



Tutorial

Using the DowJones Option



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Using the DowJones Option

Efficiency works with several partners who offer you the possibility to add new features to the program. DowJones is one of them. With the DowJones Option, you can do some researches about your clients and check if they are risky clients (if they are PEP, if they had been convicted of any financial crimes, etc.).

As DowJones and Efficiency have a partnership, you can do everything through Efficiency, which facilitates many things.

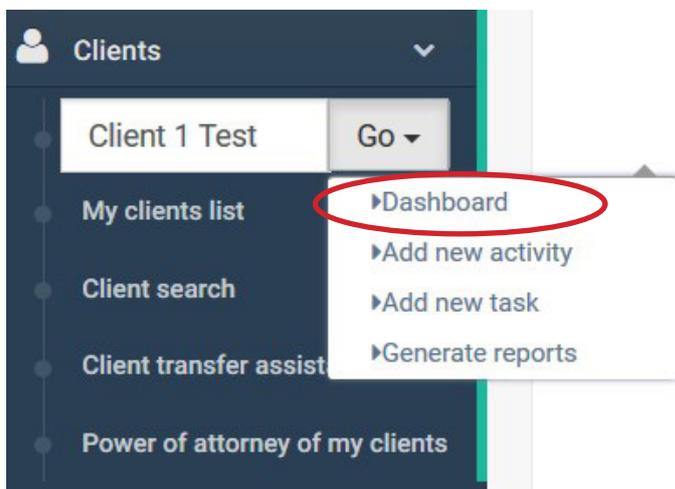
Link a client to a DowJones profile

Link a client to a DowJones profile - Overview:

1. On the client dashboard, click on the «Compliance» menu, and select «DowJones Hit».
2. Click on «Search».
3. Link the DowJones Profile to your client.

Link a client to a DowJones profile - Details:

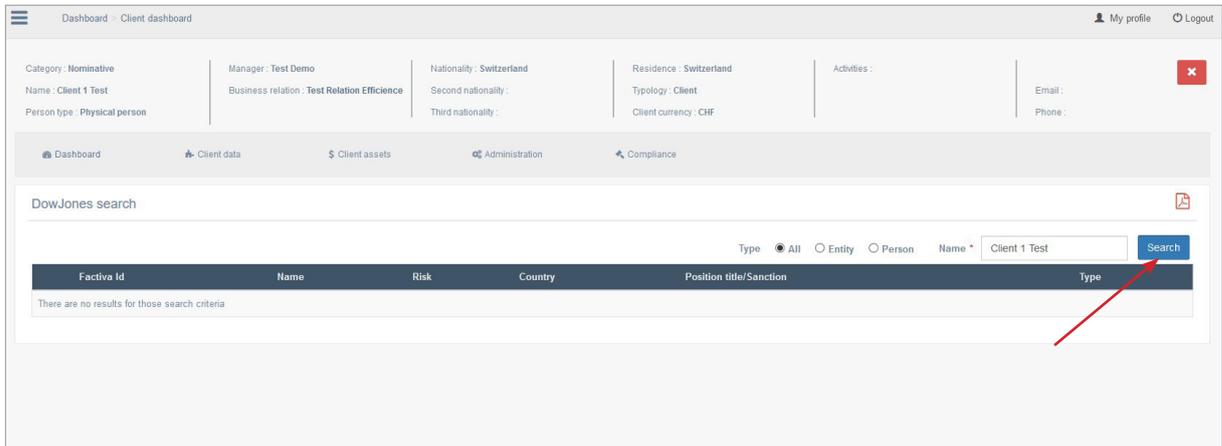
1. Click on «Client» in the main menu and search for the client's name.
2. Select «Dashboard» in the drop-down menu, which appears on the «Go» button.



