown			Handling User	-				
Status	Active			Date Added 04/04/2018					
Criteria	Default - Person I	High Risk							
<b>Client Match Volu</b>	mes								
Match Discounted	Date does not ma	atch							1
						Total			1
Match Flagged	Relevant Accepta	ble - Domestic PEP							1
						Total			1
Match Potentials	-								1
						Total			1
<b>Client Batch Histo</b>	ry								
Batch Identifier	0	Start Date	04/04/	/2018 07:39	С	lient Searched		Yes	
				Client Entity	Active in	Searches			1
				Client Entity	Inactive	in Searches			0



# **Dow/Worldcheck Entities**

## Data Entity Detail

Dow/Worldcheck entity reports can be found on the "Reports" tab of the Dow/Worldcheck Entity Enquiry screen.

#### Navigation: Home > Match > Monitor > Reports

🔍 Name Data Search 🗶		
🗱 Details 🔍 💒 Alias 🔍 💡 Country 🔍 🎆 Date	e 🔍 📮 Relationship 🌒 🖽 Identity 🛛 General 🌖 🛷 Links 🌒 📄 Note 🌖	Reports
CReports		
▼ Reports		
Name	Description	
Data Entity Detail Report	Contains Data Entity detail information	
		Run Report

Entity Detail						
Last Name	PUTIN			Identifier	98141	
First Name	VLADIMIR			Title		
Middle Name	VLADIMIROVICH			Suffix		
Full Name	VLADIMIR VLADIMI	ROVICH PUTIN		Deceased	No	
Gender	Male			Action Date	02-Aug-20	17
Entity Type	Person			Status	Active	
Politically Exposed	Yes	Related Close Assoc	No	WatchList	No	
Sanctioned	No	Adverse Media	No	Unknown	No	
Description						
Description 1	Politically Exposed P	erson (PEP)				
Description 2						
Description 3						
Alias						
Name Type	Primary Name			Serial	1	
Last Name	ВЛАДИМИР ВЛАДИ	ІМИРОВИЧ ПУТИН				
First Name				Title		
Middle Name				Suffix		



# **Match Potentials**

Reports for match potentials can be found in the "Reports" tab of the Monitor Screen.

🖳 Match Monitor 🗙 Reports **T**Reports Name Description Match Potential Report Contains Match Poten itials that are outstanding in the datab Match Potential Volume Report Contains the volume of Match Potentials that are outstanding in the database Match Discount By Day Report Contains Match Discount items for the selected date. Match Flag By Day Report Contains Match Flag items for the selected date. Run Report Match Checking Report Contains Matched Data for the selected Client, Date and UserGroup. Processing Run Statistics Report Contians Processing Run Statistics by Client and Processing Date. Client Notify Change Report Contains Client Notify Change information relating to updated Import Data records. Client Volume Report Contains Client Entity volumes by defined Client 🖬 R - 🛛 🖌 🖉 0/0 X 🖓 C 🖪 🖥 🖉

Navigation: Home > Match > Monitor > Reports

Refer to the appropriate report under the Reporting section for more information.

## Match Potential

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

Parameters:

- Client
- Business Unit
- Start Date
- End Date



## **Match Potential Report**

Match Potentials Outstanding											
Client	Jersey Head Office										
User Group	Jersey Handler Users		Priority	1	Generated Date	04/04/2018	Potential Matches	2			
Last Name	PANKOV		First Name	DMITRIY	DMTRIY						
Middl e Name			] Client Entity ID	1207		Handling User					
PEP Volu me	2 RCA Volume	0 WBL Volume		0 SAN Volume	0 A	VM Volume	0 UNK Volume	0			
Entity Name	DMITRIY NIKOLAEVICH PANKOV	1			Entity ID	102174	Generated Date	04/04/2018			
Average Bias	100.0000 % Date Match	Yes Country M	atch Yes		Priority	1	Meta Bump	25			
Is PEP	Yes Is RCA	No Is WBL	No	Is SAN	No	Is AVM	lo Is UNK	No			
Entity Name	DMITRIY ALEKSANDROVICH PYA	NKOV		Entity ID	3357407	Generated Date	04/04/2018				
Average Bias	97.6190 % Date Match	No Country M	atch Yes		Priority	1	Meta Bump	20			
Is PEP	Yes Is RCA	No Is WBL	No	Is SAN	No	Is AVM	ls UNK	No			
Client	Jersey Head Office										
User Group	Jersey Handler Users		Priority	1	Generated Date	04/04/2018	Potential Matches	1			
Last Name	BARNES		First Name	PHILLIP							
Middl e Name			] Client Entity ID	1150		Handling User					
PEP Volu me	0 RCA Volume	0 WBL Volume		1 SAN Volume	0 A	VM Volume	0 UNK Volume	0			
Entity Name	PHILIP BARNES				Entity ID	11050455	Generated Date	04/04/2018			
Average Bias	97.6190 % Date Match	No Country M	atch Yes		Priority	1	Meta Bump	20			
Is PEP	No Is RCA	No Is WBL	Yes	Is SAN	No	Is AVM	No Is UNK	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:

