COMPLIANCE Suite

# Compliance Suite Platform
# User Guide

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FIS Compliance Suite Product Group

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**About This Document**

# 1 Introduction

The components and capabilities of FIS's Compliance Suite Platform (CSP) support compliance operations by providing transparency across organizational data, automated detection of high-risk issues, and documentation of actions taken to enforce adherence to firm and regulatory policy. Firms that leverage the CSP have the tools necessary to respond quickly to regulatory inquiries and audits when providing evidence of review and other requested data without the traditional strain on internal firm resources.

# 2 General

The Compliance Suite Platform features a web-browser-based user interface that consists of menus and sub-menus that are available based on a user's entitlements. Each menu and associated sub-menus (as applicable) are described below:

- **Home** – Provides information about system users, a dashboard report view of various categories of activity in the system, and a screen for users to change their password
  - **User Info:** Displays key user information and allows user settings to be maintained
  - **Dashboard:** Provides visibility to several high-risk areas, management workflow statistics, and trending analysis to help determine where risk potential exists within the user's purview
  - **Change Password:** Allows the user's password to be changed

- **Case Management** – Provides support for Case Management workflow activity; the features provided are fully integrated with each applicable Compliance Suite application—such as Supervision Compliance Manager and Market Surveillance Manager:
  - **Case Summary:** Supports the review and creation of cases
  - **Routes Configurations:** Supports the creation and maintenance of routes
  - **Stops:** Displays the stops that have been defined in the system and users that are assigned to groups
  - **Canned Comments:** Supports the creation and maintenance of pre-defined (i.e., *canned*) comments that are available for selection when adding a case action.

The intent of this user guide is to provide users with an overview of the functional operation and capabilities of these features within the Compliance Suite Platform.

## *2.1 Screen- and Field-Level Help*

Most screens provide help information at both the screen level and the field level. To see screen-level help, click on the ? symbol in the upper-right corner of the screen. Field-level help is viewable by hovering over i where present.

## 2.2 Customizing the Display

Many screen displays can be customized through the use of Report Layouts and the records-per-screen display control.

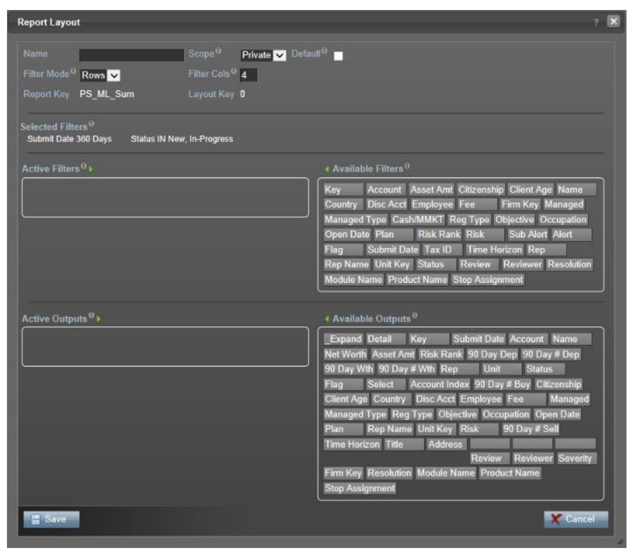
### 2.2.1 Layouts

Report Layouts (referred to simply as *Layouts*) support user-configurable filters and the display of search results. An unlimited number of layouts can be created and maintained by the user. A layout created by a user can be shared with and utilized by other system users as desired.

Note that custom filter settings within layouts are rendered left to right or top to bottom (as defined by the user) on the screen. Layouts do not support filter groups as they are provided only in the *out-of-the-box* configuration of the system.

**Creating a Layout**

To create a layout, hover over the Layouts link (upper right side of screen below the menu bar) and click Add. Then follow the steps below to complete the layout. Note that filter attributes can be saved as part of the layout definition either by defining them before clicking Add (to create a layout) or by creating the layout first, defining the attributes of the columns in the filters section on the screen, and then updating the layout definition (see Updating a Layout).




1. In the Report Layout box that is displayed, enter a name for the layout in the Name field.
2. Select the desired Scope:
   - *Private* renders the layout usable by only the user who creates the layout.
   - *Role* renders the layout usable by other users with any role selected in the Role Code dropdown that is displayed.
   - *Global* renders the layout usable by all system users.
3. Clicking *Default* causes the layout to be automatically used each time the user navigates to the screen via the system menu or sub-menu.
4. Select the desired Filter Mode: *Rows* causes the active filter columns to be drawn left to right in the Filters section on the screen; *Cols* causes the active filter columns to be drawn top to bottom in the Filters section on the screen.
5. Enter a number for Filter Cols. The number entered indicates the number of columns to be drawn in the Filters section on the screen.
6. Add filter columns to the list of Active Filters from the list of Available Filters by dragging column icons one by one from the Available Filters section and dropping them into the Active Filters section; or move them all by clicking next to the Available Filters section header. If they are moved one by one, they display on the screen in the order in which they are shown in the Active Filters section in the layout. Once a column is dropped into the Active Filters section, it

can be moved to a different position in the order simply by dragging and dropping it into the desired position. (The position order in the Active Filters section is determined in left-to-right and top-to-bottom sequence.) Note that if no filter column is dropped into the Active Filters section, all Available Filters display on the screen by default.

7. Add search result output columns to the list of Active Outputs from the list of Available Outputs in the same manner as with Active Filters (see above). The same behavior applies to these sections as with Active and Available Filters in the layout definition.

8. Once all attributes of the Layout are defined as desired, click Save at the bottom left side of the Report Layout box. Clicking Cancel before Save results in no new layout being created or no changes being applied to an existing layout.

**Editing a Layout**

To edit a layout, select the layout to be edited from the list of saved layouts, hover over the layouts link, and click Edit. Then modify the layout attributes and click Save.

**Copying a Layout**

To copy a layout, select the layout to be copied from the list of saved layouts, hover over the layouts link, and click Copy. Then give the newly copied layout a name, modify other layout attributes as desired, and click Save.

**Updating a Layout**

Updating a layout is different from editing. Editing a layout allows the user to modify the attributes of the layout definition; whereas updating a layout allows the user to modify the attributes of the columns in the filters section on the screen. To update a layout, select the layout to be updated from the list of saved layouts. Modify the filter attributes in the Filters section on the screen. Then hover over the Layouts link and click Update.

**Deleting a Layout**

To delete a layout, select the layout to be deleted from the list of saved layouts. Then hover over the Layouts link and click Delete.

### 2.2.2 Records-Per-Screen Display Control

For system performance reasons, the number of records to be displayed on the search results section of review screens is limited to a maximum number of one thousand records. By default, twenty results records display upon initial search. Control the maximum number of records to be displayed by selecting the desired number of records from the drop-down list on the bottom-left side of the screen. Once a number is selected that is different from the number previously displayed, the screen is automatically refreshed with the selected number of results records displayed.

## *2.3 Other Search Results Screen Controls*

Some results screens display to the left of result record. Clicking this button displays additional information about the review subject. This is called *expanded view*. Clicking hides the additional information and returns the display to summary view. Alternatively, the user can click Expand All and Collapse All in the header above the search results to toggle between the views for all records in the results set.

If more records are returned via a search than what display on the screen, the additional records are made available to view in sets of ten blocks—based on the number of records selected in the records-per-screen display control. (For more information on selecting the number of display records, see Records-Per-Screen Display Control.) To view additional records in the current set, click a number in the page footer according to how far into the current set of results that records are to be displayed. Click or in the page footer to navigate to the first of ten blocks in the current or next sequential set of ten blocks respectively. Click or in the page footer to navigate to the beginning of the first set or the beginning of the last set of ten blocks respectively.

To sort search results by the data contained in a particular column, click on the header at the top of the column. This toggles the information between ascending and descending order. To sort by a different column, click on a different column header.

Click to refresh the display of the results as when the search was first executed.

## 2.4 Alerts

Review subjects (e.g., trade, order, account, rep) are reviewed as part of batch processing. Attributes of each subject are evaluated according to relevant alert rules that are active in the system. (Firms choose which alerts to activate from a library of available alerts.) Each alert may involve one or more rules—each of which may evaluate *true* and thereby trigger the alert. Alerts are configured to score based on *first valid* or *all valid* rule scoring methods. The results of the reviews are displayed on summary screens including review scores that represent the cumulative value of all alert rules that triggered during the review (based on the attributes of the subject being reviewed and the active alert rules in the system).

