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23 May 2019

# Risk and Compliance

## How we are evolving

Tom Kestler

Senior Product Manager, Risk, Accuity



[accuity.com](https://accuity.com)

**Fircosoft**

**Bankers**  
ALMANAC

# The risk and compliance landscape is changing rapidly, and our solution is evolving to fit the needs of our customers

We continue to build out our product roadmap to deliver features and functionality that help our clients stay ahead of industry changes. These include improvements that:

1. Allow users to screen (and prove that a record has been screened) any type of record (**payment transactions, accounts and trade**) for any defined period of time to support compliance and regulatory policies.
2. Provide a seamless experience for new and existing customers to utilize one application and no longer differentiate between Firco Compliance Link Classic and the Automated Screening Manager (ASM).
3. Facilitate a path for existing customers to use the new unified Firco Compliance Link experience.
4. Update the application architecture to support the existing features, new features and the user experience.

# Customer facing products in this suite include:

## **Firco Compliance Link Classic**

Acts as the main solution with all functionality of screening, workflow, case management and admin functions.

## **Firco Compliance Link Web Service**

Single API for screening records on a one-off basis.

## **The Automated Screening Manager (ASM)**

Ensures that all phases of client to client relationships can remain compliant by aligning customer data with the Accuity Global WatchList data. ASM knows when and what to screen, reducing overall processing times and manual intervention providing a holistic case view.

## **ASM Web Service**

Single API for importing and screening records in ASM. We also support case management services for pulling case and match information or for activating and deactivating cases.

## **Private List Manager (PLM)**

Create and update private list data to load into Firco Compliance Link.

## **Trade Compliance Manager (TCM)**

Replacing CLM, Manage dual use goods screening and vessel tracking settings.

# Firco Compliance Link - overall project summary 2018 -2019

## 2018

Q1	Q	Q	Q
<p><b>3.4 (Feb 2018)</b></p> <ul style="list-style-type: none"><li>• ASM sub-case customization</li><li>• ASM notification API</li><li>• File upload restrictions</li><li>• ASM screening enhancements</li><li>• Security and BAU</li></ul>	<p><b>3.5 (July 2018)</b></p> <ul style="list-style-type: none"><li>• ASM ship enforcement alerts</li><li>• ASM screening recurrence</li><li>• ASM passed by rules enhancement</li><li>• Security and BAU</li></ul>		<p><b>3.6 (Oct 31, 2018)</b></p> <ul style="list-style-type: none"><li>• ASM SFTP case deactivation</li><li>• ASM automated case deactivation through Web services</li><li>• ASM passed by rules enhancement</li><li>• Security and BAU</li></ul>

## 2019

Q1	Q	Q	Q
<p><b>3.6.1 (Q1 2019)</b></p> <ul style="list-style-type: none"><li>• Security and BAU</li></ul>	<p><b>3.7 (April 2019)</b></p> <ul style="list-style-type: none"><li>• ASM user assignment enhancements</li><li>• User Interface and user experience changes</li><li>• ASM read-only users</li><li>• ASM storage of match meta data</li><li>• Child IDs available for goods screening</li><li>• Airport code Identification for trade screening</li><li>• Security and BAU</li></ul>		<p><b>4.0 (Nov 2019)</b></p> <ul style="list-style-type: none"><li>• Firco Compliance Link A&amp;E</li><li>• A new version of the ASM Web Service</li></ul>

# Version 3.4 (custom sub-case types and integration APIs)

Provides additional workflow flexibility and opportunities to integrate with other systems

## Workflow improvements –

“increased control and flexibility”

- Create custom sub-case types
- Changes to case review screen and case search to accommodate new sub-case types
- Sub-case priority
- Re-assign cases after changes to workflow

## ASM integration options –

“connecting compliance to other systems”

- ASM notification suite
- Case and Match detail services
- Firco Compliance Link/ASM Web Services v2.0
- Security posture improvements

# Configurable sub-case types allow specialized review processes

Previously, there were four default sub-case types (GWL, PEP/EDD, commodity and private) for every dataset that are used to organize case level matches.

Allowing users to segregate matches by watch list and match type provides users with more flexibility

- Prioritize key lists (e.g. OFAC, EU, UN)
- Separate multiple private lists based on branch or business line
- Build workflow for users to review only the matches you would like

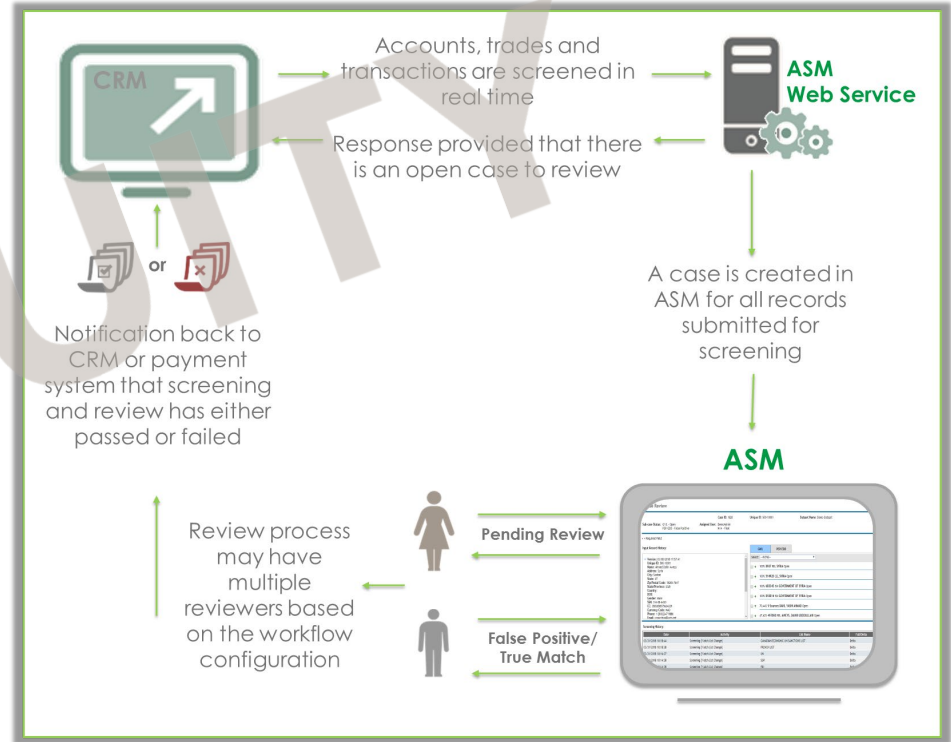
OFAC Only	GWL	PEP/EDD	314@ List
Select: --NONE-- <span>Expand All</span>			
<input type="checkbox"/>	+ 69.84%	425000 UST AHMAD, MUHAMMAD YUNIS	Open
<input type="checkbox"/>	+ 67.86%	12856 UST GHAILANI, AHMED KHALFAN	Open
<input type="checkbox"/>	+ 66.98%	201584 UST AL-AHMAD, AHMAD MUHAMMAD YUNIS	Open
<input type="checkbox"/>	+ 66.67%	8907 RBL SYRIA	Open
<input type="checkbox"/>	+ 63.02%	201585 UST AL-AHMAD, SA'AD MUHAMMAD YUNIS	Open
<input type="checkbox"/>	+ 70%	12686 UST SAI'ID, SHAYKH	False Positive