- Client
- Business Unit
- User Group

	Match Potentials					
Name	Jersey Head Office		User Group	All User	Sroups	
40 —						
10						
						10
30 —						
20 —						-
						21
10						
10						
						0



### Match Potential Statistics Report



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## 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.

Parameters:

- Client
- Business Unit
- Start Date
- End Date



## **Match Potential Summary Report**

Match Potentials													
Client	Jersey	Head Office				User Group		Jersey Ha	ndler Use	rs		Items	15
Priority	1	Meta Bump	25	Days OS	9	Generated Da	te	13/08/201	18 Po	tential Matches	2		
Last Name	PANKO	v			First Na	ime	DMITRIY						
Middle Name	c			Client E	lient Entity ID 1207 Handling User								
PEP Volume		2 RCA Volume		0 WBL Volume		0 SA	N Volum	e		0 AVM Volume	0 UN	K Volume	0
Priority	1	Meta Bump	20	Days OS	9	Generated Da	te	13/08/201	18 Po	tential Matches	1		
Last Name	BARNES F			First Na	ime	PHILLIP							
Middle Name					Client E	intity ID	1150			Handling User			
PEP Volume		0 RCA Volume		0 WBL Volume		1 SA	N Volum	e		0 AVM Volume	0 UN	K Volume	0
Priority	1	Meta Bump	20	Days OS	9	Generated Da	te	13/08/201	18 Po	tential Matches	1		
Last Name	BENNET	π			First Na	ime	NICHOL	AS					
Middle Name					Client E	ntity ID	1180			Handling User			
PEP Volume		0 RCA Volume		1 WBL Volume		0 SA	N Volum	e [		0 AVM Volume	0 UN	K Volume	0
Priority	1	Meta Bump	20	Days OS	9	Generated Da	te	13/08/201	18 Po	tential Matches	1		
Last Name	CHOW	DHURY			First Na	me	SHAMS	JL					
Middle Name	ALAM				Client E	intity ID	1016			Handling User			
PEP Volume		0 RCA Volume		0 WBL Volume		1 SA	N Volum	e		0 AVM Volume	0 UN	K Volume	0
Priority	1	Meta Bump	20	Days OS	9	Generated Da	te	13/08/201	18 Po	tential Matches	1		
Last Name	EDWAR	DS			First Na	me	LIAM						
Middle Name					Client E	intity ID	1196			Handling User			
PEP Volume		0 RCA Volume		0 WBL Volume		1 SA	N Volum	e		0 AVM Volume	0 UN	K Volume	0

## 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

Parameters:

- Client
- Business Unit
- Start Date
- End Date

#### **Match Potential Volumes Report**

<b>Total Volumes</b>						
Client Name	Jersey Head Office				Total Items	43
PEP Volume	8 RCA Volume	10 WBL Volume	24 SAN Volume	0 AVM Volume	1 UNK Volume	0
<b>Priority Volum</b>	es					
Priority	9				Total Items	18
PEP Volume	5 RCA Volume	2 WBL Volume	11 SAN Volume	0 AVM Volume	0 UNK Volume	0
Priority	5				Total Items	6
PEP Volume	0 RCA Volume	1 WBL Volume	4 SAN Volume	0 AVM Volume	1 UNK Volume	0
Priority	1				Total Items	19
PEP Volume	3 RCA Volume	7 WBL Volume	9 SAN Volume	0 AVM Volume	0 UNK Volume	0
Generated Dat	e Volumes					
Generated Date	04/04/2018				Total Items	43
PEP Volume	8 RCA Volume	10 WBL Volume	24 SAN Volume	0 AVM Volume	1 UNK Volume	0
Generated Dat	e - Priority Volumes					
Generated Date	04/04/2018 Priority	9			Total Items	18
PEP Volume	5 RCA Volume	2 WBL Volume	11 SAN Volume	0 AVM Volume	0 UNK Volume	0
Generated Date	04/04/2018 Priority	5			Total Items	6
PEP Volume	0 RCA Volume	1 WBL Volume	4 SAN Volume	0 AVM Volume	1 UNK Volume	0
Generated Date	04/04/2018 Priority	1			Total Items	19
PEP Volume	3 RCA Volume	7 WBL Volume	9 SAN Volume	0 AVM Volume	0 UNK Volume	0

