Oracle Financial Services Enterprise Case Management

User Guide

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Oracle Financial Services Case Management User Guide

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Document Control

NOTE	With the release of Behavior Detection Framework (BDF) 8.0.5, dispositioning alert through Alert Management is no longer supported. Alert Management is only applicable to Trading Compliance and Broker Compliance. For AML and Fraud alerts, the Event Correlation module in Enterprise Case Management should be used to correlate events from the FCCM Behavior Detection engine or those ingested from external applications. Alert Management (AM) can be used as read-only for viewing historical alerts but it is not to be used for investigating alerts, taking action on them, editing them and/or promoting them to a case. The manual Promote to Case functionality is no longer supported. Customers are to use Enterprise Case Management (ECM) for reviewing and investigating alerts. With the BDF license, a restricted-use license of ECM is provided which replicates the functionality available in AM to the best that is currently available within ECM. Implementations should use event correlation to move Alerts from BDF into ECM and then have them correlation/promote to a case where all levels of investigation can occur. If this updated process is not clear to your implementation team it is advised that you contact Oracle Partner Network or Oracle Consulting to be trained.

Table 1:   Revision History

Date	Edition	Description
July 2021	First edition of 8.1.1.0.0	There are no content changes to this guide in this release.

1 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

1.1 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.

1.2 How this Guide is Organized

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

- About Enterprise Case Management provides a brief overview of the Oracle Financial Services Enterprise Case Management and its components.
- Getting Started includes instructions on how to configure your system, access ECM, and exit the application.
- 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.
- Investigating Cases describes the investigation of case-related information to determine what action to take in each situation for the resolution of the case.
- Acting on Cases explains about various actions can be taken on the case for the resolution.
- Creating Cases covers the concept and step-by-step instructions to create cases manually.
- Creating Events describes the concept and procedural instructions to create events manually.
- Entity Research explains about the entity search criteria to view the entity details.

- Event Search explains about the event search criteria to view the event details.
- Setting User Preferences explains about setting up Enterprise Case Management preferences.
- Common Features, describes common elements of the Enterprise Case Management interface.
- Business Entity Details, provides field level description for adding entities manually.

1.3   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

1.4   Conventions Used in this Guide

This table lists the conventions used in this guide.

Table 1:   Conventions Used in this Guide

Convention	Description
Italics	- Names of books, chapters, and sections as references - Emphasis
Bold	- Object of an action (menu names, field names, options, button names) in a step-by-step procedure - Commands typed at a prompt - User input

Monospace	• Directories and subdirectories • File names and extensions • Process names • Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	• Substitute input value

2 About Enterprise Case Management

The purpose of Enterprise Case Management (ECM) is to help your firm to investigate and resolve cases.

Topics:

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

2.1 Introduction

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

2.1.1 Key Features

The following are the key features of the ECM application:

- Create cases manually for investigating business entities involved in the potentially suspicious event
- Add events manually to a case or create them and have them place in the correlation pool
- 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
- View how the case score breaks down into individual scoring components
- Act on the case based on the analysis
- Filter cases based on the Case or Event IDs, search criteria and create and manage Personal Search Views

- Record the complete audit history of the case

- Export case information in Excel and CSV formats

2.2 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

2.2.1 Case Creation

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 Creating Cases for more information.

2.2.2 Case Search

The Case Search enables to filter cases to view and investigate 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 Searching Cases for more information.

2.2.3 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 Investigating Cases for more information.

2.2.4 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 Acting on Cases for more information.

2.2.5 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.

2.3 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 1 refers the list of functions that each user role can perform.

Table 1:   Enterprise Case Management User Roles and Privileges

Privileges	CM Level 1 Analyst	CM Level 1 Super-visor	CM Front Office Ana-lyst	Case Ana-lyst 2	Case Super-visor	Case Adminis-trator	Case Viewer	ECM QC Ana-lyst	ECM QC Super-visor
Access Case Designer						X			
Access Manage Common Parameters						X			
Access Con-figuration of Web Ser-vices						X			
Access Manage Common Gateway Parameters						X			
Access Uni-fied Meta-data Manager						X			

Access Rule Run Frame-work						X			
Access Operations						X			
Access PMF						X			
Access Data Model Man-agement						X			
Access Financial Services Inline Pro-cessing Engine						X			
Access Utili-ties						X			
Access Data Quality Framework						X			
Access Masking Configura-tion						X			
Access Question-naire						X			
View Pro-cess Moni-tor within a case					X			X	X

	1	2	3	4	5	6	7	8	9
Search for Case, View Case List, View Case Details and all tabs (operational and business)	X	X	X	X	X		X	X	X
Edit Case Context				X	X			X	X
Print Case to PDF	X	X	X	X	X			X	X
Create New Manual Case			X	X	X				
Create New Manual Event			X	X	X				
Save a decision on events	X	X	X	X	X				
Preferences	X	X	X	X	X			X	X
Reports				X	X				
Link Cases				X	X				
Unlink Cases				X	X				
Link Events				X	X				
Unlink Events				X	X				
Add Document	X	X	X	X	X			X	X

Remove Document (added by self)	X	X	X	X	X				X	X
Remove other people's documents					X					
Edit Narrative				X	X				X	X
Add New Transactions				X	X					
Modify Transactions				X	X					
Remove Transactions				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 House-hold				X	X				
Remove Household				X	X				
Add New Correspond-ing Bank				X	X				
Edit Corre-sponding Bank				X	X				
Remove Correspond-ing Bank				X	X				
Add New External Entity				X	X				
Edit External Entity				X	X				
Remove External Entity				X	X				
Add New GL Account	X	X		X	X				
Edit GL Account	X	X		X	X				
Remove GL Account	X	X		X	X				

Add New Loss Recovery Data	X	X		X	X				
Edit Loss Recovery Data	X	X		X	X				
Remove Loss Recovery Data	X	X		X	X				
Search/link involved parties to the case				X	X				
Modify Involved Party Link- modify the Relationship Type, other than "Unlink"				X	X				
Modify Involved Party Link- modify the Relationship Type by selecting "Unlink""				X	X				
Edit involved parties				X	X				
Designate entities as Involved Party				X	X				
Assigning the Case				X	X				

Adding Evidence	X	X	X	X	X				
Sending Email				X	X				
Sending RFI				X	X				

For the **CM Level 1 Analyst**, **CM Level 1 Supervisor**, and **CM Front Office Analyst** users, **Take Action** and **Assign** options will not be available in OOB. If these users want to access the **Take Action** and **Assign** options, then map the following functions to these users.

Table 2: Function Mapping

Navigation	Button	Function
Case List	Take Action	CMTKACTN
	Assign	CMASSGN
Case Summary	Take Action	VWCMACTNS
	Assign	VWCMASGN

Workflow Actions

- AML/FR Case Types

Actions	Case Supervisor	Case Analyst 2
Recommend Close and Generate SAR		X
Recommend Close without SAR		X
Send RFI	X	X
Reject Recommendation	X	

Approve Recommendation	X	
Close and Generate SAR	X	
Close without SAR	X	
Reopen Case	X	

- KYC Case Types

Actions	Case Supervisor	Case Analyst 2
Recommend Closure - Override Risk Score		X
Recommend Closure - Accept System Risk Score		X
Provide Information	X	
Close - Override Risk Score	X	
Close - Accept System Risk Score	X	
Reject Recommendation	X	
Approve Recommendation	X	
Reopen Case	X	

2.3.1 Security within Enterprise Case Management

Analytical Applications Infrastructure (OFSAAI) uses five 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 *primary organization*; 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.

3   Getting Started

This chapter provides step-by-step instructions to log in to the OFSECM application and manage the different features of the Oracle Financial Services Analytical Applications (OFSAA) application page.

Topics:

- System Requirements
- Accessing OFSECM Application
- Troubleshooting Your Display

3.1   System Requirements

The following applications are required to run the OFSECM application:

- Microsoft Internet Explorer (IE) version 9 or later.
- Earlier versions and other browsers are not supported and can 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 Acrobat Reader at 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 OFS Enterprise Case Management Installation Guide.

3.2   Accessing OFSECM Application

Access to the Oracle Financial Services Enterprise Case Management application depends on the Internet or Intranet environment. Oracle Financial Services Enterprise Case Management is accessed through Microsoft Internet Explorer (IE) Chrome. Your system administrator provides the intranet address uniform resource locator (URL).

Your system administrator provides you with a User ID and Password. Log in to the application through the OFSAA login page. You will be prompted to change your password on your first login. You can change your password whenever required after logging in. For security purposes, you can change the password. For more information, see Change Password section.

> **NOTE**   Based on your firm's configuration, you can also log in with Single Sign-On (SSO).

To access OFSECM Application, follow these steps:

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

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

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

2. The OFSAA login page is displayed.
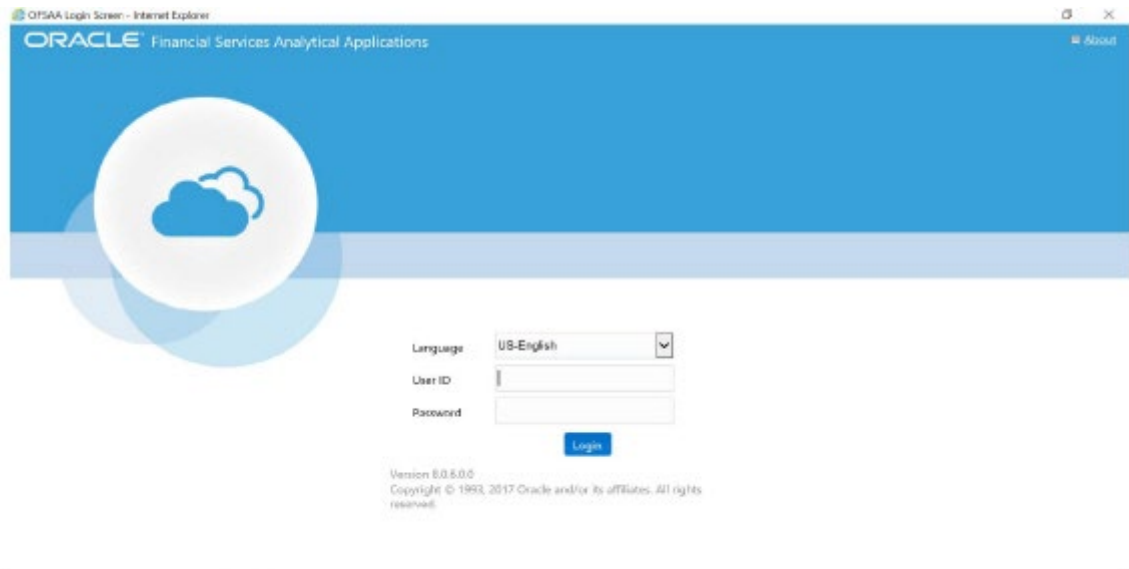
3. Select the Language from the Language drop-down list.

4. Enter your User ID and Password.

5. Click **Login**. The OFSECM Application landing page is displayed.
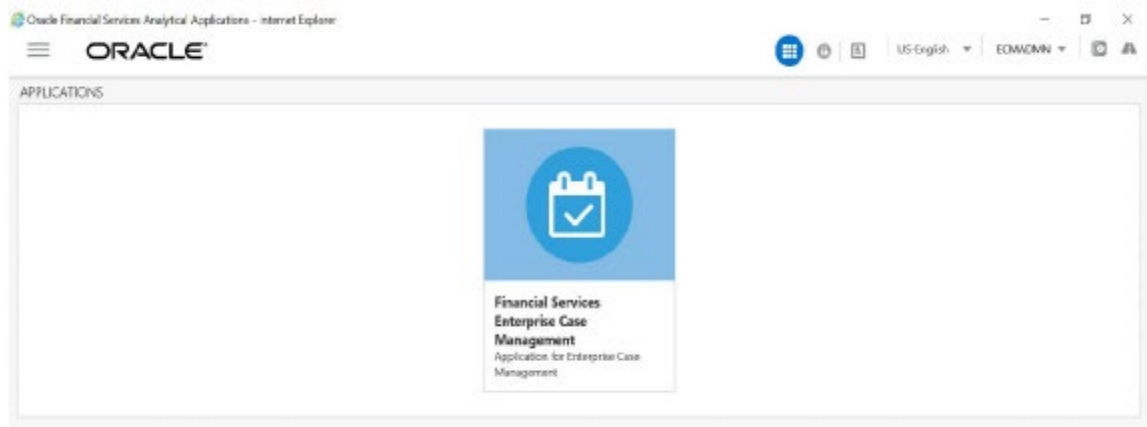
Masthead

The masthead frame displays the user details along with the Language in the right-hand corner in the top frame of the window.
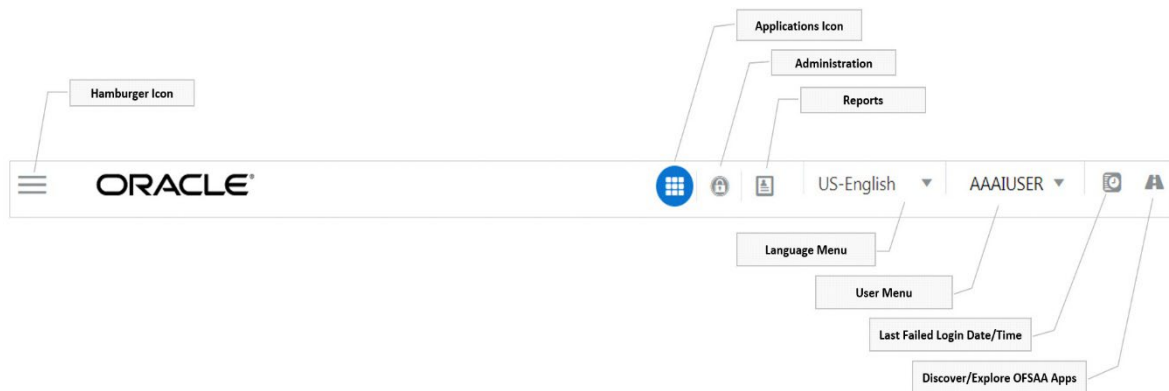
The following are the components of Masthead:

- **Hamburger Icon**- This icon is used to trigger the Application Navigation Drawer.

- **Application Icon**- This icon is used to show the available Applications installed in your environ-
  ment at any time.

- **Administration Icon**- This icon is used to go to the Administration module.

1. Click ▣ to view the last login details. It displays the last login date and time as well as the last
   failed login date and time.

2. Click ▣ to view the Information Domain to which you are connected. It also displays the setup
   details.

3. Click the logged-in user name and sub-menu is displayed.

4. Click **Preferences** to set the Home Page.

5. Click **Change Password** to change your password. For more information, see Change
   Password section. This option is available only if SMS Authorization is configured.

6. Click **Log Out** to exit Oracle Financial Services Analytical Applications Infrastructure. The built-in
   security system of Infrastructure ensures restricted access to the respective windows based on
   the user's role. This is based on the functions that you as a user are required to perform.

3.2.1   Change Password

For security purposes, you can change the password. This section explains how to change the pass-
word.

To change the password, follow these steps:

1. Navigate to the OFSAA Applications page.
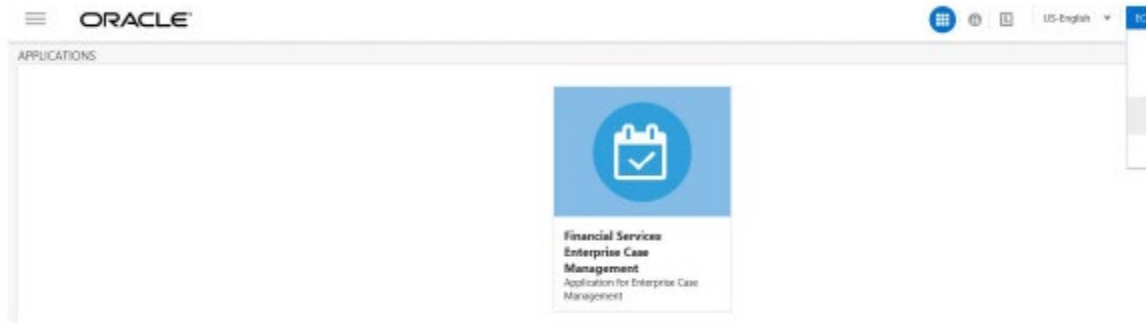
2. Click the User drop-down list and select **Change Password**. The Change Password page is displayed.
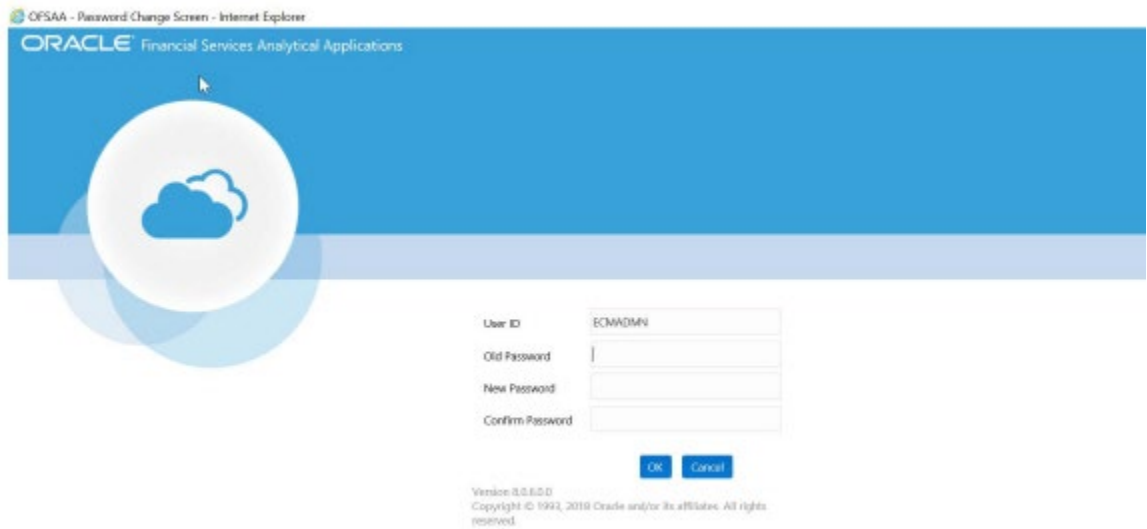
3. Enter your old and new password in the respective fields.

4. Click **OK**. Your password is changed successfully. The application navigates back to the Login page where you can log in 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.

3.2.2   Copyright Information

To access copyright information, click the User drop-down list and select **About** in OFSAA login page.

The Copyright text displays in a new window.

3.3   Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services ECM or with your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions to set the Web display options for OFSAA applications within Internet Explorer (IE).

NOTE	The following procedures apply to all versions of IE listed in the "System Requirements," on page 18. section. Separate procedures are listed for each version where differences exist in the locations of settings and options.

