

# Know Your Customer v1.0 PDF



This content applies solely to Connected KYC, which must be purchased separately from the Appian base platform. This content was written for Appian 22.1 and may not reflect the interfaces or functionality of other Appian versions.

## Connected KYC Overview

### Introduction

Appian Connected KYC is the third solution in our Connected Financial Services (FS) Suite and is a critical pillar in our customer lifecycle management processes of the customer journey. Connected KYC has been built leveraging our internal industry expertise and experience building out customer specific FS use cases.

This page provides a quick overview of all the ways Appian Connected KYC can help your organization. If you would like a more comprehensive overview of the solution, check out Using Connected KYC starting with the [Home Page Overview](#)

### What does Appian Connected KYC provide?

The KYC process doesn't end after onboarding but rather is continually reinforced between an institution and customer as the customer relationship deepens and extends. KYC can be triggered by a new or changing relationship with the customer, timing (KYC data can expire based on policy) and events (recent negative news or other pertinent data).

Connected KYC eliminates the friction sometimes associated with KYC investigations, significantly reducing false positives and unnecessary investigations, and streamlining the data management of an investigation to reduce risk. It will help achieve a financial institution's goals of reducing risk, improving customer service, and enhancing operational efficiency

### Configurable KYC Processes

Business users can fully manage tasks, documents, questionnaires, and different customer types.

### Increased compliance officer focus

Connected KYC allows you to automatically route KYCs that require a manual review based on a custom set of rules determined to reduce unnecessary workload and improve accuracy.

### Continuous monitoring

Configure alerts to notify the compliance team of data changes to customer records and automatically open new KYC investigations.

### Robust document tracking

Connected KYC allows you to upload, manage, and track the status of documents. Appian's Intelligent Document Processing (IDP) will automatically classify your documents in order to ensure that the correct documents are being reviewed.

### Customer centric dashboards

Keep track of upcoming and historical KYC investigations, tasks, risk scores, and easily identify issues at the customer level.

## Key data integrations

Connected KYC integrates with several leading data providers in the financial services space.

## Get started now

Ready to get started? See the Connected KYC documentation, starting with [Installing Connected KYC](#) for more information.

# Installing Connected KYC

## Introduction

Installing Connected KYC consists of four main steps:

1. [Download the software package.](#)
2. [Deploy Connected KYC plug-ins to the Appian environment.](#)
3. [Create the database objects in the business data source.](#)
4. [Import the Connected KYC application into the Appian environment.](#)

Before starting the installation process, review the [System Requirements](#) to make sure all minimum requirements are met.

## System requirements

- Appian platform running version 22.1 or greater.
- A supported version of [MariaDB](#) as a business data source.
  - **Note:** Instructions below are for MariaDB databases. For use with other databases, the SQL script used in **Step 3** will need to be modified.
- A supported [web browser](#).

## Technical support

Current customers can log into Appian Community and open support cases. All users of Connected KYC can also email Appian Support at [support@appian.com](mailto:support@appian.com).

## Step 1: Download software package

The first step in installing Connected KYC is to download the software package that contains the following files. These files will be used in the remaining set up steps.

- **ConnectedKYCv1.1.0.sql:** SQL script for creating the database objects needed for the Connected KYC application.
- **ConnectedKYCv1.1.0.zip:** Application package to import into Appian.
- **ConnectedKYCv1.1.0.properties:** Import customization file for configuring the solution package.

To download the software package:

1. In MyAppian, navigate to the [Support tab](#).
2. At the top of the page, select **DOWNLOADS** and then **SOLUTIONS**.
3. In the grid, click **Connected KYC v1.1.0**.
4. Under **Downloads**, click **Connected KYC Components** and agree to the License Agreement.
5. Click **Connected KYC Components** to download the ZIP file.
6. Unzip ConnectedKYCv1.1.0.zip to access the installation files.

## Step 2: Deploy plug-ins

Connected KYC relies on the following plug-ins to be deployed and configured in the target system before the application files can be imported.

## Appian Cloud environments

To deploy the plug-ins for an Appian Cloud environment:

1. In the target environment, log in as the deployment user.
2. Navigate to the **Admin Console**.
3. On the left side of the console, click **Plug-ins**.
4. Click **ADD NEW PLUG-INS**.
5. Search for and click Appian Solutions.
6. Click **DEPLOY**.
7. Repeat the above steps, but search for and click Advanced Unzip, Google Cloud Storage, Google Cloud AutoML, FS Integration Plugin, and People Functions.

## Self-managed environments

The following plug-ins can be downloaded directly from the [Appian AppMarket](#):

- [Appian Solutions Plug-in](#)
- [Google Cloud AutoML Connected System](#)
- [Google Cloud Storage](#)
- [Advanced Unzip](#)
- [FS Integration Plugin](#)
- [People Functions](#)

Once all plug-ins are downloaded, deploy the plug-ins to all environments. The steps for deploying plug-ins are different depending on if you have an Appian Cloud or self-managed environment.

To deploy the plug-ins for a self-managed environment:

- Follow the [Deploying Plug-ins](#) instructions to deploy the Appian Solutions Plugin, Advanced Unzip, Google Cloud Storage Connected System, Google Cloud AutoML, FS Integration Plugin, and People Functions plug-in files that were downloaded in [Step 1](#).

## Step 3: Create database objects

In order to create the structure for the database tables, views, and other objects that are a part of the Connected KYC application, you will need to run a DDL script in your database.

To create the database objects:

- In your MariaDB business database, import and run the sql DDL file that was downloaded in [Step 1](#).

## Step 4: Import the application

The next step to install the Connected KYC application is to import the application files into the target environment.

To import the application:

1. In the target environment, log in as the deployment user.
2. Navigate to the **Appian Designer**.
3. Click **IMPORT**.
4. Click **UPLOAD** and choose the zip file that was downloaded in [Step 1](#).
5. Select **Include related import customization file** and click **UPLOAD**. Select the properties file that was downloaded in [Step 1](#).
  - **Note:** If you have credentials for any of the integrations, you may include them in the properties file.
6. Click **INSPECT** in order to ensure that there will be no complications on import.
  - Note: inspection could take several minutes and may time out, but import will continue in the background.
7. Click **IMPORT**.
  - **Note:** The import may time out due to file size, but import will continue in the background.
8. Review the import results.
9. In Appian Designer, verify that the processes AS KYC Set Group IDs and AS FS Set Doc IDs ran successfully.

If the business database is not called Appian, a warning will occur when inspecting/importing the data stores. To fix

this, after the import is complete, open each data store object and update the **Data Source**.

## Step 5: Configure User Start Pages

After your import is completed, you should set up [User Start Pages](#) in the [Appian Admin Console](#). This will ensure that when your users log in they will automatically be directed to the correct site.

The recommended start pages for the Connected KYC user groups are:

Group	Start Page URL
AS FS Internal Users	https://< ENVIRONMENT-NAME >/suite/sites/connected-kyc
AS FS Appian Administrators	https://< ENVIRONMENT-NAME >/suite/design

## Next steps

Now that the solution is installed and the database is set up, you're not quite done yet. There are a few more steps you need to take to get your solution up and running.

If you're using any integrations: [Companies House](#), [DocuSign](#), [Dun and Bradstreet](#), [Intelligent Document Processing](#), [Northrow](#), or [OFAC](#), there are some prerequisites to complete and minimal configuration needed from the [System Administration Center](#).

After that, you're going to want to configure the solution for your organization's needs. [How to Configure Connected KYC](#) outlines the steps you will need to take to modify the solution to work with your organization's requirements.

Additional specifications such as branding and timezone can be set in the [Appian Admin Console](#).

Do not delete objects that are not prefixed with AS\_KYC. This can cause problems with future Financial Services solution setups and must be avoided. To learn more about how to safely edit these objects, go to the [modifying objects](#) section of our documentation.

# How to Set Up Connected KYC

## Introduction

After [installing Connected KYC](#), there are several configurations you will likely perform to customize the solution for your organization's processes. In order to make sure your solution remains flexible, scalable, and aligns with best practices, we have provided instructions to guide you through some of the most common configurations.

This page outlines the order we recommend for configuring the default solution to work for your organization after completing the installation process. However, all of these instructions can be used to modify the solution at any time.

Updates in Appian Designer should be done with caution by someone familiar with Appian development.

## Modifying objects

To make sure you always have the default interfaces, expression rules, and process models to refer back to, we suggest performing the following steps if you need to customize the solution:

- Create copies of the interfaces, expression rules, and process models you want to update.
- Name them with the suffix of *CUSTOM*. For example, something different than AS\_KYC\_FM\_InvestigationSummary\_CUSTOM.
- Use your new objects instead of the original objects.



Do not create copies of the CDTs. This would require you to update every reference to the CDT in the application. Instead, just modify the default CDTs provided in the application.

Following this paradigm will reduce the time and effort required to upgrade or add an additional Connected FS solution to your environment.

## Step 1: Configure user groups and security

Configuring user groups and security is a good place to start.

You will need to know:

- If your organization has any additional business roles that are not covered in the default business groups.
- What users should be members of each business group.

For more information on how to configure groups and security, see the following pages:

- See [Modifying Groups](#) to understand how to modify groups to fit your organization, as well as how to add users to the appropriate groups.
- See [Groups Reference Page](#) for more information about the default groups in Connected KYC and what they provide access to.
- See [Managing Group Membership](#) for instructions on adding users to groups from the front-end Connected FS Settings site.

## Step 2: Set default system behavior

The following solution behaviors can be configured by simply updating certain constants:

- Enabling or disabling comment notification.
- Turning integrations on or off.
- Setting the default currency.

## Step 3: Configure the create a new Investigation process

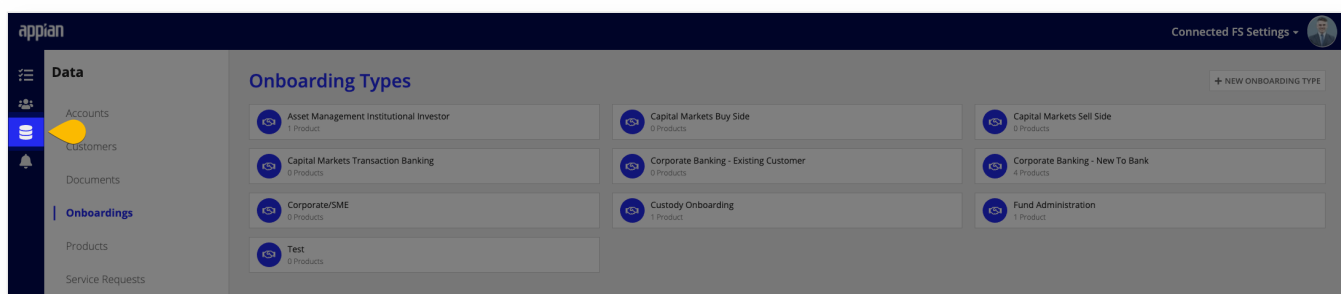
The [create a new Investigation process](#) consists of the following data-entry steps:

1. Choose a customer.
2. Provide Investigation details.

These steps can be modified to fit your organization's processes and data requirements by [configuring investigation values, fields, labels, and validations](#).

### Configure investigation values

The Create New Investigation form includes several key dropdown values that allow you to tailor the solution's Investigation process to match your organization's requirements and needs. In order to adapt Connected KYC for your organization, a business user can easily set these values and relationships in the **DATA** tab of the Connected KYC settings page.

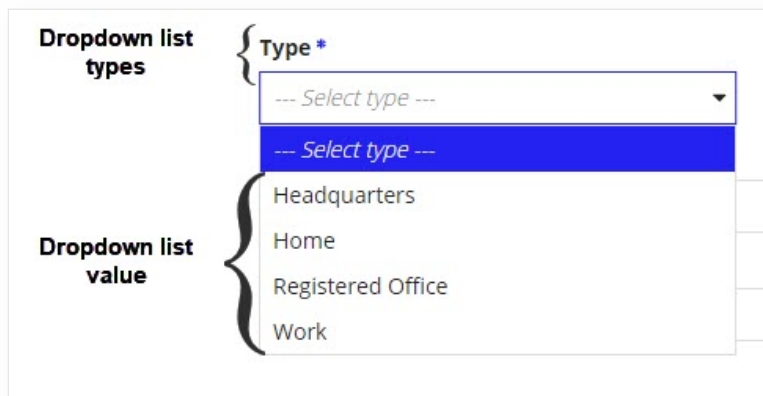


A business user will be able to set up:

- The values of account types, customer types, document types, Investigation types, and product types.
- Which products are added by default during a specific Investigation type.
- Which accounts are created when a certain product is added.
- Document examples to train the IDP classification process.
- The values of account types, customer types, document types, Investigation types, and product types.
- Document examples to train the IDP classification process.

## Configure dropdown lists

Most dropdown lists that are required for creating an Investigation can be configured by a front end business user in the Connected FS Settings page. The dropdown lists that cannot be set in the Connected FS Settings page are stored in reference tables. A dropdown list type is how you group dropdown list values, such as Entity or Request Status. You can update these values by updating the reference data tables.



You will need to know:

- What changes are required for the dropdown list values?
- Do you need any additional dropdown lists?

As long as you haven't loaded any data into the application, deleting unnecessary dropdown list values from the reference data tables should not cause a problem. Solution setup is the only time you should delete any values from reference data tables, and you must do so with care. However, you should never delete the data from a shared table. These include:

- AS\_FS\_R\_COUNTRY
- AS\_FS\_R\_CURRENCY
- AS\_FS\_R\_DATA
- AS\_FS\_R\_GLOBAL\_INDUSTRY\_CLASS
- AS\_FS\_R\_M\_CURRENCY
- AS\_FS\_R\_REGION
- AS\_FS\_R\_STATE

These tables are shared within the Financial Services solutions, were built to work together. If your organization ever decides to use more than one Financial Solution solution, deleting rows from these tables could cause problems. However, adding or editing rows is fine. If you don't need a value from one of these tables, make the value inactive instead of deleting it.

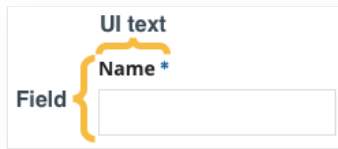
When setting up your solution, do not delete all of the values for a certain dropdown list type. If you do delete a dropdown list type, you will need to remove any references to that dropdown list type in the solution.

For instructions on how to modify these types of reference data, see the following pages:

- See [Modifying Dropdown Lists](#) for instructions on how to:
  - Modify the dropdown list values.
  - Add new dropdown lists types.

## Configure fields and UI text

It is likely that the default fields and UI text throughout the create new Investigation process will not exactly match your organization's requirements. You can configure them to meet your organization's needs.



For each of the create new Investigation data-entry steps, you will want to know:

- What fields are not applicable?
- What fields need to be added?
- What UI text needs to be modified or added?

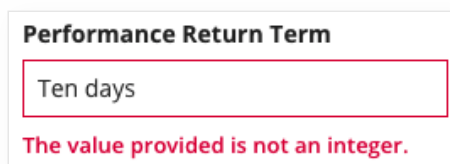
For instructions on how to modify fields and UI text, see the following pages:

- See [Modifying Record Fields](#) for instructions on how to add or modify the fields that appear in the solution interfaces and store data.
- See the [Solutions Hub User Guide](#) for instructions on how to modify UI text, including adding a new language.

## Configure validations

The [create new Investigations](#) process includes many validations by default, including validations that:

- Prevent invalid data from being entered into certain fields.



- Ensure that all of the required information has been entered for an Investigation.

The [Modifying Field Validations](#) page describes the default validations and how to modify these validations.

## Step 4: Create Investigation process templates

After you have configured your application, you can create the Investigation process templates to be used during the create new Investigation process. The Investigation process templates determine which tasks will be assigned by default for each new Investigation that is created.

You will need to understand your organization's current Investigation processes including:

- What categories to organize the tasks by?
- What are the distinct types of Investigations that have a standard set of tasks?
- What are all the tasks required to complete the various types of Investigation?
- What types of tasks will your organization need?
- Which business groups are responsible for each task?
- What tasks rely on other tasks to be completed first?
- What are the expected due dates for each task?

Before you create any templates, you will need to set up the attributes that will be used to select an Investigation template. The out-of-the-box, Investigation templates selected are based on the **Investigation Type** and **Region** of the Investigation. See the [Solutions Customization Suite User Guide](#) for instructions on how to customize these attributes. See [Template Selection Attributes](#).

You will also need to confirm which key dates the task due dates should be based on. By default, the task due dates are based off of the Investigation's target due date. You can [modify key dates](#) that are available for calculating task due dates.

When users create new tasks, they can choose from attach document, review, confirmation. If you need different types of tasks, you can add new automated or data entry task types. See [Adding a New Task Type](#) for instructions.

<input type="checkbox"/>	Task Name	Type
<input type="checkbox"/>	Enter Actual Funding Details	Funding Details
<input type="checkbox"/>	Enter benchmark details	Customer Benchmark
<input type="checkbox"/>	Sales handover	<input checked="" type="checkbox"/> Confirmation
<input type="checkbox"/>	Client Welcome Letter	<input checked="" type="checkbox"/> Confirmation
<input type="checkbox"/>	Prepare Loan Agreement	Attach Document

See [Setting Up Investigation Workflows](#) for more information, including how to manage task categories, tasks, and Investigation templates.

appian

flow

CONNECTED ONBOARDING

Categories

Tasks

Templates

Trends

CONNECTED SERVICING

Categories

Tasks

Categories

Category Name	Last Modified	
Account Creation	Aug 25, 2021 2:54 AM by appian.administrator	
Account Funding	Aug 25, 2021 2:54 AM by appian.administrator	
Accounting & Performance Setup	Aug 25, 2021 2:54 AM by appian.administrator	
Compliance Preparation	Aug 25, 2021 2:54 AM by appian.administrator	
Contract Negotiation	Aug 25, 2021 2:54 AM by appian.administrator	
Credit	Aug 25, 2021 2:54 AM by appian.administrator	
Custodian Setup	Aug 25, 2021 2:54 AM by appian.administrator	
Customer Benchmark	Aug 25, 2021 2:54 AM by appian.administrator	

+ NEW CATEGORY

## Step 5: Import existing data

You can migrate data into Connected KYC from other systems that your organization is using. This process is generally very unique and has its own nuances that depend on many factors.

[Migrating Data](#) provides the general steps to move customers, documents, accounts, and products into Connected KYC.

## Step 6: Internationalize display text (*optional*)

If your organization requires it, you can translate all of the text displayed in interfaces into multiple other languages using bundle files and reference data.

Before you begin, you will need translations for all of the text displayed in the UI.

See the [Solutions Hub User Guide](#) for instructions on how to modify UI text, including adding a new language.

Internationalizing the Connected KYC application includes:

- [Modifying UI Text](#)
- [Modifying Dropdown Lists](#)

## Step 7: Set up web APIs and integrations (*optional*)

After you complete the initial setup of the solution, you may want to take advantage of the various capabilities to extend the Connected KYC application.

You can use web APIs and integrations to automatically create new Investigations, classify documents, pull in customer information, and collect signatures.

## Automatically create new Investigations through a web API

Many organizations will be able to create new Investigations automatically by kicking off an Investigation from another application, such as Salesforce.

See [Create Onboarding Web API](#) for information on the web API that is used to facilitate automatic Investigation creation.

## Configure integrations

Several integrations are available to be used throughout Connected KYC. These integrations need some initial prerequisite set up and minimal configuration in the [System Administration Center](#) in order to be used. Using these integrations is completely optional.

The available integrations are:

- [Companies House](#)
- [DocuSign](#)
- [Dun and Bradstreet](#)
- [Intelligent Document Processing \(IDP\)](#)
- [Northrow](#)
- [Office of Foreign Assets Control \(OFAC\)](#)

## Step 8: Configure auditing for new fields (optional)

After setting up your initial CDTs, you may want to go back and track specific fields. You can use [auditing](#) to automatically configure this in your solution.

# Connected KYC Architecture Overview

## Introduction

Use this page as a way to get familiar with the **Connected KYC** before getting started on customizing or configuring the solution. This page outlines and explains the patterns developed by the Appian Solutions developers to make it easy to navigate and understand the solution when you are making changes. You can find additional examples that show how to customize and modify your solution documented in the **Modifying** section.

## Connected KYC Sites

Connected KYC has three main sites, each targeted at a different user group.

1. **Connected KYC:** The primary site for the solution. This is where most user groups will view their tasks, reports, and records needed.
2. **Connected FS Settings:** This site is for business power users of the solution. The groups using this site are responsible for setting up the main KYC processes and data.
3. **System Admin Center:** This site is for IT users that typically would have designer or administrator access for the Appian install. This site hosts integration status and toggles for easily turning the integrations on or off.

## Primary records and relationships

Connected KYC uses Appian records and record relationships to power the KYC processes. The two main records included in the Connected KYC solution are: Customer and KYC Investigation records.

Customer records are the highest level of records in the solution and can have many KYC Investigation events. Any piece of runtime data is going to be related to either of these two records.

## Explanation of prefixes

Specific prefixes are used for consistency and to give a high level understanding of the object or database table. Prefixes are used to indicate where the object is used and what the object is used for.

AS is the prefix for all objects and database tables that are created and included in the Connected KYC solution. This will help differentiate objects that were shipped as part of the solution. It is recommended that for new created custom objects that implementation teams use a distinct prefix.

The database table names follow the pattern: AS\_[Solution]\_[Module]\_[Table Type]\_[Table Name].

The Appian objects in the application follow the pattern: AS\_[Solution Name]\_[Module]\_[ObjectType]\_[ObjectDescription].

## Solution Prefixes

The **Solution** prefix options in the application are:

- **KYC (Know Your Customer)**: indicates that the database table or object is used for the KYC solution only.
- **FS (Financial Services)**: indicates that the database table or objects is a global Financial Services table. Shared FS tables and objects are especially important when there are multiple FS solutions on the environment or planned to be on the environment as all of the FS solutions will share the table.
- **CO (Common Objects)**: indicates that this is an object that is a commonly reused rule throughout the application. These objects are used for consistency throughout the application and across any Connected FS solutions that are in the environment.

## Module Prefixes

Module prefixes indicate that certain tables or objects all relate to the same functionality. For example, if you're looking for all tables that affect the KYC questionnaire functionality, QNM will indicate that those tables are related.

The main module prefixes in the application are:

Abbreviation	Module Reference
QNM	Questionnaire Management
CHS	Companies House
CS	Consolidated Screening (OFAC)
IDP	Intelligent Document Processing
TMG	Task Management
ALT	Alert Management
RC	Record Comments

## Table Type Prefixes

Table type prefixes are specific to the database tables and indicate what the table is used for.

If a table does not have a table type prefix, it is used as a runtime table. Reference (R) tables hold data that is relatively static and generally used for populating other fields or tables, while template (T) tables hold data that will generate a KYC Investigation.

For example, reference questions from the AS\_KYC\_QNM\_R\_QUESTION table populate the dropdown of available questions on the template questionnaire. When the questions are configured on the template questionnaire they are template questions in the AS\_KYC\_QNM\_T\_QUESTION table. When the questions are generated at runtime from the template questions, they are then stored in the AS\_KYC\_QNM\_QUESTION table.

The table type prefixes are:

Abbreviation	Table Type
A	Audit
R	Reference

Abbreviation	Table Type
T	Template

## Object Type Prefixes

Object prefixes indicate what type of Appian object is being used in order to help the user understand what is in the object before opening it.

The object type prefixes are:

Abbreviation	Module Reference
CRD	Card
SCT	Section
GRD	Grid
BTN	Button
BL	Business Logic
WA	Web API
CP	Component
CPS	Components
FM	Form
QE	Query Entity
QR	Query Rule
DSP	Display rule
UT	Utility rule
UI	UI component for expression rules
UNMAPPED	CDT that does not have a DB table
ENUM	Enumeration
FLD	Folder
APPREF	Application reference
HCL	Header content layout
SBS	Side by side layout
SCT	section layout
ENT	Entity
TST	Test (object used for testing, for example, to populate a test case)
VAL	Text value
VLD	Validation



## Common objects

Common objects are objects that are used across the application to help with logic or formatting used consistently. These objects are [prefixed](#) with C0. Don't change these objects as they are used multiple places and can cause issues.

## Deprecated objects

Some objects may no longer be used within the application, but are included due to potential application upgrade conflicts. These objects will all be prefixed with zzz\_DEPRECATED.

## Internationalization

The Connected KYC solution can be translated into multiple languages. Note that certain UI text for Connected KYC's interfaces are contained in bundle files. For example, labels, validation messages, tooltips, and instructional text all exists in bundle files. To update this UI text, you update the bundle file that is associated with it.

Note that some dropdown list values are contained in reference data tables. To modify this type of UI text, see [Modifying Dropdown Lists](#). Keep in mind that user-entered text always displays in whatever language the user entered.

### Using bundle files

In order to display UI text, the Connected KYC application loads the correct language bundle (or document file) based on the default language that the user has selected.

It is important that each default language available for users to select has a corresponding set of bundle files. For example, if users can select English (United States) or Español from settings, there must be corresponding bundle files for each of these languages.

For interfaces that are in the AS KYC Full Application application, you need to load the entire bundle onto the form to load the UI text onto the interface. You can do this by using a local variable with the `rule!AS_KYC_UT_loadI18nBundles` expression rule.

The only parameter you need to pass in is called `triggerRefresh`. Under most circumstances, `triggerRefresh` can be passed as null.

The `triggerRefresh` parameter is only needed in cases where internationalization data needs to be reloaded after the user completes an action. For example, after a user adds new dropdown values from the front end the `triggerRefresh` should be a variable that is updated on completion of that action.

#### EXAMPLE

```
1 a!localVariables(  
2   local!i18nData: rule!AS_KYC_UT_loadI18nBundles(  
3     triggerRefresh: null  
4   )  
5 )
```

The `rule!AS_KYC_UT_loadI18nBundles` expression rule will automatically take into account the user's language and load the correct UI text. It's recommended that you call this rule in the main form and pass the UI text data to the sub-interfaces as a rule input. Name the rule input `i18nData` and make the Type `anyType`.

To display UI text on an interface, for the parameter that specifies the text to display, such as the label parameter, use the `rule!AS_CO_I18N_UT_displayLabel` expression rule. In the following example, the UI will display `Screening Results`, which is the value of the `lbl_ScreeningResults` label key in the bundle file.

The value of the `bundleKey` parameter is created using:

- The name of the bundle file, without the language suffix (en\_us). For example: `AS.KYC.AllBundles`.
- The label key for the value that you want to display. For example: `lbl_NoCountriesAvailable`.

The `bundleKey` parameter in this example would look like: `AS.KYC.AllBundles.lbl_NoCountriesAvailable`.

```

1  ...
2  local!i18nData:rule!AS_FS_UT_loadI18nBundles(triggerRefresh: null),
3    a!formLayout(
4      label: rule!AS_CO_I18N_UT_displayLabel(
5        i18nData: local!i18nData,
6        bundleKey: "AS.KYC.AllBundles.lbl_NoCountriesAvailable"
7      )
8    )

```

## Updating bundle file text

To update the text or languages in the bundles files, use the **Solutions Customization Suite**.

It is also possible to download the bundle file documents directly and update them manually. Be sure to update a bundle file for each language.

## Default bundle files

The bundle files that are shipped with Connected KYC are as follows:

- AS.KYC.AllBundles
- AS.KYC.QNM.AllBundles
- AS.KYC.RC.AllBundles
- AS.KYC.TMG.AllBundles

The prefix explanations above also apply to these bundle files. Any bundle file with an FS prefix is a shared file and all references to that label across solutions will be updated.

# Overview

## How do I tailor a solution for my needs?

There are several activities that can be performed to tailor a solution to meet the specific needs of your organization. The table below describes the difference between a configuration and customization activity, and where to perform each type of activity within the solution.

Activity	Description	Where is it Performed?
Configuration	Adapting a solution for a range of scenarios by modifying the solution's out-of-the-box, front-end settings. Configurations do not involve code changes.	In Solution
Supported Customization	Customizing a solution for a range of scenarios by adding code via the Solutions Hub. Supported customizations do not modify the solution's source code but are performed in accordance with the customization steps and are upgrade friendly.	Solutions Hub
Customization	Changing a solution for a range of scenarios by modifying or extending the solution's code. Customizations are first implemented in a development environment and typically not supported by available configurations.	Appian Designer

Wherever possible, you should always explore configuration changes first, followed by Supported Customization via the Solutions Hub. If needed, and as a last resort, customize your solution via Appian Designer.

## What is the Solutions Hub?

The Solutions Hub is an Appian site that enables Low-Code Developers to perform Supported Customizations on a compatible solution built on the Appian platform. These types of customizations enable the solution to meet the needs of their organization while preserving a clean upgrade path.

Supported Customization is intended for use in a development environment only, where these types of customizations should be performed and tested before being promoted to a higher environment.

Configuration changes are performed within the solution itself. The Solutions Hub also offers a Configuration Export & Import capability, which allows a set of solution configuration data to be exported from one Appian environment and imported into another. This capability is available in all environments that have compatible solutions built on the Appian platform.

Just as Amazon allows small business owners to set up and customize their own online storefront, the Solutions Hub allows you to truly make an Appian solution your own so that it meets the needs of your specific use case.

Supported Customizations made using the Solutions Hub are preserved when you upgrade to a new solution version. This means that when you upgrade your Appian Solution to get the new features, your previous customizations remain intact. This allows your organization to take on a newly released solution version as soon as it is available.

## When should I use the Solutions Hub?

It is important to understand when you should utilize the Solutions Hub over customizing directly in Appian Designer.

Appian recommends using the Solutions Hub when:

- You want to modify your solution's branding.
- You want to modify text in the languages that ship with your solution.
- You want to add new text to support a customization.
- You want to modify images that ship with the solution.
- You want to add new user interface components, pages, or elements to the solution, and there's an applicable user interface customization template that fits your use case.
- You want to extend a process that ships with the solution, and there's an applicable workflow customization template that fits your use case.
- You want to adjust business logic that ships with the solution, and there's an applicable business logic customization template that fits your use case.
- You want to move a set of solutions configuration data from one Appian environment to another.
- **You want to preserve customizations and not have to reapply them each time you upgrade your solution!**

Each solution supports a varying degree of these use cases. You can find all of the available supported customizations for your solution by opening up the Solutions Hub on a development instance of your solution. If you need to install the latest version of the Solutions Hub, you can follow the steps in the [installation guide](#).

# Solutions Hub Installation Guide

## Introduction

The Solutions Hub comes pre-installed on your environments with any new solution offering or upgrade of an existing solution via Appian Cloud.

This page provides instructions for installing the Solutions Hub. Manual install is necessary if you:

- Are an on-premise customer.
- Want to receive the latest version and features of the Solutions Hub, but you haven't recently upgraded, or do not plan on upgrading, your Appian solution.
- Want to install the Solutions Hub on another environment outside of your Cloud-provisioned environments.

## Technical support

Please call the dedicated solution help line for your region if at any point you need assistance or have questions:

- US: +1 (703) 420-1311
- AUS: +61 2850 34152
- UK: +44 20 3929 3748

All Appian Solution customers can also email Appian Support at [support@appian.com](mailto:support@appian.com) or log in to [Appian Community](#) and open a support case to request assistance. Information on Solutions Support Services can be found [here](#).

## System requirements

- Appian 22.2 or later.
- A supported [web browser](#).

## Step 1: Download software package

To download the software package (as an existing Customer or Partner):

1. Go to the **SUPPORT** tab on [My Appian](#).
2. Click **DOWNLOADS**.
3. Click **SOLUTIONS**.
4. Find and open "Solutions Hub v22.2.1.2.X", where "X" refers to the latest hotfix increment on this version's branch.  
Be sure to stay up to date on the latest hotfix increment by regularly visiting this page.
5. In **Downloads**, click the **Solutions Hub** installer link.
6. Click **PROCEED** to agree to the license agreement.
7. Click **Solutions Hub v22.2.1.2.X** to download the ZIP file.
8. Unzip `SolutionsHubv1.2.X.zip` to access the software installation files.

Locate the following installation files, some of which will be used in later steps.

- `appian-solutions-1.27.X.jar`
- `SolutionsHubv1.2.X.zip`
- `SolutionsHubv1.2.X-AdminConsole.zip`

## Step 2: Deploy Plug-ins

The Solutions Hub relies on the *latest* version of the Appian Solutions Plug-in to be deployed in the target environment before the application can be imported. This plug-in is also a prerequisite for most Appian solutions, so it may already be installed on the target environment.

- [Appian Solutions Plug-in](#) (v1.27.X+)

## Appian Cloud Environments

To deploy the plug-in for an Appian Cloud environment:

1. In the target environment, log in as the deployment user.
2. Navigate to the **Admin Console**.
3. On the left side of the console, click **Plug-ins**.
4. Click **ADD PLUG-INS**.

5. Search for the plug-in by name. For example, Appian Solutions Plug-in.

## Available Plug-ins

**Search**

Appian Solutions

Name	Description	Type
Appian Solutions	Plug-in with functions and smart services to be used across Appian Solutions	Plug-in (Function & Smart Service)

All plug-ins are use-at-your-own-risk, and their functionality is not guaranteed by Appian. All plug-ins should be tested thoroughly. For more details about individual plug-ins, visit the [Appian AppMarket](#).

CLOSE

6. Click on the plug-in name.

7. Click **DEPLOY**.

## Appian Solutions

Re-deploying plug-ins that are already enabled on this site could take up to a few minutes.

Plug-in with functions and smart services to be used across Appian SolutionsThis plugin contains functions and smart services used across solutions and exclusively for solution applications.

**Contributed By**  
dan.tobias

**Component Type**  
Plug-in (Function & Smart Service)

**Version**  
1.12.0

**Last Updated**  
2021-07-27

CANCEL

DEPLOY

## Self-Managed Environments

To deploy the plug-in for a self-managed environment:

1. Retrieve the latest version of the Appian Solutions Plug-in from the [AppMarket](#). Alternatively, you can also use the appian-solutions-1.27.X.jar file downloaded in [Step 1](#).
2. Follow the [Deploying Plug-ins](#) instructions to deploy the plug-in file.

## Step 3: Import the application

Import the application into your target environment.

1. In the target environment, log in as the deployment user.
2. Navigate to the **Appian Designer**.
3. Click **IMPORT**.
4. Click **UPLOAD** and choose the SolutionsHubv1.2.X.zip file that was downloaded in [Step 1](#).
5. Click **IMPORT PACKAGE**.

## Step 4: Set User Start Pages

By default, the start pages contained in the SolutionsHubv1.2.X-AdminConsole.zip file set the Solutions Hub site as the landing page and user start page for all Designers and System Administrators.

If you already have user start pages configured, we recommend skipping this step. If you have not already configured your user start pages, we recommend importing this file.

Follow the [Importing Admin Console Settings](#) instructions to import this file.

## Next steps

After you finish installing the application, see the [User Guide](#) to learn how to use the Solutions Hub.

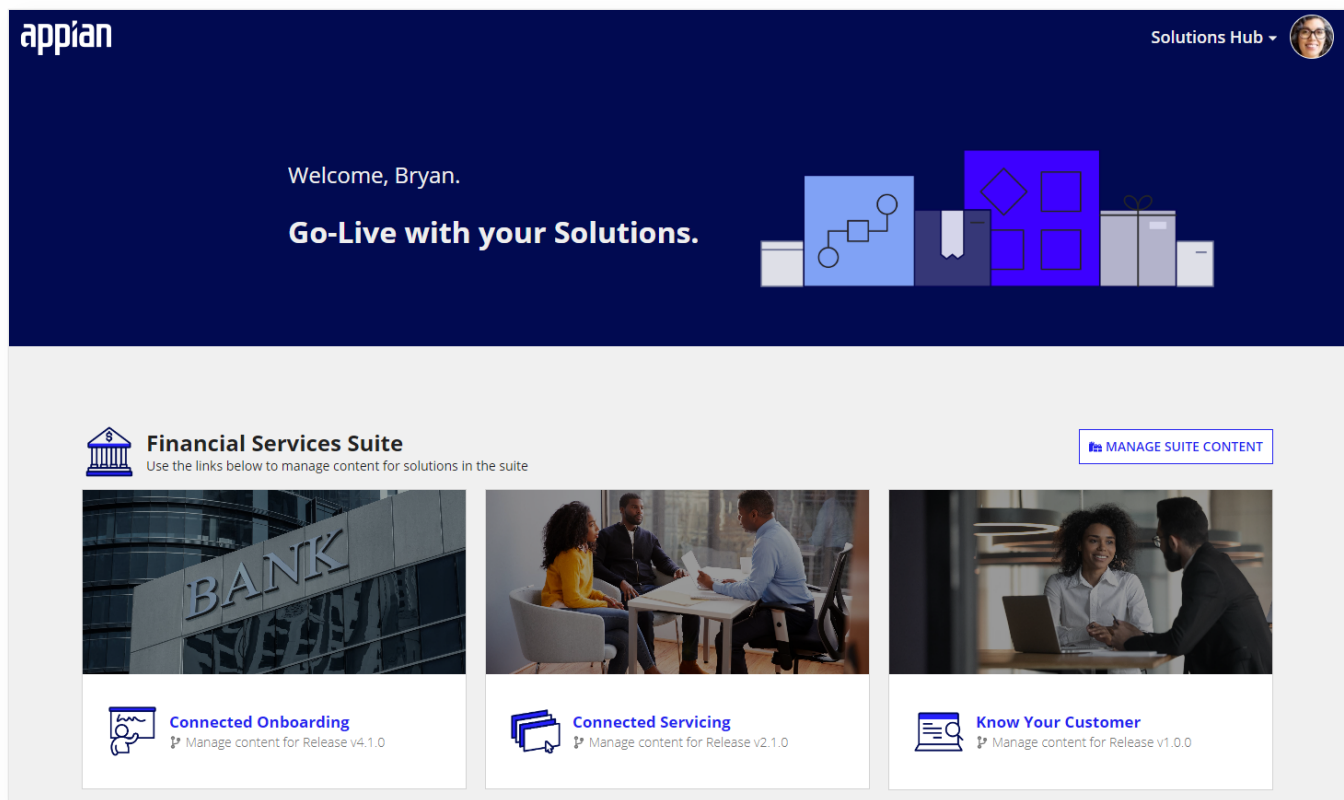
# Solutions Hub User Guide

The Solutions Hub is a standalone site that offers a number of features that allow you to customize your solutions from a centralized dashboard. You can easily access the site from your solution's development environment. If the Solutions Hub is not installed on your development environment, you can follow the [installation guide](#) to install the suite.

The Solutions Hub User Guide is your quick reference guide to understanding of all of the features the Solutions Hub has to offer and how to use them to customize different components of your solutions.

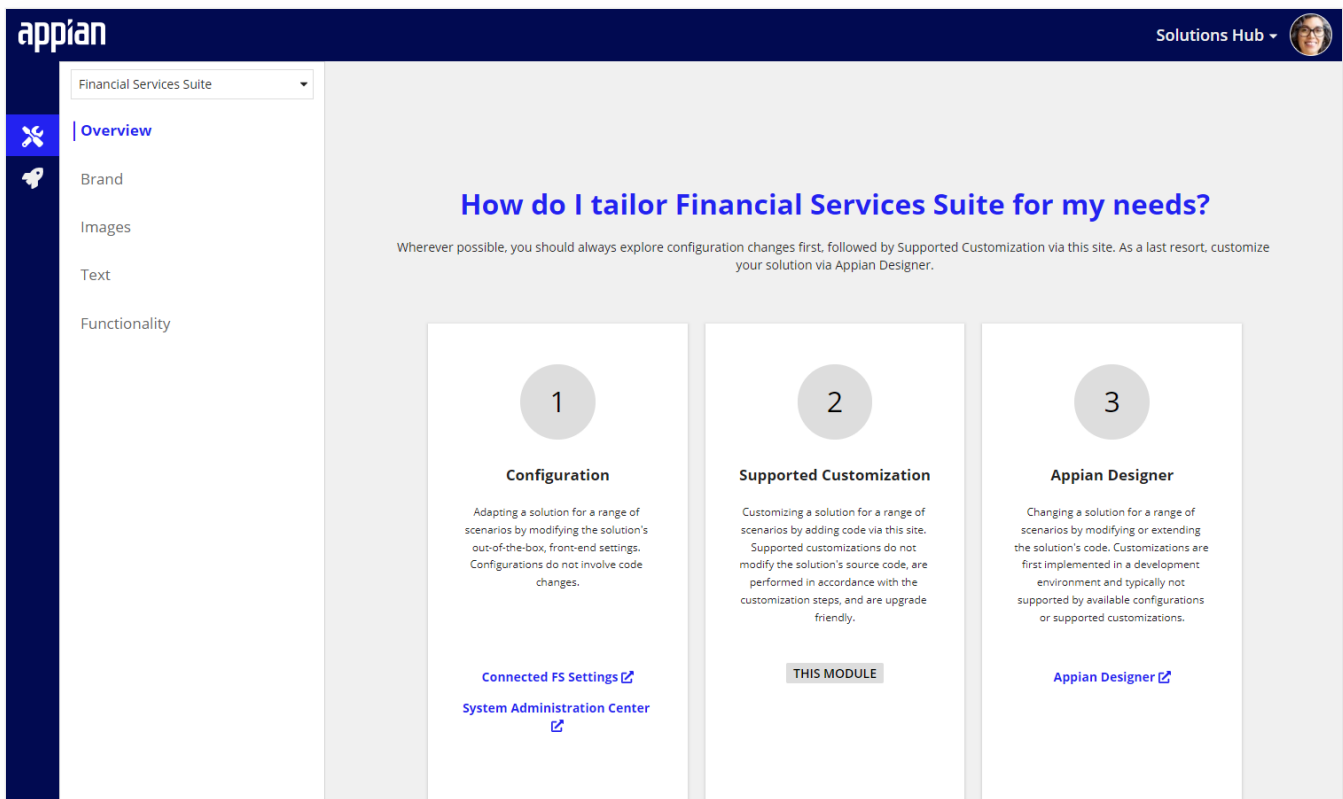
## Landing page

When you open the Solutions Hub, you'll see all of the solutions installed on the environment that support customization through the Solutions Hub.

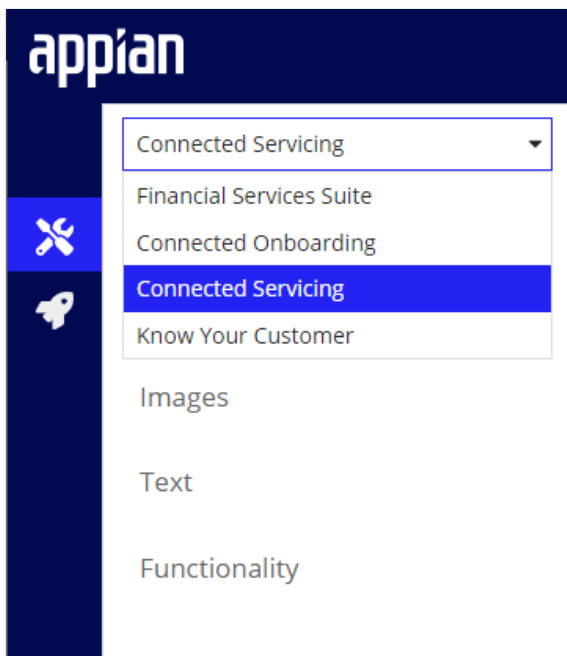


To access all of the available customizations for a given solution, click on the solution. If the solution is part of a solution "suite", then an additional **MANAGE SUITE CONTENT** button appears. For example, the Financial Services solution suite contains the Connected Onboarding, Connected Servicing, and Know Your Customer solutions. Any customizations common to all Financial Services solutions can be accessed by clicking the **MANAGE SUITE CONTENT** button.

Once in the context of a particular solution, you will be greeted with an overview of configuration & customization opportunities available for your solution. From here, you'll have the tools you need to configure & customize your Appian solution! There are links to the solution's configuration site(s), navigation tabs to each type of supported customization, and lastly a direct link to Appian Designer.



You can easily navigate context between solutions within the solution suite by selecting the desired solution from the dropdown.



## Types of customizations available

Connected KYC 22.1.1.0 supports the following customization categories. Each solution offers a varying degree of supported customization templates within each category.

### Branding

The branding section allows you to customize your solution to match your organization's name, logos, and colors.

You won't have to go into multiple site objects on the back-end to configure the branding across your solution. It's all taken care of via the Solutions Hub. The best part? When you use the suite to customize the branding for your solution,



you won't have to reapply the customizations when you upgrade your solution to the latest version.

The **BRAND** section allows you to quickly and easily customize the following three brand elements for a selected solution:

- Organization\*
- Logos
- Colors

The screenshot shows the Appian Solutions Hub interface. On the left is a dark blue sidebar with the Appian logo at the top. Below the logo is a 'Solution Suite' dropdown menu. Further down are icons for 'Overview', 'Brand' (which is highlighted), 'Images', 'Text', and 'Functionality'. The main content area has a white background and is divided into three sections: 'ORGANIZATION', 'LOGOS', and 'COLORS'. Each section has a title, a description, and an 'UPDATE' button. The 'ORGANIZATION' section shows the 'Organization Name' as 'Appian'. The 'LOGOS' section shows the 'Site Logo' as the Appian logo and the 'Favicon' as a small 'a' icon. The 'COLORS' section shows various color settings: 'Accent Color' (#2322f0), 'Selected Highlight Color' (#2322f0), 'Header Background Color' (#020a51), 'Navigation Bar Color' (#020a51), 'Loading Bar Color' (#2322f0), and 'Chart Colors' (Midnight).

Branding changes made here impact the selected solution only, they do not affect the Solutions Hub branding. It's important to navigate to each solution's sites to view any branding changes you made.

**Note:** the organization name is visible only if your solution supports it.

## Organization

The organization name should be reflective of your organization or company name.

This value is used in instances where the solution needs to refer to your organization. If left blank, the default name (typically the solution name) will take effect.

To update your organization name, click **UPDATE**. The UPDATE ORGANIZATION dialog will open, which allows you to update your organization name and save the changes.

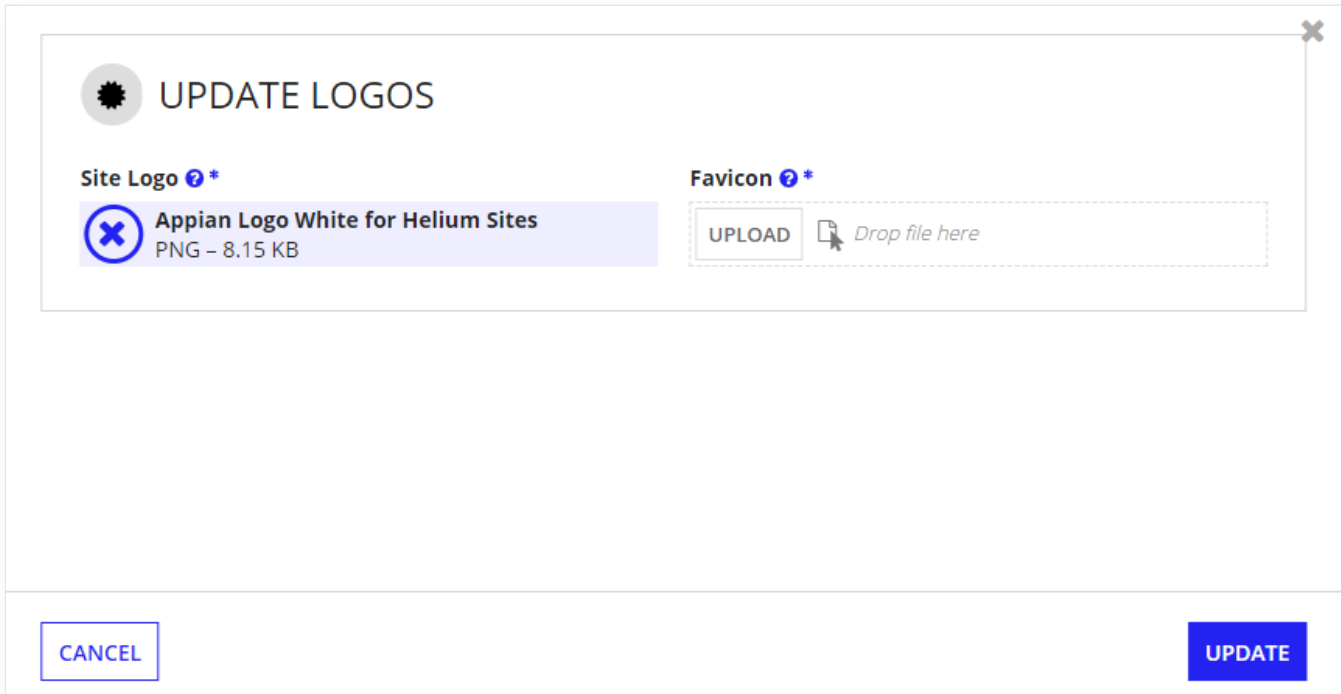
This is a close-up of the 'ORGANIZATION' section from the screenshot above. It shows the title 'ORGANIZATION' with a building icon, the 'Organization Name' field with the value 'Appian', and an 'UPDATE' button.

