Oracle Financial Services Transaction Filtering

Reporting Guide

Release 8.1.2.0.0

July 2022

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OFS Transaction Filtering Reporting Guide

Document Control

Table 1 lists the document control of this guide:

Table 1: Document Control

Date	Edition	Description
July 2022	1.0	The first version of 8.1.2.0.0 release.

Table of Contents

1 About This Guide

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

> **NOTE** Transaction Filtering reports are available if you have Transaction Filtering Analytics with Oracle Business Intelligence (OBI) installed at your site.

1.1 Who Should Use This Guide

The Reporting Guide is designed for the following roles:

- **Analyst:** This user works on the alerts within the application frequently. This user's specific role determines what they can view and perform within the application.
- **Investigator:** This user investigates the alerts generated in the system.
- **Supervisor:** This user works on the alerts within the application daily and is typically a higher-level Analyst or Compliance Officer.
- **Administrator:** This user configures and maintains the application and is usually an employee of an Oracle customer. The Administrator maintains user accounts and roles, configures the EDQ, archives data, loads data feeds, and performs post-processing tasks.

1.2 How this Guide is Organized

The Transaction Filtering Reporting Guide includes the following chapters:

- About Oracle Financial Services Transaction Filtering provides a brief overview of the Oracle Financial Services Transaction Filtering (OFS TF) application.
- Transaction Filtering Reports Home provides information on the different sections of the **Transaction Filtering Home** page.
- Transaction Filtering Reports provide information on the reports available in the Oracle Financial Services Transaction Filtering Reporting application.

1.3 Where to Find More Information

For more information about Oracle Financial Services Transaction Filtering, see the following Transaction Filtering application documents available on the Oracle Help Center page:

- 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

To find additional information about how Oracle Financial Services solves real business problems, see our website at Oracle for Financial Services home page.

1.4 Conventions Used in This Guide

Table 2 mentions the conventions used in this guide.

Table 2: Conventions Used

Conventions	Meaning
Italics	• Names of books as references • Emphasis • Substitute input values
Bold	• Menu names, field names, options, button names • Commands typed at a prompt • User input
`Monospace`	• Directories and subdirectories • File names and extensions • Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
Hyperlink	Hyperlink type indicates the links to external websites, internal document links to sections.
Asterisk (*)	Mandatory fields in User Interface
<Variable>	Substitute input value

2 About Oracle Financial Services Transaction Filtering

Oracle Financial Services Transaction Filtering (OFS TF) is a Sanctions screening system that identifies Individuals, entities, cities, countries, goods, ports, BICs, and Stop keywords that may be suspicious, restricted, or sanctioned with relation to a financial transaction that is processed through the TF application. It enables you to integrate with any clearing or payment system, accept messages from the source system, and scans them against different watch lists maintained within the application to identify any suspicious data present within the message. The TF application can scan messages which are in SWIFT, ISO20022, Fedwire, NACHA, or any custom format.

The TF application is built using components of the Oracle Financial Services Analytical Applications (OFSAA) product suite. These components are Oracle Enterprise Data Quality (OEDQ) and Inline Processing Engine (IPE).

Financial Institutions are required to comply with the following regulations from different 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 regulations can differ between countries, the spirit of regulatory intervention is uniform, and that is to hold financial institutions responsible and accountable if they have been a party, intentionally or unintentionally, 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 the property of citizens of the sanctioned country. However, the forms of sanctions that attract the most attention and are likely to have the greatest impact are composed of various restrictions on international trade, financial flows, or the movement of people.

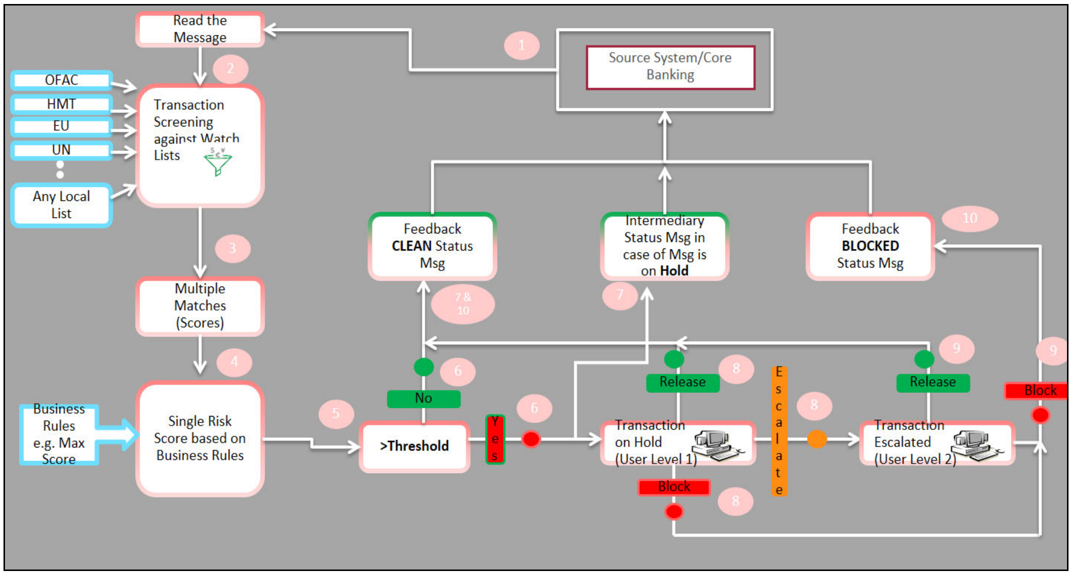
Transaction Filtering against government-regulated watch lists and internal watch lists is a key compliance requirement for financial institutions across the globe. At the turn of the century, Financial Institutions (FIs) were expected to identify customers who were either sanctioned or who lived in sanctioned countries and identify any transactions which were associated with these customers. FIs are now expected to also identify any suspicious dealings and parties involved in the transaction, and more recently identify information that is deliberately hidden or removed.

The TF application delivers a strong, effective filter that identifies all sanctioned individuals or entities with true positives and reduce the number of false positives, and therefore minimize the operational impact on FIs.

2.1 Transaction Filtering Process Flow

The following figure describes the Transaction Filtering Process Flow:

Figure 1: Transaction Filtering Workflow



The application first receives a message from the payment system and scans it against the watch lists, then provides a risk score for the message. If no suspicious data is found during screening, then the TF application sends a feedback message with the status CLEAN back to the payment system through the message queue. If suspicious data is found during screening, then the message is sent to an Analyst who investigates it using the TF User Interface. Feedback is sent to the payment system through a message queue, which indicates that the message is on hold. The Analyst reviews the message, which is the first level of review, and decides to release, block, or escalate the message. Based on the decision, the system sends a feedback message, either CLEAN or BLOCKED, to the payment system for the reviewed message.

If the four-eyes workflow is enabled, then the Analyst can additionally Recommend to Release, Recommend to Block, or escalate the message to the Supervisor. If the Analyst escalates the message, then the message is sent to the Supervisor, which is the second level of review. The Supervisor can block or release the message and add comments. For a four-eyes workflow, the Supervisor can Release, Block, or Reject the message. You can view the associated matched data of a particular message from the Match Summary section. You can also view the risk score details from the Risk Summary section. Both these sections are present in the Investigation User Interface.

