



Onsite Batch User Manual

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Introduction

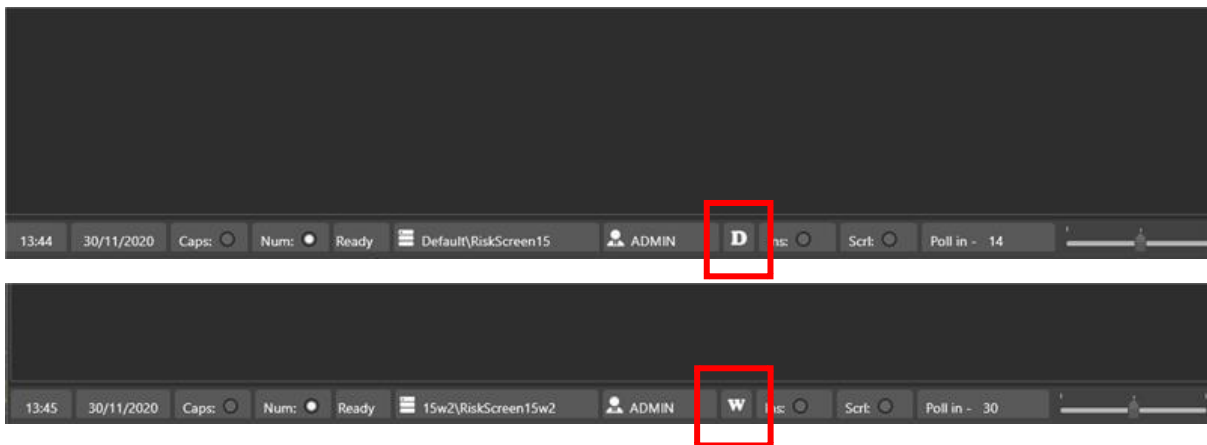
RiskScreen Onsite Batch allows you to monitor the KYC data of your clients on a continuous basis. This manual will detail what RiskScreen is capable of and how to take advantage of these capabilities.

Fundamentally RiskScreen stores a list of your clients ([Client Entities](#)) and periodically screens them against a list of Dow Jones Data or Worldcheck Entities ([Entities](#)) that may be:

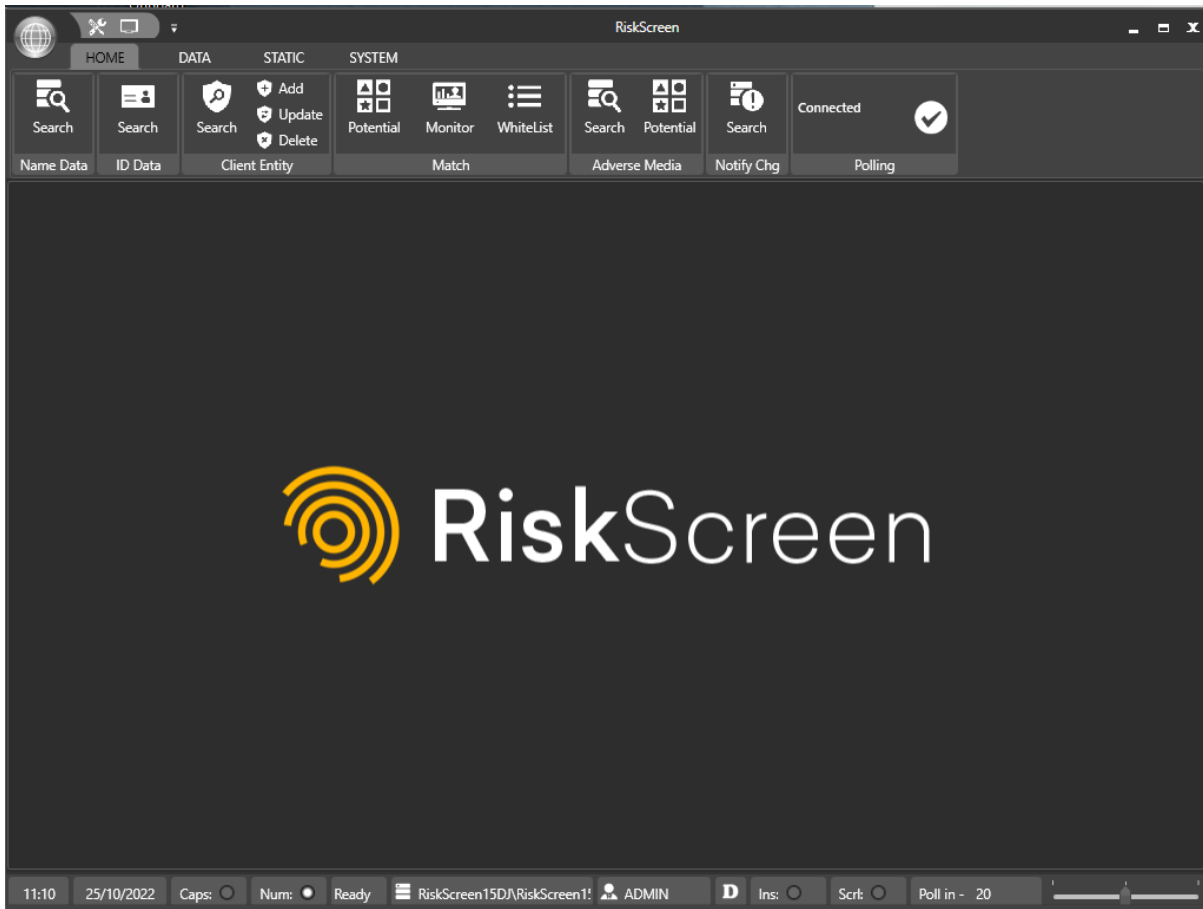
- Politically Exposed
- Sanctioned
- On a Special Interest Watchlist
- Relative or Close Associate of any of the above
- Adversely reported in the Media

This screening process will identify potential matches between your Client Entities and the list of Dow Jones 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:

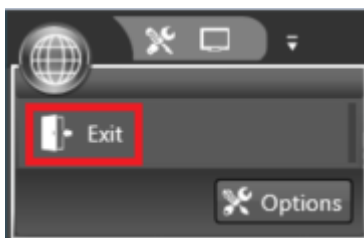


User Interface





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 [here](#).

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

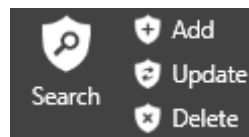
This means that there is a separate tab on the screen for each of the actions listed above for any data stored in the application. You will not be able to Update a client entity or user from an Enquiry screen or delete a user from the Maintenance screen.



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.
- 🔄 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
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 ↻
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

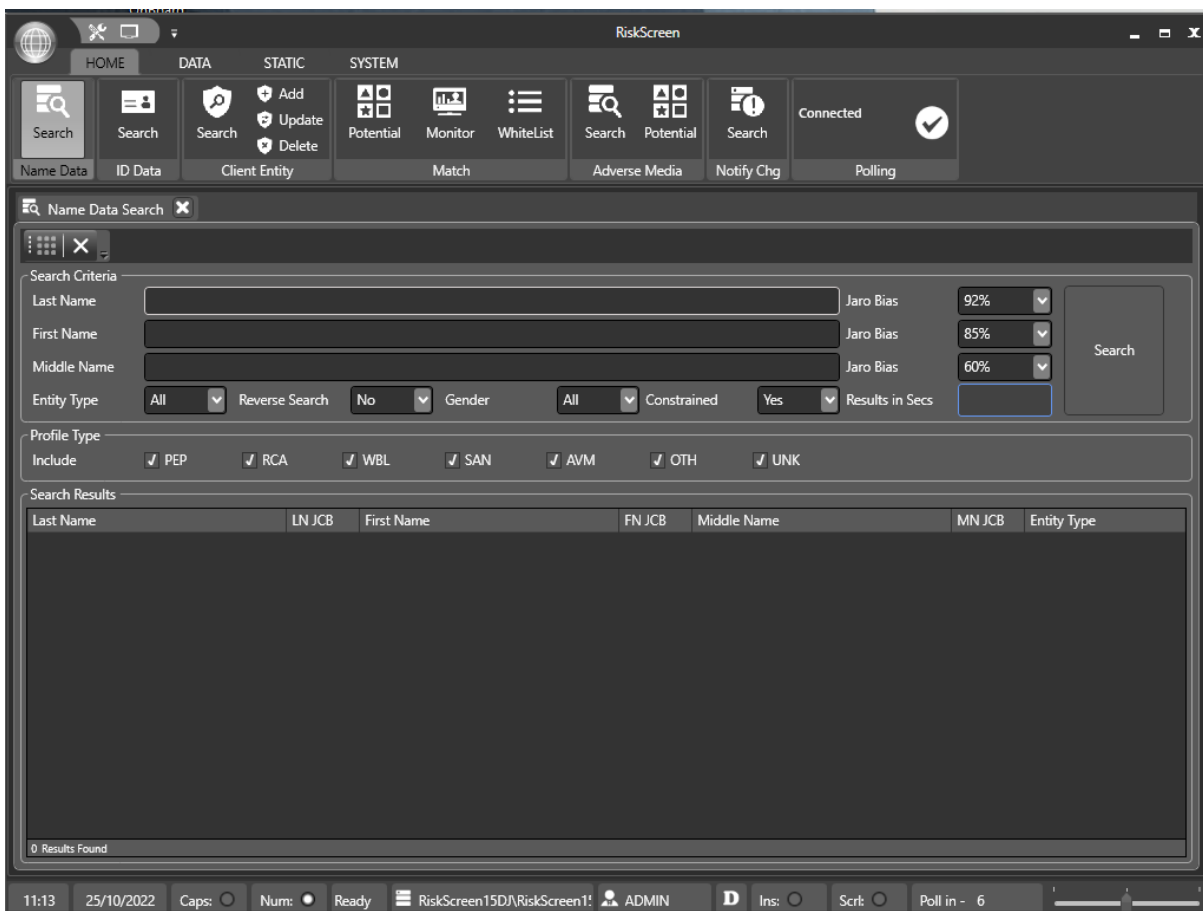
Throughout this manual you will be given directions to find a screen relating to functions performed within RiskScreen. The following convention will be used to point you to the correct screen:

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:

- 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 [Name Data Search](#) 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. <ul style="list-style-type: none"> • All • Person • Entity
Include Reverse Search	Select whether you want to include reverse search results. <ul style="list-style-type: none"> • Yes • No
Gender	Select the Gender of the entity you are looking for. <ul style="list-style-type: none"> • All • Male • Female
Constrained	Select whether to use Constrained or Unconstrained search. Note the Unconstrained search option has a detrimental impact on performance 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

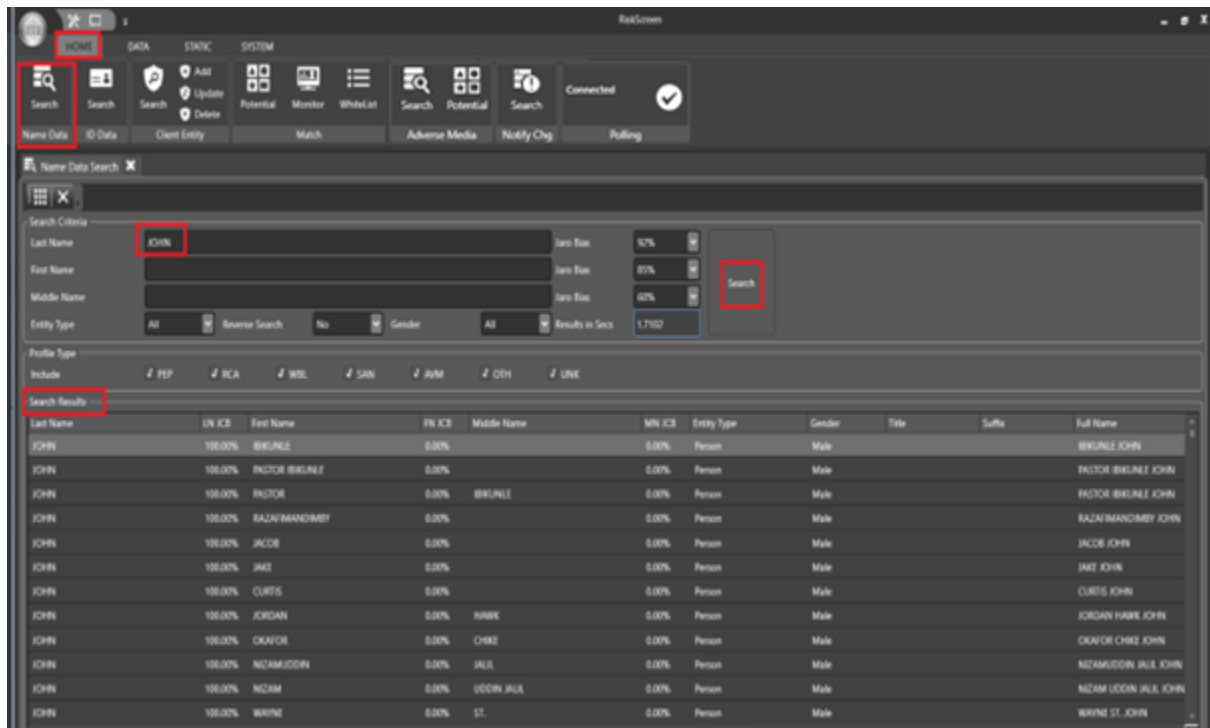
Parameter Information

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	Select whether you would like to search for entities that are not in any of the other sections: <ul style="list-style-type: none"> • Politically Exposed Person • Relative and Close Assoc • Watch List Special Interest • Sanctioned • Adverse Media

Search (Enquiry)

The search screen allows you to search the Dow Jones/Worldcheck data for a person or entity, refer to the [Understanding RiskScreen Search](#) for more information.

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 (⌘) in the top left of the working area

Once opened you will be shown the [Details](#) tab of the Entity.

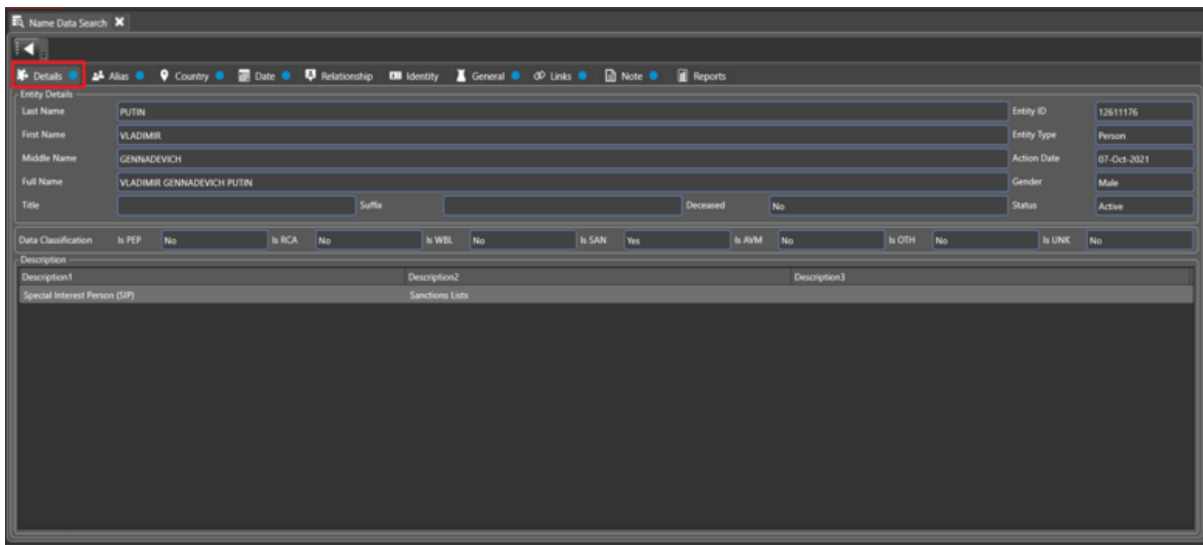
Entity Data

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 (🏠) 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.



Field Information

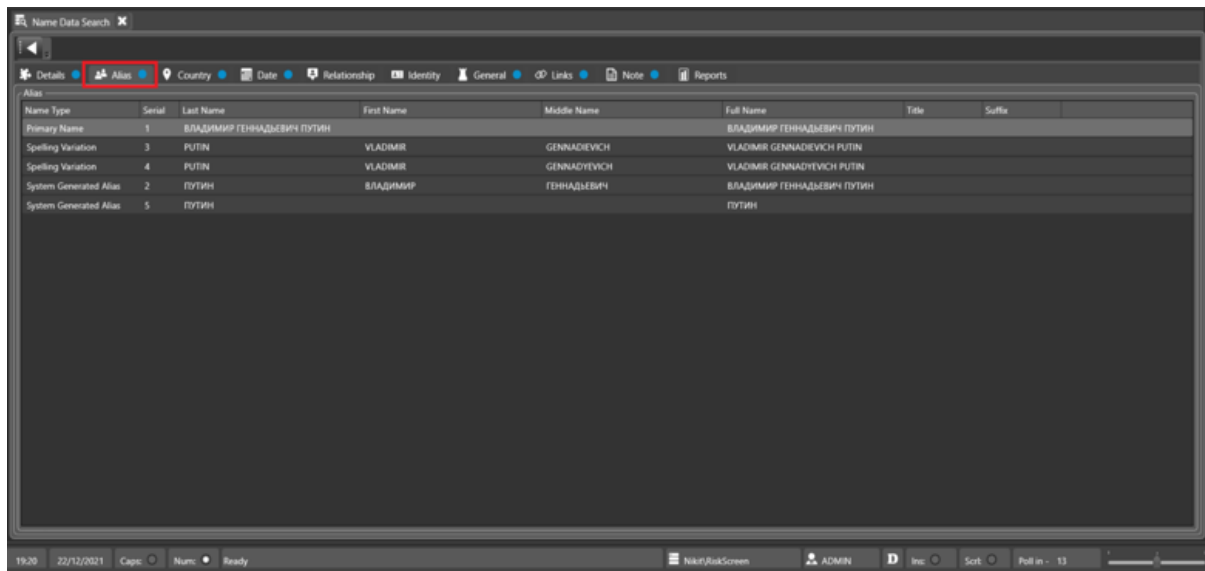
Last Name	If Entity Type is not Person, the entire name for the entity will appear in the Last Name field.
First Name	First name if the entity is a person.
Middle Name	Middle names if the entity is a person.
Full Name	Full first, middle, and last names of the entity.
Title	Title of the entity if it is 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	<ul style="list-style-type: none"> • Male • Female • Unknown • Not Applicable
Status	Active or Inactive
Is PEP	Yes or No
Is RCA	Yes or No
Is WBL	Yes or No

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.

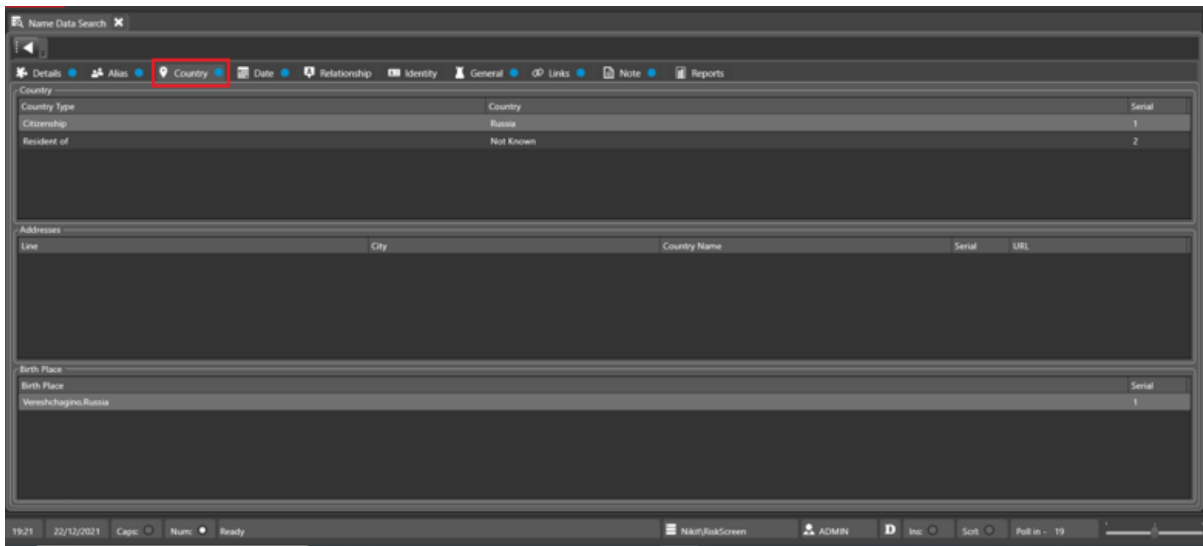


Field Information

Name Type	Type of alias record, refer to the Alias Types 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.



Field Information

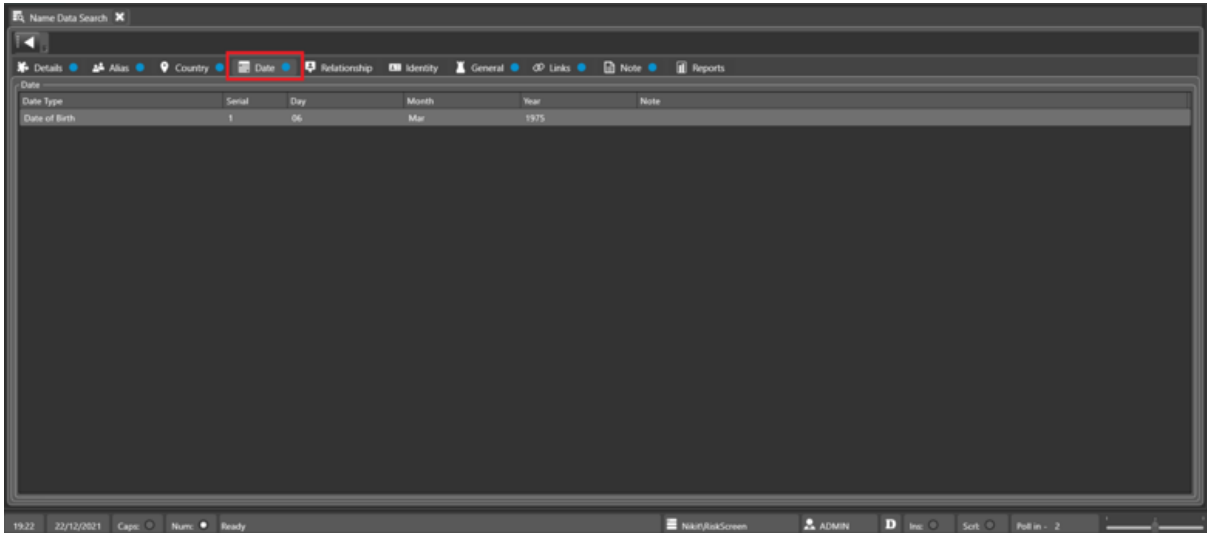
Country	Any countries the entity has a relationship with along with the type of relationship: <ul style="list-style-type: none"> • Unknown • Citizenship • Resident of • Jurisdiction • Country of Affiliation • Country of Registration • Enhanced Risk Country • Country of Reported Allegation • Sanctioned Region • Formerly Sanctioned Region
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Addresses	All known addresses for the entity.
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Birth Place	Birth place of the entity if it is a Person.
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Date

The Date tab contains all relevant dates for the entity.



Field Information

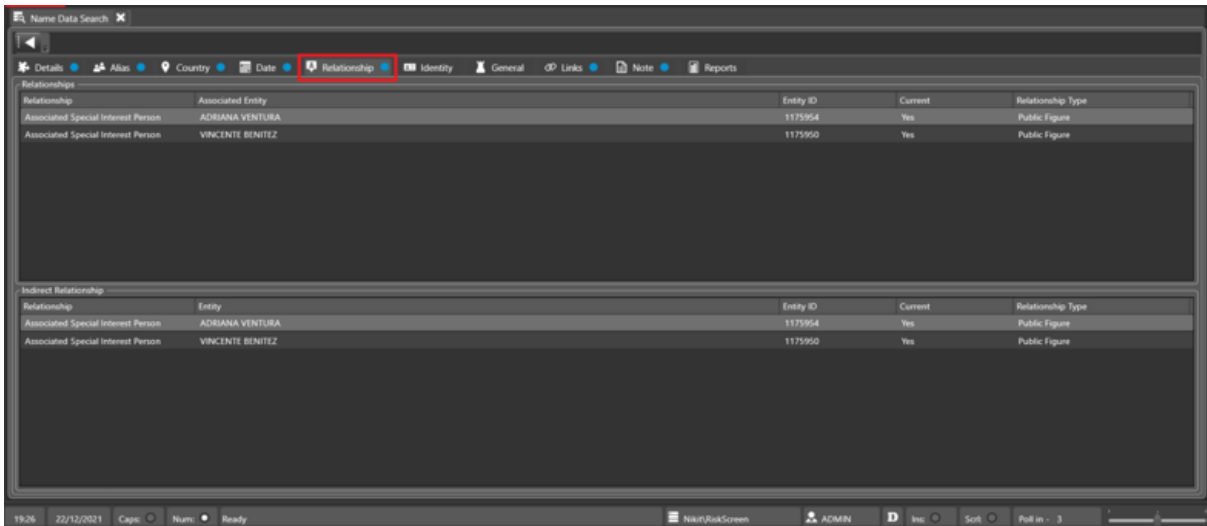
Date Type	<ul style="list-style-type: none"> • Date of Birth • Deceased Date • Date of Registration • Cessation Date • Inactive as of (PEP) • Inactive as of (RCA related to PEP)
-----------	---

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.



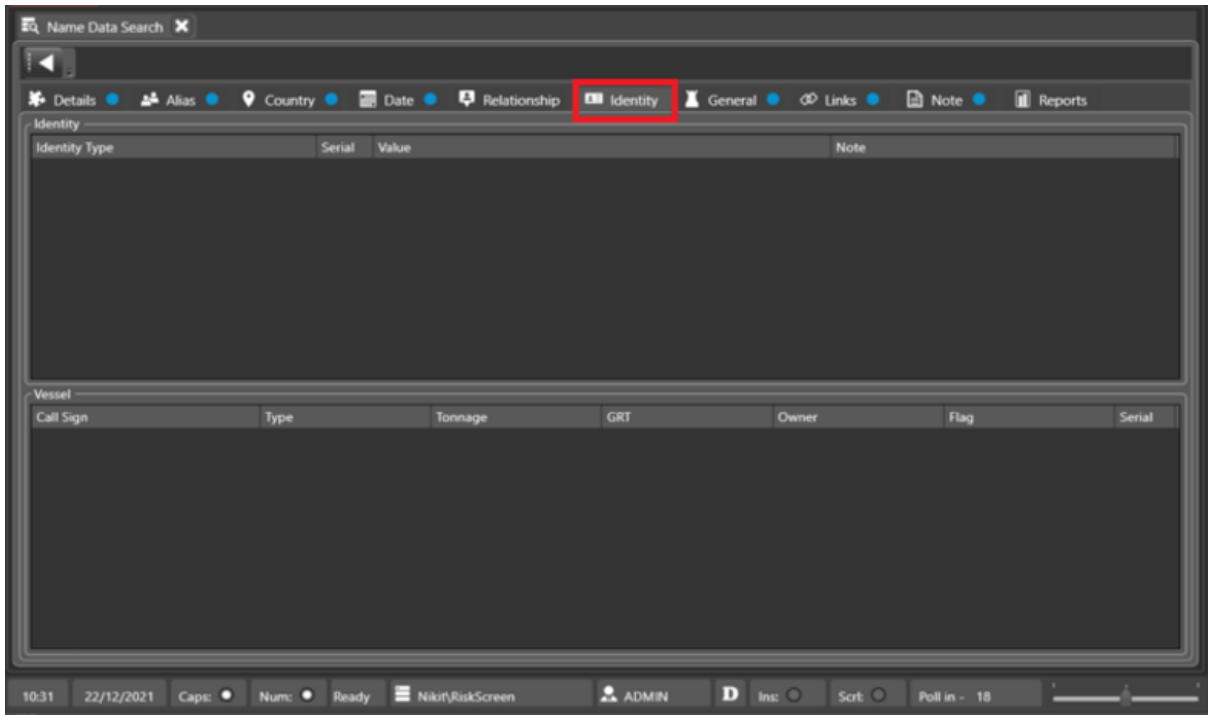
Indirect relationships are the opposite side of a direct relationship, for example:
Asma Al Assad has the relationship of “Mother” to Zein Al Assad, the indirect side of this relationship is Zein Al Assad has the relationship of Daughter to Asma Al Assad.

Field Information

Relationship	Type of relationship with the other entity. Refer to Relationship Types 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	Refers to the type of the entity the relationship is to. <ul style="list-style-type: none"> • Public Figure • Special Entity

Identity

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



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 [Identity Types](#) in the Appendix for a full list of possible identity types.

Value Data Value

Note Any applicable notes

Vessel *If the entity is a vessel further information will be shown in this section.*

Call sign The Call Sign of the Vessel

Type The Type of Vessel

Tonnage The Tonnage of the Vessel

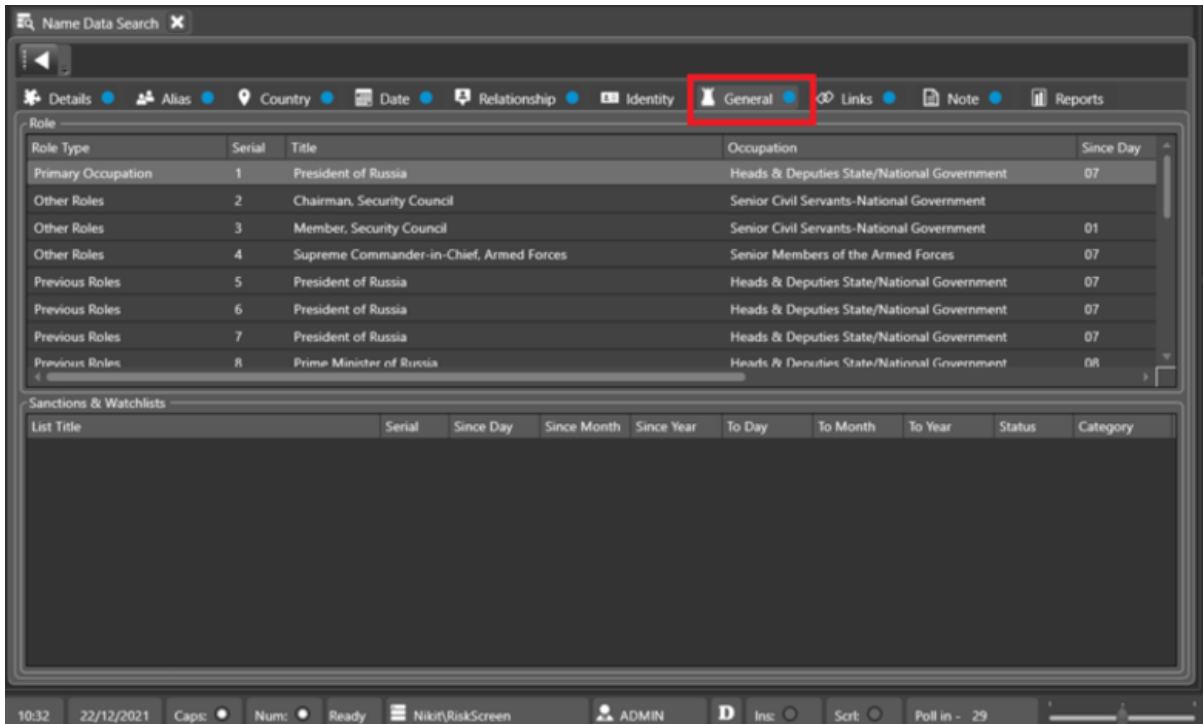
GRT Gross Registered Tonnage of the Vessel

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 [here](#).

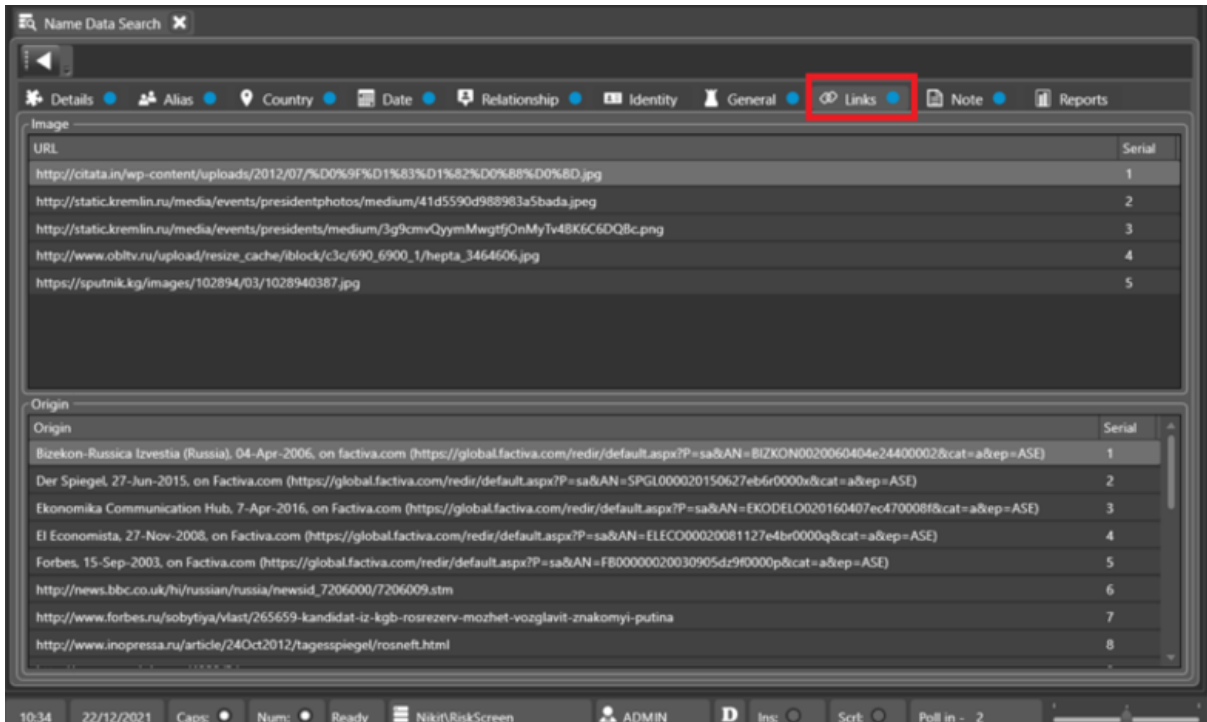


Field Information

Role	Any relevant roles being performed by the Entity
Role Type	Type of role. <ul style="list-style-type: none"> • 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	<i>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.</i>
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.



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.

Double clicking the record will open the URL in your browser.

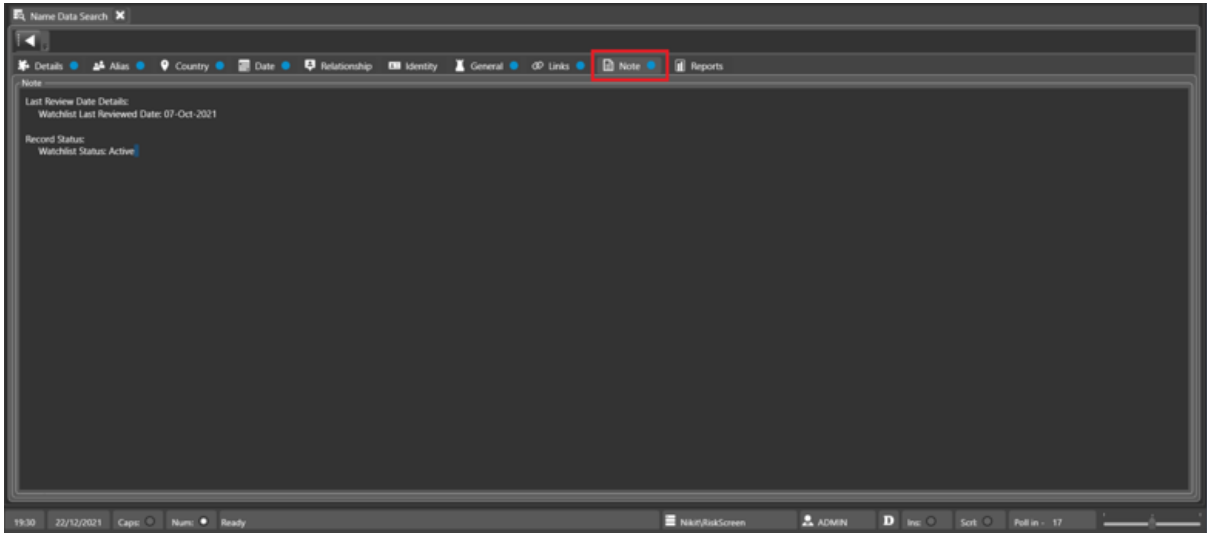
Origin All data collected on the entity has its origin listed in the origin section.

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.

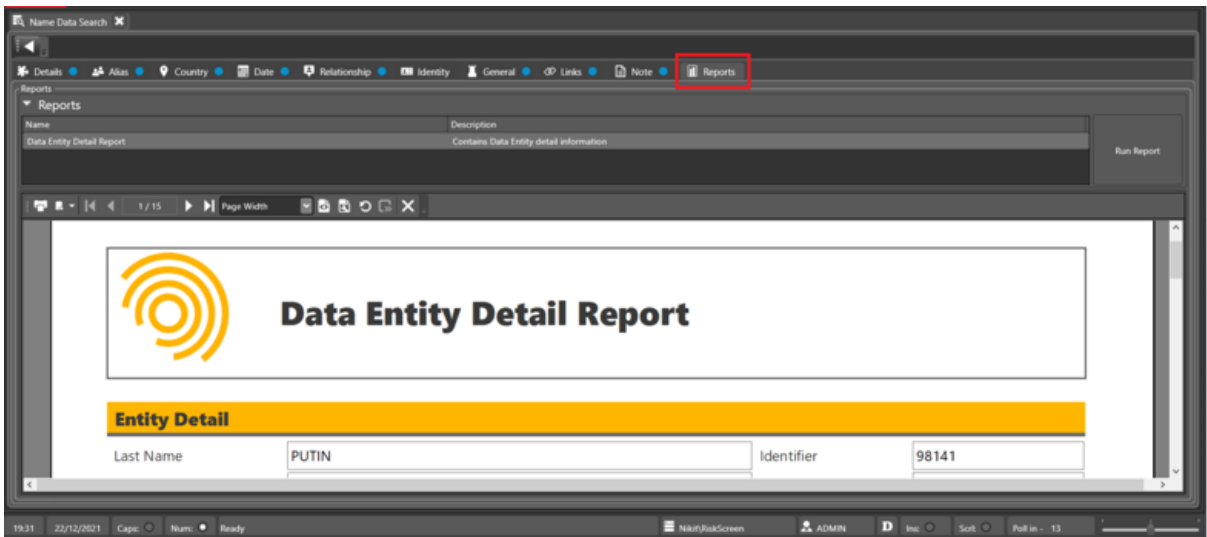
Note

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



Reports

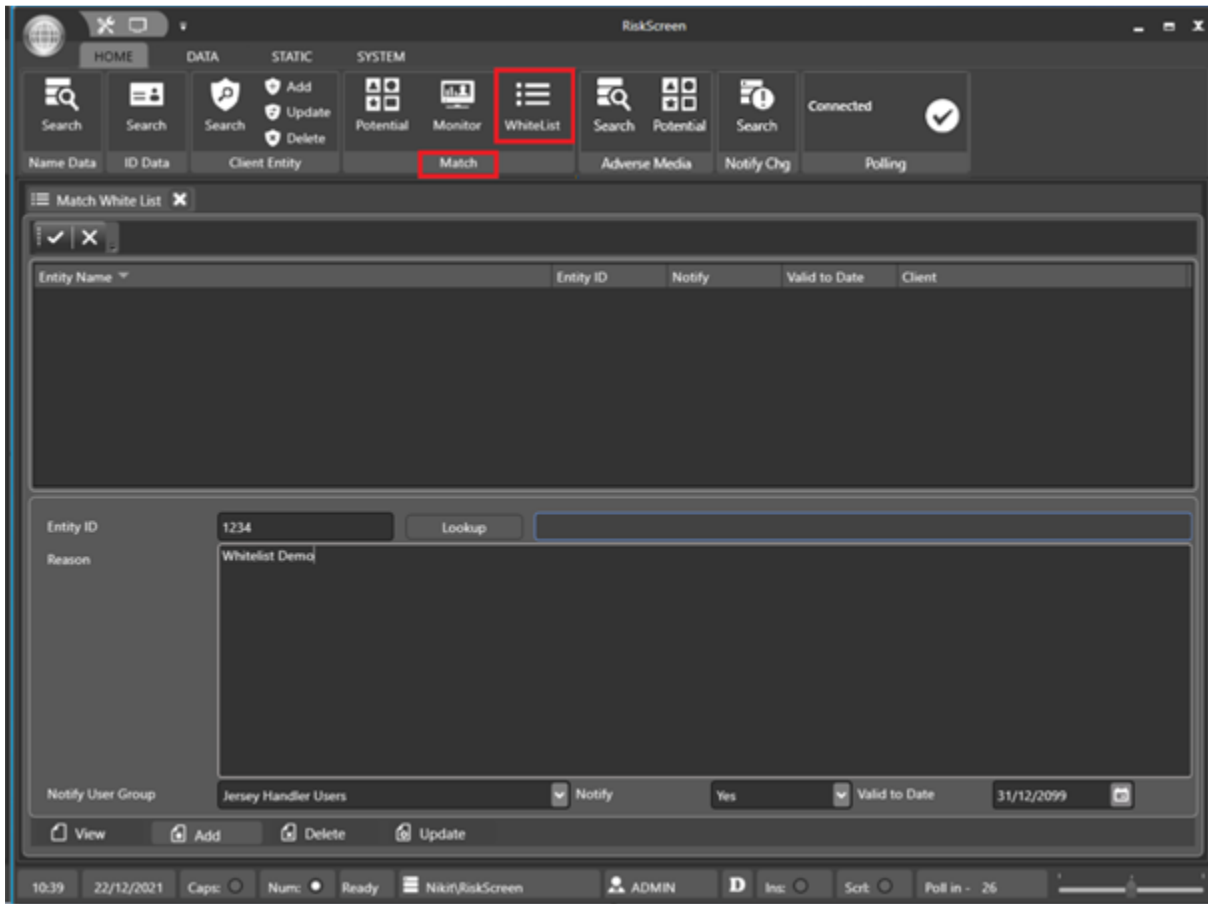
The Reports tab allows you to run reports related to the entity. The [Data Entity Detail Report](#) is currently the only report configured for Dow/Worldcheck Entities.



Whitelist

Whitelisted Dow/Worldcheck Entities are skipped during the screening process and will consequently never show up as a Match Potential. Whitelisted entities are [Client](#) specific.

Properties



Field Information

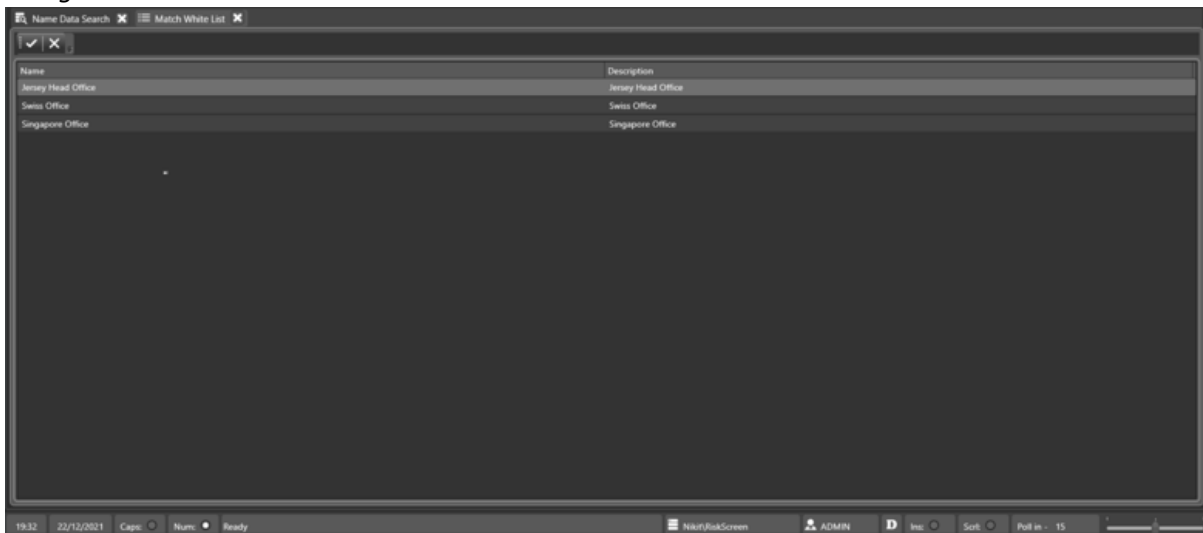
Entity ID	Dow/Worldcheck Entity ID to be whitelisted
Lookup	Clicking the “Lookup” button will fetch the name of the Dow/Worldcheck Entity relating to the Entity ID provided, ensure the name is correct for the entity you want to whitelist.
Reason	The reason why the Dow/Worldcheck Entity is whitelisted.
Notify User Group	If you want to notify a user group that the Dow/Worldcheck entity is being whitelisted select the User Group 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

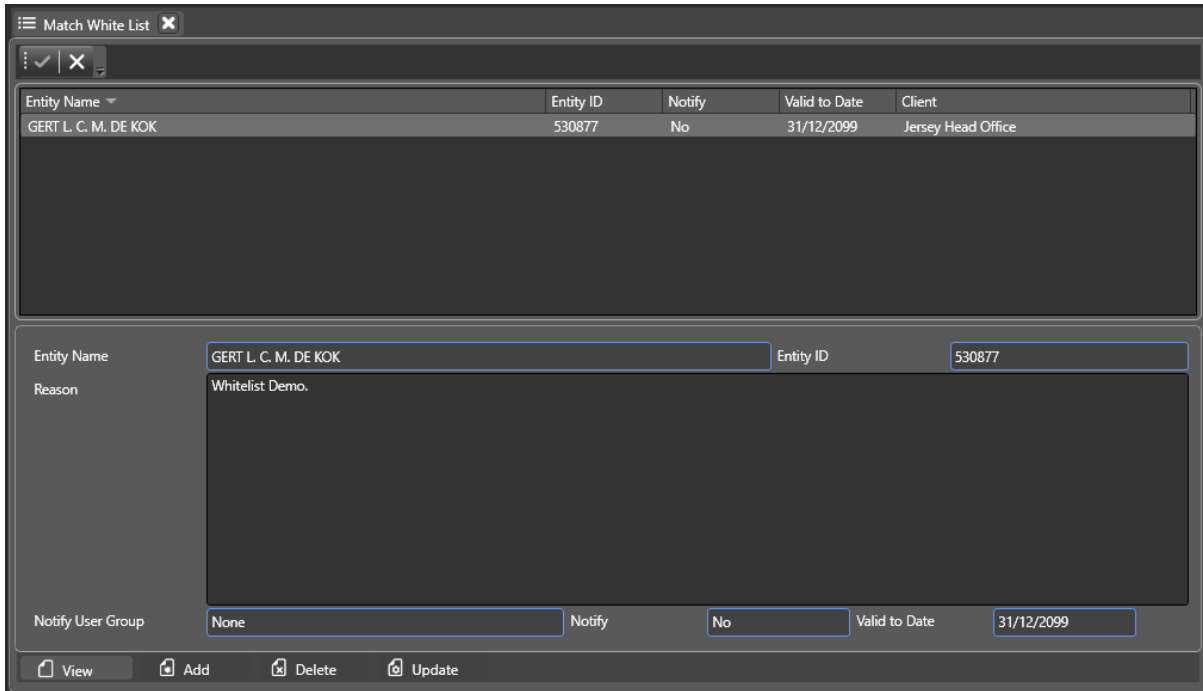
To show the Whitelisted Entities Enquiry screen for a Client:

- 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



Navigation: Home > Match > WhiteList > Client > View

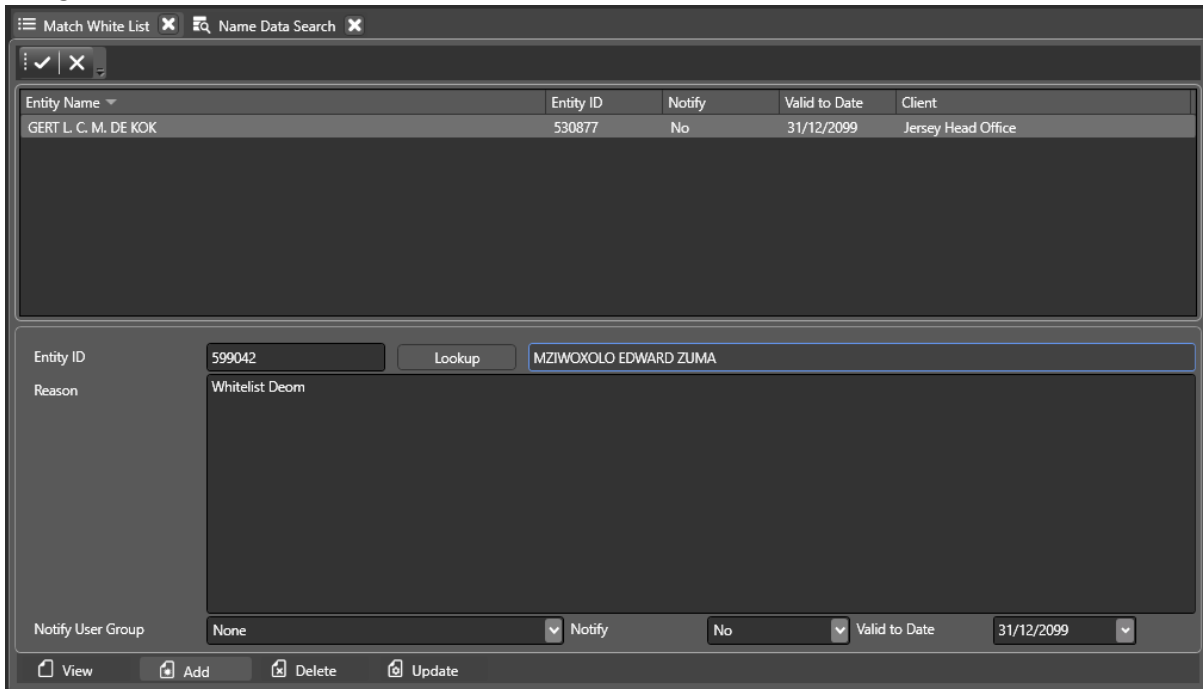


A list of whitelisted Dow/Worldcheck Entities will be shown in the top portion of the screen. The bottom portion of the screen will show additional information for the selected whitelisted entity.

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

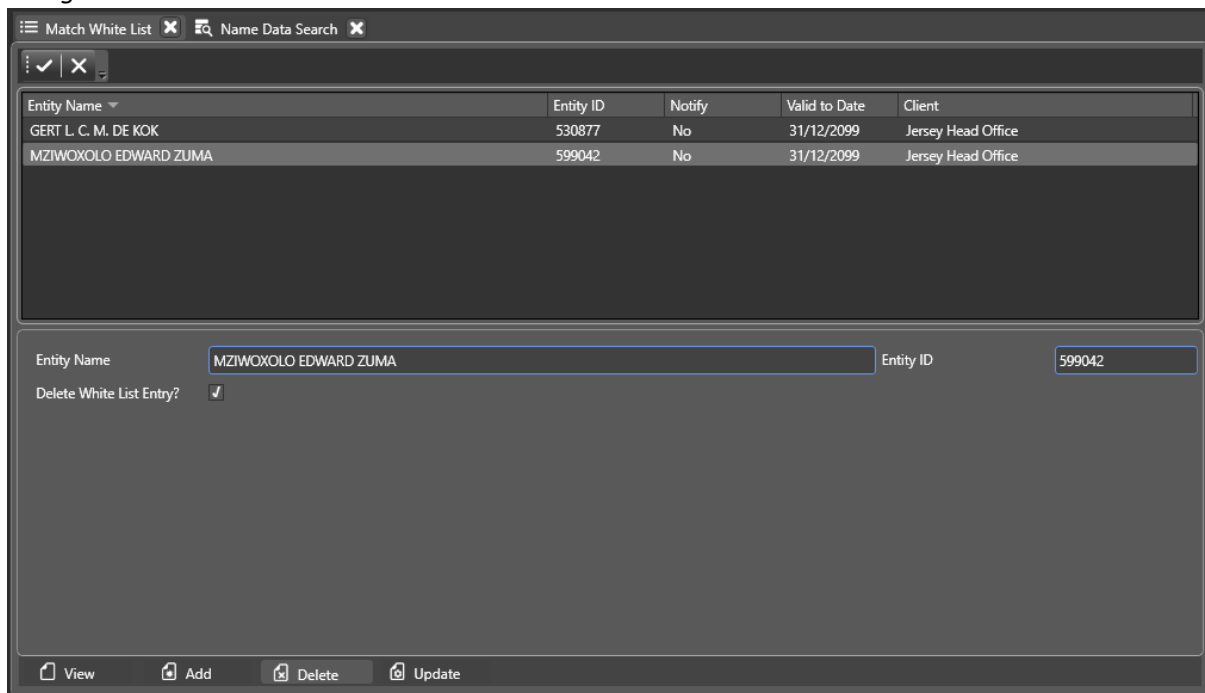


Delete

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

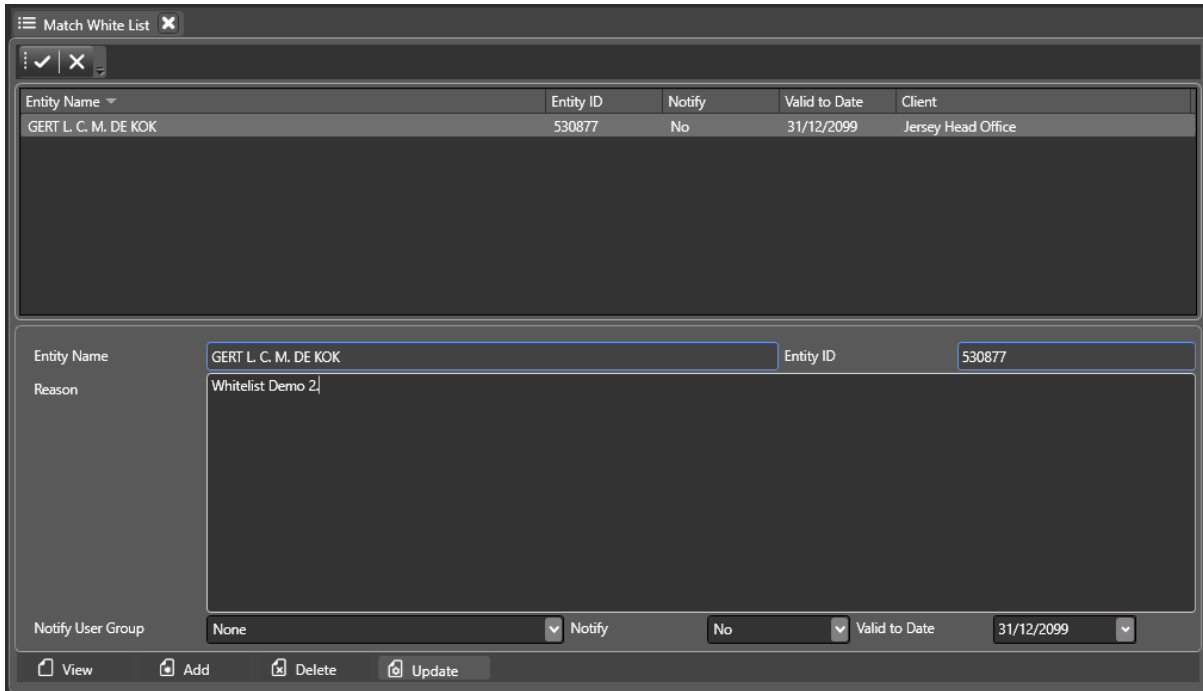


Update

To update a whitelist entry;

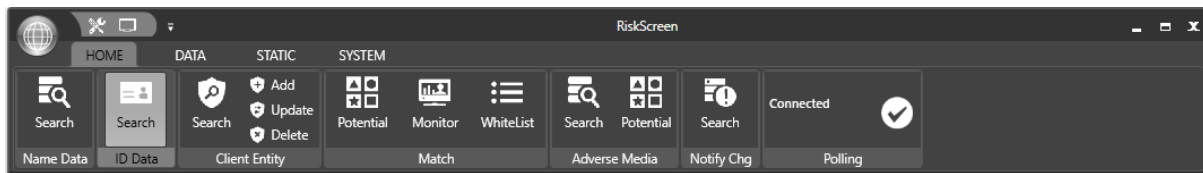
- Select the “Update” tab
- Select the entity you want to update
- Make the required changes to the data fields
 - Refer to the [Whitelist View](#) section for more information regarding the data fields
- Click the “tick mark” in the top left of the screen
 - You will not be asked to confirm the action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

Navigation: Home > Match > WhiteList > Client > Update



Identity Search

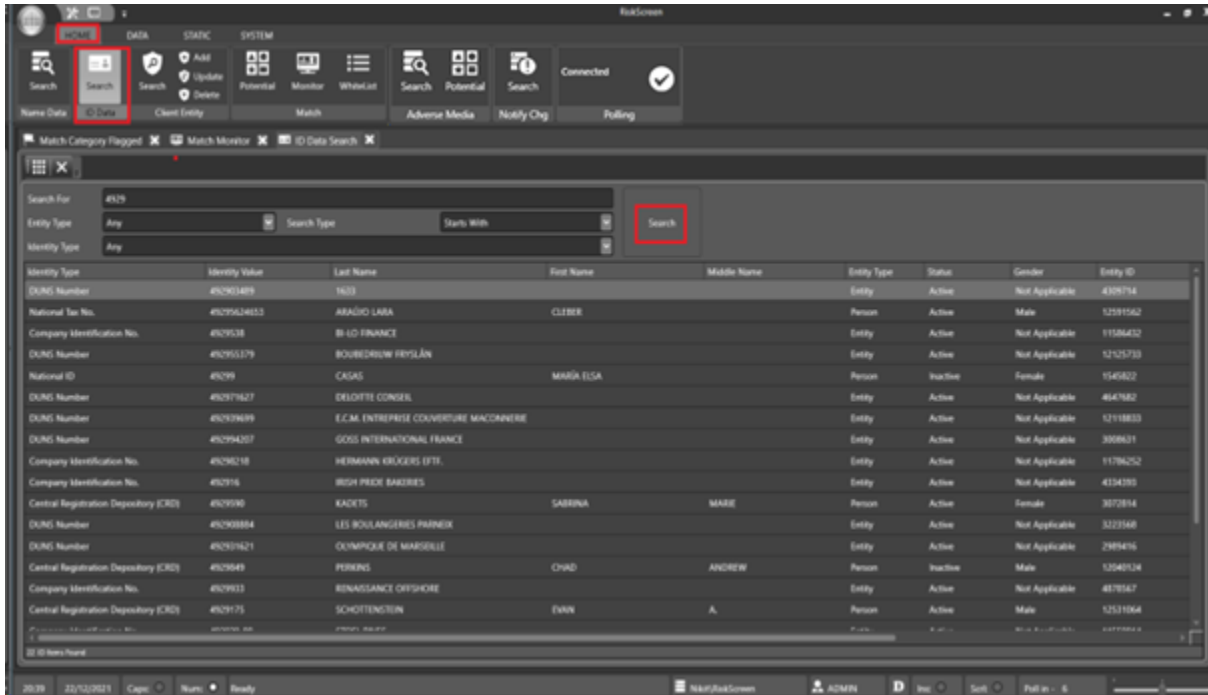
The identity search allows you to search for Dow Jones/Worldcheck entities based on an identity number in their profile. You can open the ID Data Search screen from the **Home** tab under the **ID Data** section.



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 [Search Parameters](#)).
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

Navigation: Home > ID Data > Search



Search Parameters

Parameter	Information
Search For	Search term you want to use to perform the search.
Entity Type Default (Any)	Select the entity type you are searching for. <ul style="list-style-type: none"> Any Entity Person
Search Type Default (Starts With)	Select where in the field the search term will appear. <ul style="list-style-type: none"> Starts With <ul style="list-style-type: none"> The search term you have entered appears at the start of the identity number. Contains <ul style="list-style-type: none"> The search term can appear anywhere in the identity number.
Identity Type Default (Any)	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: <ul style="list-style-type: none"> National ID National Tax No. DUNS Number Others Company Identification No. OFAC Program ID OFAC Unique ID Bank Identifier Code (BIC) Legal Entity Identifier (LEI) Driving Licence No. Social Security No.

