



Know Your Customer

Workspace Entity Case Creation



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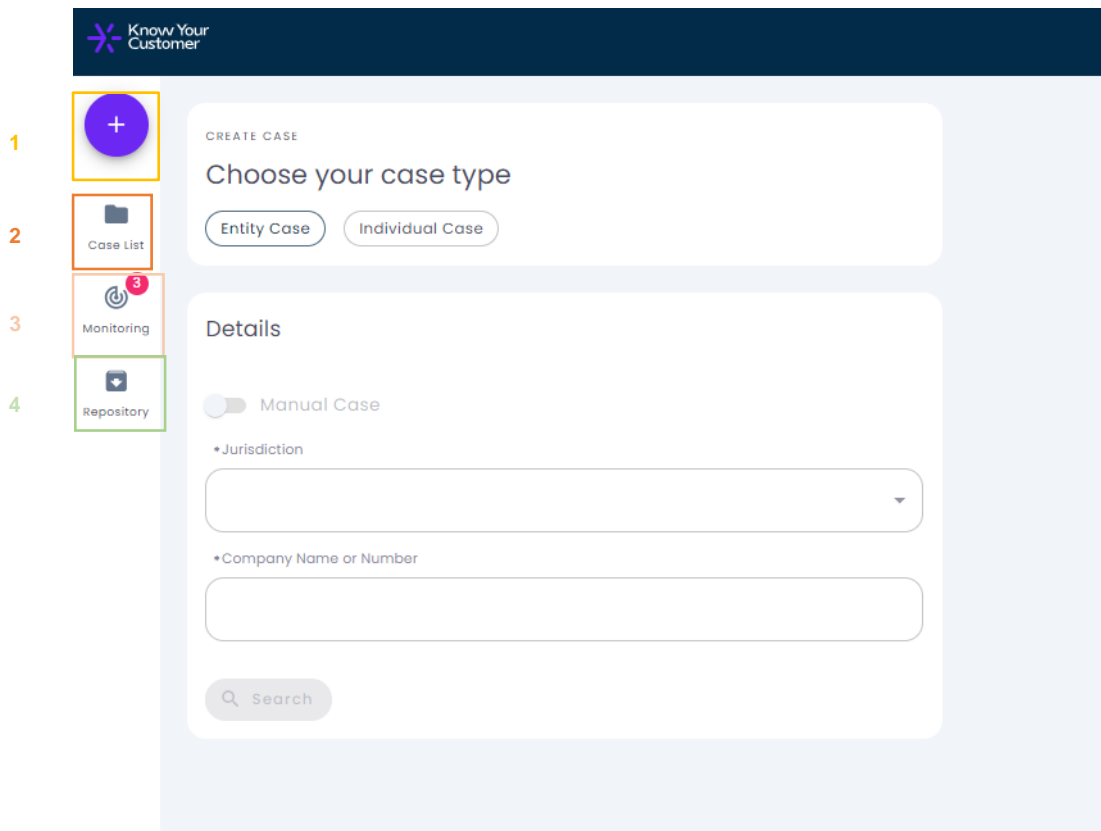
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1. Welcome to your KYC Workspace

This Essential User Training Guide will help you get started on the KYC Workspace platform.

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



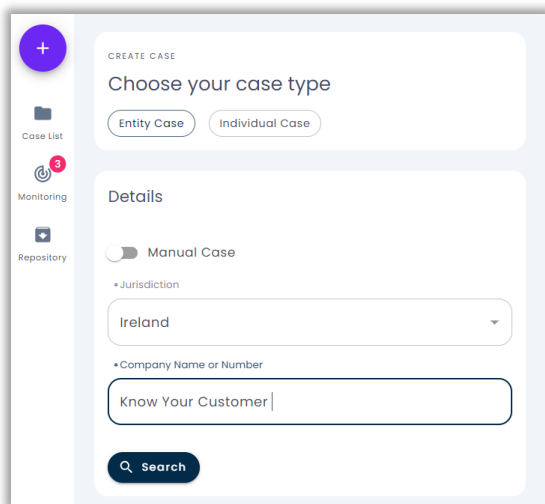
<p>1. Create New Case</p>	<p>In this section, you can create cases to start your KYC investigation.</p>
<p>2. Case List</p>	<p>This is a link to your home screen, displaying all your currently open cases.</p>
<p>3. Live Monitoring</p>	<p>Here you can keep track of details and documents that may have changed relating to existing cases.</p>
<p>4. Case Repository</p>	<p>In this section, you can view all the cases that have been closed by you and any members of your team.</p>

2. Create an Entity Case

To create a new entity case:

1. Select the jurisdiction of the specific entity by typing in the Jurisdiction Name and a drop down list will appear to choose the jurisdiction.
2. Enter the exact name of the entity you are searching for or its full registration number

Depending on whether the connection to the registry in the selected jurisdiction has already been automated, one of the following will happen:



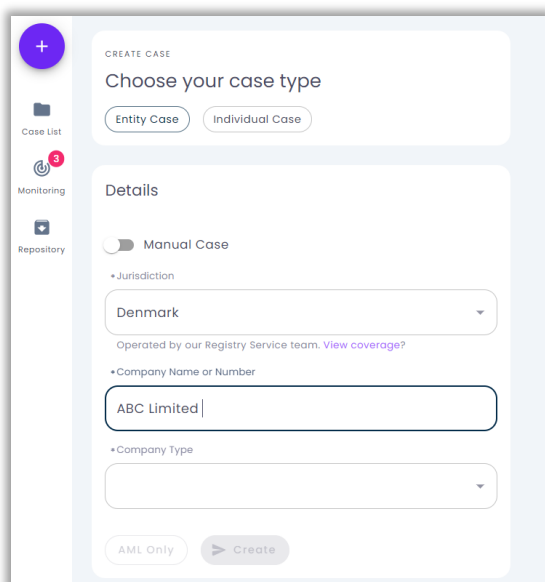
The screenshot shows the 'CREATE CASE' interface. Under 'Choose your case type', 'Entity Case' is selected. In the 'Details' section, 'Manual Case' is turned off. The 'Jurisdiction' dropdown is set to 'Ireland'. The 'Company Name or Number' field contains 'Know Your Customer'. A 'Search' button is at the bottom.

OPTION A

Fully automated jurisdictions

When you click the “Search” button, the system returns a list of possible matches retrieved in real time from the company registry (only 1 match is returned if using the registration number).

Select the correct option to create the case.



