

Oracle Financial Services Transaction Filtering User Guide

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About this Guide

This guide explains the concepts of Oracle Financial Services Transaction Filtering and provides step-by-step instructions for navigating the Oracle Financial Services Transaction Filtering web pages, analyzing transactions, acting on transactions, and researching the business information.

This chapter focuses on the following topics:

- [Who Should Use this Guide](#)
- [How this Guide is Organized](#)
- [Where to Find More Information](#)
- [Conventions Used in this Guide](#)

Who Should Use this Guide

The *Transaction Filtering User Guide* is designed for the following users:

- **Analyst:** This user works on the transactions within the application frequently. This user's specific role determines what they can view and perform within the application.
- **Supervisor:** This user works on the transactions within the application on a daily basis and is typically a higher level Analyst or Compliance Officer.

For more information on user roles and actions, see [User Roles and Actions](#).

How this Guide is Organized

The *Transaction Filtering User Guide* includes the following chapters:

- [Chapter 1, About Transaction Filtering](#), provides an overview of Oracle Financial Services Transaction Filtering, how it works, and what it does.
- [Chapter 2, Getting Started](#), explains common elements of the interface, includes instructions on how to configure your system, access Transaction Filtering, and exit the application.
- [Chapter 3, Managing Transaction Filtering](#), explains the Transaction Filtering application components.

Where to Find More Information

For more information about Oracle Financial Services Transaction Filtering, refer to the following documents:

- *Oracle Financial Services Sanctions Installation Guide*
- *Oracle Financial Services Transaction Filtering Administration and Configuration Guide*
- *Oracle Financial Services Transaction Filtering Release Notes*

These documents are available at the following link:

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

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

Conventions Used in this Guide

Table 1 provides the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

This chapter gives an overview of Transaction Filtering. This chapter discusses the following topics:

- [Overview of Transaction Filtering](#)
- [Features of Transaction Filtering](#)
- [Transaction Filtering Workflow](#)
- [Score Matching Logic](#)
- [User Roles and Actions](#)

Overview of Transaction Filtering

Oracle Financial Services Transaction Filtering is a real-time blacklist filtering system that identifies blacklisted, restricted and sanctioned individuals, entities, cities and countries in a financial transaction processed through the Solution. The solution can interface with any clearing systems, payment system or any source system. The solution accepts messages from the source systems in real time and scans them against different watch lists maintained within the system to identify existence of any blacklisted data present within the message.

The OFS Transaction Filtering system can scan SWIFT messages. The OFS Transaction Filtering is built using various components of OFSAA product suite. These components are the scoring engine (EDQ), user interface and rule engine (IPE).

Regulatory authorities emphasize on financial institutions to ensure that they do not unwittingly hide or move criminal or terrorist funds. Financial Institutions are required to comply with regulations from several authorities:

- USA PATRIOT Act
- U.S. Treasury's Office of Foreign Assets Control (OFAC), USA
- Office of the Superintendent of Financial Institutions (OSFI), Canada
- Financial Action Task Force on money laundering (FATF/GAFI)
- EU Commission
- Country-specific authorities

While the law may differ between countries, the spirit of regulatory intervention is uniform: to hold financial institutions responsible and accountable if they have been a party, however unwittingly, to a criminal or terrorist related transaction.

Sanctions include the withholding of diplomatic recognition, the boycotting of athletic and cultural events and the sequestering of property of citizens of the targeted country. However, the forms of sanctions that attract the most attention and that are likely to have the greatest impact are composed of various restrictions on international trade, financial flows or the movement of people.

Real Time Transaction Filtering against sanctioned lists, internal watch lists and other sources is a key compliance requirement for financial institutions across the globe.

Initially Financial Institutions (FIs) were expected to identify customers who were either sanctioned themselves or lived in sanctioned countries and any transactions associated with these customers. Over the years between 2001 and the present time the expectations have grown. FIs are now expected to identify not only the above but also any dealings, company ownership, associated parties and more recently there has been a move to identify information that has been deliberately hidden or removed.

FIs are required to identify sanction-related information at all stages of customer involvement from on-boarding, through continual client screening to real-time filtering of transactions. Current stages in the sanctions processes adopted by FIs include the following:

- Sanctions checks as part of customer on boarding (included in KYC checks)
- Daily checks of all customers against full sanctions lists (Client Screening)
- Filtering of customers' transaction against full sanctions lists (Transaction Filtering)
- Filtering of Trade Documentation
- Scrutiny of transactional data for incomplete or inaccurate data
- Comparison of transactional data for deliberately removed sanctions elements

Oracle Financial Services Transaction Filtering solution delivers a strong, effective filter that identifies all true sanctioned individual/entities and at the same time exploits all available information (internal and external) to reduce false positives and therefore minimize the operational impact to Financial Institutions.

Features of Transaction Filtering

Following are the features of Transaction Filtering:

- Screens financial transactions to detect Blacklist entities such as Individual, Organizations, Countries and Cities with whom any business or transaction is prohibited.
- Generates a risk score for any given message through rules configured within the system. These rules screen entities such as Individual, Organizations, Countries and Cities with whom any business or transaction is prohibited.
- Marks suspicious transactions based on configured parameters.
- Configures different score for different matching rules.
- Provides ability to add general notes/comments to the message.
- Provides ability to add notes/comments while taking an action (Release, Block, Escalate) on the message.
- Manages and maintains multiple watch lists.
- Supports a flexible and configurable workflow. It has the ability to have a number of levels of alert management and user profiles to enable segregation of duties.

Transaction Filtering Workflow

The following figure illustrates the workflow of Oracle Financial Services Transaction Filtering.