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

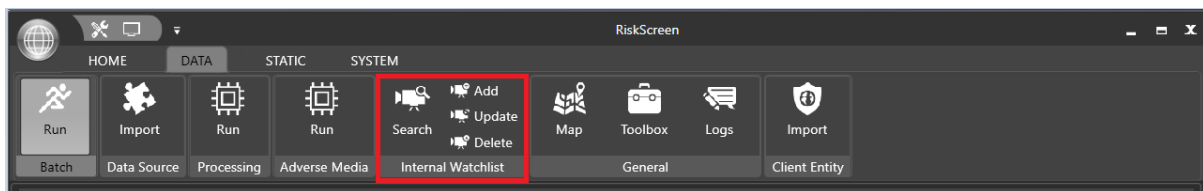
RiskScreen allows you to add additional entities to the Dow Jones/Worldcheck data to screen your client entities against. These additional entities are added to the Dow Jones/Worldcheck entities every time a screening run occurs and act in the same way as any other Dow Jones/Worldcheck entity.

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

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

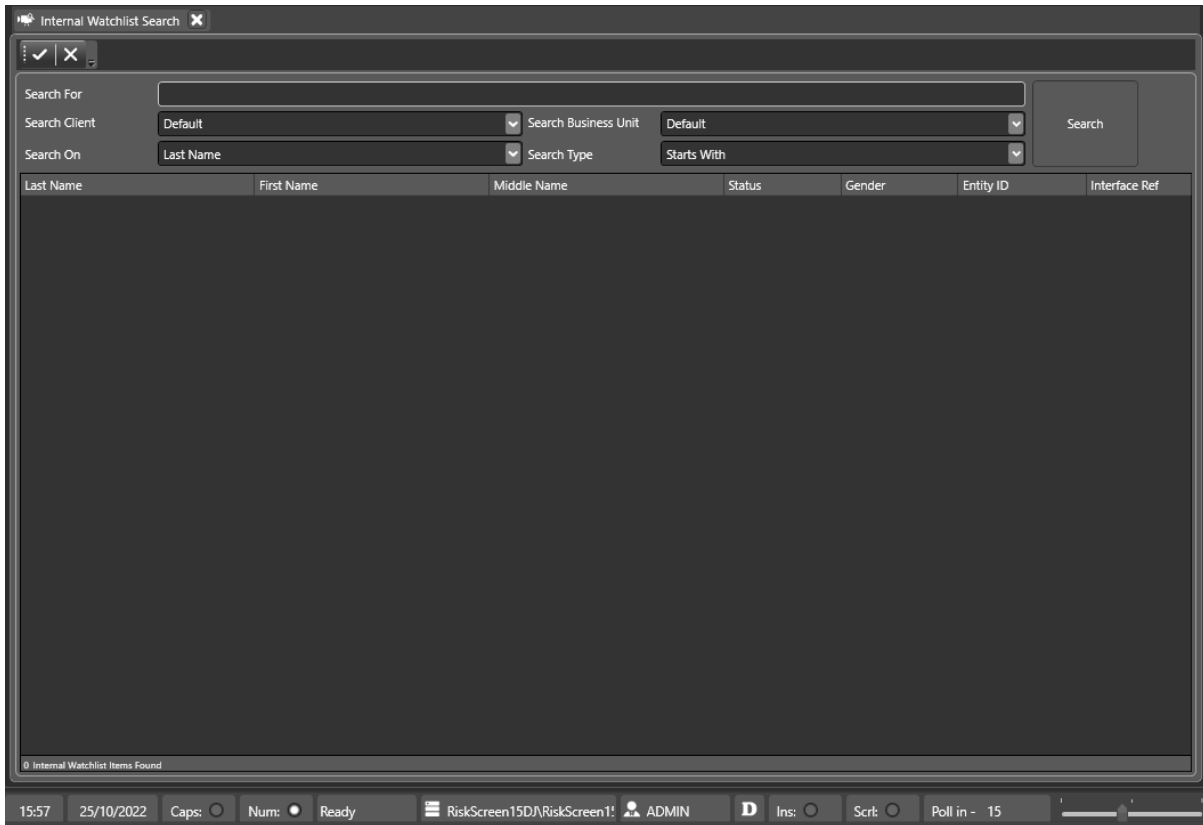
Internal watchlist entities are added to the Dow Jones/Worldcheck dataset as part of the [data import](#), any changes or additions will only appear after an import is run. Once added to the system through the Dow Jones/Worldcheck import entities on the internal watchlist act the same as normal Dow Jones/Worldcheck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



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	The field that will contain the search term you have entered.
Default (Last Name)	<ul style="list-style-type: none"> • Last Name • First Name • Middle Name • Entity ID • Interface Reference
Search Type	Select where in the field the search term will appear.
Default (Starts With)	<ul style="list-style-type: none"> • Starts With <ul style="list-style-type: none"> ○ The search term you have entered appears at the start of the field you are searching on. • Contains <ul style="list-style-type: none"> ○ The search term can appear anywhere in the field you are searching on.

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

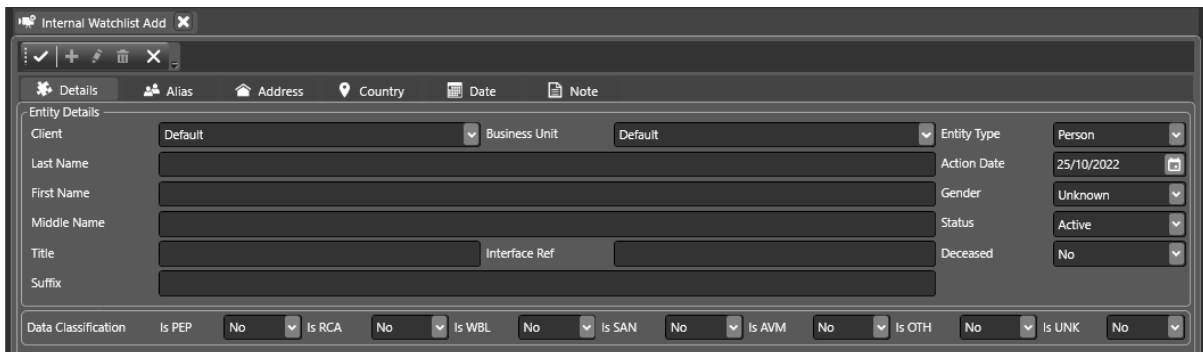
Internal watchlist entities are added using the Add screen in the internal watchlist section. When adding a new entity, you have the option of adding it with additional information (Alias, Address, Country, Date & Note) by adding records on the appropriate tabs. Once you have completed all the appropriate 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 [Update](#) screen.

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

-  Add the populated record to the internal watchlist
-  Add a new alias
-  Edit the selected alias record
-  Delete the selected alias record
-  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.



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.

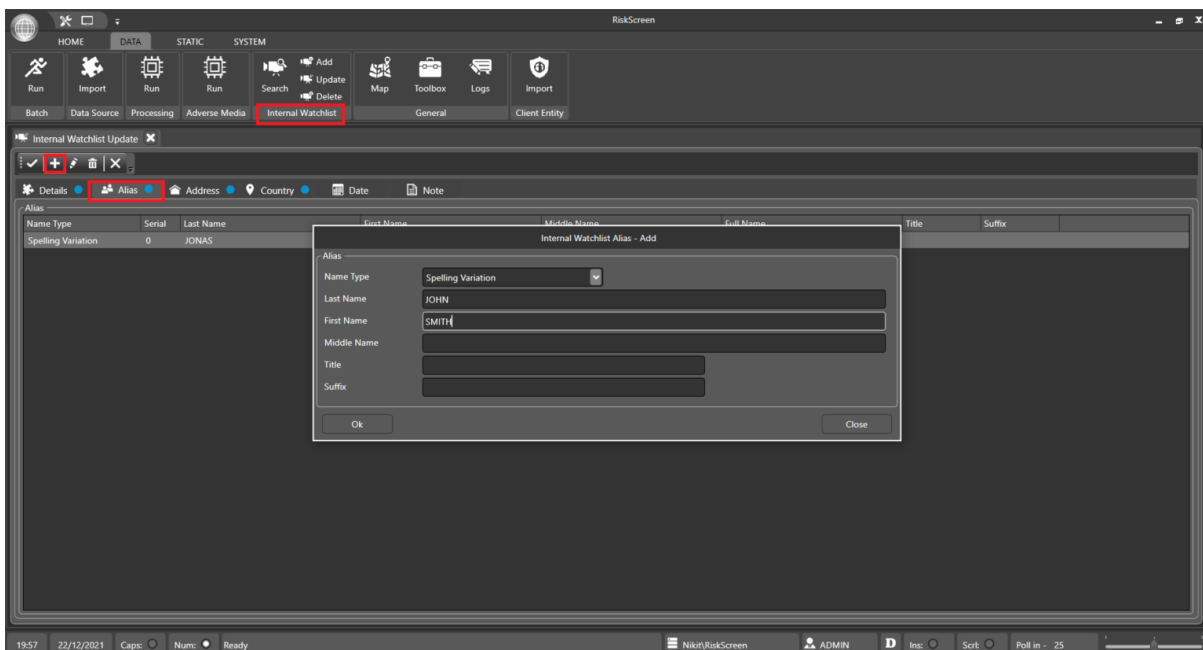
E.g. LTD, Limited, Co., etc.

Field Information

Entity Type	Person or Entity
Action Date	The date on which the entity was last updated.
Gender	Gender of the entity <ul style="list-style-type: none"> • Female • Male • Not Applicable <ul style="list-style-type: none"> ○ Use for entities of type Entity • Unknown
Status	Active or Inactive <p><i>Does not impact the screening process, Inactive persons & entities will still be screened against.</i></p>
Deceased	Yes or No <p><i>Does not impact the screening process, deceased persons will still be screened against.</i></p>
Is PEP	
Is RCA	
Is WBL	Sets whether the entity is on each of the lists.
Is SAN	
Is AVM	At least one of the lists needs to be set to "Yes" for the record to be added to the internal watchlist.
Is OTH	
Is UNK	

Alias

The internal watchlist alias tab captures the same information as the [Alias](#) 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".



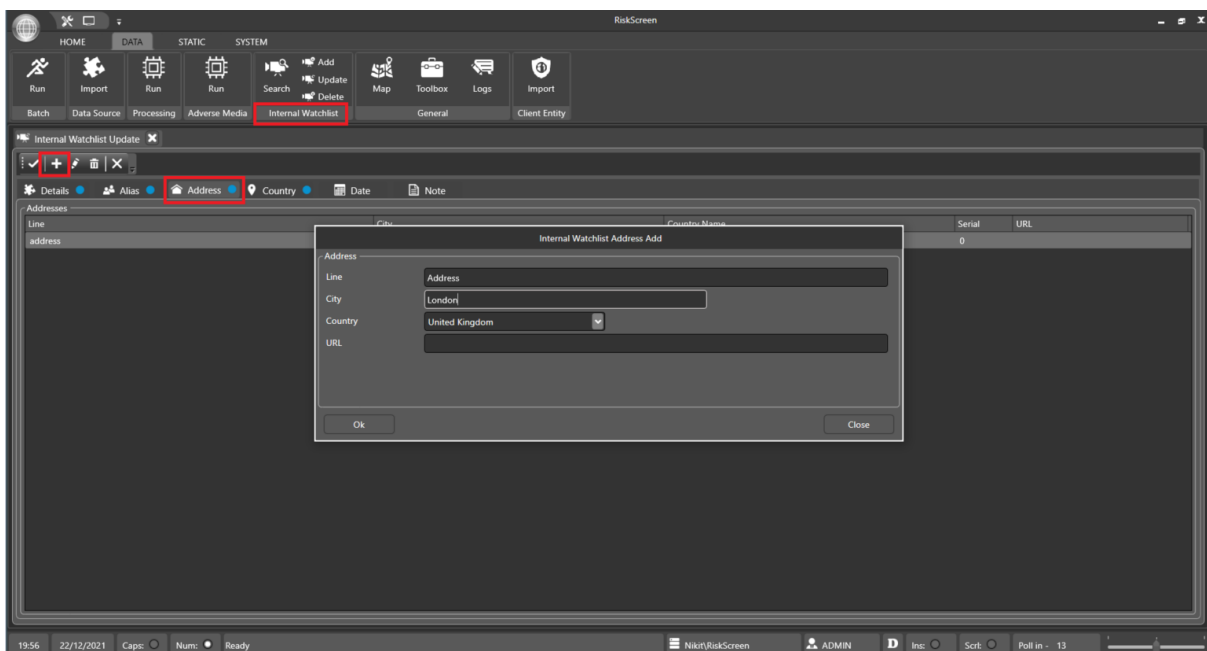
Field Information

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: <ul style="list-style-type: none"> • Person <ul style="list-style-type: none"> ○ Also Known As ○ Low Quality AKA ○ Maiden Name ○ Formerly Known As ○ Spelling Variation ○ Expanded Language Variation • Entity <ul style="list-style-type: none"> ○ Also Known As ○ Formerly Known As ○ Spelling Variation ○ Low Quality AKA ○ Expanded Language Variation
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 [Address](#) 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”.

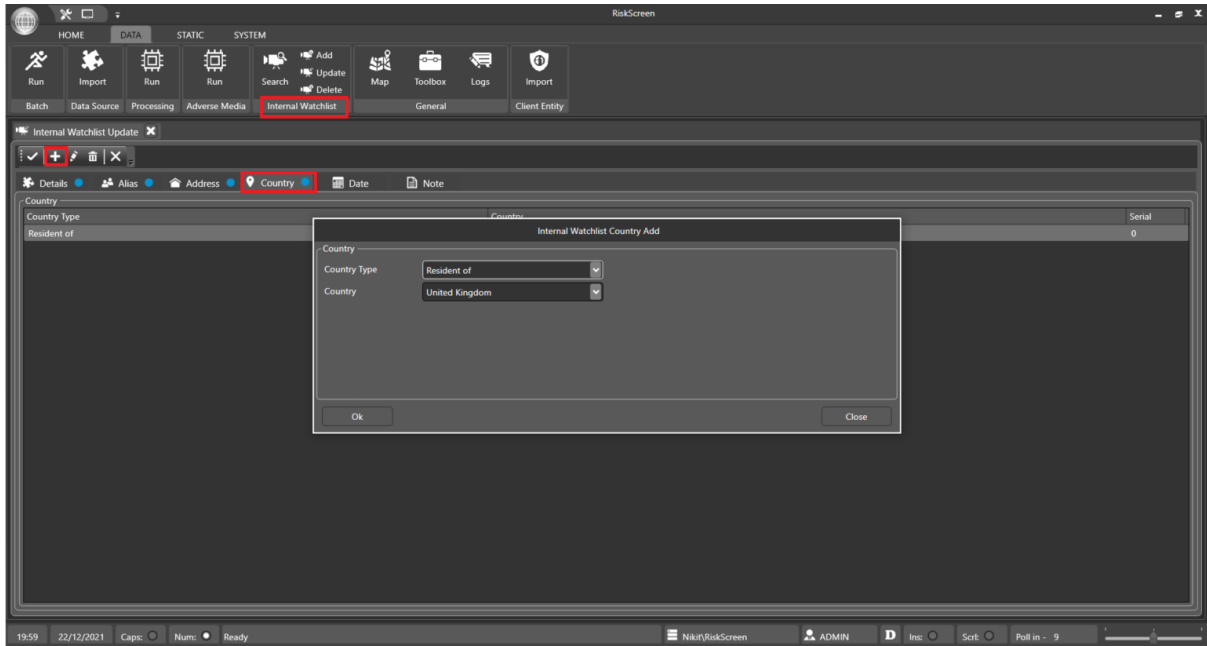


Field Information

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 [Country](#) 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”.



Field Information

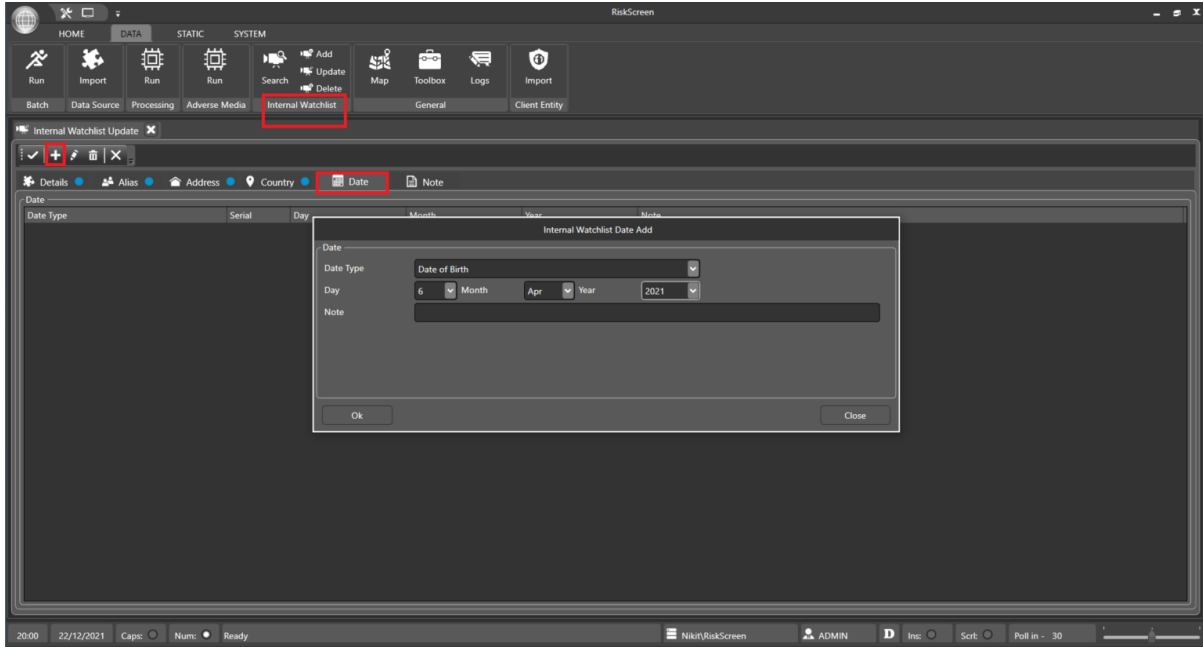
Country Type The type of relationship the entity/person has with the country selected. Below is a list of the available relationship types.

- 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.

Date

The internal watchlist date tab captures the same information as the [Date](#) 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”.



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

Day

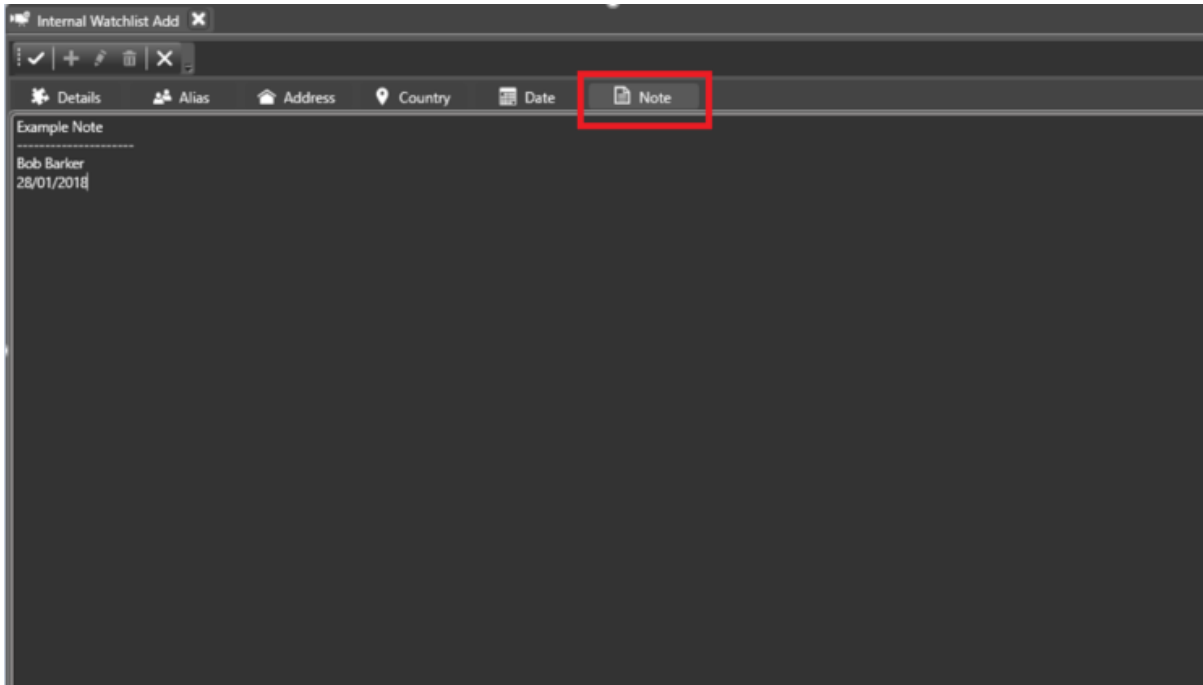
Month Day, month and year value for the date record.

Year

Note Any note relating to the date record.

Note

The internal watchlist note tab captures the same information as the [Note](#) tab for normal Dow Jones/Worldcheck entities. You can add a note by typing it into the space provided while on the Note tab.



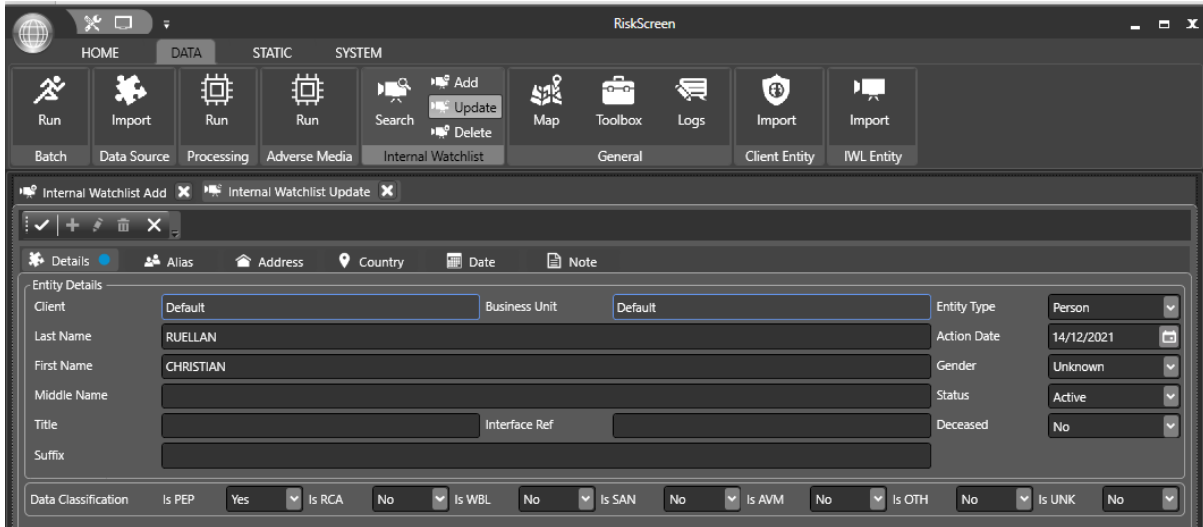
Bulk Import

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,MiddleName,Title,Suffix,Deceased,IsPEP,IsRCA,IsWBL,IsSAN,IsAVM,IsOTH,IsUNK,Aliases,Dates,Countries,Addresses,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.



**Tabs with a blue dot contain data.*

To delete an internal watchlist entity:

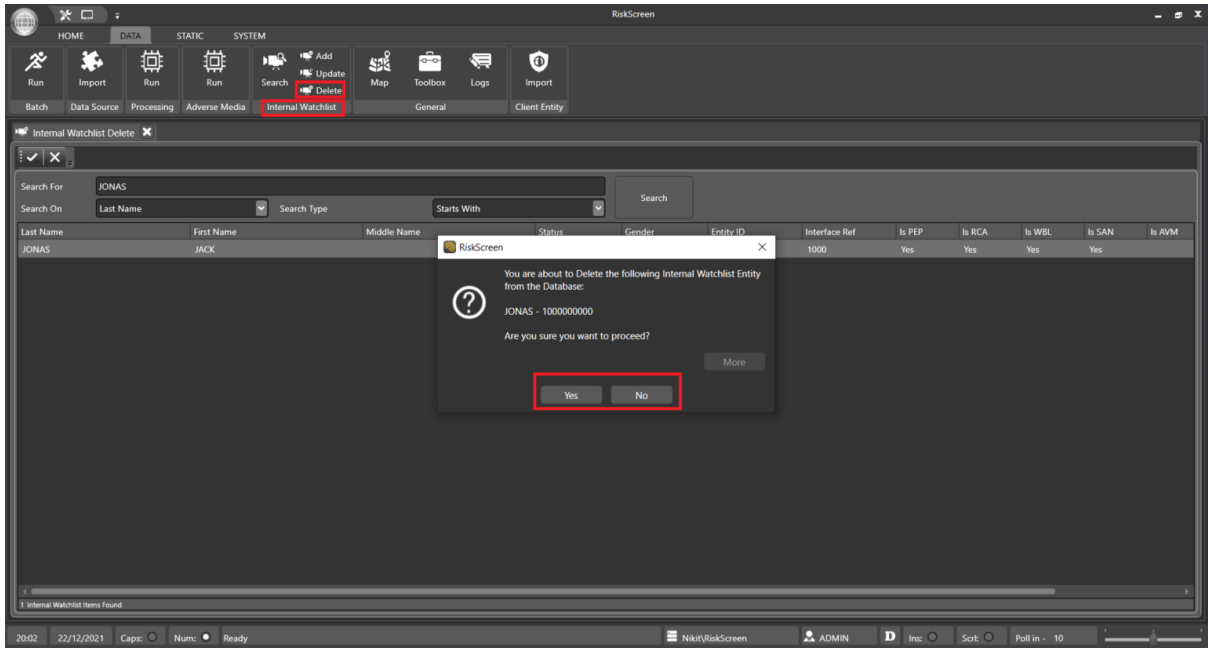
4. Open the **Update** screen from the **Data** tab under the **Internal Watchlist** section.
5. Search for the entity using the search controls provided.
6. Open the record you want to update from the list of search results by
 - a. Double clicking the record
 - b. Selecting the record and clicking the “tick” in the top left of the screen
7. Update the record as needed, see the [Add](#) 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

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



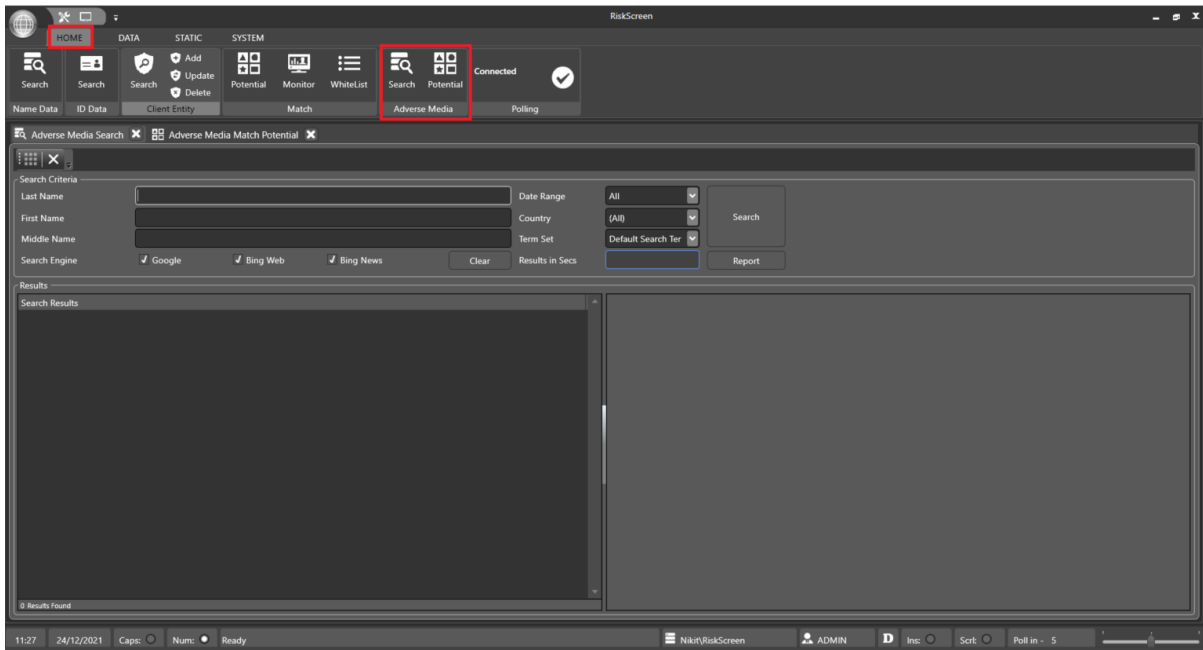
To delete an internal watchlist entity:

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



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

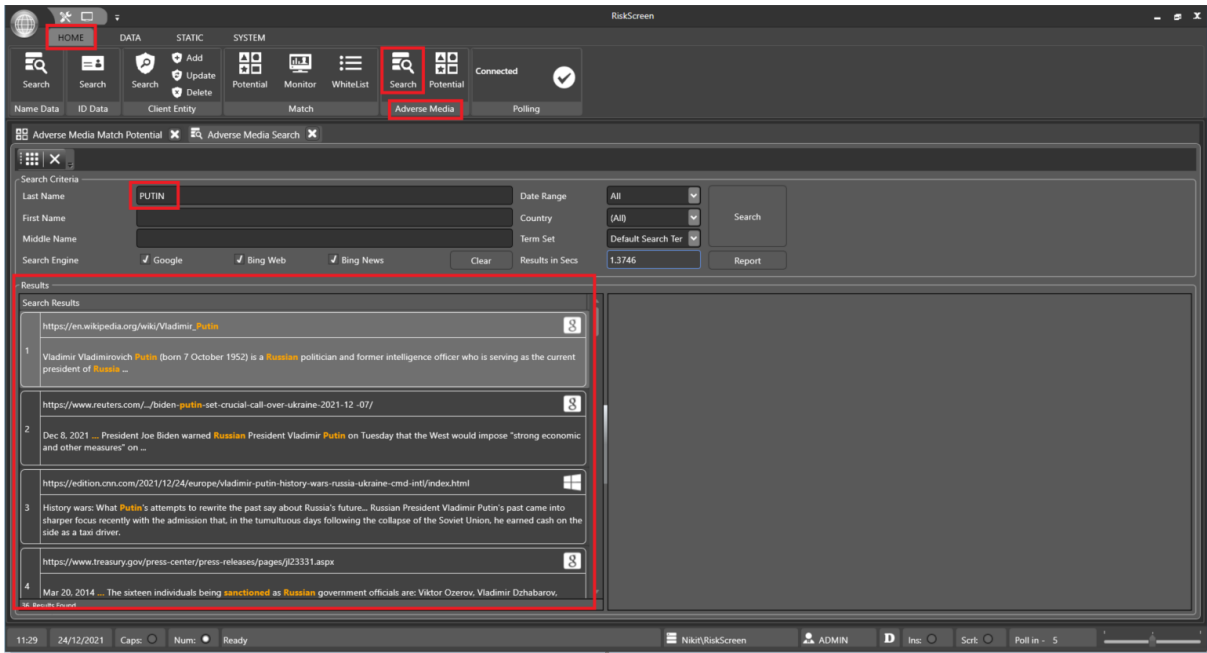
Once you have clicked on search option, System will give you an option to search for your entity.

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

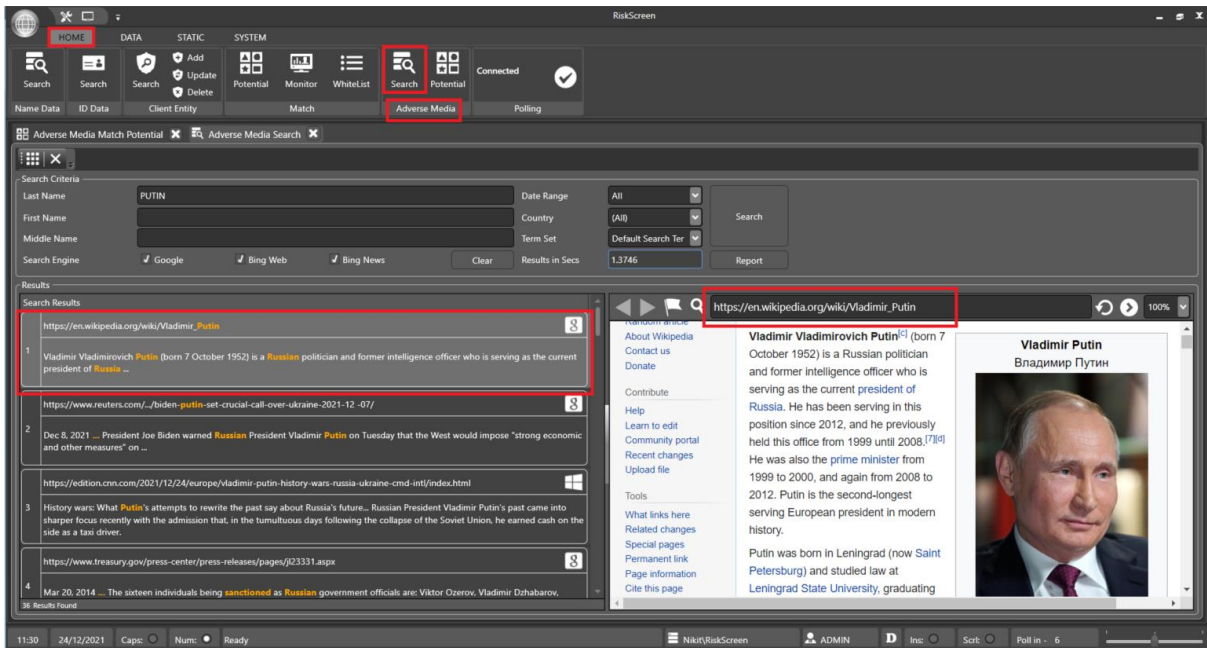
Field Information

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.
Date Range	Date range relevant to search
Country	Name of country for search
Term Set	Allows you to set searching Criteria
Results in Secs	Display search time
Search Engine	If ticked, Enables type of search engine
Clear	Clears existing search results
Search	Returns a result based on user inputs
Report	Generate report
Search Results	Displays Adverse Media Potential matches

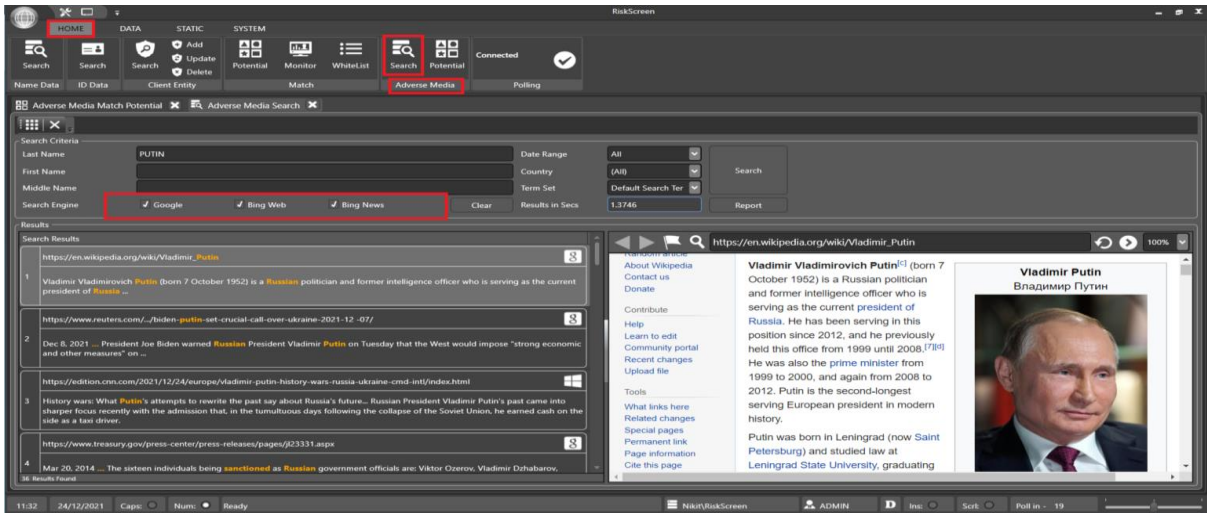
On searching an entity, System will display search results in left hand of the screen.



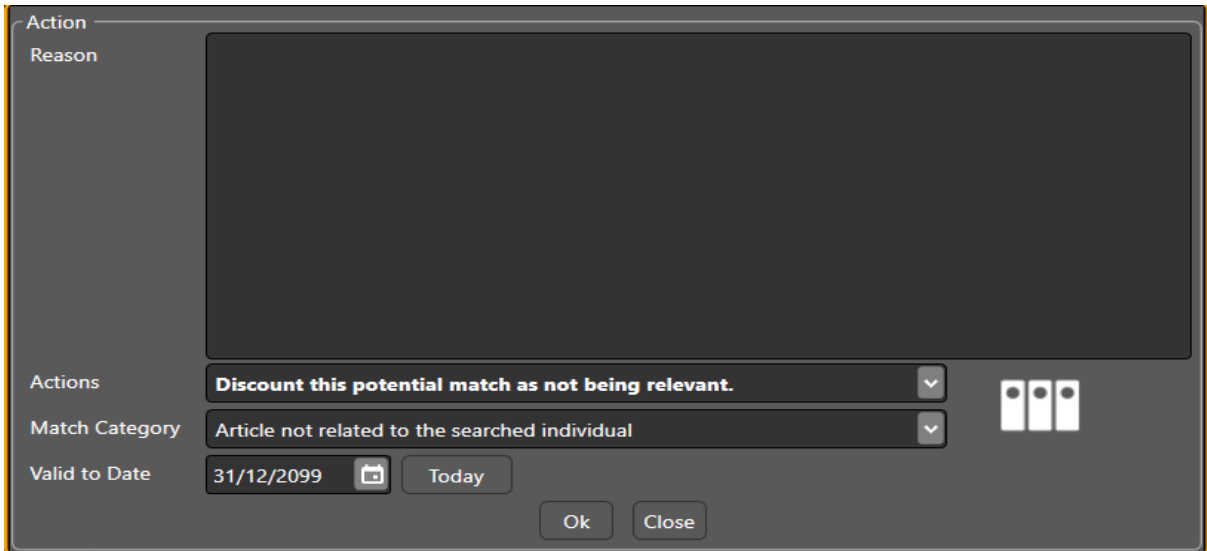
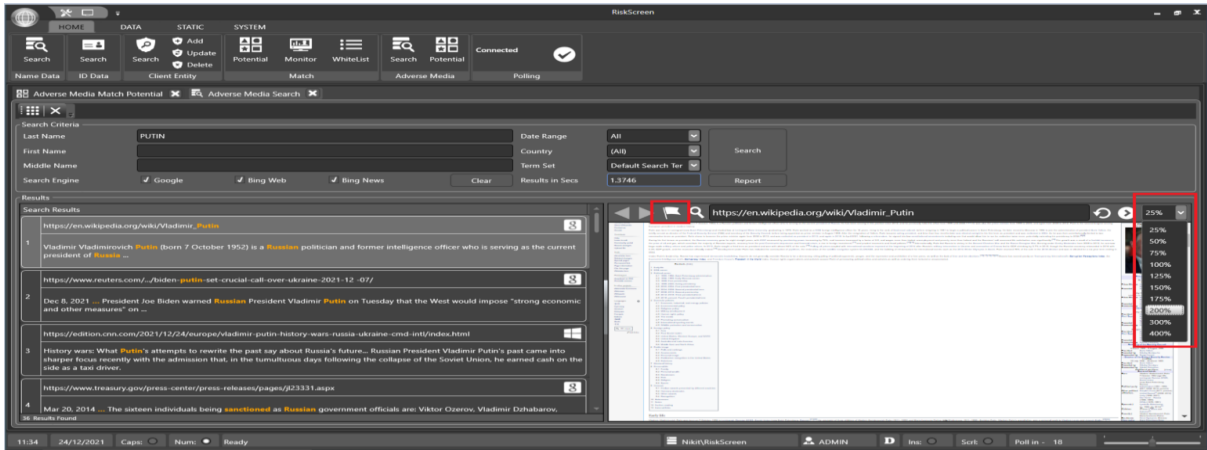
Search results allows you to view detailed Adverse Media information by clicking on the results. This screen will also display name of search engine.



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



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.

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

**[Name Data \(Ad hoc\) Search](#) ignores this step.*

Exclude Mismatching Dates

Results that have a birth/incorporation date related to them (found on the [Date](#) 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.

**[Name Data \(Ad hoc\) Search](#) 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 [Country](#) 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.

**[Name Data \(Ad hoc\) Search](#) 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.

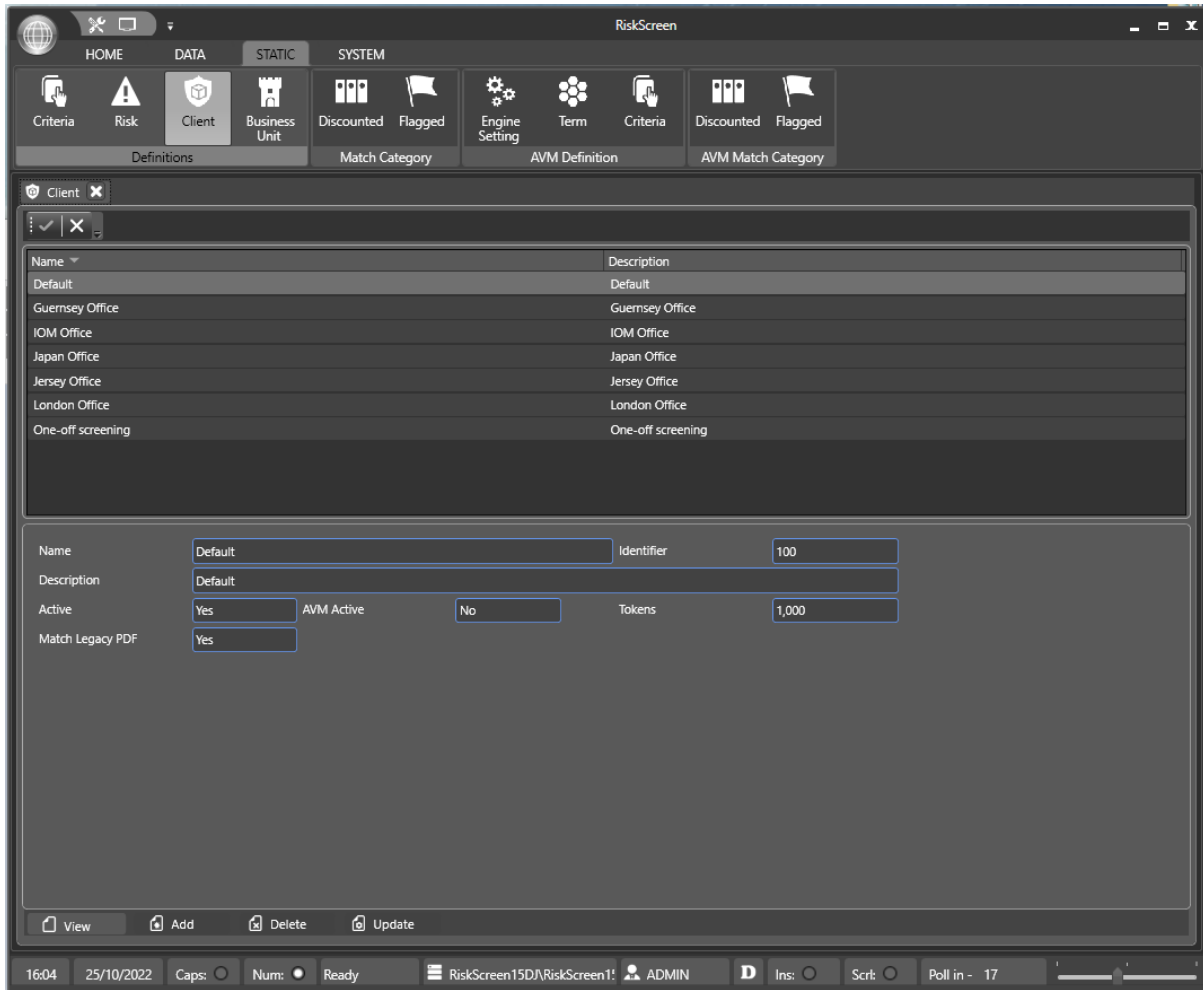
Properties

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.

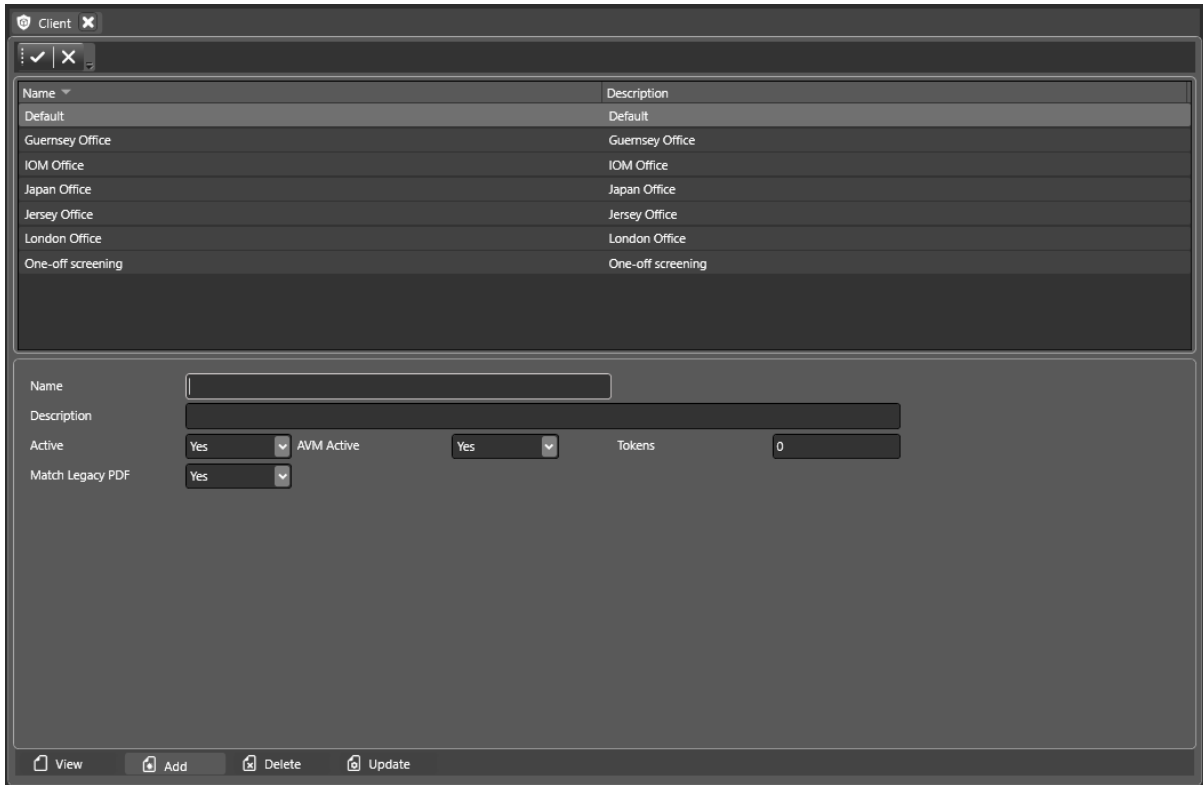
Navigation: Static > Definitions > Client > View



Add

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

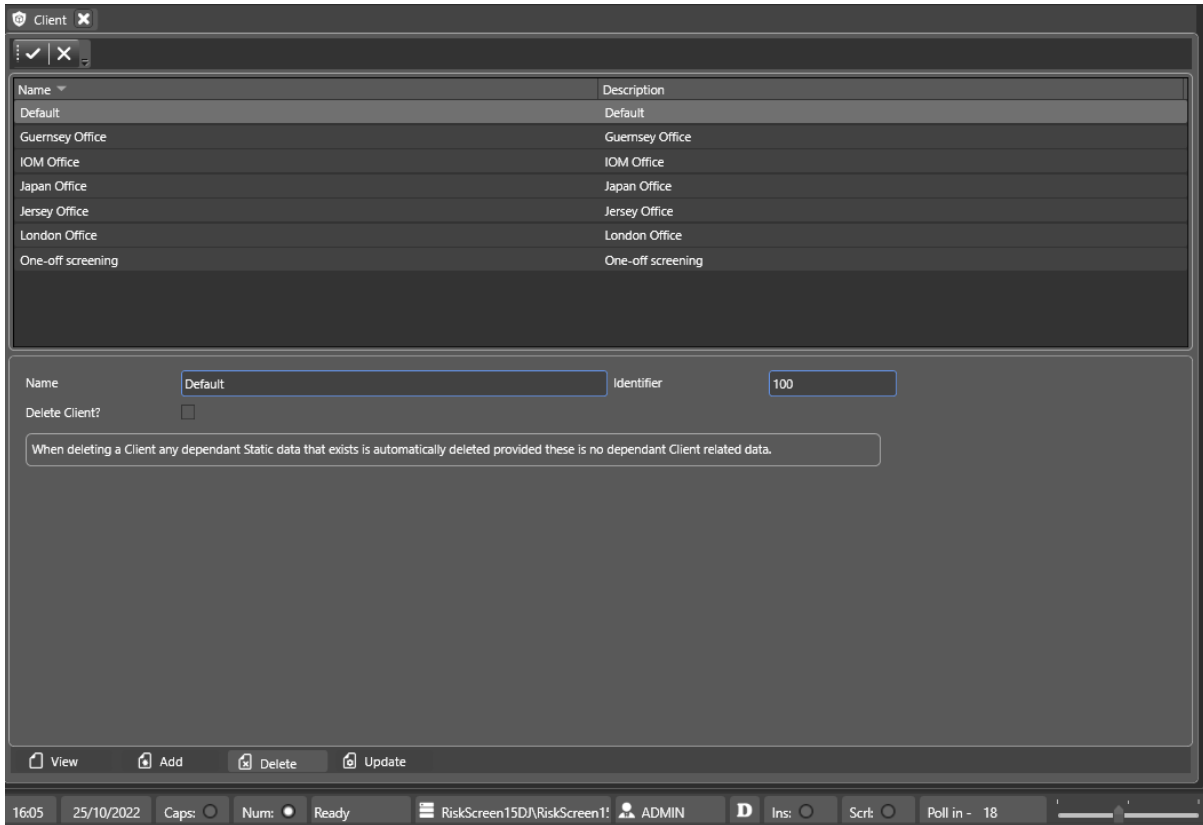
Navigation: Static > Definitions > Client > Add



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.

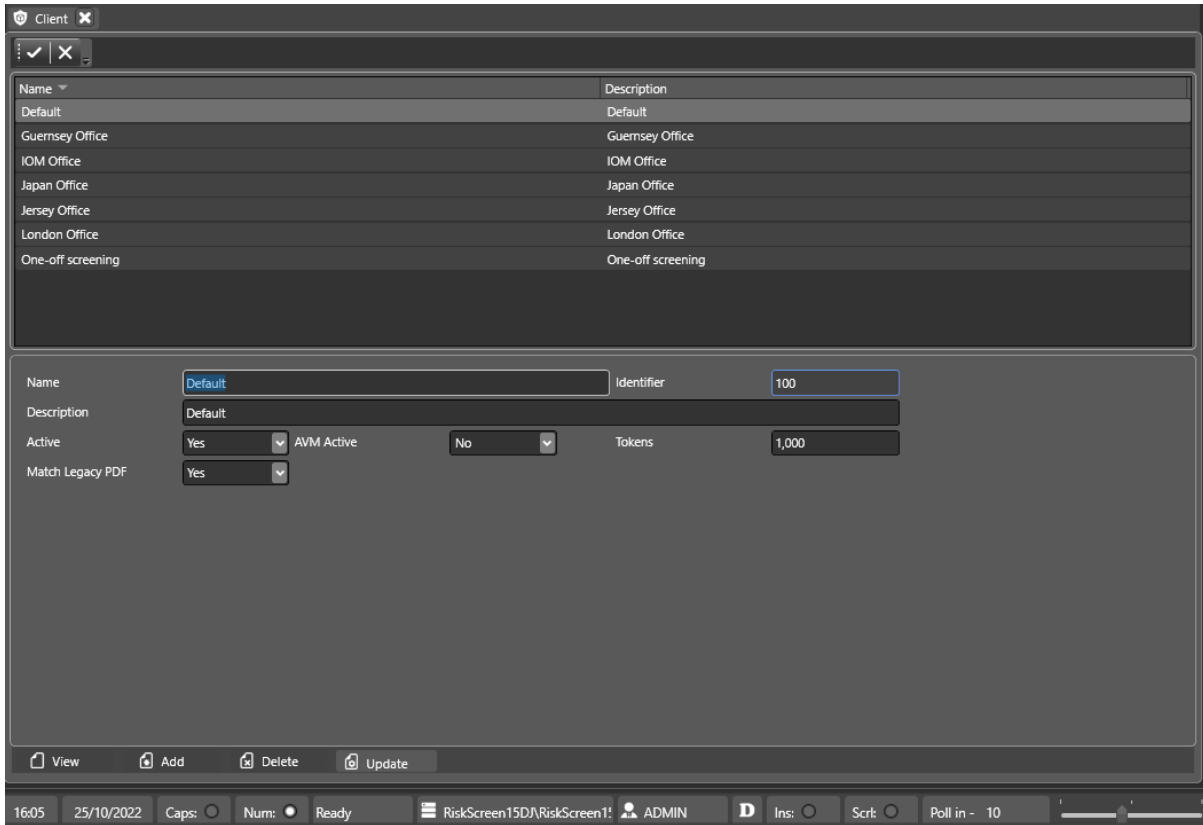
Navigation: Static > Definitions > Client > Delete



Update

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

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.

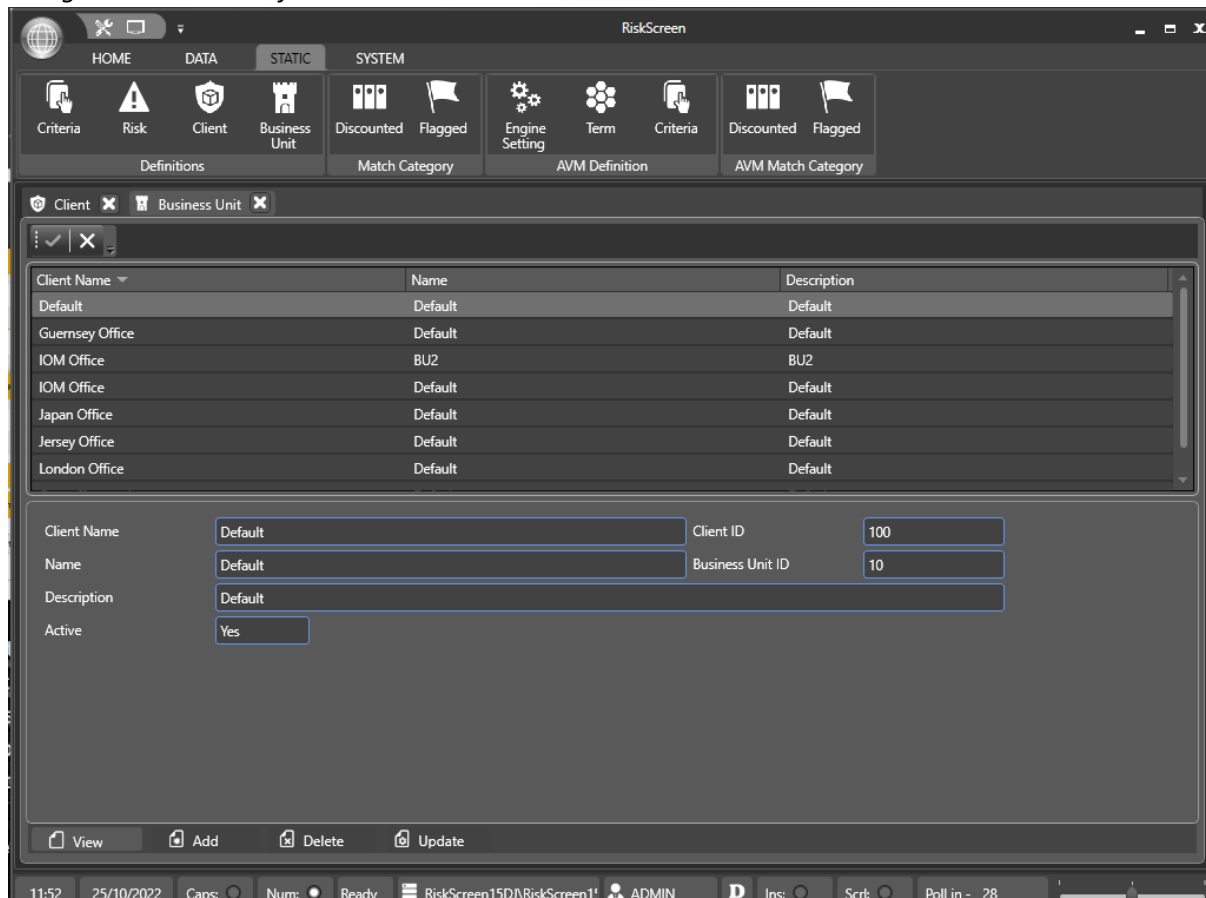
Properties

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.

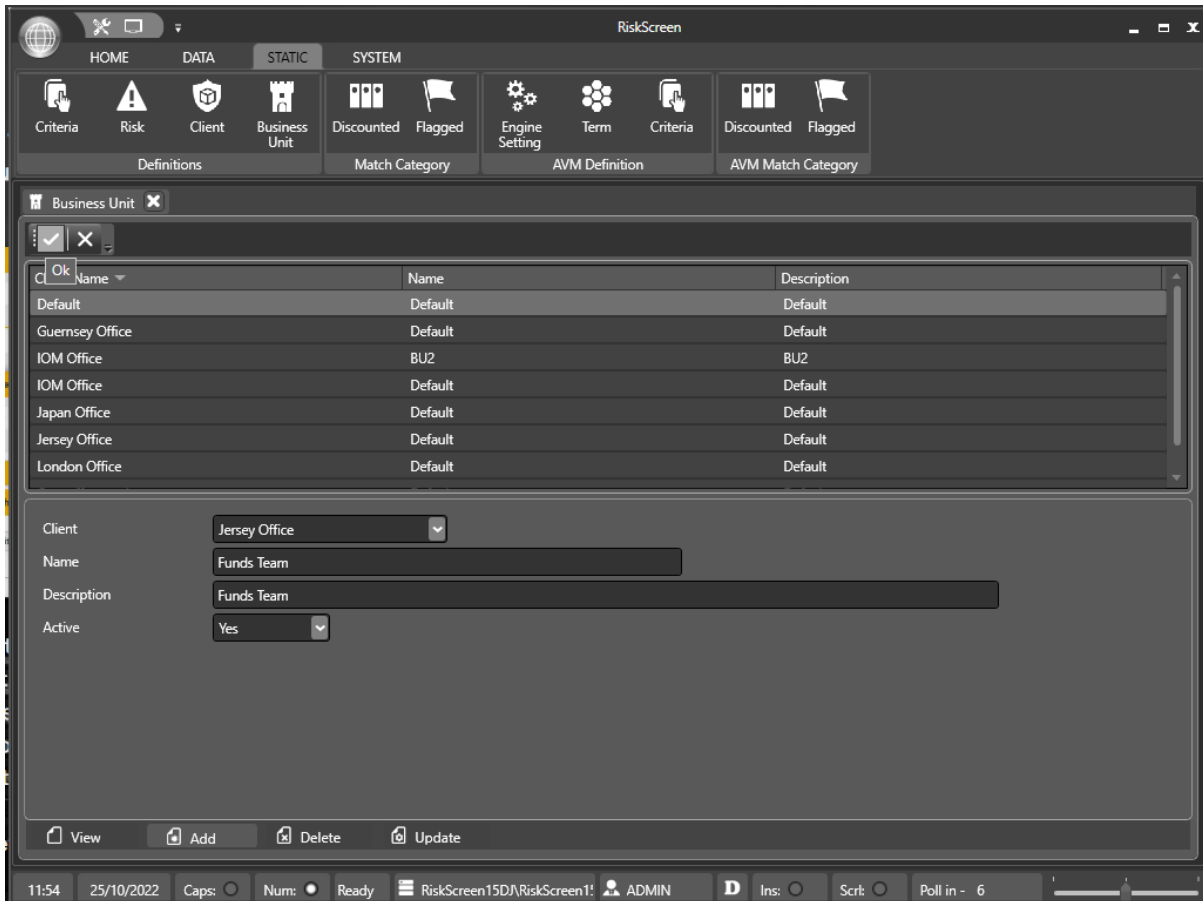
Navigation: *Static > Definitions > Business Unit > View*



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.

