



PROSPECTING FOR GOLD LTD.
Wealth Intelligence Services™

Prospecting For Gold
Data Security & Transfer Information

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CONTENTS

INTRODUCTION.....	3
DATA SECURITY CONTRACT.....	4
FILE LAYOUT	6
COMMON ISSUES WITH SUPPLIED DATA.....	8
Address Information.....	8
Name Information.....	8
Summary of issues.....	9
FILE FORMATS AND COMPRESSION.....	10
TRANSFER OF DATA FILES.....	11
Useful information	11
Prerequisites	11
Using the FTP site.....	11
Uploading a file.....	13
Downloading a file from the FTP server	14
MATCHING RULES.....	16
Objectives.....	16
Assumptions made	16
Stage 1 - Household level matches.....	16
Stage 2 – Individual level matches	17
Stage 3 – Elimination of duplicate matches.....	19



INTRODUCTION

This document sets out the steps and considerations for sending a data file to us for screening. Please follow these guidelines as closely as possible to ensure that the optimal numbers of matches are found from our data.

The steps involved are:

- Ensure you have printed and signed a copy of the **Data Security Contract**. A copy signed by Prospecting for Gold will be returned to you. Should your organisation feel that the standard wording is inadequate, please submit your own version for our consideration.
- Prepare your data in accordance with the instructions in the **File Layout** section. Read **Common Issues with Supplied Data** to understand some of the usual difficulties experienced. Try and get your data as close to our recommended layout as possible without spending too much time formatting the data.
- Ensure your file is in one of the formats listed in **File Formats and Compression**. Ideally, your file should be compressed and password protected; you will need to remember to tell us the password before we can open the file!
- Ensure you have a User Name and Password for our FTP server. Please e-mail neil@prospectingforgold.co.uk if you have not received this by the time you are ready to transfer your data. Follow the instructions in the **Transfer of Data Files** section to send us your data.
- Your data will now be processed and screened against our data. In order to provide you with consistent results of a high quality, we use closely defined **Matching Rules** which are described for your information.



DATA SECURITY CONTRACT

Prospecting for Gold Ltd (PFG) is registered with the Data Protection Registrar, Reg. No Z7945617

Copyright and Data Protection

1. Copyright on any data supplied by the client remains at all times with the client.
2. The copyright in all art work, copy and any other work capable of being subject to copyright produced or created by PFG at the specific request of the client shall vest in the client.
3. PFG is licensed by the client to analyse, edit and add to the data supplied by the client where this is relevant to the project. Information will be obtained and processed fairly and lawfully in compliance with the Data Protection Act.
4. PFG undertakes to abide at all times by the Data Protection Act and all other relevant legislation and regulations in relation to the discharge by it of its obligations under this Agreement.

Security and Confidentiality

1. PFG may not use data supplied by the client to add to or enhance information held for any other purpose. Information obtained by PFG from any other sources during the course of the research may be used for other purposes.
2. PFG agrees to keep any information it receives from the client in trust and to take all reasonable steps to safeguard the confidentiality of such information and to prevent, at any time either during or after termination of this Agreement, any unauthorised disclosure by employees.
3. PFG is licensed by the client to make up to three paper copies of data supplied by the client and one copy on an electronic system such as a computer. The data may not be duplicated or reproduced in any way.
4. Unless instructed otherwise, PFG will keep the specific client data on any matched record to enable the client to access the data analysis at a later stage. PFG undertakes that it shall not deal in, exploit or use the Data (in whatever form) in any manner whether during the currency of this Agreement or after its termination.
5. The client will at all times have access to information on PFG's research methods and progress with the projects.



A Word of Caution

1. Please be aware that if you have sourced names from public directories, for example Debrett's and Who's Who, we may not be able to add further content. You may wish to exclude those records from the transfer file.
2. The results we obtain may include names which you have already identified as prospects as part of your fundraising process. We therefore recommend, if you do not wish these names to be included in the screening, that they be removed from the transfer file.

For Prospecting for Gold Ltd

Signed

Position

For the Client

Organisation

Address

.....

.....

Signed

Position

Date



FILE LAYOUT

Our matching algorithms expect to find component parts of names and addresses in each file being compared. The less data that is provided, the more ‘fuzzy’ the match result becomes. You should ensure that only data with complete information is submitted – for example records which are known to contain incomplete or missing addresses should be removed from the file before transmission.

For optimal matching to occur, a header row of column names should be included at the top of a file and the following structure and in this sequence. Unshaded rows in the table below are mandatory, shaded rows are optional.