## Match Data by Day

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

Parameters:

- Client
- Business Unit
- Data Date



## Match Data By Day Report

Outstanding Mat	tch	Potentials																
Client	Jers	ey Head Office																
User Group	Jers	ey Handler Users																
Client Entity ID	101	3	Last Nar	ne		WILLIAM						Last Nam	e	[	ALUN			
Entity ID	[	4677707	Entity Fu	III Name		ALUN WI	UN WILLIAMS					Handling	User	[				
Generated Date	[	13/08/2018	PEP	No	RCA	Yes	WBL	No	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	Yes
Client Entity ID	101	6	Last Nar	ne		CHOWDH	URY					Last Nam	e	[	SHAMSUL			
Entity ID	[	11226446	Entity Fu	III Name		SAMSUL	HOWDHU	RY				Handling	User	[				
Generated Date	[	13/08/2018	PEP	No	RCA	No	WBL	Yes	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	Yes
Client Entity ID	101	9	Last Nar	ne		PATEL						Last Nam	e	[	IQBAL			
Entity ID	[	11297053	Entity Fu	III Name		IQBAL PA	EL					Handling	User	[				
Generated Date	[	13/08/2018	PEP	No	RCA	Yes	WBL	No	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	Yes
Client Entity ID	102	0	Last Nar	ne		WILSON						Last Nam	e	[	IAN			
Entity ID	[	708336	Entity Fu	III Name		IAN HENR	Y WILSON					Handling	User	[				
Generated Date	[	13/08/2018	PEP	No	RCA	Yes	WBL	No	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	Yes
Entity ID	[	708339	Entity Fu	III Name		IAIN WILS	ON					Handling	User	[				
Generated Date	[	13/08/2018	PEP	No	RCA	Yes	WBL	No	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	Yes
Entity ID	[	1361320	Entity Fu	III Name		SIMON K	ITH WILSO	N				Handling	User	[				
Generated Date	[	13/08/2018	PEP	No	RCA	No	WBL	Yes	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	No
Entity ID	[	1505346	Entity Fu	III Name		IAN WILS	ON					Handling	User	[				
Generated Date	[	13/08/2018	PEP	No	RCA	No	WBL	Yes	SAN	No	AVM	No	UNK	No	Date Match	No	Country Match	Yes

**KYC**360

# Match Discount by Day

The match discount by day report shows all match potentials that were discounted on the day selected with some additional information.

Parameters:

- Client
- Business Unit
- Start Date
- End Date



## **Match Discount By Day Report**

Match Discount	Items						
Client	Jersey Head Office					Gient Entity ID	1065
Last Name	путин	First Name	владими	p	Middle Name		
Entity Full Name	VLADI MIR SPIRI DONOVICH PUTI N					Entity ID	170352
Matched Date	09/04/2018 Generated Date 04/04/2018	Action Days	5	Valid to Date	31/12/2099	Notify	No
Reason					DiscountCategory	Date does not match	
Date Meta	23 Feb 1911	Country Meta	Gtizenship	: Russia   Jurisdiction : Ru	ussia   Resident of : Russia		
User Group	Jersey Monitor Users			Handling User	Administrator		

Name does not match

Discount Category

Administrator

Citizenship : Russia | Jurisdiction : Russia | Resident of : Russia

Handling User

## 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:

- Client
- Business Unit
- Start Date
- End Date
- Category

$\textcircled{\begin{tabular}{ c c } \hline \hline$	Match	Discou	nt E	By Cat	egory	y Rep	ort								
Match Discount	ltems									Betwee	n 16,	/07/2018	3 a	nd 1	6/08/2018
Client	Jersey Head Off	fice									Client	Entity ID		1064	
Last Name	PUTIN				First Name		VLADIMIR			Middle Name					
Entity Full Name	VLADIMIR SPIRI	IDONOVICH PUTIN									Entity	ID		170352	
Is PEP	No	s RCA	Yes	Is WBL		No	Is SAN		No	Is AVM	No	ls	UNK		No
Matched Date	16/08/2018	Generated Date	16	6/08/2018	Action Days		0	Valid to Dat	te 3	1/12/2099	Notify	/		False	

# Match Flag by Day

Demo Match

23 Feb 1911

Jersey Monitor Users

The match flag by day report shows all match potentials that were flagged on the day selected with some additional information.

