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Risk Intelligence Data (RID)

User Guide

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Document control

Version	1.6
Date	03/10/2024
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Recent changes

v1.2 – v1.3: The data provider for Corporate search is now the Sayari database https://sayari.com/ instead of OpenCorporates database (https://opencorporates.com).

You can see this change in Performing a quick term search.

v1.3 – v1.4: Updated titles and function of the Total Searches, Saved Reports, and Names Monitored widgets on the Homepage. The titles have been changed and no longer include a counter to improve performance issues. The widgets now only display up to a maximum of five items.

You can see this change in Navigating the Homepage.

v1.4 – v1.5: Updated Overview of RID section and removed other available tools within the application. Moved RID results, scores, and sources to after Getting started.

v1.5 – v1.6: Added help content from the online help and removed the reference to it from **Help and support**.

Overview of RID

The Diligent Risk Intelligence Data (RID) solutions is a fully automated risk monitoring solution. RID was created to scan a client's customer base or partners as subjects of investigation to identify a wide range of risks.

The application helps organizations with various Risk and Compliance programs, including the following to help comply with ABAC guidelines:

- Conflicts of interest disclosure management
- Anti-Money Laundering programs
- Sanctions and watchlist screening for trade, export, and anti-corruption compliance
- Adverse media and negative news monitoring for reputational risk monitoring

Organizations can use RID to screen and monitor customers, suppliers, partners, and employees. Users can search terms, such as persons, organizations, or entities, to find adverse media mentions, negative sanctions, and appearances on watchlists. Users can also set up monitor lists to receive alerts when new and relevant results appear for terms. This service helps to define a fully automated risk monitoring.

Key features

Here are some of the essential monitoring and screening capabilities that define the RID application:

- **Quick Search -** Perform a quick search, using single or multiple terms, on individuals, organizations, or entities against a comprehensive database of news articles, watchlists, sanctions list, and PEP list.
- **Automated monitoring -** Use the Monitor List function to maintain ongoing oversight over individuals, organizations, or entities. Upload a list of names, select the source against which the search should happen, and RID sends an email alert when a new, relevant result appears. The solution performs a daily scan of monitor terms against matches.
- **Integrated monitoring service -** Use the API to complete automation by integrating RID platform with any tool to consume the terms and actively monitor those for negative news, sanctions, and watchlist screening.
- **Reporting -** Use this to track and report terms monitored by organizations and users and alert trends.

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Getting started

Logging in to RID

1. To log in to RID, go to https://search.Diligent.com/security/login
2. In the **Username** field, enter your username. This is usually a combination of the first initial of your first name and your entire last name, for example jsmith for John Smith.
3. In the **Password** field, enter the password that you created. Passwords are case sensitive.
   Note: Diligent provides you with a temporary password when you first access the platform. You must change this temporary password at the time of your first login.
4. (Optional) If you have forgotten your password, select **Forgot Password?**
5. Select **Sign In**.
6. To log out and end your session, select **Log Out** in the RID toolbar.
   Note: For safety reasons, RID automatically logs you out after 10 minutes of non-activity.

Managing your profile

Diligent generates your username when providing you with access to RID. The normal format for your username is the combination of the first initial of your first name and your last name, for example jsmith for John Smith. If a username of that format doesn't work, contact support using support_rid@diligent.com.

Changing your password

1. To change your password, select your name in the RID toolbar.
2. To change your password, under the **Password** field, select **here**.
3. In the **E-mail address** field, enter your email.
4. Select **Reset Password**.
5. Follow the instructions in the password reset email.

Accessing and editing your user profile

Note: Only RID staff can access and edit their own profile.

1. To access your user profile from any page, select your name in the RID toolbar.
2. In the **First** and **Last Name** fields, you can edit the first and last name on your profile.
3. In the **Email Address** field, you can edit your email address.
4. To change any information on your profile, in the **Password** field, enter your existing profile password.
   Note: If you want to change your password, go to Changing your password.
5. In the **Timezone** dropdown, you can select a new time zone.
6. Select **Update**.

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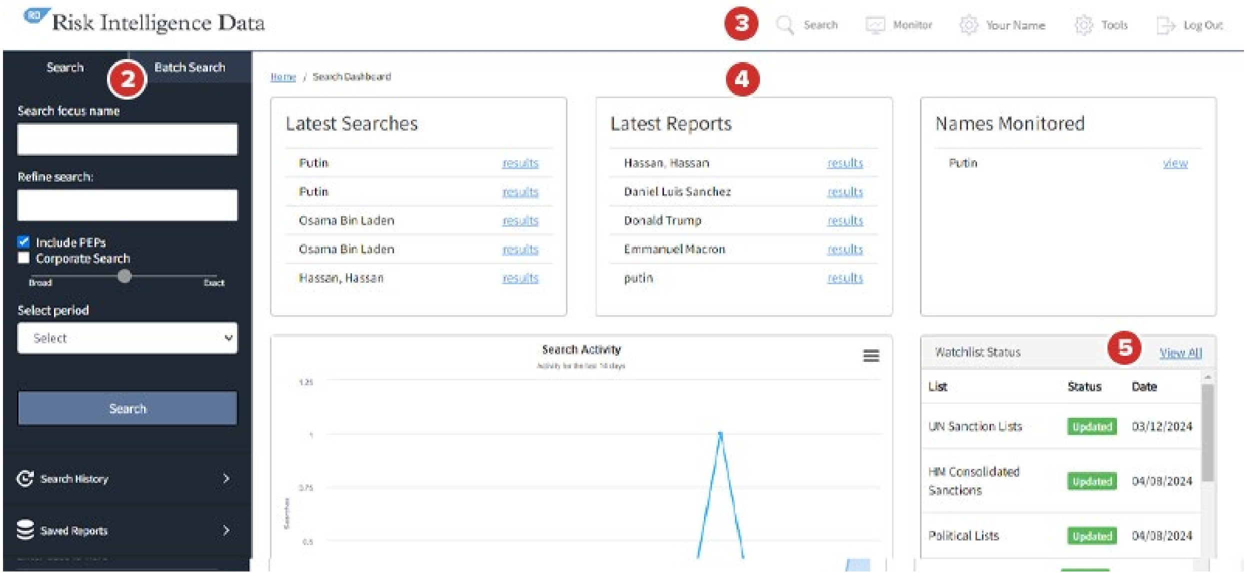
RID user types

The following table displays what features and functions that a regular and manager level user can access and use.

