Contents

List of Figures .................................................................................................................................................... xi

List of Tables ...................................................................................................................................................... xv

About this Guide ................................................................................................................................................. xvii
Who Should Use this Guide ............................................................................................................................... xvii
How this Guide is Organized ............................................................................................................................. xviii
Where to Find More Information ..................................................................................................................... xviii
Conventions Used in this Guide ........................................................................................................................ xix

CHAPTER 1 Overview of FCCM .......................................................................................................................... 1
About Financial Crimes and Compliance Management ........................................................................................ 1
Functions .............................................................................................................................................................. 4
Workflow ............................................................................................................................................................. 5

CHAPTER 2 About Enterprise Case Management .............................................................................................. 7
Introduction to Enterprise Case Management ..................................................................................................... 7
Enterprise Case Management Workflow ........................................................................................................... 8
Data Ingestion ..................................................................................................................................................... 9
Behavior Detection .......................................................................................................................................... 9
    Scenarios ................................................................................................................................................... 10
Post Processing ................................................................................................................................................. 10
Alert Management .......................................................................................................................................... 11
Enterprise Case Management ........................................................................................................................ 11
    Enterprise Case Management UI .................................................................................................................. 11
    Life Cycle of Case ..................................................................................................................................... 12
    Case Statuses ............................................................................................................................................ 14
    Related Cases .......................................................................................................................................... 15
    Linked Cases ............................................................................................................................................ 16
    Unlinked Cases ........................................................................................................................................ 16
    Related Alerts ........................................................................................................................................... 16
    Linked Alerts ........................................................................................................................................... 16
    Unlinked Alerts ........................................................................................................................................ 16
    Related Risk Assessment .......................................................................................................................... 16
    Related FATCA Assessment ...................................................................................................................... 16
    Using the Investigation Workflow .............................................................................................................. 17
    User Privileges ........................................................................................................................................ 17
    Security within Enterprise Case Management ........................................................................................... 20
<table>
<thead>
<tr>
<th>Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>About Interactive Analytic Reports .................................................. 22</td>
</tr>
</tbody>
</table>

**CHAPTER 3**  
Getting Started ........................................................................................................ 23

System Requirements ........................................................................................................ 23
Logging In to Enterprise Case Management ................................................................ 23
Managing the OFSAA Application Page ................................................................. 26
  Applications Tab ........................................................................................................ 26
  Object Administration Tab ....................................................................................... 27
System Configuration and Identity Management Tab ........................................... 27
Copyright Information ............................................................................................... 28
Change Password ....................................................................................................... 29
Troubleshooting Your Display .................................................................................. 29
  Enabling JavaScript .................................................................................................. 29
  Enabling Cookies .................................................................................................... 29
  Enabling Temporary Internet Files ........................................................................ 30
  Enabling File Downloads ...................................................................................... 30
  Setting Printing Options ....................................................................................... 30
  Enabling Pop-Blocker ............................................................................................ 31
  Setting Preferences ............................................................................................... 31
Troubleshooting the Error Messages ........................................................................ 33

**CHAPTER 4**  
About Enterprise Case Management’ Web Pages ................................................. 35

Common Screen Elements ....................................................................................... 35
  Masthead .................................................................................................................. 36
  Buttons ..................................................................................................................... 36
  Field Types ............................................................................................................. 41
  Column Sort Options ............................................................................................. 42
  ToolTips ................................................................................................................... 42
Using the Browser ..................................................................................................... 42
Navigating in Enterprise Case Management .......................................................... 43
  Navigation Menus .................................................................................................. 43
  Links ......................................................................................................................... 43
  Search Bars ............................................................................................................. 43
  Page Context Controls ......................................................................................... 44
  Business Tabs ........................................................................................................ 44
  Pagination ............................................................................................................... 44
Message Pages ......................................................................................................... 44

**CHAPTER 5**  
Investigating Cases ................................................................................................. 45

About the Case Workflow .......................................................................................... 45
  Accessing the Investigation Workflow ............................................................... 45
  Home Page .............................................................................................................. 46
  Case Search & List Page ....................................................................................... 47
CHAPTER 6 Investigating KYC Assessments and Cases ............................ 155

About the KYC Case Workflow .......................................................... 155
  Accessing the Investigation Workflow ............................................. 156
Home Page ....................................................................................... 156
KYC Case Search & List Page ............................................................. 158
Searching for KYC Cases by Views, Simple, and Advanced Search ................................................................. 164
Exporting KYC Case List to Excel/Word ........................................... 168
Navigating KYC Case Detail Page ...................................................... 170
  Components of the KYC Case Details Page ................................. 171
KYC Case Data Tabs ........................................................................ 172
Business Tabs .................................................................................. 184
Manual KYC Case Creation .............................................................. 185
To create cases manually, follow these steps: .................................. 185
  Customer ID Look Up ..................................................................... 187
Acting on KYC Cases ....................................................................... 190
  About KYC Case Actions ............................................................... 190
  About the KYC Case Actions Pop-up ............................................ 191
Contents

Managing FATCA Cases..................................................................................................................................................243
Managing FATCA Assessments ......................................................................................................................................217
FATCA Management Workflow .....................................................................................................................................216
User Roles and Actions ....................................................................................................................................................215
FATCA Management Workflow .....................................................................................................................................216
Managing FATCA Assessments......................................................................................................................................217
About FATCA Assessments ...........................................................................................................................................217
Searching FATCA Assessments ....................................................................................................................................217
FATCA Assessments List Components ..........................................................................................................................220
Managing FATCA Assessments details ..........................................................................................................................224
Managing FATCA Cases ..................................................................................................................................................243
Accessing the FATCA Cases .........................................................................................................................................243
Searching FATCA Cases .................................................................................................................................................244
FATCA Case List Components .......................................................................................................................................258
Managing FATCA Case Details .....................................................................................................................................263
Acting on FATCA Cases..................................................................................................................................................276
Managing Withholding Transaction .................................................................................................................................285
About Withholding Transaction .......................................................................................................................................285
Accessing Withholding Transaction ................................................................................................................................285

CHAPTER 7 Investigating FATCA Assessments and Cases.........................................................................................215

Introduction to FATCA Act .............................................................................................................................................215
User Roles and Actions ....................................................................................................................................................215
FATCA Management Workflow .....................................................................................................................................216
Managing FATCA Assessments......................................................................................................................................217
About FATCA Assessments ...........................................................................................................................................217
Searching FATCA Assessments ....................................................................................................................................217
FATCA Assessments List Components ..........................................................................................................................220
Managing FATCA Assessments details ..........................................................................................................................224
Managing FATCA Cases ..................................................................................................................................................243
Accessing the FATCA Cases .........................................................................................................................................243
Searching FATCA Cases .................................................................................................................................................244
FATCA Case List Components .......................................................................................................................................258
Managing FATCA Case Details .....................................................................................................................................263
Acting on FATCA Cases..................................................................................................................................................276
Managing Withholding Transaction .................................................................................................................................285
About Withholding Transaction .......................................................................................................................................285
Accessing Withholding Transaction ................................................................................................................................285
# List of Figures

<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Figure 1</td>
<td>Enterprise Case Management workflow</td>
<td>8</td>
</tr>
<tr>
<td>Figure 2</td>
<td>Potential Life Cycle of a Case (AML, Fraud and KYC Cases)</td>
<td>12</td>
</tr>
<tr>
<td>Figure 3</td>
<td>Potential Life Cycle of a FATCA Case</td>
<td>13</td>
</tr>
<tr>
<td>Figure 4</td>
<td>OFSAA Login Page</td>
<td>24</td>
</tr>
<tr>
<td>Figure 5</td>
<td>OFSAA Application Page</td>
<td>24</td>
</tr>
<tr>
<td>Figure 6</td>
<td>OFSAA Application Selection Tab</td>
<td>26</td>
</tr>
<tr>
<td>Figure 7</td>
<td>Object Administration Selection Tab</td>
<td>27</td>
</tr>
<tr>
<td>Figure 8</td>
<td>System Configuration and Identity Management Tab</td>
<td>28</td>
</tr>
<tr>
<td>Figure 9</td>
<td>Copyright Information</td>
<td>28</td>
</tr>
<tr>
<td>Figure 10</td>
<td>Change Password</td>
<td>29</td>
</tr>
<tr>
<td>Figure 11</td>
<td>Preference screen</td>
<td>32</td>
</tr>
<tr>
<td>Figure 12</td>
<td>Common Screen Elements</td>
<td>35</td>
</tr>
<tr>
<td>Figure 13</td>
<td>Calendar Button</td>
<td>38</td>
</tr>
<tr>
<td>Figure 14</td>
<td>Column Expand All Button</td>
<td>38</td>
</tr>
<tr>
<td>Figure 15</td>
<td>Column Collapse All Button</td>
<td>39</td>
</tr>
<tr>
<td>Figure 16</td>
<td>Section Expand Button</td>
<td>39</td>
</tr>
<tr>
<td>Figure 17</td>
<td>Section Collapse Button</td>
<td>39</td>
</tr>
<tr>
<td>Figure 18</td>
<td>Grid Expand Button</td>
<td>40</td>
</tr>
<tr>
<td>Figure 19</td>
<td>Grid Collapse Button</td>
<td>40</td>
</tr>
<tr>
<td>Figure 20</td>
<td>Column Expand Button</td>
<td>40</td>
</tr>
<tr>
<td>Figure 21</td>
<td>Column Collapse Button</td>
<td>41</td>
</tr>
<tr>
<td>Figure 22</td>
<td>Navigating in Enterprise Case Management</td>
<td>43</td>
</tr>
<tr>
<td>Figure 23</td>
<td>Supplemental Case Information</td>
<td>56</td>
</tr>
<tr>
<td>Figure 24</td>
<td>Case Details Page</td>
<td>59</td>
</tr>
<tr>
<td>Figure 25</td>
<td>Correlation Tab</td>
<td>62</td>
</tr>
<tr>
<td>Figure 26</td>
<td>Source Correlation Network</td>
<td>65</td>
</tr>
<tr>
<td>Figure 27</td>
<td>Correlated Business data Network</td>
<td>65</td>
</tr>
<tr>
<td>Figure 28</td>
<td>Relationship Tab</td>
<td>69</td>
</tr>
<tr>
<td>Figure 29</td>
<td>Related Alerts</td>
<td>69</td>
</tr>
<tr>
<td>Figure 30</td>
<td>Related Cases Section</td>
<td>71</td>
</tr>
<tr>
<td>Figure 31</td>
<td>Narrative Tab</td>
<td>74</td>
</tr>
<tr>
<td>Figure 32</td>
<td>Case List page</td>
<td>76</td>
</tr>
<tr>
<td>Figure 33</td>
<td>Network Analysis Tab</td>
<td>76</td>
</tr>
<tr>
<td>Figure 34</td>
<td>Audit Tab</td>
<td>86</td>
</tr>
<tr>
<td>Figure 35</td>
<td>Involved Party Tab</td>
<td>87</td>
</tr>
<tr>
<td>Figure 36</td>
<td>Involved Party Detail Pop-up</td>
<td>88</td>
</tr>
<tr>
<td>Figure 37</td>
<td>Involved Party Search Filters</td>
<td>89</td>
</tr>
<tr>
<td>Figure 38</td>
<td>Involved Party List Section</td>
<td>89</td>
</tr>
<tr>
<td>Figure 39</td>
<td>Add New Involved Party Confirmation Pop-up</td>
<td>90</td>
</tr>
<tr>
<td>Figure</td>
<td>Description</td>
<td>Page</td>
</tr>
<tr>
<td>--------</td>
<td>-------------</td>
<td>------</td>
</tr>
<tr>
<td>40</td>
<td>Involved Party History Section</td>
<td>91</td>
</tr>
<tr>
<td>41</td>
<td>Edit Involved Party Pop-up</td>
<td>91</td>
</tr>
<tr>
<td>42</td>
<td>Involved Party Details Pop-up</td>
<td>92</td>
</tr>
<tr>
<td>43</td>
<td>Event Decision window</td>
<td>92</td>
</tr>
<tr>
<td>44</td>
<td>Adding a New Entity Manually</td>
<td>96</td>
</tr>
<tr>
<td>45</td>
<td>Adding a New Entity from Existing Case Entities</td>
<td>97</td>
</tr>
<tr>
<td>46</td>
<td>Adding a New Entity from Existing Business Entities</td>
<td>98</td>
</tr>
<tr>
<td>47</td>
<td>Add window</td>
<td>101</td>
</tr>
<tr>
<td>48</td>
<td>Adding a New Entity Manually</td>
<td>101</td>
</tr>
<tr>
<td>49</td>
<td>Adding Transaction from Existing Entities</td>
<td>102</td>
</tr>
<tr>
<td>50</td>
<td>Adding a New Entity Manually</td>
<td>105</td>
</tr>
<tr>
<td>51</td>
<td>Adding a New Entity from Existing Case Entities</td>
<td>106</td>
</tr>
<tr>
<td>52</td>
<td>Adding a New Entity from Existing Business Entities</td>
<td>107</td>
</tr>
<tr>
<td>53</td>
<td>Adding a New Entity Manually</td>
<td>109</td>
</tr>
<tr>
<td>54</td>
<td>Search External Entity</td>
<td>110</td>
</tr>
<tr>
<td>55</td>
<td>Loss and Recovery History pop-up</td>
<td>120</td>
</tr>
<tr>
<td>56</td>
<td>Creating New Cases</td>
<td>151</td>
</tr>
<tr>
<td>57</td>
<td>Home Page - KYC Cases</td>
<td>156</td>
</tr>
<tr>
<td>58</td>
<td>KYC Case Search &amp; List</td>
<td>159</td>
</tr>
<tr>
<td>59</td>
<td>KYC Case Views</td>
<td>160</td>
</tr>
<tr>
<td>60</td>
<td>KYC Case Advanced Search</td>
<td>161</td>
</tr>
<tr>
<td>61</td>
<td>KYC Case Supplemental Information</td>
<td>167</td>
</tr>
<tr>
<td>62</td>
<td>KYC Case Details Page</td>
<td>170</td>
</tr>
<tr>
<td>63</td>
<td>Risk Assessment Tab</td>
<td>173</td>
</tr>
<tr>
<td>64</td>
<td>Override Risk Window</td>
<td>175</td>
</tr>
<tr>
<td>65</td>
<td>History Window</td>
<td>176</td>
</tr>
<tr>
<td>66</td>
<td>Relationship Tab</td>
<td>177</td>
</tr>
<tr>
<td>67</td>
<td>Related Cases Section</td>
<td>177</td>
</tr>
<tr>
<td>68</td>
<td>Related Risk Assessment Section</td>
<td>178</td>
</tr>
<tr>
<td>69</td>
<td>Enhanced Due Diligence Tab</td>
<td>179</td>
</tr>
<tr>
<td>70</td>
<td>Watch List Scan</td>
<td>179</td>
</tr>
<tr>
<td>71</td>
<td>Narrative Tab</td>
<td>181</td>
</tr>
<tr>
<td>72</td>
<td>Audit Tab</td>
<td>183</td>
</tr>
<tr>
<td>73</td>
<td>Customer Tab</td>
<td>184</td>
</tr>
<tr>
<td>74</td>
<td>Account Tab</td>
<td>185</td>
</tr>
<tr>
<td>75</td>
<td>KYC case creation</td>
<td>186</td>
</tr>
<tr>
<td>76</td>
<td>Eligible Customer for Manual Case Creation</td>
<td>188</td>
</tr>
<tr>
<td>77</td>
<td>FATCA Management Workflow</td>
<td>216</td>
</tr>
<tr>
<td>78</td>
<td>FATCA Assessments Search Bar</td>
<td>217</td>
</tr>
<tr>
<td>79</td>
<td>FATCA Assessments List</td>
<td>221</td>
</tr>
<tr>
<td>80</td>
<td>FATCA Assessment Details Context</td>
<td>224</td>
</tr>
<tr>
<td>81</td>
<td>FATCA Assessment Context - Customer Information</td>
<td>226</td>
</tr>
<tr>
<td>Figure</td>
<td>Description</td>
<td>Page</td>
</tr>
<tr>
<td>--------</td>
<td>-----------------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>82</td>
<td>FATCA Assessment Context - Account Information</td>
<td>227</td>
</tr>
<tr>
<td>83</td>
<td>FATCA Assessment Details Page - Customer</td>
<td>229</td>
</tr>
<tr>
<td>84</td>
<td>FATCA Assessment Details Page - Account</td>
<td>233</td>
</tr>
<tr>
<td>85</td>
<td>Promoting FATCA Assessment to FATCA Case</td>
<td>239</td>
</tr>
<tr>
<td>86</td>
<td>FATCA Cases List</td>
<td>243</td>
</tr>
<tr>
<td>87</td>
<td>Searching FATCA Cases with Basic Search</td>
<td>244</td>
</tr>
<tr>
<td>88</td>
<td>Searching FATCA Cases Using Advanced Search</td>
<td>249</td>
</tr>
<tr>
<td>89</td>
<td>Searching FATCA Cases with Pre-defined Views</td>
<td>257</td>
</tr>
<tr>
<td>90</td>
<td>FATCA Case List</td>
<td>258</td>
</tr>
<tr>
<td>91</td>
<td>FATCA Case Details Page</td>
<td>263</td>
</tr>
<tr>
<td>92</td>
<td>Case Details Tab</td>
<td>267</td>
</tr>
<tr>
<td>93</td>
<td>Editing the FATCA Status of a FATCA Case</td>
<td>269</td>
</tr>
<tr>
<td>94</td>
<td>Assessment Tab - FATCA Assessment on an Customer</td>
<td>270</td>
</tr>
<tr>
<td>95</td>
<td>Assessment Tab - FATCA Assessment on an Account</td>
<td>270</td>
</tr>
<tr>
<td>96</td>
<td>Relationship Tab</td>
<td>271</td>
</tr>
<tr>
<td>97</td>
<td>Narrative Tab</td>
<td>272</td>
</tr>
<tr>
<td>98</td>
<td>Evidence Tab</td>
<td>273</td>
</tr>
<tr>
<td>99</td>
<td>Audit Tab</td>
<td>274</td>
</tr>
<tr>
<td>100</td>
<td>Customer Tab</td>
<td>274</td>
</tr>
<tr>
<td>101</td>
<td>Account Tab</td>
<td>275</td>
</tr>
<tr>
<td>102</td>
<td>Withholding Transaction Search and List</td>
<td>285</td>
</tr>
<tr>
<td>103</td>
<td>Default Workflow Section</td>
<td>295</td>
</tr>
<tr>
<td>104</td>
<td>Default Graph for Home Page Section</td>
<td>297</td>
</tr>
<tr>
<td>105</td>
<td>Default Priority for Home Page Section</td>
<td>297</td>
</tr>
<tr>
<td>106</td>
<td>Set Case Search and List Options section</td>
<td>297</td>
</tr>
<tr>
<td>107</td>
<td>Set Options for Case Simple Search</td>
<td>298</td>
</tr>
<tr>
<td>108</td>
<td>Set Options for Case Advanced Search</td>
<td>299</td>
</tr>
<tr>
<td>109</td>
<td>Set Options for Notification on Home Page</td>
<td>300</td>
</tr>
<tr>
<td>110</td>
<td>Set Options for Email</td>
<td>301</td>
</tr>
<tr>
<td>111</td>
<td>Authentication Error Page</td>
<td>303</td>
</tr>
<tr>
<td>112</td>
<td>Multiple Session Error Page</td>
<td>304</td>
</tr>
<tr>
<td>113</td>
<td>Unique Constraint Violation Page</td>
<td>304</td>
</tr>
</tbody>
</table>
List of Figures
List of Tables

Table 1. Conventions Used in this Guide ................................................................. xix
Table 2. Case Status Description ............................................................................ 14
Table 3. Enterprise Case Management User Privileges .......................................... 17
Table 4. Access Controls for Enterprise Case Management ................................... 20
Table 5. Case Views and Filter ................................................................................ 48
Table 6. Case Search Components .......................................................................... 49
Table 7. Case Search Entity Filters .......................................................................... 52
Table 8. Case List Components ............................................................................... 55
Table 9. Case Additional Information Components ............................................... 56
Table 10. Case Context Information ......................................................................... 59
Table 11. Case Details Information .......................................................................... 60
Table 12. Fields for Business Data Correlation ...................................................... 64
Table 13. Link Types ............................................................................................... 81
Table 14. Valid Entity-Link Types ............................................................................ 82
Table 15. Known Relationship Identification ......................................................... 83
Table 16. Fields in the Event Decision section ........................................................ 93
Table 17. BusinessTabs display ............................................................................... 94
Table 18. Search Conditions for Adding New Business Entities using Search Existing Entities ................................................................................. 99
Table 19. Fields in the Transaction Search section .................................................. 103
Table 20. Fields in the Customer Search section ..................................................... 106
Table 21. Fields in the External Entity Search section ............................................. 110
Table 22. Current Loss and Recovery Information Fields ....................................... 118
Table 23. Display of History Data for Each Matrix ................................................ 120
Table 24. Loss and Recovery Items ......................................................................... 121
Table 25. Loss and Recovery Data Entry Fields ...................................................... 122
Table 26. Action Categories and Associated Fields ............................................... 126
Table 27. Fields in the Investigation Action window ............................................... 129
Table 28. Fields in the Investigation Action window ............................................... 132
Table 29. Fields in the Investigation Action window ............................................... 133
Table 30. Fields in the Investigation Action window ............................................... 135
Table 31. Fields in the Investigation Action window ............................................... 137
Table 32. Fields in the Investigation Action window ............................................... 139
Table 33. Fields in the Investigation Action window ............................................... 140
Table 34. Fields in the Investigation Action window ............................................... 142
Table 35. Fields in the Investigation Action window ............................................... 144
Table 36. Fields in the Add Documents and Comments window .......................... 147
Table 37. Fields in the Export window .................................................................. 148
Table 38. New Case Creation Components ............................................................ 151
Table 39. KYC Case Views and Filter ..................................................................... 160
<table>
<thead>
<tr>
<th>Table No.</th>
<th>Table Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>40</td>
<td>KYC Case Search Components</td>
<td>162</td>
</tr>
<tr>
<td>41</td>
<td>KYC Case List Components</td>
<td>166</td>
</tr>
<tr>
<td>42</td>
<td>KYC Case Supplemental Information Components</td>
<td>168</td>
</tr>
<tr>
<td>43</td>
<td>KYC Case Context Information</td>
<td>171</td>
</tr>
<tr>
<td>44</td>
<td>Algorithm Based Risk Assessment</td>
<td>174</td>
</tr>
<tr>
<td>45</td>
<td>Rule Based Risk Assessment</td>
<td>174</td>
</tr>
<tr>
<td>46</td>
<td>KYC Risk Score Details</td>
<td>175</td>
</tr>
<tr>
<td>47</td>
<td>New Case Creation Components</td>
<td>186</td>
</tr>
<tr>
<td>48</td>
<td>Action Categories and Associated Fields</td>
<td>191</td>
</tr>
<tr>
<td>49</td>
<td>Components of KYC Assessment Search Bar</td>
<td>210</td>
</tr>
<tr>
<td>50</td>
<td>Components of KYC Assessment List</td>
<td>211</td>
</tr>
<tr>
<td>51</td>
<td>FATCA Assessments Search Bar Components</td>
<td>218</td>
</tr>
<tr>
<td>52</td>
<td>FATCA Assessments List Components</td>
<td>222</td>
</tr>
<tr>
<td>53</td>
<td>Assessment Context Field Descriptions</td>
<td>224</td>
</tr>
<tr>
<td>54</td>
<td>Customer Information Field Descriptions</td>
<td>226</td>
</tr>
<tr>
<td>55</td>
<td>Account Information Field Descriptions</td>
<td>227</td>
</tr>
<tr>
<td>56</td>
<td>Customer FATCA Assessment Indicators</td>
<td>229</td>
</tr>
<tr>
<td>57</td>
<td>Customer Indicia Field Descriptions</td>
<td>231</td>
</tr>
<tr>
<td>58</td>
<td>Owning Customer's Indicia Field Descriptions</td>
<td>231</td>
</tr>
<tr>
<td>59</td>
<td>Document Indicators Field Descriptions</td>
<td>232</td>
</tr>
<tr>
<td>60</td>
<td>Account FATCA Assessment Indicators Field Descriptions</td>
<td>234</td>
</tr>
<tr>
<td>61</td>
<td>Account Indicia Field Descriptions</td>
<td>234</td>
</tr>
<tr>
<td>62</td>
<td>Owning Customers Field Descriptions</td>
<td>235</td>
</tr>
<tr>
<td>63</td>
<td>Owning Customers - Document Indicators Field Descriptions</td>
<td>236</td>
</tr>
<tr>
<td>64</td>
<td>Related Assessments Field Descriptions</td>
<td>237</td>
</tr>
<tr>
<td>65</td>
<td>Create New Case - Components</td>
<td>240</td>
</tr>
<tr>
<td>66</td>
<td>Search Component Descriptions</td>
<td>245</td>
</tr>
<tr>
<td>67</td>
<td>Advanced Search Component Descriptions</td>
<td>249</td>
</tr>
<tr>
<td>68</td>
<td>FATCA Case Views and Filter</td>
<td>257</td>
</tr>
<tr>
<td>69</td>
<td>FATCA Case List Components</td>
<td>260</td>
</tr>
<tr>
<td>70</td>
<td>FATCA Case Context Components</td>
<td>264</td>
</tr>
<tr>
<td>71</td>
<td>Case Details Information</td>
<td>267</td>
</tr>
<tr>
<td>72</td>
<td>Searching FATCA Withholding Transactions</td>
<td>286</td>
</tr>
<tr>
<td>73</td>
<td>FATCA Withholding Transaction List Field Descriptions</td>
<td>288</td>
</tr>
<tr>
<td>74</td>
<td>Adding a New FATCA Withholding Transaction Record</td>
<td>290</td>
</tr>
<tr>
<td>75</td>
<td>Case Simple Search Options</td>
<td>298</td>
</tr>
<tr>
<td>76</td>
<td>Case Advanced Search Options</td>
<td>299</td>
</tr>
</tbody>
</table>
About this Guide

This guide explains the concepts of Enterprise Case Management, and provides step-by-step instructions for navigating the web pages, analyzing cases, acting on cases, researching business information.

This chapter focuses on the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

Who Should Use this Guide

The Enterprise Case Management User Guide is designed for the following users:

- **Case Initiator**: This user manually creates cases for AML/Fraud cases types.
- **Case Analyst**: This user works on the cases within the application frequently. This user's specific role (that is, Case Analyst I or Case Analyst II) determines what this user can see and do within the application.
- **Case Supervisor**: This user works on cases within the application on a daily basis and is typically a higher level Analyst or Compliance Officer.
- **Case Executive**: This user may not be involved in the day-to-day analysis of cases; however, this user can view many areas within the application and can perform only a limited set of actions.
- **Case Auditor**: This user has broad viewing rights for cases within the application; however, this user can perform a limited set of actions based on the user's role (that is, Case Internal Auditor or Case External Auditor).
- **Case Viewer**: This user has specific viewing rights for cases within the application.
- **KYC Analyst**: This user works on Know Your Customer (KYC) cases within the application on a daily basis and performs actions defined for analyst user role.
- **KYC Supervisor**: This user works on Know Your Customer (KYC) cases within the application on a daily basis and performs actions defined for supervisor user role.
- **Relationship Manager**: This user can view all the Know Your Customer (KYC) assessments that are in Hold statuses.
- **FATCA Analyst**: This user can view and analyze the (Foreign Account Tax Compliance Act) FATCA Assessments, promote an Assessment to a FATCA Case, view and analyze a FATCA Case, and view and add Withholding Transactions.
- **FATCA Supervisor**: This user can view and analyze the (Foreign Account Tax Compliance Act) FATCA Assessments, promote an Assessment to a FATCA Case, view and analyze a FATCA Case, and view and add Withholding Transactions.
How this Guide is Organized

About this Guide

- **FATCA Administrator**: This user is responsible for managing the static data used in FATCA rules, creating users, mapping users to user groups, and configuring the various parameters used in FATCA.

- **FATCA Auditor**: This user is responsible for auditing the FATCA Assessments, FATCA Cases and Withholding Transactions. This user can access all the modules in FATCA Management solution and will have a View Only access.

How this Guide is Organized

The *Enterprise Case Management User Guide*, includes the following chapters:

- Chapter 1, *Overview of FCCM*, provides an overview of Oracle Financial Services Financial Crimes and Compliance Management, how it works, and what it does.


- Chapter 3, *Getting Started*, includes instructions on how to configure your system, access Enterprise Case Management application, and exit the application.


- Chapter 5, *Investigating Cases*, explains the AML/Fraud case type workflows.

- Chapter 6, *Investigating KYC Assessments and Cases*, explains the KYC Assessments and KYC Case type workflows.


- Chapter 8, *Working with Compliance Regulatory Reporting*, explains how Compliance Regulatory Reporting is integrated with the application and allows users to generate reports with information relevant to the investigation.

- Chapter 9, *Generating Interactive Analytic Reports*, describes the Interactive Analytic reports available in Enterprise Case Management.

- Chapter 9, *Setting User Preferences*, explains how to setup Enterprise Case Management preferences.

- Appendix A, *Message Pages* explains error and status pages that are not directly related to the business function of the application.

- The Index, provides an alphabetized cross-reference list that helps you to locate information quickly.

Where to Find More Information

For more information about the Enterprise Case Management, refer to the following documents:

- Administration Guide
- Configuration Guide
- Alert Management User Guide
- Data Interface Specification (DIS)
- Installation Guide - Stage 3
Conventions Used in this Guide

Table 1 provides the conventions used in this guide.

<table>
<thead>
<tr>
<th>Convention</th>
<th>Meaning</th>
</tr>
</thead>
</table>
| *Italics*  | ● Names of books, chapters, and sections as references  
            | ● Emphasis  |
| **Bold**   | ● Object of an action (menu names, field names, options,  
            | button names) in a step-by-step procedure  
            | ● Commands typed at a prompt  
            | ● User input  |
| Monospace  | ● Directories and subdirectories  
            | ● File names and extensions  
            | ● Process names  
            | ● Code sample, including keywords and variables within text  
            | and as separate paragraphs, and user-defined program elements within text  |
| <Variable> | Substitute input value |

These documents can be found at the following link:
http://docs.oracle.com/cd/E60570_01/homepage.htm

To find more information about Oracle Financial Services and our complete product line, visit our Web site www.oracle.com/financialservices.
CHAPTER 1  Overview of FCCM

This chapter describes Oracle Financial Services Financial Crimes and Compliance Management (FCCM) applications, how they are used by financial institutions and what a typical workflow would be. It contains the following sections:

- About Financial Crimes and Compliance Management
- Functions
- Workflow

About Financial Crimes and Compliance Management

In today's complex banking environment, there are many different factors that financial institutions must address to deter crime, safeguard their reputation, increase efficiency, minimize risk, and comply with regulatory agencies. Oracle Financial Services Financial Crime and Compliance Management (FCCM) provides automated, comprehensive, and consistent surveillance of all accounts, customers, correspondents, and third parties in transactions, trades, orders across all business lines. The solution allows organizations such as banks, brokerage firms, and insurance companies to monitor customer transactions daily, using customer historical information and account profiles to provide a holistic view of all transactions, trades, orders and other activities. It also allows organizations to comply with national and international regulatory mandates using an enhanced level of internal controls and governance. FCCM is a common platform that supports the following OFSAA products:

- Anti-Money Laundering Enterprise Edition (AML EE) monitors transactions to identify possible money-laundering activities. These scenarios consider whether the geographical location or entities involved warrant enhanced scrutiny; monitor activity between accounts, customers, correspondents, and other entities to reveal relationships that could indicate efforts to launder funds; address sudden, significant changes in transaction activity that could indicate money laundering or fraud; and detect other types of activities that are considered potentially suspicious or indicative of money laundering. For example, the Journals Between Unrelated Accounts scenario detects accounts that conduct journal transactions, within a specified period, to one or more accounts that do not share tax identifiers, do not share a customer, are not in the same household, and are not known to have a formal relationship. This behavior might indicate that money launderers have established a number of accounts using aliases or slightly different identifying information, and then moving money between accounts as part of a layering strategy, often consolidating the funds in a single account before removing them from the institution.

- Know Your Customer (KYC) assesses the risk associated with a customer by considering different attributes of the customer and enables financial institutions to perform Due Diligence, Enhanced Due Diligence, and continuous monitoring of customers. Cases generated in Know Your Customer can be managed within Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.

- Enterprise Fraud Management (EFM) detects behaviors and patterns that evolve over time and are indicative of sophisticated, complex fraud activity. These scenarios monitor check and deposit / withdrawal activity, electronic payments, such as funds transfer and payments completed through clearing house (ACH) mechanisms, and ATM and Bank Card to identify patterns of activities that could be indicate fraud, counterfeiting or kiting schemes, identity theft or account takeover schemes. Fraud scenarios also monitor
employee transactions to identify situations in which employees, acting as insiders, take advantage of access to proprietary customer and account information to defraud the financial institution's customers. For example, the Excessive Withdrawals at Multiple Locations scenario monitors a sudden increase in a customer's withdrawals at ATMs that may indicate money laundering, terrorist financing, or an account takeover.

- **Oracle Financial Services Currency Transaction Reporting (CTR)** analyzes transaction data from the organization and identifies any suspicious activities within the institution that may lead to fraud or money laundering and must be reported to the regulatory authorities. Currency Transaction Reports (CTRs) are created either at the branches or through the end of day files, where the CTR application aggregates multiple transactions performed at the branch, ATMs and Vaults. Oracle Financial Services Currency Transaction Reporting then helps the organization file the CTR online with the U.S. Financial Crimes Enforcement Network (FinCEN) using a discreet form or uploaded in a batch form in a specific text file format. Unlike alerts for other Oracle Financial Services Behavior Detection products such as Anti-Money Laundering, Fraud, Trading Compliance, Broker Compliance, or Energy and Commodity Trading Compliance which appear in an Alert Management user interface, CTR alerts are automatically processed and converted into CTR reports or Monetary Instrument Log reports which can be worked through the CTR user interface. For example, the Bank Secrecy Act Currency Transaction Report scenario detects activity meeting the requirements for filing a Bank Secrecy Act Currency Transaction Report (CTR) and reconciles alerts generated by this scenario which are considered batch CTRs with Branch CTRs. The resulting CTRs are prepared for electronic filing in accordance with FinCEN's BSA Electronic Filing Requirements for Bank Secrecy Act Currency Transaction Report (BSA CTR).

- **Foreign Account Tax Compliance Act (FATCA) Management** allows financial institutions to comply with FATCA regulations from the Internal Revenue Service and the US Treasury Department which prevent US taxpayers who hold financial assets in non-US financial institutions and other offshore vehicles from avoiding their US tax obligations. The FATCA Management solution integrates with Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.

- **Trading Compliance (TC)** examines prices and timing of orders and executions by comparing them to market conditions and detect behaviors or situations that violate exchange, market center, and individual broker or dealer policies and procedures, including behaviors that violate the Chinese Wall policies and procedures established by the Firm or those with confidential information held by the Firm about a security. For example, the Trading Ahead of Material Events scenario detects possible insider trading by analyzing trades which occur prior to “events”, which can be defined by the Oracle client. The type and volume of trades which occur prior to an event may indicate that an employee, customer, trader, or trading desk was in possession of material non-public information. As there may also be non-fraudulent reasons for this trading activity, this scenario minimizes false alerts by excluding accepted hedging or trading strategies.

- **Oracle Financial Services Personal Trading Approval** monitors employee investment accounts and trades. Employees of the financial institution submit trade requests to be made from their approved investment accounts. Compliance officers can then review, approve, or reject the trade requests to ensure that their employees are acting in compliance with regulations. Financial institutions can also use this solution to maintain employee attestations.

- **Trade Blotter (TB)** allows trades to be viewed and reviewed, primarily for suitability issues within the wealth management sector, by compliance analysts an or business supervisors after a trade has been executed. The Trade Blotter is a list of trades returned after a search based on specified criteria. Users can view trade details,
view related trade documents, enter a comment on a specific trade, and then mark the trade as reviewed or requiring follow-up.

- **Broker Compliance (BC)** identifies activities or situations in customer accounts that involve either a significant amount of risk and therefore may be unsuitable for the customer or may violate trading rules set by the exchanges or regulators; trades in mutual fund securities that may violate regulatory trading guidelines, Commission policies, or are unsuitable for a particular customer; and activities performed by employees that may violate regulatory conduct rules or may be prohibited by firm policies. These scenarios also detect instances in which an investment advisor may be managing client accounts in a manner that is unsuitable for their customers, giving preferential treatment to particular customers, or manipulating transactions between accounts; and instances in which a portfolio manager may be placing orders on material, non-public information, misrepresenting portfolio performance, or unfairly allocating orders to accounts they manage. For example, the Reps Concentrating Solicitations in Too Few Securities scenario verifies that Registered Representatives are not exposing their clients to undue risk by recommending a significant percentage of buy solicitations in a single security, which can result in an unbalanced and volatile portfolio.

- **Energy and Commodity Trading Compliance (ECTC)** monitors trading activities that involve the financial institution as the buyer or seller on energy and commodity related trades, including commodities, options, futures, and swaps. For example, the Energy Trading Limits scenario monitors trading of energy instruments to detect excessive hourly amounts of energy traded, based on internal limits which consider physical and financial power as well as Financial Transmission Rights (FTR). The scenario generates alerts when the amount of energy approaches or exceeds these internal limits. This behavior may indicate an attempt to manipulate the market by knowingly creating congestion with the purpose of benefiting from the creation of that congestion.

- **Enterprise Case Management (ECM)** manages and tracks the investigation and resolution of cases related to one or more business entities involved in potentially suspicious behavior. Cases can be manually created within Enterprise Case Management or your firm may integrate other Oracle Financial Services solutions, such as Alert Management, Know Your Customer, and FATCA Management, which can be used to create cases.

- **Compliance Regulatory Reporting** supports the management, delivery, and resolution of required regulatory reports across multiple geographic regions and financial lines of business. Organizations are required to analyze and report any suspicious activities that may lead to fraud or money laundering within the institution to regulatory authorities.
### Functions

The following figure depicts the functionality of Oracle Financial Services Financial Crimes and Compliance Management.

#### FCCM Functions

<table>
<thead>
<tr>
<th>Monitoring</th>
<th>Case Management</th>
<th>Dashboard/Analytics</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Behavior Monitoring</td>
<td>- Multiple Case Type Support</td>
<td>- Integrated Security</td>
</tr>
<tr>
<td>- Network Analysis</td>
<td>- Notifications</td>
<td>- Role Based Reporting</td>
</tr>
<tr>
<td>- Rule-based</td>
<td>- Correspondence</td>
<td>- Pre-packaged Reports</td>
</tr>
<tr>
<td>- Real-Time</td>
<td>- Evidence Gathering</td>
<td>- Ad-hoc Reports</td>
</tr>
<tr>
<td>- Watch List Screening</td>
<td>- Financials</td>
<td>- Scheduling &amp; Distribution</td>
</tr>
</tbody>
</table>

#### Regulatory Reporting

- Field & Data Validations
- Preview Capability
- E-file Generation
- Support Multiple Report Types & Geographies

#### Adaptive Analytics

- Open Modeling Environment
- Data Sampling and Movement
- Model Life Cycle Management
- Model Performance Comparison
- Model Migration to Production
Oracle Financial Services Financial Crimes and Compliance Management applications integrate fully - creating a complete workflow to address a financial institution’s compliance needs. The following figure shows this process.

Detailed information about these processes is available in the user documentation.
About Enterprise Case Management

The purpose of Enterprise Case Management is to help your firm to investigate and resolve cases. This chapter covers the following topics:

- Introduction to Enterprise Case Management
- Enterprise Case Management Workflow
- Data Ingestion
- Behavior Detection
- Post Processing
- Alert Management
- Enterprise Case Management
- About Interactive Analytic Reports

Introduction to Enterprise Case Management

Enterprise Case Management enables your firm to manage and track the investigation and resolution of cases related to one or more business entities involved in potentially suspicious behavior. Cases can be manually created within Enterprise Case Management or may represent a linked collection of alerts generated by Behavior Detection Framework that have been promoted to a case (if your firm has implemented Behavior Detection). When used in conjunction with Behavior Detection Framework, based on your roles and permissions, you can link or unlink additional alerts to a case during the investigation.

Additionally, Enterprise Case Management can be used to investigate and perform due diligence on Know Your Customer (KYC) and Foreign Account Tax Compliance Act (FATCA) Assessments which are promoted to a case.
**Enterprise Case Management Workflow**

The following figure illustrates the workflow of Enterprise Case Management:

![Enterprise Case Management Workflow Diagram](image_url)

Figure 1. Enterprise Case Management workflow
Data Ingestion

The Ingestion Manager receives, transforms, and loads Market data, Business data (such as, Transactions or Orders and Trades), and Reference data (such as Account and Customer and Employee information) that alert detection processing requires. The Ingestion Manager typically receives Market data from a real-time Market data feed or file adapter interface, and both Business and Reference data through the file adapter interface. The Data Ingestion subsystem transforms Market, Business, and Reference data to create derived attributes that the detection algorithms require (much of the loaded data is as is). The system extracts and transforms data and subsequently loads the data into the database. After loading the base tables, the OFSBD client’s job scheduling system invokes BD datamap XML to derive and aggregate data. The Data Ingestion component also uses the Fuzzy Name Matcher Utility to compare names found in source data with names in the Watch List.

The Oracle client implements Ingestion Manager by setting up a batch process that conforms to the general flow that this chapter describes. Typically, the system uses a job scheduling tool such as Maestro or Unicenter AutoSys to control batch processing of Ingestion Manager.

Behavior Detection

The Behavior Detection Framework uses sophisticated pattern recognition techniques to identify behaviors of interest, or scenarios, that are indicative of potentially interesting behavior. A pattern is a specific set of detection logic and match generation criteria for a particular type of behavior. These behaviors can take multiple representations in a firm’s data.

The software detects behavior that matches the logic and criteria defined by specific patterns. When one or more data records equal a scenario’s pattern of behavior, a match is created. Records that contribute to the exhibition of the behavior are associated to the match as matched records and display in the Behavior Detection Framework as building blocks. The entity that is responsible for the behavior of interest is considered the focus of the match. Examples of focus types are account, execution, correspondent bank, and employee.

The Behavior Detection Framework generates an alert to package one or more matches for analysis and action. If multiple matches are found that are closely related for the same focus (that is, instances of similar behaviors by the same entity), the matches can be combined to create a single alert, herein referred to as a multi-match alert, to help the analysis of the found behaviors.

Scenarios representing related business problems are grouped into scenario classes. Scenario classes are categories of behaviors or situations that have common underlying characteristics. Depending on your deployment, one or more of the following solution sets are available: Anti-Money Laundering (AML) and Fraud (FR), Trading Compliance (TC), Broker Compliance (BC), and Energy and Commodity Trading Compliance (ECTC).

The pages that are available within the Behavior Detection Framework User Interface (UI), the fields on those pages, and the actions you can take are based on your firm’s deployment of the solution. There is a base set of pages that displays for all cases (for example, the Case Data tab pages). For more information on different types of data tabs, refer to section Navigating Data Tabs.
Scenarios

The Behavior Detection Framework detection modules are divided into scenarios that typify specific types of business problems or activities of interest. The scenarios within Behavior Detection Framework are grouped into scenario classes that represent categories of behaviors or situations that have common underlying characteristics. The scenario class dictates the action choices available and the data that displays to you while an alert is processing.

Post Processing

During post-processing of detection results, Behavior Detection prepares the detection results for presentation to users. Preparation of the results depends upon the following processes:

- **Augmentation**: Collects additional information related to the matched behavior and focus for pattern detection, which enables proper display or analysis of the generated matches.
- **Match Scoring**: Computes a ranking for scenario matches indicating a degree of risk associated with the detected event or behavior.
- **Alert Creation**: Packages the scenario matches as units of work (that is, alerts), potentially grouping similar matches together, for disposition by end users.
- **Update Alert Financial Data**: Records additional data for alerts such as the related Investment Advisor or Security involved in the alert which may be useful for display and analysis.
- **Alert Scoring**: Ranks the alerts (including each match within the alerts) to indicate the degree of risk associated with the detected event or behavior.
- **Alert Assignment**: Determines the user or group of users responsible for handling each alert or case.
- **Auto-Assignment of Alerts and Cases**: If you select the auto-assignment checkbox, this action is taken after all the other actions. For example, say two case actions have been selected, Escalate for Review and Auto Assignment. In this case, first the case is escalated and then the case is auto-assigned.
- **Auto-Close**: Based on configurable rules, closes alerts which are considered to be of lower priority based on attributes of the alert or the alert focus.
- **Automatic Alert Suppression**: Suppresses alerts that share specific scenario and focal entity attributes for a particular time frame. This process will only impact alerts which match suppression logic defined for a specific scenario and focal entity combination.
- **Highlight Generation**: Generates highlights for alerts that appear in the alert list in the Alert Management subsystem and stores them in the database.
- **Augment Trade Blotter**: Provides the ability to differentiate between various types of trades using text-based codes. It also provides the ability to flag trades that require additional analysis before an analyst can mark trade as Reviewed or Reviewed with Follow up.
- **Score Trade Blotter**: Determines the maximum score of alerts generated in the same batch cycle associated with a trade; also determines the alert/trade mappings.
- **Historical Data Copy**: Identifies the records against which the current batch’s scenario runs generated alerts and copies them to archive tables. This allows for the display of a snapshot of information as of the time the alert behavior was detected.
Alert Correlation: Uncovers relationships among alerts by correlating alerts to business entities and subsequently correlating alerts to each other based on these business entities. The relationships are discovered based on configurable correlation rule sets.

Alert Management

OFSBD routinely generates alerts as determined by the configuration of the application in your environment, typically nightly, weekly, monthly, and quarterly. Alerts can be automatically assigned to an individual or group of users and can be reassigned by a user. Once matches have been generated and alerts created and assigned, OFSBD provides a User Interface (UI) for the investigation and disposition of those alerts. The Alert Management UI allows users to review details of the behavior which led to the alert, information about the focus of the alert, and a history of behavior related to the focus. Users can take actions on an alert using OFSBD, and move it through a series of statuses to a final disposition.

Enterprise Case Management

Enterprise Case Management supports the investigation and resolution of cases. All cases are investigated through Enterprise Case Management. Once created, a case is taken through various statuses as part of investigation and reaches closure through resolution actions.

Enterprise Case Management supports modifying the case details and the associated business data. Investigation workflows can vary based upon the type of case being investigated. Case investigation and resolution are supported by various actions, which may be specific to the case type and sub type. Access to types of cases as well as certain actions can be controlled based on a user's role and access permissions.

Enterprise Case Management supports product default case types and subtypes that drive the Investigation workflow. Case types and subtypes are configurable values and can be defined by your firm to meet your business needs. The product supports investigations that fall within the case classifications of Anti Money Laundering (AML), Fraud, Know Your Customer (KYC) and Foreign Account Tax Compliance Act (FATCA). All defined case types and subtypes must be associated with one of these case classifications.

Enterprise Case Management UI

The pages that are available within the Enterprise Case Management User Interface (UI), the fields on those pages, and the actions you can perform are based on your firm's deployment of the product. There is a base set of pages that displays for all cases. In addition to the Case Data tab pages, Business Data tab pages are also displayed.

The Case Data tab pages consist of Case Details, Correlations, Financials, (displayed by default for Fraud classification Case Type only), Relationships, Narrative, Evidence, and Audit tabs. Similarly, for KYC classification Case Types, the KYC Case Data tab pages consist of Risk Assessment, Enhanced Due Diligence, Relationships, Narrative, Evidence, and Audit tabs. These pages display information pertaining to the type and subtype of the case as well as investigation steps and actions. The FATCA Assessments Details consist of Account or Customer FATCA Assessment Indicators, Related FATCA Assessments, Related Cases, and Promote to Case button.

For more information on KYC Risk Assessments, refer to the KYC Risk Assessment Guide.

For more information on FATCA Assessments, refer to the FATCA Assessment Guide.

Business Data tab pages display information about entities related to case. Business Data tab pages are conditionally displayed based upon the type and subtype of the case.
Life Cycle of Case

A Case is created to manage and track the investigation workflow and resolution related to one or more business entities involved in potentially suspicious behavior. The following figure illustrates the life cycle of a case as it moves from New to Closed status.

Figure 2. Potential Life Cycle of a Case (AML, Fraud and KYC Cases)
Figure 3. Potential Life Cycle of a FATCA Case
Creation of Cases
Cases can be manually created within Enterprise Case Management or may represent a linked collection of alerts generated by Behavior Detection Framework that have been promoted to a case (if your firm has implemented Behavior Detection) or otherwise promoted to a case from a KYC or FATCA assessment.

Cases can be created in following four ways:
- Manual promotion by the user of one or more alerts that are generated by the Behavior Detection Framework by the user
- Automatic promotion of correlated alerts by the system
- Automatic promotion of KYC Assessments by the system based on the defined customer effective risk score ranges
- Manual and automatic promotion of FATCA Assessments to FATCA Cases
- Manual case creation

Case Statuses

A case’s status can change in two ways:
- By an eligible user viewing the case
- When an action is taken on the case

The status of a case can change throughout its life cycle. For example, the Enterprise Case Management default metadata describes that when a case is created, the system assigns the status New to the case. However, during the analysis of a case, you can perform various actions on the case to document the analysis. Some actions represent definitive progress in analysis and can therefore update the status of the case.

Table 2 lists the Enterprise Case Management default case status and the events that can cause the status to change. These statuses are representative of Enterprise Case Management default configurations delivered with the product and may not reflect your organization's actual configuration.

Table 2. Case Status Description

<table>
<thead>
<tr>
<th>Case Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>An authorized user has generated a case, and an eligible owner has not yet viewed the case detail information.</td>
</tr>
<tr>
<td>Investigation</td>
<td>An eligible owner has viewed a case which sets it to a status representing an ongoing investigation.</td>
</tr>
<tr>
<td>Awaiting Response</td>
<td>An authorized user is awaiting a response to email request or other inquiry.</td>
</tr>
<tr>
<td>Recommend Monitor</td>
<td>A user has recommended that a case should go into a period of monitoring before determining the next action or resolution. This status would be applicable if your firm has implemented a four eye approval process for some actions when taken by a user in an analyst role.</td>
</tr>
</tbody>
</table>
Related Cases

Enterprise Case Management displays the related cases for the case under investigation in the Relationship tab. All cases that have the same business entities associated with them as that of the current case are considered as related cases. Additionally, cases that have been linked to the current case by a user during the course of investigation are also considered as related cases. All related cases are displayed in Related Cases matrix in the Relationships tab.

### Table 2. Case Status Description (Continued)

<table>
<thead>
<tr>
<th>Case Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitor</td>
<td>When a user takes an action to put a case into a period of monitoring before determining the next action or resolution. Or when a case in a Recommend Monitor status is approved by a user in a supervisor role. Approval is applicable if your firm has implemented a four eye approval process for some actions when taken by a user in an analyst role.</td>
</tr>
<tr>
<td>File SAR</td>
<td>When a user takes the action to Recommend SAR.</td>
</tr>
<tr>
<td>Escalated</td>
<td>When the case is escalated by a user for additional review.</td>
</tr>
<tr>
<td>Recommend Closure</td>
<td>A user has recommended an action which would result in the closure of a case. This status would be applicable if your firm has implemented a four eye approval process for some actions when taken by a user in an analyst role.</td>
</tr>
<tr>
<td>Closed</td>
<td>When a FATCA case is closed.</td>
</tr>
<tr>
<td>Closed - Duplicate Case</td>
<td>Case is closed as it is considered as a duplicate case of another case.</td>
</tr>
<tr>
<td>Closed - Withheld Action</td>
<td>Case is closed and further actions on it are withheld.</td>
</tr>
<tr>
<td>Closed By System</td>
<td>Case is closed by system.</td>
</tr>
<tr>
<td>Closed - Loss Charged Off</td>
<td>Case is closed and the losses occurred were charged off.</td>
</tr>
<tr>
<td>Closed - Loss Recovered</td>
<td>Case is closed and the losses occurred were recovered.</td>
</tr>
<tr>
<td>Closed - No SAR Filed</td>
<td>Case is closed and no SAR reports need to be filed.</td>
</tr>
<tr>
<td>Closed - Account(s) Closed</td>
<td>Case is closed and the accounts involved were closed.</td>
</tr>
<tr>
<td>Closed - New Case Opened</td>
<td>Case is closed as there was another new case was opened to track the investigation.</td>
</tr>
<tr>
<td>Closed - Employee Terminated</td>
<td>Case is closed and the employees involved were terminated.</td>
</tr>
<tr>
<td>Closed - Referred to External Agency</td>
<td>Case is closed and further investigation was referred to an external agency, such as a law enforcement or regulatory agency.</td>
</tr>
<tr>
<td>Closed - SAR Filed</td>
<td>Case is closed and SAR reports are filed.</td>
</tr>
<tr>
<td>Reopened</td>
<td>An authorized user has opened a case that had previously been closed, and an eligible owner has not yet viewed the reopened case.</td>
</tr>
</tbody>
</table>
Linked Cases

A linked case is a case that has been linked to another case, representing a user-determined association between two cases. A case can be linked to another case using the Relationship tab. Users with sufficient access can navigate to the Relationship tab, select one or more cases, and manually link the selected cases to the current case. All linked cases are also considered as Related Cases and displays in the Related Cases section.

Unlinked Cases

An unlinked case is a case that is manually unlinked from another case by a user; thus, it is a user-determined dissociation between a case and a case. A case can be unlinked from another case using the Relationship tab. Users with sufficient access can navigate to the Relationship tab and select one or more cases and manually unlink them from the current case. Unlinked cases will no longer show up as related cases if they do not have a business relationship with current case's entities.

Related Alerts

If your firm has implemented Behavior Detection, Enterprise Case Management displays the related alerts for the case under investigation in the Relationship tab. All alerts that have the same business entities associated with them as that of the current case are considered as related alerts. All related alerts are displayed in Related Alerts section of the Relationships tab.

Linked Alerts

If your firm has implemented Behavior Detection, the Enterprise Case Management module will display linked alerts. A linked alert is an alert that is linked to a case; this can be a system or a user-determined association between a case and an alert. Refer to the Alert Management User Guide, for information on how to link alerts to cases.

Unlinked Alerts

Unlinking an alert from a case represents a user-determined dissociation between a case and an alert. An alert can be unlinked from a case using the Relationship tab. Users with sufficient access may navigate to the Relationship tab, select one or more alerts, and manually unlink them from the current case. Unlinked alerts will no longer show up as related alerts if they do not have a business relationship with current case's entities.

Related Risk Assessment

Related Risk Assessments displays all the risk assessments of the primary customer and their interested parties which were not promoted to cases as the risk scores fell under the range defined for promotion of cases. Related Risk assessments can be viewed from the Relationship tab. For more information, refer to section Related Risk Assessments.

Related FATCA Assessment

Related FATCA Assessment enables you to view the related FATCA assessments for the focal entity of the case. For more information, refer to section Viewing Relationships.
Using the Investigation Workflow

Use the Investigation workflow for cases assigned to you or to your group to perform the following tasks depending upon your access control rights:

- Filter, sort, and view cases
- Investigate related events and summary information about the data associated with the case
- Close cases by determining whether a specific case is suggestive of problematic activity and requires further action or whether it can be closed without further analysis
- Manually create cases and associate business data
- Modify case data and associated business data
- Reassign cases to other individuals on a team or groups (Analysts and Supervisors only)
- Manage links
- Take actions that impact the case status and reflect the investigation findings
- Record actions taken
- Export data to MS Excel
- Email cases
- Print a PDF version of the case either at a detailed level or summary level. You can also print all the comments made on a case.

User Privileges

Enterprise Case Management system offers 10 different types of user roles for investigating the cases. Table 3 refers the list of functions that each user role can perform.

Table 3. Enterprise Case Management User Privileges

<table>
<thead>
<tr>
<th>Privileges</th>
<th>Case Initiator</th>
<th>Case Viewer</th>
<th>Case Analyst I</th>
<th>Case Analyst II</th>
<th>Case Supervisor</th>
<th>Case Executive</th>
<th>Case Internal Auditor</th>
<th>Case External Auditor</th>
<th>KYC Analyst</th>
<th>KYC Relationship Manager</th>
<th>FATCA Analyst</th>
<th>FATCA Supervisor</th>
<th>FATCA Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access to Cases</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Search for Cases</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>View Case List</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>View Existing Case</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Create New Case</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Case Context</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>
Table 3. Enterprise Case Management User Privileges (Continued)

<table>
<thead>
<tr>
<th>Privileges</th>
<th>Case Initiator</th>
<th>Case Viewer</th>
<th>Case Analyst I</th>
<th>Case Analyst II</th>
<th>Case Supervisor</th>
<th>Case Executive</th>
<th>Case Internal Auditor</th>
<th>Case External Auditor</th>
<th>KYC Analyst</th>
<th>KYC Relationship Manager</th>
<th>FATCA Analyst</th>
<th>FATCA Supervisor</th>
<th>FATCA Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Alert Details*</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Case Details</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Transactions</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Relationships</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Related Risk Assessments</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Related FATCA Assessments***</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Link Cases</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Link Alerts*</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unlink Cases</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unlink Alerts*</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View KYC Assessments</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Add New Customers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Customers</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remove Customers</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add New Accounts</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Accounts</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remove Accounts</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>View Enhanced Due Diligence</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Add New Employee</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Employee</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remove Employee</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add New Household</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Household</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remove Household</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Add New Correspondent Bank</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Correspondent Bank</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remove Correspondent Bank</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Add New External Entity</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit External Entity</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Remove External Entity</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>View Evidence (Attachment and comment list)</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add Document</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Remove Document</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>
Table 3. Enterprise Case Management User Privileges (Continued)

<table>
<thead>
<tr>
<th>Privileges</th>
<th>Case Initiator</th>
<th>Case Viewer</th>
<th>Case Analyst I</th>
<th>Case Analyst II</th>
<th>Case Supervisor</th>
<th>Case Executive</th>
<th>Case Internal Auditor</th>
<th>Case External Auditor</th>
<th>KYC Analyst</th>
<th>KYC Relationship Manager</th>
<th>FATCA Analyst</th>
<th>FATCA Supervisor</th>
<th>FATCA Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Attachments</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Remove Attachments</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Add Investigation Comments</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add Involved Party</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View involved Party</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Narrative</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>View Financials</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add New Loss &amp; Recovery Cost Center</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add New Loss Recovery Data</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Loss &amp; Recovery Cost Center</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remove Loss &amp; Recovery Cost Center</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Loss Recovery Data</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remove Loss Recovery Data</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View GL History</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Loss Recovery History</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Audit</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>View Involved Party Tab</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Search and View Involved Party</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Involved Party History</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Print Case to PDF</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Own a Case</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Re-assign Case</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Re-assign Case to all organizations (Ability to</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reassign to owners in all organizations (additional</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>access control restrictions apply)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Correlation*</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Search for KYC Assessments</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View KYC Assessment List</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Assessments in Hold status</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View AML Reports for Cases</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Fraud Reports for Cases</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View KYC Reports for Cases</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Table 3. Enterprise Case Management User Privileges (Continued)

<table>
<thead>
<tr>
<th>Privileges</th>
<th>Case Initiator</th>
<th>Case Viewer</th>
<th>Case Analyst I</th>
<th>Case Analyst II</th>
<th>Case Supervisor</th>
<th>Case Executive</th>
<th>Case Internal Auditor</th>
<th>Case External Auditor</th>
<th>KYC Analyst</th>
<th>KYC Relationship Manager</th>
<th>FATCA Analyst</th>
<th>FATCA Supervisor</th>
<th>FATCA Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Productivity Reports for Cases</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Search for FATCA Assessments</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View FATCA Assessments List</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Promote FATCA Assessments to Case</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Search for FATCA Cases</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View FATCA Cases List</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Search for Withholding Transactions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Withholding Transactions List</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add New Withholding Transaction</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Edit Withholding Transaction</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

* Dependent on your firm implementing Behavior Detection.

** Dependent on your firm implementing KYC.

*** Dependent on your firm implementing FATCA.

**Security within Enterprise Case Management**

Analytical Applications Infrastructure (OFSAAI) uses six layers of security to control data access as defined in Table 4. You can view a case if your combination of access controls authorizes you to view the alert and business information. Contact your system administrator for details about your access control permissions.

Table 4. Access Controls for Enterprise Case Management

<table>
<thead>
<tr>
<th>Security Layer</th>
<th>Controls</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roles</td>
<td>Features and Functions</td>
<td>This security layer identifies the features and functions you can perform within the Enterprise Case Management.</td>
</tr>
<tr>
<td>Organizations</td>
<td>Case Information</td>
<td>This security layer enables your firm to restrict access using your firm's organizational hierarchy. To ensure accurate reporting, all users must be assigned one primary organization; however, a user can be assigned multiple viewable associations. To see a case owned by an organization or by the users within an organization, you must have viewable rights to that organization.</td>
</tr>
</tbody>
</table>
Table 4. Access Controls for Enterprise Case Management (Continued)

<table>
<thead>
<tr>
<th>Security Layer</th>
<th>Controls</th>
<th>Description</th>
</tr>
</thead>
</table>
| Scenarios                      | Alert Information       | This security layer enables your firm to restrict access by specific business problems (that is, scenarios). To see a linked alert generated by a scenario, you must have rights to view the scenario that generated the alert. To see a multi-match alert that is generated by several scenarios, you need rights to view at least one of the scenarios that generated the alert.  
**Note:** If your firm has implemented Enterprise Case Management, this security attribute layer shall be applicable. |
| Business Domains               | Case and Business Information | This security layer enables your firm to restrict access along operational business lines and practices. You can only see cases that are assigned to at least one of the same business domains.                              |
| Jurisdictions                  | Case Information        | This security layer enables your firm to restrict access using geographic locations. You can only see cases that are assigned to the same jurisdictions.                                                             |
| Case Type/Case Subtype         | Case Information        | This security layer enables your firm to restrict access by specific types of Investigations (that is, a combination of Case Type and Subtype). To see a case, you must have rights to view the specific Case Type and Subtype assigned to the case. |
About Interactive Analytic Reports

Enterprise Case Management supports integration of the case investigation and resolution results with the Oracle Business Intelligence, thereby giving you the ability to perform queries on the results. This enables you to access seeded reports and dashboards and to quickly develop new reports on a wide variety of information. Standard reports and dashboards are part of the installation of Enterprise Case Management solution. You can implement these reports as-is, or modify them according to your specifications. You can access the valuable information such as AML Reports, Fraud Reports, KYC Reports, Broker Compliance Reports, Trading Compliance Reports, Energy and Commodity Trading Compliance Reports, Productivity Reports and Drill-Down Reports for quick decision making.
CHAPTER 3  

Getting Started

This chapter discusses the information you need to start using Enterprise Case Management:

- System Requirements
- Logging In to Enterprise Case Management
- Troubleshooting Your Display
- Troubleshooting the Error Messages

System Requirements

The following applications are required to run Enterprise Case Management:

- Microsoft Internet Explorer (IE) version 9 or later
  Earlier versions and other browsers are not supported and may produce errors, inaccurate data and display failures. For users of IE version 8.0, the browser should be run in compatibility mode.
- Adobe Acrobat Reader version 9.0, or later.
  You can download a free copy of the latest version of the Reader at www.adobe.com.
- Java should be installed. JDK 1.6 (version 6) or above.
- The screen resolution of the system should be set to 1280 × 1024 or higher for proper display of the user interface (UI).