## Logos

You can update logos to match your brand. Logos include the site logo that end users see within the solution's sites, as well as the favicon that appears in a user's active Web browser tab.



To update the logos in your solution, click **UPDATE**. The UPDATE LOGOS dialog displays with the current file for each image. Hover over the image you want to replace, and click **X** to remove the current file. Then, simply upload a new image. Site logo file types must be PNG. Favicon file types must be ICO. Be sure to save your changes when you are finished updating your logo or favicon file.




## Colors

The branding section gives you control over the color palette that is used in the solution. Colors are used throughout your solution, from accenting selected items, to providing color to charts. This offers you the ability to set component colors for your solution, such as:

- Accent Color
- Selected Highlight Color
- Navigation Bar Color
- Loading Bar Color

If a solution utilizes charts, you can even set the color palette that is used to render the charts. An extended range of colors beyond the base set listed above may be available for certain solutions.



## COLORS

UPDATE

**Accent Color ?**  

#2c3365

**Navigation Bar Color ?**  

#343b40

**Selected Highlight Color ?**  

#2c3365

**Loading Bar Color ?**  

#1d659c

**Header Layout Background Color ?**  


#2c3365

**Chart Colors ?**  

Midnight

To modify the colors in your solution, click **UPDATE**. The UPDATE COLORS dialog appears, which allows you to change the color of each presented field. Colors must be entered as valid hex codes.

Chart colors include pre-set color schemes, or you can enter your own set of hex codes by selecting **CUSTOM**



## UPDATE COLORS

CANCEL

UPDATE

**Accent Color ? \***  

#2c3365

**Navigation Bar Color ? \***  

#343b40

**Selected Highlight Color ? \***  

#2c3365

**Loading Bar Color ? \***  

#1d659c

**Header Layout Background Color ? \***  

#2c3365

**Chart Colors ?**  

**Color Scheme**  

Midnight

Classic

Midnight

Ocean

Moss

Berry

Parachute

Rainforest

Sunset

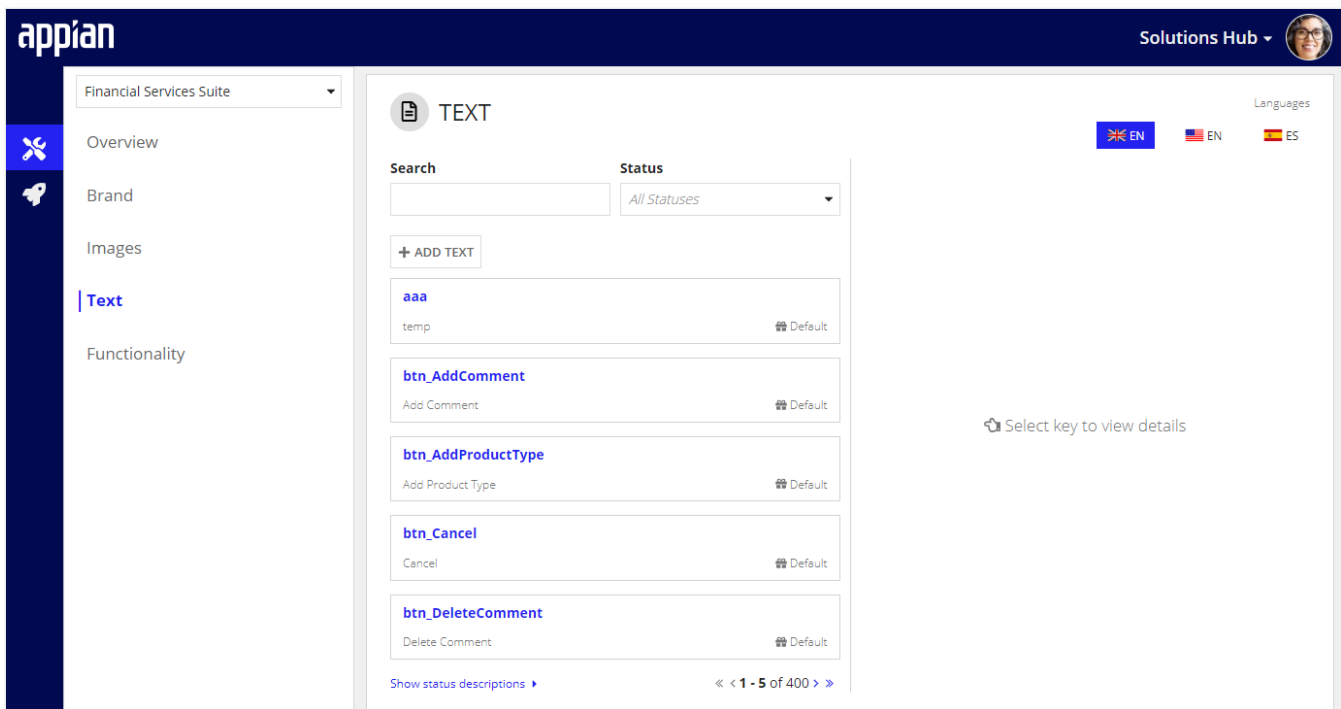
Custom

Once you have made your edits, click **UPDATE** to save your changes.

## Text

The Solutions Hub provides a quick and comprehensive means to customize the text that ships with a solution without impacting future upgrades. This includes editing text that comes with the solution and adding new text.

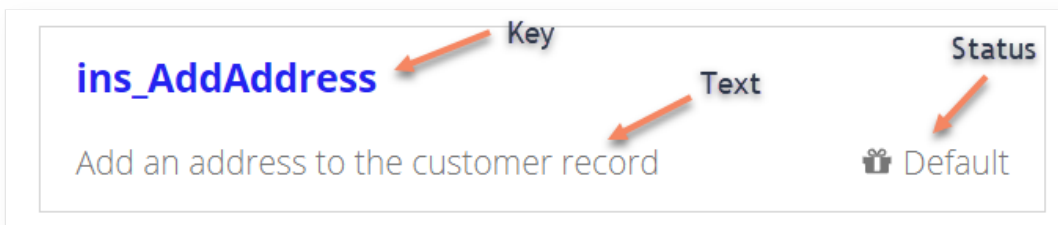
Within the Solutions Customization Suite, navigate to **CONFIGURE & CUSTOMIZE -> TEXT**.



Using the language bar, first select the language for which you want to make changes. By default, English (en\_US) is selected. Available languages include any that ship with the solution, or languages for which you added support.



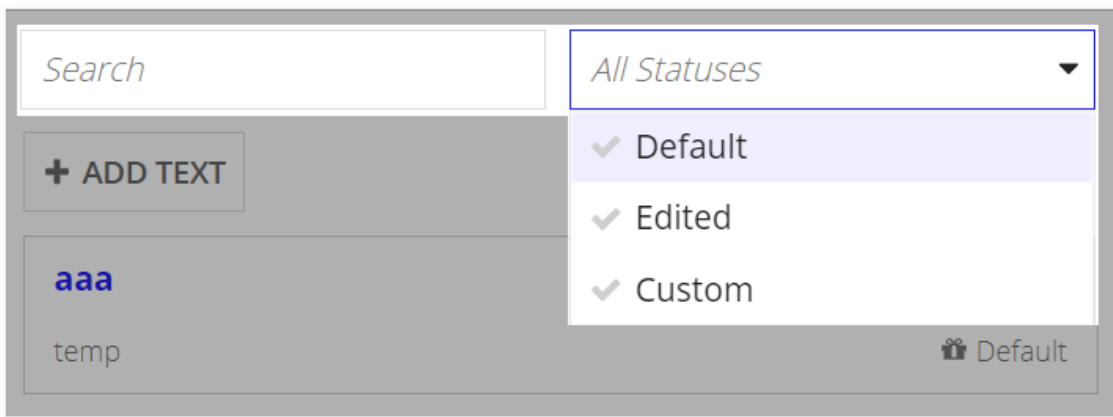
Once a language is selected, a grid shows all of the text within the solution for that language. The key, text, and status are shown on each card:



To narrow down the text set, there is a search component that allows full or partial searches on either the text key or value.

A status filter allows for easy filtering of the results. Text can have one of three statuses:

- **Default:** Text that is set to its out of the box value.
- **Edited:** Text that is modified from its default value.
- **Custom:** Text that has been added by a customer.



When a text card is selected, additional attributes can be viewed:

- **Key:** This is the unique identifier for a piece of text within a bundle file; the key appears on the top of the text card and the details section.
- **Text:** The value the text is currently set to and how it shows up to end users when the key is called.
- **Status:** Identifies the *current* status of the text.
- **Language:** This is the locale that this bundle file represents (e.g., en\_US for English - United States).
- **Bundle Folder:** This is the Appian folder that contains the bundle file where the text is stored.
- **Bundle File:** This is the properties file that contains the text being viewed. The date and time displayed is when the file was last updated.

ins_AddAddress	
<b>Text</b>	<b>Bundle Folder</b>
Add an address to the customer record	AS FS I18N Internationalization Files
<b>Status</b>	<b>Bundle File</b>
📺 Default	AS.FS.CustomerRecord
<b>Language</b>	🕒 Last Modified July 14, 2021 4:03PM
en_US	

## Editing text

To modify the text value, select a text card in the grid, and click **UPDATE**.

TEXT

Languages 

US

GB

ES

address

All Statuses

+ ADD TEXT

btn\_Add

Add Address

Default

btn\_Cancel

Cancel

Default

btn\_Save

Update Address

Default

ins\_AddAddress

Add an address to the customer record

Default

ins\_NoAddressesAvailable

No addresses available

Default

Show status descriptions

<< 1 - 5 of 63 >>

ins\_AddAddress

Text

Add an address to the customer record

Status

Default

Language

en\_US

Bundle Folder

AS FS I18N Internationalization Files

Bundle File

AS.FS.CustomerRecord

Last Modified July 14, 2021 4:03PM

UPDATE

From here you can change the value of the text to your choosing. Click **UPDATE** to commit the change.

Update Text

Add a mailing address to the customer record.

CANCEL

UPDATE

Key

ins\_AddAddress

Status

DEFAULT

Language

en\_US

Bundle Folder

AS FS I18N Internationalization Files

Bundle File

AS.FS.CustomerRecord

## Adding custom text

To add new text to the solution, click **ADD TEXT**.

TEXT

address

All Statuses

+ ADD TEXT

btn\_Add

Add Address

Default

btn\_Cancel

Cancel

Default

btn\_Save

Update Address

Default

ins\_AddAddress

Add an address to the customer record

Default

ins\_NoAddressesAvailable

No addresses available

Default

Show status descriptions ▶

<< 1 - 5 of 63 >>

Languages

US

GB

ES

ins\_AddAddress

UPDATE

Text

Add an address to the customer record

Status

Default

Language

en\_US

Bundle Folder

AS FS I18N Internationalization Files

Bundle File

AS.FS.CustomerRecord

Last Modified July 14, 2021 4:03PM

An in-line form appears. Enter a unique key that will serve as the reference to this text when calling it in your custom expressions, followed by the text value. If there are multiple bundle files present in the solution, you will first need to select the applicable one.

+ ADD TEXT

Bundle File \*

AS.CO.SampleBundle

Key \*

ins\_AddPerson

Text \*

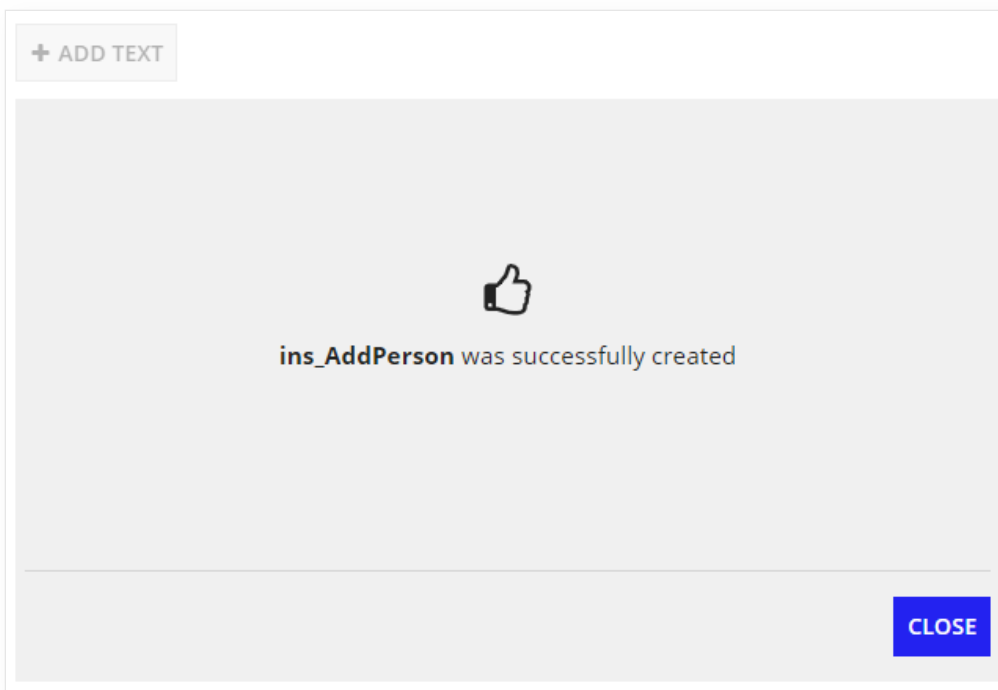
Add a person to the customer record.

CANCEL

SAVE

Click **SAVE**. A confirmation dialog indicates that the text was added successfully.





## Reverting text to default

There may be times when you want to change text back to its default value. Click into the text card of the edited text that you want to revert.

Click **REVERT TO DEFAULT** and confirm that you would like to make the change. This action cannot be undone, though you can always edit the text again if desired.

TEXT

ins\_add

All Statuses

+ ADD TEXT

**ins\_AddAddress**  
Add a mailing address to the customer record.  
Edited

**ins\_AddBeneficialOwners**  
Add a beneficial owner to the customer record.  
Default

**ins\_AddContact**  
Add a contact to the customer record.  
Default

**ins\_AddCustomerEntityRelations**  
Add entity relationships related to this customer.  
Default

**ins\_AddFlags**  
Add manual flags to the customer record.  
Default

Show status descriptions ▶

« < 1 - 5 of 8 > »

ins\_AddAddress

**Text**  
Add a mailing address to the customer record.

**Status**  
Edited

**Language**  
en\_US

**Bundle Folder**  
AS FS I18N Internationalization Files

**Bundle File**  
AS.FS.CustomerRecord  
Last Modified July 28, 2021 2:30PM

UPDATE

REVERT TO DEFAULT

## Deleting custom text

There may be times when you no longer need the custom text that you added to the solution. Maybe the solution's latest version now ships with a feature that covers the use case of a customized report.

In these instances, you can delete custom text by clicking into a custom text card.

Click **DELETE** and confirm that you would like to delete the text. This action cannot be undone.

TEXT

ins\_

Custom

+ ADD TEXT

ins\_AddPerson

Add a person to the customer record.

Custom

Show status descriptions ▶

« < 1 - 1 of 1 > »

ins\_AddPerson

Text

Add a person to the customer record.

Status

Custom

Language

en\_US

UPDATE

DELETE

Bundle Folder

AS CO I18N Internationalization Files

Bundle File

AS.CO.SampleBundle

Last Modified July 28, 2021 2:29PM

It is important to know that deleting custom text does not mean that any customized functionality in which the text is used is also deleted. Be sure you delete or remove access to any customized front-end reports, records, or sites if you intend to fully restrict access to a former customization.

## Working with Arguments

In [%1] is currently closed, [%1] is an argument. When working with arguments, keep the following in mind:

- If the default label does not have arguments, your custom label can not have arguments.
- If the default label does have arguments, your custom label can have arguments, but does not have to.
  - Your custom label cannot use different arguments and cannot use more arguments than the default label.
- Make sure the syntax of the translated value stays the same as the default. For example, use [%1], not ###1### or {1}.

## Images

You may want to modify the images that ship with your solution to fit your corporate brand. Image customization involves uploading new images via the Solutions Hub. Image customizations replace the default images that shipped with your solution. These changes persist even on solution upgrades.

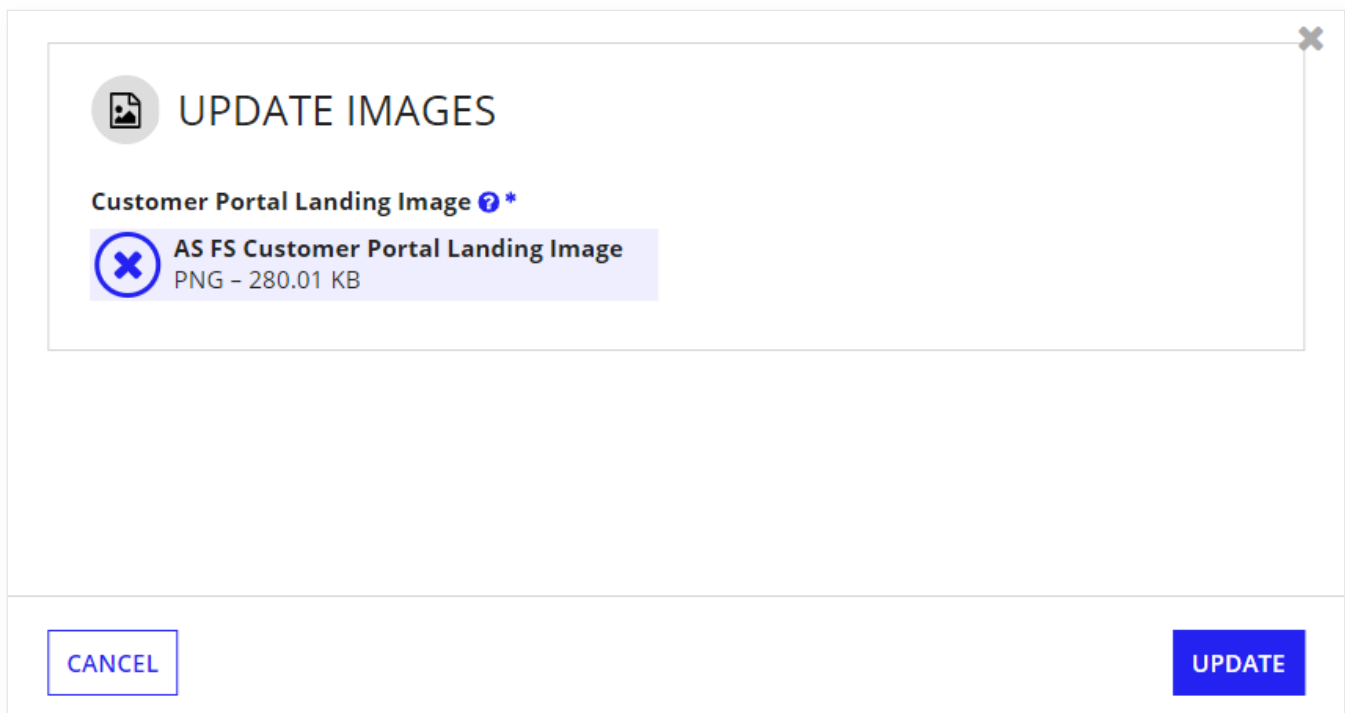
To perform an image customization, navigate to **CONFIGURE & CUSTOMIZE -> IMAGES**. The Images section displays all of the default images that shipped with the solution and are available for customization.

IMAGES

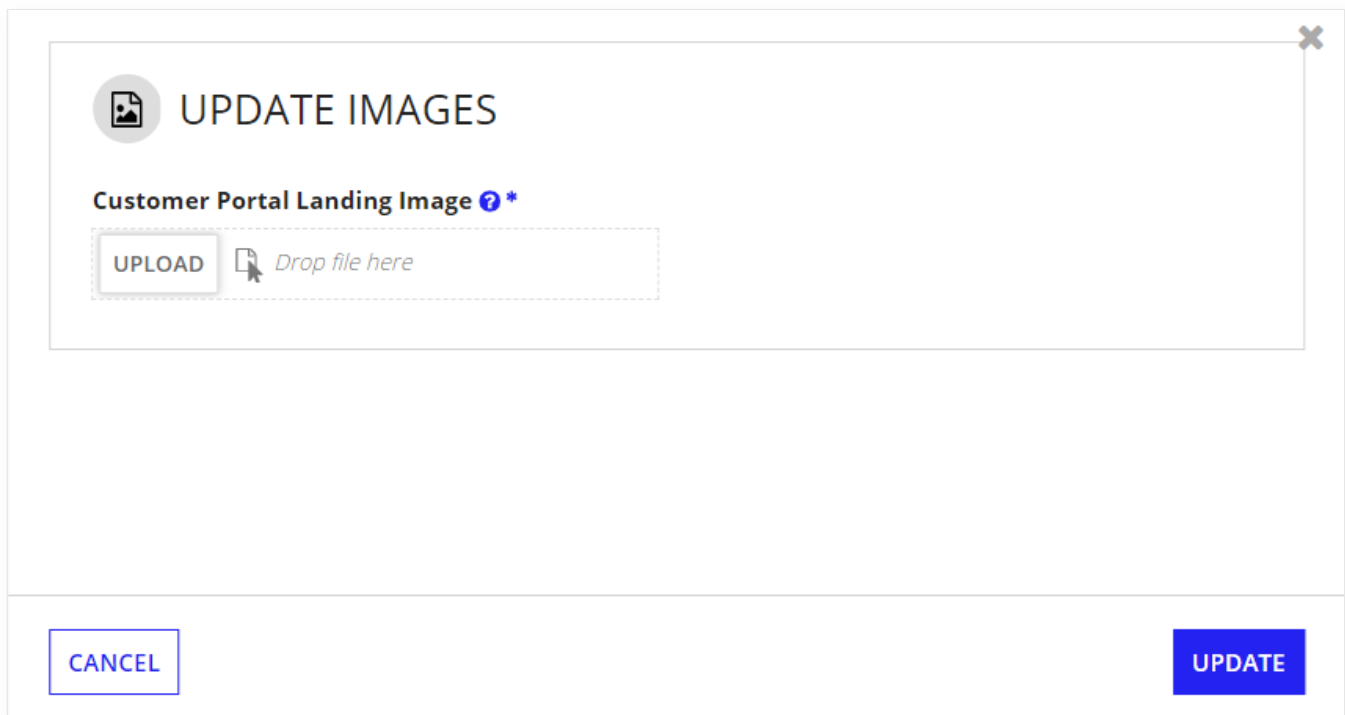
UPDATE

Customer Portal Landing Image ?

When you click **UPDATE**, the UPDATE IMAGES dialog appears with the current file for each image. Hover over the image you want to replace, and click **X** to remove the current file.



Then, simply upload a new image. Newly uploaded images must be the same file type as the original image.



Once you are finished making changes, click **UPDATE**. Any modifications to images you made will persist, even if upgrading to a new version of the solution.

## User Interface

User Interface is a functional customization that includes any customization templates that have been exposed by the solution's product engineers to allow you to:

- Slot in an open concept interface
- Replicate a component
- Modify an existing interface

See [Functional Customizations](#) for guidance on how to perform, edit, or revert a user interface customization.

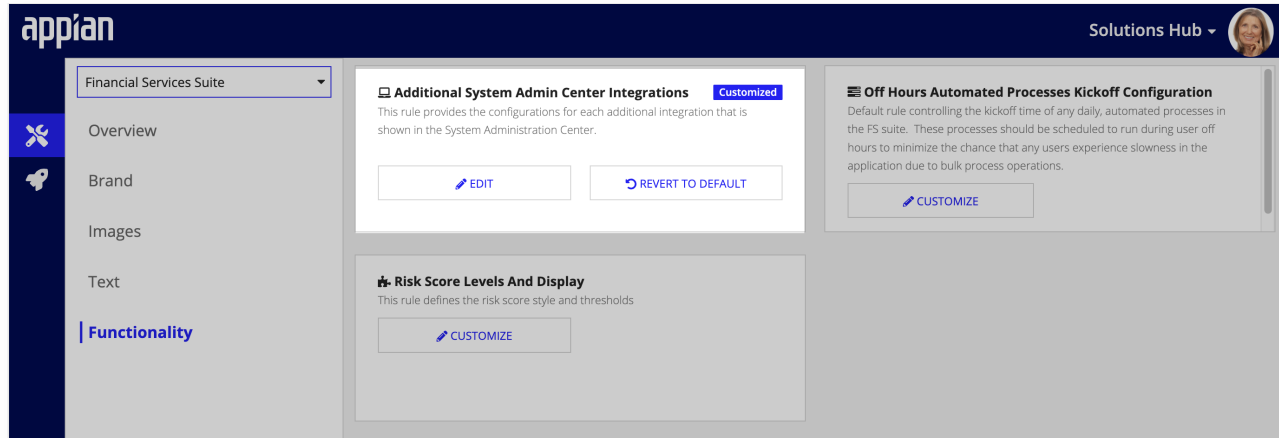
## System Administration Site

Additional integrations to be managed from the **System Administration Site** can be added from the Solutions Hub.

You can access this UI customization from the Functionality tab.

To customize the System Administration Site:

1. From the **Solutions Hub**, select **Financial Services Suite** from the **Solutions** dropdown menu.
2. Select **Functionality**.
3. From the **Additional System Admin Center Integrations** card, click **CUSTOMIZE**.



## Workflow

Workflow is a functional customization that includes any customization templates that have been exposed by the solution's product engineers to allow you to extend an existing process.

Process extension is useful in situations where you may want to take action upon completion of out of the box processing. Examples include:

- Writing to an external database
- Storing generated documents in a document repository
- Calling an integration

See [Functional Customizations](#) for guidance on how to perform, edit, or revert a workflow customization.

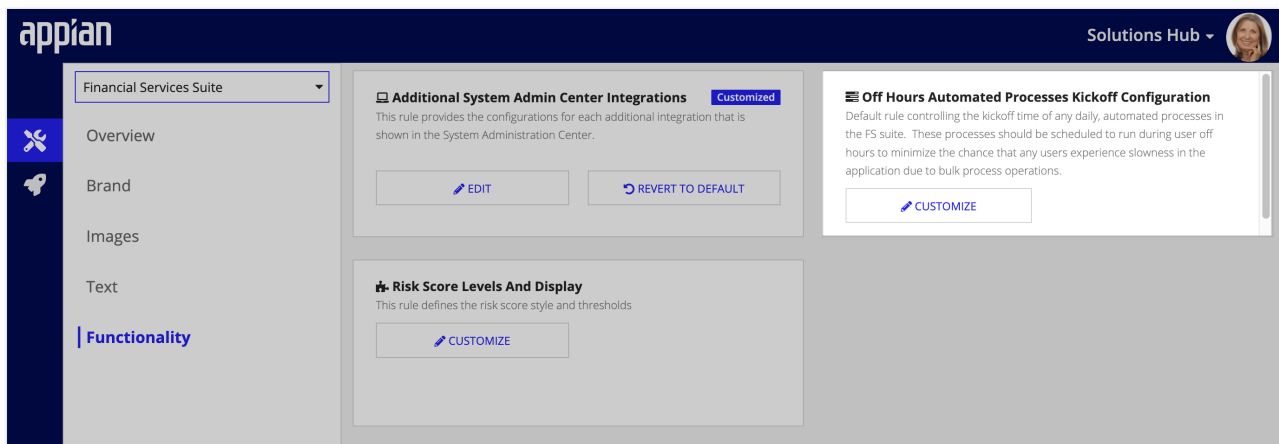
## Kickoff Automated Process Time

You can manage the default rule controlling the kickoff time of any daily, automated processes in the Financial Services Suite. These processes should be scheduled to run during user off hours to minimize the chance that any users experience slowness in the application due to bulk process operations.

You can access this business logic customization from the Functionality tab.

To customize the **Kickoff Automated Process Time**:

1. From the **Solutions Hub**, select **Financial Services Suite** from the **Solutions** dropdown menu.
2. Select **Functionality**.
3. From the **Off Hours Automated Processes Kickoff Configuration** card, click **CUSTOMIZE**.



## Business Logic

Business logic is a functional customization that includes any customization templates that have been exposed by the solution's product engineers to allow you to:

- Adjust conditional content
- Modify data loads
- Adjust static values
- Modify a logical expression

See [Functional Customizations](#) for guidance on how to perform, edit, or revert a business logic customization.

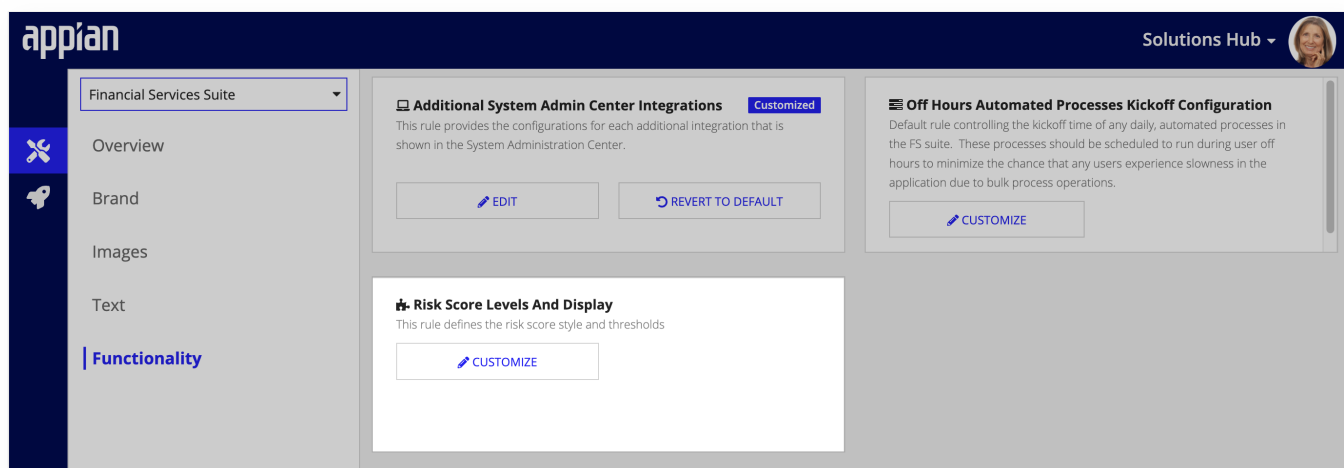
### Risk score settings

Risk score is displayed in several locations throughout Connected Servicing. A numeric score with an associated red, amber, green color is the default view. This risk score format can be easily customized from a single location. Thresholds for the red/amber/green can also be set.

You can access this business logic customization from the Functionality tab.

To customize the risk score display:

1. From the **Solutions Hub**, select **Financial Services Suite** from the **Solutions** dropdown menu.
2. Select **Functionality**.
3. From the **Risk Score Levels and Display** card, click **CUSTOMIZE**.



## Functional customizations

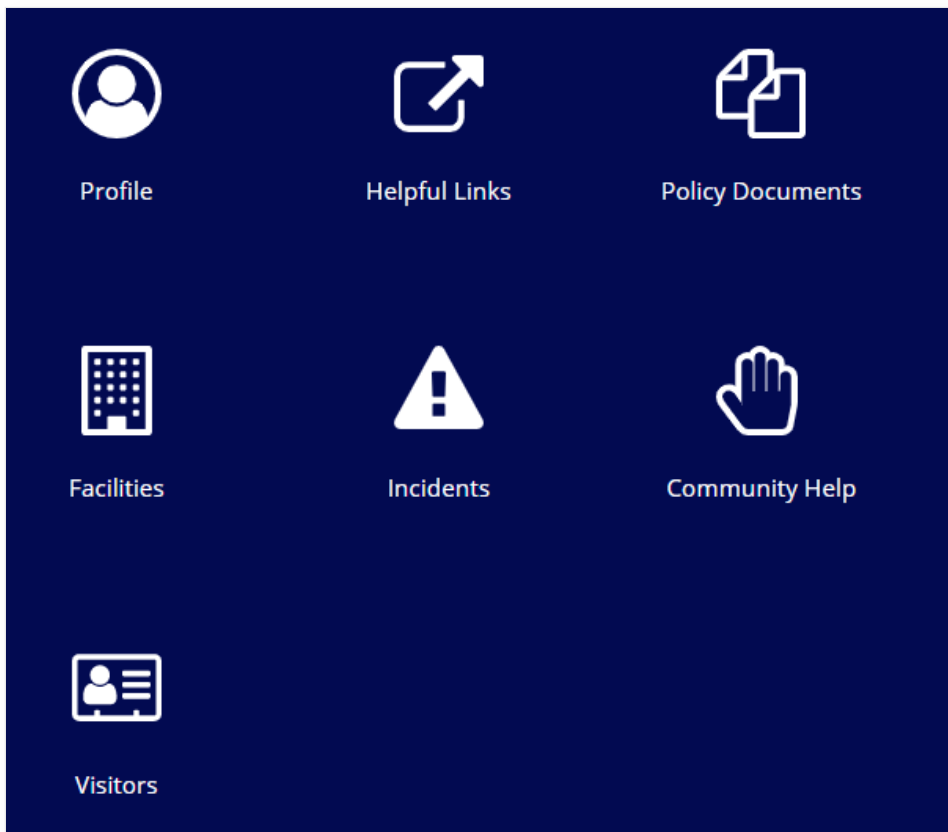
This section outlines the methodology for performing, editing, and reverting functional customizations.

### Performing a customization

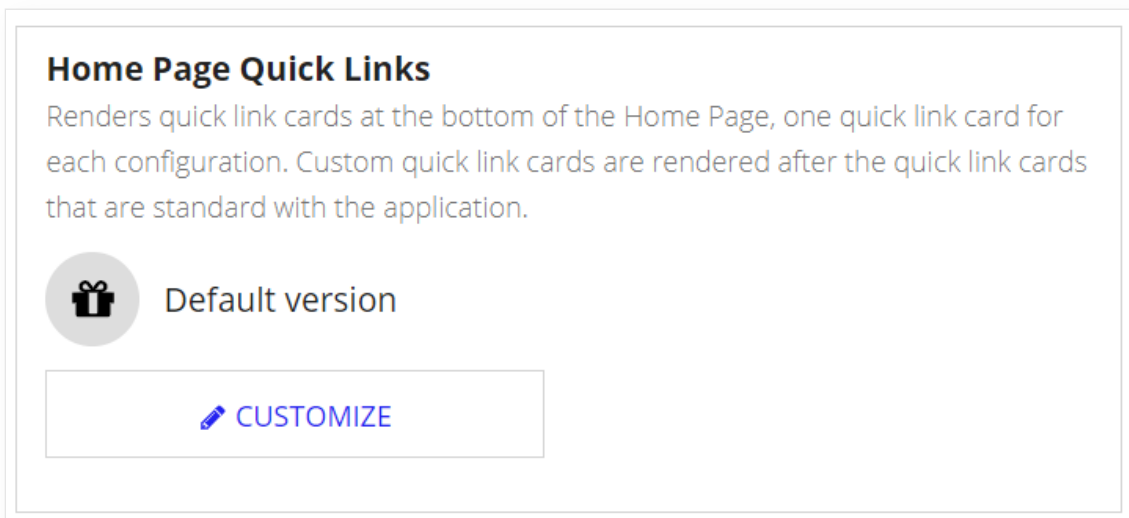
To perform a customization, find the supported customization template that best matches your customization use case. Navigate to **CONFIGURE & CUSTOMIZE -> FUNCTIONALITY** within the context of the solution you want to customize.

The title and description of the supported customization template provide contextual clues as to where in the solution the customization occurs.

For example, let's say you want to customize your solution's landing page so that it includes a link to custom content. On the existing landing page, shown below, you want to add a new "Training" link.



After searching the available customization templates, and finding the template you want to customize, click **CUSTOMIZE**.



A confirmation dialog appears, indicating that a new object will be created on the backend. Click **YES**.

## Are you sure?

A new rule will be created with the suffix "\_custom". This rule will execute in lieu of the "\_default" rule.

NO

YES

When the customization template state refreshes, as shown below, click **EDIT** to begin customizing.

### Home Page Quick Links

Renders quick link cards at the bottom of the Home Page, one quick link card for each configuration. Custom quick link cards are rendered after the quick link cards that are standard with the application.

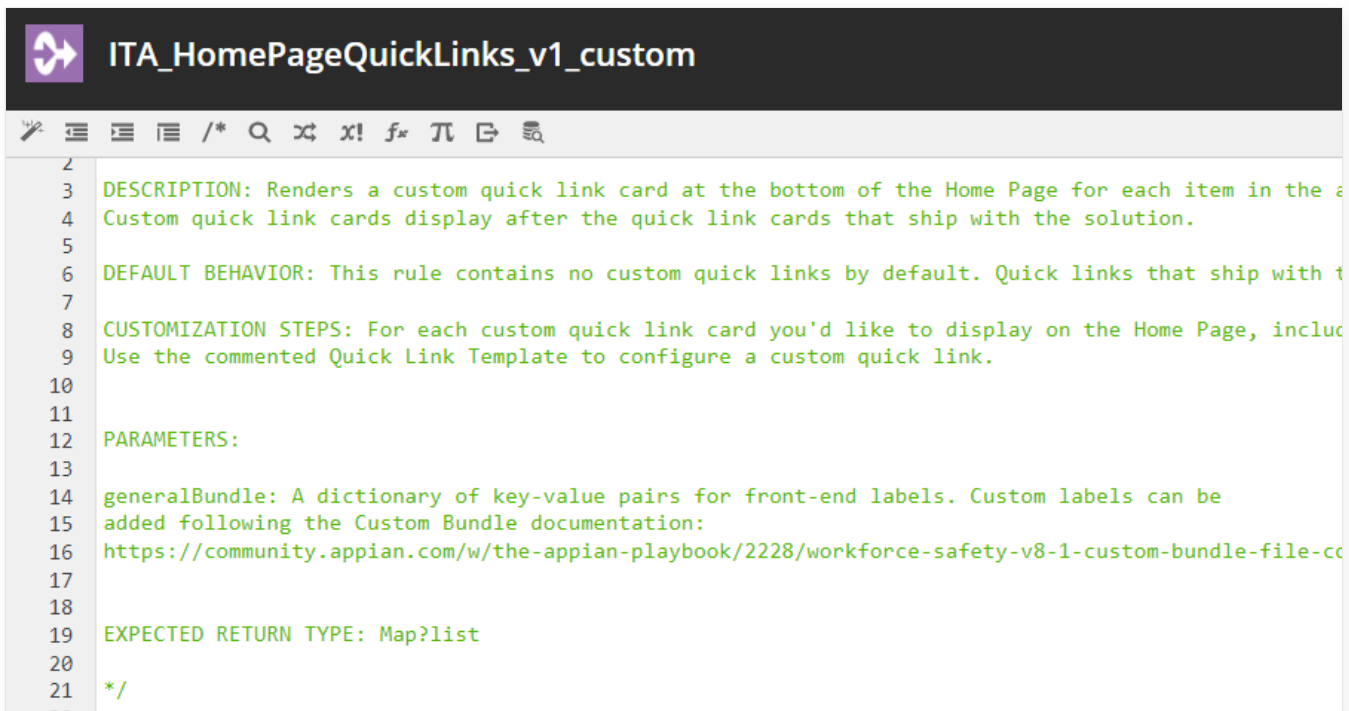


Custom version

 EDIT

 REVERT TO DEFAULT

A new tab opens in Appian Designer that allows you to begin customizing the code. You'll see detailed how-to instructions on performing the customization within the commented code.



```
2
3 DESCRIPTION: Renders a custom quick link card at the bottom of the Home Page for each item in the a
4 Custom quick link cards display after the quick link cards that ship with the solution.
5
6 DEFAULT BEHAVIOR: This rule contains no custom quick links by default. Quick links that ship with t
7
8 CUSTOMIZATION STEPS: For each custom quick link card you'd like to display on the Home Page, includ
9 Use the commented Quick Link Template to configure a custom quick link.
10
11
12 PARAMETERS:
13
14 generalBundle: A dictionary of key-value pairs for front-end labels. Custom labels can be
15 added following the Custom Bundle documentation:
16 https://community.appian.com/w/the-appian-playbook/2228/workforce-safety-v8-1-custom-bundle-file-co
17
18
19 EXPECTED RETURN TYPE: Map?list
20
21 */
22
```

You'll see the modifiable code block with a defined example commented out.



```

23 ▾ cast(
24 ▾   'type!{http://www.appian.com/ae/types/2009}Map?list',
25 ▾   {
26     /*Quick Link Template - sample configuration:*/
27     /*a!map(*
28     /*label: "My Link Label",*/
29     /*icon: "icon",*/
30     /*showWhen: true,*/
31     /*link: a!safeLink(uri: "https://www.google.com")*/
32     /*),*/
33     /*Note, the link parameter can return one of: */
34     /*a!documentDownloadLink()*/
35     /*a!processTaskLink() */
36     /*a!recordLink() */
37     /*a!reportLink() */
38     /*a!safeLink()*/
39     /*a!startProcessLink()*/
40     /*a!userRecordLink()*/
41     /*Add 0, 1, or multiple links to this array*/
42   }
43 )
44 )
45 )
46 )
47 )

```

Use the detailed steps and example to perform your customization. When you are finished, save your changes.

View the example below to see how we customized a new ???Training??? link to the landing page.

```

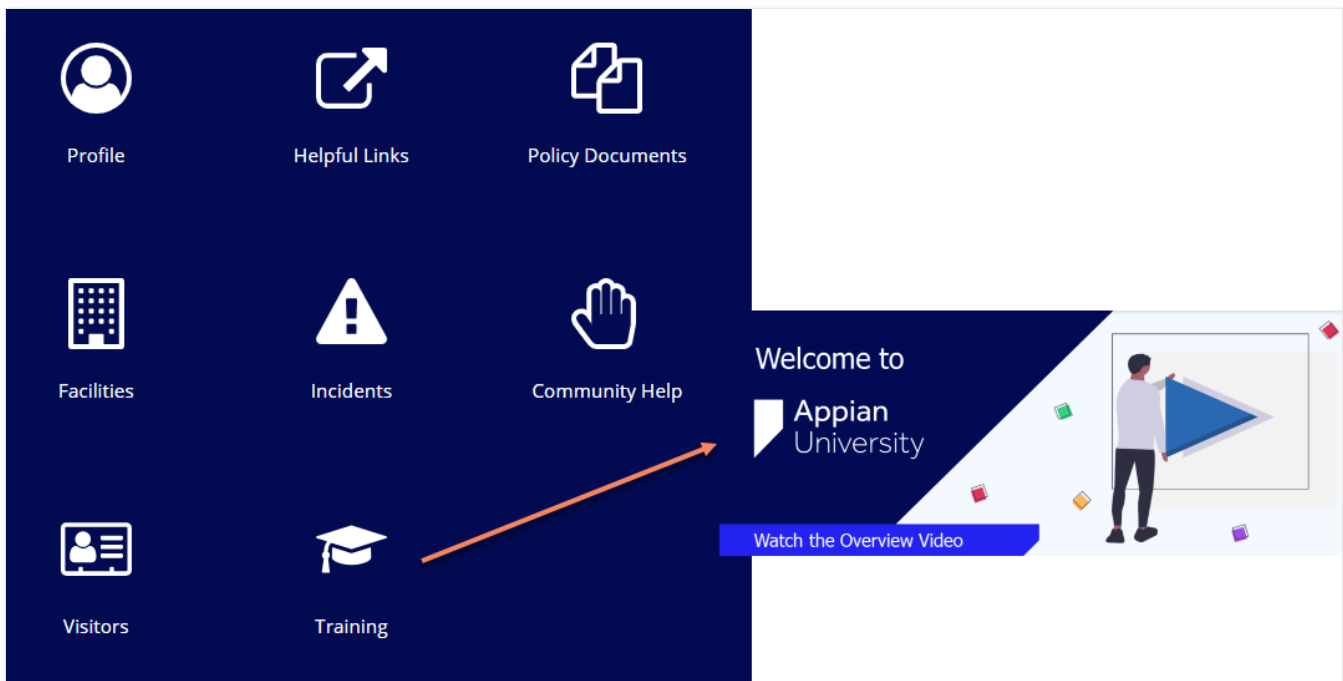
cast(
  'type!{http://www.appian.com/ae/types/2009}Map?list',
  {
    a!map(
      label: "Training",
      icon: "graduation-cap",
      showWhen: true,
      link: a!safeLink(uri: "https://www.appian.com/university")
    )

    /*Quick Link Template - sample configuration:*/

    /*a!map(*
    /*label: "My Link Label",*/
    /*icon: "icon",*/
    /*showWhen: true,*/
    /*link: a!safeLink(uri: "https://www.google.com")*/
    /*),*/
  }
)

```

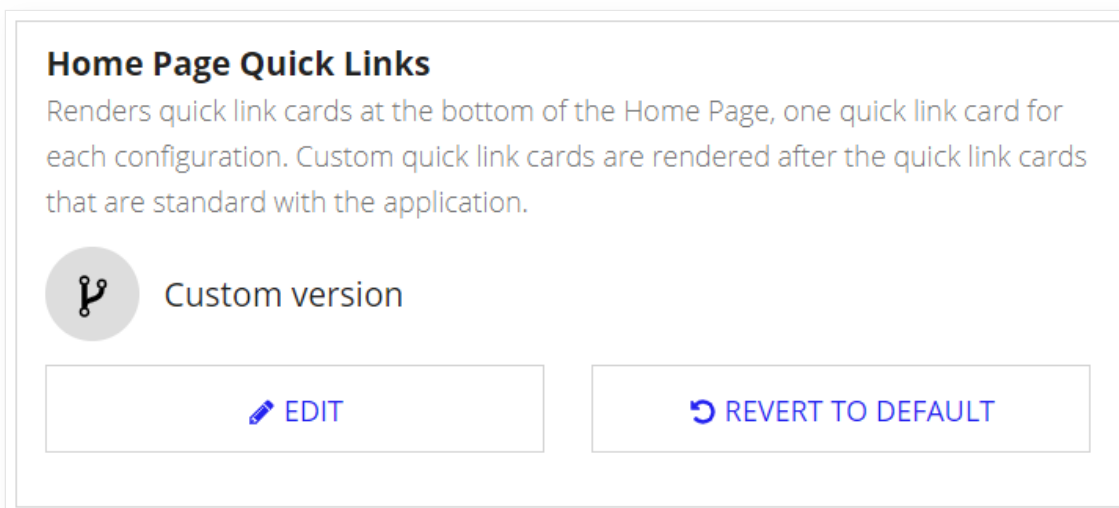
Finally, navigate to the area in your solution where you expect the customization to appear and verify the results. In our example, we can see that the new ???Training??? link was successfully added to the landing page. When the user clicks the link, they are redirected to the URL we specified in the customization.



Congratulations, you have successfully customized your solution. Your changes will persist when you upgrade to a new solution version!

## Editing a customization

Maybe your business requirements have changed and you need to tweak the functionality of your supported customization. To edit a customization, simply navigate to the customization template, and click **EDIT**.



The template will open in a new tab in Appian Designer where you can view the latest saved version of your customization.

Make the required changes and save the modified objects. Verify the intended results are displayed in the frontend of your solution.

Don't forget to [deploy](#) your customizations when finished!

## Reverting a customization

If you find that the latest version of an out-of-the-box feature in the latest solution release addresses your customization use case, you may want to adopt the new feature and revert your customization back to the default behavior.

Navigate to the appropriate customization template and click **REVERT TO DEFAULT**.

## Home Page Quick Links

Renders quick link cards at the bottom of the Home Page, one quick link card for each configuration. Custom quick link cards are rendered after the quick link cards that are standard with the application.



