

Oracle Financial Services FCCM Analytics

FCCM Analytics User Guide



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1

About this Guide

This guide details the reports used in the Financial Crime and Compliance Management (FCCM) application.

- Who Should Use this Guide
- Scope of this Guide
- Conventions Used in this Guide

1.1 Who Should Use this Guide

The FCCM User Guide is designed for the following users who are assigned the following roles:

- Analyst
- Supervisor
- Executive
- Internal Auditor
- **Case Analyst:** This user works on the cases within the application frequently. This user's specific role (that is, Case Analyst I or Case Analyst II) 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 or Compliance Officer.
- **Case Executive:** This user may not be involved in the day-to-day analysis of cases; however, this user can view many areas within the application and can perform only a limited set of actions.
- **Case Auditor:** This user has broad viewing rights for cases within the application; however, this user can perform a limited set of actions based on the user's role (that is, Case Internal Auditor or Case External Auditor).
- **Case Viewer:** This user has specific viewing rights to the cases. This user's specific role (that is, Case Viewer I or Case Viewer II) determines what this user can see within the application.

1.2 How this Guide is Organized

The FCCM User Guide includes the following chapters:

Viewing FCC Analytics Reports provides instructions on how to navigate through the Oracle Financial Services FCCM Analytics Enterprise Case Management application and the reports available in the application.

1.3 Where to Find More Information

For more information about Oracle Financial Services FCCM Analytics Enterprise Case Management, refer to the following documents:

- Oracle Financial Services Alert Management User Guide
- Oracle Financial Services Enterprise Case Management User Guide
- Oracle Financial Services KYC User Guide
- [Oracle Financial Services Personal Trading Approval User Guide](#)
- Oracle Financial Services Currency Transaction Reporting User Guide.

These documents are available at the following link: http://docs.oracle.com/cd/E60570_01/homepage.htm

To find more information about Oracle Financial Services FCCM Analytics and our complete product line, visit our Web site www.oracle.com/financialservices.

1.4 Conventions Used in this Guide

This table lists the conventions used in this guide and their associated meanings.

Table 1-1 Conventions Used in this Guide

Convention	Meaning
<i>Italics</i>	• 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

Getting Started

This chapter provides instructions to access the FCCM Analytics reports in the Oracle Financial Services Analytical Applications (OFSAA).

This chapter focuses on the following topics:

- Prerequisites
- Accessing FCCM Analytics Reports

2.1 Prerequisites

An architecture is a blueprint of all the parts that together define the system: its structure, interfaces, and communication mechanisms. A set of functional views can describe an architecture.

2.2 Accessing FCCM Analytics Reports

Access to the Oracle Financial Services FCCM Analytics depends on the Internet or Intranet environment. Oracle Financial Services FCCM Analytics can be accessed through Microsoft Internet Explorer (IE), Google Chrome, Mozilla Firefox, and Microsoft Edge. Your system administrator provides the intranet address uniform resource locator (URL).

To access the FCCM Analytics reports, follow these steps:

1. Enter the OFSAA URL in your browser using the following format:
`<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/ login.jsp`
For example: `https://myserver:9080/ofsaapp/login.jsp`
The OFSAA Login page is displayed.
2. Enter your User ID and Password .
3. Click **Login** .
The **Oracle Financial Services Analytical Applications** page is displayed.
The Oracle Financial Services Analytical Applications page is the common landing page for all users until a preferred application page is set. For more information about how to set your preferred application page, see [Oracle Financial Services Analytical Applications Infrastructure User Guide](#). You can use the OFSAA Application page to access the Oracle Financial Services applications in your environment.
4. Click an application from the **Tiles** menu for which you want access the reports. The application's Home page is displayed with the navigation list to the left.
5. Click **Reports** from the Navigation list.
The FCCM Analytics application home page is displayed.
6. Click the **Dashboards** tab on the top-right corner and click the desired dashboards to view the related reports.

The following dashboards are available within the application:

- Business Entity Reports

- MIS Reports
- Statement View Reports

Note

- You will have access only to the data configured for your user role on MIS Reports only.
- Entitlement is not imposed on the Business Entity and Statement view reports.
- You may also customize existing FCCM Analytics reports and create new reports. For information on customization, see *Oracle Financial Services Behavior Detection Configuration Guide*.

3

Common Report Features

The following features are common to many of the FCCM Analytics reports:

- *Common Filters for MIS and Business Entity Reports*
- *Drill Down Reports*
- *Common Actions*
- *Error Messages*

The following table describes the Dashboard Menu, Report Names Drilldown Report, Drilldown Report Name, etc.

Table 3-1 FCCM Analytics Reports

Dashboard Menu	Dashboard Menu Name	Report Name	Drilldown Report	Drilldown Report Name
Cases	Cases Home Dashboard	Past Due Date_Report	No	
		Due Today_Report	No	
		Number of Cases by Closing Status_Report	No	
		Outstanding Cases_Report	No	
		Scenario Efficiency Report	No	
	Case Search	Case Entity Search_Report	Yes	Case Entity Search_Drilldown
	Case Search by Transaction Type	Case Transaction Entity Search_Report	Yes	Case Transaction Entity Search_Drilldown
	Re Opened Cases	Reopened Cases_Jurisdiction_conditional_Report	No	
		Reopened Cases_Owner_conditional_Report	No	
		Reopened Cases_Subtype_conditional_Report	No	
	Pre Cases	Pre-case report	No	
	Alert Home	Alert By Scenario-Home	No	
	Alert Search	List_Alert_Entity_search_Scn	No	

Table 3-1 (Cont.) FCCM Analytics Reports

Dashboard Menu	Dashboard Menu Name	Report Name	Drilldown Report	Drilldown Report Name
	Alert By Transaction Type	Alert by BackOffice Transaction Types_Tabular_Report	No	
		Alert by BackOffice Transaction Types_Tree1_Report	No	
		Alert by BackOffice Transaction Types_Tree2_Report	No	
		Alert by Cash Transaction Types_Tabular_Report	No	
		Alert by Cash Transaction Types_Tree1_Report	No	
		Alert by Cash Transaction Types_Tree2_Report	No	
		Alert by MI Transaction Types_Tabular_Report	No	
		Alert by MI Transaction Types_Tree1_Report	No	
		Alert by MI Transaction Types_Tree2_Report	No	
		Alert by Wire Transaction Types_Tree1_Report	No	
		Alert by Wire Transaction Types_Tree2_Report	No	
		Alert by WireTransaction Types_Tabular_Report	No	
Alerts	Alert Home	Alert By Scenario-Home	No	

Table 3-1 (Cont.) FCCM Analytics Reports

Dashboard Menu	Dashboard Menu Name	Report Name	Drilldown Report	Drilldown Report Name
	Alert Search	List_Alert_Entity_s ea rch_Scn	No	
	Alert By Transaction Type	Alert by BackOffice Transaction Types_Tabular_Re po rt	Yes	Alert by BackOffice Transaction Types_Drilldown Report
		Alert by BackOffice Transaction Types_Tree1_Repo rt	No	
		Alert by BackOffice Transaction Types_Tree2_Repo rt	No	
		Alert by Cash Transaction Types_Tabular_Re po rt	Yes	Alert by Cash Transaction Types_Drilldown Report
		Alert by Cash Transaction Types_Tree1_Repo rt	No	
		Alert by Cash Transaction Types_Tree2_Repo rt	No	
		Alert by MI Transaction Types_Tabular_Re po rt	Yes	Alert by MI Transaction Types_Drilldown Report
		Alert by MI Transaction Types_Tree1_Repo rt	No	
		Alert by MI Transaction Types_Tree2_Repo rt	No	
		Alert by Wire Transaction Types_Tree1_Repo rt	No	
		Alert by Wire Transaction Types_Tree2_Repo rt	No	
		Alert by WireTransaction Types_Tabular_Re po rt	Yes	Alert by Wire Transaction Types_Drilldown Report

Table 3-1 (Cont.) FCCM Analytics Reports

Dashboard Menu	Dashboard Menu Name	Report Name	Drilldown Report	Drilldown Report Name
Productivty	Home	Average Time Taken for Alert Closure - Report-Home	No	
		Average Time Taken for Case Closure - Report-Home	No	
		Active Cases Per User-Organization - Report - Home	No	
	Case Closing Trend	Trend of Closing Activities For Alerts Across Time_Monthly_Report		Trend of Closing Activities for Alerts_Monthly Trend_Drilldown
		Trend of Closing Activities For Alerts Across Time_Weekly_Report		Trend of Closing Activities for Alerts_Weekly Trend_Drilldown
FRAUD	Trend of Averted Loss for Cases	Trend of Averted loss_Report	Yes	Trend of Averted loss_Drilldown
	Trend of avf Loss & Recovery Amt for Cases	trend_of_all_losses	No	
	Trend of High Loss Cases	trend_of_highloss_owner_jrsdn_subtype	No	
CTR	Trends	CTR Trending STPs	No	
		CTR Trending FinCEN	No	
	Detail TIN	CTR Detail Tin	Yes	CTR Detail Tin-D1
				CTR Detail Tin-D2
	Productivity By Status	CTR Productivity by Status_Transaction Date	Yes	CTR Productivity by Status_Transaction Date
		CTR Productivity by Status_Due Date	Yes	CTR Productivity by Status D1
	Recertify Productivity	Recertify Productivity Report	Yes	Recertify Productivity Report- D1 TE
				Recertify Productivity Report- D1 TN
				Recertify Productivity Report- D1 TR

Table 3-1 (Cont.) FCCM Analytics Reports

Dashboard Menu	Dashboard Menu Name	Report Name	Drilldown Report	Drilldown Report Name
	Revoked Exemptions	Revoked Exemptions	Yes	Drill Revoked Exemptions
	New Exemptions	New Exemptions Report	No	
	High Volume CTR Entries	High Volume CTR Entities	No	
	Audit CTR	Audit CTR Report	No	
	Exempt Entity	Exempt Entity Report	No	
	MI Transaction Log	MI Transaction Log	No	
	Currency Transaction Journal	Currency Transaction Daily Journal	No	

3.1 Common Filters for MIS and Business Entity Reports

Global filters are available in most reports. You can use global filters to apply conditions to the individual reports. To access the report filters, click the funnel icon. The individual report filter fields appear to the left of the report. Each report has its own specific set of filters.

1. Enter the following details.

Table 3-2 Global Filters for Account Entity Search Report and their Descriptions

Field	Description
Account Identifier	Select the unique identification number of an account.
Account Type	Select the Account Type classification for the usage of this account.
Account Ownership Type	Select the account ownership type from the drop-down list.
Account holder Type	Select the account holder type from the drop-down list
Account Status	Select the account status. (for example: Active, Inactive, or Closed).
Account Open Date	Enter the account open date using the calendar. This is the date on which the account is opened.
Country of Domicile	Select the permanent legal residence country from the drop-down
Effective Risk	Select the effective risk. This is the level of risk associated with the selected account.
Branch	Select the branch code. This is the branch where the account is domiciled.
Business Domain	This shows the associated Business Domain selected from the drop-down.
Jurisdiction	Select the jurisdiction from the drop-down list. This is the jurisdiction associated with this account.
Account Address Country	Select the country name of the correspondent bank from the drop-down
Account Address State	Select the state name of the correspondent bank from the drop-down

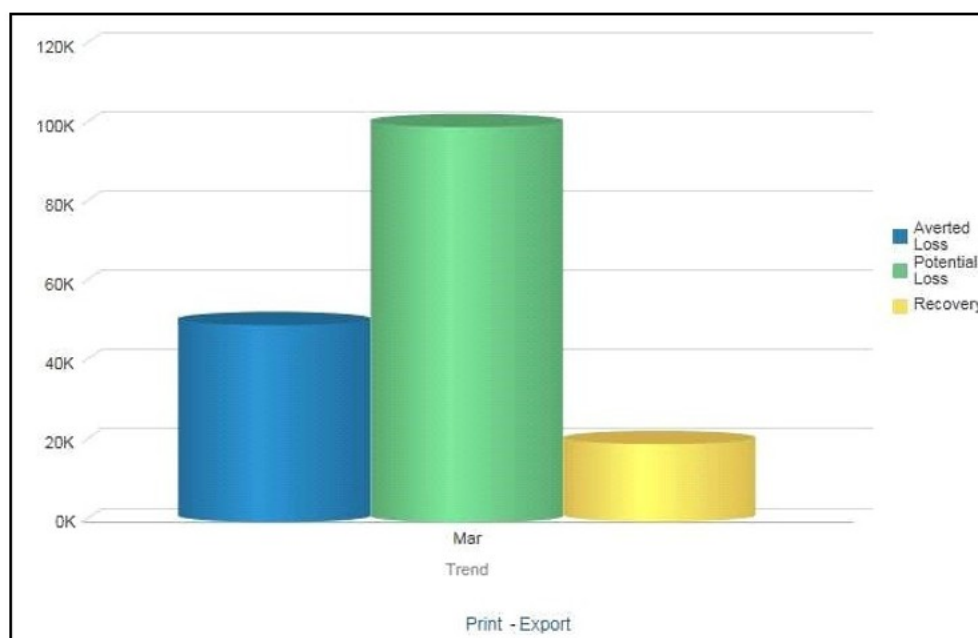
Table 3-2 (Cont.) Global Filters for Account Entity Search Report and their Descriptions

Field	Description
Account Address City	Select the city name of the correspondent bank from the drop-down

- After entering data in the mandatory fields, click **Apply** to view the results.

3.2 Drill Down Reports

Drill down reports are reports which appear when you click inside a report. For example, a Fraud report, Trend of Average Loss and Recovery Amounts for Cases, has a drill down report, list case by all losses. This report appears when you click a Trend bar.

Figure 3-1 Trend of Average Loss and Recovery Amounts for Cases

- Click a bar to view the list case by all losses drill-down report.

Figure 3-2 List case by all losses Drill-down Report

Score	Focus Type	Type	Subtype	Title	Description	Created	Due	Organization	Status	Owner ID	Owner	Linked Alerts	Domains	ID	Trend
EE	Fraud	Account and Product Fraud	Employee Journals	7 Matches; 1 Scenarios	3/3/2017			TestOrgA	Reopened	AMSUPERVISOR	AMSUPERVISOR	1	fedcbaD	CA125	Mar

Return - Print - Export - Create Bookmark Link

MIS Reports: Trend of Avg Loss & Recovery Amt for Cases > list_case_by_all_losses

- Click the **Trend of Avg Loss & Recovery Amt for Cases** hyperlink to go back to the Trend of Average Loss and Recovery Amounts for Cases report.
- Enter the next step.>

3.3 Common Actions

The following actions are provided for each of the reports:

- **Refresh:** When you click **Refresh** , the current report will refresh the results of the current request.
- **Print:** When you click **Print** , two options to print the current report are displayed: **Printable PDF** and **Printable HTML**. Click one of the options to view the report in that format, following which you can print the report by clicking **CTRL+P**.
- **Export:** When you click **Export** , the current report can be exported into a PDF, Excel, Power- point, various data formats or a Web page.

3.4 Error Messages

If the report does not have any results, the application displays the following messages:

- No Results For the Selected Criteria
- Matching Result Set Not Found

When you see one of the above errors, you can do one of the following:

- Change the filter values
- Click **Refresh** .

4

Viewing FCC Analytics Reports

- *Business Entity Reports*
- *MIS Reports*

4.1 Business Entity Reports

The Business Entity Reports offer a variety of reports which detail information specific to the selected business entity. Each report has its own unique filters with results displaying the primary information about that business entity. Typically, one record per entity is returned in the report. The results are independent of AML alerts or cases and represent all matching records found within the Financial Service Data Models.

- *Accessing the Business Entity Reports*
- *Running an Individual Business Entity Report*

4.1.1 Accessing the Business Entity Reports

To access the Business Entity Reports, follow these steps:

1. Click the Business Entity Reports on the Dashboards menu. The following Business Entity Reports are displayed in the list.
 - *Account Entity Search*
 - *Customer Entity Search*
 - *Trade/Execution Entity Search*
 - *Orders Entity Search*
 - *Security Entity Search*
 - *Transaction Entity Search*
 - *Transaction Monitoring*
 - *Transaction Volume*

4.1.1.1 Account Entity Search

The Account Entity Search dashboard displays all accounts in the application matching the criteria defined.

The Account Entity Search report table displays the following attributes:

- Account name
- Account ID
- Type(s)
- Account Holder type
- Account Business Type

- Registration
- Account Ownership Type
- Account Status
- Account Status Date
- Open Date
- Date of Last Activity
- Business Unit
- Branch
- Discretion Managed Code
- Effective Risk
- Country of Domicile
- Primary Address Country
- Primary Address Region
- Primary Address State
- Primary Address City
- Jurisdiction
- Business Domain

4.1.1.2 Customer Entity Search

The Customer Entity Search dashboard displays all customers in the application matching the criteria defined.

The Customer Entity Search report table displays the following attributes:

- Customer Name
- Customer ID
- Type
- Business Type
- Customer Status
- Date of Birth
- Primary Citizenship
- Customer Add Date
- Effective Risk
- Primary Address Country
- Primary Address State
- Primary Address City
- Primary Address Region
- # of Account

4.1.1.3 Trade/Execution Entity Search

The Trade/Execution Entity Search dashboard displays all traded and executions in the application matching the criteria defined.

Figure 4-1 Trade/Execution Entity Search Report

Trade/Execution Entity Search Report												
Time run: 6/29/2020 5:09:00 PM												
Trade ID	Date and Time	Security	ISIN	Product Category	Quantity	Price	Principal	Order Identifier	Trade Identifier	Customer	Customer Account	Custo
780001	30-JAN-15 131201000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-064		AYERTON SENNA	Buy
790001	27-FEB-15 130101000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-063		AYERTON SENNA	Buy
840001	31-MAR-15 114501000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-062		AYERTON SENNA	Buy
870001	30-APR-15 113101000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-061		AYERTON SENNA	Buy
870002	30-APR-15 143801000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-054		ALAIN PROST	Buy
900001	29-MAY-15 090500000 -05:00	SECDAVTRDLOSSHH-01	DTLHH01	Equity	1000.00	10.25	1.00		TRDDAYTRDLOSHH-09	PREET PRAKASH C	Manorea	Sell
900002	29-MAY-15 102501000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-060		AYERTON SENNA	Buy
900003	29-MAY-15 090500000 -05:00	SECDAVTRDLOSSHH-02	DTLHH02	Equity	1000.00	10.27	1.00		TRDDAYTRDLOSHH-01	MURUGAN SINGH B	JOHNSON	Sell
900004	29-MAY-15 132702000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-053		ALAIN PROST	Buy
900005	29-MAY-15 100500000 -05:00	SECDAVTRDLOSSHH-01	DTLHH01	Equity	1000.00	50.00	1.00		TRDDAYTRDLOSHH-10	PREET PRAKASH C	Manorea	Buy
900006	29-MAY-15 100500000 -05:00	SECDAVTRDLOSSHH-02	DTLHH02	Equity	1000.00	100.00	1.00		TRDDAYTRDLOSHH-02	MURUGAN SINGH B	JOHNSON	Buy
900007	29-MAY-15 093000000 -05:00	Security for Day Trade	DTLA01	Equity	250.00	44.20	1.00		TRDDAYLOSSAC-01	MOHANTY BALAJI	ROSS	Sell
900008	29-MAY-15 103000000 -05:00	Security for Day Trade	DTLA01	Equity	250.00	2,000.00	1.00		TRDDAYLOSSAC-02	MOHANTY BALAJI	ROSS	Buy
900009	29-MAY-15 143505000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-071		JACK VILLEVENUE	Buy
930001	30-JUN-15 101001000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-059		AYERTON SENNA	Buy
930002	30-JUN-15 132402000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-052		ALAIN PROST	Buy
930003	30-JUN-15 094000000 -05:00	Security for Day Trade	DTLA01	Equity	100.00	80.42	1.00		TRDDAYLOSSAC-03	MOHANTY BALAJI	ROSS	Sell
930004	30-JUN-15 104000000 -05:00	Security for Day Trade	DTLA01	Equity	100.00	1,800.00	1.00		TRDDAYLOSSAC-04	MOHANTY BALAJI	ROSS	Buy
930005	30-JUN-15 152005000 -05:00	FSDF		Equity	1.00	2,000.00			XXXTMULFUNDAMPURHH-073	MANGAL SINGH HHH	EDDIE ERWINE	Buy
930006	30-JUN-15 134505000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-070		JACK VILLEVENUE	Buy
960001	31-JUL-15 091500000 -05:00	SECDAVTRDLOSSHH-01	DTLHH01	Equity	400.00	10.17	1.00		TRDDAYTRDLOSHH-11	PREET PRAKASH C	Manorea	Sell
960002	31-JUL-15 091500000 -05:00	SECDAVTRDLOSSHH-02	DTLHH02	Equity	400.00	15.27	1.00		TRDDAYTRDLOSHH-03	MURUGAN SINGH B	JOHNSON	Sell
960003	31-JUL-15 101500000 -05:00	SECDAVTRDLOSSHH-02	DTLHH02	Equity	400.00	150.00	1.00		TRDDAYTRDLOSHH-04	MURUGAN SINGH B	JOHNSON	Buy
960004	31-JUL-15 101500000 -05:00	SECDAVTRDLOSSHH-01	DTLHH01	Equity	400.00	300.00	1.00		TRDDAYTRDLOSHH-12	PREET PRAKASH C	Manorea	Buy
960005	31-JUL-15 113001000 -05:00	MUTUAL FUND		Mutual Fund	1.00	2,000.00			XXXTMULFUNDAMPURHH-051		ALAIN PROST	Buy

4.1.1.4 Orders Entity Search

The Orders Entity Search dashboard displays all orders in the application matching the criteria defined.

Figure 4-2 Orders Entity Search Report

Order Entity Search Report											
Time run: 6/29/2020 5:11:30 PM											
Order ID	Placed	First Routed	Filled	Security	Product Category	Buy/Sell	Original Quantity	Order Type	Limit Price	Buyer/Seller	
3288761263	12-FEB-18 102348019 -05:00		12-FEB-18 102350289 -05:00			Buy	25.230	Market		CUTRAGLSTOG-1200 CR	
CDSORTRAHMTREVEE-001	30-OCT-15 140000000 -05:00		30-OCT-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Buy	20.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-002	23-NOV-15 140000000 -05:00		23-NOV-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Buy	10.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-003	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Buy	20.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-004	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Buy	10.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-005	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Buy	15.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-006	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Buy	30.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-007	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Buy	20.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-008	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Buy	10.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-009	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Sell	10.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-010	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-001	Swap	Sell	15.000	Market	10.00	CUTRAHMTREVEE-001 CR	
CDSORTRAHMTREVEE-011	30-OCT-15 140000000 -05:00		30-OCT-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	300	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-012	23-NOV-15 140000000 -05:00		23-NOV-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	300	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-013	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	20.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-014	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	10.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-015	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	15.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-016	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	30.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-017	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	20.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-018	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Buy	10.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-019	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Sell	10.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-020	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-013	Swap	Sell	15.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-031	30-OCT-15 140000000 -05:00		30-OCT-15 142800000 -05:00	CDSSCTRAHMTREVEE-003	Swap	Buy	500	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-032	23-NOV-15 140000000 -05:00		23-NOV-15 142800000 -05:00	CDSSCTRAHMTREVEE-003	Swap	Buy	500	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-033	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-003	Swap	Buy	10.000	Market	10.00	CUTRAHMTREVEE-008 EE	
CDSORTRAHMTREVEE-034	10-DEC-15 140000000 -05:00		10-DEC-15 142800000 -05:00	CDSSCTRAHMTREVEE-003	Swap	Buy	20.000	Market	10.00	CUTRAHMTREVEE-008 EE	

4.1.1.5 Security Entity Search

The Security Entity Search dashboard displays all securities in the application matching the criteria defined.