Logging In to Enterprise Case Management

Access to the Enterprise Case Management application depends on the Internet or Intranet environment. Enterprise Case Management is accessed through Microsoft IE browser. Your system administrator provides the intranet address uniform resource locator.

Your system administrator provides you with a user ID and password. Login to the application through the Login page. You will be prompted to change your password on your first login. You can change your password whenever required by logging in. (Refer to Change Password, on page 29 for more information.)

Your password is case sensitive. If you have problems with the password, ensure that the Caps Lock key is off. If the problem persists, contact your system administrator.

To access OFSAA Applications, follow these steps:

1. Enter the URL into your browser using the following format:
   `<scheme/ protocol>://<ip address/ hostname>:[port]/<context-name>/login.jsp`
   For example: https://myserver:9080/ofsaaapp/login.jsp
The OFSAA Login page is displayed.

![Figure 4. OFSAA Login Page](image)

2. Select the Language from the Language drop-down list.
3. Enter your User ID and Password.
4. Click **Login**. The OFSAA Application page is displayed.

![Figure 5. OFSAA Application Page](image)
The OFSAA Application page is a common landing page for all users until a preferred application page is set. For more information about how to set your preferred application page, refer to Chapter 9, *Setting User Preferences*. You can use the OFSAA Application page to access the Oracle Financial Services applications in your environment. For example, to access Enterprise Case Management, select **Financial Services Anti Money Laundering** from the drop-down list.

The OFSAA Application page has multiple tabs and each tab has specific links to OFSAA Infrastructure and Application modules. The modules which you may access depend on your user role and the OFSAA Application you select. The relevant tabs and links are displayed.

This page is divided into two panes:

- **Left Pane**: Displays any menus and links to modules in a tree format based on the application selected in the Select Application drop-down list.

- **Right Pane**: Displays any menus and links to modules in a navigational panel format based on the selection of the menu in the Left pane. It also provides a brief description of each menu or link.
Managing the OFSAA Application Page

This section describes the different panes and tabs in the OFSAA Application page. The OFSAA Application page has the following tabs:

- Applications Tab
- Object Administration Tab
- System Configuration and Identity Management Tab

The following sections describe these tabs:

Applications Tab

The Applications tab lists the various OFSAA Applications that are installed in the OFSAA setup based on the logged in user and mapped OFSAA Application User Group(s).

To access the OFSAA Applications, choose the required Application from Select Application drop-down list. For Alert Management, select Financial Services Anti Money Laundering. Based on your selection, the page refreshes the menus and links across the panes.

![Figure 6. OFSAA Application Selection Tab](image-url)
Object Administration Tab

Object Administration is an integral part of the Infrastructure system and allows system administrators to define the security framework with the capacity to restrict access to the data and metadata in the warehouse, based on a flexible, fine-grained access control mechanism. These activities are mainly done at the initial stage, and then as needed. This tab includes information related to the workflow of the Infrastructure Administration process with related procedures to assist, configure, and manage administrative tasks.

The Object Administration tab lists the various OFSAA Information Domains created in the OFSAA setup based on the logged in user and mapped OFSAA Application User Groups. For more information about managing Information Domains, refer to the Administration Guide.

To define or maintain access for an Information Domain, choose the required Information Domain from the Select Information Domain drop-down list. Based on your selection, the page refreshes the menus and links across the panes.

System Configuration and Identity Management Tab

System Configuration and Identity Management is an integral part of the Infrastructure administration process. This tab helps System Administrators to provide security and operational framework required for the Infrastructure. System Administrators can configure Server details, Database details, OLAP details, and Information Domains, along with other configuration processes such as segment and metadata mapping, mapping segments to securities, and rules setup. System Configuration is mostly a one-time activity, which helps the System Administrator make the Infrastructure system operational.
The System Configuration and Identity Management tab lists the OFSAA Infrastructure System Configuration and Identity Management modules. These modules work across Applications and Information Domains, so there is no Application and Information Domain drop-down list in this tab.

Figure 8. System Configuration and Identity Management Tab

Selecting Identity Management allows System Administrators to manage Users, User Groups, and the functions each User or User Group may access. For more information about managing Users and User Groups, refer to the Administration Guide.

Copyright Information

To access copyright information, click the About hyperlink in the OFSAA Login page. The Copyright text displays in a new pop-up window.
Change Password

If you want to change your password, you can do so using the **Change Password** option available from the drop-down list available on the OFSAA Application page.

The application will navigate to the Password Change page. Enter your old and new password in the given fields respectively, and click **OK**. Your password is changed successfully. After clicking **OK** in the pop-up window, the application navigates back to the Login page where you can login with the new password.

![Image of Change Password](image.png)

**Figure 10. Change Password**

**Troubleshooting Your Display**

If you experience problems logging into Oracle Financial Services Enterprise Case Management or with your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions for properly setting your Web display options for OFSAA applications within IE.

**Note:** The following procedures apply to all versions of IE listed in section “System Requirements,” on page 23. Separate procedures are listed for each version where differences exist in the locations of settings and options.

**Enabling JavaScript**

JavaScript must be enabled. To enable JavaScript, follow these steps:

1. From the Tools menu, click **Internet Options**.
   The Internet Options dialog box displays.
2. Click the **Security** tab.
3. Click the **Local Intranet** icon as your Web content zone.
4. Click **Custom Level**.
   The Security Settings dialog box displays.
5. In the Settings list and under the Scripting setting, enable all options.
6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

**Enabling Cookies**

Cookies must be enabled. If you have problems troubleshooting your display, please contact your System Administrator.
Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page. To adjust your Temporary Internet File settings, follow these steps:

1. From the Tools menu, click **Internet Options**.
   The Internet Options dialog box displays.
2. On the General tab, click **Settings**.
   The Settings dialog box displays.
3. Click the **Every visit to the page** option.
4. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Enabling File Downloads

File downloads must be available. To enable file downloads, follow these steps:

1. From the Tools menu, click **Internet Options**.
   The Internet Options dialog box displays.
2. Click the **Security** tab.
3. Click the **Local Intranet** icon as your Web content zone.
4. Click **Custom Level**.
   The Security Settings dialog box displays.
5. Under the Downloads section, ensure that **Enable** is selected for all options.
6. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

Setting Printing Options

Printing background colors and images must be enabled. To enable this option, follow these steps:

1. From the Tools menu, click **Internet Options**.
   The Internet Options dialog box displays.
2. Click the **Advanced** tab.
3. In the Settings list, under the Printing setting, click **Print background colors and images**.
4. Click **OK** to exit the Internet Options dialog box.

**Tip:** For best display results, use the default font settings in your browser.
Enabling Pop-Blocker

Some users may experience difficulty running the Oracle Financial Services application when the IE Pop-up Blocker is enabled. It is recommended to add the URL of the application to the *Allowed Sites* in the Pop-up Blocker Settings in the IE Internet Options.

To enable Pop-up Blocker, follow these steps:

1. From the Tools menu, click **Internet Options**.
   - The Internet Options dialog box displays.
2. Click the **Privacy** tab.
3. In the Pop-up Blocker setting, select the **Turn on Pop-up Blocker** option.
   - The **Settings** enable.
4. Click **Settings** to open the Pop-up Blocker Settings dialog box.
5. In the Pop-up Blocker Settings dialog box, enter the URL of the application in the text area.
6. Click **Add**.
   - The URL appears in the Allowed site list.
7. Click **Close**, then click **Apply** to save the settings.
8. Click **OK** to exit the Internet Options dialog box.

Setting Preferences

The Preferences section enables you to set your OFSAA Home Page.

To access this section, follow these steps:

1. Click **Preferences** from the drop-down list in the top right corner, where the user name is displayed.
   - The Preferences screen is displayed.
2. In the Property Value drop-down list, select the application which you want to set as the Home Page.

**Note:** Whenever new application is installed, the related value for that application is found in the drop-down list.

3. Click **Save** to save your preference.
Troubleshooting the Error Messages

This section provides tips for troubleshooting any problems encountered in this application and includes the following topic:

1. **Problem**: After logging into the application, a message `java.lang.ArrayIndexOutOfBoundsException:1` is displayed.
   
   **Solution**:
   - Ensure that logged in user’s security attributes are mapped properly. Refer *Administration Guide* for more information on mapping security attributes to a user role.
   - Ensure that the logged in user has only roles permitted by the application.

2. **Problem**: After logging into application, a message `java.sql.SQL SyntaxErrorException: ORA-01722: Invalid number` is displayed.
   
   **Solution**:
   - Ensure that logged in user’s security attributes are mapped properly. Refer *Administration Guide* for more information on mapping security attributes to a user role.
   - Ensure that the logged in user has only roles permitted by the application.

3. **Problem**: After logging into application, an alert message ‘The passed tab code to focus does not exist in the list of tabs fetched from database while accessing the Home screen’ is displayed.
   
   **Solution**:
   - Ensure that the logged in user has only roles permitted by the application.

4. **Problem**: After performing actions such as Add comment, Email and so on on the pages are not getting loaded and results in the JS error and displays the message ‘Unterminated character string encountered’ is displayed.
   
   **Solution**:
   - Certain special characters which got entered in to the Database as part the aforementioned actions performed might be source of the problem. A work around is to remove such characters from the DB and re-load the page.

5. **Problem**: While logging in or while loading the tab pages in the Case /Alert details, an error message `java.lang.NoClassDefFoundError` from jsp is displayed.
   
   **Solution**:
   This error usually occurs when there is not enough space in the server. In other words, the web server is not able to generate the Servlet classes for the JSPs. You can check the server space and delete the temporary files and then restart the web server.
CHAPTER 4

About Enterprise Case Management’ Web Pages

This chapter explains the common Web page features used throughout Enterprise Case Management, including:

- Where they appear
- What they do
- When or if they change based on your roles

The information provided in the following sections helps you achieve optimal use of the Enterprise Case Management UI:

- Common Screen Elements
- Using the Browser
- Navigating in Enterprise Case Management
- Message Pages

Common Screen Elements

The following section describes the common screen elements in the Enterprise Case Management UI.

Figure 12. Common Screen Elements

Note: The Title column shows scenario name only in the case of manual case promotion.

Common screen elements are those elements that consistently perform the same type of function in the same way when they display in the UI. Some serve as labels and never change (Matrix header); some enable you to get help or
complete a task (buttons); some offer an explanation for a specific item (tool tips); and some operate as variables
that allow you to type entries (text boxes) and make selections (drop-down lists).

**Masthead**

The masthead displays at the top of the page and contains the following components:

- Navigation Bar as Menus
- Session Information with session user name, day, and date.
- Help Button

**Buttons**

Buttons on the Enterprise Case Management UI enable you to perform tasks such as executing and canceling
actions or commands. Click a button to complete the desired task.

**Task Button**

Task buttons display throughout Enterprise Case Management and include the following:

- The **Search** and **Advanced Search** buttons display on the Search & List page of the Investigation workflow
to filter data based upon the criteria you set with basic filters and advanced additional filters respectively.
- The **Save** button records actions and navigates you to the appropriate page and displays the updated case
information accordingly.
- The **Save & Attach** button records actions and navigates you to a page providing the option to attach a
document with the action. Once you complete the attachment you are navigated to the appropriate page and
the case information is updated accordingly.
- The **Clear** button displays on those actionable sections of the UI which do not display any pre-populated
data. It clears the data entered by you when clicked.
- The **Reset** button displays on those actionable sections of the UI which display some pre-populated data. It
discards the data entered by you and resets the contents to their original state.
- The **Cancel** button displays on all the actionable sections of the UI and cancels the action you intend to take
and closes the action pop-up.
- The **Send** button displays in the Email pop-up and sends the email to the addressed parties.
- The **Add** button displays in some Business tabs, Financials tab and in the Evidence tab. It provides you with
a pop-up to add a new piece of information.
- The **Edit** button displays in some Business tabs, Financials, Narrative, and Evidence tabs. It provides you
with a pop-up to edit the existing piece of information you have chosen for edit.
- The **Remove** button displays in some Business tabs, Notification section, and in the Attachment List matrix
present in the attachment section of the Evidence tab. It also display in the Financials tab. It helps you delete
information that you think is not relevant.
- The **History** button displays in the Financials and Involved Party tabs. It provides you with a detailed
account of previous activities on the selected record.
- The **Go** button displays in all the Case Search bars and performs the search function.
The Case List button displays in the Priority Case List on the landing page. It helps you navigate to the Search & List page.

Action Buttons
The Action buttons display in the Search & List page and/or in the Details page. Each of these buttons provides you with an action pop-up for taking actions in the category these buttons are representative of. These include buttons for each action category:

- **Assign** - For more information, refer to the section Assigning a Case.
- **Escalate** - For more information, refer to the section Escalating a Case.
- **Resolution** - For more information, refer to the section Resolutions for a Case.
- **Review** - For more information, refer to the section Reviewing a Case.
- **Monitor** - For more information, refer to the section Monitoring a Case.
- **Email** - For more information, refer to the section Emailing a Case.
- **Export** - For more information, refer to the section Exporting a Case.
- **Reopen** - For more information, refer to the section Reopening a Case.
- **Due Date** - For more information, refer to the section Setting Due Date for a Case.
- **Print Details** - For more information, refer to the section Printing Details.
- **Print Summary** - For more information, refer to the section Printing Summary.
- **Print Comments** - For more information, refer to the section Printing Comments.

Note: Print Comments, Print Details, and Print Summary can be accessed only from case details page.

Help Button
A Help button, in the form of a question mark, displays to the extreme right of the bread crumbs. Click Help while working in Enterprise Case Management to get the following:

- More detailed information about the page
- Explanations of the screen elements
- How to perform instructions on a task that you want to perform

Radio Button
A round button used to select one of a group of mutually exclusive options.

Calendar Button
A Calendar button displays when you have the option of selecting a date. For example, you can specify a date range to search for closed cases. If you click Calendar icon, a calendar of the current month displays and highlights the current date.
To use the Calendar window to select dates, follow these steps:

1. Select a date. The application will automatically enter the selected date in the date field.
2. Click the arrows at the top of the Calendar window to view other months or years.
3. Click the Close link to close the calendar without selecting a date.

---

**Expand/Collapse**

You can view the complete information in a section, matrix, and field by using various expand or collapse options.

**Column Expand All**

When values are displayed in a matrix and there are columns, which have lengthier values, then you can use **Column Expand All** button to expand all the columns together at once to display the full length of their values.

**Column Collapse All**

When values are displayed in a matrix and there are columns, which have lengthier values, then you can use the **Column Collapse All** button to collapse all the values that are already expanded for display, together at once.
Section Expand Button

If you want to expand a section on a page, you can click the (+) button displayed at the top left corner of the section. This expands the section and all the fields in the section are visible.

Section Collapse Button

If you want to collapse a section, which is already expanded, you can click the (-) button displayed at the top left corner of the section. This collapses the section and all the fields in the section are hidden.

Grid Expand Button

If you want to expand a grid matrix section to see all the rows displayed in it, you can click the (>) button displayed at the top left corner of the section. This will expand the matrix and all the rows and columns in the matrix are visible.
Common Screen Elements
Chapter 4—About Oracle Financial Services Enterprise Case Management’ Web Pages

Figure 18. Grid Expand Button

**Grid Collapse Button**

If you want to collapse a grid matrix, which is already expanded, you can click the (^) button displayed at the top left corner of the section. This collapses the matrix and all the rows and columns in the matrix are hidden.

Figure 19. Grid Collapse Button

**Column Expand Button**

When values displayed in the columns of a matrix is lengthy, Enterprise Case Management displays the first few characters followed by the expand button (>>), indicating that more text is available. The expand button (>>) in a field when clicked, expands the column/row for the complete text to be visible. The button (>>) is displayed in few of the matrix headers, like Evidence to expand the contents of the matrix.

Figure 20. Column Expand Button

**Column Collapse Button**

When values displayed in the columns of a matrix are expanded, you can click the (<<) button in that column. When clicked, the column contracts the column/row. The **Contract** button is displayed in few of the matrix headers, such as Evidence, to contract the contents of the matrix.
Field Types

The following sections describe field types.

Text Area
A multi-line rectangular box in which you can type text, such as case comments. If the box already contains text, you can select the default text or delete it and type new text. You may type as many characters in this box as desired.

Text Box
A single-line rectangular box in which you can type text. If the box already contains text, you can select the default text or delete it and type new text. Some text boxes limit the number of characters that you can use. If so, the text box will show the maximum number of characters you can enter.

Wildcard Text Box
Enterprise Case Management permits the use of wildcards in specific text boxes. If you do not know all of the information to type into the text box field, you can type a wildcard character for the missing part of the information. Enterprise Case Management recognizes the percent sign (%) and underscore (_) as wildcard characters. You can use the wildcard character at the beginning, end, and anywhere within a string.

The more specific you are when using the wildcard character, the fewer extraneous matches Enterprise Case Management returns. For example, if you specify a last name of Sm%, Enterprise Case Management may return 100 matches, but if you specify a last name of Smit %, Enterprise Case Management may return only 17 matches.

Context-Sensitive Text Box
Enterprise Case Management permits the use of context-sensitive input in specific text boxes. If you want to perform a search on multiple values, you can enter a string of comma-separated values in the case ID field. Enterprise Case Management recognizes the values as individual values.

Drop-down List
A list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selection.
Selection Box
A list from which you can choose multiple items by selecting the check box against each item. Checking the value Select All represents the selection of all the values available in the selection box. Un-checking the value Select All represents the de-selection of all the values in the selection box.

Check Box
A square box that displays beside an item or option. Select the check box once to place a check mark in the box. Select the check box again to clear it.

Check All/Uncheck All Check box
You can select all the records or deselect all preselected records using the check box provided at the header of the check box column of all matrices.
A check on the header check box selects all the records in the matrix. An uncheck on the header check box deselects all the selected records in the matrix.

Column Sort Options
Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the list matrix are sortable.
Enterprise Case Management supports right-click options on columns within the List header that allows you to specify the sorting options such as Sort Ascending, Sort Descending, Clear Sort, Field Chooser and Transpose.
The Field Chooser option allows you to choose the fields that you want to display in the List section thereby allowing you view additional columns that are not displayed by default. Using this option, you can reorder the columns on the list by moving the columns up or down. You can also change the width of the column by modifying the width or you can select the Auto Fit option. Clicking OK on Field Chooser will save the selected settings for the current session whereas clicking Save will save the selected settings for future logins.

ToolTips
A pop-up ToolTip displays when you position the mouse cursor over an abbreviated field, usually indicated by an ellipsis, or a column label in the Enterprise Case Management UI. A Tooltip displays for approximately three seconds and provides the definition or other pertinent information for the abbreviated field or column label.

Using the Browser
The browser cache does not completely refresh the data. Therefore, using keys from keyboards, like Ctrl+Left arrow or Backspace keys for backward navigation, and Ctrl+ Right arrow keys for forward navigations displays data that may be outdated. Using the Enterprise Case Management navigation, pages are refreshed so the information is always up-to-date.
Navigating in Enterprise Case Management

The following sections describe the navigation features that you can use to navigate within Enterprise Case Management.

Figure 22. Navigating in Enterprise Case Management
Navigation features enable you to move easily between pages in the UI to view, analyze, or research cases while working in Enterprise Case Management.

Navigation Menus

The Navigation menu displays in the upper left corner of the page. The Navigation menu option includes: Home, Investigation, Reports, and Administration. Menu options display as per your user role. Refer to Table 3 for more information on access to Enterprise Case Management features based on role.

Links

Links display as hypertext (underlined text) on the page that, when clicked, takes you to other pages within the Enterprise Case Management UI.

Search Bars

Some Enterprise Case Management pages have a search bar that allows you to specify values with which to filter and sort your data. Search bars for a specific page are described in the chapter where that page's use is explained. Refer to Chapter 5, Investigating Cases in the section, for more information on the Case search bars.
Page Context Controls

Page context controls (also called bread crumbs) show your location in Enterprise Case Management. It allows you to navigate back to previous page to a particular workflow. The current workflow displays the current entry in the page context controls.

Business Tabs

Business tabs help the case investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.
Depending on the Type and Subtype of a case that you are eligible to view, you may have access to these business tabs.
Business data tab pages display detailed information about a business entity. Depending on the type of business entity being displayed (for example, Account, Customer), the content of the tab is different and specific to that type of entity.

Pagination

Pagination refers to the mechanism on the page that enables you to move through multiple pages of information (cases, business data and so forth).
You can move forward and backward through the pages one at a time by clicking the back arrow to the left of the Page text box (unless you are on page #1) or the forward arrow to the right of the total number of pages (unless you are on the last page).
To navigate to different pages of the search results in List page, you can use the Jump to Page option. Enter a number in the text box and press Enter in the keyboard to navigate to the respective page.
Some pages within Enterprise Case Management display only an initial, limited set of information upon first navigating to that page. This information is often displayed in a tabular matrix at the top of the page. Additional information relevant to the page along with an LHS menu can be displayed by clicking on one of the initially displayed records.

Message Pages

Enterprise Case Management describes the various types of error and status message pages that you may see in the application. Refer to Appendix A, Message Pages, for an explanation of what causes the message pages to display and the appropriate way to handle them.
CHAPTER 5  Investigating Cases

This chapter explains how to examine and analyze case-related information to determine what action to take in each situation.

This chapter covers the following topics:

- About the Case Workflow
- Navigating Data Tabs
- Acting on Cases
- Creating New Cases

About the Case Workflow

This chapter explains how to find and analyze cases in the workflow that you are authorized to view. The primary components of the Case workflow discussed in this chapter include the following pages:

- **Home page**: Enables you to view your notifications and priority cases. You can also view the charts based on your role and reports configured for display. Refer to section Home Page for more information on the components of the home page.

- **Case Search & List page**: Enables you to set criteria to retrieve cases, the results of which display on the Case List below the Search bar. The search can be performed through pre-defined views: simple search and advanced search criteria. You can also search for a case by a Case ID.

  **Note**: In both Simple and Advanced Searches, search by Case ID and search by other fields are mutually exclusive. If you attempt to search by a combination of Case ID and other filters, the search results displays only based on the Case ID and ignores the other criteria.

  The List matrix displays a list of cases that meet the criteria specified on the Case Search bar. Clicking the **Case ID** link for any case in the list page displays the Case Details page. The search results are displayed using a default sort criteria in the order of Priority in descending order, Due Date (if defined) in ascending order, Create Date of the case in descending order and Case ID in ascending order.

Accessing the Investigation Workflow

You can access the Investigation workflow using the primary level of navigation menu, which is located at the top of the page and is visible from all pages of the workflow. Click the **Cases - AML/Fraud** submenu option under the Investigations primary level of navigation menu. The Case Search & List page displays.

Alternately from the Home page, you can access the Case Search & List page by clicking the **Case List** button in the priority cases matrix. Based on your role or preferences set through Preferences menu, either the Home page or Case Search & List page displays after you have logged into the system. You can click on the Home primary level of navigation menu to navigate to the Home page.
Home Page

The Home page provides visibility and quick access to a list of high priority cases that may require more immediate attention. In addition, the Home page displays notifications of activity on cases of interest to you. The Home page may also display graphical summaries of your current workload. You can navigate to the Home page by selecting Home from the primary level of navigation menu. Based on the access permissions of your role, the Home page may also display as the default page after you have logged into the system.

Refer to Table 3 for more information on Enterprise Case Management access privileges and Table 4 for more information on security within Enterprise Case Management.

Refer to section Home Page for more information on the components of the Home page.

Components of Home Page

The Home page consists of the Notification section, Report section, and Priority Case Matrix.

Notification

The Notification section displays the notification of the following category:

- **ID**: Identifier of the item for which you have received this notification (for example, Case ID)
- **ID Type**: The type of item for which you have received this notification (for example, Case)
- **Notification category**: The type of activity that has triggered this notification (for example, Due Date and Reassign Ownership)
- **Created Date and Time**: Date and time this notification message was created

Double-click a notification to view additional detailed information about the notification in a pop up:

- **Due Date**: Displays the actual due date that is nearing or has been exceeded for an entity (for example, Case)
- **Status**: Displays the current status of the selected entity (for example, Case, Alert and so on)
- **Assigned To**: Displays the name of the user role to whom the entity is assigned.
- **Action Taken**: Displays the name of the action taken on the entity (for example, Assign)
- **Taken By**: Displays the name of the user role who performed an action on the entity.

You can select the check box against each notification and click the **Remove** button to delete the notification from your list.

The most recent notifications display first. If there are more notifications than will fit on the initial page, you have the option to navigate to the additional notifications using page controls. Notifications will not remain visible indefinitely. By default, notifications are configured to appear for five days after they are initially created except under the following circumstances:

- You delete the notification
- You view the case for which the notification of assignment or reassignment was received on action taken
- Or, the due date has been extended on the case for which the notification of nearly due or overdue was received

**Note**: The display notification is configurable. Contact your system administrator to modify the default.
Reports

Displays reports based on the role and reports configured for your firm’s installation. Contact your system administrator for more information regarding what reports may be available. Case by status which is embedded in HOME page should display all the cases which is coming under the entitlements structure of the owner who logged in. If your firm has implemented Behavior Detection, the Reports section may also contain charts concerning alerts owned by you.

Priority Cases Matrix

Displays only Active cases, that is, those cases in a non-closed status. By default, the system displays high priority cases then medium then low. The cases, and the order in which they are to be displayed, are based on the following ordering strategies:

- **Case Priority** (displayed in descending order of priority - High, Medium, and Low)
- **Due Date** (displayed in ascending order): When the priorities are identical, the system uses the due date of a case to determine the display order. If there is a due date associated with the case, Enterprise Case Management selects those cases most near or exceeding their due date.
- **Create Date**: If the priority cases have identical due dates, Enterprise Case Management use the most recent create dates of the cases to determine display.

You can click the Case List to navigate to the Case Search & List page.

Case Search & List Page

The Case Search & List page enables you to filter the cases that you want to view and analyze on the Case List section. You can navigate to the Case Search & List page by selecting the Cases - AML/Fraud submenu in the Investigations primary level of navigation at the top of the Masthead area.

From the Home page, you can navigate to the Search & List page by selecting the Case List button on the priority list of Cases.

You can access and view the Case Search page and fields within it if your role permits you to search for cases.

Case Search & List Page Components

The Case Search & List Page contains the following components:

- **Action Buttons**
- **Case Search Bar**

**Action Buttons**

You can perform actions using the Action buttons that is available above the Search bar. Theses buttons are visible as per your access permissions. Refer to section Acting on Cases for more details on actions.

**Case Search Bar**

The Case Search bar enables you to filter the cases that you want to view and analyze on the Case List matrix. The Case Search bar supports three types of search—Search by Views, Simple Search, and Advanced Search.

By default, the Views search is available with Cases Assigned to Me as the default queue.
You can also choose to search by filter criteria available in Simple Search and Advanced Search, which displays on clicking the respective buttons. You can use only one search (Views, Simple Search, or Advanced Search) at a time.

Enterprise Case Management retrieves cases, based upon the following:

- The filter criteria you enter into the Views, Simple Search, or Advanced Search bars.
- Your access control permissions.

The Case Search bar supports the ability to search across the following types of information:

- Views Search
- Case Information
- Case Search Dates
- Simple Search
- Advanced Search
- Case by Entity of Linked Alerts
- Linked Cases
- Linked Alerts
- Case ID Search

**Views Search**

Views represent pre-populated search queries. Selecting a View for searching allows a single click option for returning a filtered case list based upon the view’s preset search criteria. By default, the Views search is available with **Cases Assigned to Me** as the default view. To search using views simply select the desired view from the list.

Table 5 list the Views Filter and Sort Criteria for the View Names.

<table>
<thead>
<tr>
<th>View Name</th>
<th>View Filter and Sort Criteria</th>
</tr>
</thead>
</table>
| My New Cases               | From: Current Date -1 To: Current Date  
Owner: current user or pool to which the current user belongs  
Status: New  
Sort: By Priority Desc; Case ID Asc |
| Cases Assigned to Me       | Assigned To: current user or pool to which the current user belongs  
Status: Any status but a closed status  
Sort: By Priority Desc; Create Dt Desc; Case ID Asc |
| My Cases                   | Owner: current user or pool to which the current user belongs  
Status: Any status but a closed status  
Sort: By Priority Desc; Create Dt Desc; Case ID Asc |
| My Overdue Cases           | Due Date is not null and is <= Current Date  
Owner: current user or pool to which the current user belongs  
Sort: By Due Date Asc; Case ID Asc |
Table 5. Case Views and Filter (Continued)

<table>
<thead>
<tr>
<th>View Name</th>
<th>View Filter and Sort Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>My Near Due Cases</td>
<td>Due Date is not null and is &gt; Current Day and &lt;= (Current Day +4)</td>
</tr>
<tr>
<td></td>
<td>Owner: current user or pool to which the current user belongs</td>
</tr>
<tr>
<td></td>
<td>Sort: By Due Date Asc; Case ID Asc</td>
</tr>
<tr>
<td>Cases Escalated to Me</td>
<td>Assigned To: current user</td>
</tr>
<tr>
<td></td>
<td>Status: Escalated</td>
</tr>
<tr>
<td></td>
<td>Sort: By Priority Desc; Create Dt Desc; Case ID Asc</td>
</tr>
<tr>
<td>Management - Overdue Cases</td>
<td>Due Date is not null and is &lt;= Current Date</td>
</tr>
<tr>
<td></td>
<td>Owner: Organizational pool(s) for which the current user is supervisor or user within that pool</td>
</tr>
<tr>
<td></td>
<td>Sort: By Owner Asc; Due Date Asc; Case ID Asc</td>
</tr>
<tr>
<td>Management - Near Due Cases</td>
<td>Due Date is not null and is &gt; Current Day and &lt;= (Current Day +4)</td>
</tr>
<tr>
<td></td>
<td>Owner: Organizational pool(s) for which the current user is supervisor or user within that pool</td>
</tr>
<tr>
<td></td>
<td>Sort: By Owner Asc; Due Date Asc; Case ID Asc</td>
</tr>
<tr>
<td>Management - Aged Cases</td>
<td>Case Age &gt;= 30 days</td>
</tr>
<tr>
<td></td>
<td>Owner: Organizational pool(s) for which the current user is supervisor or user within that pool</td>
</tr>
<tr>
<td></td>
<td>Status: Any status but a closed status</td>
</tr>
<tr>
<td></td>
<td>Sort: By Owner Asc; Create Date Asc; Case ID Asc</td>
</tr>
</tbody>
</table>

Table 6. Case Search Components

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
<th>Simple Search</th>
<th>Advanced Search</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created From</td>
<td>Filters the case list by the From date the case was created.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Created To</td>
<td>Filters the case list by the To date the case was created.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Status</td>
<td>Filters the case list by the current status of case, relative to its analysis and closure in the multi-select list box.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Type</td>
<td>Filters the case list by the type of cases that matches the search criteria.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Subtype</td>
<td>Filters the case list by the sub type of cases that matches the search criteria.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Priority</td>
<td>Filters the case list by the priority of the current case that matches the search criteria.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>Filters the case list by the type code of the case Subclass 1 associated with this case subclass.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Filters the case list by the type code of the case Subclass 2 associated with this case subclass.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Due Date</td>
<td>Filters the case list by past and up to the date you enter by which an action should be taken on the case.</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>
### About the Case Workflow

**Chapter 5—Investigating Cases**

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
<th>Simple Search</th>
<th>Advanced Search</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owner</td>
<td>Filters the case list by a user or group of users who own the case. This multi-select list box contains users or groups of users within the Organization.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Assigned To</td>
<td>Filters the case list by a user or group of users to whom a case is assigned. This multi-select list box contains users or groups of users within the Organization.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Title</td>
<td>Filters the case list by the Title of the cases that matches the search criteria.</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Filters the case list by the business jurisdiction associated with the case. The multi-select list box contains only the jurisdictions with which you are authorized to view.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Domain</td>
<td>Filters the case list by the business domain associated with a case. The multi-select list box contains only the business domains with which you are authorized to view.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Organization</td>
<td>Filters the case list by the ID of the organization associated with the owner of a case. This multi-select list box contains only the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Resolution</td>
<td>Filters the case list by one or more selected closing actions that have been taken on the case. If you filter by Resolution, you cannot filter by Last Action and Action.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Last Action</td>
<td>Filters the case list by one or more selected last actions that have been taken on the case. If you filter by Last Action, you cannot filter by Resolution and Action.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Action</td>
<td>Filters the case list by one or more actions that have been taken on the case. If you filter by Action, you cannot filter by Resolution and Last Action.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Regulatory Report Type</td>
<td>Filters the case list by the type of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Regulatory Reporting Status</td>
<td>Filters the case list by the status of a Regulatory Reporting that was initiated from the case. Regulatory Reporting is an optional Oracle application.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Document Control Number</td>
<td>Filters the case list by the Document Control Number associated with the case. You can also search for multiple cases by entering a string of comma seperated document control numbers.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Linked Alerts &gt;=</td>
<td>Filters the case list by count of alerts that are linked to the case. Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box. This search option will only be available if your firm has implemented Behavior Detection Framework.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Linked Cases &gt;=</td>
<td>Filters the case list by count of cases that are linked to the case. Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Search By Case ID</td>
<td>Filters the Case List by the one or more Case IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the cases are found, the Case List page displays information about the cases with the IDs that exactly matches the values you entered. The Case ID search is mutually exclusive with all other filter criteria.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Action Date&gt;=</td>
<td>Filters the Case List upto the date you enter by which the action was taken on the case, which is greater than or equal to the date you enter.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Case Search Dates

You can specify the time frame in which you want to view cases. When you specify the start (From) and end (To) dates, Enterprise Case Management displays only those cases that are created within the time frame.

Simple Search

Simple search is a search based on limited set of search fields, which are a combination of drop-down and text fields.

Advanced Search

Advanced search offers the same search fields as provided for a simple search along with an expanded set of additional fields.

In Simple and Advanced search:

a. The case list can be dynamically populated based on different set of input criteria or by Case ID.

b. Drop-down lists, text boxes, and multi-select list boxes enable you to filter cases more precisely for analysis.

c. The fields in Simple or Advanced search supports selection of multiple values in each drop-down control. Selecting the blank list option within a multi-select list box is the same as selecting all list options within the list.

d. When filtering using multiple search fields, the results are filtered based upon matching all criteria specified.

e. Some text fields allow the use of wildcards when searching. The percent sign (%) or (_) is used to denote a wildcard. Following fields allows use of wildcard:
   i. Title
   ii. Entity Name

f. If you click the Go button without selecting any filter criteria, a message displays:
   
   No values were entered in the filter criteria. Please enter at least one filter criteria.

   You must enter data in at least one search field.

g. Some search field drop-down lists available in the Simple or Advanced search sections populate based on your security attributes access control. Only the data that matches your specified criteria and those cases, which you are authorized to view, are displayed as search result.

Case by Entity of Linked Alerts

If your firm has implemented Behavior Detection in addition to Enterprise Case Management, cases may be the result of promoting one or more behavior detection alerts to a case. Business entities are associated with these underlying alerts. You can filter the case lists by using the Entity filters on the Case Search bar to search for cases.
that are associated with these alert entities. These filters enable you to search for a case by either providing an Entity Name or Entity ID. For example, if you want to search the case list for a customer entity type, select CU from the Entity Type drop-down list and type the customer name in the Entity Name text box.

In addition, you can type up to 255 characters of text in the Entity Name field and up to 50 characters of text in the Entity ID field, respectively.

The Entity Type drop-down list displays the master list of behavior detection alert focus types without applying user access permissions. On selecting this field, you have to provide a mandatory input in the Entity ID or in the Entity Name field. Case Entity ID and Case Entity Name are mutually exclusive and are always searched with entity type. The values provided through these fields are searched against the list of all linked alerts.

Note: Case Search Entity filters only searches for alert-related business entities.

### Table 7. Case Search Entity Filters

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity Type</td>
<td>Filters the case list based on the focus type associated with the linked alerts of the case. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for cases.</td>
</tr>
<tr>
<td>Entity Name</td>
<td>Searches based on the focus of alerts linked to the case—focal entity display name.</td>
</tr>
<tr>
<td>Entity ID</td>
<td>Searches based on the focus of alerts linked to the case—focal entity display ID. The field accepts up to 50 characters of text in the Entity ID text box.</td>
</tr>
</tbody>
</table>

#### Linked Cases

The Linked Cases drop-down list and text box enables you to select the filter criteria based on the number of cases that are linked to a case. The default Linked Cases option displays $\geq$ conditions for the linked cases. However, you can change the selection to another option in the drop-down lists. Searching with $\geq$ condition return cases with a linked case count greater than or equal to the specified value.

#### Linked Alerts

If your firm has implemented Behavior Detection, you have the option to filter the case list based upon the number of alerts linked to a case. The Linked Alert drop-down list and text box enables you to select the filter criteria based on the number of alerts that are linked to a case. The default Linked Alert option displays $\geq$ conditions for the linked alerts. However, you can change the selection to another option in the drop-down lists. Searching with $\geq$ condition return cases with a linked alert count greater than or equal to the specified value.

#### Case ID Search

The Case ID Search text box enables you to search for information about the cases by typing the Case IDs in the Case ID text box. To search for multiple IDs, separate the case IDs with commas. If the cases are found, the Case List page displays information about the cases with the IDs that exactly matches the values you entered.

### Searching for Cases by Views, Simple, and Advanced Search

You can search cases by any of the following search conditions—Views, Simple, or Advance search.

#### Searching for Cases using Views

To search for cases using Views, follow these steps:

1. Navigate to the Search & List Page.
The Views search bar displays.

2. Select any value from the Views drop-down list.

**Searching for Cases using Simple or Advanced Search**

To search for cases using Simple or Advanced search, follow these steps:

1. Navigate to the Simple or Advanced Search section by clicking the Simple Search or Advanced Search button.

2. Specify any or all of the criteria in Simple/Advanced Search.
   
   *Optional for Advanced Search:* Specify one or more criteria, which is specific to Advanced Search.

   *Note:* The Case Entity Name and Title Search fields accept wildcard characters. Case ID field accepts comma-separated entries.

   *Optional:* Select an entity type in the Entity Type drop-down list, and then type a value in the Entity Name or Entity ID text box for the selected focus type.

If the search returns one or multiple cases, the Case List matrix displays a list of cases that matched the criteria.

If no cases meet the filter criteria, a message displays:

*No data met the selected filter criteria. Please enter new filter criteria.*

*Note:* Once you click the GO button, you must allow the application some time to generate and display the list. Do not click the Go button repeatedly as it can lock the OFSAAI application. You have to log off and log on again to run the application.

**Searching for a Case by Case ID**

To search for a case by Case ID, follow these steps:

1. Navigate to the Simple or Advanced Search section by clicking the Simple Search or Advanced Search button.

2. In the Case ID Search bar, type a Case ID in the Case ID text box.

   *Optional:* Enter additional Case IDs separated by commas (for example, Case ID, Case ID, Case ID).

3. Click Go.

   The Case List returns all cases with IDs that match exactly the values you entered in the Case ID text box.

*Note:* Search by Case ID will ignore all other search criteria.

**Searching for a Case Using Comments**

This search option enables users to quickly filter for cases based on keywords or standard comments that may pertain to a specific business process or type of investigation.

In the Advanced Search and List page, to search for a case using comments field, enter free-form text characters and thus, the cases gets displayed based on your search criteria.

To search for a case using comments, follow these steps:

1. Navigate to the Advanced Search bar by clicking the Advanced Search button

2. In the Comments textbox, enter the comments given while taking actions.
3. Click **Go**.

   The Case List returns all alerts associated with the comments given.

**Note:** This field supports the wildcard feature. User must enter three characters with a wildcard character to avail this option. If the user does not enter the required number of characters and enters two or less characters with/without wildcard characters the following message gets displayed: *Please enter at least three (3) characters with the wildcard character.*

### Case List Matrix

The Case List matrix displays summarized information of cases that you can further investigate or take actions on. When you search using Views, the sort order is based on the queue selected. Refer Table 5 for the sort criteria in each queue.

When you search from Simple or Advanced search, the default sort order is based upon Priority Desc (High, Medium, Low) followed by Due Date Asc followed by Create Date Desc and Alert ID Asc.

By default, the Case List matrix displays 20 cases. To view additional cases returned by search, use the pagination controls to move to additional pages of alerts. An **Excel** icon on the upper title bar enables exporting the case list with a single click. Refer to section **Exporting Case List to Excel** for more information.

### Case List Components

The Case List matrix of the Case Search & List page consists of the Case List header and a matrix containing one or more cases and associated data. Each case has a check box and an **ID** link associated with it.

The components within the Case List matrix are as follows:

- **Case List header:** Contains the number of Cases displayed in the list, the total number of cases returned by the search, and the **Excel** icon. Pagination controls within the header allow you to navigate to the additional pages of cases.

  The **Excel** icon displays next to the Case List title to allow you to export the case list data to Microsoft Excel. Refer to the section **Exporting Case List to Excel** for more information.

- **List of Cases:** Displays a list of cases based on your search criteria on the Case Search bar. Click the hyperlinked **Case ID** for any case in the list to access the Case Details page. If the selected case is locked, that is, another user has currently accessed the same case, a message displays:

  The selected case is locked by another user. Click **OK** to view the case details page in view only mode and **Cancel** to return to list page.

  If you select the **OK** button in the dialog box, the application navigates you to the Case Details page in the view mode. In the view mode, you cannot take any action on the case.

  The case list header contains a check box, which enables you to select all the check boxes for each row on the page. Selecting the check box again enables you to clear all the check boxes.

  The **Expand** image (>>) displays inside the **Case Title** field if the text in the field is more than the column width. On clicking the **Expand** image (>>), the page refreshes the data to display the complete Case Title. After you click the **Expand** image (>>), it displays the **Contract** image (<<>), which, when clicked, then refreshes the data to display only the abbreviated Case Title.

  For all other fields when if the text in the field is more than the column width, a **Tooltip** displays for approximately three seconds when you position the mouse cursor over the field to display the complete text.
**Check Boxes**: Appears at the beginning of each row. Select one or more of these boxes to take action on one or more cases. Select the check box again to clear it.

**Column Headings**: Labels that display the kind of information in the columns. All column headings in the Case List matrix are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

**Action Button**: Enables you to select and take action on one or more cases. When an action button is clicked, the application navigates you to the Actions pop up. You can perform an action on a single case or on several cases (batch action). Refer to *Acting on Cases* for more information on taking actions on cases.

**Jump to Page**: Enables you to navigate to different pages of the search results in a List page. Enter a number in the text box and press Enter in the keyboard to navigate to the respective page.

Before you take action on the selected cases, Enterprise Case Management checks each case to determine if it is locked. If another user locks all the selected cases, a message displays:

- **All selected case records are locked by another user. Please try again later.**

If some but not all of the selected cases are locked, a message displays:

- **One or more cases are locked by another user. Click OK to continue performing actions for cases, which are not locked.**

If you fail to select at least one check box and click on any action button, a message displays:

  - **You have not selected any case(s). Please select one or more cases.**

Table 8 provides a list of the columns that display in the Case List matrix.

### Table 8. Case List Components

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case ID</td>
<td>Case ID number. Also serves as a link to the Case Details page.</td>
</tr>
<tr>
<td>Title</td>
<td>Name of the case displayed in the case list matrix.</td>
</tr>
<tr>
<td>Type</td>
<td>Type of the case displayed in the case list matrix. For example, AML.</td>
</tr>
<tr>
<td>Subtype</td>
<td>Subtype of the case displayed in the case matrix. For example, AML Surveillance</td>
</tr>
<tr>
<td>Priority</td>
<td>The priority given to the case under investigation.</td>
</tr>
<tr>
<td>Status</td>
<td>Current state of the case relative to its analysis and closure. The New, Reopened, and Reassigned statuses display in bold text.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>User or group of users within the Organization to whom a case is assigned.</td>
</tr>
<tr>
<td>Owner</td>
<td>Name or ID of an individual or group of users to who own the case.</td>
</tr>
<tr>
<td>Linked Alerts</td>
<td>Number of alerts linked to the case. Will display only if your firm has implemented Behavior Detection.</td>
</tr>
<tr>
<td>Linked Cases</td>
<td>Number of cases linked to the case.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Date the case was created.</td>
</tr>
<tr>
<td>Due Date</td>
<td>Date by which an action should be taken on the case. Due Dates that are nearly due display in red font. Due Dates that are due or overdue display in bold red font. The definition of nearly due is a value that is configurable by your firm.</td>
</tr>
</tbody>
</table>
Additional Information and Case Comments

The Supplemental Case Information section consists of the case additional Information and case comment sections and displays below the Case List. The section display additional information about the case when you click on the case row in the Case List. By default, this section will be in the Contracted mode. You can click the Expand image or Contract image in the section header to expand or contract the section.

![Image of Supplemental Case Information](image)

**Figure 23. Supplemental Case Information**

Table 9 provides a list of fields that display in the Supplemental Case Information section.

**Table 9. Case Additional Information Components**

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subclass 1</td>
<td>The type code of the case Subclass 1 associated with this case subclass.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>The type code of the case Subclass 2 associated with this case subclass.</td>
</tr>
<tr>
<td>Organization</td>
<td>Organization or group that owns the cases.</td>
</tr>
<tr>
<td>Resolution</td>
<td>Resolution associated with the case.</td>
</tr>
<tr>
<td>Last Action</td>
<td>Last action taken on the case.</td>
</tr>
</tbody>
</table>
Table 9. Case Additional Information Components (Continued)

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Description</td>
<td>Description about the case.</td>
</tr>
<tr>
<td>Case Comment</td>
<td>Comments related to the selected case.</td>
</tr>
</tbody>
</table>

On selecting a single case from the case list, the Case Analyst I, Case Analyst II or Case Supervisor can provide comment to the selected case using the Comments section.

**Note:** The Additional Information section display values only if you have clicked on the case row. The section does not display if you only click the check box. The check box should be used only to perform actions from the action categories.

### Exporting Case List to Excel

For all roles, Enterprise Case Management enables you to export data to Microsoft Excel where you can then review and edit the data as necessary. The Excel function exports all records available within a particular matrix or from all matrices of the UI based on the option selected in Export Properties. If you select Grid Data then it exports records only from a particular matrix. If you select Form Data then it exports records from all matrices available in the UI. On performing this action, the list of records will be exported to the first sheet of a new Microsoft Excel workbook.

**Note:** Before taking Excel action, you need to do the setting in your Internet Explorer browser. Open your Internet Explorer. Go to **Tools > Internet options > Advanced tab**. In Security section, mark the check box for **Do not save encrypted pages to disk** option and click **Apply**. Re-launch the IE browser.

The Excel functionality works successfully on MS Excel 2003. However, you can encounter a warning message if your system has MS Excel 2007. This warning message does not prevent you from successfully exporting the selected content.

**Note:** Oracle does not currently support exporting grid data to formats other than Excel.

This Excel functionality is available as follows within the Enterprise Case Management UI:

- **Case List** page: The **Excel** icon displays in the Case List matrix along with other action categories.
- **Correlation** tab: The **Excel** icon displays in the Source Correlation matrix.
- **Financials** tab: The **Excel** icon displays in each of Potential Loss, Averted Loss, and Recovered Loss matrices.

#### To Export Case List to Excel

To export case list to Excel, follow these steps:

1. Click the **Excel** icon on the Case List or anywhere in the application where it is available.
   - A pop-up displays with export details.
2. Set Document Type as Excel and select Form Data/Grid Data as **Grid Data**.
   - If you select **Grid Data** then it exports records only from a particular matrix. If you select **Form Data** then it exports records from all matrices available in the UI.
3. Click the **Export** button.
   - When processing is complete, the data displays in an IE window with a dialog box.
4. Click **Save** from the dialog box.
Navigating Data Tabs
Chapter 5—Investigating Cases

The Save As dialog box displays.

5. Select a directory location where you want to save the file.

6. Enter a new name in the **File Name** field or the application automatically generates a name for the file to accept.

7. Click **Save**.

   The application saves your file to the specified location.

   *Optional*: Open the file in Microsoft Excel to edit as needed.

8. At any point of time in the pop-up, if you do not want to undertake the Export action, click **Cancel** on the pop-up window.

**Navigating Data Tabs**

This section explains how you can navigate among tabs in the application. Tabs display information based on the case type and subtype of the case.

This chapter covers the following topics:

- Case Data Tabs
- Business Tabs

The Case Data tabs and Business tabs display horizontally under the case context and you can view them by clicking the **Case ID** hyperlink on the Case List. The case context is always visible above the horizontal tabs. The data in each tab displays based on the access privilege provided to the user. Refer to Table 4 for access control permissions for each tab.

**Case Data Tabs**

Case Data tabs refer to those tabs that display for all cases and include the following:

- Case Details Tab
- Correlation Tab
- Relationship Tab
- Narrative Tab
- Network Analysis Tab
- Evidence Tab
- Audit Tab
- Involved Party Tab
- Financials Tab (Applicable for Fraud Cases)
- Risk Events
Case Details Tab
The Case Details tab contains information that assists you in the analysis and resolution of the case. When you select a case from the Case List, the application navigates you to the Case Details tab.

The primary way to navigate to the Case Details tab is by clicking the Case ID hyper link in the Case List matrix. When you navigate to the Details page for a case, the case becomes locked by you and other users are allowed view only access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).

Figure 24. Case Details Page
You can access the Case Details page from the Case List page by clicking the ID of the case you want to analyze. In addition, you can access the Case Details page on the Relationship tab, by clicking the Case ID in the Related Cases matrix.

Within the Case Details tab, you can access additional information related to the case by selecting one of the other tabs which display to the right of the Details tab. Refer to section Business Tabs for more information about tab pages.

Components of the Case Details Page
The Case Details page includes the following areas of information:

- **Page Context Controls (Bread crumbs)**: Displays your location in the workflow and how you got to this particular page.

- **Case Context Information**: Provides a brief description of the case and the context for determining what actions need to be taken to dispose the case. The case context displays on the top of every tab. Once you have entered the workflow for a single case (by selection of the case from the Case List), the case context shall remain visible to you as you navigate the various tabs relevant to the particular case. You can also click the (-) or (+) to contract and expand the Case Context. By default, the case context displays in the contracted mode. Case ID, Type Status, and Priority fields are visible on the header in a contracted mode with an expand sign visible on it.

Table 10 provides a list of the fields that display in the Case Context information area.

Table 10. Case Context Information

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case ID</td>
<td>Unique Identifier of the case.</td>
</tr>
<tr>
<td>Title</td>
<td>Name of the case that case list matrix displays.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Date the case was created.</td>
</tr>
</tbody>
</table>
Navigating Data Tabs
Chapter 5—Investigating Cases

Table 10. Case Context Information (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority</td>
<td>Priority assigned to the case.</td>
</tr>
<tr>
<td>Status</td>
<td>Current state of the case relative to its analysis and closure. The New and Reopened statuses display in bold text.</td>
</tr>
<tr>
<td>Confidential Flag</td>
<td>Confidentiality assigned to the case.</td>
</tr>
<tr>
<td>Type</td>
<td>Type of the case that case list matrix displays. For example, AML.</td>
</tr>
<tr>
<td>Subtype</td>
<td>Subtype of the case that the case list matrix displays. For example, AML Surveillance.</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>The type code of the case subclass 1 associated with this case subclass.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>The type code of the case subclass 2 associated with this case subclass.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Geographical Jurisdiction associated with the case.</td>
</tr>
<tr>
<td>Domain</td>
<td>Business domains associated with the case.</td>
</tr>
<tr>
<td>Owner</td>
<td>Name of an individual user or the user group who owns the case.</td>
</tr>
<tr>
<td>Organization</td>
<td>Organization that owns the cases.</td>
</tr>
<tr>
<td>Linked Alerts</td>
<td>Count of alerts linked to the case.</td>
</tr>
<tr>
<td>Linked Cases</td>
<td>Count of cases linked to the case.</td>
</tr>
<tr>
<td>Document Control Number</td>
<td>Displays the Document Control Number associated with the case.</td>
</tr>
<tr>
<td>Case Summary</td>
<td>Summary of the investigations and actions performed on the case as provided by the Case Analyst I, Case Analyst II or Case Supervisor.</td>
</tr>
</tbody>
</table>

- **Action buttons**: You can perform actions using the Action buttons that is available above the Case context section. These buttons are visible as per your access permissions.

- **Case Details** tab: The Case Details tab have an **Edit** icon to edit case details, provided you have the access privilege to edit the case details.

Table 11. Case Details Information

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created By</td>
<td>The user who created the case.</td>
</tr>
<tr>
<td>Last Updated By</td>
<td>The user who Last updated the case details.</td>
</tr>
<tr>
<td>Last Updated Date</td>
<td>The last updated date for case details.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>The user or group to whom the case is assigned to.</td>
</tr>
<tr>
<td>Assigned By</td>
<td>The user or group who assigned the case.</td>
</tr>
<tr>
<td>Assigned Date</td>
<td>The date when the case was assigned.</td>
</tr>
<tr>
<td>Due Date</td>
<td>Date which an action should be taken on the case.</td>
</tr>
<tr>
<td>Last Action</td>
<td>Last action performed on the case.</td>
</tr>
<tr>
<td>Reporting Cost Center</td>
<td>The cost center to which the total net loss amount for this investigation should be associated.</td>
</tr>
<tr>
<td>Regulatory Report Type</td>
<td>Regulatory Reporting types that are available to the user (for example, (SARDI). Regulatory Reporting is an optional Enterprise Case Management application.</td>
</tr>
<tr>
<td>Regulatory Report Status</td>
<td>The current reporting status of a case that has been recommended for Regulatory Reporting, an optional Enterprise Case Management application.</td>
</tr>
</tbody>
</table>
Navigating Data Tabs
Chapter 5—Investigating Cases

The edit option provided in the Case Details section enables you to edit the contents of case context and case details. To edit a case in the Case Details section, follow these steps:

1. Click the **Edit** button in the Case Details tab.

   A pop-up opens with **Save**, **Reset**, and **Cancel** buttons. The pop-up displays all fields of Case Context and Case Details sections (Table 10 and Table 11). Among them the following fields are editable:
   
   a. Title
   b. Priority
   c. Confidential Flag
   d. Type
   e. Subtype
   f. Subclass 1
   g. Subclass 2
   h. Status
   i. Case Summary
   j. Case Description

2. Modify the desired fields. Make sure before saving that all required fields are populated.

3. Click **Reset** if you want to reset the changes back to the previous values.

4. Click **Save** to save the changes.

   The pop-up is closed and the Case Context and Case Details section is refreshed to display the updated contents.

   At any point of time if you want to cancel the edit operation before saving, click **Cancel**. The system aborts the action navigates you to the Case Context and Case Details section.

   **Note:** You can change the Status field without changing the case type.

### Correlation Tab

If your firm has implemented Behavior Detection Framework then you may see a Correlation tab. The Correlation tab and its contents are only applicable if your firm is working with Behavior Detection Framework alerts and has

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net Loss Amount</td>
<td>Total loss remaining after Averted Loss and Recovery Amounts have been subtracted from the Potential Loss. This information is applicable to fraud type cases in particular.</td>
</tr>
<tr>
<td>Resolution Date</td>
<td>Date when the closing action was taken.</td>
</tr>
<tr>
<td>Resolution</td>
<td>Closing actions that have been taken on a case.</td>
</tr>
<tr>
<td>Resolution Comments</td>
<td>Comments provided by the user when the closing action has been taken.</td>
</tr>
<tr>
<td>Case Description</td>
<td>Description of the case that gives an high level insight on the subject matter of the case.</td>
</tr>
</tbody>
</table>
selected to utilize the alert correlation functionality. A Correlation is defined as a group of alerts, which are associated to one another based upon matching a set of criteria as defined by a correlation rule.

Correlations can be promoted automatically to a case. When that happens, the correlation is referred to as the Source Correlation of the case and alerts, which are members of that correlation, become the alerts linked to the case. The Correlations tab provides information regarding the source correlation and the business associations of the alerts linked to the current case. You can view the Source Correlation that resulted in the automatic creation of the case, if applicable. In addition, the Correlation tab provides a complete listing of the business entities correlated with the alerts linked to the case, regardless of whether or not those entities become part of a correlation.

![Correlation Tab](image)

**Figure 25. Correlation Tab**

**Components of the Correlation Tab**

The Correlation tab contains the following:

- **Source Correlation**
- **Linked Alerts**
- **Business Data Correlation**

**Source Correlation**

The Source Correlation area displays the correlation that is the source of this case creation. It displays all the alerts that were correlated and promoted to this case.

The Source Correlation section displays only when the case was created due to promotion of alerts. If the case is manually created or by the user initiated Behavior Detection Framework action of Promote to Case, the Source Correlation matrix is collapsed and do not possess any correlation information. The Source Correlation has an Excel icon, which on click, exports the source correlation to MS Excel.

By default, the section includes upto ten of the correlation members. If more than 10 alert-to-alert associations are part of the source correlation, you can view others by using the pagination option provided on the Source Correlation matrix.

The source correlation displays the correlations in chronologically ascending order by correlation date and then by Review ID, subject to access controls.

**Note:** If your role permits access to the alert then the section displays Alert ID fields as hyperlinks and upon clicking the same, navigates you to the Alert Details page.

The IDs in Associated Through matrix do not display as hyperlink. For a case promoted from a correlation, if all alerts that were a member of that correlation are purged, the Source Correlation shows an empty grid with header information to let the user know the case that came from a promoted correlation even though alerts are purged. The source correlation displays even if all the correlated alerts are unlinked from the case and are not currently part of
the case. Refer to the Alert Management User Guide, for more information on the content of the source correlation
matrix.
Source correlation provides information about the alerts that are correlated based on the correlation rule that is set
by the client.
Source Correlation comprises of the following grids:

- Source Alert - This grid displays the following fields:
  - Alert ID
  - Scenario
  - Owner
  - Status
- Target Alert - This grid displays the following fields:
  - Alert ID
  - Scenario
  - Owner
  - Status
- Correlation Details - This grid displays the following fields:
  - Status
  - Associated Through - The relationship through which the source and target alerts are correlated.
  - Correlation Date - The date on which the alerts are correlated.

**Note:** Based on the parameters configured in correlation rule, the correlation engine identifies the source to
target alert mapping.

**Linked Alerts**
This section displays all linked alerts currently associated with the case. That is, alerts, which are promoted to the
case through the Promote to Case action, promotion of a correlation, and alerts manually linked to the case after its
creation.

**Note:** If your role permits access to the alert then the section displays Alert ID fields as hyperlinks and upon
clicking the same, displays the Alert Details popup.

If there are alerts, which are unlinked, then those alerts do not display in the section. The Alert IDs in the linked
alerts grid displays as hyperlinks only if all the security attributes of the alerts matches with the user's access control
for alerts. On clicking the Alert ID hyperlink, you can navigate to respective Alerts Details tab.

On clicking anywhere in the record from the Linked Alert matrix, the Business Data Correlation section displays,
which corresponds to the selected alert. If there are no linked alerts available for the case, a message displays: No
Data Found.

Linked Alerts displays the following fields:

- Alert ID
- Scenario
- Owner
Status

Business Data Correlation

You can view the Business Data Correlation, by clicking on the row in the Linked Alerts matrix. The Business Data Correlation section displays the business data correlated to the selected alert.

The Business Data Correlation matrix displays a distinct list of business entities to which the currently selected linked alert is associated. In addition, it displays the total number of distinct alerts to which each displayed business entity is correlated. These correlated business entities display in alphanumeric ascending order based upon the Entity field.

By default, the section includes up to ten of the most recent correlated business entities. If the selected linked alerts does not have an associated correlated business entities, then a message displays:

There are no business entities correlated for the selected alert.

The system will not filter the count based upon the Access Control rules.

Table 12 describes the fields to be displayed in Business Data Correlation.

Table 12. Fields for Business Data Correlation

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity</td>
<td>Displays the concatenated value of the business entity type code and the business entity identifier.</td>
</tr>
<tr>
<td>Relationship</td>
<td>Displays a translated data path name for each business entity to alert correlation.</td>
</tr>
<tr>
<td>Total # of Correlated Alerts</td>
<td>Displays the total count, including the current alert, of distinct alerts to which the business entity is correlated.</td>
</tr>
</tbody>
</table>

Network Visualization for Correlation Tab

The Network Visualization link page for Correlation is accessible for alerts that have been correlated with different business entities using a correlation rule. You can access this page via the Correlation tab on the Case Details page.

The Network Visualization page provides a graphical representation of the relationships between entities and other alerts. The graph starts from the alerting entity (alert's focal entity which is also called as node). The graphical representation is supplemented with another alert/entity(node) and relationship identified between the nodes (alerts and entities). The Network Visualization graph is displayed for the following grids:

- Source correlation Network
- Correlated Business Data Network
Components of Network Visualization Link Page

Following are the components of the Network Visualization link page:

- **Network Graph**: The actual graphical representation of the network containing nodes and links.
- **Graph Toolbar**: The toolbar displayed on top of the page that allows a user to perform actions to interact with the graph.
- **Node Menu**: A right-click menu that allows a user to view additional information related to the selected node.
- **Link Menu**: A right-click menu that allows a user to view additional information related to the selected link.
Navigating Data Tabs
Chapter 5—Investigating Cases

The network visualization link page displays only the Network Graph and Graph Toolbar. You will have to interact with nodes and link to get to the Node Menu and Link Menu.

Graph Toolbar
The following functions can be performed via Graph Toolbar:

- **Node Label:** Selecting this check box displays a label for each node on the graph. De-selecting this checkbox will remove all the node labels from the graph. The Node Label displays in the following format - NodeType:NodeID. Node Type represents the type of entity it is. Node ID represents the identifier of the entity represented by this node.

  For the Source Correlation Network, the node label is defined as NodeID.

  For the Correlated Business Data Network, the node label is defined as a Node Type.

- **Link Label:** Selecting this check box displays the label for each link on the graph. De-selecting this checkbox will clear all link labels from the graph.

- **Node Tooltip:** Selecting this check box enables the ability to view additional information (in the form of a tooltip) about the node on mouseover. Unselecting this check box will disable the display of node tooltip information on mouseover. A node tooltip displays the following information:

  For Source Correlation Network Graph
  - Node Type: The type of entity.
  - Correlated through: The format should be Entity type: Entity Id, The Identifier of the entity to which this node is associated

  For Correlated Business Data Network Graph
  - Node Type: The type of entity.
  - Correlated through: The format should be Entity type: Entity Id, the Identifier of the entity to which this node is associated

- **Link Tooltip:** Selecting this check box displays additional information about the link on mouseover. Un-checking the box disables the display of link information on mouseover. A link tooltip displays the following information:

  For Source Correlation Network Graph
  - Source Node: This is the node from which the graph has been drawn.
  - Target Node: This is the node (alert) to which the graph points to.
  - Link Type: The entity relationship between the nodes.

