



Know Your Customer

Workspace Manual Entity Case Creation



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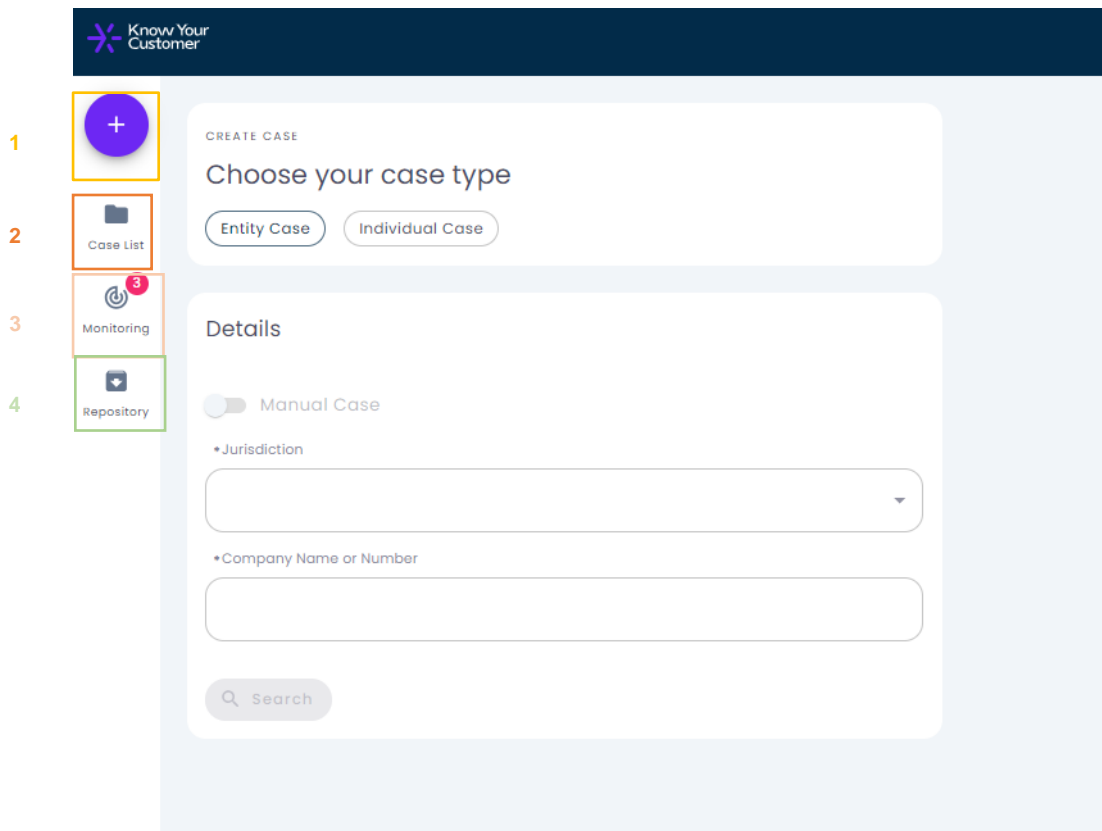
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1. Welcome to your KYC Workspace

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.

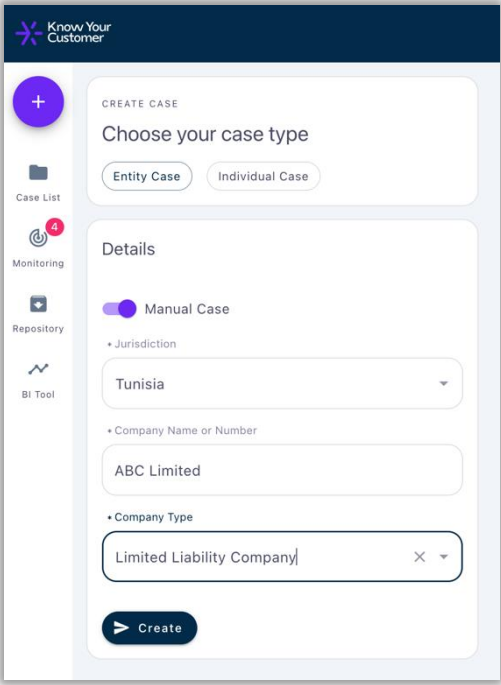


<p>1. Create New Case</p>	<p>In this section, you can create cases to start your KYC investigation.</p>
<p>2. Case List</p>	<p>This is a link to your home screen, displaying all your currently open cases.</p>
<p>3. Live Monitoring</p>	<p>Here you can keep track of details and documents that may have 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. Navigate to the Create New Case tab (+ sign).
2. Select the jurisdiction you would like to create a new case in.
3. Enter the exact name of the entity you need to create a case for.
4. Choose the Company Type that best applies from the drop-down.
5. Once all three data points are entered, click Create.



