

Oracle Financial Services FCCM Analytics User Guide

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User Guide

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About this Guide

This guide details the reports used in the Financial Crime and Compliance Management (FCCM) application.

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 *FCCM User Guide* is designed for the following users who are assigned the following roles:

- Analyst
- Supervisor
- Executive
- Internal Auditor

How this Guide is Organized

The *FCCM User Guide* includes the following chapters:

- [Chapter 2, Oracle Financial Services Crime and Compliance Management Analytics](#), provides instructions on how to navigate through the Oracle Financial Services FCCM Analytics application and the reports available in the application.

Where to Find More Information

For more information about Oracle Financial Services FCCM Analytics, refer to the following documents:

- *Oracle Financial Services Alert Management User Guide*
- *Oracle Financial Services Enterprise Case Management User Guide*
- *Oracle Financial Services KYC User Guide*
- *Oracle Financial Services Personal Trading Approval User Guide*
- *Oracle Financial Services Currency Transaction Reporting User Guide*

These documents are available at the following link:

http://docs.oracle.com/cd/E60570_01/homepage.htm

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

Conventions Used in this Guide

Table 1 provides the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
<i>Italics</i>	<ul style="list-style-type: none">● Names of books as references● Emphasis● Substitute input values
Bold	<ul style="list-style-type: none">● Menu names, field names, options, button names● Commands typed at a prompt● User input
Monospace	<ul style="list-style-type: none">● Directories and subdirectories● File names and extensions● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	<ul style="list-style-type: none">● Substitute input value

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This chapter provides step-by-step instructions to access the FCCM Analytics reports of the Oracle Financial Services Analytical Applications (OFSAA) Application page.

Accessing OFSAA Applications

Access to the Oracle Financial Services FCCM Analytics application depends on the Internet or Intranet environment. Oracle Financial Services FCCM Analytics can be accessed through Microsoft Internet Explorer (IE), Google Chrome, Mozilla Firefox, Microsoft Edge. Your system administrator provides the intranet address uniform resource locator (URL).

To access the FCCM Analytics reports, 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/ofsaapp/login.jsp`

The OFSAA Login page is displayed.



Figure 1. OFSAA Login Page

2. Enter your User ID and Password in the respective fields.

3. Click **Login**. The Oracle Financial Services Analytical Applications page is displayed.

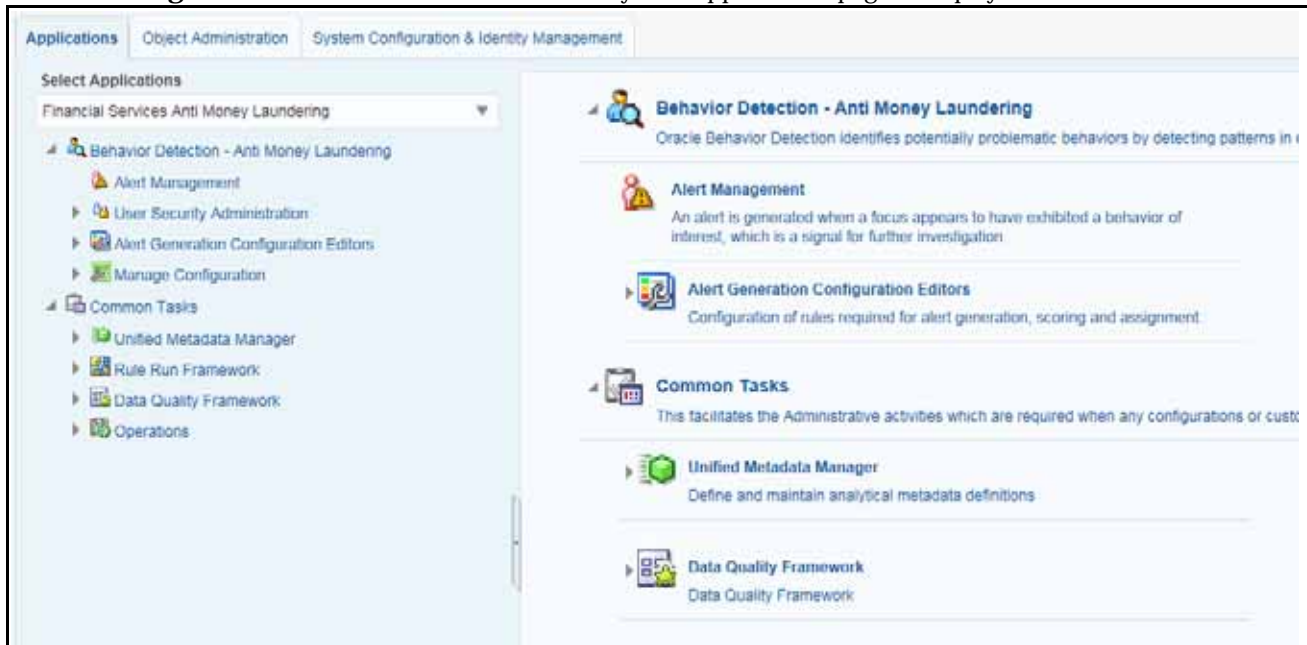


Figure 2. OFSAA Application Page

The Oracle Financial Services Analytical Applications 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, see [Oracle Financial Services Analytical Applications Infrastructure User Guide 8.0.4](#). You can use the OFSAA Application page to access the Oracle Financial Services applications in your environment.

4. Click **Alert Management**.

5. Click the Reports menu. The FCCM Analytics application home page is displayed.

Oracle Financial Services Crime and Compliance Management Analytics

This chapter describes the Oracle Financial Services Crime and Compliance Management Analytics (FCCM Analytics) application and covers the following topics:

- [About FCCM Analytics](#)
- [Accessing the FCCM Analytics Application Dashboards](#)
- [Common Report Features](#)
- [FCCM Analytics Dashboards](#)

About FCCM Analytics

In order to use FCCM Analytics, you must have Oracle Business Intelligence (OBIEE) installed onsite.

Accessing the FCCM Analytics Application Dashboards

You can access the FCCM Analytics application dashboards from the FCCM Analytics application home page by selecting the **Dashboards** menu.

The following dashboards are available within the application:

- Business Entity Reports
- MIS Reports

Figure 3 shows you how to access the dashboards:

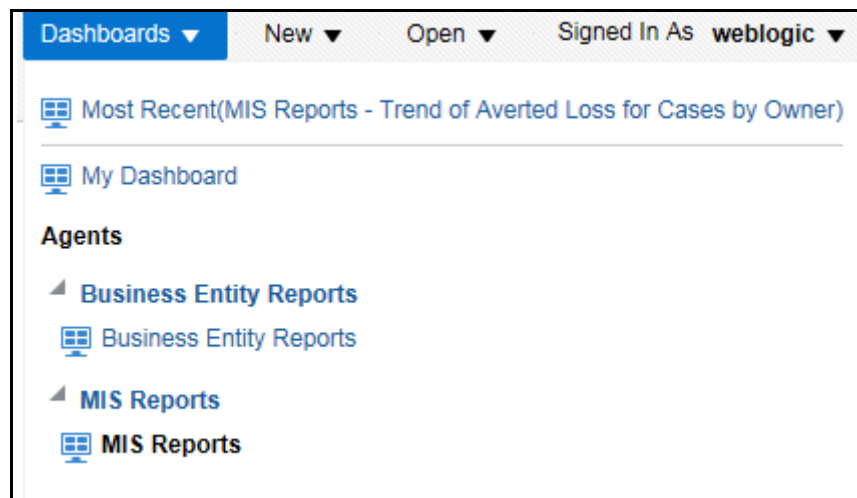


Figure 3. Accessing the Dashboards

You can click the desired dashboard to view the related reports.


Note: You may also customize existing FCCM Analytics reports and create new reports; however, customization information is not documented in this guide. Refer to the [Configuration Guide](#) for more information.

Common Report Features

Each of the features below are common to many of the FCCM Analytics reports.

Common Filters for MIS and Business Entity Reports

Global filters are available in most reports. You can use global filters to apply conditions to the individual reports. To

access the report filters, click the funnel icon . The individual report filter fields will appear to the left of the report. Each report has its own specific set of filters.