This section covers the following topics:

- Enabling JavaScript
- Enabling Cookies
- Enabling Temporary Internet Files
- Enabling File Downloads
- Setting Printing Options
- Enabling Pop-up Blocker

3.3.1   Enabling JavaScript

JavaScript must be enabled in the browser. 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 Setting - Local Intranet Zone dialog box displays. In the Settings list and under the Scripting setting, ensure that Enable is selected for all options.

5. Click **OK,** then click **OK** again to exit the Internet Options dialog box.

3.3.2   Enabling Cookies

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

3.3.3   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**.

3. The Website Data Settings dialog box displays.

4. Select the Every time I visit the webpage option.

5. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

3.3.4   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 Setting - Local Intranet Zone 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.

3.3.5   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. In the Settings list, under the Printing setting, click **Print background colors and images**.

3. Click **OK** to exit the Internet Options dialog box.

| **TIP** | For best display results, use the default font settings in your browser. |

3.3.6 Enabling Pop-up Blocker

Some users may experience difficulty running the Oracle Financial Services ECM 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.

    In the Pop-up Blocker setting, select the **Turn on Pop-up Blocker** option**.**

3. The **Settings** is enabled.

4. Click **Settings** to open the Pop-up Blocker Settings dialog box. In the Pop-up Blocker Settings dialog box, enter the URL of the application in Address of website to allow.

5. Click **Add**. The URL appears in the Allowed sites list.

6. Click **Close**, then click **Apply** to save the settings.

7. Click **OK** to exit the Internet Options dialog box.

3.4 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.
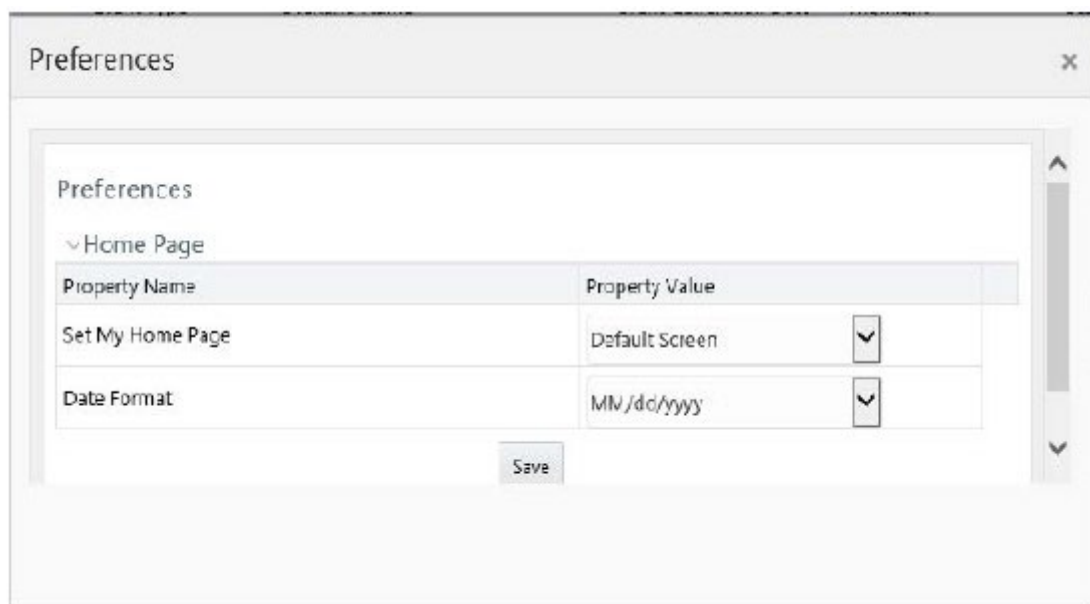
2. In the Property Value drop-down list, select the application which you want to set as the Home Page.

> | **NOTE** | Whenever a new application is installed, the related value for that application is found in the drop-down list. |

3. Define the date format. The default date format is **MM/dd/yyyy**. You can change this to **dd/MM/yyyy** format.

> | **NOTE** | After changing the date format in Preferences UI, you should logout and login to the Application. |

4. Click **Save** to save your preference.

4   Searching Cases

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

Topics:

- About Case Search and Case List
- Accessing Case Search and List Page
- Searching Cases
- Managing Case List

4.1   About Case Search and Case List

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 following case search criteria.

- Enterprise Case Management filters cases based on the following conditions:
  - The Case/Event IDs, Views, and search criteria.
  - Your access control permissions.
- The Views search option represents pre-populated search queries.
- The Case ID Search Criteria are mutually exclusive with all other filter criteria.
- The Less Search Criteria is a simple search criterion based on the limited set of search fields.
- The More Search Criteria is an advanced search criterion with an 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 Excel or CSV format.
- Highlighted overdue cases in Red color in Due Date column
- Displays colored Case priority that helps you to easily differentiate the cases with high and low priority.

4.2   Accessing Case Search and List Page

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

 To access the Case Search and List page, navigate to the Enterprise Case Investigation page and click Search Cases. The Case Search and List page is displayed. , For more information, see the Getting Started section.

4.3 Searching Cases

This section describes different ways to search cases 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 or Event ID
- Using Search Criteria

4.3.1 Using Views

The following are the salient features of Views search:

- Views represent pre-populated search queries.
- Views allow 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.
- You can create and manage personal saved views.

To search for 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 pane. For more information on the Views search, see Table 1.

Table 1:   Case Views and Filter

View Name	View Filter
My New Cases	Displays cases in *New* Status for which the owner is the logged-in user or the pool to which user belongs.
Cases Assigned to Me	Displays cases for which the assignee is the logged-in user or the pool to which user belongs in any status except *Closed*.
My Open Cases	Displays cases for which the owner is the logged-in user or the pool to which user belongs, in any status except *Closed*.

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 also display your personal saved views. These search views are created using the Save View option. For more information, see Creating a Search View.

4.3.1.1   Creating a Search View

The Save View option allows you to create and manage personal search criteria for your future uses. You can also make Search View as a default search criterion. The newly created search views are listed in the Views Search drop-down list and User Preference page. These search views are available only to the user who creates it.

To create search views, follow these steps:

1. Navigate to the **Case Search and List** page.

2. Enter your search criteria in the **More** or **Less** search fields and click **Save View**. The Save View window is displayed.

> **NOTE**   Date filters or ID filters are not permitted for saving a View.

3. Enter a View Name for the personal search view.

4. *Optional:* Select **Set as Default Search** to make this Search View as default search criteria for all your future uses.

5. A confirmation message is displayed and a newly created save view displays in the Views drop-down list. This save view is also displayed in the User Preference page. For more information, see Setting User Preferences.

4.3.2   Using Case ID or Event ID

The following is the list of uses of Case ID or Event ID:

- Enables you to search cases by simply entering the case or event IDs.

- It is mutually exclusive with all other search criteria.

- If you attempt to search by a combination of case or event ID and other search criteria, the search results display only based on the Case or event ID and ignore other criteria.

- It exactly matches the values you have entered. You can search for one or more cases or event IDs.

To search for cases using Case or Event IDs, follow these steps:

1. Navigate to the Case Search and List page.

2. Select a Case or Event ID from the Search By drop-down list.

3. Enter one or more unique case or event identification numbers in the Case ID or Event ID field.

> **NOTE**   To search for multiple IDs, separate the Case ID or Event ID with commas.

4. Click **Search** or press **Enter** key on the keyboard. The Case List page displays information about the cases with the Case ID or Event ID that exactly matches the values you have entered.

> **NOTE**   Search by Case ID or Event ID ignores all other search criteria.

4.3.3   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 criterion based on the limited set of search fields.

- More Search Criteria is an advanced search criterion 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 in the Less Search Criteria sections populate based on your security attributes access control.

- Only the data that match your specified criteria and cases, which you are authorized to view are displayed as search results.

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.

2. Enter the following information in the respective fields.

Table 2:   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. Cases stop aging 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 and KYC.
Type	Select the case type from the drop-down list, for example, *AML Surveillance* and *Account and Product Fraud.* 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 the case, relative to its analysis and closure.

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

4. Or, to search cases using advanced search criteria, click **More Search Criteria** link. The additional search fields are displayed.
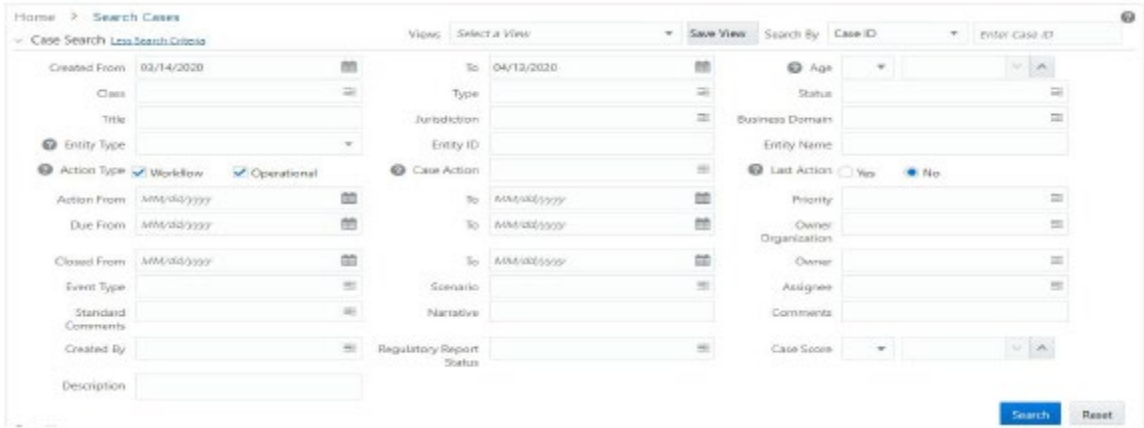
5. Enter the following information in the additional fields for More Search Criteria.

Table 3: 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. This supports wild-card 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. The drop-down list contains only jurisdictions 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. The drop-down list contains only business domains with which you are authorized to view.
Entity Type	Select the entity type from the drop-down list. This filters the Case List by the entity type associated with a case. When Entity type is specified, you must enter a value in Entity ID or Entity Name.

Entity ID	Enter the entity ID. This filters the Case List by the entity associated with a case. When Entity ID is specified, you must select a value in Entity type.
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. When the Entity Name is specified, you must select a value in Entity type.
Action Type	Select the Action Type as Workflow, Operational, or both. This enables you to filter cases based on the action type. Workflow actions change the status of a case. Operational actions do not change the status of a case. If no Action Type is selected, the Case Action drop-down list displays both types of actions.
Case Action	Select one or more Case Action to search for cases where any of the selected Case Action is saved on the case. This drop-down list is updated based on the Action Type you select.
Last Action	Select whether the last action is *Yes* or *No*. This allows you to search for cases where the selected action is the last action saved on the case. • Select **Yes** to search for cases where any one of the selected Case Action was the last action saved on the case. • Select **No** to search for cases where any one of the selected Case Action was saved on the case but it was not the last action. If no Case Action is selected, this filter is excluded from the search criteria.

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: • High • Medium • Low
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. The drop-down list contains only users or the 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 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 action should be taken on the case.
Closed Date From	Enter the date using the 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 the calendar. This filters the Case List up to the date you enter by which the case was closed.

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. The drop-down list contains only users or the user pool whose jurisdictions you are authorized to view.
Event Type	Select the event type from the drop-down list. For example, Anti-Money Laundering, Customer Screening, Know Your Customer.
Scenario	Select one or more scenarios from the multi-select drop-down list. Scenarios are displayed in the list based on the event type you select in the Event Type search field. If you don't select any event type then all available scenarios are displayed.
Assignee	Select the assignee from the multi-select box. This filters the Case List by a user or user pool to whom a case is assigned. The multi-select drop-down list contains only users or the 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.
Narrative/Comments	Enter the required narrative or comments. This filters the Case List by narrative or comments associated with the case. When searching on Narrative/Comments from advanced search, a percent sign ('%') is automatically appended to the beginning and end of the values entered. This is necessary since Narratives are stored as rich text to allow for formatting.
Created By	Select the user from the Created By drop-down list. This filters the Case List by a user or user pool, who created the case.
Regulatory Report Status	Select the Regulatory Report status from the Regulatory Report Status drop-down list. This field allows you to filter the cases based on Regulatory Report Status of case. For example,

	Approved for Filing, Closed-No Action, and so on.
Case Score	Select the operator from the drop-down list (<=, =, and =>) and enter the value for the case score. This filters the Case List by the score of the case.
Description	Enter the description of the case. This filters the Case List by the description of the case that matches the search criteria. This supports wild-card search. The percent sign (%) is used for this.

> **NOTE** When you filter using multiple search fields, the results are filtered after matching all the search criteria specified. The Risk Score field is available only for KYC cases.

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

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

> **NOTE** By default, the search list is sorted by Due Date, Priority, and then Case ID.

4.4   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.

Topics:

- About Case List
- Viewing Case List
- Acting on Cases
- Assigning a Case
- Adding Evidence to Cases

4.4.1   About 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 the user or user pool

- Add evidence to one or more cases.

- The Case list is sorted in ascending and descending order in the column header.

- Columns that depict the case information are hidden or shown using field chooser.

- Cases are exported in Excel or CSV formats.

4.4.2   Viewing Case List

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

To view the Case List, follow these steps:

1. Enter the Case ID, Search Criteria, or select views from the Views drop-down list. For more information, see the Searching Cases section.

2. Click **Search**. The Case List pane is displayed.

   The following table provides the case details based on the search criteria.

   Table 4:   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 case. For example, *AML Surveillance* or *Account and Product Fraud*.
Priority	Displays the priority given to the case under investigation. Case priority is displayed in different colors that helps you to easily differentiate the cases with high and low priority. The following are the options available: • High (Red)

	• Medium (Amber) • Low (Green)
Status	Displays the current state of the case compared to its analysis and closure. 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 owns the case.
Created	Displays the date when the case is created.
Due Date	Displays the date by which 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. Overdue Due Dates are displayed in Red color. The definition of *nearly* 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.
Linked Events	Displays the event which is linked to the case.
Linked Case	Displays the other case which is linked to the case.
Created By	Displays the name of an individual or user pool who has created the case.
Age	Displays the age of the case. The case age is the number of calendar days between case creation and the current date.
Score	Displays the score of the case.

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

4. 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 Investigating Cases.

4.4.3   Acting on Cases

You can take various actions on cases that are listed in the **Case List** section.

NOTE	Actions are visible as per your access permissions.

For more information, see the <u>Acting on Cases</u> section.

4.4.3.1   Assigning a Case

You can assign a case to a user or user groups.

For more information, see the <u>Assigning Case</u> section.

4.4.3.2   Adding Evidence to Cases

You can add attachments and comments to the case.

For more information, see the <u>Adding Evidence</u> section

4.4.3.3   Viewing Workflow

The **Workflow Monitor** option allows you to view the workflow of the **Case Type** which is used during the creation of the case.

For more information on Processing Modelling Framework (PMF), see the <u>Oracle Financial Services Enterprise Case Management Administration & Configuration Guide</u>.

5 Investigating Cases

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

Topics:

- About Investigating Cases
- Accessing Case Summary Page
- Using Case Context
- Using Operational Data Tabs
- Using Business Data Tabs

5.1 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.

5.1.1 About Case Summary

The Case Summary page provides information about the case in the following ways:

- **Case Context**: The Case Context section provides a snapshot of the selected case. You can also modify a few information based on your analysis.

- **Case Tabs**: The comprehensive details of the selected case are available in the tabs. The following 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. This information enables you 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 users categorize large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information) to aid analyzing 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, you can add evidence, assign a case, and email a 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).

5.2 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 Getting Started for more information.

2. Select **Search Case**. The **Search and List** page is displayed.

3. Search cases based on your requirement. For more information, see the Searching Cases section.

4. Click the 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 <ABC>. Click **OK** to view the Case Details page in view-mode only and Cancel to return to List page.*
	Here, ABC represents to Userid/Name /IDName/NameID. This is applicable when you are taking action on a single case.

5.3 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

5.3.1 About Case Context

The Case Context section provides a brief description of the case and the context for determining what actions have to be taken to dispose of the case. The Case Context displays on the top of every tab. Once you have entered the workflow for a single case (by a 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.

5.3.2   Viewing Case Context

To view the Case Context, follow these steps:

1. Navigate to the Case Summary page.

2. Go to the 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.

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 5:   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 case. For example, AML, Fraud.
Type	Displays the type of 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. For example, High, medium, or low. 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.

Created	Displays the date on which the case is created.
Risk Score	Displays the risk score as provided by the system or the override score (applicable only for KYC cases).
Next Periodic Review Date	Displays the next periodic review date as provided by the user during the investigation (applicable only for KYC cases).
KYC Risk Score Expiration	Displays the KYC risk score expiration as provided by the user during investigation (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 action should be taken on the case.
Closed	Displays the date when the closing action was taken on the case.
Assignee	Displays the user or group to whom the case is assigned.
Age	Displays the age of the case. The case age is the number of calendar days between case creation and current date.
Score	Displays the score of the case.
Regulatory Report Status	Displays the regulatory report status of the case. For example, Approved for Filing, Closed- No Action, and so on.
Description	Displays the description of the case that gives a high-level insight on the subject matter of the case.

5.3.3   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 the 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

    ▪ Priority

    ▪ Description

    Below three are specific to KYC Case types

    ▪ **Risk Score:** Users can edit the risk score provided by the system during the investigation. The overridden risk score is given preference over the system risk score.

    ▪ **Risk Score Expiration Date:** User can provide a risk score expiration date which indicates that the overridden risk score for this customer is applicable as on this date.

        Note: How to use the risk score expiration date is to be configured during deployment as per your requirements.

    ▪ **Next Periodic Re-review Date:** User can provide a periodic review date manually which is given priority over the system derived next periodic review date.

    For more information on the fields, see Table 5.

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.

5.4   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:

- Using Narrative Tab
- Using Involved Party Tab
- Using Evidence Tab
- Using Network Analysis Tab
- Using Relationship Tab
- Using Audit History Tab
- Using Correlation Tab

5.4.1 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

5.4.2 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

5.4.2.1 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 of 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:

- View Relevant Events and Involved Party List.

NOTE	Only those events which are marked as Relevant are shown in the Relevant Events List.

- 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

5.4.2.2 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 of the case.

> **NOTE**   By default, the entry box is blank if the 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 a 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.

5.4.2.3 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 the 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*.

5. 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.

5.4.2.4 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 the Narrative tab allows you to view the date and time on which the narrative is created or edited, the 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 a recent narrative for the selected case.

2. Click **History**. The Narrative History window is displayed with the following information for your analysis.

Table 6:   Narrative History

Fields	Descriptions
Date and Time	Displays the date and time on which the narrative is created or edited.
By	Displays the user's name who updated the narrative.
Details	Display the narrative entered for the case.

