

Oracle Financial Services FCCM Analytics

User Guide

Release 8.1.2.4.0

March 2023

E85262-04

ORACLE®

Financial Services

OFS FCCM Analytics User Guide

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Document Control

Table 1: Document Control

| Version Number | Revision Date | Change Log |
|----------------|----------------|---|
| 8.1.2.4.0 | March 2023 | There are no updates to this guide in this release. |
| 8.1.2.3.0 | December 2022 | There are no updates to this guide in this release. |
| 8.1.2.2.0 | September 2022 | There are no updates to this guide in this release. |
| 8.1.2.1.0 | June 2022 | There are no updates to this guide in this release. |
| 8.1.2.0.0 | March 2022 | There are no updates to this guide in this release. |

Table of Contents

| | | |
|----------|--|-----------|
| 1 | About this Guide..... | 5 |
| 1.1 | Who Should Use this Guide..... | 5 |
| 1.2 | How this Guide is Organized..... | 5 |
| 1.3 | Where to Find More Information..... | 5 |
| 1.4 | Conventions Used in this Guide..... | 6 |
| 2 | Getting Started..... | 7 |
| 2.1 | Prerequisites..... | 7 |
| 2.2 | Accessing FCCM Analytics Reports..... | 7 |
| 3 | Common Report Features..... | 10 |
| 3.1 | Common Filters for MIS and Business Entity Reports..... | 10 |
| 3.2 | Drill Down Reports..... | 12 |
| 3.3 | Common Actions..... | 13 |
| 3.4 | Error Messages..... | 13 |
| 4 | Viewing FCC Analytics Reports..... | 14 |
| 4.1 | Business Entity Reports..... | 14 |
| 4.1.1 | <i>Accessing the Business Entity Reports.....</i> | <i>14</i> |
| 4.1.2 | <i>Running an Individual Business Entity Report.....</i> | <i>20</i> |
| 4.2 | MIS Reports..... | 22 |
| 4.2.1 | <i>Accessing the MIS Reports.....</i> | <i>22</i> |
| 5 | OFSAA Support Contact Details..... | 78 |
| 6 | Send Us Your Comments..... | 79 |

1 About this Guide

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

- [Who Should Use this Guide](#)
- [Scope of this Guide](#)
- [How this Guide is Organized](#)
- [Conventions Used in this Guide](#)

1.1 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
- **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 to the cases. This user's specific role (that is, Case Viewer I or Case Viewer II) determines what this user can see within the application.

1.2 How this Guide is Organized

The FCCM User Guide includes the following chapters:

-
-
- [Viewing FCC Analytics Reports](#) provides instructions on how to navigate through the Oracle Financial Services FCCM Analytics Enterprise Case Management application and the reports available in the application.

1.3 Where to Find More Information

For more information about Oracle Financial Services FCCM Analytics Enterprise Case Management, refer to the following documents, which can be found on the [Oracle Help Center](#) page:

- 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.

To find additional information about how OFS solves real business problems, see our website on [Oracle for Financial Services home page](#).

1.4 Conventions Used in this Guide

Table 2 mentions the conventions used in this guide.

Table 2: Conventions Used

| Conventions | 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 the text and as separate paragraphs, and user-defined program elements within the text |
| Hyperlink | Hyperlink type indicates the links to external websites and internal document links to sections. |
| Asterisk (*) | Mandatory fields in User Interface. |
| <Variable> | Substitute input value. |

2 Getting Started

This chapter provides instructions to access the FCCM Analytics reports in the Oracle Financial Services Analytical Applications (OFSAA).

This chapter focuses on the following topics:

- [Prerequisites](#)
- [Accessing FCCM Analytics Reports](#)

2.1 Prerequisites

An architecture is a blueprint of all the parts that together define the system: its structure, interfaces, and communication mechanisms. A set of functional views can describe an architecture.

2.2 Accessing FCCM Analytics Reports

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

To access the FCCM Analytics reports, follow these steps:

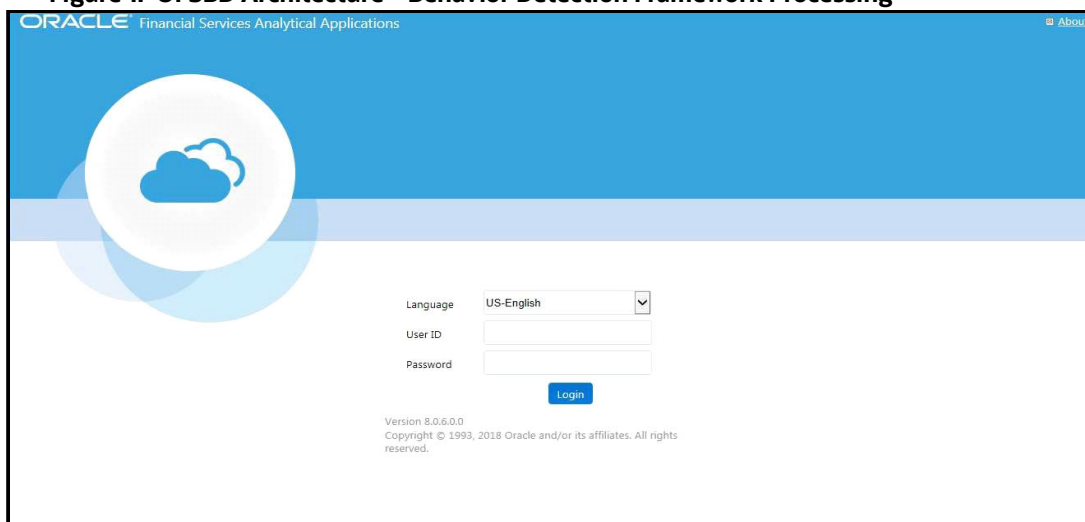
1. Enter the OFSAA URL in your browser using the following format:

```
<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/  
login.jsp
```

For example: `https://myserver:9080/ofsaaapp/login.jsp`

The OFSAA Login page is displayed.

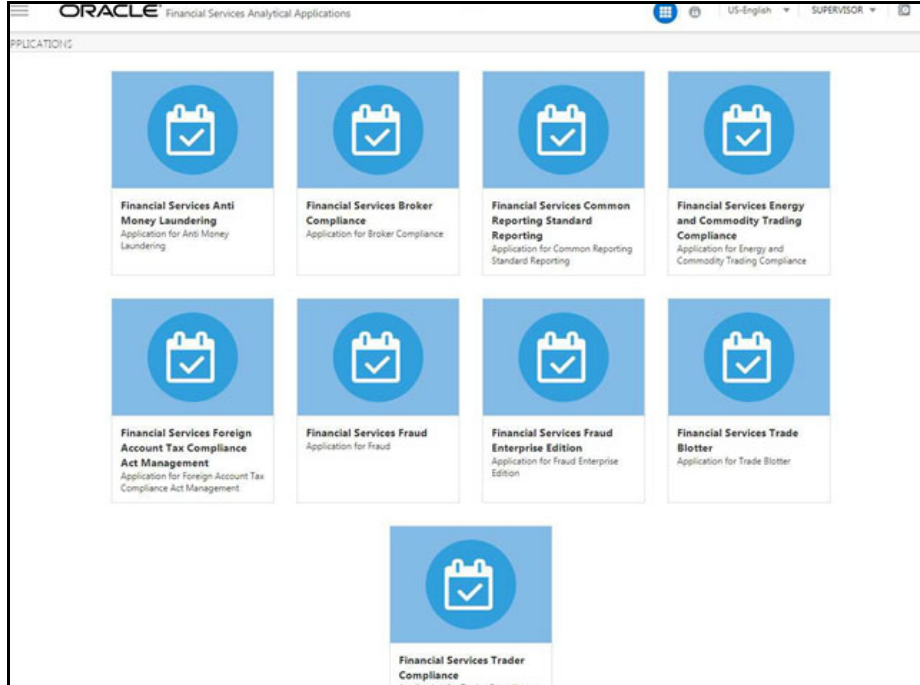
Figure 1: OFSBD Architecture—Behavior Detection Framework Processing



2. Enter your **User ID** and **Password**.
3. Click **Login**.

The Oracle Financial Services Analytical Applications page is displayed.

Figure 2: OFSAA Page



The Oracle Financial Services Analytical Applications page is the 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](#). You can use the OFSAA Application page to access the Oracle Financial Services applications in your environment.

4. Click an application from the Tiles menu for which you want access the reports. The application's Home page is displayed with the navigation list to the left.

Figure 3: Behavior Detection Application Page.



5. Click **Reports** from the Navigation list.

The FCCM Analytics application home page is displayed.

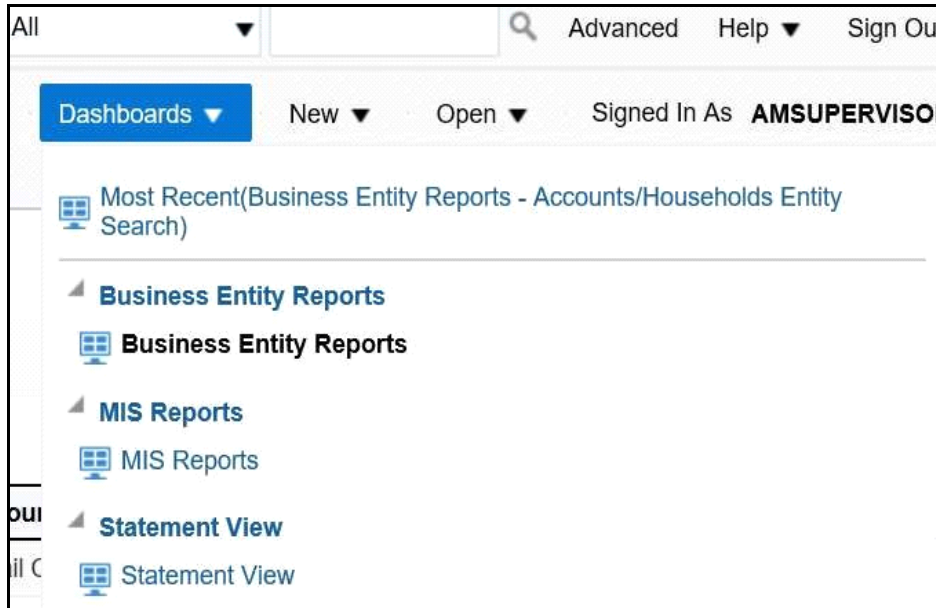
6. Click the **Dashboards** tab on the top-right corner and click the desired dashboards to view the related reports.

The following dashboards are available within the application:

- Business Entity Reports

- MIS Reports
- Statement View Reports

Figure 4: Types of Reports in Analytics Application



NOTE

- You will have access only to the data configured for your user role on MIS Reports only.
- Entitlement is not imposed on the Business Entity and Statement view reports.
- You may also customize existing FCCM Analytics reports and create new reports. For information on customization, see Oracle Financial Services Behavior Detection Configuration Guide.

3 Common Report Features

The following features are common to many of the FCCM Analytics reports:

- [Common Filters for MIS and Business Entity Reports](#)
- [Drill Down Reports](#)
- [Common Actions](#)
- [Error Messages](#)

3.1 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 appear to the left of the report. Each report has its own specific set of filters.

Figure 5: Global Filters for Account Entity Search Report

1. Enter the following details.

Table 3: Global Filters for Account Entity Search Report and their Descriptions

| Field | Description |
|------------------------|--|
| Account Identifier | Select the unique identification number of an account. |
| Account Type | Select the Account Type classification for the usage of this account. |
| Account Ownership Type | Select the account ownership type from the drop-down list. |
| Account holder Type | Select the account holder type from the drop-down list |
| Account Status | Select the account status. (for example: Active, Inactive, or Closed). |

Table 3: Global Filters for Account Entity Search Report and their Descriptions

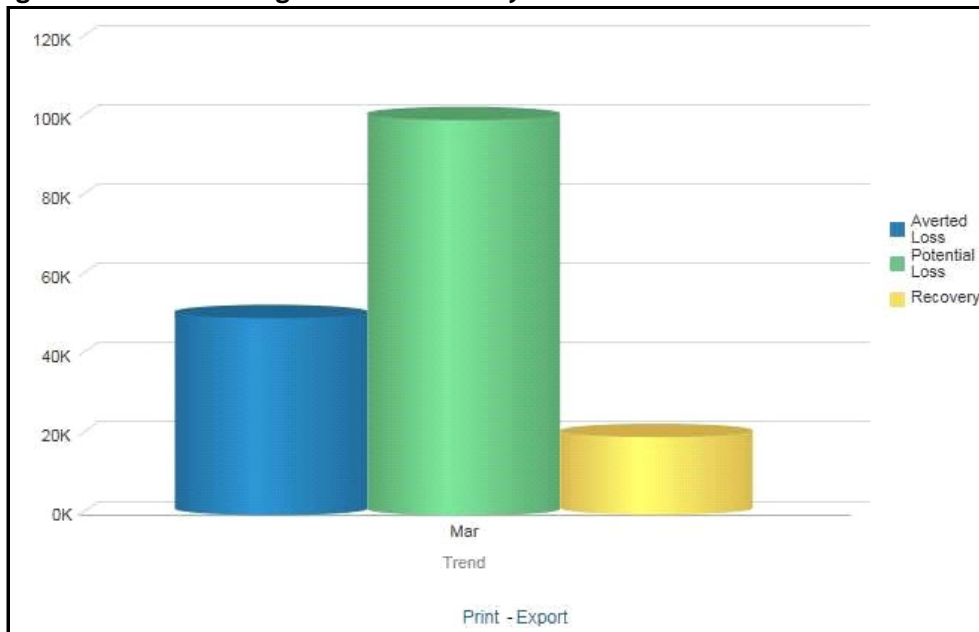
| Field | Description |
|-------------------------|---|
| Account Open Date | Enter the account open date using the calendar. This is the date on which the account is opened. |
| Country of Domicile | Select the permanent legal residence country from the drop-down |
| Effective Risk | Select the effective risk. This is the level of risk associated with the selected account. |
| Branch | Select the branch code. This is the branch where the account is domiciled. |
| Business Domain | This shows the associated Business Domain selected from the drop-down. |
| Jurisdiction | Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this account. |
| Account Address Country | Select the country name of the correspondent bank from the drop-down |
| Account Address State | Select the state name of the correspondent bank from the drop-down |
| Account Address City | Select the city name of the correspondent bank from the drop-down |

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

3.2 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 6: Trend of Average Loss and Recovery Amounts for Cases



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

Figure 7: List case by all losses Drill-down Report

| Score | Focus Type | Type | Subtype | Title | Description | Created | Due | Organization | Status | Owner ID | Owner | Linked Alerts | Domains | ID | Trend |
|-------|------------|---------------------------|-------------------|------------------------|-------------|----------|----------|--------------|--------------|----------|---------|---------------|---------|----|-------|
| EE | Fraud | Account and Product Fraud | Employee Journals | 7 Matches; 1 Scenarios | 3/3/2017 | TestOrgA | Reopened | AMSUPERVISOR | AMSUPERVISOR | 1 | fedcbaD | CA125 | Mar | | |

Return - Print - Export - Create Bookmark Link

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

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.

3.3 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.
- **Export:** When you click **Export**, the current report can be exported into a PDF, Excel, Powerpoint, various data formats or a Web page.

3.4 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**.

4 Viewing FCC Analytics Reports

- [Business Entity Reports](#)
- [MIS Reports](#)
-

4.1 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 AML alerts or cases and represent all matching records found within the Financial Service Data Models.

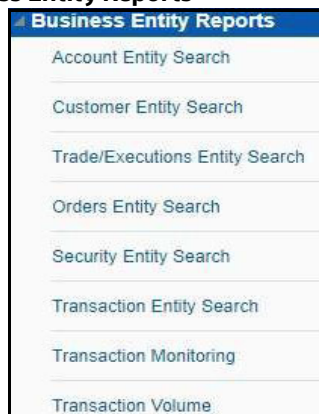
- [Accessing the Business Entity Reports](#)
- [Running an Individual Business Entity Report](#)

4.1.1 Accessing the Business Entity Reports

To access the Business Entity Reports, follow these steps:

1. Click the **Business Entity Reports** on the **Dashboards** menu. The following **Business Entity Reports** are displayed in the list.
 - [Account Entity Search](#)
 - [Customer Entity Search](#)
 - [Trade/Execution Entity Search](#)
 - [Orders Entity Search](#)
 - [Security Entity Search](#)
 - [Transaction Entity Search](#)
 - [Transaction Monitoring](#)
 - [Transaction Volume](#)

Figure 8: Business Entity Reports



4.1.1.1 Account Entity Search

The Account Entity Search dashboard displays all accounts in the application matching the criteria defined.

Figure 9: Account Entity Search Report

| Account Entity Search Report | | | | | | | | | | | | |
|--------------------------------|-----------------------|------------|-----------------------|----------------------|--------------|------------------------|----------------|---------------------|------------|-----------------------|------------------------|--------------------------|
| Time run: 6/25/2020 5:50:32 PM | | | | | | | | | | | | |
| Account Name | Account ID | Type(s) | Account Holder Type | Account BusinessType | Registration | Account Ownership Type | Account Status | Account Status Date | Open Date | Date of Last Activity | Primary Account Holder | Account Group Identifier |
| 24376 | AC24376UOCCDA-1 | Savings | Retail Customer | RBK | Individual | Individual | Active | 12/31/2014 | 12/31/2014 | 12/10/2015 | REMOZ FARNADIS15 | |
| 24376 | AC24376UCARABDA-1 | Savings | Retail Customer | RBK | Individual | Individual | Active | 12/31/2014 | 12/31/2014 | 12/10/2015 | REMOZ FARNADIS15 | |
| 24376 | AC24376UCHCUSA-1 | Savings | Retail Customer | RBK | Individual | Individual | Active | 12/31/2014 | 12/31/2014 | 12/10/2015 | REMOZ FARNADIS15 | |
| 24376 | AC24376UCCEMDA-1 | Savings | Retail Customer | RBK | Individual | Individual | Active | 12/31/2014 | 12/31/2014 | 12/10/2015 | REMOZ FARNADIS15 | |
| 24376 | AC24376UPAWABDA-1 | Savings | Retail Customer | RBK | Individual | Individual | Active | 12/31/2014 | 12/31/2014 | 12/10/2015 | REMOZ FARNADIS15 | |
| AABA-HARANA | ACBSACTRC002 | Savings | Retail Customer | RBK | Individual | Individual | Active | | 12/31/2014 | 12/10/2015 | LIN DAN | |
| AABA-HA | ACBSACTRC001 | Savings | Retail Customer | RBR | Individual | Individual | Active | | 12/31/2014 | 12/10/2015 | LEE CHONG WEI | |
| ADESH J PANDAV | ACTRISMTHH-110 | Investment | Investment Advisor | RBR | Individual | Individual | Active | 12/31/2014 | 12/31/2014 | 12/10/2015 | REMOZ FARNADIS15 | HHTRISMTHH-110 |
| ADESH J PANDAV | ACUNOPUTSCHLDC-002 | Investment | Investment Advisor | RBR | Individual | Individual | Active | 12/31/2014 | 12/31/2014 | 12/10/2015 | REMOZ FARNADIS15 | |
| ADESH KHAN J PANDAV | ACTRISMTHH-001 | Investment | Investment Advisor | RBR | Individual | Individual | Active | 12/31/2014 | 12/31/2014 | 12/10/2015 | REMOZ FARNADIS15 | HHTRISMTHH-001 |
| AADI | XXACHGHCLNTTOAC-008 | Savings | Retail Customer | RBK | Individual | Individual | Active | 9/12/2015 | 9/12/2015 | 12/1/2015 | REMOZ FARNADIS15 | |
| AADITYA | XXACHGHCLNTTOAC-000 | Savings | Retail Customer | RBK | Individual | Individual | Closed | 8/28/2015 | 8/28/2015 | 11/30/2015 | REMOZ FARNADIS15 | |
| AADYA | AC-UNSUITRNS-DLY-02 | Savings | Retail Customer | RBK | Individual | Individual | Active | 12/1/2015 | 12/1/2015 | 12/10/2015 | AAADYA | |
| AADYA | XXAC-UNSUITRNS-DLY-02 | Savings | Retail Customer | RBK | Individual | Individual | Active | 12/1/2015 | 12/1/2015 | 12/10/2015 | XXAADYA | |
| AADYOT | AC-UNSUITRNS-DLY-03 | Investment | Retail Customer | RBR | Individual | Individual | Active | 12/1/2015 | 12/1/2015 | 12/10/2015 | AADYOT | |
| AADYOT | XXAC-UNSUITRNS-DLY-03 | Investment | Clearing Organization | RBR | Individual | Individual | Active | 12/1/2015 | 12/1/2015 | 12/10/2015 | XXAADYOT | |
| AAMIR | ACBSACTRC012 | Savings | Retail Customer | RBK | Individual | Individual | Active | | 12/31/2014 | 12/10/2015 | COMENECCI | |
| AAREN | ACNQPASRRR-019 | Investment | Employee / Family | RBR | Individual | Individual | Active | 9/12/2015 | 12/8/2015 | 12/10/2015 | UNDERTAKER | HHSAMPLE00 |
| AARON | ACTRAGLSTOG-001 | Investment | Retail Customer | RBR | Individual | Individual | Active | 6/1/2014 | 6/1/2014 | 12/10/2015 | JAMES J AARON | |
| AARON | KYC_IND_ACCT_04 | Savings | Retail Customer | RBK | Individual | Individual | Active | 3/7/2014 | 12/10/2009 | 12/10/2015 | LNC INC | HHPOSITLLNPT-003 |
| AARON | KYC_IND_ACCT_27 | Others | Employee / Family | RBR | Individual | Individual | Active | 12/31/2008 | 12/10/2009 | 12/31/2008 | LARA NAME RANSON | HHFRECALRTPE-006 |
| AARTI | ACBSACTRC006 | | Retail Customer | RBK | Individual | Individual | Active | | 12/31/2014 | 12/10/2015 | TAN | |
| AARUSH | ACBSACTRC005 | Savings | Retail Customer | RBK | Individual | Individual | Active | | 12/31/2014 | 12/10/2015 | FU HIFUNG | |
| AARZOO | ACBSACTRC010 | Savings | Retail Customer | RBK | Individual | Individual | Active | | 12/31/2014 | 12/10/2015 | PHELPS | |

4.1.1.2 Customer Entity Search

The Customer Entity Search dashboard displays all customers in the application matching the criteria defined.

