

GRAYDONcreditsafe

KYC Protect User Guide

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Introduction

KYC Protect is your go-to application for streamlined customer and vendor risk due diligence. Using Creditsafe Business Reports, you can automatically create, manage, and enrich profiles for customers and vendors alike. With the ability to perform Anti-Money Laundering (AML) screening and monitoring, KYC Protect ensures prompt identification of potential risks, which is complimented by the continuous surveillance of business changes.

Overview

When logged in to the Accelerator platform, you will see four options in the menu under 'KYC Protect'.

Profiles

The Profiles page features a table displaying all profiles associated with the account, sorted by the 'Last Modified' date. You can refine and filter the table view to assist with workload prioritisation by changing the sort order, or searching for specific profiles. Additionally, you can seamlessly perform Assign and/or Delete operations directly from this page.

Jump to [Profiles List](#).

At the top of this page you will find a 'Business Report Search' tool for searching and viewing a company's Business Report. This is our suggested starting point to creating a KYC Protect profile.

Jump to [Profile Creation from a Business Report](#).

Screen

For quick AML screening of a business or individual, simply navigate to this page and enter the company or person's name. Upon clicking the search button, you will receive results that can be viewed in detail for comprehensive insights. AML Screening is also integrated into profiles, providing a seamless KYC Process.

Jump to [AML Screening](#).

Audits

Access a detailed audit trail of all activities within your account. Easily locate a specific action by applying filters to the audits table for efficient and targeted searches.

Jump to [Audits](#).

Uploads

Take advantage of the Uploads feature for efficient batch operations. You can upload files to create profiles or key parties in bulk, conduct AML Screening, add entities to AML Monitoring and / or KYC Monitoring, as well as perform bulk profile deletions.

Jump to [Uploads](#).

Core Features

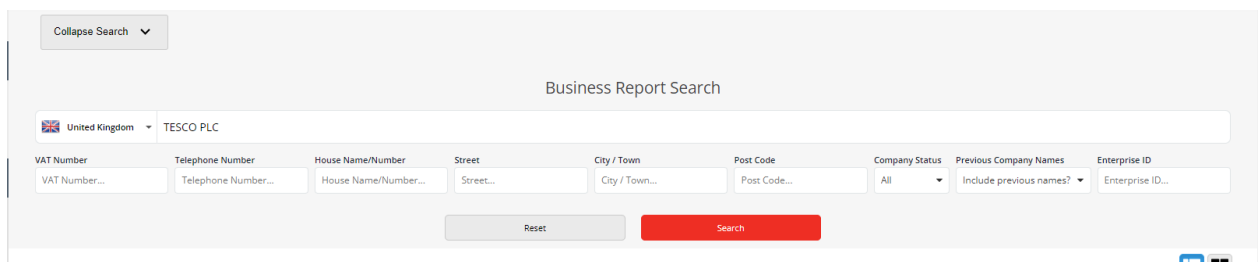
Profile Creation from Business Report

Use Creditsafe’s trusted business data to automatically create your KYC Protect Profiles from our business reports. Exporting our business report data to KYC Protect reduces time spent obtaining and populating data, helps eliminate data entry errors, ensures legal business data is used and centralizes information.

How to Export Business Report Data

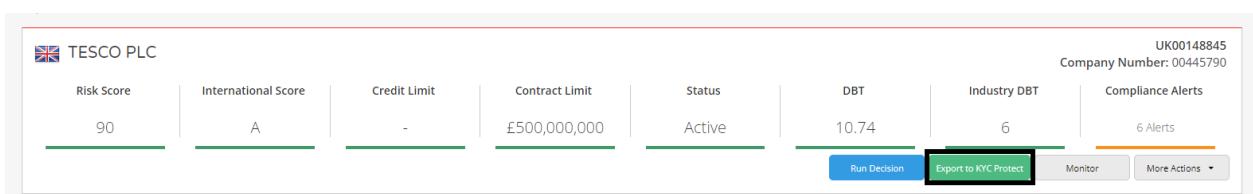
The first step in exporting business report data to a KYC Protect Profile is to identify the organisation you are performing KYC for

1. Select the ‘Profiles’ option in the menu
2. Search for the organisation using the search bar
 - a. Business reports can also be accessed from the Accelerator platform company search



3. The search bar will state what you can search by; this is typically the company name, Safe Number or Company Number
4. You can further refine your search with the advanced filters like VAT Number, Telephone Number, House Details, Street, City, Post Code, Company Status, Inclusion of Previous Company Names and Enterprise ID
5. Select the organisation in the search results
6. If you are unable to find the correct report, you may have to refine your results further with additional search filters

Once you have identified the correct report, click on the “Export to KYC Protect” button located at the top of the report



Creating a Profile from Business Report Data

Once you have selected the business report for exporting to KYC protect, you will be directed to create a KYC Protect profile

1. When creating a profile using business report data, you can select the data that you wish to be exported. Please note the following:
 - a. The business name within the report isn't editable during profile creation; however, it can be amended afterwards
 - b. You can select to import any of trading name, aliases, directors, shareholders and UBOs
 - c. We advise you review the data carefully, ensuring the checkboxes are selected for any required data; any missing or additional data can be added manually to the profile after creation

The screenshot shows the 'Create Profile' interface in the creditsafe system. The profile name is 'TESCO PLC'. Under 'Select Data', 'Business Name' is selected, 'Trading Name' is checked (showing 'TESCO PLC'), and 'Other Aliases' is checked (showing 'TESCO STORES (HOLDING)'). A table of directors is shown with 10 entries, each with a checked box. The 'Shareholders' and 'Ultimate Beneficiary Owners' sections are empty. A 'Create Profile' button is highlighted with a red box.

2. You will also be required to choose the profile name before creating a profile
 - a. The profile name will be auto populated based on the organisation's legal name; however, it can be amended
 - b. Profile names must be unique across your customer account and cannot exceed 150 characters
3. Once you are finished selecting the data to import, click on the 'Create Profile' button to complete the profile creation process
4. Post-profile creation, you will be redirected to newly created profile where you can make any necessary amends and updates

- a. A copy of the business report will be automatically attached to the profile

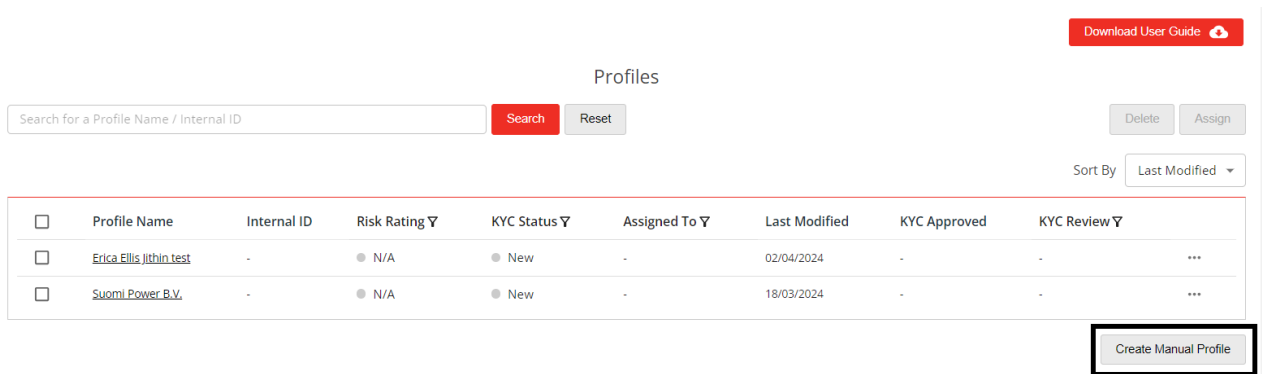
[Jump to Profile Management](#) to learn more about KYC Protect profiles.

Manual Profile Creation

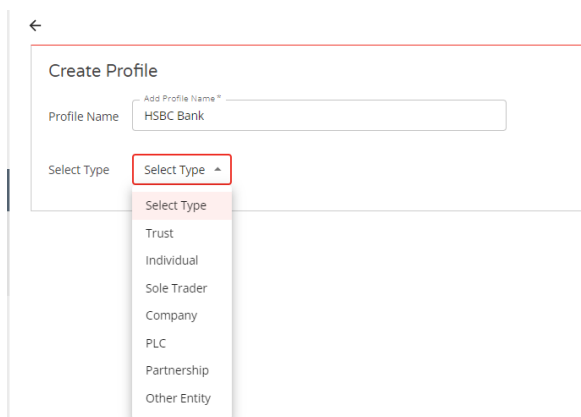
Profiles can be created manually for entities where a Creditsafe business report cannot be found. Manual profile creation provides a flexible approach to building profiles, allowing for customization based on the unique characteristics of each entity type.

How to Create a Profile Manually

1. Select the 'Profiles' option in the menu
2. Click 'Create Manual Profile' button
 - a. This is located below the table of profiles



3. You will be required to choose the profile name and profile type
 - a. We suggest choosing a name that is relevant to the organisation that the profile applies to
 - b. Profile names must be unique across your customer account and cannot exceed 150 characters
 - c. Available profile types: Trust, Individual, Sole Trader, Company, PLC, Partnership, Other Entity



4. A form will appear for you to provide relevant information for the profile
 - a. The form changes to match the selected profile type
5. Attachments can be uploaded to enhance the profile's documentation
 - a. These can also be uploaded after a profile has been created

6. Once you have completed the form, click on the 'Create Profile' button to complete the profile creation process
7. Post-profile creation, you will be redirected to newly created profile where you can make any necessary amends and updates

Profiles List

Profiles can be efficiently managed and reviewed directly from the KYC Protect dashboard

1. To access the list of your existing profiles, select the 'Profiles' option in the menu
2. The list includes essential information such as Profile Name, Internal ID, Risk Rating, KYC Status, Assigned To, Last Modified date, KYC Approved date and KYC Review date
3. On this list you can view all your profiles and filter on key attributes
 - a. This table can be used to help manage workflows; for example, filter the table by KYC Status 'Referred' and 'Assigned To' your user, and you have a prioritised list of profiles to be reviewed
 - b. You can locate a specific profile by searching for the Profile ID or Internal ID

Download User Guide

Delete Assign

Sort By Last Modified ▾

<input type="checkbox"/>	Profile Name	Internal ID	Risk Rating ▾	KYC Status ▾	Assigned To ▾	Last Modified	KYC Approved	KYC Review ▾
<input type="checkbox"/>	LOTUS BAKERIES UK LI	-	● N/A	● New	-	04/04/2024	-	-
<input type="checkbox"/>	HPK LTD	-	● Low	● Approved	Andrea Vaira	04/04/2024	03/04/2024	-
<input type="checkbox"/>	CBED LIM	-	● Very High	● New	Andrea Vaira	04/04/2024	-	-
<input type="checkbox"/>	TATA CONSULTING PRIVATE LIMITED	1234568900087	● Medium	● New	Venkat Surya Kiran	04/04/2024	-	29/04/2024

4. Profiles can be managed in bulk, allowing you to assign or delete multiple profiles at one
 - a. To delete or assign a profile, locate the ellipsis against the profile row; on click, you will see a menu with these actions
 - b. Use the checkboxes to the left of the table to manage multiple profiles together
 - c. When assigning profiles, an email notification will be sent to the assigned user
 - d. Deleted profiles cannot be recovered; when choosing to delete, you will be prompted to provide confirmation to avoid any mistakes

Profile Management

Profile Layout

The screenshot displays the KYC Protect profile management interface for 'LOTUS BAKERIES UK LIMITED'. The interface is divided into several sections:

- Header:** Includes the 'creditsafe' logo, a dropdown for 'United Kingdom', a search bar, and user account information (My Account ID: 101551117, English (IE), Sign Out).
- Left Navigation:** A sidebar menu with options: Home, Credit & Risk, Payments & Collections, Compliance, KYC Protect (selected), Profiles, Screen, Audits, Uploads, Sales & Marketing, and Bank Verification.
- Profile Header:** Shows the company name 'LOTUS BAKERIES UK LIMITED' with a pencil icon for editing. It includes buttons for 'Notes (0)' and 'Attachments (1)'. Key data points include:
 - Name: LOTUS BAKERIES UK LIMITED
 - Organisation Number: 05594818
 - Company ID: GB-0-05594818
 - Internal ID: LOTUS-109347
 - Risk: Very Low
 - Assigned to: Andrea Vaira
 - KYC Status: Pending on 02/04/2024
 - KYC Review: 30/04/2024
 - Comments: Reviewed on 01/03/2024 for Sanction checks - no...
 - Profile ID: 1f7be2af-6705-49b5-800b-4fccc08ea11
 - Created on: 02/04/2024
 - Last updated: 02/04/2024
 - Created by: jithin
- Business Details:** A tabbed section with 'Business' selected. It contains:
 - Turnover: 18550997 GBP
 - Description: Manufacture of bread
 - Organisation Number: 05594818
 - Listed on Exchange: No
 - Exchange: -
 - Profile Type: Public Limited Company (PLC)
 - Company ID: GB-0-05594818
 - International Score: -
 - Contact Name: -
 - Email: -
 - Website: www.lotusbakeries.com
 - Telephone: 0800834050
 - Internal Contact: -
 - Email: -
 - Registered Address: 51 FIRST FLOOR PREMISES, WATER LANE, WILMSLOW, CHESHIRE, SK9 5BQ, United Kingdom
- Footer:** Copyright information: © Creditsafe Business Solutions Limited | 02920 886500 | Cookie Settings | Contact Us, and a Help button.