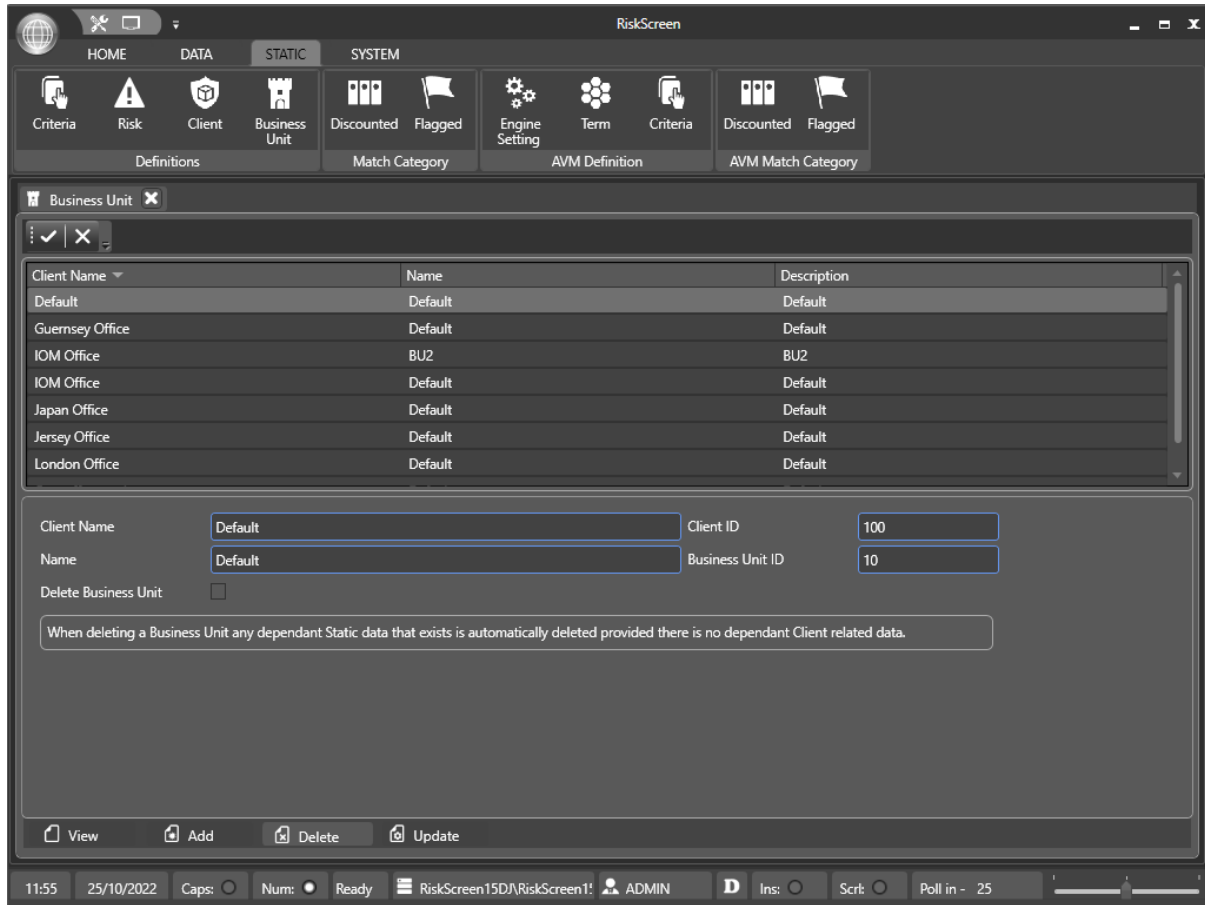
Navigation: Static > Definitions > Business Unit > Add



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.

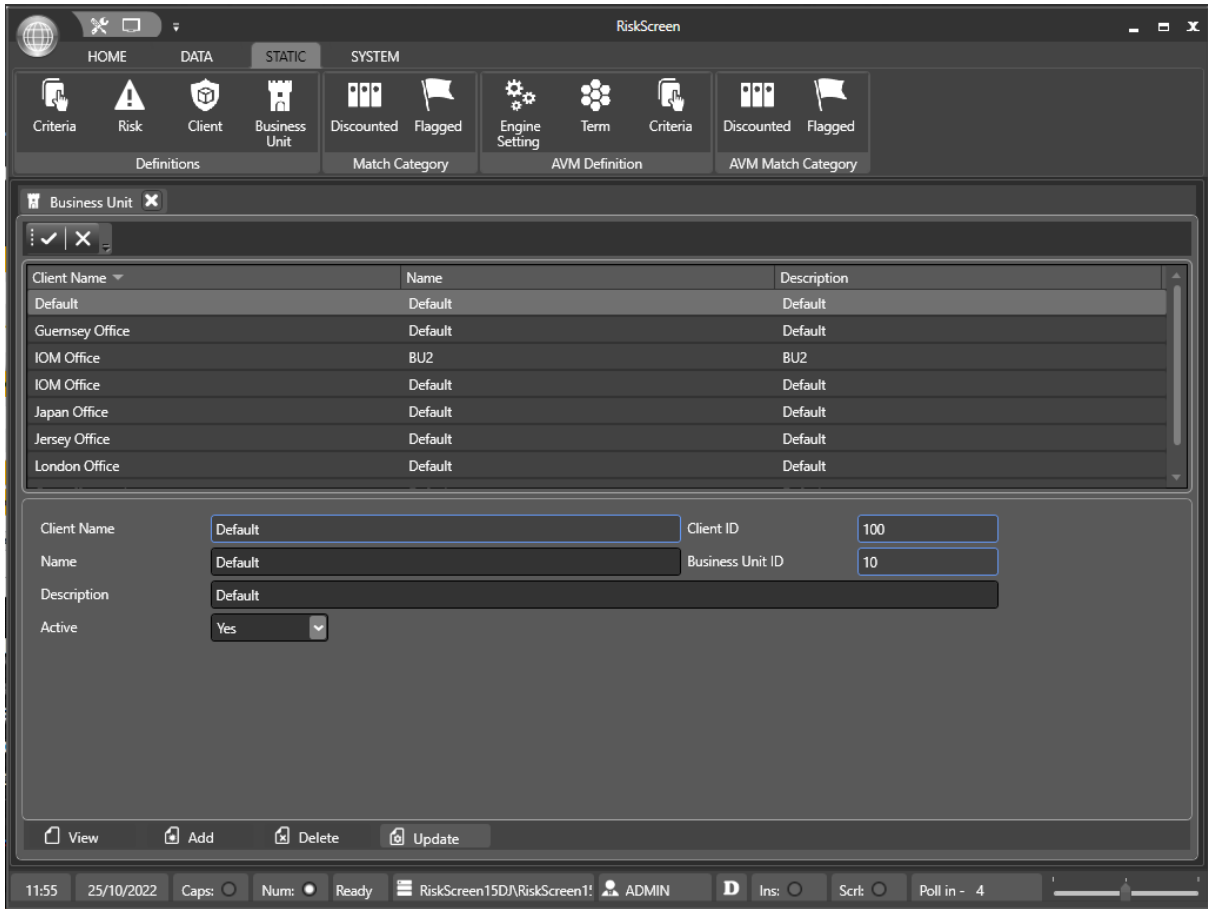
Navigation: Static > Definitions > Business Unit > Delete



Update

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

Navigation: Static > Definitions > Business Unit > Update



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 Mandatory	This is the Client that the Client Entity falls under. Refer to the Client section for more information about Clients. Notes: <ul style="list-style-type: none"> 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: <p>Once set this cannot be changed.</p>
Last Name Mandatory	When the Client Entity is not a person enter the full name here.
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. <ul style="list-style-type: none"> 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 Country Types 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 Country Types 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 Country Types 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 Criteria section for more information.
Client Entity ID	This is the RiskScreen identifier for the Client Entity. Notes: <p>System Generated and cannot be changed.</p>

Field Information

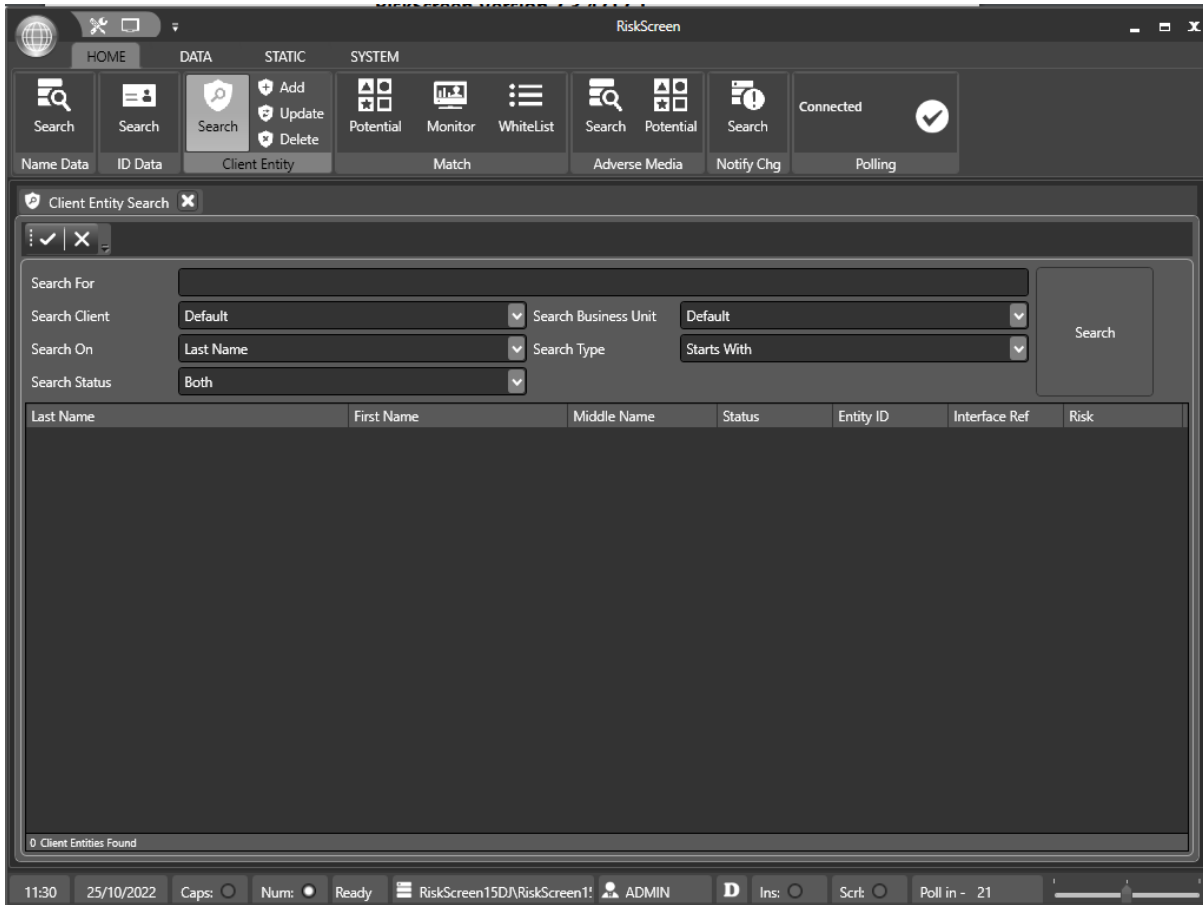
Interface Reference	In order to facilitate the matching of external system references to the associated RiskScreen Client Entity the Interface Reference is used. Typically, you would use a unique customer reference such as a client number or account number for this purpose.
Status	Active – Client Entity 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.
<i>Custom Text Fields</i>	<i>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.</i>
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

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 Client the Client Entity will fall under.
Search Business Unit	The Business Unit the Client Entity will fall under.
Search On Default (Last Name)	The field that will contain the search term you have entered. <ul style="list-style-type: none"> • Last Name • First Name • Middle Name • Client Entity ID • Interface Reference
Search Status Default (Both)	You can select to search for Client Entities that have the following Status: <ul style="list-style-type: none"> • Both • Active • Disabled

Field Information

<p>Search Type Default (Starts With)</p>	<p>Select where in the field the search term will appear.</p> <ul style="list-style-type: none"> • Starts With <ul style="list-style-type: none"> ○ The search term you have entered appears at the start of the field you are searching on. • Contains <ul style="list-style-type: none"> ○ The search term can appear anywhere in the field you are searching on.
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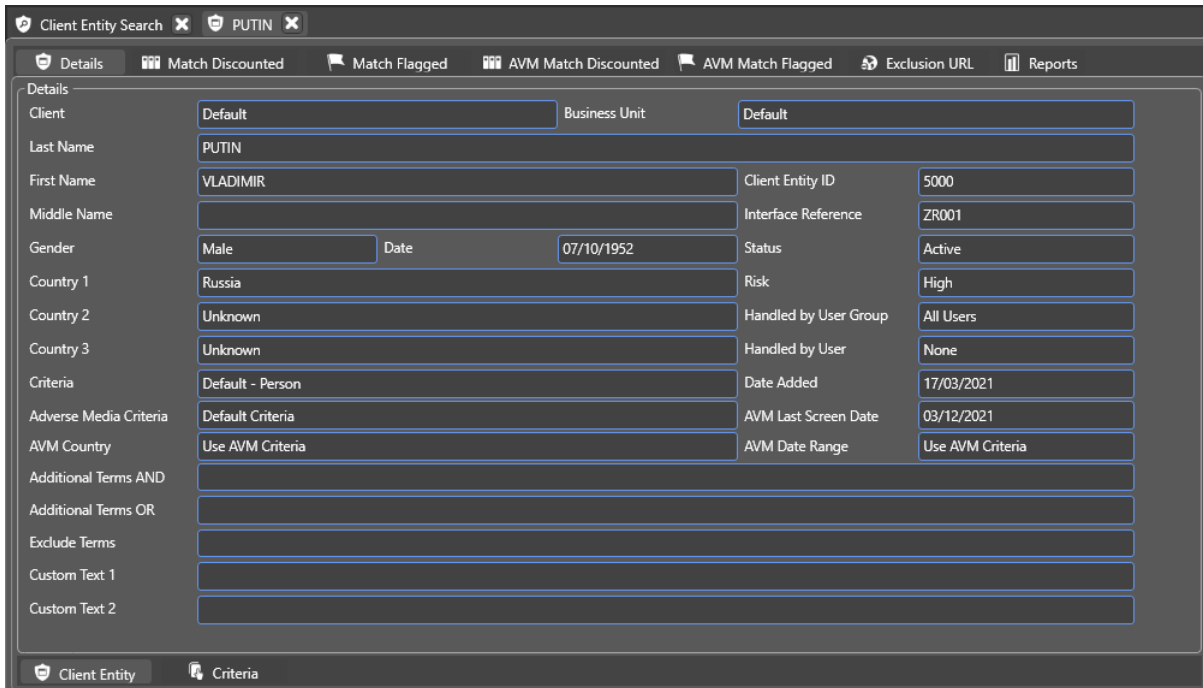
Once you have found the Client Entity you want to view you can open it by:

- 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

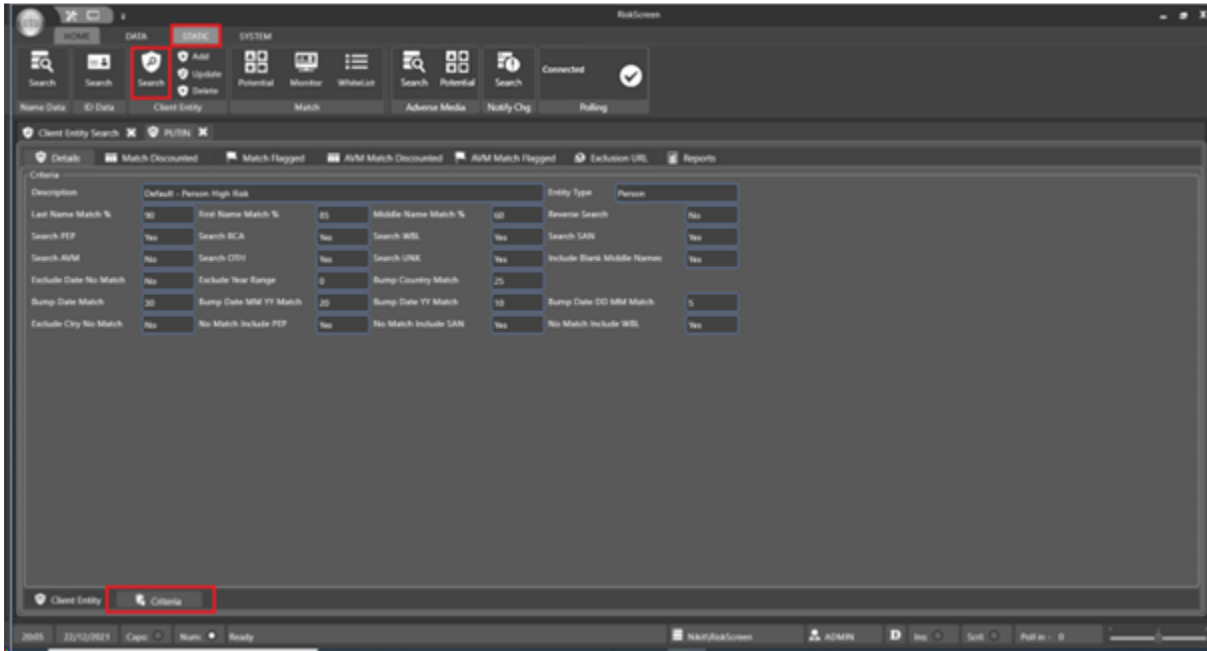
The details tab shows you all the Client Entity information. If a NavOne / MS Dynamics link is present in the custom field 1 or custom field 2 fields, a button will appear on the left. Clicking on this button will launch NavOne/MS Dynamics and follow the link directly into Nav.

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

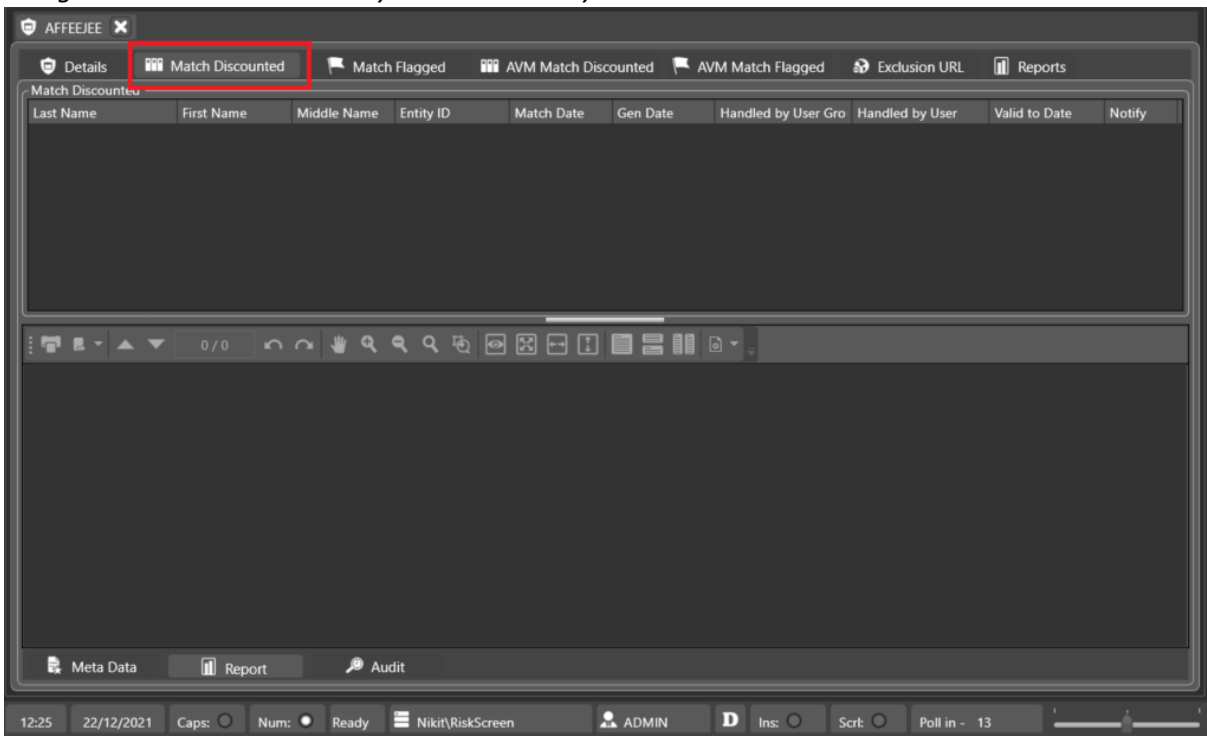
Clicking the Criteria button at the bottom of the working area will show detailed information on the Criteria applied to this Client Entity, see [Criteria](#) for more information.



Match Discounted

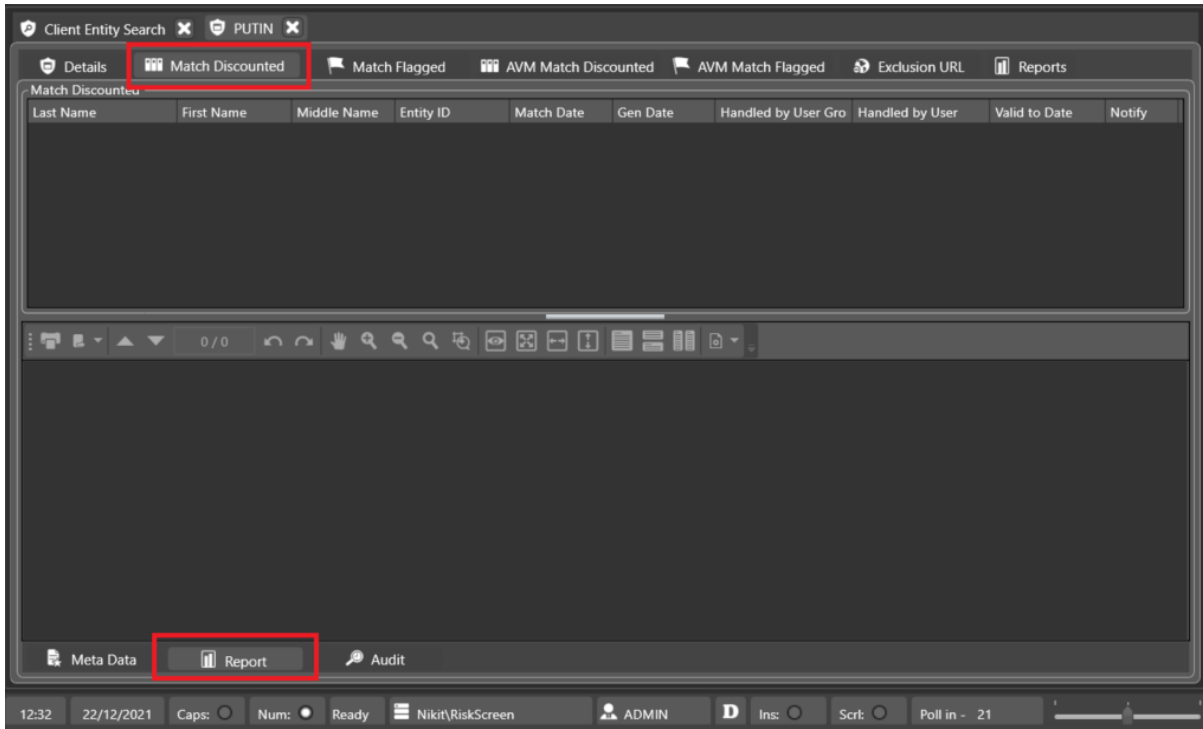
The “Meta Data” tab of the Match Discounted screen shows the discount reason, category and the date and countries used in the screening process for the selected match.

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



On the Report tab it will show the [Data Entity Detail Report](#) 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.**

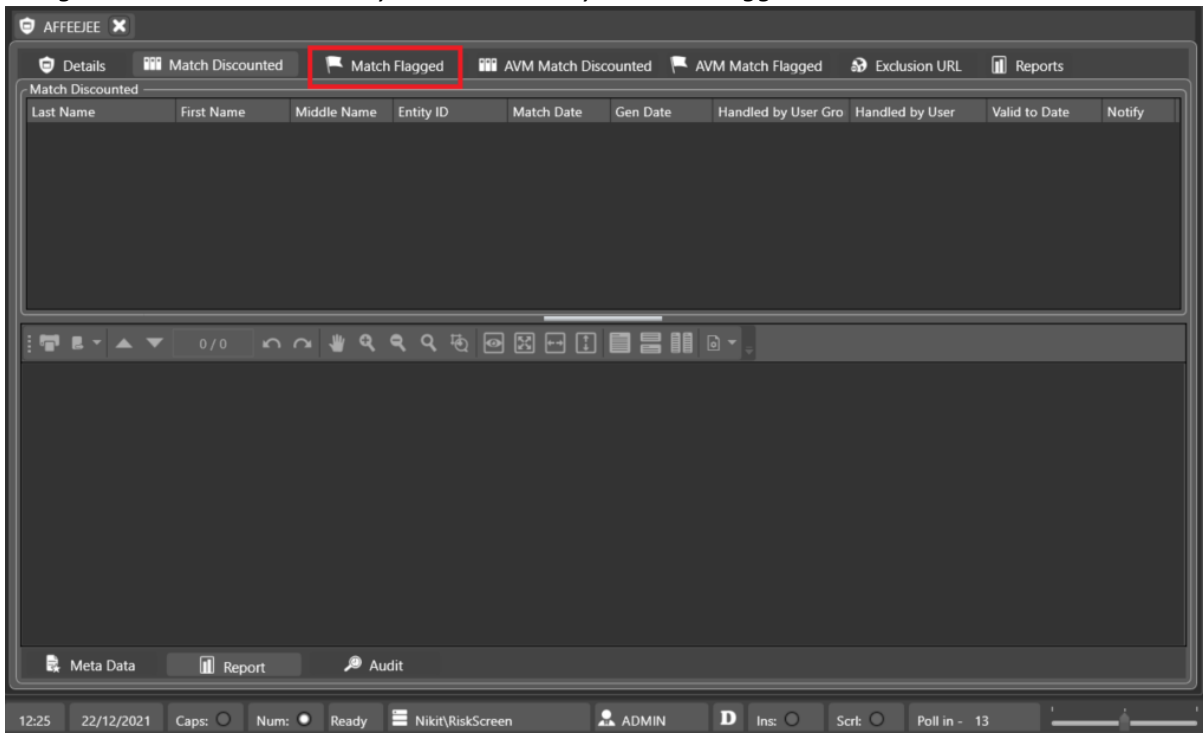
Navigation: Home > Client Entity > Search > Entity > Match Discounted > Report



Match Flagged

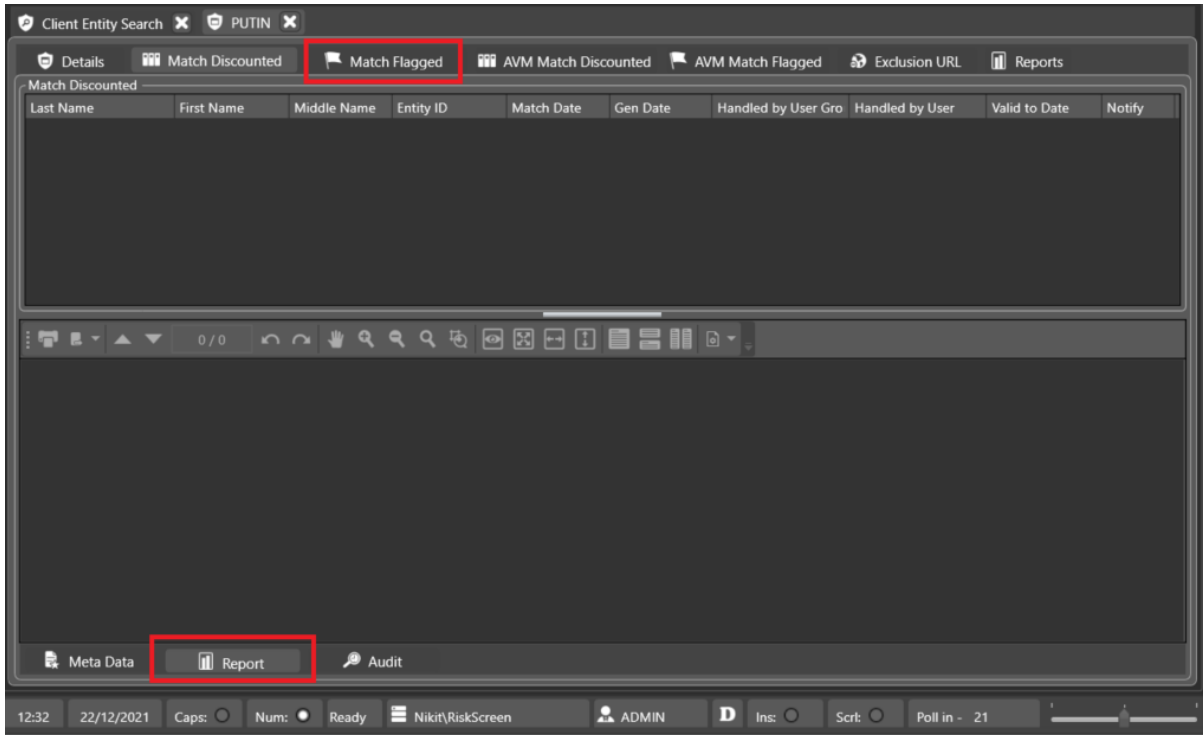
The “Meta Data” tab of the Match Flagged screen shows all the potential matches against the Client Entity that have been Flagged.

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

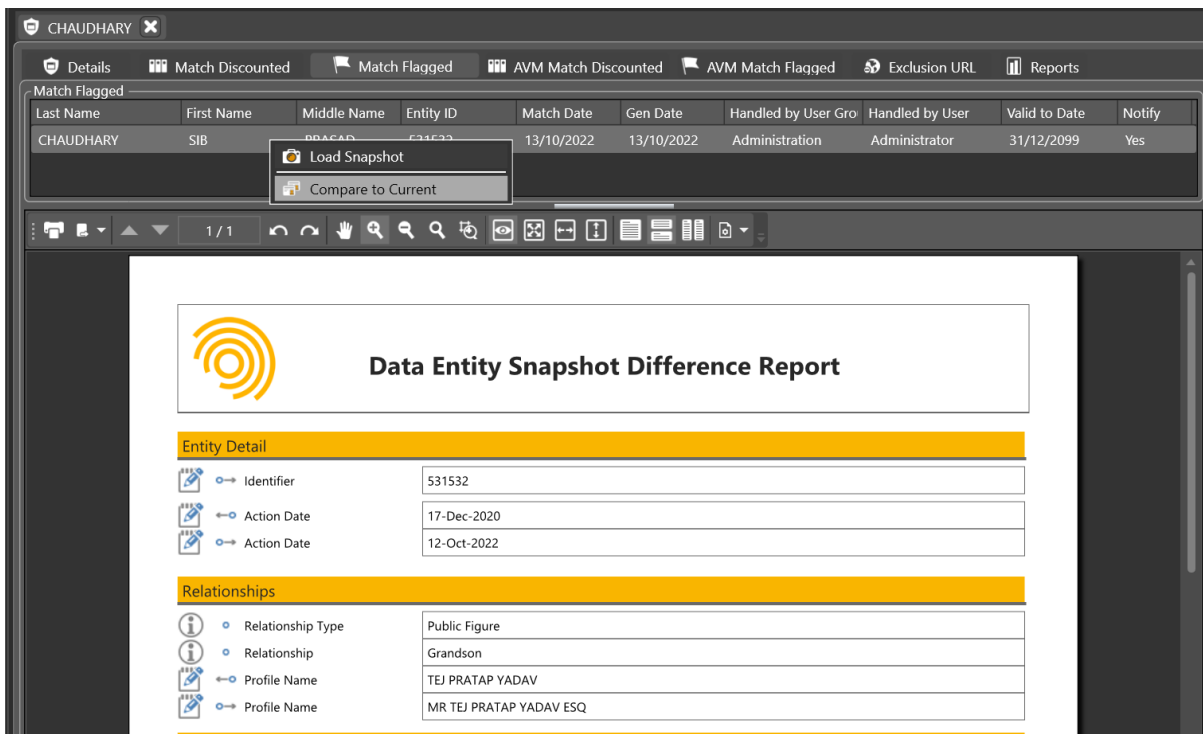


On the Report tab it will show the [Data Entity Detail Report](#) of the Entity for which the match was flagged at the time of flagging. **This report will not change if the Dow/Worldcheck entity is updated and acts as a snapshot of the data you had at the time that you made the decision.**

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

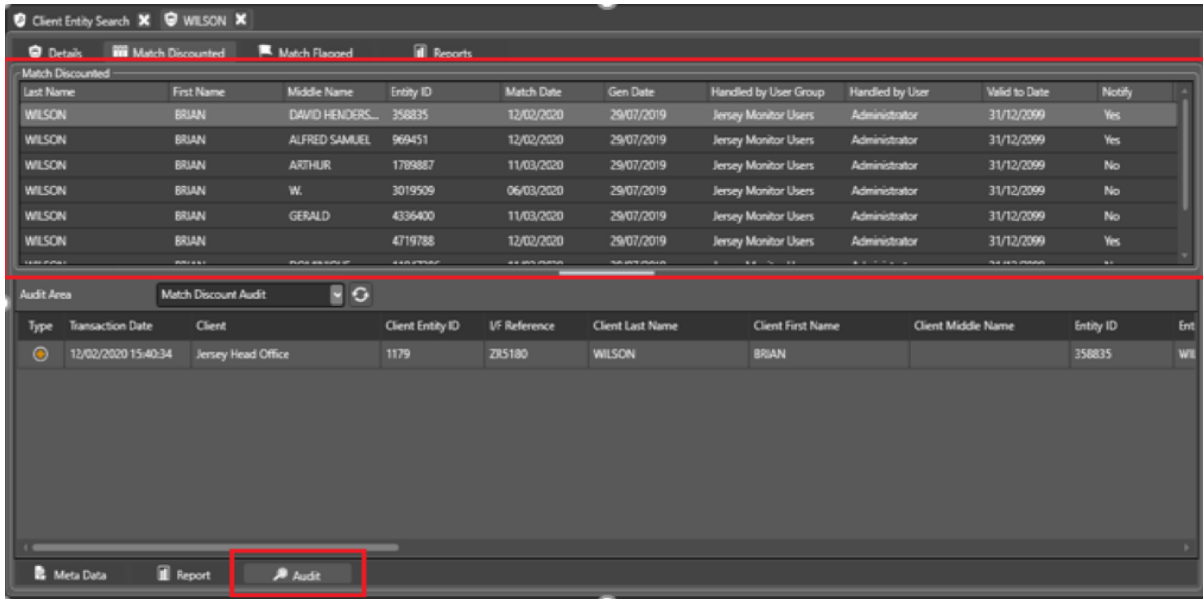


If you have enabled Snapshot in System options under Match Action Display Profile Image, you will also be presented with the Data Entity Snapshot Difference report. Which shows you if any details have changed in the data from when it was flagged.



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

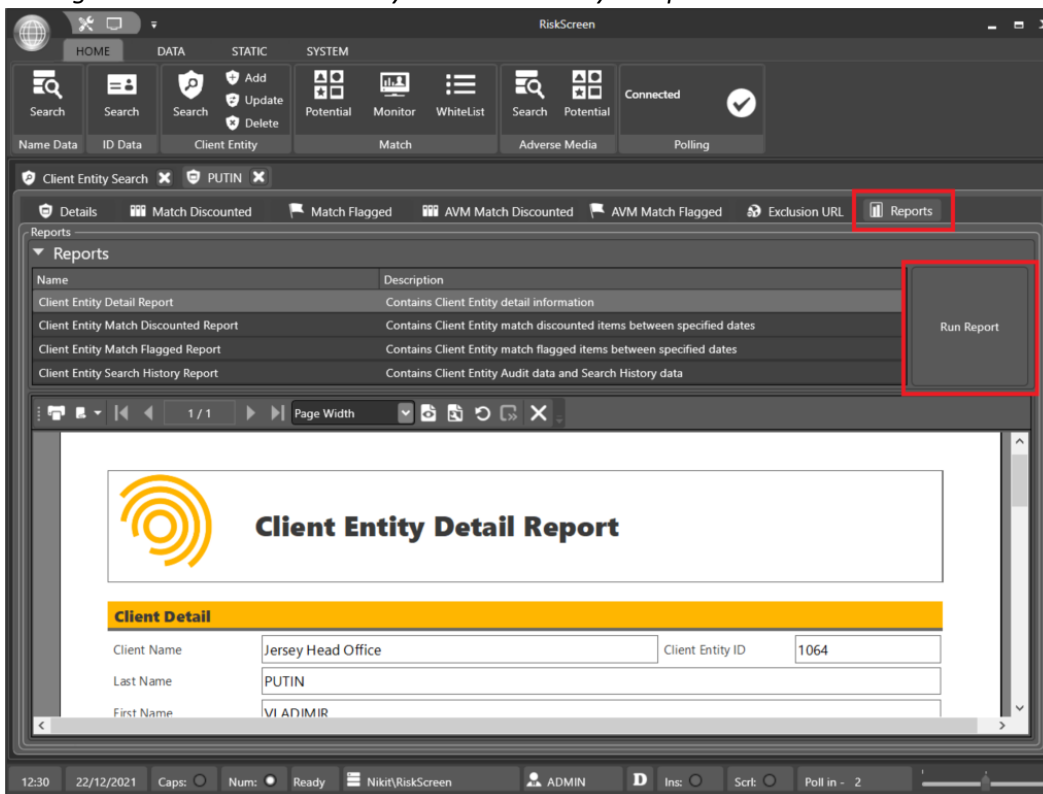
Navigation: Home > Client Entity > Search > Entity > Match Flagged/Discounted > Audit



Reports

The reports screen shows all the reports that can be run for the Client Entity. Refer to the [Reporting](#) section for more information regarding the reports available in RiskScreen.

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

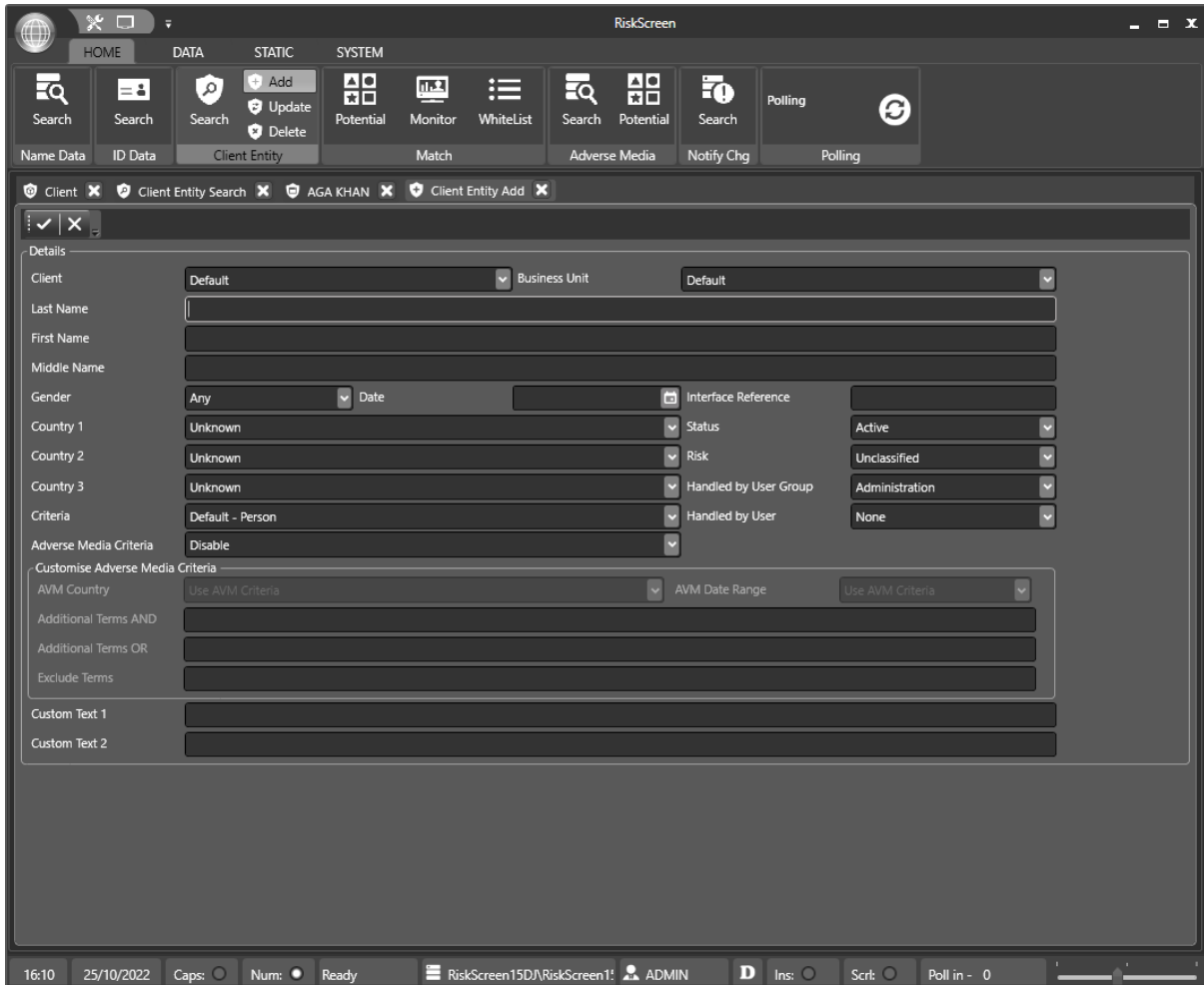


Managing Client Entities

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 [Client Entities Properties](#) section.

Navigation: Home > Client Entity > Add



Update

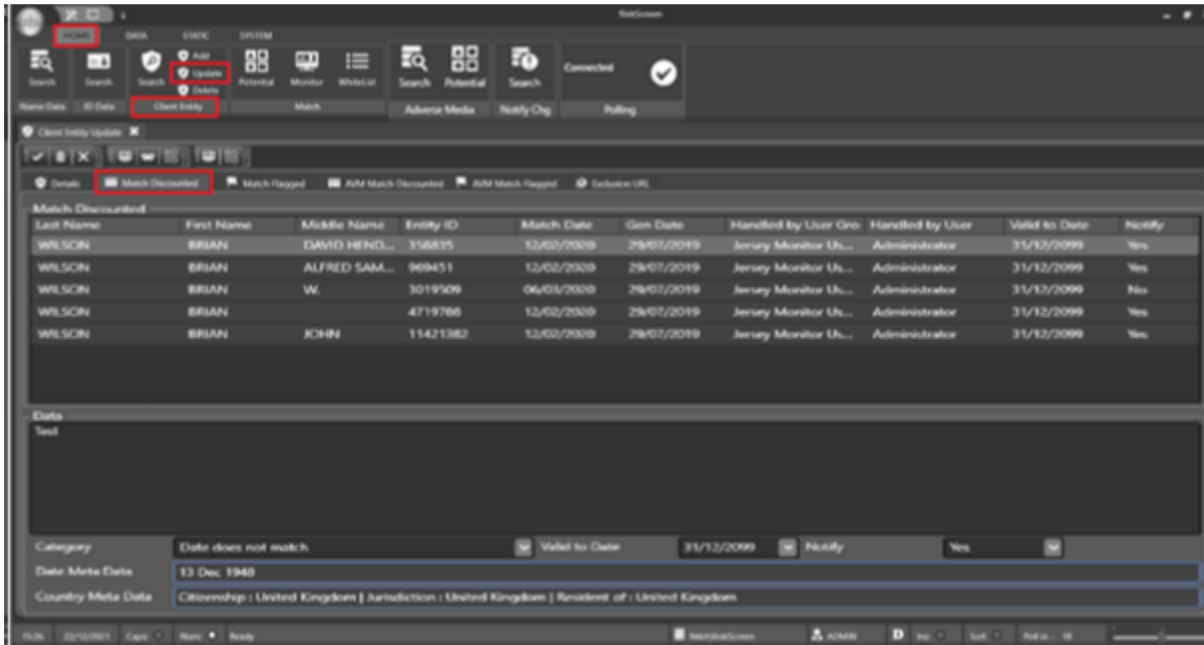
The Update screen allows you to update Client Entities and run interactive screening for the entity:

- 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:

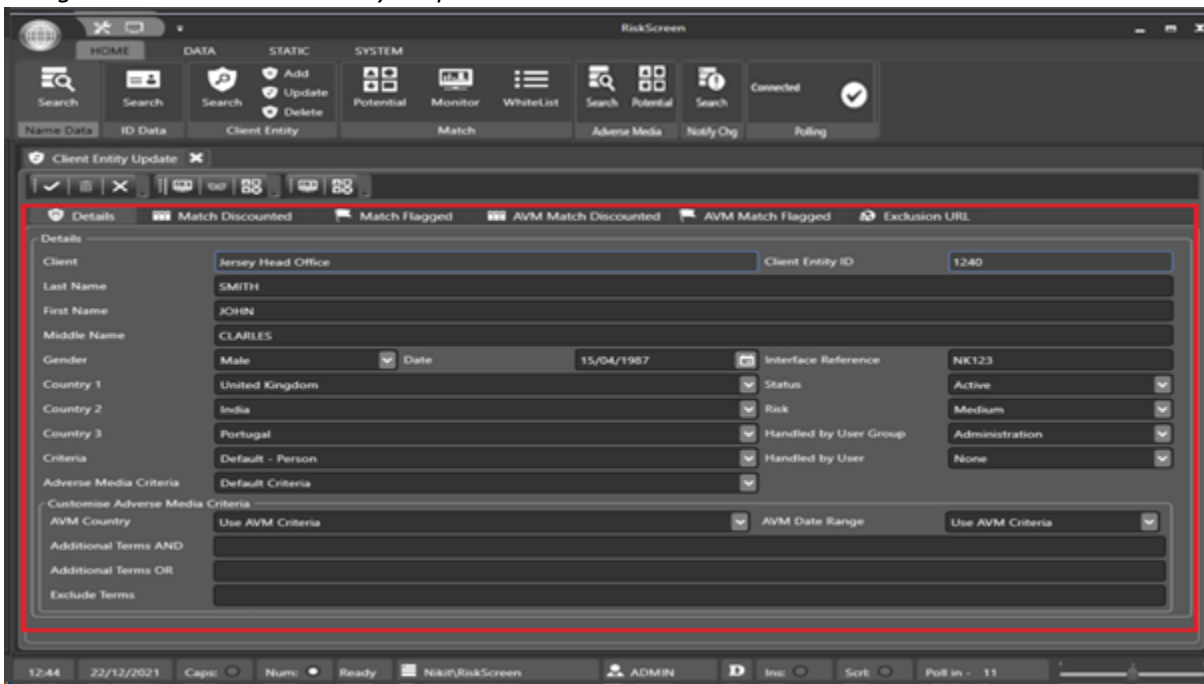
- Selecting the Client Entity in the result list and clicking on the “tick mark” in the top left of the screen.
- Double Click the Client Entity in the result list.

Navigation: Home > Client Entity > Update









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 [Client Entities Properties](#) section.

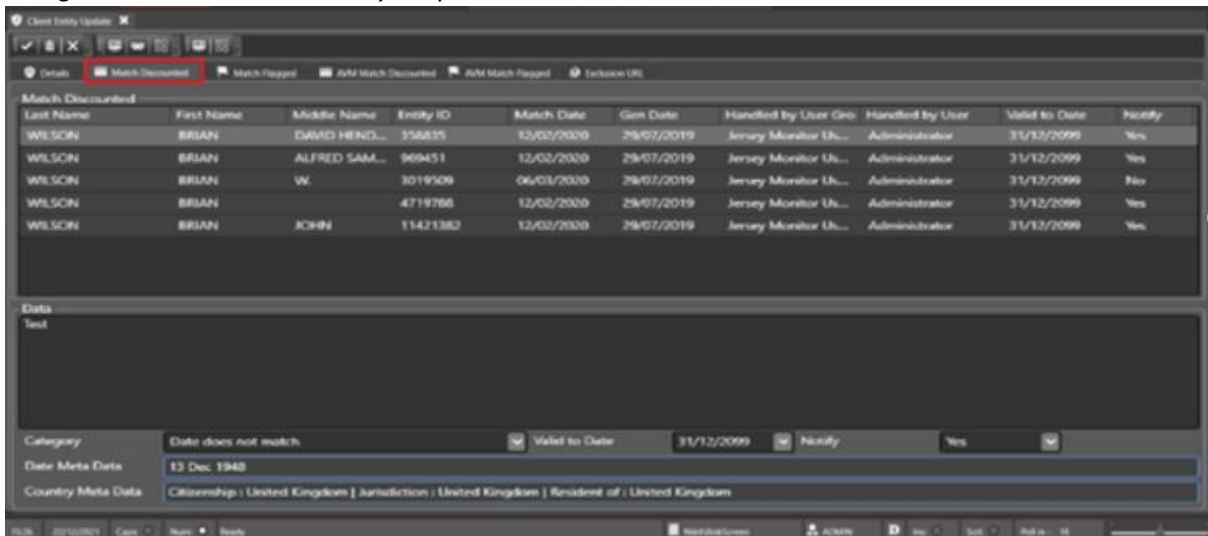
Navigation: Home > Client Entity > Update > Details



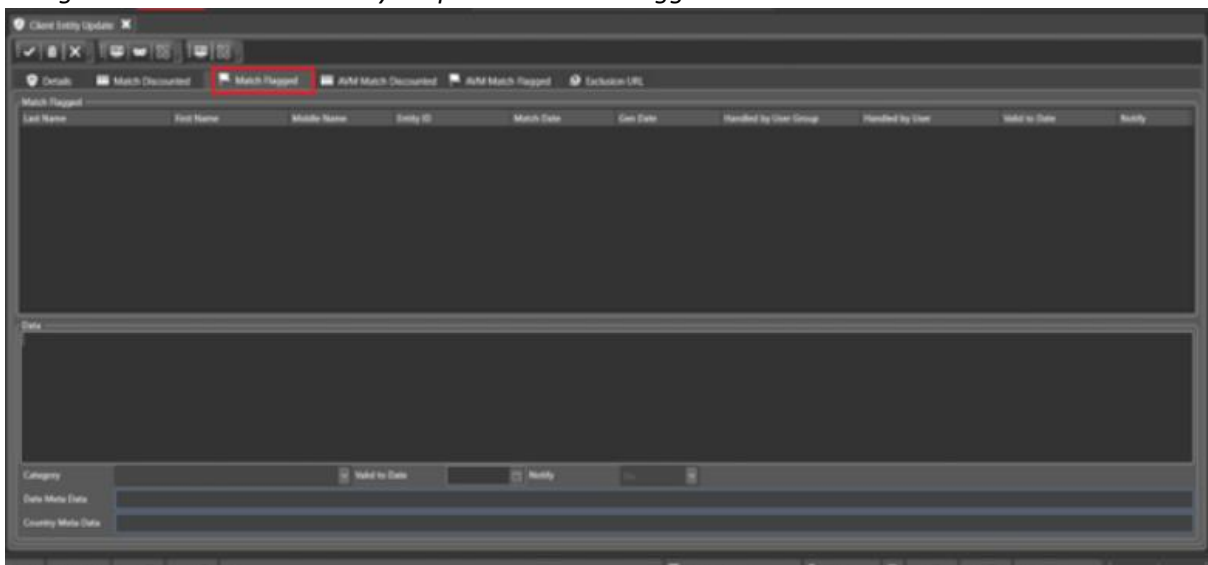
You can update Discounted or Flagged matches but clicking on their respective tabs. The toolbar above this list of tabs allows you to do the following:

-  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.
-  Delete Client Match Potentials
-  Close the Client entity and go back to the search screen.

Navigation: Home > Client Entity > Update > Match Discounted



Navigation: Home > Client Entity > Update > Match Flagged



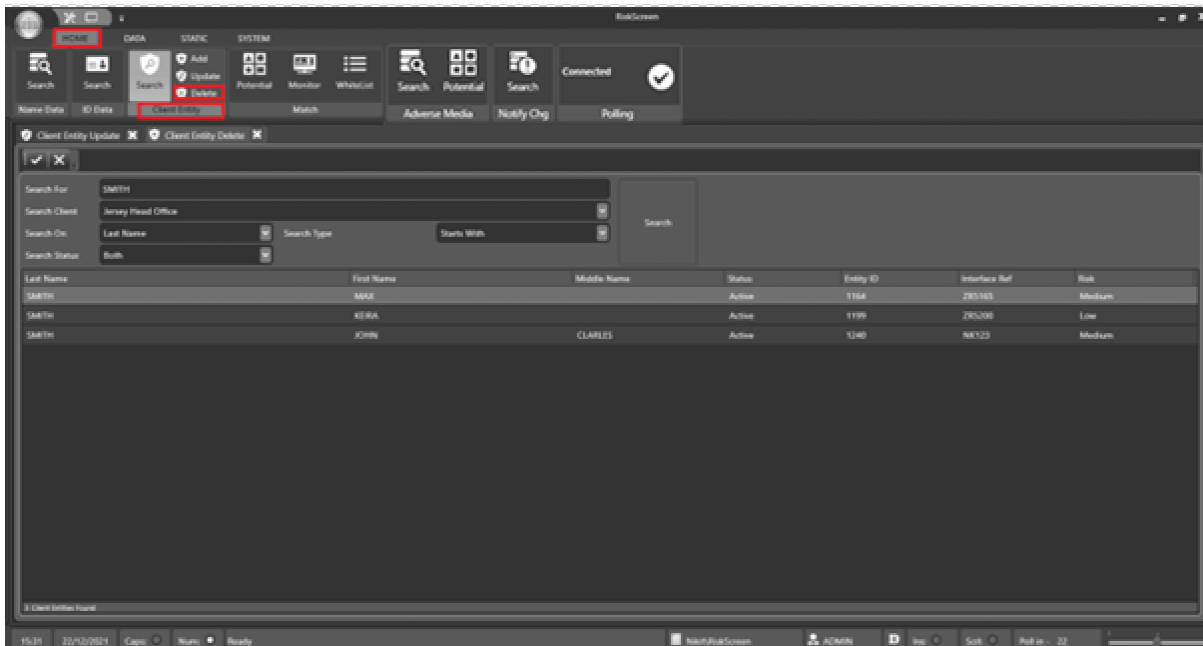
From the update screen you are also able to delete match potentials whereby you can remove outstanding potential matches until the next batch run by highlighting the match potential and clicking the button in the toolbar next to the bin icon. This will delete match potentials from the Potentials screen.

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

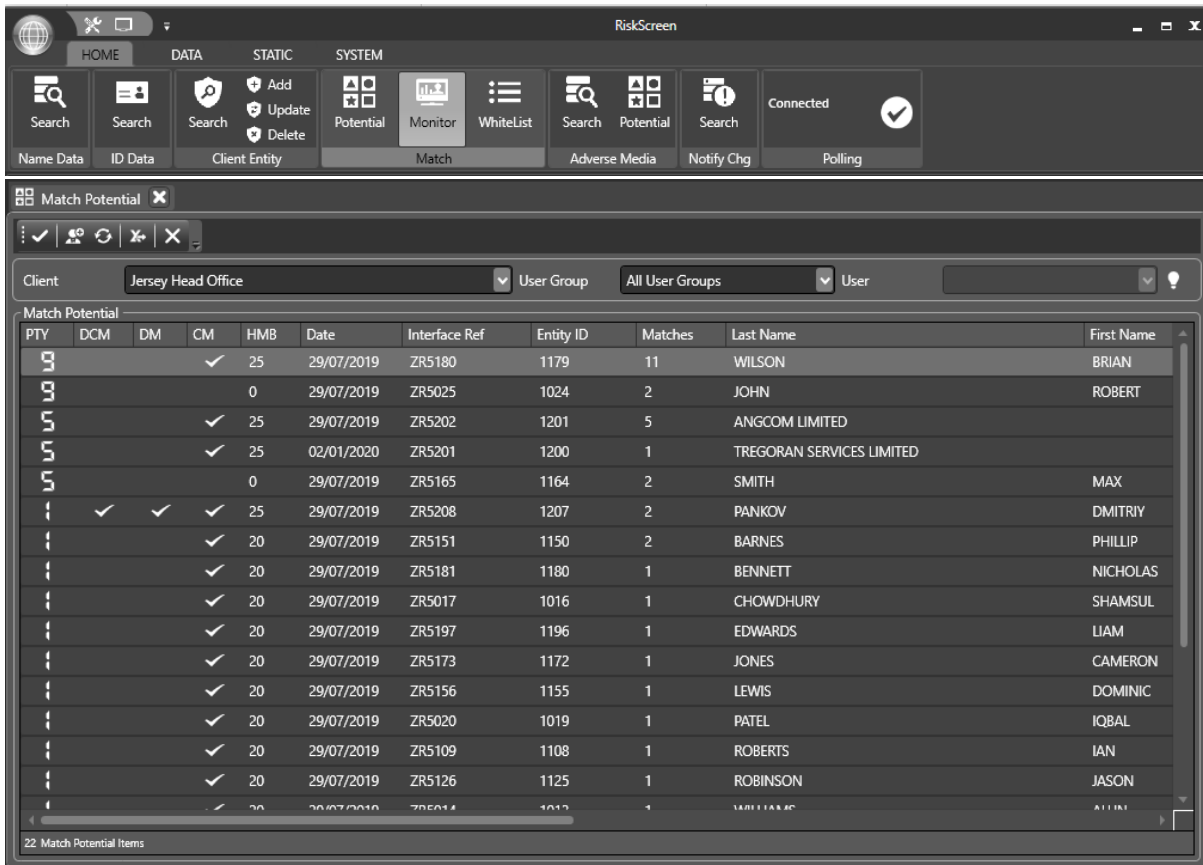
Client entities can be screened interactively from the [Entity Update](#) screen. The interactive screening is identical to the normal overnight screening but is significantly less performant.

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.

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 **Client**. Only clients you are authorised to will appear in the list.

User Group

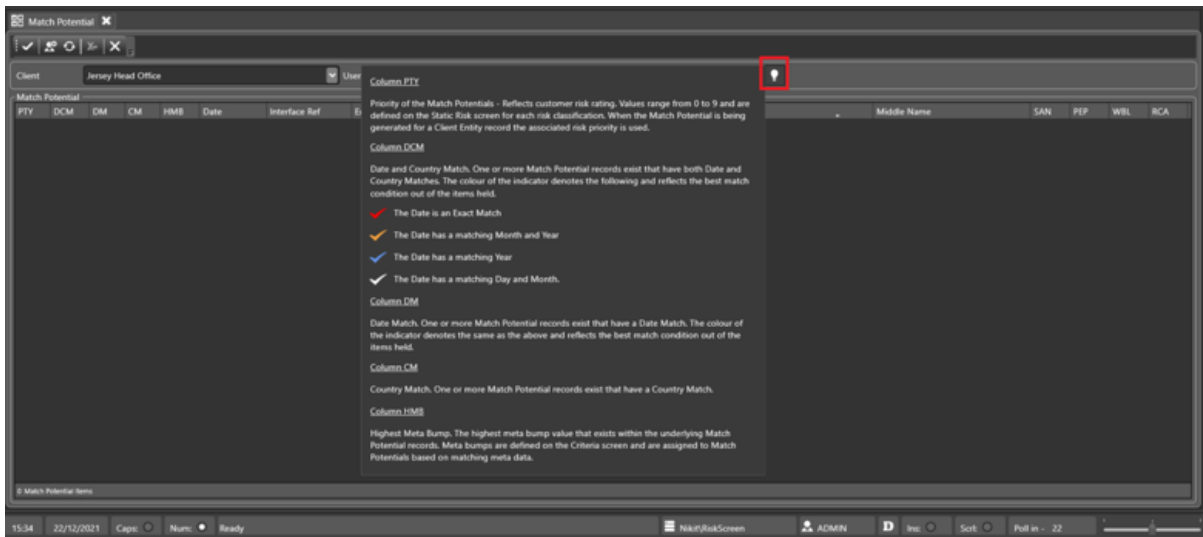
This will restrict the results to Client Entities that are “Handled by” the selected User Group.

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.



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 Risk Classification assigned to the client entity.
DCM	One or more of the match potentials has a date and country match. The colour of the tick denotes the following for the best match for the client entity. <ul style="list-style-type: none"> • Red – date is an exact match. • Orange – date matches on month and year. • Blue – date matches on year. • White – date matches on day and month.
DM	One or more of the match potentials has a date match. The colour of the tick denotes the following for the best match for the client entity. <ul style="list-style-type: none"> • Red – date is an exact match. • Orange – date matches on month and year. • Blue – date matches on year. • White – date matches on day and month.
CM	One or more of the match potentials has a country match.

