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23 May 2019

The benefits of the Firco Compliance Link upgrade

Tom Kestler
Senior Product Manager, Risk, Accuity

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Objectives

We hope that the following questions can be answered during this presentation:

1. Why upgrade and perform ongoing maintenance?
2. What does an upgrade entail?
3. What is the difference between a version upgrade and an upgrade to ASM?
4. What are the best practices for upgrades?
5. What challenges do firms face when upgrading?

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There are many reasons to upgrade outside of improved features/functions

Security Posture	OWASP top ten security risks changing year-over-year
Environment Support	Third-party application and open source library lifecycles
Review Existing Environment	Review existing hardware, FPRR, lists, fuzzy threshold against policy and need
Internal Policies	Requirements including the current or certain number of versions
Future Upgrades	Smaller gaps between upgrades are easier to manage

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Security Posture

Security and performance improvements are the two constants during the Firco Compliance Link SDLC

- **Static Code Analysis** - All Compliance Link components are scanned with Checkmarx during software development
- **Dynamic Scans** - Dynamic scanning tools such as BURP and Zed Attack Proxy (ZAP) are used for our web security scanning during software development
- **Internal Web Application Test** - Monthly penetration test scans with tools such as Acunetix are performed by our internal security team
- **External Penetration Test** – Firco Compliance Link application is scanned by a third-party vendor before every major version release (e.g. v3.7)

Findings are reviewed by the RBI Information Security team and prioritized; often times the remediation requires updates to many parts of the application

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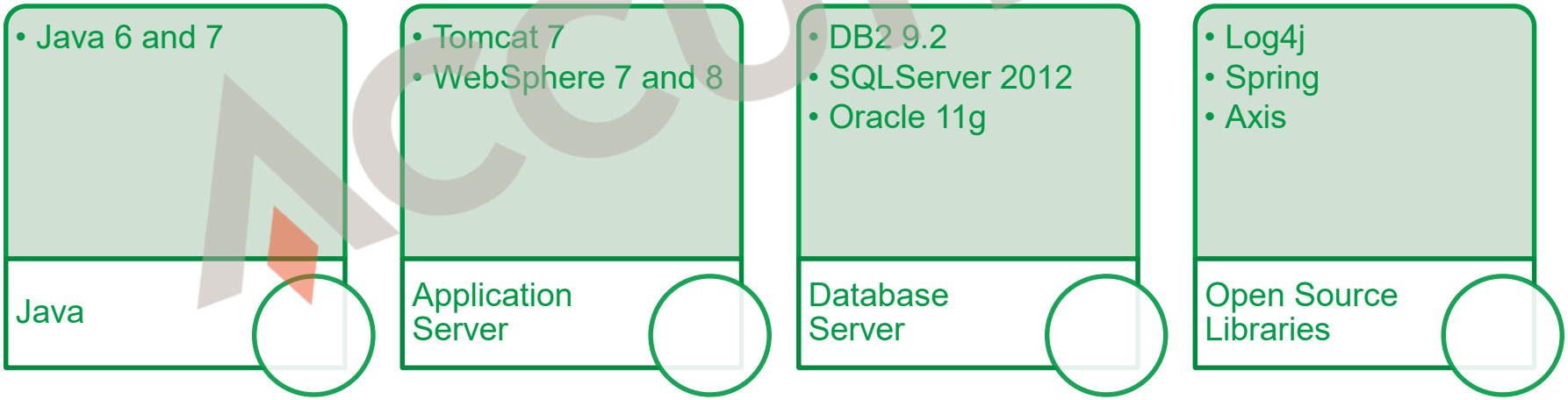
Environment Support

Firco Compliance Link relies on other components which have their own lifecycles

The following versions have recently been sunsetted and we have made updates to address these changes:



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Review Existing Environment

Bring application experts in to review the existing environment and updated best practice

Technical Assessment

- Review performance and environment capacity
- System scaling and/or archiving
- Review changes in volumes due to new sources or increases in existing sources

Risk Process Assessment

- Perform a business process review
- Review screening parameters as it relates to risk profile (fuzzy threshold, risk scoring, FPRR, etc.)
- User training to combat knowledge degradation

Your entire process will be reviewed to ensure that your organization is up to current standards

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Version Gaps

Large gaps between upgrades are much harder to implement

Customers that are on older versions (previous to 3.7) will need more time and scope to upgrade to the latest version

- Large database changes
- Data migration
- Custom integrations
- Changes in process
- Training of users

Long periods of time between upgrades ultimately will cost customers more money and time in the long run.

