

Oracle Financial Services Transaction Filtering User Guide

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User Guide

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Revision History

The following table describes the revision history of the User Guide.

Date	Edition	Description
October 2017	8.0.5	Created the User Guide.
January 2018	8.0.5.0.2	Added the Risk Summary and Risk Details in <i>Chapter 3, Match Summary Section</i> .
February 2018	8.0.5.0.3	<p>Added a section, <i>Good Guy/White List Matching</i>, for Good Guy/White list in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Added the new statuses available to the Analyst for a four-eyes work flow in section <i>Features of Transaction Filtering in Chapter 1, About Transaction Filtering</i> and in section <i>Work Flows for Transaction Filtering in Chapter 3, Managing Transaction Filtering</i>. Also added related navigation sections.</p> <p>Added the new status available to the Supervisor for a four-eyes work flow in section <i>Features of Transaction Filtering in Chapter 1, About Transaction Filtering</i> and <i>Chapter 3, Managing Transaction Filtering</i>. Also added related navigation sections.</p> <p>Added a work flow diagram for four-eyes in <i>Chapter 3, Managing Transaction Filtering</i>. Added content in the <i>Taking Action on Transaction</i> section in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Added a section, <i>Task Emails</i>, in <i>Chapter 3, Managing Transaction Filtering</i>.</p>
May 2018	8.0.6.0.0	<p>Updated the <i>Good Guy/White List Matching</i> section to include updates in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Updated the structured SWIFT fields in the <i>SWIFT Message and Audit</i> section.</p> <p>Changed the screens to display the new login page, navigation and home page in <i>Chapter 2, Getting Started</i>.</p> <p>Added a section for the Good Guy workflow in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Changed the transaction UI screens in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Updated the <i>Good Guy/White List Matching</i> section to include the new good guy workflow in <i>Chapter 3, Managing Transaction Filtering</i>.</p>
July 2018	8.0.6.0.1	<p>Updated the Good Guy List details page in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Added a section, <i>Adding, Editing or Deleting Good Guy Record</i>, in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Added a section, <i>Adding New Match Rules</i>, in <i>Chapter 3, Managing Transaction Filtering</i>.</p>

Revision History

Date	Edition	Description
August 2018	8.0.5.0.7	<p>Added the new criteria in the search field of the Transaction Summary section in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Added a new section, <i>Sort by</i>, in the Transaction Summary section in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Updated content in section <i>Approving or Rejecting Transactions</i> to say that it is mandatory to add comments when you take an action on a transaction in <i>Chapter 3, Managing Transaction Filtering</i>.</p> <p>Updated the screen to show the Search Hyperlink in the section <i>List Details</i> in <i>Chapter 3, Managing Transaction Filtering</i>.</p>

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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 Work Flow](#)
- [Score Matching Logic](#)
- [Feedback Message](#)
- [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 match score for any given message or transaction through rules configured within the system. These match rules screen entities such as Individual, Organizations, Countries and Cities with whom any business or transaction is prohibited using EDQ.
- Generates a risk score for any given message or transaction through rules configured within the system. These risk rules contain parameters such as amount, currency, destination country and so on.
- Marks suspicious transactions based on configured parameters.
- Configures different score for different matching rules.
- Provides ability to add general notes/comments to the message, either as an analyst or supervisor.
- Provides ability to add notes/comments while taking an action on the message. For a standard work flow, the actions are Release, Block, and Escalate for an Analyst, and Release and Block for a Supervisor. For a four-eyes work flow, the actions are Recommend to Release, Recommend to Block, and Escalate for an Analyst, and Release, Block and Reject for a Supervisor
- Manages and maintains multiple watch lists.

- Supports a flexible and configurable work flow. It has the ability to have a number of levels of alert management and user profiles to enable segregation of duties.

Transaction Filtering Work Flow

The following figure illustrates the standard work flow of Oracle Financial Services Transaction Filtering.

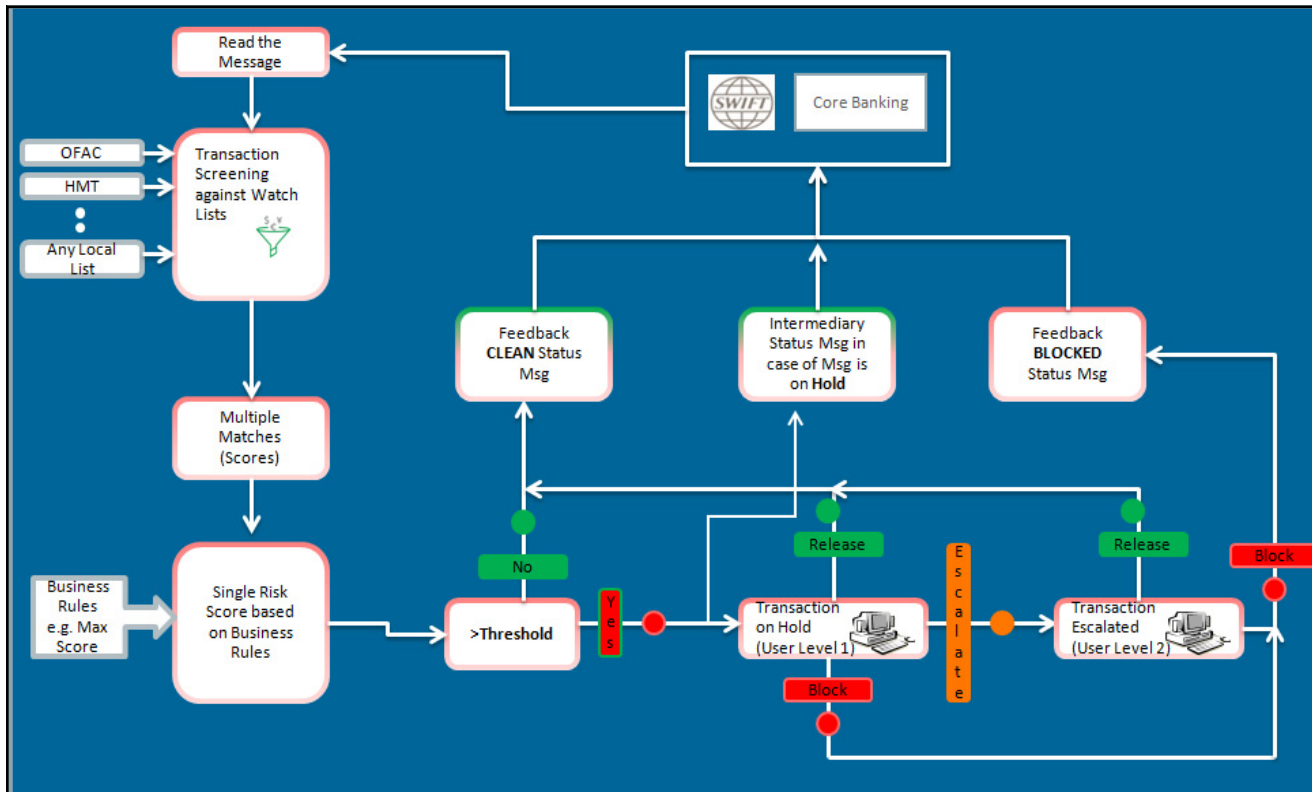


Figure 29. Transaction Filtering Work Flow

1. The application reads the SWIFT message from the source system and then sends the transactions for screening.
2. The entire message with 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 such as HMT, OFAC, EU, Dow Jones, Thomson Reuters - World Check, and UN.
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 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. Risk scores are generated based on the risk rules configured in the risk engine. One of the risk rules gives the result of matching by default.
 7. A score is checked against the threshold limit that is set within the application. For more information on how scores are assigned, see [Score Matching Logic](#).
 8. If the score is greater than the threshold limit then that transaction is treated as a suspicious transaction. Otherwise, it is a clean transaction.
 9. If all transactions present within a message are clean, then a feedback message is sent to the source system with CLEAN status.
 10. If any transaction is found suspicious then the complete message is moved to HOLD status and it is available for user action.
 11. 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 a message from the payment system, scans it against the watch lists, and does risk scoring on that message.
 2. If the message is found CLEAN, OFS TF sends a feedback message with CLEAN status back to payment system through the message queue.
 3. If the message 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 the message (first level review) and makes a decision to Release, Block or escalate the message. OFS TF sends a feedback (CLEAN/BLOCKED) message to the payment system for the message reviewed.
- For a four-eyes work flow, the Analyst can Recommend to Release, Recommend to Block or escalate the message to the Supervisor.
5. If the Analyst escalates the message, the message is sent to the Supervisor (Second level review). The Supervisor can block or release the message and add comments.

For a four-eyes work flow, the Supervisor can Release, Block or Reject the message.

You can view the associated matched data of a particular message or transaction from the match summary section. You can also view the risk score details from the risk summary section. For more information, see [Match Summary Section](#) and [Risk Summary Section](#).

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, and does risk scoring on that message.
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. You can view the associated matched data of a particular message or transaction and take a decision. For more information, see [Match Summary Section](#). OFS TF sends a feedback (CLEAN/BLOCKED) message to the payment system for the message reviewed.

For a four-eyes work flow, the Analyst can Recommend to Release, Recommend to Block or escalate the message to the Supervisor.

5. If the Analyst escalates the message, the message is sent to the Supervisor (Second level review). The Supervisor can block or release the message and add comments.

For a four-eyes work flow, the Supervisor can Release, Block or Reject the message.

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.

You can view the associated matched data of a particular message or transaction from the match summary section. You can also view the risk score details from the risk summary section. For more information, see [Match Summary Section](#) and [Risk Summary Section](#).