Column	Information
HMB	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:

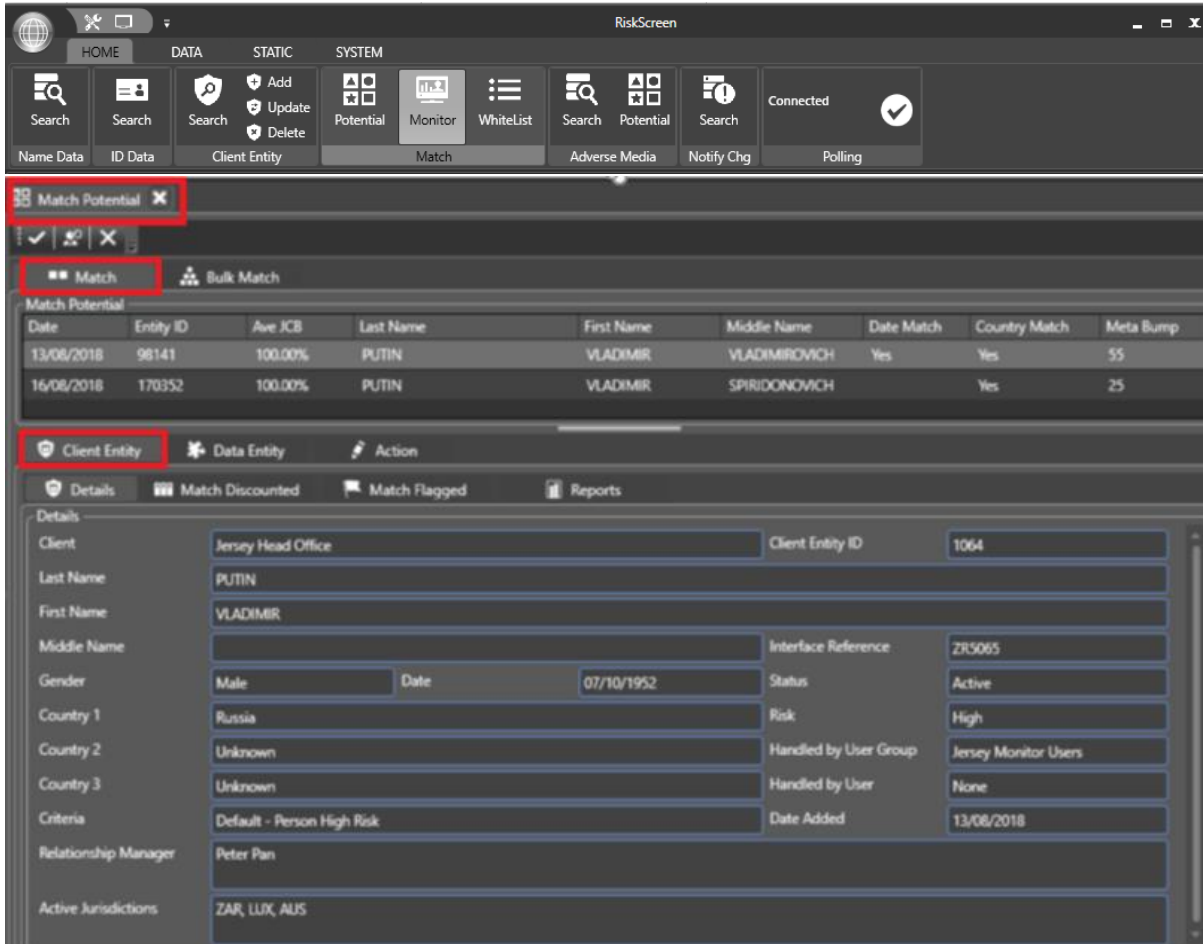
- Selecting the Client Entity from the list and click on the “tick mark” in the top left of the screen.
- Double Click the Client Entity in the list.

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:

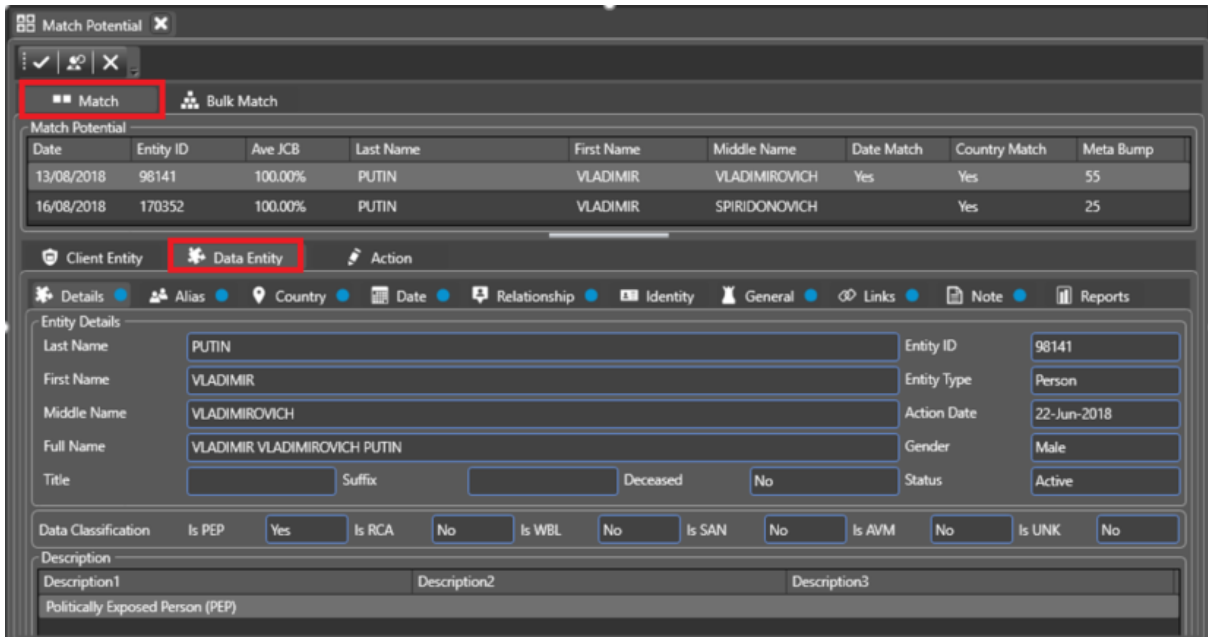
1. Client Entity

- Shows the [Client Entity Enquiry](#) screen



2. Data Entity

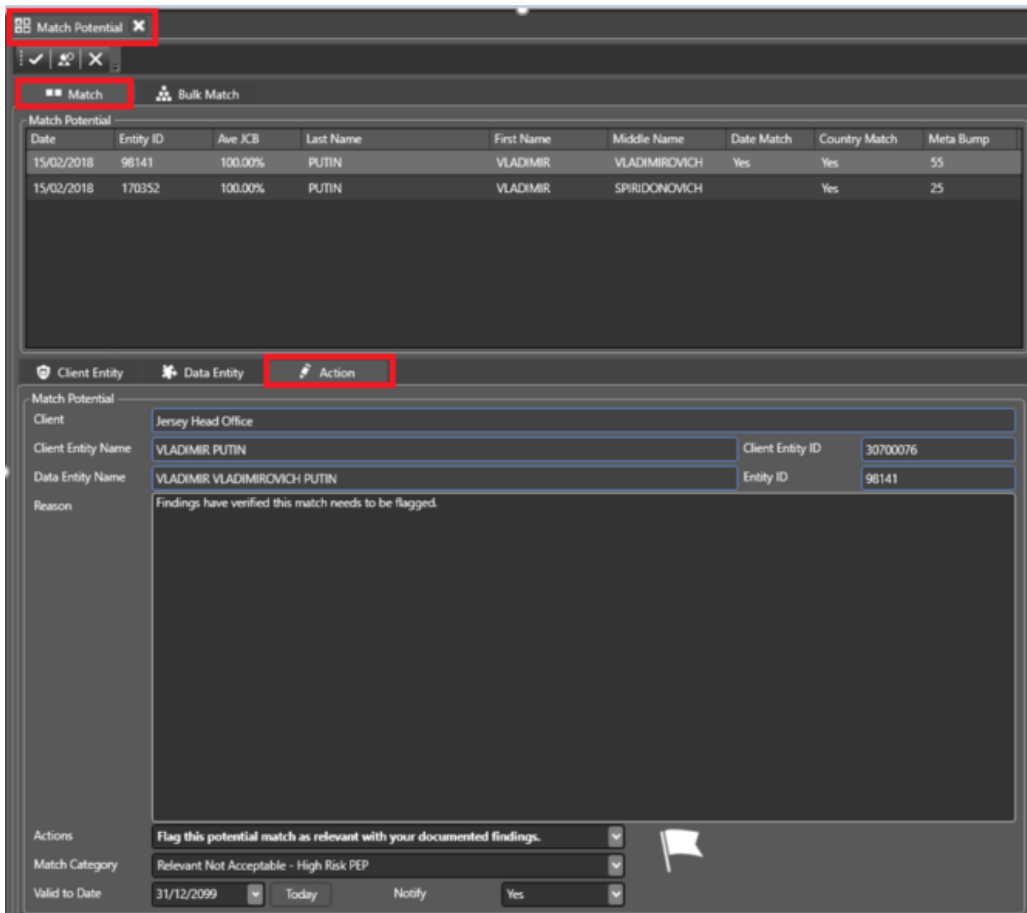
- Shows the [Data Entity Enquiry](#) screen for the Dow/Worldcheck Entity for the selected match potential



3. Action

- 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.



Field Information	
Reason Mandatory	Reason for the action selected.
Actions Mandatory	Select the action you wish to perform on the match <ul style="list-style-type: none"> • Save the reason entered and leave the potential match outstanding. • Discount this potential match as not being relevant. • Flag this potential match as relevant with your documented findings.
Match Category Mandatory	Select the category for the match. Refer to the Match Category 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 notify 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.

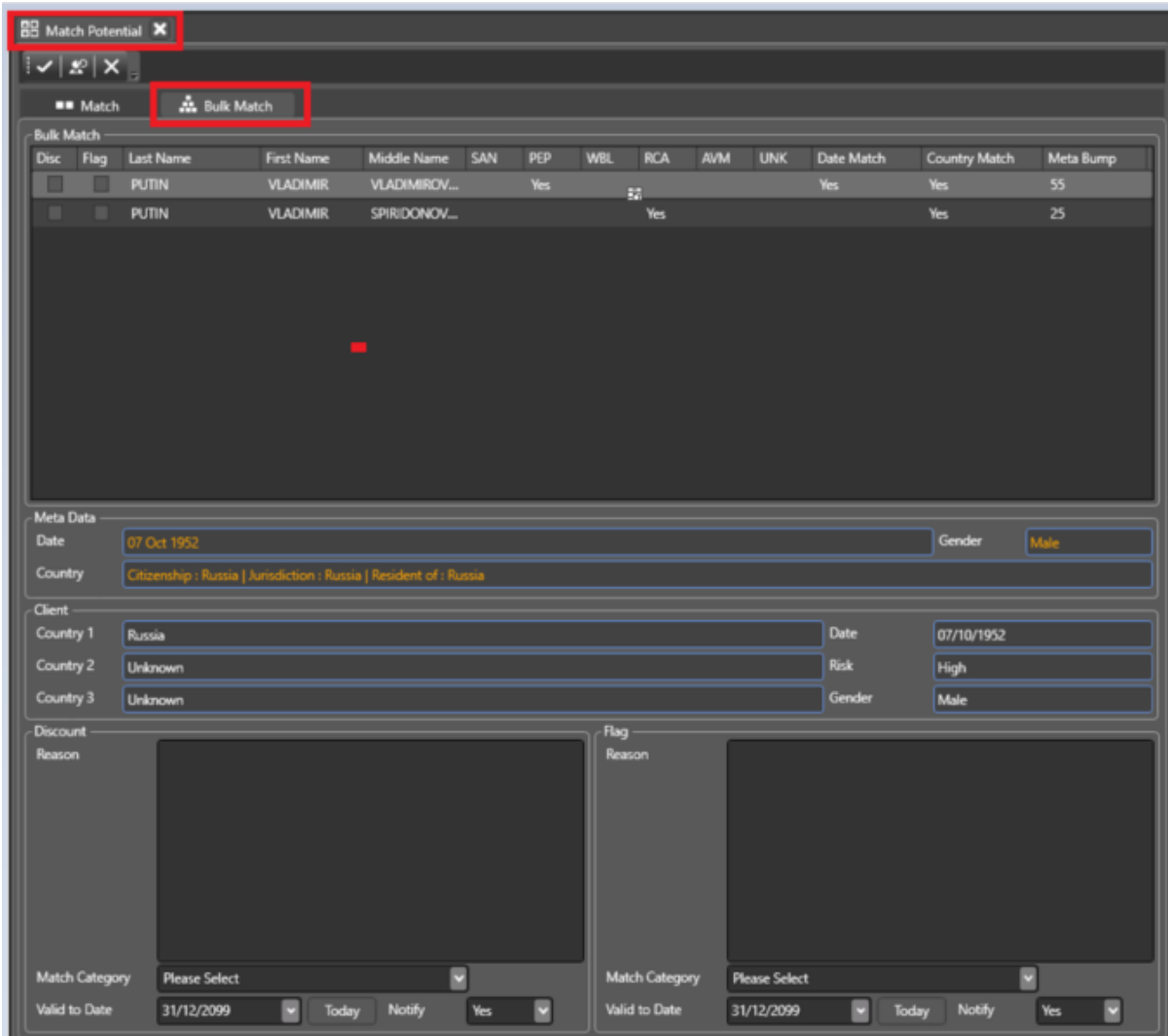
Bulk Match

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.
2. 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.
3. Complete the additional information at the bottom of the screen for Flagged matches (Right)
 - a. 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 [Action](#) section for information regarding the additional information fields.

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

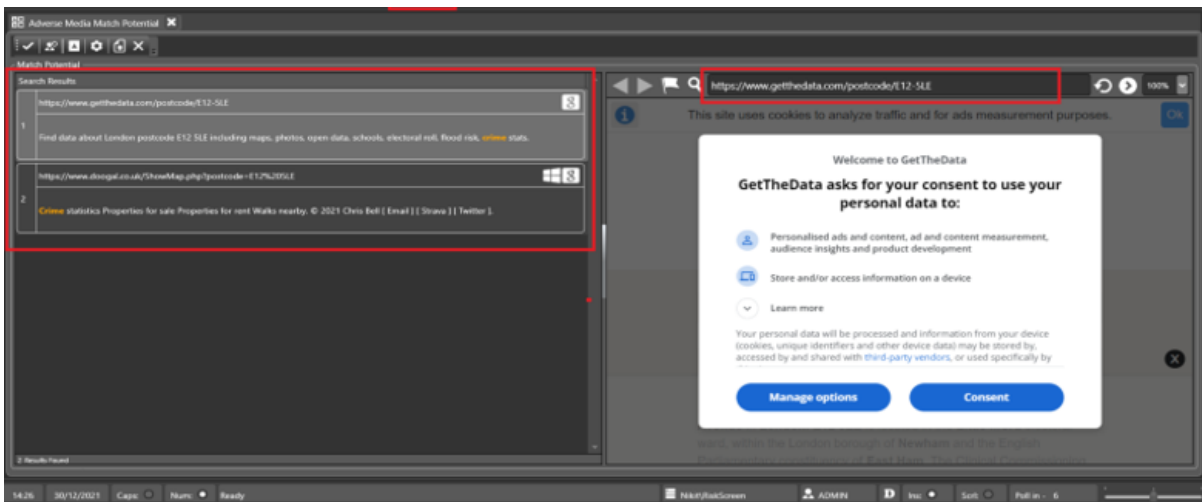
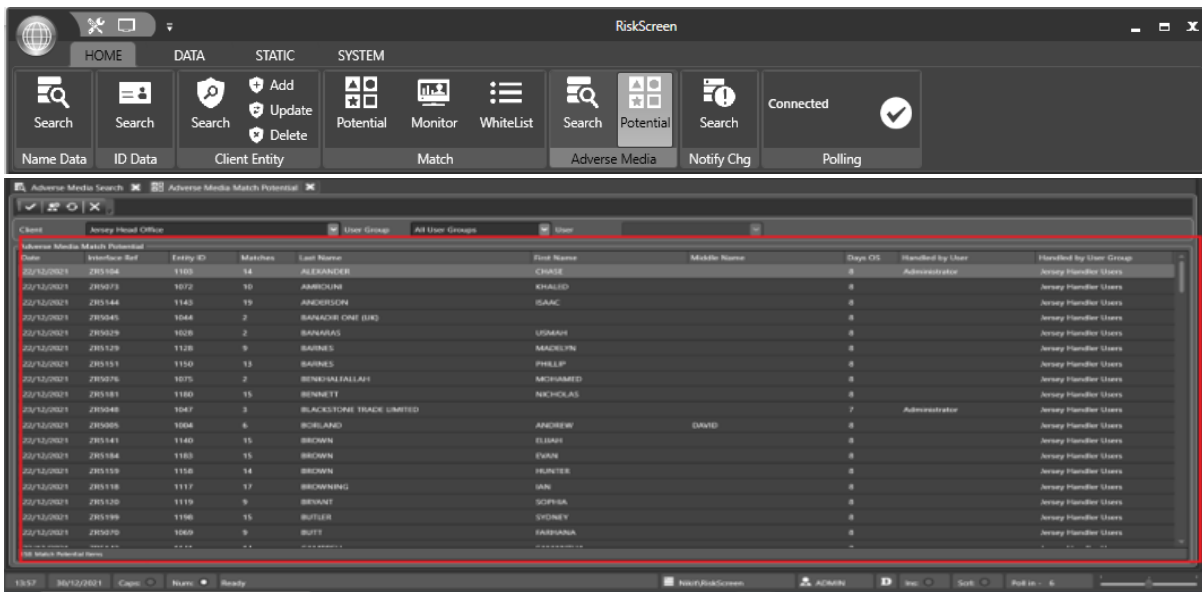


Add Exclusion URL or Client Entity



Close the Window

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:

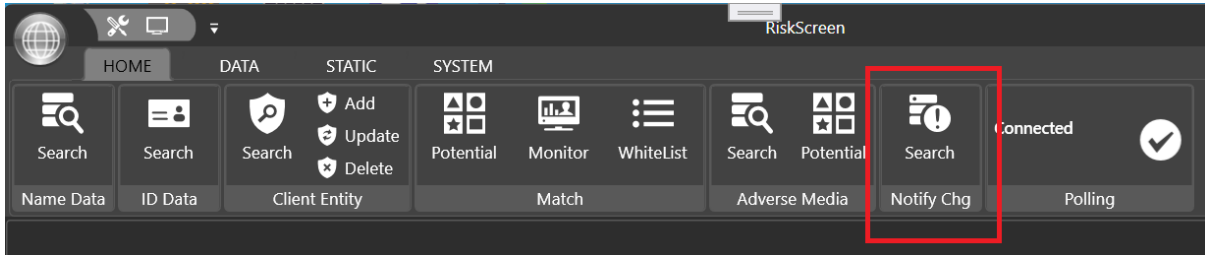
- The user that made the flag or discount
- Supervisors of the Group the client entity is assigned to

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

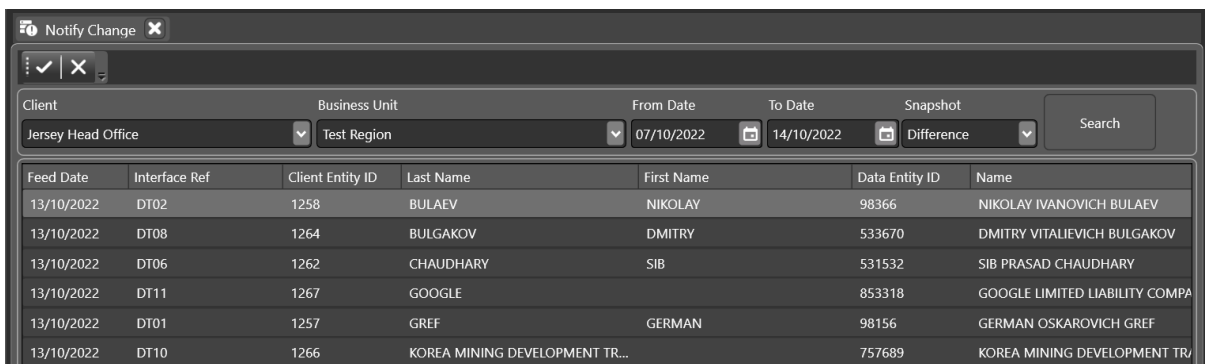
- Classification
- Name
- Date
- Address
- Country

Notify Change Search

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



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



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


Field Information

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

Field Information

Snapshot Difference (Starts With)	What happens when you double click on a search hit.
Difference	<ul style="list-style-type: none"> • Difference <ul style="list-style-type: none"> ○ Difference Report is launched. 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 <ul style="list-style-type: none"> ○ After Reporting is launched. • Before <ul style="list-style-type: none"> ○ Before Reporting is launched. • All <ul style="list-style-type: none"> ○ Launches all three above reports when double clicking on a search hit.




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






Data Entity Snapshot Difference Report

Update Indicator




After Image Indicator

Entity Detail	
	Identifier: 757689
	Action Date: 15-Sep-2022
	Action Date: 12-Oct-2022

Before Image Indicator

Addresses	
	Line: Botonggang District
	City: Pyongyang
	Country: North Korea

Delete Indicator

Sanctions	
	Name: Central Bank of Russia Special Economic Measures List
	To Month: Sep
	To Year: 2022






Note Info Indicator. Data output just to provide context in relation to the updates held below

[-] Watchlist Last Reviewed Date: 15-Sep-2022
 [+] Watchlist Last Reviewed Date: 12-Oct-2022
 [-] Adverse Media Last Reviewed Date: 15-Sep-2022
 [+] Adverse Media Last Reviewed Date: 12-Oct-2022

Note data is compared line by line and de-duplicated. [-] is from the before image and [+] is from the after image where they have differences.

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:

-  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

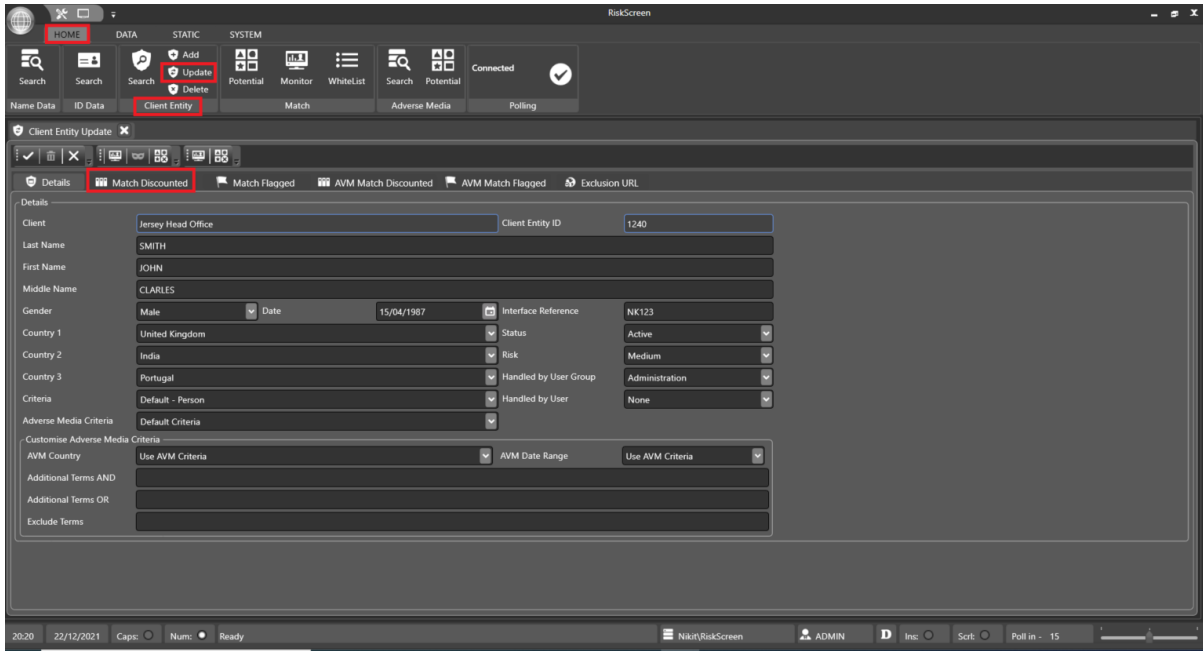
To Delete a discounted match

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

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



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

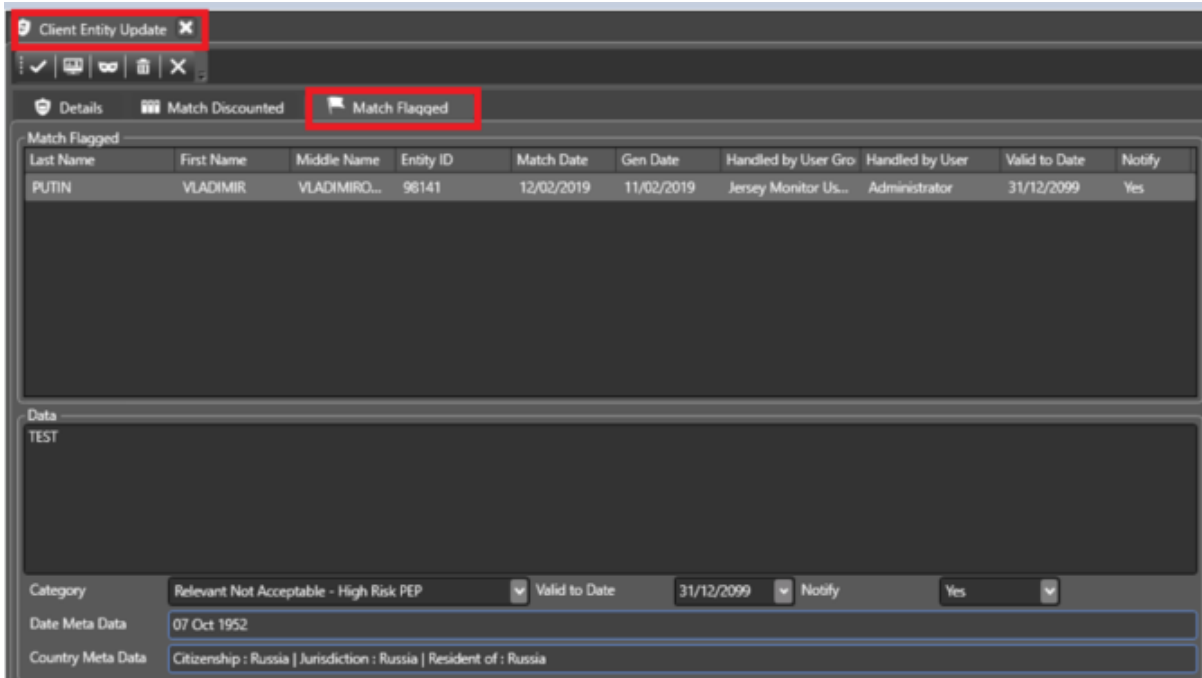
To Delete a flagged match

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

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.

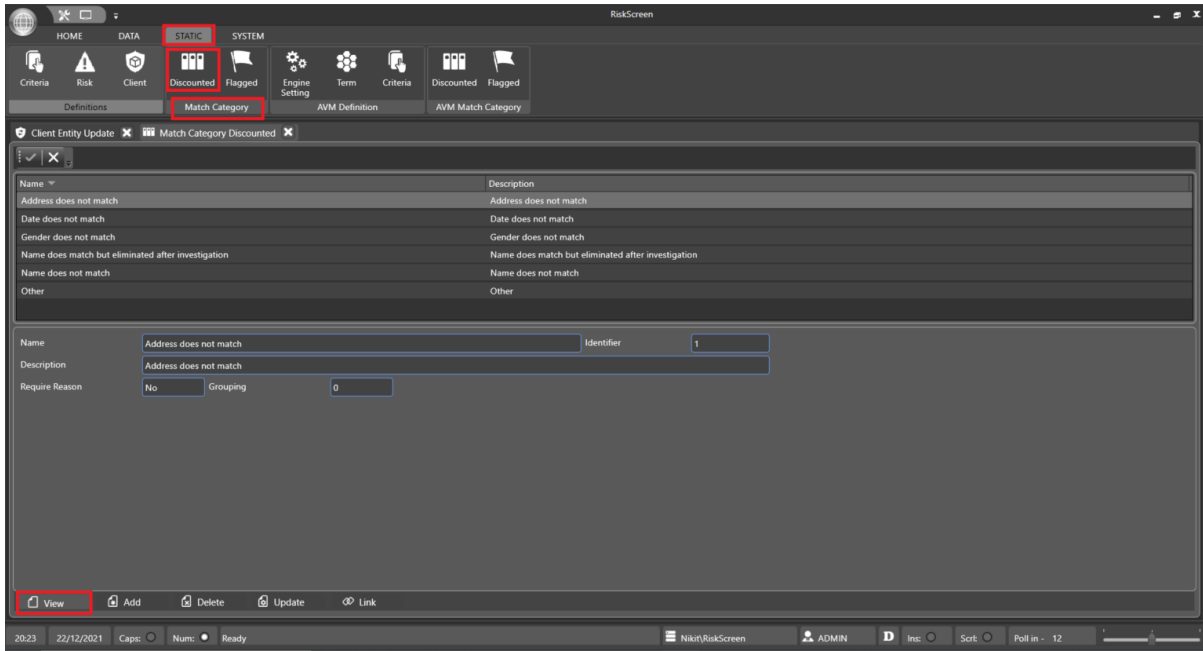
Properties

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 <ul style="list-style-type: none"> • No <ul style="list-style-type: none"> ○ User will not be required to supply a reason when discounting a match. • Yes <ul style="list-style-type: none"> ○ User will be required to supply a reason when discounting a match.
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.

Navigation: Static > Match Category > Discounted > View

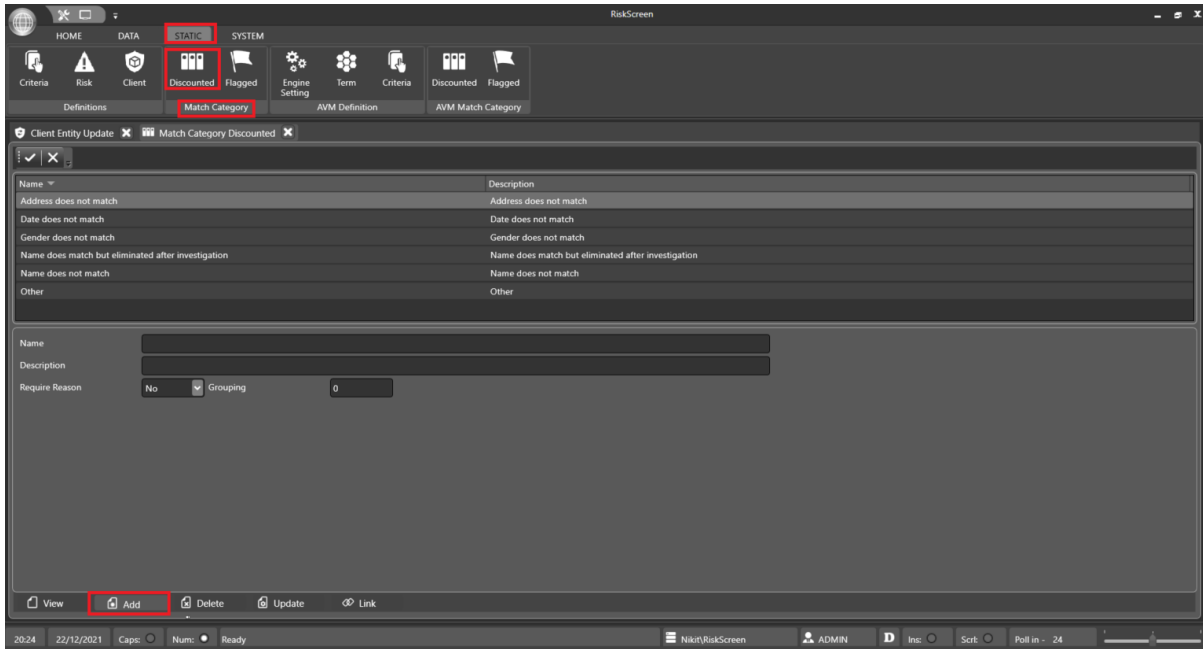


Add

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 [Link](#) screen.

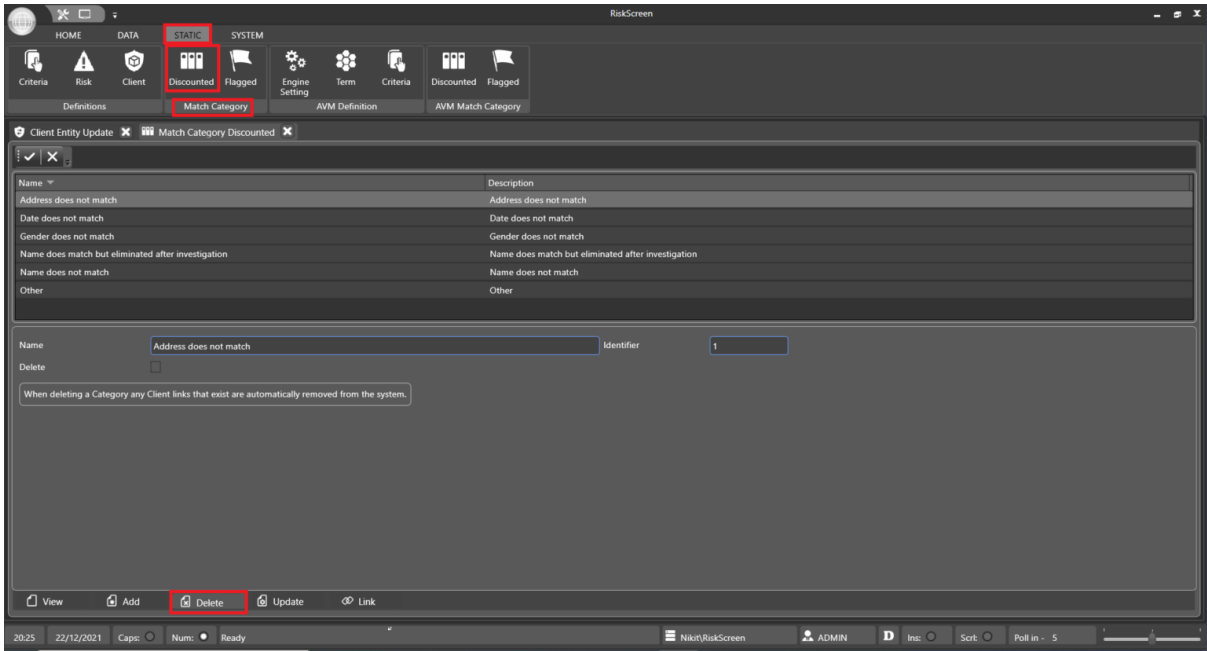
Navigation: Static > Match Category > Discounted > Add



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.

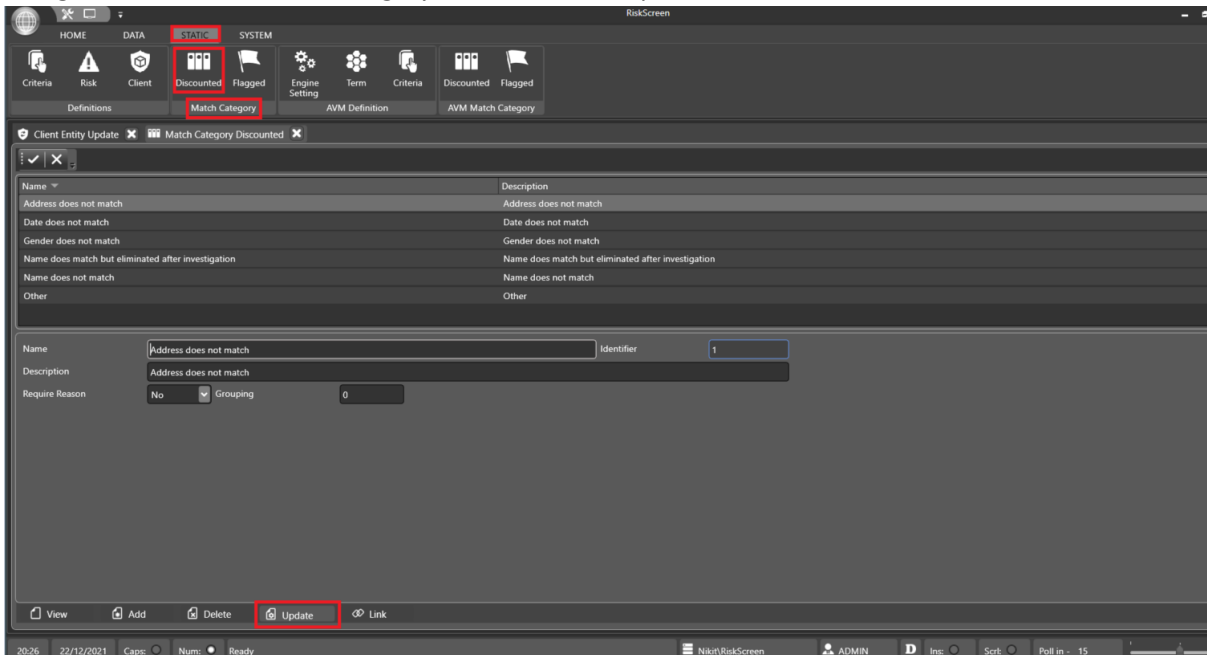
Navigation: Static > Match Category > Discounted > Delete



Update

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

Navigation: Static > Match Category > Discounted > Update



Link

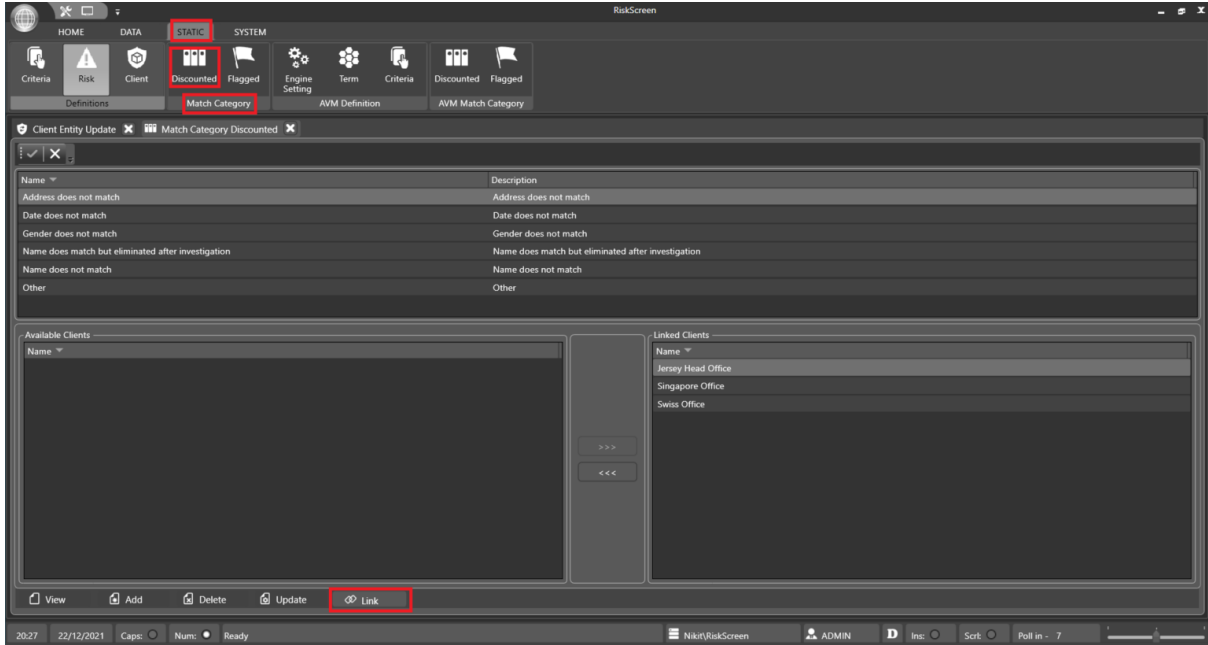
Linking a Match Discount Category to a client allows you to discount matches with the category for client entities that fall under that client.

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)

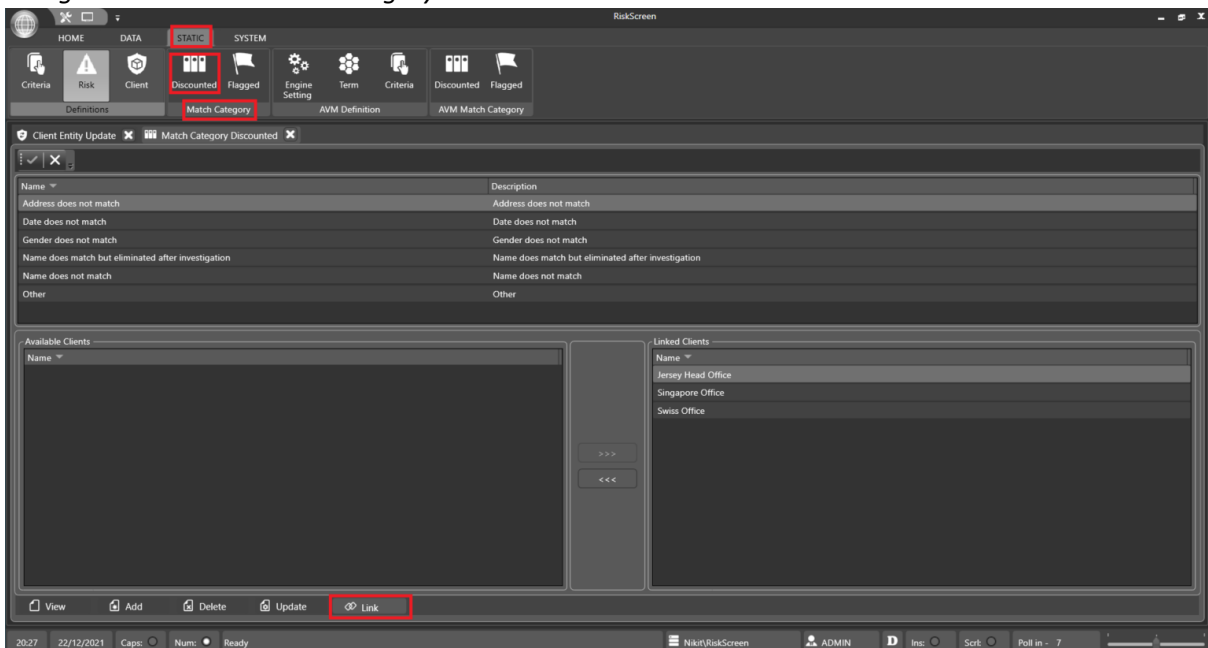
Navigation: Static > Match Category > Discounted > Link



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



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.

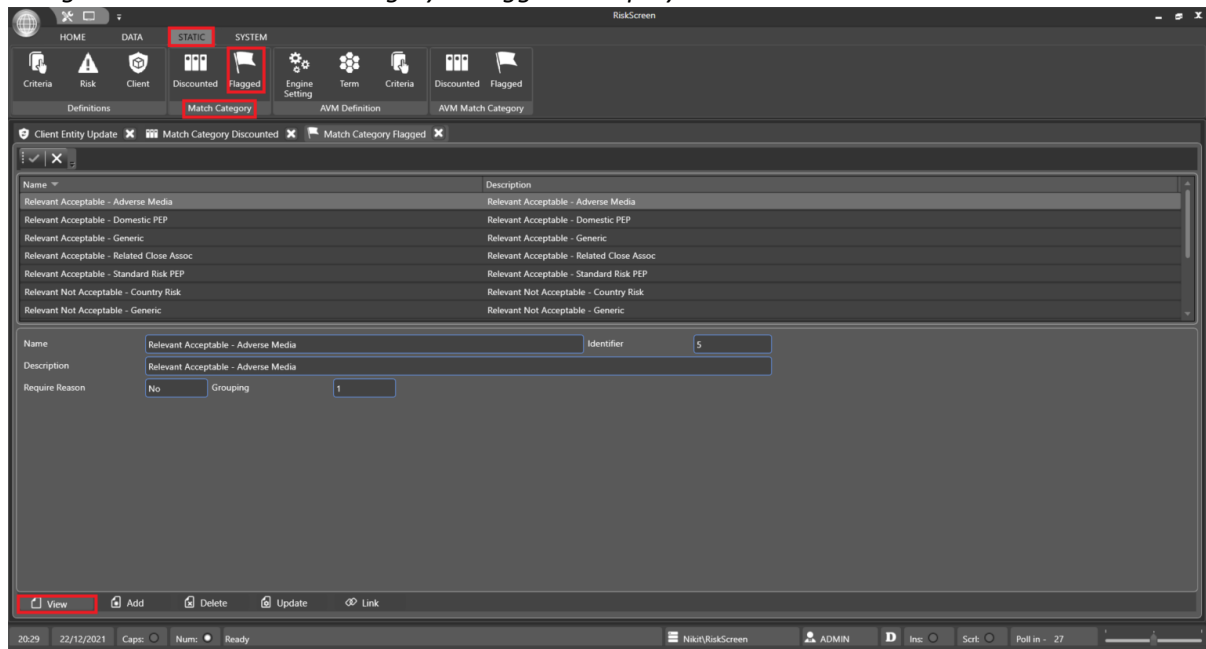
Properties

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 style="list-style-type: none"> • No <ul style="list-style-type: none"> ○ User will not be required to supply a reason when flagging a match. • Yes <ul style="list-style-type: none"> ○ User will be required to supply a reason when flagging a match.
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

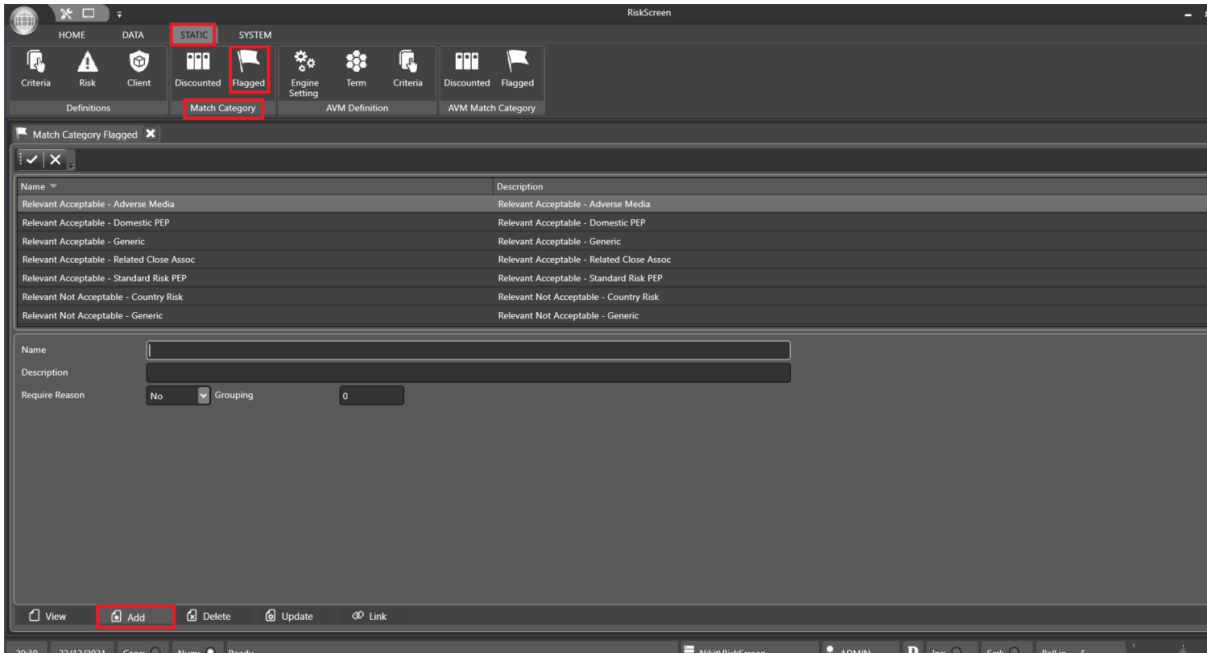


Add

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 [Link](#) screen.

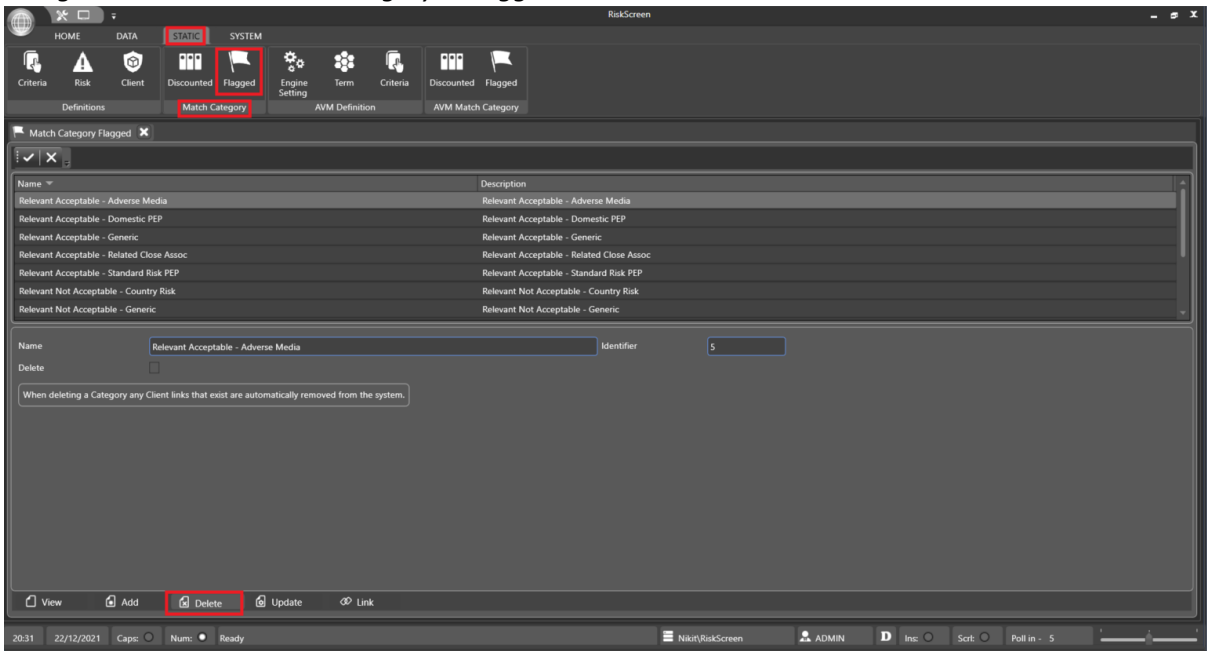
Navigation: Static > Match Category > Flagged > Add



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.

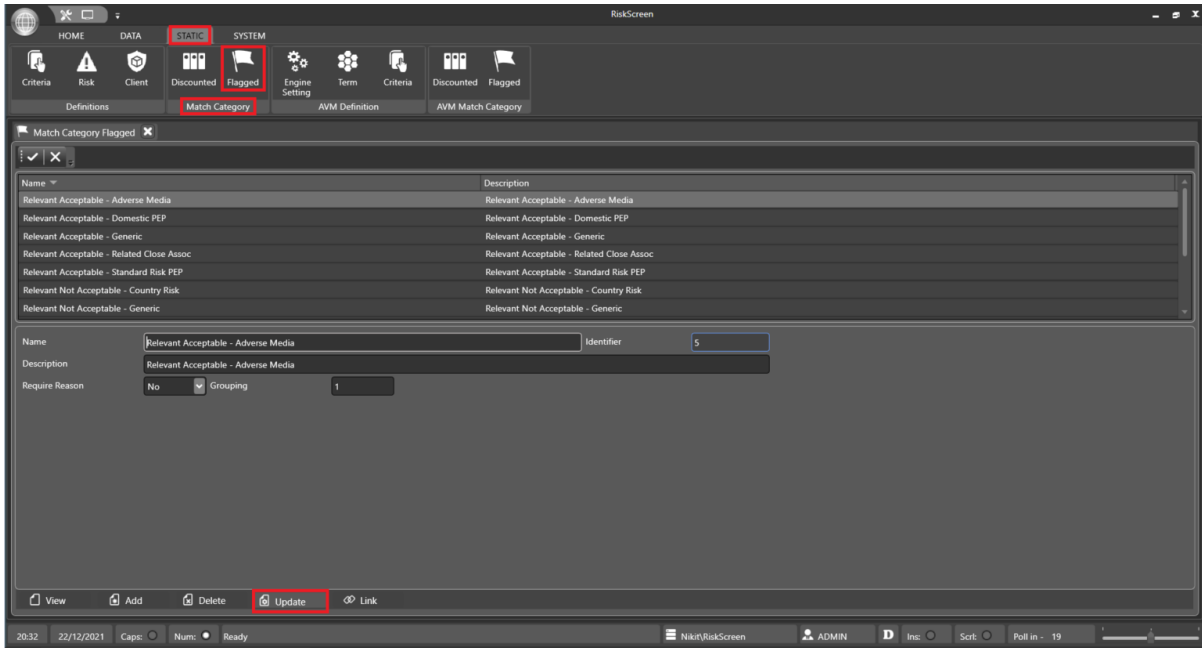
Navigation: Static > Match Category > Flagged > Delete



Update

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

Navigation: Static > Match Category > Flagged > Update



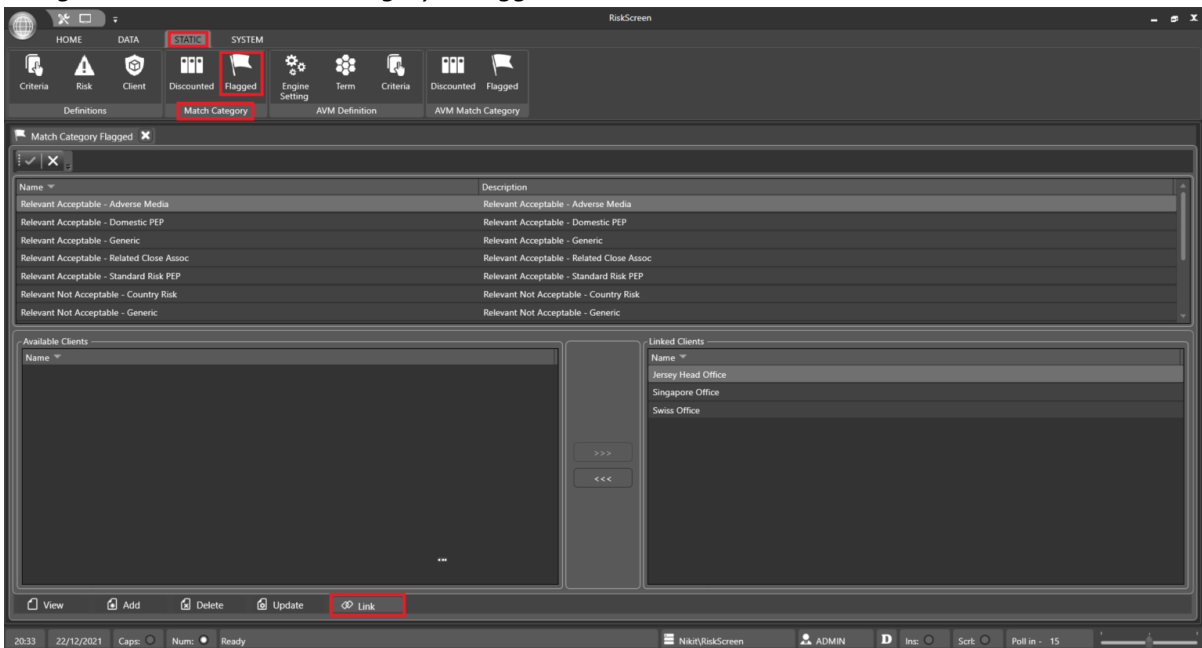
Link

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)

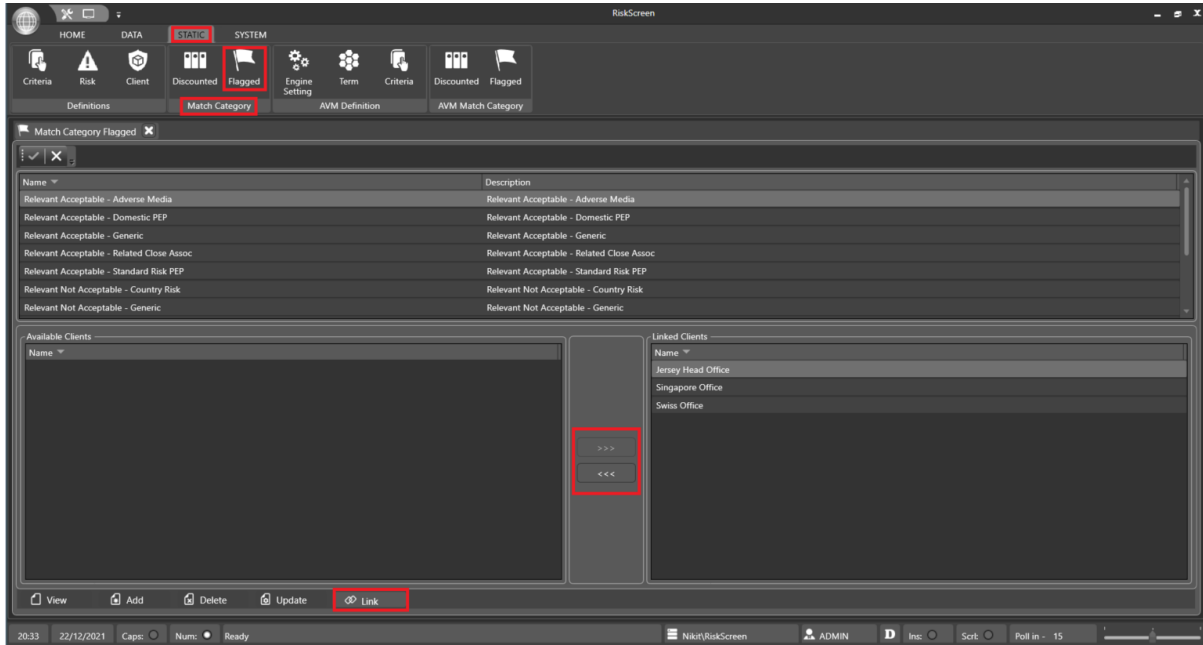
Navigation: Static > Match Category > Flagged > Link



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)

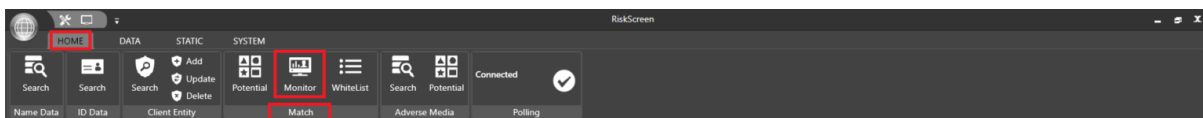
Navigation: Static > Match Category > Flagged > Link

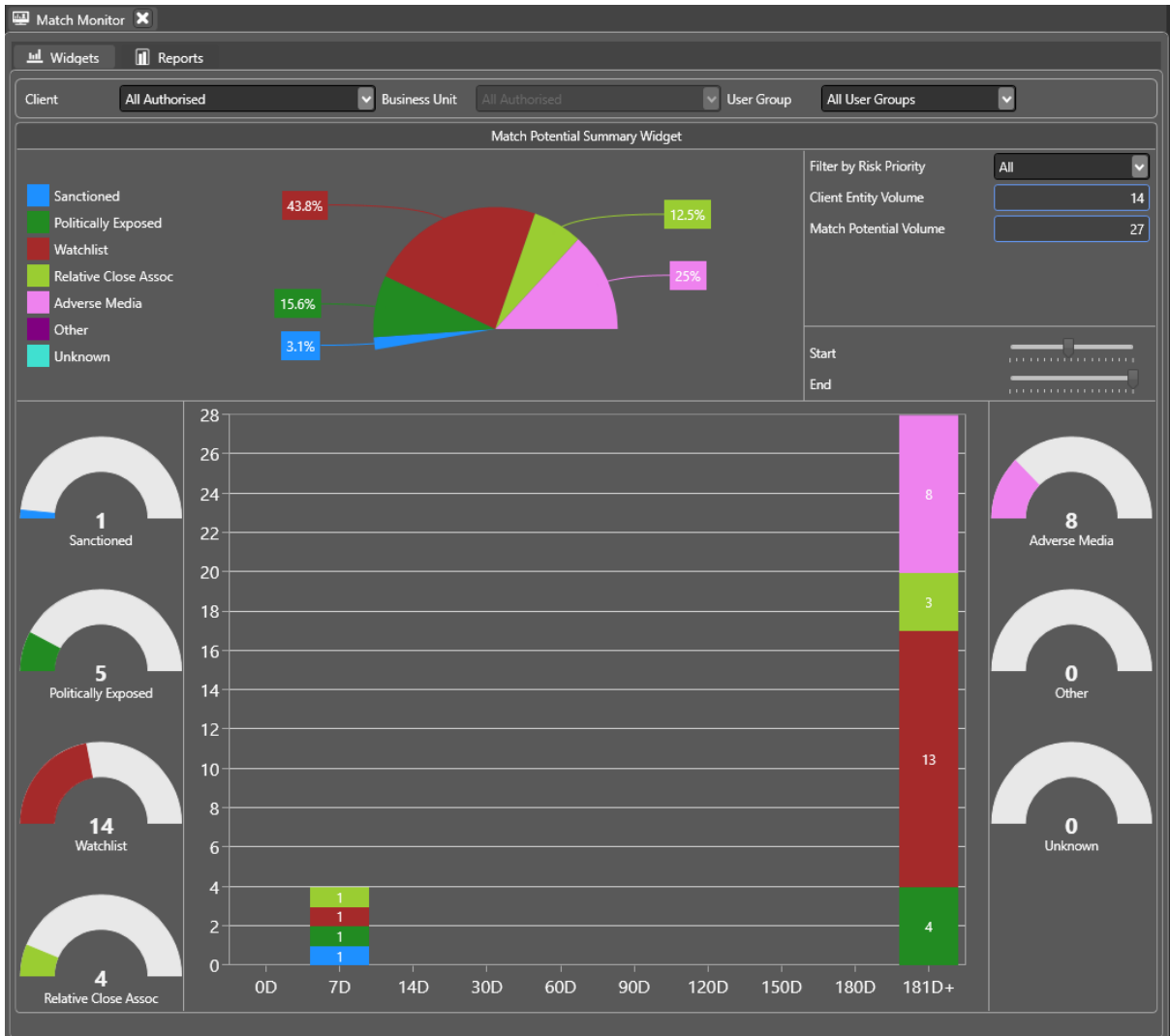


Monitor

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





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 **Client** only or All Authorised Clients.
- Business Unit
 - Restricts summary statistics to a specific **Business Unit** and **Client**.
- User Group
 - Restricts summary statistics to Client Entities “Handled by” a specific **User Group** only.
- Filter by Risk Priority
 - Restricts summary statistics to Client Entities that have a specific **Risk Priority** only.