If the subject met the criteria that are set within the alert rule(s), 10 Warning is displayed on the corresponding review detail screen. The color of the associated flag indicates the severity of the review result following the stop-light metaphor—with red indicating high severity and yellow indicating medium severity (i.e., caution); and green indicating that no alert rule triggered and therefore no attention is warranted. The numerical value and label (i.e., *Warning*, *Caution*) may vary depending on the cumulative score based on the value assigned to each alert rule that triggered. The mechanism by which flag colors are set varies by module.

Each alert rule that evaluates true by the system is listed. For each alert rule listed, the alert and rule name are provided along with *reasons text* that provides supporting information.

**Alert Letters (Supervision Compliance Manager only)**

If an alert letter has been configured and linked to a specific alert that is displayed in the results, and/or displays next to the alert name. The icon signifies that a batch letter of manual queue type has been configured for the alert; the icon signifies that a manual letter has been configured for the alert. Clicking one of these icons results in the following outcomes:

- A screen displays listing the data values that will be merged with the applicable letter template (that has been configured and stored in the **Settings-Letters** screen within **Admin**); clicking queues the letter for subsequent letter generation via the batch letters process; clicking allows the letter to be handled manually (i.e. saved, edited, printed, etc.).
- A case action is added for the case with a comment that is based on the letter name and the alert name.

The icon displayed next to an alert signifies that a letter has been queued for subsequent processing via the batch letters process. The letter may have been queued manually—as described above—or automatically through the batch letters process.

For information on the setup and administration of letters, see *FIS Compliance Suite Platform Admin Guide*.

## 2.5 Filtering Information

*Summary* screens support filtering of search results. Filter fields are provided in context to each screen. Filters allow users to view a specific set of data and are typically used to focus review on particular issues. Click and next to Filters on a page header to toggle between filter *display* and *hide* modes.

Filters are set in one of the following ways.

**Free-entry filters**

Free-entry filters allow users to enter text (such as names, account numbers, or a custom date) on which the records are to be filtered. Some of these fields require that the data be entered in a specific format (e.g. dates must be in *mm/dd/yyyy* format).

**Wild-Card Operators**

Free-entry filters support wild-card searches. A wild-card search is used to retrieve a set of results that matches a partial value. Three types of partial searches are supported: *begins with*, *ends with*, and *contains*.

To perform a *begins with* search, select the LIKE from the operator drop-down and enter the beginning characters for the search. For example: to find all records containing a value starting with 459, enter LIKE 459 in the filter.

To perform an *ends with* search, select the LIKE from the operator drop-down and enter % plus the character string. For example: to find all clients with last name Smith, enter LIKE %Smith.

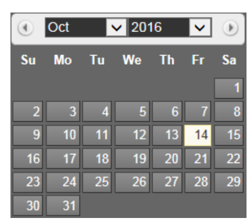
To perform a *contains* search, select HAS from the operator drop-down and enter the character string. For example: to find all accounts with the value 123 anywhere in the account ID, enter HAS 123 in the Account filter.

Note that the more characters that are included in the wild-card search narrows (i.e., reduces the volume of) the search results. Conversely, the fewer characters that are included in the wild-card search broadens (i.e., increases the volume of) the search results.

**Drop-down lists**

Drop-down lists allow users to select from a pre-defined list of values. On drop-down lists with an *IN* operator, users have the option to select more than one value from the list. To select more than one value, select IN; then select the values from the related pick list provided.

**Date-based filters**




Date-based filters provide a calendar function for convenient selection of dates including date ranges. To select a date, click next to the date filter; then select the date from the calendar control.

In addition to selecting a date from the calendar control, a date may also be keyed into the filter using the format mm/dd/yyyy.

**Other filters operators**

The filter operator **>=<** supports the filtering of a range of values between two values that are specified by the user. For example, if the user selects the operator **>=<** on a date filter and enters the dates 01/01/2016 and 01/01/2017, the search returns results for which the data contains a date greater than or equal to 01/01/2016 and less than (but <u>not</u> equal to) 01/01/2017.

The filter operator **>i<** supports the filtering of a range of values between two values that are specified by the user. For example, if the user selects the operator **>i<** on a date filter and enters the dates 01/01/2016 and 01/01/2017, the search returns results for which the data contains a date greater than or equal to 01/01/2016 and less than or equal to 01/01/2017.

When not tied to a drop-down, the filter operator IN supports a multi-value search when discreet values are separated by a semi-colon. For example, a search with operator IN and values 123; 987 would return the rows for which the value of the given field is either 123 or 987.

The filter operator NOT supports an exclusion search. For example, a search with operator NOT and the value *Jon* in a name field would return the rows for which the name was not equal to *Jon*.

The filter operator LIST is provided on date-based filters. When the LIST operator is selected, a set of pre-determined date ranges and a custom date range function are provided in a drop-down list.

To view specific information, select the desired filter criteria and click Go. Multiple filters can be used in conjunction with each other by selecting criteria from them before clicking Go.

The Clear button is available only to entitled users.

### Reset - Default Values

The default values for the Status and Submit Date fields are pre-set and controlled within the entitlement screens. They are used to limit and control the data returned via searches within Review and Audit.

If the expected data is not returned initially on a filtered search, change the filter values including those on Status and/or Submit Date to alter the search results.

### Multiple Filters

When multiple filters are used together, they work as though they are joined together by AND conjunctions. In other words, the results returned are those that meet all filter criteria selected. The more narrow the filter criteria selected, the smaller the list of results are returned. To clear out all filters and go back to the default filter values, click Reset.

### Dynamic Filters

Some filters provide a dynamic selection feature. An example of this feature is the group of Org Hierarchy filters. This group of filters is found near the bottom of the Filters section of the screen. Selecting a unit Type constrains the list of values that is then available in the Unit filter drop-down. Selecting a Unit, in turn, constrains the list of values that is then available in the Trader filter drop-down. This makes narrowing the parameters for a search easier for firms with large numbers of org units and reps.

Some filters require selection of filter parameter(s) from a potentially large list of possible values. To support quick entry of filter parameter(s), these filters also provide an intelligent search capability. The user can enter into the filter field one (or more contiguous) character(s) found in the parameter entry name or entry key. For example, entering the letter *r* on a filter field displays all entries containing that letter in either the entry name or entry key. Entering additional character(s) further limits the display to only entries containing the same contiguous set of characters in either the name or key.

If the number of entries in the Org Hierarchy is 50 or fewer, the drop-down will automatically display all the entries without requiring the entry of any search character. If the number of entries is more than 50, the user is prompted to enter search character(s) to display the applicable entries.

To select entries using differing search arguments (i.e., characters), select an entry using one (set of) character(s), select another entry after entering a different (set of) character(s), and so on until all needed entries are selected.

### 2.5.1 *As* Filter

The As hierarchy filter determines the scope of results returned by a search. *Historical* returns result records with a rep code in the unit managed by the user—regardless of whether a given rep code is currently in the unit. *Current* returns result records with a rep code currently in the unit managed by the user—regardless of whether a given rep code was previously in the unit.

### 2.5.2 *Depth* Filter

The Depth hierarchy filter is used to control the level of information displayed on the screen. *Single* returns only trades for reps assigned to any units that the user directly manages. With this selection, the user does not see trades for units further down the hierarchy that the user does not directly manage. It is designed to allow a user to view only those trades for which he/she is directly responsible.

*Full* returns all trades for units the user manages as well as all trades for child units. This view is more appropriate for firm-wide surveillance and reporting.

## *2.6 Screen-to-Screen Navigation*

Navigating from one screen to another is supported via several methods.

Menus/Sub-Menu: Screens display by clicking a menu—such as *Review*—and then selecting a menu option and—in some cases—a sub-menu option.

Hyperlink: Some results sections contain hyperlinks that—upon being clicked—navigate to a screen providing further detail. Hyperlinks can be easily identified as text that is displayed with an underline.

(Pencil Symbol): Some results sections contain the symbol that—upon being clicked—navigates to a screen that provides detail that can edited.

(Magnifying Glass Symbol): Some results sections contain that—upon being clicked—navigates to a screen that provides detail that can be viewed and edited (as applicable).