A Dataset reassignment mechanism has also been included in 3.4

# What do notifications mean to your business?

Types of integrations/ processes that ASM custom notifications could support

1. Integration with source systems (e.g. CRM, payment processing application, core banking system)
2. Custom email notifications (e.g. real-time alerts for escalations) to alert reviewers that that a case has been assigned to them or a decision has been made





# Request Case and Match details through an API

**Case Detail** service to allow clients to pull extra details on a case

- Current status
- Active input record version
- The sub-case status information:
  - Assigned users
  - Status
  - Created date
  - Count of matches in the sub-case
- High level match information

**Match Detail** service to allow users to pull further information on Matches. This will include the high-level information above, but will also include:

- Disposition history
- Entity information
- Stop descriptor / synonym match information

# Version 3.5 (Ship Enforcement Alerts and ASM Screening Duration)

Provides major security enhancements and additional screening mechanisms to configure records to be screened for a defined period of time along with improving our trade proposition.

## ASM Screening Improvements–

“increased control and flexibility”

- Define the duration of screening in ASM for each record
- Search for the correct vessel IMO, see the history and get alerts when a vessel enters a sanctioned port.

## Security Enhancements–

“Be confident that your data is safe”

- Removal of Struts from all modules
- New JWT token authentication

# All Struts framework removed from all of Firco Compliance Link and support modules

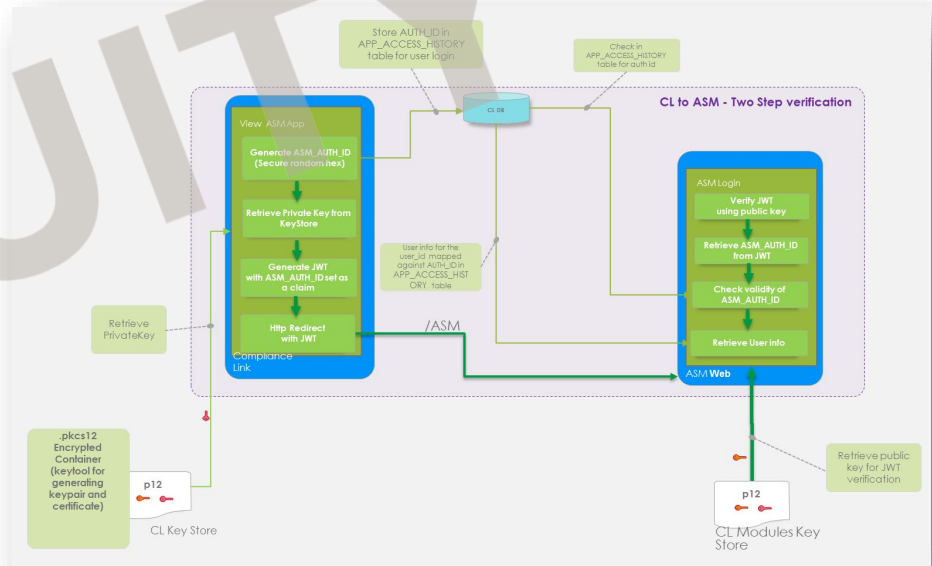
We have completely rewritten Firco Compliance Link and have removed the STRUTS Framework opting for Spring MVC

- **Current 3.4 version of Struts is 1.2.4**
  - Many vulnerabilities tied to this version (cross site scripting, bypass input validation routines, etc.)
  - This version of Struts was completely unsupported
- **Spring version in 3.5 is Spring 4.3.15**
- **We have also updated more libraries in all applications and modules.**

# New JWT token validation between Firco Compliance Link and our modules to improve security

Communications from Firco Compliance Link to our modules now utilize JWT token authentication (improved from our previous authentication using asymmetric keys)

- This affects navigation between Firco Compliance Link, ASM, PLM and CLM.
- There will be two keystores required moving forward
  - one for Firco Compliance Link itself
  - one for Firco Compliance Link's modules
- Our web services are unaffected by these changes



# Further Security Improvements

**Here is a short list of issues remediated by moving to off struts framework.**

## Security Enhancement

- XML External Entity allowed
- Update Symmetric Key for Token Generation
- Stored XSS
- SQL Injection
- Second Order SQL Injection
- Reflected XSS All Clients
- LDAP Injection
- JWT authentication on Login
- Cross-site Scripting
- Complete Struts Removal

# ASM Ship Enforcement Alerts (SEA)

The screenshot displays the 'COMPLIANCE LINK' interface with several key sections:

- Case Review:** Shows case details such as Case ID (1235), Unique ID (somanid\_update), and Dataset Name (1\_ESE\_InvNoting).
- Input Record History:** Lists vessel journeys with details like Version, ID, UIC, and Date.
- Automated Screening Lookup:** Includes a search bar for Unique ID and fields for vessel IMO and name.
- Vessel Name and IMO Search:** A pop-up window with a search bar and a table of results.