  For Correlated Business Data Network Graph
  - Source Node: This is the node from which the graph has been drawn.
  - Target Node: This is the node (alert) to which the graph points to.
  - Link Type: The entity relationship between the nodes.
  - Number Of Correlated: Number of alerts that are correlated through this relationship
Zoom In: Click this option to zoom into the network graph. You can also use your mouse wheel to zoom out.

Zoom Out: Click this option to zoom out of the network graph. You can also use your mouse wheel to zoom in.

Highlight: Click this option to open the Highlight pop-up. This pop-up window allows a user to locate nodes and links on the network graph.

This pop-up window displays two radio buttons - Node and Link. The radio buttons allow the user to switch the context of the search between locating Nodes and Links. To locate a Node, select the Node radio button. To locate a Link, select the Link radio button.

When the Node radio button is selected, the user can search for a node by entering a Node Business ID in the "Value Contains" textbox. To find the matching nodes, the system should compare this ID to all the nodes on the graph.

Clear Highlight: Click this option to clear all visual distinctions made on the graph as a result of using the Highlight feature.

Legend: Click this option to open the Legend pop-up window. This pop-up window provides a dynamic indicator of the nodes and links that are visible in the graph.

Source Correlation Network Graph

Source Correlation Network graph shows the relation between cases.

Business Data Correlation Network Graph

Business Data Correlation Network graph shows the relation between business entities and focal entities.

This graph displays the following node types:

- Account
- Address
- Customer
- External Entity
- Household
- Employee
- Correspondent Bank

Node Menu

It allows you to view additional information related to the selected node. This menu displays when a user right-clicks on a node.

The Node menu displays the following options:

- Collapse: This hides all outgoing links (and nodes to which these outgoing links are connecting) from the node being collapsed. The node icon will change when a node is collapsed.

- View Node Details: This opens a pop-up window that shows the current information associated with the selected node. This is the same information that would be displayed on the business entity tab for this entity. The user can interact with the main application window (that displays the graph) while this pop-up window is open. At any given time, only one pop-up window can be open for a particular node. If the user selects to
view node details of a node for which a Node Details pop-up window is already open, an error message displays.

**Link Menu**
The Link menu displays when you right-click on a Link. It allows you to view additional information related to the selected link. The menu displays the Link Details option, which opens a pop-up window that displays the details of the nodes at either end of the link and the link(s) involved in the relationship. This is the same information that is displayed on the business entity tab for this entity.
Relationship Tab

The Relationship tab provides information regarding other cases that are related to the current case being investigated. The page enables you to view the list of cases related to the current case through relationships to entities involved in other cases or by virtue of another case being linked to the current case. If your role permits, you can link, unlink, or add more links in the related cases section.

![Relational tab image]

**Figure 28. Relationship Tab**

If your firm implements Behavior Detection Framework, the Relationship tab display alerts related to the current case. Alerts can be related to the current case either through a common business entity association or by virtue of the alert being linked to the current case. If your role permits, you can link, unlink, or add more links in the related alerts section.

**Components of Relationship Tab**

The Relationships tab contains the following components:

- **Related Alerts**: Applicable only if your firm has implemented Behavior Detection Framework
- **Related Cases**

**Related Alerts**

The following section on Related Alerts is *only* applicable if your firm has implemented Behavior Detection. Refer to *Alert Management User Guide*, for more information on alerts and alert management. The Related Alerts matrix displays all those alerts that are related through common business entities and alerts which are manually linked to the current case by the user. If the number of alerts exceeds the default for the display, you can use the pagination for the display option in the Related Alerts matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all alerts which are focused on the same business entity ID as that of Case A are considered as related alerts. In other words, if an alert and a case are focused on the same customer ID or account ID or any other business entity ID applicable in Enterprise Case Management module, then they are considered as related.

![Related alert image]

**Figure 29. Related Alerts**

The Related Alerts section User Linked column visually distinguishes alerts that have been manually linked to the current case from those that are related to the current case through common business entities. The User Linked column displays *Yes* when the linking of the alert to the case was performed by a user taking a link action, *No* when...
the action to link the alert is performed by the system (as part of alert promotion and correlation promotion to a
case). The Related Alerts Linked column has a value *Yes* if the alert is related by virtue of being linked, *No* when the
alert is considered related but not linked.

Related alerts displays in the grid only if you have access permission to the security attributes of the alert. If you have
access to view the related alerts, the section displays an Alert ID as a hyperlink. Upon clicking the Alert ID
hyperlink, the page navigates you to Alert Details page.

The Related Alerts section has the following buttons:

- **Unlink**: An option to unlink related alert(s), which are already linked to the current case
- **Link**: An option to link related alert(s), which are not yet linked to the current case
- **Add More Links**: An option to search for any alert record by alert ID for the purpose of adding additional
  alert links to the current case.

Related Alerts section displays the following columns:

- Alert ID
- Focus
- Scenario
- Highlights
- Created
- Status
- Due
- Owner
- Last Action
- Last Comment
- Domains
- User Linked

**Note:** Linking and Unlinking activities of alerts and cases depends on the user roles. The action buttons (**Unlink**, **Link**, and **Add More Links**) are only visible for cases, which are in non-closed status.

**Related Cases**

Displays cases that are related to the current case through common business entities and cases, which have been
manually linked to the current case by a user. If the number of cases exceeds the default for display, you can use the
pagination option in the Related Cases matrix to view additional records. The following example explains the logic
used to identify common business entities.

For Case A, all cases that have same business entity ID(s) as that of Case A are considered as related cases. For
example, if two cases posses the same customer IDs or account IDs or other business entity IDs applicable in
Enterprise Case Management then they are considered as related. Only those cases to which the user has access
permission based on security attributes displays in the grid.
Figure 30. Related Cases Section

The Related Cases section visually distinguishes cases that have been manually linked to the current case from those that are related to the current case through common business entities. The **User Linked** column in the Related Cases section displays **Yes** when you manually link a case to the current case by performing the **Link** action and displays **No** when the system links the case (as part of alert promotion and correlation promotion to a case).

The **Linked** column in Related Cases section displays **Yes** if the case is related as a result of being linked and displays **No** when the case is considered related to the current case by a business association but has not been linked to the current case.

If you have access to view the linked case, the section displays **Case ID** as a hyperlink. Upon clicking the **Case ID** hyperlink, the page navigates you to the Case Details tab.

Related cases displays the following columns:

- Case ID
- Title
- Type
- Subtype
- Subclass 1
- Subclass 2
- Created
- Owner
- Priority
- Organization
- Status
- Last Action
- Last Comment
- Linked Alerts
- User Linked

The related cases matrix has the following buttons:

- **Unlink**: An option to unlink related case(s), which are already linked to the current case
- **Link**: An option to Link related cases, which are not yet linked to the current case
- **Add More Links**: An option to search for any case record by Case ID for the purpose of adding additional case links to the current case

Managing Links

You can manage the alert links associated to a case by performing the following actions in the Related Alerts section:
Navigating Data Tabs
Chapter 5—Investigating Cases

- Select one or more related (but not yet linked) alerts and click the **Link** button to link the alerts to the current case.
- Select one or more linked alerts and click the **Unlink** button to unlink the alerts from the current case
  
  **Note:** If the alert was only considered related based upon the link action, the Related Alerts section will refresh and the unlinked alert will no longer appear.
- Link additional alerts to the case by using the **Add More Links** button to search for alerts by ID and link to the case.

You can manage the case links associated to a case by performing the following actions in the Related Cases section:

- Select one or more related (but not yet linked) cases and click the **Link** button to link the cases to the current case.
- Select one or more linked cases and click the **Unlink** button to unlink the cases from the current case
  
  **Note:** If the case was only considered related based upon the link action, the Related Cases section will refresh and the unlinked case will no longer appear.
- Link additional cases to the case by using the **Add More Links** button to search for case by ID and link to the case.

The Link and Unlink actions require you to select the alert or case to be linked or unlinked with the help of a check box and click the **Link/Unlink** button, respectively.

When you click the **Link/Unlink** button, the Add Comment pop up displays, which provides a free-text comment area where you can add comments while adding or deleting links to the alerts or cases. Comments are mandatory for performing any of the above actions. If you click on save, without entering the comments, a dialog message box displays telling you to enter comments.

When using the **Add More Links** button, Enterprise Case Management validates all searched for and returned Alert and Case IDs (for user rights and access privileges) before linking the alerts/cases and confirms the successful linkage actions.

**Note:** For link or unlink actions, involving the linking or unlinking of alerts from a case, the case must be in a non-closed status.

When you link an alert to a case using the **Link** or **Add More Links** button in the Related Cases matrix, you can add comments for the Link action and also select Transfer Alert Information to be passed on to the case. Refer to Alert Management User Guide, for more details about the modes for transfer of alert information.

You can select one or more types of alert information to be transferred, provide comments, and click on save. Transfer Alert Information will be displayed only when you select the case type and sub type. All the selected alerts are linked to the case and data of all the selected data types associated with the alert is transferred to the case. You can view the alert information in the respective Enterprise Case Management tabs.

When the transfer alert information is in synchronous mode, the system will process data transfer while you wait and is unavailable for additional actions until the transfer is completed. The system displays messages for Successful and Unsuccessful data transfer. When data transfer is successful, the message displays: Selected alerts and cases were linked and requested transfer of alert information is also completed.

When data transfer is unsuccessful, the message displays: Selected alerts and cases were linked. But an error occurred during the requested transfer of alert information to the case. The case may reflect incomplete business information. Once data transfer is complete, whether successful or unsuccessful, you will be able to continue working.
When the transfer alert information is in asynchronous mode, the system will process the data transfer in the background, allowing you to continue to work. Notification of failure of the data transfer is made through the Notifications section on your Home page.

- If you do not make a selection of at least one data type of information to be transferred, the system will default to transferring all possible alert data during the link (that is, not making a selection is equivalent to selecting all).
- The data transferred to the case is the data available as of the date of link action.
- The alert information that is already associated with the case as a result of previous promotion or link actions will not be transferred again during the current link action.

**Note:** During Unlink action when one or more alerts are unlinked from the case, the alert information which is transferred during link action shall not be removed by the system. If required you can manually remove the alert information from the appropriate tabs through the Remove action.

### Linking, Merging, and Closing Case as Duplicate

The Enterprise Case Management provides user the ability to link case to one another, merge case to one another, and close cases as duplicate for the related cases. You can perform any of the case link actions by selecting multiple cases and choosing the appropriate Case Link action, that is, Link, Link and Merge, and Close as Duplicate.

If the current case is closed, the Link-Merge action is not allowed. Similarly, if all the selected cases are closed, Close as Duplicate action is not allowed.

If you select Link action, the selected cases are linked to the current case and the pop-up window gets closed. No information will be transferred to the selected case. The system records the action as Link Case for the current case and the selected related cases in the audit history with the case ID appended in the comments section in the Audit tab. This action does not affect the status of the cases.

**Note:** Transfer Case Information parameter displays blank values as no information is transferred to the selected case.

If you select Merge action, the selected related cases are merged to the current case, and the information is transferred. The system records the action as Merged Case Linked for the current case and Merged Case for the merged cases. The status of the merged case changes to Closed-Merged, if the present status is not Closed, else the status remains as Closed. This action does not change in the status of the current case.

If you select Close-Duplicate action, the system enables Transfer Case information drop-down list having only two values: Financial and Narrative. You can select one or both from the drop-down list for which the information is to be transferred. The selected cases are closed as duplicates of the current case. Once you confirms the action, the system records the action as Duplicate Case Linked for the current case and Closed Duplicate for the selected cases in the Audit history. This action does not have any change in the status of the current case, but changes the status of the selected cases to Closed-Duplicate.

### Narrative Tab

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of a case that has helped you decide how to dispose the case. The narrative exists as a single data element on a case, which allows you to add and to maintain that narrative.
Components of the Narrative Tab

The Narrative area includes the following components:

- **Narrative** entry box: Provides a large free text entry area in which you can optionally enter, save, and modify textual analyses of a particular case. By default, the entry box is blank if previous narrative has not been added or if no alert narratives were imported to the case during promotion of alerts to the case (applicable only if your firm has implemented Behavior Detection). This area accepts up to 34 lines of text before requiring vertical scrolling.

- **Last Updated** field: Displays the latest date and time when the Narrative entry box was modified.

- **By** field: Displays the identity of the user who entered or modified the text in the Narrative entry box.

- **Edit** button: Allows you to edit the text in the Narrative entry box. If the entry box is blank, click **Edit** to enter the text in the entry box.

- **Save** button: When clicked, any modifications in the entry box are saved.

- **Reset** button: When clicked, reverts any modification in text to the previously saved version.

Working with Narrative Tab

You can perform the following tasks when working with the Narrative tab:

- Creating a Narrative
- Editing a Narrative
Creating a Narrative

To create a narrative, follow these steps:

1. Select case for which you want to create a narrative from the Case List
   The Case Details tab displays for that case.
2. Select the Narrative tab that appears below the case context.
   The Narrative tab displays blank for the selected case.
3. Click Edit.
4. Enter your analysis in the text box.
5. Click Save.
   The system saves your changes, adds the current date to the Last Updated field and adds your name to the By field in the Narrative matrix header.

Editing a Narrative

To edit the narrative, follow these steps:

1. From the Case List, select the case for which you want to change or add to the existing narrative.
   The Case Details tab displays for that case.
2. Select the Narrative tab that appears below the case context.
3. Click Edit.
4. Make your changes or additions to the existing text.
5. Click Save.
   The system saves your changes, adds the current date to the Last Updated field, and adds your name to the By field.

Deleting a Narrative

You can accomplish deleting a narrative by simply deleting the text from the narrative matrix using your standard keyboard options of backspace or select text and delete. You can only delete a narrative when you have selected to edit the narrative.

Network Analysis Tab

Network Analysis Tab is also known as Ad-hoc network building system. Transactions can generate a network on its own, using the search criteria provided by the user via Filters. This tab provides the flexibility to draw a graph with one or more business entities as the starting point for the network creation. Using Filters feature, the ad-hoc networking, network can be generated from all entities that are part of the case.

Note: In the Network Analysis tab, all entity searches are run on the business data of the application, and not the case data. Hence, if it is a standalone case management system, then the network analysis tab cannot be used.
Accessing the Network Analysis Tab

To access the Network Analysis tab, follow these steps:

1. Select Cases-AML Fraud from the Investigation tab. The Cases Search and List page displays.

   ![Case List page](image)

   **Figure 32. Case List page**

2. Click the Case ID link. The Case Details list page displays.

   ![Case Details](image)

   **Figure 33. Network Analysis Tab**
Components of Network Analysis Tab

The Network Analysis Tab contains the following components:

- Network Graph
- Graph Toolbar
- Node Menu
- Link Menu
- Filters

Network Graph

Network graph is the actual graphical representation of the network containing nodes and links. This graph is displayed only when a user initiates a search via the Filters.

Graph Toolbar

The graph toolbar is displayed on top of the page that allows a user to perform actions to interact with the graph. The following functions can be performed via Graph Toolbar:

- **Node Label:** Selecting this check box displays a label for each node on the graph. De-selecting this checkbox will remove all the node labels from the graph. The Node Label displays in the following format - NodeType:NodeID. Node Type represents the type of entity it is. Node ID represents the identifier of the entity represented by this node.

- **Link Label:** Selecting this check box displays the label for each link on the graph. De-selecting this checkbox will clear all link labels from the graph. The middle of each link is labeled with the sum of the amount of all transactional links between the nodes. That is, if there is a transaction between the nodes, such as a transfer of funds from one account to another, the total amount of all transactions, across all transactions types, between these nodes displays. When the links between nodes are non-transactional links, the Link Label does not display.

- **Node Tooltip:** Selecting this check box enables the ability to view additional information (in the form of a tooltip) about the node on mouseover. Unselecting this check box will disable the display of node tooltip information on mouseover. A node tooltip displays the following information:
  - **Node Type:** The type of entity.
  - **Node ID:** The identifier of the entity represented by this node.
  - **Total Amount:** Sum of the transaction amounts of all links involving this node within the network.
  - **Incoming Amount:** Sum of the transaction amounts of all links going into this node within the network.
  - **Incoming Count:** Count of all transactions where this node is the TO NODE.
  - **Outgoing Amount:** Sum of the transaction amounts of all links going out of this node within the network.
  - **Outgoing Count:** Count of all transactions where this node is the FROM NODE.
  - **Total Count:** Count of all transactions where this node is the TO NODE or FROM NODE.
- **Link Tooltip**: Selecting this check box displays additional information about the link on mouseover. Un-checking the box disables the display of link information on mouseover. A link tooltip displays the following information:
  - <From Node>
  - Known Relationships

- **Zoom In**: Click this option to zoom into the network graph. You can also use your mouse wheel to zoom out.

- **Zoom Out**: Click this option to zoom out of the network graph. You can also use your mouse wheel to zoom in.

- **Highlight**: Click this option to open the Highlight pop-up. This pop-up window allows a user to locate nodes and links on the network graph.
  
  This pop-up window displays two buttons - Node and Link. The radio buttons allow the user to switch the context of the search between locating Nodes and Links. To locate a Node, select the **Node** radio button. To locate a Link, select the **Link** radio button.

  When the user is searching using this textbox, the system uses the following mapping to find matching node(s) and link(s) on the graph. For example, a user is searching in context of a node and enters the value "AC123" in this textbox. To find the matching nodes, the system should compare "AC123" to all the nodes on the graph (all node records retrieved as a result of the basic filter search should be in the cache). And within each record, use this mapping (For example, Account Internal ID on an Account record) to find the applicable nodes.

- **Clear Highlight**: Click this option to clear all visual distinctions made on the graph as a result of using the Highlight feature.

- **Legend**: Click this option to open the Legend pop-up window. This pop-up window provides a dynamic indicator of the nodes and links that are visible in the graph.

  The following Node Types are displayed on the Network Analysis Tab page:
  - Account
  - Customer
  - External Entity
  - Household
  - Employee
  - Correspondent Bank

  The following link types are displayed on the Network Analysis Tab page:
  - Known Relationship
  - Wire
  - Journal
  - Monetary Instrument
  - Insurance
  - Complex Activity
Node Menu

The Node menu allows you to view additional information related to the selected node. This menu displays when a user right clicks on a node.

The Node menu displays the following options:

- **Collapse**: This hides all outgoing links (nodes to which these outgoing links are connecting) from the node being collapsed. The node icon will change when a node is collapsed.

- **View Node Details**: This opens a pop-up window that displays the current information associated with the selected node. The user can interact with the main application window that displays the graph while this pop-up window is open. At any given time, only one pop-up window can be open for a particular node. If the user selects to view node details of a node for which a Node Details pop-up window is already open, an error message displays.

- **View Node Alert and Case History**: This opens a pop-up window that displays alerts and cases with which this entity is associated. You can interact with the main application window that displays the graph while this pop-up window is open. At any given time, only one pop-up window can be open for a particular node. If you select to view the alert and case history of a node for which a pop-up window is already open, an error message displays.

This windows display the following tabs:

- **Alert List**: Displays a list of all alerts where the currently selected node is also the focal entity of that alert. An applicable alert displays on this list even if you do not have access to view that alert.

- **Case List**: Displays a list of all cases where the currently selected node is also a business entity associated with the case.

  **Note**: If a case is promoted from an alert, it will have a focal entity. Manually created cases do not have a focal entity and will not appear in the Case List, regardless of the type of case.

- **FATCA Case List**: Displays a list of all FATCA cases where the currently selected node is also a business entity associated with the case.

- **KYC Case List**: Displays a list of all KYC cases where the currently selected node is also a business entity associated with the case.

The Case-related tabs are displayed only if Enterprise Case Management is installed and you have access to case management functions that allow them to view cases of that type. This does not allow a user to navigate to any alert or case listed on the page.

Link Menu

The Link menu displays when you right-click on a Link. It allows you to view additional information related to the selected link. The menu displays the Link Details option, which opens a pop-up window that displays the details of the nodes at either end of the link and the link(s) involved in the relationship. This pop-up window displays the following sections:

- **Participating Nodes**: Displays nodes on both ends of the link.

- **Links Grid**: Displays all links between the participating nodes. The Links grid displays the following information:

  - **Source ID**: This displays the NODE ID for transactional records. For non-transactional records, this displays any one of the Node ID's.
- **Link Type:** Type of relationship existing between the two nodes. This might reflect a relationship based on transactional activity such as a Wire, or it might reflect a link based on a known relationship such as a Common Address.
  
  For Known Relationships, this displays the exact known relationship(s).

- **Link Business ID:** Identifier for the individual link.

- **Link Amount:** Value of the activity involved in a transaction. For example, when a transaction forms a link between two accounts, the link amount is the transaction amount.

- **Link Details:** The following sections are displayed:
  - Wire
  - Journal
  - Monetary Instrument
  - Insurance

**Filters**

You can access Filters from the LHS menu of the *Network Analysis* Tab. Filters have been classified as Basic Filters.

Basic Filters is composed of the following components:

- **Entity Name**
- **Include Link Types**
- **Transaction Date >=**
- **Transaction Date <=**
- **Maximum Degrees of Separation**
- **Transaction Level Filters**

**Entity Name**

Use the Entity Name List to build the network around entities associated with the Alert. These entities are considered the starting point of the network.

The following entity types are displayed based on which entities are associated with the Alert:

- Accounts
- Customers
- Households
- External Entity
- Employee
- Correspondent Banks

If the Case has one or more linked alerts, then use the entity ID(s) from each populated business tab (That is, Account, Customer, Correspondent Bank, Employee, External Entity and Household) where not already represented by an alert focal ID as a possible starting entity.

If the Case does not have one or more linked alerts:
Use the entity ID(s) from each populated business tab (That is, Account, Customer, Correspondent Bank, Employee, External Entity and Household) as a starting entity.

If no records are present on any business tab, then the following is displayed in the Entity Name grid:

*No entities available for network generation.*

The entities are highlighted in the Network Graph.

**Include Link Types**

The Link Types List contains all the valid links, or relationship types, that are identified between two nodes (entities) in the Network Graph. The links are created based on Shared Activity and Known Relationship between two nodes. The following link types are displayed:

**Table 13. Link Types**

<table>
<thead>
<tr>
<th>Link Type</th>
<th>Type of Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account to Customer</td>
<td>Known Relationship</td>
<td>This relationship is used to create a link between account (node) and a customer (node) identified from the starting node.</td>
</tr>
<tr>
<td>Account to Household</td>
<td>Known Relationship</td>
<td>This relationship is used to create a link between account (node) and a customer (node) identified from the starting node.</td>
</tr>
<tr>
<td>Account to Correspondent Banks</td>
<td>Known Relationship</td>
<td>This relationship is used to create a link between account (node) and a customer (node) identified from the starting node.</td>
</tr>
<tr>
<td>Account to Employee</td>
<td>Known Relationship</td>
<td>This relationship is used to create a link between account (node) and a customer (node) identified from the starting node.</td>
</tr>
<tr>
<td>Customer to Customer</td>
<td>Known Relationship</td>
<td>This relationship is used to create a link between customer(node) and a customer(node) identified from the starting node.</td>
</tr>
<tr>
<td>Wire Transaction</td>
<td>Shared Activity</td>
<td>This is used to create a link between two accounts (nodes) or link between account and external entity or link between two external entities which share a common wire transaction between them.</td>
</tr>
<tr>
<td>Monetary Instruments</td>
<td>Shared Activity</td>
<td>This is used to create a link between accounts (nodes) which share a common MI transaction between them.</td>
</tr>
<tr>
<td>Transaction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Journal Transaction</td>
<td>Shared Activity</td>
<td>This is used to create a link between accounts (nodes) which share a common Journal Transactions.</td>
</tr>
<tr>
<td>Insurance Transaction</td>
<td>Shared Activity</td>
<td>This is used to create a link between two accounts (nodes) or between account and an external entity which share a common Insurance Transactions.</td>
</tr>
</tbody>
</table>

Selecting a Link Type displays links of the selected type in the graph. For example, the Account to Household link type will ever discover accounts or household nodes.

Some of the Link Type and Starting Entity combinations may result in no results being returned. For example, selecting only a Household entity in the Entity Name list and selecting Wire Transaction in the Include Link Types option.
list will return no nodes other than the starting Household entity. This is because transactions do not focus upon household entities. The following table provides the Valid Link Types for each node.

Table 14. Valid Entity-Link Types

<table>
<thead>
<tr>
<th>Starting Entity</th>
<th>Valid Link Types</th>
</tr>
</thead>
<tbody>
<tr>
<td>Household (HH)</td>
<td>Account to Household</td>
</tr>
<tr>
<td>Account (AC)</td>
<td>• Account to Correspondent Bank</td>
</tr>
<tr>
<td></td>
<td>• Account to Customer</td>
</tr>
<tr>
<td></td>
<td>• Account to Household</td>
</tr>
<tr>
<td></td>
<td>• Account to Employee</td>
</tr>
<tr>
<td></td>
<td>• Journal Transaction</td>
</tr>
<tr>
<td></td>
<td>• MI Transaction</td>
</tr>
<tr>
<td></td>
<td>• Wire Transaction</td>
</tr>
<tr>
<td></td>
<td>• Insurance Transaction</td>
</tr>
<tr>
<td>Employee (EE)</td>
<td>Employee to Account</td>
</tr>
<tr>
<td>Customer (CU)</td>
<td>• Account to Customer</td>
</tr>
<tr>
<td></td>
<td>• Customer to Customer</td>
</tr>
<tr>
<td>Correspondent Bank (CB)</td>
<td>Account to Correspondent Bank</td>
</tr>
<tr>
<td>External Entity (EN)</td>
<td>• MI Transaction</td>
</tr>
<tr>
<td></td>
<td>• Wire Transaction</td>
</tr>
<tr>
<td></td>
<td>• Insurance Transaction</td>
</tr>
</tbody>
</table>

The system uses this information to find the most recent information determine known relationships and shared attributes.
Known Relationships

Known relationships are determined based on the criteria described in the following table:

Table 15. Known Relationship Identification

<table>
<thead>
<tr>
<th>Start Entity</th>
<th>Link Type</th>
<th>Relationship Identified</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account (AC)</td>
<td>Account to Customer</td>
<td>Account to Customer</td>
</tr>
<tr>
<td></td>
<td>Account to Household</td>
<td>Account to Account Group</td>
</tr>
<tr>
<td></td>
<td>Account to Employee</td>
<td>Account Owned by Employee</td>
</tr>
<tr>
<td></td>
<td>Account to Correspondent Bank</td>
<td>Account to Client Bank</td>
</tr>
<tr>
<td>Customer (CU)</td>
<td>Account to Customer</td>
<td>Account to Customer</td>
</tr>
<tr>
<td></td>
<td>Customer to Customer</td>
<td>Related Customer to Customer</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Customer to Related Customer</td>
</tr>
<tr>
<td>Correspondent Bank (CB)</td>
<td>Account to Correspondent Bank</td>
<td>Account to Client Bank</td>
</tr>
<tr>
<td>Employee (EE)</td>
<td>Account to Employee</td>
<td>Account Owned by Employee</td>
</tr>
<tr>
<td>Household (HH)</td>
<td>Account to Household</td>
<td>Account to Household</td>
</tr>
</tbody>
</table>

Shared Attributes

The following attributes are considered for establishing a link between the nodes:

- **Wire Transactions**: The activity link is established:
  - Between Beneficiary and Originator
  - Between Secondary Beneficiary and Originator
  - Between Secondary Originator and Beneficiary
  - Between Secondary Originator and Secondary Beneficiary
  - Between Sending Institution and Receiving Institution

  For **Account** starting nodes the link is established using Account to Account wire transactions, and Account to External Entity wire transactions.

  For **External Entity** primary nodes the link is established using External Entity to Account wire transaction, and External Entity to External Entity wire transactions.

  For **Correspondent Bank** primary nodes the link is established between Sending and Receiving Institution.

- **Journal Transactions**: The nature of relationship is established:
  - Between Account and Offset Account

    For **Account** primary nodes the link is established between Account and Offset Account (where focal account is the offset account and vice versa).

- **Monetary Instrument Transactions**: The nature of relationship is established:
  - Between Beneficiary and Remitter
  - Between Secondary Beneficiary and Remitter
  - Between Issuing Institution and Depositing Institution
For **Account** primary nodes the link is established using Account to Account MI transactions, and Account to External Entity Monetary Instrument transactions.

For **External Entity** primary nodes the link is established using External Entity to Account Monetary Instrument transactions, and External Entity to External Entity Monetary Instrument transactions.

For **Correspondent Bank** primary nodes the link is established between Issuing and Depositing Institution.

- **Insurance Transactions:** The nature of relationship is established:
  - Between Insurance Policy Identifier and the Counter Party Derived Entity Identifier
  - Between Insurance Policy Identifier and the Counter Party Identifier

- **Transaction Date>=**
  - The Transaction Date >= is used to build a network based on shared activity. Whenever this date is selected, the system checks for transaction between Transaction Date >= and Transaction Date <= for establishing the link for Wire, Journal, MI and Insurance Transaction.
  - The Transaction Date >= is defaulted to 3 months prior to the current date.
  - The Transaction Date >= cannot be greater than or equal to Transaction. An error message is displayed: *Please enter a date in Transaction Date >= date field which is less than or equal to the Transaction Date <= field.*
  - The Transaction Date >= cannot be a future date and when the user enters or select a future date. An error message is displayed: *Please do not enter a future date.*

- **Transaction Date<=**
  - The Transaction Date <= is used to build a network based on shared activity. Whenever this date is selected, the system checks for transaction between Transaction Date >= and Transaction Date <= for establishing the link for Wire, Journal, MI and Insurance Transaction.
  - The Transaction Date <= is defaulted to current date.
  - The Transaction Date <= cannot be less than Transaction Date >=. An error message is displayed: *Please enter a date in Transaction Date <= date field which is less than Transaction Date >= field.*
  - The Transaction Date <= cannot be a future date. When the user enters or select a future date, an error message is displayed: *Please do not enter a future date.*

- **Maximum Degrees of Separation:** The value you provide determines how many cycles out from starting entity a repetition of queries will go, that is, how many levels of entities need to be identified. This number must be within your institution’s limits (the default is 1-10). You cannot enter 0, decimals, or negative numbers. If you do not enter a number, the value displays the default of 3.

- **Transaction Activity Options:** Transaction Activity Options filter the network based on the transaction activity. The following Transaction Activity Options display:
  - **Transaction Amount >=** filters out transactions with amounts greater than or equal to the specified amount.
  - **Transaction Amount <=** filters out transactions with amounts less than or equal to the specified amount.
Evidence Tab

If your role permits, the Evidence tab allows you to add comments or attachments to the case under investigation. The Evidence tab displays the comments and attachments previously added to the case. The Evidence tab displays the comments added through the Evidence tab, the Case List, and all the attachments associated with the case that have been added through Evidence tab and through specific case actions.

The Comments matrix includes the creation date and time of the comment action, the user who took the action, case status at the time of the comment, and the comments added fields.

The Attachment matrix allows you to view the attachments added to the case either through the Evidence tab or added as a part of any actions taken on the case during investigation. It includes the creation date and time of the case action associated with the attachment of the file to the case, the user who took the action, case status at the time of the action or resulting from the action, any comments associated with the action, attachment name, and the Attachment icon fields.

You can add comments (both free text and standard comments) to the case. Refer to section Adding Comments to a Case for details on how to add a comment to the case.

You can also add and remove attachments during the investigation of a case. Refer to section Adding and Removing Attachments for details on how to add and remove an attachment from a case.

Refer to the section Audit Tab for more information on the behavior of Attachment icon and the Comments column.

Evidence Tab comprises of the following grids:

- Comments
- Attachments

Comments

The Comments grid displays the following columns:

- Date and Time
- By
- Status
- Comments

Attachments

The Attachments grid displays the following columns:

- Date and Time
- By
- Status
- Comments
- Attachment Name
- Attachment
Audit Tab
The Audit tab allows you to view the actions previously performed on the current case under investigation. It includes the creation date and time of the case action, the action, owner, the user who took the action, case status, any comments associated with the action, attachment name, and the Attachment icon fields.

Figure 34. Audit Tab
The Attachment icon displays for actions with an attachment. In order to view attachments, you can click the icon. Clicking the Attachment icon opens the Attachment List pop-up with a list of attachments available for viewing. In the Comments column for all comments, which exceed the width of the column, you can click the Expand button to view the full text of the comment.

When both standard comments (comments selected from a pre-set list of comments) and free text comments are provided along with an action, the free text comments will appear appended with the selected standard comments.

For all Link and Unlink actions, the Audit tab displays the linked alert (contingent on implementation of Behavior Detection), and case IDs appended with the comments provided by the user as part of the Link or Unlink action.

The Audit tab also allows you to view a history of when the current alert has been viewed by the owner or other users, regardless of any action being taken. These entries are recorded in situations when a user navigates to the details of an alert from the alert list page hyperlink or any alert hyperlink where it appears within case management. The system will record Viewed Case Details as an action regardless of the current status of the alert. This action will not result in any status change for the viewed alert.

As the number of Viewed Alert Details entries can become numerous over the course of working an alert, you can modify the Display View Only Action option to filter this action out of the audit list for the current alert. When the checkbox for the option is selected then the Audit list will display the Viewed Alert Details in the current appropriate sort order for the list. For example, if the current sort is by Action Date ascending then the viewed actions will be interwoven chronologically with other actions. If the checkbox option is deselected then the Viewed Alert Details actions will be filtered out of the list display.

Involved Party Tab
The Involved Party tab displays detailed information for parties that have been linked to the current case, and provides options for linking additional parties to the case, or creating new involved parties.
Figure 35. Involved Party Tab
To view the Involved Party tab, follow these steps:

1. Log into Enterprise Case Management.
2. Select the Investigation tab from the Masthead.
3. Search for the case that you wish to view.
4. In the Case List section, double-click on a case.
   The Case Details page opens.
5. Click Involved Party tab.
   The Involved Party tab displays.

The Involved Party tab contains the following section:

- Linked Involved Parties
- Add Comments

Linked Involved Parties

The Linked Involved Parties section lists and describes involved parties that are currently linked to this case. The Linked Involved Parties section provides detailed information regarding parties that have been linked to the case and identifies the nature of the relationship the party has with the case. Parties are considered to be involved with a case either as a Suspect, Victim, or Witness. If the relationship cannot be categorized as one of these types, then it can be categorized as Other.

The Linked Involved Parties section displays the following columns:

- Relationship Type
- Party Name
- Party ID
- ID Type
- ID Issuing Authority
- Tax ID
Navigating Data Tabs
Chapter 5—Investigating Cases

- Date of Birth
- Employee Flag
- Case Count
- Date
- By
- Details

**Relationship Type Drop-down List**

The **Relationship Type** column in the Linked Involved Parties section is a drop-down list that allows you to set the relationship of the involved party to the case. You can also unlink an involved party if your investigation determines they are not connected to the case.

The following options are found in the drop-down list:

- Suspect
- Victim
- Witness
- Other
- Unlink

Selecting **Unlink** and then clicking **Save** removes the involved party from this case. To modify an involved party’s current relationship with the case, select another relationship type from the drop-down list and click **Save**.

**Add Involved Parties Link**

Clicking the **Search and Add** link in the Linked Involved Parties section opens the Involved Parties Search filters. From the search filters, you can either search for an existing involved party to be linked to this case or add a new involved party. To add a new Involved Party, click the **Add New Involved Party** link. The Involved Party Details pop-up displays where you can create a new party profile, which can then be linked to a case.

![Involved Party Detail Pop-up](image)

**Figure 36. Involved Party Detail Pop-up**

**Searching for Existing Involved Parties**

The Search Involved Party section allows you to search for an involved party profile in the list of available parties. You can link the party, which you select to the current case. If you cannot find the party you are searching for, then you may create a new involved party.
Figure 37. Involved Party Search Filters
To search for an existing involved party to link to this case, follow these steps:

1. Click the **Search and Add** link to open the Search Involved Party filter section.

2. Enter the search criteria.

   You may use wildcard characters for all text fields. Enterprise Case Management recognizes the percent sign (%) as a wildcard character.

   **Note:** If you enter a wildcard character in a text field, then you must enter at least three non-space characters with it. If the wildcard character is found with fewer than three non-space characters, then the application displays the following message: *Please enter at least 3 characters when the wildcard search is performed.*

3. Click **Go**.

   The search results appear in the Involved Party List section.

4. Select the relationship of the involved party you wish to link using the **Select Relationship Type** drop-down list.

   **Optional:** Add comments.

5. Click **Save**.

   A confirmation pop-up reminds you to save your changes. The Involved Party List closes and the new involved party displays in the Linked Involved Parties section of the Involved Parties tab.

6. Click **Save** from the **Involved Party** tab.
Adding a New Involved Party

Select the Search and Add link to create a new involved party profile. This newly created party can then be linked to the current case and assigned a relationship type, or linked to other cases as needed.

To add a new involved party, follow these steps:

1. From the Involved Party tab, click the Search and Add link to open the Search Involved Party section.
2. From the Search Involved Party section, click Add New Involved Party. The Involved Party Detail pop-up displays.
3. Enter any information pertaining to the involved party. You can enter mandatory fields either in combination of First Name and Relationship to Case or Party ID, ID Type and Relationship to Case in order to create a new involved party.
4. Click Save.

Note: The new involved party profile is added to the list of involved parties in the Financial Services Data Model (FSDM). At this point, the newly created party has only been added to the FSDM as a potential involved party. It is not linked to the current case.

A confirmation pop-up verifies that you are adding the involved party.

Figure 39. Add New Involved Party Confirmation Pop-up

5. Click OK.

The new involved party displays in the Linked Involved Parties section on the Involved Party tab.

6. Set the relationship for the involved party using the Relationship Type drop-down list.
7. Click Save to link the newly added involved party to this case with the selected relationship type.

Note: The Involved Party Details pop-up remains open to allow you to add multiple parties. Click the Close button to close.

History Link

Clicking the History link in the Linked Involved Parties section opens the Involved Party History section. The section provides information regarding the edit history to the involved party profile and the history of parties linked to the current case. The History link is also available from the Involved Parties list that appears when viewing search results.
Figure 40. Involved Party History Section

The Involved Party History section contains the following components:

- **Involved Party History**: Lists any changes that have been made to the involved party's profile, such as, name or address change. Records that have been modified display as Inactive and original values. The modified and current version of the record display as Active.

- **Case Involved Party Link History**: Lists any changes that have been made to the involved party's relationship to the case. Records that have been modified displays as Inactive and original values. The modified and current version of the record display as Active.

- **Involved Party Linked Cases**: Lists all cases to which the involved party is linked. You can view these cases by selecting the Case ID, which opens up in a new window, displaying the Case Details tab for the selected case.

**Note**: You can view Case Details only for cases which your access control permits you to view.

**Edit Link**

Clicking the **Edit** link in the Linked Involved Parties section on the Involved Parties tab opens the Edit Involved Party pop-up. The Edit Involved Party pop-up allows you to add or change information pertaining to the involved party.

**Figure 41. Edit Involved Party Pop-up**

Enter the information you wish to add or change in the involved party's profile on this pop-up. To update the record with your changes, click **Save**. A confirmation pop-up appears asking if you want to modify this party or add a new involved party.

When editing an involved party that is linked to multiple cases, you must determine whether you want to modify the existing party or create a new involved party that is linked to the current case. Modifying an existing party updates the party's profile, which will be reflected in any cases the party is linked to.
Selecting **OK** saves your changes to the involved party’s profile. Selecting **Cancel** creates a new party that is linked to the current case.

**Detail Link**

Clicking the **Detail** link in the Linked Involved Parties section on the Involved Party tab opens the Involved Party Details pop-up. The Involved Party Details pop-up allows you to display information pertaining to the involved party.

![Involved Party Details Pop-up](image)

**Add Comments**

The Add Comments section enables you to enter the supporting information for the involved parties that are currently linked to this case. The Add Comments section provides text area where you can enter information up to 4000 characters long.

**Risk Events**

This tab enables you to take event decisions for a case.

To take decision, follow these steps:

1. Navigate to Case Details Page.
2. Click **Risk Events** Tab.
3. Click **Decision** button. The following window is displayed:

![Event Decision window](image)

4. Enter the details in the following fields:
5. Click **Save**.

**Alerts Grid**
The Alerts grid displays the following columns:

- Alert ID
- Focus Type
- Focus
- Focus Name
- Scenario Class
- Scenario Name
- Alert Generation Date
- Highlight
- Business Domain
- Jurisdiction
- External Source System
- External Source System ID
- Created By
- Decision
- Alert Promotion Date

### Table 16. Fields in the Event Decision section

<table>
<thead>
<tr>
<th>Fields</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Alerts</td>
<td>This field displays the selected alerts.</td>
</tr>
<tr>
<td>Event Decision</td>
<td>Select the option from the following drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Not Worthy - Activity in Line with Business</td>
</tr>
<tr>
<td></td>
<td>- Not Worthy - Insufficient reason to determine suspicion</td>
</tr>
<tr>
<td></td>
<td>- Worthy</td>
</tr>
</tbody>
</table>
Business Tabs

Business tabs help the Case Analyst I, Case Analyst II or Case Supervisor in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

The first section for all Business tabs displays the list of business entities matrix. This matrix lists the business entities that are associated with the current case. Business entities can be associated with a case in one of three ways. They can be manually added to the case using the Add feature available on most business tabs. They can be associated with a case based on their association with one or more alerts that were promoted from the Alert Management user interface and used to form the basis for the current case. Or, they can be associated with a case based on their association with one or more alerts that are linked to the current case at some point after the case’s creation. The latter two methods are applicable only if your firm has implemented Behavior Detection.

Examples of how business data is associated to a case based on an alert linked either through promotion or through linking to an existing case include such situations as follows: if a Customer-focused linked alert involved five distinct accounts, the Account business tab business entities matrix will display those five accounts. And the Customer tab will display information about the alert’s focal customer.

By default, the business entities matrix displays five records.

Table 17. BusinessTabs display

<table>
<thead>
<tr>
<th>Tabs to Display</th>
<th>Case Types/Subtypes</th>
<th>When based on alert</th>
<th>When not based on alert</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account</td>
<td>All Money Laundering and Fraud</td>
<td>All focal types</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer</td>
<td>All Money Laundering and Fraud</td>
<td>All focal types</td>
<td>Yes</td>
</tr>
<tr>
<td>Household</td>
<td>All Money Laundering and Fraud</td>
<td>All focal types except Correspondent Bank, External Entity, and Employee</td>
<td>Yes</td>
</tr>
<tr>
<td>External Entity</td>
<td>All Money Laundering and Fraud</td>
<td>All focal types</td>
<td>Yes</td>
</tr>
<tr>
<td>Correspondent Bank</td>
<td>All AML</td>
<td>Correspondent Bank focal type only</td>
<td>Yes</td>
</tr>
<tr>
<td>Employee</td>
<td>Fraud /Employee Fraud</td>
<td>Employee, Household, Customer, Account focal type only</td>
<td>Yes</td>
</tr>
<tr>
<td>Investment Advisor</td>
<td>All Money Laundering and Fraud</td>
<td>For Customer, Household, Account only</td>
<td>Yes</td>
</tr>
<tr>
<td>Transactions</td>
<td>All Money Laundering and Fraud</td>
<td>All focal types</td>
<td>Yes</td>
</tr>
<tr>
<td>Financials</td>
<td>All Fraud</td>
<td>All focal types</td>
<td>Yes</td>
</tr>
</tbody>
</table>

In the Business tabs, for each business entity, you can perform the Add, Edit, and Remove actions.
You can modify the business data as part of case investigations. In addition, you can add new business data to the case and remove existing data from the case. The system captures and records all actions (Add, Edit, and Remove) to business data taken on the case.

When creating a case in Enterprise Case Management, you can add relevant business data at the time of case creation. If your firm has implemented Behavior Detection, business data associated with alerts promoted to cases are categorized and displayed on the business tabs. This data is imported from Alert Management during promotion of alerts to cases. All business data associated with the linked alerts of the cases are associated directly with the case in the Enterprise Case Management. Refer to Alert Management User Guide, for more information on promotion of alerts to cases.

The adding of a new business data should be done on the business tab associated with the type of data being added. For example, new accounts can only be added when on the Account tab, new Customers can only be added when on the Customer tab.

You can perform View Current Information and Designate as Involved Party of the business entity. To view the current information of the business entity, select the check box next to a business entity and click View Current Information. When clicked, the page retrieves the current business information about the entity and portrays the business tab associated with that entity in a separate window, using the default format of that business tab.

Similarly, to designate involved party of the business entity, select the check box next to a business entity and click Designate as Involved Party. When clicked, the page retrieves the current business information about the entity and portrays the business tab associated with that entity in a separate window, using the default format of that business tab.

For the Transactions tab, you can display the comparative view of all transactions using the Display Comparative View functionality. The Display Comparative View link, when clicked, display a pop-up that contains all transaction type matrices for which there is data in the order of Funds Transfer, MI Transaction, Cash Transaction, and Back Office Transaction. Each transaction type matrix contains the distinct set of transactions across all linked alerts and manually added transactions to a case.

You can perform Search Existing Entities and Add Entity Manually actions on the business tabs. When you enter the search criteria for an entity, the search results appears as a list of matrix having the Add to the Case button.

If you select one or more business entities displayed in the search results, such that some are already present in the case, and click the Add to the Case button, the entities that are not already present in the case are added.

Modifying Business Tab Data
If you are a Case Analyst I, Case Analyst II, or Case Supervisor user, Enterprise Case Management enables you to perform Add, Edit and Remove actions on business data associated with the case. Not all tabs support editing of business data. Currently Account, Customer, Employee, Household, External Entity, Financials and Correspondent Bank tabs support the addition, modification, or removal of data.

Adding a New Entity

During the course of investigation of a case, you can add an entity or entities to a case to reflect the relationship of the entities with the case. You can add a new business entity in following ways:

- Adding a New Entity Manually
- Searching for an Entity and then Adding them to the Case

Note: Search Current Business Entities option is available only when your firm has implemented the Alert Management. Refer to section Setting Alert Management in Oracle Financial Services BD Installation Guide for more information.
Adding a New Entity Manually

To add a new entity manually, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. Click **Add** from the list of business entities matrix.
   
   The Add or Edit window is displayed.
   
   **Note**: By default, the **Search Existing Entities** radio button option is selected.

3. Select **Add Entity Manually** radio button option.
   
   The following window is displayed:

![Figure 44. Adding a New Entity Manually](image)

4. Enter data into the fields of the pop-up window. All fields that need a mandatory input are suffixed with an asterisk '*'.

5. Click **Save**. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

6. Click **OK**.

7. Click **OK**.

   **Note**: Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #7. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.
8. Click **Cancel**.

9. The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

**Searching for an Entity and then Adding them to the Case**

To add a new entity to a case, you can search for entities from the existing entities and then add them to the case. This section includes the following two topics:

- Adding a New Entity from Existing Case Entities
- Adding a New Entity from Existing Business Entities

**Adding a New Entity from Existing Case Entities**

To add a new entity from existing case entities, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. Click **Add** from the list of business entities matrix.

3. The following window is displayed:

   ![Adding a New Entity from Existing Case Entities](image)

   **Figure 45. Adding a New Entity from Existing Case Entities**

4. By default, the **Search Case Entities** radio button is selected.

5. Enter the required search criteria. Refer to Table 18 to know about the search conditions that are applicable while search existing entities.

   **Note**: **ID** and **Name** fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.

6. Click **Go**.

   The relevant search lists is displayed.

   **Note**: All the columns in the Lists section support the **Field Chooser** option.

7. From the Lists section, select the required entity and click **Add to Case**.

8. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

9. Click **OK**.

10. Click **OK**.
Navigating Data Tabs
Chapter 5—Investigating Cases

**Note:** Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #8. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

11. Click **Cancel**.

The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

**Adding a New Entity from Existing Business Entities**

To add a new entity from the existing business entities, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.
2. Click **Add** from the list of business entities matrix.
3. Select the **Search Current Business Entities** radio button option from Search Existing Entities.
4. Enter the required search criteria. Refer to Table 18 to know about the search conditions that are applicable while search existing entities.
   
   **Note:** ID and Name fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.
5. Click **Go**.

The relevant search lists is displayed.

**Note:** All the columns in the Lists section support the **Field Chooser** option.
6. From the Lists section, select the required entity and click **Add to Case**.

The following message is displayed: **You have selected to add a new record. Click OK to continue and save changes.**
7. Click **OK**.
8. Click **OK**.
Note: Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #8. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

9. Click Cancel.

The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

Search Conditions for Adding New Business Entities using Search Existing Entities

The following table describes the search conditions applicable while adding a new business entity using the Search Existing Entities option:

<table>
<thead>
<tr>
<th>Business Data Tab</th>
<th>ID Column</th>
<th>Condition</th>
<th>Name Column</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account</td>
<td>Account ID OR Account Name</td>
<td>OR</td>
<td>Account Name</td>
</tr>
<tr>
<td>Customer</td>
<td>Customer ID OR Customer Name AND Customer Type</td>
<td>OR</td>
<td>Customer Name AND Customer Type</td>
</tr>
<tr>
<td>Household</td>
<td>Household Group ID OR Household Group Name</td>
<td>OR</td>
<td>Household Group Name</td>
</tr>
<tr>
<td>Correspondent Bank</td>
<td>Instr ID, Instr ID Type OR Instr Name</td>
<td>OR</td>
<td>Instr Name</td>
</tr>
<tr>
<td>Employee</td>
<td>Employee ID OR Employee Name</td>
<td>OR</td>
<td>Employee Name</td>
</tr>
<tr>
<td>External Entity</td>
<td>Entity ID, Entity Type OR Entity Name</td>
<td>OR</td>
<td>Entity Name</td>
</tr>
</tbody>
</table>

Adding New Business Data

To add a new entity on a business tab, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. In the list of business entities matrix, click the Add icon.

   A pop-up window opens with all the fields of the list in editable format. All fields that need a mandatory input are suffixed with an asterisk *.

3. Enter data into the fields of the pop-up window. Be sure to enter data for all mandatory fields.

4. Click Save.

5. Click OK.

   Enterprise Case Management saves the new data and associates it to the current case. The pop-up remains displayed without closing; allowing you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #3 to #5.

6. Click Cancel.

7. The pop-up closes and navigates to the refreshed list of business entities matrix, and the newly added data displays.

8. Corresponding audit entries are recorded on the case.
9. While adding data in the pop-up fields and before saving them, clicking the **Reset** icon clears all the fields to blank.

**Modifying Existing Business Data**

To modify existing data in a business tab, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and then navigate to the applicable business tab.
2. In the list of business entities matrix, select the check box against the data that needs to be edited.  
   **Note**: You can edit only one record at a time.
3. Click the **Edit** icon.  
   A pop-up window opens with all the fields of the list. Only those fields that you can modify are in edit mode. The rest of the fields remains non-editable. All fields that need a mandatory input are suffixed with an asterisk ‘*’.
4. Modify the existing data as desired in the editable fields.
5. Click **Save**.
6. Click **OK**.
7. Enterprise Case Management saves the modifications. The pop-up window closes and navigates to the refreshed list of business entities matrix. The modified information displays for the edited record.
8. Corresponding audit entries are recorded on the case.
9. While modifying data in the pop-up fields and before saving them, clicking the **Reset** icon resets all the fields to their previous values.

**Removing Business Data**

When business data is removed from the case using the **Remove** button, the removed data and any supplemental data associated with that business entity are removed from all the supplemental matrices. For example, removing an Account from a case will remove that account’s account balance information, account summary information, and so forth.

To remove existing business data, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and then to the applicable business tab.
2. In the list of business entities matrix, select the check box against all business records that need to be deleted.
3. Click the **Remove** icon.  
   A confirmation message displays: You have selected to remove this record. Click **OK** to continue and save changes.
4. Click **OK**.
5. Enterprise Case Management deletes the selected record(s) from the case. The list of business entities matrix refreshes and all deleted records are removed from the list.
6. Corresponding audit entries are recorded for the case.
At any point of time, if you do not want to perform the selected action, click **Cancel** on the pop-up or on the pre-save confirmation message and to abort the action.

Adding, editing, and removing a record from a case does not affect that record as it exists on other cases.

It is also possible to Add/Edit/Remove information in supplemental matrices that display additional information. This information is specific to a business entity selected in the primary matrix list on the business tab. This supplemental information displays upon selection of an entity in the primary matrix list and then selection of the L.H.S. menu options.

**Adding New Transactions**

During the course of investigation of a case, you can add an transaction or transactions to a case to reflect the relationship of the entities with the case. You can add a new business entity in following two ways:

- Adding a New Transaction Manually
- Searching for a Transaction to Add to the Case

**Note:** **Add New Transaction** is enabled only for Case Analyst II and CM Supervisor User.

**Adding a New Transaction Manually**

To add a new transaction manually, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the Transactions business tab.
2. Click **Add New Transaction**.
   
   The Add window is displayed.

   ![Add window](image)

   **Note:** By default, the **Search Existing Entities** radio button option is selected.
3. Select **Add Entity Manually**.
   
   The following window is displayed:

   ![Adding a New Entity Manually](image)

4. Select the **Transaction Type** of the transaction you wish to add from the drop-down list. You may choose from the following Transaction Types:
   - **Back Office Transaction**
Navigating Data Tabs  
Chapter 5—Investigating Cases

- Cash Transaction
- Monetary Instrument Transaction
- Funds Transfer

Different fields display depending on the Transaction Type selected.

5. Enter data into the fields of the pop-up window. All fields that need a mandatory input are suffixed with an asterisk '*'.

6. Click Save. The following message is displayed: You have selected to add a new record. Click OK to continue and save changes.

7. Click OK.

8. Click OK.

**Note:** Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #7. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

9. Click Cancel.

10. The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

**Searching for a Transaction to Add to the Case**

To add a new transaction to a case, you can search for transactions from the existing entities and then add them to the case.

To add a new entity from existing case entities, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the Transactions tab.

2. Click Add Transaction from the list of business entities matrix. The following window is displayed:

![Figure 49. Adding Transaction from Existing Entities](image)

By default, the Search Existing Entities radio button is selected.
3. Enter the required search criteria in the following fields:

Table 19. Fields in the Transaction Search section

<table>
<thead>
<tr>
<th>Fields</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transaction type</td>
<td>Select the transaction type from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Back Office Transaction</td>
</tr>
<tr>
<td></td>
<td>- Cash Transaction</td>
</tr>
<tr>
<td></td>
<td>- Monetary Instrument Transaction</td>
</tr>
<tr>
<td></td>
<td>- Funds Transfer</td>
</tr>
<tr>
<td>Transaction Date&gt;=</td>
<td>Select the transaction date from the calendar.</td>
</tr>
<tr>
<td>Transaction date&lt;=</td>
<td>Select the transaction date from the calendar.</td>
</tr>
<tr>
<td>Party ID</td>
<td>Enter the Party ID</td>
</tr>
<tr>
<td>Party Name</td>
<td>Enter the Party Name</td>
</tr>
<tr>
<td>Party Type</td>
<td>Select the party type from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Beneficiary</td>
</tr>
<tr>
<td></td>
<td>- Clearing Institution</td>
</tr>
<tr>
<td></td>
<td>- Conductor</td>
</tr>
<tr>
<td></td>
<td>- Depositing Institution</td>
</tr>
<tr>
<td></td>
<td>- Second Originator</td>
</tr>
<tr>
<td></td>
<td>- First Intermediary</td>
</tr>
<tr>
<td></td>
<td>- Second Intermediary</td>
</tr>
<tr>
<td></td>
<td>- Third Intermediary</td>
</tr>
<tr>
<td></td>
<td>- Fourth Intermediary</td>
</tr>
<tr>
<td></td>
<td>- Fifth Intermediary</td>
</tr>
<tr>
<td></td>
<td>- Sixth Intermediary</td>
</tr>
<tr>
<td></td>
<td>- Seventh Intermediary</td>
</tr>
<tr>
<td></td>
<td>- Eighth Intermediary</td>
</tr>
<tr>
<td></td>
<td>- Issuing Institution</td>
</tr>
<tr>
<td></td>
<td>- Location</td>
</tr>
<tr>
<td></td>
<td>- Originator</td>
</tr>
<tr>
<td></td>
<td>- Receiving Institution</td>
</tr>
<tr>
<td></td>
<td>- Remitter</td>
</tr>
<tr>
<td></td>
<td>- Secondary Beneficiary</td>
</tr>
<tr>
<td>Transaction ID</td>
<td>Enter the Transaction ID</td>
</tr>
</tbody>
</table>

Note: Transaction ID and Party Name fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.

4. Click Go.

The relevant search lists is displayed.

Note: All the columns in the Lists section support the Field Chooser option.

5. The Transaction Lists grid displays the following columns:

- Transaction ID
Navigating Data Tabs
Chapter 5—Investigating Cases

- Transaction Type
- Transaction Base Amount
- Transaction Date
- Party ID
- Party Name
- Party Type

From the Lists section, select the required entity and click Add to Case.

6. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

7. Click OK.

8. Click OK.

**Note:** Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #8. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

9. Click Cancel.

The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

**Adding New Customer**

During the course of investigation of a case, you can add a customer or customers to a case to reflect the relationship of the customers with the case. You can add a customer in following two ways:

- Adding a New Customer Manually
- Searching for a Customer and then Adding them to the Case

**Adding a New Customer Manually**

To add a new customer manually, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. Click Add on the Customers List grid..

   The Add or Edit Customer window is displayed.

   **Note:** By default, the Search Existing Entities radio button option is selected.

3. Select Add Entity Manually radio button option.

   The following window is displayed:
4. Enter data into the fields of the pop-up window. All fields that need a mandatory input are suffixed with an asterisk "*".

5. Click Save. The following message is displayed: You have selected to add a new record. Click OK to continue and save changes.

6. Click OK.

7. Click OK.

   **Note:** Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the **Cancel** button. If you want to add more data to the case for the selected tab, repeat steps #4 to #7. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

8. Click **Cancel**.

9. The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

**Searching for a Customer and then Adding them to the Case**

To add a new entity to a case, you can search for entities from the existing entities and then add them to the case. This section includes the following two topics:

- Adding a New Entity from Existing Case Entities
- Adding a New Entity from Existing Business Entities

**Adding a New Entity from Existing Case Entities**

To add a new entity from existing case entities, follow these steps:
1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. Click Add on the Customer List grid.

3. The following window is displayed:

![Figure 51. Adding a New Entity from Existing Case Entities](image)

4. By default, the Search Case Entities radio button is selected.

5. Enter the required search criteria in the following fields:

   **Table 20. Fields in the Customer Search section**

<table>
<thead>
<tr>
<th>Fields</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer ID</td>
<td>This field displays the customer ID.</td>
</tr>
<tr>
<td>Customer Name</td>
<td>This field displays the customer name.</td>
</tr>
<tr>
<td>Customer Type</td>
<td>This field displays the customer type. Following are the options available:</td>
</tr>
<tr>
<td></td>
<td>◆ Financial Institution</td>
</tr>
<tr>
<td></td>
<td>◆ Individual</td>
</tr>
<tr>
<td></td>
<td>◆ Other Organization</td>
</tr>
</tbody>
</table>

6. Enter the required search criteria. Refer to Table 18 to know which search conditions are applicable.

   **Note:** Customer ID and Customer Name fields are fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.

7. Click Go.

   The relevant search list is displayed.

   **Note:** All the columns in the Lists section support the Field Chooser option.

8. The Customer List grid displays the following columns:

   - Customer ID
   - Customer Name
   - Customer Type
9. From the Lists section, select the required entity and click **Add to Case**.

10. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

11. Click **OK**.

12. Click **OK**.

**Note:** Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #8. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

13. Click **Cancel**.

   The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

**Adding a New Entity from Existing Business Entities**

To add a new entity from the existing business entities, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the applicable business tab.

2. Click **Add** on the **Customers List** grid.

3. Select the **Search Current Business Entities** radio button option from Search Existing Entities.
4. Enter the required search criteria. Refer to Table 18 to know about the search conditions that are applicable while search existing entities.

**Note:** ID and Name fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.

5. Click **Go**.

The relevant search lists is displayed.

**Note:** All the columns in the Lists section support the **Field Chooser** option.

6. From the Lists section, select the required entity and click **Add to Case**.

The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

7. Click **OK**.

8. Click **OK**.

**Note:** Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #8. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

9. Click **Cancel**.

The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

### Adding New External Entity

During the course of investigation of a case, you can add a customer or customers to a case to reflect the relationship of the customers with the case. You can add a customer in following two ways:

- Adding a New External Entity Manually
- Searching for External Entity to Add to the Case

#### Adding a New External Entity Manually

To add a new external entity manually, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the External Entity tab.

2. Click **Add** on the **External Entity** grid.

   The **Add or Edit External Entity** window is displayed.

   **Note:** By default, the **Search Existing Entities** radio button option is selected.

3. Select **Add Entity Manually** radio button option.

   The following window is displayed:
4. Enter data into the fields of the pop-up window. All fields that need a mandatory input are suffixed with an asterisk '*'.

5. Click Save. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

6. Click OK.

7. Click OK.

   **Note:** Oracle Financial Services Enterprise Case Management saves the new data and associates it to the current case. The pop-up is not closed and allows you to add more entities until you click the Cancel button. If you want to add more data to the case for the selected tab, repeat steps #4 to #7. While adding data in the pop-up fields and before saving them, clicking the Reset button clears all the fields to blank.

8. Click Cancel.

9. The pop-up closes and navigates you to the refreshed list of business entities matrix, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

**Searching for External Entity to Add to the Case**

To add a new external entity to a case, you can search for transactions from the existing entities and then add them to the case.

To add a new entity from existing case entities, follow these steps:

1. From the Case Search & List page, select the case, navigate to the Case Details tab, and navigate to the External Entity tab.

2. Click Add on the **External Entity List** grid. The following window is displayed:
Navigating Data Tabs
Chapter 5—Investigating Cases

Figure 54. Search External Entity

3. Enter the required search criteria in the following fields:

Table 21. Fields in the External Entity Search section

<table>
<thead>
<tr>
<th>Fields</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity ID</td>
<td>This field displays the entity ID.</td>
</tr>
<tr>
<td>Entity Name</td>
<td>This field displays the entity name.</td>
</tr>
<tr>
<td>Entity Type</td>
<td>This field displays the customer type. Following are the options available:</td>
</tr>
<tr>
<td></td>
<td>● Financial Institution</td>
</tr>
<tr>
<td></td>
<td>● Individual</td>
</tr>
<tr>
<td></td>
<td>● Other Organization</td>
</tr>
</tbody>
</table>

4. Click Go.

The relevant search lists is displayed.

5. The **External Entity List** grid displays the following columns:

- Entity ID/Type
- Entity Name
- Last Activity
- Updated On

**Business Tab Supplemental Details**

On selection of an entity in the list of business entities matrix, supplemental information specific to the current tab displays. Depending on the availability of data for the selected entity, these sections may or may not contain additional information. Some of this supplemental information would be specific to cases, which are originated in Behavior Detection. If your firm has not implemented Behavior Detection then some of the non-editable supplemental details sections will never display information.

