

# Oracle Financial Services Transaction Filtering **Reporting Guide**

*Release 8.0.8.0.0  
November 2019*





# Oracle Financial Services Transaction Filtering

## **Reporting Guide**

*Release 8.0.8.0.0*

*November 2019*

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## Revision History

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

Date	Edition	Description
September 2019	8.0.8.0.0	<ul style="list-style-type: none"><li>● Moved the <i>Alert Cut-off Analysis</i> section from the Message Analysis report to the Alert Analysis report.</li><li>● Added the message reference column in the Alert Analysis report.</li><li>● Updated the names of the drill down reports that can be accessed from the home page.</li></ul>
July 2019	8.0.8.0.0	<ul style="list-style-type: none"><li>● Created the 8.0.8.0.0 guide</li></ul>



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# About this Guide

This guide details the reports used in the Oracle Financial Services Transaction Filtering (OFS TF) application.

This chapter focuses on the following topics:

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

## Who Should Use this Guide

The *OFS TF Reporting Guide* is designed for the following users who are assigned the following roles:

- Analyst
- Investigator
- Supervisor
- Administrator

## How this Guide is Organized

The *OFS TF Reporting Guide* includes the following chapters:

- [Chapter 1, "Overview of Transaction Filtering,"](#) provides instructions on how to navigate through the Oracle Financial Services Transaction Filtering Reporting application.
- [Chapter 2, "Transaction Filtering Reports,"](#) provides information on the reports available in the Oracle Financial Services Transaction Filtering Reporting application.

## Where to Find More Information

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

- *Oracle Financial Services Transaction Filtering User Guide*
- *Oracle Financial Services Transaction Filtering Administration Guide*
- *Oracle Financial Services Transaction Filtering Matching Guide*
- *Oracle Financial Services Sanctions Installation Guide*

These documents are available at the following link:

[http://docs.oracle.com/cd/E60570\\_01/homepage.htm](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](http://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"><li>● Names of books as references</li><li>● Emphasis</li><li>● Substitute input values</li></ul>
<b>Bold</b>	<ul style="list-style-type: none"><li>● Menu names, field names, options, button names</li><li>● Commands typed at a prompt</li><li>● User input</li></ul>
Monospace	<ul style="list-style-type: none"><li>● Directories and subdirectories</li><li>● File names and extensions</li><li>● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text</li></ul>
<Variable>	<ul style="list-style-type: none"><li>● Substitute input value</li></ul>

This chapter gives an overview of Transaction Filtering (TF) Reporting and discusses the following topics:

- [Overview](#)
- [About OFS Transaction Filtering Reports](#)

## Overview

Transaction Filtering is an application which screens lists of Sanctioned individuals and companies, internal watch lists and other commercial lists of high-risk individuals/organizations, and is a key compliance requirement for financial institutions worldwide.

Financial Institutions (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

Regulatory authorities emphasize on financial institutions to ensure that they do not unwittingly conceal the identity of criminals or deal with/move criminal or terrorist funds. Financial Institutions are required to comply with regulations from the following 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)
- European Union (EU) Commission
- Country-specific authorities

Oracle Financial Services Transaction Filtering (OFS TF) 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 and minimize the operational impact on FIs by reducing the number of false positives. 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. This solution is built using OFSAA components such as the scoring engine (Oracle Enterprise Data Quality or EDQ), the application user interface, and the rule engine (Inline Processing Engine or IPE). For information on the Sanctions process flow, see [Oracle Financial Services Transaction Filtering User Guide](#).

## ***About OFS Transaction Filtering Reports***

This application is available if you have Transaction Filtering Analytics with Oracle Business Intelligence (OBIEE) installed at your site.

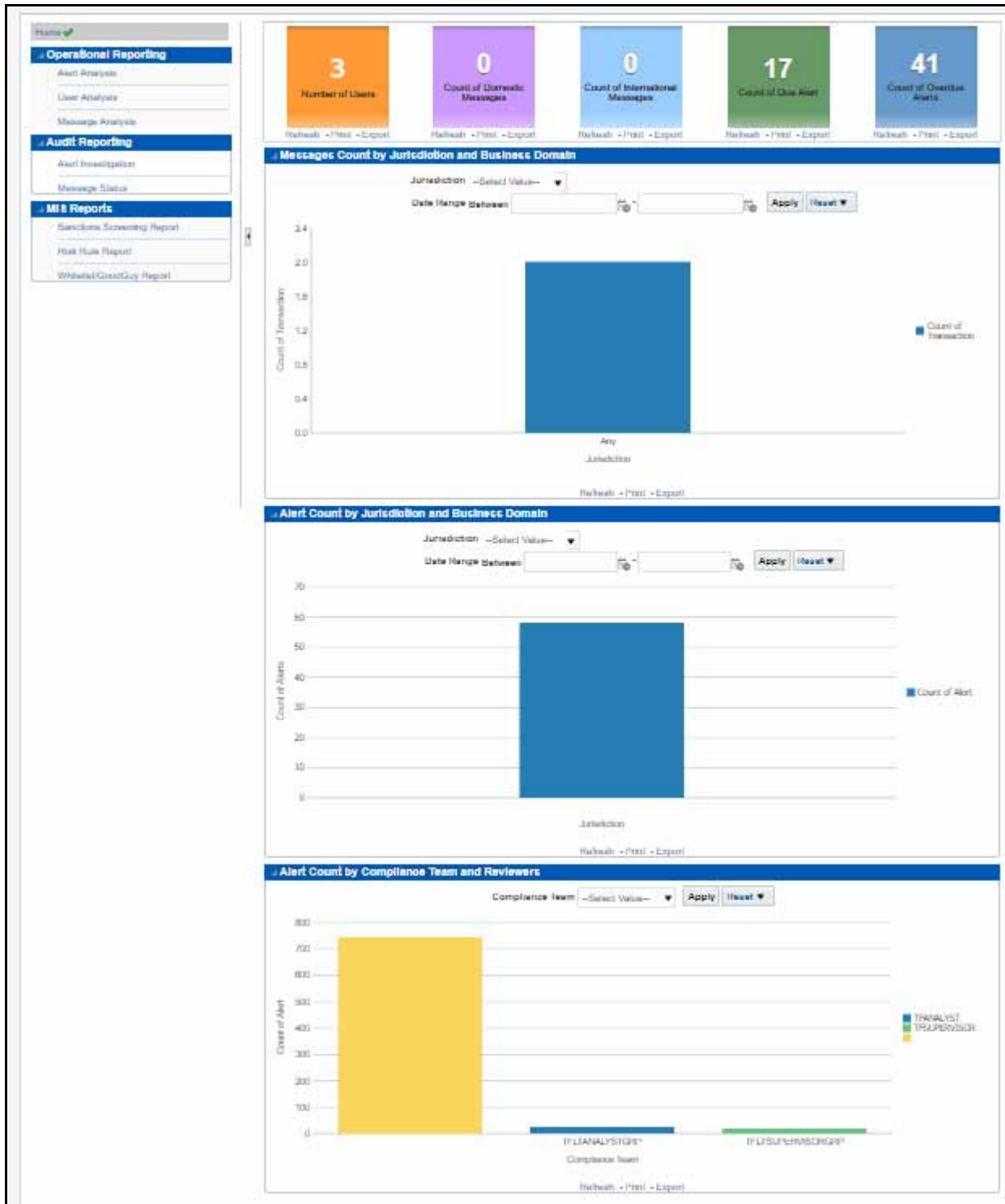
This chapter describes the Oracle Financial Services Transaction Filtering (OFS TF) Reports and covers the following topics:

- [Accessing the Transaction Filtering Reports](#)
- [Transaction Filtering Reports](#)

## ***Accessing the Transaction Filtering Reports***

To access the Transaction Filtering reports, follow these steps:

1. Log in to the Transaction Filtering application as the analyst.
2. Click the **Dashboards** drop-down menu and then click **Transaction Filtering**. The Transaction Filtering home page appears.



You can view the following reports on the home page:

- [User Details Drill down Report](#)

- [Domestic Messages Drill down Report](#)
- [International Messages Drill down Report](#)
- [Alert Details Drill down Report - Due Alerts](#)
- [Alert Details Drill down Report - Overdue Alerts](#)
- [Messages Count by Jurisdiction and Business Domain Report](#)
- [Alert Count by Compliance Team and Reviewers Report](#)

**Note:** The following options are available for each report. These options can be viewed at the end of the report.

- **Return:** Click **Return** to go back to the Transaction Filtering home page.
- **Refresh:** If any data has been added to this report, click **Refresh** to view the updated report.
- **Print:** Click **Print** to print the report either as a PDF file or a HTML page.
- **Export:** Click **Export** to export the report data as a:
  - PDF file
  - Excel file
  - Powerpoint file
  - Web Archive file
  - Data file.

Mouse over the **Data** option to view the different options for data file export.

- **Create Bookmark Link:** When you click **Create Bookmark Link**, a bookmark link is created for the report in the address bar of the browser. You can then share the report link. For example, to share the link through an email message, first copy the bookmark and then paste it in the email message before sending the email.

## User Details Drill down Report

Click the **Number of Users** block to view the User Details Drill down report.


User Code	User Name	Group Code	Group Name
ANALYST1	ANALYST1	TFLTANALYSTGRP1	TFLTANALYSTGRP1
SUP1	SUP1	SUPERVISORGRP1	supervisorgrp1
SUPERVISOR1	supervisor1	TFLTSUPERVISORGRP1	TFLTSUPERVISORGRP1
TFADMN	TFADMN	TFLTADMINISTRATORGRP	TFLTADMINISTRATORGRP
TFANALYST	TFANALYST	TFLTANALYSTGRP	TFLTANALYSTGRP
TFSUPERVISOR	TFSUPERVISOR	TFLTSUPERVISORGRP	TFLTSUPERVISORGRP

[Return](#) - [Refresh](#) - [Print](#) - [Export](#) - [Create Bookmark Link](#)

## Domestic Messages Drill down Report

Click the **Count of Domestic Messages** block to view the Domestic Messages Drill down report.

Message Reference	Message Type	Originator Account	Originator Country	Beneficiary Account	Destination Country	Transaction Reference
1723402120114300	MT298		LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
18ED360466-100	MT711		LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	
			LB		LB	

 Rows 1 - 25

[Return](#) - [Refresh](#) - [Print](#) - [Export](#) - [Create Bookmark Link](#)

### International Messages Drill down Report

Click the **Count of International Messages** block to view the International Messages Drill down report.



Message Reference	Message Type	Originator Account	Originator Country	Beneficiary Account	Destination Country	Transaction Reference
	MT412		US		LB	
			US		LB	
103dkumar	MT103	/DRLC/IQ/IRAQ123456789	PL	/2323232356826	SE	
1511050100WED111	MT101	/LV21HABA0551003219457	LV		SY	2015110500000001
1511050100WED222	MT101	/LV21HABA0551003219457	LV		SY	2015110500000001
1511050100WED333	MT101	/LV21HABA0551003219457	LV		SY	2015110500000001
1511050100WED444	MT101	/LV21HABA0551003219457	LV		SY	2015110500000001
1802GA2660993567	MT760		ES		LB	
			LB		SY	
			SY		LB	
			ES		SY	
			LB		LL	
			LB		LL	
			LB		U3	
			LL		LB	
			ES		LL	
			ES		LL	
			ES		LL	
			ES		LL	
			ES		LL	
			ES		LB	
			ES		LB	
			ES		LB	
			ES		LB	
			ES		LB	
			ES		LB	
			ES		LB	
			ES		LB	

Rows 1 - 25  
[Return](#) - [Refresh](#) - [Print](#) - [Export](#) - [Create Bookmark Link](#)

### Alert Details Drill down Report - Due Alerts

Click the **Count of Due Alerts** block to view the Alert Details Drill down report.

