Oracle Financial Services FCCM Analytics

User Guide

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ORACLE
Financial Services

OFS FCCM Analytics User Guide

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Document Control

Table 1: Document Control

Version Number	Revision Date	Change Log
8.1.2.6.0	October 2023	There are no updates to this guide in this release.
8.1.2.5.0	June 2023	There are no updates to this guide in this release.
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.

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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
Italics	• Names of books as references • Emphasis • Substitute input values
Bold	• Menu names, field names, options, button names • Commands typed at a prompt • User input
`Monospace`	• 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 providesthe intranet address uniform resource locator (URL).

To access the FCCM Analytics reports, follow these steps:

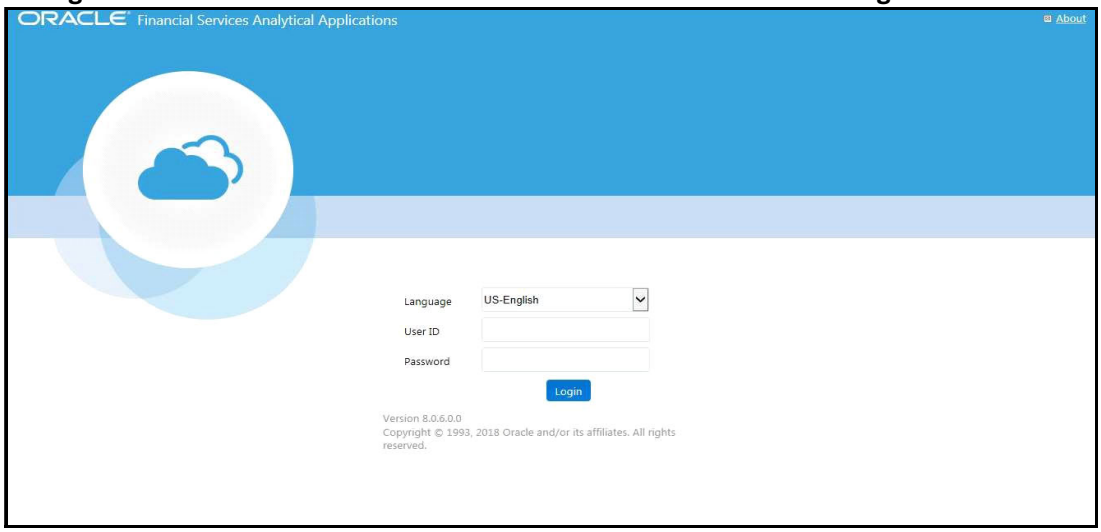
1. Enter the OFSAA URL in your browser using the following format:

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

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

The OFSAA Login page is displayed.

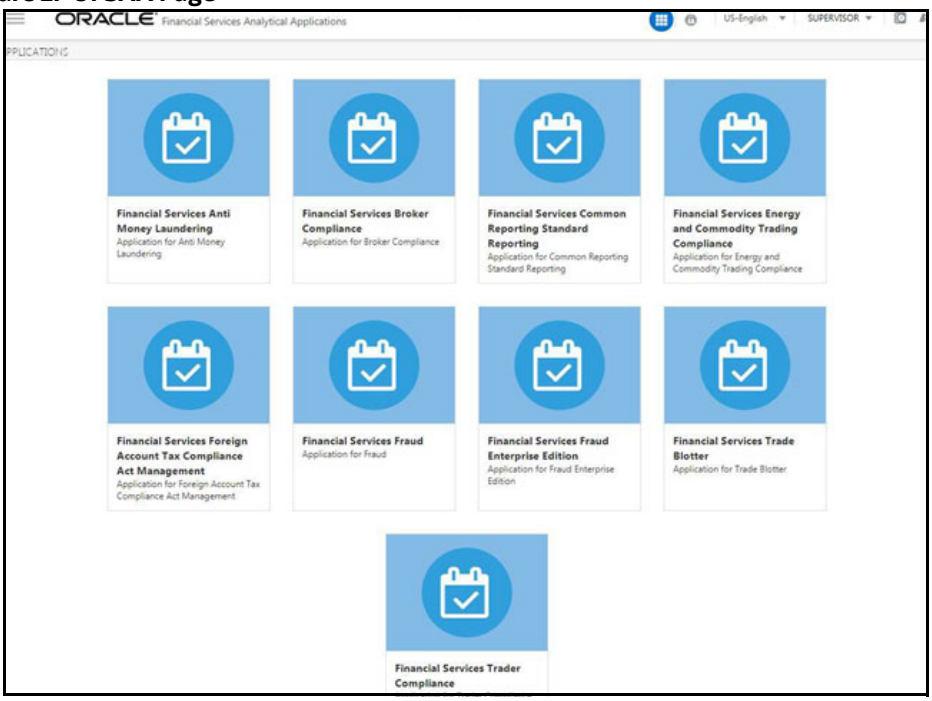
Figure 1: OFSBD Architecture—Behavior Detection Framework Processing



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

The Oracle Financial Services Analytical Applications page is displayed.

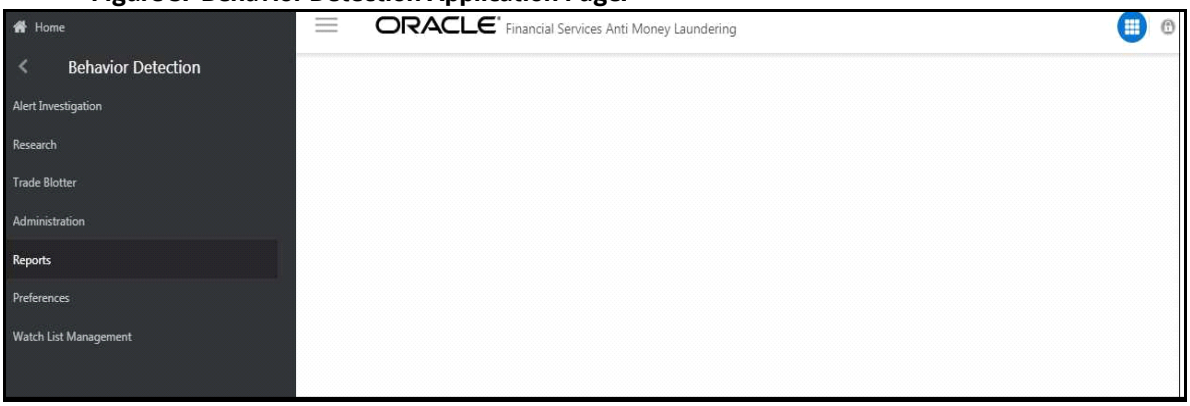
Figure 2: OFSAA Page



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.

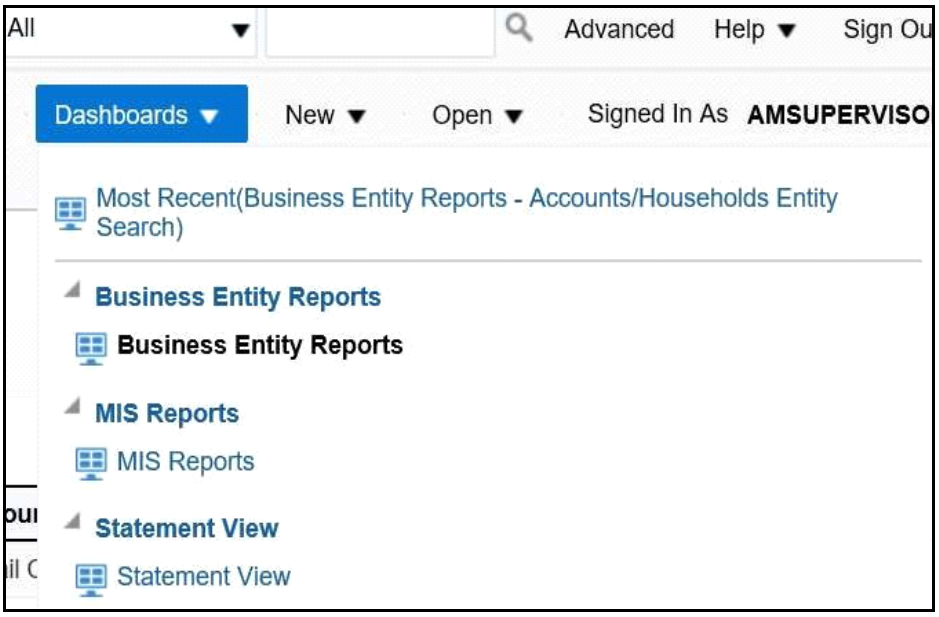
6. Click the **Dashboards** tab on the top-right corner and click the desired dashboards to view the related reports.

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

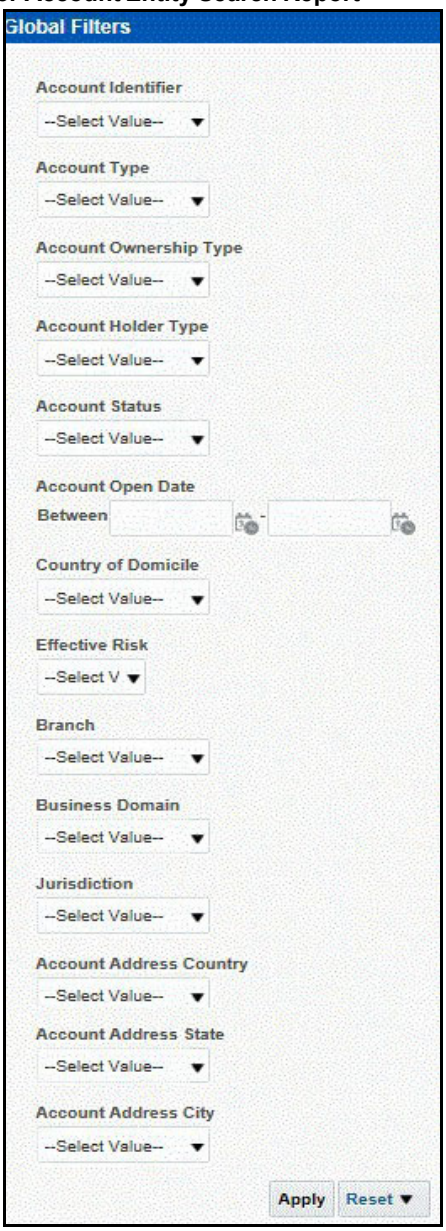
The following features are common to many of the FCCM Analytics reports:

- 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

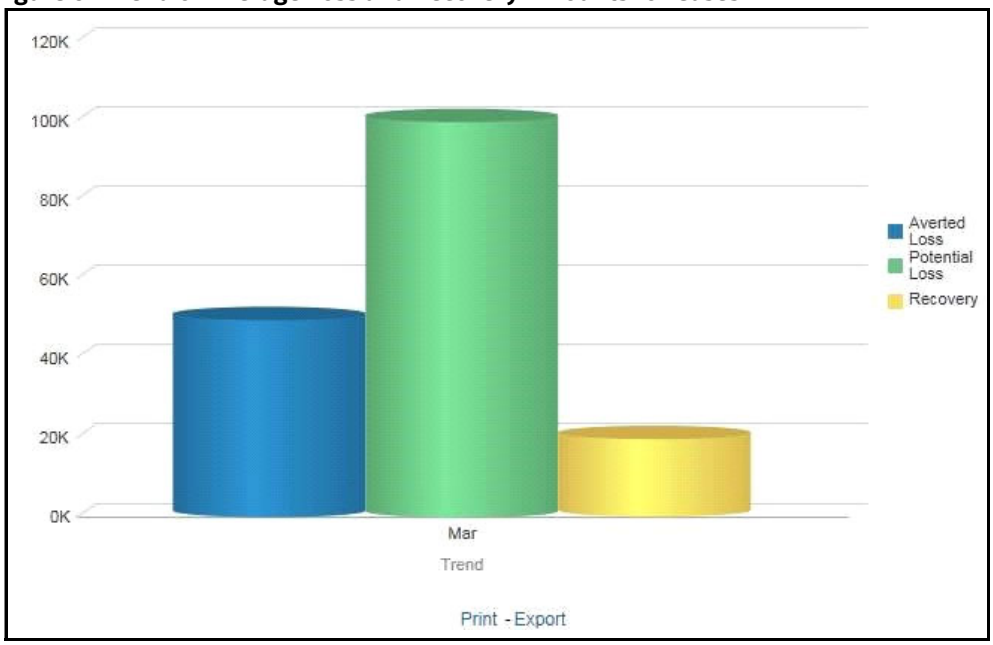
Field	Description
Account Open Date	Enter the account open date using the calendar. This is the date on which the account is opened.
Country of Domicile	Select the permanent legal residence country from the drop-down
Effective Risk	Select the effective risk. This is the level of risk associated with 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

MIS 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, Power-point, 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	AC24376TUOCQDA-1	Savings	Retail Customer	RBK	Individual	Individual	Active	12/31/2014	12/31/2014	12/10/2015	REMO2 FARNADIS15	
24376	AC24376UCARABDA-1	Savings	Retail Customer	RBK	Individual	Individual	Active	12/31/2014	12/31/2014	12/10/2015	REMO2 FARNADIS15	
24376	AC24376UCHCUSDA-1	Savings	Retail Customer	RBK	Individual	Individual	Active	12/31/2014	12/31/2014	12/10/2015	REMO2 FARNADIS15	
24376	AC24376UOCEMDA-1	Savings	Retail Customer	RBK	Individual	Individual	Active	12/31/2014	12/31/2014	12/10/2015	REMO2 FARNADIS15	
24376	AC24376UPAVABDA-1	Savings	Retail Customer	RBK	Individual	Individual	Active	12/31/2014	12/31/2014	12/10/2015	REMO2 FARNADIS15	
AABAHARANA	ACBSACTRCD002	Savings	Retail Customer	RBK		Individual	Active		12/31/2014	12/10/2015	LIN DAN	
AABHA	ACBSACTRCD001	Savings	Retail Customer	RBR		Individual	Active		12/31/2014	12/10/2015	LEE CHONG WEI	
AADESH J PANDAV	ACTRMISMTHH-110	Investment	Investment Advisor	RBR	Individual	Individual	Active	12/31/2014	12/31/2014	12/10/2015	REMO2 FARNADIS15	HHTRMISMTHH-110
AADESH J PANDAV	ACUNOPUTSCHLDAC-002	Investment	Investment Advisor	RBR	Individual	Individual	Active	12/31/2014	12/31/2014	12/10/2015	REMO2 FARNADIS15	
AADESH KHAN J PANDAV	ACTRMISMTHH-001	Investment	Investment Advisor	RBR	Individual	Individual	Active	12/31/2014	12/31/2014	12/10/2015	REMO2 FARNADIS15	HHTRMISMTHH-001
AADI	XXXACHGHCLNTTOAC-008	Savings	Retail Customer	RBK	Individual	Individual	Active	9/12/2015	9/12/2015	12/1/2015	REMO2 FARNADIS15	
AADITYA	XXXACHGHCLNTTOAC-009	Savings	Retail Customer	RBK	Individual	Individual	Closed	8/26/2015	8/26/2015	11/30/2015	REMO2 FARNADIS15	
AADYA	AC-UNSUITTRNS-DLY-02	Savings	Retail Customer	RBK	Individual	Individual	Active	12/1/2015	12/1/2015	12/10/2015	AADYA	
AADYA	XXAC-UNSUITTRNS-DLY-02	Savings	Retail Customer	RBK	Individual	Individual	Active	12/1/2015	12/1/2015	12/10/2015	XXAADYA	
AADYOT	AC-UNSUITTRNS-DLY-03	Investment	Retail Customer	RBR	Individual	Individual	Active	12/1/2015	12/1/2015	12/10/2015	AADYOT	
AADYOT	XXAC-UNSUITTRNS-DLY-03	Investment	Clearing Organization	RBR	Individual	Individual	Active	12/1/2015	12/1/2015	12/10/2015	XXAADYOT	
AAMIR	ACBSACTRCD012	Savings	Retail Customer	RBK		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-901	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	HHFREQALRTIPE-009
AARTI	ACBSACTRCD006		Retail Customer	RBK		Individual	Active		12/31/2014	12/10/2015	TAN	
AARUSH	ACBSACTRCD005	Savings	Retail Customer	RBK		Individual	Active		12/31/2014	12/10/2015	FU HIFUNG	
AARZOO	ACBSACTRCD010	Savings	Retail Customer	RBK		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 Ci
'ABD AL-MALIK MOHAMMAD YUSIF 'ABD-AL-SALAM	CTBCB-643	Individual	Retail Banking	Active		0		
'ABD AL-MALIK MUHAMMAD YUSIF 'ABD-AL-SALAM	CTBCA-486	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 Mutib Naif Al-Mutayri	9ee82eeccc1a4662a429bbdd035efbf4	Individual	Retail Banking	Active		0	7/1/1973	
'Abd Almalik Muhammad Yusuf 'Abd-Al-Salam	891e470db4944b859e109e6aec58ebbd	Individual	Retail Banking	Active		0	7/13/1989	
'Abd Zabin Mutib Naif Al-Mutayri	a4e8823c89bf4614b3adbffabf5bad11	Individual	Retail Banking	Active		0	7/1/1973	
'Ali Abu Hasan Al-Yami	75392d76b11f4c70a93acd2b035a8691	Individual	Retail Banking	Active		0	1/14/1979	
'Ali Hasan Al-Yami	9fa6718b9622417d84614cce437dd119	Individual	Retail Banking	Active		0	1/14/1979	
'Hackers Brain	2245c6af8ca34d61891d16d3dc27bc0f	Individual	Retail Banking	Active		0	1/1/1983	
'Isam Amhaz	923e5b5fc682487b90dd3d0b83805825	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 KIRISHIAVTOSERVIS	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	Custo
780001	30-JAN-15 131201000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-064		AYERTON SENNA	Buy
790001	27-FEB-15 130101000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-063		AYERTON SENNA	Buy
840001	31-MAR-15 114501000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-062		AYERTON SENNA	Buy
870001	30-APR-15 113101000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-061		AYERTON SENNA	Buy
870002	30-APR-15 143801000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-054		ALAIN PROST	Buy
900001	29-MAY-15 090500000 -05:00	SECDAYTRDLOSSHH-01	DTLHH01	Equity	1000.00	10.25	1.00		TRDDAYTRDLOSHH-09	PREET PRAKASH C	Mancrea	Sell
900002	29-MAY-15 102501000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-060		AYERTON SENNA	Buy
900003	29-MAY-15 090500000 -05:00	SECDAYTRDLOSSHH-02	DTLHH02	Equity	1000.00	10.27	1.00		TRDDAYTRDLOSHH-01	MURUGAN SINGH B	JOHNSON	Sell
900004	29-MAY-15 132702000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-053		ALAIN PROST	Buy
900005	29-MAY-15 100500000 -05:00	SECDAYTRDLOSSHH-01	DTLHH01	Equity	1000.00	50.00	1.00		TRDDAYTRDLOSHH-10	PREET PRAKASH C	Mancrea	Buy
900006	29-MAY-15 100500000 -05:00	SECDAYTRDLOSSHH-02	DTLHH02	Equity	1000.00	100.00	1.00		TRDDAYTRDLOSHH-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			XXXTEMULFUNDFAMPURHH-071		JACK VILLEVENUVE	Buy
930001	30-JUN-15 101001000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-059		AYERTON SENNA	Buy
930002	30-JUN-15 132402000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-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			XXXTEMULFUNDFAMPURHH-073	MANGAL SINGH HHH	EDDIE ERWINE	Buy
930006	30-JUN-15 134505000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-070		JACK VILLEVENUVE	Buy
960001	31-JUL-15 091500000 -05:00	SECDAYTRDLOSSHH-01	DTLHH01	Equity	400.00	10.17	1.00		TRDDAYTRDLOSHH-11	PREET PRAKASH C	Mancrea	Sell
960002	31-JUL-15 091500000 -05:00	SECDAYTRDLOSSHH-02	DTLHH02	Equity	400.00	15.27	1.00		TRDDAYTRDLOSHH-03	MURUGAN SINGH B	JOHNSON	Sell
960003	31-JUL-15 101500000 -05:00	SECDAYTRDLOSSHH-02	DTLHH02	Equity	400.00	150.00	1.00		TRDDAYTRDLOSHH-04	MURUGAN SINGH B	JOHNSON	Buy
960004	31-JUL-15 101500000 -05:00	SECDAYTRDLOSSHH-01	DTLHH01	Equity	400.00	300.00	1.00		TRDDAYTRDLOSHH-12	PREET PRAKASH C	Mancrea	Buy
960005	31-JUL-15 113001000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTEMULFUNDFAMPURHH-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-013	Swap	Buy	300	Market	10.00	CUTRAHMTREVEE-008 EE
CDSORTRAHMTREVEE-012	23-NOV-15 140000000 -05:00		23-NOV-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	300	Market	10.00	CUTRAHMTREVEE-008 EE
CDSORTRAHMTREVEE-013	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-003	Swap	Buy	500	Market	10.00	CUTRAHMTREVEE-008 EE
CDSORTRAHMTREVEE-032	23-NOV-15 140000000 -05:00		23-NOV-15 142800000 -05:00	CDSSCTRAHMTREVEE-003	Swap	Buy	500	Market	10.00	CUTRAHMTREVEE-008 EE
CDSORTRAHMTREVEE-033	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-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	CDSSCTRAHMTREVEE-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
AFFINITY	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

