

# User Guide

## Oracle Financial Services: Enterprise Case Management

*Release 8.0.5.0.0*

*October 2017*





# **User Guide**

## **Oracle Financial Services:**

Enterprise Case Management

*Release 8.0.5.0.0*

*October 2017*

Part Number: E87227-01

Oracle Financial Services Software, Inc.  
1900 Oracle Way  
Reston, VA 20190

Part Number: E87227-01  
First Edition (October 2017)

**Copyright © 2017, Oracle and/or its affiliates. All rights reserved.**

Printed in U.S.A. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise without the prior written permission.

**Trademarks**

Oracle is a registered trademark of Oracle Corporation and/or its affiliates.  
Other names may be trademarks of their respective owners.

Oracle Financial Services Software, Inc.  
1900 Oracle Way  
Reston, VA 20190  
*Phone:* 703-478-9000  
*Fax:* 703-318-6240  
*Internet:* [www.oracle.com/financialservices](http://www.oracle.com/financialservices)

# Revision History

The following table describes the revision history of the Enterprise Case Management (ECM) User Guide.

**Table 1. Revision History**

Date	Edition	Description
October 2017	First edition of 8.0.5.0.0	This is the first release of Enterprise Case Management (ECM) as a standalone application.
January 2018	Second edition of 8.0.5.0.0	<ul style="list-style-type: none"><li>● <i>Chapter 4, "Investigating Cases,"</i> Network Analysis tab section is added.</li><li>● <i>Chapter 5, "Acting on Cases,"</i> Auto assignment action is added.</li></ul>



---

# Contents

---

<b>Revision History</b> .....	<b>v</b>
<b>List of Figures</b> .....	<b>xiii</b>
<b>List of Tables</b> .....	<b>xv</b>
<b>About this Guide</b> .....	<b>xvii</b>
Who Should Use this Guide .....	xvii
How this Guide is Organized.....	xvii
Where to Find More Information.....	xviii
Conventions Used in this Guide.....	xviii
<b>CHAPTER 1      <i>About Enterprise Case Management</i></b> .....	<b>17</b>
Introduction .....	17
Key Features .....	17
Enterprise Case Management UI .....	18
Case Creation.....	18
Case Search .....	18
Case Investigation .....	18
Action on Case .....	18
Case Audit History.....	19
User Roles and Privileges .....	19
Security within Enterprise Case Management.....	21
<b>CHAPTER 2      <i>Getting Started</i></b> .....	<b>33</b>
Accessing OFSAA Applications .....	34
Selecting Applications .....	35
Managing OFSAA Application Page.....	36
Applications Tab .....	36
Object Administration Tab.....	36
System Configuration and Identity Management Tab.....	37
Change Password .....	38
Copyright Information .....	39
Troubleshooting Your Display.....	40
Enabling JavaScript.....	40
Enabling Cookies .....	40
Enabling Temporary Internet Files .....	40
Enabling File Downloads .....	41

Setting Printing Options .....	41
Enabling Pop-Blocker .....	41
Setting Preferences.....	42
<b>CHAPTER 3            Searching Cases .....</b>	<b>43</b>
About Case Search and Case List.....	43
Accessing Case Search and List Page .....	43
Searching Cases.....	44
Using Views .....	44
Using Case ID.....	44
Using Search Criteria .....	45
Managing Case List.....	48
<i>About Case List</i> .....	48
<i>Viewing Case List</i> .....	49
<i>Acting on Cases</i> .....	49
<i>Assigning a Case</i> .....	50
<i>Adding Evidence to Cases</i> .....	50
<b>CHAPTER 4            Investigating Cases .....</b>	<b>55</b>
About Investigating Cases.....	55
About Case Summary.....	55
Accessing Case Summary Page.....	56
Using Case Context.....	56
<b>About</b> Case Context.....	56
<b>Viewing</b> Case Context.....	56
Editing Case Context Details .....	58
Using Operational Data Tabs .....	58
About Operational Data Tabs.....	59
Using Narrative Tab .....	59
<i>About Narrative Tab</i> .....	59
<i>Creating a Narrative</i> .....	59
<i>Editing Narrative</i> .....	60
<i>Viewing Narrative History</i> .....	60
Using Involved Party Tab.....	61
<i>About Involved Party Tab</i> .....	61
<i>Viewing Linked Involved Party</i> .....	61
<i>Adding Involved Party</i> .....	62
<i>Editing or Unlinking Involved Party</i> .....	62
Using Evidence Tab .....	62
<i>About Evidence Tab</i> .....	63
<i>Viewing Comments or Attachment</i> .....	63
<i>Adding Comments and Attachment</i> .....	64
<i>Removing Attachment</i> .....	64
Using Correlation Tab.....	64
<i>About Correlation tab</i> .....	65



<i>Viewing Source Correlation</i> .....	65
<i>Viewing Linked Events</i> .....	66
<i>Viewing Business Data Correlation</i> .....	66
Using Network Analysis Tab .....	67
<i>About Network Analysis Tab</i> .....	67
<i>Filtering Network Analysis</i> .....	67
<i>Using Network Graph</i> .....	70
Using Relationship Tab .....	74
<i>About Relationship Tab</i> .....	74
<i>Managing Related Cases</i> .....	74
<i>Managing Related Events</i> .....	78
Using Audit History Tab.....	81
<i>About Audit History Tab</i> .....	81
<i>Filtering and Viewing Audit History Details</i> .....	81
<i>Exporting Audit History Details</i> .....	83
Using Business Data Tabs.....	83
<i>About Business Data Tabs</i> .....	83
<i>Accessing Business Data Tab</i> .....	84
Using Event Details Tab.....	85
<i>About Event Details Tab</i> .....	85
<i>Viewing Event Details and Statement View</i> .....	85
Using Account Tab.....	86
<i>About Account Tab</i> .....	86
<i>Managing Account List</i> .....	87
<i>Managing Account Details</i> .....	87
Using Customer Tab.....	91
<i>About Customer Tab</i> .....	91
<i>Managing Customer List</i> .....	91
<i>Managing Customer Details</i> .....	92
Using External Entity Tab .....	95
<i>About External Entity Tab</i> .....	96
<i>Managing External Entity List</i> .....	96
<i>Managing External Entity Details</i> .....	96
Using Household Tab .....	97
<i>About Household Tab</i> .....	97
<i>Managing Household List</i> .....	98
<i>Managing Household Details</i> .....	98
Using Employee Tab .....	99
<i>About Employee Tab</i> .....	99
<i>Managing Employees List</i> .....	99
<i>Managing Employee Details</i> .....	99
Using Correspondent Bank Tab .....	100
<i>About Correspondent Bank Tab</i> .....	100
<i>Managing Correspondent Bank List</i> .....	101
<i>Managing Correspondent Bank Details</i> .....	101
Using Investment Advisor Tab.....	102
<i>About Investment Advisor Tab</i> .....	103

<i>Viewing Investment Advisor List</i> .....	103
<i>Viewing Investment Advisor Details</i> .....	103
Using Financials Tab .....	103
<i>About Financials Tab</i> .....	104
<i>Managing Current Loss and Recovery Summary</i> .....	104
<i>Managing Loss and Recovery</i> .....	106
Using KYC Risk Score Tab.....	109
<i>About KYC Risk Score Tab</i> .....	109
<i>Managing KYC Event List</i> .....	110
<i>Managing KYC Event Details</i> .....	110
Using Customer Screening Tab .....	111
<i>About Customer Screening Tab</i> .....	111
<i>Managing Customer Screening List</i> .....	112
<i>Managing Customer Screening Event Details</i> .....	112
Using Transaction Tab.....	113
<i>About Transaction Tab</i> .....	113
<i>Adding New Transactions</i> .....	113
<i>Managing Transactions</i> .....	113
Managing Business Entity List.....	114
<i>About Business Entity List</i> .....	115
<i>Adding an Entity</i> .....	115
<i>Modifying an Entity</i> .....	118
<i>Removing an Entity</i> .....	119
<i>Designating as Involved Party</i> .....	119
<i>Viewing Current Information</i> .....	120
Managing Business Entity Records .....	120
<i>About Business Entity Records</i> .....	120
<i>Adding New Business Record</i> .....	120
<i>Modifying Business Record</i> .....	121
<i>Removing Business Record</i> .....	121
<b>CHAPTER 5</b> <b>Acting on Cases</b> .....	<b>123</b>
About Case Action .....	123
Using Take Action Window.....	124
Accessing Take Action Window.....	124
Reopening Cases .....	125
Setting Due Date.....	126
Taking Resolution Action .....	126
Assigning Cases .....	127
Emailing Cases.....	127
Adding Evidence.....	129
Assigning Case .....	129
Adding Evidence .....	131
<b>CHAPTER 6</b> <b>Creating Cases</b> .....	<b>135</b>

About Case Creation .....135  
 Accessing Create Case Page .....135  
 Creating a New Case .....135

**APPENDIX A Common Features ..... 139**

Common Screen Elements .....139  
 Masthead.....139  
 Buttons.....140  
     *Task Button* .....140  
     *Action Buttons*.....140  
     *Help Button*.....141  
     *Radio Button* .....141  
 Save Preference Button.....141  
 Clear Preference Button.....141  
     *Calendar Button*.....141  
     *Expand/Collapse*.....141  
 Field Types .....142  
     *Text Area*.....142  
     *Text Box*.....142  
     *Wildcard Text Box*.....143  
     *Context-Sensitive Text Box* .....143  
     *Drop-down List* .....143  
     *Selection Box*.....143  
     *Check Box*.....143  
     *Check All/Uncheck All Check box*.....143  
 Column Sort Options .....143  
 Reordering Columns.....143  
 ToolTips .....144  
 Navigation.....144  
     Hamburger Menu.....144  
     Links.....144  
     Search Bars .....144  
     Page Context Controls .....144  
     Business and Operational Data Tabs.....145  
         *Business Data tab*.....145  
         *Operational Data tab*.....145  
     Pagination.....145  
 Exporting Case.....145  
     *Exporting*.....146

**APPENDIX B Business Entity Details ..... 147**

Search Criteria for Adding Existing Entities .....147  
 Field Details for Adding Business Entities Manually.....149  
     Account .....149  
     Customer .....150

Household.....	152
External Entity .....	152
Correspondent Bank.....	152
Employee.....	153
Transaction.....	154
Involved Party .....	156
Network Analysis Tab .....	158
Include Link Types .....	158
Known Relationships .....	159
Shared Attributes.....	160
<b><i>Index</i>.....</b>	<b>163</b>

---

# List of Figures

---

Figure 1: OFSAA Login Page .....	34
Figure 2: Enterprise Case Management Page .....	35
Figure 3: OFSAA Application Selection Tab .....	36
Figure 4: Object Administration Selection Tab .....	37
Figure 5: System Configuration and Identity Management Tab .....	38
Figure 6: Change Password .....	38
Figure 7: Change Password .....	39
Figure 8: Copyright Information .....	39
Figure 9: Preference screen. ....	42
Figure 10: Less Search Criteria .....	45
Figure 11: More Search Criteria .....	46
Figure 12: Case Context Page .....	57
Figure 13: Filtering Network Analysis .....	68
Figure 14: Network Graph .....	71
Figure 15: Link Case .....	76
Figure 16: Link Event .....	79
Figure 17: Audit Filter Criteria .....	82
Figure 18: Risk List Memberships .....	89
Figure 19: Online Accounts .....	93
Figure 20: Customer's Anticipatory Profile .....	94
Figure 21: Loss and Recovery Data Entry .....	107
Figure 22: Adding a New Entity Manually .....	116
Figure 23: Adding a New Entity from Existing Case Entities .....	117
Figure 24: Designating as Involved Party .....	119
Figure 25: Taking Action .....	125
Figure 26: Email a Case .....	128
Figure 27: Add Comments .....	132
Figure 28: Add Attachment .....	132
Figure 29: Create New Case .....	136



---

# List of Tables

---

Table 1. Revision History .....	v
Table 1. Conventions Used in this Guide .....	xviii
Table 2. Enterprise Case Management User Roles and Privileges .....	19
Table 3. Access Controls for Enterprise Case Management .....	21
Table 4. Case Views and Filter .....	44
Table 5. Less Search Criteria Search .....	46
Table 6. More Search Criteria .....	47
Table 7. Case List Components .....	49
Table 8. Case Summary Information .....	57
Table 9. Narrative History .....	60
Table 10. Comments Columns .....	63
Table 11. Attachment Columns .....	64
Table 12. Source Correlation .....	65
Table 13. Linked Events .....	66
Table 14. Business Data Correlation .....	66
Table 15. Filtering Network Analysis .....	69
Table 16. Network Graph .....	72
Table 17. Link Case .....	76
Table 18. Link Event .....	79
Table 19. Audit Filter Criteria .....	82
Table 20. Audit Columns .....	82
Table 21. Business Tabs Display .....	84
Table 22. Risk List Membership .....	89
Table 23. Online Accounts .....	93
Table 24. Customer Anticipatory Profile .....	95
Table 25. Current Loss and Recovery Information Fields .....	104
Table 26. Loss and Recovery Record .....	107
Table 27. Loss and Recovery Data Entry Fields .....	108
Table 28. Rule Based Assessment .....	110
Table 29. Algorithm Based Assessment .....	111
Table 30. Designating as Involved Party .....	119
Table 31. Email a Case .....	128
Table 32. New Case Creation Fields .....	136
Table 33. Search Conditions for Adding New Business Entities using Search Existing Entities .....	147
Table 34. Fields in the Transaction Search section .....	148
Table 35. Fields in the Involved Party Search section .....	148
Table 36. Account .....	149
Table 37. Customer .....	150
Table 38. Household .....	152

---

**List of Tables**

---

Table 39. External Entity.....	152
Table 40. Correspondent Bank.....	152
Table 41. Employee.....	153
Table 42. Transaction.....	154
Table 43. Involved Party.....	156
Table 44. Link Types.....	158
Table 45. Valid Entity-Link Types.....	159
Table 46. Known Relationship Identification.....	159



---

# About this Guide

The Enterprise Case Management User Guide guide explains the concepts behind the Oracle Financial Services Enterprise Case Management (OFSECM) and provides step-by-step instructions for navigating the ECM web pages, searching cases, investigating cases, acting on cases, creating cases and other information pertaining to cases.

The following topics are covered in this chapter:

- [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 *Enterprise Case Management User Guide*, is designed for the following users:

- **Case Analyst:** This user works on the cases within the application frequently. This user's specific role (that is, Case Analyst) determines what this user can see and do within the application.
- **Case Supervisor:** This user works on cases within the application on a daily basis and is typically a higher level Analyst.
- **Case Viewer:** This user has specific viewing rights to the cases. This user's specific role (that is, Case Viewer) determines what this user can see within the application.

For complete details on the user roles and privileges, see the [User Roles and Privileges](#) section.

## How this Guide is Organized

The *Enterprise Case Management User Guide*, includes the following chapters:

- [Chapter 1, About Enterprise Case Management](#), provides a brief overview of the Oracle Financial Services Enterprise Case Management and its components.
- [Chapter 2, Getting Started](#), Includes instructions on how to configure your system, access ECM, and exit the application.
- [Chapter 3, Searching Cases](#), explains about the various case search criteria you can use to filter cases that you want to view and investigate on the Case List section.
- [Chapter 4, Investigating Cases](#), describes the investigation of case-related information to determine what action to take in each situation for the resolution of the case.
- [Chapter 5, Acting on Cases](#), explains about various actions can be taken on the case for the resolution.
- [Chapter 6, Creating Cases](#), covers the concept and step-by-step instructions to create cases manually.
- [Chapter 8, Setting User Preferences](#), explains about setting up Enterprise Case Management preferences.

- [Appendix A, Common Features](#), describes common elements of the Enterprise Case Management interface.
- [Appendix B, Business Entity Details](#), provides field level description for adding entities manually.

## **Where to Find More Information**

For more information on the ECM, see the following documents in the [Oracle Help Center \(OHC\)](#):

- *Release Notes or ReadMe*
- *Administration and Configuration Guide*
- *Installation Guide*
- *Financial Services Data Model (FSDM) Guide*

Additionally, for more information on the Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) documentation, see the [Oracle Help Center \(OHC\)](#):

- *Oracle Financial Services Analytical Applications Infrastructure User Guide*
- *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration*

## **Conventions Used in this Guide**

This table lists the conventions used in this guide.

**Table 1. Conventions Used in this Guide**

<b>Convention</b>	<b>Description</b>
<i>Italics</i>	<ul style="list-style-type: none"><li>● Names of books, chapters, and sections as references</li><li>● Emphasis</li></ul>
<b>Bold</b>	<ul style="list-style-type: none"><li>● Object of an action (menu names, field names, options, button names) in a step-by-step procedure</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>● Process names</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>

The purpose of Enterprise Case Management (ECM) is to help your firm to investigate and resolve cases. This chapter covers the following topics:

- [Introduction](#)
- [Enterprise Case Management UI](#)
- [User Roles and Privileges](#)

## Introduction

Enterprise Case Management (ECM) supports the investigation and resolution of cases. Once created, a case is taken through various statuses as part of investigation and reaches closure through resolution actions.

Enterprise Case Management supports modifying the case details and the associated business data. Investigation workflows can vary based upon the type of case being investigated. Case investigation and resolution are supported by various actions, which may be specific to the case type. Access to types of cases as well as certain actions can be controlled based on a user's role and access permissions. Cases can be manually created within ECM.

Enterprise Case Management supports product default case types that drive the Investigation workflow. Case types are configurable values and can be defined by your firm to meet your business needs. For more information on configuring case type, see the *Managing Case Designer* chapter in *Administration and Configuration Guide*.

## Key Features

The following are the key features of the ECM application:

- Create cases manually for investigating business entities involved in potentially suspicious event
- Investigate cases that are promoted from various other systems
- Perform in depth analysis of each case by using Case Summary details
  - Operational tabs: assist to capture various information to investigate a case for resolution
  - Business tabs: help in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information) to aid in the analysis of a case
- View and analyze correlation details - source correlation, linked events, and business data correlation
- Act on the case based on the analysis
- Filter cases based on the Case IDs, Views, and search criteria
- Record the complete audit history of the case
- Export case information in PDF, Excel, and CSV formats

## ***Enterprise Case Management UI***

The Enterprise Case Management User Interface (UI) is used to understand case details for the investigation and based on the user privileges you can perform various tasks.

- [Case Creation](#)
- [Case Search](#)
- [Case Investigation](#)
- [Action on Case](#)
- [Case Audit History](#)

### **Case Creation**

Through correlation, the events are promoted to case based on certain case promotion rules. The cases are listed on the ECM UI based on the case type and user privilege.

Cases are also created manually by privileged users by entering new case information. Cases are created based on the case type. The case types are displayed based on the logged in user. See the [Chapter 6, Creating Cases](#), for more information.

### **Case Search**

The Case Search enables to filter cases to view and investigate on the Case List section. The Views search option represents pre-populated search queries and Case ID search criteria is mutually exclusive with all other filter criteria. Various other search criteria assist in filtering required cases for the investigation. See the [Chapter 3, Searching Cases](#), for more information.

### **Case Investigation**

The comprehensive case investigation is carried out for the selected case resolution using the Case Summary page. This page provides details of the selected case to have complete insight of the case for the analysis.

The Case Summary page has the Case Context section, which provides a snapshot of the selected case. It also has Case tabs, which provides the comprehensive details of the selected case in form of Operational tabs (mandatory tabs) and Business tabs (optional tabs, available based on the case type). See the [Chapter 4, Investigating Cases](#), for more information.

### **Action on Case**

After investigating the case, you can take appropriate action on the selected case or cases for the resolution. You can assign a case to other user and add evidence to the case. Using Take Action button, you can set due date, email a case, and take resolution action on the case. See the [Chapter 5, Acting on Cases](#), for more information.

## Case Audit History

The Audit History tab displays complete historic details of the case. This allows to view and analyze actions previously performed on the current case by the system or user and the date and time of the case action, status. This helps to save time to analyze a case details and determine the next course of action on the case resolution. See the [Using Audit History Tab](#), for more information.

## User Roles and Privileges

Enterprise Case Management system offers three different types of user roles for investigating the cases. These are Out of box roles used in the default workflows.

[Table 2](#) refers the list of functions that each user role can perform.

**Table 2. Enterprise Case Management User Roles and Privileges**

Privileges	Case Viewer	Case Analyst-II	Case Supervisor
<b>Access to Cases</b>			
Search for Cases	X	X	X
View Case List	X	X	X
View Existing Case	X	X	X
Create New Case		X	X
Edit Case Context		X	X
View Event Details	X	X	X
Edit Case Details		X	X
View Transactions	X	X	X
View Relationships	X	X	X
Link Cases		X	X
Link Events		X	X
Unlink Cases		X	X
Unlink Events		X	X
View Related Events	X	X	X
Edit KYC Risk Score		X	X
View KYC Risk Score tab	X	X	X
Add New Customers		X	X
Edit Customers		X	X
Remove Customers		X	X
Add New Accounts		X	X
Edit Accounts		X	X
Remove Accounts		X	X
Add New Employee		X	X
Edit Employee		X	X
Remove Employee		X	X
Add New Household		X	X
Edit Household		X	X

**Table 2. Enterprise Case Management User Roles and Privileges (Continued)**

<b>Privileges</b>	<b>Case Viewer</b>	<b>Case Analyst-II</b>	<b>Case Supervisor</b>
Remove Household		X	X
Add New Correspondent Bank		X	X
Edit Correspondent Bank		X	X
Remove Correspondent Bank		X	X
Add New External Entity		X	X
Edit External Entity		X	X
Remove External Entity		X	X
View Evidence (Attachment and comment list)	X	X	X
Add Document		X	X
Remove Document		X	X
View Attachments	X	X	X
Remove Attachments		X	X
Add Investigation Comments		X	X
Add Involved Party		X	X
View involved Party	X	X	X
View Narrative	X	X	X
Edit Narrative		X	X
View Financials	X	X	X
Add New Loss & Recovery Cost Center		X	X
Add New Loss Recovery Data		X	X
Edit Loss & Recovery Cost Center		X	X
Remove Loss & Recovery Cost Center		X	X
Edit Loss Recovery Data		X	X
Remove Loss Recovery Data		X	X
View GL History		X	X
View Loss Recovery History		X	X
View Audit	X	X	X
View Involved Party Tab		X	X
Search and View Involved Party		X	X
View Involved Party History		X	X
View Customer Screening Tab	X	X	X
Take action on Customer Screening		X	X
Print Case to PDF		X	X
Own a Case		X	X
Assign Case		X	X
Assign Case to all organizations (Ability to Assign to owners in all organizations (additional access control restrictions apply)		X	X
View Correlation*	X	X	X

## Security within Enterprise Case Management

Analytical Applications Infrastructure (OFSAAI) uses six layers of security to control data access as defined in the [Table 3](#). You can view a case if your combination of access controls authorizes you to view the event and business information. Contact your system administrator for details about your access control permissions.

**Table 3. Access Controls for Enterprise Case Management**

Security Layer		Description
Type	Controls	
Roles	Features and Functions	This security layer identifies the features and functions you can perform within the Enterprise Case Management.
Organizations	Case Information	This security layer enables your firm to restrict access using your firm's organizational hierarchy. To ensure accurate reporting, all users must be assigned one <i>primary organization</i> ; however, a user can be assigned multiple viewable associations. To see a case owned by an organization or by the users within an organization, you must have viewable rights to that organization.
Business Domains	Case and Business Information	This security layer enables your firm to restrict access along operational business lines and practices. You can only see cases that are assigned to at least one of the same business domains.
Jurisdictions	Case Information	This security layer enables your firm to restrict access using geographic locations. You can only see cases that are assigned to the same jurisdictions.
Case Type	Case Information	This security layer enables your firm to restrict access by specific types of Investigations (that is, a combination of Case Type). To see a case, you must have rights to view the specific Case Type assigned to the case.





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

The following topics are covered in this chapter:

- [Accessing OFSAA Applications](#)
- [Managing OFSAA Application Page](#)
- [Troubleshooting Your Display](#)

The following applications are required to run Oracle Financial Services Case Management Application:

- Microsoft Internet Explorer (IE) version 9 or later.  
Earlier versions and other browsers are not supported and may produce errors, inaccurate data and display failures. For users of IE version 8.0, the browser should be run in compatibility mode.
- Adobe Acrobat Reader version 9.0, or later.  
You can download a free copy of the latest version of the Reader at [www.adobe.com](http://www.adobe.com).
- Java should be installed. JDK 1.6 (version 6) or above.
- The screen resolution of the system should be set to 1280 × 1024 or higher for proper display of the user interface (UI).

For more information, see the [OFSECM Installation Guide](#).

## Accessing OFSAA Applications

Access to the OFSAA application depends on the Internet or Intranet environment. The OFSAA is accessed through Microsoft Internet Explorer (IE). 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 are prompted to change your password on your first login. You can change your password whenever required by logging in. For more information, see the [Change Password](#) section.

**Note:** You can also access to this application based on the Single sign-on (SSO) configured by your firm.

To access OFSAA 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/ofsaapp/login.jsp

The OFSAA Login page is displayed.

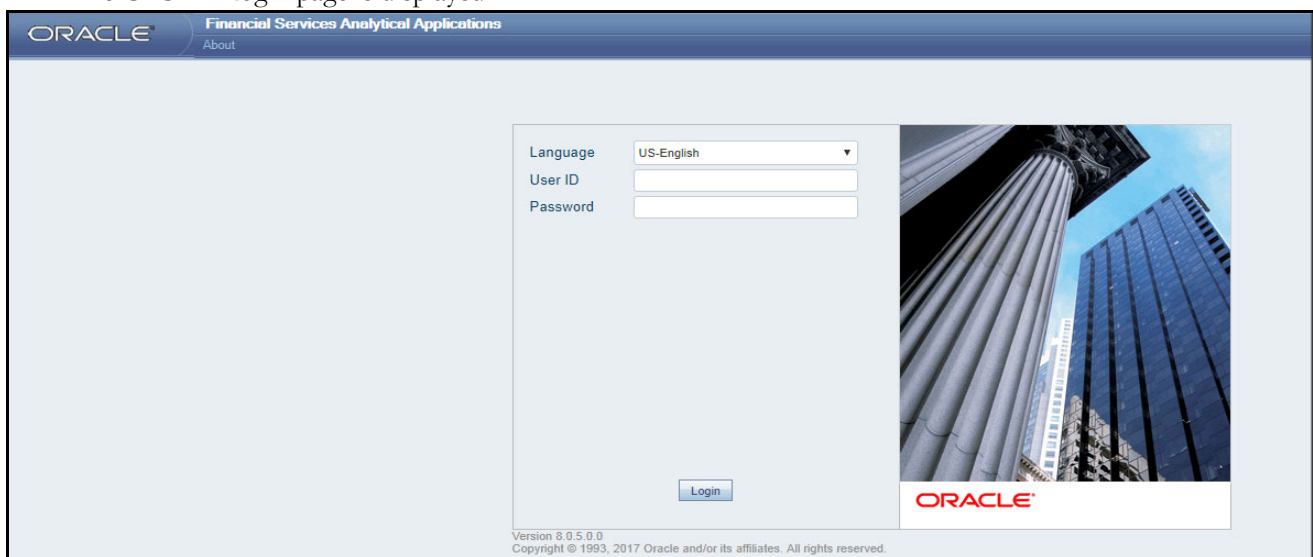


Figure 1. OFSAA Login Page

2. Select the Language from the Language drop-down list.
3. Enter your User ID and Password.
4. Click **Login**. The OFSAA Application page is displayed.