The screenshot shows the 'CREATE CASE' interface. Under 'Choose your case type', 'Entity Case' is selected. In the 'Details' section, 'Manual Case' is turned off. The 'Jurisdiction' dropdown is set to 'Denmark'. Below it, a notice reads: 'Operated by our Registry Service team. View coverage?'. The 'Company Name or Number' field contains 'ABC Limited'. The 'Company Type' dropdown is empty. At the bottom, there are 'AML Only' and 'Create' buttons.

OPTION B

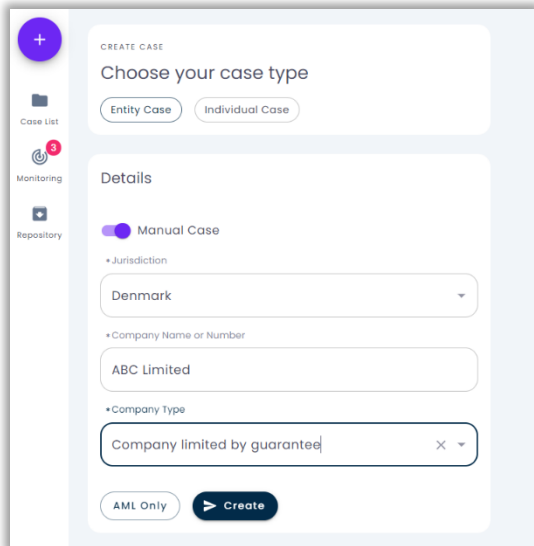
Semi-automated jurisdictions

When you select a semi-automated jurisdiction, you will be presented with the following notice: “Operated by our Registry Services team.”

You will then be asked to enter the Company Name or Number and select the Company Type from a dropdown menu.

When you click the “Create” button, the information is sent to our team of experts for investigation.

Please allow up to 20 minutes per case and sub-case to be created and information to be returned through the system.



OPTION C

Non-automated jurisdictions

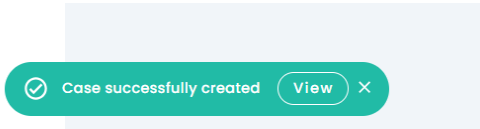
When you select a non-automated jurisdiction, you will see the Manual Case option automatically selected and the following message will appear: “Case details must be manually completed”.

You will then be asked to enter the Company Name or Number and select the Company Type from a dropdown menu.

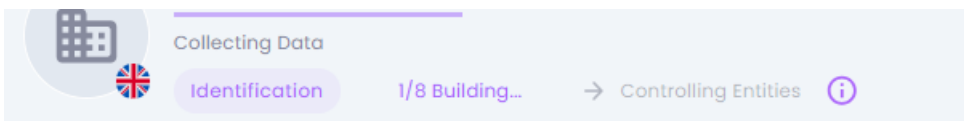
Clicking the “Create” button will generate a “Blank” entity case which you can populate with information you already have or use as a workflow solution to request documents from your customers in real time, centralising all your activities.

3. Build or Explore an Entity Case

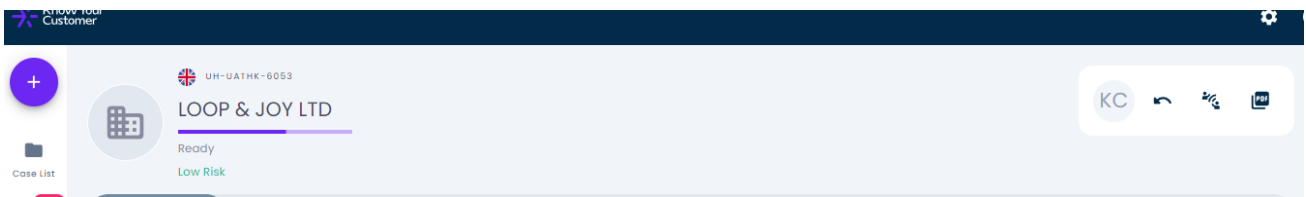
Upon Case Creation an alert will appear on the lower left corner of the case creation page, click on this to bring you to your case.



As the Case is building you will see a progress bar and pop-up signifying at what stage the case is gathering and populating information.



Once the case has been populated with all data, you will see the wording Ready under the case name. At the top of each case, you'll find key details:



You will be able to see:

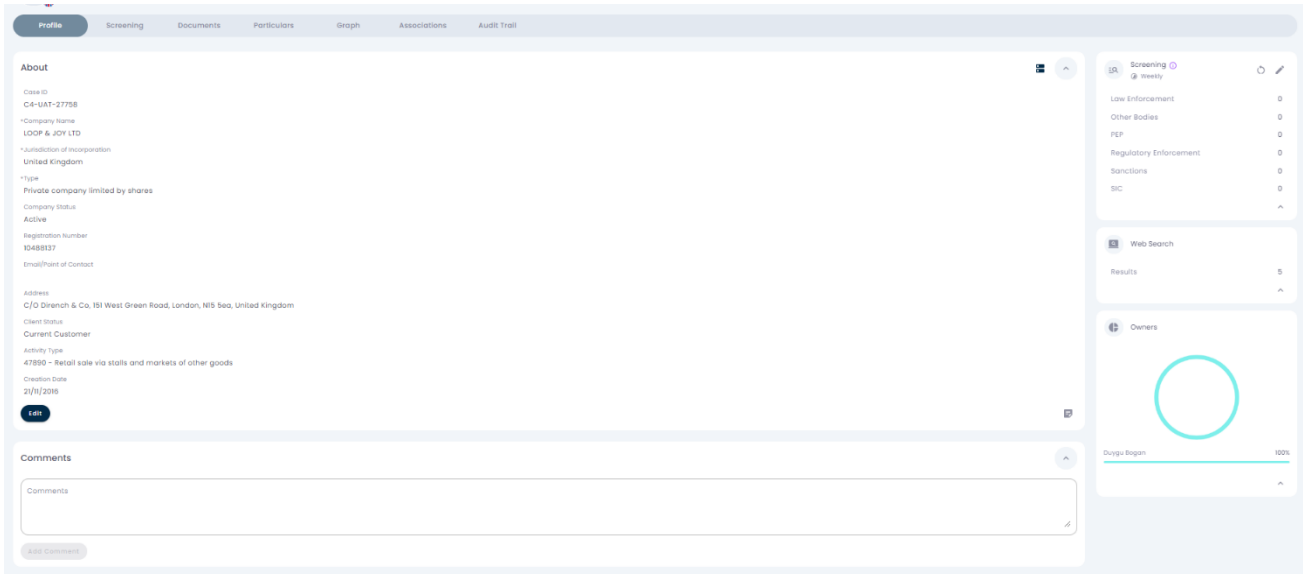
- Company Name and Case ID: Clearly displayed for easy identification.
- Case Status: Indicates the current status of the case.
- Risk Level: Quick assessment of the entity's risk level.

