

COMPASS

COMPASS AML SYSTEM V6.73

USER MANUAL

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TERMS & CONDITIONS

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1. INTRODUCTION:

This user guide manual provides details of the Compass AML system with step-by-step illustrations.

LOGGING IN

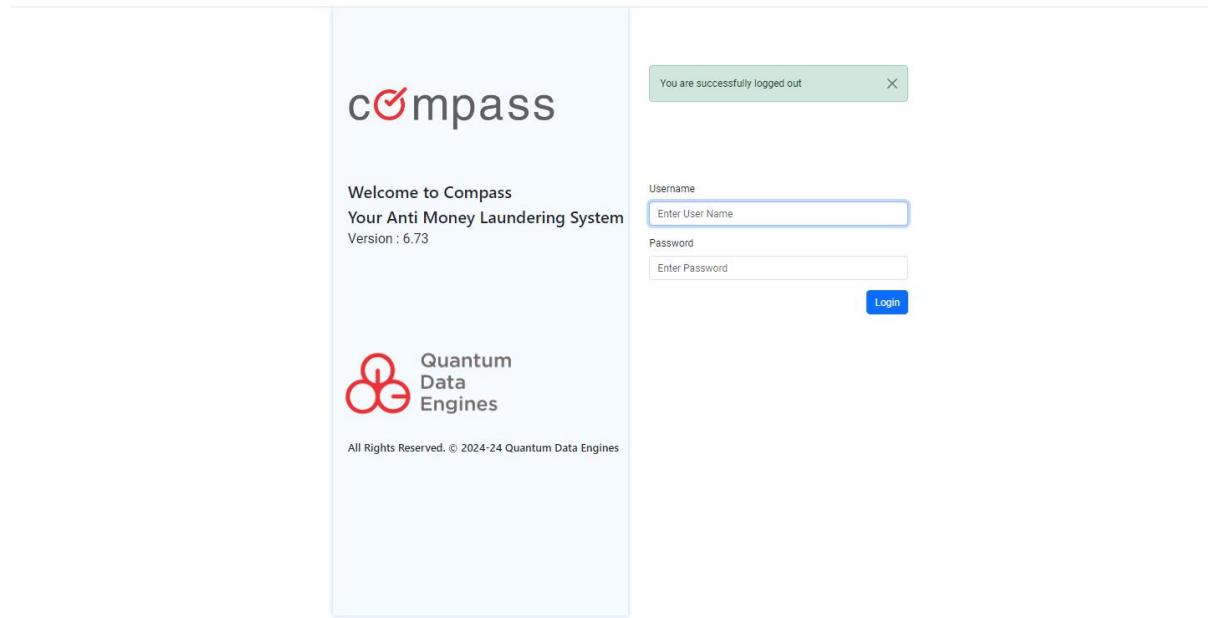


Figure 01: Compass Login Page

To log into COMPASS AML System, enter your username and password on the COMPASS Login page and then click the **Login** button.

2. MAIN MENU OPTION

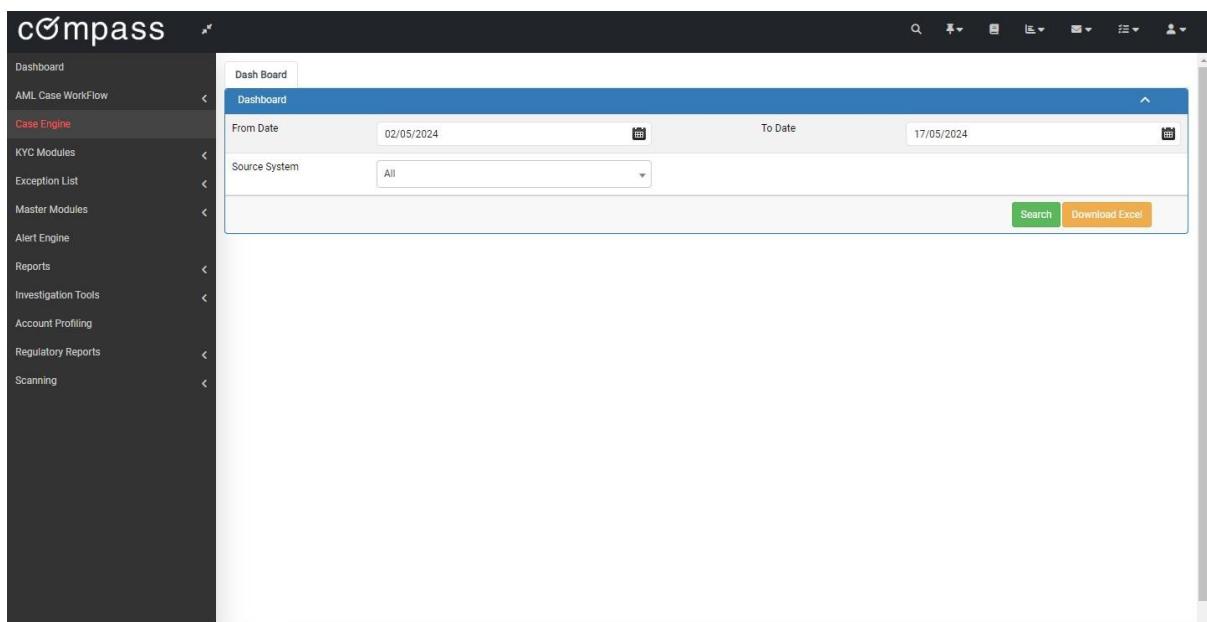


Figure 02: Compass Main Menu Page

3. AMLUSER

3.1. DASHBOARD

In the dashboard, users at various levels will have access to comprehensive summaries detailing pending cases, closed cases, actioned cases, screening activity, etc., all tailored to their assigned tray.

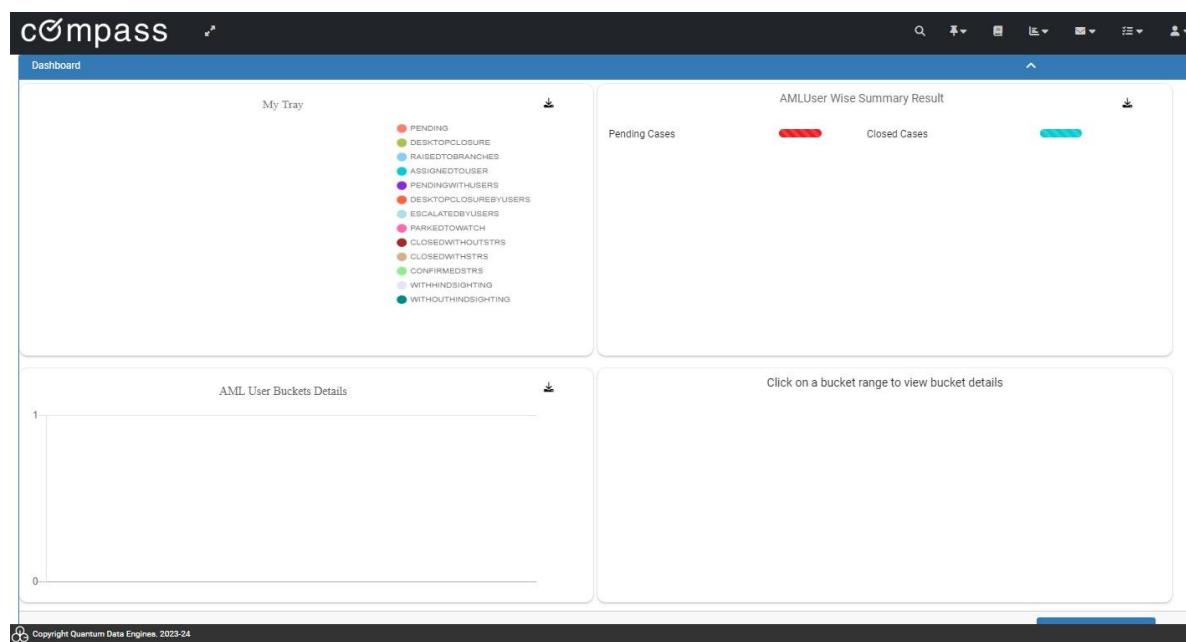


Figure 03: Compass Dashboard Page on search

3.2. AML CASE WORKFLOW

3.2.1. PENDING CASES

In the AML Case workflow, the Pending Cases module will display all cases assigned to the individual user's tray irrespective of various levels, facilitating necessary actions and processing.

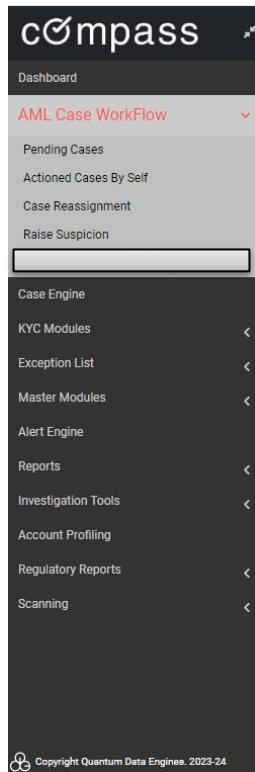


Figure 04: Compass AML Case Workflow main menu Page

On click Pending Cases the below screen will open.

Figure 05: Compass Pending Cases Page

When User's selecting the date range and clicking 'search', the following screen will be displayed with the list of cases assigned to the respective user's tray.

Figure 06: Compass Pending Cases search result Page

3.2.2. ROBO SCAN

The Robo Scan option provides a comprehensive history of the case, including Alert details and breaches, customer KYC information, real-time screening search details, account profile data, transaction history (last 6 months), past reporting history, customer case history, and options for action and processing, this option is available various user levels.

Figure 07: Compass ROBO SCAN Page

SECTION 1 - Alert Details

ALERTNO	ALERTMESSAGE	ALERTPRIORITY	INSTRUMENTCODE	INSTRUMENTNAME	AccountNo
29042024172238752173	HIGH_CASHACTIVITY_INCON_WITH_PROFILE_PENSION_MONTH	5			
29042024172238752798	HIGH_CASHACTIVITY_INCON_WITH_PROFILE_LABOR_MONTH	5			
29042024172238752466	HIGH_CASHACTIVITY_INCON_WITH_PROFILE_HWF_MONTH	5			
29042024172238759389	HIGH_CASHACTIVITY_INCON_WITH_PROFILE_STUDENT_MONTH	5			

SECTION 2 - Customer Details (KYC)

Customer Name:	Father's Name:
Mother's Name:	Account number:
Associated Accounts: (If Any)	Base Branch:
Type of Account:	Risk Rating of Customer:
Risk Rating of Account:	Risk Rating of related parties:

Figure 08: Compass ROBO SCAN Page

SECTION 2 - Customer Details (KYC)

Customer Name:	Father's Name:
Mother's Name:	Account number:
Associated Accounts: (If Any)	Base Branch:
Type of Account:	Risk Rating of Customer:
Risk Rating of Account:	Risk Rating of related parties:
KYC Last update date:	KYC Last change date:
Guardian:	Nominee:
Other Relationships:	

SECTION 3 - Real-Time Screening

Last static data update date:	29/04/2024	Last transaction update date:	29/04/2024
Real Time Screening Search Details:			
Name		Other Names	
Date of Birth		Account Number	
Customer ID	MN-17073640	Passport Number	

Figure 09: Compass ROBO SCAN Page

SECTION 3 - Real-Time Screening

Last static data update date:	29/04/2024	Last transaction update date:	29/04/2024
Real Time Screening Search Details:			
Name	ISHEAQ AHMAD TAUQ	Other Names	ABDUL MAJEED TAUQ
Date of Birth		Account Number	
Customer ID		Passport Number	
Tax ID Number		Aadhaar Number	
Voter ID Number		PAN Number	
Address		Scan	

SECTION 4 - Transaction Details

ROWPOSITION	ALERTNO	TRANSACTIONNO	TRANSACTIONID	TransactionDate	Customerid	AccountNo	CUSTOMERNAME
Showing 1 to 10 of 10 entries							
Previous 1 2 Next							

Figure 10: Compass ROBO SCAN Page

SECTION 4 - Transaction Details

ROWPOSITION	ALERTNO	TRANSACTIONNO	TRANSACTIONID	TransactionDate	Customerid	AccountNo	CUSTOMERNAME
Showing 1 to 10 of 10 entries							
Previous 1 2 Next							

Figure 11: Compass ROBO SCAN Page

SECTION 5 - Account Profile (Past 6 months)

Products Used:	BFE		
Total Debit:	0	Total Debit Count:	0
Total Credit:	42240	Total Credit Count:	5
Account Risk:	LOW	Risk last change date:	
Last 5 account activities:			
Past CTR or SR or other regulatory reports in this account / customer:			
If Yes,	Count	and Date	

SECTION 6 - Links

From Date	02/05/2024	To Date	17/05/2024
Account No		Level Count	4
Transaction Link	<input checked="" type="checkbox"/>	Static Link	<input type="checkbox"/>
TABULAR LINK VIEW HORIZONTAL GRAPH VIEW VERTICAL GRAPH VIEW			

Figure 12: Compass ROBO SCAN Page

The screenshot displays the Compass ROBO SCAN Page interface. It includes:

- SECTION 10 - Customer Case History:** A table view with columns: CASENO, DESCRIPTION, CustomerId, CUSTOMERNAME,UserCode, AMLUserCode, MLROUSERCODE, and USERCC. Buttons for TSV, CSV, Print, and Excel are at the top.
- SECTION 11 - User Comments and Notes:** A section for adding comments.
- SECTION 12 - Action Items Start:** A table of action items with checkboxes:

Escalate	<input type="checkbox"/>	Add To Watch	<input type="checkbox"/>	Mark as High Risk	<input type="checkbox"/>
Further Investigate	<input type="checkbox"/>	Raise CDD request to branch	<input type="checkbox"/>	Close without a case	<input type="checkbox"/>
Mark as false positive	<input type="checkbox"/>	Mark for Follow up	<input type="checkbox"/>	Desktop Closure	<input type="checkbox"/>
Investigated	<input type="checkbox"/>				
- Option:** A section for saving reports and sending emails, with checkboxes for "Save Roboscan report as part of case", "Flag for internal discussion", and "Send as Email". Buttons include "To Business", "Close", and "Close".

