SEARCHLIGHT CFT

Sanction Screening

User Guide

For Salesforce Classic & Lightning

Version 4.0

04/02/202

Table of contents

1. Purpose of this document

The purpose of this document is to provide a comprehensive guide on how to use Searchlight CFT sanction screening for Salesforce Classic and Lightning.

2. Intended audience

This User Guide is intended to be used by the software users to know how to use Searchlight CFT.

It is intended that technical stakeholders and software users can coordinate their efforts in the installation/deployment of the application.

3. Our solution

Searchlight CFT is a tool designed to facilitate the prevention of financing of terrorism and narcotics trafficking. It shines a light on the “bad guys” to stop them being onboarded and doing business before they start and lets through only the customers you want, thereby accelerating the onboarding process.

Searchlight CFT provides an easy and cost-effective way to comply with regulations, protecting you and your firm from accidentally doing business with a sanctioned entity.

With Searchlight CFT you can perform a scan of any business, entity or individual and it alerts you to any attempts by a sanctioned entity to do business with you allowing you to act in accordance with your AML policy and raise a report to the relevant law enforcements agency if necessary. It also provides an audit trail to your sanction screening efforts.

Searchlight CFT obtains the sanction screening information from official government sources from across the globe and consolidates it to simplify the access to the information and expedite the search process.

With this application you will be able to run manual scans on existing individuals and entities, schedule batch scans at your choice of timing and enable automatic scans on record creation to accommodate and fulfill your needs

SEARCHLIGHT CFT

5 Tips to follow this guide

1

Know your tabs

Searchlight CFT comes with a series of custom tabs: Searchlight CFT Setup, Scans and Suspect Examination

2

Set up your scan parameters

Activate objects you want to scan, set your preferred thresholds, enable the types of scans you want to perform and select sanction lists

You can modify your scan parameters whenever necessary to fit your needs

3

Scan your records

You can perform manual scans when needed, enable automatic scans on insert and schedule batch scans

4

Scan results

Searchlight CFT compares the name of the individual or entity in your records against the sanction lists and, if a match is found, an alert is generated, and a suspect examination is created.

5

Suspect Examination

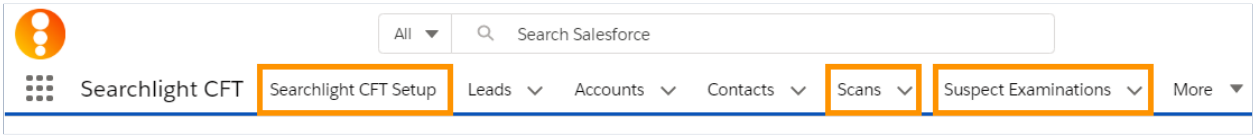
Details of the suspects detected can be reviewed in the Suspect Examinations tab

4. Searchlight CFT usage

Once Searchlight CFT is set up, you can start scanning your records. In this guide you will find all the necessary information to use Searchlight CFT.

4.i. Searchlight CFT Custom Tabs

Searchlight CFT comes with a series of custom tabs that are related to the functioning and usage of the app. Below you will find the details and functions of each of these tabs.



- **Searchlight CFT Setup:** This tab displays your CFT Account Information, the number of scans used, and the number of scans left, according to the type of license acquired.
  In this tab you can also set the parameters for your scans (Activate objects to scan, set your preferred thresholds to manage false positives, etc.) and modify them when necessary.

  *For instructions on how to set the parameters for your scans, please refer to **page 22 of the Searchlight CFT Installation Guide.***

- **Scans:** This tab shows the results and details of the scans performed. You can see within a Scan record if suspects were detected (This is indicated in the Clearance field by a red alert symbol) and filter them as necessary in this tab.

  *For further information regarding this tab, please refer to the **Scan Results** section on **page 18**.*

- **Suspect Examinations:** This tab displays the details, status and additional information of the suspects detected in your scans. You can access the suspects' information, edit the status and add comments for each record in this tab to carry on the necessary checks and raise the corresponding reports to the relevant law enforcement agencies if necessary.

  *For further information regarding this tab, please refer to the **Suspects** section on **page 21**.*

4.ii. Searchlight CFT Sanction Lists

Searchlight CFT includes the following federal watch lists:

List Name	Publishing Entity	Region	List Alias
Specially Designated Nationals and Blocked Persons List (SDN)	Office of Foreign Assets Control (OFAC), U.S. Department of the Treasury	United States	USD
Consolidated List of Financial Sanctions Targets	Office of Financial Sanctions Implementation, HM Treasury (HMT)	United Kingdom	UKT
Consolidated Sanctions List	EU Service for foreign policy instruments (FPI)	European Union	EUC
Consolidated Sanctions List	Office of Foreign Assets Control (OFAC), U.S. Department of the Treasury	United States	USC
Consolidated United Nations Security Council Sanctions List	United Nations Security Council	United Nations	UNC
Sanctions Consolidated Lists	Department of Foreign Affairs and Trade, Australian Government	Australia	AUS
RePET: Registro Público de Personas y Entidades vinculadas al Terrorismo	Ministerio de Justicia y Derechos Humanos, Presidencia de la Nación Argentina	Argentina	ARG

*For instructions on how to set the parameters for your scans, please refer to **page 22 of the Searchlight CFT Installation Guide.***

4.iii. Types of Scans

Searchlight CFT allows you to perform three different types of scans.

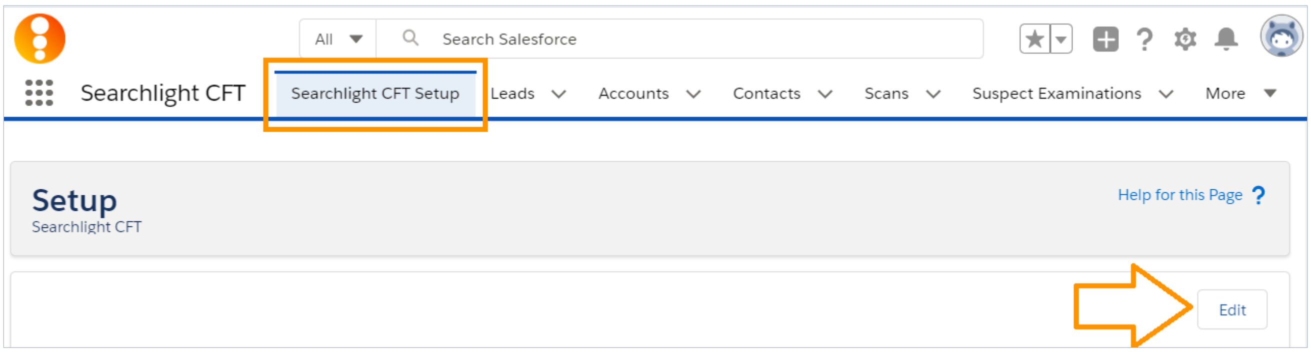
- **Manual Scans:** You can manually scan individual or multiple records when you want to.
- **Scans on Insert:** You can enable this option to automatically scan new records when created.
- **Scheduled Batch Scans:** You can schedule batch scans to run on the selected objects in your preferred frequency (Daily, weekly or monthly).

5. Salesforce Lightning

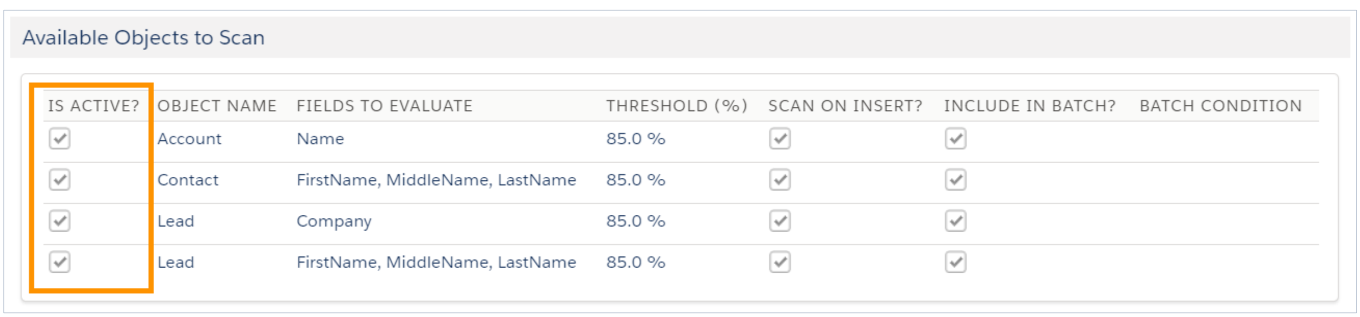
5.i. Manual Scans

You can perform manual scans on individual or multiple records when necessary.

