

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 (FINCH821)	HIGH	Compliance Ops	Screening flagged 87% similarity for counterparty AL	Counterparty AL
UBO mismatch (Orion Trading LLC)	HIGH	KYC Team	CRM lists UBO as 'M. El-Sayed'; draft UBO Declaration signed	UBO Declaration
Possible PEP false positive (Orion director)	MEDIUM	KYC Team	PEP engine hit: 'Hassan Kareem' (confirmed 2023/a	Collect 2023/a

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.