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Firco Live Services Securing your screening policy and configuration

Screening Operations Controller (SOC)

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Agenda

- What is Firco Live Services?
- What is Screening Operations Controller?
- Today's landscape
- Process presentation
- Demo
- Live Services solution suite: future state
- Q&A



What is Firco Live Services?

Visibility, command and control layer on the configuration across all screening hubs



Centralised process; all-in-one tool for distributed teams involved



Secured process to ensure file integrity



Ability to respond to live queries from internal auditors or regulators



Streamlined process & resources based on risk and criticality



Monitor and propose recommendations to improve performance



Less manual tasks



More efficient testing capabilities



Live Services – Screening Operations Controller

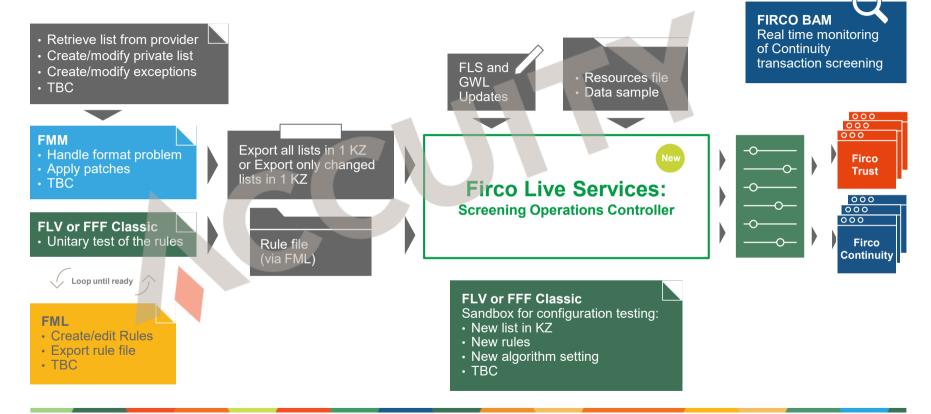
- > First module of a complete solution
- > Fill the gap between Utilities and the filter

Single platform communicating to and from screening engines

- ✓ Centralize the filters configuration (Lists, exceptions, rules, resources file)
- ✓ Validate, test, and feed configuration and its changes
- ✓ Monitor screening in production
- ✓ Conduct forensic analysis