Vessel Name	IMO Number	Flag	Vessel Type
<input type="checkbox"/> 8281-B CHARDAL	8116348	Argentina	Roaming/Passing, Island Watersways
<input type="checkbox"/> 8281-B CHARDAL	8116350	Argentina	Roaming/Passing, Island Watersways
<input type="checkbox"/> 8281-B CHARDAL	8116362	Argentina	Roaming/Passing, Island Watersways
<input type="checkbox"/> 8281-B THOSCOETE	8116386	Argentina	Roaming/Passing, Island Watersways
<input type="checkbox"/> 8276-B RUMDEL	7722134	Argentina	Roaming/Passing, Island Watersways
<input type="checkbox"/> 8276-B RUMDEL	7722166	Argentina	Roaming/Passing, Island Watersways
<input type="checkbox"/> 8281-B ANIMADA	7722176	Argentina	Roaming/Passing, Island Watersways
<input type="checkbox"/> 8281-BI	7421323	Iran	General Cargo Barge, non propelled
<input type="checkbox"/> 8282-BI	7421332	Iran	General Cargo Barge, non propelled

Currently, users can screen vessel names and other commodities against Accuity Global Watch Lists and Commodities Lists. We will now allow users to track vessel (ship) movements and receive alerts when vessels enter sanctioned ports. Tracking is done by matching International Maritime Organization (IMO) numbers with a users vessel. The following features have been added:

- New trade compliance screening for a vessel's journey
- Vessel IMO search functionality in the ASM Lookup
- New data type to indicate which field in a dataset is the vessel IMO number
- Case review will display a new Sub-case type for vessel alerts
- Alerts for when a vessel wither enters a sanctioned port or is in the proximity of a sanctioned port
- Vessel history allows users to see a vessel's holistic journey for the past twelve months

# ASM Screening Recurrence

Administrators can now choose the screening duration for each screening instruction. This determines how long input records are screened against selected sanctions lists. The following features have been added:

- New screening duration options (continuous delta screening, custom screening end date and one-time screening only) at the dataset screening instruction level
- A screening expiration date can be set for a specific input record through the ASM Web Service and/or ASM Lookup
- Case review will now indicate the date of the screening expiration (when applicable)
- Case search results will now detail the screening expiration date (when applicable)
- The full audit trail has been enhanced to advise when screening has occurred

WELCOME  
Matt Hebel  
Compliance Link Demo

Log Off  
Compliance Link

ADMIN FUNCTIONS  
Region Management  
Manage Datasets  
Import Master Datasets  
Notification Settings  
Workflow Configuration  
Sub-case Assignment

SCREENING  
Automated Screening Lookup  
Screening History

CASE MANAGEMENT  
Case Search  
Report Queue

For support, please email  
support@accuity.com

## COMPLIANCE LINK

### Screening Instructions for Demo Dataset

Required Field  
Instruction Name:

Screening Fields (at least one screening field must be selected) -  
Threshold valid range: 50-100% (100% = Accuity Token only)

Field Name	Data Type	Screening Field	Threshold
Unique ID	Customer Unique ID	<input type="checkbox"/>	<input type="text"/>
Name	Name - General	<input checked="" type="checkbox"/>	85
Address	Unspecified	<input type="checkbox"/>	<input type="text"/>
City	Unspecified	<input type="checkbox"/>	<input type="text"/>
State	Unspecified	<input type="checkbox"/>	<input type="text"/>
Zip/Postal Code	Unspecified	<input type="checkbox"/>	<input type="text"/>
State/Province	Unspecified	<input type="checkbox"/>	<input type="text"/>
Country	Country Name	<input checked="" type="checkbox"/>	100
DOB	DOB	<input type="checkbox"/>	<input type="text"/>
Gender	Unspecified	<input type="checkbox"/>	<input type="text"/>
SSN	Unspecified	<input type="checkbox"/>	<input type="text"/>
CC	Unspecified	<input type="checkbox"/>	<input type="text"/>
Currency Code	Unspecified	<input type="checkbox"/>	<input type="text"/>
Phone	Unspecified	<input type="checkbox"/>	<input type="text"/>
Email	Unspecified	<input type="checkbox"/>	<input type="text"/>
Website	Unspecified	<input type="checkbox"/>	<input type="text"/>

Screening Parameters  
Risk Scorecard:

Rules Pack:

Controlled Goods Policy:

Screening Options:  Remove Middle Initial  
 Ignore Vessels

Character Mapping File:

Custom Dictionary:

Screening Duration:

Days:  Years:

Lists to Filter Against:  
Select:  All  None  Accuity's OFAC List  
 Accuity OFAC Enhancements  
 US PEP List powered by WorldCompliance  
 OFAC List powered by WorldCompliance

# ASM Screening Expiration

Allowing customers to set a screening expiration date via the ASM import and screening service will provide even more flexibility.

In the request header tag we will add a new optional attribute “ScreeningExpirationDate” with a MM/DD/YYYY format.

```
<Request ClientID="e0fd7adb-c9bb-4f4e-803c-89f496b8dc1c" Id="1004 ScreeningExpirationDate="12/31/2018" >
  <Field Name="Id" UniqueField="Y">999887656</Field>
  <Field Name="Name" NameField="Y" Category="NAME">Fidel Castro</Field>
  <Field Name="Address">2402 W Main Street</Field>
  <Field Name="City">Nashville</Field>
  <Field Name="State">TN</Field>
  <Field Name="Country">US</Field>
</Request>
```

The screenshot displays the 'Automated Screening Lookup' interface. At the top, there is a 'Dataset' dropdown menu set to 'Demo Dataset' and a 'Go' button. Below this is a 'Unique ID' search field with a 'Search' button. The main area contains a form with the following fields and values:

- Unique ID: 01232018
- Name: Thomas Kestler
- Address: 123 RELX Street
- City: Cityville
- State: Illinois
- Zip/Postal Code: 60102
- State/Province: Cook County
- Country: USA
- DOB: 08/15/1985
- Gender: Male
- SSN: XXXXX1234
- CC: XXXXXXXXXXXX4321
- Currency Code: USD
- Phone: 847-AWE-SOME
- Email: tom.kestler@accuity.com
- Website: Accuity.com

Below the form is a 'Screening Expiration' section with a date picker showing '1/23/2018'. At the bottom, there are 'Import & Screen' and 'Reset' buttons. The 'Response' section is partially visible at the bottom.



# Version 3.6 (Case deactivation and passed by rules display in ASM)

More features to avoid unnecessary screening in ASM

## Security Enhancements–

“Be confident that your data is safe”

- Framework and library version
- Removed Insecure Direct Object References on various
- Fixed issues on various screens in Compliance Link and supported modules to prevent possible Cross-site scripting (XSS) and SQL injections.
- Updated XML parsers in Compliance Link and supported to prevent XML external Entity injection (XXE) and CSV injection.
- Plain text passwords used for Database connectivity will now be encrypted in the property files

## ASM Screening Improvements–

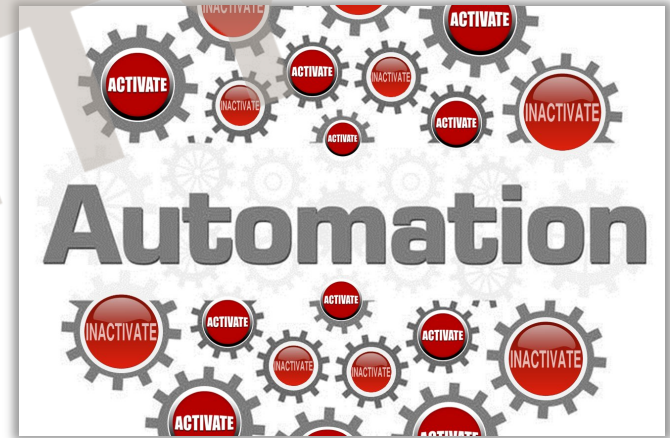
“Increased control and flexibility”

- Deactivate cases through SFTP
- Deactivate cases through an API
- Display records that are passed by rules correctly on the review screens.