Global Filters

Account Identifier
--Select Value-- ▼

Account Type
--Select Value-- ▼

Account Ownership Type
--Select Value-- ▼

Account Holder Type
--Select Value-- ▼

Account Status
--Select Value-- ▼

Account Open Date
Between -

Country of Domicile
--Select Value-- ▼

Effective Risk
--Select V ▼

Branch
--Select Value-- ▼

Business Domain
--Select Value-- ▼

Jurisdiction
--Select Value-- ▼

Account Address Country
--Select Value-- ▼

Account Address State
--Select Value-- ▼

Account Address City
--Select Value-- ▼

Apply Reset ▼

Figure 4. Global Filters for Account Entity Search Report

After entering data in the mandatory fields, click **Apply** to view the results.

Drill Down Reports

Drill down reports are reports which appear when you click inside a report. For example, a Fraud report, **Trend of Average Loss and Recovery Amounts for Cases**, has a drill down report, **list case by all losses**. This report appears when you click a Trend bar.

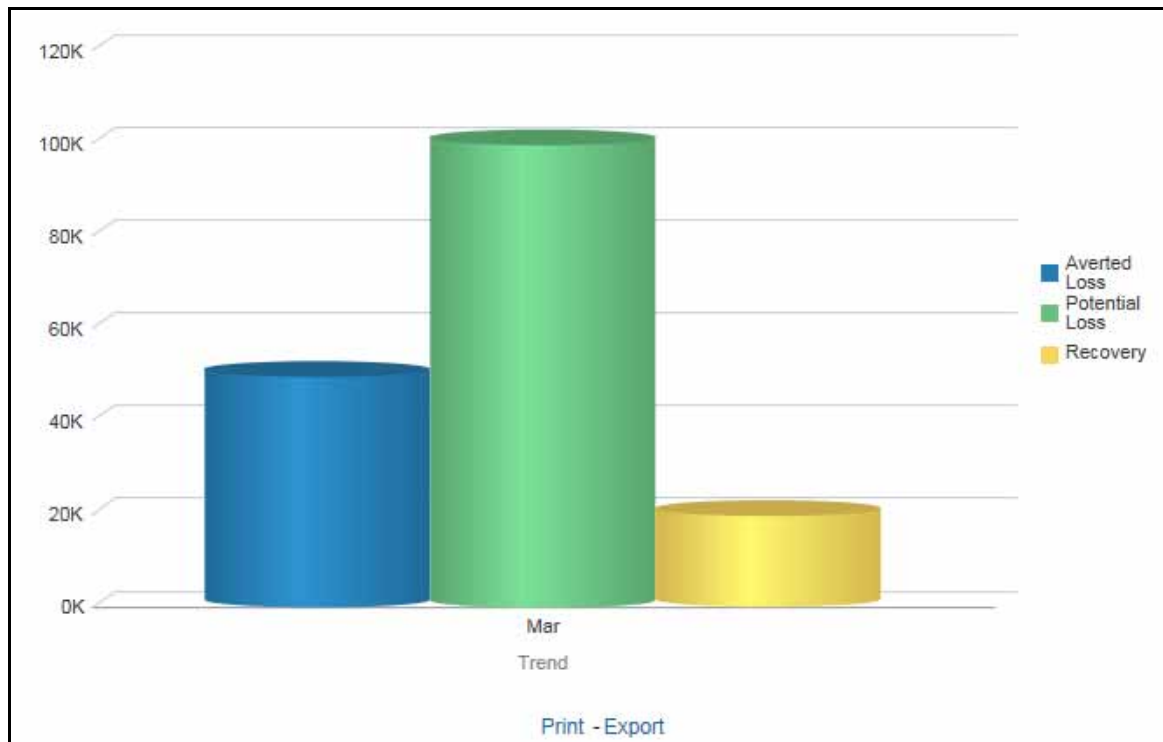


Figure 5. Trend of Average Loss and Recovery Amounts for Cases

Click a bar to view the **list case by all losses** drill-down report.

Score	Focus Type	Type	Subtype	Title	Description	Created	Due	Organization	Status	Owner ID	Owner
	EE	Fraud	Account and Product Fraud	Employee Journals	7 Matches; 1 Scenarios	3/3/2017		TestOrgA	Reopened	AMSUPERVISOR	AMSUPERVISOR

Return - Print - Export - Create Bookmark Link

MIS Reports: Trend of Avg Loss & Recovery Amt for Cases > list_case_by_all_losses

Figure 6. List case by all losses Drill-down Report

Note: Click the **Trend of Avg Loss & Recovery Amt for Cases** hyperlink to go back to the Trend of Average Loss and Recovery Amounts for Cases report.

Common Actions

The following actions are provided for each of the reports:

- Refresh: When you click Refresh, the current report will refresh the results of the current request.
- Print: When you click Print, two options to print the current report are displayed: Printable PDF and Printable HTML. Click one of the options to view the report in that format, following which you can print the report by clicking CTRL+P.
- Download: When you click Download, the current report can be downloaded into Excel, PowerPoint, or a Web page.

Error Messages

If the report does not have any results, the application displays the following messages:

- No Results For the Selected Criteria
- Matching Result Set Not Found

When you see one of the above errors, you can do one of the following:

- Change the filter values
- Click **Refresh**

FCCM Analytics Dashboards

Business Entity Reports

The Business Entity Reports offer a variety of reports which detail information specific to the selected business entity. Each report has its own unique filters with results displaying the primary information about that business entity. Typically, one record per entity is returned in the report. The results are independent of alerts or cases and represent all matching records found within the Financial Service Data Models.

The following reports are available in this dashboard:

- Account Entity Search Report
- Customer Entity Search Report
- Trade/Execution Entity Search Report
- Order Entity Search Report
- Security Entity Search Report
- Transaction Entity Search Report

Accessing the Business Entity Reports

To access the business entity reports, click the **Business Entity Reports** link in the **Dashboards** menu as shown in [Figure 3](#).



Figure 7. Business Entity Reports

Running an Individual Business Entity Report

To run an individual business entity report, select the individual report from the left menu. (For this example we are using the Account Entity Search Report). By default the report will not return any records.

To view the with specific details, follow these steps:

1. Click the Global Filters icon . The filters pane for that specific report are displayed.

Global Filters

Account Identifier
--Select Value-- ▼

Account Type
--Select Value-- ▼

Account Ownership Type
--Select Value-- ▼

Account Holder Type
--Select Value-- ▼

Account Status
--Select Value-- ▼

Account Open Date
Between

Country of Domicile
--Select Value-- ▼

Effective Risk
--Select V ▼

Branch
--Select Value-- ▼

Business Domain
--Select Value-- ▼

Jurisdiction
--Select Value-- ▼

Account Address Country
--Select Value-- ▼

Account Address State
--Select Value-- ▼

Account Address City
--Select Value-- ▼

Apply Reset ▼

Figure 8. Filters for the Account Entity Search Report

2. Select the desired value in the mandatory fields and any other necessary fields.
3. Click **Apply** at the bottom of the filters pane. The report results are displayed in the right hand panel.