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

Risk Classifications

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

Properties

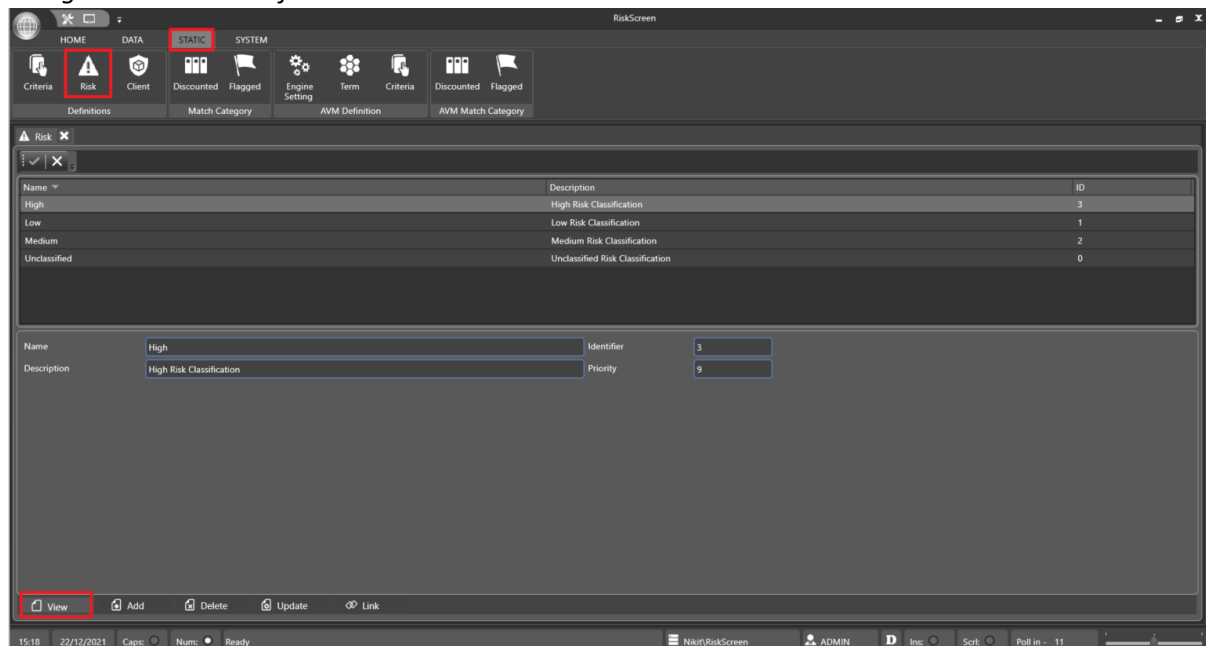
Field	Information
Name	Name of the Risk Classification.
Description	Description of the Risk Classification.
Identifier	System allocated identifier which cannot be changed.
Priority	The priority given to a risk classification is used to determine the sort order of the Match Potential screen. Values range 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*

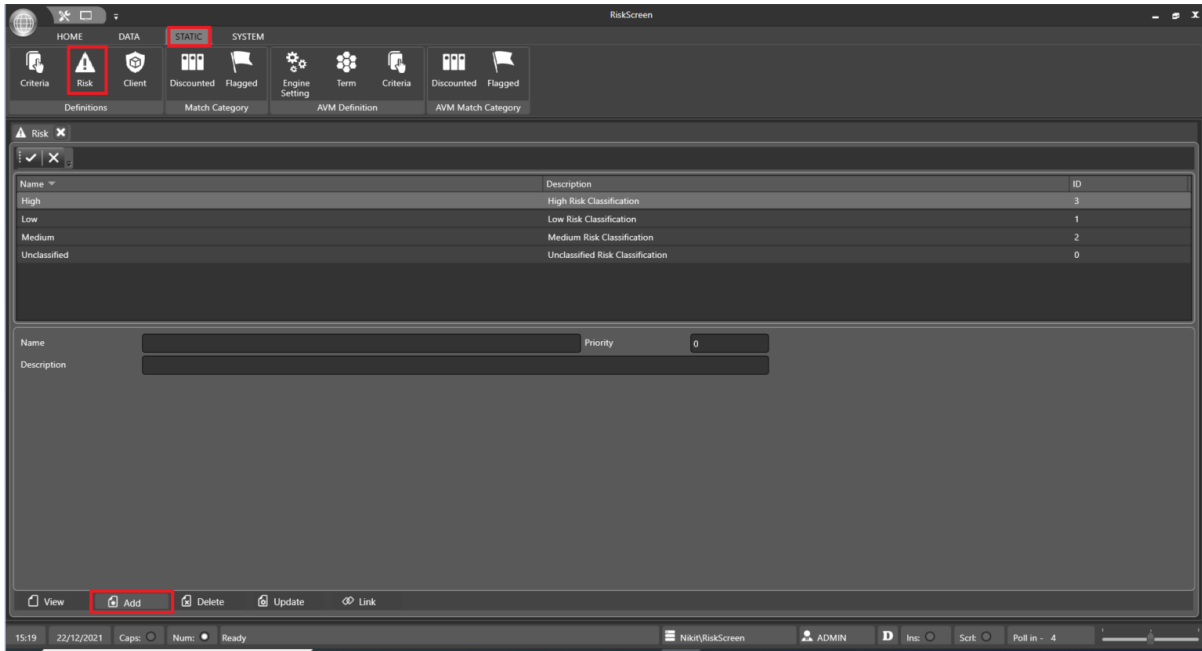


Add

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 [Link](#) screen.

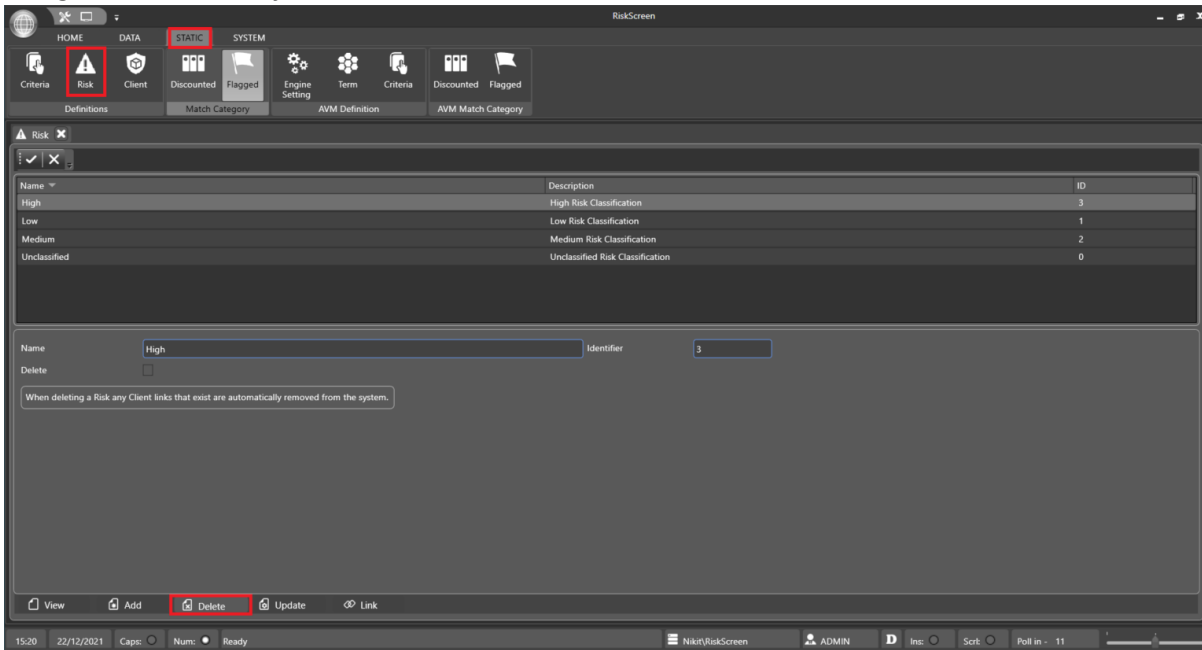
Navigation: Static > Definitions > Risk > Add



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.

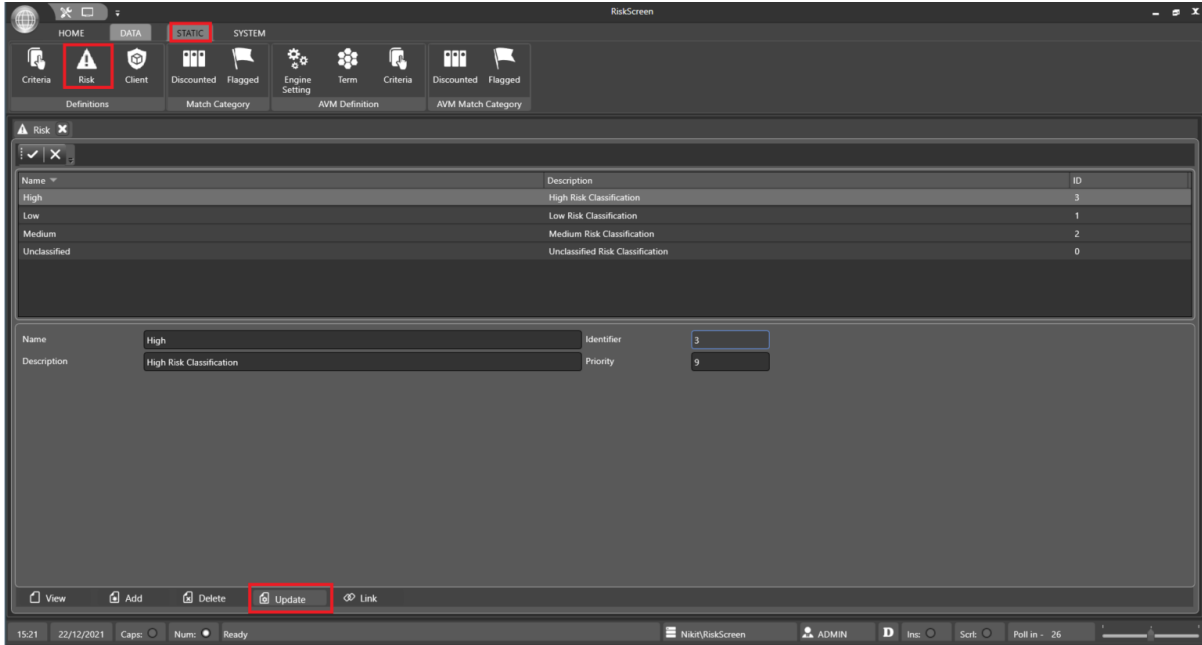
Navigation: Static > Definitions > Risk > Delete



Update

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

Navigation: Static > Definitions > Risk > Update



Link

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

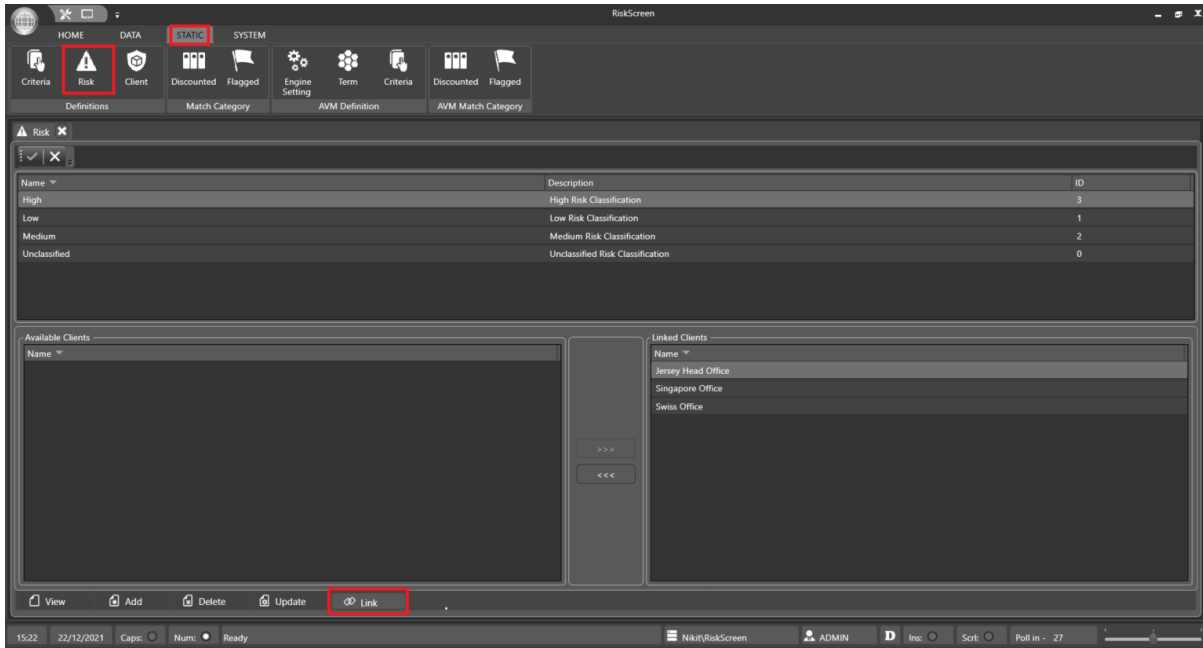
Linking a risk classification

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)

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	<p>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.</p> <p>Options:</p> <ul style="list-style-type: none"> • Person • Entity • All
Last Name Match %	% to use as the Last Name Jaro Bias. Refer to the Understanding RiskScreen Search section for more information on what these numbers mean.
First Name Match %	% to use as the First Name Jaro Bias. Refer to the Understanding RiskScreen Search section for more information on what these numbers mean.
	<i>*Results that have no first name will ignore this restriction.</i>
Middle Name Match %	% to use as the Middle Name Jaro Bias. Refer to the Understanding RiskScreen Search section for more information on what these numbers mean.
	<i>*Results that have no middle name will ignore this restriction.</i>
Reverse Search	Perform a reverse search.
	<i>*A reverse search will perform a second search with the First and Last Names transposed and display the results from both searches.</i>
Search PEP	Search against entities that are classified as PEP (Politically Exposed Person) list.
Search RCA	Search against entities that are classified as RCA (Relative and Close Associate) list.
Search WBL	Search against entities that are classified as WBL (Watch List Special Interest) list.
Search SAN	Search against entities that are classified as SAN (Sanctioned) list.
Search AVM	Search against entities that are classified as AVM (Adverse Media) list.
Search UNK	Search against entities that are classified as UNK (Unknown) list.
Include Blank Middle Name Records	Sets whether match potentials will be generated when no Middle Name is present in the search.

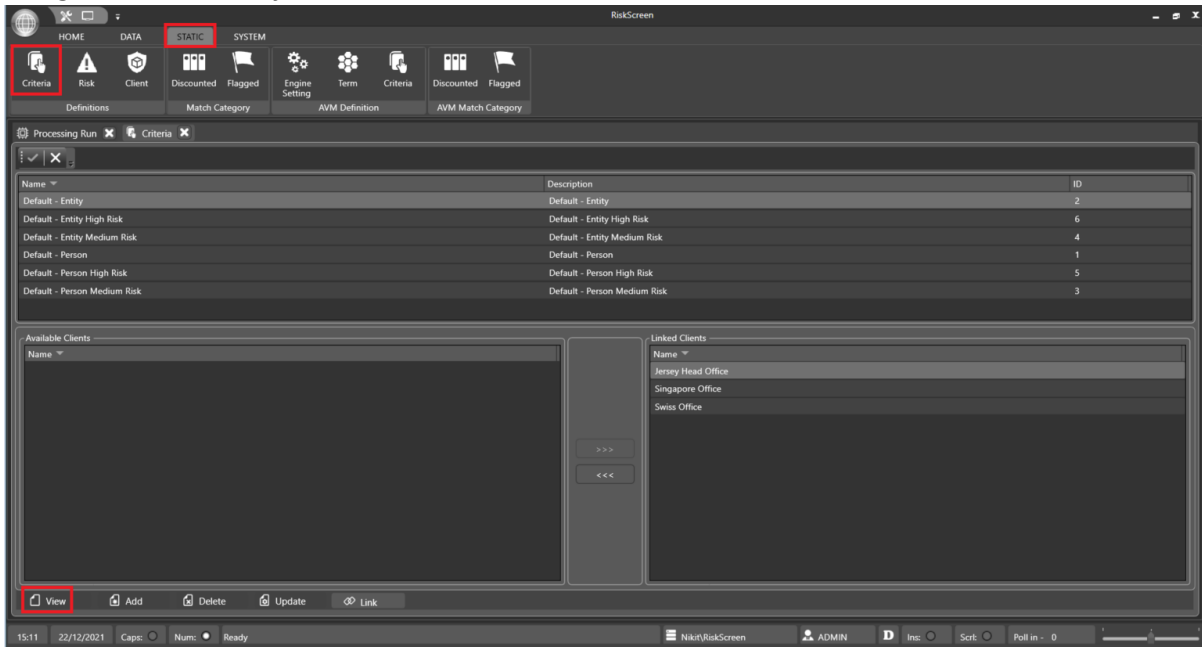
Field Information

Exact Date Match	Sets whether match potentials are only 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.
Exclude Year Range Default: 0	<p>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.</p> <p>A value of 5 would give you a 10-year radius reflecting 5 years either side of the date.</p> <p>Notes:</p> <ul style="list-style-type: none"> • Only checks against Date of Birth/Incorporation records for the Dow/Worldcheck entity. • If either or both client entity and Dow/Worldcheck entity have no Date this value is ignored.
Meta Bump	<i>Once the final set of results are returned they are ordered based on a numerical value "Meta Bump". Where a higher Meta Bump means a higher placement in the list. The following fields starting with "Bump" will increase the Meta Bump by the configured amount if the criteria are met.</i>
Bump Date Match Default: 30	Increases Meta Bump by the amount set if the entire date matches the search date.
Bump Date MM YY Match Default: 20	Increases Meta Bump by the amount set if the month and year matches the search date.
Bump Date YY Match Default: 10	Increases Meta Bump by the amount set if only the year matches the search date.
Bump Date DD MM Match Default: 5	Increases Meta Bump by the amount set if the day and month matches the search date.
Bump Country Match Default: 25	Increases Meta Bump by the amount set if the country matches one of the search countries.
Exclude Ctry No Match Default: Yes	<p>If none of the countries in the Client Entity match the countries in the Dow/Worldcheck entity no match potential will be generated.</p> <p>Notes:</p> <p>If either or both client entity and Dow/Worldcheck entity have no Country this value is ignored.</p>
No Match Include PEP Default: Yes	These settings allow you to turn country filtering off for the various lists.
No Match Include SAN Default: Yes	Yes – Country filtering will be applied to the list.
No Match Include WBL Default: Yes	No – Country filtering will not be applied to the list.

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.

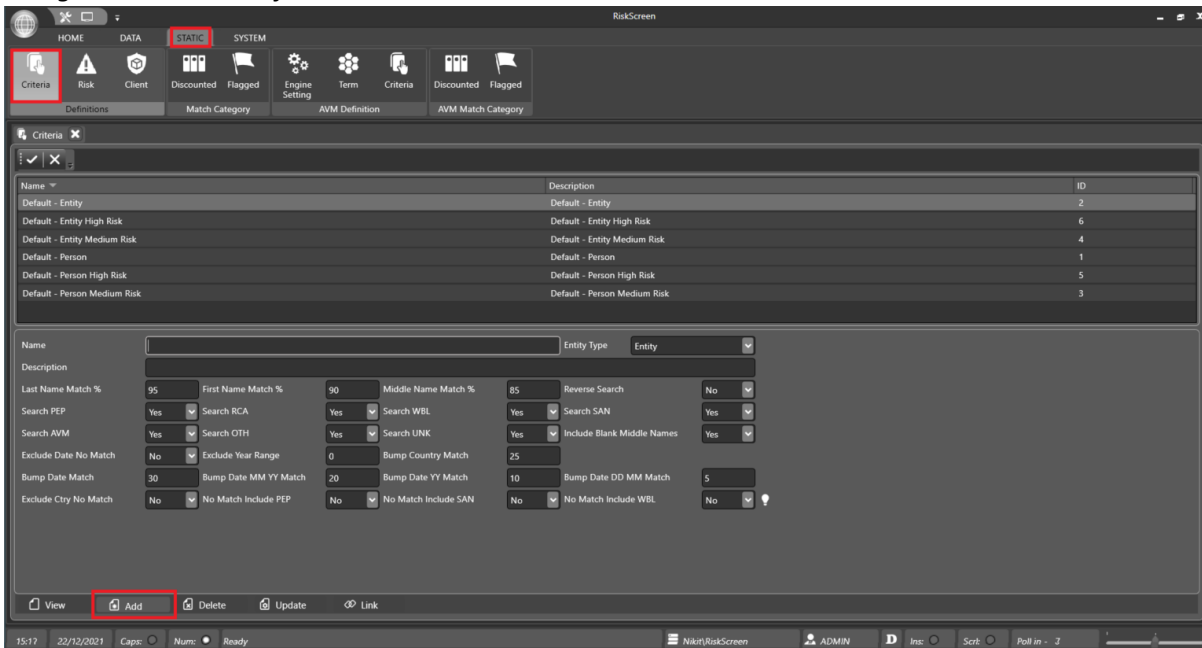
Navigation: Static > Definitions > Criteria > View



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 [Search Criteria Properties](#) section for more information on each of the fields.

Navigation: Static > Definitions > Criteria > Add

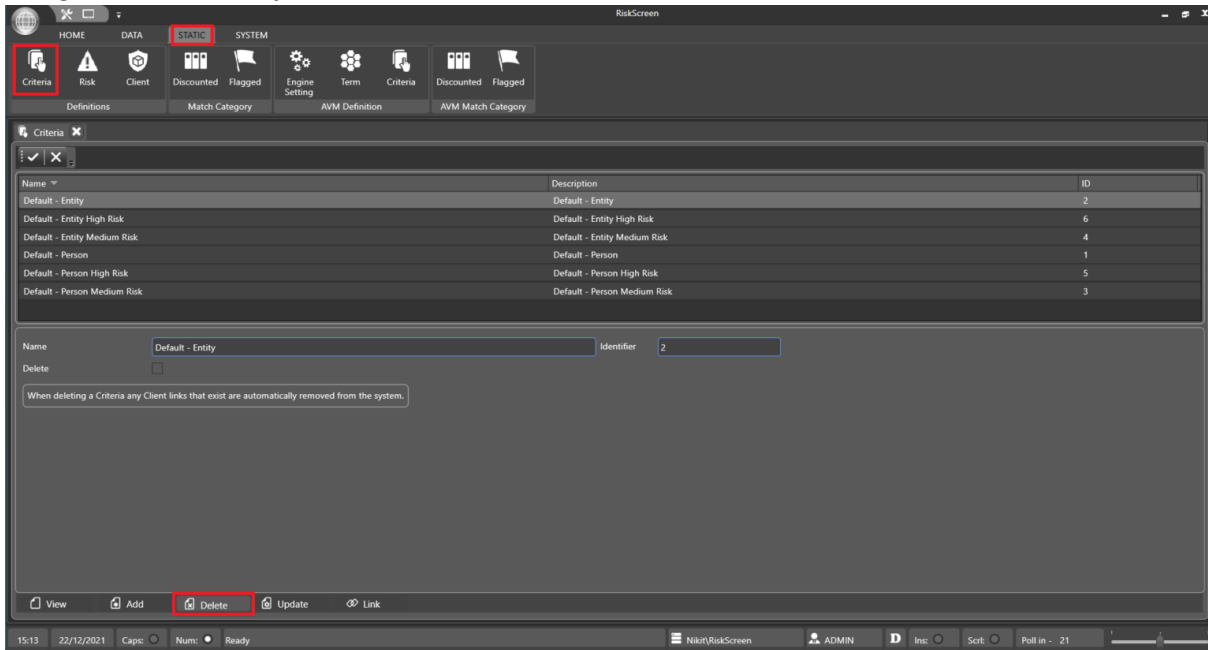


A search criteria needs to be linked to a client before it can be used to screen the client’s client entities. You can link a search criteria to a client on the [Link](#) screen.

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.

Navigation: Static > Definitions > Criteria > Delete

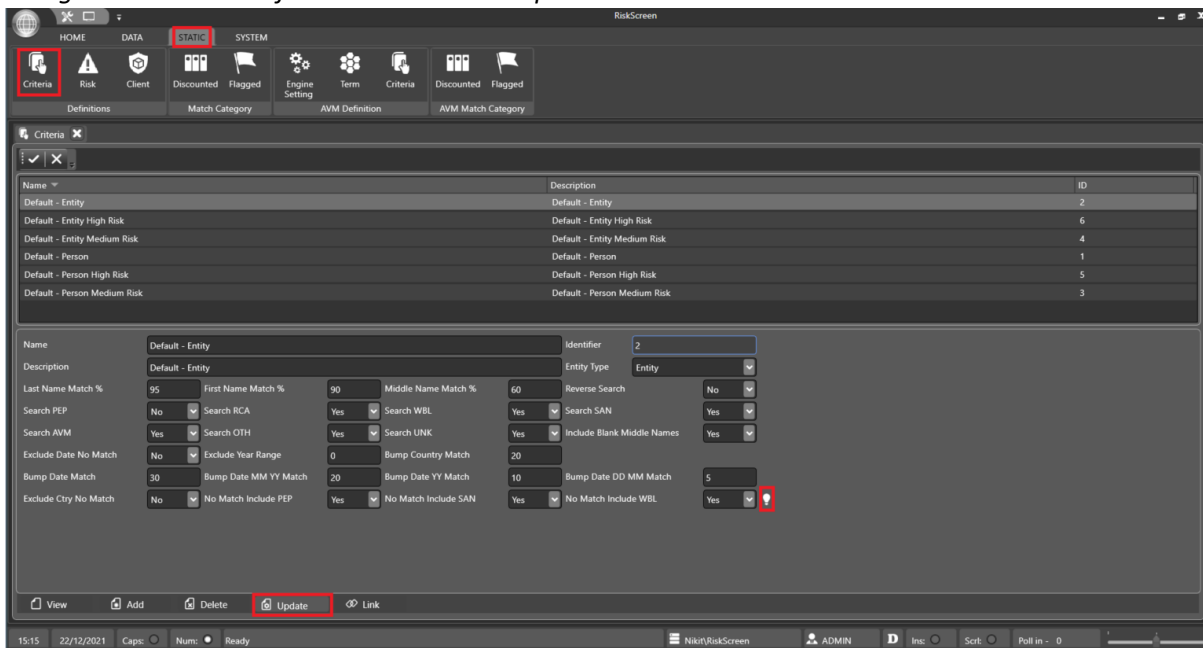


Update

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.

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.

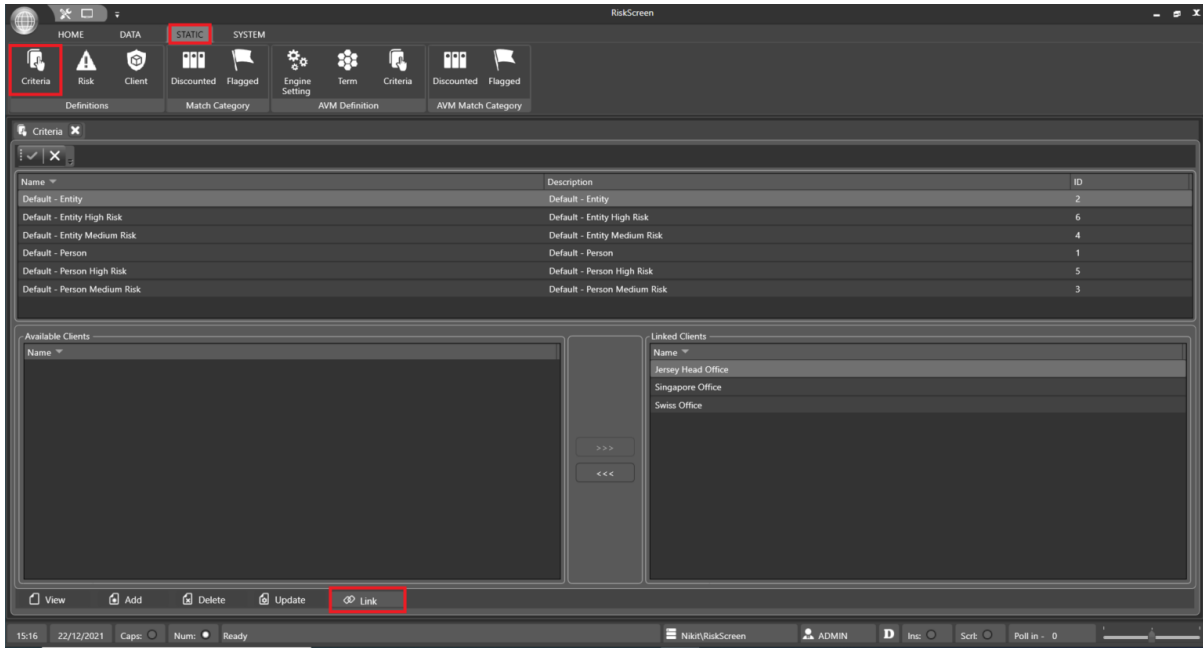
Linking a criteria

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

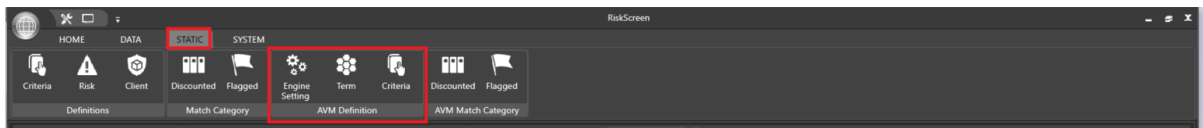
1. Select the criteria from the list in the top section of the screen
2. Select the client you wish to unlink the criteria from in the list of “Linked Clients” (bottom left)
3. Click the button with the three arrows pointing to the left
4. The client name should now appear in the list of “Available Clients”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

Navigation: *Static > Definitions > Criteria > Link*



Adverse Media Definition (AVM)

Navigation: *Static > AVM Definition*



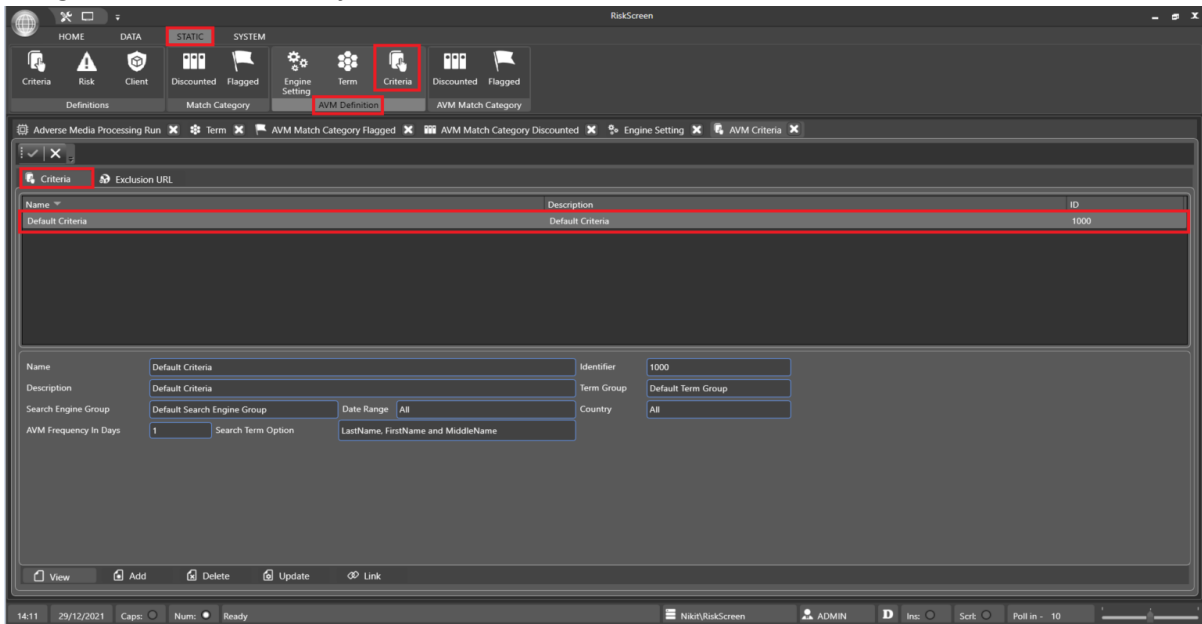
AVM Criteria

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

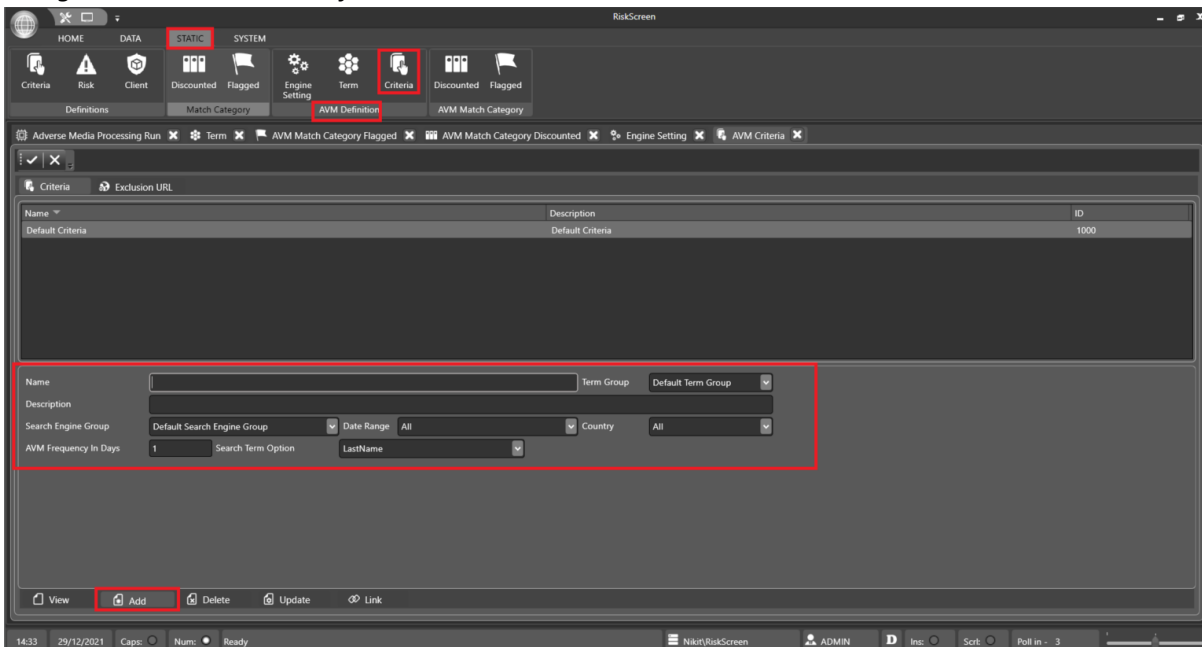
Navigation: Static > AVM Definition > Criteria >View



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.

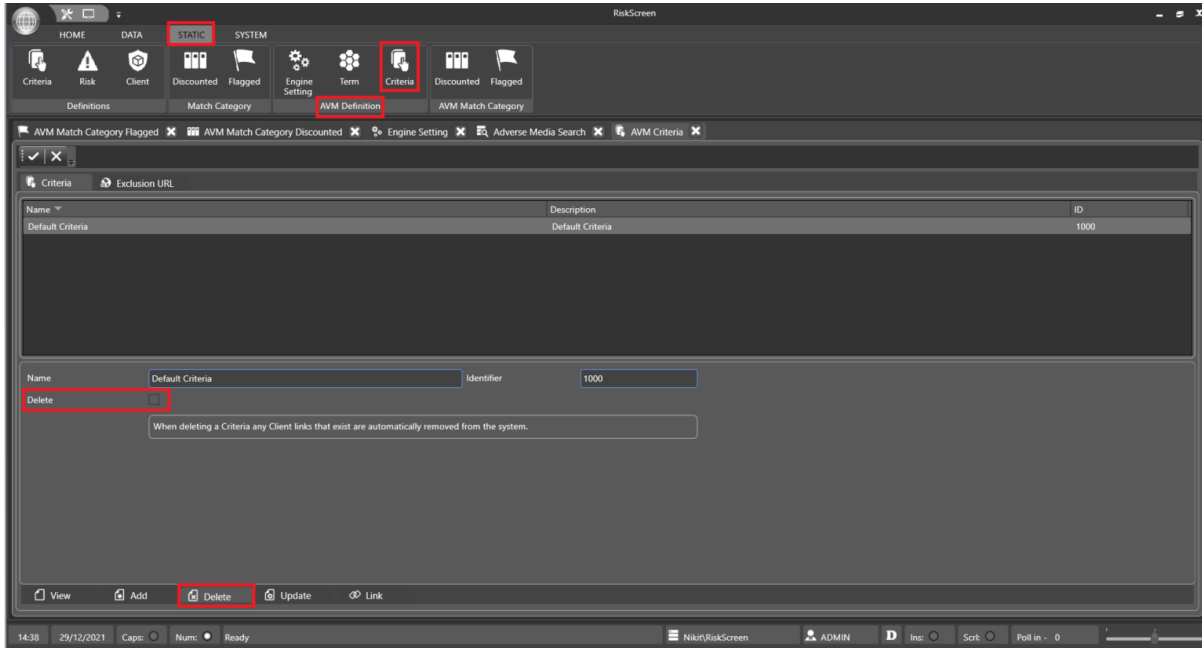
Navigation: Static > AVM Definition > Criteria > Add



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.

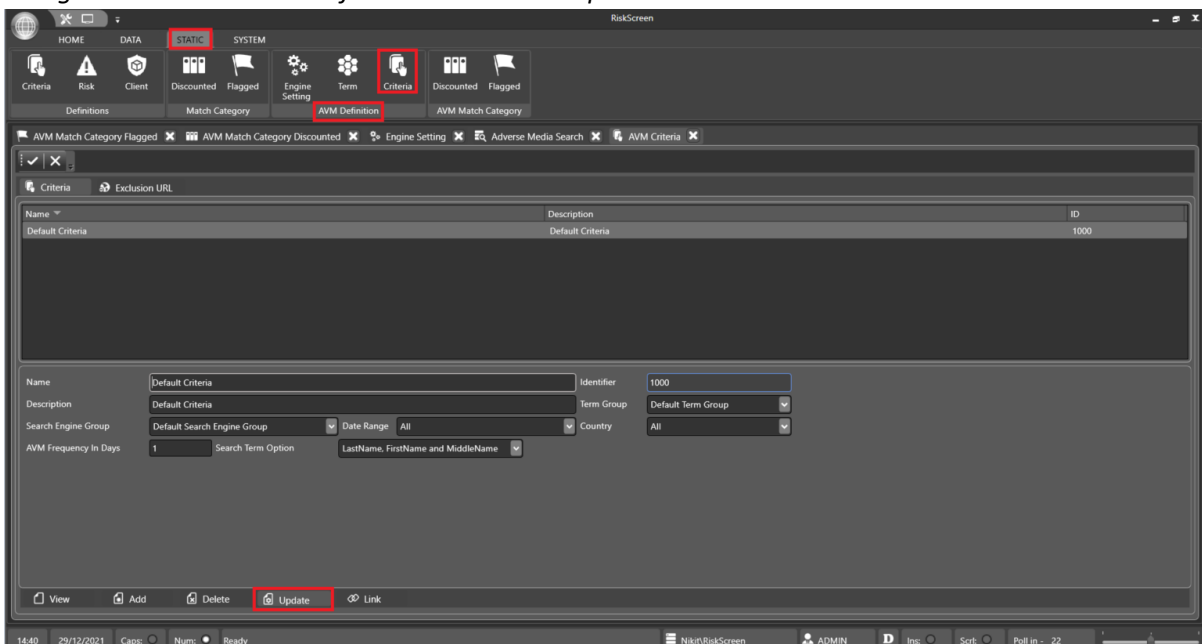
Navigation: Static > Definitions > Criteria > Delete



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.

Navigation: Static > AVM Definition > Criteria > Update



Link

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

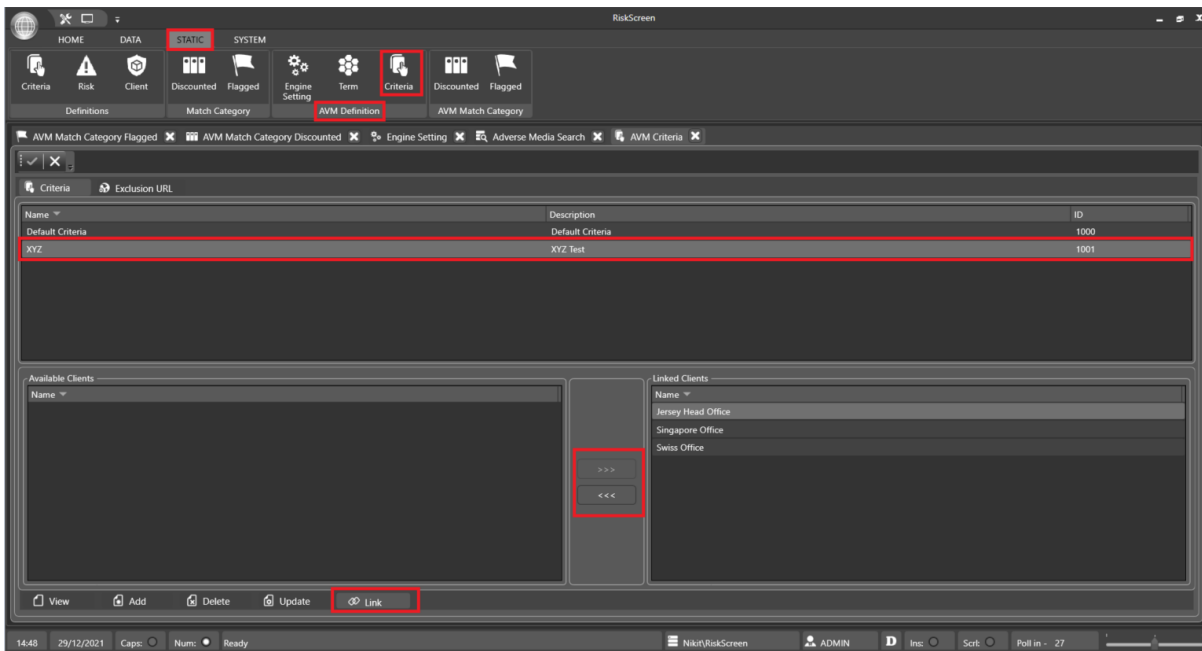
Linking a criteria

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



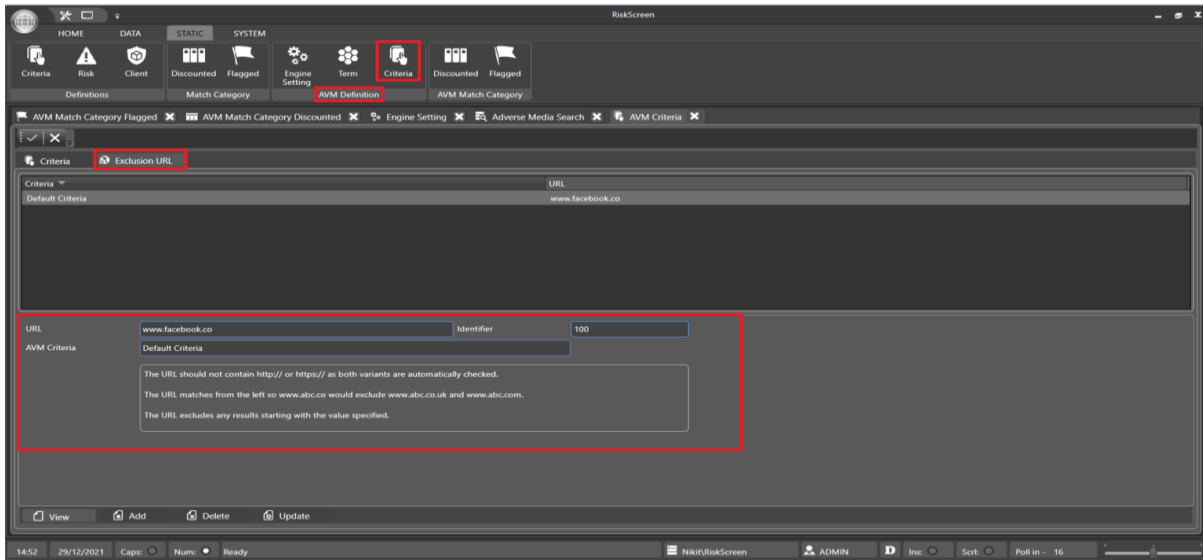
Exclusion URL

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
2. The URL matches from the left so www.abc.co would exclude www.abc.co.uk and www.abc.com
3. The URL exclude any results starting with the value specified.

Navigation: Static > AVM Definitions > Exclusion URL



AVM Term

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

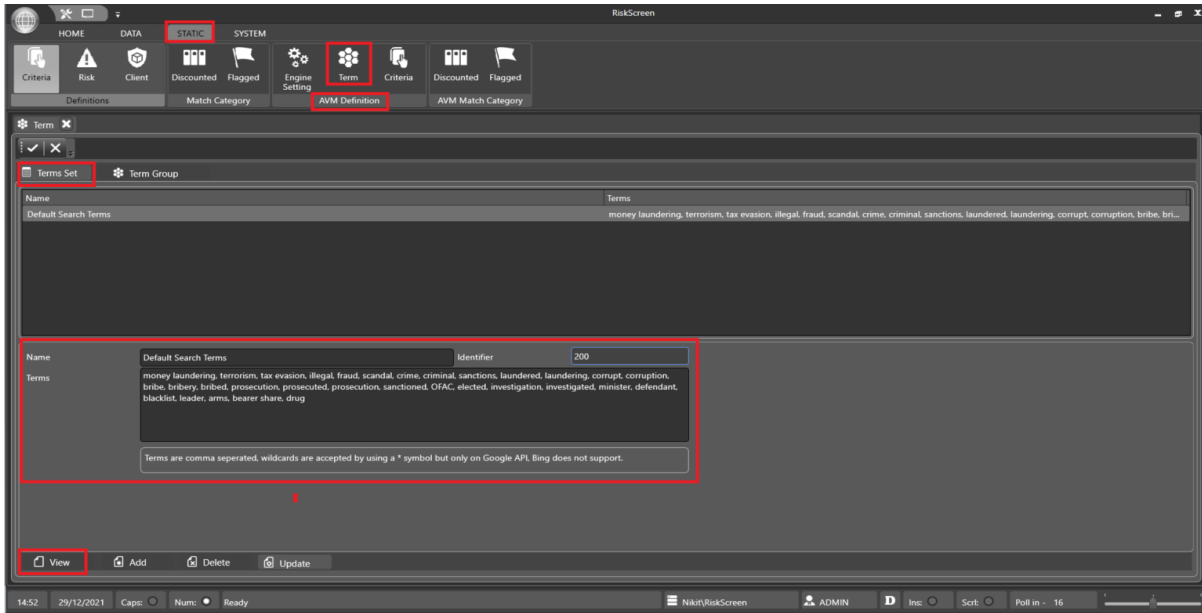
Money laundering, terrorism, tax evasion, illegal, fraud, scandal, crime, criminal, sanctions, laundered, laundering, corrupt, corruption, bribe, bribery, bribed, prosecution, prosecuted, prosecution, sanctioned, OFAC, elected, investigation, investigated, minister, defendant, blacklist, leader, arms,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

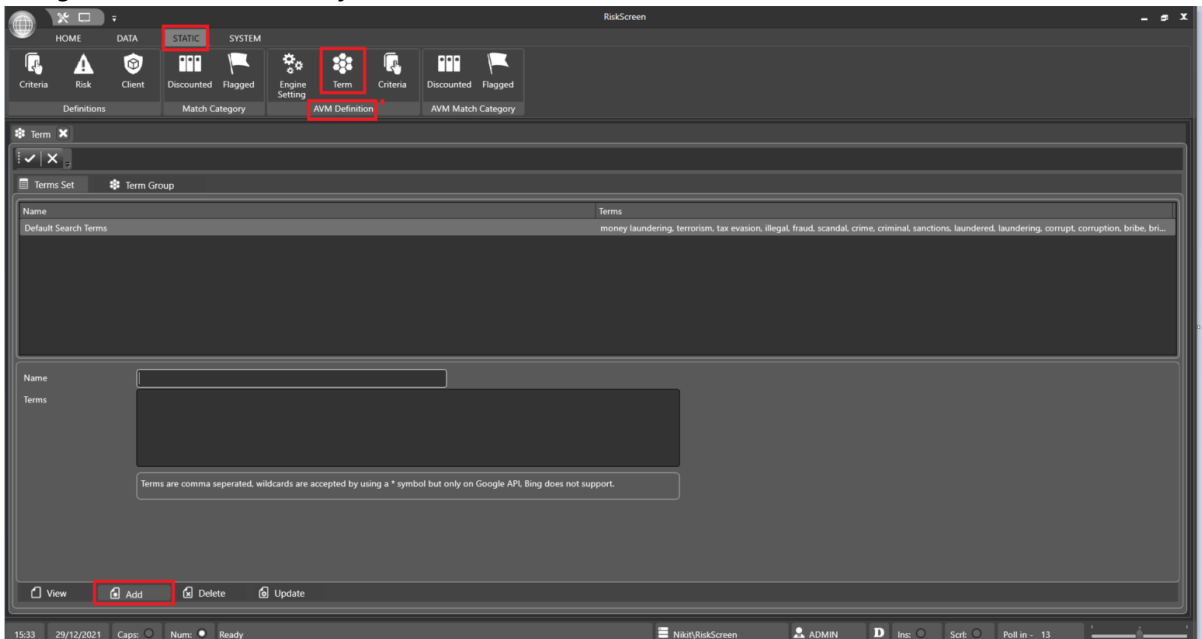
Navigation: Static > AVM Definition > Term>Term Set >View



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.

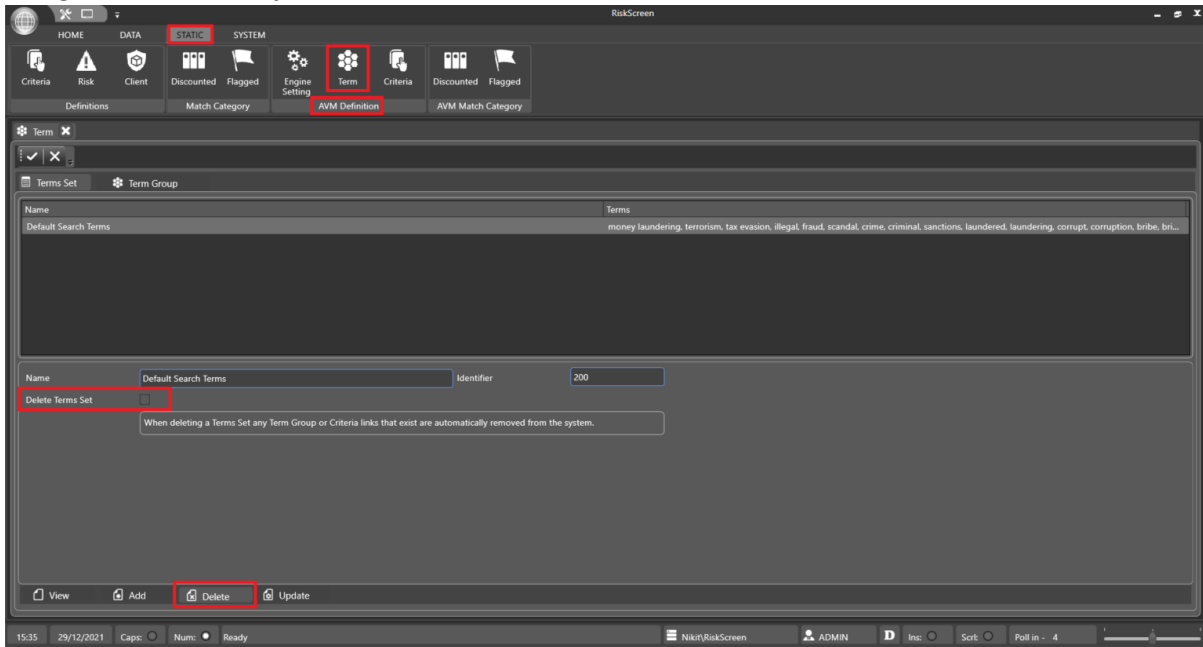
Navigation: Static > AVM Definition> Term > Add



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.

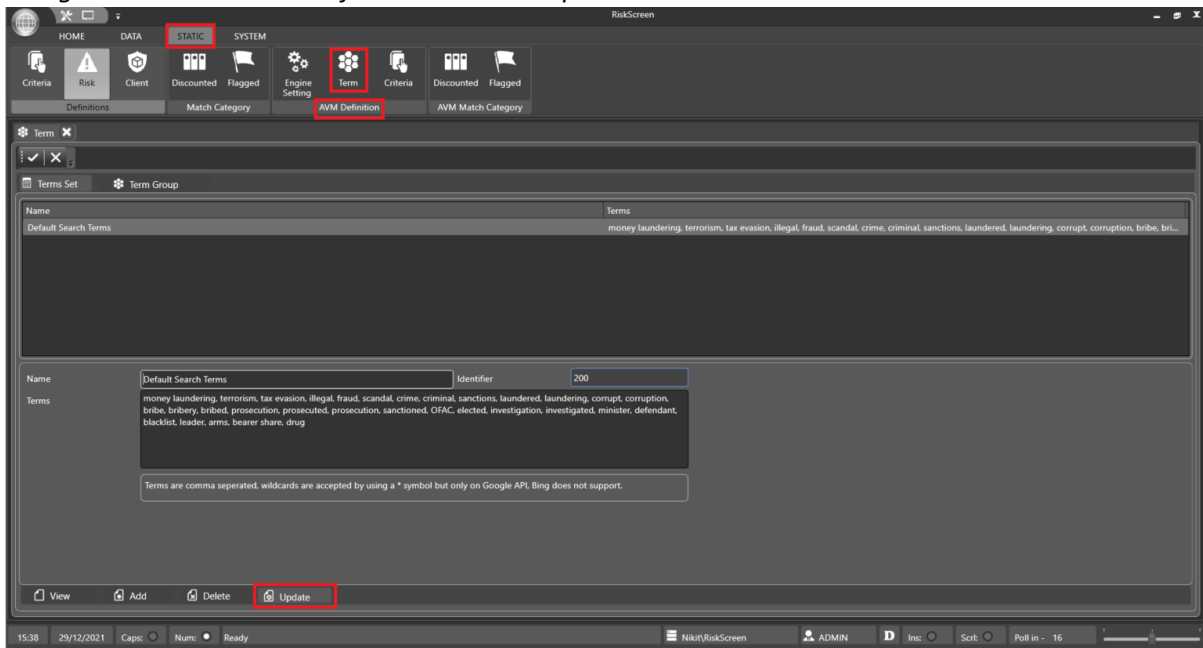
Navigation: Static > Definitions > Term > Delete



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.

Navigation: Static > AVM Definition > Term > Update



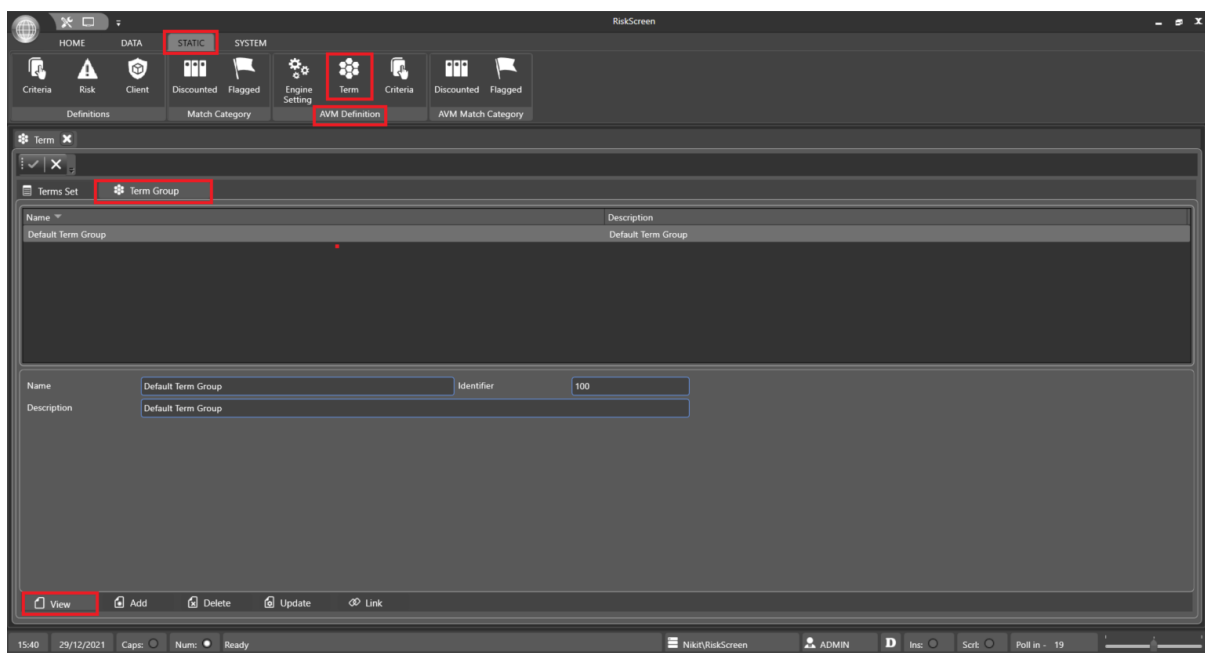
AVM Term Group

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

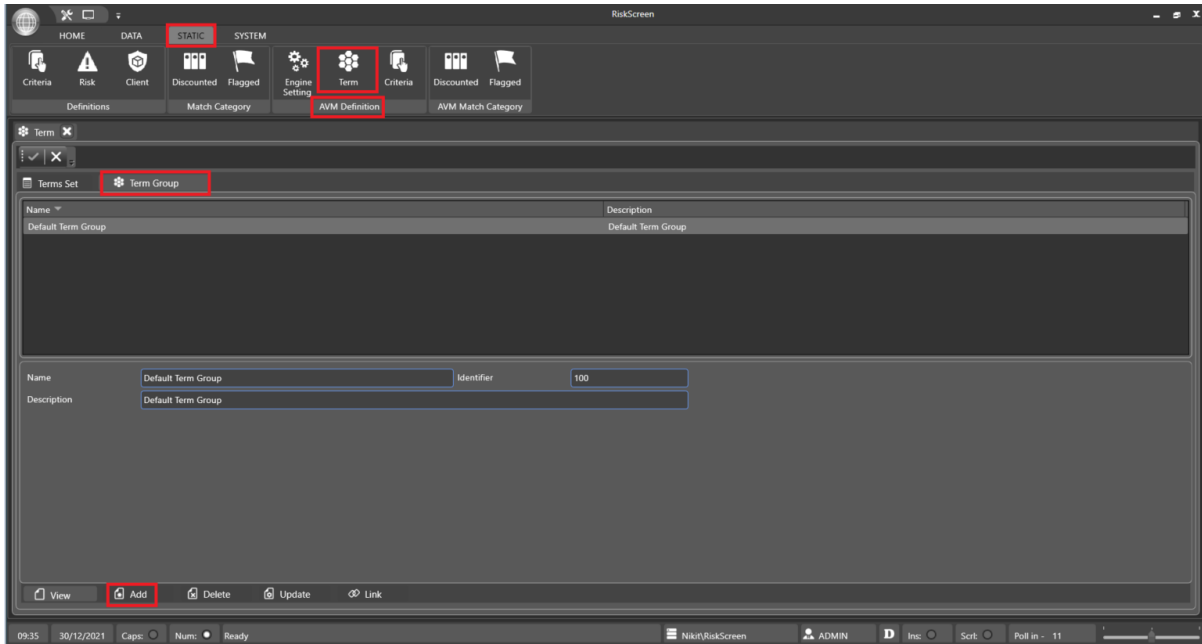
Navigation: Static > AVM Definition > Term > Term Group



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.