Figure 13: Compass ROBO SCAN Page

3.2.3. CASE MERGER

This option is accessible at the user level, allowing users to merge multiple cases associated with the same customer ID triggered by multiple alerts.

The screenshot shows the Add Comment For Case Merger window. It includes:

- A header bar with tabs: Case No, AMLUSER, AMLO, MLRO, and COMMENTSLOG.
- An input field for "Case No" with a placeholder box.
- A sub-section titled "Add Comments" with fields for "Sub-Action" (dropdown: Cases generated on Same Cust ID), "Mark All" (checkbox), and "Comments" (text area).
- Buttons at the bottom: "Post and Close" (green) and "Close Window" (red).

Figure 14: Compass Case Merger Page

3.2.4. BONAFIDE OKAY

In Action button at various levels, users have the 'Bonafide Okay' option. They can close the case by adding closure comments in the comment section, attaching evidence via the 'attach evidence' option, and then

clicking 'Post and Close'.

Figure 15: Compass BONAFIDE OKAY Page

By Clicking on the Attach Evidence button, the user has the option to view or attach evidence to support the case. The user has the option to browse the system and attach a file, as illustrated below. The user can even download a evidence as and when required.

Sr. No.	Case ID	Name	Status
4462	MN-18417516	BHIKHABHAI KALIDAS DABGOR	7771042
1	MN-18418933	RAUSHAN KUMAR SINGH	7870234
3	12399667		
4	12399668		
5			
6			
7			
8			
9			
10			

Figure 16: Compass Attach Evidence Page

When a user investigates a case and finds it suspicious, they can refer the case to the next level of investigation using the 'Refer the case' option. They can add a comment explaining their suspicions and can attach the evidence via 'Attach Evidence' option then click 'Post and Close'.

Sequence Number	User ID	Terminal	SubAction
9	MN-18417516	BHIKHABHAI KALIDAS DABGAR	7771042
10	MN-18418633	RAUSHAN KUMAR SINGH	7870234

Figure 17: Compass Add Comment for Review Page

Details of the case info will find in the below screen.

Sequence Number	User ID	Terminal	SubAction	Comments
9	MN-18417516	BHIKHABHAI KALIDAS DABGAR	7771042	
10	MN-18418633	RAUSHAN KUMAR SINGH	7870234	

Figure 18: Compass Add Comment for Raising Case for STR Page

When the user clicks on 'View Comments' during a search, they can see the history of comments added to the cases at various levels.

The screenshot shows a modal window titled "View Comment For Case No - 1299199". At the top, there is a "Case No" field containing "1299199" and a "View Evidence" button. Below this, a navigation bar includes tabs for "AMLUER", "AMLO", "MLRO", and "COMMENTSLOG". The main content area displays a table with the following columns:

Sequence Number	User ID
User Role	Terminal
Case Action	SubAction
Comments	Action Taken
FIU ReferenceNo	FIU Reference Update Date
UPDATEDBY	UPDATETIMESTAMP

A timestamp "6 - Raised For STR By AML User || 30/04/2024 12:51:02" is visible above the table.

Figure 19: Compass View Comment Page

At various levels, users can view the comments log on the screen below.

The screenshot shows a modal window titled "View/Attach Case Evidence". It has two main sections: "Upload File" and "Download File".

Upload File: Includes fields for Allowed File Size (3 MB), Allowed File Type (.doc,.pdf,.txt,.zip,.7z,.jpg,.jpeg,.png), Block File Type (ALL), Maximum File Select Count (3), and Upload Enable (No). It features a "Select Files" input field with "Choose Files" and "No file chosen" buttons, and a "Drop Files" section with a "Drag & Drop Files Here" area.

Download File: Shows a list titled "Evidences Attached" which is currently empty.

Figure 20: Compass View/Attach Case Evidence Page

3.2.5. FINGATE STR

In the FINGATE STR option, users can file the STR by completing the details in accordance with the FIU-IND Guidelines.

In the below screen the user will find the Reporting details like Reporting Entity name and batch details etc.

Reporting Entity Details

- 1.1 Reporting Entity Name
- 1.2 Reporting Entity Category
- 1.3 Reporting Entity Code
- 1.4 FIUREID

Batch Details

- 2.1 Batch Number
- 2.2 Batch Date
- 2.3.1 Batch Pertaining to Month
- 2.3.2 Batch Pertaining to Year
- 2.4 Batch Type
- 2.5 Original Batch ID

User Information

- Reason Of Revision
- User Role
- User Code
- Update Timestamp
- Auto Manual
- IP Address
- STR Report Ref No
- Line Number

Figure 21: Compass FINGate STR-Reporting Entity Page

Reporting Entity Details

- 1.1 Reporting Entity Name
- 1.2 Reporting Entity Category
- 1.3 Reporting Entity Code
- 1.4 FIUREID

Batch Details

- 2.1 Batch Number
- 2.2 Batch Date
- 2.3.1 Batch Pertaining to Month
- 2.3.2 Batch Pertaining to Year
- 2.4 Batch Type
- 2.5 Original Batch ID

User Information

- Reason Of Revision
- User Role
- User Code
- Update Timestamp
- Auto Manual
- IP Address
- STR Report Ref No
- Line Number

Figure 22: Compass FINGate STR- Reporting Entity Page

3.2.5.1. CUSTOMER

3.2.5.1.1. CUSTOMER - INDIVIDUAL KYC

When Account holder is individual customer then complete details of the customer / Account holders KYC will be available.

Figure 23: Compass FINGate STR-Customer Individual (KC3) Page

The user can upload bulk customer details using the Bulk Option. In the screen below, users can input customer identification numbers and mapped Account IDs. They can also add or delete details using the respective 'Add' or 'Delete' options.

Figure 24: Compass FINGate STR-BULK ADD/DELETE Page

The User at various level use the Add option to add the

Figure 25: Compass FINGate STR-Customer -Individual KYC (KC3)-ADD Page

By clicking the Add option, the below screen displays.

Figure 26: Compass FINGate STR-Customer -Individual KYC (KC3)-ADD Page

At various User levels, users can utilize the CSV Files option to view, download, generate, and download.

CASENO	UNIQUE_RECORDNO	STR_REPORTREFERENCENUMBER	AccountNo	RELATIONFLAG	UICICNUMBER	CustomerId	PANNO	DECLARATION_PANNONOTAVAILABLE	CKYNUMBER	DECLARATION_
<input checked="" type="checkbox"/> 1299199	30							NA		NA
<input type="checkbox"/> 1299199	31							NA		NA

Figure 27: Compass FINGate STR-Customer -Individual KYC (KC3)-Export Excel Page

CASENO	UNIQUE_RECORDNO	STR_REPORTREFERENCENUMBER	AccountNo	RELATIONFLAG	UICICNUMBER	CustomerId	PANNO	DECLARATION_PANNONOTAVAILABLE	CKYNUMBER	DECLARATION_
<input checked="" type="checkbox"/> 1299199	30							NA		NA
<input type="checkbox"/> 1299199	31							NA		NA

Figure 28: Compass FINGate STR-Customer -Individual KYC (KC3)-CSV Files Page

3.2.5.1.2. CUSTOMER NON-INDIVIDUAL

When Account holder is non-individual customer then complete details of the customer / Account holders KYC will be available.

This screenshot shows the 'Non Individual KYC' section of the Compass FINGate interface. The top navigation bar includes links for Reporting Entity, Customer, Non-Customer, Transaction Details, and Ground of Suspicion. Below the navigation is a sub-menu with tabs for Individual KYC, Non-Individual KYC, Account Detail, and Account Person Relation. The main content area is titled 'Non Individual KYC' and displays a table with 10 entries. The table has columns for various identifiers and flags. At the bottom of the table are buttons for Bulk, Add, and Delete operations.

Figure 29: Compass FINGate STR-Customer -NON-Individual KYC (KC4)-CSV Files Page

3.2.5.1.3. ACCOUNT DETAILS

The Account details provides comprehensive details of Account holdings. Users can utilize the Bulk, Add, and Delete options to perform bulk uploads, add Account details, and delete records.

This screenshot shows the 'Account Detail' section of the Compass FINGate interface. The top navigation bar and sub-menu are identical to Figure 29. The main content area is titled 'Account Detail' and displays a table with 1 entry. The table has columns for account identifiers, type, number, branch code, and opening/closing dates. A specific row is highlighted with a checkmark in the first column. At the bottom of the table are buttons for Bulk, Add, and Delete operations.

Figure 30: Compass FINGate STR-Customer -Account details -CSV Files Page

3.2.5.1.4. ACCOUNT PERSON RELATION

This Account Person Relation provides comprehensive details of Account person relative party details. Users can utilize the Bulk, Add, and Delete options to perform bulk uploads, add account relative person details, and

delete records.

CASENO	UNIQUE_RECORDNO	STR_REPORTREFERENCENUMBER	BRANCHCODEOFACCOUNT	AccountNo	RELATIONFLAG	UCICNUMBER	INDIVIDUAL_NONINDIVIDUAL	NAMEOFNONCUSTOMER	UserCode
<input checked="" type="checkbox"/> 1299199	21886								
<input type="checkbox"/> 1299199	21887								

Figure 31: Compass FINGate STR-Customer -Account Person Relation Page

3.2.5.2. NON-CUSTOMER

3.2.5.2.1. NON-CUSTOMER -SIMPLIFIED KYC INDIVIDUAL (KCS1)

UNIQUE_RECORDNO	UserCode	STR_REPORTREFERENCENUMBER	CASENO	AccountNo	RELATIONFLAG	UCICNUMBER	CustomerId	PANNO	DECLARATION_PANNONOTAVAILABLE	CKYNUMBER

Figure 32: Compass FINGate STR-Non-Customer -Simplified KYC Individual KYC (KCS1) Page

3.2.5.2.2. NON-CUSTOMER -SIMPLIFIED KYC NON-INDIVIDUAL (KCS2)

The screenshot shows the Compass FINGate Non-Customer Simplified KYC Individual (KCS1) page. The top navigation bar includes links for Reporting Entity, Customer, Non-Customer, Transaction Details, and Ground of Suspicion. The main content area displays a table with columns for UNIQUE_RECORDNO,UserCode,STR_REPORTREFERENCENUMBER,CASENO,AccountNo,RELATIONFLAG,UCICNUMBER,ENTITYNAME,CustomerID,UNIQUECOMPANYIDTYPE, and UNIQUECOMPANYID. There are buttons for TSV, CSV, Print, Excel, Add, Delete, Export Excel, CSV Files, and Close.

Figure 33: Compass FINGate STR-Non-Customer -Simplified KYC Individual KYC (KCS2) Page

3.2.5.2.3. TRANSACTION DETAILS

3.2.5.2.3.1. CASH ATM (TC1)

The screenshot shows the Compass FINGate Transaction Details-Cash ATM (TC1) page. The top navigation bar includes links for Reporting Entity, Customer, Non-Customer, Transaction Details, and Ground of Suspicion. The main content area displays a table with columns for CASENO,UNIQUE_RECORDNO,TRANSACTIONNO,STR_REPORTREFERENCENUMBER,RELATIONSHIPFLAG,TRANSACTIONSTATUS,TRANSACTIONID,TransactionDate,TRANSACTIONTIME, and DEPOSITWITHDRAW. There are buttons for TSV, CSV, Print, Excel, Bulk, Add, Delete, Export Excel, CSV Files, and Close.

Figure 34: Compass FINGate STR-Transaction Details-Cash ATM (TC1) Page

3.2.5.2.3.2. CASH BRANCH (TC2)

CASENO	UNIQUE_RECORDNO	TRANSACTIONNO	STR_REPORTREFERENCENUMBER	ReportType	BRANCHCODEOFACCOUNT	AccountNo	TRANSACTIONBRANCHCODE	DEPOSITWITHDRAWAL	TRANSACTION
<input checked="" type="checkbox"/> 1299199	7441								
<input type="checkbox"/> 1299199	7442								
<input type="checkbox"/> 1299199	7443								
<input type="checkbox"/> 1299199	7444								

Figure 35: Compass FINGate STR-Transaction Details-Cash Branch (TC2) Page

3.2.5.2.4.GROUND OF SUSPICION

TYPEOFTXN	TOTALDEBIT	TOTALCREDIT	TOTALTXNCOUNT	AMOUNT
Cash	0	4	4	28200
Card	0	0	0	0
IMPS	0	0	0	0
UPI	0	0	0	0
NEFT/RTGS	0	0	0	0
CBWT	0	0	0	0
General Transaction	0	5	5	70200

Figure 36: Compass FINGate STR-Ground of Suspicion Page

Account Details

AccountNo	LAST12MNTS_NUMBEROFDEBITS	LAST12MNTS_TOTALDEBITAMNT	LAST12MNTS_NUMBEROFCREDITS	LAST12MNTS_TOTALCREDITAMNT	LAST12MNTS_NUMBEROFCASHTXNS	LAST12MNTS_TOTALCASHDEPO
0	0	9	98400	4	28200	

Search:

Showing 1 to 1 of 1 entries

Reset Columns | Previous | Next

KYC Source of Funds *

KYC Destination of Funds *

GoS Tag 1 - Suspicion Due To * Select One

GoS Tag 2 - Source of Alert * Business Associates ~ Business Associates

GoS Tag 3 - Red Flag Indicator * Select One

GoS Tag 4 - Type of Suspicion Suspected * Select One

Narration *

Query

Response

Figure 37: Compass FINGate STR-Ground of Suspicion Page

GoS Tag 1 - Suspicion Due To * Select One

GoS Tag 2 - Source of Alert * Business Associates ~ Business Associates

GoS Tag 3 - Red Flag Indicator * Select One

GoS Tag 4 - Type of Suspicion Suspected * Select One

Narration *

Query

Response

User Code

User Role

Auto Manual Manual Update Timestamp

STR Report Ref No

IP Address

Line Number

Figure 38: Compass FINGate STR-Ground of Suspicion Page

3.2.6. ATTACH EVIDENCE

By Clicking on the **Attach Evidence** button, the user has the option to view or attach evidence to support the case. The user has the option to browse the system and attach a file, as illustrated below. The user can even download a evidence as and when required

Users can also view evidence attached by other users.