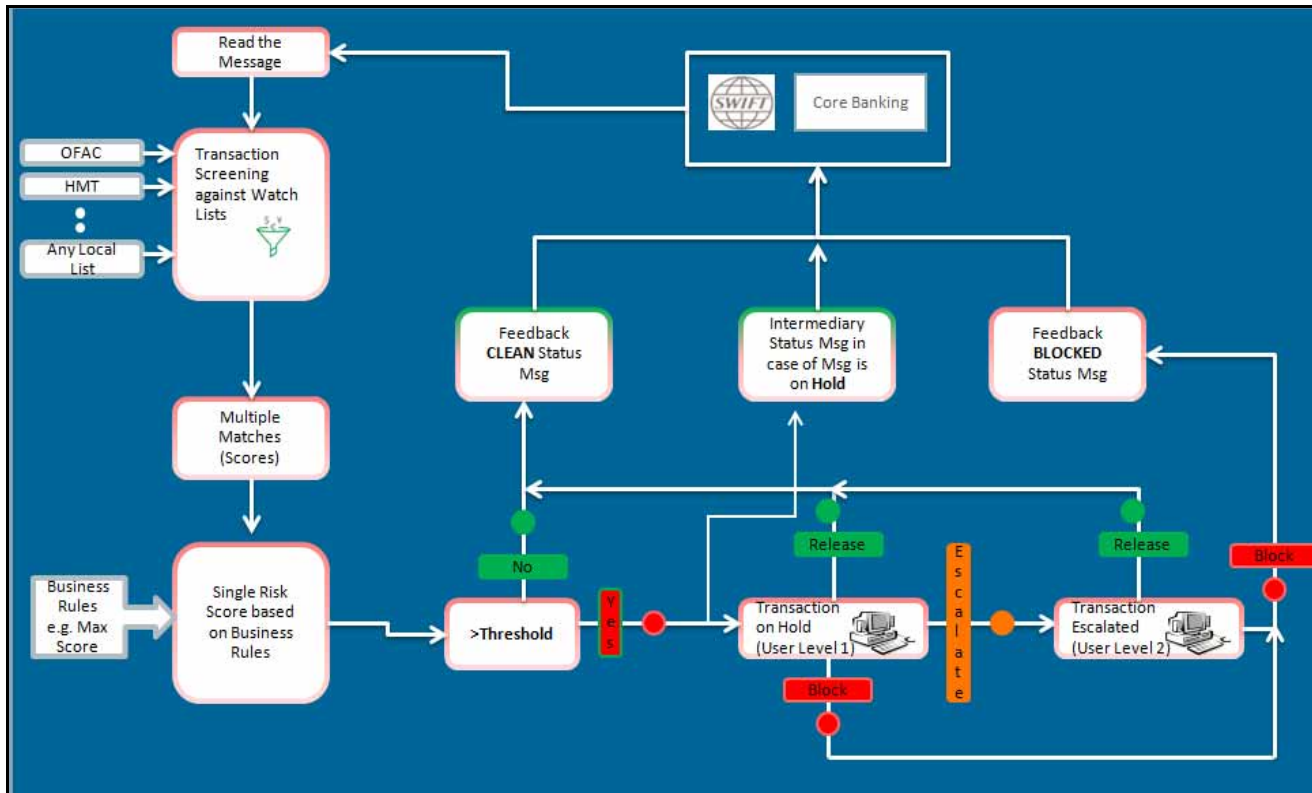


Figure 1. Transaction Filtering Workflow

1. The application reads the SWIFT message from the source system and then sends the transactions for screening.
2. The entire message of each transaction is stored within the application.
3. If there is more than one transaction present within a message, then each transaction is screened against watch lists like UK based HMT, US based OFAC, EU and so on.
4. Each transaction is screened against watch lists present within the system and checked if any blacklisted data/suspicious data is present by using different matching logics.
5. The name matching logic between the watch lists and the beneficiary details from the message is listed as follows:
 - Exact name match (For example, John Smith = John Smith)
 - Mis-spelling or partial typos (For example, Jogn Smith = John Smith)
 - Alternative names (For example, Bob = Robert)
 - Foreign versions of names (For example, Jaques = Jack)
 - Partial phonetics (For example, F = ph)
 - Initial and Surname matching against full name (For example, J Smith = John Smith)
 - Reverse name order (For example, John Smith = Smith, John)
 - Combinations of the above

6. A score is assigned to every transaction and checked against the threshold limit that is set within the application. For more information on how scores are assigned, see [Score Matching Logic](#).
7. If the score is greater than the threshold limit then that transaction is treated as a suspicious transaction. Otherwise, it is a clean transaction.
8. If all transactions present within a message are clean then a feedback message is sent to the source system with CLEAN status and original message appended.
9. If any transaction is found suspicious then the complete message is moved to HOLD status and it is available for user action.
10. The application displays the details of that transaction which has the maximum score within the message.

Process for Messages Containing a Single Transaction

SWIFT messages that contain a single transaction follow this process:

1. OFS Transaction Filtering (OFS TF) receives message from the payment system and scans the transaction in the message against the watch lists.
2. If the transaction is found CLEAN, OFS TF sends a feedback message with CLEAN status back to payment system through the message queue.
3. If the transaction is found suspicious, the message will be held and an Analyst investigates it through the UI. Intermediary feedback is sent to the payment system via message queue indicating message is on hold.
4. Analyst reviews all held transactions and makes a decision to Release or Block the message. OFS TF sends a feedback (CLEAN/BLOCKED) message to the payment system for the message reviewed.

Process for Messages Containing Multiple Transactions

SWIFT messages that contain multiple transactions follow this process:

1. OFS Transaction Filtering (OFS TF) receives message from the payment system and scans the transaction in the message against the watch lists.
2. If all transactions in the message are found CLEAN, OFS TF sends feedback message with CLEAN status back to payment system via message queue.
3. If any of the transactions in the message are found suspicious, all transactions in the message will be held and an Analyst investigates further. Intermediary feedback is sent to the payment system via message queue indicating message is on hold.
4. Analyst reviews all transactions and makes a decision to Release or Block the message. In this configuration the decision status is associated with the message and not an individual transaction. Either all transactions get released or all transactions get blocked. OFS TF sends back feedback (CLEAN/BLOCKED) message to the payment system for the message reviewed.
5. Using the OFS TF interface the Client must determine all suspicious transactions in a blocked message and remove the sanctioned transaction manually from the message in their payment system. They can then process the clean transaction further in the payment system.