In each KYC Protect profile there are various data points that can be updated, allowing you to manage your KYC process effectively and consistently.

A profile is divided into the below sections:

1. Profile Header Banner: Here you will find key data points relevant to the profile and its contents
2. Profile Details: The section is segregated into tabs as below, based on the type of profile created
 - a. Business: The Business tab offers a detailed snapshot of the company, including Turnover, Activity Code, Description, Organisation Number, Contact Details, and Addresses
 - i. This tab shows for Company, Trust, PLC, Partnership and Other Entity profile types

- b. Individual: The Individual tab offers a detailed snapshot of the company, including Name, Aliases, Country of Residence, Contact Details, and Addresses
 - i. This tab shows for Individual and Sole Trader profile types
- c. Key Parties: Linking Key Parties allows for a comprehensive evaluation of individuals and companies associated with the business
 - i. This tab shows for Company, Trust, PLC, Partnership, Other Entity and Sole Trader profile types (all except Individual profile type)
- d. UBOs: The list of Ultimate Beneficiary Owners belonging to the business is enlisted under UBOs tab
 - i. This tab shows for Company, Trust, PLC, Partnership, Other Entity and Sole Trader profile types (all except Individual profile type)
- e. Open Alerts: The list of all AML and KYC monitoring alerts related to the profile
 - i. AML Alerts will only show for entities on the profile that have been added to AML Monitoring, jump to [AML Monitoring](#) for more information
 - ii. KYC Alerts will only show for profiles that are created from business reports and have been added to KYC Monitoring. Jump to [KYC Monitoring](#) for more information
 - iii. This tab shows for all profile types
- f. Audits: Represents an audit trail of all actions performed in relation to the profile selected
 - i. This tab shows for all profile types

Profile Data Management

Profiles can be updated to ensure data is accurate and a source of truth for your KYC processes.

1. Editable data points on the profile will be highlighted with a pencil icon (e.g. Internal ID), drop down (e.g. risk), date field (e.g. KYC Review) or edit button (e.g. business details)
 - a. When clicking 'Edit', multiple data points will be available to update
2. Ensure you save required changes and add comments via the Notes functionality if additional information is required

Below we will outline editable areas on the profile and key information that you need to be aware of when making updates.

Profile Header

< Back to Profiles

LOTUS BAKERIES UK LIMITED ✎

Name	LOTUS BAKERIES UK LIMITED
Organisation Number	05594818
Company ID	GB-0-05594818
Internal ID	LOTUS-109347 ✎

Profile ID: 1f7be2af-67b5-49b5-800b-f4fccbd8ea11

Created on: 02/04/2024

Last updated: 02/04/2024

Created by: Jithin

Risk	● Very Low ▾
Assigned to	Andrea Vaira ✎
KYC Status	● Pending on 02/04/2024 ✎
KYC Review	30/04/2024 📅
Comments	Reviewed on 01/03/2024 for Sanction checks - no... ✎

Notes (0)

Attachments (1)

[+ Add to KYC Monitoring](#) ⓘ

The profile header highlights key information to help you quickly verify the profile being viewed. It also includes features to support you with your KYC process, such as KYC Review dates

1. Profile Name: The profile name must be unique across your customer account and cannot exceed 150 characters; we suggest choosing a name that is relevant to the organisation that the profile applies to
2. Name: Represents the legal name of the organisation or individual; this uses the same data from the details tab
 - a. This is auto populated when creating a profile from a business report
3. Organisation Number: Represents the company's Registration / Organisation Number; this uses the same data from the details tab
 - a. This is auto populated when creating a profile from a business report
4. Safe Number/Company ID: This is a unique identifier that Creditsafe maintains for each business report
 - a. This is auto populated when creating a profile from a business report and cannot be added manually or updated. If a safe number does not exist for the report, it will be replaced by a Company ID
5. Internal ID: Store an internal identifier to support workflows across your compliance and business risk tools, the Internal ID cannot exceed 150 characters
6. Risk: Assign a risk rating to the profile based on your risk appetite, from the values Very Low, Low, Medium, High and Very High
 - a. By default, the risk rating value for a new profile is N/A
7. Assigned To: Assign profiles for review, discussion, consistency checks, or approval
 - a. The colleague assigned to the profile will receive an email notification with a snapshot of the profile's details
8. KYC Status: Update the KYC Status of a profile, choosing from New, Pending, Referred, Approved, Cancelled, Closed, or Declined
 - a. If a profile was previously marked as 'Approved' and its KYC Review due date has passed, the status automatically updates to 'Approved, Review Due'; this automated update ensures ongoing compliance by flagging profiles requiring a periodic review
 - b. By default, the KYC Status value for a new profile is 'New'

- c. The date the KYC Status was last updated is also displayed

KYC Review: Set the date for the next KYC Review, in compliance with your internal procedures and timelines

- g. You can filter the list of profiles by the KYC Review date to help prioritise your workload

Comments: Add important comments here for quick visibility

- h. The comment in the profile header cannot exceed 250 characters
- i. Additional comments, updates and notes can be added via the notes feature

Profile Details

The tab will show as 'Business' for the following profile types: Company, Trust, Partnership, PLC, Other Entity

The tab will show as 'Individual' for the following profile types: Individual, Sole Trader

Business
Key Parties
UBOs
Open Alerts
Audits

Details
AML Screen

Edit
AML Screen

Name	LOTUS BAKERIES UK LIMITED	Turnover	18550997 GBP
Trading Name	LOTUS BAKERIES UK LIMITED	Description	Manufacture of bread
Aliases		Organisation Number	05594818
Activity	10710SIC07	Listed on Exchange	No
VAT No	GB896168761	Exchange	-

Business
Key Parties
UBOs
Open Alerts
Audits

Details
AML Screen

Name	<input type="text" value="LOTUS BAKERIES UK LIMITED"/>	Turnover	<input type="text" value="GBP"/> <input style="width: 100px;" type="text" value="18550997"/>
Trading Name	<input type="text" value="LOTUS BAKERIES UK LIMITED"/>	Description	<input type="text" value="Manufacture of bread"/> Help
Aliases	<input type="text" value="Add Alias"/> + Add Alias	Organisation Number	<input type="text" value="05594818"/>
Activity/SIC Code/NAICS	<input type="text" value="10710SIC07"/>	Listed on Exchange	<input checked="" type="radio"/> Yes <input type="radio"/> No
Formation Date		Exchange Name	<input type="text" value="London Stock Exchange"/>
VAT/TIN No	<input type="text" value="GB896168761"/>	Profile Type	Public Limited Company (PLC)
		Company ID	GB-0-05594818
		International Score	
Contact Name	<input type="text" value="Add Contact Name"/>	Email	<input type="text" value="Add Email"/>
Website	<input type="text" value="www.lotusbakeries.com"/>	Telephone	<input type="text" value="0800834050"/>
Internal Contact	<input type="text" value="Add Internal Contact"/>	Internal Email	<input type="text" value="Add Internal Email"/>

Cancel
Save

Business Profile Types Data

The below fields are available of profiles where the profile type is 'Company', 'Partnership', 'PLC' or 'Other Entity' (unless otherwise stated). All fields will be auto populated when creating a profile from the business reports where the data is available.

1. Name: If the legal name of the organisation has changed, you can manually update this on the profile; it cannot exceed 150 characters
2. Trading Name: If the trading name has changed, you can manually update this on the profile; it cannot exceed 150 characters
3. Aliases: Store any aliases that the organisation may be known under or is commonly referred as; aliases cannot exceed 150 characters
 - a. Aliases can be included in AML Screening, jump to [AML Screening](#) for more information.
4. Activity/SIC Code/NAICS: A standard industrial classification code that identifies a firm's primary business activity; it cannot exceed 150 characters
5. VAT/TIN No: A unique identification number required for every business enterprise registered under VAT.
6. Turnover: Turnover must be saved with the relevant currency code
 - a. Available currencies are European Euro (EUR), British Pound (GBP), US Dollar (USD), Chinese Yuan (CNY), Canadian Dollar (CAD), Australian Dollar (AUD), New Zealand Dollar (NZD), Indian Rupees (INR), Japanese Yen (JPY), Swiss Franc (CHF), South African Rand (ZAR), Danish Krone (DKK), Swedish Krona (SEK), Norwegian Krone (NOK)
7. Description: Use this field to store the activity description related to the standard industrial classification code
8. Organisation Number: Unique ID number for the business allotted by jurisdiction
9. Listed On Exchange: If the business/company is listed on a stock exchange
 - a. This is only applicable when profile type is Public Limited Company (PLC)
10. Exchange Name: The name of the stock exchange where the company is listed
 - a. This is only applicable when profile type is Public Limited Company (PLC)
11. Contact Name: Your point of contact for the organisation
12. Website: Website for the organisation if available
13. Email: Contact email address for the organisation
14. Telephone: Contact telephone number for the business
15. Internal Contact: The point of contact within your organisation managing the profile / organisation
16. Internal Email: The email address of the point of contact within your organisation managing the profile / organisation

The below fields are available of profiles where the profile type is 'Trust'.