The OFSAA Application 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, refer to [Chapter 8, Setting User Preferences](#). You can use the OFSAA Application page to access the Oracle Financial Services applications in your environment.

## Selecting Applications

This section explains how to access required applications.

The OFSAA Application page has multiple tabs and each tab has specific links to OFSAA Infrastructure and Application modules. The modules which you may access depend on your user role and the OFSAA Application you select. The relevant tabs and links are displayed

This page is divided into two panes:

- **Left Pane:** Displays any menus and links to modules in a tree format based on the application selected in the Select Application drop-down list.
- **Right Pane:** Displays any 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 OFSAA Applications page.
2. Select the required Application from Select Application drop-down list.
3. Select **Financial Services Enterprise Case Management**. The Enterprise Case Management page is displayed.



Figure 2. Enterprise Case Management Page

## 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](#)
- [Object Administration Tab](#)
- [System Configuration and Identity Management Tab](#)
- [Change 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).

To access the OFSAA Applications, choose the required Application from Select Application drop-down list., select **Financial Services Enterprise Case Management**. Based on your selection, the page refreshes the menus and links across the panes.



Figure 3. OFSAA Application Selection Tab

### Object Administration Tab

Object Administration is an integral part of the Infrastructure system and allows system administrators to define the security framework with the capacity to restrict access to the data and metadata in the warehouse, based on a flexible, fine-grained access control mechanism. These activities are mainly done at the initial stage, and then as needed. This tab includes information related to the workflow of the Infrastructure Administration process with related procedures to assist, configure, and manage administrative tasks.

The Object Administration tab lists the various OFSAA Information Domains created in the OFSAA setup based on the logged in user and mapped OFSAA Application User Groups. For more information about managing Information Domains, see the [Administration Guide](#).

To define or maintain access for an Information Domain, choose the required Information Domain from the Select Information Domain drop-down list. Based on your selection, the page refreshes the menus and links across the panes.

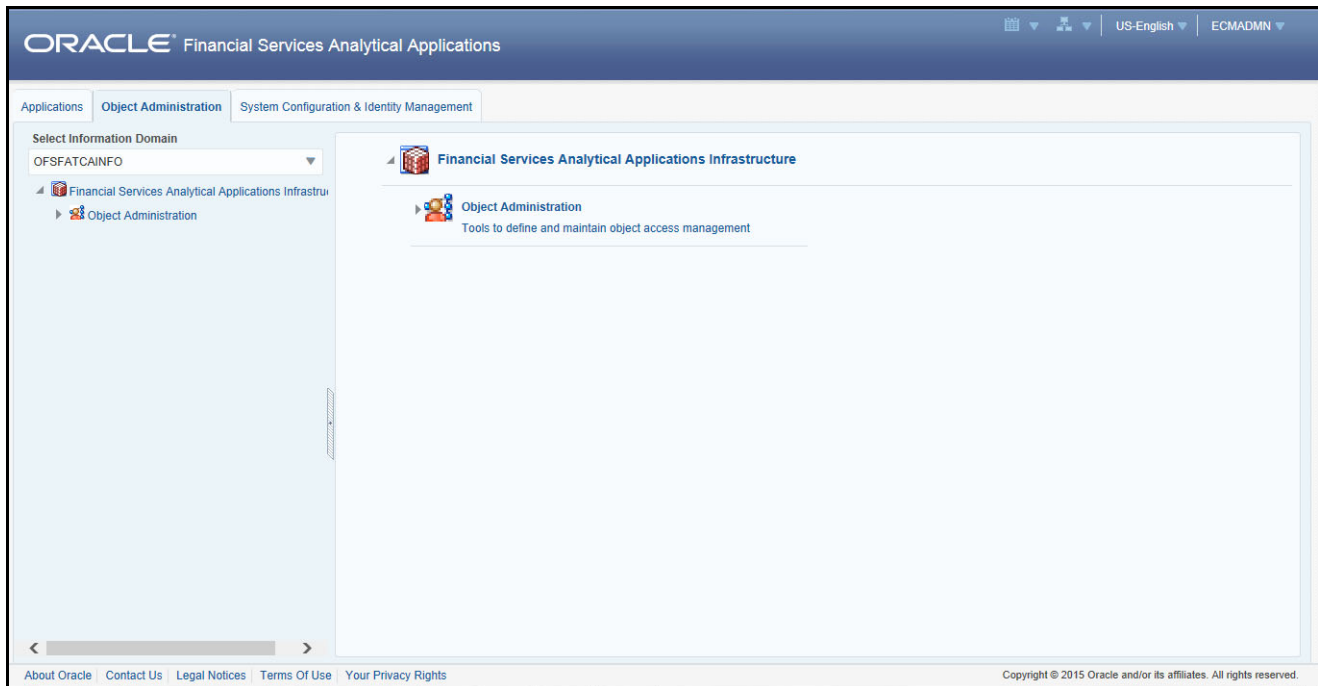


Figure 4. Object Administration Selection Tab

## System Configuration and Identity Management Tab

System Configuration and Identity Management is an integral part of the Infrastructure administration process. This tab helps System Administrators to provide security and operational framework required for the Infrastructure.

System Administrators can configure Server details, Database details, OLAP details, and Information Domains, along with other configuration processes such as segment and metadata mapping, mapping segments to securities, and rules setup. The System Configuration is a one-time activity, which helps the System Administrator make the Infrastructure system operational.

The System Configuration and Identity Management tab lists the OFSAA Infrastructure System Configuration and Identity Management modules. These modules work across Applications and Information Domains, so there is no Application and Information Domain drop-down list in this tab.

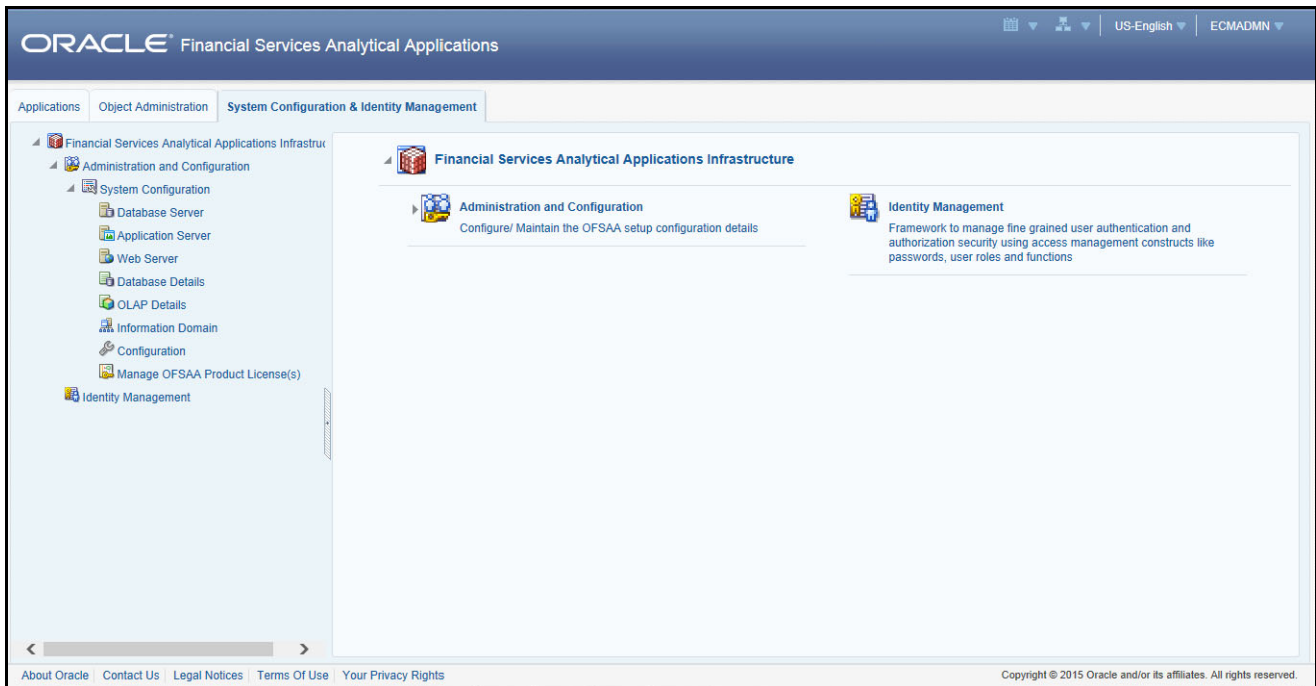


Figure 5. System Configuration and Identity Management Tab

Selecting Identity Management allows System Administrators to manage Users, User Groups, and the functions each User or User Group may access. For more information about managing Users and User Groups, see the [Administration Guide](#).

## Change Password

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

To change the password, follow these steps:

1. Navigate to OFSAA Applications page.

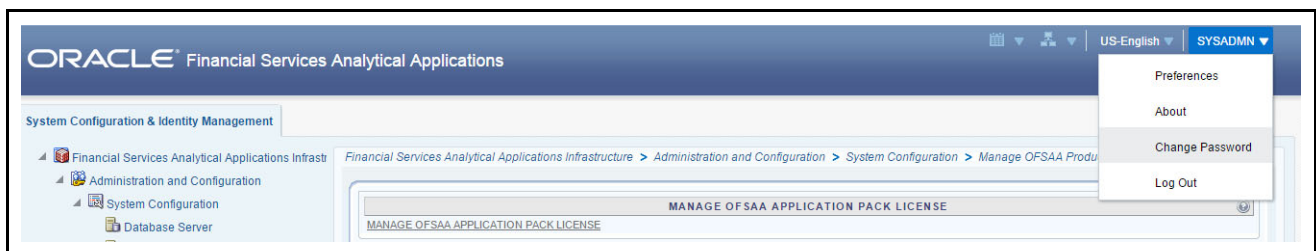


Figure 6. Change Password

2. Click the User drop-down list and select **Change Password**. The Password Change page is displayed.



Figure 7. Change Password

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, click the **About** hyperlink in the OFSAA Login page.

The Copyright text displays in a new window.

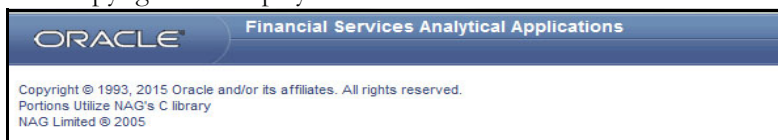


Figure 8. Copyright Information

## ***Troubleshooting Your Display***

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

**Note:** The following procedures apply to all versions of IE listed in section . Separate procedures are listed for each version where differences exist in the locations of settings and options.

This section covers following topics:

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

### **Enabling JavaScript**

JavaScript must be enabled. To enable JavaScript, follow these steps:

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



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

File downloads must be available. To enable file downloads, follow these steps:

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

## Setting Printing Options

Printing background colors and images must be enabled. To enable this option, follow these steps:

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

---

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

---

## Enabling Pop-Blocker

Some users may experience difficulty running the Oracle Financial Services Enterprise Case Management 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. From the Tools menu, click **Internet Options**.  
The Internet Options dialog box displays.
2. Click the **Privacy** tab.
3. In the Pop-up Blocker setting, select the **Turn on Pop-up Blocker** option.

The **Settings** enable.

4. Click **Settings** to open the Pop-up Blocker Settings dialog box.
5. In the Pop-up Blocker Settings dialog box, enter the URL of the application in the text area.
6. Click **Add**.

The URL appears in the Allowed site list.

7. Click **Close**, then click **Apply** to save the settings.
8. 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 screen is displayed.

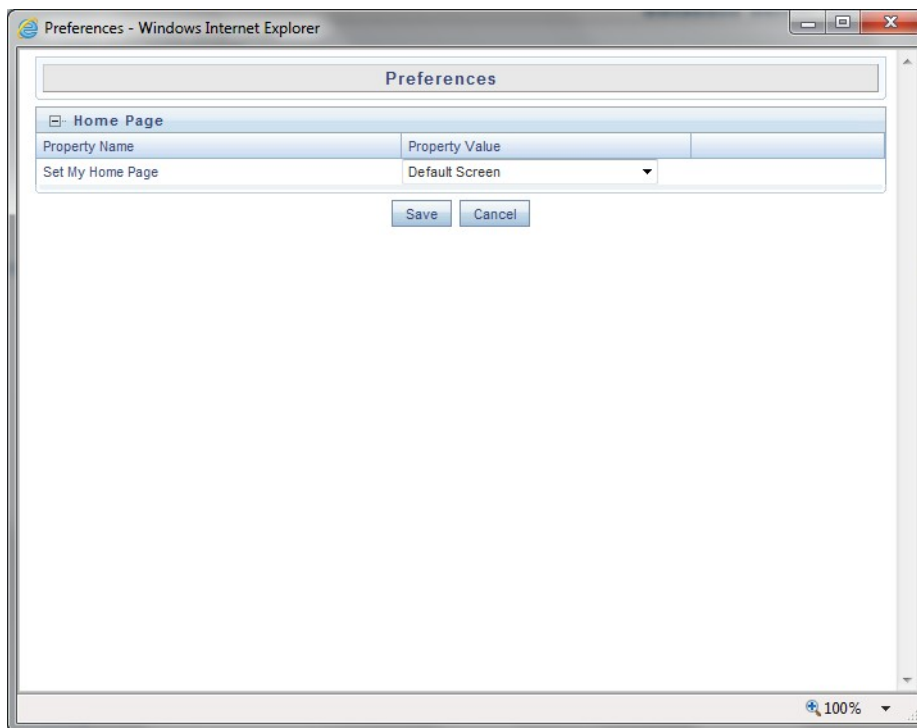


Figure 9. Preference screen.

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.

This chapter describes various search mechanisms and the process to search cases.

The following topics are covered in this chapter:

- [About Case Search and Case List](#)
- [Accessing Case Search and List Page](#)
- [Searching Cases](#)
- [Managing Case List](#)

## **About Case Search and Case List**

The Case Search enables you to filter cases that you want to view and analyze on the Case List section. You can filter the Case List based on various case search criteria.

- Enterprise Case Management filters cases based upon the following conditions:
  - The Case IDs, Views and search criteria.
  - Your access control permissions.
- The Views search option represents pre-populated search queries.
- The Case ID search criteria is mutually exclusive with all other filter criteria.
- The Less Search Criteria is a simple search criteria based on the limited set of search fields.
- The More Search Criteria is an advanced search criteria with additional set of fields along with the Less Search Criteria.
- The Case List displays the list of cases as per the search criteria specified in the Case Search section.
- Various actions can be taken on the filtered cases.
- Export cases in PDF, Excel, or CSV format.

## **Accessing Case Search and List Page**

This section explains how to access Case Search and List page.

To access Case Search and List page, follow these steps:

1. Navigate to the Enterprise Case Investigation page, see the [Chapter 2, Getting Started](#), for more information on how to navigate to the Enterprise Case Investigation page.
2. Click **Search Cases**. The Case Search and List page is displayed.

## Searching Cases

This section describes different ways of case search and steps to filter cases based on the search criteria.

---

**Note:** You can use only one search criteria at a time.

---

You can filter cases using the following ways:

- [Using Views](#)
- [Using Case ID](#)
- [Using Search Criteria](#)

### Using Views

The following are the salient features of Views search:

- Views represents pre-populated search queries.
- Views allows a single click option for returning a filtered case list based upon the view's preset search criteria.
- Search fields display based on the type of Views you select.

To search cases using the Views search, follow these steps:

1. Navigate to the Case Search and List page.
2. Select a view type from the Views drop-down list. The relevant cases are displayed in the Case List section. For more information on the Views search, see the [Table 4](#).

**Table 4. Case Views and Filter**

View Name	View Filter
My New Cases	Displays cases for which the owner is the logged in user or the pool to which user belongs and status is <i>New</i> .
Cases Assigned to Me	Displays cases for which the assignee is the logged in user or the pool to which user belongs and status is any, except <i>Closed</i> .
My Open Cases	Displays cases for which the owner is the logged in user or the pool to which user belongs and status is any, except <i>Closed</i> .
My Overdue Cases	Displays cases for which the owner is the logged in user or the pool to which user belongs and the due date is equal to or less than current date.

---

**Note:** Views search cannot be modified.

---

### Using Case ID

The following are the salient features of Case IDs search:

- Enables you to search cases by simply entering the case IDs.
- It is mutually exclusive with all other search criteria.

- If you attempt to search by a combination of Case ID and other search criteria, the search results displays only based on the Case ID and ignores the other criteria.
- It exactly matches the values you entered. You can search for one or more case IDs.

To search cases using Case IDs, follow these steps:

1. Navigate to the Case Search and List page.
2. Enter one or more unique case identification number in Case ID field.  
**Note:** To search for multiple IDs, separate the case IDs with commas.
3. Click **Search** or press **Enter** key on the keyboard. The Case List page displays information about the cases with the case IDs that exactly matches the values you entered.

---

**Note:** Search by Case ID ignores all other search criteria.

---

## Using Search Criteria

The following are the salient features of other Search Criteria:

- The Case List is dynamically populated based on the different set of input criteria.
- Less Search Criteria is a simple search criteria based on the limited set of search fields.
- More Search Criteria is an advanced search criteria based on the same search fields as in Less Search Criteria along with the expanded set of additional fields.
- Blank value is equivalent to select all.
- Some search field drop-down lists available in the Less Search Criteria sections populate based on your security attributes access control.
- Only the data that matches your specified criteria and those cases, which you are authorized to view are displayed as search result.

To search cases using Less or More Search Criteria, follow these steps:

1. Navigate to the Case Search and List page. By default, the Less Search Criteria fields are displayed.

The screenshot shows the 'Search Cases' interface. At the top, there is a breadcrumb 'Home > Search Cases' and a 'Views' dropdown set to 'Select a View'. Below this, there are two tabs: 'Case Search' (selected) and 'More Search Criteria'. A 'Case ID' field contains the placeholder text 'Enter Case ID'. The main search area contains several fields: 'Created From' with a date picker showing 'mm/dd/yyyy', 'To' with a date picker showing 'mm/dd/yyyy', 'Class' with a dropdown menu, 'Type' with a dropdown menu, 'Age' with a dropdown menu and a numeric input field, and 'Status' with a dropdown menu. At the bottom right, there are 'Search' and 'Reset' buttons.

**Figure 10. Less Search Criteria**

2. Enter the following information in the respective fields.

**Table 5. Less Search Criteria Search**

Fields	Description
Created From	Enter the date using the calendar. This filters the Case List with the cases whose creation date is greater than or equal to the date entered.
Created To	Enter the date using the calendar. This filters the Case List with the cases whose creation date is less than or equal to the date entered.
Age	Select the operator from the drop-down list (<=, =, and =>) and enter the value for the case age. This filters the Case List by the age of the case. The case age is the number of calendar days between case creation and current date. <b>Note:</b> Cases stop ageing when closed.
Class	Select the case class from the drop-down list. This filters the Case List by the class associated with the case. For example, AML, KYC, and FATCA.
Type	Select the case type from the drop-down list, for example, <i>AML Surveillance</i> and <i>Account and Product Fraud</i> . This filters the Case List by the type of cases that matches the search criteria.
Status	Select the status from the drop-down list, for example, Pending Review, Investigation, and Closed. This filters the Case List by the current status of case, relative to its analysis and closure.

3. Click **Search**. The Case List section displays the list of cases that meet the search criteria.

Or, to search cases using advanced search criteria, click **More Search Criteria** link. The additional search fields are displayed.

**Figure 11. More Search Criteria**

4. Enter the following information in the additional fields.

**Table 6. More Search Criteria**

Fields	Description
Title	Enter the title of the case. This filters the Case List by the title of the case that matches the search criteria. <b>Note:</b> This supports wildcard search. The percent sign (%) is used for this.
Jurisdiction	Select the jurisdiction from the drop-down list, for example, EMEA, JPAC, and CANADA. This filters the Case List by the business jurisdiction associated with the case. <b>Note:</b> The drop-down list contains only jurisdictions with which you are authorized to view.
Business Domain	Select the business domain from the drop-down list, for example, EMP, GEN, and INST. This filters the Case List by the business domain associated with a case. <b>Note:</b> The drop-down list contains only business domains with which you are authorized to view.
Entity ID	Enter the entity ID. This filters the Case List by the entity associated with a case. <b>Note:</b> When Entity ID is specified, You must select a value in Entity type.
Entity Type	Select the entity type from the drop-down list. This filters the Case List by the entity type associated with a case. <b>Note:</b> When Entity type is specified, you must enter a value in Entity ID or Entity Name.
Entity Name	Enter the entity name. This filters the Case List by the entity name associated with a case. This supports wildcard search. The percent sign (%) is used for this. <b>Note:</b> When Entity Name is specified, you must select a value in Entity type.
Case Action	Select the case action type from the drop-down list. This filters the Case List by any action performed on the case during investigation.
Closing Action	Select the closing action type from the drop-down list. This filters the Case List by the action performed in order to close the case.
Priority	Select the case action type from the drop-down list. This filters the Case List by the priority of the current case that matches the search criteria. The following are the options available: <ul style="list-style-type: none"> <li>● High</li> <li>● Medium</li> <li>● Low</li> </ul>
Action Date From	Enter the date using the calendar. This filters the Case List up to the date you enter by which the action was taken on the case, which is greater than or equal to the date you enter.
Action Date To	Enter the date using the calendar. This filters the Case List up to the date you enter by which the action was taken on the case, which is less than or equal to the date you enter.
Owner Organization	Select the owner associated with the organization from the drop-down list. This filters the Case List by the organization associated with the owner of a case. <b>Note:</b> The drop-down list contains only users or user pool whose jurisdictions you are authorized to view.
Due Date From	Enter the date using the calendar. This filters the Case List by the past date you enter by which an action should be taken on the case.
Due Date To	Enter the date using the calendar. This filters the Case List up to the date you enter by which an action should be taken on the case.
Owner	Select the owner of the organization from the drop-down list. This filters the Case List by a user or user pool who owns the case. <b>Note:</b> The drop-down list contains only users or user pool whose jurisdictions you are authorized to view.
Closed Date From	Enter the date using calendar. This filters the Case List by the past date you enter on which the case was closed.
Closed Date To	Enter the date using calendar. This filters the Case List up to the date you enter by which the case was closed.

<b>Fields</b>	<b>Description</b>
Assignee	Select the assignee from the drop-down list. This filters the Case List by a user or user pool to whom a case is assigned. <b>Note:</b> The drop-down list contains only users or user pool whose jurisdictions you are authorized to view.
Standard Comments	Select the standard comments from the drop-down list. This filters the Case List by the standard comments associated with the case.
Comments	Enter comments. This filters the Case List by comments associated with the case.

---

**Note:** When you filter using multiple search fields, the results are filtered based upon matching all search criteria specified.

---

5. Click **Search**. The Case List section displays the list of cases that meet the search criteria.

The Case List section enables you to view details about the cases and take various actions depending on the user privileges.

## ***Managing Case List***

The Case List section displays the list of cases and summarized information of cases that you can view, analyze, and take various actions as per the search criteria specified in the Case Search section.

This section covers the following topics:

- [About Case List](#)
- [Viewing Case List](#)
- [Acting on Cases](#)
- [Assigning a Case](#)
- [Adding Evidence to Cases](#)

### **About Case List**

The following are the salient features of Case List:

- This is the case search result area.
- Displays a list of cases based on your search criteria.
- Navigate to Case Summary page using Case ID link.
- Based on your role, you can take various actions on one or more cases.
- Assign case to user or user pool
- Add evidence to one or more cases.
- Case list is sorted in ascending and descending order in the column header.
- Columns which depict the case information are hidden or shown using field chooser.
- Cases are exported in PDF, Excel, or CSV formats.



## Viewing Case List

This section displays the list of cases based on your search criteria for the analysis and to take appropriate actions on cases.

To view Case List, follow these steps:

1. Enter the case ID, search criteria, or select views from Views drop-down list. For more information, see the [Searching Cases](#) section.
2. Click **Search**. The Case List section is displayed.

The following table provides the details of cases based on the search criteria.

**Table 7. Case List Components**

Column	Description
Case ID	Displays the unique case identification number. This is a link to navigate to the Case Summary page for further analysis.
Title	Displays the title for the case.
Type	Displays the type of the case. For example, <i>AML Surveillance</i> or <i>Account and Product Fraud</i> .
Priority	Displays the priority given to the case under investigation.
Status	Displays the current state of the case relative to its analysis and closure. <b>Note:</b> New, Reopened, and Reassigned statuses display in bold text.
Assigned To	Displays the user or user pool within the organization to whom a case is assigned.
Owner	Displays the name of an individual or user pool who own the case.
Created	Displays the date when the case is created.
Due Date	Displays the date by which an action should be taken on the case. Due Dates that are Nearly Due display in. Due Dates that are due or overdue display in bold. <b>Note:</b> The definition of <i>nearly</i> due is a value that is configurable by your firm.
Jurisdiction	Displays the jurisdiction to which the case belongs to.
Business Domain	Displays the business domain to which the case belongs to.

3. Click required **Case ID** link. The Case Summary page is displayed to perform in depth analyses of individual case.

---

**Note:** If the selected case is locked, that is, another user has currently accessed the same case, the following message is displayed: *The selected case is locked by another user. Click **OK** to view the case details page in view only mode.*

---

For more information, see the [Chapter 4, Investigating Cases](#).

## Acting on Cases

This section explains how to take various actions on cases which are listed in the Case List section.

---

**Note:** Actions are visible as per your access permissions.

---

For more information, see the [Chapter 5, Acting on Cases](#).

### **Assigning a Case**

This section explains how to assign a case to a user or user groups.

For more information, see the [Assigning Case](#).

### **Adding Evidence to Cases**

This section explains how to add attachments and comments to the case.

For more information, see the [Adding Evidence](#).

This chapter explains how to investigate case-related information to determine what action to take in each situation for the resolution of the case.

The following topics are covered in this chapter:

- [About Investigating Cases](#)
- [Accessing Case Summary Page](#)
- [Using Case Context](#)
- [Using Operational Data Tabs](#)
- [Using Business Data Tabs](#)

## ***About Investigating Cases***

The comprehensive case investigation is carried out using the Case Summary page for the selected case resolution. This page provides complete details of the selected case and you can take appropriate action on the case. The limited Case details are also available in the List page for your analysis.

### **About Case Summary**

The Case Summary page provides information on case in the following way:

- **Case Context:** the Case Context section provides a snapshot of the selected case. You can also modify few information based on the your analysis.
- **Case Tabs:** the comprehensive details of the selected case is available in the tabs. The following are two types tabs are available for the selected case:
  - **Case Operational Data tabs:** these tabs are available for all types of cases. For example, Evidence, Audit History, and Narrative tabs. The data in each tab displays based on the access privilege provided to the user. Users view, analyze, update information pertaining to cases, and provide inputs using these tabs. These information enables to take appropriate action on the cases. For more information, see the [Using Operational Data Tabs](#).
  - **Case Business Data tabs:** these tabs are available based on the case type selection. Business tabs help the users in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information) to aid in the analysis of a case. The data in each tab displays based on the access privilege provided to the user. For more information, see the [Using Business Data Tabs](#)
- **Action on Case:** action can be taken on the selected case. For example, add evidence, assign case, and email case. Action buttons are available based on the case type and access privilege.

**Note:** When you open a case and navigate to the Case Summary page, the selected case is locked by you and other users are allowed *view only* access to the case. If other users attempt to access the same case, they receive a message informing that the case is locked by another user and granted only view rights (they can take no action on the case).

---

## Accessing Case Summary Page

This section explains how to access the Case Summary page.