	Account		Offset Account							
Date	ID	Risk	ID	Risk	Debit/Credit	Base Amount	Report Amount	Type	Transaction Reference ID	Unrelated Party Code
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

Analyze - Refresh - Print - Export

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

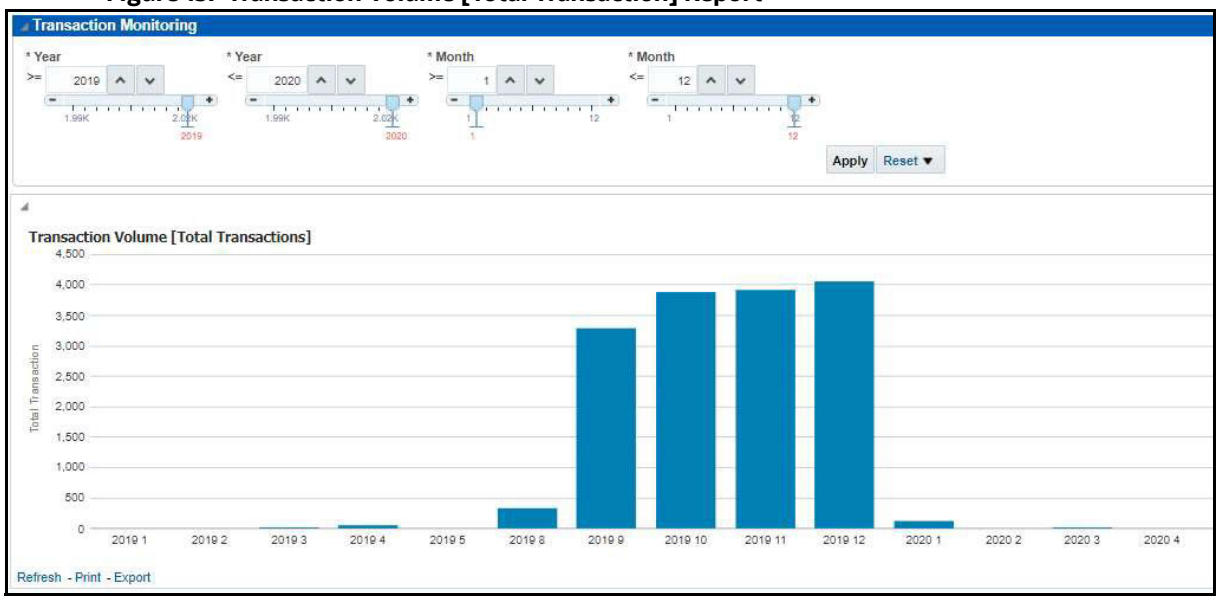


Figure 16: Transaction Volume [Cash Transaction] Report

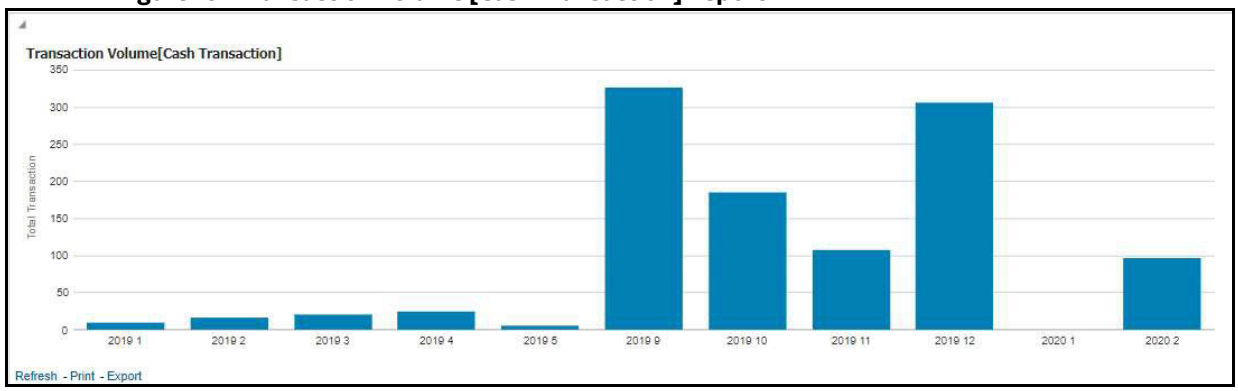


Figure 17: Transaction Volume [MI Transaction] Report

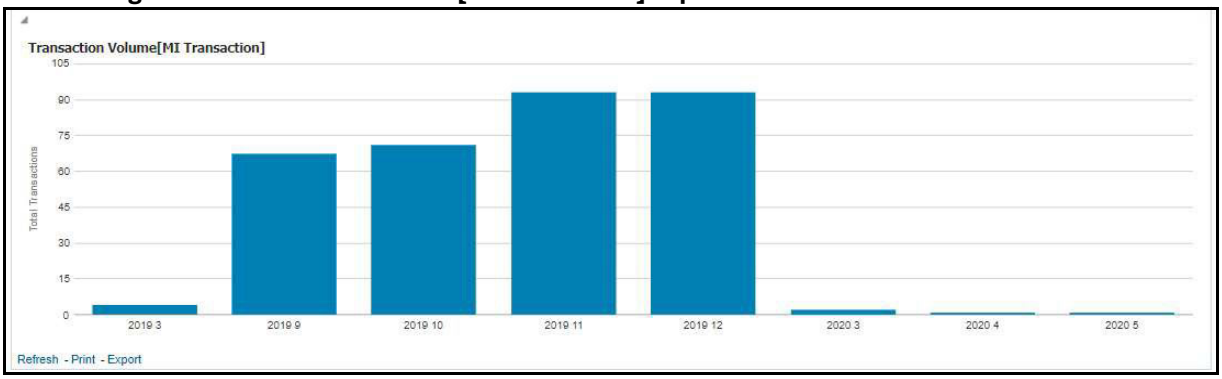
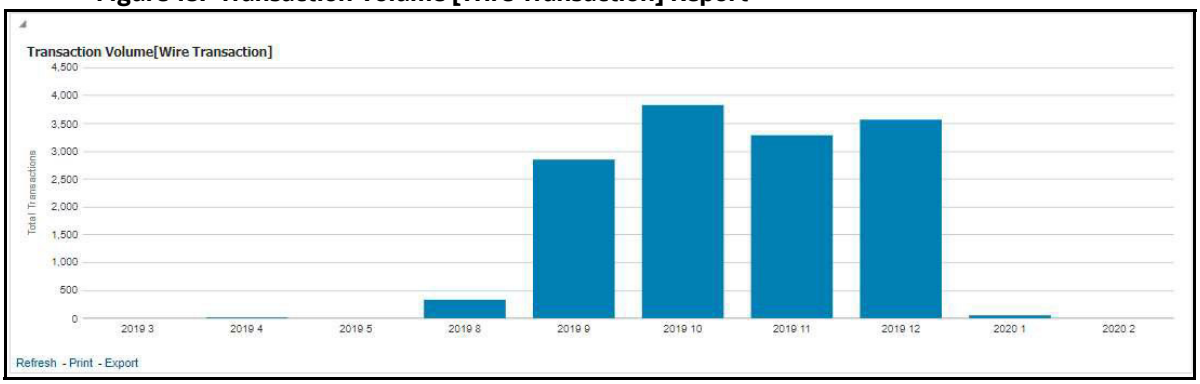


Figure 18: Transaction Volume [Wire Transaction] Report



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

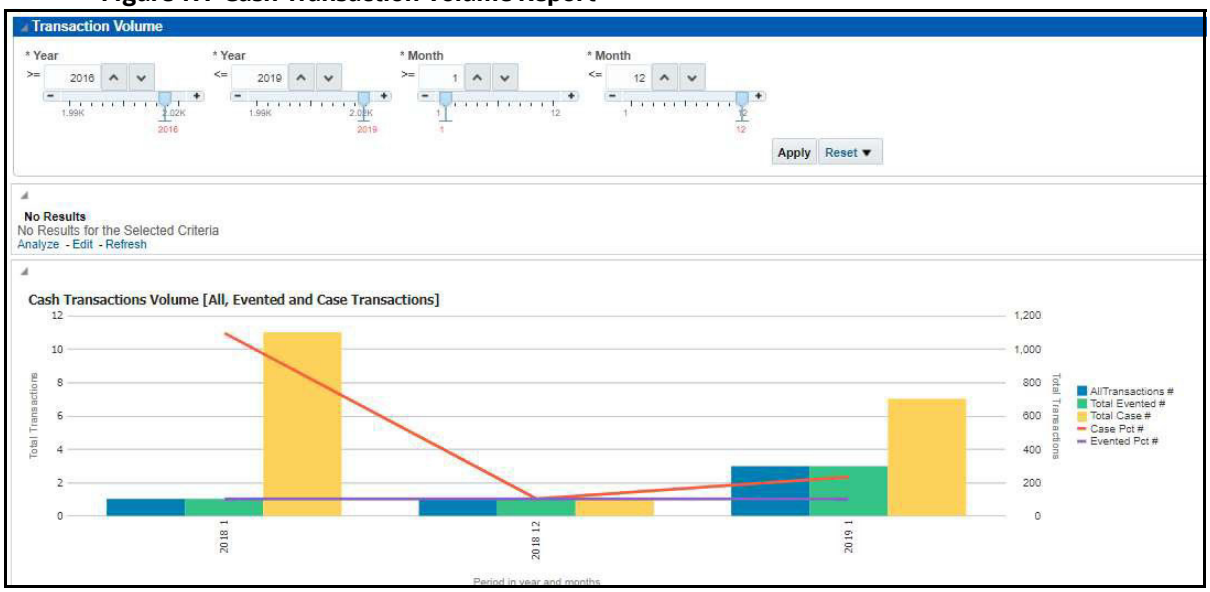
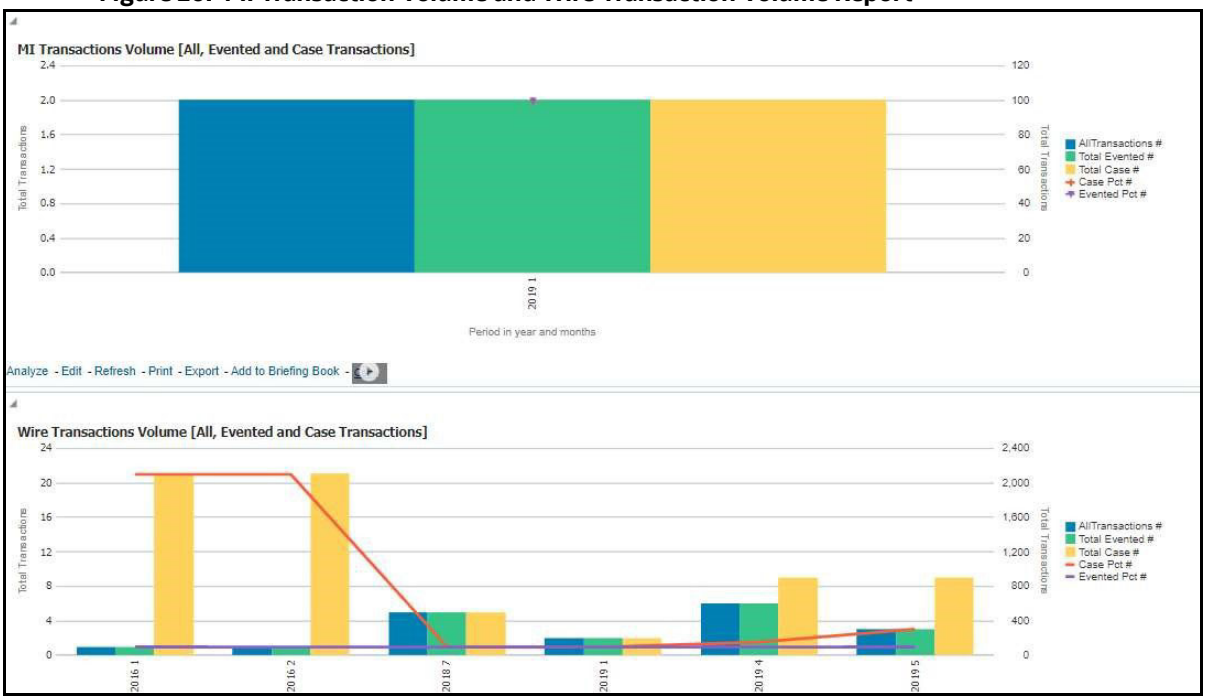