Custom version

 EDIT

 REVERT TO DEFAULT

After understanding the impacts of this type of customization change, click **YES** on the confirmation dialog. The default out-of-the-box solution behavior will overwrite your customization so that it is no longer present in the solution.

## Are you sure?

The "\_default" rule will now execute in lieu of the "\_custom" rule. The previous "\_custom" rule will be appended with a suffix of "\_reverted" and available in the application package for easy deployment.

NO

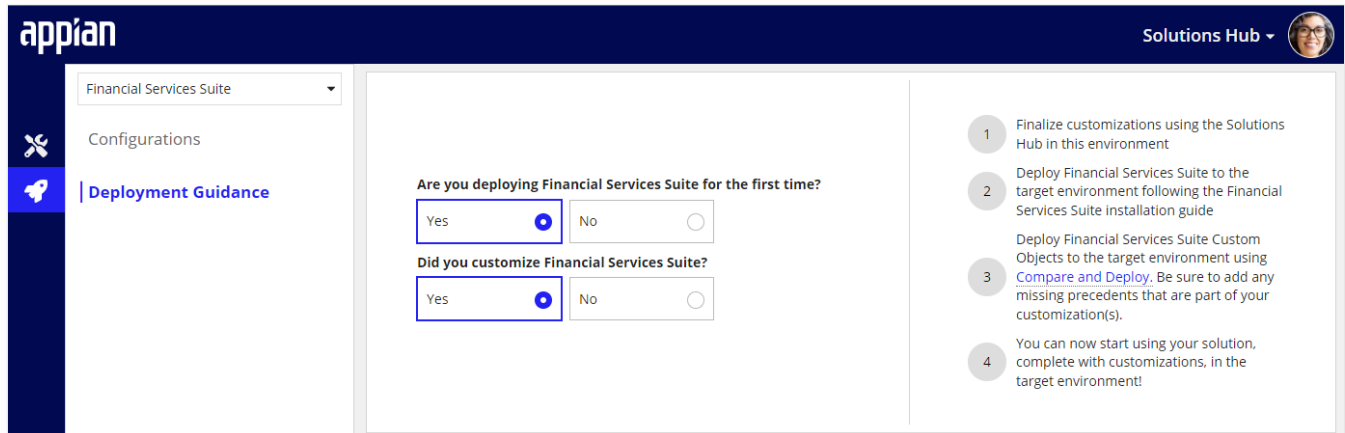
YES

## Deploying customizations

To deploy your customizations to a higher environment, click the **DEPLOYMENT** tab under the solution you want to deploy.

Answer the series of questions to dynamically generate the required deployment steps on-screen. Follow the steps shown to deploy your solution to a higher environment.

Below is an example of answering these questions and the rendered deployment steps:



The screenshot shows the Appian Solutions Hub interface. On the left, a navigation menu includes 'Financial Services Suite' (selected), 'Configurations', and 'Deployment Guidance' (highlighted with a blue bar). The main content area displays two questions with radio button options:

- Are you deploying Financial Services Suite for the first time?  
☒ Yes ☐ No
- Did you customize Financial Services Suite?  
☒ Yes ☐ No

On the right, a numbered list of four steps is shown:

- 1 Finalize customizations using the Solutions Hub in this environment
- 2 Deploy Financial Services Suite to the target environment following the Financial Services Suite Installation guide
- 3 Deploy Financial Services Suite Custom Objects to the target environment using [Compare and Deploy](#). Be sure to add any missing precedents that are part of your customization(s).
- 4 You can now start using your solution, complete with customizations, in the target environment!

## Home Page Overview

# Introduction

The Connected KYC Home page is the primary page to complete tasks and track Investigations. It is an invaluable tool to track Investigations at a high level and to identify issues.

The screenshot displays the Appian Connected KYC Home page. The top navigation bar includes 'appian', 'HOME', 'TASKS', 'CUSTOMERS', 'KYC INVESTIGATIONS', and a 'Connected KYC' user profile. The main content area is divided into three primary sections: 'My Workspace', 'Active Alerts', and 'Active Investigations'.

- My Workspace:** Contains a list of alerts. The first alert states: 'Northrow generated the following alert: Unable to check non-UK Company details (associated risk score: 100)' with details for 'Almach' on 'May 6, 2022'. The second alert is similar but for 'Antilles Family Fund' on 'May 4, 2022'. The third alert states: 'Domicile. RCT-SRQ-0001 was created in association with this alert.' for 'Solanas+Getino Inc' on 'Apr 26, 2022'.
- Active Alerts:** A section with filters for 'Any Type' and 'Any Source'. It shows a list of alerts, including the ones mentioned in 'My Workspace'.
- Active Investigations:** A table listing investigations. The table has columns: 'Name', 'Status', 'Customer', 'Owner', and 'Target Completion Date'. The investigations listed are:
  - ACM-KYC-0001: Due Diligence In Progress, Antilles Family Fund, Me, May 27, 2022.
  - ACM-KYC-0002: Open, Antilles Family Fund, KYC Manager, May 27, 2022.
  - BLT-KYC-0001: Awaiting Peer Review, Barbados Limited Partners, KYC Manager, May 27, 2022.
  - BLT-KYC-0002: Open, Barbados Limited Partners, KYC Manager, May 27, 2022.
  - BLT-KYC-0003: Open, Barbados Limited Partners, KYC Manager, May 27, 2022.
  - BLT-KYC-0004: Open, Barbados Limited Partners, KYC Manager, May 27, 2022.
  - DRA-KYC-0001: Open, Deline Partners, KYC Manager, May 27, 2022.
- Active Tasks:** A section with a 'Next 30 Days' filter. It shows tasks like 'Document Reconciliation | Invalid 1' and 'Document Reconciliation | Credit Line 2'.
- Risk Profile:** A section showing an 'AVERAGE RISK SCORE' of 78, labeled 'High Risk'. It also lists 'CUSTOMERS WITH HIGHEST RISK SCORES' including 'Almach', 'Antilles Family Fund', and 'ACME'.
- Owners:** A list of users and their investigation counts: 'KYC Manager' (11), 'KYC User' (2), 'Cameron Jones' (1), and 'Service Manager' (1).

## Active Alerts

The **Active Alerts** section displays any alerts that are currently open for any customer. An alert shows information about when and why it was triggered. The user can dismiss the alert from this page. For more information about configuring alert conditions, see [Configure Alerts](#).

This detailed view of the 'Active Alerts' section shows three alerts. Each alert includes a bell icon, a title, a description, and a source. The first alert is: 'Northrow generated the following alert: Unable to check non-UK Company details (associated risk score: 100)' from 'Almach' on 'May 6, 2022'. The second alert is: 'Northrow generated the following alert: Unable to check non-UK Company details (associated risk score: 100)' from 'Antilles Family Fund' on 'May 4, 2022'. The third alert is: 'Domicile. RCT-SRQ-0001 was created in association with this alert.' from 'Solanas+Getino Inc' on 'Apr 26, 2022'. At the bottom, there is a pagination control showing '1 - 3 of 3'.

## Active Investigations

The central portion of the home page displays the **Active Investigations** grid which initially will filter to active Investigations assigned to the logged-in user.

Active Investigations

Next 30 Days

UPDATE OWNER

Search ...

SEARCH

SOURCE | Any

STATUS | Any

CUSTOMER | Any

OWNER | Any

Name

Status

Customer

Owner

















Target Completion Date

<div></div> <div>ACM-KYC-0001</div> <div>Manual</div>	Due Diligence In Progress	Antilles Family Fund	Me	<div>May 27, 2022</div> <div>Due on 18 days</div>
<div></div> <div>ACM-KYC-0002</div> <div>Manual</div>	Open	Antilles Family Fund	KYC Manager	<div>May 27, 2022</div> <div>Due on 18 days</div>
<div></div> <div>BLT-KYC-0001</div> <div>Manual</div>	Awaiting Peer Review	Barbados Limited Partners	KYC Manager	<div>May 27, 2022</div> <div>Due on 18 days</div>
<div></div> <div>BLT-KYC-0002</div> <div>Manual</div>	Open	Barbados Limited Partners	KYC Manager	<div>May 27, 2022</div> <div>Due on 18 days</div>
<div></div> <div>BLT-KYC-0003</div> <div>Manual</div>	Open	Barbados Limited Partners	KYC Manager	<div>May 27, 2022</div> <div>Due on 18 days</div>
<div></div> <div>BLT-KYC-0004</div> <div>Manual</div>	Open	Barbados Limited Partners	KYC Manager	<div>May 27, 2022</div> <div>Due on 18 days</div>
<div></div> <div>DRA-KYC-0001</div> <div>Manual</div>	Open	Deline Partners	KYC Manager	<div>May 27, 2022</div> <div>Due on 18 days</div>


Clicking an Investigation name opens the Investigation summary page.

## Active Tasks

The **Active Tasks** section displays all tasks that are either assigned directly to the user or to a group they are a member of. The task name, task type, due date, and Investigation link are displayed to the user.

Active Tasks		Next 30 Days	
	<b>Document Reconciliation   Invalid 1</b>  Expired 5/7/2022  <a href="#">ACM-KYC-0001</a>		
	<b>Document Reconciliation   Credit Line 2</b>  Expired 5/7/2022  <a href="#">RCT-KYC-0002</a>		
	<b>Questionnaire Task</b>  Due 5/17/2022  <a href="#">ACM-KYC-0002</a>		
	<b>Questionnaire Task</b>  Due 5/17/2022  <a href="#">BLT-KYC-0002</a>		

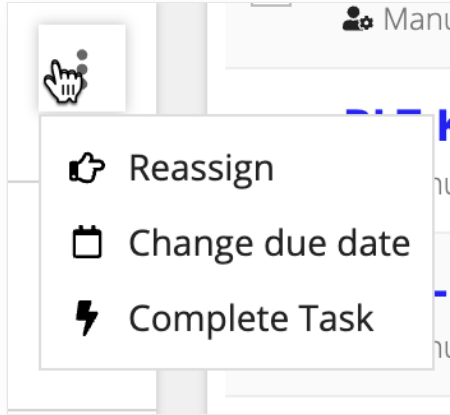
Tasks due in the **Next 30 Days** are shown by default. To filter the tasks further, click the filter icon.

Active Tasks Next 30 Days 

--- All type ---

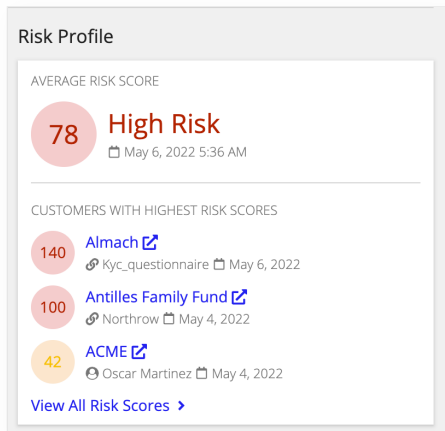
--- Any customer --- Any assignee

The user can complete, reassign or change the due date by clicking on the menu bar icon next to each task.




## Risk Profile

The **Risk Profile** section of the home page shows users the average risk score across their customers, and the top three customers with the highest risk score change. This provides the KYC group insight into the changing risk levels across the organization.

















To view all customer risk scores, click **View All Risk Scores**.

appian HOME TASKS CUSTOMERS KYC INVESTIGATIONS Connected KYC 

[Back to My Workspace](#)

Customer Risk Scores [Learn more about Risk Types Show](#)







140	<a href="#">Almach</a>	 Kyc_questionnaire  May 6, 2022
100	<a href="#">Antilles Family Fund</a>	 Northrow  May 4, 2022
42	<a href="#">ACME</a>	 Oscar Martinez  May 4, 2022
30	<a href="#">Solanas+Getino Inc</a>	 Cameron Jones  Apr 26, 2022
N/A	<a href="#">SJ</a>	 fs admin  Apr 27, 2022
N/A	<a href="#">Barbados Limited Partners</a>	 Cameron Jones  May 9, 2022
N/A	<a href="#">Deline Partners</a>	 Cameron Jones  May 9, 2022

<< < 1-7 of 7 > >>

## Owners

The **Owners** section of the home page shows users the number of investigations per owner to balance workload appropriately.

Owners

	<b>KYC Manager</b>  11 investigations
	<b>KYC User</b>  2 investigations
	<b>Cameron Jones</b>  1 investigation

To reassign KYC investigations:

1. From the **Active Investigation** grid, click **UPDATE OWNER**.
2. Search for a new primary owner.
3. Click **UPDATE OWNER**.

appian HOME TASKS CUSTOMERS KYC INVESTIGATIONS Connected KYC 

### Update Owner for KYC Investigation ACM-KYC-0001

**Search for a new primary owner**

The new primary owner will be responsible for this investigation.

Owner 

Investigation Details

[ACM-KYC-0001](#)

Target Completion Date	Risk Score
5/27/2022	High
Owner	
	Cameron Jones

CANCEL

UPDATE OWNER

## Create a new Investigation

You can start a new Investigation directly from the homepage.

To begin a new KYC, click + **NEW KYC INVESTIGATION** and follow the Create a New Investigation steps.



+ NEW KYC INVESTIGATION

# Create New Investigation

## Introduction

Know Your Customer (KYC) is a verification process completed at financial institutions in order to protect the bank and, in some cases, the customer from risk associated with the business relationships. This involves collecting and maintaining investigation information about the customer. The Connected KYC solution provides a guided experience for collecting this information. Enabled by Appian's powerful records, after a customer is created, end users can view and update this information from simple, informative record interfaces.

This page provides instructions for creating a new investigation.

## Investigation statuses

In Connected KYC, the KYC investigation goes through many stages. Each step of the KYC process has a unique status and distinct actions that can be performed.

The different KYC investigation statuses are:

- **Open:** the KYC investigation has been [created](#), but the screening questionnaire has not been started.
- **Questionnaire in progress:** the [screening questionnaire](#) has been started, but is not complete.
- **Due diligence in progress:** the questionnaire is complete, but a [decision](#) has not been made on the investigation or the initial decision was not confirmed by the peer reviewer, so the investigation needs additional review.
- **Awaiting peer review:** an initial decision has been made regarding the investigation, but a [peer review](#) has not been completed.
- **Closed:** A decision has been [confirmed](#) by the peer reviewer and no additional action can be taken on the investigation.
- **Canceled:** An investigation was manually deemed [no longer required](#).

## Creating a new investigation

Clicking **NEW KYC INVESTIGATION** opens the Create KYC Investigation dialog, which steps you through the process of entering the information needed to start the investigation process. The information entered here will populate the Customers and KYC Investigations records.



Name	Status	Customer	Owner	Target Completion Date
IBF-KYC-0001	Open	Insurance Broking Finance Limited	Me	Jun 3, 2022
IAL-KYC-0001	Questionnaire In Progress	Investment Alliance Ltd	Me	Jun 3, 2022

Creating a new investigation request consists of the following steps, which KYC will guide you through:

1. [Select customer.](#)
2. [Enter investigation details.](#)
3. [Complete KYC questionnaire.](#)

## Select customer

Creating a new investigation starts by asking you to specify which customer you want to start investigating. Note that the customer must already exist in the KYC solution. If the customer you want to investigate does exist in the KYC, go to the **CUSTOMERS** page to [create a new customer](#).

To select a customer to investigate:

1. Enter the name or acronym of an existing customer.
2. Select the customer you want to investigate.
3. Click **NEXT**.

Which Customer?

Select the customer you want to start investigating

B

Insurance Broking Finance Limited (IBF)

Bentley Equine Limited (BEL)

CANCEL NEXT

## Enter investigation details

Once you've selected the customer you want to investigate, you will be able to enter investigation details.

To enter investigation details:

1. Enter the **Target Completion Date**.
2. Select the investigation **Owner**.
3. (Optional) Enter a **Comment** about the investigation.
4. Click **CREATE KYC INVESTIGATION**.

appian
HOME TASKS CUSTOMERS KYC INVESTIGATIONS
Connected KYC

Create KYC Investigation

Enter Investigation Details

1 Target Completion Date \*
06/03/2022

2 Owner \*
Search users
The owner will be responsible for and have a task to make a decision on the investigation.

3 Comment
0/1000

Customer Details
Insurance Broking Finance Limited (IBF)
United States
Previous Customer Names
No previous customer names
Risk Score: Low
No previous KYC investigations
Beneficial Owners
Sandra Lewis owns 70.57%
Active Alerts
No outstanding alerts
KYC Valid Through: N/A

BACK CANCEL
4 CREATE KYC INVESTIGATION

After the investigation has been created, you can immediately start the KYC questionnaire or click **CLOSE** to return to the previous page and continue other tasks.

Service Request **Crystal-SRQ-001** created for SJ

CLOSE

If you opt to **CLOSE** out of the screen, a task will be created and assigned to the owner to complete the questionnaire at a later date. You can view this task on the **Summary** page or the **HOME** page. You will also be able to access and complete the questionnaire on the **Questionnaire** page of the investigation record.

## Complete the KYC questionnaire

To complete the KYC questionnaire:

1. From the **KYC Confirmation** page or the **KYC Investigation** record, click **START QUESTIONNAIRE**.
2. Fill out appropriate answers to the questions. Additional questions may appear based on answers to prior questions.

3. Click **SAVE DRAFT AND CLOSE** to save the answers entered without submitting the questionnaire. This will allow you to pick up where you left off when you decide to continue the questionnaire
4. Once all questions are answered, click **REVIEW AND COMPLETE**.

The screenshot shows the Appian interface for a KYC investigation. The top navigation bar includes 'HOME', 'TASKS', 'CUSTOMERS', and 'KYC INVESTIGATIONS'. The main title is 'Questionnaire for KYC Investigation IAL-KYC-0001'. On the left, there's a sidebar with 'Investment Alliance Ltd' and a progress bar at '0%'. Below this is a 'SAVE DRAFT AND CLOSE' button. The main content area is titled 'Government' and contains four questions with radio button options: 'Is the majority of the client's voting shares or voting rights being held by a government?', 'Is there financial dependence by the client on a government?', 'Is the majority of the client's directors or officers nominated by a government?', and 'Is the client more than 50% owned by any national, federal, state, province, local or municipal government agency, office and instrumentality owned by a government?'. At the bottom, there are 'CANCEL', 'REVIEW AND COMPLETE', and 'NEXT' buttons.

5. Review the answers on the confirmation screen and click **SUBMIT**.

The questionnaire will use the answers entered to determine the next steps for the investigation.

The first item the questionnaire will determine is the new risk score for the customer. The risk score is calculated by summing the designated risk score for each multiple choice answer in the questionnaire. The individual risk scores for each answer can be set up in **Connected FS Settings** on a per question or per workflow template basis. Once the risk score is calculated by the questionnaire, it will be updated when the KYC investigation closes.

The second is whether or not manual review is required for this investigation. If manual review is required, tasks and required documents will be generated and the KYC will stay open and assigned to the owner. Necessary manual review is determined by either the risk score totaling above the **HIGH** risk score threshold or a designated manual review required answer has been entered.

If manual review is not required and the risk score is not high, the KYC will be closed as auto-approved.

## Complete KYC tasks and required documents

Once the investigation has been determined to need manual review, after the questionnaire has been completed, any tasks set up in the workflow templates will be kicked off and needed to be complete.

Tasks can be completed from the home page or from the KYC investigation [summary tab](#).

## Enter the KYC decision

One of the tasks generated after as part of the KYC investigation is the KYC Decision task. This task determines whether or not the KYC is going to be approved or rejected. During the decision task, the user can review any relevant findings, complete outstanding tasks and then make a determination on the KYC investigation.

To make the decision:

1. Select **Approve** or **Reject**.
2. Add an optional comment.
3. Select a user to peer review the decision and a due date for the peer review.

## Decision

Determine whether this KYC should be approved or not. Justification is required any rejection decision.

All decisions will be peer reviewed. Once a decision has been made it will be uneditable until after a peer review.

### Decision

Approve

Reject

### Comments

### Peer Reviewer \*

### Due Date ? \*

05/26/2022

After submitting the decision, any outstanding tasks or documents will be marked as **Not Needed** for the investigation. The peer review task will be opened and assigned to the designated user and no additional actions will be available.

## Peer review the KYC decision

When the decision is submitted, the peer review task will go from queued to assigned. This task is to ensure that there is another user to confirm the KYC decision. The state of the KYC will be static until the peer reviewer either confirms or disputes the decision made by the original reviewer.

The peer reviewer can review the decision and relevant information before entering the outcome of the peer review.

If the peer reviewer chooses **Confirm Decision**, they can enter a comment and set a **KYC Expiration** date. After the peer review is submitted, the KYC will be closed.

## Peer Review

Determine whether or not to confirm the decision made by the KYC reviewer. Justification is required when disputing the initial decision.

If you confirm the decision, the investigation will be closed and the decision will be finalized. You will need to enter a KYC valid through date.

If you refute the decision, the KYC will be reopened and additional tasks and documents can be requested. A new decision task will be opened and assigned to the original owner. An additional peer review will need to be completed to close the KYC.

### Review Outcome

Confirm Decision

Dispute Decision

### Comments

### KYC Expiration

Enter the date that the KYC decision will be valid through. After this date, a new KYC will be required.

KYC Expiration \*

05/05/2023

## KYC Expiration

The KYC expiration date is the date that the KYC the assigned user is currently completing will be valid until. This date will update the customer's KYC valid through date indicating the next time a KYC will be required. The KYC expiration date defaults to one year from the KYC completion date.

For example, if a customer's KYC is valid through 03/21/2023 and another KYC investigation is completed and sets a new expiration date of 09/21/2023, this new date will be the one that a new KYC is required for the customer.

If the peer reviewer chooses Dispute Decision, they will be required to select a reason and can add any additional tasks or required documents to be opened after the peer review task is submitted. These tasks will be assigned and a new set of decision and peer review tasks will be opened as well. The KYC investigation will move back in to the *Due diligence in progress* status and tasks and actions will become available once again.


### Peer Review


Determine whether or not to confirm the decision made by the KYC reviewer. Justification is required when disputing the initial decision.

If you confirm the decision, the investigation will be closed and the decision will be finalized. You will need to enter a KYC valid through date.

If you refute the decision, the KYC will be reopened and additional tasks and documents can be requested. A new decision task will be opened and assigned to the original owner. An additional peer review will need to be completed to close the KYC.

**Review Outcome \***

  
Confirm Decision

  
Dispute Decision

**Reason for Disputing Decision \***  
--- Select a Value ---


**Comments \***

### Additional Requirements

Add any additional tasks or documents that need to be collected in order to add another decision and close the KYC.


**Tasks**

+ NEW TASK

  
No Active Tasks

**Document Requirements**

+ NEW DOCUMENT



## Close KYC investigation

KYC investigations will be marked as closed after a peer review has been confirmed. When an investigation is closed, it is no longer available for editing.

## Cancel KYC investigation

If a KYC investigation is no longer required, the user can manually cancel the investigation. The user must select a cancellation reason and can enter an optional comment. The investigation's status will be set to **Cancel** and no further actions can be taken.

# Managing Investigations

## Introduction

After you have created a new investigation in Connected KYC, you will need to view and maintain that information. This page provides a description of information available in the tabs of an investigation record.

### See Also

- [Create new investigation](#) describes how to create a new investigation.

# Summary tab

The **Summary** tab lists the important information about an investigation.

This page list the following investigation information:

1. **Investigation Actions** - buttons to update details or cancel the KYC Investigation.
2. **Status** - the **Overall** status and the **Decision** statuses for a KYC.
3. **Tasks** - Open and complete tasks, and click on open tasks to complete them.
4. **Discussions** - Comments or discussions relevant to the KYC investigation.
5. **Relevant Findings** - Any findings that are relevant to the investigation.
6. **Investigation Details**- High level information about the investigation including:
  - o Source
  - o Start Date
  - o Expected Completion Date
  - o Owner
  - o Calculated Risk Score
7. **Required Documents** - The list of required documents and corresponding statuses.
8. **Customer Details** - High level information about the customer, including:
  - o Name
  - o Customer origination date
  - o Customer type
  - o Current risk score
    - **Note:** this is the risk score prior to the current investigation.
  - o Domicile
  - o Active alerts
  - o Previous investigations
  - o KYC valid through date

**KYC Investigation AWS-KYC-0001**

Summary | Questionnaire | History | Comments | Documents | Findings

**1** UPDATE OWNER | CANCEL INVESTIGATION | UPDATE INVESTIGATION

**2** **Status**

**Overall**  
Due Diligence In Progress  
Target Completion Date 6/3/2022

**Decision**  
No decisions

**5** **Relevant Findings** + NEW

OFAC came back with lots of hits  
Manual 5/14/2022  
We got some hits for the this customer  
« < 1 - 1 of 1 »

**7** **Required Documents**

2/2 documents pending  
All status | All Assignees | All Group Assignees

Stock Lending Agreement QR 1  
May 26, 2022 KYC

Foreign Account Tax Compliance A...  
May 26, 2022 KYC  
« < 1 - 2 of 1 »

**3** **Tasks**

Search | All statuses | All categories

NEW TASK | MARK COMPLETE | MARK NOT NEEDED | CLAIM TASK | REASSIGN | CHANGE DUE DATE | REOPEN TASK | SEND TASK

Name	Status	Category	Assigned Group	Assignee	Due	Completed
Attach Required Document   Foreign Account...	Assigned	KYC	KYC	-	5/20/2022	-
Review Required Document   Foreign Account...	Assigned	Document Review	KYC	-	5/20/2022	-
Attach Required Document   Stock Lending A...	Assigned	KYC	KYC	-	5/20/2022	-
Review Required Document   Stock Lending ...	Assigned	Document Review	KYC	-	5/20/2022	-
KYC Decision	Assigned	KYC	KYC	-	5/29/2022	-
KYC Peer Review	Assigned	KYC	KYC	-	6/2/2022	-
Questionnaire Task	Completed	Risk Rating	KYC	Karen Anderson	5/24/2022	5/4/2022

7 items

**4** **Discussion**

Enter a comment... 0/4000 POST

Karen Anderson  
today 1:19 pm  
Contacted the customer for additional documents yesterday  
« < 1 - 1 of 1 »

**6** **Investigation Details**

Source Manual

Investigation Start May 4, 2022

Expected Completion Jun 3, 2022

Owner Karen Anderson

Calculated Risk Score 60

**8** **Customer Details**

Name Abra Wholesales (AWS)

Since May 4, 2022

Type Corporate Banking

Risk Score 20  
Update Risk Score

Domicile United Kingdom (UK)

## Dependency view

You can also view tasks from the **DEPENDENCY VIEW** on the summary tab by clicking on the [ADD ICON] icon.

Tasks

Search

--- All statuses ---

--- All categories ---

NEW TASK
MARK COMPLETE
MARK NOT NEEDED
CLAIM TASK
REASSIGN
CHANGE DUE DATE
REOPEN TASK
SEND TASK

Q Search ...

SEARCH

Y
R

<input type="checkbox"/>	Name ?	Status	Category	Assigned Group	Assignee	Due	Completed ↑
<input type="checkbox"/>	Attach Required Document   Foreign Acc...	Assigned	KYC	KYC	-	5/27/2022	-
<input type="checkbox"/>	Review Required Document   Foreign Ac...	Assigned	Document	KYC		5/27/2022	

Discuss

Task dependency view

Enter

Contact yesterday

Invest

Source

The tasks are displayed in a chart format so that the investigator can see a specific open task and all of its dependent tasks in a cascading list.

Tasks

Attach Required Document | Agreement: Contract 1
Completed 5/4/2022

Review Document | Agreement: Contract 1
Due 5/24/2022

Questionnaire Task
Completed 5/4/2022

KYC Decision
Completed 5/4/2022

KYC Peer Review
Completed 5/4/2022

## Questionnaire tab

The **Questionnaire** tab shows a record of all of the answers recorded for a customer's KYC questionnaire.

On this page you can:

- View the questionnaire's status.
- Depending on the state of the questionnaire, you can continue the questionnaire, edit answers, or start the questionnaire.
  - If the questionnaire has not been started, **START QUESTIONNAIRE** displays.
  - If the questionnaire has been completed, **EDIT ANSWERS** displays.
  - If the questionnaire has been started but not completed, **CONTINUE QUESTIONNAIRE** displays.
- View recorded answers for the questionnaire.

appian
HOME TASKS CUSTOMERS KYC INVESTIGATIONS
Connected KYC

KYC Investigation DWS-KYC-0001
Summary Questionnaire History Comments Documents Findings

NOT STARTED
START QUESTIONNAIRE

Government

Is the majority of the client's voting shares or voting rights being held by a government?	Not answered yet
Is there financial dependence by the client on a government?	Not answered yet
Is the majority of the client's directors or officers nominated by a government?	Not answered yet
Is the client more than 50% owned by any national, federal, state, province, local or municipal government agency, office and instrumentality owned by a government?	Not answered yet

Reputation

Are you aware of any information that leads you to believe that the client has been the subject of negative news, both factual and alleged, that could present a reputational risk to the bank?	Not answered yet
Does the client, or an authorized representative of the client, maintain an existing relationship with the company?	Not answered yet
Does the client conduct business in (e.g. has a branch, office or distributor), derive revenue from (e.g. provision of services, import/export of goods, projects), or have any assets in a Restricted Country?	Not answered yet
Is the client a gaming entity, i.e. one whose primary business is a gaming operation? These include casinos, lotteries, internet gaming and entities who provide operational support/infrastructure to gaming entities, e.g. providers of gaming software, white label/hosting of e-gaming solutions, providers of customer/account support services to gaming entities.	Not answered yet

## History tab

The History tab shows the actions that have been taken on the tasks for an investigation. This information acts as an audit trail for tasks.

On this page you can:

1. Search the history by user.
2. View the user who changed the investigation details.
3. View details about the modification made.
4. View the date and time the modification was made.

appian
HOME TASKS CUSTOMERS KYC INVESTIGATIONS
Connected KYC

KYC Investigation AWS-KYC-0001
Summary Questionnaire History Comments Documents Findings

Modified By

User	Modification	Time
Karen Anderson	Edited <b>Target Completion Date</b> from 6/3/2022 to 6/10/2022	May 4, 2022 1:32 PM
Karen Anderson	Added <b>Document Requirement</b> Foreign Account Tax Compliance Act (FATCA) QR 1	May 4, 2022 1:14 PM
Karen Anderson	Added <b>Document Requirement</b> Stock Lending Agreement QR 1	May 4, 2022 1:14 PM

## Comments tab

The comments tab allows end users to comment on Active or Submitted investigations. Users can use this to add notes that they would want others working on the investigation to see, such as client outreaches.

On this page you can:

1. View comments.
2. Edit or delete your own comments.



3. Add new comments.

All users who have access to the investigation will be able to see the comments.

The screenshot shows the Appian interface for a KYC investigation titled "KYC Investigation AWS-KYC-0001". The top navigation bar includes "HOME", "TASKS", "CUSTOMERS", and "KYC INVESTIGATIONS". The user is logged in as "Connected KYC" with a profile picture. The "Comments" tab is selected, showing a list of comments. One comment is visible, posted by Karen Anderson 12 minutes ago, stating "Contacted the customer for additional documents yesterday". There is an "ADD COMMENTS" button below the comment.

## Documents tab

The **Documents** tab lists all of the documents related to an investigation. You can also see the status of your attached documents.

You can learn more about the different features of the document tab on the [Managing Documents](#) page.

The screenshot shows the Appian interface for a KYC investigation titled "KYC Investigation AWS-KYC-0001". The top navigation bar includes "HOME", "TASKS", "CUSTOMERS", and "KYC INVESTIGATIONS". The user is logged in as "Connected KYC" with a profile picture. The "Documents" tab is selected, showing a list of documents. The list has columns for Name, Document Type, Status, and Uploaded. Two documents are listed, both titled "Template-Letter-of-authorisation-for-authorised-Signatories.pdf". The first document is a "Stock Lending Agreement" with a status of "PENDING REVIEW", uploaded today by Karina Anderson. The second document is an "Authorized Signature List" with a status of "SUPPORTING", also uploaded today by Karina Anderson. There is a search bar and an "ATTACH DOCUMENTS" button at the top of the list.

## Findings tab

The **Findings** tab lists any findings that have been added throughout the investigation. Findings will be listed along with key information. To view additional details about the finding, click into the name.

The screenshot shows the Appian interface for a KYC investigation titled "KYC Investigation AWS-KYC-0001". The top navigation bar includes "HOME", "TASKS", "CUSTOMERS", and "KYC INVESTIGATIONS". The user is logged in as "Connected KYC" with a profile picture. The "Findings" tab is selected, showing a list of findings. The list has columns for Name, Status, Source, Description, Comment, Created, Updated, and Resolved. One finding is listed, titled "OFAC came back with lots of hits", with a status of "Resolved" and a source of "Manual". The description is "We got some hits for the this customer". The comment is "Additional due diligence suggests that this customer is fine." The finding was created and updated by Karina Anderson on May 4, 2022. There is a search bar and a "NEW" button at the top of the list.

# Create a New Customer

## Introduction

It is important to have easy access to all of your customer's data. In the Appian Know Your Customer (KYC) solution, the Customers record page contains all of this data, and allows users to take action on that data.

This page describes the customer workflow, including how to view, create, and update customer information.

See [Using Records](#) for more information on Appian Records.

## Viewing information for a customer

From the Know Your Customer site, clicking **CUSTOMERS** displays a list of customer records. You can filter by searching for a customer or filtering by customer type.

Clicking a customer name displays the record for that customer. The record displays all of the pertinent information for a particular customer. This information is split into several different pages, which are outlined in the following sections.

### Summary tab

The **Summary** tab lists the important information about a customer.

The following customer information is listed on this page:

1. **Customer highlights** - This is where the customer logo displays. It also lists important information about the customer, as well as who last updated the customer information.
2. **Customer details** - This is where you can view specific information about a customer. This includes:
  - **Customer Type**
  - **Domicile**
  - **Customer Region**
  - **Industry Classification**
  - **GMEI**
  - **Tax ID**
3. **Addresses** - Lists the address for the customer. More than one address can be listed. See [Adding addresses and contacts](#) for information on adding and updating addresses.
4. **Contacts** - You can filter contacts by Active or All. Each contact can have more than one phone number or address. The top-right side of the box lists the relationship type, such as Trading, and contact type, such as Authorized Signatory. See [Adding addresses and contacts](#) for information on adding and updating contacts.
5. **Structure** - Lists the parent and child relationships for the customer.

### Documents tab

The Documents tab shows all of the documents associated with a customer.

You can learn more about documents on the [Managing Documents](#) page.

## Creating a new customer

New customers can be created from the Customers record page. The guided experience for creating a new customer walks you through the process of entering the information you need to start the service request process. It consists of the following guided steps:

1. [Customer Search](#)
2. [Customer Info](#)
3. [Additional Details](#)
4. [Owners & Entities](#)
5. [Addresses & Contacts](#)
6. [Review](#)

To begin creating a new customer, from the **CUSTOMERS** record page, click **CREATE CUSTOMER**.

The top of the screen contains the various data collection steps required to create a new customer. You can click **NEXT** at the bottom of the form to go to the next step.

Create Customer

CUSTOMER SEARCH

2 CUSTOMER INFO

3 ADDITIONAL DETAILS

4 OWNERS & ENTITIES

5 ADDRESSES & CONTACTS

6 REVIEW

Customer Search

The first step of the create customer process is to search for the customer from your company's source of truth for customers. This is an external source, most likely a customer relationship management (CRM) system or database. If there is not an external source connected, this step will be skipped entirely and the user will be started on the [Customer Info](#) step to fill in the data manually in the following steps.

Connecting an external source will reduce the need for manual entry and in turn save time and lower the number of errors made. Connected Servicing uses [Dun & Bradstreet](#) and [Companies House](#) as two examples of ways to connect a source of truth for customers.

To search for a customer:

1. Enter **Name** and **Domicile**, click **LOOK UP CUSTOMER**.
- The **LOOK UP CUSTOMER** button will only become enabled once both **Name** and **Domicile** are filled out.

Create Customer

CUSTOMER SEARCH

2 CUSTOMER INFO

3 ADDITIONAL DETAILS

4 OWNERS & ENTITIES

5 ADDRESSES & CONTACTS

6 REVIEW

Name \*

Smith

Customer Number

Domicile \*

United States

Q LOOK UP CUSTOMER

Search Companies House

Q

Enter the Name and Domicile for a specific customer and click LOOK UP CUSTOMER to retrieve the customer's information

CANCEL

NEXT

2. From the list of results, select the matching customer by clicking on the row.
- The max number of results returned from Dun & Bradstreet is 10.

The confidence value is provided to help select the correct customer. It is a numeric value from 1 (low) up to 10 (high) indicating the level of certainty at which this possible candidate was included in this result set.

Changing the **Name** or **Domicile** will require you to re-search by clicking **LOOK UP CUSTOMER** again.

If none of the results are accurate, click **NEXT** to proceed to **Customer Info** and enter the information manually.

Create Customer

CUSTOMER SEARCH

2 CUSTOMER INFO

3 ADDITIONAL DETAILS

4 OWNERS & ENTITIES

5 ADDRESSES & CONTACTS

6 REVIEW

Name \*

Smith, Smith & Smith Llp

Customer Number

Domicile \*

United States

Q LOOK UP CUSTOMER

Search Companies House

Select customer

Customer Name	DUNS Number	Country	Confidence Value	Website
SMITH & SMITH LLP	967164625	United States	6	-
SMITH & SMITH	879240851	United States	6	-
SMITH, SMITH & SMITH LLP	965486090	United States	6	-
SMITH SMITH & SMITH	101416084	United States	6	-
SMITH & SMITH LLP	102083755	United States	6	-
SMITH & SMITH, INC.	089973556	United States	6	-
SMITH & SMITH ASSOC	171057453	United States	6	-
SMITH & SMITH INC.	613830538	United States	6	-
SMITH & SMITH, LLC	624009002	United States	6	-
SMITH & SMITH	945219988	United States	6	-

10 Items

CANCEL

NEXT

3. (Optional) To use Companies House information for the customer being created, enter the **Customer Number**.

- To look up the **Customer Number**, click on **Search Companies House**. A new window will appear and allow you to search by name in order to find the **Customer Number**.

4. Click **NEXT**.

## Customer Info

On the **Customer Info** step, fill in the fields. **Name**, **Acronym**, **Type**, and **Domicile** are required. **Name** and **Domicile** will be pre-populated from the [Customer Search](#) step.

## Additional Details

On the **Additional Details** step, if the **Company Number** was entered during **Customer Search** the fields will be pre-populated by Companies House. However, you can enter the following sections manually or update them if need be:

1. Additional customer details.
2. [Previous customer names](#).
3. [Customer links](#).

## Adding previous customer names

To add a new previous customer name:

1. Click **Add Previous Customer Names**.
2. Enter the **Previous Name**, **Effective From** date, and **Ceased On** date.
  - The **Ceased On** date must be in the past and after the **Effective From** date.
3. Click **SAVE**.

### Previous Customer Names

+ Add Previous Customer Name

**Previous Name \***

**Effective From \***

**Ceased On \***

## Adding customer links

To add or update a customer links:

1. Click **Add Link**.
2. Select the **Link Type** and enter the **Link URL**.
  - **Note:** You may only have one link per link type.
  - **Note:** The **Link Type** values can be added in the AS\_FS\_R\_DATA table. See [Modifying Dropdown Lists](#) for instructions on how to add these.
3. To add an additional link, click **Add Link** again. To delete a relationship, click the red **x**.

### Customer Links

Link Type *	Link URL *	
<input type="text" value="--- Select type ---"/>	<input type="text"/>	<input type="button" value="x"/>
<a href="#">+ Add Link</a>		

## Owners & Entities

On the **Owners & Entities** step, add [Beneficial Owners](#) and [Entity Relationships](#). If you selected a customer result during **Customer Search**, beneficial owners may be pre-populated, if available from Dun & Bradstreet. It is also possible to add beneficial owners and entity relationships manually.

## Create Customer

✓ CUSTOMER SEARCH

✓ CUSTOMER INFO

✓ ADDITIONAL DETAILS

OWNERS & ENTITIES

5 ADDRESSES & CONTACTS

6 REVIEW

### Entity Relationships

Smiths Limited is a Parent of Parsec Funds and controls 20 % of the entity. ✖

Smiths Limited is a Child of Sculptor Bank which controls 100 % of the entity. ✖

[Add Entity Relationship](#)

### Beneficial Owners

[Add Beneficial Owner](#)

**Samantha Smith**  
Person  
Gov ID: SO281002  
Owns 45%

BACK

CANCEL

NEXT

## Adding Beneficial Owners

To add a beneficial owner:

1. Click **Add Beneficial Owners**.
2. Enter the beneficial owner details.
  - The default owner types that can be selected are: **Entity** and **Person**.
    - **Note:** These values can be updated in the AS\_FS\_R\_DATA table. See [Modifying Dropdown Lists](#) for instructions on how to update these values.
3. Click **SAVE**

After you click **SAVE**, you can use the edit icon to edit the beneficial owner, or use the **delete** icon to delete the beneficial owner.

### Beneficial Owners

[Add Beneficial Owner](#)

**Name \***

**Owner Type \***

Person

**Percentage Ownership \***

**Government Issued ID**

CANCEL

SAVE

## Adding Entity Relationships

To add an entity relationship:

1. Click **Add Entity Relationship**
2. Select whether the new customer is a **Parent** or **Child**.
3. Search for the customer name that is related to the new customer. This customer must already exist in the solution.  
If it does not, [Add a New Customer](#) from the Customer tab.
4. Enter the percentage of control.
5. To add an additional relationship, click **Add Entity Relationship** again. To delete a relationship, click the red ✖.

### Entity Relationships

Smiths Limited is a **Parent** of **Parsec Funds** and controls  % of the entity. ✖

Smiths Limited is a **Child** of **Sculptor Bank** which controls  % of the entity. ✖

Smiths Limited is a **Parent** of  and controls  % of the entity. ✖

[+ Add Entity Relationship](#)

Validations will be applied to the entity relationships to prevent incorrect data from being entered such as ownership over 100%. See [Smart relationship validations](#) to learn about all of the entity relationship restrictions.

## Addresses & Contacts

On the **Addresses & Contacts** step, add [addresses](#) and [contacts](#). If you entered a customer number during **Customer Search**, addresses may be pre-populated, if available from Companies House. It is also possible to add addresses and contacts manually.

### Create Customer

✓ CUSTOMER SEARCH

✓ CUSTOMER INFO

✓ ADDITIONAL DETAILS

✓ OWNERS & ENTITIES

✓ ADDRESSES & CONTACTS

6 REVIEW

#### Addresses

[+ Add Address](#)

6th Floor Charlotte Building 17 Gresse Street

London, GB W1T 1QL

Registered Office

#### Contacts

[+ Add Contact](#)

Susan Smith

PM

[Show More](#)

BACK

CANCEL

NEXT

## Adding Addresses

To add an address:

1. Click **Add Address**.
2. Enter the address details.
  - The default address types that can be selected are: **Headquarters**, **Home**, and **Work**.
    - **Note:** These values can be updated in the AS\_FS\_R\_DATA table. See [Modifying Dropdown Lists](#) for instructions on how to update these values.
3. Click **SAVE**.

## Addresses

+ Add Address

<b>Type *</b>	
Registered Office	
<b>Street Address *</b>	<b>Line 2</b>
6th Floor Charlotte Building	17 Gresse Street
<b>Country *</b>	<b>City *</b>
United Kingdom	London
<b>Region *</b>	<b>Postal Code *</b>
UK	W1T 1QL

CANCEL

SAVE

After you click **SAVE**, you can use the edit icon  to edit the address, or use the **delete**  icon to delete the address.

## Adding Contacts

To add a contact:

1. Click **Add Contact**.
2. Enter the contact details.
  - The default relationship types that can be selected are: **Trading** and **Counterparty**.
  - The default contact types that can be selected are: **PM** (portfolio manager), **CIO** (chief information officer), and **Authorized Signatory**.
    - **Note:** These values can be updated in the AS\_FS\_R\_DATA table. See [Modifying Dropdown Lists](#) for instructions on how to update these values.
3. To add a new phone number for the contact, click **New Phone**. Enter the phone number details.
4. To add a new address for the contact, click **New Address**. Enter the address details.
5. Click **SAVE**.



## Contacts

+ Add Contact

<b>First Name *</b>	<b>Last Name</b>	<b>Title</b>
Susan	Smith	Ms.
<b>Email</b>	<b>Relationship Type</b>	<b>Contact Type</b>
ssmith@smith.com	--- Select type ---	PM
<b>Position</b>		
CTO		
<b>New Address</b>		
+ Add Address		
<b>New Phone</b>		
+ Add Phone		

CANCEL

SAVE

After you click **SAVE**, you can use the edit icon  to edit the contact, or use the **delete**  icon to delete the contact.

## Review

Use the **Review** step to reconfirm all the information entered on the previous pages and click **SUBMIT**.



Create Customer

CUSTOMER SEARCH

CUSTOMER INFO

ADDITIONAL DETAILS

OWNERS & ENTITIES

ADDRESSES & CONTACTS

REVIEW

CUSTOMER INFORMATION

Name

Smiths Limited

Acronym

SML

GMEI

112-029-9999

International Entity

No

Type

Institutional Investor

Risk Score

100 (High)

Industry Classification Code

Hedge Fund

Qualified Institutional Buyer

Yes

Domicile

United Kingdom

ADDITIONAL DETAILS

Customer Number

02981446

Class Type

Private limited company

Class Sub-Type

Community Interest Company (CIC)

External Registration Number

-

Jurisdiction

England/Wales

Company Status With Details

Transfer from UK

Company Status

Active

Date of Creation

Oct 20, 1994

Foreign Account Details

Must File Within (months)

12

Account From

3 May

Registration Number

-

Foreign Account Type

Accounting requirements of originating country apply

Terms Of Account Publication

Accounts publication date supplied by company

Account To

10 April

Governed By

Sweden

Credit/Finance Institution

Yes

Originating Registry Name

-

Originating Registry Country

Sweden

Business Activity

-

PREVIOUS CUSTOMER NAMES

Smith LLC

Effective: Jul 13, 2010

Ceased: Jul 13, 2015

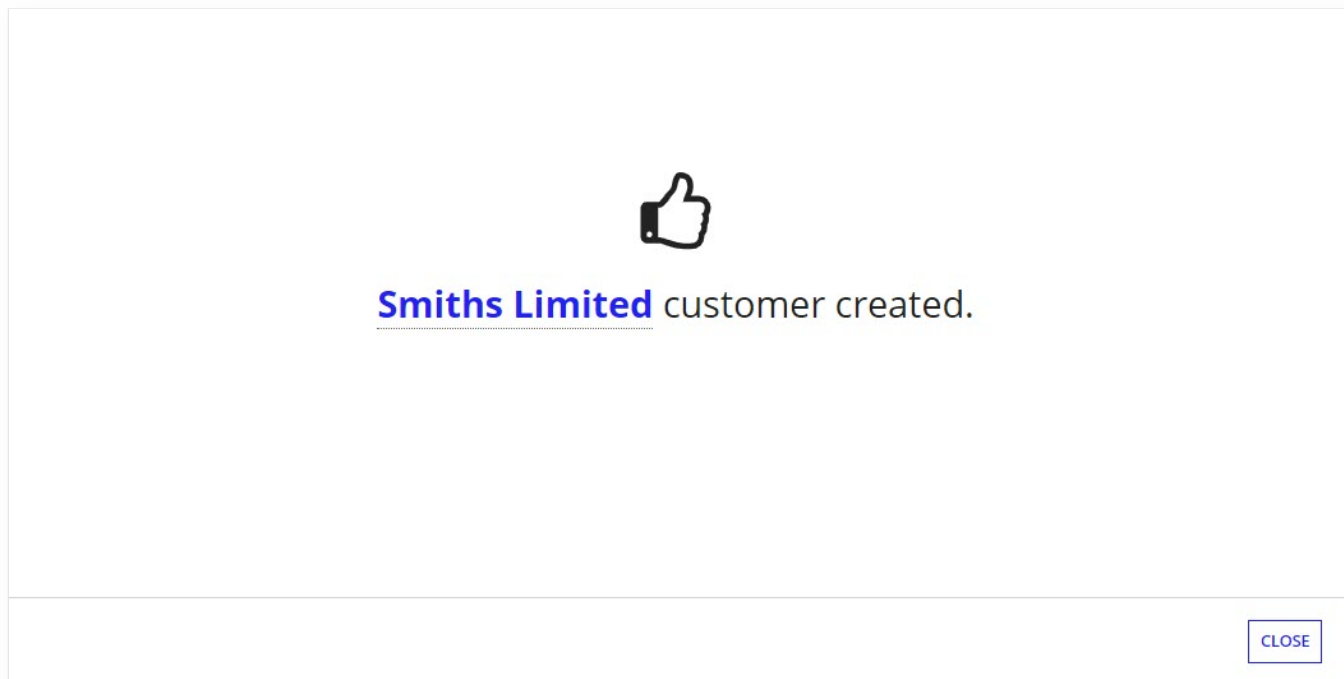
BENEFICIAL OWNERS

BACK

CANCEL

SUBMIT

Once submitted, you will see a confirmation page which will confirm that the customer has been created. Click the customer name to be taken to the newly created customer record or click **CLOSE** to be returned to the customer record list.