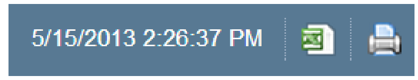
Bread Crumbs: As the user navigates from summary to detail screens—or from detail screens to screens providing additional supporting detail—hyperlinks are displayed in the upper-right corner of the screen that provide the path that the user most recently navigated so that—as desired—the user can conveniently reverse the navigation one or more steps (as applicable). These are called *bread crumbs* because they help guide the user back to the navigation starting point or to any point along the path.

Previous Next Back The user can navigate to previous or subsequent entries on results detail screens by clicking Previous and Next, respectively. Clicking Back closes the results detail screen and navigates to the respective summary screen.

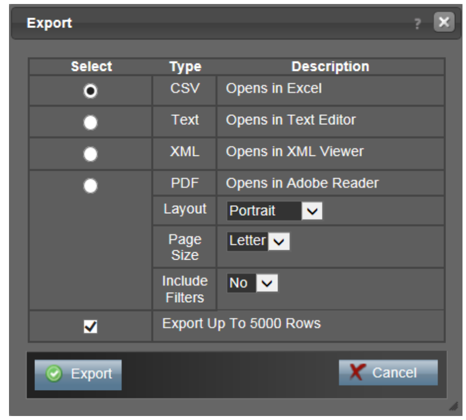
Clicking this link navigates to a screen that displays more related detail.

## 2.7 Exporting Information

Most Compliance Suite application screens support the ability to export the data within the current result set to an external file.




To export the information, click in the footer section of the screen. Then select **CSV**, **Text**, **XML**, or **PDF** according to the desired export format.

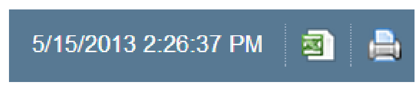



With PDF exports, the user has the option to include the filter parameters at the top of the export report. Selecting *Yes* on Include Filters causes the filter parameters to be displayed.

The other export formats prompt the user to either open the exported file and view its contents or save it to a desired location. The **CSV** export opens in MS Excel; **Text** opens in Notepad; **XML** opens in Microsoft Wordpad® or other text editor; and **PDF** opens in Adobe Acrobat Reader®. (These supporting applications must be available within the user's computer in order to see the reports.)

Note that not all export format options are provided on all exportable screens. Also, as referenced above not all screens support exporting.

## 2.8 Printing Information




To print information displayed on a screen, click in the footer section of the screen.

In the Print window that opens, enter appropriate settings and click Print to print the screen. (Note: in order to print the width of the window, the printer orientation must be set to *Landscape*.)

Clicking Cancel at any time cancels the print operation.

# 3 Home

The Home menu provides information about system users, a dashboard report of various categories of activity in the system, and a screen for users to change their passwords.

## 3.1 User Info

The **User Info** screen provides information about the user profile, including the user's role(s), proxies, and the user's Home navigation setting.

Culture: Allows the user to select the language that is used on screens, reports, etcetera throughout the system.

Role: A user may be assigned multiple roles. All of the user's roles are listed in the Role drop-down box. Roles are defined by the firm and typically include Rep, Branch Manager, Regional Manager, and Compliance Manager (to name a few). If a user selects a specific role, the entitlements for the selected role become available to the user.

Style:  Allows the user to select the color style that is displayed on screens throughout the system.

Proxy:  Lists the user IDs under which the current user may operate via a proxy.  If user *A* selects user *B* by proxy, it is as if user *A* had logged into the system as user *B*: user *A* can see and do everything to which user *B* is entitled. (Note: the user ID of the person who makes any updates is recorded to maintain accurate records for reporting purposes.)

Home:  Allows the user to select the screen that displays each time the user logs into the system.

Firm:  Allows the user to select the firm/sub-firm under which the user can operate within the system.

Layout: Allows the user to select whether the default Report Layout is auto selected each time the user navigates away from and back to a summary screen or whether the most recently selected Report Layout during the current user session is auto selected (i.e., “sticky”) upon return to the summary screen.

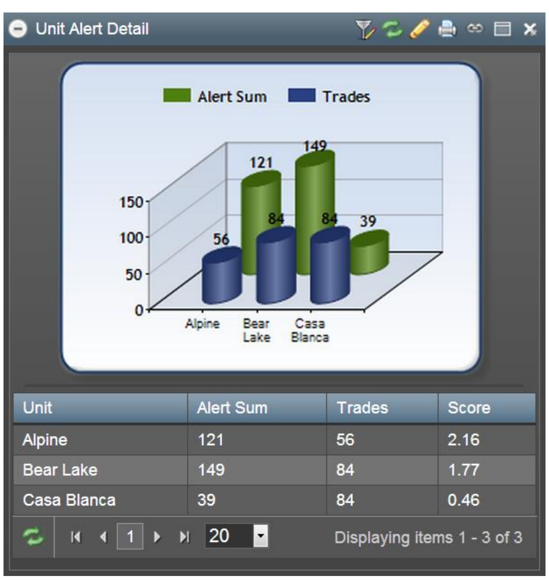
## 3.2 Dashboard

The dashboard provides a tool with which reports can be defined using a range of charting features. The reports can be persistently positioned on the dashboard and execute in real time upon display of the dashboard.  Multiple dashboards can be defined and maintained by the user.

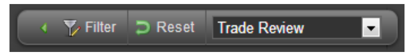
### 3.2.1 Dashboard Navigation

From the (Home) menu, select **Dashboard**.  Alternatively, click in the upper-right corner of the screen.  The first in the available list of dashboards is displayed. The *widgets* on the dashboard are arranged as they were on the screen the last time the user logged off the system.

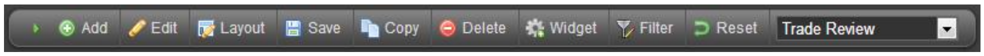
Widgets can be re-arranged by the user by simply clicking on the horizontal bar at the top of the widget, dragging (i.e., moving while holding down the mouse button) the widget to any new location on the dashboard, and *dropping* (i.e., letting go of the mouse button) the widget into the new location.




Widgets are organized horizontally on the dashboard according to the Layout selected for the dashboard. There is no limit to the number of widgets that can be stacked vertically on the screen.  When more widgets are included in the dashboard than what fit on the computer’s monitor, scroll bars are provided that enable the user to scroll right and left (or up and down) to view all of the content.  Horizontal scrolling is provided within each widget; and vertical scrolling is provided on the right side of the dashboard.  Alternatively, the user can eliminate scrolling by increasing or decreasing the screen resolution (using the internet browser’s settings or Windows® display settings) to alter the width and height of the content that fits within the computer monitor’s display area.

At the top of the dashboard is displayed the dashboard menu. 


Clicking on the left side of the menu expands the menu to display the full set of dashboard navigation options.




- Click Add to add a new dashboard. The new dashboard is then accessible from the drop-down list on the right side of the dashboard menu. Trade Review
- Click Edit to change the dashboard display title, dashboard name, and dashboard Scope. Dashboards can be shared across the entire firm (i.e., *Global*) or with all users of the same role (i.e., *Role*). If the Scope is set to *Private*, the user can assign the dashboard to another user by entering the ID of the other user. Click Save to save the changes made to the dashboard attributes or Cancel to avoid saving the changes.
- Click Layout to select the desired Layout for the dashboard. The Layout that is selected determines the number and width of columns on the dashboard.
- Click Save to save any changes to the arrangement of widgets on the dashboard.
- Click Copy to add a new dashboard by copying an existing one. This action is useful if copying an existing dashboard and changing it would be easier than creating a new one from nothing.
- Click Delete to delete the currently selected dashboard. (Note: once a dashboard is deleted, it cannot be recovered.)
- Click Widget to add a new widget to the currently selected Dashboard.
- Click Filter to modify any setting defined on any filter used by any widget on the dashboard. Changes to filter settings here constrain the data displayed by each report that uses the filter that is modified.
- Click Reset to refresh the display of all widgets on the dashboard to reflect any changes to the data that may have occurred since the initial display or previous refresh.
- Click to print contents of the dashboard.

