



# Individual Case Creation on the Know Your Customer Workspace



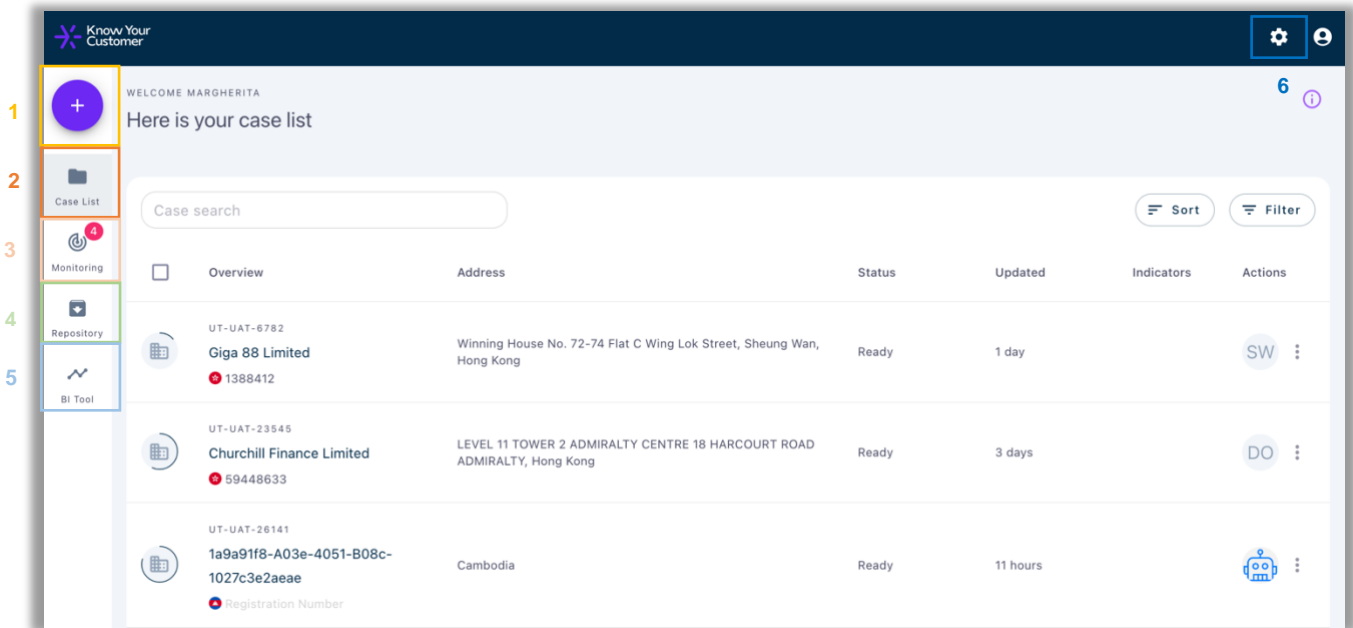
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# 1. Welcome to your Know Your Customer Workspace

This Essential User Training Guide will help you get started on the Know Your Customer Workspace.

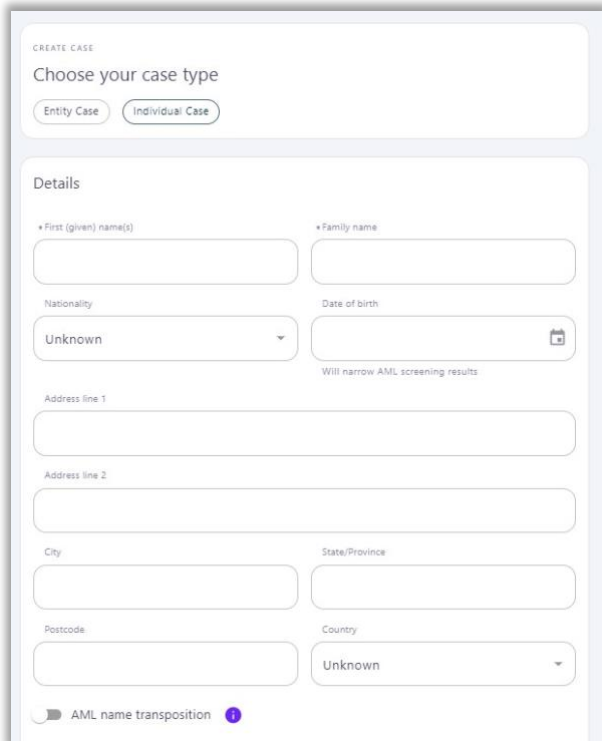
After logging in, you will be presented with the following view. This is the case creation page. Each item on the left hand side will enable you to perform a different action within the Workspace, as exemplified in the image below.



