

CA-1404674 APPIAN Limits and Signatories

Description: Wire requests are submitted via the APPIAN MWire workflow tool. Wire instructions and approvals are maintained in MWIRE and MWIRE validates that at least one approver has sufficient approval limits to cover the wire amount. Two authorized signers are required for all third-party wires. The requests are systemically fed to OpenLink and released by a Pool or Cash Manager.

Additional Description: MWIRE is developed on the APPIAN platform, which is a Web-based Business Process Management Software. MWIRE establishes Web Services to pull and push data from/to OpenLink. In this context, OpenLink is but a passive partner in the process.

Control Owner(s):

Gopinath Sreekanth - Lead Appian Development
 Vahan Kayserian - AIO Systems Design Devmt
 Timothy Kwong SVP, Finance IT - Operations Systems

Test Date: 10/24/2018

TS-A : Determine the type of the Function/Interface: a) standard b) customized c) query (with ITGC) d) ad-hoc query (without ITGC) e) other

Pg. 2

TS-B : Determine whether the Function/Interface can be BENCHMARK successfully and the IT controls are in place to ensure the Function/Interface remains accurate and complete as per BASELINE test

TS-B.01 : Determine whether the Function/Interface has been successfully BASELINED in prior year

Pg. 3

TS-B.02 : Determine whether the Function/Interface can be associated with the identified programmatic components

Pg. 3, 4, 5, 6, 7

TS-B.03 : Determine whether the associated programmatic components are subject to AIG Change Management and are version controlled

Pg. 8, 9

TS-B.04 : Determine whether there are evidences that the associated programmatic components have not changed since the last BASELINE Test

Pg. 8, 9

NOTES:

The Benchmarking Test can be performed on condition that a prior Baseline test has been successfully performed by IAG FCU IT SOX of the report. IAG FCU IT SOX identifies that the last BASELINE successful test for this report was performed on 11/16/2017. The W/P Ref. is "CA-1404674_1402695 OL-MWire-S01.pdf". IT SOX reviews last year's BASELINE test of the Function/Interface; confirms the Function/Interface's programmatic components; and get the evidences that the Function/Interface programmatically has not changed since last BASELINE.

No relevant exceptions noted

TS-A: Determine the type of the Function/Interface: a) standard b) customized c) query (with ITGC) d) ad-hoc query (without ITGC) e) other

.
During the BASELINE Test on 11/9/2017 (W/P Ref: "CA-1404674_1402695 OL-MWire-S01.pdf"), it was determined that the "CA-1404674 APPIAN Limits and Signatories" is a customized Function/Interface

TS-B: Determine whether the function/interface can be BENCHMARKED successfully and the IT controls are in place to ensure the function/interface remains accurate and complete as per BASELINE test.

TS-B.01: Determine whether the function/interface has been successfully BASELINED in prior year
Confirmed that the "CA-1404674 APPIAN Limits and Signatories" was successfully BASELINED by IT SOX on 11/16/2017 (W/P Ref: "CA-1404674_1402695 OL-MWire-S01.pdf"),

TS-B.02: Determine whether the function/interface can be associated with the identified programmatic components

(Pg 04, 05) High-level architecture and key interface components: "PULL" + "PUSH" + "DATA" services
(Pg 07-09) **MWIRE_getAuthorizedAccountSearchFromWS** through **getAccountSignatory** in action to retrieve signatory information from OL

(pp 10-13) **MWIRE_RequestAndDebitAcctSelectionForm** through **MWIRE_Manual Wire Request Process** to compare the Amount to be wired with the Selected Signatories' dollar limits on **Manual Wire Request Form**

TS-B.03: Determine whether the associated programmatic components are subject to AIG Change Management and are version controlled

