

Scan

Version 1.1.0

Revision Summary:

1.0.0	Draft	AM
1.0.1	Draft	RW
1.0.2	Draft	TM
1.0.3	Chapter added	TM
1.0.4	Chapter 5 added	AM
1.1.0	Scan Changes	AM

1 Scan

A scan checks a list of customers. Before a customer is checked, a new customer is created and an existing customer is updated in the KYC Toolbox.

The list of customers to be checked by the scan is uploaded as comma-separated values (CSV) or as tab-separated values (TSV) text file with one customer per line. Here we will refer to this file as “upload file”. Invalid lines (customers) are ignored and neither checked, added nor updated. The format of the upload file is described in chapter 3.

Each scan is in one of the following states:

- **STARTED:** The scan has started.
- **DONE:** The scan has finished.
- **FAILED:** The scan couldn't be read or processed.

2 Notes

2.1 Customer

A customer can either be a person or an organisation. These two types of customers have common as well as unique properties. Their specification therefore varies depending on the type. For example, a person's name consists of a first name and a last name, an organisation only has one simple name. How to specify persons and organisations is described in chapter 3.1.

The field "customer reference" is used to distinguish between different customers and must therefore be unique for each customer. The customer reference is assigned by the user.

2.2 Contract

A contract is used to group customers belonging to the same business relationship. A customer always belongs to one and only one contract and cannot be linked to another contract. The field "contract reference" is used to distinguish between different contracts.

Hint: If you do not wish to group your customers, you can leave the customers' contract reference fields empty. In this case, each customer will have his or her own contract.

If specified, the contract reference must be unique for each contract. Its value (if not empty) must be assigned by the user.

2.3 Grouping customers by contract reference

The grouping of customers is done by assigning a unique contract reference to a customer. If the contract with the specified contract reference does not exist, it will be created upon its first specification as the contract reference of a customer. New customers bearing the contract reference will be created and subsequently linked to that contract.

Caution: Once a customer is created, it is not possible to link them to another contract. Therefore you have to choose whether and how to group your customers before their creation! Adding new customers to an existing contract is possible. Regrouping existing customers in new contracts or assigning them to different contracts is not possible.

3 Input Format

For the upload file only the following encodings are accepted:

- UTF-8
- ISO-8859-1
- US-ASCII
- UTF-16

The character "|" (pipe) is not allowed as separator, because it is used for multi-valued fields.

3.1 Fields

Index	Name	Description	Data type	Multi-valued
1	customer reference	The unambiguous reference of the customer. Cannot be empty.	string	no
2	contract reference	The contract reference of the customer. Can be empty. See chapter 2.2 for more information on contracts.	string	no
3	user	The user login of the relationship manager of the customer. Can be empty.	string	no
4	type	The type of the customer (person or organisation): <ul style="list-style-type: none"> • Person: "P". • Organisation: "O". Cannot be empty.	string	no
5	last name	<ul style="list-style-type: none"> • Person: The last name of the person. Cannot be empty. • Organisation: The name of the organisation. Cannot be empty. 	string	yes
6	first name	<ul style="list-style-type: none"> • Person: The first name of the customer. If for a name it is difficult to determine between the first and the last name, it is important to leave the first name empty and put the whole name into the last name, otherwise you may miss relevant matches. In all situations where the first and the last name can be clearly determined, use both fields because putting all into the last name reduces the match quality. • Organisation: Leave empty. 	string	yes
7	citizenship	<ul style="list-style-type: none"> • Person: The citizenship of the person. Can be empty. • Organisation: Leave empty. 	country	yes
8	country of residence	The country of residence of the customer. Can be empty.	country	yes
9	date of birth	<ul style="list-style-type: none"> • Person: The date of birth of the person. Can be empty. • Organisation: Leave empty. 	date	yes
10	account closed	The date when the account has been closed. Can be empty but if set it has to be complete.	date	no
11	account opened	The date when the account has been opened. Can be empty but if set it has to be complete.	date	no
12	future use	For future use. Leave empty.	string	no

3.2 Data Types

- A *date* either has the format "YYYYMMDD" or "YYYY-MM-DD" or if the day and the month are unknown "YYYY" or "YYYY0000".
 - Examples of complete dates: 19870317, 1987-03-17
 - Examples of incomplete dates with day and month unknown: 1987, 19870000.
- A *country* is indicated by its ISO 3166-1 alpha-2 code (in capital letters).