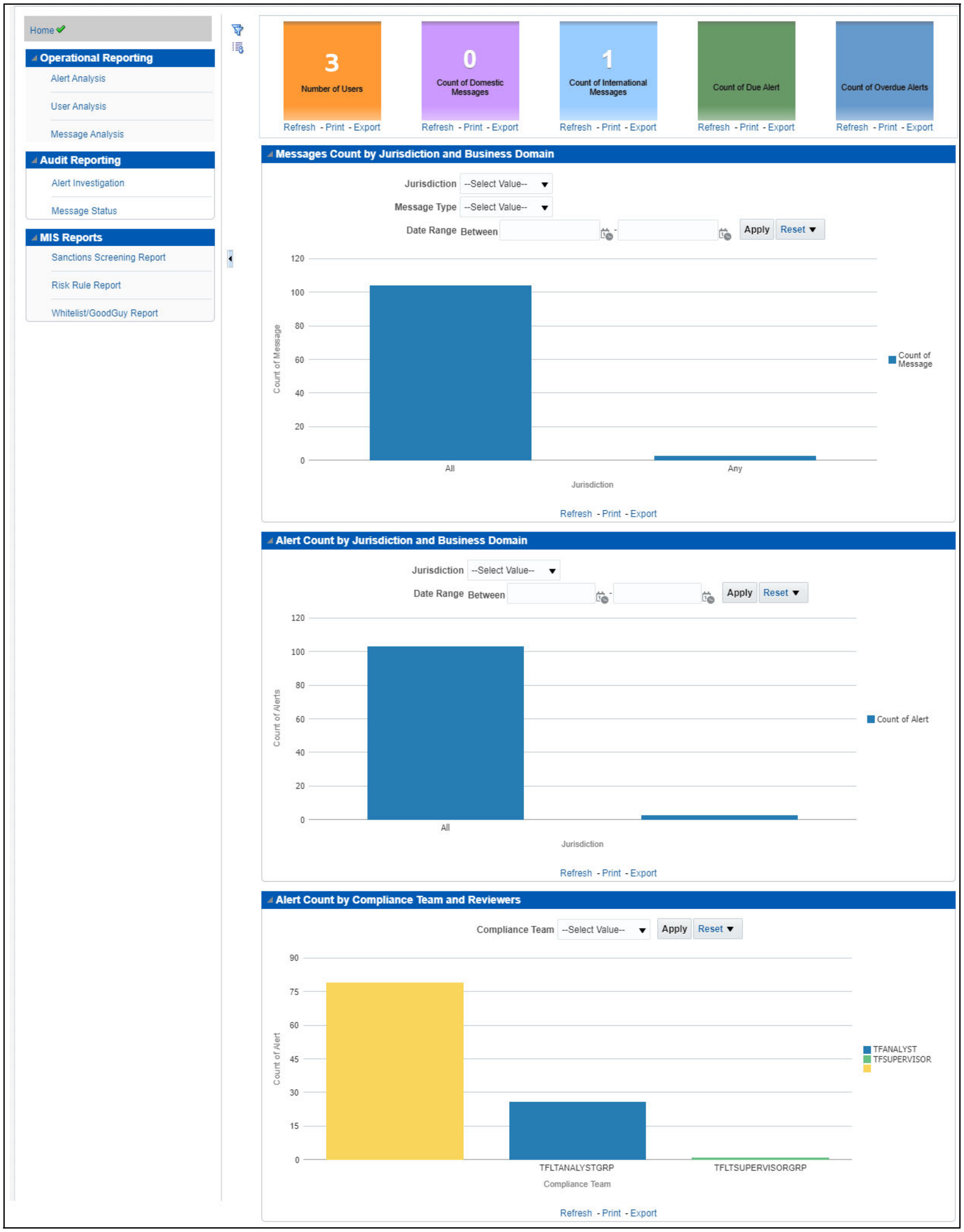
3 Transaction Filtering Reports Home

The **Transaction Filtering Home** page displays the different reports you can view in the Transaction Filtering application. On the home page, you can view the number of users, number of local and international messages, number of due alerts, number of overdue alerts, and their related reports. You can view the number of messages and the number of alerts based on a specific jurisdiction and business domain and the number of alerts for each compliance team. On the left side of the Home page, the reports are segregated based on the purpose they serve. For more information on the report types, see Transaction Filtering Reports.

To view the Transaction Filtering reports, follow these steps:

1. Login to the Transaction Filtering application as an analyst.
2. Click the **Dashboards** drop-down menu and then select **Transaction Filtering**. The **Transaction Filtering Home** page appears.

Figure 2: Transaction Filtering Home Page



There are some drill-down reports you can view from the home page. Click inside one of the windows above the **Messages Count by Jurisdiction and Business Domain** report to view the related drill-down report. You can view the following drill-down reports from 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

You can also view the following reports from the home page:

- Messages Count by Jurisdiction and Business Domain Report
- Alert Count by Jurisdiction and Business Domain Report
- Alert Count by Compliance Team and Reviewers Report

3.1 User Details Drill-down Report

Click the **Number of Users** window to view the User Details drill-down report. This report has details of the user who works on the alerts.

Figure 3: User Details Drill-down Report

User Details
Time run: 3/18/2020 4:09:19 PM

User Code	User Name	Group Code	Group Name
TFADMN	TFADMN	TFLTADMINISTATORGRP	TFLTADMINISTATORGRP
TFANALYST	TFANALYST	TFLTANALYSTGRP	TFLTANALYSTGRP
TFSUPERVISOR	TFSUPERVISOR	TFLTSUPERVISORGRP	TFLTSUPERVISORGRP

Return - Refresh - Print - Export - Create Bookmark Link

Table 3 lists the options that are available at the end of the report:

Table 3: Common Report Options

Option	Description
Return	Click **Return** to go back to the **Transaction Filtering Home** page.
Refresh	Click Refresh to view the updated report if any data is added to this report.
Print	Click **Print** to print the report as a PDF file or an HTML page.

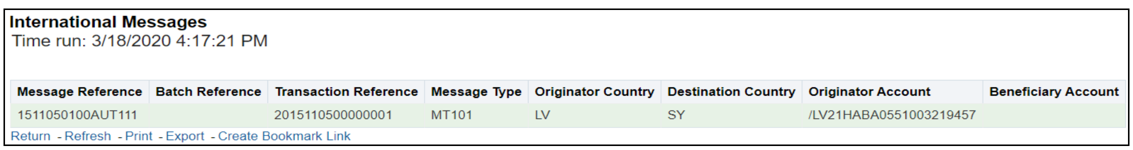
Table 3: Common Report Options

Option	Description
Export	Click **Export** to export the report data as one of the following: • 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 the **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.

3.2 Domestic Messages Drill-down Report

Click the **Count of Domestic Messages** window to view the Domestic Messages drill-down report.

Figure 4: Domestic Messages Drill-down Report


International Messages
Time run: 3/18/2020 4:17:21 PM

Message Reference	Batch Reference	Transaction Reference	Message Type	Originator Country	Destination Country	Originator Account	Beneficiary Account
1511050100AUT111		2015110500000001	MT101	LV	SY	/LV21HABA0551003219457	

Return - Refresh - Print - Export - Create Bookmark Link

Table 4 lists the options that are available at the end of the report:

Table 4: Common Report Options

Option	Description
Return	Click **Return** to go back to the **Transaction Filtering Home** page.
Refresh	Click Refresh to view the updated report if any data is added to this report.
Print	Click **Print** to print the report as a PDF file or an HTML page.
Export	Click **Export** to export the report data as one of the following: • 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 the **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.

3.3 International Messages Drill-down Report

Click the **Count of International Messages** window to view the International Messages drill-down report.

Figure 5: International Messages Drill-down Report

International Messages
Time run: 3/18/2020 4:17:21 PM

Message Reference	Batch Reference	Transaction Reference	Message Type	Originator Country	Destination Country	Originator Account	Beneficiary Account
1511050100AUT111		2015110500000001	MT101	LV	SY	/LV21HABA0551003219457	

Return - Refresh - Print - Export - Create Bookmark Link

Table 5 lists the options that are available at the end of the report:

Table 5: Common Report Options

Option	Description
Return	Click **Return** to go back to the **Transaction Filtering Home** page.
Refresh	Click Refresh to view the updated report if any data is added to this report.
Print	Click **Print** to print the report as a PDF file or an HTML page.
Export	Click **Export** to export the report data as one of the following: • 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 the **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.

3.4 Alert Details Drill-down Report - Due Alerts

Click the **Count of Due Alerts** window to view the Alert Details drill-down report.

Figure 6: Alert Details Drill-down Report - Due Alerts

Alert Details
Time run: 3/26/2020 2:50:02 PM

Message Reference	Batch Reference	Transaction Reference	Message Type	Message Category	Alert ID	Status Name	Match Score	User Name	Group Name	Created date	Modified date
5	5		IAT	NACHA	50055	Hold	95			3/25/2020 12:43:04 PM	3/25/2020 12:43:04 PM
6	6		IAT	NACHA	50054	Hold	95			3/25/2020 12:43:04 PM	3/25/2020 12:43:04 PM
7	7		IAT	NACHA	50066	Blocked	95	TFANALYST	TFLTANALYSTGRP	3/25/2020 2:34:36 PM	3/25/2020 2:54:14 PM
8	8		IAT	NACHA	50067	Released	95	TFANALYST	TFLTANALYSTGRP	3/25/2020 2:34:36 PM	3/25/2020 2:57:31 PM
			IAT	NACHA	50024	Hold	0			3/24/2020 6:38:33 PM	3/24/2020 6:44:39 PM
					50025	Hold	0			3/24/2020 6:38:33 PM	3/24/2020 6:38:33 PM
					50030	Hold	0			3/25/2020 10:44:40 AM	3/25/2020 10:44:40 AM
					50031	Hold	0			3/25/2020 10:44:40 AM	3/25/2020 10:44:40 AM
					50040	Hold	0			3/25/2020 10:57:18 AM	3/25/2020 10:57:18 AM
					50041	Hold	0			3/25/2020 10:57:18 AM	3/25/2020 10:57:18 AM
					50042	Hold	0			3/25/2020 10:57:18 AM	3/25/2020 10:57:18 AM
					50043	Hold	0			3/25/2020 10:57:18 AM	3/25/2020 10:57:18 AM