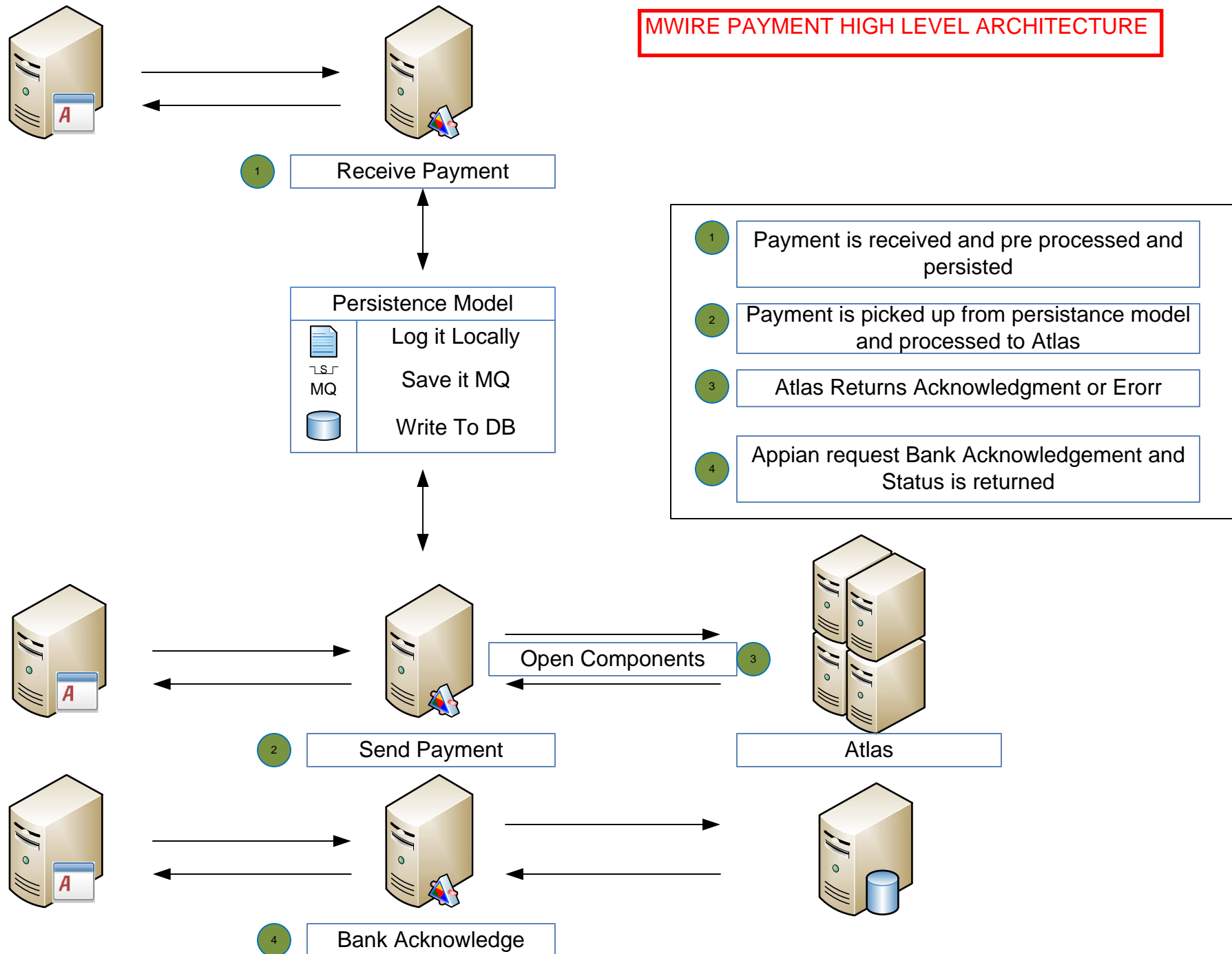
IT confirmed that APPIAN applications are subject to APPIAN Version Control and TFS

TS-B.04: Determine whether there are evidences that the associated programmatic components have not changed since the last BASELINE Test