## More options to deactivate cases

Customers would like the ability to inactivate cases in Bulk or manually through an API.

- We will allow customer to drop a file that will bulk inactivate cases
- We will build a new API or enhance our current API to allow customers to inactivate cases through Web Service calls



# ASM Passed by Rules Enhancements

The following scenario in ASM is causing customer confusion. A match is considered passed by rules in ASM when any SD passes any rule, even if there are more matches (for the same entity) from different input record fields.

The screenshot displays the ASM interface for a customer record. On the left, the 'Input Record History' section lists several versions of the record, with the most recent being from 12/05/2017 19:35:36. The customer details include: Account ID: 11282017, Customer Name: Persian Rug Company, Resident Country: Iran, and Institution Name: Persian Bank.

The main panel shows the record details for '10014 RBL 01' with a status of 'Passed by Rules'. A tooltip for the 'IRAN' entity provides a rule description: 'Rule Id: 1 Ignore Stop Descriptor: IRAN When Hit came from Field: Customer Name AND When Customer Name Starts with Persian'. Below this, the 'Entity History' table shows a list of matches.

Date	Entity	Risk Score	Status	User ID	Note
12/05/2017 19:35:37	10014 • 20111130120611		Passed by Rules		Automatically Generated
12/05/2017 19:33:53	10014 • 20111130120611		Passed by Rules		Automatically Generated
12/05/2017 19:31:12	10014 • 20111130120611		Passed by Rules		Automatically Generated
11/28/2017 19:09:18	10014 • 20111130120611		Passed by Rules		Automatically Generated
11/28/2017 14:33:50	10014 • 20111130120611		Passed by Rules		Automatically Generated

## Version 3.6.1 – Small feature and security release

**Version 3.6.1 was released in February 2019 delivering security updates to Firco Compliance Link and new features in ASM**

### *3.6.1 Delivers:*

- High availability LDAP (for our intranet customers) allowing for multiple LDAP URLs
- Performance enhancements to ASM and the ASM Web Service
- Password encryption on plain text passwords in the Firco Compliance Link Key Store
- Better logging and presentation on the UI for ASM Import failures
- Security enhancements on compressed file uploads in Private List Manager
- Fixed a UI issue regarding ASM screening and representation of full and delta loads.

# Version 3.7 (Visual changes and user experience enhancements)

Along with a new and modern look, updates to the ASM workflow and feature roles have been made to ease the user experience while providing more functionality

## Enhancements–

### “Increased the user experience and flexibility”

- New and modern interface
- More assignment flexibility in the ASM Workflow
- New read-only user role for ASM
- Storage of more match information in the ASM DB

# Fircosoft rebranding

April 2019 brought new changes to Firco Compliance Link and the Fircosoft product suite:

- “Cousins” to Firco Live Services etc.
- “Sibling” modules ASM, ILS, WS, PLM, CLM, Firco Trade Compliance

Project Name	Description	Run Method	Last Run	Date Created	Progress
ff		Effectiveness		2019-01-22 09:25	Not started
EIF_Isms		Effectiveness	2019-01-22 08:12	2019-01-22 08:09	<a href="#">View Results</a>
testf		Gap Analysis	2019-01-22 07:55	2019-01-22 07:50	<a href="#">View Results</a>
test		Gap Analysis		2019-01-22 07:48	Not started
<a href="#">Set Expectations</a>		Effectiveness		2019-01-22 05:35	Not started
project		Gap Analysis	2019-01-22 03:33	2019-01-22 03:32	<a href="#">View Results</a>
Truncation		Effectiveness		2019-01-22 00:43	Not started
Laurentide_Lexico		Gap Analysis	2019-01-21 10:15	2019-01-21 10:13	<a href="#">View Results</a>

Design of Firco Live Services

WELCOME  
Your Company Name  
Change Password  
Administrative System Manager  
Commodity Cost Manager  
Trade Compliance Manager  
Trade Link Manager

ADMIN FUNCTIONS  
Dashboard  
Application Parameters  
Search Instructions  
Add Institution  
Search Users  
Add User  
Configure Logged In Users  
Batch Maintenance  
Batch Queue  
Batch Thread  
Analytical Reports  
Manage Lists  
Manage Review Notes  
Manage Folders  
Manage Accessing Settings  
リニューアルオープン

CASE MANAGEMENT  
Match Review Search  
Previous Match Search  
Transaction Review Search  
Case Review Search  
Batchload Requests

SCREENING  
Add File Identification  
Modify File Specification  
Custom Screening  
Screen File  
Match Results

For reports, please email: [Support@Acquity.com](mailto:Support@Acquity.com)

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Current Compliance Link

# Rebranding goals

Help users stay oriented within our product using visual hierarchy

- Where am I?
  - What am I looking at?
- Where did I come from?
  - What do I do next?

The screenshot shows the 'COMPLIANCE LINK' interface. It features a blue sidebar with navigation options like 'WELCOME Nicole Pizzini', 'Your Company Name', 'Log Out', 'Compliance Link', 'ADMIN FUNCTIONS', 'SCREENING', and 'CASE MANAGEMENT'. The main content area displays a 'Case Review' for Case ID 14619, with details for Sub-case Status, Unique ID, Dataset Name, and Assigned User. A table shows 'Input Record History' with columns for Version, Commodity, and Vessel Alerts. Below this is a 'Case Attachments' section with a table and a file upload area. The interface is cluttered with many small buttons and text elements.

Current Compliance Link

The screenshot shows the 'rebrand design' interface for 'Case Review'. It has a clean, modern layout with a green sidebar containing 'Case Search', 'Add/Update Record', 'Import Records', 'Screening History', 'Report Queue', and 'Admin Functions'. The main content area is titled 'Case Review' and shows details for Case ID 11736, including Sub-case Status, Unique ID, Dataset Name, and Assigned User. It features a 'Required Field' section, an 'Input Record History' table, and a 'Case Attachments' section. The design is more spacious and uses a consistent color palette.