## Update customer details

The information for a customer can be updated on the **Basic Info** tab.

1. Click **Edit Customer Details**.

CUSTOMER INFORMATION			<a href="#">Edit Customer Details</a>
<b>Name</b> Crystal Inc	<b>Acronym</b> ZZA	<b>GMEI</b> 667885-546233552532	<b>Refresh Northrow Company Check Automatically</b> No
<b>Type</b> Buy Side Asset Manager	<b>Risk Score</b> 60 (Low)	<b>Industry Classification Code</b> Diversified Chemicals	
<b>Domicile</b> -	<b>International Entity</b> Yes	<b>Qualified Institutional Buyer</b> No	
<b>Region</b> Americas			

- Update the form with new customer details.

### Update Customer Details

<b>Name *</b> <input type="text" value="Penrose Investments"/> 19/255	<b>Acronym</b> <input type="text" value="PIN"/>	<b>GMEI</b> <input type="text" value="1338-85-5462898516494551-55"/> 27/255	<b>International Entity</b> <input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Type *</b> <input type="text" value="Corporate Banking"/>	<b>Risk Score *</b> <input type="text" value="350"/>	<b>Industry Classification Code</b> <input type="text" value="Oil &amp; Gas Drilling"/>	<b>Qualified Institutional Buyer</b> <input checked="" type="radio"/> Yes <input type="radio"/> No
<b>Domicile *</b> <input type="text" value="Cayman Islands"/>			

CANCEL
UPDATE CUSTOMER DETAILS

- Click **UPDATE CUSTOMER DETAILS**.

## Update an entity relationship

On the **Summary** tab for a customer or during customer creation, **Entity Relationships** can be added by clicking **Add**. If a relationship has already been added click **Edit**.

### Adding an relationship structure

You can optionally establish or update the relationship structure for the customer by adding parent and child relationships.

- Click **Add Relationship**
- Select whether the new customer is a **Parent** or **Child**.
- Search for the customer name that is related to the new customer. This customer must already exist in the solution. If it does not, [Add a New Customer](#) from the Customer tab.
- Enter the percentage of control.
- To add an additional relationship, click **Add Entity Relationship** again. To delete a relationship, click the red **x**. When all relationships are added click **UPDATE ENTITY RELATIONSHIPS**

appian
HOME TASKS CUSTOMERS SERVICE REQUESTS TRENDS
Connected Servicing

### Entity Relationships

1
Add Entity Relationship

2
Crystal Inc is a Child of Almach which controls 100 % of the entity.

3
Crystal Inc is a Parent of Russo Bros and controls 100 % of the entity.

4

5
UPDATE ENTITY RELATIONSHIPS

CANCEL

## Automatically updated relationships

Relationships are automatically reflected in the entity relationship section of all related customer records.

For example, if the Penrose Investments customer record is updated to indicate that it is a parent of Almo Corp Inc.:

**Penrose Investments (PIN)**

Summary | Basic Info | Documents | Products | History | Scheduled Requests | OFAC Check Results | Alerts

Active Alerts: KYC Manager updated Contr..., Entity relationship great..., Entity relationship great..., Northrow generated the fo..., Northrow generated the fo...

Products: Custody, Product 2, Product 1

ONBOARDINGS

Event Name	Owner	Created	Due	Completed
PIN-ONB-0002	Oscar Martinez	Aug 19, 2021	Sep 27, 2021	
PIN-ONB-0003	Capital Markets Buy Side	Oct 5, 2021	Oct 15, 2021	
PIN-ONB-0001	Oscar Martinez	May 25, 2021	Nov 18, 2021	Aug 25, 2021

SERVICE REQUESTS

Event Name	Owner	Created	Due	Completed
PIN-SRQ-0001	Anish Khandeparker	May 21, 2021	May 26, 2021	Aug 9, 2021
PIN-SRQ-0003	Deploy Admin	Sep 18, 2021	Sep 21, 2021	
PIN-SRQ-0002	Service Manager	Sep 10, 2021	Oct 10, 2021	

Customer Details: Since August 2021, Type Corporate Banking, Risk Score 350, Domicile Cayman Islands, Previous names Penrose Incorporated

Beneficial Owners: Marie Howard, Christa Lewis

Entity Relationships: Almo Corp (100% Owned Child)

The Almo Corp customer record is automatically updated to reflect that it is a child of Penrose:

**Almo Corp (ACP)**

Summary | Basic Info | Documents | Products | History | Scheduled Requests | OFAC Check Results | Alerts

Active Alerts: [new] entity has been add...

Products: No Products

Documents: Agreement: Loan

ONBOARDINGS: No Onboardings Available

SERVICE REQUESTS: No Service Requests Available

INVESTIGATIONS: No Investigations Available

Customer Details: Since August 2021, Type Buy Side Asset Manager, Risk Score 100, Domicile Cameroon

Beneficial Owners: Martha Phillips

Entity Relationships: Penrose Investments (100% Owned Parent)

## Smart relationship validations

Smart validations check the logic of your relationships. The entity relationship section includes the following validations.

- The percentage of control for all child relationships must not exceed 100%.

**Entity Relationships**

Crystal Inc is a Child of Almach which controls 100 % of the entity. Ownership is greater than 100%

Crystal Inc is a Child of Russo Bros which controls 40 % of the entity. Ownership is greater than 100%

+ Add Entity Relationship

- You cannot create circular relationships where one customer is both a parent and a child of the same company.

## Entity Relationships

Crystal Inc is a Child ▾ of Almach ✕ which controls  % of the entity. ✕  
Circular relation defined

Crystal Inc is a Parent ▾ of Almach ✕ and controls  % of the entity. ✕  
Circular relation defined

[+ Add Entity Relationship](#)

- You cannot create a duplicate relationship where the same company is listed more than once as a child or more than once as a parent.

## Entity Relationships

Crystal Inc is a Child ▾ of Almach ✕ which controls  % of the entity. ✕  
Duplicate relation

Crystal Inc is a Child ▾ of Almach ✕ which controls  % of the entity. ✕  
Duplicate relation

[+ Add Entity Relationship](#)

## Update customer risk score

A customer's Risk Score is shown on the Summary tab of the customer record. The score is a numerical value with a corresponding red, amber, or green classification. The thresholds can be customized using the [Solutions Customization Suite](#).

### Update risk score manually

To update a customer's risk score:

- On the **Summary** tab for a customer, click **Update Risk Score**.
- Enter the updated risk score.
- Click **UPDATE CUSTOMER DETAILS**.

# Update Risk Score

Risk Score \*

100

## RISK SCORE DETAILS

**Low**  
Value that is between 0 - 32. Typically customers with a low risk score do not undergo KYC

**Medium**  
Value that is between 33 - 65. Typically customers with a medium risk score may or may not undergo KYC depending on other factors e.g. relevant findings

**High**  
Value that is greater than or equal to 66. Typically customers with a high risk score have to undergo KYC

CANCEL

UPDATE

## Update risk score with Northrow

If a [Northrow](#) integration is set up, the risk score can be set and refreshed automatically.

When you create a new customer, the risk score will be pulled in from the Northrow company check. It will automatically refresh when the interval, set in the [Northrow properties](#) of the System Administration Site, is reached.

A user also has the option to refresh and pull a new risk score or any alerts from Northrow by clicking the refresh button. The refresh button is not available if the Northrow integration is disconnected.



## Customer Details

Since	August 2021
Type	Buy Side Asset Manager
Risk Score	<div><div></div>100</div> <div><div>Refresh</div><div>Settings</div></div>
Domicile	Cameroon
Previous names	-

Additionally, when the Northrow risk score is gathered, Northrow also provides a detailed risk score report. Once generated, the report is available for download from the **DOCUMENTS** tab of the customer record.

If a customer's risk score should be checked more frequently than the default or turned off completely, update the risk score settings.

### Customer Details

Since	August 2021
Type	Buy Side Asset Manager
Risk Score	<div><div></div>100</div> <div> Refresh  Settings</div>
Domicile	Cameroon
Previous names	-

Updating the Northrow settings will only apply to the specific customer.

### Update Risk Score Settings

**Do you want to refresh Northrow Company Check automatically?**  
☒ Yes ☐ No

**Do you want to refresh on the system default schedule of every 120 days?**  
☐ Yes ☒ No

**How often do you want to refresh the Northrow Company Check? \***

CANCEL

SUBMIT

## Update beneficial owners

On the **Summary** tab for a customer or during customer creation, **Beneficial Owners** can be added manually or can be refreshed using [Dun & Bradstreet](#) if the integration is set up.

### Add beneficial owners manually

1. Click **Add Beneficial Owners**.
2. Enter the beneficial owner details.
  - The default owner types that can be selected are: **Entity** and **Person**.
    - **Note:** These values can be updated in the AS\_FS\_R\_DATA table. See [Modifying Dropdown Lists](#) for instructions on how to update these values.
3. Click **ADD BENEFICIAL OWNER**.

×

## Add Beneficial Owner

Name \*

Owner Type \*

--- Select type ---

Percentage Ownership \*

Government Issued ID

CANCEL

ADD BENEFICIAL OWNER

### Refresh beneficial owners using Dun and Bradstreet

If the Dun and Bradstreet integration is turned on, you can pull back beneficial owner information if the DUNS number is available. A DUNS number is a customer identifying ID for the Dun and Bradstreet external system. If while [creating](#) a customer you selected a result on the **Customer Search** page the DUNS number will already be saved.

Customer Details

Since

August 2021

Type

Buy Side Asset Manager

Risk Score

●

214

Refresh

Settings

DUNS

None

Retrieve

Domicile

1 OPEN EVENT

United States

Previous names

-

If the DUNS number is not entered or needs to be updated, you can manually search for it:

1. Click **Retrieve** or **Edit**.
2. Click **LOOK UP CUSTOMER**.
  - The current **NAME** and **DOMICILE** of the customer will be shown.
3. Select the matching results by clicking on the row.
  - If the name is not a perfect match, selecting the row will update the customer name to match.
4. Click **SUBMIT**.

## Get DUNS Number

Name  
Test Company  
Select customer

Domicile  
India

Customer Name	DUNS Number	Country	Confidence Value	Website
TEST COMPANY	860441635	India	7	-
	863885692	India	7	-
TEST CUSTOMER	677982982	India	5	-
TEST CUSTOMER	677982992	India	5	-
TEST POINT	916481444	India	5	-
TEST JEWELLERY PRIVATE LIMITED	873698523	India	5	-
THE TEST SYSTEM	675892312	India	5	-
TEST HOUSE	676996782	India	5	-
TEST AND MANAGEMENT	677154703	India	5	-
TEST DEVICES PRIVATE LIMITED	725413343	India	5	-

10 items

Once the DUNS number is available, the refresh button will enable in the beneficial owners section. Clicking this will call the Dun and Bradstreet system and display any beneficial owners from that external system.

## Beneficial Owners

**Sarah Cooper**

Gov ID: 46728

% Owns 88.83% Person

Additionally, you can click the edit icon to edit an existing beneficial owner, or click the **delete** icon to delete a beneficial owner.

## Update addresses

On the **Basic Info** tab for a customer or during customer creation, **Addresses** can be added.

To add a new address:

1. Click **Add Address**.
2. Enter the address details.
  - The default address types that can be selected are: **Headquarters**, **Home**, and **Work**.
    - **Note:** These values can be updated in the AS\_FS\_R\_DATA table. See [Modifying Dropdown Lists](#) for instructions on how to update these values.
3. Click **ADD ADDRESS**.



## Addresses

+ Add Address



<b>Type *</b>	
Registered Office	
<b>Street Address *</b>	<b>Line 2</b>
6th Floor Charlotte Building	17 Gresse Street
<b>Country *</b>	<b>City *</b>
United Kingdom	London
<b>Region *</b>	<b>Postal Code *</b>
UK	W1T 1QL

CANCEL SAVE

Additionally, you can click the edit icon  to edit an existing address, or click the **delete**  icon to delete an address.



**128 Main Street**  
New York, NY, US 10001  
Headquarters

## Update contacts

On the **Basic Info** tab for a customer or during customer creation, **Contacts** can be added.

To add a new contact:

1. Click **Add Contact**.
2. Enter the contact details.
  - The default relationship types that can be selected are: **Trading** and **Counterparty**.
  - The default contact types that can be selected are: **PM** (portfolio manager), **CIO** (chief information officer), and **Authorized Signatory**.
    - **Note:** These values can be updated in the AS\_FS\_R\_DATA table. See [Modifying Dropdown Lists](#) for instructions on how to update these values.
3. To add a new phone number for the contact, click **New Phone**. Enter the phone number details.
4. To add a new address for the contact, click **New Address**. Enter the address details.
5. Click **ADD CONTACT**.

### Contacts

+ Add Contact


<b>First Name *</b> Susan	<b>Last Name</b> Smith	<b>Title</b> Ms.
<b>Email</b> ssmith@smith.com	<b>Relationship Type</b> --- Select type ---	<b>Contact Type</b> PM
<b>Position</b> CTO		

**New Address**  
+ Add Address

**New Phone**  
+ Add Phone



CANCEL SAVE

Additionally, you can click the edit icon  to edit an existing contact, or click the **delete**  icon to remove a contact.



**Maria Turner**

Trading  
Authorized Signatory

Show More

## Update previous customer names

On the **Basic Info** tab for a customer or during customer creation, **Previous Customer Names** can be added.

To add a new previous customer name:

1. Click **Add Previous Customer Names**.
2. Enter the **Previous Name**, **Effective From** date, and **Ceased On** date.
  - The **Ceased On** date must be in the past and after the **Effective From** date.
3. Click **ADD PREVIOUS CUSTOMER NAME**.



### Add Previous Customer Name

**Previous Name \***

**Effective From \*** **Ceased On \***

mm/dd/yyyy mm/dd/yyyy

CANCEL ADD PREVIOUS CUSTOMER NAME

Additionally, you can click the edit icon  to edit an existing previous customer name, or click the **delete**  icon to remove a previous customer name.

**PREVIOUS CUSTOMER NAMES**

**Crystal Smith LLC**  
Effective: Apr 27, 2010  
Ceased: Mar 1, 2021



## Update customer links

On the **Basic Info** tab for a customer or during customer creation, **Customer Links** can be added.

To add or update a customer links:

1. Click **Add Links**.
2. Click **Add Link** again.
3. Select the **Link Type** and **Link URL**.
  - **Note:** You may only have one link per link type.
  - **Note:** **Link Type** values can be added in the AS\_FS\_R\_DATA table. See [Modifying Dropdown Lists](#) for instructions on how to add these.
4. To add an additional link, click **Add Link** again.
  - To delete a relationship, click the red **x**.
5. When all relationships are added click **UPDATE CUSTOMER LINKS**

**Customer Links**

Link Type *	Link URL *	
Officers ▼	www.osha.gov/officers	✕
+ Add Link		

CANCEL

UPDATE CUSTOMER LINKS

# Managing Customers

## Introduction


It is important to have easy access to all of your customer's data. The **Customers** record page contains all of this data, and allows users to take action on that data.

This page describes the customer workflow, including how to view, create, and update customer information.

See [Using Records](#) for more information on Appian Records.

## Viewing information for a customer

From the Connected Onboarding site, clicking **CUSTOMERS** displays a list of customer records. You can filter this list by searching for a customer or filtering by customer type.

appian HOME ONBOARDINGS CUSTOMERS TRENDS						Connected Onboarding 
+ NEW CUSTOMER						
Q Search ...		SEARCH	TYPE   Any		▼ ↺	
Name	Customer Acronym	Risk Score	Customer Type	Region	Domicile	
<a href="#">Zibal Services</a>	ZSS	1 (Low)	Institutional Investor	Americas	United States	
<a href="#">Yavin Enterprises</a>	YES	50 (Low)	Sell Side	Asia Pacific	India	
<a href="#">Wezen Funds</a>	WFS	1 (Low)	Buy Side Asset Manager	Americas	United States	
<a href="#">US Trading Company</a>	UST	1 (Low)	Sell Side	EMEA	United Kingdom	
<a href="#">Universal Investments</a>	UIS	100 (Low)	Institutional Investor	Americas	United States	

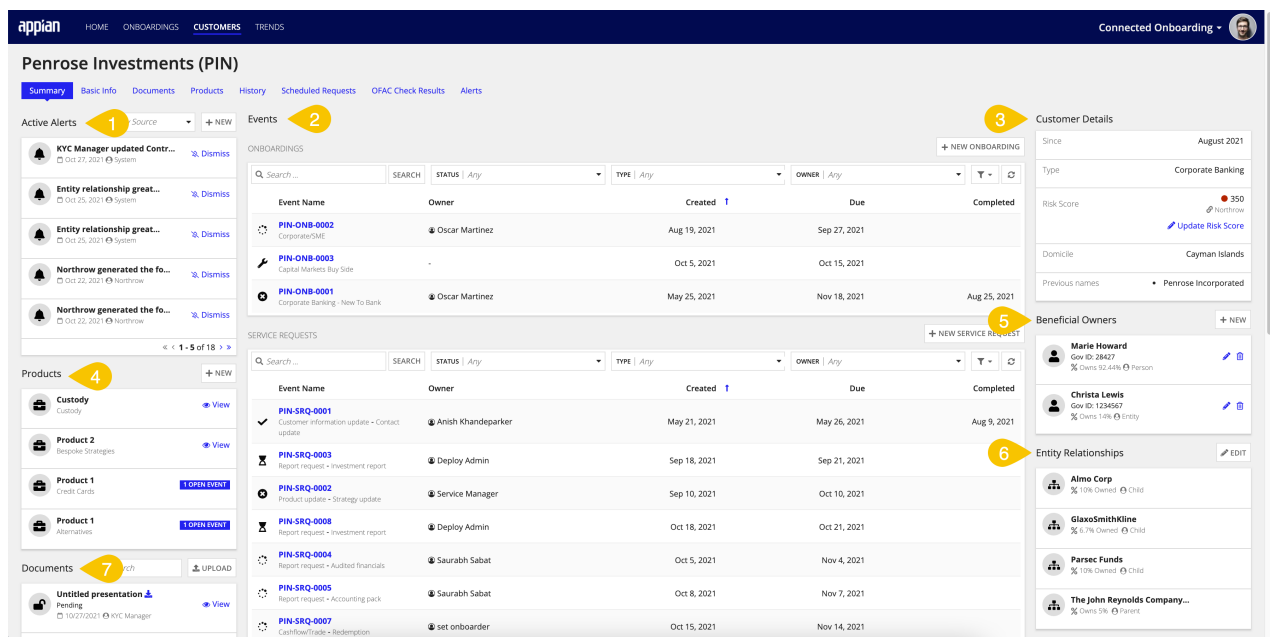
Clicking a customer name displays the record for that customer. The record displays all of the pertinent information for a particular customer. This information is split into several different pages, which are outlined in the following sections.

## Summary tab

The **Summary** tab lists the important information about a customer.

The following customer information is listed on this page:

1. **Active Alerts:** If an [alert](#) is open for the customer, it displays Alerts list with the most recent alerts at the top. The user can filter by **SOURCE**, dismiss active alerts, or create **NEW** alerts manually. To see the full alert message, hover over the alert icon.
2. **Customer Lifecycle Events:** Any lifecycle event that has occurred for this customer will be displayed here with pertinent information. Users can search, filter, and export the **EVENTS** list.
3. **Customer Details:** Additional customer details including the beneficial owners and products add during the onboarding will display in this box.
4. **Products:** Any products the customer has. Products that are being onboarded as part of an active onboarding will show a **PENDING** tag.
5. **Beneficial Owners:** Any beneficial owners for the customer and the ability to add/edit or remove them.
6. **Entity Relationships:** Any entity relationships that have been entered for the customer and the ability to add/edit or remove them.
7. **Documents:** All documents that haven been uploaded to either the customer or any of the event records.



**Penrose Investments (PIN)**

Summary Basic Info Documents Products History Scheduled Requests OFAC Check Results Alerts

Active Alerts **1** Source + NEW

- KYC Manager updated Contr... Oct 27, 2021 System Dismiss
- Entity relationship great... Oct 25, 2021 System Dismiss
- Entity relationship great... Oct 25, 2021 System Dismiss
- Northrow generated the fo... Oct 22, 2021 Northrow Dismiss
- Northrow generated the fo... Oct 22, 2021 Northrow Dismiss

Products **4** + NEW

- Custody Custody View
- Product 2 Bespoke Strategies View
- Product 1 Credit Cards **1 OPEN EVENT**
- Product 1 Alternatives **1 OPEN EVENT**

Documents **7** Upload

- Untitled presentation Pending 10/20/2021 KYC Manager View
- Untitled presentation Pending 10/20/2021 KYC Manager View

Events **2**

ONBOARDINGS + NEW ONBOARDING

Event Name	Owner	Created	Due	Completed
PIN-ONB-0002 Corporate Sale	Oscar Martinez	Aug 19, 2021	Sep 27, 2021	
PIN-ONB-0003 Capital Markets Buy Side	-	Oct 5, 2021	Oct 15, 2021	
PIN-ONB-0001 Corporate Banking - New To Bank	Oscar Martinez	May 25, 2021	Nov 18, 2021	Aug 25, 2021

SERVICE REQUESTS + NEW SERVICE REQUEST

Event Name	Owner	Created	Due	Completed
PIN-SRQ-0001 Customer information update - Contact update	Anish Khandeparker	May 21, 2021	May 26, 2021	Aug 9, 2021
PIN-SRQ-0003 Report request - Investment report	Deploy Admin	Sep 18, 2021	Sep 21, 2021	
PIN-SRQ-0002 Product update - Strategy update	Service Manager	Sep 10, 2021	Oct 10, 2021	
PIN-SRQ-0008 Report request - Investment report	Deploy Admin	Oct 18, 2021	Oct 21, 2021	
PIN-SRQ-0004 Report request - Audited financials	Saurabh Sabat	Oct 5, 2021	Nov 4, 2021	
PIN-SRQ-0005 Report request - Accounting pack	Saurabh Sabat	Oct 8, 2021	Nov 7, 2021	
PIN-SRQ-0007 Cashflow trade - Redemption	set onboarder	Oct 15, 2021	Nov 14, 2021	

Customer Details **3**

Since August 2021

Type Corporate Banking

Risk Score 350 Northrow Update Risk Score

Domicile Cayman Islands

Previous names Penrose Incorporated

Beneficial Owners + NEW

- Marie Howard Gov ID: 28427 Owns 92.44% Parent
- Christa Lewis Gov ID: 1234567 Owns 1.4% Entity

Entity Relationships **6** EDIT

- Almo Corp 100% Owned Child
- GlaxoSmithKline 6.7% Owned Child
- Parsec Funds 100% Owned Child
- The John Reynolds Company... Owns 5% Parent

## Basic Info tab

The **Basic Info** tab shows all customer information. The customer information is split up into the following groups:

- Previous customer names
- Customer Information
- Additional Customer Details

- Links
- Benchmark Details
- Addresses
- Contacts

appian

HOME TASKS CUSTOMERS SERVICE REQUESTS TRENDS

Connected Servicing

Penrose Investments (PIN)

Summary Basic Info Documents Products History Scheduled Requests OFAC Check Results Alerts

REFRESH COMPANIES HOUSE

PREVIOUS CUSTOMER NAMES

Penrose Incorporated

Effective: Jan 1, 2016

Ceased: Jan 1, 2020

+ Add Previous Customer Name

LINKS

Officers

CUSTOMER INFORMATION

Name

Penrose Investments

Acronym

PIN

Type

Corporate Banking

Domicile

Cayman Islands

GMEI

1338-85-5462898516494551-55

Industry Classification Code

Oil & Gas Drilling

International Entity

No

Qualified Institutional Buyer

Yes

ADDITIONAL CUSTOMER DETAILS

Customer Number

07225703

Jurisdiction

England/Wales

Foreign Account Details

Must File Within (months)

12

Terms Of Account Publication

Accounting reference date allocated by Companies House

Originating Registry Name

-

Class Type

Assurance company

Company Status With Details

Converted to PLC

Account From

1 April

Account To

30 April

Originating Registry Country

-

Class Sub-Type

Private Fund Limited Partnership (PFLP)

Company Status

Insolvency Proceedings

Registration Number

10045633636

Governed By

Wales

Business Activity

-

External Registration Number

-

Date of Creation

May 24, 2000

Foreign Account Type

Accounting requirements of originating country do not apply

Credit/Finance Institution

-

CONTACTS

Joseph Rogers

Trading PM

Show More

Jim Beam

Trading PM

PENDING

Show More

+ Add Contact

ADDRESSES

1200 Pacific Avenue

Santa Cruz 95060

+ Add Address

BENCHMARK DETAILS

No benchmark details available

It is possible to update all the information on this page directly from here using the edit , add , and delete  icons.

Some basic information can be populated using integrations if they are connected through the [System Administration Center](#). See the [Companies House](#), [Dun and Bradstreet](#), and [Northrow](#) integrations for more information on pulling in customer data.

## Documents tab

The **Documents** tab shows all of the documents associated with a customer.

On this page, you can:

1. Search for a particular document by name.
2. Filter by document type.
3. [Attach a document](#).
  - These documents can be later attached to any onboarding associated with the customer. For example, if you attach a tax document for a customer, you can reuse it for any additional onboardings they might have.
4. Preview uploaded documents.
  - Click the document link to preview uploaded documents, view details about them, and [update their status](#).
  - Any updated details will appear wherever the document is referenced.
5. Download uploaded documents.

<div> appian <div> HOME ONBOARDINGS CUSTOMERS TRENDS </div> <div> Connected Onboarding <div> </div> </div> </div>					
<div> <div>Penrose Investments (PIN)</div> <div> Summary Basic Info Documents Products History Scheduled Requests OFAC Check Results Alerts </div> </div>					
<div> <div>Search documents</div> <div> <div>Q SEARCH</div> <div>Any Types</div> </div> </div>		<div> <div>UPLOAD</div> </div>			
	Name	Document Type	Uploaded	Security	
	<a href="#">contract invalid.pdf</a>	Agreement: Contract	10/27/2021 By <a href="#">KYC Manager</a>		
	<a href="#">credit line -2.pdf</a>	Agreement: Contract	10/27/2021 By <a href="#">KYC Manager</a>		
	<a href="#">partnership_agreement.docx</a>	Pending	10/27/2021 By <a href="#">KYC Manager</a>		
	<a href="#">Partnership Agreement -5.pdf</a>	Agreement: Contract	10/27/2021 By <a href="#">KYC Manager</a>		
	<a href="#">valid agreement loan.pdf</a>	Agreement: Contract	10/27/2021 By <a href="#">KYC Manager</a>		
	<a href="#">Contract-1.pdf</a>	Agreement: Loan	10/27/2021 By <a href="#">KYC Manager</a>		
	<a href="#">text file.txt</a>	Appendix L	10/15/2021 By <a href="#">Cali Customer</a>		
	<a href="#">batman-logo.jpg</a>	IMA	9/24/2021 By <a href="#">Gokul Chinnasamy</a>		

## Products Tab

The **Products** tab on the customer record shows the products that the customer has. Products that are being onboarded as part of an onboarding will show a **PENDING** tag.

<div> appian <div> HOME ONBOARDINGS CUSTOMERS TRENDS </div> <div> Connected Onboarding <div> </div> </div> </div>					
<div> <div>PIN-ONB-0001: Onboarding for Penrose Investments</div> <div> Summary Documents Products Tasks History Owners Discussion Initial KYC Screening Related Actions </div> </div>					
<div> <div>  Committed Line of Credit </div> </div>		<div> <div>  Add Product </div> </div>			

## Add a product

To add a product to a customer:

1. Click **Add Product**.
2. Select the **Type** and enter **Name** of the product.
3. After a **Type**, enter any required information in the additional fields that appear that are associated with that product type.
4. Click **Submit**.

Create Product

Type \*

--- Select type ---

Name \*

CANCEL

SUBMIT

## Alerts tab

The **Alerts** tab shows all alerts that have been generated for the customer. All alerts regardless of dismissal status will show on the list. The alerts list can be filtered, refreshed, and exported.

Users are also able to [create new alerts](#) and [dismiss alerts](#) from the alerts tab.

Penrose Investments (PIN)

Summary

Basic Info

Documents

Products

History

Scheduled Requests

OFAC Check Results

Alerts

Q Search Alerts

SEARCH

SOURCE | Any

STATUS | Any

▼

↺

+ NEW

DISMISS

<input type="checkbox"/>	Alert Message	Status	Source	Created On	Dismissed By	Dismissed On	Dismissal Reason	Dismissal Comment
<input checked="" type="checkbox"/>	Capture document uploaded by fs admin has failed classification	▲ Active	📄 Intelligent Document Processing (IDP)	Oct 22, 2021 4:02 AM				
<input checked="" type="checkbox"/>	Northrow generated the following alert: Address for Penrose Investments is in a country on the FATF Non-Cooperative Countries or Territories list or EU list of high risk countries (associated risk score: 100)	▲ Active	📍 Northrow	Oct 22, 2021 5:18 AM				
<input type="checkbox"/>	Northrow generated the following alert: Penrose Investments includes a high risk keyword (associated risk score: 50)	▲ Active	📍 Northrow	Oct 22, 2021 5:18 AM				
<input type="checkbox"/>	Northrow generated the following alert: Company Status is Company is dissolved (associated risk score: 100)	▲ Active	📍 Northrow	Oct 22, 2021 5:18 AM				

## Managing customer alerts

Active alerts can be viewed on the [customer summary page](#) and all alerts active or otherwise can be found on the [alerts tab](#). Manual alerts can be created in both places

### Create customer alerts

Customer alerts can be created by the system or manually by a user in order to bring attention to recent data changes on the customer record. Triggering customer alerts can be set up and [managed](#) by a business user in the FS Settings Site.

To create an alert:

1. Click **NEW**.
2. Enter the alert message.
3. To add another alert, click **Add Alert**.
  - Each alert message entered will be shown as a separate alert.
4. Click **CREATE ALERTS**.

Create Alerts

Alert Message \*

Enter alert message

0/255

+ Add Alert

CANCEL


CREATE ALERTS

### Dismiss customer alerts

If a user deems that a customer alert has been addressed or is inconsequential, they may dismiss the alert, which will remove the alert from the active alerts on the [customer summary page](#). If any user dismisses an alert, no other user will be able to see the alert on that customer record. By default, Client Onboarding Department Heads and KYC Department Heads are the two groups that have access to dismiss customer alerts.

All alerts both, active and dismissed, can be see on the [ALERTS tab](#) along with who, when, and reason why an alert was dismissed.

To dismiss a customer alert from the Summary tab:

1. Click  **DISMISS**.
2. Select a reason for dismissal.
3. Click **DISMISS**.

✕

Dismiss Alert

**Alert Message**

KYC Manager updated Contract-1 to Agreement: Loan

**Reason for dismissing \***

Investigation Opened

**Dismissal comment**

0/255

CANCEL

DISMISS

To dismiss a customer alert from the Alert tab:

1. Select one or more rows of active alerts the grid.

Penrose Investments (PIN)

Summary

Basic Info

Documents

Products

History

Scheduled Requests

OFAC Check Results

Alerts

Q Search Alerts

SEARCH

SOURCE | Any

STATUS | Any

▼

↺

+ NEW

DISMISS

<input type="checkbox"/>	Alert Message	Status	Source	Created On	Dismissed By	Dismissed On	Dismissal Reason	Dismissal Comment
<input checked="" type="checkbox"/>	Capture document uploaded by fs admin has failed classification	▲ Active	Intelligent Document Processing (IDP)	Oct 22, 2021 4:02 AM				
<input checked="" type="checkbox"/>	Northrow generated the following alert: Address for Penrose Investments is in a country on the FATF Non-Cooperative Countries or Territories list or EU list of high risk countries (associated risk score: 100)	▲ Active	Northrow	Oct 22, 2021 5:18 AM				
<input type="checkbox"/>	Northrow generated the following alert: Penrose Investments includes a high risk keyword (associated risk score: 50)	▲ Active	Northrow	Oct 22, 2021 5:18 AM				
<input type="checkbox"/>	Northrow generated the following alert: Company Status is Company is dissolved (associated risk score: 100)	▲ Active	Northrow	Oct 22, 2021 5:18 AM				

1. Select a reason for dismissal.
  - **NOTE:** If multiple alerts are selected, the dismissal reason will be the same for all of the dismissed alerts.
2. Add an optional **Dismissal Comment**.
3. Click **DISMISS**.



## Dismiss Alerts



### Alert Messages

- Capture document uploaded by fs admin has failed classification
- Northrow generated the following alert: Address for Penrose Investments is in a country on the FATF Non-Cooperative Countries or Territories list or EU list of high risk countries (associated risk score: 100)

### Reason for dismissing \*

Investigation Opened ▼

### Dismissal comment

  
0/255

CANCEL

DISMISS

# Managing Tasks

## Introduction

A Investigation process is complicated and involves many individuals from different departments completing many different tasks. Tasks allow Connected KYC users to keep track of the work they need to accomplish for each Investigation.

Based on the process template configured for a Investigation, the solution automatically assigns the associated tasks to the correct user group. Appian Connected KYC simplifies this process by bringing together all of those tasks in one system to be tracked.

The life cycle of a task in Connected KYC is:

1. [Creating reusable tasks](#).
2. [Creating investigation templates](#) using these tasks.
3. [Creating additional tasks](#) for an onboarding when needed.
4. [Completing tasks](#).
5. Update the tasks

This page outlines each step in the life cycle of a task for Connected KYC and how to add new task types.

## Create reusable tasks in Connected FS Settings

The Connected FS Settings site allows users to create reusable tasks that can be added to the Investigation templates or to the Investigation.

## Create Investigation templates

An Investigation template assigns default tasks for a specific type of Investigation. In order to complete Investigations, you will need to create templates that are mapped to certain attributes that are specified when the Investigation is created.

See [Setting Up Processes](#) for more information on adding and editing templates.

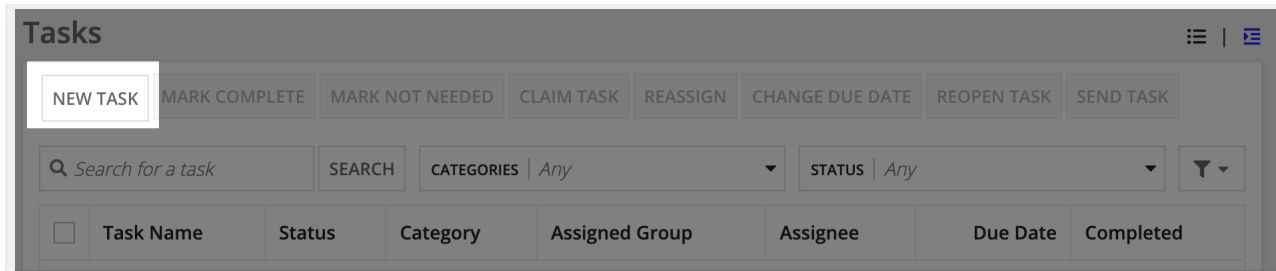
## Create additional tasks

A new task can be added to the Investigation after it has been started.

For KYC investigations with the status **Due Diligence in Progress**, additional tasks can be added after the template tasks are generated.

To create a new task:

1. From the summary tab of the Investigation, Click **New Task** above the **Tasks** grid.



2. Enter a **Task Name**.
3. Select a business group to use as the **Assigned Group**. For example, **Client Onboarding** or **Sales**.

4. Select the **Task Type**. See the [Adding a new task type](#) section for more instructions on adding more task types.
5. (Optional) Enter a **Description**.
6. (Optional) Use the picker to select an **Individual Assignee** to assign the task to.
7. Choose a task **Due Date**.

## Task statuses

Status	Icon	Related Actions
Assigned		Complete task
Queued	🕒	Send task
Completed	✅	Reopen task
Not Needed	🚫	Reopen task

## Complete tasks

In order to track the work that has been done, users mark off tasks as they complete them.

Users can access their tasks from the **Home** site tab, the **Tasks** site tab, or from the **Summary** tab of the Investigation.

The **Summary** tab lists all tasks, whether or not they are assigned to the logged in user or their team. Tasks that belong to a group that the user is not a member of cannot be opened or modified by the logged in user. However, if the user is a member of a group that a task has been assigned to, they can claim, complete, or reassign the task.

The following actions are available in the task grids:

1. **MARK COMPLETE:** complete a confirmation task directly from the task grid.
2. **MARK NOT NEEDED:** determine that a task is no longer required for a Investigation.
3. **CLAIM TASK:** assign the task to yourself.
4. **REASSIGN:** change the individual assignee of the task.
5. **CHANGE DUE DATE:** update the date the task must be completed by.
6. **REOPEN TASK:** reopen a **Completed** and **Not Needed** task.
7. **SEND TASK:** move a task from **Queued** status to **Assigned** status.

To complete any task, click into the **Task Name**.

## Complete confirmation tasks

Confirmation tasks require users to select a checkbox that says the task has been completed.

To complete a confirmation task:

- Select the checkbox to confirm the task has been completed and click **SUBMIT**.

### Confirm Task Complete

Check the box below to certify the task is completed and can be closed


☒ This task has been completed

## Complete document tasks

Attach document tasks require users to attach a specific document to a Investigation. You can choose a document that has already been attached to that customer or attach a new document.

### Attach Fund Prospectus

Attach a new or existing document to complete the task

New or Existing Document ⓘ	Document	Description	Status	Expiration Date	Security ⓘ
<input checked="" type="radio"/> New <input type="radio"/> Existing	<div>UPLOAD  Drop file here</div>		Awaiting Classification	<input type="text" value="mm/dd/yyyy"/>	<input type="checkbox"/> Internal Use Only

To complete a document task:

1. Select if you want to attach a **New** or **Existing** document.
2. If the document is **New**, click **UPLOAD** and select a document to attach.
3. If the document is **Existing**, click the document you want to attach from the dropdown list.
  - You will only be able to attach documents that have been previously uploaded and match the document type you want to attach.
4. (Optional) Enter a **Description** for the document.
5. (Optional) In the **Expiration Date** field, enter the date that the document expires.

6. Click **SUBMIT**.

## Complete review tasks


Review tasks require users to approve, reject, or make no decision on a task.


To complete a review task:


1. Select **Approve**, **No Decision**, or **Reject**.
2. Enter a comment. This is optional unless you select **Reject**.
3. Click **SUBMIT**.

### Complete Review

Choose an option to complete the review. A comment is required when rejecting.

  
Approve

  
No Decision

  
Reject

Comment

## Complete document reconciliation tasks

Document reconciliation tasks are auto-generated by the system when a document is uploaded and one of the following conditions apply:

- The document type cannot be classified by type using intelligent document processing (IDP).
- IDP classifies the document but the type confidence is lower than the type confidence threshold.

These tasks will be assigned to the user that uploaded the document that needs to be classified. The document reconciliation tasks require the user to choose the **DOCUMENT TYPE**.

### Select document type

This document could not be classified by the system. Please select the type of document that has been uploaded.

**Document Type \***

--- Select document type ---

Predicted to be Invalid

To complete a document reconciliation task:

1. Select a **DOCUMENT TYPE**.
  - You are able to download a preview of the document that has been uploaded by clicking on the document name.
2. Click **SUBMIT**.

Once submitted, the document will reflect the document type and will have an **ACCEPTED** status and fulfill any required documents.

## Complete Northrow error tasks

If the [Northrow](#) integration is connected, Northrow's company check can be included as a task in the Investigation [workflow process](#) configuration. This task type is called the **Northrow Risk Score Check**. When the task is triggered, Connected KYC will make an integration call to Northrow and update the customer record automatically.

If there is an error connecting to or retrieving the results from Northrow, a follow up task will be opened. The Northrow error tasks are by default assigned to the Connected KYC group. To [complete](#) the **Northrow Risk Score Error** tasks, the user can choose to either retry the Northrow check or to skip the risk score check entirely.

## Complete DocuSign tasks

The DocuSign integration sends documents to internal and external users to collect a signature. In order to have a document signed via DocuSign within Connected KYC, a user must receive a DocuSign task. When a user receives a DocuSign task, it will appear on their task list with a task type **Collect DocuSign Signature**. To [complete](#) a DocuSign task, a user must sign the document through DocuSign.

## Complete OFAC consolidated screening result tasks

The OFAC integration will only open a task for a user to complete if user action is needed. A user will have to complete a task when OFAC has found matching customer name results on the consolidated screening list or there was an integration error. When a user receives an OFAC task, it will appear on their task list with a task type **Consolidated Screening Results**. To [complete](#) a **Consolidated Screening Results** task, a user must select which, if any, of the returned results are relevant or in the event of an error, choose whether or not to retry the integration.

## View completed tasks

Details of completed tasks are available on the **CATEGORY VIEW** on the **Tasks** tab of the service request record. To view the specific details of the completed task, click on the task name. A read-only version of the task will show up in a modal and show the results of the task.

From the modal, you will be able to see:

1. The action or information the user took.
2. The completed date and time.
3. The user who completed the task.

## Dependency view

Click on the  icon above the **Tasks** grid to view tasks in the **DEPENDENCY VIEW**.

The tasks are displayed so that the KYC investigator can see a specific task and all of its dependent tasks in a cascading list.

# Managing Documents

## Introduction

New Investigations can involve a lot of documentation. From agreements to financial documentation such as tax forms, Appian Connected KYC allows you to manage all of your documents in one place and provides a guided workflow to walk you through the process of attaching a new or existing document to your Investigation or task. When enabled, Connected KYC uses the power of intelligent document processing (IDP) to properly classify the document type for an uploaded document. This ensures data integrity and saves onboarders time.

This page describes how to use Connected KYC to view, attach, update and manage all of your Investigations documents.

# Connected KYC document lifecycle

Connected KYC includes a full document review and approval process, which correspond to distinct document statuses to help users know where in the lifecycle the document sits.

The document statuses are:

- **Approved:** the document has been reviewed and approved. The document requirement has been fulfilled.
- **Rejected:** the document was reviewed and rejected. The document requirement is still outstanding.
- **Pending review:** the document has been uploaded, the document type has been verified by IDP, and has yet to be reviewed by a user.
- **Awaiting classification:** the document has been uploaded and is awaiting IDP to verify the document type.
- **Pending reconciliation:** the document was uploaded and IDP could not verify the document type.
- **Missing:** the document has not been uploaded.
- **Secondary:** the document is not a required document type and therefore, did not go through review and approval process.

Each required document will go through the following steps to fulfill the requirement:

1. [Attach document.](#)
2. [Document type verification by IDP.](#)
  - Note: this step only occurs if IDP is turned on in the **System Administration Center**
3. [Reconcile document type, if necessary.](#)
4. [Review document and make determination.](#)

If a document is **Rejected** in step #4, Connected KYC will create a new attach document task for the requirement and the process will begin again and continue until the document is **Approved**.

## Attaching a document

A document can be attached to a Investigation via:

1. An attach document task.
2. Directly to the document requirement.
3. The document tab.
4. In bulk on the **Summary** tab.

To attach a document:

1. Select if the document is **New** or **Existing**.
2. If the document is **New**, click **UPLOAD** and select a document to attach.
3. If the document is **Existing**, click the document you want to attach from the dropdown list.
4. Enter **DOCUMENT TYPE**.
5. (Optional) Enter a **Description** for the document.
6. (Optional) In the **Expiration Date** field, enter the date that the document expires.
7. (Optional) Change **Security** to be an internal document.
8. Click **SUBMIT**.

## Attach Required Document | Agreement: Loan 1

### New or Existing Document ?

☒ New ☐ Existing

### Expiration Date



### Description

### Document \*

 Drop file here

### Security ?

☐ Internal Use Only

## Verifying document type with IDP

It is crucial to ensure the documents uploaded to the system are the correct and expected type. Connected KYC uses Intelligent Document Processing (IDP) to verify the document types automatically to ensure the accuracy of the uploaded document before a user takes time to review it.

When a user attached a document, they must select a document type. IDP will compare the document type selected to the document template expected and if these match, the review task will be assigned.

If the system cannot match the uploaded document's **DOCUMENT TYPE** or the system's confidence level is below the threshold set by the administrator, a **DOCUMENT RECONCILIATION** task will be generated and assigned to the user that uploaded the document.

If the customer uploaded the document, the primary owner will receive the task. The user will be able to manually select the **DOCUMENT TYPE** at that time and the type confidence level will be set at 100%.

## Reconciling a document type

A document reconciliation task is opened when an uploaded document's type cannot be verified by IDP. The user who uploaded the unverified document will be asked to confirm the documents type.

If the document's type was indeed correct, the user selects **Yes** when asked **Is the attached document of type < entered type >?**. If the user selects **No**, they will be asked to upload a new document and it will be run through IDP again.

**Is the attached document of type Credit Line? \***

Yes	<input type="radio"/>	No	<input type="radio"/>
-----	-----------------------	----	-----------------------

If IDP is not on in the environment, this task will be skipped.

## Reviewing a document

After a document's type is verified, a review task will be opened. The reviewer can choose whether or not to **Approve** or **Reject** the document. If the document is approved, the document requirement will be fulfilled and checked off in the **Required Documents** section. If the document is rejected, a new attach document task is opened and the process begins again.

## Managing required documents

There may be certain documents that are required as part of the Investigation. In order to keep track of these documents, Connected KYC will show the user a checklist of which documents are outstanding.

### Adding required documents to the Investigation


Document requirements are set up by configuring Investigation workflows. Business users can automatically default the document requirements for each workflow, but a user is able to modify to the list of documents requirements if any additional documents are needed. After the Investigation is kicked off, the document requirements will automatically be added to the Investigation and the attach and review tasks will be created.


To modify the required document list from the Investigation record, open the **⋮** menu in the **Required Documents** section of the Summary tab and Click **Update**.

# Required Documents

4/4 document(s) pending

All status
All Assignees
All Group Assignees



**Agreement: Loan 1**  
 May 12, 2022  Cameron Jones

Update
Attach Documents


Review Document
Collect Document

To add a document requirement:

1. Click **Add Document Requirement**.
2. Enter the **Document Requirement Name**.
3. Decide to upload the document **Now** or **Attach Later**.
4. For attaching a document later, define which groups or users will be uploading and reviewing the document.
5. Click **SUBMIT**.

Document Requirements Added

1 Requirement


**AML Certification 1**

**Upload**

Now
Attach later


**Uploader - Group \***

**Uploader - Individual**

**Review - Assigned Group \***

**Review - Individual**

**Task Due Date \***

05/18/2022


To remove a document requirement:

1. Select the checkbox next to the requirements to remove.
2. Click **Remove Document Requirement**.
3. Click **NEXT**.
4. Confirm the removal changes and click **SUBMIT**. Any outstanding attach or review document tasks will be marked as not needed. If a document had already been uploaded to fulfill the requirement, it will stay attached to the Investigation, but the status will become secondary.


## Viewing required documents

Connected KYC makes it easy for you to view a list of all required documents for a individual Investigation and their details from the the Summary or Document tabs in the Investigation record. Know exactly where your required documents are in the process, when they are due, and the user or user group they are assigned to.

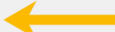
### Summary Tab



From the page, you can drill down into a specific Investigation record by locating and clicking the link from the Investigation list. By default, the Summary tab displays and provides a Required Documents section where you can view a list of all of the document requirements associated with the Investigation.

At a quick glance, the Required Documents list shows you how many required documents are outstanding and the status of each document. You can also quickly find a specific document by filtering the list by status, assignee, or group. Users can update the required document list or attach additional documents to the Investigation by clicking the  icon.