Score Matching Logic

There are two types of scores:

Match Score: A number indicating the strength of the correlation between the input message data and the match list record. The match score is expressed as an integer between 1 and 100, with higher numbers indicating a stronger match.

Risk Score: A number indicating the relative 'riskiness' of the message. The risk score is expressed as an integer between 1 and n, with higher numbers indicating a higher risk.

Transaction Filtering includes a mechanism for estimating the relative risk associated with a message. A risk score is calculated based on risk rules. Each risk rule contains attributes such as currency, amount, destination country, originator country, and so on. For a full description of the risk scores, see the section **Configuring Risk Scoring Rules** in *OFS TF Admin Guide*.

The logic used in scoring the transactions is as follows:

A match score is generated out of the screening results generated from the matching engine (EDQ). A risk score is then generated from the risk assessment in the risk rule engine (IPE). The risk rule is the sum of the match score and the risk scores that are generated for each message. Also, if the risk score is greater than the risk threshold configured in the risk rule engine, then an alert is generated.

Feedback Message

If feedback action is enabled in Transaction Filtering, then a feedback message is sent to the source system for each received message received. The following are the various scenarios for a feedback system:

- A CLEAN status feedback message is sent to the source system if all the transactions within the message do not have suspicious data.
- A BLOCKED status feedback is sent to the source system if any of the transaction or all transactions in the message has any suspicious data. It also sends an intermediary feedback message with HOLD status to the source system.
- Parser level errors are reported in the feedback message.
- For multiple transactions in a message, a single feedback message is sent with details of each transaction in it.
- Feedback message is displayed in Key and Value format for every message in JMS queue called **RTI Feedback Queue** irrespective of whether it is clean or blocked.

The details of the match and the risk reasons are reported in the feedback.

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
Recommend to Release Transaction	X	
Recommend to Block Transaction	X	
Release Transaction	X	X
Block Transaction	X	X
Escalate Transaction	X	
Reject 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 Google Chrome. 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.

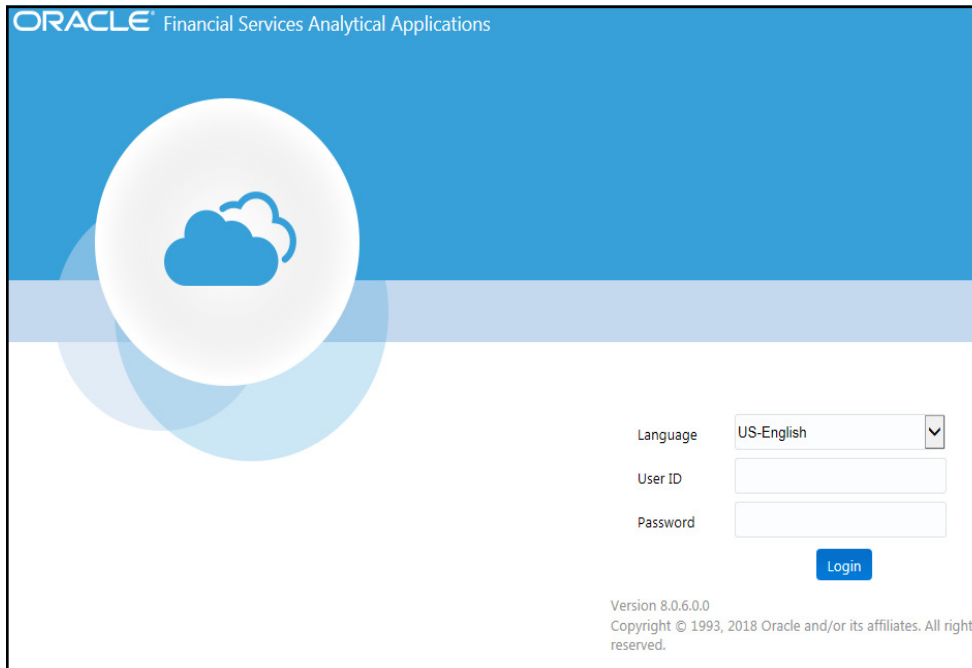


Figure 30. OFSAA Login Page

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.

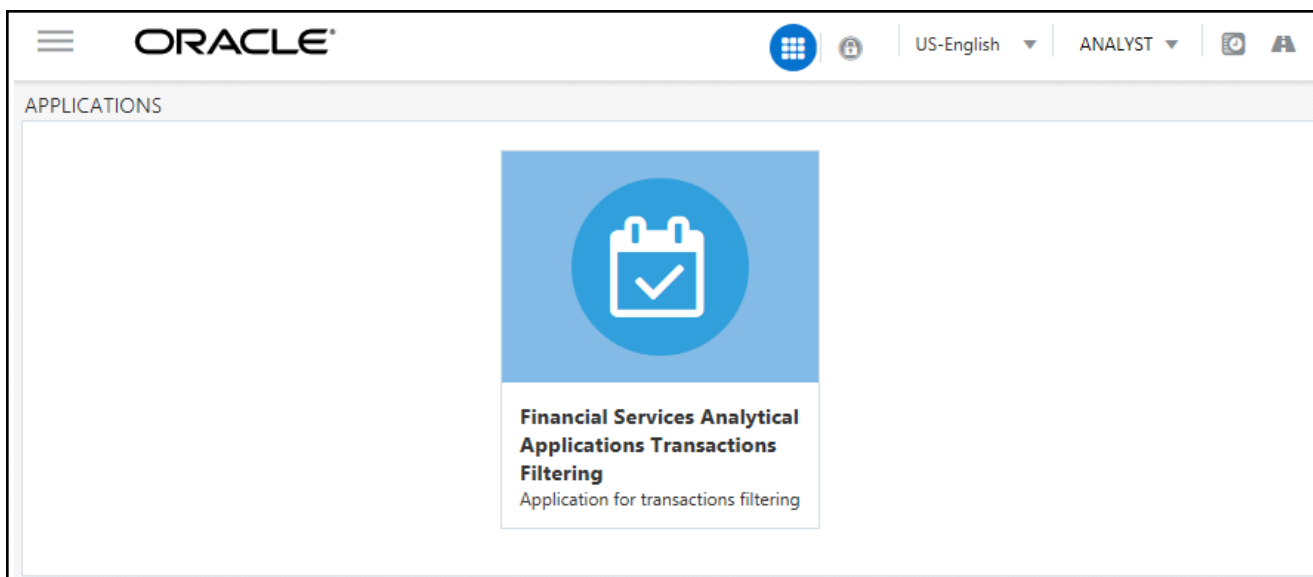


Figure 31. OFSAA Application Page

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.

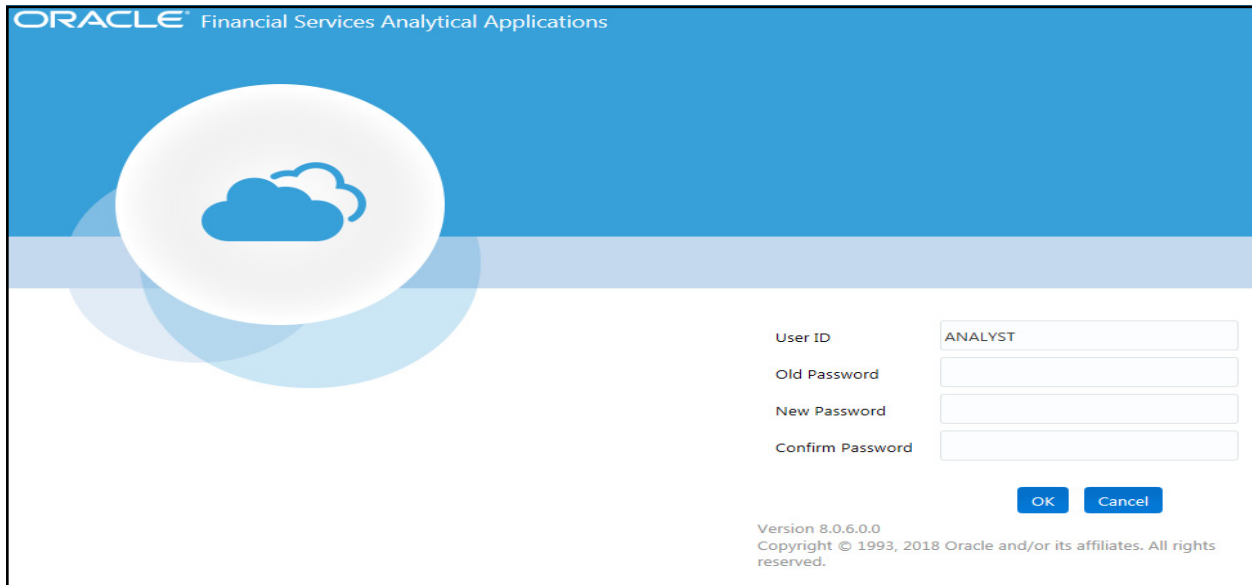


Figure 32. Change Password Window

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 33. 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.

The screenshot shows a web interface titled "Preferences". Under the "Home Page" section, there is a table with two columns: "Property Name" and "Property Value". The table contains one row with "Set My Home Page" in the first column and "Default Screen" in the second column, which has a downward arrow indicating a drop-down menu. Below the table are two buttons: "Save" and "Cancel".

Property Name	Property Value
Set My Home Page	Default Screen

Figure 34. 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. Click **Financial Services Sanctions Pack**.
3. Click **Transaction Filtering**. The OFS Transactions Filtering Home page is displayed.