User Type	Feature access	Available functions
Regular User	User interface (UI) searches	Performing quick searches using the UI
		Adding individual terms to a monitoring list
		Adding screening results to a report
		Performing batch searches (up to a max of 12 terms)
	Manage alerts	Reviewing alerts in My alert and Group Alert tab
		Dispositioning alerts
		Reassigning alerts
	Manage Lists	Adding a term
		Editing a term
		Bulk editing terms
Manager User	UI Searches	Same as a regular user
	Manage alerts	Same as a regular user
	Manage Lists	Same as a regular user
	Manage Lists	Creating a new list
		Bulk uploading
		Deleting a monitoring list **Note:** The Delete Term function is only available for lists that have not been previously screened.
	Reports	Viewing manager stats and reports on searches and user activity

Navigating the Homepage



1. After you log in to RID, you can view the Search, Toolbar, Search Dashboard, and Watchlist Status sections on the RID homepage.
2. In the **Search** section, you can view and use the following features:

- **Search:** Use this tool to perform a quick search on individuals, organizations, or entities. For more information about the Search tool, go to Performing a quick term search.
- **Batch Search:** Use this tool to perform a batch search. For more information about the Batch Search tool, go to Performing a batch search.
- **Search History:** Use this tool to view your searches or to navigate to your full search history page. For more information about your search history, go to Viewing your search history.
- **Saved Reports:** Use this tool to view the last four reports or to navigate to your full report history page. For more information about your saved reports, go to Viewing your saved reports.
- **Manager Stats:** This tab is only available to users with Manager status and allows users to view the search activity of all other users in their group. For more information, see Management Reporting.

3. In the **Toolbar** section, you can view and use the following options:

- **Search:** Select this option to open the Homepage and use the search capabilities.
- **Monitor:** Select this option to open the monitor list and alerts section. In the various tabs, you can add, edit, and delete monitor lists and manage the results and alerts from these lists.
- **Your Name:** Select this option to navigate to and view your profile information. You can also use this option to view the last updated status of the watchlists and sanction lists here.
- **Help:** Select this option to navigate to and view the help documentation and contact information including access to articles, resources, and tips.
- **Logout:** Select this option to log out of RID.

4. In the **Search Dashboard** section, you can view pre-built visualizations for the following features:

- **Latest Searches:** Use this widget to view your latest searches, up to a maximum of five, and navigate to these quick term searches performed previously. RID stores the search and related results.

- **Latest Saved Reports:** Use this widget to view your latest saved reports, up to a maximum of five, and navigate to them. Any reports that you created from quick term searches and their results are saved and displayed here. For more information, go to Management Reporting.
- **Names Monitored:** Use this widget to view the latest names from quick term searches, up to a maximum of five, that have been added to a monitor list.
- **Search Activity:** Use this widget to track your search trends over the last 14 days.

5. In the **Watchlist Status** section, you can view most common data sources, watchlists and sanction lists, and information about their status. Select **View All** to view all the available watchlists and their last updated status. The **System Status** tab displays when each of the available watchlists was last updated. Watchlists are updated regularly to ensure the highest accuracy.

RID results, scores, and sources

Sanctions, Watchlists, and PEP List results display the source and other relevant information from the source for users to perform further analysis, and action the findings.

Diligent RID screens against over 1400 watchlists, sanctions and embargo lists. You can also use RID to view additional lists identifying parties in higher risk industries such as marijuana related businesses (MRB) and money service businesses (MSB). RID datasets are updated daily to reflect current events. For more information about the statuses of watchlists and sanction lists, go to Checking when a watchlist was last updated.

The primary sources of information for the PEP Desk® are official government websites, such as for presidents, prime ministers and cabinet ministers, legislative bodies, supreme courts of justice, or military administrations, and official gazettes in which laws, decrees, investitures, and depositions are published.

RID ranks Adverse Media results based on their Relevance Score. The relevancy scoring engine and score thresholds help compliance teams focus on relevant results, thus reducing noise, while searching vast quantities of unstructured data. RID leverages machine learning and natural language processing to identify and surface derogatory information related to financial crime compliance and reputational issues. For more information about relevancy scores, go to Understanding the relevancy score of an article.

The Management Analytics Dashboard includes reports that quantify usage, productivity, and alert trends, giving Manager-level users full audit control and oversight into their organization’s instance of RID. For more information about management dashboards and reviewing user activity, go to Managing reports and user activity.

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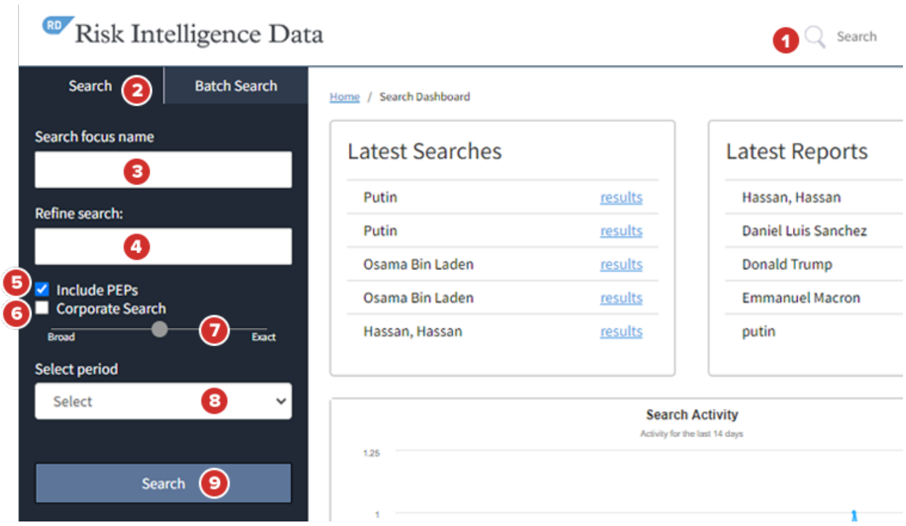
Searching

Diligent RID mines negative media data from over 3.5 million sources. These sources include national and local level news sites, blogs, regulatory, and law enforcement sources. Since publicly available data is constantly growing, our source list is also continually expanding, and each day over 20,000 new documents are added to the search index.

Performing a quick term search

You can use the Search focus name field in the Search panel to complete basic or quick term searches.