1. To be able to perform scans on an object, go to the **Searchlight CFT Setup** tab and click on **Edit**.



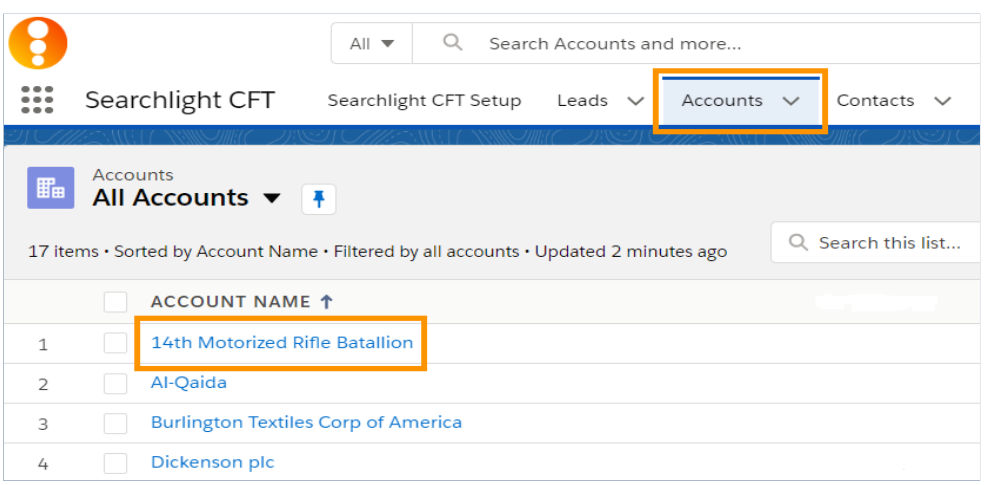
2. In the **Available Objects to Scan** section, click on the box of the objects you want to activate for scans under the **IS ACTIVE?** column and click **Save**. The available objects are Accounts, Contacts and Leads.



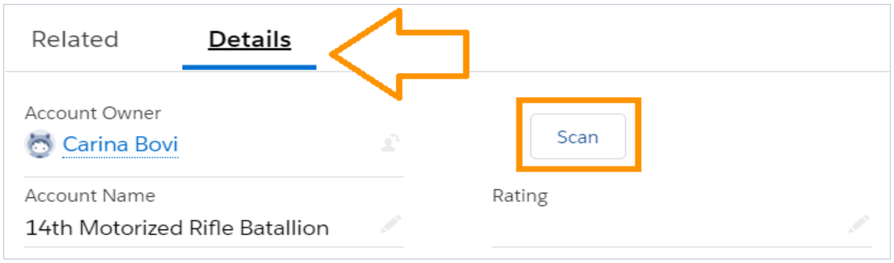
Available Objects to Scan

IS ACTIVE?	OBJECT NAME	FIELDS TO EVALUATE	THRESHOLD (%)	SCAN ON INSERT?	INCLUDE IN BATCH?	BATCH CONDITION
✓	Account	Name	85.0 %	✓	✓	
✓	Contact	FirstName, MiddleName, LastName	85.0 %	✓	✓	
✓	Lead	Company	85.0 %	✓	✓	
✓	Lead	FirstName, MiddleName, LastName	85.0 %	✓	✓	

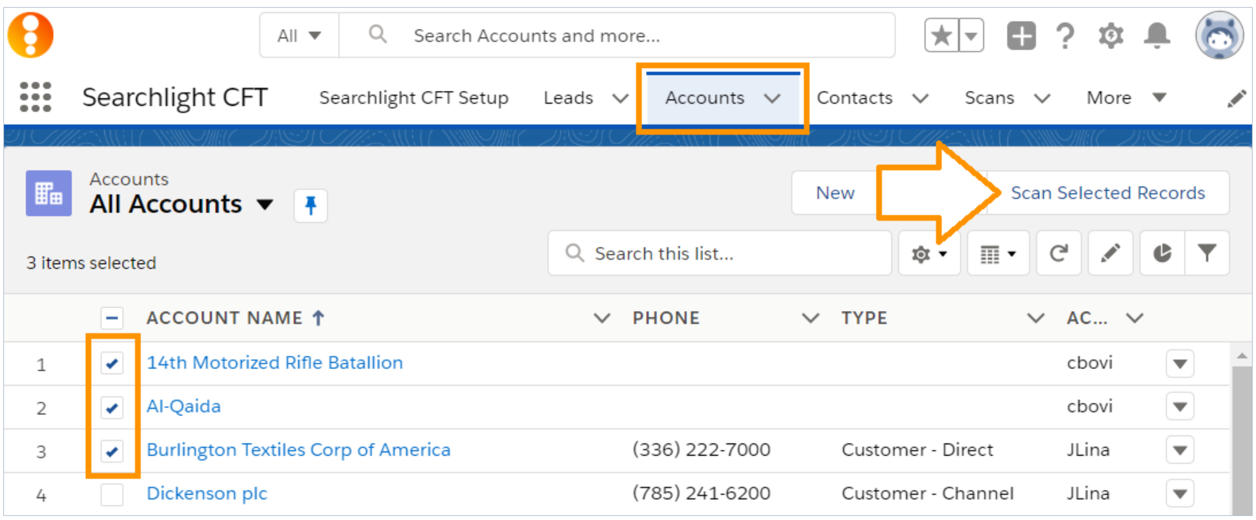
3. To perform a manual scan on a record, go to the desired object's tab (Accounts, Contacts or Leads) and access the record that you want to scan.



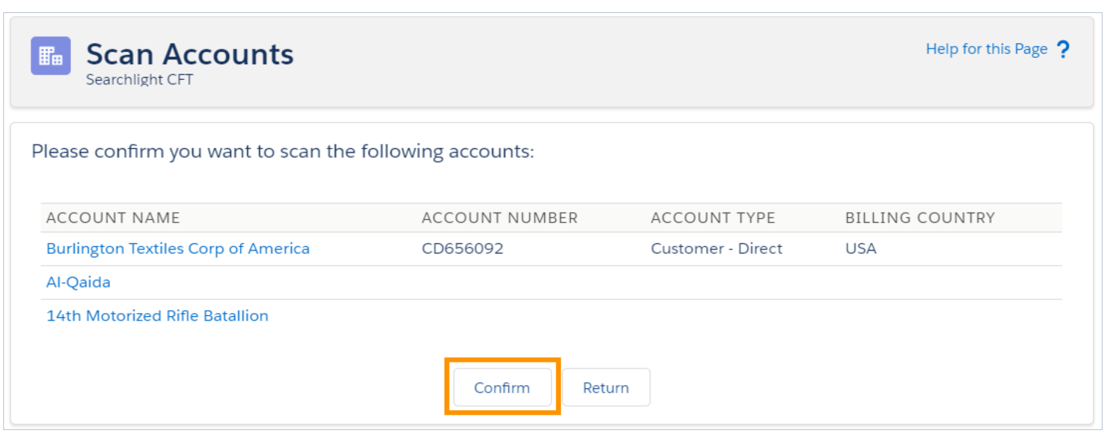
4. Within the record page, go to the Details tab and click on **Scan**.



5. To perform a manual scan on multiple records, go to the desired object's tab (Accounts, Contacts or Leads), select the records that you want to scan from the "All Accounts" list view and click on **Scan Selected Records**.