**Accessing the Transaction Filtering Reports**  
**Chapter 2—Transaction Filtering Reports**

Message Reference	Alert ID	Created date	Modified date	Score	Status Name	User Name	Group Name
103dkumar	55270	7/24/2019 4:41:15 AM	7/24/2019 4:45:51 AM	95	Released	TFSUPERVISOR	TFLTSUPERVISORGRP
180dhiranKumar	54809	7/22/2019 8:46:52 AM	7/22/2019 8:54:35 AM	95	Blocked	TFSUPERVISOR	TFLTSUPERVISORGRP
1augdk1	56381	8/1/2019 2:46:36 AM	8/1/2019 3:25:23 AM	95	Released	TFSUPERVISOR	TFLTSUPERVISORGRP
1augdk3	56393	8/1/2019 2:46:54 AM	8/1/2019 2:53:19 AM	95	Blocked	TFANALYST	TFLTANALYSTGRP
76185477410	60805	9/18/2019 5:14:45 AM	9/18/2019 5:18:50 AM	74	Blocked	TFANALYST	TFLTANALYSTGRP
	60908	9/19/2019 5:19:15 AM	9/19/2019 5:19:15 AM	98	Hold		
	60915	9/19/2019 5:22:34 AM	9/19/2019 5:22:34 AM	74	Hold		
	60922	9/19/2019 5:36:32 AM	9/19/2019 5:36:32 AM	85	Hold		
	60934	9/19/2019 5:59:16 AM	9/19/2019 5:59:16 AM	98	Hold		
UNLISTDETAILS011	59479	8/13/2019 2:40:18 AM	8/13/2019 5:22:51 AM	98	Blocked	TFSUPERVISOR	TFLTSUPERVISORGRP
	60398	9/16/2019 1:55:29 AM	9/16/2019 1:57:20 AM	98	Released	TFSUPERVISOR	TFLTSUPERVISORGRP
UNLISTDETAILS012	60425	9/16/2019 1:57:51 AM	9/16/2019 1:59:12 AM	98	Released	TFSUPERVISOR	TFLTSUPERVISORGRP
dktimezone2	55845	7/30/2019 6:03:00 AM	7/30/2019 6:08:27 AM	98	Blocked	TFANALYST	TFLTANALYSTGRP
dktimezone3	55863	7/30/2019 6:03:09 AM	7/30/2019 6:09:11 AM	98	Released	TFANALYST	TFLTANALYSTGRP
dktimezone5	55899	7/30/2019 6:03:31 AM	7/30/2019 6:10:04 AM	98	Blocked	TFANALYST	TFLTANALYSTGRP
dktimezone6	55917	7/30/2019 6:03:42 AM	7/30/2019 6:10:31 AM	98	Released	TFANALYST	TFLTANALYSTGRP
dktimezone7	55935	7/30/2019 6:19:58 AM	7/30/2019 6:53:33 AM	98	Blocked	TFANALYST	TFLTANALYSTGRP
dkumar2307	55183	7/23/2019 7:58:39 AM	7/23/2019 8:01:13 AM	95	Released	TFSUPERVISOR	TFLTSUPERVISORGRP
dkumar23072019	55175	7/23/2019 7:32:53 AM	7/23/2019 7:35:34 AM	95	Released	TFSUPERVISOR	TFLTSUPERVISORGRP
dkumar2308	55198	7/23/2019 8:06:28 AM	7/23/2019 8:09:14 AM	95	Released	TFSUPERVISOR	TFLTSUPERVISORGRP

[Return](#) - [Refresh](#) - [Print](#) - [Export](#) - [Create Bookmark Link](#)

**Alert Details Drill down Report - Overdue Alerts**

Click the **Count of Overdue Alerts** block to view the Alert Details Drill down report.

Message Reference	Alert ID	Created date	Modified date	Score	Status Name	User Name	Group Name
0160101C18888846	56647	8/2/2019 8:03:15 AM	8/2/2019 8:03:15 AM	95	Hold		
1511050100WED111	51235	5/28/2019 5:30:37 AM	7/22/2019 7:02:31 AM	98	Escalated	TFSUPERVISOR	TFLTSUPERVISORGRP
1511050100WED222	51260	5/28/2019 5:30:45 AM	7/30/2019 6:51:29 AM	98	Hold		
1511050100WED333	51285	5/28/2019 5:30:51 AM	7/26/2019 9:43:39 AM	98	Hold		
1511050100WED444	51310	5/28/2019 5:30:58 AM	7/22/2019 7:01:04 AM	98	Block Recommended	TFANALYST	TFLTANALYSTGRP
1723402120114300	55326	7/25/2019 3:00:51 AM	7/25/2019 3:00:51 AM	95	Hold		
	55329	7/25/2019 3:01:02 AM	7/25/2019 3:01:02 AM	95	Hold		
	55332	7/25/2019 3:01:16 AM	7/25/2019 3:01:16 AM	95	Hold		
	55614	7/27/2019 1:37:46 PM	7/27/2019 1:37:46 PM	98	Hold		
	55622	7/27/2019 1:38:21 PM	7/27/2019 1:38:21 PM	85	Hold		
	55628	7/27/2019 1:38:50 PM	7/27/2019 1:38:50 PM	85	Hold		
	55632	7/27/2019 1:39:15 PM	7/27/2019 1:39:15 PM	85	Hold		
	55638	7/27/2019 1:39:54 PM	7/27/2019 1:39:54 PM	98	Hold		
	55646	7/27/2019 1:40:28 PM	7/27/2019 1:40:28 PM	98	Hold		
	55730	7/29/2019 7:33:07 AM	7/29/2019 7:33:07 AM	98	Hold		
55764	7/30/2019 5:29:36 AM	7/30/2019 5:29:36 AM	98	Hold			