CREATE CASE

Choose your case type

Entity Case Individual Case

Details

Manual Case

• Jurisdiction

Tunisia

• Company Name or Number

ABC Limited

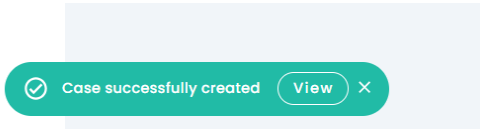
• Company Type

Limited Liability Company

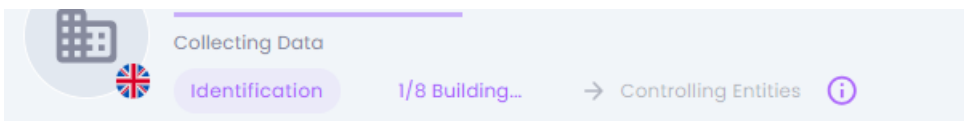
Create

3. Build or Explore an Entity Case

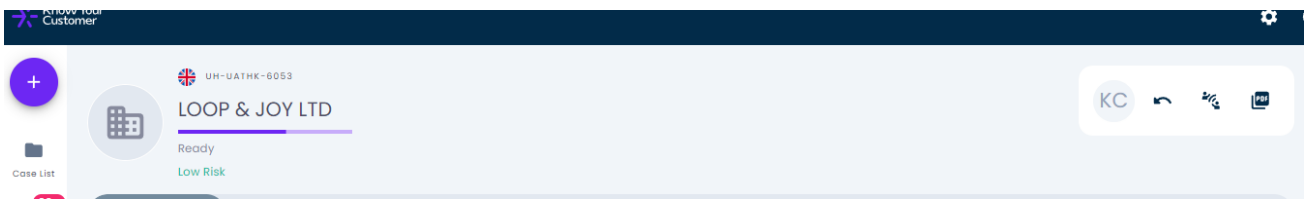
Upon Case Creation an alert will appear on the lower left corner of the case creation page, click on this to bring you to your case.



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 gone through each stage, 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:

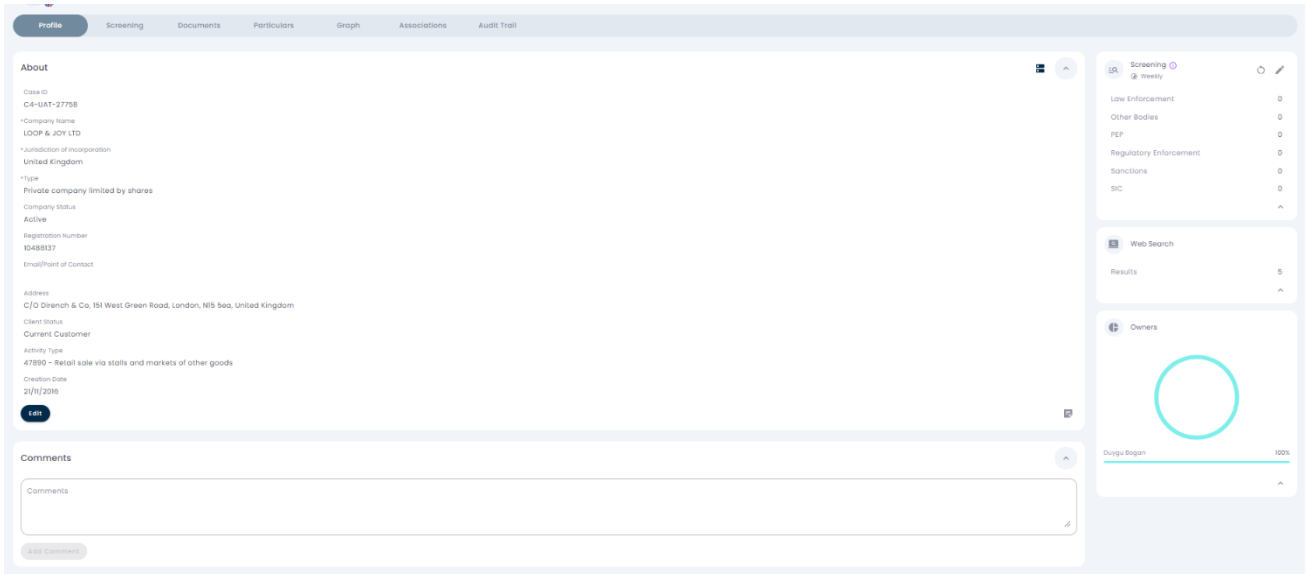
- Company Name and Case ID: Clearly displayed for easy identification.
- Case Status: Indicates the current status of the case.
- Risk Level: Quick assessment of the entity's risk level.

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 'Profile', 'Screening', 'Documents', 'Particulars', 'Graph', 'Associations', and 'Audit Trail'. The main content area is divided into three sections: 'About', 'Comments', and 'Quick View'. The 'About' section provides detailed company information, including Case ID (C4-1047-27758), Company Name (LOOP & JOY LTD), Jurisdiction (United Kingdom), Type (Private company limited by shares), Company Status (Active), Registration Number (15488327), Email/Point of Contact, Address (C/O Dinech & Co, 151 West Green Road, London, N15 5ea, United Kingdom), Client Status (Current Customer), Activity Type (47890 - Retail sale via stalls and markets of other goods), and Creation Date (21/11/2018). The 'Comments' section features a text input field and an 'Add Comment' button. The 'Quick View' section on the right includes a 'Screening' summary table, a 'Web Search' results count, and an 'Owners' section with a circular progress indicator for 'Dougu Bogdan' at 100%.