3.3 Multi-Valued Fields

Fields that accept multiple values can accept a list of their data types separated with the pipe character "|":

Example 1: A customer has more than three citizenships: "CH|IT|DE".

Example 2: A customer has more than two dates of birth: "1987|1987-03-17".


Example 3: A person has two names "Hans Müller" and "Hans Müller von Abel":

- Field 5 (last name): "Müller|Müller von Abel".
- Field 6 (first name): "Hans|Hans".

If multiple names are given for a person, then the first name field can be empty or it has to contain the same amount of first names as last names.

4 Output

SCAN INFO

Name
scan 5 

File
scan5.csv [DOWNLOAD](#)

Encoding	Separator
ISO-8859-1	Comma (,)

State	Type
DONE	UPLOAD

Start date	Stop date
03.11.2019 08:39	03.11.2019 08:39

Total customers	Invalid customers
5	0

Processed customers	Failed customers
5	0

Positive customers	Negative customers
5	0

[DOWNLOAD RESULT](#) [USE AS TEMPLATE](#)

[PREPARE NEW SCAN](#)

After a Scan has finished, you will see a summary of it in the Toolbox:

- Total customer: The total number of customers provided in the upload file.
- Invalid customers: Number of customers, which have at least one field that is conflict with the format described in chapter 3.1.
- Processed customer: Number of customers which were checked and created or updated in the database.
- Failed customers: Number of customers which failed to be checked. In this case there could be a conflict with existing customer or contract references.
- Positives customers: Number of customer where possible risks were found.
- Negative customer: Number of customer where no risks were found.

If you download the result, you will have further informations available for every customer. There will be an additional column with following values:

- NO_RISKS_FOUND: No risks were found for the customer.
- POSSIBLE_RISKS_FOUND: Some possible risks were found for the customer.
- PROBLEM + message: There was a problem with the customer. The message should help to find the issue.

5 Recheck

In the scan overview you can recheck all your customers if you click on "Scan all customers". This will start a new check for all existing customers. When the recheck has finished, you will have all the informations described in chapter 4 available too.

SCAN INFO

Name

File

BROWSE

Encoding

ISO-8859-1

Separator

Comma (,)

START SCAN

SCAN ALL CUSTOMERS

6 How to create an upload file

This section will explain how to generate an upload file using Microsoft Excel and Notepad++. Feel free to use the Excel template provided with the documentation (scan_template.xlsx).

6.1 Create an Excel Table

First of all load your customers table in Excel and make sure, that every column has a header. Remember that empty columns need a header too, because the scan will expect exactly 12 columns.

Customer Reference	Contract Reference	User	Type	Last Name	First Name	Citizenship	Country of Residence	Date of Birth	Account closed	Account opened	Future Use
ref-1	contract-A		P	Pedro	Sánchez	ES	ES	1972-02-29			
ref-2	contract-B		P	Merkel	Angela	DE	DE	19540717			
ref-3	contract-C		O	The "Quote" Company			GB				
ref-4	contract-C		O	abü AOU Company			US				