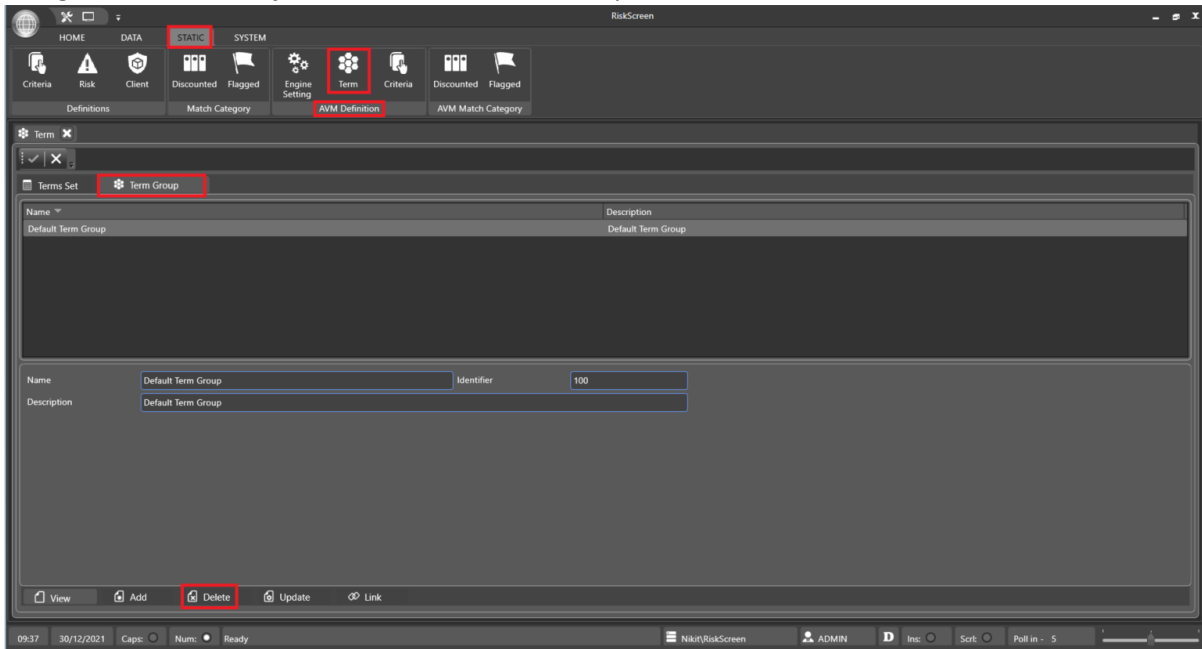
Navigation: Static > AVM Definition > Term > Term Group > Add



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.

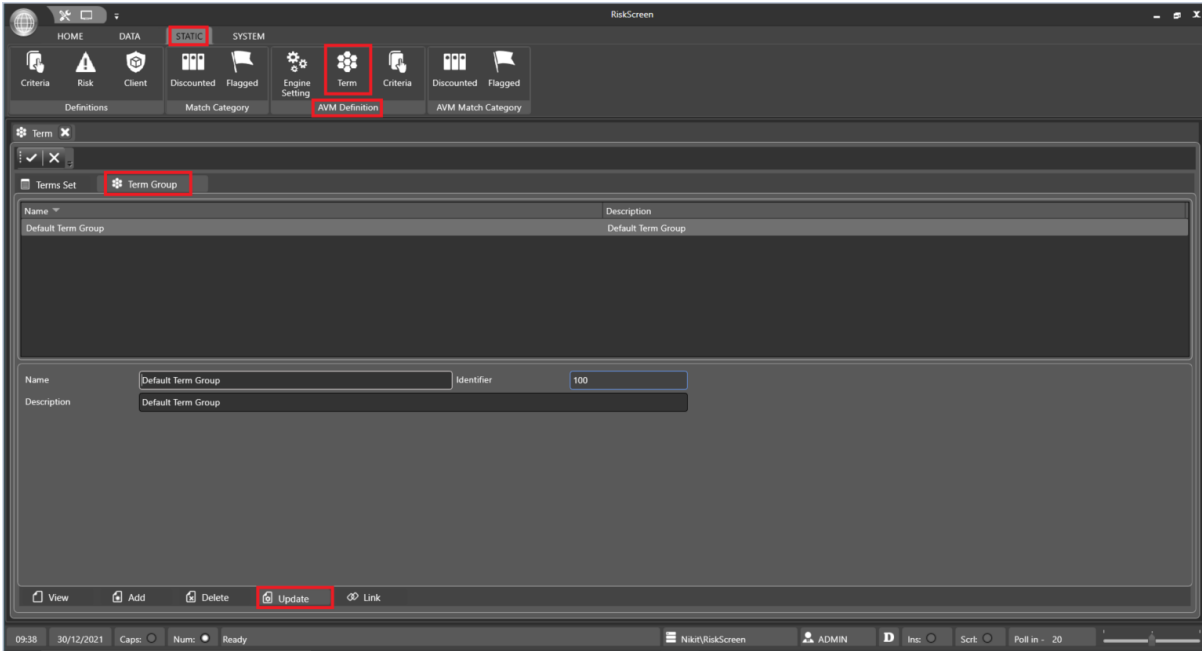
Navigation: Static > Definitions > Term > Term Group > Delete



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.

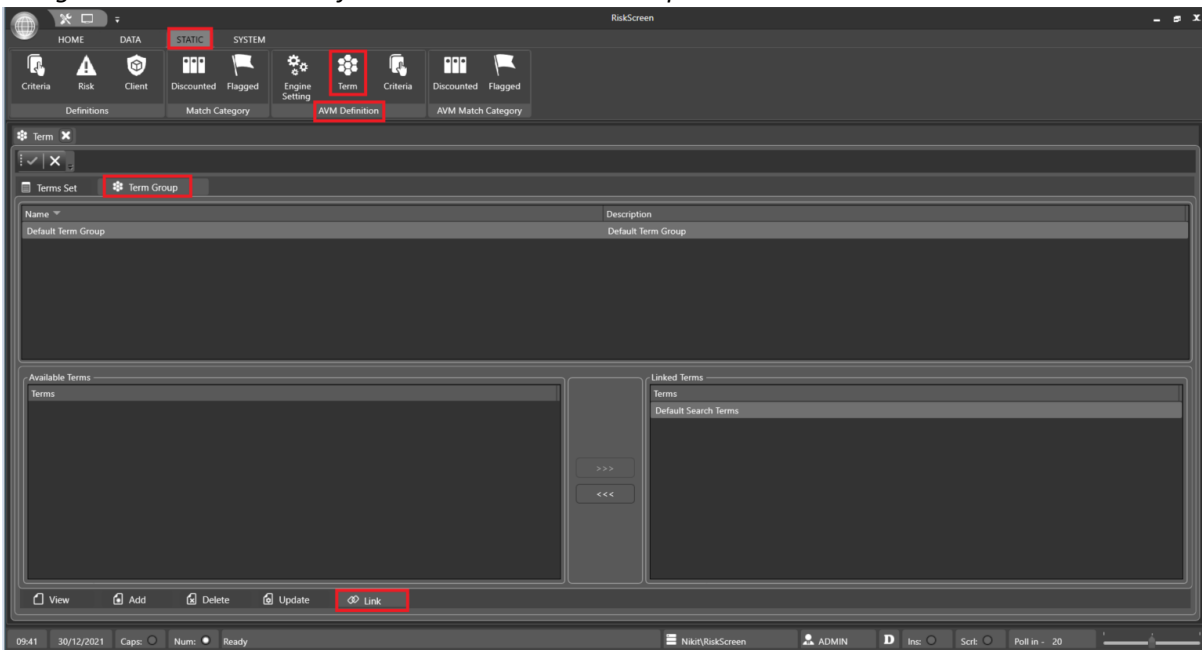
Navigation: Static > AVM Definition > Term > Term Group > Update



Link

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

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



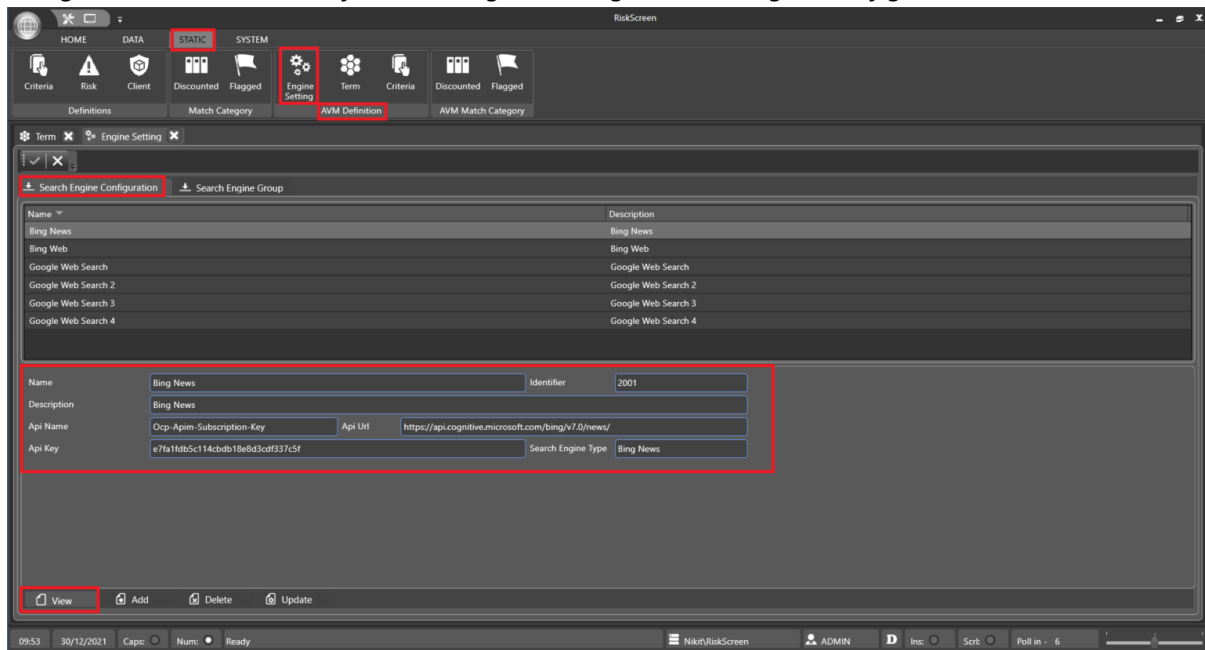
AVM Engine Setting

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	API Key
Search Engine Type	Type of Search Engine

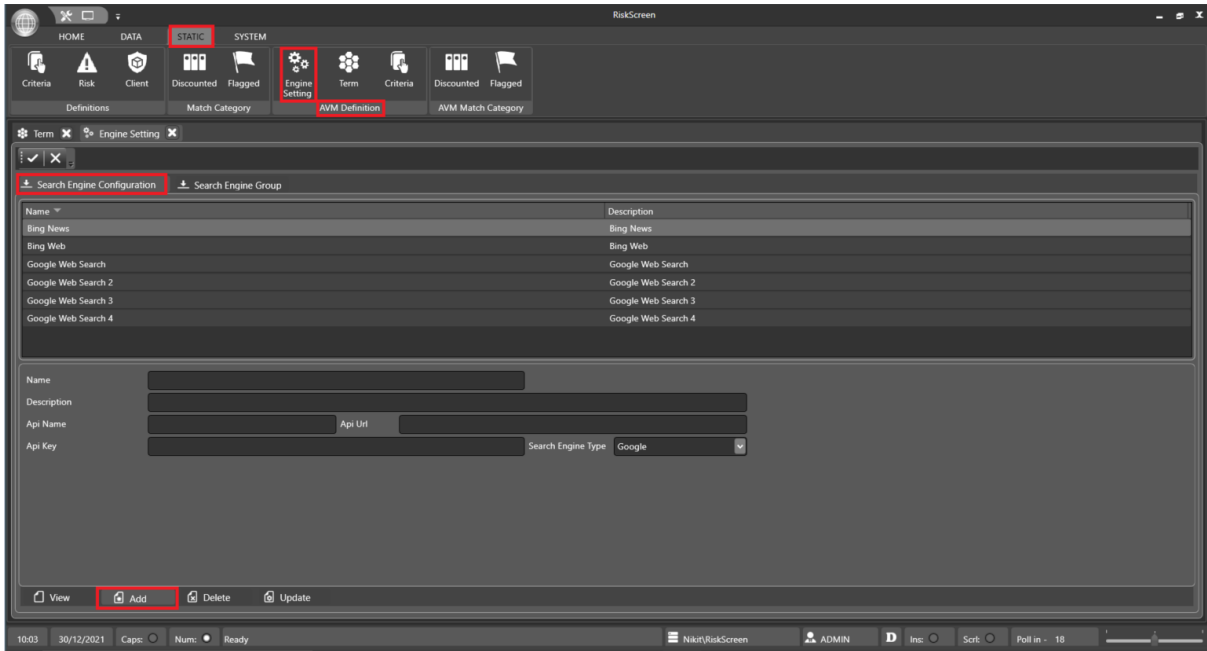
Navigation: Static > AVM Definition > Engine setting > Search Engine Configuration



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.

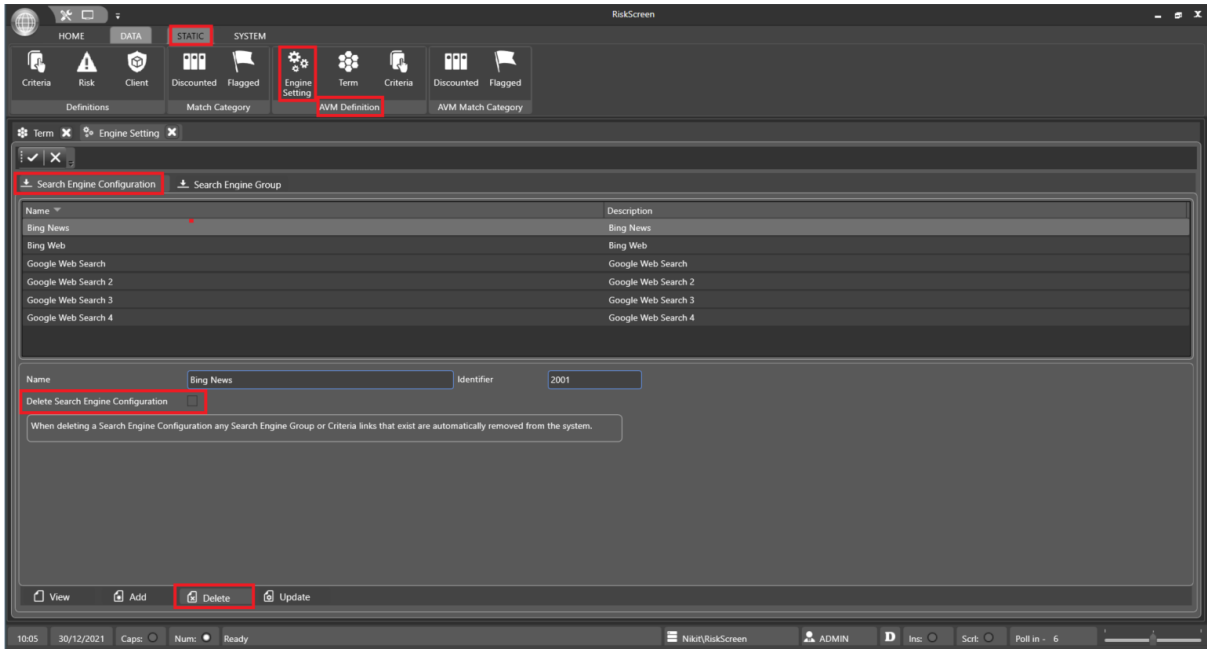
Navigation: Static > AVM Definition > Engine setting > Search Engine Configuration > Add



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.

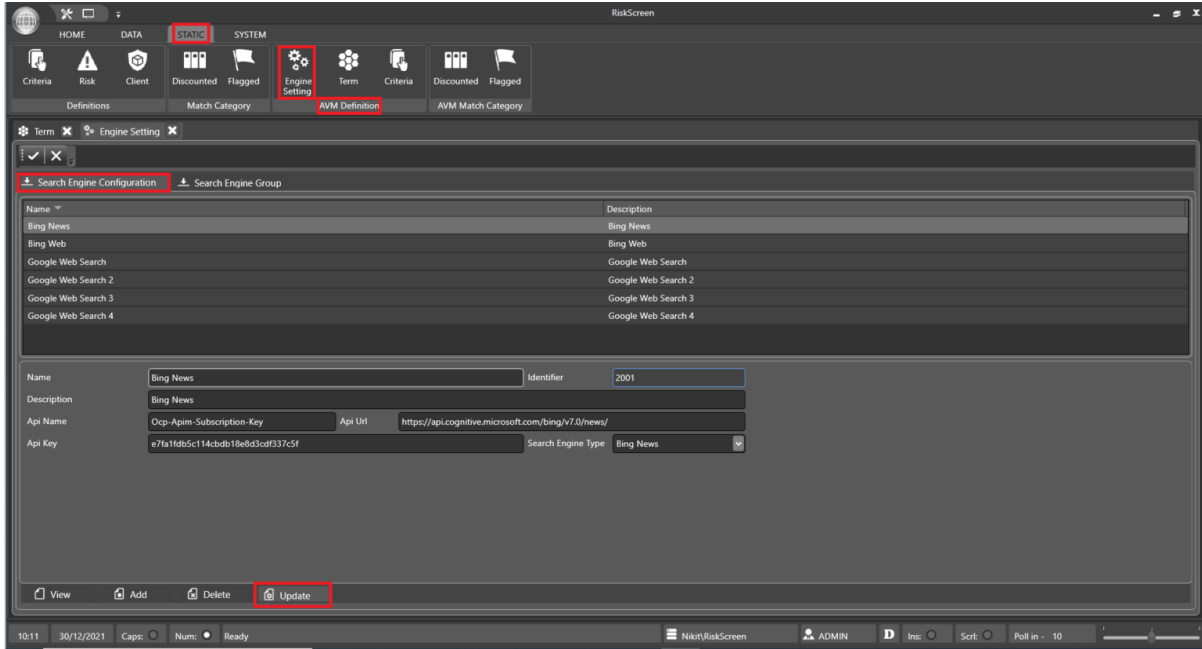
Navigation: Static > AVM Definition > Engine setting > Search Engine Configuration > Delete



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



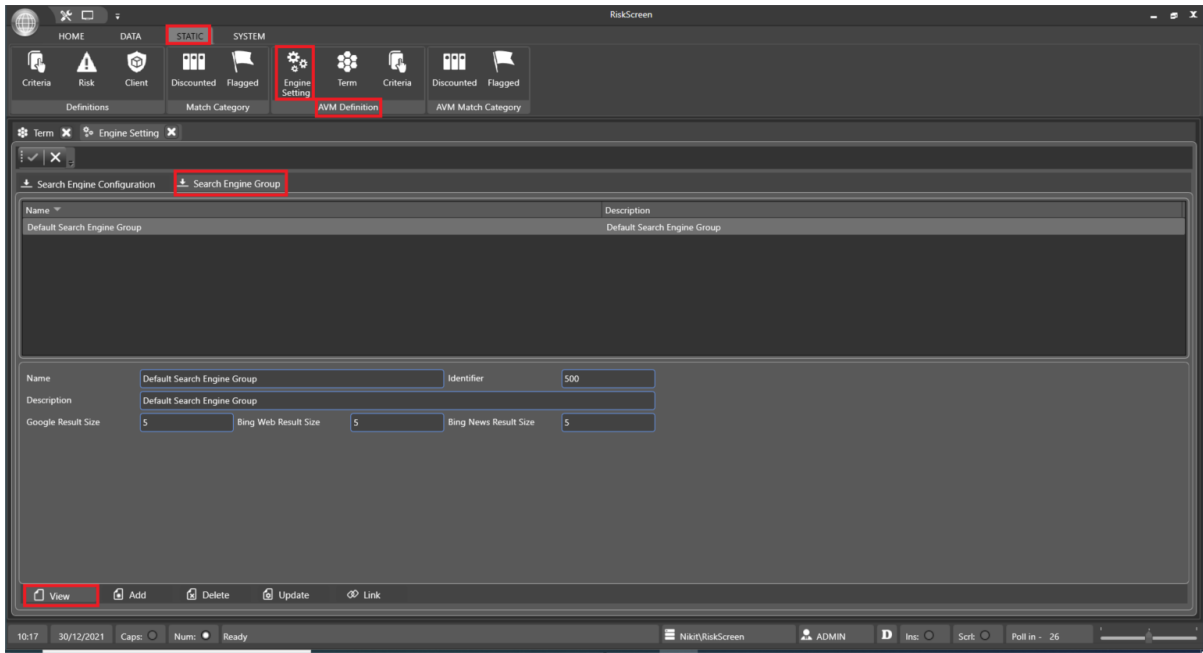
AVM Search Engine Group

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

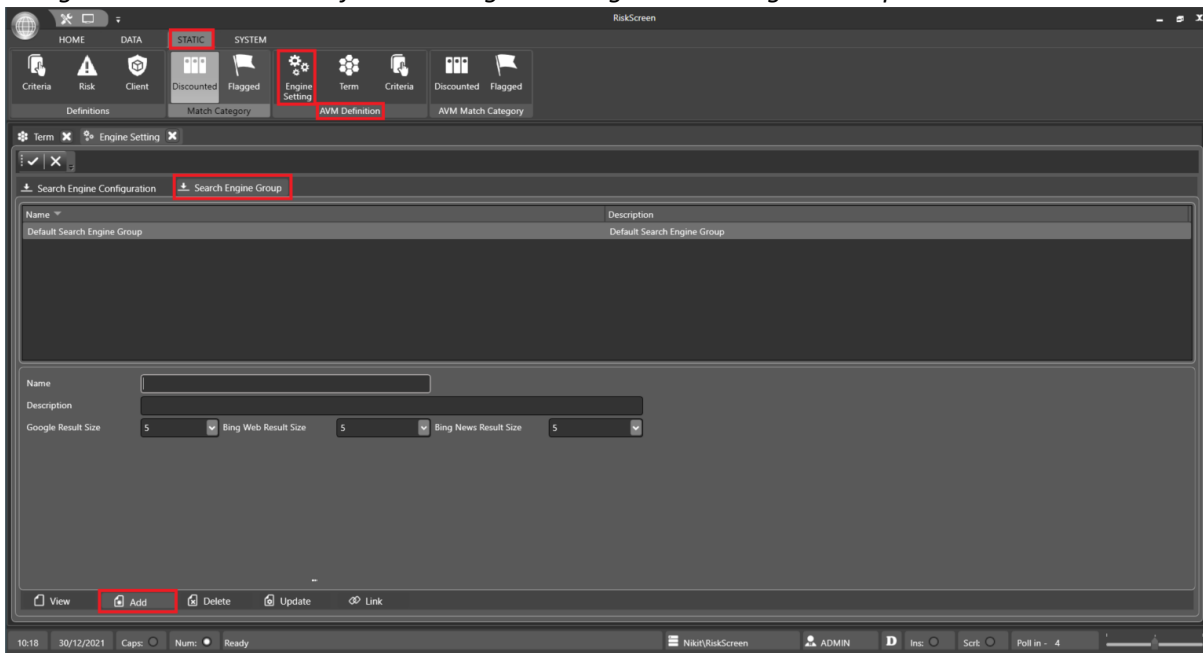
Navigation: Static > AVM Definition > Engine setting > Search Engine Group > View



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.

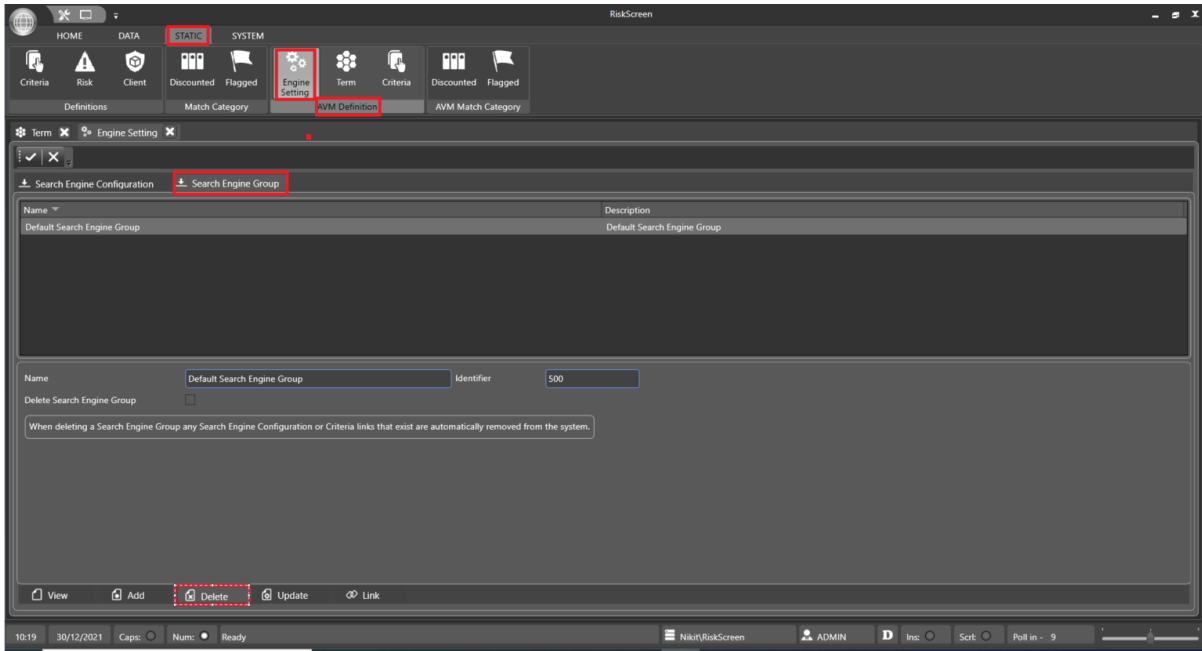
Navigation: Static > AVM Definition > Engine setting > Search Engine Group > Add



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.

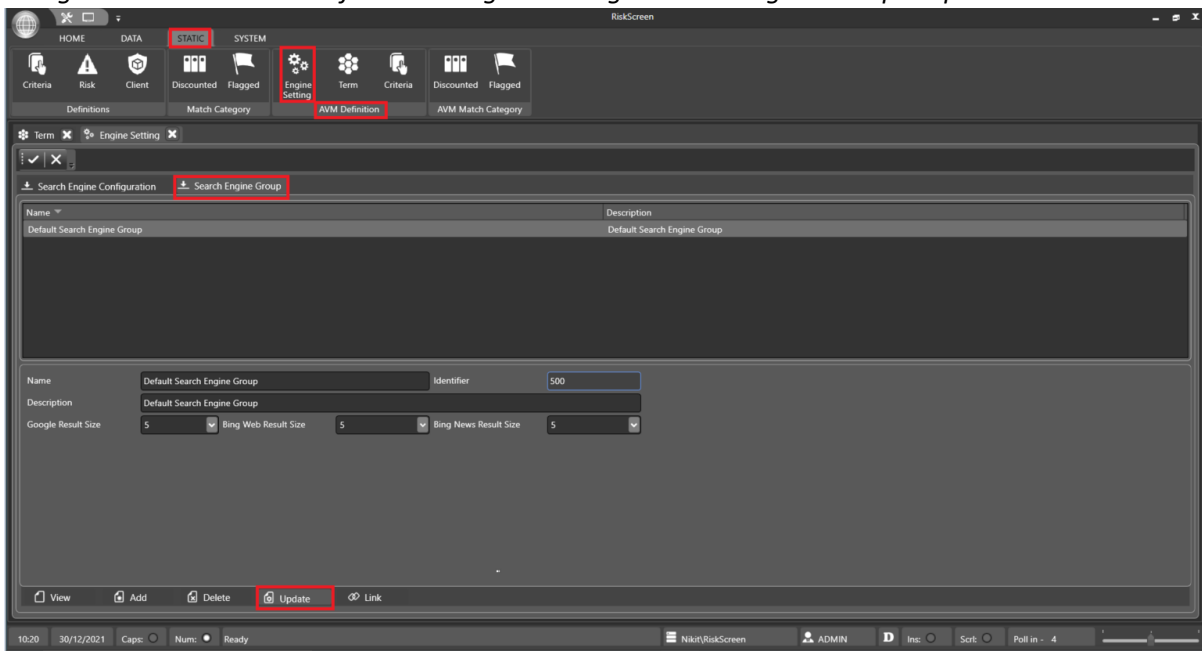
Navigation: *Static > AVM Definition > Engine setting > Search Engine Group > Delete*



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.

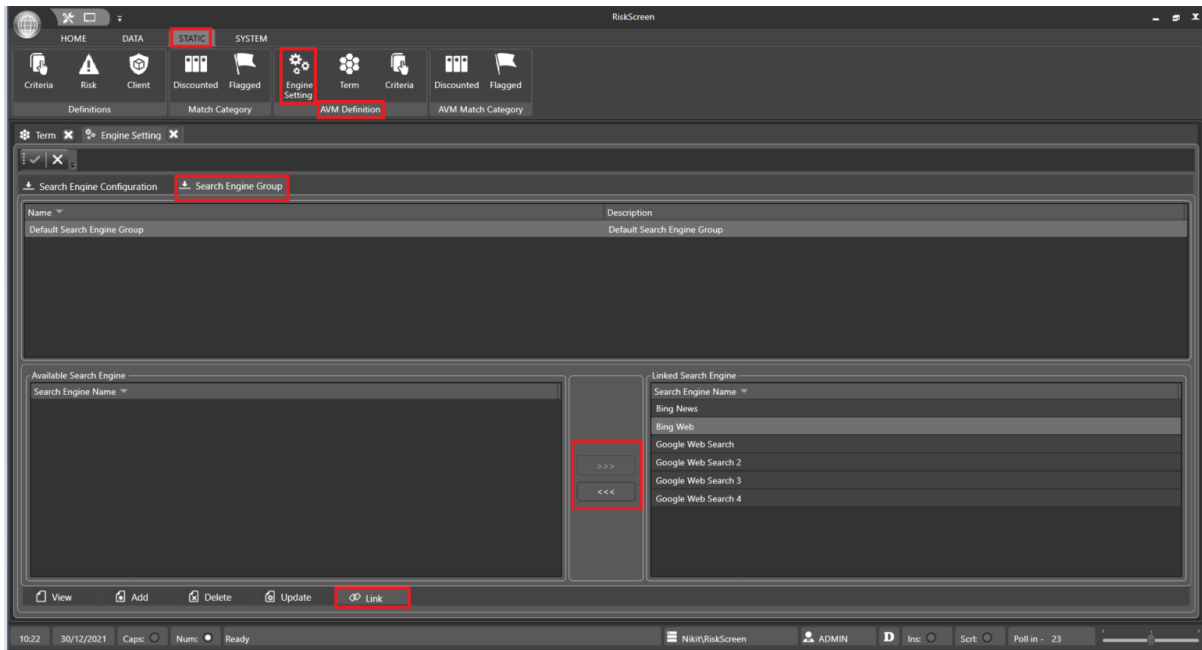
Navigation: *Static > AVM Definition > Engine setting > Search Engine Group > Update*



Link

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

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

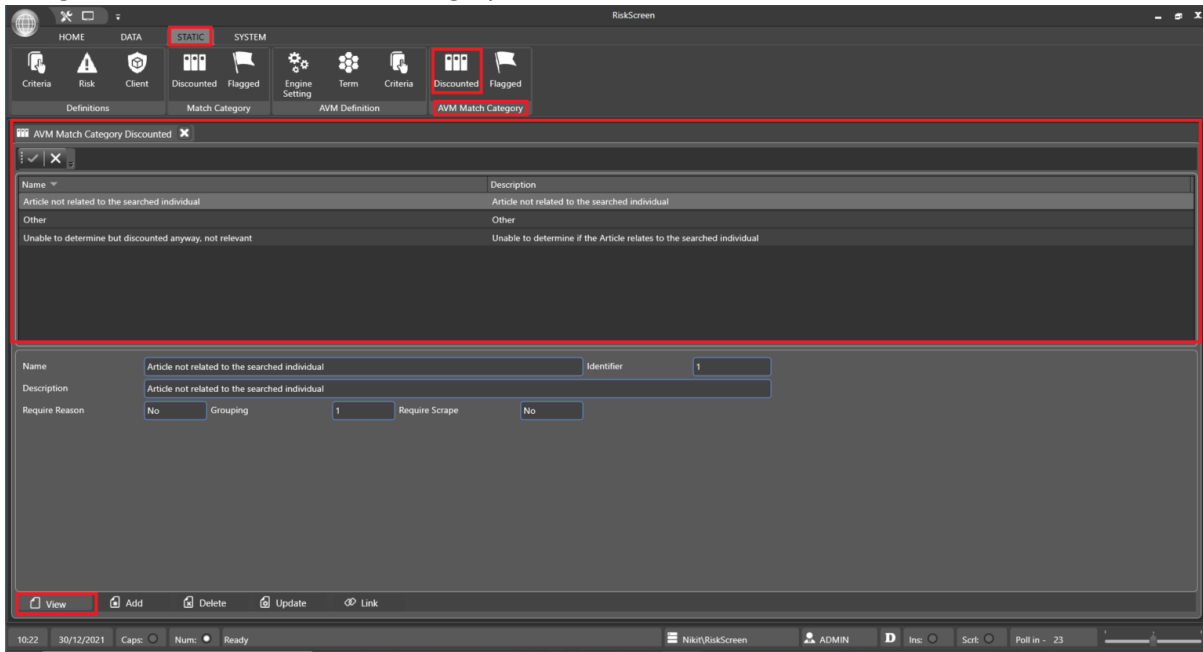
Property	Information
Name	Name of the AVM match discount category.
Description	Description of the AVM match discount category.
Identifier	System allocated identifier which cannot be changed.
Require Reason	Options <ul style="list-style-type: none"> • No <ul style="list-style-type: none"> ○ User will not be required to supply a reason when discounting AVM match. • Yes <ul style="list-style-type: none"> ○ User will be required to supply a reason when discounting AVM match.
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.

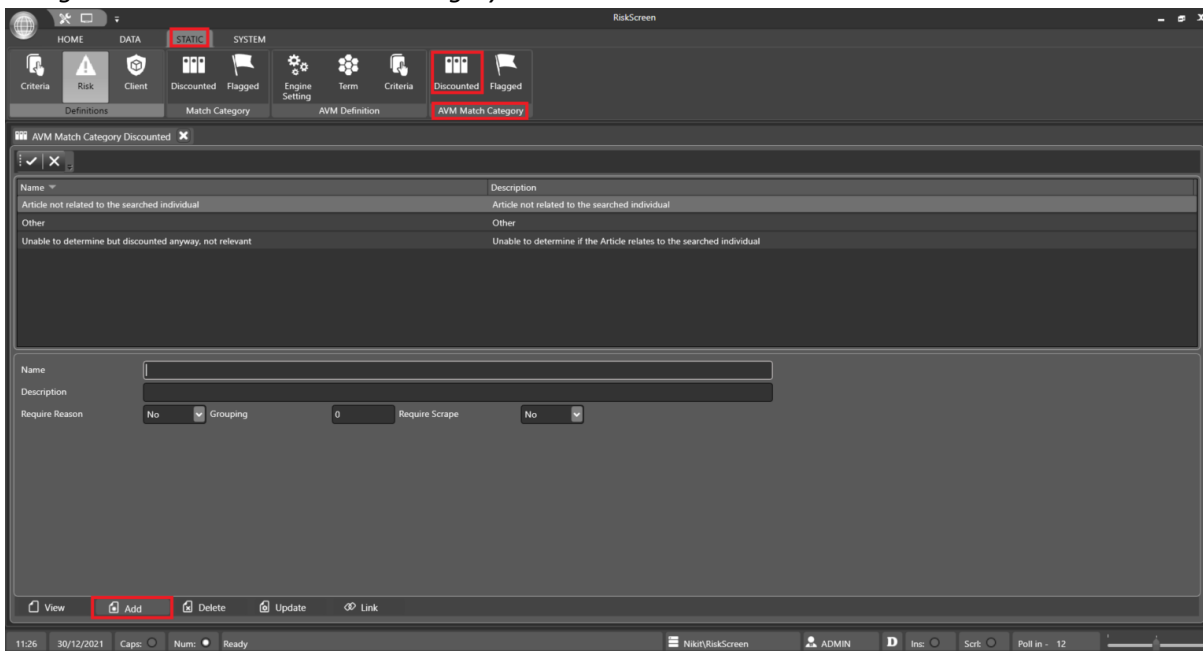
Navigation: Static > AVM Match Category > Discounted > View



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.

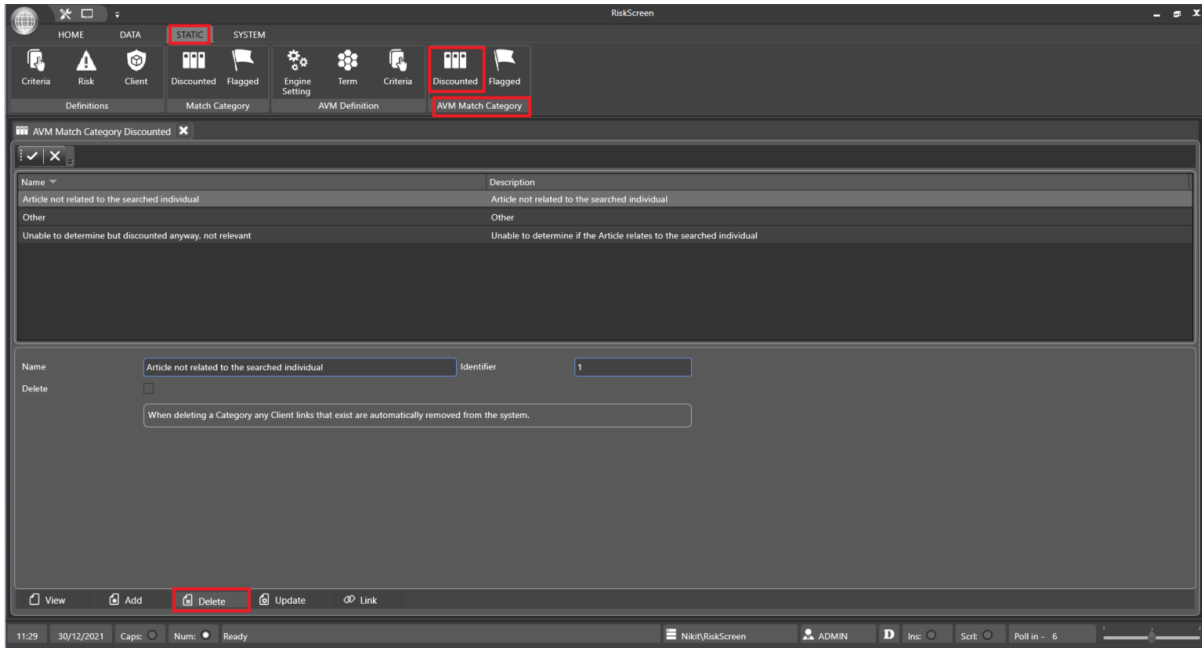
Navigation: Static > AVM Match Category > Discounted > Add



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.

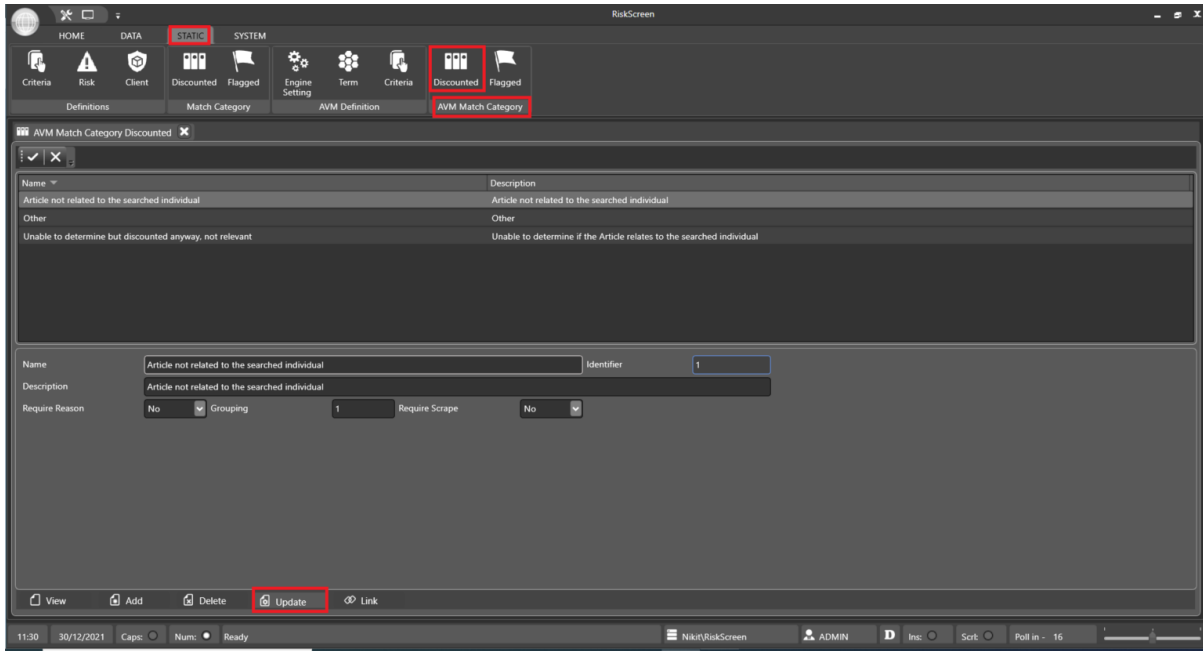
Navigation: Static > AVM Match Category > Discounted >Delete



Update

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

Navigation: Static > AVM Match Category > Discounted > Update



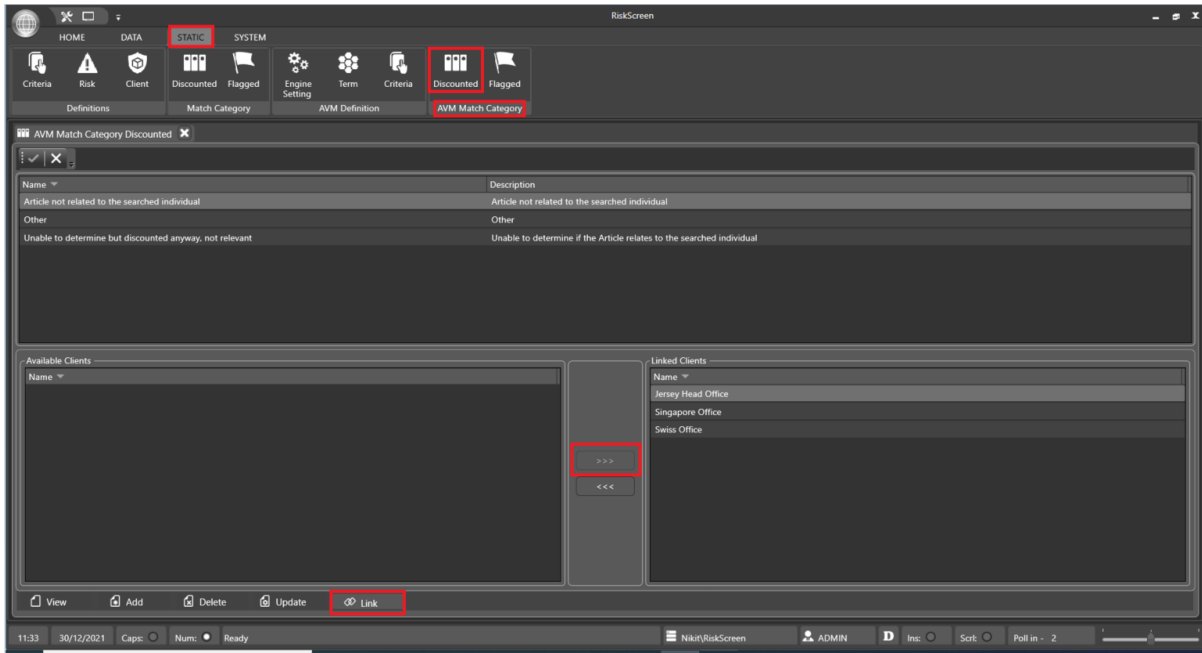
Link

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)

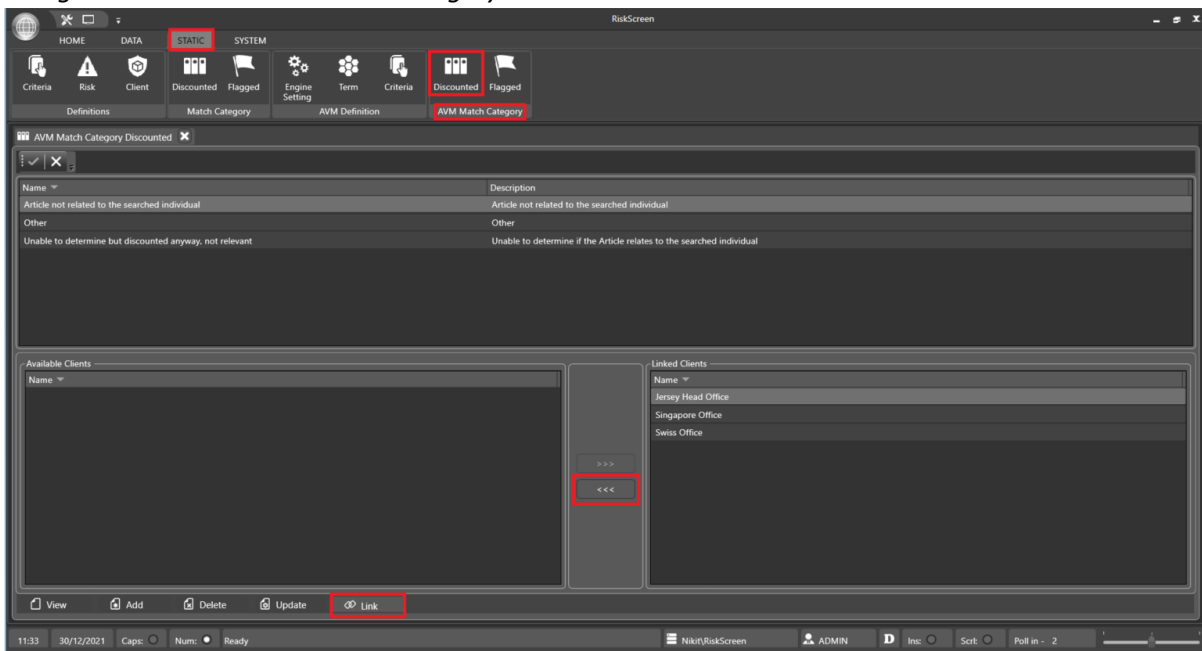
Navigation: Static > AVM Match Category > Discounted > Link



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



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.

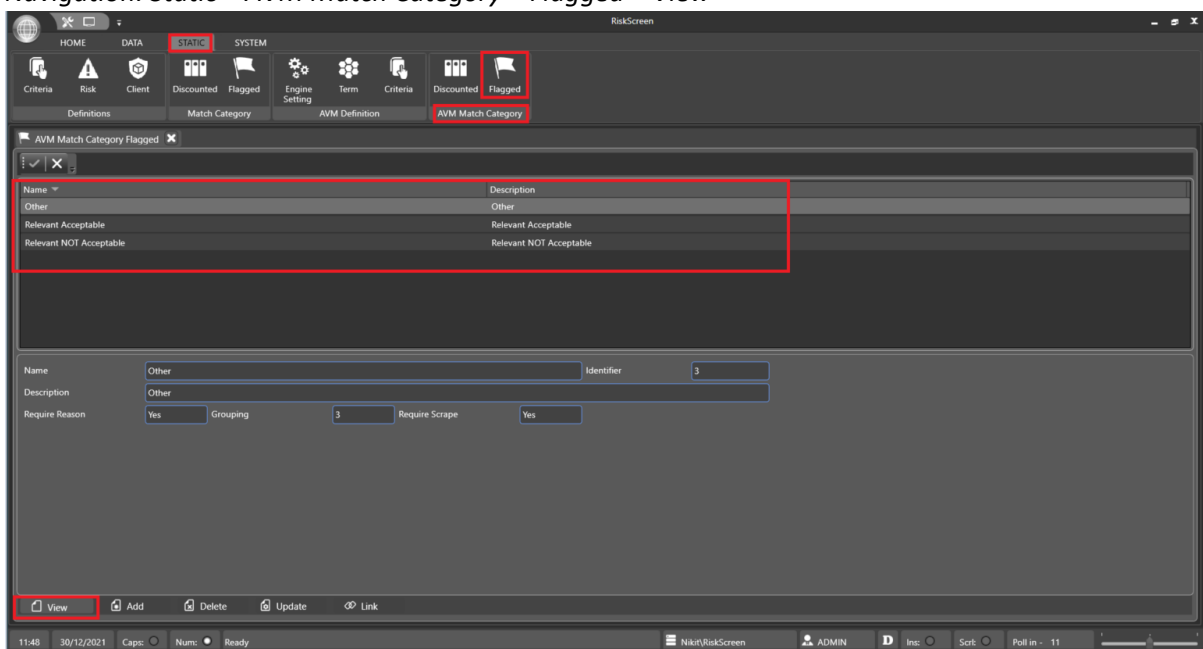
Properties

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 <ul style="list-style-type: none"> • No <ul style="list-style-type: none"> ○ User will not be required to supply a reason when flagging a match. • Yes <ul style="list-style-type: none"> ○ User will be required to supply a reason when 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.

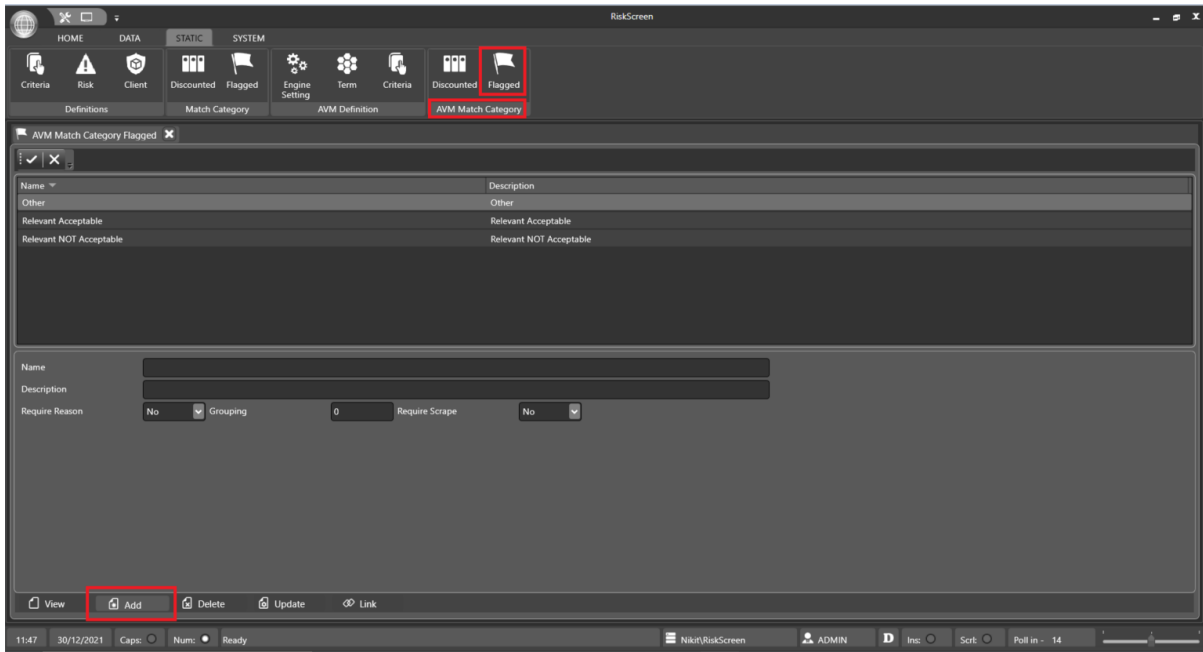
Navigation: Static > AVM Match Category > Flagged > View



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.

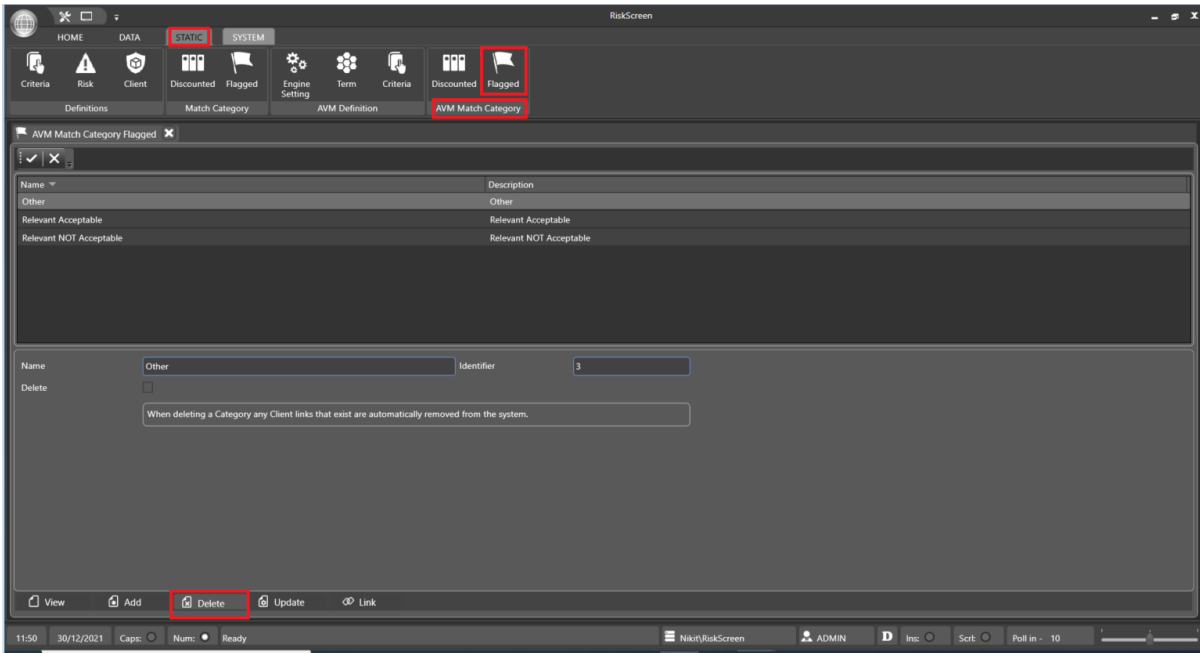
Navigation: Static > AVM Match Category > Flagged > Add



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.

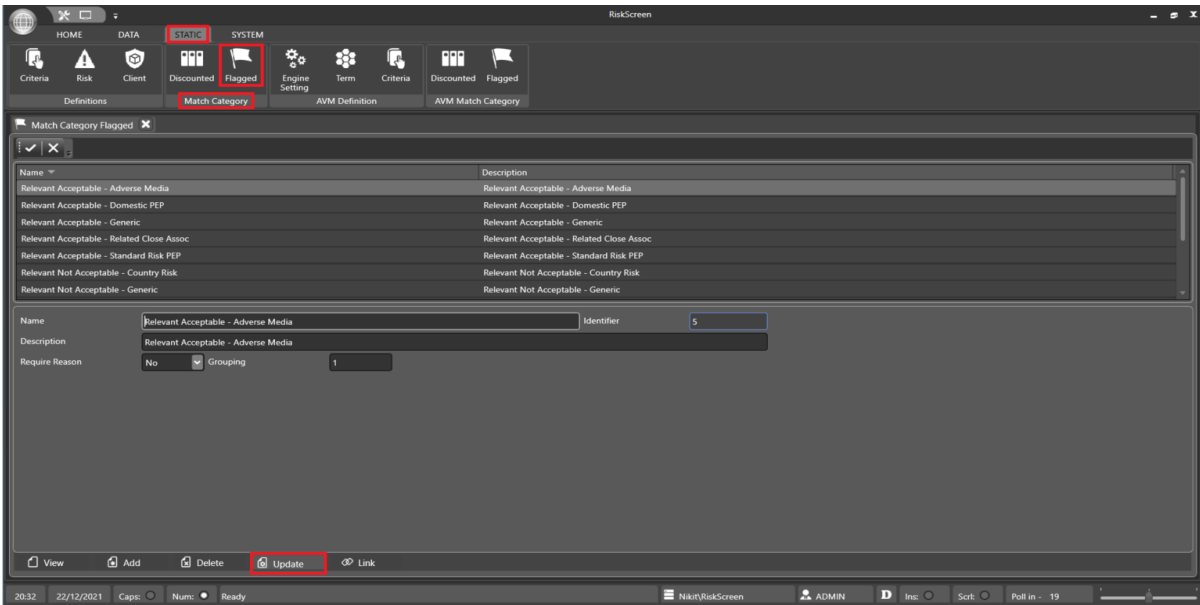
Navigation: Static > AVM Match Category > Flagged > Delete



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



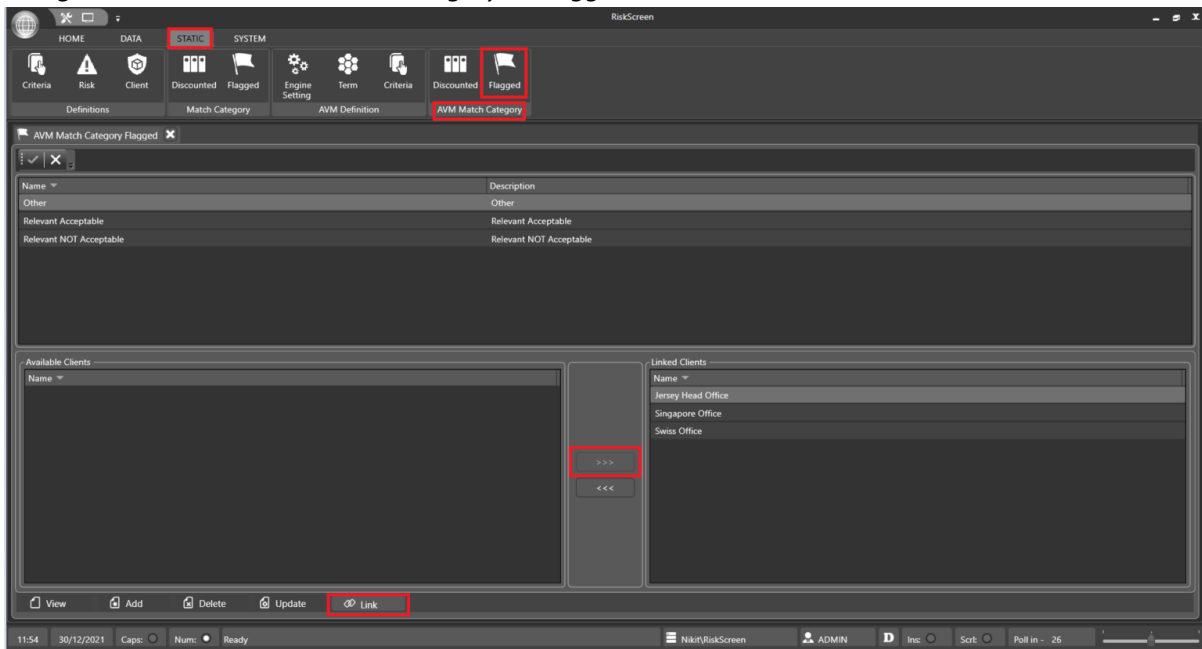
Link

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)

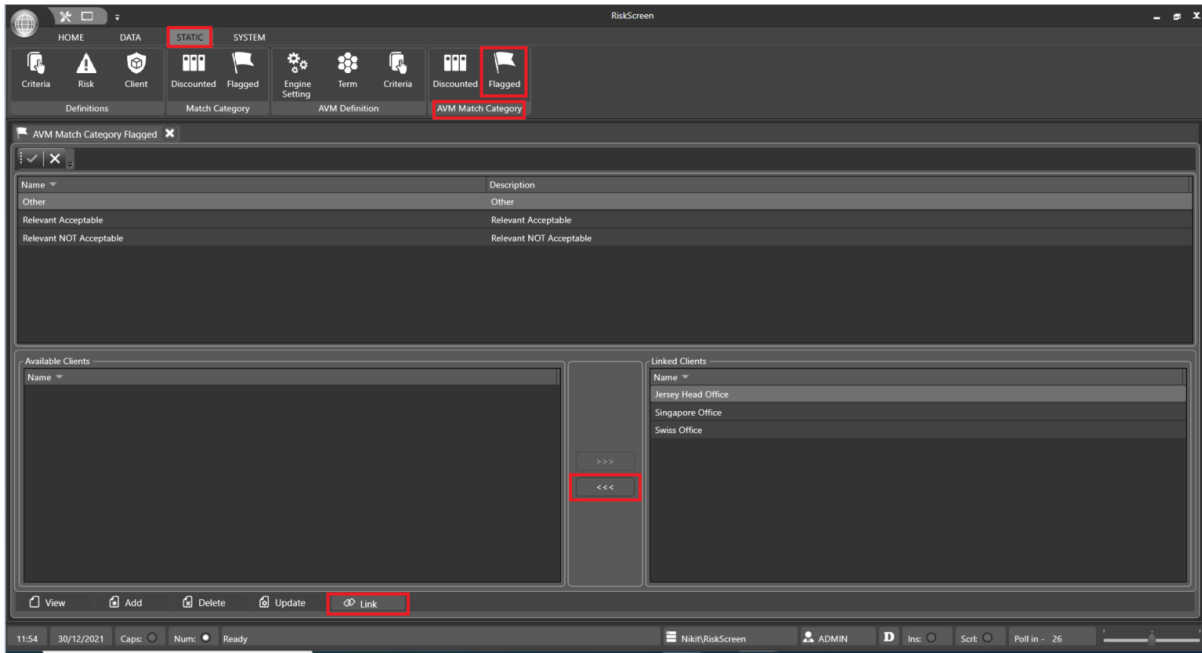
Navigation: Static > AVM Match Category > Flagged > Link



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



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 [options](#) 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 Client Entity Import 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 to Exclude	Number of header rows in the file need to be excluded from the 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 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.