### 3.2.2 Widget Navigation

Each widget can be controlled by the user—subject to user entitlements—via the following controls that are found on the upper-right corner of the widget frame. These controls are available based on the type of widget:

- Click to modify any setting defined on any filter used by the widget. Changes to filter settings here constrain the data displayed by the widget.
- Click to refresh the display of the widget to reflect any changes to the data that may have occurred since the initial display or previous refresh.
- Click to change the general settings for the widget. This includes the widget display title, the widget frame color, and the chart mode, which controls the structure of what is displayed on the widget—including the chart and/or the data table and in what order (i.e., left, right, top or bottom). To clear the widget settings frame, click again.

- Click  to export the data on the widget report to a file.
- Click  to navigate to the report definition.
- Click  to remove the widget from the currently selected dashboard.

## *3.3 Change Password*

The **Change Password** screen allows the user to change his/her password for system authentication and login.

# 4 Case Management

Given the ongoing challenges with overlapping compliance activity by which an issue detected from one perspective of a firm's business can have implications for another, firms sometimes operate at less than optimal effectiveness as they grapple with gaps in internal communication and inefficient internal controls. As a key component of the Compliance Suite Platform, Case Management (CM) supports integrated workflow that helps increase the visibility of important information and artifacts. CM also facilitates the efficient tracking of activity across the organization—thereby helping to improve operational effectiveness.

Case Management supports the firm's workflow processes in the general context of compliance activity. CM functionality is a valuable tool that can be used to track and route important information related to an account, client, security, trade, rep, user or other subject of interest for actionable review, follow-up and resolution. CM provides routing paths, approvals, statuses, and escalations that facilitate key workflow activity. Cases are the focal point of information surrounding any activity that the firm deems important enough to track in the context of firm and regulatory compliance policy.

Cases are created automatically by Compliance Suite applications; for example, Market Surveillance Manager automatically creates a case for every alert review result that is generated as part of normal daily processing. The alert review result is automatically linked to the case that is created by the system review process. The alert review result and the case are effectively one and the same. In addition, cases may be created manually by the user.

## *4.1 Case Types*

Cases are created in two ways—each of which dictates the population of the Product Name and Module Name attributes on the case as follows:

- Manual: a case created manually by the user via the **Case Summary** screen or other summary screen within the application
- Result: a case created automatically by the system upon generating a review result (e.g., Market Surveillance Manager alert review process).

(For more information on creating a manual case, see Create a Manual Case.)

## *4.2 Case Statuses*

Every case is given a status that indicates its progress within the workflow. Case statuses are set automatically by the system as follows:

- New: the status given the case when the case is first created

- In Progress: the status given the case upon some action being taken by the reviewer—including adding a case action or attaching a document to the case (for more information on adding actions to a case, see Case Actions)
- Closed: the status given the case upon the case being routed to the Closed stop within the case route.

## 4.3 Case Routing

The system supports the definition and use of a route that is unique to each of the application modules (i.e., Supervision Compliance Manager Trade, Market Surveillance Manager Alert, etc). For Supervision Compliance Manager Account Periodic a unique route can be defined for each review frequency (i.e., daily, weekly, etc.). A route is defined also for manual cases. Every case utilizes the route that is relevant to the type of case. Routes are predetermined to ensure operational consistency, uniformity and completeness. (For more information on case routing, see Case Actions.)

## 4.4 Case Escalation

A case is automatically *escalated* when—after being routed—it sits in a route queue unattended for a firm-defined number of days. Escalation is performed by the system by automatically routing the case to a pre-determined route stop defined according to the escalation parameters for each route in the system. (For more information on case escalations, see Escalation.)

## 4.5 Case Resolution

When a case is closed, the user must indicate the resolution within the case action. A resolution is defined for each case route. (For more information on selecting a case resolution, see Case Actions).

## 4.6 Bulk Comment and Approval

In addition to adding actions on individual cases, applications (e.g., Market Surveillance Manager, Supervision Compliance Manager) support adding actions in bulk (i.e., on numerous cases simultaneously with a single action) via grid controls.

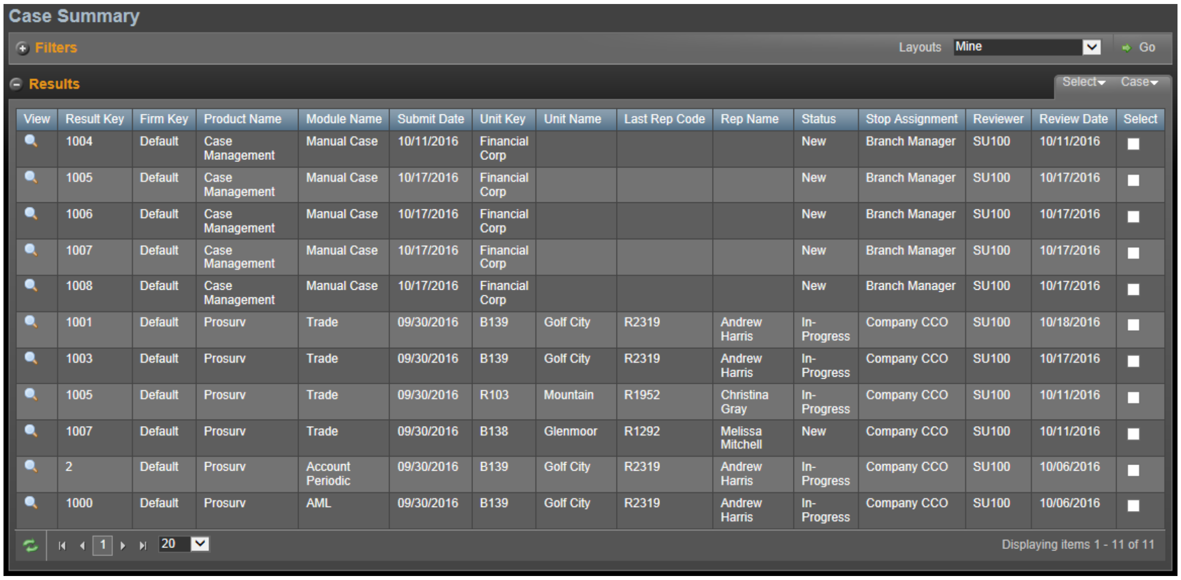
The *Select* controls on result summary screens support the selection or de-selection of numerous result rows to support bulk functions. To switch the selected rows with the un-selected rows, click Toggle from the Select menu. To deselect all rows, click Deselect from the Select menu.

To add a bulk comment, select the cases for which a bulk comment is to be applied; then click Bulk Comment. In the window that appears, enter the comment and click Save. To select all rows containing a green flag, select Greens from the Select menu (Supervision Compliance Manager Trade only). To approve all *green* cases on the screen, click Bulk Approval which navigates to **Trade Summary – Bulk Approval**; then click Approve Greens on the results grid bar. (Note: bulk approval is applicable only to *New* green cases.)

Entitled users can close cases in bulk that are not limited to *green* cases. The functionality that supports this is called *Bulk Action*. Entitled users see Bulk Action on the grid bar. Upon clicking Add from the Bulk Action dropdown, the user can define a bulk action. Bulk Actions can be either executed on demand or scheduled to execute in the nightly batch process. For more information on Bulk Action, see *FIS Supervision Compliance Manager Bulk Workflows* or *FIS Compliance Suite Platform Admin Guide.*

## 4.7 Case Summary

The **Case Summary** screen supports the review and creation of cases.




| View | Result Key | Firm Key | Product Name | Module Name | Submit Date | Unit Key | Unit Name | Last Rep Code | Rep Name | Status | Stop Assignment | Reviewer | Review Date | Select |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1004 | Default | Case Management | Manual Case | 10/11/2016 | Financial Corp | | | | New | Branch Manager | SU100 | 10/11/2016 | |
| | 1005 | Default | Case Management | Manual Case | 10/17/2016 | Financial Corp | | | | New | Branch Manager | SU100 | 10/17/2016 | |
| | 1006 | Default | Case Management | Manual Case | 10/17/2016 | Financial Corp | | | | New | Branch Manager | SU100 | 10/17/2016 | |
| | 1007 | Default | Case Management | Manual Case | 10/17/2016 | Financial Corp | | | | New | Branch Manager | SU100 | 10/17/2016 | |
| | 1008 | Default | Case Management | Manual Case | 10/17/2016 | Financial Corp | | | | New | Branch Manager | SU100 | 10/17/2016 | |
| | 1001 | Default | Prosurv | Trade | 09/30/2016 | B139 | Golf City | R2319 | Andrew Harris | In-Progress | Company CCO | SU100 | 10/18/2016 | |
| | 1003 | Default | Prosurv | Trade | 09/30/2016 | B139 | Golf City | R2319 | Andrew Harris | In-Progress | Company CCO | SU100 | 10/17/2016 | |
| | 1005 | Default | Prosurv | Trade | 09/30/2016 | R103 | Mountain | R1952 | Christina Gray | In-Progress | Company CCO | SU100 | 10/11/2016 | |
| | 1007 | Default | Prosurv | Trade | 09/30/2016 | B138 | Glenmoor | R1292 | Melissa Mitchell | New | Company CCO | SU100 | 10/11/2016 | |
| | 2 | Default | Prosurv | Account Periodic | 09/30/2016 | B139 | Golf City | R2319 | Andrew Harris | In-Progress | Company CCO | SU100 | 10/06/2016 | |
| | 1000 | Default | Prosurv | AML | 09/30/2016 | B139 | Golf City | R2319 | Andrew Harris | In-Progress | Company CCO | SU100 | 10/06/2016 | |

