

Oracle Financial Services

Enterprise Case Management User Guide



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Document Control

Table Revisions

Version Number	Revision Date	Change Log
8.1.2.12.0	Jul-26	The following sections are updated: • Viewing the RFI Details • Network Graph table.
8.1.2.11.0	Feb-26	The document is updated with UI screenshots for Lilac theme updates.
8.1.2.10.0	Aug-25	The following section is added: • ML Integration for AML Event Scoring The following sections are updated: • Using Search Criteria • Creating or Editing a Narrative • About Evidence Tab • Linking or merging cases • Viewing Event Details and Statement View • Using Network Graph Components • About Account Tab • About Customer Tab • Creating a continuing activity report case
8.1.2.9.0	Feb-25	The following section is added: • Editing Multiple Transaction Labels The following sections are updated: • Privileges, Function Code and Name and their Description • List of Trades • Setting Event Decision • List of Securities • Searching Suppression Requests
8.1.2.8.1	Dec-24	The following sections are added/updated: • Viewing Related Parties • Managing External Entity Details • External Phone • Using Conductor Tab

Table (Cont.) Revisions

Version Number	Revision Date	Change Log
8.1.2.8.0	Aug-24	The following sections are updated: • Key Features • About Case Search and Case List • About Evidence Tab • About Account Tab • About Customer Tab • Viewing Customer Identification Documents • Viewing Transactions • Changing Case Type • Searching for an Entity • Viewing Party Details • Viewing Entity Details • Appendix B: Business Entity Details
8.1.2.7.0	Feb-24	The following sections are updated: • Using Search Criteria • Viewing Case List • Viewing Customer Identification Documents • Using Transactions Tab Search Criteria • Searching Case Entity-related Transactions • Creating a Continuing Activity Report Case
8.1.2.6.0	Oct-23	The following sections are updated/introduced: • About Network Analysis Tab • Using Transactions Tab Search Criteria • Using Real Time Fraud Event Tab • Using Take Action Window • Send RFI • Creating a Continuing Activity Report Case • Archive/Unarchive Events • Network Analysis Tab

Table (Cont.) Revisions

Version Number	Revision Date	Change Log
8.1.2.5.0	Jun-23	The following sections are updated/introduced: • User Roles and Privileges • About Case Search and Case List • Searching Additional Transactions • Adding Manual Transactions • Editing and Deleting the Manually Added Transactions • Assign Case • Continuing Activity Investigations • About Case Creation • Archive/Unarchive Cases
8.1.2.4.0	Mar-23	Introduced the following sections: • Viewing Customer Identification Documents • Using the Transactions Tab (New) • Continuing Activity Investigations Updated the following sections: • User Roles and Privileges • About Case Search and Case List • Using Case ID or Event ID, or Tax ID • Viewing Event Details and Statement View • Trusted Pairs • Event Suppression • Using the Customer Tab • Exporting Case
8.1.2.3.0	Dec-22	Added new sections for the Case Edit History, Customer Related Parties, and External Entity Related Parties. Updated the Send RFI section to better describe the RFI email. Added information about how KYC Anomaly Rule Detection details display. Changed the Alerted Parties tab to Entities tab. Provided guidance on how to create an event within a case, regardless of case status.

Table (Cont.) Revisions

Version Number	Revision Date	Change Log
8.1.2.2.0	Sep-22	Updated the Transactions tab to better provide Transaction Details. Provided additional information about Customer Account Roles. Updated the Send Email and Send RFI sections.
8.1.2.1.1	Jul-22	Updated Customer Screening tab and added new business entity tabs to support integration with Oracle's Customer Screening and Transaction Filtering applications. • External Entity Screening Tab • Real Time Screening Tab
8.1.2.1.0	Jun-22	• Added new business entity tabs: – Order Tab – Execution Tab – Trade Tab – Security Tab – Registered Representative Tab • Added new building blocks: – Customer Account Position – Employee – Household Group – Orders – Fixed Income Security (FI) – Equity or Mutual Fund Security – Security – Option or Future Security – Preferred Security • Updated the section Send RFI to allow captcha token login for questionnaires.
8.1.2.0.0	Mar-22	1. All the screens in the document are updated as per the new UI. 2. System Requirements are updated. 3. The following sections are added for the enhancement in this release (V8.1.2.0.0) • Preview Case • About Transaction Chart • Trusted Pairs

1

About This Content

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

Who Should Use this Guide

The Enterprise Case Management User Guide, is designed for the following users:

- **Case Analyst:** This user works on the cases within the application frequently. This user's specific role (that is, Case Analyst) determines what this user can see and do within the application.
- **Case Supervisor:** This user works on cases within the application on a daily basis and is typically a higher-level Analyst.
- **Case Viewer:** This user has specific viewing rights to the cases. This user's specific role (that is, Case Viewer) determines what this user can see within the application. For complete details on the user roles and privileges, see the [User Roles and Privileges](#) section.

How this Guide is Organized

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

- [About Enterprise Case Management](#) provides a brief overview of the Oracle Financial Services Enterprise Case Management and its components.
- [Getting Started](#) includes instructions on how to configure your system, access ECM, and exit the application.
- [Searching Cases](#) explains the various case search criteria you can use to filter cases you want to view and investigate on the Case List section.
- [Investigating Cases](#) describes the investigation of case-related information to determine what action to take in each situation for the resolution of the case.
- [Acting on Cases](#) explains about various actions can be taken on the case for the resolution.
- [Creating Cases](#) covers the concept and step-by-step instructions to create cases manually.
- [Creating Events](#) describes the concept and procedural instructions to create events manually.
- [Archive/Unarchive Cases](#) describes how to archive old-closed cases in order to improve performance.
- [Archive/Unarchive Events](#) describes how to archive events.
- [Entity Research](#) explains about the entity search criteria to view the entity details.
- [Event Search](#) explains about the event search criteria to view the event details.
- [Trusted Pairs Administration](#) describes the actions which are taken by supervisors after a Trusted Pair Request has been made.

- [Suppression Administration](#) describes the actions which are taken by supervisors after a Sup- pression Request has been made.
- [Setting User Preferences](#) explains about setting up Enterprise Case Management preferences.
- [Appendix A: Common Features](#) describes common elements of the Enterprise Case Management interface.
- [Appendix B: Business Entity Details](#) provides field level description for adding entities manually.
- [Appendix C: Workflows](#) describes the PMF Workflows, KYC Onboarding Workflows, KYC Customer Dashboard Workflows, Transaction Filtering Workflows, and Customer Screening Escalated Alert Workflows.

Where to Find More Information

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

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

Additionally, for more information on the Oracle Financial Services Analytical Applications Infrastructure (OFSAI) documentation, see the Oracle Help Center (OHC):

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

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Conventions

The following text conventions are used in this document.

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.
<i>italic</i>	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
monospace	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

2

About Enterprise Case Management

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

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

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

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

2.1 Key Features

The following are the key features of the ECM application:

- Create cases manually for investigating business entities involved in the potentially suspicious event
- Add events manually to a case or create them and have them placed in the correlation pool
- Perform in-depth analysis of each case by using Case Summary details
- Operational tabs: assist to capture various information to investigate a case for resolution
- Business tabs: help in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information) to aid in the analysis of a case
- View and analyze correlation details - source correlation, linked events, and business data correlation
- View how the case score breaks down into individual scoring components
- Act on the case based on the analysis
- Filter cases based on the Case or Event IDs, search criteria and create and manage Personal Search Views
- Record the complete audit history of the case
- Export case information in Excel and CSV formats.

2.2 Enterprise Case Management UI

The ECM user interface has been redesigned to align with our SaaS products. This update improves usability and provides a more efficient experience for investigators and analysts.

Following are the changes:

- **Navigation Updates** - The main navigation structure has changed from multiple horizontal tabs (entities, transactions, events, etc.) to a single, compact vertical navigation panel. This approach improves screen space utilization and simplifies access to each section.
- **Actions Reorganization** - Actions in the user interface are now categorized as follows:
Primary Actions: Frequently used actions are shown directly on the screen for quick access. Secondary Actions: Less frequently used actions are consolidated within an actions drop-down menu to reduce clutter.
- **Visual Enhancements** - The new interface introduces updated color schemes, revised icons, and subtle animations. These changes support clarity and ease of use, especially when interacting with visually rich graphs and charts from the Investigation Toolkit.

These interface changes are intended to help users quickly locate information, perform actions efficiently, and benefit from a clear presentation of visual analytics. For more information about *LILAC Theme Customization Guidelines* see the [Oracle Financial Services Enterprise Case Management Administration and Configuration Guide](#).

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

2.2.1 Case Creation

Case Search

The cases are listed on the ECM UI based on the case type and user privilege. Cases are also created manually by privileged users by entering new case information. Cases are created based on the case type. The case types are displayed based on the logged-in user. For more information, see [Creating Cases](#).

Note

Manual case creation for KYC is not supported.

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

Case Investigation

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

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

Action on Case

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

Case Audit History

The Audit History displays complete historic details of the case. This allows to view and analyze actions previously performed on the current case by the system or user and the date and time of the case action, status. This helps to save time to analyze a case details and determine the next course of action on the case resolution.

For more information, see [Using Audit History](#).

2.2.2 User Roles and Privileges

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

The following table refers to the list functions that each user role can perform.

Table 2-1 Enterprise Case Management User Roles and Privileges

Privileges	CM Level 1 Analyst	CM Level 1 Supervisor	CM Front Office Analyst	Case Analyst 2	Case Supervisor	Case Administrator	Case Viewer	ECM QC Analyst	ECM QC Supervisor
Access Case Designer						X			
Access Manage Common Parameters						X			
Access Configuration of Web Services						X			
Access Manage Common Gateway Parameters						X			
Access Unified Metadata Manager						X			

Table 2-1 (Cont.) Enterprise Case Management User Roles and Privileges

Privileges	CM Level 1 Analyst	CM Level 1 Supervisor	CM Front Office Analyst	Case Analyst 2	Case Supervisor	Case Administrator	Case Viewer	ECM QC Analyst	ECM QC Supervisor
Access Rule Run Framework						X			
Access Operations						X			
Access PMF						X			
Access Data Model Management						X			
Access Financial Services Inline Processing Engine						X			
Access Utilities						X			
Access Data Quality Framework						X			
Access Masking Configuration						X			
Access Questionnaire						X			
View Process Monitor within a case					X			X	X

Table 2-1 (Cont.) Enterprise Case Management User Roles and Privileges

Privileges	CM Level 1 Analyst	CM Level 1 Supervisor	CM Front Office Analyst	Case Analyst 2	Case Supervisor	Case Administrator	Case Viewer	ECM QC Analyst	ECM QC Supervisor
Search for Case, View Case List, View Case Details and all tabs (operational and business)	X	X	X	X	X		X	X	X
Edit Case Context				X	X			X	X
Print Case to PDF	X	X	X	X	X			X	X
Create New Manual Case			X	X	X				
Create New Manual Event	X	X	X	X	X				
Save a decision on events	X	X	X	X	X				
Preferences	X	X	X	X	X			X	X
Reports				X	X				
Link Cases				X	X				
Unlink Cases				X	X				
Link Events (Add Event – Case Details)	X	X		X	X				
Unlink Events				X	X				
Add Document	X	X	X	X	X			X	X

Table 2-1 (Cont.) Enterprise Case Management User Roles and Privileges

Privileges	CM Level 1 Analyst	CM Level 1 Supervisor	CM Front Office Analyst	Case Analyst 2	Case Supervisor	Case Administrator	Case Viewer	ECM QC Analyst	ECM QC Supervisor
Remove Document (added by self)	X	X	X	X	X			X	X
Remove other people's documents					X				
Edit Narrative				X	X			X	X
Add New Transactions				X	X				
Modify Transactions				X	X				
Remove Transactions				X	X				
Add New Customers				X	X				
Edit Customers				X	X				
Remove Customers				X	X				
Add New Accounts				X	X				
Edit Accounts				X	X				
Remove Accounts				X	X				
Add New Employee				X	X				
Edit Employee				X	X				
Remove Employee				X	X				
Add New Household				X	X				

Table 2-1 (Cont.) Enterprise Case Management User Roles and Privileges

Privileges	CM Level 1 Analyst	CM Level 1 Supervisor	CM Front Office Analyst	Case Analyst 2	Case Supervisor	Case Administrator	Case Viewer	ECM QC Analyst	ECM QC Supervisor
Edit Household				X	X				
Remove Household				X	X				
Add New Corresponding Bank				X	X				
Edit Corresponding Bank				X	X				
Remove Corresponding Bank				X	X				
Add New External Entity				X	X				
Edit External Entity				X	X				
Remove External Entity				X	X				
Add New GL Account	X	X		X	X				
Edit GL Account	X	X		X	X				
Remove GL Account	X	X		X	X				
Add New Loss Recovery Data	X	X		X	X				
Edit Loss Recovery Data	X	X		X	X				
Remove Loss Recovery Data	X	X		X	X				

Table 2-1 (Cont.) Enterprise Case Management User Roles and Privileges

Privileges	CM Level 1 Analyst	CM Level 1 Supervisor	CM Front Office Analyst	Case Analyst 2	Case Supervisor	Case Administrator	Case Viewer	ECM QC Analyst	ECM QC Supervisor
Search/link involved parties to the case				X	X				
Edit involved parties				X	X				
Designate entities as Involved Party.				X	X				
Assigning the Case				X	X				
Adding Evidence	X	X	X	X	X				
Sending Email (Case Details and Case Search & List)	X	X		X	X				
Sending RFI				X	X				
Access Search Events	X	X		X	X				
Access Research					X				
Access Case Allocation Assignment					X	X			

Note

Trusted Pairs and Suppression Administration requires administrators to have specific permissions to access, view and edit submissions. The functions and permissions necessary for those individuals are described below:

- To get Trusted Pairs Admin permission, user role must be mapped with the CMADMNTP (V_FUNCTION_CODE) function.
- To get Designate Trusted Pairs in Case's Event Details page, the user role must be mapped with the CMDSGTP (V_FUNCTION_CODE) function.
- To get Designate Suppression permission, the user role must be mapped with the CMDSGSUP (V_FUNCTION_CODE) function.
- Update other versions
- To get Suppression edit permission, user role must be mapped with the CMEDITSUP (V_FUNCTION_CODE) function.
- To get Suppression view permission, user role must be mapped with the CMVIEWSUP (V_FUNCTION_CODE) function.

For the CM Level 1 Analyst, CM Level 1 Supervisor, and CM Front Office Analyst users, Take Action and Assign options will not be available OOB. If these users want to access the Take Action and Assign options, map the following functions to these users. The following table describes the Function Mapping.

Table 2-2 Function Mapping

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

You must have an FCCM Analytics License to access Reports. If the User Role does not have access to the Reports menu, the User Role must be mapped to the Reports function (RPS).

The User Role must be mapped with the Statement View function (CMSTMTVW) to access the reports via the Statement View option within the case.

Workflow Actions

- AML/FR Case Types
The following table describes the Workflow Actions.

Table 2-3 Workflow Actions

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

Table 2-3 (Cont.) Workflow Actions

Actions	Case Supervisor	Case Analyst 2
Approve Recommendation	X	
Close and Generate SAR	X	
Close without SAR	X	
Reopen Case	X	

- **KYC Case Types**
The following table describes the KYC Case Types.

Table 2-4 KYC Case Types

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

2.2.2.1 Privileges, Function Code and Name and their Description

The following table describes the Privileges, Function Code and Name and their Description.

Table 2-5 Privileges, Function Code & Name and their Description

Privileges	V_FUNC- TION_CODE	V_FUNC- TION_NAME	V_FUNCTION_DESC
Copyright Info For Both AM and CM	ABOUT	Copyright Info For Both AM and CM	Obsolete (Used until 804 version)
Access Configuration of Web Services	AMPASENCYT	AM Password Encryption	AM Password Encryption
AM CM Common Home	CCMENUHOME	AM CM Common Home	Obsolete (Used until 804 version)
User Preferences	CCPREF	User Preferences	Obsolete (Used until 804 version)
Case Management Access	CMACCESS	CMACCESS	CMACCESS
Account Add Entity Manually	CMACCTENTY	Account Add Entity Manually	Account Add Entity Manually
Case Account Tab	CMACTTB	Case Account Tab	Case Account Tab
Add New Accounts	CMADDACCT	Add Account	Add Account
Add Case (In Relationship Tab)	CMADDCASE	Add Cases	Add Cases Relationship

Table 2-5 (Cont.) Privileges, Function Code & Name and their Description

Privileges	V_FUNC- TION_CODE	V_FUNC- TION_NAME	V_FUNCTION_DESC
Add New Corresponding Bank	CMADDCB	Add Correspondent Bank	Add Correspondent Bank
Add New Customers	CMADDCUST	Add Customer	Add Customer
Add New External Entity	CMADDEE	Add External Entity	Add External Entity
Add New Employee	CMADDEMP	Add Employee	Add Employee
Add Document	CMADDEV	Add Evidence	Add Evidence Action on Case List
Add Event (in Relationship Tab)	CMADDEVNT	Add Events	Add Events Relationship
Add New Loss Recovery Data	CMADDFIN	Add Financial Data	Add Financial Data
Add New Household	CMADDHOHLD	Add Household	Add Household
Search/link involved parties to the case	CMADDINVLP	Add Involved Party	Add Involved Party
Add Transactions	CMADDTRAN	Add Transaction	Add Transaction
CM Admin Access	CMADMNACC	CM Admin Access	CM Admin Access
Trusted Pairs Admin Menu	CMADMNT	Trusted Pairs Admin	Trusted Pairs Admin
Access Case Designer	CMADMNTULS	Case Management Admin Tools	Case Management Admin Tools
Assigning the Case	CMASSGN	Assign	Assign Action on Case List
Case Assigner Editor	CMASSGNED	Case Assigner Editor	Case Assigner Editor
Case Audit Tab	CMAUDTB	Case Audit Tab	Case Audit Tab
Search for Case, View Case List, View Case Details and all tabs (operational and business)	CMCASE	Cases	Cases
Access Case Allocation Assignment	CMCASEAA	Case Allocation Assignment	Manage the rules assigned, the maximum number of cases that can be assigned to an individual and OOB.
Correspondent Bank Add Entity Manually	CMCBENTY	Correspondent Bank Add Entity Manually	Correspondent Bank Add Entity Manually
Case CB Tab	CMCBTB	Case CB Tab	Case CB Tab
Case Correlation Tab	CMCORTB	Case Correlation Tab	Case Correlation Tab
Create New Manual Event	CMCRTEVNT	Create Event	Create Event
Preferences	CMCRTPREF	Create User Preference	Create User Preference
Case ID Link on Case List	CMCSEIDLNK	Case ID Link	Case ID Link on Case List
Finance Current Loss	CMCURRFIN	Finance Current Loss	Used in Financial Tab – Edit/ Remove/history
Customer Add Entity Manually	CMCUSTENTY	Customer Add Entity Manually	Customer Add Entity Manually
Case Customer Tab	CMCUSTTB	Case Customer Tab	Case Customer Tab

Table 2-5 (Cont.) Privileges,Function Code & Name and their Description

Privileges	V_FUNC- TION_CODE	V_FUNC- TION_NAME	V_FUNCTION_DESC
Designate entities as Involved Party	CMDESGIP	Designate as IP	Designate as IP
Designate Suppression Rule	CMDSGSUP	Designate Suppression Rule	Designate Suppression Rule
Designate Trusted Pairs	CMDSGTP	Designate Trusted Pairs	Designate Trusted Pairs
Edit Accounts	CMEDITACCT	Edit Account	Edit Account
Edit Case Context	CMEDITCASE	Edit Case Context	Edit Case Context
Edit Corresponding Bank	CMEDITCB	Edit Correspondent Bank	Edit Correspondent Bank
Edit Customers	CMEDITCUST	Edit Customer	Edit Customer
Edit External Entity	CMEDITEE	Edit External Entity	Edit External Entity
Edit Employee	CMEDITEMP	Edit Employee	Edit Employee
Edit Loss Recovery Data	CMEDITFIN	Edit Financial Data	Edit Financial Data
Edit Narrative	CMEDITNAR	Edit Case Narrative	Edit Case Narrative
Edit Suppression Rules	CMEDITSUP	Edit Suppression Rules	Edit Suppression Rules
Modify Transactions	CMEDITTRAN	Edit Transaction	Edit Transaction
Remove Document (added by self)	CMEDTEVEVD	Edit Evidence	Edit Evidence
Edit Household	CMEDTHOHL	Edit Household	Edit Household
Edit Involved parties	CMEDITINVLP	Edit Involved Party	Edit Involved Party
Sending Email/RFI (Case Search & List)	CMEMAIL	Email	Email on Case List
Case Employee Tab	CMENTB	Case Employee Tab	Case Employee Tab
Case Evidence Tab	CMEVITB	Case Evidence Tab	Case Evidence Tab
Access Search Events	CMEVNTSRCH	Search Event	Search Event
Case External Entity Tab	CMEXTB	Case External Entity Tab	Case External Entity Tab
Case Financial Tab	CMFINTB	Case Financial Tab	Case Financial Tab
Case House Hold Tab	CMHHTB	Case House Hold Tab	Case House Hold Tab
Financial Loss History Averted Loss/Potential-loss/Recovery	CMHISTFIN	Financial Loss History	Financial Loss History
Case Investment Advisor Tab	CMIATB	Case Investment Advisor Tab	Case Investment Advisor Tab
Case Involved Party Tab	CMINVLP	Case Involved Party Tab	Case Involved Party Tab
CM KYC Access	CMKYCACSES	CM KYC Access	CM KYC Access
CM KYC Administrator	CMKYCADMN	CM KYC Administrator	CM KYC Administrator
CM KYC Cases	CMKYCCASES	CM KYC Cases	CM KYC Cases
Home Landing Page	CMMENUHOME	Case Home	Case Home
Access Manage Common Parameters	CMMNPARAM	Access Common Param	The user mapped to this function can access Common Parameters UI
Narrative	CMNARRATIV	Narrative Edit/ History/ Save/ Reset	Narrative Edit/History/ Save/Reset
Case Network Tab	CMNETTB	Case Network Tab	Case Network Tab

Table 2-5 (Cont.) Privileges, Function Code & Name and their Description

Privileges	V_FUNC- TION_CODE	V_FUNC- TION_NAME	V_FUNCTION_DESC
Initiate Negative News Search from Customer List	CMNNS	Initiate Negative News Search	Initiate Negative News Search
Case Network Tab	CMNRTTB	Case Network Tab	Case Network Tab
Add New Transactions	CMNWADDTRN	Add New Transaction	Add New Transaction
Create New Manual Case	CMNWCASE	New Cases	New Cases
New Transactions Edits	CMNWEDTTRN	Edit New Transaction	Edit New Transaction
New Transactions Remove	CMNWRMVTRN	Remove New Transaction	Remove New Transaction
New Transactions Details Link	CMNWTRNDTL	New Transactions Details Link	New Transactions Details Link
Print Case to PDF	CMPRINT	Print	Print
CM Case Trend	CMRCSETR	CM Case Trend	CM Case Trend
Case Management Redaction Access	CMREDACT	ECM Redact Function	ECM Redact Function
Relationship Access	CMRELATION	Relationship Access	Relationship Access
Link Events (Add Event – Case Details)	CMRELLINK	Link Cases/ Events	Link Cases/Events Relationship
Case Relation Ship Tab	CMRELTB	Case Relation Ship Tab	Case Relation Ship Tab
Unlink Events	CMRELUNLNK	Unlink Cases/ Events	Unlink Cases/Events Relationship
Remove Accounts	CMREMVACCT	Remove Account	Remove Account
Remove Loss Recovery Data	CMREMVFIN	Remove Financial Data	Remove Financial Data
Cancel RFI	CMRFICNCL	Cancel RFI	Cancel RFI
CM Financials Report	CMRFINREP	CM Financials Report	CM Financials Report
Remove Corresponding Bank	CMRMVCB	Remove Correspondent Bank	Remove Correspondent Bank
Remove Customers	CMRMVCUST	Remove Customer	Remove Customer
Remove External Entity	CMRMVEE	Remove External Entity	Remove External Entity
Remove Employee	CMRMVEMP	Remove Employee	Remove Employee
Remove Household	CMRMVHOHLD	Remove Household	Remove Household
Remove Involved Parties	CMRMVINVLP	Remove Involved Party	Remove Involved Party
Remove Transactions	CMRMVTRAN	Remove Transaction	Remove Transaction
CM Regulatory Trend	CMRREGACTT	CM Regulatory Trend	CM Regulatory Trend
CM Risk Assessment	CMRSKASMNT	CM Risk Assessment	CM Risk Assessment
Access Research	CMRSRCH	Research Entity	Research business entities.
Case Detail Tab	CMSDETTB	Case Detail Tab	Case Detail Tab
Statement View from Event list	CMSTMTVW	Statement View	Statement View
Take Action on Case List	CMTKACTN	Take Action on Case List	Take Action on Case List
Transaction Details	CMTRANDTL	Transaction Details	Transaction Details
Case Transaction Tab	CMTRATB	Case Transaction Tab	Case Transaction Tab
View Suppression Rules	CMVIEWSUP	View Suppression Rules	View Suppression Rules

Table 2-5 (Cont.) Privileges,Function Code & Name and their Description

Privileges	V_FUNC- TION_CODE	V_FUNC- TION_NAME	V_FUNCTION_DESC
View Process Monitor within a case	CMWORKFLW	Workflow Monitor	Workflow Monitor
CS Decision Access	CSDECACCS	CS Decision Access	Used by CS team On Set Event Decision
EE Decision Access	EEDECACCS	EE Decision Access	Used by CS team On Set Event Decision
Remove other people's documents	FILEREMOVE	Remove file	Remove file of other users
Access Manage Common Gateway Parameters	INSTLPARAM	Access Install Param	The user mapped to this function can access Install Param UI
Investigation	INVSTG	Investigation	Obsolete (Used until 804 version)
ECM APP	OFS_NGECM	View ECM	View ECM
Function for common FCCM Menu	OFSFCCM	Function for common FCCM Menu	Function for common FCCM Menu
Function for common ECM Menu	OFSNGECM	Function for common ECM Menu	Function for common ECM Menu
RFI View Details Link	RFIVIEWDTL	RFI View Details Link	RFI View Details Link
Reports	RPS	Reports	Reports
Function for Reassign to all	RSGNTALL	Function for Reassign to all	Obsolete (Used until 804 version)
RT Decision Access	RTDECACCS	RT Decision Access	Used by CS team On Set Event Decision
To Access Tabs	TABACCESS	To Access Tabs	Obsolete (Used until 804 version)
View case score	VIEWCASESR	View case score	Used in Correlation Tab – Score
Save a decision on events	VIEWEVENT	View Event Decision	View Event Decision
View Event Details	VWADDEVNT	View Event Details	View Event Details
View Case List Buttons	VWCASELST	View Case List Buttons	View Case List Buttons
View Case Details Action Button	VWCMACTNS	View Case Details Action Button	View Case Details Action Button
Case Details Actions	VWCMASGN	AssigntoMe button in case details	AssigntoMe button in case details
Sending Email/RFI (Case Details)	VWCMEMAIL	View Case Details Email Button	View Case Details Email Button
Trusted Pairs Admin	CMADMNTP	Trusted Pairs Admin	Trusted Pairs Admin
Edit Trusted Pair Rules	CMEDITTP	Edit Trusted Pair Rules	Edit Trusted Pair Rules

2.2.2.2 Security within Enterprise Case Management

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

The following describes the Access Controls for Enterprise Case Management.

Table 2-6 Access Controls for Enterprise Case Management

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

3

Getting Started

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

3.1 System Requirements

The following applications are required to run the OFS ECM application:

The following table describes the versions of various operating systems.

Table 3-1 Configurations Supported for Java 8: Operating System

Operating System	Version
Oracle Linux / Red Hat Enterprise Linux(x86-64)	Oracle Linux Server release 7.5 and above - 64 bit Oracle Linux Server release 8 - 64 bit Note: Same version of RHEL is supported.
Oracle Solaris (SPARC)	11.3+- 64 bit
Shell	KORN Shell (KSH)

Note

If the operating system is RHEL, install the package `lsb_release` with one of the following commands by logging in as root user:

- `yum install redhat-lsb-core`
- `yum install redhat-lsb`

The following table describes the Java Runtime Environment.

Table 3-2 Configurations Supported for Java 8: Java Runtime Environment

Operating System	Version
Oracle Linux / Red Hat Enterprise Linux	Oracle Java Runtime Environment (JRE) 1.8.x - 64 bit
Oracle Database Server and Client	Oracle Database Server Client 19.3+ Oracle Database Server Enterprise Edition 19.3+ - 64 bit RAC/ Non-RAC with/ without partitioning option

Operating System or Version:

- V 11.1.2.1+ (Server and Client) with Oracle 11g Database

- V 11.1.2.3+ (Server and Client) with Oracle 12c Database
- V 11.2.0.3+ with Oracle 11g Database
- V 12.1.0.1+ with Oracle 12c Database

The following table describes the various operating systems with versions for Web Server or Web Application Server

Table 3-3 Configurations Supported for Java 8: Web Server/Application Server

Operating System	Version
Oracle Linux / Red Hat Enterprise Linux/ IBM Solaris	Oracle HTTP Server 11.1.1.1/ Apache HTTP Server 2.2.x/ IBM HTTP Server. Oracle WebLogic Server 12.2.x and 14.1.x - 64 bit IBM WebSphere Application Server 9.0.0.x with bundled IBM Java Runtime - 64 bit Apache Tomcat v9.0.x - 64 bit

Note

OFSAA Infrastructure web component deployment on Oracle WebLogic Server with Oracle JRockit is not supported. For deployment on Oracle WebLogic Server (64 bit) with Java 8, download from [My Oracle Support](#).

The following table describes the desktop requirements.

Table 3-4 Desktop Requirements

Particulars	Version
Operating System	Windows 10
Browser	• Chrome Version 90.0.4430.212 • Firefox Version 78.10.1esr • Microsoft Edge Version 90.0.818.62 Turnoff Pop-up blocker settings.
Office Tools	• MS Office 2010/2013 • Adobe Acrobat Reader 8 or above
Screen Resolution	Minimum screen resolution & Scaling must be 1366 * 768 with 100% scaling.

The following table describes the directory services.

Table 3-5 Other Software

Particular	Version
Directory Services	OFSAAI is qualified on both OPEN LDAP 2.2.29+ and Oracle Internet Directory v 11.1.1.3.0. However, it can be integrated with other directory services software such as MS Active Directory.

Note

- Configuration of Directory services software for OFSAAI installation is optional.
- Open LDAP must be installed on MS Windows Server machine.

3.2 Accessing OFSECM Application

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

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

For more information, see [Change Password](#).

Note

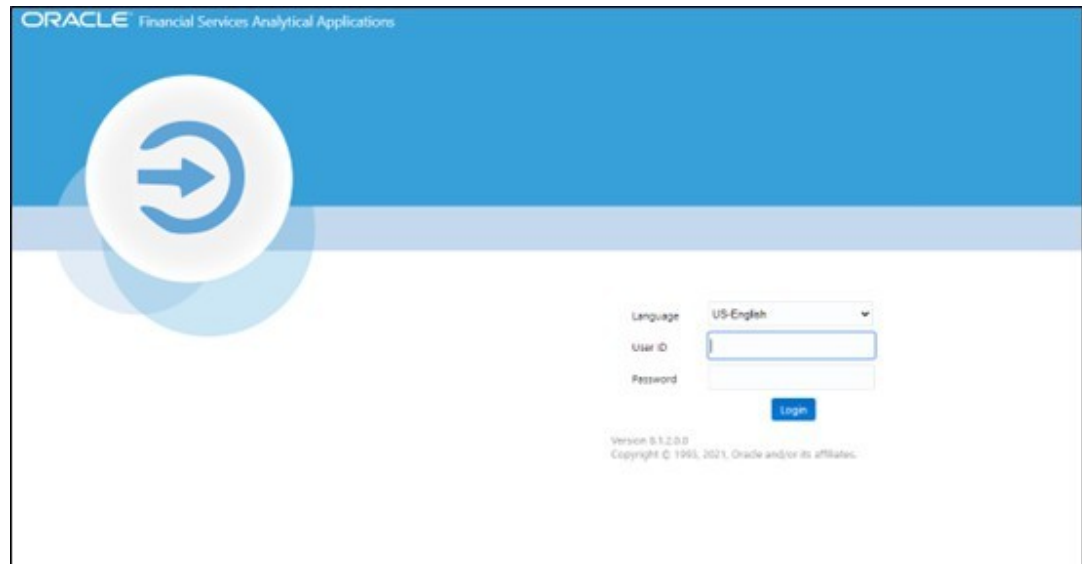
You can log in with Single Sign-On (SSO) based on your firm's configuration.

To access OFSECM Application, follow these steps:

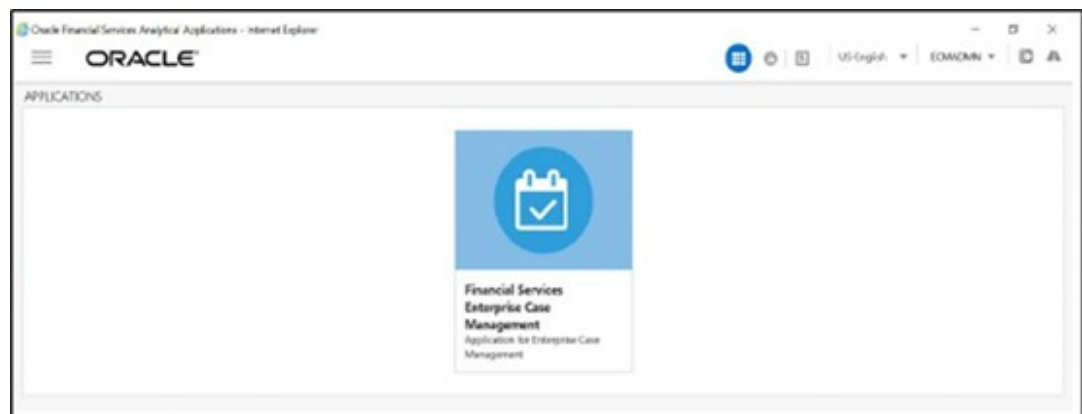
1. Enter the URL into your browser using the following format:

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

For example: `https://myserver:9080/ofsaaapp/login.jsp`The OFSAA login page is displayed.

Figure 3-1 OFSAA login page

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

Figure 3-2 OFSECM Application landing page

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

Figure 3-3 Masthead Frame

The following are the components of a Masthead:

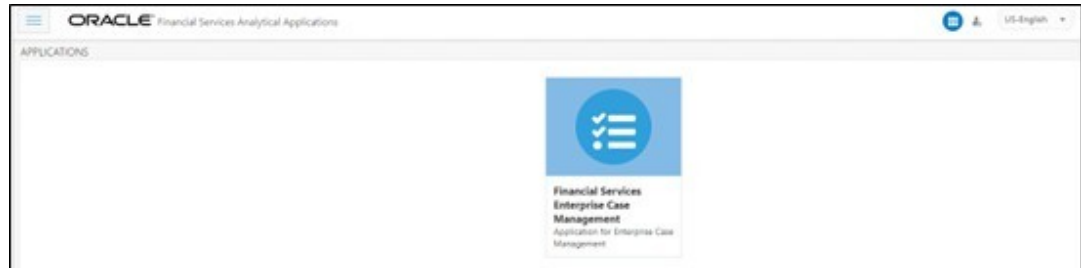
- Hamburger icon: This icon triggers the Application Navigation Drawer.
 - Application icon: This icon shows the available Applications installed in your environment.
 - Administration icon: This icon is used to go to the Administration module.
5. Click to view the last login details. It displays the last login date and time and the last failed login date and time.
 6. Click to view the Information Domain to which you are connected. It also displays the setup details.
 7. Click the logged-in user name, and sub-menu is displayed.
 8. Click Preferences to set the Home Page.
 9. Click Change Password to change your password.
- For more information, see [Change Password](#). This option is available only if SMS Authorization is configured.
10. Click Log Out to exit Oracle Financial Services Analytical Applications Infrastructure. The built-in security system of Infrastructure ensures restricted access to the respective windows based on the user's role. This is based on the functions that you as a user are required to perform.

3.2.1 Change Password

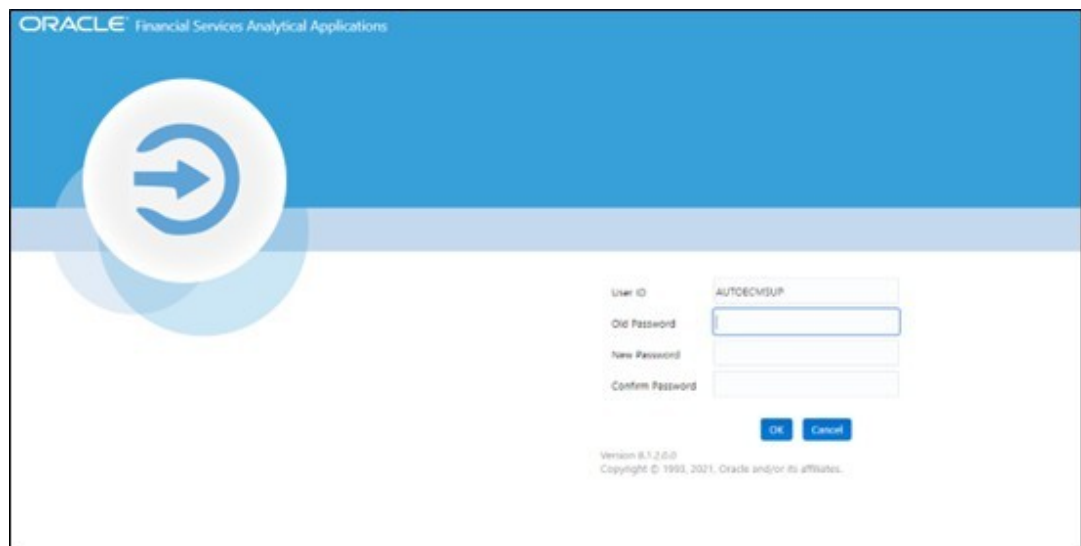
For security purposes, you can change the password. This section explains how to change the password.

To change the password, follow these steps:

1. Navigate to the OFSAA Applications page.

Figure 3-4 OFSAA Applications page

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

Figure 3-5 Change Password

3. Enter your old and new password in the respective fields.
4. Click OK. Your password is changed successfully. The application navigates back to the Login page where you can log in with the new password.

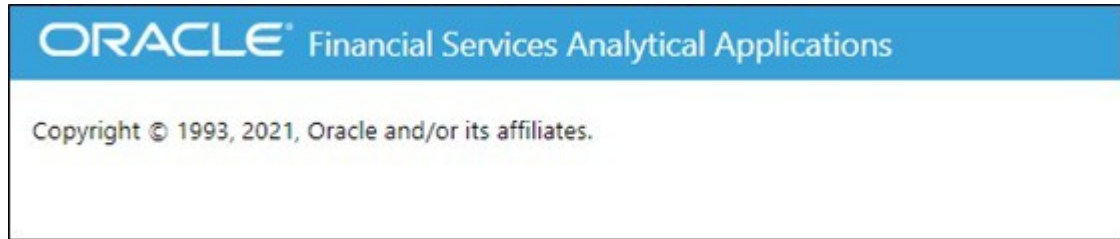
Note

Your password is case-sensitive. If you have problems with the password, verify that the Caps Lock key is off. If the problem persists, contact your system administrator.

3.2.2 Copyright Information

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

The Copyright text displays in a new window.

Figure 3-6 Copyright window

3.3 Troubleshooting Your Display

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

Note

The following procedures apply to all versions of IE listed in [System Requirements](#). Separate procedures are listed for each version where differences exist in the locations of settings and options.

3.3.1 Enabling JavaScript

JavaScript must be enabled in the browser. If you have problems troubleshooting your display, contact your System Administrator.

Enabling Cookies

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

Enabling Temporary Internet Files

Temporary Internet files are pages that you view on the Internet and store in a folder for quick viewing later. You must adjust this setting to always check for new versions of a stored page.

Enabling File Downloads

File downloads must be available.

Setting Printing Options

Printing background colors and images must be enabled.

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

Enabling Pop-up Blocker

Some users may experience difficulty running the Oracle Financial Services ECM application when the Pop-up Blocker is enabled. It is recommended to add the URL of the application to the Allowed Sites in the Pop-up Blocker Settings.

3.4 Setting Preferences

The Preferences section enables you to set your OFSAA Home Page.

To access this section, follow these steps:

1. Click Preferences from the drop-down list in the top right corner, where the user name displays.

The Preferences screen displays.