<b>1. Create New Case</b>	In this section, you can create cases to start your KYC investigation.
<b>2. Case List</b>	This is a link to your home screen, displaying all your currently open cases.
<b>3. Live Monitoring</b>	Here you can keep track of details and documents that may have changed relating to existing cases.
<b>4. Case Repository</b>	In this section, you can view all the cases that have been closed by you and any members of your team.
<b>5. Business Intelligence</b>	This section allows you to build a dashboard of data relevant to your job role or requirements.
<b>6. Administration</b>	This section, only viewable by users with admin rights, includes useful account settings.

## 2. Know Your Customer Individual Cases

Within your Know Your Customer environment there are two case creation options. This guide explains how to create an Individual Know Your Customer case on the system.



CREATE CASE

Choose your case type

Entity Case Individual Case

Details

\*First (given) name(s) \*Family name

Nationality Date of birth

Unknown Will narrow AML screening results

Address line 1

Address line 2

City State/Province

Postcode Country

Unknown

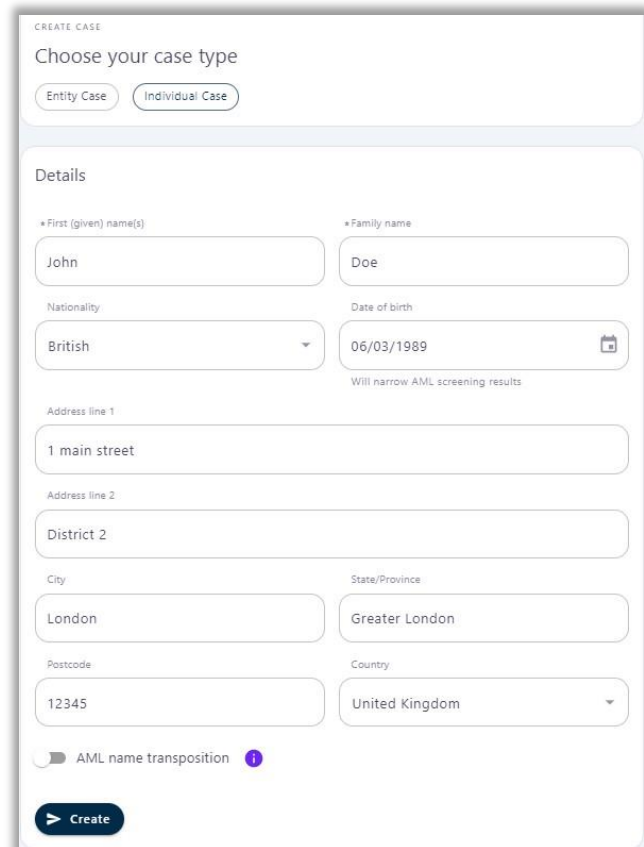
AML name transposition ⓘ

You will then be required to input the individual's **first name** and **family name** by default. We also recommend filling in other details if you know them (e.g. Date of birth, Nationality and Address).

Once you have entered the individuals' details, click the **Create** button. The system will begin creating the case and you will see a pop-up message appear on the bottom left corner of your screen.

### 2.1 Case Creation

To begin, click on the purple “+” sign from anywhere on the platform to navigate to the Case Creation page. Once there, select the **Individual Case** option under “Choose your case type”.