Figure 20: MI Transaction Volume and Wire Transaction Volume Report



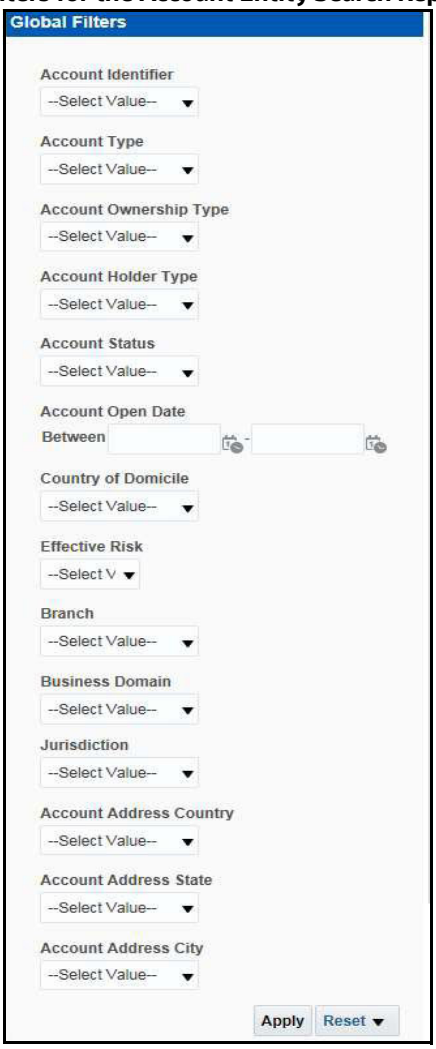
4.1.2 Running an Individual Business Entity Report

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 BusinessType	Registration	Account Ownership Type	Account Status	Account Status Date	Open Date	Date of Last Activity	Primarty Account Holder	Household Group Name	Business
24376	AC24376TUOCQDA-1		Retail Customer	RBK	Individual	Individual	Active	12/31/2008	12/31/2008	12/10/2009			
24376	AC24376UCARABDA-1		Retail Customer	RBK	Individual	Individual	Active	12/31/2008	12/31/2008	12/10/2009			
24376	AC24376UCHCUSDA-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			
AABAHARANA	ACBSACTRCD-002		Retail Customer	RBK		Individual	Active		12/31/2008	12/10/2009	LIN DAN		
AABHA	ACBSACTRCD-001		Retail Customer	RBR		Individual	Active		12/31/2008	12/10/2009	LEE CHONG WEI		
AADESH J PANDAV	ACTRMISMTHH-110		Investment Advisor	RBR	Individual	Individual	Active	12/31/2008	12/31/2008	12/10/2009		HHTRMISMTHH-110	
AADESH J PANDAV	ACUNOPUTSCHLDAC-002		Investment Advisor	RBR	Individual	Individual	Active	12/31/2008	12/31/2008	12/10/2009			
AADESH KHAN J PANDAV	ACTRMISMTHH-001		Investment Advisor	RBR	Individual	Individual	Active	12/31/2008	12/31/2008	12/10/2009		HHTRMISMTHH-001	
AADI	XXXACHGHCLNTTOAC-008		Retail Customer	RBK	Individual	Individual	Active	9/12/2009	9/12/2009	12/1/2009			
AADITYA	XXXACHGHCLNTTOAC-009		Retail Customer	RBK	Individual	Individual	Closed	8/26/2009	8/26/2009	11/30/2009			
AADYA	AC-UNSUITTRNS-DLY-02		Retail Customer	RBK	Individual	Individual	Active	12/1/2009	12/1/2009	12/10/2009	AADYA		
AADYA	XXAC-UNSUITTRNS-DLY-02		Retail Customer	RBK	Individual	Individual	Active	12/1/2009	12/1/2009	12/10/2009	XXAADYA		
AADYOT	AC-UNSUITTRNS-DLY-03		Retail Customer	RBR	Individual	Individual	Active	12/1/2009	12/1/2009	12/10/2009	AADYOT		
AADYOT	XXAC-UNSUITTRNS-DLY-03		Clearing Organization	RBR	Individual	Individual	Active	12/1/2009	12/1/2009	12/10/2009	XXAADYOT		
AAMIR	ACBSACTRCD-012		Retail Customer	RBK		Individual	Active		12/31/2008	12/10/2009	COMENECCI		
AAREN	ACNQPASRRR-019		Employee / Family	RBR	Individual	Individual	Active	9/12/2009	12/8/2009	12/10/2009	UNDERTAKER	SAMPLE	OGSAMPL
AARON	ACTRAGLSTOG-901		Retail Customer	RBR	Individual	Individual	Active	6/1/2008	6/1/2008	12/10/2009	JAMES J AARON		TRAGLSTI
AARTI	ACBSACTRCD-006		Retail Customer	RBK		Individual	Active		12/31/2008	12/10/2009	TAN		
AARUSH	ACBSACTRCD-005		Retail Customer	RBK		Individual	Active		12/31/2008	12/10/2009	FU HIFUNG		
AARZOO	ACBSACTRCD-010		Retail Customer	RBK		Individual	Active		12/31/2008	12/10/2009	PHELPS		
AAYUSH	ACBSACTRCD-007		Retail Customer	RBR		Individual	Active		12/31/2008	12/10/2009	PADUKONE		
ABAEGAYLE	ACNQPASRRR-020		Retail Customer	RBR	Individual	Individual	Active	9/12/2009	12/3/2009	12/10/2009	UNDERTAKER	SAMPLE	OGSAMPL
ABAGAEL	ACNQPASRRR-021		Retail Customer	RBR	Individual	Individual	Active	9/12/2009	11/30/2009	12/10/2009	UNDERTAKER	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.

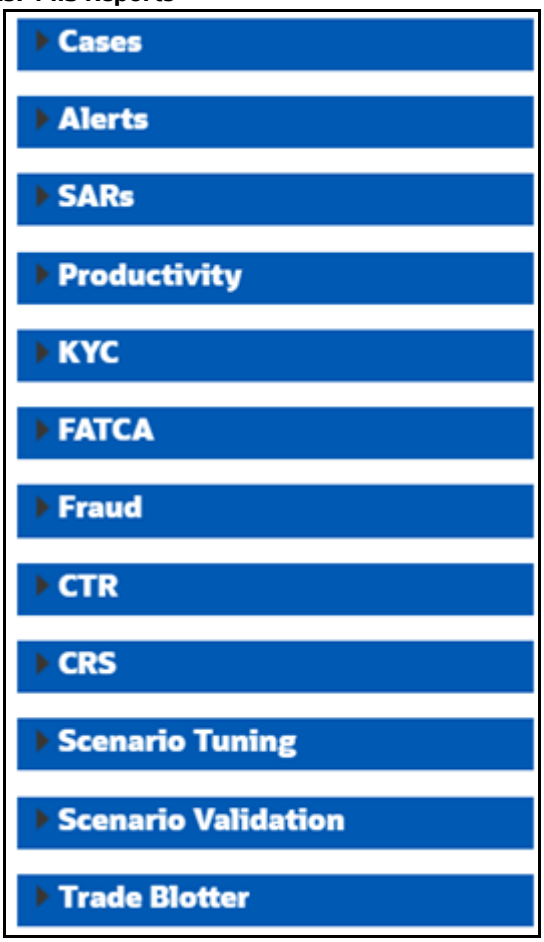
4.2.1 Accessing the MIS Reports

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.

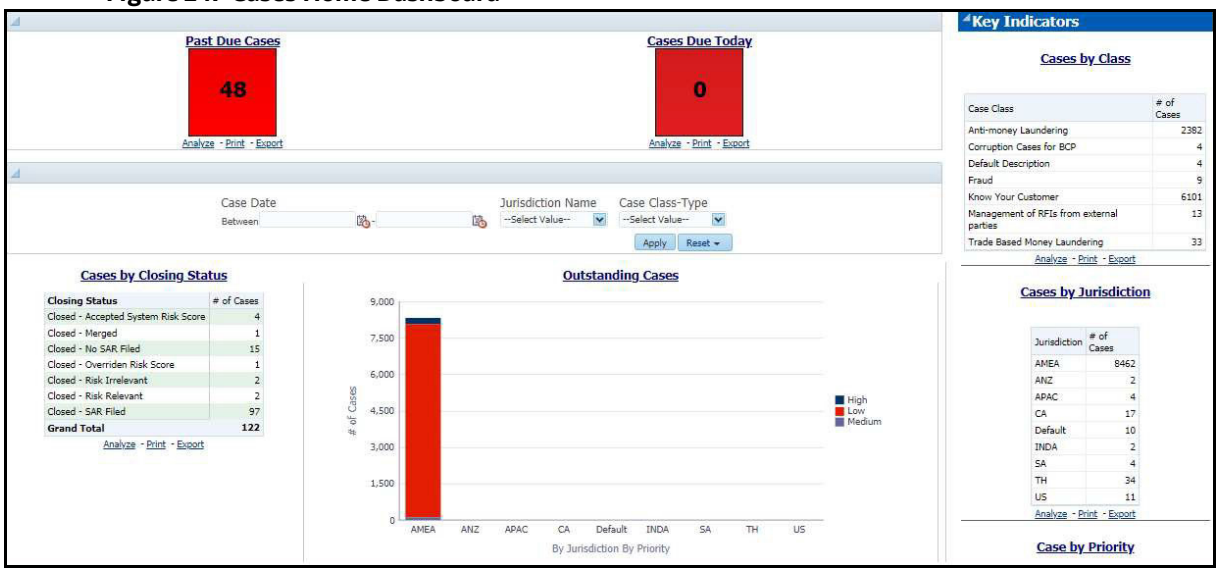
The following Case reports are available:

- 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

Analyze - Print - Export

Scenario Efficiency Report

Alert Generation Date: Between 02/15/2016 - 03/17/2019 | Scenario Class Name: (All Column Values) | Scenario Name: (All Column Values) | Apply | Reset

Scenario Efficiency Report

Alerts			Alert Dispositions					Case Dispositions				Effectiveness 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%

Priority	# of Cases
High	384
Low	8029
Medium	133

Analyze - Print - Export

- **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.

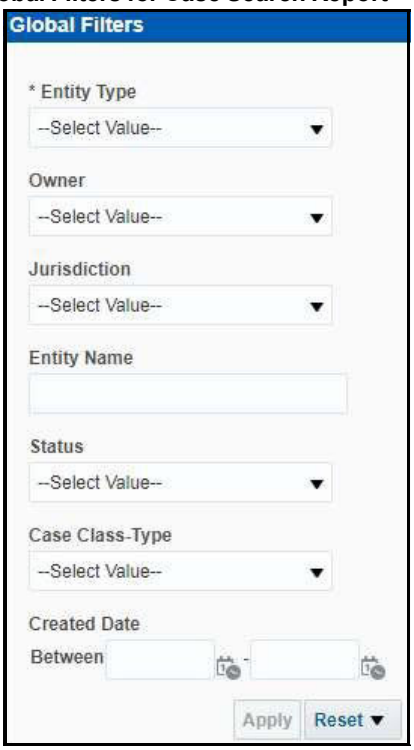
4.2.1.1.2 Case Search

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



5. Enter the following filter details:

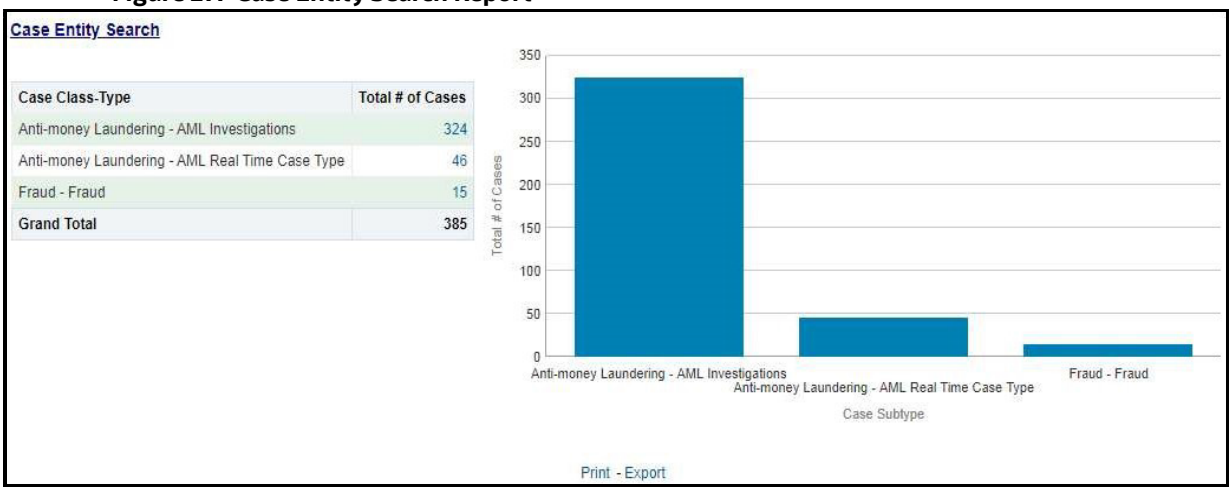
Table 5: Case Search Report Filter Descriptions

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

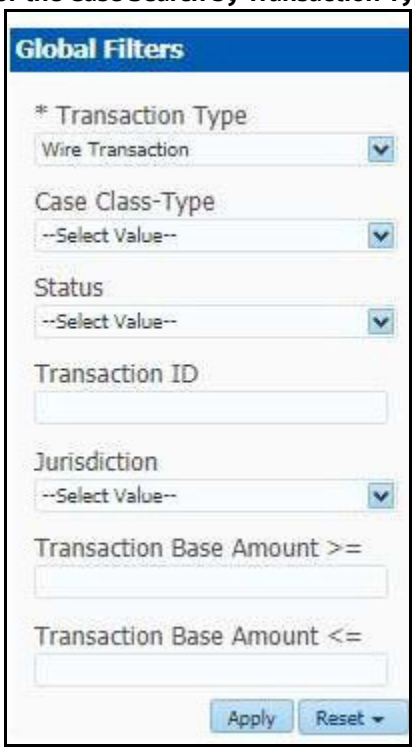
Use this dashboard to view the information related to cases that contain the transaction of interest of the user.

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:

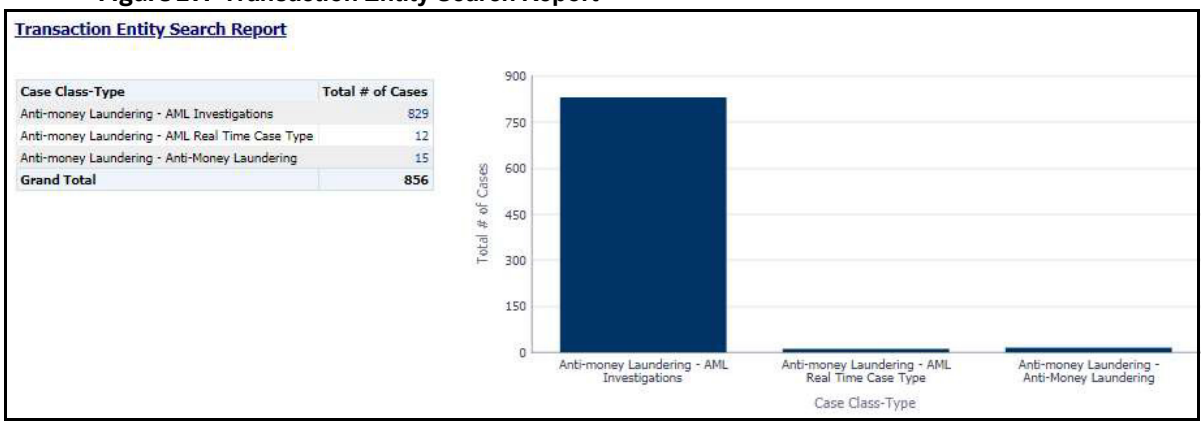
Table 6: Case Search by Transaction Type Report Filter Descriptions

Field	Description
Transaction Type	Select the required transaction type for the cases that you want to view. The available options are: • 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

5. Enter the following filter details:

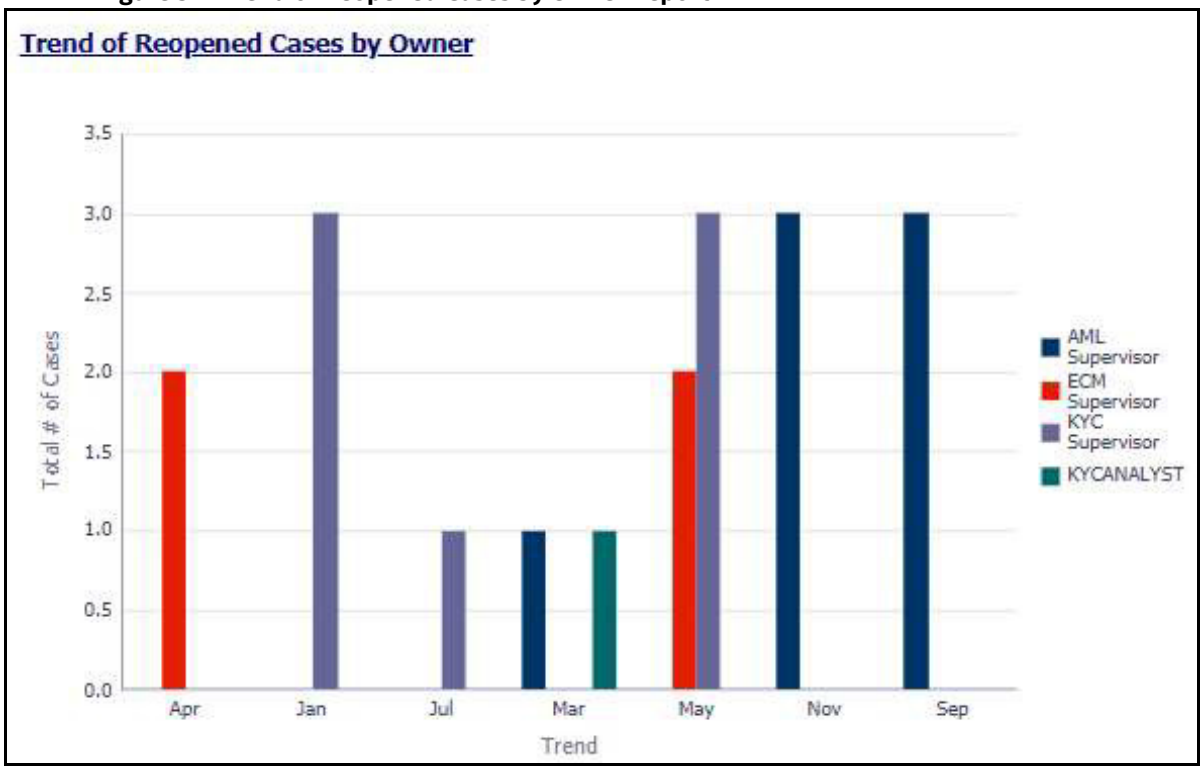
Figure 31: Reopened Cases Report Filter Descriptions

Field	Description
Criteria	Select the criteria based on which the reopened cases are displayed. The available options are: ● 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: ● 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.