Following tabs display the supplemental information:

- Account Tab - For more information, refer to the section **Account Tab Supplemental Details**.
Navigating Data Tabs
Chapter 5—Investigating Cases

- Customer Tab - For more information, refer to the section Customer Tab Supplemental Details.
- Employee Tab - For more information, refer to the section Employee Tab Supplemental Details.
- External Entity Tab - For more information, refer to the section External Entity Tab Supplemental Details.
- Correspondent Bank Tab - For more information, refer to the section Correspondent Bank Tab Supplemental Details.
- Household Tab - For more information, refer to the section Household Tab Supplemental Details.
- Transaction Tab - For more information, refer to the section Transaction Tab Supplemental Details.

Account Tab Supplemental Details

On selection of an account in the list of business entities matrix, the following sections display.

Details Section

Displays the detailed information of the account along with the associated restrictions.

- **Account Details:** Displays on selection of an account in the list of business entities account matrix. The section displays details of the selected account along with the phone numbers and emails associated with the account. You can edit Account details using the **Edit** button from the list of business entities matrix. In addition, you can add/modify/delete Email addresses and Phone Numbers by clicking the images appearing against their corresponding labels.

- **Account Restriction:** Displays the list of restrictions applied on the selected account. You can include new restrictions and can modify or remove the existing restrictions.

Managers and Advisors

Displays the list of employees and investment advisors who manages the selected account.

- **Account Management:** Displays the list of employees who are involved in managing the selected account along with the roles they play. Additional account managers can be associated to the account and currently associated account managers can be modified for the role they play. While associating a new account manager to the account for the current case, only those managers who are part of the case and are available in the Employee tab of the case can be associated. If the account managers to be associated to the account are not associated with the case then they should first be added to the case through Add action in the list of business entities matrix of the Employee tab.

- **Investment Advisor:** Displays the list of investment advisors associated with the selected account. You cannot modify the details of investment advisors.

Risk Information

This section displays the risk information associated with the selected account.

- **Risk Information:** Displays the value of various risks associated with the selected account. You can manually add the values of the risks while adding new business record and modify the existing risk values of a business entity.

- **Risk List Memberships:** Displays the watch lists associated with the selected account. The account can be associated with additional watch list or can be removed from existing watch list associations.
Addresses

The Addresses section displays the list of addresses associated with the selected account. You can add new addresses, and modify or remove the existing addresses.

Balance

The Balance section displays the balance and holdings available on the selected account as on the date of case creation.

Summary

The Summary section displays a summary of an account’s transactional activity on a monthly basis for the five months previous to the date of last transaction performed from the selected account. If you click the Show Full Details button in the summary section, the summary for the last 13 months display in a pop-up window.

Peer Groups

The Peer Groups section displays a summary of transactional activity for the peer groups associated with the selected account. Summaries are displayed on a monthly basis for the five months previous to the date of last transaction performed from the selected account. If you click the Show Full Details button on the summary section, the summary for the last 13 months displays in a pop-up window.

Note: You cannot add, modify, or remove the Balance, Summary, and Peer Group information of the account. The information is specific to cases originating from Behavior Detection.

Account List Grid

The Account List Grid displays the following columns:

- Account ID
- Account Name
- Type (s)
- Registration
- Owner Type
- Status
- Branch
- Source
- Updated On
Customer Tab Supplemental Details

On selection of a customer in the list of business entities matrix, the following sections display.

*Note:* The **Customer Name** in the Customer tab displays the full name of the customer as recorded in the *Business Schema*.

**Details**

The Details section displays the detailed information of the customer along with the phone numbers and emails associated with the customer. You can edit the Customer details using the **Edit** button from the list of business entities matrix. You can add/modify/remove emails and phones by clicking the images appearing against their corresponding labels.

**Accounts**

Displays the list of Accounts and Online accounts associated with the selected customer:

- **Accounts:** Lists all the accounts that are associated with the customer. You can map additional accounts to the customer and remove the existing accounts. Only those accounts that are part of the case and are available in the Account tab of the case can be associated. If the accounts to be associated with the customer are not associated with the case then they should first be added to the case through Add action in the list of business entities matrix of the Account tab.

- **Online Accounts:** Lists all the online accounts that the customer uses to access his accounts. You can add, edit, and remove the online accounts for the customer.

**Addresses**

The Addresses section displays the list of addresses associated with the selected customer. You can add new addresses, and modify or remove the existing addresses.

**Risk Information**

The Risk Information section displays risk information associated with the selected customer.

- **Risk Information:** Displays the value of various risks associated with the selected customer.

- **Risk List Memberships:** Displays the watch lists associated with the selected customer.

*Note:* The risk information displayed in this section are in *view only* mode.

**Anticipatory Profile**

The Anticipatory Profile section lists all the anticipatory profiles associated with the selected customer. You can add, modify, or remove the details of anticipatory profiles for the selected customer.

**Summary**

The Summary section displays a summary of transactional activities for the selected customer. Summaries are displayed on a monthly basis for the five months previous to the date of last transaction performed by the selected customer. If you click the **Show Full Details** button in the summary section, the summary for the last 13 months displays in a pop-up window.
Note: You cannot add, modify, or remove summary information of the customer. The information is specific to cases originating from Behavior Detection.

**Employee Tab Supplemental Details**

On selection of an employee in the list of business entities matrix, the following sections display.

**Details**

The Details section displays detailed information of the employee along with the phone numbers and email addresses associated with the Employee. You can edit the Employee details using the Edit button from primary matrix. In addition, you can add, modify, or remove the email addresses and phone numbers by clicking the images appearing against their corresponding labels.

**Accounts**

The Accounts section displays information for all accounts on which the employee has some type of ownership role. You can map the new accounts and unmap the existing accounts.

**Addresses**

The Addresses section displays the list of addresses associated with the selected employee. You can add the new addresses, and modify or remove the existing addresses.

**External Entity Tab Supplemental Details**

On selection of an external entity in the list of business entities matrix, the following sections display.

**Risk Information**

The Risk Information section displays risk information associated with the selected External Entity.

- **Risk Information**: Displays the value of various risks associated with the selected External Entity. You can manually add the values of the risks while adding new business record and modify the existing risk values of a business entity.

- **Risk List Memberships**: Displays the watch lists associated with the selected External Entity. You can associate External Entities with additional watch list or remove from existing watch list memberships.

**Associated Institutions**

Lists all the institutions associated with the selected External Entity.

**Addresses**

The Addresses section displays the list of addresses associated with the selected External Entity. You can add new addresses, and modify or remove the existing addresses.
Correspondent Bank Tab Supplemental Details

On selection of a Correspondent Bank in the list of business entities matrix, the following sections display.

**Accounts**

The Accounts section lists all the accounts that are held by the selected correspondent bank. You can add additional accounts or remove existing accounts. Only those accounts that are part of the case and are available in the Account tab of the case can be associated. If the accounts to be associated with the correspondent bank are not associated with the case then they should first be added to the case through Add action in the list of business entities matrix of the Account tab.

**Risk Information**

The Risk Information section displays risk list membership information associated with the selected correspondent bank.

The section displays the current Risk Rating associated with the selected correspondent bank. You can manually add the risk value while adding a new business record. Existing risk values of a business entity can be modified. The Risk Information section displays the watch lists associated with the selected Correspondent Bank. You can associate Correspondent Banks with additional watch list or can remove from existing watch list memberships.

**Summary**

The Summary section displays a summary of transactional activities for the selected Correspondent Bank. Summaries displays on a monthly basis for the five months previous to the date of last transaction performed by the selected Correspondent Bank. If you click the **Show Full Details** button in the summary section, the summary for the last 13 months displays in a pop-up window.

**Peer Groups**

The Peer Group section displays a summary of transactional activity for the peer groups associated with the selected correspondent bank. Summaries displays on a monthly basis for the five months previous to the date of last transaction performed from the selected correspondent bank. If you click the **Show Full Details** button on the summary section, the summary for the last 13 months displays in a pop-up window.

**Note:** You cannot add, modify, or remove the Summary information of the Correspondent Bank and its Peer Groups. The information is specific to cases originating from Behavior Detection.

Household Tab Supplemental Details

On selection of a household in the list of business entities matrix, the following section display.

**Details**

The Details section displays the balance position of the selected household.

**Accounts**

Lists all the accounts that are associated with the household. You can map additional accounts to the household and remove the existing accounts. Only those accounts that are part of the case and are available in the Account tab of the case can be associated. If the accounts to be associated with the customer are not associated with the case then they should first be added to the case through Add action in the list of business entities matrix of the Account tab.
Navigating Data Tabs
Chapter 5—Investigating Cases

Transaction Tab Supplemental Details
The tab displays all the transactions associated with the linked alerts of the case of the following category:
- Back Office transactions
- Cash transactions
- Monetary Instrument transactions
- Wire transactions
During Promote to Case action and Link actions of an alert to a case, these transactions are transferred from Behavior Detection Framework business tables to Case Management tables for investigation. You can click on any of the alerts listed in the linked alert matrix of the tab to view its associated transactions. Some alerts may not have a transaction associated with it in which case, the respective matrix will not display a transaction record. You cannot add, edit, or delete a transaction from the Transaction tab.

Adding Data in Tab Supplemental Information
To add data in the Supplemental Information section, follow these steps:
1. Navigate to the corresponding business tab, and click anywhere on the entity record from the list of business entities matrix.
   The Supplemental Detail displays.
2. Select the desired sections to add supplemental information, and click the corresponding L.H.S. menu option.
3. Follow the steps in the section Adding New Business Data.

Modifying Data in Tab Supplemental Information
To modify data in the Supplemental Information section, follow these steps:
1. Navigate to the corresponding business tab and click anywhere on the entity record from the list of business entities matrix.
   The Supplemental Detail displays.
2. Select the desired sections to modify supplemental information, and click the corresponding L.H.S. menu option.
3. Follow the steps in the section Modifying Existing Business Data.

Removing Data in Tab Supplemental Information
To remove data in the Supplemental Information sections, follow these steps:
1. Navigate to the corresponding business tab and click anywhere on the entity record from the list of business entities matrix.
   The Supplemental Detail displays.
2. Select the desired sections to remove supplemental information, and click the corresponding L.H.S. menu option.
3. Follow the steps in the section Removing Business Data.
Financials Tab

In the course of investigating fraudulent activity, it may be necessary to track data pertaining to potential and actual losses (which can result from the activity identified), as well as to track any amounts that may be recovered during the course of the investigation. The Financials functionality aims at managing loss and recovery data, providing a mechanism to enter, edit and audit the data. The Financials business tab has been designed for this purpose.

You can access the Financials tab for a particular case after selecting a case classified as Fraud type from the Case List within the Investigation workflow, viewing its details, and then selecting the Financials tab. This tab is visible based on the user-role as defined in Table 3.

Components of the Financials Tab

The Financials tab contains the following information:

- Current Loss and Recovery Summary
- Loss and Recovery Items
- Loss and Recovery Data Entry

Current Loss and Recovery Summary

The Current Loss and Recovery area contains information for total loss and recovery values and for the Primary General Ledger (GL), Cost Center, and Offset Account information. This area contains the following components:

- Links
  - **Edit**: When clicked, the system populates the Cost Center and GL Financials Data Entry section data entry boxes with the current values associated with the Primary GL, Primary Cost Center and Offset Account and Offset Cost Center and Charge Off Date in a pop-up. The Edit function is based on user roles and is not displayed if you do not have the requisite rights to edit information or if information does not currently exist. Refer to Table 3 of this document for a description of roles and privileges.
  
  **Note:** Edit Link is enabled only for Case Analyst II and CM Supervisor User.
  
  - **Remove**: When clicked, a confirmation message displays asking if you wish to delete the current GL and cost center information. Removed records are considered as inactive and are viewable only in the History pop up. The Remove function is based on user roles and is not displayed if you do not have the requisite rights to delete information. Refer to Table 3 of this document for a description of roles and privileges.
  
  **Note:** Remove Link is enabled only for Case Analyst II and CM Supervisor User.
  
  - **History**: When clicked, the system displays a pop-up window that lists a history of modifications to the current GL and cost center information. The History function is based on user roles and is not displayed if you do not have the requisite rights to view history information or if there is no current or previously entered information. Refer to Table 3 of this document for a description of roles and privileges.

- Information Fields
Table 22 lists and describes the individual information fields for the Current Loss and Recovery area.

Table 22. Current Loss and Recovery Information Fields

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Potential Loss Amount</td>
<td>Represents the total potential financial loss that the institution may experience as a result of the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Potential Loss data items for the case.</td>
</tr>
<tr>
<td>Total Averted Loss Amount</td>
<td>Represents the total financial loss amounts that the institution may be able to prevent based on actions taken during the course of the investigation into the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Averted Loss data items for the case.</td>
</tr>
<tr>
<td>Total Loss Recovery Amount</td>
<td>Represents the total financial losses that have been recovered during the course of the investigation into the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Recovery data items for the case.</td>
</tr>
<tr>
<td>Total/Net Loss Amount</td>
<td>Represents the total loss remaining after Averted Loss and Recovery Amounts have been subtracted from the Potential Loss. It is calculated as: Potential Loss – Averted Loss – Recovery Amounts = Total/Net Loss Amount</td>
</tr>
<tr>
<td>Primary GL Account</td>
<td>The primary general ledger (GL) account to which the total net loss amount for this investigation should be associated.</td>
</tr>
<tr>
<td>Primary Cost Center</td>
<td>The primary cost center to which the total net loss amount for this investigation should be associated.</td>
</tr>
<tr>
<td>Offset Account</td>
<td>Offset account associated with loss and recovery financials for this investigation.</td>
</tr>
<tr>
<td>Offset Cost Center</td>
<td>Offset account’s cost center associated with loss and recovery financials for this investigation.</td>
</tr>
<tr>
<td>Charge Off Date</td>
<td>The date on which the loss was charged off.</td>
</tr>
<tr>
<td>Last Update Date</td>
<td>The date and time at which loss and recovery data was last updated.</td>
</tr>
<tr>
<td>Last Update By</td>
<td>The last user who updated the loss and recovery data.</td>
</tr>
</tbody>
</table>

**Note:** The total loss and recovery summary values are populated with the current information upon entry into this page and are refreshed only when you enter or edit the relevant data in the Loss and Recovery Data Entry area and have selected Save. A more detailed explanation is provided in the Loss and Recovery Data Entry area.

**Cost Center and GL Financials Data Entry**

The Cost Center and GL Financials Data Entry pop-up displays on click of the **Add** button in the Current Loss and Recovery header. It allows you to enter cost center and GL financial data.

This area contains the following components:

- **Data Entry Fields:** This area displays the relevant fields along with the specific formats for data entry.

Table 22 lists the descriptions for each of the following fields for the Current Loss and Recovery Data area.
Navigating Data Tabs
Chapter 5—Investigating Cases

- **Primary GL Account**—Text box
- **Primary Cost Center**—Drop-down list which is populated with available cost centers as defined by your firm
  
  **Note**: If you require additional values, contact your System Administrator.

  - **Offset Account**—Text box (limit entry to 50 characters or fewer)
  - **Offset Cost Center**—Drop-down list which is populated with available cost centers
  - **Charge Off Date**—Text box and calendar control

  The **Comment** box is a text box in which you can enter relevant comments about the data you have entered.

**Loss and Recovery Items**

The Loss and Recovery Items contains tabular matrices reporting individual loss and recovery records by type. The Loss and Recovery items matrices are accessible by using the L.H.S. menu options. The L.H.S. menu offers access to Potential Loss, Averted Loss, and Recovery matrices. Table 24 provides descriptions of the columns that display for each matrix.

- **Buttons**
  - **Add**
  - **Edit**
  - **History**
  - **Remove**

  - **Check Box**
    - **Edit**: When checked and the **Edit** button is clicked, the system displays the selected records in the Loss and Recovery data item entry pop up for editing.

  - **Loss and Recovery Items Matrices**: Refer to section **Loss and Recovery Items Matrices** for descriptions of the columns in each of the matrices.

**Add Button**

The system allows you to add the loss and recovery line item information displayed in each of the matrix tables. You can select the **Add** button within a matrix (Potential Loss, Averted loss, and Recovery) to add the items one at a time. By default, the data entry field is blank except the data entry type. Upon saving, the system refreshes the applicable Loss and Recovery Item list records to display the revised information. The system retains a history of changes to each item that you can access using the **History** button. The Add functionality is user role-based and only those users with appropriate access rights can utilize this functionality. Refer to Table 3 of this document for a description of roles and privileges.

**Edit Button**

The system allows you to edit the loss and recovery line item information displayed in each of the matrix tables. You can select the check boxes provided in each row within a matrix and click the **Edit** button to edit those items. You can edit one item at a time. When you select **Edit**, the information pertaining to each selected record is loaded into the Loss and Recovery Data Entry section for editing in a pop-up. Upon saving, the system refreshes the applicable Loss and Recovery Item list records, displays the revised information, and closes the pop-up. The system retains a
Navigating Data Tabs  
Chapter 5—Investigating Cases

history of changes to each item that you can access by the History link. User roles for the Edit functionality are the same as for the Add functionality.

When editing loss and recovery data items, you cannot change the data entry type for the record you are editing. If you select records for editing and then click the Reset button without saving, the system clears the Loss and Recovery Data Entry area and applies no changes.

History Button
The system provides the History button for each type of loss or recovery matrix. When selected, the system displays a pop-up window containing the current versions of all records displayed in the current matrix and any previously edited versions that may exist of each record. Additionally, the system displays any deleted records and any previous versions of those deleted records. For each line item that has been edited or deleted, the system displays each loss and recovery item in an order reflecting the most current version of the record followed by previous, inactive versions of that record. (Refer to Table 23 for descriptions of the data displayed for each matrix in the History pop-up window.)

For example, if a Potential Loss record was edited to change the loss amount from USD 100 to USD 1000, you would see an active record showing the amount as USD 1000 (along with the date, time and user who made the change) followed by a row displaying the original, now inactive, version of the record showing the originally entered amount of USD 100. The History functionality is user role-based and only those users with appropriate access rights can utilize this functionality. Refer to Table 3 of this document for a description of roles and privileges.

Figure 55. Loss and Recovery History pop-up
Table 23 provides descriptions of the columns that display for each of the matrices in the Loss and Recovery History pop-up window.

Table 23. Display of History Data for Each Matrix

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
<th>Loss and Recovery Items Matrices</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>A unique identifier associated with the loss and recovery item record.</td>
<td>Potential Loss</td>
</tr>
<tr>
<td>Status</td>
<td>The status of the loss and recovery item record.</td>
<td>X</td>
</tr>
<tr>
<td>Date</td>
<td>Date on which this loss or recovery item was incurred.</td>
<td>X</td>
</tr>
<tr>
<td>Amount</td>
<td>The respective amount for the loss and recovery item record.</td>
<td>X</td>
</tr>
<tr>
<td>GL Account</td>
<td>The general ledger account to which this loss or recovery item is associated.</td>
<td>X</td>
</tr>
<tr>
<td>Cost Center</td>
<td>The cost center to which this loss or recovery item is associated.</td>
<td>X</td>
</tr>
<tr>
<td>Loss Averted Type</td>
<td>The type of averted loss entry represented by this record, if one was specified.</td>
<td>X</td>
</tr>
</tbody>
</table>

120 Enterprise Case Management User Guide
Navigating Data Tabs
Chapter 5—Investigating Cases

Remove Button
Each matrix is provided with an individual Remove button. Using this you can remove information pertaining to that record. The system then prompts you to confirm the action taken. If you confirm that you want to remove information, the system refreshes the screen to reflect these changes in the summary data section and in the item list matrices.

Note: The remove functionality is user role-based and only users with appropriate access rights can use the functionality. User roles for the remove functionality are the same as for the Add functionality.

Export Loss and Recovery Items to Excel
The system also enables you to export each of the matrices individually as a separate Excel sheet by clicking the Excel icon located in the header for each of the Potential Loss, Averted Loss, and Recovery matrices.

Note: Oracle does not currently support exporting grid data to formats other than Excel.

Loss and Recovery Items Matrices
Table 24 provides descriptions of the columns for each Loss and Recovery Items matrix.

Table 24. Loss and Recovery Items Matrices

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
<th>Potential Loss</th>
<th>Averted Loss</th>
<th>Recovery</th>
</tr>
</thead>
<tbody>
<tr>
<td>Loss Payee</td>
<td>The payee identified for the loss amount represented by this record, if one was specified.</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Entered By</td>
<td>The user who entered this record.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Entered Date</td>
<td>The system date and time on which this record was entered or edited.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Description</td>
<td>Any descriptive comment that was entered about this record.</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

Table 23. Display of History Data for Each Matrix

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
<th>Loss and Recovery Items Matrices</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>Date on which this loss or recovery item was incurred.</td>
<td>Potential Loss</td>
</tr>
<tr>
<td>Amount</td>
<td>The respective amount of the loss or recovery item. Please note that the system shall consider the currency value entered to be in base currency only</td>
<td>X</td>
</tr>
<tr>
<td>GL Account</td>
<td>The general ledger account to which this individual loss or recovery item is associated.</td>
<td>X</td>
</tr>
<tr>
<td>Cost Center</td>
<td>The cost center to which this individual loss or recovery item is associated.</td>
<td>X</td>
</tr>
<tr>
<td>Loss Payee</td>
<td>The payee identified for the loss amount represented by this record, if one was specified.</td>
<td>X</td>
</tr>
<tr>
<td>Loss Averted Type</td>
<td>Specifies the type of averted loss entry represented by this record, if one was specified.</td>
<td>X</td>
</tr>
<tr>
<td>Entered By</td>
<td>Reflects the User who entered this record.</td>
<td>X</td>
</tr>
</tbody>
</table>
Navigating Data Tabs
Chapter 5—Investigating Cases

Loss and Recovery Data Entry

The Loss and Recovery Data Entry pop-up displays when you click the Add/Edit button and allow you to enter individual financial loss and recovery data items. Itemized data entry permits you to enter the types of information related to the fraudulent activities as listed in Table 25.

- **Action Buttons:** This area contains the following action buttons:
  - **Save:** When clicked, refreshes the Current Loss and Recovery area in the Financials tab to display the current information and updates the Last Update and By fields.
  - **Reset:** When clicked, clears the Loss and Recovery Data Entry fields back to original values and no changes are applied.
  - **Cancel:** When clicked, displays the unsaved data warning message with OK and Cancel button. Based on the selection of the buttons, it closes either the pop-up window or stay in the same pop-up window.

- **Data Entry Fields:** This area displays the relevant fields along with the specific formats for data entry.

Table 25 lists the descriptions for each of these fields for the Loss and Recovery Data Entry area.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Data Entry Type</strong></td>
<td>Pre-populated as per the data entry type selected (for both add/edit), that is, Potential Loss, Averted Loss, Recovery. This is a non-editable field.</td>
</tr>
<tr>
<td><strong>Date</strong></td>
<td>Date on which this loss or recovery item was incurred.</td>
</tr>
<tr>
<td><strong>Amount</strong></td>
<td>The respective amount of the loss or recovery record. Note that the system accepts values in base currency only. You must enter the amount in the correct base currency format.</td>
</tr>
<tr>
<td><strong>GL Account</strong></td>
<td>The general ledger account to which this loss or recovery item is associated. This data item associates this GL account to the current item being entered only and not to the overall alert. This field provides you the option to associate a different GL account to an individual item than might be appropriate for the entire alert.</td>
</tr>
</tbody>
</table>
Table 25. Loss and Recovery Data Entry Fields (Continued)

<table>
<thead>
<tr>
<th>Field (Continued)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost Center</td>
<td>Cost center to which this loss or recovery item should be associated. This field associates this cost center to the current item being entered only and not the overall alert, appropriate for the entire alert. It provides you the option to associate a different cost center to an individual item than might be appropriate for the entire alert. This drop-down list is populated with available cost centers as defined by your firm. <strong>Note:</strong> If you require additional values, contact your System Administrator.</td>
</tr>
<tr>
<td>Loss Item Charge Off Date (if applicable)</td>
<td>The date on which this item was charged off, if the individual item was charged off.</td>
</tr>
<tr>
<td>Loss Averted Type (if applicable)</td>
<td>Drop-down list that specifies the type of averted loss entry represented by this record. The specification of Averted Loss Types is optionally provided by your firm. If no averted loss Types have been defined, then this drop-down will provide no entries for selection.</td>
</tr>
<tr>
<td>Loss Payee (if applicable)</td>
<td>Text field that allows for specification of a payee identified for the loss amount represented by this record.</td>
</tr>
<tr>
<td>Description</td>
<td>Text field that allows for entry of descriptive comments regarding the current item being entered in the row.</td>
</tr>
</tbody>
</table>
Acting on Cases

During analysis of a case, you may take various actions, such as, add comments and attachments to a case to document the analysis and disposition of the case. Some actions represent definitive progress in analysis and may therefore update the status of the case.

This chapter provides information about case actions and the available actions:

- About Case Actions
- About the Case Actions Pop-up
- Assigning a Case
- Exporting a Case
- Emailing a Case
- Printing Details
- Printing Summary
- Printing Comments
- Resolutions for a Case
- Reopening a Case
- Reviewing a Case
- Escalating a Case
- Monitoring a Case
- Setting Due Date for a Case
- Adding Comments to a Case
- Adding and Removing Attachments
- Exporting the Report Details to Excel
- Implicit Actions

About Case Actions

Your user role, combined with the type or subtype of a case and the existing case status you are investigating, determine the actions that Enterprise Case Management displays for a particular case. Individual actions display in action categories. Action categories display horizontally above the case context in the Case Details tab and above the search bar in the Case Search & List page. Action categories represent logical groupings of individual actions, which have similarities, either in the line of investigation or in the resulting status of the action.

Usually, you take one or more actions on a case depending upon where you are in your investigative process. These actions display in a pop-up on click of respective action category buttons.

Enterprise Case Management enables you to take multiple actions simultaneously, whether you apply them to a single case or to a batch of cases. For example, you can simultaneously reassign a case, add comments to the case, add an attachment to the case, email the case to the new owner, and export the details of that case.
While taking actions on a batch of cases, the action pop-ups provide the intersection of the common actions available for all the cases. You cannot take some actions simultaneously. For example, you cannot reassign and close a case simultaneously.

In addition, the actions pop-up validates the actions initiated by you. The validation checks are to ensure that comments are entered when an action requires a comment, reassignment has occurred if the action requires reassignment, and a due date is entered if a due date is required. These validations are enforced through warning messages informing you of any missing information at the time of saving. Additionally, if an action requires a comment but you have not provided a comment, appropriate messages display at the time you perform that action.

In addition, some actions can be configured to automatically assign a due date.

Enterprise Case Management’s supervisor approval feature enables you to propose the closing of a case based on necessary approvals.

**Note:** If you select one or more cases from the Case List and click an Action button, the system will lock the selected cases and they will not be available for action by other users. If another user attempts to access the same case (either by selecting the case and taking an action or by navigating to the Case Details) they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).

**About the Case Actions Pop-up**

The case actions pop-up provides all the available actions that can be taken on a case or a group of cases. During the analysis, you can perform various actions on the cases, add comments and attachments. Some actions represent definitive progress in analysis and therefore, update the status of the case.

**Action Categories**

You can navigate to the case actions pop-up by clicking the action categories displayed above the case context and above the search bar in Case Details and Search & List page, respectively. The pop-ups display the fields based on the selected action category. You can perform Comments, Attachments, Setting Due Date, Assign To, and Reassign Owner actions along with other actions in each action category.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*
Acting on Cases
Chapter 5—Investigating Cases

Table 26 refers the list of available action categories and the associated actions in their pop-ups.

**Table 26. Action Categories and Associated Fields**

<table>
<thead>
<tr>
<th>Action Category</th>
<th>Selection Type</th>
<th>Controls shown on the pop-up</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assignment</td>
<td>Multi-select</td>
<td>X               X     X     X   X</td>
</tr>
<tr>
<td>Escalate</td>
<td>Single select</td>
<td>X               X     X     X     X</td>
</tr>
<tr>
<td>Resolution</td>
<td>Single select</td>
<td>X               X     X     X     X</td>
</tr>
<tr>
<td>Review</td>
<td>Multi-select</td>
<td>X               X     X     X     X</td>
</tr>
<tr>
<td>Monitor</td>
<td>Single select</td>
<td>X               X     X     X     X</td>
</tr>
<tr>
<td>Email</td>
<td>Single select</td>
<td>X               X     X     X     X</td>
</tr>
<tr>
<td>Export</td>
<td>Single select</td>
<td>X               X     X     X     X</td>
</tr>
<tr>
<td>Print</td>
<td>Single select</td>
<td>X               X     X     X     X</td>
</tr>
<tr>
<td>Reopen</td>
<td>Single select</td>
<td>X               X               X</td>
</tr>
<tr>
<td>Due Date</td>
<td>Single select</td>
<td>X               X               X</td>
</tr>
<tr>
<td>Evidence</td>
<td>Multi select</td>
<td>X               X</td>
</tr>
</tbody>
</table>

**Actions**

Each of the action categories (refer Table 26, for action category) contains a list of actions. The list of actions to be displayed depends on the user role, the status of case, and case type. Some of these actions need a Comment, Assign To, or Set Due Date as mandatory actions as part of them.

The following describes the action buttons:

- **Research & Review**: Includes a list of actions allowing you to document results of research and analysis performed during the course of your investigation. Some actions in this category may not change the status of the case, but serve to document steps and progress in your investigation.

- **Escalate**: Includes a list of actions allowing you to escalate your case to another user for review and enable the reviewer to take actions based on their review of the escalated case. Escalating a case for review automatically sets a due date by which the escalation needs to be addressed.

- **Monitor**: Includes a list of actions that will set the case into a monitoring status and actions that can remove a case from monitoring status. Actions that set a case to monitor status will result in automatic assignment of a due date that defines the monitoring period.

- **Resolution**: Includes a list of actions that complete your analysis of this case, and, in most instances results in closure of the case.

- **Export**: Includes options for exporting cases.

- **Email**: Includes options to email the case details in HTML format.

- **Assignment**: Includes actions permitting the reassignment of case ownership and the assignment of the case to another user for investigation.
Due Date calendar control: Provides the ability to select a date by which the selected action should complete. Also, allows you to clear a due date if that date is no longer needed.

Reopen: Includes an action to reopen a previously closed case. This action will only be available for cases in a closed status and if your role permits you to reopen a closed case.

Evidence: Includes options to add attachments and make comments to the selected cases from the case list matrix.

Print Summary: Includes option to print a summary version of the case contents, which will include a limited set of the information you see in the UI. Printed summaries can also be saved as PDFs.

Print Details: Includes option to print a detailed version of the case contents, which will include much of the information you see in the UI. Printed details can also be saved as PDFs.

Print Comments: Includes option to print comments case context information that are entered for the alert.

Components of the Case Actions pop-up
The case action pop-up contains the following components:

Select an Action drop-down list: When selected displays a list of one or more actions which can be taken. Actions will be those applicable to the category of actions associated with the selected action icon and will be based upon the current case type, sub type and status.

Due Date calendar selector: Depending upon the action(s) selected in the Select an Action drop-down list, and the current status of the case, the action pop-up may refresh to display an option to set a due date.

Reassign drop-down list: Depending upon the action(s) selected in the Select an Action drop-down list, and the current status of the case, the action pop-up may refresh to display an option to reassign ownership of the case.

Save button: Saves all actions and comments. When you click Save, a confirmation dialog box displays with the OK and Cancel buttons, prompting you to click OK to apply the selected actions and comments.

Save & Attach button: Facilitates addition of an attachment along with the actions for a case. The Save & Attach button is provided in every actions pop-up. Refer to the section Adding an Attachment for more information.

Note: Clicking the Save & Attach button saves the selected actions before it displays the option for adding attachments.

The following fields display for the Save & Attach window:

Choose a file to attach text box with the Browse button: Provides a quick means of entering or selecting the full path and name of the file to be attached. You can enter up to 200 text characters for the file name. You can also browse for the file.

Logical File Name text box: Enables you to enter up to 80 text characters relevant to the file attached to the selected alert. Use this text area to enter a descriptive name for the file attached. This is then used as the display name for the attached file.

Attach File button: Displays a confirmation box and when you confirm the action, attaches a file to the selected alert.

Reset button: Resets the fields in the actions pop-up from the modified value to their previous value.
Acting on Cases
Chapter 5—Investigating Cases

- **Cancel** button: Displays an unsaved data-warning message with the OK and Cancel buttons. Based on the selection of the OK and Cancel buttons; it either closes the pop-up or stay in the same pop-up.

- **Standard Comments** selection box: Provides a quick means of entering comments that are relevant to the analysis and closing of the selected cases. The case type and subtype of the case determines which standard comments display.

- **Comments** text box: Enables you to enter free-form text characters relevant to the analysis and closure of the selected cases. Use this text area if none of the standard comments applies to your action or if you want to include additional information.

  **Note**: Certain actions require comments to be entered before they are saved.

Acting on Single or Multiple Cases

All action categories display on the Case Search & List page and within a Case Details tab. To perform actions in the Case Search & List page, you can select one or more cases from the list page, and click an action category. To perform action in the Case Details tab, you can click an action category. Actions that are performed apply on all selected cases. At any point of time, you can perform actions from only one action category.

While performing actions over multiple cases, on click of an action category, only actions that are applicable on the intersection of selected cases display. When acting on a single case or in case details, the action categories display all actions based on your role and the type and status of the case.

Assigning a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to assign a case or reassign ownership to different users or user groups. If a case’s initial analysis reveals an issue that should be reviewed by another user, you can reassign the case to the most appropriate user or group of users. It is also possible to retain ownership of a case while assigning it to another user to handle part of the investigation.

Cases can be assigned by selecting the Assignment action icon, which opens the Assignment action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields.

  **Note**: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To undertake an Assign To or Reassign Ownership action on a case, follow these steps:

1. From the Case Details tab, select the Assignment action icon from the list of action categories. The Investigation Actions window is displayed

   *Alternatively*, from the Case Search & List page, select one or more cases that need to be reassigned using the check boxes and click the Assignment action category. The Investigation Actions window is displayed

2. The following table lists the parameters available in the Investigation Actions window:
3. Select Assign To or Reassign Ownership action or both from the Select an Action drop-down list.

The Assign To action does not change the ownership of the case, whereas, the Reassign Ownership action changes the ownership of the case. The corresponding Assign To and Reassign Ownership To fields are enabled in the UI.

Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner as per rules defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator.

Note: You need to deselect the Auto Assignment check box to enable the Reassign Ownership To field.

Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under Case Assigner Editor on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in Default Case Owner attribute under the Installation Parameters table.

Before using the Auto Assignment functionality, verify that the Mantas Date has been set, the Mantas Batch is running, and the Case Assignment Rules have been set in the Case Assigner Editor page. For more details on Case Assigner Editor and Default Case Owner settings, refer to Administration Tools User Guide and Configuration Guide respectively.

4. Select a user or appropriate organization in each drop-down list and provide the mandatory comments.

Optional: You can set a due date for the case.

5. If you want to attach a file to the case, you can click the Save and Attach icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.
Click OK. The Save and Attach fields displays to attach the file.

6. If, at step 4, you click Save instead of Save and Attach, a confirmation message displays: Would you like to save these actions?

7. Click OK to save the actions.

Enterprise Case Management records the action, updates the case information, and closes the action pop-up. Your application navigates to the Case Search & List or Details tab with the refreshed information.

At any point of time in the pop-up, if you do not want to undertake the Assignment action, click Cancel on the pop-up window.

Note:

- While performing an Assign To action, if you do not enter value in the Assigned To field and click Save, an error message displays: You have not entered a value in the Assigned To field. Please enter a value in Assigned To field.

- While performing a Reassign Ownership action, if you do not select any value in the Re-assign Ownership To drop-down list and click Save, an error message displays: You are attempting to re-assign. Please select a new owner in the Owner drop-down list.

- The list of users available in Re-assign Ownership To and Assign To drop-down list are based on access privileges to the type of case or cases on which the action is being taken and the eligibility to own a case.

- While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner as per rules defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator.

- You need to deselect the Auto Assignment check box to enable the Reassign Ownership To field. The Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under Case Assigner Editor on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in Default Case Owner attribute under the Installation Parameters table.

Before using the Auto Assignment functionality, verify that the Mantas Date has been set, the Mantas Batch is running, and the Case Assignment Rules have been set in the Case Assigner Editor page. For more details on Case Assigner Editor and Default Case Owner settings, refer to Administration Tools User Guide and Configuration Guide respectively.
Exporting a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to export the case information. This information is written to a file in eXtensible Markup Language (XML) format. XML provides a common method for identifying data so that you can then export it into a third-party application or external system.

You can export cases by selecting the Export action icon, which opens the Export action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields. One or more cases can be grouped together and export and each case is exported in a separate file with the naming convention as Case_<Case ID>.xml

**Note:** If you export cases to XML, Enterprise Case Management sends all case information, including information that does not display in the UI.

Your system administrator configures the location of the file that Enterprise Case Management produces. Contact your system administrator for information about the file use and location.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.

To export a case, follow these steps:

1. From the Case Details tab, select the Export action icon from the list of action categories.

   Alternatively, from the Case Search & List page, select one or more cases you want to export using the check boxes, and click the Export action category.

   The Export action pop-up displays.

   **Optional:** You can select a user or appropriate group of users in Reassign Ownership To or in Assign To drop-down list, provide comments, or set due date for the case.

   **Note:** You cannot add other attachments while performing the Export action.

   Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner as per rules defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator.

   **Note:** You need to deselect the Auto Assignment check box to enable the Reassign Ownership To field.

   Auto Assignment option enables you to automatically assign an owner for a case through pre-defined rules. The pre-defined rules are set under Case Assigner Editor on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in Default Case Owner attribute under the Installation Parameters table. For more details on Case Assigner Editor and Default Case Owner settings, refer to Administration Tools User Guide and Configuration Guide respectively.

2. The following table lists the parameters available in the Investigation Actions window:
3. Click **Save**.

   A confirmation message displays: *Would you like to save these actions?*

4. Click **OK**.

   Enterprise Case Management creates the output file, records the action, updates the case information, and closes the pop-up window. The application navigates you to the Case List or Details tab with the refreshed information based on from where they took the action.

   At any point of time in the pop-up, if you do not want to undertake the Export action, click **Cancel** on the pop-up window.

### Emailing a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to email case attachments in the form of a HyperText Markup Language (HTML) files.

You can send emails by selecting the **Email** action icon, which opens the Email action category pop-up. The pop-up displays all the selected Case IDs along with additional fields. OFSAAI sends a single email with each case as a separate attachment in HTML format as per the selected action.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To email a case, follow these steps:

1. From the Case Details tab, select the **Email** action icon from the list of action categories.

   Alternatively, from the Case Search & List page, select one or more cases that need to be emailed using the check boxes, and click the **Email** action category.

   The Email action pop-up displays.

---

**Table 28. Fields in the Investigation Action window**

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>Select Action</td>
<td>Based on user roles, this field displays the Export case XML action.</td>
</tr>
<tr>
<td>Reassign Ownership To:</td>
<td>Select the user to whom the role has to be reassigned.</td>
</tr>
<tr>
<td>Assign To:</td>
<td>Select the user to whom the role has to be assigned.</td>
</tr>
<tr>
<td>Set Due Date</td>
<td>Select the date from the calendar.</td>
</tr>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>● Select All</td>
</tr>
<tr>
<td></td>
<td>● No action this time - setting to monitor.</td>
</tr>
<tr>
<td>Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>
2. The following table lists the parameters available in the Investigation Actions window:

Table 29. Fields in the Investigation Action window

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>From</td>
<td>This field displays the user’s email address.</td>
</tr>
<tr>
<td>To</td>
<td>This field displays the email address or addresses of the recipients.</td>
</tr>
<tr>
<td>Subject</td>
<td>This field displays the subject regarding the case that you want to email.</td>
</tr>
<tr>
<td>Body</td>
<td>This field displays any additional information regarding the case that you want to email.</td>
</tr>
<tr>
<td>Select Action</td>
<td>Based on user roles, select the required action from the following options available in the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Select All</td>
</tr>
<tr>
<td></td>
<td>- Assigned</td>
</tr>
<tr>
<td></td>
<td>- Reassigned Owner</td>
</tr>
<tr>
<td>Reassign Ownership To</td>
<td>Select the user to whom the role has to be reassigned.</td>
</tr>
<tr>
<td>Assign To</td>
<td>Select the user to whom the role has to be assigned.</td>
</tr>
<tr>
<td>Set Due Date</td>
<td>Select the date from the calendar.</td>
</tr>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Select All</td>
</tr>
<tr>
<td></td>
<td>- No action this time - setting to monitor.</td>
</tr>
<tr>
<td>Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>

3. Type the email address or addresses of the recipients in the To text box. For multiple addresses, separate each address with a semi-colon but without any spaces.

4. In the body of the email, type any additional information regarding the case that you want to email.

   **Optional:** You can select a user or appropriate group of users in Reassign Ownership To or in Assign To drop-down lists, or provide comments or set due date for the case. You cannot add other attachments while performing the email action.

   **Alternatively:** While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner as per rules defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator.

**Note:** You need to deselect the Auto Assignment check box to enable the Reassign Ownership To field.

Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under Case Assigner Editor on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the
default owner set in Default Case Owner attribute under the Installation Parameters table. For more details on Case Assigner Editor and Default Case Owner settings, refer to Administration Tools User Guide and Configuration Guide respectively.

5. Click Send.

6. Enterprise Case Management sends the email, records the action, updates the case information, and closes the pop-up window. At any point of time in the pop-up, if you do not want to take the email action, click Cancel on the pop-up window.

**Note:** If there are comments which exceeds 4000 characters, the system prints only comments of first 4000 characters.

**Printing Details**

If your role permits, you can print the Case Investigative Report details.

Follow these steps to print the detailed case investigative report in a PDF format:

1. From Case Details page, click **Print Details**.
2. Select the Business tab. Following are the options available:
   - Select All
   - Customer
   - Risk Events
3. Click **Generate PDF**. Save the pdf in your computer.

**Note:** If the narrative for print details and print summary exceeds 4000 characters, the system prints narrative of first 4000 characters.

**Printing Summary**

If your role permits, you can print the summary of a Case Investigative Report. From Case Details page, click **Print Summary** to print the summary of the report in a PDF format.

**Note:** If the narrative for print details exceeds 4000 characters, the system prints narrative of first 4000 characters.

**Printing Comments**

If your role permits, you can print comments that are entered for the case by clicking the **Print Comment** action icon. The **Print Comment** icon in the action bar when selected, prints the case context and the comments entered by the user either from the Evidence tab or entered when taking other actions.

**Note:** If there are comments which exceeds 4000 characters, the system prints only comments of first 4000 characters.

**Resolutions for a Case**

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to take an action to close a case.
You can close cases by selecting the Resolution action icon, which opens the Resolution action category pop-up. The pop-up displays all the selected Case IDs along with additional fields. Enterprise Case Management enables the closure of case both with and without supervisor-level approval.

Supervisor approval provides a dual control or approval process that requires an authorized user (for example, a Supervisor) to approve actions of other users, prior to those actions taking full effect on the case (for example, closing the case). This process also enables users of specified roles to acknowledge approved or rejected changes proposed and to annotate an acknowledgement with comments.

**Note:** When a Resolution action is performed and the case is moved to the Closed status, the existing due date of the case, if present, is cleared by the system.

Follow these steps for taking resolution action:

1. From the Case Details tab, select the Resolution action icon from the list of action categories.
   
   Alternatively, from the Case List page, select one or more cases that need to be closed using the check boxes, and click the Resolution action category.

2. The Resolution action pop-up displays.

3. The following table lists the parameters available in the Investigation Actions window:

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>Select Action</td>
<td>Based on user roles, select the action from the following drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Action Withheld - Close</td>
</tr>
<tr>
<td></td>
<td>- Duplicate Case - Close</td>
</tr>
<tr>
<td></td>
<td>- New Case Opened</td>
</tr>
<tr>
<td>Reassign Ownership To:</td>
<td>Select the user to whom the role has to be reassigned.</td>
</tr>
<tr>
<td>Assign To:</td>
<td>Select the user to whom the role has to be assigned.</td>
</tr>
<tr>
<td>Set Due Date</td>
<td>Select the date from the calendar.</td>
</tr>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Select All</td>
</tr>
<tr>
<td></td>
<td>- No action this time - setting to monitor.</td>
</tr>
<tr>
<td>Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>

4. Click Save.

**Recommending a Case for Close Action**

If you are an Analyst user and perform the resolution action on a non-closed case, the case moves to the Recommend Closure status, where you need to assign to a supervisor for approval. The supervisor can approve or reject the recommendation. If approved, the case is closed and if rejected, the case is pushed back to the old status.
without closing. If you are a Supervisor user and perform the resolution action on a non-closed case, the case is directly closed without requiring additional approval.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

If you are an Analyst user, to recommend a case for closure, follow these steps:

1. From the Case Details tab, select the **Resolution** action icon from the list of action categories.
   Alternatively, from the Case List page, select one or more cases that need to be closed using the check boxes, and click the **Resolution** action category.

   The Resolution action pop-up displays.

2. Select the Closing action you want to perform on the case.

   You can select only one action from the list.

3. Select users from the **Assign To** drop-down list from whom the approval is required.

4. Provide a mandatory comment for resolution action.

   Optional: Set a due date for the case. You cannot perform the Ownership Re-assignment while performing a resolution action.

5. Click the **Save and Attach** icon to attach a file. The message displays: The selected action(s) will be applied on the case(s). Click **OK** to attach documents.

6. Click **OK**.

   The Save and Attach pop-up displays to proceed with attaching the file.

   If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

7. Click **OK**.

   Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected cases to Recommend Closure, and closes the pop-up window. You return to the Case Search & List page or Details tab with the refreshed information based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

If you are a supervisor, to close a case, follow these steps:

1. From the Case Details tab, select the **Resolution** action icon from the list of action categories.
   Alternatively, from the Case Search & List page, select one or more cases that need to be closed using the check boxes, and click the **Resolution** action category.

   The Resolution action pop-up displays.

2. Select the closing action that you want to perform on the case. You can select only one action from the list.

3. Provide mandatory comments for resolution action. You cannot perform the Ownership Re-assignment while performing a resolution action.

4. Click the **Save and Attach** icon to attach a file.

   The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.
5. Click **OK** to save the actions. The **Save and Attach** pop-up displays to proceed with attaching the file.
   If you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?

6. Click **OK**.

   Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected cases to the appropriate close status based on the closing action taken, and closes the pop-up window. You return to the Case Search & List page or Details tab with the refreshed information based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

### Reopening a Case

If you are a Case Supervisor with enabled user role permissions, Enterprise Case Management enables you to reopen closed cases for further investigation.

You can reopen cases by selecting the **Reopen** action icon, which opens the Reopen action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields. In addition, you can group one or more cases and reopen.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop-up window opens: **There are no actions available for the selected cases under this action category.**

To reopen a case, follow these steps:

1. From the Case Details tab for a closed case, select the **Reopen** action icon from the list of action categories.
   Alternatively, from the Case List page, select one or more cases that need to be reopened using the check boxes, and click the **Reopen** action category.

   The Reopen action pop-up displays.

2. The following table lists the parameters available in the Investigation Actions window:

   **Table 31. Fields in the Investigation Action window**

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>Select Action</td>
<td>Based on user roles, this field displays the <strong>Reopen</strong> action.</td>
</tr>
<tr>
<td>Reassign Ownership To</td>
<td>Select the user to whom the role has to be reassigned.</td>
</tr>
<tr>
<td>Assign To:</td>
<td>Select the user to whom the role has to be assigned.</td>
</tr>
<tr>
<td>Set Due Date</td>
<td>Select the date from the calendar.</td>
</tr>
</tbody>
</table>
Acting on Cases
Chapter 5—Investigating Cases

3. In the pop-up window, provide comments.
   
   Optional: You can set a due date for the case.

4. Click the **Save and Attach** icon to attach a file.
   
   The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

5. Click **OK**.
   
   The Save and Attach pop-up displays to proceed with attaching the file.

   If you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?

6. Click **OK**.
   
   Enterprise Case Management records the action, updates the case information, changes the case status to Reopened, and returns you to the Case List page or Details tab based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Reopen action, click **Cancel** on the pop-up window.

### Reviewing a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to take review oriented actions. These actions involve researching information regarding parties and activities involved in the case and reviewing the case with peers as part of case investigation. Actions within this category may or may not result in a change to the case status.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform a research and review oriented action on a case, follow these steps:

1. From the Case Details tab, select the **Review** action icon from the list of action categories.
   
   *Alternatively*, from the Case Search & List page, select one or more cases using the check boxes, and click the **Review** action category.

   The Research & Review action pop-up displays.

2. The following table lists the parameters available in the Investigation Actions window:

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>● Select All</td>
</tr>
<tr>
<td></td>
<td>● No action this time - setting to monitor.</td>
</tr>
<tr>
<td>Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>
3. In the pop-up, select one or more review oriented actions from the **Select an Action** drop-down list.

5. Provide comments.
   
   *Optional:* You can set a due date for the case.

6. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click **OK** to attach documents.

   Click **OK**. The Save and Attach fields displays to attach the file.

7. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: **Would you like to save these actions?**

8. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, and returns you to the Case List page or Details tab based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Research & Review action, click **Cancel** on the pop-up window.

### Escalating a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to take the escalate actions. You should take these actions when the case needs escalation with peers for additional review.

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>Select Action</td>
<td>Based on user roles, select the action from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Account Manager Review Requested - Awaiting Response</td>
</tr>
<tr>
<td></td>
<td>- Customer Information Requested - Awaiting Response</td>
</tr>
<tr>
<td></td>
<td>- Investigated Transactions and Parties</td>
</tr>
<tr>
<td></td>
<td>- Reviewed with Account Manager</td>
</tr>
<tr>
<td></td>
<td>- Reviewed Customer Information</td>
</tr>
<tr>
<td></td>
<td>- Verified against Sanctions List</td>
</tr>
<tr>
<td>Reassign Ownership To:</td>
<td>Select the user to whom the role has to be reassigned.</td>
</tr>
<tr>
<td>Assign To:</td>
<td>Select the user to whom the role has to be assigned.</td>
</tr>
<tr>
<td>Set Due Date</td>
<td>Select the date from the calendar.</td>
</tr>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>- Select All</td>
</tr>
<tr>
<td></td>
<td>- No action this time - setting to monitor.</td>
</tr>
<tr>
<td>Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>
This action category does not involve supervisor level approvals; however, you can use approval if there is a need for the case to escalate to other users for additional review or action. On completion of the review, the user from whom the escalation action was requested can move the case back to the investigation workflow or set to monitor or mark it as appropriate for a File SAR action.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform an Escalate action on a case, follow these steps:

1. From the Case Details tab, select the **Escalate** action icon from the list of action categories.
   
   Alternatively, from the Case List page, select one or more cases that need to be escalated using the check boxes, and click the **Escalate** action category.
   
   The Escalate action pop-up displays.

   If you are an Analyst your only option is to escalate the case for review. If you are a Supervisor user additional actions display allowing you to respond to escalation requests.

2. The following table lists the parameters available in the Investigation Actions window:

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>Select Action</td>
<td>Based on user roles, this field displays the <strong>Escalate for Review</strong> action.</td>
</tr>
<tr>
<td>Reassign Ownership To:</td>
<td>Select the user to whom the role has to be reassigned.</td>
</tr>
<tr>
<td>Assign To:</td>
<td>Select the user to whom the role has to be assigned.</td>
</tr>
<tr>
<td>Set Due Date</td>
<td>Select the date from the calendar.</td>
</tr>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td>Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>

3. Select an action applicable to your role.

4. Provide mandatory comments.

5. Select a user or group of users in the **Assign To** field and set a due date for the case.

   Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner as per rules defined in *Case Assigner Editor* under *Case Management Configuration* settings set by an Oracle Administrator.

   **Note:** You need to deselect the Auto Assignment check box to enable the **Reassign Ownership To** field.
Auto Assignment option enables you to automatically assign an owner for a case through pre-defined rules. The pre-defined rules are set under Case Assigner Editor on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in Default Case Owner attribute under the Installation Parameters table. For more details on Case Assigner Editor and Default Case Owner settings, refer to Administration Tools User Guide and Configuration Guide respectively.

**Note:** Deselect the Auto Assignment check box to enable the Reassign Ownership To field.

6. If you want to attach a file to the case, you can click the Save and Attach icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

   Click OK. The Save and Attach fields display to attach the file.

7. If, at step 5, you click Save instead of Save and Attach, a confirmation message displays: Would you like to save these actions?

8. Click OK to save the actions.

   Enterprise Case Management records the action, updates the case information, changes the status as appropriate based on the actions selected, assigns the case back to Analyst (when escalation requested by analyst and Escalation Review Completed-Return to Investigation is the action taken), clears the due date and returns you to the Case List or Details tab based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Escalate action, click Cancel on the pop-up window.
Monitoring a Case

If you are a Case Supervisor, Enterprise Case Management enables you to set the case to a monitoring status for a defined period. These actions should be taken when the cases need to be monitored for some time by the investigating user before any final resolution.

This action category involves an approval process. If you are an analyst you can perform actions to recommend setting the case into a monitoring status or recommend that the monitoring be canceled and the case potentially closed. If you are a supervisor you can approve or reject recommendations for monitoring or alternatively cancel the monitoring for a case currently in a monitoring status.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform a Monitor action on a case, follow these steps:

1. From the Case Details tab, select the **Monitor** action icon from the list of action categories.

   Alternatively, from the Case List & Search page, select one or more cases that you want to monitor using the check boxes, and click the **Monitor** action category.

   The Monitor action pop-up displays.

2. The following table lists the parameters available in the Investigation Actions window:

   **Table 34. Fields in the Investigation Action window**

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>Select Action</td>
<td>This field displays the <strong>Set To Monitor</strong> action.</td>
</tr>
<tr>
<td>Reassign Ownership To:</td>
<td>Select the user to whom the role has to be reassigned.</td>
</tr>
<tr>
<td>Assign To:</td>
<td>Select the user to whom the role has to be assigned.</td>
</tr>
<tr>
<td>Set Due Date</td>
<td>Select the date from the calendar.</td>
</tr>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>● Select All</td>
</tr>
<tr>
<td></td>
<td>● No action this time - setting to monitor.</td>
</tr>
<tr>
<td>Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>

3. Provide mandatory comments.

4. Select a user or group of users in **Assign To** field.

   Based upon the action taken a due date may be automatically set.

5. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click **OK** to attach documents.

   Click **OK**. The Save and Attach fields displays to attach the file.
6. If, at step 6, you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?

7. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, changes the statuses, clears the due date and returns you to the Case List page or Details tab based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the monitor action, click **Cancel** on the pop-up window.
Setting Due Date for a Case

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to set a due date or to clear existing due date on cases. These actions while being performed along with other action categories can also be performed individually through due date action category.

If your system is configured with default due dates for some actions, then that default date will be applied to the case when those actions are taken. When actions having different default due dates are multi-selected and acted upon the case, then the nearest date among all the available due dates is applied as the due date of the case. However, if you manually enter a due date in the Due Date field of the action pop-ups, it will overwrite the default due date configured for the actions.

If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.

To perform a Due Date action on a case, follow these steps:

1. From the Case Details tab, select the Due Date action icon from the list of action categories. Alternatively, from the Case List page, select one or more cases, and click the Due Date action category. The Due Date action pop-up displays.

2. The following table lists the parameters available in the Investigation Actions window:

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>Select Action</td>
<td>Based on user roles, this field displays the Set Due Date action.</td>
</tr>
<tr>
<td>Reassign Ownership To</td>
<td>Select the user to whom the role has to be reassigned.</td>
</tr>
<tr>
<td>Assign To</td>
<td>Select the user to whom the role has to be assigned.</td>
</tr>
<tr>
<td>Set Due Date</td>
<td>Select the date from the calendar.</td>
</tr>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>● Select All</td>
</tr>
<tr>
<td></td>
<td>● No action this time - setting to monitor.</td>
</tr>
<tr>
<td>Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>

3. In the pop-up, select Set Due Date, if a due date has to be set or Clear Due Date, if existing due date to be cleared, based on the need from the Select an Action drop-down list.

4. Provide mandatory comments.

Optional: You can set a due date for the case. Select a user or group of users in Assign To or in Reassign Ownership To fields.
Alternatively: While performing actions on cases and while creating manual cases, a Case Analyst I, Case Analyst II, or Case Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner as per rules defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator.

**Note:** You need to deselect the Auto Assignment check box to enable the Reassign Ownership To field.

Auto Assignment option enables you to automatically assign an owner for a case through pre-defined rules. The pre-defined rules are set under Case Assigner Editor on the parameters such as Case Type, Status and so on. If the system is unable to find an owner based on the rules defined, then the case will be auto assigned to the default owner set in Default Case Owner attribute under the Installation Parameters table. For more details on Case Assigner Editor and Default Case Owner settings, refer to Administration Tools User Guide and Configuration Guide respectively.

5. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

   **Click OK.** The Save and Attach fields displays to attach the file.

6. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: Would you like to save these actions?

   **Click OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, sets a new due date or clears the existing due dates, and returns you to the refreshed Case List page or Details tab based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Due Date action, click **Cancel** on the pop-up window.

**Adding Comments to a Case**

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to add comments to the selected cases through the Evidence tab, exclusive of any other actions.

When you save comments to a case, the status of that case does not change as a result of those comments. However, the Comment action is reflected in the audit of a case.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: **There are no actions available for the selected cases under this action category.**

To add a comment to the case, follow these steps:

1. From the Case Details tab, navigate to the Evidence tab.
2. Select the **Add** icon in the Add Comments section.
   
   A pop-up opens that support both free text comments and standard comments.
3. Provide a free text comments or a standard comment.
   
   The standard comments are based on the current case type(s) and subtypes. You can select as many comments from the **Standard Comments** selection box as appropriate.
4. Save the comment.
Enterprise Case Management records the action, updates the case information, and displays the added comments in the comments history of the Evidence tab.

Alternatively, you can also add comments from the Case Search & List page. Refer to the section *Additional Information and Case Comments* for more information.
Adding and Removing Attachments

If you are a Case Analyst I, Case Analyst II, or Case Supervisor, Enterprise Case Management enables you to add or remove attachments to the selected cases through the Evidence tab.

Adding an Attachment

You can add attachments to selected cases in, exclusive of any other actions or as a part of any other action. Adding an attachment to a case enables you to attach relevant documents to the case. You might want to add information in order to make a decision about the case.

When you attach documents to a case, the status of that case does not change as a result of those attachments. However, the attachment action is reflected in audit trail of a case. The formats for attachments are deployment configurable.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To add an attachment to the case, follow these steps:

1. From the Case Details tab, navigate to the Evidence tab, and click the **Add** button in the Attachments matrix. Alternatively, select one or more actions from any action category pop-up from the Case List or Details tab. Enter all mandatory values, and click the **Save & Attach** button.

   The confirmation dialog box displays with the **OK** button.

2. The following table lists the parameters available in the Add Documents and Comments window:

   **Table 36. Fields in the Add Documents and Comments window**

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected Cases</td>
<td>This field displays the selected cases.</td>
</tr>
<tr>
<td>Select Action</td>
<td>Based on user roles, this field displays the <strong>Add Attachments or Add Comments</strong> action.</td>
</tr>
<tr>
<td>Logical File Name</td>
<td>Enter the logical file name of the file being attached.</td>
</tr>
<tr>
<td>Choose A File</td>
<td>Browse and select one or more files for the case in the <strong>Choose a File to Attach</strong> text box. This field is optional. If provided, the logical file name is displayed in the audit entries, else the physical file name is displayed.</td>
</tr>
<tr>
<td>Standard Comments</td>
<td>Select the following options from the drop-down list:</td>
</tr>
<tr>
<td></td>
<td>● Select All</td>
</tr>
<tr>
<td></td>
<td>● No action this time - setting to monitor.</td>
</tr>
<tr>
<td>Attachment Comments</td>
<td>Provide your comments in the text box.</td>
</tr>
</tbody>
</table>

3. Click the **Attach File** button.

   The confirmation dialog box displays the following message: *Add Operation Successful.*

   Enterprise Case Management then attaches the file to the selected case.
4. Click **OK**.

   The application saves the attachment against the case and creates the respective audit entries.

   You can add one or more attachments to the case at a time, and provide comments to all the attached documents. The attached document is accessible from the Audit tab against the respective entry.

   Enterprise Case Management records the action, updates the case information, and displays the attachment in the attachment history. Any comment added while taking the attachment action will be recorded on Audit tab.

**Removing an Attachment**

When you remove documents from a case, the status of that case does not change because of the removals. However, the removal action reflects in the audit trail of a case.

To remove an attachment from a case, follow these steps:

1. From the Case Details tab, navigate to the Evidence tab, and click the **Attachment** icon in the Attachment column of Attachments matrix.

   The Attachment List matrix pop-up displays.

2. Select the check box next to each attachment that you want to remove.

3. Enter any additional comments you have regarding the removal of the attachment in the **Comments** text box.

4. Click the **Remove** button.

   The confirmation dialog box displays.

5. Click **OK**.

   This removes the attachments from the case and creates the respective audit entries.

   You can remove one or more attachments from the case by selecting multiple check boxes from the list of Attachment matrix, and provide comments to all the removed attachments.

   If you do not want to remove the selected attachments, click **Cancel**. You return to the Attachment List pop-up window.

**Exporting the Report Details to Excel**

The Case Search and List page allows you to export the report list into an Excel template.

To export the report details into an Excel template, follow these steps:

1. Navigate to the Case Search and List page.

2. Click **Export to Excel**. The Export Properties Window is displayed.

3. The following table lists the parameters available in the Export window:

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select Form Data/Grid Data</td>
<td>Select Form Data/Grid Data as <strong>Grid Data</strong>.</td>
</tr>
<tr>
<td>Include Mapper Information</td>
<td>Set the checkbox if this information is required.</td>
</tr>
</tbody>
</table>
4. Click **Export** in the Export Properties dialog box. When processing is complete, the data is displayed in an Internet Explorer window with a dialog box.

5. Click **Save** from the dialog box. The Save As dialog box is displayed.

6. Select a directory location where you want to save the file.

7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.

8. Click **Save**. The application saves your file to the specified location.

### Implicit Actions

Apart from actions that a user performs, there are actions that the system implicitly performs. The following are the implicit action:

- **Viewed by Owner:** The system records this action as a system action on a case, which has its ownership assigned to an authorized user, and that user navigates to the Details tab of the case for the first time. The action is recorded even though the user does not perform any action on the case.

  If your firm has configured your implementation for case inheritance and the case is in the New or Reopened status, you will become the owner of the case based on the following conditions:

  - The case is currently owned by an organization of which you are a member
  - You have eligibility to own the case
  - You navigate to the Case Details for the case

  The system assigns you ownership of the case along with recording the Viewed by Owner action.