## Required Documents


1/5 documents approved 


All status ▾


All Assignees



All Group Assig ▾





**Invalid 3**  
May 13, 2022  Aidan Reilly









**Invalid 2**  
 May 4, 2022  Client Onboarding







**Invalid 1**  
 May 2, 2022  Client Onboarding





**Other 1**  
Apr 29, 2022  Oscar Martinez



« < 1 - 4 of 4 > »

## Document Tab

From the Documents tab of a Investigations record, you can perform the following actions:

1. View a complete list of all documents attached to the Investigation and specific document details.
2. Search for a particular document by name.
3. Filter the document list by document type.
4. Attach a document.
  - **Note:** You can attach documents to a KYC investigation that has a status of *Due Diligence In Progress* only.
5. Click the document link to preview uploaded documents, view details about them, or remove them.
6. Download documents.

## Updating document details

After a document has been uploaded, a user is able to update the document details to ensure accuracy of the documents on the Investigation.

The user can update the following details:


- Expiration date
- Description
- Security

To update the details of a document from the **DOCUMENTS** tab:

1. Select the document you want to update in the document list.
2. Click **UPDATE DETAILS**.
  - You can now edit the **Security**, **Description**, and **Expiration Date** fields. Additionally, a document can be deleted, but only by the user who originally uploaded it.

- **Note:** The **Description** and **Expiration Date** of the document will be updated across all Investigations it's referenced.
- **Note:** Changing the **Security** will determine if external customer users can view the document from the customer portal or not.

3. Click **UPDATE** to save your changes.

<b>Document Type</b>	Northrow Check Summary ▼
<b>Status</b>	Accepted ▼
<b>Security ?</b>	<input checked="" type="checkbox"/> Internal Use Only
<b>Uploaded</b>	10/22/2021 By System
<b>Modified</b>	10/22/2021 By System
<b>Expiration Date</b>	11/25/2021 
<b>Description</b>	<div></div>

## Deleting a document

If a document is no longer required for an Investigation or a customer, it can be removed by the user that originally uploaded the document.

For Investigations, when a document is deleted, it is still available on the customer's [document tab](#).

For customers, if a document is deleted, the document will no longer be available on the customer's document tab. Additionally, the document can no longer be used as an existing document for other Investigation. A customer document cannot be removed if there are existing Investigation links.

To delete a document:

1. From the document grid, click the document you would like to delete.
2. Click **REMOVE**.
3. On the confirmation page, click **REMOVE** again.

# Accessing the Connected FS Settings Site

## Introduction

Connected FS (Financial Services) Settings is a separate site utilized by all three solutions in the Financial Services Suite: Connected Onboarding, Connected Servicing, and Connected KYC to allow business users to:

- [Manage people](#) and [setting up group membership](#).
- [Create and manage onboarding, service request, and investigation templates](#).
- [Organize tasks for Investigation processes](#).
- [Configure important Investigation values](#)



## Workflow Templates



### CONNECTED ONBOARDING

Active



Inactive



### CONNECTED SERVICING

Active



Inactive



### KNOW YOUR CUSTOMER

| **Active**


Inactive

Only business users with the appropriate group membership are able to access this site. This ensures that only a select few have access to sensitive processes and information.

This page provides instructions and prerequisites for accessing the Connected FS Settings site and using it to streamline and accelerate configuring your Financial Services solutions.

# Accessing the Connected FS Settings site

To access the Connected FS Settings site:

1. Make sure you are in the appropriate security groups. See the [Groups Reference Page](#) for more information about security groups.
  - To access the Connected FS Settings site to manage categories, tasks, and templates, make sure you are in the AS FS Manage Processes group.
  - To access the Connected FS Settings site to configure service requests make sure you are in the AS FS Access Settings Configure Page group
  - To access the Connected FS Settings site to manage group membership, make sure you are in the AS FS GM Manage Group Membership group.
  - To access the Connected FS Settings site to configure KYC screenings, make sure you are in the AS IO Manage KYC Questionnaire group.
2. From the Connected Onboarding site, select the navigation menu  > **Connected FS Settings**.

## Managing users and groups

Managing organizational changes can be a big pain point for many organizations. New team members or team members with new responsibilities need to quickly have access to the tools they need to do their jobs. To ensure security, departing team members need to have their access revoked in a timely manner. The FS Settings site in Appian KYC allows business users with the appropriate access to quickly make the changes needed to keep business running securely.

appian-style note If you need to add new business or security groups, or modify group membership using Appian Designer, see [Modifying groups](#).

### What are business groups?

Only business groups are able to be modified from FS Settings. So what exactly is a business group? A business group is a group that represents the different business roles that will interact with the solution.

For example, team members who are involved in investigations will be in the **KYC** business group and managers on the legal team who are involved in investigations will be in the **Legal Department Heads** business group.

This allows you to put certain teams into security groups to allow access to specific parts of the solution. For example, only members of the **KYC** and **Client Onboarding** groups have actions to create new investigations from the Home page.

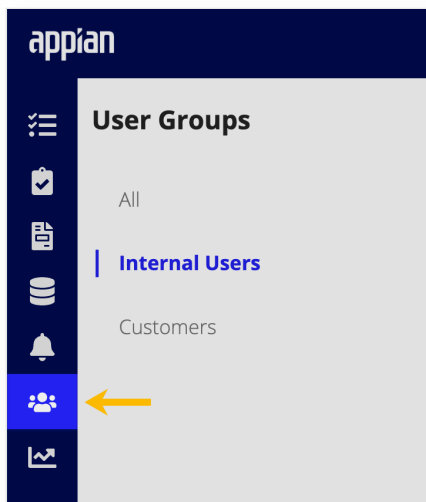
appian-style note See [Group Reference Page](#) for more information on what groups provide what access in your Financial Services solution.

### View group members

Business users with the appropriate group membership can easily view all of the members in any group in your organization.

To view current group members:

1. On the **FS Settings** site, click the  **user groups** icon from the menu.



2. Under **User Groups**, select the group type. Options include: *All*, *Internal Users*, and *Customers*.
  - **Note:** The group type aligns with the wrapper groups that are defined in [Group Reference Page](#).
3. Select and click the business group card associated with the user group that you want to view.

The group members display. You can see if a user is a *Direct* member, which means they have been added directly to the group, or an *Indirect* member, which means they are a member of a subgroup. If the user is an Indirect member, their subgroup will display in the Parent Group(s) column.

<input type="checkbox"/>	Name	Member Type ⓘ	Parent Group(s)
<input type="checkbox"/>	Legal User legal.user	Direct	N/A
<input type="checkbox"/>	Chuck Gatter chuck.ga	Indirect	Legal Department Heads
<input type="checkbox"/>	Lisa Lewis lisa.le	Direct	N/A
<input type="checkbox"/>	Lucy Williams lucy.wi	Direct	N/A

## Manage group membership

Managing group membership is easy in the FS Settings site. You can add existing users to a group, create new users, and remove members that no longer have access to a particular group.

To add an existing user to a group:

1. On the User Groups page, select the group that you would like to update. See [Viewing group members](#) for instructions.
2. Click **ADD MEMBERS**.

3. In the **Search** field, start entering the username you want to add and FS Settings will auto-suggest a list of users that you can select to add to the group.
4. Click **ADD TO GROUP**.

To create a new user to add to a group:

1. On the User Groups page, select the group that you would like to update. See [Viewing group members](#) for instructions.
2. Click **ADD MEMBERS**.
3. Click **CREATE NEW USER** and enter the following user information:
  - Email
  - Username
  - First Name
  - Last Name
4. Click **ADD TO GROUP**.

The screenshot shows a web interface for the 'Legal' group. At the top left is a link '← Back to internal groups'. The group name 'Legal' is displayed in large blue text. To the right are buttons for 'ADD MEMBERS' and 'REMOVE MEMBERS'. Below the group name is a 'Go Back' link. The form contains four input fields: 'Email \*' (0/50), 'Username \*' (0/255), 'First Name \*' (0/35), and 'Last Name \*' (0/35). At the bottom left is a 'CANCEL' button, and at the bottom right is an 'ADD TO GROUP' button.

To remove a member from a group:

1. On the User Groups page, select the group that you would like to update. See [Viewing group members](#) for instructions.
2. From the **Member** list, select the **checkbox** next to the name of the user you would like to remove from the group.
3. Click **REMOVE MEMBERS**.
  - **Note:** If the member is an indirect member of the group, you will not be able to remove them from the group. You must remove them from the parent group. For example, a member of the Back Office Department Heads group is an indirect member of the Back Office group. To remove them from the Back Office group, you must remove them from the Back Office Department Heads group.

The screenshot shows a table of members for the 'Legal' group. At the top left is a link '← Back to internal groups'. The group name 'Legal' is displayed in large blue text. To the right are buttons for 'ADD MEMBERS' and 'REMOVE MEMBERS'. The table has four columns: a checkbox, a user icon, 'Name', 'Member Type', and 'Parent Group(s)'. One member is listed: 'Legal User' (legal.user) with a 'Direct' member type and 'N/A' parent group. The checkbox for this member is checked.

<input type="checkbox"/>		Name	Member Type	Parent Group(s)
<input checked="" type="checkbox"/>		Legal User legal.user	Direct	N/A

When the users refresh the site, their membership will be updated.

# Configure Workflows

## Introduction

The **Workflow** section of the Connected FS Settings site allows business users to tailor the tasks required for each Investigation. This page describes how to manage workflow templates.

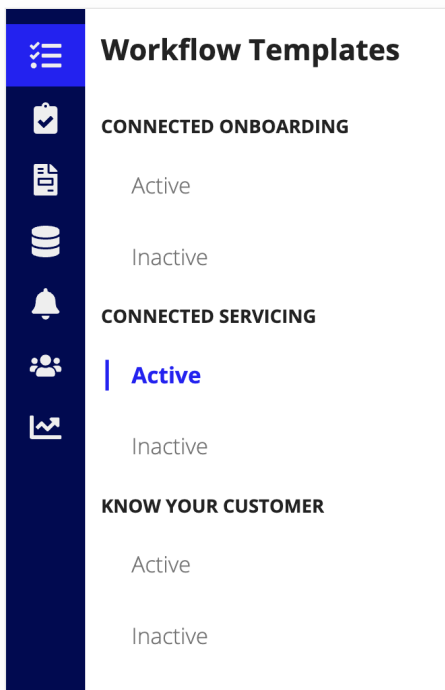
Business users can add and edit the workflow templates that assign default tasks for a type of Investigation.

For each Investigation process, users can set up individual workflow templates to tailor the process to each specific customer.


## View templates

On the Connected FS Settings site, a grid lists all of the information that is pertinent to Investigation templates. Users can use this information to determine which templates already exist and when they were last updated.

To view the Investigation templates, navigate to the **Connected FS Settings** site and click **WORKFLOW**.



From here, you have the option to view either **Active** or **Inactive** templates. Active templates are ones that are able to be used during runtime processes. Inactive templates are ones that cannot be accessed during a runtime process, but can be edited or activated.

You can search or filter this list for a particular template. Clicking the history icon  will take you to the Template History for that template with a list of all the changes that have been made to it.

To view a template as read only, click the menu icon and select **View Template**.

## Create a new template

After installing the Connected KYC application, new Investigation templates that fit your organization's processes will need to be added.

To create a new Investigation template:

1. From the **Templates** page, click **NEW TEMPLATE**.
2. Enter **Attributes**.
3. Add **Questions**.
4. Add **Documents**.
5. Add **Tasks**.
6. Click **CREATE TEMPLATE**.

### Enter attributes

Fill in the following attributes:

- **Name**
  - **Customer type**
  - **Domicile**
    - The combination of these attributes will be used to select the template during the runtime process.
1. **Set active on creation:** Determines whether the template will **Active** or **Inactive** when the template is created.
  2. **Set as Default:** If this will be the default template chosen when this is not an exact attribute match.
  3. **Calendar settings:** How to calculate task due dates. Either exclude weekends and holidays, or include all calendar days.
    - **Note:** If you want to change or add which dates you can select from, see [how to modify key due dates](#). Once set, the due dates for the active tasks will change accordingly.
  4. **Description**

## Add Questions

On the questions step of the workflow process, business users set up the screening questionnaire that will be created when the KYC process is kicked off. Questions can be added either individually or by using a pre-built rule.

Rules and questions can be grouped into categories. Categories are the grouping name that the end user will see when filling out the questionnaire because the rule name will not be shown.

To add questions or rules to the questionnaire:

1. Click **Add Category**.
2. Enter a **Category Name**.
3. Click **Add**.
4. Either add additional categories or click **Add Questions**.
5. Select to add questions **By Rule** or **By Questions**.
  - Adding questions via rules will add the entire rule into the category on the template.
  - Adding questions individually will add the single question into the category and follow up questions can be configured from there.
6. Once all questions have been added to the categories, click **NEXT**.

## Add document requirements

On the document step of the workflow process, document requirements can be added. Each time the template is selected those specific documents will be required to be added during the Investigation process.

To add document requirements:

1. Click **Add Document**.
2. Select the **Document Type**.
3. Enter the **Quantity** of documents of that type that are required.
4. Repeat for additional document types.
5. Click **NEXT**.

## Add tasks

On the tasks step of the workflow process, users can add and arrange tasks that need to be completed. Some tasks will already be present on this page. From the documents step, an upload and review document task will be added for each required document.

For the KYC process, a questionnaire, KYC decision, and KYC peer review task will also be added to the template and cannot be removed.

To add additional tasks:

1. Click **Add Task**.
2. Search for and select which tasks to be added.
3. Click **Add Tasks**.

After the tasks are all added, business users can then define the specific task configurations including:

- **Precedents:** Tasks that must be completed before another task can be assigned.
- **Assigned group:** The business unit responsible for completing the task.
- **Due date:** The number of days that the task will be due before or after the target completion date.

Tasks added manually can also be removed from the templates. All tasks are able to be reordered. Once all tasks have been added, click **VALIDATE TASKS** to ensure there are no issues with the template setup. If there are validation issues, fix the issues highlighted in red and **REVALIDATE**. If there are no issues, click **SUBMIT** to save the template.

## Managing templates

Business users can manage Investigation templates from the **Connected FS Settings** site, this includes updating, cloning, configuring, enabling or disabling, and deleting an existing Investigation template.

### Update an existing template



With the **Connected FS Settings** site, business users can easily and quickly update Investigation templates with any changes.

To update a workflow template:

1. Click the **menu** icon.
2. Click **Edit template**.
3. Make any necessary updates.
  - It is required to go through each step of the process in order to save an update.
4. Validate the tasks and click **Submit**.

All future Investigations will use the modified template. Any Investigations that are already in process or completed will not be affected.

## Clone template

When a new template is needed and is very similar to an existing template it may be easier to simply clone the existing template and make the minor changes.

To clone a template:

1. Click the menu icon.
2. Click **Clone Template**.
3. Make any changes necessary.
  - Note: in order to activate the cloned template, the customer type and domicile combination must be unique.
4. Click **SUBMIT**.

## Set default template

The default template is the template that is used for the Investigation if there is not a distinct template for the selected customer type and domicile. There can only be one default template and the default template cannot be deactivated.

The default template can be selected when creating or editing a template or by clicking the menu icon and selecting **Set Default**. The old default template will then be replaced by the current one.

## Disable template

If an active template is no longer needed or is needed in the future, but is not ready to go-live, business users can set up disabled templates.

Disabled templates can be selected when creating or editing a template or by clicking on the menu icon and selecting **Disable**. This template will no longer be selected during Investigation processes.

## Enable template

If an inactive template is ready to be used, business users can enable templates to be used in active Investigations.

Enable templates can be set when creating or editing a template or by clicking on the menu icon and selecting **Enable**. This template will now be able to be selected during Investigation processes.

Note: the customer type and domicile combination of the inactive template must be unique in order for the template to be enabled.

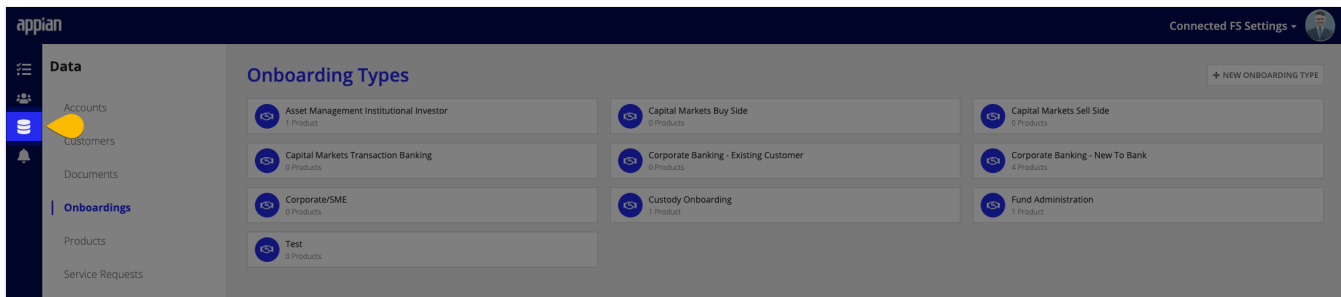
## Delete template

If a disabled template is no longer needed, it can be permanently deleted. From the menu icon, select **Delete Template**. Confirm that this template is the correct one to be deleted as the action will not be able to be reversed.

# Configure Data

## Introduction

The **Data** section of the Connected FS Settings site allows business users to manage dropdown values for their Investigation data.



This page describes how to manage:

- [Account types](#)
- [Customer types](#)
- [Document types](#)
- [Product types](#)

## Configure account types

### Add an account type

To add a new account type:

1. From the **Connected FS Settings** site, click **DATA**.
2. Click **ACCOUNTS > NEW ACCOUNT TYPE**.
3. Enter the account type **Name**.
  - **Note:** This has a 100 character limit and must be unique.
4. Click **CREATE ACCOUNT TYPE**.

### Remove an account type

To remove an account type:

1. From the **Connected FS Settings** site, click **DATA > ACCOUNTS**.
2. Click the account type that you would like to remove.
3. Click **DELETE**.
4. In the confirmation message, click **DELETE** again.

If this account type is set up to be a [default account type](#) for certain products, it will no longer be associated to those products. Additionally, if an account type is removed, anywhere it is already referenced will now show that it is inactive.

### Update an account type

To update an account type:

1. From the **Connected FS Settings** site, click **DATA > ACCOUNTS**.
2. Click the account type that you would like to update.
3. Update the the account type **Name**.
  - **Note:** This has a 100 character limit and must be unique.
4. Click **UPDATE ACCOUNT TYPE**.

Updating the account type will reflect anywhere this account type is used.

## Configure customer types

The customer type dropdown is accessed when a new customer is created.

## Customer Details

Name \*

Type \*

--- Select type ---

--- Select type ---

Buy Side Asset Manager

Corporate Banking

Institutional Investor

Sell Side

SME Banking

Acronym \*

Risk Score

International Entity

☐ Yes
☐ No

Class Type

--- Select type ---

## Add a customer type

To add a new customer type:

1. From the Connected FS Settings site, click **DATA**.
2. Click **CUSTOMERS > NEW CUSTOMER TYPE**.
3. Enter the customer type **Name**.
  - **Note:** This has a 100 character limit and must be unique.
4. Click **CREATE CUSTOMER TYPE**.

## Remove a customer type

To remove a customer type:

1. From the Connected FS Settings site, click **DATA > CUSTOMERS**.
2. Click the customer type that you would like to remove.
3. Click **DELETE**.
4. In the confirmation message, click **DELETE** again.

If a customer type is removed, anywhere it is already referenced will now show that it is inactive.

## Update a customer type

To update a customer type:

1. From the Connected FS Settings site, click **DATA > CUSTOMERS**.
2. Click the customer type that you would like to update.
3. Update the customer type **Name**.
  - **Note:** This has a 100 character limit and must be unique.
4. Click **UPDATE CUSTOMER TYPE**.

Updating the customer type will be reflected for anywhere this type is used on both previous and new customers.

## Configure document types

The document type dropdown is accessed when a document is [uploaded](#) to Investigations.

## Add a document type

To add a new document type:

1. From the **Connected FS Settings** site, click **DATA**.
2. Click **DOCUMENTS > NEW DOCUMENT TYPE**.
3. Enter the document type **Name**.
  - **Note:** This has a 100 character limit and must be unique.
4. Click **CREATE DOCUMENT TYPE**.

## Remove a document type

To remove a document type:

1. From the **Connected FS Settings** site, click **DATA > DOCUMENTS**.
2. Click on the document type that you would like to remove.
3. Click **DELETE**.
4. In the confirmation message, click **DELETE** again.

If a document type is removed, anywhere it is already referenced will now show that it is inactive.

## Update a document type

To update a document type:

1. From the **Connected FS Settings** site, click **DATA > DOCUMENTS**.
2. Click the document type that you would like to update.
3. Update the document type **Name**.
  - **Note:** This has a 100 character limit and must be unique.
4. Click **UPDATE DOCUMENT TYPE**.

Updating the document type will be reflected for anywhere this type is used on both previous and new documents.

## Set up document classification files

If Intelligent Document Processing (IDP) is being used in your environment, a business user has the ability to train Connected KYC to recognize different document types. If trained, when a user uploads a document to the system, the system can automatically determine what type of document has been uploaded. This will save users time and ensure accuracy when attaching documents to Investigations.

Classification files are groups of 10 example documents of the same document that will be used to train the system to recognize that format as a certain document type.

### Add document classification files to a single document type

To add a document classification file:

1. From the **Connected FS Settings** site, click **DATA > DOCUMENTS**.
2. Click on the document type that you would like to add files to.
3. Click **UPLOAD CLASSIFICATION FILE**.
  - **Note:** If IDP is not enabled in the environment, the **UPLOAD CLASSIFICATION FILE** button will not be available.
4. Attach a ZIP file with representative PDFs for the document type. Each ZIP file should contain at least 10 PDFs.
  - **Note:** If the training model is processing, you must wait until it is done before submitting a new classification file. Training the model can take several hours.
5. Click **SAVE**.

### Upload Classification Documents

Provide a ZIP file with representative PDFs for each document type. Each ZIP file should contain at least 10 PDFs.

<b>Agreement: Contract</b> [UPLOAD] [Drop file here]	<b>Agreement: Custody</b> [UPLOAD] [Drop file here]	<b>Agreement: Loan</b> [UPLOAD] [Drop file here]
<b>Agreement: Payments</b> [UPLOAD] [Drop file here]	<b>Agreement: Pricing</b> [UPLOAD] [Drop file here]	<b>Agreement: Security</b> [UPLOAD] [Drop file here]
<b>AML Certification</b> [UPLOAD] [Drop file here]	<b>Annual Report</b> [UPLOAD] [Drop file here]	<b>Appendix L</b> [UPLOAD] [Drop file here]
<b>Articles of Incorporation</b> [UPLOAD] [Drop file here]	<b>Articles of Organization</b> [UPLOAD] [Drop file here]	<b>Asset Manager Onboarding</b> [UPLOAD] [Drop file here]
<b>Audited Financial Statement</b> [UPLOAD] [Drop file here]	<b>Authorized Signature List</b> [UPLOAD] [Drop file here]	<b>Beneficial Owners Proof of Identity</b> [UPLOAD] [Drop file here]
<b>Business License</b> [UPLOAD] [Drop file here]	<b>By Laws</b> [UPLOAD] [Drop file here]	<b>Cash Management Agreement</b> [UPLOAD] [Drop file here]
<b>Certificate of Incorporation</b> [UPLOAD] [Drop file here]	<b>Charter</b> [UPLOAD] [Drop file here]	<b>Collateral Management Agreement</b> [UPLOAD] [Drop file here]
<b>Collateral Valuation</b> [UPLOAD] [Drop file here]	<b>Common Reporting Standards (CRS)</b> [UPLOAD] [Drop file here]	<b>Completed Sanctions Questionnaire</b> [UPLOAD] [Drop file here]

[CANCEL](#) [SUBMIT](#)

If there are any issues with the classification files and the system could not process them there will be an indicator next to the name of each document type with an issue.


Articles of Incorporation


When you click on a document type with an issue you will also see a message on the **UPDATE DOCUMENT TYPE** page.

### Update Document Type

[UPLOAD CLASSIFICATION FILE](#) [DELETE](#)

Changes to this type will be immediately reflected on all documents of this type

**There has been an issue with one or more of the classification files**

**Name \***

Articles of Incorporation

**Previously Uploaded Classification Files**

Article of Incorporation.zip  
Uploaded Mar 19

[CANCEL](#) [UPDATE DOCUMENT TYPE](#)

You will need to [remove](#) and re-upload the files to fix any issues.

## Bulk add document classification files

It is possible to add multiple files in order to train the system on many document types at once.

To bulk add document classification files:

1. From the **Connected FS Settings** site, click **DATA > DOCUMENTS**.
2. Click **ADD CLASSIFICATION FILES**.
  - **Note:** If IDP is not enabled in the environment, the **ADD CLASSIFICATION FILES** button will not be available.
3. Attach a ZIP file with representative PDFs for each document type that you want to add classification files for. Each ZIP file should contain at least 10 PDFs.
  - **Note:** If the training model is processing, you must wait until it is done before submitting a new classification file. Training the model can take several hours.
4. Click **SUBMIT**.

## Upload Classification Documents

Provide a ZIP file with representative PDFs for each document type. Each ZIP file should contain at least 10 PDFs.

<b>Agreement: Contract</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Agreement: Custody</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Agreement: Loan</b> <input type="button" value="UPLOAD"/> Drop file here
<b>Agreement: Payments</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Agreement: Pricing</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Agreement: Security</b> <input type="button" value="UPLOAD"/> Drop file here
<b>AML Certification</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Annual Report</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Appendix L</b> <input type="button" value="UPLOAD"/> Drop file here
<b>Articles of Incorporation</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Articles of Organization</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Asset Manager Onboarding</b> <input type="button" value="UPLOAD"/> Drop file here
<b>Audited Financial Statement</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Authorized Signature List</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Beneficial Owners Proof of Identity</b> <input type="button" value="UPLOAD"/> Drop file here
<b>Business License</b> <input type="button" value="UPLOAD"/> Drop file here	<b>By Laws</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Cash Management Agreement</b> <input type="button" value="UPLOAD"/> Drop file here
<b>Certificate of Incorporation</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Charter</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Collateral Management Agreement</b> <input type="button" value="UPLOAD"/> Drop file here
<b>Collateral Valuation</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Common Reporting Standards (CRS)</b> <input type="button" value="UPLOAD"/> Drop file here	<b>Completed Sanctions Questionnaire</b> <input type="button" value="UPLOAD"/> Drop file here

CANCEL
SUBMIT

## Remove document classification files

To remove a document classification file:

1. From the **Connected FS Settings** site, click **DATA**.
2. Click **DOCUMENTS**.
3. Click on the document type that you would like to remove the file from.
4. Next to the file you would like to remove, click .
  - **Note:** If the training model is processing, you must wait until it is done before removing a classification file. Training the model can take several hours.
5. Click **UPDATE DOCUMENT TYPE**.

## Update Document Type

Changes to this type will be immediately reflected on all documents of this type

**Name \***

Agreement: Contract

**Previously Uploaded Classification Files**

Contract agreement.zip   
Uploaded Sunday 4:24 pm

CANCEL
UPDATE DOCUMENT TYPE

## Configure product types

### Add a product type

To add a new product type:

1. From the **Connected FS Settings** site, click **DATA**.
2. Click **PRODUCTS > NEW PRODUCT TYPE**.
3. Enter the product type **Name**.
  - **Note:** This has a 100 character limit and must be unique.
4. Click **CREATE PRODUCT TYPE**.

### Remove a product type

To remove a product type:

1. From the **Connected FS Settings** site, click **DATA > PRODUCTS**.
2. Click on the product type that you would like to remove.
3. Click **DELETE**.
4. In the confirmation message, click **DELETE** again.

If a product type is removed, it will now show as *inactive* anywhere it is already referenced.

## Update a product type

To update a product type:

1. From the **Connected FS Settings** site, click **DATA > PRODUCTS**.
2. Click on the product type that you would like to update.
3. Update the product type **Name**.
  - **Note:** This has a 100 character limit and must be unique.
4. Click **UPDATE PRODUCT TYPE**.

Updating the product type will be reflected anywhere this type is used on both previous and new products.

## Manage default account types for products

Business users can set up which accounts will be automatically added for each product type by setting the default accounts for the product type while [updating the product type](#) in the Connected FS settings site.

### Add an account to a product type

To add an account to a product type:

1. From the **Connected FS Settings** site, click **DATA > PRODUCTS**.
2. Click on the product type that you would like to update.
3. Click **ADD ACCOUNT**.
4. Choose which existing account type to add.
5. Click **ADD**.

### Remove an account from a product type

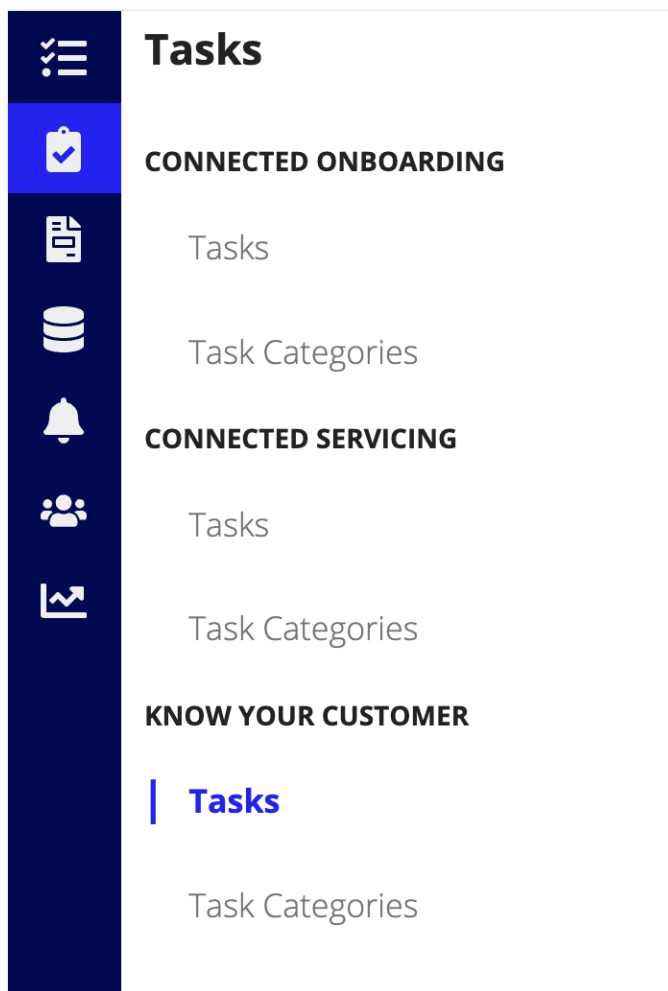
To remove an account from a product type:

1. From the Connected FS Settings site, click **DATA > PRODUCTS**.
2. Click the product type that you would like to update.
3. Click the red ✕ icon next to the account type you would like to remove.
  - **Note:** This has a 100 character limit and must be unique.

# Configuring Tasks

## Introduction

The **Tasks** section of the Connected FS Settings site allows business users to tailor the tasks required for each Investigation. This page describes how to manage categories, tasks, and templates.



Business users can:

- [Add and edit the tasks](#) that can be assigned to the Investigation workflow.
- [Add, remove, and edit the categories](#) that group tasks together.

## Managing tasks

In order to add tasks to the workflow templates, you will need to create a library of tasks to choose from.

### Task types

Tasks can be one of the following types:

- **Confirmation:** This type of task requires a user to select a checkbox that says the task has been completed.
- **Document Upload:** This type of task requires a user to upload a specific document.
- **Review:** This type of task requires a user to approve, reject, or make no decision on a task.
- **Consolidated Screening Check:** This is an automated task that uses an [integration](#) to verify new customers against the [Trade.gov OFAC consolidated screening list API](#).
- **Northrow Risk Score Check:** This task calls the [Northrow](#) integration to retrieve the risk score for a customer. This task is not available if the Northrow integration is not connected. This is a system task, therefore, no user action is needed to complete this task .
- **Northrow Risk Score Error:** This task is auto-generated when the [Northrow](#) integration fails. To [complete this task](#), a user chooses to retry the integration or skip the task entirely.
- **Collect DocuSign Signature:** This task will request a signature through [DocuSign](#). To [complete the task](#), a user signs the document and the document becomes available on the **DOCUMENTS** tab of the onboarding.

To learn how to complete each of these task types, see [Managing Tasks](#).

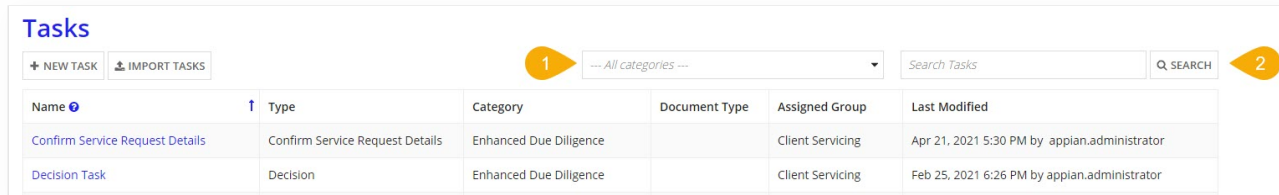
### Viewing tasks

To view the tasks, from the **Connected FS Settings** site, click **Tasks**.



To filter the lists of tasks:

1. Select a category from the dropdown list, or
2. Enter a search term into the **Search Tasks** box.



The screenshot shows the 'Tasks' page in Appian. At the top, there are buttons for '+ NEW TASK' and 'IMPORT TASKS'. Below these is a filter section with a dropdown menu for 'All categories' (labeled with a yellow '1') and a 'Search Tasks' input field with a 'SEARCH' button (labeled with a yellow '2'). The main part of the page is a table with the following columns: Name, Type, Category, Document Type, Assigned Group, and Last Modified. The table contains two rows of task data.

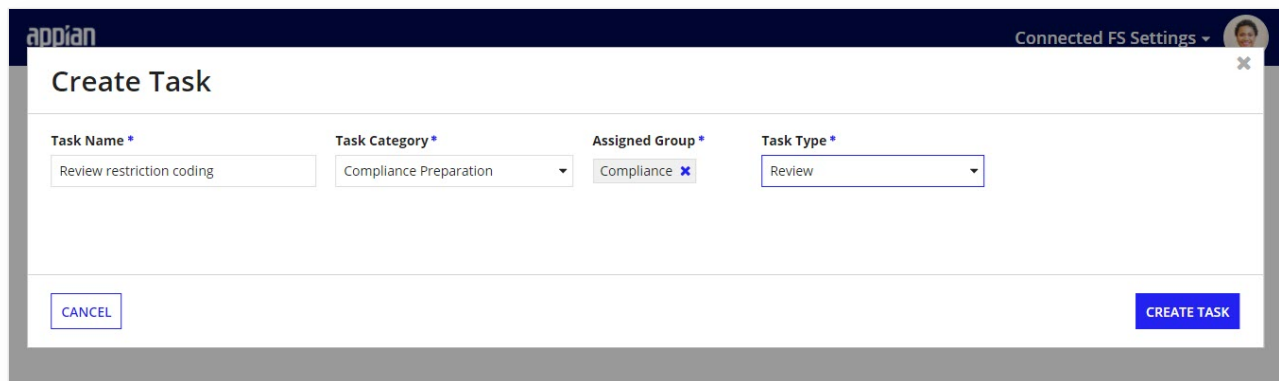
Name	Type	Category	Document Type	Assigned Group	Last Modified
Confirm Service Request Details	Confirm Service Request Details	Enhanced Due Diligence		Client Servicing	Apr 21, 2021 5:30 PM by appian.administrator
Decision Task	Decision	Enhanced Due Diligence		Client Servicing	Feb 25, 2021 6:26 PM by appian.administrator

## Adding an individual task

If you only need to add a few tasks, you can add them one at a time.

To add an individual task:

1. From the **Tasks** page, click **NEW TASK**.
2. Enter a **Task Name**.
3. Select a **Task Category**.
4. Use the **Assigned Group** picker to select the group that should be responsible for the task.
5. Select the **Task Type** and click **CREATE TASK**.
6. If the **Task Type** is **Document Upload**, select a **Document Type**.



The screenshot shows the 'Create Task' form in Appian. The form has four main fields: 'Task Name' (text input), 'Task Category' (dropdown), 'Assigned Group' (picker), and 'Task Type' (dropdown). Below these fields are 'CANCEL' and 'CREATE TASK' buttons. The 'Task Name' field contains 'Review restriction coding', 'Task Category' is set to 'Compliance Preparation', 'Assigned Group' is set to 'Compliance', and 'Task Type' is set to 'Review'.

The new task will be available in new and existing Investigation templates.

## Adding multiple tasks by importing from Excel

If you want to add many tasks at once, you can import tasks from an Excel spreadsheet.

To add multiple tasks:

1. From the **Tasks** page, click **IMPORT TASKS**.
2. Download the **Sample Import Excel File**.
3. Add multiple tasks to the spreadsheet, filling out the following fields:
  - **Task Name**: The display name for the task. There is a 50 character limit. Task names must be unique, or the task won't be imported.
  - **Task Category**: The category that the task should be grouped with. The valid values are any category listed on the [Category page](#).
  - **Assigned Group**: The group that will automatically be assigned the task. The valid values are all business groups that are in the Connected KYC application. See the [Groups Reference Page](#) for a list of the out-of-the-box business groups.
  - **Task Type**: The type of task. Out of the box, the valid values are: Confirmation, Document Upload, Review, and Consolidated Screening Check.
  - **Document Type**: Only required if **Task Type** is **Document Upload**. If the **Task Type** is something else and a value is entered in this field, it will be ignored.
4. Click **UPLOAD** and select the **Sample Task Import.xlsx** file that you just modified.
5. A list of the columns from the spreadsheet displays. Map the columns from the Excel sheet to the task fields. If you used the template without modifying the column headers, these should all match up automatically.
6. Click **NEXT**.

**Excel File**  
 **Sample Task Import**  
 XLSX – 8.97 KB

Excel Column	Row 1 of 3	Row 2 of 3	...1 more rows...	Map Columns to Task Fields
<b>Task Name</b>	Upload Pricing Agreement	Review On-boarding Request	→	Task Name ▼
<b>Task Category</b>	Welcome Packet	Compliance Preparation	→	Task Category ▼
<b>Assigned Group</b>	Sales	Compliance	→	Assigned Group ▼
<b>Task Type</b>	Document Upload	Review	→	Task Type ▼
<b>Document Type</b>	Agreement: Contract		→	Document Type ▼

[BACK](#) [NEXT](#)

- The task fields that you entered display. Verify all of the fields are correct and there are no validation errors.
- To create a new template with the tasks you just imported, click **ADD TASKS TO TEMPLATES**.
- To add the tasks to the library of tasks, click **ADD TASKS**.

**Import Tasks**

Task Name	Task Category	Assigned Group	Task Type	Document Type	
Attach Document	Compliance Preparation ▼	Sales ✕	Attach Document ▼	Tax Document: W-9 ▼	✕
Review Record	Compliance Preparation ▼	Compliance ✕	Review ▼	-	✕

[BACK](#) [ADD TASKS TO TEMPLATE](#) [ADD TASKS](#)


## Editing tasks

If you ever need to update a task, you can edit it in the Connected FS Settings site.

To edit a task:

- From the **Tasks** page, click the name of the task you want to modify.
- Modify the **Task Name**, **Task Category**, **Assigned Group**, **Task Type**, and/or **Document Type** and click **SAVE CHANGES**.

**Edit Task**

 Edits to this task will be reflected on all templates that reference it. In-flight tasks will not be affected.

<b>Task Name *</b>	<b>Task Category *</b>	<b>Assigned Group *</b>	<b>Task Type</b>	<b>DocumentType *</b>
Provide IMA	Compliance Preparation ▼	Client Servicing ✕	Attach Document	IMA ▼

[CANCEL](#) [SAVE CHANGES](#)

All Investigation templates that reference the task will be updated. Any Investigations that are in progress will not be affected.

## Managing categories

Categories group tasks together, usually by the function of the tasks or the group that performs the tasks. You can add these categories to meet the requirements and needs of your organization's Investigation processes.

## Viewing categories

From the **Connected FS Settings** site, you can view the categories by clicking **Tasks**. The **Task Categories** tab will display in the left menu pane.

## Adding a category

You can create a new category whenever you need a new way to group tasks, such as adding a process that requires related tasks to be completed.

To add a category:

1. From the **Task Categories** page, click **NEW CATEGORY**.



2. Enter a **Category Name** and click **CREATE CATEGORY**.

A screenshot of the 'Create Category' modal form. The form has a title 'Create Category' and a close button (X) in the top right. It contains a single text input field labeled 'Category Name \*'. At the bottom, there are two buttons: 'CANCEL' on the left and 'CREATE CATEGORY' on the right.

The new category will display in all new and existing Investigation templates.

## Removing a category

If you ever need to remove a category, you can do it from the **Connected FS Settings** site.

appian-style note If there are any tasks that reference the category, you will not be able to remove the category. A message will display to let you know that it cannot be removed. To remove the category, complete or cancel all tasks that reference the category.

To remove a category, click the delete icon associated with the category you want to remove.

Categories		
+ NEW CATEGORY		
Category Name ⓘ	1 Last Modified	
Account Creation	May 18, 2021 5:34 AM by appian.administrator	🗑
Account Funding	May 18, 2021 5:34 AM by appian.administrator	🗑
Accounting & Performance Setup	May 18, 2021 5:34 AM by appian.administrator	🗑
Compliance Preparation	May 18, 2021 5:34 AM by appian.administrator	🗑

The category will no longer display in Investigation templates.

## Editing a category name

If you need to update the name of a category, you can edit the name in the Connected FS Settings site.

To edit a category name:

1. Select the name of the category you want to modify.
2. Enter a new **Category Name** and click **SAVE CHANGES**.

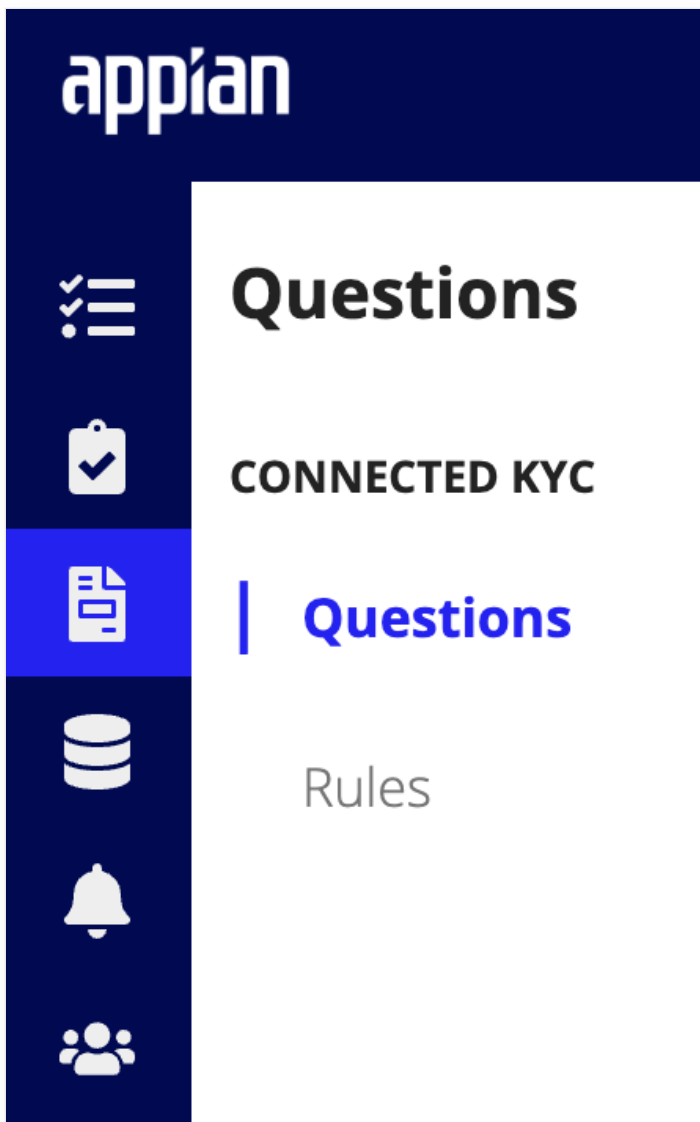
The screenshot shows the 'Edit Category' modal in the Appian interface. At the top, the Appian logo and 'Connected FS Settings' are visible. The modal title is 'Edit Category'. Below the title is a yellow warning banner that reads: 'Edits to this category will be reflected on all tasks that reference it'. Underneath is a text input field labeled 'Category Name \*' with the current value 'Compliance Preparation'. At the bottom of the modal are two buttons: 'CANCEL' on the left and 'SAVE CHANGES' on the right.

The new name will display in all new and existing tasks that reference it.

# Setting Up Rules

## Introduction

The **Questions** section of the Connected FS Settings site allows business users to tailor the questions and rules required for each KYC investigation. Questions and rules are the building blocks for the questions step of the KYC workflows. This page describes how to manage, create and update both questions and rules.



## Manage Questions

Questions can be used standalone or in combination with other questions when creating rules or setting up questionnaires in the KYC workflow templates.

### Create a question

To create a question:

1. Click **New Question**.
2. Enter the question text.
3. Select the response type.
4. Configure answer responses based on the chosen response type.
5. Click **CREATE** or **CREATE AND ADD ANOTHER**.

### Question response types

There are several question response types for the user to choose to capture the correct data from the questionnaire.

The response types are:

1. **Date**: respondents will be required to enter a date to answer the question.
2. **Dropdown**: respondents can select from a dropdown list of options.
3. **Paragraph**: respondents must enter text to answer the question.
4. **Radio Button**: respondents can select a single answer from a list of options.

## Configuring response types

Different response types may require some additional configuration.

For paragraph and date response types, business user can set the following configurations:

1. **Tasks to be completed:** additional tasks that will be generated when the answer is selected.
2. **Document requirements:** additional documents that will be required when the answer is selected.

For dropdown and radio button response types, business users can set the following configurations:

1. **Response text:** the answer the user can choose from.
2. **Max Selection:** The number of answers the users can select while answering the questions - applicable to dropdown response type only.
3. **Risk score:** the amount of risk score points added to the total risk score calculation if the answer is selected.
4. **Manual review required:** whether or not if the answer is selected the investigation required routing for manual review.
5. **Tasks to be completed:** additional tasks that will be generated when the answer is selected.
6. **Document requirements:** additional documents that will be required when the answer is selected.

## Update a question

If a question needs to be edited, users can be updated and the updates will be applied to everywhere that the question is being used.


To update a question:

1. Click on the question name.
2. Make any necessary edits to question text, tasks, documents, response option text.
  - **Note:** Changing response type is not supported.
  - **Note:** Users will not be able to remove a response option if there is a follow up question based on that answer in a rule or workflow template.
3. Click **UPDATE**.

## Delete a question

If a question is entered incorrectly or is no longer needed, a user can delete a question. However, this question must not be used in any rules or workflow templates prior to being deleted.

To delete a question:

1. Click the **delete**  icon.
2. Confirm that you would like to delete the question.
3. Click **DELETE**.

If the question is being used in either a rule set or a KYC workflow template, the user will be warned that the question cannot be deleted.

## Manage Rules

Once questions have been created, business users now have the ability to create sets of questions that relate to each other to be used in the KYC workflow templates. Rules give the users the ability to define dynamic relationships between questions that become the building blocks of the screening questionnaires.

### Create a rule

To create a rule:

1. Click **CREATE RULE**.
2. Enter **Rule Name** and **Rule Tags**.
3. Add questions.
4. Click **CREATE**.

While adding a question, the user has the option to define relationships between questions to determine if another question should be asked based on the answer to the first question.

To add a dynamic follow up question:

1. Click **Add Question**.
2. If there is a dropdown or radio button question type already on the page, select **NO** for **Is this a standalone question?**
3. Select **What question in the template should this question appear after?**
4. Select **What response, if chosen, should this appear?**
5. Click **Add**.

## Tag a rule

Rule tags are used to group different rules together. This can help users better categorize and organize their rule sets.

To create a rule tag:

1. Click **New Tag**.
2. Enter the tag name.
3. Click **SAVE**.

The rule tag will now be available in the rule tag dropdown so you can select and add the rule.

