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23 May 2019

Customer working group: Redefining ASM Compliance Link

Tom Kestler

Senior Product Manager, Risk, Accuity

Josh Siegel

Senior Engagement Manager, PSG, Accuity

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What will be doing in this exercise.

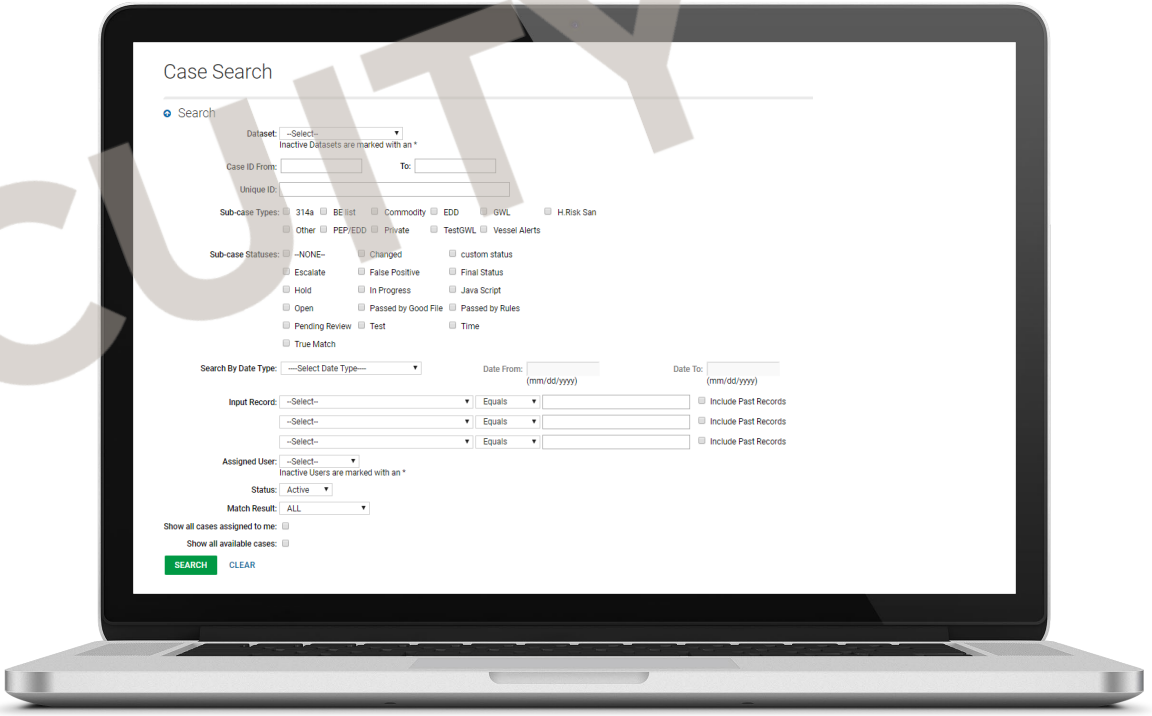
We will split you all up into groups and share some concepts we are exploring.

Please work together to write down your thoughts.

Topic 1: ASM Case Search Functionality and Reporting

Currently the search contains

- case id range searches,
- status searches and
- simple filters



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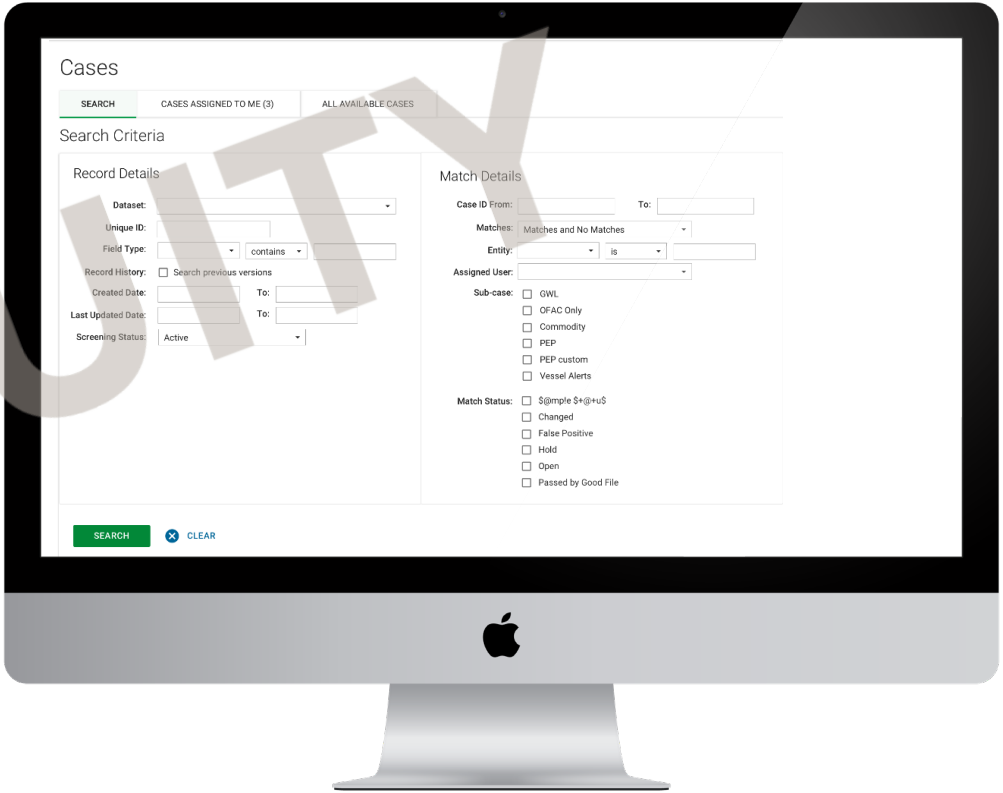
Topic 1: ASM Case Search