Logging in to OFS Transaction Filtering

Chapter 2—Getting Started

ORACLE Oracle Financial Services Transaction Filtering

Transaction Summary

Search

Transaction ID	Message Identifier	Last Updated	Transaction Ref	Received Date	Jurisdiction	Amount	Currency	Business Unit
MT101	1511050100THU111	02-07-2018 18:50:11	2015110500000001	14-06-2018 18:22:21	All	111	EUR	Payments
MT101	1511050100THU333	02-07-2018 18:39:03	2015110500000001	14-06-2018 18:21:00	All	111	EUR	Payments
MT101	1511050100THU222	02-07-2018 18:40:14	2015110500000001	14-06-2018 18:22:08	All	111	EUR	Payments
MT101	1511050100THU444	02-07-2018 18:57:03	2015110500000001	14-06-2018 18:22:39	All	111	EUR	Payments

Page 1 of 1 (1-4 of 4 items)

MatchSummary RISKSUMMARY [List Data](#)

References: 2015110500000001 Pending Actions: 13

Search

Matched Type	Matched List	Match Score
Country and City	Blacklisted Country Reference Data	98
Matched Field/Data: SYRIA	Matched SubList: N/A	

Raw SWIFT | Structured SWIFT | Audit

```
{1:F01BREPPLPWXXXX0000000000}
{2:101ESSESESSXXXXN}
{3:{113:XXXX}}
{4:
:20:1511050100000001
:28D:1/1
:50H/LV21HABA0551003219457
GUSTAVO LIATANO
MICKIEWICZ ULICA
LOTWA MIASTO
LV/LOTWA
:52A:UNLALV2X
:30:151105
:21:2015110500000001
:32B:EUR111,00
:57A:SIIBSYDA
```

Figure 35. 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 work flow and user roles. This also helps you to understand the various components to accomplish each task.

This chapter covers the following topics:

- [Work Flows for Transaction Filtering](#)
- [Locking the Transaction](#)
- [Analyzing the Transaction](#)
- [Good Guy/White List Matching](#)
- [Taking Action on Transactions](#)
- [Task Emails](#)

Work Flows for Transaction Filtering

The UI for Transaction Filtering has the following work flow:

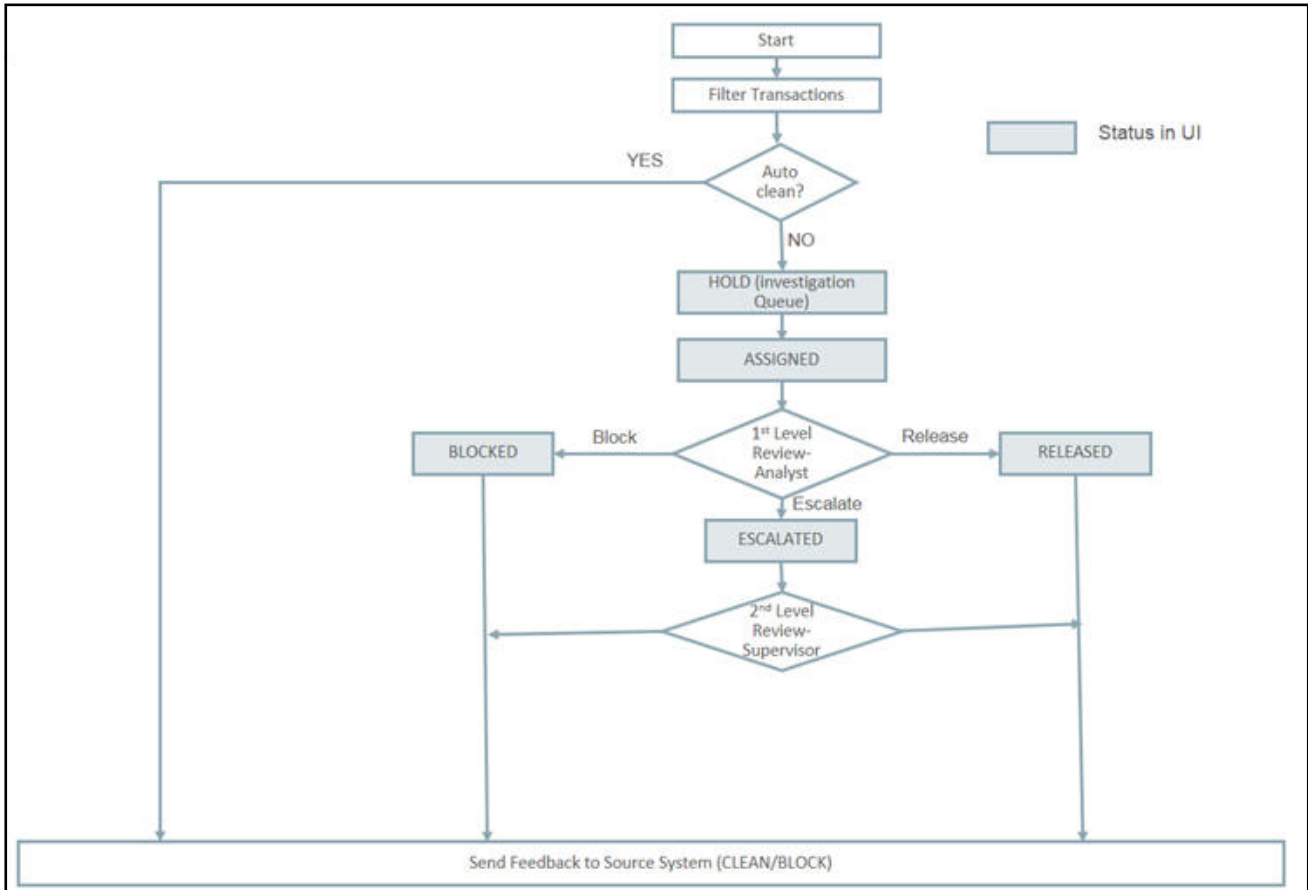


Figure 36. Standard Work Flow for Transaction Filtering

A suspicious transaction that is obtained after transaction screening is displayed in the analyst’s queue. These are transactions that are on Hold (**H**). The analyst picks up a transaction from the queue and works on it by first locking the transaction. The transaction is Assigned (**A**) to the analyst. Then the analyst must analyze the transaction by observing the transaction details that are displayed in different sections of the UI. The analyst can then decide if the transaction must be Blocked(**B**), Released(**R**) or Escalated(**E**). If escalated, the transaction is assigned to the supervisor. The supervisor can then Release or Block the transaction.

The supervisor can overwrite any action provided by the Analyst. So if the Analyst has selected Release, the Supervisor can block or release the transaction, and if the Analyst has selected Block, the Supervisor can block or release the transaction

The UI for Transaction Filtering has the following work flow for four-eyes:

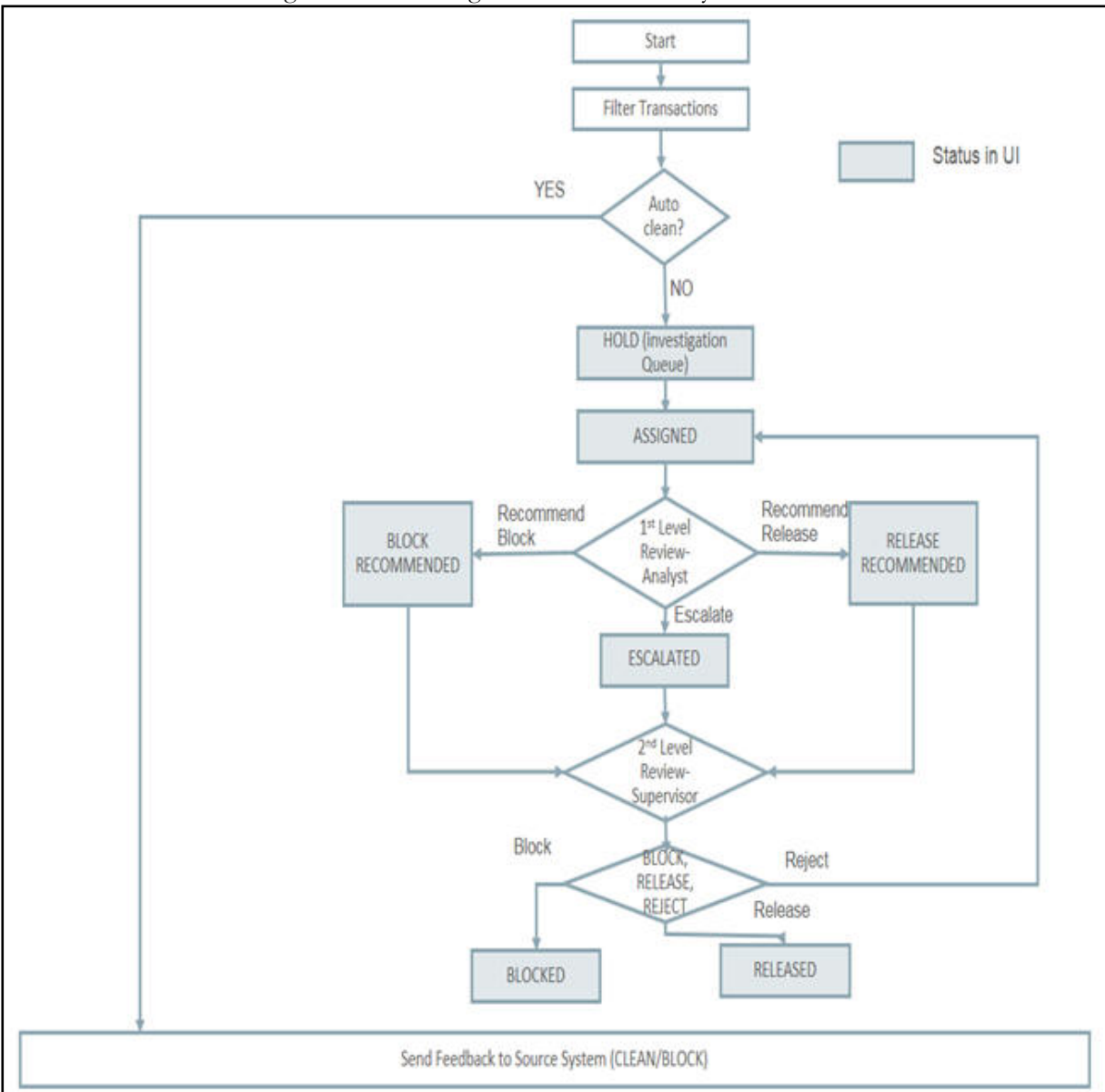


Figure 37. Four-Eyes Work Flow for Transaction Filtering

A suspicious transaction that is obtained after transaction screening is displayed in the analyst’s queue. These are transactions that are on Hold (**H**). The analyst picks up a transaction from the queue and works on it by first locking the transaction. The transaction is Assigned (**A**) to the analyst. Then the analyst must analyze the transaction by observing the transaction details that are displayed in different sections of the UI. The analyst can then decide if the transaction must be Recommend to Block (**BR**), Recommend to Release (**RR**), or Escalated (**E**). If escalated, the transaction is assigned to the supervisor. The supervisor can then Release, Block or Reject the transaction.