  When a user belonging to a pool which owns a case, either takes action from the List page or visits the case details, the ownership transfers to the user. Case Inheritance is a configurable parameter where it's functionality can be enabled or disabled. If the user reassigns the case to a group from the Case Details page, the ownership is transferred to the group and is not immediately shift back to the user. Thus, inheritance remains deferred till a user visits the case details or takes an action from the List page.

  **Note:** Closed cases owned by an individual user are not subject to case inheritance.

- **Viewed by Assignee:** The system records this action on a case, which has been assigned to an authorized user, and that user navigates to the Details tab of the case for the first time. The action is recorded even though the user does not perform any action on the case.

<table>
<thead>
<tr>
<th>Fields</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Include Search Information</td>
<td>Set the checkbox if this information is required.</td>
</tr>
<tr>
<td>Document Type</td>
<td>Set Document Type as Excel.</td>
</tr>
<tr>
<td>Template</td>
<td>Set the Template as General Excel Template.</td>
</tr>
<tr>
<td>Display Form Name</td>
<td>Select Yes or No.</td>
</tr>
</tbody>
</table>

4. Click **Export** in the Export Properties dialog box.
- **Regulatory Report Action Updates:** The system will record case audit entries for actions which are taken on a report in Regulatory Reporting where the case is the triggering case for the report.
Creating New Cases

Cases in Enterprise Case Management can be created by users manually entering new case information or can be the result of promotion of alerts to a case (dependent upon implementation of the Behavior Detection). To manually create a new case in Enterprise Case Management, navigate to the Create Case workflow by selecting the Create Cases submenu option from the Investigations menu.

**Note**: You cannot create new KYC cases through Create Cases submenu.

![Figure 56. Creating New Cases](image)

You are navigated to the Create New Case page where you can define attributes of the case to be created. The system automatically generates a distinct case identifier to be used for the new case. This identifier is not editable.

Table 38 describes the fields that can be used to define your new case. Fields that are mandatory are marked with a red asterisk (*) on the UI. In order to successfully create a case, you are required to enter values in the mandatory fields.

<table>
<thead>
<tr>
<th>Fields List</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case ID</td>
<td>Enterprise Case Management generated unique identifier for the case. This field is not editable.</td>
</tr>
<tr>
<td>Title</td>
<td>Title name of the case. This is a mandatory field.</td>
</tr>
<tr>
<td>Type</td>
<td>Classifies the type of case being created (for example, AML, Fraud). The types that is available in the drop-down list are based upon your firm's configuration as well as user privileges. This is a mandatory field.</td>
</tr>
<tr>
<td>Subtype</td>
<td>Classifies the subtype of the type of case being created (for example, Employee Fraud). The combination of case type and subtype selected will affect the investigation workflow and actions available for the case. The subtypes that is available in the drop-down list are based upon your firm's configuration as well as user privileges. This is a mandatory field.</td>
</tr>
</tbody>
</table>
Creating New Cases
Chapter 5—Investigating Cases

To create new cases, follow these steps:

1. From the Investigations menu, select the Create Cases option.
   
   The Create Cases page displays.

2. Enter the desired information in the fields.
   
   **Note:** Always specify values for fields marked as required.

3. Click the **Save** icon to save the information, and then click **OK** on the confirmation message.

### Table 38. New Case Creation Components (Continued)

<table>
<thead>
<tr>
<th>Fields List</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subclass 1</td>
<td>Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm’s configuration.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm’s configuration.</td>
</tr>
<tr>
<td>Customer ID</td>
<td>This field is editable when the user selects KYC as the case type. This field allows users to search for existing customers and then create case manually. For more information, refer Customer ID Look Up.</td>
</tr>
<tr>
<td>Risk Score</td>
<td>This field is editable when the user selects KYC as the case type.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Defines the business jurisdiction to be assigned to the case. Jurisdictions can be used to affect access to the case by users. This is a mandatory field.</td>
</tr>
<tr>
<td>Domain</td>
<td>Defines the business domain to be assigned to the case. Business domains can be used to affect access to the case by users. This is a mandatory field.</td>
</tr>
<tr>
<td>Auto Assignment</td>
<td>Select this checkbox to automate the assignment of ownership of the new case. Selecting this check box will disable the Owner field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the case.</td>
</tr>
<tr>
<td>Owner</td>
<td>User who is the owner of the new case. This is a mandatory field.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>User to whom the case is assigned for investigating and taking actions on the case. Can be different than the owner of the case or can be the same user.</td>
</tr>
<tr>
<td>Confidential Flag</td>
<td>Indicator of whether or not this case should be considered confidential. Default value is ‘No’.</td>
</tr>
</tbody>
</table>
| Priority    | Indicator of the priority of this case. Default value is ‘Low’.  
   
   **Note:** This is a mandatory field. |
| Document Control Number | Defines the document control number. |
| Status      | System generated status. By default, all newly created cases are created with a status of ‘New’. This field is not editable. |
| Created By  | Captures the identifier of the user creating the case. This field is not editable. |
| Created Date | System generated date corresponding the current date. This field is not editable. |
| Description | Free text field allowing users to describe the case content and details at a high level. |
A message displays: Click OK to continue to the Case Summary for your newly created case. Click Cancel to remain within the Create Case workflow.

4. Click **OK** if you want to navigate to the case summary page of the created case or click **CANCEL** if you want to remain in the new case creation page for further addition of cases.

On clicking the **OK** button, you are navigated to the Case Summary for the newly created case where you can enter additional details and information to the case and take actions on the case.
Investigating KYC Assessments and Cases

Enterprise Case Management enables you to assess the risk associated with a customer by considering different attributes of the customer. The attributes differ based on the customer type. The workflow of KYC enables financial institutions to perform Due Diligence, Enhanced Due Diligence, and continuous monitoring of customers. This chapter explains how to examine and analyze KYC case-related information to determine what action to take in each situation.

This chapter covers the following topics:

- About the KYC Case Workflow
- Navigating KYC Case Detail Page
- Manual KYC Case Creation
- Acting on KYC Cases
- Managing KYC Assessments

About the KYC Case Workflow

This section explains how to find and analyze KYC cases in the workflow that you are authorized to view. The primary components of the KYC case workflow discussed in this section include the following pages:

- **Home page**: Enables you to view your notifications and priority KYC cases. You can also view the charts based on your role and reports configured for display. Refer to the section Home Page for more information on the components of the home page.

- **KYC Search & Case List page**: Enables you to set criteria to retrieve KYC cases, the results of which display on the KYC Case List below the Search bar. The search can be performed through pre-defined views, simple search and advanced search criteria. You can also search for a case by a Case ID.

  **Note**: In both Simple and Advanced Searches, search by Case ID and search by other fields are mutually exclusive. If you attempt to search by a combination of Case ID and other filters, the search results display only based on the Case ID and ignores the other criteria.

  The List matrix displays a list of KYC cases that meet the criteria specified on the KYC Case Search bar. Clicking the **Case ID** link for any case in the list page displays the KYC Case Details page. The search results are displayed using a default sort criteria in the order of Priority in descending order, Due Date (if defined) in ascending order, Create Date of the case in descending order and Case ID in ascending order.

- **KYC Assessments**: Enables you to view the list of all customers whose risk has been assessed as well as assessments which have been promoted to KYC cases. It also enables you to view the customer details whose risk was not assessed because of old data. Refer to section Managing KYC Assessments, for more information on how to view assessment lists.
About the KYC Case Workflow
Chapter 6—Investigating KYC Cases

Accessing the Investigation Workflow

You can access the Investigation workflow using the primary level of navigation menu, which is located at the top of the page and is visible from all pages of the workflow. Click the **Cases - KYC** submenu option under the Investigations primary level of navigation menu. The KYC Search & Case List page displays.

Alternately from the Home page, you can access the KYC Search & Case List page by clicking the **Case List** button in the priority KYC cases matrix. Based on your role, either the Home page or Case Search & List page displays after you have logged into the system. You can click on the **Home** primary level of navigation menu to navigate to the Home page.

Home Page

The Home page provides visibility and quick access to a list of high priority KYC cases that may require more immediate attention. In addition, the Home page displays notifications of activity on cases of interest to you. The Home page may also display graphical summaries of your current workload. You can navigate to the Home page by selecting Home from the primary level of navigation menu. Based on the access permissions of your role, the Home page may also display as the default page after you have logged into the system.

![Home Page - KYC Cases](image)

Figure 57. Home Page - KYC Cases

Refer to section **User Privileges and Security within Enterprise Case Management** for information on Enterprise Case Management access privileges.
Components of Home Page

The Home page consists of the Notification section, Report section, and Priority KYC Cases Matrix.

Notification

The Notification section displays the notification of the following category:

- **ID:** Displays the Identifier of the item for which you have received this notification (for example, Case ID)
- **Type:** Displays the type of item for which you have received this notification (for example, Case)
- **Category:** The type of activity that has triggered this notification (for example, Assignment)
- **Created Date:** Date and time this notification message was created

Double-click a notification to view additional detailed information about the notification in a pop up:

- **Due Date:** Displays the actual due date that is nearing or has been exceeded for an entity
- **Status:** Displays the current status of the selected entity (for example, Investigation)
- **Assigned To:** Displays the name of the user role to whom the entity is assigned.
- **Action Taken:** Displays the name of the action taken on the entity (for example, Assigned)
- **Taken By:** Displays the name of the user role who performed an action on the entity.

You can select the check box against each notification and click the **Remove** button to delete the notification from your list.

The most recent notifications display first. If there are more notifications than will fit on the initial page, you have the option to navigate to the additional notifications using page controls. Notifications will not remain visible indefinitely. By default, notifications are configured to appear for five days after they are initially created except under the following circumstances:

- You delete the notification
- You view the case for which the notification of assignment or reassignment was received on action taken
- Or, the due date has been extended on the case for which the notification of nearly due or overdue was received

  **Note:** The display notification is configurable. Contact your system administrator to modify the default.

Reports

Displays reports are based on the role and reports configured for your firm’s installation. Contact your system administrator for more information regarding what reports may be available. Case by status which is embedded in HOME page should display all the cases which is coming under the entitlements structure of the owner who logged in. If your firm has implemented Behavior Detection, the Reports section may also contain charts concerning alerts owned by you.

Priority Cases Matrix

Displays only active KYC cases, that is, those cases in a non-closed status. By default, the system displays high priority cases then medium then low. The cases, and the order in which they are to displayed, are based on the following ordering strategies:

- **Priority:** Displayed in descending order of priority - High, Medium, and Low
About the KYC Case Workflow
Chapter 6—Investigating KYC Cases

- **Risk Score**: Displayed in descending order of risk score.
- **Due Date**: Displayed in ascending order of due date.
- **Create Date**: Displayed in descending order of KYC case created date.
- **Case ID**: Displayed in descending order of Case ID

You can click the Case List to navigate to the KYC Search & Case List page.

**KYC Case Search & List Page**

The KYC Search & Case List page enables you to filter the cases that you want to view and analyze on the KYC Case List section. You can navigate to the KYC Search & Case List page by selecting the **Cases - KYC** submenu in the Investigations primary level of navigation at the top of the Masthead area.

From the Home page, you can navigate to the Search & List page by selecting the **Case List** button on the priority list of KYC Cases.

- **KYC Search & Case List Page Components**
- Searching for KYC Cases using Views
- Searching for KYC Cases using Simple or Advanced Search
- Searching for a KYC Case by Case ID

**KYC Search & Case List Page Components**

The KYC Search & Case List Page contains the following components:

- **KYC Case Search Bar**
- **Action Buttons**
- **Views Search**
- **Simple Search**
- **Advanced Search**
About the KYC Case Workflow
Chapter 6—Investigating KYC Cases

Figure 58. KYC Case Search & List

KYC Case Search Bar

The KYC Case Search bar enables you to filter the KYC cases that you want to view and analyze on the KYC Case List matrix. The KYC Case Search bar supports three types of search—Search by Views, Simple Search, and Advanced Search.

By default, the Views search is available with Cases Assigned to Me as the default view selected.

You can also choose to search by filter criteria available in Simple Search and Advanced Search, which displays on clicking the respective buttons.

You can use only one search (Views, Simple Search, or Advanced Search) at a time.

Enterprise Case Management retrieves KYC cases, based upon the following:

- The filter criteria you enter into the Views, Simple Search, or Advanced Search bars.
- Your access control permissions.

Action Buttons

You can perform actions using the Action buttons that is available above the KYC Case Search bar. Theses buttons are visible as per your access permissions. Refer to section Acting on KYC Cases for more details on actions.
Views Search

Views represent pre-populated search queries. Selecting a View for searching allows a single click option for returning a filtered KYC case list based upon the view’s preset search criteria. By default, the Views search is available with **Cases Assigned to Me** as the default view. To search using views simply select the desired view from the list.

![KYC Case Views](image)

**Figure 59. KYC Case Views**

Table 39 list the Views Filter and Sort Criteria for the View Names.

**Table 39. KYC Case Views and Filter**

<table>
<thead>
<tr>
<th>View Name</th>
<th>View Filter and Sort Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>My New Cases</td>
<td>From: Current Date -1 To: Current Date</td>
</tr>
<tr>
<td></td>
<td>Owner: Current user or pool to which the current user belongs</td>
</tr>
<tr>
<td></td>
<td>Status: New</td>
</tr>
<tr>
<td></td>
<td>Sort: By Priority Desc; Case ID Asc</td>
</tr>
<tr>
<td>Cases Assigned to Me</td>
<td>Assigned To: current user or pool to which the current user belongs</td>
</tr>
<tr>
<td></td>
<td>Status: Any status but a closed status</td>
</tr>
<tr>
<td></td>
<td>Sort: By Priority Desc; Create Dt Desc; Case ID Asc</td>
</tr>
<tr>
<td>My Cases</td>
<td>Owner: Current user or pool to which the current user belongs</td>
</tr>
<tr>
<td></td>
<td>Status: Any status but a closed status</td>
</tr>
<tr>
<td></td>
<td>Sort: By Priority Desc; Create Dt Desc; Case ID Asc</td>
</tr>
</tbody>
</table>
About the KYC Case Workflow
Chapter 6—Investigating KYC Cases

Simple Search

Simple search is a search based on a limited set of search fields, which are a combination of drop-down and text fields.

Advanced Search

Advanced search offers the same search fields as provided for a simple search along with an expanded set of additional fields.

Table 39. KYC Case Views and Filter (Continued)

<table>
<thead>
<tr>
<th>View Name</th>
<th>View Filter and Sort Criteria</th>
</tr>
</thead>
</table>
| My Overdue Cases        | Due Date is not null and is <= Current Date  
                          | Owner: Current user or pool to which the current user belongs  
                          | Sort: By Due Date Asc; Case ID Asc |
| My Near Due Cases       | Due Date is not null and is > Current Day and <= (Current Day +4)  
                          | Owner: Current user or pool to which the current user belongs  
                          | Sort: By Due Date Asc; Case ID Asc |
| Accelerated Review Trigger | From: Current Date -1 To: Current Date  
                          | Owner: Current user or pool to which the current user belongs  
                          | Case Source=Accelerated rereview  
                          | Status: Any status but a closed status |

Simple Search

Simple search is a search based on a limited set of search fields, which are a combination of drop-down and text fields.

Advanced Search

Advanced search offers the same search fields as provided for a simple search along with an expanded set of additional fields.

Figure 60. KYC Case Advanced Search

In Simple and Advanced search:

1. The KYC case list can be dynamically populated based on different sets of input criteria or by Case ID.
2. Drop-down lists, text boxes, and multi-select list boxes enable you to filter KYC cases more precisely for analysis.
3. The fields in Simple or Advanced search support selection of multiple values in each drop-down control.
4. When filtering using multiple search fields, the results are filtered based upon matching all criteria specified.
5. Some text fields allow the use of wildcards when searching. The percent sign (%) or (_) is used to denote a wildcard.
6. If you click the **Go** button without selecting any filter criteria, a message displays:

   *No values were entered in the filter criteria. Please enter at least one filter criteria.*
   
   *You must enter data in at least one search field.*

The KYC Case Search bar supports the ability to search across the following types of information:

- KYC Case Information
- KYC Case Search Dates
- Linked Cases
- Case ID Search

**KYC Case Information**

Table 40 provides a list of the case search components that display in the KYC Case Simple or Advanced Search section based on solution sets.

**Table 40. KYC Case Search Components**

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
<th>Simple Search</th>
<th>Advanced Search</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created From</td>
<td>Filters the KYC case list by the From date the KYC case was created.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Created To</td>
<td>Filters the KYC case list by the To date the KYC case was created.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Case Type</td>
<td>Filters the KYC case list by the type of cases that matches the search criteria.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Subtype</td>
<td>Filters the KYC case list by the sub type of cases that matches the search criteria.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>Filters the KYC case list by the type code of the case subclass 1 associated with this case subclass.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Filters the case list by the type code of the case subclass 2 associated with this case subclass.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Customer ID</td>
<td>Filters the KYC case list by customer ID that matches the search criteria. Select the ID radio option and enter the name in the Customer text box. <strong>Note:</strong> You can either search with Customer ID or Customer Name.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Customer Name</td>
<td>Filters the KYC case list by customer name that matches the search criteria. Select the Name radio option and enter the name in the Customer text box. <strong>Note:</strong> You can either search with Customer ID or Customer Name.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Include Interested Party</td>
<td>Select the Include as IP check box to include interested parties associated with the KYC case while filtering KYC case list.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Customer Type</td>
<td>Filters the KYC case list by type of customer namely, Individual, Legal Entity and Correspondent Bank.</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>
### Table 40. KYC Case Search Components (Continued)

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
<th>Simple Search</th>
<th>Advance Search</th>
</tr>
</thead>
</table>
| Case Source          | Filters the KYC case list by the case source. This field lists the following seven types of case sources:  
  - Accelerated Rereview - Alerts  
  - Correlation Promotion  
  - Deployment Initiation  
  - Default Review  
  - Manual  
  - Promotion from Alert  
  - Periodic Review  
  *Note: Correlation Promotion, Manual and Promotion from Alert case source will not return any data as it is not applicable for KYC Case classification.* |               | X             |
| Risk Score           | Filters the KYC case list by risk score of a KYC case. Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the score you enter in the text box. | X             | X             |
| Priority             | Filters the KYC case list by the priority of the current case that matches the search criteria.                                                                                                               | X             | X             |
| Status               | Filters the KYC case list by the current status of case, relative to its analysis and closure in the multi-select list box.                                                                                     | X             | X             |
| Linked Cases         | Filters the KYC case list by count of cases that are linked to the case. Enterprise Case Management retrieves cases, which are either greater than or equal to, equal to, or less than or equal to the count you enter in the text box. |               | X             |
| Owner                | Filters the case list by a user or group of users who own the case. This multi-select list box contains users or groups of users within the Organization.                                                         | X             | X             |
| Assigned To          | Filters the case list by a user or group of users to whom a case is assigned. This multi-select list box contains users or groups of users within the Organization.                                                | X             | X             |
| Due Date <=          | Filters the KYC case list by past and up to the date you enter by which an action should be taken on the case.                                                                                                   | X             | X             |
| Resolution           | Filters the KYC case list by one or more selected closing actions that have been taken on the case. If you filter by Resolution, you cannot filter by Last Action and Action.                                    | X             | X             |
| Last Action          | Filters the KYC case list by one or more selected last actions that have been taken on the case. If you filter by Last Action, you cannot filter by Resolution and Action.                                         | X             | X             |
| Action               | Filters the KYC case list by one or more actions that have been taken on the case. If you filter by Action, you cannot filter by Resolution and Last Action.                                                        | X             |               |
| Organization         | Filters the KYC case list by the ID of the organization associated with the owner of a case. This multi-select list box contains only the organizations (and the organizations subordinate to it) to which you have a business association and are authorized to view. |               | X             |
| Jurisdiction         | Filters the KYC case list by the business jurisdiction associated with the case. The multi-select list box contains only the jurisdictions with which you are authorized to view.                                      |               | X             |
### About the KYC Case Workflow

#### Chapter 6—Investigating KYC Cases

**KYC Case Search Dates**

You can specify the time frame in which you want to view cases. When you specify the start (From) and end (To) dates, Enterprise Case Management displays only those cases that are created within the time frame.

**Linked Cases**

The **Linked Cases** drop-down list and text box enables you to select the filter criteria based on the number of cases that are linked to a case. The default Linked Cases option displays as blank. However, you can change the selection to another option in the drop-down lists such as searching with =, >= and <= conditions.

**Case ID Search**

The **Case ID Search** text box enables you to search for information about the cases by typing the Case IDs in the **Case ID** text box. To search for multiple IDs, separate the case IDs with commas. If the cases are found, the Case List page displays information about the cases with the IDs that exactly matches the values you entered.

**Searching for KYC Cases by Views, Simple, and Advanced Search**

You can search cases by any of the following search conditions—Views, Simple, or Advance search.

**Searching for KYC Cases using Views**

To search for KYC cases using Views, follow these steps:

1. Navigate to the KYC Search & Case List Page.
   - The Views search bar displays.
2. Select any value from the **Views** drop-down list.

**Searching for KYC Cases using Simple or Advanced Search**

To search for KYC cases using Simple or Advanced search, follow these steps:

1. Navigate to the Simple or Advanced Search section by clicking the **Simple Search or Advanced Search** button.
2. Specify any or all of the criteria in **Simple/Advanced Search**.
   - **Optional for Advanced Search**: Specify one or more criteria, which is specific to Advanced Search.
   - **Note**: The **Customer Name** field accepts wildcard characters and **Case ID** field accepts comma-separated entries.
3. Click **Go**.

---

### Table 40. KYC Case Search Components (Continued)

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
<th>Simple Search</th>
<th>Advanced Search</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domain</td>
<td>Filters the KYC case list by the business domain associated with a case. The multi-select list box contains only the business domains with which you are authorized to view.</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Search By Case ID</td>
<td>Filters the KYC Case List by the one or more Case IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the cases are found, the KYC Case List page displays information about the cases with the IDs that exactly matches the values you entered.</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

**Domain Filters the KYC case list by the business domain associated with a case. The multi-select list box contains only the business domains with which you are authorized to view.**
If the search returns one or multiple cases, the KYC Case List matrix displays a list of cases that matched the criteria.

If no cases meet the filter criteria, a message displays:

No data met the selected filter criteria. Please enter new filter criteria.

**Note:** Once you click the GO button, you must allow the application time to generate and display the list. Do not click the Go button repeatedly as it can lock the OFSAAI application. You have to log off and log on again to run the application.

**Searching for a KYC Case by Case ID**

To search for a case by Case ID, follow these steps:

1. Navigate to the Simple or Advanced Search section by clicking the Simple Search or Advanced Search button.
2. In the Case ID Search bar, type a Case ID in the Case ID text box.
   
   *Optional:* Enter additional Case IDs separated by commas (for example, CA1200336, CA1200286, CA1200265).
3. Click Go.

   The KYC Case List returns all cases with IDs that match exactly the values you entered in the Case ID text box.

   **Note:** Searches by Case ID and other Simple/Advanced search criteria are mutually exclusive.

**Column Headings**

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the KYC Case List matrix are sortable.

Right click on the column heading to sort the display. A list of sorting menu displays such as Sort Ascending, Sort Descending, Clear Sort, Field Chooser and Transpose. Select the relevant sorting option. Enterprise Case Management refreshes the list matrix and re-sorts the particular column according to the selected option.

**KYC Case List Matrix**

The KYC Case List matrix displays summarized information of cases that you can further investigate or take actions on. When you search using Views, the sort order is based on the view selected. Refer Table 39 for more information on sort criteria for each views.

When you search from Simple or Advanced search, the default sort order is based upon Priority Desc (High, Medium, Low) followed by Due Date Asc and then by Created Date Desc.

By default, the KYC Case List matrix displays 20 cases. To view additional cases returned by search, use the pagination controls to move to additional pages of alerts.

**KYC Case List Components**

The KYC Case List matrix of the KYC Search & Case List page consists of the Case List header and a matrix containing one or more cases and associated data. Each case has a check box and an ID link associated with it.

The components within the Case List matrix are as follows:

- **KYC Case List** header: Contains the number of Cases displayed in the list, the total number of cases returned by the search. Pagination controls within the header allow you to navigate to the additional pages of cases.
About the KYC Case Workflow  
Chapter 6—Investigating KYC Cases

- **List of KYC Cases:** Displays a list of KYC cases based on your search criteria on the KYC Case Search bar. Click the hyperlinked **Case ID** for any case in the list to access the KYC Case Details page. If the selected case is locked, that is, another user has currently accessed the same case, a message displays: *The selected case is locked by another user. Click OK to view the case details page in view mode only or Cancel to return to list page.*

If you select the **OK** button in the dialog box, the application navigates you to the KYC Case Details page in the view mode. In the view mode, you cannot take any action on the case.

The case list header contains a check box, which enables you to select all the check boxes for each row on the page. Selecting the check box again enables you to clear all the check boxes.

The **Expand** image (>>) displays inside the **Case Title** field if the text in the field is more than the column width. On clicking the **Expand** image (>>, the page refreshes the data to display the complete Case Title. After you click the **Expand** image (>>, it displays the **Contract** image (<), which, when clicked, then refreshes the data to display only the abbreviated Case Title.

- **Check Boxes:** Appears at the beginning of each row. Select one or more of these boxes to take action on one or more cases. Select the check box again to clear it.

- **Column Headings:** Labels that display the kind of information in the columns. All column headings in the Case List matrix are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

- **Action Button:** Enables you to select and take action on one or more cases. When an action button is clicked, the application navigates you to the Actions pop up. You can perform action on a single case or on several cases (batch action). Refer to section *About KYC Case Actions* for more information on taking actions on KYC cases.

Before you take action on the selected KYC cases, Enterprise Case Management checks each case to determine if it is locked. If another user locks all the selected cases, a message displays:

*All selected case records are locked by another user. Please try again later.*

If some but not all of the selected cases are locked, a message displays:

*One or more cases are locked by another user. Click OK to continue performing actions for cases, which are not locked.*

If you fail to select at least one check box and click on any action button, a message displays:

*You have not selected any case(s). Please select one or more cases.*

Table 41 provides a list of the columns that display in the KYC Case List matrix.

**Table 41. KYC Case List Components**

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
</table>
| Case ID      | Displays the Case ID number. Also serves as a hyperlink to the KYC Case Details page.  
*Note:* A Case ID can have a prefix as defined in the Case Prefix parameter. For more information on how to set the Case ID format, refer to *Configuration Guide.* |
| Customer ID  | Displays an identifier assigned to a particular customer.                    |
| Customer Name| Displays the name of the customer.                                            |
| Case Type    | Displays the type of the case displayed in the case list matrix. For example, Know Your Customer, AML. |
| Case Subtype | Subtype of the case displayed in the case matrix. For example, Individual, Legal, Correspondent Banks. |
| Risk Score   | Displays the calculated Customer Effective Risk score of a customer.         |
Table 41. KYC Case List Components (Continued)

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Due Date</td>
<td>Date by which an action should be taken on the case. Due Dates that are nearly due display in red font. Due Dates that are due or overdue display in bold red font. The definition of nearly due is a value that is configurable by your firm.</td>
</tr>
<tr>
<td>Priority</td>
<td>Displays the priority given to the case under investigation. For example, High, Low.</td>
</tr>
<tr>
<td>Status</td>
<td>Displays the current state of the case relative to its analysis and closure. A case in New status display in bold text.</td>
</tr>
<tr>
<td>Owner</td>
<td>Displays the Name or ID of an individual or group of users who own the case.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>Displays the name of the user or group of users within the Organization to whom a case is assigned.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Displays the date the case was created.</td>
</tr>
<tr>
<td>Linked Cases</td>
<td>Displays the number of cases linked to the case.</td>
</tr>
</tbody>
</table>

Supplemental Case Information

The Supplemental Information section consists of the KYC Case Supplemental Information and is displayed below the KYC Case List. Select a KYC case from the KYC Case List and click the Expand image or Contract image in the section header to expand or contract the section. By default, this section is in the Contracted mode.

Figure 61. KYC Case Supplemental Information
Table 42 provides a list of fields that display in the Supplemental Case Information section.

### Table 42. KYC Case Supplemental Information Components

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subclass 1</td>
<td>The type code of the case subclass 1 associated with this case subclass.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>The type code of the case subclass 2 associated with this case subclass.</td>
</tr>
<tr>
<td>Organization</td>
<td>Organization or group that owns the cases.</td>
</tr>
<tr>
<td>Case Source</td>
<td>Defines the case source.</td>
</tr>
<tr>
<td>Resolution</td>
<td>Resolution action performed on this case.</td>
</tr>
<tr>
<td>Last Action</td>
<td>Displays the last action recorded on the KYC case.</td>
</tr>
<tr>
<td>Case Description</td>
<td>Displays the case description.</td>
</tr>
<tr>
<td>Case Comment</td>
<td>Quick comment about the case.</td>
</tr>
</tbody>
</table>

On selecting a single KYC case from the KYC Case List, the KYC Supervisor user can provide quick comment to the selected case using the Case Comments section.

The Supplemental Information section display values only if you have clicked on the KYC case row. The section does not display if you only click the check box. The check box should be used only to perform actions from the action categories.

**Note:** When this section is already in expanded mode, clicking on a KYC case from the KYC Case List will display the supplemental information.

### Exporting KYC Case List to Excel/Word

Enterprise Case Management enables you to export data to Microsoft Excel/Word where you can then review and edit the data as necessary. The Excel function exports all records available within a particular matrix or from all matrices of the UI based on the option selected in Export Properties. You can set Document Type as Excel and select either Form Data or Grid Data from the drop-down list options. If you select Form Data, the system will export all the data available in the current page to an excel sheet. If you have selected Grid Data, the system exports only the data of a particular list matrix. For Correlation tab, it is advisable to select form data to view the different matrices at a time.

**Note:** Before taking Excel action, you need to do the setting in your Internet Explorer browser. Open your Internet Explorer. Go to Tools > Internet options > Advanced tab. In Security section, mark the check box for **Do not save encrypted pages to disk** option and click **Apply**. Re-launch the IE browser. The Excel functionality works successfully on MS Excel 2003. However, you can encounter a warning message if your system has MS Excel 2007. This warning message does not prevent you from successfully exporting the selected content.

This Excel functionality is available as follows within the Enterprise Case Management UI:

- **KYC Case List** page: The Excel icon displays in the Case List matrix along with other action categories.
To Export KYC Case List to Excel/Word

To export KYC cases to Excel, follow these steps:

1. Click the **Excel** icon on the KYC Case List or anywhere in the application where it is available.
   
   A pop-up displays with export details.

2. Set Document Type as **Excel/Word** and select Form Data/Grid Data as **Grid Data**.

3. Click the **Export** button.
   
   When processing is complete, the data displays in an IE window with a dialog box.

4. Click **Save** from the dialog box.
   
   The Save As dialog box displays.

5. Select a directory location where you want to save the file.

6. Enter a new name in the **File Name** field or the application automatically generates a name for the file to accept.

7. Click **Save**.
   
   The application saves your file to the specified location.

   *Optional: Open the file in Microsoft Excel/Word to edit as needed.*

8. At any point of time in the pop-up, if you do not want to undertake the Export action, click **Cancel** on the pop-up window.
Navigating KYC Case Detail Page

The KYC Case Details page contains information that assists you in the analysis and resolution of the KYC case. When you select a KYC case from the KYC Case List, the system navigates you to the KYC Case Details page. The primary way to navigate to the KYC Case Details page is by clicking the Case ID hyperlink in the KYC Case List matrix.

When you navigate to the KYC Case Details page for a case, the case is locked by you and other users are allowed view only access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).

![KYC Case Details Page](image)

**Figure 62. KYC Case Details Page**

Within the KYC Case Details page, you can access additional information related to the case by selecting other tabs. Refer to section Business Tabs for more information about tab pages. The following section explains how you can navigate among different tabs of KYC case detail page. Tabs display information based on the case type and subtype of the case.

The KYC Case Details page comprises of the following:

- Components of the KYC Case Details Page
- KYC Case Data Tabs
- Business Tabs

The KYC Case Data tabs and Business tabs display horizontally under the KYC case context and you can view them by clicking the Case ID hyperlink on the KYC Case List. The case context is always visible above the horizontal tabs. The data in each tab displays based on the access privilege provided to the user. Refer to section User Privileges for access control permissions.
Components of the KYC Case Details Page

The KYC Case Details page includes the following areas of information:

- **Page Context Controls (Bread crumbs):** Displays your location in the workflow and how you got to this particular page.

- **KYC Case Context Information:** Provides a brief description of the case and the context for determining what actions need to be taken to dispose of the case. The case context displays on the top of every tab. Once you have entered the workflow for a single case (by selection of the case from the Case List), the case context shall remain visible to you as you navigate the various tabs relevant to the particular case. You can also click the (-) or (+) to contract and expand the Case Context. By default, the case context displays in the contracted mode displays Case ID, Risk Score, Status, Primary Customer ID, Customer Type, Assessment Source and Edit button with an expand sign visible on it.

Table 44 provides a list of the fields that display in the Case Context information area.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case ID</td>
<td>Unique Identifier of the KYC case.</td>
</tr>
<tr>
<td>Risk Score</td>
<td>Calculated risk score of the customer.</td>
</tr>
<tr>
<td>Status</td>
<td>Current state of the KYC case relative to its analysis and closure.</td>
</tr>
<tr>
<td>Primary Customer ID</td>
<td>Primary customer identifier of the KYC case.</td>
</tr>
<tr>
<td>Customer Type</td>
<td>Displays the type of the customer. For example, Individual</td>
</tr>
<tr>
<td>Assessment Source</td>
<td>Displays the source of risk assessment. For example, Default Review.</td>
</tr>
<tr>
<td>Type</td>
<td>Type of the KYC case that KYC case list matrix displays. For example, Know Your Customer, AML.</td>
</tr>
<tr>
<td>Subtype</td>
<td>Subtype of the case that the case list matrix displays. For example, Individual, AML Surveillance.</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>The type code of the case subclass 1 associated with this KYC case subclass.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>The type code of the case subclass 2 associated with this KYC case subclass.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Geographical Jurisdiction associated with the KYC case.</td>
</tr>
<tr>
<td>Domain</td>
<td>Business domains associated with the KYC case.</td>
</tr>
<tr>
<td>Owner</td>
<td>Name of an individual user or the user group who owns the KYC case.</td>
</tr>
<tr>
<td>Organization</td>
<td>Name of the Organization of the user who owns the KYC cases.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Date the KYC case was created.</td>
</tr>
<tr>
<td>Priority</td>
<td>Priority assigned to the KYC case.</td>
</tr>
<tr>
<td>Confidential Flag</td>
<td>Confidentiality assigned to the KYC case.</td>
</tr>
<tr>
<td>Title</td>
<td>Name of the KYC case that KYC case list matrix displays.</td>
</tr>
<tr>
<td>Case Summary</td>
<td>Summary of the investigations and actions performed on the KYC case as provided by the case investigator.</td>
</tr>
<tr>
<td>Description</td>
<td>A brief description about the KYC case.</td>
</tr>
</tbody>
</table>

- **Action buttons:** You can perform actions using the Action buttons that is available above the Case context section. These buttons are visible as per the your access permissions.
• **Editing KYC Case Details**: The KYC Case Context details has an **Edit** icon to edit case details, provided you have the access privilege to edit the case details. The edit option provided in the KYC Case Details section enables you to edit the contents of KYC case context and case details.

To edit a case in the KYC Case Details section, follow these steps:

1. Click the **Edit** button in the KYC Case Context section.

   A pop-up opens with **Save**, **Reset**, and **Cancel** buttons. The pop-up displays all fields of Case Context and Case Details sections (Table 44 and Table 48). Among them the following fields are editable:
   
   a. Title  
   b. Priority  
   c. Confidential Flag  
   d. Type  
   e. Subtype  
   f. Subclass 1  
   g. Subclass 2  
   h. Case Summary  
   i. Case Description  

2. Modify the desired fields. Make sure before saving that all required fields are populated.

3. Click **Reset** if you want to reset the changes back to the previous values.

4. Click **Save** to save the changes.

   The pop-up is closed and the Case Context and Case Details section is refreshed to display the updated contents. At any point of time if you want to cancel the edit operation before saving, click **Cancel**. The system aborts the action navigates you to the Case Context and Case Details section.

   **Note**: You can change the Status field only if you first change the case type.

**KYC Case Data Tabs**

KYC Case Data tabs refer to those tabs that display for all cases and include the following:

- Risk Assessment Tab
- Relationship Tab
- Enhanced Due Diligence Tab
- Narrative Tab
- Evidence Tab
- Audit Tab
Risk Assessment Tab

Risk Assessment tab is the first tab in KYC case details page and is displayed by default upon accessing the details page. The Risk Assessment tab allows you to view the current and latest risk assessment for the customer. This tab displays information on which risk assessment model the customer was risk assessed, interested parities if any, accelerated Review Rules if any and allows you to override the Risk score based on your investigation. Refer to KYC Risk Assessment Guide for more details on different risk models and risk assessment process.

The primary way to navigate to the Risk Assessment tab in KYC Case Details page is by clicking the Case ID hyperlink in the KYC Case List matrix. Authorized users having access to this tab will have view only access to risk assessment tab details.

![Risk Assessment Tab](image)

**Figure 63. Risk Assessment Tab**

**Components of Risk Assessment Tab**

The Risk Assessment Tab contains the following:

- **KYC Risk Score Details** - Displays the risk score and the overridden risk score of the customer.
- **Rule Based Risk Assessment** - Displays if the customer is assessed through Rule Based Mode.
- **Algorithm Based Risk Assessment** - Displays if the customer is assessed through Algorithm Based Model.
- **Real Time Account On-Boarding Risk Assessment** - Displays if for a customer Real Time Account On-boarding Assessment is performed.
- **Accelerated Rule Trigger** - Displays only if a customer matches any accelerated rules.
- **Risk Assessment Details** - Displays if a case is created on a customer manually by providing a manual risk score
- **Interested Parties** – Displays interested parties of a primary customer if any. This applies only for Legal Entity and Correspondent Bank customer type.

**Algorithm Based Risk Assessment**

This section display risk assessment details assessed through algorithm based approach and includes details such as parameter name, actual value, risk score, weight, dynamic weight and weighted risk score.
Navigating KYC Case Detail Page
Chapter 6—Investigating KYC Cases

The Parameters column displays the risk assessment parameters based on the Customer Type. Refer to KYC Risk Assessment Guide for more information on different parameters based on customer type.

The data presented for purged and non-purged risk assessment differs. The system checks the status of risk assessment to determine whether the assessment is purged or non-purged.

For example, if the risk assessment associated with the case has been purged, the system displays only limited information such as Identity Verification score, Watch List Scanning Score, Negative News Search Score and Risk score with assessment date and purged date.

The Algorithm Based Risk Assessment displays the following information:

**Table 44. Algorithm Based Risk Assessment**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Score</td>
<td>This field displays the sum of all the weighted risk score the parameter.</td>
</tr>
<tr>
<td>Risk Parameter Name</td>
<td>This field displays the Risk Parameter Name.</td>
</tr>
<tr>
<td>Risk Parameter Weight</td>
<td>This field displays the weight of each of the corresponding Risk Parameter as defined.</td>
</tr>
<tr>
<td>Risk Parameter Weighted Score</td>
<td>This field displays the weighted risk score of each risk parameter.</td>
</tr>
<tr>
<td>Risk Parameter Value(s)</td>
<td>This field displays the value corresponding to each risk parameter and the additional values as defined during the Risk Parameter definition.</td>
</tr>
</tbody>
</table>

**Rule Based Risk Assessment**

This section displays only if the customer is assessed through rule based model. It provides information related to matched rule, matched value and multiple rules matched with assessment date and Risk score.

The data presented for purged and non-purged risk assessment differs. The system checks the status of risk assessment to determine whether the assessment is purged or non-purged.

The Rule Based Risk Assessment displays the following information:

**Table 45. Rule Based Risk Assessment**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Score</td>
<td>This field displays the maximum score of all the rule(s) a customer has met.</td>
</tr>
<tr>
<td>Rule Name</td>
<td>This field displays the Rule the customer has met.</td>
</tr>
<tr>
<td>Rule Score</td>
<td>This field displays the risk score of the corresponding rule name.</td>
</tr>
<tr>
<td>Rule Value(s)</td>
<td>This field displays the rule value for each corresponding rule name being matched and the additional actual values as configured for a rule.</td>
</tr>
</tbody>
</table>
**KYC Risk Score Details**

This section displays the risk score and the overridden risk score of the customer. The KYC Risk Score Details displays the following information:

### Table 46. KYC Risk Score Details

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Score</td>
<td>This field displays the calculated customer KYC risk score. Displays the maximum score of Rule and Algorithm Based Assessment Model.</td>
</tr>
<tr>
<td>Risk Category</td>
<td>This field displays the risk category of the risk score.</td>
</tr>
<tr>
<td>By</td>
<td>This field displays the name of the user who has performed the risk assessment on the customer.</td>
</tr>
<tr>
<td>Assessment Date</td>
<td>This field displays the date on which risk assessment was performed on the customer.</td>
</tr>
<tr>
<td>Overridden Risk Score</td>
<td>This field displays the overridden customer risk score of the customer.</td>
</tr>
<tr>
<td>Overridden Risk Category</td>
<td>This field displays the overridden risk category.</td>
</tr>
<tr>
<td>Overridden By</td>
<td>This field displays the name of the user who has overridden the score.</td>
</tr>
<tr>
<td>Overridden Date</td>
<td>This field displays the overridden risk score date.</td>
</tr>
</tbody>
</table>

**Override Button**

The Override button allows a KYC Supervisor user to edit the Risk score in both Algorithm and Rule Based assessment section. This button is displayed based on the Override of Risk Score parameter value and for all non-closed status. This option enables you to change/modify the Risk score upon the facts available while working on the case.

Click **Override** to display the following window:

![Override Risk Window](image)

**Figure 64. Override Risk Window**

Enter the new Risk Score and comments in the respective fields and click **Save**. The Risk Assessment tab is updated with the overridden Risk score and an entry is added in the Audit tab.

**Note:** Click **Cancel** to cancel any changes and navigate back to Risk Assessment tab.

**History Button**

History button allows you to view the history of risk assessment being performed, overridden Risk score with User ID/Overridden Date and comments associated with override action in both Algorithm and Rule Based assessment section.

Click **History** to display the following window:
Navigating KYC Case Detail Page
Chapter 6—Investigating KYC Cases

Figure 65. History Window
Click Close to close the History pop up window and navigate to Risk Assessment tab.

Note: This History button will not be displayed for purged Risk Assessment.

Real Time Account On-Boarding Risk Assessment

This section is displayed only for customers whose RAOR Risk Assessment is assessed.

Interested Parties

The Interested Party is displayed only for the cases whose customer type is Legal Entity and Correspondent Banks. For cases with customer type as Individual, Interested Party section is not applicable.

Accelerated Rule Trigger

This section is displayed only if the accelerated risk assessment trigger information is associated with the primary customer. Accelerated Risk Assessments trigger is based on the change in customer information and Alerts generated from Behavior Detection Framework system.

Note: If the Risk Assessment is purged then this section will not be displayed.

Relationship Tab

The Relationship tab provides information regarding other cases that are related to the current KYC case being investigated. The page enables you to view the list of KYC cases related to the current KYC case through relationships to entities involved in other cases or by virtue of another case being linked to the current case.
Figure 66. Relationship Tab
If your firm implements Behavior Detection Framework, the Relationship tab display alerts related to the current case. Alerts can be related to the current case either through a common business entity association or by virtue of the alert being linked to the current case.

Components of Relationship Tab

The Relationships tab contains the following components:

- **Related Cases**
- **Related Alerts**
- **Related Risk Assessments**

**Related Cases**
Displays cases that are related to the current case through common business entities and cases, which have been manually linked to the current case by a user. If the number of cases exceeds the default for display, you can use the pagination option in the Related Cases matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all cases that have same business entity ID(s) as that of Case A are considered as related cases. For example, if two cases posses the same customer IDs or account IDs or other business entity IDs applicable in Enterprise Case Management then they are considered as related. Only those cases to which the user has access permission based on security attributes displays in the section.

Figure 67. Related Cases Section
The Related Cases section visually distinguishes cases that have been manually linked to the current case from those that are related to the current case through common business entities. The Related Cases User Linked column displays Yes when a user taking a Link action performs the linking of the case to the current case, No when the system link the case (as part of alert promotion and correlation promotion to a case).

The Related Cases Linked column displays Yes if the case is related as a result of being linked, No when the case is considered related to the current case by a business association but has not been linked to the current case.

If you have access to view the linked case, the section displays Case ID as a hyperlink. Upon clicking the Case ID hyperlink, the page navigates you to the Case Details tab.

The related cases matrix has the following buttons:

- **Unlink**: An option to unlink related case(s), which are already linked to the current case
- **Link**: An option to Link related cases, which are not yet linked to the current case
- **Add More Links**: An option to search for any case a record by Case ID for the purpose of adding additional case links to the current case

From related case matrix, select a case and click the icon in the **History** column to view the case context details as well as actions taken on the case details in a pop up window.

**Related Alerts**

The Related Alerts matrix displays all those alerts that are related through common business entities and alerts which are manually linked to the current case by the user. If the number of alerts exceeds the default for the display, you can use the pagination for the display option in the Related Alerts matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all alerts which are focused on the same business entity ID as that of Case A are considered as related alerts. In other words, if an alert and a case are focused on the same customer ID or account ID or any other business entity ID applicable in Enterprise Case Management module, then they are considered as related.

Related alerts displays in the section only if you have access permission to the security attributes of the alert. If you have access to view the related alerts, the section displays an Alert ID as a hyperlink. Upon clicking the Alert ID hyperlink, the page navigates you to Alert Details page.

**Note**: Related alerts section is a View Only option and will not display any action buttons.

**Related Risk Assessments**

Related Risk Assessments displays all the risk assessments of the primary customer and their interested parties which were not promoted to cases as the risk scores fell under the range defined for promotion of cases.

**Note**: Related Risk Assessments section is a View Only option and will not display any action buttons.
Enhanced Due Diligence Tab

Enhanced Due Diligence tab in KYC case details page allows you to view and verify the documents and scores received from third parties.

Only authorized users will have access to the Enhanced Due Diligence tab. The Document verification actions are based on the user roles and permissions.

![Enhanced Due Diligence Tab](image)

**Figure 69. Enhanced Due Diligence Tab**

**Note:** The **Customer Name** in the Enhanced Due Diligence tab displays the full name of the customer as recorded in the *Business Schema*.

**Components of Enhanced Due Diligence tab**

- Watch List Scan
- Identity Verification/OFAC Verification
- Negative News Search

A user mapped to the role of KYC Supervisor can initiate third party verification using the buttons provided in each of the above listed section. The LHS menu allows you to select a particular menu item to further view the details and the RHS menu allows you to view the details of third party verification document and take appropriate verification action.

**Watch List Scan**

Oracle KYC uses third party services from eFunds (Identity Verification / OFAC) and Factiva (Negative News Search) and Watch List Scanning Verification from Enterprise Case Management. These tools provide reliable information about the banking customers on their identity and their track record in the eyes of the law globally. The information is fed into the system and forms the basis for the risk score arrived at the customer under investigation. The information can be received any number of times the system requests for it.

The Watch List Scan verification LHS menu allows you to reinitiate the Watch List Scan verification for case customers. Select **Initiate Watch List Scan** to scan the Watch List.

![Watch List Scan](image)

**Figure 70. Watch List Scan**
Watch list scanning is done during the verification process. The customer's profile is scanned against different watch lists as configured in the Application Parameters table. Watch list requests are scanned against the Oracle Behavior Detection Framework watch list database and the results are populated. Watch list initiation is a synchronous process.

The information received can be overridden by the user who reviews the case with appropriate reasons stated to it.

**Identity Verification/OFAC Verification**

The Identity/OFAC Verification LHS menu allows a KYC Supervisor user to reinitiate the ID verification for the case customer. Click **Identity Verification/OFAC Verification** to submit the Customer details to the third party e-funds services and obtain the results.

The Identity Verification initiates for interested parties (such as, controlling customers and non-controlling customers) if the customer is a Legal Entity/Correspondent Bank. If the customer is an Individual, then the request is sent only for the customer.

On successful initiation of third party verification system should display the *Third Party Verification initiated successfully* in a dialog box.

**Note**: This menu is not displayed for KYC Cases which are in closed status.

Identity Verification is a synchronous process. The network speed determines the time taken for the completion, which may be a few seconds to several minutes.

The Identity Verification LHS menu displays, if it is enabled for the installation.

**Negative News Search**

The Negative News Scan LHS menu allows a KYC Supervisor user to reinitiate the Negative News Search verification for case customers. Select **Initiate Negative News Search** to initiate the Negative New Search.

The Negative News Search service is provided by the Request - Response in a synchronous process. Once a request is sent to the Factiva Service, results are populated in the database. The negative news risk result is more than one.

**Narrative Tab**

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of a case that has helped you decide how to dispose of the case. The narrative exists as a single data element on a case, which allows you to add and to maintain that narrative.
Components of the Narrative Tab

The Narrative area includes the following components:

- **Narrative** entry box: Provides a large free text entry area in which you can optionally enter, save, and modify textual analyses of a particular case. By default, the entry box is blank if no previous narrative has been added. This area accepts up to 4000 characters of text before requiring vertical scrolling.

- **Last Updated** field: Displays the latest date and time when the Narrative entry box was modified.

- **By** field: Displays the identity of the user who entered or modified the text in the Narrative entry box.

- **Edit** button: Allows you to edit the text in the Narrative entry box. If the entry box is blank, this button is grayed out until text is entered and saved. Only when the **Edit** button is selected, the text in the entry box become editable.

- **Save** button: When clicked, any modifications in the entry box are saved and the **Save** button becomes grayed out.

- **Reset** button: When clicked, reverts any modification in text to the previously saved version.

**Working with Narrative Tab**

You can perform the following tasks when working with the Narrative tab:

- Creating a Narrative
- Editing a Narrative
- Deleting a Narrative

**Creating a Narrative**

To create a narrative, follow these steps:
1. Select case for which you want to create a narrative from the Case List
   The Case Details tab displays for that case.
2. Select the Narrative tab that appears below the case context.
   The Narrative tab displays blank for the selected case.
3. Click **Edit**.
4. Enter your analysis in the text box.
5. Click **Save**.
   The system saves your changes, adds the current date to the Last Updated field and, adds your name to the By field in the Narrative matrix header.

**Editing a Narrative**

To edit the narrative, follow these steps:

1. From the Case List, select the case for which you want to change or add to the existing narrative.
   The Case Details tab displays for that case.
2. Select the Narrative tab that appears below the case context.
3. Click **Edit**.
4. Make your changes or additions to the existing text.
5. Click **Save**.
   The system saves your changes, adds the current date to the Last Updated field, and adds your name to the By field.

**Deleting a Narrative**

You can accomplish deleting a narrative by simply deleting the text from the narrative matrix using your standard keyboard options of backspace or select text and delete. You can only delete a narrative when you have selected to edit the narrative.

**Evidence Tab**

If your role permits, the Evidence tab allows you to add comments or attachments to the KYC case under investigation.

The Evidence tab displays the comments and attachments previously added to the KYC case. The Evidence tab displays the comments added through the Evidence tab, the KYC Search and Case List, and all the attachments associated with the case that have been added through Evidence tab and through specific case actions.

The Comments matrix includes the creation date and time of the comment action, the user who took the action, case status at the time of the comment, and the comments added fields.

The Attachment matrix allows you to view the attachments added to the case either through the Evidence tab or added as a part of any actions taken on the case during investigation. It includes the creation date and time of the case action associated with the attachment of the file to the case, the user who took the action, case status at the time of the action or resulting from the action, any comments associated with the action, attachment name, and the Attachment icon fields.

You can add comments (both free text and standard comments) to the case. Refer to section *Adding Comments to a KYC Case* for details on how to add a comment to the KYC case.
You can also add and remove attachments during the investigation of a case. Refer to *Adding and Removing Attachments* for details on how to add and remove an attachment from a KYC case.

Refer to the section *Audit Tab* for more information on the behavior of Attachment icon and the Comments column.

**Audit Tab**

The Audit tab allows you to view the actions previously performed on the current case under investigation. It includes the creation date and time of the case action, the action, owner, the user who took the action, case status, any comments associated with the action, attachment name, and the Attachment icon fields.

**Figure 72. Audit Tab**

The Attachment icon displays for actions with an attachment. In order to view attachments, you can click the icon. Clicking the Attachment icon opens the Attachment List pop-up with a list of attachments available for viewing. In the Comments column for all comments, which exceed the width of the column, you can click the Expand button to view the full text of the comment.

When both standard comments (comments selected from a pre-set list of comments) and free text comments are provided along with an action, the free text comments will appear appended with the selected standard comments.

For all Link and Unlink actions, the Audit tab displays the linked alert (contingent on implementation of Behavior Detection), and case IDs appended with the comments provided by the user as part of the Link or Unlink action.
Business Tabs

Business tabs help the investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

Customer Tab

The customer tab displays the primary customer information and its interested parties. The customer tab displays the customer information based on Customer Type.

Note: You cannot add, modify or delete an entity of a KYC case.

Figure 73. Customer Tab

Note: The Customer Name in the Customer tab displays the full name of the customer as recorded in the Business Schema.

For detailed information on Customer tab, refer to section Customer Tab Supplemental Details. KYC cases also display Customer Documentation as one of the LHS menu.

Customer Documentation

The Customer Documentation section under Customer tab lists all the documents associated during the time of account opening. From RHS menu, select a submitted document from the list to view in a new window.

You will have View Only access and cannot add or delete any documents from the list.
Account Tab

The Account tab displays all the accounts of the primary customer and their interested parties.

Note: You cannot add, modify or delete an entity of a KYC case.

Figure 74. Account Tab

For detailed information on Account tab, refer to section Account Tab Supplemental Details.

Manual KYC Case Creation

KYC Case are created through the system as a part of Risk Assessment Process in various workflows. Based on the risk score during the case closure, next rereview date is updated for a customer. On the rereview date the customer is reassessed and processed for further investigations.

Manual Case Creation is a process which helps you to create a case manually on a customer on any day and not just on the rereview date.

The Risk Score can be provided manually for the manual case being created. KYC Case can be created only on customers who are a part of our FSDM. You can search for a customer from the FSDM and create a case on that customer manually.

Search eligible customers allow users to search for existing customers and select customer from the search results and then create case manually. The advantage of searching and selecting customer is that the data can be transferred from existing customer repository table to Case Management system for further investigation. This section explains how to create KYC cases manually through the Create case UI.

To create cases manually, follow these steps:

1. Login to the BD application with your KYC credentials.
2. From the Investigations menu, select the Create Cases option.
3. The Create Cases page displays.
To create cases manually, follow these steps:
Chapter 6—Investigating KYC Cases

4. Enter the details in the following fields:

Table 47. New Case Creation Components

<table>
<thead>
<tr>
<th>Fields List</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case ID</td>
<td>Enterprise Case Management generated unique identifier for the case. This field is not editable.</td>
</tr>
<tr>
<td>Title</td>
<td>Title name of the case. This is a mandatory field.</td>
</tr>
<tr>
<td>Type</td>
<td>You have to select KYC as a Case Type for creating a manual KYC Case on a customer. Classifies the type of case being created (for example, AML, Fraud, and KYC). The types that is available in the drop-down list are based upon your firm’s configuration as well as user privileges. This is a mandatory field.</td>
</tr>
<tr>
<td>Subtype</td>
<td>Classifies the subtype of the type of case being created (For example, Employee, Fraud). The combination of case type and subtype selected will affect the investigation workflow and actions available for the case. The subtypes that is available in the drop-down list are based upon your firm’s configuration as well as user privileges. This is a mandatory field. <strong>Note:</strong> As a part of predefined Case Types and Subtypes the Subtype classified are based on the customer type. You need to select the subtype based on the Customer Type on whom you are creating a manual case.</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm’s configuration.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm’s configuration.</td>
</tr>
</tbody>
</table>
To create cases manually, follow these steps:
Chapter 6—Investigating KYC Cases

Table 47. New Case Creation Components (Continued)

<table>
<thead>
<tr>
<th>Fields List</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer ID</td>
<td>This field is editable when the user selects KYC as the case type. This field allows users to search for existing customers and then create case manually. Refer to Customer ID Look Up section for more details.</td>
</tr>
<tr>
<td>Risk Score</td>
<td>This field is editable when the user selects KYC as the case type. This is a mandatory field for KYC Case Type cases.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Defines the business jurisdiction to be assigned to the case. Jurisdictions can be used to affect access to the case by users. This is a mandatory field. This is pre-populated based on the customer's jurisdiction you have selected in the Customer ID Search window.</td>
</tr>
<tr>
<td>Domain</td>
<td>Defines the business domain to be assigned to the case. Business domains can be used to affect access to the case by users. This is a mandatory field. This is prepopulated based on the customer's business domain you have selected in the Customer ID Search window.</td>
</tr>
<tr>
<td>Auto Assignment</td>
<td>Select this checkbox to automate the assignment of ownership of the new case. Selecting this check box will disable the Owner field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the case.</td>
</tr>
<tr>
<td>Owner</td>
<td>User who is the owner of the new case. This is a mandatory field.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>User to whom the case is assigned for investigating and taking actions on the case. Can be different than the owner of the case or can be the same user.</td>
</tr>
<tr>
<td>Confidential Flag</td>
<td>Indicator of whether or not this case should be considered confidential. Default value is ‘No’.</td>
</tr>
<tr>
<td>Priority</td>
<td>Indicator of the priority of this case. Default value is ‘Low’.</td>
</tr>
<tr>
<td>Document Control Number</td>
<td>Defines the document number.</td>
</tr>
<tr>
<td>Status</td>
<td>System generated status. By default, all newly created cases are created with a status of ‘New’. This field is not editable.</td>
</tr>
<tr>
<td>Created By</td>
<td>Captures the identifier of the user creating the case. This field is not editable.</td>
</tr>
<tr>
<td>Created Date</td>
<td>System generated date corresponding the current date. This field is not editable.</td>
</tr>
<tr>
<td>Description</td>
<td>Free text field allowing users to describe the case content and details at a high level.</td>
</tr>
</tbody>
</table>

Customer ID Look Up

Customer ID field allows users to search for existing customers who are eligible for KYC case creation and then create case manually.

1. Click the Lookup button next to the Customer ID field by providing a value or without providing value in the field.

   The Eligible Customer for Manual Case Creation window is displayed.
To create cases manually, follow these steps:
Chapter 6—Investigating KYC Cases

2. Enter the Customer ID, Customer Name, and then select the Customer Type from the drop-down list.

3. Click Go.

4. The following columns are displayed in the Customer Lists grid:
   - Customer ID
   - Customer Name
   - Rereview Date
   - Risk Score

   **Note:**
   The Customer Lists grid displays only the customers eligible for case creation. The list should display only customers who are eligible for case creation:
   a. Active customers (Whether a customer holds an account is not to be verified)
   b. Customers who don’t have KYC case open
   c. If the user has access to jurisdiction and domain of the customers

5. Select the customer and click OK. The following fields gets updated in the Create Case page:
   - Customer ID
   - Jurisdiction
   - Domain
   - Title

   **Note:**
   a. Title Pre-populate with Customer ID concatenated with the First/Last Name (if available)
   b. If the user has selected the jurisdiction/domain and title before selecting the customer id for KYC case type, the system will overwrite those with the values as per the customer being selected by the user.
   c. User should not be allowed to change the jurisdiction, customer id,domain for KYC case type.
6. Click the Save icon to save the information, and then click OK on the confirmation message.

   A message displays: Click OK to continue to the KYC Case Summary for your newly created case. Click Cancel to remain within the Create Case workflow.

7. Click OK if you want to navigate to the case summary page of the created case or click CANCEL if you want to remain in the new case creation page for further addition of cases.

   On clicking the OK button, you are navigated to the KYC Case Summary for the newly created case where you can enter additional details and information to the case and take actions on the case.
Acting on KYC Cases

During analysis of a KYC case, you may take various actions, such as, add comments and attachments to a case to document the analysis and disposition of the case. Some actions represent definitive progress in analysis and may therefore update the status of the case.

This section provides information about case actions and the available actions:

- About KYC Case Actions
- About the KYC Case Actions Pop-up
- Acting on Single or Multiple KYC Cases
- Assigning a KYC Case
- Exporting a KYC Case
- Emailing a KYC Case
- Printing Details
- Printing Summary
- Printing Comments
- Resolutions for a KYC Case
- Reopening a KYC Case
- Reviewing a KYC Case
- Escalating a KYC Case
- Monitoring a KYC Case
- Setting Due Date for a KYC Case
- Adding Comments to a KYC Case
- Adding and Removing Attachments

About KYC Case Actions

Your user role's access permission, combined with the subtype of a KYC case and the existing KYC case status you are investigating, determine the actions that Enterprise Case Management displays for a particular KYC case. Individual actions display in action categories. Action categories display horizontally above the KYC case context in the KYC Case Details page and above the search bar in the KYC Search & Case List page. Action categories represent logical groupings of individual actions, which have similarities, either in the line of investigation or in the resulting status of the action.

Usually, you take one or more actions on a KYC case depending upon where you are in your investigative process. These actions display in a pop-up on click of respective action category buttons. Enterprise Case Management enables you to take multiple actions simultaneously, whether you apply them to a single KYC case or to a batch of KYC cases. For example, you can simultaneously reassign a KYC case, add comments to the KYC case, add an attachment to the KYC case, email the KYC case to the new owner, and export the details of that KYC case.
While taking actions on a batch of KYC cases, the action pop-ups provide the intersection of the common actions available for all the cases. You cannot take some actions simultaneously. For example, you cannot reassign and close a KYC case simultaneously.

In addition, the actions pop-up validates the actions initiated by you. The validation checks are to ensure that comments are entered when an action requires a comment that reassignment has occurred if the action requires reassignment and a due date is entered if a due date is required. These validations are enforced through warning messages informing you of any missing information at the time of saving. Thus, all the actions require you to mandatorily provide comments in the comments box.

In addition, some actions can be configured to automatically assign a due date.

Enterprise Case Management’s supervisor approval feature enables you to propose the closing of a case based on necessary approvals.

**Note:** If you select one or more KYC cases from the KYC Case List and click an **Action** button, the system will lock the selected KYC cases and they will not be available for action by other users. If another user attempts to access the same KYC case (either by selecting the KYC case and taking an action or by navigating to the KYC Case Details) they will receive a message informing them that the KYC case is locked by another user and granted only view rights (they can take no action on the KYC case).

**About the KYC Case Actions Pop-up**

The KYC case actions pop-up provides all the available actions that can be taken on a KYC case or a group of KYC cases. During the analysis, you can perform various actions on the cases, add comments and attachments. Some actions represent definitive progress in analysis and therefore, update the status of the case.

You can navigate to the KYC case actions pop-up by clicking the action categories displayed above the case context and above the search bar in KYC Case Details and KYC Search & List page, respectively. The pop-ups display the fields based on the selected action category. You can perform Comments, Attachments, setting Due Date, Assign To, and Reassign Owner actions along with other actions in each action category.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

Table 48 refers the list of available action categories and the associated actions in their pop-ups.