We are would like to bring in more functionality and search capability. Please take the time to jot down the following.

- Are your users using case search?
- What types of searches are your users performing?
- Are different users searching for different information?
- What search filters are we missing?
- What data would you like to see after the search?



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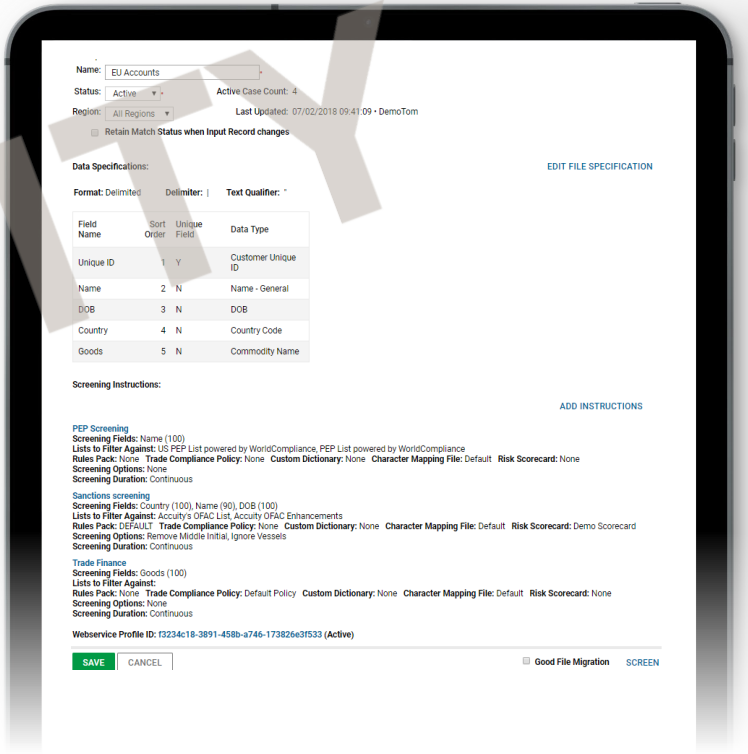
Topic 2: Managed Dataset

We are considering combining all of a dataset's settings onto one screen to show a holistic view of configurations.