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

Figure 3-7 Preferences

Property Name	Property Value
Set My Home Page	Default Screen
Date Format	-- Select --
Select Language	-- Select --

Note

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

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

Note

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

4. Click Save to save your preference.

4

Searching Cases

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

About Case Search and Case List

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

Figure 4-1 Case Search and Case List

Case ID	Title	Type	Correlated Events	Due Date	Priority	Status	Owner	Assigned To	Created	Jurisdiction
CA28802	Case 3	AML_PAT		12/02/2026 00:00:00	Low	Investigation	AUTOECMSUP	AUTOECMSUP	09/02/2026 12:19:38	AMEA
CA28801	Case 2	AML_DD		11/02/2026 00:00:00	Medium	New	TestOrgA	TestOrgA	09/02/2026 12:18:59	AMEA
CA28781	casere2	AML_SURV		22/02/2026 06:29:53	High	Pending RFI Response	AUTOECMSUP	AUTOECMSUP	23/01/2026 06:29:53	AMEA
CA28780	casere1	AML_SURV		22/02/2026 06:25:39	High	Investigation	AUTOECMSUP	AUTOECMSUP	23/01/2026 06:25:39	AMEA
CA28766	External_Events_Proces...	AML_SURV		23/01/2026 00:00:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA
CA28765	External_Events_Proces...	AML_SURV		06/02/2026 13:19:23	High	New	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA
CA28764	External_Events_Proces...	AML_SURV		06/02/2026 13:19:23	High	Investigation	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA
CA28763	External_Events_Proces...	AML_SURV		06/02/2026 13:19:23	High	Investigation	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA
CA28762	External_Events_Proces...	AML_SURV		06/02/2026 13:19:23	High	New	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA
CA28760	External_Events_Proces...	AML_SURV		06/02/2026 13:19:23	High	New	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA
CA28757	External_Events_Proces...	AML_SURV		06/02/2026 13:19:23	High	New	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA
CA28756	External_Events_Proces...	AML_SURV		06/02/2026 13:19:23	High	Investigation	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA
CA28755	External_Events_Proces...	AML_SURV		06/02/2026 13:19:23	High	Investigation	AUTOECMSUP	AUTOECMSUP	07/01/2026 13:16:58	AMEA

- Enterprise Case Management filters cases based on the following conditions:
 - The Case/Event IDs, Views, and search criteria.
 - Your access control permissions.
- The Views search option represents pre-populated search queries.
- The Case ID Search Criteria are mutually exclusive with all other filter criteria.
- The Case List displays the list of cases as per the search criteria specified in the Case Search section.
- By default, the Case List displays 15 records per page. You can increase the number of records by clicking on the Records Per Page box and entering up to 300. To configure this limit, refer to the Configuring Case List Records Per Page Limit section in [Administration and Configuration Guide](#).
- Various actions can be taken on the filtered cases.
- Export cases in Excel or CSV format.
- Highlighted overdue cases in Red color in Due Date column.
- Cases nearing the due date is highlighted in Blue color in Due Date column.
- Displays case priority in different colors that help you to easily differentiate the cases with High, Medium, and Low priority. You can sort the priority in ascending or descending order.

4.1 Accessing Case Search and List Page

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

To access the Case Search and List page, navigate to the Enterprise Case Investigation page and click Search Cases. The Case Search and List page is displayed.

For more information, see the [Getting Started](#) section.

4.2 Searching Cases

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

Note

You can use only one search criteria at a time.

4.2.1 Using Views

The following are the salient features of Views search.

- Views represent pre-populated search queries.
- Views allow a single-click option for returning a filtered case list based upon the view's preset search criteria.
- Search fields are displayed based on the type of Views you select.
- You can create and manage personal saved views.

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

1. Navigate to the Case Search and List page.
2. Select a view type from the Views drop-down list.

Figure 4-2 Case Search and List screen

The screenshot shows the 'Case Search and List' interface. At the top, there are tabs for 'All Cases (Last 30 Days)' and 'Cases Assigned to Me'. Below the tabs is a table with columns: Case ID, Title, Type, Correlated Events, Due Date, Priority, Status, Owner, Assigned To, and Created. The table contains three rows of case data. On the right side, there is a sidebar with a dropdown menu 'All Views' and a list of filters: 'Cases Assigned to Me', 'My New Cases', 'My Open Cases', and 'My Overdue Cases'.

Case ID	Title	Type	Correlated Events	Due Date	Priority	Status	Owner	Assigned To	Created
CA28802	Case 3	AML_RAT	0	12/02/2026 00:00:00	Low	Investigation	AUTOECMSUP	AUTOECMSUP	
CA28801	Case 2	AML_DD	0	11/02/2026 00:00:00	Medium	New	TestOrgA	TestOrgA	
CA28781	casere2	AML_SURV	5	22/02/2026 06:29:53	High	Pending RFI Response	AUTOECMSUP	AUTOECMSUP	23/01/2026 06:29:53 AMEA

The relevant cases are displayed in the Case List pane.

For more information on the Views search, see the following table:

Table 4-1 Case Views and Filter

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

Note

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

Creating a Search View

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

To create search views, follow these steps:

1. Navigate to the **Case Search and List** page.
2. Enter your search criteria in the **Advanced Search** fields and click **Save As View**.

Figure 4-3 Advanced Search

Advanced Search

Case ID

Event ID

Age

Class

Type

Created From

12/01/2026

To

11/02/2026

Due From

dd/MM/yyyy

To

dd/MM/yyyy

Priority

Title

Jurisdiction

Business Domain

Status

Assignee

Case Score

Action Type

☒ Workflow ☒ Operational

Case Action

Last Action

☐ Yes ☒ No

Action From

dd/MM/yy

To

dd/MM/yy

Closed From

dd/MM/yy

To

dd/MM/yy

Created By

Entity Type

Entity ID

Entity Name

Tax ID

Event Type

Scenario

Regulatory Report Status

Owner Organization

Owner

Description

Standard Comments

Comments

Narrative

Reset

Save As View

Search

The Save View window is displayed.

Note

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

- 3. Enter a **View Name** for the personal search view.
- 4. Optional: Select Set as Default Search to make this Search View as default search criteria for all your future uses.
- 5. A confirmation message displays and a newly created save view displays in the Views drop- down list. This save view is also displayed in the User Preference page. For more information, see [Setting User Preferences](#).

4.2.2 Using Case ID, Event ID, and Tax ID

Using the Case ID or Event ID or Tax ID enables you to search cases by simply entering the case or event or tax IDs. When searching by Case ID or Event ID or Tax ID, consider the following:

- Enables you to search cases by simply entering the case or event or tax IDs.
- It is mutually exclusive with all other search criteria.
- If you attempt to search by a combination of case or event or tax ID and other search criteria, the search results display only based on the case or event or tax ID and ignore other criteria.
- It exactly matches the values you have entered. You can search for one or more cases or event or tax IDs.

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

1. Navigate to the Case Search and List page.
2. Click Advanced Search. The Advanced Search pop-up appears.
3. Enter one or more unique case or event identification numbers in the Case ID or Event ID or Tax ID field.

To search for multiple IDs, separate the Case or Event or Tax IDs with commas.

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

Search by Case or Event or Tax IDs ignore all other search criteria.

4.2.3 Using Search Criteria

The following are the salient features of other Search Criteria:

- The Case List is dynamically populated based on the different set of input criteria.
 - Blank value is equivalent to select all.
 - Only the data that match your specified criteria and cases, which you are authorized to view are displayed as search results.
1. To search cases using Advanced Search criteria, click Advanced Search. The additional search fields are displayed.

Figure 4-4 Advanced Search window

The Advanced Search window contains the following fields:

- Case ID**: Text input field.
- Event ID**: Text input field.
- Age**: Dropdown menu and text input field.
- Class**: Text input field with a list icon.
- Type**: Text input field with a list icon.
- Created From**: Date input field (12/01/2026) with a calendar icon.
- To**: Date input field (11/02/2026) with a calendar icon.
- Due From**: Date input field (dd/MM/yyyy) with a calendar icon.
- To**: Date input field (dd/MM/yyyy) with a calendar icon.
- Priority**: Text input field with a list icon.
- Title**: Text input field.
- Jurisdiction**: Text input field with a list icon.
- Business Domain**: Text input field with a list icon.
- Status**: Text input field with a list icon.
- Assignee**: Text input field with a list icon.
- Case Score**: Dropdown menu and text input field.
- Action Type**: Radio buttons for ☒ Workflow and ☒ Operational.
- Case Action**: Text input field with a list icon.
- Last Action**: Radio buttons for ☐ Yes and ☒ No.
- Action From**: Date input field (dd/MM/yyyy) with a calendar icon.
- To**: Date input field (dd/MM/yyyy) with a calendar icon.
- Closed From**: Date input field (dd/MM/yyyy) with a calendar icon.
- To**: Date input field (dd/MM/yyyy) with a calendar icon.
- Created By**: Text input field with a list icon.
- Entity Type**: Dropdown menu.
- Entity ID**: Text input field.
- Entity Name**: Text input field.
- Tax ID**: Text input field.
- Event Type**: Text input field with a list icon.
- Scenario**: Text input field with a list icon.

- Enter the following information in the additional fields for More Search Criteria.

The following table describes the Advanced Search Criteria fields.

Table 4-2 Advanced Search Criteria

Fields	Description
Created From	This filters the Case List with the cases whose creation date is greater than or equal to the date entered.
Created To	This filters the Case List with the cases whose creation date is less than or equal to the date entered.
Age	This filters the Case List by the class associated with the case. For example, AML and KYC.
Type	This filters the Case List by the type of cases that matches the search criteria.
Status	This filters the Case List by the current status of the case, relative to its analysis and closure.
Title	Enter the title of the case. This filters the Case List by the title of the case that matches the search criteria. This supports wild-card search. The percent sign (%) is used for this.
Jurisdiction	This filters the Case List by the business jurisdiction associated with the case. The drop-down list contains only jurisdictions which you are authorized to view.

Table 4-2 (Cont.) Advanced Search Criteria

Fields	Description
Business Domain	This filters the Case List by the business domain associated with a case. The drop-down list contains only business domains with which you are authorized to view.
Entity Type	This filters the Case List by the entity type associated with a case. When Entity type is specified, you must enter a value in Entity ID or Entity Name.
Entity ID	This filters the cases where this Account with (Internal Account or External Entity Account ORIG_ACCT_ID/SCND_ORIG_ACCT_ID/BENEF_ACCT_ID/ SCND_BENEF_ACCT_ID types) is part of any Wire transaction. When Entity ID is specified, you must select a value in Entity type. This filters the cases where this Account with (Internal Account or External Entity Account REM_ACCT_ID/BENEF_ACCT_ID/ SCND_BENEF_ACCT_ID types) is part of MI transaction. For example: - Select Account from the Entity Type drop-down for internal accounts. - Select External Entity from the Entity Type drop-down for external accounts.
Entity Name	This filters the Case List by the entity name associated with a case. This supports wildcard search. The percent sign (%) is used for this. When the Entity Name is specified, you must select a value in Entity type.
Tax ID	This enables you Tax ID search on the Case search screen for both Customer & Account entity types.
Action Type	This enables you to filter cases based on the action type. Workflow actions change the status of a case. Operational actions do not change the status of a case. If no Action Type is selected, the Case Action drop-down list displays both types of actions.
Case Action	This drop-down list is updated based on the Action Type you select.
Last Action	This allows you to search for cases where the selected action is the last action saved on the case. - Select Yes to search for cases where any one of the selected Case Action was the last action saved on the case. - Select No to search for cases where any one of the selected Case Action was saved on the case but it was not the last action. If no Case Action is selected, this filter is excluded from the search criteria.

Table 4-2 (Cont.) Advanced Search Criteria

Fields	Description
Priority	This filters the Case List by the priority of the current case that matches the search criteria. The following are the options available: • High • Medium • Low
Action Date From	This filters the Case List up to the date you enter by which the action was taken on the case, which is greater than or equal to the date you enter.
Action Date To	This filters the Case List up to the date you enter by which the action was taken on the case, which is less than or equal to the date you enter.
Owner Organization	This filters the Case List by the organization associated with the owner of a case. The drop-down list contains only users or the user pool whose jurisdictions you are authorized to view.
Due Date From	This filters the Case List by the past date you enter by which action should be taken on the case.
Due Date To	This filters the Case List up to the date you enter by which action should be taken on the case.
Closed Date From	This filters the Case List by the past date you enter on which the case was closed.
Closed Date To	This filters the Case List up to the date you enter by which the case was closed.
Owner	This filters the Case List by a user or user pool who owns the case. The drop-down list contains only users or the user pool whose jurisdictions you are authorized to view.
Event Type	Select the event type from the drop-down list. For example, Anti-Money Laundering, Customer Screening, Know Your Customer.
Scenario	Scenarios are displayed in the list based on the event type you select in the Event Type search field. If you don't select any event type then all available scenarios are displayed.
Assignee	This filters the Case List by a user or user pool to whom a case is assigned. The multi-select drop-down list contains only users or the user pool whose jurisdictions you are authorized to view.
Standard Comments	This filters the Case List by the standard comments associated with the case.
Narrative/Comments	This filters the Case List by narrative or comments associated with the case. When searching on Narrative/Comments from advanced search, a percent sign (%) is automatically appended to the beginning and end of the values entered. This is necessary since Narratives are stored as rich text to allow for formatting.
Created By	This filters the Case List by a user or user pool, who created the case.

Table 4-2 (Cont.) Advanced Search Criteria

Fields	Description
Regulatory Report Status	This field allows you to filter the cases based on Regulatory Report Status of case. For example, Approved for Filing, Closed-No Action, and so on.
Case Score	This filters the Case List by the score of the case.
Description	This filters the Case List by the description of the case that matches the search criteria. This supports wild-card search. The percent sign (%) is used for this.
Assessment Source	Displays the assessment source for the KYC risk assessments. A risk assessment record can have the following assessment sources: • Accelerated Review • Account On Boarding • Deployment Initiation • Periodic Review • Customer Without Account

Note

- Search cases with Entity ID and Name (Internal Account ID and Account Name and External Entity Name and ID) used in case transactions such as Wire and MI transaction as related party without being focal entity.
- When you filter using multiple search fields, the results are filtered after matching all the search criteria specified. The Risk Score field is available only for KYC cases.

3. Click Search. The Case List section displays the list of cases that meet the search criteria. The Case List section enables you to view details about the cases and take various actions depending on the user privileges.
By default, the search list is sorted by Due Date, Priority, and then Case ID.

4.3 Managing Case List

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

The Case List is the case search result area which displays a list of cases based on your search criteria.

Navigate to the Case Summary page by clicking a Case ID link. Based on your role, you can take various actions on one or more cases, such as assigning cases to the user or user pool, or adding evidence to one or more cases.

The Case list is sorted in ascending and descending order in the column header. Columns that depict the case information are hidden or shown using field chooser.

You can also export cases in Excel or CSV formats.

4.3.1 Preview Case

This section displays the list of cases based on the cases title.

To preview the case, follow these steps:

1. Navigate to the Case Search and List page.
2. Select the Case ID.
3. Click Preview Case. Case ID preview displays.

The following table provides the Preview Case details.

Table 4-3 Preview Case

Item	Description
Case Title	Displays the title for the case.
Case Overview	Displays the Case Overview.
Last Action	Displays the Event Decision Updated by the Analyst based on the Account Type.
Customers	Displays the Customer(s)
Narrative	Displays the Narrative content

4.3.2 Viewing Case List

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

To view the Case List, follow these steps:

1. Enter the Case ID, Search Criteria, or select views from the Views drop-down list.
2. Click Search. The Case List pane displays.

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

Table 4-4 Case List Components

Column	Description
Title	Displays the title for the case.
Title	Displays the title for the case.
Type	Displays the type of case. For example, AML Surveillance or Account and Product Fraud.
Priority	Displays the priority given to the case under investigation. Case priority displays in different colors that helps you to easily differentiate the cases with high and low priority. The following are the options available: • High (Red) • Medium (Blue) • Low (Green)
Status	Displays the current state of the case compared to its analysis and closure. New, Reopened, and Reassigned statuses display in bold text.

Table 4-4 (Cont.) Case List Components

Column	Description
Assigned To	Displays the user or user pool within the organization to whom a case is assigned.
Status Age	Status Age is the duration, in days, since the last status changing action was taken while compared to the current date. Status Age is becomes null when the case is closed. However, if the case is re- opened it is calculated.
Owner	Displays the name of an individual or user pool who owns the case.
Created	Displays the date when the case is created.
Due Date	Displays the date by which action should be taken on the case. Cases that are Nearly Due display in Blue color. Due Dates that are due or overdue display in bold. Overdue Due Dates are displayed in Red color. The definition of nearly due is a value that is configurable by your firm.
Correlated Events	Displays the number of events which are correlated to the case.
Jurisdiction	Displays the jurisdiction to which the case belongs to.
Business Domain	Displays the business domain to which the case belongs to.
Linked Events	Displays the number of events.
Linked Case	Displays the number of cases.
Last Comment	Displays the comment provided during the last status-changing action.
Created By	Displays the name of an individual or user pool who has created the case.
Age	Displays the age of the case. The case age is the number of calendar days between case creation and the current date.
Score	Displays the score of the case.

3. Click the required Case ID. The Case Summary page is displayed to perform in-depth analyses of individual case.
4. If the selected case is locked, that is, another user has currently accessed the same case, a message displays, informing you that the case is locked by another user. Click OK to view the case details page in view-only mode. You cannot take action on the case. For more information, see [Investigating Cases](#).

4.3.3 Acting on Cases

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

Actions are visible as per your access permissions.

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

Assigning a Case

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

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

Adding Evidence to Cases

You can add attachments and comments to the case.

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

Viewing Workflow

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

For more information on Processing Modelling Framework (PMF), see the [Oracle Financial Services Enterprise Case Management Administration & Configuration Guide](#).

5

Investigating Cases

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

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

5.1 About Case Summary

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

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

Note

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

5.2 Accessing Case Summary Page

This section explains how to access the Case Summary page.

To access the Case Summary page, follow these steps:

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

Note

If the selected case is locked, that is, another user has currently accessed the same case, a message is displayed, informing you that the case is locked by another user. Click OK to view the Case Details page in view-only mode or click Cancel to return to the Case List. You cannot take action on the case.

5.3 Using Case Context

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

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

5.3.1 Viewing Case Context

To view the Case Context, follow these steps:

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

The Case Context fields are configurable. For more information, see the *Adding and Configuring Derived Attribute* section in [Administration and Configuration Guide](#). The following table provides a list of the fields that display in the Case Context section.

Table 5-1 Case Summary Information

Fields	Description
Title	Displays the name of the case. You can modify the title of the case if your role permits.
Case ID	Displays the unique Identifier of the case.
Class	Displays the class of case. For example, AML, Fraud.
Type	Displays the type of case. For example, AML_SURV.
Status	Displays the current state of the case relative to its analysis and closure.
Priority	Displays the priority assigned to the case. For example, High, medium, or low. You can modify the priority of the case if your role permits.
Jurisdiction	Displays the geographical Jurisdiction associated with the case.
Business Domain	Displays the business domains associated with the case.
Created	Displays the date on which the case is created.
RiskScore	Displays the risk score as provided by the system or the override score (applicable only for KYC cases).
Next Periodic Review Date	Displays the next periodic review date as provided by the user during the investigation (applicable only for KYC cases).
KYC Risk Score Expiration	Displays the KYC risk score expiration as provided by the user during investigation (applicable only for KYC cases).
Owner	Displays the name of an individual user or the user group who owns the case.
Owner Organization	Displays the organization that owns the cases.
Due	Displays the date by which action should be taken on the case.
Closed Date	Displays the date when the closing action was taken on the case.
Assignee	Displays the user or group to whom the case is assigned.
Age	Displays the age of the case. The case age is the number of calendar days between case creation and current date.
Score	Displays the score of the case.
Regulatory Report Status	Displays the regulatory report status of the case. For example, Approved for Filing,Closed- No Action, and so on.
Description	Displays the description of the case that gives a high-level insight on the subject matter of the case.
Event Last Added	Displays the date in which the last event was added to the case. The field can be blank until correlation extends the case or an event has been manually added to the case.

5.3.2 Editing Case Context Details

The Edit button is enabled to allow case details to be modified based on user permission.

To edit the Case Context details, follow these steps:

1. Navigate to the Case Context section.
2. Click Case ID. The Case Context section is expanded to view and modify the selected Case ID.
3. Click Edit. The following fields are enabled to modify the case details.
 - Title
 - Priority
 - Description

The following fields are specific to KYC Case types.

- **Risk Score:** Users can edit the risk score provided by the system during the investigation. The overridden risk score is given preference over the system risk score.
- **Risk Score Expiration Date:** User can provide a risk score expiration date which indicates that the overridden risk score for this customer is applicable as on this date.

Note

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

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

For more information on the fields, see [Table 5-1](#) table.

4. Modify the necessary changes and click Save. A confirmation message is displayed.
5. Click OK. The Case Context section is refreshed to display the updated detail.

5.3.3 Viewing Case Edit History

The History button is enabled to provide a record of modified case details.

To view the edit history for a case, follow these steps:

1. Navigate to the Case Context section of a case.
2. Click History. The Case Edit History window displays the record of changes made to this case, including which field was modified, the values which were changed, who made the change and when the change was made.

The Case Edit History can also be accessed by clicking the History link in various **Case Details** tabs. If no changes have been made to this record, an error message is displayed

5.4 Using Operational Data

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

5.4.1 About Operational Data Tabs

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

The following tasks are performed using operational data tabs:

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

5.4.2 Using Narrative

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

About Narrative

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

The following tasks are performed using the Narrative:

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

Creating or Editing a Narrative

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

Note

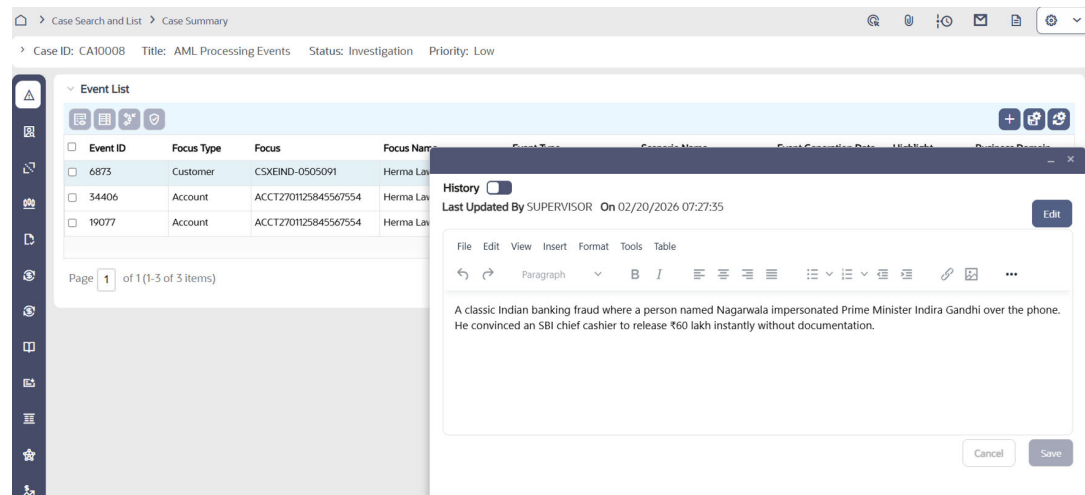
By default, the entry box is blank if the previous narrative is not added.

To create a narrative, follow these steps:

1. Navigate to the Case List page. Select a case for which you want to create a narrative. The Case Summary page is displayed for the selected case.

- Click the Narrative button at the top right side of the screen. The Add Narrative Comment pop-up window is displayed.

Figure 5-1 Add Narrative Comment



- Click Edit. The Text area is enabled. Enter your analysis and format it if required.
- Click **Save**. A confirmation message is displayed indicating that editing the Narrative is successful. The **Edit** button remains enabled even after saving the details.
- Close and open the Narrative window. The system saves your changes, adds the current date to the Last Updated field and, adds your name to the By field in the Narrative section header.

Viewing Narrative History

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

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

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

- Click Narrative button. Add Narrative Comment pop-up window is displayed.
- Enable the History toggle button. The Narrative History window is displayed with the following information for your analysis as described in the following table.

Table 5-2 Narrative History

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

5.4.3 Using Involved Party Tab

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

About Involved Party Tab

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

Figure 5-2 Involved Party Tab

Case ID: CA28780 Title: casereff Status: Investigation Priority: High

Relationship Type	Party Name	Party ID	ID Type	ID Issuing Authority	Tax ID	Date of Birth	Employee	Linked Case C
Witness	GARRY	GARRY	Corporate ID				No	2

Page 1 of 1 (1-1 of 1 items) Records Per Page 10

The following tasks are performed using the Involved Party tab:

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

Viewing Linked Involved Party

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

Viewing Involved Party Details

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

To view linked involved party details, follow these steps:

1. Navigate to the Case Summary page.
2. Click Involved Party tab. By default, involved parties that are linked to the selected case are displayed in a list. You can view Involved Party details - relationship type, party name, party ID, issuing authority, and so on.

3. To view individual Involved Party details, select an Involved Party in the list and click Details link. The Involved Party Details window is displayed with complete information of the selected Involved Party.

Viewing Involved Party History

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

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

1. Navigate to the Involved Party tab.
2. Select a linked involved party from the list and click the History link. The History window is displayed.
3. The History window has the following sections:
 - Edit History: lists any changes that are made to the involved party's profile, such as, name or address change. Records that are modified display as Inactive and original values. The modified and current version of the record display as Active.
 - History of the Involved Parties Linkage to this Case: lists any changes that are made to the involved party's relationship to the case. Records that are modified are displayed as Inactive and original values. The modified and current version of the record display as Active.
 - Other Cases the Involved Party is Linked to: lists all other cases to which the involved party is linked to.

Adding Involved Party

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

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

Adding a New Involved Party Manually

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

1. Navigate to the Involved Party tab.
2. Click Add. The Add Involved Party window is displayed.

Note

By default, the Search Existing Entities radio button option is selected.

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

Figure 5-3 Add Entity Manually

4. Enter details in the fields. To view the field-level description to add a new entity, see [Adding Involved Party](#) for more information.

Note

The fields marked with * (asterisk) are mandatory.

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

Note

The Application saves the new data and associates it to the current case. The window is not closed and allows you to add more entities until you click the **Cancel** button. The window closes and navigates you to the refreshed list of business entities section, and the newly added records display. Also, corresponding audit entries are recorded on the case.

Adding a New Involved Party from Existing Entities

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

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

1. Navigate to the Involved Party tab.
2. Click Add. The Add Involved Party window is displayed. By default, the Search Existing Entities radio button is selected.
3. Enter the required search criteria. For more information about the search conditions that are applicable while search existing entities, see [Search Criteria for Adding Existing Entities](#).
4. Party ID and Party Name fields are mutually exclusive. The Name field supports wildcard and case-insensitive search.
5. Click Search. The relevant search lists are displayed.
6. Go to the Lists section, select the required entity and click Add to Case. A confirmation message is displayed.
7. Click OK. A message is displayed indicating the add operation was successful.
8. Click OK.

① Note

System saves the new data and associates it to the current case. The window is not closed and allows you to add more entities until you click the Cancel button. The window closes and navigates you to the refreshed list of business entities section, and the newly added data is displayed. Also, corresponding audit entries are recorded on the case.

Editing Involved Party

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

To modify existing involved parties, follow these steps:

1. Navigate to the Involved Party tab.
2. Select an involved party. Click Edit. The Edit Involved Party Detail window is displayed.
3. Modify the necessary information in the required fields.
4. Click Save. A confirmation message is displayed. Click Cancel. The window closes and navigates you to the refreshed list of Involved Party. Also, corresponding audit entries are recorded on the case.

Removing Involved Party

To remove existing involved parties, follow these steps:

1. Navigate to the Involved Party tab.
2. Select the required Relationship Type from the list and click Remove. A confirmation message is displayed.

5.4.4 Using Evidence Tab

About Evidence Tab

The following tasks are performed using the Evidence tab:

- View and analyze comments and attachments previously added to the case.
- View and analyze comments and attachments associated with the case that has been added through specific case actions.
- Add new comments or attachments to the case under investigation.
- Evidence has three sections:
 - **Comments:** This section allows you to view the comments added to the case either through the Evidence or added as a part of any actions taken on the case during investigation. The Comments section includes the creation date and time of the comment action, the user who took the action, case status at the time of the comment, and comments added.
 - **Attachment:** The Attachment section allows you to view the attachments added to the case either through the Evidence or added as a part of any actions taken on the case during investigation. It includes the creation date and time of the case action associated with the attachment of the file to the case, the user who took the action, case status at the time of the action or resulting from the action, any comments associated with the action, attachment name, and the Attachment count. When multiple attachments are attached, they appear in separate rows. You can sort the attachment names alphabetically.

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

Note

The attachments sent through the Send Email and Send RFI actions can be seen in the Email and Request For Information section.

Note

The following activities are recorded in Audit History when user:

- * Accesses Evidence tab
- * Downloads attachments

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

Viewing Comments, Attachment, and Email and Request For Information

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

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

1. Navigate to the Case Summary page. Click the Evidence button.
2. Go to Comments or Attachment or Email and Request For Information section. Click Left Arrow button to expand to view the existing Comments or Attachment or Email and Request For Information section for the selected Case ID.
The following table provides a list of columns that the Comments section displays.

Table 5-3 Comments Columns

Column Name	Description
Date and Time	Displays the date on which comments are entered.
By	Displays by whom comments are entered.
Status	Displays the case status at the time of the comment.
Comments	Displays comments provided for this case. Note: In case of detailed comments that cannot fit within the Comments text box: • Mouse over the Comment section to view the full comment. • Double click on the Comment section to expand and scroll through the comment details.

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

Note

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

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

Table 5-4 Attachment Columns

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

The following table provides a list of columns that the Email and Request For Information section displays.

Table 5-5 Email and Request For Information Columns

Column Name	Description
Action	Click the Send Email link to view the email details.
Response Status	Current status of the response.
Sent By	The email address of the logged-in user
Response From	Value is blank when a record is for emails.
Responded Date	Value is blank when a record is for emails.
Sent Date	The Date on which the email was sent.
Questionnaire Details	Details of the questionnaire.
Attachment	Shows the count of attachments sent and received along with the email.
Questionnaire ID	Identification number of the questionnaire.

Adding Comments and Attachment

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

Note

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

The Add Evidence button is available on the top of all tabs.

For more information on adding comments and attachment to the case, see [Adding Evidence](#).

Removing Attachment

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

To remove an attachment, follow these steps:

1. Navigate to the Case Summary page. Click Evidence.
2. Go to the **Attachment** section. Select the Attachment name.
3. Click Remove. The Attachment window is displayed.
4. Enter the comments for removing the selected attachment in the Comments box.

Note

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

5. Click Save. The attachment is removed from the Attachment List for the selected case. For more information on the history of Attachment and the Comments, see [Using Audit History](#).

Viewing Email and Request For Information

The Email and Request For Information section provides details about emails sent to request additional information to include as evidence.

Viewing Send Email Details

After clicking Send Email or RFI, the details of the Email are displayed. The following table describes the Email details:

Table 5-6 Viewing Email Details

Item	Description
Action	Click the SendEmail link to view the email details.
Sent By	The Email address of the logged-in user
Sent Date	The Date on which the email was sent.
Response From	Value is blank when a record is for emails.
Responded Date	Value is blank when a record is for emails.
Details	Value is blank when a record is for emails.
Attachment	Shows the count of attachments sent and received along with the email

Viewing Send RFI Details

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

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

If an RFI request has been canceled or has expired, the page which is displayed upon clicking the Questionnaire link in the email will indicate that the request is invalid.

The following table describes the column details:

Table 5-7 RFI Details

Column Name	Description
Action	Click the SendRFI link to view the RFI details.
Response Status	Status of the RFI. For example, Awaiting Response or Canceled.
Sent By	The Email address of the logged-in user.
Sent Date	The Date on which the RFI was sent. When a response is received, this field displayed the date on which the RFI response was submitted.
Response From	The Email address of the user who has sent the response on RFI.
Responded Date	The Date on which the RFI response was sent.
Details	Click the link to view the questionnaire details, with any attachments included during the questionnaire response. This link will only display for users with appropriate permissions. Contact your system administrator to enable these permissions.
Attachment	Shows the count of attachments sent along with the RFI email.
RFI ID	The unique ID for this RFI.

Cancel RFI

An RFI that has not been responded to can be canceled, such as when an RFI has expired without response and a new RFI must be sent. RFIs do not need to be expired to be canceled.

Note

This feature requires **CMRFICNCL** permissions. Contact your system administrator to enable these permissions.

To cancel an RFI, follow these steps:

1. In the Email and Request for Information section, select the check box of one or more RFIs. If the RFI has been responded to, an error message will display.
2. Click Cancel RFI. A confirmation message is displayed.
3. Click Yes to cancel the RFI. The Audit History will be updated to provide details of the canceled RFI. The case status will change once all Pending RFIs on that case have been canceled.

5.4.5 Using Order Tab

About Order Tab

The Order tab provides information about any orders that are associated with this case. Investigators can use order data to understand customer motivations and risk through examination of sale and purchase patterns, employee or trader motivations through examination of trading in possible reaction to customer order placement or through examination of trading in reaction to market conditions.

The Order tab has the following sections:

- List of Orders
- Order Details
- Order Events
- Executions

The following tasks are performed using the Order tab:

- View and analyze the orders that are associated with the case.
- Retrieve detailed information for the orders.
- View and analyze the order events that are associated with the case.
- View and analyze the executions that are associated with the orders.

List of Orders

The List of Orders section provides information about the orders that are associated with this case.

Viewing Order Details

The Details section provides detailed information about the selected order.

To view more details about the order, follow these steps:

1. Select the check box associated with the order in the List of Orders.
2. Click View Order Details.
The details for the selected order are displayed in the Details section.

Viewing Order Events

The Order Events tab section displays the list of order events associated with this case.

Viewing Executions

The Executions tab section displays the list of order executions associated with this case. Investigators can use this information to understand trader performance through examination of the order execution process.

5.4.6 Using Execution Tab

About Execution Tab

The Executions tab displays information about the trades and executions associated with the selected case. These include trades that, operationally, involve the firm as the buyer, the seller, or the agent on the trade.

The following tasks are performed using the Executions tab:

- View and analyze the executions that are associated with the case.
- Retrieve detailed information for the executions.
- View and analyze the execution events that are associated with the case.

List of Executions

The List of Executions provides information about all executions that are associated with the case.

Viewing Execution Details

The Execution Details section provides detailed information about the selected execution.

To view more details about the execution, follow these steps:

1. Select the check box associated with the execution in the List of Executions.
2. Click View Execution Details.
The details for the selected execution are displayed in the Details section.

Viewing Execution Events

The Execution Events section provides information about all execution events that are associated with the case.

5.4.7 Using Trade Tab

About Trade Tab

The Trade tab displays information about the trades, trade events, and trade allocations associated with the selected case. Trade-related data is used primarily to monitor the performance and trading activities of a customer or an employee.

The following tasks are performed using the Executions tab:

- View and analyze the trades that are associated with the case.
- Retrieve detailed information for the trades.
- View and analyze the trade events that are associated with the case.
- View and analyze the trade allocations that are associated with the case.

List of Trades

The List of Trades provides information about all trades that are associated with the case.

You can also add, search, view, delete, and export the trade details by clicking the respective icons available in the List of Trades grid. These actions are recorded in the case Audit History.

To add a trade record to the case, follow these steps:

1. Click the Add icon in the List of Trades grid.
The Add Trades page is displayed.
2. Search the record using the mandatory and any one of other fields:
 - Trade ID: Use one or multiple IDs separated by commas.
 - Security ID: Use one or multiple IDs separated by commas.
 - Last Buyer ID: Use one or multiple IDs separated by commas.
 - Last Seller ID: Use one or multiple IDs separated by commas.
 - Trade Date from and To: Enter a date. This is a mandatory field. However, if Trade ID is entered this is not a mandatory field.
3. Click Search.
The corresponding records are displayed in the List of Trades grid.
4. Select one or multiple records and click the Add icon.

Viewing Trade Details

The Trade Details section provides detailed information about the selected trade.

To view more details about the trade, follow these steps:

1. Select the check box associated with the trade in the List of Trades.
2. Click View Trade Details.
The details for the selected trade are displayed in the Details section.

Viewing Trade Events

The Trade Events section provides information about all trade events that are associated with the trade.

Viewing Trade Allocations

The Trade Allocations section provides information about all trade allocations that are associated with the trade.

5.4.8 Using Correlation Tab

About Correlation Tab

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

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

Figure 5-4 Correlation tab

Source Event ID	Source Event Focus	Source Event Scenario	Target Event ID	Target Focus	Target Event Scenario	Common Entity
ECMRT70N14658101	Account	(CJAC) Surpassing Thresholds in Restricted Lists	ECMRT70N14658101	Account	(CJAC) Surpassing Thresholds in Restricted Lists	ACCT72010284507055
ECMRT70N14658102	Customer	(CJAC) Trading Ahead of Material Event	ECMRT70N14658102	Customer	(CJAC) Trading Ahead of Material Event	RUGDA43529
ECMRT70N14658103	External Entity	(CJAC) Surpassing Thresholds in Restricted Lists	ECMRT70N14658103	External Entity	(CJAC) Surpassing Thresholds in Restricted Lists	9988
ECMRT70N15358102	Account	(CJAC) Surpassing Thresholds in Restricted Lists	ECMRT70N15358102	Account	(CJAC) Surpassing Thresholds in Restricted Lists	ACCR3840-005
ECMRT70N15358103	Account	(CJAC) Surpassing Thresholds in Restricted Lists	ECMRT70N15358103	Account	(CJAC) Surpassing Thresholds in Restricted Lists	ACTR10NAPF02AC-002

Event ID	Event Type	Focus	Focus Entity	Scenario	Created Date	Decision
ECMRT70N14658101	Account	King Schwell	ACCT72010284507055	(CJAC) Surpassing Thresholds in Restricted Lists	25/01/2024	
ECMRT70N14658102	Customer	ULTIMATUM CAMERON CO/6	RUGDA43529	(CJAC) Trading Ahead of Material Event	25/01/2024	
ECMRT70N14658103	External Entity	GARRY	9988	(CJAC) Surpassing Thresholds in Restricted Lists	25/01/2024	
ECMRT70N15358102	Account	PAUL	ACCR3840-005	(CJAC) Surpassing Thresholds in Restricted Lists	25/01/2024	
ECMRT70N15358103	Account	ROCK	ACTR10NAPF02AC-002	(CJAC) Surpassing Thresholds in Restricted Lists	02/02/2024	

Entity	Entity Type	Total # of Correlated Events	Relationships
ACCT72010284507055	Account	4	Self - Focus

Viewing Correlation Details

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

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

Viewing Correlation

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

The Correlation section is displayed only when the case was created due to promotion of events. If the case is manually created, this section is collapsed and does not possess any correlation information. A message is displayed, indicating that no source correlation is associated with this case.

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

To view source and target correlation details, follow these steps:

1. Navigate to the Case Summary page.
2. Click the Correlation tab. Go to the Correlation section. The following correlation details are displayed as described in the following table.

Table 5-8 Correlation

Column Name	Description
Source Event ID	Displays the source event ID.
Source Event Focus	Displays the focus of source event. For example, Account
Source Focal Entity	Displays the focal entity of source event
Source Event Scenario	Displays the scenario of the source event ID.
Target Event ID	Displays the target event ID.
Target Focus	Displays the focus of target event
Target Focal Entity	Displays the focal entity of target event
Target Event Scenario	Displays the scenario of the target event ID.
Common Entity	Displays the common entity of source and target
Common Entity Type	Displays the common entity type of source and target
Source to Common Entity Relation	Displays the relation of the common entity with source focus.
Target to Common Entity Relation	Displays the relationship through which the source and target events are correlated.

Note

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

3. Click Ok.

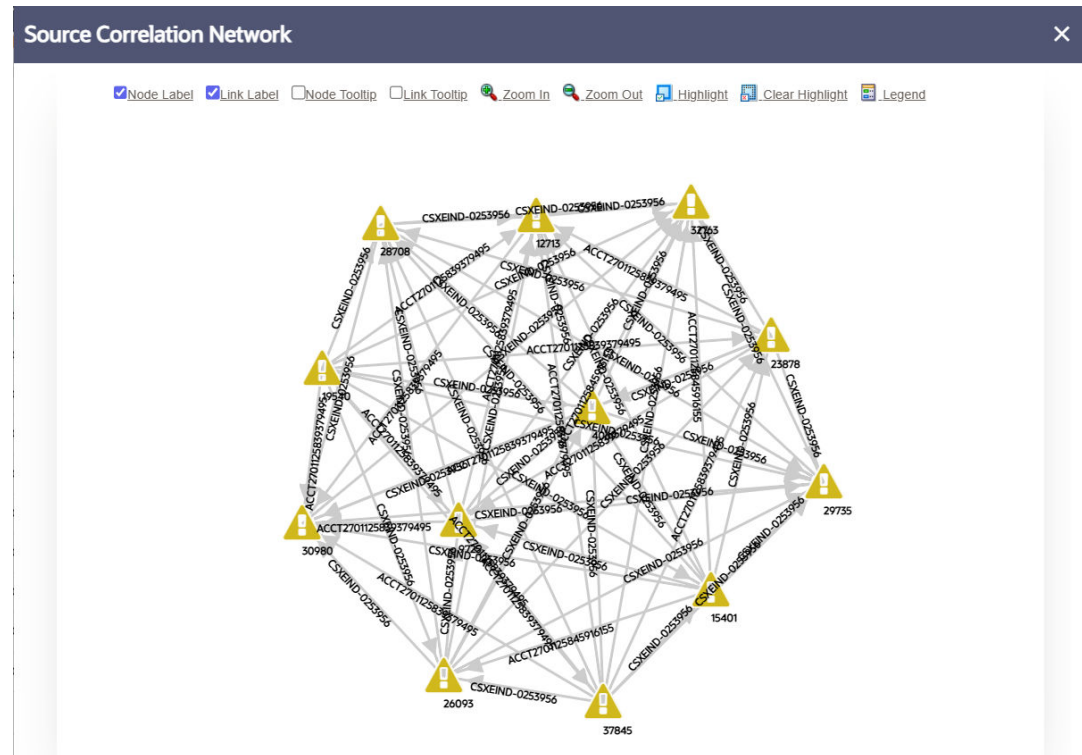
Viewing Correlation Network

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

The Network Visualization graph displays the following grids.

To view the correlation network, follow these steps:

1. Navigate to the Case Summary page
2. Click Correlation tab.
Go to the Correlation section.
3. Click **Correlation Network**.
The Correlation Network page is displayed.

Figure 5-5 Source Correlation Network

For more information on how to view Correlation Network using various features, see [Using Network Graph](#).