5.4.2.5   Activating Narrative Pop-out

The **Pop-out** option allows you to view and edit the Narrative every time if you are navigating to other tabs of the case.
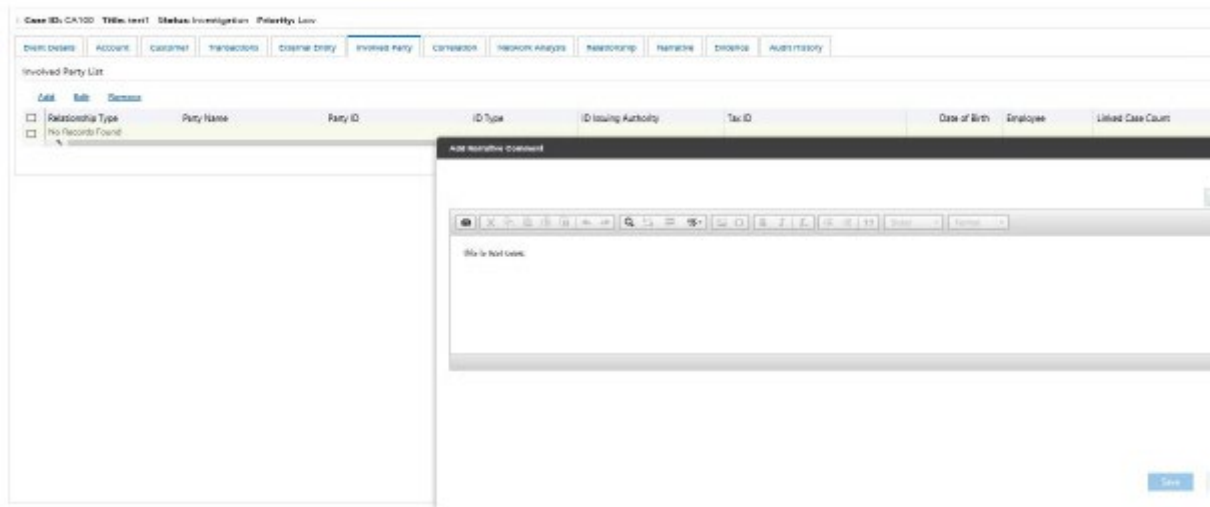
5.4.3   Using Involved Party Tab

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 Involved Party

- Removing Involved Party

5.4.3.1   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 and remove parties linked to the case

5.4.3.2   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

5.4.3.2.1   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 the Case Summary page.

2. Click **Involved Party** tab. By default, involved parties that 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 an Involved Party in the list and click **Details** link. The Involved Party Details window is displayed with complete information of the selected Involved Party.

5.4.3.2.2   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 the **Involved Party** tab.

2. Select a linked involved party from the list and click the **History** link. The History window is displayed.

3. 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.

5.4.3.3   Adding Involved Party

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

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

- [Adding a New Involved Party Manually](#)
- [Adding a New Involved Party from Existing Entities](#)

5.4.3.3.1   Adding a New Involved Party Manually

To add a new involved party manually, follow these steps:

1. Navigate to the Involved Party tab.

2. Click Add. The Add Involved Party 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.

4. Enter details in the fields. To view the field-level description to add a new entity, see A, Involved Party for more information.

| NOTE | The fields marked with * (asterisk) are mandatory. |

5. Click **Save**. The confirmation message is displayed.

| 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. |

5.4.3.3.2 Adding a New Involved Party from Existing Entities

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

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

1. Navigate to the Involved Party tab.

2. Click **Add.** The Add Involved Party window is displayed. By default, the **Search Existing Entities** radio button is selected.

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.

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

4. Click **Search**. The relevant search lists are displayed.

5. Go to the Lists section, select the required entity and click Add to Case. A confirmation message is displayed.

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.

5.4.3.4   Editing Involved Party

You can modify details or remove 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 existing involved parties, follow these steps:

1. Navigate to the Involved Party tab.

2. Select an involved party. Click **Edit**. The Edit Involved Party Detail window is displayed.

3. Modify the necessary information in the required fields.

4. Click **Save**. A confirmation message is displayed. Click **Cancel**. The window closes and navigates you to the refreshed list of Involved Party. Also, corresponding audit entries are recorded on the case.

5.4.3.5 Removing Involved Party

To remove existing involved parties, follow these steps:

1. Navigate to the Involved Party tab

2. Select required Relationship Type from the list and click **Remove**. The following message is displayed: *The delete operation successful.*

5.4.4 Using Evidence Tab

This section covers the following topics:

- About Evidence Tab
- Viewing Comments or Attachment
- Adding Comments and Attachment
- Removing Attachment
- Viewing Request For Information (RFI)

5.4.4.1 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 has been added through specific case actions
- Add new comments or attachments to the case under investigation.
- Evidence tab has three 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.

You can also post attachments and comments from an external application to a case in Oracle's Enterprise Case Management application. For more information, see the OFS ECM Attachment/Comment Service Guide.

NOTE	The attachments send along with **Send Email** and **Send RFI** actions can be seen in **Email and Request For Information** section.

- **Email and Request For Information:** The **Email and Request For Information** section allows you to view the details of Send Email and Send RFI actions. For more information, see Viewing Email Details and Viewing the RFI Details sections.

5.4.4.2   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 case, follow these steps:

1. Navigate to the 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 the Comments section displays.

Table 7:   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.

3. Go to the Attachment section. Click ⬚ to expand to view the existing attachment for the selected Case ID.

4. Click the Attachment link against the required attachment name. The attachment is downloaded to your system.

NOTE	You click the Attachment link, which has more than one attachment, a window is displayed. Click the Download link to view the attachment.

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

Table 8: 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.

5.4.4.3 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.

5.4.4.4 Removing Attachment

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

To remove an attachment, follow these steps:

1. Navigate to the Case Summary page. Click **Evidence** tab.

2. Go to Attachment section. Select the Attachment name.

3. Click **Remove**. The Attachment window is displayed.

4. Enter the comments for removing the selected attachment in the Comments box.

NOTE	If the window has more than one attachment, select the required attachment and enter the comments in the Comments box.

5. Click **Save**. 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

5.4.4.4.1   Viewing Email Details

After clicking on Action type as **Send Email**, the details of Email is displayed.

This section has the following details:

Table 9:   Viewing Email Details

Column Name	Description
Action	When you click on the Send Email link, the email details are displayed.
Sent By	The Email address of the logged-in user
Sent Date	The Date on which the email was sent.
Response From	Value is blank when record is for emails.
Responded Date	Value is blank when record is for emails.
Questionnaire Details	Value is blank when record is for emails.
Attachment	Shows the count of attachments sent and received along with email

5.4.4.4.2   Viewing Request For Information (RFI)

After clicking on Action type as **Sent RFI**, the details of RFI is displayed.

The user who is responding to an RFI can also include attachments along with the response. These attachments will be displayed in the **Email and Request For Information** section if question is defined with **Is Document Required** as Yes in the Questionnaire section.

If RFI response is sent by any user, then the response of **To user** will be recorded in ECM with the To user Name on this tab.

This section has the following details:

Table 10:   RFI Details

Column Name	Description

Action	When you click on Send RFI link, the RFI details are displayed.
Sent By	The Email address of the logged-in user
Sent Date	The Date on which the RFI was sent. When a response is received, this field displayed the date on which the RFI response was submitted
Response From	The Email address of the user who has sent the response on RFI.
Responded Date	The Date on which the RFI response was sent.
Questionnaire Details	Shows the details of questionnaire.
Attachment	Shows the count of attachments sent and received along with the RFI email and questionnaire

5.4.5   Using Correlation Tab

This section covers the following topics:

- About Correlation tab
- Viewing Correlation Details
- Viewing Correlation
- Viewing Business Data Correlation

5.4.5.1   About Correlation tab

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

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.

5.4.5.2   Viewing Correlation Details

This section provides you details of correlation rule, the date on which it is created, the date on which it is updated, and score details.

To view score details breakdown, click the **Score** link. The breakdown of the correlation score is displayed. For example, Event Score, Entity Score, correlation Score, and Adjustment Score.

5.4.5.3   Viewing Correlation

The Correlation section displays the correlation that is the source and target of this case creation.

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

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 and target correlation details, follow these steps:

1. Navigate to the Case Summary page.

2. Click the **Correlation** tab. Go to the Correlation section a The following correlation details are displayed.

Table 11:   Correlation

Column Name	Description
Source Event ID	Displays the source event ID.
Source Event Focus	Displays the focus of source event. For example, Account
Source Focal Entity	Displays the focal entity of source event
Source Event Scenario	Displays the scenario of the source event ID.
Target Event ID	Displays the target event ID.
Target Focus	Displays the focus of target event
Target Focal Entity	Displays the focal entity of target event
Target Event Scenario	Displays the scenario of the target event ID.
Common Entity	Displays the common entity of source and target
Common Entity Type	Displays the common entity type of source and target

Source to Common Entity Relation	Displays the relation of the common entity with source focus.
Target to Common Entity Relation	Displays the relationship through which the source and target events are correlated.

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

3. Click Ok.

5.4.5.4   Viewing Correlation Network

The Correlation Network page displays events that are correlated with different business entities using a correlation rule. The Correlation Network page provides a graphical representation of the relationships between entities and other events. The graph starts from the eventing entity (event's focal entity which is also called a node). The graphical representation is supplemented with another event/entity (node) and relationship identified between the nodes (events and entities). The Network Visualization graph is displayed for the following grids

To view the correlation network, follow these steps:

1. Navigate to the Case Summary page.

2. Click **Correlation** tab. Go to the Correlation section.

3. Click **Correlation Network**. The Correlation Network page is displayed.
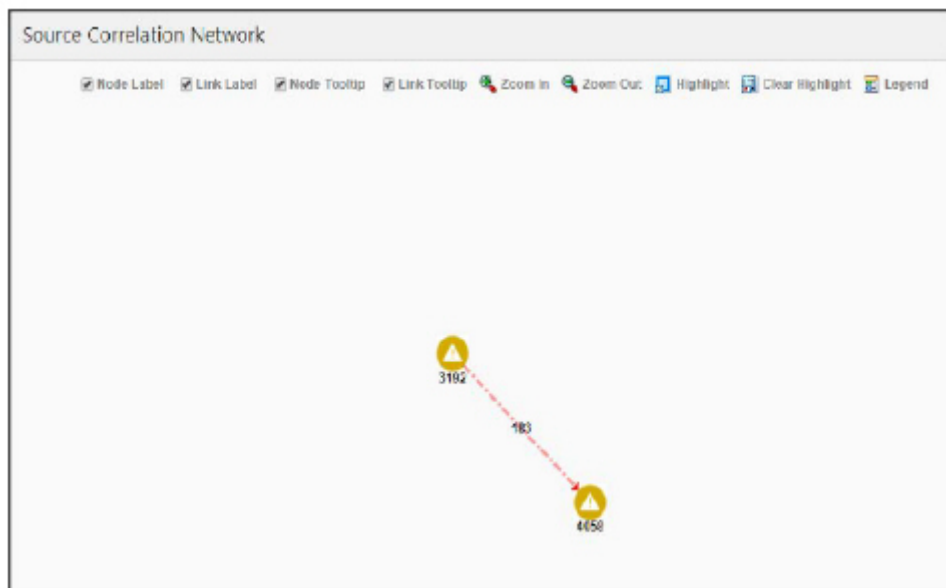
For more information on how to view Correlation Network using various features, see Using Network Graph section.

To view the linked events, follow these steps:

1. Navigate to the Case Summary page.

2. Click **Correlation** tab. Go to the Correlated Events section. The following correlated events details are displayed.

Table 12: Linked Events

Column Name	Description
Event ID	Displays the linked event ID.
Focus Type	Displays the focus type of event. For example, Account
Focus	Displays the focus event of linked event
Focal Entity	Displays the focal entity for linked event ID
Scenario	Displays the scenario of the linked event ID.
Created Date	Displays the creation date of event ID
Decision	Displays the decision status of the linked event ID.

5.4.5.5 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 Correlated 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 are displayed.

Table 13: 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 the 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.

5.4.5.6   Viewing Business Data Correlation Network

The Business Data Correlation Network page provides a graphical representation of the relationships between business data correlated to the selected event.

To view business data correlation network, follow these steps:

1. Navigate to the Case Summary page.

2. Click **Correlation** tab. Go to the Business Data Correlation section.

3. Click the **Business Data Correlation Network**. The Business Data Correlation Network page is displayed.
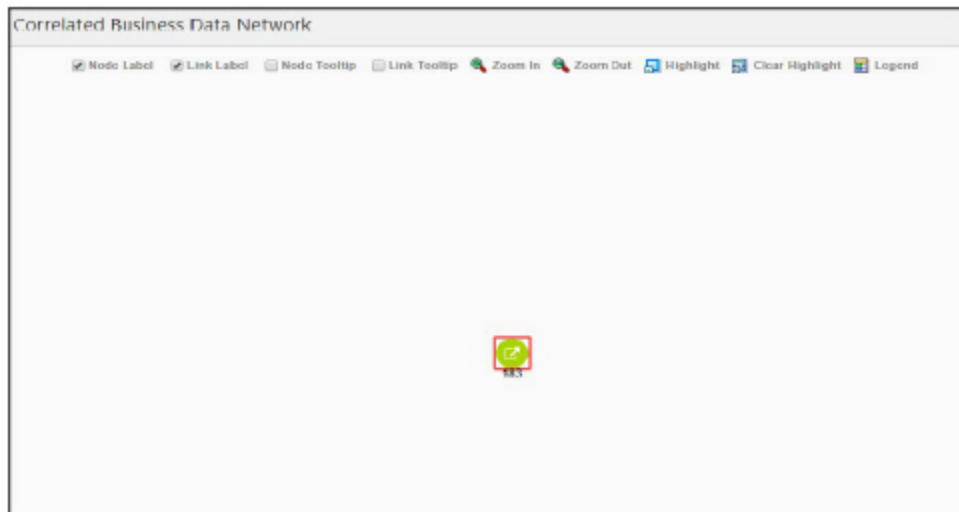
For more information on how to view Business Data Correlation Network using various features, see Using Network Graph section.

5.4.6   PGX Correlation Tab

The following sections are covered in this topic:

- About PGX Correlation Tab
- Viewing Correlation Details
- Viewing Correlation Network
- Viewing Linked Events

5.4.6.1   About PGX Correlation Tab

This new correlation tab allows for viewing events that are correlated using the PGX correlation engine. It can be added to a case through Case Designer. This tab gives an end-user overview of the correlated entities and events generated for these entities in a graph.

5.4.6.2   Viewing Correlation Details

This section provides you details of correlation rule, the date on which it is created, the date on which it is updated, and score details.

To view score details breakdown, click the Score link. The breakdown of the correlation the score is displayed. For example, Event Score, Entity Score, correlation Score, and Adjustment Score.

5.4.6.3   Viewing Correlation Network

This section displays the displays events that are correlated with different business entities using a correlation rule. This provides a graphical representation of the relationships between the entity and other events. The center of the graph is an eventing entity. Each entity and events are called node.

To view Correlation Network, follow the below steps:

1. Navigate to the Case Summary page.

2. Click Correlation tab. The Correlation Network page is displayed.

5.4.6.4   Viewing Linked Events

This section displays all linked events currently associated with the case. If there are events, which are unlinked, then those events do not display in the section.

5.4.7   Using Network Analysis Tab

The following sections are covered in this topic:

- About Network Analysis Tab
- Filtering Network Analysis
- Using Network Graph

5.4.7.1   About Network Analysis Tab

- Network Analysis Tab is also known as an 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.

5.4.7.2   Filtering Network Analysis

To filter network analysis information, follow these steps:

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

2. Enter the following information in the respective fields.

Table 14: Filtering Network Analysis

Field	Description

Start Entities	Select entities from the Start Entities list. Or, click **Select All** 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.
	The following entity types are displayed based on which entities are associated with the events.
	- Accounts - Customers - Households - External Entity - Employee - Correspondent Banks
	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.
	If the Case does not have one or more linked events:
	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.
	The entities are highlighted in the Network Graph.

Include Link Types	Select the links from Include Link Types (Account to Customer, Account to Employee, and so on). Or, click **Select All** 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 on Link Types, see Table 13. 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. 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 on household entities. Table 14 provides the Valid Link Types for each node. The system uses this information to find the most recent information to determine known relationships and shared attributes. For more information, see Table 15.

Transaction Date	Select the *from* and *to* transaction date.
	• Transaction Date From
	▪ Used to build a network based on shared activity. Whenever this date is selected, the system checks for the transaction between Transaction Date From and Transaction Date To for establishing the link for Wire, Journal, MI and Insurance Transaction.
	▪ It is defaulted to three months prior to the current date.
	▪ It cannot be greater than or equal to Transaction Date To. An error message is displayed: *Please enter a From date that is less than or equal to the To Date.*
	▪ It 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 To
	▪ Used to build a network based on shared activity. Whenever this date is selected, the system checks for the transaction between Transaction Date From and

	Transaction Date To for establishing the link for Wire, Journal, MI and Insurance Transaction.
	▪ It has defaulted to the current date.
	▪ It cannot be less than Transaction Date From. An error message is displayed: *Please enter a From date that is less than or equal to the To Date.*
	▪ The Transaction Date To 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	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.
Transaction Activity Options	Select transaction activities such as transaction amount equal, more, or less than.
	This field is displayed only when you select transaction-related link types (Journal Transaction, Wire transaction, and so on).
	Transaction Activity Options filter the network based on the transaction activity. The following Transaction Activity Options display:
	• Transaction Amount >= filters out transactions with amounts greater than or equal to the specified amount.
	• Transaction Amount <= filters out transactions with amounts less than or equal to the specified amount.