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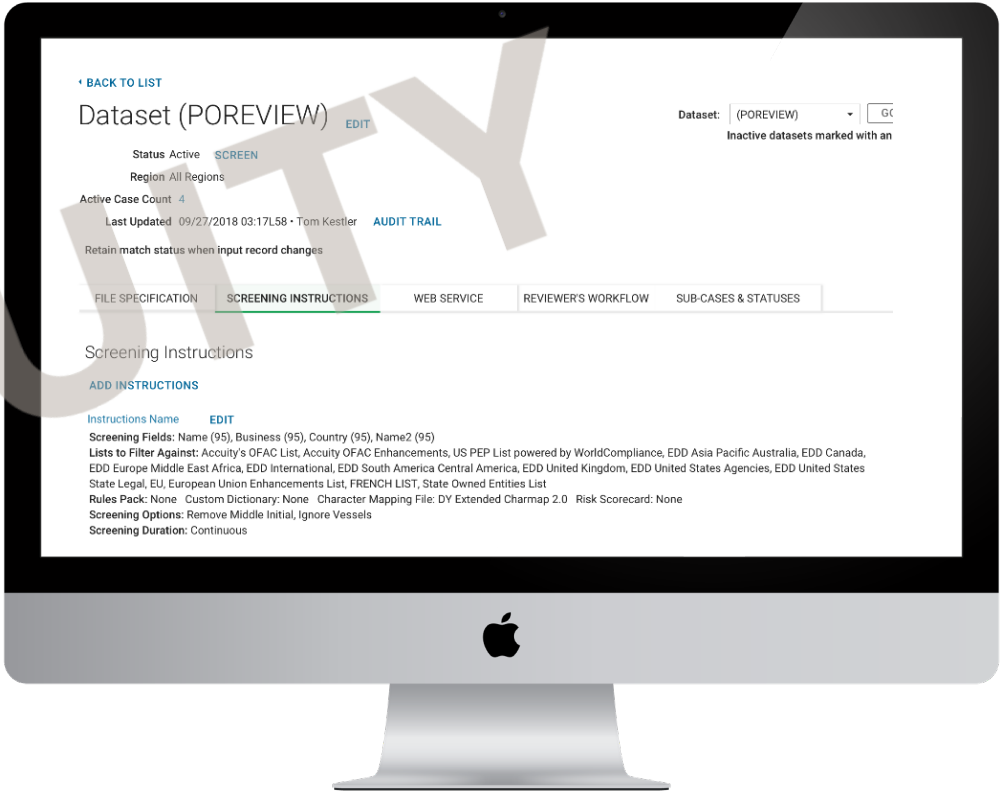
Topic 2: Managed Dataset

- Does the same user set file specification, screening instructions and workflow configurations or are there different roles for these activities?
- How often do these users modify these configurations?
- What other data points would you want to displayed in a dataset summary?
- What other challenges do you have with setting up and managing dataset configurations?



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Topic 3: Navigation

We are currently looking at how our application fits together. Please answer the following questions.

1. How often do your users need to navigate back and forth between Compliance Link and ASM/PLM or Trade Compliance Manager?
2. Is there any functionality that is hard to learn?
3. Are there other pages you would hide from your users?

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Topic 4: Look-up tools

Customers are using the look-up for many different uses cases. How are your users using this feature?

1. Do you use the look-up tool as a method to add records into your datasets for ongoing screening?
2. Do you use the look-up to screening records one-off to see if there is a risk?
3. Do you use the look-up to test your screening settings, rules or other testing scenarios (please share them)?

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Redefining the ASM Web Service

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The following ASM Web Service Enhancements are up for consideration. We need your help defining our roadmap!

Web Service Enhancements	Priority
More flexibility when importing records	
Defined payment formats (SWIFT and other)	
Multiple Screening profiles for different uses	
Screening without storing	
Simple Requests and full requests	
Ability to store larger input record values	
More appropriate response formats	
Mandatory and Optional fields	

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More flexibility when importing records

New functionality to allow customers to import only the fields that they want to will help provide more flexibility to processes.