CREATE CASE

Choose your case type

Entity Case Individual Case

Details

\*First (given) name(s) \*Family name

John Doe

Nationality Date of birth

British 06/03/1989 Will narrow AML screening results

Address line 1

1 main street

Address line 2

District 2

City State/Province

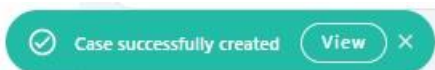
London Greater London

Postcode Country

12345 United Kingdom

AML name transposition ⓘ

**Create**

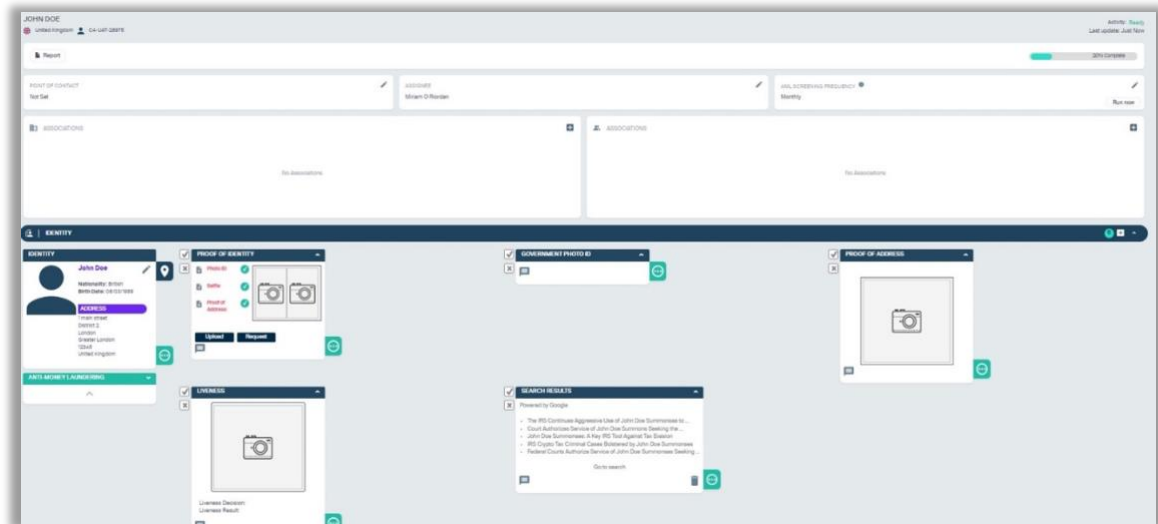


Click on the **View** button and a new tab will open.

## 2.2. The Individual Case Page

In the newly opened tab, the individual case will go through the below stages:

- You will see a **progress bar** showing the various actions being performed by the system, including an **AML** (anti-money laundering) check on the person's details.
- Once all necessary actions are completed, the case will reach **ready status**.
- You will know your case is **ready** when all areas of your case are showing in color, as opposed to be greyed out. Now you can begin to interact with the case.



### 3. Anti-Money Laundering (AML) Screening

The Know Your Customer system has a built-in rule: if no anti-money laundering matches are found, the relative AML step will be automatically accepted and collapsed.



You can view the details of the AML checks at any point by clicking on the arrow in the step's title bar.

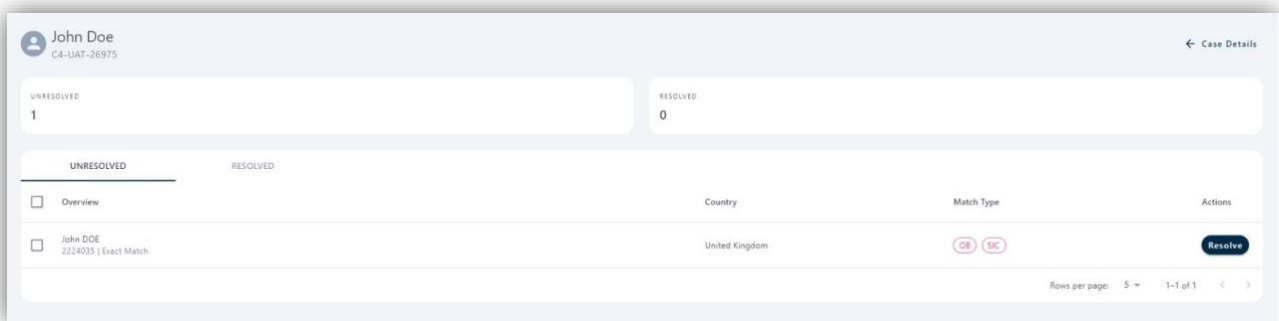
#### 3.1 Reviewing Anti-Money Laundering Results