To access the Case Summary page, follow these steps:

1. Navigate to the Enterprise Case Investigation page, see the [Chapter 2, Getting Started](#), for more information on how to navigate to Enterprise Case Investigation page.
2. Select **Search Case**. The Search and List page is displayed.
3. Search cases based on your requirement. For more information, see the [Chapter 3, Searching Cases](#), the Case List section is updated based on your search criteria.
4. Click required **Case ID** link. The Case Summary page is displayed.

**Note:** If the selected case is locked, that is, another user has currently accessed the same case, the following message is displayed: *The selected case is locked by another user. Click **OK** to view the case details page in view only mode.*

## Using Case Context

This section describes how to view complete case details and take appropriate action on the case.

The following topics are covered in this section:


- [About Case Context](#)
- [Viewing Case Context](#)
- [Editing Case Context Details](#)

### About Case Context

The Case Context section provides a brief description of the case and the context for determining what actions has to be taken to dispose the case. The Case Context displays on the top of every tab. Once you have entered the workflow for a single case (by selection of the case from the Case List), the Case Context remains visible to you as you navigate the various tabs relevant to the particular case. You can also click the  or  to contract and expand the Case Context. By default, the Case Context displays in the contracted mode. Case ID, Title, Status, and Priority details are visible on the header in a contracted mode with an expand sign visible on it.

### Viewing Case Context

To view the Case Context, follow these steps:

1. Navigate to the Case Summary page.
2. Go to Case Context section. The basic case details are displayed with Case ID, Title, Status, and Priority.
3. Click  **Case ID**. The Case Context section is expanded to view and modify the selected Case ID.

Case ID: CA125 Title: KYC Score Status: Investigation Priority: Low

\* Title: KYC Score [Edit]

Case ID: CA125 Class: KYC Type: KYC\_CORP

Status: Investigation Jurisdiction: Americas Business Domain: EMP

\* Priority: Low Created: 11/09/2017 Owner Organization: TestOrgA

Due: 12/09/2017 Owner: SUPERVISOR Closed: mm/dd/yyyy

Assignee: SUPERVISOR \* Risk Score: 12

\* Description: KYC Score

[Save] [Cancel]

**Figure 12. Case Context Page**

**Note:** The Case Context fields are configurable, for more information, see the Configuring Case Context fields section in the *Administration and Configuration Guide*.

The following table provides a list of the fields that display in the Case Context section.

**Table 8. Case Summary Information**

Field	Description
Title	Displays the name of the case. You can modify the title of the case if your role permits.
Case ID	Displays the unique Identifier of the case.
Class	Displays the class of the case. For example, AML, Fraud.
Type	Displays the type of the case. For example, AML_Surv.
Status	Displays the current state of the case relative to its analysis and closure.
Priority	Displays the priority assigned to the case. You can modify the priority of the case if your role permits.
Jurisdiction	Displays the geographical Jurisdiction associated with the case.
Business Domain	Displays the business domains associated with the case.
Priority	Displays the Priority assigned to the case. For example, High, medium, or low.
Created	Displays the date on which the case is created.
Risk Score	Displays the risk score (applicable only for KYC cases).
Owner	Displays the name of an individual user or the user group who owns the case.
Owner Organization	Displays the organization that owns the cases.
Due	Displays the date by which an action should be taken on the case.
Closed	Displays the date when the closing action was taken on the case.


**Table 8. Case Summary Information (Continued)**

Field	Description
Assignee	Displays the user or group to whom the case is assigned.
Description	Displays the description of the case that gives an high level insight on the subject matter of the case.

## Editing Case Context Details

The Edit button is enabled for the case details modification based on the user permission.

To edit the Case Context details, follow these steps:

1. Navigate to Case Context section.
2. Click  **Case ID**. The Case Context section is expanded to view and modify the selected Case ID.
3. Click **Edit**. The following fields are enabled to modify the case details.
  - Title
  - Risk Score (applicable only for KYC Cases)
  - Priority
  - Description

For more information on the fields, see the [Table 8](#).

4. Modify the necessary changes and click **Save**. The following message is displayed: *Case ID updated successfully*.
5. Click **OK**. The Case Context section is refreshed to display the updated detail.

## Using Operational Data Tabs

This section explains the concept behind various tabs which provide you operational information pertaining to the case. This enables you to view and carry out comprehensive analysis to take appropriate action on cases.

The following sections are covered in this topic:

- [About Operational Data Tabs](#)
- [Using Narrative Tab](#)
- [Using Involved Party Tab](#)
- [Using Evidence Tab](#)
- [Using Network Analysis Tab](#)
- [Using Relationship Tab](#)
- [Using Audit History Tab](#)
- [Using Correlation Tab](#)

## About Operational Data Tabs

These tabs are available for all types of cases. These are mandatory tabs used for the investigation of the selected case.

The following tasks are performed using operational data tabs:

- Assist to capture various information to investigate a case for resolution
- Record narrative analysis of a case
- Link or unlink existing involved parties and link new involved parties to the case
- Provide comments and attach relevant documents
- View other cases that are related to the current case being investigated
- Link, unlink, or add more links in the related cases
- Draw a graph with one or more business entities as the starting point for the network creation
- View complete audit history of the case to take further action

## Using Narrative Tab

This section discusses Narrative tab and its usage in investigating a case.

The following sections are covered in this section:

- [About Narrative Tab](#)
- [Creating a Narrative](#)
- [Editing Narrative](#)
- [Viewing Narrative History](#)

### About Narrative Tab

If your role permits, the Narrative tab allows you to capture any narrative surrounding the analysis of a case that has helped you decide how to dispose the case. The narrative exists as a single data element on a case, which allows you to add and to maintain that narrative. The case narrative is used for SAR filing. Narrative supports Rich Text Formatting (RTF).

The following tasks are performed using the Narrative tab:

- Record textual analyses of a selected case
- Modify the existing narrative for the case
- View the audit history of the narrative to know the last updated date, timing, and user who updated it

### Creating a Narrative

If your role permits, you can capture any narrative surrounding the analysis of a case that has helped you decide how to dispose the case.

**Note:** By default, the entry box is blank if previous narrative is not added.

---

To create a narrative, follow these steps:

1. Navigate to the Case List page. Select a case for which you want to create a narrative. The Case Summary page displays for the selected case.
2. Select the **Narrative** tab. The Narrative page is displayed with blank text area.
3. Click **Edit**. The Text area is enabled. Enter your analysis and format it if required.
4. Click **Save**. The following message is displayed: *The Narrative edit is successful.*
5. Click **OK**. The system saves your changes, adds the current date to the Last Updated field and, adds your name to the By field in the Narrative section header.

### **Editing Narrative**

If your role permits you can modify existing narrative for a case.

To edit the narrative, follow these steps:

1. Navigate to the Case Summary page.
2. Select the **Narrative** tab. The Narrative page is displayed with current narrative, last updated date, and who updated it.
3. Click **Edit**. The Text area is enabled. Modify the previous analysis in the text box.

**Note:** Use standard keyboard options to remove the text in the Narrative text box.

---

4. Click **Save**. The following message is displayed: *The Narrative edit is successful.*

Click **OK**. The system saves your changes, updates the current date to the Last Updated field and your name to the By field in the Narrative section header.

### **Viewing Narrative History**

This section explains about the audit history of Narrative and how to view the audit history in Narrative.

Narrative History page in Narrative tab allows you to view the date and time on which the narrative is created or edited, user who created or edited, and the complete narrative analysis of the selected case.

To view the audit history of a narrative, follow these steps:

1. Navigate to the **Narrative** tab. The Case Narrative page is displayed with recent narrative for the selected case.
2. Click **History**. The Narrative History window is displayed with the following information for your analysis.

**Table 9. Narrative History**

<b>Fields</b>	<b>Descriptions</b>
Date and Time	Displays the date and time on which the narrative is created or edited.
By	Displays the users name who updated the narrative.
Details	Display the narrative entered for the case.



## Using Involved Party Tab

This section discusses the Involved Party and its usage in investigating a case.

The following topics are covered in this section:

- [About Involved Party Tab](#)
- [Viewing Linked Involved Party](#)
- [Adding Involved Party](#)
- [Editing or Unlinking Involved Party](#)

### About Involved Party Tab

An Involved Party is an entity (for example, account, customer, or correspondent bank) that is associated with a case investigation in some capacity. Parties are primarily involved in a case investigation as a witness, suspect, victim, or other. Existing parties are linked from various Business entity tabs using the Designate as Involved Party option.

The following tasks are performed using the Involved Party tab:

- View and analyze the list and detailed information of parties that are linked to the current case
- Add existing parties to the case or create new involved parties
- Modify parties linked to the case
- Unlink existing parties from the case

### Viewing Linked Involved Party

This section displays the list of the linked involved parties and provides complete information of involved parties that are currently linked to this case. This section identifies the nature of the relationship the party has with the case. Parties are considered to be involved with a case either as a suspect, victim, or witness. If the relationship cannot be categorized as one of these types, then it can be categorized as other.

The following sections are covered in this topic:

- [Viewing Involved Party Details](#)
- [Viewing Involved Party History](#)

### Viewing Involved Party Details

This section helps you to view the complete information about the selected involved party.

To view linked involved party details, follow these steps:

1. Navigate to Case Summary page.
2. Click **Involved Party** tab. By default, involved parties which are linked to the selected case are displayed in a list. You can view Involved Party details - relationship type, party name, party ID, issuing authority, and so on.
3. To view individual Involved Party details, select a Involved Party in the list and click **Details** link. The Involved Party Details window is displayed with complete information of the selected Involved Party.

### Viewing Involved Party History

This section guides you to view the complete audit history of the selected involved party so that you can analyze how, when, and by whom the party is linked to the case.

To view the history of the involved party, follow these steps:

1. Navigate to **Involved Party** tab.
2. Select a linked involved party from the list and click **History** link. The History window is displayed.

The History window has the following sections:

- **Audit History:** lists any changes that are made to the involved party's profile, such as, name or address change. Records that are modified display as Inactive and original values. The modified and current version of the record display as Active.
- **History of the Involved Parties Linkage to this Case:** lists any changes that are made to the involved party's relationship to the case. Records that are modified displays as Inactive and original values. The modified and current version of the record display as Active.
- **Other Cases the Involved Party is Linked to:** lists all other cases to which the involved party is linked to.

### Adding Involved Party

This section provides instructions how to add existing or new involved party or parties to the selected case.

For more information on adding existing or new involved party or parties, see the [Adding an Entity](#) section.

### Editing or Unlinking Involved Party

You can modify details or unlink existing involved party or parties to the selected case. Modifying an existing party updates the party's profile, which is reflected in all those cases the party is linked to.

To modify or unlink existing involved parties, follow these steps:

1. Navigate to Involved Party tab.
2. Select an involved party. Click **Edit**. The Edit Involved Party Detail window is displayed.
3. Modify information in the required fields.
4. To unlink involved party, select *Unlink* option from the Relationship Type drop-down list.
5. Click **Save**. The following message is displayed: *You have selected to edit this record. Click OK to continue and save changes.* Click **Cancel**. The window closes and navigates you to the refreshed list of Involved Party. Also, corresponding audit entries are recorded on the case.

### Using Evidence Tab

This section covers following topics:

- [About Evidence Tab](#)
- [Viewing Comments or Attachment](#)
- [Adding Comments and Attachment](#)

- [Removing Attachment](#)

## About Evidence Tab


The following tasks are performed using the Evidence tab:

- View and analyze comments and attachments previously added to the case.
- View and analyze comments and attachments associated with the case that have been added through specific case actions
- Add new comments or attachments to the case under investigation.
- Evidence tab has two sections:
  - **Comments:** This section allows you to view the comments added to the case either through the Evidence tab or added as a part of any actions taken on the case during investigation. The Comments section includes the creation date and time of the comment action, the user who took the action, case status at the time of the comment, and comments added.
  - **Attachment:** The Attachment section allows you to view the attachments added to the case either through the Evidence tab or added as a part of any actions taken on the case during investigation. It includes the creation date and time of the case action associated with the attachment of the file to the case, the user who took the action, case status at the time of the action or resulting from the action, any comments associated with the action, attachment name, and the Attachment count.

## Viewing Comments or Attachment

This section allows you to view comments and attachments previously added to the case.

To view comments and attachment to a cases, follow these steps:

1. Navigate to Case Summary page. Click **Evidence** tab.
2. Go to Comments or Attachment section. Click  to expand to view the existing Comments or Attachment for the selected Case ID.

The following table provides a list of columns that Comments section displays.

**Table 10. Comments Columns**

Column Name	Description
Date and Time	Displays the date on which comments are entered.
By	Displays by whom comments are entered.
Status	Displays the case status at the time of the comment.
Comments	Displays comments provided for this case.

The following table provides a list of columns that Attachment section displays.

**Table 11. Attachment Columns**

Column Name	Description
Date and Time	Displays the date and time on which the file is attached.
By	Displays by whom the file is attached.
Status	Displays the case status at the time of the comment.
Comments	Displays comments provided for attaching the file.
Attachment	Displays the attachment link to view the attachment.

### Adding Comments and Attachment

If your role permits, you can add comments or attachments to the case under investigation.

---

**Note:** When you add comments or attachments to a case, the status of that case does not change as a result of those comments or attachments. However, the Comment action is reflected in the audit of a case.

---

The Add Evidence button is available on the top of all tabs. For more information on adding comments and attachment to the case, see the [Adding Evidence](#).

### Removing Attachment

If your role permits, you can remove attachments to the case under investigation.

To remove attachment, follow these steps:

1. Navigate to Case Summary page. Click **Evidence** tab.
2. Go to Attachment column. Click **Attachment** link. The Attachment window is displayed.
3. Select attachment name and enter comments for removing this attachment in the Comments box.
4. Click **Remove**. The following message is displayed: *You have selected to remove this record. Click OK to continue and save changes.*
5. Click **OK**. The attachment is removed from the Attachment List for the selected case.

For more information on the history of Attachment and the Comments, see the [Using Audit History Tab](#)

### Using Correlation Tab

This section covers the following topics:

- [About Correlation tab](#)
- [Viewing Source Correlation](#)
- [Viewing Linked Events](#)
- [Viewing Business Data Correlation](#)

## About Correlation tab

A Correlation is defined as a group of events, which are associated to one another based upon matching a set of criteria as defined by a correlation rule.

Correlation is promoted automatically to a case. This correlation is referred to as the source correlation of the case and events, which are members of that correlation become events linked to the case. The Correlations tab provides information regarding the source correlation and the business associations of the events linked to the current case. You can view the source correlation that resulted in the automatic creation of the case, if applicable. In addition, the Correlation tab provides a complete listing of the business entities correlated with the events linked to the case, regardless of whether or not those entities become part of a correlation.

## Viewing Source Correlation

The Source Correlation section displays the correlation that is the source of this case creation. It displays all events that are correlated and promoted to this case.

The Source Correlation section displays only when the case was created due to promotion of events. If the case is manually created, the Source Correlation section is collapsed and do not possess any correlation information. The following message is displayed: *There is no source correlation associated for this case.*

Source correlation provides information about events that are correlated based on the correlation rule that is set by the client. For more information, see the [Administration and Configuration Guide](#).

To view source correlation details, follow these steps:

1. Navigate to the Case Summary page.
2. Click **Correlation** tab. Go to the Source Correlation section. The following source correlation details are displayed.

**Table 12. Source Correlation**

Column Name	Description
Source Event ID	Displays the source event ID.
Source Scenario	Displays scenario of the source event ID.
Source Event ID	Displays the target event ID.
Source Scenario	Displays scenario of the target event ID.
Associated Through	Displays the relationship through which the source and target events are correlated.
Correlation Date	Displays the date on which the events are correlated.
Entity Type	Displays the corresponding entity type for this event.

**Note:** Based on the parameters configured in correlation rule, the correlation engine identifies the source to target event mapping.

3. Click **Associated Through** link. The Associated Through window is displayed with the complete details of the corresponding entity.

## Viewing Linked Events

This section displays all linked events currently associated with the case. That is, event, which are promoted to the case through the Promote to Case action, promotion of a correlation, and events manually linked to the case after its creation. If there are events, which are unlinked, then those events do not display in the section.

To view the linked events, follow these steps:

1. Navigate to Case Summary page.
2. Click **Correlation** tab. Go to the Linked Events section. The following linked events details are displayed.

**Table 13. Linked Events**

Column Name	Description
Event ID	Displays the linked event ID.
Scenario	Displays scenario of the linked event ID.
Status	Displays the status of the linked event ID.

## Viewing Business Data Correlation

The Business Data Correlation section displays the business data correlated to the selected event.

The Business Data Correlation section displays a distinct list of business entities to which the currently selected linked event is associated. In addition, it displays the total number of distinct events to which each displayed business entity is correlated. By default, the section includes up to ten of the most recent correlated business entities.

To view the business data correlation, follow these steps:

1. Navigate to the Case Summary page.
2. Click **Correlation** tab. Select a record from the Linked Event section.
3. The following business data correlation details are displayed for the selected linked event. By default, the business data correlation details of the first record of the linked event is displayed.

**Table 14. Business Data Correlation**

Column Name	Description
Entity	Displays the concatenated value of the business entity type code and the business entity identifier.
Relationship	Displays a translated data path name for each business entity to event correlation.
Total # of Correlated events	Displays the total count, including the current event of distinct event to which the business entity is correlated.

4. Click **Entity** link. The Entity details window is displayed with the complete details of the corresponding entity.

## Using Network Analysis Tab

The following sections are covered in this topic:

- [About Network Analysis Tab](#)
- [Filtering Network Analysis](#)
- [Using Network Graph](#)

### About Network Analysis Tab

- Network Analysis Tab is also known as Ad-hoc network building system.
- Transactions can generate a network on its own, using the search criteria provided by the user via Filters.
- This tab provides the flexibility to draw a graph with one or more business entities as the starting point for the network creation.
- Using Filters feature, the ad-hoc networking, network can be generated from all entities that are part of the case.

---

**Note:** In the Network Analysis tab, all entity searches are run on the business data of the application, and not the case data.

---

### Filtering Network Analysis

To filter network analysis information, follow these steps:

1. Navigate to the Network Analysis tab. Go to the LHS section.

Network Analysis

Start Entities [Select All](#) [Unselect All](#) <<

Include Link Types [Select All](#) [Unselect All](#)

- Account to Correspondent Bank
- Account to Customer
- Account to Employee
- Account to Household
- Customer to Customer
- Insurance Transaction
- Journal Transaction
- Monetary Instruments Transaction
- Wire Transaction

Transaction Date From  
10/04/2017

To  
01/04/2018

Maximum Degrees of Separation  
3

[Search](#) [Reset](#)

Figure 13. Filtering Network Analysis



2. Enter the following information in the respective fields.

**Table 15. Filtering Network Analysis**

Field	Description
Start Entities	<p>Select entities from the Start Entities list. Or, click <b>Select All</b> to select all entities. Use the start entities list to build the network around entities associated with the event. These entities are considered the starting point of the network.</p> <p>The following entity types are displayed based on which entities are associated with the events.</p> <ul style="list-style-type: none"> <li>● Accounts</li> <li>● Customers</li> <li>● Households</li> <li>● External Entity</li> <li>● Employee</li> <li>● Correspondent Banks</li> </ul> <p>If the Case has one or more linked events, then use the entity ID(s) from each populated business tab (that is, Account, Customer, Correspondent Bank, Employee, External Entity, and Household) that are not already represented by an events focal ID as a possible starting entity.</p> <p>If the Case does not have one or more linked events:</p> <ul style="list-style-type: none"> <li>● Use the entity ID(s) from each populated business tab (that is, Account, Customer, Correspondent Bank, Employee, External Entity and Household) as a starting entity.</li> </ul> <p>The entities are highlighted in the Network Graph.</p>
Include Link Types	<p>Select the links from Include Link Types (Account to Customer, Account to Employee, and so on). Or, click <b>Select All</b> to select all links. The Link Types List contains all the valid links, or relationship types, that are identified between two nodes (entities) in the Network Graph. The links are created based on Shared Activity and Known Relationship between two nodes. For more information of Link Types, see <a href="#">Table 44</a>.</p> <p>Selecting a Link Type displays links of the selected type in the graph. For example, the Account to Household link type discovers accounts or household nodes.</p> <p>Some of the Link Type and Starting Entity combinations may result in no results being returned. For example selecting only a Household entity in the Entity Name list and selecting Wire Transaction in the Include Link Types list returns no nodes other than the starting Household entity. This is because transactions do not focus upon household entities. The <a href="#">Table 45</a> provides the Valid Link Types for each node.</p> <p>The system uses this information to find the most recent information determine known relationships and shared attributes. For more information, see <a href="#">Table 46</a>.</p>

**Table 15. Filtering Network Analysis**

Field (Continued)	Description
Transaction Date	<p>Select the <i>from</i> and <i>to</i> transaction date.</p> <ul style="list-style-type: none"> <li>● Transaction Date From <ul style="list-style-type: none"> <li>■ Used to build a network based on shared activity. Whenever this date is selected, the system checks for transaction between Transaction Date From and Transaction Date To for establishing the link for Wire, Journal, MI and Insurance Transaction.</li> <li>■ It is defaulted to three months prior to the current date.</li> <li>■ It cannot be greater than or equal to Transaction Date To. An error message is displayed: <i>Please enter a From date that is less than or equal to the To Date.</i></li> <li>■ It cannot be a future date and when the user enters or select a future date. An error message is displayed: <i>Please do not enter a future date.</i></li> </ul> </li> <li>● Transaction Date To <ul style="list-style-type: none"> <li>■ Used to build a network based on shared activity. Whenever this date is selected, the system checks for transaction between Transaction Date From and Transaction Date To for establishing the link for Wire, Journal, MI and Insurance Transaction.</li> <li>■ It is defaulted to current date.</li> <li>■ It cannot be less than Transaction Date From. An error message is displayed: <i>Please enter a From date that is less than or equal to the To Date.</i></li> <li>■ The Transaction Date To cannot be a future date. When the user enters or select a future date, an error message is displayed: <i>Please do not enter a future date.</i></li> </ul> </li> </ul>
Maximum Degrees of Separation	<p>Select the maximum degrees of separation from the drop-down list. The value you provide determines how many cycles out from starting entity a repetition of queries will go, that is, how many levels of entities need to be identified. This number must be within your institution's limits (the default is 1-10). You cannot enter 0, decimals, or negative numbers. If you do not enter a number, the value displays the default of 3.</p>
Transaction Activity Options	<p>Select transaction activities such as transaction amount equal, more, or less than.</p> <p><b>Note:</b> This field is displayed only when you select transaction related link types (Journal Transaction, Wire transaction, and so on).</p> <p>Transaction Activity Options filter the network based on the transaction activity. The following Transaction Activity Options display:</p> <ul style="list-style-type: none"> <li>● Transaction Amount <math>\geq</math> filters out transactions with amounts greater than or equal to the specified amount.</li> <li>● Transaction Amount <math>\leq</math> filters out transactions with amounts less than or equal to the specified amount.</li> </ul>

3. Click **Search**. In the Right Hand Side (RHS) pane, the Network Graph is displayed.

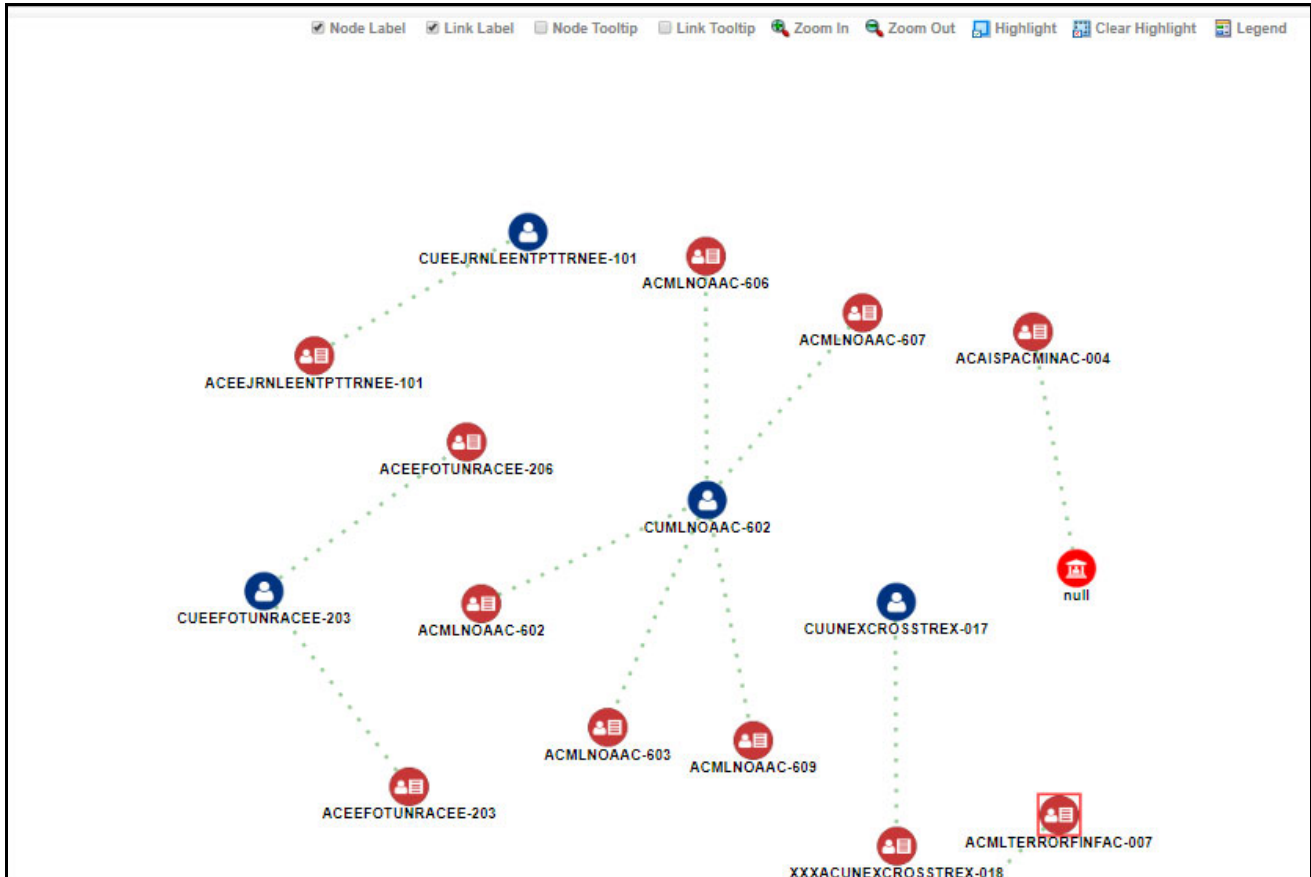
### Using Network Graph

This section explains the Network Graph and different components that are displayed on the Right Hand Side (RHS) pane.

Network graph is the actual graphical representation of the network containing nodes and links. This graph is displayed only when you initiate a search via Filters.

To view Network Graph, follow these steps:

1. Navigate to the Network Analysis tab.
2. Go to the LHS section and filter the Network Graph based on your requirement. The Network Graph is displayed.