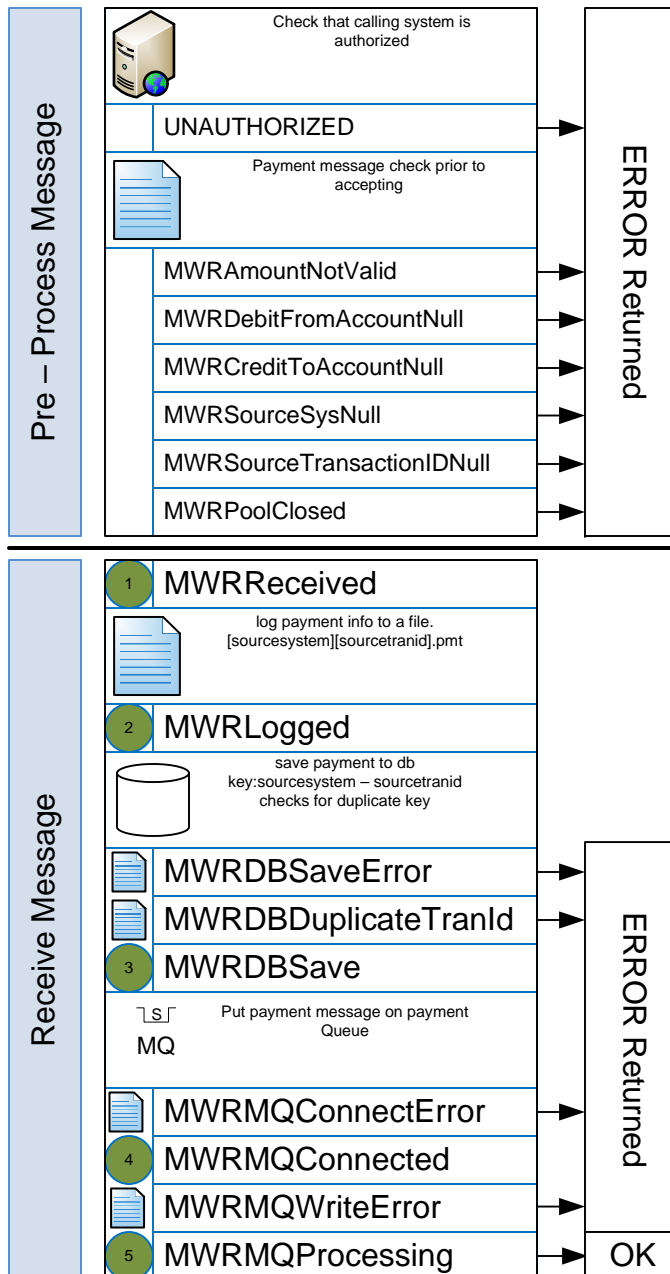
(Pg 07) **MWIRE_getAuthorizedAccountSearchFromWS** not changed since April 2017