6. Confirm the action in the following screen.



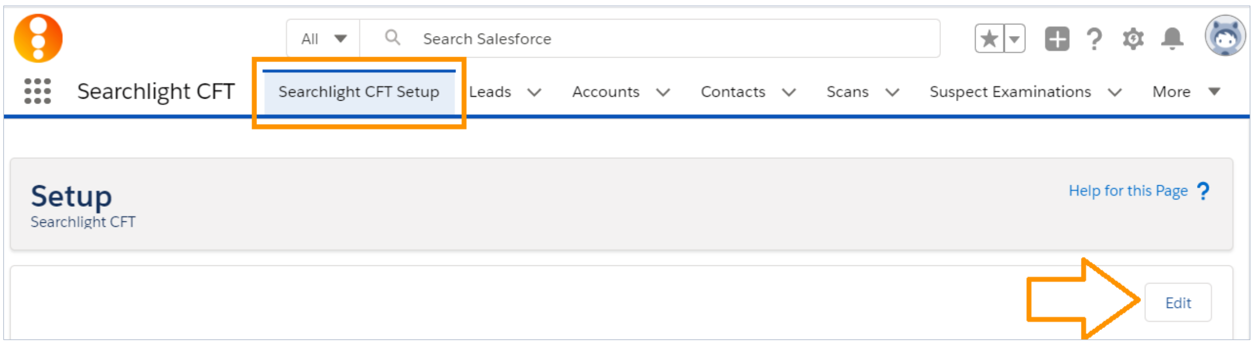
7. Once the scans are completed, you will be directed to the Scans tab to see the results. If a suspect is detected, an alert will be sent to the user who performed the scan via email with a link to access the suspect examination's record and view the detailed information.

*Please refer to **page 18** of this document for further information regarding **Scan Results**.*

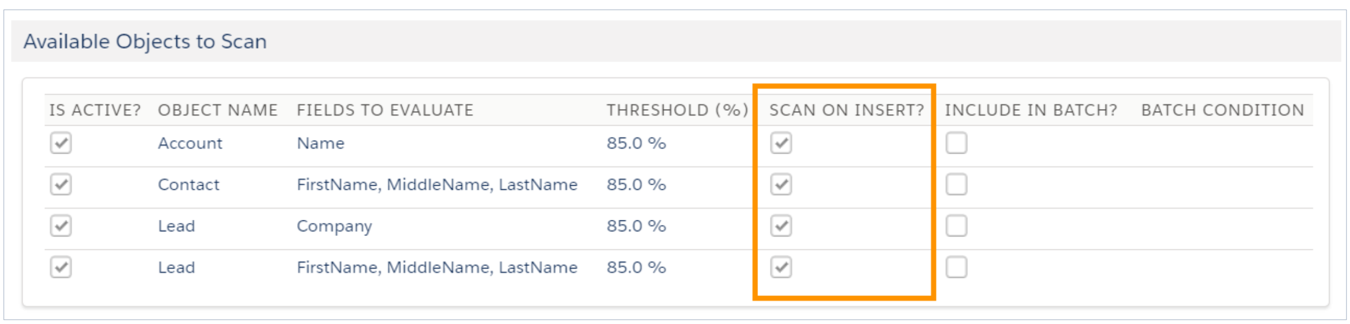
5.ii. Scans on Insert

You can enable the Scans on Insert option to automatically scan new records of the selected objects (Accounts, Contacts or Leads) when they are created; to do this, follow the instructions below.

1. Go to the **Searchlight CFT Setup** tab and click on **Edit**.



2. In the **Available Objects to Scan** section, click on the box of the objects you want to enable under the **SCAN ON INSERT?** column and click **Save**.

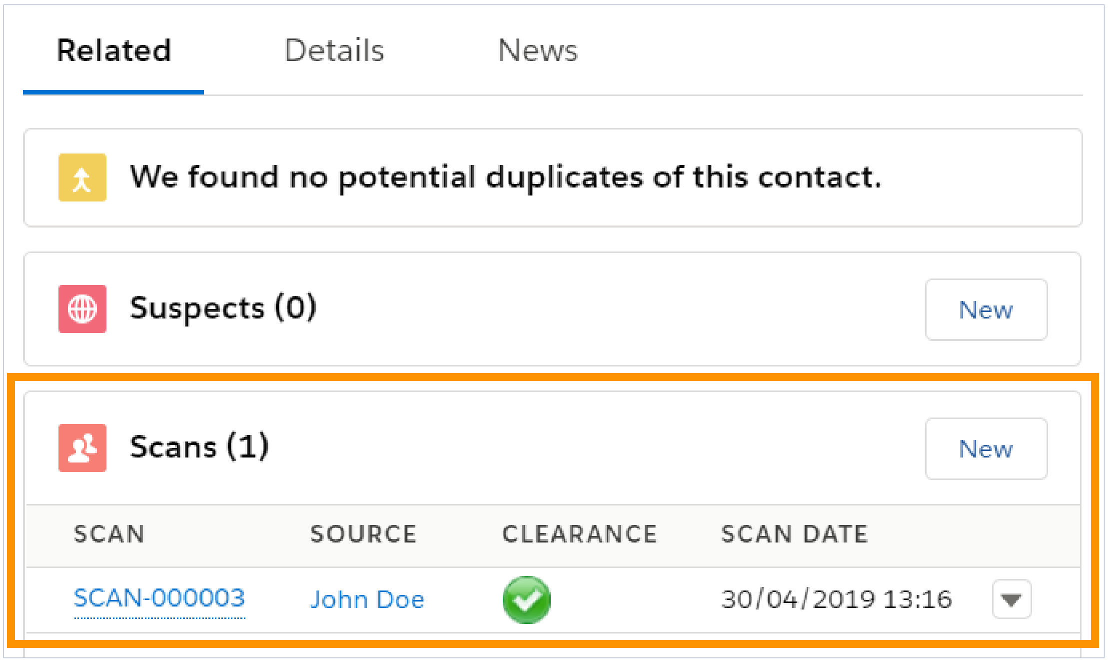


Available Objects to Scan

IS ACTIVE?	OBJECT NAME	FIELDS TO EVALUATE	THRESHOLD (%)	SCAN ON INSERT?	INCLUDE IN BATCH?	BATCH CONDITION
☑	Account	Name	85.0 %	☑	☐	
☑	Contact	FirstName, MiddleName, LastName	85.0 %	☑	☐	
☑	Lead	Company	85.0 %	☑	☐	
☑	Lead	FirstName, MiddleName, LastName	85.0 %	☑	☐	

For automatic scans to run, the selected objects (Accounts, Contacts and Leads) need to have a tick in the corresponding box under the IS ACTIVE? column

3. Once a new record of the selected object is saved, an automatic scan will be processed, and results will be displayed in the **Related** tab of the respective record, in the **Scans** related list.



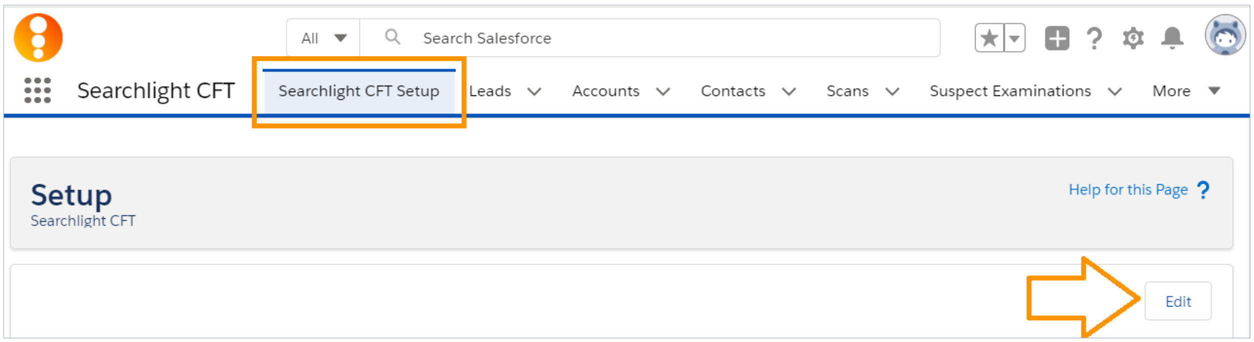
4. If a suspect is detected, an alert will be sent to the user who performed the scan via email with a link to access the suspect examination's record and view the detailed information.