**Figure 14. Network Graph**

3. Select the following components to view network graphs.

**Note:** By default, Node Label and Link Label options are selected and based on that network graph is displayed.

**Table 16. Network Graph**

Field	Description
Node Label	Select this check box to view a label for each node on the graph. De-selecting this checkbox removes all node labels from the graph. The Node Label displays in the following format: NodeType: NodeID. Node Type represents the type of entity it is. Node ID represents the identifier of the entity represented by this node.
Link Label	Select this check box to view the label for each link on the graph. De-selecting this checkbox clears all link labels from the graph. The middle of each link is labeled with the sum of the amount of all transactional links between the nodes. That is, if there is a transaction between the nodes, such as a transfer of funds from one account to another, the total amount of all transactions, across all transactions types, between these nodes displays. When the links between nodes are non-transactional links, the Link Label does not display.
Node Tooltip	<p>Select this check box to enable the ability to view additional information (in the form of a tooltip) about the node on mouseover. Unselecting this check box disables the display of node tooltip information on mouseover. A node tooltip displays the following information.</p> <ul style="list-style-type: none"> <li>● Node Type: The type of entity.</li> <li>● Node ID: The identifier of the entity represented by this node.</li> <li>● Total Amount: Sum of the transaction amounts of all links involving this node within the network.</li> <li>● Incoming Amount: Sum of the transaction amounts of all links going into this node within the network.</li> <li>● Incoming Count: Count of all transactions where this node is the TO NODE.</li> <li>● Outgoing Amount: Sum of the transaction amounts of all links going out of this node within the network.</li> <li>● Outgoing Count: Count of all transactions where this node is the FROM NODE.</li> <li>● Total Count: Count of all transactions where this node is the TO NODE or FROM NODE.</li> </ul>
Link Tooltip	<p>Select this check box to view additional information about the link on mouseover. Un-checking the box disables the display of link information on mouseover. A link tooltip displays the following information:</p> <ul style="list-style-type: none"> <li>● &lt;From Node&gt;</li> <li>● Known Relationships</li> </ul>
Zoom In	Select this option to zoom into the network graph. You can also use your mouse wheel to zoom out.
Zoom Out	Select this option to zoom out of the network graph. You can also use your mouse wheel to zoom in.

**Table 16. Network Graph**

Field (Continued)	Description
Highlight	<p>Click this option to open the Highlight window. This allows a user to locate nodes and links on the network graph.</p> <p>This window displays two radio buttons - Node and Link. The radio buttons allow the user to switch the context of the search between locating Nodes and Links.</p> <ul style="list-style-type: none"> <li>● To locate a Node, select the Node radio button.</li> <li>● To locate a Link, select the Link radio button.</li> </ul> <p>When you are searching using this textbox, the system uses the following mapping to find matching node (s) and link (s) on the graph. For example, you are searching in context of a node and enters the value "AC123" in this textbox.</p> <p>To find the matching nodes, the system should compare "AC123" to all the nodes on the graph (all node records retrieved as a result of the basic filter search should be in the cache). And within each record, use this mapping (for example, Account Internal ID on an Account record) to find the applicable nodes.</p>
Clear Highlight	Click this option to clear all visual distinctions made on the graph as a result of using the Highlight feature.
Legend	Click this option to open the Legend window. This provides a dynamic indicator of the nodes and links that are visible in the graph.

### Using Node Menu

The Node menu allows you to view additional information related to the selected node. This menu displays when a user right clicks on a node.

The following Node Types are displayed on the Network Analysis Tab page:

- Account
- Customer
- External Entity
- Household
- Employee
- Correspondent Bank

To view Node Menu, follow these steps:

1. Navigate to the RHS menu.
2. Go to required Node and right click. The Node menu is displayed.

The Node menu displays the following options:

- **Collapse:** This hides all outgoing links (nodes to which these outgoing links are connecting) from the node being collapsed. The node icon changes when a node is collapsed.
- **View Node Details:** This opens a window that displays the current information associated with the selected node. The you can interact with the main application window that displays the graph while this window is

open. At any given time, only one window can be open for a particular node. If you select to view node details of a node for which a Node Details window is already open, an error message displays.

## Using Relationship Tab

The following sections are covered in this topic:

- [About Relationship Tab](#)
- [Managing Related Cases](#)
- [Managing Related Events](#)

### About Relationship Tab

The Relationship tab allows you to view the list of linked cases and events to the selected case. This tab has two sections- Related Cases and Related Events.

The following tasks are performed using the Relationship tab:

- View and analyze the list of cases and events related to the current case through relationships to entities involved in other cases and events or by virtue of another case and events being linked to the current case.
- Link related cases or events, which are not yet linked to the current case.
- Unlink related cases or events, which are already linked to the current case.
- Search cases or events record for adding additional case or event links to the current case.

---

**Note:** Linking and Unlinking activities of cases and events depends on the user roles. The action buttons (Unlink, Link, and Add Case or Events) are only visible for cases, which are in non-closed status.

---

### Managing Related Cases

If your role permits, you can link or unlink to the selected case and also add more cases to link to the selected case.

The following topics are covered in this section:

- [About Related Cases](#)
- [Using Links](#)
- [Viewing History](#)

### About Related Cases

The Related Cases sections allow you to view cases that are related to the current case through common business entities and cases, which are manually linked to the current case by a user.

The following example explains the logic used to identify common business entities. For Case A, all cases that have same business entity ID(s) as that of Case A are considered as related cases. For example, if two cases possess the same customer IDs, account IDs, or other business entity IDs applicable in Enterprise Case Management then they are considered as related.

- The Related Cases section visually distinguishes cases that are manually linked to the current case from those that are related to the current case through common business entities.
- The User Linked column in the Related Cases section displays *Yes* when you manually link a case to the current case by performing the Link action and displays *No* when the system links the case (as part of correlation promotion to a case).
- The Linked column in Related Cases section displays, relationship type. For example, Linked, Merged or Closed Duplicate. If the case is related as a result of being linked and displays *No* when the case is considered related to the current case by a business association but has not been linked to the current case.

### **Using Links**

This section describes how to link case to one another, merge case to one another, and close cases as duplicate for the related cases. You can perform any of the case link actions by selecting multiple cases and choosing the appropriate Case Link action, that is, Link, Link and Merge, and Close as Duplicate.

This section covers the following topics:

- [Linking Case](#)
- [Unlinking Case](#)
- [Adding Cases](#)

#### *Linking Case*

This section allows you to link related (but not yet linked) cases to the current case. You can link case to one another, merge case to one another, and close cases as duplicate for the related cases.

To link cases to current case, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Cases section.
2. Select Case ID or IDs.
3. Click **Link Cases**. The Link Cases window is displayed.

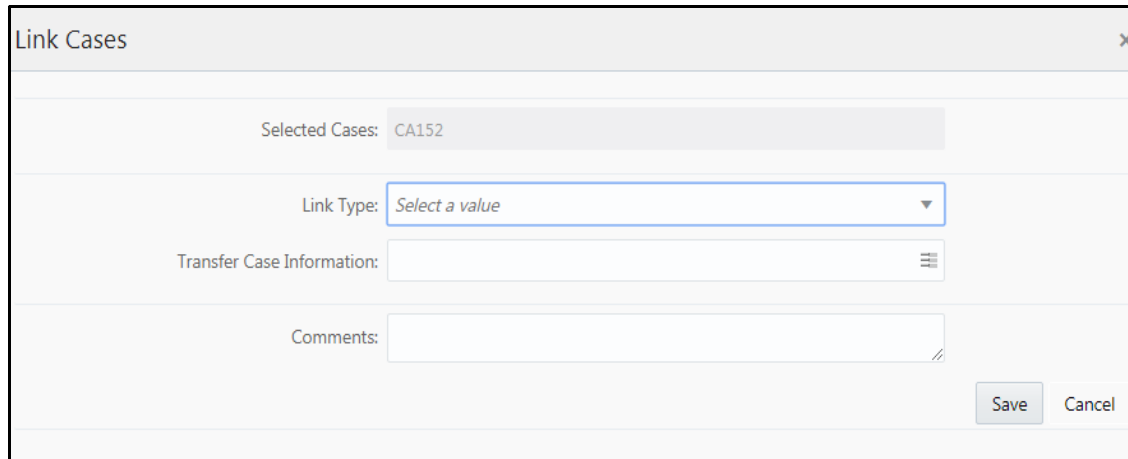


Figure 15. Link Case

4. Enter the following information in the respective fields.

Table 17. Link Case

Field	Description
Selected Cases	Displays the selected case or cases.
Link Type	Select the type of action from the drop-down list (Link, Link and Merge, or Close as Duplicate).
Transfer Case Information	Select the transfer case information from the multi-select list (Employee, Account, and so on).
Comments	Enter comments for selecting these records.

**Note:** If the current case is closed, the Link-Merge action is not allowed. Similarly, if all the selected cases are closed, Close as Duplicate action is not allowed.

5. Click **Save**. The following message is displayed: *The selected cases will be linked and merged with the current cases. Click OK to save the changes.*
6. Click **OK**. The window closes and navigates you to the refreshed list of Related Cases, and the updated records are displayed. Also, corresponding audit entries are recorded on the case.
  - If you select Link action, No information is transferred to the selected case. The system records the action as Link Case for the current case and the selected related cases in the audit history with the case ID appended in the comments section in the Audit tab. This action does not affect the status of the cases.

**Note:** Transfer Case Information parameter displays blank values as no information is transferred to the selected case.

- If you select Merge action, the selected related cases are merged to the current case, and the information is transferred. The system records the action as Merged Case Linked for the current case and Merged Case for the merged cases. The status of the merged case changes to Closed-Merged, if the present status is not Closed, else the status remains as Closed. This action does not change in the status of the current case.



- If you select Close-Duplicate action, the system enables *Transfer Case information* drop-down list having only two values: Financial and Narrative. You can select one or both from the drop-down list for which the information is to be transferred. The selected cases are closed as duplicates of the current case. Once you confirms the action, the system records the action as Duplicate Case Linked for the current case and Closed Duplicate for the selected cases in the Audit history. This action does not have any change in the status of the current case, but changes the status of the selected cases to Closed-Duplicate.

### *Unlinking Case*

This section allows you to unlink related cases that are linked to the current case.

---

**Note:** You can unlink only those cases which are already linked by the user.

---

To unlink cases to current case, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Cases section.
2. Select only those cases which are already linked by the user with Link status *Linked*.
3. Click **Unlink Cases**. The Unlink Cases window is displayed.
4. Enter comments to unlink the selected Case ID or IDs. The following message is displayed: *The selected cases are unlinked. Click OK to save the changes.*
5. Click **OK**. The updated Related Cases section is displayed.

---

**Note:** If the case was only considered related based upon the link action, the Related Cases section refreshes and the unlinked case no longer appears.

---

### *Adding Cases*

If your role permits you can search for any case record by Case ID for the purpose of adding additional case links to the current case.

To add cases, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Cases section.
2. Click **Add Cases**. The Add Cases window is displayed.
3. Enter the Case IDs in the Case Search field.

---

**Note:** Use comma to separate Case IDs.

---

4. Click **Search**. The required case details are displayed.
5. Select the required case IDs and Click **Link Case**.

For more information on linking cases, see the [Linking Case](#).

### **Viewing History**

The History link for every Case ID allows you to view the complete audit history of the related case details.

To view related case audit history, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Cases section.
2. Click the required Case ID **History** link. The Related Case History window is displayed with complete details on the related case.

### **Managing Related Events**

If your role permits, you can link or unlink events to the selected case and also add more events to link to the selected case.

The following topics are covered in this section:

- [About Related Events](#)
- [Using Links](#)

#### **About Related Events**

The Related Events section displays all those events that are related through common business entities and events which are manually linked to the current case by the user. The following example explains the logic used to identify common business entities.

For Case A, all events which are focused on the same business entity ID as that of Case A are considered as related events. For example, if an event and a case are focused on the same customer ID or account ID or any other business entity ID applicable in the Enterprise Case Management, then they are considered as related.

In the Related Events section, User Linked column visually distinguishes events that have been manually linked to the current case from those that are related to the current case through common business entities. The User Linked column displays *Yes* when the linking of the events to the case was performed by a user taking a link action, It displays *No* when the action to link the events is performed by the system (as part of events promotion and correlation promotion to a case). In the Related Events section, Linked column has a value *Yes* if the event is related by virtue of being linked, *No* when the event is considered related but not linked.

#### **Using Links**

This section describes about linking events to the selected case and covers the following topics:

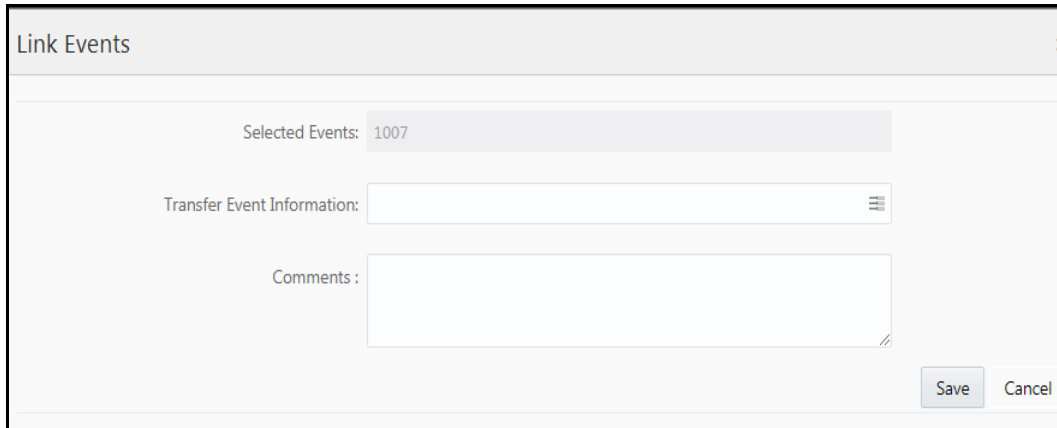
- [Linking Events](#)
- [Unlinking Events](#)
- [Adding Events](#)

#### *Linking Events*

This section allows you to link related (but not yet linked) events to the current case.

To link events to current case, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Events section.
2. Select Event ID or IDs.
3. Click **Link Events**. The Link Events window is displayed.



**Figure 16. Link Event**

4. Enter the following information in the respective fields.

**Table 18. Link Event**

Field	Description
Selected Cases	Displays the selected event or events.
Transfer event Information	Select the transfer event information from the multi-select list (Employee, Account, and so on).
Comments	Enter comments for selecting these records.

5. Click **Save**. The following message is displayed: *The selected events will be linked with the current cases. Click OK to save the changes.*
6. Click **OK**. The window closes and navigates you to the refreshed list of Related Events, and the updated records are displayed. Also, corresponding audit entries are recorded on the case.

If you select Link action, no information is transferred to the selected case. The system records the action as Link Event for the current case and the selected related events in the audit history with the case ID appended in the comments section in the Audit tab. This action does not affect the status of the cases.

**Note:** Transfer Case Information parameter displays blank values as no information is transferred to the selected case.

Transfer Events Information is displayed only when you select the Events to be linked. All selected events are linked to the case and data of all the selected data types associated with the event is transferred to the case. You can view the event information in the respective Enterprise Case Management tabs.

When the transfer event information is in synchronous mode, the system processes data transfer while you wait and is unavailable for additional actions until the transfer is completed. The system displays messages for Successful and Unsuccessful data transfer. When data transfer is successful, the message displays: *Selected events and cases were linked and requested transfer of event information is also completed.*

When data transfer is unsuccessful, the message displays: *Selected events and cases were linked. But an error occurred during the requested transfer of event information to the case.*

The case may reflect incomplete business information. Once data transfer is complete, whether successful or unsuccessful, you are able to continue working.

When the transfer event information is in asynchronous mode, the system processes the data transfer in the background, allowing you to continue to work.

- If you do not make a selection of at least one data type of information to be transferred, the system defaults to transferring all possible event data during the link (that is, not making a selection is equivalent to selecting all).
- The data transferred to the case is the data available as of the date of link action.
- The event information that is already associated with the case as a result of previous promotion or link actions will not be transferred again during the current link action.

### *Unlinking Events*

This section allows you to unlink related events that are linked to the current case.

---

**Note:** You can unlink only those events which are already linked by the user.

---

To unlink events to current case, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Events section.
2. Select only those events which are already linked by the user.
3. Click **Unlink Events**. The Unlink Events window is displayed.
4. Enter comments to unlink the selected Events ID or IDs. The following message is displayed: *The selected events are unlinked. Click OK to save the changes.*
5. Click **OK**. The updated Related Events section is displayed.

---

**Note:** If the event was only considered related based upon the link action, the Related Events section refreshes and the unlinked event no longer appears.

---

During Unlink action when one or more events are unlinked from the case, the event information which is transferred during link action is not be removed by the system. If required you can manually remove the event information from the appropriate tabs through the Remove action.

### *Adding Events*

If your role permits you can search for event record by Event ID for the purpose of adding additional event links to the current case.

To add events, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Events section.
2. Click **Add Events**. The Add Events window is displayed.
3. Enter the Event IDs in the Event Search field.

---

**Note:** Use comma to separate Event IDs

---

4. Click **Search**. The required event details are displayed.
5. Select the required event IDs and Click **Link Event**.

For more information on linking cases, see the [Linking Events](#).

## Using Audit History Tab

The Audit History tab displays complete historic details of the case. This helps to save time to analyze a case details and determine the next course of action on the case resolution.

The following sections are covered in this topic:

- [About Audit History Tab](#)
- [Filtering and Viewing Audit History Details](#)
- [Exporting Audit History Details](#)

### About Audit History Tab

The following tasks are performed using the Audit History tab:




- View and analyze of all changes which are performed on the case
- Filter audit history of the case by using search criteria such as view-only actions, entity changes, Attachments Included, Status changing action, and linking actions
- View and analyze actions previously performed on the current case by the system or user
- View and analyze the date and time of the case action, status, and so on
- View and analyze the attachment pertaining to the case
- Export audit information in PDF, Excel, or CSV format

### Filtering and Viewing Audit History Details

This section explains how to filter audit view details based on your filter criteria selection.

1. Navigate to Case Summary page.
2. Click **Audit History** tab. The Audit page is displayed. By default, *View All* option is selected and complete history of the case is displayed.

<input type="checkbox"/> View-Only Actions	<input type="checkbox"/> Attachments Included	<input type="checkbox"/> Entity Changes
<input type="checkbox"/> Linking Actions	<input type="checkbox"/> Status Changing Actions	

Sort By ▼   

Date and Time	By	Action	Resulting Status	Comments	Attachment
11/15/2017 15:43:00	SUPERVISOR	Unlink Event	Investigation	Unlinked Event(s):153/ Comments:sdxsd	<a href="#">0</a>
11/15/2017 15:42:00	SUPERVISOR	Viewed by Owner	Investigation		<a href="#">0</a>
11/13/2017 12:17:00	SYSTEM	Create Case	New		<a href="#">0</a>
11/13/2017 12:10:00		Promote to Case	New	Promotion of Alert Correlation to case.	<a href="#">0</a>

**Figure 17. Audit Filter Criteria**

**Note:** If you select View All, all other view criteria are deselected. If you select any one filter criterion other than View All, it gets deselected.

The following table provides a list of filter criteria available in Audit section.

**Table 19. Audit Filter Criteria**

Audit Filter Criteria	Description
View- Only Actions	Select View- Only Actions. This displays a specific user has visited case details.
Attachments Included	Select Attachments Included. This displays the list of documents attached to the case.
Entity Changes	Select Entity Changes. This displays the list of entity changes performed for this case. For example, if any user has added, modified, or deleted any entity.
Linking Actions	Select Linking Actions. This displays the list of all linking and unlinking actions performed on this case. For example, case to case linking or unlinking.
Status Changing Actions	Select Status Changing Actions. This displays the list of status changing actions performed for this case.

3. Select one or more filter criteria. Based on your selection, the respective records are displayed as a list in the columns. For more information on the columns, see the [Table 20](#).

The following table provides a complete details of columns in the Audit History section.

**Table 20. Audit Columns**

Column Name	Description
Date and Time	Displays the date and time on which the action was performed.
By	Displays either the user name or system, based on the action performed.
Action	Displays the type of the action performed. For example, Add Customer, Modify Customer, viewed, commented, and added document.
Resulting Status	Displays the type of the resulting status due to that action.
Comments	Displays comments provided for each action taken by the user. <b>Note:</b> The standard comments are followed by free text comments when both types of comments are provided.
Attachments	Displays the number of attached files with a link to open the attachment.

4. To view the attachment, click Attachment link. The Attachment List window is displayed.
5. Click on Document link. The attached document is displayed.

## Exporting Audit History Details

If your user role permits, you can export audit history information in PDF, Excel, or CSV format.

To export audit history information, see the [Appendix A, Common Features](#), for more information.

## Using Business Data Tabs

This section explains the concept behind various tabs which provide you business information pertaining to the case. This enables you to view and carry out comprehensive analysis to take appropriate action on cases.

---

**Note:** These tabs are displayed based on the case type selected by the firm.

---

The following sections are covered in this topic:

- [About Business Data Tabs](#)
- [Accessing Business Data Tab](#)
- [Using Event Details Tab](#)
- [Using Account Tab](#)
- [Using Customer Tab](#)
- [Using External Entity Tab](#)
- [Using Household Tab](#)
- [Using Employee Tab](#)
- [Using Correspondent Bank Tab](#)
- [Using Investment Advisor Tab](#)
- [Using Financials Tab](#)
- [Using KYC Risk Score Tab](#)
- [Using Customer Screening Tab](#)
- [Using Transaction Tab](#)
- [Managing Business Entity List](#)
- [Managing Business Entity Records](#)

## About Business Data Tabs

- Case investigations are typically associated with some type of business entity, such as an Account, Customer, Household or Correspondent Bank.
- Business tabs help the users in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information) to aid in the analysis of a case.

- The Business tabs display conditionally based on the case type.
- The Business tabs are divided into two section
  - **Entity List:** this section lists the business entities that are associated with the current case.
  - **Entity Details:** furnishes complete information of the selected entity.
- Business entities can be associated with a case in one of three ways.
  - They can be manually added to the case using the Add feature available on most business tabs.
  - They can be associated with a case based on their association with one or more events that are promoted from the Alert Management user interface and used to form the basis for the current case.
  - They can be associated with a case based on their association with one or more events that are linked to the current case at some point after the case's creation.

Examples of how business data is associated to a case based on an alert linked either through promotion or through linking to an existing case include such situations as follows: if a Customer-focused linked alert involved five distinct accounts, the Account business tab business entities section will display those five accounts. And the Customer tab will display information about the alert's focal customer.

By default, the business entities section displays five records.

**Table 21. Business Tabs Display**

Tabs	Case Type
Account	Money Laundering, KYC, and Fraud
Customer	Money Laundering, KYC, and Fraud
Household	Money Laundering and Fraud
External Entity	Money Laundering and Fraud
Correspondent Bank	Money Laundering
Employee	Employee Fraud and Fraud
Investment Advisor	Money Laundering and Fraud
Transactions	Money Laundering and Fraud
Financials	Fraud
KYC Risk Score	KYC
Customer Screening	Customer Screening

## Accessing Business Data Tab

To access business data tabs, follow these steps:

1. Navigate to the Case Search and List page.
2. Click the required case ID link. The Case Summary page is displayed.
3. Click the required business tab (**Account, Customer,** and so on). The selected business data tab List and Details page is displayed (Account, Customer, and so on).



## Using Event Details Tab

The Event Details tab allows to perform detailed analysis of events associated with the case to determine the case resolution.

The following sections are covered in this topic:

- [About Event Details Tab](#)
- [Viewing Event Details and Statement View](#)

### About Event Details Tab

This tab provides a list of events associated with the selected the case and their complete details.

The Events details tab has the following sections:

- **Events List:** details the list of Events associated with the selected case.
- **Events Details:** provides complete information of the selected event.

### Viewing Event Details and Statement View

This section allows you to view the complete details of the selected event. The Statement View provides the details of the event associated with the case as a BI report.

To view the event details, follow these steps:

1. Navigate to the Events Details tab.
2. Select the required Event ID.
3. Click **View Event Details**. The following related events details are displayed in different sections:
  - Funds Transfer, Electronic/Internet Transactions
  - MI Transactions
  - Cash Transactions
  - Back Office Transactions
  - Customer
  - Customer Account
  - Investment Advisor
  - External Entity
  - Account ATM Daily Profile
  - Account Management
  - Anticipatory Profile
  - Correspondent Bank
  - Household Balance
  - Loans

- Loan Summary
- Account Balance
- Delivery Addresses
- Household Summary
- Correspondent Bank Summary
- Account Summary

4. Click **Statement View**. The Statement View window for the selected event is displayed.

---

**Note:** Statement view is displayed only if your firm has install FCCM Analytics.

---

## Using Account Tab

The Account tab allows to perform detailed analysis of accounts associated with the case to determine the case resolution.

The following sections are covered in this topic:

- [About Account Tab](#)
- [Managing Account List](#)
- [Managing Account Details](#)

### About Account Tab

This tab provides a list of accounts associated with the selected the case and their complete details.

The Account tab has the following sections:

- **Account List:** details the list of accounts associated with the selected case.
- **Account Details:** provides complete information of the selected account.

The following tasks are performed using the Account tab:

- View and analyze the list of accounts that are associated with the case from the date of case creation or which are added to the case during the course of the investigation
- Associate new accounts with the case
- Disassociate or modify existing accounts
- View and analyze complete details of each account
- Designate as an involved party
- Retrieve the latest account details in the Current Information window
- Add, modify, and remove account restriction, contact information, and watch list members associated with the account

- View and analyze investment advisor, risk information, anticipatory profile, and peer groups associated with the account

### **Managing Account List**

The Account List section allows you to view the list of accounts associated with the selected case. This section also allows you to perform the following activities:

- Adding, modifying, and removing accounts. For more information, see the [Managing Business Entity List](#).
- Designating accounts as an involved party. For more information, see the [Designating as Involved Party](#).
- Viewing current information of accounts. For more information, see the [Viewing Current Information](#).

### **Managing Account Details**

This section allows you to view and analyze the complete details of the selected account.

The following topics are covered in this section:

- [Viewing Account Details](#)
- [Managing Account Manager](#)
- [Managing Account Restriction](#)
- [Viewing Investment Advisor](#)
- [Managing Contact Information](#)
- [Viewing Risk Information](#)
- [Managing Risk List Memberships](#)
- [Viewing Anticipatory Profile](#)
- [Viewing Equities](#)
- [Viewing Concentration](#)
- [Viewing Loans](#)
- [Viewing Peer Groups](#)
- [Viewing Summary](#)

### **Viewing Account Details**

This section displays the detailed information of the selected account such as account ID, branch, account type, account open date. You can also modify account details. For more information, see the [Managing Business Entity List](#) section.

### **Managing Account Manager**

This section shows the list of employees who are involved in managing the selected account along with the roles they play. Additional account managers can be associated with the account. Associated account manager's role can be modified.

**Note:** Only those account managers who are part of the case and are available in the Employee tab of the case can be associated to the account. To associate new account managers to the account for the current case, then they should be added to the case through Add action in the list of business entities section of the Employee tab. For more information, see the [Managing Business Entity List](#) section.

---

To add, modify, and remove account manager. See the [Managing Business Entity Records](#) section.

To add new account manager, select the employee ID from the drop-down list and enter the role mapped for the account manager in the Account Manager window.

### **Managing Account Restriction**

The Account Restriction shows restrictions that are applied on accounts associated with the case for the purpose of limiting privileges or activities available to the account holder. For example, a restriction may limit the account holder's ability to trade on margin. This section displays the list of restrictions applied on the selected account. You can add new restrictions and modify or remove the existing restrictions.

To add, modify, and remove restriction. See the [Managing Business Entity Records](#) section.