Screening	Results
Low Enforcement	0
Other Bodies	0
PEP	0
Regulatory Enforcement	0
Sanctions	0
SIC	0

Web Search	Results
Results	5

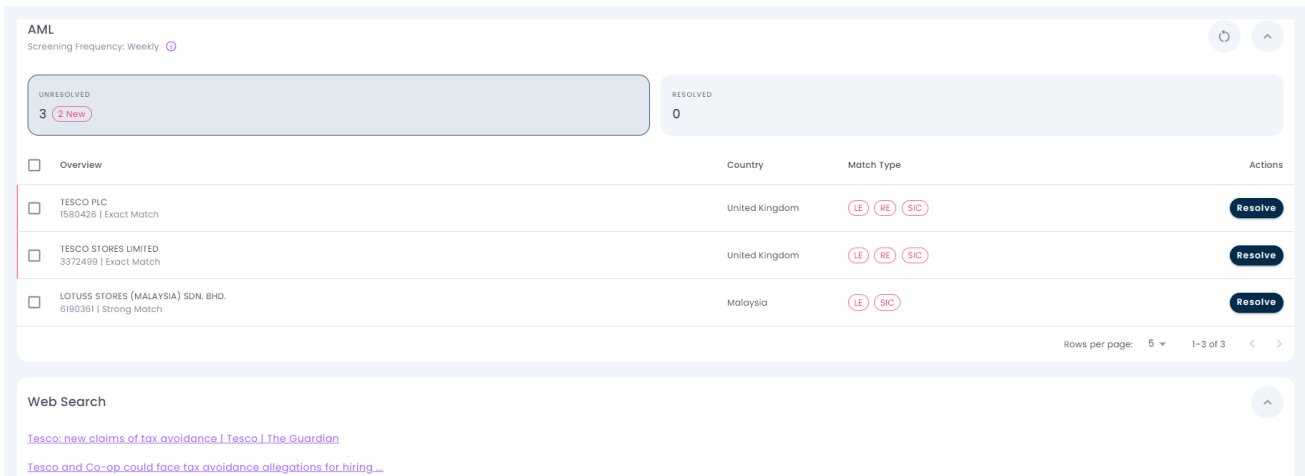
Owners

Dougu Bogdan 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 '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'. The table contains three rows of data for various entities like TESCO PLC and LOTUSS STORES. Each row has a 'Resolve' button. At the bottom, there is a 'Web Search' section with two search results from The Guardian.

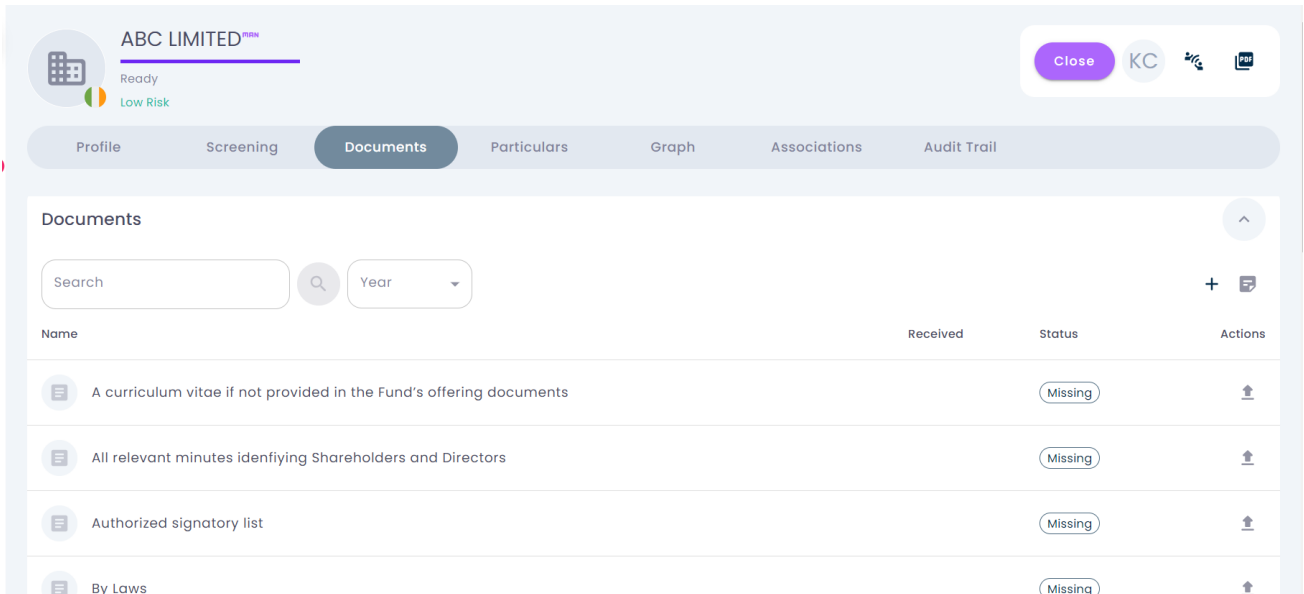
Country	Match Type	Actions
United Kingdom	LE RE SIC	Resolve
United Kingdom	LE RE SIC	Resolve
Malaysia	LE SIC	Resolve

The Screening section focuses on Anti-Money Laundering (AML) screening of the individual or entity you are onboarding. The Know Your Customer system is connected to the LSEG World Check One database for AML match screening.