Figure 10: Customer Entity Search Report

| Customer Entity Search Report | | | | | | | | |
|--|----------------------------------|--------------------|----------------|-----------------|-------------------|--------------|---------------|-----------|
| Time run: 6/29/2020 5:06:50 PM | | | | | | | | |
| Customer Name | Customer ID | Type | Business Type | Customer Status | Customer Add Date | # of Account | Date of Birth | Primary C |
| 'ABD AL-MALIK MOHAMMAD YUSIF 'ABD-AL-SALAM | CTBCB-643 | Individual | Retail Banking | Active | | 0 | | |
| 'ABD AL-MALIK MUHAMMAD YUSIF 'ABD-AL-SALAM | CTBCA-496 | Individual | Retail Banking | Active | | 0 | | |
| 'ABD AL-MALIK MUHAMMAD YUSIF 'ABD-AL-SALAM | CTBCB-594 | Individual | Retail Banking | Active | | 0 | | |
| 'ABD AL-RAHIM BA'ASYIR | CTBCB-697 | Individual | Retail Banking | Active | | 0 | | |
| 'ALI SALIM ROUMANIN | CTBCB-680 | Individual | Retail Banking | Active | | 0 | | |
| 'Abd Al-Malik Muhammad Yusuf 'Abd-Al-Salam | 31ab1fa2e97641e48d3b4a98abcc1121 | Individual | Retail Banking | Active | | 0 | 7/13/1989 | |
| 'Abd Al-Mushin Zabin Multib Naif Al-Mutayri | 9ee82ecccc1a4662a429bbdd035efbf4 | Individual | Retail Banking | Active | | 0 | 7/1/1973 | |
| 'Abd Almalik Muhammad Yusuf 'Abd-Al-Salam | 891e470db4944b859e109e6aec50ebbd | Individual | Retail Banking | Active | | 0 | 7/13/1989 | |
| 'Abd Zabin Multib Naif Al-Mutayri | a4e8823c89b4f614b3adbfabf5bad11 | Individual | Retail Banking | Active | | 0 | 7/1/1973 | |
| 'Ali Abu Hasan Al-Yami | 75392d75b11f4c70a93acd2b035a6991 | Individual | Retail Banking | Active | | 0 | 1/14/1979 | |
| 'Ali Hasan Al-Yami | 9fa6718b9622417d94614ccc437dd119 | Individual | Retail Banking | Active | | 0 | 1/14/1979 | |
| 'Hackers Brain | 2245c6a8ca34061891d16d3dc27bc0f | Individual | Retail Banking | Active | | 0 | 1/1/1983 | |
| 'Isam Amhaz | 923e5b5f682487b90dd3d0b83805825 | Individual | Retail Banking | Active | | 0 | 3/4/1967 | |
| 'Isam Amhaz | a5119694e7c348388b8333f1de7e253a | Individual | Retail Banking | Active | | 0 | 3/4/1966 | |
| (AQE) AL-QAIDA IN EGYPT | CTBCB-1448 | Individual | Retail Banking | Active | | 0 | | |
| (JNIM) JAMA'A NUSRAT UL-ISLAM WA AL-MUSLIMIN | CTBCB-1521 | Individual | Retail Banking | Active | | 0 | | |
| (LIMITED LIABILITY COMPANY KIRISHAVTOSERVIS | CTBCB-1116 | Other Organization | Retail Banking | Active | | 0 | | |
| (MOHAMMAD | CTBCB-1080 | Other Organization | Retail Banking | Active | | 0 | | |

4.1.1.3 Trade/Execution Entity Search

The Trade/Execution Entity Search dashboard displays all traded and executions in the application matching the criteria defined.

Figure 11: Trade/Execution Entity Search Report

| Trade/Execution Entity Search Report | | | | | | | | | | | | | |
|--------------------------------------|----------------------------|------------------------|---------|------------------|----------|----------|-----------|------------------|------------------------|-----------------|------------------|------------------|--------------|
| Time run: 6/29/2020 5:09:00 PM | | | | | | | | | | | | | |
| Trade ID | Date and Time | Security | ISIN | Product Category | Quantity | Price | Principal | Order Identifier | Trade Identifier | Customer | Customer Account | Customer | |
| 780001 | 30-JAN-15 131201000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-064 | | | AYERTON SENNA | Buy |
| 790001 | 27-FEB-15 130101000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-063 | | | AYERTON SENNA | Buy |
| 840001 | 31-MAR-15 114501000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-062 | | | AYERTON SENNA | Buy |
| 870001 | 30-APR-15 113101000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-061 | | | AYERTON SENNA | Buy |
| 870002 | 30-APR-15 143801000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-054 | | | ALAIN PROST | Buy |
| 900001 | 29-MAY-15 090500000 -05.00 | SECDAYTRDLOSSHH-01 | DTLHH01 | Equity | 1000.00 | 10.25 | 1.00 | | TRDDAYTRDLOSSH-09 | PREET PRAKASH C | Mancrea | | Sell |
| 900002 | 29-MAY-15 102501000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-060 | | | AYERTON SENNA | Buy |
| 900003 | 29-MAY-15 090500000 -05.00 | SECDAYTRDLOSSHH-02 | DTLHH02 | Equity | 1000.00 | 10.27 | 1.00 | | TRDDAYTRDLOSSH-01 | MURUGAN SINGH B | JOHNSON | | Sell |
| 900004 | 29-MAY-15 132702000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-053 | | | ALAIN PROST | Buy |
| 900005 | 29-MAY-15 100500000 -05.00 | SECDAYTRDLOSSHH-01 | DTLHH01 | Equity | 1000.00 | 50.00 | 1.00 | | TRDDAYTRDLOSSH-10 | PREET PRAKASH C | Mancrea | | Buy |
| 900006 | 29-MAY-15 100500000 -05.00 | SECDAYTRDLOSSHH-02 | DTLHH02 | Equity | 1000.00 | 100.00 | 1.00 | | TRDDAYTRDLOSSH-02 | MURUGAN SINGH B | JOHNSON | | Buy |
| 900007 | 29-MAY-15 093000000 -05.00 | Security for Day Trade | DTLA01 | Equity | 250.00 | 44.20 | 1.00 | | TRDDAYLOSSAC-01 | MOHANTY BALAJI | ROSS | | Sell |
| 900008 | 29-MAY-15 103000000 -05.00 | Security for Day Trade | DTLA01 | Equity | 250.00 | 2,000.00 | 1.00 | | TRDDAYLOSSAC-02 | MOHANTY BALAJI | ROSS | | Buy |
| 900009 | 29-MAY-15 143505000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-071 | | | JACK VILLEVEUVE | Buy |
| 930001 | 30-JUN-15 101001000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-059 | | | AYERTON SENNA | Buy |
| 930002 | 30-JUN-15 132402000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-052 | | | ALAIN PROST | Buy |
| 930003 | 30-JUN-15 094000000 -05.00 | Security for Day Trade | DTLA01 | Equity | 100.00 | 80.42 | 1.00 | | TRDDAYLOSSAC-03 | MOHANTY BALAJI | ROSS | | Sell |
| 930004 | 30-JUN-15 104000000 -05.00 | Security for Day Trade | DTLA01 | Equity | 100.00 | 1,800.00 | 1.00 | | TRDDAYLOSSAC-04 | MOHANTY BALAJI | ROSS | | Buy |
| 930005 | 30-JUN-15 152005000 -05.00 | FSDF | | Equity | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-073 | | | MANGAL SINGH HHH | EDDIE ERWINE |
| 930006 | 30-JUN-15 134505000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-070 | | | JACK VILLEVEUVE | Buy |
| 960001 | 31-JUL-15 091500000 -05.00 | SECDAYTRDLOSSHH-01 | DTLHH01 | Equity | 400.00 | 10.17 | 1.00 | | TRDDAYTRDLOSSH-11 | PREET PRAKASH C | Mancrea | | Sell |
| 960002 | 31-JUL-15 091500000 -05.00 | SECDAYTRDLOSSHH-02 | DTLHH02 | Equity | 400.00 | 15.27 | 1.00 | | TRDDAYTRDLOSSH-03 | MURUGAN SINGH B | JOHNSON | | Sell |
| 960003 | 31-JUL-15 101500000 -05.00 | SECDAYTRDLOSSHH-02 | DTLHH02 | Equity | 400.00 | 150.00 | 1.00 | | TRDDAYTRDLOSSH-04 | MURUGAN SINGH B | JOHNSON | | Buy |
| 960004 | 31-JUL-15 101500000 -05.00 | SECDAYTRDLOSSHH-01 | DTLHH01 | Equity | 400.00 | 300.00 | 1.00 | | TRDDAYTRDLOSSH-12 | PREET PRAKASH C | Mancrea | | Buy |
| 960005 | 31-JUL-15 130010000 -05.00 | MUTUAL FUND | | Mutual Fund | 1.00 | 2,000.00 | | | XXXTMULFUNDAMPURHH-051 | | | ALAIN PROST | Buy |

4.1.1.4 Orders Entity Search

The Orders Entity Search dashboard displays all orders in the application matching the criteria defined.

Figure 12: Orders Entity Search Report

| Order Entity Search Report | | | | | | | | | | | |
|--------------------------------|----------------------------|--------------|----------------------------|---------------------|------------------|----------|-------------------|------------|-------------|----------------------|--|
| Time run: 6/29/2020 5:11:30 PM | | | | | | | | | | | |
| Order ID | Placed | First Routed | Filled | Security | Product Category | Buy/Sell | Original Quantity | Order Type | Limit Price | Buyer/Seller | |
| 3288761263 | 12-FEB-18 102348019 -05.00 | | 12-FEB-18 102350289 -05.00 | | | Buy | 25,230 | Market | | CUTRAGLSTOG-1200 CR | |
| CDSORTRAHMTREVEE-001 | 30-OCT-15 140000000 -05.00 | | 30-OCT-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Buy | 20,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-002 | 23-NOV-15 140000000 -05.00 | | 23-NOV-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Buy | 10,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-003 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Buy | 20,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-004 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Buy | 10,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-005 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Buy | 15,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-006 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Buy | 30,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-007 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Buy | 20,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-008 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Buy | 10,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-009 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Sell | 10,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-010 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-001 | Swap | Sell | 15,000 | Market | 10.00 | CUTRAHMTREVEE-001 CR | |
| CDSORTRAHMTREVEE-011 | 30-OCT-15 140000000 -05.00 | | 30-OCT-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Buy | 300 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-012 | 23-NOV-15 140000000 -05.00 | | 23-NOV-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Buy | 300 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-013 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Buy | 20,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-014 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Buy | 10,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-015 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Buy | 15,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-016 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Buy | 30,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-017 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Buy | 20,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-018 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Buy | 10,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-019 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Sell | 10,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-020 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-013 | Swap | Sell | 15,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-031 | 30-OCT-15 140000000 -05.00 | | 30-OCT-15 142800000 -05.00 | CDSSTRAHMTREVEE-003 | Swap | Buy | 500 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-032 | 23-NOV-15 140000000 -05.00 | | 23-NOV-15 142800000 -05.00 | CDSSTRAHMTREVEE-003 | Swap | Buy | 500 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-033 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-003 | Swap | Buy | 10,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |
| CDSORTRAHMTREVEE-034 | 10-DEC-15 140000000 -05.00 | | 10-DEC-15 142800000 -05.00 | CDSSTRAHMTREVEE-003 | Swap | Buy | 20,000 | Market | 10.00 | CUTRAHMTREVEE-008 EE | |

4.1.1.5 Security Entity Search

The Security Entity Search dashboard displays all securities in the application matching the criteria defined.

Figure 13: Security Entity Search Report

| Security Entity Search Report | | | | | | | | | |
|--------------------------------|---------------------|-----------|--------------------|------------------|--------------|-----------------|------------------|---------------------|------------------------|
| Time run: 6/29/2020 5:13:02 PM | | | | | | | | | |
| Security | Security Identifier | CUSIP | ISIN | Product Category | Product Type | Product Subtype | Primary Exchange | Product Risk Rating | Date |
| ABN | XXXSCTPORTPUMP-005 | SCTPMP-05 | XXXSCTPORTPUMP-005 | Equity | EQT | EQT | USD | | 0/0/0 12:00:00 AM |
| ABSF01 | ABSF01 | ABSF01 | ABSF01 | Fixed Income | FI | I-GRADE | USD | | 12/9/2015 12:00:00 AM |
| ABSF01 | ABSF01 | ABSF01 | ABSF01 | Fixed Income | FI | I-GRADE | USD | | 12/10/2015 12:00:00 AM |
| ABSF02 | ABSF02 | ABSF02 | ABSF02 | Fixed Income | FI | I-GRADE | USD | | 12/9/2015 12:00:00 AM |
| ABSF02 | ABSF02 | ABSF02 | ABSF02 | Fixed Income | FI | I-GRADE | USD | | 12/10/2015 12:00:00 AM |
| ACCENTURE | XXXSCTPORTPUMP-015 | SCTPMP-15 | XXXSCTPORTPUMP-015 | Equity | EQT | EQT | USD | | 11/24/2015 12:00:00 AM |
| ACCENTURE | XXXSCTPORTPUMP-015 | SCTPMP-15 | XXXSCTPORTPUMP-015 | Equity | EQT | EQT | USD | | 11/26/2015 12:00:00 AM |
| ACCENTURE | XXXSCTPORTPUMP-015 | SCTPMP-15 | XXXSCTPORTPUMP-015 | Equity | EQT | EQT | USD | | 11/27/2015 12:00:00 AM |
| ACCENTURE | XXXSCTPORTPUMP-015 | SCTPMP-15 | XXXSCTPORTPUMP-015 | Equity | EQT | EQT | USD | | 11/30/2015 12:00:00 AM |
| ACCENTURE | XXXSCTPORTPUMP-015 | SCTPMP-15 | XXXSCTPORTPUMP-015 | Equity | EQT | EQT | USD | | 12/4/2015 12:00:00 AM |
| AFINITY | SCESINAC-001 | SCINAC1 | SCESINAC-001 | Equity | EQT | EQT | USD | | 0/0/0 12:00:00 AM |
| AIRTEL | XXXSCTPORTPUMP-021 | SCTPMP-21 | XXXSCTPORTPUMP-021 | Equity | EQT | EQT | USD | | 0/0/0 12:00:00 AM |
| ANTYSUBM-01 | SECANTYSUBM-01 | CUSIP1 | SCTAAC1 | Insurance Fund | INF | | \$ | | 0/0/0 12:00:00 AM |
| ANTYSUBM-02 | SECANTYSUBM-02 | CUSIP2 | SCTAAC2 | Insurance Fund | INF | | \$ | | 0/0/0 12:00:00 AM |
| ANTYSUBM-03 | SECANTYSUBM-03 | CUSIP3 | SCTAAC3 | Insurance Fund | INF | | \$ | | 0/0/0 12:00:00 AM |
| ANTYSUBM-04 | SECANTYSUBM-04 | CUSIP3 | SCTAAC4 | Insurance Fund | INF | | \$ | | 0/0/0 12:00:00 AM |
| ANTYSUBM-05 | SECANTYSUBM-05 | CUSIP4 | SCTAAC5 | Insurance Fund | INF | | \$ | | 0/0/0 12:00:00 AM |
| ANTYSUBM-06 | SECANTYSUBM-06 | CUSIP5 | SCTAAC6 | Insurance Fund | INF | | \$ | | 0/0/0 12:00:00 AM |
| ANTYSUBM-07 | SECANTYSUBM-07 | CUSIP6 | SCTAAC7 | Insurance Fund | INF | | \$ | | 0/0/0 12:00:00 AM |
| ANTYSUBM-07 | SECANTYSUBM-08 | CUSIP7 | SCTAAC8 | Insurance Fund | INF | | \$ | | 0/0/0 12:00:00 AM |
| ATAPI | XXXSCTPORTPUMP-016 | SCTPMP-16 | XXXSCTPORTPUMP-016 | Equity | EQT | EQT | USD | | 0/0/0 12:00:00 AM |
| BA | SCGUIDEOVER-010 | OVR-010 | SCGUIDEOVER-010 | Equity | EQT | EQT | USD | | 0/0/0 12:00:00 AM |

4.1.1.6 Transaction Entity Search

The Transaction Entity Search dashboard displays all transactions in the application matching the criteria defined.

Figure 14: Transaction Entity Search Report

| Back Office Transaction Entity Report | | | | | | | | | | |
|---------------------------------------|-------------------|------|------------------|------|--------------|-------------|---------------|---------|--------------------------|----------------------|
| Time run: 6/29/2020 5:14:25 PM | | | | | | | | | | |
| Date | Account | | Offset Account | | Debit/Credit | Base Amount | Report Amount | Type | Transaction Reference ID | Unrelated Party Code |
| | ID | Risk | ID | Risk | | | | | | |
| 05-FEB-17 | ACCSHTRNSIGHH-002 | 9 | ACOFFSETBANK-001 | 6 | C | 15,000 | 15,000 | JOURNAL | BOTRXNC552 | W |
| 09-FEB-17 | ACCSHTRNSIGHH-002 | 9 | ACOFFSETBANK-001 | 6 | D | 2,500 | 2,500 | JOURNAL | BOTRXNC554 | W |
| 10-DEC-18 | ACTRSRMFALLCU-01 | 8 | ACTRSRMFALLCU-03 | 8 | D | 3,600 | | JOURNAL | BOTRSTRMFALLCU-011 | J |
| 10-DEC-19 | ACTRSRMFALLCU-02 | 8 | ACTRSRMFALLCU-04 | 8 | C | 25,000 | | JOURNAL | BOTRSTRMFALLCU-021 | J |
| 20-DEC-16 | ACHIDRLSHP001 | 0 | ACHIDRLSHP003 | 0 | C | 5,000 | 5,000 | JOURNAL | 2BOHIDRLSHP-001 | J |
| 20-DEC-16 | ACHIDRLSHP001 | 0 | ACHIDRLSHP003 | 0 | C | 5,000 | 5,000 | JOURNAL | 3BOHIDRLSHP-001 | J |
| 20-DEC-16 | ACHIDRLSHP001 | 0 | ACHIDRLSHP003 | 0 | C | 5,000 | 5,000 | JOURNAL | 4BOHIDRLSHP-001 | J |
| 20-JAN-17 | ACHIDRLSHP001 | 0 | ACHIDRLSHP003 | 0 | C | 5,000 | 5,000 | JOURNAL | BOHIDRLSHP-001 | J |

Figure 14: Transaction Entity Search Report

4.1.1.7 Transaction Monitoring

The Transaction Monitoring dashboard displays the total number of transaction in the application over a defined time range.

Figure 15: Transaction Volume [Total Transaction] Report

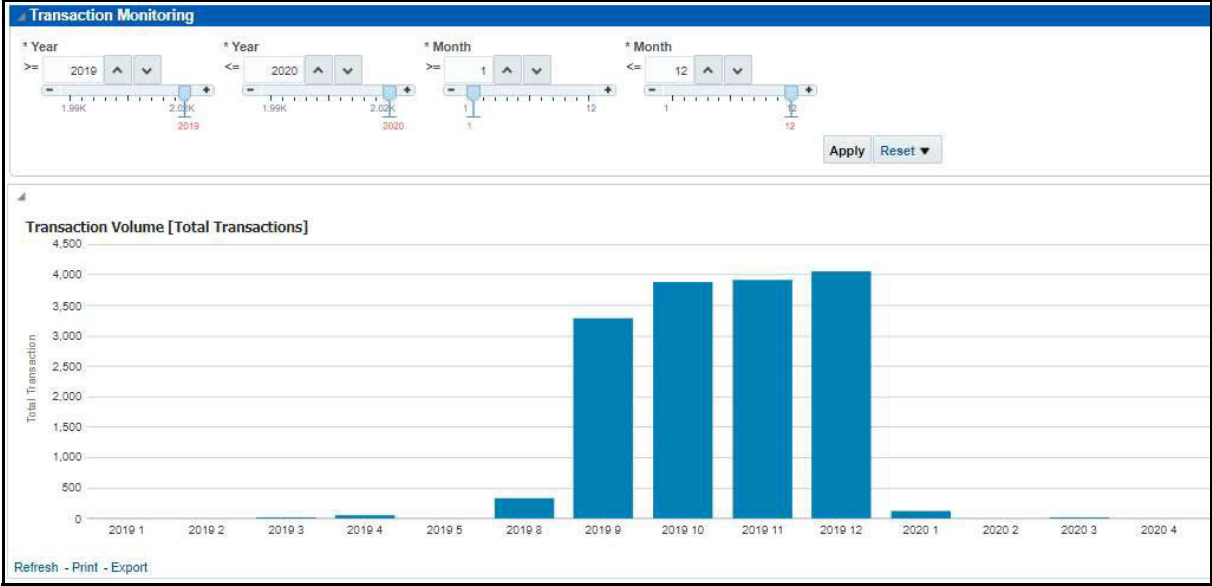


Figure 16: Transaction Volume [Cash Transaction] Report

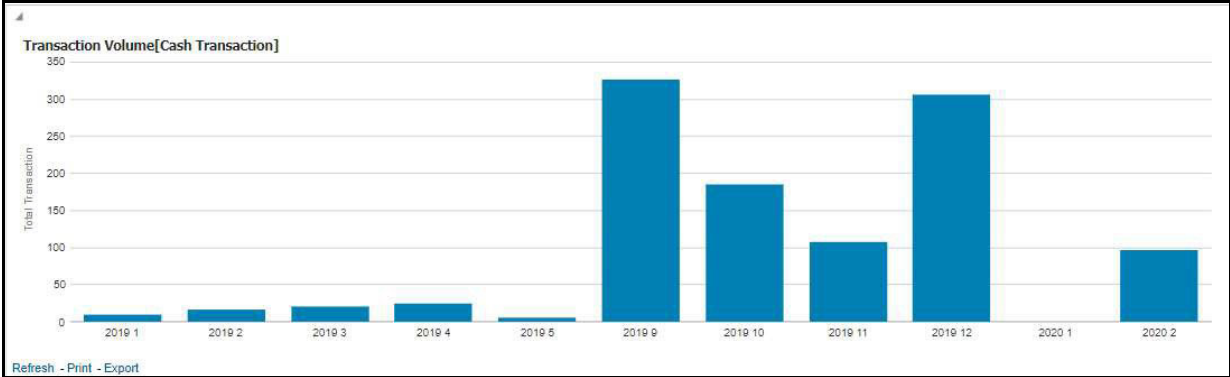


Figure 17: Transaction Volume [MI Transaction] Report

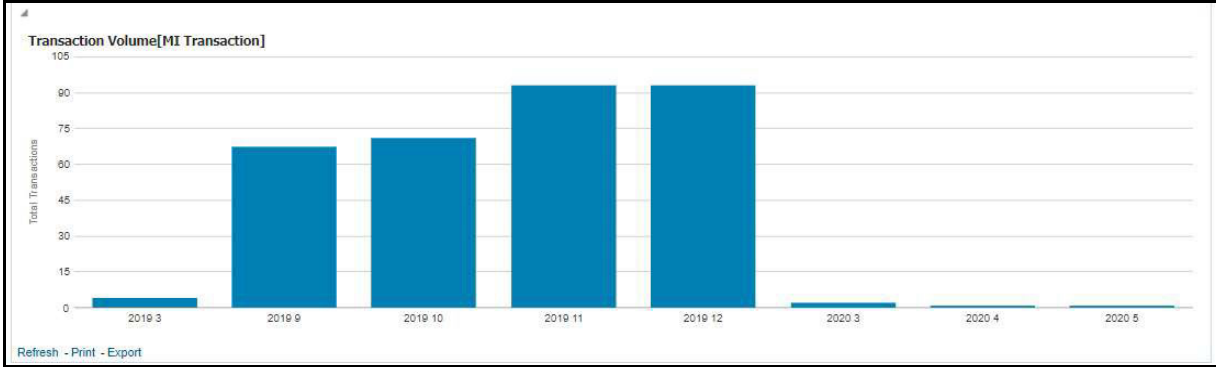
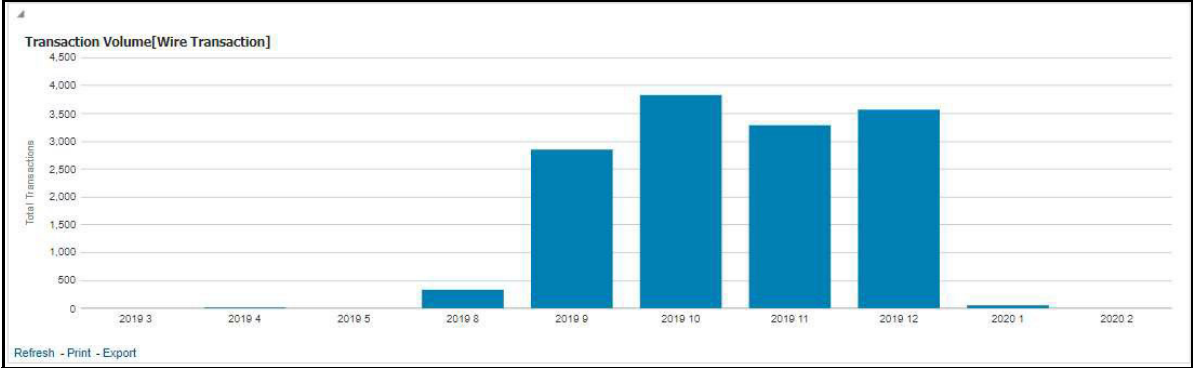


Figure 18: Transaction Volume [Wire Transaction] Report



4.1.1.8 Transaction Volume

The Transaction Volume dashboard displays the number of cases and events for a defined time range compared to the volume of transactions in the application.