- 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>
  <[redacted]
  <Field Name="DOB">08/15/1985</Field>
  <Field Name="Bank">Bank One</Field>
  <[redacted]
  <[redacted]
 </Request>
</requestXML>
```

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Providing defined file specification for payment transactions

Customers screening Payment transactions need defined formats similar to the functionality in Compliance Link to be able to parse message formats correctly

Current Supported Payment Formats in CL

1. SWIFT MT
2. U.S FEDWIRE
3. U.S ACH

Payment instructions can have concatenated fields that need to be correctly parsed for proper screening and matching

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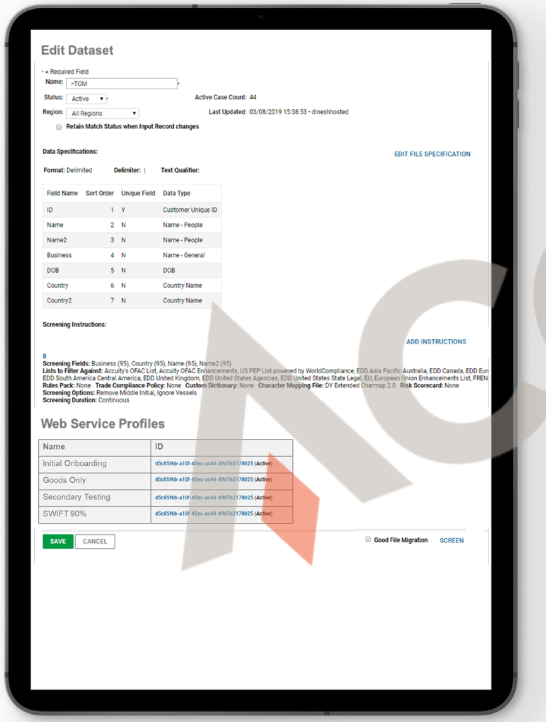
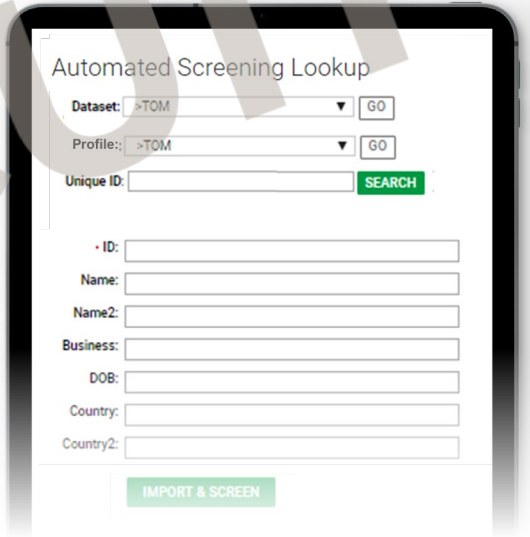
Multiple web service profiles at the dataset level



Allowing multiple screening instructions (through multiple profiles) for specific use cases on the edit dataset screen will allow for different types of screening.



Users should be able to select a dataset and an applicable profile on the look-up to screen records based on their use case.

This needs to be customizable so that users can designate the proffered profile or the allowed profile on the look-up.

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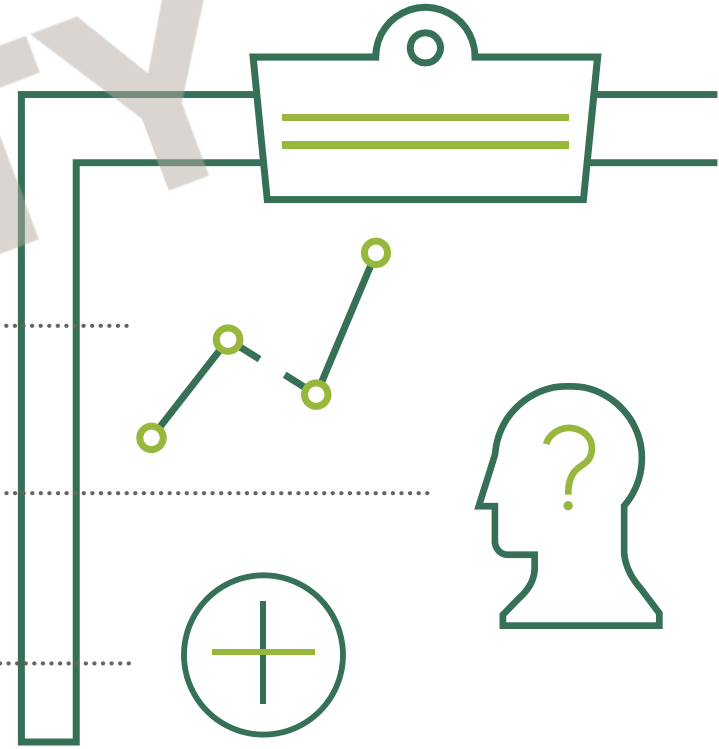
Why do customers want to screen without storing?

Compliance Link allows for Screening without storing and some of our current ASM customers are asking for similar functionality. Here are some use cases for this feature:

Data growth is a large concern and we are exploring way that will lower the amount of data in (especially when the customer does not want to store it).

Not all customers need to store data. It could be that they are looking to do ad-hoc look-ups (or screenings) of their customer data to see what the risk is (common for payment transaction screening

Customers would like a way to test configuration changes (rules, risk score, character mapping, fuzzy, etc.) before storing a record.



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To Store or Not to Store… That is the Question

Current

```
<requestXML>
  <Request DatasetGUID="4e417fcf-f531-4b76-a565-d870cd053fb7" Id="7748" ScreeningExpirationDate="02/25/2020">
    <Field Name="Sender">CHASUS33</Field>
    <Field Name="Receiver">MELIIRT1</Field>
    <Field Name=":20">02202019B</Field>
    <Field Name=":23B">1123</Field>
    <Field Name=":32A">0221201x9USDMELIIRT1</Field>
    <Field Name=":33B">USD50000</Field>
    <Field Name=":50A, F, or K">Hassam Oladi</Field>
    <Field Name=":52A or D">CHASUS33</Field>
    <Field Name=":53A, B or D">IRVTUS3N</Field>
    <Field Name=":56A, C or D">IRVTIR3N</Field>
    <Field Name=":59 or 59A">Osama Bin Laden</Field>
    <Field Name=":57A, B, C or D">101192920192</Field>
  </Request>
</requestXML>
```

This new tag Import="Y" will allow users to enter whether they want to import this record or just submit for screening.

After Feature