The supervisor can overwrite any action provided by the Analyst. So if the Analyst has selected Recommend to Release, the Supervisor can block, release, or reject the transaction, and if the Analyst has selected Recommend to Block, the Supervisor can block, release, or reject the transaction.

The UI for Transaction Filtering has the following work flow for good guy:

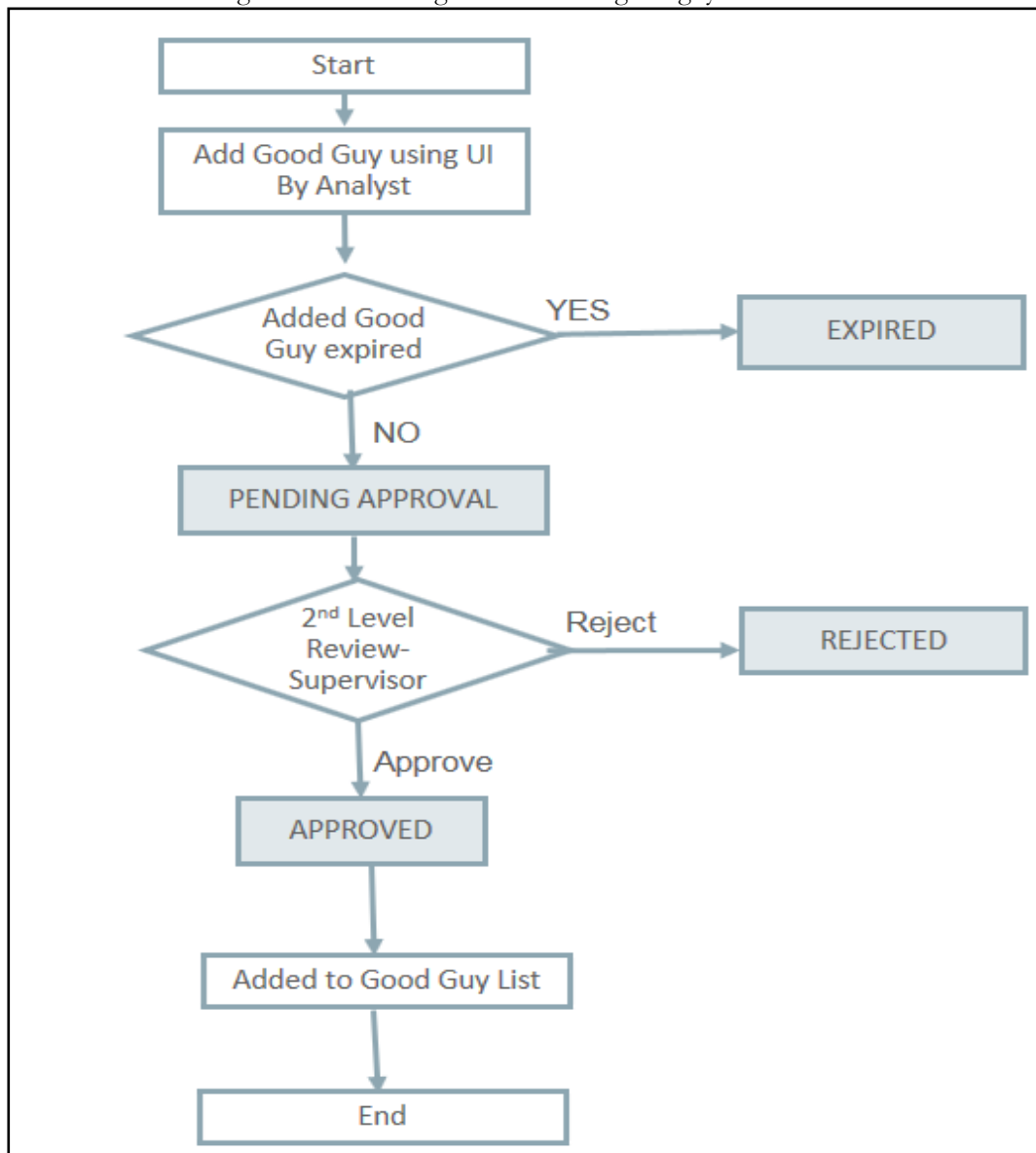


Figure 38. Good Guy Work Flow for Transaction Filtering

For more information on the flow, see *Good Guy/White List Matching*.

The details of these work flows are explained in the following sections.

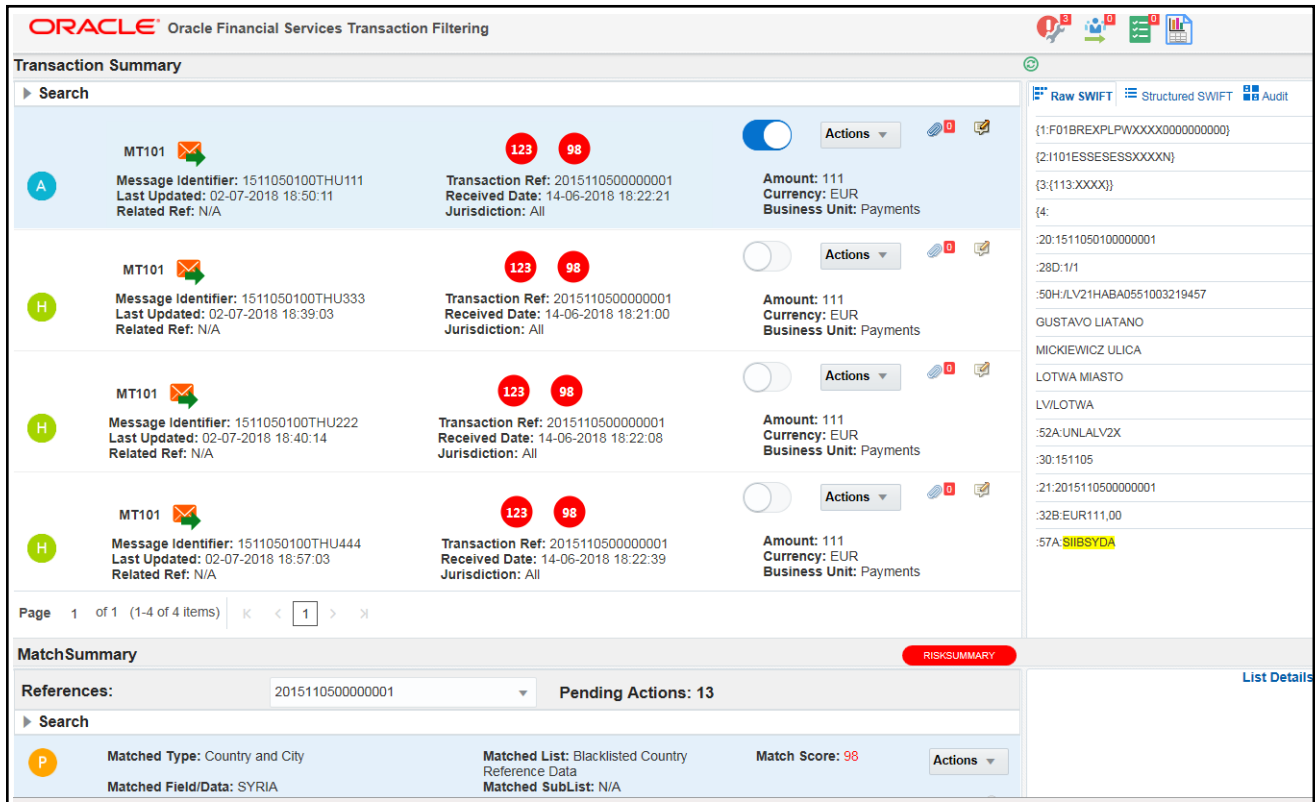
1. Locking the Transaction
2. Analyzing the Transaction
3. Taking Action on Transactions

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).



The screenshot displays the Oracle Financial Services Transaction Filtering interface. The top section is titled "Transaction Summary" and contains a search bar and a list of four transaction records. Each record shows a status indicator (A for Assigned, H for Hold), message identifier, transaction reference, amount, currency, and business unit. A toggle switch is shown next to each record, currently set to "Hold" (H). Below this is a "Match Summary" section showing a search for transaction reference 2015110500000001, with 13 pending actions and a match score of 98. The match details show a match for "Country and City" with a score of 98.