Number	Field (column) name	Field (column) contents
1	Client Database system ID	A unique identifier from your data
2	Title	Mr, Mrs etc.
3	First Name	First Forename or First Initial
4	Other Names	Other Forenames or Other Initials (please separate multiple names/initials with spaces)
5	Surname or Family Name	
6	Address Line 1	Address data (can be less than six fields but cannot be more than six)
7	Address Line 2	
8	Address Line 3	
9	Address Line 4	
10	Address Line 5	
11	Address Line 6	
12	Postcode	
13	Country	Optional if data contains non-UK address records
14	Additional Record Variable 1 (optional)	For greater segmentation analysis in Preliminary Match Report
15	Additional Record Variable 2 (optional)	
16	Etc....	



Your data should appear to be broadly similar to the sample file shown below:

Database ID	Title	First Name	Other Names	Surname	Address 1	Address 2	Address 3	Address 4	Address 5	Address 6	Postcode	Additional Variables
107469	Dr	Arthur	Joseph	McGrath	Mayhall Lodge	Oakway	Reading				RG8 0HS	
108621	Lady	Penelope	Susan	Green	The White House	2 Millfield Place	Market Rasen				LN8 3EW	
100794	Mr	James	A	Smith	Heronsgate	Bridle Way	London				EC1M 6BB	
102140	Mr	Henry	Peter	Harper	3 Charterhouse Mews	Charterhouse Square	Lyndhurst				SO43 7DA	
104045	Mr	Barry	Norman	Potter	Whinwood	Beaulieu Road	Esher				KT10 0RF	
108070	Mr	Robin	Gerrard	Brown	47 Balcorne Street	Amersham					HP6 5PQ	
108845	Mr	Keith	Alan	Thompson	11 Park Village West	London					E9 7AY	
113126	Mr	Richard		Johnstone	Greenknowe	London					N6 6JP	
121765	Mr	Paul	Stephen	McPhail	Meadow Brook	First Avenue	London				NW1 4AE	
122769	Mr	Stephen	Maxwell	Oakes	11 Quickswood Close	Corsehill					PH2 7BN	
126346	Mr	Francis	Leslie	Peters	23 Farlands Road	London					SW14 7AN	
126883	Mr	Daniel	Christopher	Hanson	158 Peckham Rye	Frinton-On-Sea					CO13 9EY	
126982	Mr	Ralph		Jenkins	4 Toveils	School Lane	Liverpool				L25 4TT	
132035	Mr	David	Michael	Phillips	Church Farm House	Wisley	Stourbridge				DY8 2DD	
102000	Mrs	Joyce	Mary	Hodson	The Manor Bungalow	Jameson Bridge Street	London				SE22 9QH	
105556	Ms	Fiona	U	Harris	15 Derwent Close	Claygate	Woodbridge				IP13 6DX	
119652	Prof	Charles	Peter	Gilbertson	Greenfields	69 Christchurch Road	Woking				GU23 6QL	
13470											W13 9F	

Check the following section **Common Issues with Supplied Data** to ensure that any potential problems with the data have been considered and resolved where possible.



COMMON ISSUES WITH SUPPLIED DATA

Address Information

The typical variations in the files supplied are:

Partial addresses

Any addresses which are incomplete or ambiguous will be excluded from the match. Addresses in this state have a high probability of error and this can give substantial numbers of false matches at both Household and Individual level. Please ensure that such records are removed from the file before submission if possible.

Overseas addresses

For Addresses outside of the UK, these will only be considered matches if the two address records are identical. If there are substantial numbers of overseas addresses in the donor file, the addition of a Country field in the supplied data is helpful.

Address information in more than six fields plus postcode

In these circumstances the fields will need to be purged to reduce them to the number of fields expected, which will increase the time taken to match the file, and may lead to loss of data. The records with more than six fields are often non-personal records which should be removed from the file before it is submitted – see Name Information below.

Name Information

Typically an Individual Match will only be considered when Forename, First Middle Name and Surname match at the same address. Any partial matches on Forename or Middle Name will be recorded as a Household match.

The typical variations in the files supplied are:

Non-personal records are included in the file

As the Wealth Intelligence Database is a database of individuals, only individuals in the supplied donor file will be considered for matching purposes. Data for clubs, societies, schools, businesses or other establishments will generally be ignored, but their inclusion may lead to erroneous matches – e.g. Mr Church, Mrs Butcher, and Miss Charity A Rogers – so such records should be removed from the file before submission if possible.