On the right side of this area there are 3 icons where you can check and edit:

- Assignee: Check and edit the assigned user.
- Document Request: Easily request documents from the client.
- Report: Click to generate a detailed report, this will be automatically stored in the Document section (see details in 3.3).



3.1 Profile



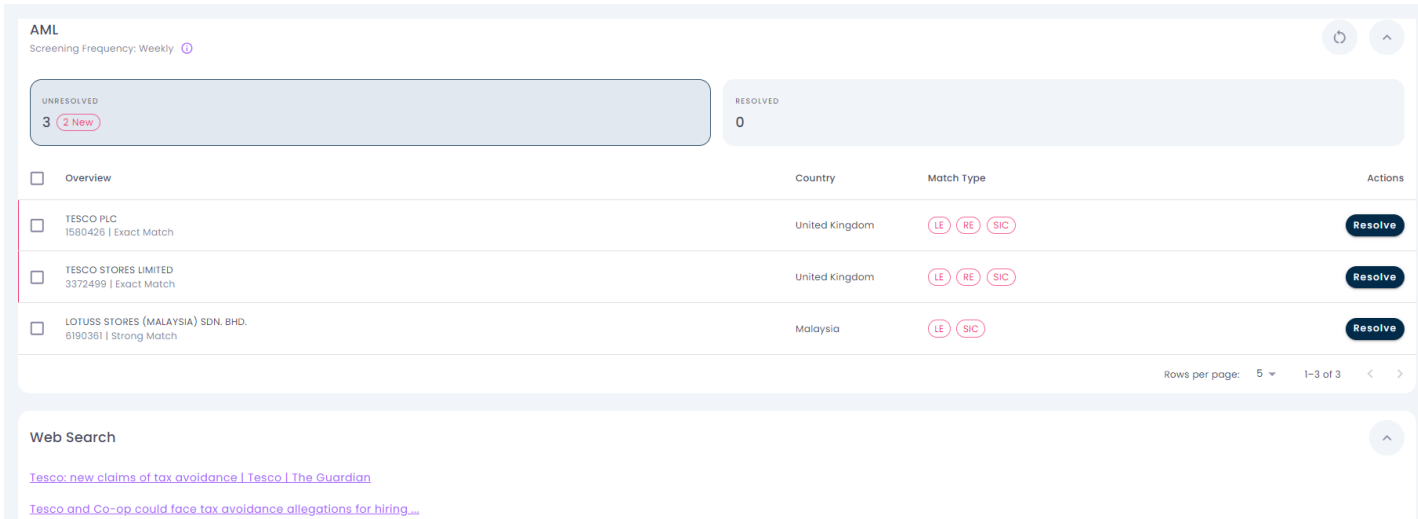
The screenshot displays the 'Profile' section of the Know Your Customer interface. The top navigation bar includes tabs for Profile, Screening, Documents, Particulars, Graph, Associations, and Audit Trail. The main content area is divided into three sections:

- About:** Contains company details such as Case ID (C4-UAT-27758), Company Name (LOOP & JOY LTD), Jurisdiction of Incorporation (United Kingdom), Type (Private company limited by shares), Company Status (Active), Registration Number (15488327), Email/Point of Contact, Address (C/O Drench & Co, 151 West Green Road, London, N15 5ea, United Kingdom), Client Status (Current Customer), Activity Type (47899 - Retail sale via stalls and markets of other goods), and Creation Date (21/11/2018). A '1st' badge is visible below the details.
- Comments:** A text input field with a 'Add Comment' button.
- Right Sidebar:** Features a 'Screening' summary table, a 'Web Search' section showing 5 results, and an 'Owners' section with a circular progress indicator for 'Dougu Bagan' at 100%.

The Profile section serves as the foundational overview of the entity you are onboarding. Here's what you will find:

1. Company basic information such as company name, type, status, and jurisdiction
2. Additional Information:
 - Any additional questions you have configured in your Know Your Customer system will located underneath the About Section.
3. Comments:
 - Space for any comments related to the case to be input.
4. Quick View:
 - Summary of AML Screening Results
 - Google Search Insights
 - Owner Information

3.2 Screening



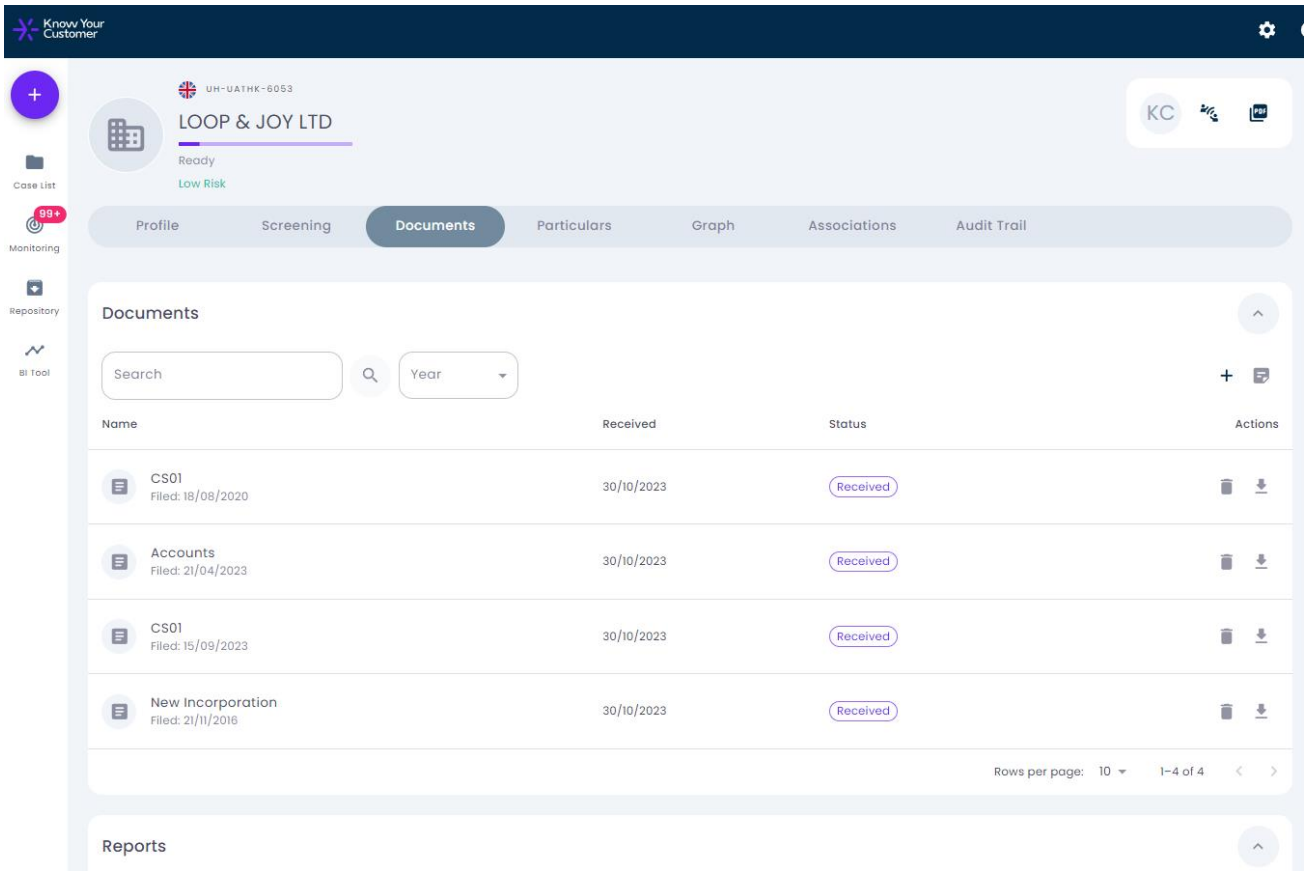
The screenshot displays the AML Screening interface. At the top, it shows 'AML' and 'Screening Frequency: Weekly'. Below this, there are two summary boxes: 'UNRESOLVED' with 3 items (2 new) and 'RESOLVED' with 0 items. The main table lists screening results with columns for 'Country' and 'Match Type'. Three entries are shown: TESCO PLC (United Kingdom, LE, RE, SIC), TESCO STORES LIMITED (United Kingdom, LE, RE, SIC), and LOTUSS STORES (MALAYSIA) SDN. BHD. (Malaysia, LE, SIC). Each entry has a 'Resolve' button. At the bottom, there is a 'Web Search' section with two search results related to Tesco and tax avoidance.