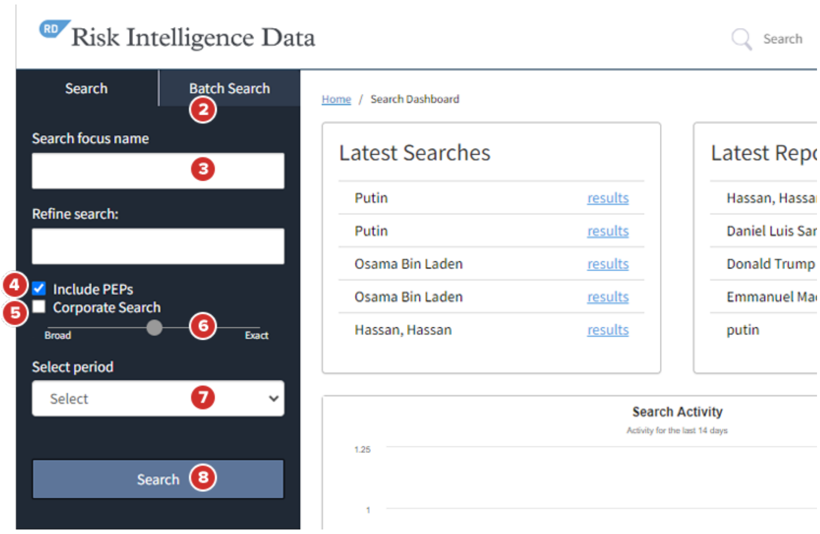


1. To access the quick term searching panel on the Homepage from another screen, select **Search** on the toolbar.
2. Select the **Search** tab.
3. In the **Search Focus Name** field, enter a term to search for. The term can be a person, including their first and last name, or an entity, such as a company, organization, or charity.
   Note: Adding more detail in your search, such as a middle name or initial, is optional but it can make your search more specific and accurate.
4. (Optional) To further refine the search for more relevant results, in the **Refine search** field, enter additional information, such as a location, business or person association, or occupation. You can include multiple refinements, and you can separate them using AND and OR qualifiers.
   Note: RID uses the information that you enter in the Refine search field to search only media and news. It is not used for searches against sanctions or watchlists, because negative news is mined from open data sources. Dates of birth and Taxpayer Identification Numbers, such as an SSN or EIN, would not be effective refinements because this information does not typically appear in an online news article.
5. (Optional) To include politically exposed persons (PEP) in the search, select the **Include PEPs** checkbox. RID displays the PEP search results on a separate PEPs tab.
   Note: This option only appears if you have the associated license.
6. (Optional) To include corporate records in the search, select the **Corporate Search** checkbox. These results come from the Sayari database (https://sayari.com) in addition to other standard results. RID displays the corporate search results from the corporation search on a separate Corporate Records tab.
   Note: This option only appears if you have the associated license.
7. (Optional) To refine your search and improve your results, you can use the **Broad Exact** slider. For more information, see Improving search results.

8. (Optional) Select the **Select period** dropdown and select the time period to filter the results within that specific timeframe. If you select **Custom**, in the field below, select a date to filter the results from that date.
9. To perform a basic search, select **Search**.

Performing a batch search

Note: You are limited to 12 names or terms in each batch search that you make.



1. To return to the Homepage, select **Search** on the toolbar.
2. Select the **Batch Search** tab.
3. In the **Paste list of names below** field, you can search for multiple terms using one of the following options:

- Paste a list of names or terms, with each name on a separate line.
- Enter one search name or term, with each name on a separate line.

Note: You must put batch search terms on separate lines. If you separate the terms using a comma or semi-colon, the batch search will not return any results.

4. (Optional) To include politically exposed persons (PEP) in the search, select the **Include PEPs** checkbox.
5. (Optional) To include corporate records in the search, select the **Corporate Search** checkbox.
6. (Optional) To refine your search and improve your results, you can use the **Broad Exact** slider. For more information, see Improving search results.
7. (Optional) Select the **Select period** dropdown and select the time period to filter the results within that specific timeframe. If you select **Custom**, in the field below, select a date to filter the results from that date.
8. To view your multiple search results in a table, select **Search**.
9. To open the results in a new window, select a search term.

Improving search results

You can use the Broad Exact slider to broaden or restrict the search parameters. Generally, the default setting will provide the best results. Your search term may return too many results if you search for a target with a common name.

Note: Search for all names with the default setting first, using the first and last name with no middle name or initial, and no terms in the Refine Search field. Your results from this search will determine how to best adjust the search settings.

After you complete your search, to refine the results, select one of the following options:

- If your search returns too many results, move the slider to **Exact** to refine the results.
- If your search returns nothing or too few results, move the slider to **Broad** to broaden the search criteria.
- If your search returns a result that matches your target term but not the person or company that you want, enter a middle name or initial in the **Search focus name** field, or enter a location or related company in the **Refine Search** field.

Viewing your search history

You can view the names and terms that you searched for previously in the Search section on the Homepage.

1. To return to the Homepage, select **Search** on the toolbar.
2. In the **Search** tab, select **Search History**.
3. To view the search results for an individual search, select **View** beside one of the search terms.
4. To view all your previous search terms, select **See All**.

Reviewing search results

The Diligent Search Results Page (SRP) aggregates and displays all the application's data sources into a dashboard so that you can immediately identify potential client risks.

1. To access search results, perform a new search or open a previous search.
   For more information, go to Searching.
2. To review the search results, review each of the following sections:

- **Search Results:** This section displays news articles related to your search result, ordered from highest to lowest by their Diligent Relevance Score. For more information about the Relevance Score, see Understanding the relevancy score of an article.
- **Watchlist Searches:** This section displays what watchlists the person or company appears on.

3. To open and review an article in more depth in the Result Analysis Page (RAP), select **Result Analysis Tool**. For more information about the RAP, see Viewing the Result Analysis Page. The source of the article for a search result is located under the article title.

Note: You may find a result in Google that you don't find in RID. Google is one of the hundreds of sources that RID incorporates in real-time into its results. Google results are included as part of every RID search, but the results provided by Google through their search feed can be different than what a user would see if they ran a direct Google search. It is rare that the RID and Google results don't match, but if you see an instance of this occurring, contact support using support_rid@diligent.com. Diligent RID's goal is to have 100% data coverage, and these instances help us identify what new information areas RID can add.

Translating articles

If there is a negative news article in a foreign language, you can use the Google translate option to translate it.

- After you complete a search, in the **Search Results** section, select **Google Translate** below the article that you want to translate.