Initials are provided instead of Forename and Middle Name

This will have the direct impact on the quality of individual matches. Where only initials are provided in the supplied file, any match where the title field also agrees will be regarded as an Individual Match; please be aware that this may lead to individuals being matched who in fact have different names.

Multiple individuals are included in a single row of data

In these circumstances, typically the first named individual only will be considered for matching purposes. Typically, everything in any Title or Name field after “&” or “and” will be ignored. Please



help us to speed up this process by ensuring that only single individuals are quoted in each row of data.

Name details are provided in a single field

This is often an “addressee” field for correspondence etc. Before matching can begin, the name field has to be separated into its constituent parts. This is far from a simple exercise.

To illustrate this; the following names are fairly straightforward:

- Mr Adam Phillip Jones
- Mr Barry George Phillips
- Mrs Edith A Edwards

Whereas the following are more complex:

- The Rt Hon David Cameron MP
- The Rev Sir Adrian Charles Fuller CB, OBE

These circumstances can confuse automated solutions, where Titles are similar to surnames:

- Major John Francis Sergeant
- Sergeant John Francis Major
- Bishop William Arthur Lord
- Lord William Arthur Bishop

The point here is that no automated routine can ever be 100% effective. We will attempt to “clean up” files if required, but subject to certain limits which will typically include:

- Eliminating any records where the name field includes illegal characters (e.g. “@”, “/”) from the match.
- Splitting out details for straightforward names as above
- Doing our best in a few hours to split out as many complex names as possible.

After this time we will advise you if the file is sufficiently clean to proceed to the matching phase, or if further cleaning is necessary - this is chargeable and based upon the likely work involved. If you have the data available, please ensure that the name field is split into its component parts before submission.

Summary of issues

In summary, you can see from the above that our routines are heavily geared towards a file supplied in the preferred layout, so if it is possible to receive this from you (or as close as possible to it), then greater numbers of accurate matches will result. Regrettably, no responsibility is accepted for erroneous matches due to incorrect file layout and format.



FILE FORMATS AND COMPRESSION

Ideal formats for us to receive are delimited files – such as comma separated values (.csv) or tab delimited text (.txt). Microsoft Excel files are acceptable, but Excel has internal row limits if older versions are used, which may limit suitability.

Files should be compressed before sending electronically, and all should be password protected.

We can decompress files which have been compressed by the following programs:

- WinZip
- WinRAR
- Windows XP / Windows Vista / Windows 7 built-in compression utility
- 7-zip

Others are also acceptable; please check for details.



TRANSFER OF DATA FILES

The preferred method of transfer of the data is by use of our secure FTP server. Please contact neil@prospectingforgold.co.uk for additional information, or to set up the facility described below.

Useful information

Our FTP Server uses the Secure Socket Layer (SSL) to secure the Hypertext Transfer Protocol (HTTP). This is often referred to as HTTPS. This is the same protocol used by many secure and sensitive websites, e.g. internet banking sites.

The benefit of this system is that the transfer can take place over the internet by use of a standard web browser; no additional software is required.

Our site uses 128- or 256-bit SSL encryption (the strength depends upon your Web browser and operating system; the more recent the better). HTTPS ensures that any data being transferred to/from us will be encrypted and secure; however this data will then be decrypted automatically at its end destination. For this reason, it is important that any file being sent to us is already encrypted (password protected) in some way.

Our ftp server resides in a secure location. It is not accessible by unauthorised users.

Prerequisites

Before using our server, you will need:

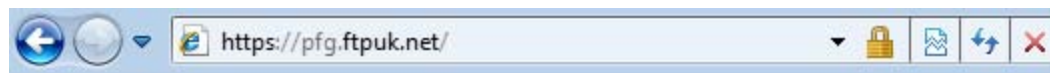
1. A Login ID (user name) and password, provided by Prospecting For Gold
2. Access to the file(s) you wish to upload
3. An internet connection via a web browser

Using the FTP site

In the address bar of your web browser, type the following address:

<https://pfg.ftpuk.net> (note the https prefix)

Check your web browser to ensure that you are accessing a secure site – the padlock icon should appear near the address bar, as shown below





A screen similar to the one below should appear.

Enter your Login ID (user name) and Password and click **Login**

PFG-FTP

You have been logged out.