Score Matching Logic

The logic used in scoring the transactions is as follows:

- If there is no match in the name between beneficiary and watch list, then the system generates a score of zero.
- If there is a match, then the score is greater than zero and it is generated based on logic present.
- There could be multiple matches within a transaction. So, a transaction can have multiple scores.
- Rules can be configured to assign the matches for different scores to different watch list.
- Multiple rules can be configured to arrive at a final score in case where there are multiple scores for a transaction.

User Roles and Actions

Oracle Financial Services Transaction Filtering allows different types of roles to access the Transaction Filtering UI. The following user roles are defined in OFS Transaction Filtering:

- Analyst
- Supervisor

The following table explains the tasks that can be performed by various users in OFS Transaction Filtering application:

Table 2. User Roles and Actions

User Actions	Analyst	Supervisor
Access to View UI	X	X
Release Transaction	X	X
Block Transaction	X	X
Escalate Transaction	X	

This chapter provides step-by-step instruction to login to the Transaction Filtering System and different features of the Oracle Financial Services Analytical Applications (OFSAA) Application page.

This chapter discusses the following topics:

- [Accessing OFSAA Applications](#)
- [Managing OFSAA Application Page](#)
- [Troubleshooting Your Display](#)
- [Logging in to OFS Transaction Filtering](#)

Accessing OFSAA Applications

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

Your system administrator provides you with a User ID and Password. Login to the application through the Login page. You will be prompted to change your password on your first login. You can change your password whenever required by logging in. For more information, see the [Changing Password](#) section.

To access the Oracle Financial Services Analytical Applications, follow these steps:

1. Enter the URL into your browser using the following format:

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

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

The OFSAA Login page is displayed.



Figure 2. OFSAA Login Page

2. Select the Language from the Language drop-down list. This allows you to use the application in the language of your selection.
3. Enter your User ID and Password in the respective fields.
4. Click **Login**. The Oracle Financial Services Analytical Applications page is displayed.

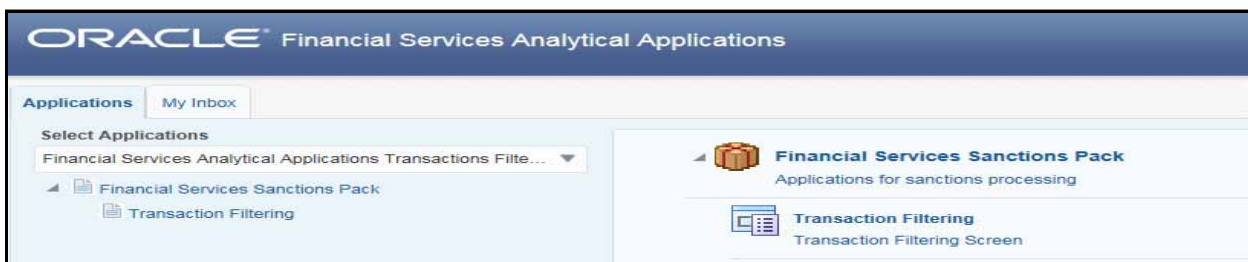


Figure 3. OFSAA Application Page

The Oracle Financial Services Analytical Applications page is a common landing page for all users until a preferred application page is set. For more information about how to set your preferred application page, see *OFSAAI User Guide*. You can use the OFSAA Application page to access the Oracle Financial Services applications in your environment.

Managing OFSAA Application Page

This section describes the different panes and tabs in the OFSAA Application page.

The OFSAA Application page has the following tabs:

- [Applications Tab](#)
- [Changing Password](#)
- [Copyright Information](#)

Applications Tab

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

For example, to access the OFSAA Applications, select the required Application from the Select Application drop-down list. Based on your selection, the page refreshes the menus and links across the panes.

Changing Password

For security purpose, you can change the password. This section explains how to change a password.

To change the password, follow these steps:

1. Navigate to the OFSAA Applications page.
2. Click the User drop-down list and select **Change Password**. The Password Change page is displayed.

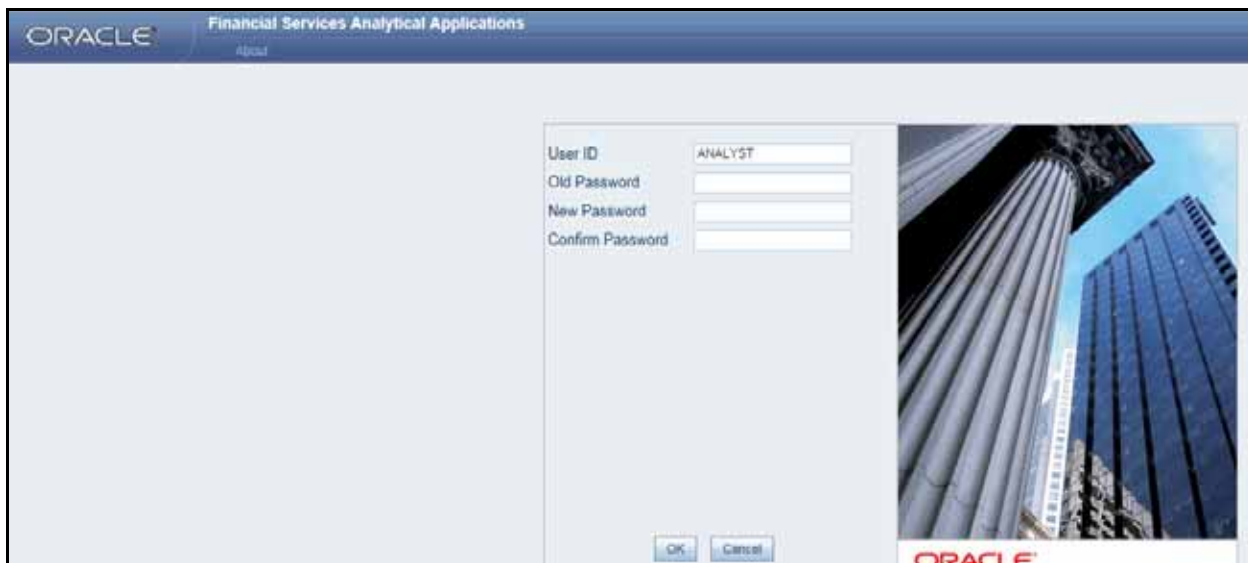
The screenshot shows a web application window titled "ORACLE Financial Services Analytical Applications". The main content area contains a "Change Password" form. The form has four input fields: "User ID" (containing "ANALYST"), "Old Password", "New Password", and "Confirm Password". To the right of the form is a decorative image of a classical building with columns. At the bottom of the form are "OK" and "Cancel" buttons. The Oracle logo is visible in the bottom right corner of the window.