## Update a rule

If a rule needs to be edited, users can be updated and the updates will be applied to everywhere that the rule is being used.

To update a rule:

1. Click on the rule name.
2. Make any necessary edits.
3. Click **UPDATE**.

## Delete a rule

If a rule is entered incorrectly or is no longer needed, a user can delete a question. However, this question must not be used in any workflow templates prior to being deleted.

To delete a rule:

1. Click the trashcan icon.
2. Confirm that you would like to delete the rule.
3. Click **DELETE**.

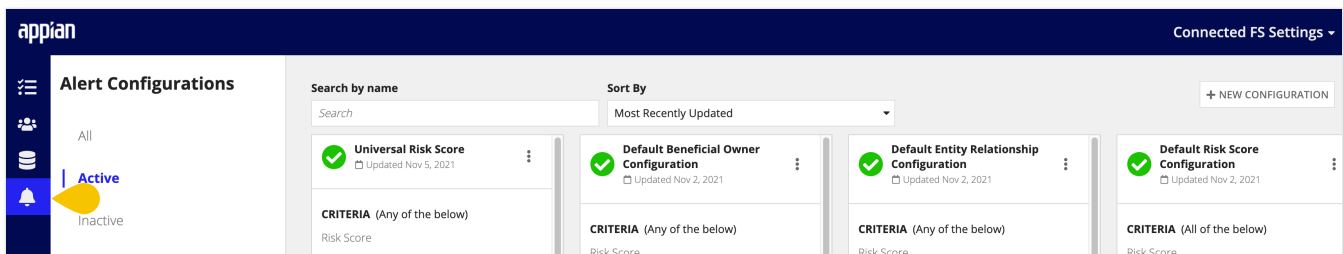
If the question is being used in a KYC workflow template, the user will be warned that the rule cannot be deleted.

# Configure Alerts

## Introduction

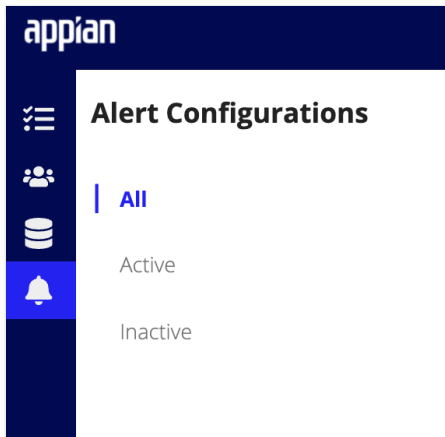
When important data changes are made to a customer record, alerts are generated to notify business users of the change. In the **Connected FS Settings** site, business users can control when these alerts generate, which customer groups are notified, and the actions or events that need to occur after an alert is triggered. You can view alerts on the customer record.

All alert settings are located in the **ALERTS** tab of the **Connected FS Settings** site.

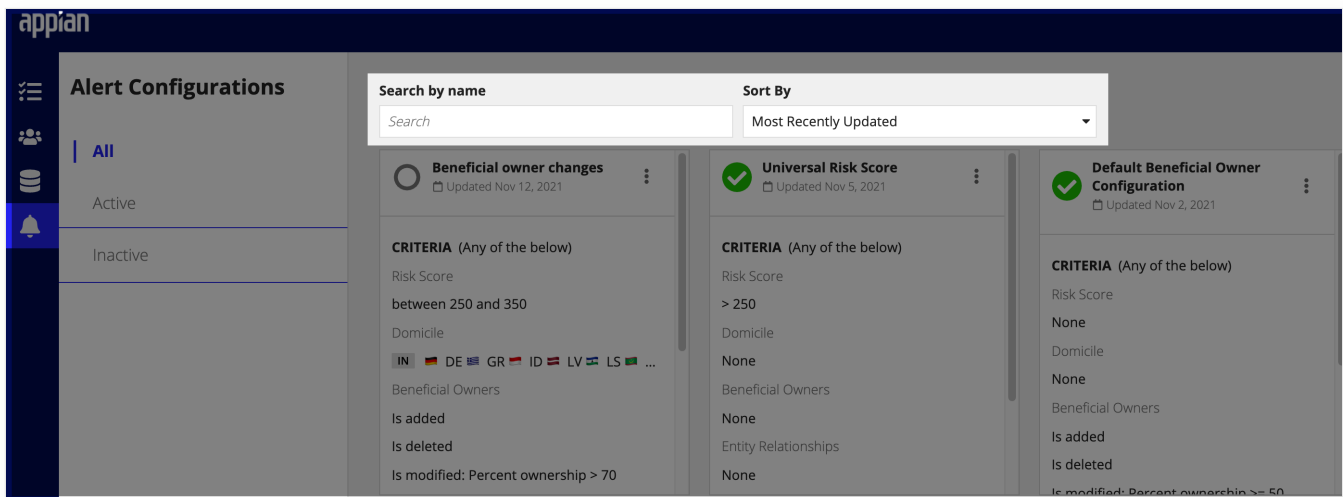


## View alert configurations

By default, the **Alert Configurations** page displays all alert configurations. To filter the alerts by *status*, select **Active** or **Inactive** in the navigation pane. Any alert that the system is currently generating is an *active* alert. Alerts that are **disabled** by a user and no longer used to trigger an alert are *inactive*.



To find a specific alert, search by the alert name. You can also sort the alerts by the date when the configuration was last updated.



## Create an alert configuration

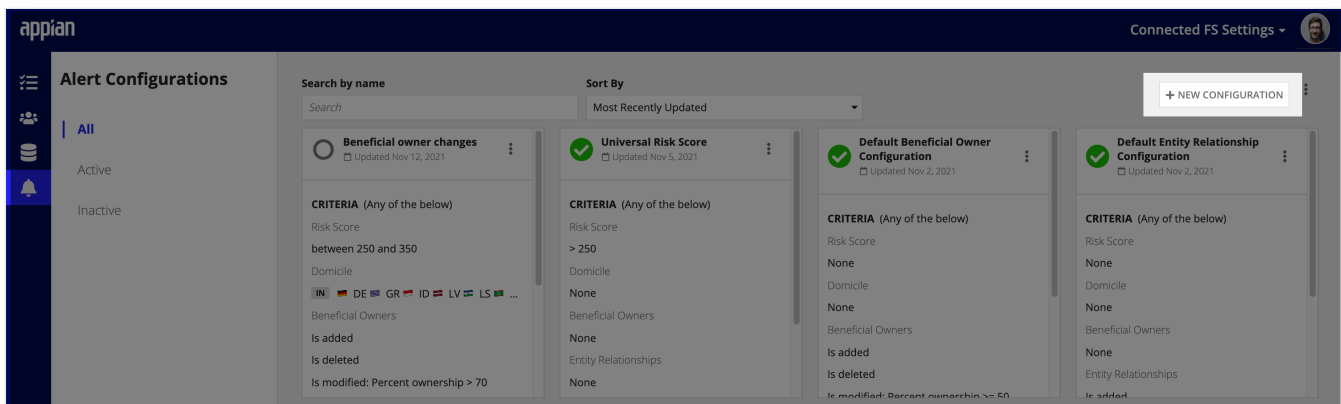
You can configure a customer alert to trigger when a specific customer matches a set of conditions or a specific scenario.

For example, you can configure an alert to trigger when the risk score changes for a customer in APAC. The alert, which include a custom message, appears on the Summary tab of the Customer record.

To create new alert configurations:

1. Click **NEW CONFIGURATION**.





1. Enter **Name** and if the trigger should be active upon saving.

# Create Alert Configuration

**Name \***

0/255

**Set active ? \***
☒ Yes
 ☐ No

1. Create [trigger conditions](#).
2. Set up [customer filters](#)
3. Enter the [display message](#).
4. Click **SAVE**.

## Trigger Conditions

Trigger conditions are the rules that define the data that needs to change in order to generate an alert. When the customers' data changes and matches the rule set, an alert will be automatically generated.

**Trigger Conditions**

Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: Any condition is true

--- Select field ---

[+ Add Trigger Condition](#)

There are two types of trigger conditions: *ANY* conditions or *ALL* conditions.

**Trigger Conditions**

Enter conditions that will trigger an alert. Then select the specific

Trigger an alert if: Any condition is true

--- Select field ---

All conditions are true

Any condition is true

[+ Add Trigger Condition](#)

For an *Any condition is true* trigger to generate an alert, any of the trigger statements can be *true*. If this is chosen, all the conditional separators will default to **OR**.

### Trigger Conditions

Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: Any condition is true ▼

Domicile ▼

--- Select operator --- ▼

--- Sele

OR

Risk Score ▼

--- Select operator --- ▼

[+ Add Trigger Condition](#)

An *All conditions are true* trigger implies that all of the trigger statements have to be *true* in order for the alert to generate. If this is chosen, all the conditionals will default to **AND**.

### Trigger Conditions

Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: All conditions are true ▼

Domicile ▼

--- Select operator --- ▼

--- Sele

AND

Risk Score ▼

--- Select operator --- ▼

[+ Add Trigger Condition](#)

## Trigger Fields

You can set up trigger conditions to monitor four types of changes: **Beneficial Owners**, **Domiciles**, **Entity Relationships**, and **Risk Scores** by configuring each field to generate a trigger when a specific data value changes.

### Beneficial owners

You can also configure an alert to trigger when a **Beneficial Owner** is added, deleted, or modified. If you configure an alert to trigger when you modify a Beneficial Owner, you can also set up an expression to define when an alert will trigger once a specific **Ownership** threshold is met.

### Trigger Conditions

Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: All conditions are true ▼

Beneficial Owner ▼

Is modified ▼

% ownership ▼

--- Select operator --- ▼

60

[+ Add Trigger Condition](#)

### Customer Filters

Determine which customers this alert will apply to. This alert will only apply to customers who meet this criteria. B

[+ Add Filter](#)

--- Select operator ---

<

<=

>

>=

## Domiciles

The **Domicile** field allows you to configure an alert to trigger when a domicile change occurs. You can configure an alert to trigger when a change is made to include a domicile in a list of specific countries using the **IN** or exclude a list of countries using the **NOT IN** condition.

**Trigger Conditions**

Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: All conditions are true ▼

Domicile ▼

IN ▼

Afghanistan, Brazil, Cuba ▼

+ Add Trigger Condition

## Entity relationships

The **Entity Relationship** field allows you to configure an alert to trigger when a user adds, deletes, or modifies an entity relationship. If you configure an alert to trigger when a user modifies **Entity Relationship**, you can also set up an expression to define when an alert will trigger once a specific **Ownership** threshold is met.

**Trigger Conditions**

Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: All conditions are true ▼

Entity Relationship ▼

Is modified ▼

% ownership ▼

> ▼

10

+ Add Trigger Condition

## Risk scores

An alert can trigger when a **risk** is changed to a certain value or threshold.

**Trigger Conditions**

Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: All conditions are true ▼

Risk Score ▼

>= ▼

70

+ Add Trigger Condition

## Customer Filters

To define which customers the trigger rules apply to, you can set up **Customer Filters** by filter type, including name, domicile, or region. For each of the filter types, determine whether the filter should be *inclusive* using the **IN** operator or *exclusive* using the **NOT IN** operator.

**Customer Filters**

Determine which customers this alert will apply to. This alert will only apply to customers who meet this criteria. By default all customers receive the alert.

For 

Region ▼

IN ▼

Asia Pacific ▼

⊗

To remove the filter, click the **⊗** icon next to the filter. By default, an alert configuration that does not have a customer filter will apply to all customers.

## Display Message

The **Display Message** dialog allows you to configure an alert message to show on the customer record. When an alert is generated, users viewing the alert will see this message.

## Display Message

Enter the message to display to the users once the alert is generated


Customer's risk score has exceeded the limit to skip additional review.

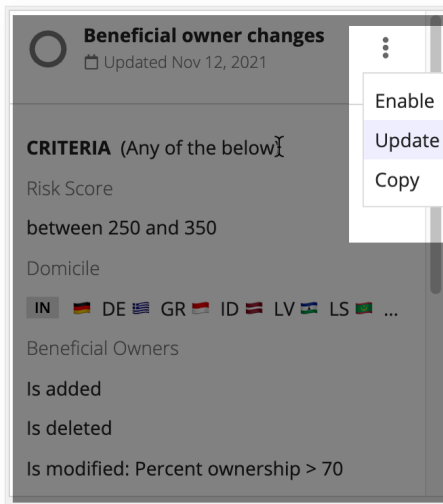
71/255

## Update an alert configuration

When changes to alert configurations are necessary, you can update the existing configuration without having to create a new one.

To update an alert configuration:

1. Click the  icon on the alert you want to update and select **Update**.



**Beneficial owner changes**  
Updated Nov 12, 2021

**CRITERIA** (Any of the below)

Risk Score  
between 250 and 350

Domicile  
IN DE GR ID LV LS ...

Beneficial Owners  
Is added  
Is deleted  
Is modified: Percent ownership > 70

Menu: Enable, Update, Copy

1. Update any trigger configurations, customer filters, generated events, or the display message.
2. Click **SAVE**.

## Update Alert Configuration

**Name \*** Universal Risk Score 20/255 **Set active** ☒ Yes ☐ No

### Trigger Conditions

Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: Any condition is true

Risk Score > 250

[Add Trigger Condition](#)

### Customer Filters

Determine which customers this alert will apply to. This alert will only apply to customers who meet this criteria. By default all customers receive the alert.

[Add Filter](#)

### Generated Events

Select events to generate when the alert is triggered.

[Add Event](#)

### Display Message

Enter the message to display to the users once the alert is generated

Risk score is very high

#### What is an alert?

An alert is a flag on the customer that is generated when certain field values change

#### What is a trigger?

A trigger is a field/ set of fields which when their values change, alerts are automatically generated.

#### How do the conditionals work?

Any condition is true implies that if any of the trigger statements have to true in order for the alert to take effect. If this is chosen, all the conditionals default to OR.

All conditions are true implies that all of the trigger statements have to true in order for the alert to take effect. If this is chosen, all the conditionals default to AND.

#### Example


If you would want to create an alert for all customers who either have risk score > 50 or whose domicile is United Kingdom, you would choose "Any of the above". Add a trigger with a field of risk score, operator of >, value of 50. Add a trigger with a field of Domicile, operator of IN, and value of United Kingdom.

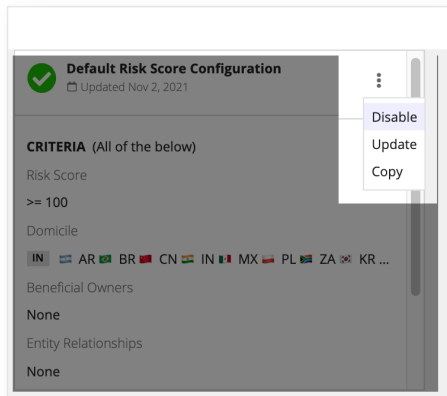
CANCEL

SAVE

## Disable an alert configuration


If an alert configuration is no longer required, you can stop the configuration from generating any new alerts.

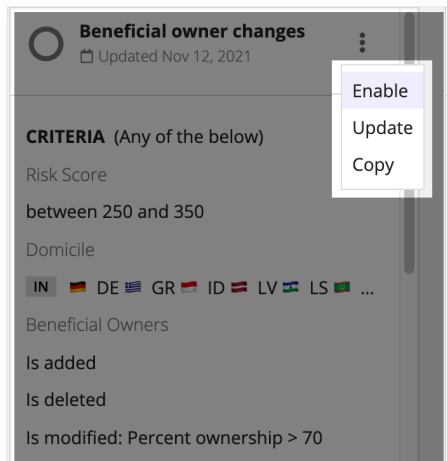
To disable an alert configuration, click the  icon on the alert you want to disable and select **Disable**.



## Enable an inactive alert configuration

After creating or disabling an alert configuration, you need to turn it on in order to start generating alerts.


To enable an alert configuration, click the  icon on the alert you want enable and select **Enable**.



## Copy an alert configuration

Copying an alert is a quick way to create a new alert with slightly different trigger logic. When copied, the new alert has all of the same configurations, including active status, triggers, customer filters, and actions, as the alert that was copied. The name of the new alert configuration will start with **Copy of**.

To copy an alert configuration:

1. Click on the  icon on the alert you want to copy and select **Copy**.

**Beneficial owner changes**  
Updated Nov 12, 2021

**CRITERIA** (Any of the below)

Risk Score  
between 250 and 350

Domicile  
IN DE GR ID LV LS ...

Beneficial Owners  
Is added  
Is deleted  
Is modified: Percent ownership > 70

Enable  
Update  
Copy

1. Update the name and any of the configurations.
2. Click **SAVE**.

**Update Alert Configuration**

**Name \*** Copy of: Beneficial owner changes 33/255 **Set active** ☐ Yes ☒ No

**Trigger Conditions**  
Enter conditions that will trigger an alert. Then select the specific field values and their changes.

Trigger an alert if: Any condition is true

- Beneficial Owner Is added
- OR Beneficial Owner Is deleted
- OR Beneficial Owner Is modified % ownership > 70
- OR Domicile IN Germany, Greece, Indonesia, Latvia, Lesotho, Mauritania, --
- OR Risk Score between 250 and 350
- OR Entity Relationship Is deleted
- OR Entity Relationship Is modified % ownership < 1

**Customer Filters**  
Determine which customers this alert will apply to. This alert will only apply to customers who meet this criteria. By default all customers receive the alert.

For Domicile IN Albania, Andorra, Anguilla, Antigua and Barbuda, Armeni, --

**What is an alert?**  
An alert is a flag on the customer that is generated when certain field values change

**What is a trigger?**  
A trigger is a field/ set of fields which when their values change, alerts are automatically generated.

**How do the conditionals work?**  
Any condition is true implies that if any of the triggers statements are true, then the alert to take effect. If this is chosen, all the conditionals default to OR.

All conditions are true implies that all of the trigger statements have to be true in order for the alert to take effect. If this is chosen, all the conditionals default to AND.

**Example**  
If you would want to create an alert for all customers who either have risk score > 50 or whose domicile is United Kingdom, you would choose "Any of the above". Add a trigger with a field of risk score, operator of >, value of 50. Add a trigger with a field of Domicile, operator of IN, and value of United Kingdom.

**CANCEL** **SAVE**

## Configure alert auto-dismissal

You can configure alerts that are not dismissed manually, to be automatically dismissed by the system after a specific timeframe.

To configure auto-dismissal:

1. Click on the for the alert you want to set up to automatically dismiss after a specific timeframe and select **Set auto-dismissal**.

**+ NEW CONFIGURATION**

Set auto-dismissal  
View Alert Configuration History  
Configuration

Beneficial owner changes  
Updated Nov 2, 2021

1. Under **Should alerts be dismissed automatically?**, click **Yes** to turn auto-dismissal on for the alert." Click **No** to turn auto-dismissal off.
2. If auto-dismissal is turned on, enter the number of days you want to system to wait before dismissing the alert when it is not manually dismissed.

3. Click **SET**.

Set auto-dismissal

Should alerts be dismissed automatically? ?

Yes

No

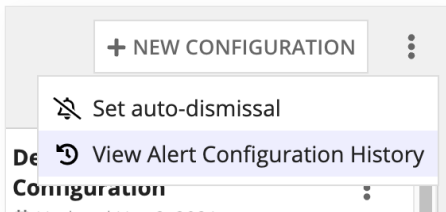
After how many days? \*

CANCEL

SET

## View alert configuration change history

Each time an alert configuration is added, deactivated, or edited, the system tracks the changes, including who made the changes and when they were made. To see a completed history of the changes made to any of the alert configurations select **View Alert Configuration History** in the menu button on the top right corner.



The alert configuration history grid also shows the values before and after a configuration change and which alert configuration was affected. You can filter these alert configuration changes by the user.

Alert Configuration History

USER | Any

User	Name	Modification	Time	
	Annie Admin	Beneficial owner changes	<div>Edited the alert configuration</div> <ul style="list-style-type: none"><li>Changed Name from <i>Matt Test configuration</i> to <i>Beneficial owner changes</i></li></ul>	Nov 12, 2021 1:39 PM
			<div>Added the alert configuration</div> <ul style="list-style-type: none"><li>Changed Name from blank to <i>Universal Risk Score</i></li><li>Changed Display Message from blank to <i>Risk score is very high</i></li><li>Changed Active from blank to <i>true</i></li></ul>	
	Service Manager	Universal Risk Score	<div>Triggers</div> <ul style="list-style-type: none"><li>Changed Operator from blank to <i>OR</i></li></ul>	Nov 5, 2021 9:34 AM
			<div>Added a trigger</div> <ul style="list-style-type: none"><li>Changed Type from blank to <i>Risk Score</i></li><li>Changed Operator from blank to <i>&gt;</i></li><li>Changed Lower Bound Risk from blank to <i>250</i></li></ul>	
	Annie Admin	Beneficial owner changes	<div>Edited the alert configuration</div>	Nov 3, 2021 9:49 AM
			<div>Triggers</div>	
			<div>Edited a trigger</div> <ul style="list-style-type: none"><li>Changed Threshold from <i>40</i> to <i>70</i></li></ul>	
			<div>Edited a trigger</div> <ul style="list-style-type: none"><li>Changed Lower Bound Risk from <i>200</i> to <i>250</i></li><li>Changed Upper Bound Risk from <i>300</i> to <i>350</i></li></ul>	
			<div>Deleted a trigger</div> <ul style="list-style-type: none"><li>Changed Type from <i>Entity Relationship</i> to blank</li><li>Changed Action from <i>Is added</i> to blank</li></ul>	
			<div>Filters</div>	
			<div>Deleted a customer filter</div>	

None

# Setting Up Groups

## Introduction

Managing organizational changes can be a big pain point for many organizations. New team members or team members with new responsibilities need to quickly have access to the tools they need to do their jobs. To ensure security, departing team members need to have their access revoked in a timely manner. The [Connected FS Settings](#) site in Appian Connected KYC allows business users with the appropriate access to quickly make the changes needed to keep business running securely.

appian			
Connected FS Settings			
User Groups			
<div> <div> <div></div> <div>1</div> </div> <div>Internal Users</div> <div>Customers</div> </div>			
<div> <div>Search by name</div> <div>Sort By</div> <div>Search</div> <div>A to Z</div> </div>			
	<b>AS FS Appian Administrators</b> 24 Members Nov 5, 2021		<b>Back Office</b> 0 Members Nov 5, 2021
	<b>Client Onboarding</b> 36 Members Nov 4, 2021		<b>Client Onboarding Department Heads</b> 16 Members Nov 10, 2021
	<b>Client Servicing Department Heads</b> 8 Members Nov 4, 2021		<b>Compliance</b> 1 Member Nov 4, 2021
	<b>Back Office Department Heads</b> 0 Members Nov 5, 2021		<b>Client Servicing</b> 18 Members Nov 4, 2021
	<b>Compliance Department Heads</b> 0 Members Nov 4, 2021		<b>AS FS Internal Users</b> 0 Members Nov 5, 2021

If you need to add new business or security groups, or modify group membership using Appian Designer, see [Modifying Groups](#).

## What are business groups?

Only business groups are able to be modified from Connected KYC Settings. So what is a business group? A business group is a group that represents the different business roles that will interact with the solution.

For example, sales team members who are involved in Investigations will be in the *Sales* business group and managers on the legal team who are involved in Investigations will be in the *Legal Department Heads* business group.



This allows you to put certain teams into security groups to allow access to specific parts of the solution. For example, only members of the *Client Investigating* and *Sales* groups have actions to create new Investigations from the Home page.

See [Group Reference Page](#) for more information on what groups provide what access in Connected KYC.

## Customer groups

Customer groups are a special type of business group. Customer groups allow access to the Customer Portal for external users. In order to ensure customers can only see their data and no other customer data, a user may only be added to one customer group at a time.

A customer group is automatically created when a customer is created. Therefore, in the group management tool, there will be one group for every customer.





## Viewing group members

To view current group members:

1. [Access the Connected FS Settings site](#) and click **GROUPS**.
2. Optionally you may filter to **Internal Users** or **Customers**.
  - **Note:** The group type aligns with the wrapper groups that are defined in [Group Reference Page](#).
3. Select the business group that you would like to view.

The group members display. You can see if a user is a **Direct** member, which means they have been added directly to the group, or an **Indirect** member, which means they are a member of a subgroup. If the user is an **Indirect** member, their subgroup will display in the **Parent Group(s)** column.

[← Back to internal groups](#)





Legal				<a href="#">ADD MEMBERS</a>	<a href="#">REMOVE MEMBERS</a>
<input type="checkbox"/>	Name	Member Type <a href="#">?</a>	Parent Group(s)		
<input type="checkbox"/>	 Legal User <small>legal.user</small>	Direct	N/A		
<input type="checkbox"/>	 Lisa Wentworth <small>lisa.le</small>	Indirect	Legal Department Heads		
<input type="checkbox"/>	 lisa legal <small>lisa.legal</small>	Direct	N/A		
<input type="checkbox"/>	 Lucy Smith <small>lucy.legal</small>	Direct	N/A		

## Managing group membership

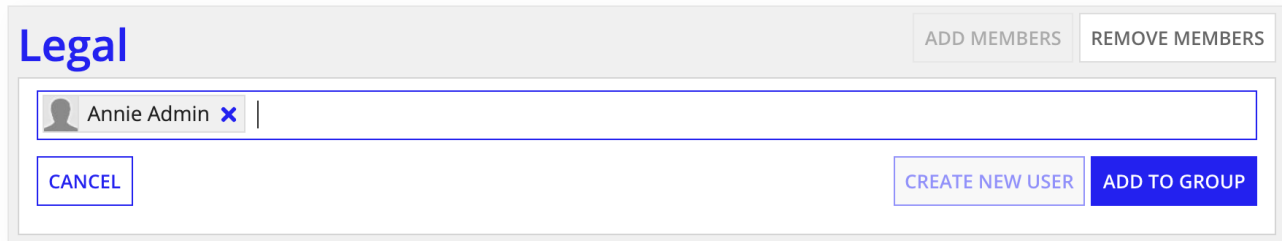
To update group membership:

1. On the Groups page, select the group that you would like to update. See [Viewing group members](#) for instructions.
2. To remove a member, select the checkbox next to their name and click **REMOVE MEMBERS**.
  - **Note:** If the member is an indirect member of the group, you will not be able to remove them from the group. You must remove them from the parent group. For example, a member of the Back Office Department Heads group is an indirect member of the Back Office group. To remove them from the Back Office group, you must remove them from the Back Office Department Heads group.

[← Back to internal groups](#)

Legal				<a href="#">ADD MEMBERS</a>	<a href="#">REMOVE MEMBERS</a>
<input type="checkbox"/>	Name	Member Type <a href="#">?</a>	Parent Group(s)		
<input type="checkbox"/>	 Legal User <small>legal.user</small>	Direct	N/A		
<input type="checkbox"/>	 Lisa Wentworth <small>lisa.le</small>	Indirect	Legal Department Heads		
<input checked="" type="checkbox"/>	 lisa legal <small>lisa.legal</small>	Direct	N/A		
<input type="checkbox"/>	 Lucy Smith <small>lucy.legal</small>	Direct	N/A		

3. To add a member, click **ADD MEMBERS**. Use the picker to find the member(s) you would like to add, then click **ADD TO GROUP**.



When the users refresh the site, their membership will be updated.

## Creating a new user

If a user needs an account, a business user can create one from the group management tool.

To create a new user:

1. [Access the Connected FS Settings site](#) and click **Groups**.
2. In the group picker, select the group type.
3. Select the business group that you would like to add the user to.
4. Click **ADD MEMBERS**.
5. Click **CREATE NEW USER**.
6. Enter the **Email**, **Username**, **First Name**, and **Last Name**.
  - **Note:** Username is case sensitive and must be unique.
7. Click **ADD TO GROUP**.

# Managing Integrations

## Introduction

Appian's Connected KYC solution provides the ability to integrate with the following applications:

- [Companies House](#)
- [DocuSign](#)
- [OFAC](#)
- [Dun & Bradstreet](#)
- [IDP](#)
- [Northrow](#)

This page walks you through the steps for setting up each integration. After setting up the integrations you need for your Connected KYC solution, you can manage them through the Connected KYC System Administration Center.


## Accessing the System Administration Center

The **System Administration Center** is a separate site in the Connected KYC solution that allows administrators:

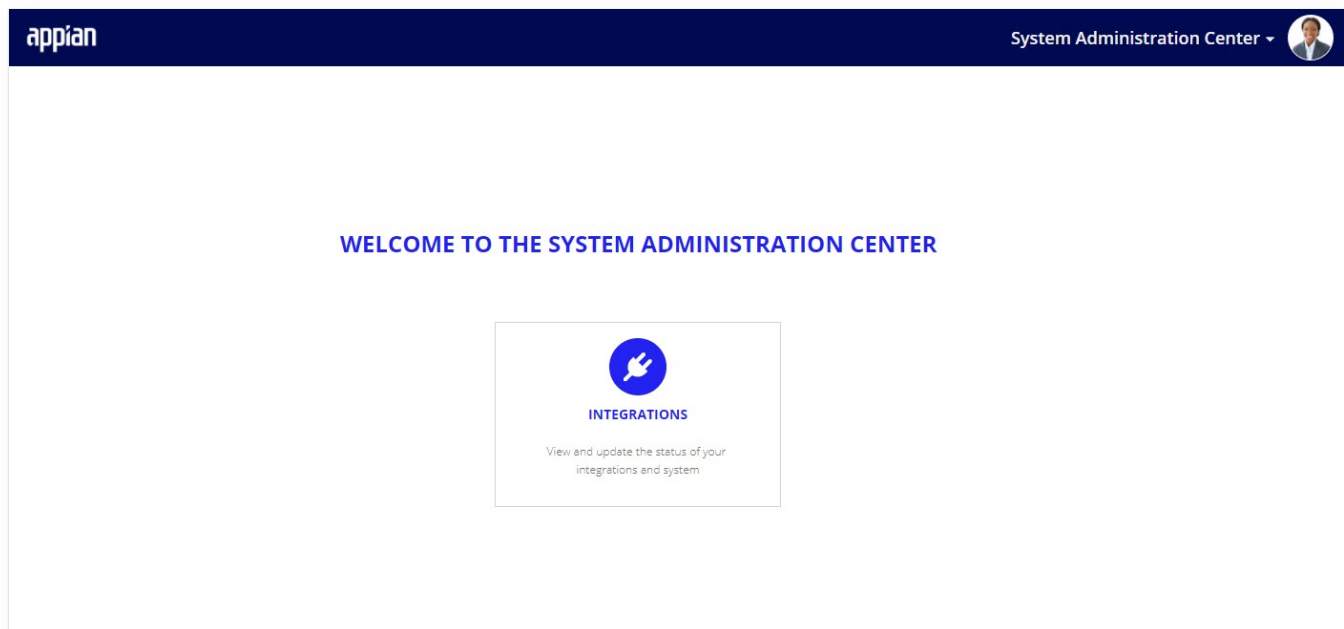
- Turn on/off connected integrations.
- View and update properties for connected integrations.
- Test integration connections.

Only administrators with the appropriate group membership are able to access this site. This ensures that only a select few have access to sensitive processes and information.

To access the **System Administration Center**:

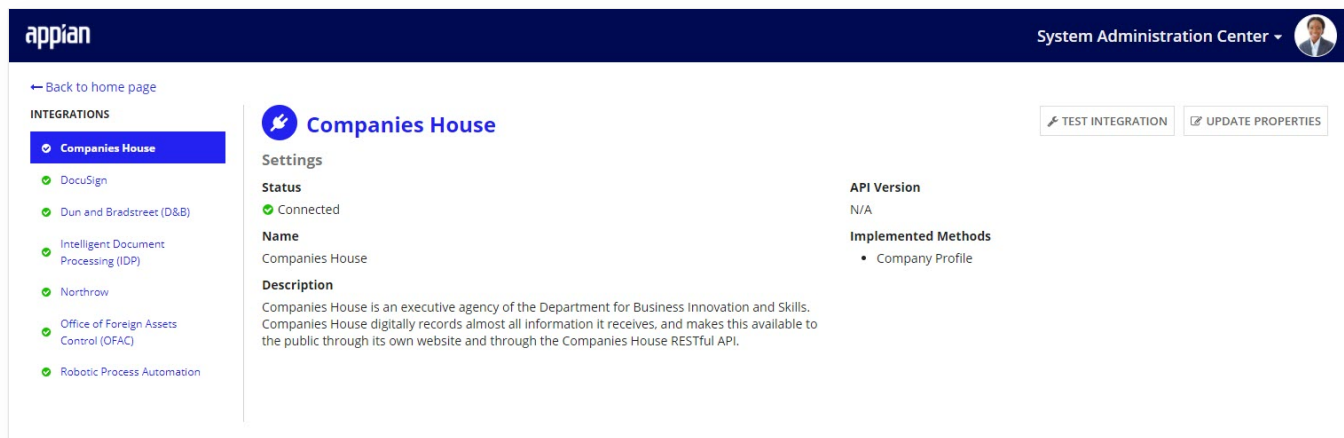
1. Make sure you are in the AS FS Appian Administrators security group. See the [Groups Reference Page](#) for more information about security groups.
2. From the Connected KYC site, select the navigation menu  > **System Administration Center**.

The Welcome to the System Administration Center page displays. You can click on the integrations card to view and update any connected integrations.



## Integrating with Company House

Appian's Connected KYC application includes the ability to populate customer data from UK company registration service, [Companies House](#). Connecting to Companies House helps users reduce data entry by pulling in any of the public registration information available from the Companies House service. Using Companies House is optional and requires some minimal configuration in the [System Administration Center](#) site after the Companies House prerequisites are completed.



## Prerequisites

The Companies House is a public API, but your organization must still generate an authorization key before the service can be used.

To obtain an authorization key:

1. From the Companies House website, [create](#) a Companies House account.
2. Follow Companies House instructions to obtain an [API key](#) and save this key.

Once you have your Companies House API key:

1. From Appian Designer, open AS EI CHS CS Companies House connected system.
2. Click **CLEAR** next to the **Value** field.
3. Enter your authentication token in the **Value** field.
4. Click **SAVE**.

## Using the Companies House integration

Companies House provides registration information about a customer. Any Companies House information gathered is displayed on the **Basic Info** tab on customer profile.

When creating or updating, you can provide a **Customer Number**. A **Customer Number** is the company registration / incorporation number a company was assigned upon registration. To find a **Customer Number**, you can search by name on the Companies House website by clicking **Search Companies House** link.



If the [Companies House](#) integration is connected and a **Company Number** is entered, Companies House will be called and any available information will be automatically populated.

The fields that can be pulled in for Companies House are:

### 1. Customer Information:

- **Class type:** The class type of the customer. Possible values include LTD, PLC, LLP, etc.
- **Class sub-type:** The subtype of the company. Possible values are: community interest company and private fund limited partnership.
- **Jurisdiction:** The jurisdiction specifies the political body responsible for the company.
- **Date of creation:** The date a company was created.
- **External registration number:** The number given by an external registration body.
- **Foreign company account information**
  - **Foreign Account type:** Legal form of the customer in the country of incorporation.
  - **Account from:** Date account period starts under parent law.
  - **Account to:** Date account period ends under parent law.
  - **Originating registry name:** Identity of register in country of incorporation.
  - **Originating registry country:** Country in which customer was incorporated.
  - **Credit/Finance Institution:** Is it a financial or credit institution. Valid values: Yes or No.
  - **Must file within:** Number of months within which to file disclosure of accounts under parent law.
  - **Governed by:** Law governing the customer in country of incorporation.
  - **Registration number:** Registration number in customer of incorporation.
  - **Terms of account publication:** Describes how the publication date is derived.
  - **Company Type:** Legal form of the company in the country of incorporation.
- **Company status:** The status of the customer. Valid values include: active, dissolved, liquidation, receivership, administration, voluntary arrangement, converted closed, and insolvency proceedings.
- **Company status details:** Extra details about the status of the company. Valid values include: transferred from UK, active proposal to strike off, petition to restore dissolved, transformed to SE, converted to PLC, converted to UK SOCIETAS, converted to UKEIG.
- **Business Activity:** Type of business undertaken by the UK establishment.

### 2. Previous customer names: The previous names of this customer.

- **Effective from:** The date from which the customer name was effective.
- **Ceased on:** The date on which the customer name ceased.

### 3. Customer links: A set of URLs related to the resource.

### 4. Registered office address: The address of the customer's registered office.

If Companies House is disconnected or a **Company Number** is not provided, you can enter these fields manually.

## Refreshing Companies House information

A user can manually check for changes to the information from Companies House from the customer record by clicking **REFRESH COMPANIES HOUSE** on the **BASIC INFO** tab of the customer profile.

The screenshot shows the Appian interface for a customer named 'Caspian Industries (CAS)'. The 'Basic Info' tab is selected, showing various fields such as Name, Acronym, GMEI, Risk Score, Industry Classification Code, Domicile, International Entity, Qualified Institutional Buyer, Region, and Additional Customer Details. A 'REFRESH COMPANIES HOUSE' button is located in the top right corner of the customer profile view.

The refresh button is not available if the Companies House integration is disconnected.

## Updating Companies House properties

From the **System Administration Center**, you can determine whether or not the Companies House integration is connected. When Companies House is disconnected you will need to manually enter a customer's registration information.

The 'Update Properties' dialog box for the Companies House integration is shown. It includes fields for Status (with radio buttons for Connected and Disconnected), Name (Companies House), and Description (Companies House is an executive agency of the Department for Business Innovation and Skills...). There are also fields for API Version (N/A) and Implemented Methods (Company Profile). At the bottom, there are 'CANCEL' and 'SAVE PROPERTIES' buttons.

To update the Companies House properties:

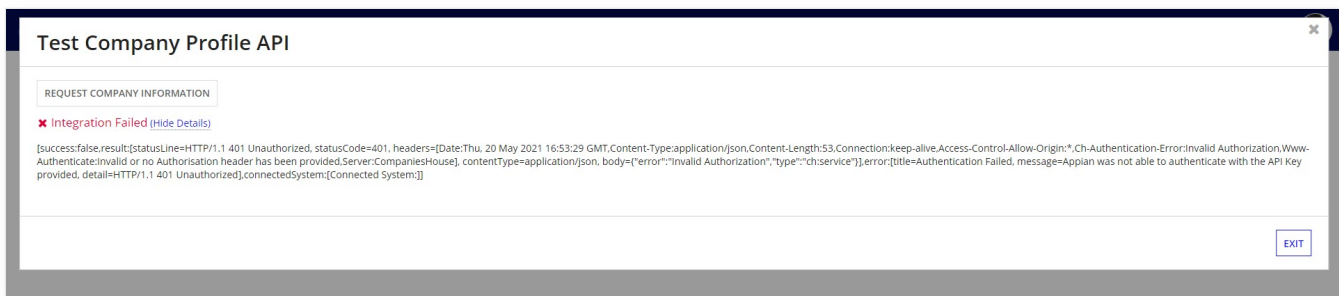
1. After accessing the [System Administration Center](#), click **Integrations**.
2. On the left, select **Companies House**.
3. Click **UPDATE PROPERTIES**.
4. Update **Status**.
5. Click **SAVE PROPERTIES**.

## Testing Companies House integration

If you suspect that the Companies House integration is not working, you can test to see if this integration is working from the **System Administration Center**.

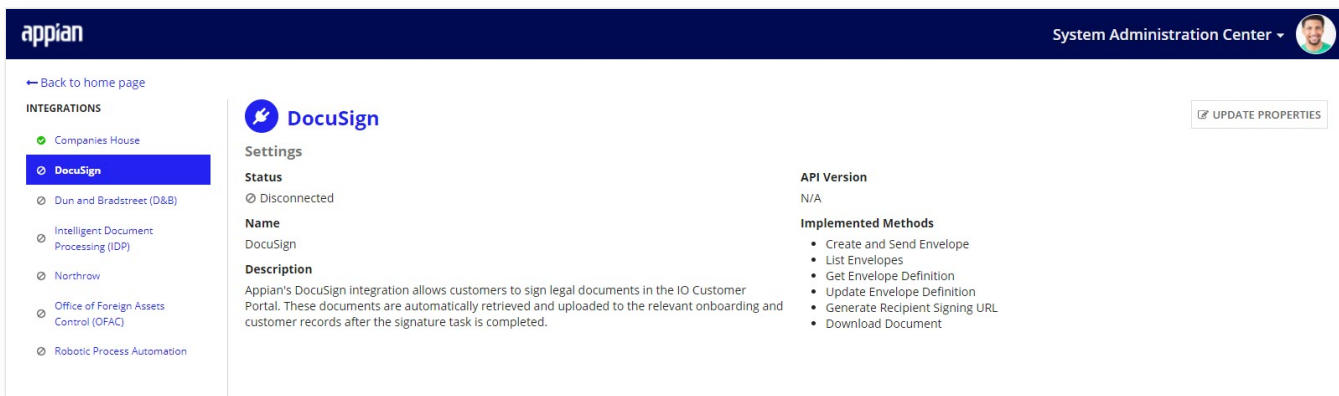
To test the Companies House connection:

1. After accessing the [System Administration Center](#), click **Integrations**.
2. On the left, select **Companies House**.
3. Click **TEST INTEGRATION**.
4. Click **REQUEST COMPANY INFORMATION**.
  - You are able to see what is returned, either **Integration Successful** or **Integration Error**.
  - You are also able to see the Companies House service response details.



## Integrating with DocuSign

Applan's Connected KYC solution includes electronic signature capture powered by a DocuSign integration. With DocuSign, users can sign documents and attach them directly to the Investigation and customer records. DocuSign is optional integration and requires some minimal configuration in both the [Connected FS Settings](#) and [System Administration Center](#) sites after the DocuSign prerequisite configuration is set up.



## Prerequisites

If you would like to use the DocuSign tasks during your Investigation, you must have a DocuSign account and be able to retrieve your organization's credentials.

To find your authentication information:

1. From your DocuSign instance, go to the Admin site.
2. Click **Accounts**.
3. Select your account.
4. From the account screen, select **API and Keys** under **Integrations**.
5. Select your **App Name**.

Once you have your DocuSign authentication information:

1. From Appian Designer, open the AS\_EI\_Docusign\_Connected\_System.
2. Enter the **Instance URL**, **API Account ID**, **API Username**, **Password**, and **Integration Key**
3. Click **SAVE**.
4. Open the AS\_IO\_DOCUSIGN\_generateDocuSignTaskEnvelope expression rule.
5. Update the JSON structures, if applicable.

## Creating a DocuSign Task

The DocuSign integration sends documents to internal and external users to collect a signature. In order to have a document signed via DocuSign within Connected KYC, a user must receive a DocuSign task.

If the DocuSign integration is not connected in the [DocuSign properties](#) of the **System Administration Center**, this task type is not accessible.

DocuSign tasks can be created and added to Investigation process templates in the Connected KYC settings page or can be sent ad-hoc during an active Investigation.

## Sending an ad-hoc DocuSign task

To send an ad-hoc DocuSign Task:

1. Open the Investigation and go to the **Tasks** tab.
2. Click **New Task**.
3. Enter **Task Name**, **Task Category**, **Assigned Group**, and **Due Date**.
  - To assign the DocuSign task to an external customer, in the **Assigned Group** dropdown, select the customer name.
4. For **Task Type**, select **Collect DocuSign Signature**.
5. Enter the additional required fields:
  - **Document Type**: The document type of document to sign.
  - **New or Existing**: Whether or not you would like to use a document template that has already been uploaded to the system or a upload a new template.
  - **Document to be Signed**: The document template to be signed.
    - **Note**: If **New** is selected, this will be a document upload field. If **Existing** is selected, this will be a dropdown list.

The screenshot shows the 'Add Custom Task' form in the Appian interface. The form is titled 'Add Custom Task' and has a close button (X) in the top right corner. The form is divided into several sections: 'Task Name' (text input: 'Sign the loan agreement'), 'Task Category' (dropdown: 'Contract Negotiation'), 'Assigned Group' (dropdown: 'Legal'), 'Task Type' (dropdown: 'Collect DocuSign Signature'), 'DocumentType' (dropdown: 'Agreement: Loan'), 'Description' (text area), 'Individual Assignee' (text input), 'Due Date' (text input: '06/04/2021', with a note 'Est. Funding Date is 6/4/2021'), 'New or Existing' (radio buttons: 'New' selected, 'Existing'), and 'Document To Be Signed' (dropdown with an 'UPLOAD' button and a 'Drop file here' link). At the bottom left is a 'CANCEL' button and at the bottom right is an 'ADD TASK' button. The footer shows 'Credit' and '0/3 TASKS COMPLETE'.

## Creating a DocuSign task for Investigation process templates

To create a DocuSign task to use in Investigation process templates:

1. From the Connected FS Settings site, click **PROCESS**.
2. On the left navigation pane, select **Tasks**.
3. Click **NEW TASK**.
4. Enter the **Task Name**, **Task Category**, and **Assigned Group**.
  - **Note**: To assign the DocuSign task to an external customer, in the **Assigned Group** dropdown, select the **Customers** group. When the task is generated, the **Assigned Group** will automatically be updated to the customer that is being onboarded.
5. For **Task Type**, select **Collect DocuSign Signature**.
6. Enter the additional required fields:
  - **Document Type**: The type of document to be signed.
  - **Document to be Signed**: The document template that the user will be sign via DocuSign.
7. Click **CREATE TASK**.

The screenshot shows the 'Create Task' form in the Appian interface. The form is titled 'Create Task' and has a close button (X) in the top right corner. The form is divided into several sections: 'Task Name' (text input: 'Sign contract agreement'), 'Task Category' (dropdown: 'Contract Negotiation'), 'Assigned Group' (dropdown: 'Legal'), 'Task Type' (dropdown: 'Collect DocuSign Signature'), 'DocumentType' (dropdown: 'Agreement: Contract'), and 'Document To Be Signed' (dropdown with an 'UPLOAD' button and a 'Drop file here' link). At the bottom left is a 'CANCEL' button and at the bottom right is a 'CREATE TASK' button. The footer shows 'Client Billing Setup', 'Confirmation', 'Portfolio', 'Finance', and 'Jun 11, 2021 4:27 AM by appian.administrator'.



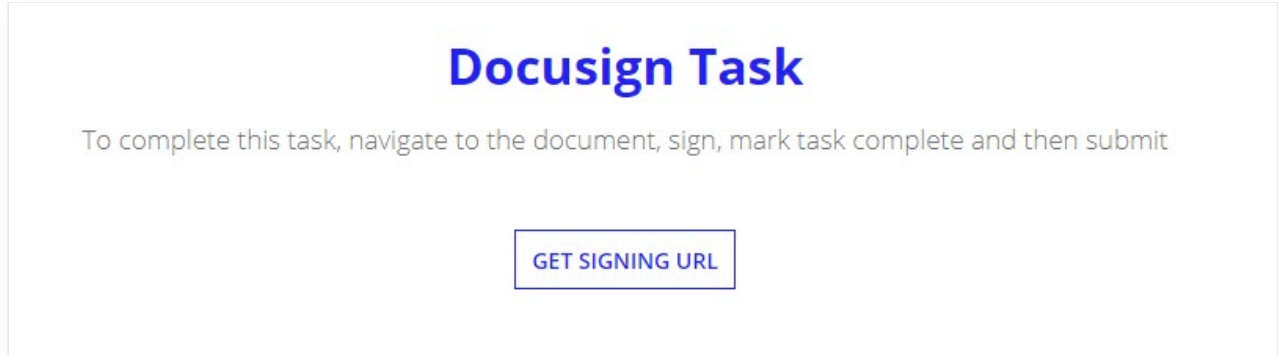
When a user goes to edit or [update process templates](#), this task will now be available for use.

## Completing a DocuSign Task

When a user receives a DocuSign task, it will appear on their task list with a task type **Collect DocuSign Signature**.

To complete a DocuSign Task:

1. From the task list, click on the task name.
2. Click **GET SIGNING URL**.



3. Click **Sign Document**.
  - **Note:** Clicking **Sign Document** opens a new tab that contains the document for the user to sign.
4. Use DocuSign to provide an e-signature.
  - **Note:** Once you click **FINISH** in DocuSign this tab will navigate to your home page.
5. Once signed, return to the task tab.
6. Check the **DOCUMENT SIGNED** box.
  - **Note:** A preview of the signed document will appear.
7. Click **Submit**.