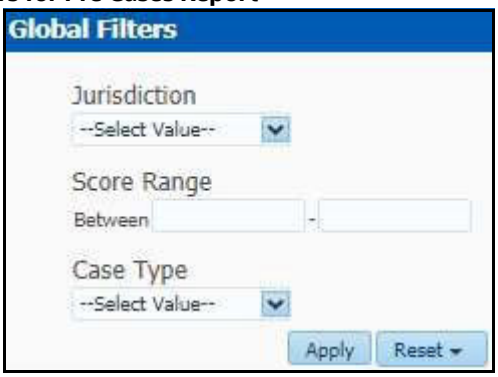
4.2.1.1.5 Pre Cases

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

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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

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_TestTshldset_1	Americas	0	41	
10000	09/11/2015	New	9/11/2015	Cancellation Trend	SYSTEM	Trader	JOE THOMAS GIBBS	TC-CancelTrend_TestTshldset_3	Americas		0	
10001	09/11/2015	New	9/11/2015	Cancellation Trend	SYSTEM	Account	ROSS	TC-CancelTrend_TestTshldset_3	Americas		0	
10002	09/11/2015	New	9/11/2015	Parking (EQT)	SYSTEM	Account	JOHNSON	TC-Parking-dEQT_TestTshldset_1	Americas		0	
10003	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INDUSLOGIC	CST-ShortOptionRisk-dRBPC_TestTshldset_1_116000022	Americas		0	
10004	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	GLOBALLOGIC	CST-ShortOptionRisk-dRBPC_TestTshldset_1_116000022	Americas		0	
10005	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INFOSYS	CST-ShortOptionRisk-dRBPC_TestTshldset_1_116000022	Americas		0	
10006	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	SYSINFO	CST-ShortOptionRisk-dRBPC_TestTshldset_1_116000022	Americas		0	
10007	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INFOSYS	CST-ShortOptionRisk-dRBPC_TestTshldset_1_116000022	Americas		0	
10008	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	HHCSORPCHH-001	CST-ShortOptionRisk-dRBPC_TestTshldset_1_116000022	Americas		0	

4.2.1.2.3 Alerts by Transaction Type

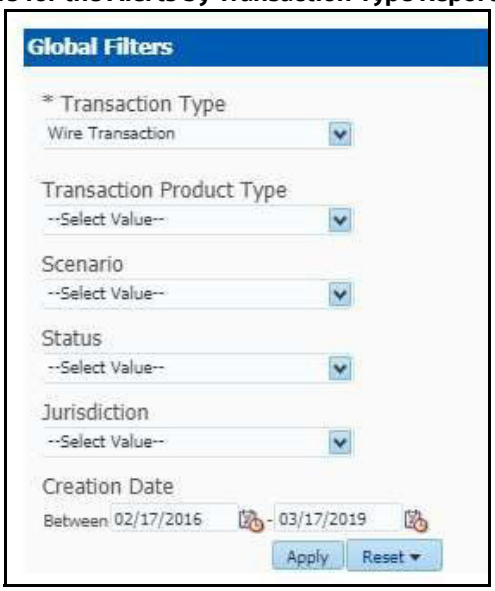
Use this dashboard to view the number of alerts generated for a particular transaction type such as Wire transaction, MI transaction and so on.

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: • 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

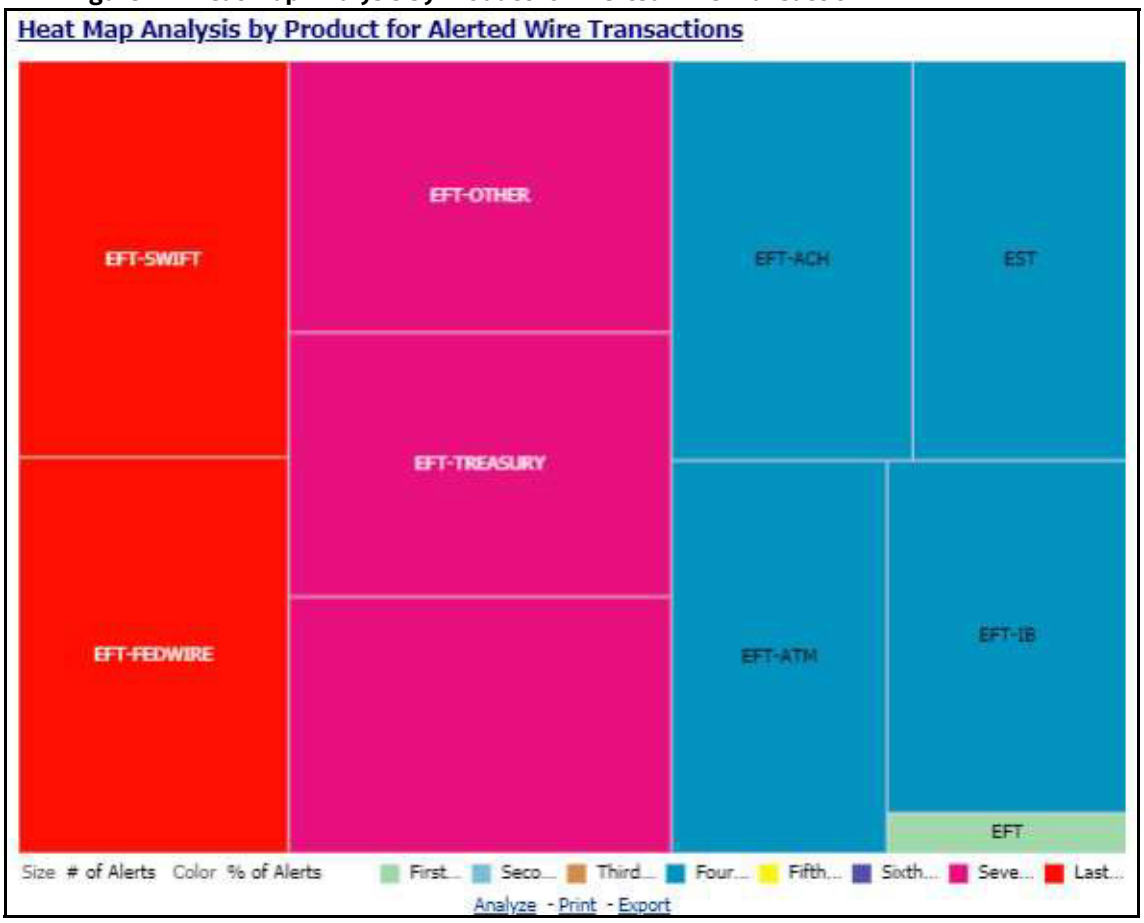
Alert by Product Type based on Wire Transactions

	EFT	EFT-ACH	EFT-ATM	EFT-FEDWIRE	EFT-IB	EFT-OTHER	EFT-SWIFT	EFT-TREASURY	EST	
Scenario Short Name	# 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	3		
CIB - HRG Activity	8			13			13			
CIB - Previous Average Activity	17			17			14			14
CIB - Product Utilization	82	82		82		82	82	82		
DPG - Total Activity				1						
Elect Trans Inv Empl				3		3	3			
Emp FOT Btw Unrltd Accts	4									
External Entity With Mult Addresses		24	24	24	24	24	24	24		24
FTN - Recurring OR/BE		5		5		5	5	5		
FTN AC/CU -Internal		2		2		2	2	2		
FTN CU/EN - External		8		8		8	8	8		
FTN CU/EN - External - FR		7		7		7	7	7		
HR Trans - Focal HRE				45		46	45		32	
HR Trans - HR Counter Party	57	845	788	845	788	857	857	845	845	845
HR Trans - HR Counter Party - FR		788	788	788	788	788	788	788	788	788
HRG Funds Transfers		120	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

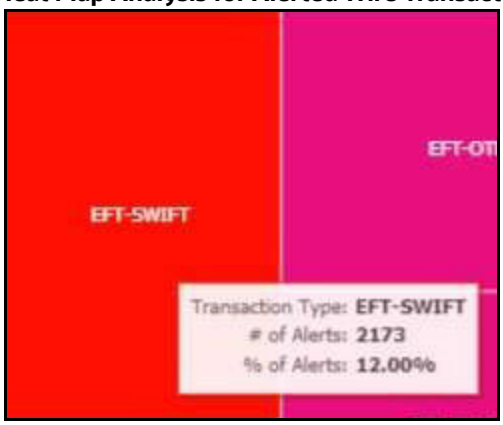


In the above image,

- 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

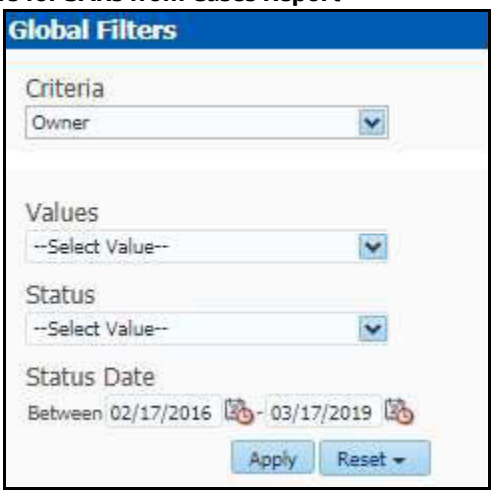
Use this dashboard to view the number of cases by owner for which a Suspicious Activity Report (SARs) has been filed.

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



5. Enter the following filter details:

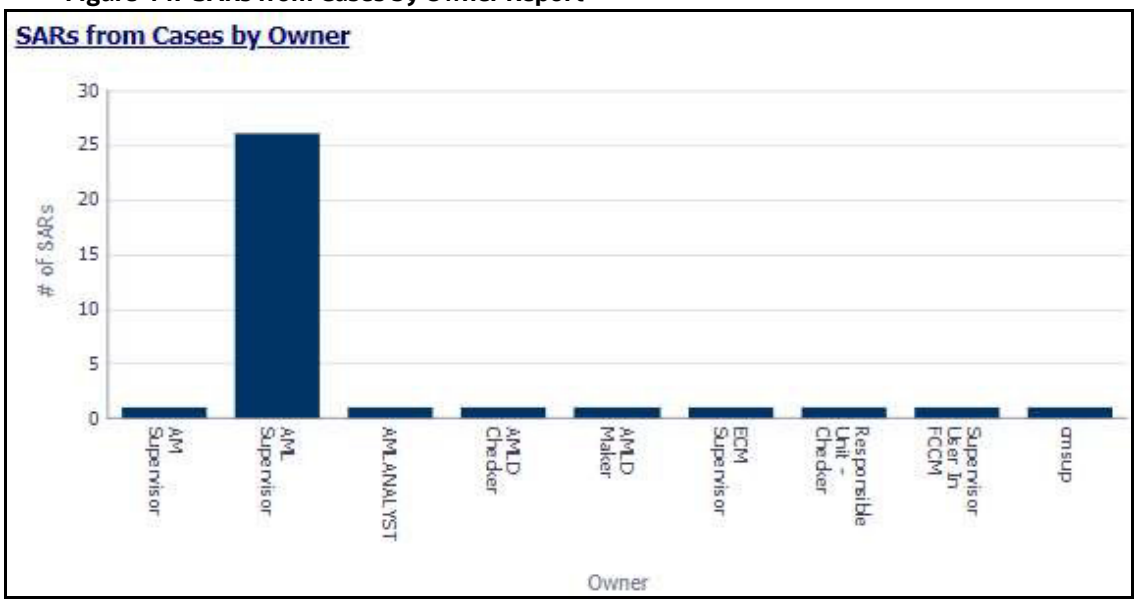
Table 9: SARs from Cases Report Filter Descriptions

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.

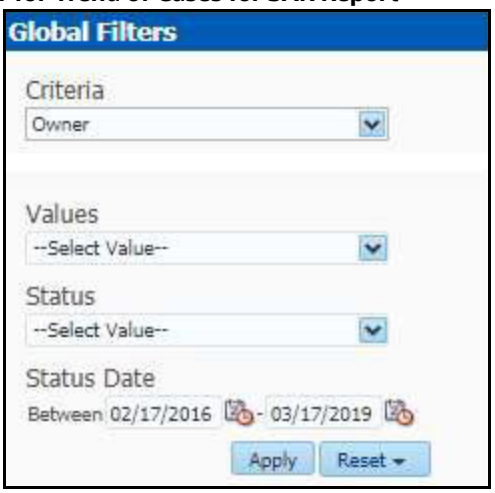
4.2.1.3.2 Trend of Cases for SAR

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



5. Enter the following filter details:

Table 10: Trend of Cases for SAR Report Filter Descriptions

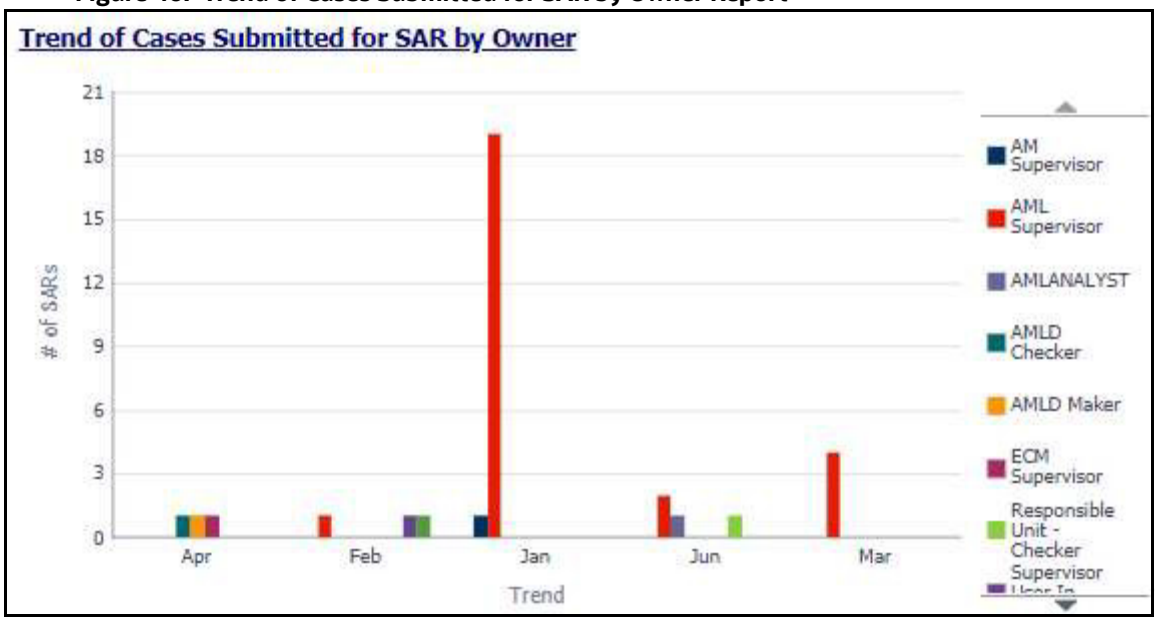
Field	Description
Criteria	Select the criteria for the cases from SARs that you want to view.
Values	Select the value for the cases from SARs that you want to view.
Status	Select the status for the cases from SARs that you want to view.
Status Date	Select the time period to view the cases from SARs of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