Here's what you'll find in this area:

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



ABC LIMITED ^{MRN}

Ready
Low Risk

Close KC

Profile Screening **Documents** Particulars Graph Associations Audit Trail

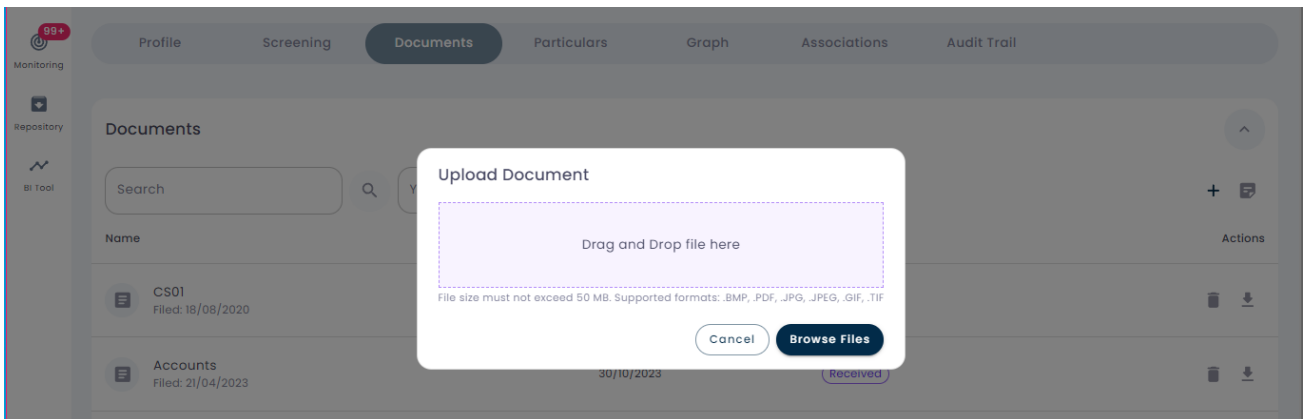
Documents

Search Year

Name	Received	Status	Actions
A curriculum vitae if not provided in the Fund's offering documents		Missing	↑
All relevant minutes identifying Shareholders and Directors		Missing	↑
Authorized signatory list		Missing	↑
By Laws		Missing	↑

This is where you can upload documents related to the entity you are onboarding for them to be stored securely.

To upload a document click the plus sign in the top right corner of this section, you have the option to add additional documents here that you would like to store as part of your entity onboarding.



Profile Screening **Documents** Particulars Graph Associations Audit Trail

Documents

Search Year

Upload Document




Drag and Drop file here

File size must not exceed 50 MB. Supported formats: .BMP, .PDF, .JPG, .JPEG, .GIF, .TIF

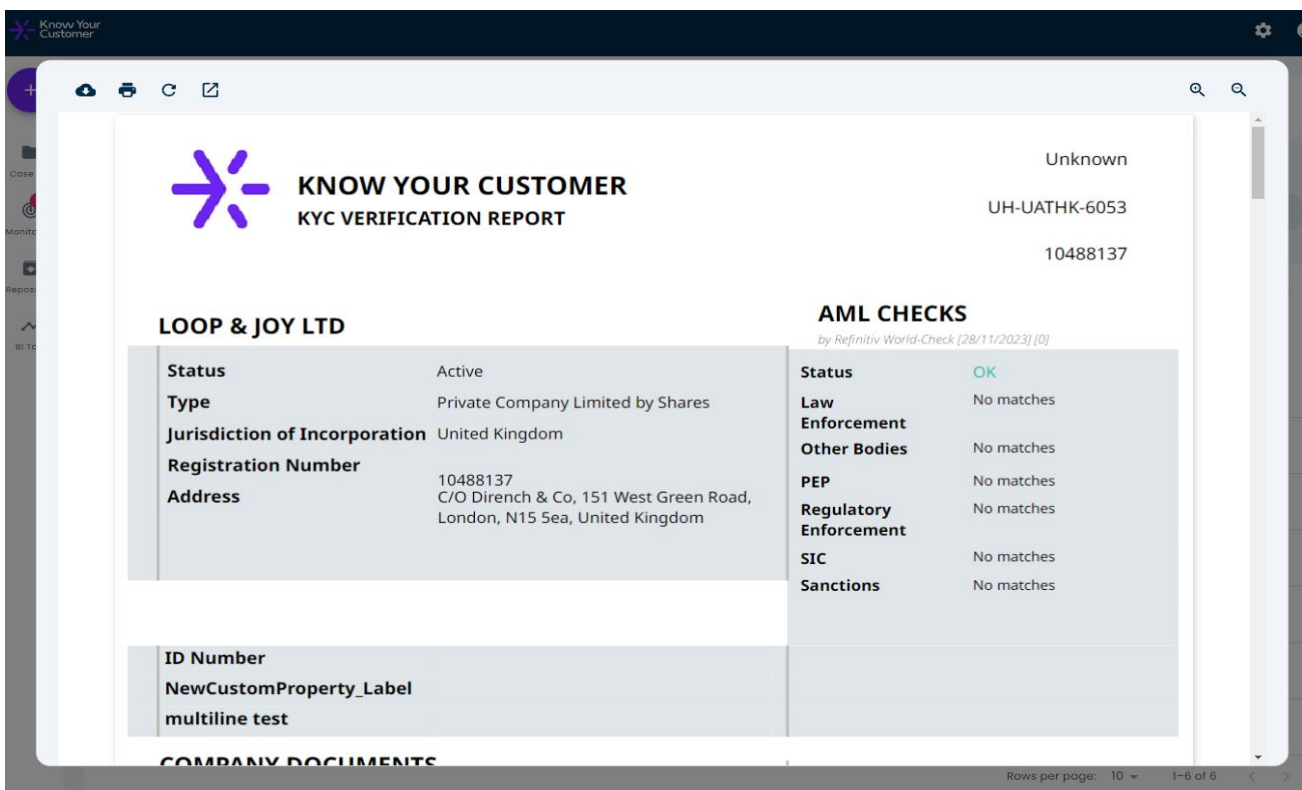
Cancel Browse Files

Name	Received	Status	Actions
CS01 Filed: 18/08/2020			↓
Accounts Filed: 21/04/2023	30/10/2023	Received	↓