Figure 19: Cash Transaction Volume Report

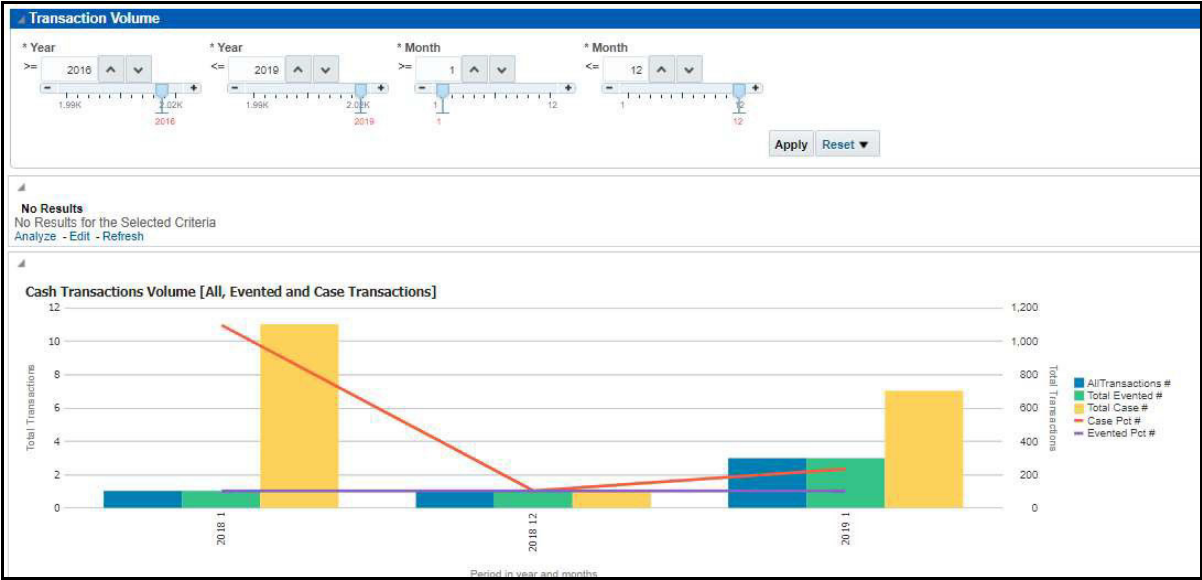


Figure 20: MI Transaction Volume and Wire Transaction Volume Report



4.1.2 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 report with specific details, follow these steps:


1. Click the **Business Entity Reports** on the **Dashboards** menu.
2. Click the **Global Filters**  icon.
3. The filters for that specific report are displayed.

Figure 21: Filters for the Account Entity Search Report

4. Select the desired options from the fields as described in [Table 4](#).

Table 4: Running Individual Business Entity Report Filter Descriptions

| Field | Description |
|------------------------|--|
| Account Identifier | Select the unique identification number of an account. |
| Account Type | Select the Account Type classification for the usage of this account. |
| Account Ownership Type | Select the account ownership type from the drop-down list. |
| Account Holder Type | Select the account holder type from the drop-down list |
| Account Status | Select the account status. (for example: Active, Inactive, or Closed). |
| Account Open Date | Enter the account open date using the calendar. This is the date on which the account is opened. |
| Country of Domicile | Select the permanent legal residence country from the drop-down |
| Effective Risk | Select the effective risk. This is the level of risk associated with the selected account. |

Table 4: Running Individual Business Entity Report Filter Descriptions

| Field | Description |
|-------------------------|---|
| Branch | Select the branch code. This is the branch where the account is domiciled. |
| Business Domain | This shows the associated Business Domain selected from the drop-down. |
| Jurisdiction | Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this account. |
| Account Address Country | Select the country name of the correspondent bank from the drop-down |
| Account Address State | Select the state name of the correspondent bank from the drop-down |
| Account Address City | Select the city name of the correspondent bank from the drop-down |

5. Click **Apply**.

Figure 22: Account Entity Search Report

| Account Entity Search Report | | | | | | | | | | | | | |
|-------------------------------|-------------------------|---------|-----------------------|-----------------------|--------------|------------------------|----------------|---------------------|------------|-----------------------|------------------------|----------------------|----------|
| Time run: 9/7/2016 1:09:28 PM | | | | | | | | | | | | | |
| Account Name | Account ID | Type(s) | Account Holder Type | Account Business Type | Registration | Account Ownership Type | Account Status | Account Status Date | Open Date | Date of Last Activity | Primary Account Holder | Household Group Name | Business |
| 24376 | AC24376TUCQDA-1 | | Retail Customer | RBK | Individual | Individual | Active | 12/31/2008 | 12/31/2008 | 12/10/2009 | | | |
| 24376 | AC24376UCARBDA-1 | | Retail Customer | RBK | Individual | Individual | Active | 12/31/2008 | 12/31/2008 | 12/10/2009 | | | |
| 24376 | AC24376UHCJQDA-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 | AC24376UPAVABDA-1 | | Retail Customer | RBK | Individual | Individual | Active | 12/31/2008 | 12/31/2008 | 12/10/2009 | | | |
| AJASHARANA | ACBSACTRCD-002 | | Retail Customer | RBK | Individual | Individual | Active | 12/31/2008 | 12/10/2009 | | LIN DAN | | |
| AABHA | ACBSACTRCD-001 | | Retail Customer | RBR | Individual | Individual | Active | 12/31/2008 | 12/10/2009 | | LEE CHONG WEE | | |
| ADESH J PANDAV | ACTRHSIMTHH-110 | | Investment Advisor | RBR | Individual | Individual | Active | 12/31/2008 | 12/31/2008 | 12/10/2009 | | HHTRHSIMTHH-110 | |
| ADESH J PANDAV | ACLNORVUTSCHLDAC-002 | | Investment Advisor | RBR | Individual | Individual | Active | 12/31/2008 | 12/31/2008 | 12/10/2009 | | | |
| ADESH KHAN J PANDAV | ACTRHSIMTHH-001 | | Investment Advisor | RBR | Individual | Individual | Active | 12/31/2008 | 12/31/2008 | 12/10/2009 | | HHTRHSIMTHH-001 | |
| AADI | XX0AC0HCLMTCAC-008 | | Retail Customer | RBK | Individual | Individual | Active | 9/12/2009 | 9/12/2009 | 12/1/2009 | | | |
| AADITYA | XX0AC0HCLMTCAC-009 | | Retail Customer | RBK | Individual | Individual | Closed | 8/26/2009 | 8/26/2009 | 11/30/2009 | | | |
| AADYA | AC-UNSUUTTRNS-DLY-02 | | Retail Customer | RBK | Individual | Individual | Active | 12/1/2009 | 12/1/2009 | 12/10/2009 | | AADYA | |
| AADYA | XX0AC-UNSUUTTRNS-DLY-02 | | Retail Customer | RBK | Individual | Individual | Active | 12/1/2009 | 12/1/2009 | 12/10/2009 | | XX0ADYA | |
| AADYOT | AC-UNSUUTTRNS-DLY-03 | | Retail Customer | RBR | Individual | Individual | Active | 12/1/2009 | 12/1/2009 | 12/10/2009 | | AADYOT | |
| AADYOT | XX0AC-UNSUUTTRNS-DLY-03 | | Cleaning Organization | RBK | Individual | Individual | Active | 12/1/2009 | 12/1/2009 | 12/10/2009 | | XX0ADYOT | |
| AAMR | ACBSACTRCD-012 | | Retail Customer | RBK | Individual | Individual | Active | 12/31/2008 | 12/10/2009 | | COMRENECCI | | |
| AAREN | ACN2PASRRR-019 | | Retail Customer | RBR | Individual | Individual | Active | 9/12/2009 | 12/8/2009 | 12/10/2009 | UNCERTAKER | SAMPLE | OGSAMPL |
| AARON | ACTRAGLETOG-901 | | Retail Customer | RBR | Individual | Individual | Active | 6/1/2008 | 6/1/2008 | 12/10/2009 | JAMES J AARON | | TRAGLSTR |
| AARTE | ACBSACTRCD-006 | | Retail Customer | RBK | Individual | Individual | Active | 12/31/2008 | 12/10/2009 | | TAH | | |
| AARUSH | ACBSACTRCD-005 | | Retail Customer | RBK | Individual | Individual | Active | 12/31/2008 | 12/10/2009 | | FU HIFUNG | | |
| AARZOO | ACBSACTRCD-010 | | Retail Customer | RBK | Individual | Individual | Active | 12/31/2008 | 12/10/2009 | | PHELPS | | |
| AAYUSH | ACBSACTRCD-007 | | Retail Customer | RBR | Individual | Individual | Active | 12/31/2008 | 12/10/2009 | | PADUKONE | | |
| ABEASAYLE | ACN2PASRRR-020 | | Retail Customer | RBR | Individual | Individual | Active | 9/12/2009 | 12/9/2009 | 12/10/2009 | UNCERTAKER | SAMPLE | OGSAMPL |
| ABAGAE | ACN2PASRRR-021 | | Retail Customer | RBR | Individual | Individual | Active | 9/12/2009 | 11/30/2009 | 12/10/2009 | UNCERTAKER | SAMPLE | OGSAMPL |

The report results are displayed on the right hand panel.

4.2 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 AML Alerts.

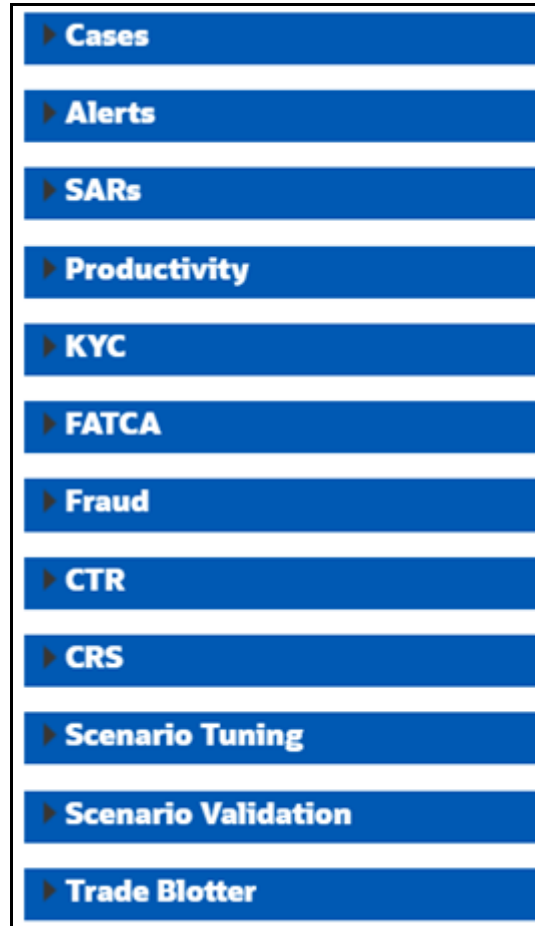
4.2.1 Accessing the MIS Reports


To access the **MIS Reports**, follow these steps:

1. Click the **MIS Reports** on the **Dashboards** menu. The following **MIS Reports** are displayed in the list:
 - Cases
 - Alerts
 - SARs
 - Productivity
 - KYC
 - FATCA
 - Fraud

- CRS
- Scenario Tuning
- Scenario Validation
- Trade Blotter

Figure 23: MIS Reports



2. To view individual reports under each section, select the expansion icon  on 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. 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](#).

4.2.1.1 Cases

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

The following Case reports are available:

- [Cases Home](#)
- [Case Search](#)
- [Case Search by Transaction Type](#)
- [Reopened Cases](#)
- [Pre Cases](#)

4.2.1.1.1 Cases Home

Use this dashboard to view case information related to the due cases, and other information about cases and their statuses.

Figure 24: Cases Home Dashboard



The following Case reports are displayed in the **Cases Home** page:

- **Past Due Cases:** Use this report to view the number of cases which are past their due date.
- **Cases Due Today:** Use this report to view the number of cases for which the due date is the current date.
- **Cases by Closing Status:** Use this report to view the number of cases by their closing status. Use this report to view the number of cases generated for a particular closing status.
- **Outstanding Cases:** Use this report to view total count by jurisdiction and priority of all reports which are not closed.


Figure 25: Scenario Efficiency Report in the Cases Home Dashboard

| Alerts | | Alert Dispositions | | | | | Case Dispositions | | | Efficiency Ratios | | | | |
|---------------------|---|--------------------|------|-------|-----------------|------------------|-----------------------|------------|----------------------|---------------------------|------------------------|---------------------|-------------------|--------------------|
| Scenario Class Name | Scenario Name | Alerts Generated | Open | Close | Action Withheld | Promoted to Case | Non Productive Alerts | Open Cases | ALL-Reg Report Filed | Closed - Reg Report Filed | Closed - No Reg Report | Alert-to-Case Ratio | Case-to-Reg Ratio | Alert-to-Reg Ratio |
| Fraud | (FR/AC) Account with Multiple Address Changes | 12 | 11 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/AC) Change of Address or Phone Number Check Book Issue | 4 | 3 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/AC) Dishonored Checks | 2 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/AC) Escalation in Inactive Account Disbursement Activity | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/AC) Multiple Accounts with Address Changed to Same Address | 4 | 2 | 2 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 25.00% | 0.00% | 0.00% |
| | (FR/AC) Networks of Accounts, Entities, and Customers | 9 | 9 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/AC) Patterns of Check Kiting | 6 | 6 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/AC) Patterns of Sequentially Numbered Checks: Monetary Instruments | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/AC) Suspicious Transactions Linked to Employee: Below Internal Limits | 14 | 7 | 7 | 0 | 4 | 0 | 5 | 0 | 0 | 0 | 28.57% | 0.00% | 0.00% |
| | (FR/AC) Suspicious Transactions Linked to Employee: Same or Similar Amounts | 4 | 4 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/CU) Account Registration or Control Change Followed by Disbursement | 2 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |
| | (FR/CU) Bust Out: Sudden Surge in Revolving Credit Utilization | 3 | 1 | 2 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 33.33% | 0.00% | 0.00% |
| | (FR/CU) Patterns of Funds Transfers: Customers and External Entities | 7 | 5 | 2 | 0 | 1 | 0 | 2 | 0 | 0 | 0 | 14.29% | 0.00% | 0.00% |
| | (FR/EE) Electronic Transactions Involving | 3 | 0 | 3 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0.00% | 0.00% | 0.00% |

- **Scenario Efficiency Report:** Use this report to view the list of all scenarios and information about the number of alerts generated by those scenarios and of those alerts how many were promoted to a case. Other key indicators are also provided to best understand what actions have been take on the alerts and cases.
- **Key Indicators:** The following are the list of Key Indicators shown on the Right of the Cases Home Dashboard.
 - **Cases by Class:** Use this report to view the count of the total number of cases by Case Class.
 - **Cases by Jurisdiction:** Use this report to view the count of the total number of cases by business jurisdiction (geographic location).
 - **Cases by Priority:** Use this report to view the count of the total number of cases by priority.

4.2.1.1.2 Case Search

Use this dashboard to view the cases that are associated to the entity of interest of the user. To generate a Case Search report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **Cases** option displayed on the left hand side.
3. Click **Case Search** option.
4. Click the **Global Filters**  icon.

The **Global Filters** are displayed on the left hand side.

Figure 26: Global Filters for Case Search Report

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

- * Entity Type:** A dropdown menu with the text '--Select Value--'.
- Owner:** A dropdown menu with the text '--Select Value--'.
- Jurisdiction:** A dropdown menu with the text '--Select Value--'.
- Entity Name:** A text input field.
- Status:** A dropdown menu with the text '--Select Value--'.
- Case Class-Type:** A dropdown menu with the text '--Select Value--'.
- Created Date:** A 'Between' label followed by two date pickers.
- Buttons:** 'Apply' and 'Reset' buttons at the bottom right.

5. Enter the following filter details:

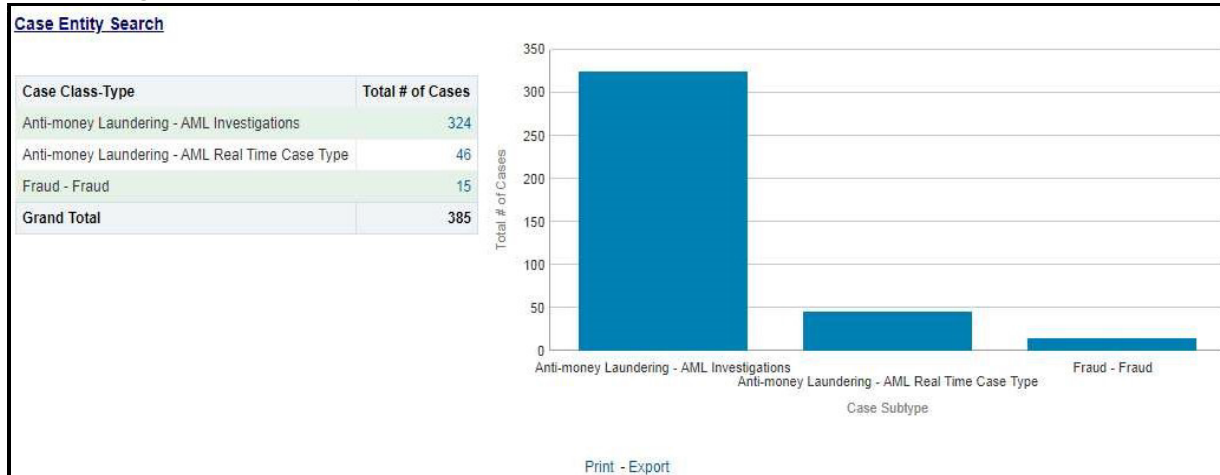
Table 5: Case Search Report Filter Descriptions

| Field | Description |
|----------------------|---|
| Entity Type | Select the required entity type for the cases that you want to view. This filters the AML alert by the type of business entity. |
| Owner | Select the owner of the case. |
| Jurisdiction | Select the jurisdiction to which the case belongs to. This filters the case report by the business jurisdiction (geographic location) associated with a case. The drop-down list contains only the jurisdictions with which you are authorized to view. |
| Entity Name | Enter the entity name of the case. |
| Status | Select the status for the cases that you want to view. |
| Case Class Type | Select the class type for the cases that you want to view. |
| Created Date Between | Select the time period to view the cases that are handled between the selected time period. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result is displayed in tabular and bar chart reports.

Figure 27: Case Entity Search Report




For example, in Figure 27 ,

- The Tabular report lists the selected Case Class-Type categories and the total number of cases for each category.
- The Bar chart report displays the information with the selected Case Class-Type categories using X axis and total number of cases for each category on the Y axis.

4.2.1.1.3 Case Search by Transaction Type

Use this dashboard to view the information related to cases that contain the transaction of interest of the user.

To generate a Case Search by Transaction Type report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **Cases** option displayed on the left hand side.
3. Click **Case Search by Transaction Type** option.
4. Click the **Global Filters**  icon.

The **Global Filters** are displayed on the left hand side.

Figure 28: Global Filters for the Case Search by Transaction Type Report

5. Enter the following filter details:

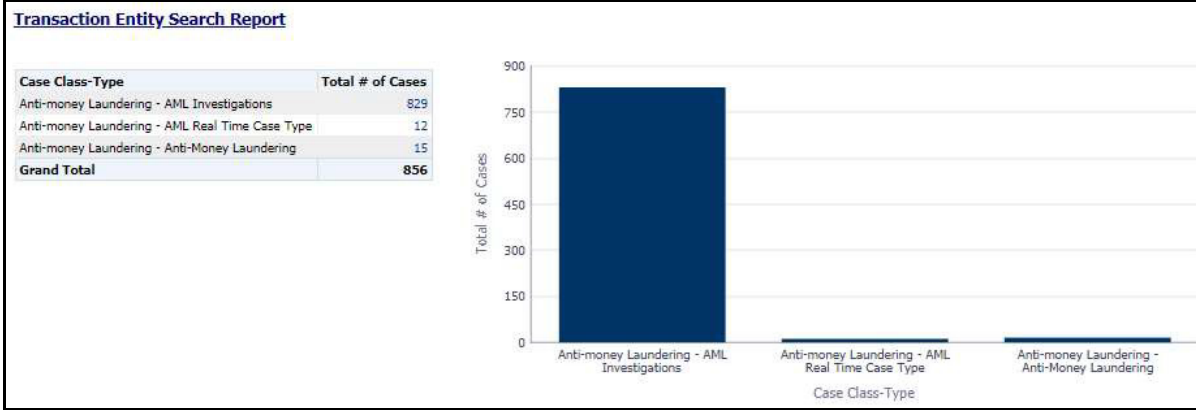
Table 6: Case Search by Transaction Type Report Filter Descriptions

| Field | Description |
|----------------------------|--|
| Transaction Type | Select the required transaction type for the cases that you want to view. The available options are: <ul style="list-style-type: none"> • Back Office Transaction • MI Transaction • Wire Transaction • Cash Transaction |
| Case Class-Type | Select the class-type for the cases that you want to view. |
| Status | Select the status for the cases that you want to view. |
| Transaction ID | Enter the Transaction ID of the case that you want to view. |
| Jurisdiction | Select the jurisdiction to which the case belongs to. |
| Transaction Base Amount >= | Enter the lower range of the transaction amount you want to view. |
| Transaction Base Amount <= | Enter the upper range of the transaction amount you want to view. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result is displayed in tabular and bar chart reports.

Figure 29: Transaction Entity Search Report




For example, in the above figure,

- The Tabular report lists the selected Case Class-Type categories and the total number of cases for each category.
- The Bar chart report displays the information with the selected Case Class-Type categories using X axis and total number of cases for each category on the Y axis.

4.2.1.1.4 Reopened Cases

Use this dashboard to view the number of reopened cases. To generate a Reopened Case report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **Cases** option displayed on the left hand side.
3. Click **Reopened Cases** option.
4. Click the **Global Filters**  icon.

The **Global Filters** are displayed on the left hand side.

Figure 30: Global Filters for Reopened Cases Report

The Global Filters form includes the following fields and controls:

- Criteria:** A dropdown menu with 'Owner' selected.
- Values:** A dropdown menu with '--Select Value--' selected.
- Trend:** A dropdown menu with 'Monthly' selected.
- Buttons:** 'Apply' and 'Reset' buttons.