Sign the loan agreement

### DocuSign Task

To complete this task, navigate to the document, sign, mark task complete and then submit

[Sign Document](#)

☒ DOCUMENT SIGNED

A screenshot of a DocuSign document titled "Contacting Us". The document content includes a heading "Contacting Us", a line for "Contact address and phone number for your area will display here.", and a signature block that says "Designed by Lisa Legal" with a handwritten signature. The document is displayed in a preview window with a sidebar on the left showing a list of documents.

Task Properties	
Category	Contract Negotiation
Due Date	Jun 4, 2021
Assigned Group	Legal
Individual Assignee	Lizzie Rubenfield
Description	-
Onboarding Details	
Name	AAA-ONB-0004
Type	Custody Onboarding
Description	-
Funds	-
Funding Details	
Estimated Funding Date	Jun 4, 2021
Estimated Funding Value	\$89,057 USD

CANCEL

SUBMIT

The signed document will also be available on the **DOCUMENTS** tab of the Investigation and customer records.

## Completing a DocuSign Error Task

If there is an issue with the DocuSign integration while a task is opened or assigned and the system will generate a DocuSign task and assign it to the user who the original DocuSign task was assigned to.



To complete a DocuSign Error Task:

1. From the task list, click on the task name.
2. Choose an option, either **Yes - Retry** or **No - Do not retry**.
  - If you choose **Yes - Retry** and the connection issue has been resolved, the original DocuSign task will be opened. If it has not, a subsequent error task will be generated.
  - If you choose **No - Do not retry**, the error task will be closed and any tasks dependent on the original DocuSign task will be kicked off.
3. Click **SUBMIT**.

### Retry DocuSign Task?

**You were assigned the task DocuSign Task to sign the Agreement: Contract document through DocuSign. However, the system cannot connect to DocuSign. Contact your system administrator.**

You have the ability to retry the DocuSign task or to skip this task altogether. If you retry and another error is generated, you will receive another task.

☒ Yes - Retry

☐ No - Do not retry

## Updating DocuSign properties

From the **System Administration Center**, a user can determine whether or not the DocuSign integration is connected. When DocuSign is disconnected a user will not be able to use DocuSign tasks to gather signatures on documents during the Investigation process.

### Update Properties

**Status**  
☐ Connected ☒ Disconnected

**Name**  
DocuSign

**Description**  
Applan's DocuSign integration allows customers to sign legal documents in the IO Customer Portal. These documents are automatically retrieved and uploaded to the relevant onboarding and customer records after the signature task is completed.

**API Version**  
N/A

**Implemented Methods**

- Create and Send Envelope
- List Envelopes
- Get Envelope Definition
- Update Envelope Definition
- Generate Recipient Signing URL
- Download Document

CANCEL

SAVE PROPERTIES

To update the DocuSign properties:

1. From the System Administration Center, click **Integrations**.
2. On the left, select **DocuSign**.
3. Click **UPDATE PROPERTIES**.
4. Update **Status**.
5. Click **SAVE PROPERTIES**.

## Integrating with OFAC

Verifying a customer's identity to comply with Know Your Customer (KYC) requirements is an important part of every financial institution's processes. Connected KYC helps to automate part of this process by integrating with the [OFAC Consolidated Screening List API](#) from Trade.gov. This integration searches customer names against eleven export screening lists of the Departments of Commerce, State, and Treasury to help institutions screen potential parties to regulated transactions.

Using OFAC is optional and requires some minimal configuration in both the [Connected FS Settings](#) and [System Administration Center](#) sites after the OFAC prerequisites are completed.

The screenshot shows the Appian System Administration Center interface. On the left, there is a sidebar with a 'Back to home page' link and a list of integrations: Companies House, DocuSign, Dun and Bradstreet (D&B), Intelligent Document Processing (IDP), Northrow, Office of Foreign Assets Control (OFAC) (highlighted), and Robotic Process Automation. The main content area is titled 'Office of Foreign Assets Control (OFAC)' and includes a gear icon for settings. Below the title, there are sections for 'Settings', 'Status' (Connected), 'Name' (Office of Foreign Assets Control (OFAC)), and 'Description' (Providing compliance solutions to help your organization meet regulatory guidelines set forth by U.S. Department of the Treasury, Bureau of Industry and Security and other KYC and AML governing bodies). On the right, there are sections for 'API Version' (N/A) and 'Implemented Methods' (Consolidated Screening List). An 'UPDATE PROPERTIES' button is located in the top right corner.

If you would like to change the OFAC integration further, see the [Modifying OFAC Integration](#) page for additional customization options.

## Prerequisites

The OFAC Consolidated Screening API is a free, public API, but your organization must still generate access tokens before the service can be used.

To obtain an access token, subscribe to the [Consolidated Screening List API](#).

Once you have your OFAC authentication information:

1. From Appian Designer, open the AS IO Trade.gov Consolidated Screening connected system.
2. In the **Value** field, enter the **Primary Key** value that was automatically generated for you in your ITA Developer account.
3. Click **SAVE**.

## Using the OFAC integration

The OFAC integration uses the customer's name to search against the OFAC consolidated screening list. An OFAC check is completed with a **Consolidated Screening Check** task during an Investigation.

If the OFAC integration is not connected in the [OFAC properties](#) of the System Administration Center, this task type is not accessible.

There can be a time lag of up to one hour between the time a Source has updated a screening list and when that update appears in the Consolidated Screening List API.

## Creating an OFAC consolidated screening check task

OFAC tasks can be created for Investigation process templates in the Connected FS Settings page.

To create an OFAC task for Investigation process templates:

1. From the [Connected FS Settings](#) site, click **PROCESS**.
2. On the left, select **Tasks**.
3. Click **NEW TASK**.
4. Enter the **Task Name**, **Task Category**, and **Assigned Group**.
5. For **Task Type**, select **Consolidated Screening Check**.
6. Click **CREATE TASK**.

## Completing an OFAC consolidated screening results task

An OFAC consolidated screening check task will run as an automated task and only require user action if the customer's name has been found on the consolidated screening list or if the connection to OFAC failed. In the scenarios where user action is required, a task will be opened for the **Assigned Group** designated during [task creation](#).

When there are consolidated screening results or an error occurs, a **Consolidated Screening Results** OFAC task will appear on the task list.

The Consolidated Screening List API is not the system of record for these screening lists. Users are strongly encouraged to refer to the website of the source agency for further instructions when finding a potential match.

To complete a **Consolidated Screening Results** task with results:

1. From the task list, click on the task name.
2. Check the box next to any results in the list that are relevant to the Investigation or customer.
  - **Note:** The selected relevant results will be available on the **OFAC Check Results** tab of the customer and Investigation records, after the task is completed.
  - **Note:** The OFAC APIs return a maximum of 100 results per request. Only the first 100 most relevant results of a search will display.
3. Click **SUBMIT**.

### Select Relevant Results

Consolidated screening results come from the OFAC. Select the results that are relevant to your onboarding. If no results are selected, the screening will be marked as complete with no findings.

**Screening Results**

<input type="checkbox"/>	Name and Alt. Name(s) ⓘ	Source ⓘ	Score ⓘ ↓
<input type="checkbox"/>	<b>ALMACEN JUNIOR</b> N/A	Specialty Designated Nationals (SDN) - Treasury Department	90
<input type="checkbox"/>	<b>HASSAN AYASH EXCHANGE COMPANY</b> <ul style="list-style-type: none"><li>• HASSAN AYAS PARTNER EXCHANGE CO.</li><li>• AYASH XCHANGE CO.</li><li>• AYASH EXCHANGE COMPANY SARL</li><li>• MAKDESSI SAYRAFI COMPANY</li><li>• HASSANE AYASH EXCHANGE CO. SARL</li><li>• HASSAN AYACH EXCHANGE</li></ul>	Specialty Designated Nationals (SDN) - Treasury Department	90
<input type="checkbox"/>	<b>ALMACEN FUTURO NO. 1</b> N/A	Specialty Designated Nationals (SDN) - Treasury Department	90
<input type="checkbox"/>	<b>JOINT STOCK COMPANY ALMAZ-ANTEY AIR DEFENSE CONCERN MAIN SYSTEM DESIGN BUREAU NAMED BY ACADEMICIAN A.A. RASPLETIN</b> <ul style="list-style-type: none"><li>• A.A. RASPLETIN MAIN SYSTEM DESIGN BUREAU</li><li>• JSC "ALMAZ-ANTEY" MSDB</li><li>• ALMAZ-ANTEY MSDB</li><li>• GOLOVNOYE SISTEMNOYE KONSTRUKTORSKOYE BYURO OPEN JOINT-STOCK COMPANY OF ALMAZ-ANTEY PVO CONCERN IMENI ACADEMICIAN A.A. RASPLETIN</li><li>• ALMAZ-ANTEY PVO "AIR DEFENSE" CONCERN LEAD SYSTEMS DESIGN BUREAU OAO "OPEN JOINT-STOCK COMPANY" IMENI ACADEMICIAN A.A. RASPLETIN</li><li>• ALMAZ-ANTEY GSKB IMENI ACADEMICIAN A.A. RASPLETIN</li><li>• ALMAZ-ANTEY GSKB</li></ul>	Specialty Designated Nationals (SDN) - Treasury Department	90

If a party to a user's transaction matches the name of a party on the consolidated list, the user must check the official publication of restricted parties in the Federal Register or the official lists of restricted parties maintained on the websites of the Departments of Commerce, State and the Treasury to ensure full compliance with all of the terms and conditions of the restrictions placed on the parties on this list. Links to these websites are found in the "Source List URL" and "Source Information URL" fields that accompany each party returned in the API. These links connect users to the specific webpage that contain additional information about how to use each specific list.

## Completing an OFAC Error Task

If there is an issue with the OFAC integration while a task is opened or assigned and the system will generate a DocuSign task and assign it to the user who the original OFAC task was assigned to.

To complete a DocuSign Error Task:

1. From the task list, click on the task name.
2. Choose an option, either **Yes - Retry** or **No - Do not retry**.
  - If you choose **Yes - Retry** and the connection issue has been resolved, the original OFAC task will be completed and if necessary a **Consolidated Screening Results** task will be opened. If it has not, a subsequent error task will be generated.
  - If you choose **No - Do not retry**, the error task will be closed and any tasks dependent on the original OFAC task will be kicked off.
3. Click **SUBMIT**.

## Manual Consolidated Screening

### An error occurred during the OFAC consolidated screening check. Would you like to retry?

You may retry the integration or skip this task altogether.  
If you retry and another error is generated, you will receive another task.



Yes - Retry




No - Do not retry

## Viewing Relevant OFAC Results

If while [completing an OFAC task](#) a user selects relevant results, these results will be available for all users to view on both the customer and Investigation records.

To view the relevant OFAC results from either the **CUSTOMER** or **Investigation** record, click the **OFAC CHECK RESULTS** tab. The selected results will be listed along with the details on this page.

**appian** HOME TASKS **CUSTOMERS** SERVICE REQUESTS TRENDS Connected Servicing 

Almach (AAA)

Summary Basic Info Documents Products History Scheduled Requests **OFAC Check Results** Related Actions

JOINT STOCK COMPANY ALMAZ-ANTEY AIR DEFENSE CONCERN MAIN SYSTEM DESIGN BUREAU NAMED BY ACADEMICIAN A.A. RASPLETIN

Score  
90%

Source  
Specially Designated Nationals (SDN) - Treasury Department

Aliases

- A.A. RASPLETIN MAIN SYSTEM DESIGN BUREAU
- JSC 'ALMAZ-ANTEY' MSDB
- ALMAZ-ANTEY MSDB
- GOLOVNOYE SISTEMNOYE KONSTRUKTORSKOYE BYURO OPEN JOINT-STOCK COMPANY OF ALMAZ-ANTEY PVO CONCERN IMENI AKADEMICHAN A.A. RASPLETIN
- ALMAZ-ANTEY PVO 'AIR DEFENSE' CONCERN LEAD SYSTEMS DESIGN BUREAU OAO 'OPEN JOINT-STOCK COMPANY' IMENI AKADEMICHAN A.A. RASPLETIN
- ALMAZ-ANTEY GSKB IMENI AKADEMICHAN A.A. RASPLETIN
- ALMAZ-ANTEY GSKB
- GSKB
- OTKRYTOE AKTSIONERNOE OBSHCHESTVO NAUCHNO PROIZVODSTVENNOE OBEDINENIE ALMAZ IMENI AKADEMIKA A.A. RASPLETINA

ALMACEN BATUL

Score  
90%

Source  
Specially Designated Nationals (SDN) - Treasury Department

Aliases

- BODEGA CAMPEON

## Updating OFAC properties

From the **OFAC**, a user can determine whether or not the OFAC integration is connected. If OFAC is disconnected, a user will not be able to add consolidated screening report tasks to Investigation processes.

Update Properties

**Status**  
☐ Connected ☒ Disconnected

**Name**  
Office of Foreign Assets Control (OFAC)

**Description**  
Providing compliance solutions to help your organization meet regulatory guidelines set forth by U.S Department of the Treasury, Bureau of Industry and Security and other KYC and AML governing bodies.

**API Version**  
N/A

**Implemented Methods**

- Consolidated Screening List

CANCEL

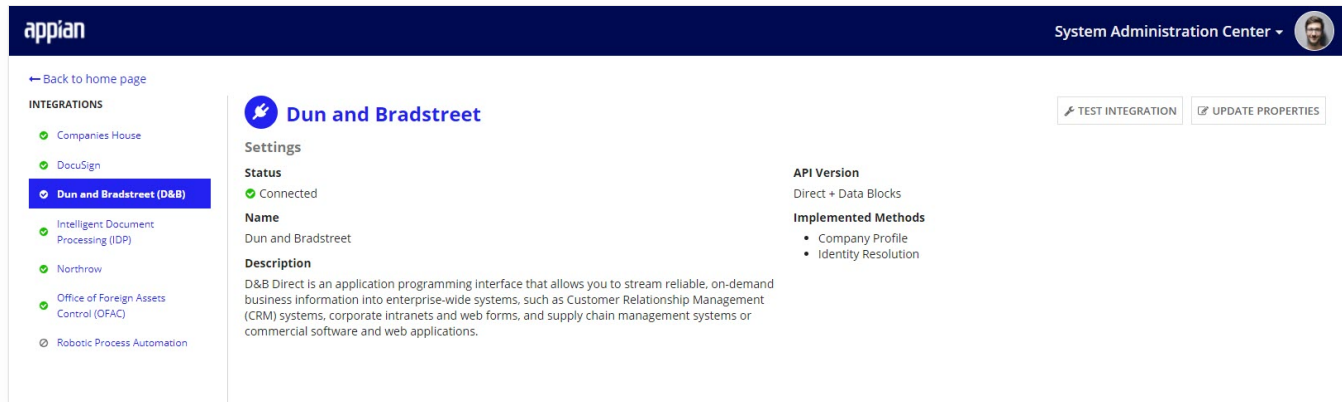
SAVE PROPERTIES

To update the OFAC properties:

1. After accessing the [System Administration Center](#), click **Integrations**.
2. On the left select, **OFAC**.
3. Click **UPDATE PROPERTIES**.
4. Update **Status**.
5. Click **SAVE PROPERTIES**.

## Integrating with Dun & Bradstreet

Appian's Connected KYC application includes gathering Ultimate Beneficial Owners (UBO) from a Dun & Bradstreet integration. Using Dun & Bradstreet allows users to see the most up to date information about a customer's UBOs. Using Dun & Bradstreet is optional and requires some minimal configuration in the [System Administration Center](#) site after the Dun & Bradstreet prerequisite configuration is set up.



## Prerequisites

If you would like to use the Dun & Bradstreet functionality during your Investigation, you must have a Dun & Bradstreet account and be able to retrieve your organization's credentials.

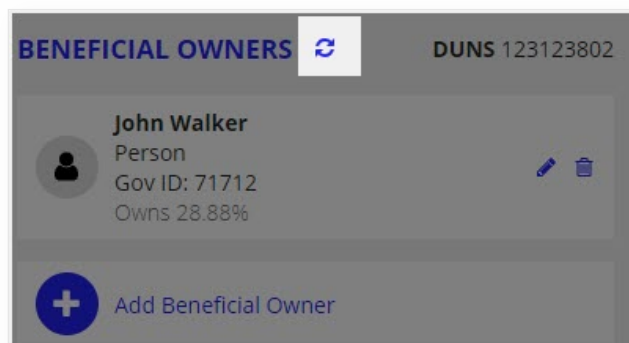
Once you have your Dun & Bradstreet authentication information:

1. From Appian Designer, open the AS EI DNB Bearer Token Connected System.
2. Enter **User** and **Password**.
3. Click **SAVE**.

## Using the Dun & Bradstreet integration

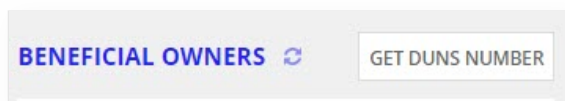
When a customer is created, a user can enter search for a customer, which will then pull back and store a company's DUNS number. A DUNS number is a unique nine-digit identifier for businesses given by Dun & Bradstreet. If a DUNS number is available and the Dun & Bradstreet integration is connected, Connected KYC will retrieve UBOs and display them on the customer profile.

A user can manually check for changes to the UBO in the customer profile by clicking the refresh button next to the **BENEFICIAL OWNERS** section.



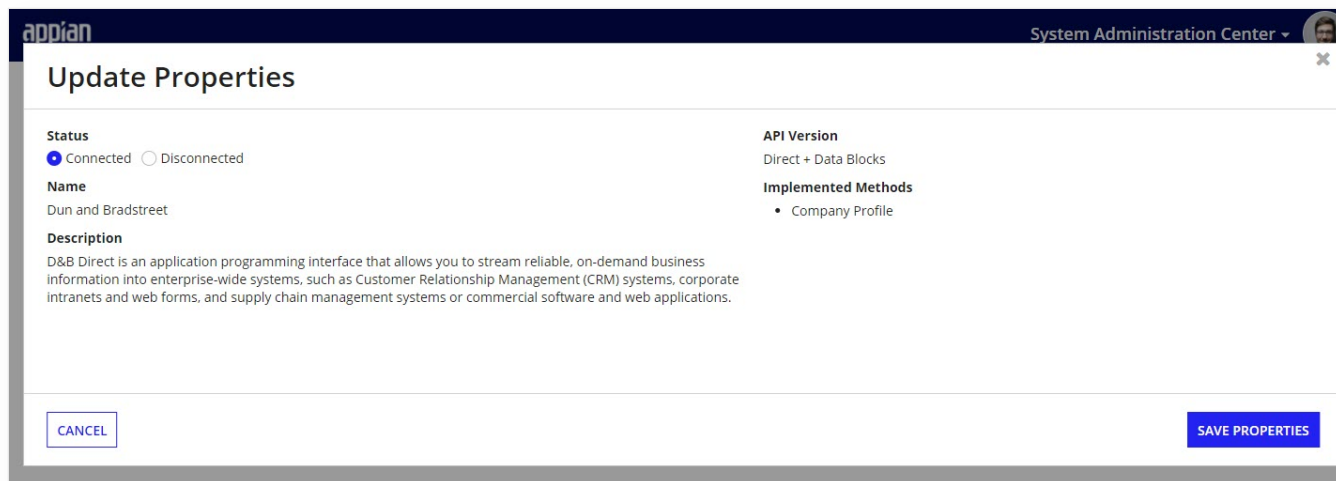


The refresh button is disabled if the Dun & Bradstreet integration is disconnected or a DUNS number is not saved, but a user can search for the DUNS number using the **GET DUNS NUMBER** button on the customer record.



## Updating Dun & Bradstreet properties

From the **System Administration Center**, a user can determine whether or not the Dun & Bradstreet integration is connected. When Dun & Bradstreet is disconnected a user will not be able to use Dun & Bradstreet to gather or refresh the beneficial owners.



To update the Dun & Bradstreet properties:

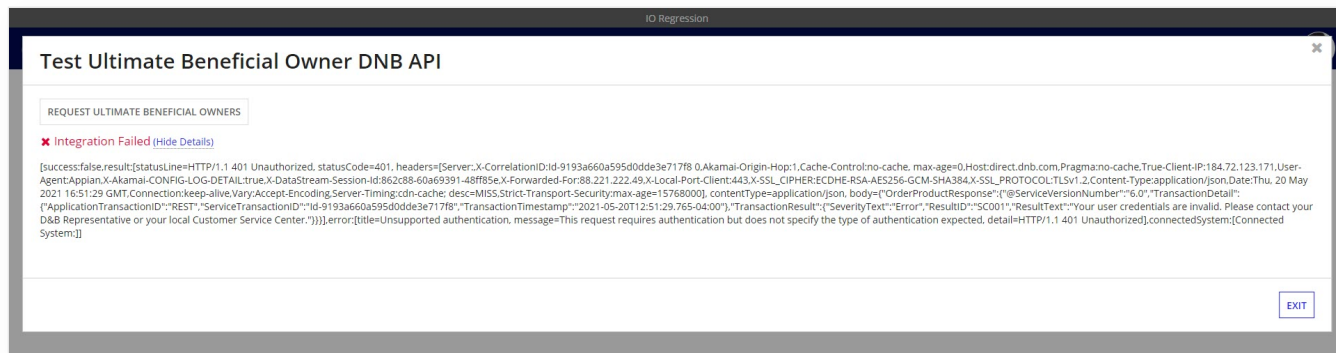
1. From the [System Administration Center](#), click **Integrations**.
2. Select Dun & Bradstreet on the left hand navigation pane.
3. Click **UPDATE PROPERTIES**.
4. Update **Status**.
5. Click **SAVE PROPERTIES**.

## Testing Dun & Bradstreet integration

If you suspect that the Dun & Bradstreet integration is not working, you can test to see from the **System Administration Center**.

To test the Dun & Bradstreet connection:

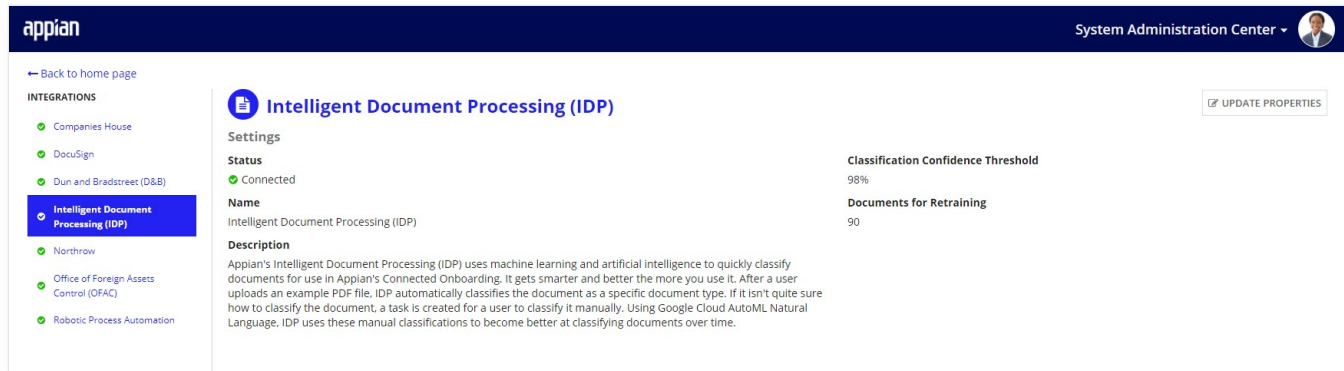
1. From the [System Administration Center](#), click **Integrations**.
2. Select Dun & Bradstreet on the left hand navigation pane.
3. Click **TEST INTEGRATION**.
4. Click **REQUEST ULTIMATE BENEFICIAL OWNERS**.
  - You are able to see what is returned, either **Integration Successful** or **Integration Error**.
  - You are also able to see the Dun & Bradstreet service response details.



If both of these tests work, the service is up and connecting properly.

## Integrating with IDP

Appian's Connected KYC application includes automated document classification powered by Appian's Intelligent Document Processing (IDP). This process is used to help save users time by automatically classifying the types of documents that are uploaded to Connected KYC. Using IDP is optional and requires some minimal configuration in both the Connected KYC Settings and [System Administration Center](#) sites after the prerequisites are complete.



## Prerequisites

In order to use this functionality as shipped, make sure that Google Cloud is set up.

### Google Cloud set up for Appian AI customers

If you have opted in to being an Appian AI customer, contact your Appian technical contact administrator. The technical contact will have received the service account credentials, bucket names, and region information in the License Management site on Appian Community.

Your technical contact administrator is listed on the [Accounts](#) page on Community, under Administrators. Note that you must be registered with your company on [Community](#) to access this site.

### Google Cloud set up for Non-Appian AI customers

If you have purchased Google Cloud separately, follow these steps to set up AutoML Natural Language and create your Google Service Account and key.

AutoML Natural Language and Document AI can share Google service accounts (for authentication) and storage buckets (for prediction and extraction).

To set up Google Cloud AutoML Natural Language:

1. **Create or select project:** As the Project Owner, log in to the [Google Cloud console](#) and select an [existing project](#) or [create a new project](#).
2. **Enable billing:** Ensure that [billing is enabled](#) for your project.
3. **Enable APIs:** [Enable](#) the Cloud AutoML API, Google Cloud Storage JSON API, and Cloud Document AI API.
4. **Create storage buckets:** [Create Cloud Storage buckets](#) that follow the [bucket requirements](#) to store the AutoML Natural Language files:
  - For us-central1:
    - Location type: Region
    - Location: us-central1
    - Storage class: Standard (sometimes displayed in the Cloud Storage browser as Regional)
  - For eu:
    - Location type: Multi-region
    - Location: eu
    - Storage class: Standard (sometimes displayed in the Cloud Storage browser as Multi-Regional)

You may choose to have two buckets: one for the training documents and one for the prediction documents. Or, you can use the same storage bucket for both. If you use two buckets, then they must be in the same regional location.

To create your Google Service Account and key:

1. Create a [Google Service Account](#) in the Google Cloud Console with AutoML Admin and Storage Admin permissions
2. [Create the service account key](#) and save the file as a JSON document.

## Updating IDP specific constants

You will need update the constants to match your configuration from your Google Cloud set up.

Constants to update from Appian Designer are:

1. AS\_FS\_IDP\_CLOUD\_REGION - value should be your Google Cloud region.
2. AS\_FS\_IDP\_CLOUD\_PROJECT\_ID - value should be your Google Cloud project ID.
3. AS\_FS\_IDP\_AUTOML\_CLOUD\_BUCKET - value should be your Google Cloud Auto ML bucket.
4. AS\_FS\_IDP\_STORAGE\_CLOUD\_BUCKET - value should be your Google Cloud storage bucket.

## Updating the connected system (only EU storage buckets)

If your storage bucket is in the eu multi-region, you will need to update the compute region for two of the connected systems.

To update the connected systems:

1. From **Appian Designer**, open the AS FS IDP Google Cloud AutoML connected system.
2. Update the **Compute Region** to eu.
3. Open the AS FS IDP Google Cloud Storage connected system.
4. Update the **Compute Region** to one of the Europe regions. These region options start with europe-.

## Document classification with IDP process overview

When a user uploads a document in Connected KYC, the system:

1. Checks if IDP is turned on.
2. Determines if the document uploaded matches an uploaded example document.
3. Assigns matching example document type to the uploaded document and determines **TYPE CONFIDENCE** level.
4. If a **TYPE CONFIDENCE** level is below the **CONFIDENCE THRESHOLD**, a document reconciliation task is assigned to a user.
  - **Note:** the **CONFIDENCE THRESHOLD** can be [changed](#).

If IDP is not turned on, users will need to manually select **DOCUMENT TYPE** for an uploaded document.

## Updating IDP Properties

There are several IDP properties users can update from the **System Administration Center** including:

1. **Status:** Whether or not IDP is connected.
  - **Note:** When IDP is disconnected a user will not be able to add classification files for document types.
2. **Classification Confidence Threshold:** The percentage of confidence that the data must meet when it is extracted from a document. If it doesn't meet this threshold, the value will not be automatically populated. During the reconciliation task, a user will need to provide the value.
  - **Tip:** As with the classification threshold, a higher confidence percentage will increase auto-extraction accuracy, but it will also increase the number of fields that need to be populated by the user.
  - **Note:** This will only show when IDP is connected.
3. **Documents for Retraining:** The number of documents that will need to be classified before triggering the retraining of the AI classification machine learning model. This enables the AI classification model to improve over time. A lower number allows the model to learn more quickly, but also increases the Google Cloud Platform costs. This could cause you to hit your Appian AI or Google account limits more quickly.
  - **Note:** This will only show when IDP is connected.



**Update Properties**

**Status** ⓘ  
☒ Connected ☐ Disconnected 1

**Name**  
 Intelligent Document Processing (IDP)

**Description**  
 Appian's Intelligent Document Processing (IDP) uses machine learning and artificial intelligence to quickly classify documents for use in Appian's Connected Onboarding. It gets smarter and better the more you use it. After a user uploads an example PDF file, IDP automatically classifies the document as a specific document type. If it isn't quite sure how to classify the document, a task is created for a user to classify it manually. Using Google Cloud AutoML Natural Language, IDP uses these manual classifications to become better at classifying documents over time.

**Classification Confidence Threshold** ⓘ\* 2  
 85  
 Enter an integer between 0 and 100

**Documents for Retraining** ⓘ\* 3  
 100  
 Enter an integer greater than or equal to 1

**CANCEL** **SAVE PROPERTIES**

To update the IDP properties:

1. From the **System Administration Center**, click **Integrations**.
2. Select **Intelligent Document Processing (IDP)** on the left hand navigation pane.
3. Click **UPDATE PROPERTIES**
4. Update either **Status**, **Classification Confidence Threshold**, or **Documents for Retraining**.
5. Click **SAVE PROPERTIES**.

Once your IDP properties are set, be sure to add classification files in the Connected KYC Settings site. If no classification files are updated, a **Document Reconciliation** task will be assigned for a user to manually select the **Document Type**.

## Integrating with Northrow

Appian's Connected KYC application includes the ability to display a customer risk score and show alerts generated by Northrow's customer profiles. Using Northrow is optional and requires some minimal configuration in both the [Connected KYC Settings](#) and [System Administration Center](#) sites after the Northrow prerequisite configuration is set up.

**appian** System Administration Center

← Back to home page

**INTEGRATIONS**

- Companies House
- DocuSign
- Dun and Bradstreet (D&B)
- Intelligent Document Processing (IDP)
- Northrow**
- Office of Foreign Assets Control (OFAC)
- Robotic Process Automation

**Northrow**

**Settings**

**Status**  
☒ Connected

**Name**  
 Northrow

**Description**  
 Northrow's single API solution enables your organization to digitally transform its client onboarding, compliance and monitoring processes.

**API Version**  
 v3.0

**Implemented Methods**

- Create a Company check
- Search check(s)

**Default Company Check Refresh Frequency (Days)** ⓘ  
 -

**Medium Risk Threshold** ⓘ  
 130

**High Risk Threshold** ⓘ  
 250

**TEST INTEGRATION** **UPDATE PROPERTIES**

## Prerequisites

If you would like to use the Northrow functionality during your Investigation, you must have a Northrow account and be able to retrieve your organization's credentials and profile unique IDs (UIDs).

Once you have your Northrow authentication information:

1. From Appian Designer, open the AS\_EI\_NORTHROW\_Bearer-Token-Connected\_System.
2. Enter **Organisation UID** and **Access Key**.
3. Click **SAVE**.
4. Open the AS\_EI\_NORTHROW\_TXT\_PROFILE\_UID\_COMPANY\_CHECK\_INTERNATIONAL constant.
5. Update the **Value** to your organizations international profile unique ID.
6. Click **SAVE**.
7. Open the AS\_EI\_NORTHROW\_TXT\_PROFILE\_UID\_COMPANY\_CHECK\_UK constant.
8. Update the **Value** to your organizations UK profile unique ID.
9. Click **SAVE**.

## Using the Northrow integration

When a customer is created, the Northrow integration is called using the company name and domicile to retrieve a company's risk score and any alerts about the customer. The risk score and alerts are displayed on the [customer](#) record.

When the Northrow company check is called, Northrow also provides a detailed risk score report. Once generated, the report is available for download from the **DOCUMENTS** tab of the customer record.

### Using Northrow tasks

Northrow's company check can also be included as a task in Investigation process configuration.


The task type is called **Northrow Risk Score Check**. When the task is triggered, Connected KYC will make an integration call to Northrow and update the customer record automatically. If there is an error connecting to or retrieving the results from Northrow, a follow up task will be opened. The Northrow error tasks are by default assigned to the Client Investigation group.

To [complete](#) the **Northrow Risk Score Error** tasks, the user can choose to either retry the Northrow check or to skip the risk score check entirely.

To complete the **Northrow Risk Score Error** task:

1. Select either **Yes - Retry** or **No - Do not retry**.
  - Selecting **Yes - Retry** will attempt to retrieve the risk score data from Northrow again. If the integration fails again, another **Northrow Risk Score Error** task will be opened.
2. Click **SUBMIT**.

### Retry Northrow Check?

 **Northrow check failed and did not return an error. If this behavior persists, please contact your administrator.**

You have the ability to retry the check or skip this task altogether. If you retry and another error is generated, you will receive another task.

☒ Yes - Retry

☐ No - Do not retry

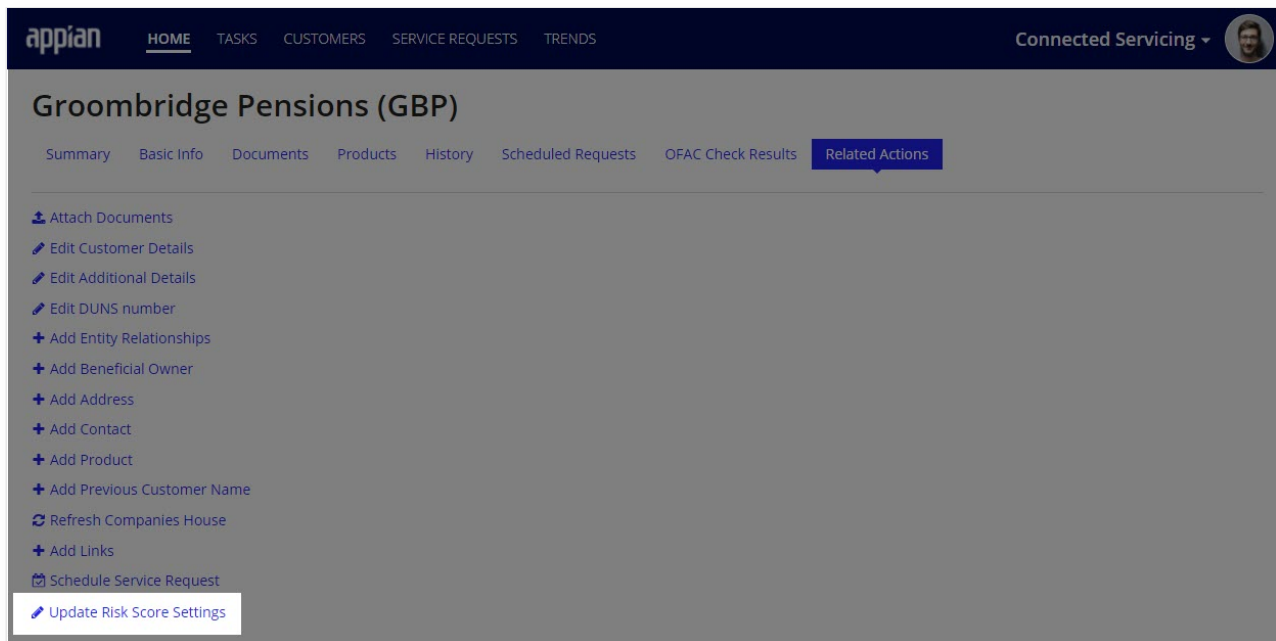
### Refreshing Northrow company check

Each customer can have their risk score refreshed automatically on a regular schedule or manually.

After a customer is created, a user can select whether or not to automatically refresh the Northrow company check.

To update the automatic Northrow check settings:

1. From the **Related Actions** tab on the Investigation record, Click **Update Risk Score Settings**.



2. Determine if you want the Northrow company check to refresh automatically.
3. If the answer to the previous question is **YES**, decide if the refresh should be the default refresh scheduled for this customer.
4. If the answer to the previous question is **NO**, determine the frequency of days that the refresh should take place on.

The screenshot shows the 'Update Risk Score Settings' form within the Appian interface. The form has a white background and is framed by a grey border. It contains three sections of questions. The first section asks 'Do you want to refresh Northrow Company Check automatically?' with radio buttons for 'Yes' (selected) and 'No'. The second section asks 'Do you want to refresh on the system default schedule of every 92 days?' with radio buttons for 'Yes' and 'No' (selected). The third section asks 'How often do you want to refresh the Northrow Company Check?' with a text input field containing the value '92'. At the bottom of the form, there are two buttons: 'CANCEL' on the left and 'SUBMIT' on the right.

A user can manually check for changes to the risk score or alerts from the customer record by clicking the refresh button. The refresh button is not available if the Northrow integration is disconnected..

## Updating Northrow properties

There are several Northrow properties users can update from the **System Administration Center** including:

1. **Status:** Whether or not Northrow is connected.
  - **Note:** When Northrow is disconnected a user will not be able to use Northrow tasks in the Investigation process, have flags triggered by Northrow, or refresh the risk score.
2. **Default Company Check Refresh Frequency (Days):** Determines the frequency at which a Northrow company check will be executed when the frequency is not set explicitly for an individual customer. When blank, no default checks will be initiated.
3. **Medium Risk Threshold:** The minimum risk score numerical value that will qualify a customer to be medium risk.
4. **High Risk Threshold:** The minimum risk score numerical value that will qualify a customer to be high risk.

To update the Northrow properties:

1. From the [System Administration Center](#), click **Integrations**.
2. On the left, select **Northrow**.
3. Click **UPDATE PROPERTIES**.
4. Update either **Status**, **Default Company Check Refresh Frequency (Days)**, **Medium Risk Threshold**, or **High Risk Threshold** available.
5. Click **SAVE PROPERTIES**.

## Testing the Northrow integration

If you suspect that the Northrow integration is not working, you can test to see if this integration is working from the **System Administration Center**.

To test the Northrow connection:

1. After accessing the [System Administration Center](#), click **Integrations**.
2. On the left, Select **Northrow**.
3. Click **TEST INTEGRATION**.
4. To check the connection to Northrow, click **CLICK TO REQUEST CHECK**.
  - o You are able to see what is returned either **Integration Successful** or **Integration Error**.
  - o You are also able to see the Northrow service response details.
5. To check that the data retrieval is working, click **CLICK TO RETRIEVE CHECK**.
  - o You are able to see what is returned either **Integration Successful** or **Integration Error**.
  - o You are also able to see the Northrow service response details.

If both of these tests work, the service is up and connecting properly.

# Configure Auditing for a New Field


## Introduction

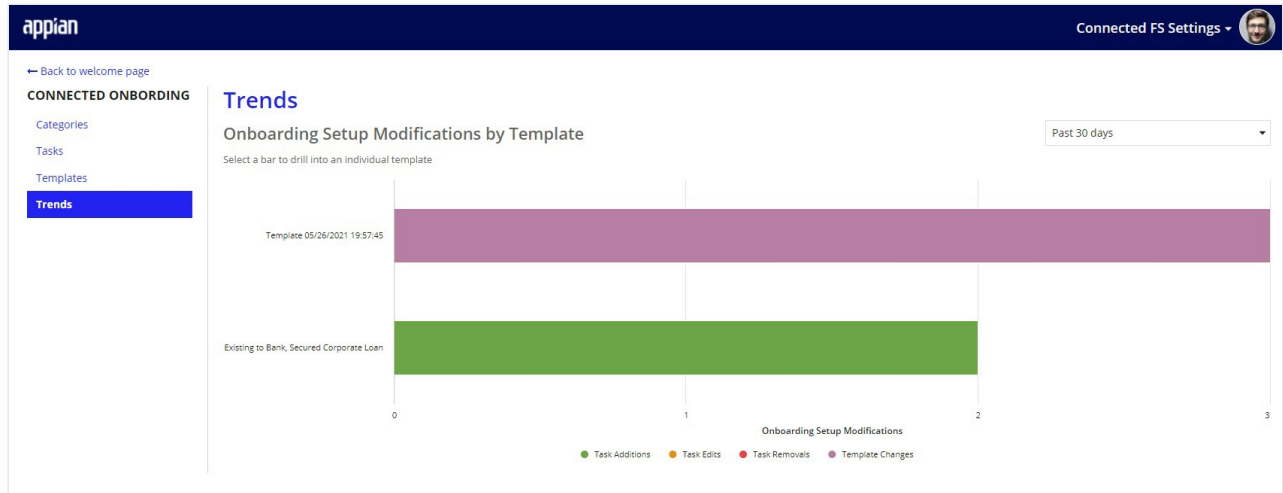
The Connected KYC solution includes an auditing process that allows you to audit Process Templates and specific field changes in a service request. Your business users can use this auditing process to track certain histories that may inform their decisions later on, including adding or removing a step in a process, modifying a template, or changing data.

Currently, the following changes are tracked:

- Updates to templates in the Connected FS Site.
- Updates to the funding details of an onboarding.

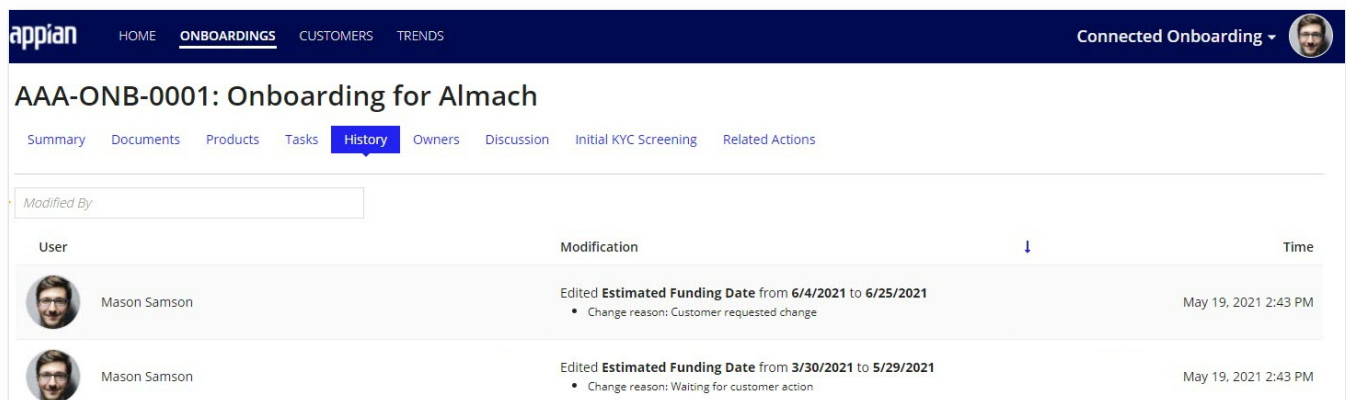
To view updates to templates made in the Connected FS Site:

1. From the **Connected FS Settings** site, click on **PROCESS**.
2. Click on **TEMPLATES**.
3. Click the  icon associated with the specific template you want to see the changes for.



To view the changes to funding details for an onboarding:

1. From the **Connected KYC** site, select the **Onboardings** tab.
2. Click on the name of the onboarding.
3. Go to the **History** tab.



The screenshot shows the Appian 'History' page for onboarding AAA-ONB-0001: Onboarding for Almach. The table shows two modifications by Mason Samson:

User	Modification	Time
Mason Samson	Edited <b>Estimated Funding Date</b> from 6/4/2021 to 6/25/2021 • Change reason: Customer requested change	May 19, 2021 2:43 PM
Mason Samson	Edited <b>Estimated Funding Date</b> from 3/30/2021 to 5/29/2021 • Change reason: Waiting for customer action	May 19, 2021 2:43 PM

We also track changes for the following fields that may be used later on in business decisions in the database:

- Categories
- Reference tasks
- An onboarding's primary owner

If a new field is added to an audited CDT, you will need to configure auditing for that field in order to start tracking it.

We currently track audits to the following CDTs:

- AS\_KYC\_R\_TaskCategory
- AS\_KYC\_R\_TaskRef
- AS\_KYC\_R\_Template
- AS\_KYC\_R\_TemplateTask
  - Nested array in AS\_KYC\_R\_Template
- AS\_KYC\_R\_TemplateTask\_Precedent
  - Nested array in AS\_KYC\_R\_TemplateTask

- AS\_KYC\_OnboardingRequest
- AS\_KYC\_OnboardingFundingDetails
  - Nested in AS\_KYC\_OnboardingRequest

AS\_IO\_R\_Template

SAVE CHANGES

Fields

Name	Type	Length	Array	Key			
templateId	Number (Integer)		<input type="checkbox"/>		↑	↓	×
templateName	Text		<input type="checkbox"/>		↑	↓	×
templateDesc	Text		<input type="checkbox"/>		↑	↓	×
templateTasks	AS_IO_R_TemplateTask		<input checked="" type="checkbox"/>		↑	↓	×
onboardingTypeCode	Text		<input type="checkbox"/>		↑	↓	×
regionCode	Text		<input type="checkbox"/>		↑	↓	×
slaDayType	Text		<input type="checkbox"/>		↑	↓	×
createdBy	Text		<input type="checkbox"/>		↑	↓	×
createdDatetime	Date and Time		<input type="checkbox"/>		↑	↓	×
modifiedBy	Text		<input type="checkbox"/>		↑	↓	×
modifiedDatetime	Date and Time		<input type="checkbox"/>		↑	↓	×

New Field

CDT Name	Expression Rule Name	Parameter to update
AS_KYC_R_TaskCategory	AS_KYC_ADT_BL_auditConfig_R_TaskCategory	<i>simpleFields</i>
AS_KYC_R_TaskRef	AS_KYC_ADT_BL_auditConfig_R_TaskRef	<i>simpleFields</i>
AS_KYC_R_Template	AS_KYC_ADT_BL_auditConfig_R_Template	top-level <i>simpleFields</i>
AS_KYC_R_TemplateTask	AS_KYC_ADT_BL_auditConfig_R_Template	<i>simpleFields</i> in the <code>fieldName</code> parameter where "templateTasks" is the value.
AS_KYC_R_TemplateTask_Precedent	AS_KYC_ADT_BL_auditConfig_R_Template	<i>simpleFields</i> in the "templateTaskPrecedents" structure
AS_KYC_OnboardingFundingDetails	AS_KYC_ADT_BL_auditConfig_OnboardingRequest	<i>simpleFields</i>
AS_KYC_OnboardingRequest	AS_KYC_ADT_BL_auditConfig_OnboardingFundingDetails	<i>simpleFields</i>

If you modify one of the CDTs or one of the associated child CDTs listed in the table, reexamine the configuration rule for the modified CDT to determine if it requires updating.

Auditing configuration for each CDT are stored in following rules:

- AS\_KYC\_ADT\_BL\_auditConfig\_< CDT Name >
- AS\_KYC\_ADT\_BL\_auditConfig\_R\_TaskCategory
- AS\_KYC\_ADT\_BL\_auditConfig\_R\_TaskRef
- AS\_KYC\_ADT\_BL\_auditConfig\_R\_Template
- AS\_KYC\_ADT\_BL\_auditConfig\_OnboardingRequest
- AS\_KYC\_ADT\_BL\_auditConfig\_OnboardingFundingDetails

## Setting up an audit

To audit a field in a CDT:

1. Open the CDT and choose the field you want to audit.
2. Find the expression rule associated with that CDT.
  - See table above for list of expression rules and their associated CDTs.
3. If you are auditing a parent CDT, update the top-level `simpleFields` parameter.
4. If you are auditing a nested CDT, update the `simpleFields` parameter within that nested value.

### EXAMPLE: Adding and auditing a new field

You may want to add **Customer Type** as [a new parameter to your service request templates](#) and then monitor any changes made. See Template Selection Attributes.