You can also access the results of the scans on insert in the Scans tab. *Please refer **to page 18** of this document for further information regarding **Scan Results**.*

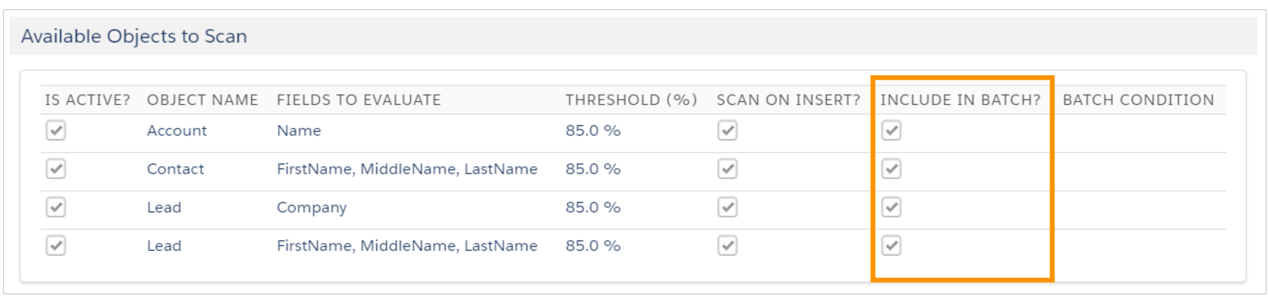
5.iii. Scheduled Batch Scans

You can schedule automatic batch scans to run on the frequency, day of the week and time you prefer; to do this, follow the instructions below.

1. Go to the **Searchlight CFT Setup** tab and click on **Edit**.



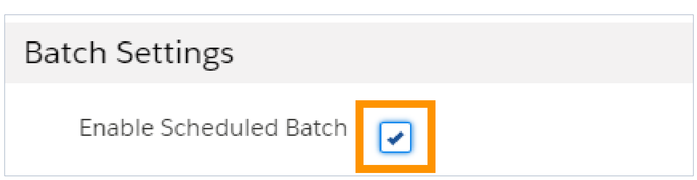
2. In the **Available Objects to Scan** section, click on the box of the objects you want to include in the batch scans under the **INCLUDE IN BATCH?** column and click **Save**. The objects available are Accounts, Contacts and Leads.


Available Objects to Scan

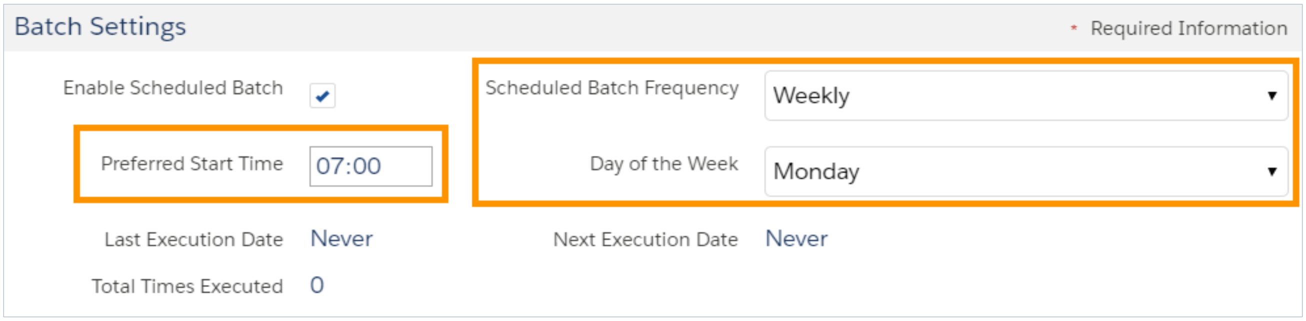
IS ACTIVE?	OBJECT NAME	FIELDS TO EVALUATE	THRESHOLD (%)	SCAN ON INSERT?	INCLUDE IN BATCH?	BATCH CONDITION
✓	Account	Name	85.0 %	✓	✓	
✓	Contact	FirstName, MiddleName, LastName	85.0 %	✓	✓	
✓	Lead	Company	85.0 %	✓	✓	
✓	Lead	FirstName, MiddleName, LastName	85.0 %	✓	✓	

For records to be included in the scheduled batch scans, the corresponding objects (Accounts, Contacts and Leads) need to have a tick in the respective box under the IS ACTIVE? column

3. In the Batch Settings section, click on **Enable Scheduled Batch**.



4. Select the frequency (Monthly, weekly or daily) and set your preferred time for the scheduled scan to run; if the selected frequency is weekly, you can also select the day of the week they will run.



5. If a suspect is detected, an alert will be sent to the user who performed the scan via email with a link to access the suspect examination's record and view the detailed information.

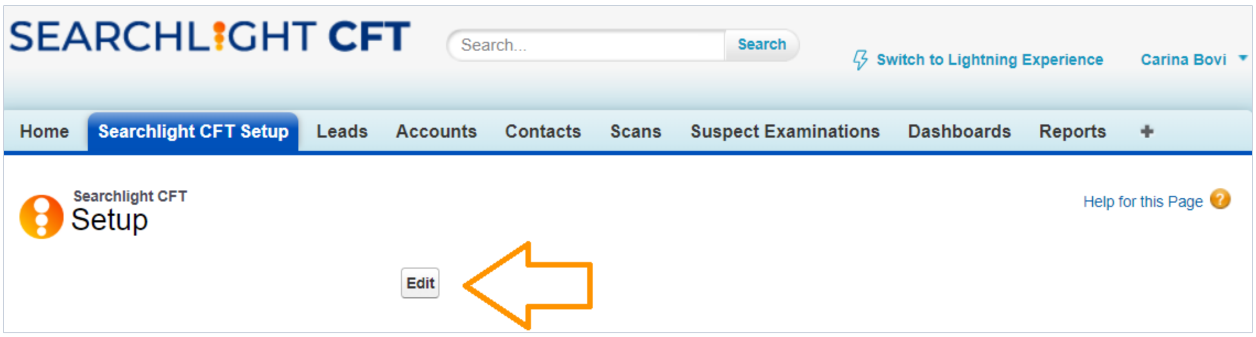
You can also access the results of the scheduled batch scans in the Scans tab. *Please refer **to page 18** of this document for further information regarding **Scan Results**.*

6. Salesforce Classic

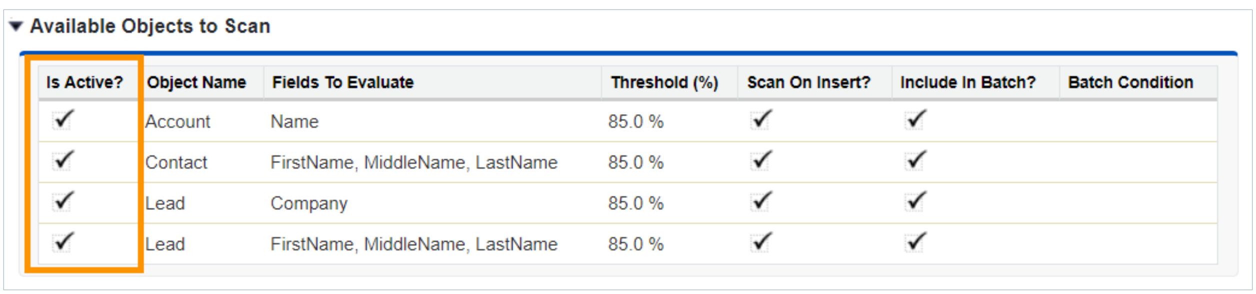
6.i. Manual Scans

You can perform manual scans on individual or multiple records when you want to.