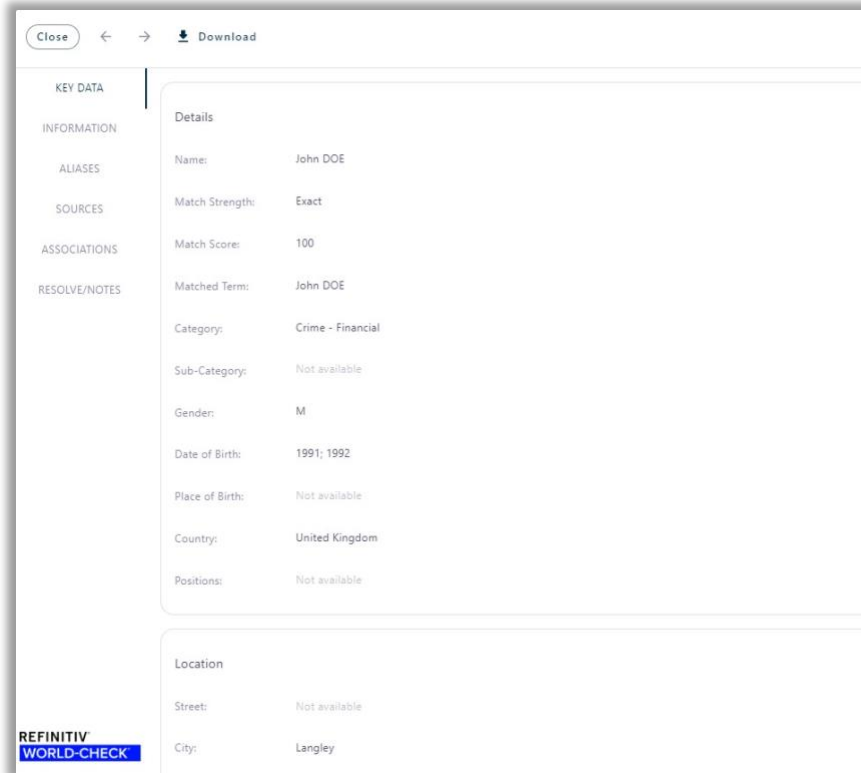
If there are any AML results visible within the case, the AML Step will not be accepted automatically, and you will need to review this data and make an informed decision as to how to proceed.



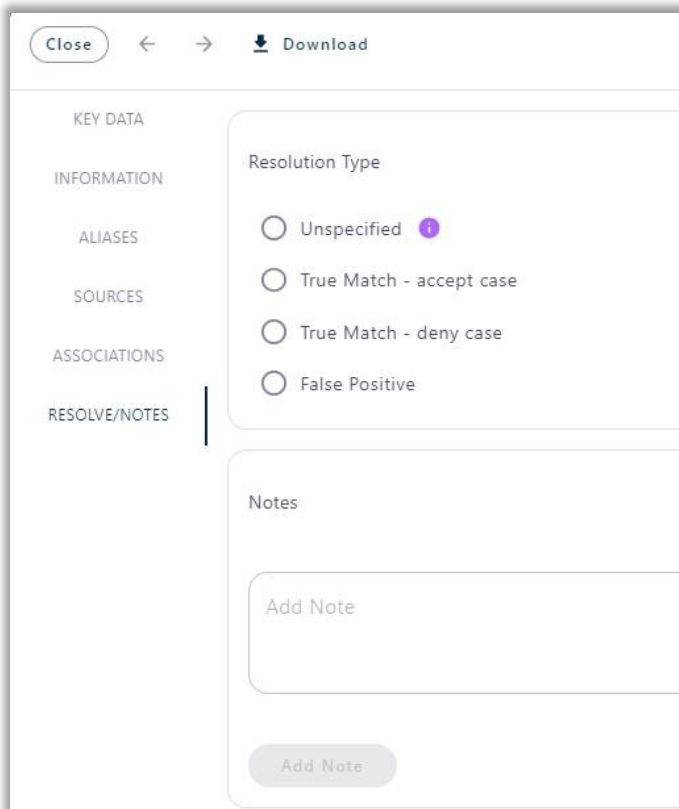
To review AML data, click on the button **View Matches** and you will be taken to an area of the platform where all AML results are displayed.