	Country	Match Type	Actions
<input type="checkbox"/> TESCO PLC 1580426 Exact Match	United Kingdom	LE RE SIC	Resolve
<input type="checkbox"/> TESCO STORES LIMITED 3372499 Exact Match	United Kingdom	LE RE SIC	Resolve
<input type="checkbox"/> LOTUSS STORES (MALAYSIA) SDN. BHD. 6190361 Strong Match	Malaysia	LE SIC	Resolve

The Screening section focuses on Anti-Money Laundering (AML) screening. Here's what you'll find:

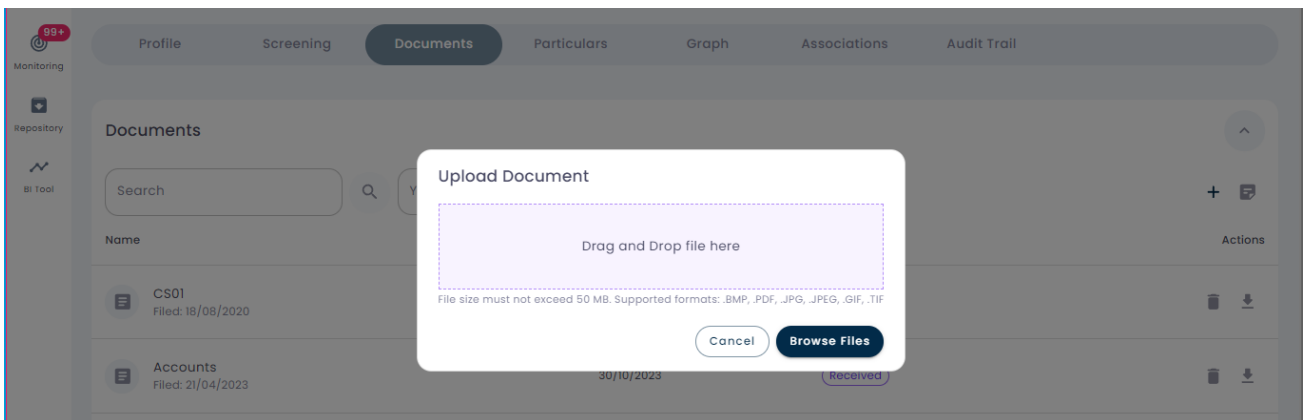
1. AML Screening Results:
 - Details of the screening outcome. A tab for Unresolved and Resolved AML screening matches.
2. Screen Frequency:
 - Information on how often screening is being conducted
3. Google Web Search Results:
 - Findings from a keyword search in Google of the entity you are onboarding.

3.3 Documents






This is where the mandatory documents downloaded from the respective registry with all company formation data are located for review.

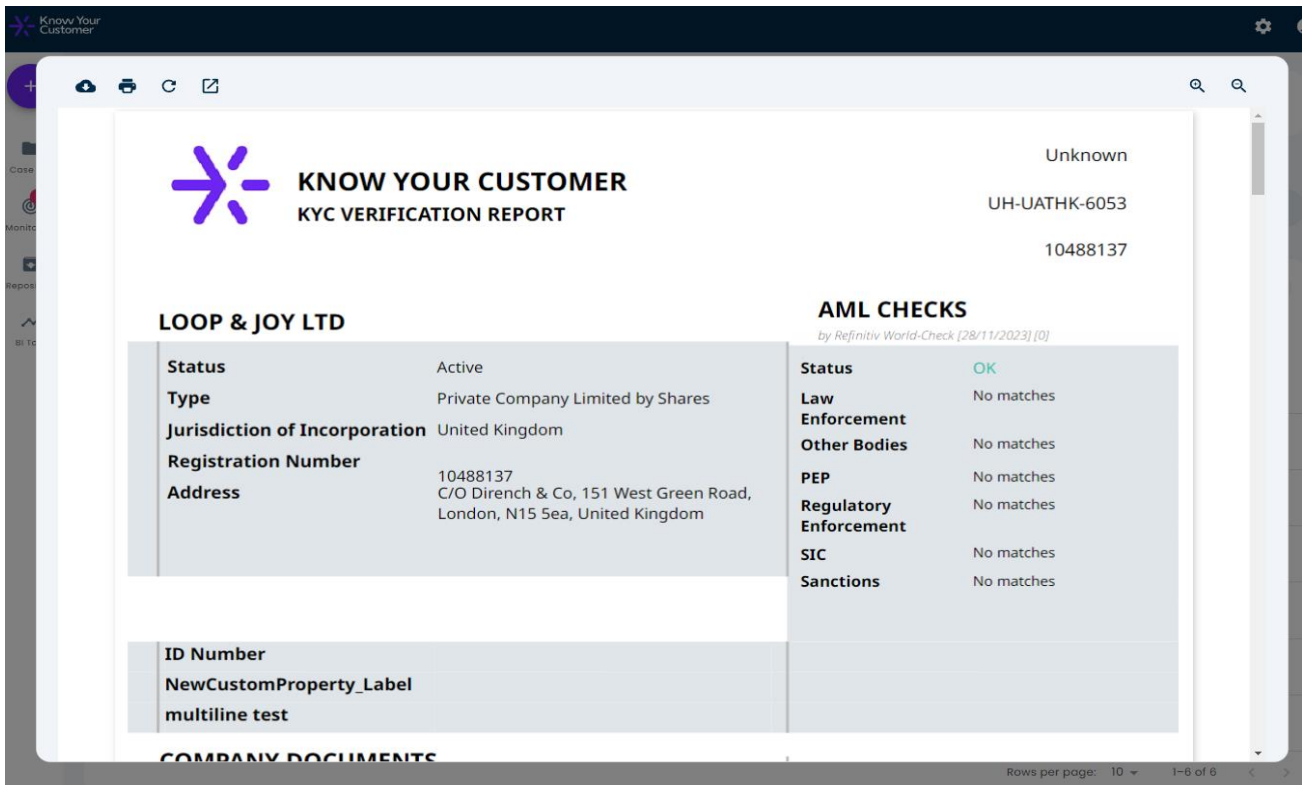
By clicking the plus sign in the top right corner of this section, you have the option to also add additional documents here that you would like to store along with your standard KYC registry obtained documents.