5. Enter the following filter details:

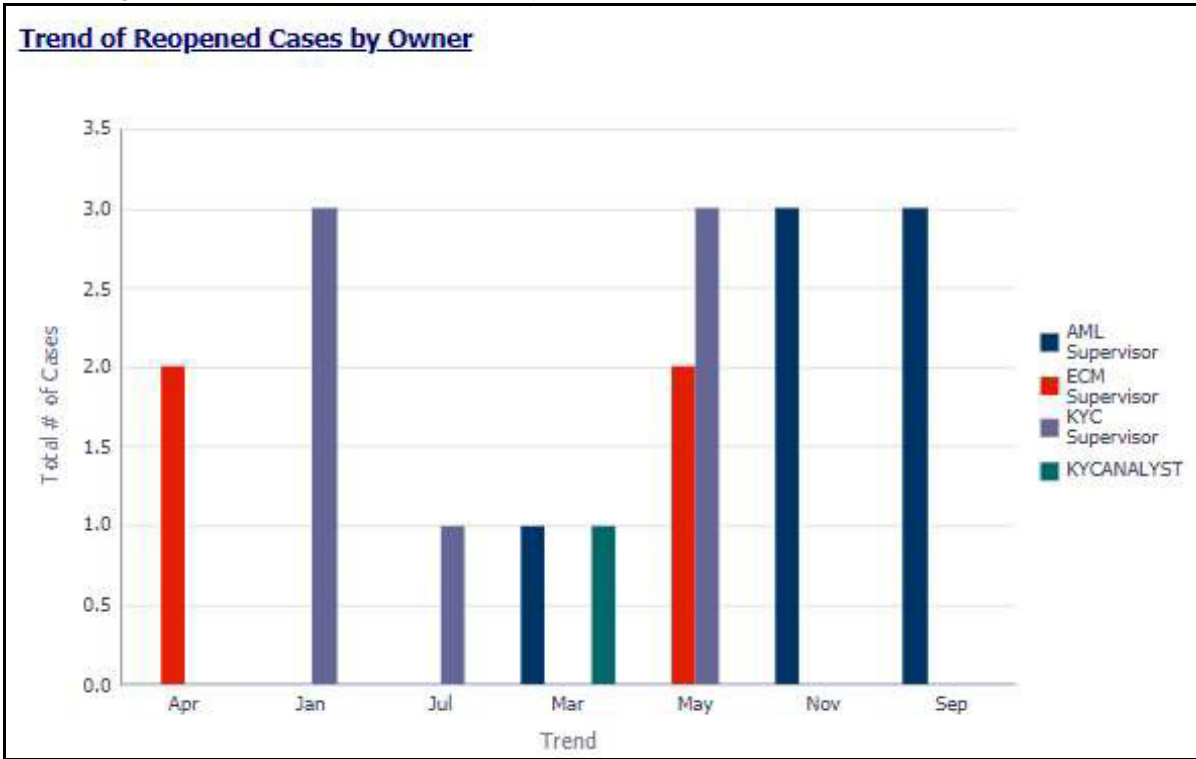
Figure 31: Reopened Cases Report Filter Descriptions

| Field | Description |
|----------|---|
| Criteria | Select the criteria based on which the reopened cases are displayed. The available options are: <ul style="list-style-type: none"> • Owner • Jurisdiction • Class-Type |
| Values | Select the class-type for the cases that you want to view. |
| Trend | Select the trend for which you want to view the reopened cases. The available options are: <ul style="list-style-type: none"> • Weekly • Monthly |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result is displayed in bar chart reports.


Figure 32: Trend of Reopened Cases by Owner Report



For example, in the above figure, the bar chart report displays the trend of reopened cases by owner using trend in X axis and total number of cases using Y axis, and different colors are used to display different values.

4.2.1.1.5 Pre Cases

Use this dashboard to view the number of pre-cases. To generate a Pre Case report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **Cases** option displayed on the left hand side.
3. Click the **Pre Cases** option.
4. Click the **Global Filters**  icon.

The **Global Filters** are displayed on the left hand side.

Figure 33: Global Filters for Pre Cases Report



5. Enter the following filter details:

Table 7: Pre Cases Report Filter Descriptions

| Field | Description |
|--------------|--|
| Jurisdiction | Select the jurisdiction from the drop-down list. This filters the case report by the business jurisdiction (geographic location) associated with a case. The drop-down list contains only the jurisdictions with which you are authorized to view. |
| Score Range | Enter the range of the score for the pre cases you want to view. |
| Case Type | Select the class type for the pre cases that you want to view. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result is displayed in tabular reports.

Figure 34: Pre Cases Report

| Pre-Case ID | Case Type | Pre-Case Created Date | Pre-Case Age | Linked Events | Pre-Case Score |
|-------------|--------------------|-----------------------|--------------|---------------|----------------|
| 228 | TBML_SURV | 11/16/2018 4:02:08 PM | 570 | 3 | 70 |
| 302 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 54 |
| 302 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 54 |
| 303 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 45 |
| 303 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 55 |
| 304 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 45 |
| 304 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 45 |
| 305 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 30 |
| 305 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 40 |
| 306 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 40 |
| 306 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 40 |
| 307 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 31 |
| 307 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 31 |
| 308 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 31 |
| 308 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 31 |
| 309 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 45 |
| 309 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 45 |
| 310 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 30 |
| 310 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 40 |
| 311 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 64 |
| 311 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 64 |
| 312 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 45 |
| 312 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 55 |
| 313 | AML Investigations | 12/6/2017 5:55:19 AM | 915 | 2 | 35 |
| 313 | AML_SURV | 12/6/2017 5:55:19 AM | 915 | 1 | 45 |

 Rows 1 - 25
[Print](#) - [Export](#)

For example, in the above figure, the tabular report lists the Pre-Case ID, Case Type, Pre-Case Created Date, Pre-Case Age, Linked Events, Pre-Case Score.

4.2.1.2 Alerts

NOTE The alerts referred in this section are **AML Alerts** produced by the AML scenarios of Behavior Detection Application.

Use the Alert dashboard to view reports related to AML based alerts.

The following Alert reports are available:

- Alert Home
- Alert Search
- Alerts by Transaction Type

4.2.1.2.1 Alert Home

Use this dashboard to view alert information related to the due alerts and other information about alerts and their statuses.

The following figure shows the Alert home page:

Figure 35: Alert Home Page



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

- **Alerts Created Today Vs Yesterday:** Use this report to compare the number of alerts generated for the current year and the number of alerts generated for the previous year.
- **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 selected scenario.

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

Figure 36: Alerts Home Filter Fields

| | | | | | |
|---|----------------------|------------------|------------------|------------------|------------------|
| Alert Date | Investigation Status | Scenario | Entity Type | Domain | Jurisdiction |
| Between 12/29/2000 - 12/29/2016 | --Select Value-- | --Select Value-- | --Select Value-- | --Select Value-- | --Select Value-- |
| <input type="button" value="Apply"/> <input type="button" value="Reset"/> | | | | | |

4.2.1.2.2 Alert Search

Use this dashboard to view the alerts that are associated to the entity of interest of the user.


Figure 37: Alert Search Report

| 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 | PHELPS | BSACTR-CU | Americas | 0 | 41 | |
| 1000 | 07/15/2015 | New | 7/15/2015 | BSACTR | AMSUPERVISOR | Customer | PHELPS | CTR-BSACTR_TestTshidset_1 | Americas | 0 | 41 | |
| 10000 | 09/11/2015 | New | 9/11/2015 | Cancellation Trend | SYSTEM | Trader | JOE THOMAS GIBBS | TC-CancelTrend_TestTshidset_3 | Americas | 0 | 0 | |
| 10001 | 09/11/2015 | New | 9/11/2015 | Cancellation Trend | SYSTEM | Account | ROSS | TC-CancelTrend_TestTshidset_3 | Americas | 0 | 0 | |
| 10002 | 09/11/2015 | New | 9/11/2015 | Parking (EGT) | SYSTEM | Account | JOHNSON | TC-Parking-dEGT_TestTshidset_1 | Americas | 0 | 0 | |
| 10003 | 09/11/2015 | New | 9/11/2015 | Short Option Risk - Static | SYSTEM | Household | INDUSLOGIC | CST-ShortOptionRisk-dRBPC_TestTshidset_1_116000022 | Americas | 0 | 0 | |
| 10004 | 09/11/2015 | New | 9/11/2015 | Short Option Risk - Static | SYSTEM | Household | GLOBALLOGIC | CST-ShortOptionRisk-dRBPC_TestTshidset_1_116000022 | Americas | 0 | 0 | |
| 10005 | 09/11/2015 | New | 9/11/2015 | Short Option Risk - Static | SYSTEM | Household | INFOSYS | CST-ShortOptionRisk-dRBPC_TestTshidset_1_116000022 | Americas | 0 | 0 | |
| 10006 | 09/11/2015 | New | 9/11/2015 | Short Option Risk - Static | SYSTEM | Household | SYSINFO | CST-ShortOptionRisk-dRBPC_TestTshidset_1_116000022 | Americas | 0 | 0 | |
| 10007 | 09/11/2015 | New | 9/11/2015 | Short Option Risk - Static | SYSTEM | Household | INFOSYS | CST-ShortOptionRisk-dRBPC_TestTshidset_1_116000022 | Americas | 0 | 0 | |
| 10008 | 09/11/2015 | New | 9/11/2015 | Short Option Risk - Static | SYSTEM | Household | HHCBORPCHH-001 | CST-ShortOptionRisk-dRBPC_TestTshidset_1_116000022 | Americas | 0 | 0 | |

4.2.1.2.3 Alerts by Transaction Type

Use this dashboard to view the number of alerts generated for a particular transaction type such as Wire transaction, MI transaction and so on.

To generate an **Alerts by Transaction Type** report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **Alerts** option displayed on the left hand side.
3. Click the **Alerts by Transaction Type** option.
4. Click the **Global Filters**  icon.

The **Global Filters** are displayed on the left hand side.

Figure 38: Global Filters for the Alerts by Transaction Type Report

5. Enter the following details:

Table 8: Alerts by Transaction Type Report Filter Descriptions

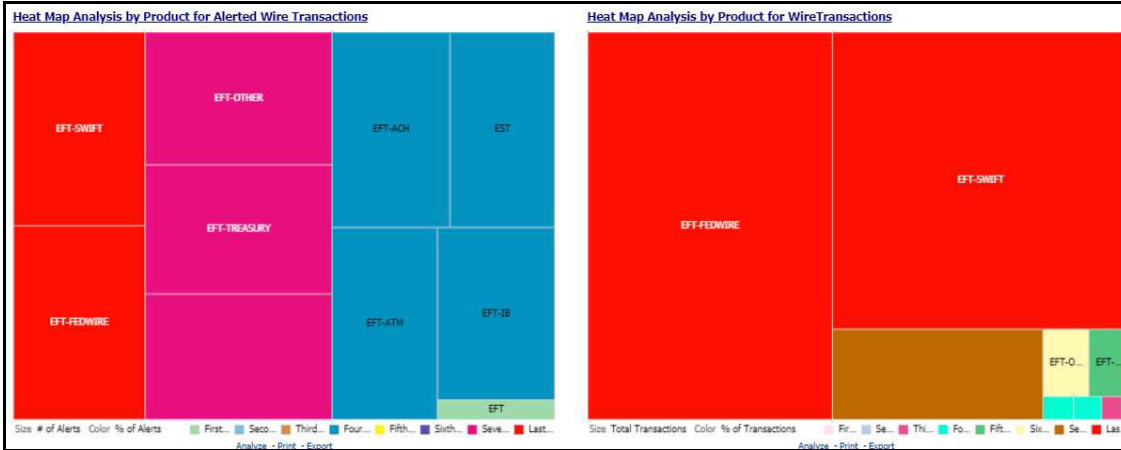
| Field | Description |
|--------------------------|--|
| Transaction Type | Select the transaction type for which you want to view the alert reports. The available options are: <ul style="list-style-type: none"> • Back Office Transaction • MI Transaction • Wire Transaction • Cash Transaction |
| Transaction Product Type | Select the transaction product type for which you want to view the alerts. |
| Scenario | Select the scenario for which you want to view the alert reports. |
| Status | Select the status to view the alert reports belonging to that status. |
| Jurisdiction | Select the jurisdiction from the drop-down list. This filters the alert report by the business jurisdiction (geographic location) associated with an alert. The drop-down list contains only the jurisdictions with which you are authorized to view. |
| Creation Date | Select the time period to view the reports for the alerts generated for that period. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions and the result is displayed as heat map analysis report and tabular report for the selected transaction type as follows:

- **Heat Map Report**

Figure 39: Heat Map Report for Alerts by Transaction Type



- **Tabular Report**

Figure 40: Tabular Report for Alerts by Transaction Type

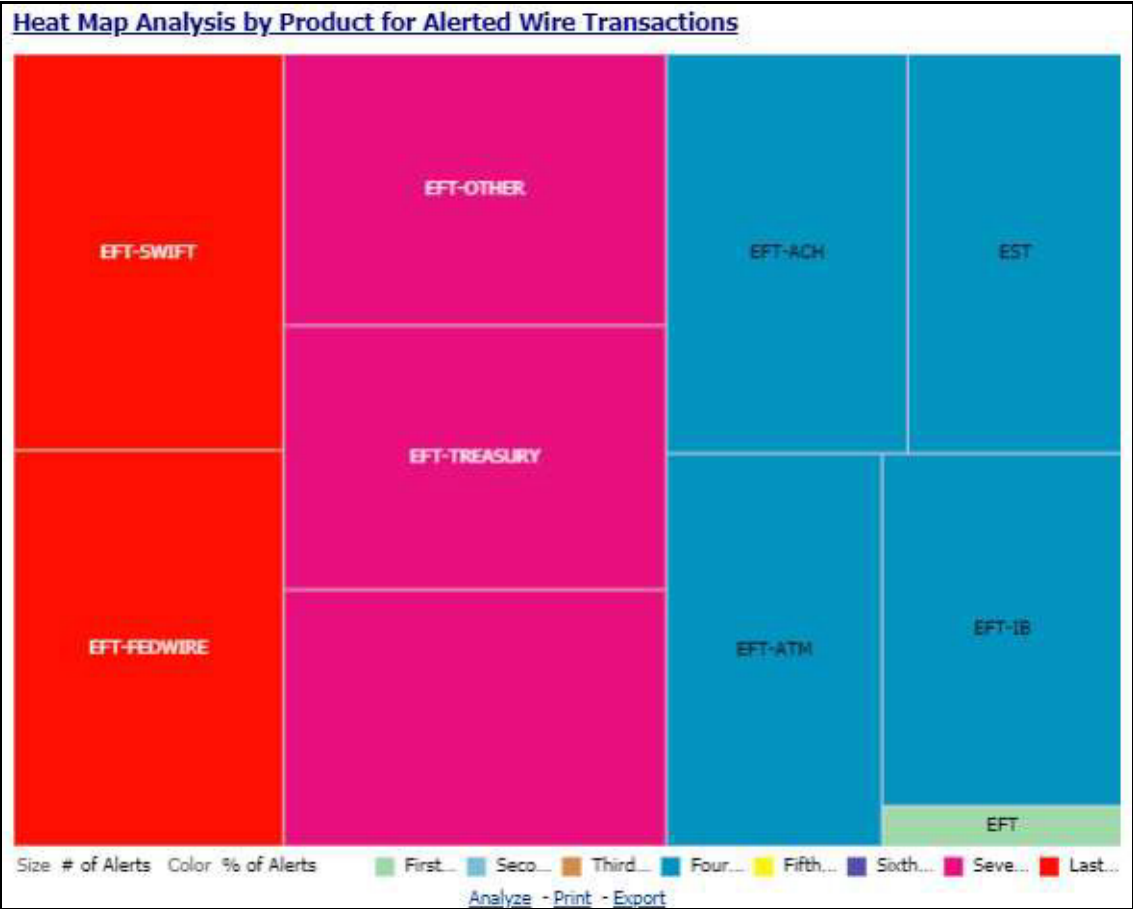
Alert by Product Type based on Wire Transactions

| Scenario Short Name | EFT | EFT-ACH | EFT-ATM | EFT-FEDWIRE | EFT-IB | EFT-OTHER | EFT-SWIFT | EFT-TREASURY | EST | |
|---------------------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|--------------|-------------|-------------|
| | # of Alerts | # of Alerts | # of Alerts | # of Alerts | # of Alerts | # of Alerts | # of Alerts | # of Alerts | # of Alerts | # of Alerts |
| Acct Change FB Disburse | | | | | | | | | | 2 |
| Anticipate Profile: Expected Activity | | 3 | | | 3 | | 3 | | 3 | |
| CIB - HRG Activity | 8 | | | | 13 | | 13 | | | |
| CIB - Previous Average Activity | 17 | | | | 17 | | | | | 14 |
| CIB - Product Utilization | 82 | 82 | | | 82 | | 82 | 82 | | |
| DPG - Total Activity | | | | | 1 | | | | | |
| Elect Trans Inv Empl | | | | | 3 | | 3 | | | |
| Emp POT Btw Unrld Accts | 4 | | | | | | | | | |
| External Entity With Mult Addresses | | 24 | 24 | | 24 | | 24 | | 24 | 24 |
| FTN - Recurring OR/BE | | 5 | | | 5 | | 5 | | 5 | |
| FTN AC/CU -Internal | | 2 | | | 2 | | 2 | | 2 | |
| FTN CU/EN - External | | 8 | | | 8 | | 8 | | 8 | |
| FTN CU/EN - External - FR | | 7 | | | 7 | | 7 | | 7 | |
| HR Trans - Focal HRE | | | | | 45 | | 46 | | | 32 |
| HR Trans - HR Counter Party | 57 | 845 | 788 | | 845 | 788 | 857 | 857 | 845 | 845 |
| HR Trans - HR Counter Party - FR | | 788 | 788 | | 788 | 788 | 788 | | 788 | 788 |
| HRG Funds Transfers | | 120 | 120 | | 120 | 120 | 120 | | 120 | 120 |
| High Risk EFT | | | | | 1 | | | | | 1 |
| Hub and Spoke | | 4 | | | 4 | | 4 | | 4 | 4 |
| ICIB: Inactive to Active | | | | | | | 22 | | | |

Rows 1 - 20
Analyze - Print - Export

For example

Figure 41: Heat Map Analysis by Product for Alerted Wire Transaction



In the above image,

- Transaction Type: Wire Transaction
- Transaction Product Type: All
- Scenario: All
- Status: All
- Jurisdiction: All
- Creation Date Between: 02/17/2016 to 03/17/2019

All the alerts that satisfy the above conditions are displayed as heat map. If the mouse is hovered over each category, say **Transaction Product Type**, total number of alerts belonging to that category, and the percentage of these alerts out of all the alerts are displayed.

Figure 42: Individual Heat Map Analysis for Alerted Wire Transaction



4.2.1.3 SARs


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

- SARs from Cases
- Trend of Cases for SAR

4.2.1.3.1 SARs from Cases

Use this dashboard to view the number of cases by owner for which a Suspicious Activity Report (SARs) has been filed.

To generate an SARs from Cases report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **SARs** option displayed on the left hand side.
3. Click **SARs from Cases** option.
4. Click the **Global Filters**  icon.

The Global Filters are displayed on the left hand side.

Figure 43: Global Filters for SARs from Cases Report

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

- Criteria:** A dropdown menu with 'Owner' selected.
- Values:** A dropdown menu with '--Select Value--' selected.
- Status:** A dropdown menu with '--Select Value--' selected.
- Status Date:** A date range selector showing 'Between 02/17/2016' and '03/17/2019' with calendar icons.
- Buttons:** 'Apply' and 'Reset' buttons at the bottom.

5. Enter the following filter details:

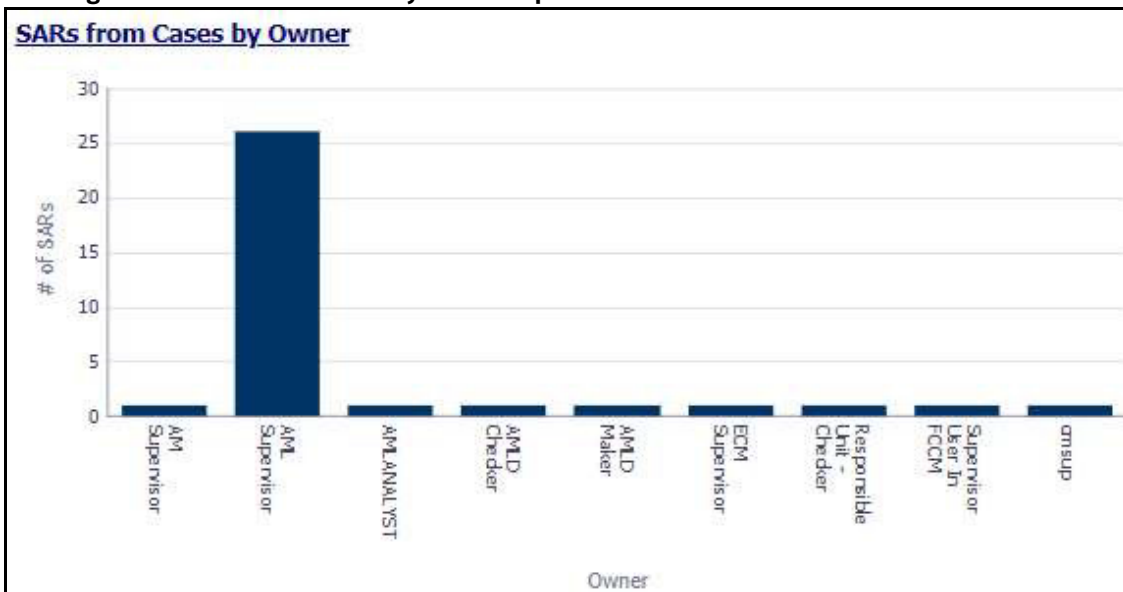
Table 9: SARs from Cases Report Filter Descriptions

| Field | Description |
|-------------|--|
| Criteria | Select the criteria for the SARs from cases that you want to view. |
| Values | Select the value for the SARs from cases that you want to view. |
| Status | Select the status of the SARs from cases that you want to view. |
| Status Date | Select the time period to view the SARs from cases of a particular status generated for that period. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result is displayed in bar chart reports.


Figure 44: SARs from Cases by Owner Report



For example, in the above figure, the bar chart report displays the information with the selected criteria using X axis and number of SARs using Y axis.

4.2.1.3.2 Trend of Cases for SAR

Use this dashboard to view how many cases an individual has filed a SAR on over a defined time range. To generate a Trend of Cases for SAR report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **SARs** option displayed on the left hand side.
3. Click **Trend of Cases for SAR** option.
4. Click the **Global Filters**  icon.

The **Global Filters** are displayed on the left hand side.

Figure 45: Global Filter for Trend of Cases for SAR Report

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

- Criteria:** A dropdown menu with 'Owner' selected.
- Values:** A dropdown menu with '--Select Value--' selected.
- Status:** A dropdown menu with '--Select Value--' selected.
- Status Date:** A date range selector showing 'Between 02/17/2016 - 03/17/2019'.

At the bottom of the panel are 'Apply' and 'Reset' buttons.

5. Enter the following filter details:

Table 10: Trend of Cases for SAR Report Filter Descriptions

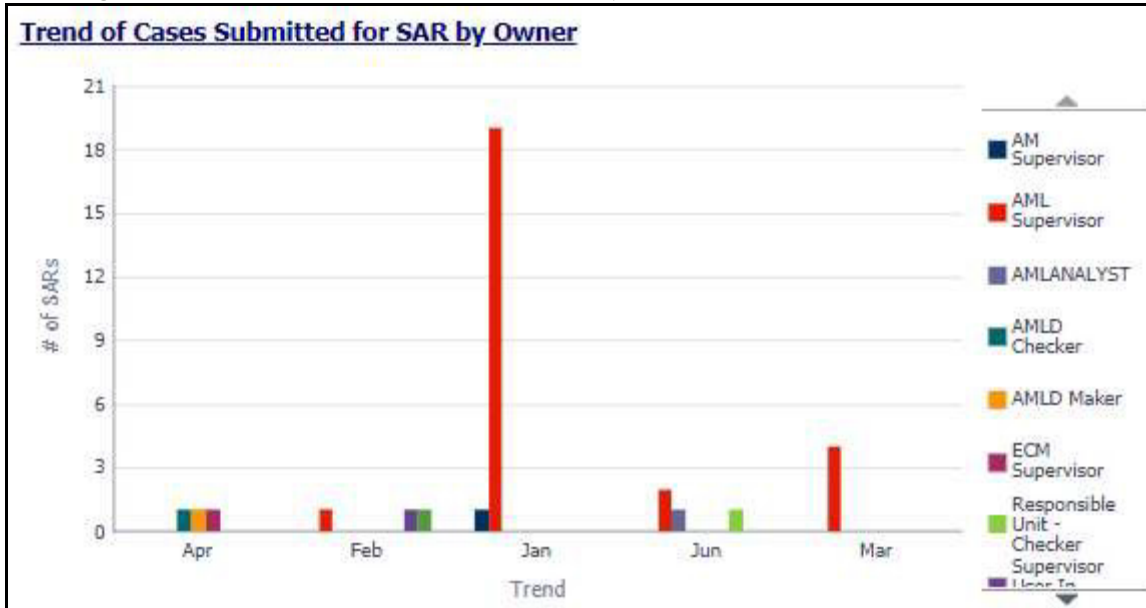
| Field | Description |
|-------------|--|
| Criteria | Select the criteria for the cases from SARs that you want to view. |
| Values | Select the value for the cases from SARs that you want to view. |
| Status | Select the status for the cases from SARs that you want to view. |
| Status Date | Select the time period to view the cases from SARs of a particular status generated for that period. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result is displayed in bar chart reports.