(Pg 10) **MWIRE_RequestAndDebitAcctSelectionForm** not changed since April 2017

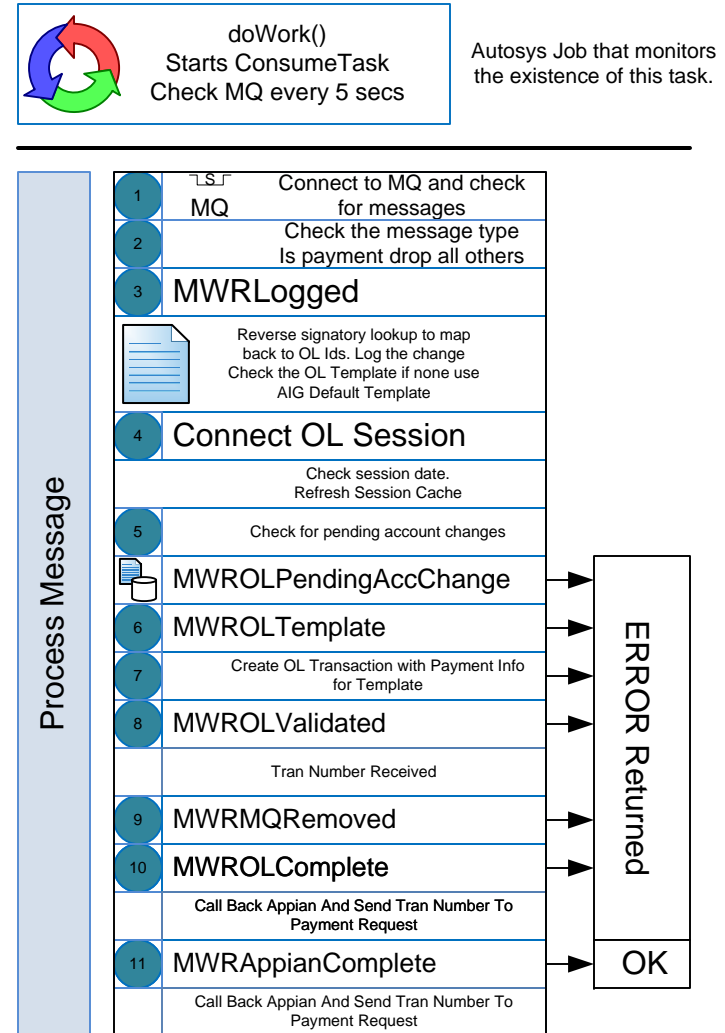
MWIRE PAYMENT HIGH LEVEL ARCHITECTURE



MWRWorkBench.ReceivePayment

PULL

MWRWorkBench.SendPayment

PUSH

MWRWorkBench.DataServiceWCF

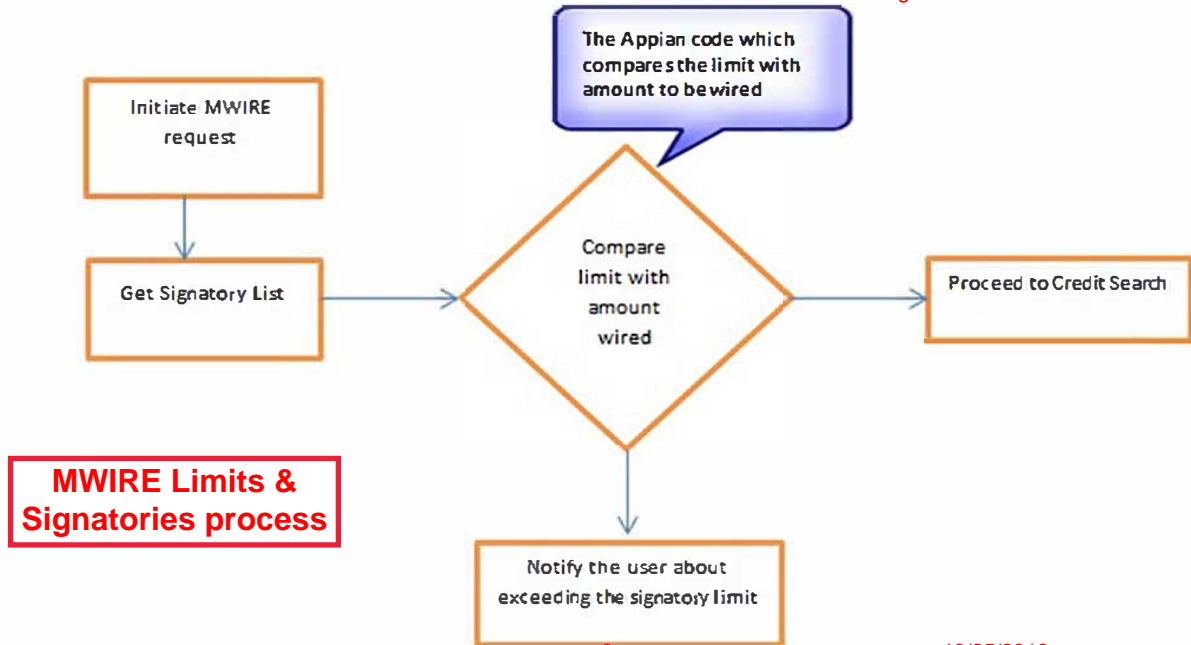
OL Status

Returns OL Bank Acknowledgement Status. Bank Ref [wip]

DATA SERVICES**MWIRE COMPONENTS For PUSH-PULL-DATA SERVICES**

AIG Business Partners	
Date Modified	Mon, Nov 17, 2014 12:01 PM
Title :	
Project :	
Page 2 of 4	mwirestp.vsd

MWIRE PAYQUE



MWIRE Limits & Signatories process

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APPLICATIONS

OBJECTS

USERS

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SEARCH

Gear Filters

OBJECT TYPE

Connected System

Constant

Data Store

Data Type

Decision

Document

Expression Rule

Feed

Folder

Group

Integration

Interface

Process Model

Query Rule

Record Type

Report

Site

Web API

LAST MODIFIED BY

Select one or more users

LAST MODIFIED ON

From

ADD TO APP

RELATES

DEPENDENTS

PRECEDENTS

MORE

Hide Filters

Created By

Created From

To

Clear Filters

Version

Name

Description

Created

Latest

MWIRE_getAurthorisedAccountSearchFromWS

4/24/2017 5:13 PM by Service AppianRelease

CLOSE

MWIRE Pull from OL
(Limits and Signatories)

Production environment

MWIRE_getAuthorizedAccountSearchFromWS
MWIRE Web service to pull the Signatory Reference Information from OL

Not changed since April 2017

TS-B.04

Thursday, October 18, 2018

Local time Thu 1:26 AM

IST Wed 10:56 PM

EST Wed 1:26 PM

10/25/2018

1:26 AM



```
1. with(  
2.   local!accountSignatoryWSresponse: webservicequery(  
3.     a!WSConfig(  
4.       wsdlurl: rule!COMWAX_getSysIntegrationWsdl(),  
5.       service: "{http://tempuri.org/}SYSService",  
6.       port: "BasicHttpBinding_ISYSService",  
7.       operation: "{http://tempuri.org/}getAccountSignatory"  
8.     ),  
9.     {  
10.      ISYSService_getAccountSignatory_InputMessage: {  
11.        strAccountNumber: ri!accountNumber,  
12.        eid: ri!employeeId  
13.      }  
14.    }  
15.  ),  
16.  local!accountSignatoryWSResponse.returnValue.ISYSService_getAccountSignatory_OutputMessage.getAccountSignatory  
17. )
```