Return - Refresh - Print - Export - Create Bookmark Link

Table 6 lists the options that are available at the end of the report:

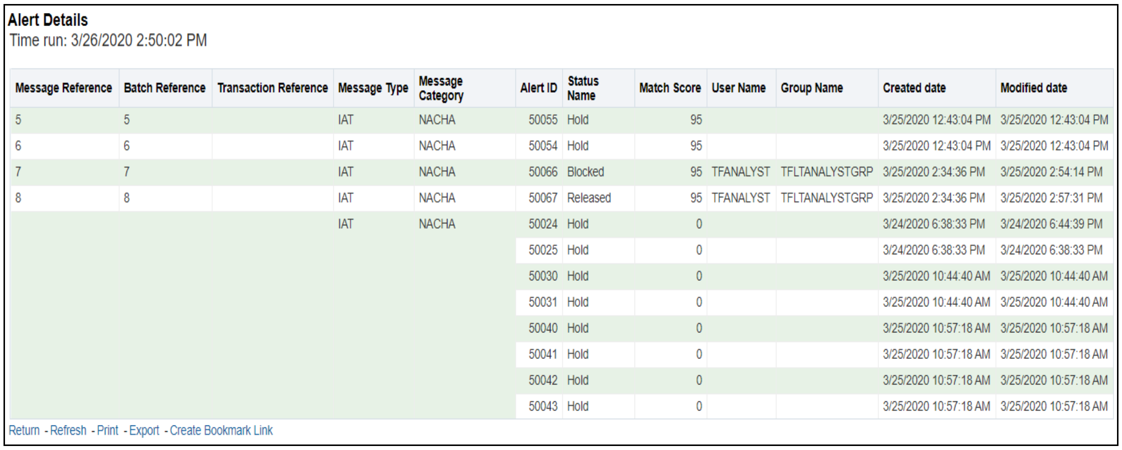
Table 6: Common Report Options

Option	Description
Return	Click **Return** to go back to the **Transaction Filtering Home** page.
Refresh	Click Refresh to view the updated report if any data is added to this report.
Print	Click **Print** to print the report as a PDF file or an HTML page.
Export	Click **Export** to export the report data as one of the following: • 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 the **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.

3.5 Alert Details Drill-down Report - Overdue Alerts

Click the **Count of Overdue Alerts** window to view the Alert Details drill-down report.

Figure 7: Alert Details Drill-down Report - Overdue Alerts


Alert Details
Time run: 3/26/2020 2:50:02 PM

Message Reference	Batch Reference	Transaction Reference	Message Type	Message Category	Alert ID	Status Name	Match Score	User Name	Group Name	Created date	Modified date
5	5		IAT	NACHA	50055	Hold	95			3/25/2020 12:43:04 PM	3/25/2020 12:43:04 PM
6	6		IAT	NACHA	50054	Hold	95			3/25/2020 12:43:04 PM	3/25/2020 12:43:04 PM
7	7		IAT	NACHA	50066	Blocked	95	TFANALYST	TFLTANALYSTGRP	3/25/2020 2:34:36 PM	3/25/2020 2:54:14 PM
8	8		IAT	NACHA	50067	Released	95	TFANALYST	TFLTANALYSTGRP	3/25/2020 2:34:36 PM	3/25/2020 2:57:31 PM
			IAT	NACHA	50024	Hold	0			3/24/2020 6:38:33 PM	3/24/2020 6:44:39 PM
					50025	Hold	0			3/24/2020 6:38:33 PM	3/24/2020 6:38:33 PM
					50030	Hold	0			3/25/2020 10:44:40 AM	3/25/2020 10:44:40 AM
					50031	Hold	0			3/25/2020 10:44:40 AM	3/25/2020 10:44:40 AM
					50040	Hold	0			3/25/2020 10:57:18 AM	3/25/2020 10:57:18 AM
					50041	Hold	0			3/25/2020 10:57:18 AM	3/25/2020 10:57:18 AM
					50042	Hold	0			3/25/2020 10:57:18 AM	3/25/2020 10:57:18 AM
					50043	Hold	0			3/25/2020 10:57:18 AM	3/25/2020 10:57:18 AM

Return - Refresh - Print - Export - Create Bookmark Link

Table 7 lists the options that are available at the end of the report:

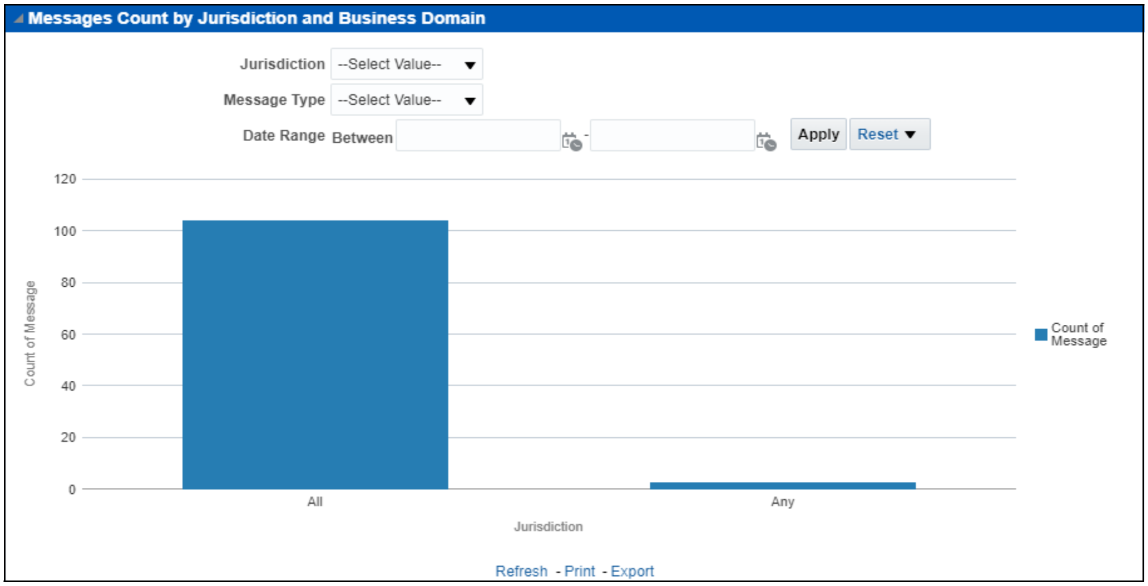
Table 7: Common Report Options

Option	Description
Return	Click **Return** to go back to the **Transaction Filtering Home** page.
Refresh	Click Refresh to view the updated report if any data is added to this report.
Print	Click **Print** to print the report as a PDF file or an HTML page.
Export	Click **Export** to export the report data as one of the following: • 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 the **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.

3.6 Messages Count by Jurisdiction and Business Domain Report

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

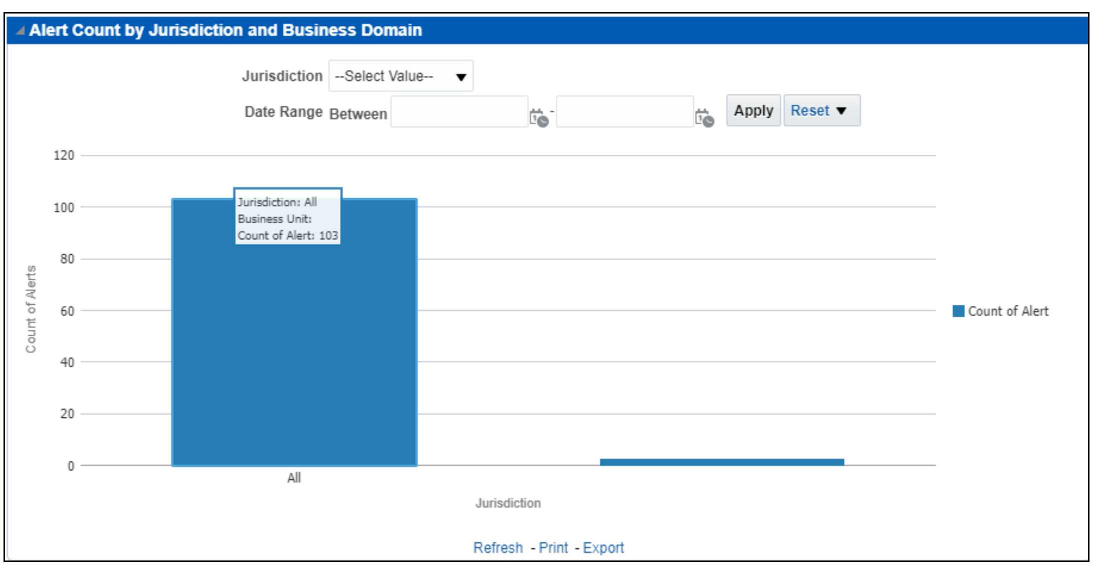
Figure 8: Messages Count by Jurisdiction and Business Domain Report