Trend of Cases Submitted for SAR by Owner Report

Figure 46: Trend of Cases Submitted for SAR by Owner Report




For example, in the above figure, the bar chart report displays the trend using X axis and number of SARs using Y axis.

4.2.1.4 Productivity

Use the Productivity dashboard to view the average time taken for closing an AML alert or case along with the current status of the active alerts and cases. The following Productivity reports are available:

- Productivity Home
- Cases Closing Trend

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.

4.2.1.4.1 Productivity Home

The Productivity Home page contains the following reports:

- Average Time taken for Cases - Open/Close

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 48: Filter for Average Time Taken for Cases - Open/Close Report

2. Enter the following filter details:

Table 11: Average Time Taken for Cases - Open/Close Report Filter Descriptions

| Field | Description |
|-----------------------|---|
| Cases Created Between | Select the time period to view the cases that are created between the selected time period. |
| Cases Closed Between | Select the time period to view the cases that are closed between the selected time period. |
| User | Select the user of the case. |
| Organization | Select the organization to which the case belongs to. |
| Jurisdiction | Select the jurisdiction to which the cases belong to. This filters the cases by the business jurisdiction (geographic location) associated with a case. The drop-down list contains only the jurisdictions with which you are authorized to view. |
| Case Class Type | Select the Case Class Type to which the case belongs to. |

3. Click **Apply**.

The result displays two category of reports as follows:

- **Average Time taken for Case Closure:** Use this report to view the average time taken by a user to close the cases belonging to a particular organization.
- **Active Cases Per User-Organization:** Use this report to view the number of active cases for a particular user in an organization.

4.2.1.4.2 Cases Closing Trend

Use this dashboard to view the weekly trend across quarter for the number of cases which have either been promoted to cases or price adjusted.

4.2.1.5 KYC


Use the KYC dashboard 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
- Customer Risk Score Override
- Increase in Customer's Risk
- Watch List Match

4.2.1.5.1 High Risk Customers at Assessment Level

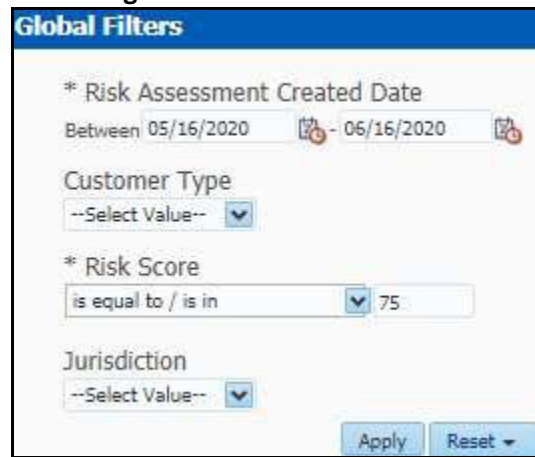
Use this dashboard to view the customers based on their CER (Customer Effective Risk) score and grouped by Jurisdiction, Country, and Customer Type.

To generate **High Risk Customers at Assessment Level** Report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **KYC** option displayed on the LHS.
3. Click **High Risk Customers at Assessment Level** option.
4. Click the **Global Filters**  icon.

The Global Filters are displayed on the left hand side.

Figure 49: Global Filters for High Risk Customers at Assessment Level Report



5. Enter the following filter details:

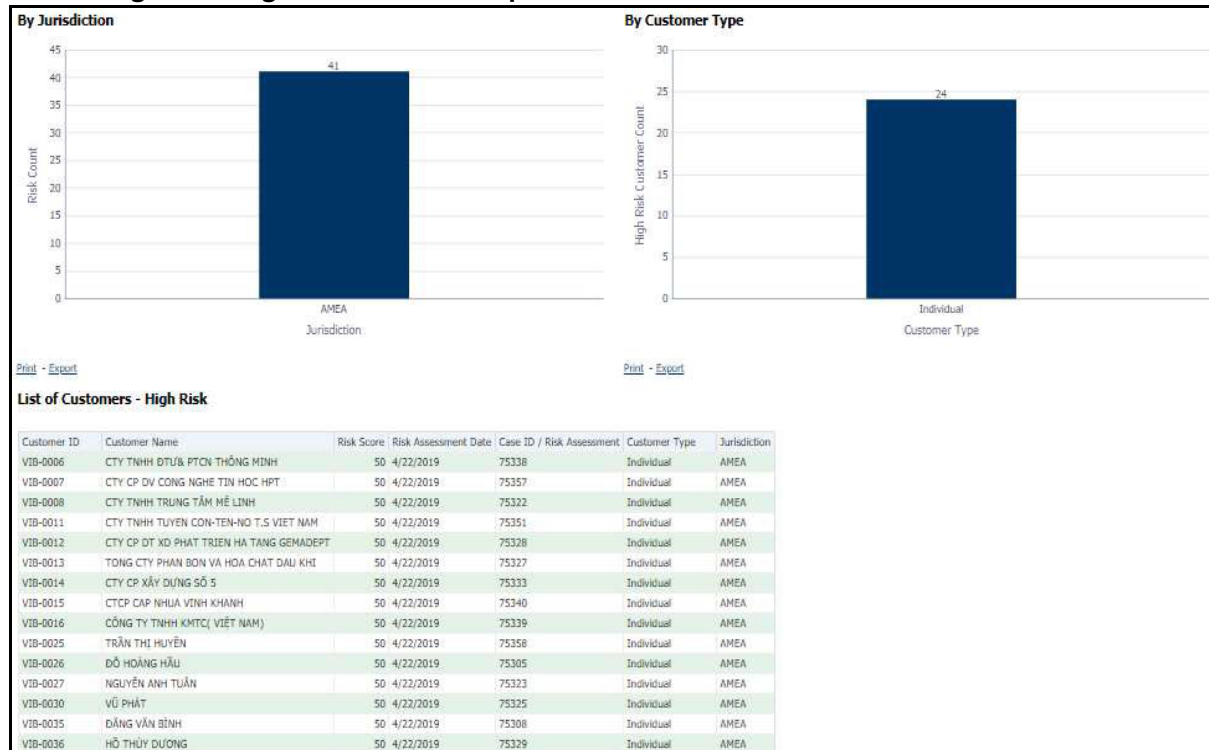
Table 12: High Risk Customers at Assessment Level Report Filter Descriptions

| Field | Description |
|------------------------------|--|
| Risk Assessment Created Date | Select the date range between which the risk assessment is created. The format is DD/MM/YYYY. |
| Customer Type | Select the customer type of the risk assessment. This can be Individual, Financial Institution, or Other Organization. |
| Risk Score | Enter the risk score of the assessments you want to view. You can also view the risk score of the assessments which are lesser or greater than the entered risk score. |
| Jurisdiction | Select the business jurisdiction (geographic location) of the risk assessment. The list of jurisdictions that appear in the drop-down list is based on your access permission. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result displays the following category of reports.


Figure 50: High Risk Customers Report



- By Jurisdiction
- For example, in the above figure, the bar chart report displays the information with jurisdiction using the X axis, and risk count using the Y axis.
- By Customer Type
- For example, in the above figure, the bar chart report displays the information with customer type using the X axis, and high risk customer count using the Y axis.
- List of Customers - High Risk
- The data is filtered to satisfy all the specified filter conditions, and the result is displayed in tabular format reports.

4.2.1.5.2 Customer Risk Score Override

Use this dashboard to view the Customers whose risk scores have been manually overridden. To generate Customer Risk Score Override Report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **KYC** option displayed on the LHS.
3. Click **Customer Risk Score Override** option.
4. Click the **Global Filters**  icon.

The **Global Filters** are displayed on the left hand side.

Figure 51: Global Filters for Customer Risk Score Override Report

The screenshot shows a 'Global Filters' window with the following fields and values:

- * Overridden Date:** Between 05/01/2010 and 06/16/2020.
- System Assigned Risk Category:** (All Column Values)
- Overridden Risk Category:** (All Column Values)
- Overridden By:** (All Column Values)
- System Assigned Risk Score:** 100
- Jurisdiction:** (All Column Values)
- Overridden Risk Score:** 100

Buttons for 'Apply' and 'Reset' are located at the bottom right of the filter panel.

5. Enter the following filter details:

Table 13: Customer Risk Score Override Report Filter Descriptions

| Field | Description |
|-------------------------------|--|
| Overridden Date | Select the date range between which the risk score has been overridden for the customer. The format is DD/MM/YYYY. |
| System Assigned Risk Category | Select the system assigned risk category. |
| Overridden Risk Category | Select the new risk category of the customer. |
| Overridden By | Select the user who has overridden the risk score. |
| System Assigned Risk Score | Enter the previous risk score. A risk score of 100 is assigned by default. |
| Jurisdiction | Select the new business jurisdiction (geographic location) of the risk assessment. The list of jurisdictions that appear in the drop-down list is based on your access permission. |
| Overridden Risk Score | Enter the new risk score. A risk score of 100 is assigned by default. |

6. Click **Apply**.


The data is filtered to satisfy all the specified filter conditions, and the result displays the following category of reports.

- Risk Score Overridden By Jurisdiction
- Risk Score Overridden By User
- List of Customers - Risk Score Overridden

4.2.1.5.3 Increase in Customer's Risk

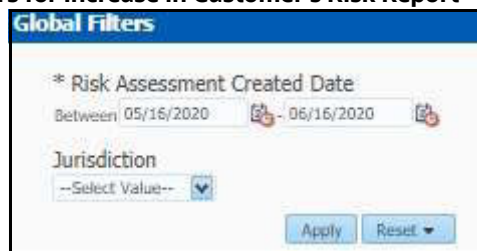
Use this dashboard to view the Customers whose Risk scores have increased over a period of time due to different sources of risk assessment.

To generate **Increase in Customer's Risk** report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **KYC** option displayed on the LHS.
3. Click the **Increase in Customer's Risk** option.
4. Click the **Global Filters**  icon.

The Global Filters are displayed on the left hand side.

Figure 52: Global Filters for Increase in Customer's Risk Report



5. Enter the following filter details:

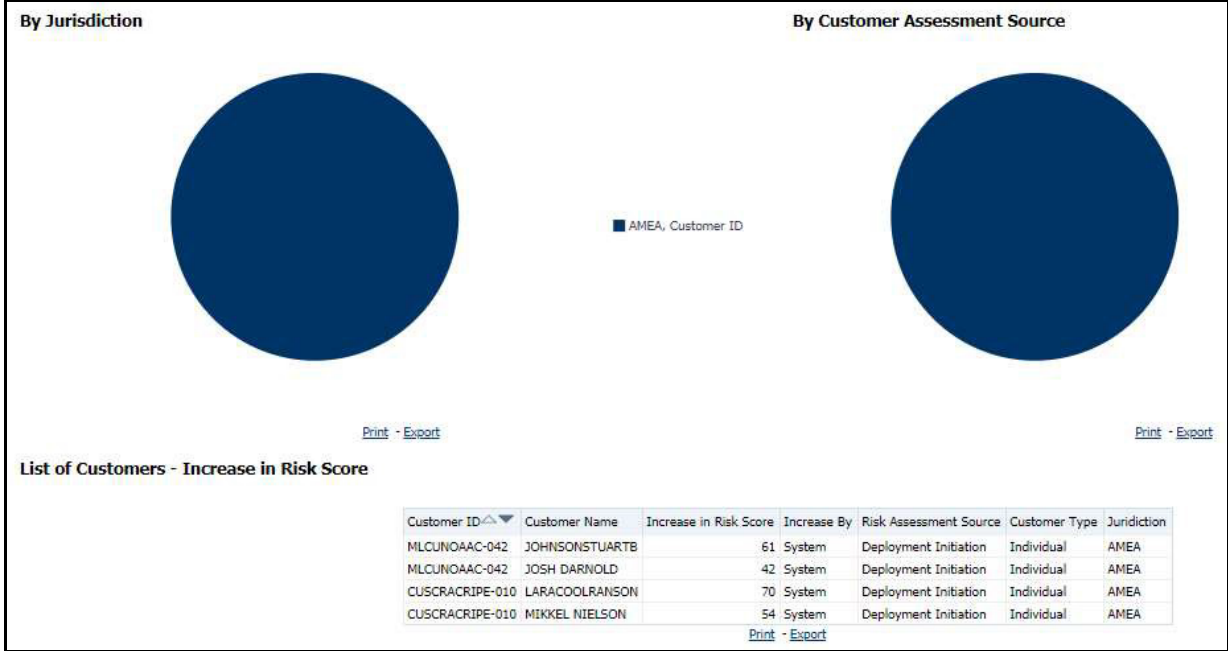
Table 14: Increase in Customer's Risk Report Filter Descriptions

| Field | Description |
|------------------------------|--|
| Risk Assessment Created Date | Select the date range between which the risk assessment is created. The format is DD/MM/YYYY. |
| Jurisdiction | Select the business jurisdiction (geographic location) of the risk assessment. The list of jurisdictions that appear in the drop-down list is based on your access permission. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result displays the following category of reports.

Figure 53: Increase in Customer’s Risk Report




- Increase in Risk Score By Jurisdiction
- Increase in Risk Score By Customer Assessment Source
- List of Customers - Increase in Risk Score

4.2.1.5-4 Watch List Match

Use this dashboard 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.

To generate **Watch List Match Report**, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **KYC** option displayed on the LHS.
3. Click the **Watch List Match** option.
4. Click the **Global Filters**  icon.

The **Global Filters** are displayed on the left hand side.

Figure 54: Global Filters for Watch List Match Report

The screenshot shows a 'Global Filters' window with the following elements:

- Watch List Initiated:** A date range selector with 'Between' labels and calendar icons. The dates shown are 05/16/2010 and 06/16/2020.
- Watch List Type:** A dropdown menu currently set to '(All Column Values)'.
- * Watch List Name:** A text input field.
- Watch List Score:** A dropdown menu set to 'is equal to / is in' and a text input field containing the value '50'.
- Verification Date:** A date range selector with empty input fields and calendar icons.
- Verification Status:** A dropdown menu currently set to '(All Column Values)'.
- Buttons:** 'Apply' and 'Reset' buttons are located at the bottom right.

5. Enter the following filter details:

Table 15: Watch List Match Report Filter Descriptions

| Field | Description |
|----------------------|---|
| Watch List Initiated | Select the date range between which the watch list matching process is initiated. The format is DD/MM/YYYY. |
| Watch List Type | Select the watch list which is used for the matching process. |
| Watch List Name | Enter the name of the watch list which is used for the matching process. |
| Watch List Score | Enter the watch list match score. You can also view a match score which is lesser or greater than the entered match score |
| Verification Date | Select the verification date. |
| Verification Status | Select the verification status. |

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the List of Customers - Watch List Matches report are displayed.

4.2.1.6 FATCA

Use the FATCA dashboard to analyze open and canceled FATCA reports from an organization. The following FATCA reports are available:

- **Report Summary:** This report highlights the count of reports (report status wise) per reporting year based on the following criteria:
 - FATCA Status
 - Report Type

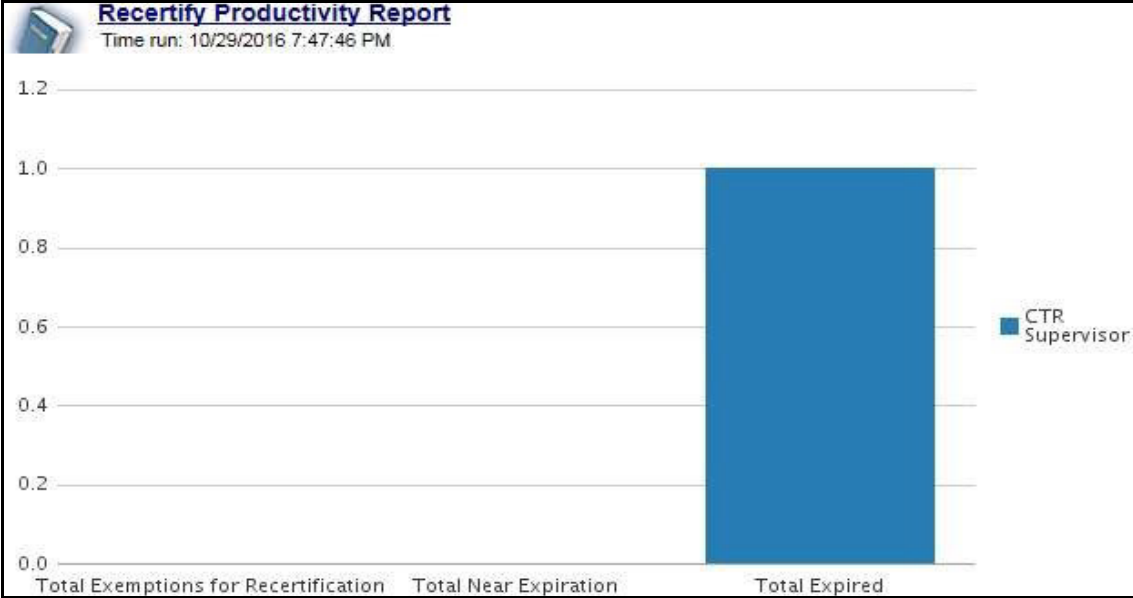
- Jurisdiction
- Reporting FI
- Account Holder Type
- **Productivity Summary:** This report highlights the count of reports per reporting year based on due date. Reports can be run using the following criteria:
 - FATCA Status
 - Report Type
 - Jurisdiction
 - Reporting FI
 - Account Holder Type
- **Trend of Report:** This report highlights the trend of the number of FATCA reports submitted by reporting year.

Figure 55: FATCA Status Report

| FATCA Status | | | | | | | |
|--|-----------------------|-------------------|---------------------|-----------|------|-----------|-------------------------------------|
| FATCA Status --Select Value-- | | | | | | | |
| Apply Reset | | | | | | | |
| Reporting Year | FATCA Status | Number of Reports | | | | | Total # of Reports per FATCA Status |
| | | Approved | Awaiting Submission | Cancelled | Open | Submitted | |
| 2016 | Participating FFI | | | | | 1 | 1 |
| Total # of Reports Report Status wise per Reporting Year | | | | | | 1 | 1 |
| 2017 | Direct Reporting NFFE | | 2 | | 1 | | 3 |
| | Indeterminate | | 1 | | | | 1 |
| | Non-Participating FFI | 1 | 1 | | 1 | 1 | 4 |
| | Owner Documented FFI | | 1 | 1 | | | 2 |
| Total # of Reports Report Status wise per Reporting Year | | 1 | 5 | 1 | 2 | 1 | 10 |
| | Non-Participating FFI | 1 | | | 21 | | 22 |
| | Owner Documented FFI | 1 | | | 5 | | 6 |
| | Passive NFFE | | | 1 | 55 | | 56 |
| | Recalcitrant | | | | 33 | 1 | 34 |
| | US Person | | 1 | | 48 | 1 | 50 |
| | | 2 | 1 | 1 | 162 | 2 | 168 |
| Refresh - Print - Export | | | | | | | |

4.2.1.6.1 Recertify Productivity Report

Figure 56: Recertify Productivity Report



4.2.1.6.2 Productivity

Use the Productivity dashboard to view the number of FATCA reports by reporting year, along with their current due date status.

The following figure shows a portion of the Productivity Summary home page. You can change the type of data reported by selecting the FATCA Status, Report Type, Jurisdiction, Reporting Financial Institution (FI), and Account Holder Type reports.

Figure 57: FATCA Status Productivity Report

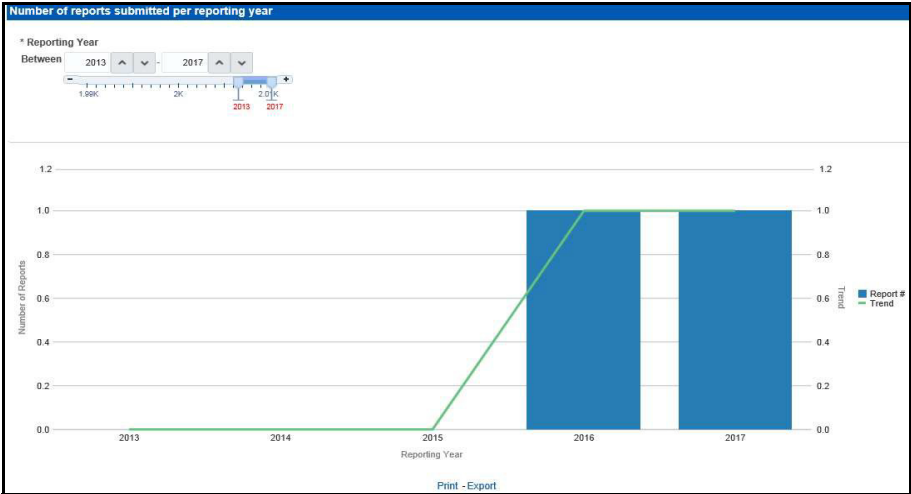
| FATCA Status | | | | | | |
|---|-----------------------|-------------------|------------------|------------------|----------------------|-------------------------------------|
| FATCA Status --Select Value-- | | | | | | |
| Apply Reset | | | | | | |
| Reporting Year | FATCA Status | Number of Reports | | | | Total # of Reports per FATCA Status |
| | | Past Due date | Nearing Due Date | With No Due Date | Not Nearing Due Date | |
| 2017 | Direct Reporting NFFE | 0 | 0 | 0 | 3 | 3 |
| | Indeterminate | 0 | 0 | 0 | 1 | 1 |
| | Non-Participating FFI | 0 | 0 | 1 | 3 | 4 |
| | Owner Documented FFI | 0 | 0 | 1 | 1 | 2 |
| Total # of Reports Due Date wise per Reporting Year | | 0 | 0 | 2 | 8 | 10 |

Print - Export

4.2.1.6.3 Trend of Report

The FATCA Trend of Report highlights the trend of the number of FATCA reports submitted by reporting year.

Figure 58: FATCA Trend of Report



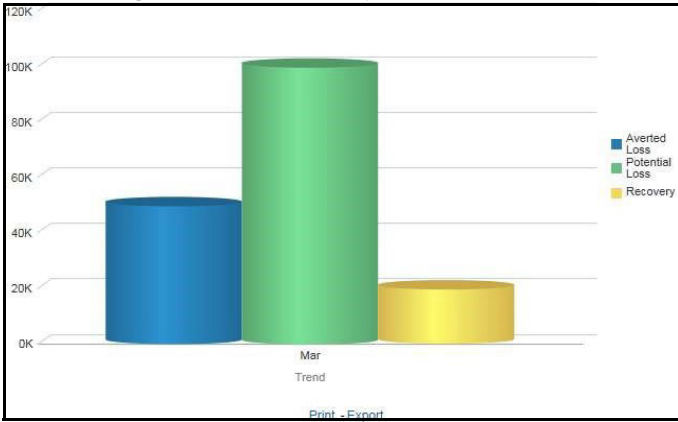
4.2.1.7 Fraud

Use the Fraud dashboard 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.