Account Entity Search Report
Time run: 9/7/2015 1:09:28 PM

Account Name	Account ID	Type(s)	Account Holder Type	Account BusinessType	Registration	Account Ownership Type	Account Status	Account Status Cntrl	Open Date	Date of Last Activity	Primary Account Holder	Household Group Name	Business
24376	AC24376UOCQDA-1		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/31/2008	12/10/2009		
24376	AC24376UCARABDA-1		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/31/2008	12/10/2009		
24376	AC24376UOCEMDA-1		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/31/2008	12/10/2009		
24376	AC24376URVABDA-1		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/31/2008	12/10/2009		
ABABHARANA	ACBSACTRCD-002		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/10/2009			
ABAH	ACBSACTRCD-001		Retail Customer	RBR	Individual	Individual	Active		12/31/2008	12/10/2009	LIN DAN LEE CHONG WEI		
AADESH J PANDAV	ACTRMSMTHH-110		Investment Advisor	RBR	Individual	Individual	Active		12/31/2008	12/31/2008	12/10/2009		HHTRMSMTHH-110
AADESH J PANDAV	ACUNOPUTSCLDAD-002		Investment Advisor	RBR	Individual	Individual	Active		12/31/2008	12/31/2008	12/10/2009		
AADESH KHAN J PANDAV	ACTRMSMTHH-001		Investment Advisor	RBR	Individual	Individual	Active		12/31/2008	12/31/2008	12/10/2009		HHTRMSMTHH-001
AADI	XXOACHGHCLNTTOAC-008		Retail Customer	RBK	Individual	Individual	Active		9/12/2009	9/12/2009	12/1/2009		
AADITYA	XXOACHGHCLNTTOAC-009		Retail Customer	RBK	Individual	Individual	Closed		8/26/2009	8/26/2009	11/30/2009		
ADYA	ACUNSUJTTTRNS-DLY-02		Retail Customer	RBK	Individual	Individual	Active		12/1/2009	12/1/2009	12/10/2009		ADYA
ADYA	XXOACUNSUJTTTRNS-DLY-02		Retail Customer	RBK	Individual	Individual	Active		12/1/2009	12/1/2009	12/10/2009		XXOADYA
AADYOT	ACUNSUJTTTRNS-DLY-03		Retail Customer	RBR	Individual	Individual	Active		12/1/2009	12/1/2009	12/10/2009		AADYOT
AADYOT	XXOACUNSUJTTTRNS-DLY-03		Clearing Organization	RBR	Individual	Individual	Active		12/1/2009	12/1/2009	12/10/2009		XXOADYOT
AMIR	ACBSACTRCD-012		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/10/2009			COMENECCI
AAREN	ACNQPASRRR-019		Employee / Family	RBR	Individual	Individual	Active		9/12/2009	12/8/2009	12/10/2009		UNDERTAKER
AAREN	ACNQPASRRR-019		Employee / Family	RBR	Individual	Individual	Active		9/12/2009	12/8/2009	12/10/2009	SAMPLE	OGSAMPL
AARON	ACTRAGLSTOG-901		Retail Customer	RBR	Individual	Individual	Active		6/1/2008	6/1/2008	12/10/2009		JAMES J AARON
ARTI	ACBSACTRCD-006		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/10/2009			TRAGLST
ARUSH	ACBSACTRCD-005		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/10/2009			TAN
ARZOO	ACBSACTRCD-010		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/10/2009			FU HIFUNG
ARZOO	ACBSACTRCD-010		Retail Customer	RBK	Individual	Individual	Active		12/31/2008	12/10/2009			PHELPS
AYUSH	ACBSACTRCD-007		Retail Customer	RBR	Individual	Individual	Active		12/31/2008	12/10/2009			PHADUKONE
ABAGAYLE	ACNQPASRRR-020		Retail Customer	RBR	Individual	Individual	Active		9/12/2009	12/3/2009	12/10/2009		UNDERTAKER
ABAGAYLE	ACNQPASRRR-021		Retail Customer	RBR	Individual	Individual	Active		9/12/2009	11/30/2009	12/10/2009	SAMPLE	OGSAMPL

Figure 9. Account Entity Search Report


MIS Reports

The MIS Reports dashboard provides users with access to reports, both summary and detailed, for applications as well as areas of interests like Productivity and Alerts.

The following areas are available:

- Alerts
- Threshold Analyzer
- Productivity
- Cases
- Trade Blotter
- SARs
- Personal Trading
- Fraud
- KYC
- CTR

Accessing the MIS Reports

To access the MIS reports, click the **MIS Reports** link in the **Dashboards** menu as shown in Figure 3. To see the individual reports under each section, select the expansion icon  to the left of the section header. Some of the application sections contain Home pages which run automatically when accessed. These reports may have global filters to allow for the manipulation of the information displayed.

The default page appears which shows the list of all pre-defined reports.

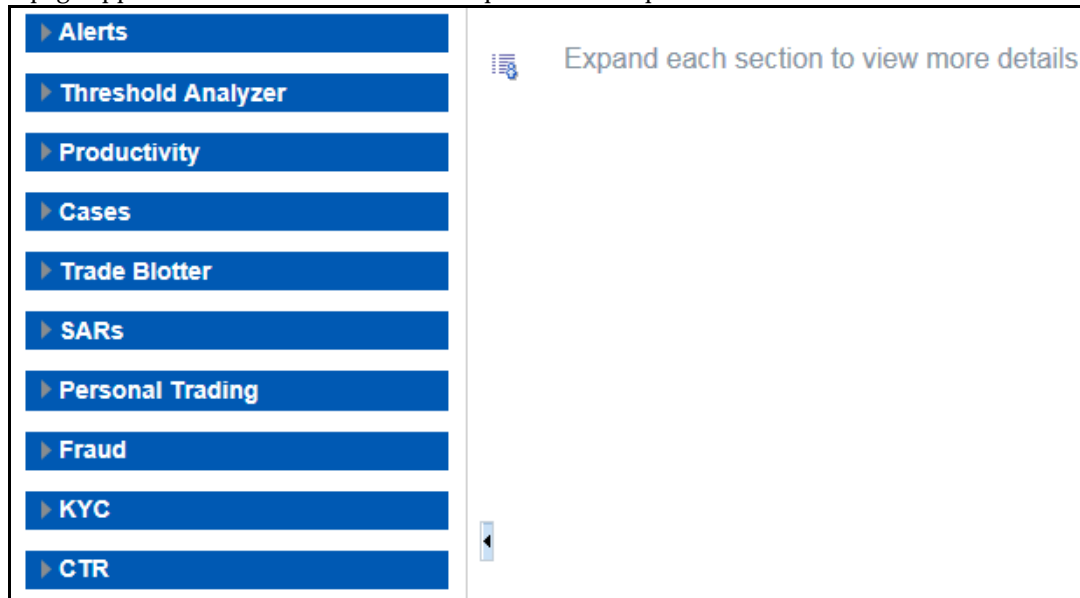


Figure 10. MIS Reports

The default page is configurable and can be designed to include reports, dashboards and views generic for all applications. To expand each section and view more report details, click the downward arrow.

All the MIS reports also have report filters for each individual report similar to the Business Entity reports. For more information, see [Running an Individual Business Entity Report](#).

Alerts

Use the Alert reports to view reports related to the due alerts, comparison of the past and present alerts, and number of alerts grouped by a particular scenario or status.

The following figure shows the Alert home page:

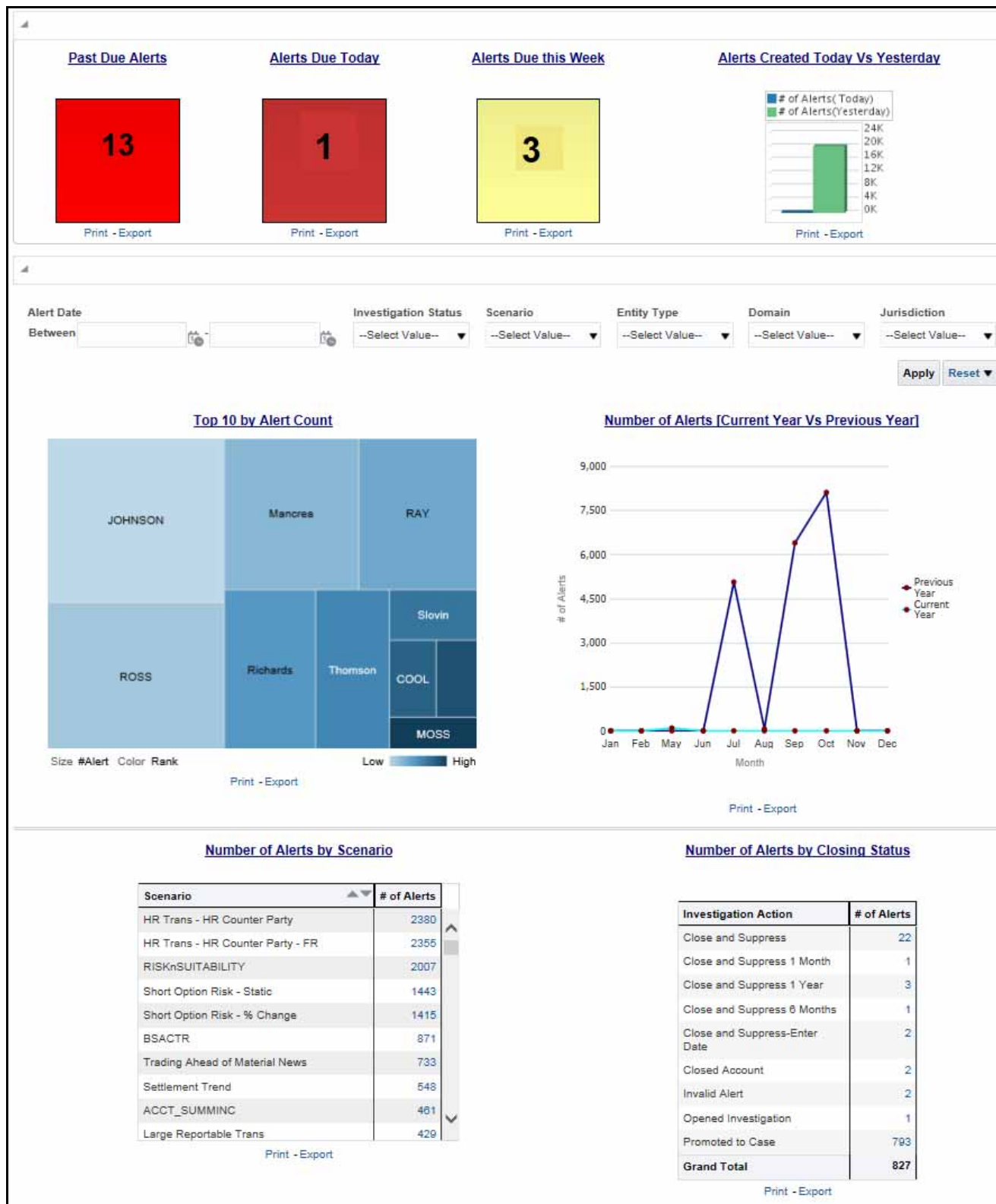


Figure 11. Alert Home Page

The following Alert reports are available in the Alert home page:

- Top 10 by Alert Count: Use this report to view the top 10 highest risk branches for an organization.
- Number of Alerts [Current Year Vs Previous Year]: Use this report to compare the number of alerts generated for the current year and the number of alerts generated for the previous year.
- Number of Alerts by Scenario: Use this report to view the number of alerts generated for a particular scenario.
- Number of Alerts by Closing Status: Use this report to view the number of alerts generated for a particular closing status.

You can also filter the data in the reports using the following filter fields:

Figure 12. Alerts Home Filter Fields

The following reports are available in the Alerts section:

- Search: Use this report to view the alerts that are associated to the entity of interest of the user
- Alerted Transaction Product Types: Use this report to view the number of alerts generated for a particular transaction type.
- Non-productive: Use this report to view the number of alerts that are assigned to a particular user but have not been worked on.
- Final Disposition: Use this report to view the number of alerts that have a final disposition.

Alert ID	Create Date	Current Status	Status Date	Scenario Name	Owner	Focus	Focus Name	Threshold Set	Jurisdiction	Score	Alert Age	Due Date
1000	07/15/2015	New	7/15/2015	BSACTR	AMSUPERVISOR	Customer	PHELPE	BSACTR-CJ	Americas	0	41	
1000	07/15/2015	New	7/15/2015	BSACTR	AMSUPERVISOR	Customer	PHELPS	CTR-BSACTR_TestThreshold_1	Americas	0	41	
10000	09/11/2015	New	9/11/2015	Cancellation Trend	SYSTEM	Trade	JOE THOMAS DBBB	TC-CancelTrend_TestThreshold_3	Americas	0		
10001	09/11/2015	New	9/11/2015	Cancellation Trend	SYSTEM	Account	ROSS	TC-CancelTrend_TestThreshold_3	Americas	0		
10002	09/11/2015	New	9/11/2015	Parking (EGT)	SYSTEM	Account	JOHNSON	TC-Parking-EGT_TestThreshold_1	Americas	0		
10003	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INDUSLOOK	CST-ShortOptionRisk-ORBPC_TestThreshold_1_15000022	Americas	0		
10004	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	GLDBALLOOC	CST-ShortOptionRisk-ORBPC_TestThreshold_1_15000022	Americas	0		
10005	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INFOYS	CST-ShortOptionRisk-ORBPC_TestThreshold_1_15000022	Americas	0		
10006	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	SYBINFO	CST-ShortOptionRisk-ORBPC_TestThreshold_1_15000022	Americas	0		
10007	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INFOYS	CST-ShortOptionRisk-ORBPC_TestThreshold_1_15000022	Americas	0		
10008	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	HHCORPOH-001	CST-ShortOptionRisk-ORBPC_TestThreshold_1_15000022	Americas	0		
10009	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	HHRBSINSTCU-001	CST-ShortOptionRisk-ORBPC_TestThreshold_1_15000022	Americas	0		

Figure 13. Alert Search Report

Threshold Analyzer

Use the Threshold Analyzer reports to view statistical reporting and do the threshold analysis based on a specific scenario and threshold set.

The following reports are available under the Threshold Analyzer section:

- Anti Money Laundering (AML)
- Broker Compliance (BC)
- Trading Compliance (TC)

To view the data in the reports, you must provide data in the Scenario and Date fields.

The screenshot shows a 'Global Filters' panel with the following fields:

- Scenario***: A dropdown menu currently showing 'High Risk Transactions: High Risk'.
- Threshold Set**: A dropdown menu currently showing '(All Column Values)'.
- Alert Creation Date**: A date range picker showing 'Between 12/13/2016 - 01/12/2017'.
- Alert Processing Date**: A date range picker showing 'Between 01/12/2010 - 01/12/2017'.
- Batch ID**: A date range picker with two empty input fields.
- Run ID**: A date range picker with two empty input fields.
- Buttons**: 'Apply' and 'Reset' buttons.

Figure 14. Threshold Analyzer Filter Fields

You can further narrow down the search results by selecting the values in the X-Axis and Y-Axis fields.