Figure 39: Compass Attach Evidence Page

3.2.7. ACTIONED CASES BY SELF

All the cases actioned by self are shown in the module- Actioned cases by self. The **Actioned Cases by Self** module under the **AML Case Workflow** module allows the users to access the List of Actioned cases.

The user can access the List of Actioned cases by selecting the data range or by selecting from the given fields.

Figure 40: Compass Actioned by Self Page

On Click Search

The screenshot shows the Compass software interface. At the top, there's a dark header bar with the 'compass' logo. Below it, a navigation bar has tabs for 'Dash Board', 'Pending Cases', 'Overview' (which is highlighted in red), and 'Actioned Cases By Self'. The main content area is titled 'List Of Actioned cases'. It includes a search bar, a table with columns like Sr. No., Case No., Customer Id, etc., and a toolbar with buttons for 'TSV', 'CSV', 'Print', and 'Excel'. The table shows one entry with the message 'Showing 1 to 1 of 1 entries'.

Figure 41: Compass Actioned by Self search result Page

This screenshot shows a modal window titled 'View Comment For Case No - 1299203'. The window contains a table with the following data:

Sequence Number	User ID
User Role	Terminal
Case Action	SubAction
Comments	Action Taken
FIU ReferenceNo	FIU Reference Update Date
UPDATEDBY	UPDATETIMESTAMP

The modal is centered over the main search results page, which is visible in the background.

Figure 42: Compass Actioned by Self -View Comment Page

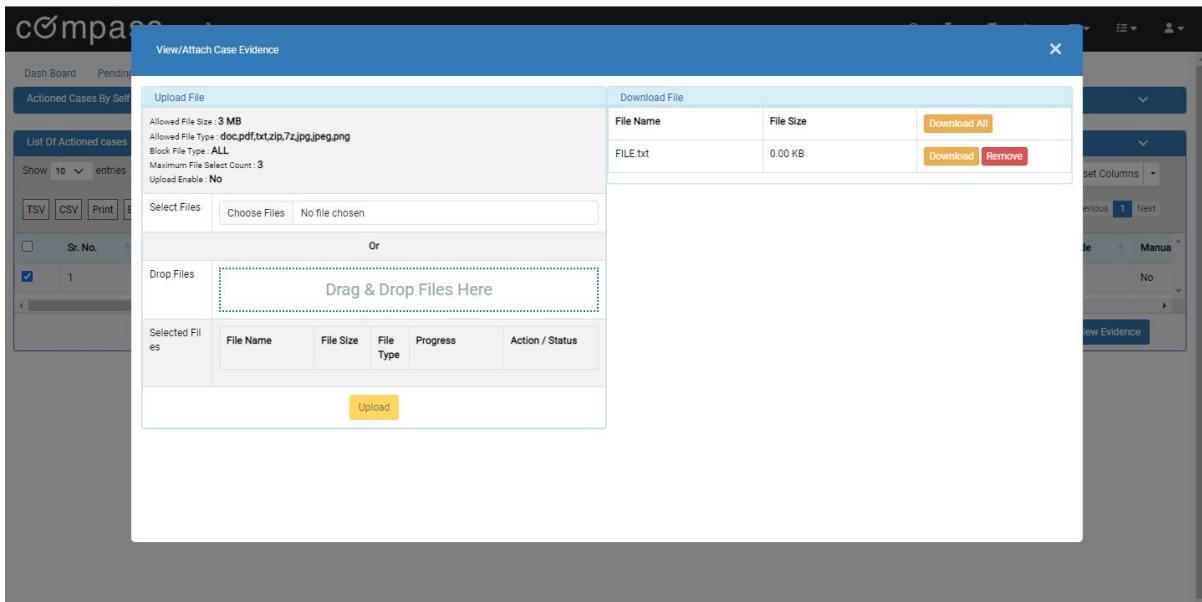


Figure 43: Compass Actioned by Self-result Page

3.2.8. CASE REASSIGNMENT

All the cases are shown in this tray. The **Cases can be reassigned through this module under the AML Case Workflow** module provides data of all the Pending Cases.

The user can access Pending Cases by selecting the data range or by selecting from the given fields.

The screenshot shows the "Case Reassignment" page. At the top, there are filters for "From Date" (01/04/2024), "To Date" (17/05/2024), "Reassignment For" (Pending Cases), and "Pending With" (Assigned User). Below these are dropdowns for "AMLUsers List" and "Search" buttons. The main area is a "Case List" table with columns: Sr. No., Case No., Customer Id, Customer Name, Account No., Branch Details, Case Rating, System Owner, Assigned User, Manual Case, and Case. The table shows 1 to 10 of 4,462 entries, with navigation buttons for previous and next pages.

Figure 44: Compass Case Reassignment Page

On Click search

Figure 45: Compass Case Reassignment Search result Page

3.2.9. RAISE SUSPICION

By clicking on the **Raise a Suspicion** module in the main menu tray, the window displayed allows you to raise an alert manually for any particular customer or non-customer.

- Fill the fields in the **Subject Matter of Suspicion** section, as illustrated in the figure above.
- Enter a reason in the **Enter Reason for Suspicion** section
- Enter details in the **Enter Suspicious Transaction Details** section by clicking on **Click here to enter suspicious transaction details**.

Figure 46: Compass Raise Suspicion Page

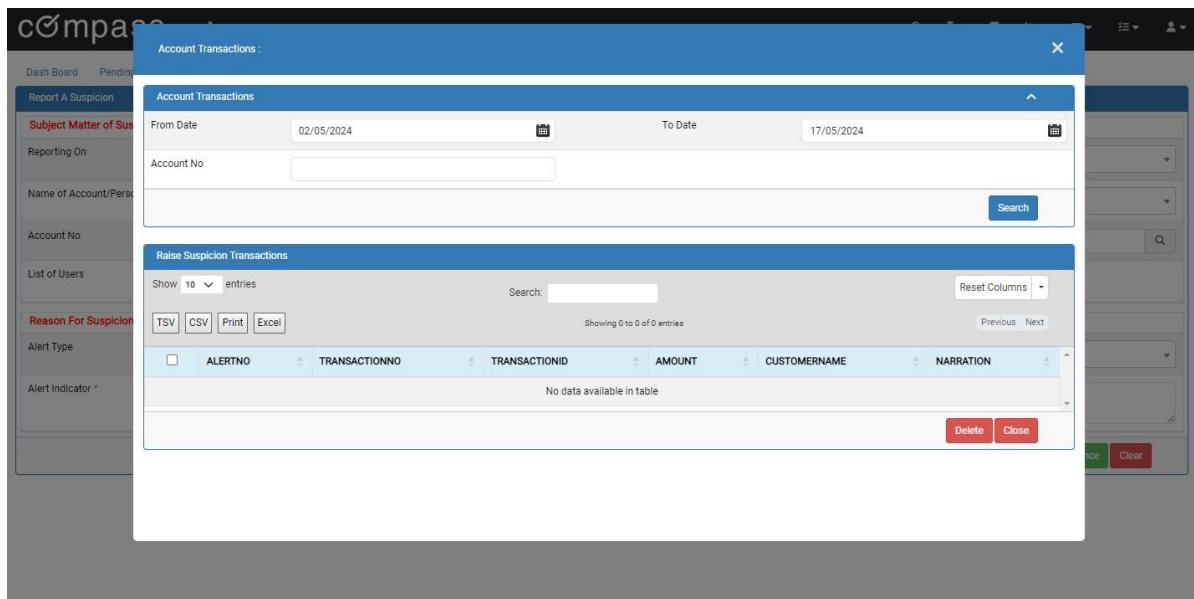


Figure 47: Compass Raise Suspicion Account transaction Page

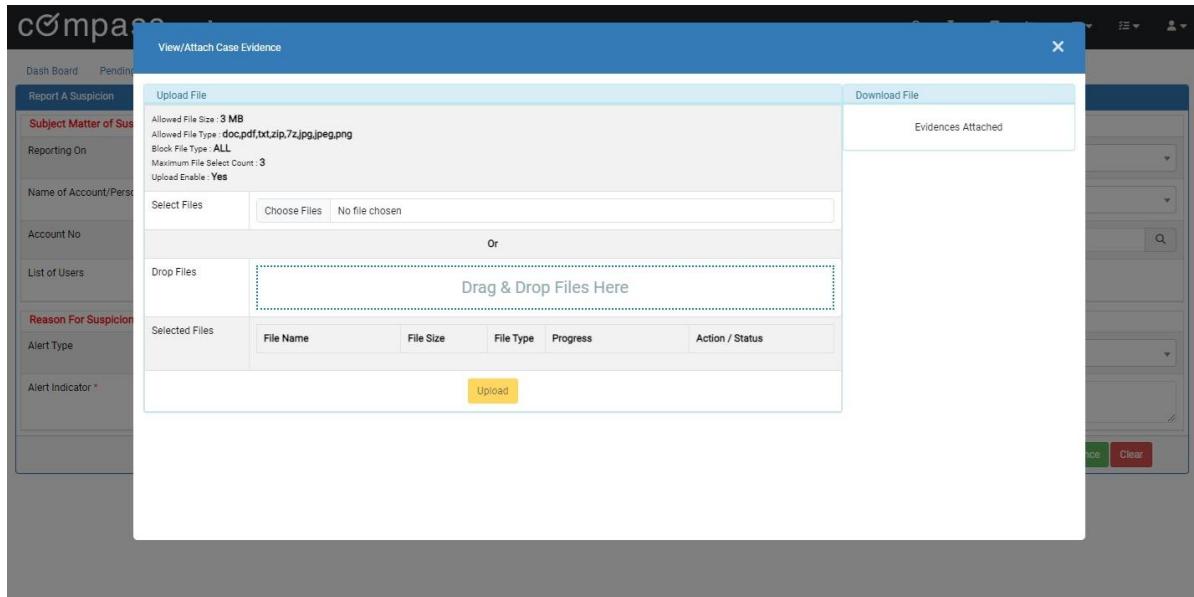


Figure 48: Compass View/Attach Case Evidence Page

3.3. CASE ENGINE

A case engine is a repository of cases formed for the individual or entity. The user must enter a date range and click on search to get the data for that particular date range. There are multiple filters to search for a particular case.

The screenshot shows the 'Case Engine' tab selected in the top navigation bar. Below it, a search form titled 'View Cases' contains various filters: 'From Date' and 'To Date' (both with calendar icons), 'Alert Code' (set to 'ALL'), 'Branch Details' (set to 'ALL_BRANCH'), 'Account No' (with a search icon), 'Customer Id' (with a search icon), 'Current Status' (set to 'ALL'), 'Case Rating' (set to 'ALL'), 'From CaseNo' (empty), 'To CaseNo' (empty), 'Case Action' (set to 'ALL'), 'Case Sub-Action' (set to 'ALL'), and 'Assigned User' (set to 'ALL'). At the bottom right are 'Search' and 'Clear' buttons.

Figure 49: Compass Case Engine Page

On Click search, A list of all cases is available as the user clicks on search.

The screenshot shows the 'Case Engine' tab selected. Below it, a table titled 'List Of Cases' displays 10 entries. The columns include Sr. No., Case No., Customer Id, Customer Name, Account No., Branch Details, Case Rating, System Owner, Assigned User, and Current_UserCo. At the top of the table are buttons for TSV, CSV, Print, and Excel, along with a search bar and a 'Reset Columns' button. Navigation links for 'Previous' and 'Next' are also present.

Figure 50: Compass Case Engine search result Page

The screenshot shows the 'Case Alert Mapping Details' page. It features a table titled 'Alert Details' with 1 entry. The columns are AlertNo, Case No, Alert Code, Alert Message, Account No, Customer Id, Customer Name, Transactions, and Alert C. The data row shows: 25052018041853467695, 1238505, OFL_IBA_HGH_VALUE_CSH_DEP, CASH_DEP_IND_DAILY_ALL, [redacted], Click To View Txns, 25/05. At the top of the table are buttons for TSV, CSV, Print, and Excel, along with a search bar and a 'Reset Columns' button. Navigation links for 'Previous' and 'Next' are also present.

Figure 51: Compass Case Alert Mapping details Page

Figure 52: Compass Case Alert Mapping Search Result Page

3.4. KYC MODULE

Under the **KYC Modules**, the users have access to the **Customer Master** module.

Figure 53: Compass KYC Module Page

3.4.1. CUSTOMER MASTER

The customer master Module will provide the complete detail of the customers. Users can search customer-wise after entering the customer Id/customer Name/Account No./Pan no./Email ID. The **Customer Master** module under the **KYC Modules** module provides data of all relevant customer information.

The user can view the data by filling in the given fields.

The screenshot shows the 'Customer Master' search interface. It includes fields for Customer ID, PanNo, Account No, SearchFieldType (set to ALL), Branch Details (set to ALL_BRANCH), Customer Name, Mobile No, Email Id, SearchFieldValue, Risk Rating, and a 'Search' button.

Figure 54: Compass Customer Master Page

On Click search, As the user clicks on search all the details of the customer are available on the single screen. There are many tabs for more information. Details related to reports filed for the customer are also mentioned.

The screenshot shows the 'Customer Master Result' page with a table header including columns for Sr. No., Customer Id, Customer Name, Constitution Type, Customer Category, Customer Type, Customer Created Date, Branch Details, and Customer.