To view the linked events, follow these steps:

1. Navigate to the Case Summary page.
2. Click Correlation tab. Go to the Correlated Events section.
The following table describes the correlated events details.

Table 5-9 Linked Events

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

Table 5-9 (Cont.) Linked Events

Column Name	Description
Decision	Displays the decision status of the linked event ID.

Viewing Business Data Correlation

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

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

To view the business data correlation, follow these steps:

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

Table 5-10 Business Data Correlation

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

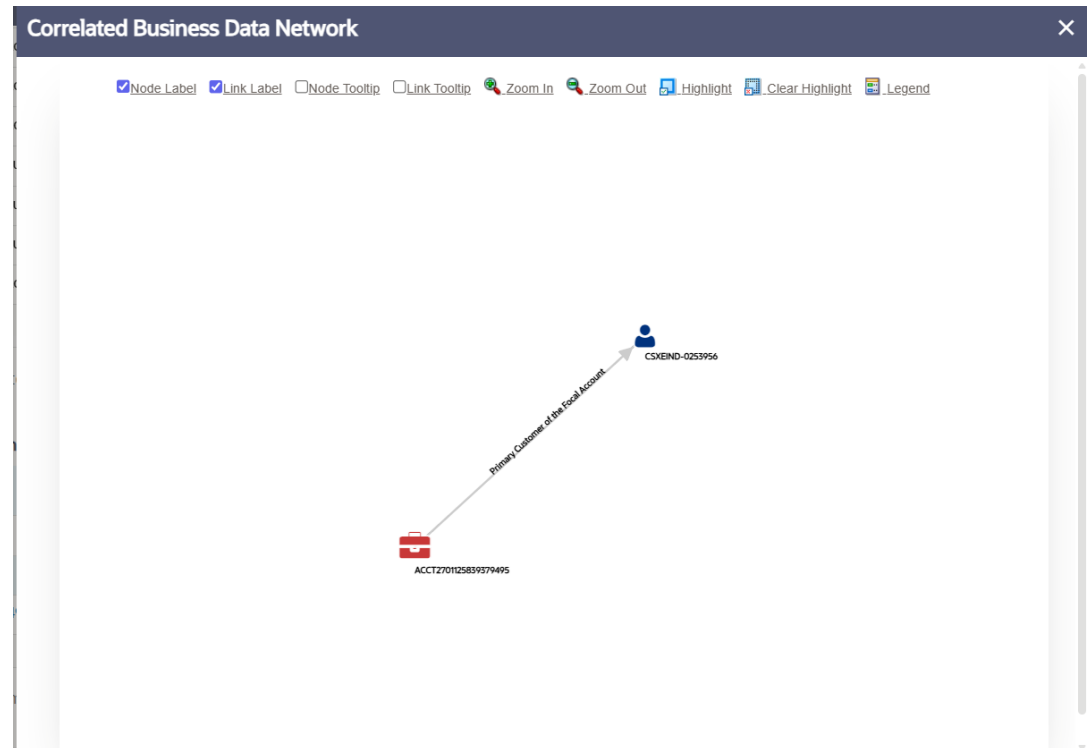
3. Click Entity link. The Entity details window is displayed with the complete details of the corresponding entity.

Viewing Business Data Correlation Network

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

To view business data correlation network, follow these steps:

1. Navigate to the Case Summary page.
2. Click Correlation tab. Go to the Business Data Correlation section.
3. Click the Business Data Correlation Network. The Business Data Correlation Network page is displayed.

Figure 5-6 Correlated Business Data Network screen

For more information on how to view Business Data Correlation Network using various features, see [Using Network Graph](#).

Viewing Linked Events

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

5.4.9 Using Network Analysis Tab

About Network Analysis Tab

Note

To view network graphs in the Network Analysis tab, the User Role must be mapped with the Case Network Tab function (CMNETTB).

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

Note

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

Filtering Network Analysis

To filter network analysis information, follow these steps:

1. Navigate to the Network Analysis tab. Go to the LHS section.
2. Enter the following information in the respective fields as described in the following table.

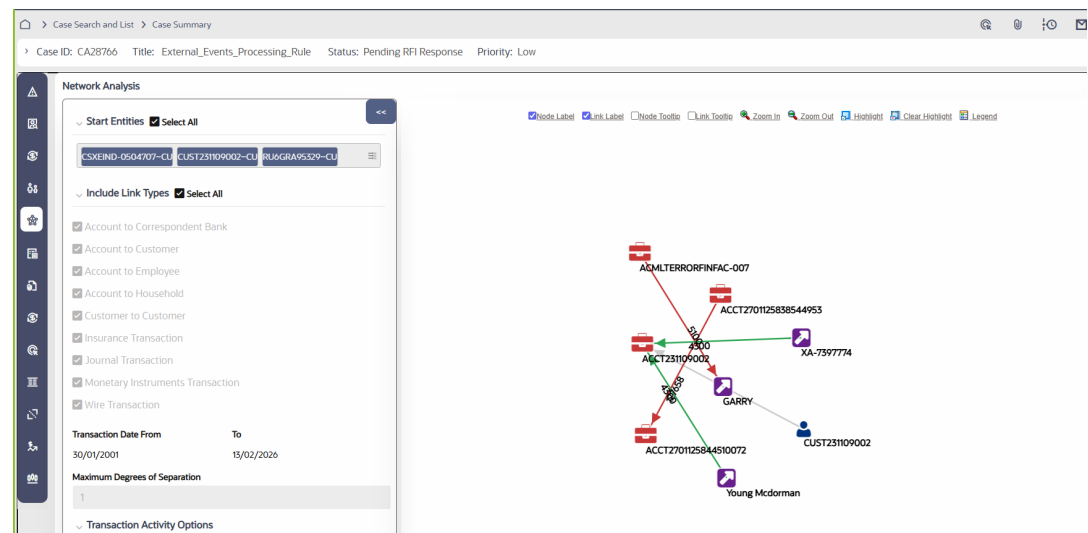
Table 5-11 Filtering Network Analysis

Field	Description
Start Entities	Select entities from the Start Entities list. Or, click Select All to select all entities. Use the start entities list to build the network around entities associated with the event. These entities are considered the starting point of the network. The following entity types are displayed based on which entities are associated with the events. • Accounts • Customers • Households • External Entity • Employee • Correspondent Banks If the Case has one or more linked events, then use the entity ID(s) from each populated business tab (that is, Account, Customer, Correspondent Bank, Employee, External Entity, and Household) that are not already represented by an events focal ID as a possible starting entity. If the Case does not have one or more linked events: Use the entity ID(s) from each populated business tab (that is, Account, Customer, Correspondent Bank, Employee, External Entity and Household) as a starting entity. The entities are highlighted in the Network Graph.

Table 5-11 (Cont.) Filtering Network Analysis

Field	Description
Include Link Types	Select the links from Include Link Types (Account to Customer, Account to Employee, and so on). Or, click Select All to select all links. The Link Types List contains all the valid links, or relationship types, that are identified between two nodes (entities) in the Network Graph. The links are created based on Shared Activity and Known Relationship between two nodes. For more information on Link Types, see Table 18-12. Selecting a Link Type displays links of the selected type in the graph. For example, the Account to Household link type discovers accounts or household nodes. Some of the Link Type and Starting Entity combinations may result in no results being returned. For example, selecting only a Household entity in the Entity Name list and selecting Wire Transaction in the Include Link Types list returns no nodes other than the starting Household entity. This is because transactions do not focus on household entities. Valid Entity-Link Types provides the Valid Link Types for each node. The system uses this information to find the most recent information to determine known relationships and shared attributes. For more information, see Known Relationship Identification.

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

Figure 5-7 Network Analysis

Using Network Graph

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

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

To view Network Graph, follow these steps:

1. Navigate to the Network Analysis tab.
2. Go to the LHS section and filter the Network Graph based on your requirements. The Network Graph is displayed.
3. Select the following components to view network graphs as described in the following table.

Note

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

Table 5-12 Network Graph

Field	Description
Node Label	The Node Label displays in the following format: Node Type, Node ID. Node Type represents the type of entity it is. Node ID represents the identifier of the entity represented by this node.
Link Label	The middle of each link is labeled with the sum of the amount of all transactional links between the nodes. That is if there is a transaction between the nodes, such as a transfer of funds from one account to another, the total amount of all transactions, across all transactions types, between these nodes are displayed. When the links between nodes are non- transactional links, the Link Label does not display.
Node Tool-tip	A node tool tip displays the following information. • Node Type: The type of entity. • Node ID: The identifier of the entity represented by this node. • Total Amount: Sum of the transaction amounts of all links involving this node within the network. • Incoming Amount: Sum of the transaction amounts of all links going into this node within the network. • Outgoing Amount: Sum of the transaction amounts of all links going out of this node within the network.
Link Tool-tip	A link tool tip displays the following information: • <From Node> • Known Relationships
Zoom In	You can also use your mouse wheel to zoom out.

Table 5-12 (Cont.) Network Graph

Field	Description
Zoom Out	You can also use your mouse wheel to zoom in.
Highlight	This allows a user to locate nodes and links on the network graph. This window displays two radio buttons - Node and Link. The radio buttons allow the user to switch the context of the search between locating Nodes and Links. - To locate a Node, select the Node radio button. - To locate a Link, select the Link radio button. When you are searching using this text box, the system uses the following mapping to find matching node (s) and link (s) on the graph. For example, you are searching in the context of a node and enters the value "AC123" in this text box. To find the matching nodes, the system should compare "AC123" to all the nodes on the graph (all node records retrieved as a result of the basic filter search should be in the cache). And within each record, use this mapping (for example, Account Internal ID on an Account record) to find the applicable nodes.
Clear Highlight	Click this option to clear all visual distinctions made on the graph as a result of using the Highlight feature.
Legend	This provides a dynamic indicator of the nodes and links that are visible in the graph.

Using Node Menu

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

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

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

To view Node Menu, follow these steps:

1. Navigate to the RHS menu.
2. Go to the required Node and right-click.

The Node menu is displayed. The Node menu displays the following options:

- Collapse: This hides all outgoing links (nodes to which these outgoing links are connecting) from the node being collapsed. The node icon changes when a node is collapsed.

- **View Node Details:** This opens a window that displays the current information associated with the selected node. You can interact with the main application window that displays the graph while this window is open. At any given time, only one window can be open for a particular node. If you select to view node details of a node for which a Node Details window is already open, an error message is displayed.

5.4.10 Using Relationship Tab

About Relationship Tab

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

The following tasks are performed using the Relationship tab:

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

Note

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

Managing Related Cases

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

About Related Cases

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

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

- The Related Cases section visually distinguishes cases that are manually linked to the current case from those that are related to the current case through common business entities.
- The Case ID link in Related Case section allows you to view the following details of the related case: Event Details tab, Evidence (including comments, attachments, Email, and RFI), Narrative, and Audit History.
- The User Linked column in the Related Cases section displays Yes when you manually link a case to the current case by performing the Link action and displays No when the system links the case (as part of correlation promotion to a case).

- The Linked column in Related Cases section displays, relationship type. For example, Linked, Merged or Closed Duplicate. If the case is related as a result of being linked and displays No when the case is considered related to the current case by a business association but has not been linked to the current case.

Note

Related cases are not displayed if they are created after the closure of the selected case.

Using Links

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

Case Supervisor and Case Analyst can link a case.

Linking or Merging Case

This section allows you to link and merge cases to the current case. You can link cases to one another, merge case to one another, and close cases as duplicate for the related cases. All the information, including events, business entities, narrative, comments, and attachments of child case are copied to the parent case.

Note

When you merge a Child case, the events of the Child case will not be copied over to the Parent case if the Parent case does not have an event mapped to it.

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

To link and merge cases to current case, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Cases section.
2. Select Case ID or IDs.
3. Click Link/Merge. The Link Cases window is displayed.
4. Enter the following information in the respective fields as described in the following table.

Table 5-13 Link Case

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

Note

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

Note

Merge action on cases can be controlled or restricted on the Security attributes of the cases selected for merge and this based on the configuration. For more information, see the *Merging Cases* section in the [Oracle Financial Services Enterprise Case Management Administration and Configuration Guide](#).

5. Click **Save**. A confirmation message is displayed. The selected cases will be linked and merged with the current cases. Click **OK** to save the changes.
6. Click **OK**. The window closes and navigates you to the refreshed list of Related Cases, and the updated records are displayed. Also, corresponding audit entries are recorded on the case.
 - a. If you select Link action, No information is transferred to the selected case. The action is recorded in the Audit History as a Link Case for the current case and the selected related cases, with the case ID attached to the Comments section of the Audit tab for the parent and child cases.

This action does not affect the status of the cases. If you select Merge action, the selected related cases are merged to the current case, and the information is transferred. The system records the action as Merged Case Linked (Case Linked and Merged) for the current case and Merged Case for the merged cases. The status of the merged case changes to Closed- Merged, if the present status is not Closed, else the status remains as Closed. This action does not change the status of the current case.
 - b. You can see merged attachments and comments in the Evidence and Audit History of the parent case. You can view the comments on the Evidence tab or through Audit History. Once you confirm Close-Duplicate action, the system records the action as Duplicate Case Linked for the current case and Closed Duplicate for the selected cases in the Audit history. This action does not have any change the status of the current case, but changes the status of the selected cases to Closed-Duplicate.

Note

For merged cases, accounts related to the customer will not be filtered based on the Account Role configuration done in the Manage Common Parameters section. Only the accounts and customers on the child case are added to the parent. No additional accounts are added.

Unlinking Case

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

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

To unlink cases to the current case, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Cases section.
2. Select only those cases which are already linked by the user with Link status Linked.

3. Click Unlink Cases. The Unlink Cases window is displayed.
4. Enter comments to unlink the selected Case ID(s).
The Updated Related Cases section appears after a confirmation message indicating that the action was completed on the selected Case(s).

Note

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

Adding Cases

If your role permits (not only role, the security attribute mapping also matters) you can search for any case record by Case ID for the purpose of adding additional case links to the current case.

To add cases, follow these steps:

1. Navigate to the Relationship tab. Go to the Related Cases section.
2. Click Add Cases. The Add Cases window is displayed.
3. Enter the Case IDs, Domain, Title, Type, Created From/To, or Jurisdiction in the Case Search fields.
4. Use a comma to separate Case IDs.
5. Click Search. The required case details are displayed.
6. Select the required case IDs and Click Link/Merge.
For more information on linking cases, see [Linking Events](#).

Viewing Relationship Reason

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

To view the relationship reason, follow these steps:

1. Navigate to the Relationship tab.
2. Go to the Related Cases section.
3. Select the Case ID using the corresponding check-box.
4. Click Reason. The Reason for Relationship window is displayed. This window shows the ID, Name, and Type of Entity.

Managing Related Events

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

About Related Events

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

For Case A, all events which are focused on the same business entity ID as that of Case A are considered as related events. For example, if an event and a case are focused on the same

customer ID or account ID or any other business entity ID applicable in the Enterprise Case Management, then they are considered as related.

In the Related Events section, the user Linked column visually distinguishes events that have been manually linked to the current case from those that are related to the current case through common business entities. The User Linked column displays Yes when the linking of the events to the case was performed by a user taking a link action, It displays No when the action to link the events is performed by the system (as part of events promotion and correlation promotion to a case). In the Related Events section, the Linked column has a value Yes if the event is related by virtue of being linked, No when the event is considered related but not linked. In the Related Events section, the Last Status column provides the last closing or status changing action for events which were previously mispositioned and then migrated.

Note

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

Filtering Events

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

You can filter events based on the following search criteria:

- Association
- Jurisdiction
- Domain
- Scenario
- Focus

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

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

Using Links

Linking Events

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

To link events to the current case, follow these steps:

1. Navigate to the Relationship tab.
2. Go to the Related Events section.
3. Select Event ID or IDs.
4. Click Link Events. The Link Events window is displayed. Enter the following information in the respective fields as described in the following table.

Table 5-14 Link Event

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

5. Click Save. A confirmation message is displayed.
6. Click OK to save the changes. The selected events will be linked with the current cases. The refreshed list of Related Events and updated records are displayed, and corresponding audit entries are recorded on the case.
7. If you select Link action, no information is transferred to the selected case. The system records the action as Link Event for the current case and the selected related events in the audit history with the case ID appended in the comments section in the Audit tab. This action does not affect the status of the cases.

Note

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

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

When the transfer event information is in synchronous mode, the system processes data transfer while you wait and is unavailable for additional actions until the transfer is completed. The system displays messages for Successful and Unsuccessful data transfer. When the data transfer is successful, a confirmation message is displayed.

When the data transfer is unsuccessful, an error message is displayed indicating that the selected events and cases were linked, but an error occurred during the requested transfer of event information to the case.

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

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

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

Unlinking Events

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

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

To unlink events to the current case, follow these steps:

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

Note

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

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

Adding Events

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

To add events, follow these steps:

1. Navigate to the Relationship tab.
2. Go to the Related Events section.
3. Click Add Events. The Add Events window is displayed.
4. Enter the Event IDs, Jurisdiction, Focus Name, Domain, Focus, Created From/To, or Scenario in the Event Search fields.
5. Use a comma to separate Event IDs.
6. Click Search. The required event details are displayed.
7. Select the required event IDs and Click Link Event. For more information on linking cases, see [Linking Events](#).

Viewing Event Details

To view the Event Details, follow these steps:

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

5.5 Using Audit History

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

About Audit History

The following tasks are performed using the Audit History:

- View and analyze of all changes which are performed on the case.
- Filter audit history of the case by using search criteria such as view-only actions, entity changes, Attachments Included, Status changing action, and linking actions.
- View and analyze actions previously performed on the current case by the system or user.
- View and analyze the date and time of the case action, status, and so on.
- View and analyze the attachment pertaining to the case.
- View and analyze the RFI details. This includes the User name, Date and Time, Action (RFI Sent), Assignee/Owner, Resulting Status (such as Pending RFI Response), Comments, and Attachment.
- Export audit information in Excel or CSV format.

Viewing the Case Type Updates

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

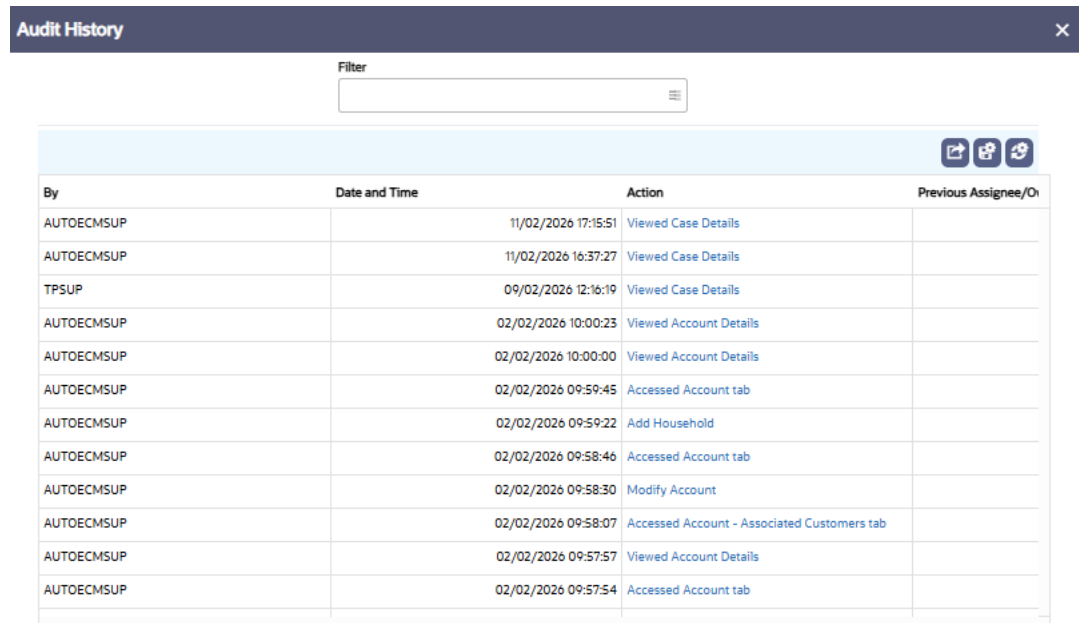
Downloading Attachments

When user downloads attachments from the Evidence tab or audit tab, the Audit History has an entry about this download.

Filtering and Viewing Audit History Details

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

1. Navigate to the Case Summary page.
2. Click the Audit History button. The Audit pop-up window is displayed.

Figure 5-8 Audit History page


The screenshot shows the 'Audit History' page with a filter input and a table of audit records. The table has four columns: 'By', 'Date and Time', 'Action', and 'Previous Assignee/On'. The 'Action' column contains links to various case details and account information.

By	Date and Time	Action	Previous Assignee/On
AUTOECMSUP	11/02/2026 17:15:51	Viewed Case Details	
AUTOECMSUP	11/02/2026 16:37:27	Viewed Case Details	
TPSUP	09/02/2026 12:16:19	Viewed Case Details	
AUTOECMSUP	02/02/2026 10:00:23	Viewed Account Details	
AUTOECMSUP	02/02/2026 10:00:00	Viewed Account Details	
AUTOECMSUP	02/02/2026 09:59:45	Accessed Account tab	
AUTOECMSUP	02/02/2026 09:59:22	Add Household	
AUTOECMSUP	02/02/2026 09:58:46	Accessed Account tab	
AUTOECMSUP	02/02/2026 09:58:30	Modify Account	
AUTOECMSUP	02/02/2026 09:58:07	Accessed Account - Associated Customers tab	
AUTOECMSUP	02/02/2026 09:57:57	Viewed Account Details	
AUTOECMSUP	02/02/2026 09:57:54	Accessed Account tab	

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

Table 5-15 Audit Filter Criteria

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

3. Select one or more filter criteria. Based on your selection, the respective records are displayed as a list in the columns.

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

Table 5-16 Audit Columns

Column Name	Description
By	Displays either the user name or system, based on the action performed.
Date and Time	Displays the date and time on which the action was performed.
Action	Displays the type of action performed. For example, Add Customer, Modify Customer, viewed, commented, and added document.
Previous Assignee/ Owner	When there is the change in assignment, it column displays the owner's name to whom the case was assigned to originally.
Assignee/Owner	When there is the change in assignment, it column displays the owner's name to whom the case was reassigned.
Resulting Status	Displays the type of the resulting status due to that action.
Comments	Displays comments provided for each action taken by the user. The standard comments are followed by free text comments when both types of comments are provided. Note: In case of detailed comments that cannot fit within the Comments text box: • Mouse over the Comment section to view the full comment. • Double click on the Comment section to expand and scroll through the comment details.
Attachments	Displays the number of attached files with a link to open the attachment.

4. To view the attachment, click the Attachment link. The Attachment List window is displayed. The Attachment List window is not displayed if the attachment is only one. It directly downloads the attachment.
5. Click on Document link. The attached document displays.

Viewing Email Details

To view the email details, follow these steps:

1. After clicking on the action item as Email Sent link, the content of the email displays. This includes the following details:
 - To: email address of the user who sent the email
 - CC and BCC: email address or addresses of the recipients to whom you want to send the copy of the email
 - Subject: subject regarding the email
 - Content of body
2. The count of attachments sent along the email is also displayed in the Attachment column.

Viewing the RFI Details

To view the RFI details, follow these steps:

1. After clicking Send Email/RFI, the content of the RFI displays. This includes the following details:
 - To: email address of the user who sent the RFI email
 - BCC: email address or addresses of the RFI email recipients
 - Subject: specifies the email subject. If the **RFI Additional Parameters** option is configured to override the default subject, the subject displays either the Case ID or, if applicable, the related entity information.
 - Comments: this includes customers or external entities associated with the RFI
 - Content of body
2. The count of attachments sent along the RFI email is also displayed in Attachment column.

Exporting Audit History Details

If your user role permits, you can export audit history information in PDF, Excel, or CSV format. To export audit history information, see [Appendix A: Common Features](#).

5.6 Using Business Data Tabs

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

Note

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

5.6.1 About Business Data Tabs

- Case investigations are typically associated with some type of business entity, such as an Account, Customer, Household or Correspondent Bank.
- Business tabs help the users in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information) to aid in the analysis of a case.
- The Business tabs display conditionally based on the case type.
- The Business tabs are divided into two sections
- Entity List: this section lists the business entities that are associated with the current case.
- Entity Details: furnishes complete information of the selected entity.
- Business entities can be associated with a case in one of three ways.
- They can be manually added to the case using the Add feature available on most business tabs.
- They can be associated with a case based on their association with one or more events that are linked to the current case at some point after the case's creation.

By default, the business entities section displays five records as shown in the following table.

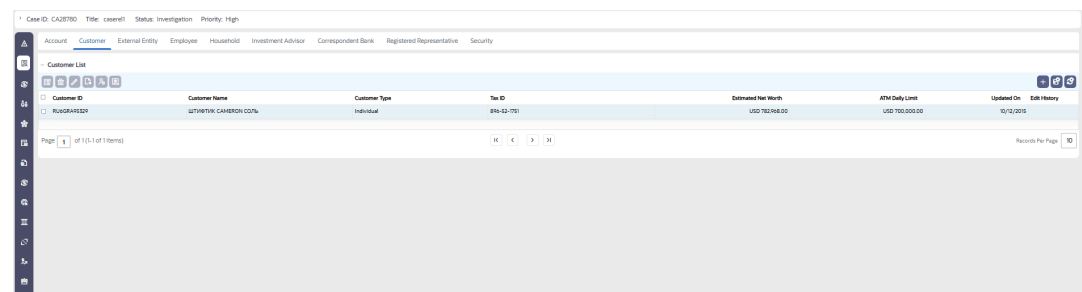
Table 5-17 Business Tabs Display

Tabs	AntiMoney Laundering	KYC	Fraud	Employee Fraud	Customer Screening
Account	X	X	X		
Customer	X	X	X		
Household	X		X		
External Entity	X		X		
Correspondent Bank	X				
Employee			X	X	
Investment Advisor	X		X		
Transactions	X		X		
Financials			X		
KYC Risk Score		X			
Customer Screening					X

5.6.1.1 Accessing Business Data Tab

To access business data tabs, follow these steps:

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

Figure 5-9 Case Summary

5.6.1.2 Using Event Details Tab

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

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

The Events details tab has the following sections:

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

5.6.1.3 Viewing Event Details and Statement View

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

To view the event details, follow these steps:

1. Navigate to the Events Details tab.
2. Select the required Event ID.

Figure 5-10 Event Details screen

Event ID	Focus Type	Focus	Focus Name	Event Type	Scenario Name	Event Generation Date	Highlight	Business Domain	Join
SCMTT7702014022	Account	ACTRUMAPTRISAC-002	ROCK	AML	CRAC Surpassing Thresholds in Real...	02/02/2020	HL	GEN/NOT RE/PC	AME
SCMTT7702014022	Account	ACCR0040-005	PAUL	AML	CRAC Surpassing Thresholds in Real...	23/01/2020	HL	RE/PC	AME
SCMTT7702014022	External Entity	GARRY	GARRY	AML	CRAC Surpassing Thresholds in Real...	23/01/2020	TEST	GEN	AME
SCMTT7702014022	Customer	RUG0040020	UTTERTON CAMERON COO	AML	CRAC Trading Ahead of Material Event	23/01/2020	HL	GEN	AME
SCMTT7702014022	Account	ACCT2701004007063	King Schell	AML	CRAC Surpassing Thresholds in Real...	23/01/2020	HL	GEN	AME

3. Click View Event Details. The following related events details are displayed in different sections:
 - Account
 - Account Balance
 - Account Management
 - Account Summary
 - Anticipatory Profile
 - Back Office Transaction
 - Cash, Dep/WD, POS Transaction
 - MI Transaction
 - Customer
 - External Entity
 - Fund Transfer / Electronic Transaction
 - Investment Advisor
 - Trade
 - Correspondent Bank
 - Correspondent Bank Summary

- Derived Address
 - Household Balance
 - Household Summary
 - Loan
 - Loan Summary
 - Account ATM Daily Profile
 - Customer Account Position
 - Employee
 - Household Group
 - Orders
 - Fixed Income Security (FI)
 - Equity or Mutual Fund Security
 - Security
 - Option or Future Security
 - Preferred Security
4. Click Statement View. The Statement View window for the selected event displays.

Note

- The Statement View displays only if your implementation includes FCCM Analytics.
- You must provide a Fully Qualified host name.

If Event Details tab is mapped to the case type and there are Events on the case, only then you can print the Event details into PDF.

To print the PDF:

- a. Click the **Print** tab on the Case Summary page.
The Print page is displayed.
- b. To view the Event details, select Event Details from the drop-down menu and then click **View PDF**.

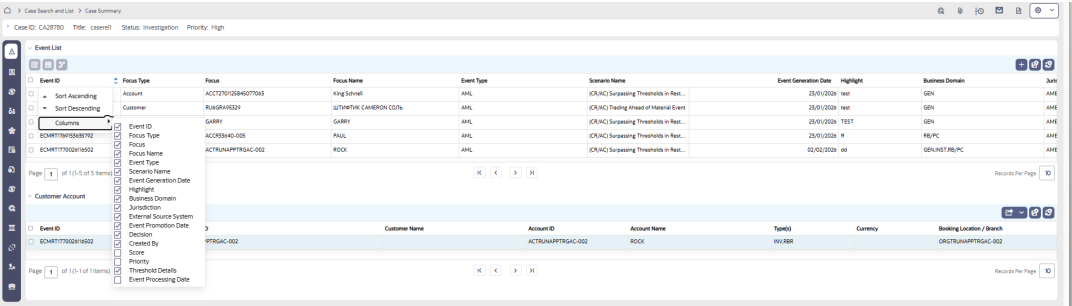
5.6.1.4 Viewing Threshold Details

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

To view the threshold details, follow these steps:

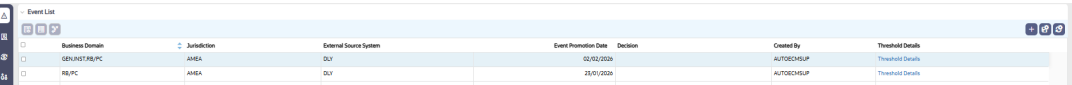
1. Navigate to the Events Details tab.
2. Right-click the **Event ID**, and then **Click Columns**, and then **Select Threshold Details** check box.

Figure 5-11 Event Details Screen

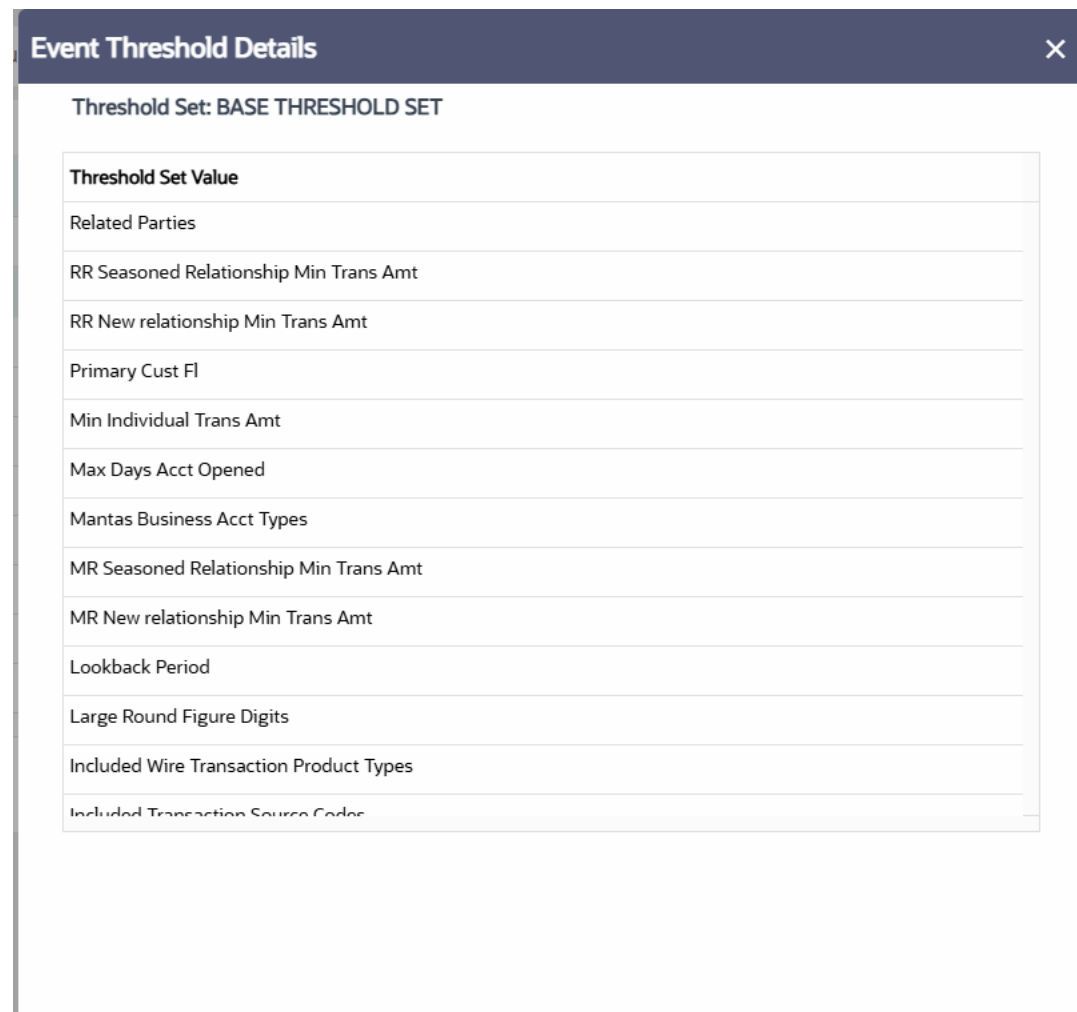


3. Click Threshold Details link.

Figure 5-12 Event Details screen



The Threshold Details display.

Figure 5-13 Threshold Details

The screenshot shows a window titled "Event Threshold Details" with a close button (X) in the top right corner. Below the title bar, it says "Threshold Set: BASE THRESHOLD SET". A table lists various threshold set values:

Threshold Set Value
Related Parties
RR Seasoned Relationship Min Trans Amt
RR New relationship Min Trans Amt
Primary Cust FI
Min Individual Trans Amt
Max Days Acct Opened
Mantas Business Acct Types
MR Seasoned Relationship Min Trans Amt
MR New relationship Min Trans Amt
Lookback Period
Large Round Figure Digits
Included Wire Transaction Product Types
Included Transaction Source Codes

5.6.1.5 Adding Events

This section allows you to add events manually.

Note

Events can be added to cases in Closed status, depending on your implementation's masking rules configuration. Contact your administrator to enable this button.

To add an event, follow these steps:

1. Navigate to the Events Details tab.
2. Click Add Event icon. The Add Event window displays.

Figure 5-14 Add Event window

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

Note

When an event is added, the main details of the entities associated with the event will be added to the case. Additional details may be displayed based on your implementation's configuration. Contact your administrator to display this information.

For more information, see [Creating Events](#).

5.6.1.6 Setting Event Decision

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

To set event decision, follow these steps:

1. Navigate to the Events Details tab.
2. Select the one or more required Event IDs.
3. Click **Set Event Decision**. The Set Event Decision window displays.

Figure 5-15 Set Event Decision screen

Set Event Decision

Selected Events

ECMRT1770026116502,ECMRT1769153635792

Select Decision *

Standard Comments

Please select ...

Comments

Cancel Save

4. Select the decision from the drop-down list.
 - Relevant
 - Not Relevant
 - Suppress Future Events

Note

The Suppress Future Events option in the Select Decision drop-down list will only display for users with a Designate Suppression Rule permission. Contact your administrator to enable this permission.

When the Suppress Future Events option is selected, the following non-mandatory fields are displayed:

Condition: In the Suppression Condition fields, specify a binding name and value pair associated with the current event from the Condition drop-down list, the binding operator drop-down list and the value text box.

The conditional operator and values are auto populated based on the Condition selected. However, you can select other options from the drop-down lists.

All these fields can have a value or be blank.

The condition fields are displayed only when a single Event is selected.

5. Select the Standard Comment from the drop-down list. By default, following four standard comments are provided for the AML and FRAUD Case types.
 - Based on Account Type
 - Based on Customer Type
 - Will be evaluated for Suppression
 - Will be evaluated for Auto-close
6. You can select multiple events and set a single or multiple standard comments along with risk event decisions. Administrator can create different Standard Comments per case type.

For more information, see the [Administration and Configuration Guide](#).

7. Enter comments in the Comment box for the above selected option.
8. Click Save. The updates are recorded and displayed in the Decision column of Event List section.

5.6.1.7 Trusted Pairs

Designating Trusted Pairs reduces the number of false positive events by identifying transactions between parties which are viewed as having a trusted relationship. After analyzing events, you can determine two parties are trusted when the activity between the two parties is an acceptable business practice and poses lower risk to the institution.

These transactions can be optionally excluded from detection for many Money Laundering (ML) class scenarios through the use of a threshold parameter. If the relationship between a pair of parties is marked Trusted for a designated period of time and is excluded from the process of behavior detection, the alert will not be created and the workload of an analyst can be greatly reduced.

When investigating a case, ECM users can define a trust for two parties on a transaction and then define the direction of the transaction and the duration of the trust. Upon submission it is sent to an administrator for review and approval.

Administrators review the trusted pairs periodically to approve, reject or extend the trusts. Once a trust is approved, the pair is transmitted to the Behavior Detection application and future alerts for that pair are not created.

5.6.1.7.1 Designating a Trusted Pair

You designate a Trusted Pair on the Event Details page.

Note

The Designate Trusted Pairs icon in the Event List grid will only display for users with a Designate Trusted Pairs permission.

To designate a Trusted Pair, follow these steps:

1. Navigate to Case Search and List page.
2. Click the Case ID link.

The Case Summary page is displayed.

3. Select one or more Event IDs.

Figure 5-16 Event Details

The screenshot shows the 'Event List' table in the Financial Services Enterprise Case Management application. The table has columns for Event ID, Event Type, Focus, Focus Name, Event Type, Search Name, Event Generation Date, Highlights, Business Domain, and Date. The table contains five rows of data, each representing a different event.

Event ID	Event Type	Focus	Focus Name	Event Type	Search Name	Event Generation Date	Highlights	Business Domain	Date
ECMTT770301602	Account	ACTRUMAPP7834C-002	ROCK	AML	(C/N/C) Suspecting Thresholds in Res...	02/02/2020	60	GEN/RET/RB/PC	AME
ECMTT70103030702	Account	ACCR0340-005	PAUL	AML	(C/N/C) Suspecting Thresholds in Res...	23/01/2020	18	RB/PC	AME
ECMTT70104040407	External Entity	GARRY	GARRY	AML	(C/N/C) Suspecting Thresholds in Res...	23/01/2020	TEST	GEN	AME
ECMTT70104040402	Customer	RLA05A15329	LUTHERIN CAMERON COO%	AML	(C/N/C) Trading Ahead of Material Event...	23/01/2020	144	GEN	AME
ECMTT70104040409	Account	ACCT270102840077003	King Schell	AML	(C/N/C) Suspecting Thresholds in Res...	23/01/2020	144	GEN	AME

4. Click Designated Trusted Pairs. The Designate Trusted Pairs window displays the parties found on each transactions related to the events on the case.

Note

- Trusts cannot be designated for cash transactions.
- Trusts cannot be designated for external entities which only contain a name.

Figure 5-17 Designate Trusted Pairs window

The screenshot shows the 'Designate Trusted Pairs' window. It contains a table with two columns: 'Party 1' and 'Party 2'. The table lists four pairs of parties. Below the table, there is a 'Designate Trust' section with fields for 'Direction', 'Duration', 'Expiration', and 'Comments'. The 'Expiration' field has a date picker icon. At the bottom right, there are 'Cancel' and 'Submit' buttons.

Party 1	Party 2
☒ AC ACCT012720220101022570094	AC ACCT2701125839379495
☒ AC ACCT012720220101022570672	AC ACCT2701125845916155
☒ AC ACCT2701125839379495	AC ACCT2701125843830741
☒ AC HRTFHREAC-CB-CU-0001	AC XXXACHRTFHRECU-0010

Page 1 of 1 (1-4 of 4 items) Records Per Page 10

Note : Trusts cannot be designated for name only external entities. Select single record to view Trusted Pairs History.

Designate Trust

Direction * Duration Expiration * MM/dd/yyyy

Comments *

Cancel Submit

5. Select the parties you want to include in this trust. You can select one or more records to establish a trust

The Trusted Pairs History and Designate Trust sections are displayed.

- Trusted Pair History grid: This grid displays any trusts made for the selected pairs, actions taken by Admin users on the selected pairs, and any changes made during the duration of the requested trust.

Note

Select a single record to view the Trusted Pairs History.

6. Designate Trust grid: Select the Direction from the drop-down list (Send/Receive/Both).
 - Send > Party 1 sending money to Party 2
 - Receive > Party 1 receiving money from Party 2
 - Both > Exchanging Money from Party 1 to Party 2 OR Party 2 to Party 1.
7. Select 3, 6, 9 or 12 months from the Duration from the drop-down list. Administrator can configure additional Durations to display in this list. For more information, see the [Administration and Configuration Guide](#).
8. Select the Expiration Date. If both the duration and the expiration are selected, the expiration overrides the duration.
9. Enter any Comments if needed.
10. Click Submit.

On Submit, the trust is sent for approval. All trusted pairs must be reviewed and approved or rejected. For more information on how that is done, see [Taking Action on Trusted Pair Requests](#).

5.6.1.8 Event Suppression

5.6.1.8.1 About Event Suppression

Event Suppression allows an individual to define a focal entity/scenario combination and request that future events for the same be auto-closed. While investigating a Case, users can identify a Scenario- Focal Entity pair when setting a Risk Event Decision. Once a suppression rule has been designated and approved by a Supervisor, future events which meet the criteria are suppressed by the system for the specified period of time.