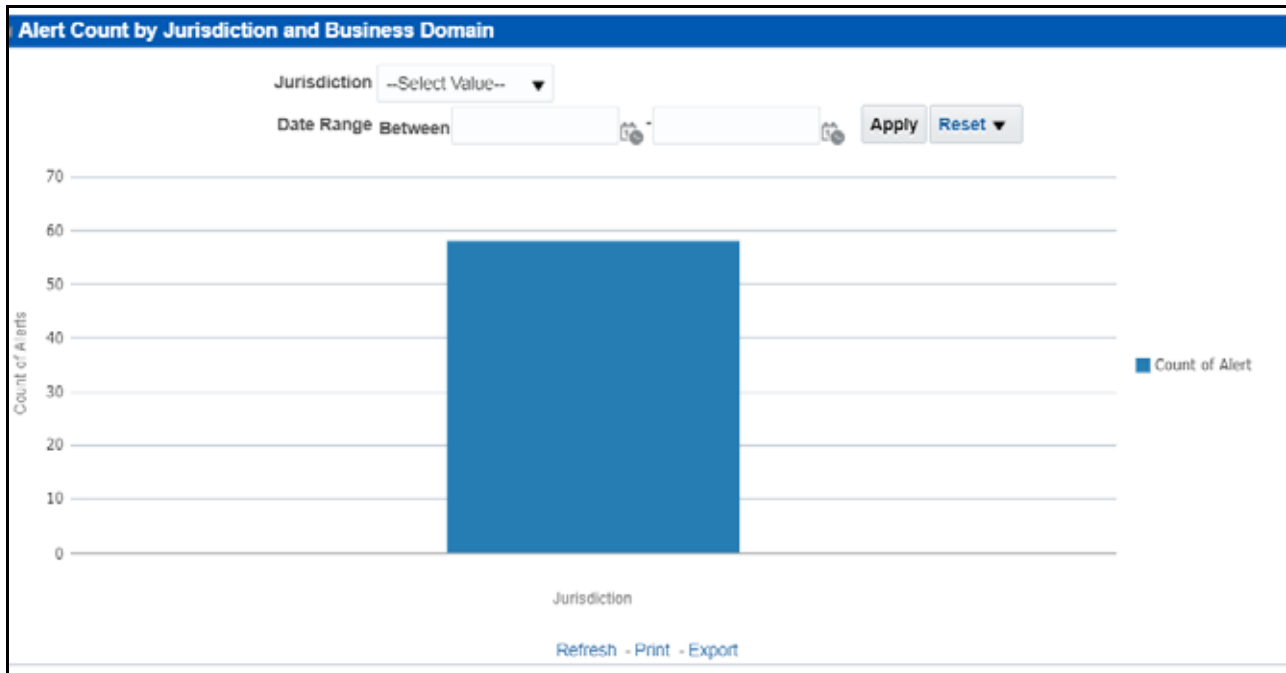
## Messages Count by Jurisdiction and Business Domain Report

To view the number of transactions for a selected jurisdiction and business domain, select the jurisdiction in the **Messages Count by Jurisdiction and Business Domain** report and click **Apply**. The report is refreshed with the selected data.



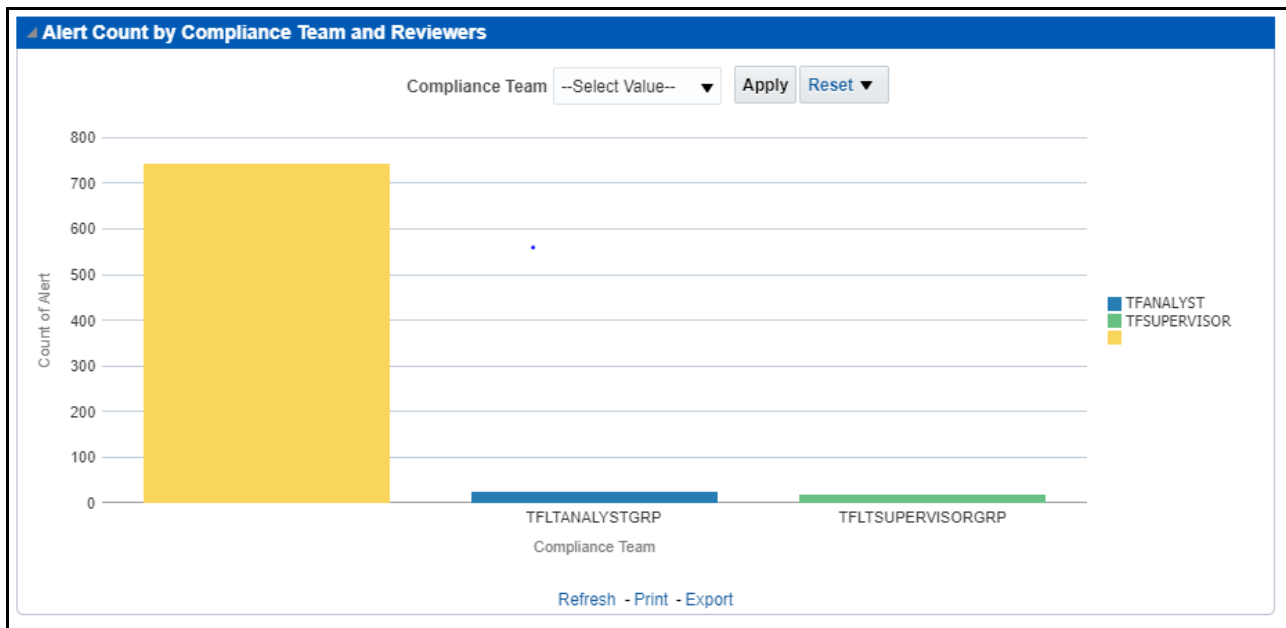
## Alert Count by Jurisdiction and Business Domain Report

To view the number of alerts for a selected jurisdiction and business domain, select the jurisdiction in the **Alert Count by Jurisdiction and Business Domain** report and click **Apply**. The report is refreshed with the selected data.