Figure 55: Compass Customer Master Result Page

On Click search of Customer Id

The screenshot shows the 'Customer Details-Customer Information' page with a table header including Customer Information, Individual/Corporate Details, Communication Address, Related Account Details, Reported CTR/NTR Details, and Reported STR Details. The table body contains rows for Customer Id, Customer Name, Constitution Type, MIS segment code, CBS RiskRating, Nature Of Business, PEP Customer, Employer Code, and Annual Income - Corporate.

Figure 56: Compass Customer Details-Customer Information Page

Customer Details

Customer Information Individual/Corporate Details Communication Address Related Account Details Reported CTR/NTR Details Reported STR Details

Salutation	Mr.	First Name
Middle Name		Last Name
Date Of Birth		Place Of Birth
Age		Gender
Marital Status		Nationality
Fathers Name		Mother's Name
PanNo		Passport No
Place Of Issue		Driving License No
Voter Identity Card No		RegistrationNo

Figure 57: Compass Customer Details-Individual/Corporate Details Page

Customer Details

Customer Information Individual/Corporate Details Communication Address Related Account Details Reported CTR/NTR Details Reported STR Details

Comm_Address Line 1		Comm_Address Line 2
Comm_City		Comm_State
Comm_Pincode		Comm_Country
Comm_PhoneNo		Comm_FaxNo
Mobile No		Comm_Emailid
Phone Details		Comm_Emailid

Figure 58: Compass Customer Details-Communication Address Page

Customer Details

Customer Information Individual/Corporate Details Communication Address Related Account Details Reported CTR/NTR Details Reported STR Details

Show 10 entries	Search:	Reset Columns									
TSV	CSV	Print	Excel	Showing 1 to 1 of 1 entries							
Sr. No.	Joint AccountNo	Joint CustomerId	Joint HolderName	Joint HolderType	Relation Code	InEffective Date	Updated On	UPDATEDBY	Product C		
1											
4											

Figure 59: Compass Customer Details-Related Account details Page

Customer Details

Customer Id Search

Customer Information Individual/Corporate Details Communication Address Related Account Details **Reported CTR/NTR Details** Reported STR Details

No Reported CTR/NTR Details Record Found

Figure 60: Compass Customer Details-Reported CTR Details Page

Customer Details

Customer Id Search

Customer Information Individual/Corporate Details Communication Address Related Account Details Reported CTR/NTR Details **Reported STR Details**

No Reported STR Details Record Found

Figure 61: Compass Customer Details-Reported STR Details Page

Customer Type Details

Constitution Type Search

Customer Type Details			
Constitution Type	INDIVIDUAL (ORDINARY RESIDENT)	Description	INDIVIDUAL (ORDINARY RESIDENT)
Risk Rating	LOW	Customer Group Type	I

Figure 62: Compass Customer Type details Page

3.5. EXCEPTION LIST

3.5.1. LIST DETAILS

In the Exception list module, there is a submodule- List details, All the lists the bank has subscribed to will be shown in this module. Under the **Exception List** module, all lists which the bank has subscribed to such as Internal List, etc are provided.

The user can access the particular list by selecting the pertinent list option.

The user can also access STRs under the relevant exceptions list.

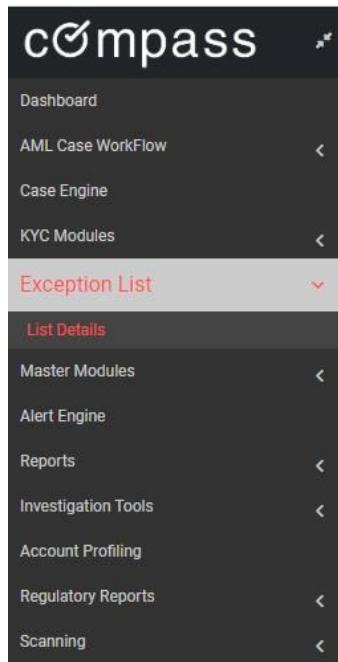


Figure 63: Compass Exception List-List details Page

List Code	List Name	List Description	List Type
OFACSDNLIST	OFAC SDN List	List published by OFAC(Office Of Foreign Asset Control), USA	BlackList
UNCONSOLIDATEDLIST	UNSanction List	List published by UNSanction, UK	BlackList

Figure 64: Compass Exception List-List Details Page

ON CLICK ON LIST CODE

As the user clicks on the List code, the module will give more list details.

The screenshot shows the Compass List Details-Result Page. It features two main sections: 'Exception List' and 'List Details'.
Exception List: This section displays a table of lists. The columns are 'List Code', 'List Name', 'List Description', and 'List Type'. The data includes:

- OFACSDNLIST**: OFAC SDN List, List published by OFAC(Office Of Foreign Asset Control), USA, BlackList
- UNCONSOLIDATEDLIST**: UNSanction List, List published by UNSanction, UK, BlackList

List Details: This section displays a table with columns 'LIST ID' and 'LIST NAME'. It shows 0 entries.

LIST ID	LIST NAME

Figure 65: Compass List Details-Result Page

3.6. ALERT ENGINE

An alert engine is a repository of all alerts. The user must enter a date range and click on search to get the data for that particular date range. With the help of the **Alert Engine** module, the users can search for any alert assigned to them or any other user by using the filter **Assigned User**. This can be accessed by selecting the data range or by filling in details in any of the given fields. There are multiple filters to search the required date.

The screenshot shows the Compass Alert Engine Page. It consists of two main sections: 'RFI Alerts' and 'Alert Search Result'.
RFI Alerts: This section contains various search filters:

- From Date: 15/04/2024
- To Date: 17/05/2024
- Account No: [Search]
- Customer Id: [Search]
- Branch Details: ALL_BRANCH
- Case Action: ALL
- Alert Priority: ALL
- Alert Code: ALL
- AlertNo: [Search]
- Case No: [Search]
- Assigned User: ALL

Alert Search Result: This section displays a table of search results. The columns are 'AlertNo', 'IsMigrated', 'Case No', 'PrimaryUserCode', 'Assigned User', 'CurrentUserCode', 'Case Action', 'Sub Action', and 'Last Action Date'. The table shows 10 of 11,334 entries.

Figure 66: Compass Alert Engine Page

The screenshot shows a web-based application window titled "Case Alert Mapping Details". At the top, there is a toolbar with buttons for "Alert Details" (selected), "Case Details", "Save", and "Clear". Below the toolbar is a search bar with fields for "Show" (set to 10), "entries", "Search", and "Reset Columns". There are also buttons for "TSV", "CSV", "Print", and "Excel". The main content area displays a table with four rows of alert data. The columns are labeled "AlertNo", "Case No", "Alert Code", "Alert Message", "Account No", and "Customer Id". The data rows are as follows:

AlertNo	Case No	Alert Code	Alert Message	Account No	Customer Id
29042024172238759244	1301505	OFL_IBA_HGH_VOLUME_CSH_TXN_INCONSIST_PROF...	HIGH_CASHACTIVITY_INCON_WITH_PROFILE_PENSIO...		
29042024172238754998	1301505	OFL_IBA_HGH_VOLUME_CSH_TXN_INCONSIST_PROF...	HIGH_CASHACTIVITY_INCON_WITH_PROFILE_STUDE...		
29042024172238757078	1301505	OFL_IBA_HGH_VOLUME_CSH_TXN_INCONSIST_PROF...	HIGH_CASHACTIVITY_INCON_WITH_PROFILE_LABOR...		
29042024172238756270	1301505	OFL_IBA_HGH_VOLUME_CSH_TXN_INCONSIST_PROF...	HIGH_CASHACTIVITY_INCON_WITH_PROFILE_HWF...		

Figure 66: Compass Alert Engine Result Page

The screenshot shows a web-based application window titled "Case Alert Mapping Details". At the top, there is a toolbar with buttons for "Alert Details" (selected), "Case Details", "Save", and "Clear". Below the toolbar is a search bar with fields for "Show" (set to 10), "entries", "Search", and "Reset Columns". The main content area displays a form with two large redacted sections. The left section contains fields for "AlertNo", "Alert Code", "Alert Name", "Alert Date", "Account No", "Customer Name", "Branch Details", "Amount", "Attachment Count", and "Alert Rating". The right section contains fields for "Case No", "Alert Message", "Description", "Alert Priority", "Customer Id", "Transaction No", "Branch Details", "Triggering Value", "Risk Rating", and "Txn from".

Figure 67: Compass Alert Engine-Alert details Page

The screenshot shows a web-based application window titled "Case Alert Mapping Details". At the top, there is a toolbar with buttons for "Alert Details" (selected), "Case Details", "Save", and "Clear". Below the toolbar is a search bar with fields for "Show" (set to 10), "entries", "Search", and "Reset Columns". The main content area displays a form with two large redacted sections. The left section contains fields for "Case No", "Case Action", "FIU ReferenceNo", "Customer Id", "User ID", "Assigned User", "AMLA ID", "MLRO ID", "AMLUser Comments", and "MLRO Comments". The right section contains fields for "Account No", "Sub Action", "FIU Reference Update Date", "Customer Name", "System Owner", "Current_UserCode", "AMLO ID", "User Comments", "AMLO Comments", and "User Action Date".

Figure 68: Compass Alert Engine-Case details Page

3.7. REPORTS

In the **Reports** Module, users can view all the reports assigned to them.

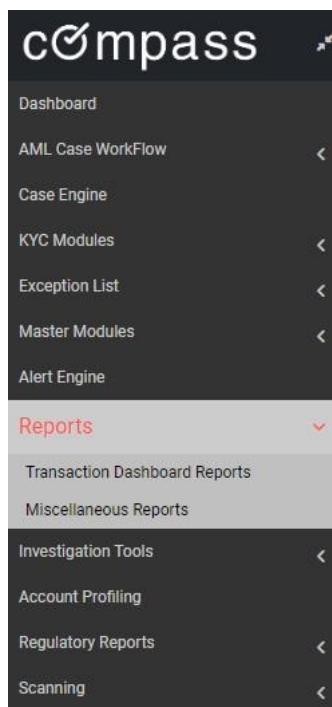


Figure 69: Compass Report-Main Menu Page

3.7.1. MISCELLANEOUS REPORTS

Under this module, the users can view any report and view the assigned report parameter list.

 A screenshot of the 'Miscellaneous Reports' page within the Compass application. The page has a blue header bar with tabs for 'Dash Board', 'Overview', 'Transaction Dashboard Reports', and 'Miscellaneous Reports'. Below the header is a search bar and a table. The table has two columns: 'Report No.' and 'Report Name'. The table shows 10 entries, each with a link to its description. The first few rows are: 1. Customer/Account Risk Rating Report, 2. Enabled/Disabled List Of Users, 3. Daily Generated Alerts Dump, 4. Customer Wise Assigned Cases Statistics, 5. Daily Assigned Cases Statistics, 6. Case Status Report, 7. Account Profiling Report, 8. List Matched While Scanning, 9. Customer Info Report, and 10. Customer Complete Info Report.

Report No.	Report Name
1	Customer/Account Risk Rating Report
2	Enabled/Disabled List Of Users
3	Daily Generated Alerts Dump
4	Customer Wise Assigned Cases Statistics
5	Daily Assigned Cases Statistics
6	Case Status Report
7	Account Profiling Report
8	List Matched While Scanning
9	Customer Info Report
10	Customer Complete Info Report

Figure 70: Compass Miscellaneous Report Page

3.7.2. TRANSACTION DASHBOARD

Transaction Dashboard Module under the **Investigation Tools** Module gives data on all transactions. Users can view the transaction details by selecting the data range and by filling the given fields. All the transactions made by the customers will be shown here.

Report No	Report Name
1	Transaction Of Accounts Where No Pan Is Submitted
2	Transactions Of Customers Listed In WatchList Report
3	Transactions In Accounts Marked As High Risk
4	Transactions Involved With High and Extreme Risk Rated Countries
5	Frequent And High Transactions In Accts.
6	Accounts Periodic Transaction Report
7	Hgh. Cash Deposits In Accts Having No PANNO
8	Transactions In Inactive/Closed Accounts
9	TransactionsType Wise High And Frequent Transaction In Accounts
10	Total Cash Transactions Daily In Accounts

Figure 71: Compass Transaction Dashboard Report Page

3.8. MASTER MODULE

Under the **Master Modules**, the users can view a multitude of master modules.

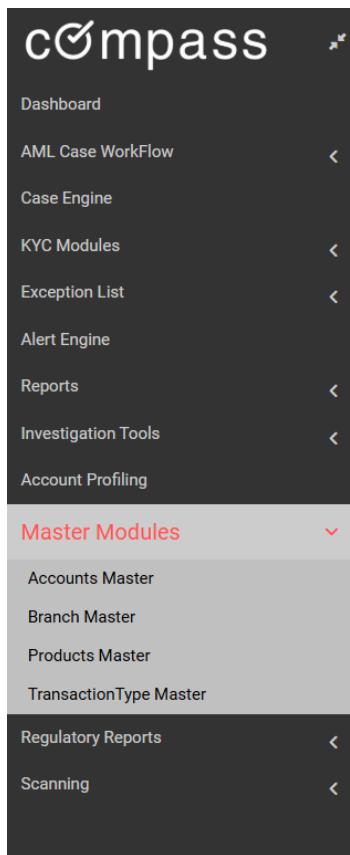


Figure 72: Compass Master Module Main page

3.8.1. ACCOUNT MASTER

The Accounts Master under the Master Module gives data of all account information.

Account Search results can be viewed by filling the fields in the Account Master module.

The users can further search for any information relating to a particular account by clicking on Account No., Customer ID, Product Code, or Branch Details.