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

5.4.7.3   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 requirements. The Network Graph is displayed.
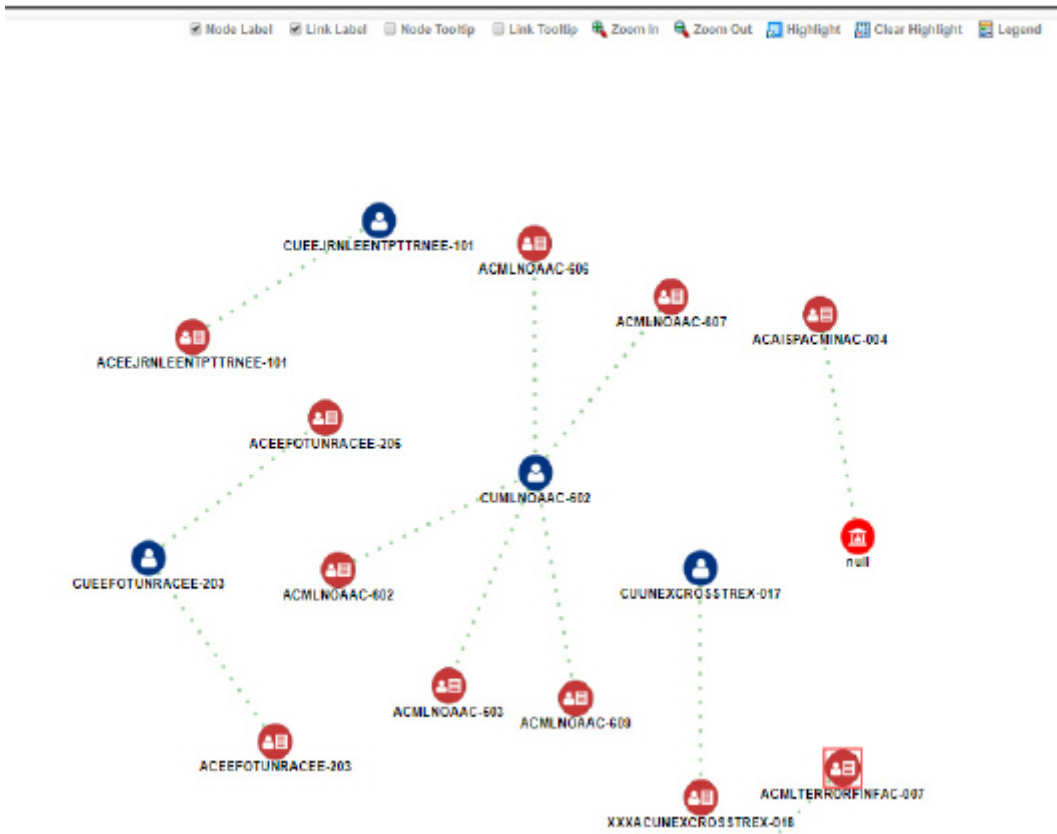
3. Select the following components to view network graphs.

| NOTE | By default, Node Label and Link Label options are selected and based on that network graph is displayed |

Table 15: Network Graph

Field	Description
Node Label	Select this check box to view a label for each node on the graph. De-selecting this check box 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 check box 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	Select this check box to enable the ability to view additional information (in the form of a tooltip) about the node on the mouse over. Unselecting this check box disables the display of node tooltip information on mouse over. A node tooltip displays the following information. • Node Type: The type of entity. • Node ID: The identifier of the entity represented by this node. • Total Amount: Sum of the transaction amounts of all links involving this node within the network. • Incoming Amount: Sum of the transaction amounts of all links going into this node within the network. • Incoming Count: Count of all transactions where this node is the TO NODE. • Outgoing Amount: Sum of the transaction amounts of all links going out of this node within the network. • Outgoing Count: Count of all transactions where this node is the FROM NODE. • Total Count: Count of all transactions where this node is the TO NODE or FROM NODE.
Link Tooltip	Select this check box to view additional information about the link on mouse over. Un-checking the box disables the display of link information on mouse over. A link tooltip displays the following information: • <From Node> • Known Relationships
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.

Highlight	Click this option to open the Highlight window. This allows a user to locate nodes and links on the network graph.
	
	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.
	
	    • To locate a Node, select the Node radio button.
	
	    • To locate a Link, select the Link radio button.
	
	When you are searching using this text box, the system uses the following mapping to find matching node (s) and link (s) on the graph. For example, you are searching in the context of a node and enters the value "AC123" in this text box.
	
	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.

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.

5.4.7.3.1   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 the 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. 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.

5.4.8   Using Relationship Tab

The following sections are covered in this topic:

- About Relationship Tab
- Managing Related Cases
- Managing Related Events

5.4.8.1   About Relationship Tab

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

The following tasks are performed using the Relationship tab:

- View 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 an additional case or event links to the current case.

NOTE	Linking and Unlinking activities of cases and events depend on the user roles.

5.4.8.2   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

5.4.8.2.1 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 the same business entity ID(s) as that of Case A are considered as related cases. For example, if two cases posses 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 **Case ID** link in Related Case section allows you to view the following details of the related case: Event Details tab, Evidence tab (including comments, attachments, Email, and RFI), Narrative tab, and Audit History tab.
- 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.

> | **NOTE** | Related cases are not displayed if they are created after the closure of the selected case. |

5.4.8.2.2 Using Links

This section describes how to link the 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, Merge, and Close as Duplicate.

Case Supervisor and Case Analyst can link a case.

This section covers the following topics:

- Linking/Merging Case
- Unlinking Case
- Adding Cases
- Viewing Relationship Reason

5.4.8.2.3 Linking/Merging Case

This section allows you to link and merge cases to the current case. You can link cases to one another, merge case to one another, and close cases as duplicate for the related cases. All the information,

including events, business entities, narrative, comments, and attachments of child case are copied to the parent case.

The audit history of the parent case will record which cases were merged into it.

To link and merge 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/Merge**. The Link Cases window is displayed.

4. Enter the following information in the respective fields.

Table 16: Link Case

Field	Description
Selected Cases	Displays the selected case or cases.
Action	Select the type of action from the drop-down list (Link, Merge, or Close as Duplicate).
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.

   a. If you select Link action, No information is transferred to the selected case. The action is recorded in the Audit History as a Link Case for the current case and the selected related cases, with the case ID attached to the Comments section of the Audit tab for the parent case.

   This action does not affect the status of the cases. 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 (Case Linked and Merged) 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 the status of the current case.

   b. You can see merged attachments and comments in the **Evidence** and **Audit History** of the parent case. You can view the comments on the **Evidence** tab or through **Audit History**. Once you confirm Close-Duplicate 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 the status of the current case, but changes the status of the selected cases to Closed-Duplicate

5.4.8.3 Unlinking Case

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

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

To unlink cases to the 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.

5.4.8.4 Adding Cases

If your role permits (not only role, the security attribute mapping also matters) 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, Domain, Title, Type, Created From/To, or Jurisdiction in the Case Search fields.

    Use a comma to separate Case IDs.

4. Click **Search**. The required case details are displayed.

5. Select the required case IDs and Click **Link/Merge**.

6. For more information on linking cases, see the Linking/Merging Case.

5.4.8.5 Viewing Relationship Reason

You can view the reason of the relationship associated with the case. This shows the details of common entities between the parent and the selected case.

To view the relationship reason, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Cases section.

2. Select the Case ID using the corresponding check-box.

3. Click **Reason**. The **Reason for Relationship** window is displayed. This window shows the ID, Name, and Type of Entity.

5.4.8.6 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
- Filtering Events
- Using Links

5.4.8.7 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, the event ID link is hyperlinked to display a model window that provides the user with details about the related case. From this window, the user can view the events, evidence, narrative tab, and audit history. This helps the user to understand an event that transpired during the investigation.

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 displays a value Yes if the event is related by virtue of being linked and No when the event is considered related but not linked.

> **NOTE** Related events are not displayed if they are created after the closure of the selected case.

5.4.8.8 Filtering Events

This option allows you to filter events related to the current case. By default, all the events are displayed in the Related Events section.

You can filter events based on the following search criteria:

- Association
- Jurisdiction
- Domain

- Scenario

- Focus

You can select all the filters and apply them using the **Apply** button to filter the related events.

To filter Related Events, select *All Events, Events in Case,* or *Uncorrelated Event*s from Association drop-down list. Based on the selection, the Related Event list is displayed.

5.4.8.9 Using Links

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

- [Linking Events](#)

- [Unlinking Events](#)

- [Adding Events](#)

5.4.8.10 Linking Events

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

To link events to the 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.Enter the following information in the respective fields.

Table 17:   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.

4. Click **Save**. The following message is displayed: The selected events will be linked with the current cases. Click OK to save the changes.

5. 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.

6. 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 the data transfer is successful, the message displays: *Selected events and cases were linked and requested transfer of event information is also completed.*

When the 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 the 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 the previous promotion or link actions will not be transferred again during the current link action.

5.4.8.11   Unlinking Events

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

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

To unlink events to the 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.

5.4.8.12 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, Jurisdiction, Focus Name, Domain, Focus, Created From/To, or Scenario in the Event Search fields.

   Use a comma to separate Event IDs

4. Click **Search**. The required event details are displayed.

5. Select the required event IDs and Click **Link Event**.

6. For more information on linking cases, see the Linking Events.

5.4.8.13 Viewing Event Details

To view the Event Details, follow these steps:

Navigate to the **Relationship** tab. Go to the **Related Events** section and click the **Event ID**. A new window is displayed with details. The window details of Events will be the same as when you click Event ID on the Search Event page. For more information, see Search Events.

5.4.9 Using Audit History Tab

The Audit History tab displays complete historic details of the case. This helps to save time to analyze case details and determine the next course of action on the case resolution. Based on the user roles, you can access the different parts (RFI actions, SAR actions, and so on) of the Audit History tab. If the type of the case is changed, the Audit History shows the case type change details. For more information, see *Configuring Case Action Data* section of Oracle Financial Services Enterprise Case Management Administration & Configuration Guide.

The following sections are covered in this topic:

- About Audit History Tab
- Case Change Type
- Exporting Audit History Details

5.4.9.1 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

- View and analyze the RFI details. This includes the User name, Date and Time, Action (RFI Sent), Assignee/Owner, Resulting Status (such as Pending RFI Response), Comments, and Attachment

- Export audit information in Excel or CSV format

5.4.9.2 Viewing the Case Type Updates

If the type of the case is changed, the Audit History shows the case type change details with status.

5.4.9.3 Filtering and Viewing Audit History Details

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

1. Navigate to the Case Summary page.

2. Click the **Audit History** tab. The Audit page is displayed.

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

Table 18: 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 in 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.
Email and RFI Actions	This displays the list of all Email and RFI actions performed on the case.
SAR Related Actions	This displays the list of SAR related actions performed on the 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 19.

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

Table 19:   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 action performed. For example, Add Customer, Modify Customer, viewed, commented, and added document.
Previous Assignee/Owner	When there is the change in assignment, it column displays the owner's name to whom the case was assigned to originally.
Assignee/Owner	When there is the change in assignment, it column displays the owner's name to whom the case was reassigned.

Due Date	Displays the due date, set on the case as a result of that action. This column will not display by default. You can select this from the **Columns** list.
Resulting Status	Displays the type of the resulting status due to that action.
Comments	Displays comments provided for each action taken by the user 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 the Attachment link. The Attachment List window is displayed.

   The Attachment List window is not displayed if the attachment is only one. It directly downloads the attachment.

5. Click on Document link. The attached document is displayed.

5.4.9.4   Viewing Email Details

1. After clicking on the action item as Email Sent link, the content of the email is displayed.

   This includes the following details:

   - **To:** email address of the user who sent the email
   - **CC and BCC:** email address or addresses of the recipients to whom you want to send the copy of the email
   - **Subject:** subject regarding the email
   - Content of body

2. The count of attachments sent along the email is also displayed in the **Attachment** column.

5.4.9.5   Viewing the RFI Details

1. After clicking on the action item as RFI Sent link, the content of the RFI is displayed.

   This includes the following details:

   - **To:** email address of the user who sent the RFI email
   - **BCC:** email address or addresses of the RFI email recipients
   - **Subject:** subject regarding the email

- Content of body

2. The count of attachments sent along the RFI email is also displayed in **Attachment** column.

5.4.9.6   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 Common Features, for more information.

5.5   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 Trade Finance Tab
- Using KYC Risk Score Tab
- Using Onboarding Risk Score Tab
- Using Transaction Tab
- Using Customer Screening Tab
- Using Transaction Tab
- Managing Business Entity List
- Managing Business Entity Records

5.5.1   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 linked to the current case at some point after the case's creation.

By default, the business entities section displays five records.

Table 20:   Business Tabs Display

Tabs	Money Launder-ing	KYC	Fraud	Employee Fraud	Customer Screening
Account	X	X	X		
Customer	X	X	X		
Household	X		X		
External Entity	X		X		
Correspondent Bank	X				
Employee			X	X	
Investment Advisor	X		X		
Transactions	X		X		
Financials			X		
KYC Risk Score		X			

Customer Screening					X	

5.5.2 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).

5.5.3 Using Event Details Tab

The Event Details tab allows performing a 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
- Viewing Threshold Details
- Setting Event Decision

5.5.3.1 About Event Details Tab

This tab provides a list of events associated with the selected 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. Allows you to add events manually. Event Summary Grid displays the following event details: Event ID: Focus Type, Focus, Focus Name, Event Type, Scenario Name, Event Generation Date, Highlight, Business Domain, Jurisdiction, External Source System, Event Promotion Date, Decision, Created By, Score, Priority, and Threshold Details

- **Events Details**: provides complete information of the selected event.

5.5.3.2 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:

- Account
- Account Balance
- Account Management
- Account Summary
- Anticipatory Profile
- Back Office Transaction
- Cash, Dep/WD, POS Transaction
- Chk/MI Transaction
- Customer
- External Entity
- Fund Transfer / Electronic Transaction
- Investment Advisor
- Trade
- Correspondent Bank
- Correspondent Bank Summary
- Derived Address
- Household Balance
- Household Summary
- Loan
- Loan Summary
- Account ATM Daily Profile

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

NOTE	Statement View is displayed only if your firm has to install FCCM Analytics.

5.5.3.3 Viewing Threshold Details

This section allows you to view the threshold details of the selected event.

To view the threshold details, follow these steps:

1. Navigate to the **Events Details** tab.

2. Click Threshold Details link. The Threshold Details are displayed:

5.5.3.4 Adding Events

This section allows you to add events manually.

To add an event, follow these steps:

1. Navigate to the Events Details tab.

2. Click **Add Event** link. The Add Event window is displayed.

NOTE	Event type drop-down is filtered based on the case type associated with the current case.
	Using the *Entities on this Case* check box only returns those entities that are part of this case. This check box is available only when the Add Event window is accessed through the Event Details Tab. Manually added entities are not retrieved when the box is either checked or unchecked.

3. For more information, see Creating Events.

5.5.3.5 Setting Event Decision

This section allows you to take a decision whether the selected event or events are relevant or not for further case investigation.

To set event decision, follow these steps:

1. Navigate to the Events Details tab.

2. Select the one or more required Event IDs.

3. Click **Set Event Decision**. The Set Event Decision window is displayed.

4. Select the decision from the drop-down list (Relevant or Not Relevant).

5. Select the Standard Comment from the drop-down list. By default, following four standard comments are provided for the AML and FRAUD Casetypes.

    a. Based on Account Type

    b.   Based on Customer Type

    c.   Will be evaluated for Suppression

    d.   Will be evaluated for Auto-close

You can select multiple events and set a single or multiple standard comments along with risk event decisions. Administrator can create different Standard Comments per case type. For more information, see the Oracle Financial Services Enterprise Case Management Administration and Configuration Guide.

6. Enter comments in the Comment box for the above selected option.

7. Click **Save**. The updates are recorded and displayed in the Decision column of Event List section.

5.5.3.6   Network Visualization

Network Visualization is used to communicate information clearly and efficiently via graphics. Effective visualization helps you analyze cases and events. It makes complex data more accessible, understandable, and usable. The Network Visualization section provides insight into the relationship between various entities through graphics.

The Network Visualization link page is accessible for cases that are created using the Enterprise Case Management Framework platform link analysis capabilities such as Networks of Accounts, Entities, Customers, and Hidden Relationships scenarios. The Link Analysis algorithm produces a network of all the related entities that are linked by the information they share.

Nodes are entities, such as a Customer or Account, and each node can join to none, one or many other nodes via a link. The Network Visualization Link page allows you to visualize the nodes involved in a network and the links between those nodes.

There can be more than one link between two nodes. For example, if two bank accounts have multiple transactions between them, then each transaction forms one link.

The graphical representation is supplemented with information regarding each node and link.

The Network Graph displays all nodes in that network even if the node represents an entity that you do not have access to view. In that case, you are restricted from viewing additional details about the node (accessible via the Node Menu).

This section covers the following topics:

- Accessing Network Visualization Link page
- Using Network Graph Components
- Repositioning Nodes
- Collapsing and Expanding Nodes
- Viewing Node Details
- Using Graph Toolbar
- Viewing Link Details

5.5.3.7   Accessing Network Visualization Link page

This section describes how to access the Network Visualization Link page.

To access the Network Visualization Link page, follow these steps:

1. Navigate to the Event Details page.

2. Select the Event ID and click **View Event Details** from **Event List**.

3. Select the Event ID from **Network Structure** section and click **Network Visualization** link. The Network Visualization page is displayed.
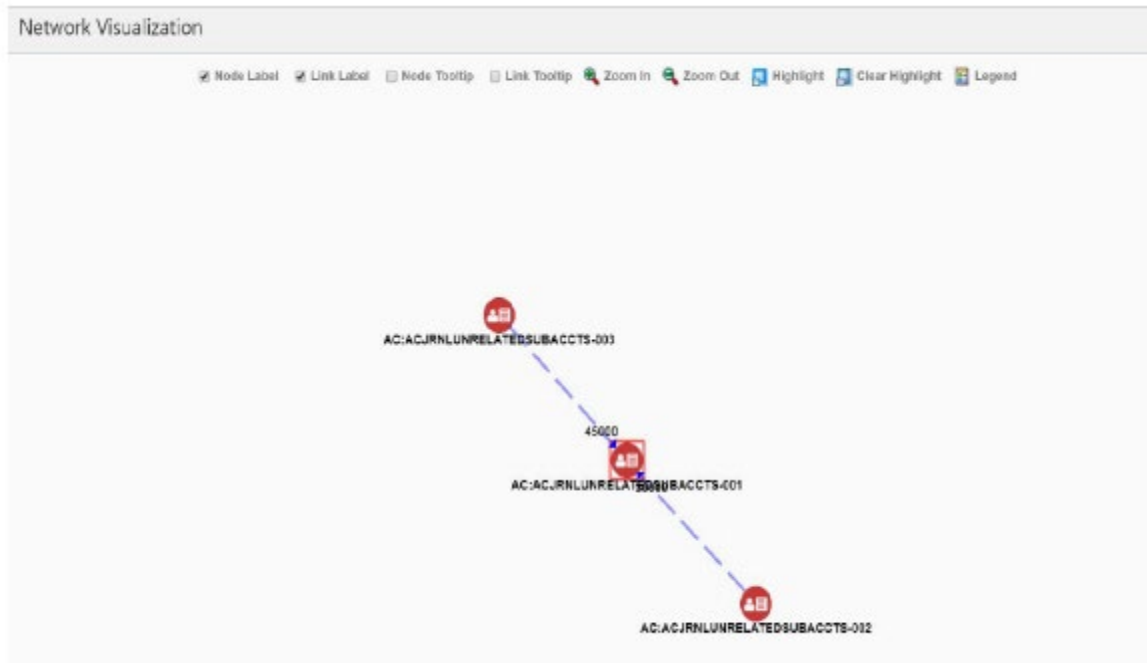
5.5.3.8   Using Network Graph Components

A typical network graph shows nodes and links. Nodes are entities such as a customer or account and each node can join to none, one or many other nodes via a link.