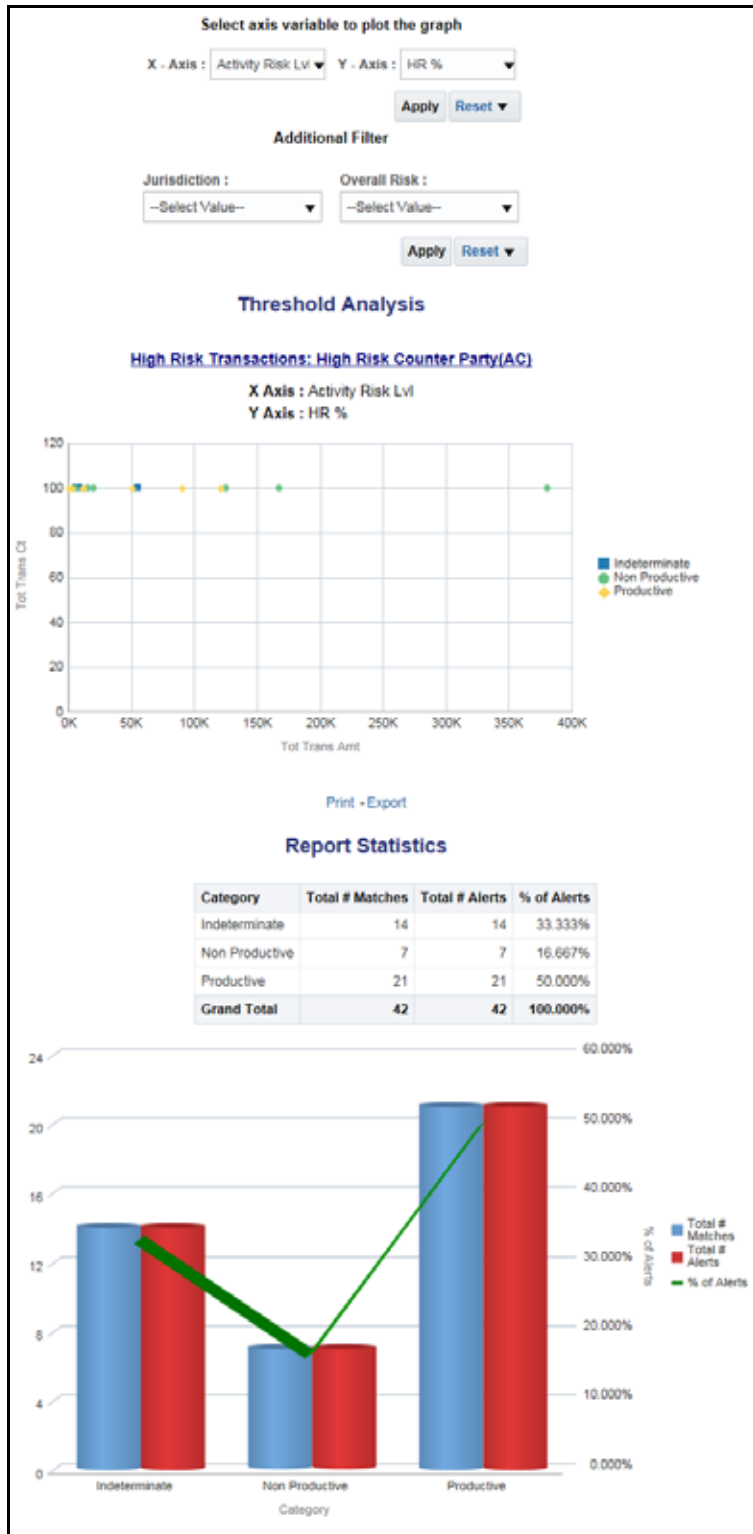


Figure 15. Threshold Analysis Report

Productivity

Use the Productivity reports to view the average time taken for closing an alert or case along with the current status of the active alerts and cases.

The following figure shows a portion of the Productivity home page. You can narrow down the search results by selecting the values in the Alert Created, Alert Closed, User, Organization, and Jurisdiction fields.

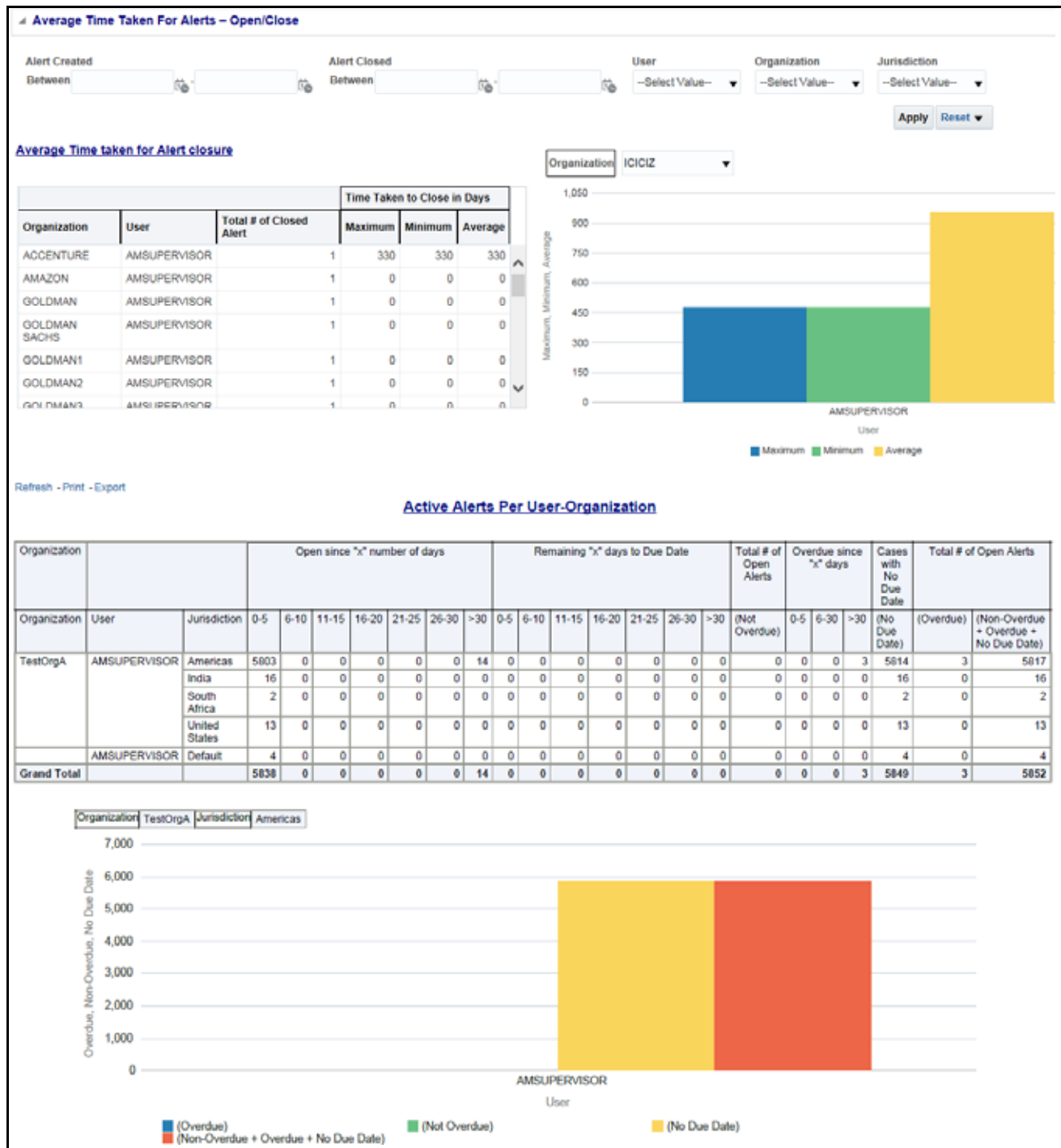


Figure 16. Productivity Home Page

The following Productivity reports are available in the Productivity home page:

- Average Time Taken for Cases – Open/Close: Use this report to view the average time taken from when a case is open to when a case is closed.
- Average Time Taken For Case Closure: Use this report to view the time taken to close a case.
- Average Time Taken For Alerts - Open/Close: Use this report to view the average time taken from when an alert is open to when an alert is closed.
- Average Time Taken For Alert Closure: Use this report to view the time taken to close an alert.
- Active Alerts Per User-Organization: Use this report to view the number of active alerts for a particular organization.
- Active Cases Per User-Organization: Use this report to view the number of active cases for a particular organization.


You can also filter the data in the reports using the following filter fields:



Figure 17. Productivity Home Filter Fields

The following reports are available in the Productivity section:

- Analyst Accuracy: Use this report to define the accuracy of an analyst based on the alerts processed and reopened in terms of error rate.
- Trend of Closing Activities for Alerts: Use this report to view the weekly trend across quarter for the number of alerts which have either been promoted to cases or price adjusted.
- Trend of Closing Activities for Cases: Use this report to view the weekly trend across quarter for the number of cases which have either been promoted to cases or price adjusted.

To view the reports that are available in the section header, click the Global Filters icon . Based on the Trend selected, which can be Weekly or Monthly, data related to weekly trends across the quarter and monthly trends across the year respectively are displayed.