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There have also been many performance upgrades since last year.

Case Review	Open cases in Compliance Link and ASM have been enhanced
ASM Export	Exports based on Case ID range searches and input record creation/updated date searches have been enhanced
ASM Web Service	Initialization has been refactored to speed up web service response. Datasets without risk score are also faster
ASM Screening History	The screening history page and audit trail pages have been enhanced
Log in	We have changed the ASM case inbox to no longer display full counts of available cases which has improved log in times

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Baseline SOW for a Firco Compliance Link upgrade

1	Customer kick-off meeting
2	Business process review and technical preparation
3	Upgrade in test environment
4	Application configuration
5	Application training for end users
6	Optional system tuning (fuzzy threshold)
7	False positive reduction
8	Assistance with production upgrade
9	Go-live assistance

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What are the types of upgrades?

Our customers have different needs and requirements which drive each type of upgrade

Upgrade to Firco Compliance Link without upgrading to ASM

Traditional Firco Compliance Link upgrade still bring a lot of value.

- Health check
- Bug fixes
- Security enhancements
- Updates to library versions
- Internal requirements

Upgrade to the automated screening manager

Upgrades to ASM can be more involved, but the value will bring a ROI

- Full traceability
- Consolidated review screens
- High throughput/ improved storage
- Automated Delta Screening
- Consolidation of matches
- Proactive Email Notification
- Screening Flexibility

All customers are not ready for an upgrade to ASM, but these features are coming

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How do we communicate releases?

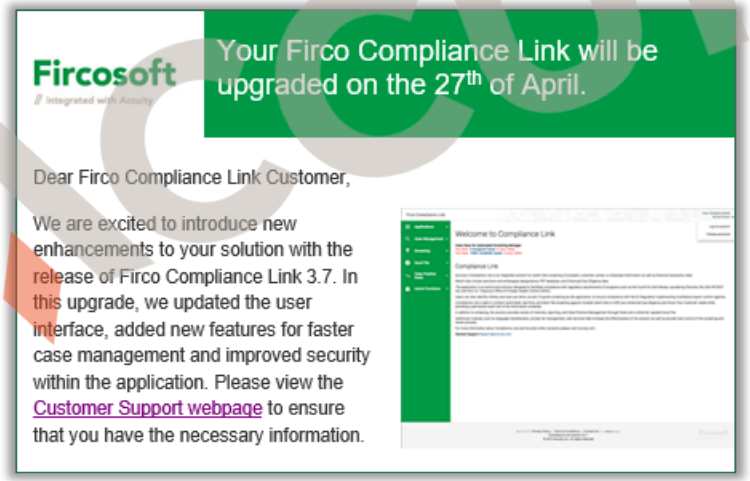
Along with our release communications, we have also build a customer support portal where customers can pick up new documentation and get more information on release features and maintenance windows.

Links

v3.7 Customer Comm.msg

Customer Support webpage

Firco Compliance Link 3.7 release notes

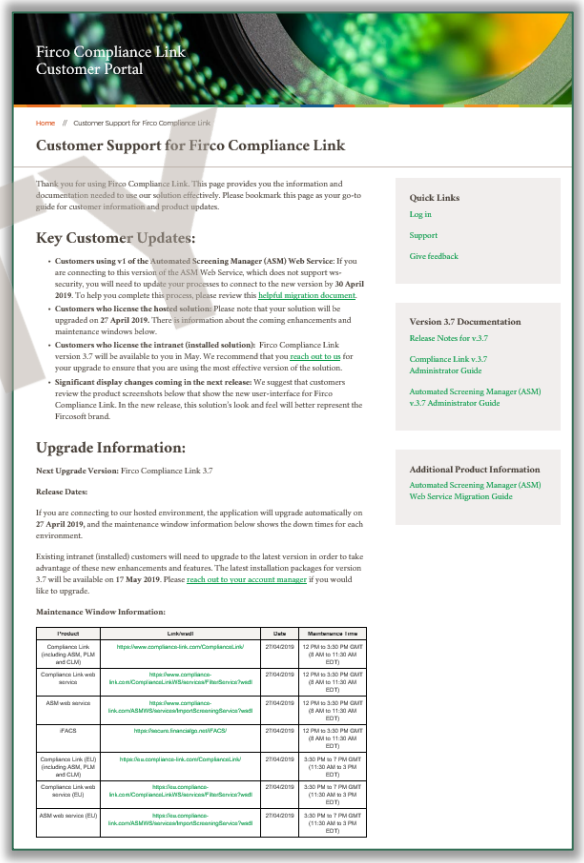


Fircosoft
// integrated with Accuity

Your Firco Compliance Link will be upgraded on the 27th of April.