```
<requestXML>
  <Request DatasetGUID="4e417fcf-f531-4b76-a565-d870cd053fb7" Import="Y" Id="7748" ScreeningExpirationDate="02/25/2020">
    <Field Name="Sender">CHASUS33</Field>
    <Field Name="Receiver">MELIIRT1</Field>
    <Field Name=":20">02202019B</Field>
    <Field Name=":23B">1123</Field>
    <Field Name=":32A">0221201x9USDMELIIRT1</Field>
    <Field Name=":33B">USD50000</Field>
    <Field Name=":50A, F, or K">Hassam Oladi</Field>
    <Field Name=":52A or D">CHASUS33</Field>
    <Field Name=":53A, B or D">IRVTUS3N</Field>
    <Field Name=":56A, C or D">IRVTIR3N</Field>
    <Field Name=":59 or 59A">Osama Bin Laden</Field>
    <Field Name=":57A, B, C or D">101192920192</Field>
  </Request>
</requestXML>
```

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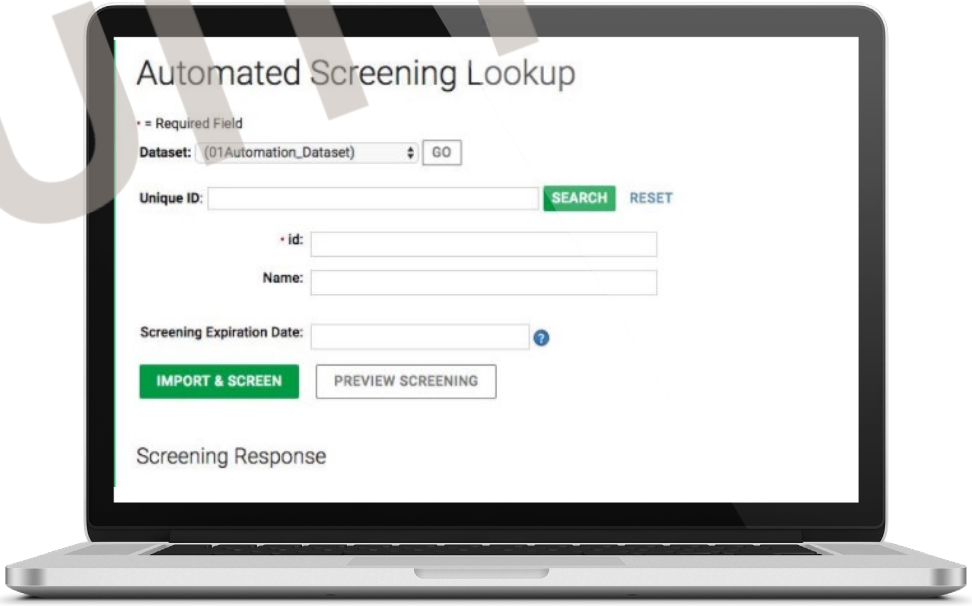
What will we do on the front-end to accommodate this?

The Look-up can be changes to recognize the new Import="Y/N" tag. This will allow users to perform look-ups in ASM without storing any data. We will also allow for a preview

Other changes include:

- Modify the look-up response
- Change the link that directs users into Case review
- Put safe guards in place to ensure this feature can be turned on for display
- Decide if we validate the unique ID during screening



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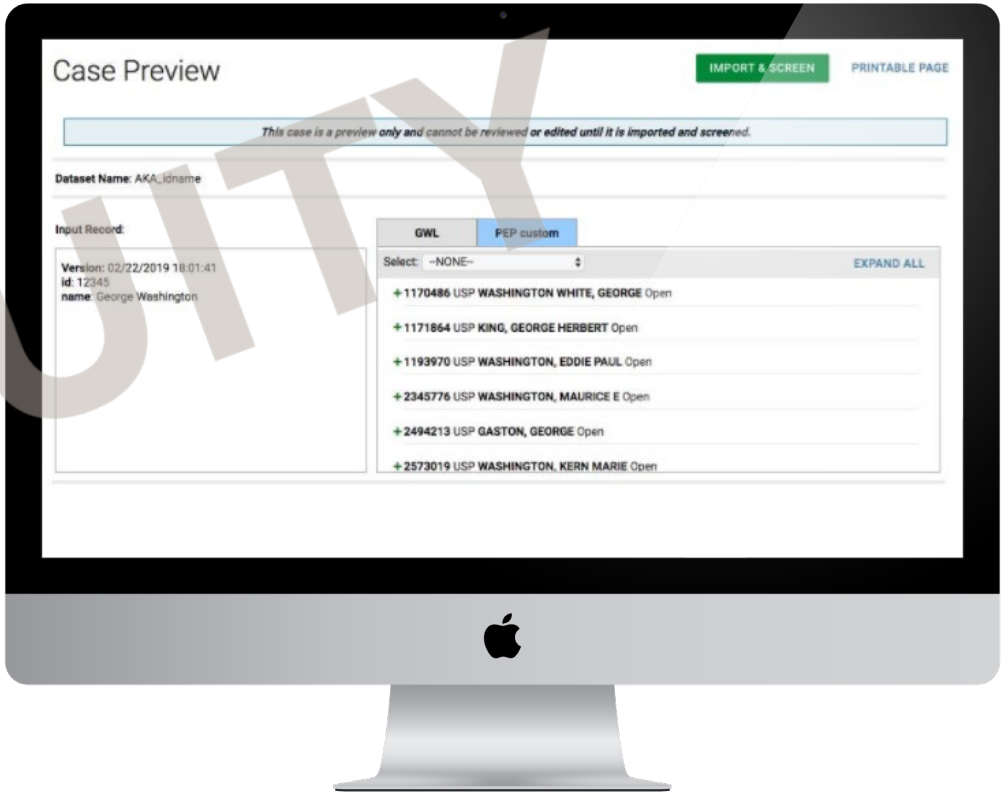
ASM Case Review Changes

Allow the user to open a case for the look-up into a case “preview”

- Only the data on matches and the input record will be displayed
- No disposition (match changes) will be allowed
- The printable page will still work
- We can extend a link to allow the user to submit the record for actual screening if they so wish



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What do customers want simple requests?

Customers may not want to get all of the matches back for a screening and may only want to act on the following elements.