1. Name: If the legal name of the Trust has changed, you can manually update this on the profile; it cannot exceed 150 characters
2. Trading Name: If the trading name has changed, you can manually update this on the profile; it cannot exceed 150 characters
3. Aliases: Store any aliases that the organisation may be known under or is commonly referred as; aliases cannot exceed 150 characters
 - a. Aliases can be included in AML Screening, jump to [AML Screening](#) for more information
4. Activity/SIC Code/NAICS: A standard industrial classification code that identifies a firm's primary business activity; it cannot exceed 150 characters
5. Turnover: Turnover must be saved with the relevant currency code
 - a. Available currencies are European Euro (EUR), British Pound (GBP), US Dollar (USD), Chinese Yuan (CNY), Canadian Dollar (CAD), Australian Dollar (AUD), New Zealand Dollar (NZD), Indian Rupees (INR), Japanese Yen (JPY), Swiss Franc (CHF), South African Rand (ZAR), Danish Krone (DKK), Swedish Krona (SEK), Norwegian Krone (NOK)
6. Assets Under Management: Assets Under Management must be saved with the relevant currency code
 - a. Same available currencies as Turnover (see above)
7. Description: Use this field to store the activity description related to the standard industrial classification code
8. Organisation Number: Unique ID number for the business allotted by jurisdiction
9. Contact Name: Your point of contact for the Trust
10. Website: Website for the Trust if available
11. Email: Contact email address for the Trust
12. Telephone: Contact telephone number for the Trust
13. Internal Contact: The point of contact within your organisation managing the profile / Trust
14. Internal Email: The email address of the point of contact within your organisation managing the profile / Trust

Individual Profile Types Data

The below fields are available of profiles where the profile type is 'Individual':

1. Name: If the name is incorrect, you can manually update this on the profile; it cannot exceed 150 characters
2. Aliases: Store any aliases that the individual may be known under or is commonly referred as; aliases cannot exceed 150 characters
 - a. Aliases can be included in AML Screening, jump to [AML Screening](#) for more information
3. Date of Birth: Add the Date of Birth for the individual
4. Country of Residence: Select the current country of residence; you can search or scoll for the country
5. Contact Name: Your point of contact for the Trust
6. Email: Contact email address for the Trust

The below fields are available of profiles where the profile type is 'Sole Trader':

1. Name: If the legal name of the Sole Trader has changed, you can manually update this on the profile; it cannot exceed 150 characters
2. Trading Name: If the trading name has changed, you can manually update this on the profile; it cannot exceed 150 characters
3. Aliases: Store any aliases that the individual may be known under or is commonly referred as; aliases cannot exceed 150 characters
 - a. Aliases can be included in AML Screening, jump to [AML Screening](#) for more information
4. Activity/SIC Code/NAICS: A standard industrial classification code that identifies a firm's primary business activity; it cannot exceed 150 characters
5. Date of Birth: Add the Date of Birth for the individual
6. Turnover: Turnover must be saved with the relevant currency code
 - a. Available currencies are European Euro (EUR), British Pound (GBP), US Dollar (USD), Chinese Yuan (CNY), Canadian Dollar (CAD), Australian Dollar (AUD), New Zealand Dollar (NZD), Indian Rupees (INR), Japanese Yen (JPY), Swiss Franc (CHF), South African Rand (ZAR), Danish Krone (DKK), Swedish Krona (SEK), Norwegian Krone (NOK)
7. Country of Residence: Select the current country of residence; you can search or scoll for the country
8. Contact Name: Your point of contact for the Sole Trader
9. Email: Contact email address for the Sole Trader


Addresses

Registered Address Registered 
2 PORTMAN STREET
ENGLAND
W1H 6DU
United Kingdom

Other Addresses **Main Trading Address** 
2 Portman Street, LONDON, W1H 6DU
W1H 6DU
United Kingdom

1. Addresses are available for all profile types
2. You can add one registered address for a business / individual and multiple additional addresses (Trading, Residential, Postal, etc.)
3. For non-registered or 'Other Addresses', add a description to label the address type
 - a. The default description for these addresses is 'Other'

Edit Address ✕

Building Number / Name Add Building Number / Name
2 Portman Street, LONDON, W1H 6DU 

Street Add a Street

City / Town Add a City / Town

Region Add a Region

Postal Code Add a Postal Code
W1H 6DU

Country Select Country *
United Kingdom ▼

Description Add an address description
Main Trading Address

Cancel Save



Key Parties

The screenshot displays the 'Key Parties' section for the company 'LOTUS BAKERIES UK LIMITED'. The interface is divided into a sidebar on the left and a main content area. The sidebar contains navigation options: Home, Credit & Risk, Payments & Collections, Compliance, KYC Protect (highlighted), Sales & Marketing, and Bank Verification. The main content area shows the company profile for 'LOTUS BAKERIES UK LIMITED' with details such as Name, Organisation Number (05594818), Company ID (GB-0-05594818), Internal ID (LOTUS-109347), Risk (Very Low), Assigned to (Andrea Vaira), KYC Status (Pending on 02/04/2024), and KYC Review date (30/04/2024). Below the company profile, the 'Key Parties' section is active, displaying a list of individuals with their roles, addresses, and dates of birth. Each entry has an 'Edit' button. At the top right of the Key Parties section, there are 'Add New' and 'AML Screen' buttons. The footer contains copyright information and a 'Help' button.

Navigate to the 'Key Parties' section to review the list of current directors and shareholders associated with the company.

1. To manually add a related business entity or individual, click on the 'Add New' button within the Key Parties section.
 - a. A modal popup will appear with a form to input key details.
 - b. You can choose between adding a Business or an Individual.
2. Details of a Key Party can be edited by clicking the 'Edit' button.
 - a. The editable fields will show up, with the pre-existing values prepopulated.

- 3. To delete a Key Party, click 'Remove Key Party' in the edit view.
 - a. You must click the 'Edit' button for the option to delete a key party to be available.

Name	<input type="text" value="Mr Ken Murphy"/>	Address	<input type="text" value="Add Building Number / Name"/>
Gender	<input type="text" value="Male"/>		<input type="text" value="Add a Street"/>
 Date Of Birth	<input type="text" value="01/09/1966"/> 		<input type="text" value="Tesco House, Shire Park, Kestrel Way"/>
Role	<input type="text" value="DIRECTOR"/>		<input type="text" value="Add a City / Town"/>
			<input type="text" value="Welwyn Garden City"/>
			<input type="text" value="Add a Region"/>
			<input type="text" value="Add a Postal Code"/>
			<input type="text" value="AL7 1GA"/>
			<input type="text" value="Select Country"/>

[Remove Key Party](#)

Notes

The screenshot shows the Graydon Creditsafe interface for a profile named 'Evraz NA'. The profile details include:

- Name: EVRAZ NORTH AMERICA PLC
- Organisation Number: 08311287
- Safe Number: -
- Internal ID: -
- Risk: N/A
- Assigned to: Aditi Jawade
- KYC Status: Referred on 11/10/2023
- KYC Review: MM/DD/YYYY
- Comments: -
- Profile ID: 5bddf47e-b225-48b0-89ed-88e27904b254
- Created on: 11/15/2023
- Last updated: 11/15/2023
- Created by: Supriya Shastri

The 'Notes' modal is open, showing a search bar and a list of notes:

- Search Notes: [input field] [Search] [Reset]
- View Archived: [dropdown]
- Note 1: Reviewed the business information on 27/3 - data is accurate. Initiated AML Screening. Added to Profile by Supriya Shastri (101551117) on 03/27/2024
- Note 2: Ran first round of AML Screening for all entities- setting Risk level to 'Medium'

Buttons for 'Cancel' and 'Add Note' are visible at the bottom of the modal.

You can add notes to document the KYC process.

1. To add a note, select the 'Notes' button
 - a. The button will include the count of all notes for that profile
 - b. You will be shown the list of all existing notes, with an open text field below to add any new notes
 - c. Notes cannot exceed 1000 characters
2. Saved notes are displayed with the details of who added it (name and Creditsafe user ID) and the date it was last modified

3. You can modify existing notes; saving changes to a note updates the date shown alongside notes
4. Notes can be archived and unarchived
 - a. Archived notes are hidden from the list of active notes; you can view all archived notes in a single list by selecting 'View Archived' when viewing notes
5. Notes can also be deleted
 - a. Removed notes cannot be recovered; when choosing to delete, you will be prompted to provide confirmation to avoid any mistakes

Attachments

[< Back to Profiles](#)

Evraz NA
Notes (0) Attachments (0)

Name: EVRAZ NORTH AMERICA PLC	Risk: N/A
Organisation Number: 08311287	Assigned to: -
Safe Number: UK08594606	KYC Status: New on 21/11/2023
Internal ID: -	KYC Review: DD/MM/YYYY
	Comments: -

Profile ID: 4f5a7a64-8e8e-40f9-b702-be572c97797d Last updated: 21/11/2023
 Created on: 21/11/2023 Created by: Supriya Shastri

[+ Add to KYC Monitoring](#)

Attachments

Date	File Name	Description	File Type	Uploaded By
21/11/2023	Org hierarchy.csv	Organisation Structure and hierarchy levels	Other	Supriya Shastri

Drop files to attach, or click to browse

Following file extensions are accepted: pdf, doc, docx, txt, xls, xlsx, jpeg or jpg, png, svg, csv, ods

File size is limited to 10 MB

Attached Documents (1)

DE_shareholders.xlsx	✖	Share Register	Shareholders' list with number of shares held and details
--------------------------------------	---	----------------	---

Cancel
Save to Profile

You can add attachments to a profile to document your due-diligence and KYC process.

1. To upload an attachment, select the 'Attachments' button
 - b. The button will include the count of all attachments for that profile
2. When uploading an attachment, you can either click to browse your files or drag and drop files
 - a. The following file extensions are supported: pdf, doc, docx, txt, xls, xlsx, jpeg, jpg, png, svg, csv and ods
 - b. Attachments must not exceed 10MB in size
3. Uploaded attachments must be assigned a document type; the available document types is dependent on the profile type
 - a. Company profile document types: Incorporation Documents, Registration Documents (Mem&Arts), Share Register, Communications, Structure chart, Meeting Minutes, Source of Funds, Questionnaire, Financials, Passport, National ID, Proof of Address and Other

- b. Trust: Trust deed, Structure Chart, Meeting Minutes, Communications, Source of Wealth, Source of Funds, Financials, Questionnaire, Passport, National ID, Proof of Address and Other
 - c. Individual: Passport, National ID, Proof of Address, Source of Wealth, Questionnaire and Other
 - d. Sole Trader: Passport, National ID, Proof of Address, Source of Wealth, Questionnaire, Financials and Other
 - e. Partnership: Incorporation Documents, Registration Documents (Mem&Arts), Share Register, Communications, Structure chart, Meeting Minutes, Source of Funds, Questionnaire, Financials, Passport, National ID, Proof of Address and Other
 - f. PLC: Incorporation Documents, Registration Documents (Mem&Arts), Share Register, Communications, Evidence of Listing, Meeting Minutes, Source of Funds, Questionnaire, Financials, Passport, National ID, Proof of Address, Group Structure Documentation and Other
 - g. Other Entity: Incorporation Documents, Registration Documents (Mem&Arts), Share Register, Communications, Structure chart, Meeting Minutes, Source of Funds, Questionnaire, Financials, Passport, National ID, Proof of Address and Other
- 4. An optional description can be added with the document
 - 5. Saved attachments are displayed with the details of who added it (name and Creditsafe user ID) and the date it was last modified, alongside the document details added during upload
 - 6. You can modify the description and file type of existing attachments; saving either of these changes updates the date shown alongside notes
 - a. File names cannot be updated; please ensure the document is named appropriately before uploading
 - 7. Attachments can be deleted if no longer required
 - a. Removed attachments cannot be recovered; when choosing to delete, you will be prompted to provide confirmation to avoid any mistakes
 - 8. You can download existing attachments; select the download icon alongside the document you wish to view

AML Screening

KYC Protect's in-built AML screening tool allows you to run AML checks on businesses and individuals. Results from AML screening can be stored against profiles in KYC Protect, allowing you to record your due diligence. Jump to [Profile AML Screening](#) for more information.

The AML screening process is pivotal for compliance as it allows you to proactively assess and mitigate potential risks associated with your customers or third-party entities. This step is crucial for fulfilling regulatory requirements and preventing involvement in financial crimes.

AML Screening Datasets / Categories

KYC Protect provides a robust list of AML datasets to be screened for. The datasets included in an AML screening search can be customised based on your specific risk appetite and needs. The datasets available are as follows:

1. Sanction – Current (Global): Any individual or entity that is subject to sanctions by either the European Union, the United Nations, the United States Office of Foreign Assets Control and State Department and Her Majesty's Treasury in the United Kingdom.
2. Sanction - Previous (Global): Any individual or entity that has formerly been subject to sanctions by either the European Union, the United Nations, the United States Office of Foreign Assets Control and State Department and Her Majesty's Treasury in the United Kingdom.
3. Enforcement (Global): Any individual or entity that has been named in official documentation from Law Enforcement bodies such as the Police or any other agency such as Interpol or the FBI. Also, those individuals and entities cited in Court and legal documents of that nature.
4. Insolvency Register (UK businesses only): Any individual that has been declared bankrupt or insolvent.
5. State-Owned Enterprise (Global): Any entity that is created or owned in whole or in part by a single government, or in cooperation with other governments, that undertakes activities for a specific commercial purpose on behalf of its investor states.
6. Politically Exposed Person (Global): Any individual that is considered a Politically Exposed Person, from Head of State to Members of Parliament, Members of the Board of State-Owned Enterprises or Ambassadors and individuals representing their countries interests abroad.
7. Disqualified Director (UK persons only): Any individual that has been disqualified as acting as a director of a company.
8. Profile of Interest (Global): Any entity or individual typically involved in criminal activities, and suspicious activity has been found in the past. They may have been involved in court proceedings, had previous criminal allegations, or been involved in financial crimes such as money laundering and terrorist financing.
9. Adverse Media (Global): Any individual or entity reported in global newspapers, news sites or other media as involved in financial crime.