Figure 73: Compass Accounts Master Page

The screenshot shows the 'Accounts Master' section of the Compass interface. At the top, there are navigation links for 'Dash Board', 'Overview', and 'Accounts Master'. Below this is a search bar with a dropdown for 'entries'. The main area displays a table with columns: Sr. No., Account No., Customer Id, Customer Name, Product Code, ProductCode_Description, Account Type, Branch Details, and AccountOpenedDate. There are also buttons for 'TSV', 'CSV', 'Print', and 'Excel' at the bottom of the table.

Figure 74: Compass Accounts Master Result Page

This screenshot shows the 'Account Details' page for a specific account. It features a header with tabs for 'Account Details', 'Search', and 'View Transactions'. Below the header is a navigation bar with links for 'Accounts Information', 'AccountStatus ChangeLog', 'Related Customer Details', 'RiskRating Details', 'RiskRating Change Log Details', 'Reported CTR/NTR Details', and 'Reported STR Details'. The main content area contains two large tables side-by-side. The left table lists account details like Account No., Customer Id, Product Code, etc. The right table lists branch and customer details like Customer Name, Account Type, etc. Both tables have several rows of data.

Figure 75: Compass Account information Result Page

This screenshot shows the 'Related Customer Details' page. It has a header with tabs for 'Account Details', 'Search', and 'View Transactions'. Below the header is a search bar with a dropdown for 'entries'. The main area features a table with columns: Sr. No., Joint AccountNo., Joint CustomerId, Joint HolderName, Joint HolderType, Relation Code, InEffective Date, Updated On, UPDATEDBY, and Pro. The table shows one entry with the value '1' in the first column.

Figure 76: Compass Related Customer details Page

3.8.2. BRANCH MASTER

The **Branch Master** under the **Master Module** gives the users access to all information relating to the branches under the bank.

Branch Search results can be viewed by filling the fields in the Branch Master module.

The screenshot shows the 'Branch Master' section of the Compass AML interface. At the top, there are navigation tabs: 'Dash Board', 'Overview' (which is selected), and 'Branch Master'. Below this is a search bar with dropdowns for 'Show' (set to 10) and 'Search'. There are buttons for 'TSV', 'CSV', 'Print', and 'Excel'. The main area displays a table with columns: Sr. No., Branch Details, Bank Code, Branch Manager Name, Branch Email, Branch Fax, Branch Telephone, and Branch Pin Code. The table shows 1 to 10 of 1,748 entries.

Figure 77: Compass Branch Master result Page

This screenshot shows the 'Branch Details' page. The title bar says 'Branch Details'. Below it is a search bar with a placeholder 'Branch Details' and a 'Search' button. The main area has two tabs: 'Branch Information' (selected) and 'Branch Address Details'. Under 'Branch Information', there are fields for 'Branch Details' (with a redacted box), 'Bank Code' (redacted), 'BSR Code' (redacted), 'UID Issued By FIU' (redacted), and 'Branch Manager Name' (redacted). A 'Search' button is located at the bottom right of the form.

Figure 78: Compass Branch Master-Branch details Page

3.8.3. PRODUCT MASTER

The **Products Master** under the **Master Module** gives data relating to the Products of the bank. Product Search Results can be accessed by filling the fields in the Products Master module.

The screenshot shows the 'Products Master' section of the Compass AML interface. At the top, there are navigation tabs: 'Dash Board', 'Overview' (selected), and 'Products Master'. Below this is a search bar with dropdowns for 'Product Code' (set to 'ALL') and 'Product Description'. There are buttons for 'Search' and 'Clear'. The main area displays a table with columns: Sr. No., Product Code, Product Name, Description, Product Group Code, IsExcluded, and Status. The table shows 1 to 10 of 5,783 entries.

Figure 79: Compass Products Master Page

Figure 80: Compass Products Master Result Page

Figure 81: Compass Product Details Page

3.8.4. TRANSACTIONTYPE MASTER

Under the **Transaction Type Master**, users can view data relating to all TransactionType under the bank.

TransactionType Master Results can be viewed by filling the fields in the TransactionType Master module.

Figure 82: Compass Transaction Type Master Page

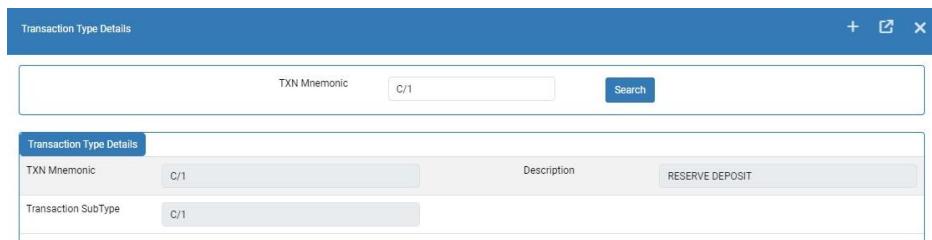


Figure 83: Compass Transaction Type Master Page

3.9. REGULATORY REPORTS

In the **Regulatory Reports** Module, users can view various reports required to be filed by the bank to the regulator.

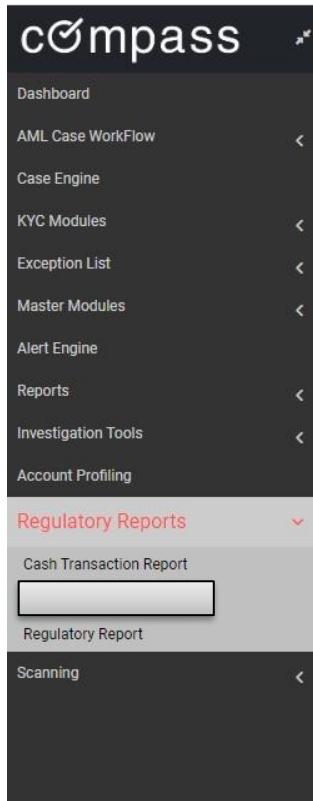


Figure 84: Compass Regulatory Reports Main menu Page

3.9.1. CASH TRANSACTION REPORT

Under the **Cash Transaction Report** module, a list of the cash transactions reports generated can be viewed, by selecting the month of reporting and year of reporting.

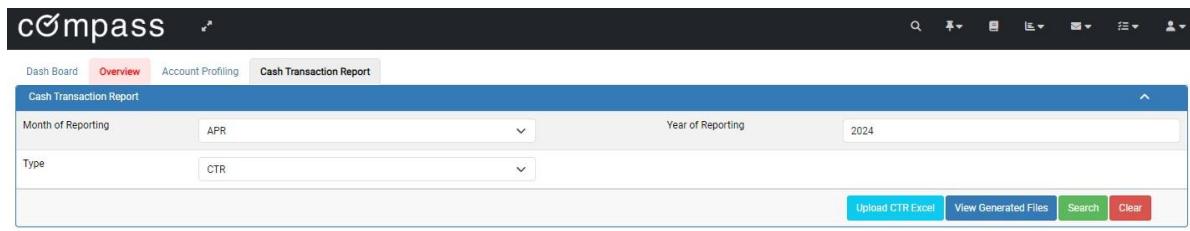


Figure 85: Compass Cash Transaction Report Page

Figure 86: Compass Cash Transaction Report Page

Figure 87: Compass Regulatory Report Data Upload Page

3.9.2. REGULATORY REPORT

Generate Regulatory Data/XML Report

Reporting Month: April Reporting Year: 2024

Report Type: CTR File Name:

Batch Type: N - New Report Original Batch ID:

Reason of Revision:

Record Count in a XML: 1000

Buttons: Generate Report Data, Download Excel, Generate XML/CSV

Figure 88: Compass Regulatory Report Page

comamlapp.mahindrafs.com:8443 says
Data for CTR has been generated.

OK

Generate Regulatory Data/XML Report

Reporting Month: March Reporting Year: 2024

Report Type: CTR File Name:

Batch Type: N - New Report Original Batch ID:

Reason of Revision:

Record Count in a XML: 1000

Buttons: Generate Report Data, Download Excel, Generate XML/CSV

Figure 89: Compass Generate Regulatory Data, XML Report Page

3.10. REAL-TIME SCANNING

Under the **Scanning** module, users can access the **Real-Time Scanning** module and the **Approved Template Screening** module.

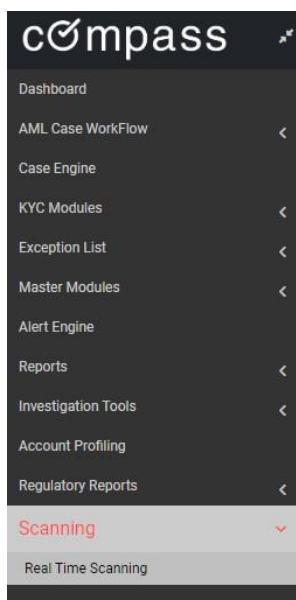


Figure 90: Compass Scanning-Real Time Scanning Page

The screenshot shows the 'Bulk Screening' section of the Compass Real Time Scanning Result Page. It includes fields for 'Select File' (Choose File: No file chosen), 'Import Type' (Select One), 'Template Id' (Select One), 'File Delimiter' (Select One), and buttons for 'Import' and 'View Match'. Below this is the 'DataEntry Form' section with fields for Name 1 (osama bin laden), Name 2, Name 3, Name 4, Name 5, Date of Birth, Passport No, National Id Value, Account No, Customer Id, Address, Image File Path, and Image Scan Threshold. A 'Scan' button is located at the bottom right of this section.

Figure 91: Compass Real Time Scanning Result Page

The screenshot shows the 'Real Time Scanning' page. It features a 'Real Time Scanning Search' section with fields for NAME/NIC 1 (osama bin laden), NAME/NIC 2, NAME/NIC 3, NAME/NIC 4, NAME/NIC 5, DATEOFBIRTH, PASSPORTNO, NIC No, and ACCOUNTNO, CUSTOMERID. Below this is the 'Real Time Scanning Result' section, which displays a table with the following data:

Dated On : Fri May 17 11:08:34 IST 2024		UserCode : AMLUser	PageNo: 1/1 True Match False Match	
SourceInfo : osama bin laden				
<input type="checkbox"/> ListName	ListId	MatchScore	MatchedValue	MatchDate
<input type="checkbox"/> OFACSDNLIST	6365	97	Usame BIN LADEN	17 MAY 2024 11:08

At the bottom are buttons for 'TRUE MATCH', 'FALSE MATCH', 'Attach Evidence', and 'Refresh'.

Figure 92: Compass Real Time Scanning Page

4. AMLO

4.1. AML CASE WORKFLOW

The **AML Case Workflow** module allows users to access various modules like Pending Cases, Actioned Cases by Self, Approved Cases by MLRO, Case Reassignment, Bonafide Okay Cases by AMLUser, and Raise Suspicion, which would help in the efficiency of the AML Case Workflow.



Figure 93: Compass AMLO Main Menu Page

4.1.1. ACTIONED CASES BY SELF

All the cases ACTIONED by SELF is shown in this tray. The **Actioned Cases by SELF** module under the **AML Case Workflow** module provides data of all the Pending Cases approved by the SELF.

The user can access Pending Cases by selecting the data range or by selecting from the given fields.

Figure 94: Compass Actioned Cases by Self Page

4.1.2. BONAFIDE OKAY CASES BY AMLUSER

The **Bonafide Okay Cases by AMLUser** module under the **AML Case Workflow** module allows the users to show Cases which were closed as desktop closed by the AMLUser. The user can access Case Results by selecting the data range or by selecting from the given fields. Moreover, the user can also view any particular cases by clicking on the pertinent option from either Case No., Customer ID, Account No. and Branch Details.

Figure 95: Compass Bonafide Okay Cases by AMLUser Page

On Click search Result

The screenshot shows the 'Bonafide Okay Cases By AMLUser' search results. The search criteria include:

- From Date: 01/04/2024
- To Date: (empty)
- Alert Code: ALL
- Branch Details: ALL_BRANCH
- Account No.: (empty)
- Customer Id: (empty)
- Related Cases: ALL
- Case Rating: ALL
- From CaseNo: (empty)
- To CaseNo: (empty)
- AML ID: ALL
- Case Sub-Action: ALL
- Case Action: Bonafide Ok By AMLUser

The results table shows 0 to 0 of 0 entries. There are buttons for Action, View Comment, and View Evidence.

Figure 96: Compass Bonafide Okay Cases By AMLUser Search Result Page

4.1.3. AMLUSER ROUND ROBIN CASE MAPPING

The screenshot shows the 'AMLUser Round Robin Case Mapping' page. The table has columns for User Code, Count, and Status. The data is as follows:

User Code	Count	Status
(empty)	0	(empty)

Buttons include Save Assignment and Previous/Next.

Figure 97: Compass Round Robin Case Mapping Page

4.1.4. APPROVED CASES BY MLRO

All the cases approved by MLRO is shown in this tray. The **Approved Cases by MLRO** module under the **AML Case Workflow** module provides data of all the Pending Cases approved by the MLRO. The user can access Pending Cases by selecting the data range or by selecting from the given fields.

The screenshot shows the 'Pending Cases' section with various filters:

- From Date: 01/04/2024
- To Date: 17/05/2024
- Alert Code: ALL
- Branch Details: ALL_BRANCH
- Account No: (Search field)
- Customer Id: (Search field)
- Related Cases: ALL
- Case Rating: ALL
- From CaseNo: (Search field)
- To CaseNo: (Search field)

Below the filters is a 'Pending Cases Result' table:

Sr. No.	Case No	Customer Id	Customer Name	Account No	Branch Details	Case Rating	System Owner	Assigned User	Current_UserCode	Manual Case	Case Date
1	1299200									No	29/04/2024

Action buttons at the bottom include: Close With STR, Close Without STR, View Comment, View STR, Attach Evidence, and To Business.

Figure 98: Compass Approved Cases By MLRO Page

4.1.5. BONAFIED OKAY CASES BY AMLUSER

The User will allow to see the Bonafide Okay Cases By AMLUser.