Figure 39. Locking/ Unlocking a Transaction Record

Adding New Match Rules

To add new match rules:

1. Add the new match rule code in the V_MATCHED_RULE_CODE column of the dim_sanctions_matched_rule table.
2. Add the new match rule name in the V_MATCHED_RULE_NAME column of the dim_sanctions_matched_rule table in the following format: *[match rule code]match rule name*. For example, *[I030B]Additional names in any order typo tolerant, city*.

Analyzing the Transaction

Once the transaction is locked, the analyst works on the transaction by observing its 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
- Risk Summary Section
- Notification and Reporting Section

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

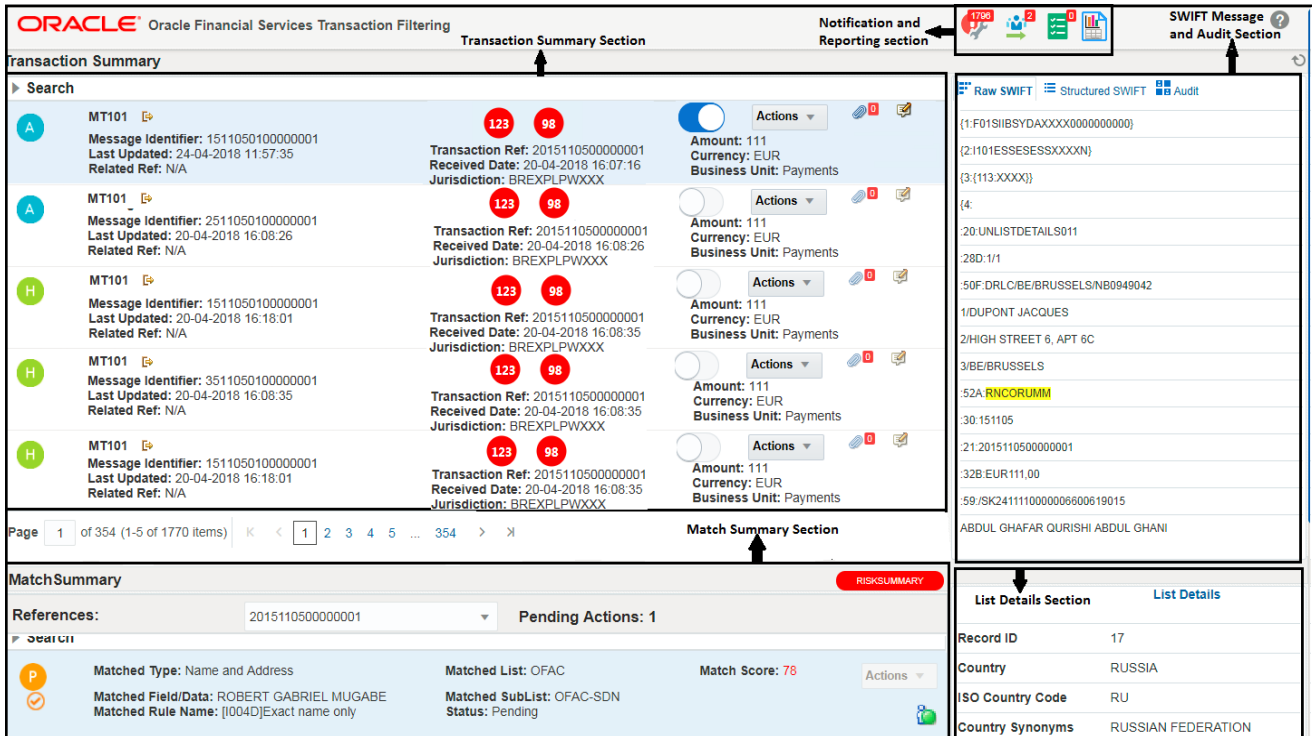


Figure 40. Components of Transaction Filtering UI

Transaction Summary Section


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

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

This section contains the following components:

- Message Status
- Message Reference

- Message Direction
- Match Score
- Message Transaction Reference
- Message Type
- Matched Risk Score
- Message Last Updated Date
- Message Receipt Date/ Time

- Lock/ Unlock Action button: Use  lock or unlock the message.
- Comments: For information on how to add a comment, see [Adding Comments to a Transaction/ Message](#).
- Attachment: For information on how to add an attachment, see [Attaching a File to a Transaction/ Message](#).

The Search section has the following criteria:



- Message Reference: Enter or search for a message reference.
- Message Identifier: Enter or search for a message identifier.
- Message Type: Enter or search for a message type.
- Transaction Reference: Enter or search for a transaction reference.
- Message Direction: Enter or search for a message direction.
- Related Reference: Enter or search for a message reference.
- Amount: Enter or search for an amount.
- Currency: Enter or search for a Currency.
- Jurisdiction: Enter or search for a Jurisdiction.
- Business Domain: Enter or search for a Business Domain.
- Match Score: Select a particular score or a range of scores to display the respective message/s by selecting Basic Search or Advanced Search respectively.
- Risk Score: Select a particular Risk score or a range of Risk scores to display the respective message/s by selecting Basic Search or Advanced Search respectively.
- Status: Enter or search for the status of a message.
- Receipt Date: Select a particular Receipt Date or a period range for the Receipt Date to display the respective message.

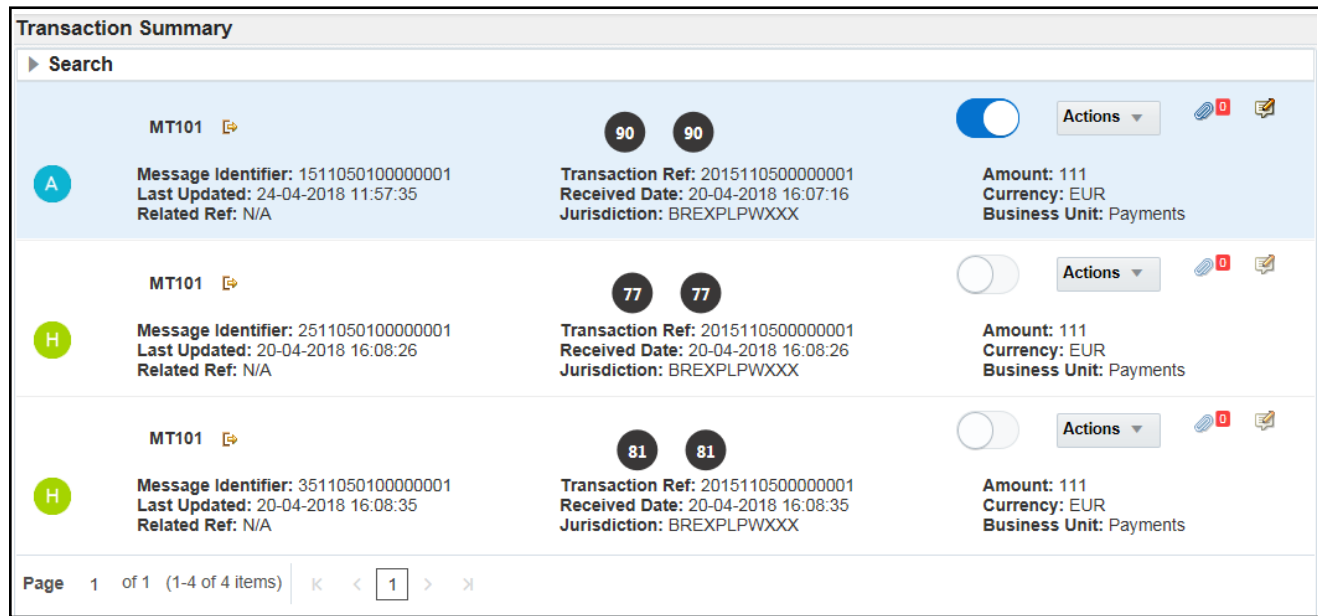
You can filter the data to be displayed by selecting one of the aforementioned criteria in the Search toolbar. You can also reset the search criteria by clicking the **Reset** button.

The *Sort by* section has the following criteria:

- Receipt Date/Time
- Amount
- Match Score

- Risk Score

To sort the transactions by a particular criterion, select the criterion. Click  to sort the transactions in ascending order and click  to sort the transactions in descending order.



The screenshot displays the 'Transaction Summary' section of a software interface. It features a search bar at the top and a list of three transaction entries. Each entry includes a status indicator (A or H), a message identifier, last updated date, related reference, transaction reference, received date, jurisdiction, amount, currency, and business unit. The first entry is in status 'A' with a risk score of 90. The second and third entries are in status 'H' with risk scores of 77 and 81 respectively. The interface also includes a pagination control at the bottom showing 'Page 1 of 1 (1-4 of 4 items)'.

Status	Message Identifier	Last Updated	Related Ref	Transaction Ref	Received Date	Jurisdiction	Amount	Currency	Business Unit
A	1511050100000001	24-04-2018 11:57:35	N/A	2015110500000001	20-04-2018 16:07:16	BREXPLPWXXX	111	EUR	Payments
H	2511050100000001	20-04-2018 16:08:26	N/A	2015110500000001	20-04-2018 16:08:26	BREXPLPWXXX	111	EUR	Payments
H	3511050100000001	20-04-2018 16:08:35	N/A	2015110500000001	20-04-2018 16:08:35	BREXPLPWXXX	111	EUR	Payments


Figure 41. Transaction Summary Section

Adding Comments to a Transaction/ Message

You must enter comments for a 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. The status changes from **H** to **A**.
3. Click **Add Comments**  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 42. Adding Comments

Attaching a File to a Transaction/ Message

You can also attach a file to the transaction/ message. Follow these steps:

1. Click **Attach** . The Attach a File window is displayed.
2. Click the Browse button.
3. Select the file you want to attach.
4. Click **Save**.