Login ID:

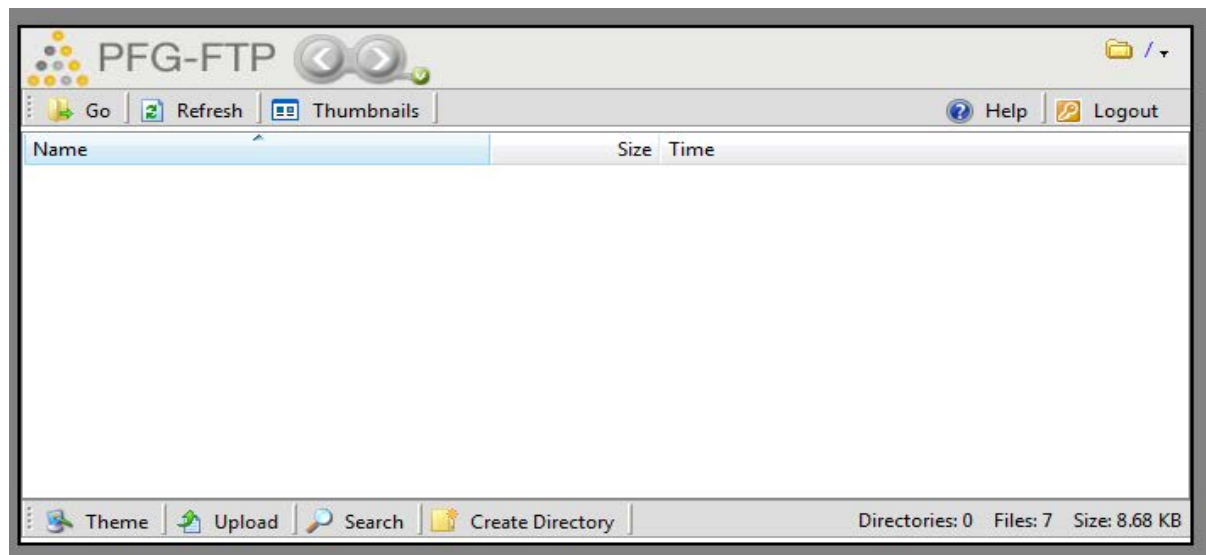
Password:

Language: English

Remember me

[Theme](#) [Recover Password](#)

A screen similar to the one below is shown. This is your directory on our server, so any files you have recently uploaded may also be listed here. You are now connected to our ftp server!

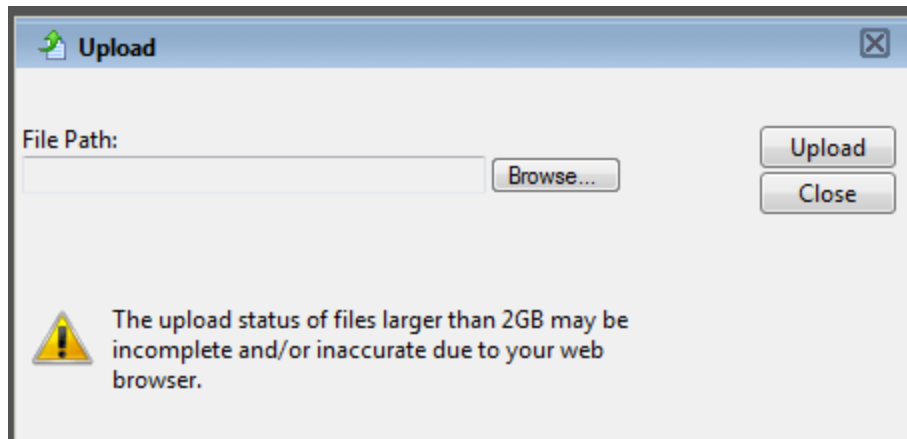




Uploading a file

Click the **Upload** button on the bottom bar of the window shown above.

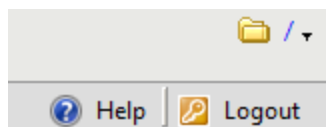
The following dialog box opens. **Browse** to the file you wish to upload from your PC; then click **Upload** to begin the transfer.



The upload status box appears whilst the transfer is being made.

The upload dialog re-appears when the transfer is complete –you can click **Close** when finished.

Your file should appear in your directory on the FTP server.



Click **Logout** to disconnect and end your session.

An e-mail will be generated to alert us at Prospecting for Gold that a file has been uploaded, but you should also advise us by e-mail that the file is waiting attention, together with any password needed to decrypt the contents.

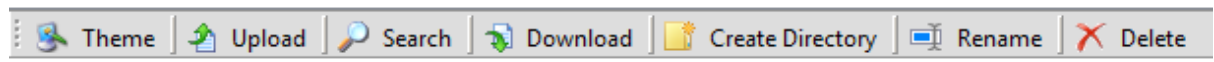


Downloading a file from the FTP server

You must have been granted the appropriate permissions to do this.