Each type of node is associated with a specific icon on the graph. The following table describes the icon displayed on the graph for each type of node

Table 21:   Node Icons

Icon	Type of Node
	Account
	Customer

	External Entity
	Primary Node: Any node icon with a red border around it.

.

Each type of link is associated with a specific line format and line color on the graph. The following table describes the line format and color displayed for each type of link.

Table 22:   Link Line Formats

Line Format	Line Color	Type of Link
	Brown	Common Address
	Magenta	Common Email
	Purple	Common Password
	Cyan	Common Phone Number
	Green	Common Tax ID
	Black	Complex Activity
	Orange	Instructions
	Red	Insurance
	Blue	Journal
	Red	Monetary Instrument
	Red	Wire

When two nodes are connected by more than one link, the graph displays the link as a complex activity.

The arrowhead on a link represents the directionality of that link.

The direction of arrows are as follows, depending on the nature of links between nodes:

- One direction (---->)
- Bi-directional (<----->)
- Non-directional (-------)

5.5.3.9   Repositioning Nodes

The Network Graph page allows you to move nodes around the screen, using drag and drop, to reposition them.

To reposition nodes, follow these steps.

1. Navigate to the Network Graph page.

2. Select a node to reposition and click it, pressing your mouse button until your cursor is where you want the node to be positioned, then release.

NOTE	The graph only uses a specific portion of the browser window to display the graph. Dragging a node beyond a certain point towards the right side of the browser hides the portion of the graph dragged beyond that point. However, you can use the Zoom Out feature on the Graph Toolbar to view the hidden portion again.

5.5.3.10   Collapsing and Expanding Nodes

This option allows you to hide all outgoing links and nodes to which these outgoing links are connecting from the node being collapsed. The collapsed node remains on the graph and the node icon changes to indicate the collapsed state.

To collapse nodes, follow these steps.

1. Navigate to the Network Graph page.

2. Select a node to collapse and right-click. An option menu is displayed.

3. Select the **Collapse** option from the menu. The outgoing links are hidden on the page.

NOTE	If any child node has at least one incoming link from any other node, the child node and its child network are not collapsed. But the link from collapsed node to the child node is hidden and icon of collapsed node changes to indicate the collapsed state.
	On the Node Menu of a collapsed node, the Collapse option changes to Expand. If the user collapses a node but there is no impact on the graph (meaning, nothing was hidden), the Node Menu remains unchanged. There is no restriction on how many nodes can be collapsed on a graph.

4. To expand the node, select **Expand** from the menu. The outgoing links are restored on the page.

> | **NOTE** | The Collapse option does not appear for outer nodes. Outer nodes are nodes that do not have any outgoing links. |

5.5.3.11 Viewing Node Details

This section allows you to view the current information associated with the selected node. This is the same information that is displayed on the Business Entity tab for this entity.

To view nodes' details, follow these steps.

1. Navigate to the Network Graph page.

2. Select a node and right-click. An option menu is displayed.

3. Select the **View Node Details** option from the menu. The Node Details window is displayed with current information associated with the selected node.

> | **NOTE** | Stated above can interact with the main application window (that displays the graph) while this window is open. But only one window can be opened 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 is displayed. |

5.5.3.12 Using Graph Toolbar

The Graph Toolbar allows you to perform general operations associated with the graph. It is displayed on the top of the Network Graph page. You can select different toolbar options such as Node Label, Link Label, and so on.

To use the graph toolbar, follow these steps:

1. Navigate to the Network Graph page.

2. You can perform the following actions using the Graph Toolbar:

   - Viewing Node Label: Select the Node Label checkbox to view a label for each node on the graph. The Node Label displays in the following format - *NodeType: NodeID*.

     Node Type represents - the type of entity.

     Node ID represents- the identifier of the entity represented by this node.

   - Viewing Link Label: Select the Link Label checkbox to view a label for each link on 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 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 links between nodes are non-transactional links, the Link Label does not display.

   - Viewing Link Tooltip: Select the Link Tooltip checkbox to view additional information about the link by mouse over on the graph. A link tooltip displays the following information:

<From Node>: The identifier of the entity represented by the first node.

Link Direction Arrow: The direction of the relationship between nodes.

One way ----> or <----- : Displays when one node has a transactional link. For example, the *From Node* has sent funds to the *To Node.*

Bi-directional <----->: Displays when both nodes have a transactional link. For example, the *From Node* has both sent and received funds from the *To Node.*

Non-directional ------: Displays when the nodes have shared attribute s, but no transactional link. For example, nodes share a common address.

- <To Node>: The identifier of the entity represented by the second node.

- Shared Attributes: Information or attributes, two nodes have in common, such as a common address, phone number, or tax ID.
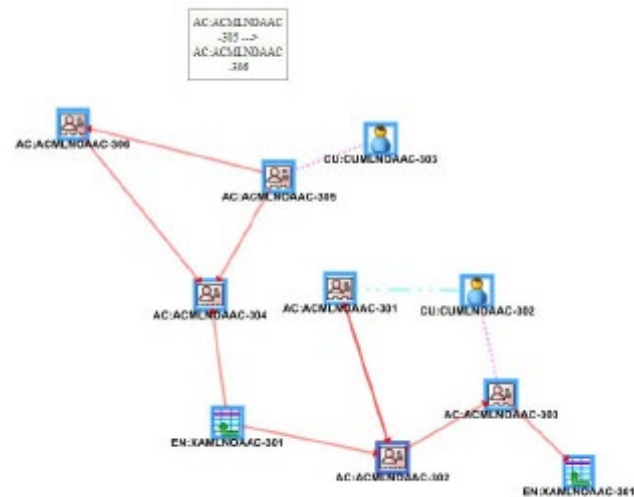
- Viewing Node Tooltip: Select the Node Tooltip checkbox to view additional information (in the form of a tooltip) about the node by mouse over on the graph. A node tooltip displays the following information:

  - **Node Type:** The type of entity

  - Node ID: The identifier of the entity represented by this node

  - **Total Amount**: Sum of the transaction amount of all links involving this node within the network

  - **Incoming Amount:** Sum of the transaction amount of all links going into this node within the network

  - **Outgoing Amount:** Sum of the transaction amount of all links going out of this node within the network
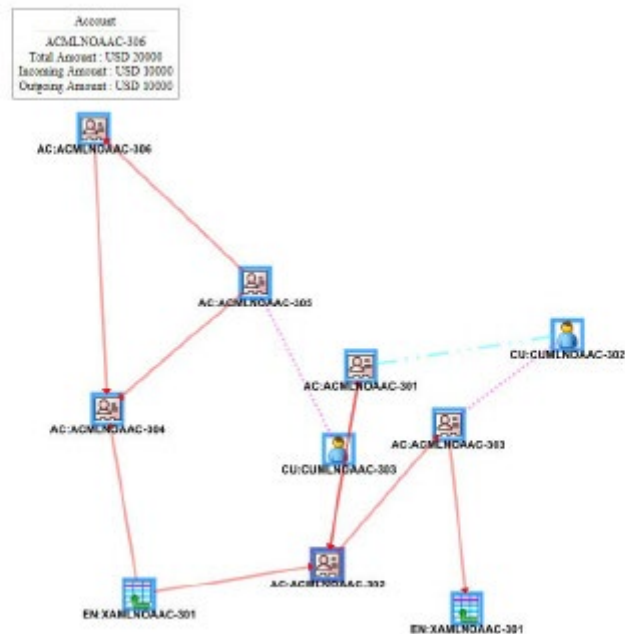
- Zooming In: To view the objects closely on the Graph Tool page, click the Zoom In. You can also use your mouse wheel to zoom out.

- Zooming Out: To view the objects from far on the Graph Tool page, click the Zoom Out. You can also use your mouse wheel to zoom in.

- **Using Highlight**: To highlight nodes or links, follow these steps:

i. Click **Highlight**. The Highlight dialog box is displayed. This box allows a user to locate nodes and links on the network graph.

ii. To locate a node or link, select **Node** or **Link** options using the radio buttons.

iii. Enter the node or link business unique identification number in the Value Contains field or select from drop-down list.

iv. To select more than one node, hold down the **Shift key**, and click **Nodes** inside the selection box. The text box includes a wildcard search feature. The textbox applies the wildcard search automatically, you need not add any wildcard characters before or after the text entered in this textbox. Blank space before or after the text entered in the textbox is considered part of the search criteria.

v. Click **Apply.** Nodes that match the search criteria are visually distinguished on the graph by placing a blue border around them. Links that match the search criteria are visually distinguished on the graph by making the link line thicker.

vi. To clear highlights on the Graph Tool page, click **Clear Highlight.** All visual distinctions made on the graph as a result of using the Highlight feature are cleared.

- **Viewing Legend:** To view various graphical components of the Network Graph page, click **Legend**. The Legend dialog box is displayed which provides a dynamic indicator of nodes and links that are visible in the graph.

5.5.3.13 Viewing Link Details

The Link Details allows you to view additional information related to the selected link.

To view link details, follow these steps.

1. Navigate to the Network Structure section of the **Event Details** tab.

2. Select the Event ID. Click **Details link** under Network Structure. The Link Details page is displayed. It provides details of the nodes at either end of the link and the link(s) involved in the relationship.

    The following table describes the Link details.

    Table 23:   Link Details

Headings	Description
Participating Nodes	Displays nodes on both ends of the link.
Source ID	Displays the node at one end of the relationship.
Direction	Displays the type of relationship existing between two nodes. This can reflect a relationship based on transactional activity such as a Wire or it can reflect a link based on a known relationship such as a Common Address.
Link	Displays the individual link.
Weight	Displays the value of the activity involved in a transaction. For example, when a transaction forms a link between two accounts, the link amount is the transaction amount.

5.5.4   Using Account Tab

The Account tab allows to perform a 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

5.5.4.1   About Account Tab

This tab provides a list of accounts associated with the selected 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

5.5.4.2   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.

5.5.4.3   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](#)

5.5.4.4 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.

5.5.4.5 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. The 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 with 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 the account manager. See the [Managing Business Entity Records](#) section.

To add a 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.

5.5.4.6 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 to the selected account. You can add new restrictions and modify or remove the existing restrictions.

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

To add new restrictions, open Account Restriction window. Enter the restriction that is, the 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.

5.5.4.7 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.

5.5.4.8 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.

5.5.4.9 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.

5.5.4.10 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.

5.5.4.11 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.

4. Enter the following information in the respective fields.

Table 24:   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**. A confirmation message is displayed.

6. 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.

7. To modify or remove the existing watch lists records, see the Managing Business Entity Records section.

5.5.4.12 Viewing Anticipatory Profile

The anticipated profile of all accounts that are associated with a case is collected at the time of inception of customer relationships 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 the 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.

5.5.4.13 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.

5.5.4.14 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

5.5.4.15 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

5.5.4.16 Viewing Loans

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

5.5.4.17 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.

5.5.4.18 Viewing Summary

This section displays the following information:

- Summary types 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 the last transaction performed from the selected account

5.5.5   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

5.5.5.1   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 case and their complete details.

Both, Primary and Secondary customers can be part of the customer tab.

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 the 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

- You can initiate a negative news report by selecting one or more customer from the customer list

5.5.5.2   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.

- Initiate Negative News Report. For more information, see the Initiate Negative News Report.

5.5.5.3   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 Quantifind Information

5.5.5.4 Viewing Customer Details

This section displays the detailed information of the selected customer such as customer ID, customer type, occupation, and so on. You can modify customer details. For more information, see the Managing Business Entity List section.

5.5.5.5 Managing Customer Account

This section displays the list of 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 a new account, select the account ID and the role the customer plays with this account in the Account window.

5.5.5.6 Managing Customer Online Account

This section displays the list of all online accounts 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.

5.5.5.7 Adding New Online Account to the Customer

To add a new online account, follow these steps:

1. Navigate to the Customer tab.

2. Select the 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.

4. Enter the following information in the relevant fields.

Table 25: Online Accounts

Fields	Description
Online Account ID	Enter the online account ID. This is an online account of customers associated with the case who are accessing their internal accounts using the internet or other telebanking channels.
Online Account User ID	Enter the online account user ID.
Account ID	Select the account ID. 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 online account and internal account are associated.

5. Click **Save**. The following message is displayed: *Add Operation Successful*.

6. 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.

7. To modify or remove existing online accounts in the customer records, see the Managing Business Entity Records section.

5.5.5.8 Managing Customer Contact Information

This section displays the contact information such as an 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.

5.5.5.9 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.

5.5.5.10 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.

5.5.5.11   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 relationships in order to understand the sources of funds and the expected transactions for these entities.

This section displays the list of 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.

5.5.5.12   Adding New Anticipatory Profile to the Customer

To add new anticipatory profile, follow these steps:

1. Navigate to the Customer tab.

2. Select the 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.

4. Enter the following information in the relevant fields.

Table 26: 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 the multi-selector list that this anticipatory profile represents. For example, Monthly, Quarterly, or Annually.
Average Transaction Count	Enter the anticipated average transaction count that the 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: *Add Operation Successful*.

6. 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.

7. To modify or remove existing anticipatory profiles in the customer records, see the <u>Managing Business Entity Records</u> section.

5.5.5.13   Viewing Quantifind Information

Quantifind is a third party company which provides risk information about entities. A contract with Quantifind is required to use this feature. Their product is integrated within FCCM Enterprise Case Management to allow users to retrieve and view the risk scores of a Customer. Investigator can check old or new transaction status and take actions considering Customer's risk level using Risk Cards. Only Supervisors have access to Quantifind results. Past records of existing users will be stored in the database. You can view Risk Card details and request latest Risk Card with current and past Customer records.

To view the Quantifind Information, follow these steps:

1. Navigate to the **Customer** tab.

2. Select the required Customer details.

3. Click **Get Latest Quantifind Information** link.

4. Click **Details** link for the requested Customer.

The time and scorecard received from Quantifind is displayed in Quantified Details window.
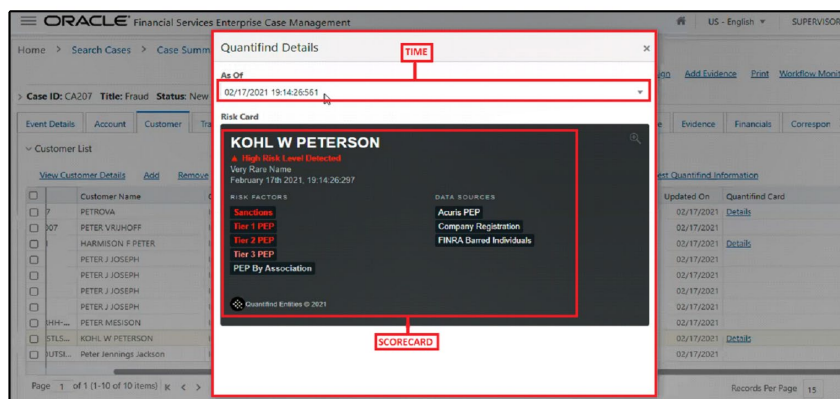
NOTE	• Risk Card can be requested multiple times for the same Customer to find Cus-tomers risk score. For example: To check RISK FACTORS and DATA SOURCES of the required person, select the required Quantifind details(02/17/2021 19:14:26:561) from "As Of drop-down".
	• Quantifind process does not support having a $ symbol in the customer name.

5.5.5.14 Viewing Summary

This section displays the following information:

- A summary of transactions for the selected customer

- Summary types 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

5.5.5.15 Initiate Negative News Report

As a part of investigation you can initiate negative news report for the primary or secondary customer. You can select one or more of customer from the list and click on the Initiate negative news report button. Out of the box OFS ECM is pre-integrated with Arachnys for retrieving the negative news report on a customer. Currently, this integration is available to aid investigation of the customer.

The audit tab reflects if the initiate news report action is performed. After the user has clicked on the initiate news report button, the system displays an information message to indicate that the system has initiated the process. Once the news is being initiated, Arachnys creates the news report in their system. OFS ECM updates the audit tab to reflect the report URL so that the user can navigate to Arachyns UI for further investigation. The news report has to be worked on the Arachyns UI and after the investigation is complete the news report has to be manually uploaded to the case.

5.5.6 Using External Entity Tab

The following sections are covered in this topic:

- About External Entity Tab

- Managing External Entity List

- Managing External Entity Details

5.5.6.1 About External Entity Tab

The External Entity tab allows performing 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. The following details are displayed:

- Associated Institution: Associated institutions may be banks, financial institutions, and so on. The Associated Institution column displays a summary of the associated institutions related to the selected external entity. This section displays details such as bank name and bank ID details. This has two subsections: ID and Name

- Jurisdiction: Displays the name of the jurisdiction.

- Risk Information: This displays the value of risk associated with the selected external entity.

- Created On: This is the date when the record was created in the business data.

- Last Updated: This is the date when the record was updated during an edit.

NOTE	When you click on Entity ID in **External Entity List** section, the details of associated Entity Names and corresponding Entity IDs will display in **Related External Entity** window. Multiple Entity Names can be present for an Entity ID or Multiple Entity IDs can be present for an Entity Name'. For example, External Entity ID "123456" can display multiple Entity Names, such as "GE Industrial Services", "GE Industrial Svr", "GE Ind. Svrs" in R**elated External Entity** window. Similarly, External Entity Name "GE Industrial Services" can display the Entity IDs, such as "11", "22", "33" in **Related External Entity** window. An Entity ID/Name can have multiple Addresses which will be displayed in the Address pop-up.

- **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

5.5.6.2   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.

5.5.6.3   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 the external entity associated case.

The following topics are covered in this section:

- Managing Contact Information
- Viewing Risk Information

5.5.6.4   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.

5.5.6.5   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.

5.5.6.6   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.

4. For more information, see the Adding New Watch Lists. Additionally, enter the matched name information.

5. To modify or remove the existing watch lists records, see the Managing Business Entity Records section.

5.5.7   Using Household Tab

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

The following sections are covered in this topic:

- About Household Tab
- Managing Household List
- Managing Household Details

5.5.7.1 About Household Tab

The Household tab allows you to perform a 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

5.5.7.2 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.

5.5.7.3 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

5.5.7.4 Viewing Household Details

This section displays 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.

5.5.7.5 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 with 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 an account. See the Managing Business Entity Records section.

5.5.8 Using Employee Tab

The following sections are covered in this topic:

- About Employee Tab
- Managing Employees List
- Managing Employee Details

5.5.8.1 About Employee Tab

The Employee is 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 an 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 the Current Information window
- Add, modify, and remove account and contact information

5.5.8.2 Managing Employees List

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

- Adding, modifying, and removing an 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 an employee. For more information, see the Viewing Current Information.