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.

```
{1:F01SIIBSYDAXXX0000000000}
{2:I101ESSESESSXXXN}
{3:{113:XXX}}
{4:}
:20:UNLISTDETAILS011
:28D:1/1
:50F:DRLC/BE/BRUSSELS/NB0949042
1/DUPONT JACQUES
2/HIGH STREET 6, APT 6C
3/BE/BRUSSELS
:52A:RNCORUMM
:30:151105
:21:2015110500000001
:32B:EUR111,00
:59:/SK2411110000006600619015
ABDUL GHAFAR QURISHI ABDUL GHANI
```

Figure 43. 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
 - Requested Execution Date
 - Originator Identifier
 - Originator Address
 - Beneficiary Address
 - Originator Country
 - Destination Country

The following figure displays an example.

Raw SWIFT		Structured SWIFT		Audit	
Additional Details					
Sender:	CHASUS33XXX				
Receiver:	ESSESESSXXX				
Amount:	11100				
Currency:	USD				
Requested Execution Date:	2015-11-05 00:00:00.0				
Originator Identifier:	/LV21HABA0551003219457				
Originator Address:	GUSTAVO LIATANO MICKIEWICZ ULICA LOTWA MIASTO LV/LOTWA				
Beneficiary Address:	ROBERT GABRIEL MUGABE ULICA SK/MIASTO				
Destination Country:	SY				
Additional Details					

Figure 44. Structured SWIFT section

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

Following figure displays the Additional Details section:

Additional Details		X
	Field Name	
▶ Basic Header Block		
▶ Application Header Block		
▶ User Header Block		
▶ Text Block		

Figure 45. Additional Details section

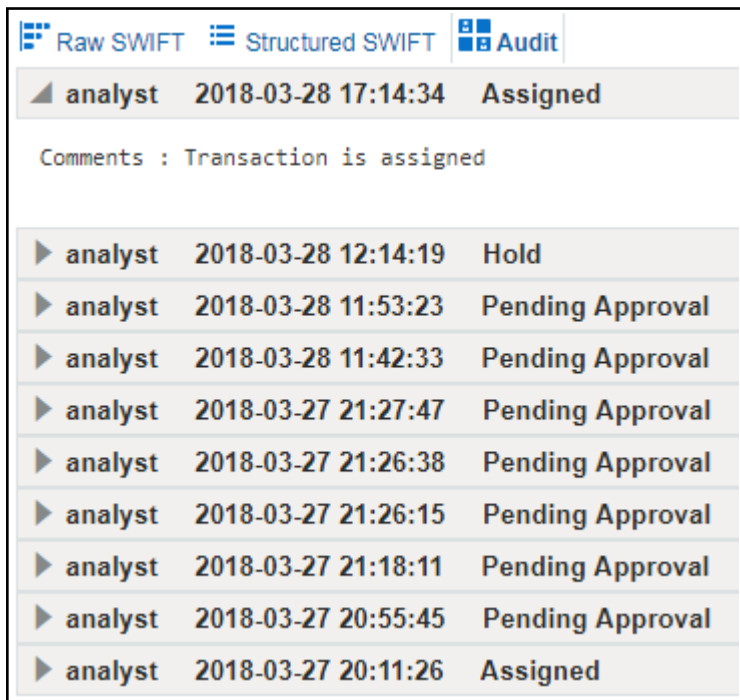
This section contains the following details of the message:

- Basic Header Block
- Application Header Block
- User Header Block

- Text Block

For more information on Message details blocks, see OFS TF Admin Guide.

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



Raw SWIFT	Structured SWIFT	Audit
▲ analyst	2018-03-28 17:14:34	Assigned
Comments : Transaction is assigned		
▶ analyst	2018-03-28 12:14:19	Hold
▶ analyst	2018-03-28 11:53:23	Pending Approval
▶ analyst	2018-03-28 11:42:33	Pending Approval
▶ analyst	2018-03-27 21:27:47	Pending Approval
▶ analyst	2018-03-27 21:26:38	Pending Approval
▶ analyst	2018-03-27 21:26:15	Pending Approval
▶ analyst	2018-03-27 21:18:11	Pending Approval
▶ analyst	2018-03-27 20:55:45	Pending Approval
▶ analyst	2018-03-27 20:11:26	Assigned

Figure 46. Audit section

Match Summary Section

This section lists all the matches for a message. In case of multiple transactions within a message, matches get grouped under respective transaction reference for transaction level match and message level matches separately. You can review all matches in this section before blocking or releasing a message.

You can select Transaction Level Matches or Message Level Matches (common for all transactions) by choosing the Transaction Reference or Message Reference from the References dropdown list. You can also search for criteria

using the Search option. To view the Search fields, click . The following options are displayed:

- Matched Type
- Matched List
- Match Score
- Matched Field/Data
- Matched Sub List
- Matched Rule Name
- Status

When you select an option, you can also enter a corresponding match value. For example, if you select Matched Type, you can enter the matched type for the matches that you want to view. Click **Reset** to reset the search fields and search using another option.

For each of these transactions, based on the information displayed, an analyst can select one of the following actions from the **Actions** button, after locking the alert message in the Transaction Summary section: (For more information on Locking the Transaction, see [Locking the Transaction](#).)

- Suspicious (**S**)
- Clean (**C**)

The following figure displays an example.

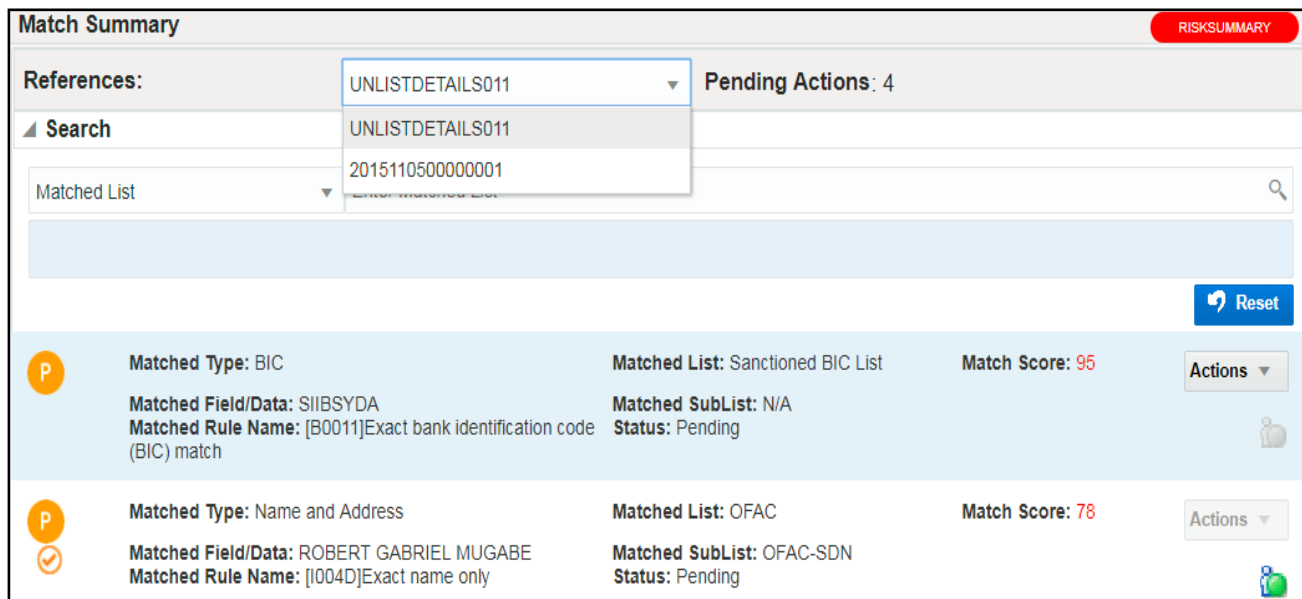


Figure 47. Match Summary section

Click on a match to view the corresponding List Details.

Note: You can access the *Risk Summary Section* by clicking the Risk Summary button.

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 watchlist/ sanctioned record.