Figure 4-3 Security Entity Search Report

Security Entity Search Report									
Time run: 6/29/2020 5:13:02 PM									
Security	Security Identifier	CUSIP	ISIN	Product Category	Product Type	Product Subtype	Primary Exchange	Product Risk Rating	Date
ABN	XXXSCTPORTPUMP-005	SCTPMP-05	XXXSCTPORTPUMP-005	Equity	EQT	EQT	USD		0/0/0 12:00:00 AM
ABSF01	ABSF01	ABSF01	ABSF01	Fixed Income	FI	I-GRADE	USD		12/9/2015 12:00:00 AM
ABSF01	ABSF01	ABSF01	ABSF01	Fixed Income	FI	I-GRADE	USD		12/10/2015 12:00:00 AM
ABSF02	ABSF02	ABSF02	ABSF02	Fixed Income	FI	I-GRADE	USD		12/9/2015 12:00:00 AM
ABSF02	ABSF02	ABSF02	ABSF02	Fixed Income	FI	I-GRADE	USD		12/10/2015 12:00:00 AM
ACCENTURE	XXXSCTPORTPUMP-015	SCTPMP-15	XXXSCTPORTPUMP-015	Equity	EQT	EQT	USD		11/24/2015 12:00:00 AM
ACCENTURE	XXXSCTPORTPUMP-015	SCTPMP-15	XXXSCTPORTPUMP-015	Equity	EQT	EQT	USD		11/26/2015 12:00:00 AM
ACCENTURE	XXXSCTPORTPUMP-015	SCTPMP-15	XXXSCTPORTPUMP-015	Equity	EQT	EQT	USD		11/27/2015 12:00:00 AM
ACCENTURE	XXXSCTPORTPUMP-015	SCTPMP-15	XXXSCTPORTPUMP-015	Equity	EQT	EQT	USD		11/30/2015 12:00:00 AM
ACCENTURE	XXXSCTPORTPUMP-015	SCTPMP-15	XXXSCTPORTPUMP-015	Equity	EQT	EQT	USD		12/4/2015 12:00:00 AM
AFFINITY	SCESINAC-001	SCINAC1	SCESINAC-001	Equity	EQT	EQT	USD		0/0/0 12:00:00 AM
AIRTEL	XXXSCTPORTPUMP-021	SCTPMP-21	XXXSCTPORTPUMP-021	Equity	EQT	EQT	USD		0/0/0 12:00:00 AM
ANTYSUBM-01	SECANTYSUBM-01	CUSIP1	SCTAAC1	Insurance Fund	INF		\$		0/0/0 12:00:00 AM
ANTYSUBM-02	SECANTYSUBM-02	CUSIP2	SCTAAC2	Insurance Fund	INF		\$		0/0/0 12:00:00 AM
ANTYSUBM-03	SECANTYSUBM-03	CUSIP3	SCTAAC3	Insurance Fund	INF		\$		0/0/0 12:00:00 AM
ANTYSUBM-04	SECANTYSUBM-04	CUSIP3	SCTAAC4	Insurance Fund	INF		\$		0/0/0 12:00:00 AM
ANTYSUBM-05	SECANTYSUBM-05	CUSIP4	SCTAAC5	Insurance Fund	INF		\$		0/0/0 12:00:00 AM
ANTYSUBM-06	SECANTYSUBM-06	CUSIP5	SCTAAC6	Insurance Fund	INF		\$		0/0/0 12:00:00 AM
ANTYSUBM-07	SECANTYSUBM-07	CUSIP6	SCTAAC7	Insurance Fund	INF		\$		0/0/0 12:00:00 AM
ANTYSUBM-07	SECANTYSUBM-08	CUSIP7	SCTAAC8	Insurance Fund	INF		\$		0/0/0 12:00:00 AM
ATAPI	XXXSCTPORTPUMP-016	SCTPMP-16	XXXSCTPORTPUMP-016	Equity	EQT	EQT	USD		0/0/0 12:00:00 AM
BA	SCGUIDEOVER-010	OVR-010	SCGUIDEOVER-010	Equity	EQT	EQT	USD		0/0/0 12:00:00 AM

4.1.1.6 Transaction Entity Search

The Transaction Entity Search dashboard displays all transactions in the application matching the criteria defined.

Figure 4-4 Back Office Transaction Entity Report

Back Office Transaction Entity Report

Time run: 3/17/2026 9:53:39 AM

Date	Account		Offset Account		Debit/Credit	Base Amount	Report Amount	Type	Transaction Reference ID	Unrelated Party Code
	ID	Risk	ID	Risk						
08-DEC-15 154530123 +05:30	ACCT070225008	6		0 C		100000.00		JOURNAL	TXN07022500801	
10-DEC-15 154530123 +05:30	ACCT070225008	6		0 D		70000.00		JOURNAL	TXN07022500802	

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Figure 4-5 Cash Transaction Entity Report

Cash Transaction Entity Report

Time run: 17-03-2026 10:07:53 AM

		Amount		Account		Location		Address										
Date	Type	Debit/Credit	Base Amount	Activity Currency	Activity Amount	ID	Customer Name	Risk	Conductor ID	Conductor Name	ID	Name	Address	City	State	Postal Code	Country	Transaction Reference ID
15-12-2014	CURRENCY	C	75000.00	USD	75000.00	ACSCNACTAC-001			10		FBWC02VA	FIRST BANK OF WEST CROSS VA	894 GRAND AVE	WEST CROSS	VA	11211	US	FOTRNSNESCUNACTAC0001
11-12-2014	CURRENCY	C	500.00	USD	500.00	ACCBPACB-CB-01			9		EXACCBPACB-CB-01	EXACCBPACB-CB-01	12 OLD PLANK RD	RIVERPLACE-2	VA	56081	US	FOCBPACB-CB-07
11-12-2014	CURRENCY	C	500.00	USD	500.00	ACCBPACB-CB-02			9		EXACCBPACB-CB-02	EXACCBPACB-CB-02	12 OLD PLANK RD	RIVERPLACE-2	VA	56081	US	FOCBPACB-CB-24
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00002			7									CTRCSN00002
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00004			6									CTRCSN00004
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00006			6									CTRCSN00006
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00012			6									CTRCSN00012
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00020			6									CTRCSN00020
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00022			6	CDCTRC5003	PHILIP							CTRCSN00022
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00025			6	CDCTRC5003	ALBERT							CTRCSN00025
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00026			6	CDCTRC5002	FRANKLIN							CTRCSN00026
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00028			6	CDCTRC5003	PHILIP							CTRCSN00028
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00032			6	CTRCS00007	ALBERT							CTRCSN00032
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00034			6									CTRCSN00034
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00035			6	CDCTRC5003	PHILIP							CTRCSN00035
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00036			6	CDCTRC5003	HAINES							CTRCSN00036
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00039			6	CTRCS00004	MARIE							CTRCSN00039
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00040			6	CDCTRC5002	PHILIP							CTRCSN00040
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00041			6									CTRCSN00041
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00042			6	CDCTRC5003	ANTHONY							CTRCSN00042
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00043			6	CDCTRC5003	MARIA							CTRCSN00043
11-12-2014	CURRENCY	C	20000.00	USD	20000.00	CTRCSACCT00046			6	CTRCS00002	JULIAN							CTRCSN00046
11-12-2014	CURRENCY	D	5000.00	USD	5000.00	EXACDPOTACTACB-012			8									FOTRNSNDEPOTACTACB-131
11-12-2014	CURRENCY	D	10000.00	USD	10000.00	EXACDPOTACTACB-012			8									FOTRNSNDEPOTACTACB-131
11-12-2014	CURRENCY	D	11500.00	USD	11500.00	XXXACUSTRANENAMP-007			2									CASHSTN0007

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RefreshPrintExport

CITY ATM

BRICHARD

PO BOX 79557 40762 MACHESON POINT SUTTON

ENGLAND RNS

UK

CASHSTN0007

Figure 4-6 MI Transaction Entity Report

MI Transaction Entity Report

Time run: 3/17/2026 9:54:25 AM

Page 1

				Remitter			Beneficiary							
Post Date	Issue Date	Type	Serial/Check	Amount	Name	Account ID	Risk	Name	Account ID	Risk	Foreign Check	Reference ID	Contract Reference ID	Unrelated Parties
		CASH-EQ-CASHER-CHECK		4000.00	KIP DENDY	XA-7356328	8	BERYL KITTLESS	ACCT18062402601	8	N	TXN18062402601		Y
		CASH-EQ-CERT-CHECK		5000.00	SANDY KOEPP	XA-7462773	8	BERYL KITTLESS	ACCT18062402602	8	N	TXN18062402602		Y
		CASH-EQ-MONEY-ORDER		9000.00	MARIANNA KIHAM	XA-CSXEIND-0790086	9	BERYL KITTLESS	ACCT18062402602	9	N	TXN18062402603		Y
		CASH-EQ-OTHER		5000.00	VALENTINE KIRKHAM	XA-CSXEIND-0221457	10	VALENTINE KIRKHAM	XA-CSXEIND-0221231457	9	N	TXN18062402702		Y
		CASH-EQ-TRAVELERS-CHECK		4000.00	SANDY KOEPP	XA-7462773	10	SANDY KOEPP	XA-7462773123	7	N	TXN18062402701		Y
		CASH-LETTER		1000.00	SABRINA DAUBENY	ACCTRLAR202211070023	9	KIP DENDY	XA-7356328	9	Y	TXN202211070023004		Y
		CASH-LETTER		1200.00	SABRINA DAUBENY	ACCTRLAR202211070023	9	VICKIE NICKELSON	XA-7397775	9	Y	TXN202211070023008		Y
		CASH-LETTER		1500.00	JONIE RIGGEARD	ACCTRLAR202211070035	8	VALENTINE KIRKHAM	XA-CSXEIND-0221457	8	Y	TXN202211070035005		Y
		CASH-LETTER		1500.00	MORISSA MCLUGISH	ACCTRLAR202211070028	8	VALENTINE KIRKHAM	XA-CSXEIND-0221457	8	Y	TXN202211070028005		Y
		CASH-LETTER		1500.00	SABRINA DAUBENY	ACCTRLAR202211070023	9	HILARIO CAPLES	XA-CSXEIND-0221458	9	Y	TXN202211070023005		Y
		CASH-LETTER		1700.00	SABRINA DAUBENY	ACCTRLAR202211070023	9	VALENTINE KIRKHAM	XA-CSXEIND-0221457	9	Y	TXN202211070023006		Y
		CASH-LETTER		1800.00	SABRINA DAUBENY	ACCTRLAR202211070023	9	VALENTINE KIRKHAM	XA-CSXEIND-0221457	9	Y	TXN202211070023007		Y
		CASH-LETTER		2000.00	YOUNG MCDORMAN	XA-7397774	9	SABRINA DAUBENY	ACCTRLAR202211070023	9	Y	TXN202211070023003		Y
		CASH-LETTER		3000.00	PORTER VANSOY	XA-7392043	9	SABRINA DAUBENY	ACCTRLAR202211070023	9	Y	TXN202211070023001		Y
		CASH-LETTER		4000.00	KERMIT TUNSTALL	XA-CSXEIND-0530783	8	JONIE RIGGEARD	ACCTRLAR202211070135	8	Y	TXN202211070035002		Y
		CASH-LETTER		4000.00	KERMIT TUNSTALL	XA-CSXEIND-0530783	8	MORISSA MCLUGISH	ACCTRLAR202211070028	8	Y	TXN202211070028002		Y
		CASH-LETTER		4000.00	OCIE SUNDERLAND	XA-CSXEIND-0787961	9	SABRINA DAUBENY	ACCTRLAR202211070023	9	Y	TXN202211070023002		Y
		CASH-LETTER		9000.00	ERICK FORSHEE	XA-CSXEIND-0034348	10	ERICK FORSHEE	XA-CSXEIND-0031234348	9	N	TXN18062402703		Y
		CHECK		-9000.00	VALENTINE KIRKHAM	XA-CSXEIND-0221457	9	REMUUS JAKUBOVICS	ACCT18062402901	9	Y	TXN18062402904		Y
		CHECK		4000.00	ARNUAD BOLZMANN	ACCT18062405701	8	LEISHA FENCOTT	ACCT18062402401	8	N	TXN18062402401		Y
		CHECK		4000.00	FELIX GEORGIADIS	ACCT18062402501	7	KIP DENDY	XA-7356328	7	Y	TXN18062402501		Y
		CHECK		4000.00	FREDDY VINCENT	XA-CSXEIND-0348732	8	FELIX GEORGIADIS	ACCT18062402502	8	Y	TXN18062402504		Y
		CHECK		4000.00	SANDY KOEPP	XA-7462773	8	NIKOLOS KNOWLER	ACCT18062402801	8	N	TXN18062402801		Y
		CHECK		4000.00	TRESSA RIDING	XA-7508178	7	SCOTTIE ALVARADO	ACCT18062403001	7	N	TXN18062403001		N
		CHECK		4000.00	YOUNG MCDORMAN	XA-7397774	9	REMUUS JAKUBOVICS	ACCT18062402901	8	N	TXN18062402901		Y

Rows 1 - 25

Refresh - Print - Export

Figure 4-7 Wire Transaction Entity Report**Wire Transaction Entity Report**

Time run: 3/17/2026 9:54:08 AM

		Amount	Originator			Beneficiary					
Date	Type	Base	Account ID	Name	Risk	Account ID	Name	Risk	Transaction Reference ID	Contract Reference ID	Unrelated Parties
01-DEC-15	EFT-ACH	1000.00	ACCT2023051813001	KIMMIE DONAGHIE	9	EN2023051813	NATALINE APRAHAMIAN	9	TRXN2023051813001		Y
01-DEC-15	EFT-ACH	1000.00	EN2023051813	NATALINE APRAHAMIAN	9	ACCT2023051813006	ALEXANDRO GARLETT	9	TRXN2023051813006		Y
01-DEC-15	EFT-ACH	2800.00	EE130525022	YOUNG MCDORMAN	7	ACCT130525011	KRISTOFORO SCHUELCKE	7	TXN13052501107		Y
01-DEC-15	EFT-FEDWIRE	1000.00	EN2023051816001	VERNICE LAMDEN	7	ACCT2023051816001	MELLISA GURR	9	TRXN2023051816001		Y
01-DEC-15	EFT-FEDWIRE	2800.00	EE130525026	RETTY EDLING	5	XA-7356328	KIP DENDY	5	TXN13052501307		Y
01-DEC-15	EFT-OTHER	1000.00	ACCT2023051818001	JAKOB LE GALL	9	ACCT2023051804001	SALVATORE CLARKIN	7	TRXN2023051818001		Y
01-DEC-15	EFT-OTHER	1000.00	ACCT2023051819001	RIKKI CONNIKIE	9	EN2023051819001	CLO BLAXELAND	8	TRXN2023051819001		Y
01-DEC-15	EFT-OTHER	2800.00	XA-7462773	SANDY KOEPP	4	EE130525027	DESHAWN HIBBS	6	TXN13052501407		Y
01-DEC-15	EFT-SWIFT	999.00	ACCT2023051848001	VAIL BRYCESON	9	EN2023051848	GRADY GONTIER	9	TRXN2023051848001		Y
01-DEC-15	EFT-SWIFT	999.00	EN2023051860	MAXY HAWKWOOD	7	ACCT2023051860001	FREDERIK RIDES	9	TRXN2023051860001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051801001	SELLA CRITCHELL	9	EN2023051801	ILAIRE JOSSKOVITZ	6	TRXN2023051801001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051802001	BROCKIE DANILYUK	9	EN2023051802	JOELLA HUDDLE	8	TRXN2023051802001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051803001	ALFIE FERGYSO	9	EN2023051803	CHRISTOFORO RYVES	7	TRXN2023051803001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051804001	SALVATORE CLARKIN	9	EN2023051804	MERCI HURT	8	TRXN2023051804001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051805001	EPHRAIM BLINMAN	9	EN2023051805	VIVIANNE EASTERBROOK	7	TRXN2023051805001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051806001	THOR THORMANN	8	EN2023051806	DULCEA CRUWYS	8	TRXN2023051806001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051807001	MORRY MILLICHAP	9	EN2023051807	ABDUL GEDGE	9	TRXN2023051807001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051809001	JULIETA SENT	9	EN2023051809	GIULIO LIVOCK	8	TRXN2023051809001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051810001	MALYNDA GIOVANNACCI	9	EN2023051810A1	TERREL GOODERED	9	TRXN2023051810001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051811001	NICOLAS WEGMAN	9	EN2023051811	EUSTACIA MCCRACHEN	9	TRXN2023051811001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051812001	STORM CLAYWORTH	9	EN2023051812	ELYSHA DUETSCHENS	7	TRXN2023051812001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051814001	ERASMUS CHEALES	9	EN2023051814	JSANDYE MIDDLEMISS	7	TRXN2023051814001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051820001	MATIAS SPAFFORD	9	EN2023051820	ISACCO DOCKREAY	7	TRXN2023051820001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051821001	BALDWIN KLIEMCHEN	9	EN2023051821	BARBI JAMES	7	TRXN2023051821001		Y
01-DEC-15	EFT-SWIFT	1000.00	ACCT2023051822001	RUTHE AKETT	9	EN2023051822	GERTA ROMAN	8	TRXN2023051822001		N

Rows 1 - 25

4.1.1.7 Transaction Monitoring

The Transaction Monitoring dashboard displays the total number of transaction in the application over a defined time range.

Table 4-1 Transaction Monitoring filters

Field	Description
From Date	Include transactions on or after this date.
To Date	Include transactions on or before this date.
Apply	Run the search with the selected dates.
Reset	Clear the dates and restore default values.

Figure 4-8 Transaction Volume [Total Transaction] Report

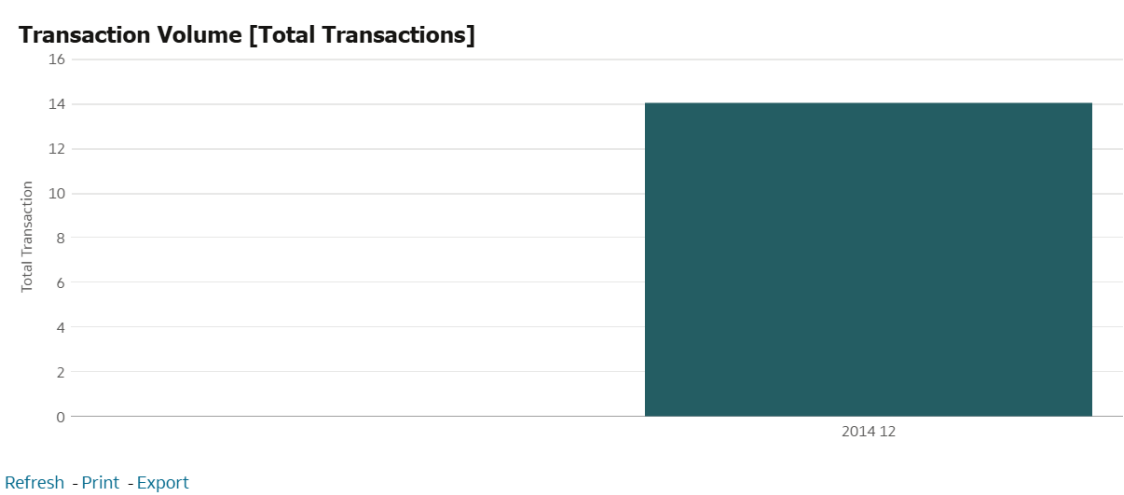


Figure 4-9 Transaction Volume [Back Office Transaction] Report

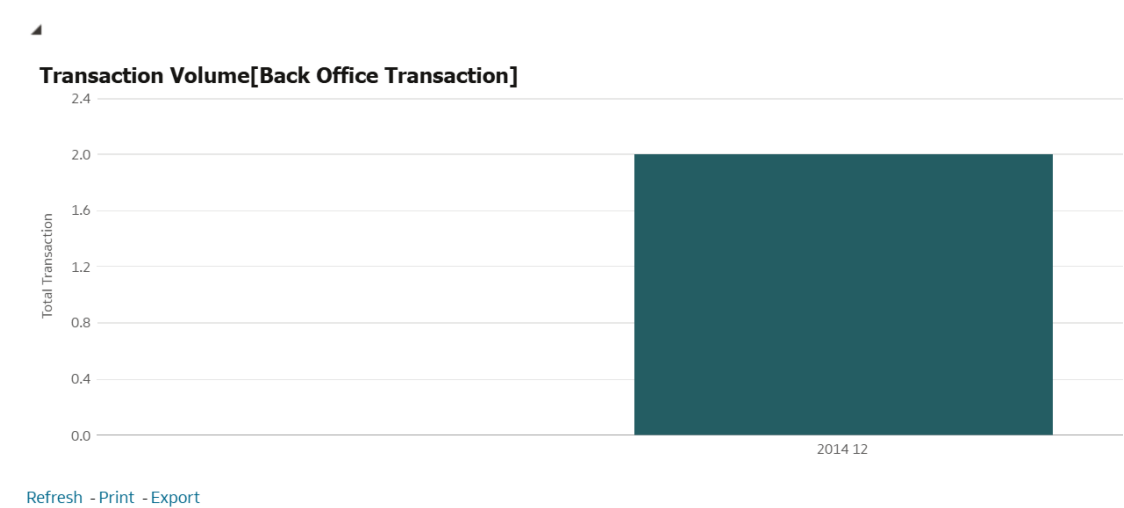


Figure 4-10 Transaction Volume [Cash Transaction] Report

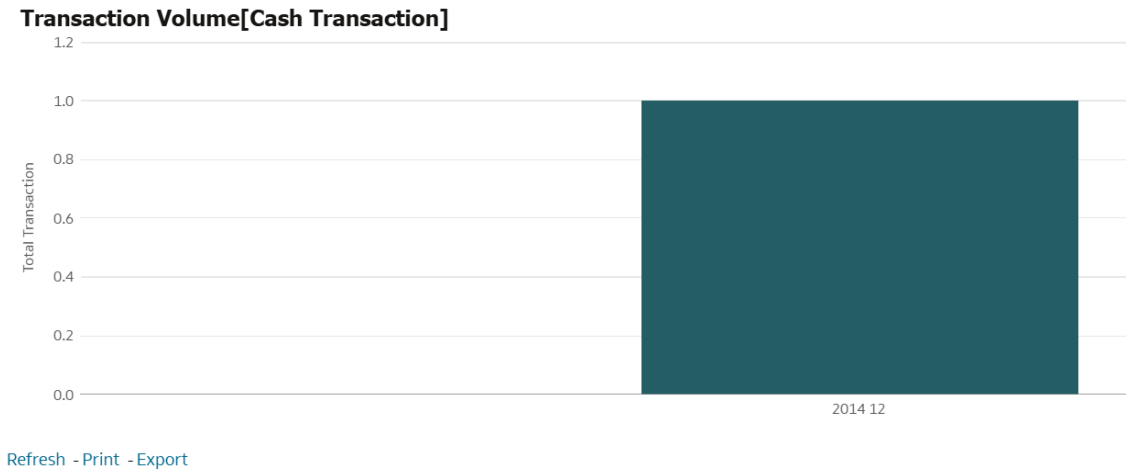
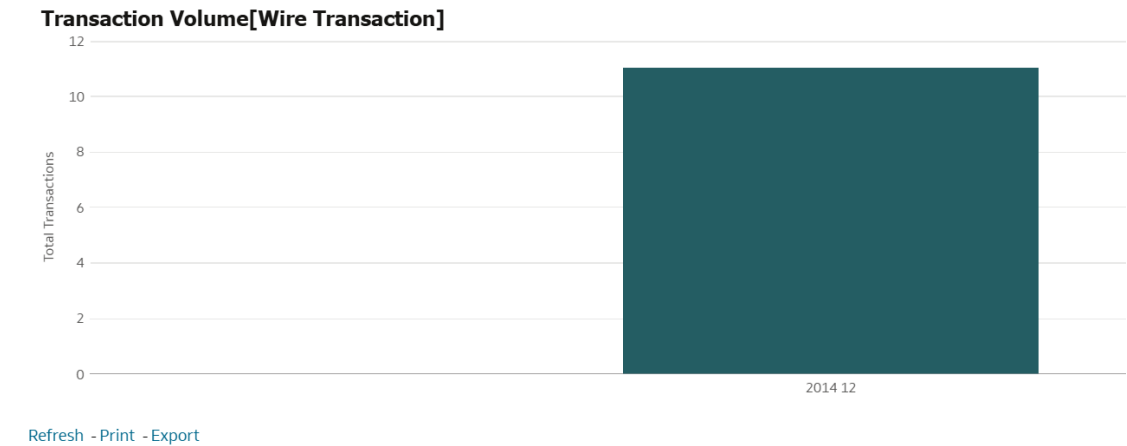


Figure 4-11 Transaction Volume [Wire Transaction] Report



4.1.1.8 Transaction Volume

The Transaction Volume dashboard displays the number of cases and events for a defined time range compared to the volume of transactions in the application.