Figure 4. Change Password Window

3. Enter your old and new password in the respective fields.
4. Click **OK**. Your password is changed successfully. The application navigates back to the Login page where you can login with the new password

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

Copyright Information

To access copyright information, follow these steps:

1. Navigate to the OFSAA Applications page.
2. Click the **About** hyperlink in the OFSAA Login page. The Copyright text displays in a new window.

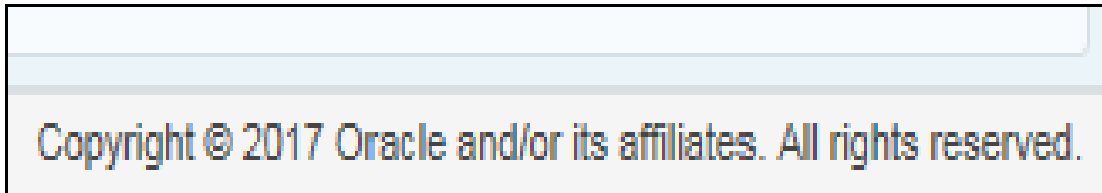


Figure 5. Copyright Information

Troubleshooting Your Display

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

This section covers the following topics:

- [Enabling JavaScript](#)
- [Enabling Cookies](#)
- [Enabling Temporary Internet Files](#)
- [Enabling File Downloads](#)
- [Setting Printing Options](#)
- [Enabling Pop-Up Blocker](#)
- [Setting Preferences](#)

Enabling JavaScript

This section describes how to enable JavaScript.

To enable JavaScript, follow these steps:

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

Enabling Cookies

Cookies must be enabled. If you have problems troubleshooting your display, contact your System Administrator.

Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page.

To adjust your Temporary Internet File settings, follow these steps:

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

Enabling File Downloads

This section describes how to enable file downloads.

To enable file downloads, follow these steps:

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

Setting Printing Options

This section explains the how to enable printing background colors and images must be enabled.

To enable this option, follow these steps:

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

Tip: For best display results, use the default font settings in your browser.

Enabling Pop-Up Blocker

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

To enable Pop-up Blocker, follow these steps:

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

Setting Preferences

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

To access this section, follow these steps:

1. Click **Preferences** from the drop-down list in the top right corner, where the user name is displayed.
The Preferences page is displayed.

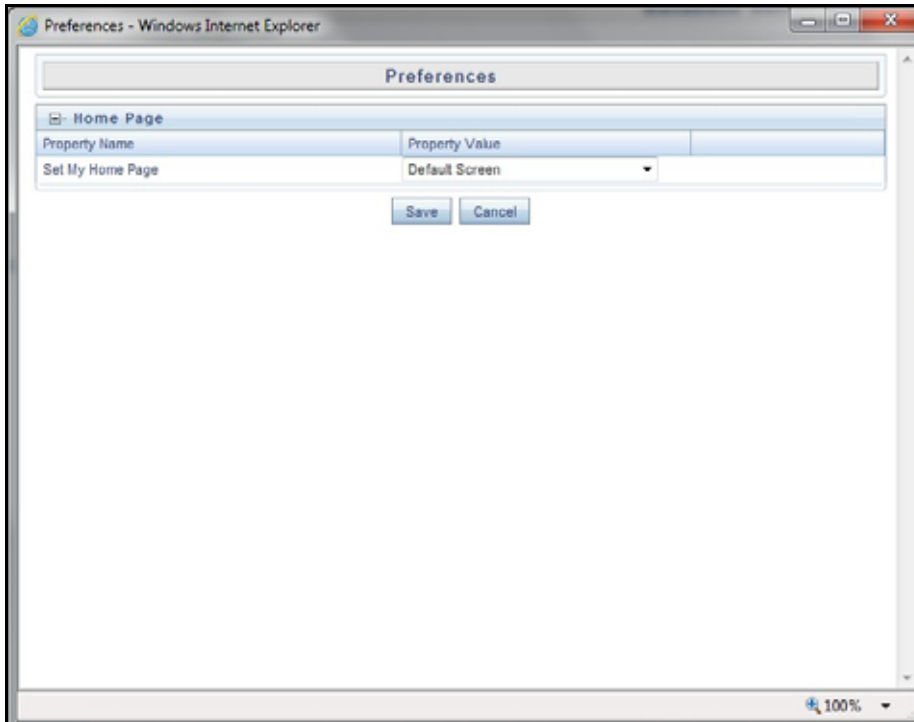


Figure 6. Preference screen.

2. In the Property Value drop-down list, select the application which you want to set as the Home Page.
Note: Whenever new application is installed, the related value for that application is found in the drop-down list.
3. Click **Save** to save your preference.

Logging in to OFS Transaction Filtering

This section explains how to access OFS Transaction Filtering.

The OFSAA Application page has multiple tabs and each tab has specific links to OFSAA Infrastructure and Application modules. The modules, tabs, and links are enabled depending on your user role and the OFSAA Application you select.

This page is divided into two panes:

- **Left Pane:** displays menus and links to modules in a tree format based on the application selected in the Select Application drop-down list.
- **Right Pane:** displays menus and links to modules in a navigational panel format based on the selection of the menu in the Left pane. It also provides a brief description of each menu or link.