4.2.1.7.1 Trend of Average Loss and Recovery Amounts for Cases Report

Figure 59: Trend of Average Loss and Recovery Amounts for Cases Report



4.2.1.8 CTR

Use the CTR dashboard 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
- Exemption Dashboard
 - Recertify Productivity Report
 - Revoked Exemptions
 - New Exemption Reports
 - High Volume CTR Entities
 - Audit Currency Transaction Report
 - Exempt Entity Report
- Transaction Logs
 - MI Transaction Log
 - Currency Transaction Journal

4.2.1.8.1 Trends

The section includes the following topics:

- CTR Processing Trends- Internal
- CTR Processing Trends - FinCEN Acknowledgements

4.2.1.8.2 CTR Processing Trends- Internal

The Generating CTR Processing Trends- Internal dashboard shows the trends of Currency Transaction Reports based on those that require exception processing those that are handled in straight through processing (STP). This report measures the Average STP Currency Transaction Reports and Average Exception Currency Transaction Reports. This line graph report includes Currency Transaction Reports that are in the following statuses at the time of report generation and within a specified date range:

- Closed - Rejected
- Filed - Success
- Filed - Success w/Errors
- Filed - Rejected
- Filed - Rejection Corrected

To generate the CTR Processing Trends- Internal report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **CTR** option displayed on the left hand side.

Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.

3. Select **CTR Trends** tab.

The CTR Processing Trends- Internal and the CTR Processing Trends - FinCEN Acknowledgements page is displayed with default values entered in the filters.

4. To view the **CTR Processing Trends- Internal** report, enter the details as described in the following table:

Table 16: Generating CTR Processing Trends - Internal Filter Descriptions

| Filter Name | Description |
|---|---|
| Currency Transaction Report Creation Date Between | Enter a date range for the search using the Select Date icon. This field defaults to blank. |
| Currency Transaction Report Creation Date To | Enter a date range for the search using the Select Date icon. This field defaults to blank. |
| Period | Select a period from the drop-down options. This field defaults to six months. |

5. Click **Apply**.

A line graph report showing CTR Processing Trends- Internal is displayed. You can also click Reset to reset all the field values to default values.

6. You can choose to **Refresh**, **Print** and **Export** the displayed report.

4.2.1.8.3 CTR Processing Trends - FinCEN Acknowledgements

CTR Processing Trends - FinCEN Acknowledgements dashboard shows the trend of Currency Transaction Reports filed successfully or with failure based on the acknowledgements from FinCEN within a specified range. This report measures the Average FinCEN Filings - Rejected, Average FinCEN Filings - Success w/errors, and Average FinCEN Filings iV Success.

This line graph report includes Currency Transaction Reports that are in the following statuses at the time of report generation and within a specified date range:

- Filed - Success
- Filed - Success w/Errors
- Filed - Rejected (include in this count also Filed - Rejection Corrected)

To generate the CTR Processing Trends - FinCEN Acknowledgements report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **CTR** option displayed on the left hand side.

Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.

3. Select **CTR Trends** tab.

The **CTR Processing Trends- Internal** and the **CTR Processing Trends - FinCEN Acknowledgements** page is displayed with default values entered in the filters.

- To view the **CTR Processing Trends - FinCEN Acknowledgements** report, enter the details as described in the following table:

Table 17: Generating CTR Processing Trends - FinCEN Acknowledgements Filter Descriptions

| Filter Name | Description |
|---|---|
| Currency Transaction Report Creation Date Between | Enter a date range for the search using the Select Date icon. This field defaults to blank. |
| Currency Transaction Report Creation Date To | Enter a date range for the search using the Select Date icon. This field defaults to blank. |
| Period | Select a period from the drop-down options. This field defaults to six months. |

- Click **Apply**.
A line graph report showing **Currency Transaction Report CTR Processing Trends - FinCEN Acknowledgements** is displayed. You can also click Reset to reset all the field values to default values.
- You can choose to **Refresh, Print** and **Export** the displayed report.

4.2.1.8.4 Detail - TIN

The Currency Transaction Report Detail - TIN dashboard shows the Currency Transaction Report history for last two years on each TIN with various accounts on a TIN with Cash Ins and Cash Outs amounts. This tabular report displays the Currency Transaction Report Count, TIN #, Total Cash In Amount, and Total Cash Out Amount. This report includes the Currency Transaction Reports in the following statuses:

- Filed - Success
- Filed - Success w/errors
- Closed - Exempted status (If Include Exempted Currency Transaction Reports option is set to Y)

Figure 60: CTR Detail - TIN Report



To generate the Currency Transaction Report Detail – TIN Report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **CTR** option displayed on the left hand side.
Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.
3. Select **Currency Transaction Report Detail – TIN Report** tab.
The **Currency Transaction Report Detail – TIN Report** page is displayed with default values entered in the filters.
4. To view the **Currency Transaction Report Detail – TIN Report**, enter the details as described in the following table:

Table 18: CTR Detail - TIN Report Filter Descriptions

| Filter Name | Description |
|---|--|
| Currency Transaction Report Create Date Between | Enter a date range for the search using the Select Date icon. This field defaults to two years less than the current date. |
| Currency Transaction Report Create Date To | Enter a date range for the search using the Select Date icon. This field defaults to the current date. |
| SSN/TIN | Enter the SSN or TIN in this field. |
| SSN/TIN Format | Select a SSN/TIN format from the drop-down options namely, SSN, Tax ID, ITIN, EIN, and Foreign. |
| Include Exempted Currency Transaction Reports | Select Y or N if you want to include exempted Currency Transaction Reports in your report. This field defaults to N. Note: If you select 'Include Exempted Currency Transaction Reports' option as N, Audit Currency Transaction Reports from the search results is excluded. |

5. Click **Apply**.
A tabular report showing Currency Transaction Report Detail – TIN Report is displayed. You can also click Reset to reset all the field values to default values.
6. Click any TIN # value in the tabular report to view a detailed report on that particular TIN.

Figure 61: CTR Detail - TIN Report

| CTR ID | CTR Date | Trxn Date | TIN # | Account Id | Tot Cash In Amt | Tot Cash Out Amt |
|--------|------------|------------|---------------|-----------------|-----------------|------------------|
| 218 | 04/12/2012 | 12/10/2009 | SSN 554455688 | ACHRTRHREEN-001 | 51500 | 51500 |
| 219 | 04/12/2012 | 12/10/2009 | SSN 554455688 | ACHRTRHREEN-001 | 51500 | 51500 |
| 318 | 04/16/2012 | 12/10/2009 | SSN 554455688 | ACHRTRHREEN-001 | 51500 | 51500 |

Return - Refresh - Print - Export - Create Bookmark Link

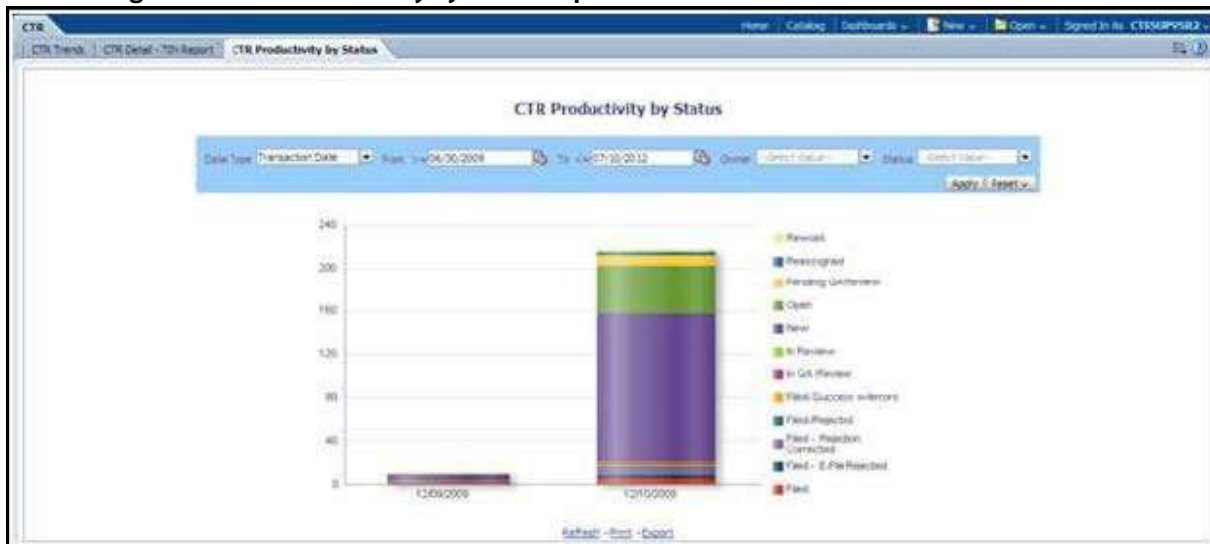
7. From detailed report, you can choose to **Refresh, Print, Export, and Create Bookmark Link**.
8. Click **Return** on the detailed report to navigate back to the **Currency Transaction Report Detail – TIN Report**.

4.2.1.8.5 Productivity by Status

The CTR Productivity by Status dashboard shows the Currency Transaction Reports by statuses for the selected transaction dates or Currency Transaction Report due dates. This report is a column bar chart that shows the counts of certain statuses based on current status code of Currency Transaction Report record. This report includes Currency Transaction Reports in all statuses except Currency Transaction Reports in status Filed - Success/Closed - Rejected/Closed - Exempt/Superseded.

Only a user with a Supervisor role can view and generate this report.

Figure 62: CTR Productivity by Status Report



To generate Productivity by Status Report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **CTR** option displayed on the left hand side.

Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.

3. Select **CTR Productivity by Status** tab.

The CTR Productivity by Status page is displayed with default values entered in the filters.

4. To view the **CTR Productivity by Status** report, enter the details as described in the following table:

Table 19: CTR Productivity by Status Report Filter Descriptions

| Filter Name | Description |
|-------------|--|
| Date Type | Select a date type option either as Transaction Date, or as Due Date |
| From >= | This field defaults to ten days less than the current date. |
| To <= | This field defaults to current date. |
| Owner | Select the owner(s) from the multi-select drop-down options. |
| Status | Select the status from the multi-select drop-down options. |

5. Click **Apply**.
A column bar report is displayed. You can also click Reset to reset all the field values to default values.
6. Click the column bar to view the detailed count of each statuses in a tabular format.

Figure 63: CTR Productivity by Status Report

| Owner | Open | Reassigned | Pending Review | In Review | Pending QA Review | To QA Review | Revoked | Ready for e-File | Filed | Filed-Success viderios | Filed-Rejected | Filed - Revision Corrected |
|-------------|------|------------|----------------|-----------|-------------------|--------------|---------|------------------|-------|------------------------|----------------|----------------------------|
| CTRAGL13T1 | 3 | 6 | 8 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| CTRSLP582 | 3 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 2 | 0 | 0 | 0 |
| ctrsuperior | 17 | 0 | 8 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | 5 | 0 | 0 | 0 | 0 | 46 | 4 | 0 | 0 | 2 | 0 | 0 |

7. You can also choose to **Refresh, Print, Export** and **Create Bookmark Link** the displayed report.
8. Click **Return** to go back to the **CTR Productivity by Status** column bar report.

4.2.1.8.6 Exemption Dashboard

The following are the reports generated for Exemption dashboard:

- Recertify Productivity Report
- Revoked Exemptions
- New Exemption Reports
- High Volume CTR Entities
- Audit Currency Transaction Report
- Exempt Entity Report

4.2.1.8.7 Recertify Productivity Report

Recertify Productivity report displays Exemptions that are currently in recertify status, count of Exemptions nearing their expiration date for which the review has not started and count of Exemptions that are expired.

Figure 64: Recertify Productivity Report



This bar report also shows a tabular display of counts by owner. Click any Exemption column bar to display a detailed list of Exemptions in that count.

Figure 65: Recertify Productivity Report - Details

| Entity Type | Entity | SSN/TIN | Entity Classification | Instate Recert Date | Exempt Exp Date | Owner |
|-------------|--------------|------------------|--|---------------------|-----------------|---------------|
| AC | MOHIT | Tax Id | Phase I - Entity Exercising Gov't Authority w/in US | 05/21/2013 | 07/05/2013 | ctrsupervisor |
| CJ | APARNA POPAT | SSN 22133444 | Phase I - Federal, State or Local Gov Agency/Dept | 05/21/2013 | 07/05/2013 | ctrsupervisor |
| CU | FU HIFUNG | Tax Id 112133449 | Phase II Eligible Non-Listed Business | 05/21/2013 | 07/05/2013 | ctrsupervisor |
| CU | JWALA GUTTA | Tax Id 22133442 | Phase I - Federal, State or Local Gov Agency/Dept | 05/21/2013 | 07/05/2013 | ctrsupervisor |
| CU | LDN DAN | Tax Id 112133446 | Phase I - Entity Exercising Gov't Authority w/in US | 05/21/2013 | 07/05/2013 | ctrsupervisor |
| CU | SAINA NEHWAL | Tax Id 22133441 | Phase I - Subsidiary of NYSE/ASE Listed; NASDAQ Mkt Sec Listed | 05/21/2013 | 07/05/2013 | ctrsupervisor |

9. From detailed report, you can choose to **Refresh**, **Print**, **Export**, and **Create Bookmark Link**.
10. Click **Return** on the detailed report to go back to the **Recertify Productivity Report** column bar.

4.2.1.8.8 Revoked Exemptions

The Revoked Exemptions report displays Exemptions which are in the revoked status within a specified date range.

Figure 66: Revoked Exemptions



Figure 67: Figure 69: Revoked Exemptions

To generate **Revoked Exemptions** report, follow these steps:

1. Hover over the **Reports** menu in the CTR and click **Reports**.
The **Reports** Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** submenu option.
Different report types related to **Exemption** dashboards are displayed in tabs depending upon the user role.
3. Select **Revoked Exemptions** tab.
The **Revoked Exemptions** report page is displayed with default values entered in the filters.
4. To view the **Revoked Exemptions** report, enter the details as described in the following table:

Table 21: Revoked Exemptions Filter Descriptions

| Filter Name | Description |
|-------------------|--|
| Revoked Date From | Enter a date range for the search using the Select Date icon. This field defaultsto 365 days less than the current date. |
| Revoked Date To | Enter a date range for the search using the Select Date icon. This field defaultsto current date. |
| Display Period | Select a period from the drop-down options namely, Monthly, Quarterly, and Yearly. This field defaults to Monthly. |

5. Click **Apply**.

A bar report showing **Revoked Exemptions** is displayed. You can also click **Reset** to reset all the field values to default values.

6. Click the column bar to view the details of **Revoked Exemptions** count for the selected period in a tabular report.

The following window is displayed.

Figure 68: Revoke Exemption

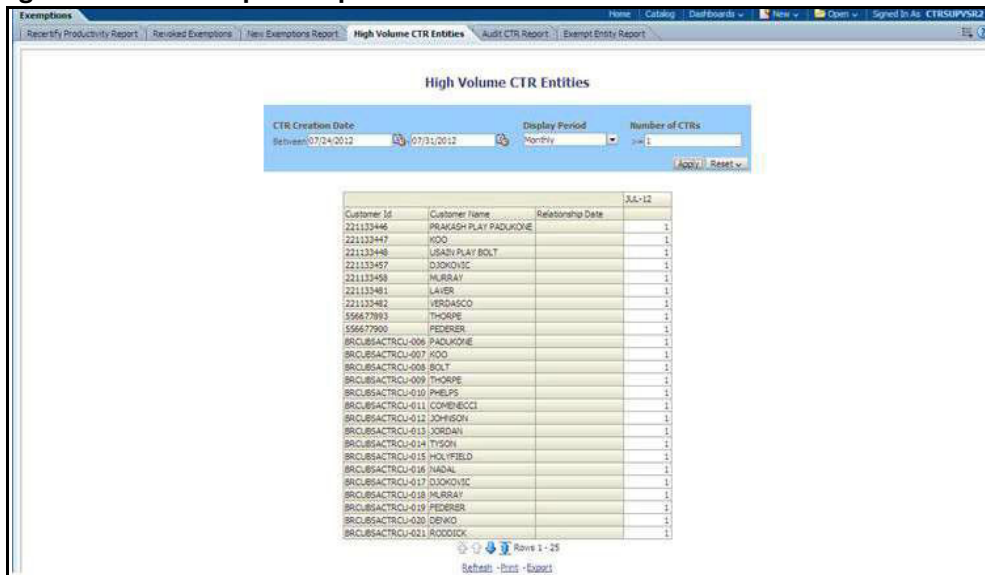


7. From detailed report, you can choose to **Refresh, Print, Export, and Create Bookmark Link**.
8. Click **Return** on the detailed report to navigate back to (Or) You can click the count of **Revoked Exemptions** in the details table to navigate to the **Exemption List and Search** page with the details of all Exemptions listed in the **Exemption List** page.
9. Click **Reports** menu to navigate back to **Revoked Exemptions** column bar report.

4.2.1.8.9 New Exemption Reports

New Exemption Reports shows the number of new Currency Transaction Report Exemptions added during a specified date range.

Figure 69: New Exemption Reports



To generate **New Exemption Reports**, follow these steps:

1. Hover over the **Reports** menu in the **CTR** and click **Reports**.The **Reports** Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** sub menu option.

Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.

3. Select **New Exemption Reports** tab.

The **New Exemption Reports** page is displayed with default values entered in the filters.

4. To view the **New Exemption Reports**, enter the details as described in the following table:

Table 20: New Exemption Reports Filter Descriptions

| Filter Name | Description |
|---------------------------------|--|
| Exemption Approved Date Between | Enter a date range for the search using the Select Date icon. This field defaults to one day less than the current date. |
| Exemption Approved Date To | Enter a date range for the search using the Select Date icon. This field defaults to current date. |

5. Click **Apply**.

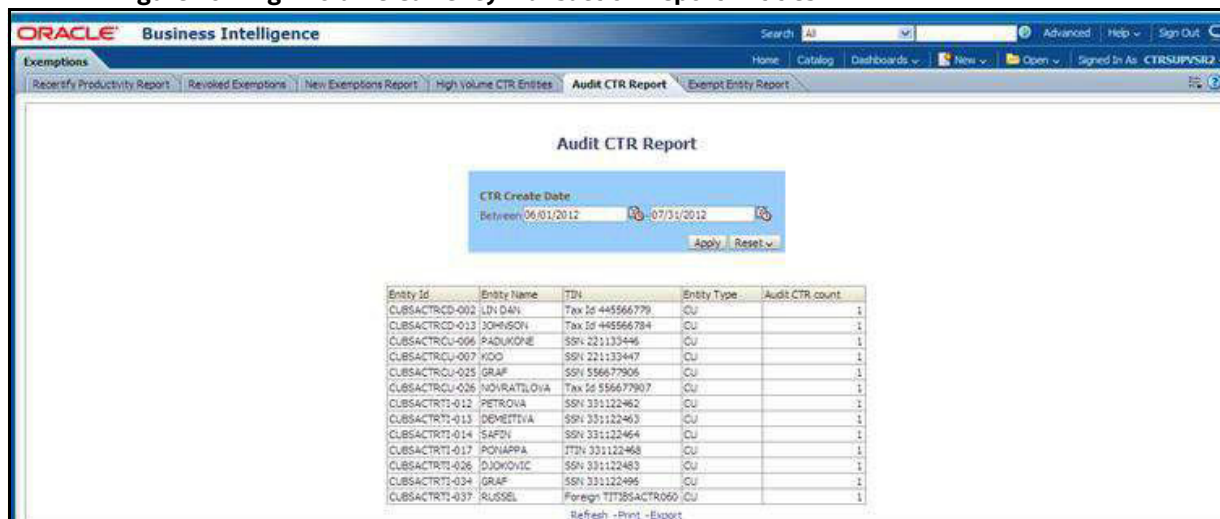
A tabular report showing **New Exemption Reports** is displayed. You can also click **Reset** to reset all the field values to default values.

6. You can choose to **Refresh**, **Print** and **Export** the displayed report.

4.2.1.8.10 High Volume CTR Entities

The High Volume Currency Transaction Report Entity report displays a tabular report of customers who had high number of Currency Transaction Reports filed on them in a specified range namely, monthly, quarterly, yearly, etc. This report includes Currency Transaction Reports in all statuses except Currency Transaction Reports in Closed – Rejected, Closed – Exempted, Filed - Rejection Corrected and Audit Currency Transaction Reports.

Figure 70: High Volume Currency Transaction Report Entities



To generate High Volume Currency Transaction Report Entity report, follow these steps:

1. Hover over the Reports menu in the CTR and click **Reports**. The Reports Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** submenu option.

Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.

3. Select **High Volume Currency Transaction Report Entity** report tab.

The High Volume Currency Transaction Report Entity report page is displayed with default values entered in the filters.

4. To view the **High Volume Currency Transaction Report Entity** report, enter the details as described in the following table:

Table 21: High Volume Currency Transaction Report Entities Filter Descriptions

| Filter Name | Description |
|---|--|
| Currency TransactionReport Creation DateBetween | Enter a date range for the search using the Select Date icon. This field defaults to blank. |
| Currency Transaction Report Creation Date To | Enter a date range for the search using the Select Date icon. This field defaults to blank. |
| Display Period | Select a period from the Display Period drop-down options.This field defaults to Monthly. |
| Number of Currency Transaction Reports >= | Enter the number of high volume Currency Transaction Reports filed on a customer that you want to search for. This field defaults to 25. |

5. Click **Apply**.

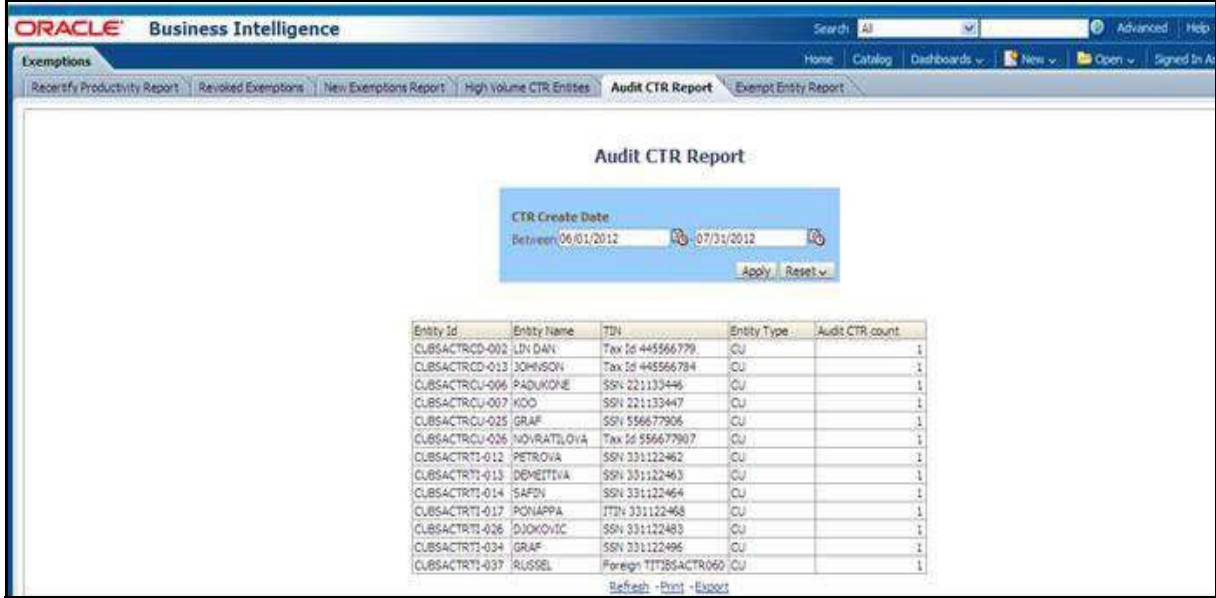
A tabular report showing High Volume Currency Transaction Report Entity report is displayed. You can also click **Reset** to reset all the field values to default values.

6. You can choose to **Refresh, Print** and **Export** the displayed report.

4.2.1.8.11 Audit Currency Transaction Report

The Audit Currency Transaction Report shows the number of Currency Transaction Reports that an exempt customer or an account is saved from creating and processing.

Figure 71: Audit Currency Transaction Report



To generate Audit Currency Transaction Report, follow these steps:

1. Hover over the **Reports** menu in the CTR and click **Reports**.
2. The Reports Home page is displayed. The Home page varies depending upon the users roles.
3. From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** submenu option.

Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.

4. Select **Audit Currency Transaction Report** tab.

The Audit Currency Transaction Report page is displayed with default values entered in the filters.

5. To view the **Audit Currency Transaction Report**, enter the details as described in the following table:

Table 22: Audit Currency Transaction Report Filter Descriptions

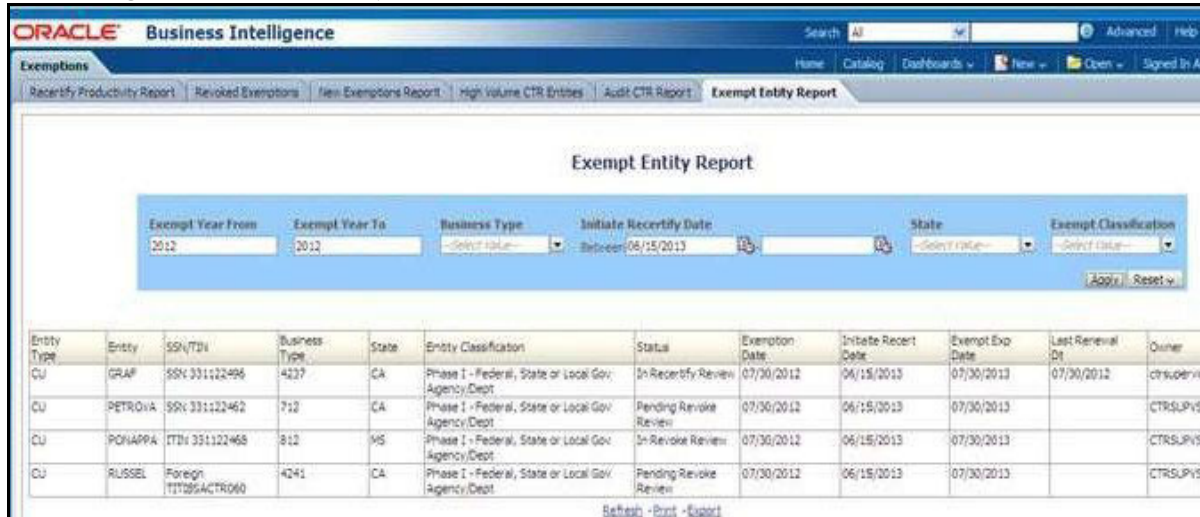
| Filter Name | Description |
|--|---|
| Currency TransactionReport Created Between | Enter a date range for the search using the Select Date icon. This field defaults to60 days less than the current date. |
| Currency TransactionReport Created To | Enter a date range for the search using the Select Date icon. This field defaults tocurrent date. |

6. Click **Apply**.
A tabular report showing **Audit Currency Transaction Report** is displayed. You can also click **Reset** to reset all the field values to default values.
7. You can choose to **Refresh**, **Print** and **Export** the displayed report.

4.2.1.8.12 Exempt Entity Report

The Exempt Entity Report shows the Currency Transaction Report Exemptions filtered by search criteria namely, Exempt Year From, Exempt Year To, Business Type, Initiate Recertify Date, State, and Exempt Classification.

Figure 72: Exempt Entity Report



To generate **Exempt Entity Report**, follow these steps:

1. Hover over the **Reports** menu in the CTR and click **Reports**.
The Reports Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select **Exempt Entity Report** tab.
The Exempt Entity Report page is displayed with default values entered in the filters.
4. To view the **Exempt Entity Report**, enter the details as described in the following table:

Table 23: Exempt Entity Report Filter Descriptions

| Filter Name | Description |
|------------------------------|---|
| Exemption Year From | This field defaults to current year. |
| Exemption Year To | This field defaults to current year. |
| Business Type | Select a business type from the drop-down option. This field is a multi-select list with NAICS codes. |
| Initiate Recertify Date From | Enter a date range for the search using the Select Date icon. This field defaults to blank. |
| Initiate Recertify Date To | Enter a date range for the search using the Select Date icon. This field defaults to blank. |
| State | Select a state from the drop-down option. This field is a multi-select drop-down with states. |

Table 23: Exempt Entity Report Filter Descriptions

| Filter Name | Description |
|--------------------------|--|
| Exemption Classification | Select an Exemption classification from the drop-down list. The following are the multi-selectable Exemption classification options displayed: Phase I - Bank Phase I - Federal, State or Local Gov Agency/Dept Phase I - Entity Exercising Gov't Authority w/in US Phase I - Listed Entity Phase I - Subsidiary of Listed Entity Phase II - Payroll Customer Phase II - Eligible Non-Listed Business |

5. Click **Apply**.

A tabular report showing Exempt Entity Report is displayed. You can also click **Reset** to reset all the field values to default values.

6. You can choose to **Refresh, Print** and **Export** the displayed report.

4.2.1.8.13 Transaction Logs

The following are the reports generated for Transaction Logs dashboard:

- MI Transaction Log
- Currency Transaction Journal

4.2.1.8.13.1 MI Transaction Log

The MI Transaction Log dashboard shows the cash purchases of monetary instruments where the total purchase amounts aggregated to between \$3000 and \$10,000, inclusive, in a calendar day.

Figure 73: MI Transaction Log

| Trans Date | Trans Amt - Base | Debit/Credit | Instrument Desc | Instrument Num | Account ID | Cond ID | Cond ID Type | Conductor | Conductor TIN | Cond Type | Conductor DOB | Location ID | Location Type | Exempt Trans | Adjust Trans | ID Issuing Auth |
|------------|------------------|--------------|---------------------|----------------|---------------|---------------|--------------|-----------|---------------|-----------|---------------|-------------|---------------|--------------|--------------|-----------------|
| 12/10/2009 | 300.00 | C | Monetary Instrument | 12454 | ACBSAMLCU-002 | CDBSAMLCU-001 | C | ORACLE | 55N CD5-5 | CA | 03/25/1987 | TLML-2 | | N | N | CA |
| 12/10/2009 | | C | Monetary Instrument | 12455 | ACBSAMLCU-001 | CDBSAMLCU-001 | C | ORACLE | 55N CD5-5 | CA | 05/30/1984 | TLML-2 | | N | N | CA |
| 12/10/2009 | 400.00 | C | Monetary Instrument | 12453 | ACBSAMLCU-001 | CDBSAMLCU-001 | C | ORACLE | 55N CD5-5 | CA | 12/10/1987 | TLML-2 | | N | N | CA |
| 12/10/2009 | 1000.00 | C | Monetary Instrument | 12345 | ACBSAMLCD-001 | CDBSAMLCD-001 | C | ORACLE | 55N CD5-1 | CA | 05/26/1988 | TLML-1 | | N | N | CA |
| 12/10/2009 | | C | Monetary Instrument | 12466 | ACBSAMLTI-001 | CDBSAMLTI-001 | C | ORACLE | 55N CD5-10 | CA | 12/05/1986 | TLML-3 | | N | N | CA |
| 12/10/2009 | 1200.00 | C | Monetary Instrument | 12469 | ACBSAMLTI-003 | CDBSAMLTI-003 | C | ORACLE | 55N CD5-12 | CA | 12/05/1986 | TLML-3 | | N | N | CA |

To generate **MI Transaction Log** report, follow these steps:

1. Hover over the **Reports** menu in the **CTR** and click **Reports**. The Reports Home page is displayed. The Home page varies depending upon the users roles.

- From Dashboards drop-down menu select **Transaction Logs** dashboard under **Currency Transaction Report** submenu option.

Different report types related to Transaction Logs dashboards are displayed in tabs depending upon the user role.

- Select **MI Transaction Log** tab.

The **MI Transaction Log** page is displayed with default values entered in the filters.

- To view the **MI Transaction Log** report, enter the details as described in the following table:

Table 24: MI Transaction Log Filter Descriptions

| Filter Name | Description |
|--------------------------|--|
| Transaction Date Between | Enter the transaction date using the Select Date icon. This field defaults to one calendar day less than the current date. |
| Transaction Date To | Enter the transaction date using the Select Date icon. This field defaults to current date. |
| TIN Type | Select a TIN Type from the drop-down options. |
| TIN | Enter the TIN # in this field. |
| Transaction Address | Enter the transaction address in this field. This field supports wildcard searching. |
| Transaction City | Enter the transaction city in this field. This field supports wildcard searching. |
| Transaction State | Select a state from the Transaction State drop-down option. |
| Transaction Country | Select multiple countries from the Transaction Country drop-down option. |

- Click **Apply**.

A tabular report showing **MI Transaction Log** report is displayed. You can also click **Reset** to reset all the field values to default values.

- You can choose to **Refresh, Print** and **Export** the displayed report.

4.2.1.8.13.2 Currency Transaction Journal

Figure 74: Currency Transaction Journal



To generate **Currency Transaction Journal** report, follow these steps:

1. Hover over the **Reports** menu in the CTR and click **Reports**. The Reports Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Transaction Logs** dashboard under **Currency Transaction Report** submenu option.

Different report types related to **Transaction Logs** dashboards are displayed in tabs depending upon the user role.

3. Select **Currency Transaction Journal** tab.

The **Currency Transaction Journal** page is displayed with default values entered in the filters.

4. To view the **Currency Transaction Journal** report, enter the details as described in the following table:

Table 25: Currency Transaction Journal Filter Descriptions

| Filter Name | Description |
|--------------------------|---|
| Transaction Date Between | Enter the transaction date using the Select Date icon. This field defaultsto one calendar day less than the current date. |
| Transaction Date To | Enter the transaction date using the Select Date icon. This field defaultsto current date. |

5. Click **Apply**.
A tabular report showing **Currency Transaction Journal** report is displayed. You can also click **Reset** to reset all the field values to default values.
6. You can choose to **Refresh**, **Print** and **Export** the displayed report.

4.2.1.9 CRS

Use the CRS dashboard to analyze open and canceled CRS reports from an organization.

The following CRS reports are available:

- **Report Summary:** This report highlights the count of reports per reporting year based on the following criteria:

- CRS Status
- Jurisdiction
- Reporting FI
- Account Holder Type
- Account Holder Residential Country
- **Productivity Summary:** This report highlights the count of reports per reporting year based on due date. Reports can be run using the following criteria:
 - CRS Status
 - Jurisdiction
 - Reporting FI
 - Account Holder Type
 - Account Holder Residential Country
- **Trend of Report:** This report highlights the trend of the number of reports submitted per reporting year.

4.2.1.9.1 CRS Status Report

| Reporting Year | CRS Status | Number of Reports | | Total # of Reports per CRS Status |
|--|---|-------------------|------|-----------------------------------|
| | | Cancelled | Open | |
| 2017 | CRS Reportable Person | 1 | 4 | 5 |
| | Passive NFE that is a CRS Reportable Person | | 1 | 1 |
| Total # of Reports Report Status wise per Reporting Year | | 1 | 5 | 6 |

Refresh - Print - Export

4.2.1.9.2 Productivity

Use the Productivity dashboard to view the number of CRS reports by reporting year, along with their current due date status.

The following figure shows a portion of the Productivity Summary home page. You can change the type of data reported by selecting the CRS Status, Jurisdiction, Reporting Financial Institution (FI), Account Holder Type, and Account Holder Residential Country reports.

Figure 75: CRS Status Productivity Report

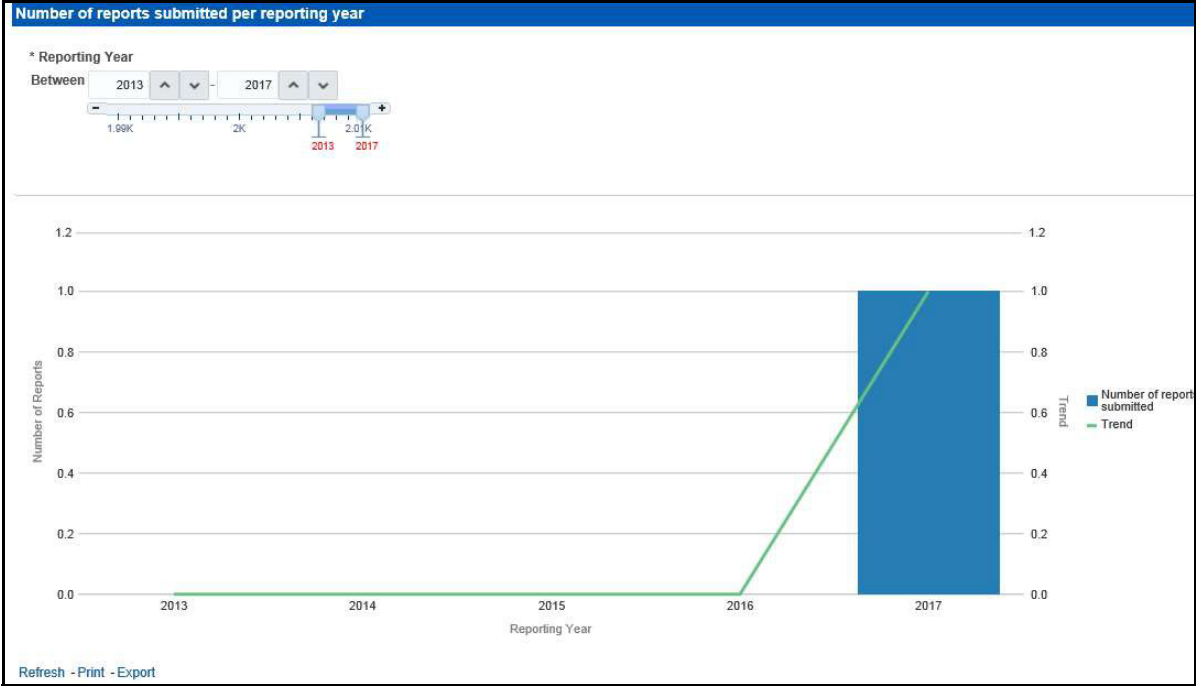
| CRS Status | | | | | | |
|---|---|-------------------|------------------|------------------|----------------------|-----------------------------------|
| CRS Status --Select Value-- | | | | | | |
| Apply Reset | | | | | | |
| Reporting Year | CRS Status | Number of Reports | | | | Total # of Reports per CRS Status |
| | | Past Due date | Nearing Due Date | With No Due Date | Not Nearing Due Date | |
| 2017 | CRS Reportable Person | 0 | 0 | 1 | 4 | 5 |
| | Passive NFE that is a CRS Reportable Person | 0 | 0 | 0 | 1 | 1 |
| Total # of Reports Due Date wise per Reporting Year | | 0 | 0 | 1 | 5 | 6 |
| Refresh - Print - Export | | | | | | |

| Jurisdiction | | | | | | |
|-------------------------------|-------------------|--|--|--|--|--|
| Jurisdiction --Select Value-- | | | | | | |
| Apply Reset | | | | | | |
| Reporting | Number of Reports | | | | | |

4.2.1.9.3 Trend of Report

The CRS Trend of Report highlights the trend of the number of reports submitted by reporting year.

Figure 76: CRS Trend of Report



4.2.1.10 Scenario Tuning

Use the Scenario Tuning dashboard to view statistical reporting and do the scenario tuning based on a specific scenario and threshold set.

The following reports are available under the Scenario Tuning section:

- Anti Money Laundering (AML)

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

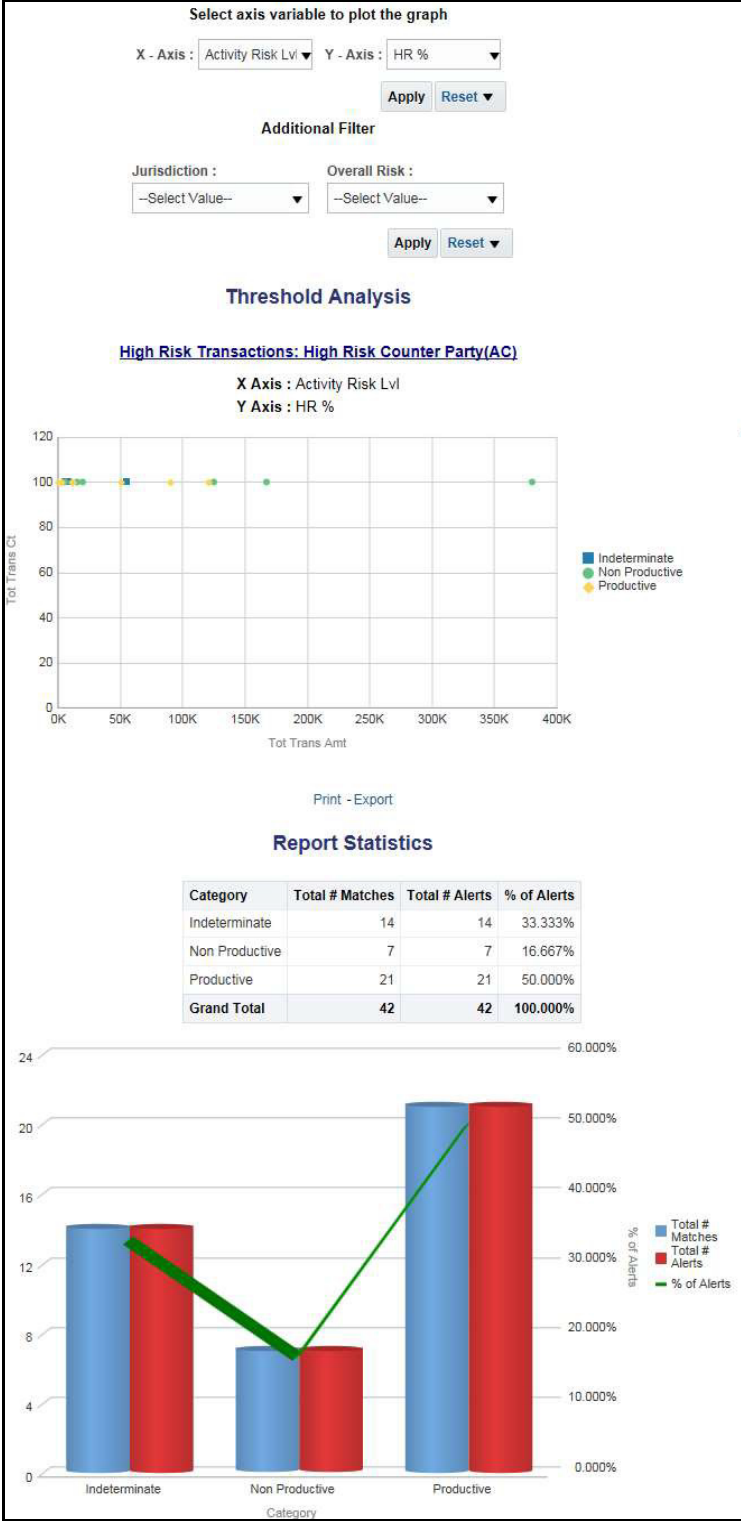
Figure 77: Scenario Tuning Filter Fields

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

- Scenario***: High Risk Transactions: High Risk (dropdown)
- Threshold Set**: (All Column Values) (dropdown)
- Alert Creation Date**: Between 12/13/2016 - 01/12/2017 (date range pickers)
- Alert Processing Date**: Between 01/12/2010 - 01/12/2017 (date range pickers)
- Batch ID**: Between [] - [] (empty input fields)
- Run ID**: Between [] - [] (empty input fields)
- Buttons**: Apply, Reset (dropdown)

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

Figure 78: Threshold Analysis Report



4.2.1.11 Scenario Validation

Use the Scenario Validation dashboard to analyze the scenarios your firm is using to detect behaviors of interest.

Figure 79: Scenario Validation Reports

The screenshot displays the Oracle Business Intelligence interface for Scenario Validation Reports. The top navigation bar includes Home, Monitoring, Research, Reports (selected), Preferences, Administration, and About. The Oracle Business Intelligence logo is on the left, and a search bar is on the right. Below the navigation, the 'MIS Reports' section is visible, with a 'Scenario Name' dropdown menu set to '--Select Value--' and an 'Apply' button. The main content area is divided into two sections: 'Scenario Overview' and 'Thresholds'. The 'Scenario Overview' section shows the following details:

| | |
|----------------------|--|
| Name: | (AM/PM) Inside Information |
| Short Name: | Inside Information |
| Scenario ID: | 11560002 |
| Focus: | PORTFOLIO_MGR |
| Class: | Asset Management |
| Description: | Portfolio Managers are prohibited from trading a securit |
| Scenario Catalog ID: | AM-InsideInformation |

Below the 'Scenario Overview' section is the 'Thresholds' section, which contains a table with the following columns: Name, Display Name, and Description.

The following Scenario Validation reports are available:

- **Sequence Report:** This report displays pertinent information that describes the selected scenario or scenarios and patterns:
 - Scenario Overview
 - Thresholds
 - Threshold Usage
 - Threshold Sets
 - Pattern Information
 - Pattern Dataset
 - Saved Variables
 - Match Augmentation
- **Rule Report:** This report provides details about the rules used by the selected scenario to detect behaviors of interest:
 - Scenario Information
 - Thresholds
 - Threshold Usage
 - Threshold Sets
 - Pattern Information
 - Pattern Dataset
 - Pattern Schematic

- Pattern Logic
- Bindings
- Saved Variables
- Match Augmentation

4.2.1.12 Trade Blotter

Use the Trade Blotter dashboard 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.

4.2.1.12.1 Trade Blotter Search Report

Figure 80: 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 | SUJE 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 | SUJE 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 | SUJE 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 |

4.2.1.12.2 Employee Attestation Completions Report

Figure 81: Employee Attestation Completions Report

| 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 |
|---------------|---------------------|-----------------------|-----------------|------------|--------------------------------------|---------------------------------|-------------------------|-----------------------------|---|---------------------------------------|
| SUNNY ABEVIN | EMPTCSGOCORR-002 | mein.jose@oracle.com | A | 02/09/2013 | ENPAKOWATMEVWDAC-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 | EMPTCSGOCORR-001 | ujwal.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 | 01/01/2021 | 02/12/2022 |
| | | | | | | | Reviewed with Follow-up | 03/06/2013 | 01/01/2015 | 02/12/2025 |
| | | | | | | | Follow-up | 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 |

4.2.1.12.3 Statement View

Statement View provides a snapshot of transactions associated with a case, with account details, the transaction amount and location of the transaction. This view is only enabled if your firm has installed Oracle Financial Services Enterprise Case Management.

This dashboard contains the following tabs:

- Summary
- Statement View - Summary Report
- Wire Transactions
- MI Transactions

- Back Office Transactions

4.2.1.12.3.1 Summary

The Summary section displays a pivot of various information on each of the transactions. It gives a count and sum of the selected transactions by beneficiary, originator, transaction type, debit/credit, and event ID.