The screenshot shows the 'Search Cases' section with various filters:

- From Date
- To Date
- Alert Code: ALL
- Branch Details: ALL- ALLAHABAD - LUCKNOW
- Account No: (Search field)
- Customer Id: (Search field)
- Related Cases: ALL
- Case Rating: ALL
- From CaseNo: (Search field)
- To CaseNo: (Search field)
- AMLA ID: ALL
- Case Sub-Action: ALL
- Case Action: Bonafide Ok By User

Below the filters is a 'Cases result' table:

Sr. No.	Case No	Case Date	Customer Id	Customer Name	Account No	Branch Details	Case Rating	Manual Case	Primary_UserCode	Assigned User	Case Action
No data available in table											

Action buttons at the bottom include: Action, View Comment, View Evidence, Reset Columns, Previous, and Next.

Figure 99: Compass Bonafide Okay Cases By User Page

5. MLRO

5.1. AML WORKFLOW

5.1.1. PENDING CASES

This screenshot shows the 'Pending Cases' search interface in the Compass AML system. It features a search form with various filters. The 'From Date' is set to 20/01/2025 and 'To Date' to 27/01/2025. The 'Alert Code' dropdown is set to 'ALL'. Under 'Branch Details', 'ALL_BRANCH' is selected. There are search fields for 'Account No', 'Customer Id', and 'Case Rating', both set to 'ALL'. The 'Related Cases' dropdown is also set to 'ALL'. At the bottom, there are 'Search' and 'Clear' buttons.

Figure 100: MLRO Pending cases

This screenshot shows the search results for pending cases. The results table is currently empty, displaying 'Showing 0 to 0 of 0 entries'. The table header includes columns for 'Action', 'View Comment', and 'Attach Evidence', followed by various case-related fields like 'Sr. No.', 'Case No.', and 'Customer Id'. At the top left, there are buttons for 'TSV', 'CSV', 'Print', and 'Excel'. At the top right, there are 'Search' and 'Reset' buttons.

Figure 101: MLRO Pending cases search results

5.1.2. ACTIONED CASES BY SELF

All the cases ACTIONED by SELF are shown in this tray. The **Actioned Cases by SELF** module under the **AML Case Workflow** module provides data of all the Pending Cases approved by the SELF. The user can access Pending Cases by selecting the data range or by selecting from the given fields.

Figure 102: Compass Actioned Cases by Self Page

5.2. IBA PENDING ALERTS

Alerts are generated on daily basis depending upon the rules and scenarios and parameters that are set. IBA Alerts is a rules library where an alert will be raised for any breach in scenarios. This module will give all the scenarios which are pending for approval for the parameter update, the MLRO can approve the scenario parameters here.

Figure 103: Compass IBA Pending Alerts Page

6. ADMIN

6.1. DASHBOARD

The Admin User has access to view details of logged-in users, server information, and server utilization within this module.

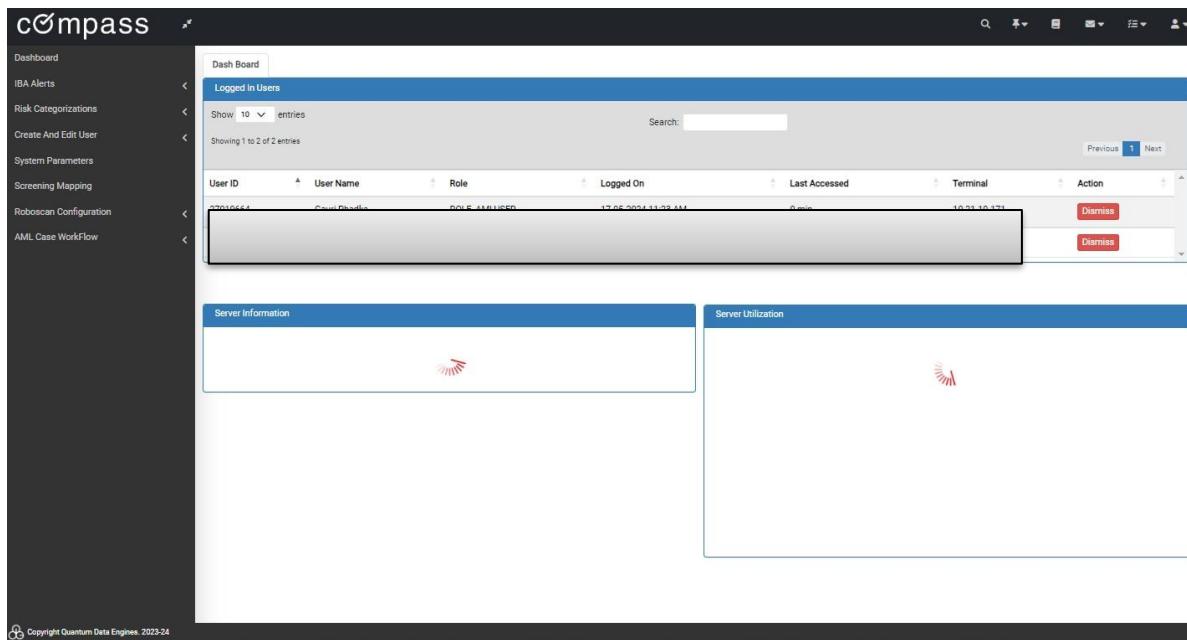


Figure 104: Compass Admin Dashboard

6.2. ADMIN MAIN MENU OPTION

In the Main Menu Option, the user will find the list of modules available to access.

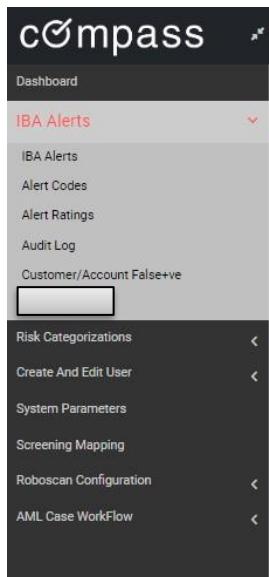


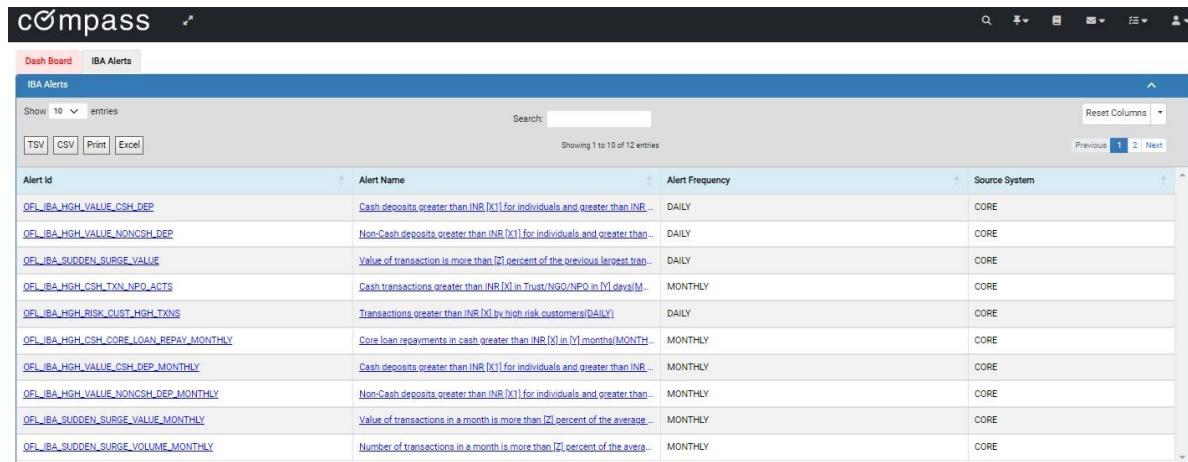
Figure 105: Compass Admin Main Menu Option

6.3. IBA ALERTS

6.3.1. IBA ALERTS

Alerts are generated on daily basis depending upon the rules and scenarios and parameters that are set. IBA Alerts is a rules library where an alert will be raised for any breach in scenarios. This module will give all the

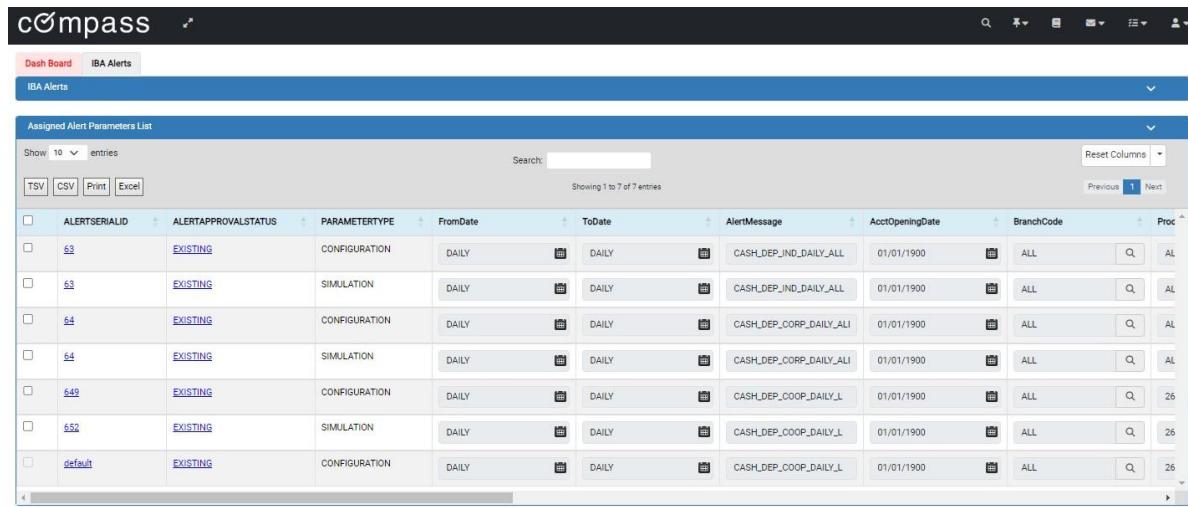
scenarios which are pending for approval for the parameter update, the MLRO can approve the scenario parameters here.



Alert Id	Alert Name	Alert Frequency	Source System
OFL_IBA_HGH_VALUE_CSH_DEP	Cash deposits greater than INR [X] for individuals and greater than INR ..	DAILY	CORE
OFL_IBA_HGH_VALUE_NONCSH_DEP	Non-Cash deposits greater than INR [X] for individuals and greater than ..	DAILY	CORE
OFL_IBA_SUDDEN_SURGE_VALUE	Value of transaction is more than [Z] percent of the previous largest tran ..	DAILY	CORE
OFL_IBA_HGH_CSH_TXNS_NPO_ACTS	Cash transactions greater than INR [X] in Trust/NGO/NPO in [Y] days/M ..	MONTHLY	CORE
OFL_IBA_HGH_RISK_CUST_HGH_TXNS	Transactions greater than INR [X] by high risk customer(DAILY)	DAILY	CORE
OFL_IBA_HGH_CSH_CORE_LOAN_REPAY_MONTHLY	Core loan repayments in cash greater than INR [Y] in [Y] months/MONTH	MONTHLY	CORE
OFL_IBA_HGH_VALUE_CSH_DEP_MONTHLY	Cash deposits greater than INR [X] for individuals and greater than INR ..	MONTHLY	CORE
OFL_IBA_HGH_VALUE_NONCSH_DEP_MONTHLY	Non-Cash deposits greater than INR [X] for individuals and greater than ..	MONTHLY	CORE
OFL_IBA_SUDDEN_SURGE_VALUE_MONTHLY	Value of transactions in a month is more than [Z] percent of the average ..	MONTHLY	CORE
OFL_IBA_SUDDEN_SURGE_VOLUME_MONTHLY	Number of transactions in a month is more than [Z] percent of the avera ..	MONTHLY	CORE

Figure 106: Compass Admin IBA Alerts

On Click on Sample Alert Id will find the Assigned Alert Parameter list



ALERTSERIALID	ALERTAPPROVALSTATUS	PARAMETERTYPE	FromDate	ToDate	AlertMessage	AcctOpeningDate	BranchCode	Proc
63	EXISTING	CONFIGURATION	DAILY	DAILY	CASH_DEP_IND_DAILY_ALL	01/01/1900	ALL	AL
63	EXISTING	SIMULATION	DAILY	DAILY	CASH_DEP_IND_DAILY_ALL	01/01/1900	ALL	AL
64	EXISTING	CONFIGURATION	DAILY	DAILY	CASH_DEP_CORP_DAILY_ALI	01/01/1900	ALL	AL
64	EXISTING	SIMULATION	DAILY	DAILY	CASH_DEP_CORP_DAILY_ALI	01/01/1900	ALL	AL
649	EXISTING	CONFIGURATION	DAILY	DAILY	CASH_DEP_COOP_DAILY_L	01/01/1900	ALL	26
652	EXISTING	SIMULATION	DAILY	DAILY	CASH_DEP_COOP_DAILY_L	01/01/1900	ALL	26
default	EXISTING	CONFIGURATION	DAILY	DAILY	CASH_DEP_COOP_DAILY_L	01/01/1900	ALL	26

Figure 107: Compass IBA Search list

When the user clicks on the alert serial ID, they will be able to access alert parameters along with options such as generating, posting for configuration and simulation, and deleting parameters specific to the alert.