Rebrand Design

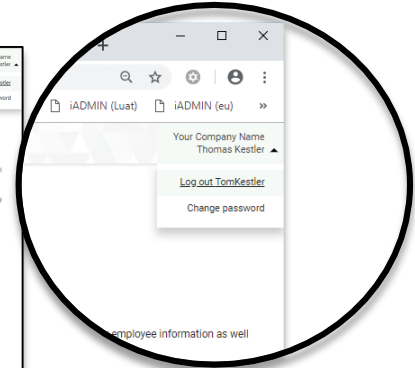
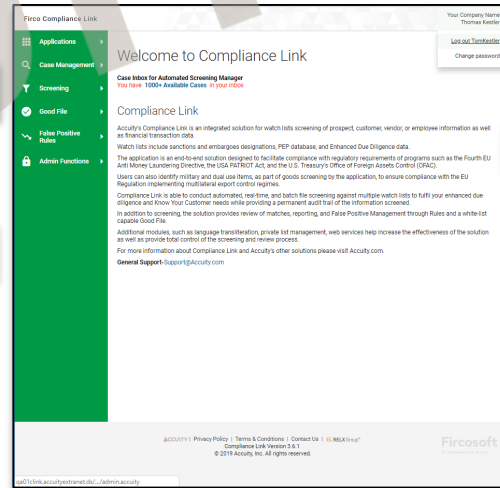
# Rebranding actions

Update	Firco Family	Visual Hierarchy
Top Header Bar	<ul style="list-style-type: none"><li>• Adds Firco name</li><li>• Adds Firco triangle pattern</li><li>• Parallels white header in other Firco products</li><li>• Adds identical element to all CL modules</li></ul>	<ul style="list-style-type: none"><li>• Keeps Compliance Link name consistent throughout modules.</li><li>• Adds module name to explain current location.</li></ul>
Left Navigation Bar	<ul style="list-style-type: none"><li>• Adds Firco green</li><li>• Parallels green left nav in other Firco products</li></ul>	<ul style="list-style-type: none"><li>• Highlights top level navigation as breadcrumbs so users know where they are and how to return.</li><li>• Adds icons to teach terms and aid memorization.</li></ul>
Fonts	Roboto matches other Firco Products	Roboto has a wide variety of font weights which we used to emphasize labels and titles.
Buttons	Adds Firco green to replace Accuity blue	<ul style="list-style-type: none"><li>• Emphasizes primary vs. supporting actions on the page.</li><li>• Users don't have to read each option and aim carefully.</li></ul>
Tables (ASM only)	A lighter striping and larger clickable area is consistent with other Firco products	<ul style="list-style-type: none"><li>• Tables headers now have white backgrounds to shift emphasis to table content. They remain bold like labels.</li><li>• Text has been left aligned and numbers right-aligned for easier skimming.</li><li>• Simple lists that are not data tables are no longer displayed like data tables.</li></ul>
Footer	<ul style="list-style-type: none"><li>• Logos from each company level are integrated</li><li>• Footers are consistent in each module.</li></ul>	<ul style="list-style-type: none"><li>• Grey background pushes the white content area forward.</li><li>• We've given the content area a minimum height so the footer never appears in the middle of the screen.</li></ul>



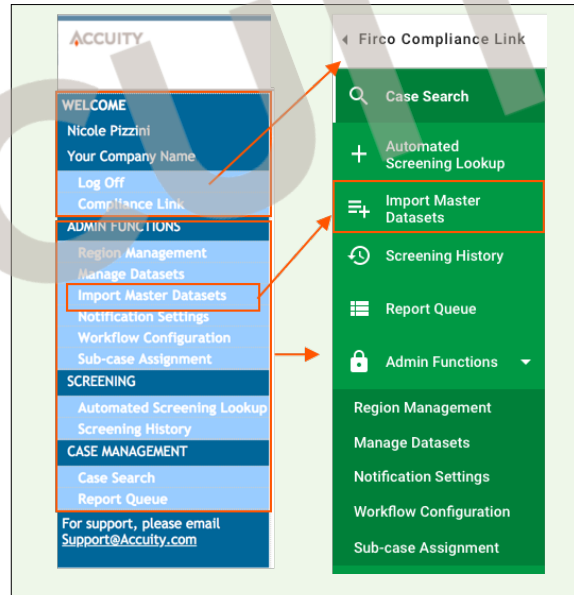
# New header format

Update	Firco Family	Visual Hierarchy
Top Header Bar	<ul style="list-style-type: none"><li>• Adds Firco name</li><li>• Adds Firco triangle pattern</li><li>• Parallels white header in other Firco products</li><li>• Adds identical element to all CL modules</li></ul>	<ul style="list-style-type: none"><li>• Keeps Firco Compliance Link name consistent throughout modules.</li><li>• Adds module name to explain current location.</li></ul>



# Navigation enhancements

Update	Firco Family	Visual Hierarchy
Left Navigation Bar	<ul style="list-style-type: none"><li>• Adds Firco green</li><li>• Parallels green left nav in other Firco products</li></ul>	<ul style="list-style-type: none"><li>• Highlights top level navigation as breadcrumbs so users know where they are and how to return.</li><li>• Adds icons to teach terms and aid memorization.</li></ul>



# Font and button changes

Update	Firco Family	Visual Hierarchy
Fonts	Roboto matches other Firco Products	Roboto has a wide variety of font weights which we used to emphasize labels and titles.
Buttons	Adds Firco green to replace Accuity blue	<ul style="list-style-type: none"><li>Emphasizes primary vs. supporting actions on the page.</li><li>Users don't have to read each option and aim carefully.</li></ul>

TYPEFACE

## Roboto

Backup Typefaces:  
Arial  
sans-serif

H1	AaBbCc	H2	AaBbCc	H3	AaBbCc
	font-weight: Light (300); font-size: 32px; color: #212121; Use for page title		font-weight: Light (300); font-size: 24px; color: #212121; Use for section headers		font-weight: Light (300); font-size: 20px; color: #212121; Use for modal title
WEIGHTS	H4	P1			
	AaBbCc	This is an example of the text used throughout the application, such as instructions or error messages.			
	font-weight: Light (300); font-size: 13px; color: #212121;	font-weight: Regular (400); font-size: 13px; color: #212121;			

Search	Cancel	Reset	SEARCH	CANCEL	RESET
--------	--------	-------	--------	--------	-------

# New table structures and footer

## Update

## Firco Family

## Visual Hierarchy

### Tables (ASM only)

A lighter striping and larger clickable area is consistent with other Firco products

- Tables headers now have white backgrounds to shift emphasis to table content. They remain bold like labels.
- Text has been left aligned and numbers right-aligned for easier skimming.
- Simple lists that are not data tables are no longer displayed like data tables.