Dear Firco Compliance Link Customer,

We are excited to introduce new enhancements to your solution with the release of Firco Compliance Link 3.7. In this upgrade, we updated the user interface, added new features for faster case management and improved security within the application. Please view the Customer Support webpage to ensure that you have the necessary information.



Firco Compliance Link
Customer Portal

Home // Customer Support for Firco Compliance Link

Customer Support for Firco Compliance Link

Thank you for using Firco Compliance Link. This page provides you the information and documentation needed to use our solution effectively. Please bookmark this page as your go-to guide for customer information and product updates.

Key Customer Updates:

- **Customers using v1 of the Automated Screening Manager (ASM) Web Service:** If you are connecting to this version of the ASM Web Service, which does not support ws-security, you will need to update your processes to connect to the new version by **30 April 2019**. To help you complete this process, please review this helpful migration document.
- **Customers who license the hosted solution:** Please note that your solution will be upgraded on **27 April 2019**. There is information about the coming enhancements and maintenance windows below.
- **Customers who license the intranet (installed solution):** Firco Compliance Link version 3.7 will be available to you in May. We recommend that you reach out to us for your upgrade to ensure that you are using the most effective version of the solution.
- **Significant display changes coming in the next release:** We suggest that customers review the product screenshots below that show the new user-interface for Firco Compliance Link. In the new release, this solution's look and feel will better represent the Fircosoft brand.

Upgrade Information:

Next Upgrade Version: Firco Compliance Link 3.7

Release Dates:

If you are connecting to our hosted environment, the application will upgrade automatically on **27 April 2019**, and the maintenance window information below shows the down times for each environment.

Existing intranet (installed) customers will need to upgrade to the latest version in order to take advantage of these new enhancements and features. The latest installation packages for version 3.7 will be available on 17 **May 2019**. Please reach out to your account manager if you would like to upgrade.

Maintenance Window Information:

Product	Link/wsdl	Date	Maintenance Time
Compliance Link (including ASM, PLM and CLM)	https://www.compliance-link.com/ComplianceLink/	27/04/2019	12 PM to 3:30 PM GMT (8 AM to 11:30 AM EDT)
Compliance Link web service	https://www.compliance-link.com/ComplianceLinkWS/services/FilterService?wsdl	27/04/2019	12 PM to 3:30 PM GMT (8 AM to 11:30 AM EDT)
ASM web service	https://www.compliance-link.com/ASMWS/services/ImportScreeningService?wsdl	27/04/2019	12 PM to 3:30 PM GMT (8 AM to 11:30 AM EDT)
iFACS	https://secure.financialgo.net/iFACS/	27/04/2019	12 PM to 3:30 PM GMT (8 AM to 11:30 AM EDT)
Compliance Link (EU) (including ASM, PLM and CLM)	https://eu.compliance-link.com/ComplianceLink/	27/04/2019	3:30 PM to 7 PM GMT (11:30 AM to 3 PM EDT)
Compliance Link web service (EU)	https://eu.compliance-link.com/ComplianceLinkWS/services/FilterService?wsdl	27/04/2019	3:30 PM to 7 PM GMT (11:30 AM to 3 PM EDT)
ASM web service (EU)	https://eu.compliance-link.com/ASMWS/services/ImportScreeningService?wsdl	27/04/2019	3:30 PM to 7 PM GMT (11:30 AM to 3 PM EDT)

Quick Links
Log in
Support
Give feedback

Version 3.7 Documentation
Release Notes for v.3.7
Compliance Link v.3.7 Administrator Guide
Automated Screening Manager (ASM) v.3.7 Administrator Guide

Additional Product Information
Automated Screening Manager (ASM) Web Service Migration Guide

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Thank you for your attention

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