The details that are displayed here depends on the kind of sanctioned data that is found. This sanctioned data is based on the following types of search made:

- If a match is found for sanctioned Name or sanctioned Name and Address, then the following details are displayed:
 - For an Individual:
 - ◆ Record ID
 - ◆ Name

- ◆ Original Script Name
- ◆ Alias Type
- ◆ Alias Names
- ◆ Primary Name
- ◆ Address
- ◆ Alias Address
- ◆ Type
- ◆ Gender
- ◆ Date Of Birth
- ◆ Town Of Birth
- ◆ City Of Birth
- ◆ State Of Birth
- ◆ Place Of Birth Country
- ◆ Country Of Birth
- ◆ Nationality
- ◆ Title
- ◆ Designation
- ◆ Language
- ◆ Passport Details
- ◆ PassportType
- ◆ Passport Number
- ◆ Passport Issuing City
- ◆ Passport Issuing Country
- ◆ Passport Date Of Issue
- ◆ Passport Note
- ◆ NI Details
- ◆ National ID
- ◆ NI Type
- ◆ NI Issuing City
- ◆ NI Issuing Country
- ◆ NI Date Of Issue
- ◆ NI Note
- ◆ Other Information

- ◆ Residency Country
- ◆ Other Information
- ◆ Listed On
- ◆ Last Updated
- ◆ Record Type
- ◆ Program
- ◆ Reference Number
- ◆ Legal Basis
- ◆ Search Hyperlink
- For an Entity:
 - ◆ Record ID
 - ◆ Name
 - ◆ Original Script Name
 - ◆ Alias Type
 - ◆ Alias Names
 - ◆ Primary Name
 - ◆ Address
 - ◆ Alias Address
 - ◆ Other Information
 - ◆ Type
 - ◆ Date Of Birth
 - ◆ Place Of Birth
 - ◆ Passport Details
 - ◆ Nationality
 - ◆ Programme
 - ◆ Language
 - ◆ Legal Basis
 - ◆ Listed On
 - ◆ Last Updated
 - ◆ Program
 - ◆ Title
 - ◆ Call Sign
 - ◆ Vessel Type

- ◆ Tonnage
 - ◆ GRT
 - ◆ Vessel Flag
 - ◆ Vessel Owner
 - ◆ Vessel Details
 - ◆ Country of Registration
 - ◆ Country of Operation
 - ◆ Registration Number
 - ◆ Search Hyperlink
- If a match is found for sanctioned Bank Identifier Code (BIC), then the following details are displayed:
 - Record ID
 - BIC
 - BIC Details
 - Data Source
 - If a match is found for sanctioned Country, then the following details are displayed:
 - Record ID
 - Country
 - ISO Country Code
 - Country Synonyms
 - Data Source
 - If a match is found for sanctioned City, then the following details are displayed:
 - Record ID
 - Country
 - City
 - ISO City Code
 - City Synonyms
 - Data Source
 - Country ISO Code
 - If a match is found for the sanctioned Stop Keywords, then the following details are displayed:
 - Record ID
 - StopKeyWords

The following figure displays an example.

List Details	
Passport Date Of Issue	, ,
Passport Note	, valid until 16 Feb. 2017,
NI Details	259092401188
Other Information	Previously listed between 16 Jan. 2008 and 3 Jan. 2014 (amended on 1 Jul. 2008, 23 Jul. 2008, 25 Jan. 2010). Review pursuant to Security Council resolution 1822 (2008) was concluded on 14 Sep. 2009. INTERPOL-UN Security Council Special Notice web link: https://www.interpol.int/en/notice/search/un/1518755
Listed On	03-Jan-2014
Record Type	UN List
Program	Al-Qaida
Reference Number	QDi.237
Search Hyperlink	http://www.google.co.uk/search?hl=en&q=ABDUL%20GHANI

Figure 48. List Details section



Risk Summary Section

This section lists all the risk rules for a message. The following risk rules are available:

- Risk-Currency VS Amount Threshold Evaluation
- Risk-High Risk Destination Country Evaluation
- Risk-High Risk Originator Country Evaluation
- Risk-Watchlist Screening Evaluation
- Risk-Currency VS Destination Country Evaluation
- Risk-High Risk Party Evaluation
- Risk - Trade Amendments Evaluations

Click on a risk rule to view the corresponding risk details.

The following figure displays an example.

RiskSummary		MATCHSUMMARY
	Risk Rule: Risk-Watchlist Screening Evaluation	Risk Score: 85
	Risk Rule: Risk-Currency VS Amount Threshold Evaluation	Risk Score: 25
	Risk Rule: Risk-Currency VS Destination Country Evaluation	Risk Score: 90

Page 1 of 1 (1-3 of 3 items) | < > 1 >

Figure 49. Risk Summary section

Note: You can access the *Risk Summary Section* by clicking the Risk Summary button.

For information on the risk rules, see point 8, Configuring Rules in IPE section in the *Oracle Financial Services Transactions Filtering Administration Guide*.

Risk Details	
Message Reference	Evalandmatch
Transaction Reference	2015110500000001
Message Reference	Evalandmatch

Figure 50. Risk Details for Risk-Watchlist Screening Evaluation Risk Rule

Notification and Reporting 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:

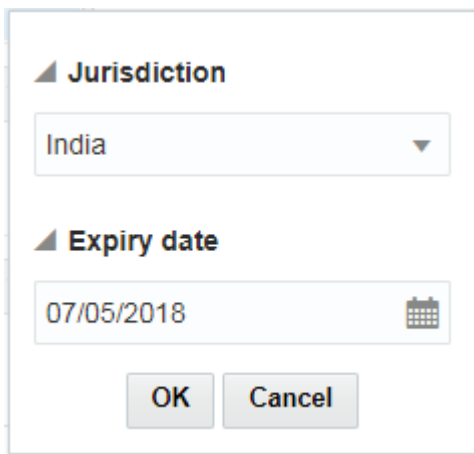
- Hold Transaction
- Escalated Transaction
- False Positive Transaction

This section also displays the Reporting icon on the click of which leads to the Reporting Home page. Sign in with your credentials on the Oracle Business Intelligence (OBIEE) tool. For more information, see the *OFS Transaction Filtering Reporting Guide* on the OHC library.

Good Guy/White List Matching

A record can be added to the FCC_WHITELIST table using the **Add to Good Guy** button in the **Match Summary** section. This button is initially green, and the color changes to grey after the record is added to the watch list table.


As an Analyst, when you receive the transaction message, the **Add to Good Guy**  button is green. When you click the button, a pop-up appears.



The image shows a dialog box titled "Add to Good Guy Button Pop-up". It contains two sections: "Jurisdiction" with a dropdown menu set to "India", and "Expiry date" with a date field set to "07/05/2018" and a calendar icon. At the bottom are "OK" and "Cancel" buttons.

Figure 51. Add to Good Guy Button Pop-up

Select the Jurisdiction and Expiry date for the record and click **OK**. The status of the record or transaction changes from Assigned (A) to Pending approval (P).

Once you click **Ok**, the message is sent to the supervisor for review. An orange tick  appears below the message status and the **Add to Good Guy** button remains green, as shown in the above image.

As a Supervisor, follow these steps:

1. Navigate to the Transaction Filtering home page.
2. Click **Financial Services Sanctions Pack**.
3. Click **List Management**. The **Good Guy List Details** page appears.

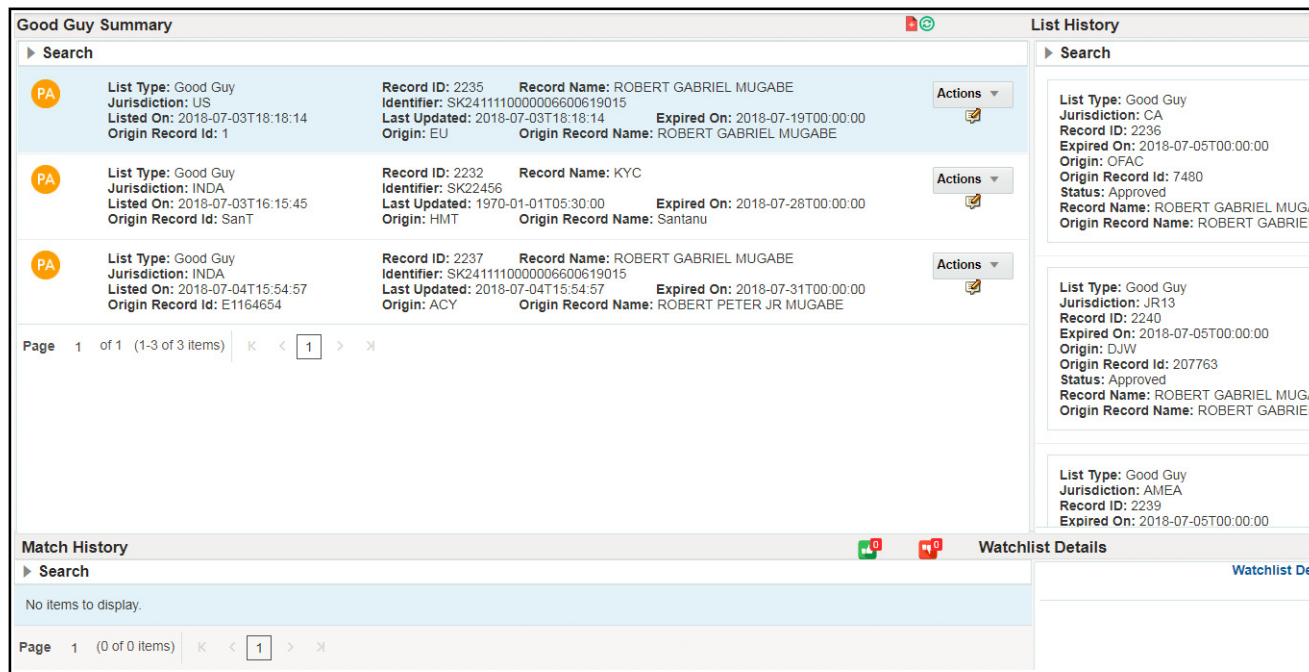


Figure 52. Good Guy List Details Page

This page has the following sections:

Good Guy Summary Section


This section displays the list of transactions that the Analyst has sent to the Supervisor. The Supervisor can approve or reject the transaction by clicking on the **Actions** button.

If the Supervisor approves the transaction, the orange tick changes to a green tick and the color of the **Add to Good Guy** button changes to grey. The record is added to the FCC_WHITELIST table.

If the Supervisor rejects the transaction, the orange tick changes to a red cross and the color of the **Add to Good Guy** button changes to grey. For more information, see *Approving or Rejecting Transactions*.

You can also search for a message using the following criteria:

- Message Reference: Enter or search for a message reference.
- Message Type: Enter or search for a message type.
- Transaction Reference: Enter or search for a transaction reference.
- Match Score: You can either select a particular score or a range of scores to display the respective message/s by selecting Basic Search or Advanced Search respectively.
- Risk Score: You can either select a particular Risk score or a range of Risk scores to display the respective message/s by selecting Basic Search or Advanced Search respectively.
- Status: Enter the status of a message.
- Receipt Date: You can either select a particular Receipt Date or a period range for the Receipt Date to display the respective message/s.