Viewing the Result Analysis Page for a result

The Resource Analysis Page (RAP) provides a proxy that obtains the source webpage's content, thereby shielding identifying information from the target website and providing the information in an easily readable format. The RAP shows the result of the content extraction and highlights the significant factors related to the relevancy model calculation.

- To view an article in more depth on the Result Analysis Page (RAP), select **Result Analysis Tool**.

There are two sections of the content extraction:

- **Abstract:** This is based on the website meta information.
- **Body:** This is the aggregated scraped content from the site itself.

In the Possible Related Parties section, the RAP uses a natural language process algorithm to identify related companies, people, and locations mentioned on the webpage.

Understanding the relevancy score of an article

The Relevance Score appears next to each result and has a numeric value assigned to each search result. The value ranges from 0 to 100, with 100 being the highest risk, and represents the likelihood that the result contains derogatory information.

Note: The score does not necessarily indicate the likelihood of the search result being specific to your search target. You should manually review results with a high score to determine the relevance to the search target.

The relevancy score is based on a combination of the following three factors:

- Number of times a match appears with the term being searched.
- Appearance of negative media in the same article.
- Proximity of the negative term with the search term being searched.

Additionally, the Relevance Score Bubble is color coded; Red, Orange, and Blue; with Red being the most likely to contain negative information.

Adding search results to reports

To add the returned search results to a report, complete the following steps:

1. Perform a quick term search or open previous searches. For more information, go to Searching.
2. To add the search results to a report, depending on your location on the site, complete one of the following options:

- In the **Search Results** section, select the **Add to Report** checkbox beside the results that you want to include in your report.
- In the **Search Results** section, select the **Select all** checkbox to include all the results in your report.
- In the **Result Analysis Page** of the search result, select the **Add to Report** checkbox, and select **Back**.

3. At the top of the **Search Results** page, select **Create Report**.
4. (Optional) To add notes to the report, in the **Generate report for [search term]** window, you can enter **additional notes**.
5. To know when the report is finished being created, select the **Notify me via email when the report is complete** checkbox.
6. Select **Create Report**.
   RID opens the List of reports page, and the **Status** column will indicate when the report is ready for download. The page auto-refreshes every 60 seconds but you can refresh it manually to see the results sooner.
7. After RID generates your report, to download it to your computer as a PDF, select **Download**. You can save the file under a specific name as well as print with the standard print control from within your PDF reader.
8. To merge up to five reports into one report, in the **List of reports** page, select the checkboxes beside the reports, and select **Merge Reports**. RID automatically downloads the merged report as PDF to your computer.
   Note: The merged report is not saved as a new report, but it will be available in the Downloads folder on the local computer.

When a user selects to add an article from a result to the report, the RID tool visits the source website and attempts to identify and grab just the main text from the result. This process is one of the more complex things the RID tool does because of the infinite ways websites can be structured. The tool removes all other information on the page, such as navigation menus, images, or ads. In more than 80% of instances, the tool can do this without any problem, and it inserts the full text into the report.

Unfortunately, there are some situations when adding the full text is not possible. These can happen if the result is one of the following:

- A PDF document
- The content is behind a paywall
- There are errors in the way the site is coded
- The site actively blocks its content from being scrapped
- There is a pop-up window blocking the content.

In the instances where the tool is not able to add the full result text, it will include the result title, snippet, result URL, and score.

Viewing your saved reports

You can open previously generated reports from Saved Reports at any time.

1. To return to the Homepage, select **Search** on the toolbar.
2. In the **Search** tab, select **Saved Reports**.
3. To view an individual saved report, select **View** beside one of the reports names.
4. To view all your saved reports, select **View All Reports**.

Merging previously created PDFs

After RID generates your reports, you can go to the My Reports page to merge them later.
Note: The merged report is not saved as a new report, but it will be available in the Downloads folder on the local computer.

5. To open the My Reports page, in the Search section of the Homepage, expand **Saved Reports**, and select **View All Reports**.
6. To merge up to five reports into one report, in the List of reports page, select the **check boxes** beside the reports, and select **Merge Reports**.

RID automatically downloads the merged report as PDF to your computer.

Adding a quick search term to a monitoring list

If you require ongoing monitoring of a subject, you can add individual or entity names to a monitoring list using the Create Monitor function.

1. To add a search term to a monitor list, on the **Search Results** page, select **Create Monitor**.
2. In the **Monitor List** dropdown, select the monitor list that you want to add the term to.
   Note: You cannot create a new one from here. Ensure a monitor list exists before you begin this process. For more information about creating a monitor list, go to Creating a new monitor list.
3. In the **Status** dropdown, select **Monitor**.
   Note: The Status dropdown, by default, reflects the status of the monitoring list that you selected in Step 2. If the status is paused, adding the name will not yield any results. The list status needs to be in the Monitoring status for searches to run.
4. (Optional) In the **Analyst** dropdown, select the name of the analyst who should receive alert notifications for this list.
5. Select **Add to Monitor**.

Flagging a non-relevant website

Users can alert RID to a non-relevant website directly through the RID site.

- To flag non-relevant websites, in the **Search Results** section, select the **Flag Source Quality** icon beside the source that you want to flag.

Non-relevant websites include:

- Sources that would never contain negative news relating to financial crime
- Sources known to exhibit "fake news" and/or extreme bias, overt propaganda, poor sourcing of credible information
- Sources known to be purely satirical

After you select the **Flag Source Quality** icon, the RID team reviews the source. If approved, all future articles from the source will not be displayed. RID is constantly adding to its unapproved list of websites, and this is a way for our users to also improve source quality in real-time.

Creating a new monitor list

Any user with manager level access can upload monitoring lists directly onto the RID platform. A manager level access user can upload only a .csv file with the parameters outlined in the following table. To download a sample file with the template, see Step 13.