KYC Protect also enables screening by PEP Tiers to select PEP data of interest based on your risk appetite.

1. PEP Tier 1: Encompasses heads of state, government members, military and law enforcement leaders, top judiciary members, officials in courts of auditors and central banks, Members of Parliament, and top officials in mainstream political parties, distinguishing them from minor parties without parliamentary representation.
2. PEP Tier 2: Encompasses members of regional legislative and executive bodies, judges at regional levels, ambassadors, and diplomatic officials. It also includes leaders in international/regional organizations, presidents/chairpersons and board members of State-Owned Enterprises, businesses, and organizations. Additionally, heads and senior members of mainstream religious groups and mayors of global capital cities, including those directly appointed and accountable to the Chinese central government, fall under this category.
3. PEP Tier 3: Includes mid-ranking officials in the military, judiciary, law enforcement, central banks, and other state agencies, with specific designation and level determined by the country's ML/TF and corruption risks profile. It also covers heads and board members of Trade Unions, presidents, secretary generals, directors, and board members of international NGOs. Additionally, it encompasses middle-ranking diplomats, alternate/deputy members of parliament/senate, mayors and local council members at municipal levels, and senior civil servants at regional/provincial or equivalent levels, including officials in administrative bodies at the local level.
4. PEP-Linked: Includes family members, personal associates, and business associates of PEPs, serving on boards alongside them. Close associates, as per FATF, encompass known partners, prominent members of the same political party or civil organization, and business partners who share beneficial ownership of legal entities or have other connections with the PEP.

Profile AML Screening

AML screening functionality is integrated within KYC profiles, automatically saving results alongside the screened entity. AML screening can also be undertaken outside of a profile, jump to [Independent AML Screening](#) for more information.

We advise that you perform all AML Screening on a profile as this reduces the risk of gaps or missing documentation within your KYC process. To run AML Screening, follow these steps:

1. Initiate the AML screening process by clicking on the 'AML Screen' button within the 'Business' or 'Individual' tab (dependent on profile type)
2. In the modal that appears, select the names and any aliases for screening and choose the desired match percentage to determine the screening threshold.
 - a. The match percentage screening threshold is a score indicating the similarity between search parameters and potential hits
 - i. It doesn't guarantee an exact match; a 100% match doesn't confirm complete identity alignment, only alignment with specified parameters.
 - b. Higher percentages yield more precise results.
3. Configure AML categories and category status for screening, with the option to include all categories.
 - a. When screening an Individual, you will also be able to customise the PEP Tiers to screen for
 - b. See [AML Screening Datasets / Categories](#) above for a description of each category and PEP tiers.
4. Initiate the screening process by clicking on the 'Screen' button.
5. The system will prompt you with the number of credits your account will be charged for running the screening.

AML Screening for a Business:

AML Screen

Business Names & Aliases ✓ Select All ^

- ✓ TESCO PLC
- ✓ TESCO STORES (HOLDINGS) PUBLIC LIMITED COMPANY

Selected Match %: 75

AML Categories ✓ Select All ^

- ✓ Sanctions
- ✓ Enforcement
- ✓ Insolvency Register
- ✓ State Owned Enterprise
- ✓ PEP
- ✓ Profile of Interest
- ✓ Adverse Media

AML Category Status ✓ Select All ^

- ✓ Current
- ✓ Former

You will be charged credits for 2 entities Screen

AML Screening for an Individual:

AML Screen

Names & Aliases ✓ Select All ^

Vijay Mallya

Selected Match %: 90

Select Gender:

Not Specified Male Female

AML Categories ✓ Select All ^

<input checked="" type="checkbox"/> Sanctions	<input checked="" type="checkbox"/> Enforcement	<input checked="" type="checkbox"/> Insolvency Register
<input checked="" type="checkbox"/> Disqualified Director	<input checked="" type="checkbox"/> PEP	<input checked="" type="checkbox"/> PEP Linked
<input checked="" type="checkbox"/> Profile of Interest	<input checked="" type="checkbox"/> Adverse Media	

AML Category Status ✓ Select All ^

Current Former

PEP Tier ✓ Select All ^

PEP Tier 1 PEP Tier 2 PEP Tier 3

You will be charged credits for 1 entities Screen

Review AML Screening Results

In-depth analysis and review of screening results contribute to the precision and effectiveness of AML compliance measures.

1. After completing the screening, you will be directed to a screen displaying your AML Screening searches
2. Expand the row to access a table of detailed results for each AML Screening search
3. The results will be displayed segregated into three categories- Open Matches, True Matches and Discarded Results
 - a. All search results will initially sit under 'Open Matches' tab
 - i. Open Matches are AML screening results that have not been manually verified as a True Match or False Positive
 1. See [Analyse and Update Match Decisions](#) below on verifying matches
 - ii. True Matches are AML screening results that have been manually verified as a True Match and that you wish to keep a record of on the profile
 - iii. Discarded Results are AML screening results where a previous match is rechecked (as part of AML Monitoring) and is no longer valid, usually because the match percentage is 0 or falls below the minimum requirement, leading to it being marked as Discarded
4. For a more in-depth analysis, click on the 'View Details' button against a search result, leading to a new page with comprehensive data

Name	Country/ Location(s)	Categories	Match %	Match Decision
All <input checked="" type="checkbox"/> <input type="checkbox"/>				
Tesco Plc	United Kingdom	PEP-LINKED ENF AM	100	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Tesco Stores Limited	United Kingdom	ENF AM	100	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Tesco (Cheshunt) Limited	United Kingdom	INS	98	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Tesco (Wholesale) Limited	United Kingdom	INS	98	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Tesko Ltd	United Kingdom	INS	98	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Tesco Services Limited	United Kingdom	INS	97	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Tesko Group Limited	United Kingdom	INS	95	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Desco	Bangladesh	POI	93	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Dhaka Electric Supply Company Limited	Bangladesh	PEP-LINKED SOE-CURRENT	93	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details
Tesco Bank	United Kingdom	ENF	92	<input checked="" type="checkbox"/> <input type="checkbox"/> Add Note View Details

Save Decision Prev 1 2 Next

Analyse and Update Match Decisions

Analysing and updating match decisions ensures accurate identification of potential risks and allows you to only store relevant results on a profile for monitoring (jump to [AML Monitoring](#)) and audit purposes.

1. When reviewing screening results (see above), you have the option to mark any 'Open Alerts' as a True Match or False Positive
 - a. If a result is deemed relevant, mark the 'Match Decision' for that result as a True Match, by selecting the tick icon
 - b. If the result is not relevant / accurate, mark the 'Match Decision' for that result as a False Positive, by selecting the cross icon
 - c. You can select all results using the 'All' tick and cross icons; you can also multi-select multiple results
 - d. We advise adding a note to document findings while marking a search result to support later auditing
2. Ensure you save any decisions by clicking on the 'Save Decision' button
3. The matches that have been marked as a True Match, will move under the 'True Matches' tab
 - a. To view them at a later stage or modify the corresponding note, navigate to 'True Matches' tab
4. Any matches marked as 'False Positive' are removed from the profile and cannot be recovered
 - a. If you accidentally match a result as False Positive, we advise removing the AML screening search and rescreening the entity to refresh the results
5. If the match percentage for a search result is 0, a discard icon is displayed as a match decision option
 - a. If the result is no longer relevant, mark it as 'Discarded'
 - b. The result will be moved under the 'Discarded Results' tab
6. You can also manage screening results across the entire profile in the Open Alerts tab
 - a. Jump to [Open Alerts](#) for more information

Name	Country/ Location(s)	Categories	Match %	Match Decision	
All <input checked="" type="checkbox"/> <input type="checkbox"/>					
Tesco PLC	United Kingdom	PEP-LINKED ENF AM	100	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Tesco Stores Limited	United Kingdom	ENF AM	100	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Tesco (Cheshunt) Limited	United Kingdom	INS	98	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Tesco (Wholesale) Limited	United Kingdom	INS	98	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Tesko Ltd	United Kingdom	INS	98	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Tesco Services Limited	United Kingdom	INS	97	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Tesko Group Limited	United Kingdom	INS	95	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Desco	Bangladesh	POI	93	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Dhaka Electric Supply Company Limited	Bangladesh	PEP-LINKED SOE-CURRENT	93	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details
Tesco Bank	United Kingdom	ENF	92	<input checked="" type="checkbox"/> <input type="checkbox"/>	Add Note View Details

Save Decision Prev 1 2 Next

Manage AML Screening Searches

Efficient search management ensures prioritisation and categorisation of risks, promoting a collaborative and accountable approach to compliance.

1. Enhance your search management capabilities by assigning each search a 'Risk' value
 - a. This helps prioritize and categorise the level of risk associated with each search
2. Assign a 'Status' to each search, indicating its current state or progress in the screening and analysis process
3. Improve collaboration within your organization by assigning searches to specific individuals
 - a. This ensures accountability and streamlines the workflow
 - b. Assigned users will receive an email notification with a snapshot of the AML screening search details

Created on	Business Name	Reasons Listed	Risk	Status	Assigned to	Monitoring
21/11/2023	TESCO STORES (HOLDINGS) PUBLIC LIMITED COMPANY	SAN-CURRENT SAN-FORMER ENF INS SOE-CURRENT SOE-FORMER PEP POI AM	Medium	Approved	Chris McKay	Add

Key Parties / UBOs AML Screening

AML Screening capabilities are also available for Key Parties and UBOs and results can be saved to the profile for a complete and comprehensive review.

1. To perform AML screening for Key Parties, click on the 'AML Screen' button within the Key Parties tab
 - a. The same button is present within the UBOs tab

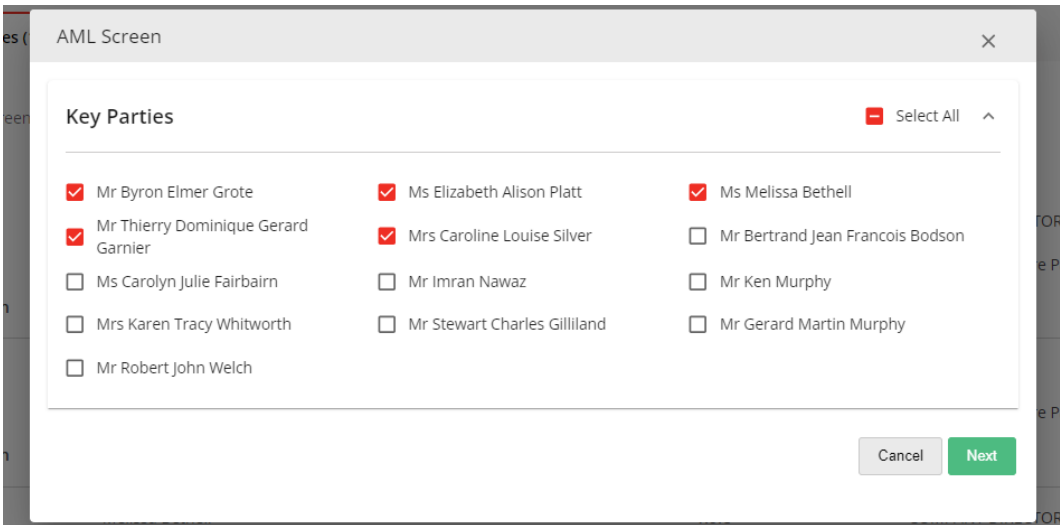
Business **Key Parties (13)** Open Alerts (98)

Details AML Screen

Name	Byron Elmer Grote	Role	COMPANY DIRECTOR
Gender	Male	Address	Tesco House, Shire Park, Kestrel Way Welwyn Garden City AL7 1GA