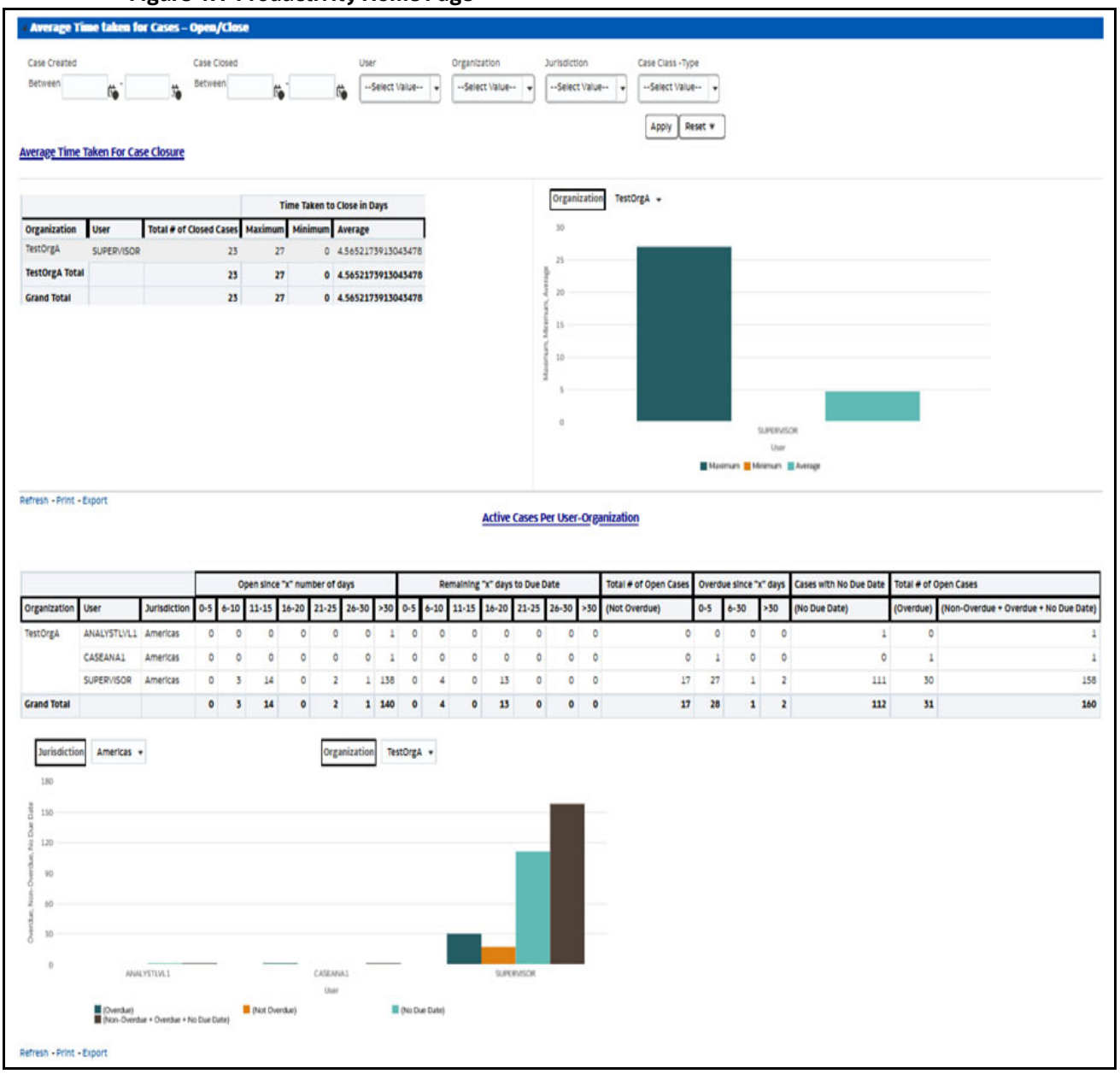
4.2.1.4.1 Productivity Home

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 47: Productivity Home Page



			Time Taken to Close in Days		
Organization	User	Total # of Closed Cases	Maximum	Minimum	Average
TestOrgA	SUPERVISOR	23	27	0	4.5652173913043478
TestOrgA Total		**23**	**27**	**0**	**4.5652173913043478**
Grand Total		**23**	**27**	**0**	**4.5652173913043478**

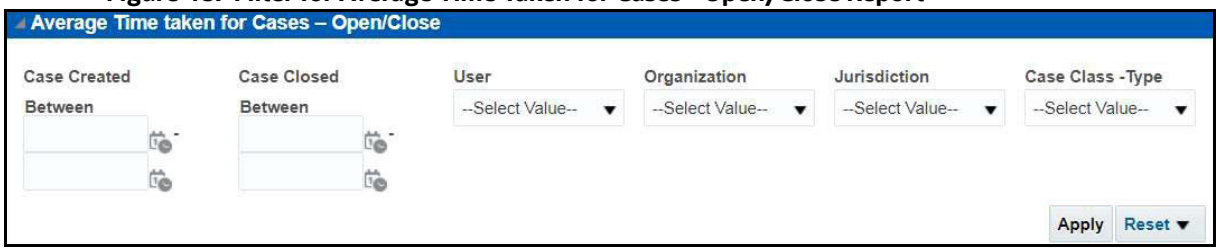
			Open since "x" number of days							Remaining "x" days to Due Date							Total # of Open Cases	Overdue since "x" days			Cases with No Due Date	Total # of Open Cases	
Organization	User	Jurisdiction	0-5	6-10	11-15	16-20	21-25	26-30	>30	0-5	6-10	11-15	16-20	21-25	26-30	>30	(Not Overdue)	0-5	6-30	>30	(No Due Date)	(Overdue)	(Non-Overdue + Overdue + No Due Date)
TestOrgA	ANALYSTLVL1	Americas	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0	1
	CASEANA1	Americas	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	0	1	1
	SUPERVISOR	Americas	0	3	14	0	2	1	138	0	4	0	13	0	0	0	17	27	1	2	111	30	158
Grand Total			**0**	**3**	**14**	**0**	**2**	**1**	**140**	**0**	**4**	**0**	**13**	**0**	**0**	**0**	**17**	**28**	**1**	**2**	**112**	**31**	**160**

4.2.1.4.1.1 Average Time taken for Cases - Open/Close

Use this dashboard to view the average time taken from when a case is open to when a case is closed.

1. You can filter the data in the reports using the following filter 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

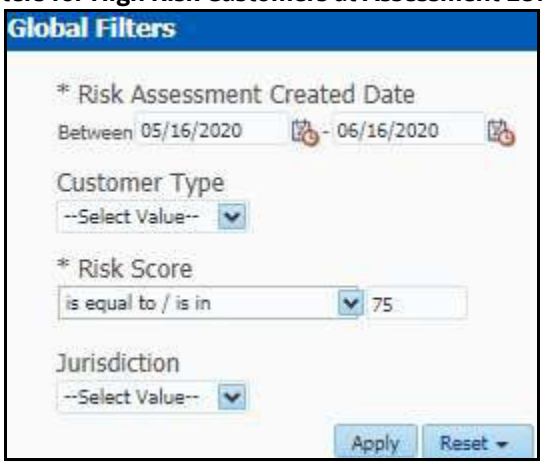
Use this dashboard to view the customers based on their CER (Customer Effective Risk) score and grouped by Jurisdiction, Country, and Customer Type.

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:

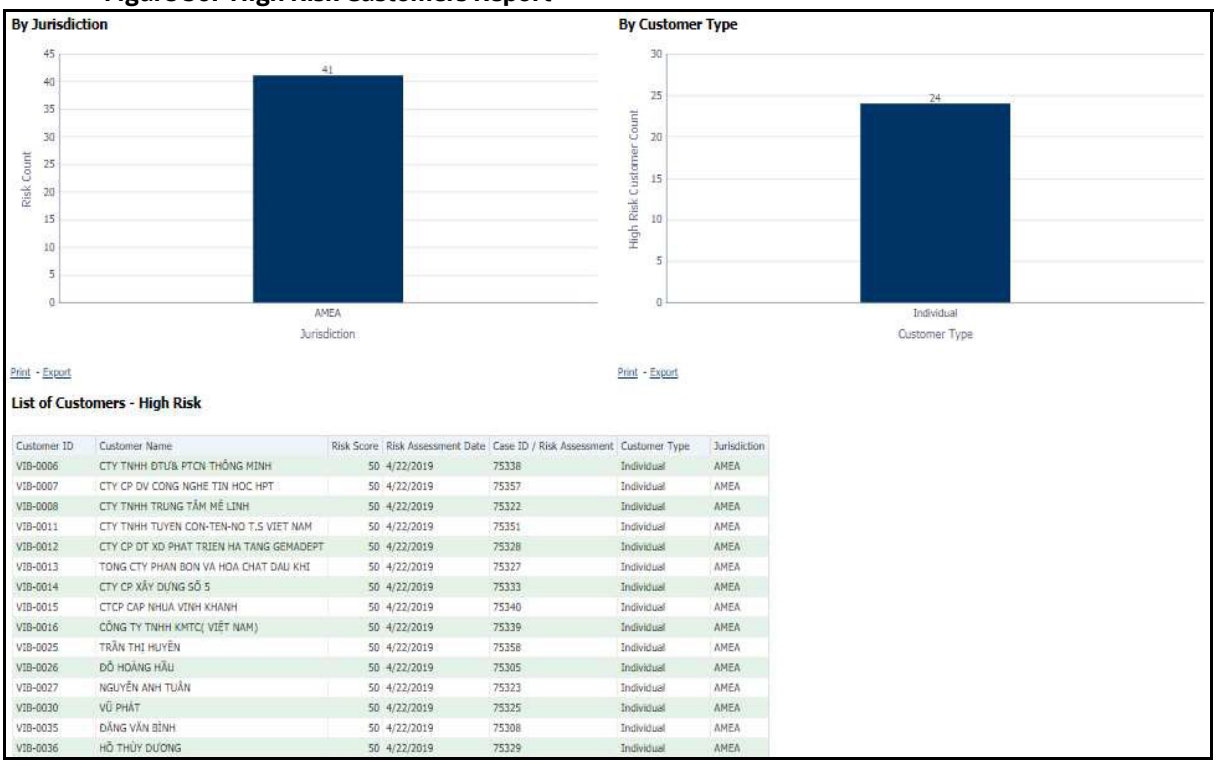
Table 12: High Risk Customers at Assessment Level Report Filter Descriptions

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



Customer ID	Customer Name	Risk Score	Risk Assessment Date	Case ID / Risk Assessment	Customer Type	Jurisdiction
VIB-0006	CTY TNHH ĐTƯ& PTCN THÔNG MINH	50	4/22/2019	75338	Individual	AMEA
VIB-0007	CTY CP DV CONG NGHE TIN HOC HPT	50	4/22/2019	75357	Individual	AMEA
VIB-0008	CTY TNHH TRUNG TÂM MÊ LINH	50	4/22/2019	75322	Individual	AMEA
VIB-0011	CTY TNHH TUYEN CON-TEN-NO T.S VIET NAM	50	4/22/2019	75351	Individual	AMEA
VIB-0012	CTY CP DT XD PHAT TRIEN HA TANG GEMADEPT	50	4/22/2019	75328	Individual	AMEA
VIB-0013	TONG CTY PHAN BON VA HOA CHAT DAU KHI	50	4/22/2019	75327	Individual	AMEA
VIB-0014	CTY CP XÂY DỰNG SỐ 5	50	4/22/2019	75333	Individual	AMEA
VIB-0015	CTCP CAP NHUA VINH KHANH	50	4/22/2019	75340	Individual	AMEA
VIB-0016	CÔNG TY TNHH KMTC(VIỆT NAM)	50	4/22/2019	75339	Individual	AMEA
VIB-0025	TRẦN THI HUYỀN	50	4/22/2019	75358	Individual	AMEA
VIB-0026	ĐỖ HOÀNG HẬU	50	4/22/2019	75305	Individual	AMEA
VIB-0027	NGUYỄN ANH TUẤN	50	4/22/2019	75323	Individual	AMEA
VIB-0030	VŨ PHÁT	50	4/22/2019	75325	Individual	AMEA
VIB-0035	ĐẶNG VĂN BÌNH	50	4/22/2019	75308	Individual	AMEA
VIB-0036	HỒ THÚY DƯƠNG	50	4/22/2019	75329	Individual	AMEA

- 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.

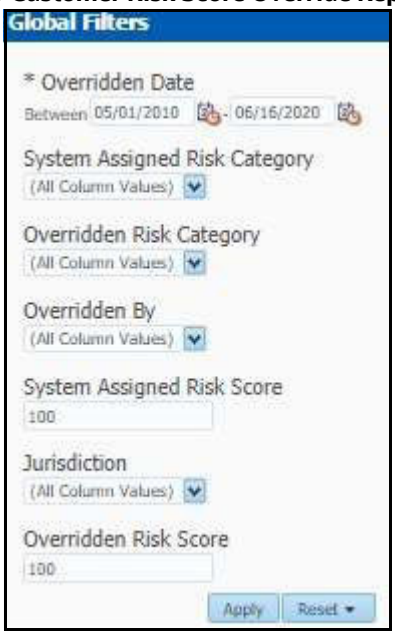
4.2.1.5.2 Customer Risk Score Override

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



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

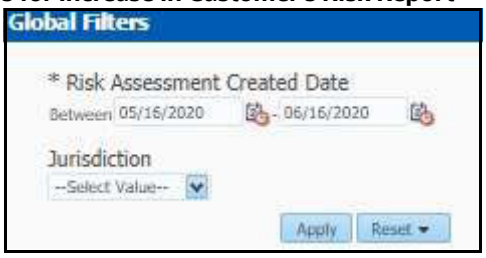
Use this dashboard to view the Customers whose Risk scores have increased over a period of time due to different sources of risk assessment.

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:

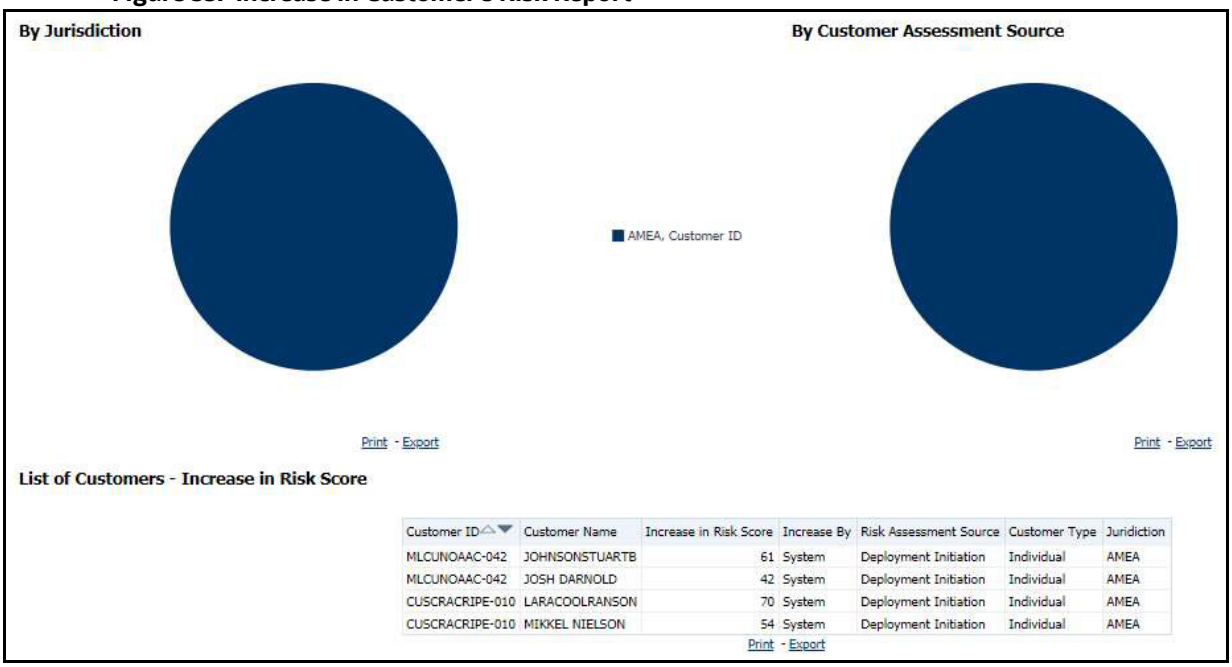
Table 14: Increase in Customer's Risk Report Filter Descriptions

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



Customer ID	Customer Name	Increase in Risk Score	Increase By	Risk Assessment Source	Customer Type	Juridiction
MLCUNOAAC-042	JOHNSONSTUARTB	61	System	Deployment Initiation	Individual	AMEA
MLCUNOAAC-042	JOSH DARNOLD	42	System	Deployment Initiation	Individual	AMEA
CUSCRACRIPE-010	LARACOOLRANSON	70	System	Deployment Initiation	Individual	AMEA
CUSCRACRIPE-010	MIKKEL NIELSON	54	System	Deployment Initiation	Individual	AMEA

- 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

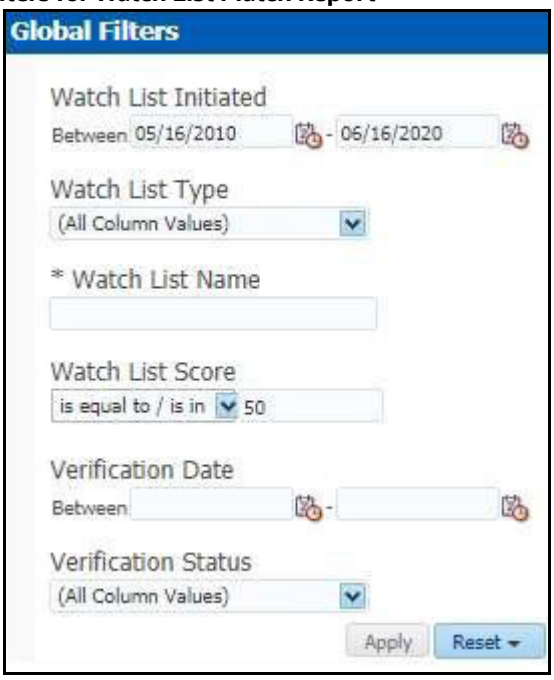
Use this dashboard to view the Customers who are on the high watch list flag and view the results which are false positive, confirmed, or unverified by the user.