5.5.8.3 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

5.5.8.4 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.

5.5.8.5 Managing Employee Accounts

This section displays the list of 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 with 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 a new account, enter employee managed role or employee-owned role in the Account window.

5.5.8.6 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.

5.5.9   Using Correspondent Bank Tab

The following sections are covered in this topic:

- About Correspondent Bank Tab
- Managing Correspondent Bank List
- Managing Correspondent Bank Details

5.5.9.1   About Correspondent Bank Tab

The Correspondent Bank tab allows us 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 the correspondent bank that is 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

5.5.9.2   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.

5.5.9.3   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](#)

5.5.9.4 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.

5.5.9.5 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 the account. See the [Managing Business Entity Records](#) section.

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

5.5.9.6 Viewing Risk Information

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

5.5.9.7 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.

5.5.9.8 Viewing Correspondent Bank Peer Groups

The Peer Groups section displays a summary of the 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.

5.5.9.9 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.

5.5.10 Using Investment Advisor Tab

The following sections are covered in this topic:

- About Investment Advisor Tab
- Viewing Investment Advisor List
- Viewing Investment Advisor Details

5.5.10.1 About Investment Advisor Tab

The Investment Advisor tab allows you to perform a 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.

5.5.10.2 Viewing Investment Advisor List

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

5.5.10.3 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

5.5.10.4 Viewing Investment Advisor Details

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

> **NOTE**   You cannot modify the details of investment advisors.

5.5.10.5 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.

5.5.11 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

5.5.11.1 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

5.5.11.2 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](#)

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

Table 27: 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 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.
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 were 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.

5.5.11.4 Editing Cost Center and GL Account Details

If your user role permits, you can modify the 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 are 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 27.

4. Click **Save.** The following message is displayed: *Update Operation Successful.* The Current Loss and Recovery Summary section is displayed with updated information.

5.5.11.5 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: *Delete Operation Successful.* The Current Loss and Recovery Summary section is displayed with updated information.

5.5.11.6 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 the summary of current loss and recovery in the 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.

5.5.11.7 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

5.5.11.8 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 28: Loss and Recovery Record		
Column	**Description**	**Loss and Recovery Records**

		Potential Loss	Averted Loss	Recovery
Date	The 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 com-ment that was entered with respect to this record.	X	X	X

5.5.11.9   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.

4. Enter the following information in the respective fields.

Table 29: 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. **Note:** 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: *Add Operation Successful.*

6. 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.

5.5.11.10 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 the 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.

5.5.11.11 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.

5.5.12 Using Trade Finance Tab

The following sections are covered in this topic:

- About Trade Finance Tab

- Managing Letter of Credit Contract Details

- Managing Documentary Collection Contract Details

5.5.12.1 About Trade Finance Tab

This tab displays the information of trade finance activities, which were the reason for creating the case. This is available only for TBAML Case type.

The Trade Finance tab has the following sections:

- Letter of Credit Contract: details the list of credit contracts associated with the selected case.
- Documentary Collection Contract: provides the information of the documentary collection contract details.
- The following tasks are performed using the Trade Finance tab:
- View and analyze the list of trade finance contracts and documentary collection contracts associated with the case
- View and analyze the individual credit/collection details
- Allows to export the Letter of Credit contract and Documentary Collection Contract details to Excel or CSV format
- Viewing Current Information of Letter of Credit Contract. For more information, see the Viewing Current Information.
- Viewing Current Information of Documentary Collection Contract. For more information, see the Viewing Current Information.

5.5.12.2 Managing Letter of Credit Contract Details

This section allows you to view and analyze the trade credit details of the selected TBAML event.

The following topics are covered in this section:

- Viewing Letter of Credit Contract Event
- Viewing Letter of Credit Contract Good/Service
- Viewing Letter of Credit Contract Party
- Viewing Letter of Credit Contract Document

For more information, see the TBAML Guides.

5.5.12.3 Viewing Letter of Credit Contract Event

This section contains the details of the Trade Finance Contract that are either issued or received by the Oracle client.

This identifies the following details:

- Type of trade finance contract (that is, letter of credit, guarantee, shipping guarantee, and reimbursement)
- Various life cycles of a trade finance contract, such as issuance of a contract, amendments to a contract, or cancellation of a contract, captured as events

- Relationships to other trade finance contracts such as the import letter of credit associated to a guarantee

- Terms, conditions and details of a trade finance contract

- Details of a transferred letter of credit

5.5.12.4   Viewing Letter of Credit Contract Good/Service

This section contains the details of the individual good or service involved during a specific event of the life cycle of a trade finance contract.

5.5.12.5   Viewing Letter of Credit Contract Party

This section contains details of the individual party involved during a specific event of the life cycle of a trade finance contract. Each contract may be associated to one or more parties.

5.5.12.6   Viewing Letter of Credit Contract Document

This section contains the details of the individual document involved during a specific event of the life cycle of a trade finance contract. Each contract can have one or more documents.

5.5.12.7   Managing Documentary Collection Contract Details

This section allows you to view and analyze the documentary collection contract details of the selected TBAML event.

The following topics are covered in this section:

- Viewing Documentary Collection Contract Event

- Viewing Documentary Collection Contract Good/Service

- Viewing Documentary Collection Contract Party

- Viewing Documentary Collection Contract Document

For more information, see the TBAML Guides.

5.5.12.8   Viewing Documentary Collection Contract Event

This section contains the details of the documentary collection contract that are either issued or received by the customer. This file identifies the following details:

- Terms, conditions, and details of a documentary collection contract.

- Various life cycles of a documentary collection contract, such as booking of a contract, amendments to a contract, refusal of a contract, or cancellation of a contract captured as events.

- Operations on a documentary collection contract such as Advance, Discount, Purchase, Negotiation, and so on, which are captured through a modification event.

- Payments and charges associated with a documentary collection contract.

5.5.12.9 Viewing Documentary Collection Contract Good/Service

This file contains the documentary details of the individual good or service involved during a specific event of the life cycle of a documentary collection contract.

5.5.12.10 Viewing Documentary Collection Contract Party

This section contains details of the individual party involved during a specific event of the life cycle of a documentary collection contract. Each contract may be associated to one or more parties.

5.5.12.11 Viewing Documentary Collection Contract Document

This section contains the details of the individual document involved during a specific event of the life cycle of a documentary collection contract. Each contract can have one or more documents.

5.5.13 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

1.1.1.1 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. You will have to map this tab manually.

| NOTE | This tab is not mapped by default out of the box. KYC Customer Dashboard has all the information displayed on this tab. This tab can be enabled by using a case designer only if required. |

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 on 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 aid the user to decide if there is a need for a manual override of the risk score calculated by the system. For more information, see the [Editing Case Context Details](#).

5.5.13.1   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 a 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 check box 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.

5.5.13.2   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 Accelerated Rule Trigger](#)

- [Viewing Algorithm Based Assessment](#)

- [Viewing Accelerated Rule Trigger](#)

- [Viewing Interested Party Details](#)

5.5.13.3   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 30:   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, the country to which the customer belongs.

5.5.13.4 Viewing Algorithm Based Assessment

This section display 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 31: 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.

5.5.13.5 Viewing Accelerated Rule Trigger

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

5.5.13.6 Viewing Interested Party Details

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

For more information, see KYC Assessment Guide.

5.5.14 Using Onboarding Risk Score Tab

The following sections are covered in this topic:

- About Onboarding Risk Score Tab
- Managing Risk Assessment List
- Managing Score and Applicant Details

5.5.14.1 About Onboarding 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). This is available only for KYC_OB Case type. This tab is specifically for KYC Onboarding Prospect cases.

The link of questionnaire displays in Risk Score section. After clicking on this link, the questionnaire details will display.

When you click on the **Details** button under the **Applicants Involved** section, the ID Verification status and Watch List details are displayed for related parties in a popup.

You can perform any action on closed case using the **Take Action** link. For more information, see the Using Take Action Window section.

5.5.14.2 Managing Risk Assessment List

This section shows the list of the risk IDs associated with a customer by considering different attributes of the customer. The workflow of KYC enables Financial Institutions (FI) to perform Due Diligence, Enhanced Due Diligence, and continuous monitoring of customers. The attributes differ based on the customer type. For more information, see the KYC guides on OHC.

- Risk Assessment ID: It is the unique identification for the risk assessment.

- Applicant ID: Displays the Applicant ID of the risk assessment.

- Applicant Name: Displays the name of the Applicant on whom the risk assessment is performed.

- Risk Score: Displays the most recent risk score.

5.5.14.3 Managing Score and Applicant Details

- Applicant risk score. The risk score is the highest score of the Rule-based assessment details and Model-based/Algorithm-based assessment details.

- Applicant details. You can view basic information about the applicant such as the contact number, e-mail address, occupation and so on.

- Rule Based Assessment Details: Risk score assigned to each component of the Rule-based assessment such as occupation, citizenship source (primary or secondary) and so on

- Model Based Assessment Details: Risk score assigned to each component of the Model-based/Algorithm-based assessment such as watch list risk

- Watch List details. The watch-listed customers are displayed in this grid. It also displays the watch list details of every part of the application.

5.5.15 Using KYC Customer Dashboard Tab

The following sections are covered in this topic:

- About Customer Dashboard Tab

- Managing Customer Risk Score History List

5.5.15.1 About Customer Dashboard Tab

This tab is applicable only for KYC case types and for those cases, which are created for existing customers through the batch processing. You can view the complete history of the risk scores of a customer for the selected time period.

The Customer Dashboard tab has the following sections:

5.5.15.2   Customer Details and Case Score Panel

This panel gives the high-level view of the scores and the times the customer has been scored. The details of this panel is described below:

- Customer ID : ID on whom the case is created, this displays the customer ID who has been risk scored
- Customer Name : Name on whom the case is created, this displays the customer name who has been risk scored
- Customer Type : Type of the customer who has been scored
- Case Score : this displays the Case score.
- Prior KYC Score : This displays the KYC score of a customer which is closed either by system or by user
- # of Prior Cases : This displays the number of prior cases for a customer of KYC Case type
- # of Times Risk Scores : Number of times this customer has been scored by the system
- # of SAR's : SAR's being filed for this customer
- Wiki : This section on the right-hand side provides the reasons why this case is and what can a user do during investigation for such types of cases.

5.5.15.3   Customer Risk Score History

This section shows the risk score along with the risk source of the customer for a time period. You can select the time period as provided on the UI by default or can use the calendar to select the time period. The graph is refreshed based on your selection. You can view the accelerated review rule which is associated with the primary customer.

5.5.15.4   Risk Score History

This section has two sub-sections. LHS shows the Algorithm Risk Parameters and RHS shows the Rule-Based Parameters. Each graph displays the scores for a given time period. The risk parameters with the line color is displayed as a reference. You can view the individual risk scores for a parameter/rule or view the complete score with the actual values of the risk parameter on this graph. To view the complete risk parameters with the actual values click on the scores which you are interested in from the Customer Risk Score History. The respective data corresponding to the selection in the Customer Risk Score History is highlighted in this section. The selection is a standing line, you can mouse over the line to view the risk parameters, risk score along with actual values.

5.5.15.5   Network Diagram

This section displays the relationship the customer holds. The relationship w.r.t KYC is defined as Customer to Customer, Customer to Account and Customer to External Parites. All three are displayed in the graph. The ID of the related party along with their relationship description is shown. All three relationships are differentiated by different colors and images as well.

- Human : Customer to Customer

- $: Indicates Customer to Account

- Blue Human: Indicates Customer to External Party (parties who are not internal customers of the bank)

Refer to Network tab section on details of the settings, configuration, and details of Edges, Nodes and so on.

5.5.16   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

5.5.16.1   About Customer Screening Tab

This tab displays information pertaining to Customer Screening events. This tab is available only for the Customer Screening cases. In the Case Summary page, when you select a CS type, an additional search section related to CS, Optional Case Attributes is displayed.

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

5.5.16.2   Managing Customer Screening List

- About Customer Screening Event List

- Deciding Customer Screening Event as True or False

5.5.16.2.1   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.

5.5.16.2.2   **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 of 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.

5.5.16.3   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

5.5.16.3.1   **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.

5.5.16.3.2   **Viewing Customer and Watchlist Details**

This section has the following subsections:

- **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 the customer

    - Addresses: displays the addresses of customer

    - All: displays Basic, Accounts, and Addresses information details in the tree structure

5.5.17   Using Transaction Tab

The following sections are covered in this topic:

- About Transaction Tab

- Adding New Transactions

- Managing Transactions

5.5.17.1   About Transaction Tab

The Transaction tab allows you to perform a 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

5.5.17.2   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.

4. For more information on adding transactions, see the Managing Business Entity List section.

5.5.17.3   Managing Transactions

The following sections are covered in this topic:

- Viewing Transaction List Details

- Viewing Individual Transaction Details

- Modifying and Removing Transactions

5.5.17.3.1   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 the number of transaction types associated with the case along with details.

5.5.17.3.2   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 the **Details** link. The select transaction window is displayed with complete information.

5.5.17.3.3   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.

4. For more information, see the Managing Business Entity Records section.

    Or,

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

6. For more information, see the Managing Business Entity Records section.

5.5.18   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

5.5.18.1   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 the 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.

5.5.18.2   Adding an Entity

During the course of an 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](#)

5.5.18.2.1   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.

3. **Note**: By default, the **Search Existing Entities** radio button option is selected.

4. Select **Add Entity Manually** radio button option. The Add entity window is displayed.

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

5. Enter details in the fields.

6. 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.

7. Click **Save**. A confirmation message is displayed.

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.

8. 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.

5.5.18.2.2   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

5.5.18.2.3   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 a sample Add entity window. This window and respective fields change based on the entity you select. For example, Customer, Account, and Employee.

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 list is displayed.

5. Go to the Lists section, select the required entity and click **Add to Case**. A confirmation message is displayed.

> **NOTE**   The 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.

6. 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.

5.5.18.2.4   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 list is displayed.

6. Go to the Lists section, select the required entity and click **Add to Case**. A confirmation message is displayed.

> **NOTE**   The 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.

7. 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.

5.5.18.3   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**. A confirmation message is displayed. 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.

5.5.18.4 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.*

> | **NOTE** | If the entity is also an IP on the case, they will not be removed from the IP tab and the following message is displayed: The entity being removed is also marked as an involved party on this case. If the entity should no longer be an involved party, they also need to be removed from the Involved Party tab. |
> | --- | --- |

3. Click **OK**. The window closes and navigates you to the refreshed list of business entities section.

5.5.18.5 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 a selected entity as the 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.

    You cannot designate an entity as Involved Party if it is already designated.

3. Enter the following information in the respective fields.

Table 32: 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 your 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.

6. 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.

> **NOTE** If the entity is already designated as Involved Party, you cannot assign one more relationship to an entity (for example, Account or Customer).

5.5.18.6 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, External Entity, and Trade Finance 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.

5.5.19 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

5.5.19.1 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

5.5.19.2 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**. A confirmation message is displayed..

6. The new information is saved and associates 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.

5.5.19.3 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**. A confirmation message is displayed.

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

5.5.19.4 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 it.

4. Click **Remove**. The following message is displayed: Please confirm to delete. Click OK to continue and save changes.

5. At any point in 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.

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

7. Adding, editing, and removing information from a case does not affect that record as it exists in other cases.

8. It is also possible to add, edit, remove information in supplemental section that displays 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 the selection of an entity in the primary section list and then navigating to the respective section.

6   Acting on Cases

Topics:

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

6.1   About Case Action

During the analysis of a case, you can take various actions, such as setting the 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 a 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 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 checkbox and click on any action button, the following message is displayed: *You have not selected any case(s). Please select one or more cases*.

6.2   Using Take Action Window

The Take Action window allows taking 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 action on multiple cases, use the Case List page.

The following sections are covered in this topic:

- Accessing Take Action Window
- Reopening Cases
- Setting Due Date
- Taking Resolution Action
- Changing Case Type
- Emailing Cases
- Adding Evidence

6.2.1   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 the Case List page. Select one or more cases using checkboxes.

2. Click   **Take Action**. The Take Actions window is displayed.

Or,

To take action on a case, follow these steps:

1. Navigate to the Case Summary page.

2. Click **Take Action**. The Take Actions window is displayed.

6.2.2   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 <u>Adding Evidence</u> 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 <u>Taking Resolution Action</u>, for more information.

5. Optional: set due date for this case, for more information, see the <u>Setting Due Date</u>.

6. Click **Save**. The following message is displayed: *Case action executed successfully*.

7. 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 where you took the action.

6.2.3   Setting Due Date

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

- Set due date action sets a deadline to complete the action.

- Clear due date action clears the existing due date.

- Due Date actions are performed individually or with other actions.

- 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 a due date or clear due date, follow these steps:

1. Navigate to Take Action window.

    Or,

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

3. Click **Take Action Window**. The Take Action Window is displayed. To set the due date, select **Set Due Date** checkbox. The Calendar field is displayed. Select the due date.

NOTE	Manually entered due date overrides the default due date configuration.

4. Or, to clear the existing due date, select **Clear Due Date** checkbox.

NOTE	Clear due date action overrides the default due date configuration.

5. Enter comments. For more information, see the Adding Evidence section.

6. *Optional:* assign user or group of users or set case owner, see the Taking Resolution Action, for-more information.

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. 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.*

6.2.4 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 acknowledgment 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 the 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.

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

6.2.5   Changing Case Type

There are times in the investigation when it may be necessary to change the case type of a case. For example, correlation may initially determine that the case was an AML case but upon investigation, it may be decided it is actually related to fraud and should follow a different workflow. Workflows are decided by the case's case type so when the case type is changed, the user will also need to decide which status the case should be in once placed into the new case type. Note that the possible owners and assignees for the new case type cannot be determined until the case has been saved. Therefore, until the case is saved, the owner and assignee drop-down list will show those individuals for the prior case type. Once the case is saved, the user can then change the owner and assignee. For example, if you have changed the case type from AML to Fraud, the owners and assignees will be for AML case type. After saving the case, the Fraud users will be available for the Fraud case type. When the case type is changed, the Audit History is also updated. For more information, see Audit History.

For the Change Case Type action to display on the UI, the administrator must first set specific configurations. For more information on configuration, see the *Configuring Change Case Type Action in PMF* section in Administration and Configuration Guide.

To change the case type, follow these steps:

1. Navigate to the **Take Action** window.

2.   Go to the **Resolution** section.

3. Select Change Case Type.

4.   Select the new Case Type and new Case Status. The Case Status is the status you want the case to be in when saved.

5. Click Save.

6.2.6   Assigning Cases

Using Take Action window you can assign case or cases. For more information, see the Assigning Case.

6.2.7   Emailing Cases

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

Following two options are available:

-   **Send Email:** to send emails with no mechanism to receive a response back from the recipient.

-   **Send RFI:** to send emails and have the recipient respond to a questionnaire included in the email.