To access required applications, follow these steps:

1. Navigate to the OFSAA Applications page.
2. Select **Transaction Filtering** from the Select Application drop-down list.
3. Click **Transaction Filtering** in the RHS. The OFS Transactions Filtering Home page is displayed.

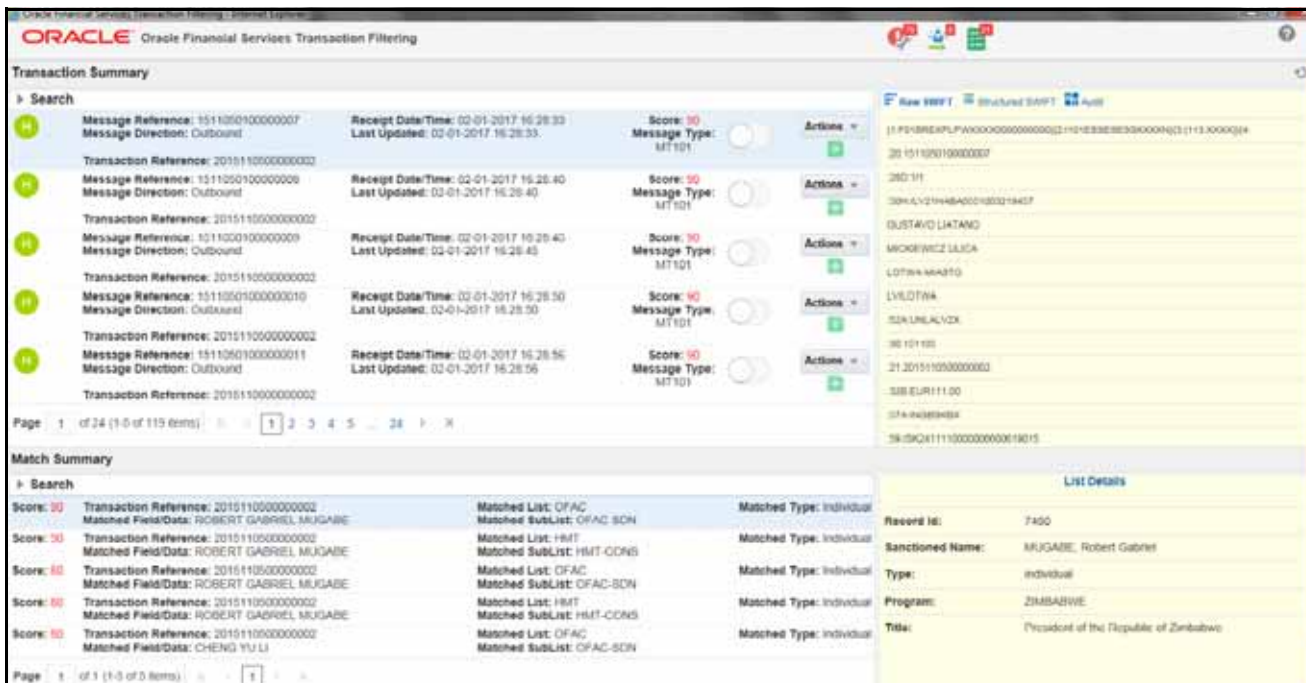


Figure 7. Transaction Filtering Home page

This chapter describes the concept and process of filtering Transactions. It provides systematic instructions to carry out various actions according to the workflow and user roles. This also helps you to understand the various components to accomplish each task.

This chapter covers the following topics:

- [Workflow for Transaction Filtering UI](#)
- [Locking the Transaction](#)
- [Analyzing the Transaction](#)
- [Taking Action on Transaction](#)

Workflow for Transaction Filtering UI

The UI for Transaction Filtering has the following workflow:

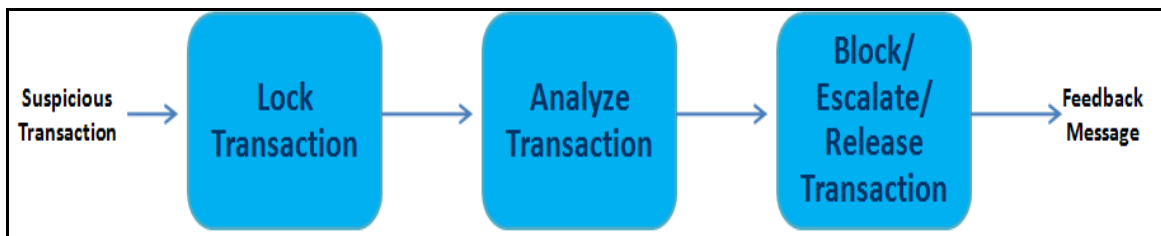


Figure 8. UI Workflow

A suspicious transaction that is obtained after transaction screening is displayed in the analyst's queue. These are transactions that are on 'HOLD'. The analyst picks up a transaction from the queue and works on it by first locking the transaction. Then the analyst must analyze the transaction by observing the transaction details that are displayed in different sections of the UI. After analyzing, the analyst can decide if the transaction must be blocked or released or escalated to the supervisor. The supervisor can take action only on escalated transactions. The details of this workflow are explained in the following sections.

1. [Locking the Transaction](#)
2. [Analyzing the Transaction](#)
3. [Taking Action on Transaction](#)

Locking the Transaction

To work on a particular transaction, lock and assign it to yourself. To lock a transaction, follow these steps:

1. Navigate to the Transaction Filtering home page.

2. In the Transaction Summary section, click the toggle button. The status of the transaction then changes from H (Hold) to A (Assigned).