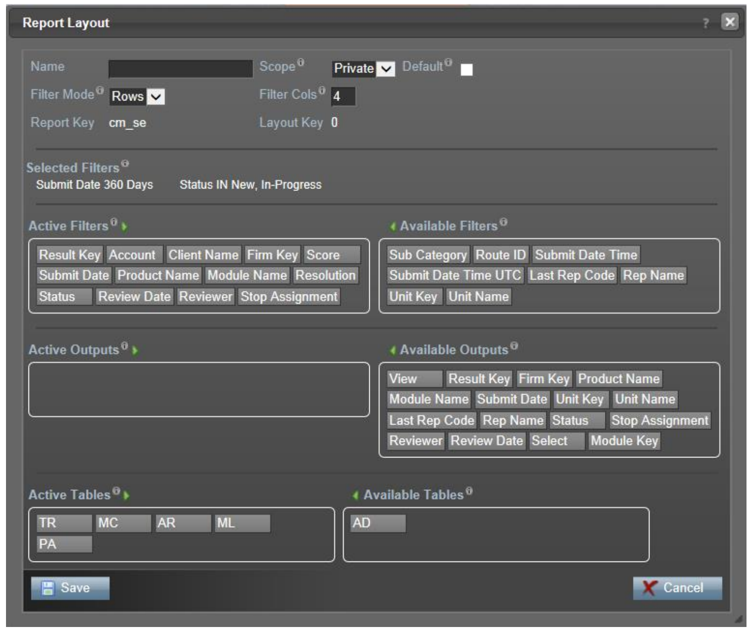
### 4.7.1 Case Summary Layout (Supervision Compliance Manager only)

The **Report Layout** screen that displays from **Case Summary** is unique relative to the **Report Layout** screen that displays for all other summary screens within Supervision Compliance Manager. Since **Case Summary** is used to search for manual cases and result cases related to all the modules, the Layout capability supports filters that are relevant to a broad range of business data. However, because users may want to define a single layout that can be used to filter cases from all or multiple modules together, the **Report Layout** screen supports defining a layout that includes filters common to all modules that are included in the layout.

To create a layout, hover over the Layouts link (upper right side of screen below the menu bar) and click Add. Then follow the steps below to complete the layout. Note that the filter attributes can be saved as part of the layout definition either by defining them before clicking Add (to create a Layout) or by creating the layout first, defining the attributes of the columns in the Filters section on the screen, and then updating the layout definition (see Updating a Layout).

1. In the Report Layout box that is displayed, enter a name for the layout in the Name field.

2. Select the desired Scope:
    - *Private* renders the layout usable by only the user who creates the Layout.
    - *Role* renders the layout usable by other users with the same role.
    - *Global* renders the layout usable by all system users.




3. Clicking *Default* causes the layout to be automatically used each time the user navigates to the screen via the system menu or sub-menu.

4. Select the desired Filter Mode: *Rows* causes the active filter columns to be drawn left to right in the Filters section on the screen; *Cols* causes the active filter columns to be drawn top to bottom in the Filters section on the screen.

5. Enter a number for Filter Cols. The number entered indicates the number of columns to be drawn in the Filters section on the screen.

6. Select the modules (e.g., TR, MC, AR) to the list of Active Tables from the list of Available Tables by dragging module icons one by one from the Available Tables section and dropping them into the Active Tables section; or move them all by clicking next to the Available Tables section header. Each time another module icon is moved from Available Tables to Active Tables the set of columns that are displayed in the Available Filters section changes to include only the columns that are common to all modules in the Active Tables section. This feature ensures that each filter that is displayed on Case Summary using the layout is usable for all cases that are searchable with the layout. To remove an entry from Active Tables, select the entry and drag and drop it back to the Available Tables section or select the entry in Active Tables and click .

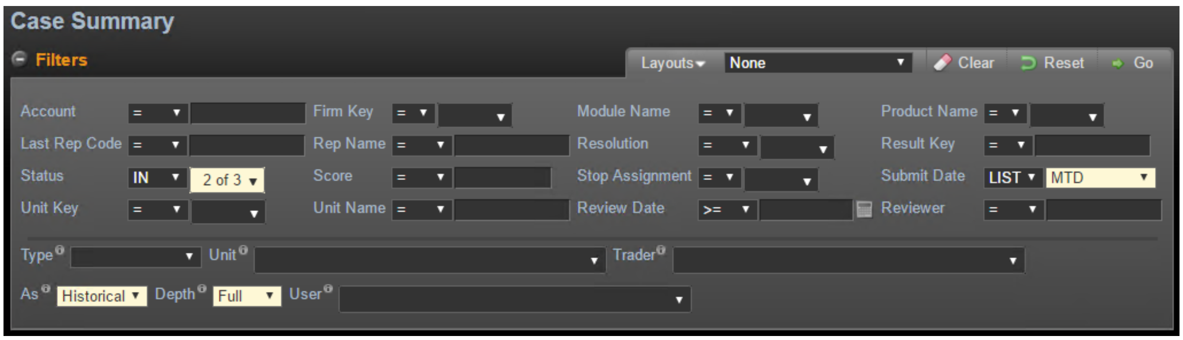
7. Add filter columns to the list of Active Filters from the list of Available Filters by dragging column icons one by one from the Available Filters section and dropping them into the Active Filters section; or move them all by clicking next to the Available Filters section header. If they are moved one by one, they display on the screen in the order in which they are shown in the Active Filters section in the Layout. Once a column is dropped into the Active Filters section, it can be moved to a different position in the order simply by dragging and dropping it into the desired position. (The position order in the Active Filters section is determined in left-to-right and top-to-bottom sequence.) Note that if no filter column is dropped into the Active Filters section, all of the columns in the Available Filters section display on the screen by default. Filters columns can be moved to a different position in the order within the Available Filters section also. To remove an entry from Active Filters, select the entry and drag and drop it back to the Available Filters section or select the entry in Active Filters and click .

8. Add search result output columns to the list of Active Outputs from the list of Available Outputs in the same manner as with Active Filters (see above). The same behavior applies to these sections as with Active and Available Filters in the layout definition.

9. Once all attributes of the layout are defined as desired, click Save at the bottom left side of the Report Layout box. Clicking Cancel before Save results in no new layout being created or no changes being applied to an existing layout.

### 4.7.2 Filtering Cases

**Case Summary** includes an array of filters to support flexible searching of cases. Click next to Filters to display the available filter criteria. (For more information on using filters, see Filtering Information.)