Analyst Accuracy Report

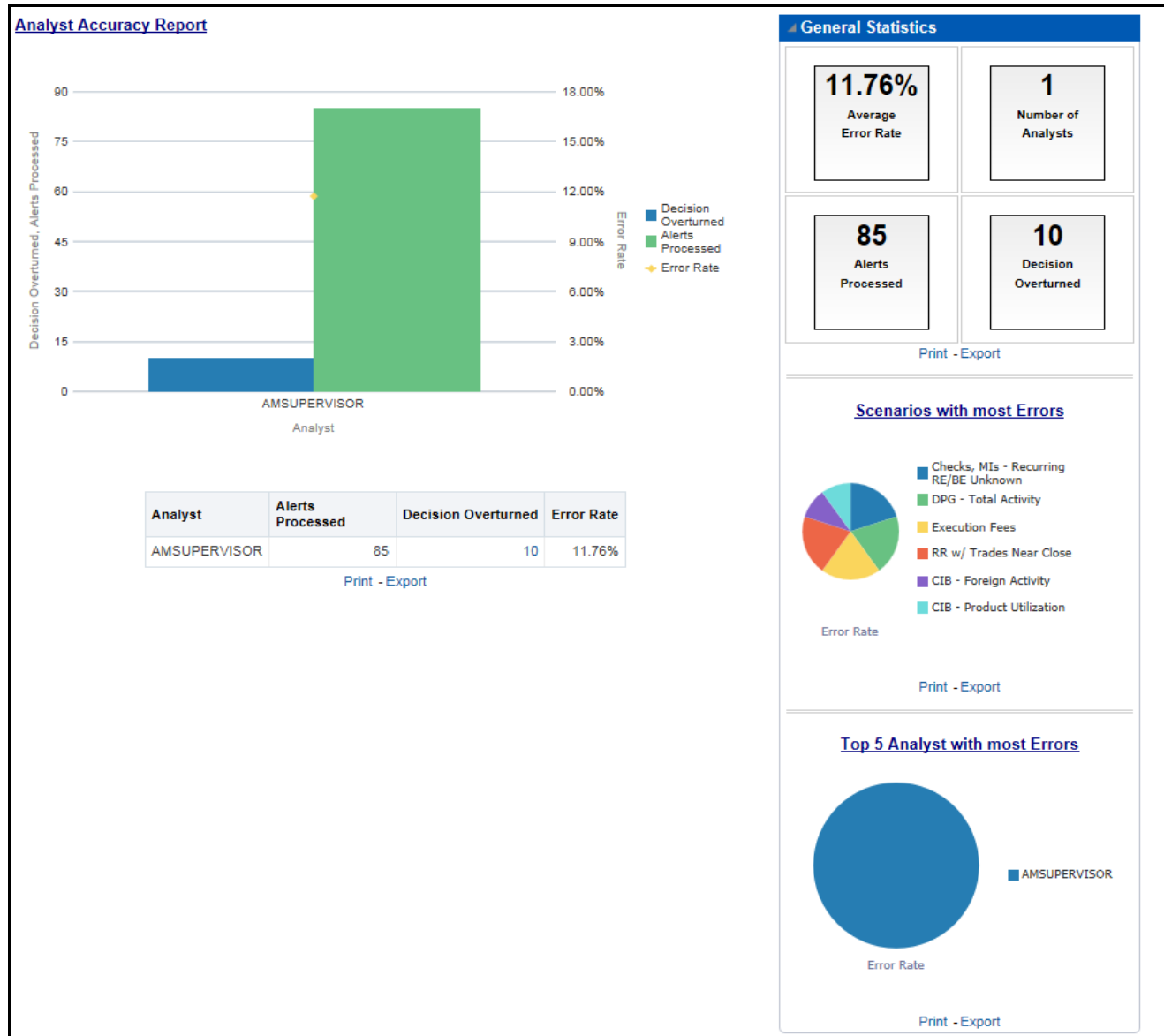


Figure 18. Analyst Accuracy Report

Click the Decision Overturned bar (in blue) in the graph and the hyperlinked number in the Decision Overturned column in the table to view the **List of Alerts with Decisions Overturned** drill-down report.

List of Alerts with Decisions Overturned

Alert ID	Score	Create Date	Due Date	Scenario Name	Current Status	Owner	Alert Age	Status Date	Focus Name	Focus	Threshold Set
16	3	10/22/2017		CB - Product Utilization, DPG - Total Activity	Reopened	AMSUPERVISOR	3	4/3/2017	Correspondent Bank	ML-CBProductUtilization_TestThreshold_1_118000071	ML-DPGTotalActivity_TestThreshold_1
17	3	10/22/2017		CB - Product Utilization, DPG - Total Activity	Reopened	AMSUPERVISOR	3	4/3/2017	Correspondent Bank	ML-CBProductUtilization_TestThreshold_1_118000071	ML-DPGTotalActivity_TestThreshold_1
18	3	10/22/2017		CB - HRG Activity, CB - Product Utilization	Reopened	AMSUPERVISOR	3	4/3/2017	Correspondent Bank	ML-CBHRGActivity_TestThreshold_1_118000089	ML-CBProductUtilization_TestThreshold_1_118000071
19	3	10/22/2017		DPG - Total Activity, HR Trans - HR Counter Party	Reopened	AMSUPERVISOR	3	4/3/2017	Correspondent Bank	ML-DPGTotalActivity_TestThreshold_1	ML-HRTransHRCounterParty_TestThreshold_1
20	3	10/22/2017		CB - Foreign Activity, CB - Product Utilization	Reopened	AMSUPERVISOR	3	4/3/2017	Correspondent Bank	ML-CBForeignActivity_TestThreshold_1_118000068	ML-CBProductUtilization_TestThreshold_1_118000071
35	3	10/22/2017		Checks, MIA - Recurring REBE Unknown, HR Trans - HR Counter Party	Reopened	AMSUPERVISOR	3	4/3/2017	Correspondent Bank	ML-CheckRecurringREBEUnknown-RCIS_TestThreshold_1_1142	ML-HRTransHRCounterParty_TestThreshold_1
36	3	10/22/2017		Execution Fees, RR w/ Trades Near Close	Reopened	AMSUPERVISOR	3	4/3/2017	Registered Representative	CST-ExecutionFees-RRSPC_TestThreshold_1	CST-RRwTradesNearClose-RRSPC_TestThreshold_1_118000044
37	3	10/22/2017		Execution Fees, RR w/ Trades Near Close	Reopened	AMSUPERVISOR	3	4/3/2017	Registered Representative	CST-ExecutionFees-RRSPC_TestThreshold_1	CST-RRwTradesNearClose-RRSPC_TestThreshold_1_118000044
38	3	10/22/2017		Execution Fees, RR w/ Trades Near Close	Reopened	AMSUPERVISOR	3	4/3/2017	Registered Representative	CST-ExecutionFees-RRSPC_TestThreshold_1	CST-RRwTradesNearClose-RRSPC_TestThreshold_1_118000044
39	3	10/22/2017		Execution Fees, RR w/ Trades Near Close	Reopened	AMSUPERVISOR	3	4/3/2017	Registered Representative	CST-ExecutionFees-RRSPC_TestThreshold_1	CST-RRwTradesNearClose-RRSPC_TestThreshold_1_118000044

Return - Refresh - Print - Export - Create Bookmark Link

WS Reports: Analyst Accuracy Report - Analyst Accuracy Report_Decision Overturned_Dashboard

Figure 19. List of Alerts with Decisions Overturned Drill-down Report

Note: Click the **Analyst Accuracy Report** hyperlink to go back to the Analyst Accuracy report.

Cases

Use the Cases reports to view the reports related to the investigation and resolution of cases related to one or more business entities involved in potentially suspicious behavior..

The following Cases reports are available:

- Case Entity Search: Use this report to view the cases that are associated to the entity of interest of the user.
- Case Transaction Entity Search: Use this report to view the information related to cases that contain the transaction of interest of the user
- Reopened Cases: Use this report to view the number of reopened cases.

Case Entity Search Report

[Case Entity Search](#)

Case Subtype Name	#Cases
AML Surveillance	53
Enhanced Due Diligence	68
Patriot Act - CIP Exceptions	15
Grand Total	136

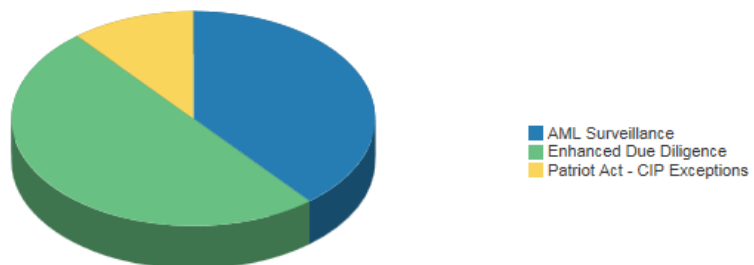


Figure 20. Case Entity Search Report

Trade Blotter

Use the Trade Blotter reports to view reports associated with the employee trading. The following Trade Blotter report is available:

- Trade Blotter Search: Use this report to view the details of the trades executed by a particular compliance analyst.