6.2 Export Table as Unicode -Text

Export the table as a "Unicode-Text (.txt)". Click on File -> Export -> Save as another File Type -> File Type: Unicode-Text (.txt)

scan_template.xlsx - Excel

Exportieren

- PDF/XPS-Dokument erstellen
- Dateityp ändern**

Dateityp ändern

Arbeitsmappen-Dateitypen

- Arbeitsmappe (*.xlsx)
Verwendet das Excel-Kalkulationstabellenformat
- Excel 97-2003-Arbeitsmappe (*.xls)
Verwendet das Excel 97-2003-Kalkulationstabellenformat
- OpenDocument-Kalkulationstabelle (*.ods)
Verwendet das OpenDocument-Kalkulationstabellenformat
- Vorlage (*.xltb)
Ausgangspunkt für neue Kalkulationstabellen
- Arbeitsmappe mit Makros (*.xlsm)
Makrofähige Kalkulationstabelle
- Binärarbeitsmappe (*.xlsb)
Für schnelles Laden und Speichern optimiert

Andere Dateitypen

- Text (Tabstopp-getrennt) (*.txt)
Textformat mit Tabulatortrennung
- CSV (Trennzeichen-getrennt) (*.csv)
Textformat mit Kommatrennung
- Formatierter Text (Leerzeichen-getrennt) (*.txt)
Textformat mit Trennung durch Leerzeichen
- Als anderen Dateityp speichern**

Speichern unter

Speichern unter

Dieser PC > Lokaler Datenträger (C:) > Benutzer > Adriano Meyer > Dokumente

Organisieren Neuer Ordner

Name	Änderungsdatum	Typ	Größe
Benutzerdefinierte Office-Vorlagen	30.08.2018 12:44	Dateiordner	
Meine Datenquellen	09.10.2019 15:10	Dateiordner	
scan_template.xlsx	09.10.2019 16:18	Microsoft Excel W...	10 KB

Dateiname: scan_template.xlsx

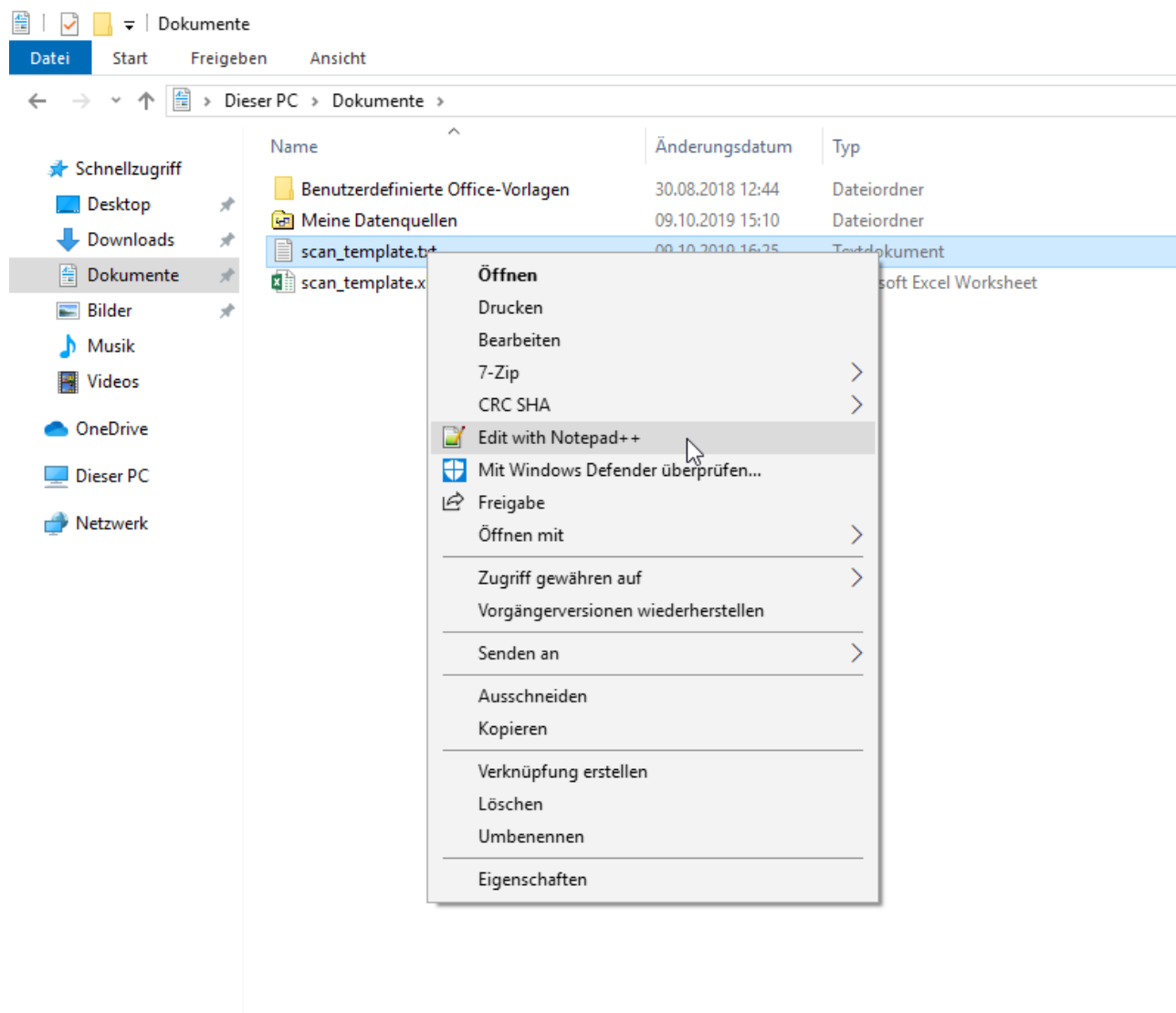
Dateityp: Excel-Arbeitsmappe (*.xlsx)