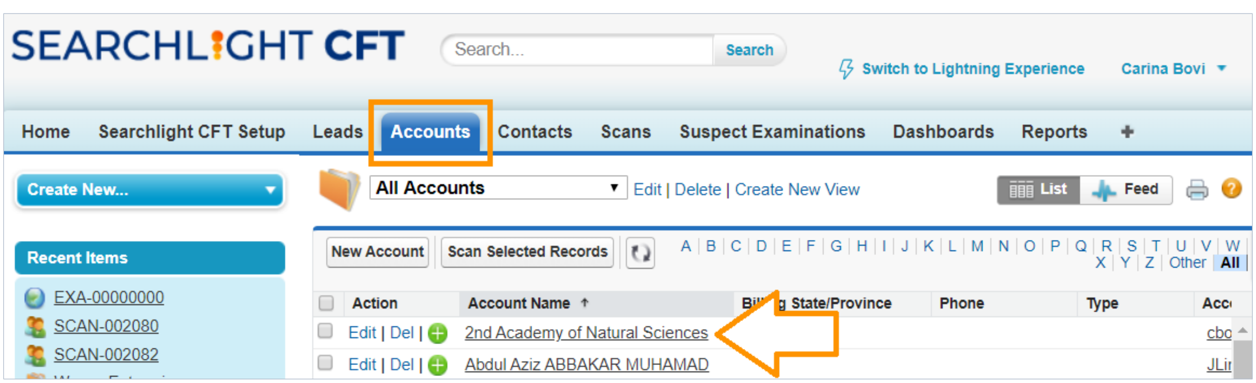
1. To be able to perform scans on an object, go to the **Searchlight CFT Setup** tab and click on **Edit**.



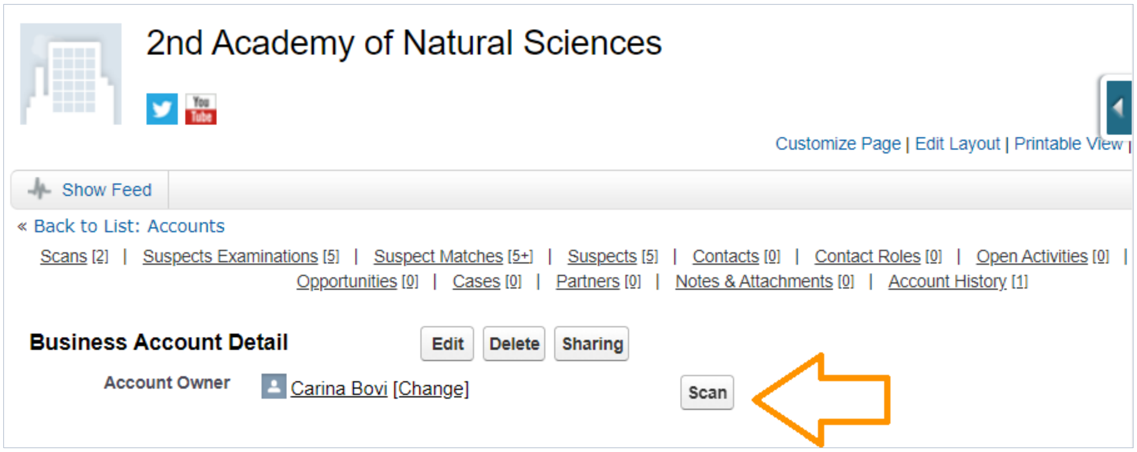
2. In the **Available Objects to Scan** section, click on the box of the objects you want to activate for scans under the **IS ACTIVE?** column and click **Save**. The available objects are Accounts, Contacts and Leads.



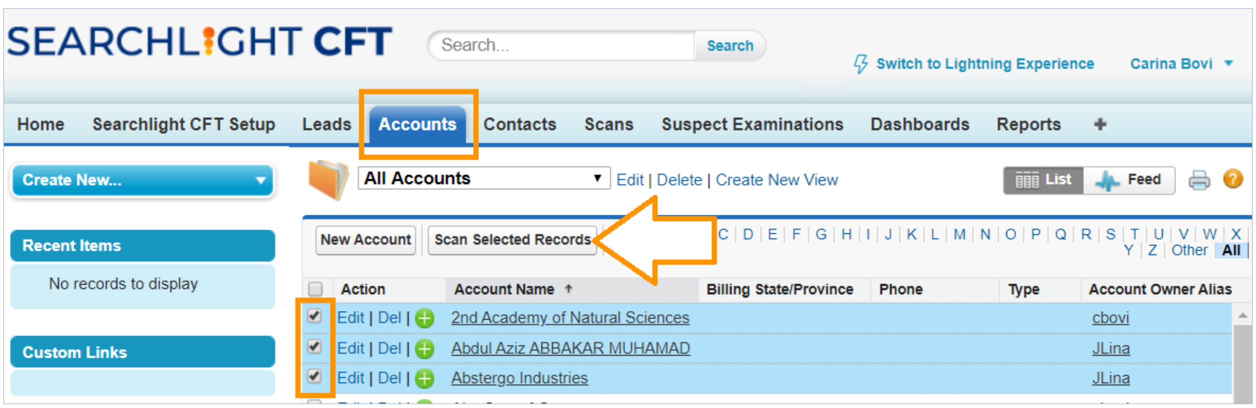
3. To perform a manual scan on a record, go to the desired object's tab (Accounts, Contacts or Leads) and access the record that you want to scan.



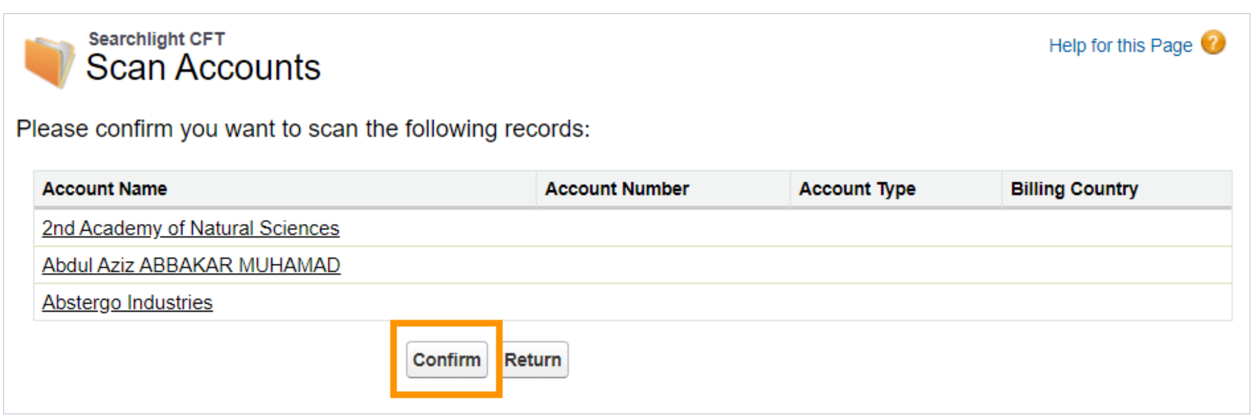
4. Within the record page, click on **Scan**.



5. To perform a manual scan on multiple records, go to the desired object's tab (Accounts, Contacts or Leads), select the records that you want to scan from the "All Accounts" list view and click on **Scan Selected Records**.



6. Confirm the action in the following screen.



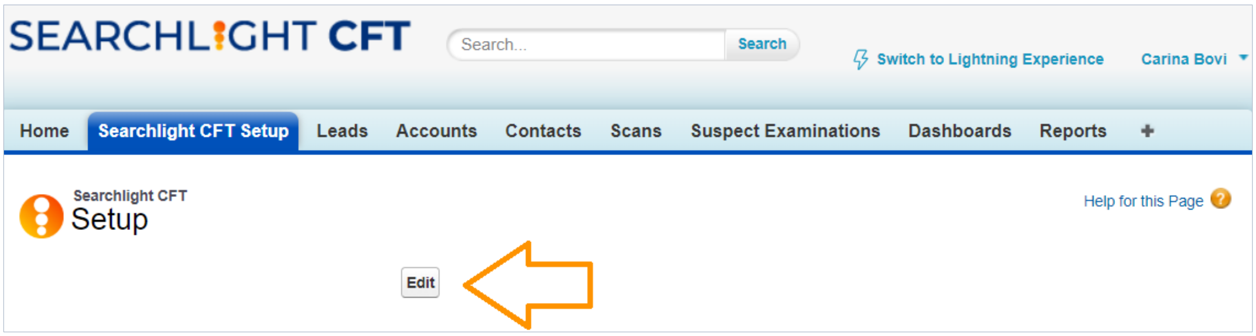
7. Once the scans are completed, you will be directed to the Scans tab to see the results. If a suspect is detected, an alert will be sent to the user who performed the scan via email with a link to access the suspect examination's record and view the detailed information.