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 [batch run options](#) 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 [Logs screen](#) 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 Default (RiskScreen)	The name of the application using the connection. Up to 128 characters.
Connection Timeout Default (10)	The length of time (in seconds) to wait for a connection to the server before terminating the attempt and generating an error. Value between 0 and 2147483647
Database Name Default (RiskScreen)	The name of the database Up to 128 characters
Encrypt Default (false)	When true, SQL Server uses SSL encryption for all data sent between the client and server if the server has a certificate installed. Value of true or false.
Enlist Default (false)	When true the SQL Server connection pooler automatically enlists the connection in the creation thread's current transaction context.
Failover Partner Default ()	The name of the failover partner server where database mirroring is configured.
Integrated Security Default (true)	When false, Server User and Server Password must be specified to 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 Default (0)	The Load Balance Timeout is the minimum time for the connection to live in the pool
Min Pool Size Default (0)	The minimum number of connections that are allowed in the pool.
Max Pool Size Default (100)	The maximum number of connections that are allowed in the pool.
Network Library Default (dbmslpcn)	The network library used to establish a connection to an instance of SQL Server. Supported values include: dbnmpntw (Named Pipes) dbmsrpcn (Multiprotocol, Windows RPC) dbmsadsn (Apple Talk) dbmsgnet (VIA) dbmslpcn (Shared Memory) dbmsspxn (IPX/SPX) dbmssocn (TCP/IP) dbmsvinn (Banyan Vines)
Packet Size Default (8000)	Size in bytes of the network packets used to communicate with an instance of SQL Server. Value between 512 and 32768.
Persist Security Info Default (false)	When set to false (strongly recommended), security-sensitive information, such as the password, is not returned as part of the connection if the connection is open or has ever been in an open state. Value of true or false.
Pooling Default (true)	When the value of this key is set to true, any newly created 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>
Server Password Default ()	<p>Password used for SQL Authentication to connect to the database server.</p> <p>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</p>
Server User Default ()	<p>User used to connect to the database server.</p> <p>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</p>

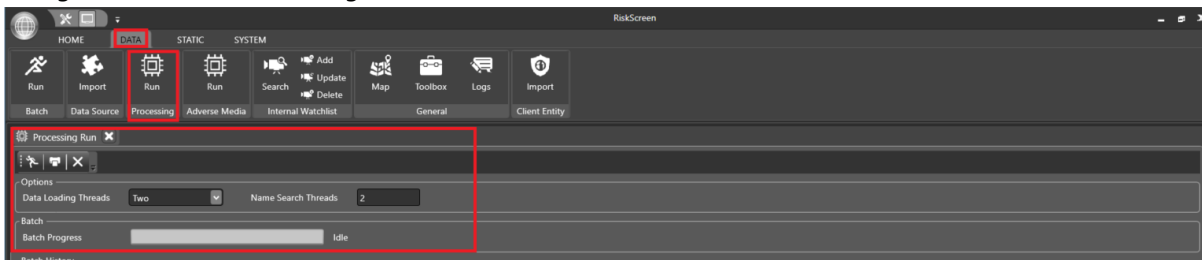
Setting Information

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](#).

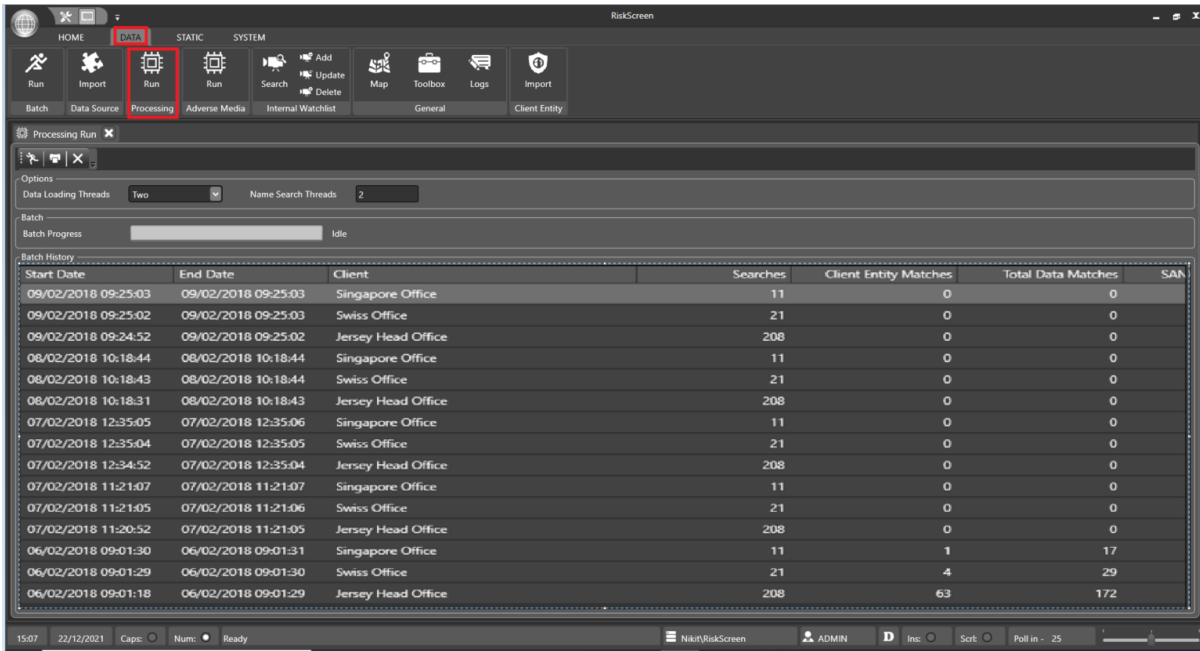
Navigation: *Data > Processing > Run*



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



Column Information

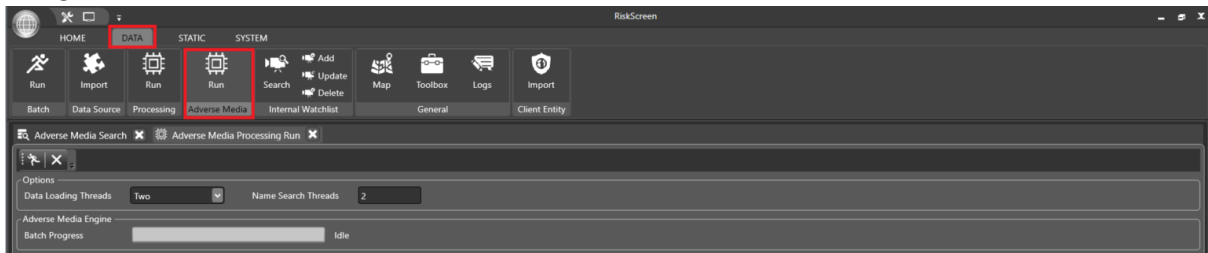
Start Date	Date and time the screening process started.
End Date	Date and time the screening process ended.
Client	The Client who's Client Entities were screened.
Searches	Number of Client Entities screened.
Client Entity Matches	Number of match potentials identified.
Total Data Matches	
SAN Volume	Number 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 [Batch Engine Log](#) 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 [processing history](#).

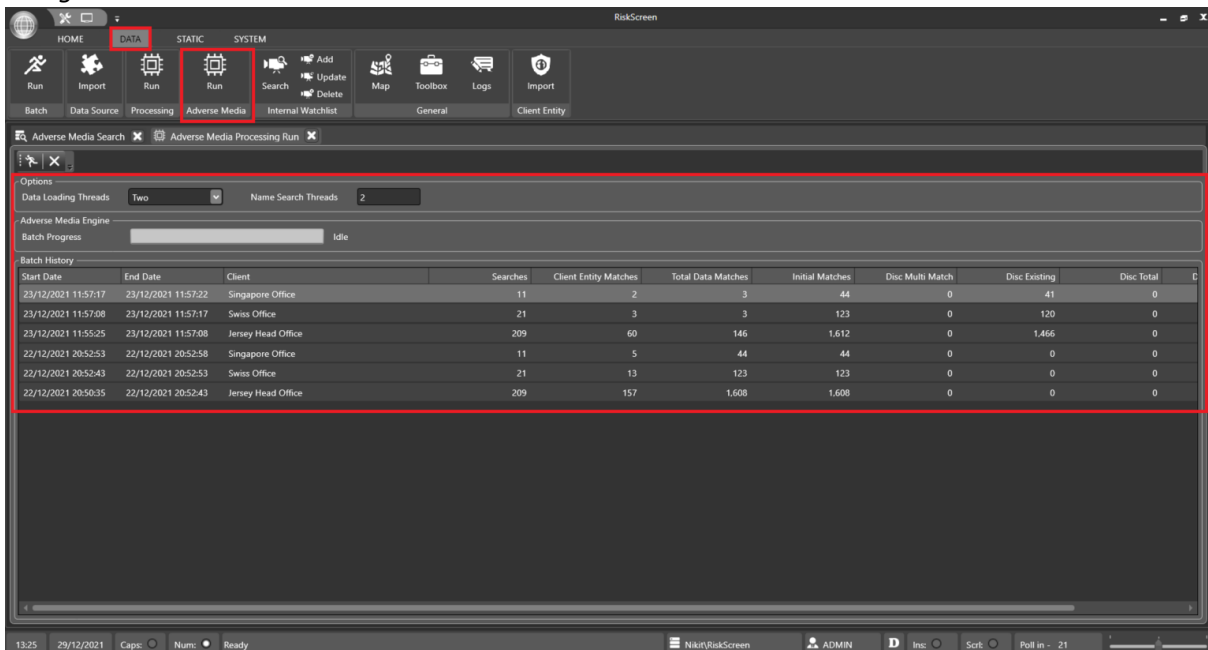
Navigation: Data > Adverse Media > Run



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 > Adverse Media > Run



Properties

Column	Information
Start Date	Date and time the screening process started.
End Date	Date and time the screening process ended.
Client	The Client who's Client Entities were screened.
Searches	Number of Client Entities screened.
Client Entity Matches	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

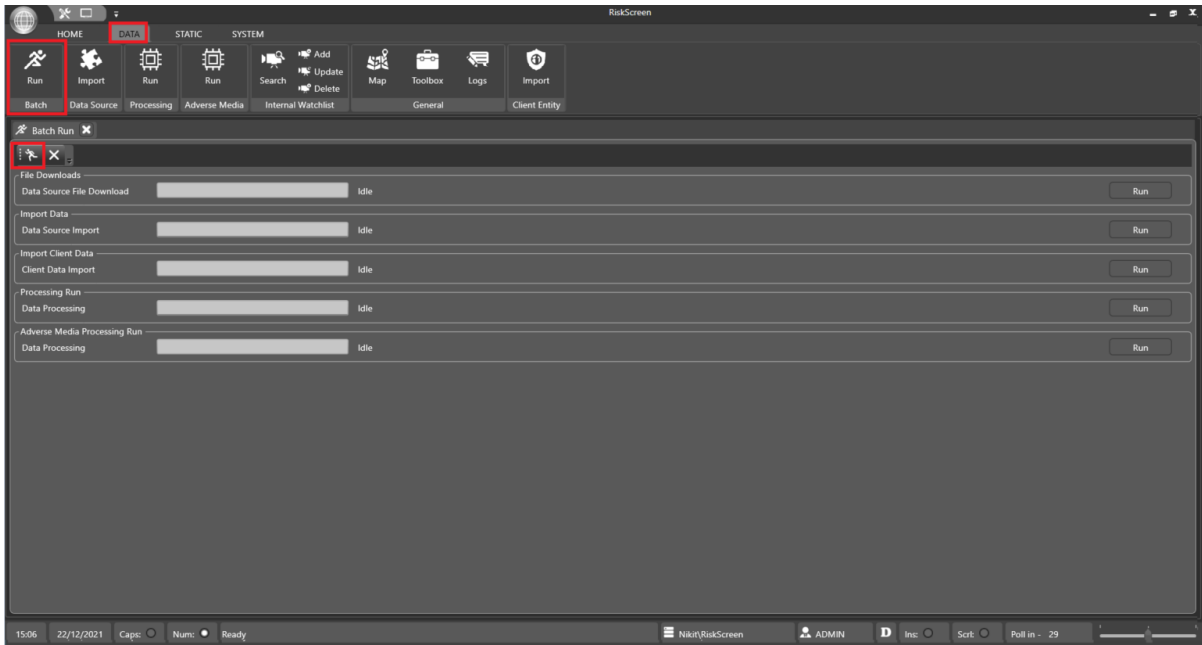
The following sections will describe how this data is imported, updated or generated.

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 [Options](#) 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 [Download Log](#) 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 www.google.com, if the connection fails the update will fail.

This functionality can be configured using the following registry settings:

1. Computer\HKEY_CURRENT_USER\Software\RiskScreen\Application\InternetCheck
 - a. Sets whether to do the check or not.
2. Computer\HKEY_CURRENT_USER\Software\RiskScreen\Application\InternetCheckURL
 - a. Specifies the URL used for the internet check.

Dow Jones/Worldcheck Import

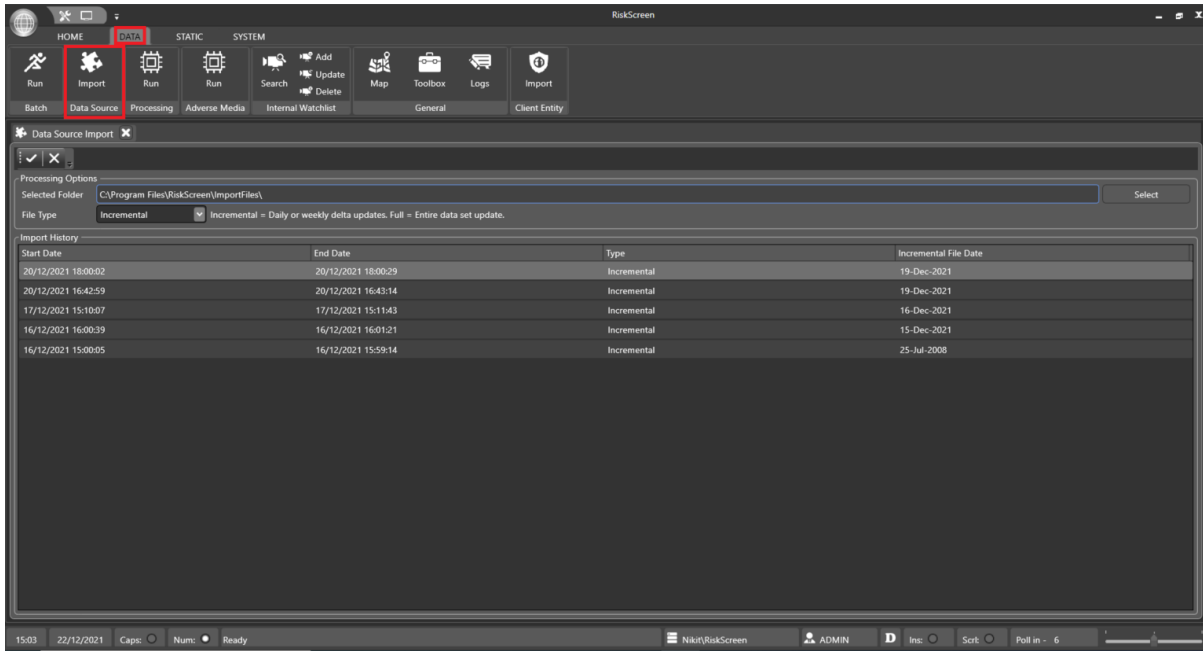
This process allows you to process the Dow Jones/Worldcheck Daily file currently in the import folder. The settings used for the import are listed above in the [File Downloads](#) section.

All Dow Jones/Worldcheck Imports are logged, refer to the [Log](#) 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.

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.
 - 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 [Client Entity Import](#) screen or by the [scheduled Batch run](#).

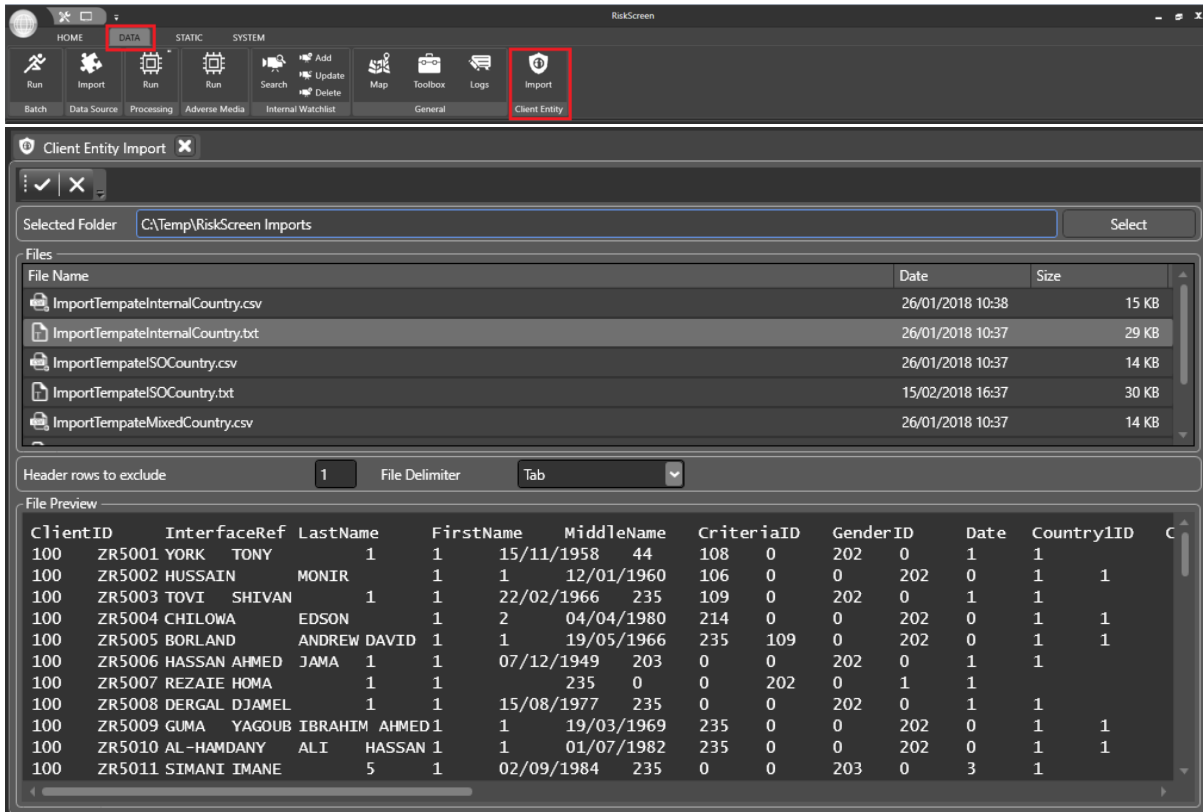
Import

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 [supported file type](#) 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.

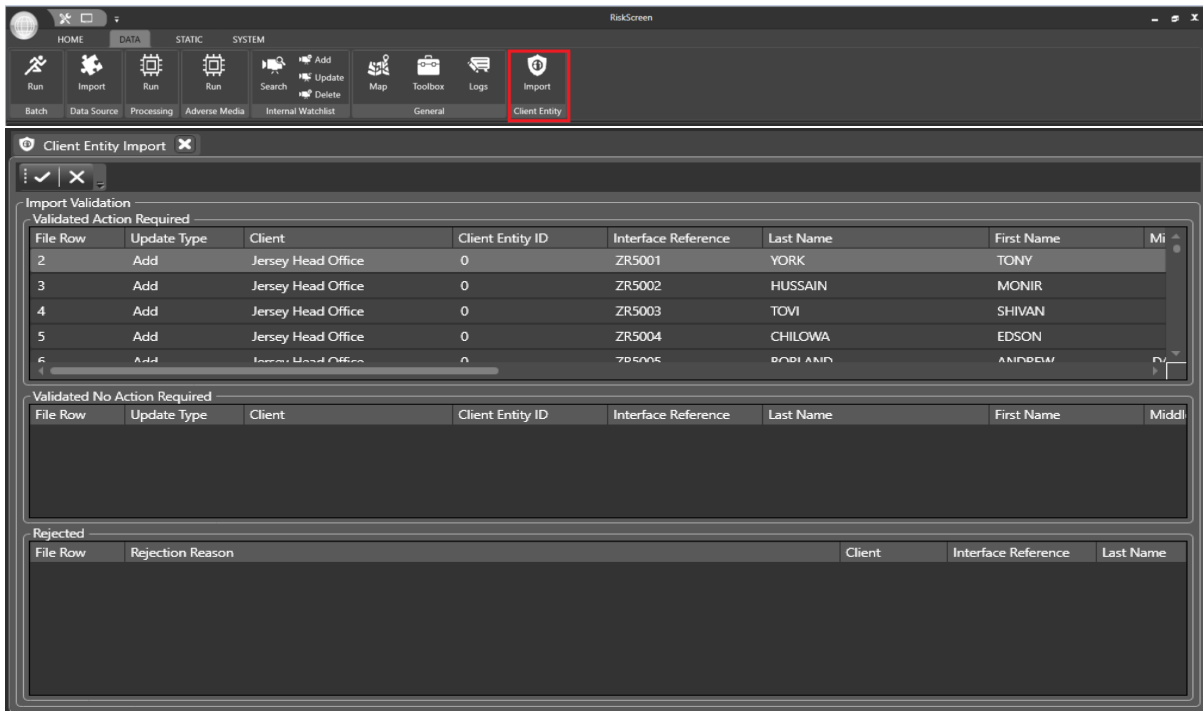
Navigation: Data > Client Entity > Import



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.



All client entity imports are logged, refer to the [Client Entity Import Log](#) for more information regarding the logging of the import.

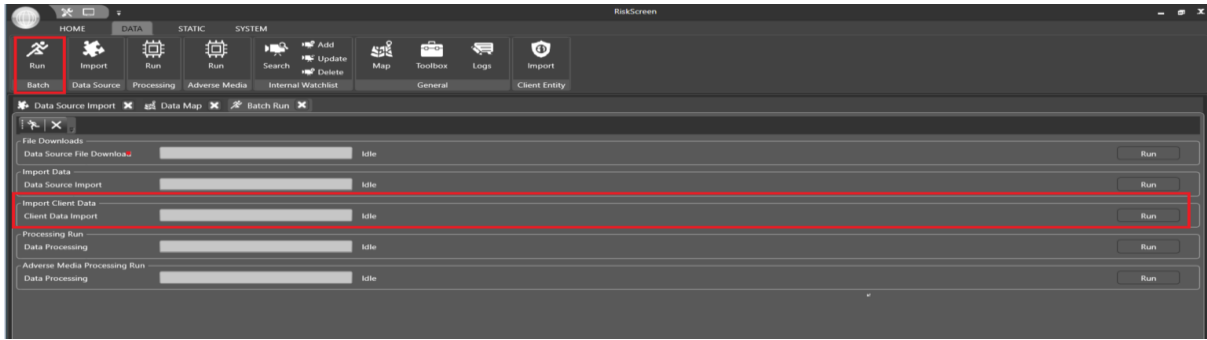
Automated Import

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 [Options](#) 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 to Exclude	Number of header rows in the client import file, these will be ignored.
Client Import Delimiter	Delimiter used in the client import file. Supported delimiters: <ul style="list-style-type: none"> • Comma • Colon • Semi-colon • Tab • Pipe/Vertical Bar

Navigation: Data > Batch > Run



All client entity imports are logged, refer to the [Client Entity Import Log](#) 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 Integer (Int16)	RiskScreen Client Identifier
InterfaceRef String (50)	Internal ID your organisation uses to uniquely identify clients.
LastName Required String (255)	For Non-person entities enter the entire name in the Last Name field.
FirstName String (255)	For Non-person entities please leave this field empty
MiddleName String (255)	For Non-person entities please leave this field empty
CriteriaID Integer (Int16)	RiskScreen Criteria Identifier
GenderID Integer (Int8)	1 – Male 2 – Female 8 – Not Applicable 9 – Unknown
Date	Supported date formats: <ul style="list-style-type: none"> DD/MM/YYYY
Country1ID Integer (Int16)	Use Unknown (0) if no value can be provided.
Country2ID Integer (Int16)	Use Unknown (0) if no value can be provided.
Country3ID Integer (Int16)	Use Unknown (0) if no value can be provided.
HandledByGroup Integer (Int16)	RiskScreen User Group Identifier
HandledByUser Integer (Int16)	RiskScreen User Identifier of a member of the handled by user group for specific assignments or enter zero for unassigned.

Field Information

RiskID Integer (Int16)	RiskScreen Risk Identifier.
StatusID Integer (Int8)	0 – Disabled 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

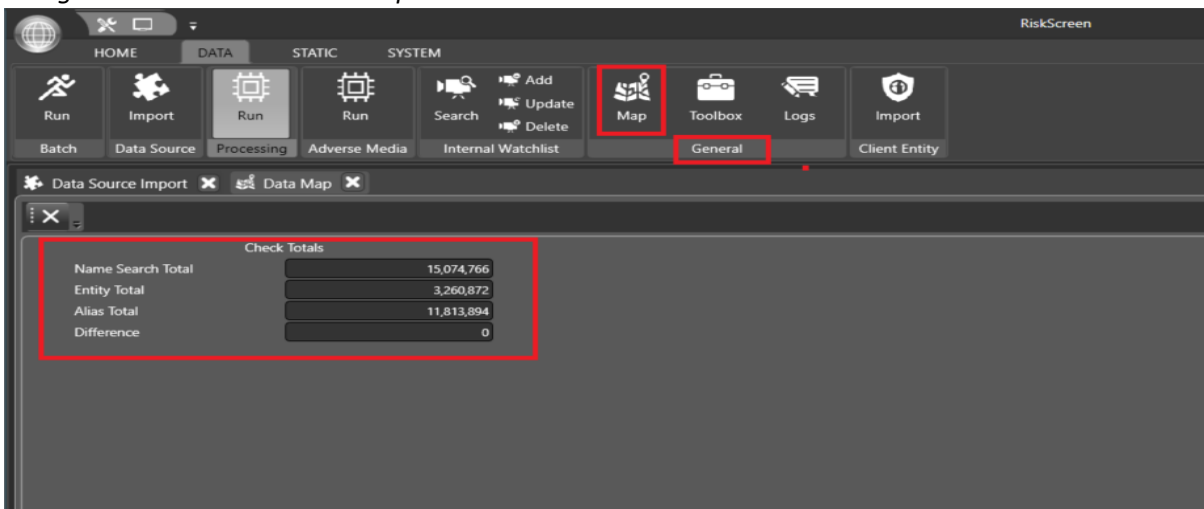
Unicode

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

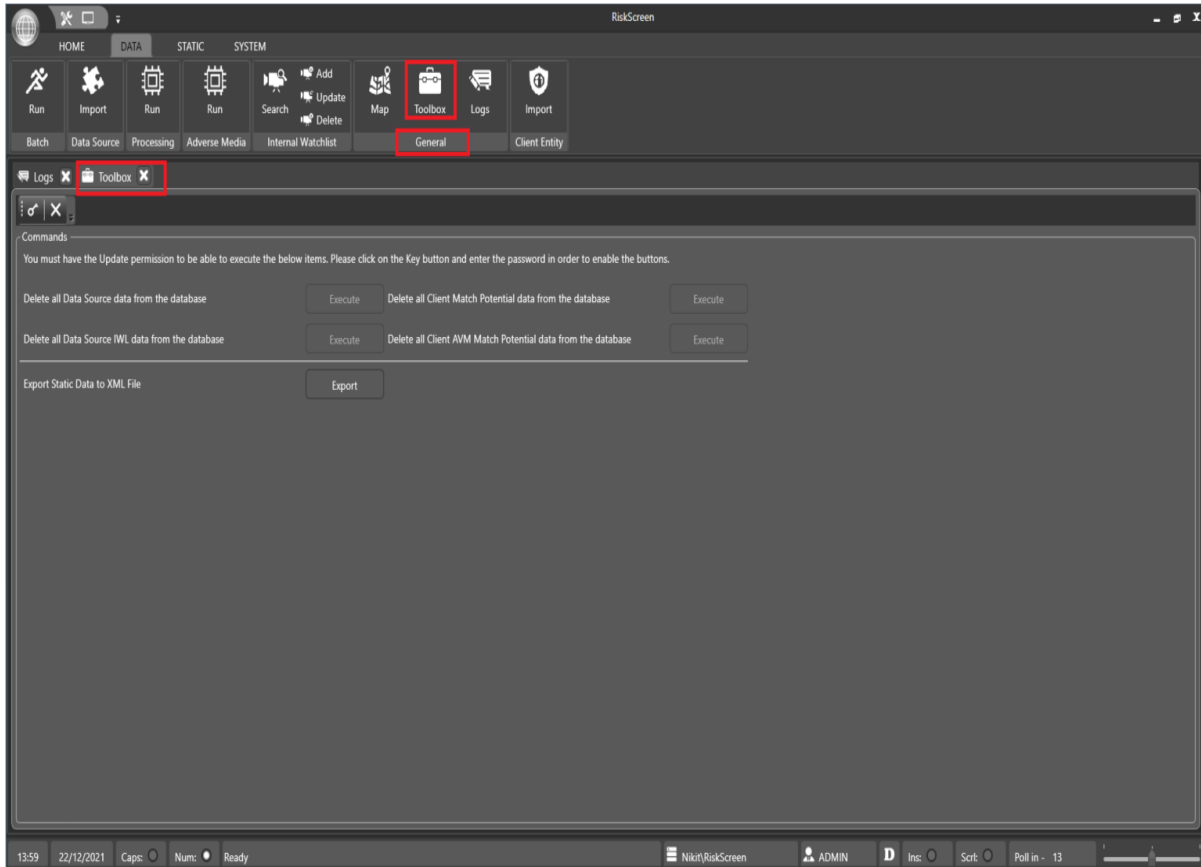
The map screen shows the number of Dow/Worldcheck Entities in RiskScreen. If “Difference” is not 0 the Dow/Worldcheck data is out of sync (during an import it will not be 0).

Navigation: Data > General > Map



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.



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 [Match Potentials](#) 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

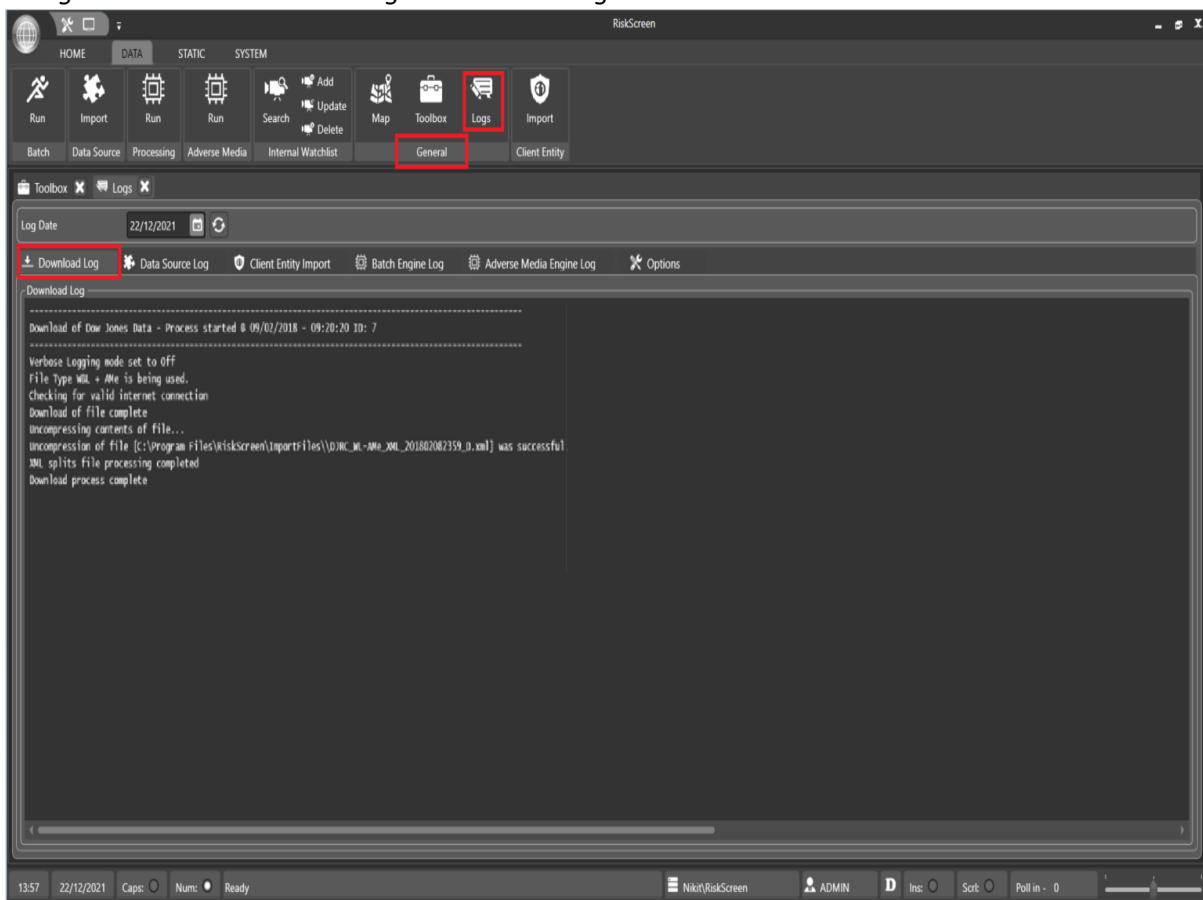
RiskScreen logs all data download, import and processing runs. The logs screen allows you to view all the logs produced by RiskScreen. Each log is displayed in its own tab.

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.

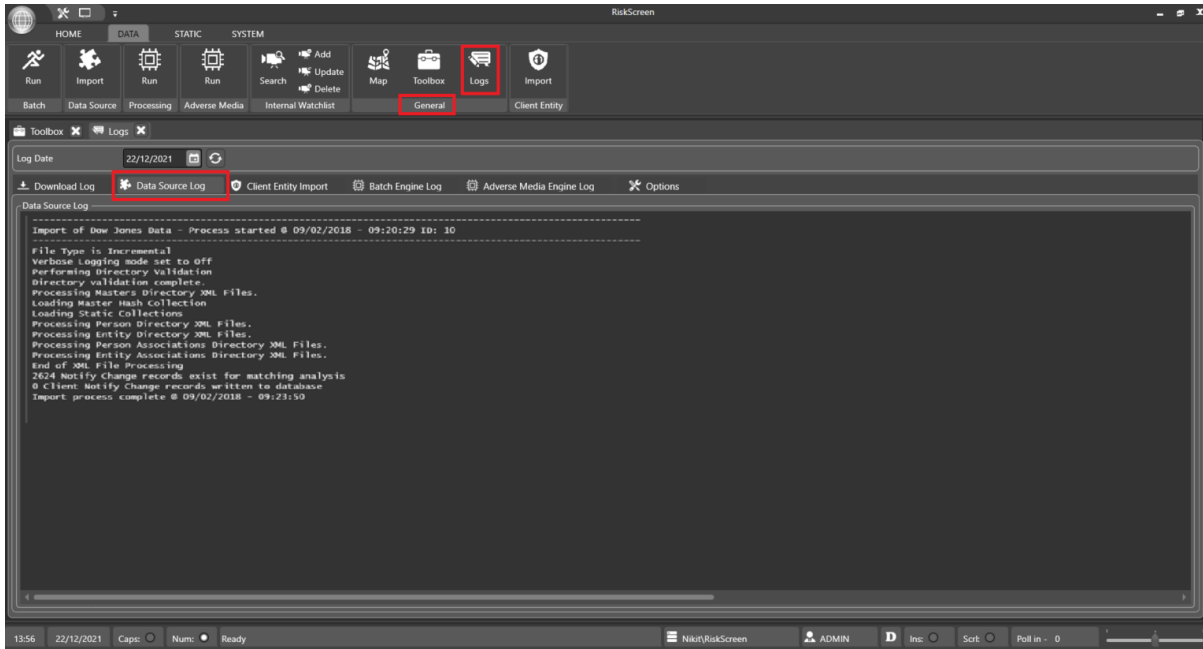
Navigation: Data > General > Logs > Download Log



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).

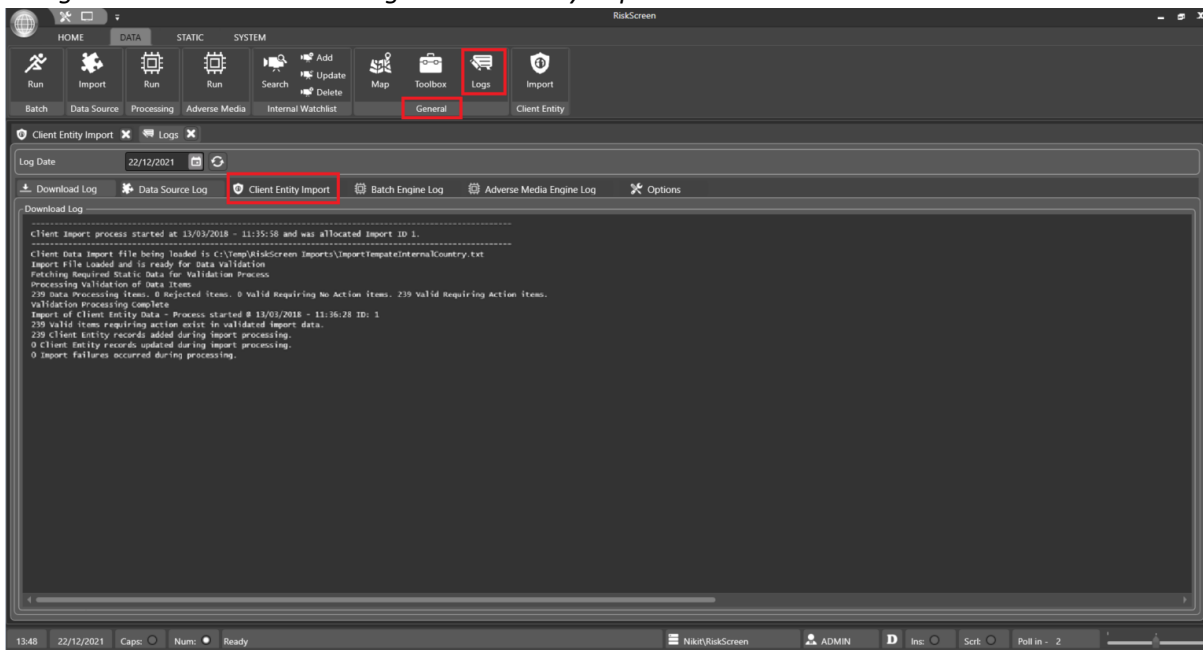
Navigation: Data > General > Logs > Data Source Logs > Dow Jones/Worldcheck Log



Client Entity Import

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

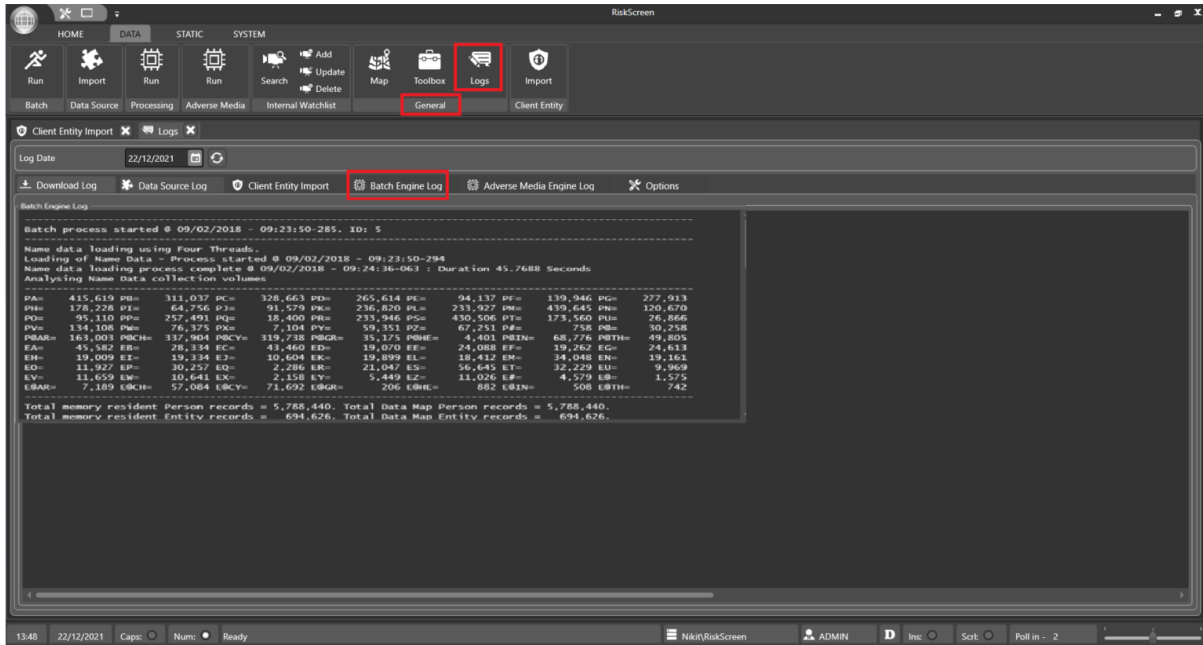
Navigation: Data > General > Logs > Client Entity Import



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*

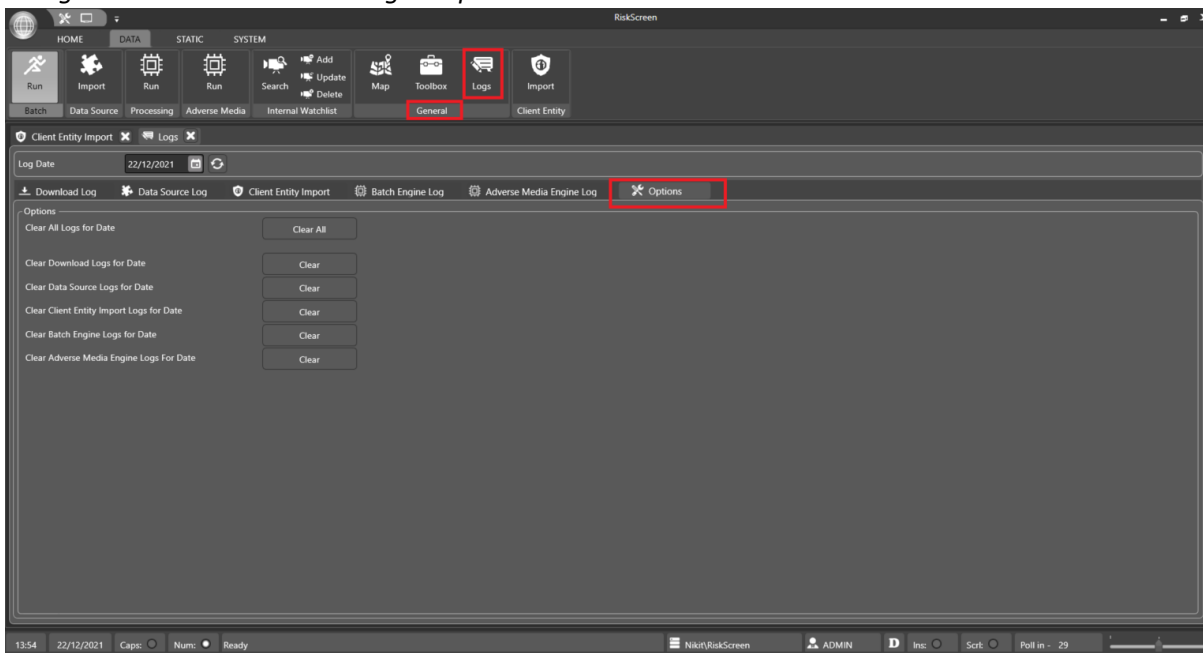


Log Options

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*



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 [User Group](#) has been granted access to. Refer to the [Permissions](#) section for more information regarding user permissions.

Properties

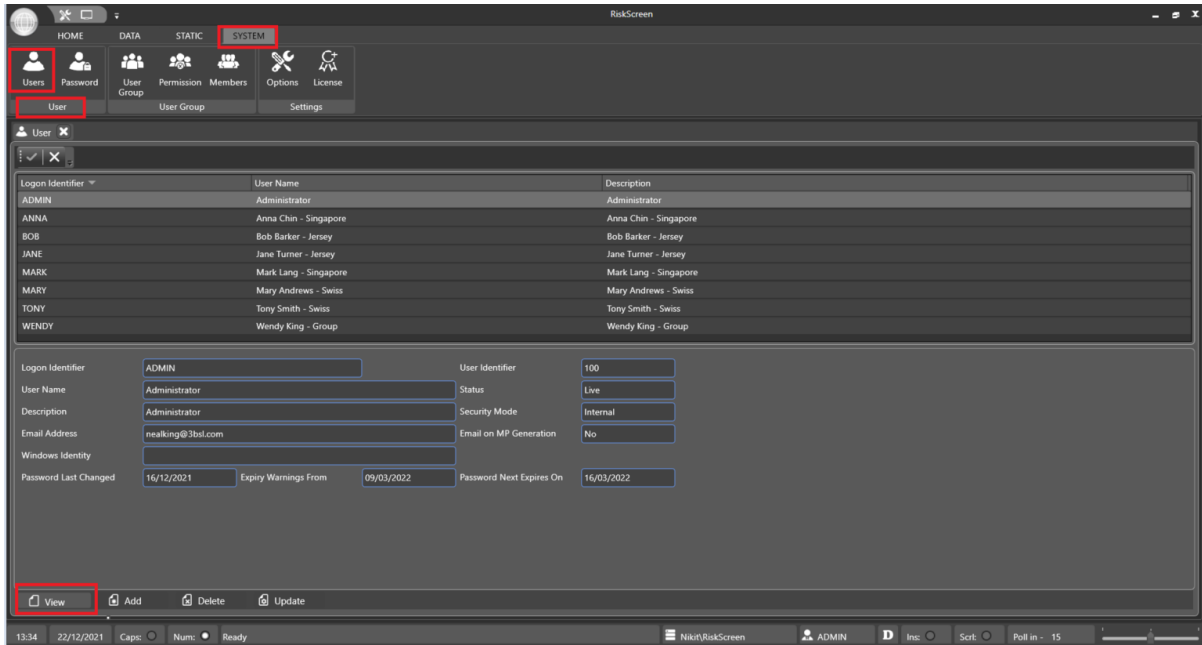
Property	Information
Logon Identifier	This is the users User Name when logging into RiskScreen.
User Identifier	System allocated number that cannot be changed.
User Name	Name that will be displayed throughout RiskScreen.
Status	Options <ul style="list-style-type: none"> • Live • Suspended - cannot log into RiskScreen
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 Options 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 Options section for more information on how often passwords need to be reset.
Password	Refer to “Security Settings” under the Options 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.

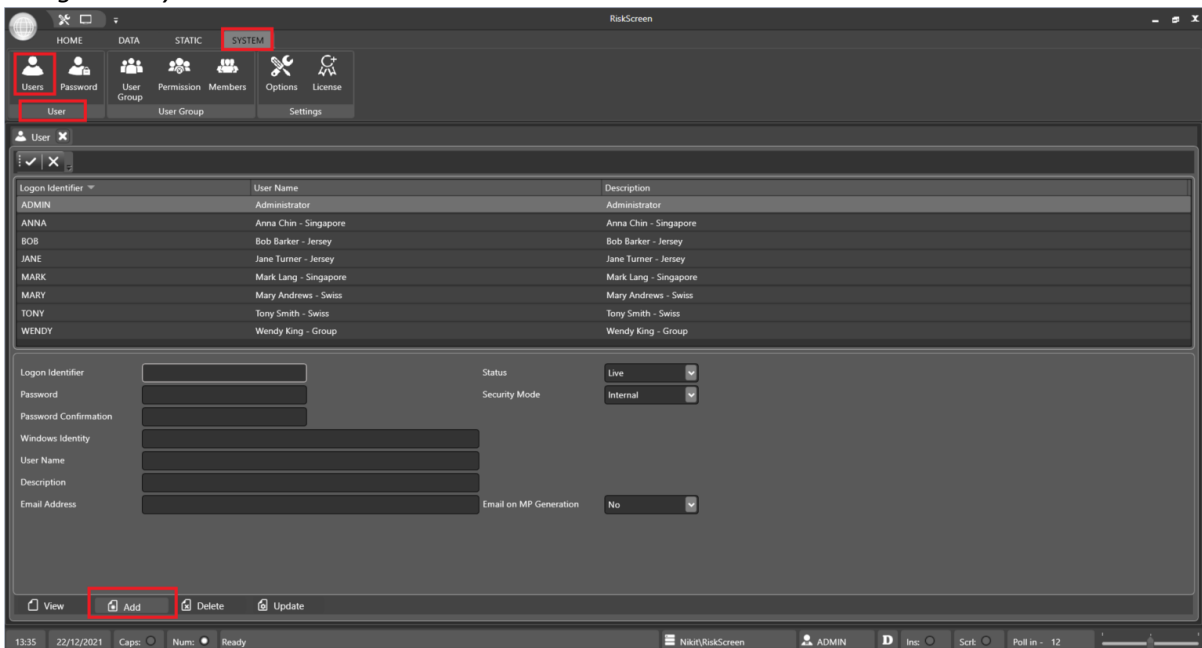
Navigation: System > User > Users > View



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

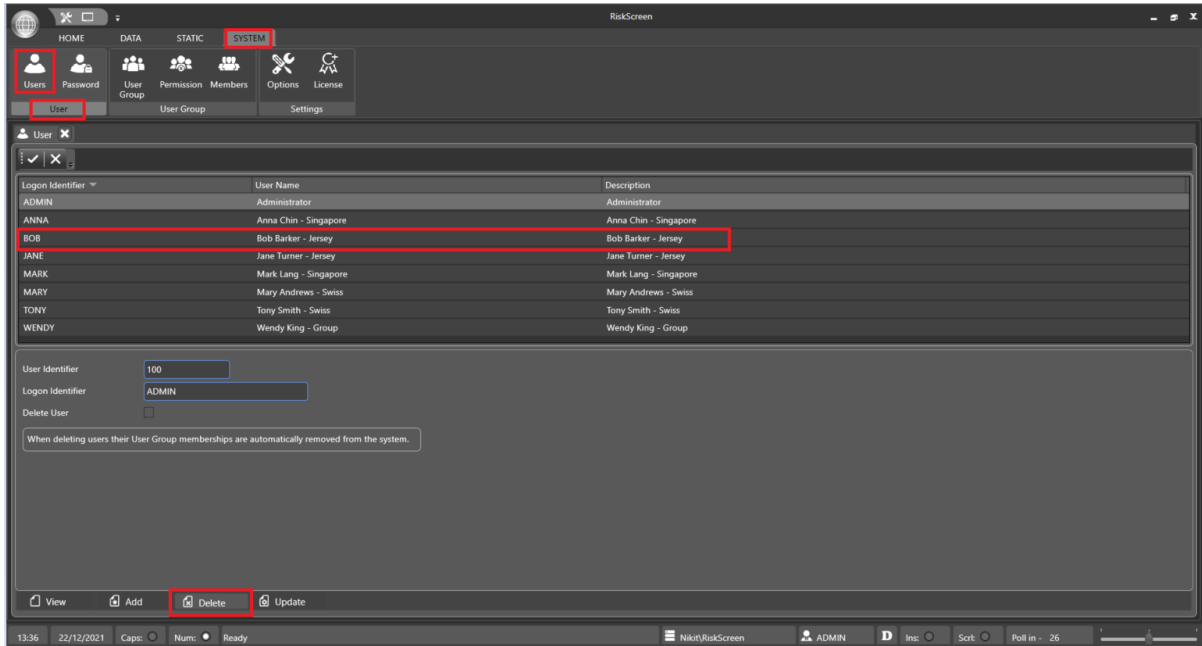


A user gets their permissions from User Groups they are a member of and you will have to add the user to the appropriate User Groups before they will be able to access any screens in RiskScreen. Refer to the [User Group](#) section for more information on User Groups and how to add users to them.

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.

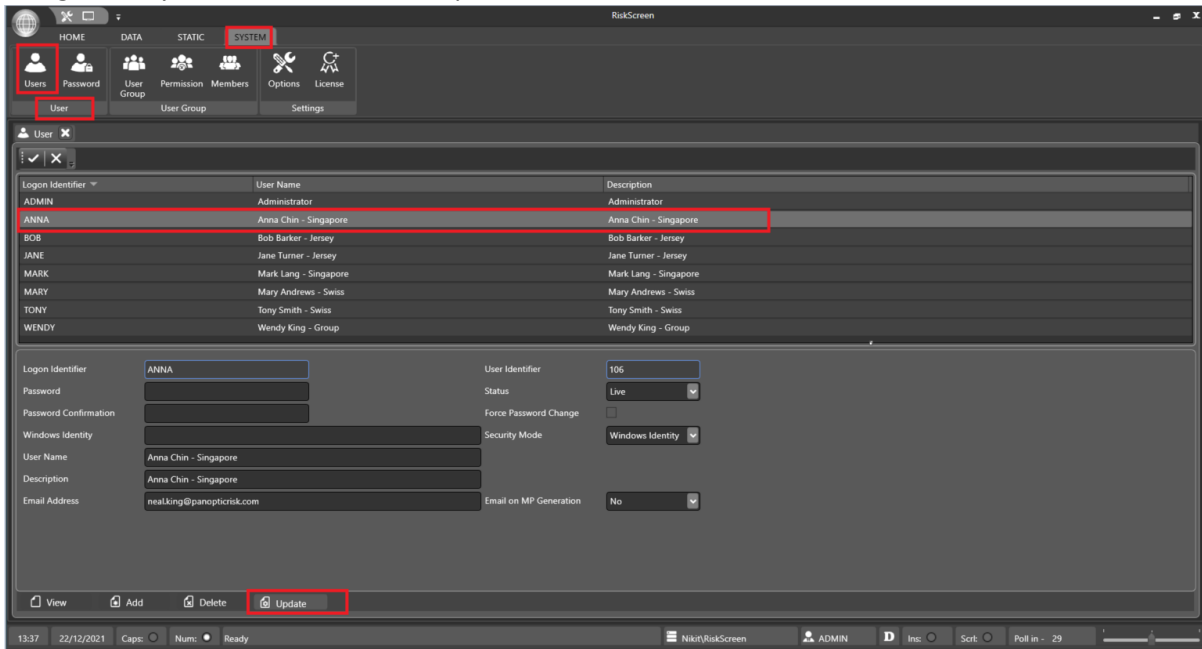
Navigation: System > User > Users > Delete



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

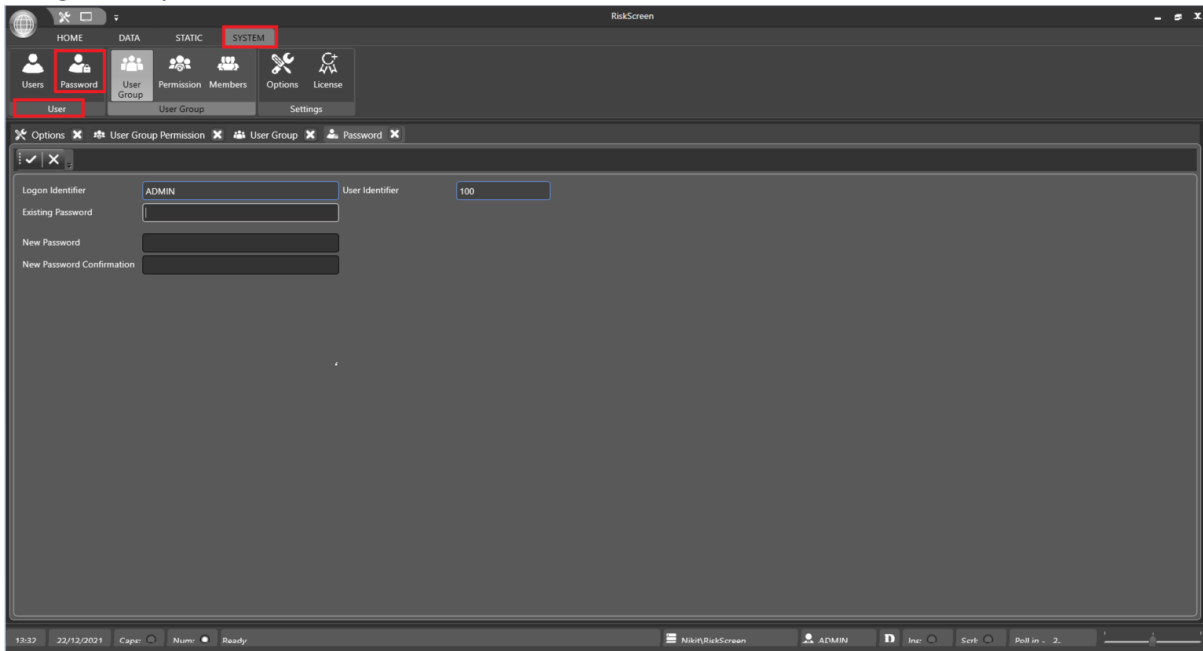


You can enable the windows identity logon by updating the Security Mode dropdown to Windows Identity and then clicking the tick to save the setting.

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



If a user has forgotten their password and cannot log in to reset it, an Admin user will need to [update the user](#) 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

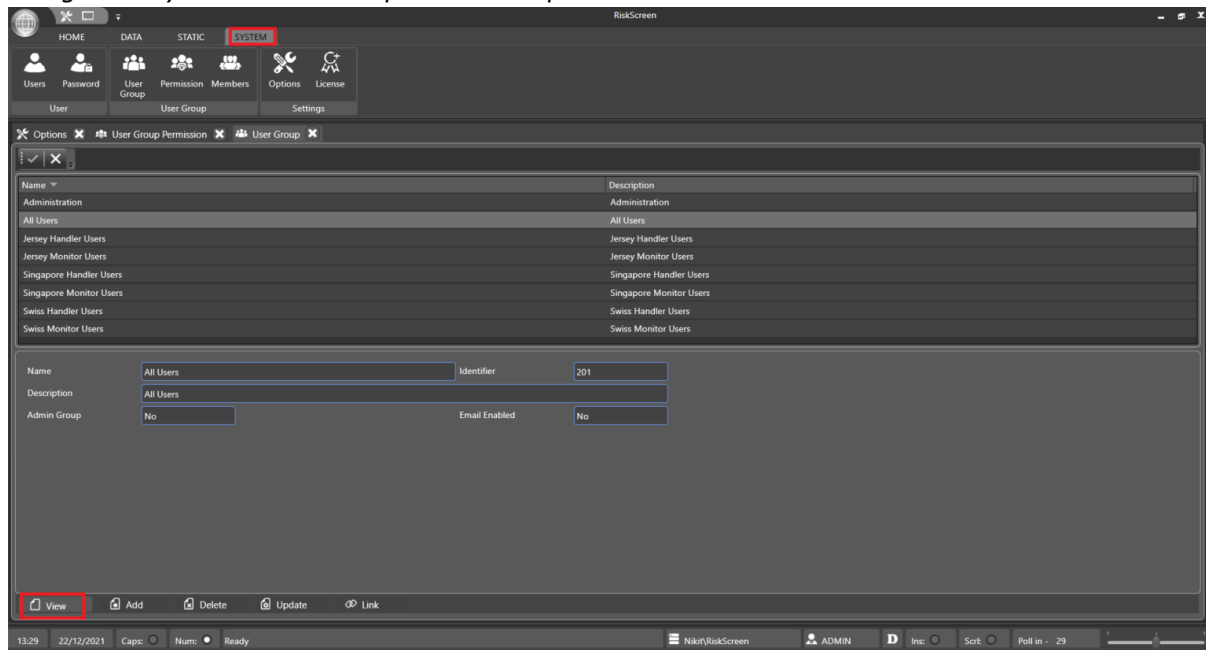
Property	Information
Name	User Group name
Description	User Group description
Identifier	System allocated ID number that cannot be changed.
Admin Group	Indicates if the User Group is an administrative group. The options screen uses this flag to only display administrative settings to users in an administrative 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.