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



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 isinitiated. 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 islesser 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

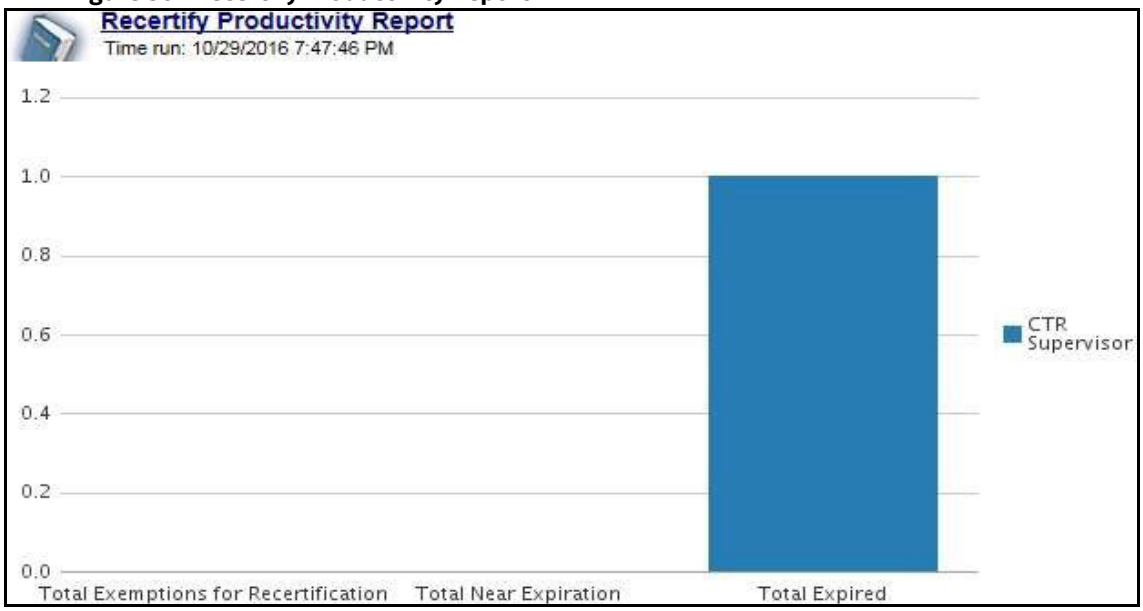
Reporting Year	FATCA Status	Number of Reports					Total # of Reports per FATCA Status
		Approved	Awaiting Submission	Cancelled	Open	Submitted	
2016	Participating FFI					1	1
Total # of Reports Report Status wise per Reporting Year						1	1
2017	Direct Reporting NFFE		2		1		3
	Indeterminate		1				1
	Non-Participating 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

Report Type

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				
		Past Due date	Nearing Due Date	With No Due Date	Not Nearing Due Date	Total # of Reports per FATCA Status
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

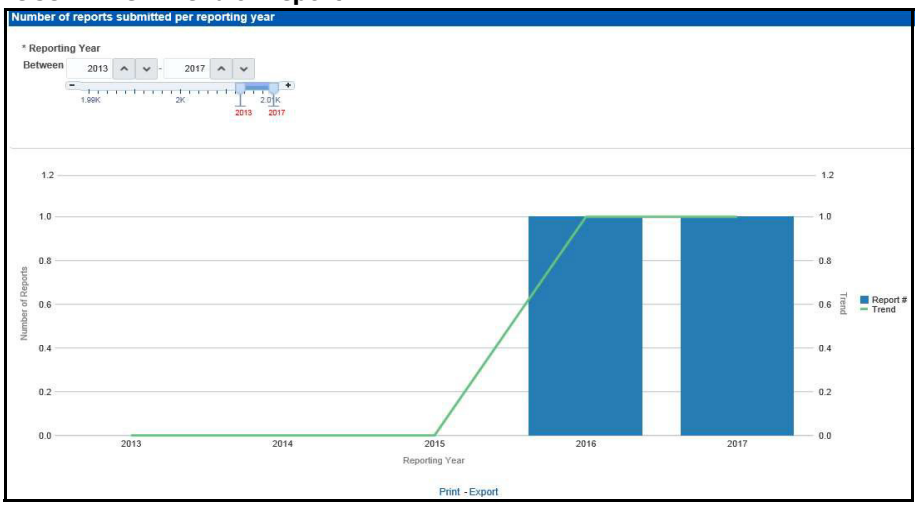
Print - Export

Report Type

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



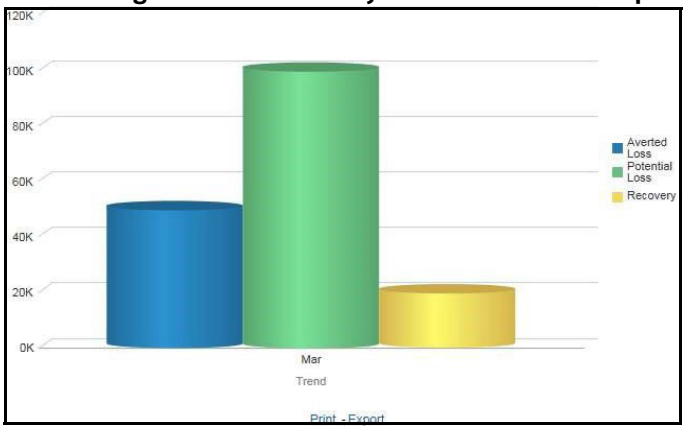
4.2.1.7 Fraud

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 ¡V 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 Acknowledgments** page is displayed with default values entered in the filters.

4. 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.

5. 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.

6. 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

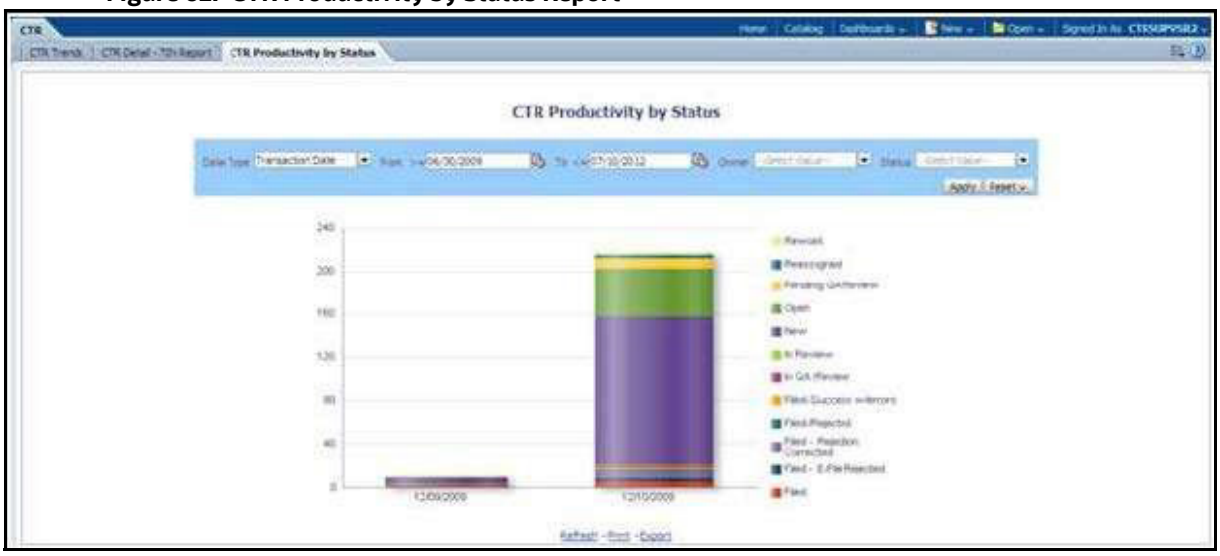
7. From detailed report, you can choose to **Refresh**, **Print**, **Export**, and **Create Bookmark Link**.
8. Click **Return** on the detailed report to navigate back to the **Currency Transaction Report Detail - TIN Report**.

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

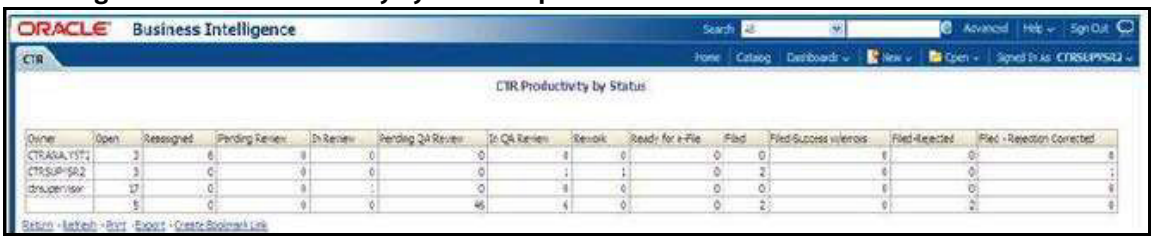
Filter Name	Description
Date Type	Select a date type option either as Transaction Date, or as Due Date
From >=	This field defaults to ten days less than the current date.
To <=	This field defaults to current date.
Owner	Select the owner(s) from the multi-select drop-down options.
Status	Select the status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



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	Initiate Recert Date	Exempt Exp Date	Owner
AC	MOHIT	Tax Id	Phase I - Entity Exercising Govt'l Authority w/in US	05/21/2013	07/05/2013	ctrsupervisor
CU	APARNA POPAT	SSN 221133444	Phase I - Federal, State or Local Gov Agency/Dept	05/21/2013	07/05/2013	ctrsupervisor
CU	FU HSFUNG	Tax Id 112133449	Phase II Eligible Non-Listed Business	05/21/2013	07/05/2013	ctrsupervisor
CU	JWALA GUTTA	Tax Id 221:33442	Phase I - Federal, State or Local Gov Agency/Dept	05/21/2013	07/05/2013	ctrsupervisor
CU	LIN DAN	Tax Id 112133446	Phase I - Entity Exercising Govt'l Authority w/in US	05/21/2013	07/05/2013	ctrsupervisor
CU	SAINA NEHWAL	Tax Id 221:33441	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.

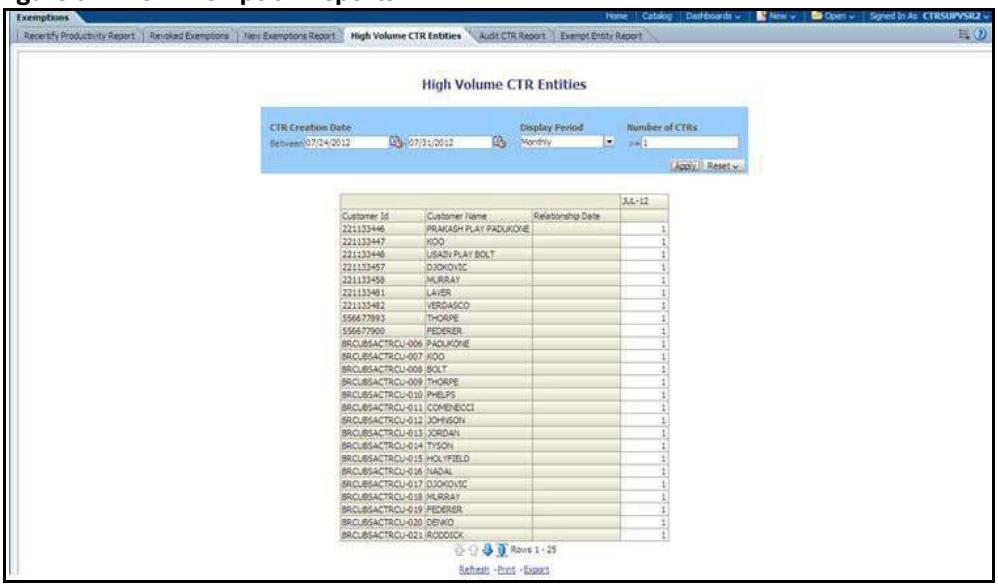
Figure 68: Revoke Exemption

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. Thisfield 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. Thisfield defaults to current date.

5. Click **Apply**.

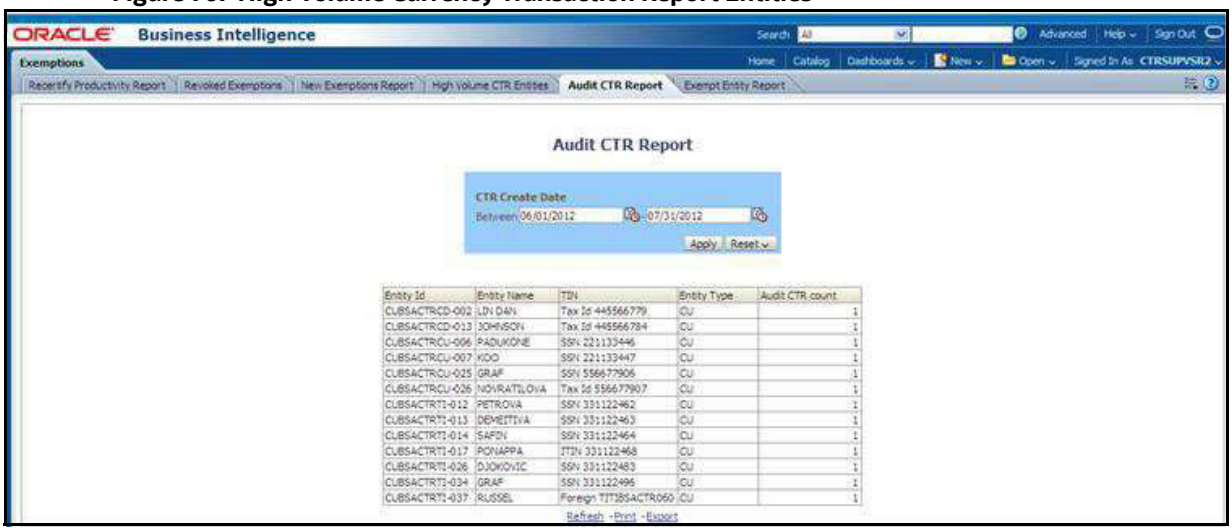
   A tabular report showing **New Exemption Reports** is displayed. You can also click **Reset** to reset all the field values to default values.

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**.

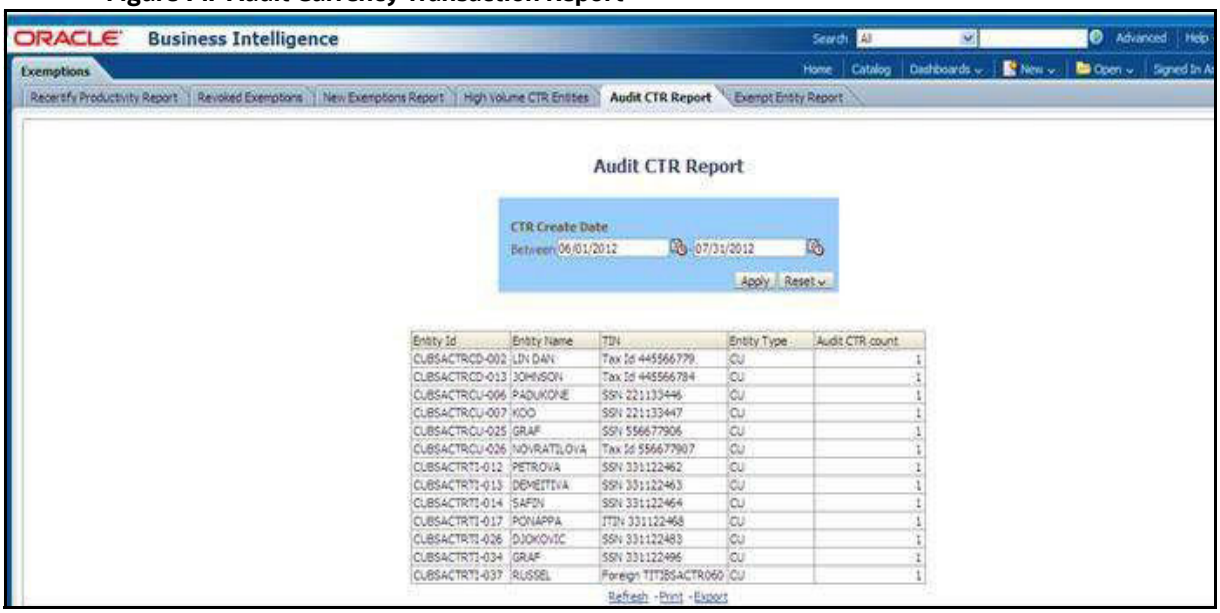
   A tabular report showing High Volume Currency Transaction Report Entity report is displayed. You can also click **Reset** to reset all the field values to default values.