Table 4-2 Transaction Volume filters

Field	Description
From Date	Include transactions on or after this date.
To Date	Include transactions on or before this date.
Apply	Run the search with the selected dates.
Reset	Clear the dates and restore default values.

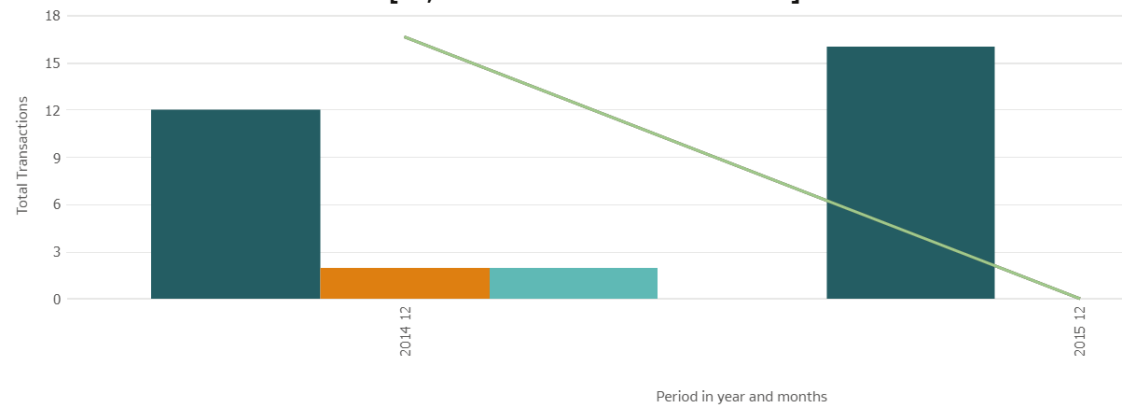
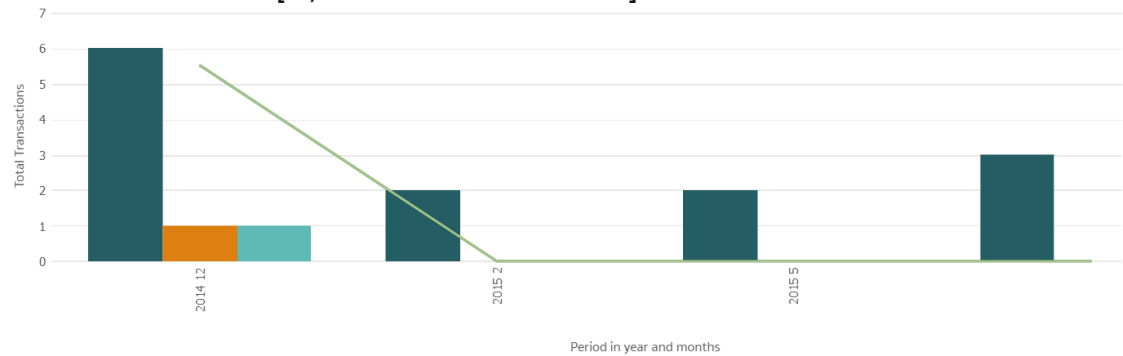
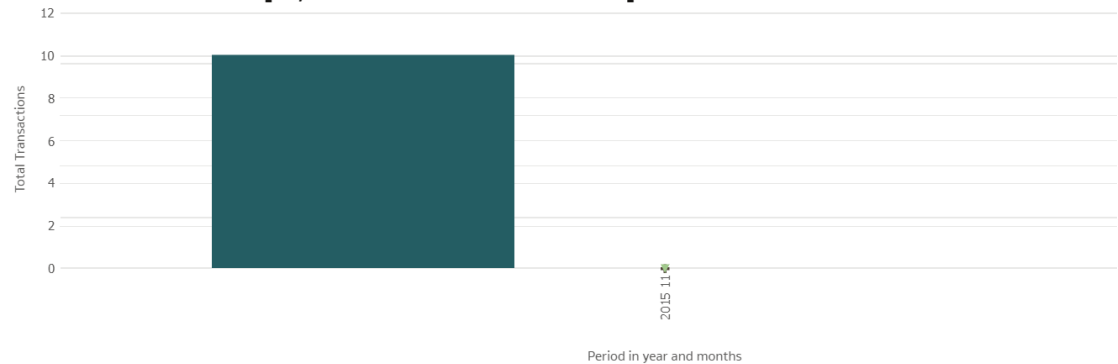
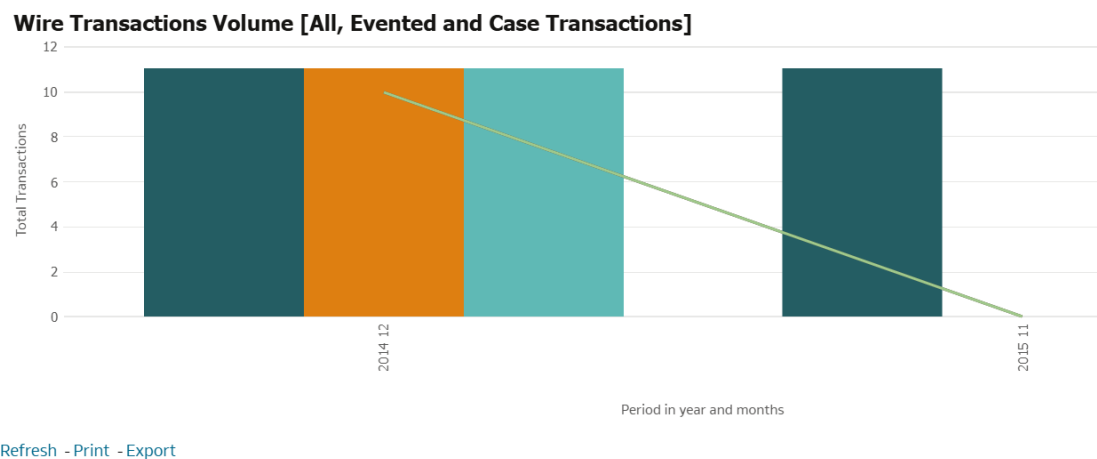
Figure 4-12 Back Office Transactions Volume [All, Evented and Case Transactions]**Back Office Transactions Volume [All, Evented and Case Transactions]**[Refresh](#) - [Print](#) - [Export](#)**Figure 4-13 Cash Transactions Volume [All, Evented and Case Transactions]****Cash Transactions Volume [All, Evented and Case Transactions]**[Refresh](#) - [Print](#) - [Export](#)**Figure 4-14 MI Transactions Volume [All, Evented and Case Transactions]****MI Transactions Volume [All, Evented and Case Transactions]**

Figure 4-15 Wire Transactions Volume [All, Evented and Case Transactions]

4.1.2 Running an Individual Business Entity Report

To run an individual Business Entity Report, select the individual report from the left menu. (For this example we are using the Account Entity Search Report and Customer Entity Search Report). By default the report will not return any records.

To view the report with specific details, follow these steps:

1. Click the **Business Entity Reports** on the Dashboards menu.
2. Click the **Global Filters** icon.
3. The filters for that specific report are displayed.
4. Select the desired options from the fields as described in the following table.

Table 4-3 Account Entity Search filters

Field	Description
Account Identifier is LIKE (pattern match)	Enter the unique identification number of an account. Supports pattern-based matches.
Account Type	Select the Account Type classification for the usage of this account.
Account Ownership Type	Select the account ownership type from the drop-down list.
Account Holder Type	Select the account holder type from the drop-down list.
Account Status	Select the account status from the drop-down list.
Account Open Date	Enter the account open date using the calendar.
Account Group ID is LIKE (pattern match)	Enter the numeric/alpha ID assigned to an account group. Supports pattern-based matches.
Account Group Name is LIKE (pattern match)	Enter the account group's name. Supports pattern-based matches.

Table 4-3 (Cont.) Account Entity Search filters

Field	Description
Account Group Type	Select the account group type from the drop-down list.
Country of Domicile is LIKE (pattern match)	Enter the name of country of domicile associated with account. Supports pattern-based matches.
Effective Risk	Select the calculated/assigned risk level for the account .
Branch is LIKE (pattern match)	Enter the branch name or code to find accounts tied to a specific branch. Supports pattern-based matches.
Business Domain	Choose the business area the account is associated with .
Jurisdiction	Select the governing legal/operating jurisdiction for the account.
Account Address Country is LIKE (pattern match)	Enter the country name in the account's mailing/registered address. Supports pattern-based matches.
Account Address State is LIKE (pattern match)	Enter the state/province/region name in the account's address. Supports pattern-based matches.
Account Address City is LIKE (pattern match)	Enter city's name in the account's address. Supports pattern-based matches.

Table 4-4 Customer Entity Search filters

Field	Description
Customer Add Date (Between)	Returns customers added within the specified start and end dates.
Customer Identifier (is LIKE)	Enter the customer's unique ID. Supports pattern-based matches.
Customer Name (is LIKE)	Enter the customer's name. Supports pattern-based matches.
Customer Status	Select the Customer status from the drop-down list.
Customer Type	Select the customer category from the drop-down list.
Business Type	Select the business category from the drop-down list.
Primary Residence Country (is LIKE)	Enter the country in the customer's primary residence address. Supports pattern-based matches.
Primary Residence Region (is LIKE)	Enter the region/territory for the primary residence (used in some countries).Supports pattern-based matches.
Primary Residence State (is LIKE)	Enter the state/province for the primary residence. Supports partial/pattern matches.
Primary Residence City (is LIKE)	Enter the city name in the customer's primary residence address. Supports pattern-based matches.

Table 4-4 (Cont.) Customer Entity Search filters

Field	Description
Business Domain	Select the business area the customer is associated with.
Jurisdiction	Select the governing legal/operating jurisdiction relevant to the customer.
Effective Risk	Select the calculated/assigned risk level for the account .

5. Click **Apply** .
The report results are displayed on the right hand panel.

4.2 MIS Reports

The MIS Reports dashboard provides users with access to reports, both summary and detailed, for applications as well as areas of interests like Productivity and AML Alerts.

4.2.1 Accessing the MIS Reports

To access the MIS Reports, follow these steps:

1. Click the MIS Reports on the Dashboards menu. The following MIS Reports are displayed in the list:
 - Cases
 - Alerts
 - SARs
 - Productivity
 - KYC
 - FATCA
 - Fraud
 - CRS
 - Scenario Tuning
 - Scenario Validation
 - Trade Blotter

Figure 4-16 MIS Reports



2. To view individual reports under each section, select the **Expansion** icon on the left of the section header.

Some of the application sections contain Home pages which run automatically when accessed. These reports may have global filters to allow for the manipulation of the information displayed.

The default page appears which shows the list of all pre-defined reports. The default page is configurable and can be designed to include reports, dashboards, and views generic for all applications. To expand each section and view more report details, click the downward arrow.

All the MIS reports also have report filters for each individual report similar to the Business Entity reports. For more information, see [Running an Individual Business Entity Report](#)

4.2.1.1 Cases

Use this dashboard to view the investigation and resolution of cases related to one or more business entities involved in potentially suspicious behavior.

The following Case reports are available:

- Cases Home
- Case Search
- Case Search by Transaction Type
- Reopened Cases

- Pre Cases

4.2.1.1.1 Cases Home

Use this dashboard to view case information related to the due cases, and other information about cases and their statuses.

Figure 4-17 Cases Home Dashboard



The following Case reports are displayed in the Cases Home page:

- **Past Due Cases:** Use this report to view the number of cases which are past their due date.
- **Cases Due Today:** Use this report to view the number of cases for which the due date is the current date.
- **Cases by Closing Status:** Use this report to view the number of cases by their closing status. Use this report to view the number of cases generated for a particular closing status.
- **Outstanding Cases:** Use this report to view total count by jurisdiction and priority of all reports which are not closed.

Figure 4-18 Scenario Efficiency Report in the Cases Home Dashboard

Scenario Efficiency Report

Alert Generation Date

Between 02/15/2016 03/17/2019

Scenario Class Name

(All Column Values)

Scenario Name

(All Column Values)

Apply

Reset

Scenario Efficiency Report

Alerts		Alert Dispositions						Case Dispositions						
Scenario Class Name	Scenario Name	Alerts Generated	Open	Close	Action Withheld	Promoted to Case	Non-Productive Alerts	Open Cases	ALL-Reg Report Filed	Closed - Reg Report Filed	Closed - No Reg Report	Alert-to-Case Ratio	Case-to-Reg Ratio	Alert-to-Reg Ratio
Fraud	(FR/AC) Account with Multiple Address Changes	12	11	1	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/AC) Change of Address or Phone Number Check Book Issue	4	3	1	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/AC) Dishonored Checks	2	2	0	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/AC) Escalation in Inactive Account Disbursement Activity	1	0	1	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/AC) Multiple Accounts with Address Changed to Same Address	4	2	2	0	1	0	0	0	0	0	25.00%	0.00%	0.00%
	(FR/AC) Networks of Accounts, Entities, and Customers	9	9	0	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/AC) Patterns of Check Kiting	6	6	0	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/AC) Patterns of Sequentially Numbered Checks, Monetary Instruments	1	0	1	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/AC) Suspicious Transactions Linked to Employees Below Internal Limits	14	7	7	0	4	0	5	0	0	0	28.57%	0.00%	0.00%
	(FR/AC) Suspicious Transactions Linked to Employees Same or Similar Amounts	4	4	0	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/CI) Account Registration or Control Change Followed by Disbursement	2	1	1	0	0	0	0	0	0	0	0.00%	0.00%	0.00%
	(FR/CI) Bust Out: Sudden Surge in Revolving Credit Utilization	3	1	2	0	1	0	0	0	0	0	33.33%	0.00%	0.00%
	(FR/CI) Patterns of Funds Transfers: Customers and External Entities	7	5	2	0	1	0	2	0	0	0	14.29%	0.00%	0.00%
	(FR/EE) Electronic Transactions Involving	3	0	3	0	0	0	1	0	0	0	0.00%	0.00%	0.00%

Priority

of Cases

High

364

Low

8029

Medium

133

Analysis

Print

Export

- **Scenario Efficiency Report:** Use this report to view the list of all scenarios and information about the number of alerts generated by those scenarios and of those alerts how many were promoted to a case. Other key indicators are also provided to best understand what actions have been take on the alerts and cases.
- **Key Indicators:** The following are the list of Key Indicators shown on the Right of the Cases Home Dashboard.
 - **Cases by Class:** Use this report to view the count of the total number of cases by Case Class.
 - **Cases by Jurisdiction:** Use this report to view the count of the total number of cases by business jurisdiction (geographic location).
 - **Cases by Priority:** Use this report to view the count of the total number of cases by priority.

4.2.1.1.2 Case Search

Use this dashboard to view the cases that are associated to the entity of interest of the user. To generate a Case Search report, follow these steps:

1. Navigate to the MIS Reports.
2. Expand the Cases option displayed on the left hand side.
3. Click Case Search option.
4. Click the Global Filters icon.
The Global Filters are displayed on the left hand side.

media/image29.png Global Filters for Case Search Report

Figure 4-19 Global Filters for Case Search Report

Global Filters

* Entity Type
--Select Value-- ▼

Owner
--Select Value-- ▼

Jurisdiction
--Select Value-- ▼

Entity Name

Status
--Select Value-- ▼

Case Class-Type
--Select Value-- ▼

Created Date
Between

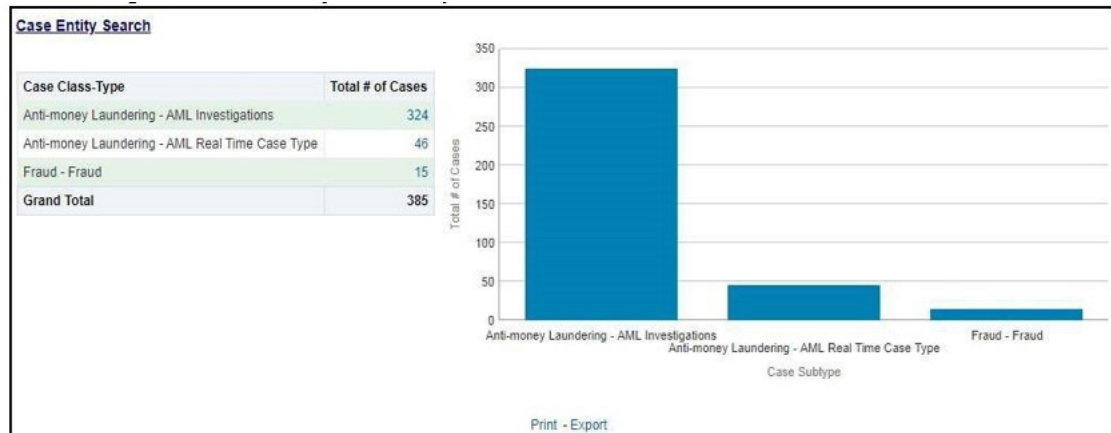
Apply Reset ▼

5. Enter the following filter details:

Table 4-5 Case Search Report Filter Descriptions

Field	Description
Entity Type	Select the required entity type for the cases that you want to view. This filters the AMLalert by the type of business entity.
Owner	Select the owner of the case.
Jurisdiction	Select the jurisdiction to which the case belongs to. This filters the case report by the business jurisdiction (geographic location) associated with a case. The drop- down list contains only the jurisdictions with which you are authorized to view.
Entity Name	Enter the entity name of the case.
Status	Select the status for the cases that you want to view.
Case Class Type	Select the class type for the cases that you want to view.
Created Date Between	Select the time period to view the cases that are handled between the selected time period.

6. Click Apply.
The data is filtered to satisfy all the specified filter conditions, and the result is displayed in tabular and bar chart reports.

Figure 4-20 Case Entity Search Report

For example, in the above figure:

- The Tabular report lists the selected Case Class-Type categories and the total number of cases for each category.
- The Bar chart report displays the information with the selected Case Class-Type categories using X axis and total number of cases for each category on the Y axis.

4.2.1.1.3 Case Search by Transaction Type

Use this dashboard to view the information related to cases that contain the transaction of interest of the user.

To generate a Case Search by Transaction Type report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **Cases** option displayed on the left hand side.
3. Click **Case Search by Transaction Type** option.
4. Click the **Global Filters** icon.
The **Global Filters** are displayed on the left hand side.

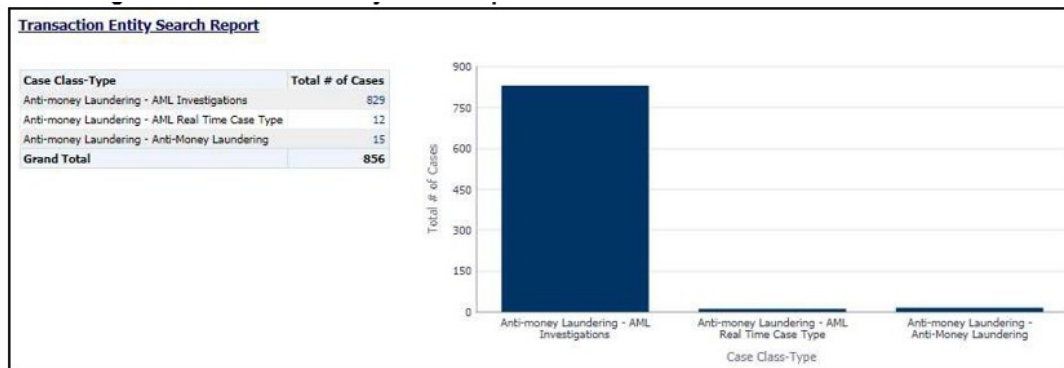
Figure 4-21 Global Filters for the Case Search by Transaction Type Report

5. Enter the following filter details:

Table 4-6 Case Search by Transaction Type Report Filter Descriptions

Field	Description
Transaction Type	Select the required transaction type for the cases that you want to view. The available options are: Back Office Transaction MI Transaction Wire Transaction Cash Transaction
Case Class-Type	Select the class-type for the cases that you want to view.
Status	Select the status for the cases that you want to view.
Transaction ID	Enter the Transaction ID of the case that you want to view.
Jurisdiction	Select the jurisdiction to which the case belongs to.
Transaction Base Amount >=	Enter the lower range of the transaction amount you want to view.
Transaction Base Amount <=	Enter the upper range of the transaction amount you want to view.

6. Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the result is displayed in tabular and bar chart reports.

Figure 4-22 Transaction Entity Search Report

For example, in the above figure,

- The Tabular report lists the selected Case Class-Type categories and the total number of cases for each category.
- The Bar chart report displays the information with the selected Case Class-Type categories using X axis and total number of cases for each category on the Y axis

4.2.1.1.4 Reopened Cases

Use this dashboard to view the number of reopened cases. To generate a Reopened Case report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **Cases** option displayed on the left hand side.
3. Click **Reopened Cases** option.
4. Click the **Global Filters** icon
The **Global Filters** are displayed on the left hand side.