Country Meta

Parameters:

Reason Date Meta

User Group

- Client
- Match Date
- From Date
- To Date



#### **Match Flag By Day Report**

Match Flag Item	s						
Client	Jersey Head Office					Client Entity ID	1065
Last Name	путин	First Name	владими	P	Middle Name		
Entity Full Name	VLADI MIR VLADI MIROVICH PUTIN					Entity I D	98141
Matched Date	09/04/2018 Generated Date 04/04/2018	Action Days	5	Valid to Date	31/12/2099	Notify	Yes
Reason					Flag Category	Relevant Acceptable - D	omestic PEP
Date Meta	07 Oct 1952	Country Meta	Gtizenship	: Russia   Jurisdiction : Ru	ssia   Resident of : Russia		
User Group	Jersey Monitor Users			Handling User	Administrator		

# **KYC**360

#### 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:

- Client
- Business Unit
- Start Date
- End Date
- Category



#### Match Flag By Category Report

Match Flag Item	s				Betweer	n 16/07/2	018 a	and 2	2/08/2018
Client	Jersey Head Office					Client Entity	ID	1179	
Last Name	WILSON	First Name	BRIAN		Middle Name				
Entity Full Name	BRIAN ALFRED SAMUEL WILSON					Entity ID		969451	
Is PEP	Yes Is RCA No Is WB	L No	Is SAN	No	Is AVM	No	Is UNK		No
Matched Date	15/08/2018 Generated Date 13/08/2018	Action Days	2	Valid to Date	31/12/2099	Notify		True	
Reason	Test				Flag Category	Relevant No	t Acceptab	le - High R	isk PEP
Date Meta	15 May 1943	Country Meta	Citizenship	: United Kingdom   Juri	sdiction : United Kingdom	Resident of :	United Kin	igdom	
User Group	Jersey Monitor Users			Handling User	Administrator				
Client	Jersey Head Office					Client Entity	ID	1064	
Last Name	PUTIN	First Name	VLADIMIR		Middle Name				
Entity Full Name	VLADIMIR VLADIMIROVICH PUTIN					Entity ID		98141	
Is PEP	Yes Is RCA No Is WB	L No	Is SAN	No	Is AVM	No	Is UNK		No
Matched Date	16/08/2018 Generated Date 13/08/2018	Action Days	3	Valid to Date	31/12/2099	Notify		True	
Reason	Demo Match				Flag Category	Relevant No	t Acceptab	le - High R	isk PEP
Date Meta	07 Oct 1952	Country Meta	Citizenship	: Russia   Jurisdiction : F	lussia   Resident of : Russia				
User Group	Jersey Monitor Users			Handling User	Administrator				

## 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:

- Client
- Business Unit
- Match Date
- User Group

9	Match Che	cking Rep	ort								
Match Items											
Client	Jersey Head Office										
Client Entity ID	1065	Interface Reference	ZR5066	Entity ID		170352					
Last Name	путин			Entity Full Na	ame	VL ADIMIR S	PIRIDONOVICH PUTIN				
First Name	владимир			Ī							
Middle Name				Is PEP		No	Is R CA	Yes	Is WBL		No
Cli ent Risk	High			Is SAN		No	Is AVM	No	Is UNK		No
Client Date	07/10/1952			Date Meta		23 Feb 1911					
<b>Gient Country 1</b>	Russia	<b>Dient Country 2</b>	Unknown	Country Met	а	Gtizenship :	Russia   Jurisdiction : Russ	ia   Resident	of: Russia		
Client Country 3	Unknown										
Client Gender	Male			Entity Gende	er	Male					
Client Criteria	Default - Person High Risk										
Match Type	Discount	Match Category	Date does not match								
Matched Date	09/04/2018 Generated	d Date 04/04/20	18 Action Days	5	Valid to [	Date	31/12/2099	Notify		No	
Reason											
User Group	Jersey Monitor Users				Handling	User	Administrator				

### **Processing Run Statistics**

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

Parameters:

• Client

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- Business Unit
- Processing Date