Figure 82: Statement View - Summary Report

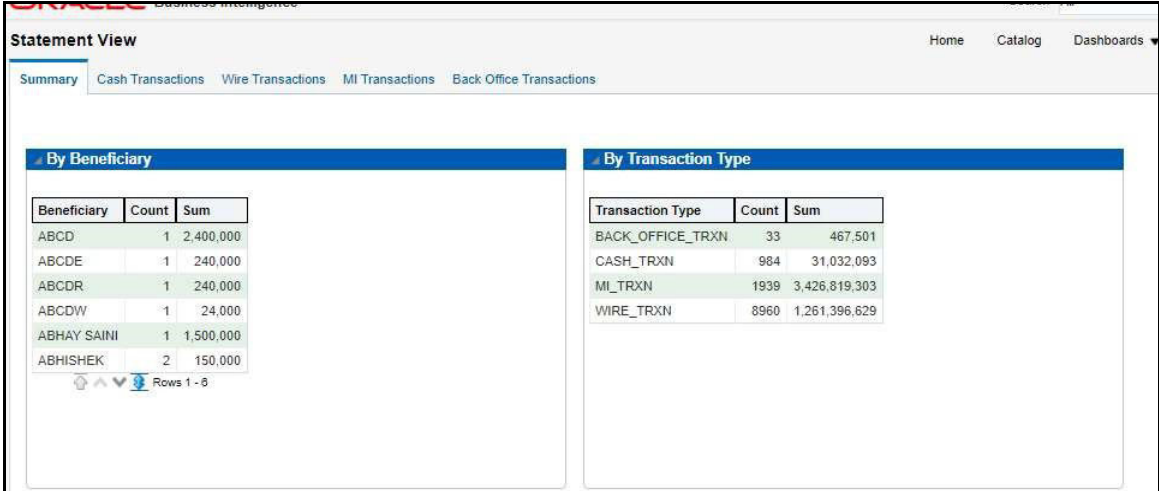
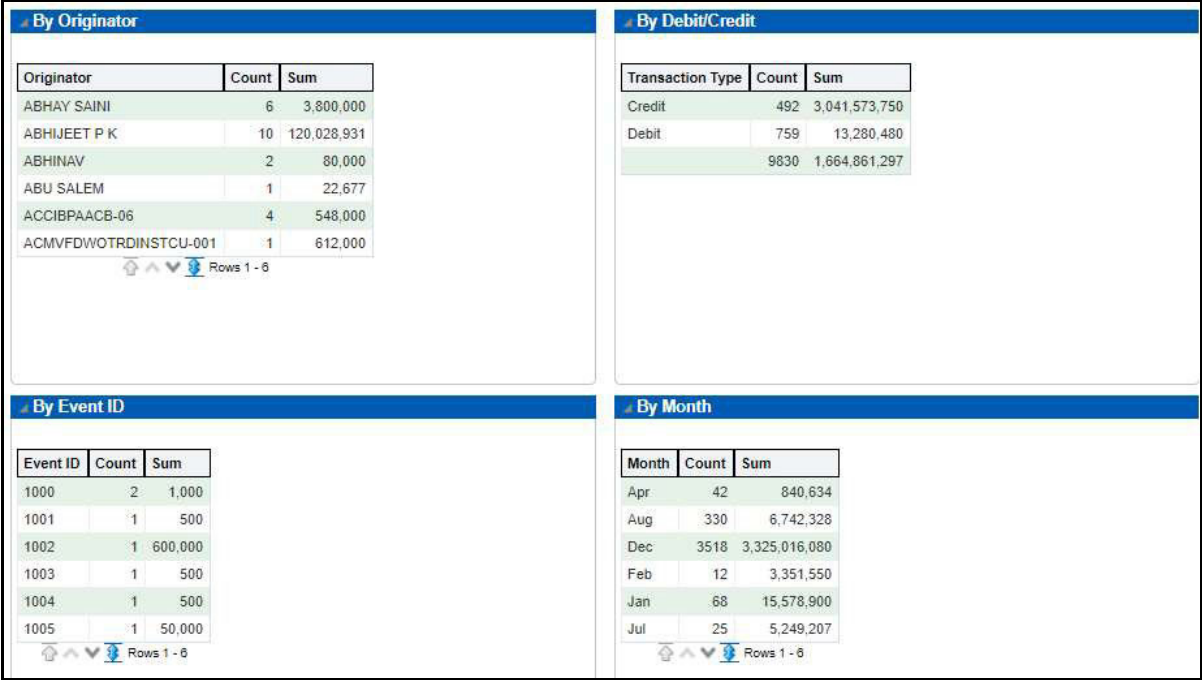


Figure 83: Statement View - Summary Report



4.2.1.12.3.2 Cash Transactions

The Cash Transactions section lists all cash transactions in the events selected.

Figure 84: Statement View - Cash Transactions

| Statement View | | | | | | | | | | | | | |
|--|--------|------------|--------------|--------|-----------------|-------------------|---------------------|-------------------|-----------------|-----------------|---|---|---------------------|
| Home Catalog Dashboards New Open Signed In As | | | | | | | | | | | | | |
| Summary Cash Transactions Wire Transactions MI Transactions Back Office Transactions | | | | | | | | | | | | | |
| Date | Source | Type | Debit/Credit | Amount | | | Account | | Location | | | Transaction Reference ID | |
| | | | | Base | Activity Amount | Activity Currency | ID | Risk | ID | Name | Address | | |
| 7/31/2015 12:00:00 AM | DLY | CURRENCY | Credit | 80,000 | 80,000 | IDR | ACCIBPAACB-02 | 9 IDENTIFIER | EXACCIBPAACB-02 | EXACCIBPAACB-02 | 12 OLD PLANK RD RIVERPLACE-2.VA.US | FOCIBPAACB-18 | |
| 11/23/2015 12:00:00 AM | DLY | CURRENCY | Credit | 53,000 | 53,000 | IDR | ACDPGTOTACTAC-040 | 7 IDENTIFIER | WALMART | WALMART | 222 2RD FLOOR GAMMA PLAZA,CHICAGO,CHICAGO,340130.US | FOTRXNDPOTACTAC-155 | |
| | | | Debit | 20,000 | 20,000 | IDR | ACDEVPGPRODUTAC-034 | 7 COUNTRY | INBANK-01 | ABN BANK | A24-BANDRA,FAIRFAX,VA,22032.US | FOTDEVPGPRODUTAC-142 | |
| | | | DEBIT-CARD | Debit | 25,000 | 25,000 | IDR | ACDPGTOTACTAC-028 | 3 IDENTIFIER | WALMART | WALMART | 222 2RD FLOOR GAMMA PLAZA,CHICAGO,CHICAGO,340130.US | FOTRXNDPOTACTAC-143 |
| | | | | Debit | 40,000 | 40,000 | IDR | ACDPGTOTACTAC-028 | 3 IDENTIFIER | WALMART | WALMART | B90-BANDRA,FAIRFAX,VA,2303.US | FOTRXNDPOTACTAC-147 |
| | | | | Debit | 75,000 | 75,000 | IDR | ACDPGTOTACTAC-028 | 3 IDENTIFIER | WALMART | WALMART | 222 2RD FLOOR GAMMA PLAZA,CHICAGO,CHICAGO,340130.US | FOTRXNDPOTACTAC-148 |
| 11/24/2015 12:00:00 AM | DLY | CURRENCY | Credit | 20,000 | 20,000 | IDR | ACDPGTOTACTAC-030 | 8 IDENTIFIER | WALMART | WALMART | B90-BANDRA,FAIRFAX,VA,2303.US | FOTRXNDPOTACTAC-151 | |
| | | | Debit | 25,000 | 25,000 | IDR | ACDPGTOTACTAC-030 | 8 IDENTIFIER | WALMART | WALMART | B90-BANDRA,FAIRFAX,VA,2303.US | FOTRXNDPOTACTAC-149 | |
| | | | DEBIT-CARD | Debit | 400,000 | 400,000 | IDR | ACDPGTOTACTAC-011 | 3 IDENTIFIER | INHDFC-001 | WALMART | 567 3RD FLOOR GAMMA PLAZA,CHICAGO,CHICAGO,890130.US | FOTRXNDPOTACTAC-088 |
| 11/25/2015 12:00:00 AM | DLY | CURRENCY | Credit | 50,000 | 50,000 | IDR | ACCIBPAACB-02 | 9 IDENTIFIER | EXACCIBPAACB-02 | EXACCIBPAACB-02 | 12 OLD PLANK RD RIVERPLACE-2.VA.US | FOCIBPAACB-21 | |
| | | | DEBIT-CARD | Debit | 34,000 | 34,000 | IDR | ACDPGTOTACTAC-022 | 4 IDENTIFIER | WALMART | WALMART | B9-BANDRA,FAIRFAX,VA,2303.US | FOTRXNDPOTACTAC-132 |
| 11/26/2015 12:00:00 AM | DLY | DEBIT-CARD | Debit | 32,000 | 32,000 | IDR | ACDPGTOTACTAC-022 | 4 IDENTIFIER | WALMART | WALMART | 416 2RD FLOOR GAMMA PLAZA,CHICAGO,CHICAGO,851042.US | FOTRXNDPOTACTAC-137 | |
| | | | Debit | 39,000 | 39,000 | IDR | ACDPGTOTACTAC-022 | 4 IDENTIFIER | WALMART | WALMART | 416 2RD FLOOR GAMMA PLAZA,CHICAGO,CHICAGO,851042.US | FOTRXNDPOTACTAC-135 | |
| | | | Debit | 44,000 | 44,000 | IDR | ACDPGTOTACTAC-022 | 4 IDENTIFIER | WALMART | WALMART | B9-BANDRA,FAIRFAX,VA,2303.US | FOTRXNDPOTACTAC-136 | |
| | | | Debit | 80,000 | 80,000 | IDR | ACDPGTOTACTAC-011 | 3 IDENTIFIER | INHDFC-001 | WALMART | B129-BANDRA,FAIRFAX,VA,22038.US | FOTRXNDPOTACTAC-093 | |

4.2.1.12.3.3 Wire Transactions

The Wire Transactions section lists all wire transactions in the events selected.

Figure 85: Statement View - Wire Transactions Report

| Statement View | | | | | | | | | | | | | |
|--|--------|-------------------------|-------------|--------------------|------------------|------|---------------------|------------------|------|--------------------------|--|-----------------------|--|
| Home Catalog Dashboards New Open Signed In As AML SUPER | | | | | | | | | | | | | |
| Summary Cash Transactions Wire Transactions MI Transactions Back Office Transactions | | | | | | | | | | | | | |
| Wire Transaction | | | | Originator | | | | Beneficiary | | | | Case Wire Transaction | |
| Date | Source | Type | Base Amount | Name | Account ID | Risk | Name | Account ID | Risk | Transaction Reference ID | | | |
| 1/1/2015 12:00:00 AM | AMMAN | EFT-SWIFT,EFT-SWIFT | 3,600 | Remo Farnandis | ACTRSRMFALLCU-01 | 8 | HARIKISHAN CHOUDHRY | ACTRSRMFALLCU-03 | 8 | FOTRSTRMFALLCU01 | | | |
| 2/1/2015 12:00:00 AM | AMMAN | EFT-SWIFT,EFT-SWIFT | 3,600 | Remo Farnandis | ACTRSRMFALLCU-04 | 8 | MANOJ KUMAR | ACTRSRMFALLCU-02 | 8 | FOTRSTRMFALLCU05 | | | |
| 3/4/2015 12:00:00 AM | AMMAN | EFT-SWIFT,EFT-SWIFT | 3,500 | Remo Farnandis | ACTRSRMFALLCU-01 | 8 | MANISH KUMAR | ACTRSRMFALLCU-05 | 8 | FONTRSTRMFALLCU03 | | | |
| 4/4/2015 12:00:00 AM | AMMAN | EFT-FEDWIRE,EFT-FEDWIRE | 6,000 | Remo Farnandis | ACTRSRMFALLCU-02 | 8 | HARIKISHAN CHOUDHRY | ACTRSRMFALLCU-03 | 8 | FONTRSTRMFALLCU10 | | | |
| 10/1/2015 12:00:00 AM | DLY | EFT-FEDWIRE | 50,000 | Remo Farnandis | ACMLDWSAFEN003 | 9 | John Stomp | 6784038730 | 10 | FOTRXNMLDWSAFEN049 | | | |
| 11/1/2015 12:00:00 AM | DLY | EFT-FEDWIRE | 12,500 | PETER PARKS | ACCIBFRGACTAC02X | 5 | JACKIE RUSH | ACCIBFRGACTAC001 | 8 | FOTRXNCIBFRGACTAC0009 | | | |
| | | | 12,500 | SAKKA KHAN | ACCIBHRGACTAC02X | 3 | KELLY MOSEY | ACCIBHRGACTAC001 | 6 | FOTRXNCIBHRGACTAC0009 | | | |
| | | | 12,500 | WILLIAM BACKSTREET | ACCIBPAAAC01X | 7 | BROOKE FEDERSAN | ACCIBPAAAC001 | 7 | FOTRXNCIBPAAAC0009 | | | |
| | | | 25,000 | FRANCIS SCOTT | ACCIBPAACB01X | 7 | CARL FREDICKERSON | ACCIBPAACB03X | 7 | FOTRXNCIBPAACB0009 | | | |
| | | | 25,000 | LORRIANE VAN BUREN | ACCIBPPACB01X | 7 | LARS URICHSEN | ACCIBPPACB02X | 7 | FOTRXNCIBPPACB0009 | | | |
| 11/2/2015 12:00:00 AM | DLY | EFT-FEDWIRE | 25,000 | SALLY FIELD | ACCIBFRGACTC802X | 5 | HAROLD BACCUS | ACCIBFRGACTC806X | 7 | FOTRXNCIBFRGACTC80009 | | | |
| | | | 12,500 | PETER PARKS | ACCIBFRGACTAC02X | 5 | JACKIE RUSH | ACCIBFRGACTAC001 | 8 | FOTRXNCIBFRGACTAC0010 | | | |
| | | | 12,500 | SAKKA KHAN | ACCIBHRGACTAC02X | 3 | KELLY MOSEY | ACCIBHRGACTAC001 | 6 | FOTRXNCIBHRGACTAC0010 | | | |
| | | | 12,500 | WILLIAM BACKSTREET | ACCIBPAAAC01X | 7 | BROOKE FEDERSAN | ACCIBPAAAC001 | 7 | FOTRXNCIBPAAAC0010 | | | |
| | | | 25,000 | JENNIFER SCOTT | ACCIBPAACB02X | 7 | JOHANN FREDICKERSON | ACCIBPAACB04X | 7 | FOTRXNCIBPAACB0010 | | | |
| 11/3/2015 12:00:00 AM | DLY | EFT-FEDWIRE | 25,000 | LORRIANE VAN BUREN | ACCIBPPACB01X | 7 | LARS URICHSEN | ACCIBPPACB02X | 7 | FOTRXNCIBPPACB0010 | | | |
| | | | 25,000 | SALLY FIELD | ACCIBFRGACTC802X | 5 | KYLE BACCUS | ACCIBFRGACTC805X | 7 | FOTRXNCIBFRGACTC80010 | | | |
| | | | 12,500 | PETER PARKS | ACCIBFRGACTAC02X | 5 | JACKIE RUSH | ACCIBFRGACTAC001 | 8 | FOTRXNCIBFRGACTAC0011 | | | |
| | | | 12,500 | SAKKA KHAN | ACCIBHRGACTAC02X | 3 | KELLY MOSEY | ACCIBHRGACTAC001 | 6 | FOTRXNCIBHRGACTAC0011 | | | |
| | | | 12,500 | WILLIAM BACKSTREET | ACCIBPAAAC01X | 7 | BROOKE FEDERSAN | ACCIBPAAAC001 | 7 | FOTRXNCIBPAAAC0011 | | | |
| 11/10/2015 12:00:00 AM | DLY | EFT-FEDWIRE | 25,000 | FRANCIS SCOTT | ACCIBPAACB01X | 7 | CARL FREDICKERSON | ACCIBPAACB03X | 7 | FOTRXNCIBPAACB0011 | | | |
| | | | 25,000 | LORRIANE VAN BUREN | ACCIBPPACB01X | 7 | LARS URICHSEN | ACCIBPPACB02X | 7 | FOTRXNCIBPPACB0011 | | | |
| | | | 25,000 | SALLY FIELD | ACCIBFRGACTC802X | 5 | HAROLD BACCUS | ACCIBFRGACTC806X | 7 | FOTRXNCIBFRGACTC80011 | | | |
| | | | 12,500 | PETER PARKS | ACCIBFRGACTAC02X | 5 | JACKIE RUSH | ACCIBFRGACTAC001 | 8 | FOTRXNCIBFRGACTAC0012 | | | |

Figure 86: Figure 88: Statement View - Wire Transactions Report

4.2.1.12.3.4 MI Transactions

The MI Transactions section lists all MI transactions in the events selected.

Figure 87: Statement View - MI Transactions

| Statement View | | | | | | | | | | | | |
|------------------------|------------------------|--------------------|--------|----------------|-----------|------------|-----------------------|------|-------------------|----------------------|------|--------------------|
| MI Transaction | | | | | | | | | | | | |
| Post Date | Issue Date | Type | Source | Serial/Check # | Amount | Name | Account ID | Risk | Name | Account ID | Risk | Foreign Check Flag |
| 11/3/2015 12:00:00 AM | 11/3/2015 12:00:00 AM | CASH-EQ-CERT-CHECK | DLY | | 6,250 | JACK BAUER | ACCIBPUSAC01X-034 | 7 | SHANE TELLER | ACCIBPUSAC001 | 9 | N |
| 11/10/2015 12:00:00 AM | 11/10/2015 12:00:00 AM | CASH-EQ-CERT-CHECK | DLY | | 6,250 | JACK BAUER | ACCIBPUSAC01X | 7 | SHANE TELLER | ACCIBPUSAC001 | 9 | N |
| 11/23/2015 12:00:00 AM | 11/23/2015 12:00:00 AM | CHECK | DLY | | 4,500 | ANTHONY | EXMLTERRORFIN-023 | 0 | HBEEB UL BASHAR | ACMLTERRORFINFAC-006 | 9 | N |
| | | | | | 4,500 | GUNJAN | EXMLTERRORFIN-021 | 0 | ABU SALEM | ACMLTERRORFINFAC-003 | 9 | N |
| | | | | | 5,000 | EASTMAN | EXMLTERRORFIN-101 | 0 | MARK HACKMAN | ACMLTERRORFINFAC-008 | 9 | N |
| | | | | | 5,000 | EDAWARD | EXMLTERRORFIN-102 | 0 | MATT HARDY | ACMLTERRORFINFAC-009 | 9 | N |
| | | | | | 5,000 | PATRIC | EXMLTERRORFIN-011 | 0 | OSAMA AL JAVAHIRI | ACMLTERRORFINFAC-002 | 9 | N |
| | | | | | 1,500,000 | BEAR-001 | BEAR-001 | 7 | ACDPGCB-4 | ACDPGCB-4 | 6 | N |
| | | CHECK | DLY | | 5,000 | NATHAN | ACDEVPGPRODUTAC-025 | 7 | EXAMPT ACT1 | EXACPEER-001 | 7 | N |
| | | | | | 5,000 | | | 7 | | | 7 | N |
| | | | | | 5,000 | ROMAN | ACDEVPGPRODUTAC-034 | 7 | EXAMPT ACT1 | EXACPEER-001 | 7 | N |
| | | | | | 5,999 | KIRAN | XXACDEVPGPRODUTAC-040 | 7 | EXAMPT ACT1 | EXACPEER-001 | 7 | N |
| | | | | | 10,000 | HANRY | ACDEVPGPRODUTAC-037 | 7 | EXAMPT ACT1 | EXACPEER-001 | 7 | N |
| | | | | | 16,000 | KARAN | ACDEVPGPRODUTAC-040 | 7 | EXAMPT ACT1 | EXACPEER-001 | 7 | N |
| 11/24/2015 12:00:00 AM | 11/24/2015 12:00:00 AM | CHECK | DLY | | 4,500 | ANTHONY | EXMLTERRORFIN-023 | 7 | HBEEB UL BASHAR | ACMLTERRORFINFAC-006 | 9 | N |

4.2.1.12.3.5 Back Office Transactions

The Back Office Transactions section lists all back office transactions in the events selected.

Figure 88: Statement View - Back Office Transactions

| Statement View | | | | | | | | | | | | |
|-------------------------|-----------|---------------------------|------|--------------|-------------|---------------|-----------------|---------|----------------------------|---------------------------|------|--|
| BOTransaction_Report2 | | | | | | | | | | | | |
| Back office transaction | | | | | | | | | | Accounts | | |
| Date | Time | ID | Risk | Debit/Credit | Base Amount | Report Amount | Report Currency | Type | Transaction Reference ID | ID | Risk | |
| 11/1/2015 12:00:00 AM | 051210000 | ACOFFSETBANK-001 | 6 | Credit | 12,500 | 12,500 | IDR | EST | BOTRXNCIBFRGACTAC0009 | ACCIBFRGACTAC001 | 8 | |
| | | | 6 | | 12,500 | 12,500 | | | BOTRXNCIBHRGACTAC0009 | ACCIBHRGACTAC001 | 6 | |
| | | | 6 | | 12,500 | 12,500 | | | BOTRXNCIBPAAAC0009 | ACCIBPAAAC001 | 7 | |
| 11/2/2015 12:00:00 AM | 100001000 | ACOFFSETBANK-001 | 6 | Credit | 12,500 | 12,500 | IDR | EST | BOTRXNCIBFRGACTAC0010 | ACCIBFRGACTAC001 | 8 | |
| | | | 6 | | 12,500 | 12,500 | | | BOTRXNCIBHRGACTAC0010 | ACCIBHRGACTAC001 | 6 | |
| | | | 6 | | 12,500 | 12,500 | | | BOTRXNCIBPAAAC0010 | ACCIBPAAAC001 | 7 | |
| 11/3/2015 12:00:00 AM | 110032000 | ACOFFSETBANK-001 | 6 | Credit | 12,500 | 12,500 | IDR | EST | BOTRXNCIBFRGACTAC0011 | ACCIBFRGACTAC001 | 8 | |
| | | | 6 | | 12,500 | 12,500 | | | BOTRXNCIBHRGACTAC0011 | ACCIBHRGACTAC001 | 6 | |
| | | | 6 | | 12,500 | 12,500 | | | BOTRXNCIBPAAAC0011 | ACCIBPAAAC001 | 7 | |
| 11/10/2015 12:00:00 AM | 123401000 | ACOFFSETBANK-001 | 6 | Credit | 12,500 | 12,500 | IDR | EST | BOTRXNCIBFRGACTAC0012 | ACCIBFRGACTAC001 | 8 | |
| | | | 6 | | 12,500 | 12,500 | | | BOTRXNCIBHRGACTAC0012 | ACCIBHRGACTAC001 | 6 | |
| | | | 6 | | 12,500 | 12,500 | | | BOTRXNCIBPAAAC0012 | ACCIBPAAAC001 | 7 | |
| 11/23/2015 12:00:00 AM | 080000000 | OFEMPTANSBELOWLIMITAC-002 | 0 | Credit | 1,000 | | | | BOEMPTANSBELOWLIMITAC-010F | ACEMPTANSBELOWLIMITAC-003 | 5 | |
| | 100000000 | OFEMPTANSBELOWLIMITEE-001 | 0 | Credit | 1,000 | | | | BOEMPTANSBELOWLIMITEE-1001 | ACEMPTANSBELOWLIMITEE-011 | 5 | |
| | 104401000 | OFFACDPGTOTACTAC-005 | 4 | Credit | 22,000 | 22,000 | IDR | JOURNAL | BOTRXNACDPGTOTACTAC-047 | ACDPGTOTACTAC-020 | 7 | |
| | 110001000 | ACDPGTOTACTAC-0037 | 5 | Debit | 14,000 | 14,000 | IDR | JOURNAL | BOTRXNACDPGTOTACTAC-072A1 | OFFACDPGTOTACTAC-010 | 4 | |
| | | ACDPGTOTACTAC-035 | 3 | Debit | 140,000 | 140,000 | IDR | JOURNAL | BOTRXNACDPGTOTACTAC-0701 | OFFACDPGTOTACTAC-010 | 4 | |
| | | ACDPGTOTACTAC-036 | 5 | Debit | 23,000 | 23,000 | IDR | JOURNAL | BOTRXNACDPGTOTACTAC-0711 | OFFACDPGTOTACTAC-010 | 4 | |
| | | ACDPGTOTACTAC-037 | 5 | Debit | 17,000 | 17,000 | IDR | JOURNAL | BOTRXNACDPGTOTACTAC-0721 | OFFACDPGTOTACTAC-010 | 4 | |
| | 110030000 | ACDEVPGPRODUTAC-025 | 7 | Credit | 15,000 | 15,000 | IDR | JOURNAL | BOTDEVPGPRODUTAC-4031 | OFSETACPGPROD-001 | 5 | |
| | | ACDEVPGPRODUTAC-026 | 5 | Credit | 5,000 | 5,000 | IDR | JOURNAL | BOTDEVPGPRODUTAC-4032 | OFSETACPGPROD-001 | 5 | |

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