To add and audit the **Customer Type** field to a template:

1. Open the `AS_KYC_ADT_BL_auditConfig_R_Template` expression rule.
2. Add the new `customerType` field to the `AS_KYC_R_Template` CDT.
  - See the table above for associated expression rules and CDTs.
3. Add the `customerType` field to the `simpleFields` array.
4. Save your changes.

```
1  /*
2  Audit config for
3  'type!{urn:com:appian:types:AS:KYC}AS_KYC_R_Template'
4  */
5  {
6    idField: "templateId",
7    simpleFields: {
8      /*"templateId", excluded since it is the primary key*/
9      "templateName",
10     "templateDesc",
11     !  "customerType",
12     /*"templateTasks", excluded since it is tracked in complexFields*/
13     "onboardingTypeCode",
14     "regionCode",
15     /*"createdBy", no need to track changes to this*/
16     /*"createdDatetime", no need to track changes to this*/
17     /*"modifiedBy", no need to track changes to this*/
18     /*"modifiedDatetime" no need to track changes to this*/
19   },
20   ...
21 }
```

### EXAMPLE: Adding and auditing a new field in a nested array

Adding and auditing a new field in a nested array can be a complex set of steps. For example, if you want to add and track SLA Days in the `AS_IO_R_TemplateTask` CDT, which is nested in the `AS_KYC_R_Template` CDT, you will need to do the following:

1. Open the associated `AS_KYC_ADT_BL_auditConfig_R_Template` expression rule.
2. Locate the *fieldName* templateTasks inside the *complexFields* array.
3. Locate the *simpleFields* array.
4. Add the "slaDays" field to the array.
5. Save your changes.



```

1  /*
2  Audit config for
3  'type!{urn:com:appian:types:AS:KYC}AS_KYC_R_Template'
4  */
5  {
6      idField: "templateId",
7      simpleFields: {
8          /*"templateId", excluded since it is the primary key*/
9          "templateName",
10         "templateDesc",
11         /*"templateTasks", excluded since it is tracked in complexFields*/
12         "onboardingTypeCode",
13         "regionCode",
14         /*"createdBy", no need to track changes to this*/
15         /*"createdDatetime", no need to track changes to this*/
16         /*"modifiedBy", no need to track changes to this*/
17         /*"modifiedDatetime" no need to track changes to this*/
18     },
19 },
20 complexFields: {
21     {
22         fieldName: "templateTasks",
23         auditFieldName: "templateTasksChanges",
24         idField: "templateTaskId",
25         simpleFields: {
26             /*"templateTaskId", excluded since it is the primary key*/
27             /*"templateId", excluded since it is the foreign key to the parent*/
28             "taskRef.taskRefId",
29             "groupAssignee",
30             "taskDesc",
31             /*"templateTaskPrecedents", excluded since it is tracked in complexFields*/
32             !    "slaDays"
33         },
34     ...

```

# Migrating Data

## Introduction

After installing Connected Onboarding, you may need to migrate data from your organization's systems. This process is generally very unique and has its own nuances that depend on many factors.

This page provides general guidelines to help you migrate data from customers, documents, and products.

## Migrating customer data

To migrate data from customers:

1. Import the data into the AS\_FS\_CUSTOMER table.
2. Create a document folder for each customer. In the FOLDER\_ID column of the AS\_FS\_CUSTOMER table, store the ID of this document folder.

The remaining fields should be self-explanatory.

## Migrating documents

To migrate documents:

1. Create an Appian document for each document you are migrating.
2. Store this document in the document folder for the customer that the document is associated with.
3. Import the document metadata into the AS\_FS\_CUSTOMER\_DOCUMENT table.
4. In the FOLDER\_ID column of the AS\_FS\_CUSTOMER\_DOCUMENT table, store the ID of the customer's document folder.



The remaining fields should be self-explanatory.

## Migrating account data

Only migrate data into the accounts table if accounts are parents to products.

The AS\_IO\_Account\_P CDT is a parent to the following children CDTs:

- AS\_IO\_Product\_C
- AS\_IO\_Term
- AS\_IO\_Country

When you migrate account data, you will also need to update the tables related to these CDTs.

To migrate account data:

1. Import the data into the AS\_IO\_ACCOUNT table.
2. Import the related data into the following tables:
  - AS\_IO\_ACCOUNT
  - AS\_IO\_TERM
  - AS\_IO\_COUNTRY

## Migrating product data

Only migrate data into the product table if products are parents to accounts.

The AS\_IO\_Product\_P CDT is a parent to the following children CDTs:

- AS\_IO\_Account\_C
- AS\_IO\_Term
- AS\_IO\_Country
- AS\_IO\_Fee
- AS\_IO\_Currency
- AS\_IO\_ApprovedContact
- AS\_IO\_PayThreshold

When you migrate product data, you will also need to update the tables related to these CDTs.

To migrate product data:

1. Import the data into the AS\_IO\_PRODUCT table.
2. Import the related data into the following tables:
  - AS\_IO\_ACCOUNT
  - AS\_IO\_TERM
  - AS\_IO\_COUNTRY
  - AS\_IO\_FEE
  - AS\_IO\_CURRENCY
  - AS\_IO\_APPROVED\_CONTACT
  - AS\_IO\_PAY\_THRESHOLD

# Adding a New Task Type

## Adding a new task type

Task types control what type of interface the user will see when completing a task. In order to add a new custom user input task, integration, or kick off an RPA process, you need to add a new task type. Once added, the new task type will be able to added to workflow templates and .

### SYSTEM

#### What it is

This type of configuration is generally for automated tasks that can only be kicked off from a process model.

### **When you would use it**

You would use this type of task when:

- You want the task to be automatically kicked off using a process model.

And when an end user would never need to add this type of task:

- To the task library in FS Settings.
- As a custom task when completing the Process Setup task.
- As a custom task from the Home page or as a related action.

### **Example**

After a user creates a new Investigation, the task is automatically kicked off using a process model. However, end users do not have access to add this type of task when adding a default task to the task library or when adding a custom task to an Investigation.

## **TEMPLATE**

### **What it is**

This type of configuration is for tasks that you want to be available to FS Settings users for use in Investigation templates, but you don't want to be available to regular users when adding a custom task to an Investigation.

### **When you would use it**

You would use this type of task when you want the task:

- To be automatically kicked off using a process model.
- To be added to the task library in FS Settings.

And when an end user would never need to add this type of task:

- As a custom task when completing the process setup task.
- As a custom task from the Home page or as a related action.

### **Example**

Out of the box, there are no tasks with this configuration.

## **AD\_HOC**

### **What it is**

This type of configuration is for tasks that would be sent out by client onboarders from the Home page or as a related action. When sent out like this, the onboarder is kicking off the task right away, rather than waiting for the task to be kicked off by a precedent or a process model.

### **When you would use it**

You would use this type of task when you want the task:

- To be automatically kicked off using a process model.
- To be added to the task library in FS Settings.
- To be available as a custom task when completing the Process Setup task.
- To be available as a custom task from the Home page or as a related action.

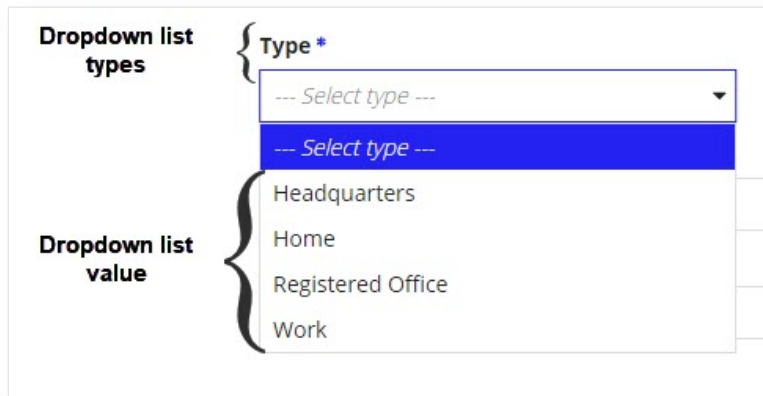
### **Example**

Review task - Can be added as a new task in the task library, as a custom task during the Process Setup task, or as a custom task from the Investigation record.

# **Modifying Dropdown Lists**

# Introduction

The Connected KYC solution is designed to be customized to your organization's particular needs. The various interfaces in the out-of-the box solution contain dropdown lists. Some dropdown values such as , a business user can change in the Connected FS Settings Site. However, if you need to modify a dropdown field that is not accessible through Connected FS Settings, you can modify the values by modifying reference data tables. For example, you can add or delete values that display in the Address Type dropdown list.



This page outlines how to modify the values that can be chosen from dropdown lists in the various interfaces of the Connected KYC solution.

- If you need to add a value to a particular dropdown list, add a row to the reference data table. See the [Adding new dropdown values](#) section.
- If you need to remove a value from a dropdown list, deactivate the value in the reference data table. See the [Deactivating a dropdown value](#) section.
- If you want to add a new dropdown list, create a new dropdown list type in the reference data table. See the [Adding a new dropdown list](#) section.
- If you are using the solution in multiple languages, see the nuances of this in the [Internationalizing dropdown list values](#) section.

See the [Reference Data Tables](#) page for descriptions of the table structures.

## Adding new dropdown values

Dropdown values that cannot be set in the Connected FS Settings site are stored in the AS\_KYC\_R\_DATA table. Updating this table allows you control what dropdown values and lists display to end users moving through the Investigation process. See the [Connected KYC only reference data table](#) on the Reference Data Tables page for a description of the table structure.

To add a value to a dropdown list:

1. Insert a new row into the AS\_KYC\_R\_DATA table.
2. Update each column with the following information:
  - R\_DATA\_ID: This is the primary key of the reference value.
    - **Note:** To avoid conflicts when upgrading to a newer version of the solution, the first 100,000 rows of this table are reserved for future use by the Appian Connected KYC product team.
    - **Note:** When adding a new row to this table, leave this value as NULL. There is a default AUTO\_INCREMENT setting on this table, so that any new rows you insert with a NULL primary key will begin at 100,000 and increment from there.
  - LABEL: The new bundleKey value you will reference in your bundle file.
  - TYPE: A grouping category for the dropdown values; a name for the dropdown list.
    - **Note:** The label for a dropdown list is defined in a [bundle file](#), so this isn't necessarily the same as the label for a dropdown list.
  - CODE: The dropdown list type with a descriptive suffix.
  - SORT\_ORDER: Optional field that can be used specifying sort order
    - **Note:** Queries will have to be updated to query against this column for this to be implemented
  - ICON: Optional field that can be used to specify icon for this entry
  - COLOR: Optional field that can be used to specify color for the icon
  - IS\_ACTIVE: true (1)
  - CREATED\_BY: Your Appian username.

- `CREATED_DATETIME`: The current timestamp, in the format YYYY-MM-DD HH:MM:SS.
- `MODIFIED_BY`: Your Appian username.
- `MODIFIED_DATETIME`: The current timestamp, in the format YYYY-MM-DD HH:MM:SS.

After the row is inserted, this value will be available in any of the dropdown lists that have the same reference TYPE as the value you inserted.

## EXAMPLE

To add a new dropdown value, you could use the following SQL statement, replacing the values in brackets (<>) with your data. Note that this example uses MySQL syntax.

```
1 INSERT INTO `AS_KYC_R_DATA` (`R_DATA_ID`, `LABEL`, `TYPE`, `CODE`, `IS_ACTIVE`, `CREATED_BY`, `CREATED_DA
2 VALUES (null, '<New Label>', '<Type>', '<Code>', 1, '<Username>', CURRENT_TIMESTAMP(), '<Username>', CURR
3 (null, '<New Label>', '<Type>', '<Code>', 1, '<Username>', CURRENT_TIMESTAMP(), '<Username>', CURRENT_TIM
```

## Deactivating a dropdown value

If there is a value in a dropdown list that is no longer needed, deactivate the value by changing the `IS_ACTIVE` value in the `AS_KYC_R_DATA` from 1 (true) to 0 (false).

Deactivating an Investigation status or task status is not recommended, as it will negatively affect other aspects of the solution.

After the update is made, this value will no longer display in any dropdown list. The value will still display for already active and historical data.

Deleting data from the table is not recommended except during initial set up. If the solution is already in use, deleting data rather than deactivating it may cause issues.

## EXAMPLE

To deactivate a dropdown value, you could use the following SQL statement. Replace <ID Being Updated> with the `R_DATA_ID` value. For example, to deactivate the **FEE\_RATE\_MONTHLY** in the following example table, <ID Being Updated> with the `R_DATA_ID` value.

R_DATA_ID	LABEL	TYPE	CODE	IS_ACTIVE
24	FeeRate.lbl_Annual	Fee Rate	FEE_RATE_ANNUAL	1
25	FeeRate.lbl_Monthly	Fee Rate	FEE_RATE_MONTHLY	1

Note that this example uses MySQL syntax.

```
1 UPDATE AS_KYC_R_DATA SET IS_ACTIVE = 0 WHERE R_DATA_ID = <ID Being Updated>
```

## Adding a new dropdown list

If you want to add a new dropdown list, you need to create a new dropdown list type.

There are two main steps to add a new dropdown list:

1. Add a new row to the `AS_KYC_R_DATA` table. See [Adding new dropdown values](#) for instructions on how to add new rows.
  - For the value in the `TYPE` column, enter a name for the new dropdown list, such as *Entity Region*.
  - For the value in the `CODE` column, enter a short prefix to associate with the new dropdown list type, along with a number to give it a unique identifier. For example, *ENTITY\_REGION\_ASIA*.

2. Create a constant in the application to be able to query this from the database. See [Using a new dropdown list in the application](#) for instructions on how to set this up.

## Using a new dropdown list in the application

After a new dropdown list type has been added to the AS\_KYC\_R\_DATA table, it will need a constant to point to it in order to be used in interfaces.

After the dropdown list constant has been created, the list is ready to be used by the AS\_KYC\_QE\_getRefDataByType rule. This rule pulls all of the reference data onto the interface that needs a reference value. AS\_KYC\_QE\_getRefDataByType takes in typelist—an array of text—corresponding to the type values in the database you need to use.

### EXAMPLE

To pull in the Fee Rate or Entity Type dropdown lists, you would use the rule as shown below:

```
1 local!refData: rule!AS_KYC_QE_getRefDataByType(  
2   typelist: {  
3  
4   }  
5 )
```

As shown in the example, you can pass in either text or a constant of type text with the corresponding dropdown list type.

Remember that AS\_KYC\_QE\_getRefDataByType is a query. In order to minimize the number of queries, it is best practice to avoid calling your reference data in sub-interfaces. Instead, query for all of the reference data on the main form and pass it to the sub-interfaces using rule inputs.

## Internationalizing dropdown list values

If you are using Connected KYC in multiple languages, the reference data needs to be internationalized in order to show the user the dropdown values in their native language.

To do so, you will only need one entry in the AS\_KYC\_R\_DATA table for each value, but you will need to have a bundle (or document file) based on the default language that the user has selected.

The LABEL column of AS\_KYC\_R\_DATA will act as a key for the application to show the proper label based on which bundle is selected. The LABEL consists of <bundleName>.<labelName>.

### EXAMPLE

For example, the LABEL FeeRate.lbl\_Annual has a bundle called FeeRate and a label name lbl\_Annual.

R_DATA_ID	LABEL	TYPE	CODE	IS_ACTIVE
23	FeeRate.lbl_Annual	Fee Rate	FEE_RATE_ANNUAL	1

The FeeRate\_en\_US bundle will show the following:

```
1 ...  
2 lbl_Annual=Annual  
3 lbl_Monthly=Monthly  
4 ...
```

The FeeRate\_es bundle will show the following:

```
1 ...  
2 lbl_Annual=Anual  
3 lbl_Monthly=Mensual  
4 ...
```

Both dropdown values use the same LABEL to reference the correct translation.

After the additional translations are in the bundle, end users will be able to view the dropdown values in their native language.

If you are adding a new language, you will also need to update the labels in the application to use the language. See the [Solution Customization Suite User Guide](#) for how to do this.

## Other reference data tables

There are several other tables that contain reference data that appear in lists. The information stored in these tables are universal and shouldn't change often. However, if you ever have to change the list of countries, currencies, industry classification codes, or states, refer to the below tables.

- AS\_FS\_R\_COUNTRY
  - A list of countries
- AS\_FS\_R\_CURRENCY
  - A list of currencies
- AS\_FS\_R\_GLOBAL\_INDUSTRY\_CLASS
  - Industry classification codes and names
- AS\_FS\_R\_M\_CURRENCY
  - A mapping of currencies to countries
- AS\_FS\_R\_STATE
  - A list of US states

# Modifying Groups

## Introduction

When adding users to Appian Connected KYC, they initially won't have access to see or do much in the solution. In order to give them access to the information and actions that they need to do their jobs, you must add them to the appropriate groups.

Connected KYC comes with default groups that make it easy to grant the appropriate access to users. The solution uses business groups that represent the different business roles that will interact with the solution. For example, **KYC investigator** and **Sales Department Heads**. These business groups are members of security and wrapper groups, which grant access to different parts of the solution, such as starting a new Investigation or viewing account information.

By placing users into the business groups, the solution automatically assigns them the appropriate access for their business role. To understand what groups to put users in depending on the actions that they need to perform, see [Actions users can perform based on their group membership](#) on the Groups Reference Page. This page also gives more information on what business groups belong to which security and wrapper groups.

When you are setting up the solution, you will need to understand what business roles are required for your organization and modify the groups to fit your organization. You will also need to add users to the appropriate groups. This page outlines how to do both.

## Modifying group membership

To give users appropriate access to Connected KYC, you must first add them to the necessary business and security groups. Generally, it is a best practice to only place users inside of business groups, not security groups. However, there are some security groups where it is preferable to grant membership to individual users.

For example, the **AS FS Manage Processes** security group grants access to the Connected FS Settings site and allows users to modify Investigation processes. Since Connected FS Settings is an administrative page, you may want to control access on an individual user level. For example, rather than giving access to all users in the KYC investigator group, you may want to limit it to a couple of individuals. In this case, you would add users to the security group, instead of adding a business group to the security group.

You can manage group membership either manually or automatically.

### Manually modifying membership

Modifying group membership can be done from two places in Connected KYC: the Connected FS Settings site and Appian Designer.

Business users can use the Connected FS Settings site to modify users in business groups. See [Managing Group Membership](#) for instructions on how to do this.

Administrators can also use Appian Designer to manage group membership. See [Group Management](#) for more information on this. However, Appian highly recommends that you use the Connected FS Settings site to manage all group memberships. Using Appian Designer to update group membership for Connected KYC may cause unwanted visibility changes or security vulnerabilities.

## Automatically syncing group membership

You can also configure an Appian process model to run periodically, typically nightly, which can automatically add users to different groups. This is typically hooked into an LDAP integration to ensure the LDAP system is what actually controls user access to groups. See the [LDAP Synchronization](#) Playbook article for more information about setting this up.

Syncing with LDAP would likely overwrite group memberships that were set using the Connected FS Settings site.

If you implement automatic syncing, you have two options:

- You can leave the Groups & Users section of Connected FS Settings visible to end users so that they can use it to grant access right away, without waiting for the sync. If you choose this option, make sure that end users know that they need to make changes in the LDAP system as well as Connected KYC and that their changes in Connected KYC will be overwritten by the changes to the LDAP system.
- You can hide the Groups & Users section of Connected FS Settings by not adding any users to the **AS IO GM Manage Group Membership** group. This is the group that grants access to that section of the site.

## Adding new business groups

If your organization has different business roles that the default business groups don't cover, you can create additional groups using Appian Designer.

To add a new business group:

1. [Create a business group](#) for the new business role.
  - Set the **Visibility** to **Public (everyone)**. This will allow users to select the group in pickers in the application.
  - Set the appropriate **Parent Group**. Reference an existing business group to see how this is configured.
2. Add the group to the proper wrapper and security groups so users will be given the appropriate access to the application functionality.
3. [Add users](#) to the group.

## Adding new security groups

If you configure additional functionality in the application, such as adding new records or related actions, it is recommended that you create a security group. Learn more about [object security](#).

For example, the **AS FS Create or Update Customer** process model has associated security groups called **AS FS Create Customer** and **AS FS Update Customer**.

To add a new security group for an object:

1. [Create a security group](#) for the new Appian object.
  - Set the **Visibility** to **Personal (only admins)**. This makes sure that users will not be able to select this group from pickers in the application.
2. Make the new security group a viewer on the Appian object.
3. Add the appropriate business groups to the security group to give them access to the new functionality.

# Modifying Key Dates

## Introduction

Task due dates allow the Connected KYC solution to quantitatively measure if Investigations and their associated tasks are being completed on time. Further details and data about task due dates across an institution are displayed on the Reports tab.

By default, task due dates are calculated based on a KYC investigation's target completion date. This is set by the business owner in the [Connected FS Settings](#) site. A task's due date may also be calculated based on other associated due dates for that Investigation.

## Adding a key date

The examples in this section will follow adding After Created Date as a key date option.

Task Due Date			
5	days	After Created Date	✖
5	days	After Created Date	✖
		After Actual Funding Date	
5	days	Before Funding Date	✖

### Step 1: Add a new key date rule to the database

Add a new row in the AS\_KYC\_R\_DATA table with the following attributes:

- LABEL: The bundle label key
- TYPE: SLA Rule Type
- CODE: SLA\_RULE\_TYPE\_NEW\_KEY\_DATE
- IS\_ACTIVE: true (1)
- CREATED\_BY: Your Appian username.
- CREATED\_DATETIME: The current timestamp, in the format YYYY-MM-DD HH:MM:SS.
- MODIFIED\_BY: Your Appian username.
- MODIFIED\_DATETIME: The current timestamp, in the format YYYY-MM-DD HH:MM:SS.

#### EXAMPLE

```
1 INSERT INTO `AS_KYC_R_DATA` (`R_DATA_ID`, `LABEL`, `TYPE`, `CODE`, `SORT_ORDER`, `ICON`, `COLOR`, `IS_ACTIVE`, `CREATED_BY`, `CREATED_DATETIME`, `MODIFIED_BY`, `MODIFIED_DATETIME`)
2 VALUES (NULL, 'SLARuleType.lbl_AfterCreatedDate', 'SLA Rule Type', 'SLA_RULE_TYPE_AFTER_CREATED_DATE', NU
```

### Step 2: Create a constant for the new SLA rule

Create a new constant that's value is the code from the row in the database you added to AS\_KYC\_R\_DATA in [Step 1](#).

#### EXAMPLE

Create a constant called AS\_KYC\_ENUM\_SLA\_RULE\_AFTER\_CREATED\_DATE with the value: SLA\_RULE\_TYPE\_AFTER\_CREATED\_DATE.

### Step 3: Update the bundle file

Open the SLARuleType bundle file in each language and add the labelKey in that you added to the AS\_KYC\_R\_DATA in [Step 1](#).

#### EXAMPLE

```
1 lbl_BeforeFundingDate=Before Funding Date
2 lbl_AfterFundingDate=After Actual Funding Date
3 !lbl_AfterCreatedDate=After Created Date
```

### Step 4: Update the rule to calculate due dates



Open up the rule AS\_KYC\_BL\_calculateTaskDueDateFromSlaDays and add to the conditional if() statement the logic needed for the new key date and add the new date as a rule input.

## EXAMPLE

### AS\_KYC\_BL\_calculateTaskDueDateFromSlaDays Rule

```
1  if(  
2    or(  
3      rule!AS_CO_UT_isBlank(  
4          ri!slaDays  
5      ),  
6      rule!AS_CO_UT_isBlank(  
7          ri!fundingDate  
8      ),  
9      rule!AS_CO_UT_isBlank(  
10         ri!createdDate  
11     )  
12 ),  
13 null,  
14 if(  
15     ri!slaRule = cons!AS_KYC_ENUM_SLA_RULE_BEFORE_EST_FUNDING_DATE,  
16     if(  
17         ri!slaDayType = cons!AS_KYC_ENUM_SLA_DAY_TYPE_BUSINESS_DAYS,  
18         workday(  
19             ri!fundingDate,  
20             - ri!slaDays  
21         ),  
22         /*default is calendar days*/  
23         ri!fundingDate - ri!slaDays,  
24     ),  
25     if(  
26         ri!slaRule = cons!AS_KYC_ENUM_SLA_RULE_AFTER_CREATED_DATE,  
27         if(  
28             ri!slaDayType = cons!AS_KYC_ENUM_SLA_DAY_TYPE_BUSINESS_DAYS,  
29             workday(  
30                 ri!createdDate,  
31                 - ri!slaDays  
32             ),  
33             /*default is calendar days*/  
34             ri!createdDate - ri!slaDays,  
35         ),  
36         if(  
37             ri!slaDayType = cons!AS_KYC_ENUM_SLA_DAY_TYPE_BUSINESS_DAYS,  
38             workday(  
39                 ri!fundingDate,  
40                 + ri!slaDays  
41             ),  
42             /*default is calendar days*/  
43             ri!fundingDate + ri!slaDays,  
44         )  
45     )  
46 )  
47 )  
48
```

## Step 5: Add the new rule input to all dependent rules

Add new rule input to the two rules that AS\_KYC\_BL\_calculateTaskDueDateFromSlaDays is dependent on and then pass in the appropriate logic.

The rules to update are:

1. AS\_KYC\_CDT\_mapTemplateTaskToRuntimeTask
2. AS\_KYC\_UT\_updateTasksDueDate

## EXAMPLE

## AS\_KYC\_CDT\_mapTemplateTaskToRuntimeTask Rule

```
1  ...
2  modifiedDatetime: null,
3  dueDate: rule!AS_KYC_BL_calculateTaskDueDateFromSlaDays(
4    slaDays: ri!templateTask.slaDays,
5    slaRule: ri!templateTask.slaRule,
6    fundingDate: ri!request.fundingDetails.estFundingDate,
7    slaDayType: ri!template.slaDayType,
8    createdDate: todate(ri!request.createdDatetime)
9  ),
10 slaDays: ri!templateTask.slaDays,
11 slaRule: ri!templateTask.slaRule
12 )
```

## Removing a key date

To remove a key date from the dropdown list in Connected FS Settings, update the 'isActive' column to false (0) in the AS\_KYC\_R\_DATA table for the corresponding row.

# Modifying OFAC Integration

## Introduction

Some modifications to the OFAC integration require more changes than what is provided in the **System Administration Center**. These changes include:

- [Changing the search parameters](#).
- [Saving more information from OFAC](#).
- [Changing the number of times the integration tries to connect to OFAC](#).

To learn about setting up and using the OFAC integration, see [Manage OFAC Integration](#).

## Changing the search parameters

If a fuzzy name match on the customer's name is not specific enough or you would like to include more attributes of the customer in the search, create a new integration.

See the [Trade.gov website](#) for the available consolidated screening search parameters.

To change the search:

1. If you want to use customer information that isn't included in the default solution, add the fields to the associated customer data types (CDT) and database tables. See [Modifying Record Fields](#) for more information.
  - **Note:** If you want to save different results, see [Saving more information](#).
2. Create a [new integration](#) using the AS FS Trade.gov Consolidated Screening connected system.
3. [Update the integration](#) in the AS FS CS Integration process model.
4. Update the integration in the rule!AS\_FS\_CS\_UT\_queryAndMapScreeningResults expression rule.
5. If different results are returned or they are returned in a different style, update the AS\_\_GRD\_consolidatedScreeningCheckResultsGrid, AS\_\_CPS\_reviewConsolidatedScreeningCheckTask\_Results, and AS\_\_CPS\_reviewConsolidatedScreeningCheckTask interfaces and the AS\_FS\_CS\_UT\_mapResultsSources expression rule.

## Saving more information

Each time the integration is called, the following information is stored in the AS\_FS\_CS\_RESULT table:

- Record ID (from the application) of the that the search was performed for.
- Recored Type Code: Used to distinguish the record that the search was performed for. This will be \_ for .

- Customer name used in search.
- Customer ID (from the application).
- Total number of results.
- Sources checked.
- Date and time of search.

If results are returned from the consolidated screening, stores the following information about each result in the AS\_FS\_CS\_RESULT\_FINDING table:

- Result ID: key from the AS\_FS\_CS\_RESULT table.
- Score: how close of a match the result is.
- Name: from the consolidated screening list.
- Alt. Name(s): alternative names for the result.
- Source: which list the information is from.
- Source URL.
- ID: from the consolidated screening list.
- Is relevant: whether the result is marked as relevant.

More information from the API, such as addresses or citizenships, can be also be stored or displayed. The [Trade.gov website](#) provides a list of available fields and their data types.

To save more information, add new fields to the OFAC integration records. See [Modifying Record Fields](#) for more information.

The following may need to be updated when adding fields to these records:

- **Database tables:** AS\_FS\_CS\_RESULT and AS\_FS\_CS\_RESULT\_FINDING.
- **CDTs:** AS\_FS\_CS\_Result and AS\_FS\_CS\_Result\_finding
- **Data store:** AS FS OFAC Data Store
- **Main interfaces:** AS\_\_CS\_reviewConsolidatedScreeningCheckTask and AS\_\_GRD\_consolidatedScreeningCheckResultsGrid
- **Main expression rules:** rule!AS\_FS\_CS\_UT\_queryAndMapScreeningResults and rule!AS\_FS\_CS\_UT\_mapResultsSources.

## Changing the try count

will try five times to connect to OFAC before designating the integration call as a failure.

If your IT has an integration try threshold that is different than five, change the try count by updating the cons!AS\_FS\_CS\_VAL\_TRY\_COUNT constant.

# Modifying Record Fields

## Introduction

Each organization's processes are unique and often complex. Connected Onboarding is flexible enough to allow you to modify all of the form and data fields that you use to collect and view information for each onboarding.

The two main records that hold this data are the onboarding and customer records. This page provides guidance for adding or modifying fields for the two main records.

The methods discussed on this page apply to other records as well. The main difference is that other records don't have record lists on the Connected Onboarding site, so you don't need to update the record list database views and CDTs.

## Adding fields

If you need to capture more data than what exists in the default Connected Onboarding solution, you can add fields to the custom data type (CDT).

There are four main steps to add fields to the onboarding and customer records.

## Step 1: Update the database table

Add the extra column with the appropriate type into the database table.

For the onboarding records, the name of this table is AS\_IO\_ONBOARDING\_REQUEST. For customer records, it is AS\_FS\_CUSTOMER.

## Step 2: Update the CDT

Add the extra field to the corresponding CDT, making sure the column name matches that of the column name in the CDT's XSD file.

The two main CDTs for the records are AS\_IO\_OnboardingRequest and AS\_FS\_Customer.

See [Mapping Custom Data Types \(CDTs\) to Pre-defined Database Tables](#) for more information about making changes to CDTs.

## Step 3: Verify the data store

Verifying the data store makes sure that the CDT is mapped and ready to be used in your process.

To verify the data store:

1. Navigate to the data store that holds the CDT.
  - **Note:** AS\_IO\_OnboardingRequest and AS\_FS\_Customer are in AS IO Data Store and AS FS Tables data stores respectively.
2. Click **VERIFY**.
3. Make sure an "Entity mappings verified" message displays.
  - If this message does not display, the database table or CDT updates may not match the data store.
4. Click **SAVE & PUBLISH**.

See [Data Stores](#) for more information about editing data stores.

## Step 4: Add the new field to desired interfaces

You may also want to update the interfaces that use the CDT in order to capture and display the new data. We recommend making copies of the default objects. See [Best practices for modifying objects](#) for more information.

The main interfaces are listed below, but there may be many more.

For the onboarding record, the main interfaces are:

- AS\_IO\_FM\_onboardingSummary: Summary view of the onboarding record.
- AS\_IO\_FM\_createOrUpdateRequest: Allows users to populate the data fields for an onboarding.

For the customer record, the main interfaces are:

- AS\_FS\_FM\_customerSummary: Summary view of the customer record.
- AS\_FS\_FM\_customerDetails: Allows users to populate the data fields for a customer.

## Modifying fields

Modifying fields in a CDT requires more care than just adding fields to a CDT. This is because every reference to an existing field must be updated if the name or data type changes.

There are four main steps to modifying the fields of the AS\_IO\_OnboardingRequest or AS\_FS\_Customer CDT.

Always follow Appian best practices when modifying CDT fields. See [Mapping Custom Data Types \(CDTs\) to Pre-defined Database Tables](#) for more information on updating a CDT.

## Step 1: Update the database table

The first step in modifying CDT fields is to change the data structure in your database table.

For the onboarding records, the name of this table is `AS_IO_ONBOARDING_REQUEST`. For customer records, it is `AS_FS_CUSTOMER`.

See [Mapping Custom Data Types \(CDTs\) to Pre-defined Database Tables](#) for more information about making changes to the database tables.

## Step 2: Update the database view

Because the solution contains the Onboardings and Customers record lists, you need to update the database view that backs the record list.

For the onboarding records, the name of this view is `AS_IO_V_ONBOARDING_REQUEST`. For customer records, it is `AS_FS_V_CUSTOMER`.

## Step 3: Update the CDTs

Update the fields in the CDTs for both the record and record list.

For the onboarding records, the name of these CDTs are:

- `AS_IO_OnboardingRequest`
- `AS_IO_V_OnboardingRequest`

For customer records, the name of these CDTs are:

- `AS_FS_Customer`
- `AS_FS_V_Customer`

## Step 4: Update the associated objects

Update the interfaces, expression rules, and process models that use the CDT. If you do not update the objects that reference the field you updated or deleted, the objects will break. We recommend making copies of the default objects. See [Best practices for modifying objects](#) for more information.

The main interfaces are listed below, but there may be many more.

For the onboarding record, the main interfaces are:

- `AS_IO_FM_onboardingSummary`: Summary view of the onboarding record.
- `AS_IO_FM_createOrUpdateRequest`: Allows users to populate the data fields for an onboarding.

For the customer record, the main interfaces are:

- `AS_FS_FM_customerSummary`: Summary view of the customer record.
- `AS_FS_FM_customerDetails`: Allows users to populate the data fields for a customer.

## Best practices for modifying objects

To make sure you always have the default interfaces, expression rules, and process models to refer back to, we suggest the following:

- Create copies of the interfaces, expression rules, and process models you want to update.
- Name them with an identifiable prefix. For example, something different than `AS_IO`.
- Use your new objects instead of the original objects.

Do not create copies of the CDTs. This would require you to update every reference to the CDT in the application. Instead, just modify the default CDTs provided in the application.

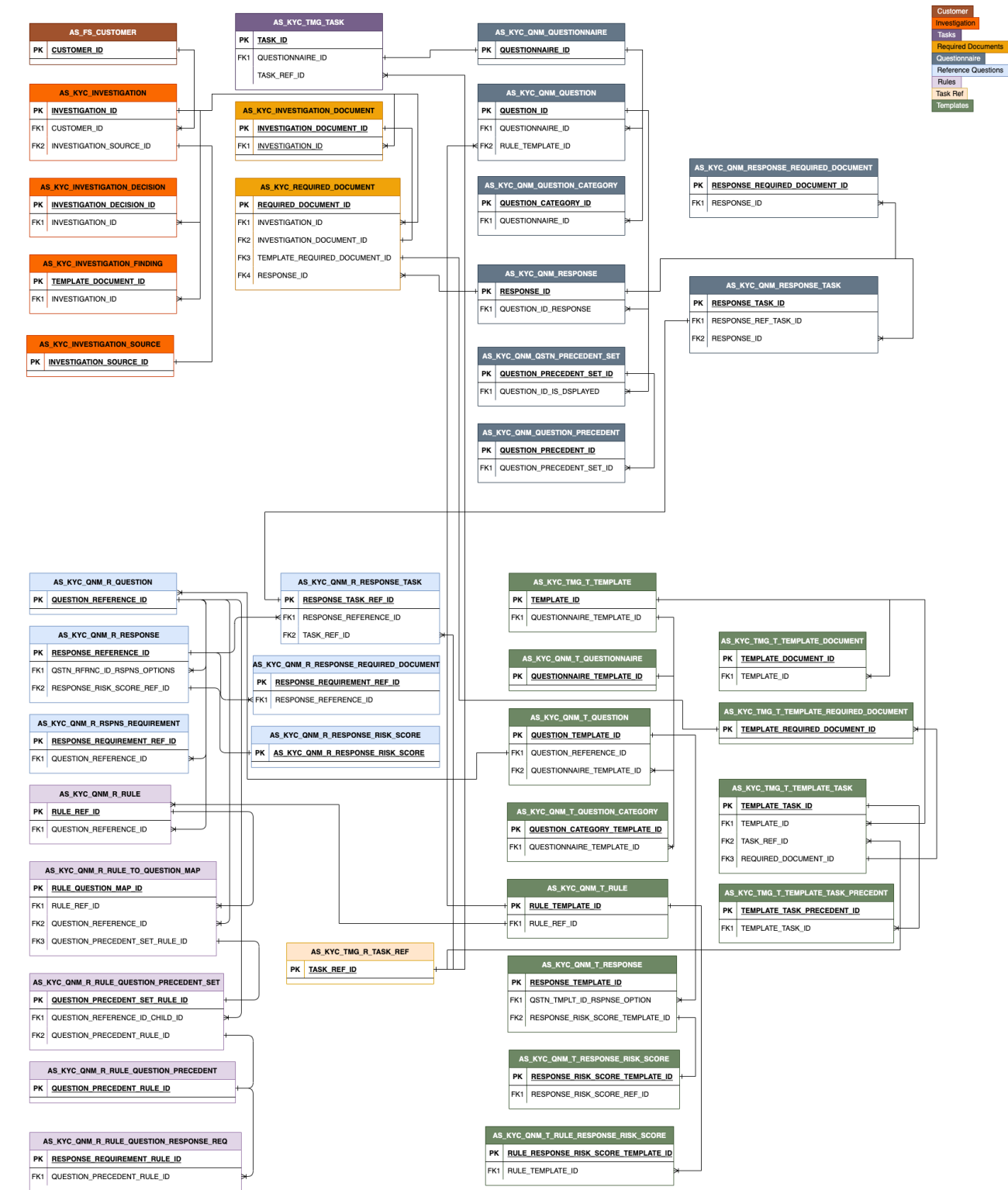
# Data Relationships

## Introduction

The primary custom data types and database entities in Connected KYC are associated with customers, investigations, and tasks. Understanding how these entities relate to each other can help you understand the way the data in the solution works together.

The entity relationship diagram (ERD) on this page illustrates the main entities used in Connected KYC and their relationships to each other.

## Entity Relationship Diagram



## Reference Data Tables

# Introduction

The Appian Connected KYC solution is designed to be customized to your organization's particular needs. The various interfaces in the out-of-the box solution contain values that are stored in database tables. This information is called reference data.

The types of reference data in Connected KYC are:

- Dropdown lists and their values.
  - See [Modifying Dropdown Lists](#) for instructions on how to add and deactivate values in dropdown lists, add new dropdown lists, and internationalize dropdown list values.
- Tasks.
- See [Adding a New Task Type](#) for information on how to add a new task type.
- Process templates.

You can identify reference data tables by looking for tables that have `_R_` in the name, such as `AS_FS_R_DATA`.

This page describes the structure of the reference data tables.

## Shared reference data table

Some dropdown values for Connected KYC are stored in the `AS_FS_R_DATA` table. Updating this table allows you to control what dropdown values and lists that cannot be modified in the Connected FS Settings site. See [Modifying Dropdown Lists](#) for more information on how this table is used. This data in this table can be used across Connected KYC and other financial services solutions.

See the following table for a description of the fields in the `AS_FS_R_DATA` table.

Name	MySQL Data Type	Appian Data Type	Description
R_DATA_ID	int(11)	Number (integer)	The primary key.
LABEL	varchar(255)	Text	The label code that will be <a href="#">internationalization</a> and shown to the end user.
TYPE	varchar(255)	Text	What reference type the data is grouped by. For example, <code>Investigation status</code> .
CODE	varchar(255)	Text	The value used to reference this row in transaction tables.
SORT_ORDER	int(11)	Number (integer)	The order in which the value will be displayed if order matters in the place this value is displayed.
IS_ACTIVE	tinyint(1)	Boolean	Determines if the value will display, or not. Valid values: 1, 0. 1 will display the value and 0 will not display the value
ICON	varchar(255)	Text	The icon displayed with this value.
COLOR	varchar(255)	Text	The color of the icon displayed with this value.
CREATED_BY	varchar(255)	Text	The user who added the reference data originally.
CREATED_DATETIME	timestamp	DateTime	The date and time that the reference data was originally added.
MODIFIED_BY	varchar(255)	Text	The user who changed the reference data most recently.
MODIFIED_DATETIME	timestamp	DateTime	The date and time that the reference data was most recently changed.

## Connected KYC only reference table

While the shared values for all financial solutions are stored in the [shared reference data table](#), the remaining values for Connected KYC are stored in the AS\_KYC\_R\_DATA table. This enables you to update information that is Connected KYC specific. See [Modifying Dropdown Lists](#) for more information.

See the following table for a description of the fields in the AS\_KYC\_R\_DATA table.

Name	MySQL Data Type	Appian Data Type	Description
R_DATA_ID	int(11)	Number (integer)	The primary key.
LABEL	varchar(255)	Text	The internationalization bundle key used to display the value.
TYPE	varchar(255)	Text	What reference type the value is grouped by. For example, <code>{?{tablerecordcap }} status</code> .
CODE	varchar(255)	Text	The value used to reference this row in transaction tables
SORT_ORDER	int(11)	Number (integer)	Determines the order of values displayed in the dropdown.
ICON	varchar(50)	Text	The icon associated with the value. For more information, visit the <a href="#">Appian icons</a> page.
COLOR	varchar(50)	Text	Determines the color associated with the data. Valid values: STANDARD, POSITIVE, NEGATIVE, ACCENT, or a specific hex value. For example, #FFBF00.
IS_ACTIVE	tinyint(1)	Boolean	Determines if the value will display, or not. Valid values: 1, 0. 1 will display the value and 0 will not display the value
CREATED_BY	varchar(255)	Text	The user who added the reference data originally.
CREATED_DATETIME	timestamp	DateTime	The date and time that the reference data was originally added.
MODIFIED_BY	varchar(255)	Text	The user who changed the reference data most recently.
MODIFIED_DATETIME	timestamp	DateTime	The date and time that the reference data was most recently changed.

## Task type reference table

The AS\_KYC\_R\_TASK\_BEHAVIOR\_TYPE table stores the behavior of all of the task types in the Connected KYC application. Updating this table allows you to add new data types. See [Adding a new task type](#) for more information on how to do this.

Name	MySQL Data Type	Appian Data Type	Description
TASK_BEHAVIOR_TYPE_ID	int(11)	Number (integer)	The primary key.



Name	MySQL Data Type	Appian Data Type	Description
BEHAVIOR_TYPE_CODE	varchar(255)	Text	The code to determine the behavior of the task. Possible values: CHECKBOX, DATA_ENTRY and AUTOMATED.
BEHAVIOR_DISPLAY_NAME	varchar(255)	Text	The behavior name that displays to the end user.
CREATED_BY	varchar(255)	Text	The user who added the behavior originally.
CREATED_DATETIME	timestamp	DateTime	The date and time that the behavior was originally added.
MODIFIED_BY	varchar(255)	Text	The user who changed the behavior recently.
MODIFIED_DATETIME	timestamp	DateTime	The date and time that the behavior was recently changed.
BEHAVIOR_SUBTYPE_CODE	varchar(255)	Text	The code to determine the subtype of the task behavior.
CONFIGURATION_LEVEL_CODE	varchar(255)	Text	The code to determine the configuration level of the task. Valid values: SYSTEM, TEMPLATE, PROCESS_SETUP, AD_HOC.
ICON	varchar(50)	Text	The icon that displays in the task list to the end user.
COLOR	varchar(50)	Text	The color of the icon that displays in the task list to the end user.

# Groups Reference Page

## Introduction

Connected KYC comes with a number of groups provided by default. By adding users to these groups, you can grant access to separate parts of the solution.

There are three categories that the default groups belong to:

- **Business Groups**
  - These groups represent the different business roles that will interact with the solution.
  - Examples include **Client Investigating** and **Legal**.
  - **Customers** is a special type of business group. In order to ensure customers can only see their data and no other customer data, a user may only be [added to one customer group](#) at a time.
- **Security Groups**
  - These groups are set as the security for certain Appian objects. Different business groups are members of security groups to grant access to solution functionality to entire roles.
  - Examples include **AS KYC Create Investigation** and **AS KYC Upload Document**.
- **Wrapper Groups**
  - These groups are used to group together a number of groups of the same category. For instance, a list of business groups may be added to a certain wrapper group. This allows for querying for all groups of a certain category in different parts of the application.
  - Examples include **AS FS Internal Users** and **AS FS Managers**.

This page lists the default groups provided with Connected KYC, what business groups belong to which wrapper and security groups, and what actions members of the security groups can perform.

To update group membership from the Connected FS Settings site, see [Managing Group Membership](#). To modify groups and add users from Appian Designer, see [Modifying groups](#).

# Group visibility

In order for the correct groups to show up in application pickers, each type of group has the following visibility settings:

Group Type	Visibility	Reason
Business group	Public	End users should be able to select business groups in application pickers.
Security group	Private	End users should never see security groups in application pickers.
Wrapper group	Private	End users should never see wrapper groups in application pickers.

## Wrapper group membership

This table lists all of the default business groups and the wrapper group that they belong to.

Department head groups are also members of the associated Connected KYC Internal Users groups. For example, **Client Investigating Department Heads** is also a member of **Client Investigating**.

The business groups are all members of the **AS FS All Business Users** group type.

Wrapper Group	Business Group
AS FS External Users	Customer
AS FS Internal Users	Back Office
	Client Investigating
	Compliance
	Credit
	Finance
	Front Office
	KYC
	Legal
	Middle Office
	Risk
	Sales
	Tax
	All department head groups (subgroups of these groups)
AS FS Managers	Back Office Department Heads
	Client Investigating Department Heads
	Compliance Department Heads
	Credit Department Heads
	Finance Department Heads

	Front Office Department Heads
	KYC Department Heads
	Legal Department Heads
	Middle Office Department Heads
	Risk Department Heads
	Sales Department Heads
	Tax Department Heads

## Actions users can perform based on their group membership

This table lists all of the actions that are available in Connected KYC and the security groups that control access to those actions. It also lists the business groups that are members of each security group.

For security groups where no business group is listed, it is preferable to grant membership to individual users.

The security groups are all members of the **AS KYC Security Groups** group.

Actions that Members Can Perform	Security Group	Member Business Groups
Receive automatic process model alerts.	AS FS Designer Alerts Group	
Manage Appian design objects.	AS FS Appian Administrators	
<a href="#">View the Connected FS Settings site and update onboarding processes from this site.</a>	AS KYC Manage Onboarding Processes	
<a href="#">View the Connected FS Settings site and update group membership.</a>	AS FS GM Manage Group Membership	
<a href="#">Assign owners to onboardings.</a>	AS KYC Assign Owner	<ul style="list-style-type: none"> <li>Client Investigating</li> <li>Client Investigating Department Heads (subgroup)</li> </ul>
<a href="#">Cancel an Investigation.</a>	AS KYC Cancel Investigation	
<a href="#">Completing an Investigation.</a>	AS KYC Complete Investigation	
<a href="#">Create custom tasks for an Investigation.</a>	AS KYC Create Ad Hoc Task	
<a href="#">Send out queued tasks.</a>	AS KYC Initiate Tasks	
<a href="#">Reopen tasks that have been completed, marked not needed, or canceled.</a>	AS KYC Reopen Tasks	
Update onboarding information from the onboarding record.	AS KYC Update Onboarding Access	
<a href="#">Update individual task due dates.</a>	AS KYC Update Task Due Date Access	
Update funding information for an onboarding.	AS IO Update Funding Details Access	

Create onboardings.	AS IO Create Onboarding Access	<ul style="list-style-type: none"> <li>• Client Investigating</li> <li>• Client Investigating Department Heads (subgroup)</li> <li>• Sales</li> <li>• Sales Department Heads (subgroup)</li> </ul>
Create new customer records.	AS FS Create Customer	AS FS Internal Users
<a href="#">View customer records.</a>	AS FS Customer Viewers	
<a href="#">Attach documents to Investigations.</a>	AS KYC Upload Document	
<a href="#">View the Home page for users who aren't department heads.</a>	AS KYC Home Page Viewers	
View the Investigation records.	AS KYC Investigation Viewers	
<a href="#">Receive tasks.</a>	AS KYC Task Recipients	
Update customer details from the customer record.	AS FS Update Customer	
Post to an onboarding discussion.</a>	AS KYC RC Create Comment	
Update contact information for a customer.	AS FS Create Update Contact	