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

COMPANY DOCUMENTS

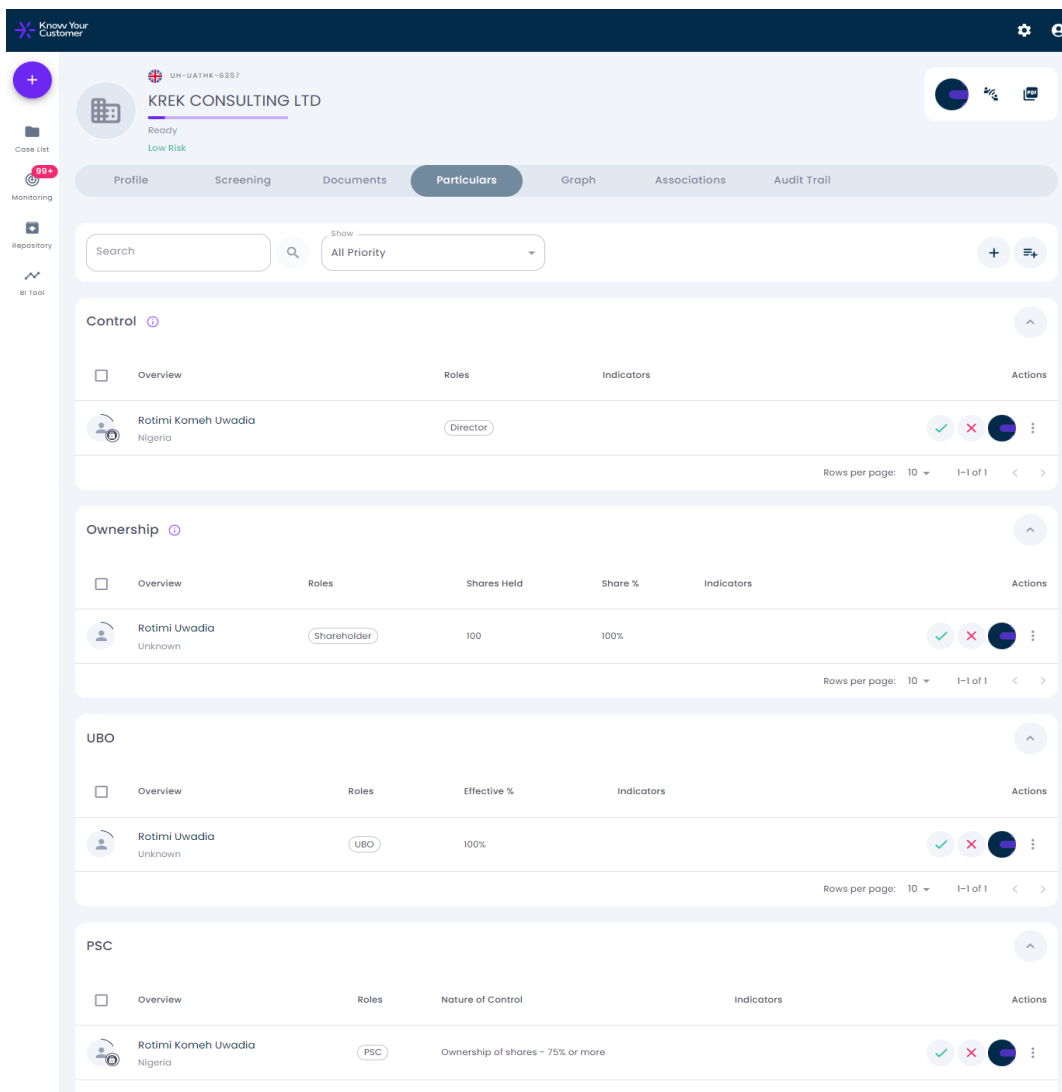
3.4 Particulars

In the Particulars section, detailed information about the entity's control, ownership, ultimate beneficial owner (UBO), and persons with significant control (PSC) can be added by clicking the circle button on the top right of the page



Each area is labelled to distinguish where to put the appropriate information.

1. Control: Details on Directors and/or Officers can be added here
2. Ownership: Information on the company Shareholders can be added here
3. UBO (Ultimate Beneficial Owner): Identification of UBOs calculated by the system once ownership details have been input
4. PSC (Persons with Significant Control): Information about individuals with significant control (UK entity cases only)



Control

Overview	Roles	Indicators	Actions
Rotimi Komeh Uwadia Nigeria	Director		

Ownership

Overview	Roles	Shares Held	Share %	Indicators	Actions
Rotimi Uwadia Unknown	Shareholder	100	100%		