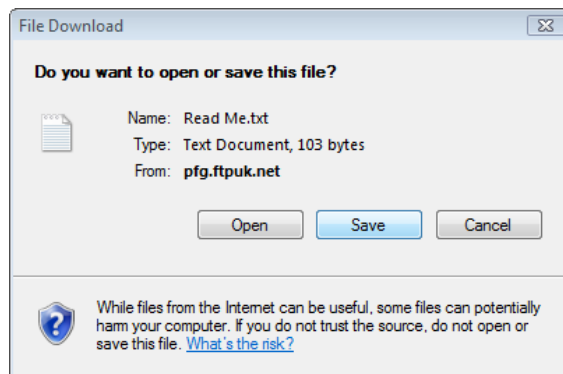
Click on file in your directory on the FTP server to highlight it

Note that the options available in the bottom bar change to those in the following image:



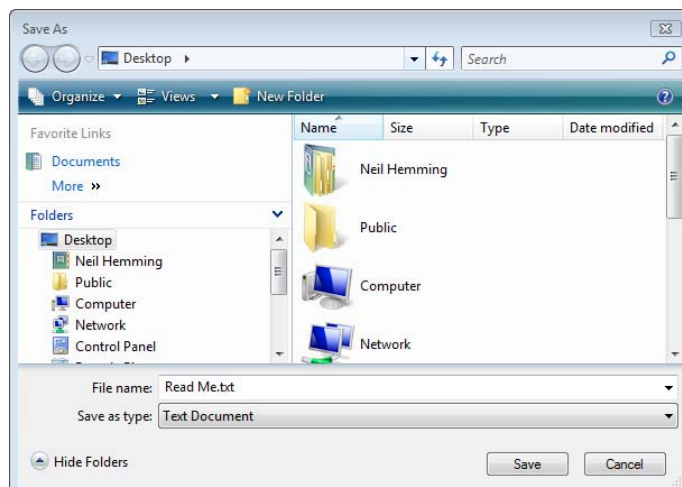
Select **Download**.

A standard windows dialog box opens, asking if you want to open or save the file



Select **Save**

Select the location on your PC or network where you want to save the file, and click **Save**



Once the file has been downloaded, ensure you click **Logout** to disconnect and end your session.



Smaller files can be e-mailed to neil@prospectingforgold.co.uk at the suppliers own risk. The files should be compressed using WinZip or another compression utility, and must be password protected (encrypted).

Files needing to be transferred back to clients will normally be sent via encrypted attachments to e-mails, using WinZip compression utilities or similar. Please check within your organisation that you are able to receive an encrypted compressed attachment, as some e-mail configurations may block these. In case of difficulty, and for larger files, the results can be made available on the FTP server for clients to download.



MATCHING RULES

The following is a guide to the matching rules applied when screening client data against the Wealth Intelligence Database (“WID”). The exact matching methodology will remain the property of Prospecting For Gold Limited &/or its partners where appropriate.

Objectives

The object of these rules is to:

- Maximise the potential for individual and household level matches.
- Eliminate erroneous results (false positives).
- Ensure that any result is completely repeatable

Assumptions made

- The supplied file must be in the recommended layout format, or be capable of being transferred to this format, namely:
 - ID, Title, Forename, Middle Names, Surname, Address, Postcode, *any other fields*
- Any records which cannot be transformed into a suitable format will be *excluded* from the match process. Where extensive cleaning of a file is necessary, this may be chargeable.
- Where multiple individuals are included in a single record, only the *first named* will be transformed and included in the match.

Stage 1 - Household level matches

A household level match occurs when an individual with the same surname as a WID constituent lives at the same address as that constituent. UK addresses will be processed through an application that will transform them into *Post Office Address File* (PAF) format; all addresses on the copy of WID held for matching purposes are already in this format where possible. The combination of Postcode and *Delivery Point Suffix* (DPS) – effectively a letterbox – will therefore uniquely identify a property for the purposes of matching.

Any properties that fail this process, together with those outside of the UK will only be regarded as a match if the address in both records is identical, save for the inclusion of any *fuzzy matching* process to take account of typical typographical errors.

Surnames will have any non-alphabetic characters removed, before being matched as precise strings, save for the inclusion of any *fuzzy matching* process as above.