**Table 48. Action Categories and Associated Fields**

<table>
<thead>
<tr>
<th>Action Category</th>
<th>Selection Type</th>
<th>Comments</th>
<th>Attachments</th>
<th>Due Date</th>
<th>Assign To</th>
<th>Reassign Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assignment</td>
<td>Multi select</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Escalate</td>
<td>Single select</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Resolution</td>
<td>Single select</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Review</td>
<td>Multi select</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Monitor</td>
<td>Single select</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td>Single select</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>
Each of the action categories (refer Table 48, for action category) contains a list of actions. The list of actions to be displayed depends on a particular user role's access permission, and the status of case. Some of these actions need a Comment, Assign To, or Set Due Date as mandatory actions as part of them.

The following describes the action buttons:

- **Review**: Includes a list of actions allowing you to document results of research and analysis performed during the course of your investigation. Some actions in this category may not change the status of the KYC case, but serve to document steps and progress in your investigation.

- **Escalate**: Includes a list of actions allowing you to escalate your KYC case to another user for review and enable the reviewer to take actions based on their review of the escalated KYC case. Escalating a KYC case for review automatically sets a due date by which the escalation needs to be addressed.

- **Monitor**: Includes a list of actions that will set the KYC case into a monitoring status and actions that can remove a KYC case from monitoring status. Actions that set a KYC case to monitor status will result in automatic assignment of a due date that defines the monitoring period.

- **Resolution**: Includes a list of actions that complete your analysis of this KYC case, and, in most instances results in closure of the case.

- **Export**: Includes options for exporting KYC cases.

- **Email**: Includes options to email the KYC case details in HTML format.

- **Assign**: Includes actions permitting the reassignment of KYC case ownership and the assignment of the KYC case to another user for investigation.

- **Due Date** calendar control: Provides the ability to select a date by which the selected action should complete. Also, allows you to clear a due date if that date is no longer needed.

- **Reopen**: Includes an action to reopen a previously closed KYC case. This action will only be available for KYC cases in a closed status and if your role permits you to reopen a closed KYC case.

- **Evidence**: Includes options to add attachments and make comments to the selected KYC cases from the KYC case list matrix.

- **Print Summary**: Includes option to print a summary version of the KYC case contents, which will include a limited set of the information you see in the UI. Printed summaries can also be saved as PDFs.
- **Print Details**: Includes option to print a detailed version of the KYC case contents, which will include much of the information you see in the UI. Printed details can also be saved as PDFs.

- **Print Comments**: Includes option to print comments related to KYC case context information that are entered for the KYC case.

### Components of the KYC Case Actions pop-up

The case action pop-up contains the following components:

- **Select an Action** drop-down list: When selected displays a list of one or more actions which can be taken. Actions will be those applicable to the category of actions associated with the selected action icon and will be based upon the current KYC case status.

- **Due Date** calendar selector: Depending upon the action(s) selected in the **Select an Action** drop-down list, and the current status of the KYC case, the action pop-up may refresh to display an option to set a due date. You can also manually set a due date.

- **Reassign** drop-down list: Depending upon the action(s) selected in the **Select an Action** drop-down list, and the current status of the KYC case, the action pop-up may refresh to display an option to reassign ownership of the KYC case.

- **Save** button: Saves all actions and comments. When you click **Save**, a confirmation dialog box displays with the **OK** and **Cancel** buttons, prompting you to click **OK** to apply the selected actions and comments.

- **Save & Attach** button: Facilitates addition of an attachment along with the actions for a KYC case. The **Save & Attach** button is provided in every actions pop-up. Refer to the section *Adding an Attachment* for more information.

  **Note**: Clicking the **Save & Attach** button saves the selected actions before it displays the option for adding attachments.

  The following fields display for the Save & Attach window:

  - **Choose a file to attach** text box with the **Browse** button: Provides a quick means of entering or selecting the full path and name of the file to be attached. You can enter up to 200 text characters for the file name. You can also browse for the file.

  - **Logical File Name** text box: Enables you to enter up to 80 text characters relevant to the file attached to the selected alert. Use this text area to enter a descriptive name for the file attached. This is then used as the display name for the attached file. If you do not specify a logical file name, the name of the attached file is taken as the logical file name by default.

  - **Attach File** button: Displays a confirmation box and when you confirm the action, attaches a file to the selected alert.

  - **Reset** button: Resets the fields in the actions pop-up from the modified value to their previous value.

  - **Cancel** button: Displays an unsaved data-warning message with the **OK** and **Cancel** buttons. Based on the selection of the **OK** and **Cancel** buttons; it either closes the pop-up or stay in the same pop-up.

  - **Standard Comments** selection box: Provides a quick means of entering comments that are relevant to the analysis and closing of the selected KYC cases.
Acting on KYC Cases
Chapter 6—Investigating KYC Cases

- **Comments** text box: Enables you to enter free-form text characters relevant to the analysis and closure of the selected KYC cases. Use this text area if none of the standard comments applies to your action or if you want to include additional information.

  **Note:** All actions require you to provide comments mandatorily before they are saved.

**Acting on Single or Multiple KYC Cases**

All action categories display on the KYC Search & Case List page and within a KYC Case Details page. To perform actions in the KYC Search & Case List page, you can select one or more KYC cases from the list page, and click an action category. To perform action in the KYC Case Details page, you can click an action category. Actions that are performed apply on all selected cases. At any point of time, you can perform actions from only one action category. While performing actions over multiple KYC cases, on click of an action category, only actions that are applicable on the intersection of selected KYC cases display. When acting on a single KYC case or in KYC case details, the action categories display all actions based on your role’s access permission and the status of the KYC case.

**Assigning a KYC Case**

If you are a KYC Supervisor user role, Enterprise Case Management enables you to assign a KYC case or reassign ownership to different users or user groups. If a KYC case’s initial analysis reveals an issue that should be reviewed by another user, you can reassign the KYC case to the most appropriate user or group of users. It is also possible to retain ownership of a KYC case while assigning it to another user to handle part of the investigation.

KYC Cases can be assigned by selecting the **Assign** action icon, which opens the Assignment action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To undertake an Assign To or Reassign Ownership action on a KYC case, follow these steps:

1. From the KYC Case Details page, select the **Assign** action icon from the list of action categories.
   
   Alternatively, from the KYC Search & Case List page, select one or more cases that need to be reassigned using the check boxes and click the **Assign** action category.

2. Select Assign To or Reassign Ownership action or both from the **Select an Action** drop-down list.
   
   The Assign To action does not change the ownership of the case, whereas, the Reassign Ownership action changes the ownership of the case. The corresponding Assign To and Reassign Ownership To fields are enabled in the UI.

   Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner defined in **Case Assigner Editor** under **Case Management Configuration** settings set by an Oracle Administrator user as the new owner of the KYC case.

   **Note:** Deselect the Auto Assignment check box to enable the **Reassign Ownership To** field.

3. Select a user or appropriate organization in each drop-down list and provide the mandatory comments.

   **Optional:** You can set a due date for the case.
4. If you want to attach a file to the KYC case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s).* Click **OK** to attach documents.

   Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, and closes the action pop-up. Your application navigates to the KYC Search & Case List or KYC Details page with the refreshed information.

   At any point of time in the pop-up, if you do not want to undertake the Assignment action, click Cancel on the pop-up window.

   **Note**: While performing an Assign To action, if you do not enter value in the **Assign To** field and click **Save**, an error message displays: *You have not entered a value in the Assigned To field. Please enter a value in Assigned To field.*

While performing a Reassign Ownership action, if you do not select any value in the **Re-assign Ownership To** drop-down list and click **Save**, an error message displays: *You are attempting to re-assign. Please select a new owner in the Owner drop-down list.*

The list of users available in **Reassign Ownership To** and **Assign To** drop-down list are based on access privileges to the KYC cases on which the action is being taken and the eligibility to own a KYC case.

### Exporting a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to export the case information. This information is written to a file in eXtensible Markup Language (XML) format. XML provides a common method for identifying data so that you can then export it into a third-party application or external system.

You can export KYC cases by selecting the Export action icon, which opens the Export action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields. One or more KYC cases can be grouped together and export and each KYC case is exported in a separate file with the naming convention as `<Case ID>.xml`

If you export cases to XML, Enterprise Case Management sends all KYC case information, including information that does not display in the UI.

Your system administrator configures the location of the file that Enterprise Case Management produces. Contact your system administrator for information about the file use and location.

**Note**: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To export a case, follow these steps:

1. From the KYC Case Details page, select the **Export** action icon from the list of action categories.

   Alternatively, from the KYC Search & Case List page, select one or more KYC cases you want to export using the check boxes, and click the **Export** action category.

   The Export action pop-up displays.

2. From the Select an Action drop-down list, select Export Case XML option.
Optional: You can select a user or appropriate group of users in Reassign Ownership To or in Assign To drop-down list, provide comments, or set due date for the case.

Note: You cannot add other attachments while performing the Export action.

Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the KYC case.

Note: Deselect the Auto Assignment check box to enable the Reassign Ownership To field.

3. Click Save.

A confirmation message displays: Would you like to save these actions?

4. Click OK.

Enterprise Case Management creates the output file, records the action, updates the case information, and closes the pop-up window. The application navigates you to the KYC Search & Case List or KYC Details page with the refreshed information based on from where they took the action.

At any point of time in the pop-up, if you do not want to undertake the Export action, click Cancel on the pop-up window.

Emailing a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to email KYC case attachments in the form of a HyperText Markup Language (HTML) files.

You can send emails by selecting the Email action icon, which opens the Email action category pop-up. The pop-up displays all the selected Case IDs along with additional fields. OFSAAI sends a single email with each KYC case as a separate attachment in HTML format as per the selected action.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.

To email a case, follow these steps:

1. From the Case Details tab, select the Email action icon from the list of action categories.

   Alternatively, from the KYC Search & Case List page, select one or more KYC cases that need to be emailed using the check boxes, and click the Email action category.

   The Email action pop-up displays.

2. Type the email address or addresses of the recipients in the To text box. For multiple addresses, separate each address with a semi-colon but without any spaces.

3. In the body of the email, type any additional information regarding the KYC case that you want to email.

4. From the Select an Action drop-down list, select any of the following options:

   - Email Case Details
   - Send Email
   - Email Case Details W/Response Request
Email W/Response Request

Optional: You can select a user or appropriate group of users in **Reassign Ownership To** or in **Assign To** drop-down lists, or provide comments or set due date for the KYC case. You cannot add other attachments while performing the email action.

Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the KYC case.

**Note:** Deselect the Auto Assignment check box to enable the **Reassign Ownership To** field.

5. From **Standard Comments** list box, select an appropriate comment relevant to the analysis of the selected KYC cases.

**Note:** If none of the standard comments applies to your action or if you want to include some additional information, you can enter your comments in the Other Comments text box.

6. Enter comments in the **Other Comments** text box.

7. Click **Send**.

8. Enterprise Case Management sends the email, records the action, updates the KYC case information, and closes the pop-up window. At any point of time in the pop-up, if you do not want to take the email action, click **Cancel** on the pop-up window.

**Printing Details**

If your role permits, you can print the KYC Case Investigative Report details. From KYC Case Details page, click **Print Details** to print the detailed KYC case investigative report in a PDF format.

**Note:** If the narrative for print details and print summary exceeds 4000 characters, the system prints narrative of first 4000 characters.

**Printing Summary**

If your role permits, you can print the summary of a KYC Case Investigative Report. From KYC Case Details page, click **Print Summary** to print the summary of the report in a PDF format.

**Note:** If the narrative for print details exceeds 4000 characters, the system prints narrative of first 4000 characters.

**Printing Comments**

If your role permits, you can print comments that are entered for the KYC case by clicking the **Print Comment** action icon. The **Print Comment** icon in the action bar when selected, prints the KYC case context and the comments entered by the user either from the Evidence tab or entered when taking other actions.

**Note:** If there are comments which exceeds 4000 characters, the system prints only comments of first 4000 characters.
Resolutions for a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to take an action to close a KYC case. A KYC Supervisor user can close KYC cases by selecting the Resolution action icon, which opens the Resolution action category pop-up. The pop-up displays all the selected Case IDs along with additional fields. Enterprise Case Management enables the closure of case both with and without supervisor-level approval.

**Note:** A KYC Analyst user can only recommend for closure of a KYC case.

Supervisor approval provides a dual control or approval process that requires a KYC Supervisor user to approve actions of other users, prior to those actions taking full effect on the KYC case (for example, closing the case). This process also enables users of specified roles to acknowledge approved or rejected changes proposed and to annotate an acknowledgement with comments.

When a Resolution action is performed and the KYC case is moved to the Closed status, the existing due date of the KYC case, if present, is cleared by the system.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

Recommending a KYC Case for Close Action

If you are a KYC Supervisor user and perform the resolution action on a non-closed case, the KYC case moves to the Recommend Closure status, where you need to assign to a KYC Supervisor user who can approve or reject the recommendation. If approved, the KYC case is closed and if rejected, the KYC case is pushed back to the old status without closing. If a KYC Supervisor performs the resolution action on a non-closed case, the KYC case is directly closed without requiring additional approval.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

If you are a KYC Supervisor user, to recommend a KYC case for closure, follow these steps:

1. From the KYC Case Details tab, select the Resolution action icon from the list of action categories.
   
   Alternatively, from the KYC Search & Case List page, select one or more KYC cases that need to be closed using the check boxes, and click the Resolution action category.
   
   The Resolution action pop-up displays.
2. Select the Closing action you want to perform on the case.
   
   You can select only one action from the list.
3. Select users from the Assign To drop-down list from whom the approval is required.
4. Provide a mandatory comment for resolution action.
   
   Optional: Set a due date for the case. You cannot perform the Ownership Re-assignment while performing a resolution action.
5. Click the Save and Attach icon to attach a file. The message displays: *The selected action(s) will be applied on the cases. Click OK to attach documents.*
6. Click OK.
   
   The Save and Attach pop-up displays to proceed with attaching the file.
If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

7. Click **OK**.

Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected KYC cases to Recommend Closure, and closes the pop-up window. You return to the KYC Search & Case List page or Details page with the refreshed information based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the resolution action, click **Cancel** on the pop-up window.

A KYC Supervisor user can close a KYC case through following steps:

1. From the KYC Case Details page, select the **Resolution** action icon from the list of action categories.

   Alternatively, from the KYC Search & Case List page, select one or more KYC cases that need to be closed using the check boxes, and click the **Resolution** action category.

   The Resolution action pop-up displays.

2. Select the closing action that you want to perform on the KYC case. You can select only one action from the list.

3. Provide mandatory comments for resolution action. You cannot perform the Ownership Re-assignment while performing a resolution action.

4. Click the **Save and Attach** icon to attach a file.

   The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

5. Click **OK** to save the actions. The **Save and Attach** pop-up displays to proceed with attaching the file.

   If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK**.

   Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected KYC cases to the appropriate close status based on the closing action taken, and closes the pop-up window. You return to the KYC Search & Case List page or KYC Case Details page with the refreshed information based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

**Approving a Case Recommended for a Close Action**

A KYC Supervisor can select all the KYC cases recommended for a closure by filtering for KYC cases that have been assigned to you and with status as Recommend Closure. After investigating on the correctness of the recommend action, you can approve or reject the KYC case. If a KYC Supervisor user takes the Approve Resolution Recommendation action and there was a due date associated with the KYC case, the due date is cleared. If a KYC Supervisor takes the Reject Resolution Recommendation action, the existing due date, if one exists, is not cleared.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To approve or reject a recommend closure, follow these steps:

1. From the KYC Case Details page, select the **Resolution** action icon from the list of action categories for a case with a status of Recommend Closure.
Alternatively, from the KYC Search & Case List page, select one or more KYC cases that are with status as Recommend Closure using the check boxes, and click the Resolution action category.

The resolution action pop-up displays.

2. Review the closing action recommended by other Investigator user role and select Approve Resolution Recommendation or Reject Resolution Recommendation actions from the Select an Action drop-down list.

If the Approve Resolution Recommendation action is selected, then provide mandatory comments in the Comments field.

If the Reject Resolution Recommendation action is selected, then optionally, you can set a due date, select a user or group of users in the Assign To drop-down list and provide mandatory comments in the Comments field.

3. If you want to attach a file to the case, you can click the Save and Attach icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

Note: You can only attach documents in formats that you have predefined during the installation of application.

4. Click OK. The Save and Attach fields displays to attach the file.

5. If, at step 3 you click Save instead of Save and Attach, a confirmation message displays: Would you like to save these actions?

6. Click OK to save the actions.

Enterprise Case Management records the action, updates the case information, changes the KYC case status to appropriate closed status if approval action is performed or to the old status of the KYC case if a reject action is performed and returns you to the KYC Search & Case List or KYC Case Details page based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Resolution action, click Cancel on the pop-up window.
Reopening a KYC Case

Enterprise Case Management enables a KYC Supervisor user to reopen closed cases for further investigation. You can reopen KYC cases by selecting the Reopen action icon, which opens the Reopen action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields. In addition, you can group one or more cases and reopen.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.

To reopen a case, follow these steps:

1. From the KYC Case Details page for a closed KYC case, select the Reopen action icon from the list of action categories.
   Alternatively, from the KYC Search & Case List, select one or more KYC cases that need to be reopened using the check boxes, and click the Reopen action category.
   The Reopen action pop-up displays.
2. In the pop-up window, provide comments.
   Optional: You can set a due date for the case.
3. Click the Save and Attach icon to attach a file.
   The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.
4. Click OK.
   The Save and Attach pop-up displays to proceed with attaching the file.
   If you click Save instead of Save and Attach, a confirmation message displays: Would you like to save these actions?
5. Click OK.
   Enterprise Case Management records the action, updates the case information, changes the KYC case status to Reopened, and returns you to the KYC Search & Case List page or KYC Case Details page based on from where you took the action.
   At any point of time in the pop-up, if you do not want to undertake the Reopen action, click Cancel on the pop-up window.

Reviewing a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to take review oriented actions. These actions involve reviewing the case with peers as part of case investigation. Actions within this category may or may not result in a change to the KYC case status.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.

To perform a review oriented action on a case, follow these steps:

1. From the KYC Case Details page, select the Review action icon from the list of action categories.
Alternatively, from the KYC Search & Case List page, select one or more KYC cases using the check boxes, and click the **Review** action category.

The Review action pop-up displays.

2. In the pop-up, select one or more review oriented actions from the **Select an Action** drop-down list.

   Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the KYC case.

   **Note**: Deselect the Auto Assignment check box to enable the **Reassign Ownership To** field.

3. Provide comments.

   **Optional**: You can set a due date for the case.

4. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

   Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, and returns you to the KYC Search & Case List page or KYC Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Review action, click **Cancel** on the pop-up window.

---

### Escalating a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to take the escalate actions. You should take these actions when the case needs escalation with peers for additional review.

This action category does not involve approvals; however, you can use approval if there is a need for the case to escalate to other users for additional review or action. On completion of the review, the user from whom the escalation action was requested can move the case back to the investigation workflow or set to monitor or mark it as appropriate for a File SAR action.

**Note**: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform an Escalate action on a KYC case, follow these steps:

1. From the KYC Case Details page, select the **Escalate** action icon from the list of action categories.

   Alternatively, from the KYC Search & Case List page, select one or more KYC cases that need to be escalated using the check boxes, and click the **Escalate** action category.

   The Escalate action pop-up displays.
If you are a KYC Supervisor user role your only option is to escalate the case for review. If you are a KYC Supervisor user, then additional actions display allowing you to respond to escalation requests.

2. Select an action applicable to your role.

   **Note:** For actions such as Escalate for review and Escalation review completed - Return to Investigation, entering comments and assign to actions are mandatory.

3. Select a user or group of users in the Assign To field and set a due date for the case.

4. Provide comments in the Comments text box.

5. If you want to attach a file to the case, you can click the Save and Attach icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

   Click OK. The Save and Attach fields displays to attach the file.

6. If, at step 5, you click Save instead of Save and Attach, a confirmation message displays: Would you like to save these actions?

7. Click OK to save the actions.

   Enterprise Case Management records the action, updates the KYC case information, changes the status as appropriate based on the actions selected, assigns the KYC case back to the Investigator user, clears the due date and returns you to the KYC Search & Case List or KYC Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Escalate action, click Cancel on the pop-up window.

### Monitoring a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to set the KYC case to a monitoring status for a defined period. These actions should be taken when the KYC cases need to be monitored for some time by the investigating user before any final resolution.

**Note:** A KYC Analyst user can only recommend for monitoring a KYC case. This action category involves an approval process. If you are a KYC Supervisor user, you can perform actions to recommend setting the case into a monitoring status or recommend that the monitoring be canceled and the KYC case potentially closed. A KYC Supervisor can approve or reject recommendations for monitoring or alternatively cancel the monitoring for a KYC case currently in a monitoring status.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.

To perform a Monitor action on a KYC case, follow these steps:

1. From the KYC Case Details page, select the Monitor action icon from the list of action categories.

   Alternatively, from the KYC Search & Case List page, select one or more KYC cases that you want to monitor using the check boxes, and click the Monitor action category.

   The Monitor action pop-up displays.

2. Select one of available actions related to monitoring of a case from the Select an Action drop-down list, based on the status of the case being investigated.
3. Provide mandatory comments.

4. Select a user or group of users in Assign To field (if a KYC Supervisor user is taking Recommend action).

   Based upon the action taken a due date may be automatically set.

   Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the KYC case.

   Note: Deselect the Auto Assignment check box to enable the Reassign Ownership To field.

5. If you want to attach a file to the case, you can click the Save and Attach icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

   Click OK. The Save and Attach fields displays to attach the file.

6. If, at step 6, you click Save instead of Save and Attach, a confirmation message displays: Would you like to save these actions?

7. Click OK to save the actions.

   Enterprise Case Management records the action, updates the case information, changes the statuses, clears the due date and returns the you to the KYC Search & Case List page or KYC Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the monitor action, click Cancel on the pop-up window.

Setting Due Date for a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to set a due date or to clear existing due date on cases. These actions while being performed along with other action categories can also be performed individually through due date action category.

If your system is configured with default due dates for some actions, then that default date will be applied to the KYC case when those actions are taken. When actions having different default due dates are multi-selected and acted upon the KYC case, then the nearest date among all the available due dates is applied as the due date of the case. However, if you manually enter a due date in the Due Date field of the action pop ups, it will overwrite the default due date configured for the actions.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.

To perform a Due Date action on a case, follow these steps:

1. From the KYC Case Details page, select the Due Date action icon from the list of action categories.

   Alternatively, from the KYC Search & Case List page, select one or more KYC cases, and click the Due Date action category.

   The Due Date action pop-up displays.

2. In the pop-up, select Set Due Date, if a due date has to be set or Clear Due Date, if existing due date to be cleared, based on the need from the Select an Action drop-down list.
3. Provide mandatory comments.

Optional: You can set a due date for the case. Select a user or group of users in Assign To or in Reassign Ownership To fields.

Alternatively: While performing actions on KYC cases, a KYC Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the KYC case.

Note: Deselect the Auto Assignment check box to enable the Reassign Ownership To field.

4. If you want to attach a file to the KYC case, you can click the Save and Attach icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

Click OK. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click Save instead of Save and Attach, a confirmation message displays: Would you like to save these actions?

6. Click OK to save the actions.

Enterprise Case Management records the action, updates the KYC case information, sets a new due date or clears the existing due dates, and returns you to the refreshed KYC Search & Case List page or KYC Case Details page based on from where you took the action.

At any point of time in the pop-up, if you do not want to undertake the Due Date action, click Cancel on the pop-up window.

Adding Comments to a KYC Case

If you are a KYC Supervisor user, Enterprise Case Management enables you to add comments to the selected KYC cases through the Evidence tab, exclusive of any other actions.

When you save comments to a KYC case, the status of that KYC case does not change as a result of those comments. However, the Comment action is reflected in the audit of a case.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.

To add a comment to the KYC case, follow these steps:

1. From the KYC Case Details page, navigate to the Evidence tab.
2. Select the Add icon in the Add Comments section.
   A pop-up opens that support both free text comments and standard comments.
3. Provide a free text comments or a standard comment.
   The standard comments are based on the current case type(s) and subtypes. You can select as many comments from the Standard Comments selection box as appropriate.
4. Save the comment.

Enterprise Case Management records the action, updates the KYC case information, and displays the added comments in the comments history of the Evidence tab.
Alternatively, you can also add comments from the KYC Search & Case List page. Refer to the section Supplementary Case Information for more information.

### Adding and Removing Attachments

Enterprise Case Management enables a KYC Analyst and KYC Supervisor user to add or remove attachments to the selected KYC cases through the Evidence tab.

#### Adding an Attachment

You can add attachments to selected KYC cases, exclusive of any other actions or as a part of any other action.

Adding an attachment to a KYC case enables you to attach relevant documents to the case. You might want to add information in order to make a decision about the KYC case.

When you attach documents to a KYC case, the status of that KYC case does not change as a result of those attachments. However, the attachment action is reflected in audit trail of a KYC case. The formats for attachments are deployment configurable. Refer to Configuration Guide for more information on configuring the attachment formats.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To add an attachment to the KYC case, follow these steps:

1. From the KYC Case Details page, navigate to the Evidence tab, and click the **Add** button in the Attachments matrix.
   
   Alternatively, select one or more actions from any action category pop-up from the KYC Search & Case List or KYC Case Details page. Enter all mandatory values, and click the **Save & Attach** button.
   
   The confirmation dialog box displays with the **OK** button.

2. Browse and select one or more files for the KYC case in the **Choose a File to Attach** text box.

3. Enter the logical file name of the file being attached. This field is optional. If provided, the logical file name is displayed in the audit entries, else the physical file name is displayed.

4. Click the **Attach File** button.
   
   The confirmation dialog box displays and Enterprise Case Management attaches the file to the selected case.

5. Click **OK**.
   
   The application saves the attachment against the KYC case and creates the respective audit entries.

   You can add one or more attachments to the KYC case at a time, and provide comments to all the attached documents. The attached document is accessible from the Audit tab against the respective entry.

   Enterprise Case Management records the action, updates the KYC case information, and displays the attachment in the attachment history. Any comment added while taking the attachment action will be recorded on Audit tab.

#### Removing an Attachment

When you remove documents from a KYC case, the status of that case does not change because of the removals. However, the removal action reflects in the audit trail of a KYC case.

To remove an attachment from a KYC case, follow these steps:
1. From the KYC Case Details page, navigate to the Evidence tab, and click the Attachment icon in the Attachment column of Attachments matrix.

   The Attachment List matrix pop-up displays.

2. Select the check box next to each attachment that you want to remove.

3. Enter any additional comments you have regarding the removal of the attachment in the Comments text box.

4. Click the Remove button.

   The confirmation dialog box displays.

5. Click OK.

   This removes the attachments from the KYC case and creates the respective audit entries.

   You can remove one or more attachments from the KYC case by selecting multiple check boxes from the list of Attachment matrix, and provide comments to all the removed attachments.

   If you do not want to remove the selected attachments, click Cancel. You return to the Attachment List pop-up window.
Implicit Actions

Apart from actions that a user performs, there are actions that the system implicitly performs. The following are the implicit action:

- **Viewed by Owner:** The system records this action as a system action on a case, which has its ownership assigned to an authorized user, and that user navigates to the KYC Case Details page of the KYC case for the first time. The action is recorded even though the user does not perform any action on the case.

  If your firm has configured your implementation for case inheritance and the KYC case is in the New or Reopened status, you will become the owner of the KYC case based on the following conditions:
  
  - The case is currently owned by an organization of which you are a member
  - You have eligibility to own the case
  - You navigate to the KYC Case Details for the case

  The system assigns you ownership of the KYC case along with recording the Viewed by Owner action.

  When a user belonging to a pool who owns a case, either takes action from the KYC Search & Case List page or visits the KYC Case Details page, the ownership transfers to the user. Case Inheritance is a configurable parameter where it’s functionality can be enabled or disabled. If the user reassigns the KYC case to a group from the KYC Case Details page, the ownership is transferred to the group and is not immediately shift back to the user. Thus, inheritance remains deferred till a user visits the case details or takes an action from the KYC Search & Case List page.

  **Note:** Closed KYC cases owned by an individual user are not subject to case inheritance.

- **Viewed by Assignee:** The system records this action on a KYC case, which has been assigned to an authorized user, and that user navigates to the KYC Case Details page of the KYC case for the first time. The action is recorded even though the user does not perform any action on the case.
Managing KYC Assessments

KYC Assessments enables you to view the list of all customers whose risk has been assessed as well as assessments which have been promoted to KYC case. It also enables a relationship manager user to view the customer details whose risk was not assessed because of old data.

Note: If a customer’s last updated date is prior to a configurable period, the application will not assess the risk until it is verified or updated by relationship manager for that particular customer.

You can navigate to the KYC Assessments page by selecting the **KYC Assessments** submenu in the Investigations primary level of navigation at the top of the Mashead area.

Note: A KYC Supervisor user will be able to view assessment records irrespective of their statuses.

KYC Assessments page contains the following areas of information:

- KYC Assessment Page Components
- Searching for KYC Assessments
- Exporting KYC Assessments List to Excel
- Manual Promotion of KYC Risk Assessments to Cases
- Managing Customer Details
- Managing Risk Information Details

**KYC Assessment Page Components**

The KYC Assessment page contains the following components:

- KYC Assessment Search Bar
- KYC Assessments List Matrix

**KYC Assessment Search Bar**

The KYC Assessment search bar enables you to filter the list of risk assessments that you want to view and analyze on the KYC Assessment List matrix.
**KYC Assessment Information**

Table 49 provides a list of the KYC assessment search components that display in the KYC Assessment Search section.

**Table 49. Components of KYC Assessment Search Bar**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created From</td>
<td>Filters the KYC assessment list by the From date the assessment was created.</td>
</tr>
<tr>
<td><strong>Note:</strong> By default, Created From date is automatically populated with current date minus 7 calendar days. This field is a mandatory field when you have not selected any of the other filters.</td>
<td></td>
</tr>
<tr>
<td>Created To</td>
<td>Filters the KYC assessment list by the To date the assessment was created.</td>
</tr>
<tr>
<td><strong>Note:</strong> By default, Created To date automatically populates the current date. This field is a mandatory field when you have not selected any of the other filters.</td>
<td></td>
</tr>
<tr>
<td>Customer</td>
<td>The Customer field enables you to choose between the two mutually exclusive options in the search bar. You can choose to retrieve search results related either to a customer Name or customer ID.</td>
</tr>
<tr>
<td><strong>Note:</strong> By default, the ID radio button is selected.</td>
<td></td>
</tr>
<tr>
<td>Risk Score</td>
<td>Filters the KYC assessment list by the Risk score the risk assessment received when based against the criteria selected by your firm. retrieves risk assessment with scores greater than equal to, equal to, or less than equal to, to the score you enter in this text box.</td>
</tr>
<tr>
<td>Customer Type</td>
<td>Filters the risk assessment list by the customer type relative to its analysis and closure in the multi-select list box.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Filters the KYC assessment list by the jurisdiction relative to its analysis and closure in the multi-select list box. The list of jurisdictions in the drop-down options is based on your access permission.</td>
</tr>
<tr>
<td>Risk Assessment Status</td>
<td>Filters the KYC assessment list by the current status of risk assessment, relative to its analysis and closure in the multi-select list box.</td>
</tr>
<tr>
<td>Risk Assessment Source</td>
<td>Filters the KYC assessment list baed on the risk assessment source. The different type of risk assessment source available for searching are as follows:</td>
</tr>
<tr>
<td></td>
<td>• Accelerated Rereview Alerts</td>
</tr>
<tr>
<td></td>
<td>• Default Review</td>
</tr>
<tr>
<td></td>
<td>• Deployment Initiation</td>
</tr>
<tr>
<td></td>
<td>• Periodic Review</td>
</tr>
<tr>
<td>Risk Assessment ID</td>
<td>Filters the KYC assessment list by the one or more Risk Assessment IDs entered in this text field. To search for multiple IDs, separate IDs with commas. If the assessments are found, the KYC Assessments List page displays information about the risk assessment with the IDs that exactly matches the values you entered. The Risk Assessment ID search is mutually exclusive with all other filter criteria.</td>
</tr>
</tbody>
</table>
**KYC Assessments List Matrix**

The KYC Assessments List matrix displays summarized information of KYC assessments that you can further investigate.

By default, the search results are sorted as per Assessment date, Risk Assessment ID and Customer ID. The KYC Assessments List matrix displays 20 cases by default. To view additional KYC assessments returned by search, use the pagination controls to move to additional pages of KYC assessments. An **Excel** icon on the upper title bar enables exporting the KYC assessments list with a single click. Refer to the section *Viewing KYC Assessments in Hold Status* for more information.

**KYC Assessments List Components**

The KYC Assessments List matrix of the KYC Risk Assessments Search and List page consists of the KYC Assessments List header and a matrix containing one or more KYC assessments and associated data. Each KYC assessments has an ID and a hyperlink associated with it.

**Note:** Authorized users having access to KYC Assessments list page will have *view only* access to risk assessment details.

The components within the KYC Assessments List matrix are as follows:

- **KYC Assessments List** header: Contains the number of KYC assessments displayed in the list, the total number of KYC assessments returned by the search, and the Excel icon. The KYC Assessment list matrix by default is sorted as per Assessment Date, Risk Assessment ID and Customer ID.Pagination controls within the header allow you to navigate to the additional pages of KYC assessments. The Excel icon displays next to the KYC Assessments List title to allow you to export the KYC assessments list data to Microsoft Excel. Refer to the section *Viewing KYC Assessments in Hold Status* for more information.

- **List of KYC Assessments:** Displays a list of KYC assessments based on your search criteria on the KYC assessments Search bar. Click the hyperlinked Assessments ID for any KYC assessments in the list to access the Risk Assessments Details.

Table 50 provides a list of the columns that display in the KYC Assessment List matrix

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment ID</td>
<td>Displays the Assessment ID for the risk assessment.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> When the Relationship Manager views the risk assessments in Hold status, this field serves as a hyperlink to the Customer details in a popup window.</td>
</tr>
<tr>
<td>Customer ID</td>
<td>Displays the Customer ID of the risk assessment. Also serves as a hyperlink to the Customer details in a popup window. The customer details are fetched from the Business Schema as done for the Customer Tab in KYC Case Details page.</td>
</tr>
<tr>
<td>Customer Name</td>
<td>Displays the name of the customer on whom the risk assessment is performed.</td>
</tr>
<tr>
<td>Customer Type</td>
<td>Displays the type of customer on whom the risk assessment is performed such as Individual, Correspondent banks and Legal Entity.</td>
</tr>
</tbody>
</table>
Managing KYC Assessments
Chapter 6—Investigating KYC Cases

Table 50. Components of KYC Assessment List

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Score</td>
<td>Displays the most recent CER Score. Also serves as a hyperlink to Risk Information details in a popup window. The details in the risk assessment details pop up will be dependent on the type of risk assessment done for a particular entity.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> The Risk Score will have a null value when the status of Risk Assessment is <em>Hold</em>.</td>
</tr>
</tbody>
</table>
| Assessment Source | Displays the assessment source for the risk assessment. A risk assessment record can have the following four assessment sources:  
|                   | - Accelerated Review  
|                   | - Account On Boarding  
|                   | - Deployment Initiation  
|                   | - Periodic Review |
| Assessment Status | Displays the current status of the risk assessment record. A risk assessment record can be in any of the following five statuses:  
|                   | - Auto Closed  
|                   | - Closed  
|                   | - Closed and Purged  
|                   | - Hold  
|                   | - Purged to Case |
| Assessment Date   | Displays the date on which the risk assessment was assessed. |
| Case ID           | Displays the Case ID for risk assessments which are or were in *Promote to Case* status. |
|                   | **Note:** For risk assessments which have never been promoted to a KYC case such as auto closed cases, this field will be blank. |
|                   | Based on authorized access permissions, the Case ID will be hyperlinked to KYC Case Details page. |
| Case Status       | Displays the case status of risk assessments which are or were in *Promote to Case* status. |
|                   | **Note:** For risk assessments which have never been promoted to KYC case such as auto closed cases, this field will be blank. |

Searching for KYC Assessments

You can search KYC Assessments using the search components in the KYC Assessments Search bar.

To search for KYC Assessments, follow these steps:

1. Navigate to the Simple or Advanced Search section by clicking the Simple Search or Advanced Search button.
2. Specify any or all of the criteria in Simple/Advanced Search.

**Note:** The Customer field search field accepts wildcard characters. Risk Assessment ID field accepts comma-separated entries.
If the search returns one or multiple risk assessments, the KYC Assessments List matrix displays a list of KYC assessments that matched the criteria.

If no assessments meet the filter criteria, a message displays:

*No data met the selected filter criteria. Please enter new filter criteria.*

**Caution:** Once you click the **GO** button, you must allow the application to process and display the list. Do not click the **Go** button repeatedly as it can lock the system process. If the system is locked you have to log off from the system and login again.

### Searching for KYC Assessments by Risk Assessment ID

To search for KYC assessments by Risk Assessment ID, follow these steps:

1. Navigate to the Search section by clicking the Search button.
2. In the KYC Assessments Search bar, type a Risk Assessment ID in the Risk Assessment ID text box.
   
   **Optional:** Enter additional Risk Assessment IDs separated by commas (for example, CASEKYCINDMDL2504012010).
3. Click **Go**.

   The KYC Assessment List returns all KYC assessments with IDs that match exactly the values you entered in the Risk Assessment ID text box.

   **Note:** Searches by Risk Assessment ID and other search criteria are mutually exclusive. If you attempt to search by the later combination of filters, the application warns you of not using a search by Risk Assessment ID with other filters.

### Exporting KYC Assessments List to Excel

An Investigator user or a Relationship Manager user can export their respective assessments list matrix to an excel sheet using the **Excel** action button.

For detailed information on how to export list matrix to excel, refer to section *Exporting Case List to Excel*.

### Manual Promotion of KYC Risk Assessments to Cases

Manual Promotion of KYC risk assessments is done only for risk assessments which do not have a case created before. The **Promote to Case** action allows you to to promote the KYC risk assessment to a case manually.

The **Promote to Case** button on the **KYC Risk Assessments List** grid enables you to perform this action. Assignment of new cases happens along with case creation. When you perform the **Promote to Case** action on the selected KYC risk assessment, the status of the assessment changes to **Promoted to Case** and a case ID is generated. The case ID generated is displayed in the Case ID column under the **KYC Risk Assessment List** grid. The data is then transferred to Case Management system for further investigation.

Single and multiple risk assessments can be promoted to a case and while promoting multiple assessments to a case, multiple case Id’s are generated by comma separated values.

If you select a risk assessment which already has a case, the following message is displayed: *You have selected the risk assessment(s) which already has a case. Select the risk assessment which does not have a case.*
You cannot perform *Promote to a Case* action on a risk assessment which is locked by another for case creation. If you select a risk assessment which is locked by another user, the following message is displayed: *You have selected the risk assessment(s) which already has a case or are locked by another user for case creation. Select the risk assessment which does not have a case and is not locked.*

To promote a KYC risk assessment to a case, follow these steps:

1. Navigate to KYC Risk Assessment List and select the checkbox against the risk assessment that you want to promote to case.

2. Click *Promote to Case*. The confirmation message informs you of the generated case ID. For further investigation, the generated case ID is used as a search filter in the KYC Cases UI.

### Managing Customer Details

The Customer Details pop-up window allows you to view additional details about a customer such as account details, address details, contact details, risk information details, and so on.

Click the *Customer ID* hyperlink under the KYC Risk Assessment List grid. The Customer Details pop-up window is displayed.

The Customer Details pop-up window contains the following areas of information:

- **Customer** - This section displays details related to the customer associated with the selected risk assessment.
- **Accounts** - This section displays the details related to the customer's account.
- **Online Accounts** - This section displays the details related to the customer's online account.
- **Address** - This section displays the text that describes the customer's residential location.
- **Phone** - This section displays the contact details of the customer.
- **Email Address** - This section displays the mailing address of the customer.
- **Risk Information** - This section displays the value of various types of risk associated with the customer.
- **Risk List Membership** - This section displays the watch lists associated with the selected customer.
- **Anticipatory Profile** - This section displays all the anticipatory profiles associated with the selected customer.
- **Insurance Policy** - This section displays the terms and conditions of the contract of an insurance.

### Managing Risk Information Details

The Risk Information Details pop-up window allows you to view additional details about the risk score. These details include the following sections:

- **KYC Risk Score Details**
- **Rule Based Risk Assessment**
- **Algorithm Based Risk Assessment**

For more information on the above sections, see the section *Risk Assessment Tab*. 
This chapter explains how to examine and analyze FATCA Assessments, FATCA Cases, Withholding Transactions, and take appropriate actions.

This chapter includes the following topics:

- Introduction to FATCA Act
- User Roles and Actions
- Managing FATCA Assessments
- Managing FATCA Cases
- Managing Withholding Transactions

**Introduction to FATCA Act**

The Foreign Account Tax Compliance Act (FATCA) is a US law enacted in 2010 as part of the Hiring Incentives to Restore Employment (HIRE) Act. It is aimed at Foreign Financial Institutions (FFIs) and other financial intermediaries to prevent tax evasion by US citizens and residents through use of offshore accounts.

Under FATCA, Foreign Financial Institutions are required to enter into disclosure compliance agreements with the US Treasury and report to the Internal Revenue Service (IRS) information about financial accounts held by US taxpayers, or held by foreign entities in which US taxpayers hold a substantial ownership interest.

The purpose of the FATCA act is to detect and discourage abroad tax abuses through increased transparency, enhanced reporting, and strong sanctions.

OFSFATCA Management Assessment model provides a framework to the financial institutions to classify the accounts and customers and assigns a FATCA status. The solution assesses different accounts and customers held by a financial institution on various parameters including account opening date, account type, ownership, and account net worth, and helps to identify the accounts reportable under FATCA. For more information, refer to FATCA Assessment Guide.

For more information on FATCA, see the section on FATCA act in the website of Internal Revenue Service (IRS), [http://www.irs.gov](http://www.irs.gov).

**User Roles and Actions**

This section explains the different user roles available in the FATCA. Their roles and responsibilities are as follows:

- **FATCA Analyst**: This user can view and analyze the (Foreign Account Tax Compliance Act) FATCA Assessments, promote an Assessment to a FATCA Case, view and analyze a FATCA Case, and view and add Withholding Transactions.
- **FATCA Supervisor**: This user can view and analyze the (Foreign Account Tax Compliance Act) FATCA Assessments, promote an Assessment to a FATCA Case, view and analyze a FATCA Case, and view and add Withholding Transactions.

- **FATCA Administrator**: This user is responsible for managing the static data used in FATCA rules, creating users, mapping users to user groups, and configuring the various parameters used in FATCA.

- **FATCA Auditor**: This user is responsible for auditing the FATCA Assessments, FATCA Cases, and Withholding Transactions. This user can access all the modules in FATCA Management solution and will have a View Only access.

**FATCA Management Workflow**

The life cycle of the FATCA Management is described in the following workflow diagram.

![FATCA Management Workflow Diagram](image)

*Figure 77. FATCA Management Workflow*
Managing FATCA Assessments

This section includes the following topics:

- About FATCA Assessments
- Searching FATCA Assessments
- FATCA Assessments List Components
- Managing FATCA Assessments details

About FATCA Assessments

OFSFATCA Management Assessment model provides a framework to the financial institutions to classify the accounts and customers and assigns a FATCA status. It allows the assessment rules to be configured for exemption limits on account balances prescribed by IRS for different kinds of accounts held by client, and also incorporates exemptions for customers who provide the documentary evidence required under FATCA regulations.

FATCA Assessment rules identify the accounts and customers on the basis of the following:

- **New Accounts**: Accounts that have been opened after a specified date
- **New Customers**: Owning customers of New Accounts
- **Existing Accounts**: These are the accounts whose information has changed
- **Existing Customer**: These are the customers whose information has changed
- **Pre-Existing Accounts**: Accounts that have been opened before a specified date
- **Pre-Existing Customers**: Owning customers of Pre-Existing Accounts

Searching FATCA Assessments

The FATCA Assessments Search and List page enables you to filter the list of assessments that you want to view and analyze. The FATCA Assessments List displays a list of assessments that meet the criteria specified on the search bar.

To search for FATCA Assessments List displays a list of assessments that meet the criteria specified on the search bar.

To search for FATCA Assessments List displays a list of assessments that meet the criteria specified on the search bar.

To search for FATCA Assessments List displays a list of assessments that meet the criteria specified on the search bar.

To search for FATCA Assessments List displays a list of assessments that meet the criteria specified on the search bar.

1. Navigate to the FATCA Assessments Search and List page.

![Figure 78. FATCA Assessments Search Bar](image-url)
2. Enter the search criteria to filter the list of FATCA Assessments. The following table explains the search components that display in the Search Bar:

Table 51. FATCA Assessments Search Bar Components

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FATCA Status</td>
<td>Select a status from the multi-select list to filter the list of FATCA assessments by the current status. The drop-down list displays the following options:</td>
</tr>
<tr>
<td></td>
<td>● Foreign Financial Institutions</td>
</tr>
<tr>
<td></td>
<td>● Individual</td>
</tr>
<tr>
<td></td>
<td>● Non Foreign Financial Entities</td>
</tr>
<tr>
<td></td>
<td>● Indeterminate</td>
</tr>
<tr>
<td></td>
<td>● Recalcitrant</td>
</tr>
<tr>
<td></td>
<td>● US Person</td>
</tr>
<tr>
<td></td>
<td>● Non-Participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>● Owner Document FFI</td>
</tr>
<tr>
<td></td>
<td>● Participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>● Active NFFE</td>
</tr>
<tr>
<td></td>
<td>● Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>● Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● Exempt</td>
</tr>
<tr>
<td></td>
<td>● Non US Person</td>
</tr>
<tr>
<td>Created Date&gt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA assessments whose created date are greater than or equal to the specified date.</td>
</tr>
<tr>
<td>Created Date&lt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA assessments whose created date is less than or equal to the specified date.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Select the jurisdiction from the multi-select list to filter the list of FATCA assessments whose jurisdiction matches the selected criteria.</td>
</tr>
<tr>
<td>Geographic Jurisdiction</td>
<td>Select the geographical jurisdiction from the multi-select list to filter the list of FATCA assessments whose geographical jurisdiction matches the selected criteria.</td>
</tr>
<tr>
<td>Business Domain</td>
<td>Select the business domain from the multi-select list to filter the list of FATCA assessments whose business domain matches the selected criteria.</td>
</tr>
</tbody>
</table>

**Note:** The options in the drop-down list are displayed according to the FATCA statuses defined in the FATCA Status table. An Administrator user can modify or update the drop-down list options.
Table 51. FATCA Assessments Search Bar Components (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
</table>
| Entity Type                | FATCA Assessments are performed on entities. An entity can be of two types namely, Customer or Account Select the entity type from the multi-select list to filter the list of FATCA assessments whose entity type matches the selected criteria. The drop-down list displays the following options:  
  - Select All  
  - Account  
  - Customer                                                                                                                                                                                                                                                                                                                                                       |
| Entity                     | The Entity field enables you to choose between the two mutually exclusive options in the search bar. You can choose to retrieve search results related either to an Entity ID or Entity Name.  
  To perform an Entity ID search, you must select the ID radio option and enter the entity identifier in the text box. You can also search for multiple Entity IDs by entering a string of comma-separated values.  
  To perform an Entity Name search, you must select the Name radio option and enter the entity names in the text box. Entity Name search also supports wildcard searching. You can use% and _ as the wildcard indicators.                                                                                                                                                                                                                                                                 |
| TIN/GIN                    | Enter the Taxpayer Identification Numbers (TIN) or Global Intermediary Identification Number (GIIN) in the text box to filter the list of FATCA assessments that matches the entered criteria.                                                                                                                                                                                                                                                     |
| FATCA Organization Type Code | Enter the Type Code of the FATCA Organization Type to filter the list of FATCA assessments that matches the selected criteria. The drop-down list displays the following options:  
  - Select All  
  - Active NFFE  
  - Certified Deemed Compliant FFI  
  - Excepted NFFE  
  - Exempt Beneficial Owner  
  - Indeterminate Multiple Org Types  
  - Non-participating FFI  
  - Other Organizations Type Codes  
  - Owner Documented FFI  
  - Participating FFI  
  - Passive NFFE  
  - Registered Deemed Compliant FFI                                                                                                                                                                                                                                                                                                                                 |
| Overall US Indicia         | Select an Overall US Indicator from the drop-down list to filter the list of FATCA assessments that matches the selected criteria. The drop-down list displays the following options:  
  - Yes  
  - No  
  - Indeterminate                                                                                                                                                                                                                                                                                                                                             |
Managing FATCA Assessments
Chapter 7—Investigating FATCA Assessments and Cases

FATCA Assessments List Components

The FATCA Assessments List section displays summarized information of cases that you can further investigate or take actions on. The Assessments List consists of the Assessments List header and a matrix containing one or more assessments and associated data. Each assessment has a check box and an ID link associated with it.

The components within the Assessments List section are as follows:

- **FATCA Assessments List header**: Contains the number of Assessments displayed in the list, the total number of assessments returned by the search. Pagination controls within the header allow you to navigate to the additional pages of cases. You can also use the Jump to Page option to navigate to the desired result page.
- **List of FATCA Assessments**: Displays a list of FATCA assessments based on your search criteria on the FATCA Assessments Search bar. Click the hyper linked Assessments ID for any assessments in the list to access the FATCA Assessments Details page.

The assessments list header contains a check box, which enables you to select all the check boxes for each row on the page. Selecting the check box again enables you to clear all the check boxes.

The Expand image (>>) displays inside the fields if the text in the field is more than the column width. On clicking the Expand image (>>, the page refreshes the data to display the complete detail. After you click the Expand image (>>, it displays the Contract image (<<), which, when clicked, then refreshes the data to display only the abbreviated detail.

- **Check Boxes**: Appears at the beginning of each row. Select one or more of these boxes to take action on one or more assessments. Select the check box again to clear it.

### Table 51. FATCA Assessments Search Bar Components (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
</table>
| Foreign Status Document Indicator | Select a Foreign Status Document Indicator from the drop-down list to filter the list of FATCA assessments that matches the selected criteria. The drop-down list displays the following options:  
  - Blank  
  - Yes  
  - No |
| Batch Type                   | Select the Batch Type from the multi-select drop-down list to filter the list of FATCA assessments that matches the selected criteria. The drop-down list displays the following options:  
  - Select All  
  - Existing Entities  
  - New Entities  
  - Pre-existing Entities |
| Search by Assessment ID      | Enter an Assessment ID in the text box to filter the FATCA assessment matching the entered ID. You can also search for multiple FATCA assessments by entering comma separated Assessment IDs.  
  **Note**: While searching through Search by Assessment ID, all other search criteria are ignored. |
**Column Headings**: Labels that display the kind of information in the columns. All column headings in the Case List section are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

**Action Button**: Enables you to select and take action on one or more cases. When an action button is clicked, the application navigates you to the Actions pop up.

![Figure 79. FATCA Assessments List](image)

---

**Figure 79. FATCA Assessments List**
Table 52 provides field descriptions of components that are displayed in the FATCA Assessments List section.

**Table 52. FATCA Assessments List Components**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment ID</td>
<td>Displays the FATCA Assessment ID number. Also serves as a hyperlink to the FATCA Assessment Details page.</td>
</tr>
<tr>
<td>FATCA Status</td>
<td>Displays the current status of the FATCA Assessment. The following are the various statuses that a FATCA Assessment can have:</td>
</tr>
<tr>
<td></td>
<td>- Indeterminate</td>
</tr>
<tr>
<td></td>
<td>- Recalcitrant</td>
</tr>
<tr>
<td></td>
<td>- US person</td>
</tr>
<tr>
<td></td>
<td>- Non-participating FFI</td>
</tr>
<tr>
<td></td>
<td>- Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>- Owner Documented FFI</td>
</tr>
<tr>
<td></td>
<td>- Participating FFI</td>
</tr>
<tr>
<td></td>
<td>- Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>- Active NFFE</td>
</tr>
<tr>
<td></td>
<td>- Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>- Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>- Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>- Exempt</td>
</tr>
<tr>
<td></td>
<td>- Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>- Non-US person</td>
</tr>
<tr>
<td>Case ID</td>
<td>Displays the latest Case ID associated with the FATCA assessments if the assessment was promoted to case through Promote To Case option.</td>
</tr>
<tr>
<td>Entity Type</td>
<td>Displays the type of entity on which the FATCA Assessment is created. An Entity type can either be an Account or a Customer.</td>
</tr>
<tr>
<td>Entity ID</td>
<td>Displays the entity identifier of the entity type. If the Entity type is Customer, the Customer ID is displayed. If the Entity Type is Account, the Account ID is displayed.</td>
</tr>
<tr>
<td>Entity Name</td>
<td>Displays the entity name of the entity type. If the Entity Type is Customer, this field displays the Customer Name. If the Entity Type is Account, this field displays the Account Name.</td>
</tr>
<tr>
<td>TIN/GIIN</td>
<td>Displays the Taxpayer Identification Number (TIN) or the Global Intermediary Identification Number (GIIN) associated with the customer.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Displays the business jurisdiction associated with the FATCA Assessment.</td>
</tr>
<tr>
<td>Business Domain</td>
<td>Displays the business domain associated with the FATCA Assessment.</td>
</tr>
<tr>
<td>Overall US Indicia</td>
<td>Displays the Overall US Indicia of the FATCA Assessment.</td>
</tr>
<tr>
<td>Document Indicator</td>
<td>Displays the document indicator status of the FATCA Assessment.</td>
</tr>
<tr>
<td>Batch Type</td>
<td>Displays the type of batch processes through which the FATCA assessments was created. The FATCA application supports the following types of batch processes:</td>
</tr>
<tr>
<td></td>
<td>- New Entities</td>
</tr>
<tr>
<td></td>
<td>- Existing Entities</td>
</tr>
<tr>
<td></td>
<td>- Pre-existing Entities</td>
</tr>
</tbody>
</table>
### Table 52. FATCA Assessments List Components (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created Date</td>
<td>Displays the date when the FATCA assessment was created.</td>
</tr>
<tr>
<td>FATCA Organization Type</td>
<td>Displays the FATCA Organization Type of the customer when the assessment was created.</td>
</tr>
<tr>
<td></td>
<td>The following are the list of FATCA Organization Types supported:</td>
</tr>
<tr>
<td></td>
<td>● Active NFFE</td>
</tr>
<tr>
<td></td>
<td>● Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>● Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>● Indeterminate Multiple Org Types</td>
</tr>
<tr>
<td></td>
<td>● Non-participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Other Organizations Type Codes</td>
</tr>
<tr>
<td></td>
<td>● Owner Documented FFI</td>
</tr>
<tr>
<td></td>
<td>● Participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>● Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td>Note:</td>
<td>By default, this field is not displayed in the FATCA Assessments List section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Geographic Jurisdiction</td>
<td>Displays the geographic jurisdiction associated with the entity (account or customer) on which the FATCA assessment was created.</td>
</tr>
<tr>
<td>Note:</td>
<td>By default, this field is not displayed in the FATCA Assessments List section. You can choose to include this field through Field Chooser option.</td>
</tr>
</tbody>
</table>
Managing FATCA Assessments details

The assessment details page displays information as a result of rules that were run and also displays the actual values against the threshold values. You can navigate to the Assessment Details page by clicking on the Assessment ID hyper link from FATCA Assessments Search and List page.

This section includes the following topics:

- Viewing Assessment Details Context
- Viewing FATCA Assessment Details Tab
- Viewing Relationships
- Promoting a FATCA Assessment to a FATCA Case

Viewing Assessment Details Context

The Assessment Details Context section displays a brief description about the FATCA assessment and the Entity (Account or Customer) for determining what actions need to be taken to dispose the assessment appropriately. The assessment details in the Assessments Details page are in View Only mode.

![Assessment Details Context](image)

Figure 80. FATCA Assessment Details Context

This section includes the following topics:

- Assessment Context
- Viewing Customer or Account Information

Assessment Context

The following table describes the components that are displayed in the Assessment Context:

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment ID</td>
<td>Displays the unique identifier for the assessment generated during the FATCA assessment.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Displays the date when the FATCA assessment was created.</td>
</tr>
</tbody>
</table>
Managing FATCA Assessments
Chapter 7—Investigating FATCA Assessments and Cases

Table 53. Assessment Context Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FATCA Status</td>
<td>Displays the current status of the FATCA assessment.</td>
</tr>
<tr>
<td></td>
<td>The following are the various statuses that a FATCA assessment can have:</td>
</tr>
<tr>
<td></td>
<td>• Indeterminate</td>
</tr>
<tr>
<td></td>
<td>• Recalcitrant</td>
</tr>
<tr>
<td></td>
<td>• US person</td>
</tr>
<tr>
<td></td>
<td>• Non-participating FFI</td>
</tr>
<tr>
<td></td>
<td>• Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>• Owner Documented FFI</td>
</tr>
<tr>
<td></td>
<td>• Participating FFI</td>
</tr>
<tr>
<td></td>
<td>• Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>• Active NFFE</td>
</tr>
<tr>
<td></td>
<td>• Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>• Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>• Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>• Exempt</td>
</tr>
<tr>
<td></td>
<td>• Non US person</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Displays the Jurisdiction associated with the entity (account or customer) on which the FATCA assessment was created.</td>
</tr>
<tr>
<td>Geographic Jurisdiction</td>
<td>Displays the geographic jurisdiction associated with the entity (account or customer) on which the FATCA assessment was created.</td>
</tr>
<tr>
<td>Business Domain</td>
<td>Displays the business domain associated with the entity (account or customer) on which the FATCA assessment was created. A business domain for an entity can be of the following types:</td>
</tr>
<tr>
<td></td>
<td>• GEN - General</td>
</tr>
<tr>
<td></td>
<td>• INST - Institutional Broker Dealer</td>
</tr>
<tr>
<td></td>
<td>• RB/PC - Retail Brokerage/Private Client</td>
</tr>
<tr>
<td></td>
<td>• RET - Retail Banking</td>
</tr>
<tr>
<td></td>
<td>• C/WS - Corporate/Wholesale Banking</td>
</tr>
<tr>
<td></td>
<td>• EMP - Employee Information</td>
</tr>
<tr>
<td>Batch Type</td>
<td>Displays the type of batch processes through which the FATCA assessments was created. The FATCA application supports the following types of batch processes:</td>
</tr>
<tr>
<td></td>
<td>• New Entities</td>
</tr>
<tr>
<td></td>
<td>• Existing Entities</td>
</tr>
<tr>
<td></td>
<td>• Pre-existing Entities</td>
</tr>
<tr>
<td>Case ID</td>
<td>Displays the latest Case ID associated with the FATCA assessments if the assessment was promoted to case through Promote To Case option.</td>
</tr>
</tbody>
</table>
**Viewing Customer or Account Information**

This section includes the following topics:

- Viewing Customer Information
- Viewing Account Information

**Viewing Customer Information**

This section displays the assessment details of the customer who was assessed.

![Customer Information](image)

**Figure 81. FATCA Assessment Context - Customer Information**

The following table describes the components that are displayed in the Customer Information section:

**Table 54. Customer Information Field Descriptions**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity Type</td>
<td>Displays the entity type as Customer on which the FATCA Assessment was created.</td>
</tr>
<tr>
<td>Entity ID</td>
<td>Displays the entity identifier of the customer.</td>
</tr>
<tr>
<td>Entity Name</td>
<td>Displays the name associated with the customer.</td>
</tr>
<tr>
<td>TIN/GIIN</td>
<td>Displays the Taxpayer Identification Number (TIN) or the Global Intermediary Identification Number (GIIN) associated with the customer.</td>
</tr>
<tr>
<td>Organization</td>
<td>Displays the type of the customer associated with the assessment. A customer can be of any of the following types:</td>
</tr>
<tr>
<td></td>
<td>- Financial Institution</td>
</tr>
<tr>
<td></td>
<td>- Individual</td>
</tr>
<tr>
<td></td>
<td>- Organization</td>
</tr>
</tbody>
</table>
Table 54. Customer Information Field Descriptions (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FATCA Organization Type</td>
<td>Displays the FATCA Organization Type of the customer when the assessment was created.</td>
</tr>
<tr>
<td></td>
<td>The following are the list of FATCA Organization Types supported:</td>
</tr>
<tr>
<td></td>
<td>• Active NFFE</td>
</tr>
<tr>
<td></td>
<td>• Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>• Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>• Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>• Indeterminate Multiple Org Types</td>
</tr>
<tr>
<td></td>
<td>• Non-participating FFI</td>
</tr>
<tr>
<td></td>
<td>• Other Organizations Type Codes</td>
</tr>
<tr>
<td></td>
<td>• Owner Documented FFI</td>
</tr>
<tr>
<td></td>
<td>• Participating FFI</td>
</tr>
<tr>
<td></td>
<td>• Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>• Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td>Recalcitrant Indicator</td>
<td>Displays the recalcitrant indicator for the customer.</td>
</tr>
<tr>
<td></td>
<td>A Recalcitrant Customer is defined as a customer who fails to comply with reasonable requests for information pursuant to IRS mandated verification and due diligence procedures to identify as US Account, who fails to provide a name, address and taxpayer identification number, or who fails to provide a bank secrecy waiver upon request.</td>
</tr>
<tr>
<td>Current FATCA Status</td>
<td>Displays the Current FATCA Status of the customer.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> This field is updated based on the recent assessment on the Customer and when any case related to customer is closed.</td>
</tr>
</tbody>
</table>

Viewing Account Information

This section displays the assessment details of the account that was assessed.

Figure 82. FATCA Assessment Context - Account Information

The following table describes the components that are displayed in the Account Information section:

Table 55. Account Information Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity Type</td>
<td>Displays the entity type as Account on which FATCA Assessment was created.</td>
</tr>
<tr>
<td>Entity ID</td>
<td>Displays the entity identifier of the account.</td>
</tr>
</tbody>
</table>
Viewing FATCA Assessment Details Tab

The Details tab displays the FATCA rules used for assessing the customer or account. This section includes the following topics:

- Viewing Details of FATCA Assessment on a Customer
- Viewing Details of FATCA Assessment on an Account

### Viewing Details of FATCA Assessment on a Customer

This tab displays the FATCA assessment details performed on a Customer. The tab consists of the following four sections:

- Customer FATCA Assessment Indicators
- Customer Indicia
- Owning Customer’s Indicia
- Document Indicators

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity Name</td>
<td>Displays the name associated with the account.</td>
</tr>
<tr>
<td>TIN/GIIN</td>
<td>Displays the Taxpayer Identification Number (TIN) or the Global Intermediary Identification Number (GIIN) associated with the account.</td>
</tr>
<tr>
<td>Current FATCA Status</td>
<td>Displays the Current FATCA Status for the account.</td>
</tr>
</tbody>
</table>

**Note:** This field is updated based on the recent assessment on the Account and when any case related to Account is closed.
Managing FATCA Assessments
Chapter 7—Investigating FATCA Assessments and Cases

Figure 83. FATCA Assessment Details Page - Customer

Customer FATCA Assessment Indicators

A Customer FATCA status is derived from the FATCA status of the related accounts based on priority. This section displays all the related accounts of the customer and their FATCA Status.