Report Storage: Interim case reports you generate are stored in the reports section of this area.

Reports		
Name	Date	Actions
 Interim Report	17/12/2023	 

Rows per page: 10 ▾ 1-1 of 1 < >



KNOW YOUR CUSTOMER
KYC VERIFICATION REPORT

Unknown
UH-UATHK-6053
10488137

LOOP & JOY LTD		AML CHECKS	
Status	Active	Status	OK
Type	Private Company Limited by Shares	Law Enforcement	No matches
Jurisdiction of Incorporation	United Kingdom	Other Bodies	No matches
Registration Number	10488137	PEP	No matches
Address	C/O Dirench & Co, 151 West Green Road, London, N15 5ea, United Kingdom	Regulatory Enforcement	No matches
		SIC	No matches
		Sanctions	No matches

ID Number
NewCustomProperty_Label
multiline test

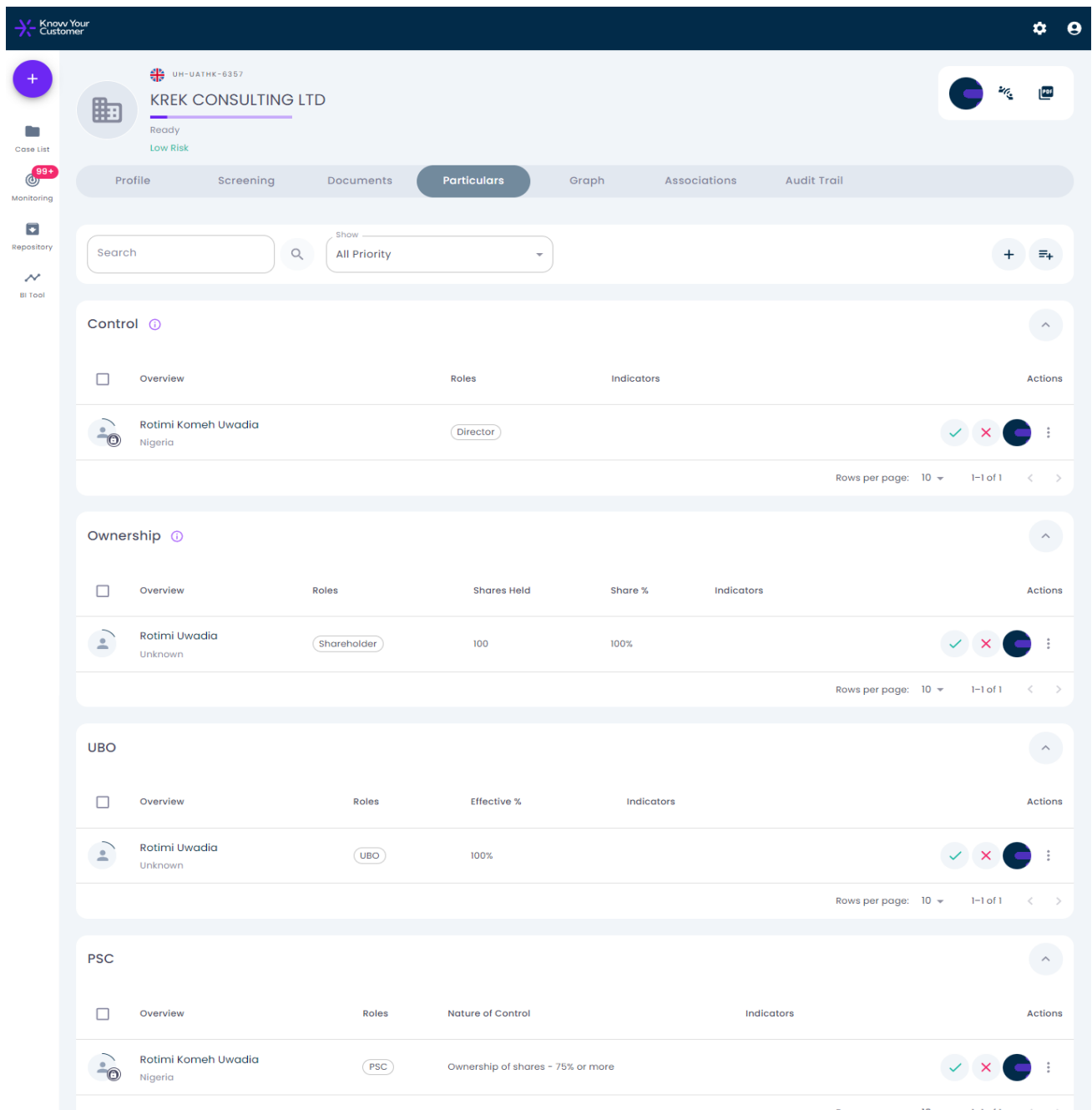
COMPANY DOCUMENTS

Rows per page: 10 ▾ 1-6 of 6 < >

3.4 Particulars

In the Particulars section, detailed information about the entity's control, ownership, ultimate beneficial owner (UBO), and persons with significant control (PSC) is visible.