*Please refer **to page 18** of this document for further information regarding **Scan Results**.*

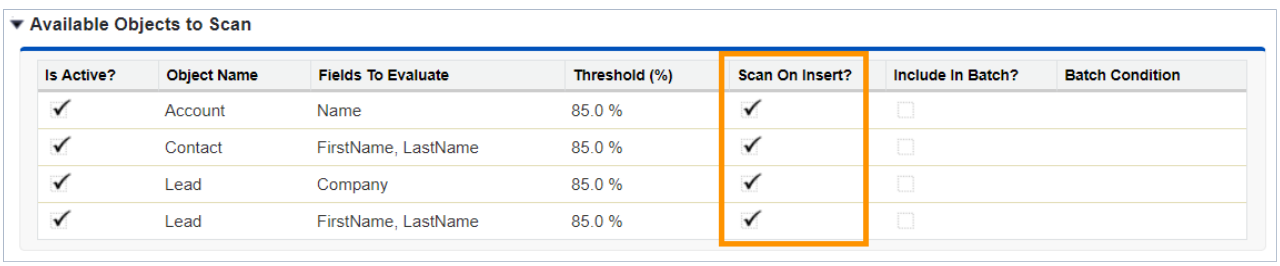
6.ii. Scans on Insert

You can enable the Scans on Insert option to automatically scan new records of the selected objects (Accounts, Contacts or Leads) when they are created; to do this, follow the instructions below.

1. Go to the **Searchlight CFT Setup** tab and click on **Edit**.



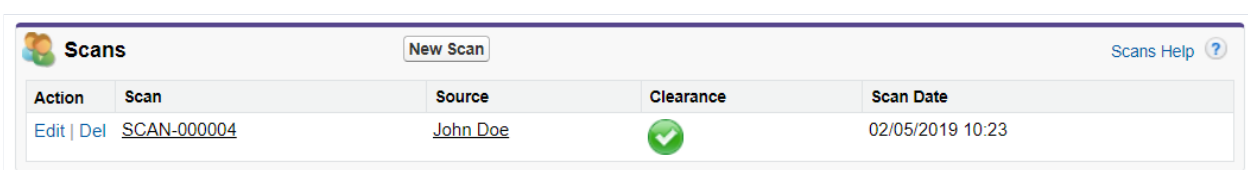
2. In the **Available Objects to Scan** section, click on the box of the objects you want to enable under the **SCAN ON INSERT?** column and click **Save**.


Available Objects to Scan

Is Active?	Object Name	Fields To Evaluate	Threshold (%)	Scan On Insert?	Include In Batch?	Batch Condition
✓	Account	Name	85.0 %	✓	☐	
✓	Contact	FirstName, LastName	85.0 %	✓	☐	
✓	Lead	Company	85.0 %	✓	☐	
✓	Lead	FirstName, LastName	85.0 %	✓	☐	

For automatic scans to run, the selected objects (Accounts, Contacts and Leads) need to have a tick in the corresponding box under the IS ACTIVE? column

3. Once a new record of the selected objects is saved, an automatic scan will be processed, and results will be displayed under the **Scans** related list, in the respective record.



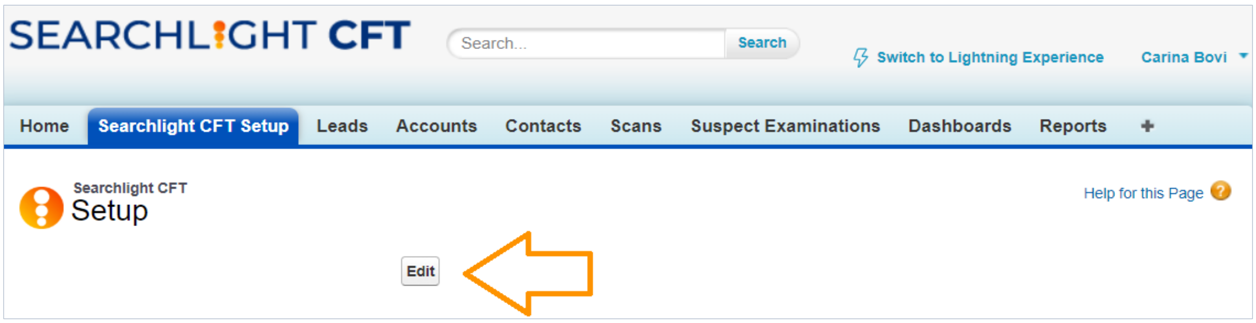
4. If a suspect is detected, an alert will be sent to the user who performed the scan via email with a link to access the suspect examination's record and view the detailed information.

You can also access the results of the scheduled batch scans in the Scans tab. *Please refer **to page 18** of this document for further information regarding **Scan Results**.*

6.iii. Scheduled Batch Scans

You can schedule automatic batch scans to run on the frequency, day of the week and time you prefer; to do this, follow the instructions below.

1. Go to the **Searchlight CFT Setup** tab and click on **Edit**.



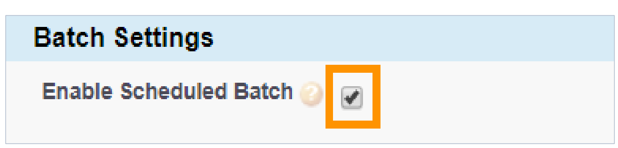
2. In the **Available Objects to Scan** section, click on the box of the objects you want to include in the batch scans under the **INCLUDE IN BATCH?** column and click **Save**. The objects available are Accounts, Contacts and Leads.

Available Objects to Scan

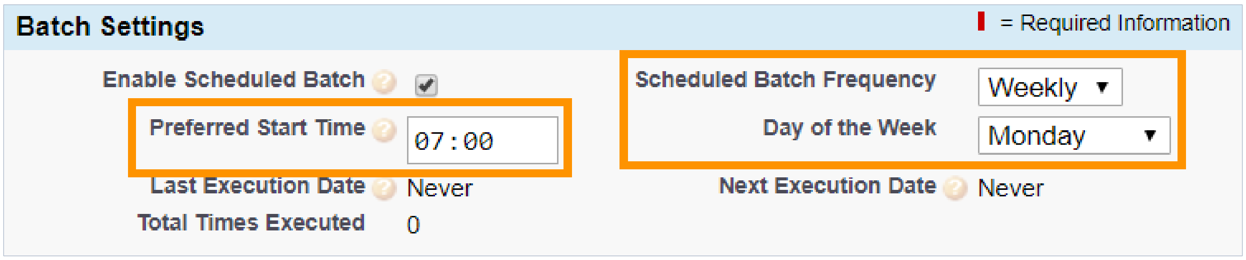
Is Active?	Object Name	Fields To Evaluate	Threshold (%)	Scan On Insert?	Include In Batch?	Batch Condition
✓	Account	Name	85.0 %	✓	✓	
✓	Contact	FirstName, MiddleName, LastName	85.0 %	✓	✓	
✓	Lead	Company	85.0 %	✓	✓	
✓	Lead	FirstName, MiddleName, LastName	85.0 %	✓	✓	

For records to be included in the scheduled batch scans, the corresponding objects (Accounts, Contacts and Leads) need to have a tick in the respective box under the IS ACTIVE? column

3. In the Batch Settings section, click on **Enable Scheduled Batch**.



4. Select the frequency (Monthly, weekly or daily) and set your preferred time for the scheduled scans to run; if the selected frequency is weekly, you can also select the day of the week they will run.



5. If a suspect is detected, an alert will be sent to the user who performed the scan via email with a link to access the suspect examination's record and view the detailed information.