9	Processing S	Statistics Rep	ort							
Client Processing	Jersey Head Office							Batch Identifier	3	
Start Date	09/04/2018 16:38	End Date 09/04	/2018 16:38	DL Thr	reads	2	NS Threads	2		
Searches Performed		208 Client Entity Matches			0	Total Dat	a Matches	C		
	Data Match Volumes	PEP	C	RCA	0	WBL	C SAN	0 AVM	0 UNK	C
Initial Matches		207 Discount Total			207	Discount	Multi Match	17		
		Discount White List			٥	Discount	Date Meta	38		
		Discount Country Meta			107	Discount	Existing	45		



## **Client Notify Change**

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

Parameters:

- Client
- Business Unit
- Data Feed Start Date
- Data Feed End Date

9	Client No	otify Cha	nge Ro	eport					
Notify Change I	te ms								
Client	Jersey Head Office						Data Feed ID	3	
Last Name	BRAZOVSKIS						Client Entity ID	1240	
First Name	JĀNIS						Area	Match Flag	gged
Middle Name							Notify	Yes	
Entity Name	JÄNIS BRAZOVSKIS						Entity ID	26702	
Data Feed Date	09/04/2018	User Group	Administratio	n			User	Administra	ator
Deleted	No	Record Changed		Yes	Classification Changed	No	Name Changed		No
		Date Changed		No	Address Changed	No	Country Changed		Yes

## **Client Volume**

The client volume report shows how many active and disabled client entities exist within each client.

<b>)</b>	Client Volumes Report				
Volumes					
Client	Jersey Head Office	Status	Active	Volume	208
Client	Singapore Office	Status	Active	Volume	11
Client	Swiss Office	Status	Active	Volume	21

# **Client Entity Last Changed Change**

This report allows you to report on and extract Client Entity data by Client, Business Unit and User Group along with the record Status, Start Date and End Date. This report can highlight inactive Client Entity records which have not been changed for a user definable period of time or highlight active Client Entity records that have recently changed.

Parameters:

- Client
- Business Unit
- User Group
- Status
- Start Date
- End Date

9	Clie	nt Entity Last Chai	<b>iged Re</b> rith status Ac	e <b>port</b> <sup>ctive</sup>
Client	Default	Business U	<b>Init</b> Default	t User Group Administration
Last Name	RUELLAN		First Name	CHRISTIAN Middle Name
Entity ID	5043	Interface Ref CR911	Date Added	21/10/2022 Last Changed 21/10/2022 15:12:03 Changed By Administrator

# **Client Entity Data Quality Report**

This report allows you to selected test conditions and identify data quality issues.

Parameters:

• Different test conditions via pop up before running report.

Data Quality Test Conditions	
✓ Where data subject is Person and first or last name contains multiple words	
$oldsymbol{I}$ Where data subject is Person and first name contains two or more words and middle name is blank	
✔ Where data subject is Person and younger than 16 years	
$\checkmark$ Where data subject is Person and is older than 80 years	
$oldsymbol{I}$ Where data subject is Person and first name or last name are more than 18 characters long	
I Where data subject is Person and has a single char between two spaces or a single char followed by a full stop in the first, middle	e or last name fields
$m{J}$ Where data subject is Person and has a single char in either the first name, middle name or last name fields	
$oldsymbol{I}$ Where data subject is Person and first name, middle name or last name contains an integer value	
✔ Where data subject is Entity and last name contains an integer value	
Run Report	Cancel



# **Client Entity Data Quality Report**

Test Conditions - Where data subject is:								
Yes Person and first	Ind first or last name contains multiple words Yes Person and first name or last name are more than 1							
Yes Person and first	Yes Person and first name contains two or more words and middle name is blank Yes Person and has a single char between two spaces					or a single char followed by a full stop in the all name fields		
Yes Person and younger than 16 years Yes Person and has a single char in either the first name					ie, middle name or last name			
Yes Person and is of	Yes Person and is older than 80 years Yes Person and first name, middle name or last name					alue		
Yes Entity and last name contains an integer value								
Client: Jersey Head	d Office	Business Unit:	Default					
Test Condition					Volume	Total Volume	Percentage	
Where data subject is Person and first or last name contains multiple words					2	192	1.042%	
Where data subject is Person and younger than 16 years					1	192	0.521%	
Where data subject is Person and is older than 80 years					2	192	1.042%	
Where data subject is Person and first name, middle name or last name contains an integer value					1	192	0.521%	
Where data subject is Entity and last name contains an integer value					1	16	6.250%	
Client: Jersey Head	d Office	Business Unit:	Test Office					
Test Condition					Volume	Total Volume	Percentage	
Where data subject is Person and first or last name contains multiple words					2	17	11.765%	
Where data subject is Person and first name contains two or more words and middle name is blank					2	17	11.765%	
Where data subject is Person and has a single char between two spaces or a single char followed by a full stop in all name fields 1 17							5.882%	
Client: Jersey Hea	d Office	Business Unit:	Default					
Test: Where data subject is Person and first or last name contains multiple words								
Interface Ref	Last Name		First Name	Middle Name		E	ntity ID	
ZR5062	एस एन अहमद					1	061	
ZR5064	ໄຊເຊັ່ງລີ ຕັງເບຼຍອີ					1	063	