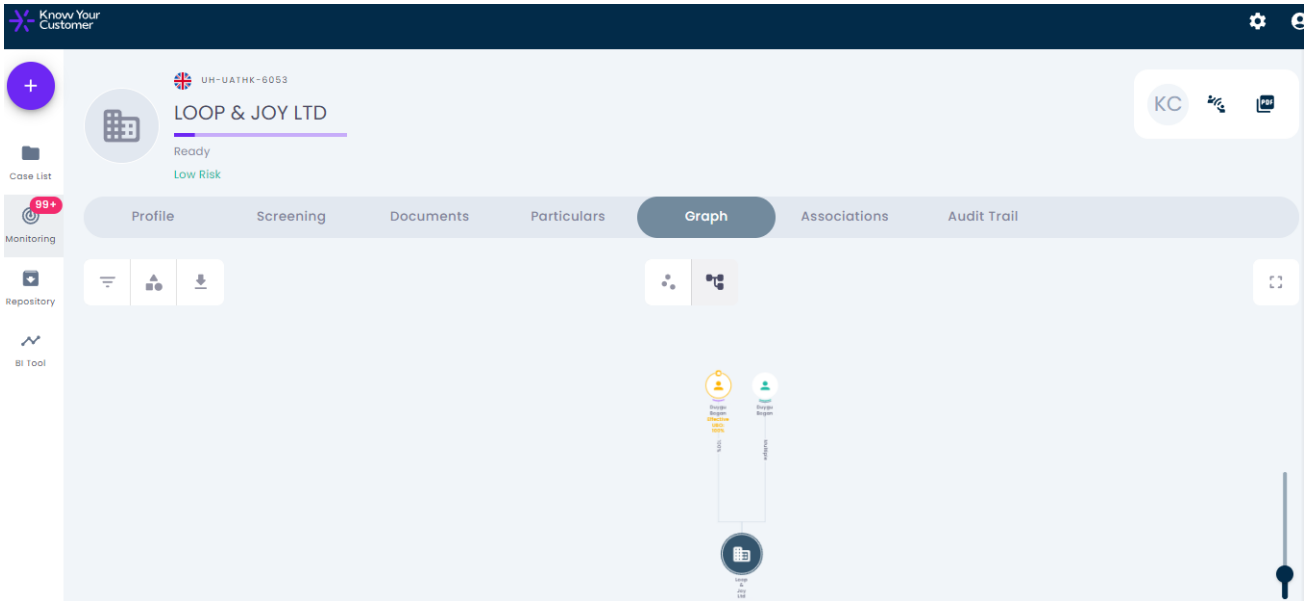
1. Control: Details on Directors and/or Officers
2. Ownership: Information on the company Shareholders
3. UBO (Ultimate Beneficial Owner): Identification of UBOs
4. PSC (Persons with Significant Control): Information about individuals with significant control (UK entity cases only)



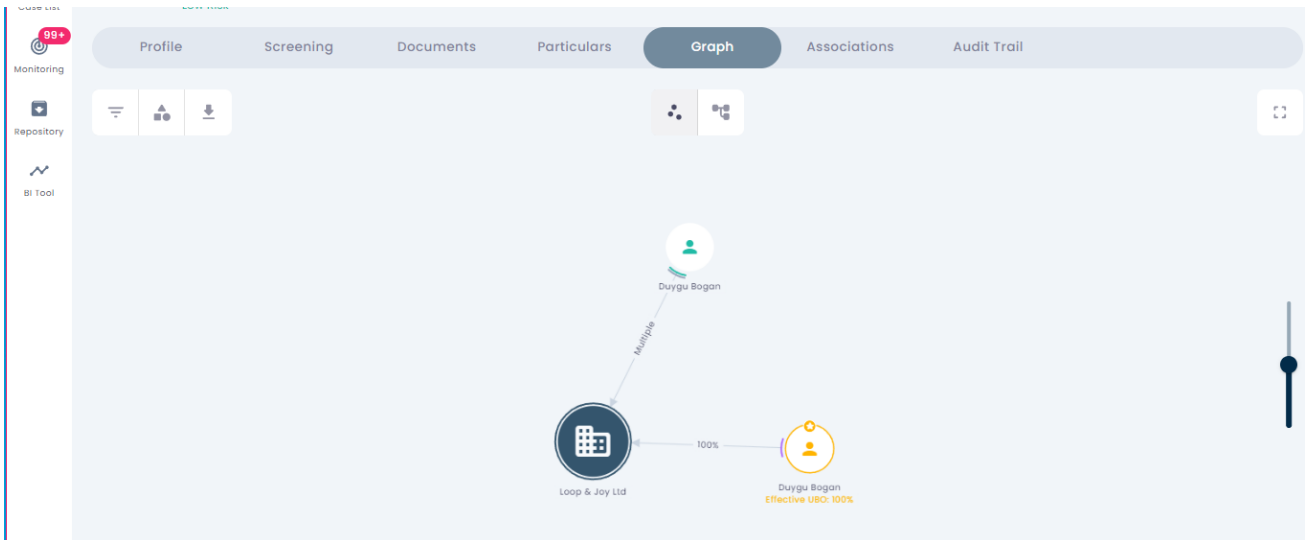
The screenshot displays the 'Particulars' section for the entity 'KREK CONSULTING LTD' (UH-UATHK-6357). The entity status is 'Ready' with a 'Low Risk' indicator. The interface is divided into several sections:

- Control:** A table listing individuals with control roles. One entry is shown: Rotimi Komoh Uwadia (Nigeria) as a Director.
- Ownership:** A table listing shareholders. One entry is shown: Rotimi Uwadia (Unknown) as a Shareholder holding 100% of the shares.
- UBO (Ultimate Beneficial Owner):** A table listing the ultimate beneficial owner. One entry is shown: Rotimi Uwadia (Unknown) as the UBO, holding 100% effective shares.
- PSC (Persons with Significant Control):** A table listing individuals with significant control. One entry is shown: Rotimi Komoh Uwadia (Nigeria) as a PSC, with the nature of control being 'Ownership of shares - 75% or more'.