To review details and make an informed decision on how to proceed, click on the match's name and a pop-up will appear on your screen. From here you can easily review the data on each tab.





In the Resolve/Notes tab of the pop-up, you can decide between four different options as to how you want to proceed with the information you have reviewed.



Once you have made a decision on the resolution of the step, you have the option to add a note and download a report of the Anti-Money Laundering data.

To navigate back to your case page, click on the **Close** button on the top left of the pop-up box.

## 4. Proof of Identity Step

In the **Proof of Identity** step, you will see there are sections titled **Selfie**, **Photo ID** and **Proof of Address**, which you can upload and store documents and images in.

If you have these documents on file, click the **Upload** button and you will be taken to your computer's files to select and upload the relevant documents.



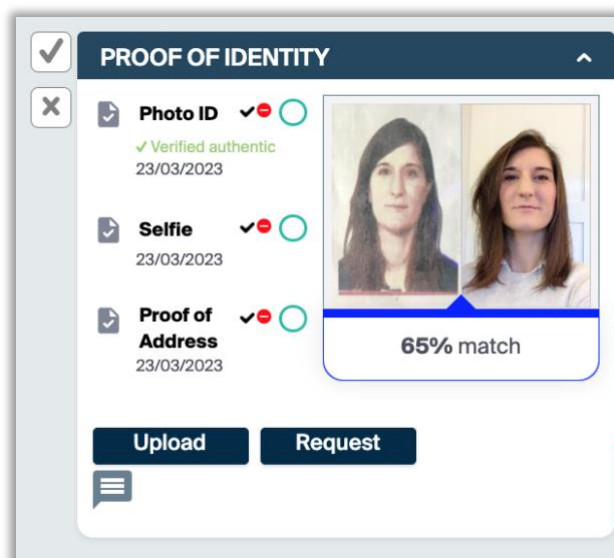
### 4.1 Requesting Documents from Your Clients

In the Proof of Identity step, you can also use our document outreach portal to request the required documents easily and securely from your clients. To send an email request for your client to upload their documents via our Upload Portal, click on the **Request** button, enter your client's email address, then click send.

*Please note you can learn more about this functionality and process in our "Document Upload Web Portal Guide".*

### 4.2 Reviewing Identity Documents

Once all documents have been uploaded to the case by you or by your client, you can begin to review the data and make a decision on whether to accept or reject the Proof of Identity step.

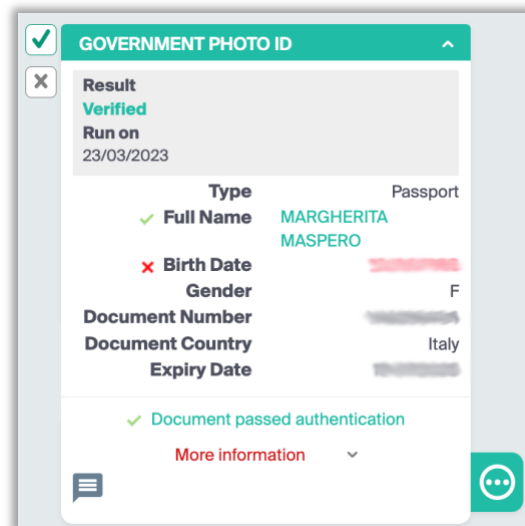




## 4.3 Identity Document Verification

When an identity document is uploaded onto the Know Your Customer system, it will automatically be checked for forgery. This functionality is part of the **Government Photo ID** step. There are two elements to this authentication check:

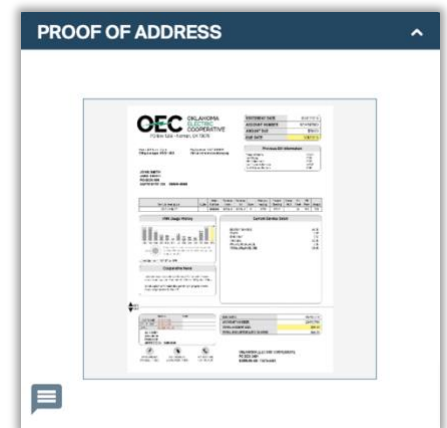
1. The system will compare the person’s name and date of birth in the document to the data you have added in the Case Identity section upon case creation.
2. It will also perform various fraud checks on the document to ensure it is authentic.