Field	Required	Description	Format
Term	Required	Name the name of the entity or individual that will be monitored	Text
Refinement	Not Required	Details provided in this field are used only for media screening not for Watchlist screening	Text
Date of birth	Not Required	Recommended if the term being searched is an individual to ensure more accurate results	12/21/1966
Location	Not Required	Matches the location as provided in the watchlist/sanctions list. If not, match is found then the term hit will be filtered out	
ClientId		Internal client identifier that can be appended to each search term. This is not used in search but is beneficial for reporting needs. **Note:** This is known as Case ID on the RID platform.	some-client-id
AnalystEmail	Not Required	Email of the person who needs to review the generated alerts	somebody@ example.com

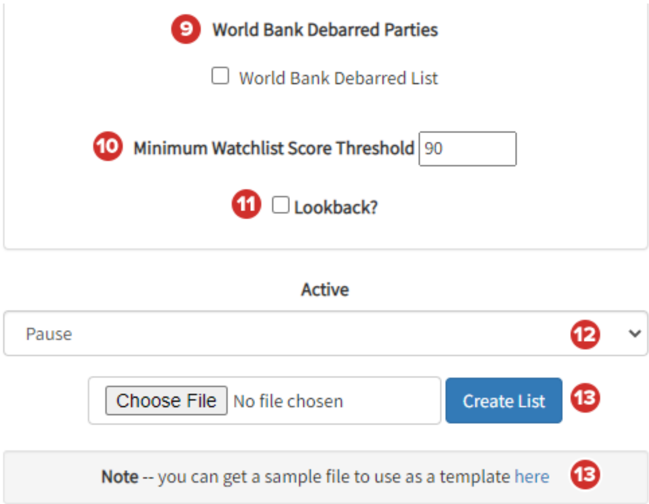
1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab and at the bottom of the tab, select **Add a New List**.
   Note: To configure the settings for the list based on which screenings will be performed, complete the following steps.
3. In the **List name** field, enter a name that you can easily understand and differentiate including additional data such as the date or content included.
4. In the **Monitor the following** section, select one or more checkboxes, beside the type of data to monitor the list against, from the following options:
   Note: You must select at least one category.

- **Negative News**
- **Financial News**
- **Watchlists**
- **PEPs**
  Note: The PEPs option may not appear if you are not authorized for PEP searching.

5. (Optional) If you select the **Negative News** or **Financial News** checkboxes, in the **Media Categories** section, complete the following steps:
6. Select one, multiple, or all the checkboxes beside the news categories.
   Note: Utilizing machine learning and natural language processing, the Monitor alerts contain article tags, highlighting the various categories of negative news an article is about. Some categories include money laundering, terrorist financing, cybercrime, and human trafficking.
7. To include the article in the screening process, in the **Minimum News Score Threshold** field, enter a minimum relevancy score threshold. For more information about the relevancy score, go

to Understanding the relevancy score of an article.
Note: The default minimum relevancy score threshold is 75. A lower value can create more false positives or irrelevant news. A higher value can miss some relevant news. For optimal results, we recommend that you set the minimum value to 90.

8. If you want the screening process to include results from the present day onwards and historical results, select the **Negative News Lookback?** checkbox. If you want the screening process to include results only from the present day onwards, deselect the **Negative News Lookback?** checkbox.
9. To define a specific timeframe for lookback at the time of first run, in the **Earliest Search Date:** field, enter a date in the format, yyyy-mm-dd.
Note: If you leave this field empty, then the platform checks for adverse media updates for the last 24 hours only.



10. (Optional) In the **Watchlist Selections** sections, complete the following steps:
11. Select one, multiple, or all the checkboxes beside the watchlists that you want to include in the screening process.
Note: The platform pre-selects the **All Watchlists** checkbox by default.
12. To include the article in the screening process, in the **Minimum Watchlist Score Threshold** field, enter a minimum relevancy score threshold. For more information about the relevancy score, go to Understanding the relevancy score of an article.
13. To run screening against the selected watchlists for the last 24 hours only, deselect the **Lookback?** checkbox. By default, this checkbox is deselected. If you are confident that the terms in the list did not appear in watchlists prior to the upload date, do not select this checkbox. If you select this checkbox, then the first run will look back at any historical appearance of the term on all watchlists and subsequent runs will look back only 24 hours.
14. To determine the status of the list, in the **Active** dropdown, select **Pause** or **Monitor**. By default, lists are set to **Pause** when uploaded so that the platform does not start monitoring them until you set them to **Monitor**. This setting should be changed to **Monitor** to start the screening.
15. To upload a list, complete one of the following sets of steps:

- **Upload existing populated list:**

    a) Select **Choose File**.
    b) Select the .csv file that contains the list of names and entities to monitor. This file must be in the RID Monitor List template.
    c) Select **Open**.

- **Create and upload a new list:**

  a) To download the upload_sample template, in the note below **Create List**, select **here**.
  b) Populate the downloaded csv file with your list of names and entities to monitor. For more information about what each field means and what data to provide, go to the table at the beginning of these steps.
  Note: Do not remove the header row in the csv template.
  c) Save your new list as a csv file.
  d) Select **Choose File**, select your new .csv file, and select **Open**.

16. Select **Create List**.

Editing an existing monitor list

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab.
3. Select **Edit** beside the list that you want to edit the list settings of.
4. If you have manager level access, you can edit the name of the list, score thresholds, media categories, or change which set of data is monitored. For more information about editing these settings, go to Creating a new monitor list.
5. To pause lists so that they are not monitored daily, at the bottom of the settings, in the **Status** dropdown, select **Pause**.
6. Select **Save Changes**.
7. To display and edit all the names being screened as part of the list and other details for those names, select the list that you want to edit.
8. (Optional) To add a name to the list, go to Adding a single name to an existing monitor list.
9. (Optional) To edit a name in the list, go to Editing a single name on an existing monitor list.

Adding a single name to an existing monitor list

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab, and in the **Manage Lists** tab, select the list that you want to add a single name to.
3. Select **Add/Export List Terms** and select **Add Single Entry**.
4. In the **Term** field, enter the name of the entity or individual that will be monitored.
5. (Optional) In the **Refinement** field, enter details to refine for media screening. These details are not used for Watchlist screening.
6. (Optional) In the **Date of Birth** field, enter the individual's date of birth in the format mm/dd/yyyy.
7. (Optional) In the **Location** field, enter the location that matches the location provided in the watchlist or sanctions list. If you do not and a match is found, then RID filters the term result out.
8. (Optional) In the **Analyst** dropdown, select your own name or the name of another analyst that will receive the alerts for the new match.
9. (Optional) In the **Case ID** field, enter an internal client identifier that you append to each search term. This identifier is not used in search but is beneficial for reporting needs.
   Note: The Case ID entry is known as the Client ID in the sample monitor list template.
10. Select **Add Term**.

To check the new term, the new term is the final item in the list. The new term inherits the status from the list status. If the list is set to **Monitor**, the new term will be monitored. If the list is set to **Pause**, the new term will be in pause state.