To add new restrictions, open Account Restriction window. Enter the restriction that is, restriction applied on the account and enter the date from which the restriction is to be applied, and enter the restriction end date (removed date) for this account.

### **Viewing Investment Advisor**

Investment Advisors are those firms or individuals who manage accounts which are associated with the case. This section displays the list of investment advisors associated with the selected account. You can view details such as an investment advisor firm ID, investment advisor firm name, date this investment advisor began to manage this account.

### **Managing Contact Information**

This section displays the list of addresses, phone numbers, and emails associated with the selected account. You can add new contact information and modify or remove the existing contact information.

To add, modify, or remove contact information for the selected account, see the [Managing Business Entity Records](#) section.

### **Viewing Risk Information**

This section displays the value of various risks associated with the selected account such as effective risk, business risk, and geographical risk.

### **Managing Risk List Memberships**

The Risk List Membership shows details of accounts that are associated with the case that appear on one or more watch lists and audits the time frame for which the account appeared on, or was associated with a given watch list.

This section displays the watch lists associated with the selected account. You can map additional watch lists to the account and modify or remove the existing watch lists.

### Adding New Watch Lists

To add new watch lists, follow these steps:

1. Navigate to the Account tab.
2. Select the required Account ID. The Account Records Details section is displayed.
3. Go to the Risk List Memberships section and click **Add**. The Risk List Memberships window is displayed.

**Figure 18. Risk List Memberships**

4. Enter the following information in the respective fields.

**Table 22. Risk List Membership**

Fields	Description
Source	Select the source of the watch list from the drop-down list. For example Private or Public.
Added	Enter the date from calendar. This is the date on which account was associated with the watch list.
Removed	Enter the date from calendar. This is an account was no longer associated with the watch list.
Entry Description	Enter comments for associating this watch list. This is the description of the reason why this entity is on the watch list.

5. Click **Save**. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*
6. Click **OK**.
7. Click **Cancel**. The window closes and navigates you to the refreshed list of Risk List Memberships and the newly added watch list is displayed. Also, corresponding audit entries are recorded on the case.

To modify or remove the existing watch lists records, see the [Managing Business Entity Records](#) section.

### Viewing Anticipatory Profile

The anticipated profile of all accounts that are associated with a case is collected at the time of inception of customer relationship in order to understand the sources of funds and the expected transactions for these entities.

This section displays the following information:

- A summary of transactions for the anticipatory profile associated with the selected account.

- The source of funds and expected transactions for selected account.
- Metric measured by this anticipatory profile record. For example, cash, domestic wire, or traveler's check.
- Country from which it is anticipated that this account is to receive a wire transfer, period of time that this anticipatory profile represents, and so on.

### **Viewing Balance**

This section displays the balance and holdings available on the selected account as on the date of case creation. You can view details such as account net worth, uncollected balance, and overdraft balance.

### **Viewing Equities**

This section displays the following information:

- The equities associated with the selected account.
- Value of all low-priced equity positions
- Total market value of all short equity positions in this account

### **Viewing Concentration**

This section displays the following information:

- Equity security in which the account is most highly concentrated
- Number of shares held in this account in its highest concentration short equity security
- Total market value of all long equity positions in this account, and so on

### **Viewing Loans**

The Loans section displays the loans associated with the selected account such as type of loan, class, and pay period.

### **Viewing Peer Groups**

This section displays the following information:

- A summary of the average monthly transaction activity in account peer groups for accounts associated with the case.
- A specific account peer group profile ID.
- Summaries are displayed on a monthly basis for the five months previous to the date of last transaction performed from the selected account.

If you click the **Account Peer Group ID link** on the summary section, the summary for the last thirteen months displays in a window.

### **Viewing Summary**

This section displays the following information:

- Summary type such as deposits, trades, and disbursement
- A summary of an account's transactions on a monthly basis for the five months previous to the date of last transaction performed from the selected account

## Using Customer Tab

The Customer tab allows you to perform the detailed analysis of customers associated with the case to determine the case resolution.

The following sections are covered in this topic:

- [About Customer Tab](#)
- [Managing Customer List](#)
- [Managing Customer Details](#)

### About Customer Tab

A customer is an entity, it can be an individual or an organization. This tab provides a list of customers associated with the selected the case and their complete details.

The Customer tab has the following sections:

- **Customer List:** details the list of customers associated with the selected case.
- **Customer Details:** furnishes complete information of the selected customer.

The following tasks are performed using Customer tab:

- View and analyze the list of customers who are associated with the case which are added to the case during the course of the investigation
- Associate new customers with the case
- Disassociate or modify existing customers
- View and analyze complete details of each customer
- Designate as an involved party
- Retrieve the latest customer details in the Current Information window
- Add, modify, and remove account, online account, contact information, and anticipatory profile associated with the customer
- View and analyze the risk information and watch lists associated with the customer

### Managing Customer List

The Customer List section allows you to view the list of customers associated with the selected case. You can also perform the following activities:

- Adding, modifying, and removing customers. For more information, see the [Managing Business Entity List](#).
- Designating customers as an involved party. For more information, see the [Designating as Involved Party](#).
- Viewing current information of customers. For more information, see the [Viewing Current Information](#).

## Managing Customer Details

This section allows you to view and analyze the complete details of the selected customer.

The following topics are covered in this section:

- [Viewing Customer Details](#)
- [Managing Customer Account](#)
- [Managing Customer Online Account](#)
- [Managing Customer Contact Information](#)
- [Viewing Customer Risk Information](#)
- [Viewing Customer Risk List Memberships](#)
- [Managing Customer Anticipatory Profile](#)
- [Viewing Summary](#)

### **Viewing Customer Details**

This section displays the detailed information of the selected customer such as customer ID, customer type, occupation. You can modify customer details. For more information, see the [Managing Business Entity List](#) section.

### **Managing Customer Account**

This section displays the list all accounts that are associated with the customer. This provides the details of the accounts - account name, type, account open and closed date. You can associate additional accounts to the customer and modify or remove the existing accounts.

---

**Note:** Only those accounts that are part of the case and are available in the Account tab of the case can be associated to the customer. To associate new accounts to the customer for the current case, then they should be added to the case through Add action in the list of business entities section of the Account tab. For more information, see the [Managing Business Entity List](#) section.

---

To add, modify, and remove accounts. See the [Managing Business Entity Records](#) section.

To add new account, select the account ID and the role customer plays with this account in the Account window.

### **Managing Customer Online Account**

This section displays the list of all online accounts that associated with accounts linked to the case. You can map additional online accounts to the existing accounts associated with the customer and modify or remove the existing online accounts.

#### *Adding New Online Account to the Customer*

To add a new online account, follow these steps:

1. Navigate to the Customer tab.
2. Select required Customer ID. The Customer Details section is displayed.
3. Go to the Online Accounts section and click **Add**. The Online Accounts window is displayed.



**Figure 19. Online Accounts**

4. Enter the following information in the relevant fields.

**Table 23. Online Accounts**

Fields	Description
Online Account ID	Enter the online account ID. This is an on-line account of customers associated with the case who are accessing their internal accounts using the internet or other tele-banking channels.
Online Account User ID	Enter the online account user ID.
Account ID	Select the account ID. <b>Note:</b> Only those accounts that are part of the case and are available in the Account tab of the case can be associated.
Relationship Date	Select the date on which the on-line account and internal account are associated.

5. Click **Save**. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*
6. Click **OK**.
7. Click **Cancel**. The window closes and navigates you to the refreshed list of Customer Online Account and the newly added online account displays. Also, corresponding audit entries are recorded on the case.

To modify or remove existing online accounts in the customer records, see the [Managing Business Entity Records](#) section.

### Managing Customer Contact Information

This section displays the contact information such as address, phone number, and email of the selected customer. You can map additional contact information to the customer and modify or remove the existing contact information.

To add, modify, or remove existing contact information in the customer records, see the [Managing Business Entity Records](#) section.

### Viewing Customer Risk Information

This section displays the value of various risks associated with the selected customer. You can view details such as effective risk, business risk, and geographical risk.

### Viewing Customer Risk List Memberships

This section displays watch lists associated with the selected customer. You can view details such as list name, list type, rating, public or private.

### Managing Customer Anticipatory Profile

The anticipated profile of all customers that are associated with a case is collected at the time of inception of customer relationship in order to understand the sources of funds and the expected transactions for these entities.

This section displays the list all anticipatory profiles associated with the selected customer. You can map additional anticipatory profiles to the customer and modify or remove the existing anticipatory profiles.

#### Adding New Anticipatory Profile to the Customer

To add new anticipatory profile, follow these steps:

1. Navigate to the Customer tab.
2. Select required Customer ID. The Customer Details section is displayed.
3. Go to the Anticipatory Profile section and click **Add**. The Anticipatory Profile window is displayed.

Customer Anticipatory Profile

\* Profile Metric:

\* Debit/Credit:

\* Period Type:

Average Transaction Count:

Average Transaction Amount:

Total Amount:

Source Of Fund:

Country:

Source of Fund Institution ID:

Save Reset Cancel

Figure 20. Customer's Anticipatory Profile

4. Enter the following information in the relevant fields.

**Table 24. Customer Anticipatory Profile**

Fields	Description
Profile Metric	Select the one or more metrics measured by this anticipatory profile record from the multi-selector list. For example, cash, domestic wire, or traveler's check.
Debit/Credit	Select whether this anticipatory profile represents credits to the customer or debits from this customer.
Period Type	Select the period of time from multi-selector list that this anticipatory profile represents. For example, Monthly, Quarterly, or Annually.
Average Transaction Count	Enter the anticipated average transaction count that customer is expected to do.
Average Transaction Amount	Enter the anticipated average transaction amount that customer is expected to do.
Total Amount	Enter the anticipated total amount that customer is expected to receive.
Source of Fund Country	Select the source country from the multi-selector list. This is the country from which the customer is anticipated to receive the fund.
Source of Fund Institution ID	Enter the source financial institution ID. This is the financial institution from which the customer is anticipated to receive the fund.

5. Click **Save**. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*
6. Click **OK**.
7. Click **Cancel**. The window closes and navigates you to the refreshed list of Customer Anticipatory Profile, and the newly added anticipatory profile displays. Also, corresponding audit entries are recorded on the case.

To modify or remove existing anticipatory profiles in the customer records, see the [Managing Business Entity Records](#) section.

### Viewing Summary

This section displays the following information:

- A summary of transactions for the selected customer
- Summary type such as deposits, trades, and disbursement
- A summary of customer's transactions on a monthly basis for the thirteen months previous to the date of last transaction performed from the selected account

### Using External Entity Tab

The following sections are covered in this topic:

- [About External Entity Tab](#)
- [Managing External Entity List](#)
- [Managing External Entity Details](#)

## About External Entity Tab

The External Entity tab allows to perform detailed analysis of external entities associated with the case to determine case resolution. The External Entity tab has the following sections:

- **External Entity List:** details the list of external entities associated with the selected case.
- **External Entity Details:** provides complete information of the selected external entity.

The following tasks are performed using the External Entity tab:

- View and analyze the complete list of external entities associated with the case
- Add, modify, and remove external entities
- Designate as an involved party
- Retrieve the latest external entity details using Current Information window
- View and analyze external entities details, related risks, and associated institutions
- Add, modify, and remove contact information and watch list members

## Managing External Entity List

The External Entity List section allows you to view the list of external entities associated with the selected case. This section displays entity ID or type, entity name, last activity date information for each external entity.

The following activities are performed in this section:

- Adding, modifying, and removing external entities. For more information, see the [Managing Business Entity List](#)
- Designating external entities as an involved party. For more information, see the [Designating as Involved Party](#).
- Viewing current information of external entities. For more information, see the [Viewing Current Information](#).

## Managing External Entity Details

This section allows you to view and analyze the complete details of the selected external entity. You can also add and modify or remove information in contacts and watch lists to update external entity associated case.

The following topics are covered in this section:

- [Managing Contact Information](#)
- [Viewing Risk Information](#)
- [Managing Risk List Memberships](#)
- [Viewing Associated Institution](#)

## Managing Contact Information

This section displays the list of addresses, phone numbers, and emails associated with the selected external entity. You can add new contact information and modify or remove the existing contact information.

To add, modify, or remove contact information for the selected external entity, see the [Managing Business Entity Records](#) section.

### **Viewing Risk Information**

This section displays the value of risk associated with the selected external entity.

### **Managing Risk List Memberships**

This section displays the watch lists associated with the selected external entity. You can map additional watch lists to the external entity and modify or remove the existing watch lists.

#### *Adding New Watch Lists to the External Entity*

To add new watch lists, follow these steps:

1. Navigate to the External Entity tab.
2. Select the required External Entity ID. The External Entity Details section is displayed.
3. Go to the Risk List Memberships section and click **Add**. The Risk List Memberships window is displayed.

For more information, see the [Adding New Watch Lists](#). Additionally, enter the matched name information.

To modify or remove the existing watch lists records, see the [Managing Business Entity Records](#) section.

### **Viewing Associated Institution**

Associated institution may be banks, financial institution, and so on. The Associated Institution section displays a summary of associated institution related to the selected external entity. This section displays details such as bank name and bank ID details.

## **Using Household Tab**

This section describes the concept of Household tab and how to use this.

The following sections are covered in this topic:

- [About Household Tab](#)
- [Managing Household List](#)
- [Managing Household Details](#)

### **About Household Tab**

The Household tab allows you to perform detailed analysis of household associated with the case to determine the case resolution. The Household tab has the following sections:

- **Household List:** details the list of households associated with the selected case.
- **Household Details:** furnishes the complete information of the selected household.

The following tasks are performed using the Household tab:

- View and analyze the list of household associated with the case

- Associate new households with the case
- Disassociate or modify existing household
- View and analyze complete details of each household
- Retrieve the latest households details in Current Information window
- Add and modify account associated with the household

### Managing Household List

The Household List section allows you to view the list of households associated with the selected case. You can also perform the following activities:

- Adding, modifying, and removing households. For more information, see the [Managing Business Entity List](#).
- Viewing current information of households. For more information, see the [Viewing Current Information](#).

### Managing Household Details

This section allows you to view and analyze the complete details of the selected household. You can add and remove accounts related to households.

The following topics are covered in this section:

- [Viewing Household Details](#)
- [Managing Account](#)

### Viewing Household Details

This section displays the detailed information of the selected household. You can view the following information:

- **Balances** - Household net worth, cash/money market fund, and so on.
- **Equities** - Equity market value short, low-priced equity balance, and so on.
- **Concentration** - High concentrated security, short position high concentration security and so on.

You can modify household details. For more information, see the [Managing Business Entity List](#) section.

### Managing Account

This section displays the list of all accounts that are associated with the household. You can associate additional accounts to the household and remove the existing accounts.

---

**Note:** Only those accounts that are part of the case and are available in the Account tab of the case can be associated to the household. To associate new accounts to the household for the current case, then they should be added to the case through Add action in the list of business entities section of the Account tab. For more information, see the [Managing Business Entity List](#) section.

---

To add and remove account. See the [Managing Business Entity Records](#) section.

## Using Employee Tab

The following sections are covered in this topic:

- [About Employee Tab](#)
- [Managing Employees List](#)
- [Managing Employee Details](#)

### About Employee Tab

The Employee are active or inactive workers of a financial institution, they may be contractors and consultants who work for the firm and are associated with the case. For example, traders, and registered representatives. The Employee tab has the following sections:

- **Employee List:** details the list of employee associated with the selected case.
- **Employee Details:** provides complete information of the selected employee.

The following tasks are performed using the Employee tab:

- View and analyze the list of employees who are associated with the case
- Associate new employees with the case
- Disassociate or modify existing employees
- View and analyze complete details of each employee
- Designate as an involved party
- Retrieve the latest employee details in Current Information window
- Add, modify, and remove account and contact information

### Managing Employees List

The Employees List section allows you to view the list of employee associated with the selected case. This section also allows you to perform the following activities:

- Adding, modifying, and removing employee. For more information, see the [Managing Business Entity List](#).
- Designating employee as an Involved Party. For more information, see the [Designating as Involved Party](#).
- Viewing current information of employee. For more information, see the [Viewing Current Information](#).

### Managing Employee Details

This section allows you to view and analyze the complete details of the selected employee. You can add, modify, remove employee details such as Account and Contact Information.

The following topics are covered in this section:

- [Viewing Employee Details](#)
- [Managing Employee Accounts](#)

- [Managing Employee Contact Information](#)

### **Viewing Employee Details**

This section displays the detailed information of the employee such as employee ID, employee name, type. You can modify employee details. For more information, see the [Managing Business Entity List](#) section.

### **Managing Employee Accounts**

This section displays the list all accounts that are associated with the employee. You can associate additional accounts to the employee and modify or remove the existing accounts.

---

**Note:** Only those accounts that are part of the case and are available in the Account tab of the case can be associated to the employee. To associate new accounts to the employee for the current case, then they should be added to the case through Add action in the list of business entities section of the Account tab. For more information, see the [Managing Business Entity List](#) section.

---

To add, modify, and remove account. See the [Managing Business Entity Records](#) section.

To add new account, enter employee managed role or employee owned role in the Account window.

### **Managing Employee Contact Information**

This section displays the list of addresses, phone numbers, and emails associated with the selected employee. You can add new contact information and modify or remove the existing contact information.

To add, modify, or remove contact information for the selected external entity, see the [Managing Business Entity Records](#) section.

## **Using Correspondent Bank Tab**

The following sections are covered in this topic:

- [About Correspondent Bank Tab](#)
- [Managing Correspondent Bank List](#)
- [Managing Correspondent Bank Details](#)

### **About Correspondent Bank Tab**

The Correspondent Bank tab allows to perform detailed analysis of correspondent banks associated with the case to determine case resolution. The Correspondent Bank tab has the following sections:

- **Correspondent Bank List:** details the list of correspondent banks associated with the selected case.
- **Correspondent Bank Details:** provides complete information of the selected correspondent bank.

The following tasks are performed using the Correspondent Bank tab:

- View and analyze the list of correspondent bank that are associated with the case



- Associate new correspondent banks with the case
- Disassociate or modify existing correspondent banks
- View and analyze the complete details of each correspondent bank
- Designate as an involved party
- Retrieve the latest correspondent bank details in Current Information window
- Add, modify, and remove accounts and watch list members associated with the correspondent bank
- View and analyze the risk information and peer groups associated with the correspondent bank

### **Managing Correspondent Bank List**

The Correspondent Bank List section allows you to view the list of correspondent banks associated with the selected case. This section also allows you to perform the following activities:

- Adding, modifying, and removing correspondent banks. For more information, see the [Managing Business Entity List](#).
- Designating correspondent banks as an involved party. For more information, see the [Designating as Involved Party](#).
- Viewing latest information of correspondent banks. For more information, see the [Viewing Current Information](#).

### **Managing Correspondent Bank Details**

This section allows you to view and analyze the complete details of the selected correspondent bank.

The following topics are covered in this section:

- [Viewing Account Details](#)
- [Managing Account](#)
- [Viewing Risk Information](#)
- [Managing Risk List Memberships](#)
- [Viewing Correspondent Bank Peer Groups](#)
- [Viewing Summary](#)

### **Viewing Account Details**

The Accounts section lists all accounts that are held by the selected correspondent bank. This section displays the detailed information of the account such as Account ID, Account Type, and Account Open Date.

### **Managing Account**

You can add additional accounts to the correspondent bank or remove existing accounts.

---

**Note:** While associating a new account to the correspondent bank for the current case, only those accounts that are part of the case and are available in the Account tab of the case can be associated. If accounts to be associated with the correspondent bank are not associated with the case then they should first be added to the case through Add action in the list of business entities section of the Account tab. For more information, see the [Managing Business Entity List](#) section.

---

To add, modify, and remove account. See the [Managing Business Entity Records](#) section.

To add new account, select the account ID from the drop-down list in the Account window.

### **Viewing Risk Information**

This section displays the value of various risk associated with the selected correspondent bank.

### **Managing Risk List Memberships**

This section displays the watch lists associated with the selected correspondent bank. You can map additional watch lists to the correspondent bank and modify or remove the existing watch lists.

To add more watch lists to the correspondent bank, see the [Adding New Watch Lists](#). Additionally, you need enter the matched name information.

To modify or remove the existing watch lists records, see the [Managing Business Entity Records](#) section.

### **Viewing Correspondent Bank Peer Groups**

The Peer Groups section displays a summary of transactional activity for the peer groups associated with the selected correspondent bank. Summaries are displayed on a monthly basis for the five months previous to the date of last transaction performed from the selected correspondent bank. If you click the Correspondent Bank ID link on the summary section, the summary for the last thirteen months displays in a window.

---

**Note:** You cannot add, modify, or remove the Summary information of the Correspondent Bank and its Peer Groups.

---

### **Viewing Summary**

The Summary section displays a summary of transactional activities of the selected correspondent bank. The Summary display on a monthly basis for the thirteen months previous to the date of last transaction performed from the selected correspondent bank.

## **Using Investment Advisor Tab**

The following sections are covered in this topic:

- [About Investment Advisor Tab](#)
- [Viewing Investment Advisor List](#)
- [Viewing Investment Advisor Details](#)

## About Investment Advisor Tab

The Investment Advisor tab allows you to perform comprehensive analysis of Investment Advisors associated with the case. The Investment Advisor tab has the following sections:

- **Investment Advisor List:** details the list of investment advisors associated with the selected case.
- **Investment Advisor Details:** provides complete information of the selected investment advisor.

## Viewing Investment Advisor List

This section allows you to view the list of investment advisors associated with the selected Account.

## Viewing Investment Advisor Details

This section allows you to view and analyze the complete details of the selected investment advisor.

The following topics are covered in this section:

- [Viewing Investment Advisor Details](#)
- [Viewing Investment Advisor Summary](#)

## Viewing Investment Advisor Details

This section displays the detailed information of the investment advisor such as number of sub accounts, assets under management, and investment style.

---

**Note:** You cannot modify details of investment advisors.

---

## Viewing Investment Advisor Summary

The Summary section displays a summary of transactional activities for the selected investment advisor. Summaries are displayed on a monthly basis for the five months previous to the date of last transaction performed by the selected investment advisor.

## Using Financials Tab

This tab is available only for the Fraud case type and based on the user roles.

The following sections are covered in this topic:

- [About Financials Tab](#)
- [Managing Current Loss and Recovery Summary](#)
- [Managing Loss and Recovery](#)

## About Financials Tab

In the course of investigating fraudulent activity, it is necessary to track data pertaining to potential and actual losses (which can result from the activity identified), as well as to track any amounts that may be recovered during the course of the investigation.

The Financials tab has the following sections:

- Current Loss and Recovery Summary
- Potential Loss
- Averted Loss
- Recovery

The following tasks are performed using the Financials tab:

- Edit and remove cost center and (General Ledger) GL account.
- View current loss and recovery summary history
- Add, edit, and remove loss and recovery data
- View loss and recovery history

## Managing Current Loss and Recovery Summary

The following sections are covered in this topic:

- [Viewing Current Loss and Recovery Summary](#)
- [Editing Cost Center and GL Account Details](#)
- [Removing Cost Center and GL Account Details](#)
- [Viewing Current Loss and Recovery Summary History](#)

### ***Viewing Current Loss and Recovery Summary***

The Current Loss and Recovery section provides information for total loss and recovery values and for the Primary General Ledger (GL), Cost Center, and Offset Account information.

By default, Current Loss and Recovery Summary section displays the following information.

**Table 25. Current Loss and Recovery Information Fields**

Field	Description
Total Potential Loss Amount	Represents the total potential financial loss that the institution may experience as a result of the fraudulent activity identified by the alert case. This value is calculated as an aggregate of all active Potential Loss data items for the case.
Total Averted Loss Amount	Represents the total financial loss amounts that the institution may be able to prevent based on actions taken during the course of the investigation into the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Averted Loss data items for the case.
Total Loss Recovery Amount	Represents the total financial losses that have been recovered during the course of the investigation into the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Recovery data items for the case.

**Table 25. Current Loss and Recovery Information Fields (Continued)**

Field (Continued)	Description
Total/Net Loss Amount	Represents the total loss remaining after Averted Loss and Recovery Amounts have been subtracted from the Potential Loss. It is calculated as: Potential Loss – Averted Loss – Recovery Amounts = Total/Net Loss Amount
Primary GL Account	The primary general ledger (GL) account to which the total net loss amount for this investigation should be associated.
Primary Cost Center	The primary cost center to which the total net loss amount for this investigation should be associated.
Offset Account	Offset account associated with loss and recovery financials for this investigation.
Offset Cost Center	Offset account's cost center associated with loss and recovery financials for this investigation.
Charge Off Date	The date on which the loss was charged off.
Last Update Date	The date and time at which loss and recovery data was last updated.
Last Update By	The last user who updated the loss and recovery data.

**Note:** The total loss and recovery summary values are populated with the current information. This page is refreshed when you enter or edit the relevant data in the Loss and Recovery Data Entry section.

### **Editing Cost Center and GL Account Details**

If your user role permits, you can modify cost center and GL account details.

To modify Cost Center and GL account details, follow these steps:

1. Navigate to the Financials tab.
2. Go to the Current Loss and Recovery Summary section. Click **Edit**. The Cost Center and GL Financials Data Entry window is displayed with the current values associated with the Primary GL, Primary Cost Center, and Offset Account and Offset Cost Center and Charge Off Date.
3. Modify the required information in the fields. For more information on the fields, see the [Table 25](#).
4. Click **Save**. The following message is displayed: *You have selected to add or update information related to loss and recovery. Click OK to complete your action or Cancel to return to the screen.* Click **OK**. The Current Loss and Recovery Summary section is displayed with updated information.

### **Removing Cost Center and GL Account Details**

If your user role permits, you can remove information pertaining to Cost Center and GL account. Removed records are considered as inactive and are viewable only in the History window.

**Note:** The action cannot be performed if there is no active Primary GL Account and Cost Center information associated with the investigation.

To remove Cost Center and GL account details, follow these steps:

1. Navigate to the Financials tab.

2. Go to the Current Loss and Recovery Summary section.
3. Click **Remove**. The following message is displayed: *You have selected to remove the Primary GL Account and Cost Center information associated with this investigation. Select OK to continue and save the changes.* Click **OK**. The Current Loss and Recovery Summary section is displayed with updated information.

### **Viewing Current Loss and Recovery Summary History**

If your user role permits, you can view summary of current loss and recovery in History window.

---

**Note:** You can not view details if there is no current or previously entered information.

---

To view summary of current loss and recovery in History window, follow these steps

1. Navigate to the Financials tab.
2. Go to the Current Loss and Recovery Summary section.
3. Click **History**. The Current Loss and Recovery Summary window is displayed. This provides information such as Primary GL account, Primary cost account, and Offset cost center.

### **Managing Loss and Recovery**

The following sections are covered in this topic:

- [Viewing Loss and Recovery Details](#)
- [Adding Loss and Recovery Details](#)
- [Modifying and Removing Loss and Recovery Details](#)
- [Viewing Loss and Recovery History](#)

### **Viewing Loss and Recovery Details**

The Loss and Recovery section displays individual loss and recovery records by type. This section provides complete details of Potential Loss, Averted Loss, and Recovery.

To view Loss and Recovery section details, follow these steps:

1. Navigate to the Financials tab.
2. Go to the Potential Loss, Averted Loss, or Recovery section. The respective section display the following information.

The following provides descriptions of columns for each Loss and Recovery record.