### Footer

- Logos from each company level are integrated
- Footers are consistent in each module.

- Grey background pushes the white content area forward.
- We've given the content area a minimum height so the footer never appears in the middle of the screen.

**COMPLIANCE LINK**

WELCOME  
Nicole Pizzini  
Your Company Name

Screening History

ID	Dataset	Instruction	List Name	GWL Data	Input Data	Import ID	Scheduled Date	Completion Date	Screened Version	Status
18343	WH_IsName	USAC22	Acuity OFAC Enhancements	F	D	7830	01/15/2019 20:57:00	01/15/2019 20:57:12	20180923142108	Finished
18342	WH_IsName	USAC22	Acuity's OFAC List	F	D	7830	01/15/2019 20:57:00	01/15/2019 20:57:12	20180923134438	Finished
18341	AKA_IsName	USAC22	Acuity OFAC Enhancements	F	D	7829	01/15/2019 20:56:33	01/15/2019 20:56:53	20180923142108	Finished
18340	AKA_IsName	USAC22	US PEP List powered by WorldCompliance	F	D	7829	01/15/2019 20:56:33	01/15/2019 20:56:53	20180923105427	Finished
18339	AKA_IsName	USAC22	Acuity's OFAC List	F	D	7829	01/15/2019 20:56:33	01/15/2019 20:56:53	20180923134438	Finished
18338	WH_IsName	USAC22	Acuity's OFAC List	F	F	7828	01/15/2019 20:40:16			Processing
18337	WH_IsName	USAC22	Acuity OFAC Enhancements	F	F	7828	01/15/2019 20:40:16			Processing
18336	akje_dataset	USAC22	Acuity's OFAC List	F	D	7827	01/15/2019 20:39:11	01/15/2019 20:39:13	20180923134438	Finished
18335	akje_dataset	USAC22	US PEP List powered by WorldCompliance	F	D	7827	01/15/2019 20:39:11	01/15/2019 20:39:22	20180923105427	Finished
18334	akje_dataset	USAC22	Acuity OFAC Enhancements	F	D	7827	01/15/2019 20:39:11	01/15/2019 20:39:14	20180923142108	Finished
18333	akje_dataset	USAC22	Acuity OFAC Enhancements	F	D	7824	01/15/2019 20:32:53	01/15/2019 20:33:09	20180923142108	Finished
18332	akje_dataset	USAC22	US PEP List powered by WorldCompliance	F	D	7824	01/15/2019 20:32:53	01/15/2019 20:32:59	20180923105427	Finished
18331	akje_dataset	USAC22	Acuity's OFAC List	F	D	7824	01/15/2019 20:32:53	01/15/2019 20:33:06	20180923134438	Finished
18330	AKA_IsName	USAC22	US PEP List powered by WorldCompliance	F	D	7819	01/15/2019 17:58:37	01/15/2019 17:58:52	20180923105427	Finished
18329	AKA_IsName	USAC22	Acuity's OFAC List	F	D	7819	01/15/2019 17:58:37	01/15/2019 18:13:36	20180923134438	Finished
18328	AKA_IsName	USAC22	Acuity OFAC Enhancements	F	D	7819	01/15/2019 17:58:37	01/15/2019 18:13:36	20180923142108	Finished
18327	Rail Test	USAC22	Controlled Goods Screening	F	F	7804	12/05/2018 20:11:00	12/05/2018 20:19:28		Failed/Restart
18321	CGI Test - US Name	USAC22	Controlled Goods Screening	F	D	7791	12/04/2018 16:57:57	12/04/2018 16:58:04		Failed
18316	(POREVIEW)	USAC22	FATF Deficient Jurisdictions List	F	D	7786	12/04/2018 16:26:42	12/04/2018 16:26:51	20180926159523	Finished
18315	(POREVIEW)	USAC22	Acuity OFAC Enhancements	F	D	7786	12/04/2018 16:26:42	12/04/2018 16:26:50	20180923142108	Finished

Records: 1 - 20 of 1028 Total Records  
1 2 3 4 5 6 >>>

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RELX Group

### Current Compliance Link

Screening History

ID	Dataset	Instruction	List Name	GWL Data	Input Data	Import ID	Scheduled Date	Completion Date	Screened Version	Status
116000	U.S. Accounts	OTHER LISTS	Central Bank of Iraq Public Black List	F	F	3948	01/18/2019 14:19:34	01/18/2019 14:44:36	20170919142035	Finished
116089	U.S. Accounts	OTHER LISTS	EOO Asia Pacific Australia	F	F	3948	01/18/2019 14:19:34	01/18/2019 14:39:40	20181120159227	Finished
116088	U.S. Accounts	PEP Screening	US PEP List powered by WorldCompliance	F	F	3948	01/18/2019 14:19:34	01/18/2019 14:29:33	20181116081800	Finished
116087	U.S. Accounts	OFAC only	Acuity OFAC Enhancements	F	F	3948	01/18/2019 14:19:34	01/18/2019 14:34:27	20181219144658	Finished
116086	U.S. Accounts	OFAC only	Acuity's OFAC List	F	F	3948	01/18/2019 14:19:34	01/18/2019 14:24:46	20181219150601	Finished
116085	button	kjghhio	Acuity OFAC Enhancements	F	F	3948	01/17/2019 19:49:23			Failed/Error Restart
116084	button	kjghhio	Acuity OFAC Enhancements	F	F	3948	01/17/2019 19:43:04			Failed/Restarted
116083	button	kjghhio	Acuity OFAC Enhancements	F	F	3948	01/17/2019 19:06:42			Failed/Restarted
116082	button	kjghhio	Acuity's OFAC List	F	F	3948	01/17/2019 19:06:42	01/17/2019 19:12:13	20181219150601	Finished
116081	chanddataset	testinst	US PEP List powered by WorldCompliance	F	F	3944	01/16/2019 17:27:50	01/16/2019 17:38:10	20181116081800	Finished
116080	chanddataset	testinst	Acuity OFAC Enhancements	F	F	3944	01/16/2019 17:27:50	01/16/2019 17:42:53	20181219144658	Finished
116079	chanddataset	testinst	Acuity's OFAC List	F	F	3944	01/16/2019 17:27:50	01/16/2019 17:33:15	20181219150601	Finished
116074	CL-7307 Dataset A*	CL-7307 Dataset A	Screenless GWL Data	F	F	3928	01/03/2019 20:13:08	01/03/2019 20:18:30		Finished
116071	(POREVIEW)	Trade Compliance	Controlled Goods Screening	F	F		12/18/2018 18:01:49	12/18/2018 18:21:41		Finished

Records: 1 - 20 of 1454 Total Records  
1 2 3 4 5 6 >>>

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Fircosoft

### Magna Design

# View automated screening cases (read access) for 3.7

Providing a way for customers to view all cases in ASM has been on our roadmap for sometime. We plan to provide this in version 3.7

- We have added a new feature “view automated screening cases”
- This feature will act like an ASM case admin (without the ability to change match statuses)
- This feature can also be coupled (by creating a custom role) with other features to allow reviewers to see other cases (old cases that they have worked on) and add case attachments, see case information and review the audit trail.