A call within the Web Service
to get the signatories from OL

MWIRE PULL from OL
(Limits and Signatories)

TS-B.02

Request 1

08-CA-1404674-ADDIAN Limits and Signatories-S01.9

08-CA-1404674-ADDIAN Limits and Signatories-S01.9

TS-B.02

http://portal.treasury.r1.aiq.net/SYSIntegration.DataServiceWCF/SYSService.svc

<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope"><soapenv:Header/><soapenv:Body><tem:getAccountSignatory><!--Optional:--><tem:strAccountNumber>780172230</tem:strAccountNumber><!--Optional:--><tem:eid>5259394</tem:eid></tem:getAccountSignatory></soapenv:Body></soapenv:Envelope>

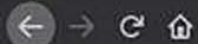
<?xml version="1.0" encoding="UTF-8"?><envelope xmlns:s="http://schemas.xmlsoap.org/soap/envelope"><body><getAccountSignatoryResponse xmlns="http://tempuri.org"><getAccountSignatoryResult xmlns:a="http://schemas.xmlsoap.org/Schema/Signatories"><a:clsTreasurySignatory><a:AccountNumber>780172230</a:AccountNumber><a:DollarLimit>1500000</a:DollarLimit><a:DollarLimitDesc>\$1,500,000.00</a:DollarLimitDesc><a:ErrorInfo i:nil="true"/><a:GemsId>48534</a:GemsId><a:SignatoryCode>scrdlej</a:SignatoryCode><a:SignatoryName>SIDNEY CREDLE JR.</a:SignatoryName><a:SignatoryTitle>Head Investment Ops</a:SignatoryTitle></a:clsTreasurySignatory><a:clsTreasurySignatory><a:AccountNumber>780172230</a:AccountNumber><a:DollarLimit>1500000</a:DollarLimit><a:DollarLimitDesc>\$1,500,000.00</a:DollarLimitDesc><a:ErrorInfo i:nil="true"/><a:GemsId>48534</a:GemsId><a:SignatoryCode>llehrfel</a:SignatoryCode><a:SignatoryName>LAWRENCE LEHRFELD</a:SignatoryName><a:SignatoryTitle>Controller - GAAP and Financial Reporting</a:SignatoryTitle></a:clsTreasurySignatory></body></envelope>

Signatory information from OL

"MWIRE_getAuthorizedAccountSearchFromWS" through "getAccountSignatory" in action to retrieve signatory information from OL

9

10/25/2018

<https://appianlite.investments.aig.net/suite/design/IMB5nQIgRt6d1CjwCQsZHza7LUgMLQRnekUy7rcj2w#>

MWIRE PUSH-PULL to-from OL



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MWIRE Manual Wire Requests

OBJECTS

MONITORING



Appian

restAndDebit SEARCH

Clear Filters

OBJECT TYPE

- ☐ Connected System
- ☐ Constant
- ☐ Data Store
- ☐ Data Type
- ☐ Decision
- ☐ Document
- ☐ Expression Rule
- ☐ Feed
- ☐ Folder
- ☐ Group
- ☐ Integration
- ☐ Interloc
- ☐ Process Model
- ☐ Query Rule
- ☐ Record Type
- ☐ Report
- ☐ Site
- ☐ Web API

LAST MODIFIED BY

Select one or more users

LAST MODIFIED ON

Versions

MWIRE_RequestAndDebitAcctSelectionForm

MWIRE Web service to compare the Amount to be wired with the Selected Signatories' dollar limits

Show Filters

Version	Name	Description	Created
Latest	Mwire_RequestAndDebitAcctSelectionForm	This SAIL form is used to request and select the ...	4/24/2017 5:15 PM by Service AppianRelease