3.7 Alert Count by Jurisdiction and Business Domain Report

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

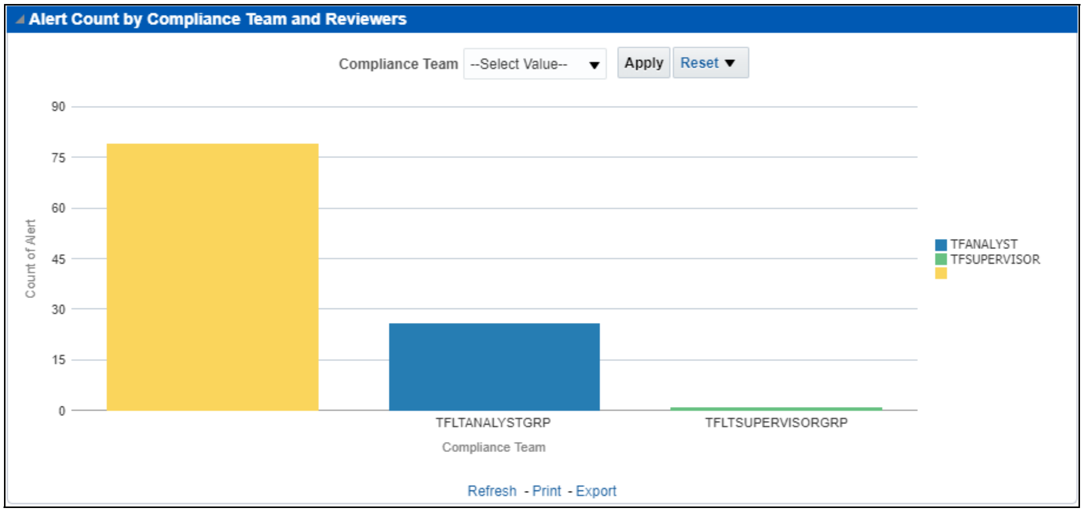
Figure 9: Alert Count by Jurisdiction and Business Domain Report



3.8 Alert Count by Compliance Team and Reviewers Report

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

Figure 10: Alert Count by Compliance Team and Reviewers Report



4 Transaction Filtering Reports

The following categories of reports are available in Transaction Filtering:

- **Operational Reports**: These reports provide information based on daily operations, such as the user working on an alert, current alert status, number of alerts the user has worked on, time taken by the user to resolve the alert, and a dashboard which gives you a snapshot of the number of messages from a source country to a destination country or vice versa and the currency used during the transaction.
- **Audit Reports**: These reports provide information related to the audit activities, such as the count of alerts based on alert status, how many alerts must be investigated, and how many messages are clean or suspicious.
- **MIS Reports**: These reports provide information at a high-level to the senior management, such as the number of hits for each matching web service, number of alerts for a specific risk rule, and number of matches for a specific good guy record.

4.1 Operational Reports

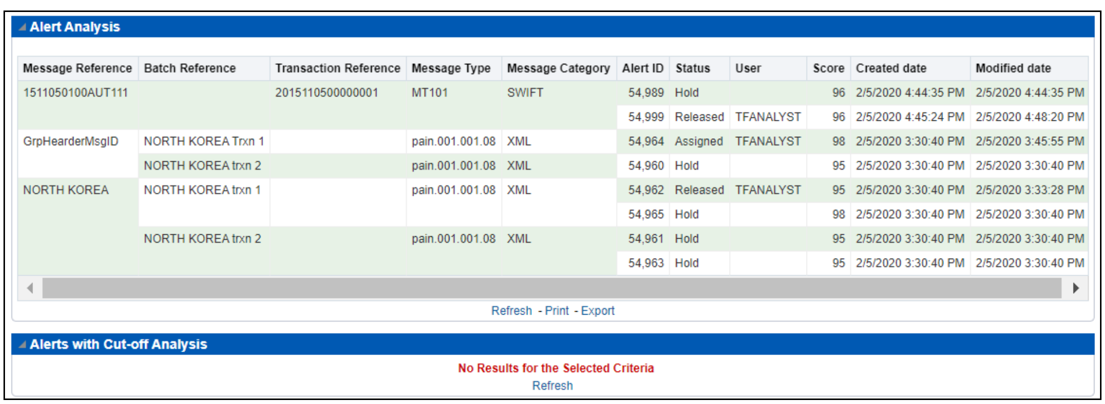
Operational reports are related to daily operations and activities and provide information on productivity. The following reports and dashboard are available:

- Alert Analysis Report
- User Analysis Report
- Message Analysis Dashboard

4.1.1 Alert Analysis Report

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

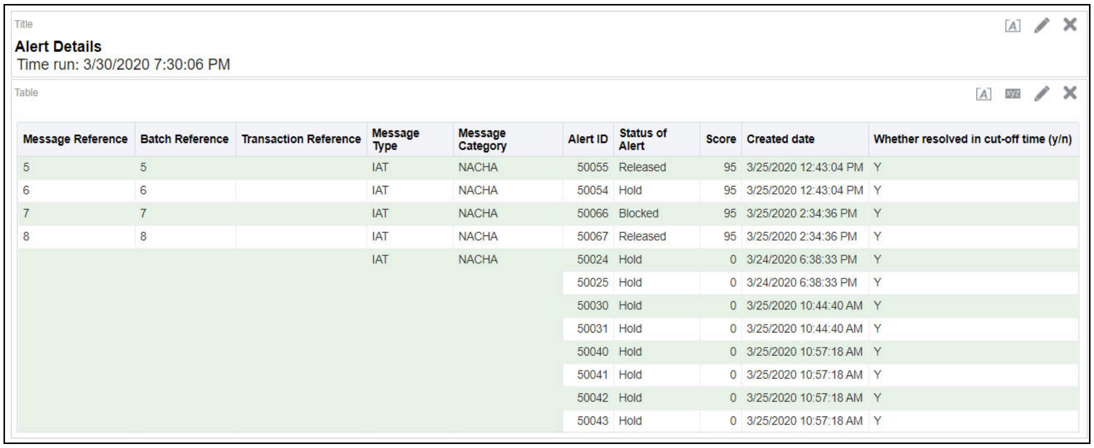
Figure 11: Alert Analysis Report



Message Reference	Batch Reference	Transaction Reference	Message Type	Message Category	Alert ID	Status	User	Score	Created date	Modified date
1511050100AUT111		2015110500000001	MT101	SWIFT	54,989	Hold		96	2/5/2020 4:44:35 PM	2/5/2020 4:44:35 PM
					54,999	Released	TFANALYST	96	2/5/2020 4:45:24 PM	2/5/2020 4:48:20 PM
GrpHearderMsgID	NORTH KOREA Trxn 1		pain.001.001.08	XML	54,964	Assigned	TFANALYST	98	2/5/2020 3:30:40 PM	2/5/2020 3:45:55 PM
	NORTH KOREA trxn 2		pain.001.001.08	XML	54,960	Hold		95	2/5/2020 3:30:40 PM	2/5/2020 3:30:40 PM
NORTH KOREA	NORTH KOREA trxn 1		pain.001.001.08	XML	54,962	Released	TFANALYST	95	2/5/2020 3:30:40 PM	2/5/2020 3:33:28 PM
					54,965	Hold		98	2/5/2020 3:30:40 PM	2/5/2020 3:30:40 PM
	NORTH KOREA trxn 2		pain.001.001.08	XML	54,961	Hold		95	2/5/2020 3:30:40 PM	2/5/2020 3:30:40 PM
					54,963	Hold		95	2/5/2020 3:30:40 PM	2/5/2020 3:30:40 PM