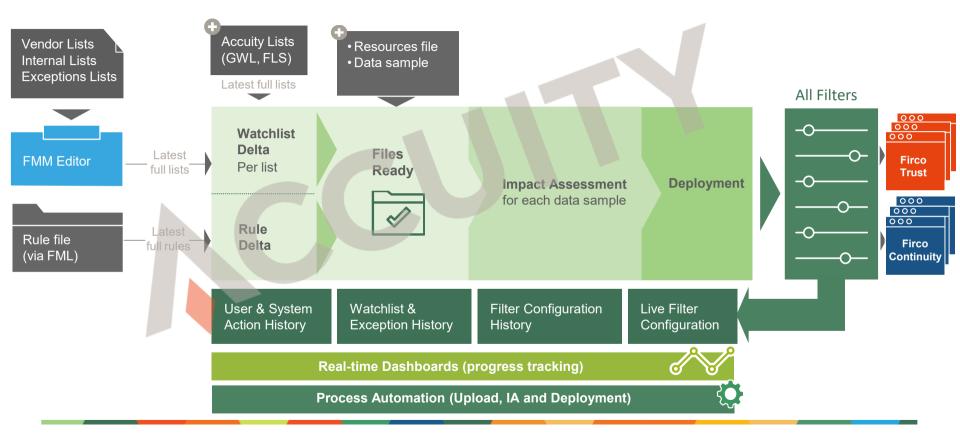


Firco Live Services - today's landscape





Process Presentation





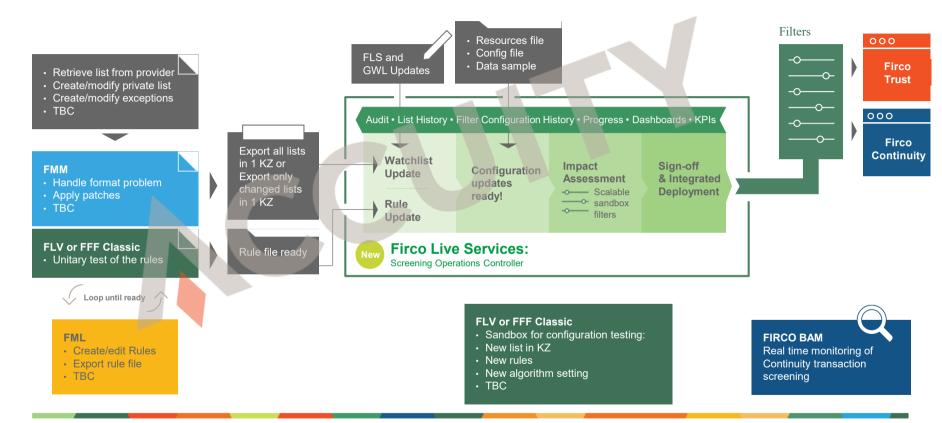
You may contact us for the Demo videos







Live Services - today's landscape





With WLM release, we will New module: Watchlist Manager announce FMM out of support Expected release: 2020 · Resources file Config file Filters 000 Data sample Firco Trust Retrieve list from Watchlist Manager provider FMM replacement with · Create/ modify 000 **Screening Operations Controller** better capabilities private list Seamlessly integrated Create/ modify Firco with SOC exceptions Continuity First step toward Watchlist • TBC Sian-off Impact Configuration advanced version Update & Integrated Assessment updates **Deployment** -o--- Scalable ready! ----- sandbox Rule **FLV or FFF Classic** -o filters Update Unitary test of the rules Audit • List History • Filter Configuration History • Progress • Dashboards Loop until ready **FML** Create/edit Rules Export rule file **FLV or FFF Classic** • TBC · Sandbox for configuration testing: **FIRCO BAM** New list in KZ Real time monitoring of New rules Continuity transaction

· New algorithm setting

• TBC

screening



Firco Live Services further roadmap

(2021 onwards) Filters **Analytics** 000 Firco Audit, List History, Filter Configuration History, Progress Dashboards, KPIs **Trust** Resources file **Screening Operations Controller** Config File Alert if unexpected changes 000 Data sample Firco Watchlist Continuity Watchlist Manager Configuration **Deployment** Update Impact Retrieve Assessment FMM replacement **Updates** Sian-off Advanced version: - Scalable list from Ready - Sandbox · Store records modifications Rule provider filters Embed- Automated data cleaning Update (including & enrichment (replace patches) FLS and Record search and history Drive all Continuity configuration, Automation of the process,... TBC GWL) Create/modify Tuning Request manager private list Simulation Manager (Replacing FLV) Create/modify Create validate and send tuning exceptions requests Rule Editor Sandbox filter for Comparing with • TBC anv IA performed new configuration Most of FML features and: testing: in the Rule creation enhancement Loop New list in Kz deployment Validation workflow until Know Your Filter · New rules. process · Rule request management ready New algo setting Save results to KPIs on rules Tools and process to test • TBC Using any file compare effectiveness of the filter and deployed with the Export results tool • TBC compare 2 versions

Summary: Unique benefits of Screening Operations Controller



Correspond to a critical need for

- Proof
- Control



Reduces risk:

- No more manual file handling to feed screening engines,
- Secured process with configurable rights, permissions and validation workflows to avoid any intervention



Impact Assessment performance increased



Centralized management of the filter configuration, with confidentiality of data kept



Ease the list management





Avoid cost of error in production Replace internal cost to handle home made tools – Mutualisation (eg. pool together/ mutual cost benefit)