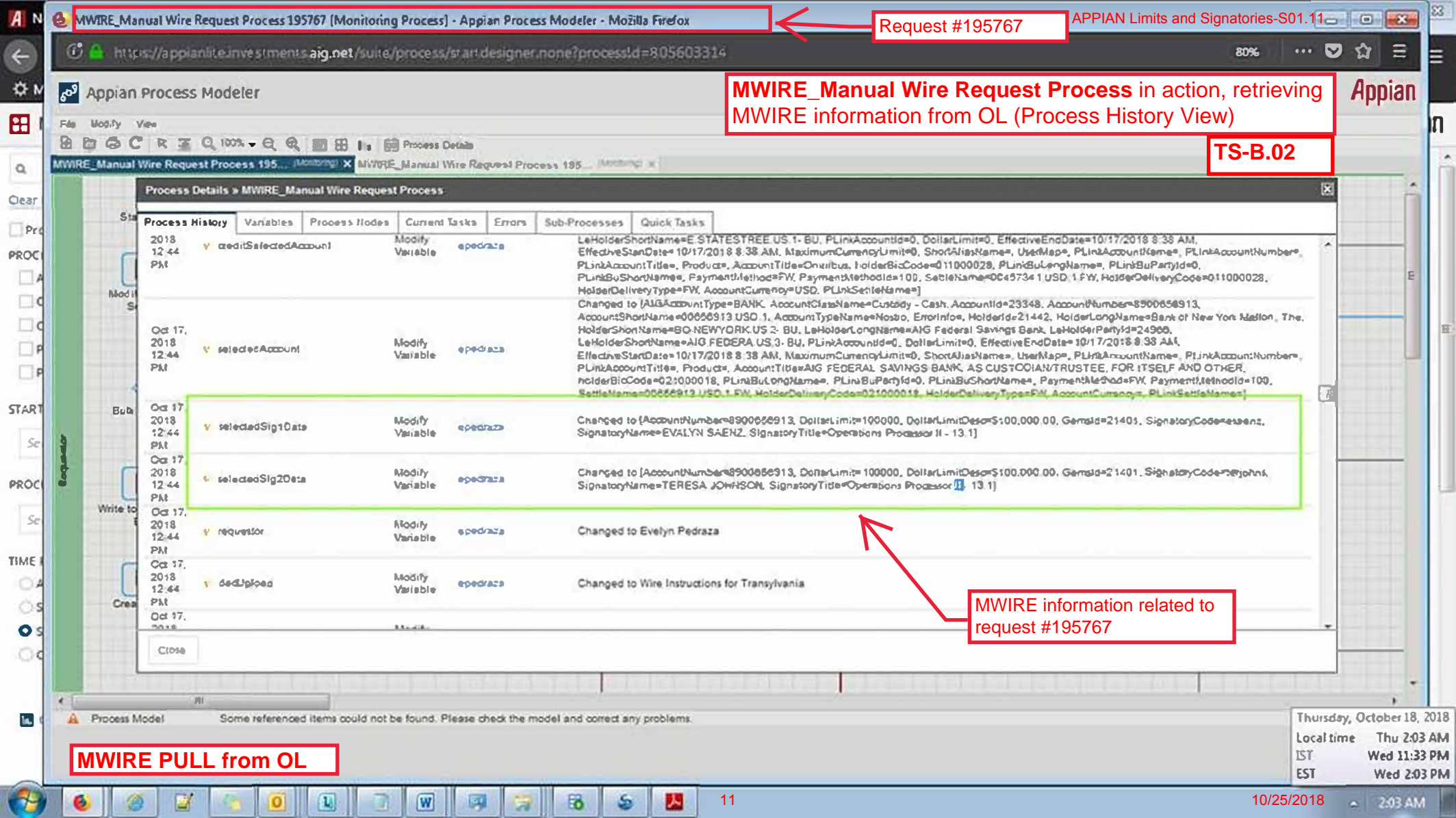
Not changed since April 2017

TS-B.04

CLOSE

Thursday, October 18, 2018
Local time Thu 1:54 AM
IST Wed 11:24 PM
EST Wed 1:54 PM

<https://appianlite.investments.aig.net/suite/design/IMB5nQIgRt6d1CjwCQsZHza7LUgMLQRnekUy7rcj2w#>



MWIRE_Manual Wire Request Process in action, retrieving MWIRE information from OL (Process History View)