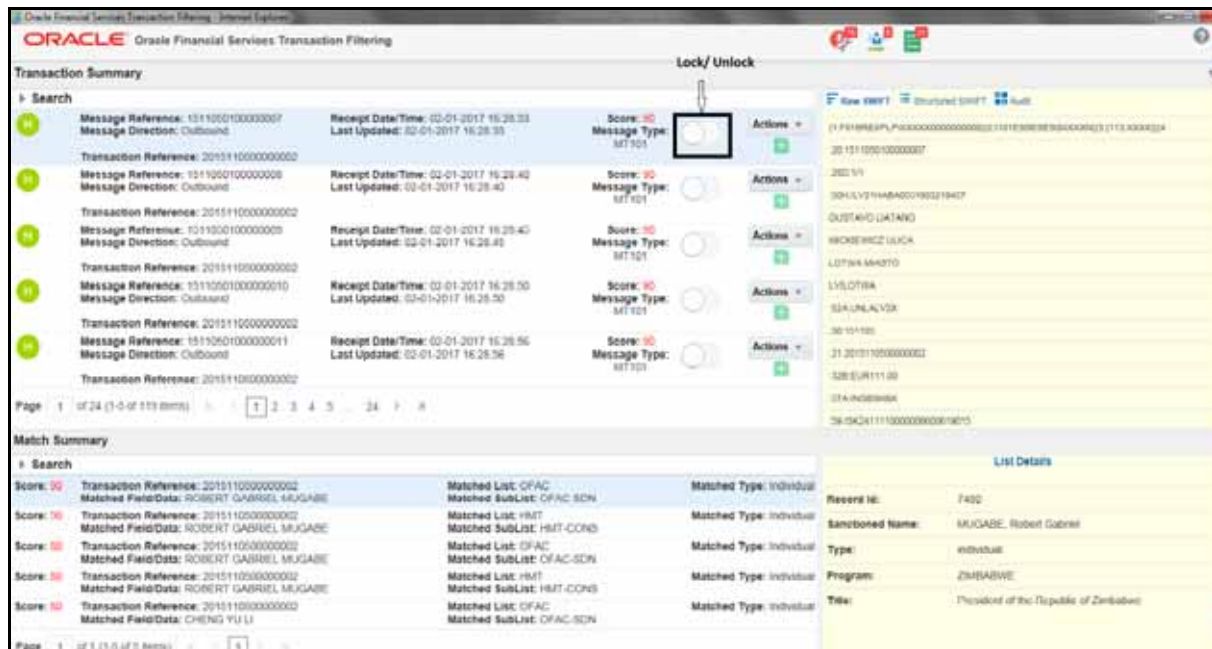


Figure 9. Locking/ Unlocking a Transaction Record

Analyzing the Transaction

Once the transaction is locked, it has to be analyzed by the analyst by observing the transaction details. These transaction details are displayed in the following sections of the UI:

- [Transaction Summary Section](#)
- [SWIFT Message and Audit Section](#)
- [Match Summary Section](#)
- [List Details](#)
- [Notification Section](#)

The following figure shows the different sections of Transaction Filtering UI:

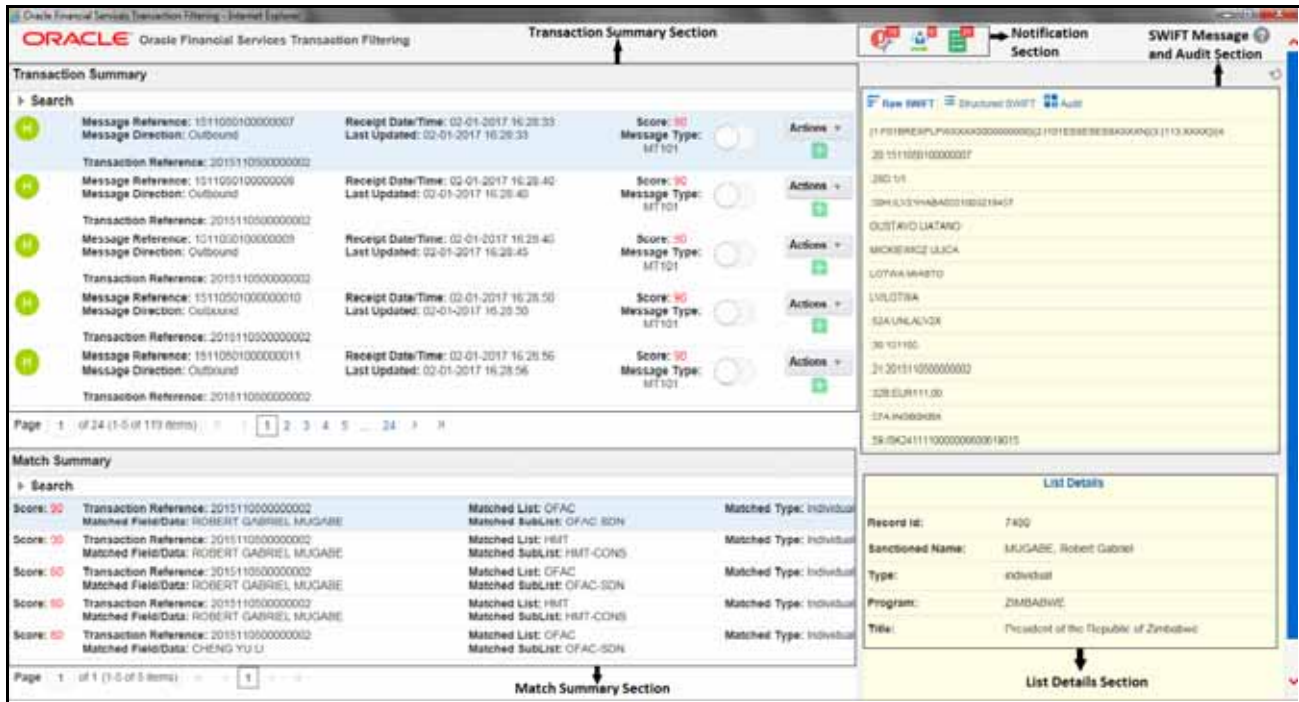


Figure 10. Components of Transaction Filtering UI

Transaction Summary Section

This section displays the list of transactions that are in the analyst’s/supervisor’s queue. You can perform the following actions in this section:

- Locking a transaction
- Taking action on a Transaction
- Adding comments to a Transaction

This section contains the following components:

- Message Reference
- Transaction Reference
- Message Type
- Score
- Status
- Receipt Data - This shows when a transaction was received within the system.
- Last Updated Date - This shows when a transaction was last updated. For example, when you escalate a transaction, then it shows the date that it was escalated. This could also be shown under audit tab instead of showing under summary section.
- Comments - This also contains the user details who has locked a particular transaction

- Lock/ Unlock Action button

Transaction Summary section also has Search feature similar to the Match Summary section.