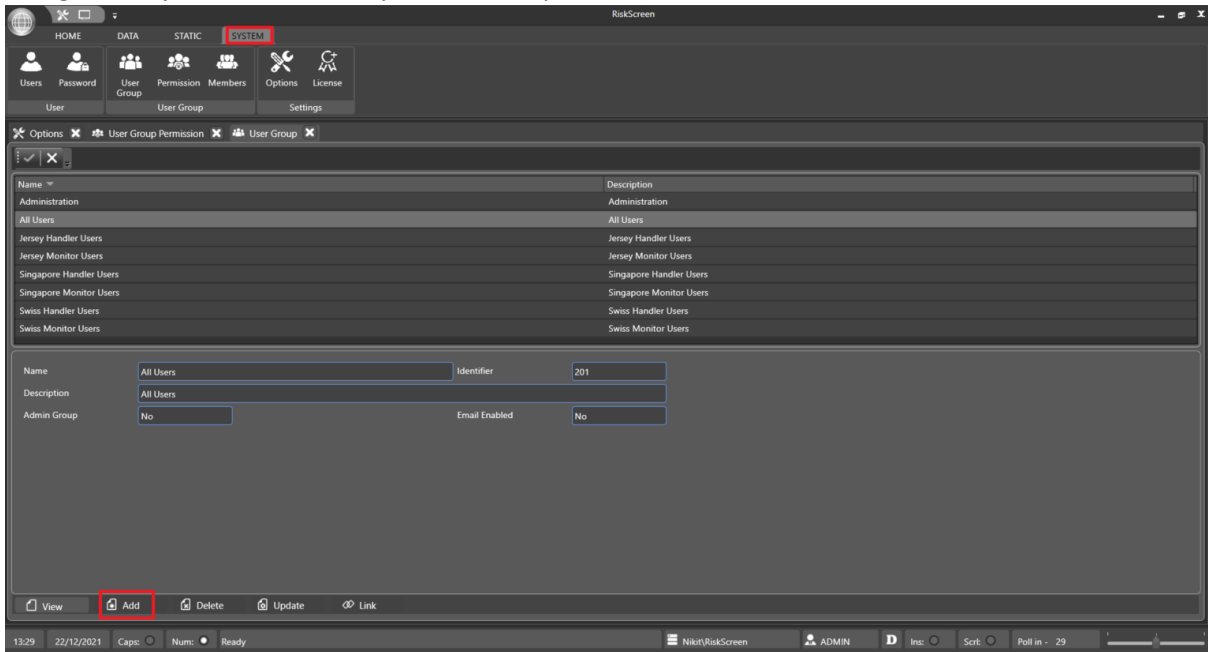
Navigation: System > User Group > User Group > View



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

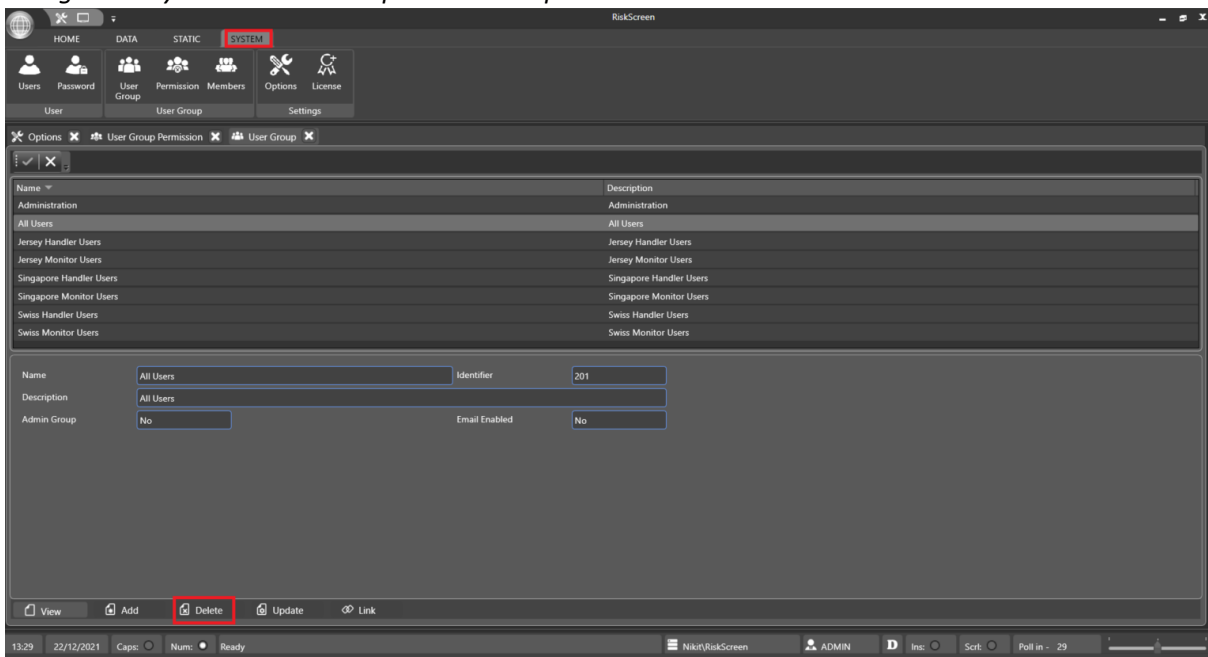


Once a User Group is created it needs to be linked to a Client for it to access the Client Entities under that Client. Refer to the [Link](#) section for more information on linking a User Group to a client.

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.

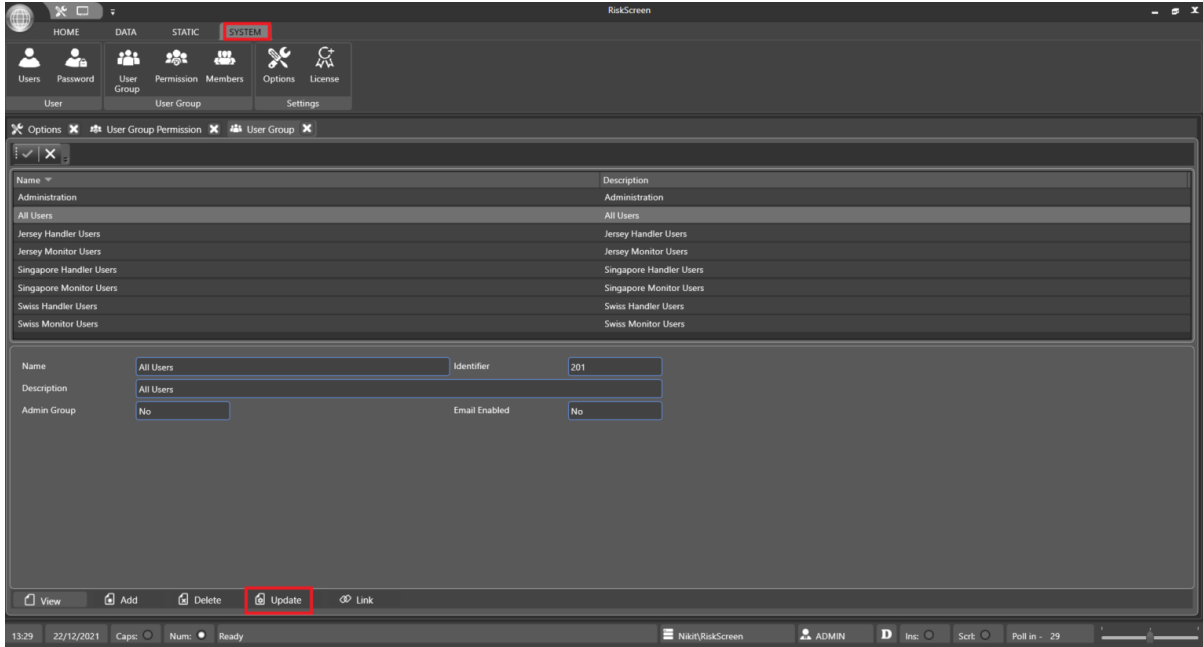
Navigation: System > User Group > User Group > Delete



Update

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

Navigation: System > User Group > User Group > Update



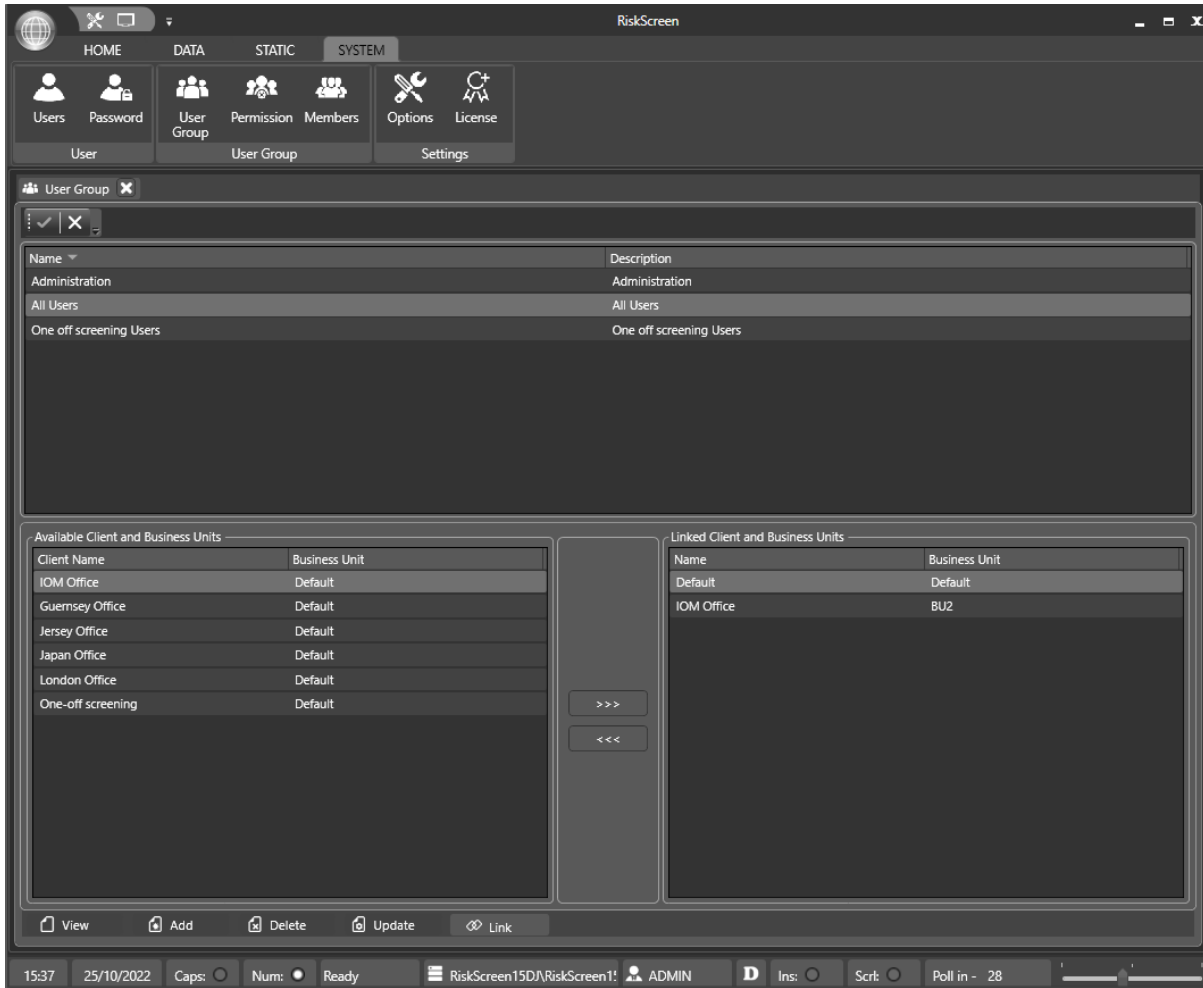
Link

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)

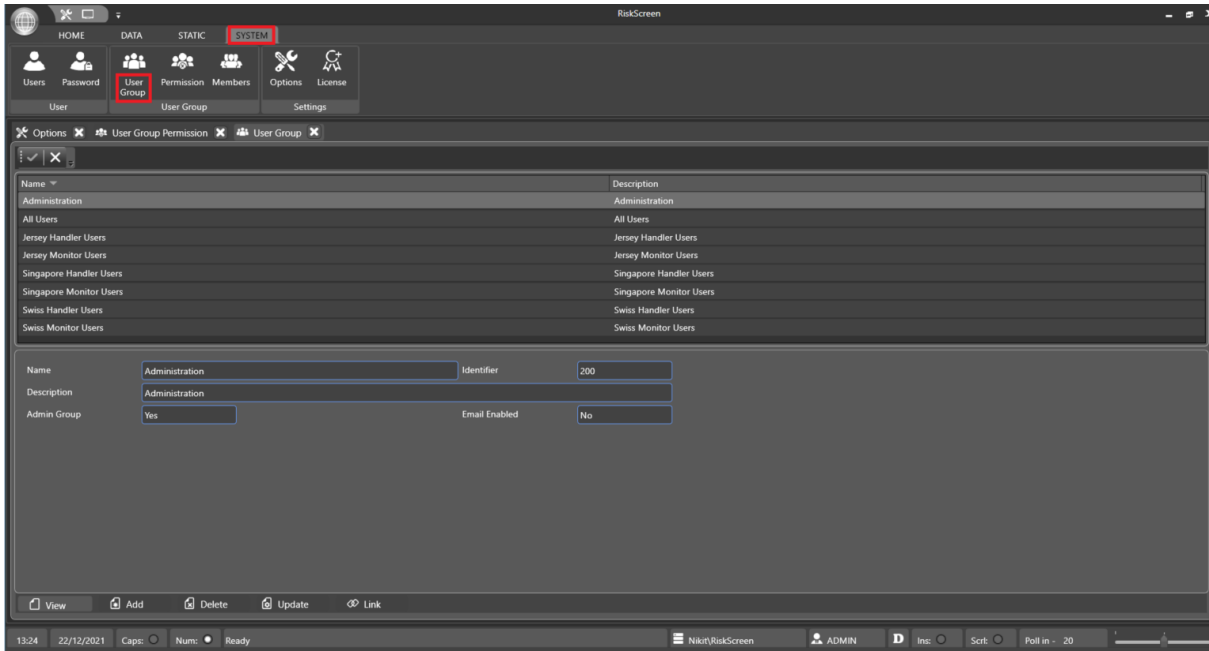
Navigation: System > User Group > User Group > Link



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)

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

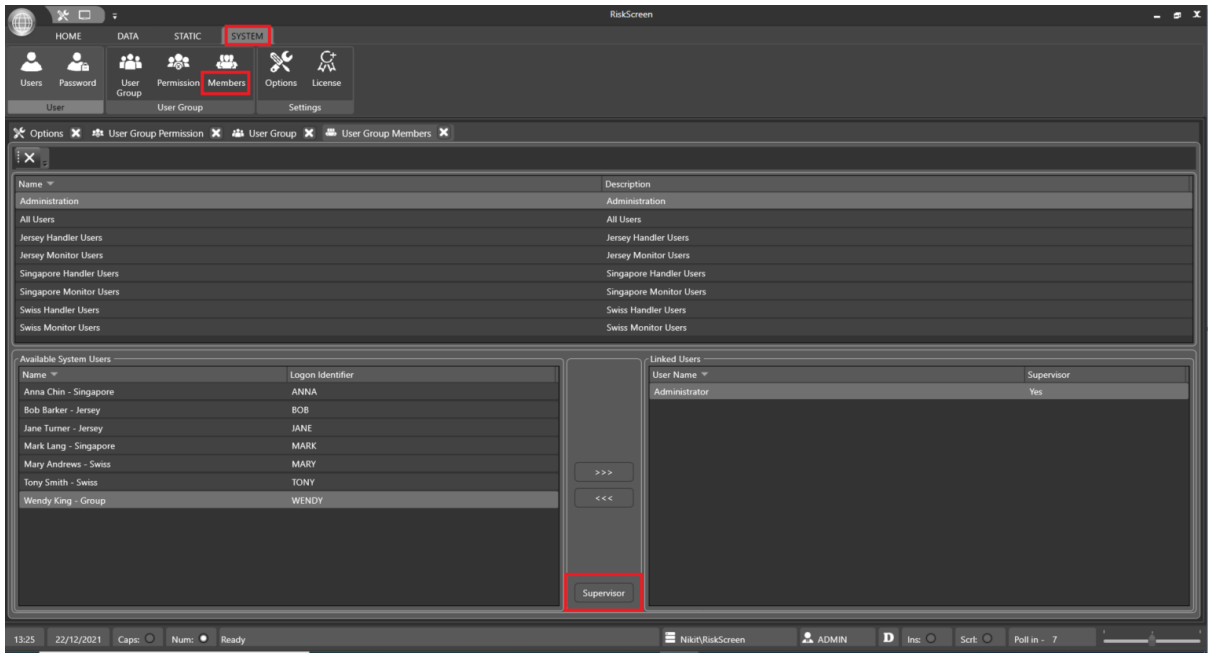
1. Select the user group from the list in the top section of the screen
2. Select the user you wish to add to the user group from the list of “Available System Users” (bottom left)
3. Click the button with the three arrows pointing to the right
4. The client name should now appear in the list of “Linked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



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	<p>Allows a user to access the screen through the Ribbon.</p> <p>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.</p>
View	<p>Allows users to view records related to the screen. Without this permission the screen will not display the detail of records.</p> <p><i>*You won't be able to assign this permission to screens that don't have a View (Enquiry) tab.</i></p>
Add	<p>Allows users to add new records related to the screen.</p> <p><i>*You won't be able to assign this permission to screens that don't have an Add tab.</i></p>
Delete	<p>Allows users to delete records related to the screen.</p> <p><i>*You won't be able to assign this permission to screens that don't have a Delete tab.</i></p>

Property Information

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

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. Note: 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	Screen used to view summary statistic and run reports for Match Potentials.
Match - Whitelist	Screen used to view and manage Whitelisted Entities .
Batch - Run	Screen used to do Manual batch runs. Note: All users that have Menu access to this screen will be able to start a manual batch run.
Feeds - Dow Jones/Worldcheck	Screen used to run a full Dow Entity/Worldcheck update and view import history for Dow Entity/Worldcheck files.
Processing - Run	Screen used to do manual Processing runs and view a history of previous runs.
General - Map	Screen used to view statistics for the Entities in the system.
General - Toolbox	Screen that allows users to lookup Dow/Worldcheck Entities and reset SHA values for all Dow/Worldcheck Entities.
General - Logs	Screen used to view and manage RiskScreen log files .
Client Entity - Import	Screen used to run Client Entity Imports . 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.
IWL Entity Import	Screen used to run IWL imports .
Definitions - Criteria	Screen used to view and manage Search Criteria.

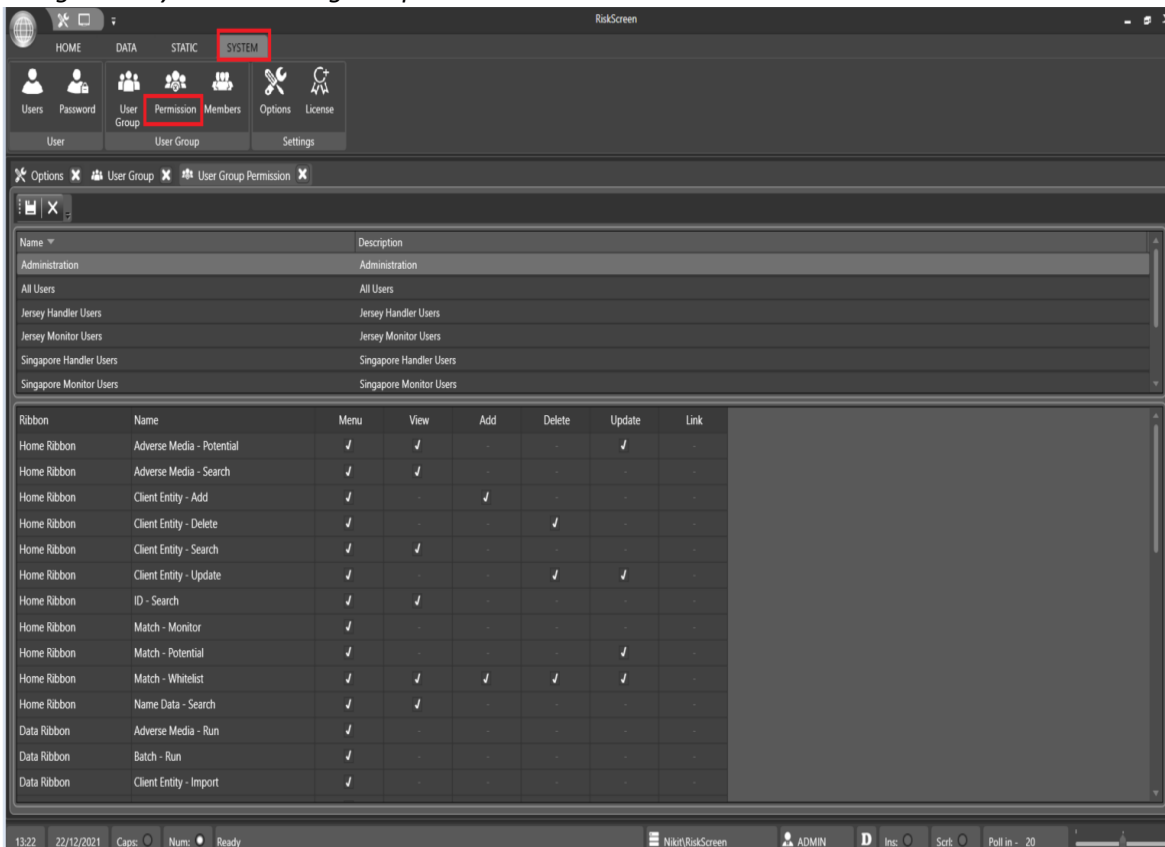
Screen Information

Definitions - Risk	Screen used to view and manage Risk Classifications.
Definitions - Client	Screen used to view and manage Clients.
Match Category - Discounted	Screen used to view and manage Match Discount Categories.
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.
<p>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.</p>	
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.

Navigation: System > Settings > Options

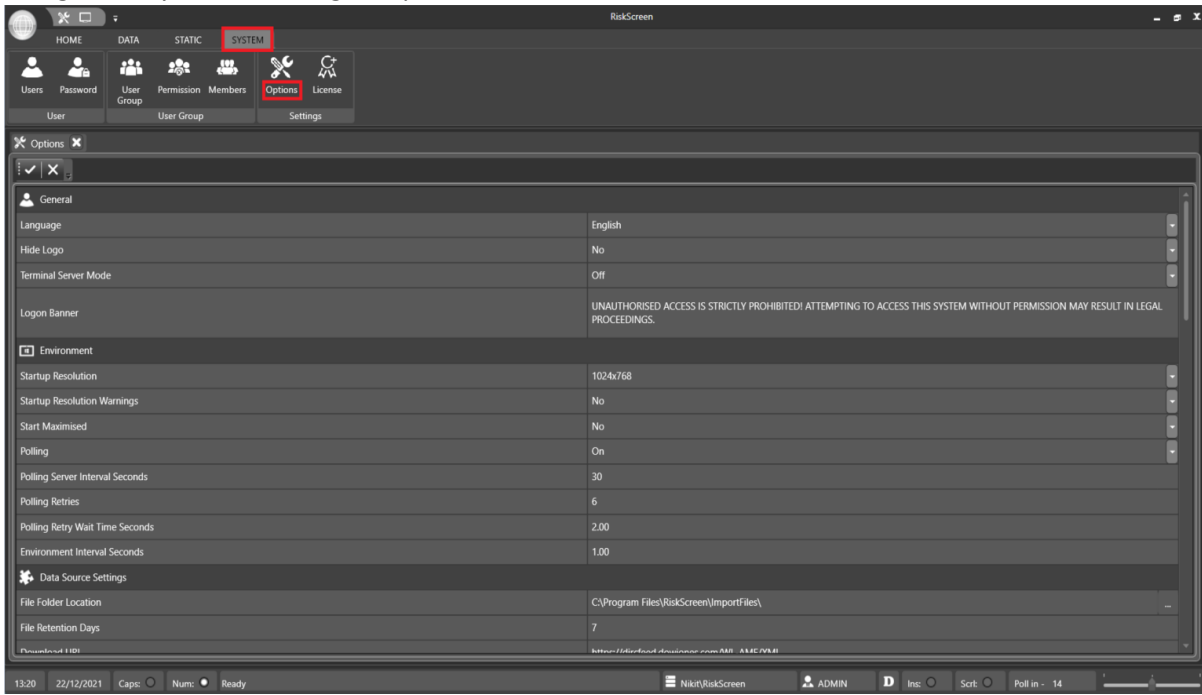


Application Settings

Options

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

Navigation: System > Settings > Options



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	<p>Location that Dow Jones/Worldcheck daily files will be downloaded to or imported from.</p> <p>Used by:</p> <ul style="list-style-type: none"> • Manual Batch Run • Manual file download • Manual file import • 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	<p>WBL + AMe – WatchList and Adverse Media WBL – WatchList only AMe – Adverse Media only.</p> <p>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.</p>
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 where person first name contains multiple names	When importing the Dow Jones/Worldcheck data RiskScreen will 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. Default On.
Create additional alias where person and put primary FN+MN+LN in last name field	When importing the Dow Jones/Worldcheck data RiskScreen will when the record is a person, create an additional Alias putting the entire primary name in the last name field. Default Off.
Create additional alias where person and put primary FN+MN in first name field	When importing the Dow Jones/Worldcheck data RiskScreen will when the record is a person, create an additional Alias for record primary name putting the first name and middle name in the first name field. Default Off. Potential recommended On.
Notification Change Emails On	Turns notification change emails on or off for all users.

Option Information

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 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. 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 Threads	Number of threads used to perform the name searches. 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 Client Entity Import 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 to Exclude	Number of header rows in the file need to be excluded from the import.
Client Import Delimiter	Delimiter used in the file.
Security Settings	
Password Must Contain Numbers	If enabled passwords that don't contain numbers will be rejected.
Password Must Contain Capitals	If enabled passwords that don't contain at least a single capital letter will be rejected.
Password Can Contain Repeated Characters	If enabled passwords may contain more than one instance of a 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 Days	Sets the number of days before a password expires and a user is forced to reset their password.
Password Warning Before Expiry Days	Number of days before their password expires a user will be warned of the pending expiry.
Email Settings	
SMTP Port	SMTP Port used for system emails.

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 email address configured for the user initiating the test.

Client Entity Settings

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 Profile Image	Use Legacy PDF, Snapshot or both in match flagged/discounted screen on a client entity.

License

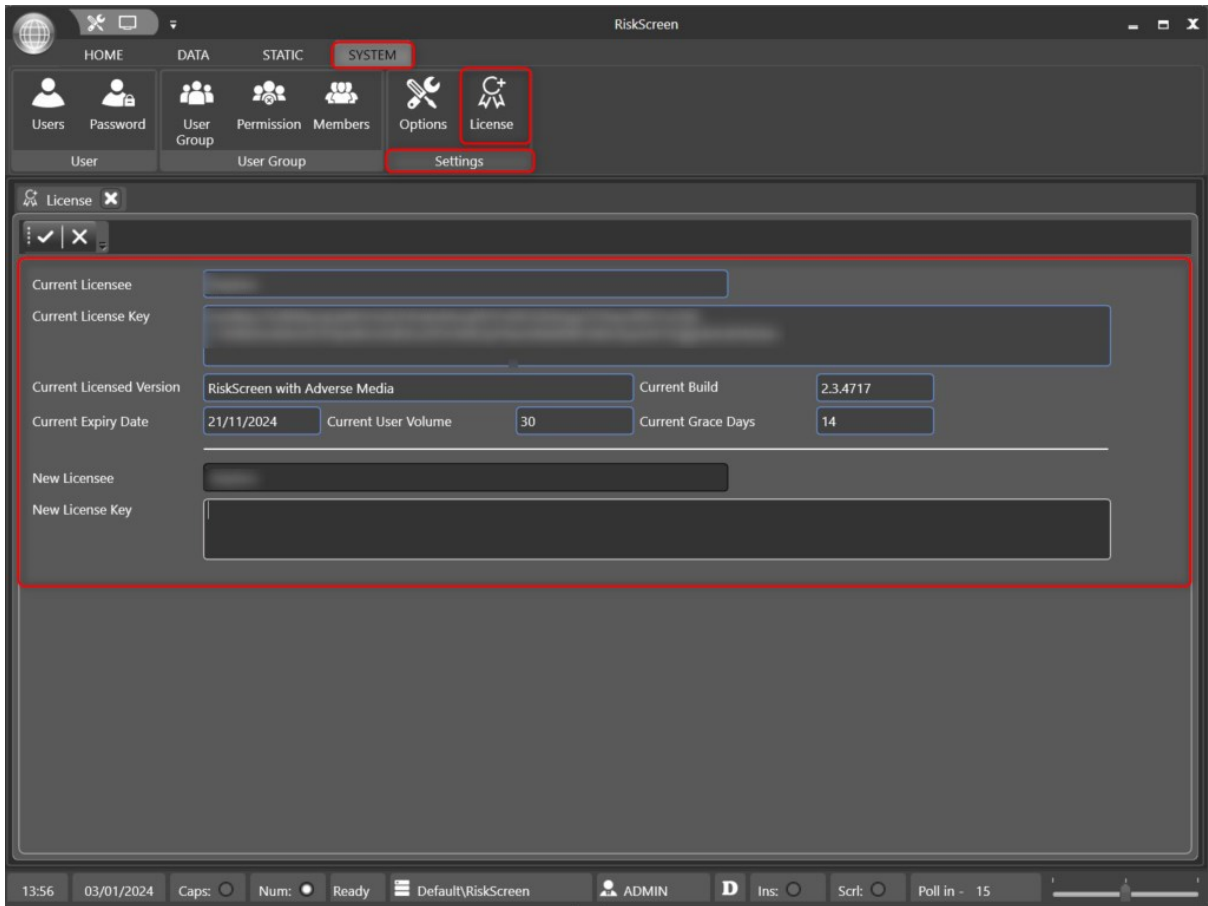
The license screen shows information on your current license configured for RiskScreen and allows you to update your license key.

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



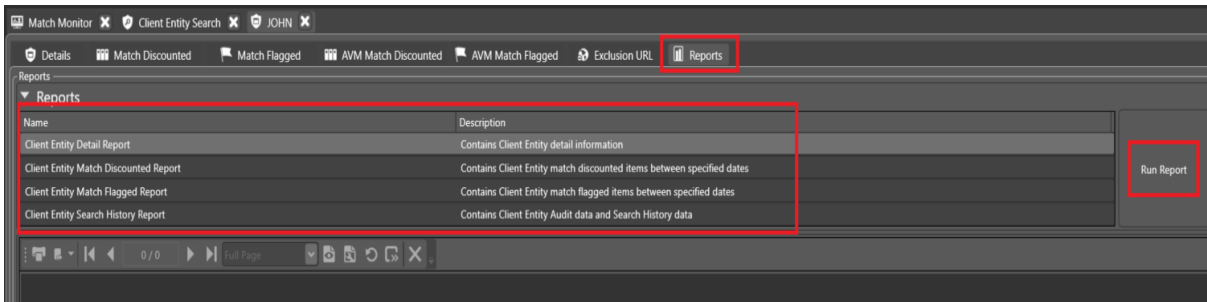
Reporting

The reports tab allows you to generate reports for Client Entities. Refer to the [reports toolbar](#) 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



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 Office	Client Entity ID	1064
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 Group	Jersey Monitor Users
Country 3	Unknown	Handled by User	
Criteria	Default - Person High Risk	Date Added	04/04/2018

Criteria Detail


Name	Default - Person High Risk	Identifier	5
Description	Default - Person High Risk		
Last Name Match %	90	First Name Match %	85
		Middle Name Match %	60
Search PEP	Yes	Search RCA	Yes
		Search WBL	Yes
Search SAN	Yes	Search AVM	No
		Search UNK	Yes
Reverse Search	No	Exclude Year Range	0
		Exclude Ctry No Match	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 Entity 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 Group	Jersey Monitor Users
Country 3	Unknown	Handled by User	
Status	Active	Date Added	04/04/2018

Date Range

Between And

Match Discounted

Matched Date	09/04/2018	Generated Date	04/04/2018	Identifier	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 Jurisdiction : Russia Resident 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 Entity 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 Group	Jersey Monitor Users
Country 3	Unknown	Handled by User	
Status	Active	Date Added	04/04/2018

Date Range

Between And

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 - Domestic PEP				
Date Meta Data	07 Oct 1952				
Country Meta Data	Citizenship : Russia Jurisdiction : Russia Resident 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 Entity ID	5040
Business Unit	Default		
Last Name	FACEBOOK		
First Name			
Middle Name		Interface Reference	
Gender	Any	Date	
Country 1	Unknown	Risk	Unclassified
Country 2	Unknown	Handled by User Group	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
		Identifier	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	5040
Business Unit	Default		
Last Name	FACEBOOK		
First Name			
Middle Name		Interface Reference	
Gender	Any	Date	
Country 1	Unknown	Risk	Unclassified
Country 2	Unknown	Handled by User Group	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 Discounted			
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.

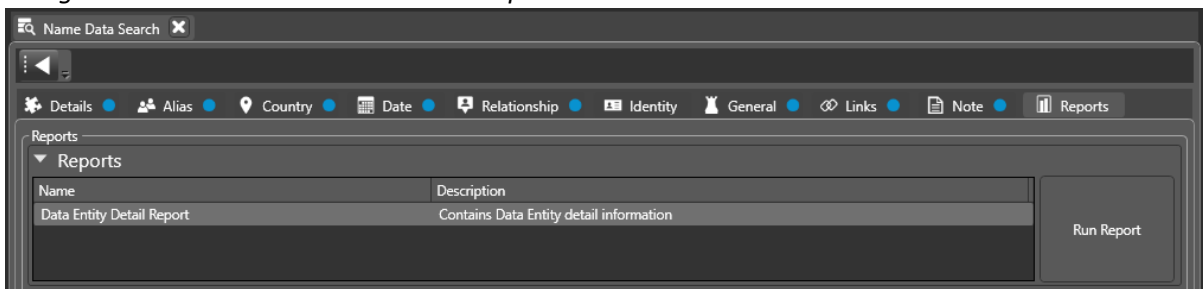
Client Entity Audit History			
Audit Type	Add	Audit Date	04/04/2018 06:27
Client Entity ID	1065		
Last Name	ПУТИН		
First Name	ВЛАДИМИР		
Middle Name		Interface Reference	ZR5066
Gender	Male	Date	07/10/1952
Country 1	Russia	Risk	High
Country 2	Unknown	Handling User Group	Jersey Monitor Users
Country 3	Unknown	Handling User	-
Status	Active	Date Added	04/04/2018
Criteria	Default - Person High Risk		
Client Match Volumes			
Match Discounted	Date does not match		1
		Total	1
Match Flagged	Relevant Acceptable - Domestic PEP		1
		Total	1
Match Potentials	-		1
		Total	1
Client Batch History			
Batch Identifier	0	Start Date	04/04/2018 07:39
Client 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





Data Entity Detail Report

Entity Detail

Last Name	PUTIN		Identifier	98141
First Name	VLADIMIR		Title	
Middle Name	VLADIMIROVICH		Suffix	
Full Name	VLADIMIR VLADIMIROVICH PUTIN			
Gender	Male		Deceased	No
Entity Type	Person		Action Date	02-Aug-2017
Politically Exposed	Yes	Related Close Assoc	No	WatchList
Sanctioned	No	Adverse Media	No	Unknown
				No

Description

Description 1	Politically Exposed Person (PEP)
Description 2	
Description 3	

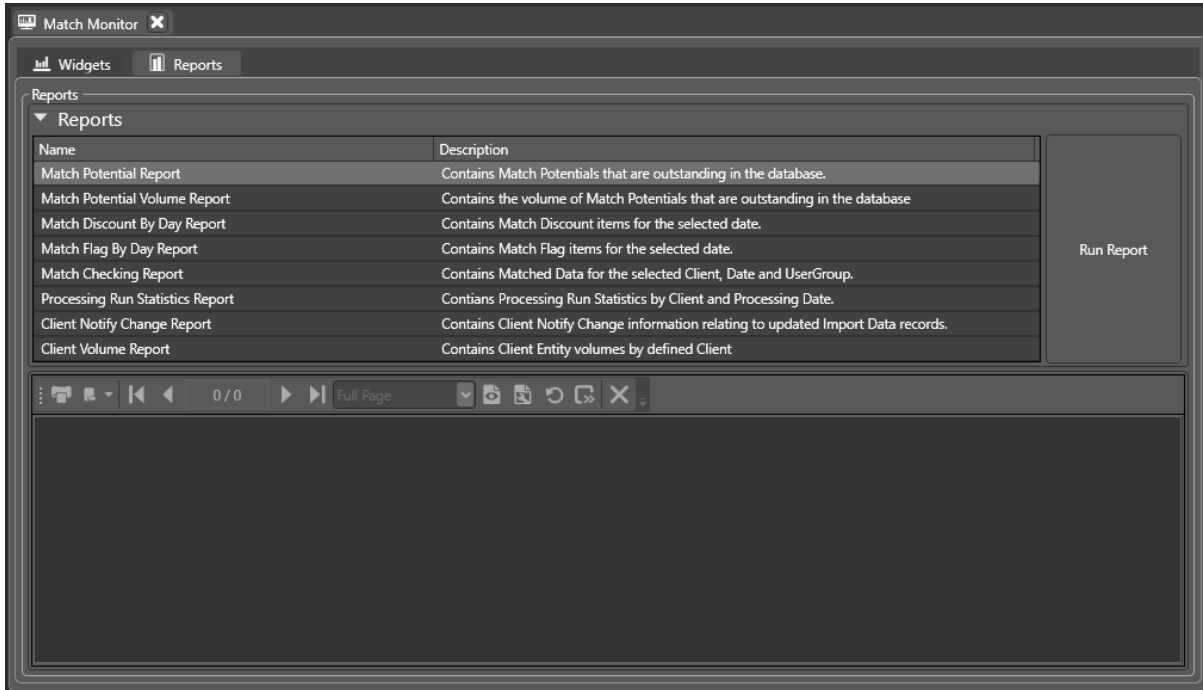
Alias

Name Type	Primary Name	Serial	1
Last Name	ВЛАДИМИР ВЛАДИМИРОВИЧ ПУТИН		
First Name		Title	
Middle Name		Suffix	

Match Potentials

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

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								
Middle Name		Client Entity ID	1207	Handling User							
PEP Volume	2	RCA Volume	0	WBL Volume	0	SAN Volume	0	AVM Volume	0	UNK Volume	0

Entity Name	DMITRIY NIKOLAEVICH PANKOV					Entity ID	102174	Generated Date	04/04/2018		
Average Bias	100.0000 %	Date Match	Yes	Country Match	Yes	Priority	1	Meta Bump	25		
Is PEP	Yes	Is RCA	No	Is WBL	No	Is SAN	No	Is AVM	No	Is UNK	No

Entity Name	DMITRIY ALEKSANDROVICH PYANKOV					Entity ID	3357407	Generated Date	04/04/2018		
Average Bias	97.6190 %	Date Match	No	Country Match	Yes	Priority	1	Meta Bump	20		
Is PEP	Yes	Is RCA	No	Is WBL	No	Is SAN	No	Is AVM	No	Is 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								
Middle Name		Client Entity ID	1150	Handling User							
PEP Volume	0	RCA Volume	0	WBL Volume	1	SAN Volume	0	AVM Volume	0	UNK Volume	0

Entity Name	PHILLIP BARNES					Entity ID	11050455	Generated Date	04/04/2018		
Average Bias	97.6190 %	Date Match	No	Country Match	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:

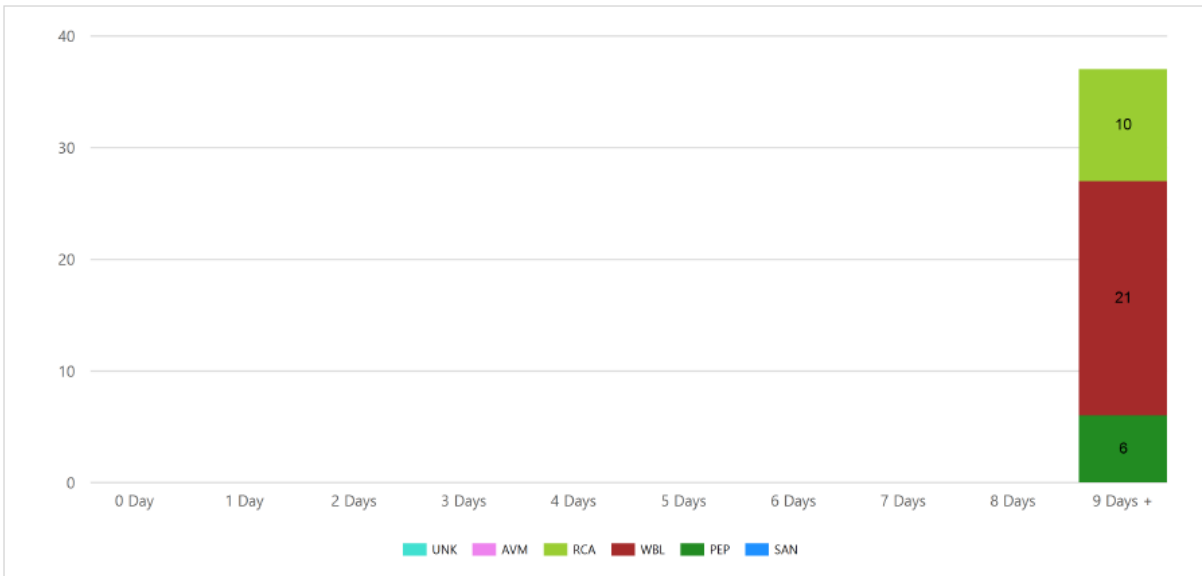
- Client
- Business Unit
- User Group



Match Potential Statistics Report

Outstanding Match Potentials

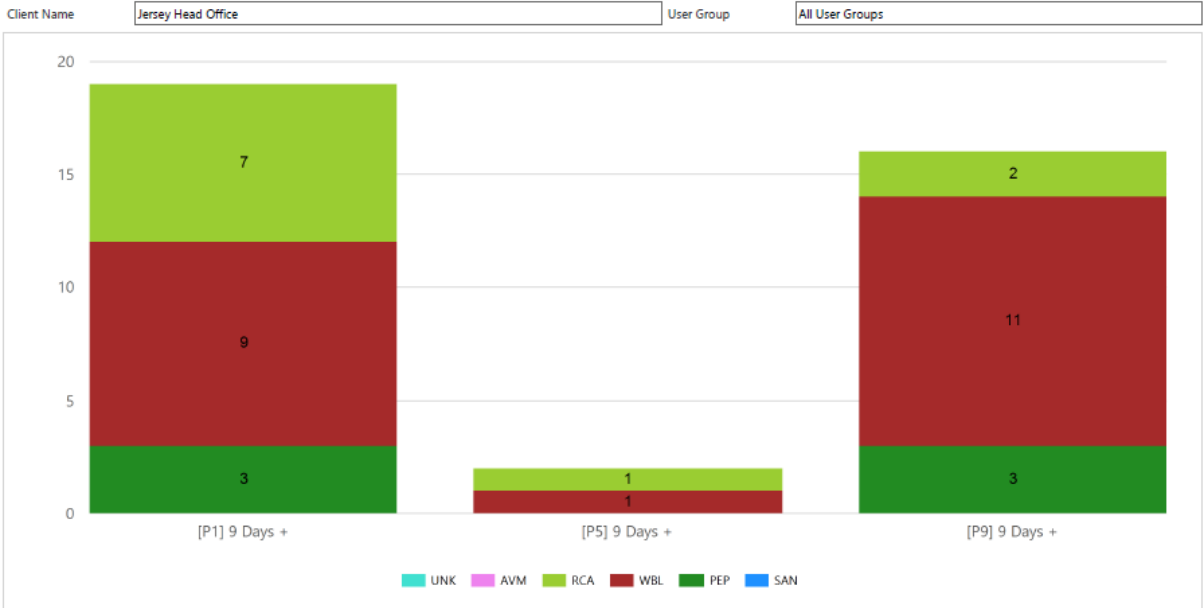
Client Name: User Group:





Match Potential Statistics Report

Outstanding Match Potentials By Priority

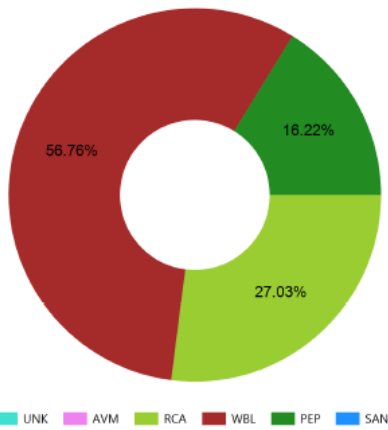


Match Potential Statistics Report

Volumes

Client Name: User Group:

PEP Volume	<input type="text" value="6"/>	RCA Volume	<input type="text" value="10"/>
WBL Volume	<input type="text" value="21"/>	SAN Volume	<input type="text" value="0"/>
AVM Volume	<input type="text" value="0"/>	UNK Volume	<input type="text" value="0"/>
Client Entity Volume	<input type="text" value="19"/>	Match Potential Volume	<input type="text" value="37"/>



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 Handler Users				Items	15
Priority	1	Meta Bump	25	Days OS	9	Generated Date	13/08/2018	Potential Matches	2		
Last Name	PANKOV				First Name	DMITRIY					
Middle Name					Client Entity ID	1207		Handling User			
PEP Volume	2	RCA Volume	0	WBL Volume	0	SAN Volume	0	AVM Volume	0	UNK Volume	0
Priority	1	Meta Bump	20	Days OS	9	Generated Date	13/08/2018	Potential Matches	1		
Last Name	BARNES				First Name	PHILLIP					
Middle Name					Client Entity ID	1150		Handling User			
PEP Volume	0	RCA Volume	0	WBL Volume	1	SAN Volume	0	AVM Volume	0	UNK Volume	0
Priority	1	Meta Bump	20	Days OS	9	Generated Date	13/08/2018	Potential Matches	1		
Last Name	BENNETT				First Name	NICHOLAS					
Middle Name					Client Entity ID	1180		Handling User			
PEP Volume	0	RCA Volume	1	WBL Volume	0	SAN Volume	0	AVM Volume	0	UNK Volume	0
Priority	1	Meta Bump	20	Days OS	9	Generated Date	13/08/2018	Potential Matches	1		
Last Name	CHOWDHURY				First Name	SHAMSUL					
Middle Name	ALAM				Client Entity ID	1016		Handling User			
PEP Volume	0	RCA Volume	0	WBL Volume	1	SAN Volume	0	AVM Volume	0	UNK Volume	0
Priority	1	Meta Bump	20	Days OS	9	Generated Date	13/08/2018	Potential Matches	1		
Last Name	EDWARDS				First Name	LIAM					
Middle Name					Client Entity ID	1196		Handling User			
PEP Volume	0	RCA Volume	0	WBL Volume	1	SAN Volume	0	AVM Volume	0	UNK 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												
Total Volumes												
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	
Priority Volumes												
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 Date 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 Date - 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 Match Potentials


Client												Jersey Head Office							
User Group												Jersey Handler Users							
Client Entity ID		1013		Last Name		WILLIAMS			Last Name		ALUN								
Entity ID		4677707		Entity Full Name		ALUN WILLIAMS			Handling User										
Generated Date		13/08/2018		PEP	<input type="checkbox"/> No	RCA	<input type="checkbox"/> Yes	WBL	<input type="checkbox"/> No	SAN	<input type="checkbox"/> No	AVM	<input type="checkbox"/> No	UNK	<input type="checkbox"/> No	Date Match	<input type="checkbox"/> No	Country Match	<input type="checkbox"/> Yes
Client Entity ID		1016		Last Name		CHOWDHURY			Last Name		SHAMSUL								
Entity ID		11226446		Entity Full Name		SAMSUL CHOWDHURY			Handling User										
Generated Date		13/08/2018		PEP	<input type="checkbox"/> No	RCA	<input type="checkbox"/> No	WBL	<input type="checkbox"/> Yes	SAN	<input type="checkbox"/> No	AVM	<input type="checkbox"/> No	UNK	<input type="checkbox"/> No	Date Match	<input type="checkbox"/> No	Country Match	<input type="checkbox"/> Yes
Client Entity ID		1019		Last Name		PATEL			Last Name		IQBAL								
Entity ID		11297053		Entity Full Name		IQBAL PATEL			Handling User										
Generated Date		13/08/2018		PEP	<input type="checkbox"/> No	RCA	<input type="checkbox"/> Yes	WBL	<input type="checkbox"/> No	SAN	<input type="checkbox"/> No	AVM	<input type="checkbox"/> No	UNK	<input type="checkbox"/> No	Date Match	<input type="checkbox"/> No	Country Match	<input type="checkbox"/> Yes
Client Entity ID		1020		Last Name		WILSON			Last Name		IAN								
Entity ID		708336		Entity Full Name		IAN HENRY WILSON			Handling User										
Generated Date		13/08/2018		PEP	<input type="checkbox"/> No	RCA	<input type="checkbox"/> Yes	WBL	<input type="checkbox"/> No	SAN	<input type="checkbox"/> No	AVM	<input type="checkbox"/> No	UNK	<input type="checkbox"/> No	Date Match	<input type="checkbox"/> No	Country Match	<input type="checkbox"/> Yes
Entity ID		708339		Entity Full Name		IAIN WILSON			Handling User										
Generated Date		13/08/2018		PEP	<input type="checkbox"/> No	RCA	<input type="checkbox"/> Yes	WBL	<input type="checkbox"/> No	SAN	<input type="checkbox"/> No	AVM	<input type="checkbox"/> No	UNK	<input type="checkbox"/> No	Date Match	<input type="checkbox"/> No	Country Match	<input type="checkbox"/> Yes
Entity ID		1361320		Entity Full Name		SIMON KEITH WILSON			Handling User										
Generated Date		13/08/2018		PEP	<input type="checkbox"/> No	RCA	<input type="checkbox"/> No	WBL	<input type="checkbox"/> Yes	SAN	<input type="checkbox"/> No	AVM	<input type="checkbox"/> No	UNK	<input type="checkbox"/> No	Date Match	<input type="checkbox"/> No	Country Match	<input type="checkbox"/> No
Entity ID		1505346		Entity Full Name		IAN WILSON			Handling User										
Generated Date		13/08/2018		PEP	<input type="checkbox"/> No	RCA	<input type="checkbox"/> No	WBL	<input type="checkbox"/> Yes	SAN	<input type="checkbox"/> No	AVM	<input type="checkbox"/> No	UNK	<input type="checkbox"/> No	Date Match	<input type="checkbox"/> No	Country Match	<input type="checkbox"/> Yes

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			Client Entity ID	1065
Last Name	ПУТИН	First Name	ВЛАДИМИР	Middle Name	
Entity Full Name	VLADIMIR SPIRIDONOVICH PUTIN			Entity ID	170352
Matched Date	09/04/2018	Generated Date	04/04/2018	Action Days	5
				Valid to Date	31/12/2099
Reason				DiscountCategory	Date does not match
Date Meta	23 Feb 1911	Country Meta	Citizenship : Russia Jurisdiction : Russia Resident of : Russia		
User Group	Jersey Monitor Users	Handling User	Administrator		

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



Match Discount By Category Report


Match Discount Items		Between 16/07/2018 and 16/08/2018									
Client	Jersey Head Office		Client Entity ID	1064							
Last Name	PUTIN	First Name	VLADIMIR	Middle Name							
Entity Full Name	VLADIMIR SPIRIDONOVICH PUTIN		Entity ID	170352							
Is PEP	<input type="checkbox"/> No	<input type="checkbox"/> Is RCA	<input type="checkbox"/> Yes	<input type="checkbox"/> Is WBL	<input type="checkbox"/> No	<input type="checkbox"/> Is SAN	<input type="checkbox"/> No	<input type="checkbox"/> Is AVM	<input type="checkbox"/> No	<input type="checkbox"/> Is UNK	<input type="checkbox"/> No
Matched Date	16/08/2018	Generated Date	16/08/2018	Action Days	0	Valid to Date	31/12/2099	Notify	False		
Reason	Demo Match		Discount Category	Name does not match							
Date Meta	23 Feb 1911		Country Meta	Citizenship : Russia Jurisdiction : Russia Resident of : Russia							
User Group	Jersey Monitor Users		Handling User	Administrator							

Match Flag by Day

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

Parameters:

- Client
- Match Date
- From Date
- To Date



Match Flag By Day Report


Match Flag Items									
Client	Jersey Head Office	Client Entity ID	1065						
Last Name	ПУТИН	First Name	ВЛАДИМИР	Middle Name					
Entity Full Name	VLADIMIR VLADIMIROVICH PUTIN		Entity ID	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 - Domestic PEP					
Date Meta	07 Oct 1952		Country Meta	Citizenship : Russia Jurisdiction : Russia Resident of : Russia					
User Group	Jersey Monitor Users		Handling User	Administrator					

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 Items
Between 16/07/2018 and 22/08/2018

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	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> Is RCA	<input type="checkbox"/> No	<input type="checkbox"/> Is WBL	<input type="checkbox"/> No	<input type="checkbox"/> Is SAN
	<input type="checkbox"/> No	<input type="checkbox"/> Is AVM	<input type="checkbox"/> No	<input type="checkbox"/> Is UNK	<input type="checkbox"/> No	<input type="checkbox"/> No
Matched Date	15/08/2018	Generated Date	13/08/2018	Action Days	2	Valid to Date
						31/12/2099
Reason	Test				Flag Category	Relevant Not Acceptable - High Risk PEP
Date Meta	15 May 1943				Country Meta	Citizenship : United Kingdom Jurisdiction : United Kingdom Resident of : United Kingdom
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	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> Is RCA	<input type="checkbox"/> No	<input type="checkbox"/> Is WBL	<input type="checkbox"/> No	<input type="checkbox"/> Is SAN
	<input type="checkbox"/> No	<input type="checkbox"/> Is AVM	<input type="checkbox"/> No	<input type="checkbox"/> Is UNK	<input type="checkbox"/> No	<input type="checkbox"/> No
Matched Date	16/08/2018	Generated Date	13/08/2018	Action Days	3	Valid to Date
						31/12/2099
Reason	Demo Match				Flag Category	Relevant Not Acceptable - High Risk PEP
Date Meta	07 Oct 1952				Country Meta	Citizenship : Russia Jurisdiction : Russia 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



Match Checking Report

Match Items


Client		Jersey Head Office							
Client Entity ID	1065	Interface Reference	ZR5066						
Last Name	П/ТИН		Entity ID	170352					
First Name	ВЛАДИМИР		Entity Full Name	VLADIMIR SPRIDONOVICH PUTIN					
Middle Name		Is PEP	No	Is RCA	Yes	Is WBL	No		
Client Risk	High	Is SAN	No	Is AVM	No	Is UNK	No		
Client Date	07/10/1952	Date Meta	23 Feb 1911						
Client Country 1	Russia	Client Country 2	Unknown	Country Meta	Citizenship : Russia Jurisdiction : Russia Resident of : Russia				
Client Country 3	Unknown	Entity Gender	Male						
Client Gender	Male	Client Criteria	Default - Person High Risk						
Match Type	Discount	Match Category	Date does not match						
Matched Date	09/04/2018	Generated Date	04/04/2018	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
- Business Unit
- Processing Date



Processing Statistics Report

Client Processing Statistics


Client	Jersey Head Office		Batch Identifier	3								
Start Date	09/04/2018 16:38	End Date	09/04/2018 16:38	DL Threads	2	NS Threads	2					
Searches Performed	208	Client Entity Matches	0	Total Data Matches	0							
Data Match Volumes	PEP	0	RCA	0	WBL	0	SAN	0	AVM	0	UNK	0
Initial Matches	207	Discount Total	207	Discount Multi Match	17							
		Discount White List	0	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




Client Notify Change Report

Notify Change Items

Client	Jersey Head Office			Data Feed ID	3
Last Name	BRAZOVSKIS			Client Entity ID	1240
First Name	JĀNIS			Area	Match Flagged
Middle Name				Notify	Yes
Entity Name	JĀNIS BRAZOVSKIS			Entity ID	26702
Data Feed Date	09/04/2018	User Group	Administration	User	Administrator
Deleted	No	Record Changed	Yes	Classification 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.



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



Client Entity Last Changed Report

Between 18/10/2000 and 25/10/2022 with status Active

Client	Default	Business Unit	Default	User Group	Administration
Last Name	RUPELLAN	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
- 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
- Where data subject is Person and is older than 80 years
- Where data subject is Person and first name or last name are more than 18 characters long
- Where data subject is Person and has a single char between two spaces or a single char followed by a full stop in the first, middle or last name fields
- Where data subject is Person and has a single char in either the first name, middle name or last name fields
- Where data subject is Person and first name, middle name or last name contains an integer value
- 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:

<input type="checkbox"/> Yes	Person and first or last name contains multiple words	<input type="checkbox"/> Yes	Person and first name or last name are more than 18 characters long
<input type="checkbox"/> Yes	Person and first name contains two or more words and middle name is blank	<input type="checkbox"/> Yes	Person and has a single char between two spaces or a single char followed by a full stop in the all name fields
<input type="checkbox"/> Yes	Person and younger than 16 years	<input type="checkbox"/> Yes	Person and has a single char in either the first name, middle name or last name
<input type="checkbox"/> Yes	Person and is older than 80 years	<input type="checkbox"/> Yes	Person and first name, middle name or last name contains an integer value
<input type="checkbox"/> Yes	Entity and last name contains an integer value		

Client: Jersey Head 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 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 Head 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	Entity ID
ZRS062	एस एन अहमद			1061
ZRS064	இசைப்பி சஞ்சயதேவி			1063

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 risk based approach to screening. Each criteria is a pre-defined search profile used by the screening process when a client entity is screened against the Dow/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 [Match Potential](#) 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	<ul style="list-style-type: none"> • Primary Name • Also Known As • Low Quality AKA • Maiden Name • Formerly Known As • Spelling Variation • Expanded Language Variation
Entity	<ul style="list-style-type: none"> • Primary Name • Also Known As • Formerly Known As • Spelling Variation • Low Quality AKA • Expanded Language Variation

Country Types

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

Date Types

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

Relationship Types

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

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

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	IO
27	Bolivia	BO
28	Botswana	BW
29	Bouvet Island	BV
30	Brazil	BR
31	Brunei	BN
32	Bosnia and Herzegovina	BA
33	Bulgaria	BG
34	Myanmar	MM
35	Burundi	BI
36	British Virgin Islands	VG
37	Belarus	BY
38	Central African Republic	CF
39	Cameroon	CM
40	Canada	CA
41	Cayman Islands	KY
42	Chad	TD
43	Chile	CL
44	China	CN
45	Christmas Island	CX
46	Cocos (Keeling) Islands	CC
47	Colombia	CO
48	Comoros	KM
49	Congo Republic	CG
50	Cook Islands	CK
51	Costa Rica	CR
52	Croatia	HR

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
75	Gabon	GA
76	Gambia	GM
77	Germany	DE
78	Ghana	GH
79	Gibraltar	GI
80	Greece	GR
81	Greenland	GL
82	Grenada	GD
83	Georgia	GE
84	Guadeloupe	GP
85	Guam	GU
86	Guatemala	GT
87	Guinea-Bissau	GW
88	Guernsey	GG
89	Guinea	GN
90	Guyana	GY
91	Haiti	HT
92	Heard and McDonald Islands	HM
93	Hong Kong	HK
94	Honduras	HN
95	Hungary	HU

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	KH
112	Kazakhstan	KZ
113	Kenya	KE
114	Kiribati	KI
115	Kyrgyzstan	KG
116	Kosovo	XK
117	Kuwait	KW
118	Laos	LA
119	Latvia	LV
120	Lebanon	LB
121	Lesotho	LS
122	Liberia	LR
123	Libya	LY
124	Liechtenstein	LI
125	Lithuania	LT
126	Luxembourg	LU
127	Macau	MO
128	Marshall Islands	MH
129	Madagascar	MG
130	Malawi	MW
131	Malaysia	MY
132	Maldives	MV
133	Mali	ML
134	Malta	MT
135	Martinique	MQ
136	Mauritania	MR
137	Mauritius	MU
138	Mayotte	YT

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	KP
159	Northern Mariana Islands	MP
160	None	NX
161	Norfolk Island	NF
162	Norway	NO
163	Not Known	NN
164	New Zealand	NZ
165	Oman	OM
166	Pakistan	PK
167	Palau	PW
168	Palestine	PS
169	Panama	PA
170	Papua New Guinea	PG
171	Paraguay	PY
172	Peru	PE
173	Philippines	PH
174	Pitcairn	PN
175	Poland	PL
176	Portugal	PT
177	Sao Tome and Principe	ST
178	Puerto Rico	PR
179	Qatar	QA
180	Reunion	RE
181	Romania	RO

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	CH
216	Syria	SY
217	Tajikistan	TJ
218	Djibouti	DJ
219	Taiwan	TW
220	Tanzania	TZ
221	Turks and Caicos Islands	TC
222	Thailand	TH
223	Timor Leste	TL
224	Togo	TG

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

Occupations List

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