The Customer FATCA Assessment Indicators section also displays the Overall US Indicia and the Document Indicator for Customer.

- **Overall US Indicia**: This field displays as Y if Customer's US Indicia is derived as Y or any of the individual owner of the organization has ownership percentage more than the threshold value and their US Indicia is marked as Y.

- **Document Indicator for Customer**: This field will display as Y if any of the parameters in the Document Indicators is marked as Y. Similarly, if any of the parameters in the Document Indicators section is marked as N, then the Document Indicator for Customer will be marked as N.

The following table describes the components that are displayed in the FATCA Assessment Indicators section:

**Table 56. Customer FATCA Assessment Indicators**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account ID</td>
<td>Displays the unique identifier of the account that the customer holds.</td>
</tr>
<tr>
<td>Account Name</td>
<td>Displays the name of the account.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Displays the name of the jurisdiction associated with the account.</td>
</tr>
<tr>
<td>Business Domain</td>
<td>Displays the business domain associated with the account.</td>
</tr>
</tbody>
</table>
FATCA Status Displays the FATCA status of the account when the assessment was created.

Priority Displays the FATCA status priorities of the related accounts.

**Note:** The lower the number the higher is the priority of FATCA status.

US Indicia Displays the Overall US Indicia of the associated account when the assessment was created.

Document Indicator Displays the Document Indicator of the associated account when the assessment was created.

FATCA Organization Type Displays the FATCA Organization Type of the associated account when the assessment was created.

Recalcitrant Indicator Displays the Recalcitrant indicator of the associated account when the assessment was created.

Customer Type Displays the owning customer type. A customer can be any of the following types:

- IND: Individual
- FIN: Financial Institution
- ORG: Other Organization

**Note:** By default, this field is not displayed in the Customer FATCA Assessment Indicator section. You can choose to include this field through Field Chooser option.

Networth Displays the aggregated net worth of the account.

**Note:** By default, this field is not displayed in the Customer FATCA Assessment Indicator section. You can choose to include this field through Field Chooser option.
Customer Indicia

The following table describes the components that are displayed in the Customer Indicia section:

Table 57. Customer Indicia Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>Displays the sequentially generated record number for the rules in Customer Indicia.</td>
</tr>
</tbody>
</table>
| Rule Name      | Displays the customer indicia rules that were used to derive the overall US Indicia of the customer. By default, the following are the five rules that are considered for Customer Indicia:  
  - Country of Residence  
  - Country of Mail Address  
  - Country of Home Address  
  - Country of Phone Address  
  - Mail Handling Instructions  
  
  **Note:** A FATCA Administrator user can edit and update the rules. For more information, refer to FATCA Administration and Configuration Guide. |
| Actual Value   | Displays the actual value of the indicia rules. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment. |
| US Indicia     | Displays the value of the US Indicia derived from the rules. |
| Rule Value     | Displays the value to which the actual value is compared to.  
  
  **Note:**  
  - An Administrator user can configure this value. For more information, refer to FATCA Administration and Configuration Guide.  
  - By default, this field is not displayed in the Customer Indicia section. You can choose to include this field through Field Chooser option. |
| Operand        | Displays the operand that is used to compare the Actual value against the Rule Value.  
  
  **Note:** By default, this field is not displayed in the Customer Indicia section. You can choose to include this field through Field Chooser option. |

Owning Customer's Indicia

The FATCA Assessment Details page displays the Owning Customer's Indicia section when a Customer is identified as an Organization and the assessed US Indicia is marked as N. This section displays all the owners of the organization along with their ownership percentage each owner holds.

This section displays the following information:

Table 58. Owning Customer's Indicia Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer ID</td>
<td>Displays the identifier of the customer.</td>
</tr>
<tr>
<td>Customer Name</td>
<td>Displays the name of the customer.</td>
</tr>
<tr>
<td>Owning Customer ID</td>
<td>Displays the identifier of the customer who has ownership in the organization.</td>
</tr>
<tr>
<td>Owning Customer Name</td>
<td>Displays the name of the customer who has ownership in the organization.</td>
</tr>
<tr>
<td>Owning Customer Type</td>
<td>Displays the type of the customer who has ownership in the organization.</td>
</tr>
</tbody>
</table>
Document Indicators

This section displays all the document indicators for the assessed customer. The following table describes the components displayed in the Document Indicators section:

Table 58. Document Indicators Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>Displays the sequentially generated record number for the rules in Document Indicators.</td>
</tr>
<tr>
<td>Rule Name</td>
<td>Displays the name of the rules that are enabled.</td>
</tr>
<tr>
<td></td>
<td>By default, the following are the six rules that are considered for Document Indicators:</td>
</tr>
<tr>
<td></td>
<td>• Non US Citizen and Resident Indicator</td>
</tr>
<tr>
<td></td>
<td>• Non US Document Holder Indicator</td>
</tr>
<tr>
<td></td>
<td>• Certificate of Loss of Nationality Indicator</td>
</tr>
<tr>
<td></td>
<td>• Entity Government Documentation Indicator</td>
</tr>
<tr>
<td></td>
<td>• Third Party Credit Report Indicator</td>
</tr>
<tr>
<td></td>
<td>• Certificate of Foreign Tax Reporting Indicator</td>
</tr>
<tr>
<td></td>
<td><strong>Note</strong>: This field is configurable. For more information, refer to <em>FATCA Administration and Configuration Guide</em>.</td>
</tr>
<tr>
<td>Actual Value</td>
<td>Displays the actual value of the indicator. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment.</td>
</tr>
<tr>
<td>US Indicia</td>
<td>Displays the derived US Indicia of the indicator as per the actual value.</td>
</tr>
<tr>
<td>Rule Value</td>
<td>Displays the value defined in the Rule configuration.</td>
</tr>
<tr>
<td></td>
<td><strong>Note</strong>: By default, this field is not displayed in the Document Indicators section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Operand</td>
<td>Displays the operand that is used to compare the Actual value against the Rule Value.</td>
</tr>
<tr>
<td></td>
<td><strong>Note</strong>: By default, this field is not displayed in the Document Indicators section. You can choose to include this field through Field Chooser option.</td>
</tr>
</tbody>
</table>
Viewing Details of FATCA Assessment on an Account

This tab displays the FATCA assessment details performed on an Account. The tab consists of the following sections:

- Account FATCA Assessment Indicators
- Account Indicia
- Owning Customers

Account FATCA Assessment Indicators

This section displays the Overall US Indicia of the Account and the Document Indicator for Account along with other indicators.

- Overall US Indicia: This field is displayed as Y if the Owning Customer's Indicia is marked as Y. If the Account Indicia is marked as Y, then the application will mark the Overall US Indicia as Y irrespective of the value of Owning Customer Indicia.

- Document Indicator for Account: This field displays the document indicator of the owning customer. This field will display as Y if any of the records in the Document Indicators are marked as Y. Similarly, if any of the records in the Document Indicators section is marked as N, then the Document Indicator for Account will be marked as N.

Figure 84. FATCA Assessment Details Page - Account
The following table describes the components displayed in the Account FATCA Assessment Indicators section:

**Table 60. Account FATCA Assessment Indicators Field Descriptions**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>Displays the sequentially generated record number for the rules in Assessment Indicators.</td>
</tr>
<tr>
<td>Rule Indicator Name</td>
<td>Displays the name of the rule indicator. The following are the names of the four rule indicators:</td>
</tr>
<tr>
<td></td>
<td>• Account Agg Net Worth - Entity</td>
</tr>
<tr>
<td></td>
<td>• Recalcitrant Indicator</td>
</tr>
<tr>
<td></td>
<td>• Customer Type Code</td>
</tr>
<tr>
<td></td>
<td>• FATCA Organization Type Code</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> This field is configurable. For more information, refer to <em>FATCA Administration and Configuration Guide</em>.</td>
</tr>
<tr>
<td>Actual Value</td>
<td>Displays the actual value of the indicia rules. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment.</td>
</tr>
</tbody>
</table>

**Account Indicia**

The following table describes the components displayed in the Account Indicia section:

**Table 61. Account Indicia Field Descriptions**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>Displays the sequentially generated record number for the rules in Account Indicia.</td>
</tr>
<tr>
<td>Rule Name</td>
<td>Displays the account indicia rules that were used to derive the overall US Indicia of the account.</td>
</tr>
<tr>
<td></td>
<td>By default, the following are the five rules that are considered for Account Indicia:</td>
</tr>
<tr>
<td></td>
<td>• Standing Instructions to US Account Indicator</td>
</tr>
<tr>
<td></td>
<td>• US POA or Signatory Indicator</td>
</tr>
<tr>
<td></td>
<td>• Country Code of Address</td>
</tr>
<tr>
<td></td>
<td>• Country of Phone Number</td>
</tr>
<tr>
<td></td>
<td>• Mail Handling Instruction</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> A FATCA Administrator user can edit and update the rules. For more information, refer to <em>FATCA Administration and Configuration Guide</em>.</td>
</tr>
<tr>
<td>Actual Value</td>
<td>Displays the actual value of the indicia rules. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment.</td>
</tr>
<tr>
<td>US Indicia</td>
<td>Displays the value of the US Indicia derived from the rules.</td>
</tr>
</tbody>
</table>
Table 61. Account Indicia Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rule Value</td>
<td>Displays the value to which the actual value is compared to.</td>
</tr>
<tr>
<td>Note:</td>
<td>An Administrator user can configure this value. For more information, refer to FATCA Administration and Configuration Guide.</td>
</tr>
<tr>
<td></td>
<td>By default, this field is not displayed in the Account Indicia section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Operand</td>
<td>Displays the US Indicia derived from the Actual value on the basis of Rules.</td>
</tr>
<tr>
<td>Note:</td>
<td>By default, this field is not displayed in the Account Indicia section. You can choose to include this field through Field Chooser option.</td>
</tr>
</tbody>
</table>

Owning Customers

If the Account Indicia is marked as No, then the Owning Customers are derived from the customers who own the account. This section displays the following information of the owning customers:

Table 62. Owning Customers Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>Displays the sequentially generated record number for the rules in Account Indicia.</td>
</tr>
<tr>
<td>Customer ID</td>
<td>Displays the identifier of the customer.</td>
</tr>
<tr>
<td>Customer Name</td>
<td>Displays the name of the customer.</td>
</tr>
<tr>
<td>Customer Type</td>
<td>Displays the type of the customer.</td>
</tr>
<tr>
<td>FATCA Organization Type</td>
<td>Displays the FATCA Organization Type of the customer.</td>
</tr>
<tr>
<td>Role</td>
<td>Displays the role of the customer.</td>
</tr>
<tr>
<td>US Indicia</td>
<td>Displays the US Indicia of the customer.</td>
</tr>
</tbody>
</table>
The Owning Customers section also includes the Document Indicators section. The following table describes the components that are displayed in the Document Indicators section:

### Table 63. Owning Customers - Document Indicators Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>Displays the sequentially generated record number for the records in Document Indicators.</td>
</tr>
</tbody>
</table>
| Rule Name   | Displays the name of the indicator. The following are the six default rules names that are displayed for Document Indicators:  
  - Non US Citizen and Resident Indicator  
  - Non US Document Holder Indicator  
  - Certificate of Loss of Nationality Indicator  
  - Entity Government Documentation Indicator  
  - Third Party Credit Report Indicator  
  - Certificate of Foreign Tax Reporting Indicator |
| Actual Value| Displays the actual value of the indicator. This is value is derived from the database and denotes the value of the indicators as per the FATCA assessment. |
| US Indicia  | Displays the derived US Indicia of the indicator as per the actual value.    |
| Rule Value  | Displays the value defined in the Rule configuration.  
  **Note:** By default, this field is not displayed in the Document Indicators section. You can choose to include this field through Field Chooser option. |
| Operand     | Displays the operand that is used to compare the Actual value against the Rule Value.  
  **Note:** By default, this field is not displayed in the Document Indicators section. You can choose to include this field through Field Chooser option. |

### Viewing Relationships

The Relationship tab provides information regarding other FATCA assessments and FATCA cases that are related to the current FATCA assessment.

This section includes the following topics:

- Related Assessments
- Related Cases
Related Assessments

This section enables you to view the other assessment for the account or customer that have been assessed. This section displays the following information:

Table 64. Related Assessments Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment ID</td>
<td>Displays the Assessment ID of the entity type’s related assessment.</td>
</tr>
<tr>
<td>FATCA Status</td>
<td>Displays the current status of the FATCA assessment.</td>
</tr>
<tr>
<td></td>
<td>The following are the various statuses that a FATCA assessment can have:</td>
</tr>
<tr>
<td></td>
<td>• Indeterminate</td>
</tr>
<tr>
<td></td>
<td>• Recalcitrant</td>
</tr>
<tr>
<td></td>
<td>• US person</td>
</tr>
<tr>
<td></td>
<td>• Non-participating FFI</td>
</tr>
<tr>
<td></td>
<td>• Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>• Owner Documented FFI</td>
</tr>
<tr>
<td></td>
<td>• Participating FFI</td>
</tr>
<tr>
<td></td>
<td>• Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>• Active NFFE</td>
</tr>
<tr>
<td></td>
<td>• Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>• Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>• Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>• Exempt</td>
</tr>
<tr>
<td></td>
<td>• Non US person</td>
</tr>
<tr>
<td>Entity Type</td>
<td>Displays the entity type of the FATCA assessment.</td>
</tr>
<tr>
<td></td>
<td>An entity type can either be Account or Customer.</td>
</tr>
<tr>
<td>Entity ID</td>
<td>Displays the entity identifier of the entity type.</td>
</tr>
<tr>
<td>Geographic Jurisdiction</td>
<td>Displays the geographic jurisdiction associated with the entity (account or customer) on which the FATCA assessment was created.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Displays the business jurisdiction associated with the FATCA Assessment.</td>
</tr>
<tr>
<td>Business Domain</td>
<td>Displays the business domain associated with the FATCA Assessment.</td>
</tr>
</tbody>
</table>
Table 64. Related Assessments Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Batch Type</td>
<td>Displays the type of batch processes through which the FATCA assessments was created.</td>
</tr>
<tr>
<td>Case ID</td>
<td>Displays the latest Case ID associated with the FATCA assessments if the assessment was promoted to case through Promote To Case option.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Displays the date when the FATCA assessment was created.</td>
</tr>
</tbody>
</table>

**Related Cases**

This section enables you to view the list of related cases on the account(s) or customer(s) that are related to the viewed assessment through relationships to entities. This section displays the following information:

- Case ID
- Title
- Type
- Subtype
- Subclass 1
- Subclass 2
- Created
- Owner
- Priority
- Organization
- Status
- Last Action
- Last Comment
- Linked Alerts
Promoting a FATCA Assessment to a FATCA Case

You can promote a FATCA Assessment to a FATCA Case in the following ways:

- Batch Promotion of FATCA Assessments to a FATCA Case
- Manual Promotion of FATCA Assessments to a FATCA Case
- Transferring FATCA Assessment Information to Enterprise Case Management

Batch Promotion of FATCA Assessments to a FATCA Case

You can promote a FATCA Assessment to a FATCA Case through a batch process based on the FATCA status. For more information, refer to the Administration and Configuration guide.

Manual Promotion of FATCA Assessments to a FATCA Case

When you want to investigate a FATCA Assessment for further detailed analysis, you can manually promote an assessment to a FATCA Case. From the FATCA Assessments Details page, click the Promote to Case button to display the case creation page where you can define attributes of the FATCA case to be created. You can access the FATCA cases through the Cases - FATCA sub menu under the Investigation primary menu.

To manually promote a FATCA Assessment to a FATCA Case, follow these steps:

1. Navigate to the FATCA Assessment Details page.
2. Click Promote to Case button. The following Create New Case window is displayed:

3. Enter the desired information in the fields.

   Note: Always specify values for fields marked as required.
The following table describes the components that are displayed in the Create New Case window:

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case ID</td>
<td>Enterprise Case Management generated unique identifier for the case. This field is not editable.</td>
</tr>
<tr>
<td>Title</td>
<td>Title name of the FATCA case. This is a mandatory field.</td>
</tr>
<tr>
<td>Type</td>
<td>Classifies the type of case being created (for example, FATCA, AML, Fraud). The types that are available in the drop-down list are based upon your firm’s configuration as well as user privileges. This is a mandatory field.</td>
</tr>
<tr>
<td>Subtype</td>
<td>Classifies the subtype of the type of case being created (for example, Due Diligence, Employee Fraud). The combination of case type and subtype selected will affect the investigation workflow and actions available for the FATCA case. The subtypes that are available in the drop-down list are based upon your firm’s configuration as well as user privileges. This is a mandatory field.</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm’s configuration.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Classifies the case type and subtype to an additional level of detail. Case subclasses do not impact the workflow and actions and are primarily used for reporting. The subclasses that are available in the drop-down list are based upon your firm’s configuration.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Defines the business jurisdiction to be assigned to the FATCA case. Jurisdictions can be used to affect access to the case by users. This is a mandatory field.</td>
</tr>
<tr>
<td>Domain</td>
<td>Defines the business domain to be assigned to the case. Business domains can be used to affect access to the case by users. This is a mandatory field.</td>
</tr>
<tr>
<td>Auto Assignment</td>
<td>Select this check box to automate the assignment of ownership of the new case. Selecting this check box will disable the Owner field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the case.</td>
</tr>
<tr>
<td>Owner</td>
<td>User who is the owner of the new FATCA case. This field will be disabled if you select Auto Assignment check box.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>User to whom the FATCA case is assigned for investigating and taking actions on the case. Can be different than the owner of the case or can be the same user.</td>
</tr>
<tr>
<td>Confidential Flag</td>
<td>Indicator of whether or not this FATCA case should be considered confidential. By default No is selected.</td>
</tr>
<tr>
<td>Priority</td>
<td>Indicator of the priority of this case. By default Low is selected. This is a mandatory field.</td>
</tr>
<tr>
<td>Status</td>
<td>System generated status. By default, all newly created cases are created with a status of New. This field is not editable.</td>
</tr>
<tr>
<td>Created By</td>
<td>Captures the identifier of the user creating the case. This field is not editable.</td>
</tr>
<tr>
<td>Created Date</td>
<td>System generated date corresponding the current date. This field is not editable.</td>
</tr>
<tr>
<td>Description</td>
<td>Free text field allowing users to describe the FATCA case content and details at a high level.</td>
</tr>
</tbody>
</table>

4. Click Save to save the information. The following message is displayed: *New Case Created Successfully.*

5. Click **OK.**
You can access the newly created FATCA case from the Cases - FATCA sub menu.

**Transferring FATCA Assessment Information to Enterprise Case Management**

An Administrator user can set up a parameter in the Case Creation Entity Type settings under Administration menu to specify how they want the related Account and Customer information to be transferred to the Enterprise Case Management. You can choose to transfer either the Account or Customer information, or both account and customer information to the Enterprise Case Management. If you set the parameter as **Null**, then both the account and customer information related to the assessment are transferred to the Enterprise Case Management.

**Note:** If you select an assessment of an entity on which you have not configured the parameter for transferring the account and customer information and you click Promote to Case option, the application displays an error message based on the parameter settings.

When a FATCA assessment is manually promoted to a case, in addition to the focus Customer or/and Account information, the supplemental data such as address, email, phones, and summary information are also transferred to the Enterprise Case Management.

When you promote a FATCA Assessment to a FATCA case, the following details are transferred to the Enterprise Case Management while creating a new FATCA Case:

- Assessed customer details if the FATCA Assessment is performed on a customer.
  - Assessed focal customer information.
  - Customer record details and their supplemental customer details.
  - All the related customer information and their supplemental details.
  - All the Account information and their supplemental information that are owned by the customer
- Assessed account details if the FATCA Assessment is performed on an account.
  - Assessed focal customer information.
  - Account record details and their supplemental account details.
  - Owning customer details and their supplemental details of the account
  - Related customer details and their supplemental details of the owning customers.
- Complete FATCA Assessment details in Read Only mode.
- All the below mandatory details:
  - Case Type
  - Case Subtype (if defined for an installation)
  - Subclass 1 (Null)
  - Subclass 2 (Null)
  - Assessment ID
  - Comments (Both manual and system comments)
  - Case Title
  - FATCA Status
  - Entity ID
Entity Name
- Entity Type
- Jurisdiction
- Geographic Jurisdiction
- Domain
- Owner and Owner Organization

**Note:** If any of the above mandatory information is not available, then a new case is not created in the Enterprise Case Management.

- Displays notifications and Data Transfer Failure errors.
Managing FATCA Cases

This section includes the following topics:

- Accessing the FATCA Cases
- Searching FATCA Cases
- FATCA Case List Components
- Managing FATCA Case Details
- Acting on FATCA Cases

Accessing the FATCA Cases

You can access the Investigation workflow using the primary level of navigation menu, which is located at the top of the page and is visible from all pages of the workflow. Click the Cases - FATCA submenu option under the Investigations primary level of navigation menu. The FATCA Search and Case List page displays. Alternately from the Home page, you can access the FATCA Search and Case List page by clicking the Case List button in the priority FATCA cases matrix. Based on your role, either the Home page or FATCA Case Search and List page displays after you have logged into the system. You can click on the Home primary level of navigation menu to navigate to the Home page.

![Figure 86. FATCA Cases List](image-url)
Searching FATCA Cases

The FATCA Search and Case List page enables you to filter the cases that you want to view and analyze on the FATCA Case List section. You can navigate to the FATCA Search and Case List page by selecting the Cases - FATCA submenu in the Investigations primary level of navigation at the top of the Masthead area. From the Home page, you can navigate to the Search and List page by selecting the Case List button on the priority list of FATCA Cases.

The FATCA Search and Case List search bar supports three types of search—Search using Search Components, Search using Advanced Search Components, and Search by Views. You can also search for a case by a Case ID. The FATCA Case List displays a list of cases that meet the criteria specified on the FATCA Cases search bar. Clicking the Case ID link for any case in the list page displays the FATCA Case Details page. The search results are displayed using a default sort criteria in the order of Priority in descending order, Due Date (if defined) in descending order, and Create Date of the case in descending order.

This section explains the following topics:

- Searching FATCA Cases Using Basic Search
- Searching FATCA Cases Using Advanced Search
- Searching FATCA Cases Using Pre-defined Views

Searching FATCA Cases Using Basic Search

This search is based on varied set of search components that helps you to filter the required list of FATCA cases. If you know the details such as Created Date, Due Date, Case Status, Case Subtype, and so on, then you can filter the FATCA Cases using the basic Search components.

To search for FATCA Cases using basic Search, follow these steps:

1. Navigate to the FATCA Search and Case List page.

   **Note:** By default, the Search option is selected in the Search bar.

2. Enter the search criteria to filter the list of FATCA case records.

   The following table provides the description for each search component that are displayed in the search bar:
Table 66. Search Component Descriptions

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created Date &gt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA cases whose created date are greater than or equal to the specified date.</td>
</tr>
<tr>
<td>Note: By default, this field displays one day less than the date in Created Date &lt;=.</td>
<td></td>
</tr>
<tr>
<td>Created Date &lt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA cases whose created date is less than or equal to the specified date.</td>
</tr>
<tr>
<td>Note: By default, this field displays the system date.</td>
<td></td>
</tr>
<tr>
<td>Validation Messages:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• If you select a ‘Created Date &lt;=’ less than the ‘Created Date &gt;=’, then on click of Go the following message is displayed: Please enter a ‘Created Date &lt;=’ which is equal to or greater than ‘Created Date &gt;='.</td>
</tr>
<tr>
<td></td>
<td>• If you select a ‘Created Date &lt;=’ greater than the ‘Sysdate’, then on click of Go the following message is displayed: Please enter a ‘Created Date &lt;=’ which is earlier than or equal to sysdate.</td>
</tr>
<tr>
<td></td>
<td>• If you selected a Created Date &lt;= but have not specified the Created Date &gt;=, then on click of Go the following message is displayed: Created Date &gt;= is mandatory if ‘Created Date &lt;=’ is mentioned. Please enter a date in ‘Created Date &gt;=’.</td>
</tr>
<tr>
<td>Due Date &lt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA cases whose due date is less than or equal to the specified date.</td>
</tr>
</tbody>
</table>
### Table 66. Search Component Descriptions (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Case Status</strong></td>
<td>Select a status from the multi-select list to filter the list of FATCA cases by current case status. The drop-down list displays the following options:</td>
</tr>
<tr>
<td></td>
<td>- Select All</td>
</tr>
<tr>
<td></td>
<td>- Awaiting Response</td>
</tr>
<tr>
<td></td>
<td>- Closed</td>
</tr>
<tr>
<td></td>
<td>- Closed - Account(s) Closed</td>
</tr>
<tr>
<td></td>
<td>- Closed - Duplicate Case</td>
</tr>
<tr>
<td></td>
<td>- Closed - Employee Terminated</td>
</tr>
<tr>
<td></td>
<td>- Closed - Funds Recovered</td>
</tr>
<tr>
<td></td>
<td>- Closed - Loss Charged Off</td>
</tr>
<tr>
<td></td>
<td>- Closed - New Case Opened</td>
</tr>
<tr>
<td></td>
<td>- Closed - No SAR Filed</td>
</tr>
<tr>
<td></td>
<td>- Closed - Referred to External Agency</td>
</tr>
<tr>
<td></td>
<td>- Closed - SAR Filed</td>
</tr>
<tr>
<td></td>
<td>- Closed - Withheld Action</td>
</tr>
<tr>
<td></td>
<td>- Closed - MY STR Filed</td>
</tr>
<tr>
<td></td>
<td>- Closed - NG STR Filed</td>
</tr>
<tr>
<td></td>
<td>- Closed - SG STR Filed</td>
</tr>
<tr>
<td></td>
<td>- Closed By System</td>
</tr>
<tr>
<td></td>
<td>- Closed-Merged</td>
</tr>
<tr>
<td></td>
<td>- Escalated</td>
</tr>
<tr>
<td></td>
<td>- File SAR</td>
</tr>
<tr>
<td></td>
<td>- Investigation</td>
</tr>
<tr>
<td></td>
<td>- Monitor</td>
</tr>
<tr>
<td></td>
<td>- New</td>
</tr>
<tr>
<td></td>
<td>- Recommend Closure</td>
</tr>
<tr>
<td></td>
<td>- Recommend Monitor</td>
</tr>
<tr>
<td></td>
<td>- Reopened</td>
</tr>
<tr>
<td><strong>Priority</strong></td>
<td>Select a priority from the multi-select drop-down list to filter the list of FATCA cases whose priority matches the selected criteria. The drop-down list displays the following options:</td>
</tr>
<tr>
<td></td>
<td>- Select All</td>
</tr>
<tr>
<td></td>
<td>- High</td>
</tr>
<tr>
<td></td>
<td>- Medium</td>
</tr>
<tr>
<td></td>
<td>- Low</td>
</tr>
<tr>
<td><strong>Owner</strong></td>
<td>Select a owner from the multi-select drop-down list to filter the list of FATCA cases by user or group of users who own a case.</td>
</tr>
</tbody>
</table>
Table 66. Search Component Descriptions (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Type</td>
<td>Select a type from the multi-select drop-down list to filter the list of FATCA cases by case type.</td>
</tr>
<tr>
<td>Case Subtype</td>
<td>Select a subtype from the multi-select drop-down list to filter the list of FATCA cases by case subtype.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>Select a user or user group from the multi-select drop-down list to filter the list of FATCA to whom a case is assigned.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> The drop-down contains the list of users and user groups available within an organization.</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>Select a subclass 1 from the multi-select drop-down list to filter the list of FATCA cases whose type code of the case subclass 1 associated with a case matches the selected criteria.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> Subclass 1 options are configured according to a firm’s requirement.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Select a subclass 2 from the multi-select drop-down list to filter the list of FATCA cases whose type code associated with a case matches the selected criteria.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> Subclass 2 options are configured according to a firm’s requirement.</td>
</tr>
<tr>
<td>FATCA Status</td>
<td>Select a status from the multi-select list to filter the list of FATCA cases by the current status. The drop-down list displays the following default options:</td>
</tr>
</tbody>
</table>
|              | ● Foreign Financial Institutions  
|              | ● Individual  
|              | ● Non Foreign Financial Entities  
|              | ● Indeterminate  
|              | ● Recalcitrant  
|              | ● US Person  
|              | ● Non-Participating FFI  
|              | ● Passive NFFE  
|              | ● Owner Document FFI  
|              | ● Participating FFI  
|              | ● Excepted NFFE  
|              | ● Active NFFE  
|              | ● Exempt Beneficial Owner  
|              | ● Certified Deemed Compliant FFI  
|              | ● Registered Deemed Compliant FFI  
|              | ● Exempt  
|              | ● Non US Person  
|              | **Note:** The options in the drop-down list are displayed according to the FATCA statuses available in the FATCA Status table. An Administrator user can modify or update the drop-down list options. |
3. Click **Go**. The relevant search list is displayed.

   **Note:** Using the context menu option on a column name in the FATCA Case List, you can click the **Field Chooser** option to choose additional fields to be displayed in the list section.

### Searching FATCA Cases Using Advanced Search

Advanced Search offers the same search fields as provided for a simple Search along with additional fields. If you know additional details such as Case Source, Last Action, Resolution, and so on, then you can filter the FATCA Case records using the Advanced Search components.

To search for FATCA Case records using Advanced Search, follow these steps:

1. Navigate to the FATCA Cases Search and List page.
2. Click **Advanced Search**. The Advanced Search components are displayed.

---

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity Type</td>
<td>Select the entity type from the multi-select list to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options:</td>
</tr>
<tr>
<td></td>
<td>- Select All</td>
</tr>
<tr>
<td></td>
<td>- Account</td>
</tr>
<tr>
<td></td>
<td>- Customer</td>
</tr>
<tr>
<td>Entity</td>
<td>The Entity field enables you to choose between the two mutually exclusive options in the search bar. You can choose to retrieve search results related either to an Entity ID or Entity Name.</td>
</tr>
<tr>
<td></td>
<td>To perform an Entity ID search, you must select the ID radio option and enter the entity identifier in the text box. You can also search for multiple Entity IDs by entering a string of comma-separated values.</td>
</tr>
<tr>
<td></td>
<td>To perform an Entity Name search, you must select the Name radio option and enter the entity names in the text box. Entity Name search also supports wildcard searching. You can use % and _ as the wildcard indicators.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Select the jurisdiction from the multi-select list to filter the list of FATCA cases that matches the selected criteria.</td>
</tr>
<tr>
<td>Geographic Jurisdiction</td>
<td>Select the geographical jurisdiction from the multi-select list to filter the list of FATCA cases that matches the selected criteria.</td>
</tr>
<tr>
<td>Search By Case ID</td>
<td>Enter a FATCA Case ID in the text box to filter the FATCA cases matching the entered ID. You can also search for multiple FATCA cases by entering comma separated FATCA Case IDs.</td>
</tr>
</tbody>
</table>

**Note:** While searching through Search by Case ID, all other search criteria are ignored.
3. Enter the search criteria to filter the list of FATCA case records.

The following table provides the description for each search component that are displayed in the search bar:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created Date &gt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA cases whose created date are greater than or equal to the specified date.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field displays one day less than the date in Created Date &lt;=.</td>
</tr>
<tr>
<td>Created Date &lt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA cases whose created date is less than or equal to the specified date.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field displays the system date.</td>
</tr>
<tr>
<td></td>
<td><strong>Validation Messages:</strong></td>
</tr>
<tr>
<td></td>
<td>● If you select ‘Created Date &lt;=’less than the ‘Created Date &lt;=’, then on click of Go the following message is displayed: <strong>Please enter a ‘Created Date &lt;=’ which is equal to or greater than ‘Created Date &gt;=’</strong>.</td>
</tr>
<tr>
<td></td>
<td>● If you select a ‘Created Date &lt;=’greater than the ‘Sysdate’, then on click of Go the following message is displayed: <strong>Please enter a ‘Created Date &lt;=’ which is earlier than or equal to sysdate.</strong></td>
</tr>
<tr>
<td></td>
<td>● If you selected a Created Date &lt;= but have not specified the Created Date &gt;=, then on click of Go the following message is displayed: <strong>Created Date &gt;=</strong> is mandatory if ‘Created Date &lt;=’ is mentioned. <strong>Please enter a date in ‘Created Date &gt;=’</strong>.</td>
</tr>
<tr>
<td>Due Date &lt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA cases whose due date is less than or equal to the specified date.</td>
</tr>
</tbody>
</table>
Table 67. Advanced Search Component Descriptions (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Status</td>
<td>Select a status from the multi-select list to filter the list of FATCA cases by current case status. The drop-down list displays the following options:</td>
</tr>
<tr>
<td></td>
<td>• Select All</td>
</tr>
<tr>
<td></td>
<td>• Awaiting Response</td>
</tr>
<tr>
<td></td>
<td>• Closed</td>
</tr>
<tr>
<td></td>
<td>• Closed - Account(s) Closed</td>
</tr>
<tr>
<td></td>
<td>• Closed - Duplicate Case</td>
</tr>
<tr>
<td></td>
<td>• Closed - Employee Terminated</td>
</tr>
<tr>
<td></td>
<td>• Closed - Funds Recovered</td>
</tr>
<tr>
<td></td>
<td>• Closed - Loss Charged Off</td>
</tr>
<tr>
<td></td>
<td>• Closed - New Case Opened</td>
</tr>
<tr>
<td></td>
<td>• Closed - No SAR Filed</td>
</tr>
<tr>
<td></td>
<td>• Closed - Referred to External Agency</td>
</tr>
<tr>
<td></td>
<td>• Closed - SAR Filed</td>
</tr>
<tr>
<td></td>
<td>• Closed - Withheld Action</td>
</tr>
<tr>
<td></td>
<td>• Closed - MY STR Filed</td>
</tr>
<tr>
<td></td>
<td>• Closed - NG STR Filed</td>
</tr>
<tr>
<td></td>
<td>• Closed - SG STR Filed</td>
</tr>
<tr>
<td></td>
<td>• Closed By System</td>
</tr>
<tr>
<td></td>
<td>• Closed-Merged</td>
</tr>
<tr>
<td></td>
<td>• Escalated</td>
</tr>
<tr>
<td></td>
<td>• File SAR</td>
</tr>
<tr>
<td></td>
<td>• Investigation</td>
</tr>
<tr>
<td></td>
<td>• Monitor</td>
</tr>
<tr>
<td></td>
<td>• New</td>
</tr>
<tr>
<td></td>
<td>• Recommend Closure</td>
</tr>
<tr>
<td></td>
<td>• Recommend Monitor</td>
</tr>
<tr>
<td></td>
<td>• Reopened</td>
</tr>
<tr>
<td>Priority</td>
<td>Select a priority from the multi-select drop-down list to filter the list of FATCA cases whose priority matches the selected criteria. The drop-down list displays the following options:</td>
</tr>
<tr>
<td></td>
<td>• Select All</td>
</tr>
<tr>
<td></td>
<td>• High</td>
</tr>
<tr>
<td></td>
<td>• Medium</td>
</tr>
<tr>
<td></td>
<td>• Low</td>
</tr>
<tr>
<td>Owner</td>
<td>Select a owner from the multi-select drop-down list to filter the list of FATCA cases by user or group of users who own a case.</td>
</tr>
</tbody>
</table>
### Table 67. Advanced Search Component Descriptions (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Type</td>
<td>Select a type from the multi-select drop-down list to filter the list of FATCA cases by case type.</td>
</tr>
<tr>
<td>Case Subtype</td>
<td>Select a subtype from the multi-select drop-down list to filter the list of FATCA cases by case subtype.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>Select a user or user group from the multi-select drop-down list to filter the list of FATCA to whom a case is assigned.</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>Select a subclass 1 from the multi-select drop-down list to filter the list of FATCA cases whose type code of the case subclass 1 associated with a case matches the selected criteria.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Select a subclass 2 from the multi-select drop-down list to filter the list of FATCA cases whose type code associated with a case matches the selected criteria.</td>
</tr>
<tr>
<td>FATCA Status</td>
<td>Select a status from the multi-select list to filter the list of FATCA cases by the current status. The drop-down list displays the following default options:</td>
</tr>
<tr>
<td></td>
<td>● Foreign Financial Institutions</td>
</tr>
<tr>
<td></td>
<td>● Individual</td>
</tr>
<tr>
<td></td>
<td>● Non Foreign Financial Entities</td>
</tr>
<tr>
<td></td>
<td>● Indeterminate</td>
</tr>
<tr>
<td></td>
<td>● Recalcitrant</td>
</tr>
<tr>
<td></td>
<td>● US Person</td>
</tr>
<tr>
<td></td>
<td>● Non-Participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>● Owner Document FFI</td>
</tr>
<tr>
<td></td>
<td>● Participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>● Active NFFE</td>
</tr>
<tr>
<td></td>
<td>● Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>● Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● Exempt</td>
</tr>
<tr>
<td></td>
<td>● Non US Person</td>
</tr>
</tbody>
</table>

**Note:** The options in the drop-down list are displayed according to the FATCA statuses available in the FATCA Status table.
Table 67. Advanced Search Component Descriptions (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
</table>
| Entity Type       | Select the entity type from the multi-select list to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options:  
  - Select All  
  - Account  
  - Customer |
| Entity            | The Entity field enables you to choose between the two mutually exclusive options in the search bar. You can choose to retrieve search results related either to an Entity ID or Entity Name.  
  To perform an **Entity ID** search, you must select the **ID** radio option and enter the entity identifier in the text box. You can also search for multiple Entity IDs by entering a string of comma-separated values.  
  To perform an **Entity Name** search, you must select the **Name** radio option and enter the entity names in the text box. Entity Name search also supports wildcard searching. You can use `%` and `_` as the wildcard indicators. |
| Jurisdiction      | Select the jurisdiction from the multi-select list to filter the list of FATCA cases that matches the selected criteria. |
| Geographic Jurisdiction | Select the geographical jurisdiction from the multi-select list to filter the list of FATCA cases that matches the selected criteria. |
| Business Domain   | Select the business domain(s) from the multi-select drop-down list to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options:  
  - Select All  
  - C/WS  
  - Default  
  - EMP  
  - GEN  
  - INST  
  - RB/PC  
  - RET |
| Modified By       | Select a user roles from the multi-select drop-down list to filter the list of FATCA cases modified by the selected user(s). |
| Modified Date >=  | Select a date using the calendar icon to filter the list of FATCA cases whose last modified date are greater than or equal to the selected date. |
### Table 67. Advanced Search Component Descriptions (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modified Date &lt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA cases whose last modified date are less than or equal to the selected date.</td>
</tr>
<tr>
<td></td>
<td><strong>Validation Messages:</strong></td>
</tr>
<tr>
<td></td>
<td>• If you select a ‘Modified Date &lt;=’ less than the ‘Modified Date &gt;=’, then on click of Go the following message is displayed: <em>Please enter a ‘Modified Date &lt;=’ which is equal to or greater than ‘Modified Date &gt;=’.</em></td>
</tr>
<tr>
<td></td>
<td>• If you select a ‘Modified Date &lt;=’ greater than the ‘Sysdate’, then on click of Go the following message is displayed: <em>Please enter a ‘Modified Date &lt;=’ which is earlier than or equal to sysdate.</em></td>
</tr>
<tr>
<td></td>
<td>• If you selected a Modified Date &lt;= but have not specified the Modified Date &gt;=, then on click of Go the following message is displayed: Modified Date &gt;= is mandatory if ‘Last Case Source Select the case source from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options:</td>
</tr>
</tbody>
</table>
|                | • Select All  
|                | • Accelerated Re-review Alerts  
|                | • Correlation Promotion  
|                | • Deployment Initiation  
|                | • Default Review  
|                | • Manual  
|                | • Promoted from Alert  
|                | • Periodic Review  
|                | **Title** Enter the title of the case to filter the list of FATCA cases that matches the entered criteria. |
|                | **Organization** Select the organization(s) from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. |
Table 67. Advanced Search Component Descriptions (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
</table>
| Resolution | Select the resolution action from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options:  
  - Select All  
  - Account(s) Closed  
  - Action Withheld - Close  
  - Approve Resolution Recommendation  
  - BS STR Filed  
  - Close  
  - Duplicate Case Close  
  - EG STR Filed  
  - Employee Terminated  
  - FATCA Status Finalized - Close  
  - Generate Amended KE STR  
  - Generate BS STR  
  - Generate Corrected PAK STR  
  - Generate Corrected SAR  
  - Generate EG STR  
  - Generate KE STR  
  - Generate MY STR  
  - Generate NG STR  
  - Generate NZ STR  
  - Generate PAK STR  
  - Generate SG STR  
  - Generate Supplemental KE STR  
  - Generate Supplemental PAK STR  
  - Generate Supplemental SAR  
  - Generate US SAR  
  - MY STR Filed  
  - NG STR Filed  
  - NZ STR Filed  
  - New Case Opened - Close  
  - No BS STR Filed - Close  
  - No EG STR Filed - Close  
  - No KE STR Filed - Close  
  - No MY STR Filed - Close  
  - No NZ STR Filed - Close  
  - No PAK STR Filed - Close  
  - No SAR Filed - Close  
  - No SG STR Filed - Close  
  - PAK STR Filed |
### Table 67. Advanced Search Component Descriptions (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>● Recovered Lost Funds</td>
</tr>
<tr>
<td></td>
<td>● Recovery Attempts Unsuccessful</td>
</tr>
<tr>
<td></td>
<td>● Referred to External Agency</td>
</tr>
<tr>
<td></td>
<td>● Reject Resolution Recommendation</td>
</tr>
<tr>
<td></td>
<td>● SAR Filed</td>
</tr>
<tr>
<td></td>
<td>● SG STR Filed</td>
</tr>
<tr>
<td>Last Action</td>
<td>Select the last action from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options:</td>
</tr>
<tr>
<td></td>
<td>● Select All</td>
</tr>
<tr>
<td></td>
<td>● Account Manager Review Requested - Awaiting Response</td>
</tr>
<tr>
<td></td>
<td>● Assigned</td>
</tr>
<tr>
<td></td>
<td>● Clear Due Date</td>
</tr>
<tr>
<td></td>
<td>● Close</td>
</tr>
<tr>
<td></td>
<td>● Conducted Web Search</td>
</tr>
<tr>
<td></td>
<td>● Customer Information Requested - Awaiting Response</td>
</tr>
<tr>
<td></td>
<td>● Duplicate Case - Close</td>
</tr>
<tr>
<td></td>
<td>● Email Case Details</td>
</tr>
<tr>
<td></td>
<td>● Email Case Details with Response Request</td>
</tr>
<tr>
<td></td>
<td>● Email with Response Request</td>
</tr>
<tr>
<td></td>
<td>● Escalate Review Completed - Return to Investigation</td>
</tr>
<tr>
<td></td>
<td>● FATCA Status Finalized - Close</td>
</tr>
<tr>
<td></td>
<td>● New Case Opened - Close</td>
</tr>
<tr>
<td></td>
<td>● Reassigned Owner</td>
</tr>
<tr>
<td></td>
<td>● Reopen</td>
</tr>
<tr>
<td></td>
<td>● Reviewed Customer Information</td>
</tr>
<tr>
<td></td>
<td>● Reviewed with Account Manager</td>
</tr>
<tr>
<td></td>
<td>● Sent Email</td>
</tr>
<tr>
<td></td>
<td>● Set Due Date</td>
</tr>
<tr>
<td></td>
<td>● viewed by Owner</td>
</tr>
</tbody>
</table>
4. Click **Go**. The relevant search list is displayed. If are no records matches the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

**Note:** Using the right-click option on columns within the List header allows you to specify the sorting options such as Sort Ascending, Sort Descending, Clear Sort, Group By Tree, Group By Tab, Field Chooser and Transpose.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
</table>
| **Action**      | Select a action from the multi-select drop-down to filter the list of FATCA cases that matches the selected criteria. The drop-down list displays the following options:  
|                 | • Select All  
|                 | • Account Manager Review Requested - Awaiting Response  
|                 | • Assigned  
|                 | • Clear Due Date  
|                 | • Close  
|                 | • Conducted Web Search  
|                 | • Customer Information Requested - Awaiting Response  
|                 | • Duplicate Case - Close  
|                 | • Email Case Details  
|                 | • Email Case Details With Response Request  
|                 | • Email with Response Request  
|                 | • Escalate for Review  
|                 | • Escalation Review Completed - Return to Investigation  
|                 | • FATCA Status Finalized - Close  
|                 | • New Case Opened - Close  
|                 | • Reassigned Owner  
|                 | • Reopen  
|                 | • Reviewed Customer Information  
|                 | • Reviewed with Account Manager  
|                 | • Sent Mail  
|                 | • Set Due Date  
|                 | • Viewed by Owner  
| **Linked Cases**| Select an operator value from the drop-down list and enter the count of cases in the text box to filter the list of FATCA cases having the linked cases matching the entered criteria.  
| **Search By Case ID** | Enter a FATCA Case ID in the text box to filter the FATCA cases matching the entered ID. You can also search for multiple FATCA cases by entering comma separated FATCA Case IDs.  
|                 | **Note:** While searching through Search by Case ID, all other search criteria are ignored. |
Searching FATCA Cases Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of FATCA Cases based on pre-defined views.

To search for FATCA cases using pre-defined views, follow these steps:

1. Navigate to the FATCA Cases Search and List page.
2. Click **Views**. The Views drop-down list is displayed.
3. Select a pre-defined view from the **Views** drop-down list. The relevant search list page is displayed.

The following table explains the default types of pre-defined views available:

<table>
<thead>
<tr>
<th>View Name</th>
<th>View Filter and Sort Criteria</th>
</tr>
</thead>
</table>
| My New Cases            | From: Current Date -1  To: Current Date  
Owner: current user or pool to which the current user belongs  
Status: New  
Sort: By Priority Desc; Case ID Asc |
| Cases Assigned to Me    | Assigned To: current user or pool to which the current user belongs  
Status: Any status but a closed status  
Sort: By Priority Desc; Create Dt Desc; Case ID Asc |
| My Cases                | Owner: current user or pool to which the current user belongs  
Status: Any status but a closed status  
Sort: By Priority Desc; Create Dt Desc; Case ID Asc |
| My Overdue Cases        | Due Date is not null and is <= Current Date  
Owner: current user or pool to which the current user belongs  
Sort: By Due Date Asc; Case ID Asc |
| My Near Due Cases       | Due Date is not null and is > Current Day and <= (Current Day +4)  
Owner: current user or pool to which the current user belongs  
Sort: By Due Date Asc; Case ID Asc |
| Cases Escalated to Me   | Assigned To: current user  
Status: Escalated  
Sort: By Priority Desc; Create Dt Desc; Case ID Asc |
Managing FATCA Cases
Chapter 7—Investigating FATCA Assessments and Cases

Table 68. FATCA Case Views and Filter (Continued)

<table>
<thead>
<tr>
<th>View Name</th>
<th>View Filter and Sort Criteria</th>
</tr>
</thead>
</table>
| Management - Overdue Cases | Due Date is not null and is <= Current Date  
Owner: Organizational pool(s) for which the current user is supervisor or user within that pool  
Sort: By Owner Asc; Due Date Asc; Case ID Asc |
| Management - Near Due Cases| Due Date is not null and is > Current Day and <= (Current Day +4)  
Owner: Organizational pool(s) for which the current user is supervisor or user within that pool  
Sort: By Owner Asc; Due Date Asc; Case ID Asc |
| Management - Aged Cases    | Case Age >= 30 days  
Owner: Organizational pool(s) for which the current user is supervisor or user within that pool  
Status: Any status but a closed status  
Sort: By Owner Asc; Create Date Asc; Case ID Asc |

FATCA Case List Components

The FATCA Case List section displays summarized information of cases that you can further investigate or take actions on. When you search using Views, the sort order is based on the view selected. Refer Table 68 for more information on sort criteria for each views.

When you search from Simple or Advanced search, the default sort order is based upon Priority in Descending (High, Medium, Low) followed by Due Date in Ascending and then by Created Date in Descending.

The FATCA Case List section of the FATCA Search and Case List page consists of the Case List header and a matrix containing one or more cases and associated data. Each case has a check box and an ID link associated with it.

The components within the Case List section are as follows:

- **FATCA Case List Header**: Contains the number of Cases displayed in the list, the total number of cases returned by the search. Pagination controls within the header allow you to navigate to the additional pages of cases.
List of FATCA Cases: Displays a list of FATCA cases based on your search criteria on the FATCA Case Search bar. Click the hyper linked Case ID for any case in the list to access the FATCA Case Details page. If the selected case is locked, that is, another user has currently accessed the same case, a message displays: The selected case is locked by another user. Click OK to view the case details page in view mode only or Cancel to return to list page.

If you select the OK button in the dialog box, the application navigates you to the FATCA Case Details page in the view mode. In the view mode, you cannot take any action on the case.

The case list header contains a check box, which enables you to select all the check boxes for each row on the page. Selecting the check box again deselects all the selected check boxes.

The Expand image (>>) displays inside the Case Title field if the text in the field is more than the column width. On clicking the Expand image (>>, the page refreshes the data to display the complete Case Title. After you click the Expand image (>>, it displays the Contract image (<<), which, when clicked, then refreshes the data to display only the abbreviated Case Title.

Check Boxes: Appears at the beginning of each row. Select one or more of these boxes to take action on one or more cases. Select the check box again to clear it.

Column Headings: Labels that displays the kind of information in the columns. All column headings in the Case List section are sortable, that is, you can sort each column in the case list by right-clicking the column header and choosing ascending or descending options.

Action Button: Enables you to select and take action on one or more cases. When an action button is clicked, the application navigates you to the Actions pop up. You can perform action on a single case or on several cases (batch action). Refer to section Assigning a FATCA Case for more information on taking actions on FATCA cases.

Before you take action on the selected FATCA cases, Enterprise Case Management checks each case to determine if it is locked. If another user locks all the selected cases, a message displays: All selected case records are locked by another user. Please try again later.

If some but not all of the selected cases are locked, a message displays: One or more cases are locked by another user. Click OK to continue performing actions for cases, which are not locked.

If you fail to select at least one check box and click on any action button, a message displays: You have not selected any case(s). Please select one or more cases.

Table 69 provides a list of the columns that display in the FATCA Case List section.
### Table 69. FATCA Case List Components

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case ID</td>
<td>Displays the FATCA Case Identifier. Also serves as a hyperlink to the FATCA Case Details page of the selected FATCA case.</td>
</tr>
<tr>
<td>FATCA Status</td>
<td>Displays the current status of the FATCA case. The following are the various statuses that a FATCA case can have:</td>
</tr>
<tr>
<td></td>
<td>- Indeterminate</td>
</tr>
<tr>
<td></td>
<td>- Recalcitrant</td>
</tr>
<tr>
<td></td>
<td>- US person</td>
</tr>
<tr>
<td></td>
<td>- Non-participating FFI</td>
</tr>
<tr>
<td></td>
<td>- Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>- Owner Documented FFI</td>
</tr>
<tr>
<td></td>
<td>- Participating FFI</td>
</tr>
<tr>
<td></td>
<td>- Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>- Active NFFE</td>
</tr>
<tr>
<td></td>
<td>- Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>- Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>- Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>- Exempt</td>
</tr>
<tr>
<td></td>
<td>- Non US person</td>
</tr>
<tr>
<td>Note:</td>
<td>An Administrator user can update the above statuses.</td>
</tr>
<tr>
<td>Entity Type</td>
<td>Displays the type of entity on which the FATCA case is created. An Entity type can either be an Account or a Customer.</td>
</tr>
<tr>
<td>Entity ID</td>
<td>Displays the entity identifier of the entity type. If the Entity type is Customer, the Customer ID is displayed. If the Entity Type is Account, the Account ID is displayed.</td>
</tr>
<tr>
<td>Entity Name</td>
<td>Displays the entity name of the entity type. If the Entity Type is Customer, this field displays the Customer Name. If the Entity Type is Account, this field displays the Account Name.</td>
</tr>
<tr>
<td>Case Source</td>
<td>Displays the case source for the FATCA case. A case source can be any of the following types:</td>
</tr>
<tr>
<td></td>
<td>- Accelerated Re-review Alerts</td>
</tr>
<tr>
<td></td>
<td>- Correlation Promotion</td>
</tr>
<tr>
<td></td>
<td>- Deployment Initiation</td>
</tr>
<tr>
<td></td>
<td>- Default Review</td>
</tr>
<tr>
<td></td>
<td>- Manual</td>
</tr>
<tr>
<td></td>
<td>- Promoted from Alert</td>
</tr>
<tr>
<td></td>
<td>- Periodic Review</td>
</tr>
</tbody>
</table>
Managing FATCA Cases
Chapter 7—Investigating FATCA Assessments and Cases

Priority Displays the priority of the FATCA case. The following are the various priorities that a case can have:
- High
- Medium
- Low

Case Type Displays the case type of the case as FATCA.

Case Status Displays the status of the FATCA case. The following are the various statuses that a case can have:
- Awaiting Response
- Closed
- Closed - Account(s) Closed
- Closed - Duplicate Case
- Closed - Employee Terminated
- Closed - Funds Recovered
- Closed - Loss Charged Off
- Closed - New Case Opened
- Closed - No SAR Filed
- Closed - Referred to External Agency
- Closed - SAR Filed
- Closed - Withheld Action
- Closed - MY STR Filed
- Closed - NG STR Filed
- Closed - SG STR Filed
- Closed By System
- Closed-Merged
- Escalated
- File SAR
- Investigation
- Monitor
- New
- Recommend Closure
- Recommend Monitor
- Reopened

Due Date Displays the due date of the FATCA case.

Jurisdiction Displays the business jurisdiction associated with the FATCA case.

Owner Displays the name of the user or user group who owns the FATCA case.

Assigned To Displays the name of the user or user group to whom the FATCA case is assigned.
Table 69. FATCA Case List Components (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Geographic Jurisdiction</td>
<td>Displays the name of the geographic jurisdiction associated with the FATCA case.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Case Subtype</td>
<td>Displays the case subtype of the FATCA case. For example, Due Diligence</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Title</td>
<td>Displays the title of the FATCA case.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Linked Cases</td>
<td>Displays the count of linked cases associated with the FATCA case.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Displays the created date of the FATCA case.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Modified Date</td>
<td>Displays the last modified date of the FATCA case.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Modified By</td>
<td>Displays the name of user who last modified the FATCA case.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.</td>
</tr>
<tr>
<td>Created By</td>
<td>Displays the name of the user who created the FATCA case.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> By default, this field is not displayed in the FATCA Case List section. You can choose to include this field through Field Chooser option.</td>
</tr>
</tbody>
</table>
Managing FATCA Case Details

The FATCA Case Details page contains information that assists you in the analysis and resolution of the FATCA case. When you select a FATCA case from the FATCA Case List, the system navigates you to the FATCA Case Details page. The primary way to navigate to the FATCA Case Details page is by clicking the Case ID hyper link in the FATCA Case List section.

When you navigate to the FATCA Case Details page for a case, the case is locked by you and other users are allowed view only access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).

**Figure 91. FATCA Case Details Page**

Within the FATCA Case Details page, you can access additional information related to the case by selecting other tabs. Refer to section *FATCA Case Business Data Tabs* for more information about tab pages.

The following section explains how you can navigate among different tabs of FATCA case detail page. Tabs display information based on the case type and subtype of the case.

The FATCA Case Details page comprises of the following:

- Components of the FATCA Case Details Page
- FATCA Case Data Tabs
- FATCA Case Business Data Tabs

The FATCA Case Data tabs and Business tabs display horizontally under the FATCA case context and you can view them by clicking the Case ID hyper link on the FATCA Case List. The case context is always visible above the horizontal tabs. The data in each tab displays based on the access privilege provided to the user. Refer to section *User Privileges* for access control permissions.
Components of the FATCA Case Details Page

The FATCA Case Details page includes the following areas of information:

- **Page Context Controls (Bread crumbs):** Displays your location in the workflow and how you got to this particular page.

- **FATCA Case Context Information:** Provides a brief description of the case and the context for determining what actions need to be taken to dispose of the case. The case context displays on the top of every tab. Once you have entered the workflow for a single case (by selection of the case from the Case List), the case context shall remain visible to you as you navigate the various tabs relevant to the particular case. You can also click the (-) or (+) to contract and expand the Case Context. By default, the case context displays in the contracted mode displays Case ID and Title information with an expand sign visible on it.

Table 70 provides a list of the fields that display in the FATCA Case Context information area:

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case ID</td>
<td>Displays the FATCA Case Identifier.</td>
</tr>
<tr>
<td>Title</td>
<td>Displays the title of the FATCA case.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Displays the date on which the FATCA case was created.</td>
</tr>
</tbody>
</table>
| Priority    | Displays the priority of the FATCA case. The following are the various priorities that a case can have:  
- High
- Medium
- Low
Managing FATCA Cases
Chapter 7—Investigating FATCA Assessments and Cases

Table 70. FATCA Case Context Components (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Status</td>
<td>Displays the current status of the FATCA case. The following are the various statuses that a case can have:</td>
</tr>
<tr>
<td></td>
<td>● Awaiting Response</td>
</tr>
<tr>
<td></td>
<td>● Closed</td>
</tr>
<tr>
<td></td>
<td>● Closed - Account(s) Closed</td>
</tr>
<tr>
<td></td>
<td>● Closed - Duplicate Case</td>
</tr>
<tr>
<td></td>
<td>● Closed - Employee Terminated</td>
</tr>
<tr>
<td></td>
<td>● Closed - Funds Recovered</td>
</tr>
<tr>
<td></td>
<td>● Closed - Loss Charged Off</td>
</tr>
<tr>
<td></td>
<td>● Closed - New Case Opened</td>
</tr>
<tr>
<td></td>
<td>● Closed - No SAR Filed</td>
</tr>
<tr>
<td></td>
<td>● Closed - Referred to External Agency</td>
</tr>
<tr>
<td></td>
<td>● Closed - SAR Filed</td>
</tr>
<tr>
<td></td>
<td>● Closed - Withheld Action</td>
</tr>
<tr>
<td></td>
<td>● Closed - MY STR Filed</td>
</tr>
<tr>
<td></td>
<td>● Closed - NG STR Filed</td>
</tr>
<tr>
<td></td>
<td>● Closed - SG STR Filed</td>
</tr>
<tr>
<td></td>
<td>● Closed By System</td>
</tr>
<tr>
<td></td>
<td>● Closed-Merged</td>
</tr>
<tr>
<td></td>
<td>● Escalated</td>
</tr>
<tr>
<td></td>
<td>● File SAR</td>
</tr>
<tr>
<td></td>
<td>● Investigation</td>
</tr>
<tr>
<td></td>
<td>● Monitor</td>
</tr>
<tr>
<td></td>
<td>● New</td>
</tr>
<tr>
<td></td>
<td>● Recommend Closure</td>
</tr>
<tr>
<td></td>
<td>● Recommend Monitor</td>
</tr>
<tr>
<td></td>
<td>● Reopened</td>
</tr>
<tr>
<td>Current FATCA Status</td>
<td>Displays the last updated FATCA Status of the FATCA case.</td>
</tr>
<tr>
<td>Case Type</td>
<td>Displays the case type of the case as FATCA.</td>
</tr>
<tr>
<td>Case Subtype</td>
<td>Displays the case subtype of the FATCA case. For example, Due Diligence.</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>Displays the subclass 1 for the FATCA case.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Displays the subclass 2 for the FATCA case.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Displays the business jurisdiction associated with the FATCA case.</td>
</tr>
<tr>
<td>Geographic Jurisdiction</td>
<td>Displays the name of the geographic jurisdiction associated with the FATCA case.</td>
</tr>
<tr>
<td>Owner</td>
<td>Displays the name of the user or user group who owns the FATCA case.</td>
</tr>
<tr>
<td>Organization</td>
<td>Displays the name of the organization associated with the FATCA case.</td>
</tr>
<tr>
<td>Entity Type</td>
<td>Displays the type of entity associated with the FATCA case. An Entity Type can either be Account or a Customer.</td>
</tr>
</tbody>
</table>
Managing FATCA Cases
Chapter 7—Investigating FATCA Assessments and Cases

Table 70. FATCA Case Context Components (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entity ID</td>
<td>Displays the identifier of the entity. An Entity ID can either be Account ID or a Customer ID.</td>
</tr>
<tr>
<td>Entity Name</td>
<td>Displays the entity name of the related entity type. An Entity Name can either be Account Name or a Customer Name.</td>
</tr>
<tr>
<td>Business Domain</td>
<td>Displays the business domain associated with the FATCA case.</td>
</tr>
<tr>
<td>Case Source</td>
<td>Displays the case source for the FATCA case. A case source can be any of the following types:</td>
</tr>
<tr>
<td></td>
<td>- Accelerated Re-review Alerts</td>
</tr>
<tr>
<td></td>
<td>- Correlation Promotion</td>
</tr>
<tr>
<td></td>
<td>- Deployment Initiation</td>
</tr>
<tr>
<td></td>
<td>- Default Review</td>
</tr>
<tr>
<td></td>
<td>- Manual</td>
</tr>
<tr>
<td></td>
<td>- Promoted from Alert</td>
</tr>
<tr>
<td></td>
<td>- Periodic Review</td>
</tr>
<tr>
<td>Linked Cases</td>
<td>Displays the count of linked cases associated with the FATCA case.</td>
</tr>
<tr>
<td>Modified Date</td>
<td>Displays the last modified date of the FATCA case.</td>
</tr>
<tr>
<td>Modified By</td>
<td>Displays the name of user who last modified the FATCA case.</td>
</tr>
<tr>
<td>Assessment FATCA Status</td>
<td>Displays the FATCA Status of the assessment from which the FATCA case was promoted.</td>
</tr>
<tr>
<td>Case Summary</td>
<td>Displays the summary of the investigations and actions performed on the FATCA case as provided by the FATCA Analyst and FATCA Supervisor users.</td>
</tr>
<tr>
<td>Case Description</td>
<td>Displays the case description of the FATCA case giving a high level insight on the subject matter of the case.</td>
</tr>
</tbody>
</table>

- **Action buttons**: You can perform actions using the Action buttons that is available above the Case context section. These buttons are visible as per the your access permissions.

- **Editing FATCA Case Details**: The FATCA Case Context details has an Edit icon to edit case details, provided you have the access privilege to edit the case details. The edit option provided in the FATCA Case Details section enables you to edit the contents of FATCA case context and case details.

**FATCA Case Data Tabs**

FATCA Case Data tabs refer to those tabs that display for all cases and include the following:

- Case Details Tab
- FATCA Assessment Tab
- Relationship Tab
- Narrative Tab
- Evidence Tab
- Audit Tab
The Case Data tabs and Business tabs display horizontally under the case context and you can view them by clicking the Case ID hyperlink on the Case List. The case context is always visible above the horizontal tabs. The data in each tab displays based on the access privilege provided to the user. Refer to Table 4 for access control permissions for each tab.