Cash deposits greater than INR [X1] for individuals and greater than INR [X2] for non individuals in a day(DAILY)

FromDate	DAILY	From Date	To Date	DAILY
AlertMessage	CASH_DEP_IND_DAILY_ALL	AcctOpeningDate	01/01/1900	To Date
BranchCode	ALL	ProductCode	ALL	Search
ExcludeProduct	ALL	DebitCredit	CREDIT	Search
TxnType	CASH	ThresholdValue	100000	
CustomerType	ALL	AcctountType	ALL	Search
CustomerOccupation	ALL	NatureOfBusiness	ALL	Search
CustomerRisk	ALL	ConstitutionType	INDIVIDUAL	Search
AlertSerialId	63			

Post • Generate Delete

Figure 108: Compass Admin IBA alert parameters

Cash deposits greater than INR [X1] for individuals and greater than INR [X2] for non individuals in a day(DAILY)

FromDate	DAILY	From Date	To Date	DAILY
AlertMessage	CASH_DEP_IND_DAILY_ALL	AcctOpeningDate	01/01/1900	To Date
BranchCode	ALL	ProductCode	ALL	Search
ExcludeProduct	ALL	DebitCredit	CREDIT	Search
TxnType	CASH	ThresholdValue	100000	
CustomerType	ALL	AcctountType	ALL	Search
CustomerOccupation	ALL	NatureOfBusiness	ALL	Search
CustomerRisk	ALL	ConstitutionType	INDIVIDUAL	Search
AlertSerialId	63			

For Configuration For Simulation Generate Delete

Figure 109: Compass Admin IBA alert parameters for simulation and configuration

6.3.2. ALERT CODES

There are Alert codes given to every alert. Every Alert code is unique.

Alerts Editor

Alert Type	ALL	Alert Code	Non-Cash withdrawls activity greater than [X1] for individuals and greater than [X2] for non individuals in a day(DAILY)
<input type="button" value="Search"/> <input type="button" value="Create Subjective Alert"/> <input type="button" value="Clear"/>			

Alert Details

Alert Code	OFL_IBA_HGH_VOLUME_NONCASH_WDL	Alert Name	Non-Cash withdrawls activity greater than [X1] for individuals and greater than [X2]
Description	Non-Cash withdrawls activity greater than [X1] for individuals and greater than [X2]	Alert Message	Non-Cash withdrawls activity greater than [X1] for individuals and greater than [X2]
Alert Priority	6	Alert Enabled	Yes

Update

Figure 110: Compass Admin - Alert Code

On Click Search

Figure 111: Compass Admin Alert Code Search

On Click Create Subjective Alert

Figure 112: Compass Admin Alert Code Create Subjective Alert

6.3.3. ALERT RATING

A rating is given to every alert code depending upon its nature. The rating can be Low, Medium, or High and can be set accordingly.

Figure 113: Compass Admin Alert Rating

On Click Search

Alert Code	Alert Message	Alert Rating	Updated By	Updated On
OFL_BA_HGH_CSH_TXN_NPO_ACTS	HV_CASHTXN_NPO_MONTH	LOW	SYSTEM	N.A.
OFL_BA_HGH_RISK_CUST_HGH_TXNS	HV_TXN_HIGHRISK_CORP_DAILY	LOW	SYSTEM	N.A.
OFL_BA_HGH_RISK_CUST_HGH_TXNS	HV_TXN_HIGHRISK_IND_DAILY	LOW	SYSTEM	N.A.
OFL_BA_HGH_VALUE_CSH_DEP	CASH_DEP_CORP_DAILY_ALL	LOW	SYSTEM	N.A.
OFL_BA_HGH_VALUE_CSH_DEP	CASH_DEP_IND_DAILY_ALL	LOW	SYSTEM	N.A.
OFL_BA_HGH_VALUE_CSH_DEP_MONTHLY	CASH_DEP_CORP_MONTH_ALL	LOW	SYSTEM	N.A.
OFL_BA_HGH_VALUE_CSH_DEP_MONTHLY	CASH_DEP_IND_MONTH_ALL	LOW	SYSTEM	N.A.
OFL_BA_HGH_VALUE_NONCSH_DEP	NCASH_DEP_CORP_DAILY_ALLL	LOW	SYSTEM	N.A.
OFL_BA_HGH_VALUE_NONCSH_DEP	NCASH_DEP_IND_DAILY_ALLL	LOW	SYSTEM	N.A.

Figure 114: Compass Admin Alert Rating Search

6.3.4. AUDIT LOG

An audit log maintains and keeps a record of all user instances and actions. Audit logs can be exported in different formats.

User ID	Module Name	Log Message	Log DateTime	Terminal Name	Log Type
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:23. 0	10.221.16.124	OPEN
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:23. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:21. 0	10.221.16.124	OPEN
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:21. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:20. 0	10.221.16.124	OPEN
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:20. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:18. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:18. 0	10.221.16.124	OPEN
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:17. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:17. 0	10.221.16.124	OPEN

Figure 115: Compass Admin Audit log

On Click Search

User ID	Module Name	Log Message	Log DateTime	Terminal Name	Log Type
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:23. 0	10.221.16.124	OPEN
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:23. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:21. 0	10.221.16.124	OPEN
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:21. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:20. 0	10.221.16.124	OPEN
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:20. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:18. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:18. 0	10.221.16.124	OPEN
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:17. 0	10.221.16.124	READ
ADMIN	ADMIN	Module Accessed	2024-4-3 20:6:17. 0	10.221.16.124	OPEN

Figure 116: Compass Admin Audit log Search

6.3.5. CUSTOMER ACCOUNT FALSE +VE

Under this module, the user will view all the customer list data of pending customer/account false positives by selecting and filling the required fields. This is the pending bucket for false +ve customers. MLRO can approve the customers added to whitelist here.

The screenshot shows the 'Customer/Account False+ve' search interface. It includes search filters for Customer Id, Alert Code, Active From, Is Enabled, Account No, Alert Message, Active To, Tolerance Level, and Reason. Below the filters is a table titled 'False Positives' showing 0 entries. Buttons at the bottom include Add, Search, Upload False Positive, and Clear.

Figure 117: Compass Admin -Customer Account False+ve

On Click Search

The screenshot shows the 'Customer/Account False+ve' search interface after an 'On Click Search'. The search results table now displays 0 entries. The interface includes search filters for Alert Code, Active From, Is Enabled, Alert Message, Active To, Tolerance Level, and Reason. Buttons at the bottom include Add, Search, Upload False Positive, and Clear.

Figure 118: Compass Admin -Customer Account False+ve Search

On click Upload False Positive

View/Attach File Evidence

Upload File

Allowed File Size : 3 MB
Allowed File Type : CSV
Block File Type : ALL
Maximum File Select Count : 3
Upload Enable : Yes

Select Files No file chosen

Or

Drop Files

Selected Files	File Name	File Size	File Type	Progress	Action / Status

Figure 119: Compass Admin -Customer Account False+ve Upload

6.4. CREATE AND EDIT USER

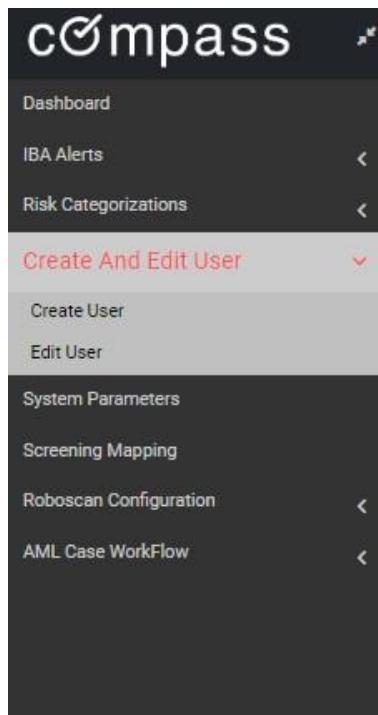


Figure 120: Compass Admin -AML Case Workflow Main Menu

6.4.1. CREATEUSER

User Alert Mapping is used to Map a particular Alert code to user level and a user.

The screenshot shows the 'Create User' form in the Compass Admin interface. It includes fields for User Code, First Name, Last Name, Employee Code, Email ID, Department Code (set to ALL - ALL), Branch Code (set to ALL - ALL- ALLAHABAD - LUCKNOW), and search buttons.

Figure 121: Compass Admin -Create User

6.4.2. EDIT USER

Cases that are generated will be assign to the Users through Round Robin method mapping.

The screenshot shows the 'Edit User' form in the Compass Admin interface. It includes fields for User Code (dropdown) and Employee Code (dropdown), and a search button.

Figure 122: Compass Edit User Page

The screenshot shows the 'System Login Log Result' table in the Compass Admin interface. It lists 84 entries of user logins, including details like User ID, User Role, Login Status, Login Status Message, Login Date/Time, Logout Date/Time, Session Id, and Termination Reason.

User ID	User Role	Login Status	Login Status Message	Login Date/Time	Logout Date/Time	Session Id	Termination Reason
ADMIN	ROLE_ADMIN	Y	Successful login	2024-4-3 19:55:55. 471104000	2024-4-3 20:21:59. 118992000	epWVRQ555-PytqYV0ajm5E9c43Wh1WMNZgIRBjmn	10
AMLO	ROLE_AMLO	Y	Successful login	2024-4-3 19:16:31. 811370000	2024-4-3 19:54:35. 264859000	8TJclrix6-Whiah1UUW2CwYj75p8wMprtLkd775	10
AMLUSER	ROLE_AMLUSER	Y	Successful login	2024-4-3 19:15:37. 60857000		KLXv7JWSYFWta8Ur7sMJGm9JBRX3KLk1Lspv_n	10
AMLO	ROLE_AMLO	Y	Successful login	2024-4-3 19:13:24. 971353000		o6VkBQ3G1WVXMDQvn7Rq_VH4FjnNhCGoCsAnVkb	10
TESTAMLUSER1	ROLE_AMLUSER	Y	Successful login	2024-4-3 18:23:54. 532965000	2024-4-3 18:42:14. 379012000	1XBQjTkzYN3Z-3N4qeyBLSh8nLunbfH13F8-dovD	10
TESTAMLUSER	NA	N	Login Failure	2024-4-3 18:23:44. 89389000			10
TESTAMLUSER	NA	N	Login Failure	2024-4-3 18:23:34. 202525000			10
AMLUSER	ROLE_AMLUSER	Y	Successful login	2024-4-3 17:46:18. 482098000	2024-4-3 19:12:22. 788854000	u4eNmYTLUUhJuakZUJ9m_uFcjQvuR2cA_F64M	10
AMLUSER	ROLE_AMLUSER	Y	Successful login	2024-4-3 17:17:26. 639684000	2024-4-3 17:44:10. 754513000	jHkZbAOzrXLazMMnvQly2BvMo_Z9y9KCXVG19rb	10
ADMIN	ROLE_ADMIN	Y	Successful login	2024-4-3 16:8:4. 247864000	2024-4-3 17:16:10. 750644000	khy8Jdk5Ms_yAU2tDSO/2OSvBf-e9CwAB8WA_VD	10

Figure 123: Compass Admin -System Login Log search list

6.5. SYSTEM PARAMETERS

The user will allow to see the details of system parameters.

This screenshot shows the 'System Parameters' section of the Compass AML interface. It contains a grid of configuration items:

Setting	Value	Setting	Value
Session Timeout (second)	360	Password Patterns	<input checked="" type="checkbox"/> Capital Letter <input checked="" type="checkbox"/> Small Letter <input checked="" type="checkbox"/> Numeric Letter <input checked="" type="checkbox"/> Special Character
Password Length(min,max)	6,20	Password Expiry Period	30
Dormancy Period 1	60	Dormancy Period 2	2
Lock Out Attempt	3		
Alert Resolution Days	5	Case Resolution Days	5
CTR File Path	/Report_Temp/comamldb/AML/compass/fufiles/CTR	CTR Last No	50
CCR File Path	/comamldb1/AML/compass/fufiles	CCR Last No	642
STR File Path	/Report_Temp/comamldb/AML/compass/fufiles/STR	STR Last No	1
NTR File Path	/Report_Temp/comamldb/AML/compass/fufiles/NTR	NTR Last No	278
CBWT File Path	/comamldb1/AML/compass/fufiles	CBWT Last No	303
Email AutoRefresh	<input checked="" type="radio"/> Yes <input type="radio"/> No	Lookup Days	1
Inbox folder refresh	<input checked="" type="radio"/> Yes <input type="radio"/> No	Inbox folder name	INBOX
Sent folder refresh	<input checked="" type="radio"/> Yes <input type="radio"/> No	Sent folder name	Sent
Case search string	AML_Case_No:	Subjects to ignore as response	Undeliverable,AutoReply

Figure 124: Compass System Parameters Page

6.6. SCREENING MAPPING

This screenshot shows the 'Screening Mapping' section of the Compass AML interface. It includes three main tabs:

- List Mapping:** Shows a mapping between 'Source List Name' (OnlineScanning) and 'Destination List Name' (OnlineScanning). It also specifies 'Screening For' (On-Screen) and has a 'Search' button.
- Update Search Level:** A table for mapping 'Source List' (OnlineScanning) to 'Destination List' (OnlineScanning) with a 'Mapping Level' (Loose) and buttons for 'Update' and 'Delete'.
- Update Field Mapping:** A table for mapping 'Source Field' (NAME1) to 'Destination Field' (NAME4, NAME5, NAME3, NAME1) across multiple entries. It includes filtering options (Show 10 entries, TSV, CSV, Print, Excel), a search bar, and navigation buttons (Previous, Next).