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.

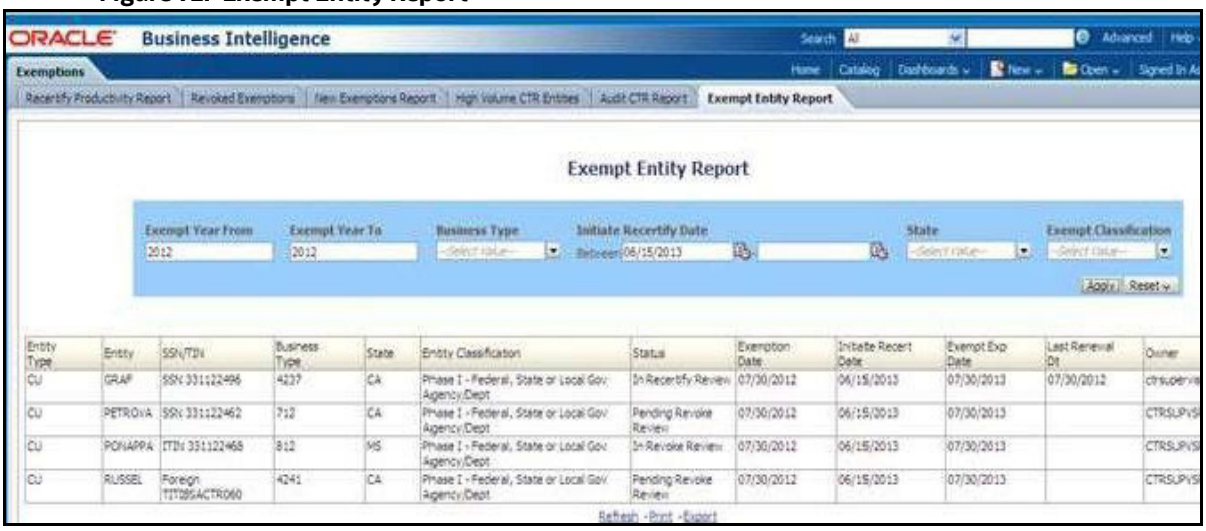
6. Click **Apply**.

   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 fielddefaults to blank.
Initiate Recertify Date To	Enter a date range for the search using the Select Date icon. This fielddefaults 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/DeptPhase I - Entity Exercising Govt'l Authority w/in USPhase I - Listed Entity Phase I - Subsidiary of Listed EntityPhase 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

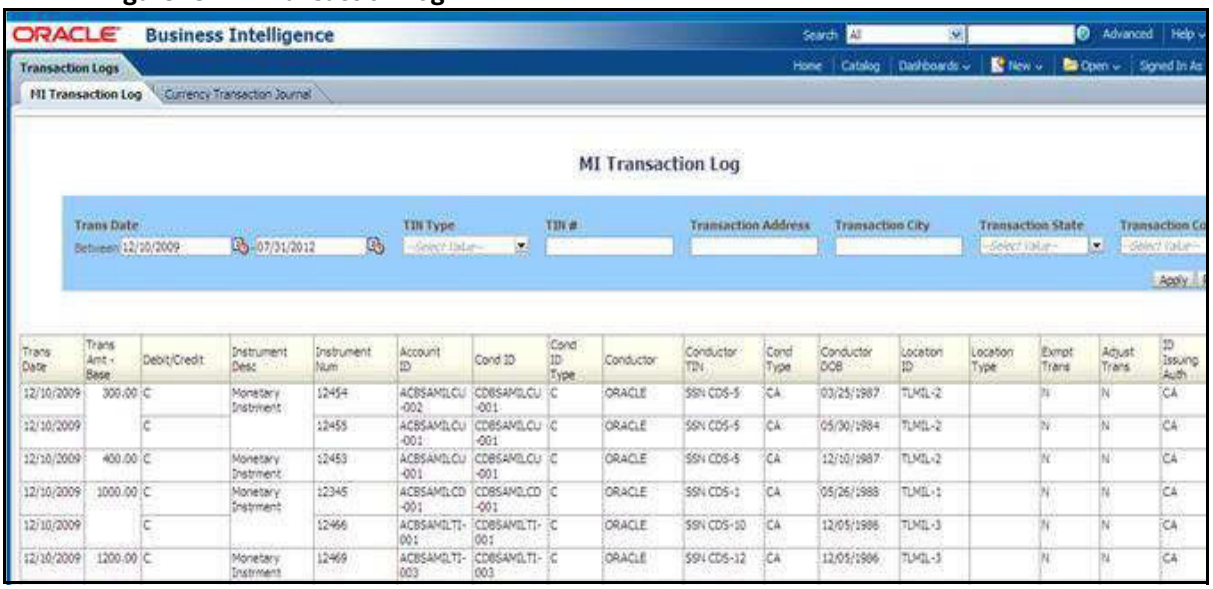
The following are the reports generated for Transaction Logs dashboard:

- 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



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.

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 **MI Transaction Log** tab.

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

4. 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 toone calendar day less than the current date.
Transaction Date To	Enter the transaction date using the Select Date icon. This field defaults tocurrent 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 wildcardsearching.
Transaction City	Enter the transaction city in this field. This field supports wildcardsearching.
Transaction State	Select a state from the Transaction State drop-down option.
Transaction Country	Select multiple countries from the Transaction Country drop-down option.

5. 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.

6. 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.

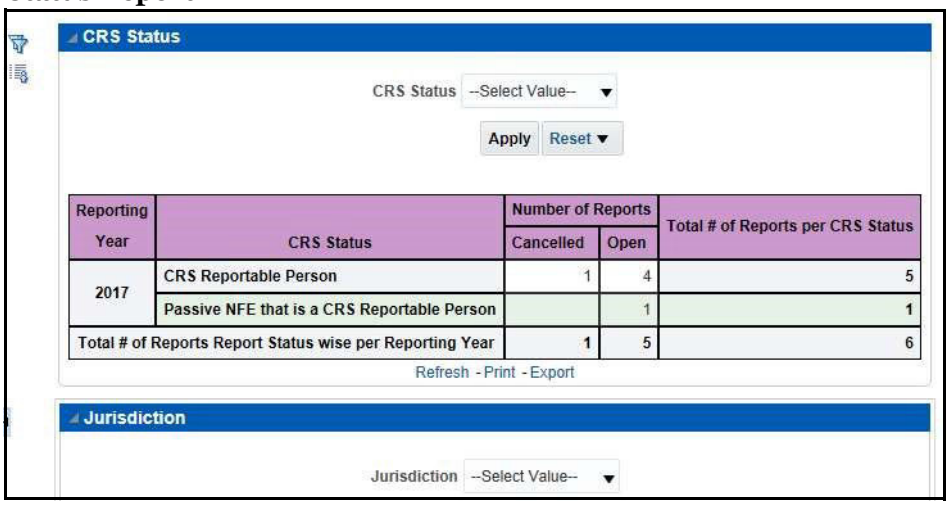
The following CRS reports are available:

- **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

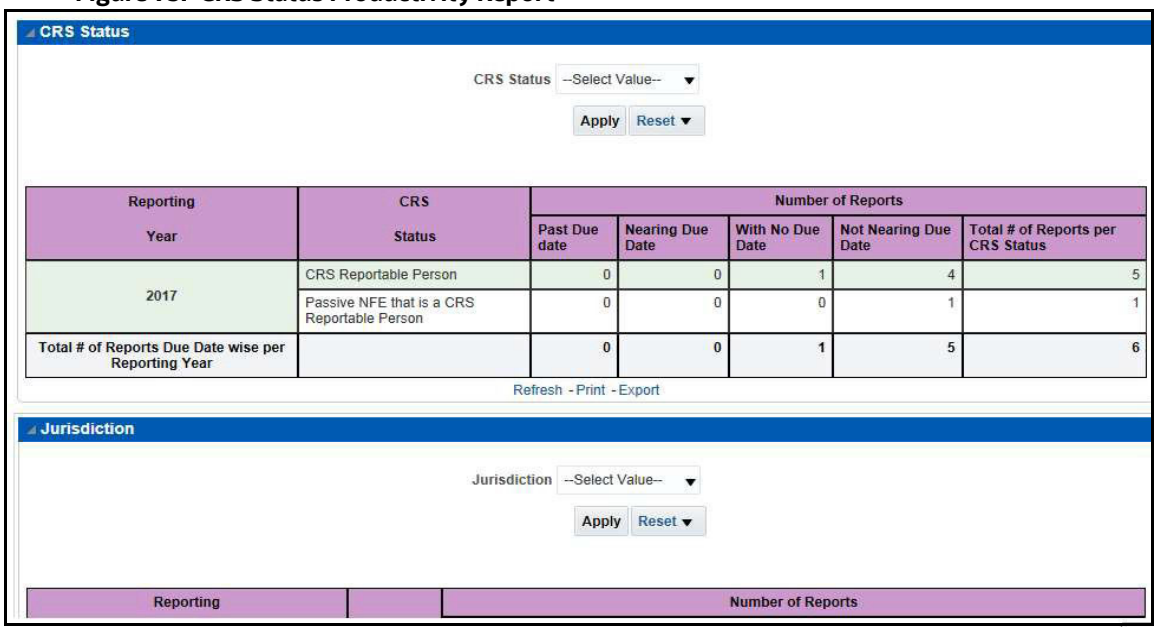


4.2.1.9.2 Productivity

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

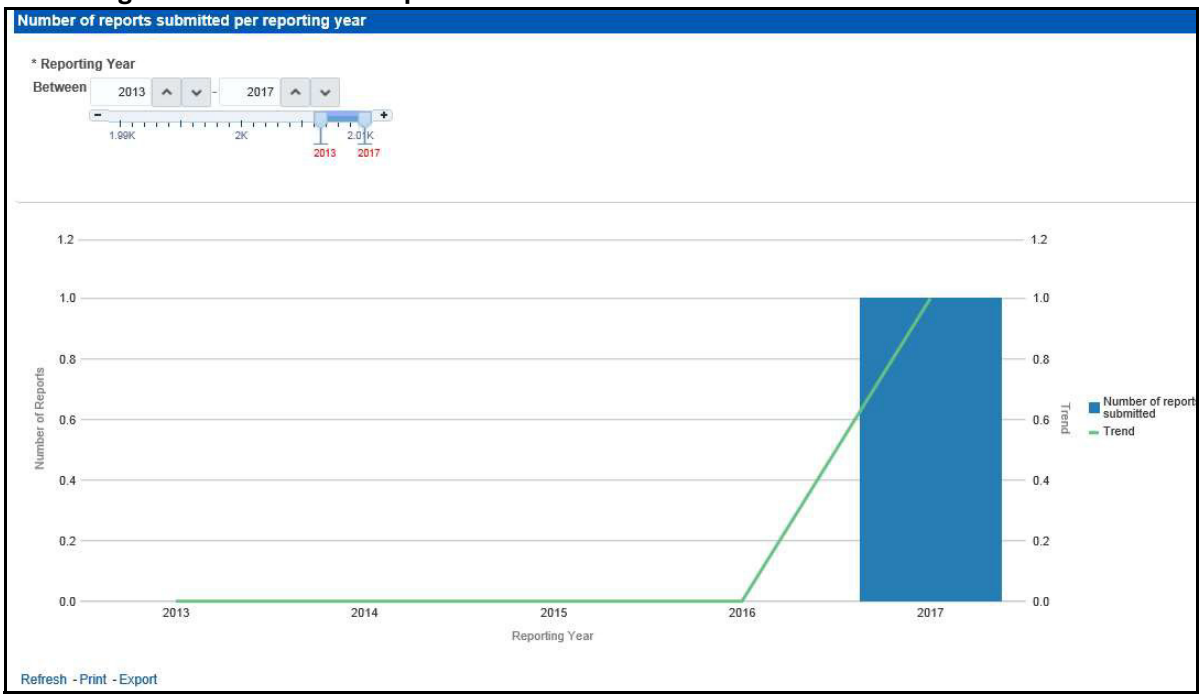


Reporting Year	CRS Status	Number of Reports				
		Past Due date	Nearing Due Date	With No Due Date	Not Nearing Due Date	Total # of Reports per CRS Status
2017	CRS Reportable Person	0	0	1	4	5
	Passive NFE that is a CRS Reportable Person	0	0	0	1	1
Total # of Reports Due Date wise per Reporting Year		0	0	1	5	6

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

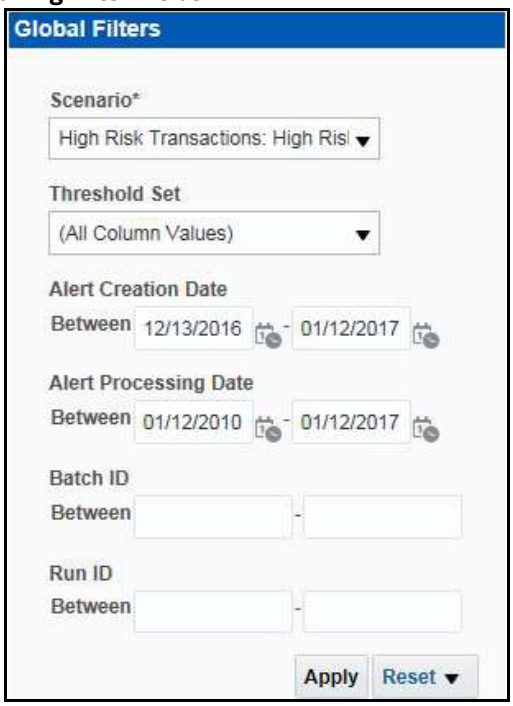
Use the Scenario Tuning dashboard to view statistical reporting and do the scenario tuning based on a specific scenario and threshold set.

The following reports are available under the Scenario Tuning section:

- Anti Money Laundering (AML)

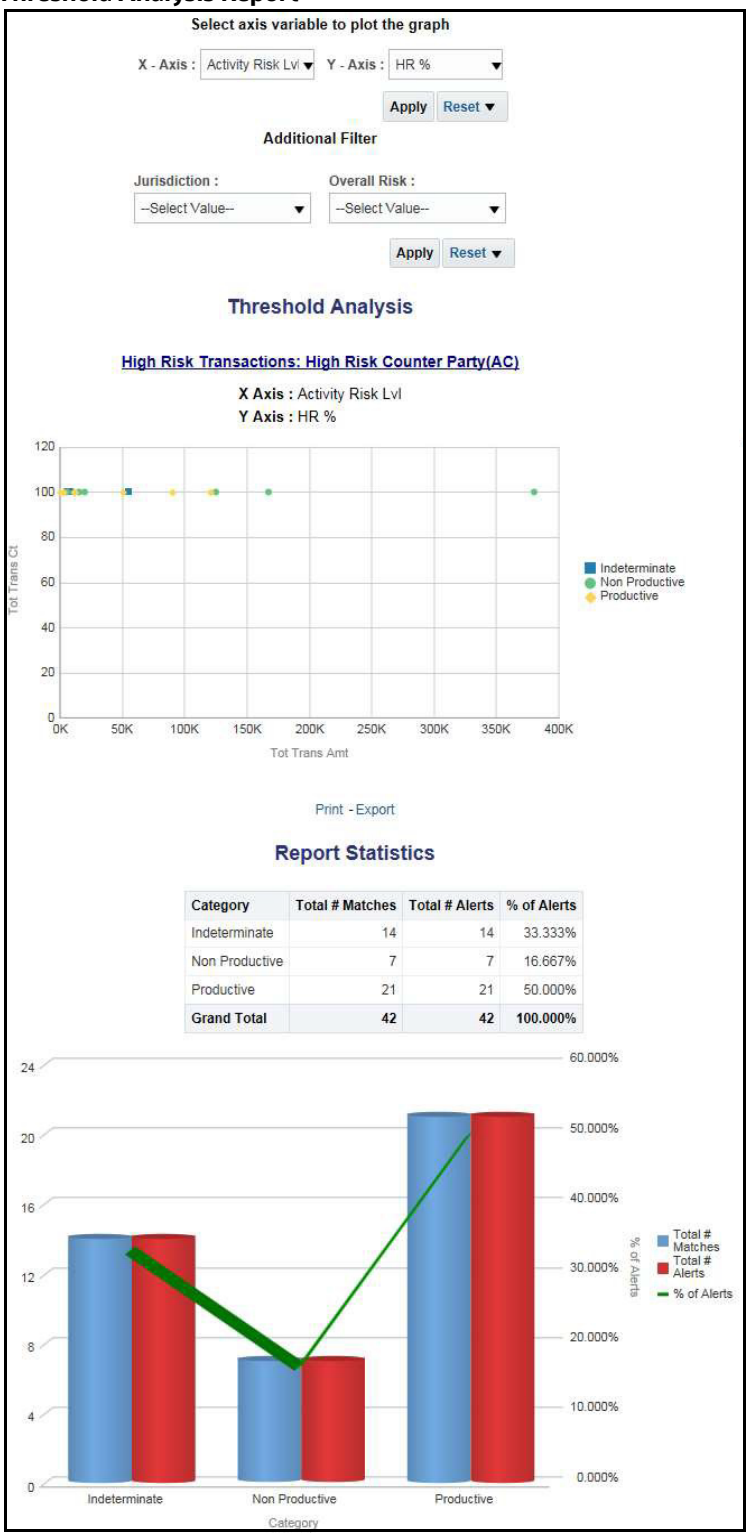
To view the data in the reports, you must provide data in the Scenario and Date fields.

