

Nordlake Bank - Compliance Dashboard (Week 07, 2026)

Prepared for: Head of Compliance | Period: 2026-02-10 to 2026-02-16 | Sources: KYC queue, transaction monitoring, sanctions screening

Executive summary

- KYC queue: 18 open cases (4 high-risk). Median age: 9 days. Two cases approaching SLA breach (14 days).
- Transaction monitoring: 27 alerts triaged; 3 escalated to Level 2. One alert involves a newly onboarded trading entity with large cross-border flows.
- Sanctions screening: 1 potential match above internal escalation threshold (>80% similarity).
- Regulatory: FINMA thematic review expected this quarter; evidence of decisioning and audit trails must be complete.

Key risks and exceptions

| Risk item | Severity | Owner | What changed | Next evaluation |
|--|----------|----------------|---|-----------------|
| Sanctions similarity match on counterparty name (FINMA821) | HIGH | Compliance Ops | Screening flagged 87% similarity for counterparty name 'Orion Trading LLC'. | Review by Legal |
| UBO mismatch (Orion Trading LLC) | HIGH | KYC Team | CRM lists UBO as 'M. El-Sayed'; draft UBO declaration. | Review by Legal |
| Possible PEP false positive (Orion director) | MEDIUM | KYC Team | PEP engine hit: 'Hassan Kareem' (confidence level 62%). | Review by Legal |

Referenced but not attached (drop candidates)

- Attachment referenced in case notes: 'UBO_Declaration_Signed.pdf' (not present in this pack).
- Link referenced by RM: 'SharePoint/Orion/PassportCopies.zip' (not accessible from the pack).

Appendix - monitoring details (excerpt)

Alert TM-8821: Incoming transfer CHF 2,100,000 from UAE corridor to newly onboarded client. Counterparty name similarity score 87%. Policy: escalate if score \geq 80% unless a documented override exists.

Note: relationship manager states counterparty is a long-term supplier with no sanctions exposure. No documentary evidence attached in this pack.

Synthetic demo material for agent harness testing. Names and entities are fictitious.