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

Figure 12: Alerts with Cut-off Analysis Report



Title

Alert Details

Time run: 3/30/2020 7:30:06 PM

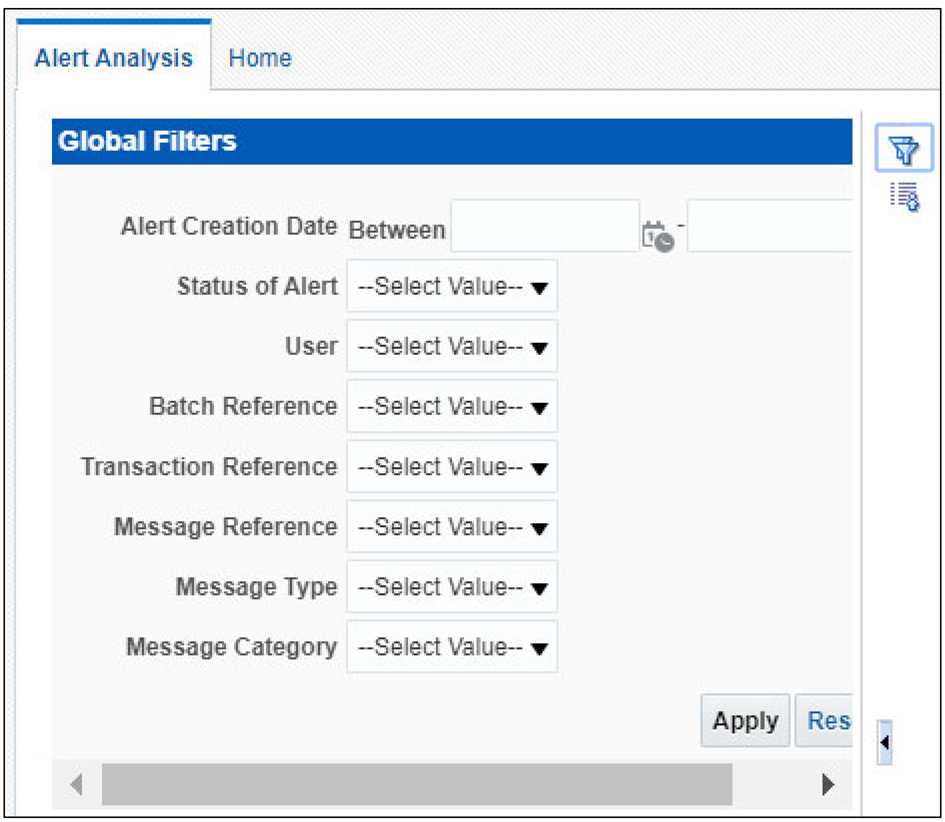
Table

Message Reference	Batch Reference	Transaction Reference	Message Type	Message Category	Alert ID	Status of Alert	Score	Created date	Whether resolved in cut-off time (y/n)
5	5		IAT	NACHA	50055	Released	95	3/25/2020 12:43:04 PM	Y
6	6		IAT	NACHA	50054	Hold	95	3/25/2020 12:43:04 PM	Y
7	7		IAT	NACHA	50066	Blocked	95	3/25/2020 2:34:36 PM	Y
8	8		IAT	NACHA	50067	Released	95	3/25/2020 2:34:36 PM	Y
			IAT	NACHA	50024	Hold	0	3/24/2020 6:38:33 PM	Y
					50025	Hold	0	3/24/2020 6:38:33 PM	Y
					50030	Hold	0	3/25/2020 10:44:40 AM	Y
					50031	Hold	0	3/25/2020 10:44:40 AM	Y
					50040	Hold	0	3/25/2020 10:57:18 AM	Y
					50041	Hold	0	3/25/2020 10:57:18 AM	Y
					50042	Hold	0	3/25/2020 10:57:18 AM	Y
					50043	Hold	0	3/25/2020 10:57:18 AM	Y

4.1.1.1 Report Filters for Alert Analysis and Alerts with Cut-off Analysis Reports

To view the report filters, click **Filter**. The individual report filters appear in the **Global Filters** dialog box.

Figure 13: Report Filters for Alert Analysis and Alerts with Cut-off Analysis Reports



The following filters are available:

- **Alert Creation Date**: This filter allows you to select the dates between which a specific alert is created. To view the data, first use the date picker icon or enter the date in the field and then click **Apply**. The date is the format `MM/DD/YYYY HH:MM:SS AM/PM`.
- **Status of Alert**: This filter allows you to sort the report data for a specific alert status. To view the data, first select an alert status in the drop-down list and then click **Apply**.
- **User**: This filter allows you to sort the report data for a specific user. To view the data, first select a user in the drop-down list and then click **Apply**.
- **Batch Reference**: This filter allows you to sort the report data based on the batch reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Transaction Reference**: This filter allows you to sort the report data based on the transaction reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Message Reference**: This filter allows you to sort the report data based on the message reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Message Type**: This filter allows you to sort the report data based on the message type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Message Category**: This filter allows you to sort the report data based on the message category type. To view the data, first select a type in the drop-down list and then 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.

4.1.2 User Analysis Report

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

Figure 14: User Analysis Report

User Analysis
Time run: 3/18/2020 7:43:13 PM

Message Reference	Batch Reference	Transaction Reference	Message Type	Message Category	User	Compliance Team	Created date	Time Taken To Resolve	Count of alert	Rate Per alert	Status Name
1511050100AUT111		2015110500000001	MT101	SWIFT	TFANALYST	TFLTANALYSTGRP	2/5/2020 4:45:24 PM	00:02:56	1	00:02:56	Released
NORTH KOREA	NORTH KOREA trxn 1		pain.001.001.08	XML	TFANALYST	TFLTANALYSTGRP	2/5/2020 3:30:40 PM	00:02:48	1	00:02:48	Released
	NORTH KOREA trxn 2		pain.001.001.08	XML	TFANALYST	TFLTANALYSTGRP	2/5/2020 3:30:40 PM	24:25:28	1	24:25:28	Blocked
					TFSUPERVISOR	TFLTSUPERVISORGRP	2/5/2020 3:30:40 PM	24:22:58	1	24:22:58	Released

Refresh - Print - Export

To view the drill-down report for an alert, click the **Count of alert** hyperlink. The **Alert Details** drill-down report is displayed.

Use this report to view the alert status and alert resolution status.

Figure 15: Alert Details Drill-down Report

Message Reference	Batch Reference	Transaction Reference	Message Type	Message Category	Alert ID	Status of Alert	Score	Created date	Whether resolved in cut-off time (y/n)
5	5		IAT	NACHA	50055	Released	95	3/25/2020 12:43:04 PM	Y

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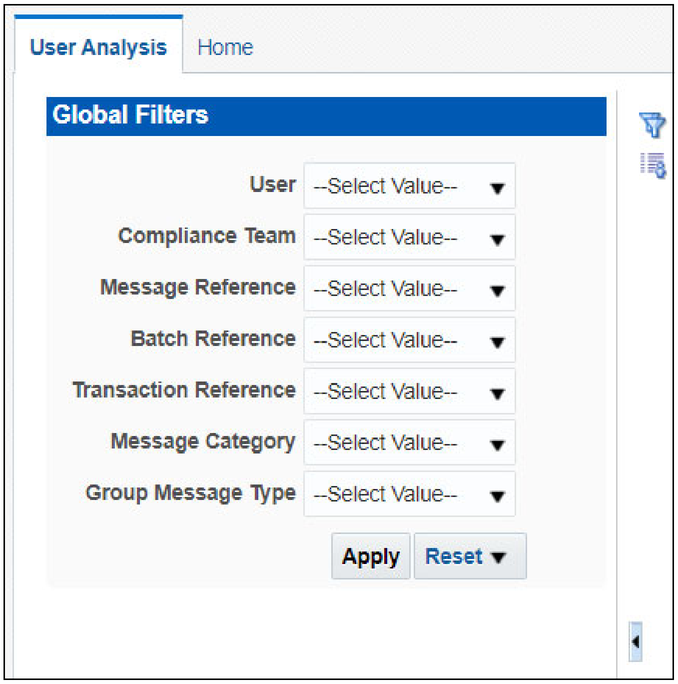
4.1.2.1 Report Filters for User Analysis Report

To view the report filters, click **Filter** . The individual report filters appear in the **Global Filters** dialog box.

Figure 16: Report Filters for User Analysis Report



The following filters are available:

- **User**: This filter allows you to sort the report data for a specific user. To view the data, first select a user in the drop-down list and then click **Apply**.
- **Compliance Team**: This filter allows you to sort the report data based on a specific compliance team. To view the data, first select a compliance team in the drop-down list and then click **Apply**.
- **Message Reference**: This filter allows you to sort the report data based on the message reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Batch Reference**: This filter allows you to sort the report data based on the batch reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Transaction Reference**: This filter allows you to sort the report data based on the transaction reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Message Category**: This filter allows you to sort the report data based on the message category type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Group Message Type**: This filter allows you to sort the report data based on the message type. To view the data, first select a type in the drop-down list and then click **Apply**.