### Alert Count by Compliance Team and Reviewers Report

To view the count of alerts for a particular compliance team, select the compliance team and click **Apply**. The report is refreshed with the selected data.



## Transaction Filtering Reports

The following categories of reports are available in Transaction Filtering:

- [Operational Reporting](#)
- [Audit Reporting](#)
- [MIS Reports](#)

### Operational Reporting

Operational reports are related to daily operations and activities, and provide information on productivity. This section has the following reports and dashboard available:

- [Alert Analysis Report](#)
- [User Analysis Report](#)
- [Message Analysis Report](#)

#### Alert Analysis Report

Use this report to view the alert score generated for a particular message type and user.

Message Reference	Alert ID	Score	Created date	Message Type	Status	User
0160101C18888846	56647	95	8/2/2019 8:03:15 AM	MT707	Hold	
103dkumar	55270	95	7/24/2019 4:41:15 AM	MT103	Released	TFSUPERVISOR
1511050100WED111	51235	98	5/28/2019 5:30:37 AM	MT101	Escalated	TFSUPERVISOR
1511050100WED222	51260	98	5/28/2019 5:30:45 AM	MT101	Hold	
1511050100WED333	51285	98	5/28/2019 5:30:51 AM	MT101	Hold	
1511050100WED444	51310	98	5/28/2019 5:30:58 AM	MT101	Block Recommended	TFANALYST
1723402120114300	55326	95	7/25/2019 3:00:51 AM	MT298	Hold	
	55329	95	7/25/2019 3:01:02 AM	MT298	Hold	
	55332	95	7/25/2019 3:01:16 AM	MT298	Hold	
	55614	98	7/27/2019 1:37:46 PM	MT298	Hold	
	55622	85	7/27/2019 1:38:21 PM	MT298	Hold	
	55628	85	7/27/2019 1:38:50 PM	MT298	Hold	
	55632	85	7/27/2019 1:39:15 PM	MT298	Hold	
	55638	98	7/27/2019 1:39:54 PM	MT298	Hold	

Refresh - Print - Export

#### User Analysis Report

Use this report to view the time taken by a user to resolve an alert. You can see which reviewers are quickly resolving alerts in order to meet a particular cut-off time.

Message Reference	User	Compliance Team	Time Taken To Resolve	Count of alert	Rate Per alert	Status Name
103dkumar	TFSUPERVISOR	TFLTSUPERVISORGRP	0	1	0	Released
180dhiranKumar	TFSUPERVISOR	TFLTSUPERVISORGRP	0	1	0	Blocked
1augdk1	TFSUPERVISOR	TFLTSUPERVISORGRP	1	1	1	Released
1augdk3	TFANALYST	TFLTANALYSTGRP	0	1	0	Blocked
76185477410	TFANALYST	TFLTANALYSTGRP	0	1	0	Blocked
BLOCKONE103MES02	TFANALYST	TFLTANALYSTGRP	240	1	240	Released
Evaluatn1	TFANALYST	TFLTANALYSTGRP	117	1	117	Blocked
NUSCGM039984	TFANALYST	TFLTANALYSTGRP	234	3	78	Blocked
UNLISTDETAILS011	TFSUPERVISOR	TFLTSUPERVISORGRP	3	1	3	Blocked
			0	1	0	Released
UNLISTDETAILS012	TFSUPERVISOR	TFLTSUPERVISORGRP	0	1	0	Released
dktimezone2	TFANALYST	TFLTANALYSTGRP	0	1	0	Blocked
dktimezone3	TFANALYST	TFLTANALYSTGRP	0	1	0	Released
dktimezone5	TFANALYST	TFLTANALYSTGRP	0	1	0	Blocked
dktimezone6	TFANALYST	TFLTANALYSTGRP	0	1	0	Released
dktimezone7	TFANALYST	TFLTANALYSTGRP	1	1	1	Blocked
dkumar2307	TFSUPERVISOR	TFLTSUPERVISORGRP	0	1	0	Released
dkumar23072019	TFSUPERVISOR	TFLTSUPERVISORGRP	0	1	0	Released
dkumar2308	TFSUPERVISOR	TFLTSUPERVISORGRP	0	1	0	Released

To view the drilldown report, click the **Count of alert** number. The **Alert Details** drilldown report is displayed. Use this report to view the alert status and the alert resolution status.

Message Reference	Alert ID	Score	Created date	Message Type	Status of Alert	Whether resolved in cut-off time (y/n)
103dkumar	55270	95	7/24/2019 4:41:15 AM	MT103	Released	Y

[Return](#) - [Refresh](#) - [Print](#) - [Export](#) - [Create Bookmark Link](#)



**Alerts with Cut-off Analysis:** Use this report to view the number of messages for which payments are due.

Alerts with Cut-off Analysis						
Message Reference	Alert ID	Message Type	Cut-off Time	OverDue	Time Left In Min	
707portandgood	50133	MT707	4	Y	-8,715	
80509	50110	MT103	4	Y	-8,728	
Evaluatn1	50496	MT101	4	Y	-4,130	
Evaluatn1tst	50513	MT101	4	Y	-4,130	
OPTIONALFIEL52D1	50091	MT103	4	Y	238	



### Report Filters

To view the report filters, click the funnel icon . The individual report filter fields appear on the left.