**Case Summary Filters**

Below is the list of individual filters available on **Case Summary** with related information.

| Filter Name | Functionality |
|---|---|
| ***Case-, Review-, and Case-Route-Related Filters*** | |
| **Product Name** | Filters for case routes by the application name. |
| **Module Name** | Filters for case routes by the module name. |
| **Sub Category** | Filters for case routes by additional module category—as applicable. |
| **Route ID** | Filters for case routes by the route name. |
| **Submit Date** | Filters for cases by the date that the review result was created. |
| **Result Key** | Filters for cases by the ID of the case or review result. |
| **Score** | Filters for cases by the review result score. |
| **Resolution** | Filters for cases by case resolution. |
| **Status** | Filters for cases by case status. |
| **Review Date** | Filters for cases by the date of the last case action. |
| **Reviewer** | Filters for cases by the user ID of the reviewer. |
| **Stop Assignment** | Filters for cases by the current route stop assignment. |
| ***Hierarchy-Related Filters*** The Type, Unit, and Trader filters allow a user to drill down to a specific level in the company's hierarchy. This can be done by selecting from the drop-down list or by directly entering a unit or rep number in the provided text boxes. Only selections that fall into the user's hierarchy display in the drop-down boxes. | |
| **Firm Key** | Filters for cases by the firm ID in a multi-firm installation. |
| **Type** | Filters for cases by the unit type or level of the executing rep. |
| **Unit** | Filters for cases by the unit ID of the executing rep. |
| **Trader** | Filters for cases by executing rep. |

| | |
|---|---|
| **As** | See As filter |
| **Depth** | See Depth filter |
| **User** | Filters for cases by executing rep code for all rep codes associated with the specified user name. |

## 4.8 Create a Manual Case

Creating a manual case can be performed from **Case Summary** and from any other application summary screen that supports Case Management functions.  To create a manual case from one of these screens, complete the following steps:

1. (Optional) Select one or more cases from the results grid to associate the selected case(s) to the case to be created (for more information on associating a result case to a manual case, see Case Associations).
2. Click Case on the results grid and select Create from the drop-down.
3. Enter a Name and Description for the case.
4. Select the Comment Type and Canned Comment from their respective drop-downs and enter a comment as desired (for more information on comments, see Case Actions or Canned Comments).
5. Click Save (the ID of the newly created case is temporarily displayed at the top of **Case Summary**).

   Note: creating a case does not require the selection of a route stop because a new case is automatically routed by the system to the default route stop (for more information on route stops, see Case Routing).

## 4.9 Case Associations

Associating cases to each other can help provide needed context of the business activity related to a manual case.  Only a review result case can be associated to a manual case.

Associating a result case to a manual case can be performed via any of four methods:

1. From **Case Summary**:
   a. Select the result case(s) to be associated to the manual case.
   b. Click Case on the results grid and select Create from the drop-down to create a manual case (i.e., with the selected result case(s) associated to it) from the **Create Case** screen; (note that the result case(s) associated to the new case are displayed at the bottom of the **Create Case** screen).
   c. Enter the required information on the **Create Case** screen and click Save.

   Note: on **Case Summary** if the user attempts to associate a manual case to another manual case, an error message is displayed at the top of **Case Summary** along with other relevant information about the error; (for more information, see Case Summary.)
2. From **Case Detail**:
   a. Click Add to display the **Associate Result Cases to a Manual Case** screen.
   b. Using the filters provided, search for the result case(s) to be associated to the manual case.
   c. Select the case(s) to be associated to the manual case.

d. Click Append.

(For more information on Case Detail, see Case Detail.)

3. From a review result summary screen (create case method):

    a. Select the result case(s) from the results grid.

    b. Click Case on the results grid and select Create from the drop-down to create a manual case (i.e., with the selected result case(s) associated to it) from the **Create Case** screen; (note that the result case(s) associated to the new case are displayed at the bottom of the **Create Case** screen).

4. From a review result summary screen (append case method):

    a. Select the result case(s) from the results grid.

    b. Click Case on the results grid and select Append from the drop-down to append the selected result case(s) to a manual case from the **Append Result Cases to a Manual Case** screen.

    c. Using the filters provided, search for the manual case to which to append the selected result case(s).

    d. Click on the manual case; the **Append Result Cases to a Manual Case** screen closes and a message is displayed at the top of the review result summary screen indicating the result of the append operation.

## *4.10 Case Detail*

The user can access the details of a case by clicking for any case in the search results on **Case Summary**. For cases of *result* type, doing so navigates to the result detail screen of the applicable review result. For cases of *manual* type, doing so navigates to the **Case Detail** screen of the selected manual case.

**Case Detail** displays the details of the case and lists case actions, attachments and associations. It also allows actions to be performed on cases, which includes routing the case and adding comments, attachments and case associations.

Clicking Back navigates to back to **Case Summary**.

Below is a list of sections that are provided on **Case Detail**:

- Manual Case
- Case Actions
- Case Attachments
- Case Associations.

### 4.10.1 Manual Case

This section displays information about the case:

- Case Name: name of the case as entered when the case was created
- Case Desc(ription): description of the case as entered when the case was created
- Score: score value given the case upon completion of the review process (not populated in the current release)

- Firm Key: firm supervising the business; Firm is searchable in filters on summary screens
- Submit Datetime: date on which the case was created
- Rep Code: code of the executing rep for the account (not populated in the current release)
- Unit Key: ID of the unit to which the executing rep belongs in the Org Hierarchy
- Account Number: account number for the account (not populated in the current release)
- Client Name: the registration title on the investor account (not populated in the current release)
- Security Key: identifier (e.g., CUSIP) of the product for a trade or transaction that is related to the case (not populated in the current release).

### 4.10.2 Case Actions

This section displays the review history of a case and provides a workflow to entitled users to further review the case.

These columns are displayed in this section:

1. Update User: ID of the user that added the case action
2. Proxy Key: ID of the user that added the case action if by proxy
3. Updated Server: date and time of the action displayed in the time zone of the server
4. Updated Local: date and time of the action displayed in the time zone of the logged-in user
5. Status: status of the case as of the date and time of the action
6. Stop Assignment: route stop assignment of the case as of the date and time of the action
7. Resolution: resolution selected when the case was closed—as applicable; before the case is closed, the value displays as *0*
8. Rule: ID of the alert rule associated with the case action (if any was selected when the action was added)
9. Comment type: type of comment entered with the case action (for more information on case comments, see Canned Comments).

## Add a Case Action

To add an action to a case, press <Ctrl>+A (upper or lower case) or click Add. Then follow the steps below to complete the action:


1. Select the Comment Type, which includes *Public*, *Canned*, *Free-form*, or *Private*: selecting *Public* or *Canned* enables the selection of a specific canned comment from a list of available comments; selecting *Private* enables the selection of the role with which entitled users are able to see the comment.

   The availability of *Public* and *Canned* options is dependent on user entitlements. When the user is entitled to create both *Canned* and *Free-form* comments, the related Comment Type option is *Public*; when the user is entitled to create only *Canned* or *Free-form* comments, the related Comment Type option is *Canned* or *Free-form,* respectively.

2. From the Alert drop-down, select the alert to reference with the case action (as applicable).
3. From the Canned Comment drop-down, select the Canned Comment option (as applicable).
4. Enter the Free Form comment (as applicable).
5. Select the route Stop Assignment for routing the case for others in the firm to view and comment (as needed). Selecting a Stop Assignment effectively assigns the case to the user(s) with the specified role and access to the case. If the selected Stop is a closed stop, select a resolution from the Resolution drop-down.
6. Click Send Email if desired. This generates email to the address of each user with the specific role associated with the related account.
7. Press <Ctrl>+S (upper or lower case) or click Save to complete the action. Once the action is complete, the status of the selected trade is updated (as applicable) and other information related to the action—such as the reviewer's user ID and the review date—are captured for the action.
8. To cancel without saving the Action, press <Esc> or click Cancel.

The workflow described above can be performed with or without the use of the mouse; navigation between each field can be performed using the <Tab> key and selection of an item in a drop-down can be performed using the up or down arrow keys.

If multiple alerts were generated for a result, the reviewer can comment on the trade relative to each alert (i.e., with separate actions for each) or all of them (i.e., with a single action in reference to all). (Note: the case status applies to the entire case.)

Route stops are used to support the firm's internal workflow processes. Users can be entitled by role to access only cases routed to certain stops depending on firm policies.

Email can be configured to display the result key and account number of the case being reviewed in the subject line and body of the email.  (Note: these configurations are set in the synapse_server.xml file.)

Availability of each type of comment is based on role entitlements and comment settings. Comments have a maximum length of 2000 characters each.

If the firm has implemented the policy to allow managers to *quick approve* a case, Quick Approve displays next to Add. Clicking Quick Approve creates a case action with the status changed to Closed and adds other relevant information on the action including the firm-configured comment text.

Clicking Related Cases navigates to the **Case Summary** screen and displays all cases that directly reference the underlying account in which the trade was executed.