Figure 4-23 Global Filters for Reopened Cases Report

The figure shows the 'Global Filters' dashboard for the Reopened Cases Report. It includes three filter sections: Criteria, Values, and Trend, each with a dropdown menu. At the bottom, there are 'Apply' and 'Reset' buttons.

Global Filters

Criteria: Owner

Values: --Select Value--

Trend: Monthly

Buttons: Apply, Reset

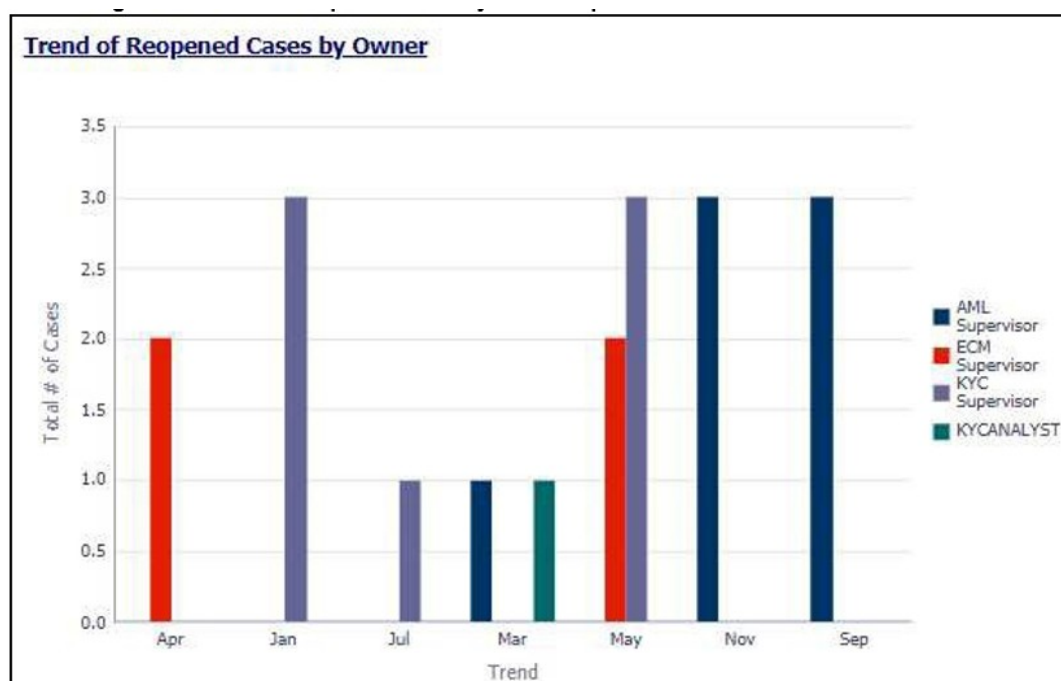
5. Enter the following filter details:

Table 4-7 Reopened Cases Report Filter Descriptions Field Description

Field	Description
Criteria	Select the criteria based on which the reopened cases are displayed. The available options are: Owner Jurisdiction Class-Type
Values	Select the class-type for the cases that you want to view.
Trend	Select the trend for which you want to view the reopened cases. The available options are: Weekly Monthly

6. Click **Apply**.

The data is filtered to satisfy all the specified filter conditions, and the result is displayed in bar chart reports.

Figure 4-24 Trend of Reopened Cases by Owner Report

For example, in the above figure, the bar chart report displays the trend of reopened cases by owner using trend in X axis and total number of cases using Y axis, and different colors are used to display different values.

4.2.1.1.5 Pre Cases

Use this dashboard to view the number of pre-cases. To generate a Pre Case report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **Cases** option displayed on the left hand side.

3. Click the **Pre Cases** option.
4. Click the **Global Filters** icon
The **Global Filters** are displayed on the left hand side.

Figure 4-25 Global Filters for Pre Cases Report

5. Enter the following filter details:

Table 4-8 Pre Cases Report Filter Descriptions

Field	Description
Jurisdiction	Select the jurisdiction from the drop-down list. This filters the case report by the business jurisdiction (geographic location) associated with a case. The drop-down list contains only the jurisdictions with which you are authorized to view.
Score Range	Enter the range of the score for the pre cases you want to view.
Case Type	Select the class type for the pre cases that you want to view.

6. Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the result is displayed in tabular reports.

Figure 4-26 Pre Cases Report

Pre-Case ID	Case Type	Pre-Case Created Date	Pre-Case Age	Linked Events	Pre-Case Score
228	TBML_SURV	11/16/2018 4:02:08 PM	570	3	70
302	AML Investigations	12/6/2017 5:55:19 AM	915	2	54
302	AML_SURV	12/6/2017 5:55:19 AM	915	1	54
303	AML Investigations	12/6/2017 5:55:19 AM	915	2	45
303	AML_SURV	12/6/2017 5:55:19 AM	915	1	55
304	AML Investigations	12/6/2017 5:55:19 AM	915	2	45
304	AML_SURV	12/6/2017 5:55:19 AM	915	1	45
305	AML Investigations	12/6/2017 5:55:19 AM	915	2	30
305	AML_SURV	12/6/2017 5:55:19 AM	915	1	40
306	AML Investigations	12/6/2017 5:55:19 AM	915	2	40
306	AML_SURV	12/6/2017 5:55:19 AM	915	1	40
307	AML Investigations	12/6/2017 5:55:19 AM	915	2	31
307	AML_SURV	12/6/2017 5:55:19 AM	915	1	31
308	AML Investigations	12/6/2017 5:55:19 AM	915	2	31
308	AML_SURV	12/6/2017 5:55:19 AM	915	1	31
309	AML Investigations	12/6/2017 5:55:19 AM	915	2	45
309	AML_SURV	12/6/2017 5:55:19 AM	915	1	45
310	AML Investigations	12/6/2017 5:55:19 AM	915	2	30
310	AML_SURV	12/6/2017 5:55:19 AM	915	1	40
311	AML Investigations	12/6/2017 5:55:19 AM	915	2	64
311	AML_SURV	12/6/2017 5:55:19 AM	915	1	64
312	AML Investigations	12/6/2017 5:55:19 AM	915	2	45
312	AML_SURV	12/6/2017 5:55:19 AM	915	1	55
313	AML Investigations	12/6/2017 5:55:19 AM	915	2	35
313	AML_SURV	12/6/2017 5:55:19 AM	915	1	45

Rows 1 - 25
Print - Export

For example, in the above figure, the tabular report lists the Pre-Case ID, Case Type, Pre-Case Created Date, Pre-Case Age, Linked Events, Pre-Case Score.

4.2.1.2 Alerts

① Note

The alerts referred in this section are AML Alerts produced by the AML scenarios of Behavior Detection Application.

Use the Alert dashboard to view reports related to AML based alerts. The following Alert reports are available:

- Alert Home
- Alert Search
- Alerts by Transaction Type

4.2.1.2.1 Alert Home

Use this dashboard to view alert information related to the due alerts and other information about alerts and their statuses.

The following figure shows the Alert home page:

Figure 4-27 Alert Home Page



The following Alert reports are displayed in the Alert home page:

- Alerts Created Today Vs Yesterday: Use this report to compare the number of alerts generated for the current year and the number of alerts generated for the previous year.
- Top 10 by Alert Count: Use this report to view the top 10 highest risk branches for an organization.
- Number of Alerts [Current Year Vs Previous Year]: Use this report to compare the number of alerts generated for the current year and the number of alerts generated for the previous year.

- **Number of Alerts by Scenario:** Use this report to view the number of alerts generated for a selected scenario.

You can also filter the data in the reports using the following filter fields:

Figure 4-28 Alerts Home Filter Fields

4.2.1.2.2 Alert Search

Use this dashboard to view the alerts that are associated to the entity of interest of the user.

Figure 4-29 Alert Search Report

Alert ID	Create Date	Current Status	Status Date	Scenario Name	Owner	Focus	Focus Name	Threshold Set	Jurisdiction	Score	Alert Age	Due Date
1000	07/15/2015	New	7/15/2015	BSACTR	AMSUPERVISOR	Customer	PHELPS	BSACTR-CU	Americas	0	41	
1000	07/15/2015	New	7/15/2015	BSACTR	AMSUPERVISOR	Customer	PHELPS	CTR-BSACTR_TestThreshold_1	Americas	0	41	
10000	09/11/2015	New	9/11/2015	Cancellation Trend	SYSTEM	Trader	JOE THOMAS BIBBB	TC-CancelTrend_TestThreshold_3	Americas		0	
10001	09/11/2015	New	9/11/2015	Cancellation Trend	SYSTEM	Account	ROBB	TC-CancelTrend_TestThreshold_3	Americas		0	
10002	09/11/2015	New	9/11/2015	Parking (EGT)	SYSTEM	Account	JOHNSON	TC-Parking-EGT_TestThreshold_1	Americas		0	
10003	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INDUSLOGIC	CBT-ShortOptionRisk-dRBPC_TestThreshold_1_116000022	Americas		0	
10004	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	GLOBALLOGIC	CBT-ShortOptionRisk-dRBPC_TestThreshold_1_116000022	Americas		0	
10005	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INFOSYS	CBT-ShortOptionRisk-dRBPC_TestThreshold_1_116000022	Americas		0	
10006	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	SYNINFO	CBT-ShortOptionRisk-dRBPC_TestThreshold_1_116000022	Americas		0	
10007	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	INFOSYS	CBT-ShortOptionRisk-dRBPC_TestThreshold_1_116000022	Americas		0	
10009	09/11/2015	New	9/11/2015	Short Option Risk - Static	SYSTEM	Household	HHCORPCHH-001	CBT-ShortOptionRisk-dRBPC_TestThreshold_1_116000022	Americas		0	

4.2.1.2.3 Alerts by Transaction Type

Use this dashboard to view the number of alerts generated for a particular transaction type such as Wire transaction, MI transaction and so on.

To generate an Alerts by Transaction Type report, follow these steps:

1. Navigate to the MIS Reports.
2. Expand the Alerts option displayed on the left hand side.
3. Click the Alerts by Transaction Type option.
4. Click the Global Filters icon
The Global Filters are displayed on the left hand side.

Figure 4-30 Global Filters for the Alerts by Transaction Type Report

Global Filters

* Transaction Type
Wire Transaction

Transaction Product Type
--Select Value--

Scenario
--Select Value--

Status
--Select Value--

Jurisdiction
--Select Value--

Creation Date
Between 02/17/2016 - 03/17/2019

Apply Reset

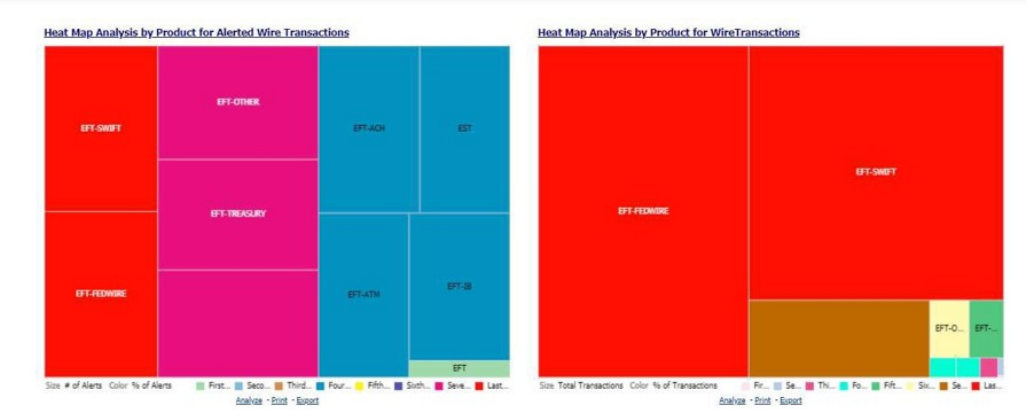
5. Enter the following details:

Table 4-9 Alerts by Transaction Type Report Filter Descriptions

Field	Description
Transaction Type	Select the transaction type for which you want to view the alert reports. The available options are: Back Office Transaction MI Transaction Wire Transaction Cash Transaction
Transaction Product Type	Select the transaction product type for which you want to view the alerts.
Scenario	Select the scenario for which you want to view the alert reports.
Status	Select the status to view the alert reports belonging to that status.
Jurisdiction	Select the jurisdiction from the drop-down list. This filters the alert report by the business jurisdiction (geographic location) associated with an alert. The drop-down list contains only the jurisdictions with which you are authorized to view.
Creation Date	Select the time to view the reports for the alerts generated for that period.

6. Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the result is displayed as heatmap analysis report and tabular report for the selected transaction type as follows:
 - Heat Map Report

Figure 4-31 Heat Map Report for Alerts by Transaction Type



- Tabular Report

Figure 4-32 Tabular Report for Alerts by Transaction Type

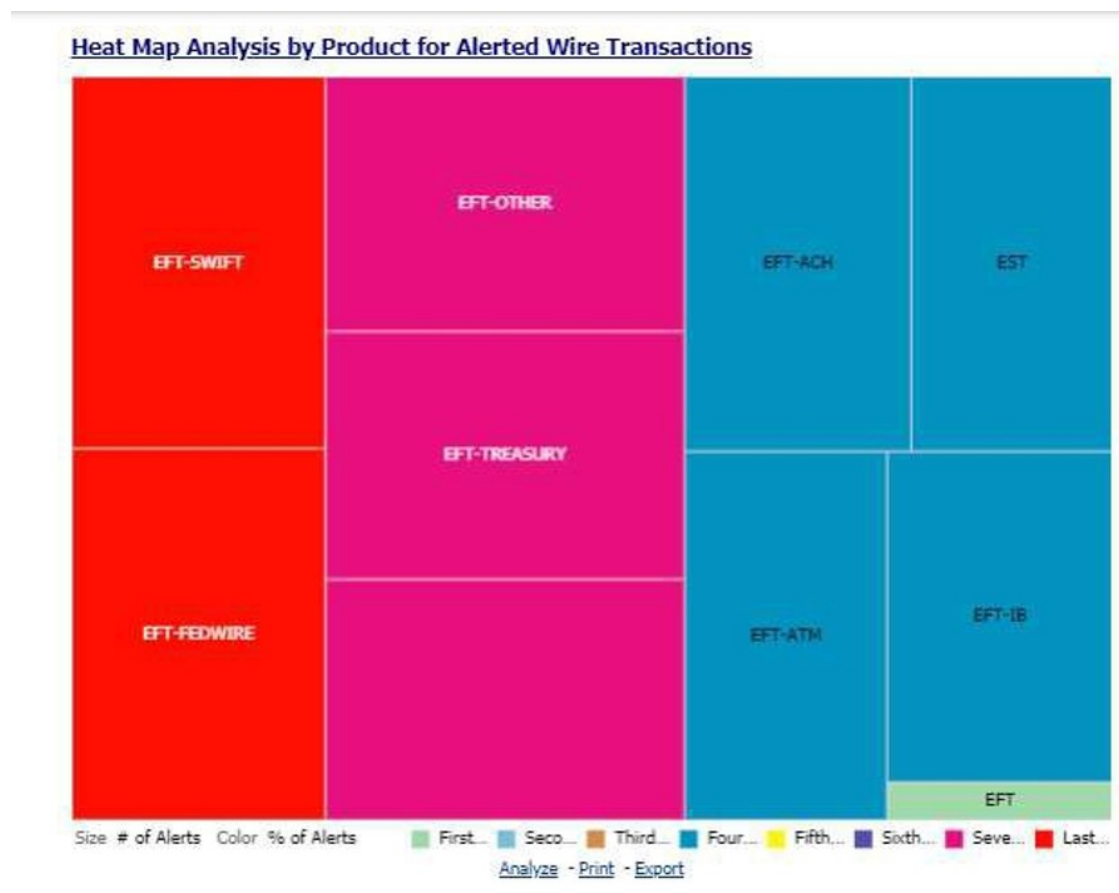
Alert by Product Type based on Wire Transactions

	EFT	EFT-ACH	EFT-ATM	EFT-FEDWIRE	EFT-IB	EFT-OTHER	EFT-SWIFT	EFT-TREASURY	EST	
Scenario Short Name	# of Alerts	# of Alerts	# of Alerts	# of Alerts	# of Alerts	# of Alerts	# of Alerts	# of Alerts	# of Alerts	# of Alerts
Acct Change FB Disburse							2			
Anticipate Profile: Expected Activity		3		3		3	3	3		
CIB - HRG Activity	8			13			13			
CIB - Previous Average Activity	17			17			14			14
CIB - Product Utilization	82	82		82		82	82	82		
DPG - Total Activity				1						
Elect Trans Inv Empl				3		3	3			
Emp FOT Btw Unrltd Accts	4									
External Entity With Mult Addresses		24	24	24	24	24	24	24		24
FTN - Recurring OR/BE		5		5		5	5	5		
FTN AC/CU - Internal		2		2		2	2	2		
FTN CU/EN - External		8		8		8	8	8		
FTN CU/EN - External - FR		7		7		7	7	7		
HR Trans - Focal HRE				45		46	45		32	
HR Trans - HR Counter Party	57	845	788	845	788	857	857	845	845	845
HR Trans - HR Counter Party - FR		788	788	788	788	788	788	788	788	788
HRG Funds Transfers		120	120	120	120	120	120	120		120
High Risk EFT				1					1	
Hub and Spoke		4		4			4	4	4	
ICIB: Inactive to Active							22			

Rows 1 - 20
Analyze - Print - Export

For example:

Figure 4-33 Heat Map Analysis by Product for Alerted Wire Transaction



In the above image,

- Transaction Type: Wire Transaction
- Transaction Product Type: All
- Scenario: All
- Status: All
- Jurisdiction: All
- Creation Date Between: 02/17/2016 to 03/17/2019

All the alerts that satisfy the above conditions are displayed as heat map. If the mouse is hovered over each category, the Transaction Product Type, total number of alerts belonging to that category, and the percentage of these alerts out of all the alerts are displayed.

Figure 4-34 Transaction Product Type

4.2.1.3 SARs

Use the SARs dashboard to view reports associated with the SAR filed in a regulatory reporting system. The following SARs reports are available:

- SARs from Cases
- Trend of Cases for SAR

4.2.1.3.1 SARs from Cases

Use this dashboard to view the number of cases by owner for which a Suspicious Activity Report (SARs) has been filed.

To generate SARs from Cases report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **SARs** option displayed on the left hand side.
3. Click **SARs from Cases** option.
4. Click the **Global Filters** icon.
The **Global Filters** are displayed on the left hand side.

Figure 4-35 Global Filters for SARs from Cases Report

Global Filters

Criteria

Owner

Values

--Select Value--

Status

--Select Value--

Status Date

Between 02/17/2016 - 03/17/2019

Apply

Reset

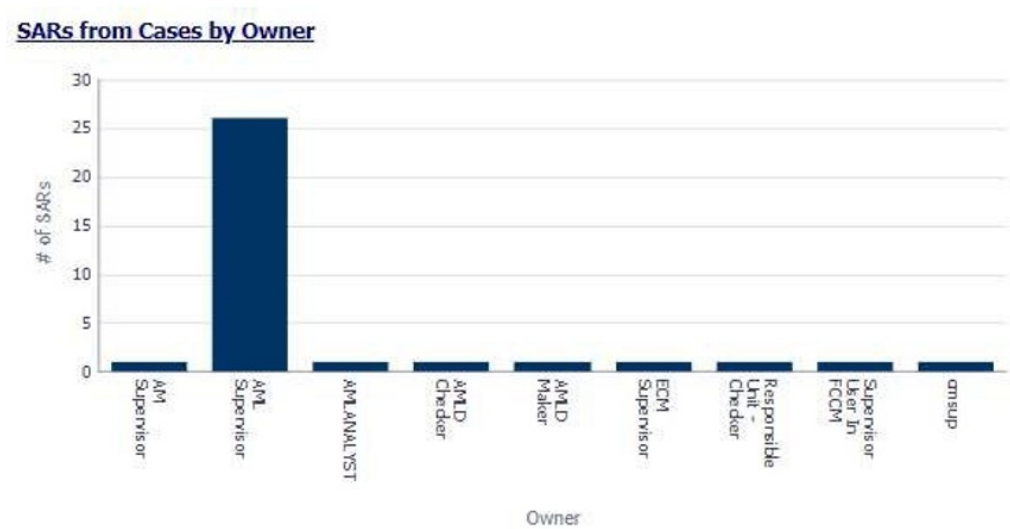
5. Enter the following filter details:

Table 4-10 SARs from Cases Report Filter Descriptions

Field	Description
Criteria	Select the criteria for the SARs from cases that you want to view.
Values	Select the value for the SARs from cases that you want to view.
Status	Select the status of the SARs from cases that you want to view.
Status Date	Select the time period to view the SARs from cases of a particular status generated for that period.

6. Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the result is displayed in bar chart reports.

Figure 4-36 SARs from Cases by Owner Report



For example, in the above figure, the bar chart report displays the information with the selected criteria using X axis and number of SARs using Y axis.

4.2.1.3.2 Trend of Cases for SAR

Use this dashboard to view how many cases an individual has filed a SAR on over a defined time range. To generate a Trend of Cases for SAR report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **SARs** option displayed on the left hand side.
3. Click **Trend of Cases for SAR** option.
4. Click the **Global Filters** icon.
The **Global Filters** are displayed on the left hand side.

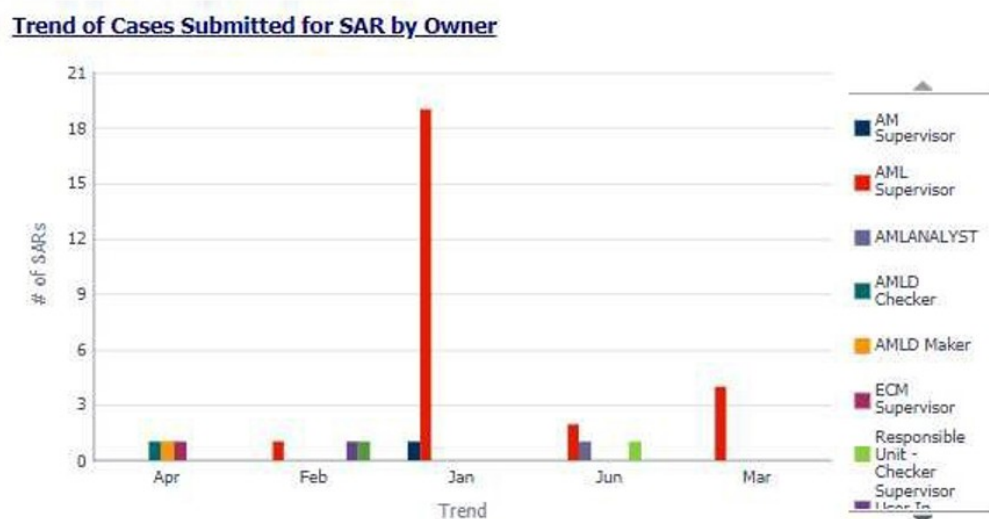
Figure 4-37 Global Filter for Trend of Cases for SAR Report

5. Enter the following filter details:

Table 4-11 Trend of Cases for SAR Report Filter Descriptions

Field	Description
Criteria	Select the criteria for the cases from SARs that you want to view.
Values	Select the value for the cases from SARs that you want to view.
Status	Select the status for the cases from SARs that you want to view.
Status Date	Select the time-period to view the cases from SARs of a particular status generated for that period.

6. Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the result is displayed in bar chart reports.

Figure 4-38 Trend of Cases Submitted for SAR by Owner Report

For example, in the above figure, the bar chart report displays the trend using X axis and number of SARs using Y axis.

4.2.1.4 Productivity

Use the Productivity dashboard to view the average time taken for closing an AML alert or case along with the current status of the active alerts and cases. The following Productivity reports are available:

- Productivity Home
- Cases Closing Trend

To view the reports that are available in the section header, click the Global Filters icon. Based on the Trend selected, which can be Weekly or Monthly, data related to weekly trends across the quarter and monthly trends across the year respectively are displayed.

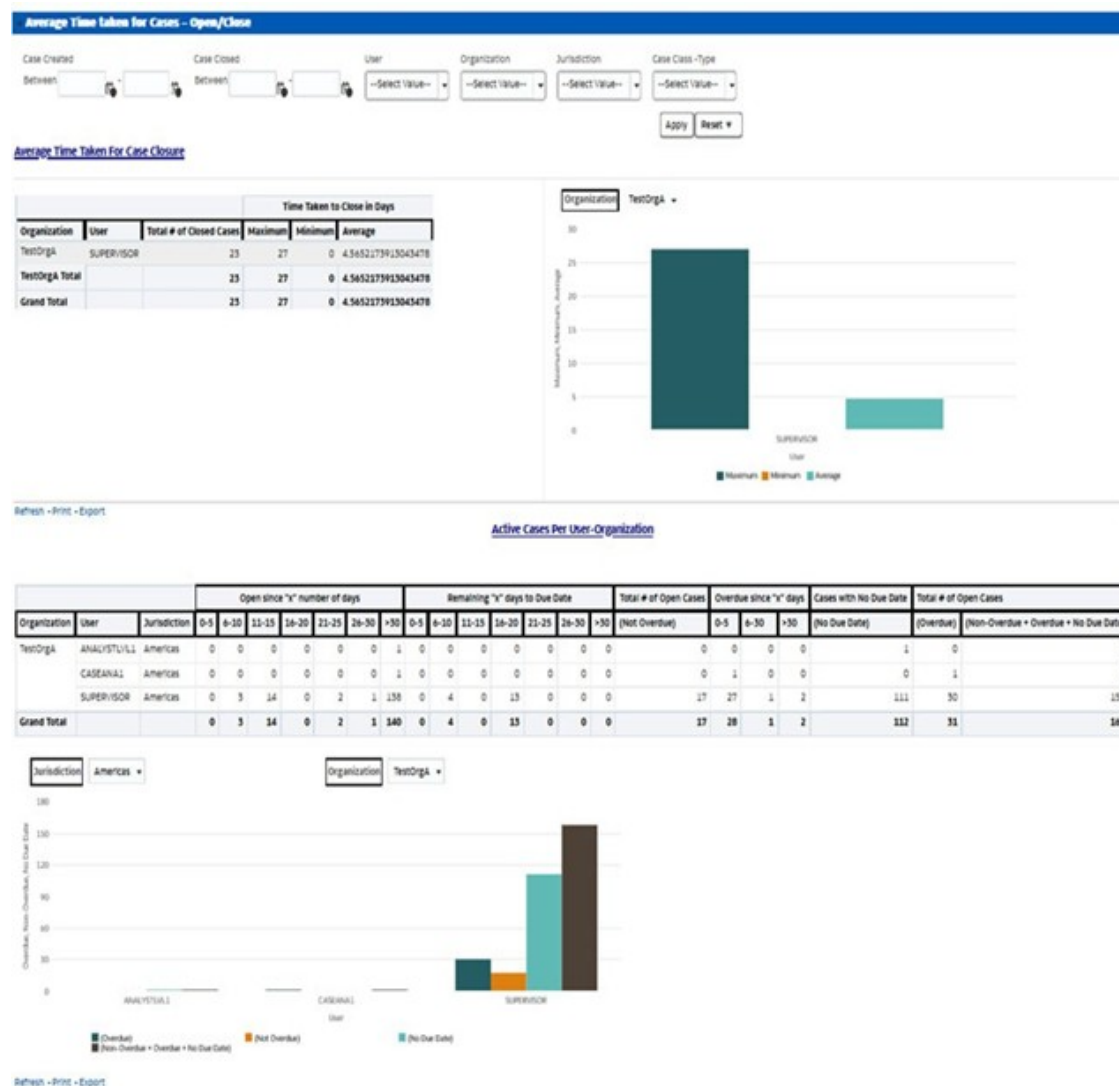
4.2.1.4.1 Productivity Home

The Productivity Home page contains the following reports:

- Average Time taken for Cases - Open/Close

The following figure shows a portion of the Productivity home page. You can narrow down the search results by selecting the values in the Alert Created, Alert Closed, User, Organization, and Jurisdiction fields.

Figure 4-39 Productivity Home Page



4.2.1.4.2 Average Time taken for Cases - Open/Close

Use this dashboard to view the average time taken from when a case is open to when a case is closed.

1. You can filter the data in the reports using the following filter fields:

Figure 4-40 Filter for Average Time Taken for Cases - Open/Close Report

Average Time taken for Cases – Open/Close

Case Created Between 	Case Closed Between 	User --Select Value--	Organization --Select Value--	Jurisdiction --Select Value--	Case Class -Type --Select Value--
---	--	--------------------------	----------------------------------	----------------------------------	--------------------------------------

Apply **Reset**

2. Enter the following filter details:

Table 4-12 Average Time Taken for Cases - Open/Close Report Filter Descriptions

Field	Description
Cases Created Between	Select the time period to view the cases that are created between the selected time period.
Cases Closed Between	Select the time period to view the cases that are closed between the selected time period
User	Select the user of the case.
Organization	Select the organization to which the case belongs to.
Jurisdiction	Select the jurisdiction to which the cases belong to. This filters the cases by the business jurisdiction (geographic location) associated with a case. The drop-down list contains only the jurisdictions with which you are authorized to view.
Case Class Type	Select the Case Class Type to which the case belongs to.

3. Click **Apply**.
The result displays two category of reports as follows:
 - Average Time taken for Case Closure: Use this report to view the average time taken by a user to close the cases belonging to a particular organization.
 - Active Cases Per User-Organization: Use this report to view the number of active cases for a particular user in an organization.

4.2.1.4.3 Cases Closing Trend

Use this dashboard to view the weekly trend across quarter for the number of cases which have either been promoted to cases or price adjusted.

4.2.1.5 KYC

Use the KYC dashboard to view the data related to identifying and verifying the identity of a client. The following KYC reports are available:

- High Risk Customers at Assessment Level
- Customer Risk Score Override
- Increase in Customer's Risk
- Watch List Match

4.2.1.5.1 High Risk Customers at Assessment Level

Use this dashboard to view the customers based on their CER (Customer Effective Risk) score and grouped by Jurisdiction, Country, and Customer Type.

To generate High Risk Customers at Assessment Level Report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **KYC** option displayed on the LHS.
3. Click the **High Risk Customers at Assessment Level** option.

4. Click the **Global Filters** icon.
The **Global Filters** are displayed on the left hand side.

Figure 4-41 Global Filters for High Risk Customers at Assessment Level Report

5. Enter the following filter details:

Table 4-13 High Risk Customers at Assessment Level Report Filter Descriptions

Field	Description
Risk Assessment Created Date	Select the date range between which the risk assessment is created. The format is DD/MM/YYYY.
Customer Type	Select the customer type of the risk assessment. This can be Individual, Financial Institution, or Other Organization.
Risk Score	Enter the risk score of the assessments you want to view. You can also view the risk score of the assessments which are lesser or greater than the entered risk score.
Jurisdiction	Select the business jurisdiction (geographic location) of the risk assessment. The list of jurisdictions that appear in the drop-down list is based on your access permission.

6. Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the result displays the following category of reports:

Figure 4-42 High Risk Customers Report

- By Jurisdiction
- For example, in the above figure, the bar chart report displays the information with jurisdiction using the X axis, and risk count using the Y axis.
- By Customer Type
- For example, in the above figure, the bar chart report displays the information with customer type using the X axis, and high-risk customer count using the Y axis.
- List of Customers - High Risk
- The data is filtered to satisfy all the specified filter conditions, and the result is displayed in tabular format reports.

4.2.1.5.2 Customer Risk Score Override

Use this dashboard to view the Customers whose risk scores have been manually overridden.

To generate Customer Risk Score Override Report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **KYC** option displayed on the LHS.
3. Click the **Customer Risk Score Override** option.
4. Click the **Global Filters** icon.
The **Global Filters** are displayed on the left hand side.

Figure 4-43 Global Filters for Customer Risk Score Override Report

Global Filters

* Overridden Date
Between 05/01/2010 - 06/16/2020

System Assigned Risk Category
(All Column Values)

Overridden Risk Category
(All Column Values)

Overridden By
(All Column Values)

System Assigned Risk Score
100

Jurisdiction
(All Column Values)

Overridden Risk Score
100

Apply Reset

- Enter the following filter details:

Table 4-14 Customer Risk Score Override Report Filter Descriptions

Field	Description
Overridden Date	Select the date range between which the risk score has been overridden for the customer. The format is DD/MM/YYYY.
System Assigned Risk Category	Select the system assigned risk category.
Overridden Risk Category	Select the new risk category of the customer.
Overridden By	Select the user who has overridden the risk score.
System Assigned Risk Score	Enter the previous risk score. A risk score of 100 is assigned by default.
Jurisdiction	Select the new business jurisdiction (geographic location) of the risk assessment. The list of jurisdictions that appear in the drop-down list is based on your access permission.
Overridden Risk Score	Enter the new risk score. A risk score of 100 is assigned by default.

- Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the result displays the following category of reports:
 - Risk Score Overridden By Jurisdiction
 - Risk Score Overridden By User
 - List of Customers - Risk Score Overridden

4.2.1.5.3 Increase in Customer's Risk

Use this dashboard to view the Customers whose Risk scores have increased over a period of time due to different sources of risk assessment.

To generate Increase in Customer's Risk report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **KYC** option displayed on the LHS.
3. Click the **Increase in Customer's Risk** option.
4. Click the **Global Filters** icon.
The **Global Filters** are displayed on the left hand side.

Figure 4-44 Global Filters for Increase in Customer's Risk Report

5. Enter the following filter details:

Table 4-15 Customer Risk Score Override Report Filter Descriptions

Field	Description
Risk Assessment Created Date	Select the date range between which the risk assessment is created. The format is DD/MM/YYYY.
Jurisdiction	Select the business jurisdiction (geographic location) of the risk assessment. The list of jurisdictions that appear in the drop-down list is based on your access permission.

6. Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the result displays the following category of reports:
 - Increase in Risk Score By Jurisdiction
 - Increase in Risk Score By Customer Assessment Source
 - List of Customers - Increase in Risk Score

Figure 4-45 Increase in Customer's Risk Report



4.2.1.5.4 Watch List Match

Use this dashboard to view the Customers who are on the high watch list flag and view the results which are false positive, confirmed, or unverified by the user.

To generate a Watch List Match Report, follow these steps:

- 1. Navigate to the **MIS Reports**.
- 2. Expand the **KYC** option displayed on the LHS.
- 3. Click the **Watch List Match** option.
- 4. Click the **Global Filters** icon.
The **Global Filters** are displayed on the left hand side.

Figure 4-46 Global Filters for Watch List Match Report

Global Filters

Watch List Initiated
Between: 05/16/2010 - 06/16/2020

Watch List Type
(All Column Values)

* Watch List Name
[Text Input]

Watch List Score
is equal to / is in 50

Verification Date
Between: [Date] - [Date]

Verification Status
(All Column Values)

Apply Reset

- Enter the following filter details:

Table 4-16 Watch List Match Report Filter Descriptions

Field	Description
Watch List Initiated	Select the date range between which the watch list matching process is initiated. The format is DD/MM/YYYY.
Watch List Type	Select the watch list which is used for the matching process.
Watch List Name	Enter the name of the watch list which is used for the matching process.
Watch List Score	Enter the watch list match score. You can also view a match score which is lesser or greater than the entered match score
Verification Date	Select the verification date.
Verification Status	Select the verification status.

- Click **Apply**.
The data is filtered to satisfy all the specified filter conditions, and the List of Customers - WatchList Matches report are displayed.

4.2.1.6 FATCA

Use the FATCA dashboard to analyze open and cancelled FATCA reports from an organization. The following FATCA reports are available:

- Report Summary
 - FATCA Status
 - Report Type
 - Jurisdiction

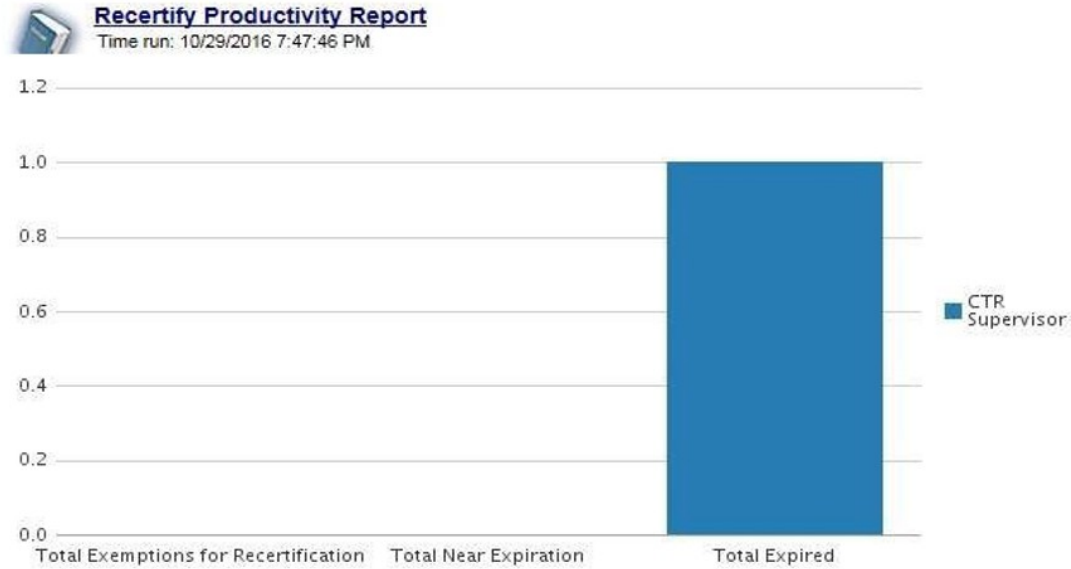
- Reporting FI
- Account Holder Type
- Productivity Summary: This report highlights the count of reports per reporting year based on due date. Reports can be run using the following criteria:
 - FATCA Status
 - Report Type
 - Jurisdiction
 - Reporting FI
 - Account Holder Type
- Trend of Report: This report highlights the trend of the number of FATCA reports submitted by reporting year.

Figure 4-47 FATCA Status Report

FATCA Status							
		FATCA Status --Select Value-- ▼					
		Apply Reset ▼					
Reporting Year	FATCA Status	Number of Reports					Total # of Reports per FATCA Status
		Approved	Awaiting Submission	Cancelled	Open	Submitted	
2016	Participating FFI					1	1
Total # of Reports Report Status wise per Reporting Year						1	1
2017	Direct Reporting NFFE		2		1		3
	Indeterminate		1				1
	Non-Participating FFI	1	1		1	1	4
	Owner Documented FFI			1			2
Total # of Reports Report Status wise per Reporting Year		1	5	1	2	1	10
	Non-Participating FFI	1			21		22
	Owner Documented FFI ◀ ▶	1			5		6
	Passive NFFE			1	55		56
	Recalcitrant				33	1	34
	US Person		1		48	1	50
		2	1	1	162	2	168
Refresh - Print - Export							
Report Type							

4.2.1.6.1 Recertify Productivity Report

Figure 4-48 Recertify Productivity Report



4.2.1.6.2 Productivity

Use the Productivity dashboard to view the number of FATCA reports by reporting year, along with their current due date status.

The following figure shows a portion of the Productivity Summary home page. You can change the type of data reported by selecting the FATCA Status, Report Type, Jurisdiction, Reporting Financial Institution (FI), and Account Holder Type reports.

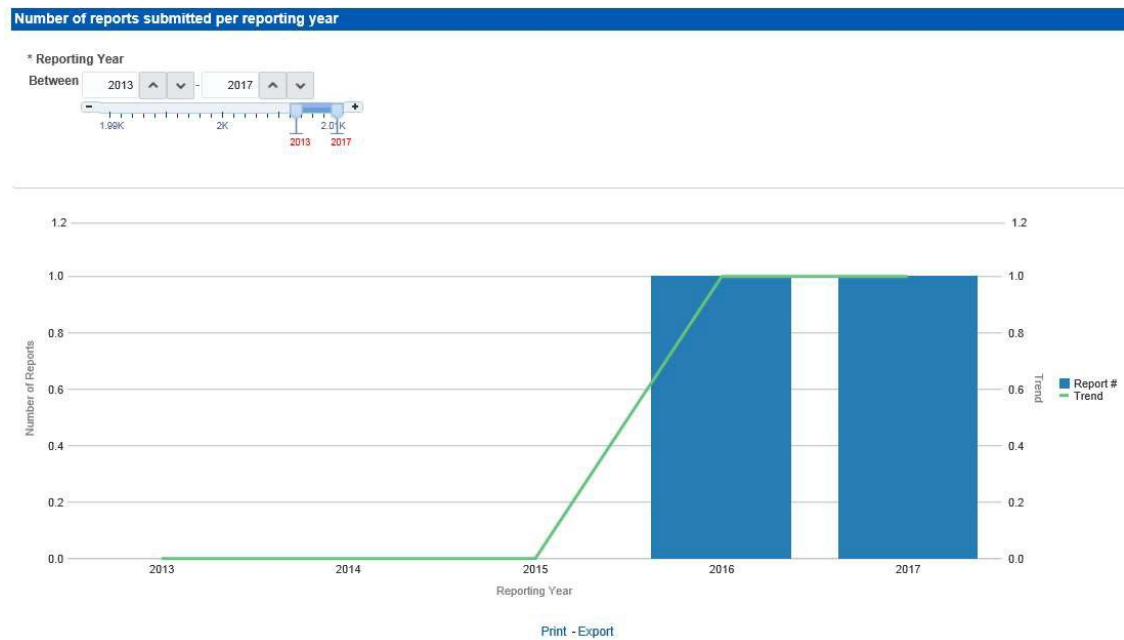
Figure 4-49 FATCA Status Productivity Report

FATCA Status						
FATCA Status		--Select Value--				
		Apply Reset				
Reporting Year	FATCA Status	Number of Reports				
		Past Due date	Nearing Due Date	With No Due Date	Not Nearing Due Date	Total # of Reports per FATCA Status
2017	Direct Reporting NFFE	0	0	0	3	3
	Indeterminate	0	0	0	1	1
	Non-Participating FFI	0	0	1	3	4
	Owner Documented FFI	0	0	1	1	2
Total # of Reports Due Date wise per Reporting Year		0	0	2	8	10
Print - Export						
Report Type						

4.2.1.6.3 Trend of Report

The FATCA Trend of Report highlights the trend of the number of FATCA reports submitted by reporting year.

Figure 4-50 FATCA Trend of Report



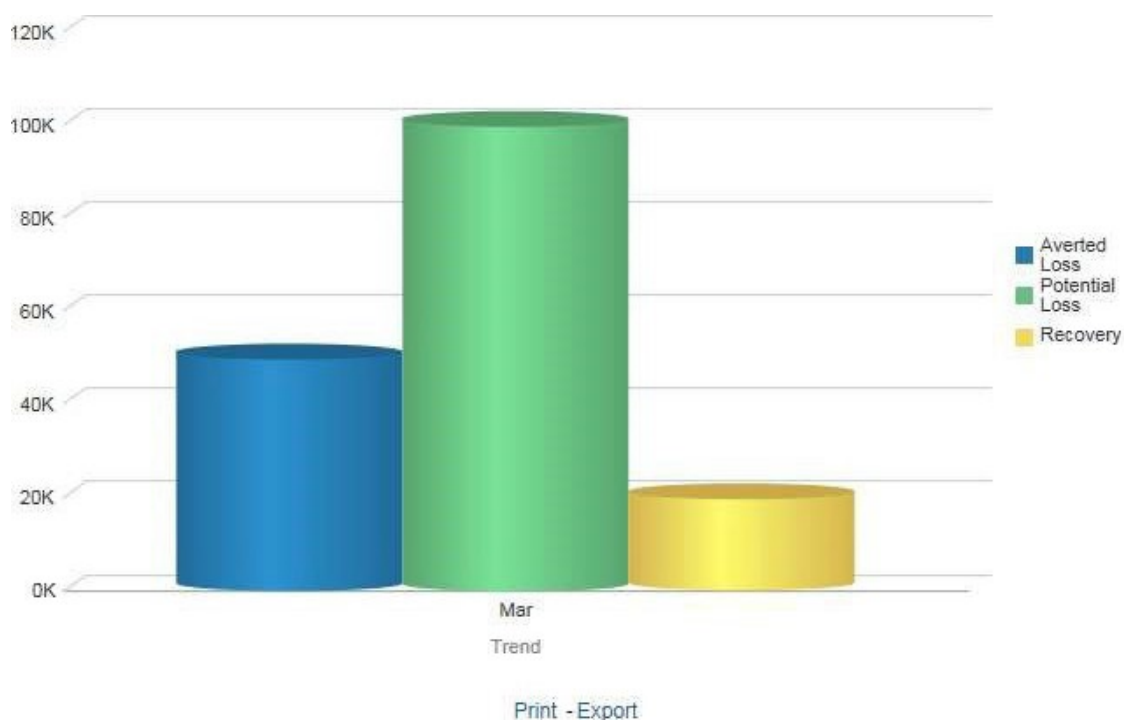
4.2.1.7 Fraud

Use the Fraud dashboard to view the trend of cases related to fraud. The following Fraud report is available:

- **Trend of Averted Loss for Cases:** Use this report to view the number of cases for which a loss has been prevented.
- **Trend of Avg Loss & Recovery Amt for Cases:** Use this report to view the trend of averted loss, potential loss and recovery for cases based on case sub-type.
- **Trend of High Loss Cases:** Use this report to view the trend of high loss cases based on owner, jurisdiction and case subtype.

4.2.1.7.1 Trend of Average Loss and Recovery Amounts for Cases Report

Figure 4-51 Trend of Average Loss and Recovery Amounts for Cases Report



4.2.1.8 CTR

Use the CTR dashboard to analyze transaction data from an organization and identify any suspicious activities within the organization that may lead to fraud or money laundering and must be reported to the regulatory authorities.