Add Custom User Role

• = Required Field

Name:  Status: Active

User Role Features •

Application Features	Application Configuration	Workflow Management
<input type="checkbox"/> Automated Screening Lookup	<input type="checkbox"/> Automated Screening Case Admin	<input type="checkbox"/> Automated Screening Workflow
<input type="checkbox"/> Batch Maintenance	<input type="checkbox"/> Commodity List Manager	<input type="checkbox"/> Case Management Configuration
<input type="checkbox"/> Good File Preload	<input type="checkbox"/> ILS Configuration	<input type="checkbox"/> False Positive Reduction Rules Management
<input type="checkbox"/> ILS Activity History	<input type="checkbox"/> Institution Management	<input type="checkbox"/> Manage Review Notes
<input type="checkbox"/> ILS Custom Lookup	<input type="checkbox"/> Manage Dictionaries and Char. Map	<input type="checkbox"/> Match Status Management
<input type="checkbox"/> ILS Lookup	<input type="checkbox"/> Manage GWL Subscriptions	<input type="checkbox"/> Risk Scorecard Management
<input type="checkbox"/> Manage File Specifications	<input type="checkbox"/> Manage Private Lists	<input type="checkbox"/> Screening Profile Management
<input type="checkbox"/> Review & Update Match Status	<input type="checkbox"/> Private List Manager	<input type="checkbox"/> View Dashboard
<input type="checkbox"/> Screen a File	<input type="checkbox"/> Trade Compliance Manager Admin	
<input type="checkbox"/> Search Good File	<input type="checkbox"/> User Activity Audit Trail	
<input type="checkbox"/> View Automated Screening Cases	<input type="checkbox"/> User Management	
<input type="checkbox"/> View Compliance Link Matches		

SAVE CANCEL RESET

# Workflow enhancements for 3.7

Providing more options in the workflow configuration will allow administrators to assign cases to a multitude of groups and individual users. This work will help:

- Current classic customers to migrate to ASM and simulate their folder structure.
- Provide flexibility to customers that need to remove users from automatic assignment temporarily.

Dataset: U.S. Accounts  
Inactive Datasets are marked with an \*

Stage Name: Stage 1  
Assignment Type: Automatic  
Maker Checker:   
DELETE

Sub-case Types:  GWL,  PEP/EDD,  Private,  Commodity,  Vessel Alerts,  Other

Assigned Statuses:  Simple \$\*+u\$  
 Changed  
 False Positive  
 Hold  
 Open  
 Passed by Good File  
 Passed by Rules  
 Pending Review  
 Test  
 Test status  
 Test1  
 Test2  
 True Match  
 OTKpBTBM  
 リニューアルオープン

Reviewer Assignments: Groups: Automatic, Individuals: abaymiyeva  
SELECT ASSIGNEES

Review Statuses Available:  Simple \$\*+u\$  
 Changed  
 False Positive  
 Hold  
 Open  
 Passed by Good File  
 Passed by Rules  
 Pending Review  
 Test  
 Test status  
 Test1  
 Test2  
 True Match  
 OTKpBTBM  
 リニューアルオープン

Stage Name: Final  
Assignment Type: Final  
DELETE

Sub-case Types:  GWL,  PEP/EDD,  Private,  Commodity,  Vessel Alerts,  Other

Assigned Statuses:  Simple \$\*+u\$  
 Changed  
 False Positive  
 Hold  
 Open  
 Passed by Good File  
 Passed by Rules  
 Pending Review  
 Test  
 Test status  
 Test1  
 Test2  
 True Match  
 OTKpBTBM  
 リニューアルオープン

Reviewer Assignments: SELECT ASSIGNEES

Review Statuses Available:  Simple \$\*+u\$  
 Changed  
 False Positive  
 Hold  
 Open  
 Passed by Good File  
 Passed by Rules  
 Pending Review  
 Test  
 Test status  
 Test1  
 Test2  
 True Match  
 OTKpBTBM  
 リニューアルオープン

Users with review permissions

	<input type="checkbox"/> Y/N	
<input type="checkbox"/> Rajeshgroup	<input type="checkbox"/>	yishhadi
<input type="checkbox"/> RenTest	<input type="checkbox"/>	Raj3 Van3 vanukur3
<input checked="" type="checkbox"/> SmartWorkflow	<input type="checkbox"/>	RenTest1 RenTest1 RenTest1
	<input checked="" type="checkbox"/>	Admin User adminuser
	<input checked="" type="checkbox"/>	Normal user1 normaluser1
	<input checked="" type="checkbox"/>	Normal User2 normaluser2
<input type="checkbox"/> spgroup		Nobody in this group can review or update match status.
<input type="checkbox"/> Stage1	<input type="checkbox"/>	Dan Workflow 1 WorkflowDan1
<input type="checkbox"/> Stage2	<input type="checkbox"/>	Daniel Workflow 2 WorkflowDan2
<input type="checkbox"/> This is to test maximum length		Nobody in this group can review or update match status.
<input type="checkbox"/> Workflowgroup	<input type="checkbox"/>	raj7 van7 vanukur7

SAVE CANCEL

## Selection options at any stage:

- A single group
- Multiple groups
- A single user
- Multiple users
- A combination of groups and users

## Storage of match metadata in ASM for 3.7

To facilitate two future use cases, we will bring in more data into the ASM database. This match metadata will provide more direction to where a match was triggered. We will implement this feature carefully and complete performance testing and screening fit testing to ensure that performance does not degrade.

### **Use Case: Highlighting**

All customers need better highlighting in our UI. Being able to highlight the right information and identify the field that was matched will help speed up review and help accurately identify potential risks.

### **Use Case: Volume Analysis**

Our largest intranet customers are performing back-end reporting and volume spike analysis in ASM. They need to know what SDs will cause the biggest impact to their system when a watch list is updated. Understanding the spikes in matches will allow them to write rules and rescreen records to avoid unnecessary review and time.