**Table 26. Loss and Recovery Record**

Column	Description	Loss and Recovery Records		
		Potential Loss	Averted Loss	Recovery
Date	Date on which this loss or recovery item was incurred.	X	X	X
Amount	The respective amount of the loss or recovery item. Please note that the system shall consider the currency value entered to be in base currency only	X	X	X
GL Account	The general ledger account to which this individual loss or recovery item is associated.	X	X	X
Cost Center	The cost center to which this individual loss or recovery item is associated.	X	X	X
Loss Payee	The payee identified for the loss amount represented by this record, if one was specified.	X		
Loss Averted Type	Specifies the type of averted loss entry represented by this record, if one was specified.		X	
Entered By	Reflects the User who entered this record.	X	X	X
Entered Date	System date and time on which this record was entered or edited.	X	X	X
Description	Any description comment that was entered with respect to this record.	X	X	X

### Adding Loss and Recovery Details

If your role permits, you can add information pertaining to Potential Loss, Averted Loss, and Recovery details.

To add Loss and Recovery details, follow these steps:

1. Navigate to the Financials tab.
2. Go to the Potential Loss, Averted Loss, or Recovery section.
3. Click **Add**. The Loss and Recovery Data Entry window is displayed.

**Figure 21. Loss and Recovery Data Entry**

4. Enter the following information in the respective fields.

**Table 27. Loss and Recovery Data Entry Fields**

Field	Description
Data Entry Type	Pre-populated as per the data entry type selected (for both add/edit), that is, Potential Loss, Averted Loss, Recovery. This is a non-editable field.
Date	Select date from calendar. The date on which this loss or recovery item was incurred.
Amount	Enter the amount. The respective amount of the loss or recovery record. Note that the system accepts values in base currency only. You must enter the amount in the correct base currency format.
GL Account	Enter the GL account. The general ledger account to which this loss or recovery item is associated. This data item associates this GL account to the current item being entered only and not to the overall case. This field provides you the option to associate a different GL account to an individual item than might be appropriate for the entire case.
Cost Center	Enter the cost center. The cost center to which this loss or recovery item should be associated. This field associates this cost center to the current item being entered only and not the overall case, appropriate for the entire case. It provides you the option to associate a different cost center to an individual item than might be appropriate for the entire case. This drop-down list is populated with available cost centers as defined by your firm. <b>Note:</b> If you require additional values, contact your System Administrator.
Loss Averted Type (if applicable)	Select the loss averted from the drop-down list. The type of averted loss entry represented by this record. The specification of Averted Loss Types is optionally provided by your firm. If no averted loss Types have been defined, then this drop-down will provide no entries for selection.
Loss Payee (if applicable)	Enter the loss payee. The specification of a payee identified for the loss amount represented by this record.
Description	Enter comments. The descriptive comments regarding the current item being entered in the row.

5. Click **Save**. The following message is displayed: *You have selected to add or update information related to loss and recovery. Click OK to complete your action or Cancel to return to the screen.*
6. Click **OK**.
7. Click **Cancel**. The window closes and navigates you to the refreshed list of Loss and Recovery, and the updated records are displayed. Also, corresponding audit entries are recorded on the case.

### **Modifying and Removing Loss and Recovery Details**

If your role permits, you can edit information pertaining to Potential Loss, Averted Loss, and Recovery details.

To modify Loss and Recovery Details, follow these steps:

1. Navigate to the Financials tab.
2. Go to the Potential Loss, Averted Loss, and Recovery section.
3. Select the check box for required record. Click **Edit** or **Remove**.

**Note:** You can edit one record at a time. When editing loss and recovery details, you cannot change the data entry type for the record you are editing.



For more information, see the [Managing Business Entity Records](#) section.

### **Viewing Loss and Recovery History**

If your role permits, you can view Potential or Averted Loss and Recovery history. You can not view these details if there is no current or previously entered information. History button is available in the Potential Loss, Averted Loss, and Recovery sections.

The current versions of all records displayed in the current section and any previously edited versions that may exist of each record. Additionally, the system displays any deleted records and any previous versions of those deleted records. For each line item that has been edited or deleted, the system displays each loss and recovery item in an order reflecting the most current version of the record followed by previous and inactive versions of that record.

For example, if a Potential Loss record was edited to change the loss amount from USD 100 to USD 1000, you can see an active record showing the amount as USD 1000 (along with the date, time and user who made the change) followed by a row displaying the original, now inactive, version of the record showing the originally entered amount of USD 100.

To view Loss and Recovery history, follow these steps:

1. Navigate to the Financials tab.
2. Go to the Potential Loss, Averted loss, and Recovery sections.
3. Select the required record. Click **History**. The Potential or Averted Loss and Recovery History window is displayed. This provides complete details of the current and previously entered information.

## **Using KYC Risk Score Tab**

The following sections are covered in this topic:

- [About KYC Risk Score Tab](#)
- [Managing KYC Event List](#)
- [Managing KYC Event Details](#)

### **About KYC Risk Score Tab**

This tab displays information on the events, which were a reason for creating the case. It displays all events of this case along with the details of how the risk score was calculated, the relationships the customer holds with other parties (internal customers and non-customers). The accelerated re-review rule, which was a reason for KYC Risk Scoring to be performed. This is available only for KYC Case type.

The KYC Risk Score tab has the following sections:

- **KYC Event List:** details the list of KYC events associated with the selected case.
- **KYC Event Details:** provides complete information of the selected KYC event.

The following tasks are performed using the KYC Risk Score tab:

- View and analyze the list of KYC event details associated with the case
- View and analyze the individual KYC events details
- The details of this tab aids the user to decide if there is a need for manual override of the risk score calculated by the system. For more information, see the [Editing Case Context Details](#).

### Managing KYC Event List

The Event list section allows you to view the list of events, which are the basis for the case creation. With respect to KYC, one event of a customer is equated to a case, but if the same customer (of the current event) is being risk scored again, where the current case of the customer is in non-closed status, the new event gets tag to the current case. The system does not create a duplicate case for a customer if he already has a KYC Case in non-closed status. This section provides the details of

- Event code: it is the unique identification for KYC event (not event ID)
- Event Score: it is the KYC risk Score calculated by the system for that specific event
- Event Created Date: the date on which the KYC risk assessment is considered as an event
- Event Category: the category of the risk score as calculated by the system

You can click the checkbox to view an event risk score detail of how the system has calculated the risk score for this event along with the accelerated re-review rules and interested parties.

### Managing KYC Event Details

This section allows you to view and analyze the complete details of the selected KYC Event.

The following topics are covered in this section:

- [Viewing Rule Based Assessment](#)
- [Viewing Algorithm Based Assessment](#)
- [Viewing Accelerated Rule Trigger](#)
- [Viewing Interested Party Details](#)

### Viewing Rule Based Assessment

This section displays maximum score of all the rules matched for the customer assessed through rule based model.

The Rule Based Assessment displays the following information:

**Table 28. Rule Based Assessment**

Field	Description
Rule Name	Displays the Rule the customer has met.
Rule Score	Displays the risk score of the corresponding rule name.
Rule Details	Displays the rule details. For example, country to which the customer belongs.

### Viewing Algorithm Based Assessment

This section displays assessment details assessed through algorithm based approach and includes details such as risk parameter name, risk parameter value, and weighted score.

The Algorithm Based Assessment displays the following information:

**Table 29. Algorithm Based Assessment**

Field	Description
Risk Parameter Name	Displays the Risk Parameter Name.
Weighted Score	Displays the weighted risk score of each risk parameter.
Risk Parameter Value(s)	Displays the value corresponding to each risk parameter and the additional values as defined during the Risk Parameter definition.

### Viewing Accelerated Rule Trigger

This section displays the accelerated review rule which is associated with the primary customer.

### Viewing Interested Party Details

This section displays interested parties of a primary customer if any.

For more information, see [KYC Assessment Guide](#).

## Using Customer Screening Tab

The following sections are covered in this topic:

- [About Customer Screening Tab](#)
- [Managing Customer Screening List](#)
- [Managing Customer Screening Event Details](#)

### About Customer Screening Tab

This tab displays information pertaining to Customer Screening events. This tab is available only for the Customer Screening cases.

The Customer Screening tab has the following sections:

- **Customer Screening Event List:** details the list of Customer Screening Events associated with the selected case.
- **Customer Screening Event Details:** provides complete information of the selected Customer Screening event.

The following tasks are performed using the Customer Screening tab:

- View and analyze the list of Customer Screening event details associated with the case

- View and analyze the individual Customer Screening events details such as matches list, customer and watchlist details
- Determine whether the selected Customer Screening event is true or false

### **Managing Customer Screening List**

- [About Customer Screening Event List](#)
- [Deciding Customer Screening Event as True or False](#)

#### ***About Customer Screening Event List***

The Customer Screening Event List section allows you to view the list of Customer Screening events associated with the selected case. This section also allows you to perform the following activities:

- View the list of customer screening events and navigate to Customer Screening Event details to perform further analysis.
- Based on the analysis, you can determine whether the event is true or false.

#### ***Deciding Customer Screening Event as True or False***

To decide Customer Screening Event as True positive or True positive, follow these steps:

1. Navigate to the Customer Screening tab.
2. Select the required Customer Screening Event ID. Perform the complete analysis on the selected Event. For more information, see the [Managing Customer Screening Event Details](#).
3. Select the whether the event is True positive or True positive from the drop-down list. The confirmation message is displayed.

### **Managing Customer Screening Event Details**

This section allows you to view and analyze the complete details of the selected Customer Screening Event.

The following topics are covered in this section:

- [Viewing Matches List](#)
- [Viewing Customer and Watchlist Details](#)

#### ***Viewing Matches List***

This section displays the list of watchlist matches associated with the selected event. This provides details of Customer ID, Watchlist ID, Watchlist Primary Name, Match score, and Match Description.

#### ***Viewing Customer and Watchlist Details***

This section has the following sub sections:

- **Watchlist Details:** displays the complete details of the watchlist details pertaining to selected event. For example, risk score, priority score, profile link.
- **Customer Details:** displays the complete details of the customer details pertaining to selected event in Customer details, Accounts, Addresses, and All tabs.

- Customer Details: displays basic information about customer
- Accounts: displays the list of accounts information of customer
- Addresses: displays the addresses of customer
- All: displays Basic, Accounts, and Addresses information details in tree structure

## Using Transaction Tab

The following sections are covered in this topic:

- [About Transaction Tab](#)
- [Adding New Transactions](#)
- [Managing Transactions](#)

### About Transaction Tab

The Transaction tab allows you to perform comprehensive analysis of transactions associated with the case.

The following tasks are performed using the Transaction tab:

- View and analyze the list of back office, cash, funds transfer, monetary instrument transactions associated with the case
- Associate new transactions with the case
- Disassociate or modify existing transactions
- View and analyze the list and individual transactions details

### Adding New Transactions

To add new transactions to the case, follow these steps:

1. Navigate to the Case Summary page.
2. Click **Transaction** tab. The Transaction page is displayed.
3. Click **Add**. The Add New Transaction window is displayed.

For more information on adding transactions, see the [Managing Business Entity List](#) section.

### Managing Transactions

The following sections are covered in this topic:

- [Viewing Transaction List Details](#)
- [Viewing Individual Transaction Details](#)
- [Modifying and Removing Transactions](#)

### **Viewing Transaction List Details**

To view transaction list details, follow these steps:

1. Navigate to the Transaction tab.
2. Go to the required Transaction section (Funds Transfer, Monetary Instrument Transaction, or Back Office Transaction) and click **Details**. The selected transaction window is displayed with number of transaction type associated with the case along with details.

### **Viewing Individual Transaction Details**

To view individual transaction details, follow these steps:

1. Navigate to the Transaction tab.
2. Go to the required Transaction section (Funds Transfer, Monetary Instrument Transaction, or Back Office Transaction).
3. Select any one transaction from the list and click **Details** link. The select transaction window is displayed with the complete information.

### **Modifying and Removing Transactions**

To modify or remove the existing transactions, follow these steps:

1. Navigate to the Transaction tab.
2. Go to the required transaction type section. For example, Funds Transfer, MI Transaction, Cash Transaction, and Back Office Transaction. The list of transactions is displayed.
3. Select the required transaction. Click **Edit**. The Edit Transaction window is displayed.

For more information, see the [Managing Business Entity Records](#) section.

Or,

Select the required transaction. Click **Delete**.

For more information, see the [Managing Business Entity Records](#) section.

## **Managing Business Entity List**

The following sections are covered in this topic:

- [About Business Entity List](#)
- [Adding an Entity](#)
- [Modifying an Entity](#)
- [Removing an Entity](#)
- [Designating as Involved Party](#)
- [Viewing Current Information](#)

## About Business Entity List

This section describes how to manage business entity list in the business tabs such as Account, Customer, Employee, Household, External Entity, Financials, and Correspondent Bank tabs.

The Business tabs allow you to perform following actions:

- View the complete list of entity associated with the case.
- Add new or existing entities to the case.
- Modify or remove an existing entity.
- Designate Account, Customer, External Entity, Corresponded Bank, and Employee entities as an involved party.
- View currently updated information.

## Adding an Entity

During the course of investigation of a case, you can add an entity or entities to a case to reflect the relationship of the entities with the case.

You can add a new business entity in the following ways:

- [Adding a New Entity Manually](#)
- [Adding an Existing Entity](#)

### **Adding a New Entity Manually**

To add a new entity manually, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go to the business entity list section and click **Add**. The Add entity window is displayed.  
**Note:** By default, the **Search Existing Entities** radio button option is selected.
3. Select **Add Entity Manually** radio button option. The Add entity window is displayed.

---

**Note:** This is sample Add entity window. This window and respective fields change based on the entity you select. For example, Customer, Account, and Employee.

---

○ Search Existing Entities ● Add Entity Manually

Customer ID : \*

Customer Organization Name :

Middle Name :

Tax ID Format :

Date of Birth :

Jurisdiction : \*

Primary Citizenship :

Legal Structure :

Added on :

Estimated Network :

Estimated Liquid Network :

Credit Rating : \*

Credit Score :

Employee :

Employer : \*

Occupation :

Business Risk :

Geo Risk :

Customer Status : \*

Customer Type :

First Name :

Last Name :

Tax ID :

Marital Status :

Domain : \*

Secondary Citizenship :

Residence :

Citizenship Status :

Estimated Annual Income :

Source of Wealth : \*

Credit Rating Source :

Assets Outside of US :

Works for FI :

Broker/Dealer :

Effective Risk : \*

List Risk :

KYC Risk :

Figure 22. Adding a New Entity Manually

4. Enter details in the fields.

To view the field level description to add a new entity, see [Account](#), [Customer](#), [Household](#), [External Entity](#), [Correspondent Bank](#), [Employee](#), [Transaction](#), [Involved Party](#) for more information.

**Note:** The fields marked with \* (Asterisk) are mandatory.

5. Click **Save**. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*

6. Click **OK**. The following message is displayed: *Add operation is successful.*

7. Click **OK**.

**Note:** The Application saves the new data and associates it to the current case. The window is not closed and allows you to add more entities until you click the **Cancel** button.

The window closes and navigates you to the refreshed list of business entities section, and the newly added records display. Also, corresponding audit entries are recorded on the case.



## Adding an Existing Entity

To add a new entity to a case, you can search for entities from the existing entities and then add them to the current case. This section includes the following topics:

- [Adding a New Entity from Existing Case Entities](#)
- [Adding a New Entity from Existing Business Entities](#)

### Adding a New Entity from Existing Case Entities

These existing entities are part of other cases. You can search these entities and add them to the current case.

To add a new entity from existing case entities, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business data tab or operational data tab.
2. Go to the business entity list section and click **Add**. The Add entity window is displayed. By default, the **Search Case Entities** radio button is selected.

**Note:** This is sample Add entity window. This window and respective fields change based on the entity you select. For example, Customer, Account, and Employee.

The screenshot shows a window titled "Add Entity" with two radio buttons at the top: "Search Existing Entities" (selected) and "Add Entity Manually". On the right side, there are "Search" and "Reset" buttons. Below these are two input fields: "Customer ID:" and "Or Customer Name:". To the right of these is a "Customer Type:" dropdown menu. Below the dropdown are two radio buttons: "Search Case Entities" (selected) and "Search Current Business Entities". At the bottom left, there is a "Customer List" section with an "Add to Case" button.

**Figure 23. Adding a New Entity from Existing Case Entities**

3. Enter the required search criteria. see the [Search Criteria for Adding Existing Entities](#) to know about the search conditions that are applicable while search existing entities.

**Note:** **ID** and **Name** fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.

4. Click **Search**. The relevant search lists is displayed.
5. Go to the Lists section, select the required entity and click **Add to Case**. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*
6. Click **OK**. The following message is displayed: *Add operation is successful.*
7. Click **OK**.

**Note:** System saves the new data and associates it to the current case. The window is not closed and allows you to add more entities until you click the **Cancel** button.

The window closes and navigates you to the refreshed list of business entities section, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

#### *Adding a New Entity from Existing Business Entities*

These existing business entities are not part of other cases. You can search these entities and add them to the current case.

To add a new entity from the existing business entities, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go to the business entity list section and click **Add**. The Add entity window is displayed. By default, the **Search Case Entities** radio button is selected.
3. Select the **Search Current Business Entities** radio button option from the Search Existing Entities.
4. Enter the required search criteria. See the [Search Criteria for Adding Existing Entities](#) to know about the search conditions that are applicable while search existing entities.

---

**Note:** **ID** and **Name** fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.

---

5. Click **Search**. The relevant search lists is displayed.
6. Go to the Lists section, select the required entity and click **Add to Case**. The following message is displayed: *You have selected to add a new record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Add operation is successful.*
8. Click **OK**.

**Note:** System saves the new data and associates it to the current case. The window is not closed and allows you to add more entities until you click the **Cancel** button.

The window closes and navigates you to the refreshed list of business entities section, and the newly added data displays. Also, corresponding audit entries are recorded on the case.

#### **Modifying an Entity**

This section explains how to modify information pertaining to an existing entity in the current case.

To modify an entity, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go the entity section and select the required entity and click **Edit**. The Edit window is displayed.
3. Modify the necessary information in the required fields.
4. Click **Save**. The following message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
5. Click **OK**. The following message is displayed: *Update operation is successful.*

6. Click **OK**. The window closes and navigates you to the refreshed list of business entities section, and the modified data is displayed. Also, corresponding audit entries are recorded on the case.

## Removing an Entity

To remove an entity, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go the entity section and select the required entity and click **Remove**. The following message is displayed:  
*Please Confirm to delete. Click OK to continue and save changes.*
3. Click **OK**. The window closes and navigates you to the refreshed list of business entities section.

## Designating as Involved Party

The Involved Party Detail details about an entity that is associated with a case investigation in some capacity. Entities are primarily involved in a case investigation as a witness, suspect, victim, or other.

Entity List section allows you to designate business entity as an involved party for being a witness, suspect, victim, or other. You can designate - Account, Customer, Employee, Corresponded Bank, and External Entity as an involved party. You can also designate selected entity as involved party from Involved Party tab. For more information, see the [Using Involved Party Tab](#).

To designate an entity as an involved party, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go to the entity list section and select the required entity and click **Designating as Involved Party**. The Designating as Involved Party window is displayed.

**Figure 24. Designating as Involved Party**

3. Enter the following information in the respective fields.

**Table 30. Designating as Involved Party**

Fields	Description
Select Relationship Type	Select the relationship from the drop-down list. The available options are: Other, Suspect, Victim, or Witness.
Add Comment	Add you relevant comment.

4. Click **Save**. The following message is displayed: *The selected business entity data is being transferred to the involved party record. Please wait for a few moments until data transfer is complete to undertake any further action.*

5. Click **OK**. The information is updated.

The selected entity information is transferred to the involved party record. The designated entities are available in the Involved Party tab for the selected case as linked involved parties.

### Viewing Current Information

The Current Information window allows you to view the latest information pertaining to the selected entity in a nutshell. This gives you an option to review the case quickly and take appropriate action. This option is available for Account, Customer, Employee, Corresponded Bank, Household, and External Entity tabs.

To view current information of an entity, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Select the required entity and click **View Current Information**. The Entity details window is displayed with complete information on the selected entity.

### Managing Business Entity Records

The following topics are covered in this section:

- [About Business Entity Records](#)
- [Adding New Business Record](#)
- [Modifying Business Record](#)
- [Removing Business Record](#)

#### About Business Entity Records

- Business entity information assist you to analyze granular level of case details
- Provides individual level information of an entity
- These information are displayed below the entity list
- Associate more new records to an entity
- Modify or remove existing records associated with an entity

#### Adding New Business Record

This section explains how to add additional information to an entity associated with the current case.

To add a business information, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Select an entity from the List. The selected entity details are displayed with different sections.
3. Go to the respective sections and click **Add**. An Add window is displayed.

4. Enter the information in the respective fields.
5. Click **Save**. The following message is displayed: *You have selected to add new record. Click OK to continue and save changes.*
6. Click **OK**.

The new information is saved and associate it to the current entity. You can continue to add more information to the current entity.

7. Click **Cancel**. The window closes and navigates to the refreshed list of business entities section, and the newly added information is displayed. Corresponding audit entries are recorded on the case.

### Modifying Business Record

This section explains how to modify an existing information of an entity.

To modify existing business information, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Select an entity from the List. The selected entity details are displayed in various sections.
3. Go to the respective sections and select the required record to modify.
4. Click **Edit**. An Edit window is displayed.
5. Modify the information in the respective fields.
6. Click **Save**. The following message is displayed: *You have selected to modify the record. Click OK to continue and save changes.*
7. Click **OK**.

The modified information is saved. The window closes and navigates to the refreshed list of business entities section. The modified information displays for the edited record. Corresponding audit entries are recorded on the case.

### Removing Business Record

This section explains how to remove information from an entity. The removed information and any supplemental information associated with that business entity are removed from all supplemental section. For example, removing an Account from a case removes that account's account balance information, account summary information, and so forth.

To remove existing business information, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Select an entity from the List. The selected entity details are displayed with various sections.
3. Go to the respective section and select the required information to remove.
4. Click **Remove**. The following message is displayed: *Please confirm to delete. Click OK to continue and save changes.*

At any point of time, if you do not want to perform the selected action, click **Cancel** on the pop-up or on the pre-save confirmation message and to abort the action.

The selected record(s) are deleted from the entity. The list of business entities section refreshes. Corresponding audit entries are recorded for the case.

Adding, editing, and removing information from a case does not affect that record as it exists on other cases. It is also possible to add, edit, remove information in supplemental section that display additional information. This information is specific to a business entity selected in the primary section list on the business tab. This supplemental information displays upon selection of an entity in the primary section list and then navigating to the respective section.

The following topics are covered in this chapter:

- [About Case Action](#)
- [Using Take Action Window](#)
- [Assigning Case](#)
- [Adding Evidence](#)

## About Case Action

During analysis of a case, you can take various actions, such as setting due date to a case, assigning a case to the user, and adding evidence to a case to document the analysis and resolution of the case.

- Actions are performed individually and along with other actions. Multiple actions are taken simultaneously. For example, you can simultaneously assign an case, add comments to the case, add attachment to the case, and e-mail the case details.
- Actions are displayed based on the case type, case status, and the user role.
- Some actions represent definitive progress in analysis and therefore can update the status of the case.
- The actions available when a user selects more than one case shall be determined by the intersection of actions available for each of the cases.
- Recommend actions enable you to propose the closing of a case, but requires authorized users to look at that case before it can actually be closed. This is applicable if you have configured Four-eyes approval.

### Note:

- If the selected case is locked, that is, another user has currently accessed the same case, the following message is displayed: *All selected case records are locked by another user. Please try again later.*
- If another user locks all selected cases, the following message is displayed: *All selected case records are locked by another user. Please try again later.*
- If some but not all of the selected cases are locked, the following message is displayed: *One or more cases are locked by another user. Click **OK** to continue performing actions for cases, which are not locked.*
- If you fail to select at least one check box and click on any action button, the following message is displayed: *You have not selected any case(s). Please select one or more cases.*

## Using Take Action Window

The Take Action window allows to take various actions on case or cases. For example, Reopen a case, Set due dates, Email, and Resolution of the case. Add Evidence and Assign are available in the Take Action window, Case List, and Case Summary page.

---

**Note:** To perform non-status changing actions on a closed case, a status changing action must be selected.

---

To take actions on multiple cases, use Case List page.

The following sections are covered in this topic:

- [Accessing Take Action Window](#)
- [Reopening Cases](#)
- [Setting Due Date](#)
- [Taking Resolution Action](#)
- [Assigning Cases](#)
- [Emailing Cases](#)
- [Adding Evidence](#)

## Accessing Take Action Window

The Actions in the Take Actions window are displayed based on the case type, case status, and the user role for the selected case.

To take action on multiple cases, follow these steps:

1. Navigate to Case List page. Select one or more cases using check boxes.
2. Click **Take Action**. The Take Actions window is displayed.

Or,

To take action on a case, follow these steps:

1. Navigate to Case Summary page.
2. Click **Take Action**. The Take Actions window is displayed.



**Figure 25. Taking Action**

## Reopening Cases

If your role permits you can reopen closed cases for further investigation. If you take this action, the status of the case changes to Reopen.

To reopen a case, follow these steps:

1. Navigate to Take Action window.
2. Select **Reopen**.
3. Enter comments. For more information, see the [Adding Evidence](#) section.

---

**Note:** If you do not enter comments to reopen the case, the following warning message is displayed: *You are attempting to save but are missing some mandatory values. Please provide values in Comments.* Attaching documents is optional.

---

4. *Optional:* assign user or group of users or set case owner, see the [Taking Resolution Action](#), for more information.
5. *Optional:* set due date for this case, for more information, see the [Setting Due Date](#).
6. Click **Save**. The following message is displayed: *Case action executed successfully.*

The application records the action, changes the case status to Reopened, updates the case information, and navigates you to the refreshed Case List page or Case Summary page based on from where you took the action.

## Setting Due Date

This section explains how to set a due date or clear existing due date on cases.

- Set due date action sets deadline to complete the action.
- Clear due date action clears the existing due date.
- Due Date actions are performed individually or with other action.
- If the action is configured with default due dates, then that default date is applied to the case when those actions are taken.

To set due date or clear due date, follow these steps:

1. Navigate to Take Action window.
- Or,
2. Navigate to Case List page. Click **Case ID** link. The Case Summary page is displayed.
  3. Click **Take Action Window**. The Take Action Window is displayed.
  4. To set the due date, select **Set Due Date** check box. The Calendar field is displayed. Select the due date.  
Or, to clear the existing due date, select **Clear Due Date** check box.
  5. Enter comments. For more information, see the [Adding Evidence](#) section.

---

**Note:** If you do not enter comments, the following warning message is displayed: *You are attempting to save but are missing some mandatory values. Please provide values in Comments.* Attaching documents is optional.

---

6. *Optional:* assign user or group of users or set case owner, see the [Taking Resolution Action](#), for more information.
7. Click **Save**. The application records the action, updates the case information, and navigates you to the refreshed Case List page or Case Summary page based on from where you took the action.

**Note:**

- If you select cases in the Case List page with Closed status and try to set the due date, the following message is displayed: *One or more of the selected cases are in a closed status. To save this action(s) select at least one status-changing action.*
- In the Case Summary page, if the case is in the closed status and try to set the due date, the following message is displayed: *The case is in a closed status. To save this action(s) select at least one status-changing action.*

## Taking Resolution Action

This section explains how to take resolution action on the selected case or cases. Supervisor approval provides a dual control or approval process that requires an authorized user (for example, a Supervisor) to approve actions of other users, prior to those actions taking full effect on the case (for example, closing the case). This process also enables users of specified roles to acknowledge approved or rejected changes proposed and to annotate an acknowledgement with comments.