The following CTR reports are available:

- CTR
 - Trends
 - Detail – TIN
 - Productivity by Status
- Exemption Dashboard
 - Recertify Productivity Report
 - Revoked Exemptions
 - New Exemption Reports
 - High Volume CTR Entities
 - Audit Currency Transaction Report
 - Exempt Entity Report
- Transaction Logs

- MI Transaction Log
- Currency Transaction Journal

4.2.1.8.1 Trends

The section includes the following topics:

-
- CTR Processing Trends- Internal
- CTR Processing Trends - FinCEN Acknowledgements

4.2.1.8.2 CTR Processing Trends- Internal

The Generating CTR Processing Trends- Internal dashboard shows the trends of Currency Transaction Reports based on those that require exception processing those that are handled in straight through processing (STP). This report measures the Average STP Currency Transaction Reports and Average Exception Currency Transaction Reports. This line graph report includes Currency Transaction Reports that are in the following statuses at the time of report generation and within a specified date range:

- Closed – Rejected
- Filed – Success
- Filed - Success w/Errors
- Filed – Rejected
- Filed - Rejection Corrected

To generate the CTR Processing Trends- Internal report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **CTR** option displayed on the left-hand side.
Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.
3. Click the **CTR Trends** option.
The CTR Processing Trends- Internal and the **CTR Processing Trends - FinCEN Acknowledgements** page is displayed with default values entered in the filters.
4. To view the CTR Processing Trends- Internal report, enter the details as described in the following table:

Table 4-17 Generating CTR Processing Trends - Internal Filter Descriptions

Filter Name	Description
Currency Transaction Report Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Currency Transaction Report Creation Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Period	Select a period from the drop-down options. This field defaults to six months.

5. Click **Apply**.

A line graph report showing CTR Processing Trends- Internal is displayed. You can also click Reset to reset all the field values to default values

6. You can choose to Refresh, Print and Export the displayed report.

4.2.1.8.3 CTR Processing Trends - FinCEN Acknowledgements

CTR Processing Trends - FinCEN Acknowledgements dashboard shows the trend of Currency Transaction Reports filed successfully or with failure based on the acknowledgements from FinCEN within a specified range. This report measures the Average FinCEN Filings - Rejected, Average FinCEN Filings - Success w/errors, and Average FinCEN Filings iV Success.

This line graph report includes Currency Transaction Reports that are in the following statuses at the time of report generation and within a specified date range:

- Filed – Success
- Filed - Success w/Errors
- Filed - Rejected (include in this count also Filed - Rejection Corrected)

To generate the CTR Processing Trends - FinCEN Acknowledgements report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **CTR** option displayed on the left-hand side.
Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.
3. Click the **CTR Trends** tab.
The CTR Processing Trends- Internal and the **CTR Processing Trends - FinCEN Acknowledgements** page is displayed with default values entered in the filters.
4. To view the CTR Processing Trends - FinCEN Acknowledgements report, enter the details as described in the following table:

Table 4-18 Generating CTR Processing Trends - FinCEN Acknowledgements Filter Descriptions

Filter Name	Description
Currency Transaction Report Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Currency Transaction Report Creation Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Period	Select a period from the drop-down options. This field defaults to six months.

5. Click **Apply**.
A line graph report showing Currency Transaction Report CTR Processing Trends - FinCEN Acknowledgements is displayed. You can also click Reset to reset all the field values to default values.
6. You can choose to Refresh, Print and Export the displayed report.

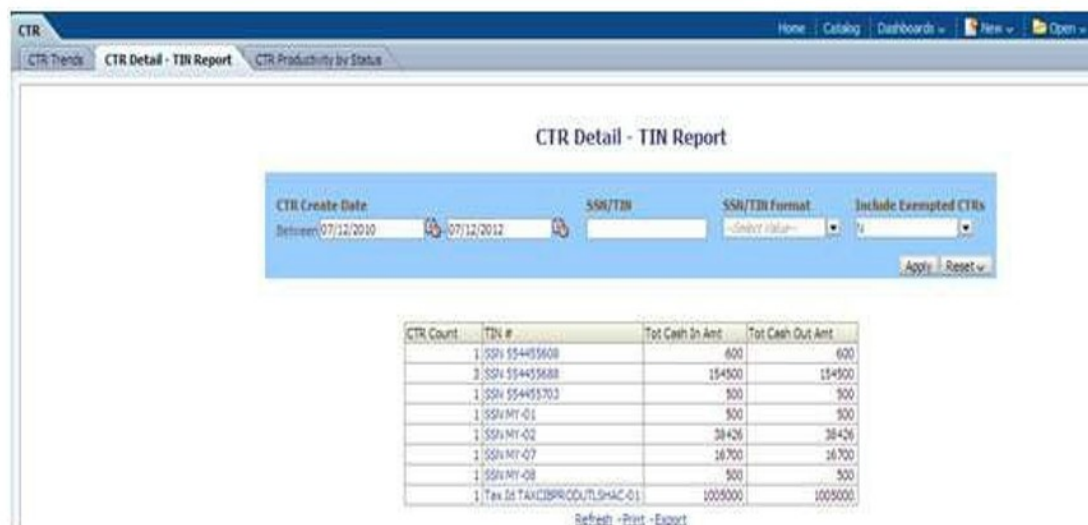
4.2.1.8.4 Detail - TIN

The Currency Transaction Report Detail - TIN dashboard shows the Currency Transaction Report history for last two years on each TIN with various accounts on a TIN with Cash Ins and

Cash Outs amounts. This tabular report displays the Currency Transaction Report Count, TIN #, Total Cash In Amount, and Total Cash Out Amount. This report includes the Currency Transaction Reports in the following statuses:

- Filed – Success
- Filed - Success w/errors
- Closed - Exempted status (If Include Exempted Currency Transaction Reports option is set to Y)

Figure 4-52 CTR Detail - TIN Report



To generate the Currency Transaction Report Detail – TIN Report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **CTR** option displayed on the left-hand side. Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.
3. Click the **Currency Transaction Report Detail – TIN Report** tab. The **Currency Transaction Report Detail – TIN Report** page is displayed with default values entered in the filters.
4. To view the Currency Transaction Report Detail – TIN Report, enter the details as described in the following table:

Table 4-19 CTR Detail - TIN Report Filter Descriptions

Filter Name	Description
Currency Transaction Report Create Date Between	Enter a date range for the search using the Select Date icon. This field defaults to two years less than the current date.
Currency Transaction Report Create Date To	Enter a date range for the search using the Select Date icon. This field defaults to the current date.
SSN/TIN	Enter the SSN or TIN in this field.

Table 4-19 (Cont.) CTR Detail - TIN Report Filter Descriptions

Filter Name	Description
SSN/TIN Format	Select a SSN/TIN format from the drop-down options namely, SSN, Tax ID, ITIN, EIN, and Foreign.
Include Exempted Currency Transaction Reports	Select Y or N if you want to include exempted Currency Transaction Reports in your report. This field defaults to N. Note: If you select 'Include Exempted Currency Transaction Reports' option as N, Audit Currency Transaction Reports from the search results is excluded.

5. Click **Apply**.
A tabular report showing Currency Transaction Report Detail – TIN Report is displayed. You can also click Reset to reset all the field values to default values.
6. Click any TIN # value in the tabular report to view a detailed report on that TIN.

Figure 4-53 CTR Detail - TIN Report

CTR ID	CTR Date	Trxn Date	TIN #	Account Id	Tot Cash In Amt	Tot Cash Out Amt
218	04/12/2012	12/10/2009	SSN 554455688	ACHRTRHREEN-001	51500	51500
219	04/12/2012	12/10/2009	SSN 554455688	ACHRTRHREEN-001	51500	51500
318	04/16/2012	12/10/2009	SSN 554455688	ACHRTRHREEN-001	51500	51500

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

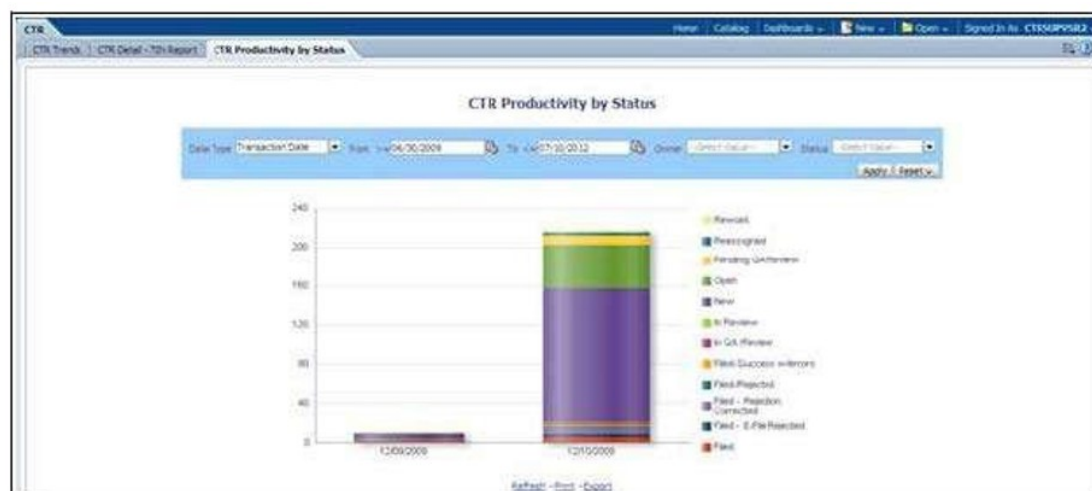
7. From detailed report, you can choose Refresh, Print, Export, and Create Bookmark Link.
8. Click **Return** on the detailed report to navigate back to the Currency Transaction Report Detail - TIN Report.

4.2.1.8.5 Productivity by Status

The CTR Productivity by Status dashboard shows the Currency Transaction Reports by statuses for the selected transaction dates or Currency Transaction Report due dates. This report is a column bar chart that shows the counts of certain statuses based on current status code of Currency Transaction Report record. This report includes Currency Transaction Reports in all statuses except Currency Transaction Reports in status Filed - Success/Closed - Rejected/Closed - Exempt/Superseded.

Only a user with a Supervisor role can view and generate this report.

Figure 4-54 CTR Productivity by Status Report



To generate Productivity by Status Report, follow these steps:

1. Navigate to the **MIS Reports**.
2. Expand the **CTR** option displayed on the left-hand side. Different report types related to CTR Dashboards are displayed in tabs depending upon the user role.
3. Click the **CTR Productivity by Status** tab. The **CTR Productivity by Status** page is displayed with default values entered in the filters.
4. To view the CTR Productivity by Status report, enter the details as described in the following table:

Table 4-20 CTR Productivity by Status Report Filter Descriptions

Filter Name	Description
Date Type	Select a date type option either as Transaction Date, or as Due Date
From >=	This field defaults to ten days less than the current date.
To <=	This field defaults to current date.
Owner	Select the owner(s) from the multi-select drop-down options.
Status	Select the status from the multi-select drop-down options.

5. Click **Apply**. A column bar report is displayed. You can also click Reset to reset all the field values to default values.
6. Click the column bar to view the detailed count of each statuses in a tabular format.

Figure 4-55 CTR Productivity by Status Report

Owner	Open	Resigned	Pending Review	In Review	Pending QA Review	In QA Review	Remarks	Ready for e-File	Filed	Filed Success/Withdraw	Filed-Rejected	Filed - Rejection Corrected
CTRAGL13T	3	0	0	0	0	0	0	0	0	0	0	0
CTRSUP5R2	3	0	0	0	0	0	1	1	0	2	0	0
CTRsupervisor	37	0	0	0	0	0	0	0	0	0	0	0
	5	0	0	0	0	0	0	0	2	0	0	0

7. You can also choose to Refresh, Print, Export and Create Bookmark Link the displayed report.
8. Click **Return** to go back to the CTR Productivity by Status column bar report.

4.2.1.8.6 Exemption Dashboard

The following are the reports generated for Exemption dashboard:

- Recertify Productivity Report
- Revoked Exemptions
- New Exemption Reports
- High Volume CTR Entities
- Audit Currency Transaction Report
- Exempt Entity Report

4.2.1.8.7 Recertify Productivity Report

Recertify Productivity report displays Exemptions that are currently in recertify status, count of Exemptions nearing their expiration date for which the review has not started and count of Exemptions that are expired.

Figure 4-56 Recertify Productivity Report

This bar report also shows a tabular display of counts by owner. Click any Exemption column bar to display a detailed list of Exemptions in that count.

Figure 4-57 Recertify Productivity Report – Details

Exemptions						
Recertify Productivity Report						
Entity Type	Entity	SSN/TIN	Entity Classification	Initiate Recert Date	Exempt Exp Date	Owner
AC	MOHET	Tax Id	Phase I - Entity Exercising Gov't Authority w/in US	05/21/2013	07/05/2013	ctrsuperisor
CU	APARNA POPAT	SSN 22133444	Phase I - Federal, State or Local Gov Agency/Dept	05/21/2013	07/05/2013	ctrsuperisor
CU	PU HEPUNG	Tax Id 112133449	Phase II Eligible Non-Listed Business	05/21/2013	07/05/2013	ctrsuperisor
CU	JWALA GUTTA	Tax Id 22133442	Phase I - Federal, State or Local Gov Agency/Dept	05/21/2013	07/05/2013	ctrsuperisor
CU	LIN DAN	Tax Id 112133446	Phase I - Entity Exercising Gov't Authority w/in US	05/21/2013	07/05/2013	ctrsuperisor
CU	SADIA NEHWAL	Tax Id 22133441	Phase I - Subsidiary of NYSE/ASE Listed; NASDAQ Mkt Set Listed	05/21/2013	07/05/2013	ctrsuperisor

From detailed report, you can choose to Refresh, Print, Export, and Create Bookmark Link. Click Return on the detailed report to go back to the Recertify Productivity Report column bar.

4.2.1.8.8 Revoked Exemptions

The Revoked Exemptions report displays Exemptions which are in the revoked status within a specified date range.

Figure 4-58 Revoked Exemptions



To generate Revoked Exemptions report, follow these steps:

1. Hover over the Reports menu in the CTR and click **Reports**. The Reports Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select the **Revoked Exemptions** tab.
The Revoked Exemptions report page is displayed with default values entered in the filters.
4. To view the Revoked Exemptions report, enter the details as described in the following table:

Table 4-21 Revoked Exemptions Filter Descriptions

Filter Name	Description
Revoked Date From	Enter a date range for the search using the Select Date icon. This field defaultsto 365 days less than the current date.
Revoked Date To	Enter a date range for the search using the Select Date icon. This field defaultsto current date.
Display Period	Select a period from the drop-down options namely, Monthly, Quarterly, and Yearly. This field defaults to Monthly.

5. Click **Apply**.
A bar report showing Revoked Exemptions is displayed. You can also click **Reset** to reset all the field values to default values.
6. Click the column bar to view the details of revoked Exemptions count for the selected period in a tabular report.
The following window is displayed.

Figure 4-59 Revoke Exemption

7. From detailed report, you can choose either of the following options: Refresh, Print, Export, and Create Bookmark Link.
8. Do either of the following:
 - Click **Return** on the detailed report to navigate back.
 - You can click the count of Revoked Exemptions in the details table to navigate to the Exemption List and Search page with the details of all Exemptions listed in the Exemption List page. Click **Reports** menu to navigate back to Revoked Exemptions column bar report.

4.2.1.8.9 New Exemption Reports

New Exemption Reports shows the number of new Currency Transaction Report Exemptions added during a specified date range.

Figure 4-60 New Exemption Reports

High Volume CTR Entities

CTR Creation Date: Between 07/24/2012 and 07/31/2012 | Display Period: Monthly | Number of CTRs: 1

Customer Id	Customer Name	Relationship Date	Count
221133446	PRAKASH PLAT PADUKONE		1
221133447	KOD		1
221133448	LEAH PLAT BOLT		1
221133457	DJOKOVIC		1
221133458	MURRAY		1
221133481	LAVER		1
221133482	VERDASCO		1
556677993	THORPE		1
556677990	FEDERER		1
BRUBSACTRCU-006	PADUKONE		1
BRUBSACTRCU-007	KOD		1
BRUBSACTRCU-008	BOLT		1
BRUBSACTRCU-009	THORPE		1
BRUBSACTRCU-010	PHELPS		1
BRUBSACTRCU-011	COMENECI		1
BRUBSACTRCU-012	JOHNSON		1
BRUBSACTRCU-013	JORDAN		1
BRUBSACTRCU-014	TISON		1
BRUBSACTRCU-015	HOLYFIELD		1
BRUBSACTRCU-016	NADAL		1
BRUBSACTRCU-017	DJOKOVIC		1
BRUBSACTRCU-018	MURRAY		1
BRUBSACTRCU-019	FEDERER		1
BRUBSACTRCU-020	DENKO		1
BRUBSACTRCU-021	RODICK		1

Rows 1 - 25 | Refresh | Print | Export

To generate New Exemption Reports, follow these steps:

1. Hover over the Reports menu in the CTR and click **Reports**.
The Reports Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select Exemption dashboard under Currency Transaction Report submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select the **New Exemption Reports** tab.
The **New Exemption Reports** page is displayed with default values entered in the filters.
4. To view the New Exemption Reports, enter the details as described in the following table:

Table 4-22 New Exemption Reports Filter Descriptions

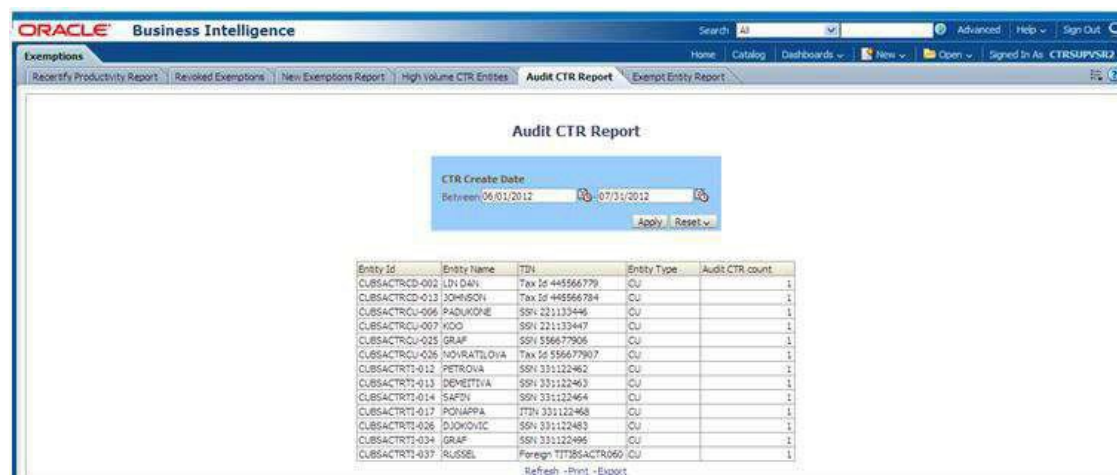
Filter Name	Description
Exemption Approved Date Between	Enter a date range for the search using the Select Date icon. This field defaults to one day less than the current date.
Exemption Approved Date To	Enter a date range for the search using the Select Date icon. This field defaults to current date.

5. Click **Apply**.
A tabular report showing New Exemption Reports is displayed. You can also click Reset to reset all the field values to default values.
6. You can choose to Refresh, Print and Export the displayed report.

4.2.1.8.10 High Volume CTR Entities

The High Volume Currency Transaction Report Entity report displays a tabular report of customers who had high number of Currency Transaction Reports filed on them in a specified range namely, monthly, quarterly, yearly, and so on. This report includes Currency Transaction Reports in all statuses except Currency Transaction Reports in Closed – Rejected, Closed – Exempted, Filed - Rejection Corrected and Audit Currency Transaction Reports.

Figure 4-61 High Volume Currency Transaction Report Entities



To generate High Volume Currency Transaction Report Entity report, follow these steps:

1. Hover over the Reports menu in the CTR and click **Reports**.
The Reports Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select the **High Volume Currency Transaction Report Entity** report tab.
The **High Volume Currency Transaction Report Entity** report page is displayed with default values entered in the filters.
4. To view the High Volume Currency Transaction Report Entity report, enter the details as described in the following table:

Table 4-23 High Volume Currency Transaction Report Entities Filter Descriptions

Filter Name	Description
Currency Transaction Report Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Currency Transaction Report Creation Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.

Table 4-23 (Cont.) High Volume Currency Transaction Report Entities Filter Descriptions

Filter Name	Description
Display Period	Select a period from the Display Period drop-down options. This field defaults to Monthly.
Number of Currency Transaction Reports >=	Enter the number of high volume Currency Transaction Reports filed on acustomer that you want to search for. This field defaults to 25.

- Click **Apply**.
A tabular report showing High Volume Currency Transaction Report Entity report is displayed. You can also click **Reset** to reset all the field values to default values.
- You can choose to Refresh, Print and Export the displayed report.

4.2.1.8.11 Audit Currency Transaction Report

The Audit Currency Transaction Report shows the number of Currency Transaction Reports that an exempt customer or an account is saved from creating and processing.

Figure 4-62 Audit Currency Transaction Report

Audit CTR Report

CTR Create Date
Between: 06/01/2012 07/31/2012
Apply Reset

Entity Id	Entity Name	TIN	Entity Type	Audit CTR count
CUBSACTRCD-002	LDY DAN	Tax ID 445566779	CU	1
CUBSACTRCD-013	JOHNSON	Tax ID 445566784	CU	1
CUBSACTRCU-006	PADUKONE	SSN 221133446	CU	1
CUBSACTRCU-007	KOO	SSN 221133447	CU	1
CUBSACTRCU-025	GRAF	SSN 556677906	CU	1
CUBSACTRCU-026	NOVRATLOVA	Tax ID 556677907	CU	1
CUBSACTRT-012	PETROVA	SSN 331122462	CU	1
CUBSACTRT-013	DEMETTIVA	SSN 331122463	CU	1
CUBSACTRT-014	SAFON	SSN 331122464	CU	1
CUBSACTRT-017	PONAPPA	ITIN 331122468	CU	1
CUBSACTRT-026	DJOKOVIC	SSN 331122483	CU	1
CUBSACTRT-034	GRAF	SSN 331122496	CU	1
CUBSACTRT-037	RUSSEL	Foreign TIN 785ACTR060	CU	1

Refresh Print Export

To generate Audit Currency Transaction Report, follow these steps:

- Hover over the Reports menu in the CTR and click **Reports**.
The Reports Home page is displayed. The Home page varies depending upon the users roles.
- From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
- Select the **Audit Currency Transaction Report** report tab.
The **Audit Currency Transaction Report** report page is displayed with default values entered in the filters.

- To view the Audit Currency Transaction Report, enter the details as described in the following table:

Table 4-24 Audit Currency Transaction Report Filter Descriptions

Filter Name	Description
Currency Transaction Report Created Between	Enter a date range for the search using the Select Date icon. This field defaults to 60 days less than the current date.
Currency Transaction Report Created To	Enter a date range for the search using the Select Date icon. This field defaults to current date.

- Click **Apply**.
A tabular report showing Audit Currency Transaction Report report is displayed. You can also click **Reset** to reset all the field values to default values.
- You can choose to Refresh, Print and Export the displayed report.

4.2.1.8.12 Exempt Entity Report

The Exempt Entity Report shows the Currency Transaction Report Exemptions filtered by search criteria namely, Exempt Year From, Exempt Year To, Business Type, Initiate Recertify Date, State, and Exempt Classification.