**Global Filters**

**Alert Creation Date**

Between   -  

**User**

▼

**Status of Alert**

▼

▼

The following filters are available:

- **Alert Creation Date:** This filter allows you to select the dates between which a particular alert is created. To view data, use the date picker icon or enter the date in the field and click **Apply**.
- **User:** This filter allows you to sort the report data for to a specific user. To view the data, select a user in the field and click **Apply**.
- **Status of Alert:** This filter allows you to sort the report data for to a specific alert status. To view the data, select an alert status in the field and click **Apply**.

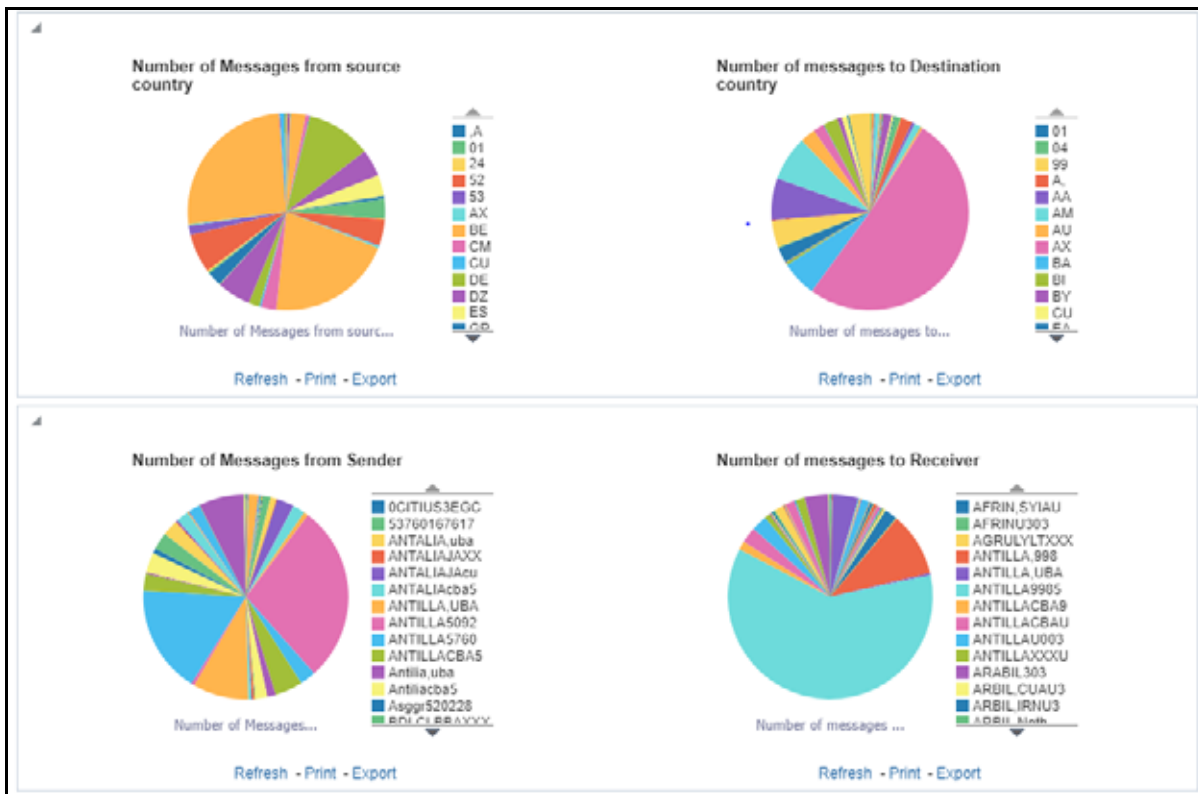
Click **Reset** to view the report without any filters applied.

To go back to the Transaction Filtering home page, click the **Home** tab.

### Message Analysis Report

Use this report to view the number of messages generated for a particular currency amount, originator account, or beneficiary account.

Messages Analysis with Key Data								
Message Reference	Transaction Reference	Message Type	Amount	Currency	Originator Account	Beneficiary Account	Alerted (Y/N)	Alert ID
UNLISTDETAILS011	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,081
			111					50,099
UNLISTDETAILS012	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,137
			111					50,209
			111					50,537
UNLISTDETAILS013	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,155
UNLISTDETAILS014	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,173
UNLISTDETAILS015	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,191
UNLISTDETAILS019	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,227
UNLISTDETAILS020	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,245
UNLISTDETAILS021	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,263
UNLISTDETAILS022	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,281
UNLISTDETAILS023	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,299
UNLISTDETAILS024	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,317
UNLISTDETAILS025	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,335
UNLISTDETAILS026	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,353
UNLISTDETAILS027	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,371
UNLISTDETAILS028	2015110500000001	MT101	111	EUR	/SK241111000000660061901		Y	50,389