To reset the search criteria, click .

List History Section

This section contains the following fields:

- List type
- Jurisdiction
- Record ID
- Expired on
- Origin
- Origin record ID
- Status
- Record name
- Origin record name

Approving or Rejecting Transactions

To approve or reject the transaction as a supervisor, do this:

1. Log in to the Transaction Filtering home page as the supervisor.

2. Click the  icon.

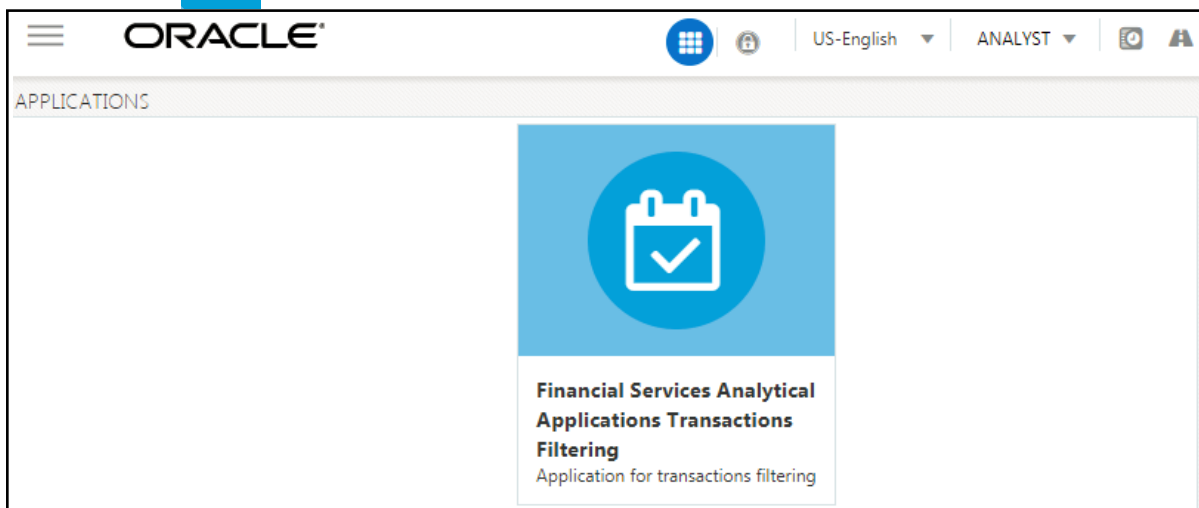


Figure 53. Applications Tab

3. Click **Financial Services Sanctions Pack**.

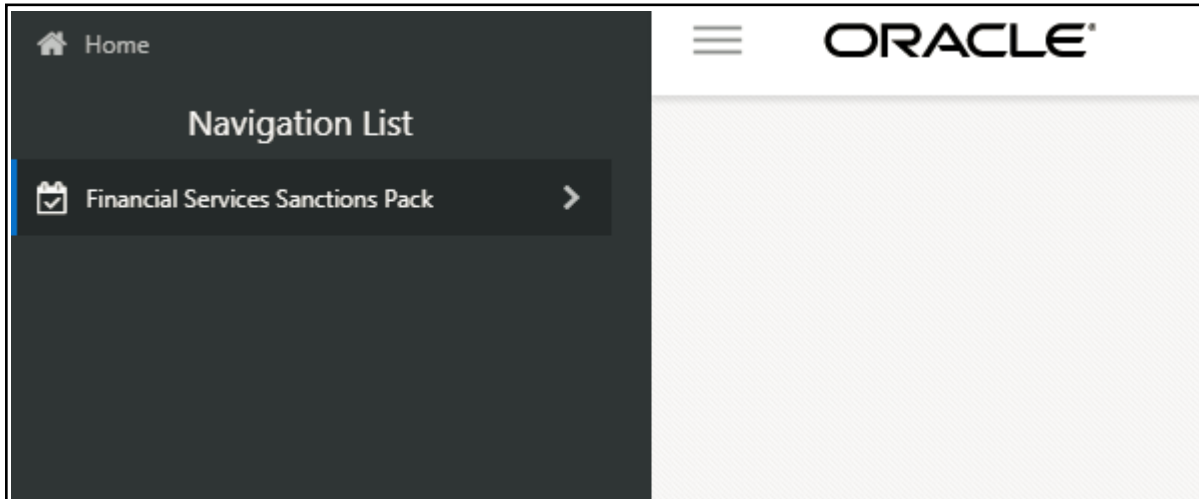


Figure 54. Financial Services Sanctions Pack Link

4. Click **List Management**. The Good Guy List Details page appears.

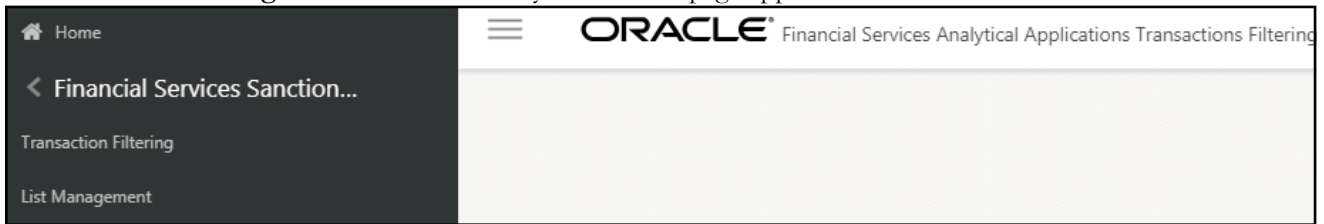


Figure 55. List Management Link

5. In the Actions button, click **Approve** to approve the transaction or click **Reject** to reject the transaction.

It is mandatory to add comments after the transaction is approved or rejected. To add comments, do this:


- a. Click the Add Comments  button that is associated to the transaction that you want to add comments to. The comments window is displayed.
- b. Enter your comments and click **Save**. The comment is added to the audit history of that transaction. The following figure displays an example.



Figure 56. Adding Comments

Taking Action on Transactions

The Analyst has the following actions available for a standard flow:

- Blocked
- Released
- Escalated

The Analyst has the following actions available for a four-eyes flow:

- Recommend to Block
- Recommend to Release
- Escalated

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

You can also attach a file to any transaction. For more information, see [Attaching a File to a Transaction/Message](#).

If the Analyst escalates the transaction to the Supervisor, the Supervisor has the following actions available for a standard flow:

- Block
- Release

If the Analyst escalates the transaction to the Supervisor, the Supervisor has the following actions available for a four-eyes flow:

- Block
- Release
- Reject

Recommending to Block a Transaction

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

1. Navigate to the Transaction Filtering home page. For more information, see [Accessing OFSAA Applications](#).
2. Select **Recommend to Block** from the Actions drop-down list.
3. Provide comments to explain your analysis and click **Save**. The status of the transaction changes to **BR** (Block Recommended).

Recommending to Release a Transaction

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

1. Navigate to the Transaction Filtering home page. For more information, see *Accessing OFSAA Applications*.
2. Select **Recommend to Release** from the Actions drop-down list.
3. Provide comments to explain your analysis and click **Save**. The status of the transaction changes to **RR** (Release Recommended). This transaction is called a False Positive Transaction.

In the match summary section, if any of the matches in the transaction is marked as suspicious, then a pop up is displayed when you release the transaction. Click **OK** and change the status to Block Recommended or Escalated.

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. For more information, see *Accessing OFSAA Applications*.
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 Supervisor. You can block the transaction if you find blacklisted data. Follow these steps:

1. Navigate to the Transaction Filtering home page. For more information, see *Accessing OFSAA Applications*.
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 only available to the Supervisor. You can release a transaction if it is clean. Follow these steps:

1. Navigate to the Transaction Filtering home page. For more information, see *Accessing OFSAA Applications*.
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.

In the match summary section, if any of the matches in the transaction is marked as suspicious, then a pop up is displayed when you release the transaction. Click **OK** and change the status to Block or Escalate.

Rejecting a Transaction

This action is available only to the Supervisor. You can reject a transaction if you think that the transaction must be reanalyzed by the analyst. Follow these steps:

1. Navigate to the Transaction Filtering home page. For more information, see *Accessing OFSAA Applications*.

2. Select **Reject** from the Actions drop-down list.
3. Provide comments to explain your analysis and click **Save**.

When you reject a transaction, it is assigned back to the Analyst.

Order of Transactions Displayed

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

Standard Flow

Analyst:

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

Supervisor:

1. Escalated
2. Blocked
3. Released

Four-Eyes Flow

Analyst:

1. Hold
2. Escalated
3. Block Recommended
4. Release Recommended
5. Blocked
6. Released
7. Pending

Supervisor:

1. Escalated
2. Block Recommended

3. Release Recommended
4. Blocked
5. Released
6. Pending

Task Emails

The following emails are generated based on the actions selected:

Table 3. Task Emails

For Transaction	Email Sent to
Which is Unassigned	Analyst
Where Analyst selects Recommend to Block action	Analyst and Supervisor
Where Analyst selects Recommend to Release action	Analyst and Supervisor
Where Analyst selects Escalated action	Analyst and Supervisor
Where Supervisor selects Reject action	Analyst
Where Analyst selects Block action	Analyst
Where Analyst selects Release action	Analyst
Where Supervisor selects Block action	Analyst and Supervisor
Where Supervisor selects Release action	Analyst and Supervisor