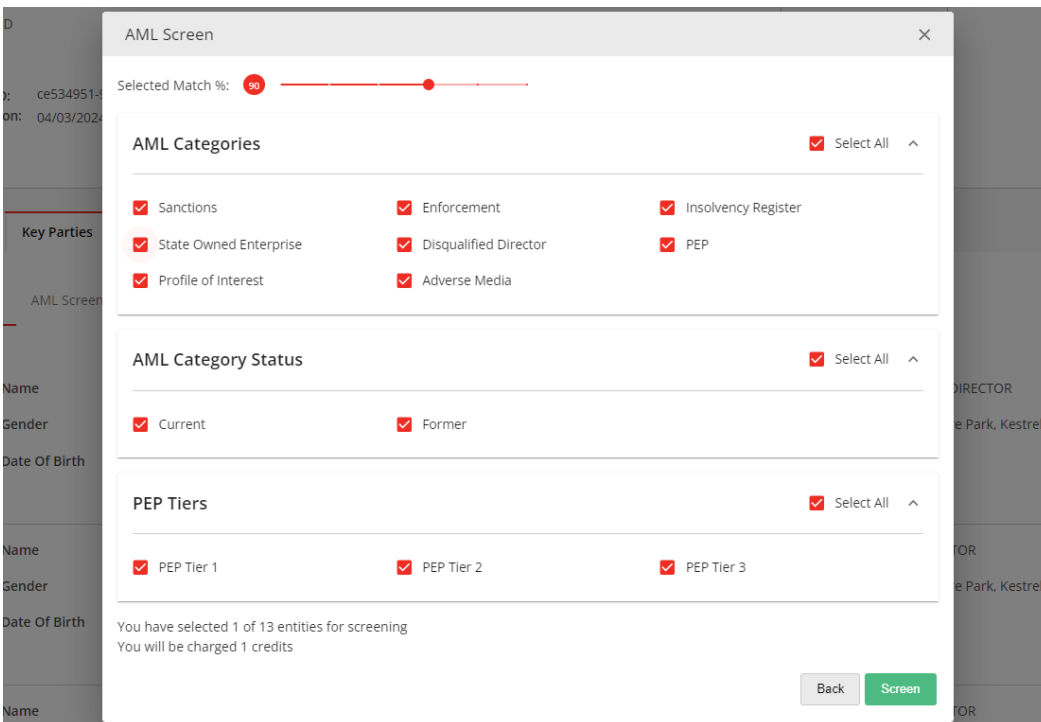
AML Screen

2. A modal popup will appear, listing all Key Parties linked to the profile
3. You can choose multiple Key Parties for AML screening, using the checkboxes for selection
4. After making your selection, click the 'Next' button to proceed with the AML screening configuration



Configure Screening Parameters

1. Choose the desired match percentage to determine the screening threshold
 - a. Higher percentages yield more precise results
2. Configure AML categories, category status and PEP tiers for screening, with the option to include all categories
 - a. See [AML Screening Datasets / Categories](#) above for a description of each category and PEP tiers
3. The system will prompt you with the number of credits your account will be charged for running the screening
4. Initiate the screening process by clicking on the 'Screen' button



Review Search Results

After completing the screening, you will be directed to a screen displaying your AML Screening searches. This the same process experience when screening the main business or individual the profile relates to.

For details on how to manage this process, jump to [Review AML Screening Results](#).

Created on	Name	Date of Birth	Gender	Reasons Listed	Risk	Status	Assigned to	Monitoring
19/10/2023	Mr Byron Elmer Grote	-	-	SAN ENF INS DD PEP POI AM	N/A	New	-	Add
Name	Country/ Location(s)	DOB	Gender	Categories	Match %	Match Decision		
All							✓	✗
Byron Grote	United Kingdom	-	Male	POI	87	✓	✗	Add Note View Details
Domenic Grande	United States of America	01/01/1979	Male	ENF AM	84	✓	✗	Add Note View Details
Byron Elder	United States of America	01/01/1976	Male	ENF AM	77	✓	✗	Add Note View Details
Christopher Byron Fritchie	United States of America	01/01/1972	Male	ENF AM	77	✓	✗	Add Note View Details
Save Updates								
19/10/2023	Ms Elizabeth Alison Platt	-	-	SAN ENF INS DD PEP POI AM	N/A	New	-	Add
19/10/2023	Ms Melissa Bethell	-	-	SAN ENF INS DD PEP POI AM	N/A	New	-	Add
19/10/2023	Mr Thierry Dominique Gerard Garnier	-	-	SAN ENF INS DD PEP POI AM	N/A	New	-	Add

You can only have one AML screening search per entity; this applies to the business or individual, Key Parties and UBOs. If you want to re-run screening for a record, you must remove the AML screening search and rescreen the entity to refresh the results.

If you have selected more than five entities to be included in a single AML screen, the screening process will be executed in the background to avoid any slowness for you while using KYC Protect. The AML screening results will be displayed under the 'AML Screen' tab when completed.

AML screening that includes five or less entities is instantaneous, and results will appear in the 'AML Screen' tab immediately.

To view the status of an AML screening search that is not instantaneous (i.e. includes more than five entities):

1. Click the 'View Screening Status' button in the top right of the AML Screen tab
2. A modal is displayed with the screening ID (this is internal to Creditsafe and allows us to support you if there are any issues), the date it was created and its completion status

Independent AML Screening

For added flexibility, KYC Protect enables you to use the AML screening tool to assess for any businesses or individuals without adding them to a profile.

1. Navigate to the 'Screen' section within the menu to initiate the AML screening process
2. Choose whether you are conducting a screening for a Business or an Individual
 - a. Other than this selection, the AML screening options are the same as on the profile
3. Increase confidence or match relevancy scores by adjusting the Match Percentage toggle to the right for more precise results
4. Provide relevant search criteria, including Country selection, Name, and AML datasets to be screened against
 - a. See [AML Screening Datasets / Categories](#) above for a description of each category and PEP tiers
5. For business searches, ensure mandatory fields 'Company Name' and 'Categories' are filled
6. For individual searches, ensure 'First Name' or 'Initial' and 'Last Name,' along with 'Categories' are filled
7. Providing more details within the search criteria will yield more specific and targeted screening results

Analysing Search Results

Search results will appear directly under the criteria you inserted. For each possible match, you will see a row with the following attributes:

1. Name: Entity Name or Individual's Name
2. Person icon: This only shows for individual search results; shows a photograph of the related individual on hover (where available)
3. Country/Location(s): Lists all countries related to the entity or individual
4. DOB: This only shows for individual search results; lists the Date of Birth for the individual
5. Gender: This only shows for individual search results; lists the Gender for the individual
6. Category: The AML Category against which the result exists, e.g., Enforcement, Sanction, PEP (More information available [here](#))
 - a. Note that a result may exist for multiple categories

7. PEP Tier: The categorization of individuals as PEPs based on the level of risk they pose. This is broadly classified into three tiers:
 - a. Tier 1: Prominent figures representing an international body
 - b. Tier 2: Individuals holding a position at the national level
 - c. Tier 3: Officials holding a position at the state level, civil servants at the local level
 - d. More information available [here](#)
8. Match %: The % confidence / relevancy score based on your search criteria
 - a. It is important to note that a 100% match score does not indicate that the result is 100% the same person / business you are searching for; only that the parameters that you have populated have matched x% to these potential screening results
9. View Details: You may click on the 'View Details' button on the search result to view more details on categories, associations, images, addresses, and comments around the result as below
 - a. You can also view the list of sources and evidence for information displayed

The screening tool matches based on whether the entity searched is a business or an individual; it matches strong aliases or AKAs, date of birth (with a 12-month tolerance), country, and gender.

If some of the data needed to match is not available, the algorithm assumes a possible match.

EXAMPLE: A search for “Mohamed Ali” with no residential country but with a date of birth and a Director of a UK company gives a 100% match score. Mohamed Ali is a common name, and often regulators do not store the date of birth of people on watch lists. The address of his work is also not considered as it is not a confirmed legal personal residence. A 100% match score does not mean the Director in question is the person on the watchlist; it states that this is a potential match that meets the criteria of your search. You must look at the details of each potential record reported to discount.

Business Search Results:

Business Search

Select Country

United Kingdom

Company Name *

The Walt Disney Company Limited

Business Individual

Match % 🕒

90

Categories *

Insolvency Register, Sanctions, Enforceme...

Category Status 🕒

Select Category Status

Reset
Search

Name	Country/Location(s)	Category	Match %	View Details
The Walt Disney Company Limited	United Kingdom	Enforcement	100	View Details
The Walt Disney Co.	-	Adverse Media	98	View Details

View Details:

[< Back to results](#)

The Walt Disney Company Limited

Enforcement

Film production company
 Film production company



- About**
- Contact & Addresses
- AML Categories
- Business Links
- Sources

Aliases -

Identifier(s) SIC Number - 90030
 Business Registration Status - Active
 Business Registration Date - 8 March 1954
 Business Registration Number - 00530051

Notes -

Individual Search Results:

Individual Search

Select Country
 United States of ...

Full Name *
 Elon Musk

Match %
 90

Date of Birth
 DD/MM/YYYY

Gender
 Male

Categories *
 Insolvency Register, Sanctions, Enforceme...

Category Status
 Select Category Status

PEP Tier
 Select PEP Tier

Reset Search

Name	Country/Location(s)	DOB	Gender	Category	PEP Tier	Match %
Elon R Musk	States of America	01/01/1971	Male	Enforcement Adverse Media	-	100

Download Reports

Add to Profile

View Details:

[< Back to results](#)

Elon R Musk


Nationalities: United States of America

Gender: Male

Date(s) of Birth: 01/01/1971

Deceased: No

Date(s) of Death: -



About | Contact & Addresses | AML Categories | Business Links | Individual Links | Sources

First Name	Elon
Middle Name	R
Last Name	Musk
Aliases	Elon Musk - Name Spelling Variation
Identifier(s)	-
Notes	-

Add AML Screening Search to a Profile

To enhance your compliance workflow and gain deeper insights, it's beneficial to integrate your 'AML Screen' search results with a profile within the KYC Protect. To seamlessly integrate your search with specific profiles within the application, follow these steps:

1. Upon conducting a search using the 'AML Screen' feature, locate and click the 'Add to Profile' button displayed on the AML Screen page
2. You will be directed to a new page where you have two options:
 - a. Select an existing profile from the list to link your search
 - b. Manually create a new profile by completing the designated form, specifying the profile type you wish to establish, and save your search to it

By following this process, you can efficiently manage and organize your AML screening results within the desired profiles.

AML Monitoring

KYC Protect offers AML monitoring services, updating you daily if any of your monitored profiles have new AML results.

Through our platform, you can actively track and scrutinize various data points to detect any suspicious activities promptly. This consistent vigilance is essential for meeting regulatory requirements and protecting against illicit financial behaviors. Failure to implement robust AML monitoring mechanisms may expose businesses to legal consequences, damage their reputation, and result in financial repercussions.