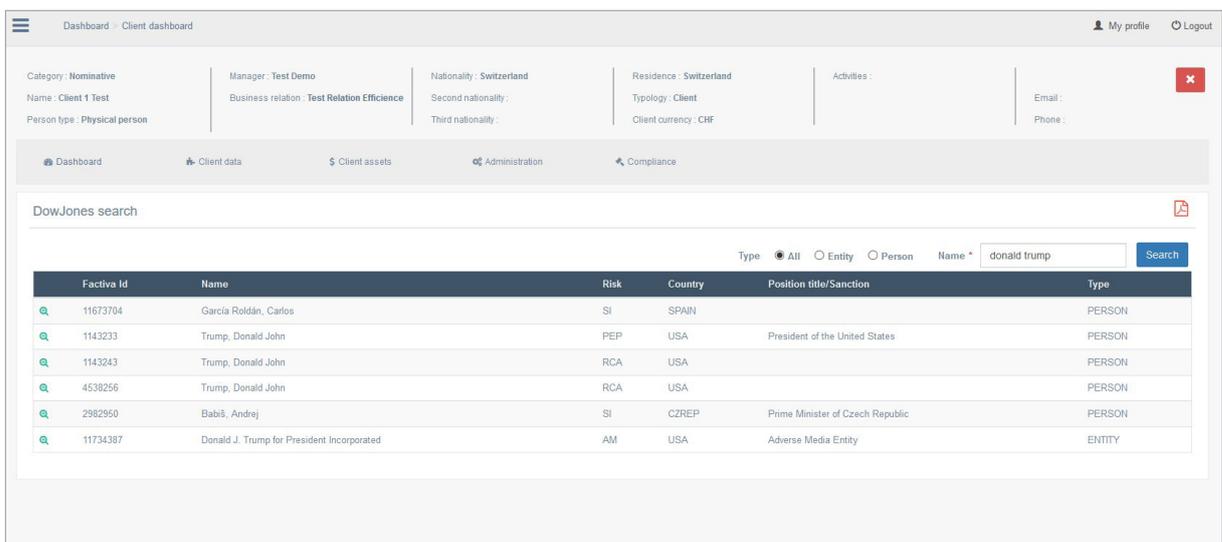
3. In the «Compliance» menu, select «DowJones hits».



- Click on «Search» to see if you find a hit for the client researched.



- Check the results.



- You haven't any hit: it means the client researched is not in the Factiva / DowJones Database.
- You have many hits: check if one entrance matches with your client.

(Please be aware that namesakes are possible, so be careful not to link a Dowjones profile to your client without checking in details the DowJones profile first).

- You have one hit and it is the client researched: you can link his DowJones profile to your client in Efficiency.

- Click on the result corresponding to the client.
- Check the details of the profile. If it is the same person as the client you are looking for, click on the button «Apply Profile».

DowJones profile for Donald Trump Last update on 2019-10-14 10:25:23.330

Type: All Entity Person Name:

Date

Date of Birth	14/6/1946
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Country

Citizenship	United States
Jurisdiction	United States
Resident of	United States

Role

Role	Type	Period
President of the United States	Primary Occupation	20/1/2017 -
Chief of State, Puerto Rico	Other Roles	20/1/2017 -
Commander in Chief, U.S. Armed Forces	Other Roles	20/1/2017 -

Sanctions

Title	Provided by	Period
There is no sanction data for this profile		

Additional notes

Medias

Name	Date	Language	Details
HotelierMiddleEast.com	19-Feb-2017		Q

Profile Details:

- Factiva ID: 1143233
- Record type: PERSON
- Gender: Male
- Deceased: No
- Categories: Politically Exposed Person (PEP)

By doing this, you link the client to the DowJones profile. When something new comes up in the DowJones profile of the client, you receive an alert in Efficiency.

The alert will appear on the Dashboard.

EFFICIENCY Dashboard My profile Logout

Warning clients

🔍 Clients without identification	97
🔍 Identifications expired	7
🔍 Birthdays this month	3
🔍 Today's birthdays	0
🔍 Outdated DowJones profiles	0
🔍 Visits not achieved on time	0 (0)
🔍 Contacts not achieved on time	0 (0)
🔍 Contact activities not validated	18
🔍 Unrealized tasks	5
🔍 Clients without currency	2
🔍 Unmapped emails	0

Risk management

🔍 Deviation by asset class	20
🔍 Deviation by currency	12
🔍 Over-concentration	14
🔍 Portfolio with securities not recommended higher than threshold	0
🔍 Positions over risk grade limit	192
🔍 Portfolio with risk grade over the investment profile average defined	1
🔍 Deviation between the investment profile and the management profile	46

Warning portfolio

🔍 New unsigned documents	562
🔍 Document expiration	0
🔍 Document to be regularized	0
🔍 Negative cash accounts	3
🔍 Cash account over custodian threshold for negative interest	2
🔍 Cash variations over threshold	0
🔍 Valorisation variations over threshold	0
🔍 Securities alerts	20
🔍 Security with price out of limit	4
🔍 Security price variations over threshold	32
🔍 Maturity dates to come	0
🔍 Perf J-1 over Threshold	0
🔍 Transmitted orders since more than 6 days	108
🔍 Deviation between the investment profile and the management profile	46

Warning transactions

🔍 Contribution / Withdrawal to validate	400
🔍 Contribution / Withdrawal to validate over threshold for non-risked Clients	4
🔍 Contribution / Withdrawal to validate over threshold for Clients at risk	17
🔍 Transactions over threshold percent assets	194
🔍 Transaction screening with keyword	0
🔍 Transactions without execution type	83
🔍 Buy/Sale transactions to be controlled	0

link@trade Structured Products Multi-dealer Platform [<Log in>](#)