The entries that are available in the Stop Assignment drop-down and whether the user can change the stop assignment are governed by the user's position in the hierarchy.  A stop assignment is said to be *editable* (i.e., changeable) if it is at or below the user's level in the hierarchy.  A stop is said to be *sendable* (i.e., included in the drop-down) if it is within the user's vertical (i.e., above and below the user) in the hierarchy.  So if the current stop is at or below the user's position in the hierarchy the user is able to change the stop to any other stop that is in the user's vertical.

### 4.10.3  Case Attachments

This section displays a link to any electronic file attached to a case.  (Note: attachments are visible to the user only if the user's current role is entitled.)  Attachments are limited to a maximum size of 30MB.

These columns are displayed in this section:

- Download: contains a link that, when clicked, navigates to a screen that supports download of the document to the local machine
- Update User: ID of the user who uploaded the attachment
- File Path: ID of the document
- Update Date Time: date and time when the document was attached to the case
- Comments: comment added by the user when the document was attached to the case.

To attach a document to a case, from the Case Detail or other module (e.g., Supervision Compliance Manager Trade or Market Surveillance Manager alert) detail screen click Add and follow the steps below to complete the action:

1. Click Browse..., navigate to the document, and use the computer's operating system to select the document; in Microsoft Windows®, that is typically performed by double clicking on the document or by selecting the document and clicking Open.
2. Enter a comment.
3. Click Upload.
4. After all documents are uploaded, click Close.

### 4.10.4 Case Associations

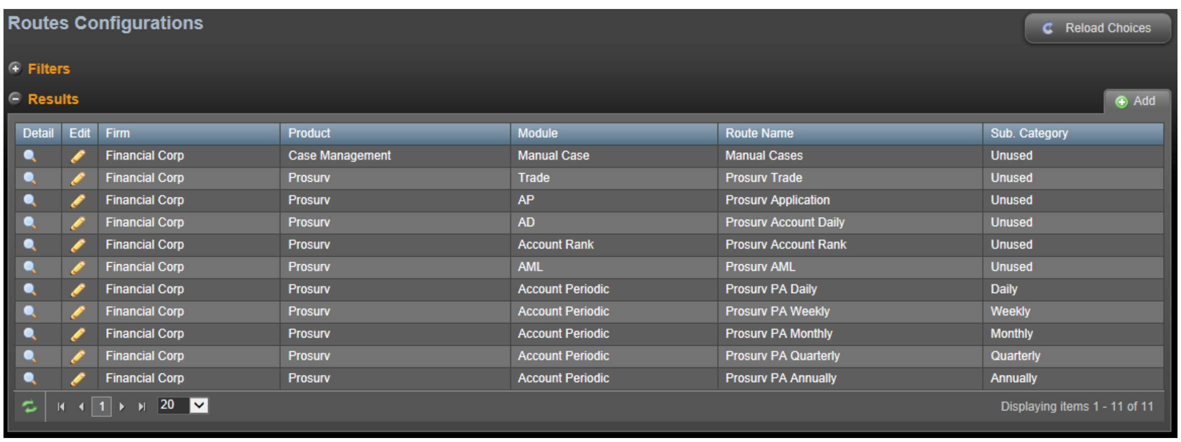
This section displays result cases that are associated with the manual case being reviewed.

These columns are displayed in this section:

- (Magnifying Glass Symbol): link to the detail screen for the associated case
- Firm: supervisory firm under which the associated case was created
- Product: application in which the associated case was created
- Module: module in which the associated case was created
- Result Key: ID of the associated case
- Submit Date: date when the associated case was created
- Status: status of the associated case
- Stop Assignment: current route stop to which the associated case is assigned
- Update User: ID of the user that initiated the last action on the associated case
- Delete: button that supports deletion of the case association.

## *4.11 Routes Configurations*

The **Routes Configurations** screen supports the creation and maintenance of routes.




| Detail | Edit | Firm | Product | Module | Route Name | Sub. Category |
|---|---|---|---|---|---|---|
| | | Financial Corp | Case Management | Manual Case | Manual Cases | Unused |
| | | Financial Corp | Prosurv | Trade | Prosurv Trade | Unused |
| | | Financial Corp | Prosurv | AP | Prosurv Application | Unused |
| | | Financial Corp | Prosurv | AD | Prosurv Account Daily | Unused |
| | | Financial Corp | Prosurv | Account Rank | Prosurv Account Rank | Unused |
| | | Financial Corp | Prosurv | AML | Prosurv AML | Unused |
| | | Financial Corp | Prosurv | Account Periodic | Prosurv PA Daily | Daily |
| | | Financial Corp | Prosurv | Account Periodic | Prosurv PA Weekly | Weekly |
| | | Financial Corp | Prosurv | Account Periodic | Prosurv PA Monthly | Monthly |
| | | Financial Corp | Prosurv | Account Periodic | Prosurv PA Quarterly | Quarterly |
| | | Financial Corp | Prosurv | Account Periodic | Prosurv PA Annually | Annually |

### 4.11.1 Add a Case Route

To add a case route, click Add from the Routes Configurations screen; then follow the steps below to complete the action:

1. Enter a Route Name.
2. Select the Firm from the drop-down.
3. Select the Product.
4. Select the Module—as applicable.
5. Click Save.

(For more information on case routing, see Case Actions.)

## 4.11.2 Filtering Case Routes

**Routes Configurations** includes an array of filters to support flexible searching of case routes. Click next to Filters to display the available filter criteria. (For more information on using filters, see Filtering Information.)


**Routes Configurations Filters**

This is the list of individual filters available on **Routes Configurations** with related information.

| Filter Name | Functionality |
|---|---|
| **Firm** | Filters for cases by the firm ID in a multi-firm installation. |
| **Product** | Filters for case routes by the application name. |
| **Module** | Filters for case routes by the module name. |
| **Route ID** | Filters for case routes by the route name. |
| **Sub Category** | Filters for case routes by additional module category—as applicable. |

## 4.11.3 Route Detail

The user can access the **Route Detail** screen by clicking for any route in the search results on **Routes Configurations**.

Clicking Back navigates to back to **Case Summary**.

Below is a list of sections that are provided on **Route Detail**:

- Route
- Route Stop
- Escalation
- Resolution.

***Route***

This section displays information about the route:

- Firm: ID of a firm in a multi-firm installation
- Module: name of the application module for which the route is defined; if the route is for a manual case, the module is *Manual Case*
- Product: name of the application for which the route is defined; if the route is for a manual case, the product is *Case Management*
- Route Name: name given the route when it was created

- Sub. Category: additional module category—as applicable; this supports a module sub-categorization (e.g., frequency in Supervision Compliance Manager Account Periodic module).

#### *Route Stop*

Case routes are comprised of a set of route stops. A route stop is simply a queue to which users are assigned. Users assigned to a route stop can see and take action on cases that are assigned to the stop (i.e., queue). (For more information on creating a case route, see Add a Case Route.)

Any stop defined for a route can be defined as the *default* or the *closed* stop. The default stop represents the stop to which a new case is automatically assigned (i.e., routed) when the case is created (i.e., with New status). The closed stop represents the stop to which the case must be assigned in order to close/resolve a case. Each route can have only one default and closed stops.

This section displays information about route stop(s) defined for the route:

- Stop Assignment: name of the route stop; this is either a role name or group name; (form more information on roles and groups, see *FIS Compliance Suite Platform Admin Guide*)
- Default Stop: indicates whether the route stop is the default stop for the route; the default stop is the stop to which a case is assigned when the status of the case is new
- Closed Stop: indicates whether the route stop is the closed stop for the route; the closed stop is the stop to which a case is assigned when the status of the case is closed.

To add a stop to a route, click Add on the Route Stop section and follow the steps below to complete the action:

1. Select a value from the Stop Assignment drop-down; the drop-down list includes the stops that have not already been selected for the route.
2. Click the checkbox for Default Stop as applicable; note: only one stop can be the default.
3. Click the checkbox for Closed Stop as applicable; note: only one stop can be the closed stop.
4. Click the checkbox for Active as applicable; when Active is selected, the route stop is available for selection on the **Case Action** screen; when Active is not selected, the route stop is not available for selection on the **Case Action** screen.
5. Click Save.

Note: the **Route Detail** screen does not support the deletion of a route stop once it is added to a route. This is because deleting a resolution may result in an orphaned route stop value in the system.

#### *Escalation*

Escalation parameters support the automatic escalation (i.e., routing of a case from a given route stop to another route stop) upon a case remaining unattended (i.e., no action taken) for a firm-defined number of days. Multiple escalation parameters can be defined for a given route.