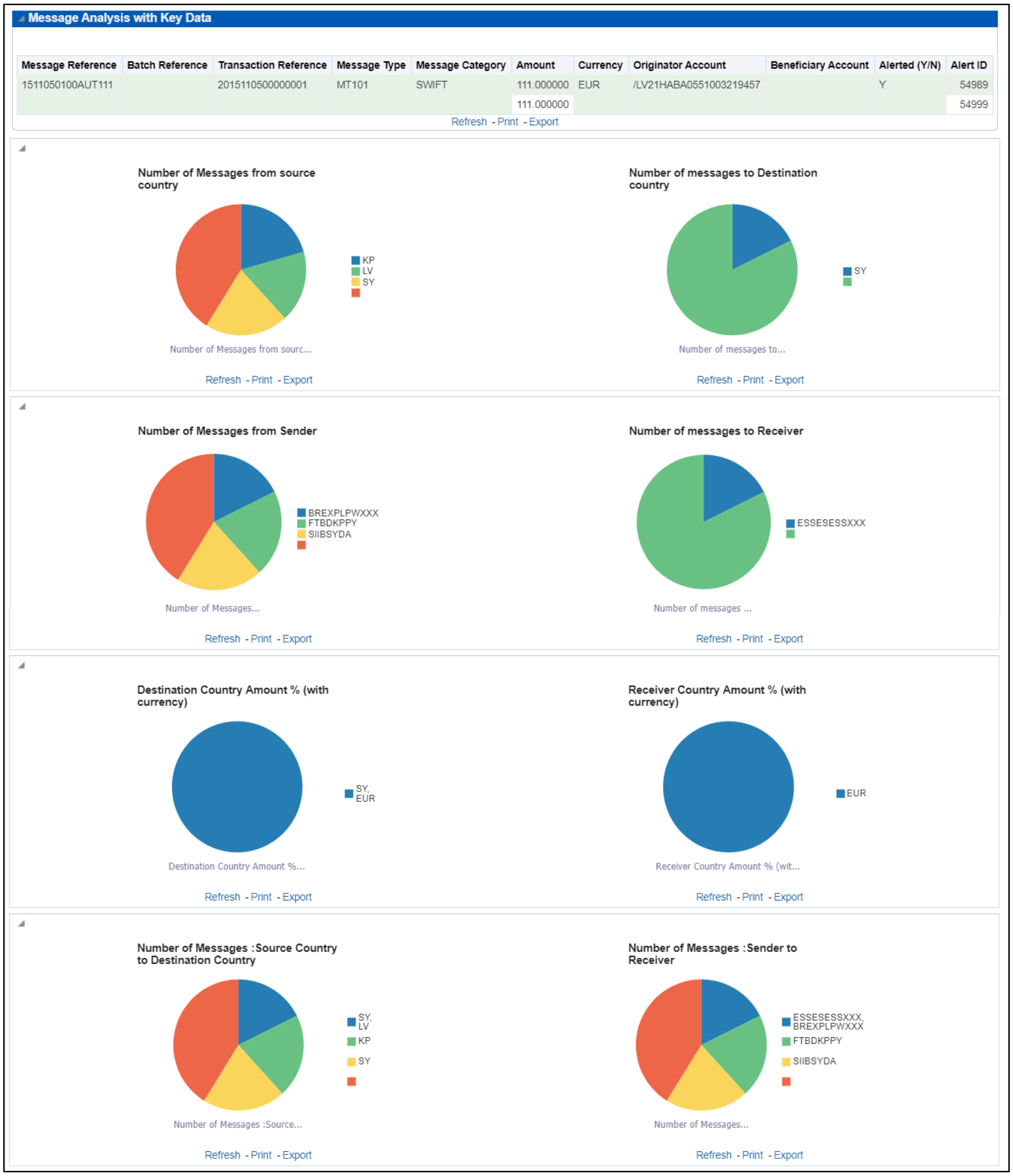
Click **Reset** to view the report without any filters applied.

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

4.1.3 Message Analysis Dashboard

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

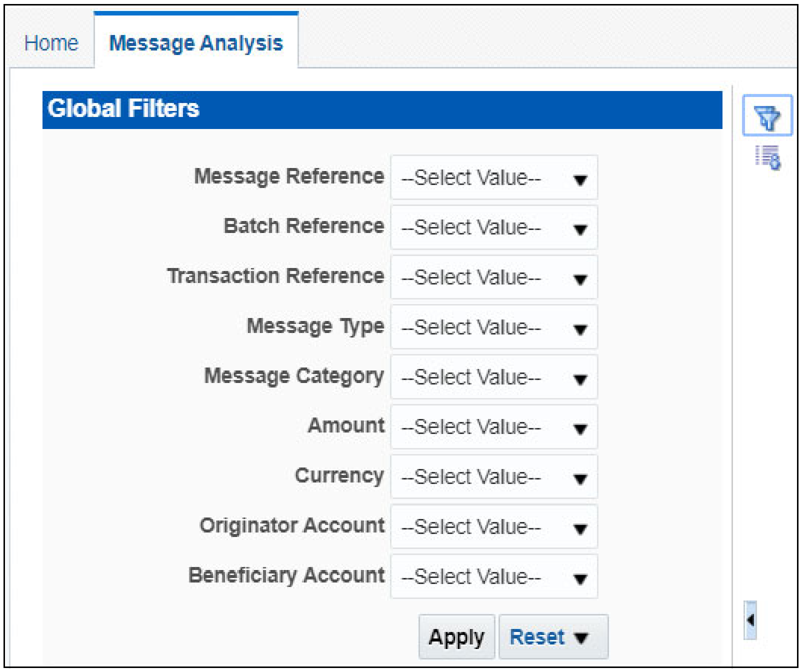
Figure 17: Message Analysis Dashboard



4.1.3.1 Report Filters for Message Analysis Dashboard

To view the report filters, click **Filter** . The individual report filters appear in the **Global Filters** dialog box.

Figure 18: Report Filters for Message Analysis Dashboard



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, first select a name in the drop-down list and then click **Apply**.
- **Batch Reference**: This filter allows you to sort the report data based on the batch reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Transaction Reference**: This filter allows you to sort the report data based on the transaction reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Message Type**: This filter allows you to sort the report data based on the message type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Message Category**: This filter allows you to sort the report data based on the message category type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Amount**: This filter allows you to sort the report data based on the transaction amount. To view the data, first select an amount and then click **Apply**.
- **Currency**: This filter allows you to sort the report data based on the transaction currency. To view the data, first select a currency in the drop-down list and then 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, first select an account in the drop-down list and then 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, first select an account in the drop-down list and then 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.

4.2 Audit Reports

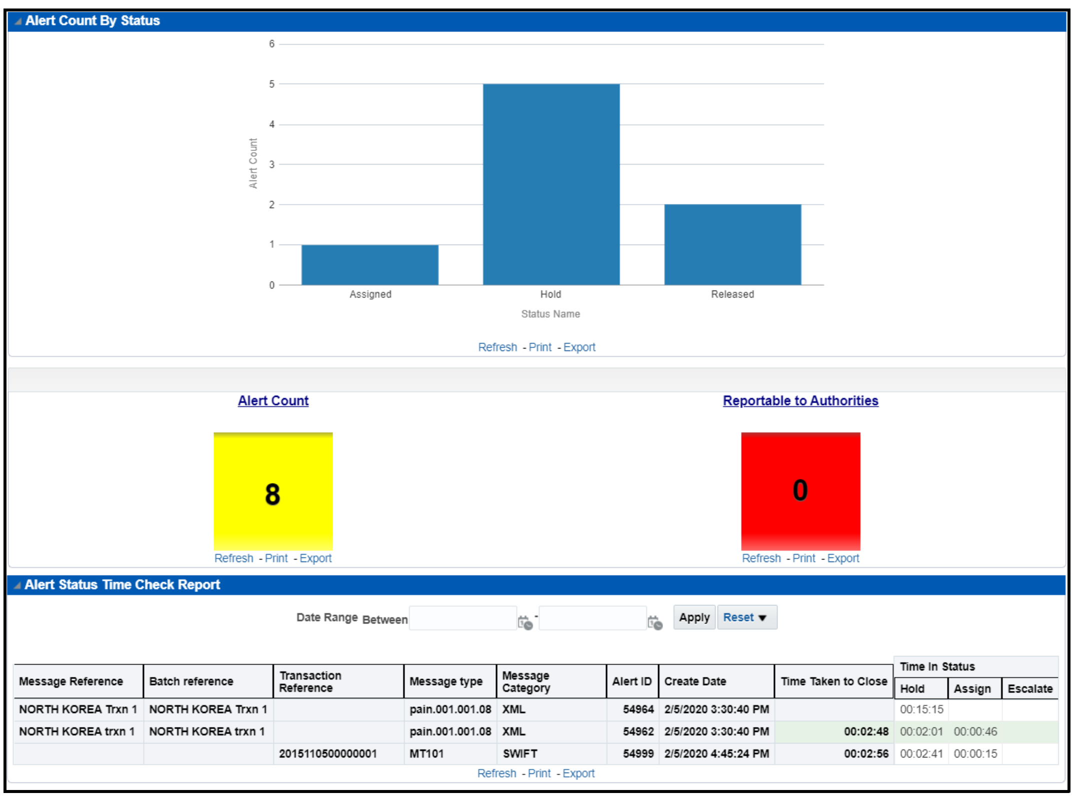
Audit reports provide information on audit events. The following dashboard and report are available:

- Alert Investigation Dashboard
- Message Status Report

4.2.1 Alert Investigation Dashboard

Use this dashboard to view the alerts that are audited based on the message status, total number of alerts, alerts that are reported for investigation, and the alert details for a specific date range.