You can also access the results of the scheduled batch scans in the Scans tab. *Please refer* ***to page 18*** *of this document for further information regarding* ***Scan Results****.*

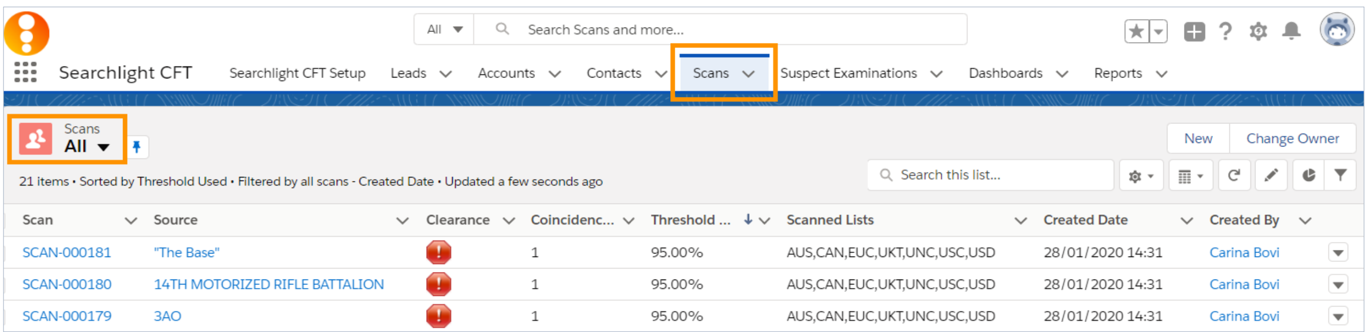
7. Scan Results

When a scan is performed, Searchlight CFT compares the name of the individual or entity in your Salesforce records against the names and aliases in the sanction lists, considering the percentage of similarity selected, and shows if a match was found.

The results of the scans performed, either manual, automatic or scheduled, can be accessed through the **Scans** tab.

When you select All as your List View you can visualize the information and results of all your scans; you can also sort and filter them as needed.

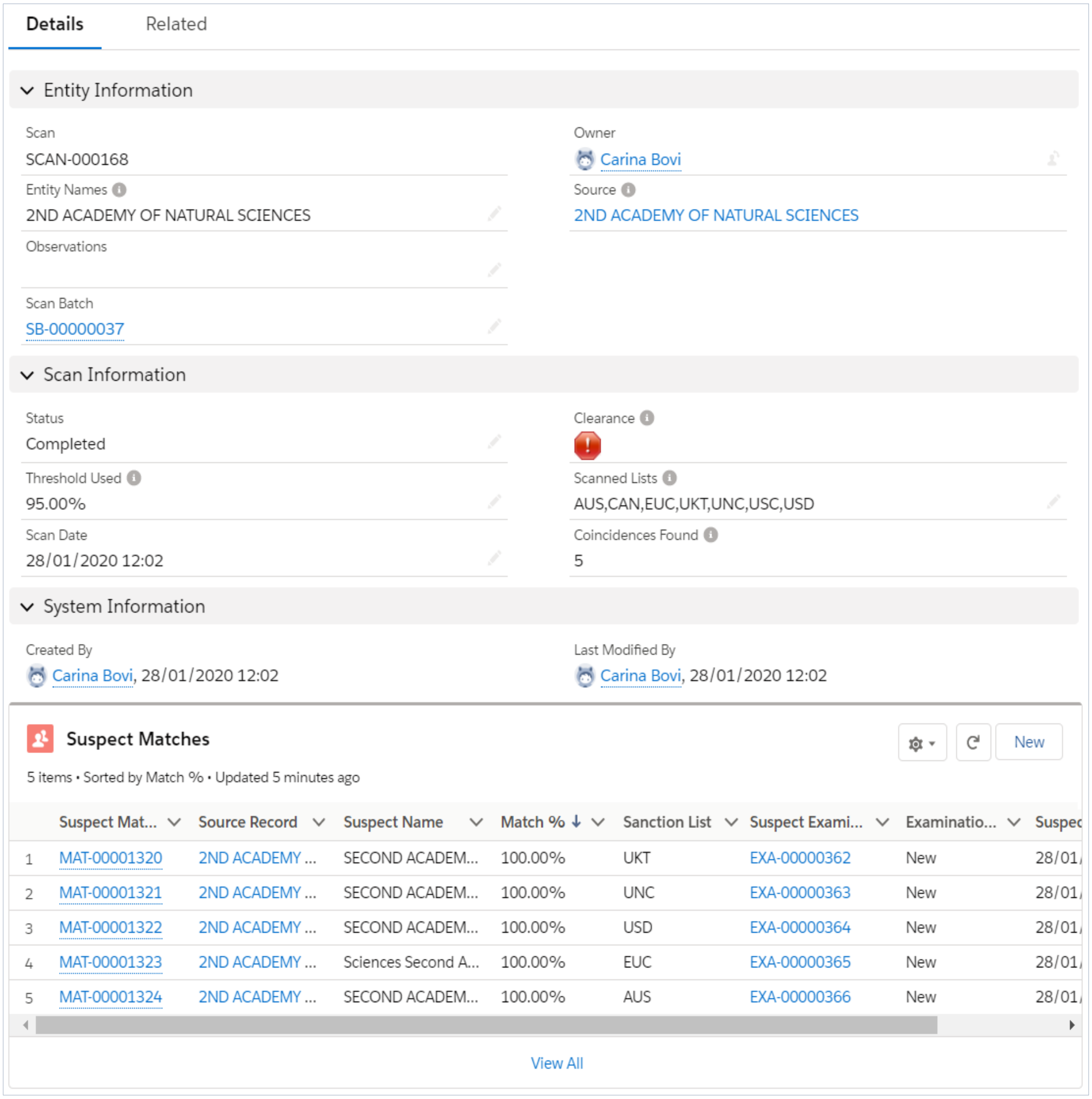
In the Scans tab you will see the information as shown below.



Please contact your Salesforce Administrator if the List View does not show the fields shown in the screenshot above

When a scan is performed, a scan number is generated to identify that scan. You can click on a scan number to access the detailed information of that record.

This is an example of the information displayed in the **Details** tab within a scan record.



The information contained in a scan record is divided into 3 sections; within each section you can find the following fields:

Entity Information

- **Scan:** Every time a record is scanned, a scan number is generated. This scan number identifies the scan of a specific and unique record.
- **Owner:** This field shows the person that is the owner of the record.
- **Entity names:** This field shows the name that was used to perform the scan.

- **Source:** This field shows the name of the scanned record as shown in your organization.
- **Observations:** This field can be used to leave comments or observations regarding the record.
- **Scan Batch:** Every time a scan is processed, either on one or multiple records, a scan batch number is generated to identify a scan as a batch. To check the scans included in each Batch Scan, click on the Scan Batch number and check the Scan list in the Related tab.

Scan Information

- **Status:** This field shows the status of the scan. If the scan is processed normally, it will display the status Completed.

Contact us if a different status is displayed

- **Clearance:** This field shows if the record scanned is a suspect or not; this data is represented by an icon.

  There are 3 different icons you may see in this column:
  This icon represents a clean record (No suspect detected).
  This icon represents an incomplete scan.
  This icon indicates that suspects were detected (Matches found in the sanction lists).

- **Threshold used:** Shows the percentage of similarity that was used for each scan. This percentage is set by the Searchlight CFT Admin during the scan parameters setup.
- **Scanned lists:** Shows the lists that were scanned per your selection in the initial set up of parameters for Searchlight CFT.
- **Scan date:** Shows the date and time the scan was performed.
- **Coincidences found:** Shows the number of coincidences found for the record scanned in the watch or sanction list/s selected. This number represents the suspects that were found.

System Information

- **Created by:** Shows the date and time the scan was created and the user who did it.
- **Last modified by:** Shows the date and time the record was last modified and the user who did it.

At the bottom of the page you can see the Suspect Matches Related List; this list shows the matches found for the record scanned in the sanction lists.

This is an example of the information displayed when you click on View All at the bottom of the page.