*Please request the “ID Authentication Feature Overview” guide from the Customer Support team to learn more about this.*

## 4.4 Address Verification

Once an address verification document is uploaded to a case, it will be visible in the “Proof of Address” step for you to review and make an informed decision on. This document can be viewed in more detail by clicking on the words “Proof of Address” in the **Proof of Identity** step, or by clicking on the document preview image in the **Proof of Address** step and then clicking on the eye icon to expand the image to full screen.



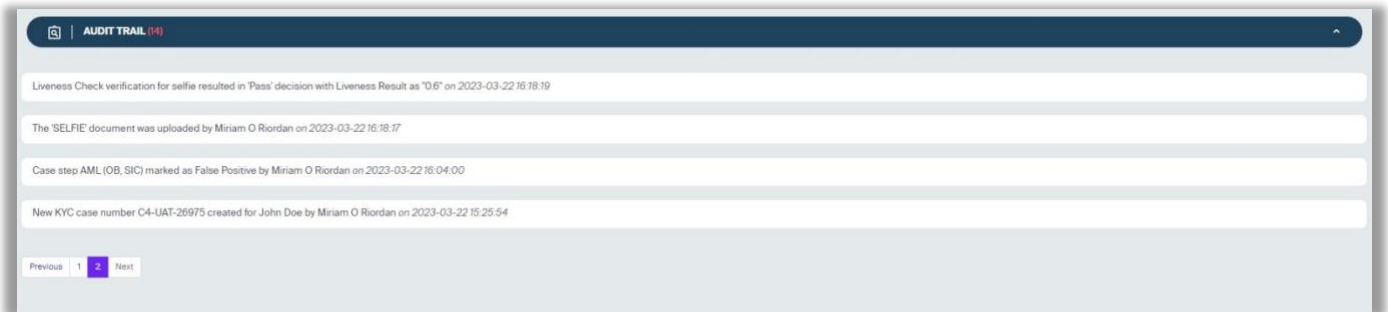
## 4.5 Liveness Detection

When a selfie is taken via the portal and uploaded within an individual Know Your Customer case, a liveness check is automatically performed by the system. You then are required to review this data and make an informed decision.

*For more information on our Liveness Detection feature please review our “Liveness Check Data Sheet” or request this from the Customer Support team.*

## 5. Audit Trail

All actions performed by any member of your team related to a specific case are automatically recorded in the **Audit Trail** section at the bottom of the case page.



This is an immutable log to help you retrace every step of your investigation for auditing purposes.

## 6. Closing the Case

When all necessary checks have been performed and all data and documents have been uploaded to the case, you can make an informed decision on each case element.

Upon your review of the data click on the tick button  to mark the specific step as **Accepted (Passed)** or on the x button  to mark the data as **Denied (Failed)**.

When you have reviewed and made a decision on all steps, the case progress bar will reach 100%. You will now see a Close Case button appear in the top right corner of the page, allowing you to close the case.