3.5 Graph (Structure Chart)

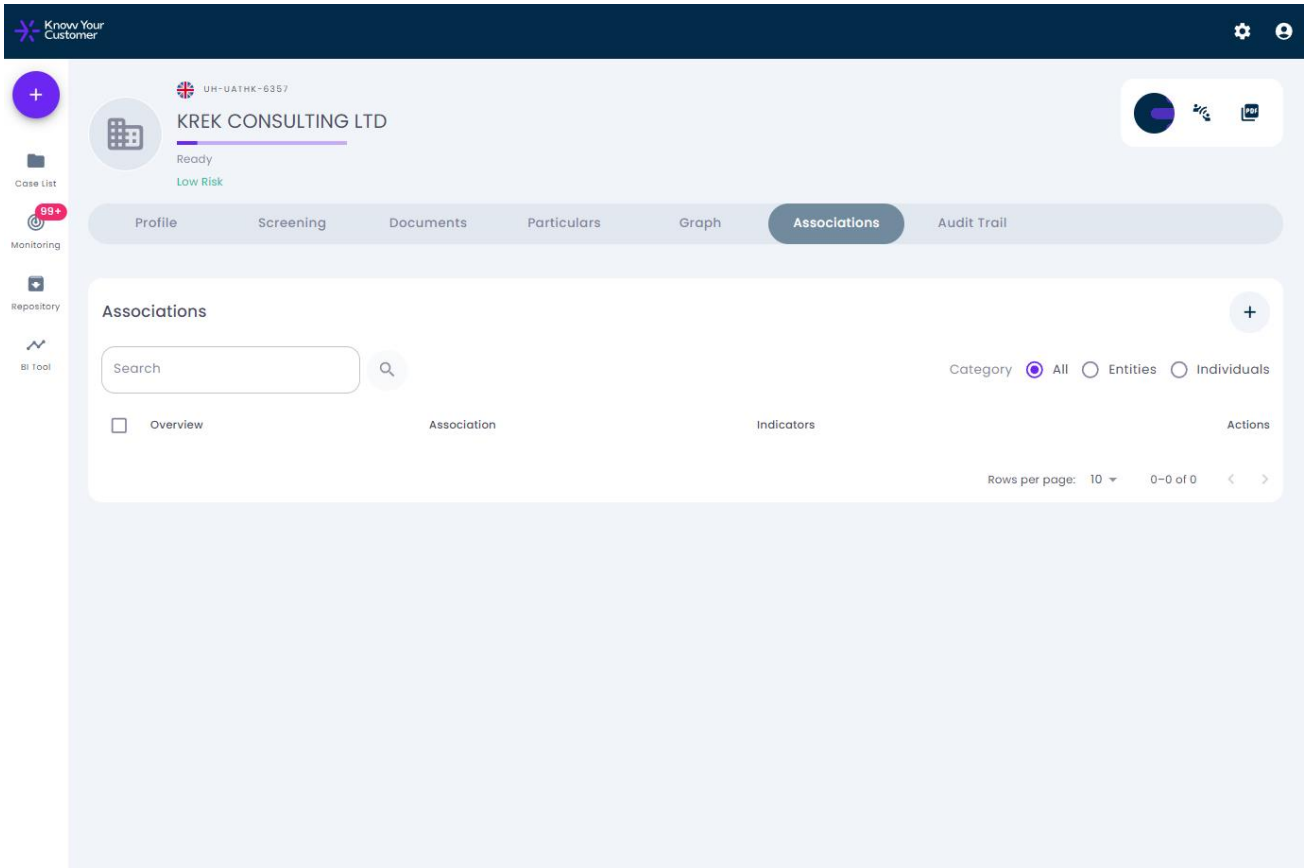


The Graph section provides an intuitive visual representation of the entity's shareholding structure. You can choose between graph view or tree view to easily see the full entity structure.



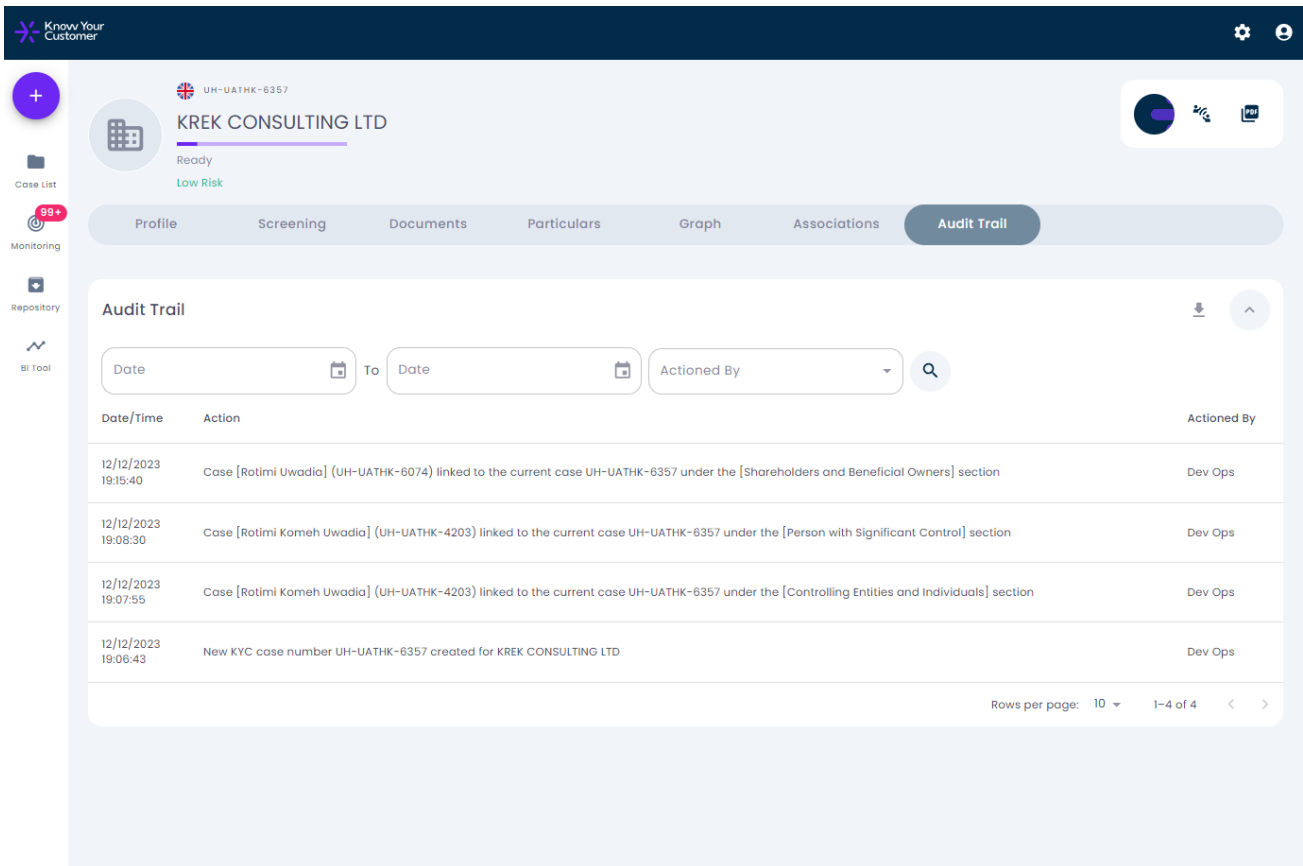
3.6 Associations

This section allows you to add information on entities or persons associated with the entity you are onboarding but are not part of the main structure data such as investors or sister companies.