This section displays information about route stop(s) defined for the route:

- Current Stop: name of the route stop from which the escalation is to occur
- Escalate Stop: name of the route stop to which the case is to be escalated
- Escalate Days: number of days that a case sits in the *Current Stop* queue without any action in order for the escalation to occur
- Escalate Comment: canned comment to be populated by the system on the escalation action.

To add an escalation parameter, click Add on the Escalation section and follow the steps below to complete the action:

1. Select a value from the Current Stop drop-down indicating the stop from which the escalation is to occur; the drop-down list includes the stops that have not already been selected for an escalation.
2. Select a value from the Escalate Stop drop-down indicated the stop to which the escalation is to occur; the drop-down list includes the stops that have not already been selected for an escalation.
3. Enter the number of days (i.e., as a whole number) for the escalation period.
4. Enter the comment that is to be added to the Action when the escalation occurs.

***Resolution***

Resolutions are defined to support uniform outcomes on cases that utilize a given route.

Any resolution defined for a route can be defined as the *default* resolution. The default resolution represents the resolution that displays automatically upon selection of the Closed stop on **Case Action**.

Multiple resolutions can be defined for a given route. Each route can have one and only one default resolution.

This section displays information about case resolution(s) defined for the route:

- Name: name of the resolution
- Active: indicates whether the resolution is active for the route; when the value is Yes, the resolution is available for selection on the **Case Action** screen; when the value is No, the resolution is not available for selection on the **Case Action** screen
- Default Resolution: indicates the resolution that displays by default on the **Case Action** screen for a route.

To add a resolution, click Add on the Resolution section and follow the steps below to complete the action:

1. Enter the resolution name.
2. Click the checkbox for Active as applicable; when Active is selected, the resolution is available for selection on the **Case Action** screen; when Active is not selected, the resolution is not available for selection on the **Case Action** screen.
3. Click the checkbox for Default Resolution as applicable.
4. Click Save.

Note: the **Route Detail** screen does not support the deletion of a resolution once it is added to a route; deleting a route may result in orphaned resolution values in the system.

## 4.12 Stop

The **Stop** screen displays the stops that have been defined in the system and that are available for use within a route.

Route stops are defined in two ways: by user role or user group. Any role or group can be defined as a route stop. Then users are assigned to the role or group. (For more information on creating roles or groups or on assigning users to roles or groups, see *FIS Compliance Suite Platform Admin Guide*.)

Below is a list of sections that are provided on **Stop**:

- Stops
- Users Assigned to Group.

***Stops***

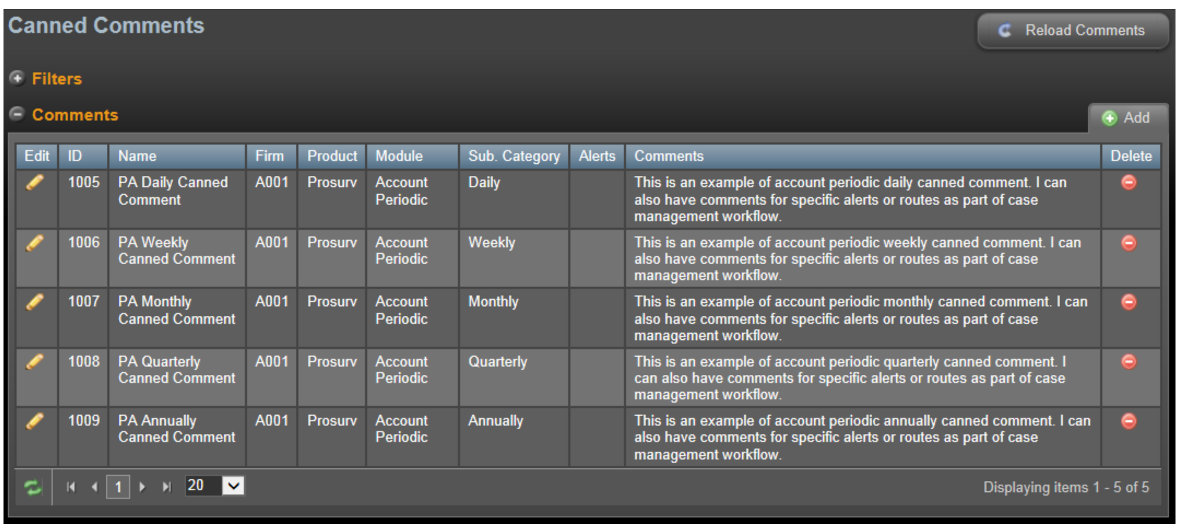
This section displays information about the route stop:

- View link: clicking on the link displays the users that are assigned to the stop
- Firm: the ID of a firm in a multi-firm installation
- Stop Type: type of stop (i.e., role or group)
- Stop Code: abbreviation for the route stop
- Stop Name: name of the route stop.

## *4.13 Canned Comments*

The **Canned Comments** screen supports the creation and maintenance of pre-defined (i.e., *canned*) comments that are available for selection when adding a case action. Canned comments support operational consistency and uniformity.

A canned comment can be defined in the context of one to many alert rules such that the comment is available for selection only when the specified alert rule is present in the review result (i.e., triggered).




| Edit | ID | Name | Firm | Product | Module | Sub. Category | Alerts | Comments | Delete |
|---|---|---|---|---|---|---|---|---|---|
| | 1005 | PA Daily Canned Comment | A001 | Prosurv | Account Periodic | Daily | | This is an example of account periodic daily canned comment. I can also have comments for specific alerts or routes as part of case management workflow. | |
| | 1006 | PA Weekly Canned Comment | A001 | Prosurv | Account Periodic | Weekly | | This is an example of account periodic weekly canned comment. I can also have comments for specific alerts or routes as part of case management workflow. | |
| | 1007 | PA Monthly Canned Comment | A001 | Prosurv | Account Periodic | Monthly | | This is an example of account periodic monthly canned comment. I can also have comments for specific alerts or routes as part of case management workflow. | |
| | 1008 | PA Quarterly Canned Comment | A001 | Prosurv | Account Periodic | Quarterly | | This is an example of account periodic quarterly canned comment. I can also have comments for specific alerts or routes as part of case management workflow. | |
| | 1009 | PA Annually Canned Comment | A001 | Prosurv | Account Periodic | Annually | | This is an example of account periodic annually canned comment. I can also have comments for specific alerts or routes as part of case management workflow. | |

### 4.13.1 Add a Canned Comment

To add a canned comment, click Add on the Comments grid to display **Comment Detail**. Then follow the steps below to complete the action:

1. Enter the name of the canned comment.
2. Select the Firm from the drop-down.
3. Select the Product.
4. Select the Module—as applicable.

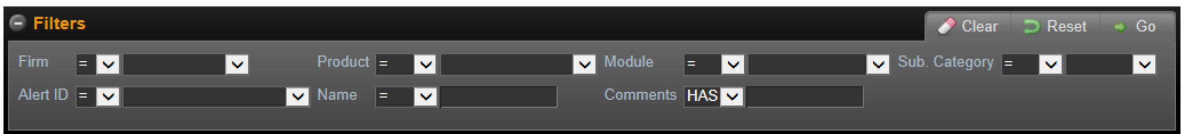
5. Click Save.

To edit an existing canned comment, click the symbol next to the comment to be edited and follow the steps above similar to adding a comment.

Once a canned comment has been added or edited, click Reload Comments at the top right of the screen to post the changes to the system.

## 4.13.2 Filtering Canned Comments

**Canned Comments** includes an array of filters to support flexible searching of canned comments. Click next to Filters to display the available filter criteria. (For more information on using filters, see Filtering Information.)




**Canned Comments Filters**

Below is the list of individual filters available on **Canned Comments** with related information.

| Filter Name | Functionality |
|---|---|
| **Firm** | Filters for canned comments by the firm ID in a multi-firm installation. |
| **Product** | Filters for canned comments by the application name. |
| **Module** | Filters for canned comments by the module name. |
| **Sub Category** | Filters for canned comments by the additional module category—as applicable. |
| **ID** | Filters for canned comments by the ID of the alert rule to which the canned comment is defined. |
| **Name** | Filters for canned comments by the name of the canned comment. |
| **Comments** | Filters for canned comments by the text within the comment. |