Surnames recorded as “Surname” and “Maiden Name” in WID will be used in the match process. The last full word (after a space or a “-“) will also be considered as an alternate surname. (This allows “Denby-Rivers” to match “Rivers”, for example).

Addresses recorded as preferred addresses and any Home, Previous or Alternate addresses in WID will be used in the match process. Business Addresses are not included at present.



Stage 2 – Individual level matches

Only records which have passed Stage 1 will be considered for individual matches.

Title, Forename and Middle Name fields will be considered (by definition Surname is now the same as these records have passed Stage 1), depending on the nature of the input data.

Where the input data contains a full forename

Only Forename and Middle Name fields will be used, and Title will be ignored. Where the Forename is deemed to match, Middle Name will only be considered where present in the input data, and the rule here shall be that the first Middle Name only will be considered, and an Initial
→ Full Name match is valid for Middle Name only.

As well as the Forename supplied by the client and in WID, alternate forenames will be considered in the match process from the following sources:

1. A file of common abbreviations and misspellings (e.g. Alan, Allen; James, Jim etc.)
2. The contents of the “Nickname” column in WID where available (which will state if Andrew Neil is known as Neil, for example)

The following table illustrates matches at this level with the resultant outcome. (The title column has been left blank as this could contain any data without affecting the result as it is not being used in the matching process).

Client File				WID				Match?
Title	Forename	Middle Names	Surname	Title	Forename	Middle Names	Surname	
	Andrew		Johnson		Andrew	Mark	Johnson	Yes
	Andrew		Johnson		Andrew	M	Johnson	Yes
	Andy	M	Johnson		Andrew	Mark	Johnson	Yes
	Andrew	Mark	Johnson		Andy	Mark Alan	Johnson	Yes
	Andrew	A	Johnson		Andrew	Mark	Johnson	No



Where the input data contains only an initial

The Title field will be included in the match process. The initial of both forenames must match, and where quoted in the input file, so must the initial of the first Middle Name. **Any further initials are ignored.**

Titles must match exactly, save for the fact that abbreviated titles must match their respective full title (e.g. Rev = Reverend, Prof = Professor, Sgt = Sergeant, Dr = Doctor, Wg Cdr = Wing Commander).

The following table illustrates matches at this level with the resultant outcome.

Client File				WID				Match?
Title	Forename	Middle Names	Surname	Title	Forename	Middle Names	Surname	
Mr	A		Johnson	Mr	Andrew	Mark	Johnson	Yes
Mr	A	M R	Johnson	Mr	Andrew	Mark Alan	Johnson	Yes
Mr	A	A	Johnson	Mr	Andrew	Mark	Johnson	No
Dr	A		Johnson	Mr	Andrew	Mark	Johnson	No
Doctor	A		Johnson	Dr	Andrew	Mark	Johnson	Yes

Where the input data contains no forename

Since September 2009, changes to the matching routines will enable these records to match as individual matches in the following circumstances:

1. The title in both files is the same, and is NOT one of Mr, Mrs, Miss, Ms
2. The title field in both files contains Lord, Lady, Viscount, Earl, Sir, Dame, Baron, Baroness, Bishop, Count, Countess, Dowager, Duke, Duchess, Judge, Marchese, Marquess, Marquis, Prince, Princess, Archbishop, Sheik, Sheriff, Viscountess.

The following table illustrates matches at this level with the resultant outcome.

Client File			WID				Match?
Title	No Forename	Surname	Title	Forename	Middle Names	Surname	
Mr		Johnson	Mr	Andrew	Mark	Johnson	No
Dr		Johnson	Dr	Andrew	Mark Alan	Johnson	Yes
Lord		Johnson	Rt Hon Lord	Andrew	Mark	Johnson	Yes
Rev		Johnson	Rev	Andrew	Mark	Johnson	Yes
Rt Rev		Johnson	Rev	Andrew	Mark	Johnson	No

Note that where a file is submitted without the inclusion of titles, any individual with only initials will be considered at best as a household level match.



Stage 3 – Elimination of duplicate matches

Once matches have been evaluated, they will be purged for duplicate entries. At individual level, this is relatively simple, as obviously only one WID constituent should be matched to one supplied record. However, at household level, multiple names on the supplied file may match to a single constituent record or vice versa. The overriding rule must be that each WID tag or snapshot can **only be sold once**, and therefore can only apply to a single supplied record. When selecting the WID record in the case of multiple matches, we will use the record considered to be the head of household by Age (where available) &/or Wealthband. Where multiple supplied records exist, the record with the highest source ID will be selected.