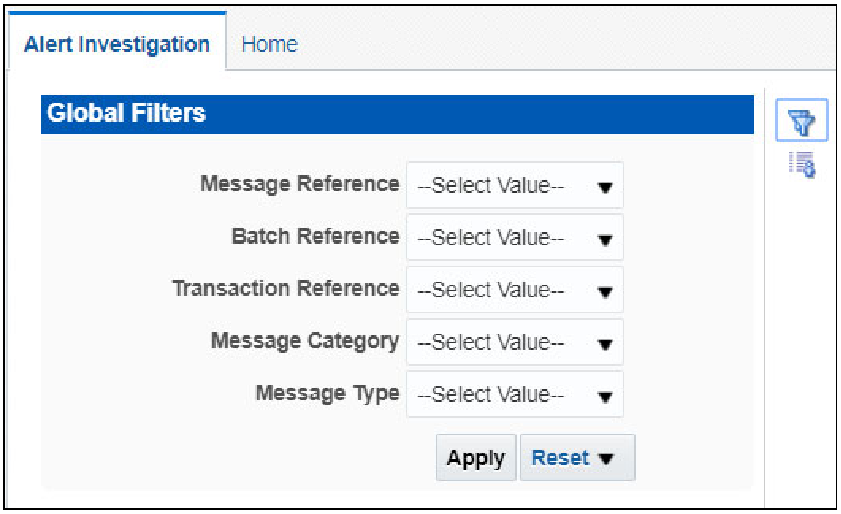
Figure 19: Alert Investigation Dashboard



4.2.1.1 Report Filters for Alert Investigation Dashboard

To view the report filters, click **Filter**. The individual report filters appear in the **Global Filters** dialog box.

Figure 20: Report Filters for Alert Investigation Dashboard



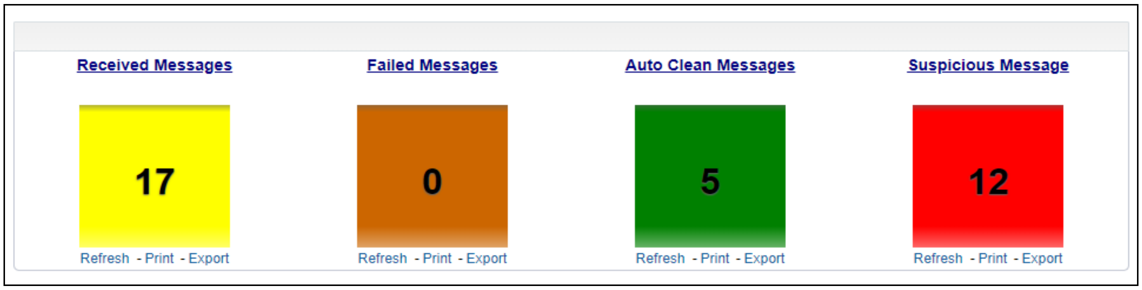
The following filters are available:

- **Message Reference**: This filter allows you to sort the report data based on the message reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Batch Reference**: This filter allows you to sort the report data based on the batch reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Transaction Reference**: This filter allows you to sort the report data based on the transaction reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Message Category**: This filter allows you to sort the report data based on the message category type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Message Type**: This filter allows you to sort the report data based on the message type. To view the data, first select a type in the drop-down list and then click **Apply**.

4.2.2 Message Status Report

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

Figure 21: Message Status Report

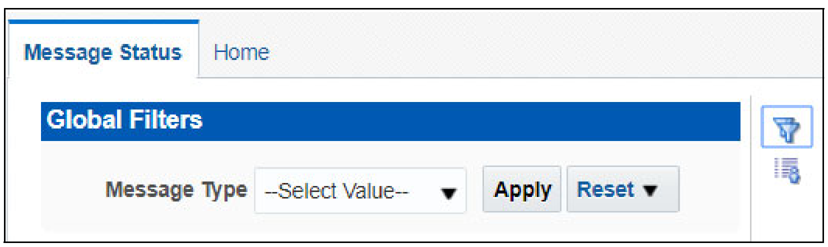


To go back to the **Transaction Filtering Home** page, click the **Home** tab.

4.2.2.1 Report Filters for Message Status Report

To view the report filters, click **Filter**. The individual report filters appear in the **Global Filters** dialog box.

Figure 22: Report Filters for Message Status Report



The following filter is available:

- **Message Type**: This filter allows you to sort the report data based on the message type. To view the data, first select a type in the drop-down list and then click **Apply**.

4.3 MIS Reports

Management Information System (MIS) reports are used by the senior-level management to view the data such as the total number of alerts generated for a specific match rule, the total number of alerts generated for a particular risk rule, and the total number of matches for a specific record in the good guy list. The following reports are available:

- Sanctions Screening Report
- Risk Rule Report
- Whitelist/Good Guy Report

4.3.1 Sanctions Screening Report

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

The windows in the **Hit Type Report** display the number of hits received by a specific matching web service. Click the web service name to view the drill-down report related to the web service.

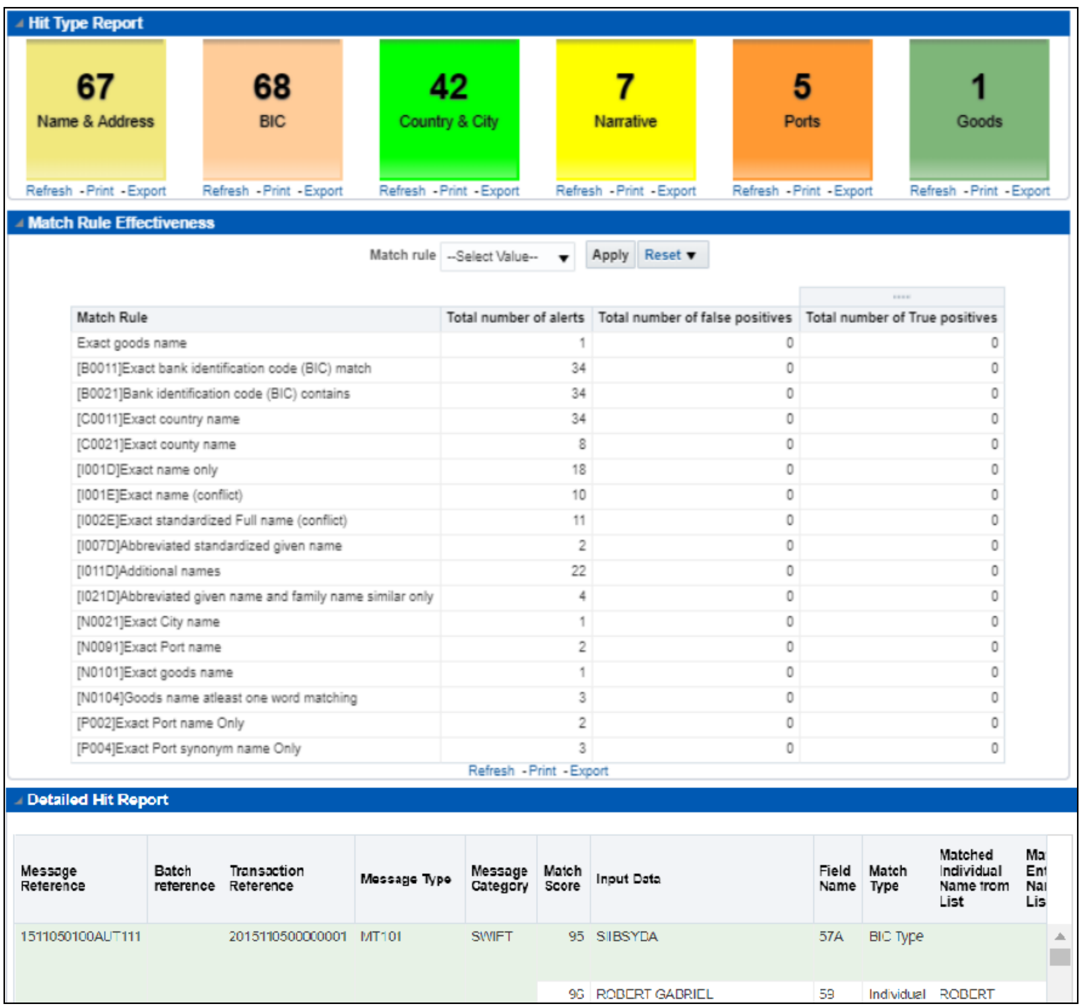
The **Match Rule Effectiveness** report displays information related to the number of alerts and corresponding true positives and false positives for a selected match rule. To view the information for a match rule, follow these steps:

1. In the **Match rule** drop-down list, select the match rule.
2. 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 matched field name, matched individual/entity name, and the associated country/city.