Figure 4-63 Exempt Entity Report

Entity Type	Entity	SSN/TIN	Business Type	State	Entity Classification	Status	Exemption Date	Initiate Recert Date	Exempt Exp Date	Last Renewal Dt	Owner
CU	GRAF	SSN 331122496	4237	CA	Phase I - Federal, State or Local Gov. Agency/Dept	In Recertify Review	07/30/2012	06/15/2013	07/30/2013	07/30/2012	CTRSLPYSR
CU	PETROIA	SSN 331122462	712	CA	Phase I - Federal, State or Local Gov. Agency/Dept	Pending Revolve Review	07/30/2012	06/15/2013	07/30/2013		CTRSLPYSR
CU	POHAPPA	TIN 331122468	812	MS	Phase I - Federal, State or Local Gov. Agency/Dept	In Revolve Review	07/30/2012	06/15/2013	07/30/2013		CTRSLPYSR
CU	RUSSEL	Foreign TIN 896ACTR060	4241	CA	Phase I - Federal, State or Local Gov. Agency/Dept	Pending Revolve Review	07/30/2012	06/15/2013	07/30/2013		CTRSLPYSR

To generate Exempt Entity Report, follow these steps:

- Hover over the Reports menu in the CTR and click **Reports**.
The Reports Home page is displayed. The Home page varies depending upon the users roles.
- From Dashboards drop-down menu select **Exemption** dashboard under **Currency Transaction Report** submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
- From Dashboards drop-down menu select Exemption dashboard under Currency Transaction Report submenu option.

Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.

4. Select the **Exempt Entity Report** report tab.
The **Exempt Entity Report** page is displayed with default values entered in the filters.
5. To view the Exempt Entity Report, enter the details described in the following table:

Table 4-25 Exempt Entity Report Filter Descriptions

Filter Name	Description
Exemption Year From	This field defaults to current year.
Exemption Year To	This field defaults to current year.
Business Type	Select a business type from the drop-down option. This field is a multi-selectlist with NAICS codes.
Initiate Recertify Date From	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Initiate Recertify Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.
State	Select a state from the drop-down option. This field is a multi-select drop-down with states.
Exemption Classification	Select an Exemption classification from the drop-down list. The following are the multi-selectable Exemption classification options displayed: Phase I - Bank Phase I - Federal, State or Local Gov Agency/Dept Phase I - Entity Exercising Govt'l Authority w/in US Phase I - Listed Entity Phase I - Subsidiary of Listed Entity Phase II - Payroll Customer Phase II - Eligible Non-Listed Business

6. Click **Apply**.
A tabular report showing Exempt Entity Report is displayed. You can also click **Reset** to reset all the field values to default values.
7. You can choose to Refresh, Print and Export the displayed report.

4.2.1.8.13 Transaction Logs

The following are the reports generated for Transaction Logs dashboard:

- MI Transaction Log
- Currency Transaction Journal

4.2.1.8.14 MI Transaction Log

The MI Transaction Log dashboard shows the cash purchases of monetary instruments where the total purchase amounts aggregated to between \$3000 and \$10,000, inclusive, in a calendar day.

Figure 4-64 MI Transaction Log

Trans Date	Trans Amt + Base	Debit/Credit	Instrument Desc	Instrument Num	Account ID	Cond ID	Cond ID Type	Conductor	Conductor TIN	Cond Type	Conductor DOB	Location ID	Location Type	Exempt Trans	Adjust Trans	ID Issuing Auth
12/10/2009	300.00	C	Monetary Instrument	12454	ACBSAMLCU-002	CDBSAMLCU-001	C	ORACLE	SSN CDS-5	CA	03/25/1987	TJML-2		N	N	CA
12/10/2009		C		12455	ACBSAMLCU-001	CDBSAMLCU-001	C	ORACLE	SSN CDS-5	CA	05/30/1984	TJML-2		N	N	CA
12/10/2009	400.00	C	Monetary Instrument	12453	ACBSAMLCU-001	CDBSAMLCU-001	C	ORACLE	SSN CDS-5	CA	12/10/1987	TJML-2		N	N	CA
12/10/2009	1000.00	C	Monetary Instrument	12345	ACBSAMLCU-001	CDBSAMLCU-001	C	ORACLE	SSN CDS-1	CA	05/26/1988	TJML-1		N	N	CA
12/10/2009		C		12466	ACBSAMLCU-001	CDBSAMLCU-001	C	ORACLE	SSN CDS-10	CA	12/05/1986	TJML-3		N	N	CA
12/10/2009	1200.00	C	Monetary Instrument	12469	ACBSAMLCU-003	CDBSAMLCU-003	C	ORACLE	SSN CDS-12	CA	12/05/1986	TJML-3		N	N	CA

To generate MI Transaction Log report, follow these steps:

1. Hover over the Reports menu in the CTR and click **Reports**.
The Reports Home page is displayed. The Home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Transaction Logs** dashboard under **Currency Transaction Report** submenu option.
Different report types related to Transaction Logs dashboards are displayed in tabs depending upon the user role.
3. From Dashboards drop-down menu select Exemption dashboard under Currency Transaction Report submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
4. Select the **MI Transaction Log** report tab.
The **MI Transaction Log** page is displayed with default values entered in the filters.
5. To view the MI Transaction Log report, enter the details as described in the following table:

Table 4-26 MI Transaction Log Filter Descriptions

Filter Name	Description
Transaction Date Between	Enter the transaction date using the Select Date icon. This field defaults to one calendar day less than the current date.
Transaction Date To	Enter the transaction date using the Select Date icon. This field defaults to current date.
TIN Type	Select a TIN Type from the drop-down options.
TIN	Enter the TIN # in this field.
Transaction Address	Enter the transaction address in this field. This field supports wildcard searching.

Table 4-26 (Cont.) MI Transaction Log Filter Descriptions

Transaction City	Enter the transaction city in this field. This field supports wildcard searching.
Transaction State	Select a state from the Transaction State drop-down option.
Transaction Country	Select multiple countries from the Transaction Country drop-down option.

- Click **Apply**.
A tabular report showing MI Transaction Log is displayed. You can also click **Reset** to reset all the field values to default values.
- You can choose to Refresh, Print and Export the displayed report.

4.2.1.8.15 Currency Transaction Journal

Figure 4-65 Currency Transaction Journal

Trans Date	Trans Amt - Base	Debit/Credit	Account Id	Cond Id	Cond Type	Cond ID Type	Cond Nm	Cond Entry Nm	Conductor TDI	Trans Bus Reason	Location ID	Location Type	Trans Amt - In	Trans Amt - In Entry	Trans Amt - Out	Trans Amt - Out Entry	Exempt Trans	Adjust Trans
07/25/2012	\$500.00	Debit	ACBSACTRCU-048	COBSACTRCU-048		A	MONICA	SELES	8-221133467	T1	T1CTRCU-08						Yes	No

To generate Currency Transaction Journal report, follow these steps:

- Hover over the Reports menu in the CTR and click **Reports**.
The Reports Home page is displayed. The Home page varies depending upon the users roles.
- From Dashboards drop-down menu select **Transaction Logs** dashboard under **Currency Transaction Report** submenu option.
Different report types related to Transaction Logs dashboards are displayed in tabs depending upon the user role.
- From Dashboards drop-down menu select Transaction Logs dashboard under Currency Transaction Report submenu option.
Different report types related to Transaction Logs dashboards are displayed in tabs depending upon the user role.
- Select the **Currency Transaction Journal** tab.
The **Currency Transaction Journal** page is displayed with default values entered in the filters.
- To view the Currency Transaction Journal report, enter the details as described in the following table:

Table 4-27 Currency Transaction Journal Filter Descriptions

Filter Name	Description
Transaction Date Between	Enter the transaction date using the Select Date icon. This field defaultsto one calendar day less than the current date.
Transaction Date To	Enter the transaction date using the Select Date icon. This field defaultsto current date.

6. Click **Apply**.
A tabular report showing Currency Transaction Journal report is displayed. You can also click **Reset** to reset all the field values to default values.
7. You can choose to Refresh, Print and Export the displayed report.

4.2.1.9 CRS

Use the CRS dashboard to analyze open and cancelled CRS reports from an organization.

The following CRS reports are available:

- Report Summary: This report highlights the count of reports per reporting year based on the following criteria:
 - CRS Status
 - Jurisdiction
 - Reporting FI
 - Account Holder Type
 - Account Holder Residential Country
- Productivity Summary: This report highlights the count of reports per reporting year based on due date. Reports can be run using the following criteria:
 - CRS Status
 - Jurisdiction
 - Reporting FI
 - Account Holder Type
 - Account Holder Residential Country
- Trend of Report: This report highlights the trend of the number of reports submitted per reporting year.

Figure 4-66 CRS Status Report

CRS Status

CRS Status --Select Value--

Apply Reset

Reporting Year	CRS Status	Number of Reports		Total # of Reports per CRS Status
		Cancelled	Open	
2017	CRS Reportable Person	1	4	5
	Passive NFE that is a CRS Reportable Person		1	1
Total # of Reports Report Status wise per Reporting Year		1	5	6

Refresh - Print - Export

Jurisdiction

Jurisdiction --Select Value--

4.2.1.9.1 Productivity

Use the Productivity dashboard to view the number of CRS reports by reporting year, along with their current due date status.

The following figure shows a portion of the Productivity Summary home page. You can change the type of data reported by selecting the CRS Status, Jurisdiction, Reporting Financial Institution (FI), Account Holder Type, and Account Holder Residential Country reports.

Figure 4-67 CRS Status Productivity Report

CRS Status

CRS Status --Select Value--

Apply Reset

Reporting Year	CRS Status	Number of Reports				Total # of Reports per CRS Status
		Past Due date	Nearing Due Date	With No Due Date	Not Nearing Due Date	
2017	CRS Reportable Person	0	0	1	4	5
	Passive NFE that is a CRS Reportable Person	0	0	0	1	1
Total # of Reports Due Date wise per Reporting Year		0	0	1	5	6

Refresh - Print - Export

Jurisdiction

Jurisdiction --Select Value--

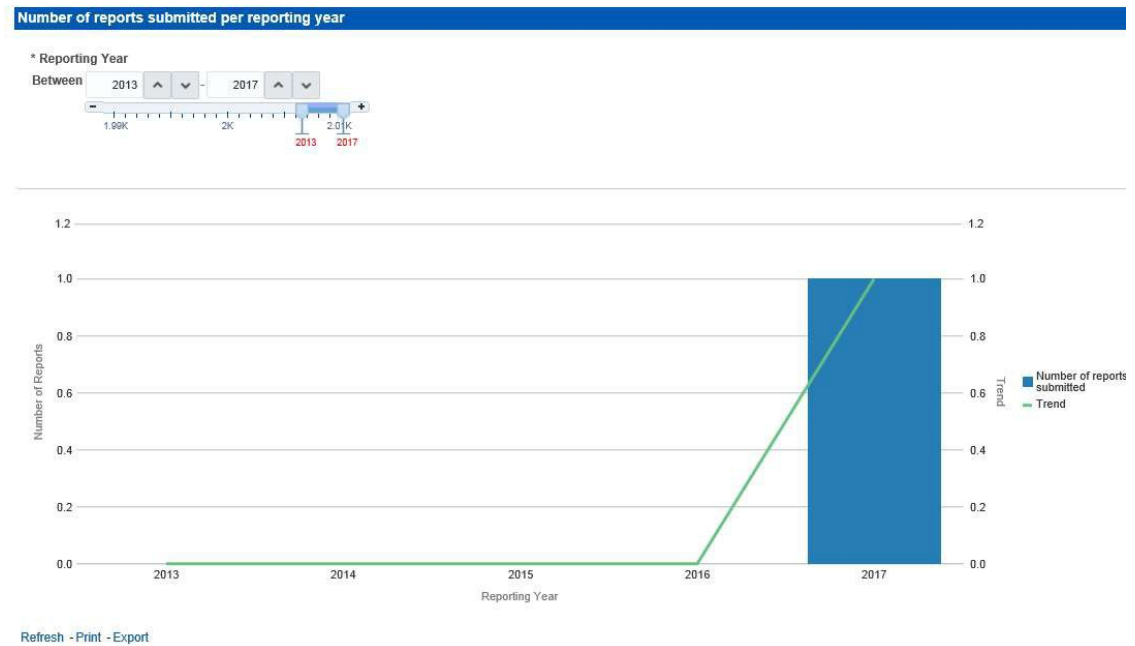
Apply Reset

Reporting	Number of Reports
-----------	-------------------

4.2.1.9.2 Trend of Report

The CRS Trend of Report highlights the trend of the number of reports submitted by reporting year.

Figure 4-68 CRS Trend of Report



4.2.1.10 Scenario Tuning

Use the Scenario Tuning dashboard to view statistical reporting and do the scenario tuning based on a specific scenario and threshold set.

The following reports are available under the Scenario Tuning section:

- Anti Money Laundering (AML)

To view the data in the reports, you must provide data in the Scenario and Date fields.

Figure 4-69 Scenario Tuning Filter Fields

Global Filters

Scenario*
High Risk Transactions: High Risk ▼

Threshold Set
(All Column Values) ▼

Alert Creation Date
Between 12/13/2016 - 01/12/2017

Alert Processing Date
Between 01/12/2010 - 01/12/2017

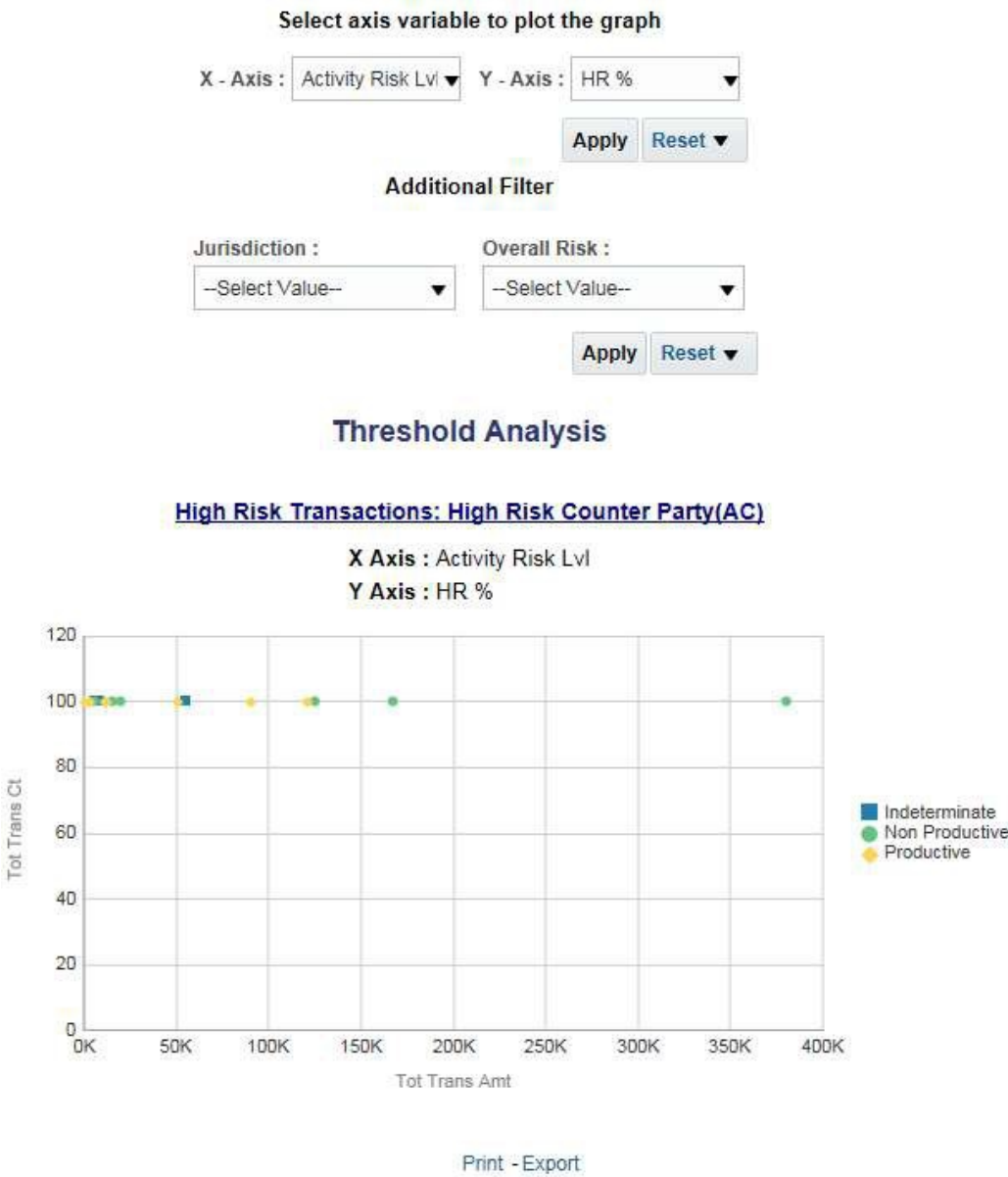
Batch ID
Between -

Run ID
Between -

Apply Reset ▼

You can further narrow down the search results by selecting the values in the X-Axis and Y-Axis fields.

Figure 4-70 Threshold Analysis Report



Report Statistics

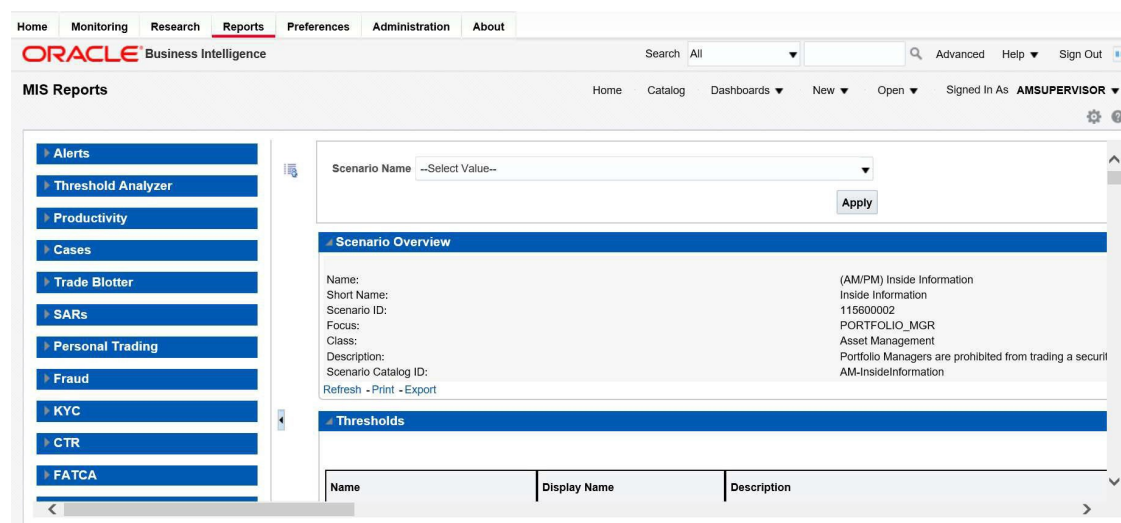
Category	Total # Matches	Total # Alerts	% of Alerts
Indeterminate	14	14	33.333%
Non Productive	7	7	16.667%
Productive	21	21	50.000%
Grand Total	42	42	100.000%



4.2.1.11 Scenario Validation

Use the Scenario Validation dashboard to analyze the scenarios your firm is using to detect behaviors of interest.

Figure 4-71 Scenario Validation Reports



The following Scenario Validation reports are available:

- Sequence Report: This report displays pertinent information that describes the selected scenario or scenarios and patterns
 - Scenario Overview
 - Thresholds
 - Threshold Usage
 - Threshold Sets
 - Pattern Information
 - Pattern Dataset
 - Saved Variables
 - Match Augmentation
- Rule Report: This report provides details about the rules used by the selected scenario to detect behaviors of interest:
 - Scenario Information
 - Thresholds
 - Threshold Usage
 - Threshold Sets
 - Pattern Information
 - Pattern Dataset

- Pattern Schematic
- Pattern Logic
- Bindings
- Saved Variables
- Match Augmentation

4.2.1.12 Trade Blotter

Use the Trade Blotter dashboard to view reports associated with the employee trading. The following Trade Blotter report is available:

- Trade Blotter Search: Use this report to view the details of the trades executed by a particular compliance analyst.

4.2.1.12.1 Trade Blotter Search Report

Figure 4-72 Trade Blotter Search Report

Trade Blotter Search Report
Time run: 2/28/2017 4:05:42 PM

Trade Date	Status	Reviewed By	Reviewed Date	Score	Trade ID	Alerts	Rep/Advisor	Client	Account ID	Account Name	Account Type
10-DEC-15 103000000 -05:00	RVW	SUPERVISOR	2/24/2017 7:20:15 AM	0	TRDTRDBLT054	0.00	EMPTRDBLT010				
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT039	0.00	EMPTRDBLT005	JACK JACKSON	ACTRDBLT0015	SUJE ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT040	0.00	EMPTRDBLT005	JACK JACKSON	ACTRDBLT0015	SUJE ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT041	0.00	EMPTRDBLT005	JACK JACKSON	ACTRDBLT0015	SUJE ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT042	0.00	EMPTRDBLT006		ACTRDBLT001	CASE SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT043	0.00	EMPTRDBLT006		ACTRDBLT001	CASE SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT044	0.00	EMPTRDBLT006		ACTRDBLT001	CASE SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT045	0.00	EMPTRDBLT007		ACTRDBLT001	CASE SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT046	0.00	EMPTRDBLT007		ACTRDBLT002	TEST SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT047	0.00	EMPTRDBLT007		ACTRDBLT002	TEST SUPERVISOR	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT048	0.00	EMPTRDBLT008		ACTRDBLT0014	HACK ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT049	0.00	EMPTRDBLT008		ACTRDBLT0014	HACK ROSS	Investment
10-DEC-15 103000000 -05:00	UNRVW	SYSTEM	12/10/2015 12:00:00 AM	0	TRDTRDBLT050	0.00	EMPTRDBLT008		ACTRDBLT0014	HACK ROSS	Investment

4.2.1.12.2 Employee Attestation Completions Report

Figure 4-73 Employee Attestation Completions Report

Employee Attestation Completions
Time run: 8/11/2016 12:07:24 PM

Employee Name	Employee Identifier	E-Mail Address	Employee Status	Date Hired	Investment Policy Manager Identifier	Information Sensitive Indicator	Attestation Status	Attestation Submission Date	Attestation Reporting Period Start Date	Attestation Reporting Period End Date
BUNNY,KEVIN	EMPTCSGICORR-002	merin.jose@oracle.com	A	02/09/2013	EMPAWOWATHEXWDAC-01	Y	Reviewed	09/16/2013	01/01/2016	02/12/2019
							Reviewed with Follow-up	09/12/2013	01/01/2018	02/12/2019
JOSEMERIN	EMPTCSGICORR-001	ujval.jain@oracle.com	A	02/09/2013	BGMCIA-001	Y	New (Unreviewed)	04/16/2014	04/16/2015	02/12/2016
							Reviewed	09/16/2013	01/01/2016	02/12/2019
								10/07/2013	01/01/2019	02/12/2020
								10/17/2013	01/01/2020	02/12/2021
								01/01/2021	01/01/2021	02/12/2022
							Reviewed with Follow-up	03/06/2013	01/01/2015	02/12/2025
								09/13/2013	01/01/2016	02/12/2019
								09/16/2013	01/01/2018	02/12/2019
							Reviewing	10/16/2013	01/01/2020	02/12/2021
								11/20/2013	01/01/2022	02/12/2022
								04/16/2014	04/16/2014	02/12/2015

4.2.1.12.3 Statement View

Statement View provides a snapshot of transactions associated with a case, with account details, the transaction amount and location of the transaction. This view is only enabled if your firm has installed Oracle Financial Services Enterprise Case Management.