Last datafeeds

- 🔍 JB GVA 05/05/2020
- 🔍 Pictet 28/02/2019

Compliance alerts

🔍 Portfolios without BO	3
🔍 Portfolios without AH	1
🔍 Modifications not validated at portfolio level	44
🔍 Modifications not validated at client level	66
🔍 Duplicated portfolio valorisations	3
🔍 Risk level changes	27
🔍 Volume monthly transaction over threshold	0
🔍 Portfolios without classification and/or detail	55
🔍 Clients without classification and/or detail	81

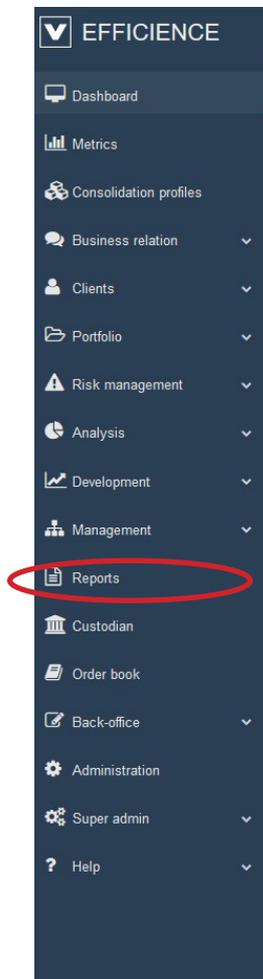
Check many clients at one time

Check many clients at one time - Overview:

1. On the left menu, click on «Reports».
2. Use the keyword «Factiva» and click on the green magnifying glass to reach the DowJones Check.
3. Then click on the arrow to go through each of your clients and do a general check.

Check many clients at one time - Details:

1. On the left menu, click on «Reports».



2. Use the keyword «Factiva».



- Click on the green magnifying glass to reach the DowJones Check.

Here is the general DowJones Check Menu. You can select several filters: **A**

- By manager
- By nationality
- By country of residence
- By date (for example the date that you last checked your client profiles).

- Then click on the arrow to go through each of your clients. **B**

→ You can see which client you are examining in the fields below the filters. **C**

→ When the profile has been checked, click on «Mark as check». For your next research, the system will not show you this client profile if you select the date filter and if your last check has been done after the selected date. **D**

→ If none of the profile below is your client's, just click on «Mark as wrong hit». This function allows you to exclude some DowJones profile of your research. The next time you will check your client, those profile won't appear in the research results. **E**

Do some DowJones researches through the menu

It is also possible to do some researches through the client menu.

1. On the main menu, which is on the left, click on «Clients», then select «DowJones search engine».

The screenshot shows the EFFICIENCE dashboard. On the left is a dark navigation menu with the following items: Dashboard, Metrics, Consolidation profiles, Business relation, Clients (with a search field and 'Go' button), My clients list, Client search, Client transfer assistant, Power of attorney of my clients, DowJones search engine (highlighted with a red arrow), Portfolio, Risk management, Analysis, Development, Management, Reports, Custodian, Order book, and Back-office. The main dashboard area contains several panels: 'Warning clients' (listing items like 'Clients without identification' with counts), 'Warning portfolio' (listing items like 'New unsigned documents'), 'Risk management' (listing items like 'Deviation by asset class'), and 'Warning transactions'. On the right, there is a 'linkstrade' banner, 'Last datafeeds' (listing 'JB GVA' and 'Pictet'), and 'Compliance alerts' (listing various alerts with counts).

2. Enter the name of the person you want to do research on in the search field and click on «Search».

The screenshot shows the 'DowJones search' results page. At the top, there is a search bar with the text 'DowJones search' and a search button. Below the search bar, there are filters for 'Type' (All, Entity, Person) and a 'Name' field containing 'Donald Trump'. The search results are displayed in a table with the following columns: Factiva Id, Name, Risk, Country, Position title/Sanction, and Type. The results include:

Factiva Id	Name	Risk	Country	Position title/Sanction	Type
11673704	García Roldán, Carlos	SI	SPAIN		PERSON
1143233	Trump, Donald John	PEP	USA	President of the United States	PERSON
1143243	Trump, Donald John	RCA	USA		PERSON
4538256	Trump, Donald John	RCA	USA		PERSON
2982950	Babiš, Andrej	SI	CZREP	Prime Minister of Czech Republic	PERSON

3. If the person you are looking for is in the list, click on the green magnifying glass to read the details.