Note: If the status of the list is set to **Pause**, the term will not be monitored even if you set the status of the term to **Monitor**. If the status of this list is set to **Monitor**, the platform monitors all the terms where the status is **Monitor** but if the term is set to **Pause**, the term is not monitored.

Editing a single name on an existing monitor list

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab, and in the **Manage Lists** tab, select the list that you want to edit a single name in.
3. In the **Edit** column, select **Edit** beside the single name or term that you want to edit.
4. (Optional) In the **Date of Birth** field, edit the individual's date of birth in the format mm/dd/yyyy.
5. (Optional) In the **Location** field, edit the location that matches the location provided in the watchlist or sanctions list. If you do not and a match is found, then RID filters the term result out.
6. (Optional) In the **Case ID** field, edit the internal client identifier that you append to each search term.
7. (Optional) In the **Analyst** dropdown, select your own name or the name of another analyst that will receive the alerts for the new match.
8. In the **Status** dropdown, select **Pause** or **Monitor**.
9. Select **Save Changes**.

Deleting a single name on an existing monitor list

The Delete Term option is only available if there was no previous monitoring run for that name. If there was a monitoring run, the Delete Term option is removed for audit purposes. If there are grayed out fields in the form, other than the Date Added field, these are not editable because of a previous monitoring run.

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab, and in the **Manage Lists** tab, select the list that you want to delete a single name from.
3. In the **Edit** column, select **Edit** beside the single name or term that you want to delete.
4. At the bottom of the page, select **Delete Term**.

Recreating and updating an existing name that you cannot delete

If you need to edit an existing name with greyed out fields, you must pause this item and create a new one with the updated information. If the size of the list is bigger than two million, the updates are not visible immediately in the table, because there is a screen cache, but the data is saved.

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab, and in the **Manage Lists** tab, select the list that you want to delete a single name from.
3. In the **Edit** column, select **Edit** beside the single name or term that you want to pause and recreate.
4. In the **Status** dropdown, select **Pause**.
5. Select **Save Changes**.
6. Re-create the paused single name or term with updated information. For more information about creating and adding a single name or term, go to Adding a single name to an existing monitor list.

Adding bulk terms to an existing monitor list

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab, and in the **Manage Lists** tab, select the list that you want to add multiple names to.

3. Select **Add/Export List Terms** and select **Upload a File of Names**.
4. To download the upload_sample template, in the note below **Upload File**, select **here**.
5. Populate the downloaded csv file with your list of names and entities to monitor. For more information about what each field means and what data to provide, go to the table in Creating a new monitor list.
   Note: Do not remove the header row in the csv template.
6. Save your new list as a csv file.
7. Select **Choose File**, select your new .csv file, and select **Open**.
8. Select **Upload File**.

Updating status of terms in bulk within an existing list

1. In the RID platform, select **Monitor** from the toolbar.
2. To update the status of multiple terms at once, select the **Manage Lists** tab, and in the **Manage Lists** tab, select the list that you want.
3. To update the status of a term, select the checkbox beside the term.
4. If you want to pause multiple selected terms at once, select **Bulk Pause**.
5. If you want to activate multiple selected terms at once, select **Bulk Activate**.

Pausing an existing monitor list

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab, and in the **Manage Lists** tab, in the **Settings** column, select **Edit** for the list that you want to pause.
3. In the **Status** dropdown, select **Pause**.
4. Select **Save Changes**.

Downloading an existing monitor list

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab, and in the **Manage Lists** tab, select the list that you want to download.
3. Select **Add/Export List Terms** and select **Download Terms**.

RID downloads the list in an .xlsx format for your review.

Viewing and filtering monitor list results in a table

1. In the RID platform, select **Monitor** from the toolbar.
2. You can view the results from ongoing monitoring of terms on a list in a tabular manner in either of the following tabs:

- **My Alerts**: This tab displays the results for all the alerts that are assigned to that specific user.
- **Group Alerts:** This tab displays the results for all the alerts regardless of who they are assigned to.

3. To filter the results displayed in the **My Alerts** or **Group Alerts** tabs, use one or more of the following filters:

- **Open**, **Closed**, **Escalated**, and **All** checkboxes: To filter by the status of the alert, select one or more checkboxes.
- **From** and **To** fields: To filter by date range, enter a start and end date.
- **Monitor List** dropdown: To filter by Monitor List, select the list.
- **Search** field: To search for all alerts generated on a specific entity (individual or company), article tag, or analyst, enter a name, term, or other value.

4. To sort alerts by ascending or descending order, select a column heading.
5. In the **Records per page** dropdown, select the number of results displayed on each page.

The My Alerts or Group Alerts tabs display results in a table with the following column headings:

Column heading	Description
Result Match	If the alert is generated based on negative news, the news article title is listed. If the alert is generated from a Watchlist or PEP list, the name of the individual or company is listed.
Name Searched	Indicates the unique name that the alert has been generated on.
Monitor List Name	Indicates the unique list name established by user.
Tags	Indicates the article tag(s) associated with the alert.
Type	Indicates whether the alert was generated from negative news, Watchlist, or PEP list.
Score	Indicates relevance score of the alert.
Status	Indicates status of the alert
Date	Indicates date the alert was generated.
Analyst	Lists the name of the analyst that the alert is assigned to.

Viewing monitor list results in detail

After you view the results of a monitor list in either the My Alerts or Group Alerts tabs, you can view each result in more detail.

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **My Alerts** and **Group Alerts** tab.
3. Filter for the result that you want to view in detail. For more information about filtering results, go to Viewing and filtering monitor list results in a table.
4. To view the alert and result in more detail, in the **Result Match** column, select the article title.

Tagging articles in RID

Utilizing machine learning and natural language processing, RID Monitor alerts contain over 25 article tags, highlighting the various categories of negative news that an article can be about. Some categories that are included are money laundering, terrorist financing, cybercrime, and human trafficking.

Viewing articles with only the selected article tags

By default, RID Monitor lists are set to receive negative news alerts on all media categories or tags. If you want to receive negative news only about the selected media categories, you can edit the Monitor list properties and select the tags that you want.

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Lists** tab.
3. Select **Edit** beside the list that you want to edit the list settings of.
4. To view articles related only to the selected tags, in the Media Categories section, select one or more checkboxes beside the news categories and their associated tags.
5. Select **Create List**.