This dashboard contains the following tabs:

- Summary
- Statement View - Summary Report
- Wire Transactions
- MI Transactions
- Back Office Transactions

4.2.1.12.3.1 Summary

The Summary section displays a pivot of various information on each of the transactions. It gives a count and sum of the selected transactions by beneficiary, originator, transaction type, debit/credit, and event ID.

Figure 4-74 Statement View - Summary Report

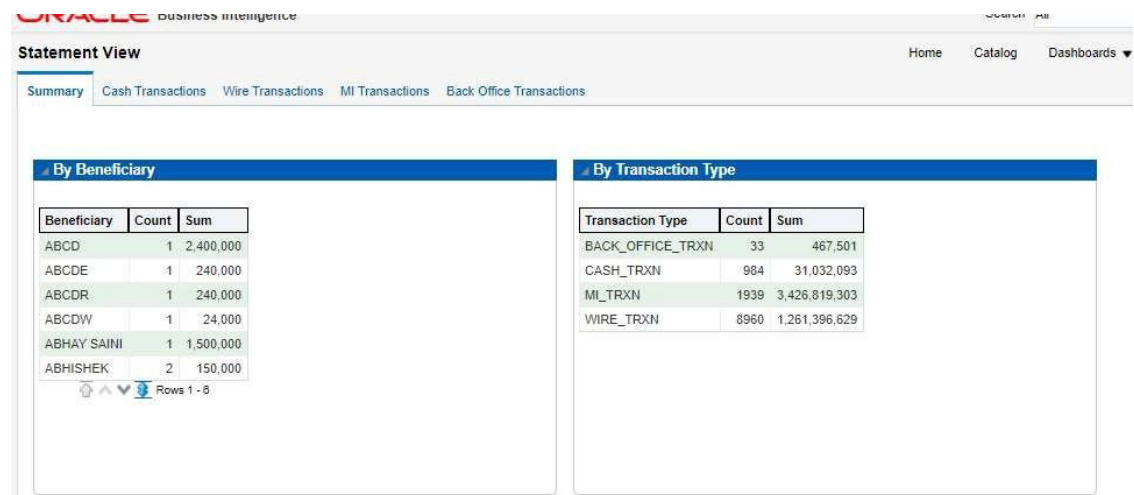


Figure 4-75 Statement View - Summary Report

By Originator		
Originator	Count	Sum
ABHAY SAINI	6	3,800,000
ABHIJEET P K	10	120,028,931
ABHINAV	2	80,000
ABU SALEM	1	22,677
ACCIBPAACB-06	4	548,000
ACMVFOWOTRDINSTCU-001	1	612,000
Rows 1 - 6		

By Debit/Credit		
Transaction Type	Count	Sum
Credit	492	3,041,573,750
Debit	759	13,280,480
	9830	1,664,861,297

By Event ID		
Event ID	Count	Sum
1000	2	1,000
1001	1	500
1002	1	600,000
1003	1	500
1004	1	500
1005	1	50,000
Rows 1 - 6		

By Month		
Month	Count	Sum
Apr	42	840,634
Aug	330	6,742,328
Dec	3518	3,325,016,080
Feb	12	3,351,550
Jan	68	15,578,900
Jul	25	5,249,207
Rows 1 - 6		

4.2.1.12.3.2 Cash Transactions

The Cash Transactions section lists all cash transactions in the events selected.

Figure 4-76 Statement View - Cash Transactions

Statement View													
Home Catalog Dashboards New Open Signed In As													
Summary Cash Transactions Wire Transactions MI Transactions Back Office Transactions													
Date	Source	Type	Debit/Credit	Base	Activity Amount	Activity Currency	ID	Risk	ID	Name	Address	Transaction Reference ID	
7/31/2015 12:00:00 AM	DLY	CURRENCY	Credit	80,000	80,000	IDR	ACCIBPAACB-02	9 IDENTIFIER	EXACCIBPAACB-02	EXACCIBPAACB-02	12 OLD PLANK RD, RIVERPLACE-2, VA, US	FOCIBPAACB-18	
11/23/2015 12:00:00 AM	DLY	CURRENCY	Credit	53,000	53,000	IDR	ACDPGTOTACTAC-040	7 IDENTIFIER	WALMART	WALMART	222 2RD FLOOR GAMMA PLAZA, CHICAGO, CHICAGO, 340130, US	FOTRXNDPGTOTACTAC-155	
			Debit	20,000	20,000	IDR	ACDEVPGPRODUTAC-034	7 COUNTRY	INBANK-01	ABN BANK	A24-BANDRA, FAIRFAX, VA, 22032, US	FOTDEVPGPRODUTAC-142	
		DEBIT-CARD	Debit	25,000	25,000	IDR	ACDPGTOTACTAC-028	3 IDENTIFIER	WALMART	WALMART	222 2RD FLOOR GAMMA PLAZA, CHICAGO, CHICAGO, 340130, US	FOTRXNDPGTOTACTAC-143	
				40,000	40,000	IDR	ACDPGTOTACTAC-028	3 IDENTIFIER	WALMART	WALMART	890-BANDRA, FAIRFAX, VA, 2303, US	FOTRXNDPGTOTACTAC-147	
				75,000	75,000	IDR	ACDPGTOTACTAC-028	3 IDENTIFIER	WALMART	WALMART	222 2RD FLOOR GAMMA PLAZA, CHICAGO, CHICAGO, 340130, US	FOTRXNDPGTOTACTAC-148	
11/24/2015 12:00:00 AM	DLY	CURRENCY	Credit	20,000	20,000	IDR	ACDPGTOTACTAC-030	6 IDENTIFIER	WALMART	WALMART	890-BANDRA, FAIRFAX, VA, 2303, US	FOTRXNDPGTOTACTAC-151	
				25,000	25,000	IDR	ACDPGTOTACTAC-030	6 IDENTIFIER	WALMART	WALMART	890-BANDRA, FAIRFAX, VA, 2303, US	FOTRXNDPGTOTACTAC-149	
		DEBIT-CARD	Debit	400,000	400,000	IDR	ACDPGTOTACTAC-011	3 IDENTIFIER	INHDFC-001	WALMART	567 3RD FLOOR GAMMA PLAZA, CHICAGO, CHICAGO, 890130, US	FOTRXNDPGTOTACTAC-089	
11/25/2015 12:00:00 AM	DLY	CURRENCY	Credit	50,000	50,000	IDR	ACCIBPAACB-02	9 IDENTIFIER	EXACCIBPAACB-02	EXACCIBPAACB-02	12 OLD PLANK RD, RIVERPLACE-2, VA, US	FOCIBPAACB-21	
		DEBIT-CARD	Debit	34,000	34,000	IDR	ACDPGTOTACTAC-022	4 IDENTIFIER	WALMART	WALMART	89-BANDRA, FAIRFAX, VA, 2303, US	FOTRXNDPGTOTACTAC-132	
11/26/2015 12:00:00 AM	DLY	DEBIT-CARD	Debit	32,000	32,000	IDR	ACDPGTOTACTAC-022	4 IDENTIFIER	WALMART	WALMART	416 2RD FLOOR GAMMA PLAZA, CHICAGO, CHICAGO, 851042, US	FOTRXNDPGTOTACTAC-137	
				39,000	39,000	IDR	ACDPGTOTACTAC-022	4 IDENTIFIER	WALMART	WALMART	416 2RD FLOOR GAMMA PLAZA, CHICAGO, CHICAGO, 851042, US	FOTRXNDPGTOTACTAC-135	
				44,000	44,000	IDR	ACDPGTOTACTAC-022	4 IDENTIFIER	WALMART	WALMART	89-BANDRA, FAIRFAX, VA, 2303, US	FOTRXNDPGTOTACTAC-136	
				80,000	80,000	IDR	ACDPGTOTACTAC-011	3 IDENTIFIER	INHDFC-001	WALMART	8129-BANDRA, FAIRFAX, VA, 22038, US	FOTRXNDPGTOTACTAC-093	

4.2.1.12.3.3 Wire Transactions

The Wire Transactions section lists all wire transactions in the events selected.

Figure 4-77 Wire Transactions Report

Statement View

HomeCatalogDashboards ▼New ▼Open ▼Signed In As AMLSUPER

SummaryCash TransactionsWire TransactionsMI TransactionsBack Office Transactions

Wire Transaction				Originator		Beneficiary				Case Wire Transaction	
Date	Source	Type	Base Amount	Name	Account ID	Risk	Name	Account ID	Risk	Transaction Reference ID	
1/1/2015 12:00:00 AM	AMMAN	EFT-SWIFT,EFT-SWIFT	3,600	Remo Farnandis	ACTRSRMFALLCU-01	8	HARIKISHAN CHOUDHRY	ACTRSRMFALLCU-03	8	FOTRSTRMFALLCU01	
2/1/2015 12:00:00 AM	AMMAN	EFT-SWIFT,EFT-SWIFT	3,600	Remo Farnandis	ACTRSRMFALLCU-04	8	MANOJ KUMAR	ACTRSRMFALLCU-02	8	FOTRSTRMFALLCU05	
3/4/2015 12:00:00 AM	AMMAN	EFT-SWIFT,EFT-SWIFT	3,500	Remo Farnandis	ACTRSRMFALLCU-01	8	MANISH KUMAR	ACTRSRMFALLCU-05	8	FONTRSTRMFALLCU03	
4/4/2015 12:00:00 AM	AMMAN	EFT-FEDWIRE,EFT-FEDWIRE	6,000	Remo Farnandis	ACTRSRMFALLCU-02	8	HARIKISHAN CHOUDHRY	ACTRSRMFALLCU-03	8	FONTRSTRMFALLCU10	
10/1/2015 12:00:00 AM	DLY	EFT-FEDWIRE	50,000	Remo Farnandis	ACMLDWSAFEN003	9	John Stomp	8784038730	10	FOTRXNMLDWSAFEN049	
11/1/2015 12:00:00 AM	DLY	EFT-FEDWIRE	12,500	PETER PARKS	ACCIBFRGACTAC02X	5	JACKIE RUSH	ACCIBFRGACTAC001	8	FOTRXNCIBFRGACTAC0009	
			12,500	SAKKA KHAN	ACCIBHRGACTAC02X	3	KELLY MOSEY	ACCIBHRGACTAC001	6	FOTRXNCIBHRGACTAC0009	
			12,500	WILLIAM BACKSTREET	ACCIBPAAAC01X	7	BROOKE FEDERSAN	ACCIBPAAAC001	7	FOTRXNCIBPAAAC0009	
			25,000	FRANCIS SCOTT	ACCIBPAAAC01X	7	CARL FREDICKERSON	ACCIBPAAAC03X	7	FOTRXNCIBPAAAC0009	
			25,000	LORRIANE VAN BUREN	ACCIBPPACB01X	7	LARS URICHSEN	ACCIBPPACB02X	7	FOTRXNCIBPPACB0009	
			25,000	SALLY FIELD	ACCIBFRGACTC02X	5	HAROLD BACCUS	ACCIBFRGACTC006X	7	FOTRXNCIBFRGACTC0009	
			12,500	PETER PARKS	ACCIBFRGACTAC02X	5	JACKIE RUSH	ACCIBFRGACTAC001	8	FOTRXNCIBFRGACTAC0010	
			12,500	SAKKA KHAN	ACCIBHRGACTAC02X	3	KELLY MOSEY	ACCIBHRGACTAC001	6	FOTRXNCIBHRGACTAC0010	
			12,500	WILLIAM BACKSTREET	ACCIBPAAAC01X	7	BROOKE FEDERSAN	ACCIBPAAAC001	7	FOTRXNCIBPAAAC0010	
			25,000	JENNIFER SCOTT	ACCIBPAAAC02X	7	JOHANN FREDICKERSON	ACCIBPAAAC04X	7	FOTRXNCIBPAAAC0010	
11/2/2015 12:00:00 AM	DLY	EFT-FEDWIRE	25,000	LORRIANE VAN BUREN	ACCIBPPACB01X	7	LARS URICHSEN	ACCIBPPACB02X	7	FOTRXNCIBPPACB0010	
			25,000	SALLY FIELD	ACCIBFRGACTC02X	5	KYLE BACCUS	ACCIBFRGACTC005X	7	FOTRXNCIBFRGACTC0010	
			12,500	PETER PARKS	ACCIBFRGACTAC02X	5	JACKIE RUSH	ACCIBFRGACTAC001	8	FOTRXNCIBFRGACTAC0011	
			12,500	SAKKA KHAN	ACCIBHRGACTAC02X	3	KELLY MOSEY	ACCIBHRGACTAC001	6	FOTRXNCIBHRGACTAC0011	
			12,500	WILLIAM BACKSTREET	ACCIBPAAAC01X	7	BROOKE FEDERSAN	ACCIBPAAAC001	7	FOTRXNCIBPAAAC0011	
			25,000	FRANCIS SCOTT	ACCIBPAAAC01X	7	CARL FREDICKERSON	ACCIBPAAAC03X	7	FOTRXNCIBPAAAC0011	
			25,000	LORRIANE VAN BUREN	ACCIBPPACB01X	7	LARS URICHSEN	ACCIBPPACB02X	7	FOTRXNCIBPPACB0011	
11/3/2015 12:00:00 AM	DLY	EFT-FEDWIRE	25,000	SALLY FIELD	ACCIBFRGACTC02X	5	HAROLD BACCUS	ACCIBFRGACTC006X	7	FOTRXNCIBFRGACTC0011	
			12,500	PETER PARKS	ACCIBFRGACTAC02X	5	JACKIE RUSH	ACCIBFRGACTAC001	8	FOTRXNCIBFRGACTAC0012	
			12,500	SAKKA KHAN	ACCIBHRGACTAC02X	3	KELLY MOSEY	ACCIBHRGACTAC001	6	FOTRXNCIBHRGACTAC0012	
			12,500	WILLIAM BACKSTREET	ACCIBPAAAC01X	7	BROOKE FEDERSAN	ACCIBPAAAC001	7	FOTRXNCIBPAAAC0012	
			25,000	FRANCIS SCOTT	ACCIBPAAAC01X	7	CARL FREDICKERSON	ACCIBPAAAC03X	7	FOTRXNCIBPAAAC0012	
			25,000	LORRIANE VAN BUREN	ACCIBPPACB01X	7	LARS URICHSEN	ACCIBPPACB02X	7	FOTRXNCIBPPACB0012	
			25,000	SALLY FIELD	ACCIBFRGACTC02X	5	HAROLD BACCUS	ACCIBFRGACTC006X	7	FOTRXNCIBFRGACTC0012	
11/10/2015 12:00:00 AM	DLY	EFT-FEDWIRE	12,500	PETER PARKS	ACCIBFRGACTAC02X	5	JACKIE RUSH	ACCIBFRGACTAC001	8	FOTRXNCIBFRGACTAC0011	

4.2.1.12.3.4 MI Transactions

The MI Transactions section lists all MI transactions in the events selected.

Figure 4-78 Statement View - MI Transaction

Statement View

HomeCatalogDashboardsNewOpenSigned In AsAMLSUPERVISK

SummaryCash TransactionsWire TransactionsMI TransactionsBack Office Transactions

MI Transaction													Remitter		Beneficiary			MI Transaction	
Post Date	Issue Date	Type	Source	Serial/Check #	Amount	Name	Account ID	Risk	Name	Account ID	Risk	Foreign Check Flag	Transaction Reference ID						
11/3/2015 12:00:00 AM	11/3/2015 12:00:00 AM	CASH-EQ-CERT-CHECK	DLY		6,250	JACK BAUER	ACCIBPUSAC01X	7	SHANE TELLER	ACCIBPUSAC001	9	N	FOTRXNCIBPUSAC0007						
11/10/2015 12:00:00 AM	11/10/2015 12:00:00 AM	CASH-EQ-CERT-CHECK	DLY		6,250	JACK BAUER	ACCIBPUSAC01X	7	SHANE TELLER	ACCIBPUSAC001	9	N	FOTRXNCIBPUSAC0008						
11/23/2015 12:00:00 AM	11/23/2015 12:00:00 AM	CHECK	DLY		4,500	ANTHONY	EXMLTERRORFIN-023	0	HBEEB UL BASHAR	ACMLTERRORRINFAC-006	9	N	FOTMLTERRORRINFAC-072						
					4,500	GUNJAN	EXMLTERRORRFIN-021	0	ABU SALEM	ACMLTERRORRINFAC-003	9	N	FOTMLTERRORRINFAC-033						
					5,000	EASTMAN	EXMLTERRORRFIN-101	0	MARK HACKMAN	ACMLTERRORRINFAC-008	9	N	FOTMLTERRORRINFAC-105						
					5,000	EDAWARD	EXMLTERRORRFIN-102	0	MATT HARDY	ACMLTERRORRINFAC-009	9	N	FOTMLTERRORRINFAC-117						
					5,000	PATRIC	EXMLTERRORRFIN-011	0	OSAMA AL JAWAHIRI	ACMLTERRORRINFAC-002	9	N	FOTMLTERRORRINFAC-002						
					1,500,000	BEAR-001	BEAR-001	7	ACDPGCB-4	ACDPGCB-4	6	N	CBDPGTOTCB-12						
					5,000	NATHAN	ACDEVPGPRODUTAC-025	7	EXAMPT ACT1	EXACPEER-001	7	N	FOTDEVPGPRODUTAC-1300						
					5,000			7					FOTDEVPGPRODUTAC-1310						
					5,000	ROMAN	ACDEVPGPRODUTAC-034	7	EXAMPT ACT1	EXACPEER-001	7	N	FOTDEVPGPRODUTAC-143						
					5,999	KIRAN	XXACDEVPGPRODUTAC-0400	7	EXAMPT ACT1	EXACPEER-001	7	N	XXFOTDEVPGPRODUTAC-1500						
					10,000	HANRY	ACDEVPGPRODUTAC-037	7	EXAMPT ACT1	EXACPEER-001	7	N	FOTDEVPGPRODUTAC-147						
16,000	KARAN	ACDEVPGPRODUTAC-040	7	EXAMPT ACT1	EXACPEER-001	7	N	FOTDEVPGPRODUTAC-150											
11/24/2015 12:00:00 AM	11/24/2015 12:00:00 AM	CHECK	DLY		4,500	ANTHONY	EXMLTERRORRFIN-023	7	HBEEB UL BASHAR	ACMLTERRORRINFAC-006	9	N	FOTMLTERRORRINFAC-073						

4.2.1.12.3.5 Back Office Transactions

The Back Office Transactions section lists all back-office transactions in the events selected.

Figure 4-79 Statement View - Back Office Transactions

Statement View											
Home Catalog Dashboards ▼ New ▼ Open ▼ Signed In As											
Summary Cash Transactions Wire Transactions MI Transactions Back Office Transactions											
BOTransaction_Report2											
Back office transaction		Offset Account									
Date	Time	ID	Risk	Debit/Credit	Base Amount	Report Amount	Report Currency	Type	Transaction Reference ID	Accounts ID	Risk
11/1/2015 12:00:00 AM	051210000	ACOFFSETBANK-001	6	Credit	12,500	12,500	IDR	EST	BOTRXNCIBFRGACTAC0009	ACCIIFRGACTAC001	8
			6		12,500	12,500			BOTRXNCIBHRGACTAC0009	ACCIHRGACTAC001	6
			6		12,500	12,500			BOTRXNCIBPAAAC0009	ACCIIPAAAC001	7
11/2/2015 12:00:00 AM	100001000	ACOFFSETBANK-001	6	Credit	12,500	12,500	IDR	EST	BOTRXNCIBFRGACTAC0010	ACCIIFRGACTAC001	8
			6		12,500	12,500			BOTRXNCIBHRGACTAC0010	ACCIHRGACTAC001	6
			6		12,500	12,500			BOTRXNCIBPAAAC0010	ACCIIPAAAC001	7
11/3/2015 12:00:00 AM	110032000	ACOFFSETBANK-001	6	Credit	12,500	12,500	IDR	EST	BOTRXNCIBFRGACTAC0011	ACCIIFRGACTAC001	8
			6		12,500	12,500			BOTRXNCIBHRGACTAC0011	ACCIHRGACTAC001	6
			6		12,500	12,500			BOTRXNCIBPAAAC0011	ACCIIPAAAC001	7
11/10/2015 12:00:00 AM	123401000	ACOFFSETBANK-001	6	Credit	12,500	12,500	IDR	EST	BOTRXNCIBFRGACTAC0012	ACCIIFRGACTAC001	8
			6		12,500	12,500			BOTRXNCIBHRGACTAC0012	ACCIHRGACTAC001	6
			6		12,500	12,500			BOTRXNCIBPAAAC0012	ACCIIPAAAC001	7
11/23/2015 12:00:00 AM	060000000	OFEMPTRANSELOWLIMITAC-002	0	Credit	1,000				BOEMPTRANSELOWLIMITAC-010F	ACEMPTRANSELOWLIMITAC-003	5
			0	Credit	1,000				BOEMPTRANSELOWLIMITAC-1001	ACEMPTRANSELOWLIMITAC-011	5
			0	Credit	1,000				BOEMPTRANSELOWLIMITAC-1001	ACEMPTRANSELOWLIMITAC-011	5
104401000	OFFACDPGTOTACTAC-005		4	Credit	22,000	22,000	IDR	JOURNAL	BOTRXNACDPGTOTACTAC-047	ACDPGTOTACTAC-020	7
110001000	ACDPGTOTACTAC-0037		5	Debit	14,000	14,000	IDR	JOURNAL	BOTRXNACDPGTOTACTAC-072A1	OFFACDPGTOTACTAC-010	4
	ACDPGTOTACTAC-035		3	Debit	140,000	140,000	IDR	JOURNAL	BOTRXNACDPGTOTACTAC-0701	OFFACDPGTOTACTAC-010	4
	ACDPGTOTACTAC-036		5	Debit	23,000	23,000	IDR	JOURNAL	BOTRXNACDPGTOTACTAC-0711	OFFACDPGTOTACTAC-010	4
	ACDPGTOTACTAC-037		5	Debit	17,000	17,000	IDR	JOURNAL	BOTRXNACDPGTOTACTAC-0721	OFFACDPGTOTACTAC-010	4
110030000	ACDEVPGPRODUTAC-025		7	Credit	15,000	15,000	IDR	JOURNAL	BOTDEVPGPRODUTAC-4031	OFSETACGPPROD-001	5
	ACDEVPGPRODUTAC-026		5	Credit	5,000	5,000	IDR	JOURNAL	BOTDEVPGPRODUTAC-4032	OFSETACGPPROD-001	5

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