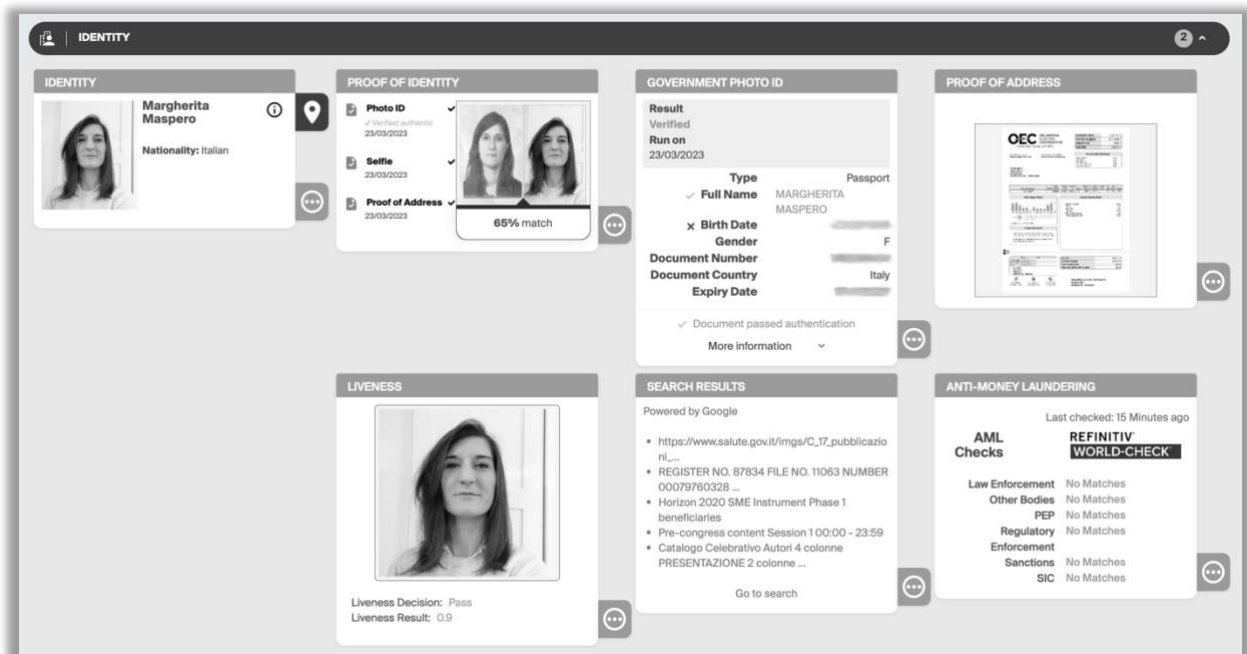


## 7. Case Repository

Once closed, cases will be visible in the **Repository** area of the platform, which you can access from the vertical menu on the left-hand side on any page.

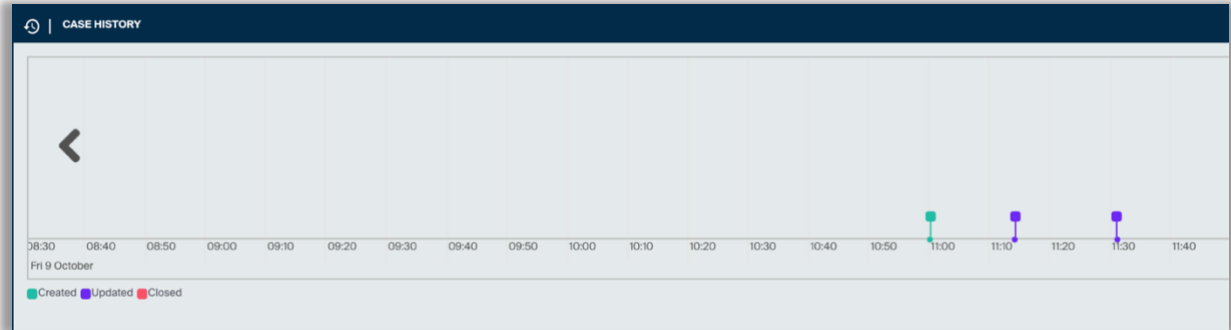


To view your closed cases, click on the case name and the case will appear in grey in a read only format.