Administrators review the suppression requests periodically to approve, reject or extend the trusts. Once a suppression request is approved, the information is transmitted to the Behavior Detection application.

5.6.1.8.2 Designating Suppression

This section describes how to designate a suppression rule. Suppression is performed on an Event as a Risk Event Decision.

To designate an event suppression, follow these steps:

1. Navigate to the Events Details tab.
2. Select the one or more required Event IDs.
3. Click Set Event Decision. The Set Event Decision window displays.

4. Select Suppress Future Events from the Select Decision drop-down list.

Note

The Suppress Future Events option in the Select Decision drop-down list will only display for users with a Designate Suppression Rule permission. Contact your administrator to enable this permission.

5. Select 3, 6, 9 or 12 months from the Duration drop-down list. Administrator can configure additional Durations to display in this list. For more information, see the [Administration and Configuration Guide](#).
6. Select the Expiration Date. If both the duration and the expiration are selected, the expiration overrides the duration.
7. Suppression conditions are enabled only when taking decision on a single event and is not possible if user selects multiple events.

This label provides the following fields:

- Condition drop-down list: Contains binding names (conditions).
 - Condition operator drop-down list: Contains comparison operators. They are - equal to (=), greater than or equal to (>=), less than or equal to (<=), greater than (>), less than (<), and not equal to (!=).
 - Condition value text box: Blank by default but populates with the selected event's highlight value associated with a selected binding name.
8. Select the Standard Comment from the drop-down list. By default, the following standard comments are provided for AML and FRAUD Case types.
 - Based on Account Type
 - Based on Customer Type
 - Will be evaluated for Suppression
 - Will be evaluated for Auto-close

You can select multiple events and set one or more standard comments along with risk event decisions. Administrator can create different Standard Comments per case type. For more information, see the [Administration and Configuration Guide](#).

9. Enter comments in the Comment text box for the selected option.
10. Click Save.

The updates are recorded and displayed in the Decision column of Event List section. The suppression request is sent for approval. These suppression requests will be available on the Suppression Administration page once the current case is closed. All suppression requests must be reviewed and approved. For more information on how that is done, see [Taking Action on Suppression Requests](#).

Note

- The Suppression History below the Cancel or Save button displays whether the Focal Entity or Scenario pair has had suppression rules before.
- When multiple events are selected, the Suppression History for all events is displayed in a single grid.

5.6.1.9 Network Visualization

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

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

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

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

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

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

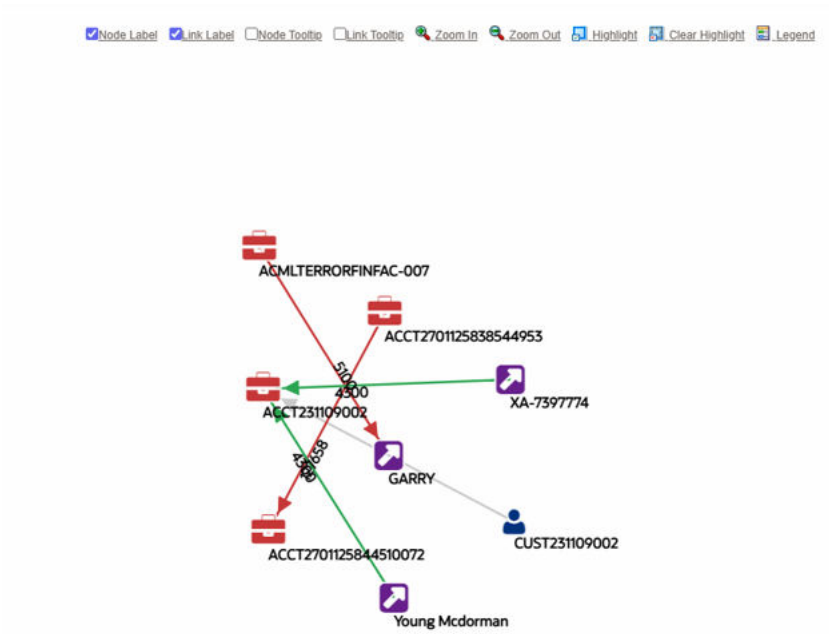
5.6.1.9.1 Accessing Network Visualization Link page

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

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

1. Navigate to the Event Details page.
2. Select the Event ID and click View Event Details from Event List.
3. Select the Event ID from Network Structure section and click Network Visualization link. The Network Visualization page is displayed.

Figure 5-18 Network Visualization screen



5.6.1.9.2 Using Network Graph Components

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

Each type of node is associated with a specific icon on the graph.

The following table describes the icon displayed on the graph for each type of node.

Table 5-18 Node Icons for Network Analysis Tab

Icon	Type of Node
	Account
	Customer

Table 5-18 (Cont.) Node Icons for Network Analysis Tab

Icon	Type of Node
	External Entity
	Correspondent Bank
	Household
	Employee

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

Table 5-19 Line Color for Network Analysis Tab

Line Color	Type of Link
Green	Monetary Instrument Transaction
Red	Wire Transaction
Blue	Journal Transaction
Purple	Insurance Transaction
Black	Complex Activity
Grey	Known Relationships

When two nodes are connected by more than one link, the graph displays the link as a complex activity. The arrowhead on a link represents the directionality of that link.

5.6.1.9.3 Repositioning Nodes

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

To reposition nodes, follow these steps.

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

Note

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

5.6.1.9.4 Collapsing and Expanding Nodes

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

To collapse nodes, follow these steps.

1. Navigate to the Network Graph page.
2. Select a node to collapse and right-click. An option menu displays.
3. Select the Collapse option from the menu. The outgoing links are hidden on the page.

Note

If any child node has at least one incoming link from any other node, the child node and its child network are not collapsed. But the link from collapsed node to the child node is hidden and icon of collapsed node changes to indicate the collapsed state.

On the Node Menu of a collapsed node, the Collapse option changes to Expand. If the user collapses a node but there is no impact on the graph (meaning, nothing was hidden), the Node Menu remains unchanged. There is no restriction on how many nodes can be collapsed on a graph.

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

Note

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

5.6.1.9.5 Viewing Node Details

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

To view nodes' details, follow these steps.

1. Navigate to the Network Graph page.
2. Select a node and right-click. An option menu displays.
3. Select the View Node Details option from the menu. The Node Details window displays with current information associated with the selected node.

Note

Stated above can interact with the main application window (that displays the graph) while this window is open. But only one window can be opened for a particular node. If you select to view node details of a node for which a Node Details window is already open, an error message displays.

5.6.1.9.6 Using Graph Toolbar

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

To use the graph toolbar, follow these steps:

1. Navigate to the Network Graph page.
2. You can perform the following actions using the Graph Toolbar:
 - Viewing Node Label: Select the Node Label checkbox to view a label for each node on the graph. The Node Label displays in the following format - *NodeType:NodeID*.
Node Type represents - the type of entity.
Node ID represents- the identifier of the entity represented by this node.
 - Viewing Link Label: Select the Link Label checkbox to view a label for each link on the graph. The middle of each link is labeled with the sum of the amount of all transactional links between the nodes. That is, if there is a transaction between nodes (such as a transfer of funds from one account to another), the total amount of all transactions, across all transactions types, between these nodes displays. When links between nodes are non- transactional links, the Link Label does not display.
 - Viewing Link Tooltip: Select the Link Tooltip checkbox to view additional information about the link by mouse over on the graph. A link tooltip displays the following information:
<From Node>: The identifier of the entity represented by the first node. Link Direction Arrow: The direction of the relationship between nodes.

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

Bi-directional <----- >: Displays when both nodes have a transactional link. For example, the

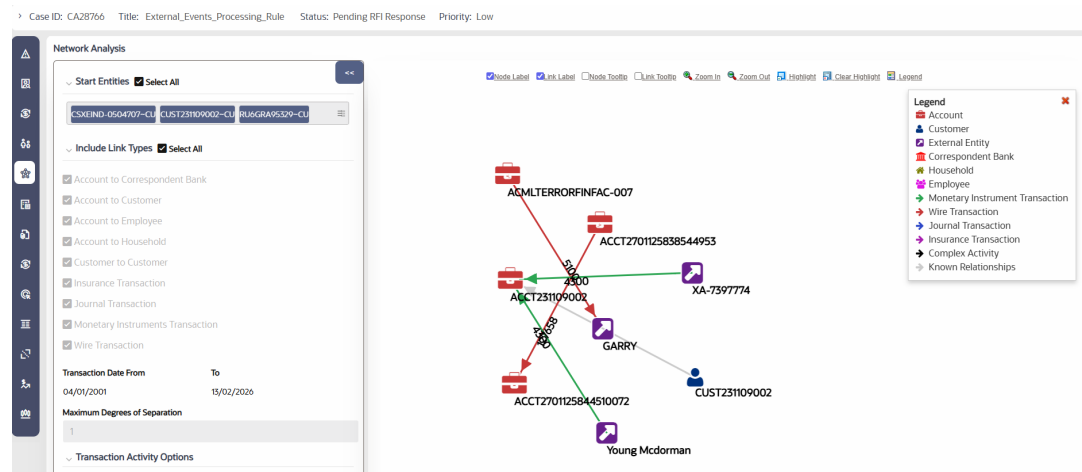
From Node has both sent and received funds from the To Node.

Non-directional----- Displays when the nodes have shared attributes, but no transactional

link. For example, nodes share a common address.

- <To Node>: The identifier of the entity represented by the second node.
- Shared Attributes: Information or attributes, two nodes have in common, such as a common address, phone number, or tax ID.

Figure 5-25 Graph Toolbar



3. **Viewing Node Tooltip:** Select the Node Tooltip checkbox to view additional information (in the form of a tooltip) about the node by mouse over on the graph. A node tooltip displays the following information:
 - **Node Type:** The type of entity
 - **Node ID:** The identifier of the entity represented by this node
 - **Total Amount:** Sum of the transaction amount of all links involving this node within the network
 - **Incoming Amount:** Sum of the transaction amount of all links going into this node within the network
 - **Outgoing Amount:** Sum of the transaction amount of all links going out of this node within the network.
 - **Zooming In:** To view the objects closely on the Graph Tool page, click the Zoom In. You can also use your mouse wheel to zoom in.
 - **Zooming Out:** To view the objects from far on the Graph Tool page, click the Zoom Out. You can also use your mouse wheel to zoom out.
 - **Using Highlight:** To highlight nodes or links, follow these steps:
 - **Click Highlight.** The Highlight dialog box displays. This box allows a user to locate nodes and links on the network graph.
 - a. To locate a node or link, select **Node** or **Link** options using the radio buttons.
 - b. Enter the node or link business unique identification number in the Value Contains field or select from drop-down list.

- c. To select more than one node, hold down the **Shift key**, and click **Nodes** inside the selection box. The text box includes a wildcard search feature. The text box applies the wildcard search automatically, you need not add any wildcard characters before or after the text entered in this text box. Blank space before or after the text entered in the text box is considered part of the search criteria.
- d. Click **Apply**. Nodes that match the search criteria are visually distinguished on the graph by placing a blue border around them. Links that match the search criteria are visually distinguished on the graph by making the link line thicker.
- e. To clear highlights on the Graph Tool page, click **Clear Highlight**. All visual distinctions made on the graph as a result of using the Highlight feature are cleared.
- **Viewing Legend:** To view various graphical components of the Network Graph page, click Legend. The Legend dialog box displays which provides a dynamic indicator of nodes and links that are visible in the graph.

5.6.1.10 Viewing Link Details

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

To view link details, follow these steps.

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

The following table describes the Link details.

Table 5-20 Link Details

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

5.6.2 Using Account Tab

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

About Account Tab

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

The Account tab has the following sections:

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

The following tasks are performed using the Account tab:

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

Note

The following activities are recorded in Audit History when user:

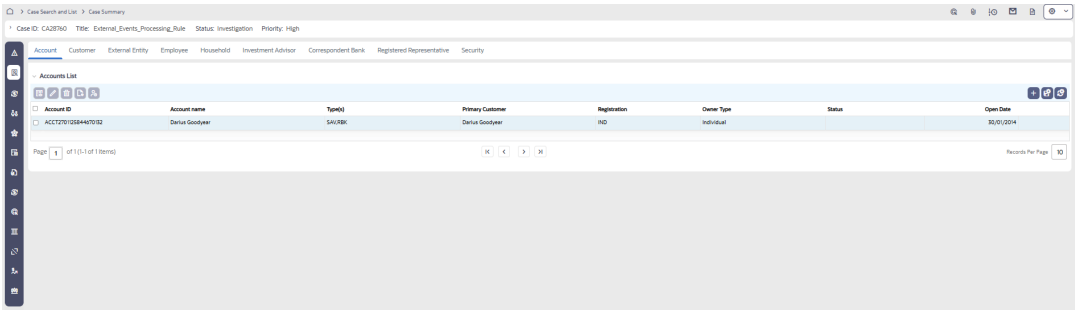
- Accesses the Account Tab
- Views Account Details
- Views Account Edit Information
- Modifies Account Information
- Views Current Account Information
- Views Account Edit History
- Searches Case Entities for Account
- Searches Current Business Entities for Account
- Accesses the Associated Customers tab
- Access Account Contact Information tab

For more information, see the [Using Audit History](#).

Follow these steps to navigate to the Accounts List.

1. From the homepage, click Enterprise Case Investigation.
2. Click Search Cases.
Case Search page is displayed.
3. Open the required Case List (EX: CA100)
4. Click the Entities tab.
Account List displays.

Figure 5-26 Account List screen



Managing Account List

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

- Adding, Editing, and Removing accounts. Click the History link to view a historical record of all changes made to the account information. This link displays only for records which have been edited. For more information, see Managing Business Entity List.
- Designating accounts as an involved party. For more information, see Designating as Involved Party.
- Viewing current information of accounts. For more information, see Viewing Current Information.

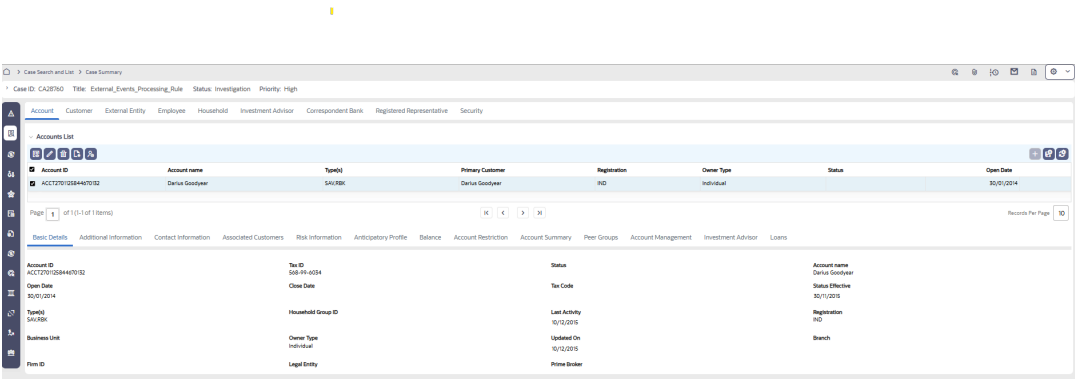
Managing Account Details

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

To view the Account Details tabs, follow these steps:

1. Select an account in the Accounts List using the check box.
2. Click View Account Details. The tabs are displayed.

Figure 5-27 Account Details tabs



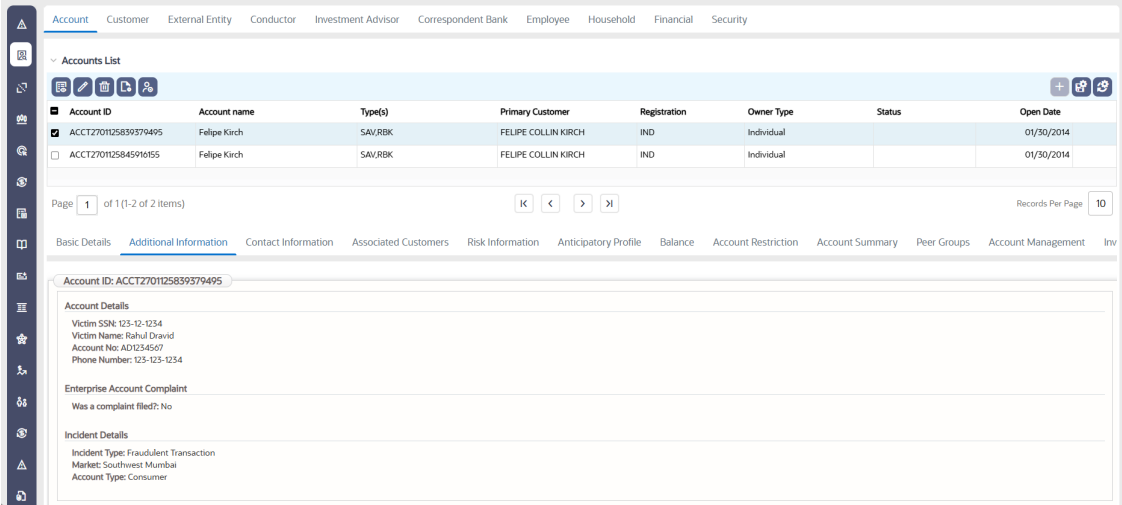
Viewing Account Details

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

Viewing Additional Information

This section displays additional information about the account provided in the Add Account API. Multiple levels of information is displayed in simplified manner. You cannot modify the information displayed on this tab.

Figure 5-28 Viewing Additional Information



Managing Account Manager

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

Note

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

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

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

Figure 5-29 Managing Account Manager

The screenshot displays the 'Managing Account Manager' interface. At the top, there is a navigation bar with tabs: Account, Customer, External Entity, Conductor, Investment Advisor, Correspondent Bank, Employee, Household, Financial, Registered Representative, and Security. The 'Account' tab is selected.

Below the navigation bar, there is a section titled 'Accounts List'. It contains a table with the following columns: Account ID, Account name, Type(s), Primary Customer, Registration, Owner Type, Status, and Open Date. The table lists two accounts:

Account ID	Account name	Type(s)	Primary Customer	Registration	Owner Type	Status	Open Date
☒ ACCT270125859379495	Felipe Kirch	SAV/RBK	FELIPE COLLIN KIRCH	IND	Individual		01/30/2014
☐ ACCT270125845916155	Felipe Kirch	SAV/RBK	FELIPE COLLIN KIRCH	IND	Individual		01/30/2014

Below the table, there is a pagination bar showing 'Page 1 of 1 (1-2 of 2 items)' and a 'Records Per Page' dropdown set to 10.

Below the pagination bar, there is a section titled 'Employee List'. It contains a table with the following columns: Employee ID, Name, Role, and Edit History. The table lists one employee:

Employee ID	Name	Role	Edit History
☐ EECDCANCETRADERR-008	JOHN JENSEN	HH	

Below the table, there is a pagination bar showing 'Page 1 of 1 (1-1 of 1 items)' and a 'Records Per Page' dropdown set to 10.

Managing Account Restriction

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

To add new restrictions, click the Add button to open the Account Restriction window. Select the restriction from the drop-down, select the date from which the restriction to be applied, and enter the restriction end date (removed date) for this account.

For more information on add, modify, and remove actions, view the [Managing Business Entity List](#) section. Click the History link to view a historical record of all changes made to the account restriction information. This link displays only for records which have been edited.

Figure 5-30 Managing Account Restriction

The screenshot displays the 'Managing Account Restriction' interface. At the top, there is a navigation bar with tabs: Account, Customer, External Entity, Conductor, Investment Advisor, Correspondent Bank, Employee, Household, Financial, and Security. The 'Account' tab is selected.

Below the navigation bar, there is a section titled 'Accounts List'. It contains a table with the following columns: Account ID, Account name, Type(s), Primary Customer, Registration, Owner Type, Status, and Open Date. The table lists three accounts:

Account ID	Account name	Type(s)	Primary Customer	Registration	Owner Type	Status	Open Date
☐ 2604198023AC01	2604198023AC01	Y				Closed	
☐ 9548001CU01	Herma Laviton	SAV/RBK		IND	Individual	Closed	01/30/2014
☒ ACCT23092800101	ACCT23092800101	hh				Active	

Below the table, there is a pagination bar showing 'Page 1 of 1 (1-3 of 3 items)' and a 'Records Per Page' dropdown set to 10.

Below the pagination bar, there is a section titled 'Restriction List'. It contains a table with the following columns: Restriction, Added, Removed, and Edit History. The table lists one restriction:

Restriction	Added	Removed	Edit History
☐ No cash deposits allowed	02/03/2026	02/10/2026	

Below the table, there is a pagination bar showing 'Page 1 of 1 (1-1 of 1 items)' and a 'Records Per Page' dropdown set to 10.

Viewing Investment Advisor

Investment Advisors are those firms or individuals who manage accounts which are associated with the case. This section displays the list of investment advisors associated with the selected

account. You can view details such as an investment advisor firm ID, investment advisor firm name, date this investment advisor began to manage this account.

Figure 5-31 Viewing Investment Advisor

Investment Advisor Firm ID	Investment Advisor Firm Name	Investment Advisor Tax ID	Assets Under Management	Investment Style	Update
BGMCIA-001	R F THOMPSON	IA-TAX-0001	USD 36,678,449.00	HGH GRWTH SML CAP	12/10/2009

Page 1 of 1 (1-1 of 1 items)

Records Per Page 10

Employee ID	Number of Subaccounts	Employee Name	Assets Under Management
BGMCIA-001	53		EUR 36,678,449,000

Investment Advisor Tax ID	Fee Frequency	Investment Advisor Tax ID Type	Investment Style
IA-TAX-0001	Daily	SSN	HGH GRWTH SML CAP

Managing Contact Information

This section displays the list of addresses, phone numbers, and emails associated with the selected account. You can add new contact information and modify or remove the existing contact information. Click the History link to view a historical record of all changes made to the contact information. This link displays only for records which have been edited.

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

Figure 5-32 Managing Contact Information

Account ID	Account name	Type(s)	Primary Customer	Registration	Owner Type	Status	Open Date
ACCT2701284401032	Darius Goodyear	S&U/PR	Darius Goodyear	IND	Individual		30/01/2014

Page 1 of 1 (1-1 of 1 items)

Records Per Page 10

Description	Address	Edit History
Home	127 RUA DIACONDO FRANCISCO BARRETO, LONDON, VI, GB, E8066	

Page 1 of 1 (1-1 of 1 items)

Records Per Page 10

Viewing Associated Customers

This section displays information about all customers associated with this account.

Viewing Risk Information

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

Figure 5-33 Viewing Risk Information

The screenshot displays the 'Accounts List' section with a table of accounts. The first account is selected, and the 'Risk Information' tab is active. Below the account details, there is a section for 'Risk List Membership' which is currently empty.

Account ID	Account name	Type(s)	Primary Customer	Registration	Owner Type	Status	Open Date
☒ ACCT270125839379495	Felipe Kirch	SAV/RBK	FELIPE COLLIN KIRCH	IND	Individual		01/30/2014
☐ ACCT27012584591655	Felipe Kirch	SAV/RBK	FELIPE COLLIN KIRCH	IND	Individual		01/30/2014

Page 1 of 1 (1-2 of 2 items) Records Per Page 10

Navigation tabs: Contact Information, Associated Customers, **Risk Information**, Anticipatory Profile, Balance, Account Restriction, Account Summary, Peer Groups, Account Management, Investment Advisor, Loans

Effective Risk	Business Risk	Customer Risk	Watch List Risk	Geography Risk	KYC Risk
☐ 9	8	9		9	

Page 1 of 1 (1-1 of 1 items) Records Per Page 10

Risk List Membership

Source Name	Risk/Trust	Rating	Public/Private	Added	Removed	Entry Description	Edit History
No Records Found							

Records Per Page 10

Managing Risk List Memberships

The Risk List Membership shows details of accounts that are associated with the case that appear on one or more watch lists and audits the time frame for which the account appeared on, or was associated with a given watch list. This section displays the watch lists associated with the selected account. You can map additional watch lists to the account and modify or remove the existing watch lists.

Adding New Watch Lists

To add new watch lists, follow these steps:

1. Navigate to the Account tab.
2. Select the required Account ID. The Account Records Details section displays.
3. Go to the Risk List Memberships section and click Add. The Risk List Memberships window displays.
4. Enter the following information in the respective fields as described in the following table.

Table 5-21 Risk List Membership

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

5. Click Save. A confirmation message displays.
6. Click Cancel. The window closes and navigates you to the refreshed list of Risk List Memberships and the newly added watch list displays. Also, corresponding audit entries are recorded on the case.

7. To modify or remove the existing watch lists records, see the [Managing Business Entity List](#) section.
8. Click the History link to view a historical record of all changes made to the watch list records. This link displays only for records which have been edited.

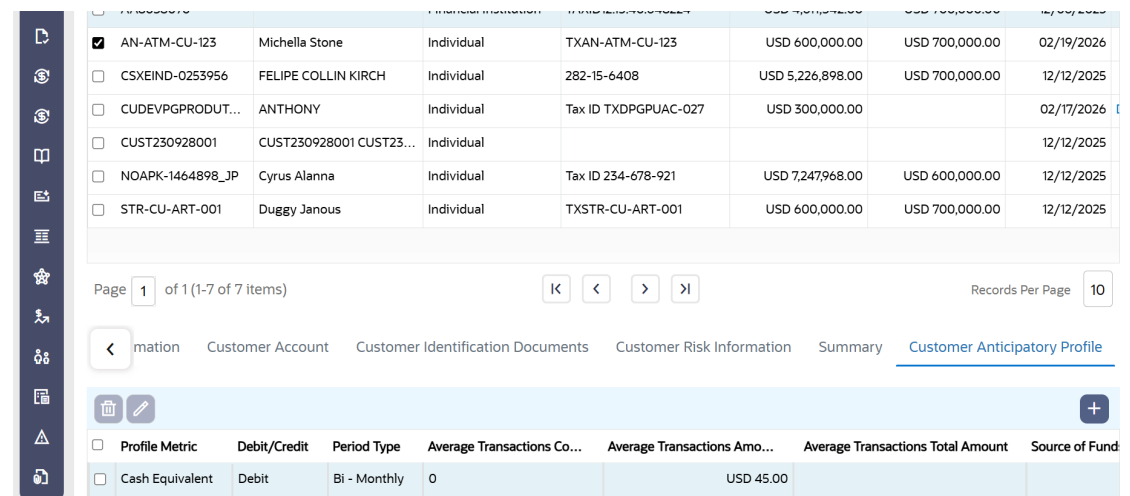
Viewing Anticipatory Profile

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

This section displays the following information:

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

Figure 5-34 Viewing Anticipatory Profile



Account ID	Customer Name	Customer Type	Account ID	USD Expected	USD Expected	Effective Date
☒ AN-ATM-CU-123	Michella Stone	Individual	TXAN-ATM-CU-123	USD 600,000.00	USD 700,000.00	02/19/2026
☐ CSXEIND-0253956	FELIPE COLLIN KIRCH	Individual	282-15-6408	USD 5,226,898.00	USD 700,000.00	12/12/2025
☐ CUDEVPGPRODUT...	ANTHONY	Individual	Tax ID TXDPGPAC-027	USD 300,000.00		02/17/2026
☐ CUST230928001	CUST230928001 CUST23...	Individual				12/12/2025
☐ NOAPK-1464898_JP	Cyrus Alanna	Individual	Tax ID 234-678-921	USD 7,247,968.00	USD 600,000.00	12/12/2025
☐ STR-CU-ART-001	Duggy Janous	Individual	TXSTR-CU-ART-001	USD 600,000.00	USD 700,000.00	12/12/2025

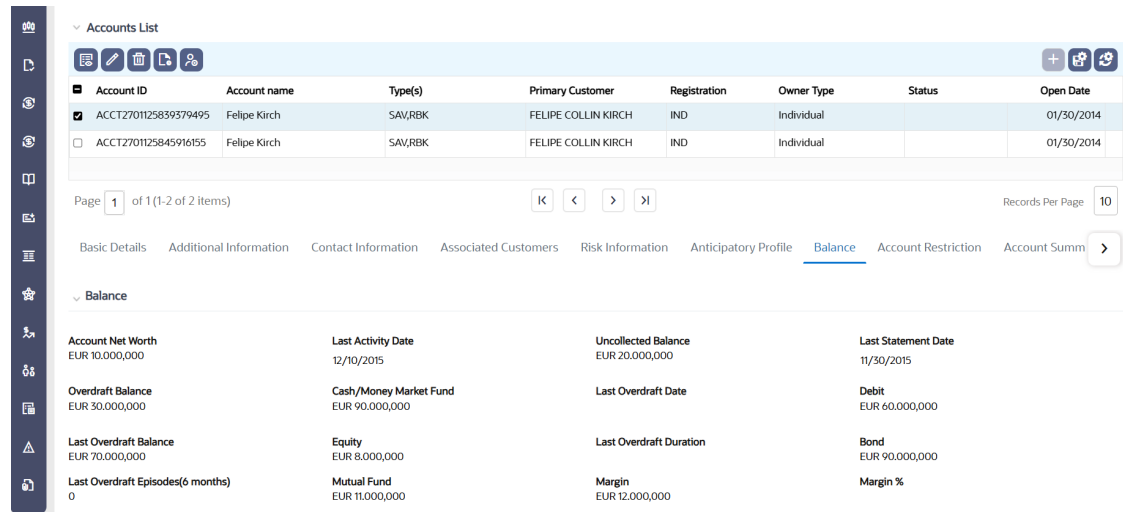
Page 1 of 1 (1-7 of 7 items) Records Per Page 10

Navigation: < mation Customer Account Customer Identification Documents Customer Risk Information Summary Customer Anticipatory Profile

Profile Metric	Debit/Credit	Period Type	Average Transactions Co...	Average Transactions Amo...	Average Transactions Total Amount	Source of Fund
☐ Cash Equivalent	Debit	Bi - Monthly	0	USD 45.00		

Viewing Balance

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

Figure 5-35 Viewing Balance


Accounts List

Account ID	Account name	Type(s)	Primary Customer	Registration	Owner Type	Status	Open Date
☒ ACCT2701125839379495	Felipe Kirch	SAV,RBK	FELIPE COLLIN KIRCH	IND	Individual		01/30/2014
☐ ACCT2701125845916155	Felipe Kirch	SAV,RBK	FELIPE COLLIN KIRCH	IND	Individual		01/30/2014

Page 1 of 1 (1-2 of 2 items) Records Per Page 10

Basic Details Additional Information Contact Information Associated Customers Risk Information Anticipatory Profile **Balance** Account Restriction Account Summary

Balance

Account Net Worth EUR 10,000,000	Last Activity Date 12/10/2015	Uncollected Balance EUR 20,000,000	Last Statement Date 11/30/2015
Overdraft Balance EUR 30,000,000	Cash/Money Market Fund EUR 90,000,000	Last Overdraft Date	Debit EUR 60,000,000
Last Overdraft Balance EUR 70,000,000	Equity EUR 8,000,000	Last Overdraft Duration	Bond EUR 90,000,000
Last Overdraft Episodes(6 months) 0	Mutual Fund EUR 11,000,000	Margin EUR 12,000,000	Margin %

Viewing Equities

This section displays the following information:

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

Viewing Concentration

This section displays the following information:

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

Viewing Loans

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

Viewing Peer Groups

This section displays the following information:

- A summary of the average monthly transaction activity in account peer groups for accounts associated with the case.
- A specific account peer-group profile ID.
- Summaries are displayed on a monthly basis for the five months previous to the date of last transaction performed from the selected account.
- If you click the Account Peer Group ID link on the summary section, the summary for the last thirteen months displays in a window.

Viewing Summary

This section displays the following information:

- Summary types such as deposits, trades, and disbursement
- A summary of an account's transactions on a monthly basis for the five months previous to the date of the last transaction performed from the selected account. By default, transaction amounts are displayed in Base Currency. Select the Functional check box to also display transaction amounts in Functional Currency.

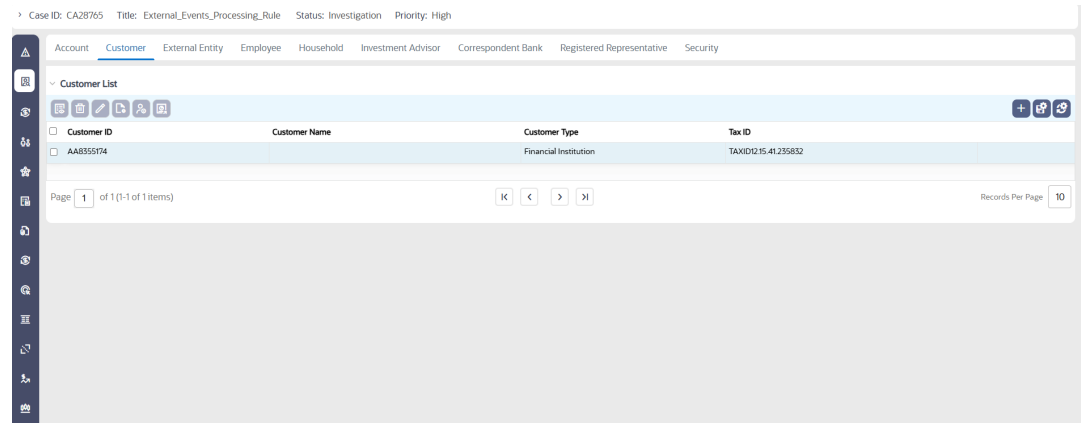
5.6.3 Using Customer Tab

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

Follow these steps to navigate to the Customer tab:

1. From the homepage, click Enterprise Case Investigation.
2. Click Search Cases. Case Search page is displayed.
3. Open the Case List.
4. Click the Entities tab.
5. Click Customer tab. Customer List displays.

Figure 5-36 Customer List screen



About Customer Tab

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

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

The Customer tab has the following sections:

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

The following tasks are performed using the Customer tab: "View and analyze the list of customers who are associated with the case which are added to the case during the course of the investigation"

- Associate new customers with the case
- Disassociate or modify existing customers
- View and analyze complete details of each customer
- Designate as an involved party
- Retrieve the latest customer details in the Current Information window
- Add, modify, and remove account, online account, contact information, and anticipatory profile associated with the customer
- View and analyze the risk information and watch lists associated with the customer
- Initiate a negative news report by selecting one or more customer from the customer list

Note

The following activities are recorded in Audit History when user:

- Accesses the Customer Tab
- Views Customer Details
- Views Customer Edit Information
- Modifies Customer Information
- Views Current Information of Customer
- Views Quantifind Details
- Views Customer Edit History
- Searches Case Entities for Customer
- Searches Current Business Entities for Customer
- Accesses Customer Contact Information

For more information, see the [Using Audit History](#).

Managing Customer List

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

- Adding, modifying, and removing customers. For more information, see [Managing Business Entity List](#). Click the History link to view a historical record of changes made to the customer records. This link displays only for records which have been edited.
- Designating customers as an involved party. For more information, see Designating as Involved Party.
- Viewing current information of customers. For more information, see Viewing Current Information.

Managing Customer Details

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

To view the Customer Details tabs, follow these steps:

1. Select a customer in the Customer List using the check box.

- Click View Customer Details. The tabs are displayed.

Figure 5-37 Customer Details tabs

Case ID: CA28765 Title: External_Events_Processing_Rule Status: Investigation Priority: High

Account Customer External Entity Employee Household Investment Advisor Correspondent Bank Registered Representative Security

Customer List

Customer ID	Customer Name	Customer Type	Tax ID
AA855874	CARMEN LEWIN	Financial Institution	TAXIDQ15.41.235832

Page 1 of 1 (1-1 of 1 items) Records Per Page 10

Details Additional Information Related Parties Customer Contact Information Customer Account Customer Identification Documents Customer Risk Information Summary Customer Anticipatory Profile

Customer ID AA855874	Broker/Dealer	Customer Name CARMEN LEWIN	Legal Structure GOV
Alias CARMEN LEWIN	Income Range > 5000000.00	Customer Type Financial Institution	ATM Daily Limit EUR 700.000.000
Legal Entity	Tax ID TAXIDQ15.41.235832	Industry	Relationship Manager
Added 29/01/1992	Public Company Private	Estimated Net Worth EUR 16.052.580.000	Date of Incorporation
Estimated Annual Income EUR 8.028.290.000	PEP		

Viewing Customer Details

This section displays the detailed information of the selected customer such as customer ID, customer type, occupation, and so on. You can modify customer details.

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

Viewing Related Parties

The Related Parties section displays details of the parties (customer and non-customer) which are considered related to this customer, as specified in the Party-to-Party Relationship data. You can filter the Related Parties by Relationship Type using the drop-down list.

To add or edit or delete a related party, follow these steps:

- Select a customer in the Customer List using the check box.
- Click **View Customer Details** icon.
The tabs are displayed.
- Go to Related Parties tab.
- In the Related Parties grid, click the Add icon.
The Add Related Parties page is displayed.
- Select the related party from the Related Party ID drop-down.
The Customer Yes or No drop-down is auto populated based on the selected related party.
You can define the relationship type by selecting the type from the Relationship Type drop-down.
- Click Save to add the related party.
- Click the Edit icon, make the required changes, and click Save.
The add and edit actions are recorded in the Audit History.
- Select a record, click the Delete icon, and click OK.

Viewing Additional Information

This section displays additional information about the customer provided in the Add Customer API. Multiple levels of information is displayed in simplified manner. You cannot modify the information displayed on this tab.

Figure 5-38 Viewing Additional Information

The screenshot displays the 'Customer' tab in the Oracle Enterprise Case Management User Guide. The top section shows a list of accounts with columns: Customer ID, Customer Name, Customer Type, Tax ID, Estimated Net Worth, ATM Daily Limit, Updated On, Quantified Card, and Edit History. The accounts listed are:

Customer ID	Customer Name	Customer Type	Tax ID	Estimated Net Worth	ATM Daily Limit	Updated On	Quantified Card	Edit History
AS038070		Financial Institution	TAXID0215-40-848224	USD 4,811,342.00	USD 700,000.00	12/06/2025		
AN-ATM-CU-123	Michelle Stone	Individual	TAXAN-ATM-CU-123	USD 600,000.00	USD 700,000.00	02/19/2026		
CSKEND-025956	PELPE COLLIN KIRCH	Individual	252-5-6408	USD 5,228,898.00	USD 700,000.00	12/12/2025		History
CUSDEVPRODUTAC-027	ANTHONY	Individual	Tax ID TXDGPQUAC-027	USD 300,000.00		02/17/2026	Details	
CUST23028001	CUST23028001 CUST23028001	Individual				12/12/2025		
NDAPN-144496_IP	Cyrus Alanne	Individual	Tax ID 254-678-121	USD 1,247,968.00	USD 600,000.00	12/12/2025		
STR-CU-ART-001	Duggu Jeneus	Individual	TXSTR-CU-ART-001	USD 600,000.00	USD 700,000.00	12/12/2025		

Below the list, the 'Additional Information' tab is selected, showing details for Customer ID: AN-ATM-CU-123. The details include:

- Bank Details:**

Departments	Year	Name
City: Jaipur, Name: Smith, Credit	1988	HDFC
City: Kandy, Name: Senth, Debit		
- Employees:**

City	Name	Credit	Year	Name
Dethi	Kapil	Credit	1992	IOI
Colombo	Mannen	Debit		

Managing Customer Account

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

Note

Only those accounts that are part of the case and are available in the Account tab of the case can be associated to the customer. To associate new accounts to the customer for the current case, add the accounts to the case through the Add action in the list of business entities section of the Account tab. Only accounts where the customer has one of the defined roles configured by your administrator are added to the Customer Account section on the Customer tab. For more information, see the [Managing Business Entity List](#) section

To add, modify, and remove accounts, see [Managing Business Entity Records](#). Click the **History** link to view a historical record of changes made to the customer records, the Edit History. This link displays only for records which have been edited.

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

Managing Customer Online Account

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

Adding New Online Account to the Customer

To add a new online account, follow these steps:

1. Navigate to the Customer tab.
2. Select the required Customer ID. The Customer Details section displays.

3. Go to the Online Accounts section and click Add. The Online Accounts window displays.
4. Enter the following information in the relevant fields as described in the following table.

Table 5-22 Online Accounts

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

5. Click Save. A confirmation message displays.
6. Click Cancel. The window closes and navigates you to the refreshed list of Customer Online Account and the newly added online account displays. Also, corresponding audit entries are recorded on the case.
7. To modify or remove existing online accounts in the customer records, see the [Managing Business Entity Records](#) section.
8. Click the History link to view a historical record of changes made to the customer records. This link displays only for records which have been edited.

Viewing Customer Identification Documents

This section displays the documents related to customer identification. You can view details such as Customer ID, Document Number, Document Name, Document Type, Issuing State (editable field), Issued By, Issued Date, Expiration Date, and Edit History.

To edit the Issuing State field of a particular record, select the **Customer ID**, click the **Edit** button, select from the Country and Issuing State drop-down options, and then click **Save**.

The History link under the Edit History column records the changes made to the Country and Issuing State fields.

Managing Customer Contact Information

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

To add, modify, or remove existing contact information in the customer records, see the [Managing Business Entity Records](#) section. Click the **History** link to view a historical record of changes made to the customer records. This link displays only for records which have been edited.

Viewing Customer Risk Information

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

Viewing Customer Risk List Memberships

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

Managing Customer Anticipatory Profile

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

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

Adding New Anticipatory Profile to the Customer

To add new anticipatory profile, follow these steps:

1. Navigate to the Customer tab.
2. Select the required Customer ID. The Customer Details section displays.
3. Go to the Anticipatory Profile section and click Add. The Anticipatory Profile window displays.
4. Enter the following information in the relevant fields as described in the following table.