Figure 125: Compass Screening Mapping Page

6.7. ROBOSCAN CONFIGURATION

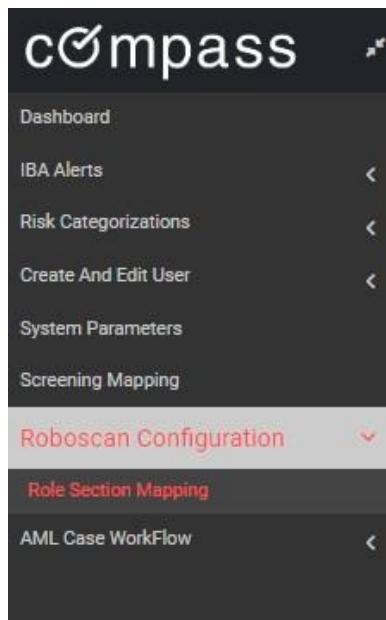


Figure 126: Compass Robo Configuration-Role selection Mapping Page

6.7.1. ROLE SECTION MAPPING

Role Id	ADMIN
	<input type="button" value="Search"/>

Map Sections for ADMIN

- 1 - SECTION1 (Alert Details)
- 2 - SECTION2 (Customer Details (KYC))
- 3 - SECTION3 (Real-Time Screening)
- 4 - SECTION4 (Transaction Details)
- 5 - SECTION5 (Account Profile (Past 6 months))
- 6 - SECTION6 (Links)
- 7 - SECTION7 (Past History)
- 8 - SECTION8 (Related Parties)
- 9 - SECTION9 (Ringside View)
- 10 - SECTION10 (Customer Case History)
- 11 - SECTION11 (User Comments and Notes Start)
- 12 - SECTION12 (Action Items Start)

Figure 127: Compass Role Selection Mapping Page

6.8. AML CASE WORKFLOW

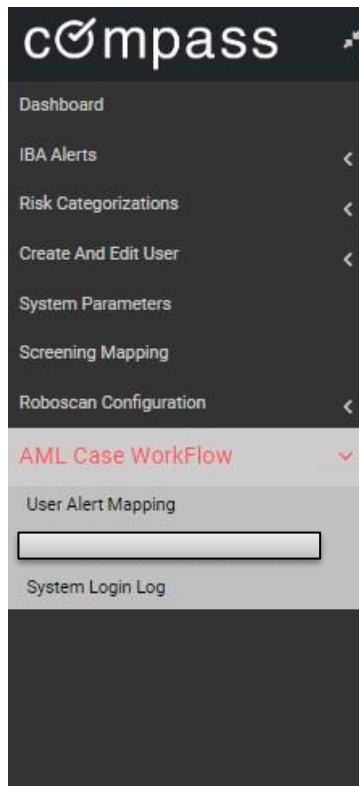


Figure 128: Compass AML Case Workflow Page

6.8.1. USER ALERT MAPPING

Is Selected	User ID	User Level	Mapped FieldType	Mapped FieldValue	UPDATEDBY	UPDATETIMESTAMP
<input type="checkbox"/>		AMLUSER		1000		
<input type="checkbox"/>		AMLUSER		245		
<input type="checkbox"/>		AMLUSER		246		
<input type="checkbox"/>		AMLUSER		261		
<input type="checkbox"/>		AMLUSER		262		
<input type="checkbox"/>		AMLUSER		AAT		
<input type="checkbox"/>		AMLUSER		ABH		
<input type="checkbox"/>		AMLUSER		ABI		
<input type="checkbox"/>		AMLUSER		ABK		
<input type="checkbox"/>		AMLUSER		ABM		

Figure 129: Compass User Alert Mapping Page

6.8.2. SYSTEM LOGIN LOG

The user will allow to see the System Longin Log.

This screenshot shows the 'System Login Log' section of the Compass interface. At the top, there are filters for 'From Date' (02/05/2024), 'To Date' (17/05/2024), 'User ID' (ALL), and 'User Role' (ALL). Below the filters is a search bar and a 'Search' button. The main area displays a table titled 'System Login Log Result' with 379 entries. The columns include User ID, User Role, Login Status, Login Status Message, Login Date/Time, Logout Date/Time, and Session Id. The table includes buttons for TSV, CSV, Print, and Excel export. A large red rectangular box highlights the first column of the table.

User ID	User Role	Login Status	Login Status Message	Login Date/Time	Logout Date/Time	Session Id
		Y	Successful login	2024-5-17 11:41:45, 339469000		t0XqNR1xb_Uf_ooS6qewd7-wNxlxDJ5-DMPNlcT
		N	Username Password didn't match	2024-5-17 11:41:25, 962072000		
		N	Username Password didn't match	2024-5-17 11:41:17, 795090000		
		Y	Successful login	2024-5-17 11:39:30, 871846000		LeD_SutLrkSMSDSzpoURFSTYZb_DsmjyFj0TY
		Y	Successful login	2024-5-17 11:35:46, 493565000		a1k1vB_-HHGjgQ-xEMTG9Nq4JMjgZmkVkm1QX2A
		Y	Successful switch from ROLE_CHECKER to ROLE_AMLUSER	2024-5-17 11:23:6, 795648000	17-MAY-24 11:48:51.333613 AM +05:30	KRb5B0i7KSu1vhLJLB8UDkWBUKnJLIGKGch
		Y	Successful login	2024-5-17 11:23:0, 490304000		KRb5B0i7KSu1vhLJLB8UDkWBUKnJLIGKGch
		Y	Successful login	2024-5-17 11:22:51, 102858000		RPrmx1_YxjEzzLqF0Mung20tNE5i6RCqOFZdNa
		N	Username Password didn't match	2024-5-17 11:22:37, 856243000		
		Y	Successful login	2024-5-17 11:12:6, 2639000		_eLN7uPSIAkoJR20ySZ8fn3IK_ZQhQAt9JcGs

Figure 130: Compass System Login log Page

7. MAKER

7.1. DASHBOARD

This screenshot shows the 'Dash Board' section of the Compass Maker interface. On the left, a sidebar lists 'Dashboard', 'Create And Edit User', 'User Group Mapping', and 'Reports'. The main area has a 'Dash Board' header with 'From Date' (02/05/2024) and 'To Date' (17/05/2024) fields. Below these are dropdowns for 'Source System' (All) and 'Target System' (All). A large search bar at the bottom contains two 'Search' buttons. To the right is a blank chart area with a y-axis scale from 0 to 100.

Figure 131: Compass Maker Dashboard Page

7.2. CREATE AND EDIT USER

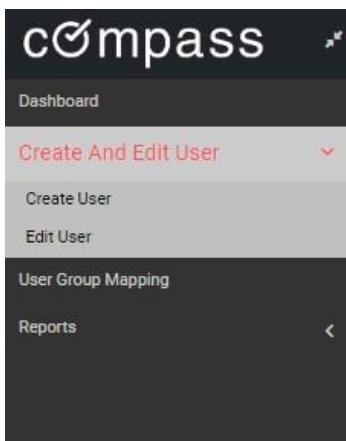


Figure 132: Compass Maker Main menu Page

7.2.1. CREATE USER

Figure 133: Compass Create User Page

7.2.2. EDIT USER

The user will allow to see the Edit User information.

Figure 134: Compass Edit User Page

7.3. USER GROUP MAPPING

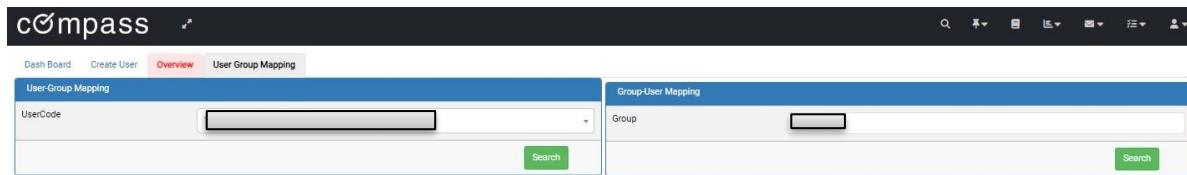


Figure 135: Compass User Group Mapping Page

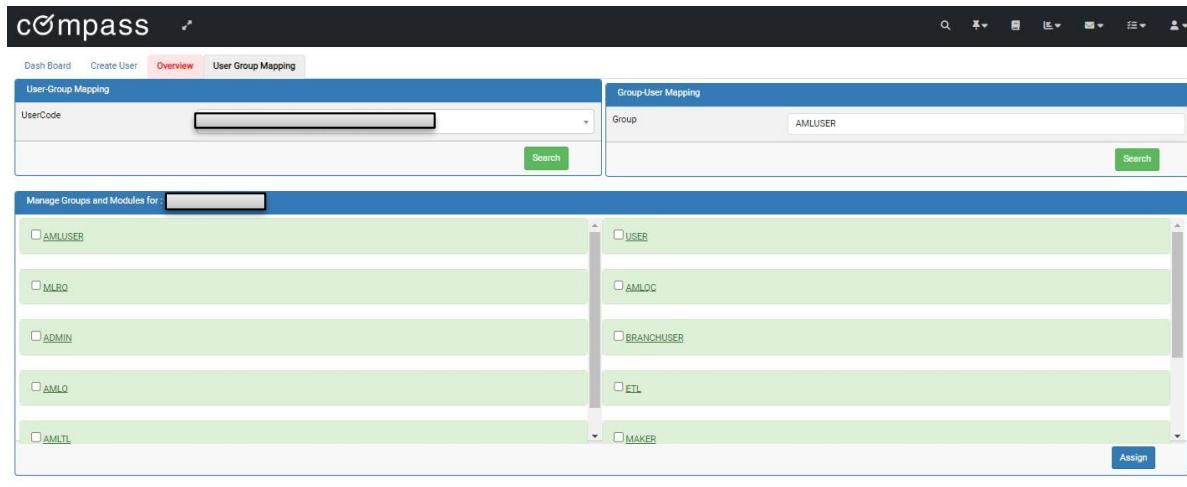


Figure 136: Compass User Group Mapping Page

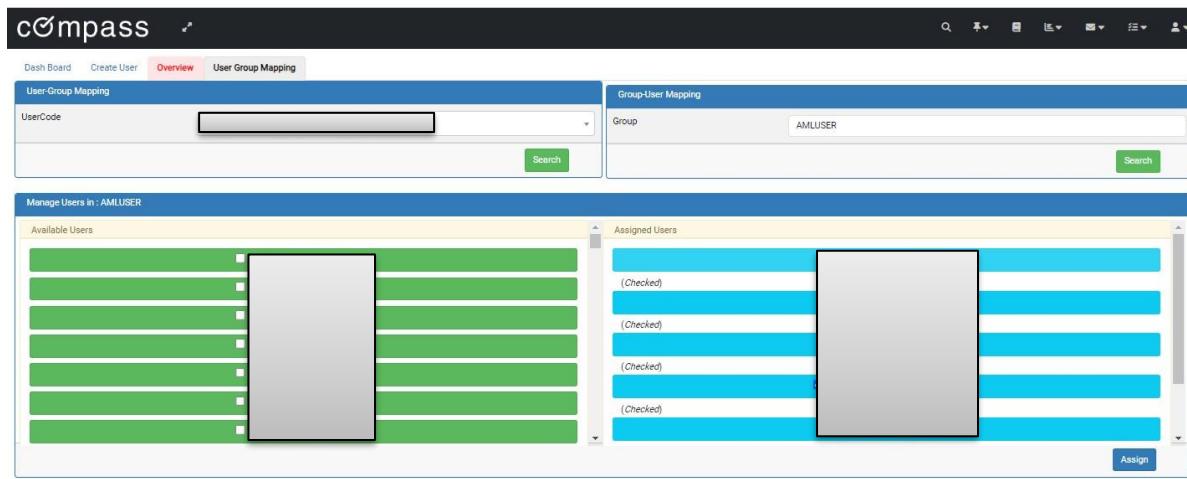


Figure 137: Compass User Group Mapping Page

7.4. REPORT

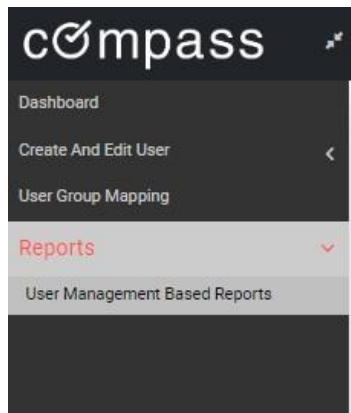


Figure 138: Compass Maker - Report main menu Page

7.4.1. USER MANAGEMENT BASED REPORT

The user will allow to see the User Management Based report details.

Report No	Report Name
1	User Creation Log,
2	User Log In And Log Off Log,
3	Enabled/Disabled List Of Users.

Figure 139: Compass User Management Based Report Page

8. CHECKER

8.1. DASHBOARD

Figure 140: Compass Checker Dashboard Page

8.2. USER MANAGEMENT BASED REPORT

Report No.	Report Name
1	User Creation Log,
2	User Log In And Log Off Log,
3	Enabled/Disabled List Of Users.

Figure 141: Compass User Management Based Report Page

8.3. APPROVE USER

The user will allow to see the details of Approve user.

Figure 142: Compass Approve User Page

Figure 143: Compass Approve User-Search result Page

9. ABOUT QUANTUM DATA ENGINES

Quantum Data Engines was formed in May 2011 by a team having more than 50 years of combined experience in product development for the banking and financial services space. A considerable portion of this experience has been in selling, designing, developing, implementing, and maintaining Anti Money Laundering, Fraud Detection Surveillance, Transaction Monitoring Engines, and Data Mining and Analytics for banks and financial services companies around the world. In their experience, the core team at Quantum Data Engines has helped more than 70 banks around the globe in adopting an Anti-Money Laundering practice through leading software products. The team has been involved with implementing AML solutions at leading banks.

We present the below capabilities,

Strengths in AML, Fraud Detection, Transaction Monitoring, Analytics, Name Screening, and De-duplication.

A global domain level exposure and deep understanding of compliance requirements for AML.

A robust technology platform built on the latest technologies for agile performance.

Advanced AML investigation features like collusion maps, suspicion reporting etc.

Extreme dashboards with 'n' level drill down.

Branch level real-time KYC screening, MIS, wide alerts, and reports library.

A product designed to meet future compliance requirements like FATCA etc.

A modular framework for implementation with capabilities for Fraud Management etc.

Understanding of data structures, a core-banking system in use leading to a quick migration cycle.

A prior understanding of the current system in use ensuring a smooth migration and transition cycle.

A commitment to improving product technology and bringing global domain inputs for local implementation.

A vision to be a market leader in this segment with the right partnerships and leadership maturity.

A commitment to giving what it takes to ensure a smooth implementation cycle.