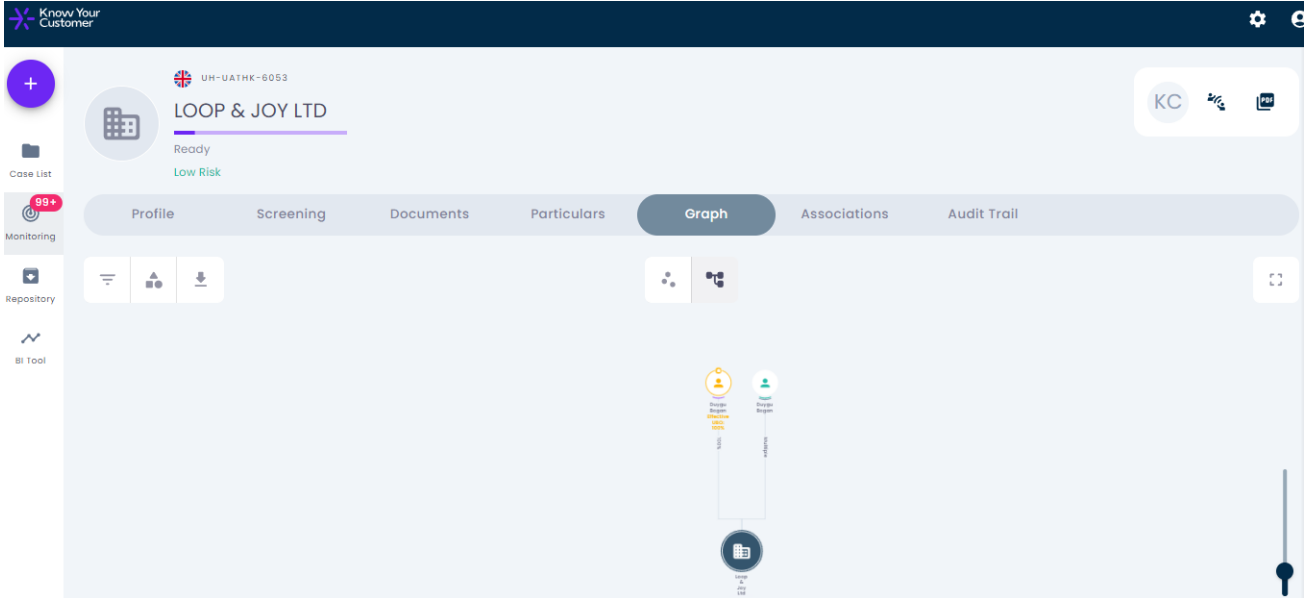
UBO

Overview	Roles	Effective %	Indicators	Actions
Rotimi Uwadia Unknown	UBO	100%		

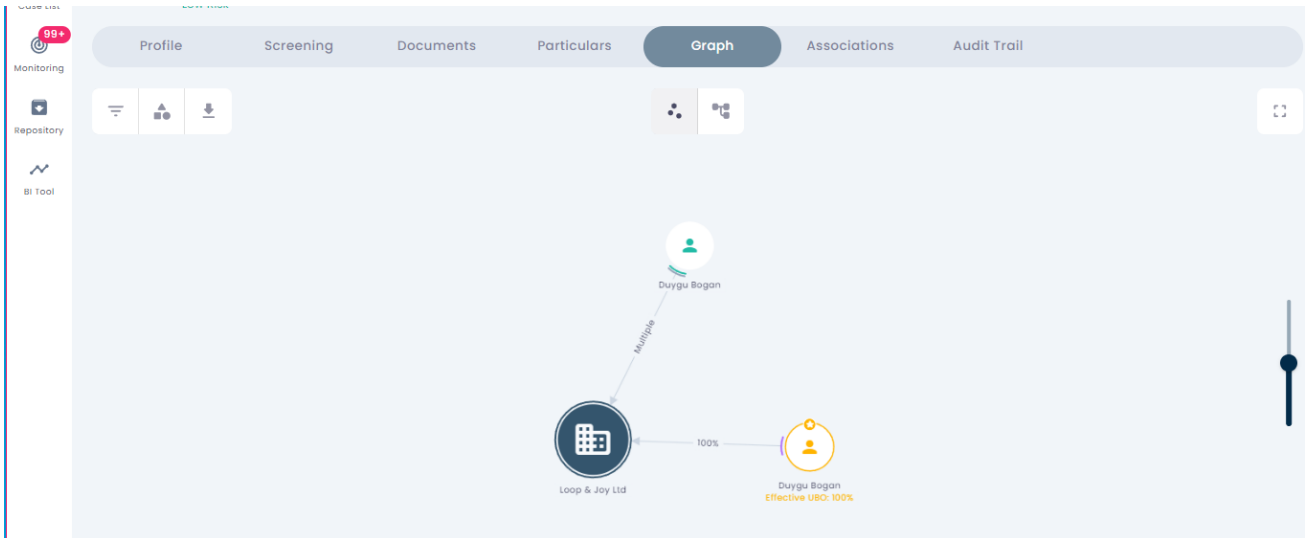
PSC

Overview	Roles	Nature of Control	Indicators	Actions
Rotimi Komeh Uwadia Nigeria	PSC	Ownership of shares = 75% or more		