The screenshot shows the 'Associations' page for the entity 'KREK CONSULTING LTD' (UH-UATHK-6357). The page is part of a dashboard with a dark blue header and a light blue sidebar. The main content area has a navigation bar with tabs: Profile, Screening, Documents, Particulars, Graph, Associations (selected), and Audit Trail. Below the navigation bar, the 'Associations' section is displayed. It includes a search bar, a 'Category' filter with radio buttons for 'All' (selected), 'Entities', and 'Individuals', and a table with columns for 'Overview', 'Association', 'Indicators', and 'Actions'. The table is currently empty, and the footer of the table shows 'Rows per page: 10' and '0-0 of 0'.

3.7 Audit Trail



The screenshot shows the 'Audit Trail' section for case UH-UATHK-6357, which is for 'KREK CONSULTING LTD' and is currently 'Ready' with a 'Low Risk' status. The audit trail table lists the following actions:

Date/Time	Action	Actioned By
12/12/2023 19:15:40	Case [Rotimi Uwadia] (UH-UATHK-6074) linked to the current case UH-UATHK-6357 under the [Shareholders and Beneficial Owners] section	Dev Ops
12/12/2023 19:08:30	Case [Rotimi Komeh Uwadia] (UH-UATHK-4203) linked to the current case UH-UATHK-6357 under the [Person with Significant Control] section	Dev Ops
12/12/2023 19:07:55	Case [Rotimi Komeh Uwadia] (UH-UATHK-4203) linked to the current case UH-UATHK-6357 under the [Controlling Entities and Individuals] section	Dev Ops
12/12/2023 19:06:43	New KYC case number UH-UATHK-6357 created for KREK CONSULTING LTD	Dev Ops

The Audit Trail section records all actions performed by your team, creating an immutable log for thorough investigation and auditing purposes. It allows you to retrace every step taken during the case.

You can also now search the audit trail by a specific date timeframe and by the user name who performed that action recorded in the audit trail.

4. Close an Entity Case

As you accept each of the steps in your Entity Case where a Green tick (Accept) or a Red X (Deny) is visible, you will see the progress bar at the top of the page increase in colour.

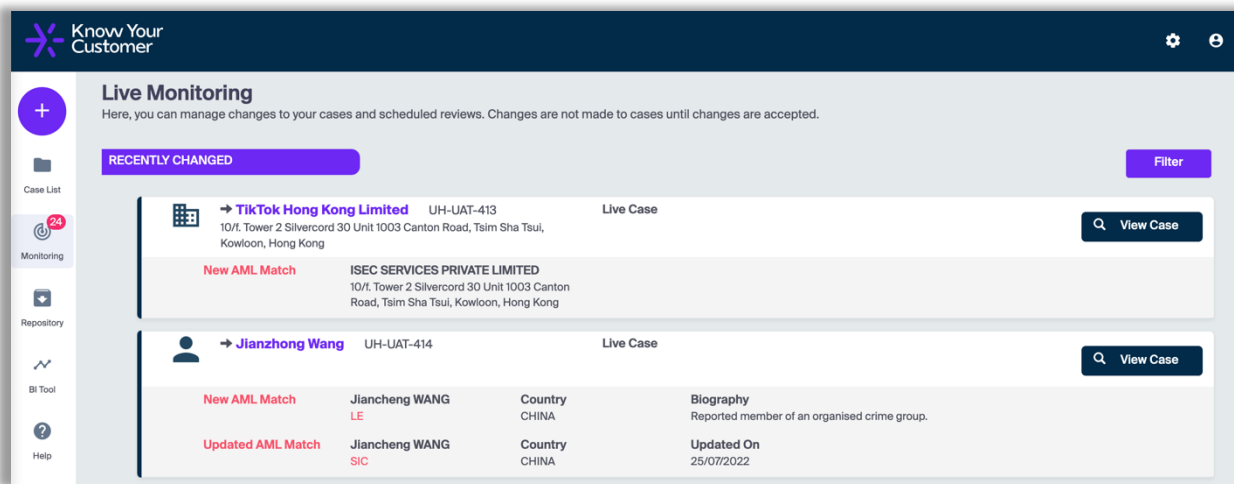
When all the steps have been accepted and the bar is fully purple, the “Close Case” button will appear in the Identification section.

5. Monitoring

The monitoring area enables you to keep track of details and documents that may have changed since you first created or last checked a specific entity case, allowing you to accept the changes and update the case.

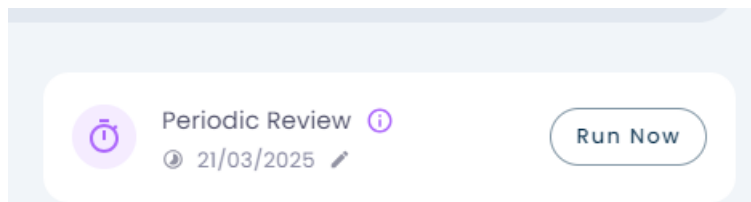
More specifically, live monitoring includes **Case Details** review, **AML match** review and **Expired POI document** checks. While case details review is available for closed cases only, AML review and Expired POI document check is performed for closed as well as open cases.

By default, case details review is performed 1 year from the date of case creation. AML match review is performed once a week. Expired POI document check is performed daily.



The **Case Details Review Date** for any of your closed cases can be configured based on your needs.

When you click into a closed case, you can select a specific review date interval from a list of options by clicking the edit pencil icon next to the automatically set review date, or instantly re-open a case manually by clicking the “Review Now” button to reconnect to the registry to download any new data or documents to the Monitoring Area for review and addition to the case.



6. Help Options

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

7. Jurisdictional Coverage List

Please refer to the following link for the most up to date information regarding Know Your Customers Jurisdictional coverage of Registry Connections:
<https://knowyourcustomer.com/price-bands-coverage/>



Know Your Customer Limited

Spaces, 8 Queens Road East,
Wan Chai, Hong Kong

<https://knowyourcustomer.com>