1. AML Monitoring must be added separately for each AML screening search on the profile that you wish to monitor
 - a. You cannot currently add the entire profile and its related entities (Key Parties and UBOs) to AML Monitoring
2. AML Monitoring can only be added against an AML screening search
 - a. You must run AML Screening on an entity before adding to AML Monitoring
 - b. This allows us to only alerts you with new results returned after your initial screening

To add an entity and its AML screening search to AML monitoring:

1. In Business / Individual / Key Parties / UBOs section, navigate to the 'AML Screen' subtab
2. For the AML screening search, you are interested in monitoring daily, click the 'Add' button under the Monitoring column
 - a. If the entity you wish to monitor is not visible, you will need to perform AML screening first; select 'AML Screen' in the details tab and following the instructions [here](#)
3. In the modal that appears, choose the desired match percentage to determine the screening threshold and configure AML categories and category status for AML Monitoring, with the option to include all categories
 - a. The default settings are:
 - i. Match percentage threshold: 90%
 - ii. AML Categories: All
 - b. See [AML Screening Datasets / Categories](#) above for a description of each category
 - i. Note that PEP Current and PEP Former are also available here, in absence of the separate Current / Former Category Status filter
4. You can opt in to receive email notifications for AML Monitoring alerts
 - a. We advise using a shared mailbox where multiple users can have visibility of the alerts
 - b. You can add up to five email recipients

- c. You will receive a single daily email notification (if there are any alerts) that includes alerts for all AML screening searches added to AML Monitoring

Number of alerts generated in last 24 hours for your account: **26**

You have following alerts that require your attention as of **19/04/2024**:

Name	First Name	Middle Name	Last Name	Profile Name	Date Of Latest Alert	Number of Alerts
Citi bank				citibank	19/04/2024	14
Meta Platforms Inc				facebook	19/04/2024	5
	Bob	Allen	Iger	Disney International	17/04/2024	4
Lotus Bakeries UK Limited				Lotus Bakeries	14/04/2024	3

If you have any questions or require further assistance please contact help@creditsafeuk.com

5. Once you are satisfied with your configuration, click the 'Save' button
 - a. The 'Add' button you clicked to initiate this process (see step 2 above) will now be green with the text 'Monitored' to make it easy to establish which AML screening searches have been added to AML Monitoring
6. You can modify the monitoring criteria at any time by clicking the 'Monitored' button and updating the screening threshold or the AML Categories / Category Status.
 - a. You can also add or remove the email recipients to receive the alerts daily email notification
7. If the entity is no longer required to be monitored for AML, you can remove it by clicking the 'Monitored' button and select 'Remove'
8. The screening process will run daily
9. New AML Screening alerts will be displayed under the 'Open Matches' category of the table. For details on how to manage open alerts, jump to [Review AML Screening Results](#)
 - a. Alternatively, you can view all Open Alerts for a profile in the 'Open Alerts' tab, jump to [AML Monitoring Open Alerts](#) for more information

KYC Monitoring

Our KYC monitoring service ensures that businesses receive timely KYC alerts whenever there are changes in the Know Your Customer (KYC) information associated with their clients or partners. With our system, users can effortlessly track and manage KYC-related updates, such as changes in international rating, beneficial ownership details, or other pertinent information. By receiving real-time alerts, businesses can promptly review and verify the accuracy of the information provided, thereby mitigating the risk of fraudulent activities and enhancing regulatory compliance.

KYC Monitoring is only available on profiles created from business reports for 44 countries. It is not available on manually created countries.

Profiles created from business reports for the below countries are supported for KYC Monitoring:

Afghanistan, Austria, Bosnia and Herzegovina, Belgium, Bulgaria, Canada, Switzerland, Czech Republic, Germany, Denmark, Estonia, Spain, Finland, France, United Kingdom, Croatia, Hungary, Ireland, Italy, Japan, Cambodia, South Korea, Laos, Liechtenstein, Luxembourg, Latvia, Moldova, Montenegro, North Macedonia, Myanmar (Burma), Malaysia, Netherlands, Norway, Poland, Romania, Serbia, Sweden, Slovenia, Slovakia, Thailand, Ukraine, United States, Vietnam, and Kosovo.

Adding to KYC Monitoring

1. On the profile page in the profile header, select the 'Add to KYC Monitoring' button to start the KYC monitoring process
2. When a profile is added to KYC Monitoring, a 'Monitored' label with an active green circle will appear on the left side of the profile page
 - a. This allows for quick visualisation of profiles in KYC Monitoring
 - b. The button text will also update to 'Remove from KYC Monitoring'

TATA CONSULTING LIMITED

Notes (0) Attachments (1)

Name	TATA CONSULTING ENGINEERS LIMITED	Risk	● High
Organisation Number	-	Assigned to	-
Company ID	GB-0-FC036415	KYC Status	● Declined on 03/04/2024
Internal ID	-	KYC Review	11/04/2024
Profile ID: 7dc13160-ae36-4562-86b7-f36dc0153eb9		Last updated: 03/04/2024	
Created on: 03/04/2024		Created by: Sharanya Vemula	

Comments Testing

[+ Add to KYC Monitoring](#)

TATA CONSULTING LIMITED

Notes (0) Attachments (1)

Name	TATA CONSULTING ENGINEERS LIMITED	Risk	● High
Organisation Number	-	Assigned to	-
Company ID	GB-0-FC036415	KYC Status	● Declined on 03/04/2024
Internal ID	-	KYC Review	11/04/2024
Profile ID: 7dc13160-ae36-4562-86b7-f36dc0153eb9		Last updated: 03/04/2024	
Created on: 03/04/2024		Created by: Sharanya Vemula	

Comments Testing

[X Remove from KYC Monitoring](#)

[● Monitored](#)

3. You can stop KYC Monitoring by clicking on the 'Remove from KYC Monitoring' button
4. The KYC monitoring process will run daily
 - a. You will receive a daily email notification (if there are new alerts) that includes alerts for all business profiles added to KYC Monitoring, assigned to you.
 - i. The alerts contain the summary of KYC Change in the company i.e., the KYC event, the previous and new values for the data point that has changed

KYC Monitoring Alert Notification 19/04/2024

Number of alerts generated in last 24 hours for your account: 2

You have following alerts that require your attention as of 19/04/2024:

Date	Profile Name	Safe Number	Event	Previous Value	New Value
19/04/2024	citibank	UK16575956	Director	-	J.D. Bardrick
19/04/2024	facebook	UK13410670	Change of Name	Facebook	Meta Platforms Limited

If you have any questions or require further assistance please contact help@creditsafeuk.com

5. New KYC Monitoring alerts received will be displayed in the 'Open Alerts' tab, jump to [KYC Monitoring Open Alerts](#) for more information

Open Alerts

New alerts / results received from either AML Monitoring or KYC Monitoring, will appear in the Open Alerts tab.

AML screening results that have not had a match decision applied (True Match or False Positive) will also appear in the Open Alerts tab.

Open Alerts provides a single area to manage all AML Alerts and KYC Alerts for profiles.

We advise regularly checking for open alerts to ensure that necessary actions are taken promptly to maintain compliance.

(jump to [Analysing and Updating Match decisions](#) for more information on how to perform this)

AML Monitoring Open Alerts

The AML Alerts tab contains alerts generated when an AML screening result is returned, in both the initial screening search and for monitored searches. See [above](#) for details on AML Monitoring.

AML screening results that had a match decision (True Match or False Positive) will not appear here.

The detailed information provided in AML Alerts allows for a quick overview, aiding in prioritizing and efficiently managing alerts that require action.

1. When reviewing screening results, you have the option to mark any 'Open Alerts' as a True Match or False Positive
 - a. If a result is deemed relevant, mark the 'Match Decision' for that result as a True Match, by selecting the tick icon
 - b. If the result is not relevant / accurate, mark the 'Match Decision' for that result as a False Positive, by selecting the cross icon
 - c. You can select all results using the 'All' tick and cross icons
 - i. You can also multi-select multiple results for a 'Match Decision'
 - d. We advise adding a note to document findings while marking a search result to support later auditing
2. Ensure you save any decisions by clicking on the 'Save Decision' button
3. Once you have saved a decision, the AML alert will no longer show under Open Alerts
 - a. The matches that have been marked as a True Match, will move under the 'True Matches' tab for the related AML screening search
 - i. To view them at a later stage or modify the corresponding note, navigate to 'True Matches' tab
 - b. Any matches marked as 'False Positive' are removed from the profile and cannot be recovered

- i. If you accidentally match a result as False Positive, we advise removing the AML screening search and rescreening the entity to refresh the results
4. If the match percentage for a search result is 0, a discard icon is displayed as a match decision option
- a. If the result is no longer relevant, mark it as 'Discarded'
 - b. The result will be moved under the 'Discarded Results' tab

Business		Key Parties (13)		Open Alerts (98)	
AML Alerts		KYC Alerts			
Date	Name	Country/Locations(s)	Category	Match %	Match Status
					All <input checked="" type="checkbox"/> <input type="checkbox"/>
19/10/2023	Byron Grote	United Kingdom	POI	87	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	Domenic Grande	United States of America	ENF AM	84	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	Byron Elder	United States of America	ENF AM	77	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	Christopher Byron Fritchie	United States of America	ENF AM	77	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	Mark S Allison	United States of America	ENF	86	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	Mark Stephen Allison	United Kingdom	INS	86	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	ELIZABETH ALISON	United Kingdom	INS	86	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	Elizabeth Sele Mulbah	Liberia United States of America	PEP-FORMER	85	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	A Elizabeth	India	PEP-CURRENT	85	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details
19/10/2023	Elizabeth Allison	United Kingdom	INS	85	<input checked="" type="checkbox"/> <input type="checkbox"/> View Details

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KYC Monitoring Open Alerts

The KYC Alerts tab contains alerts generated when a KYC-related update is made to the business report for the organisation. See [above](#) for details on KYC Monitoring.

KYC Alerts offer a proactive approach to profile management, enabling users to manually update data points based on the alert information, thus ensuring the accuracy of profile data.

1. If your profile is added to KYC Monitoring, you will receive KYC Alerts to keep you informed about relevant changes
2. Access the KYC Alerts section to view alerts along with the date of generation, event type, and a description
3. Each alert includes details of the previous and new values of the data point that changed for your business
4. Modify the relevant data point in your profile manually based on the alert received to ensure your profile data remains accurate and up to date
5. Once you have updated the data on your profile, add a note (optional) and clear the alert to ensure only new and unactioned KYC alerts remain

Business		Key Parties (13)		Open Alerts (98)		
AML Alerts		KYC Alerts				
Please navigate to the relevant section of the profile and manually apply any changes required						
Date	Event	Description	Safe Number	Previous Value	New Value	
14/09/2023	Director(s)	Director's details changed for Mr Thierry Dominique Gerard Garnier on 2023-03-15	UK00148845	-	Nationality: French	Add Note & Clear
06/09/2023	Director(s)	New Board Member Ms C.J. Fairbairn appointed	UK00148845	-	Ms Carolyn Julie Fairbairn	Add Note & Clear
02/12/2022	Address	Register inspection address changed	UK00148845	Aspect House Spencer Road Lancing West Sussex BN99 6DA	Equiniti Highdown House Yeoman Way West Sussex BN99 3HH	Add Note & Clear

Audits

The Audits feature is designed to provide comprehensive oversight and accountability for all actions taken within KYC Protect. Whether it's creating, modifying or deleting records, or executing critical processes, every interaction is logged, time-stamped, and attributed to the responsible user. With a focus on transparency, this feature ensures full oversight of compliance activities, enhancing your ability to meet regulatory requirements with confidence.

You can view the audit log for an individual profile or for your whole account.

To view audit log for a profile:

1. Navigate to the 'Audits' tab on the profile
2. Select filters to refine the audit logs

The screenshot shows the KYC Protect interface for a profile named HARLEY-DAVIDSON EUROPE LIMITED. The top navigation bar includes the creditsafe logo, a dropdown for 'United Kingdom', a search bar, and user account information. The left sidebar contains a menu with 'KYC Protect' selected, showing sub-items like Profiles, Screen, Audits, and Uploads. The main content area displays profile details such as Name, Organisation Number, Company ID, and Internal ID. It also shows Risk (N/A), Assigned to (Aditi Jawade), and KYC Status (New on 01/04/2024). Below this, there are tabs for Business, Key Parties, UBOs, Open Alerts, and Audits. The Audits tab is active, showing a filter section with dropdowns for Category (Profile, AML Search), Subcategory (Profile details, Key Party, AML Monitoring), Action (Created, Updated, Deleted, Search Remov...), and Users (All Users). There are also date pickers for Start Date and End Date. Below the filter section is a table of audit logs with columns for Category, Subcategory, Action, Description, User, and Date.

Category	Subcategory	Action	Description	User	Date
AML Search	AML Monitoring	Added to AML Monitoring	Business search with Name: 'HARLEY-DAVIDSON EUROPE LIMITED' added to AML Monitoring for the profile 'HARLEY-DAVIDSON EUROPE LIMITED' [Match: '90', Country: '', AML Datasets: 'SAN, ENF, INS, SOE, PEP, POL, AM']	Rajeshkhar Vengaladasu (101565589)	01/04/2024
Profile	-	Created	Profile 'HARLEY-DAVIDSON EUROPE LIMITED' created.	Supriya Shastri (101551117)	01/04/2024

To view audit log for all activities performed in your account:

1. Navigate to the left menu and select 'Audits'
2. The Audits page displays a record of all activities performed by all users in the account

3. Select filters to refine the audit logs

creditsafe
United Kingdom Company Name / Safe Number / Company Number
Search
My Account ID:10155117 English (IE) Sign Out

- Home
- Credit & Risk
- Payments & Collections
- Compliance
- KYC Protect
 - Profiles
 - Screen
 - Audits
 - Uploads
- Sales & Marketing
- Bank Verification

Audits

Filter

Profiles
All Profiles

Category
Profile, AML Search

Subcategory
Profile details, Key Party, AML Monitoring

Action
Created, Updated, Deleted, Search Remov...