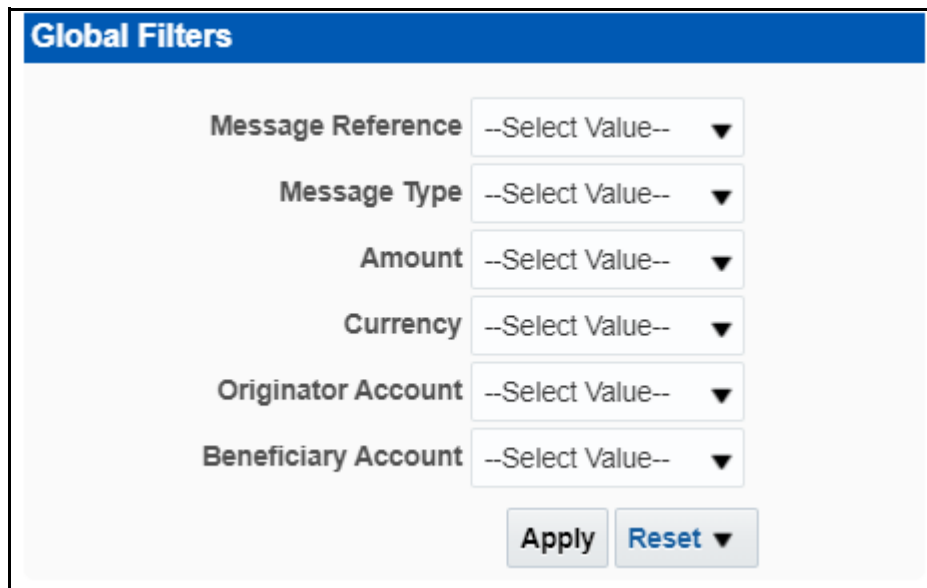






## Report Filters

To view the report filters, click the funnel icon . The individual report filter fields appear on the left.



The following filters are available:

- **Message Reference:** This filter allows you to sort the report data based on the message reference name. To view the data, select a name in the field and click **Apply**.
- **Message Type:** This filter allows you to sort the report data based on the message type. To view the data, select a type in the field and click **Apply**.
- **Amount:** This filter allows you to sort the report data based on the transaction amount. To view the data, select an amount and click **Apply**.
- **Currency:** This filter allows you to sort the report data based on the transaction currency. To view the data, select a currency in the field and click **Apply**.
- **Originator Account:** This filter allows you to sort the report data based on the account from where the transaction originates. To view the data, select an account in the field and click **Apply**.
- **Beneficiary Account:** This filter allows you to sort the report data based on the account to where the transaction ends. To view the data, select an account in the field and click **Apply**.

Click **Reset** to view the report without any filters applied.

To go back to the Transaction Filtering home page, click the **Home** tab.

## Audit Reporting

Audit reports provide information on audit events. The section has the following dashboard and report available:

- [Alert Investigation Dashboard](#)
- [Message Status Report](#)

**Alert Investigation Dashboard**

Use this dashboard to view the alerts that have been audited based on the message status and the number of alerts that are reportable to authorities for a particular date range.

**Alert Count By Status**

Status Name	Alert Count
Assigned	4
Blocked	7
Hold	40
Released	11

Refresh - Print - Export

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Alert Count

62

Refresh - Print - Export

Reportable to Authorities

7

Refresh - Print - Export

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Date Range Between  -  Apply [Reset](#) ▼

Message Reference	Alert ID	Create Date	Time Taken to Close	Time In Status		
				Hold	Assign	Escalate
103dkumar	55270	7/24/2019 4:41:15 AM	0	0	0	0
1511050100WED111	51235	5/28/2019 5:30:37 AM		49	21	1175
1511050100WED222	51260	5/28/2019 5:30:45 AM		1513	-268	
1511050100WED333	51285	5/28/2019 5:30:51 AM		1420		
1511050100WED444	51310	5/28/2019 5:30:58 AM		240	1081	
180dhiranKumar	54809	7/22/2019 8:46:52 AM	0	0	0	0
182910009	52948	7/1/2019 1:33:38 AM		509	-1	
	52956	7/1/2019 1:34:59 AM		509		
1augdk1	56381	8/1/2019 2:46:36 AM	1	0	0	1
1augdk2	56387	8/1/2019 2:46:45 AM		1		

## Message Status Report

Use this report to view the number of alerts that are audited based on the screening status of the messages.



## MIS Reports

MIS or Management Information System reports are used by senior-level management to view specific data. This section has the following reports:

- [Sanctions Screening Report](#)
- [Risk Rule Report](#)
- [Whitelist/Good Guy Report](#)

### Sanctions Screening Report

Use this report to view the number of hits matched with different web services, number of false positives and true positives for different matches, and a detailed report of all data for different message types.

- The images in the **Hit Type Report** display the number of hits received by a specific matching web service. Click inside an image to view the drilldown report related to the web service.
- The **Match Rule Effectiveness** report displays information related to the number of alerts and corresponding true positives and false positives for a selected match rule. To view the information for a match rule:
  - a. In the Match rule field, select the match rule.
  - b. Click **Apply**.

When you apply the filters, the **Detailed Hit Report** is also refreshed with the values related to the selected match rule.
- The **Detailed Hit Report** displays additional details such as the field name which is matched, individual/entity name which is matched, and the associated country/city.

**Hit Type Report**

**67**

Name & Address

Refresh -Print -Export

**68**

BIC

Refresh -Print -Export

**42**

Country & City

Refresh -Print -Export

**7**

Narrative

Refresh -Print -Export

**5**

Ports

Refresh -Print -Export

**1**

Goods

Refresh -Print -Export

**Match Rule Effectiveness**

Match rule

Match Rule	Total number of alerts	Total number of false positives	Total number of True positives
Exact goods name	1	0	0
[B0011]Exact bank identification code (BIC) match	34	0	0
[B0021]Bank identification code (BIC) contains	34	0	0
[C0011]Exact country name	34	0	0
[C0021]Exact county name	8	0	0
[I001D]Exact name only	18	0	0
[I001E]Exact name (conflict)	10	0	0
[I002E]Exact standardized Full name (conflict)	11	0	0
[I007D]Abbreviated standardized given name	2	0	0
[I011D]Additional names	22	0	0
[I021D]Abbreviated given name and family name similar only	4	0	0
[N0021]Exact City name	1	0	0
[N0091]Exact Port name	2	0	0
[N0101]Exact goods name	1	0	0
[N0104]Goods name atleast one word matching	3	0	0
[P002]Exact Port name Only	2	0	0
[P004]Exact Port synonym name Only	3	0	0

Refresh -Print -Export

**Detailed Hit Report**

Message Reference	Match Score	Input Data	Field Name	Match Type	Matched Individual Name from List	Matched Entity Name from List	Matched Country from List	Matched City from List	Matched BIC from List	Matched Port Name from List	Mi Gc Na frc
707portandgood	92	Rendered fats or solvent extraction facts	45B	Goods							15 20
	94	Otago Harbour	44A	Port						NZ ORR	
	95	Cairns Seaport	44B	Port						AU CNS	

**Drilldown Reports**

To view the drilldown report for any matching web service, click the web service name in the **Hit Type Report** section. The drilldown report for the web service appears. Use this report to view the match score, the watch list used for matching, and the type of entity matched.