Trade Blotter Search Report

Trade Date	Status	Reviewed By	Reviewed Date	Score	Trade ID	Alerts	Rep/Advisor	Client	Account ID	Account Name	Account Type
10-DEC-15 103000000 -05:00	RVW	SUPERVISOR	2/24/2017 7:20:15 AM	0	TRDTRDBLT054	0.00	EMPTRDBLT010				
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT039	0.00	EMPTRDBLT005	JACK JACKSON	ACTRDBLT0015	SIJJE ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT040	0.00	EMPTRDBLT005	JACK JACKSON	ACTRDBLT0015	SIJJE ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT041	0.00	EMPTRDBLT005	JACK JACKSON	ACTRDBLT0015	SIJJE ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT042	0.00	EMPTRDBLT006		ACTRDBLT001	CASE SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT043	0.00	EMPTRDBLT006		ACTRDBLT001	CASE SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT044	0.00	EMPTRDBLT006		ACTRDBLT001	CASE SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT045	0.00	EMPTRDBLT007		ACTRDBLT001	CASE SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT046	0.00	EMPTRDBLT007		ACTRDBLT002	TEST SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT047	0.00	EMPTRDBLT007		ACTRDBLT002	TEST SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT048	0.00	EMPTRDBLT008		ACTRDBLT0014	HACK ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT049	0.00	EMPTRDBLT008		ACTRDBLT0014	HACK ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT050	0.00	EMPTRDBLT008		ACTRDBLT0014	HACK ROSS	Investment

Figure 21. Trade Blotter Search Report

SARs

Use the SARs reports to view reports associated with the SAR filed in a regulatory reporting system. The following SARs reports are available:

- SARs from Alerts: Use this report to view the count of Suspicious Activity Reports (SARs) associated with alerts that are distributed by a particular criteria.
- SARs from Cases: Use this report to view the count of Suspicious Activity Reports (SARs) associated with alerts that are distributed by a particular criteria.
- Trend of Cases for SAR: Use this report to view the trend of cases which have been promoted as SARs based on jurisdiction.

SARs from Alerts Report

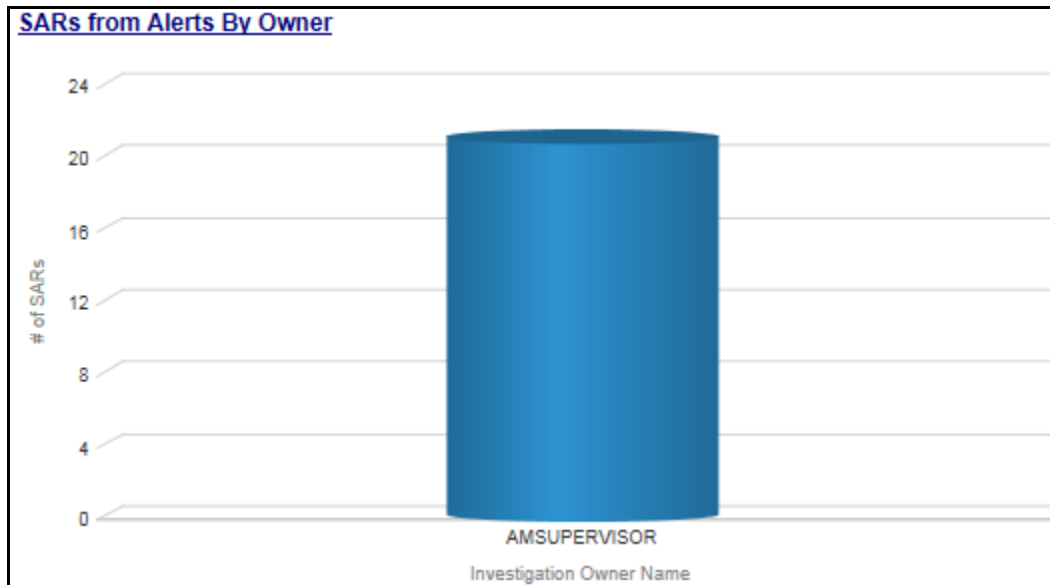


Figure 22. SARs from Alerts Report

Personal Trading

Use the Personal Trading Reports reports to see information associated with the OFS PTA products which track an employee's trading requests and personal accounts.

The following reports are available under the Personal Trading section:

- Employee Attestation Completions: Use this report to view the details of annual employee attestations, which allow users to know who has and who has not completed their annual requirements.
- Employee Brokerage Accounts: Use this report to view the personal accounts of all employees who have been submitted and approved.
- Employee External Account Holdings: Use this report to view the details of all employees who have accounts in external organizations.
- Employee Pre-Trade Requests: Use this report to view the details of all employees who have submitted pre-trade requests.
- Employee Trades: Use this report to view the details of all trades made by employees.

Employee Attestation Completions Report

Employee Attestation Completions										
Time run: 8/11/2016 12:07:24 PM										
Employee Name	Employee Identifier	E-Mail Address	Employee Status	Date Hired	Investment Policy Manager Identifier	Information Sensitive Indicator	Attestation Status	Attestation Submission Date	Attestation Reporting Period Start Date	Attestation Reporting Period End Date
BUNNY,KEVIN	EMPTCSIGCORR-002	merin.jose@oracle.com	A	02/09/2013	EMPANOMATMEXWDAC-01	Y	Reviewed	09/16/2013	01/01/2018	02/12/2019
							Reviewed with Follow-up	09/12/2013	01/01/2018	02/12/2019
JOSE.MERIN	EMPTCSIGCORR-001	ujjwal.jain@oracle.com	A	02/09/2013	BGMCIA-001	Y	New (Unreviewed)	04/16/2014	04/16/2015	02/12/2016
							Reviewed	09/16/2013	01/01/2018	02/12/2019
								10/07/2013	01/01/2019	02/12/2020
								10/17/2013	01/01/2020	02/12/2021
									01/01/2021	02/12/2022
							Reviewed with Follow-up	03/06/2013	01/01/2015	02/12/2025
								09/13/2013	01/01/2018	02/12/2019
								09/16/2013	01/01/2018	02/12/2019
							Reviewing	10/16/2013	01/01/2020	02/12/2021
								11/20/2013	01/01/2022	02/12/2022
								04/16/2014	04/16/2014	02/12/2015

Figure 23. Employee Attestation Completions Report

Fraud

Use the Fraud report to view the trend of cases related to fraud.

The following Fraud report is available:

- Trend of Averted Loss for Cases: Use this report to view the number of cases for which a loss has been prevented.
- Trend of Avg Loss & Recovery Amt for Cases: Use this report to view the trend of averted loss, potential loss and recovery for cases based on case sub-type.
- Trend of High Loss Cases: Use this report to view the trend of high loss cases based on owner, jurisdiction and case subtype.

Trend of Average Loss and Recovery Amounts for Cases Report

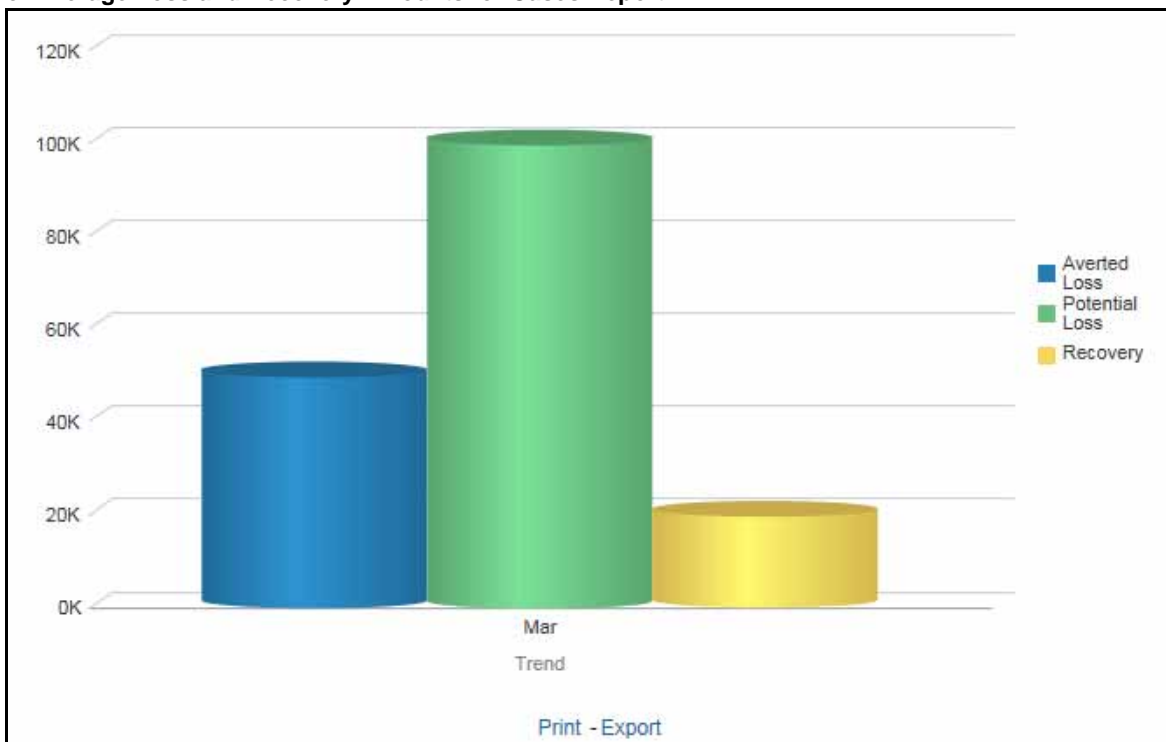


Figure 24. Trend of Average Loss and Recovery Amounts for Cases Report

KYC

Use the KYC reports to view the data related to identifying and verifying the identity of a client.