Table 5-23 Customer Anticipatory Profile

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

5. Click Save. A confirmation message displays.
6. Click Cancel. The window closes and navigates you to the refreshed list of Customer Anticipatory Profile, and the newly added anticipatory profile displays. Also, corresponding audit entries are recorded on the case.

7. To modify or remove existing anticipatory profiles in the customer records, see the [Managing Business Entity Records](#) section.
8. Click the History link to view a historical record of changes made to the customer records. This link displays only for records which have been edited.

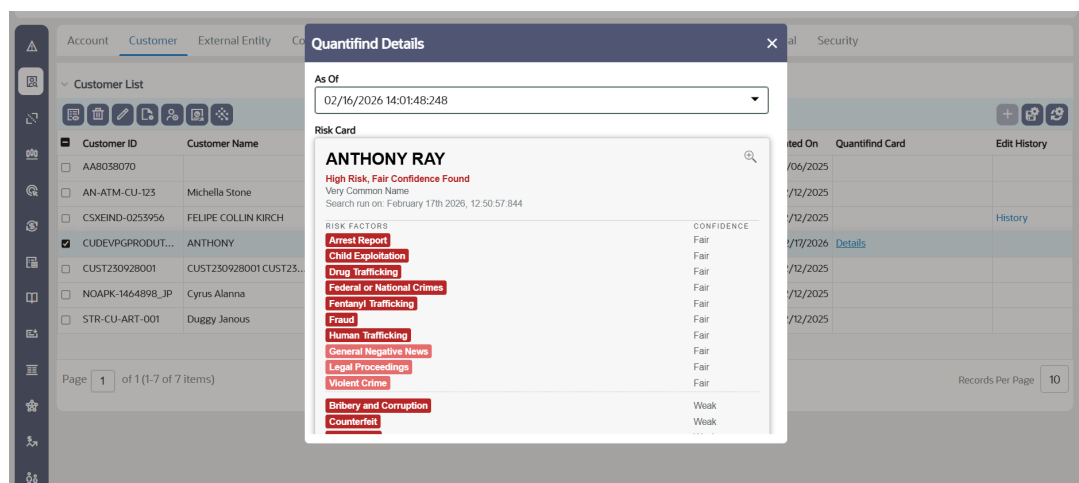
Viewing Quantifind Information

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

To view the Quantifind Information, follow these steps:

1. Navigate to the Customer tab.
 2. Select Customer details.
 3. Click Get Latest Quantifind Information link.
 4. Click Details link for the requested Customer.
- The time and scorecard received from Quantifind displays in Quantified Details window.

Figure 5-39 Quantified Details



Quantifind Batch Processing

The Quantifind batch process submits customer entities to an ECM processing layer where they are then submitted in batch to Quantifind. ECM users do have the ability to request Quantifind risk cards in an ad-hoc manner through the ECM UI but the Quantifind batch process allows for bulk processing of customers which are extracted from the events created by the Behavior Detection Framework. This can provide great efficiency as cards are automatically available to the ECM users.

To run the Quantifind batch process, follow these steps:

1. Login to the application with Supervisor credentials.
2. Search the Case.

3. Click the Customer Tab to view the list of customer details.
4. Click the required Quantifind Card Details to view the 'Quantifind Details' with the current score and the request time.

Viewing Summary

This section displays the following information:

- A summary of transactions for the selected customer
- Summary types such as deposits, trades, and disbursement
- A summary of customer's transactions on a monthly basis for the thirteen months previous to the date of last transaction performed from the selected account. By default, transaction amounts are displayed in Base Currency. Select the Functional check box to also display transaction amounts in Functional Currency.

5.6.4 Using External Entity Tab

About External Entity Tab

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

- External Entity List: details the list of external entities associated with the selected case. The following details are displayed:
 - Type: Displays the type of entity. For example, XA for external account.
 - Entity ID/Name: Displays the name or ID of the external entity.
 - Associated Institution: Associated institutions may be banks, financial institutions, and so on. The Associated Institution column displays a summary of the associated institutions related to the selected external entity. This section displays details such as bank name and bank ID details. This has two subsections: ID and Name
 - Jurisdiction: Displays the name of the jurisdiction.
 - Risk Information: Displays the value of risk associated with the selected external entity.
 - Created On: The date when the record was created in the business data.
 - Last Activity: The last activity date of this external entity.
 - Last Updated: The date when the record was updated during an edit.
 - Edit History: Click the History link to view a historical record of changes made to the external entity records. This link displays only for records which have been edited.

Note

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

- **External Entity Details:** provides complete information of the selected external entity

The following tasks are performed using the External Entity tab:

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

Managing External Entity List

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

The following activities are performed in this section:

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

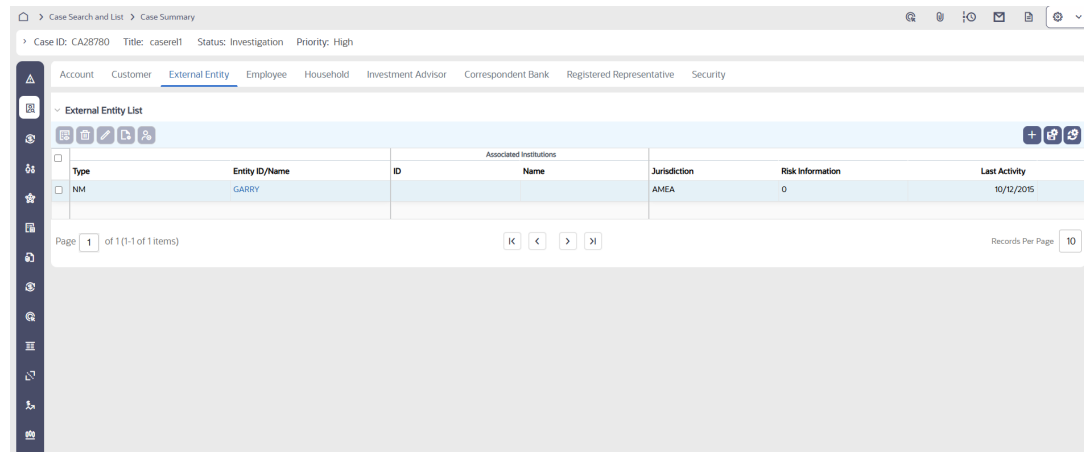
Managing External Entity Details

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

To view the External Entity Details tabs, follow these steps:

1. Select an external entity in the External Entity List using the check box.
2. Click View External Entity Details. The tabs are displayed.

Figure 5-40 External Entity Details tabs



Managing Contact Information

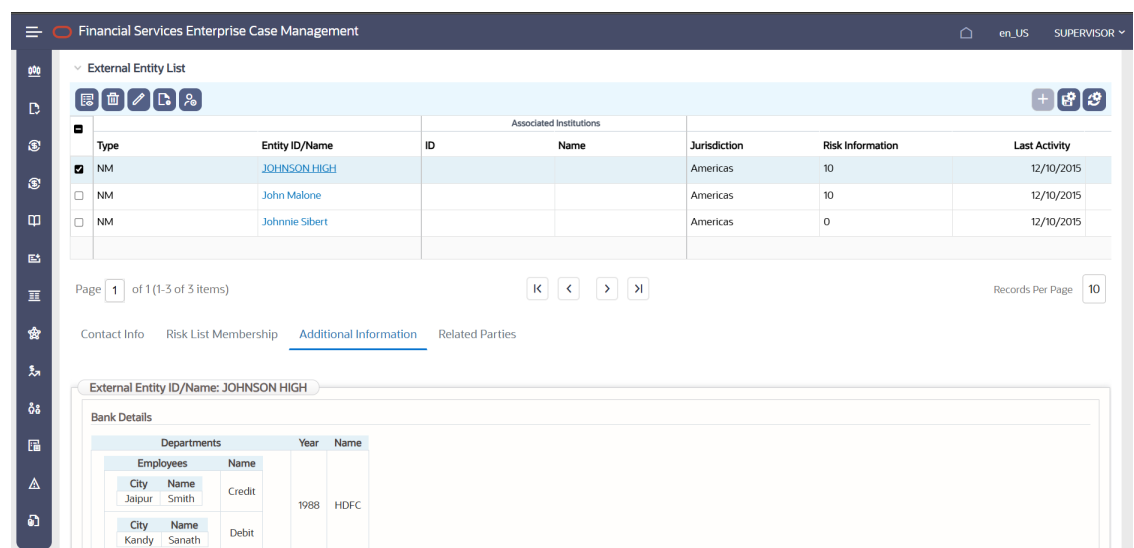
This section displays the list of addresses, phone numbers, and emails associated with the selected external entity. You can add new contact information and modify or remove the existing contact information.

To add, modify, or remove contact information for the selected external entity, see [Managing Business Entity Records](#). Click the **History** link to view a historical record of changes made to the contact information. This link displays only for records which have been edited.

Viewing Additional Information

This section displays additional information about the external entity provided in the Add External Entity API. Multiple levels of information is displayed in simplified manner. You cannot modify the information displayed on this tab.

Figure 5-41 Additional Information



Managing Risk List Memberships

This section displays the watch lists associated with the selected external entity. You can map additional watch lists to the external entity and modify or remove the existing watch lists. Click the **History** link to view a historical record of changes made to the watch lists the external entity is associated with. This link displays only for records which have been edited.

Adding New Watch Lists to the External Entity

To add new watch lists, follow these steps:

1. Navigate to the External Entity tab.
2. Select the required External Entity ID. The External Entity Details section is displayed.
3. Go to the Risk List Memberships section and click Add. The Risk List Memberships window is displayed.
4. For more information, see Adding New Watch Lists. Additionally, enter the matched name information.
5. To modify or remove the existing watch lists records, see Managing Business Entity Records.

Viewing Related Parties

The Related Parties section displays details of the parties (customer and non-customer) which are considered related to this external entity as specified in the Party to Party Relationship data.

You can filter the Related Parties by Relationship Type using the drop-down list.

To add/edit/delete a related party, follow these steps:

1. Select an external entity in the External Entity List using the check box.
2. Click **View External Entity Details** icon.
The tabs are displayed.
3. Go to Related Parties tab.
4. In the Related Parties grid, click the Add icon.
The Add Related Parties page is displayed.
5. Select the related party from the Related Party ID drop-down. The Customer Yes/No drop-down is auto populated based on the selected related party. You can define the relationship type by selecting the type from the Relationship Type drop-down.
6. Click Save to add the related party.
7. Click the Edit icon, make the required changes, and click Save. The add and edit actions are recorded in the Audit History.
8. Select a record, click the Delete icon, and click OK.

External Phone

External Phone tab is displayed for External Parties (External Entities having type as EP).

This section displays the external phone-related information – Phone Number, Extension Number, Description, and Edit History associated with the selected external entity. You can add a new record and modify or remove the existing ones.

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

5.6.5 Using Household Tab

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

About Household Tab

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

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

The following tasks are performed using the Household tab:

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

Managing Household List

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

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

Managing Household Details

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

Viewing Household Details

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

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

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

Managing Account

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

Note

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

To add and remove an account, see [Managing Business Entity Records](#).

5.6.6 Using Employee Tab

About Employee Tab

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

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

The following tasks are performed using the Employee tab:

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

Managing Employees List

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

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

Managing Employee Details

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

Viewing Employee Details

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

Managing Employee Accounts

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

Note

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

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

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

Managing Employee Contact Information

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

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

5.6.7 Using Correspondent Bank Tab

About Correspondent Bank Tab

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

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

The following tasks are performed using the Correspondent Bank tab:

- View and analyze the list of the correspondent bank that is associated with the case
- Associate new correspondent banks with the case
- Disassociate or modify existing correspondent banks
- View and analyze the complete details of each correspondent bank
- Designate as an involved party

- Retrieve the latest correspondent bank details in Current Information window
- Add, modify, and remove accounts and watch list members associated with the correspondent bank
- View and analyze the risk information and peer groups associated with the correspondent bank

Managing Correspondent Bank List

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

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

Managing Correspondent Bank Details

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

Viewing Account Details

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

Managing Account

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

Note

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

To add, modify, and remove the account, see [Managing Business Entity List](#).

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

Viewing Risk Information

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

Managing Risk List Memberships

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

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

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

Viewing Correspondent Bank Peer Groups

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

Note

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

Viewing Summary

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

5.6.8 Using Investment Advisor Tab

About Investment Advisor Tab

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

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

Viewing Investment Advisor List

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

Viewing Investment Advisor Details

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

Viewing Investment Advisor Details

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

Note

You cannot modify the details of investment advisors.

Viewing Investment Advisor Summary

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

5.6.9 Using Financials Tab

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

About Financials Tab

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

The Financials tab has the following sections:

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

The following tasks are performed using the Financials tab:

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

Managing Current Loss and Recovery Summary

Viewing Current Loss and Recovery Summary

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

By default, the Current Loss and Recovery Summary section displayed as described in the following table.

Table 5-24 Current Loss and Recovery Information Fields

Item	Description
Total Potential Loss Amount	Represents the total potential financial loss that the institution may experience as a result of the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Potential Loss data items for the case.
Total Averted Loss Amount	Represents the total financial loss amounts that the institution may be able to prevent based on actions taken during the course of the investigation into the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Averted Loss data items for the case.
Total Loss Recovery Amount	Represents the total financial losses that have been recovered during the course of the investigation into the fraudulent activity identified by the case. This value is calculated as an aggregate of all active Recovery data items for the case.
Total/Net Loss Amount	Represents the total loss remaining after Averted Loss and Recovery Amounts have been subtracted from the Potential Loss. It is calculated as: Potential Loss - Averted Loss - Recovery Amounts = Total/Net Loss Amount
Primary GL Account	The primary general ledger (GL) account to which the total net loss amount for this investigation should be associated.
Primary Cost Center	The primary cost center to which the total net loss amount for this investigation should be associated.
Offset Account	Offset account associated with loss and recovery financials for this investigation.
Offset Cost Center	Offset account's cost center associated with loss and recovery financials for this investigation.
Charge Off Date	The date on which the loss was charged off.
Last Update Date	The date and time at which loss and recovery data were last updated.
Last Update By	The last user who updated the loss and recovery data.

Note

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

Editing Cost Center and GL Account Details

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

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

1. Navigate to the Financials tab.

2. Go to the Current Loss and Recovery Summary section. Click Edit. The Cost Center and GL Financials Data Entry window are displayed with the current values associated with the Primary GL, Primary Cost Center, and Offset Account and Offset Cost Center and Charge Off Date.
3. Modify the required information in the fields. For more information on the fields, see the [Current Loss and Recovery Information Fields](#) table from above.
4. Click Save. A confirmation message is displayed. And the Current Loss and Recovery Summary section is displayed with updated information.

Removing Cost Center and GL Account Details

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

Note

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

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

1. Navigate to the Financials tab.
2. Go to the Current Loss and Recovery Summary section.
3. Click Remove. A confirmation message is displayed. The Current Loss and Recovery Summary section is displayed with updated information.

Viewing Current Loss and Recovery Summary History

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

Note

You cannot view details if there is no current or previously entered information.

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

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

Managing Loss and Recovery

Viewing Loss and Recovery Details

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

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

1. Navigate to the Financials tab.

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

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

Table 5-25 Loss and Recovery Record

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

Adding Loss and Recovery Details

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

To add Loss and Recovery details, follow these steps:

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

Figure 5-42 Loss and Recovery Date Entry

4. Enter the following information in the respective fields as described in the following table.

Table 5-26 Loss and Recovery Data Entry Fields

Field	Description
Data Entry Type	Pre-populated as per the data entry type selected (for both add/edit), that is, Potential Loss, Averted Loss, Recovery. This is a non-editable field.
Date	The date on which this loss or recovery item was incurred.
Amount	Note that the system accepts values in base currency only. You must enter the amount in the correct base currency format.
GL Account	This data item associates this GL account to the current item being entered only and not to the overall case. This field provides you the option to associate a different GL account to an individual item than might be appropriate for the entire case.

Table 5-26 (Cont.) Loss and Recovery Data Entry Fields

Field	Description
Cost Center	This field associates this cost center to the current item being entered only and not the overall case, appropriate for the entire case. It provides you the option to associate a different cost center to an individual item than might be appropriate for the entire case. This drop-down list is populated with available cost centers as defined by your firm. Note: If you require additional values, contact your System Administrator.
Loss Averted Type (if applicable)	The type of averted loss entry represented by this record. The specification of Averted Loss Types is optionally provided by your firm. If no averted loss Types have been defined, then this drop-down will provide no entries for selection.
Loss Payee (if applicable)	The specification of a payee identified for the loss amount represented by this record.
Description	The descriptive comments regarding the current item being entered in the row.

- Click Save. A confirmation message is displayed.
- Click Cancel. The window closes and navigates you to the refreshed list of Loss and Recovery, and the updated records are displayed. Also, corresponding audit entries are recorded on the case.

Modifying and Removing Loss and Recovery Details

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

To modify Loss and Recovery Details, follow these steps:

- Navigate to the Financials tab.
- Go to the Potential Loss, Averted Loss, and Recovery section.
- Select the check box for the required record. Click Editor Remove.

Note

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

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

Viewing Loss and Recovery History

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

The current versions of all records displayed in the current section and any previously edited versions that may exist of each record. Additionally, the system displays any deleted records and any previous versions of those deleted records. For each line item that has been edited or

deleted, the system displays each loss and recovery item in an order reflecting the most current version of the record followed by previous and inactive versions of that record.

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

To view Loss and Recovery history, follow these steps:

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

5.6.10 Using Security Tab

About Security Tab

The Security tab displays information about the alerted securities that are associated with this case. Information is captured for a broad range of securities, including equities, fixed income, mutual funds, options, and futures.

The following tasks are performed using the Security tab:

- View and analyze the list of securities that are associated with the case
- Retrieve the security details
- View and analyze the market daily profiles that are associated with the security
- View and analyze the firm daily profiles that are associated with the security

List of Securities

The List of Securities section provides information about all alerted securities that are associated with this case. You can also add, search, view, delete, and export the security details by clicking the respective icons available in the List of Securities grid. These actions are recorded in the case Audit History.

To add a security record to the case, follow these steps:

1. Click the Add icon in the List of Securities grid.
The Add Security page is displayed.
2. Search the record using any of the fields:
 - Security ID: Use one or multiple IDs separated by commas.
 - Security Name: Only single name search is allowed. You can also use wildcard search.
 - ISIN: Use one or multiple IDs separated by commas.
3. Click Search.
The corresponding records are displayed in the List of Securities grid.
4. Select one or multiple records and click the Add icon.

Viewing Security Details

To view more details about the alerted security, follow these steps:

1. Select the check box associated with the security in the List of Securities.
2. Click View Security Details.

Viewing Market Daily Profiles

The Market Daily Profiles section provides information about the daily trading activity across all markets for this security.

Viewing Firm Daily Profiles

The Firm Daily Profiles section provides daily summaries of trading activity across the financial institution for this security.

5.6.11 Using Registered Representative Tab

About Registered Representative Tab

The Registered Representative tab displays information about the registered representatives associated with the events of this case. Investigators can use this information to provide insight on registered representative motivations through examination of trading activity in accounts with which they are associated.

The following tasks are performed using the Registered Representative tab:

- View and analyze the registered representatives that are associated with the case
- Retrieve detailed information for the registered representatives.
- Retrieve contact information for the registered representatives.

List of Registered Representatives

The List of Registered Representatives section provides information about registered representatives that are associated with this case.

Details

The Details section provides employment information about the selected registered representative.

To view more details about the registered representative, follow these steps:

1. Select the check box associated with the registered representative in the List of Registered Representatives.
2. Click View Registered Representative Details.
3. The details for the selected registered representative display in the Details section.

Contact Information

The Contact Information section provides contact information about the selected registered representative.

To view contact information for the registered representative, follow these steps:

1. Select the check box associated with the registered representative in the List of Registered Representatives.
2. Click View Registered Representative Details.

3. The contact information for the selected registered representative display in the Contact Information section.

5.6.12 Using Conductor Tab

This tab is introduced as part of CA-STR functionality. In order to view this map this tab to your case types using Case Designer.

For more information, see the Case Designer section in [Administration and Configuration Guide](#).

In case the conductor is not a customer of the bank, their details are displayed the Conductor tab. You can select the conductor and click View Conductor Details to view information on the conductor. Related parties of the conductor are displayed under the Related Parties tab.

The related parties can be either a customer of the bank or not a customer of the bank.

If related parties are customers of the bank, their names are displayed in the Customer List inside the Customer tab.

If related parties are not customers of the bank, they can be viewed under by clicking the View External Parties button in the Conductor List grid.

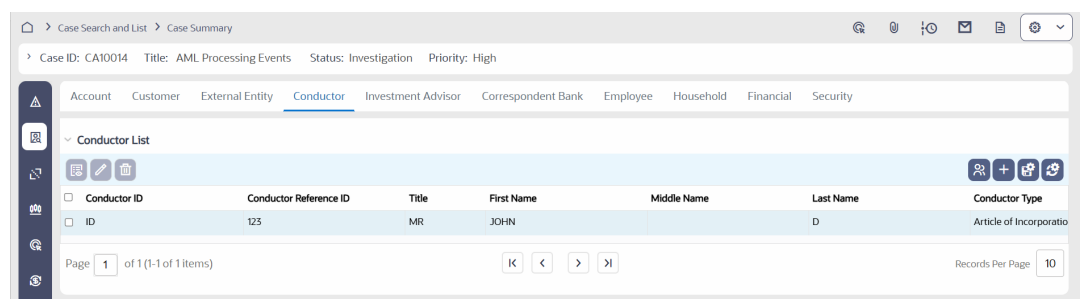
The Conductor tab displays the following conductor-related information:

- Details: displays basic information about conductor.
- Conductor Address: displays the address of the conductor.
- Conductor Identification Documents: displays the identification documents of the conductor.
- Conductor Email: displays the email address of the conductor.
- Conductor Phone: displays the phone number of the conductor.
- Related Parties: displays the related parties of the conductor.

To view the Conductor tab, follow these steps:

1. From the homepage, click Enterprise Case Investigation.
2. Click Search Cases.
The Case Search page is displayed. Open the required Case List (EX: CA100).
3. Click the Entities Tab.
Account List is displayed.
4. Click the Conductor Tab.

Figure 5-43 Conductor Tab



Conductor List

This section displays conductor-related information – Conductor ID, Conductor Reference ID, Conductor Name, Conductor Type, Tax ID, and Edit History.

You can also add, edit, view and delete the conductor details by clicking the respective icons available in the Conductor List grid.

To add/edit/delete a conductor record to the case, follow these steps:

1. Click the Add icon in the Conductor List grid.
The Related Parties page is displayed.
2. Select the related party from the Related Party ID drop-down.
The Customer Yes/No drop-down is auto populated based on the selected related party.

You can define the relationship type by selecting the type from the Relationship Type drop-down.
3. Click Save to add the related party.
4. Click the Edit icon, make the required changes, and click Save.
The add and edit actions are recorded in the Audit History.

Select a record, click the Delete icon, and click OK.

Viewing External Parties

You can click the View External Parties icon to view the associated external parties.

The External Parties grid displays the following information:

- External Party ID
- External Party Name
- City
- Country
- Edit History

In the External Parties grid, you can perform the following actions:

- Add
- Edit
- Delete

The Add icon is disabled when a record is selected in the grid. You can select multiple records and delete all of them from a case.

5.6.13 Using Trade Finance Tab

About Trade Finance Tab

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

The Trade Finance tab has the following sections:

- Letter of Credit Contract: details the list of credit contracts associated with the selected case.

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

Managing Letter of Credit Contract Details

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

For more information, see the [TBAML](#) Guides.

Viewing Letter of Credit Contract Event

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

This identifies the following details:

- Type of trade finance contract (that is, letter of credit, guarantee, shipping guarantee, and reimbursement)
- Various life cycles of a trade finance contract, such as issuance of a contract, amendments to a contract, or cancellation of a contract, captured as events
- Relationships to other trade finance contracts such as the import letter of credit associated to a guarantee
- Terms, conditions and details of a trade finance contract
- Details of a transferred letter of credit

Viewing Letter of Credit Contract Good/Service

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

Viewing Letter of Credit Contract Party

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

Viewing Letter of Credit Contract Document

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

Managing Documentary Collection Contract Details

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

For more information, see the [TBAML](#) Guides.

Viewing Documentary Collection Contract Event

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

- Terms, conditions, and details of a documentary collection contract.
- Various life cycles of a documentary collection contract, such as booking of a contract, amendments to a contract, refusal of a contract, or cancellation of a contract captured as events.
- Operations on a documentary collection contract such as Advance, Discount, Purchase, Negotiation, and so on, which are captured through a modification event.
- Payments and charges associated with a documentary collection contract.

Viewing Documentary Collection Contract Good/Service

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

Viewing Documentary Collection Contract Party

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

Viewing Documentary Collection Contract Document

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

5.6.14 Using KYC Risk Score Tab

About KYC Risk Score Tab

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

Note

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

The KYC Risk Score tab has the following sections:

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

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

- View and analyze the list of KYC event details associated with the case
- View and analyze the individual KYC events details

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

Managing KYC Event List

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

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

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

Managing KYC Event Details

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

Viewing Rule Based Assessment

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

The Rule Based Assessment displays the following fields as described in the following table.

Table 5-27 Rule Based Assessment

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

Viewing Algorithm Based Assessment

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

The Algorithm Based Assessment displays the following fields as described in the following table.

Table 5-28 Algorithm Based Assessment

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

Viewing Accelerated Rule Trigger

This section displays the accelerated review rule which is associated with the primary customer. For the ML Based Anomaly Detection Rule, the rule details display in a pop-up window.

Figure 5-44 Anomaly Detection - Evidence Details

Anomaly Detection - Evidence Details				
ML Based Anomaly Detection Rule Details				
Feature Name	Feature Description	Significance	Contribution	Impact on Risk
MAX_AVG_CR_AMT	Unusual incoming amounts throu...	Very High	1.01018	Increase
MAX_AVG_DB_CNT	Feature Tag/Feature Description ...	High	0.16928	Decrease
TOTAL_AVG_DB_CNT	Unusual volume of withdrawals w...	Medium	0.13039	Increase
TOTAL_AVG_CR_AMT	Unusual amounts of deposits wh...	Low	0.09098	Decrease

Page 1 of 1 (1-4 of 4 items) < > >> Records Per Page 10 Close

Viewing Interested Party Details

This section displays interested parties of a primary customer if any. For more information, see [KYC Assessment Guide](#).

5.6.15 Using Onboarding Risk Score Tab

About Onboarding Risk Score Tab

This tab displays information on the events which were a reason for creating the case. It displays all events of this case along with the details of how the risk score was calculated, the relationships the customer holds with other parties (internal customers and non-customers). This is available only for KYC_OB Case type. This tab is specifically for KYC Onboarding Prospect cases.

The link of the questionnaire is displayed in the Risk Score section. After clicking this link, the questionnaire details display.

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

You can perform any action on closed case using the **Take Action** link. For more information, see [Using TakeAction Window](#).

Managing Risk Assessment List

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

- Risk Assessment ID: It is the unique identification for the risk assessment.
- Applicant ID: Displays the Applicant ID of the risk assessment.
- Applicant Name: Displays the name of the Applicant on whom the risk assessment is performed.
- Risk Score: Displays the most recent risk score.

Managing Score and Applicant Details

- Applicant risk score. The risk score is the highest score of the Rule-based assessment details and Model-based/Algorithm-based assessment details.
- Applicant details. You can view basic information about the applicant such as the contact number, e-mail address, occupation and so on.
- Rule Based Assessment Details: Risk score assigned to each component of the Rule-based assessment such as occupation, citizenship source (primary or secondary) and so on.
- Model Based Assessment Details: Risk score assigned to each component of the Model-based/ Algorithm-based assessment such as watch list risk
- Watch List details: Customers who match against the configured watchlist(s) are displayed under this grid. It also displays the key watchlist attributes for the matched record.
- User can dispose off the watchlist match records as "True Positive" or "False Positive" post proper due diligence. Also, the user can re-compute the KYC Risk Score if any of the match records are disposed of as "False Positive". If the KYC Risk Score changes post-match disposition, the same is updated in the Risk Assessment Details grid.

5.6.16 Using KYC Customer Dashboard Tab

About Customer Dashboard Tab

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

Customer Details and Case Score Panel

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

- Customer ID: ID on whom the case is created, this displays the customer ID who has been risk scored
- Customer Name: Name on whom the case is created, this displays the customer name who has been risk scored

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

Customer Risk Score History

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

Risk Score History

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

Network Diagram

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

- Human: Customer to Customer
- \$:Indicates Customer to Account
- Blue Human: Indicates Customer to External Party (parties who are not internal customers of the bank)
Refer to Network tab section on details of the settings, configuration, and details of Edges, Nodes and soon.

5.6.17 Using Customer Screening Tab

About Customer Screening Tab

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

The Customer Screening tab has the following sections:

- Alert Summary: details the alerts associated with the selected escalated customer screening case.
- Customer Screening Event List: details the list of Customer Screening Events associated with the selected case.
- Customer Screening Event Details: provides complete information of the selected Customer Screening event.

The following tasks are performed using the Customer Screening tab:

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

Note

If Oracle's Customer Screening application is implemented in your instance, any action taken on an escalated case is sent to the Customer Screening application as feedback.

Managing Customer Screening List

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

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

Deciding Customer Screening Event as True or False

To decide whether the Customer Screening Event is True positive or False positive, follow these steps:

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

Managing Customer Screening Event Details

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

Viewing Matches List

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

Note

The Matches List section is not displayed for Escalated Customer Screening case types.

Viewing Alert Summary

This section displays the details of the escalated alerts from the L1 Customer Screening system. This provides details of the Alert ID, Alert Type, Screening Type, Primary Name, Jurisdiction, Business Domain, Due Date, Assignee, Match score, Risk Score, and so on.

Note

The Alert Summary section is only displayed for Escalated Customer Screening case types.

Viewing Customer and Watchlist Details

This section has the following subsections:

- Watchlist Details: displays the complete Watchlist details pertaining to the selected event. For example, risk score, priority score, profile link.
- Customer Details: displays the complete details of the customer pertaining to the selected event in the following tabs.
 - Customer Details: displays basic information about customer
 - Accounts: displays the list of accounts information of the customer
 - Addresses: displays the addresses of the customer
 - Identification Details: displays the identification documents of the customer
 - Country Details: displays the countries associated with the customer
 - Aliases: displays any aliases used by the customer

5.6.18 Using External Entity Screening Tab

About External Entity Screening Tab

This tab displays information pertaining to External Entity Screening events. This tab is available only for Customer Screening and Escalated Customer Screening cases.

The External Entity Screening tab has the following sections:

- Alert Summary: details the alerts associated with the selected escalated customer screening case.
- Event List: details the list of External Entity Screening Events associated with the selected case.
- Matches List: details the list of matches associated with the selected case.

The following tasks are performed using the External Entity Screening tab:

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

- View and analyze the list of External Entity Screening match details associated with the case
- View and analyze the individual External Entity Screening events details such as matches list, entity and watchlist details

Note

If Oracle's Customer Screening application is implemented in your instance, any action taken on an escalated case is sent to the Customer Screening application as feedback.

Managing External Entity Screening List

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

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

Deciding Event as True or False

To decide whether an Event is True positive or False positive, follow these steps:

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

Managing External Entity Screening Event Details

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

Viewing Matches List

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

Note

The Matches List section is not displayed for Escalated Customer Screening case types.

Viewing Alert Summary

This section displays the details of the escalated alerts from the L1 Customer Screening system. This provides details of the Alert ID, Alert Type, Screening Type, Primary Name, Jurisdiction, Business Domain, Due Date, Assignee, Match score, Risk Score, and so on.

Note

The Alert Summary section is only displayed for Escalated Customer Screening case types.

Viewing Entity and Watchlist Details

This section has the following subsections:

- Watchlist Details: displays the complete details of the Watchlist pertaining to the selected event.
- Entity Details: displays the complete details of the entity pertaining to the selected event.

5.6.19 Using Real Time Screening Tab

About Real Time Screening Tab

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

The Real Time Screening tab has the following sections:

- Alert Summary: details the alerts associated with the selected escalated customer screening case from the L1 Customer Screening system.
- Event List: details the list of Real Time Customer Screening Events associated with the selected case.
- Watchlist and Candidate Details: provides complete information about watchlists and candidates associated with the selected Real Time Customer Screening event.

The following tasks are performed using the Real Time Screening tab:

- View and analyze the list of Real Time Customer Screening event details associated with the case.
- View and analyze the individual Real Time Customer Screening events details such as matches list, customer and watchlist details.
- Determine whether the selected Real Time Customer Screening event is true or false.

Note

If Oracle's Customer Screening application is implemented in your instance, any action taken on an escalated case is sent to the Customer Screening application as feedback.

Managing Real Time Screening Event List

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

- View the list of events and navigate to Event Details to perform further analysis.

- Based on the analysis, you can determine whether the event is true or false.

Deciding Event as True or False

To decide whether the Event is True positive or False positive, follow these steps:

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

Managing Real Time Screening Event Details

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

Viewing Matches List

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

Note

The Matches List section is not displayed for Escalated Customer Screening case types.

Viewing Alert Summary

This section displays the details of the escalated alerts from the L1 Customer Screening system. This provides details of the Alert ID, Alert Type, Screening Type, Primary Name, Jurisdiction, Business Domain, Due Date, Assignee, Match score, Risk Score, and so on.

Note

The Alert Summary section is only displayed for Escalated Customer Screening case types.

Viewing Watchlist and Candidate Details

This section has the following subsections:

- Watchlist Details: displays the complete details of the Watchlist details pertaining to the selected event.
- Candidate Details: displays the complete details of the candidate pertaining to the selected event.

5.6.20 Using Transactions Tab

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

The following tasks are performed using the Transaction tab:

- View and analyze the list of back office, cash, funds transfer, monetary instrument transactions associated with the case
- Associate new transactions with the case
- Disassociate or modify existing transactions
- View and analyze the list and individual transactions details
- View and analyze the transaction data of a customer for a various date range, using the Transaction Chart

Adding New Transactions

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

1. Navigate to the Case Summary page.
2. Click Transaction tab. The Transaction page is displayed.
3. Click Add. The Add New Transaction window is displayed.
For more information on adding transactions, see [Managing Business Entity List](#)

Managing Transactions

Viewing Transaction List Details

To view transaction list details, follow these steps:

1. Navigate to the Transaction tab. The transactions which are associated with this case display.
2. Click the respective Transaction tab (Cash Transactions, Funds Transfer, Monetary Instrument Transaction, or Back Office Transaction) to view the Details.
3. Click a transaction. The selected transaction window displays the details of the transaction and the number of transaction types associated with the case.

Viewing Individual Transaction Details

To view individual transaction details, follow these steps:

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

Modifying and Removing Transactions

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

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

Select the required transaction. Click Delete.

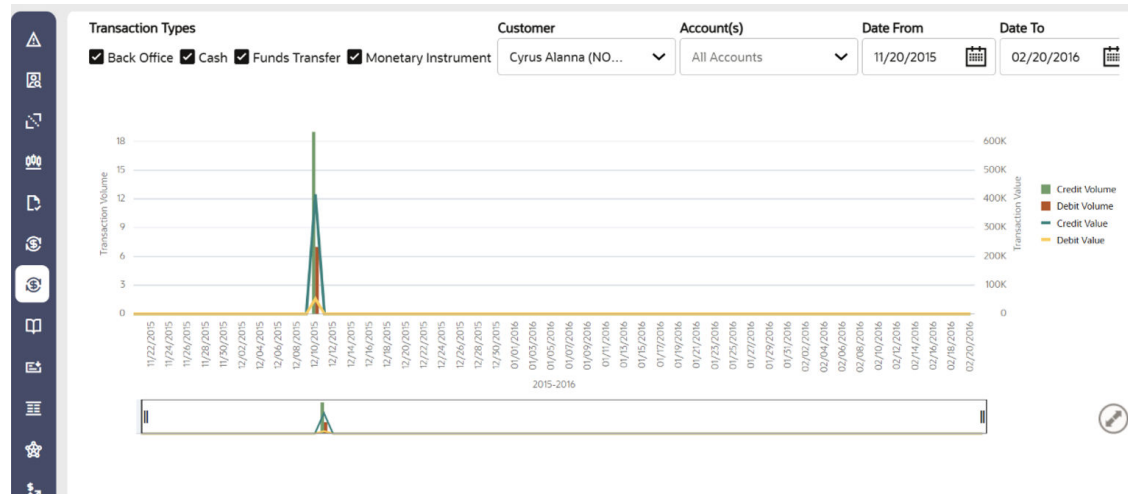
For more information, see [Managing Business Entity Records](#).

Click the History link to view a historical record of changes made to the transactions. This link displays only for records which have been edited.

About Transaction Chart

This section displays a graphical representation of all the transactions for all the customers involved in the selected case within the defined time period. This helps investigators identify patterns of expected customer activity.

Figure 5-45 Transaction Chart



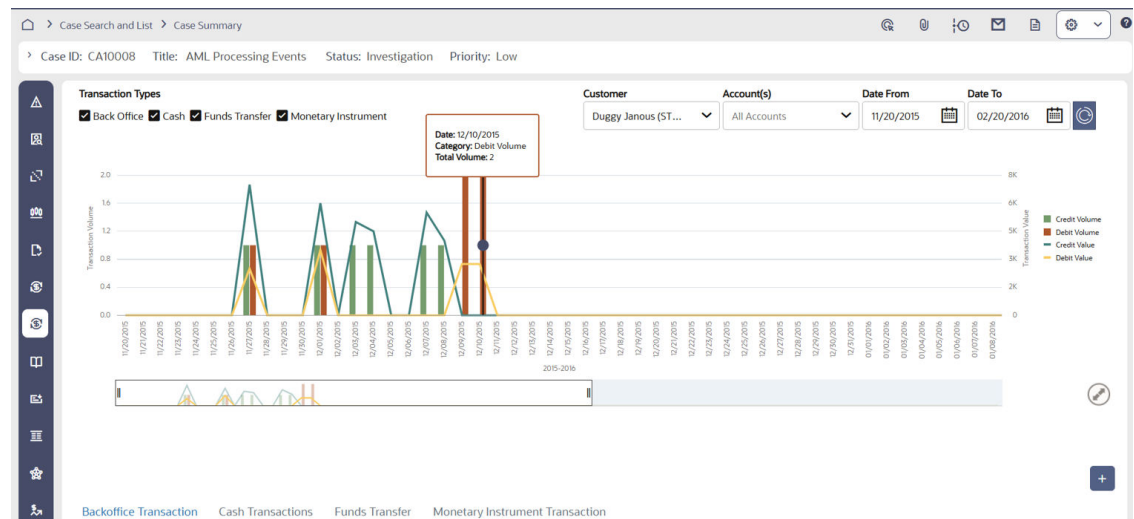
All users can view the transactions using the following steps:

1. Navigate to the Transactions diagram by clicking the Transactions tab from the Case Summary page.
2. You can filter which transactions display in the chart.
 - Select the types of Transactions you want to view in the graph. All Transaction Types are selected by default.
 - Select the Customer you want to view the Transactions for, from the drop-down list. The graph will display transactions from all accounts of the customer.
 - Select the Accounts you want to view Transactions for, from the drop-down list. All Accounts are selected by default.
 - Select the date range for these transactions using the Date To and Date From calendar options. The default search date range is 3 months from the current date and it can be configured. The OOB manual search date range is 12 months and it also can be configured. For more details, see [Administration Guide](#).
 - Scroll or zoom out to view a longer date range. You can also resize the window in the overview bar. The chart will display at the scale selected.
 - Scroll or zoom in to view a shorter date range. You can also resize the window in the overview bar. The chart will display at the scale selected.
 - Click and drag to move to other sections of the graph.
 - The overview bar provides the trend of the transactions over the defined time period. Resizing the window in this bar displays the Transactions chart in the time range selected.

Hover over the transaction to view transaction details such as,

- Transaction Date: Specifies the date on which the transaction occurred.
- Transaction Category: Specifies the transaction category whether it is Debit Value, Credit Value, Debit Volume or Credit Volume
- Total Volume or Total Value: Specifies the transaction volume or value depending on the Transaction Category.

Figure 5-46 Transaction Chart



Note

- Click Reset to clear the filters
- Click Expand to open the graph in a new window.

5.6.21 Using Transactions Tab

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

This tab displays all transactions which are associated to the events on the case as well as any others which have been identified as needing to be part of the case investigation. You are able to view the details of an individual transaction, search on other, non-evented transactions for entities on the case, add those transactions to the case and provide the context, via labels, in which the transaction is related to this investigation.

If a particular transaction is on the case because it was part of an event, then the Evented label is displayed for that transaction. Transactions on the case can also be assigned other labels.

Note

Your System Administrator can map the Transaction tab to your case type using Case Designer. For more information, see the *Managing Case Designer* chapter in [Administration and Configuration Guide](#).

Using Transactions Tab Search Criteria

This section describes how to search and view transactions, and add transactions to a case.

You can search and view the non-case entity (customer or account that are not on the case) transactions. It allows you to view transactions for any account/customer (personal or non-personal) within the organization without first having to add that account/customer to the Entities tab of a case.

Viewing Transactions

A single grid displays all transactions across all transaction types. Each transaction type, except cash transactions, includes a Details link which provides additional information.

By default, only labeled transactions are displayed. Initially, these are only evented transactions but this can be expanded to include others which are searched on and then added to the case.

You can export the list of transactions to Excel or CSV format.

Note

- The Transaction tab displays information from the case transaction on the initial load. When using the Search criteria, however, the result will list the transactions from business data.
- The Transactions tab displays transactions in chronological order by default when it is loaded.

The following table details the transaction information displayed.