If you want to send a questionnaire along with the email, then use the **Send RFI** option.

6.2.7.1   Send Email

To email a case, follow these steps:

1. Navigate to Take Action window.

2. Go to the Email section. Select **Send Email** action. The Email related fields are displayed.

3. Enter the following information in the fields:

Table 1: Email a Case	
Fields	**Descriptions**
From	This shows the email address of the logged-in user or the default email user based on the Email configuration settings.
To	Enter the email address or addresses of the recipients. For multiple addresses, separate each address with a semi-colon but without any spaces.
Cc	Enter the email address or addresses of the recipients to whom you want to send a copy of the email.
Bcc	Enter the email address or addresses of the recipients to whom you want to send the copy of the email.
Subject	Displays the subject regarding the case that you want to email.
Attach Files	Attach the files along with the mail if required.
Include Case Details	Select this check-box if you want to send the case details along with the email.
Email Content	Enter additional information regarding the case that you want to email.

4. After entering all the required details, click **Save**.

5. The content of the Email can be viewed by clicking on the **Email Sent** link in the **Audit History** tab. For more information, see the Using Audit History Tab.

6. The details of the Email can be viewed by clicking on **Email Sent** link in the **Evidence** tab. For more information, see the Using Audit History Tab.

6.2.7.2 Send RFI

This option allows system users to request information from others while working on a case, with an ability to track response from the respondent. It also allows for notification and reminders.

Sometimes, Case Management users may require information about the case from any user in the organization (based on system access) and receive the responses within the specified time. You can send the questionnaire template to user for the response.

To email a case, follow these steps:

1. Navigate to the **Take Action** window.

2. Go to the Email section. Select the **Send RFI** option.

3. Enter the following information in the fields:

Fields	Descriptions
From	This shows the email address of the logged-in user or the default email user based on the Email configuration settings.
To	Enter the email address of the recipient.
Bcc	Enter the email address or addresses of the recipients to whom you want to send the copy of the email.
Subject	Displays the subject regarding the case that you want to the email. Note that subject-specific configuration is not applicable from release 8.0.7.0.0 or later.
Attach Files	Attach the files along with the mail if required.
Questionnaire	Select the questionnaire from drop-down list. You can send only one questionnaire at a time.
Include Case Details	Select this check-box if you want to send the case details along with the email. The case context will be present in the email content.
Email Content	Enter additional information regarding the case that you want to email.

4. Click **Save**. The recipient of the email, receives the mail with questionnaire details.

5. When the RFI email is sent, the status of the case is displayed as **Pending RFI Response** .

6. An **RFI Sent** action is also displayed in the **Audit History** tab. The details of the RFI can be viewed by click on the RFI Email link on the Audit History tab. For more information, see the Audit History tab.

7. When the RFI email is sent, the recipient can open the link of the questionnaire, fill and submit it. You can submit only one response to a questionnaire.

8. After batch execution (ECMINFO_CASE_RFI_RESPONSE_UPDATE), ECM user can view the response in the **Evidence** tab. For more information on batch execution, see the *Executing RFI Batch* section in *Admin Guide* on OHC.

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

6.2.8   Adding Evidence

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

6.3   Assigning Case

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

This section describes how to assign cases 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 an owner or case assignee for a case through pre-defined rules.

- **Case Owner**: this user has defaulted to a user or user group on the creation and the 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 the investigation and resolution of cases. For example, User A is the owner of the case-1 and User B is the assignee of the case, then any action that has been taken on the case will have and assignee as the user taking the action and audited.

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

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

3. If the select case is in Closed status, the Assign button is not displayed. 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. The **Set Case Assignee** and **Set Case Owner** drop-downs will display the list of users who can take all types of actions (status-changing and non-status-changing actions) on the case in the resulting case status.
	Auto Assignment option enables you to automatically assign an 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 the Administration Guide.

5. Select 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 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 is 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 <u>Setting Due Date</u>.

8. *Optional:* attach any related documents, for more information, see the <u>Adding Evidence</u>.

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.

   Set Case Assignee action does not change the ownership of the case, whereas, the Set Case Owner action changes the ownership of the case.

> **NOTE**　If assigning actions are performed through the **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.*

6.4　Adding Evidence

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

- Evidence is added to a case from the Take Action window, Case List page, and Case Summary page.

- Evidence is comments and attachments, they provide more insight into 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 the Case List page. Select one or more cases using checkboxes.

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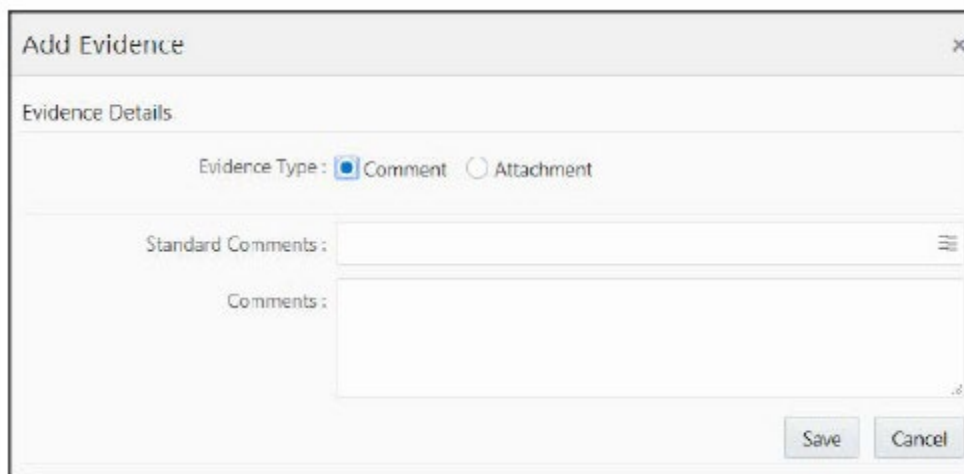
2. Click **Add Evidence** or **Take Action**. The Add Evidence Window is displayed.

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 the Case List page. Click the **Case ID** link. The Case Summary page is displayed.

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

3. Select the Evidence Type **Comments** or **Attachment**. By default, **Comments** option is selected as Evidence Type.

4. Select standard comments from the Standard Comments multi-select option. Or, enter your own comments in the text box and click **Save**.

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.

6. Click **Attach**. Select documents from the source. You can attach multiple documents at a time. The size of attachment and percentage of attachment progress is displayed.

7. Enter comments in the Attach Comments box.

8. Click **Save &Upload.** 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 the **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.*

7 Creating Events

This chapter explains the concept and step-by-step instructions to create events manually.

Topics:

- About Event Creation
- Creating an Event

7.1 About Event Creation

- Add events manually to a case or create them and have them place in the correlation pool
- Only privileged users can create an event.
- Event is created by users by entering new event information manually.
- Events are created based on the entity type. For example, Account, Customer, Correspondent Bank, and External Entity.

7.2 Creating an Event

This section explains how to create an event manually.

To create an event manually, follow these steps:

1. Navigate to the Enterprise Case Investigation page, see the Getting Started for more information.
2. Click the **Create Event**. The Create Event page is displayed.
3. Enter the following information in the respective fields.

> **NOTE**   The fields marked with * (asterisk) are mandatory.

Table 2: New Event Creation

Fields	Descriptions
Event Details	
Event Type	Select the event type from the drop-down list. For example, Anti-Money Laundering, Customer Screening, Know Your Customer.
Scenario	Select a scenario from the **Scenario** drop-down list.
	Note: Scenarios are displayed in the list based on the event type you select in the Event Type
	search field. If you do not select any event type, then all available scenarios are displayed.

Amount	Select the currency and enter the amount.
Description	Enter the description for the new event.
Entity Search	
Entity Type	Select the entity type from the drop-down list. For example, Account, Customer, Correspondent Bank, and External Entity.
Entity ID	Enter the entity ID. You can enter multiple IDs by comma separated.
Entity Name	Enter the entity name. The entities pertaining to that entity name are displayed. This supports wildcard searches.

4. Click **Search**. The respective entity list is displayed.

5. Select the entity from the list.

NOTE	Only one entity can be selected. If the Entity Type is selected as External Entity, then Jurisdiction, Associated Institution ID, Associated Institution fields will be available for search. **Search List** When you click on Entity ID in **Search List** section, the details of associated Entity Names and corresponding Entity IDs will display in **Related External Entity** window. Multiple Entity Names can be present for an Entity ID or Multiple Entity IDs can be present for an Entity Name'. For example, External Entity ID "123456" can display multiple Entity Names, such as "GE Industrial Services", "GE Industrial Svr", "GE Ind. Svrs" in R**elated External Entity** window. Similarly, External Entity Name "GE Industrial Services" can display the Entity IDs, such as "11", "22", "33" in **Related External Entity** window. An Entity ID/Name can have multiple Addresses which will be displayed in the Address pop-up.
	When you view a case in the Event List, you can choose not to display one or more columns by clicking on a column > columns > deselect a column.

6. Click **Create Event**. The confirmation message is displayed.

8 Creating Cases

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

The following topics are covered in this chapter:

- About Case Creation
- Accessing Create Case Page
- Creating a New Case

8.1 About Case Creation

- Cases are created for investigating business entities involved in potentially suspicious events.
- 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.

8.2 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 Getting Started for more information.

2. Select the **Create Case**. The Create Case page is displayed.

8.3 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 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. |

3. Enter the following information in the respective fields.

The fields marked with * (asterisk) are mandatory.

Table 3:   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. 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. 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: • High • Medium • Low
Due	Select the date from the calendar to set a due date for resolution. If the due date is not provided, the default due date is set by the system.

| Auto Assignment | Select this check box to automate the assignment of ownership of the new case.

When you select this check box, the Owner and Assignee fields are disabled. The system automatically assigns the case owner defined in *Case Assigner Editor* under Case Management Configuration settings set by an Oracle Administrator user as the new owner of the case. For more information, see the Administration and Configuration Guide. 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.

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 KYC case types. |
| 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.

9 Entity Research

The Research feature allows you to view detailed information on business entities and the cases and events related to them.

This chapter describes how to use the Research tool and also provides instructions on how to create an event when viewing a business entity.

Topics:

- Key Features
- Accessing Research Tool
- Searching for an Entity
- Creating an Event for the Entity

9.1 Key Features

The following are the key features of Entity Research:

- Search for a specific entity
- Create an event for an entity
- View cases and events which are related to the entity

9.2 Accessing Research Page

To access the Research tool, navigate to the Enterprise Case Investigation menu and select Research. Only users mapped to the Supervisor user role can access this page. For more information, see the Getting Started section.

9.3 Searching for an Entity

The Entity Search and List page allows you to search for an entity and view the results..

To search for an entity, follow these steps:

1. Navigate to the Entity Search and List page.

The following search criteria are available to find the entity you are looking for:

> **NOTE** All search fields are mutually exclusive unless otherwise noted.

Table 1: Form Fields to search the business entity

Field	Description

Entity Type	Select the Entity Type as Account, Customer, or External Entity
Entity ID	Enter the unique identification number of the entity selected in the Entity Type field.
Entity Name	Enter the name of the entity to be searched. This field accepts wildcard entries. To search using a wildcard, use the % symbol. Minimum of three characters are required for wildcard search.
Tax ID	Enter the Tax Identification Number (TIN). This field is only displayed if you select Account and Customer entity types.
Alternate ID	Enter the alternate ID of the entity selected in the Entity Type field. This field is only displayed if you select Account and Customer entity types.
Entity ID Type	Select the ID Type for the entity selected in the Entity Type field. This field displays only if you select the entity type as External Entity. To search with this field, you should provide value for Entity ID or Entity Name field.

2. Click **Search**. If the search criteria matches the values you have entered, the Entity Search and List page is displayed. These details vary based on the selected Entity Type (Account, Customer, or External Entities).

3. From the **Entity Search and List** page, click the **Entity ID** to view more details. The Entity Details page is displayed.

4. In the **Overview** tab, you can view details of the entity. These details vary based on the Entity Type (Account, Customer, or External Entities).

5. In the **Relationships** tab the events and cases related to the entity are displayed. The Case ID is hyperlinked to view the details of a related case.

9.4   Creating an Event

It is also possible to create an event for the entity being viewed. This places the event into the correlation layer of Enterprise Case Management for inclusion in a future case. To create an event, from the entities details page select the Create Event link and a modal window will allow you to define the event. For more information, see Creating Events.

10 Event Search

The Event Search feature helps Investigators to search the Events within the ECM application to see the details and relationship of that event to the case. The **Search Event** page captures your selection criteria related to a type of event and then searches to find the specified event.

This chapter describes how to use the Event workflow to search and inquire about a specific focus type and its related information.

Topics:

- Key Features
- Accessing Search Event Page
- Searching for an Event

10.1 Key Features

The following are the key features in the Event Search feature:

- Search for a specific event
- Analyze the event using detailed information
- View cases and events which are related to the event being viewed
- View event details

10.2 Accessing Search Event Page

To access the Search Event page, navigate to the **Enterprise Case Investigation** menu, and select **Search Events**. Users mapped to Supervisor and Analyst user roles can access this page. For more information, see the Getting Started section.

10.3 Searching for an Event

The **Event Search and List** page allows you to search Events. This page captures your selection criteria related to a type of event and then searches to find the specified event.

By default, the **Search Events** window displays all the events of the ECM system. You can also view the migrated events along with other events of the ECM system. Migrated events are alerts from the old system (for example BD) that are moved to the ECM system. To view migrated events, you must configure the **Include Historical Migrated Alerts** parameter. For more information, see the *Configure Include Historical Migrated Alerts Parameter* section in Oracle Financial Services Enterprise Case Manage-ment Administration & Configuration Guide.

When you configure the **Include Historical Migrated Alerts** parameter, **the Include Historical Migrated Alerts** checkbox is displayed on the Search Event window and all the Relationship tab UIs. Select **Include Historical Migrated Alerts** if you want to view migrated events along with other events of the ECM system.

An alert's details, including audit history, narrative, and evidence, can be viewed through ECM. This allows upgrading the customers without logging into AM. All historical alert information can be viewed in ECM.

To search for an event, follow these steps:

1. Navigate to the Event Search and List page.

2. Enter the following details to search for an event.

> **NOTE**   All Name Type fields have a wildcard search.
>
> All search fields are mutually exclusive unless otherwise noted.
> You can search for an event by only one criterion at a time

Table 1: Form Fields to search the Event

Field	Description
Created From Date	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 Date	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.
Event ID	Enter the event ID. Entering this value will ignore the other search criteria fields.
Focus Type	Enter the focus type of event. For example, Account
Focus ID	Enter the focus ID of the event.
Focus Name	Enter the focus name of the event.
TIN	Enter the Tax Identification Number (TIN).
Event Type	Select the event type from the drop-down list. For example, Anti-Money Laundering, Customer Screening, or Know Your Customer.
Scenario	Select one or more scenarios from the multi-select drop-down list. Scenarios are displayed in the list based on the event type you select in the Event Type search field. If you don't select any event type then all available scenarios are displayed.
Event 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.
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.
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.
Score	Enter the Event Score.

3. Click **Search**. If the search criteria entered is correct, the **Event Search and List** page is displayed.

The Event List allows you to view additional information about the selected events. Click **Event ID** to view more details of the event. You can export the list of Events to Excel or CSV format.

From the Event Search, click **Event ID** in the **Event Search and List** page for the event that you want to investigate. The **Event Details** page is displayed.

- On the **Event Details** tab, you can view detailed information of the Event. This shows the following details:

  - Details of the event.

  - Matched business data for the event

- On the **Relationships** tab, you can see all cases and events which are related to the case being viewed. This could be because they share the same business data or because the event is cor-related into a related case. Click the **Case ID** to view the details of a related case.

  When you click the **Case ID**, you can view the details of the related case in the **Related Case History** window. This window includes the Event List, Evidence, Narrative, and Audit History details of case. Click Event ID in the Event List section to view the details of the relevant event. Here, select **Include Historical Migrated Alerts** if you want to view migrated events along with other events of the ECM system.

Following additional Event Details are displayed for migrated events:

- On the **Narrative** tab, you can view the narrative details of the event.

- On the **Evidence** tab, you can view and analyze comments and attachments previously added to the events.

- On the **Audit History** tab, complete historic details of the event are displayed.

11 Setting User Preferences

The Preferences page enables you to change your default preferences in Enterprise Case Management.

11.1 Using Saved Views

The Saved Views section in the User Preference page enables you to set the default search for future use. You can also modify and delete the personal saved views. The Saved Views are created in Search Cases section. For more information, see Creating a Search View.

This section covers the following topics:

- Setting Default Search
- Editing and Deleting Saved Views

11.1.1 Setting Default Search

This section explains how to set Saved Views as your default search option.

To set Saved Views as the default search, follow these steps:

1. Navigate to the Enterprise Case Investigation page, see the Getting Started for more information.

2. Select the **User Preferences**. The User Preferences page is displayed.

3. Select a default search from the Saved Views list, which includes personal and out of box Saved Views. For example,

   - Cases Assigned to Me

   - My New Cases

   - My Open Cases

   - My Overdue Cases

   > **NOTE**   You can select only one Saved Views as a default search.

11.1.2 Editing and Deleting Saved Views

To edit and delete saved views, follow these steps:

1. Navigate to the User Preferences page.

2. Select required Saved Views from the list.

NOTE	• You can edit or delete only those Saved Views which are created by you.
	• View is successfully edited or deleted from the User Preference page.
	• Visible/Change will not be reflected under Views drop-down list of Case Search Page. This occurs due to Views are cached for performance improvement.
	• Navigate to Home page and click Search Case menu to Clear the Cache.

3. Edit the name of Saved View or click delete icon. The confirmation message is displayed and list is updated.

12 Common Features

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
- Exporting Case

12.1 Common Screen Elements

The following section describes the common screen elements in theECM 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).

12.1.1 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.

12.1.2 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 the button:

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

12.1.2.1　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 the 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 the 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 the some Business tabs. It also displays 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 **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 a 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.

12.1.2.2　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.

12.1.2.3 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

12.1.2.4 Radio Button

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

12.1.3 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.

12.1.4 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.

12.1.4.1 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 the **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.

12.1.4.2 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

12.1.4.2.1   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.

12.1.4.2.2   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.

12.1.4.2.3   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.

12.1.4.2.4   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.

12.1.5   Field Types

The following sections describe field types.

- Text Area
- Text Box
- Wildcard Text Box
- Context-Sensitive Text Box
- Drop-down List
- Selection Box
- Checkbox
- Check All/Uncheck All Checkbox

12.1.5.1   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.

12.1.5.2   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.

12.1.5.3   Wildcard Text Box

The ECM permits the use of wildcards in specific text boxes. If you do not know the 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.

12.1.5.4   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.

12.1.5.5   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.

12.1.5.6   Selection Box

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

12.1.5.7   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.