Figure 23: Sanctions Screening Report



4.3.1.1 Drill-down Reports for Sanctions Screening Report

To view the drill-down report for any matching web service, click the web service name in the Hit Type Report section. The drill-down 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 drill-down report for the BIC matching web service is as follows:

Figure 24: Drill-down Reports for Sanctions Screening Report

Drill Report for Match Hit report

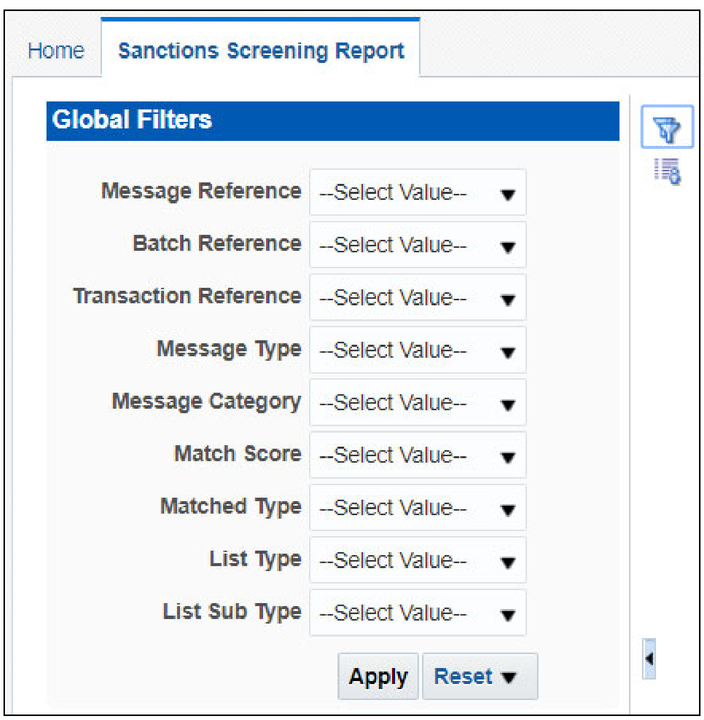
Message Reference	Batch reference	Transaction Reference	Alert ID	Match Score	Rule	Matched List name	Matched Sublist Name	Matched Type
5	5		50055		[B0011]Exact bank identification code (BIC) match	Watchlist BIC		BIC Type
			50055		[B0011]Exact bank identification code (BIC) match	Sanctioned BIC		BIC Type
6	6		50054		[B0011]Exact bank identification code (BIC) match	Sanctioned BIC		BIC Type
			50054		[B0011]Exact bank identification code (BIC) match	Watchlist BIC		BIC Type
7	7		50066		[B0011]Exact bank identification code (BIC) match	Watchlist BIC		BIC Type
			50066		[B0011]Exact bank identification code (BIC) match	Sanctioned BIC		BIC Type
8	8		50067		[B0011]Exact bank identification code (BIC) match	Sanctioned BIC		BIC Type
			50067		[B0011]Exact bank identification code (BIC) match	Watchlist BIC		BIC Type

Return - Refresh - Print - Export - Create Bookmark Link

4.3.1.2 Report Filters for Sanctions Screening Report

To view the report filters, click **Filter** . The individual report filters appear in the **Global Filters** dialog box.

Figure 25: Report Filters for Sanctions Screening Report



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, first select a name in the drop-down list and then click **Apply**.
- **Batch Reference**: This filter allows you to sort the report data based on the batch reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Transaction Reference**: This filter allows you to sort the report data based on the transaction reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Message Type**: This filter allows you to sort the report data based on the message type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Message Category**: This filter allows you to sort the report data based on the message category type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Match Score**: This filter allows you to sort the report data based on the match score. To view the data, first select a score in the drop-down list and then click **Apply**.
- **Matched Type**: This filter allows you to sort the report data based on the match type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **List Type**: This filter allows you to sort the report data based on the list type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **List Sub Type**: This filter allows you to sort the report data based on the list subtype. To view the data, first select a subtype in the drop-down list and then click **Apply**.

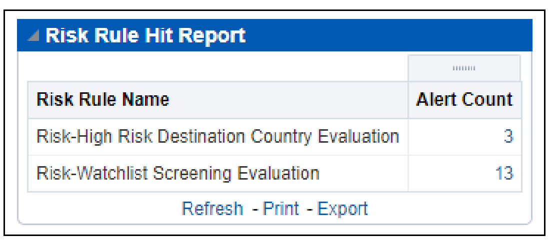
Click **Reset** to view the report without any filters applied.

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

4.3.2 Risk Rule Report

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

Figure 26: Risk Rule Report


Risk Rule Hit Report

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

Refresh - Print - Export

4.3.2.1 Drill-down Reports for Risk Rule Report

To view the drill-down report for a risk rule, click the **Alert Count** number. The drill-down report for the match rule appears. Use this report to view the match score for an associated risk rule.

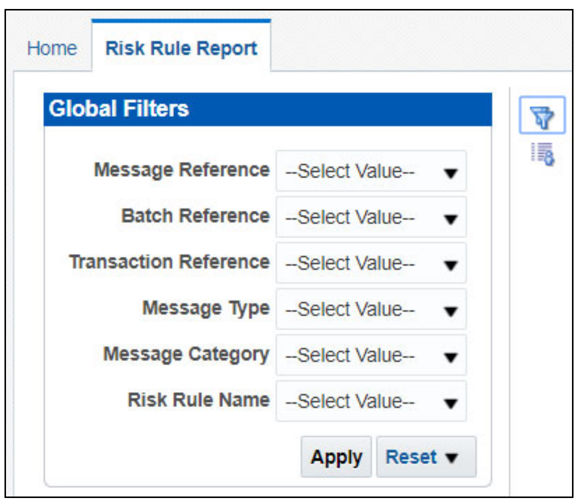
Figure 27: Drill-down Reports for Risk Rule Report

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

4.3.2.2 Report Filters for Risk Rule Report

To view the report filters, click **Filter** . The individual report filters appear in the **Global Filters** dialog box.

Figure 28: Report Filters for Risk Rule Report



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, first select a name in the drop-down list and then click **Apply**.
- **Batch Reference**: This filter allows you to sort the report data based on the batch reference name. To view the data, first select a name in the drop-down list and then click **Apply**.
- **Transaction Reference**: This filter allows you to sort the report data based on the transaction reference name. To view the data, first select a name in the drop-down list and then click **Apply**.

- **Message Type**: This filter allows you to sort the report data based on the message type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Message Category**: This filter allows you to sort the report data based on the message category type. To view the data, first select a type in the drop-down list and then click **Apply**.
- **Risk Rule Name**: This filter allows you to sort the report data based on the risk rule name. To view the data, first select a rule name in the drop-down list and then click **Apply**.

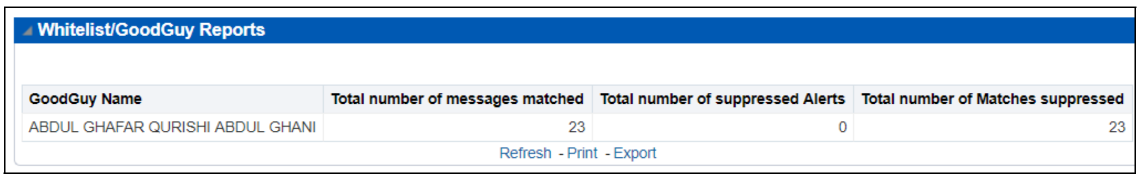
Click **Reset** to view the report without any filters applied.

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

4.3.3 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 watch list.

Figure 29: Whitelist/Good Guy Report



Whitelist/GoodGuy Reports

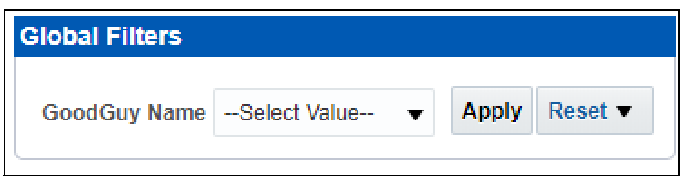
GoodGuy Name	Total number of messages matched	Total number of suppressed Alerts	Total number of Matches suppressed
ABDUL GHAFAR QURISHI ABDUL GHANI	23	0	23

Refresh - Print - Export

4.3.3.1 Report Filters for Whitelist/Good Guy Report

To view the report filters, click **Filter** . The individual report filters appear in the **Global Filters** dialog box.

Figure 30: Report Filters for Whitelist/Good Guy Report



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, first select a name in the drop-down list and then 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.

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