**Case Details Tab**

The Case Details tab contains information that assists you in the analysis and resolution of the case. When you select a case from the Case List, the application navigates you to the Case Details tab.

The primary way to navigate to the Case Details tab is by clicking the Case ID hyperlink in the Case List matrix.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created By</td>
<td>The user who created the case.</td>
</tr>
<tr>
<td>Last Updated By</td>
<td>The user who Last updated the case details.</td>
</tr>
<tr>
<td>Last Updated Date</td>
<td>The last updated date for case details.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>The user or group to whom the case is assigned to.</td>
</tr>
<tr>
<td>Assigned By</td>
<td>The user or group who assigned the case.</td>
</tr>
<tr>
<td>Assigned Date</td>
<td>The date when the case was assigned.</td>
</tr>
<tr>
<td>Due Date</td>
<td>Date by which an action should be taken on the case.</td>
</tr>
<tr>
<td>Last Action</td>
<td>Last action performed on the case.</td>
</tr>
<tr>
<td>Reporting Cost Center</td>
<td>The cost center to which the total net loss amount for this investigation should be associated.</td>
</tr>
<tr>
<td>Regulatory Report Type</td>
<td>Regulatory Reporting types that are available to the user (for example, (SARDI). Regulatory Reporting is an optional Enterprise Case Management application.</td>
</tr>
<tr>
<td>Regulatory Report Status</td>
<td>The current reporting status of a case that has been recommended for Regulatory Reporting, an optional Enterprise Case Management application.</td>
</tr>
</tbody>
</table>
Table 71. Case Details Information (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net Loss Amount</td>
<td>Total loss remaining after Averted Loss and Recovery Amounts have been subtracted from the Potential Loss. This information is applicable to fraud type cases in particular.</td>
</tr>
<tr>
<td>Resolution Date</td>
<td>Date when the closing action was taken.</td>
</tr>
<tr>
<td>Resolution</td>
<td>Closing actions that have been taken on a case.</td>
</tr>
<tr>
<td>Resolution Comments</td>
<td>Comments provided by the user when the closing action has been taken.</td>
</tr>
<tr>
<td>Case Description</td>
<td>Description of the case that gives an high level insight on the subject matter of the case.</td>
</tr>
</tbody>
</table>

**Note:** When you navigate to the Details page for a case, the case becomes locked by you and other users are allowed view only access to the case. If other users attempt to access the same case, they will receive a message informing them that the case is locked by another user and granted only view rights (they can take no action on the case).

The edit option provided in the Case Details section enables you to edit the contents of case context and case details.

To edit a FATCA case in the Case Details section, follow these steps:

1. Click the **Edit** button in the Case Details tab.
   
   A pop-up opens with **Save**, **Reset**, and **Cancel** buttons. The pop-up displays all fields of Case Context and Case Details sections (Table 70 and Table 71). Among them the following fields are editable:
   
   a. Title
   b. Priority
   c. Confidential Flag
   d. Type
   e. Subtype
   f. Subclass 1
   g. Subclass 2
   h. Case Summary
   i. Case Description

2. Modify the desired fields. Make sure before saving that all required fields are populated.

3. Click **Reset** if you want to reset the changes back to the previous values.

4. Click **Save** to save the changes.

   The pop-up is closed and the Case Context and Case Details section is refreshed to display the updated contents.

   At any point of time if you want to cancel the edit operation before saving, click **Cancel**. The system aborts the action navigates you to the Case Context and Case Details section.

   **Note:** You can change the Status field only if you first change the case type.
**Editing FATCA Status of a FATCA Case**

You can edit the current FATCA status of a FATCA case while editing the case details.

To edit the current FATCA status of a FATCA case, follow these steps:

1. Navigate to FATCA Case Details page of a FATCA case.
2. Click **Edit** from the **Details** tab. An Edit Case window is displayed.

![Figure 93. Editing the FATCA Status of a FATCA Case](image)

3. From the **FATCA Status** drop-down list, select the required status.
4. Click **Save**. The following message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
5. Click **OK**.

The current FATCA status is updated for the FATCA case and displays in the FATCA Case Context details.

**FATCA Assessment Tab**

The FATCA Assessment tab displays information as a result of rules that were run and also displays the actual values against the threshold values. You can navigate to the FATCA Assessment tab by clicking on the FATCA Case ID hyper link from FATCA Case Search and List page.

This tab will fetch the assessment information from the FATCA Assessment Details page of an assessment on which the FATCA case was promoted. This tab will display the assessment information based on the assessment performed an entity type. An entity type can either be an Account or a Customer.

If the assessment is performed on a Customer, then this tab will display the assessment details of the customer. For detailed information, refer to *Viewing Details of FATCA Assessment on a Customer*
If the assessment is performed on an Account, then this tab will display the assessments details of the account. For detailed information, refer to section Viewing Details of FATCA Assessment on an Account.

Figure 95. Assessment Tab - FATCA Assessment on an Account
**Relationship Tab**

The Relationship tab provides information regarding other cases that are related to the current case being investigated. The page enables you to view the list of cases related to the current case through relationships to entities involved in other cases or by virtue of another case being linked to the current case. If your role permits, you can link, unlink, or add more links in the related cases section.

**Components of Relationship Tab**

The Relationships tab contains the following components:

- Related Cases
- Related FATCA Assessments

**Related Cases**

Displays FATCA cases that are related to the current case through common business entities and cases, which have been manually linked to the current case by a user. If the number of cases exceeds the default for display, you can use the pagination option in the Related Cases matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all cases that have same business entity ID(s) as that of Case A are considered as related cases. For example, if two FATCA cases posses the same customer IDs or account IDs or other business entity IDs applicable in Enterprise Case Management then they are considered as related. Only those cases to which the user has access permission based on security attributes displays in the grid.

For more information, refer to chapter *Investigating Cases*.

**Related Alerts**

The following section on Related Alerts is only applicable if your firm has implemented Behavior Detection. Refer to *Alert Management User Guide*, for more information on alerts and alert management. The Related Alerts matrix displays all those alerts that are related through common business entities and alerts which are manually linked to the
current case by the user. If the number of alerts exceeds the default for the display, you can use the pagination for the display option in the Related Alerts matrix to view additional records. The following example explains the logic used to identify common business entities.

For Case A, all alerts which are focused on the same business entity ID as that of Case A are considered as related alerts. In other words, if an alert and a case are focused on the same customer ID or account ID or any other business entity ID applicable in Enterprise Case Management module, then they are considered as related.

For more information, refer to chapter Investigating Cases.

**Related FATCA Assessments**

This section enables you to view the related FATCA assessments for the focal entity of the case.

For more information on column descriptions, refer to section Viewing Relationships in Managing FATCA Assessment Details.

**Note:** Related FATCA Assessments section is a View Only option and will not display any action buttons.

**Narrative Tab**

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of a FATCA case that has helped you decide how to dispose the case. The narrative exists as a single data element on a case, which allows you to add and to maintain that narrative.

**Figure 97. Narrative Tab**

**Components of the Narrative Tab**

The Narrative area includes the following components:

- **Narrative** entry box: Provides a large free text entry area in which you can optionally enter, save, and modify textual analyses of a particular case. By default, the entry box is blank if previous narrative has not been added or if no alert narratives were imported to the case during promotion of alerts to the case (applicable only if your firm has implemented Behavior Detection). This area accepts up to 34 lines of text before requiring vertical scrolling.

- **Last Updated** field: Displays the latest date and time when the Narrative entry box was modified.
By field: Displays the identity of the user who entered or modified the text in the Narrative entry box.

Edit button: Allows you to edit the text in the Narrative entry box. If the entry box is blank, click Edit to enter the text in the entry box.

Save button: When clicked, any modifications in the entry box are saved.

Reset button: When clicked, reverts any modification in text to the previously saved version.

For more information, refer to Chapter 5, *Investigating Cases*.

**Evidence Tab**

If your role permits, the Evidence tab allows you to add comments or attachments to the FATCA case under investigation.

The Evidence tab displays the comments and attachments previously added to the case. The Evidence tab displays the comments added through the Evidence tab, the Case List, and all the attachments associated with the FATCA case that have been added through Evidence tab and through specific case actions.

The Comments matrix includes the creation date and time of the comment action, the user who took the action, FATCA case status at the time of the comment, and the comments added fields.

The Attachment matrix allows you to view the attachments added to the FATCA case either through the Evidence tab or added as a part of any actions taken on the case during investigation. It includes the creation date and time of the case action associated with the attachment of the file to the case, the user who took the action, case status at the time of the action or resulting from the action, any comments associated with the action, attachment name, and the Attachment icon fields.

**Note**: While adding an attachment, make sure to enter the document type in the Attachment Comment section.

You can add comments (both free text and standard comments) to the case. Refer to section *Implicit Actions* for details on how to add a comment to the case.

You can also add and remove attachments during the investigation of a case.

Refer to the section *Audit Tab* for more information on the behavior of Attachment icon and the Comments column.

**Audit Tab**

The Audit tab allows you to view the actions previously performed on the current FATCA case under investigation. It includes the creation date and time of the case action, the action, owner, the user who took the action, case status, any comments associated with the action, attachment name, and the Attachment icon fields.
Managing FATCA Cases
Chapter 7—Investigating FATCA Assessments and Cases

Figure 99. Audit Tab
The **Attachment** icon displays for actions with an attachment. In order to view attachments, you can click the icon. Clicking the **Attachment** icon opens the Attachment List pop-up with a list of attachments available for viewing. In the Comments column for all comments, which exceed the width of the column, you can click the **Expand** button to view the full text of the comment.

When both standard comments (comments selected from a pre-set list of comments) and free text comments are provided along with an action, the free text comments will appear appended with the selected standard comments.

For all Link and Unlink actions, the Audit tab displays the linked alert (contingent on implementation of Behavior Detection), and case IDs appended with the comments provided by the user as part of the Link or Unlink action.

**FATCA Case Business Data Tabs**

Business tabs help the investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

This section includes the following topics:

- Customer Tab
- Account Tab

**Customer Tab**

The customer tab displays the primary customer information and its interested parties. The customer tab displays the customer information based on Customer Type.

Figure 100. Customer Tab
Note: The Customer Name in the Customer tab displays the full name of the customer as recorded in the Business Schema.

To add entities, refer to the section Adding a New Entity.

To edit entities, refer to the section Modifying Existing Business Data.

To modify entities, refer to the section Removing Business Data.

For detailed information on Customer tab, refer to section Customer Tab Supplemental Details. FATCA cases also display Customer Documentation as one of the LHS menu.

**Account Tab**

The Account tab displays all the accounts of the primary customer and their interested parties.

![Figure 101. Account Tab](image)

To add entities, refer to the section Adding New Entity.

To edit entities, refer to the section Modifying Existing Business Data.

To remove entities, refer to the section Removing Business Data.

For detailed information on Account tab, refer to section Account Tab Supplemental Details.
Acting on FATCA Cases

During analysis of a FATCA case, you may take various actions, such as, add comments and attachments to a case to document the analysis and disposition of the case. Some actions represent definitive progress in analysis and may therefore update the status of the case. For detailed information, refer to chapter Investigating Cases.

This section provides information about case actions and the available actions:

- Assigning a FATCA Case
- Resolutions for a FATCA Case
- Recommending a FATCA Case for Close Action
- Reopening a FATCA Case
- Reviewing a FATCA Case
- Escalating a FATCA Case
- Setting Due Date for a FATCA Case
- Printing Summary
- Implicit Actions

Assigning a FATCA Case

If you are a FATCA Supervisor user role, Enterprise Case Management enables you to assign a FATCA case or reassign ownership to different users or user groups. If a FATCA case’s initial analysis reveals an issue that should be reviewed by another user, you can reassign the FATCA case to the most appropriate user or group of users. It is also possible to retain ownership of a FATCA case while assigning it to another user to handle part of the investigation.

FATCA Cases can be assigned by selecting the Assign action icon, which opens the Assignment action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To undertake an Assign To or Reassign Ownership action on a FATCA case, follow these steps:

1. From the FATCA Case Details page, select the Assign action icon from the list of action categories.
   
   Alternatively, from the FATCA Search and Case List page, select one or more cases that need to be reassigned using the check boxes and click the Assign action category.

2. Select Assign To or Reassign Ownership action or both from the Select an Action drop-down list.

   The Assign To action does not change the ownership of the case, whereas, the Reassign Ownership action changes the ownership of the case. The corresponding Assign To and Reassign Ownership To fields are enabled in the UI.

   Alternatively: While performing actions on FATCA cases, a FATCA Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the FATCA case.

   **Note:** Deselect the Auto Assignment check box to enable the Reassign Ownership To field.
3. Select a user or appropriate organization in each drop-down list and provide the mandatory comments.

Optional: You can set a due date for the case.

4. If you want to attach a file to the FATCA case, you can click the Save and Attach icon. The message displays: The selected action(s) will be applied on the case(s). Click OK to attach documents.

Click OK. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click Save instead of Save and Attach, a confirmation message displays: Would you like to save these actions?

6. Click OK to save the actions.

Enterprise Case Management records the action, updates the case information, and closes the action pop-up. Your application navigates to the FATCA Search and Case List or FATCA Details page with the refreshed information.

At any point of time in the pop-up, if you do not want to undertake the Assignment action, click Cancel on the pop-up window.

Note: While performing an Assign To action, if you do not enter value in the Assign To field and click Save, an error message displays: You have not entered a value in the Assigned To field. Please enter a value in Assigned To field.

While performing a Reassign Ownership action, if you do not select any value in the Re-assign Ownership To drop-down list and click Save, an error message displays: You are attempting to re-assign. Please select a new owner in the Owner drop-down list.

The list of users available in Reassign Ownership To and Assign To drop-down list are based on access privileges to the FATCA cases on which the action is being taken and the eligibility to own a FATCA case.

Resolutions for a FATCA Case

If you are a FATCA Supervisor user, Enterprise Case Management enables you to take an action to close a FATCA case.

A FATCA Supervisor user can close FATCA cases by selecting the Resolution action icon, which opens the Resolution action category pop-up. The pop-up displays all the selected Case IDs along with additional fields. Enterprise Case Management enables the closure of case both with and without supervisor-level approval.

Note: A FATCA Analyst user can only recommend for closure of a FATCA case.

Supervisor approval provides a dual control or approval process that requires a FATCA Supervisor user to approve actions of other users, prior to those actions taking full effect on the FATCA case (for example, closing the case). This process also enables users of specified roles to acknowledge approved or rejected changes proposed and to annotate an acknowledgement with comments.

When a Resolution action is performed and the FATCA case is moved to the Closed status, the existing due date of the FATCA case, if present, is cleared by the system.

Note: If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: There are no actions available for the selected cases under this action category.
Managing FATCA Cases
Chapter 7—Investigating FATCA Assessments and Cases

Recommending a FATCA Case for Close Action

If you are a FATCA Supervisor user and perform the resolution action on a non-closed case, the FATCA case moves to the Recommend Closure status, where you need to assign to a FATCA Supervisor user who can approve or reject the recommendation. If approved, the FATCA case is closed and if rejected, the FATCA case is pushed back to the old status without closing. If a FATCA Supervisor performs the resolution action on a non-closed case, the FATCA case is directly closed without requiring additional approval.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

If you are a FATCA Supervisor user, to recommend a FATCA case for closure, follow these steps:

1. From the FATCA Case Details tab, select the **Resolution** action icon from the list of action categories.
   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases that need to be closed using the check boxes, and click the **Resolution** action category.
   The Resolution action pop-up displays.
2. Select the Closing action you want to perform on the case.
   You can select only one action from the list.
3. Select users from the **Assign To** drop-down list from whom the approval is required.
4. Provide a mandatory comment for resolution action.
   Optional: Set a due date for the case. You cannot perform the Ownership Re-assignment while performing a resolution action.
5. Click the **Save and Attach** icon to attach a file. The message displays: *The selected action(s) will be applied on the cases.* Click OK to attach documents.
6. Click **OK**.
   The Save and Attach pop-up displays to proceed with attaching the file.
   If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*
7. Click **OK**.
   Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected FATCA cases to Recommend Closure, and closes the pop-up window. You return to the FATCA Search and Case List page or Details page with the refreshed information based on from where you took the action.
   At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

A FATCA Supervisor user can close a FATCA case through following steps:

1. From the FATCA Case Details page, select the **Resolution** action icon from the list of action categories.
   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases that need to be closed using the check boxes, and click the **Resolution** action category.
   The Resolution action pop-up displays.
2. Select the closing action that you want to perform on the FATCA case. You can select only one action from the list.
3. Provide mandatory comments for resolution action. You cannot perform the Ownership Re-assignment while performing a resolution action.

4. Click the **Save and Attach** icon to attach a file.
   
   The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

5. Click **OK** to save the actions. The **Save and Attach** pop-up displays to proceed with attaching the file.
   
   If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK**.
   
   Enterprise Case Management records the action, updates the case information, changes the statuses of all the selected FATCA cases to the appropriate close status based on the closing action taken, and closes the pop-up window. You return to the FATCA Search and Case List page or FATCA Case Details page with the refreshed information based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Resolution action, click **Cancel** on the pop-up window.

---

**Approving a Case Recommended for a Close Action**

A FATCA Supervisor can select all the FATCA cases recommended for a closure by filtering for FATCA cases that have been assigned to you and with status as Recommend Closure. After investigating on the correctness of the recommend action, you can approve or reject the FATCA case. If a FATCA Supervisor user takes the Approve Resolution Recommendation action and there was a due date associated with the FATCA case, the due date is cleared. If a FATCA Supervisor takes the Reject Resolution Recommendation action, the existing due date, if one exists, is not cleared.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To approve or reject a recommend closure, follow these steps:

1. From the FATCA Case Details page, select the **Resolution** action icon from the list of action categories for a case with a status of Recommend Closure.

   *Alternatively*, from the FATCA Search and Case List page, select one or more FATCA cases that are with status as Recommend Closure using the check boxes, and click the **Resolution** action category.

   The resolution action pop-up displays.

2. Review the closing action recommended by other Investigator user role and select Approve Resolution Recommendation or Reject Resolution Recommendation actions from the **Select an Action** drop-down list.

   If the Approve Resolution Recommendation action is selected, then provide mandatory comments in the **Comments** field.

   If the Reject Resolution Recommendation action is selected, then optionally, you can set a due date, select a user or group of users in the **Assign To** drop-down list and provide mandatory comments in the **Comments** field.

3. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*
Note: You can only attach documents in formats that you have predefined during the installation of application.

4. Click **OK**. The Save and Attach fields display to attach the file.

5. If, at step 3 you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the case information, changes the FATCA case status to appropriate closed status if approval action is performed or to the old status of the FATCA case if a reject action is performed and returns you to the FATCA Search and Case List or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the **Resolution** action, click **Cancel** on the pop-up window.

### Reopening a FATCA Case

Enterprise Case Management enables a FATCA Supervisor user to reopen closed cases for further investigation. You can reopen FATCA cases by selecting the **Reopen** action icon, which opens the Reopen action category pop-up. The pop-up displays all the selected Case IDs along with other additional fields. In addition, you can group one or more cases and reopen.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop-up window opens: *There are no actions available for the selected cases under this action category.*

To reopen a case, follow these steps:

1. From the FATCA Case Details page for a closed FATCA case, select the **Reopen** action icon from the list of action categories.

   *Alternatively*, from the FATCA Search and Case List, select one or more FATCA cases that need to be reopened using the check boxes, and click the **Reopen** action category.

   The Reopen action pop-up displays.

2. In the pop-up window, provide comments.

   *Optional:* You can set a due date for the case.

3. Click the **Save and Attach** icon to attach a file.

   The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

4. Click **OK**.

   The Save and Attach pop-up displays to proceed with attaching the file.

   If you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

5. Click **OK**.

   Enterprise Case Management records the action, updates the case information, changes the FATCA case status to Reopened, and returns you to the FATCA Search and Case List page or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Reopen action, click **Cancel** on the pop-up window.
Reviewing a FATCA Case

If you are a FATCA Supervisor user, Enterprise Case Management enables you to take review oriented actions. These actions involve reviewing the case with peers as part of case investigation. Actions within this category may or may not result in a change to the FATCA case status.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform a review oriented action on a case, follow these steps:

1. From the FATCA Case Details page, select the **Review** action icon from the list of action categories.
   
   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases using the check boxes, and click the **Review** action category.
   
   The Review action pop-up displays.

2. In the pop-up, select one or more review oriented actions from the **Select an Action** drop-down list.
   
   Alternatively: While performing actions on FATCA cases, a FATCA Supervisor user can automate the assignment of ownership of the case by selecting the **Auto Assignment** check box. Selecting this check box will disable the **Reassign Ownership To** field and the system will automatically assign the owner defined in **Case Assigner Editor** under **Case Management Configuration** settings set by an Oracle Administrator user as the new owner of the FATCA case.
   
   **Note:** Deselect the Auto Assignment check box to enable the **Reassign Ownership To** field.

3. Provide comments.
   
   Optional: You can set a due date for the case.

4. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*
   
   Click **OK**. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

6. Click **OK** to save the actions.
   
   Enterprise Case Management records the action, updates the case information, and returns you to the FATCA Search and Case List page or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Review action, click **Cancel** on the pop-up window.
Escalating a FATCA Case

If you are a FATCA Supervisor user, Enterprise Case Management enables you to take the escalate actions. You should take these actions when the case needs escalation with peers for additional review.

This action category does not involve approvals; however, you can use approval if there is a need for the case to escalate to other users for additional review or action. On completion of the review, the user from whom the escalation action was requested can move the case back to the investigation workflow or set to monitor or mark it as appropriate for a File SAR action.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform an Escalate action on a FATCA case, follow these steps:

1. From the FATCA Case Details page, select the **Escalate** action icon from the list of action categories.
   
   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases that need to be escalated using the check boxes, and click the **Escalate** action category.
   
   The Escalate action pop-up displays.
   
   If you are a FATCA Supervisor user role your only option is to escalate the case for review. If you are a FATCA Supervisor user, then additional actions display allowing you to respond to escalation requests.

2. Select an action applicable to your role.
   
   **Note:** For actions such as *Escalate for review* and *Escalation review completed - Return to Investigation*, entering comments and assign to actions are mandatory.

3. Select a user or group of users in the **Assign To** field and set a due date for the case.

4. Provide comments in the **Comments** text box.

5. If you want to attach a file to the case, you can click the **Save and Attach** icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

   Click **OK**. The Save and Attach fields displays to attach the file.

6. If, at step 5, you click **Save** instead of **Save and Attach**, a confirmation message displays: *Would you like to save these actions?*

7. Click **OK** to save the actions.

   Enterprise Case Management records the action, updates the FATCA case information, changes the status as appropriate based on the actions selected, assigns the FATCA case back to the Investigator user, clears the due date and returns you to the FATCA Search and Case List or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Escalate action, click **Cancel** on the pop-up window.
Setting Due Date for a FATCA Case

If you are a FATCA Supervisor user, Enterprise Case Management enables you to set a due date or to clear existing due date on cases. These actions while being performed along with other action categories can also be performed individually through due date action category.

If your system is configured with default due dates for some actions, then that default date will be applied to the FATCA case when those actions are taken. When actions having different default due dates are multi-selected and acted upon the FATCA case, then the nearest date among all the available due dates is applied as the due date of the case. However, if you manually enter a due date in the Due Date field of the action pop ups, it will overwrite the default due date configured for the actions.

**Note:** If you try to perform an action on a case whose current status does not support those actions, then the following warning message is displayed after the action pop up window opens: *There are no actions available for the selected cases under this action category.*

To perform a Due Date action on a case, follow these steps:

1. From the FATCA Case Details page, select the Due Date action icon from the list of action categories.

   Alternatively, from the FATCA Search and Case List page, select one or more FATCA cases, and click the Due Date action category.

   The Due Date action pop-up displays.

2. In the pop-up, select Set Due Date, if a due date has to be set or Clear Due Date, if existing due date to be cleared, based on the need from the Select an Action drop-down list.

3. Provide mandatory comments.

   Optional: You can set a due date for the case. Select a user or group of users in Assign To or in Reassign Ownership To fields.

   Alternatively: While performing actions on FATCA cases, a FATCA Supervisor user can automate the assignment of ownership of the case by selecting the Auto Assignment check box. Selecting this check box will disable the Reassign Ownership To field and the system will automatically assign the owner defined in Case Assigner Editor under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the FATCA case.

   **Note:** Deselect the Auto Assignment check box to enable the Reassign Ownership To field.

4. If you want to attach a file to the FATCA case, you can click the Save and Attach icon. The message displays: *The selected action(s) will be applied on the case(s). Click OK to attach documents.*

   Click OK. The Save and Attach fields displays to attach the file.

5. If, at step 4, you click Save instead of Save and Attach, a confirmation message displays: *Would you like to save these actions?*

6. Click OK to save the actions.

   Enterprise Case Management records the action, updates the FATCA case information, sets a new due date or clears the existing due dates, and returns you to the refreshed FATCA Search and Case List page or FATCA Case Details page based on from where you took the action.

   At any point of time in the pop-up, if you do not want to undertake the Due Date action, click Cancel on the pop-up window.
Printing Summary

If your role permits, you can print the summary of a FATCA Case Investigative Report. From FATCA Case Details page, click Print Summary to print the summary of the report in a PDF format.

Note: If the narrative for print details exceeds 4000 characters, the system prints narrative of first 4000 characters.

Implicit Actions

Apart from actions that a user performs, there are actions that the system implicitly performs. The following are the implicit action:

- **Viewed by Owner**: The system records this action as a system action on a case, which has its ownership assigned to an authorized user, and that user navigates to the FATCA Case Details page of the FATCA case for the first time. The action is recorded even though the user does not perform any action on the case.

If your firm has configured your implementation for case inheritance and the FATCA case is in the New or Reopened status, you will become the owner of the FATCA case based on the following conditions:

- The case is currently owned by an organization of which you are a member
- You have eligibility to own the case
- You navigate to the FATCA Case Details for the case

The system assigns you ownership of the FATCA case along with recording the Viewed by Owner action.

When a user belonging to a pool who owns a case, either takes action from the FATCA Search and Case List page or visits the FATCA Case Details page, the ownership transfers to the user. Case Inheritance is a configurable parameter where it’s functionality can be enabled or disabled. If the user reassigns the FATCA case to a group from the FATCA Case Details page, the ownership is transferred to the group and is not immediately shift back to the user. Thus, inheritance remains deferred till a user visits the case details or takes an action from the FATCA Search and Case List page.

**Note**: Closed FATCA cases owned by an individual user are not subject to case inheritance.

- **Viewed by Assignee**: The system records this action on a FATCA case, which has been assigned to an authorized user, and that user navigates to the FATCA Case Details page of the FATCA case for the first time. The action is recorded even though the user does not perform any action on the case.
Managing Withholding Transaction

This section includes the following topics:

- About Withholding Transaction
- Searching FATCA Withholding Transaction
- Viewing FATCA Withholding Transactions Details
- Editing FATCA Withholding Transactions Details
- Adding a New FATCA Withholding Transaction
- Viewing the FATCA Withholding Transaction History
- Exporting the FATCA Withholding Transactions

About Withholding Transaction

The Foreign Account Tax Compliance Act (FATCA) requires Foreign Financial Institutions (FFIs) to enter into an agreement with the IRS to identify their US Person account holders and to disclose the account holder's names, TINs, addresses, and the transactions of most types of accounts. FATCA regulation requires a participating FFI to withhold 30 percent, as per the current regulatory requirements, of any pass through payment to a recalcitrant account holder or to an FFI that does not meet the documentation requirements.

Withholding Transaction Management allows you can search for the required withholdings, update the transaction details, enables you to define the withholding percentage, modify the status of a withholding, and view the audit trail of all the modifications made to any withholdings.

Note: Users mapped to the role of FATCA Analyst, and FATCA Supervisors can access, add new or update the existing withholding transactions records whereas a FATCA Auditor user can only view the records.

Accessing Withholding Transaction

You can access the Withholding Transaction menu using the primary level of the navigation menu, which is located at the top of the page and is visible from all pages of the workflow. Click Withholding Transaction sub-menu option under the Investigations primary level of navigation menu. The Withholding Transaction Search and List page displays.

Figure 102. Withholding Transaction Search and List
Searching FATCA Withholding Transaction

The Withholding Transactions Search and List page enables you to filter the list of FATCA Withholding Transaction that you want to view and analyze. The FATCA Withholding Transactions List displays a list of FATCA Withholding Transactions that meet the criteria specified on the search bar.

To search for withholding transactions using the search bar, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.
2. Enter the search criteria to filter the list of FATCA Withholding Transactions. The following table explains the search components that display in the Search Bar.

Table 72. Searching FATCA Withholding Transactions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
</table>
| Percentage Withholding \( \geq \) | Enter a percentage withholding in the text box to filter the list of FATCA Withholding transactions whose percentage withholding is greater than or equal to the entered criteria.  

Validation Messages:
- If you enter a value in ‘Percentage Withholding \( \leq \)’ which is more than the ‘Percentage Withholding \( \geq \)’, then on click of Go the following message is displayed: Please enter a ‘Percentage Withholding \( \leq \)’ which is equal to or greater than ‘Percentage Withholding \( \geq \)’.
- If you enter a value in ‘Percentage Withholding \( \leq \)’ as less than 0 or more than 100, then on click of Go the following message is displayed: Please enter a value in the Percentage Withholding field in the range of 1 to 100.

| Percentage Withholding \( \leq \) | Enter a percentage withholding in the text box to filter the list of FATCA Withholding transactions whose percentage withholding is less than or equal to the entered criteria.  

Validation Messages:
If you enter a value in ‘Percentage Withholding \( \leq \)’ as less than 0 or more than 100, then on click of Go the following message is displayed: Please enter a value in the Percentage Withholding field in the range of 1 to 100.

| Withholding Status | Select a status from the multi-select drop-down options to filter the list of FATCA Withholding transactions having the selected criteria.  

The drop-down list display the following options:
- Select All
- Pending Approval
- Approved
- Expired

<table>
<thead>
<tr>
<th>Jurisdiction</th>
<th>Select a jurisdiction from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Geographic Jurisdiction</td>
<td>Select a geographic jurisdiction from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.</td>
</tr>
<tr>
<td>Business Domain</td>
<td>Select a business domain from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.</td>
</tr>
<tr>
<td>Created By</td>
<td>Select a user role from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.</td>
</tr>
</tbody>
</table>
Managing Withholding Transaction  
Chapter 7—Investigating FATCA Assessments and Cases

Table 72. Searching FATCA Withholding Transactions (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FATCA Status</td>
<td>Select a FATCA status from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.</td>
</tr>
<tr>
<td></td>
<td>The following are the various list options displayed in the drop-down:</td>
</tr>
<tr>
<td></td>
<td>● Select All</td>
</tr>
<tr>
<td></td>
<td>● Indeterminate</td>
</tr>
<tr>
<td></td>
<td>● Recalcitrant</td>
</tr>
<tr>
<td></td>
<td>● US person</td>
</tr>
<tr>
<td></td>
<td>● Non-participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>● Owner Documented FFI</td>
</tr>
<tr>
<td></td>
<td>● Participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>● Active NFFE</td>
</tr>
<tr>
<td></td>
<td>● Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>● Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● Exempt</td>
</tr>
<tr>
<td></td>
<td>● Non US person</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> An Administrator user can update the above statuses.</td>
</tr>
<tr>
<td>Transaction Source Code</td>
<td>Enter the transactions source code in the text box to filter the list of FATCA Withholding transaction that matches the selected criteria.</td>
</tr>
<tr>
<td></td>
<td>A Transaction Source Code is an identifier defined by a firm to identify the source of the transaction.</td>
</tr>
<tr>
<td>Modified By</td>
<td>Select a user roles from the multi-select drop-down list to filter the list of FATCA Withholding transactions that matches the selected criteria.</td>
</tr>
<tr>
<td>Modified Date &gt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA Withholding transactions whose last modified date are greater than or equal to the selected date.</td>
</tr>
<tr>
<td>Modified Date &lt;=</td>
<td>Select a date using the calendar icon to filter the list of FATCA Withholding transactions whose last modified date are less than or equal to the selected date.</td>
</tr>
</tbody>
</table>

**Validation Messages:**

- If you select a 'Modified Date <=' less than the 'Modified Date <=', then on click of Go the following message is displayed: *Please enter a 'Modified Date <=' which is equal to or greater than 'Modified Date >='.*
- If you select a 'Modified Date <=' greater than the 'Sysdate', then on click of Go the following message is displayed: *Please enter a 'Modified Date <=' which is earlier than or equal to sysdate.*
- If you selected a Modified Date <= but have not specified the Modified Date <=, then on click of Go the following message is displayed: *Modified Date >= is mandatory if 'Modified Date <=' is mentioned. Please enter a date in 'Modified Date >='.*
3. Click Go. The relevant search list is displayed.
   
   **Note:** The results in the FATCA Withholding Transactions List are sorted as per the Modified Date in descending order first and then as per Created Date in descending.

### Viewing FATCA Withholding Transactions Details

Users mapped to the role FATCA Analyst, FATCA Supervisors and FATCA Auditors can view the FATCA Withholding Transaction Details.

To view the FATCA Withholding transaction record, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.

2. Search for the required Withholding transaction record using the search bar. The list of withholding transactions records are displayed in the FATCA Withholding Transactions List section. For more information, refer to Searching FATCA Withholding Transactions.

The following table describes the components that are displayed in the FATCA Withholding Transactions List:

### Table 73. FATCA Withholding Transaction List Field Descriptions

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>Displays a unique number to identify the FATCA Withholding Transaction Record.</td>
</tr>
<tr>
<td>FATCA Status</td>
<td>Displays the latest FATCA Status of the withholding transaction record.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Displays the jurisdiction associated with the withholding transaction record.</td>
</tr>
<tr>
<td>Geographic Jurisdiction</td>
<td>Displays the geographic jurisdiction associated with the withholding transaction record.</td>
</tr>
<tr>
<td>Business Domain</td>
<td>Displays the business domain associated with the withholding transaction record.</td>
</tr>
<tr>
<td>Transaction Source Code</td>
<td>Displays the internal code for identifying the source of transactions.</td>
</tr>
</tbody>
</table>
Managing Withholding Transaction
Chapter 7—Investigating FATCA Assessments and Cases

3. Select a withholding transaction record row or click anywhere in the row to view the transaction details in the FATCA Withholding Transaction Details section.

**Editing FATCA Withholding Transactions Details**

Users mapped to the role of FATCA Analyst and FATCA Supervisor users can edit the withholding transaction details.

To edit a FATCA Withholding transaction record, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.
2. Search for the required Withholding transaction record using the search bar.
3. From FATCA Withholding Transactions List, select a withholding transaction record row or click anywhere in the row.

The withholding transaction details are displayed in the FATCA Withholding Transaction Details section in an editable format. You can update or modify the transaction details.

4. Edit the required details and click **Save**. The following message is displayed: Update Operation Successful.
5. Click **OK**. The FATCA Withholding Transaction List displays the updated information.

**Note:** You can click **Reset** to reset all the fields to the last saved state.

---

**Table 73. FATCA Withholding Transaction List Field Descriptions (Continued)**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage Withholding</td>
<td>Displays the percentage of withholding tax to be applied on certain payments.</td>
</tr>
<tr>
<td>Owner</td>
<td>Displays the name of the owner who created the FATCA withholding transaction.</td>
</tr>
<tr>
<td>Created Date</td>
<td>Displays the date on which the FATCA withholding transaction was created.</td>
</tr>
<tr>
<td>Modified By</td>
<td>Displays the name of the owner who last modified the FATCA withholding transaction record.</td>
</tr>
<tr>
<td>Modified Date</td>
<td>Displays the date on which the FATCA withholding transaction record was last modified.</td>
</tr>
<tr>
<td>Withholding Status</td>
<td>Displays the current status of the FATCA withholding transaction record.</td>
</tr>
</tbody>
</table>

**Note:** A FATCA withholding transaction can be in Pending Approval, Approved or Expired statuses.
Adding a New FATCA Withholding Transaction

Users mapped to the role of FATCA Analyst and FATCA Supervisor users can add a new FATCA withholding transaction record.

To add a new FATCA Withholding transaction record, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.
2. Click Add from FATCA Withholding Transactions section.
   A new FATCA Withholding Transaction Details section is displayed below the FATCA Withholding Transaction section in an editable format.
3. Enter the required details in the definition section. The following table describes the components that are displayed in the Add New FATCA Withholding Transaction section:

Table 74. Adding a New FATCA Withholding Transaction Record

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FATCA Status</td>
<td>Select a status from the drop-down for the new withholding transaction record.</td>
</tr>
<tr>
<td></td>
<td>The following are the options that are displayed in the drop-down:</td>
</tr>
<tr>
<td></td>
<td>● Active NFFE</td>
</tr>
<tr>
<td></td>
<td>● Certified Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● Excepted NFFE</td>
</tr>
<tr>
<td></td>
<td>● Exempt</td>
</tr>
<tr>
<td></td>
<td>● Exempt Beneficial Owner</td>
</tr>
<tr>
<td></td>
<td>● Indeterminate</td>
</tr>
<tr>
<td></td>
<td>● Non US Person</td>
</tr>
<tr>
<td></td>
<td>● Non-participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Owner Documented FFI</td>
</tr>
<tr>
<td></td>
<td>● Participating FFI</td>
</tr>
<tr>
<td></td>
<td>● Passive NFFE</td>
</tr>
<tr>
<td></td>
<td>● Recalcitrant</td>
</tr>
<tr>
<td></td>
<td>● Registered Deemed Compliant FFI</td>
</tr>
<tr>
<td></td>
<td>● US Person</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> This field is a mandatory field.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Select a jurisdiction from the drop-down list for the new withholding transaction record.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> This field is a mandatory field.</td>
</tr>
<tr>
<td>Geographic Jurisdiction</td>
<td>Select a geographical jurisdiction from the drop-down list for the new withholding transaction record.</td>
</tr>
</tbody>
</table>
|                   | **Note:** For including additional jurisdictions, you can configure the Geographic Jurisdiction field. For more information on how to configure the Geographic Jurisdiction, refer to Configuration Guide.
Managing Withholding Transaction
Chapter 7—Investigating FATCA Assessments and Cases

4. Click **Save**. The following message is displayed: *Add Operation Successful.*

5. Click **OK**. The FATCA Withholding Transaction List displays the newly added Withholding Transaction record.

   **Note:** You can click **Reset** to reset all the fields to the last saved state.

### Viewing the FATCA Withholding Transaction History

Users mapped to the role FATCA Analyst, and FATCA Supervisor can view the audit trail a FATCA withholding transaction record.

To view the history of a transaction record, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.
2. From FATCA Withholding Transactions List, select a withholding transaction record row.

   The withholding transaction details are displayed in the FATCA Withholding Transaction Details section.
3. Click **History**. The audit trail of the selected withholding transaction record is displayed in the FATCA Withholding Transactions History section.

   **Note:** The FATCA Withholding Transactions History section captures the trail of Create and Edit actions.

### Table 74. Adding a New FATCA Withholding Transaction Record (Continued)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Domain</td>
<td>Select a business domain from the drop-down list for the new withholding transaction record. The following are the list options displayed in the business domain drop-down:</td>
</tr>
<tr>
<td></td>
<td>- Select All</td>
</tr>
<tr>
<td></td>
<td>- GEN</td>
</tr>
<tr>
<td></td>
<td>- INST</td>
</tr>
<tr>
<td></td>
<td>- RB/PC</td>
</tr>
<tr>
<td></td>
<td>- RET</td>
</tr>
<tr>
<td></td>
<td>- C/WS</td>
</tr>
<tr>
<td></td>
<td>- EMP</td>
</tr>
<tr>
<td>Transaction Source Code</td>
<td>Enter a code for identifying the source of transactions.</td>
</tr>
<tr>
<td>Percentage Withholding</td>
<td>Enter the percentage of withholding tax to be applied on certain payments.</td>
</tr>
</tbody>
</table>

**Note:** This field is a mandatory field.
Exporting the FATCA Withholding Transactions

The FATCA Withholding Transactions Search and List page allows you to export the withholding transaction list into an Excel template. You can export all the transaction records in the FATCA Withholding Transactions Search and List or export individual transaction records into Excel.

To export the withholding transaction records into an Excel template, follow these steps:

1. Navigate to the FATCA Withholding Transactions Search and List page.
2. Click Export. The Export Properties dialog box is displayed.
3. Set Document Type as Excel and select Form Data/Grid Data as Grid Data.
4. Click Export in the Export Properties dialog box.

Note: When processing is complete, the data is displayed in an IE window with a dialog box for you to take appropriate actions.
CHAPTER 8

Working with Compliance Regulatory Reporting

This chapter provides high-level information about Compliance Regulatory Reporting (CRR). The CRR is integrated with the Enterprise Case Management to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for report to be filed.

The chapter covers the following topics:

- About the Compliance Regulatory Reporting
- Where to Find More Information

About the Compliance Regulatory Reporting

As part of Regulations and Compliances, organizations are required to perform appropriate analysis and report any suspicious activities that may lead to fraud or money laundering within the institution to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country’s financial system, enhancing that country’s security, and deterring and detecting criminal activity in the financial system.

As part of this goal, these regulatory bodies require the Financial Crimes Unit (FCU), also referred to as Financial Intelligence Units (FIUs), in financial institutions to provide data regarding suspicious activities. These reports, depending on the regulatory geographic region, can be delivered in either printed or electronic format.

Compliance Regulatory Reporting supports the management, delivery, and resolution of these regulatory reports across multiple geographic regions and across multiple financial lines of business. Since there are several differences in requirements for paper-based formats versus electronic formats, and between different geographic regions and the data elements that are required on these reports, the approach to satisfying the end goal is to provide a Compliance Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

RR is integrated with the Enterprise Case Management to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for report to be filed. Compliance Regulatory Reporting is an optional product. Access to RR actions and functions depends on whether your firm have implemented the Compliance Regulatory Reporting.
Where to Find More Information

In order to have more information about the Compliance Regulatory Reporting application, refer to the following RR 2.4 documents:

- Installation Guide
- Web Services Guide
- Data Model Ref Guide
- Release Notes

In addition, RR 2.4 has the following form-specific documents:

- User Guide and Administration Guide for BS STR
- User Guide and Administration Guide for MYSTR
- User Guide and Administration Guide for NGSTR
- User Guide and Administration Guide for NZ STR
- User Guide and Administration Guide for SGSTR
- User Guide and Administration Guide for USSAR

These documents can be found at the following link:
http://docs.oracle.com/cd/E60570_01/homepage.htm
Setting User Preferences

This chapter covers the following topics for changing your Enterprise Case Management preferences:

About the Preferences Page

The Preferences page enables you to change your default preferences for Enterprise Case Management. You can click the (-) or (+) icons to contract and expand the section that you want to view.

You can access the Preferences page by clicking Preferences on the navigation bar. The Preferences page enables you to set preferences as described in the following sections:

- Setting Default Workflow
- Setting Default Graphs for Home Page
- Setting Default Priority List for Home Page
- Setting Case Search and List Options
- Setting Options for Case Simple Search
- Setting Options for Case Advanced Search
- Setting Options for Notifications on Home Page
- Setting Options for Email

Note: Some components of the Preference page are specific to either Alert Management or Enterprise Case Management. Firms that have implemented both and users with access to both will see a superset of items for which preferences can be set. Where only one has been installed or users with access to just one or the other will see preferences related to the component for which they have access.

Setting Default Workflow

The Workflow section enables you to set the default workflow and page in the Enterprise Case Management UI.

Figure 103. Default Workflow Section

The Default Workflow section contains the following preference options:

- Setting the Default Workflow
- Setting the Investigation Workflow Default Page
- Setting the Administration Workflow Default Page
Setting the Default Workflow

You can set your default workflow by selecting one of the option from the Set Default Workflow drop-down list. Until you change your default workflow option, Enterprise Case Management defaults to the Home page when you first log in to the system.

Enterprise Case Management displays the default page of the selected workflow as the first page the next time you log on to the application.

- Select the Home option to display the Home page as the first page.
- Select the Investigations option to display the Search & Case List page/ KYC Search & Case List page as the first page.
- Select the Reports option to display the Cases - AML/Fraud reports or Cases - KYC reports page as the first page.
- Select the Preferences option to display the Preferences page as the first page.
- Select the Administration option to display the User Administration and Admin Tools as the first page.

Note: Your user role determines which workflows you can access.

Setting the Investigation Workflow Default Page

You can set your investigation workflow by selecting one of the option from the Set Default Workflow drop-down list. Until you change your investigation workflow option, Enterprise Case Management defaults to the Cases - AML/Fraud page when you first log in to the system.

Enterprise Case Management enables you to set your Investigations workflow page to any of the following page:

- **Cases - AML/Fraud**: Select this option to display the Search & Case List page when you log back into the system and navigate to the Investigations workflow. This is the default setting.
- **Create Case**: Select this option to display the New Case page when you log back into the system and navigate to the Investigations workflow. This is the default setting.
- **Cases - KYC**: Select this option to display the KYC Search & Case List page when you log back into the system and navigate to the Investigations workflow.
- **KYC Assessments**: Select this option to display the KYC Assessments Search & List page when you log back into the system and navigate to the Investigations workflow.

Note: Your user role determines which workflows you can access.

Setting the Administration Workflow Default Page

You can set your investigation workflow by selecting one of the option from the Set Default Workflow drop-down list. Until you change your investigation workflow option, Enterprise Case Management defaults to the Cases - AML/Fraud page when you first log in to the system.

Note: The drop-down list will display options based on your user roles and access permissions. Refer to Administration Guide for more information.
Setting Default Graphs for Home Page

You can set the default graphs on the Home page of the Enterprise Case Management UI. The Set Default Graphs for Home Page section contains the following preference options:

- **Set Graph 1** drop-down list: Lists all the graphs to the user having adequate roles and access privileges.
- **Set Graph 2** drop-down list: Lists all the graphs to the user having adequate roles and access privileges.

You can choose two graphs in any combinations for Enterprise Case Management workflow.

![Figure 104. Default Graph for Home Page Section](image)

Until you change your default Graphs preference, Enterprise Case Management defaults to Cases by Status and Cases by Type graphs of having access to Investigation workflow.

Setting Default Priority List for Home Page

Enterprise Case Management enables you to set preference the Set Default Priority List for Home page section.

![Figure 105. Default Priority for Home Page Section](image)

The Set Default Priority List for Home page section contains the following mutually exclusive options:

- Alert List
- Case List
- KYC Case List

Until you change your default Priority List preference, Enterprise Case Management defaults to Cases List, respectively.

Setting Case Search and List Options

The Set Case Search and List Options section enables you to set the display preferences in the Search and Case List page. This option is only available for cases generated by Oracle Anti-Money Laundering or Fraud scenarios. It is not available for cases generated by Oracle FATCA or KYC.

![Figure 106. Set Case Search and List Options section](image)

The Set Case Search and List Options section contains the following preference options:

- Setting the Default Search
Setting the View for Case List

**Note:** While setting the default search options for Views, you need to mandatorily select a value from the **Set View for Case List** drop-down list options. If you click **Save** after selecting **Blank** as the value from the **Set View for Case List** drop-down list options, the following message is displayed: *You have selected Views as the default search. Please make sure that you have selected a value from the set view for case list dropdown.*

### Setting Options for Case Simple Search

Enterprise Case Management enables you to set fields that are part of a Simple Search option. The fields that are available in the Preference page displays in the Search and Case List page. This option is only available for cases generated by Oracle Anti-Money Laundering or Fraud scenarios. It is not available for cases generated by Oracle FATCA or KYC.

![Set Options for Case Simple Search](image)

**Figure 107. Set Options for Case Simple Search**

Table 75 provides search filters for the simple case search

**Table 75. Case Simple Search Options**

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Created In the Last</td>
<td>Filters the case list by case created in the last 1day, 5 days, 10 days, or 30 days.</td>
</tr>
<tr>
<td>Status</td>
<td>Filters the case list by the status of cases that matches the search criteria.</td>
</tr>
<tr>
<td>Type</td>
<td>Filters the case list by the type of cases that matches the search criteria.</td>
</tr>
<tr>
<td>Subtype</td>
<td>Filters the case list by the sub type of cases that matches the search criteria.</td>
</tr>
<tr>
<td>Priority</td>
<td>Filters the case list by the priority assigned to the case that matches search criteria.</td>
</tr>
<tr>
<td>Subclass 1</td>
<td>Filters the case list by the type code of the case Subclass 1 associated with this case subclass.</td>
</tr>
<tr>
<td>Subclass 2</td>
<td>Filters the case list by the type code of the case Subclass 2 associated with this case subclass.</td>
</tr>
<tr>
<td>Case Due</td>
<td>Filters the case list by past and up to the date you enter by which an action should be taken on the case.</td>
</tr>
<tr>
<td>Owner</td>
<td>Filters the case list by a user or group of users who own a case. If you filter by Owner, you cannot filter by Organization.</td>
</tr>
<tr>
<td>Assigned To</td>
<td>Filters the case list by a user or group of users to whom a case is assigned.</td>
</tr>
</tbody>
</table>

For Case Creation date, instead of displaying preference options for the date **To** and **From** fields, a **Cases Created in the Last** drop-down list is displayed with the following values:
About the Preferences Page
Chapter 9—Setting User Preferences

- Blank
- 1 Day
- 5 Days
- 10 Days
- 30 Days

Based on the value you select here, the system resets the values in the To and From date fields on the Search page accordingly. For example, if you select 30 days as the preference setting, the To date field is populated with the current system date and the From date field is populated with the date 30 calendar dates prior to the current system date. If you select the Blank option as the default preference, the system resets the To and From date fields on the Search page to a blank value.

Similarly, for the case Due Date, instead of displaying preference options for the date, a Case Dues drop-down list is displayed with the following values:

- Blank
- Due
- Overdue
- Within 1 Day
- Within 5 Days
- Within 10 Days

Setting Options for Case Advanced Search

Enterprise Case Management enables you to set fields that are part of a Advanced Search option. The fields that are available in the Preference page displays in the Search and Case List page. This option is only available for cases generated by Oracle Anti-Money Laundering or Fraud scenarios. It is not available for cases generated by Oracle FATCA or KYC.

![Set Options for Case Advanced Search](image)

**Figure 108. Set Options for Case Advanced Search**

Table 76 provides descriptions of search filters available in the advanced case search.

**Table 76. Case Advanced Search Options**

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>Filters the case list by the name of the cases that matches the search criteria.</td>
</tr>
<tr>
<td>Entity Type</td>
<td>Filters the case list by the type of business entity you select in the drop-down list box. Select the focus from the Entity Type drop-down list and type either Entity Name or Entity ID to search for cases.</td>
</tr>
<tr>
<td>Entity ID</td>
<td>The unique identifier for entity that is associated with cases you want to view. The field accept up to 50 characters of text in the Entity ID text box.</td>
</tr>
</tbody>
</table>
Setting Options for Notifications on Home Page

Enterprise Case Management enables users whose roles allow them to own, assign, or reassign alerts and cases.

![Figure 109. Set Options for Notification on Home Page](image)

These preferences allows you to select the type of notifications you want to receive in the Notification section of the Home page:

- Do not notify me when alerts are reassigned to my Organizations
- Do not notify me when cases owned by me are acted upon by Assignee
- Do not notify me when cases assigned to me are acted upon by Owner
- Do not notify me when cases are assigned/reassigned to my Organization(s)

This option do not notifies you of alerts and cases requiring your review.

Setting Options for Email

Enterprise Case Management enables you to set preferences on the outgoing emails. To enable this option, select the **Copy me on outgoing emails** check box. This option copies you on the emails you sent from the Actions page.
About the Preferences Page
Chapter 9—Setting User Preferences

Figure 110. Set Options for Email
APPENDIX A

Message Pages

The Enterprise Case Management applications are Web-based and, therefore, you may occasionally see one or more of the following types of message pop-ups apart from those directly related to the business function of the application. This section defines the following message types that are relevant to your activity within the application:

- **Error Messages**: Displays to alert you that you have performed an activity that is not compatible with the application
- **Status Messages**: Displays to alert you of the status of either your current activity or your access rights
- **Informational Messages**: Displays to confirm actions you are taking or to warn you of additional requirements to be met to complete an action

**Error Messages**

The following error messages display to alert you that you have performed an activity that is not compatible with the application:

- Authentication Errors
- Multiple Session Errors
- Unique Constraint Violation Error

**Authentication Errors**

Authentication Error pages display if you enter an invalid user ID or password on the Login page. Additionally, this type of message displays if you inadvertently type the correct login information with improper capitalization or with the Caps Lock key set, as passwords are case-sensitive.

![Authentication Error Page](image)

**Figure 111. Authentication Error Page**

To reattempt your log in, click **OK** on the Authentication Error page.
Multiple Session Errors

If you try to login the application in a parallel browser when you have already logged into the application in another browser, the Multi Session Error displays. A parallel session is one which is improperly started by selecting New/Window from the File menu in IE or by pressing the CTRL+N key and continuing to work in both sessions.

![Multiple Session Error Page](image)

Figure 112. Multiple Session Error Page

Clicking the OK button in the message will close the second browser.

In order to login to a second session in parallel with existing session, open a new browser, and select File’ New Session. A second session opens that enable you to login. When working with two sessions, logout from one of the session does not affect the other session.

Unique Constraint Violation Error

When entering data in the business tabs of a case, if you save a record with an ID that duplicates an ID that already exists for that business entity in the case, then the Unique Constraint Violation error displays. The message displays an OK button. On click of OK, the error message pop-up is closed and the newly entered data remains unsaved.

![Unique Constraint Violation Page](image)

Figure 113. Unique Constraint Violation Page

Status Messages

Status messages display to warn you that another user has locked a case that you are trying to access.

Alert/Case Locked

The Alert/Case Locked dialog box displays to let you know that the selected alert/case records are locked as a result of another user who is currently acting on an alert/a case you have selected.

If you have selected one or more alerts/cases to perform some action, and if another user is currently taking an action on all those selected alerts/cases, then the Alert/Case Locked dialog box displays with the following message:

- **When alerts are locked**: All selected alert records are locked by another user. Please try again later.
- **When cases are locked**: All selected case records are locked by another user. Please try again later.
If you have selected one or more alerts/cases to perform some action and if another user is currently taking an action on one or some of those selected alerts/cases, then the Alert/Case Locked dialog box displays with the following message:

- **When some alerts are locked:** One or more Alerts are locked by another user. Select OK to continue, Cancel to return to the Alert List.
- **When some cases are locked:** One or more cases are locked by another user. Click OK to continue performing actions for cases which are not locked.

If you have selected an alert/a case, which is already locked by another user, then on clicking the Case ID hyperlink in order to navigate to the Case details page, the Alert/Case Locked dialog box displays with the following message:

- **When alert is locked:** The selected alert is locked by another user. Click OK to view the alert details page in view mode only and Cancel to return to list page.
- **When Case is locked:** The selected case is locked by another user. Click OK to view the case details page in view mode only and Cancel to return to list page.

**Informational Messages**

The Informational messages display as a pop-up either with the OK button, or with the OK and Cancel buttons. The following are a few instances where these messages display.

- If you do not enter information into a field, which is required for an action to be performed
- A pre-save confirmation message asking you if you would like to save the actions you have chosen to perform
- A post save confirmation message informing you if the actions performed have been successful or not
- A confirmation message if you choose to edit or remove a record
- If you have not selected a case/business entity for an action to be performed
- If you choose to cancel an action, which has not been saved

Informational messages help you successfully perform an action and warn you if you have missed certain steps out for the successful completion of an action undertaken.
Index

A

Account tab supplemental details, 111
addresses, 112
balance, 112
details, 111
manager and advisor, 111
peer groups, 112
risk information, 111
summary, 112
accounts, 113, 114, 115
Action button, 37
Add button, 36
adding an attachment, 147, 206
adding comments to a case, 145, 205
addresses, 112, 113, 114
addressessociated institutions, 114
advanced search, 164
Advanced Search button, 36
Alert List button, 37
anticipatory profile, 113
Assignment button, 37
associated institutions, 114
Audit tab, 86

B

balance, 112
browser, 42
business tab supplemental details, 110
Account tab, 111
Correspondent Bank tab, 115
Customer tab, 113
Employee tab, 114
External Entity tab, 114
Household tab, 115
Transaction tab, 116
business tabs
account, 94
adding, 95, 99, 101
correspondent bank, 94
customer, 94
employee, 94
external entity, 94
financials, 94
household, 94
investment advisor, 94
modifying, 95, 100
removing, 100
supplemental details, 110
transactions, 94
button
Action, 37
Add, 36
Advanced Search, 36
Alert List, 37
Assignment, 37
Calendar, 37
Cancel, 36
Clear, 36
Column Collapse, 40
Column Collapse All, 38
Column Expand, 40
Due Date, 37
Edit, 36
Email, 37
Escalate, 37
Export, 37
Go, 36
Index

Grid Collapse, 40
Grid Expand, 39
Help, 37
History, 36
Monitor, 37
Print Comments, 37
Print Details, 37
Remove, 36
Reopen, 37
Reset, 36
Resolution, 37
Save, 36
Save & Attach, 36
Search, 36
Section Collapse, 39
Section Expand, 39
Send, 36
Task, 36
buttons, 36

cache, 42
Calendar button, 37
Cancel button, 36
case action button
  Due Date, 192
  Email, 192
  Escalate, 192
  Evidence, 192
  Export, 192
  Monitor, 192
  Print Details, 193
  Print Summary, 192
  Reopen, 192
  Resolution, 192
case actions, 124
  about, 124
  add attachment, 147, 206
  add comment, 145, 205
  categories, 125
  close case, 134, 198
  email case, 196
  escalate case, 139, 202
  export case, 195
  implicit, 149, 208
  monitor case, 142, 203
  multiple cases, 194
  pop-up, 125, 191
  print case, 134, 197
  reassign case, 194
  remove attachment, 148, 206
  reopen case, 137, 201
  setting due date for case, 144, 204
  single case, 194
case actions categories, 125
Case Actions page, 125
case actions pop-up, 125, 191
case analyst I, 17
case analyst II, 17
case business tabs
  financials, 117
case context, 171, 264
Case Correlation tab, 61
Case Data tabs
  Audit, 86
  Case Correlation, 61
  Case Details, 170, 263
  Evidence, 85, 182
  Narrative, 73, 180
Case Details page
  case context, 171, 264
  page context, 171, 264
Case Details tab, 170, 263
  components, 171, 264
case executive, 17
case external auditor, 17
case internal auditor, 17
case search & list page components
  additional information, 167
  case list matrix, 54, 165, 258
  case search entity filter, 52
case search bar
  advanced search, 164
  simple search, 164
case statuses
  awaiting response, 14
  closed-account(s) closed, 15
  closed-duplicate case, 15
  closed-employee terminated, 15
  closed-loss charged off, 15
  closed-loss recovered, 15
  closed-new case opened, 15
  closed-no SAR filed, 15
  closed-referred to external agency, 15
  closed-SAR filed, 15
  closed-withheld action, 15
  escalated, 15
  file SAR, 15
  investigation, 14
  monitor, 15
  new, 14
  recommend closure, 15
  recommend monitor, 14
  reopened, 15
case supervisor, 17
change password link, 29
Clear button link, 26
approving recommended case, 199
recommend for close action, 135, 198
collapse, 38
column expand all, 38
common screen elements, 35
collapse, 38
definition, 35
expand, 38
expanded comment, 42
field types, 41
masterhead, 36
tooltips, 42
components
case management narrative tab, 74, 181, 272
financial tab, 117
contract

Column Collapse All, 38
Column Collapse button, 40
Grid Collapse button, 40
Section Collapse button, 39
cookies, 29
Correspondent Bank tab supplemental details, 115
accounts, 115
peer group, 115
risk information, 115
summary, 115
Customer tab supplemental details, 113
accounts, 113
addresses, 113
anticipatory profile, 113
details, 113
risk information, 113
summary, 113

details, 113, 114, 115
Due Date button, 37, 192

details, 113, 114, 115
Due Date button, 37, 192

edit button, 36
Ellipsis, 42
Email button, 37, 192
emailing a case, 196
Employee tab supplemental details, 114
accounts, 114
addresses, 114
details, 114
error messages, 42
Escalate button, 37, 192
escalating a case, 139, 202
Evidence button, 192
Evidence tab, 85, 182
expand, 38
column expand all, 38
Column Expand button, 40
Grid Expand button, 39
Section Expand button, 39
Export button, 37, 192
export case, 131, 195, 277
exporting a case, 195
External Entity tab supplemental details, 114
addresses, 114
associated institutions, 114
risk information, 114

field types, 41
check all check box, 42
check box, 42
context-sensitive text box, 41
drop-down list, 41
selection box, 42
text box, 41
uncheck all check box, 42
wildcard text box, 41
file download, 30
Financials tab, 117
components, 117
current loss and recovery, 117
loss and recovery data entry, 122
loss and recovery items, 119
Index

G

Go button, 36

H

Help button, 37
History, 36
History button, 36
Household tab supplemental details, 115
  accounts, 115
details, 115

I

implicit actions, 149, 208

J

javascript, 29

L

linked cases, 164
links
  Change Password, 29

M

manager and advisor, 111
message pages, 44
Monitor button, 37, 192
monitoring a case, 142, 203

N

Narrative tab, 73, 180
  components, 74, 181, 272
  creating narrative, 75, 181
deleting narrative, 75, 182
  editing narrative, 75, 182
narrative tab pages
  case management, 73, 180, 272
  working with, 74, 181
navigation features
  links, 43
  menus, 43
  page context controls, 44
  paging, 44
  search bars, 43

O

Oracle Financial Services Alert Management
  logging, 23
  logging using an EAM Tool, 29
Oracle Financial Services Case Management
  navigation feature, 43
Oracle Financial Services Enterprise Case Management
  logging, 23

P

page context, 171, 264
peer group, 115
peer groups, 112
preferences
  default workflow options, 296
Print Comments button, 37
Print Details button, 37, 193
Print Summary button, 192
printing, 30
printing a case, 134, 197

R

reassigning a case, 194
Relationship tab
  components, 69, 177, 271
  managing links, 71
  related alerts, 69, 178, 271
  related cases, 70, 177, 271
Remove button, 36
removing an attachment, 148, 206
Reopen button, 37, 192
reopening a case, 137, 201
reopening cases
  about, 137
Index

Reset, 36
Reset button, 36
Resolution button, 37, 192
resolutions for a case, 134, 198
risk information, 111, 113, 114, 115
roles. See user roles

S

Save & Attach button, 36
Save button, 36
Search button, 36
Send button, 36
setting due date for case, 144, 204
simple search, 164
summary, 112, 113, 115
system requirements
web browser, 23

T

tabs
business tabs, 94, 184
Task button, 36
temporary internet files, 30
text area, 41
tooltip, 42
Transaction tab supplemental details, 116
adding, 116
modifying, 116
removing, 116
troubleshooting, 29
enabling cookies, 29
enabling file download, 30
enabling javascript, 29
enabling temporary internet files, 30
setting print, 30

U

user privileges
accessing case, 17
user roles, xvii

W

wildcard character, 41