3.5 Graph (Structure Chart)



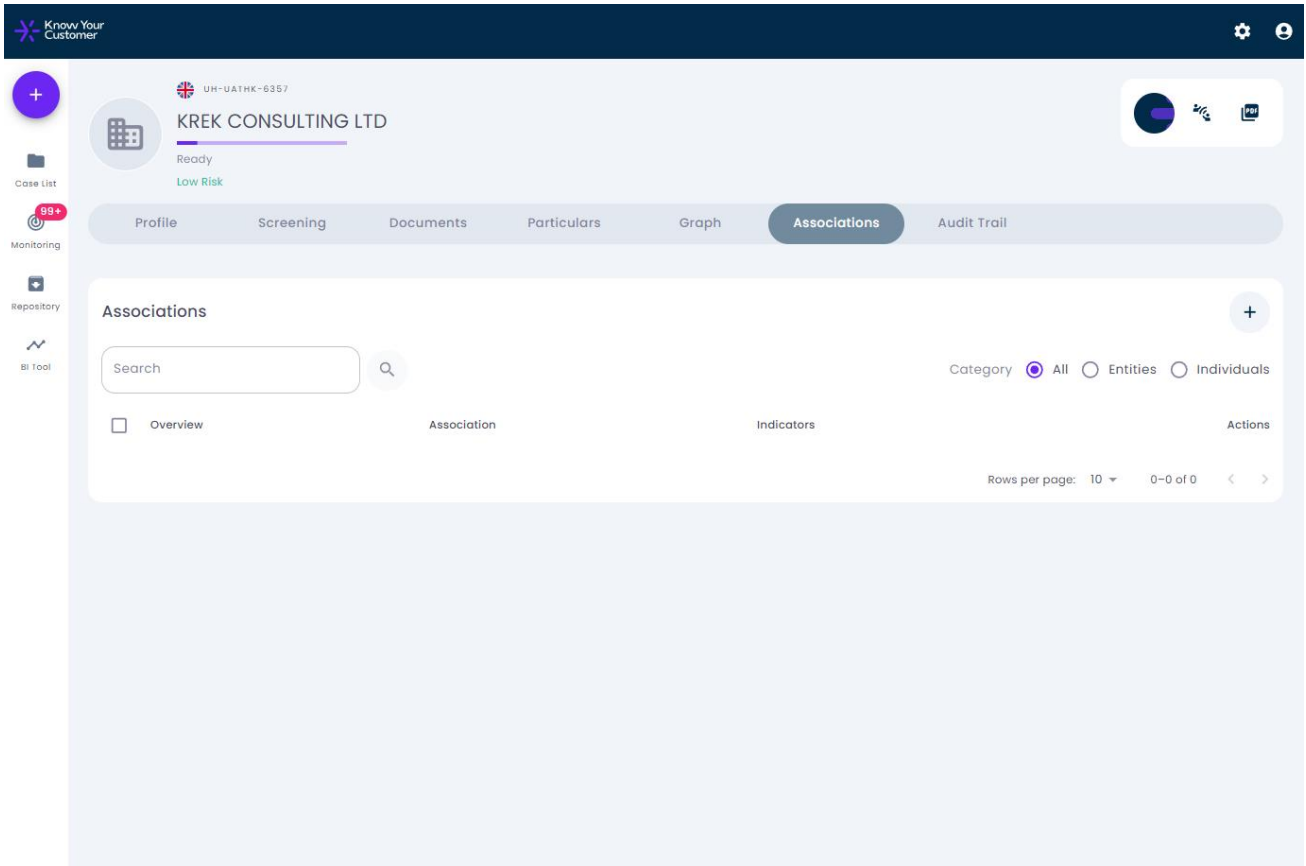
The Graph section provides an intuitive visual representation of the entity's shareholding structure. You can choose between graph view or tree view to easily see the full entity structure.



To view what each colour or icon means in the graph view click on the middle button on the top left of the window. To download the graph, click on the download arrow button.