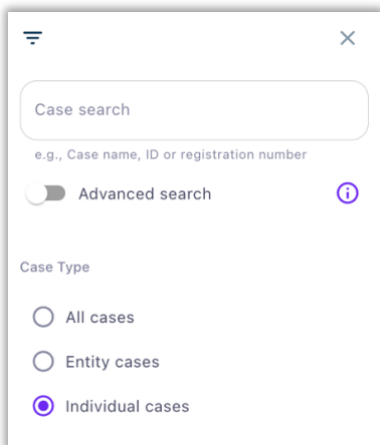
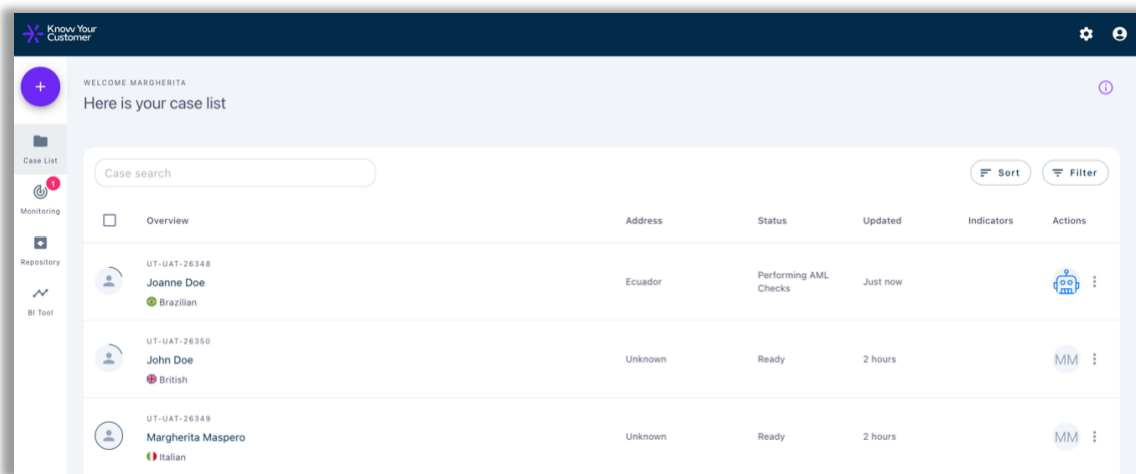
## 8. Case History

The **Case History** functionality will help you retrieve and view a specific point in time you interacted with the case. To view this, simply click on the time and date within the history timeline.



## 9. Case List

All open cases are stored within the Case List section of the platform, which you can access from any page.

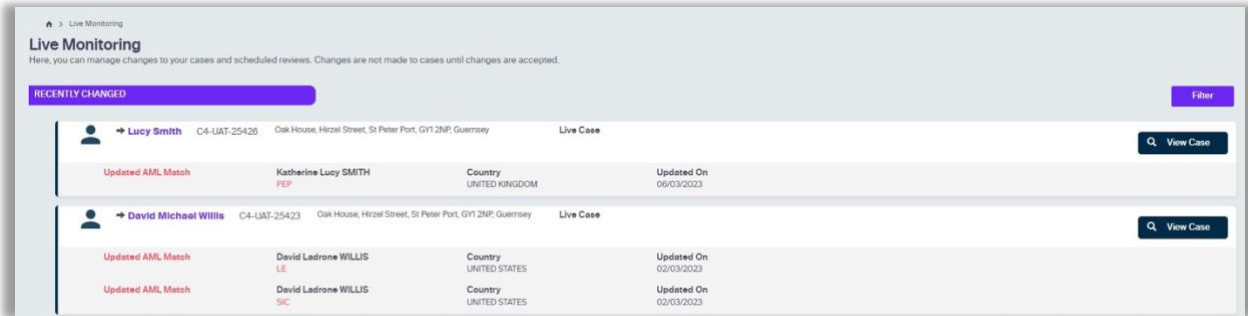


You can easily view which individual cases are currently open by using the **Individual Case** filter option, which you can access clicking the **Filter** button in the top right corner of the page. After selecting any filters, make sure to scroll down to the bottom of the panel and click on the **Apply** button.

From the Case List, you can click into any individual case that is currently open.

## 10. Live Monitoring

The Live Monitoring area enables you to keep track of new potential AML matches related to the individual you have verified through the Know Your Customer system. From here you can easily review newly found matches and make an informed decision about them.



## 11. Help Options

If you have any questions, please feel free to email us at [help@knowyourcustomer.com](mailto:help@knowyourcustomer.com). A member of our team will be in touch as soon as possible to assist you with your query.



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