Users
All Users

Start Date
DD/MM/YYYY

End Date
DD/MM/YYYY

Reset Apply

Profile Name	Category	Subcategory	Action	Description	User	Date
EVRAZ NORTH AMERICAgcv PLC	Profile	-	Created	Profile 'EVRAZ NORTH AMERICAgcv PLC' created.	Aditi Jawade (101550907)	02/04/2024
FAN FAN PIZZA LTD	Profile	-	Deleted	Profile 'FAN FAN PIZZA LTD' deleted.	Sharanya Vemula (101562141)	02/04/2024
FAN FAN PIZZA LTD	Profile	-	Created	Profile 'FAN FAN PIZZA LTD' created.	Sharanya Vemula (101562141)	02/04/2024
jhcvj	Profile	-	Created	Profile 'jhcvj' created.	Aditi Jawade (101550907)	02/04/2024
KF & CO LTD	Profile	-	Attachment Updated	Profile 'KF & CO LTD' updated. Attached file: 'GB-0-08289443.pdf', Old Document Type: 'Report', Old Description: '', New Document Type: 'Report', New Description: 'nhghj'	Supriya Shastri (101551117)	02/04/2024
KF & CO LTD	Profile	-	Attachment Updated	Profile 'KF & CO LTD' updated. Attached file: 'GB-0-08289443.pdf', Old Document Type: 'Report', Old Description: '', New Document Type: 'Report', New Description: ''	Supriya Shastri (101551117)	02/04/2024
KF & CO LTD	AML Search	Key Party	Deleted	Individual search with Name: 'Mr Muhammad Aftab Iqbal' removed from 'Director' with Name: 'Mr Muhammad Aftab Iqbal' under Profile 'KF & CO LTD'	Rajashkhar Vengaladasu (101565589)	02/04/2024
KF & CO LTD	Profile	Key Party	Search Removed	Individual search with Name: 'Mr Muhammad Aftab Iqbal' removed from 'Director' with Name: 'Mr Muhammad Aftab Iqbal' under Profile 'KF & CO LTD'	Rajashkhar Vengaladasu (101565589)	02/04/2024
KF & CO LTD	AML Search	Key Party	Deleted	Individual search with Name: 'Mr Muhammad Aftab Iqbal' removed from 'Director' with Name: 'Mr Muhammad Aftab Iqbal' under Profile 'KF & CO LTD'	Rajashkhar Vengaladasu (101565589)	02/04/2024
KF & CO LTD	Profile	Key Party	Search Removed	Individual search with Name: 'Mr Muhammad Aftab Iqbal' removed from 'Director' with Name: 'Mr Muhammad Aftab Iqbal' under Profile 'KF & CO LTD'	Rajashkhar Vengaladasu (101565589)	02/04/2024

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Uploads

The batch uploads feature in our product enables users to efficiently create profiles, key parties, manage AML screening, monitoring and bulk deletions. It saves time, ensures compliance, and enhances data integrity, streamlining operations for maximum productivity and effectiveness.

File Name	Upload Date	Uploaded By	Row Count	Status
batch_upload_template (8).csv	03/04/2024	Supriya Shastri (101551117)	1	Completed
errors-BUTEST.csv	03/04/2024	Supriya Shastri (101551117)	2	Rejected
Supriya bu.csv	02/04/2024	Supriya Shastri (101551117)	3	Validating
batch_upload_template (48).csv	02/04/2024	Aditi Jawade (101550907)	29	Rejected
batch_upload_template (7) (version 1) (1).csv	02/04/2024	Aditi Jawade (101550907)	3	Validating
batch_upload_template (47).csv	01/04/2024	Aditi Jawade (101550907)	2	Rejected
LargeBatchUploadWithValidRows.csv	01/04/2024	Aditi Jawade (101550907)	144	Rejected
errors (12) 1.csv	01/04/2024	Rajashkhar Vengaladasu (101565589)	2	Rejected
test-break-scenario.csv	26/03/2024	Karthik Karanam (101551100)	9	Failed
BatchUploadWithProfileCreate_1_15K.csv	26/03/2024	Karthik Karanam (101551100)	15000	Insufficient Credits

Upload File

- Upload a populated .CSV file in UTF-8 encoding (Save As -> UTF-8). Limit: 15,000 records per file.
- Specify the action you want to achieve via upload from below, and add the relevant fields.
 - Profile: creates a new profile with the details provided.
 - KeyParty: create a new key party (director/shareholder/UBO) and adds it to an existing profile.
 - Search: create a new AML search, link it to a profile or a key party or add it to AML Monitoring.
 - Profile-delete: deletes the existing profile and all its associated searches, alerts and key parties.
- Pre-define screening threshold: 75/80/85/90/95/100. Unspecified records default to a 90% match score.
- For detailed guidance, refer to the [User Guide](#)

You can perform the following actions via the batch uploads function:

1. Create new profiles, including key parties and UBOs
2. Create new key parties (director/shareholder) and add to existing profiles
3. Create new UBOs and add to existing profiles
4. Create new AML screening searches and link to a profile or add to AML Monitoring
5. Delete existing profiles and all its associated key parties, UBOs, searches and alerts

To upload a batch file:

1. Select Uploads in the menu

2. Select the 'Upload file' button
 - a. A modal will open with basic instructions and a downloadable template
3. Upload a populated supported file (.CSV) in the same format as the template
 - a. All files must be provided in UTF-8 encoding (note: select Save As and select UTF-8) and are currently limited to 15000 records per file
 - b. You may download the template from the screen by clicking on the 'Download Template' button
 - c. Ensure the file size does not exceed 9 MB
4. When a file is uploaded, it will appear at the top of your list of uploads
 - a. The file name, upload date, details of who uploaded it, number of rows and status are shown
 - b. File names cannot be updated; please ensure the document is named appropriately before uploading
5. Refresh the screen to view an updated status of the batch upload
6. The upload can have one of the following statuses:
 - a. Submitted
 - i. This status shows immediately after uploading the file to the system
 - b. Validating
 - i. This status shows when the file is being validated for syntactical or conditional errors
 - c. Validated
 - i. This is a file that has passed through all validation checks
 - d. Queued
 - i. This file is queued to be picked up for processing in the background
 - e. In Progress
 - i. The actions specified in the file are in progress
 - f. Completed
 - i. This is a completed upload and all records in the file have been successfully processed
 - g. Partially Completed
 - i. This status shows when the file has successfully passed all validation checks, but some background processes have failed due to changes made simultaneously; e.g., You are adding key parties to a profile via batch uploads but have deleted the target profile from the application while the file is still being processed
 - ii. Next to the status is a download icon; selecting this will download your uploaded file with an error column appended detailing which rows have errors and the reason

- iii. An email notification will be sent to the person uploading the file, when the status is 'Partially Completed'
- h. Rejected
- i. This status shows when there are validation errors in the uploaded file
 - ii. If one or more rows are invalid, the whole file is rejected and not processed
 - iii. Next to the 'Rejected' status is a download icon; selecting this will download your uploaded file with an error column appended detailing which rows have errors and the reason
- i. Failed
- i. This status shows when the process fails due to transient issues
 - ii. Next to the 'Failed' status is a download icon; selecting this will download your uploaded file
- j. Insufficient Credits
- i. This status shows if you have insufficient credits to process the actions in the file, such as screening
 - ii. Please speak to your account manager to arrange for additional credits
 - iii. Once you have sufficient credits, select the 'Retry' option and the existing file will be processed

Template Sample for Profile Creation

category	profile_id	profile_type	profile name	internal_id	entity type	full_name	first_name	middle_name	last_name	aliases	gender	dob	country_code	threshold	datasets	pep_tiers	add_to_an	add_to_aml_monitoring	search_id	assign to
profile		plc	MONDELEZ		business	MONDELEZ UK LIMITED	Jack		Ma		male	1964-09-10	GB	90	SAN;ENF;INS;SOE;PEP;AM			yes		101551117
profile		individual	Jack Ma		individual								CN	95	POL;AM			yes		
profile		plc	Tesco		business	TESCO PLC							GB	75	SAN;ENF;INS;SOE			yes		101552134

Column Header 1: category

Description: The action you are trying to achieve via the upload functionality. You can choose to populate from below list of values

1. Profile: Creates a new profile with the details provided
2. KeyParty: Create a new key party (director/shareholder/UBO) and adds it to an existing profile
3. Search: Create a new AML search, link it to a profile or a key party or add it to AML Monitoring
4. Profile-delete: Deletes the existing profile and all its associated searches, alerts and key parties

Validation Rules:

1. This is a mandatory input
2. The category provided must match one of the values as specified above

Column Header 2: profile_id

Description: Profile ID is the unique guid identifier generated by the system, for every profile you create. It is displayed at the header of a profile page.

Usage: This column can be utilised to create a key party for an existing profile, link a search to an existing profile or to delete a profile.

Validation Rules:

1. This column can be populated when 'category' column is: keyparty/search/profile-delete.
2. The value provided must be a valid id.

Column Header 3: **profile_type**

Description: The type of profile being created can be chosen from the various templates provided on KYC Protect to manage relevant data points.

Usage: Sets the type for profile during creation process.

Validation Rules:

1. This column can be populated when 'category' column is: profile
2. This is mandatory input to create a new profile i.e., when 'category' is profile.
3. The value provided must be one of below:
 - a. Trust
 - b. Plc
 - c. Company
 - d. Individual
 - e. Sole trader
 - f. Partnership
 - g. Other Entity

Column Header 4: **profile_name**

Description: A unique name for the profile being created or the name of an existing profile.

Usage: If a profile is being created, your input will be utilised as the profile name. For other actions, the provided name will be used to identify the existing profile to perform the desired action on (add a key party to existing profile or delete the profile).

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/profile-delete
2. Maximum character limit is 150.
3. Value must be unique when creating a new profile i.e., when 'category' is profile

Column Header 5: **internal_id**

Description: A unique ID provided by you to be maintained for each profile.

Usage: If a profile is being created, your input will be utilised as the internal ID for the new profile. For other actions, the provided ID will be used to identify the existing profile to perform the desired action on (add a key party to existing profile or delete the profile).

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/profile-delete
2. Maximum character limit is 150
3. Value must be unique when creating a new profile i.e., when 'category' is profile

Column Header 6: **entity_type**

Description: Represents the type of entity being screened i.e., business or individual.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. This is a mandatory input
3. The value provided must be one of below
 - a. Business
 - b. Individual

Column Header 7: **full_name**

Description: Represents the full name of the business/person.

Usage: The value is utilised to set the full name for the business/individual if a profile or key party is being created and also to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. This is mandatory input.
3. Maximum character limit is 150
4. When 'category' value is 'profile', the full_name value will be used as the legal name for the business, and AML Screening will be performed on it.
5. When 'category' value is keyparty, the full_name value will be used as the legal name for the business or the name for the individual, and AML Screening will be performed on it.