Table 5-29 Transaction Information

Column	Description
Details	This link displays information on the specific transaction type (Back Office or Monetary Instrument or Funds Transfer).
Labels	Displays the transaction labels.
Transaction ID	Displays the transaction ID.
Transaction Type	Displays the transaction type.
Transaction Date	Displays the date of transaction in chronological order.
Posting Date	Displays the date when the event was posted. It shows based on the logged in user's local time.
Account ID	Displays the account ID for the transaction types.
Account Name	Displays the account name for the transaction types.

Table 5-29 (Cont.) Transaction Information

Column	Description
Debit/Credit	Displays whether the transaction is debit or credit.
Activity Amount	Displays the activity amount.
Base Amount	Displays the base amount.
Functional Amount	Displays the functional amount.
Transaction Description	Displays description entered for transaction.
Transaction Channel Code	Displays the channel code (Teller Line or Mobile or Online or Merchant) through which transaction was made.
Branch/Store/Transit #	Displays Branch/Store/Transit number of the financial institution where the transaction occurred.
Subtype	Displays the client defined Subtype code.
Location Name	Displays the location name and ID for cash transactions.
Location Address	Displays the location address for cash transactions.
Conductor/Party Name	Displays name of the conductor/party.
Conductor Internal/ External	Indicates whether external (non-customer) or internal conductor (customer of the bank). In case of an internal conductor, the details can be viewed under the Customer tab. In case of an external conductor, the details can be viewed under the Conductor tab. This information is displayed only after CA-STR-related configurations are implemented. For more information see the <i>Conductor-related Data Movement for CA-STR</i> and <i>Displaying CA-STR Fields in ECM UI</i> sections in Administration and Configuration Guide.
Originator	Displays name of the originator for Funds Transfer related transactions.
Beneficiary	Displays name of beneficiary who received the funds.
Country	• Credit: Displays the Beneficiary Country. • Debit: Displays Originator Country.

Searching Case Entity-related Transactions

To search additional transactions which are part of the case, follow these steps:

1. Navigate to the Transaction tab. The existing labeled transactions are displayed by default.
2. To find a particular transaction, enter the following information in their search respective fields as described in the following table.

Table 5-30 Search Criteria

Field	Description
Date From*	Select a start date for when you wish the transactions to be displayed.

Table 5-30 (Cont.) Search Criteria

Field	Description
Date To*	Enter an end date for the transactions to be displayed.
Customer	Select Customer. These are only customer that are on this case.
Account	Select Account. These are only account which are on the case or are related to the selected customer.
Transaction Type	Select one or more options from the following: • Back Office • Cash • Monetary Instrument • Funds Transfer
Transaction ID	The Transaction ID allows you to search for a transaction without having to enter any other Search criteria. Note: Search by Transaction ID ignores all other Search parameters.
Transaction Amount >=	Enter an amount which is greater than or equal to Transaction amount. This value is compared with the Activity Amount.
Labels	• Evented: These are the transactions that are associated with the evented transactions. This label cannot be removed. • Sampled: These are the manually added transactions that were added before the use of the new tab, use the Sampled tag. • Surrounding: This indicates transactions which are surrounding those that were events. • Suspicious: These are transactions which are suspicious and related to the case but were not evented. Note: The Label allows you to search for a transaction without having to enter any other Search criteria.

Table 5-30 (Cont.) Search Criteria

Field	Description
Customer ID/Account ID	The Customer ID/Account ID allow you to search for a transaction that is not on the case. Note: • Enter a maximum of ten Customer IDs/Account IDs separated by commas. • Search with either Customer ID or Account ID at a time. • When a Customer ID is entered, the Customer drop-down, Accounts drop-down, and Account ID field are all disabled. When a user types a customer name into the text field, all of the customer's accounts are searched. The user does not have to pick the accounts individually. However, the Customer drop-down will continue to display customers as part of the case. • When an Account ID is entered, the Customer drop-down, Accounts drop-down, and Customer ID field are all disabled. The Accounts drop-down menu will still display the case's customer accounts. • If Customer is selected from the Customer drop-down menu, searching with the Customer/Account ID is disabled. • If Account is selected from the Account drop-down menu, searching with Customer/Account IDs is disabled.

* -Mandatory fields

3. Click **Search**. The Search result displays the list of transactions that meet the search criteria.

Note

- If there is a business transaction available on a case with a customer's account that is not on the case, then such transactions will not be listed in the transaction search.
- On the initial Tab load, however, all labeled transactions will be displayed.

Searching Non-Case Entity-related Transactions

To search additional transactions which are part of the case, follow these steps:

1. Navigate to the Transaction tab. The existing labeled transactions are displayed by default.
2. To find a particular transaction, enter the following information in their search respective fields as described in the following table.

Table 5-31 Search Criteria

Field	Description
Date From*	Select a start date for when you wish the transactions to be displayed.
Date To*	Enter an end date for the transactions to be displayed.
Customer*	Select Customer. These are only customer that are on this case.
Account*	Select Account. These are only account which are on the case or are related to the selected customer.
Transaction Type	Select one or more options from the following: • Back Office • Cash • Monetary Instrument • Funds Transfer
Transaction ID	The Transaction ID allows you to search for a transaction without having to enter any other Search criteria. Note: Search by Transaction ID ignores all other Search parameters.
Transaction Amount >=	Enter an amount which is greater than or equal to Transaction amount. This value is compared with the Activity Amount.
Labels	• Evented: These are the transactions that are associated with the evented transactions. This label cannot be removed. • Sampled: These are the manually added transactions that were added before the use of the new tab, use the Sampled tag. • Surrounding: This indicates transactions which are surrounding those that were events. • Suspicious: These are transactions which are suspicious and related to the case but were not evented. Note: The Label allows you to search for a transaction without having to enter any other Search criteria.

* -Mandatory fields

3. Click Search. The Search result displays the list of transactions that meet the search criteria.

Note

- If there is a business transaction available on a case with a customer's account that is not on the case, then such transactions will not be listed in the transaction search.
- On the initial Tab load, however, all labeled transactions will be displayed.

Adding Searched Transaction to Case

You can add one or more searched transactions to the case. Once added, this action is recorded in the Audit History and is added to the Transaction Audit table. You cannot add a transaction to a closed case.

To add a searched transaction to a case, follow these steps:

1. Select one or more of the searched transactions and then click Add to Case icon. The Add Transactions page appears.
2. From the Labels drop-down, select one or more of the label(s).
3. Click Add to Case. A confirmation message is displayed.

Editing Transaction Labels

You can edit the existing labels in the transaction based on requirement. You can also delete the existing label or add a new one. When labels are removed from a transaction, it is removed from the labelled transaction list. To remove a transaction from a case, remove its label.

Transactions with the Evented label cannot have their label removed and therefore cannot be removed from the case.

Once edited, this action is recorded in the Audit History and is added to the Transaction Audit table.

To edit a label in the transaction, follow these steps:

1. Select a labeled transaction and then click the Edit icon. The Edit Label page appears.
2. From the Labels drop-down, select a new label or delete the existing label and then click Save.

Editing Multiple Transaction Labels

You can also select more than one labelled transaction (up to 100 per page in display) and edit at one go. You can add new labels (add to existing labels per transaction) or override (delete existing labels when adding labels as new).

Transactions with the Evented label cannot have their label removed.

Once edited, this action is recorded in the case Audit History.

To edit multiple transaction labels, follow these steps:

1. Select multiple transactions and then click the Set Label icon. The Set Label page appears.
2. From the Labels drop-down, select new labels or remove the existing labels and then click Save.
After selecting the labels check the Override existing labels check-box to override.

Adding Manual Transactions

Manually added transactions can only have the Surrounding, Sampled, and Suspicious labels. However, these cannot have an Evented label. There is no default Label while adding a manual transaction from the UI.

This section describes how to add the following manual transactions:

- Back Office
- Cash

- Fund Transfer
- Monetary Instrument (MI)

Once you add any of these transactions manually these are displayed in Audit History.

Note

- When a manual transaction is added with a customer's account that is not on the case, the manually added transactions will not be listed in the transaction search.
- On the initial Tab load, however, all labeled transactions (whether manually added or not) will be displayed.
- Not all values entered for a manual transaction are displayed in the transactions grid but they are stored in the database.

Adding Back Office/Cash/Fund Transfer/MI Transactions

This section describes how to add Back Office/Cash/Fund Transfer/MI transactions from the Transaction tab.

You can only search for and add Business Transactions. The manual transactions (which are labeled while adding the Case) are listed in the initial Tab load along with other labeled transactions but are not displayed when searching. We must ensure that the user can always return to only the transactions that are part of the case (including the manually added ones).

To add a Back Office/Cash/Fund Transfer/MI transaction, follow these steps:

1. Navigate to the Case Summary page.
2. Click the Transaction tab. The Transaction page is displayed.
3. Click Add. The Add Transaction List is displayed.
4. From the Select Transaction Type drop-down, select from one of the following options:
 - Back Office Transaction
 - Cash Transaction
 - Fund Transfer
 - Monetary Instrument
5. From the Labels drop-down, select from one or more of the following options:
 - Sampled
 - Surrounding
 - Suspicious

Based on the Transaction Type selected the fields are populated. The mandatory fields are marked with * asterisks. For more information, see [Transaction](#).
6. Click Save. The transaction will be added in the Transactions List grid.

Editing and Deleting the Manually Added Transactions

This section describes how to edit the manually added transactions. Once you edit any of these transactions manually it is displayed in Audit History.

Editing a Manually Added Transaction

This section describes how to edit a manually added transaction.

To edit a manually added transaction, follow these steps:

1. Navigate to the Case Summary page.
2. Click the Transaction tab. The Transaction List is displayed.
3. Select the Transaction(Edit is allowed for manually added Transactions only) and click the Edit icon. The Edit Transaction page is displayed.
4. Make the required updates and then click Save.

Deleting a Manually Added Transaction

This section describes how to delete a manually added transaction.

To delete a manually added transaction, follow these steps:

1. Navigate to the Case Summary page.
2. Click the Transaction tab. The Transaction List is displayed.
3. Select the Transaction(Delete is allowed only for Manually added transaction) and click the Delete icon. A confirmation message is displayed.

5.6.22 Using Real Time Fraud Event Tab

This tab displays information about Customer Real Time Fraud events. This tab is available only for the Real Time Fraud cases.

The Real Time Fraud Event tab has the following sections:

- Alert Summary: details the alerts associated with the selected Real Time Fraud case.
- Event List: details the list of Real Time Fraud Events associated with the selected case.
- Session and Customer Details: provides session and customer information of the selected Real Time Fraud event.

The following tasks are performed using the Real Time Fraud Event tab:

- View and analyze the list of Real Time Fraud event details associated with the case.
- View and analyze the individual Real Time Fraud events details such as session and customer details.
- Determine whether the selected Real Time Fraud event is Relevant or Non Relevant.

Note

If Oracle's Real Time Fraud application is implemented in your instance, any action taken on a case is sent to the Real Time Fraud application as feedback.

Managing Real Time Fraud List

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

- View the list of Real Time Fraud events and navigate to Real Time Fraud Event details to perform further analysis.
- Based on the analysis, you can determine whether the event is Relevant or Non Relevant.

Deciding Real Time Fraud Event as Relevant or Non Relevant

To decide whether the Real Time Fraud Event is True positive or False positive, follow these steps:

1. Navigate to the Real Time Fraud Event tab.
2. Select the required Real Time Fraud Event ID. Perform the complete analysis of the selected Event. For more information, see [Managing Real Time Fraud Event Details](#).
3. Select the event and click Set Event Decision.
4. Under Select Decision field, choose Relevant or Non Relevant from the drop-down list and provide comments as required and click save. A confirmation message is displayed.

Managing Real Time Fraud Event Details

This section allows you to view and analyze the complete details of the selected Real Time Fraud Event.

Viewing Alert Summary

This section displays the details of the alerts from the Real Time Fraud system. This provides details of the Alert ID, Jurisdiction, Assignee, Created Date, Business Domain, Decision, Alert Type, Due Date Time, Comments, and so on.

Viewing Event List

This section displays the list of events associated with the selected case. This provides details of TrxID, Originator, Orig Account Beneficiary, Beneficiary Account, Direction, Amount, Currency, Transaction Date, and Risk Score.

Viewing Session and Customer Details

This section has the following subsections:

- Session Details: displays the complete session details pertaining to the selected event. For example, IP Address, Terminal ID, Device ID, and so on.
- Customer Details: displays the complete details of the customer pertaining to the selected event. For example, Customer ID, Name, Date of Birth, and so on.

5.6.23 Managing Business Entity List

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

The Business tabs allow you to perform following actions:

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

- View currently updated information.

Adding an Entity

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

Adding a New Entity Manually

To add a new entity manually, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go to the business entity list section and click Add. The Add entity window is displayed.

Note

By default, the Search Existing Entities radio button option is selected.

3. Select Add Entity Manually radio button option. The Add entity window is displayed.
4. This is a sample Add entity window. This window and respective fields change based on the entity you select. For example, Customer, Account, and Employee.

Figure 5-47 Add Customer

The screenshot shows the 'Add Customer' window with the following fields and options:

- Radio Buttons:** ☒ Add Entity Manually, ☐ Search Existing Entities
- Customer ID ***: Text input field
- Customer Type ***: Dropdown menu (Select a value)
- Customer Organization Name**: Text input field
- First Name**: Text input field
- Middle Name**: Text input field
- Last Name**: Text input field
- Legal Code**: Text input field
- Tax ID Format**: Dropdown menu (Select a value)
- Tax ID**: Text input field
- Date of Birth**: Text input field
- Gender**: Dropdown menu (Select a value)
- Marital Status**: Dropdown menu (Select a value)
- Jurisdiction ***: Dropdown menu (Americas)
- Domain ***: Dropdown menu (GEN)
- City of Birth**: Text input field
- Region of Birth**: Text input field
- Primary Citizenship**: Dropdown menu (Select a value)
- Secondary Citizenship**: Dropdown menu (Select a value)
- Legal Structure**: Text input field
- Residence**: Dropdown menu (Select a value)
- Added on**: Text input field (MM/dd/yyyy) with a calendar icon
- Citizenship Status**: Text input field
- Estimated Net Worth**: Text input field
- Estimated Annual Income**: Text input field
- Estimated Liquid Net Worth**: Text input field
- Source of Wealth**: Text input field
- Credit Rating**: Text input field
- Credit Rating Source**: Text input field
- Credit Score**: Text input field
- Assets Outside of US**: Dropdown menu (Select a value)
- Employee**: Dropdown menu (Select a value)
- Works for FI**: Dropdown menu (Select a value)
- Employer**: Text input field
- Broker/Dealer**: Dropdown menu (Select a value)
- Occupation**: Dropdown menu (Select a value)
- Customer Status ***: Dropdown menu (Select a value)
- PEP**: Text input field

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

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

Note

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

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

Adding an Existing Entity

To add a new entity to a case, you can search for entities from the existing entities and then add them to the current case.

Adding a New Entity from Existing Case Entities

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

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

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

Note

The Add entity window and respective fields change based on the entity you select. For example, Customer, Account, and Employee.

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

Note

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

4. Click **Search**. The relevant search list is displayed.
5. Go to the Lists section, select the required entity and click **Add to Case**. A confirmation message is displayed.

Note

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

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

Adding a New Entity from Existing Business Entities

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

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

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

Note

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

5. Click **Search**. The relevant search list is displayed.
6. Go to the Lists section, select the required entity and click Add to Case. A confirmation message is displayed.

Note

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

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

Modifying an Entity

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

To modify an entity, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go to the entity section and select the required entity and click Edit. The Edit window is displayed.
3. Modify the necessary information in the required fields.
4. Click Save. A confirmation message is displayed. The window closes and navigates you to the refreshed list of business entities section, and the modified data is displayed. Also, corresponding audit entries are recorded on the case.

Removing an Entity

To remove an entity, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go to the entity section and select the required entity and click Remove. A confirmation message is displayed.

Note

If the entity is also an IP on the case, they will not be removed from the IP tab and a message is displayed indicating that the entity being removed is also marked as an involved party on this case. If the entity should no longer be an involved party, they also need to be removed from the Involved Party tab.

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

Designating as Involved Party

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

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

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

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Go to the entity list section and select the required entity and click Designating as Involved Party. The Designating as Involved Party window is displayed.
3. You cannot designate an entity as Involved Party if it is already designated.
4. Enter the following information in the respective fields as described in the following table.

Table 5-32 Designating as Involved Party

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

5. Click Save. A message is displayed indicating the selected business entity data is being transferred to the involved party record. Wait for data transfer to complete before taking any further action.
6. Click OK. The information is updated.
The selected entity information is transferred to the involved party record. The designated entities are available in the Involved Party tab for the selected case as linked involved parties.

Note

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

Viewing Current Information

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

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

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

5.6.24 Managing Business Entity Records

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

Adding New Business Record

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

To add a business information, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Select an entity from the List. The selected entity details are displayed with different sections.
3. Go to the respective sections and click Add. An Add window is displayed.
4. Enter the information in the respective fields.
5. Click Save. A confirmation message is displayed.
The new information is saved and associates it to the current entity. You can continue to add more information to the current entity.

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

Modifying Business Record

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

To modify existing business information, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.

2. Select an entity from the List. The selected entity details are displayed in various sections.
 3. Go to the respective sections and select the required record to modify.
 4. Click Edit. An Edit window is displayed.
 5. Modify the information in the respective fields.
 6. Click Save. A confirmation message is displayed.
The modified information is saved. The window closes and navigates to the refreshed list of business entities section. The modified information is displayed the edited record.
- Corresponding audit entries are recorded in the case.

Removing Business Record

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

To remove existing business information, follow these steps:

1. Navigate to the Case Summary page and go to the applicable business tab.
2. Select an entity from the List. The selected entity details are displayed with various sections.
3. Go to the respective section and select the required information to remove it.
4. Click Remove. A confirmation message is displayed.
5. Click OK to continue and save changes.
At any point in time, if you do not want to perform the selected action, click Cancel on the pop-up or on the pre-save confirmation message and to abort the action.

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

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

It is also possible to add, edit, and remove information in supplemental section that displays additional information. This information is specific to a business entity selected in the primary section list on the business tab. This supplemental information is displayed upon the selection of an entity in the primary section list and then navigating to the respective section.

6

Acting on Cases

6.1 About Case Action

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

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

Note

- If the selected case is locked, that is, another user has currently accessed the same case, an error message displays.
- If another user locks all selected cases, an error message displays.
- If some but not all of the selected cases are locked, the following message displays: One or more cases are locked by another user. Click **OK** to continue performing actions for cases, which are not locked.
- If you fail to select at least one check-box and click on any action button, an error message displays.

6.2 Using Take Action Window

The Take Action window allows taking various actions on case or cases. For example, Set Due Dates, Email, and Resolution of the case. Assign, Add Evidence are available in the Take Action pop-up window.

Note

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

To take action on multiple cases, use the Case List page.

Note

- When taking an action, adding evidence, assigning a case or adding a comment, the standard comments displayed will be specific to that action. When taking a combination of any of those actions, a super set of the standard comments are displayed.
- If you select to take a non-status changing action (e.g., Set Due Date and Add Comment), Add Comment-related comments are displayed.

6.2.1 Accessing Take Action Window

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

To take action on multiple cases, follow these steps:

1. Navigate to the Case List page. Select one or more cases using check-boxes.
2. Click the Take Action. The Take Actions window displays.

Figure 6-1 Take Action

6.2.2 Setting Due Date and Time

This section explains how to set a due date or clear existing due date set time (in hours & minutes) on cases.

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

To set a due date or clear due date and set time (in hours and minutes), follow these steps:

- a. Navigate to Take Action window.
Or,
Navigate to the Case List page. Click the Case ID link. The Case Summary page displays.
- b. Click Take Action link. The Take Action Window displays. To set the due date, select Set Due Date check-box. The Calendar field displays. Select the due date. Enter the timings in (hours and minute/s) and click Done.

Note

Manually entered due date overrides the default due date configuration.

Or, to clear the existing due date, select Clear Due Date check-box.

Note

Clear due date action overrides the default due date configuration.

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

Optional: assign user or group of users or set case owner, see [Taking Resolution Action](#) for more information.

Note

Entering comments is mandatory. If you do not enter comments, a warning message displays, indicating that some mandatory values are missing. Attaching documents is optional.

- d. Click Save. The application records the action, updates the case information, and navigates you to the refreshed Case List page or Case Summary page based on from where you took the action.

Note

- If you select cases in the Case List page with Closed status and try to set the due date, an error message displays.
- In the Case Summary page, if the case is in the closed status and try to set the due date, an error message displays.

6.2.3 Taking Resolution Action

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

Recommending a Case for resolution - if you are an Analyst user and perform the resolution action on a non-closed case, the case moves to the Recommend Closure status, where you need to assign to a supervisor for approval. The supervisor can approve or reject the recommendation. If approved, the case is closed and if rejected, the case is pushed back to the old status without closing. If you are a Supervisor user and perform the resolution action on a non-closed case, the case is directly closed without requiring additional approval.

Note

- When a Resolution action is performed and the case is moved to the Closed status, the existing due date of the case is cleared by the system.
- When a Resolution action is performed and the case is moved to the Closed status, the associated suppression requests workflow will be initiated and will be available in the Suppression Administration page.

To take resolution action, follow these steps:

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

Note

Entering comments is mandatory. If you do not enter comments, a warning message displays, indicating that some mandatory values are missing. Attaching documents is optional.

Optional: assign user or group of users or set case owner.

Optional: set due date for the case, for more information, see [Setting Due Date and Time](#).

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

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

6.2.4 Changing Case Type

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

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

To change the case type, follow these steps:

1. Navigate to the Take Action window. Go to the Resolution section.
2. Select Change Case Type.
3. Select the new Case Type and new Case Status. The Case Status is the status you want the case to be in when saved. To configure the list of statuses, see the *Configuring Change Case Type Action in PMF* section in [Administration and Configuration Guide](#).
4. Click Save.

6.2.5 Assigning Cases

You can assign one or more cases using the Take Action window. For more information, see [Assigning Case](#).

6.2.6 Adding Evidence

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

6.3 Assigning Case

You can assign cases from the Case List page, the Case Summary, or by using Take Action. This section describes how to assign cases or reassign ownership to different users or user groups.

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

6.3.1 Assign Case

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

1. Select one or more cases using check boxes

Note

If you select cases in the Case List page with Closed status and try to set Case Assignee or set Case Owner, an error message displays.

2. Click Assign. The Assign pop-up window displays.

If the selected case is in Closed status, the Assign button is not displayed.

Figure 6-2 Assign

Assign [X]

CA28802

Assign

☐ Auto Assignment ☐ Set Case Owner ☐ Set Case Assignee

Add Comment

Standard Comments

Enter Comments

Attach Document

[Paperclip icon]

Cancel Save

3. Select Auto Assignment, Set Case Assignee, or Set Case Owner by marking the check box.

Note

Auto Assignment option is mutually exclusive to the Set Case Assignee and Set Case Owner options. The **Set Case Assignee** and **Set Case Owner** drop-down lists will display the list of users who can take all types of actions (status-changing and non- status-changing actions) on the case in the resulting case status.

Auto Assignment option enables you to automatically assign an owner for a case through pre-defined rules. The pre-defined rules can be configured. For more information, see [Administration Guide](#).

If rules are not defined, cases cannot be automatically assigned, and the option is disabled.

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

Note

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

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

Note

- The standard comments are based on Case Type of the selected cases. You can select as many comments from the Standard Comments selection box as appropriate. For more information, see the *Configuring Standard Comment Data* section in [OFS ECM Administration and Configuration Guide 8.1.2.6.0](#).
- Entering comments is mandatory. If you do not enter comments, a warning message displays, indicating that some mandatory values are missing. Attaching documents is optional.

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

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

- If you select cases in the Case List page in Closed status and try to perform assignment actions, an error message displays. To save this action, select at least one status-changing action.
- In the Case Summary page, if the case is in Closed status and try to perform assignment actions, an error message displays. To save this action, select at least one status-changing action.

6.3.2 Assign Case to Self

To set yourself as the case assignee, follow these steps:

1. Select one or more cases using check boxes.

Note

If you select cases in the Case List page with Closed status, an error message displays.

2. Click Assign to me. A confirmation message displays.

6.4 Emailing Cases

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

Following two options are available:

- **SendEmail:** to send emails with no mechanism to receive a response back from the recipient.
- **Send RFI:** to send emails and have the recipient respond to a questionnaire included in the email.

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

6.4.1 Send Email

To email a case, follow these steps:

1. In the Case Summary page, click Send Email/RFI.
2. Select Send Email. The Email-related fields are displayed.
3. Enter the following information in the fields as described in the following table.

Table 6-1 Email a Case

Fields	Description
From	This shows the email address of the logged-in user or the default email user based on the Email configuration settings.
To	Enter the email address or addresses of the recipients. For multiple addresses, separate each address with a semi-colon but without any spaces.
Cc	Enter the email address or addresses of the recipients to whom you want to send a copy of the email.
Bcc	Enter the email address or addresses of the recipients to whom you want to send the copy of the email.
Subject	Displays the subject regarding the case that you want to email. This can be configured in Attribute 8 Value under 'E-mail' parameter using 'Manage Common Parameters'. For more information, see the <i>Configuring E- mail</i> section in Admin Guide .
Attach Files	Attach the files along with the mail if required.
Include Case Details	Select this check-box if you want to send the case details along with the email.
Email Content	Enter additional information regarding the case that you want to email.

4. After entering all the required details, click Send.

5. The content of the Email can be viewed by clicking on the Email Sent link in the Audit History.
For more information, see [Using Audit History](#).
6. The details of the Email can be viewed by clicking on Email Sent link in the Evidence.
For more information, see [Using Audit History](#).

6.4.2 Send RFI

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

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

To email a case, follow these steps:

1. In the Case Summary page, click Send Email/RFI.
2. Select Send RFI. The RFI related fields display.
3. Enter the following information in the fields as described in the following table.

Table 6-2 Send RFI

Item	Description
From	This shows the email address of the logged-in user or the default email user based on the Email configuration settings.
To	Enter the email address of the recipient.
CC	Enter the email address or addresses of the recipients to whom you want to send the copy of the email in order to respond to the RFI if the actual recipient is not available. Note: If more than recipient responds to the RFI and multiple responses are permitted for this Questionnaire, all responses will be recorded. The first response submission will update the status.
Bcc	Enter the email address or addresses of the recipients to whom you want to send the copy of the email.
Subject	Displays the subject regarding the case that you want to the email. This can be configured in Attribute 15 Value under 'E-mail' parameter using 'Manage Common Parameters'. For more information, see the <i>Configuring E-mail</i> section in Admin Guide .
Attach	Attach the files along with the mail if required.

Table 6-2 (Cont.) Send RFI

Item	Description
Select Questionnaire	Select the questionnaire from the drop-down list of available questionnaires. Only questionnaires associated with the selected case type display. You can send only one questionnaire at a time. Note: The Questionnaire Types drop-down list requires RFIACCESS permissions. Contact your system administrator to enable these permissions.
Select Entities Associated to this RFI	Select one or more customers or external entities who are on the case from the list, if desired.
Include Case Details	Select this check-box if you want to send the case details along with the email. The case context will be present in the email content.
Email Content	Enter additional information regarding the case that you want to email.

4. Click Send. The recipient of the email receives the mail with questionnaire details.
5. When the RFI email is sent, the status of the case displays as Pending RFI Response.
6. An RFI Sent action is also displayed in the Audit History. The details of the RFI can be viewed by click on the RFI Email link on the Audit History. For more information, see [Using Audit History](#).
7. When an RFI email is sent, the recipient (or recipients, if the CC field was used) will receive a token-based Questionnaire link, and the link's validity can be configured. If it exceeds the configured time limit (default value = 60 minutes), the RFI expires and an error page is displayed if the user attempts to access the link. If the user clicks the Questionnaire URL within the time limit, they will receive another email with the captcha. The RFI expiry is applicable only to token- based approach.

The token/non-token based approach for Questionnaire expiry can be configured. For more information, see the Configuring Token/Non-Token Based RFI section in [OFS ECM Administration and Configuration Guide 8.1.2.7.0](#).

 Note

To return the Case to the Investigation status, the Case User must click the Cancel RFI button in the Email or RFI grid in the Evidence tab.

8. Recipients must enter their captcha to open the questionnaire, fill and submit it. If the CC field was used, recipients can submit more than one response to a questionnaire. Otherwise only one response can be submitted to a questionnaire. A confirmation message will display when the form is submitted.

Note

- If you select cases in the Case List page with Closed status and try to perform any email action, an error message displays.
- In the Case Summary page, if the case is in the closed status and try to perform any email action, an error message displays.
- If you have selected two cases for an email action, you will receive two separate emails for respective cases.

6.5 Adding Evidence

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

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

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

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

Note

If you select cases with Closed status and try to add evidence, an error message displays

2. Click Add Evidence. The Add Evidence pop-up window displays.

Figure 6-3 Add Evidence

Add Evidence [X]

Evidence Type
☒ Comment ☐ Attachment

Standard Comments
[Multi-select list box]

Comments
[Text area]

[Cancel] [Save]

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

Note

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

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

5. Click Attach. Select documents from the source. You can attach multiple documents at a time. The size of attachment and percentage of attachment progress displays.
6. Enter comments in the Attach Comments box.
7. Click Save. The system records the action, updates the case information, and displays the added comments and attachments in the Comments and Attachment section of the Evidence.

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

- If you select cases in the Case List page in Closed status and try to perform evidence actions, an error message displays. To save this action, select at least one status-changing action.
- In the Case Summary page, if the case is in Closed status and try to perform evidence actions, an error message displays. To save this action, select at least one status-changing action.

6.6 Continuing Activity Investigations

If you have closed a case with a recommendation to file a US SAR regulatory report, a supplemental review is required to determine whether a continuing SAR is necessary. When you close and filing a SAR on an AML case, a new Continuing Activity (AML_CA) case is created.

The Continuing Activity case allows investigators to review activities which occurred after filing the SAR on the previous case. This case must be investigated and concluded within your firm's review

period, typically between 90-120 days. After this period, a continuing SAR must be filed, if necessary. 90 days after a SAR, FinCEN requires an investigation into the involved parties of the SAR.

If your firm has implemented Oracle FCCM Compliance Regulatory Reporting, when investigating the Continuing Activity case (AML_CA) you can view selected information from the SAR associated to the original case.

6.6.1 Creating a Continuing Activity Report Case

To create a CAR case you must:

- **Enable CRR:** Go to the Manage Common Parameters screen, from the **Parameter Category** drop-down, select **Deployment Based**, set the **Parameter Value** to **Y** for the **Regulatory Report Solution Web Service** parameter name, scroll down, and click **Save**. For more information on how to go the Manage Common Parameters screen, see the *Accessing Manage Parameters* section in [Administration and Configuration Guide](#).

Note

The Secure Direct Transfer Mode (SDTM) must be configured while setting up CAR Case Due Date.
For more information, see the *Configuring Secure Direct Transfer Mode (SDTM)* section in the [Oracle Financial Services Compliance Regulatory Reporting Admin Guide](#).

- **Configure CAR rules:** For more information see the *Configuring CAR Rules* section in [Administration and Configuration Guide](#).
- Under the **Customer/External Entity** tab, select the particular record, and then click the **Designate as Involved Party** button.
The Designate as Involved Party pop-up appears.
- From the **Select Relationship Type** drop-down list, select **Suspect**. Else, SAR filling action will be performed without creating a CAR case.
A Continuing Activity Report (CAR) case is automatically created when you select to file a USSAR from a case.

The Audit History of the case is updated with the CAR case ID. You can find the details under the Comments column in Audit History.

Note

- The data transfer to the CAR case will be based on the configuration. For more information, see the *System Parameters Deciding Entity Records to Car Cases* section in [Oracle Financial Services Enterprise Case Management Administration and Configuration Guide](#).
- If the File SAR action is taken twice on a case for some reason, it results in two reports at the CRR side. The first report must be closed and the second to be filed with the regulator.
- When the Closed SAR/CAR filed action is taken on a case (say, CA100), a CRR SAR and a regular CAR case (say, CA101) are generated. This marks the case (CA100) as closed.
If the user reopens the closed case (CA100) and performs the Closed SAR/CAR filed action again, the following validation occurs based on the current status of the previously generated CAR case (CA101):
 - If the previously generated CAR case (say, CA101) is closed. A new CAR case (say, CA102) is created.
 - If the previously generated CAR case (say, CA101) is still open. There is no new CAR case created.
- When the user re-opens the case and selects the No SAR Filed- Closed action, the CAR case does not close automatically, the user must close it.

On approval of the Report:

1. CRR receives this information, uploads the Acknowledgment file, and then initiates the e-filing process.
2. On successful initiation of the e-filing process, the CRR receives a msg.xml from FINCEN. The due date of CAR case is updated at this point.
3. After the completion of the US-SAR filing process, the CRR sends the SAR details via an API.
4. SAR details will be available under the Previous Report Summary tab of the corresponding CAR case in ECM.

The Previous Report Summary tab displays the Basic Details (Previous Case, Total Suspicious Amount, Date Range of Suspicious Activity, Prior BSA Identification Number, Cumulative Violation Amount, SAR Filed Date), Subject of Previous SAR (Customer, External Entity, and Account), Typologies from the SAR (Cyber Events, Fraud Type, Gaming Activities, etc.), and Narrative of the filed SAR.

Figure 6-4 Previous Report Summary tab

Case Search and List > Case Summary

Case ID: CA10014 Title: AML Processing Events Status: Investigation Priority: High

Basic Details

Previous Case

CA10014

Total Suspicious Amount

USD 1,243,554.00

Date Range of Suspicious Activity

01/10/2024 - 01/10/2024

Prior BSA Identification Number

31000017921488

Cumulative Total Violation Amount

USD 0.00

SAR Filed Date

03/12/2024

Subject of Previous SAR

Customer

Customer ID

Customer Name

Customer Type

No Records Found

External Entity

Entity ID

Entity Name

Entity Type

No Records Found

Account

You can map the Previous Report Summary tab to the AML_CA case type using Case Designer. For more information, see the *Managing Case Designer* section in [Administration and Configuration Guide](#).

7

Creating Events

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

About Event Creation

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

7.1 Creating an Event

This section explains how to create an event manually.

To create an event manually, follow these steps:

1. Navigate to the Enterprise Case Investigation page, see [Getting Started](#) for more information.
2. Click Create Event. The Create Event page displays.

Figure 7-1 Create event

The screenshot shows the 'Add Event' form, which is a modal window with a dark header bar containing the title 'Add Event' and a close button (X). The form is divided into two main sections: 'Event Details' and 'Entity Search'.

Event Details Section:

- Event Type ***: A dropdown menu.
- Scenario ***: A dropdown menu.
- Amount**: A small dropdown menu next to a text input field.
- Description ***: A large text area for entering details.

Entity Search Section:

- Entity Type**: A dropdown menu.
- Entity ID**: A text input field.
- Entity Name**: A text input field.
- ☐ **Entities on this Case**: A checkbox to filter results.

A blue **Search** button is located at the bottom right of the form.

- Enter the following information in the respective fields as described in the following table.

Note

The fields marked with * (asterisk) are mandatory.

Table 7-1 New Event Creation

Fields	Descriptions
Event Details	
Event Type	Select the event type from the drop-down list. For example, Anti-Money Laundering, Customer Screening, and so on.
Scenario	Select a scenario from the Scenario drop-down list. Note: Scenarios are displayed in the list based on the event type you select in the Event Type search field. If you do not select any event type, then all available scenarios are displayed.
Amount	Select the currency and enter the amount.
Description	Enter the description for the new event.
Entity Search	
Entity Type	Select the entity type from the drop-down list. For example, Account, Customer, Correspondent Bank, and External Entity.
Entity ID	Enter the entity ID. You can enter multiple IDs by comma separated.
Entity Name	Enter the entity name. The entities pertaining to that entity name are displayed. This supports wildcard searches.

- Click **Search**. The respective entity list displays.
- Select the entity from the list.

Note

Only one entity can be selected. If the Entity Type is selected as External Entity, then Jurisdiction, Associated Institution ID, Associated Institution fields will be available for search. **Search List.** When you click on **Entity ID** in **Search List** section, the details of associated Entity Names and corresponding Entity IDs will display in **Related External Entity** window. Multiple Entity Names can be present for an Entity ID or Multiple Entity IDs can be present for an Entity Name'. For example, External Entity ID "123456" can display multiple Entity Names, such as "GE Industrial Services", "GE Industrial Svr", "GE Ind. Svrs" in **Related External Entity** window. Similarly, External Entity Name "GE Industrial Services" can display the Entity IDs, such as "11", "22", "33" in **Related External Entity** window. An Entity ID/Name can have multiple Addresses which will be displayed in the Address pop-up.

When you view a case in the Event List, you can choose not to display one or more columns by clicking on a column > columns > deselect a column.

6. Click Create Event.

A confirmation message is displayed.

Note

When creating an Event from the UI with Account Focus, the Customer Name field is currently not populated. As a result, Customer Name will be displayed as blank for such manually created events (Event Details> Customer Account Building block> Customer Name).

8

Creating Cases

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

About Case Creation

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

Note

Since the manual adding of events and watchlist features is not available for these case types, manual case creation using the CS Case Type is not supported.

8.1 Accessing Create Case Page

This section explains how to access Create Case page.

To access Create Case page, follow these steps:

1. Navigate to the Enterprise Case Investigation page, see [Getting Started](#) for more information.
2. Select the Create Case. The Create Case page displays.

8.2 Creating a New Case

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

To create anew case,follow these steps:

1. Navigate to the Create Case page.

2. Select the case type from the Type drop-down list. Based on the Case Type selected, the Create New Case page displays with the relevant fields.

Note

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

Figure 8-1 Create New Case screen

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

- Type:** AML_SURV (selected in a dropdown)
- Title:** A text input field with a red asterisk indicating it is mandatory.
- Jurisdiction:** A dropdown menu with a red asterisk.
- Business Domain:** A multi-select dropdown menu with a red asterisk.
- Priority:** A dropdown menu with a red asterisk.
- Due:** A date input field (MM/dd/yyyy) with a calendar icon and a red asterisk.
- Assignee:** A dropdown menu with a red asterisk.
- Description:** A large text area with a red asterisk.
- Auto Assignment:** A checkbox.
- Buttons:** 'Reset' and 'Create' buttons at the bottom right.

3. Enter the following information in the respective fields.
The fields marked with * (asterisk) are mandatory as described in the following table.

Table 8-1 New Case Creation Fields

Fields	Description
Title	Enter a unique title for the case.
Jurisdiction	Select a business jurisdiction from the drop-down list to be assigned to the case. Only those Jurisdictions which are mapped to you are available in the drop-down list.
Business Domain	Select one or more business domain to be assigned to the case. Only those business domain which are mapped to you are available in the drop-down list.
Priority	Select the priority of the case from the drop-down list. The following are the options available: • High • Medium • Low
Due	Select the date from the calendar to set a due date for resolution. If the due date is not provided, the default due date is set by the system. Note: Every Case Type has its own pre-configured due date set by Admin.
Auto Assignment	Select this check box to automate the assignment of ownership of the new case.

Table 8-1 (Cont.) New Case Creation Fields

Fields	Description
	When you select this check box, the Owner and Assignee fields are disabled. The system automatically assigns the case owner through pre-defined rules. The predefined rules can be configured. For more information, see the Administration and Configuration Guide . If the rules are configured, this field is enabled for all case types. If no rules are defined, the check box is disabled.
Owner	Select the user from the drop-down list to assign as the owner of the case.
Assignee	Select the user from the drop-down list to assign for investigating and taking actions on the case. The assignee can be different than the owner of the case or can be the same user.
Risk Score	Select the customer's risk score generated for this case. This field is enabled for the KYC case types.
Description	Enter the details to describe the case.

4. Click Save. A case ID is generated and a confirmation message displays.
5. Click OK if you want to navigate to the case summary page of the created case or click Cancel if you want to remain in the new case creation page for further addition of cases

9

Archive or Unarchive Cases

You can archive old-closed cases in order to improve performance. This Archived Cases page displays only the closed cases. It helps you in loading the search result quicker. However, you cannot archive old business data. You can also bring back the archived cases into production whenever required. All relationship tabs will display archived, and non-archived data.

You can preview the cases and take action on them.

- Even if a user selects a status other than Closed from the Status drop-down in Advanced Search, only closed cases will be returned in the search results.
- If an archived case is re-opened with the Take Action button, the case will not be available in the UI (Archived Cases and Search Cases) until the Archival program is run to unarchive the case.

9.1 Archiving Cases

The Archival utility can be used to archive previously closed cases. To archive cases, the table must be configured with the necessary filter conditions. For more information on archiving cases, see the *Archiving/Unarchiving Cases* section in [Administration and Configuration Guide](#).

9.2 Viewing Archived Cases

You can view the archived cases on the Archived Cases page.

The Archived Cases menu will only display for users with View Archived Cases permission. Your user role must be mapped to the CMARCSRCH (V_FUNCTION_CODE) function to get permission. For more information on the user role - function map, see [AAI Guide](#).

To view the list of archived cases, follow these steps:

1. Navigate to the Enterprise Case Investigation page. For more information see [Getting Started](#).
2. Select **Archived Cases**. The Archived Cases page displays.

9.3 Preview (Archived) Case

This section describes how to preview the archived cases.

To preview an archived case, follow these steps:

1. Navigate to the Archived Cases page.
2. Select the Case ID.
3. Click Preview Case. The Case ID preview displays.

The following table provides the Preview Case details.

Table 9-1 Preview(Archived) Case

Item	Description
Case Title	Displays the title for the case.
Case Overview	Displays the Case Overview.
Last Action	Displays the Event Decision Updated by the Analyst based on the Account Type.
Customers	Displays the Customer(s).
Narrative	Displays the Narrative content.

9.4 Searching Archived Cases

You can search a particular case from the list of archived cases. You can use the Advanced Search option to filter your archived case list. For more information on how to use Advanced Search, see [Using Search Criteria](#).