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Managing reports and user activity

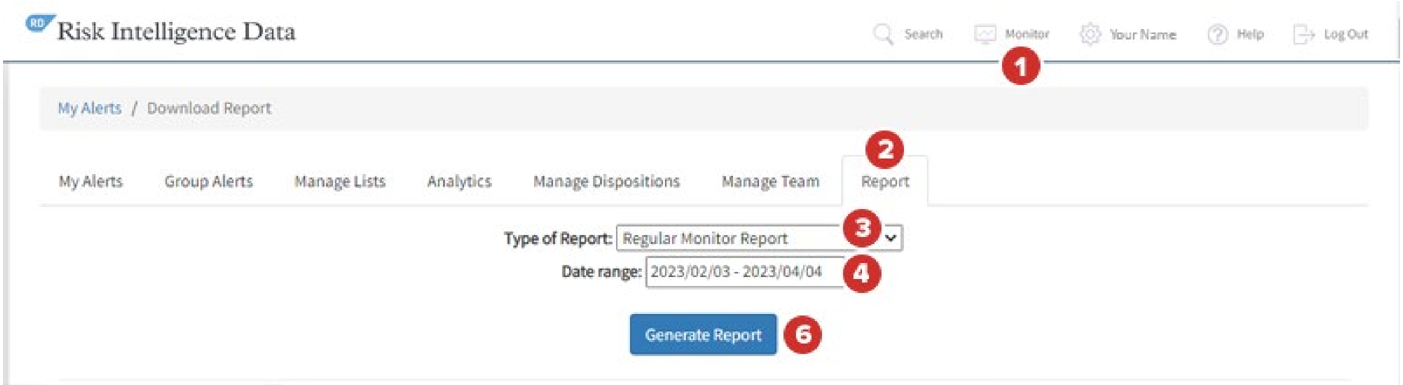
You can create reports from search results and alerts and as a manager-level user, you can view the searches your team has made and their recent activity on the platform.

For more information about creating a report, go to Creating monitor reports.

For more information about adding results to a report, go to Adding search results to reports.

Creating monitor reports

You can create regular monitor and monthly term count reports that incorporate data from a specific date range.



1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Report** tab.
3. In the **Type of Report** dropdown, select **Regular Monitor Report** or **Monthly Monitor Term Count Report**. The Regular Monitor Report is a summary of all reports received within the date range and the Monthly Monitor Term Count Report is a summary of the average terms for each month.
4. To open the date picker, in the **Date Range** field, select the field.
5. Select a start and end date from the date picker and select **Apply**.
6. Select **Generate Report**.

Creating a report of an individual alert

You can create a PDF report about an individual report from the Alert Disposition section of an individual report.

1. Navigate to the detail view of an alert that you want to create a report about. For more information about the detail view of an alert, go to Viewing monitor list results in detail.
2. (Optional) You can disposition the alert using the various fields and dropdowns. For more information about dispositioning alerts, go to Dispositioning alerts.
3. Select **Save and generate report**.

A PDF report downloads to your computer and contains information about Alert Summary, Alert Detail, Disposition, and Activity Log/ Audit Trail.

Viewing your manager dashboard

The Diligent platform provides a management section that gives real-time analytics of department-wide activity, and direct access to the prior search history and reports for all employees.

1. On the Homepage, select **Manager Stats**.
2. To view an overview of user activity, select **View** beside Manager Dashboard.

On the Manager Dashboard page, you can view the monthly number of searches, number of term searches, user search history, active users, user created reports and alerts for all users in your group.

Viewing a user activity as a manager

The Diligent platform also provides a management user activity section that you can use to view the recent activity for all your team.

1. On the Homepage, select **Manager Stats**.
2. To view your team's recent activities, select **View** beside **User Activity**.
3. To view a team member's search history, select the **User Search History** tab.
4. In the **Search** field, enter the team member's name.
5. To view the results related to a specific term search, in the **Search Focus** column, select the term.
6. To view a team member's saved reports, select the **User Saved Reports** tab.
7. In the **Search** field, enter the team member's name.
8. To download the report related to the specific term search, in the **Status** column, select **Download**.

Viewing analysis visualizations

You can view visualizations and data about alert trends, and alert and analyst activity.

1. In the RID platform, select **Monitor** from the toolbar.
2. To view analysis visualizations and data, select the **Analytics** tab.
3. To view analysis visualizations related to alerts, select **Alert Analytics**.
4. To view analysis visualizations and data related to results, select **Result Data**.
5. In the upper-right of a chart, select the **Chart Content Menu** icon, and select from the following options:

- **Print chart**
- **Download PNG image**
- **Download JPEG image**
- **Download PDF document**
- **Download SVG vector image**

6. To search for and view the number of alerts generated for a term, in the Alerts by Name section, in the Search field, enter a specific term.

Managing alerts and dispositions

After you configure a Monitor List in RID, the team will begin to receive results or alerts for active terms. In the Monitor section of RID, these alerts appear in the My Alerts or Group Alerts tabs.

Dispositioning alerts

Analysts review alerts that appear in in the My Alerts or Group Alerts tabs, and based on the review, analysts can disposition an alert from the same screen, which changes its status on the alerts list. Disposition values will be specific to the organization based on how they wish to treat the alerts and can be configured. For more information about configuring disposition values, go to Managing disposition values.

1. Navigate to the detail view of an alert that you want to dispose. For more information about the detail view of an alert, go to Viewing monitor list results in detail.
2. In the **Alert Disposition** section, in the **Disposition** dropdown, select a new status for the alert, such as CLOSED – False Positive or OPEN – Reviewing Alert.
3. In the **Analyst** dropdown, select the analyst that disposed the alert.
4. In the **Rationale** field, enter your reason for disposing the alert.
5. Save the dispositioned alert using one of the following options:

- **Save**
- **Save and continue editing**
- **Save and show next alert**
- **Save and generate report**

Managing disposition values

A manager-level user can manage the disposition values available to their team. You can choose to keep a state open for further review, escalate if it is important, or close an alert if it is complete or irrelevant.

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Dispositions** tab.
3. In the **Description** field, you can edit the title that is shown in the Disposition dropdown of an alert.
4. In the **New Status** dropdown, you can select the state of an alert, **Open**, **Closed**, or **Escalated**, in the **My Alerts** or **Group Alerts** tab.
   Note: In the **Manage Team** tab, you can select users in your user group who should receive a notification when alerts are marked escalated. For more information about managing notification for alerts, go to Managing alert settings for your team.
5. In the **Template Rationale** field, you can edit an additional description. It does appear on the Disposition dropdown on an alerts page.
6. To set a disposition as active, select the **Active** checkbox beside the alert.
7. To make it visible to managed services, select the **Visible to Managed Services** checkbox beside the alert.
8. Select **Save Changes**.