The following KYC reports are available:

- High Risk Customers at Assessment Level: Use this report to view the customers based on their CER (Customer Effective Risk) score and grouped by Jurisdiction, Country, and Customer Type.
- Customer Risk Score Override: Use this report to view the Customers whose risk scores have been manually overridden.
- Increase in Customer's Risk: Use this report to view the Customers whose Risk scores have increased over a period of time due to different sources of risk assessment.
- Watch List Match: Use this report to view the Customers who are on the high watch list flag and view the results which are false positive, confirmed, or unverified by the user.

High Risk Customers Report

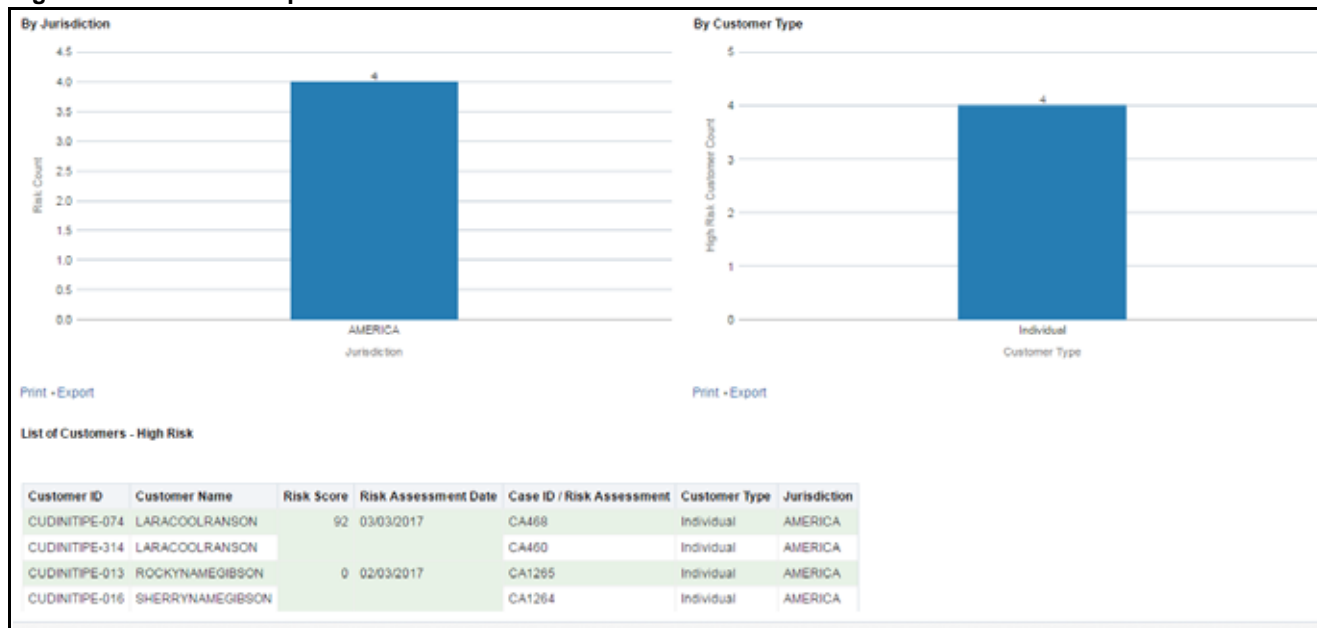


Figure 25. High Risk Customers Report

CTR

Use the CTR reports to analyze transaction data from an organization and identify any suspicious activities within the organization that may lead to fraud or money laundering and must be reported to the regulatory authorities.

The following CTR reports are available:

- CTR
 - Trends
 - Detail - TIN
 - Productivity by Status
- Exemptions

- Recertify Productivity
- Revoked Exemptions
- New Exemptions
- High Volume CTR Entities
- Audit CTR
- Exempt Entity
- Transaction Logs
 - MI Transaction Log
 - Currency Transaction Journal

Recertify Productivity Report

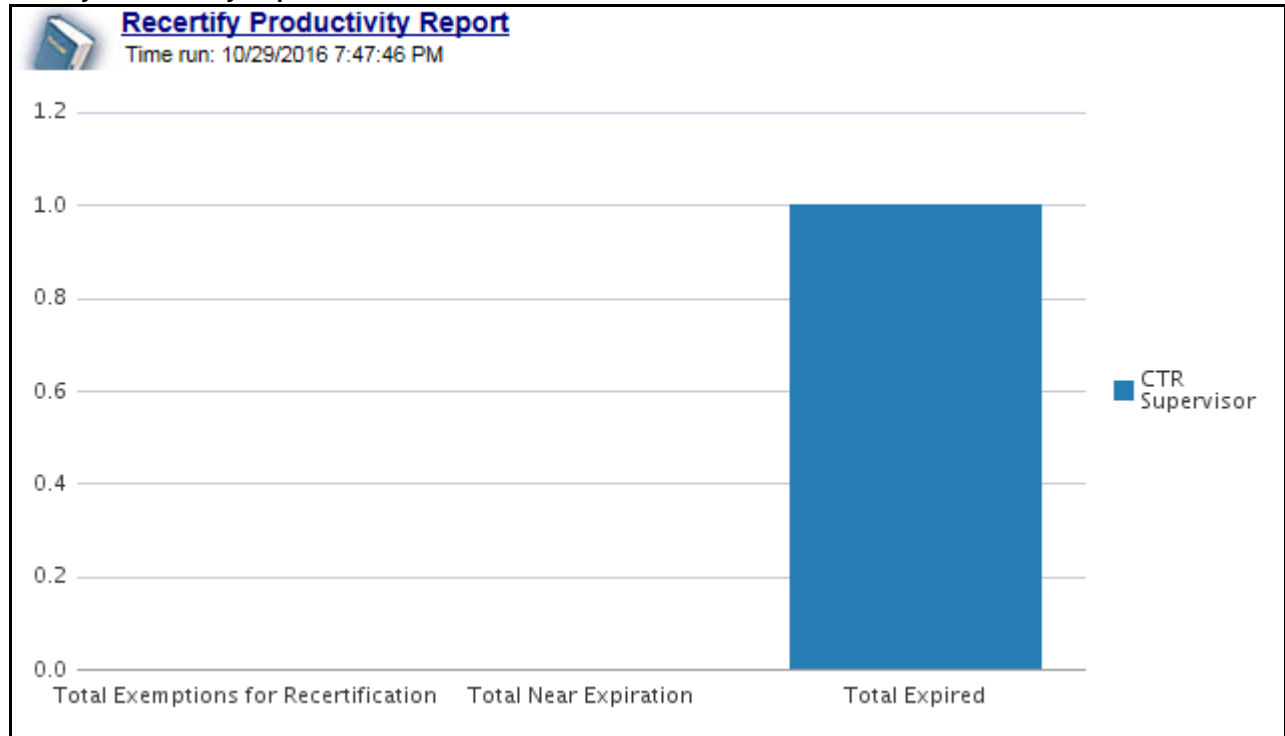


Figure 26. Recertify Productivity Report

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