Note

Even if a user selects a status other than Closed from the Status drop-down in Advanced Search, only closed cases will be returned in the search results.

9.5 Unarchiving or Reopening Cases

You can also unarchive the closed cases (that is archived) and bring back to the Case Search List.

To unarchive and reopen a closed case, follow these steps:

1. Navigate to the Enterprise Case Investigation page.
2. Select Archived Cases. The Archived Cases page displays.
3. Select the Case and click Take Action.
4. Select the Reopen check-box and click Save.
5. You must run the Archival utility in your database to unarchive the particular case to be available in the Case Search and List page.

Note

Status and non-Status changing actions are based on predefined PMF configurations and data tables. Although these actions can be performed in Archived Cases, they are not recommended, except for the case reopening type of actions.

10

Archive or Unarchive Events

You can archive events based on your requirement. You can view the archived events via:

- Search Events Page: For an archived event, under Event List the Archived column displays Yes.
- Case Search and List Page: Under the Relationship tab. This tab, however, displays all archived and unarchived events in detail.
- Research Page: Under the Relationship tab. This tab, however, displays all archived and unarchived events in detail.

For more information on how to archive/unarchive events, see the *Archiving/Unarchiving Events* section in [Administration and Configuration Guide](#).

11

Entity Research

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

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

Key Features

The following are the key features of Entity Research:

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

11.1 Accessing Research Page

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

11.2 Searching for an Entity

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

To search for an entity, follow these steps:

1. Navigate to the Entity Search and List page.

The following search criteria as described in the following table are available to find the entity you are looking for:

Note

All search fields are mutually exclusive unless otherwise noted.

Table 11-1 Form Fields to search the business entity

Field	Description
Entity Type	Select the Entity Type as Account, Customer, or External Entity
Entity ID	Enter the unique identification number of the entity selected in the Entity Type field.

Table 11-1 (Cont.) Form Fields to search the business entity

Field	Description
Entity Name	This field accepts wildcard entries. To search using a wildcard, use the % symbol. Minimum of three characters are required for wildcard search.
Tax ID	This field is only displayed if you select Account and Customer entity types.
Alternate ID	This field is only displayed if you select Account and Customer entity types.
Entity ID Type	This field displays only if you select the entity type as External Entity. To search with this field, you should provide value for Entity ID or Entity Name field.

2. Click Search. If the search criteria matches the values you have entered, the Entity Search and List page displays. These details vary based on the selected Entity Type (Account, Customer, or External Entities).
3. From the Entity Search and List page, click the Entity ID to view more details. The Entity Details page displays.

Note

The Search and View actions for Account and Customer are recorded. For more information, see the *Auditing Search/View Details for Account and Customer in Research UI* section in [Administration and Configuration Guide](#).

4. In the Overview tab, you can view details of the entity. These details vary based on the Entity Type (Account, Customer, or External Entities).
5. In the Relationships tab the events and cases related to the entity are displayed. The Case ID is hyperlinked to view the details of a related case

11.3 Creating an Event

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

12

Event Search

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

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

Key Features

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

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

12.1 Accessing Search Event Page

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

12.2 Searching for an Event

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

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

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

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

Figure 12-1 Search Events

Search Events

Event Search

Created From: 02/06/2005 To: 02/13/2026 Event ID: Event Age: Focus Type: Focus ID: Focus Name: Tax ID: Event Type: Scenario: Jurisdiction: Business Domain: Score: Reset Search

Event List

Event ID	Archived	Case ID	Jurisdiction	Business Domain	External Source System	Event Type	Focus Type	Focus ID
ECMRTT766414516301	No	CA14105	Americas	GEN	DLY	AML	Account	ACCT2701125844820315
ECMRTT766414445724	No	CA14104	Americas	GEN	DLY	AML	Account	ACCT2701125838209232
ECMRTT766414184428	No	CA14103	Americas	GEN	DLY	AML	Account	ACCT2701125839157404
ECMRTT766414158823	No	CA14105	Americas	GEN	DLY	AML	Customer	CSKEIND-0002685
ECMRTT766414093558	No	CA14102	Americas	GEN	DLY	AML	Customer	CSKEIND-0002685
ECMRTT766414047035	No	CA14101	Americas	GEN	DLY	AML	Customer	CSKEIND-0002684
ECMRTT766413990765	No	CA14100	Americas	GEN	DLY	AML	Customer	CSKEIND-0002683

To search for an event, follow these steps:

1. Navigate to the Event Search and List page.
2. Enter the following details to search for an event as described in the following table.

Note

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

Table 12-1 Form Fields to search Events

Field	Description
Created From Date	This filters the Case List with the cases whose creation date is greater than or equal to the date entered.
Created To Date	This filters the Case List with the cases whose creation date is less than or equal to the date entered.
Event ID	Entering this value will ignore the other search criteria fields.
Archived	Displays the archived status of event. If archived, Yes otherwise No.
Focus Type	Enter the focus type of event. For example, Account
Focus ID	Enter the focus ID of the event.
Focus Name	Enter the focus name of the event.
Tax ID	Enter the Tax ID of the event.
Event Type	Select the event type from the drop-down list. For example, Anti-Money Laundering, Customer Screening, or Know Your Customer.

Table 12-1 (Cont.) Form Fields to search Events

Field	Description
Scenario	Scenarios are displayed in the list based on the event type you select in the Event Type search field. If you don't select any event type then all available scenarios are displayed.
Event Age	This filters the Case List by the age of the case. The case age is the number of calendar days between case creation and current date.
Jurisdiction	This filters the Case List by the business jurisdiction associated with the case.
Business Domain	This filters the Case List by the business domain associated with a case.
Score	Enter the Event Score.

- Click Search. If the search criteria entered is correct, the Event Search and List page displays.

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

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

Figure 12-2 Event Details screen

Event ID	Archived	Case ID	Jurisdiction	Business Domain	External Source System	Event Type	Focus Type	Focus ID
ECHMRT766445301	No	CA1405	Americas	GEN	DLY	AML	Account	ACCT727012584820315
ECHMRT76644445724	No	CA1404	Americas	GEN	DLY	AML	Account	ACCT7270125838209232
ECHMRT76644184428	No	CA1403	Americas	GEN	DLY	AML	Account	ACCT7270125839157404
ECHMRT76644138823	No	CA1403	Americas	GEN	DLY	AML	Customer	CSXEIND-0002685
ECHMRT76644093358	No	CA1402	Americas	GEN	DLY	AML	Customer	CSXEIND-0002685
ECHMRT76644047035	No	CA1401	Americas	GEN	DLY	AML	Customer	CSXEIND-0002684
ECHMRT76641390785	No	CA1400	Americas	GEN	DLY	AML	Customer	CSXEIND-0002683

- On the **Event Details** tab, you can view detailed information of the Event. This shows the following details:
 - Details of the event.
 - Matched business data for the event
- On the **Relationships** tab, you can see all cases and events which are related to the case being viewed. This could be because they share the same business data or because the event is correlated into a related case. Click the **Case ID** to view the details of a related case. When you click the **Case ID**, you can view the details of the related case in the **Related Case History** window. This window includes the Event List, Evidence,

Narrative, and Audit History details of case. Click Event ID in the Event List section to view the details of the relevant event. Here, select **Include Historical Migrated Alerts** if you want to view migrated events along with other events of the ECM system.

Following additional Event Details are displayed for migrated events:

- On the **Narrative**, you can view the narrative details of the event.
- On the **Evidence**, you can view and analyze comments and attachments previously added to the events.
- On the **Audit History**, complete historic details of the event are displayed.

Figure 12-3 Events

Related Case History

>

Case ID: CA10034

Title: AML Processing Events

Status: Investigation

Priority: High

Event List

Evidence

Narrative

Audit History

Event ID	Focus Type	Focus	Focus Name	Event Type	Scenario Name	Event Generation Date	Highlight
33922	Account	ACCT270112583754...	Karen Emerson	AML	(ML/AC) High Risk ...	07/15/2025	Tot Very Hi
19084	Account	ACCT270112583754...	Karen Emerson	AML	(FR/AC) High Risk T...	07/15/2025	Tot Very Hi
ECMRT1771225555...	Account	ACPRCDSIMPEQTIT...	JOHNSON	AML	(CR/AC) Surpassing...	02/16/2026	sadsad
ECMRT17712255967...	Account	ACPRCDSIMPEQTIT...	JOHNSON	AML	(CR/AC) Surpassing...	02/16/2026	sdsad
ECMRT17712256316...	Account	ACPRCDSIMPEQTIT...	JOHNSON	AML	(CR/AC) Surpassing...	02/16/2026	sadsad

Page 1 of 1 (1-5 of 5 items)

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Records Per Page 10

13

Trusted Pairs Administration

This chapter describes the actions which are taken by supervisors after a Trusted Pair Request has been made.

Note

- The Trusted Pairs administration menu will display only for users that have Trusted Pairs administration permission. To get the permission, your user role must be mapped to the CMADMNTP (V_FUNCTION_CODE) function. For more information on the user role - function map see [AAI Guide](#).
- To edit the Trusted Pair rules, your user role must be mapped to the CMEDITTP (V_FUNCTION_CODE) function.

13.1 Taking Action on Trusted Pair Requests

When trusted pair requests are submitted for approval, the supervisor must review each and decide to approve or reject them. Without approval the trust will not go into effect.

Note

You must have permissions to take action on trusted pair requests.

To take action on a trusted pair request, follow these steps:

1. Navigate to Trusted Pairs Administration page.
2. Select the Trusted Pair ID.
3. Click Take Action. The Take Action pop-up window displays.

Based on the current status of trusted pairs, different actions are taken as described in the following table.

Table 13-1 Trusted Pairs Status and Actions

Trusted Pair Current Status	Available Actions
Pending Approval	• Approve Trust • Reject Trust
Approved	• Expire Trust • Extend Trust
Rejected	• Approve Trust
Expired	• Approve Trust • Reject Trust

Note

If an approved trust already exists for a selected pair, the message *One of the selected pairs already has an approved trust* is displayed. Select **OK** to expire the existing trust and establish the new trust.

4. Select 3, 6, 9 or 12 months from the Duration from the drop-down list. Administrator can configure additional Durations to display in this list. For more information, see the *Trusted Pairs* section the [Administration and Configuration Guide](#).
5. Select the Expiration Date. This will be populated based on the options selected in the Duration drop-down list. Selecting a different date will overwrite the existing value.
6. Enter comments in the Comment box for the selected option.
7. Click Save to take action on the trusted pair.

13.2 Searching Trusted Pairs

You can search for existing Trusted Pairs using the Trusted Pairs Administration page.

Note

The Trusted Pairs administration menu will display only for users who have Trusted Pairs administration permission.
To get this permission, your user role must be mapped to the CMADMNTP(V_FUNCTION_CODE) function. For more information on the user role - function map see the [AAI Guide](#).

To view Trusted Pair search results, follow these steps:

1. Navigate to the Trusted Pairs Administration page.

The following table describes the available search criteria for the trusted pair search Details screen.

Table 13-2 Trusted Pair Search

Item	Description
Created From	This filters the Trusted Pairs List with the pairs whose creation date is greater than or equal to the date entered.
Created To	This filters the Trusted Pairs List with the pairs whose creation date is less than or equal to the date entered.
Expiration Date From	This filters the Trusted Pairs List with the pairs whose Expiration date is greater than or equal to the date entered.
Expiration Date To	This filters the Trusted Pairs List with the pairs whose Expiration date is less than or equal to the date entered.

Table 13-2 (Cont.) Trusted Pair Search

Item	Description
Last Action Date From	This filters the Trusted Pairs List up to the date you enter by which the Last Action was taken on the Trusted Pairs, which is greater than or equal to the date you enter.
Last Action Date To	This filters the Trusted Pairs List up to the date you enter by which the Last Action was taken on the Trusted Pairs, which is less than or equal to the date you enter.
Entity Type	This filters the Trusted Pairs List by the entity type associated with a Trusted Pairs. When Entity type is specified, you must enter a value in Entity ID or Entity Name.
Entity ID	This filters the Trusted Pairs List by the entity associated with a Trusted Pairs. When Entity ID is specified, you must select a value in Entity type.
Entity Name	This searches Customers, Accounts and External Entities on either side of the pair. For Customers, it is the Customer associated to the trusted account.
Trusted Pair ID	Search by Trusted Pair ID will ignore all the other search parameters
Current Status	Status of the Trusted Pair

Note

Select **Created Date From** and **To**. The default is a 30-day look back period this can be configured using a Manage Common Parameter UI.

- Click Search to view the results.

Note

You can click Reset to clear the selected Trusted Pairs details.

Figure 13-1 Trusted Pairs Administration

The screenshot displays the 'Trusted Pairs Administration' interface. At the top, there's a breadcrumb 'Trusted Pairs Administration' and a search filter 'Trusted Pairs Search'. Below this, several search filters are visible: 'Created Date From' (14/01/2026) and 'To' (15/02/2026), 'Expiration Date From' (dd/MM/yyyy) and 'To' (dd/MM/yyyy), 'Last Action Date From' (dd/MM/yyyy) and 'To' (dd/MM/yyyy), 'Entity Type' (dropdown), 'Entity ID' (text input), 'Entity Name' (text input), 'Trusted Pair ID' (text input), and 'Current Status' (text input). There are 'Reset' and 'Search' buttons. Below the filters is a table titled 'Trusted Pair List' with columns: 'Trusted Pair ID', 'Status', 'Party 1 ID', 'Party 1 ID Type', 'Party 1 Name', 'Party 1 Risk', 'Party 2 ID Type', 'Party 2 Name', and 'Party 2 Risk'. The table contains three rows of data. At the bottom, there's a pagination bar showing 'Page 1 of 1 (1-3 of 3 items)' and 'Records Per Page 15'.

Trusted Pair ID	Status	Party 1 ID	Party 1 ID Type	Party 1 Name	Party 1 Risk	Party 2 ID Type	Party 2 Name	Party 2 Risk
160	Pending Approval	ACCR35640-005	Internal Account ID	PAUL	5	Internal Account ID	CENTS	5
161	Pending Approval	ACCR35640-005	Internal Account ID	PAUL	5	Internal Account ID	PAUL	0
162	Pending Approval	ACIA01	Other		0	External Account ID		0

13.3 Viewing Party Details

You can view details of the parties involved in a Trusted Pair using the Trusted Pairs Administration page.

To view party (**Party 1** and **Party 2**) details, follow these steps:

1. From the search results, select the Party ID associated with the first party in this pair from the Party 1 ID column to view Party details.

This action is recorded. For more information, see Trusted Pairs in [Administration and Configuration Guide](#).

Party1 ID details displays.

Figure 13-2 Party 1 ID Details

Party Details [Close]

PAUL (ACCR33640-005) Account Type: INV,RBR Account Ownership Type: Individual Account Status: Active
Open Date: 10/10/2006

[Account Overview](#) Relationship

Contact Information

Business: MAN,SUITE 1A,CB 139,GAMMA ROAD,DELTA SECTION,BETA 47,WEST,NEW YORK,NY,13501,US Business: 5444164646-3528

Customers

Customer Name	Customer ID	Customer Type	Tax ID
No Records Found			

Account Restrictions

Restriction	Added	Removed
No Records Found		

Risk List Membership

Events/Cases

Related Cases	Related Events
1	1

Risk Details

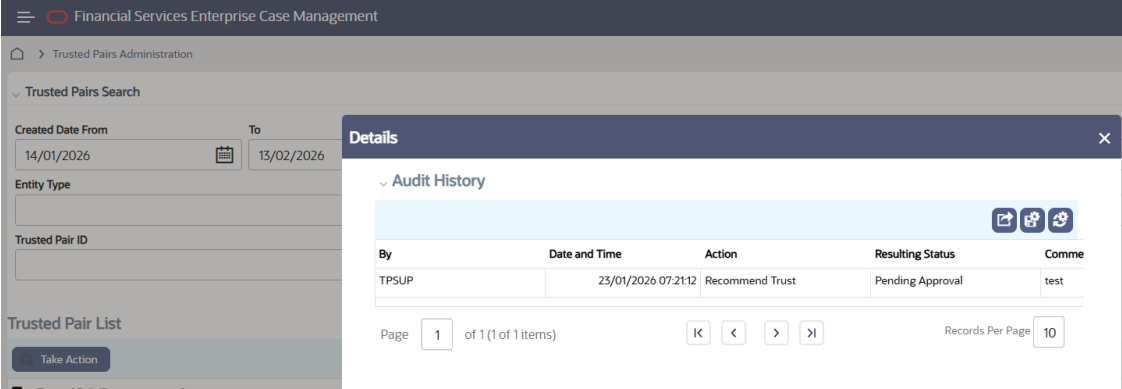
Effective Risk	Customer Risk
5	5
Watch List Risk	Business Risk
0	0
Geographic Risk	KYC Risk
0	

2. Click the Party ID associated with the second party in this pair from the Party 2 ID column to view the Party 2 details.

13.3.1 Audit History

This section displays the history of this trust, including the list of all changes or approvals for this trust. It displays, By, Date and Time, Action, Resulting Status and Comments.

Figure 13-3 Details - Audit History



13.3.2 Transaction History

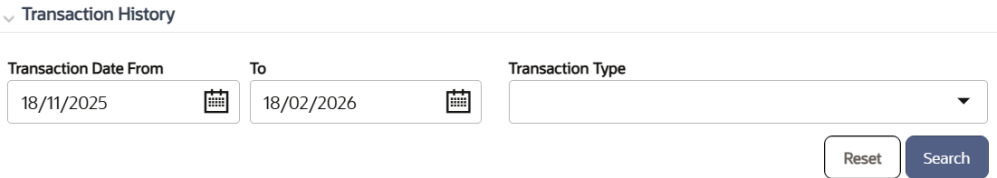
This section helps in understanding the historical transactions that have taken place between the parties to help determine whether the trust should be approved. Follow these steps to search Transaction Details based on selected Transaction Type (Back Office Transaction/ Fund Transfer/ Monetary Transaction).

1. Navigate to Trusted Pairs Administration page.
2. Click the Trusted Pair ID. The Details window displays.
3. Select the Transaction Date From and To.
4. Select the required Transaction Type from the drop-down.
5. Click Search. Transaction Type Details Back Office Transaction/ Fund Transfer/Monetary Transaction displays.

Note

You can click Reset to clear the selected Transaction Type from the drop-down.

Figure 13-4 Transaction History



13.3.3 Trusted Pair History

This section provides the previous trust information for this pair regardless of the direction. It displays Created On, Trusted Pair ID, Status, Party1 ID, Party1 ID Type and Party2 ID, Party2 ID Type, Direction, Expiration Date, Last Modified On, Last Comment.

To view the Trusted Pairs history, follow these steps:

- 1. Navigate to Trusted Pairs Administration page.
- 2. Click the Trusted Pair ID. The Details window displays with Trusted Pairs History.

Figure 13-5 Details screen

Details

> Audit History

Transaction History

Transaction Date From

To

Transaction Type

13/11/2025

13/02/2026

Reset

Search

Trusted Pairs History

Created On

Trusted Pair ID

Status

Party 1 ID

23/01/2026 07:21:12

160

Pending Approval

ACCR33640-005

Page

1

of 1 (1 of 1 items)

◀

<

>

▶

Records Per Page

10

Suppression Administration

This chapter describes the actions which are taken by supervisors after a Suppression Request has been made.

Note

The Suppression Administration menu will display only for users who have Suppression administration permissions. Users with the CMVIEWSUP role can view Suppression Rules, while users with the CMEDITSUP role can also edit suppression rules. For more information on user role - function map see [AAI Guide](#).

14.1 Taking Action on Suppression Requests

When event suppression requests are submitted for approval, the supervisor can review and approve or reject them.

To take action on an event suppression request, follow these steps:

1. Navigate to Suppression Administration page.
2. Select the Suppression ID.
3. Click Take Action. The Take Action pop-up window displays.

Based on the current status of event suppression, different actions are taken as described the following table.

Table 14-1 Suppression Status and Actions

Event Suppression Current Status	Available Actions
Pending Approval	• Approve Suppression • Reject Suppression
Approved	• Expire Suppression • Extend Suppression
Rejected	• Approve Suppression
Expired	• Approve Suppression • Reject Suppression

4. Select 3, 6, 9 or 12 months from the Duration from the drop-down list. Administrator can configure additional Durations to display in this list.

For more information, see the Event Suppression section in [Administration and Configuration Guide](#).

5. Select the Expiration Date. This will be populated based on the options selected in the Duration drop-down list. Selecting a different date will overwrite the existing value.
6. Enter comments in the Comment box for the selected option.
7. Click Save to take action on the suppression rule.

14.2 Searching Suppression Requests

You can search for existing Suppression Requests using the Suppression Administration page.

To view Suppression search results, follow these steps:

1. Navigate to the Suppression Administration page.

The following table describes the available search criteria for the Suppression Search Details screen.

Table 14-2 Suppression Search

Item	Description
Created Date From	This filters the Suppression List with suppression rules whose creation date is greater than or equal to the date entered.
Created To	This filters the Suppression List with suppression rules whose creation date is less than or equal to the date entered.
Expiration Date From	This filters the Suppression List with suppression rules whose Expiration date is greater than or equal to the date entered.
Expiration Date To	This filters the Suppression List with suppression rules whose Expiration date is less than or equal to the date entered.
Last Action Date From	This filters the Suppression List up to the date you enter by which the Last Action was taken on the suppression rule, which is greater than or equal to the date you enter.
Last Action Date To	This filters the Suppression List up to the date you enter by which the Last Action was taken on the suppression rule, which is less than or equal to the date you enter.
Focal Entity Type	This filters the Suppression List by the entity type associated. When an Entity type is specified, you must enter a value in Entity ID or Entity Name.
Focal Entity ID	This filters the Suppression List by the entity associated. When Entity ID is specified, you must select a value in Entity type.
Focal Entity Name	This searches Customers, Accounts and External Entities involved in the suppressed alerts. For Customers, it is the Customer associated with the account.
Scenario	This filters the suppression rules by the scenario associated with a rule that is, by the name of the behavior or activity that generated that rule.
Condition Description	Displays the description of the condition selected on the Set Event Decision screen.
Suppression ID	Search by Suppression ID will Ignore all the other search parameters

Table 14-2 (Cont.) Suppression Search

Item	Description
Current Status	This filters the suppression rules based on the rule status you select. The following are the options available: - Active - Inactive - Recommend

Note

Select Created Date From and To. The default is a 30 day look-back period this can be configured using the Manage Common Parameter UI.

- Click Search to view the results.

Note

You can click **Reset** to clear the selected suppression rule details

Figure 14-1 Suppression Administration Search Results

Suppression Administration

Suppression Search

Created Date From: 01/01/1900 To: 16/02/2026

Expiration Date From: dd/MM/yyyy To: dd/MM/yyyy

Last Action Date From: dd/MM/yyyy To: dd/MM/yyyy

Focal Entity Type: [Dropdown]

Focal Entity ID: [Text]

Focal Entity Name: [Text]

Scenario: [Text]

Condition Description: [Text]

Suppression ID: [Text]

Current Status: [Text]

Reset Search

Suppression List

Suppression ID	Status	Entity	Scenario Name
100	Expired	Account/ACDPGTOTACTAC-010/ELEVENTH	
141	Rejected	Account/XXXACNQPASRRR-036/BERTHA	(CR/AC) Surpassing Thresholds in Restricted Lists

14.3 Viewing Entity and Suppression Details

14.3.1 Viewing Entity Details

You can view the details of Accounts, Customers, and External Entities associated with the suppression rule.

To view entity details, follow these steps:

- Navigate to the Suppression Administration page.

2. In the Suppression List, click the name of the entity associated with the suppression rule. The Entity Details pop-up window displays the details for the selected entity.

Note

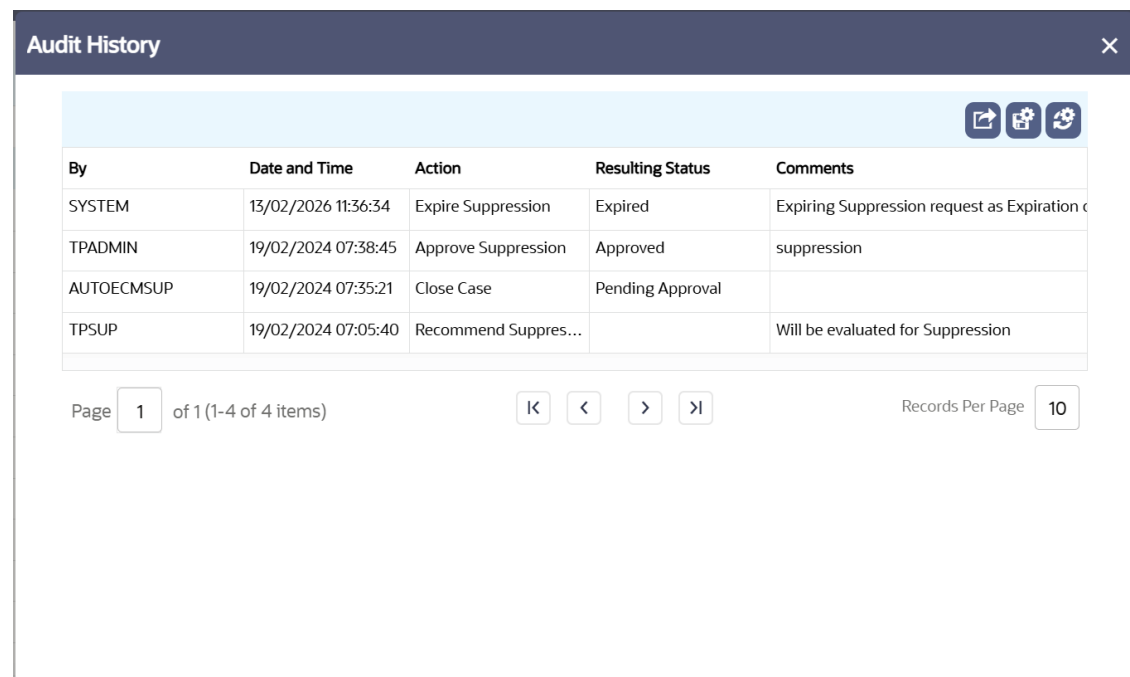
You can view entity details only for accounts, customers, and external entities. The View Account/Customer Details action is recorded. For more information, see *Event Suppression* in [Administration and Configuration Guide](#).

14.3.2 Viewing Suppression Details

Audit History

You can view historical information about the suppression by clicking a Suppression ID in the Suppression List. The Audit History displays.

Figure 14-2 Details - Audit History



The screenshot shows a window titled "Audit History" with a close button (X) in the top right corner. Below the title bar is a light blue header area containing three icons: a share icon, a settings icon, and a refresh icon. The main content is a table with five columns: "By", "Date and Time", "Action", "Resulting Status", and "Comments". The table contains four rows of data. Below the table is a pagination bar showing "Page 1 of 1 (1-4 of 4 items)" and navigation buttons (K, <, >, >I). To the right of the pagination bar is a "Records Per Page" dropdown menu set to "10".

By	Date and Time	Action	Resulting Status	Comments
SYSTEM	13/02/2026 11:36:34	Expire Suppression	Expired	Expiring Suppression request as Expiration c
TPADMIN	19/02/2024 07:38:45	Approve Suppression	Approved	suppression
AUTOECMSUP	19/02/2024 07:35:21	Close Case	Pending Approval	
TPSUP	19/02/2024 07:05:40	Recommend Suppres...		Will be evaluated for Suppression

This section displays the history of this suppression, including the list of all changes or approvals for this suppression rule. It displays information about the user who took action on the suppression, Date and Time, Action, Resulting Status and Comments.

ML Integration for AML Event Scoring

AML Event Scoring brings in Machine Learning capabilities into case investigation. Our target is to reduce false positives, enhance efficiency and accuracy of investigation and ensure timely disposition of alerts and cases. This will ensure lower investigation time, reduce investigation cost, and prevent Fis from getting hefty fines by regulators. This will improve trust with regulatory bodies and with customers.

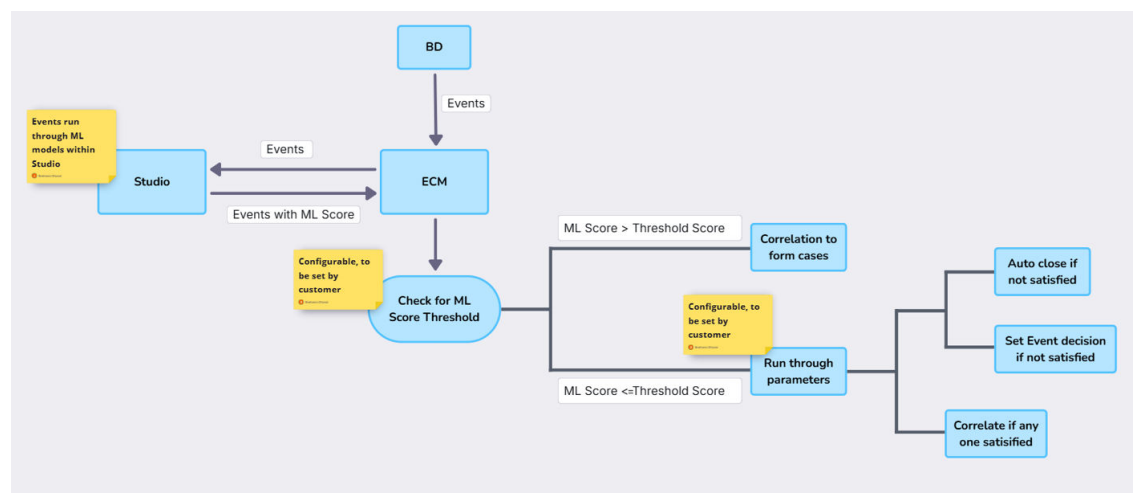
AML Event Scoring

ECM is now integrated with Studio which will ensure that alerts generated from AML BD will run through ML models. The ML models are trained with banks' historical data which will give ML scores to each event. These events will come back to ECM with ML scores and then will run through the following steps:

- **Threshold scores:** Banks will configure threshold scores for each model. If ML score of events is more than the threshold score, then they will directly take part in correlation. Otherwise, they will move to the next steps.
- **Parameter check:** Customers will be able to pick from a list of five parameters – customer risk rating, PEP, customer tenure, prior SAR filed from ECM and first-time alert.
- If any event is not meeting any of the parameter conditions, then users will be able to either auto close the events or set decision on the events.
- If an event meets any of the set parameter conditions, then they will take part in correlation to form cases.

The below diagram gives a visual representation of how this looks like:

Figure 15-1 AML Event Scoring



Parameters:

- **Customer risk rating** – Users will be able to choose from five different risk ratings, namely, KYC risk, geography risk, business risk, watchlist score and effective risk

- PEP – Check whether a politically exposed person is involved
- Customer Tenure – users will be able to configure the tenure of the customer, that is, they can have a check against how long the focal entity has been a customer of the bank
- Prior SAR filed from ECM – This will check if a prior SAR was filed on the entity from ECM in the past 'x' months, users can also configure which statuses to check against.
- First time alert – Users can set a look-back period to check if the alert generated was a first time alert in the last 'x' months (x being a configurable value).

Configuration

We are giving users the ability to configure several items as part of AMLES.

- Configure whether to auto close alerts or set decision on the alerts. When decision is set on the alert as false positive, it will take part in correlation and will not be auto closed
- Configure the threshold score of each model
- Configure the type of customer risk to be used
- Configure the customer tenure
- Configure the status and look-back period for prior SAR check.
- Configure the look-back period for first time alerts

For more information, see the *ML Integration for AML Event Scoring* chapter in [Oracle Financial Services Enterprise Case Management Administration and Configuration Guide](#).

16

Setting User Preferences

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

16.1 Using Saved Views

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

16.1.1 Setting Default Search

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

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

1. Navigate to the Enterprise Case Investigation page, see the [Getting Started](#) section for more information.
2. Select the User Preferences. The User Preferences page displays.

Figure 16-1 User Preferences

Views	Default Search
Cases Assigned to Me	☒
My New Cases	☐
My Open Cases	☐
My Overdue Cases	☐

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

For example,

- Cases Assigned to Me
- My New Cases
- My Open Cases
- My Overdue Cases

Note

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

16.1.2 Editing and Deleting Saved Views

To edit and delete saved views, follow these steps:

1. Navigate to the User Preferences page.
2. Select required Saved Views from the list.
 - You can edit or delete only those Saved Views which are created by you.
 - View is successfully edited or deleted from the User Preference page.
 - Visible/Change will not be reflected under Views drop- down list of Case Search Page. This occurs due to Views are cached for performance improvement.
 - Navigate to Home page and click Search Case menu to Clear the Cache.
3. Edit the name of Saved View or click delete icon. The confirmation message displays and list is updated.

Appendix A: Common Features

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

17.1 Common Screen Elements

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

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

Masthead

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

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

Buttons

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

Task Button

Task buttons display throughout ECM and include the following:

- Save: records actions and navigates you to the appropriate page and displays the updated case information accordingly.
- Reset: displays on those actionable sections of the UI which display some pre-populated data. It discards the data entered by you and resets the contents to their original state.
- Cancel: displays on all the actionable sections of the UI and cancels the action you intend to take and closes the action window.
- Add: displays in the some Business tabs, Financials tab, and in the Evidence. It provides you with a window to add a new piece of information.
- Edit: displays in the some Business tabs, Financials, Narrative, and Evidences. It provides you with a window to edit the existing piece of information you have chosen to edit.
- Remove: displays in the some Business tabs. It also displays in the Financials tab. It helps you delete information that you think is not relevant.
- History: displays in the Financials, Narrative, and Involved Party tabs. It provides you with a detailed account of previous activities on the selected record.

- Details button displays the complete details of the selected entity record in a window.
- Search button displays in all the Case Search bars Case List button displays in the Priority Case List on the landing page. It helps you navigate to the Search and List page.
- Designate as Involved Party button displays in some Business tabs. It allows to designate a business entity as involved party in a window.
- View Current Information button displays in some Business tabs. It allows to view the current information of the business entity in a separate window.
- Print: allows you to print the summary page that you are on.
- Export: displays in Case List and Case Summary pages. It enables you to export case details in Excel and CSV format.

Action Button

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

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

Help Button

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

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

Radio Button

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

Save Preference Button

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

Clear Preference Button

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

Calendar Button

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

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

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

Expand/Collapse

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

Section Expand Icon

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

Section Collapse Icon

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

Column Expand

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

Note

In case of extensive length of comments that cannot fit within the Comments text box:

- Mouse over the Comment section to view the full comment
- Double click on the Comment section to expand and scroll through the comment details.

Column Collapse

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

Field Types

Text Area

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

Text Box

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

Wildcard Text Box

The ECM permits the use of wildcards in specific text boxes. If you do not know the information to type into the text box field, you can type a wildcard character for the missing part of the

information. The ECM recognizes the percent sign (%) and underscore (_) as wildcard characters. You can use the wildcard character at the beginning, end, and anywhere within a string. The more specific you are when using the wildcard character, the fewer extraneous matches ECM returns. For example, if you specify a last name of Sm%, ECM may return 100 matches, but if you specify a last name of Smit%, the ECM may return only 17 matches.

Context-Sensitive Text Box

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

Drop-down List

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

Selection Box

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

Check box

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

Check All or Uncheck All Check box

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

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

Column Sort Options

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

ECM supports right-click options on columns within the List header that allows you to specify the sorting options such as Sort Ascending, Sort Descending, and Column.

The Columns option allows you to choose the fields that you want to display in the List section thereby allowing you view additional columns that are not displayed by default. You can also change the width of the column by modifying the width or you can select the Auto Fit option. Click Save Preference on Column saves the selected settings for the current session and for future logins.

Reordering Columns

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

ToolTips

A window ToolTip displays when you position the mouse cursor over an abbreviated field, usually indicated by an ellipsis, or a column label in the ECM UI. A Tooltip displays and provides the definition or other pertinent information for the abbreviated field or column label.

17.2 Navigation

The following sections describe the navigation features that you can use to navigate within ECM.

Navigation features enable you to move easily between pages in the UI to view, analyze, or research cases while working in ECM.

Hamburger Menu

This menu allows you to navigate in the application. This is available on the top of the Home page. Click this icon to select - Create Case or Search Case option.

Links

Links display as hypertext on the page when clicked, takes you to other pages within the ECM UI or expand in the same page.

Search Bars

The search bar allows you to specify values with which to filter your data. Search bars for a specific page are described in the chapter where that page's use is explained.

Page Context Controls

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

Business and Operational Data Tabs

Business and Operational Data tabs help the case investigator in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information, and so forth) to aid in the analysis of a case.

Business Data tab

Depending on the type of case that you are eligible to view, you may have access to these business tabs. Business data tab pages display detailed information about a business entity. Depending on the type of business entity being displayed (for example, Account, Customer), the content of the tab is different and specific to that type of entity.

Operational Data tab

These tabs are available for all users (for example, Audit, Narrative, Correlation). Operational data tabs display detailed information about the selected case.

Pagination

Pagination refers to the mechanism on the page that enables you to move through multiple pages of information (cases, business data and so forth).

Figure 17-1 **Pagination**



You can move forward and backward through the pages one at a time by clicking the back arrow to the left of the Page text box (unless you are on page #1) or the forward arrow to the right of the total number of pages (unless you are on the last page).

To navigate to different pages of the search results in the List page, you can use the Page option. Enter a number in the text box and press Enter in the keyboard to navigate to the respective page.

17.3 Exporting Cases

For all roles, ECM enables you to export data in Excel and CSV formats where you can then review and edit the data as necessary. The Excel function exports all records available on the list.

This Export functionality is available as follows within the Enterprise Case Management UI:

- Case List page: displays in the Case List section
- Relationship tab: displays in the Related Cases, Related Events sections
- Audit History: displays in the Audit History List section.

Exporting

To export a case list or case details, follow these steps:

1. Navigate to any one of the above-mentioned sections. Click the Export icon.
2. Select Excel or CSV from the drop-down list. The selected file is downloaded in your system.
3. Open the file and view the details.

Note

The number of records to be exported in the Case List Grid can be configured. For more information, see the *Exporting Cases* section in [Admin Guide](#).

Appendix B: Business Entity Details

Note

Do not use the following special characters in the ID field while manually adding or editing an entity:

- \
- “
- ‘
- &

18.1 Search Criteria for Adding Existing Entities

This section describes the search criteria for adding existing entities.

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

Table 18-1 Search Conditions for Adding New Business Entities using Search Existing Entities

Business Data Tab	ID	Condition	Name
Account	Account ID	OR	Account Name
Account	Tax ID Format	OR	Tax ID
Customer	Customer ID	OR	Customer Name AND Customer Type
Customer	Tax ID Format	OR	Tax ID
Household	Household Group ID	OR	Household Group Name
Correspondent Bank	Ins tn ID, Ins tn ID Type	OR	Ins tn Name
Employee	Employee ID	OR	Employee Name
External Entity	Entity ID, Entity Type, Jurisdiction, Associated Institution ID, Associated Institution	OR	Entity Name

When you click on Entity ID in **Search List** section, the details of associated Entity Names and corresponding Entity IDs will display in **Related External Entity** window. Multiple Entity Names can be present for an Entity ID or Multiple Entity IDs can be present for an Entity Name'. For example, External Entity ID "123456" can display multiple Entity Names, such as "GE Industrial Services", "GE Industrial Svr", "GE Ind. Svrs" in **Related External Entity** window. Similarly, External Entity Name "GE Industrial

Services" can display the Entity IDs, such as "11", "22", "33" in **Related External Entity** window. An Entity ID/Name can have multiple Addresses which will be displayed in the Address pop-up.

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

Table 18-2 Fields in the Transaction Search section

Fields	Description
Transaction Type	Select the transaction type from the drop-down list: • Back Office Transaction • Cash Transaction • Monetary Instrument Transaction • Funds Transfer
Transaction Date>=	Select the transaction date from the calendar.
Transaction date<=	Select the transaction date from the calendar.
Party ID	Enter the Party ID
Party Name	Enter the Party Name
Party Type	Select the party type from the drop-down list. For example, Beneficiary, Clearing Institution, and Conductor.
Transaction ID	Enter the Transaction ID.

The following table describes the search criteria applicable while adding a new business entity using the Search Existing Involved Parties.

Table 18-3 Fields in the Involved Party Search section

Fields	Description
Party Name	Enter party name
Party ID	Enter party unique identification number.
Tax ID	Enter tax unique identification number.
Birth Date	Enter the date of birth of party.
ID Type	Select the ID type from the drop-down list.
ID Issuing Authority	Enter issuing authority unique identification number.
Occupation	Enter the occupation.
Contact Information	Enter the contact information- address, phone number, country code.
Relationship Years	Select the years of relationship
Relationship Months	Select the months of relationship
Description	Enter the description.

18.2 Field Details for Adding Business Entities Manually

This section describes each field which displays for adding entities manually.

Account

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

Table 18-4 Account

Fields	Description
Account ID	Enter the unique identification of an account.
Account Name	Enter the account name.
Account Type 1	Specify the account type 1 classification for the usage of this account.
Account Type 2	Specify the account type 2 classification for the usage of this account.
Registration Type	Enter the registration type. This is a client-specified form of legal ownership for the account (for example, joint tenant, individual, custodial, or corporate).
Owner Type	Select the owner type from the drop-down list.
Tax ID Format	This is the tax identification number format associated with this account.
Tax ID	This is the tax identification number associated with this account.
Firm ID	This is the firm identification number associated with this account.
Tax Withhold Code	This is an indicator of whether the Oracle client is to withhold taxes on this account's earnings from redemption that result in payments to the customer.
Jurisdiction	This is the jurisdiction associated with this at the time of Create Creation. Users can select or change it from the Jurisdiction drop-down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select /change it from the Domain drop-down list.
Household Group ID	This is the household to which this account is assigned.
Legal Entity	This is Oracle client's legal entity responsible for oversight of this account.
Open Date	This is the date on which the account is opened.
Closed Date	This is the date on which the account is closed.
Status	This is the status of this account (for example, active, inactive, or closed).
Status Effective	This is the date on which this account status became effective
Branch	This is the organization where this account is domiciled. Select the branch from the drop-down list. You can configure the list of values. For more information, see the <i>Excel Upload</i> section in Administration and Configuration Guide .
Business Unit	Enter the Business unit code to which this account belongs.
Discretion Flag	Select whether the discretion flag is yes or no from the drop-down list.