Scans > SCAN-000168
Suspect Matches
5 items • Sorted by Match % • Updated a minute ago

New

	Suspect Matc...	Source Record	Suspect Name	Match % ↓	Suspect Exami...	Sanctio...	Examin...	Suspect Match: C...
1	MAT-00001320	2ND ACADEMY OF NATURAL SCIENCES	SECOND ACADEMY OF NATURAL SCIENCES	100.00%	EXA-00000362	UKT	New	28/01/2020 12:02
2	MAT-00001321	2ND ACADEMY OF NATURAL SCIENCES	SECOND ACADEMY OF NATURAL SCIENCES	100.00%	EXA-00000363	UNC	New	28/01/2020 12:02
3	MAT-00001322	2ND ACADEMY OF NATURAL SCIENCES	SECOND ACADEMY OF NATURAL SCIENCES	100.00%	EXA-00000364	USD	New	28/01/2020 12:02
4	MAT-00001323	2ND ACADEMY OF NATURAL SCIENCES	Sciences Second Academy of Natural	100.00%	EXA-00000365	EUC	New	28/01/2020 12:02
5	MAT-00001324	2ND ACADEMY OF NATURAL SCIENCES	SECOND ACADEMY OF NATURAL SCIENCES	100.00%	EXA-00000366	AUS	New	28/01/2020 12:02

The Suspect Match record links the Scan to the Suspect Examination. In the Suspect Examination record you can see all the information regarding the suspect detected, the information obtained from the sanction lists and can perform the corresponding revision and analysis of the data obtained.

*For further information regarding **Suspect Examination** please refer to page **22**.*

Suspect Matches

- **Suspect match:** For every suspect match found in the sanction lists a Suspect Match record is created. This Suspect Match links the Scan record to the Suspect Examination record.
- **Source record:** This field shows the name of the scanned record as shown in your organization.
- **Suspect name:** Shows the name of the individual or entity found in the watch or sanction list.
- **Match %:** Shows the percentage of similarity between the record scanned and the name found in the sanction list.
- **Sanction list:** Shows the alias of the sanction list in which each suspect name was detected.
- **Suspect examination:** Shows the Suspect Examination associated to the Suspect Match.

  *For further information regarding **Suspect Examination** please refer to **page 22**.*
- **Examination status:** Shows the status of the Suspect Examination associated to the Suspect Match.
- **Suspect match created date:** Shows the date when the Suspect Match was created.

> *Please contact your Salesforce Administrator if the Related List does not show the fields shown in the screenshot above*

8. Suspect Examinations

When a match is found between a record scanned and a suspect in a sanction list, a Suspect Examination record is created. This record contains the information regarding the suspect detected and the data obtained from the sanction list.

In the Suspect Examination record you can analyze the information obtained from the sanction list, make the corresponding decisions, set the status of the Suspect Examination and add any necessary comments to the record.

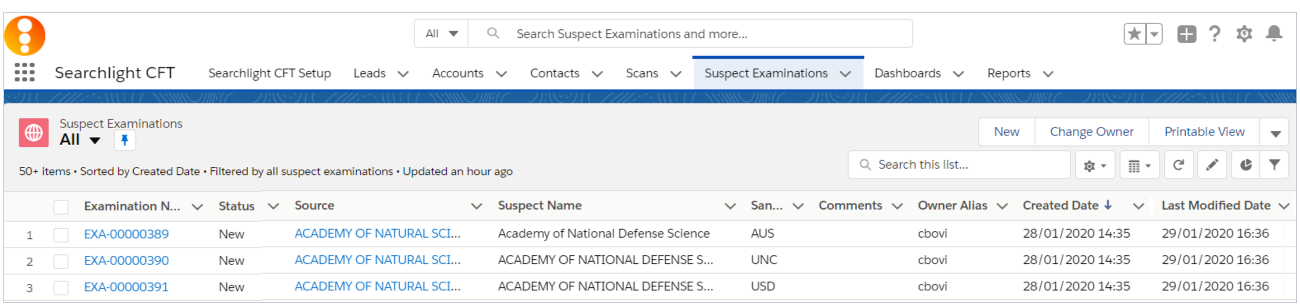
The Suspect Examination record is the place where the Compliance Team or the Responsible Officer will perform the analysis of the suspect detected and keep track of the actions taken. Because of this, when a record is scanned again, if the match from the sanction list is exactly the same, the Scan will be linked to the existing Suspect Examination record, thus, allowing you to keep track of the analysis done, review the necessary information and prevent extra unnecessary work.

On the other hand, when a record is scanned again, if any piece of information in the match from the sanction list changed, a new Suspect Examination record is created. This new Suspect Examination needs to be reviewed, analyzed and the corresponding actions have to be taken.

The detailed information of the suspects detected in your scans can be accessed through the Suspect Examination tab.

When you select All as your List View you can visualize the information of all the Suspect Examinations; you can also sort and filter them as needed.

In the Suspect Examinations tab you will see the information as shown below.



This is an example of the information displayed in the **Details** tab within a Suspect Examination record.

Details Related

Examination Number
EXA-00000362

Owner
Carina Bovi

Status
New

Source
2ND ACADEMY OF NATURAL SCIENCES

Comments

Suspect Information

Suspect
SAN-00000354

Sanction List
UKT

Suspect Name
SECOND ACADEMY OF NATURAL SCIENCES

Additional Information

Entity Type
Entity

Date of Birth

Entity Id
12871

Place of Birth

Alternative Id

Citizenship

Address
DPRK

Additional Information
ALSO KNOWN AS:
(12871) 2ND ACADEMY OF NATURAL SCIENCES ;
(12871) ACADEMY OF NATURAL SCIENCES ;
(12871) CHAYON KWAHAK-WON ;
(12871) CHE 2 CHAYON KWAHAKWON ;
(12871) KUKPANG KWAHAK-WON ;
(12871) NATIONAL DEFENSE ACADEMY ;
(12871) SANSRI ;
(12871) SECOND ACADEMY OF NATURAL SCIENCES RESEARCH INSTITUTE ;

TITLE:
-

DOCUMENT ID:

NATIONALITY:

Hash Code
7vkurWj2ms1CJYUk1d2VqQ+Grz5FhdVqFSMQsU6xB1ADtseZqHB0I6td0wu8Q3uYOA93p/X2Uf+6fFbQ8trW6w==

Created By
Carina Bovi, 28/01/2020 12:02

Last Modified By
Carina Bovi, 28/01/2020 14:35

The information contained in a Suspect Examination record is divided into 3 sections; within each section you can find the following fields:

Record information

- **Examination number:** This number identifies a Suspect Examination record.
- **Status:** Shows the status of the Suspect Examination record. By default, Suspect Examinations are created with the status New; it can then be modified manually according to the analysis performed by your company.

  The status included in Searchlight CFT are the following:

  - **New:** This status represents a Suspect Examination that has not been reviewed yet.
  - **Under review:** This status represents a Suspect Examination that is being reviewed.
  - **Positive:** This status should be used once analysis has been completed and it is determined that the individual or entity scanned is a real suspect.
  - **False positive:** This status should be used once analysis has been completed and it is determined that the individual or entity scanned is not a real suspect.
- **Comments:** This field allows you to leave necessary comments in the suspect records.
- **Owner:** This field shows the person that is the owner of the record.
- **Source:** Shows the name of the scanned record as it is listed in your organization.

Suspect information

- **Suspect:** This record contains the data from the sanction list as it is also shown in the Suspect Examination record.
- **Sanction list:** Shows the alias of the sanction list in which each suspect name was detected.
- **Suspect name:** Shows the name of the individual or entity found in the watch or sanction list.

> If your record was matched with an alias instead of a name, you should refer to the Additional information field to see the suspect name related

Additional information

- **Entity type:** Shows the suspect's entity type as it appears in the source list.

- **Entity ID:** This field shows the ID that is listed in the sanction list for the suspect found.
- **Alternative ID:** This field shows an alternative ID that can be found in the sanction lists.
- **Date of birth:** Shows the date of birth of the individual found if it is available in the source list.
- **Place of birth:** Shows the place of birth of the individual found if it is available in the source list.
- **Citizenship:** Shows the citizenship of the individual found if it is available in the source list.
- **Address:** Shows the address of the suspect found if it is available in the source list.
- **Additional information:** Shows additional information available in the source list about the suspect. At the top of this field you will find the aliases of the record found in the list.
- **Created by:** Shows the date and time the suspect was created and the user who did it.
- **Last modified by:** Shows the date and time the record was last modified and the user who did it.

If you need assistance, please contact us at

support@altergaia.com

Please note that we estimate a response time of 24 hours.

Support hours: Monday to Friday - 9:00 to 18:00 UK time.

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