The drilldown report for the Name & Address matching web service is shown below:

Message Reference	Alert ID	Match Score	Rule	Matched List name	Matched Sublist Name	Matched Type
103dkumar	55270	91	[007D]Abbreviated standardized given name	HMT	HMT-CONS	Individual
1511050100WED111	51235	78	[001D]Exact name only	ACY	ACY-SAN	Individual
	51235	70	[001D]Exact name only	DJW	DJW-SAN	Individual
	51235	78	[001D]Exact name only	HMT	HMT-CONS	Individual
1511050100WED222	51260	78	[001D]Exact name only	ACY	ACY-SAN	Individual
	51260	70	[001D]Exact name only	DJW	DJW-SAN	Individual
	51260	78	[001D]Exact name only	HMT	HMT-CONS	Individual
1511050100WED333	51285	78	[001D]Exact name only	ACY	ACY-SAN	Individual
	51285	78	[001D]Exact name only	DJW	DJW-SAN	Individual
	51285	70	[001D]Exact name only	HMT	HMT-CONS	Individual
1511050100WED444	51310	78	[001D]Exact name only	ACY	ACY-SAN	Individual
	51310	78	[001D]Exact name only	DJW	DJW-SAN	Individual
	51310	70	[001D]Exact name only	HMT	HMT-CONS	Individual

### Report Filters

To view the report filters, click the funnel icon . The individual report filter fields appear on the left.

**Global Filters**

Message Reference  ▼

Match Score  ▼

Matched Type  ▼

List Type  ▼

List Sub Type  ▼

▼

The following filters are available:

- Message Reference: This filter allows you to sort the report data based on the message reference name. To view the data, select a name in the field and click **Apply**.
- Match Score: This filter allows you to sort the report data based on the match score. To view the data, select a score in the field and click **Apply**.
- Matched Type: This filter allows you to sort the report data based on the match type. To view the data, select a type and click **Apply**.
- List Type: This filter allows you to sort the report data based on the list type. To view the data, select a type in the field and click **Apply**.
- List Sub Type: This filter allows you to sort the report data based on the list sub type. To view the data, select a sub type in the field and click **Apply**.

Click **Reset** to view the report without any filters applied.

To go back to the Transaction Filtering home page, click the **Home** tab.

**Risk Rule Report**

Use this report to view the total count of alerts for an evaluation/risk rule.

Risk Rule Hit Report	
Risk Rule Name	Alert Count
Risk-High Risk Destination Country Evaluation	3
Risk-Watchlist Screening Evaluation	13

Refresh - Print - Export

**Drilldown Reports**

To view the drilldown report for a risk rule, click the Alert Count hyperlink. The drilldown report for the match rule appears. Use this report to view the match score for an associated risk rule.

Message reference	Alert ID	Risk Rule Name	Match Score
1511050100WED111	51235	Risk-Currency VS Amount Threshold Evaluation	25
1511050100WED222	51260	Risk-Currency VS Amount Threshold Evaluation	25
1511050100WED333	51285	Risk-Currency VS Amount Threshold Evaluation	25
1511050100WED444	51310	Risk-Currency VS Amount Threshold Evaluation	25
TFLT0000001	52048	Risk-Currency VS Amount Threshold Evaluation	25
TFLT0000001	52060	Risk-Currency VS Amount Threshold Evaluation	25
TFLT0000001	52088	Risk-Currency VS Amount Threshold Evaluation	25
TFLT0000001	52100	Risk-Currency VS Amount Threshold Evaluation	25
TFLT0000001	52112	Risk-Currency VS Amount Threshold Evaluation	25

**Whitelist/Good Guy Report**

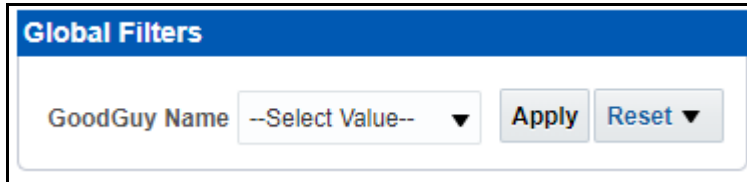
Use this report to view the number of matches, number of suppressed alerts, and number of suppressed matches for a name in the watchlist.

Whitelist/GoodGuy Reports			
GoodGuy Name	Total number of messages matched	Total number of suppressed Alerts	Total number of Matches suppressed
ABDUL GHAFAR QURISHI ABDUL GHANI	23	0	23

Refresh - Print - Export

## Report Filters

To view the report filters, click the funnel icon . The individual report filter fields appear on the left.



The screenshot shows a panel titled "Global Filters" with a blue header. Below the header, there is a filter field labeled "GoodGuy Name" with a dropdown menu showing "--Select Value--". To the right of the dropdown are two buttons: "Apply" and "Reset".

The following filter is available:

- GoodGuy Name: This filter allows you to sort the report data based on the matched name. To view the data, select a name in the field and click **Apply**.

Click **Reset** to view the report without any filters applied.

To go back to the Transaction Filtering home page, click the **Home** tab.