Questions



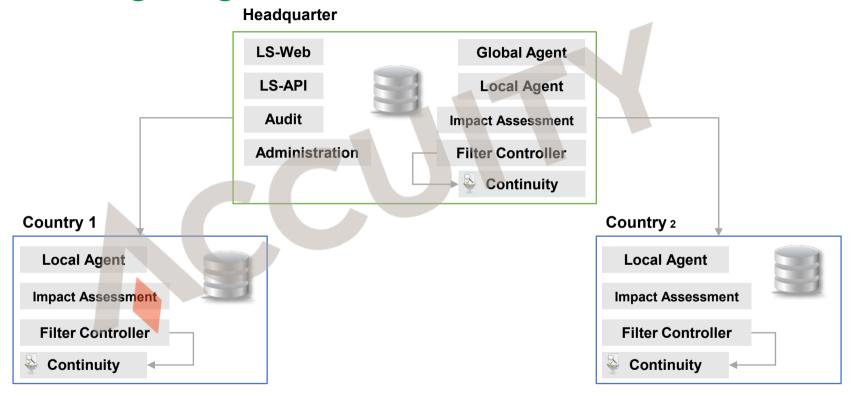






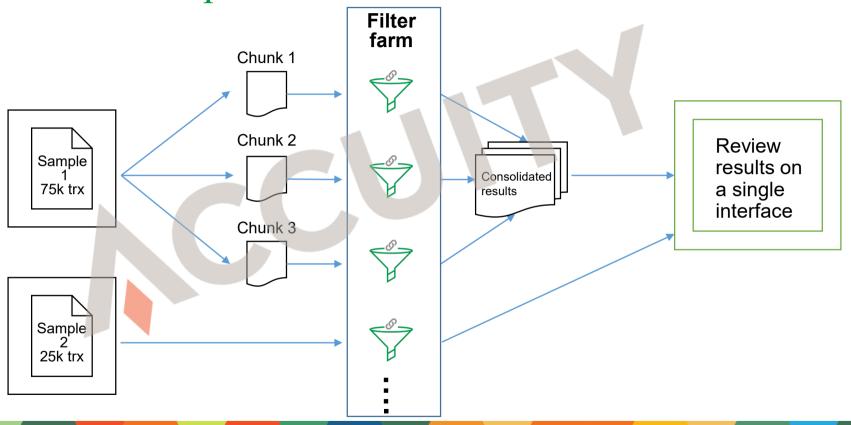


Hosting for global and local data





Scalable Impact Assessment





Performance – Test Results

- Context
 - 1M messages data samples
 - 5% of alert rate
 - 5.2 hits per alerted messages in average
 - Kz SWIFT FLS, No rules in the rule file

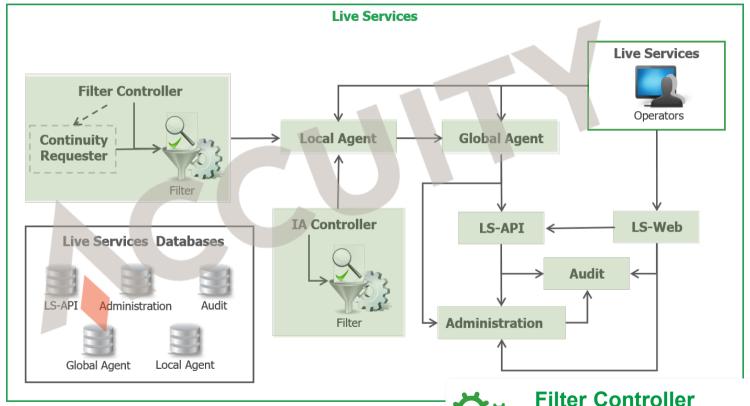
Data Sample Slice 10k transactions			Data Sample Slice 50k transactions			Data Sample Slice 100k transactions		
Transactions	IA nodes	Execution time	Transactions	IA nodes	Execution time	Transactions	IA nodes count	Execution time
count	count	(mm:ss)	count	count	(mm:ss)	count		(mm:ss)
1M	15	08:30	1M	15	08:10	1M	15	11:46
	10	11:34		10	10:08		10	11:46
	5	17:23		5	15:48		5	17:49
	3	35:31		3	26:50		3	29:47

Technical ground

- Installed on-premises
- Micro-service oriented
- SAML2 SSO
- Java 8 based with embedded Tomcat server



Components interactions





Apply screening context on live screening platforms

Security

Having multiple services implies having a way to secure service to service communication with a proper authorisation framework. We support two kind of authorisation:

- HTTPS with mutual authentication
 - Here we authorise a particular client to reach our endpoint at the HTTPS level
- OAuth2
 - Here we accept a wider range of client but require an access token
 - This token can be validated against our OAuth2 server



Compatibility with other Firco Products

- Screening Operations Controller is compatible with
 - Any release of Firco Utilities
 - Any version of the filter, except the Live Configuration feature which is compatible only for Firco Filter 5.7 and above



Prerequisites for a single instance

Software

- Linux RHEL7
- Java JRE 1.8
- Oracle 12c
- IE 11, Firefox 52ESR
- X509 certificate
- Support of AIX, Windows as OS and Sql Server as DB forecast to February 2019

Hardware

- 8 cores CPU
- 32GB RAM
- 100GB disk space
- 100GB database space



Implementation

- Workshop on Configuration
- Workshop on Roles and Permissions
- Customization of deployment scripts
- Scale Impact Assessment environment
- Phased approached
 - For entities
 - For lists/rules content