- Message Reference
- Transaction Reference
- Message Type
- Score
- Status
- Receipt Data

You can filter the data to be displayed by selecting one of the aforementioned criteria in the Search toolbar. You can also reset the search criteria by clicking the **Reset** button.

The screenshot shows a 'Transaction Summary' interface. At the top, there is a 'Search' section with a dropdown menu. Below this, there is a list of five transactions. Each transaction row includes a green circular icon with the letter 'H', a 'Message Reference' and 'Message Direction' (both 'Outbound'), a 'Receipt Date/Time' and 'Last Updated' timestamp, a 'Score' of 90, a 'Message Type' of MT101, and an 'Actions' dropdown menu with a plus sign. At the bottom, there is a pagination bar showing 'Page 1 of 24 (1-5 of 119 items)' and navigation buttons for pages 1, 2, 3, 4, 5, and 24.

Message Reference	Message Direction	Receipt Date/Time	Last Updated	Score	Message Type	Actions
1511050100000007	Outbound	02-01-2017 16:28:33	02-01-2017 16:28:33	90	MT101	Actions
1511050100000008	Outbound	02-01-2017 16:28:40	02-01-2017 16:28:40	90	MT101	Actions
1511050100000009	Outbound	02-01-2017 16:28:45	02-01-2017 16:28:45	90	MT101	Actions
1511050100000010	Outbound	02-01-2017 16:28:50	02-01-2017 16:28:50	90	MT101	Actions
1511050100000011	Outbound	02-01-2017 16:28:56	02-01-2017 16:28:56	90	MT101	Actions

Figure 11. Transaction Summary Section

SWIFT Message and Audit Section

This section contains three tabs.

- Raw SWIFT: You can see the raw SWIFT message of the selected transaction. The suspicious/ matched data is highlighted in yellow. This section highlights the key fields of a transaction which helps you to take quick decisions.

The following figure displays an example.

Raw SWIFT	Structured SWIFT	Audit
:28D:1/1		
:50H:/LV21HABA0551003219457		
Laxmi sagar		
jena colny		
LOTWA MIASTO		
LV/LOTWA		
:52A:UNLALV2X		
:30:151105		
:21:2015110500000001		
:32B:EUR111,00		
:57A:INGBSKBX		
:59:/SK2411110000006600619022		
Srikant		
ULICA		

Figure 12. Raw SWIFT section

Structured SWIFT: You can see the structured form of the SWIFT message of the selected transaction. This displays the important fields in key value format. Following information is displayed in this section:

- Sender
- Receiver
- Amount
- Currency
- Value Date
- Ordering Customer Name
- Ordering Customer Account/IBAN
- Ordering Customer BIC
- Ordering Customer Address
- Beneficiary Customer Name
- Beneficiary Customer Account/ IBAN
- Beneficiary Customer Address

The following figure displays an example.

Raw SWIFT		Structured SWIFT		Audit	
Sender	BREXPLPWXXXX				
Receiver	ESSESESSXXXX				
Ordering Customer Account/IBAN	LV21HABA0551003219457				
Ordering Customer Name	Laxmi sagar				
Ordering Customer Address	jena colny LOTWA MIASTO LV/LOTWA				
Requested Execution Date	05-11-2015				
Currency	EUR				
Amount	11100				
Beneficiary Account/IBAN	SK2411110000006600619022				
Beneficiary Name	Srikant				
Beneficiary Address	ULICA SK/MIASTO				

Figure 13. Structured SWIFT section

This section also contains the Additional Details section. To view this section, click the following button in the Structured SWIFT section:



Following figure displays the Additional Details section:

Additional Details	
Sequence A General Information	
Sender's Reference:	1511050100000001
Message Index/Total:	1/1
Requested Execution Date:	05-11-2015
Sequence B Transaction Details	
Transaction Reference:	2015110500000001
Currency/Transaction Amount:	EUR, 11100
Ordering Customer:	LV21HABA0551003219457 Laxmi sagar jena colny LOTWA MIASTO LV/LOTWA
Account With Institution:	INGBSKEX
Beneficiary:	SK2411110000006600619022 Srikant ULICA SK/MIASTO
Details Of Charges:	SHA

Figure 14. Additional Details section

- **Audit:** You can see the user actions and comments history of the selected transaction. Following figure shows an example of the same:

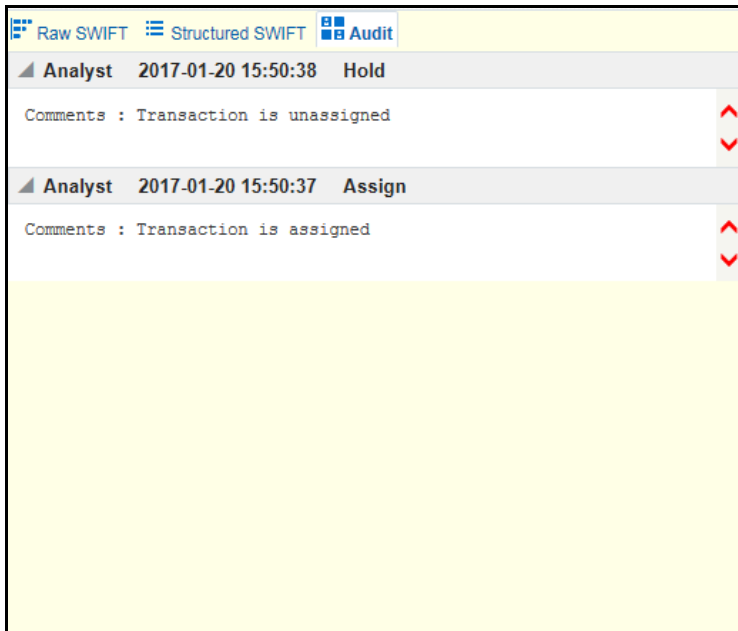


Figure 15. Audit section

Match Summary Section

This section displays a row per match in a transaction with one to one mapping between row and match in a transaction. For every match, the following details are displayed:

- Score
- Transaction Reference
- Matched Field/Data
- Matched Type
- Matched List
- Matched SubList

You can filter the data to be displayed by selecting one of the aforementioned criteria in the Search toolbar. You can also reset the search criteria by clicking the **Reset** button. The Search button has the following criteria:

- Score
- Transaction Reference
- Matched Field/Data
- Matched Type
- Matched List
- Matched SubList

The following figure displays an example.