Recommending a Case for resolution - if you are an Analyst user and perform the resolution action on a non-closed case, the case moves to the Recommend Closure status, where you need to assign to a supervisor for approval. The

supervisor can approve or reject the recommendation. If approved, the case is closed and if rejected, the case is pushed back to the old status without closing. If you are a Supervisor user and perform the resolution action on a non-closed case, the case is directly closed without requiring additional approval.

---

**Note:** When a Resolution action is performed and the case is moved to the Closed status, the existing due date of the case is cleared by the system.

---

To take resolution action, follow these steps:

1. Navigate to Take Action window.
2. Go to Resolution section.
3. Select *No SAR Filed- Closed* or *Close and generate SAR*.
4. Enter comments. For more information, see the [Adding Evidence](#) section.

---

**Note:** If you do not enter comments, the following warning message is displayed: *You are attempting to save but are missing some mandatory values. Please provide values in Comments.* Attaching documents is optional.

---

5. *Optional:* assign user or group of users or set case owner, for more information see the [Taking Resolution Action](#).
6. *Optional:* set due date for the case, for more information, see the [Setting Due Date](#).
7. Click **Save**. The application records the action, updates the case information, and navigates you to the refreshed Case List page or Case Summary page based on from where you took the action.

For more information on the Compliance Regulatory Reporting (CRR) documents, see the [CRR Documentation Library](#).

## Assigning Cases

Using Take Action window you can assign case or cases. For more information, see the [Assigning Case](#).

## Emailing Cases

This section explains how to email case attachments or details in the form of a Hyper Text Markup Language (HTML) files to multiple recipients.

To email a case, follow these steps:

1. Navigate to Take Action window.
2. Go to Email section. Select any one of the following options:
  - Email Case Details
  - Email Case Details with Response Request
  - Email with Response Request
  - Send Email

The Email related fields are displayed.

**Figure 26. Email a Case**

3. Enter the following information in the fields:

**Table 31. Email a Case**

Fields	Descriptions
Selected Cases	Displays the selected cases.
From	Displays the user's email address.
To	Enter the email address or addresses of the recipients. <b>Note:</b> For multiple addresses, separate each address with a semi-colon but without any spaces.
Subject	Displays the subject regarding the case that you want to email.
Body	Enter additional information regarding the case that you want to email.

4. *Optional:* enter comments. For more information, see the [Adding Evidence](#) section.
5. *Optional:* assign different user or group of users or set different case owner, for more information, see [Taking Resolution Action](#).
6. Set due date for the case, for more information, see the [Setting Due Date](#).
7. Click **Save**. The system sends the email, records the action, updates the case information, and navigates you to the refreshed Case List page or Case Summary page based on from where you took the action.

**Note:**

- If you select cases in the Case List page with Closed status and try to perform any email action, the following message is displayed: *One or more of the selected cases are in a closed status. To save this action(s) select at least one status-changing action.*
- In the Case Summary page, if the case is in the closed status and try to perform any email action, the following message is displayed: *The case is in a closed status. To save this action(s) select at least one status-changing action.*
- If you have selected two cases for an email action, you will receive two separate emails for respective cases

## Adding Evidence

Using Take Action window you can add comments and attach required documents. For more information, see the [Adding Evidence](#).

## Assigning Case

Assign action can be performed in Case List and in the Take Action window.

This section describes how to assign case or reassign ownership to different users or user groups.

- If a case's initial analysis reveals an issue that should be reviewed by another user, reassign such cases to the most appropriate user or group of users.
- It is also possible to retain ownership of a case while assigning it to another user to handle part of the investigation.
- The list of a user or group of users available based on user role and case type.
- Auto Assignment option enables to automatically assign a owner or case assignee for a case through pre-defined rules.
- **Case Owner:** this user is defaulted to a user or user group on creation and user can modify the same during the case investigation. The ownership means, the user is responsible for the case investigation.
- **Case Assignee:** this user is responsible for investigation and resolution of cases. For example, User A is the owner of the case-1 and User B is assignee of the case, then any action that has been taken on the case will have assignee as the user taking the action and audited.

To set case assignee or case owner, follow these steps:

1. Navigate to Case List page. Select one or more cases using check boxes.

---

**Note:** If you select cases in the Case List page with Closed status and try to set Case Assignee or set Case Owner, the following message is displayed: *This action cannot be performed as one or more of the selected cases are in a closed status.*

---

Or,

2. Navigate to Case List page. Click **Case ID** link. The Case Summary page is displayed.

---

**Note:** If the select case is in Closed status, the Assign button is not displayed

---

3. Click **Assign**. The Take Action window is displayed.
  4. Select **Auto Assignment**, **Set Case Assignee**, or **Set Case Owner** by marking the check box.
- 

**Note:** Auto Assignment option is mutually exclusive to the Set Case Assignee and Set Case Owner option.

---

**Note:** Auto Assignment option enables you to automatically assign a owner for a case through pre-defined rules. The pre-defined rules are set under Case Assigner Editor on the parameters such as Case Type, Status and so on. For more information, see [Administration Guide](#).

---

5. Select the a user or group of users to whom the case is to be assigned as Owner from the drop-down list. Or, select the a a user or group of users to whom the case is to be assigned as Case Assignee from the drop-down list.
- 

**Note:** The list of a user or group of users available in the Set Case Assignee and Set Case Owner drop-down list are based on access privileges to the case type or cases on which the action is being taken and the eligibility to own a case.

---

6. Enter comments. For more information, see the [Adding Evidence](#) section.
- 

**Note:** If you do not enter comments, the following warning message is displayed: *You are attempting to save but are missing some mandatory values. Please provide values in Comments.* Attaching documents is optional.

---

7. *Optional:* set the due date, for more information, see the [Setting Due Date](#).
  8. *Optional:* attach any related documents, for more information, see the [Adding Evidence](#).
  9. Click **Save**. The application records the action, updates the case information, and navigates you to the refreshed Case List page or Case Summary page based on from where you took the action.
- 

**Note:** Set Case Assignee action does not change the ownership of the case, where as, the Set Case Owner action changes the ownership of the case.

---

**Note:** If assigning actions are performed through Take Action window, the following validations are applied

- If you select cases in the Case List page with Closed status and try to perform assignment actions, the following message is displayed: *One or more of the selected cases are in a closed status. To save this action(s) select at least one status-changing action.*
  - In the Case Summary page, if the case is in the closed status and try to perform assignment actions, the following message is displayed: *The case is in a closed status. To save this action(s) select at least one status-changing action.*
-

## **Adding Evidence**

This section guides you how to add comments and attachments to the case or cases.

- Evidence are added to a case from the Take Action window, Case List page, and Case Summary page.
- Evidence are comments and attachments, they provide more insight on the case investigation.
- Add comments or attachments to the selected cases, exclusive of any other actions or as a part of any other action.
- Adding comments and attachments to the case does not change the status of the case. The comment action is reflected in the audit of a case.
- Attachments are removed from the case. This does not change the status of the case
- If any other non-status changing actions are taken along with evidence actions, then the evidence actions are audited with higher order actions. In case, any status changing action is taken along with non-status changing actions in addition to evidence action then the evidence actions are audited with status changing action.

To add comments and attachment to multiple cases, follow these steps:

1. Navigate to Case List page. Select one or more cases using check boxes.

---

**Note:** If you select cases with Closed status and try to add evidence, the following message is displayed: *This action cannot be performed as one of the selected cases is in a closed status*

---

2. Click **Add Evidence** or **Take Action**. The Add Evidence Window is displayed.

Or,

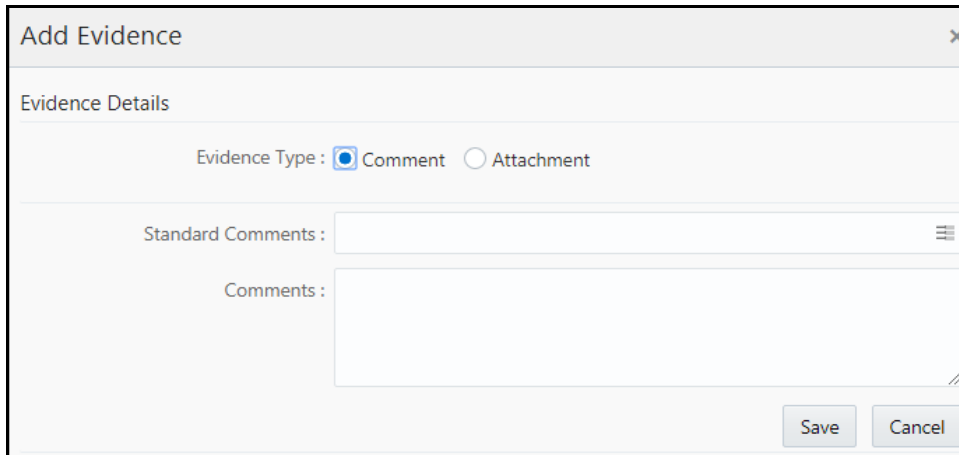
---

**Note:** If the select case is in Closed status, the Add Evidence button is not displayed.

---

To add comments and attachment to a selected case, follow these steps:

1. Navigate to Case List page. Click **Case ID** link. The Case Summary page is displayed.
2. Click **Add Evidence** or **Take Action**. The Add Evidence Window is displayed.



The screenshot shows a dialog box titled "Add Evidence" with a close button (X) in the top right corner. Below the title bar is a section labeled "Evidence Details". Inside this section, there are two radio buttons for "Evidence Type": "Comment" (which is selected with a blue dot) and "Attachment". Below the radio buttons, there is a "Standard Comments" field, which is a multi-select list box. Underneath that is a larger "Comments" text area. At the bottom right of the dialog box, there are two buttons: "Save" and "Cancel".

**Figure 27. Add Comments**

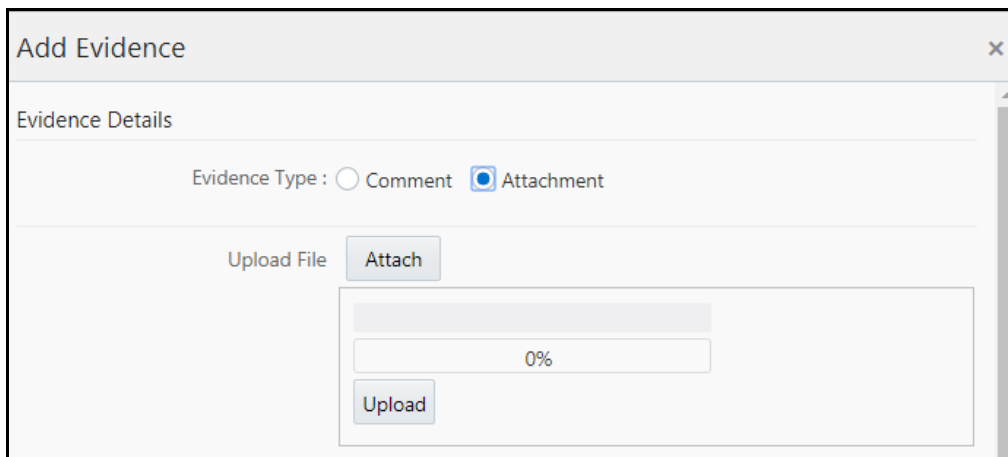
3. Select the Evidence Type **Comments** or **Attachment**. By default Comments Evidence Type is selected.
4. Select standard comments from the Standard Comments multi-select option. Or, enter your own comments in the text box.

---

**Note:** The standard comments are based on the current case type. You can select as many comments from the Standard Comments selection box as appropriate.

---

5. Or, to attach documents, select **Attachment** in Evidence Type. The Attachment details are displayed.



The screenshot shows the same "Add Evidence" dialog box, but now the "Attachment" radio button is selected. Below the "Evidence Type" section, there is an "Upload File" label next to an "Attach" button. Below the "Attach" button is a file selection area that includes a progress bar showing "0%" and an "Upload" button.

**Figure 28. Add Attachment**

6. Click **Attach**. Select documents from the source and click **Upload File**. The size of attachment and percentage of attachment progress is displayed.
7. Enter comments in the Attach Comments box.
8. Click **Save**. The system records the action, updates the case information, and displays the added comments and attachments in the Comments and Attachment section of the Evidence tab.

**Note:** If evidence actions are performed through Take Action window, the following validations are applied.



- If you select cases in the Case List page with Closed status and try to perform evidence actions, the following message is displayed: *One or more of the selected cases are in a closed status. To save this action(s) select at least one status-changing action.*
- In the Case Summary page, if the case is in the closed status and try to perform evidence actions, the following message is displayed: *The case is in a closed status. To save this action(s) select at least one status-changing action.*



This chapter explains the concept, users, and step-by-step instructions to create cases manually.

---

**Note:** Manual case creation for KYC is not supported.

---

The following topics are covered in this chapter:

- [About Case Creation](#)
- [Accessing Create Case Page](#)
  
- [Accessing Create Case Page](#)
- [Creating a New Case](#)

## About Case Creation

- Cases are created for investigating business entities involved in potentially suspicious event.
- If there is a need for investigation on an entity for which there are no open cases, then you can create case manually and proceed with the investigation. This section explains how to create a new case.
- Only privileged users can create a case.
- Cases are created by users by entering new case information manually.
- Case types are displayed based on the logged in user.
- Cases are created based on the case type. For example, AML Surveillance and Fraud Account.
- Fields are displayed based on the case type selected.
- Case type attributes (fields) are configured in the Case Designer by the Administrator. For more information, see the [Administration and Configuration Guide](#).

## Accessing Create Case Page

This section explains how to access Create Case page.

To access Create Case page, follow these steps:

1. Navigate to the Enterprise Case Investigation page, see the [Chapter 2, Getting Started](#), for more information on how to navigate to the Enterprise Case Investigation page.
2. Select the **Create Case**. The Create Case page is displayed.

## Creating a New Case

If there is a need for investigation on an entity for which there are no open cases, then you can create case manually and proceed with the investigation. This section explains how to create a new case.

To create a new case, follow these steps:

1. Navigate to the Create Case page.
2. Select the case type from the Type (AML Surveillance, Fraud Account, and so on) drop-down list. Based on the Case Type selected, the Create New Case page is displayed with the relevant fields.

**Note:** Only those Case Types which are mapped to you are available in the drop-down list.

The screenshot shows the 'Create New Case' form with the following fields and values:

- Type: AML\_DD
- Title: (empty)
- Jurisdiction: (empty)
- Due: mm/dd/yyyy
- Assignee: (empty)
- Description: (empty)
- Business Domain: (empty)
- Priority: (empty)
- Owner: (empty)
- Auto Assignment:

Buttons: Save, Reset

**Figure 29. Create New Case**

3. Enter the following information in the respective fields.

**Note:** The fields marked with \* (Asterisk) are mandatory.

**Table 32. New Case Creation Fields**

Fields	Descriptions
Title	Enter a unique title for the case.
Jurisdiction	Select a business jurisdiction from the drop-down list to be assigned to the case. <b>Note:</b> Only those Jurisdictions which are mapped to you are available in the drop-down list.
Business Domain	Select one or more business domain to be assigned to the case. <b>Note:</b> Only those business domain which are mapped to you are available in the drop-down list.
Priority	Select the priority of the case from the drop-down list. The following are the options available: <ul style="list-style-type: none"> <li>● High</li> <li>● Medium</li> <li>● Low</li> </ul>
Due	Select the date from the calendar to set a due date for resolution. <b>Note:</b> If due date is not provided, the default due date is set by the system.

Fields	Descriptions
Auto Assignment	Select this check box to automate the assignment of ownership of the new case.  <b>Note:</b> When you select this check box, the Owner and Assignee fields are disabled. The system automatically assigns the case owner defined in <i>Case Assigner Editor</i> under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the case. For more information, see the <a href="#">Administration and Configuration Guide</a> . This field is enabled for all case types.
Owner	Select the user from the drop-down list to assign as the owner of the case.
Assignee	Select the user from the drop-down list to assign for investigating and taking actions on the case. <b>Note:</b> The assignee can be different than the owner of the case or can be the same user.
Risk Score	Select the customer's risk score generated for this case. This field is enabled for the FATCA case type.
Description	Enter the details to describe the case.

4. Click **Save**. A case ID is generated and the following message is displayed: *Click OK to continue to the Case Summary for your newly created case. Click Cancel to remain within the Create case workflow.*
5. Click **OK** if you want to navigate to the case summary page of the created case or click **Cancel** if you want to remain in the new case creation page for further addition of cases.



This appendix explains the common features of OFS ECM application. It describes the concept and provides step-by-step instructions for navigating through the application.

This appendix covers the following topics:

- [Common Screen Elements](#)
- [Navigation](#)
- [Navigation](#)
- [Exporting Case](#)

## ***Common Screen Elements***

The following section describes the common screen elements in the ECM UI:

- [Masthead](#)
- [Buttons](#)
- [Field Types](#)
- [Column Sort Options](#)
- [Links](#)
- [Business and Operational Data Tabs](#)
- [Pagination](#)

Common screen elements consistently perform the same type of function in the same way when they display in the UI.

- **Section header:** serve as labels and never change
- **Buttons:** enable you to get help or complete a task
- **Tool tips:** offer an explanation for a specific item
- **Fields:** operate as variables that allow you to type entries (text boxes) and make selections (drop-down lists).

### **Masthead**

The masthead displays at the top of the page and contains the following components:

- Hamburger menu enables you to select the option that you want to work on ECM UI (search or create a case)
- Session Information with session user name and language.

## Buttons

Buttons on the ECM UI enable you to perform tasks such as executing and canceling actions, or commands. Click a button to complete the desired task.

The following are two kinds of button:

- [Task Button](#)
- [Action Buttons](#)

### Task Button

Task buttons display throughout ECM and include the following:

- **Save:** records actions and navigates you to the appropriate page and displays the updated case information accordingly.
- **Reset:** displays on those actionable sections of the UI which display some pre-populated data. It discards the data entered by you and resets the contents to their original state.
- **Cancel:** displays on all the actionable sections of the UI and cancels the action you intend to take and closes the action window.
- **Add:** displays in some Business tabs, Financials tab, and in the Evidence tab. It provides you with a window to add a new piece of information.
- **Edit:** displays in some Business tabs, Financials, Narrative, and Evidence tabs. It provides you with a window to edit the existing piece of information you have chosen to edit.
- **Remove:** displays in some Business tabs. It also display in the Financials tab. It helps you delete information that you think is not relevant.
- **History:** displays in the Financials, Narrative, and Involved Party tabs. It provides you with a detailed account of previous activities on the selected record.
- **Details** button displays the complete details of the selected entity record in a window.
- **Search** button displays in all the Case Search bars and performs the search function.
- **Case List** button displays in the Priority Case List on the landing page. It helps you navigate to the Search & List page.
- **Designate as Involved Party** button displays in some Business tabs. It allows to designate business entity as involved party in a window.
- **View Current Information** button displays in some Business tabs. It allows to view the current information of the business entity in a separate window.
- **Print:** allows you to print the summary page that you are on.
- **Export:** displays in Case List and Case Summary pages. It enables you to export case details in Excel and CSV format.

### Action Buttons

The Action buttons display in the Search and List page and/or in the Case Summary page. Each of these buttons provides you with an action window for taking actions in the category these buttons are representative of. These include buttons for each action category:



- **Assign** - For more information, see the section [Taking Resolution Action](#).
- **Add Evidence** - For more information, see the section [Adding Evidence](#).
- **Take Action** - For more information, see the section [Reopening Cases](#).

## Help Button

A Help button is in the form of a question mark, displays to the extreme right of the bread crumbs. Click **Help** while working in the ECM to get the following:

- More detailed information about the page
- Explanations of the screen elements
- How to perform instructions on a task that you want to perform

## Radio Button

A round button used to select one of a group of mutually exclusive options.

## Save Preference Button

This button is available on the right corner of the Case List page. Click **Save Preference**, once you complete the required preference setting in the page.

## Clear Preference Button

This button is available on the right corner of the Case List page. Click **Clear Preference**, clear the preference setting in the page.

## Calendar Button

A **Calendar** button displays when you have the option of selecting a date. For example, you can specify a date range to search for closed cases. If you click **Calendar** icon, a calendar of the current month displays and highlights the current date.

To use the Calendar window to select dates, follow these steps:


1. Select a date. The application automatically enters the selected date in the date field.
2. Click the arrows at the top of the Calendar window to view other months or years.
3. Click the **Close** link to close the calendar without selecting a date.

## Expand/Collapse


You can view the complete information in a section, matrix, and field by using various expand or collapse options. This section covers the following topics:

- [Section Expand Icon](#)
- [Section Collapse Icon](#)
- [Column Expand](#)
- [Column Collapse](#)

### **Section Expand Icon**

If you want to expand a section on a page, you can click the  button displayed at the top left corner of the section. This expands the section and all sub-sections and fields in the section are visible.

### **Section Collapse Icon**

If you want to collapse a section, which is already expanded, you can click the  button displayed at the top left corner of the section. This collapses the section and all sub-sections and fields in the section are hidden.

### **Column Expand**

When you cannot view the complete information displayed in the columns of a section, then keep the cursor on the column line and simply drag towards the right side till you view the complete information.

### **Column Collapse**

When values displayed in the columns of a section are expanded and you want to reduce the size of a column, then keep the cursor on the column line and simply drag towards the left side till you arrange the size of a column according to your requirement.

## **Field Types**

The following sections describe field types.

- [Text Area](#)
- [Text Box](#)
- [Wildcard Text Box](#)
- [Context-Sensitive Text Box](#)
- [Drop-down List](#)
- [Selection Box](#)
- [Check Box](#)
- [Check All/Uncheck All Check box](#)

### **Text Area**

A multi-line rectangular box in which you can type text, such as case comments. If the box already contains text, you can select the default text or delete it and type new text. You may type as many characters in this box as desired.

### **Text Box**

A single-line rectangular box in which you can type text. If the box already contains text, you can select the default text or delete it and type new text. Some text boxes limit the number of characters that you can use. If so, the text box shows the maximum number of characters you can enter.

### Wildcard Text Box

The ECM permits the use of wildcards in specific text boxes. If you do not know information to type into the text box field, you can type a wildcard character for the missing part of the information. The ECM recognizes the percent sign (%) and underscore (\_) as wildcard characters. You can use the wildcard character at the beginning, end, and anywhere within a string.

The more specific you are when using the wildcard character, the fewer extraneous matches ECM returns. For example, if you specify a last name of Sm%, ECM may return 100 matches, but if you specify a last name of Smit%, the ECM may return only 17 matches.

### Context-Sensitive Text Box

The ECM permits the use of context-sensitive input in specific text boxes. If you want to perform a search on multiple values, you can enter a string of comma-separated values in the case ID field. The ECM recognizes the values as individual values.

### Drop-down List

A list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selection.

### Selection Box

A list from which you can choose multiple items by selecting them.

### Check Box

A square box that displays beside an item or option. Select the check box once to place a check mark in the box. Select the check box again to clear it.

### Check All/Uncheck All Check box

You can select all the records or deselect all preselected records using the check box provided at the header of the check box column of all section.

A check on the header check box selects all records in the section. An uncheck on the header check box deselects all the selected records in the matrix.

### Column Sort Options

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the list sections are sortable.

ECM supports right-click options on columns within the List header that allows you to specify the sorting options such as Sort Ascending, Sort Descending, and Column.

The Columns option allows you to choose the fields that you want to display in the List section thereby allowing you view additional columns that are not displayed by default. You can also change the width of the column by modifying the width or you can select the Auto Fit option. Click **Save Preference** on Column saves the selected settings for the current session and for future logins.

### Reordering Columns

You can reorder the columns by selecting the column header and repositioning them manually.

## ToolTips

A window ToolTip displays when you position the mouse cursor over an abbreviated field, usually indicated by an ellipsis, or a column label in the ECM UI. A Tooltip displays and provides the definition or other pertinent information for the abbreviated field or column label.

## Navigation


The following sections describe the navigation features that you can use to navigate within ECM.

The following sections are covered in this topic:

- [Hamburger Menu](#)
- [Links](#)
- [Search Bars](#)
- [Page Context Controls](#)
- [Business and Operational Data Tabs](#)
- [Pagination](#)

Navigation features enable you to move easily between pages in the UI to view, analyze, or research cases while working in ECM.

### Hamburger Menu

This menu allows you to navigate in the application. This is available on the top of the Home page . Click this icon to select - Create Case or Search Case option.

### Links

Links display as hypertext on the page when clicked, takes you to other pages within the ECM UI or expand in the same page.

### Search Bars

The search bar allows you to specify values with which to filter your data. Search bars for a specific page are described in the chapter where that page's use is explained.

### Page Context Controls

Page context controls (also called bread crumbs) show your location in ECM. It allows you to navigate back to previous page.

## Business and Operational Data Tabs

Business and Operational Data tabs help the case investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

### Business Data tab

Depending on the type of a case that you are eligible to view, you may have access to these business tabs. Business data tab pages display detailed information about a business entity. Depending on the type of business entity being displayed (for example, Account, Customer), the content of the tab is different and specific to that type of entity.

### Operational Data tab

These tabs are available for all users (for example, Audit, Narrative, Correlation). Operational data tabs display detailed information about the selected case.

## Pagination

Pagination refers to the mechanism on the page that enables you to move through multiple pages of information (cases, business data and so forth).

You can move forward and backward through the pages one at a time by clicking the back arrow to the left of the Page text box (unless you are on page #1) or the forward arrow to the right of the total number of pages (unless you are on the last page).

To navigate to different pages of the search results in List page, you can use the **Page** option. Enter a number in the text box and press Enter in the keyboard to navigate to the respective page.

## Exporting Case

For all roles, ECM enables you to export data in Excel and CSV formats where you can then review and edit the data as necessary. The Excel function exports all records available on the list.

This Export functionality is available as follows within the Enterprise Case Management UI:

- **Case List** page: displays in the Case List section
- **Correlation** tab: displays in the Source Correlation section
- **Involved Party** tab: displays in the Involved Party List section
- **Transaction** tab: displays in the Backoffice Transaction, Cash Transactions, Funds Transfer, Monetary Instrument Transaction sections
- **Relationship** tab: displays in the Related Cases, Related Events sections
- **Audit History** tab: displays in the Audit History List section
- **Financials** tab: displays in each of Potential Loss, Averted Loss, and Recovered Loss sections

## **Exporting**

To export a case list or case details, follow these steps:

1. Navigate to any one of the above mentioned sections. Click the **Export** icon.
2. Select Excel or CSV from the drop-down list.
3. The selected file is downloaded in your system.
4. Open the file and view the details.

This appendix covers the following sections:

- [Search Criteria for Adding Existing Entities](#)
- [Field Details for Adding Business Entities Manually](#)
- [Network Analysis Tab](#)

## ***Search Criteria for Adding Existing Entities***

The following business tabs are covered in this section:

- Account
- Customer
- Household
- Correspondent Bank
- Employee
- External Entity
- Transaction
- Involved Party

The following tables describes Account, Customer, Household, Correspondent Bank, Employee, and External Entity search criteria for adding business entities using Search Existing Entities option:

**Table 33. Search Conditions for Adding New Business Entities using Search Existing Entities**

<b>Business Data Tab</b>	<b>ID</b>	<b>Condition</b>	<b>Name</b>
Account	Account ID	OR	Account Name
Customer	Customer ID	OR	Customer Name AND Customer Type
Household	Household Group ID	OR	Household Group Name
Correspondent Bank	Ins tn ID, Ins tn ID Type	OR	Ins tn Name
Employee	Employee ID	OR	Employee Name
External Entity	Entity ID, Entity Type	OR	Entity Name

The following tables describes the search criteria applicable while adding a new business entity using the Search Existing Entities option for Transaction tab.