Figure 77: Scenario Tuning Filter Fields



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

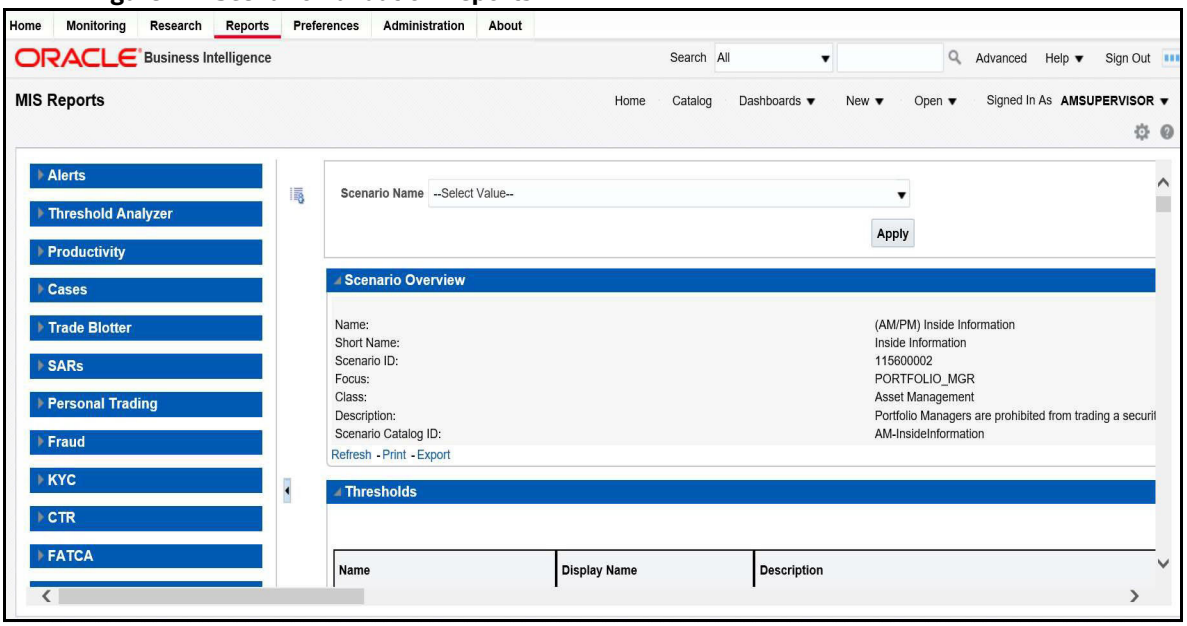


Category	Total # Matches	Total # Alerts	% of Alerts
Indeterminate	14	14	33.333%
Non Productive	7	7	16.667%
Productive	21	21	50.000%
Grand Total	**42**	**42**	**100.000%**

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 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 Blotter Search Report
Time run: 2/28/2017 4:05:42 PM

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 Attestation Completions
Time run: 8/11/2016 12:07:24 PM

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

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:

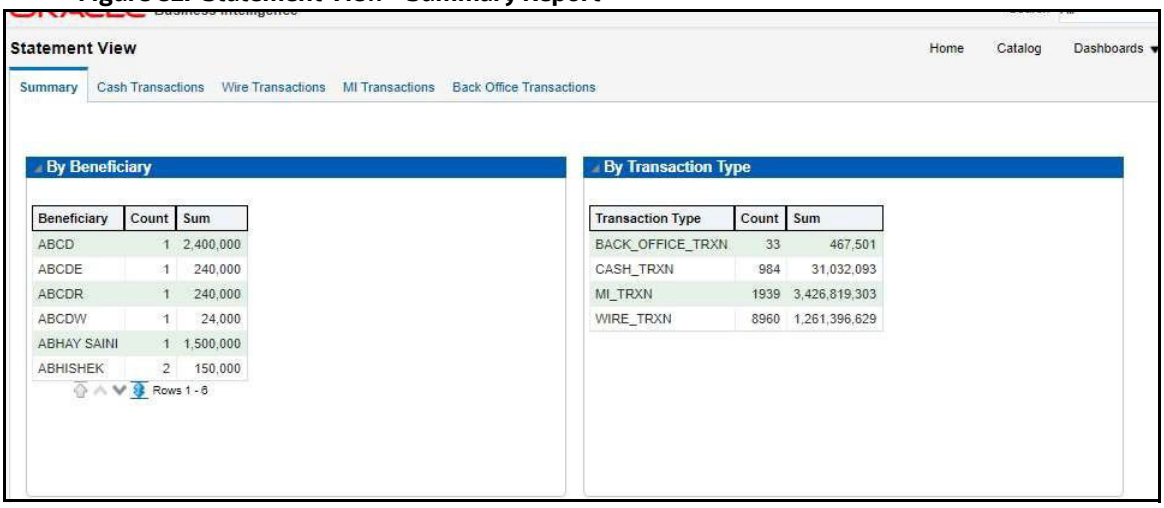
- Summary
- Statement View - Summary Report
- Wire Transactions
- MI Transactions

- 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.

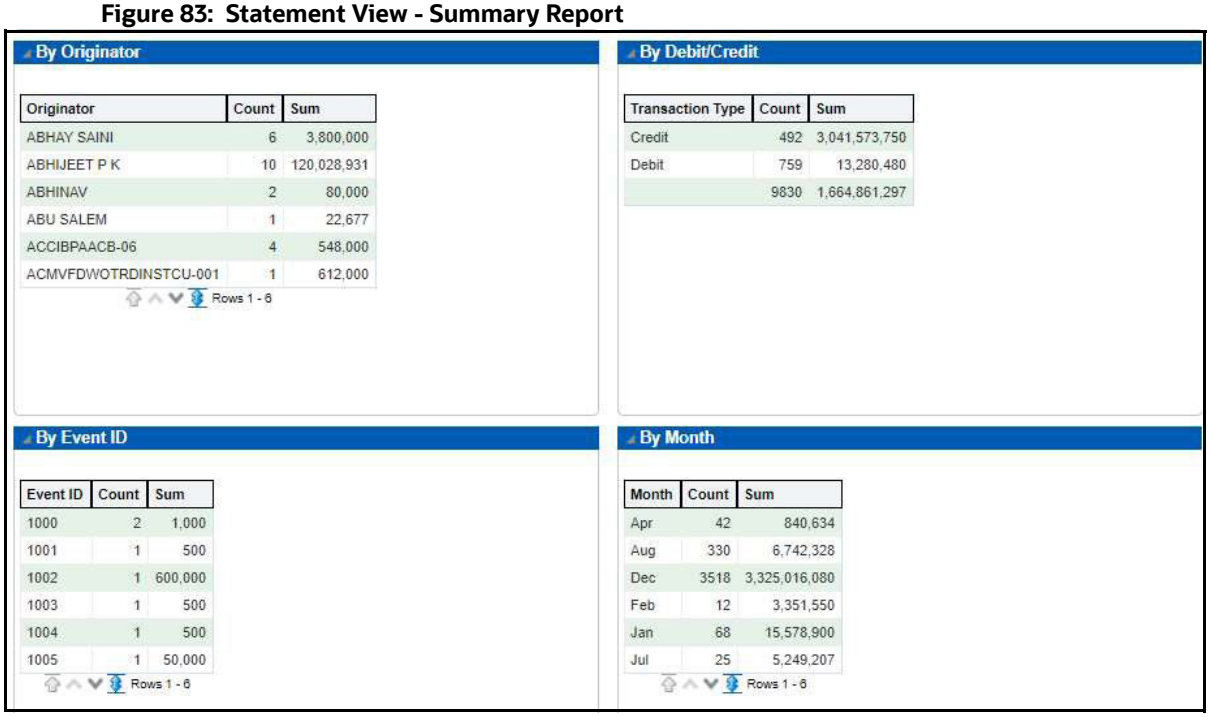
Figure 82: Statement View - Summary Report



Beneficiary	Count	Sum
ABCD	1	2,400,000
ABCDE	1	240,000
ABCDR	1	240,000
ABCDW	1	24,000
ABHAY SAINI	1	1,500,000
ABHISHEK	2	150,000

Transaction Type	Count	Sum
BACK_OFFICE_TRXN	33	467,501
CASH_TRXN	984	31,032,093
MI_TRXN	1939	3,426,819,303
WIRE_TRXN	8960	1,261,396,629

Figure 83: Statement View - Summary Report



Originator	Count	Sum
ABHAY SAINI	6	3,800,000
ABHIJEET P K	10	120,028,931
ABHINAV	2	80,000
ABU SALEM	1	22,677
ACCIBPAACB-06	4	548,000
ACMVFDWOTRDINSTCU-001	1	612,000

Transaction Type	Count	Sum
Credit	492	3,041,573,750
Debit	759	13,280,480
	9830	1,664,861,297

Event ID	Count	Sum
1000	2	1,000
1001	1	500
1002	1	600,000
1003	1	500
1004	1	500
1005	1	50,000

Month	Count	Sum
Apr	42	840,634
Aug	330	6,742,328
Dec	3518	3,325,016,080
Feb	12	3,351,550
Jan	68	15,578,900
Jul	25	5,249,207

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

				Amount			Account		Location			
Date	Source	Type	Debit/Credit	Base	Activity Amount	Activity Currency	ID	Risk	ID	Name	Address	Transaction Reference ID
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	FOTRXNDPGTOTACTAC-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	FOTRXNDPGTOTACTAC-143
				40,000	40,000	IDR	ACDPGTOTACTAC-028	3 IDENTIFIER	WALMART	WALMART	B90-BANDRA,FAIRFAX,VA,2303,US	FOTRXNDPGTOTACTAC-147
				75,000	75,000	IDR	ACDPGTOTACTAC-028	3 IDENTIFIER	WALMART	WALMART	222 2RD FLOOR GAMMA PLAZA,CHICAGO,CHICAGO,340130,US	FOTRXNDPGTOTACTAC-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	FOTRXNDPGTOTACTAC-151
				25,000	25,000	IDR	ACDPGTOTACTAC-030	8 IDENTIFIER	WALMART	WALMART	B90-BANDRA,FAIRFAX,VA,2303,US	FOTRXNDPGTOTACTAC-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	FOTRXNDPGTOTACTAC-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	FOTRXNDPGTOTACTAC-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	FOTRXNDPGTOTACTAC-137
				39,000	39,000	IDR	ACDPGTOTACTAC-022	4 IDENTIFIER	WALMART	WALMART	416 2RD FLOOR GAMMA PLAZA,CHICAGO,CHICAGO,851042,US	FOTRXNDPGTOTACTAC-135
				44,000	44,000	IDR	ACDPGTOTACTAC-022	4 IDENTIFIER	WALMART	WALMART	B9-BANDRA,FAIRFAX,VA,2303,US	FOTRXNDPGTOTACTAC-136
				80,000	80,000	IDR	ACDPGTOTACTAC-011	3 IDENTIFIER	INHDFC-001	WALMART	B129-BANDRA,FAIRFAX,VA,22038,US	FOTRXNDPGTOTACTAC-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 AMLSUPER

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	ACCIBPAAAAC01X	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
			25,000	SALLY FIELD	ACCIBFRGACTCB02X	5	HAROLD BACCUS	ACCIBFRGACTCB06X	7	FOTRXNCIBFRGACTCB0009
11/2/2015 12:00:00 AM	DLY	EFT-FEDWIRE	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	ACCIBPAAAAC01X	7	BROOKE FEDERSAN	ACCIBPAAAC001	7	FOTRXNCIBPAAAC0010
			25,000	JENNIFER SCOTT	ACCIBPAACB02X	7	JOHANN FREDICKERSON	ACCIBPAACB04X	7	FOTRXNCIBPAACB0010
			25,000	LORRIANE VAN BUREN	ACCIBPPACB01X	7	LARS URICHSEN	ACCIBPPACB02X	7	FOTRXNCIBPPACB0010
			25,000	SALLY FIELD	ACCIBFRGACTCB02X	5	KYLE BACCUS	ACCIBFRGACTCB05X	7	FOTRXNCIBFRGACTCB0010
11/3/2015 12:00:00 AM	DLY	EFT-FEDWIRE	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	ACCIBPAAAAC01X	7	BROOKE FEDERSAN	ACCIBPAAAC001	7	FOTRXNCIBPAAAC0011
			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	ACCIBFRGACTCB02X	5	HAROLD BACCUS	ACCIBFRGACTCB06X	7	FOTRXNCIBFRGACTCB0011
11/10/2015 12:00:00 AM	DLY	EFT-FEDWIRE	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

Home Catalog Dashboards New Open Signed In As AMLSUPERVIS

Summary | Cash Transactions | Wire Transactions | MI Transactions | Back Office Transactions

MI Transaction						Remitter			Beneficiary			MI Transaction	
Post Date	Issue Date	Type	Source	Serial/Check #	Amount	Name	Account ID	Risk	Name	Account ID	Risk	Foreign Check Flag	Transaction Reference ID
11/3/2015 12:00:00 AM	11/3/2015 12:00:00 AM	CASH-EQ-CERT-CHECK	DLY		6,250	JACK BAUER	ACCIBPUSAC01X	7	SHANE TELLER	ACCIBPUSAC001	9	N	FOTRXNCIBPUSAC0007
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	FOTRXNCIBPUSAC0008
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	FOTMLTERRORFINFAC-072
					4,500	GUNJAN	EXMLTERRORFIN-021	0	ABU SALEM	ACMLTERRORFINFAC-003	9	N	FOTMLTERRORFINFAC-033
					5,000	EASTMAN	EXMLTERRORFIN-101	0	MARK HACKMAN	ACMLTERRORFINFAC-008	9	N	FOTMLTERRORFINFAC-105
					5,000	EDAWARD	EXMLTERRORFIN-102	0	MATT HARDY	ACMLTERRORFINFAC-009	9	N	FOTMLTERRORFINFAC-117
					5,000	PATRIC	EXMLTERRORFIN-011	0	OSAMA AL JAVAHIRI	ACMLTERRORFINFAC-002	9	N	FOTMLTERRORFINFAC-022
					1,500,000	BEAR-001	BEAR-001	7	ACDPGCB-4	ACDPGCB-4	6	N	CBDPGTOTCB-12
		CHECK	DLY		5,000	NATHAN	ACDEVPGPRODUTAC-025	7	EXAMPT ACT1	EXACPEER-001	7	N	FOTDEVPGPRODUTAC-1300
					5,000			7			7		FOTDEVPGPRODUTAC-1310
					5,000	ROMAN	ACDEVPGPRODUTAC-034	7	EXAMPT ACT1	EXACPEER-001	7	N	FOTDEVPGPRODUTAC-143
					5,999	KIRAN	XXACDEVPGPRODUTAC-0400	7	EXAMPT ACT1	EXACPEER-001	7	N	XXFOTDEVPGPRODUTAC-1500
					10,000	HANRY	ACDEVPGPRODUTAC-037	7	EXAMPT ACT1	EXACPEER-001	7	N	FOTDEVPGPRODUTAC-147
					16,000	KARAN	ACDEVPGPRODUTAC-040	7	EXAMPT ACT1	EXACPEER-001	7	N	FOTDEVPGPRODUTAC-150
11/24/2015	11/24/2015	CHECK	DLY		4,500	ANTHONY	EXMLTERRORFIN-023	7	HBEEB UL BASHAR	ACMLTERRORFINFAC-006	9	N	FOTMLTERRORFINFAC-073

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

Home Catalog Dashboards New Open Signed In As

Summary | Cash Transactions | Wire Transactions | MI Transactions | Back Office Transactions

BOTransaction_Report2

Back office transaction		Offset Account								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	OFEMPTRANSBELOWLIMITAC-002	0	Credit	1,000				BOEMPTRANSBELOWLIMITAC-010F	ACEMPTRANSBELOWLIMITAC-003	5
	100000000	OFEMPTRANSBELOWLIMITEE-001	0	Credit	1,000				BOEMPTRANSBELOWLIMITEE-1001	ACEMPTRANSBELOWLIMITEE-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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