Autoren:

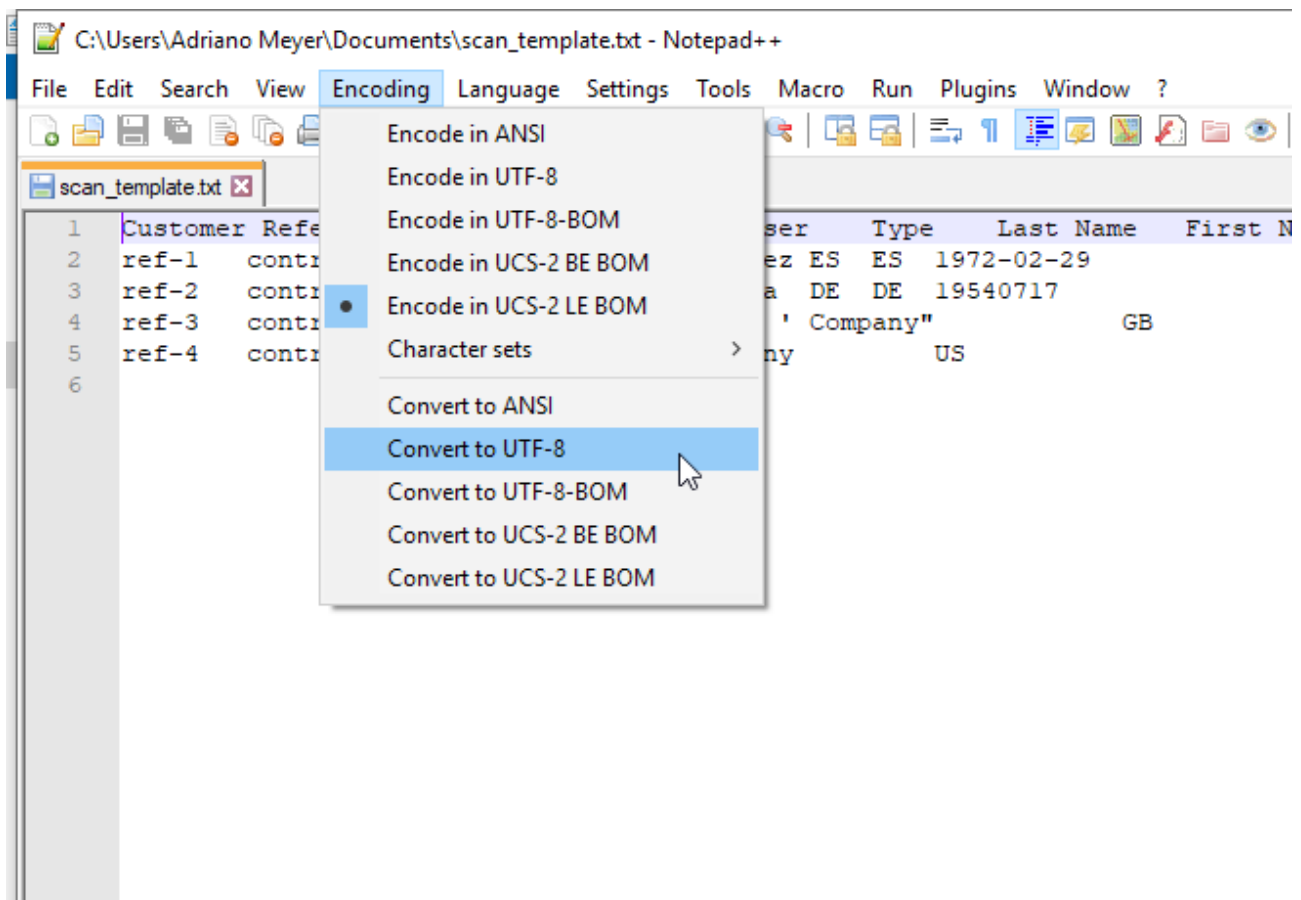
- Excel-Arbeitsmappe (*.xlsx)
- Excel-Arbeitsmappe mit Makros (*.xlsm)
- Excel-Binärarbeitsmappe (*.xlsb)
- Excel 97-2003-Arbeitsmappe (*.xls)
- XML-Daten (*.xml)
- Einzelnes Webarchiv (*.mht;*.mhtml)
- Webseite (*.htm;*.html)
- Excel-Vorlage (*.xltb)
- Excel-Vorlage mit Makros (*.xltn)
- Excel 97-2003-Vorlage (*.xlt)
- Text (Tabstopp-getrennt) (*.txt)
- Unicode-Text (*.txt)
- XML-Kalkulationstabelle 2003 (*.xml)
- Microsoft Excel 5.0/95-Arbeitsmappe (*.xls)
- CSV (Trennzeichen-getrennt) (*.csv)
- Formatierter Text (Leerzeichen-getrennt) (*.prn)
- Text (Macintosh) (*.txt)
- Text (MS-DOS) (*.txt)
- CSV (Macintosh) (*.csv)
- CSV (MS-DOS) (*.csv)
- DIF (Data Interchange-Format) (*.dif)
- SYLK (symbolische Verbindung) (*.slk)
- Excel-Add-In (*.xlam)
- Excel 97-2003-Add-In (*.xla)
- PDF (*.pdf)
- XPS-Dokument (*.xps)
- Strict Open XML-Arbeitsmappe (*.xlsx)
- OpenDocument-Kalkulationstabelle (*.ods)

6.3 Change Encoding with Notepad++

After exporting your table, you will have a new text file in your folder. Close Excel and open this new text file with Notepad++



Click on "Encoding" on the upper menu and select "Convert to UTF-8". Save the file after that.



You have now a UTF-8 encoded text file, which contains your table as tab-separated values (TSV). You can upload this file in the toolbox as a scan with "UTF-8" as encoding and "Tab (\t)" as separator.

SCAN INFO

Name
Scan Template

File
scan_template.txt **BROWSE**

Encoding
UTF-8

Separator
Tab (\t)

START SCAN