**Table 34. Fields in the Transaction Search section**

<b>Fields</b>	<b>Description</b>
Transaction type	Select the transaction type from the drop-down list: <ul style="list-style-type: none"> <li>● Back Office Transaction</li> <li>● Cash Transaction</li> <li>● Monetary Instrument Transaction</li> <li>● Funds Transfer</li> </ul>
Transaction Date>=	Select the transaction date from the calendar.
Transaction date<=	Select the transaction date from the calendar.
Party ID	Enter the Party ID
Party Name	Enter the Party Name
Party Type	Select the party type from the drop-down list. For example, Beneficiary, Clearing Institution, and Conductor.
Transaction ID	Enter the Transaction ID.

The following tables describes the search criteria applicable while adding a new business entity using the Search Existing Involved Parties.

**Table 35. Fields in the Involved Party Search section**

<b>Fields</b>	<b>Description</b>
Party Name	Enter party name
Party ID	Enter party unique identification number.
Tax ID	Enter tax unique identification number.
Birth Date	Enter date of birth of party.
ID Type	Select the ID type from the drop-down list.
ID Issuing Authority	Enter issuing authority unique identification number.
Occupation	Enter the occupation.
Contact Information	Enter the contact information- address, phone number, country code.
Relationship Years	Select the years of relationship
Relationship Months	Select the months of relationship
Description	Enter the description.



## Field Details for Adding Business Entities Manually

This section covers the details of each fields and their description for adding entities manually.

The following entities are covered in this section:

- [Account](#)
- [Customer](#)
- [Household](#)
- [External Entity](#)
- [Correspondent Bank](#)
- [Employee](#)
- [Transaction](#)
- [Involved Party](#)

### Account

The following tables provides fields and description for adding Account manually:

**Table 36. Account**

Fields	Description
Account ID	Enter the unique identification of a account.
Account name	Enter the account name.
Account Type 1	Specify the account type 1 classification for the usage of this account.
Account Type 2	Specify the account type 2 classification for the usage of this account.
Registration Type	Enter the registration type. This is client-specified form of legal ownership for the account (for example, joint tenant, individual, custodial, or corporate).
Owner Type	Select the owner type from the drop-down list.
Tax ID Format	Select the Tax ID Format from the drop-down list. This is tax identification number format associated with this account.
Tax ID	Enter the tax ID. This is tax identification number associated with this account.
Firm ID	Enter the firm ID. This is firm identification number associated with this account.
Tax Withhold Code	Select the tax withhold code from the drop-down list. This is indicator of whether the Oracle client is to withhold taxes on this account's earnings from redemptions that result in payments to the customer.
Jurisdiction	Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this account.
Domain	Select the domain from the drop-down list. This is the domain associated with this account.
Household Group ID	Select the household group ID from the drop-down list. This is household to which this account is assigned.
Legal Entity	Enter the legal entity ID. This is Oracle client's legal entity responsible for oversight of this account.
Open Date	Enter the account open date using calendar. This is date on which the account was opened.
Status	Enter the account status. This is status of this account (for example, active, inactive, or closed).

**Table 36. Account**

Fields	Description
Status Effective	Enter the account status effective date using calendar. This is date on which the this account status became effective.
Branch	Enter the branch code. This is organization where this account is domiciled.
Business Unit	Enter the Business unit code to which this account belongs.
Discretion Flag	Select whether the discretion flag is yes or no from the drop-down list.
Last Activity	Enter the last activity date using calendar. This is date of the last trading or transaction activity in this account.
Prime Broker	Enter whether this account is affiliated with a prime broker.
Mantas Account Purpose Code	Select the mantas account purpose from the drop-down list. This is the purpose or special use of this account.
Mantas Bus Type Cd	Select the Mantas Business Account Type from the drop-down list. This is functional area in which this account is used.
Effective Risk	Select the effective risk. This is the level of risk associated with this account.
KYC Risk	Select the KYC risk. This is the effective risk of this account's KYC.
Customer Risk	Select the customer risk. This is the effective risk of this account's primary customer.
List Risk	Select the list risk. This is the level of risk associated with this account on the watch list record that established the account effective risk.
Business Risk	Select the business risk. This is level of risk associated with the general business characteristics of this account as determined by the Oracle client.
Geography Risk	Select the geography risk. This is the level of risk associated with the geographic characteristics of this account as determined by the Oracle client. Firms have used account addresses and customer information (for example, citizenship) to determine the level of risk.

## Customer

The following tables provides fields and description for adding Customer manually:

**Table 37. Customer**

Fields	Description
Customer ID	Enter the unique identification of a customer.
Customer Type	Select the customer type from the drop-down list (Financial Institution, Individual or Other Organization).
Customer Organization Name	Enter the name of the customer organization. <b>Note:</b> This field is enabled only if you select Financial Institution or Other Organization in customer type.
First Name	Enter the first name of the customer. <b>Note:</b> This field is enabled only if you select <i>Individual</i> in customer type.
Middle Name	Enter the middle name of the customer. <b>Note:</b> This field is enabled only if you select <i>Individual</i> in customer type.
Last Name	Enter the last name of the customer. <b>Note:</b> This field is enabled only if you select <i>Individual</i> in customer type.
Tax ID Format	Select the Tax ID Format from the drop-down list. This is to specify whether the customer tax identifier is a Social Security Number (SSN) or another type of identifier.

**Table 37. Customer**

Fields	Description
Tax ID	Enter the tax ID. This is tax identification number associated with this customer.
Date of Birth	Enter the customer date of birth using calendar. This is date on which this customer was born.
Marital Status	Select the marital status of the customer. <b>Note:</b> This field is enabled only if you select <i>Individual</i> in customer type.
Jurisdiction	Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this customer.
Domain	Select the domain from the drop-down list. This is the domain associated with this customer.
Primary Citizenship	Select the primary citizenship status of this customer from the drop-down list.
Secondary Citizenship	Select the primary citizenship status of this customer from the drop-down list.
Legal Structure	Enter the legal structure of the customer. For example, Corporation, Single Proprietorships, or Joint Proprietorships.
Residence	Enter the customer's country of residence (that is, the country component of the address of the residence associated with this customer).
Added on	Enter the date when the customer was added.
Citizenship Status	Enter the primary citizenship status of customer.
Estimated Net Worth	Select the customer's estimated net worth, expressed in base currency.
Estimated Annual Income	Select the customer's estimated annual income, expressed in base currency.
Estimated Liquid Net Worth	Select the customer's estimated liquid net worth, expressed in base currency.
Source of Wealth	Enter the source of wealth of customer.
Credit Rating	Enter the rating for customer based on credit rating source.
Credit Rating Source	Enter the source associated with the credit rating assigned to customer.
Credit Score	Enter the actual score for customer's credit rating based on credit rating source.
Assets Outside of U.S	Select whether the customer has assets outside the country from the drop-down list.
Employee	Select whether the customer is an employee of the Oracle client from the drop-down list.
Work for F.I	Select whether the customer works for financial institution from the drop-down list.
Employer	Enter the name of customer's employer.
Broker/Dealer	Select whether the customer's broker/dealer from the drop-down list.
Occupation	Enter the occupation of customer.
Effective Risk	Select the effective risk. This is the level of risk associated with this customer.
KYC Risk	Select the KYC risk. This is the effective risk of this customer's KYC.
List Risk	Select the list risk. This is the level of risk associated with this customer on the watch list record that established the customer effective risk.
Business Risk	Select the business risk. This is level of risk associated with the general business characteristics of this customer as determined by the Oracle client.
Geography Risk	Select the geography risk. This is the level of risk associated with the geographic characteristics of this customer as determined by the Oracle client.
Customer Status	Select whether the customer is an active, inactive, or pending from the drop-down list.

## Household

The following tables provides fields and description for adding Household manually:

**Table 38. Household**

<b>Fields</b>	<b>Description</b>
Household Group ID	Enter the household group ID.
Household Group Name	Enter the household Group name.
Jurisdiction	Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this household.
Domain	Select the domain from the drop-down list. This is the domain associated with this household.

## External Entity

The following tables provides fields and description for adding External Entity manually:

**Table 39. External Entity**

<b>Fields</b>	<b>Description</b>
Entity	Enter the name of the external entity.
Entity Type	Select the external entity type from the drop-down list.
Last Activity	Select the last activity date of this external entity from the calendar.
Risk Rating	Select the level of risk associated with the external entity from the drop-down list
Jurisdiction	Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this external entity.
Domain	Select the domain from the drop-down list. This is the domain associated with this external entity.
Institution	Select the institution from the drop-down list. This is the institution associated with this external entity.
Institutional Name	Enter the institution name. This is the institution to which this external entity is associated.
Institution ID	Enter the institution ID.

## Correspondent Bank

The following tables provides fields and description for adding Correspondent Bank manually:

**Table 40. Correspondent Bank**

<b>Fields</b>	<b>Description</b>
Institution ID	Enter the unique identification of the institution. This is the institution associated with this case.
Institutional Name	Enter the institution name. This is the institution to which this case is associated.
Institution	Enter the institution ID.
Institution Type	Select the institution type from the drop-down list.

**Table 40. Correspondent Bank**

<b>Fields</b>	<b>Description</b>
Business Unit	Enter the business unit code to which this correspondent bank belongs.
Account Manager	Enter the name of account manager who is responsible for this correspondent bank.
Effective Risk	Select the level of risk associated with this correspondent bank as determined in large part by membership on one or more Watch Lists.
Jurisdiction	Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this correspondent bank.
Domain	Select the domain from the drop-down list. This is the domain associated with this correspondent bank.
Address, Country, Postal Code,	Enter the complete address details of the correspondent bank.

## Employee

The following tables provides fields and description for adding Employee manually:

**Table 41. Employee**

<b>Fields</b>	<b>Description</b>
Employee ID	Enter the unique identification of an employee.
Name	Enter the name of the employee.
Title	Enter the job title for this employee.
Role	Select the role for employee who are traders or registered representatives, this is the employment role or title (for example, floor trader or branch manager).
Employee Type	Select the type of employee (for example, employee or contractor).
Part Time/Full Time	Select whether the employment is full time or part t
Tax ID Format	Select the Tax ID format from the drop-down list. This is to specify whether the employee tax identifier is a Social Security Number (SSN) or another type.
Tax ID	Enter the tax ID. This is employee's tax identification number (for example, SSN).
Company	Enter the name of the company for which this employee or contractor works. For employees, this field has differing values only in the case when multiple legal entities compose the Oracle client.
Cost Center	Select the cost center to which this employee is assigned.
Jurisdiction	Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this employee.
Domain	Select the domain from the drop-down list. This is the domain associated with this employee.
Supervisory Organization ID	Enter the unique identification of the organization that is responsible for monitoring the activities of this employee.
Supervisor ID	Enter the unique identification of the supervisor associated with this employee.
Line Organization ID	Enter the unique identification of the primary line organization to which this employee is assigned.
Line Organization Name	Enter the name of the primary line organization to which this employee is assigned
Office Location	Enter the employee's work location.
Office	Enter the office name to which this employee is assigned.

**Table 41. Employee**

Fields	Description
Status	Select the employment status (for example, active or inactive) of this employee from the drop-down list.
Status Date	Enter the date from the calendar. This is the date on which the employee's status was last changed.
Central Registration Depository ID	Enter the unique identification of the central registration depository associated with this employee.
Hire Date	Enter the date on which this employee was hired.

## Transaction

The following tables provides fields and description for adding Transaction manually:

**Table 42. Transaction**

Fields	Description
Select Transaction Type	Select the type of transaction (for example, funds transfer, back office transaction, cash transaction, and monetary instrument transaction).
<b>Note:</b> The following fields displayed based on the selection of transaction type.	
<b>Transaction Type-Back Office Transaction</b>	
Date	Enter the date on which this transaction was conducted.
Time	Enter the time on which this transaction was conducted.
Account ID	Enter the principal account unique identification number at the Oracle client in which this transaction was conducted.
Account Risk	Select the level of risk associated with this account.
Offset Account ID	Enter the principal offset account unique identification number at the Oracle client in which this transaction was conducted.
Offset Account Risk	Select the level of risk associated with this offset account.
Security ID	Enter the unique identification number of security involved in this transaction.
Quantity	Select the total number of units (for example, shares or contracts) of the specified security being transferred via this transaction.
Debit/Credit	Select whether assets are being transferred into (credit) or out of (debit) this account by this transaction.
Base Amount	Select the monetary value in base currency of the funds transferred via this transaction denominated in the base currency.
Type 1	This is the first highest categorization level of transaction.
Type 2	Enter the second highest categorization level transaction.
Type 3	Enter the third highest categorization level transaction
Type 4	Enter the fourth highest categorization level transaction
Transaction Reference ID	Enter the transaction Reference unique identification number.
Overall Risk	Select the level of overall risk associated with this transaction.
Description	Enter the comments pertaining to this transaction.

**Table 42. Transaction**

Fields	Description
<b>Transaction Type- Cash Transaction</b>	
Date	Enter the date on which this transaction was conducted.
Base Amount	Enter the base amount.
Type 1	This is the first highest categorization level of transaction.
Type 2	Enter the second highest categorization level transaction.
Type 3	Enter the third highest categorization level transaction.
Type 4	Enter the fourth highest categorization level transaction.
Debit/Credit	Select whether assets are being transferred into (credit) or out of (debit) this account by this transaction.
Account ID	Enter the principal account unique identification number at the Oracle client in which this transaction was conducted.
Account Risk	Select the level of risk associated with this account.
Location ID	Enter the unique identification number of the location where this transaction was conducted (for example, ATM terminal)
Location Name	Enter the name of the location where this transaction was conducted (for example, merchant name).
Transaction Reference ID	Enter the transaction reference unique identification number.
<b>Transaction Type-Monetary Instrument Transaction</b>	
Transaction Reference ID	Enter the transaction reference unique identification number.
Issue Date	Enter the date of issue for a specific transaction.
Deposit Date	Enter the date of deposit for a specific transaction.
Clearing Date	Enter the date of clearing for a specific transaction.
3P/PT	Select whether this is a third party transaction.
Post Date	Date of posting for a specific transaction
Type 1	This is the first highest categorization level of transaction.
Type 2	Enter the second highest categorization level transaction.
Type 3	Enter the third highest categorization level transaction.
Type 4	Enter the fourth highest categorization level transaction.
Serial/Check	Select the serial or check value.
Base Amount	Select the monetary value in base currency of the funds transferred via this transaction denominated in the base currency.
Remitter Name	Enter the remitter's name involved in this transaction.
Remitter Acct ID	Enter the unique identification of remitter's account involved in this transaction.
Remitter Risk	Select the level of risk associated with the remitter.
Beneficiary Name	Enter the beneficiary name involved in this transaction.
Beneficiary Account ID	Enter the unique identification of beneficiary account involved in this transaction.
Beneficiary Risk	Select the level of risk associated with the beneficiary.
Comments	Enter the comments on this transaction.

**Table 42. Transaction**

<b>Fields</b>	<b>Description</b>
Issuing FI ID	Enter the unique identification of issuing Financial Institution involved in this transaction.
Instrument	Enter the name of the instrument.
Clearing FI	Enter the name of the instrument clearing Financial Institution.
Clearing FI ID	Enter the unique identification of clearing Financial Institution involved in this transaction.
Depositing FI	Enter the name of the instrument depositing Financial Institution.
Depositing FI ID:	Enter the unique identification of depositing Financial Institution involved in this transaction
<b>Transaction Type-Funds Transfer</b>	
Transaction Reference ID	Enter the transaction reference unique identification number.
Date	Enter the date of fund transfer.
Type 1	This is the first highest categorization level of transaction.
Type 2	Enter the second highest categorization level transaction.
Type 3	Enter the third highest categorization level transaction.
Type 4	Enter the fourth highest categorization level transaction.
Base Amount	Select the monetary value in base currency of the funds transferred via this transaction denominated in the base currency.
3P/PT	Select whether this is a third party transaction.
Originator Name	Enter the originator name involved in this transaction.
Originator Acct ID	Enter the unique identification of originator account involved in this transaction.
Originator Risk	Select the level of risk associated with the originator.
Beneficiary Name	Enter the beneficiary name involved in this transaction.
Beneficiary Account ID	Enter the unique identification of beneficiary account involved in this transaction.
Beneficiary Risk	Select the level of risk associated with the beneficiary.
Sending FI ID	Enter the unique identification of sending Financial Institution involved in this transaction.
Send FI	Enter the name of the sending Financial Institution.
Receiving FI	Enter the name of the receiving clearing Financial Institution.
Receiving FI ID	Enter the unique identification of receiving Financial Institution involved in this transaction.

## Involved Party

The following tables provides fields and description for adding Involved Party manually:

**Table 43. Involved Party**

<b>Fields</b>	<b>Description</b>
Name	Enter the first, middle, and last name.
Party ID	Enter the unique identification number of the party.
ID Type	Select the ID type of the party (for example, account and customer)
Relationship to Case	Select the relationship of the involved party from the drop-down list (Suspect, Victim, and so on)
ID Issuing Authority	Enter the unique identification number of the issuing authority.



**Table 43. Involved Party**

<b>Fields</b>	<b>Description</b>
Birth Date	Enter the of the involved party.
Home Phone	Enter the phone number of the involved party.
Tax Format	Select the tax format from the drop-down list.
Tax ID	Enter the tax ID. This is involved party's tax identification number (for example, SSN).
Work Phone	Enter the phone number of the involved party.
Address	Enter the complete address.
Domain	Select the domain from the drop-down list. This is the domain associated with this involved party.
Relationship Years and months	Select the relationship years and months from the drop-down list
Description	Enter the description.

## Network Analysis Tab

This section covers the following topics:

- [Include Link Types](#)
- [Known Relationships](#)
- [Shared Attributes](#)

### Include Link Types

The Link Types List contains all the valid links, or relationship types, that are identified between two nodes (entities) in the Network Graph. The links are created based on Shared Activity and Known Relationship between two nodes.

The following link types are displayed:

**Table 44. Link Types**

Link Type	Type of Relationship	Description
Account to Customer	Known Relationship	This relationship is used to create a link between account (node) and a customer (node) identified from the starting node.
Account to Household	Known Relationship	This relationship is used to create a link between account (node) and a customer (node) identified from the starting node.
Account to Correspondent Banks	Known Relationship	This relationship is used to create a link between account (node) and a customer (node) identified from the starting node.
Account to Employee	Known Relationship	This relationship is used to create a link between account (node) and a customer (node) identified from the starting node.
Customer to Customer	Known Relationship	This relationship is used to create a link between customer(node) and a customer(node) identified from the starting node.
Wire Transaction	Shared Activity	This is used to create a link between two accounts (nodes) or link between account and external entity or link between two external entities which share a common wire transaction between them.
Monetary Instruments Transaction	Shared Activity	This is used to create a link between accounts (nodes) which share a common MI transaction between them.
Journal Transaction	Shared Activity	This is used to create a link between accounts (nodes) which share a common Journal Transactions.
Insurance Transaction	Shared Activity	This is used to create a link between two accounts (nodes) or between account and an external entity which share a common Insurance Transactions.

Selecting a Link Type displays links of the selected type in the graph. For example, the Account to Household link type will ever discover accounts or household nodes.

Some of the Link Type and Starting Entity combinations may result in no results being returned. For example selecting only a Household entity in the Entity Name list and selecting Wire Transaction in the Include Link Types

list will return no nodes other than the starting Household entity. This is because transactions do not focus upon household entities. The following table provides the Valid Link Types for each node.

**Table 45. Valid Entity-Link Types**

Starting Entity	Valid Link Types
Household (HH)	Account to Household
Account (AC)	<ul style="list-style-type: none"> <li>● Account to Correspondent Bank</li> <li>● Account to Customer</li> <li>● Account to Household</li> <li>● Account to Employee</li> <li>● Journal Transaction</li> <li>● MI Transaction</li> <li>● Wire Transaction</li> <li>● Insurance Transaction</li> </ul>
Employee (EE)	Employee to Account
Customer (CU)	<ul style="list-style-type: none"> <li>● Account to Customer</li> <li>● Customer to Customer</li> </ul>
Correspondent Bank (CB)	Account to Correspondent Bank
External Entity (EN)	<ul style="list-style-type: none"> <li>● MI Transaction</li> <li>● Wire Transaction</li> <li>● Insurance Transaction</li> </ul>

The system uses this information to find the most recent information determine known relationships and shared attributes.

## Known Relationships

Known relationships are determined based on the criteria described in the following table:

**Table 46. Known Relationship Identification**

Start Entity	Link Type	Relationship Identified
Account (AC)	Account to Customer	Account to Customer
	Account to Household	Account to Account Group
	Account to Employee	Account Owned by Employee
	Account to Correspondent Bank	Account to Client Bank
Customer (CU)	Account to Customer	Account to Customer
	Customer to Customer	Related Customer to Customer
		Customer to Related Customer
Correspondent Bank (CB)	Account to Correspondent Bank	Account to Client Bank
Employee (EE)	Account to Employee	Account Owned by Employee
Household (HH)	Account to Household	Account to Household

## Shared Attributes

The following attributes are considered for establishing a link between the nodes:

- **Wire Transactions:** The activity link is established:

- Between Beneficiary and Originator
- Between Secondary Beneficiary and Originator
- Between Secondary Originator and Beneficiary
- Between Secondary Originator and Secondary Beneficiary
- Between Sending Institution and Receiving Institution

For **Account** starting nodes the link is established using Account to Account wire transactions, and Account to External Entity wire transactions.

For **External Entity** primary nodes the link is established using External Entity to Account wire transaction, and External Entity to External Entity wire transactions.

For **Correspondent Bank** primary nodes the link is established between Sending and Receiving Institution.

- **Journal Transactions:** The nature of relationship is established:

- Between Account and Offset Account

For **Account** primary nodes the link is established between Account and Offset Account (where focal account is the offset account and vice versa).

- **Monetary Instrument Transactions:** The nature of relationship is established:

- Between Beneficiary and Remitter
- Between Secondary Beneficiary and Remitter
- Between Issuing Institution and Depositing Institution

For **Account** primary nodes the link is established using Account to Account MI transactions, and Account to External Entity Monetary Instrument transactions.

For **External Entity** primary nodes the link is established using External Entity to Account Monetary Instrument transactions, and External Entity to External Entity Monetary Instrument transactions.

For **Correspondent Bank** primary nodes the link is established between Issuing and Depositing Institution.

- **Insurance Transactions:** The nature of relationship is established:

- Between Insurance Policy Identifier and the Counter Party Derived Entity Identifier
- Between Insurance Policy Identifier and the Counter Party Identifier

- **Transaction Date >=**

- The Transaction Date >= is used to build a network based on shared activity. Whenever this date is selected, the system checks for transaction between Transaction Date >= and Transaction Date <= for establishing the link for Wire, Journal, MI and Insurance Transaction.
- The Transaction Date >= is defaulted to 3 months prior to the current date.

- The Transaction Date  $\geq$  cannot be greater than or equal to Transaction. An error message is displayed: *Please enter a date in Transaction Date  $\geq$  date field which is less than or equal to the Transaction Date  $\leq$  field.*
- The Transaction Date  $\geq$  cannot be a future date and when the user enters or select a future date. An error message is displayed: *Please do not enter a future date.*
- **Transaction Date  $\leq$** 
  - The Transaction Date  $\leq$  is used to build a network based on shared activity. Whenever this date is selected, the system checks for transaction between Transaction Date  $\geq$  and Transaction Date  $\leq$  for establishing the link for Wire, Journal, MI and Insurance Transaction.
  - The Transaction Date  $\leq$  is defaulted to current date.
  - The Transaction Date  $\leq$  cannot be less than Transaction Date  $\geq$ . An error message is displayed: *Please enter a date in Transaction Date  $\leq$  date field which is less than Transaction Date  $\geq$  field.*
  - The Transaction Date  $\leq$  cannot be a future date. When the user enters or select a future date, an error message is displayed: *Please do not enter a future date.*
- **Maximum Degrees of Separation:** The value you provide determines how many cycles out from starting entity a repetition of queries will go, that is, how many levels of entities need to be identified. This number must be within your institution's limits (the default is 1-10). You cannot enter 0, decimals, or negative numbers. If you do not enter a number, the value displays the default of 3.
- **Transaction Activity Options:** Transaction Activity Options filter the network based on the transaction activity. The following Transaction Activity Options display:
  - **Transaction Amount  $\geq$**  filters out transactions with amounts greater than or equal to the specified amount.
  - **Transaction Amount  $\leq$**  filters out transactions with amounts less than or equal to the specified amount.



---

# Index

---

## A

Action button, 140  
Add button, 140  
Assignment button, 141  
Audit tab, 81

## B

business tabs  
    account, 84  
    adding, 115, 120  
    correspondent bank, 84  
    employee, 84  
    financials, 84  
    investment advisor, 84  
    modifying, 121  
    removing, 121  
    transactions, 84  
button  
    Action, 140  
    Add, 140  
    Assignment, 141  
    Calendar, 141  
    Cancel, 140  
    Column Collapse, 142  
    Column Expand, 142  
    Edit, 140  
    Help, 141  
    History, 140  
    Remove, 140  
    Reset, 140  
    Save, 140  
    Section Collapse, 142  
    Section Expand, 142  
    Task, 140

buttons, 140

## C

Calendar button, 141  
Cancel button, 140  
caps lock, 39  
case analyst I, 19  
Case Correlation tab, 64  
Case Data tabs  
    Audit, 81  
    Case Correlation, 64  
case supervisor, 19  
case viewer, 19  
collapse, 141  
comment, 144  
common screen elements  
    buttons, 140  
    collapse, 141  
    definition, 139  
    expand, 141  
    expanded comment, 144  
    field types, 142  
    masthead, 139  
    tooltips, 144  
contract  
    Column Collapse button, 142  
    Section Collapse button, 142  
cookies, 40

## E

Edit button, 140  
ellipsis, 144  
expand, 141  
    Column Expand button, 142  
    Section Expand button, 142

**F**

field types, 142  
  check all check box, 143  
  check box, 143  
  context-sensitive text box, 143  
  drop-down list, 143  
  selection box, 143  
  text box, 142  
  uncheck all check box, 143  
  wildcard text box, 143  
file download, 41

**H**

Help button, 141  
History, 140  
History button, 140

**J**

javascript, 40

**K**

keys, 39

**N**

Narrative tab  
  creating narrative, 59  
  editing narrative, 60  
navigation features  
  links, 144  
  page context controls, 144  
  paging, 145  
  search bars, 144

**O**

Oracle Financial Services Alert Management  
  logging, 34  
  logging using an EAM Tool, 40  
Oracle Financial Services Enterprise Case Management  
  logging, 34

**P**

printing, 41

**R**

Remove button, 140  
reopening cases  
  about, 125  
Reset, 140  
Reset button, 140

**S**

Save button, 140  
system requirements, 33  
  web browser, 33

**T**

Task button, 140  
temporary internet files, 40  
text area, 142  
tooltip, 144  
troubleshooting, 40  
  enabling cookies, 40  
  enabling file download, 41  
  enabling javascript, 40  
  enabling temporary internet files, 40  
  setting print, 41

**U**

user ID, 34  
user privileges  
  accessing case, 19

**W**

Where to Find More Information, xviii  
Who Should Read this Guide, xvii  
wildcard character, 143