```
<Results CaseID="6284756" CaseStatus="GWL-Open" DatasetGUID="4e417fcf-f531-4b76-a565-d870cd053fb7"
Id="7748" ImportStatus="NoChange" IsHit="Y" ScreeningStatus="Success"
TotalCWL="0" TotalGWL="1" TotalPEPEDD="0" TotalPrivate="0">
```

- CaseStatus – GWL-OPEN
- ImportStatus – NoChange
- IsHit – Y
- Count of Match types – TotalGWL=1

Other values (like match information and entity information) are not required to make a decision and we have other APIs to pull that data (ASM CMS)

We need to make response types optional or variable based on the customer's need.

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Why do customers need to store more data?

Customers are screening against many different types of use cases. With all three of our MAIN use cases (payments transactions and accounts), 600 characters is not enough to handle large trade documents, payments remittance information and other data.

Customers may not screen this data, but may want to include the information with the input record for clarity.

Compliance Link allows for 4,000 characters and if we would like to move these customers to ASM we need to accommodate this.

Next steps:

1. Product to get intel on customers and if this is truly a need
2. Technology needs to plan how to store this data appropriately (either in JSON format or something similar)
3. Devops to run reports on customer input size in hosted

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Similar to the case management services, we should group matches by subcase in the ASM WS

The current Web Service response can be optimized to allow customers to get what they need from it without parsing tags.

Current issues:

1. Sub-case statuses are now grouped together in the case status tag and customers need to parse this tag to get information. Organizing the response to have a main sub-case structure would be better.
2. Total matches are now grouped by match type and grouping by sub-case makes more sense
3. Outside of the full response, customers just want to know that we got it, it's queued, and then we push a success or unsuccessful message back.
4. Customers want an overall case status which can be outside of subcase statuses. A flag of “good to go” or “stop all activity” (not in these words) would be helpful.
5. Need consistency of naming conventions in the service for list and match types. Example PEPEDD and PEP/EDD.

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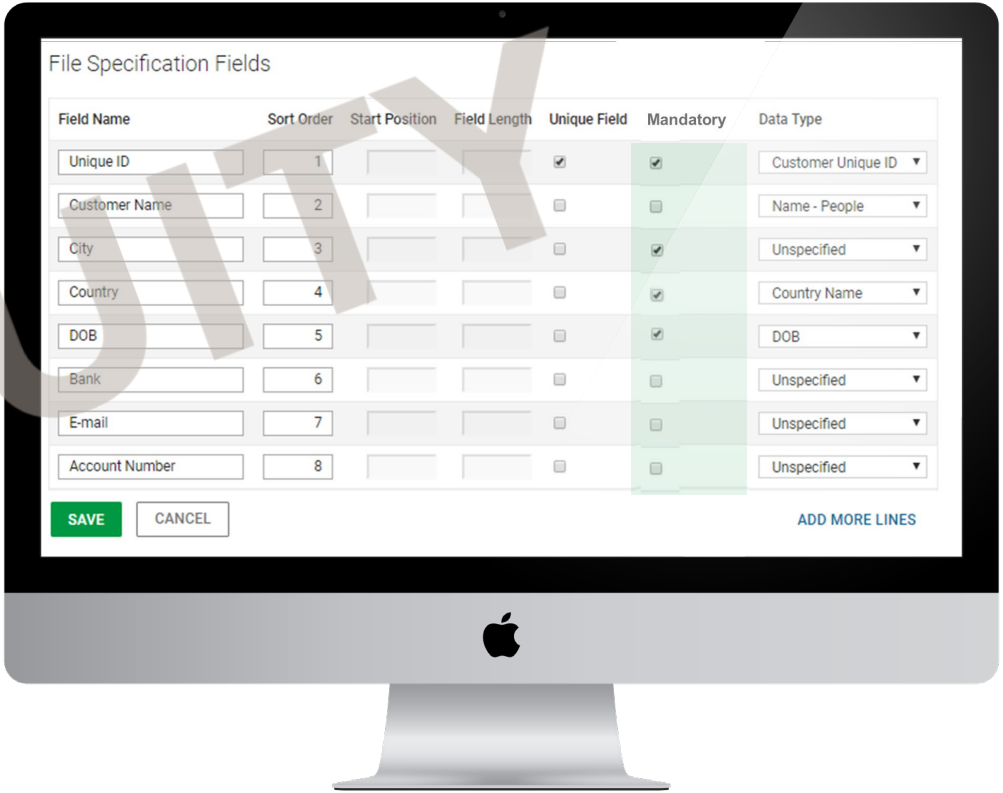
Changes to the ASM File Specification Configuration

- Allow customers to set which fields must have a value
- The unique ID is always mandatory (same as today)
- This will only be applicable to the web service and ASM look-up
- We can also decide to have this on the web service profile settings page



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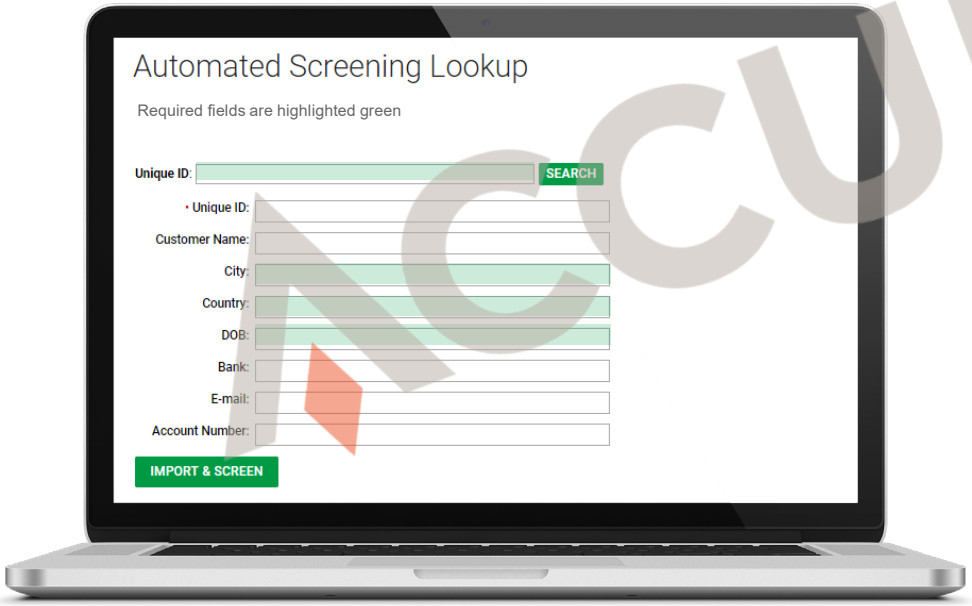
Changes to the ASM Look-up (Mandating Fields)



Fields in the look-up that are set as mandatory (to include data) need to be highlighted

Error scenarios need to be written to flag if a record imported does not have this data and fail the import.

We could also add a toggle to display different field types and attributes (mandatory, screening field, fuzzy threshold, etc.)

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Is there anything that we are not including?

Please write other needs that you may have on the back of the paper.