# New Database Additions

CDM_MATCHES	
ID	
ACCOUNT_SEQ	
DATASET_ID	
MASTER_ID	
FOLDER_ID	
MATCH_STATUS	
RISK_SCORE	
ENTITY_ID	
INPUT_VERSION_ID	
FP_RULE_ID	
MATCH_TYPE	
FIRST_MATCHED_DATE	
LAST_MATCHED_DATE	
LAST_REVIEW_DATE	
LAST_REVIEW_BY	
UNIQUE_CUST_ID	
HIGHLIGHT_INFO	
SUB_CASE_ID	
PFC_LIST_ID	
SOURCE_CODE	
ENTITY_TYPE	
HAS_SD	
SCREEN_QUEUE_ID	
SCREENING_TYPE	

Two New Tables have been added to the ASM DB

This field will detail if the record has an entry in the CDM\_MATCH\_SD table

This field will specify the Screening Queue or screening job that caused this match

This field will differentiate between matches that were generated from Batch and Web Service Activity

CDM_MATCH_SD	
ID	
MATCH_ID	
SD_TEXT	
FIELD_NAME	
ACCOUNT_SEQ	
DATASET_ID	
SD_SCORE	
FP_RULE_ID	
FPR_APPLIED	

Full Stop Descriptor

Field of the input record that caused the match

Total Match Score

Rule ID applicable to the match

Yes if rules are used on the instruction

CDM_MATCH_SD_TOKEN	
ID	
MATCH_ID	
MATCH_SD_ID	
INPUT_TOKEN	
SD_TOKEN	
SD_TOKEN_SYN	
SD_TOKEN_SCORE	

Actual Input Value that hit the Stop Descriptor Token

Actual Value of the Stop Descriptor Token (can be broken down if SD is concatenated)

The Synonym if applicable

The individual SD Token Score



## Our next focus after the 3.7 release

- A new ASM Web Service that is more flexible with improved performance
- A new Firco Compliance Link Authentication mechanism
- Improvements on overall performance

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# Why do customers want more flexibility with the file specification?

Payment screening is a little more complex as not all fields are required to include data. SWIFT messages exist in a number of different formats and we should allow for customers to submit records and handle gracefully.

We would like to fit right into our customers processes and work with the data and output that they have

Payment transactions are ever changing and can have certain aspects included or not included based on the payment type and payment message



# Allow one, allow some, allow all

ASM WS will include new functionality to allow customers to successfully screen payment transactions to Improve our all-in-one screening proposition.

- Datasets will handle a varied set of ever changing fields
- Updates to the search screen to allow for varied set of input types
- Update to our screening instructions (to define what is being screened)
- Configure what constitutes a “change” to the input record and warrants screening
- This will also improve account and trade screening processes

## Future Requests Only Require Subset of Data

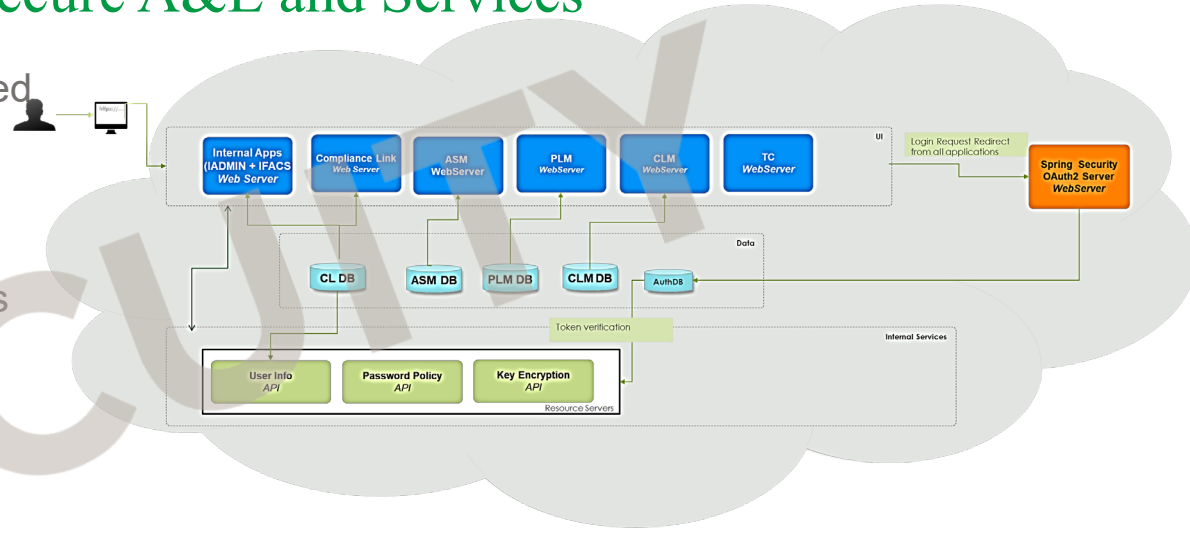
```
<requestXML>
  <Request DatasetGUID="xxxx-xxxx-xxxx-xxxx" Id="1234">
    <Field Name="Unique ID">123456</Field>
    <Field Name="Customer Name">Tom Kestler</Field>
    <Field Name="City">Glenview</Field>
    <Field Name="DOB">08/15/1985</Field>
    <Field Name="Bank">Bank One</Field>
  </Request>
</requestXML>
```

## Current Request Require All Fields (even if null)

```
<requestXML>
  <Request DatasetGUID="xxxx-xxxx-xxxx-xxxx" Id="1234">
    <Field Name="Unique ID">123456</Field>
    <Field Name="Customer Name">Tom Kestler</Field>
    <Field Name="City">Glenview</Field>
    <Field Name="DOB">08/15/1985</Field>
    <Field Name="Bank">Bank One</Field>
    <Field Name="Account Number"></Field>
    <Field Name="Trade Number"></Field>
  </Request>
</requestXML>
```

# Firco Compliance Link Secure A&E and Services

- Firco Compliance Link and related applications at the moment uses certain non-standard A&E techniques.
- Each application currently has its own logic for authenticating and authorizing users.
- Each application acts monolith and there are zero components that are getting shared.
- This will also act as a solution for modularizing and modernizing our application.
- The creation of a service layer which can be used for sharing code between applications via internal private APIs is essential.



## Benefits of a new service layer/ core services?

- Move away from a monolithic, tightly coupled design.
- Separate functionality that is now tightly tied to one single web/application tier.
- Begin to **modularize and decouple** functionality present in various applications.
- Reuse functionality and reduce maintenance overhead caused by the need to refactor similar code in multiple applications.
- Allow for a **data service layer** that can be created to abstract the DAO layer implementation from the rest of the application.

Questions?

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Thank you for your attention

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