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## Glossary

#### Client

A Client is a partition within RiskScreen Onsite Batch which is used to ensure that customers belonging to e.g. the Jersey office can only be seen by users authorised to view customers attached to that Client.

## **Client Entity**

Client Entities are your clients you will screen using RiskScreen.

### Criteria

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

#### **Risk Classification**

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

### **Match Potential**

Dow Jones/Worldcheck entities that satisfy the requirements set by the criteria for a client entity will generate match potentials during the screening process. These match potentials can be found on the <u>Match Potential</u> screen and are then flagged or discounted by the users.

### **Match Flagged**

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

### Match Discounted

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

# Appendix

## Alias Types

Entity Type	Possible Alias Types
Person	Primary Name
	Also Known As
	Low Quality AKA
	Maiden Name
	Formerly Known As
	Spelling Variation
	Expanded Language Variation
Entity	Primary Name
	Also Known As
	Formerly Known As
	Spelling Variation
	Low Quality AKA
	Expanded Language Variation

## **Country Types**

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

## **Date Types**

Entity Type	Possible Date Types
Person	Date of Birth
	Deceased Date
	<ul> <li>Inactive as of (PEP)</li> </ul>
	<ul> <li>Inactive as of (RCA related to PEP)</li> </ul>
Entity	Date of Registration
	Cessation Date

## **Relationship Types**

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

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

## **Identity Types**

- 1. Unknown
- 2. National ID
- 3. National Tax No.
- 4. DUNS Number
- 5. Others

- 6. Company Identification No.
- 7. OFAC Program ID
- 8. OFAC Unique ID
- 9. Bank Identifier Code (BIC)
- 10. Legal Entity Identifier (LEI)
- 11. Driving Licence No.
- 12. Social Security No.
- 13. Passport No.
- 14. HM Treasury Group ID
- 15. DFAT Reference Number
- 16. OSFI Individuals ID
- 17. EU Sanctions Programme Indicator
- 18. EU Consolidated Electronic List ID
- 19. SECO SSID
- 20. National Criminal Identification Code (USA)
- 21. Federal Bureau of Prisons Register Number
- 22. National Provider Identifier (NPI)
- 23. UN Permanent Reference No.
- 24. OSFI Iran ID
- 25. Central Registration Depository (CRD)
- 26. Standard Industrial Classification (SIC)
- 27. North American Industry Classification System (NAICS)
- 28. NACE (European Union Economic Activity Classification System)
- 29. Related OFAC Program ID
- 30. Related OFAC Unique ID
- 31. Related EU Sanctions Programme Indicator
- 32. Related EU Consolidated Electronic List ID
- 33. OSFI Entities ID
- 34. International Securities Identification Number (ISIN)
- 35. International Maritime Organization (IMO) Ship No.
- 36. OSFI North Korea ID
- 37. Aircraft Manufacturer's Serial Number (MSN)
- 38. Aircraft Construction, Line, Fleet or Serial Number