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Questions for the audience

We set out to try and achieve these three outcomes in yesterday's morning session, how did we do?

A clear understanding of the Firco Compliance Link roadmap and how it aligns with your initiatives

An opportunity to share feedback and insight with each other, to gain an understanding for peer/market standards

To openly provide guidance and feedback to Accuity on how we can best support you through product development

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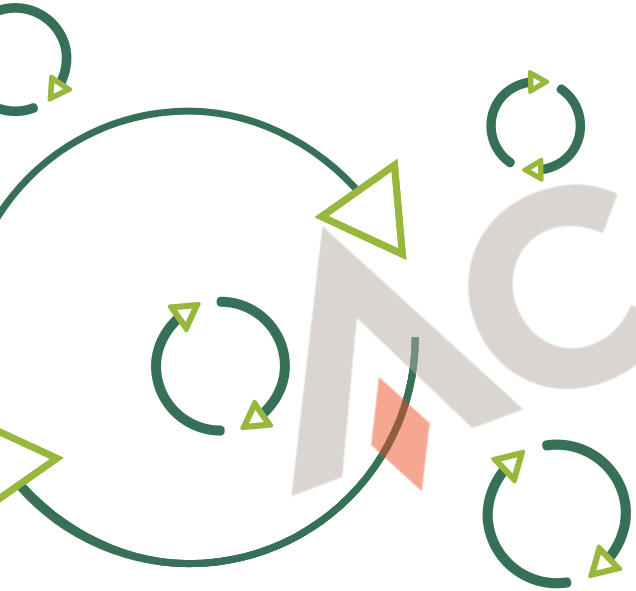
These conversations should continue beyond this week's summit

The Firco Compliance Link Product Management team is focused on creating channels for feedback and interactive discussion. We would love to hear the following from you:



- Feature requests based on user activity
- Changes to internal processes or regulator expectations
- Feedback on new feature design
- Information on your projects, roadmaps and initiatives

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How can you reach us?

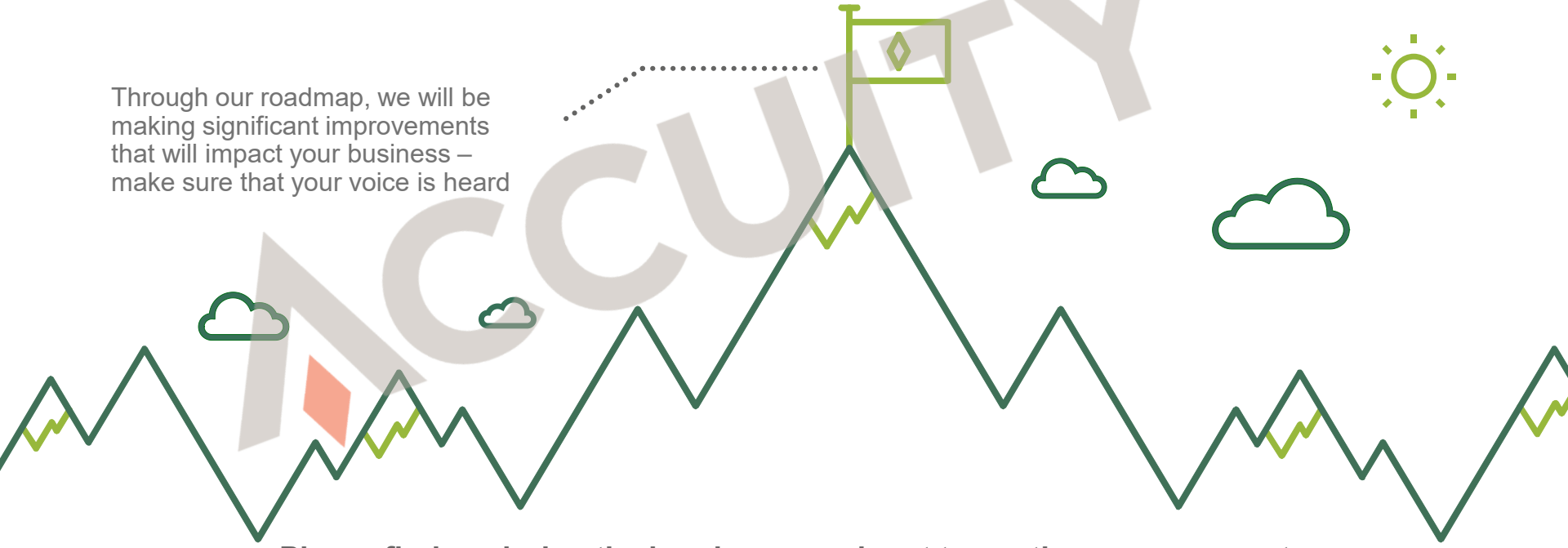
This is an on-going process that depends on interaction with our customers. **Provide your contact information on the handout!**

feedback@accuity.com

Periodic meetings with Product & User Experience Design

Firco Compliance Link is on a evolutionary path and your input is invaluable

Through our roadmap, we will be making significant improvements that will impact your business – make sure that your voice is heard



Please find us during the breaks or reach out to continue engagement

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Thank you for your attention

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