Appian

TS-B.02

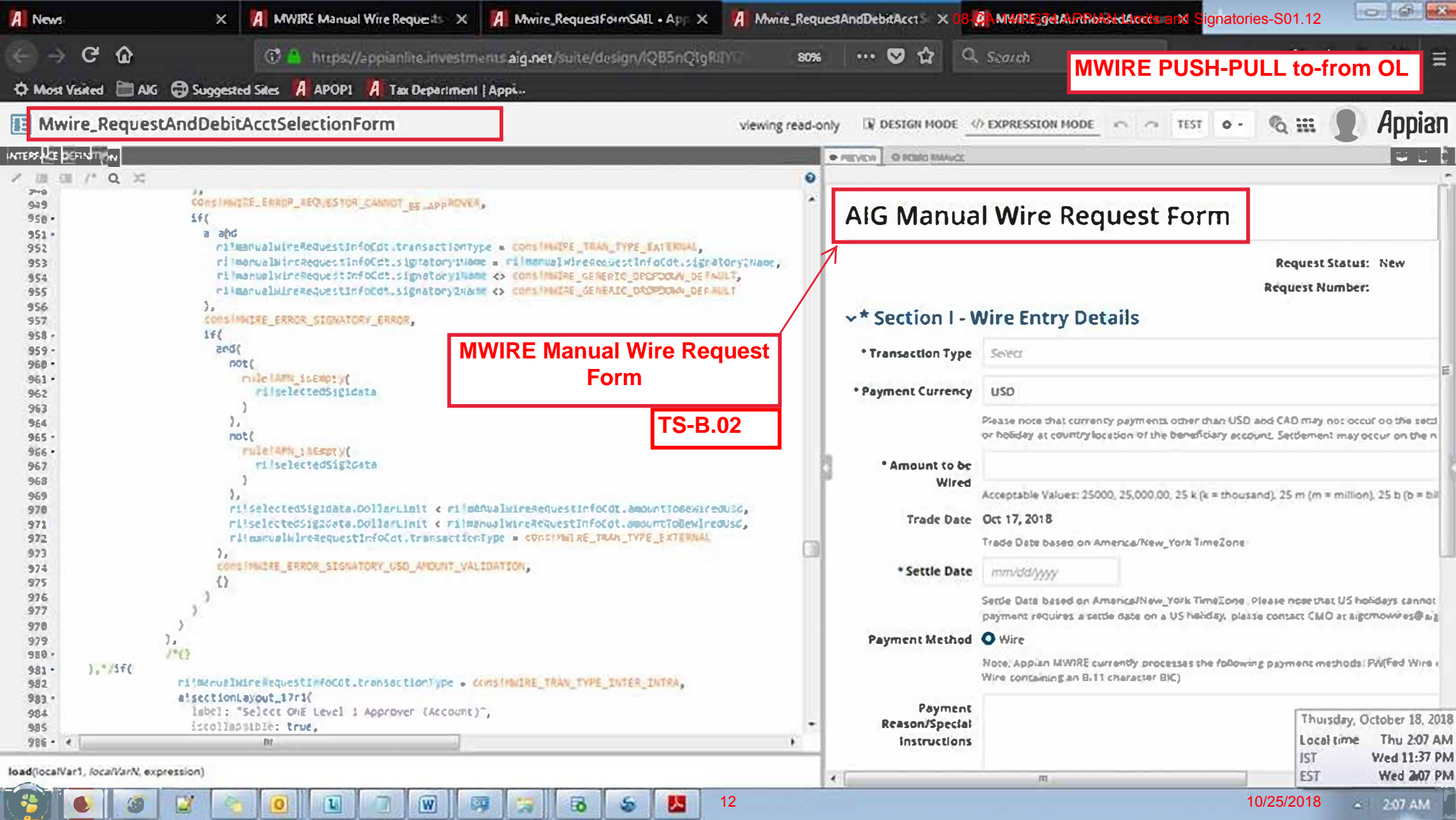
Process Details » MWIRE_Manual Wire Request Process

Process History Variables Process Nodes Current Tasks Errors Sub-Processes Quick Tasks