6. When 'category' value is 'search', the full_name value will be used to run AML Screening.

Column Header 8: **first_name**

Description: Represents the first name of the person being added as a key party to the profile, or the person for whom the profile is created.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. If 'full_name' is not added, this is a mandatory input and should be provided in combination with 'last_name'.
3. Maximum character limit is 150
4. When 'category' value is 'profile' and 'profile_type' is individual/soleTrader, the first_name value will be used as the first name for the person, and AML Screening will be performed on it
5. When 'category' value is keyparty and 'entity_type' is individual, the first_name value will be used as the first name for the person, and AML Screening will be performed on it
6. When 'category' value is 'search' and 'entity_type' is individual, the first_name value will be used to run AML Screening

Column Header 9: **middle_name**

Description: Represents the middle name of the person being added as a key party to the profile, or the person for whom the profile is created.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. This is an optional input
3. Maximum character limit is 150
4. When 'category' value is 'profile' and 'profile_type' is individual/soleTrader, the middle_name value will be used as the middle name for the person, and AML Screening will be performed on it
5. When 'category' value is keyparty and 'entity_type' is individual, the middle_name value will be used as the middle name for the person, and AML Screening will be performed on it
6. When 'category' value is 'search' and 'entity_type' is individual, the middle_name value will be used to run AML Screening

Column Header 10: last_name

Description: Represents the last name of the person being added as a key party to the profile, or the person for whom the profile is created.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. If 'full_name' is not added, this is a mandatory input and should be provided in combination with 'first_name'.
3. Maximum character limit is 150
4. When 'category' value is 'profile' and 'profile_type' is individual/soleTrader, the last_name value will be used as the middle name for the person, and AML Screening will be performed on it
5. When 'category' value is keyparty and 'entity_type' is individual, the last_name value will be used as the last name for the person, and AML Screening will be performed on it
6. When 'category' value is 'search' and 'entity_type' is individual, the last_name value will be used to run AML Screening

Column Header 11: aliases

Description: Alternate or previous names for a person or a company.

Usage: The value(s) is/are utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile
2. Maximum character limit is 150
3. Multiple aliases can be added separated by a semicolon (;)

Column Header 12: gender

Description: Represents the gender of the person being added as a key party to the profile, or the person for whom the profile is created.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. When 'category' value is 'profile' and 'profile_type' is individual/soleTrader, the gender value will be used to set the gender for the main person on the profile, and AML Screening will be performed on it
3. When 'category' value is keyparty and 'entity_type' is individual, the gender value will be used to set the gender for the person, and AML Screening will be performed on it

4. When 'category' value is 'search' and 'entity_type' is individual, the gender value will be used to receive more accurate AML Screening results

Column Header 13: **dob**

Description: Represents the date of birth of the person being added as a key party to the profile, or the person for whom the profile is created.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. When 'category' value is 'profile' and 'profile_type' is individual/soleTrader, the dob value will be used to set the date of birth for the main person on the profile and run AML Screening with it
3. When 'category' value is keyparty and 'entity_type' is individual, the dob value will be used to set the date of birth for the main person on the profile and run AML Screening with it
4. When 'category' value is 'search' and 'entity_type' is individual, the dob value will be used to receive more accurate AML Screening results
5. The acceptable format is: yyyy-mm-dd

Column Header 14: **country_code**

Description: The value is utilised to set the country for the business/individual if a profile or a key party is being created and also to run AML Screening.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. When 'category' value is 'profile', the country_code value will be used to run AML Screening
3. When 'category' value is keyparty, the country_code value will be used to run AML Screening
4. When 'category' value is 'search', the country_code value will be used to run AML Screening
5. The acceptable value is an ISO 3166-1 alpha-2 code

Column Header 15: **threshold**

Description: Threshold is a score indicating the similarity between search parameters and potential hits.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search

2. The acceptable value must be either of 75/80/85/90/95/100
3. If no input is provided, AML Screening will be run with a threshold of 90

Column Header 16: **datasets**

Description: The AML Categories/datasets are the specific types of information used to assess and monitor potential laundering risks. The datasets provided in KYC Protect are Sanctions, Enforcement, Insolvency Register, State Owned Enterprise, Disqualified Director, PEP, Profile of Interest and Adverse Media.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. If 'entity_type' is provided as business, the acceptable values are SAN, ENF, INS, SOE, PEP, POI, AM
3. If 'entity_type' is provided as individual, the acceptable values are SAN, ENF, INS, DD, PEP, POI, AM
4. If no input is provided, AML Screening will be against all acceptable values, based on the 'entity_type' provided
5. Multiple datasets can be added separated by a semicolon (;)

Column Header 17: **pepTiers**

Description: Refers to categorizations of Politically Exposed Persons (PEPs) based on their level of influence, prominence, or risk. The various tiers are Tier 1, Tier 2, and Tier 3.

Usage: The value is utilised to run AML Screening for individuals.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. When 'category' value is 'profile' and 'profile_type' is individual/soleTrader, the 'pepTiers' will be used to run AML Screening
3. When 'category' value is 'keyparty' and 'entity_type' is individual, the 'pepTiers' will be used to run AML Screening
4. When 'category' value is 'search' and 'entity_type' is individual, the 'pepTiers' will be used to run AML Screening
5. The acceptable values are pepTier1, pepTier2 and pepTier3
6. Multiple tiers can be added separated by a semicolon (;)

Column Header 18: **add_to_aml_screening**

Description: If the business or individual details provided must be screened against AML Categories.

Usage: The value is utilised to run AML Screening.

Validation Rules:

1. This column can be populated when 'category' column is: search
2. The acceptable value is either of yes/no/true/false

Column Header 19: **add_to_aml_monitoring**

Description: If the business or individual details provided must be monitored against AML Categories.

Usage: The value is utilised to add the AML search to monitoring.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty/search
2. The acceptable value is either of yes/no/true/false
3. This column cannot be populated if 'add_to_aml_screening' is no/false

Column Header 20: **search_id**

Description: Search ID is the unique guid identifier generated by the system, for every search you create.

Usage: The value is utilised to add an existing AML search to monitoring or to link to an existing key party.

Validation Rules:

1. This column can be populated when 'category' column is 'search' and 'add_to_aml_monitoring' is yes/true
2. To link the search_id to a profile, it is mandatory to provide a profile_id.
3. To link the search_id to a key party, it is mandatory to provide a key_party_id.
4. The value provided must be a valid id.

Column Header 21: **assign_to**

Description: User ID of the person in your organisation you want to assign a search or profile to.

Usage: The value is utilised to assign a profile or a search to a person in your organization.

Validation Rules:

1. This column can be populated when 'category' column is: profile/search
2. The acceptable value is the user ID of the person being assigned to it

Column Header 22: key_party_id

Description: Key Party ID is the unique guid identifier generated by the system, for every key party/UBO you add to a profile.

Usage: The value is utilised to link an AML Search to an existing key party on a profile.

Validation Rules:

1. This column can be populated when 'category' column is: search
2. The value provided must be a valid id.

Column Header 23: key_party_type

Description: Key party type refers to the significant role the individual or a company plays in the operation, management or ownership of the business. The various types supported are director, UBO and shareholder.

Usage: The value is utilised to set the type for a new key party being added for a profile.

Validation Rules:

1. This column can be populated when 'category' column is: keyparty
2. This is a mandatory input
3. The acceptable value is either of director/ubo/shareholder

Column Header 24: organisation_number

Description: Represents the company's Registration Number.

Usage: The value is utilised to set the organisation number for a company when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile' and 'profile_type' is either of plc/partnership/company/trust/other entity
2. This column can be populated when 'category' column is 'keyparty' and 'entity_type' is business
3. Maximum character limit is 150

Column Header 25: activity_code

Description: Refers to a standard industrial classification code that identifies a firm's primary business activity.

Usage: The value is utilised to set the SIC/Activity for a company when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile' and 'profile_type' is either of plc/partnership/company/trust/other entity
2. This column can be populated when 'category' column is 'keyparty' and 'entity_type' is business
3. Maximum character limit is 150

Column Header 26: **building_details**

Description: The building name/number or line 1 of address for the company/individual.

Usage: The value is utilised to set the building address for a company/individual when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty
2. Maximum character limit is 150

Column Header 27: **street**

Description: The street name or line 1 of address for the company/individual.

Usage: The value is utilised to set the street address for a company/individual when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty
2. Maximum character limit is 150

Column Header 28: **city**

Description: The city/town or line 2 of address for the company/individual.

Usage: The value is utilised to set the city address for a company/individual when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty
2. Maximum character limit is 150

Column Header 29: **region**

Description: The region/state or line 2 of address for the company/individual.

Usage: The value is utilised to set the region address for a company/individual when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty
2. Maximum character limit is 150

Column Header 30: **address_country_code**

Description: The country address for the company/individual.

Usage: The value is utilised to set the country address for a company/individual when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty
2. The acceptable value is an ISO 3166-1 alpha-2 code

Column Header 31: **postal_code**

Description: The zip/postal code for the company/individual.

Usage: The value is utilised to set the postal code address for a company/individual when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is: profile/keyparty
2. Maximum character limit is 50

Column Header 32: **risk**

Description: Refers to risk rating for a business or a person based on due diligence, from the values Very Low, Low, Medium, High and Very High.

Usage: The value is utilised to set the risk rating for a new profile being created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile'
2. The acceptable value is either of low, very low, medium, high, very high.

Column Header 33: **kyc_status**

Description: Refers to KYC Compliance status for a profile based on due diligence, from the values new, pending, referred, cancelled, approved, closed, or approved review due.

Usage: The value is utilised to set the KYC Status for a new profile being created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile'
2. The acceptable value is either new, pending, referred, cancelled, approved, closed, or approved review due

Column Header 34: **kyc_review**

Description: Represents the next date to perform the KYC Compliance process or due diligence for the profile.

Usage: The value is utilised to set the next KYC Review date for a new profile being created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile'
2. The acceptable date format is yyyy-mm-dd
3. The value provided must be a date in the future.

Column Header 35: **kyc_comment**

Description: Refers to a note or comment you'd want to add related to the KYC Compliance process.

Usage: The value is utilised to set the comments related to KYC Compliance process for a new profile being created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile'
2. Maximum character limit is 250.

Column Header 36: **vat_number**

Description: A unique identification number required for every business enterprise registered under VAT.

Usage: The value is utilised to set the VAT number for a company when a new profile or key party is created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile' and 'profile_type' is either of plc/partnership/company/trust/other entity
2. This column can be populated when 'category' column is 'keyparty' and 'entity_type' is business
3. Maximum character limit is 150

Column Header 37: **contact_name**

Description: Refers to a person associated with the business being screened or monitored, who can be contacted for compliance process.

Usage: The value is utilised to set the name of a contact person related to the business added to the new profile created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile' and 'profile_type' is either of plc/partnership/company/trust/other entity
2. Maximum character limit is 150

Column Header 38: **email**

Description: Refers to email address of the person associated with the business being screened or monitored, who can be contacted for compliance process.

Usage: The value is utilised to set the email of a contact person related to the business added to the new profile created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile' and 'profile_type' is either of plc/partnership/company/trust/other entity
2. Maximum character limit is 150

Column Header 39: **website**

Description: Refers to the business' main website.

Usage: The value is utilised to set the website for the business added to the new profile created

Validation Rules:

1. This column can be populated when 'category' column is 'profile' and 'profile_type' is either of plc/partnership/company/trust/other entity
2. Maximum character limit is 150

Column Header 40: **telephone**

Description: Refers to the business' main contact/telephone number.

Usage: The value is utilised to set the telephone number for the business added to the new profile created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile' and 'profile_type' is either of plc/partnership/company/trust/other entity
2. Maximum character limit is 150

Column Header 41: **internal_contact**

Description: Name of the person within your team or organisation, managing the compliance process for a business/individual.

Usage: The value is utilised to set the name of a contact person within your organisation managing the new profile created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile'
2. Maximum character limit is 150

Column Header 42: **internal_email**

Description: Email address of the person within your team or organisation, managing the compliance process for a business/individual.

Usage: The value is utilised to set the email address for the contact person within your organisation managing the new profile created.

Validation Rules:

1. This column can be populated when 'category' column is 'profile'
2. Maximum character limit is 150

Column Header 43: **key_party_director_role**

Description: Refers to the role/designation/occupation of the person listed as a director in a company.

Usage: The value is utilised to set the role for a person for the new key party created.

Validation Rules:

1. This column can be populated when 'category' column is 'keyparty' and 'key_party_type' is director
2. Maximum character limit is 150

Column Header 44: **key_party_shareholder_shares%**

Description: Refers to the percentage of shares held by the person or company, listed as a key party for a business.

Usage: The value is utilised to set the percentage of shares held by the key party being added.

Validation Rules:

1. This column can be populated when 'category' column is 'keyparty' and 'key_party_type' is shareholder
2. Acceptable value should be a numerical input including and between 0 and 100.