## **RiskScreen Country List**

ID	Name	ISO
0	Unknown	
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

ID	Name	ISO
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	10
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
40 41	Canada Cayman Islands	CA KY
40 41 42	Canada Cayman Islands Chad	CA KY TD
40 41 42 43	Canada Cayman Islands Chad Chile	CA KY TD CL
40 41 42 43 44	Canada Cayman Islands Chad Chile China	CA KY TD CL CN
40 41 42 43 44 45	Canada Cayman Islands Chad Chile China Christmas Island	CA KY TD CL CN CX
40 41 42 43 44 45 46	Canada Cayman Islands Chad Chile China Christmas Island Cocos (Keeling) Islands	CA KY TD CL CN CX CC
40 41 42 43 44 45 46 47	Canada Cayman Islands Chad Chile China Christmas Island Cocos (Keeling) Islands Colombia	CA KY TD CL CN CX CX CC CO
40 41 42 43 44 45 46 47 48	Canada Cayman Islands Chad Chile China Christmas Island Cocos (Keeling) Islands Colombia Comoros	CA KY TD CL CN CX CX CC CO KM
40 41 42 43 44 45 46 47 48 49	Canada Cayman Islands Chad Chile China Christmas Island Cocos (Keeling) Islands Colombia Comoros Comoros	CA KY TD CL CN CX CX CC CO KM CG
40 41 42 43 44 45 46 47 48 49 50	Canada Cayman Islands Chad Chile China Christmas Island Cocos (Keeling) Islands Colombia Comoros Congo Republic Cook Islands	CA KY TD CL CN CN CX CC CO KM CG CK
40 41 42 43 44 45 46 47 48 49 50 51	Canada Cayman Islands Chad Chile China Christmas Island Cocos (Keeling) Islands Colombia Colombia Comoros Congo Republic Cook Islands Costa Rica	CA KY TD CL CN CX CX CC CO KM CG CG CK CR

ID	Name	ISO
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
74	Trance	
74	Gabon	GA
74 75 76	Gabon Gambia	GA
74 75 76 77	Gabon Gambia Germany	GA GM DE
74 75 76 77 78	Gabon Gambia Germany Ghana	GA GM DE GH
74 75 76 77 78 79	Gabon Gambia Germany Ghana Gibraltar	GA GM DE GH GI
74 75 76 77 78 79 80	Gabon Gambia Germany Ghana Gibraltar Greece	GA GM DE GH GI GR
74 75 76 77 78 79 80 81	Gabon Gambia Germany Ghana Gibraltar Greece Greenland	GA GM DE GH GI GR GL
74 75 76 77 78 79 80 81 82	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada	GA GM DE GH GI GR GL GD
74 75 76 77 78 79 80 81 82 83	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia	GA GM DE GH GI GR GL GD GE
74 75 76 77 78 79 80 81 82 83 83 84	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe	GA GM DE GH GI GR GL GD GE GP
74 75 76 77 78 79 80 81 82 83 83 84 85	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe Guam	GA GM DE GH GI GR GL GD GE GP GU
74 75 76 77 78 79 80 81 82 83 84 83 84 85 86	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe Guam Guatemala	GA GM DE GH GI GR GL GD GE GP GU GT
74 75 76 77 78 79 80 81 82 83 84 85 86 87	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe Guadeloupe Guam Guatemala Guinea-Bissau	GA GM DE GH GI GR GL GD GE GD GE GP GU GU GT GW
74 75 76 77 78 79 80 81 82 83 84 83 84 85 86 87 88	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe Guam Guatemala Guinea-Bissau Guernsey	GA GM DE GH GI GR GL GD GE GD GE GP GU GT GW GG
74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 88 89	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe Guadeloupe Guam Guatemala Guinea-Bissau Guinea	GA GM DE GH GI GR GL GD GE GD GE GD GE GD GE GV GU GT GW GG GN
74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 88 89 90	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe Guam Guatemala Guinea-Bissau Guinea Guinea	GA GM DE GH GI GR GR GD GD GE GD GE GD GE GV GU GT GW GG GV GG GV
74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe Guadeloupe Guam Guatemala Guinea-Bissau Guinea-Bissau Guinea Haiti	GA GM DE GH GI GR GR GD GE GD GE GD GE GD GE GV GU GT GW GG GN GY HT
74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 86 87 88 89 90 91 92	GabonGambiaGermanyGhanaGibraltarGreeceGreenlandGrenadaGeorgiaGuadeloupeGuamGuatemalaGuinea-BissauGuineaGuyanaHaitiHeard and McDonald Islands	GA GM DE GH GI GR GR GD GD GE GD GE GD GU GT GV GG GV GG GV HT HM
74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 87 88 89 90 91 92 93	GabonGabonGambiaGermanyGhanaGibraltarGreeceGreenlandGreenadaGeorgiaGuadeloupeGuatemalaGuinea-BissauGuineaGuyanaHaitiHeard and McDonald IslandsHong Kong	GA         GA         GM         DE         GH         GI         GR         GL         GD         GE         GP         GU         GT         GW         GG         GN         GY         HT         HK
74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 88 89 90 91 92 93 94	Gabon Gambia Germany Ghana Gibraltar Greece Greenland Grenada Georgia Guadeloupe Guadeloupe Guam Guatemala Guinea-Bissau Guinea-Bissau Guinea-Bissau Guinea Haiti Heard and McDonald Islands	GA         GA         GM         DE         GH         GI         GR         GL         GD         GE         GP         GU         GT         GW         GG         GN         GY         HT         HM         HK         HN