2018 12-44 PM	creditSelectedAccount	Modify Variable	epedraza	LeHolderShortName=E STATES TREE US-1- BU, PLinkAccountId=0, DollarLimit=0, EffectiveEndDate=10/17/2018 8:38 AM, EffectiveStartDate=10/17/2018 8:38 AM, MaximumCurrencyLimit=0, ShortAliasName=, UserMap=, PLinkAccountName=, PLinkAccountNumber=, PLinkAccountTitle=, Product=, AccountTitle=Onusibus, HolderBicCode=011000028, PLinkBuLongName=, PLinkBuPartyId=0, PLinkBuShortName=, PaymentMethod=FW, PaymentMethodId=100, SettleName=0C45734 1 USD, 1 FW, HolderDeliveryCode=011000028, HolderDeliveryType=FW, AccountCurrency=USD, PLinkSettleName=] Changed to [ALGAccountType=BANK, AccountClassName=Custody - Cash, AccountId=23348, AccountNumber=8900656913, AccountShortName=00656913 USD 1, AccountType=Name=Nostro, ErrorInfo=, HolderId=21442, HolderLongName=Bank of New York Mellon, The, HolderShortName=BO-NEWYORK US-3- BU, LeHolderLongName=AIG Federal Savings Bank, LeHolderPartyId=24900, LeHolderShortName=AIG FEDERA US-3- BU, PLinkAccountId=0, DollarLimit=0, EffectiveEndDate=10/17/2018 8:38 AM, EffectiveStartDate=10/17/2018 8:38 AM, MaximumCurrencyLimit=0, ShortAliasName=, UserMap=, PLinkAccountName=, PLinkAccountNumber=, PLinkAccountTitle=, Product=, AccountTitle=AIG FEDERAL SAVINGS BANK, AS CUSTODIAN/TRUSTEE, FOR ITSELF AND OTHER, HolderBicCode=021000018, PLinkBuLongName=, PLinkBuPartyId=0, PLinkBuShortName=, PaymentMethod=FW, PaymentMethodId=100, SettleName=00656913 USD, 1 FW, HolderDeliveryCode=021000018, HolderDeliveryType=FW, AccountCurrency=, PLinkSettleName=]
Oct 17, 2018 12:44 PM	selectedAccount	Modify Variable	epedraza	Changed to [AccountNumber=8900656913, DollarLimit=100000, DollarLimitDesc=\$100,000.00, GemId=21401, SignatoryCode=saenz, SignatoryName=EVALYN SAENZ, SignatoryTitle=Operations Processor II - 13.1]
Oct 17, 2018 12:44 PM	selectedSig1Date	Modify Variable	epedraza	Changed to [AccountNumber=8900656913, DollarLimit=100000, DollarLimitDesc=\$100,000.00, GemId=21401, SignatoryCode=teresa, SignatoryName=TERESA JOHNSON, SignatoryTitle=Operations Processor II - 13.1]
Oct 17, 2018 12:44 PM	requestor	Modify Variable	epedraza	Changed to Evelyn Pedraza
Oct 17, 2018 12:44 PM	deduplicated	Modify Variable	epedraza	Changed to Wire Instructions for Transylvania

MWIRE Pull from OL

MWIRE information related to request #195767



MWIRE PUSH-PULL to-from OL

Mwire_RequestAndDebitAcctSelectionForm

MWIRE Manual Wire Request Form
TS-B.02

AIG Manual Wire Request Form

Request Status: New
Request Number:

Section I - Wire Entry Details

* Transaction Type

* Payment Currency
Please note that currency payments other than USD and CAD may not occur on the set or holiday at country location of the beneficiary account. Settlement may occur on the n

* Amount to be Wired
Acceptable Values: 25000, 25,000.00, 25 k (k = thousand), 25 m (m = million), 25 b (b = bil

Trade Date
Trade Date based on America/New_York TimeZone

* Settle Date
Settle Date based on America/New_York TimeZone. Please note that US holidays cannot payment requires a settle date on a US holiday, please contact CMO at aigcmowires@aig

Payment Method ☒ Wire
Note, Appian MWIRE currently processes the following payment methods: P/W (Fed Wire & Wire containing an B.I.I character BIC)

Payment Reason/Special Instructions

Thursday, October 18, 2018
Local time Thu 2:07 AM
IST Wed 11:37 PM
EST Wed 2:07 PM

New Manual Wire Request - Pl...MWIRE Manual Wire Requests...Mwire_RequestFormSAIL - App...Mwire_RequestAndDebitAcctS...0871 MWIRE Push-Pull to/from OL and Signatories-S01.13

←→↺🏠https://appianlite.investments.aig.net/suite/tempo/actions/item/YES80%...🔍Search

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👤 Appian

Section II - Debit Account Search

* Account TypeBANK DDA

Payment CurrencyUSD

Account Number121

Account Name

SEARCH FOR ACCOUNTCANCEL

Section III - Debit Party Information

Debit Account Short Name11-412159.USD.1

Debit Party (Payor)AIG Trade Finance Limited Company

Bank/Pool Account #11-412159

Bank/Pool Account NameAIG TRADE FINANCE LIMITED

Select ONE Level 1 Approver (Account)

Signatory Approver

--Select--

--Select--

KATHLEEN COSGROVE - \$50,000,000.00

LAURENCE HEADS - \$50,000,000.00

JONATHAN KYRIAKAKIS - \$500,000,000.00

JUSTIN CAULFIELD - \$1,000,000,000.00

JEFFREY LANNING - \$1,000,000,000.00

SANJEEV MALHOTRA - \$1,000,000,000.00

Signatories name and dollar limits

Thursday, October 18, 2018

Local timeThu 2:11 AM

ESTWed 11:41 PM

ESTWed 2:11 PM

13

10/25/20182:11 AM