Match Summary			
Search			
Score: 90	Transaction Reference: 2015110500000002 Matched Field/Data: ROBERT GABRIEL MUGABE	Matched List: OFAC Matched SubList: OFAC-SDN	Matched Type: Individual
Score: 90	Transaction Reference: 2015110500000002 Matched Field/Data: ROBERT GABRIEL MUGABE	Matched List: HMT Matched SubList: HMT-CONS	Matched Type: Individual
Score: 80	Transaction Reference: 2015110500000002 Matched Field/Data: ROBERT GABRIEL MUGABE	Matched List: OFAC Matched SubList: OFAC-SDN	Matched Type: Individual
Score: 80	Transaction Reference: 2015110500000002 Matched Field/Data: ROBERT GABRIEL MUGABE	Matched List: HMT Matched SubList: HMT-CONS	Matched Type: Individual
Score: 80	Transaction Reference: 2015110500000002 Matched Field/Data: CHENG YU LI	Matched List: OFAC Matched SubList: OFAC-SDN	Matched Type: Individual

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Figure 16. Match Summary section

List Details

This section displays the Watchlist details that matches with the transaction data. This helps you analyze the transaction and decide if it has to be passed or not. A unique Record ID is assigned to every such transaction. The following figure displays an example.

List Details	
Record Id:	7490
Sanctioned Name:	MUGABE, Robert Gabriel
Type:	individual
Program:	ZIMBABWE
Title:	President of the Republic of Zimbabwe

Figure 17. List Details section

Notification Section

This section displays the number of notifications when you log in to the system. This is displayed on the top right-hand corner of the application. The display of notifications depends on the user role logged in.

There are three kinds of notifications that are displayed:

- Hold Transactions
- Escalated Transactions
- False Positive Transactions

Taking Action on Transaction

Based on the analysis, provide an action to the transaction. Actions can be of three types:

- Escalate
- Block
- Release

You can also add a comment to any transaction. For more information, see [Adding Comments to a Transaction](#).

Escalating a Transaction

This action is only available to the Analyst. You can escalate the transaction to the Supervisor if you need further analysis and approval. Follow these steps:

1. Navigate to the Transaction Filtering home page.
2. Select **Escalate** from the Actions drop-down list.
3. Provide comments to explain your analysis and click **Save**. The status of the transaction changes to **E** (ESCALATED).

Blocking a Transaction

This action is only available to the Analyst and Supervisor. You can block the transaction if you find blacklisted data. Follow these steps:

1. Navigate to the Transaction Filtering home page.
2. Select **Block** from the Actions drop-down list.
3. Provide comments to explain your analysis and click **Save**. The status of the transaction changes to **B** (Blocked).

Releasing a Transaction

This action is available to the Analyst and Supervisor. You can release a transaction if it is clean. Follow these steps:

1. Navigate to the Transaction Filtering home page.
2. Select **Release** from the Actions drop-down list.
3. Provide comments to explain your analysis and click **Save**. The status of the transaction changes to **R** (Released). This transaction is called a False Positive Transaction.

Adding Comments to a Transaction

You can add a comment to any transaction. There are two ways:

- Comments logged during taking Release/Block/Escalate action
- Ad hoc comments when transaction is in locked status or escalated status.

Follow these steps to add an ad hoc comment:

1. Navigate to the Transaction Filtering home page.
2. Assign the transaction to yourself by locking it.

3. Click the + button that is associated to the transaction that you want to add comments to. The comments window is displayed.

Enter your comments and click **Save**. The comment is added to the audit history of that transaction. The following figure displays an example.

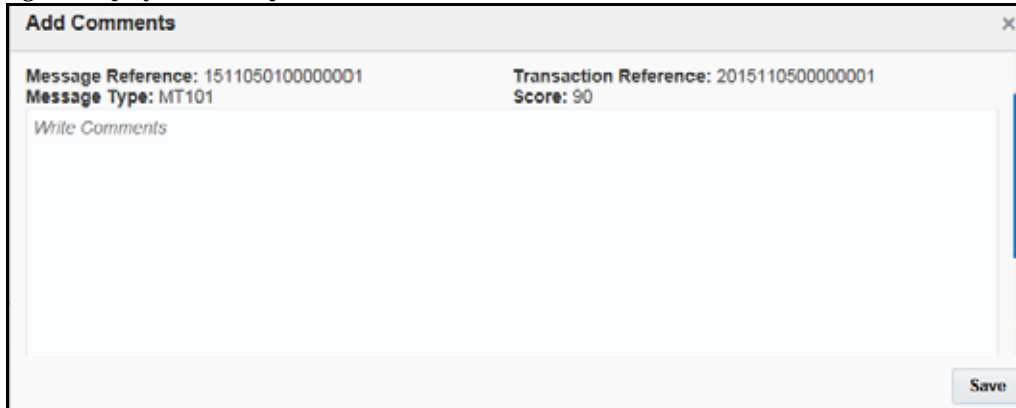


Figure 18. Adding Comments

Order of Transactions Displayed

The transactions that are displayed are in the following order for the users:

Analyst:

1. Assigned
2. Hold
3. Escalated
4. Blocked
5. Released

Supervisor:

1. Escalated
2. Blocked
3. Released