ID	Name	ISO
96	Iceland	IS
97	Cote d'Ivoire	CI
98	India	IN
99	Indonesia	ID
100	International	IZ
101	Iran	IR
102	Iraq	IQ
103	Ireland	IE
104	Isle of Man	IM
105	Israel	IL
106	Italy	IT
107	Jamaica	JM
108	Japan	JP
109	Jersey	JE
110	Jordan	JO
111	Cambodia	КН
112	Kazakhstan	KZ
113	Kenya	KE
114	Kiribati	KI
115	Kyrgyzstan	KG
116	Козоvо	ХК
117	Kuwait	KW
118	Laos	LA
119	Latvia	LV
120	Lebanon	LB
121	Lesotho	LS
122	Liberia	LR
123	Libya	LY
124	Liechtenstein	LI
125	Lithuania	LT
126	Luxembourg	LU
127	Macau	MO
128	Marshall Islands	MH
129	Madagascar	MG
130	Malawi	MW
131	Malaysia	MY
132	Maldives	MV
133	Mali	ML
134	Malta	MT
135	Martinique	MQ
136	Mauritania	MR
137	Mauritius	MU
138	Mavotte	ΥT

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ID	Name	ISO
139	Macedonia	MK
140	Mexico	MX
141	Montenegro	ME
142	Moldova	MD
143	Monaco	MC
144	Mongolia	MN
145	Montserrat	MS
146	Morocco	MA
147	Mozambique	MZ
148	Namibia	NA
149	Curaçao	CW
150	Nauru	NR
151	Nepal	NP
152	Netherlands	NL
153	New Caledonia	NC
154	Nicaragua	NI
155	Nigeria	NG
156	Niger	NE
157	Niue	NU
158	North Korea	КР
159	Northern Mariana Islands	MP
160	None	NX
161	Norfolk Island	NF
162	Norway	NO
163	Not Known	NN
164	New Zealand	NZ
165	Oman	OM
166	Pakistan	РК
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	Qatar Reunion	QA RE

ID	Name	ISO
182	Russia	RU
183	Rwanda	RW
184	Saudi Arabia	SA
185	South Africa	ZA
186	Saint Barthélemy	BL
187	Senegal	SN
188	Seychelles	SC
189	South Georgia and South Sandwich Islands	GS
190	Sierra Leone	SL
191	Singapore	SG
192	St. Maarten	SX
193	St. Kitts and Nevis	KN
194	South Korea	KR
195	Saint Lucia	LC
196	Slovakia	SK
197	Slovenia	SI
198	San Marino	SM
199	Solomon Islands	SB
200	Somalia	SO
201	South Ossetia	ZE
202	South Sudan	SS
203	Spain	ES
204	Western Sahara	EH
205	Sri Lanka	LK
206	St. Helena	SH
207	St. Martin	MF
208	St. Pierre and Miquelon	PM
209	Sudan	SD
210	Suriname	SR
211	Svalbard and Jan Mayen Islands	SJ
212	St. Vincent and the Grenadines	VC
213	Swaziland	SZ
214	Sweden	SE
215	Switzerland	СН
216	Syria	SY
217	Tajikistan	TJ
218	Djibouti	DJ
219	Taiwan	TW
220	Tanzania	TZ
221	Turks and Caicos Islands	ТС
222	Thailand	TH
223	Timor Leste	TL
224	Тодо	TG

ID	Name	ISO
225	Tokelau	ТК
226	Tonga	то
227	Trinidad and Tobago	TT
228	Tunisia	TN
229	Turkey	TR
230	Turkmenistan	TM
231	Turkish Republic of Northern Cyprus	ZC
232	Tuvalu	TV
233	United Arab Emirates	AE
234	Uganda	UG
235	United Kingdom	GB
236	Ukraine	UA
237	Burkina Faso	BF
238	Uruguay	UY
239	United States	US
240	Uzbekistan	UZ
241	Vanuatu	VU
242	Vatican City	VA
243	Venezuela	VE
244	U.S. Virgin Islands	VI
245	Vietnam	VN
246	Wallis and Futuna Islands	WF
247	Samoa	WS
248	Yemen	YE
249	Serbia	RS
250	Democratic Republic of the Congo	CD
251	Zambia	ZM
252	Zimbabwe	ZW

# **Occupations List**

#### ID Name

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