Table 18-4 (Cont.) Account

Fields	Description
Last Activity	This is the date of the last trading or transaction activity in this account.
Prime Broker	Enter whether this account is affiliated with a prime broker.
Mantas Account Purpose Code	Select the mantas account purpose from the drop-down list. This is the purpose or special use of this account.
Mantas Bus Type Cd	This is the functional area in which this account is used.
Effective Risk	Select the effective risk. This is the level of risk associated with this account.
KYC Risk	Select the KYC risk. This is the effective risk of this account's KYC.
Customer Risk	This is the effective risk of this account's primary customer.
List Risk	This is the level of risk associated with this account on the watch list record that established the account effective risk.
Business Risk	This is the level of risk associated with the general business characteristics of this account as determined by the Oracle client.
Geography Risk	This is the level of risk associated with the geographic characteristics of this account as determined by the Oracle client. Firms have used account addresses and customer information (for example, citizenship) to determine the level of risk.

Customer

The following table provides fields and description for adding a Customer manually:

Note

While adding Customers, accounts related to the customer will be populated based on the Account Role configuration done in the Manage Common Parameters section.

Table 18-5 Customer

Fields	Description
Customer ID	Enter the unique identification of a customer.
Customer Type	Select the customer type from the drop-down list (Financial Institution, Individual or Other Organization).
Customer Organization Name	This field is enabled only if you select Financial Institution or Other Organization in customer type.
First Name	This field is enabled only if you select an Individual in customer type.

Table 18-5 (Cont.) Customer

Fields	Description
Middle Name	This field is enabled only if you select an Individual in customer type.
Last Name	This field is enabled only if you select an Individual in customer type.
Tax ID Format	This is to specify whether the customer tax identifier is a Social Security Number (SSN) or another type of identifier.
Tax ID	This is the tax identification number associated with this customer.
Date of Birth	This is the date on which this customer was born.
Gender	This field is enabled only if you select an Individual in customer type
Marital Status	This field is enabled only if you select an Individual in customer type.
Jurisdiction	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop- down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select /change it from the Domain drop-down list.
Primary Citizenship	Select the primary citizenship status of this customer from the drop- down list.
Secondary Citizenship	Select the primary citizenship status of this customer from the drop- down list.
Legal Structure	Enter the legal structure of the customer. For example, Corporation, Single Proprietorships, or Joint Proprietorships.
Residence	Enter the customer's country of residence (that is, the country component of the address of the residence associated with this customer).
Added on	Enter the date when the customer was added.
Citizenship Status	Enter the primary citizenship status of the customer.
Estimated Net Worth	Select the customer's estimated net worth, expressed in base currency.
Estimated Annual Income	Select the customer's estimated annual income, expressed in base currency.
Estimated Liquid Net Worth	Select the customer's estimated liquid net worth, expressed in base currency.
Source of Wealth	Enter the source of wealth of customer.
Credit Rating	Enter the rating for customer based on the credit rating source.
Credit Rating Source	Enter the source associated with the credit rating assigned to the customer.

Table 18-5 (Cont.) Customer

Fields	Description
Credit Score	Enter the actual score for customer's credit rating based on the credit rating source.
Assets Outside of U.S	Select whether the customer has assets outside the country from the drop-down list.
Employee	Select whether the customer is an employee of the Oracle client from the drop-down list.
Work for FI	Select whether the customer works for financial institution from the drop-down list.
Employer	Enter the name of customer's employer.
Broker/Dealer	Select whether the customer's broker/dealer from the drop-down list.
Occupation	Enter the occupation of customer.
Effective Risk	This is the level of risk associated with this customer.
KYC Risk	This is the effective risk of this customer's KYC.
List Risk	This is the level of risk associated with this customer on the watch list record that established the customer effective risk.
Business Risk	This is the level of risk associated with the general business characteristics of this customer as determined by the Oracle client.
Geography Risk	This is the level of risk associated with the geographic characteristics of this customer as determined by the Oracle client.
Customer Status	Select whether the customer is an active, inactive, or pending from the drop-down list.
PEP (Politically Exposed Person)	This field displays as Yes or No. This is applicable for customer type as Individual. User is allowed to edit the field when editing the customer record.
ISIC (International Standard Industrial Classification)	This field displays the Industry type and Industry code of a customer, if the customer type is Financial Institution or Non Individual. This field is not editable.
Relationship Manager	This shows the Relationship Manager of the customer. This field is available for all customer types. This field is not editable.

Household

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

Table 18-6 Household

Fields	Description
Household Group ID	Enter the household group ID.
Household Group Name	Enter the household Group name.
Jurisdiction	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop-down list.

Table 18-6 (Cont.) Household

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

External Entity

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

Table 18-7 External Entity

Fields	Description
Entity	Enter the name of the external entity.
Entity Type	Select the external entity type from the drop-down list.
Last Activity	Select the last activity date of this external entity from the calendar.
Risk Rating	Select the level of risk associated with the external entity from the drop-down list
Jurisdiction	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop- down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select change it from the Domain drop-down list.
Institution	Select the institution from the drop-down list. This is the institution associated with this external entity.
Institutional Name	Enter the institution name. This is the institution to which this external entity is associated.
Institution ID	Enter the institution ID.

Correspondent Bank

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

Table 18-8 Correspondent Bank

Fields	Description
Institution ID	Enter the unique identification of the institution. This is the institution associated with this case.
Institutional Name	Enter the institution name. This is the institution to which this case is associated.

Table 18-8 (Cont.) Correspondent Bank

Fields	Description
Institution	Enter the institution ID.
Institution Type	Select the institution type from the drop-down list.
Business Unit	Enter the business unit code to which this correspondent bank belongs.
Account Manager	Enter the name of the account manager who is responsible for this correspondent bank.
Effective Risk	Select the level of risk associated with this correspondent bank as determined in large part by membership on one or more Watch Lists.
Jurisdiction	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop- down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select/change it from the Domain drop-down list.
Address, Country, Postal Code,	Enter the complete address details of the correspondent bank.

Employee

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

Table 18-9 Employee

Fields	Description
Employee ID	Enter the unique identification of an employee.
Name	Enter the name of the employee.
Title	Enter the job title for this employee.
Role	Select the role for the employee who is traders or registered representatives, this is the employment role or title (for example, floor trader or branch manager).
Employee Type	Select the type of employee (for example, employee or contractor).
Part-Time/Full Time	Select whether the employment is full time or part t
Tax ID Format	Select the Tax ID format from the drop-down list. This is to specify whether the employee tax identifier is a Social Security Number (SSN) or another type.
Tax ID	Enter the tax ID. This is the employee's tax identification number (for example,SSN).
Company	Enter the name of the company for which this employee or contractor works. For employees, this field has differing values only in the case when multiple legal entities compose the Oracle client.

Table 18-9 (Cont.) Employee

Fields	Description
CostCenter	Select the cost center to which this employee is assigned.
Jurisdiction	This is the jurisdiction associated with this at the time of Create Creation. You can select or change it from the Jurisdiction drop- down list.
Domain	This shows the associated Business Domain selected on Create Case page. If more than one Business Domains are selected on the Create Case page, then Business Domain drop-down under Add Entity manually option will not display any business domain. You can select/change it from the Domain drop-down list.
Supervisory Organization ID	Enter the unique identification of the organization that is responsible for monitoring the activities of this employee.
Supervisor ID	Enter the unique identification of the supervisor associated with this employee.
Line Organization ID	Enter the unique identification of the primary line organization to which this employee is assigned.
Line Organization Name	Enter the name of the primary line organization to which this employee is assigned
Office Location	Enter the employee's work location.
Office	Enter the office name to which this employee is assigned.
Status	Select the employment status (for example, active or inactive) of this employee from the drop-down list.
Status Date	Enter the date from the calendar. This is the date on which the employee's status was last changed.
Central Registration Depository ID	Enter the unique identification of the central registration depository associated with this employee.
Hire Date	Enter the date on which this employee was hired.

Transaction

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

Table 18-10 Transaction

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

Table 18-10 (Cont.) Transaction

	Fields	Description
	Date	Enter the date on which this transaction was conducted.
	Time	Enter the time on which this transaction was conducted.
Account	ID	Enter the principal account unique identification number at the Oracle client in which this transaction was conducted.
	Risk	Select the level of risk associated with this account.
Offset Account	Account ID	Enter the principal offset account unique identification number at the Oracle client in which this transaction was conducted.
	Account Risk	Select the level of risk associated with this offset account.
	Security ID	Enter the unique identification number of security involved in this transaction.
	Quantity	Select the total number of units (for example, shares or contracts) of the specified security being transferred via this transaction.
	Debit/Credit	Select whether assets are being transferred into (credit) or out of (debit) this account by this transaction.
	Base Amount	Select the monetary value in the base currency of the funds transferred via this transaction denominated in the base currency.
	Type 1	This is the first highest categorization level of the transaction.
	Type 2	Enter the second-highest categorization level transaction.
	Type 3	Enter the third-highest categorization level transaction.
	Type 4	Enter the fourth-highest categorization level transaction.
	Transaction Reference ID	Enter the transaction Reference unique identification number.
	Overall Risk	Select the level of overall risk associated with this transaction.
	Transaction Description	Enter the comments/description pertaining to this transaction.
	Transaction Type- Cash Transaction	
	Date	Enter the date on which this transaction was conducted.

Table 18-10 (Cont.) Transaction

	Fields	Description
	Time	Enter the time on which this transaction was conducted.
	Base Amount	Enter the base amount.
	Type 1	This is the first highest categorization level of transactions.
	Type 2	Enter the second-highest categorization level transaction.
	Type 3	Enter the third-highest categorization level transaction.
	Type 4	Enter the fourth-highest categorization level transaction.
	Debit/Credit	Select whether assets are being transferred into (credit) or out of (debit) this account by this transaction.
Account	ID	Enter the principal account unique identification number at the Oracle client in which this transaction was the conducted.
	Risk	Select the level of risk associated with this account.
Location	Location ID	Enter the unique identification number of the location where this transaction was conducted (for example, ATM terminal).
	Location Name	Enter the name of the location where this transaction was conducted (for example, merchant name).
	Address	Enter the address of the location where this transaction was conducted.
Conductor	Name	Enter the name of the conductor who has done the transaction.
	Account	Enter the account of the conductor in which this transaction was conducted.
	Entity Risk	Select the level of entity risk.
	Match	Enter the match details of the conductor.
	Transaction Reference ID	Enter the transaction reference a unique identification number.
	Transaction Description	Enter the comments/description pertaining to this transaction.
	Transaction Type-Monetary Instrument Transaction	
	Issue Date	Enter the date of the issue for a specific transaction.
	Deposit Date	Enter the date of deposit for a specific transaction.

Table 18-10 (Cont.) Transaction

	Fields	Description
	Clearing Date	Enter the date of clearing for a specific transaction.
	3P/PT	Select whether this is a third party transaction.
	Post Date	Date of posting for a specific transaction.
	Time	Enter the time on which this transaction was conducted.
	Type 1	This is the first highest categorization level of transactions.
	Type 2	Enter the second-highest categorization level transaction.
	Type 3	Enter the third-highest categorization level transaction.
	Type 4	Enter the fourth-highest categorization level transaction.
	Serial/Check	Select the serial or check value.
	Base Amount	Select the monetary value in the base currency of the funds transferred via this transaction denominated in the base currency.
Remitter	Name	Enter the remitter's name involved in this transaction.
	Acct ID	Enter the unique identification of remitter's account involved in this transaction.
	Risk	Select the level of risk associated with the remitter.
Beneficiary	Name	Enter the beneficiary name involved in this transaction.
	Account ID	Enter the unique identification of beneficiary account involved in this transaction.
	Risk	Select the level of risk associated with the beneficiary.
	Comments	Enter the comments on this transaction.
	Transaction Description	Enter the comments/description pertaining to this transaction.
	Issuing FI ID	Enter the unique identification of issuing Financial Institution involved in this transaction.
	Instrument	Enter the name of the instrument.
	Clearing FI	Enter the name of the instrument clearing Financial Institution.
	Clearing FI ID	Enter the unique identification of clearing Financial Institution involved in this transaction.

Table 18-10 (Cont.) Transaction

	Fields	Description
	Depositing FI	Enter the name of the instrument depositing Financial Institution.
	Depositing FI ID	Enter the unique identification of depositing Financial Institution involved in this transaction.
Conductor	Name	Enter the name of the conductor who has done the transaction.
	Amount	Enter the account of the conductor in which this transaction was conducted.
	Transaction Reference ID	Enter the transaction reference a unique identification number.
	Transaction Type-Funds Transfer	
	Transaction Reference ID	Enter the transaction reference a unique identification number.
	Date	Enter the date of the fund transfer.
	Time	Enter the time on which this transaction was conducted.
	Type 1	This is the first highest categorization level of transactions.
	Type 2	Enter the second-highest categorization level transaction.
	Type 3	Enter the third-highest categorization level transaction.
	Type 4	Enter the fourth-highest categorization level transaction.
Amount	Base	Select the monetary value in the base currency of the funds transferred via this transaction denominated in the base currency.
	Transaction Description	Enter the comments/description pertaining to this transaction.
	3P/PT	Select whether this is a third party transaction.
Originator	Name	Enter the originator name involved in this transaction.
	Account ID	Enter the unique identification of the originator account involved in this transaction.
	Risk	Select the level of risk associated with the originator.
Beneficiary	Name	Enter the beneficiary name involved in this transaction.
	Account ID	Enter the unique identification of beneficiary account involved in this transaction.

Table 18-10 (Cont.) Transaction

Fields	Description
Risk	Select the level of risk associated with the beneficiary.

Involved Party

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

Table 18-11 Involved Party

Fields	Description
Name	Enter the first, middle, and last name.
Party ID	Enter the unique identification number of the party.
ID Type	Select the ID type of the party (for example, account and customer).
Relationship to Case	Select the relationship of the involved party from the drop-down list (Suspect, Victim, and so on). You cannot designate an entity as Involved Party if it is already designated.
ID Issuing Authority	Enter the unique identification number of the issuing authority.
Birth Date	Enter the of the involved party.
Home Phone	Enter the phone number of the involved party.
Tax Format	Select the tax format from the drop-down list.
Tax ID	Enter the tax ID. This is involved party's tax identification number (for example, SSN).
Work Phone	Enter the phone number of the involved party.
Address	Enter the complete address.
Domain	Select the domain from the drop-down list. This is the domain associated with this involved party.
Relationship Years and months	Select the relationship years and months from the drop-down list
Description	Enter the description. If you update anything other than the relationship, click the checkbox - Create a new Involved Party record with this information. If selected the above changes will not be applied to this party where linked to other cases and a new involved party record will be created.

18.3 Network Analysis Tab

Note

To view network graphs in the Network Analysis tab, the User Role must be mapped with the Case Network Tab function (CMNETTB).

Include Link Types

The Link Types List contains all the valid links, or relationship types, that are identified between two nodes (entities) in the Network Graph. The links are created based on Shared Activity and Known Relationship between two nodes.

Figure 18-1 Network Analysis - Include Link Types

Case ID: CA10008 Title: AML Processing Events Status: Investigation Priority: High

Network Analysis

Start Entities ☐ Select All

Include Link Types ☐ Select All

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

Transaction Date From: 01/30/2026 To: 02/13/2026

Maximum Degrees of Separation: 1

Reset Search

The following table describes the available link types:

Table 18-12 Link Types

Link Type	Type of Relationship	Description
Account to Customer	Known Relationship	This relationship is used to create a link between the account (node) and a customer (node) identified from the starting node.
Account to Household	Known Relationship	This relationship is used to create a link between the account (node) and a customer (node) identified from the starting node.
Account to Correspondent Banks	Known Relationship	This relationship is used to create a link between the account (node) and a customer (node) identified from the starting node.
Account to Employee	Known Relationship	This relationship is used to create a link between the account (node) and a customer (node) identified from the starting node.
Customer to Customer	Known Relationship	This relationship is used to create a link between the customer (node) and a customer (node) identified from the starting node.

Table 18-12 (Cont.) Link Types

Link Type	Type of Relationship	Description
Wire Transaction	Shared Activity	This is used to create a link between two accounts (nodes) or link between account and external entity or link between two external entities that share a common wire transaction between them.
Monetary Instruments Transaction	Shared Activity	This is used to create a link between accounts (nodes) which share a common MI transaction between them.
Journal Transaction	Shared Activity	This is used to create a link between accounts (nodes) that share common Journal Transactions.
Insurance Transaction	Shared Activity	This is used to create a link between two accounts (nodes) or between account and an external entity which share a common Insurance Transactions.

Selecting a Link Type displays links of the selected type in the graph. For example, the Account to Household link type will ever discover accounts or household nodes.

Some of the Link Type and Starting Entity combinations may result in no results being returned. For example, selecting only a Household entity in the Entity Name list and selecting Wire Transaction in the Include Link Types list will return no nodes other than the starting Household entity. This is because transactions do not focus on household entities. The following table provides the Valid Link Types for each node.

The following table describes the valid entity link types.

Table 18-13 Valid Entity-Link Types

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

Table 18-13 (Cont.) Valid Entity-Link Types

Starting Entity	Valid Link Types
External Entity (EN)	• MI Transaction • Wire Transaction • Insurance Transaction

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

Known Relationships

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

Start Entity	Link Type	Relationship Identified
Account (AC)	Account to Customer	Account to Customer
	Account to Household	Account to Account Group
	Account to Employee	Account Owned by Employee
	Account to Correspondent Bank	Account to Client Bank
Customer (CU)	Account to Customer	Account to Customer
	Customer to Customer	Related Customer to Customer
		Customer to Related Customer
Correspondent Bank (CB)	Account to Correspondent Bank	Account to Client Bank
Employee (EE)	Account to Employee	Account Owned by Employee
Household (HH)	Account to Household	Account to Household

Shared Attributes

The following attributes are considered for establishing a link between the nodes:

- Wire Transactions: The activity link is established:
 - Between Beneficiary and Originator
 - Between Secondary Beneficiary and Originator
 - Between Secondary Originator and Beneficiary
 - Between Secondary Originator and Secondary Beneficiary
 - Between Sending Institution and Receiving Institution

For Account starting nodes the link is established using Account to Account wire transactions, and Account to External Entity wire transactions.

- For External Entity primary nodes the link is established using External Entity to Account wire transaction, and External Entity to External Entity wire transactions.
 - For Correspondent Bank primary nodes the link is established between Sending and Receiving Institution.
- Journal Transactions: The nature of the relationship is established:
 - Between Account and Offset Account
For Account primary nodes the link is established between Account and Offset Account (where focal account is the offset account and vice versa).
- Monetary Instrument Transactions: The nature of the relationship is established:

- Between Beneficiary and Remitter
- Between Secondary Beneficiary and Remitter
- Between Issuing Institution and Depositing Institution
For Account primary nodes the link is established using Account to Account MI transactions, and Account to External Entity Monetary Instrument transactions.

For External Entity primary nodes the link is established using External Entity to Account Monetary Instrument transactions, and External Entity to External Entity Monetary Instrument transactions.

For Correspondent Bank primary nodes the link is established between Issuing and Depositing Institution.
- Insurance Transactions: The nature of the relationship is established:
 - Between Insurance Policy Identifier and the Counter Party Derived Entity Identifier
 - Between Insurance Policy Identifier and the Counter Party Identifier
- Transaction Date>=
 - The Transaction Date >= is used to build a network based on shared activity. Whenever this date is selected, the system checks for the transaction between Transaction Date >= and Transaction Date <= for establishing the link for Wire, Journal, MI and Insurance Transaction.
 - The Transaction Date >= is defaulted to 3 months prior to the current date. The Transaction Date >= cannot be greater than or equal to Transaction. An error message displays. You must enter a date in Transaction Date >= date field which is less than or equal to the Transaction Date <= field.
 - The Transaction Date>= cannot be a future date and when the user enters or select a future date. An error message displays.
- Transaction Date<=
 - The Transaction Date <= is used to build a network based on shared activity. Whenever this date is selected, the system checks for the transaction between Transaction Date >= and Transaction Date <= for establishing the link for Wire, Journal, MI and Insurance Transaction.
 - The Transaction Date <= is defaulted to the current date.
 - The Transaction Date <= cannot be less than Transaction Date >=. When the user enters or selects an incorrect date, an error message displays.
 - The Transaction Date <= cannot be a future date. When the user enters or select a future date, an error message displays.
- Maximum Degrees of Separation: The value you provide determines how many cycles out from the starting entity a repetition of queries will go, that is, how many levels of entities need to be identified. This number must be within your institution's limits (the default is 1-10). You cannot enter 0, decimals, or negative numbers. If you do not enter a number, the value displays the default of 3. Transaction Activity Options:
- Transaction Activity Options filter the network based on the transaction activity. The following Transaction Activity Options display:
 - Transaction Amount >= filters out transactions with amounts greater than or equal to the specified amount.
 - Transaction Amount <= filters out transactions with amounts less than or equal to the specified amount.

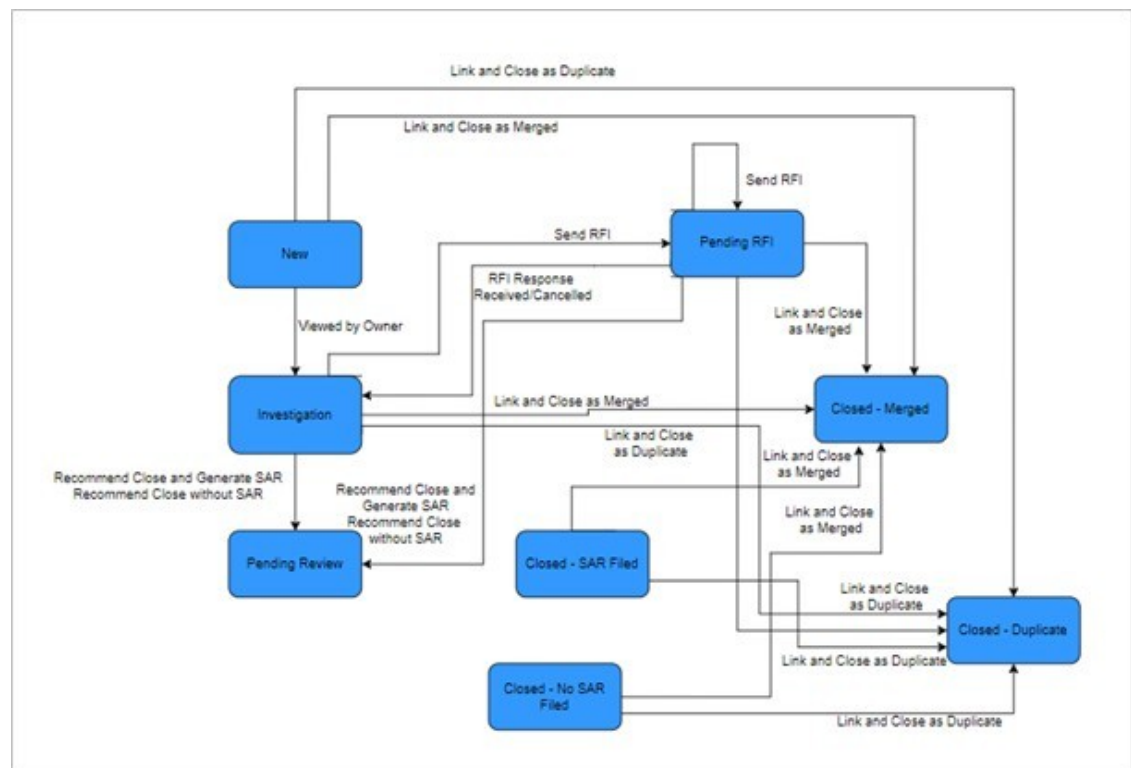
Appendix C: Workflows

19.1 PMF Workflows

This section displays analyst and supervisor workflows for PMF.

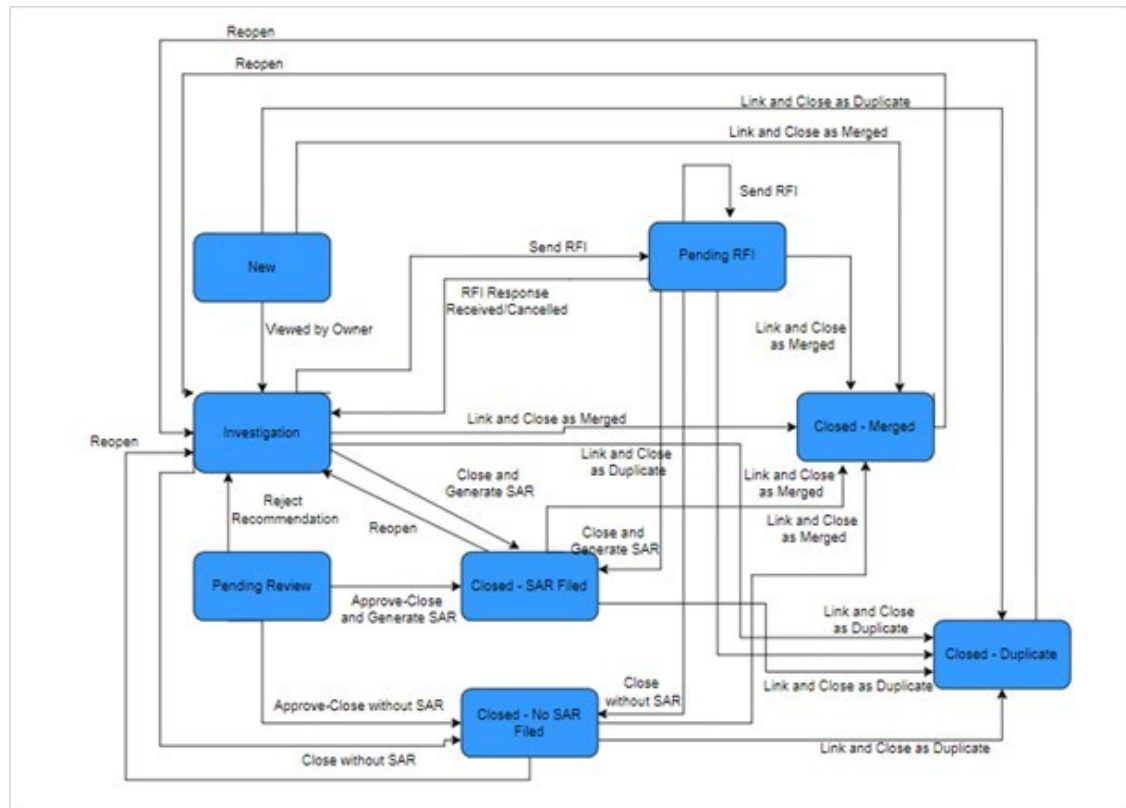
Analyst Workflow

Figure 19-1 Analyst Workflow



Supervisor Workflow

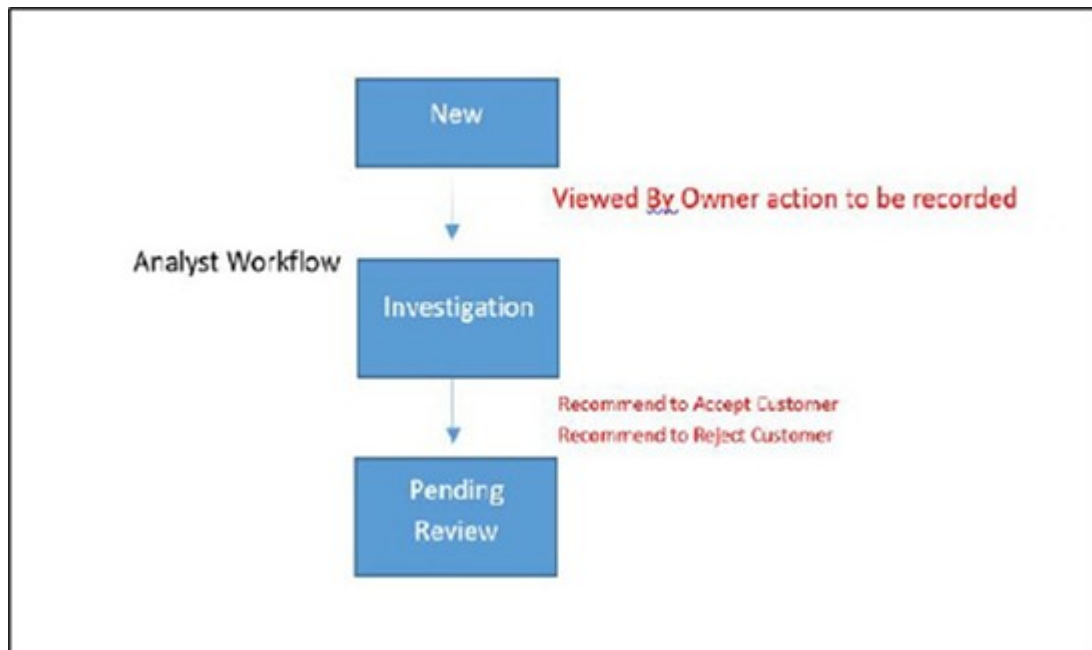
Figure 19-2 Supervisor Workflow



19.2 KYC Onboarding Case Workflow

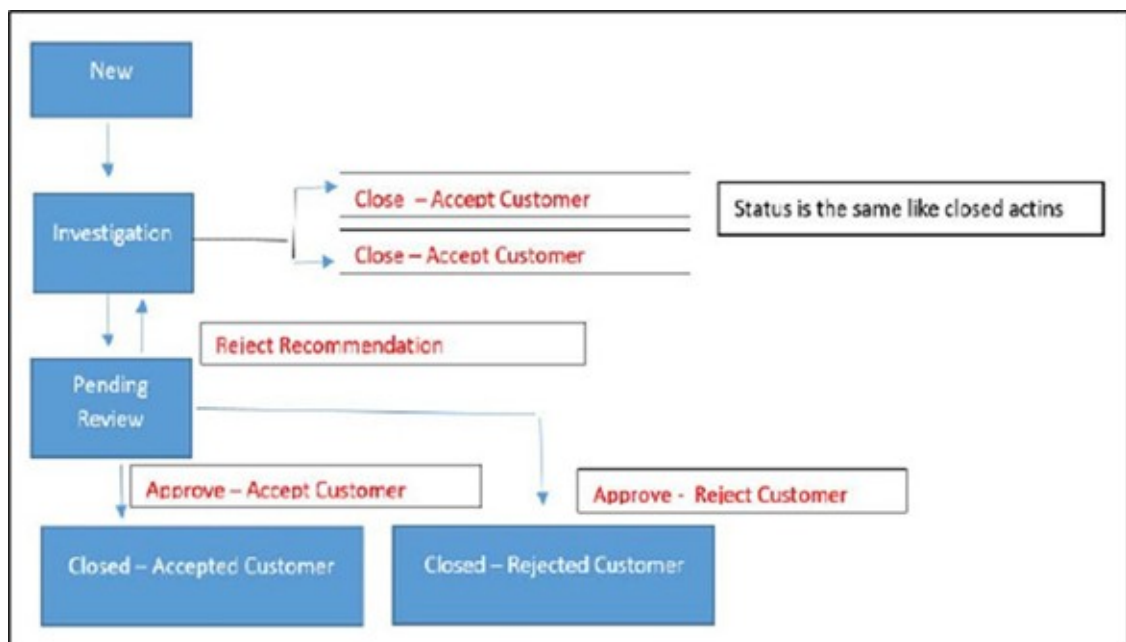
Analyst Workflow

Figure 19-3 Analyst Workflow



Supervisor Workflow

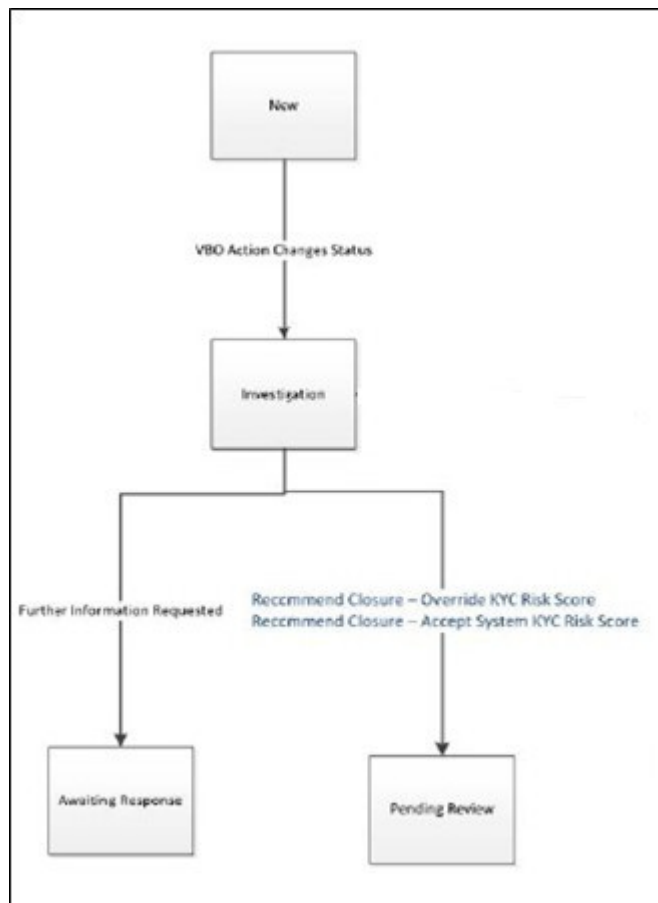
Figure 19-4 Supervisor Workflow



19.3 KYC Batch Case Workflows

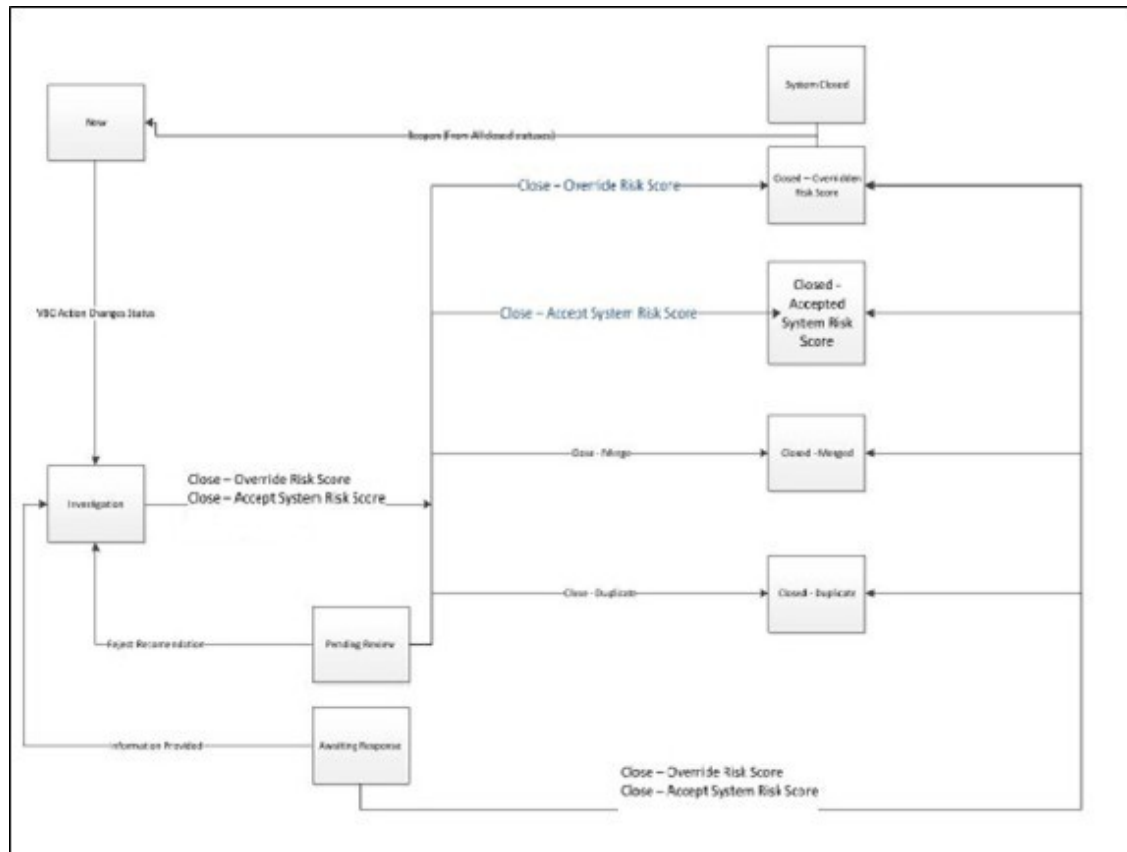
Analyst Workflow

Figure 19-5 Analyst Workflow



Supervisor Workflow

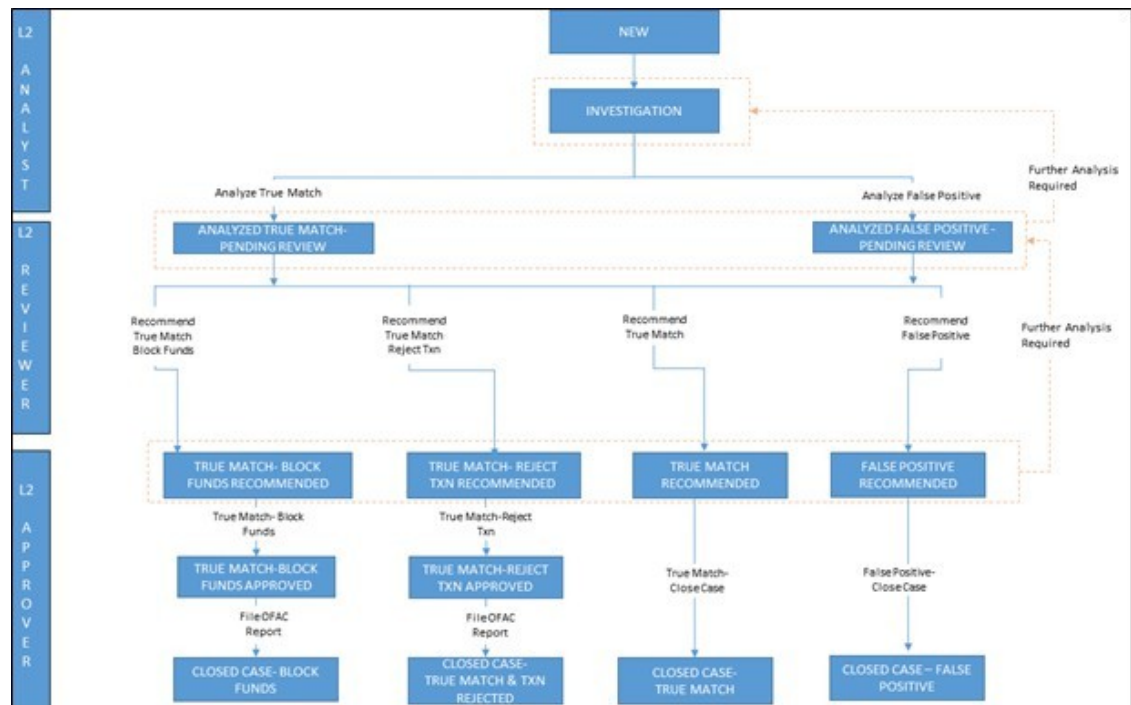
Figure 19-6 Supervisor Workflow



19.4 Transaction Filtering Workflows

Transaction Filtering Real Time Cases (TF_RT)

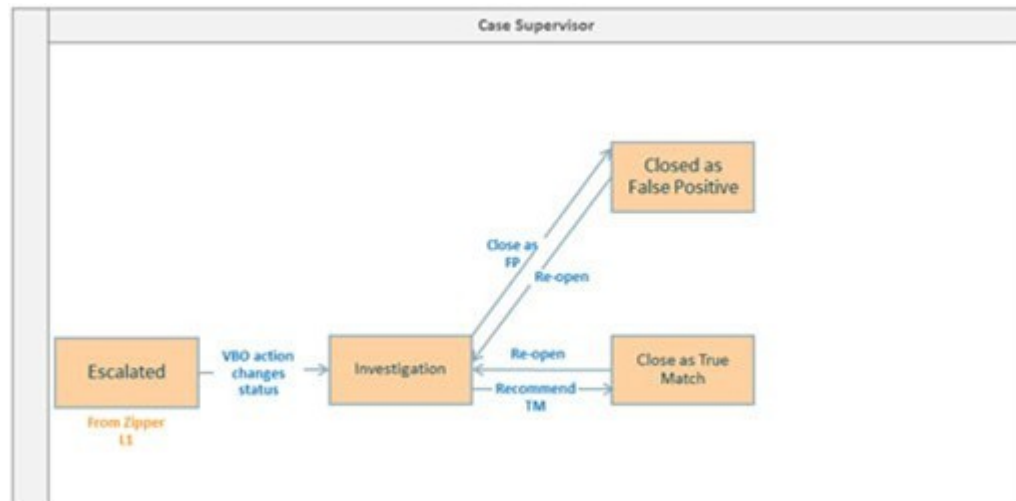
Figure 19-7 Transaction Filtering Real Time Cases (TF_RT)



19.5 Customer Screening Escalated Alert Workflows

SAN, PEP, EDD, and PRB Cases

Figure 19-8 SAN, PEP, EDD, and PRB Cases



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Glossary

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