Managing alert settings for your team

A Manager-level user can amend their team's alerts settings using the Monitor List function.

1. In the RID platform, select **Monitor** from the toolbar.
2. Select the **Manage Team** tab.
3. To determine how a term will be assigned if the term is not assigned to an analyst, select the **Distribution strategy** dropdown, and select one of the following options:

- **Random:** Alerts are randomly assigned.
- **Shortest queue:** Alert goes to the analyst with the fewest alerts.
- **Term Affinity**: The platform will try to assign the alert to an analyst who has already been assigned alerts for that search term. If multiple analysts have worked that search term before, the platform chooses a random analyst from the list of candidates. If there are no candidates, then the alert is left unassigned.
- **Term Affinity then random:** The platform will attempt to apply the term affinity rules, but if the platform cannot find an analyst that has worked that term before, then the platform chooses an analyst, from the entire pool, at random.
- **Term Affinity then shortest queue:** The platform tries to apply the term affinity rules, but if the platform cannot find an analyst that has worked that term before, then the platform chooses an analyst with the shortest queue. Again, if multiple analysts are tied for shortest queue, the platform picks one of the candidates at random.
- **Reference Affinity:** Instead of picking an analyst based on what search terms they have worked on before; the platform tries to pick based on the client reference.
  - If an analyst is not currently accepting tickets, the analyst will not be assigned any tickets.
  - If an analyst is assigned to the term itself, that analyst will get ALL the alerts for that term. Unless they are not accepting tickets, then the distribution rules above will apply.
- **Reference Affinity then random:** The platform tries to apply the reference affinity rules, but if the platform cannot pick based on the client reference, then the platform chooses an analyst, from the entire pool, at random.
- **Reference Affinity then shortest queue:** The platform tries to apply the reference affinity rules, but if the platform cannot pick based on the client reference, then the platform chooses an analyst with the shortest queue. Again, if multiple analysts are tied for shortest queue, the platform picks one of the candidates at random.

4. To configure which users can accept tickets, which means who can receive an alert notification email, select the **Accepting Tickets** checkbox beside the user rows.
   Note: You can see how many tickets a user currently has open in the Open Tickets column.
5. To configure which users can receive escalation emails, select the **Send Escalation Emails** checkbox beside the user rows.
6. To configure which users can send reassignment emails, select the **Send Reassignment Emails** checkbox beside the user rows.
7. Select **Save Changes**.

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Additional RID resources

Connecting the Diligent API to your system

The Diligent platform has an open API that can be connected to a customer's source system of choice. A common use case is connecting with a CRM to run checks on individuals or entities.

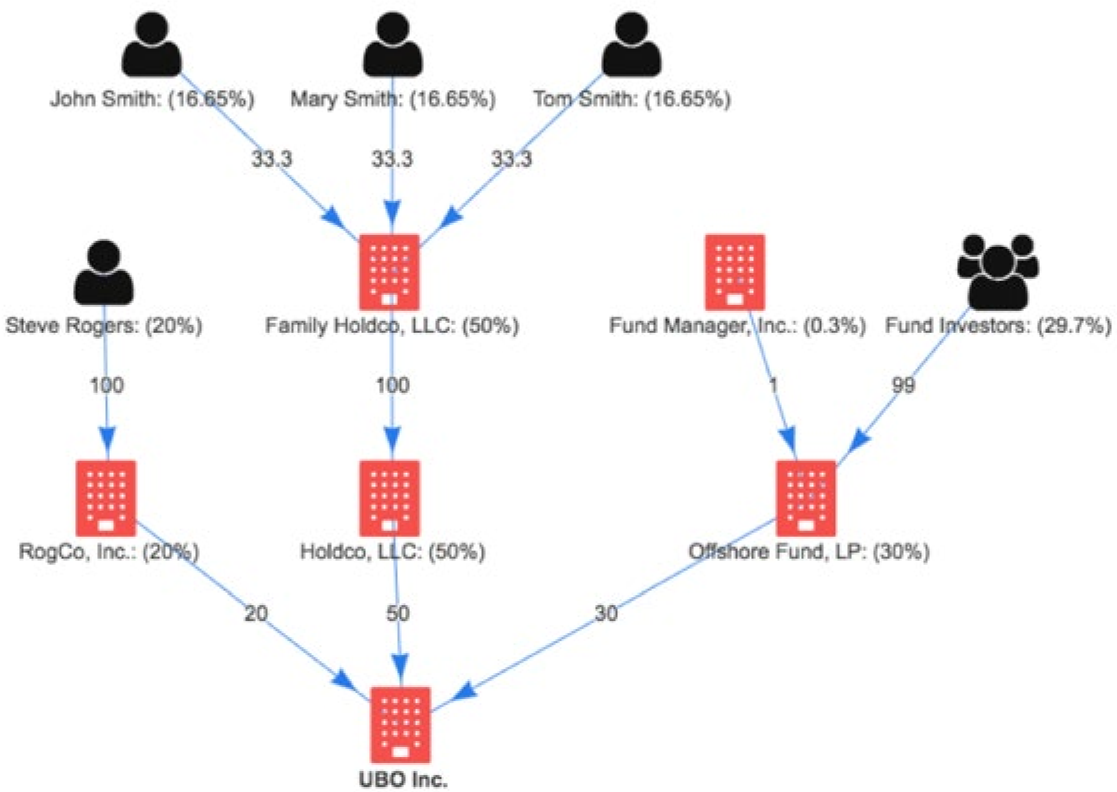
To discuss setting up an API token and to receive additional documentation, contact your Customer Success Manager.

Accessing the RID Universal Beneficial Ownership tool

Important: You can only access the RID Universal Beneficial Ownership (UBO) tool if you have purchased the required licenses.

To access the RID UBO tool, in the RID toolbar, select **UBO Chart Tool**.

http://transparint.com/beneficial-ownership-chart-tool



Accessing additional RID investigative resources

To access additional RID investigative resources, open the following site:

http://transparint.com/resources

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Help and support

If you need general support or have any questions about using the platform, you can contact support using support_rid@diligent.com.