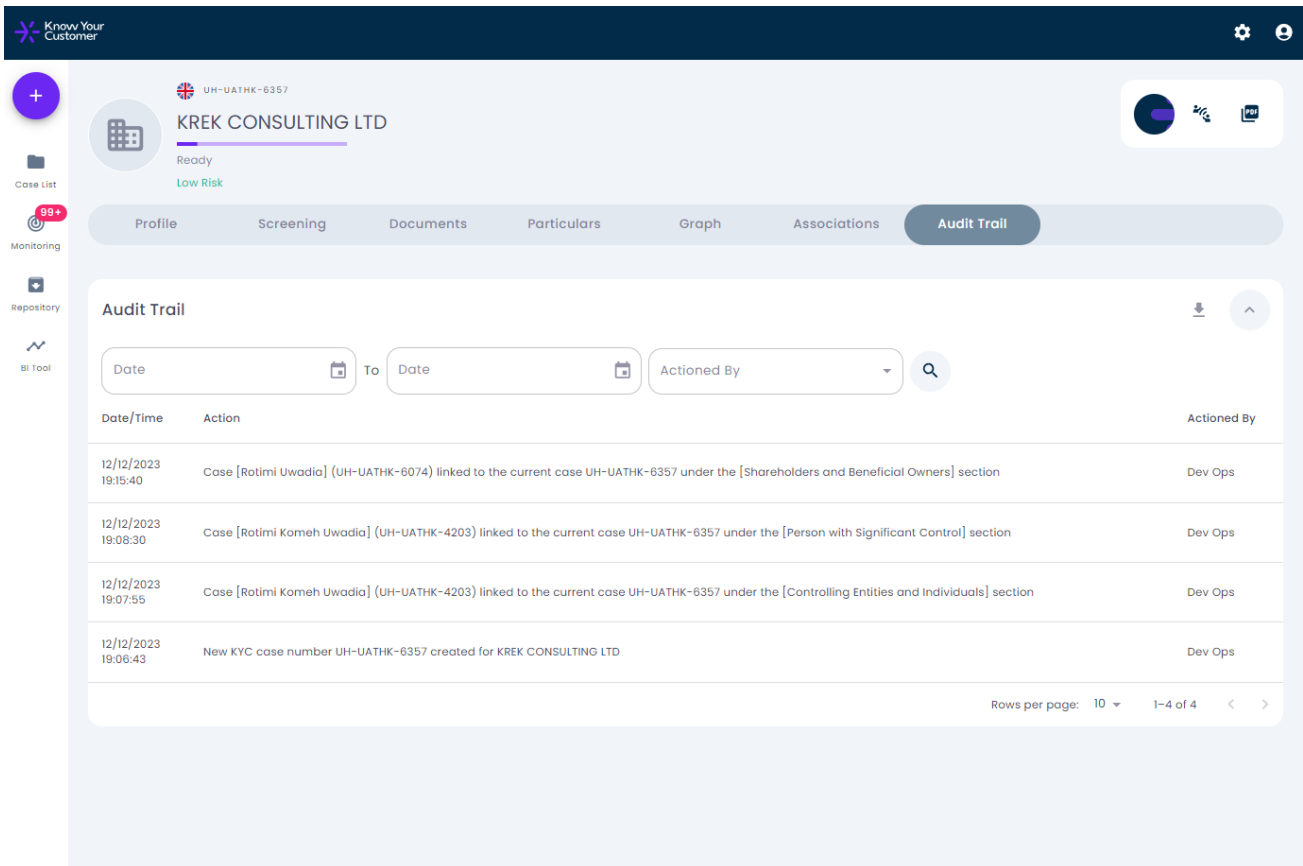
3.6 Associations

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 the 'Know Your Customer' interface. The top navigation bar includes 'Profile', 'Screening', 'Documents', 'Particulars', 'Graph', 'Associations' (selected), and 'Audit Trail'. The main content area has a search bar and a 'Category' filter with options for 'All' (selected), 'Entities', and 'Individuals'. Below the search bar, there are columns for 'Overview', 'Association', 'Indicators', and 'Actions'. The page also shows a 'Rows per page' dropdown set to 10 and a '0-0 of 0' indicator.

3.7 Audit Trail



The screenshot shows the 'Audit Trail' section for case UH-UATHK-6357. The case is for 'KREK CONSULTING LTD' and is in a 'Ready' state with a 'Low Risk' rating. 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.

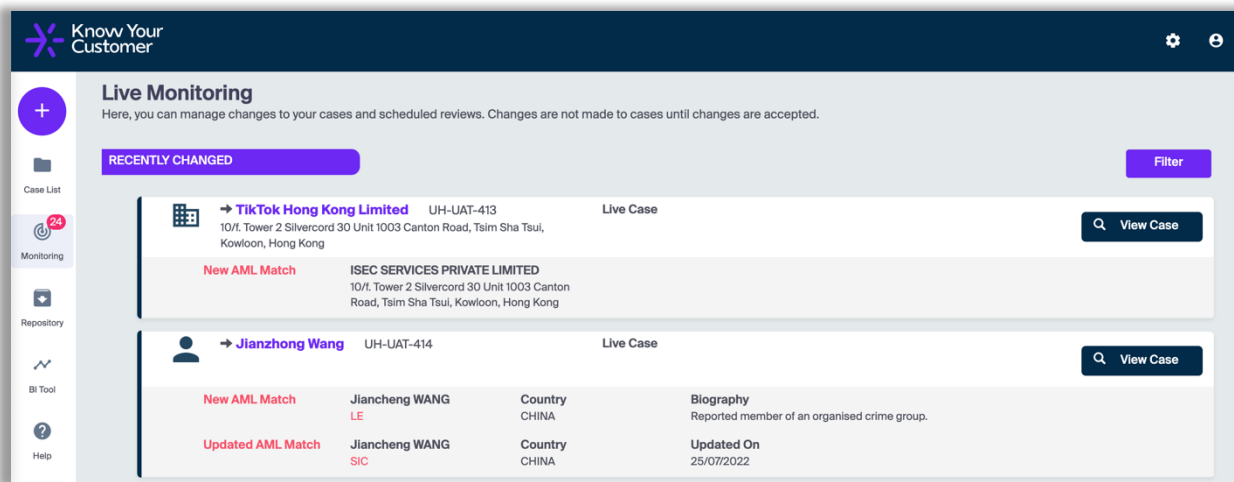
When all the steps have been accepted and the bar is fully purple, the “Close Case” button will appear in the Identification section.

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.

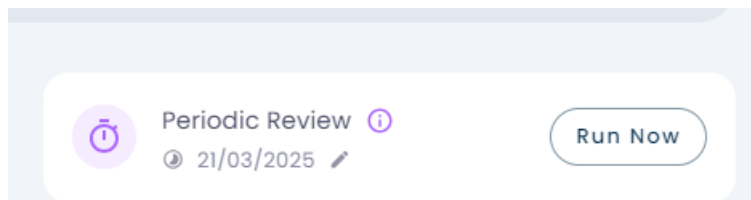
More specifically, live monitoring includes **Case Details** review, **AML match** review and **Expired POI document** checks. While case details review is available for closed cases only, AML review and Expired POI document check is performed for closed as well as open cases.

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.



Know Your Customer Limited

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

<https://knowyourcustomer.com>