12.1.5.8   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.

12.1.6   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.

12.1.7 Reordering Columns

You can reorder the columns by selecting the column header and repositioning them manually.

12.1.8 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.

12.2 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.

12.2.1 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.

12.2.2 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.

12.2.3 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.

12.2.4 Page Context Controls

Page context controls (also called bread crumbs) show your location in ECM. It allows you to navigate back to the previous page.

12.2.5   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.

12.2.5.1   Business Data tab

Depending on the type of 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.

12.2.5.2   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.

12.2.6   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 the 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.

12.3   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

12.3.1.1   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.

13   Business Entity Details

This appendix covers the following sections:

- Search Criteria for Adding Existing Entities
- Field Details for Adding Business Entities Manually
- Network Analysis Tab

13.1   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 table describes Account, Customer, Household, Correspondent Bank, Employee, and External Entity search criteria for adding business entities using Search Existing Entities option:

Table 2:   Search Conditions for Adding New Business Entities using Search Existing Entities

Business Data Tab	ID	Condition	Name
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, Jurisdiction, Associated Institution ID, Associated Institution	OR	Entity Name

When you click on Entity ID in **Search List** section, the details of associated Entity Names and corresponding Entity IDs will display in **Related External Entity** window. Multiple Entity Names can be present for an Entity ID or Multiple Entity IDs can be present for an Entity Name'.   For example, External Entity ID "123456" can display multiple Entity Names, such as "GE Industrial Services", "GE Industrial Svr", "GE Ind. Svrs" in R**elated External Entity** window. Similarly, External Entity Name "GE Industrial Services" can display the Entity IDs, such as "11", "22", "33" in **Related External Entity** window. An Entity ID/Name can have multiple Addresses which will be displayed in the Address pop-up.

The following table describes the search criteria applicable while adding a new business entity using the Search Existing Entities option for the Transaction tab.

Table 3: Fields in the Transaction Search section

Fields	Description
Transaction type	Select the transaction type from the drop-down list: • Back Office Transaction • Cash Transaction • Monetary Instrument Transaction • Funds Transfer
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 table describes the search criteria applicable while adding a new business entity using the Search Existing Involved Parties.

Table 4: Fields in the Involved Party Search section

Fields	Description
Party Name	Enter party name

Party ID	Enter party unique identification number.
Tax ID	Enter tax unique identification number.
Birth Date	Enter the 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.

13.2 Field Details for Adding Business Entities Manually

This section covers the details of each field 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

13.2.1 Account

The following tables provides fields and description for adding Account manually:

Table 5: Account

Fields	Description
Account ID	Enter the unique identification of an 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 a 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 the tax identification number format associated with this account.
Tax ID	Enter the tax ID. This is the tax identification number associated with this account.
Firm ID	Enter the firm ID. This is the firm identification number associated with this account.
Tax Withhold Code	Select the tax withhold code from the drop-down list. This is an 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	This is the jurisdiction associated with this at the time of Create Creation. Users can select or change it from the Jurisdiction drop-down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select /change it from the Domain drop-down list.

Household Group ID	Select the household group ID from the drop-down list. This is the 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 the calendar. This is the date on which the account is opened.
Closed Date	Enter the account closed date using the calendar. This is the date on which the account is closed.
Status	Enter the account status. This is the status of this account (for example, active, inactive, or closed).
Status Effective	Enter the account status effective date using calendar. This is the date on which this account status became effective.
Branch	Enter the branch code. This is the 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 the calendar. This is the 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 the 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 the 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.

13.2.2 Customer

The following tables provides fields and description for adding Customer manually:

Table 6:   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. 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. This field is enabled only if you select an *Individual* in customer type.

Middle Name	Enter the middle name of the customer. This field is enabled only if you select an *Individual* in customer type.
Last Name	Enter the last name of the customer. This field is enabled only if you select an *Individual* 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.
Tax ID	Enter the tax ID. This is the tax identification number associated with this customer.
Date of Birth	Enter the customer date of birth using the calendar. This is the date on which this customer was born.
Gender	Select the gender of the customer from the drop-down list. This field is enabled only if you select an *Individual* in customer type
Marital Status	Select the marital status of the customer. This field is enabled only if you select an *Individual* in customer type.
Jurisdiction	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop-down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select /change it from the Domain drop-down list.
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 the 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 the credit rating source.
Credit Rating Source	Enter the source associated with the credit rating assigned to the customer.
Credit Score	Enter the actual score for customer's credit rating based on the 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 FI	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 the 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.
PEP (Politically Exposed Person)	This field is displayed as Yes or No. This is applicable for customer type as *Individual*. This field is not editable.
ISIC (International Standard Industrial Classification)	This field displays the Industry type and Industry code of a customer, if the customer type is *Financial Institution* or *Non Individual*. This field is not editable.
Relationship Manager	This shows the Relationship Manager of the customer. This field is available for all customer types. This field is not editable.

13.2.3   Household

The following tables provides fields and description for adding Household manually:

Table 7:   Household

Fields	Description
Household Group ID	Enter the household group ID.
Household Group Name	Enter the household Group name.
Jurisdiction	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop-down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select /change it from the Domain drop-down list.

13.2.4   External Entity

The following tables provides fields and description for adding External Entity manually:

Table 8:   External Entity

Fields	Description
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	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop-down list.

Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select /change it from the Domain drop-down list.
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.

13.2.5   Correspondent Bank

The following tables provides fields and description for adding Correspondent Bank manually:

Table 9:   Correspondent Bank

Fields	Description
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.
Business Unit	Enter the business unit code to which this correspondent bank belongs.
Account Manager	Enter the name of the 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	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop-down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select /change it from the Domain drop-down list.
Address, Country, Postal Code,	Enter the complete address details of the correspondent bank.

13.2.6   Employee

The following tables provides fields and description for adding Employee manually:

Table 10:   Employee

Fields	Description
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 the employee who is 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 the 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	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop-down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select /change it from the Domain drop-down list.
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.

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.

13.2.7   Transaction

The following tables provides fields and description for adding Transaction manually:

Table 11:   Transaction

	Fields	Description
	Select Transaction Type	Select the type of transaction (for example, funds transfer, back office transaction, cash transaction, and monetary instrument transaction).
	The following fields displayed based on the selection of the transaction type.	
Transaction Type-Back Office Transaction		
	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.
	Risk	Select the level of risk associated with this account.

Offset Account	Account ID	Enter the principal offset account unique identification number at the Oracle client in which this transaction was conducted.
	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 the base currency of the funds transferred via this transaction denominated in the base currency.
	Type 1	This is the first highest categorization level of the transaction.
	Type 2	Enter the second-highest categoriza-tion 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.
Transaction Type- Cash Transaction		
	Date	Enter the date on which this transaction was conducted.
	Time	Enter the time on which this transaction was conducted.
	Base Amount	Enter the base amount.
	Type 1	This is the first highest categorization level of transactions.
	Type 2	Enter the second-highest categoriza-tion 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 the conducted.
	Risk	Select the level of risk associated with this account.
Location	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).
	Address	Enter the address of the location where this transaction was conducted.
Conductor	Name	Enter the name of the conductor who has done the transaction
	Account	Enter the account of the conductor in which this transaction was conducted.
	Entity Risk	Select the level of entity risk.
	Match	Enter the match details of the conductor.
	Transaction Reference ID	Enter the transaction reference a unique identification number.
Transaction Type-Monetary Instrument Transaction		
	Issue Date	Enter the date of the 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
	Time	Enter the time on which this transaction was conducted.

	Type 1	This is the first highest categorization level of transactions.
	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 the 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.
	Acct ID	Enter the unique identification of remitter's account involved in this transaction.
	Risk	Select the level of risk associated with the remitter.
Beneficiary	Name	Enter the beneficiary name involved in this transaction.
	Account ID	Enter the unique identification of beneficiary account involved in this transaction.
	Risk	Select the level of risk associated with the beneficiary.
	Comments	Enter the comments on this transaction.

	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
Conductor	Name	Enter the name of the conductor who has done the transaction
	Amount	Enter the account of the conductor in which this transaction was conducted.
	Transaction Reference ID	Enter the transaction reference a unique identification number.
Transaction Type-Funds Transfer		
	Transaction Reference ID	Enter the transaction reference a unique identification number.
	Date	Enter the date of the fund transfer.
	Time	Enter the time on which this transaction was conducted.
	Type 1	This is the first highest categorization level of transactions.
	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.
Amount	Base	Select the monetary value in the 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.
	Account ID	Enter the unique identification of the originator account involved in this transaction.
	Risk	Select the level of risk associated with the originator.
Beneficiary	Name	Enter the beneficiary name involved in this transaction.
	Account ID	Enter the unique identification of beneficiary account involved in this transaction.
	Risk	Select the level of risk associated with the beneficiary.

13.2.8   Involved Party

The following tables provides fields and description for adding Involved Party manually:

Table 12:   Involved Party

Fields	Description

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). You cannot designate an entity as Involved Party if it is already designated.
ID Issuing Authority	Enter the unique identification number of the issuing authority.
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.
	If you update anything other than the relationship, click the checkbox - Create a new Involved Party record with this information. If selected the above changes will not be applied to this party where linked to other cases and a new involved party record will be created.

13.3   Network Analysis Tab

This section covers the following topics:

- Include Link Types
- Known Relationships
- Shared Attributes

13.3.1 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 13: Link Types

Link Type	Type of Relationship	Description
Account to Customer	Known Relationship	This relationship is used to create a link between the 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 the 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 the 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 the 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 the 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 that 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) that share 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 on household entities. The following table provides the Valid Link Types for each node.

Table 14: Valid Entity-Link Types

Starting Entity	Valid Link Types
Household (HH)	Account to Household
Account (AC)	• Account to Correspondent Bank • Account to Customer • Account to Household • Account to Employee • Journal Transaction • MI Transaction • Wire Transaction • Insurance Transaction
Employee (EE)	Employee to Account
Customer (CU)	• Account to Customer • Customer to Customer
Correspondent Bank (CB)	Account to Correspondent Bank

External Entity (EN)	• MI Transaction • Wire Transaction • Insurance Transaction

The system uses this information to find the most recent information determine to known relationships and shared attributes.

13.3.2 Known Relationships

Known relationships are determined based on the criteria described in the following table:

Table 15: 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

13.3.3 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 the 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 the 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 the 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 the 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 >= cannot be greater than or equal to Transaction. An error message is displayed: Please enter a date in Transaction Date >= date field which is less than or equal to the Transaction Date <= field.

- The Transaction Date>= 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<=

  - The Transaction Date <= is used to build a network based on shared activity. Whenever this date is selected, the system checks for the transaction between Transaction Date >= and Transaction Date <= for establishing the link for Wire, Journal, MI and Insurance Transaction.

  - The Transaction Date <= is defaulted to the current date.

  - The Transaction Date <= cannot be less than Transaction Date >=. An error message is displayed: *Please enter a date in Transaction Date <= date field which is less than Transaction Date >= field.*

  - The Transaction Date <= 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 the 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 >=** filters out transactions with amounts greater than or equal to the specified amount.

  - **Transaction Amount <=** filters out transactions with amounts less than or equal to the specified amount.

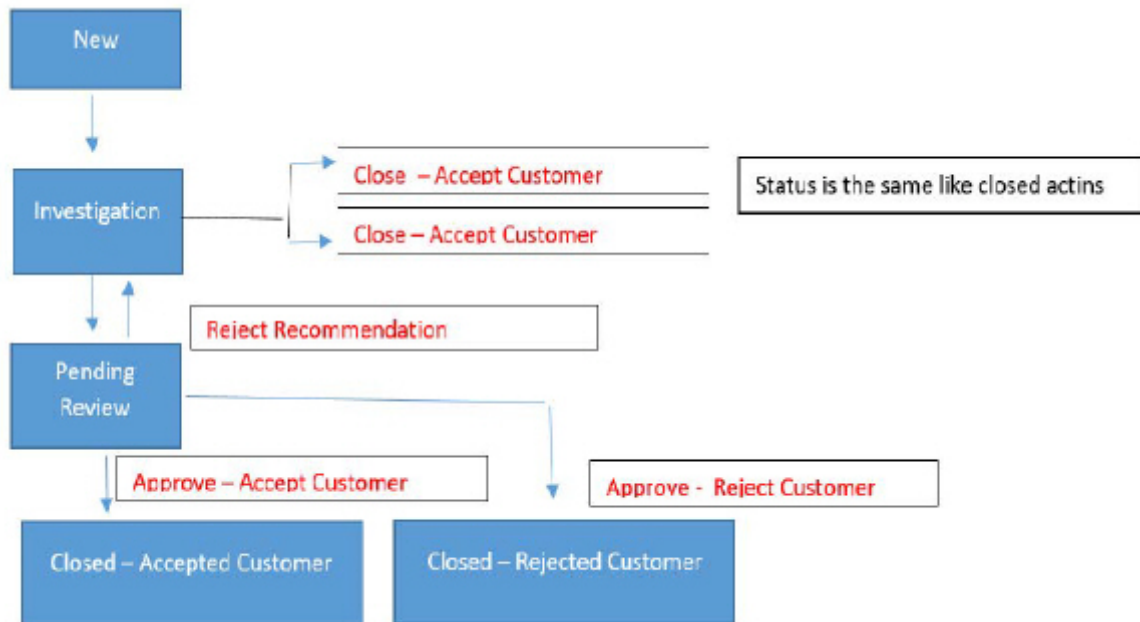# 14 Workflows

This appendix covers the following sections:

- KYC Onboarding Workflows
- KYC Customer Dashboard Workflows

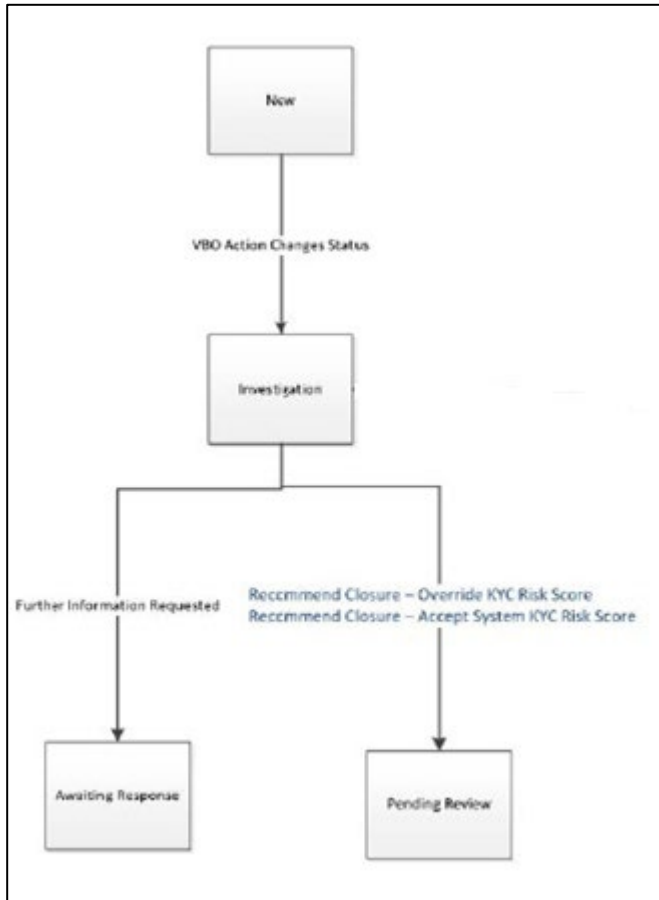## 14.1 KYC Onboarding Case Workflow

14.1.1 Analyst Workflow

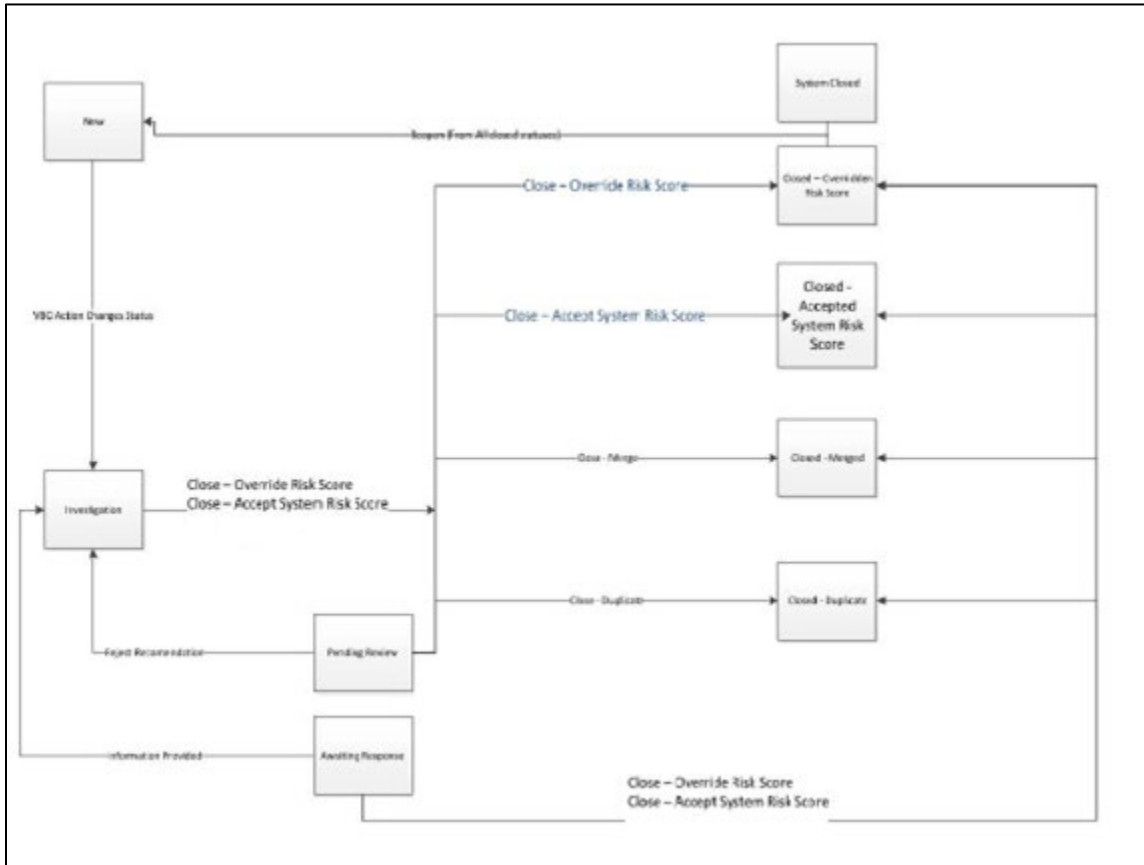## 14.1.2   Supervisor Workflow

14.2   KYC Batch Case Workflows

14.2.1   Analyst Workflow

14.2.2   Supervisor Workflow

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