

**CA-1404674 APPIAN OL Pool Signatories and Third Party Accounts**

**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

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

Pg. 3

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

Pg. 3

**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 OL Pool Signatories and Third-Party Accounts" 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 Pool Signatories and Third-Party Accounts" 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 10-12) **MWIRE\_RequestAndDebitAcctSelectionForm** through **MWIRE\_Manual Wire Request Process** to compare the Amount to be wired with the (pp. 13-15) selected Pool account Signatories' dollar limits on **Manual Wire Request Form** (pp. 16-17) for a third-party account

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

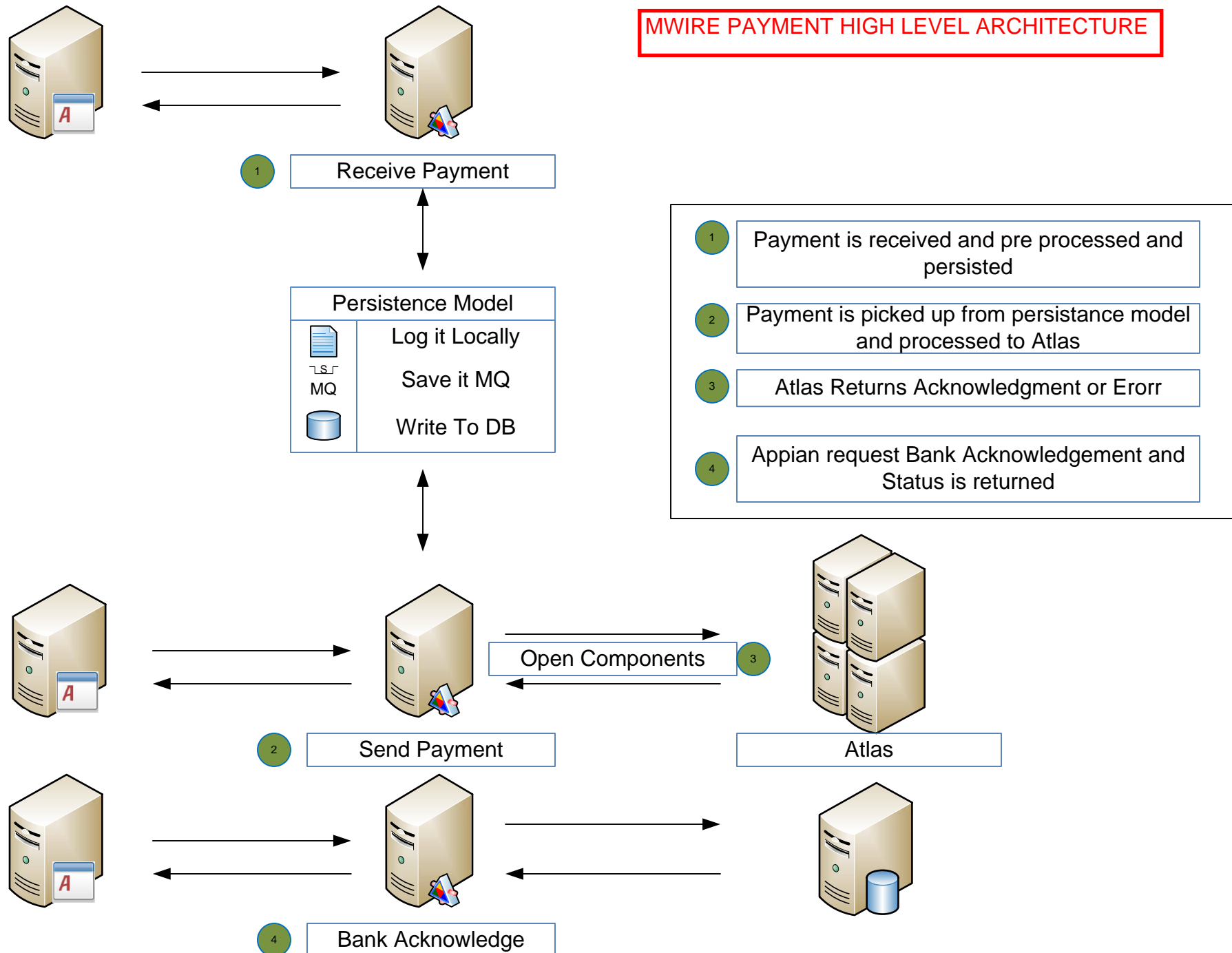
IT confirmed that APPIAN applications are subject to APPIAN Version Control and TFS

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

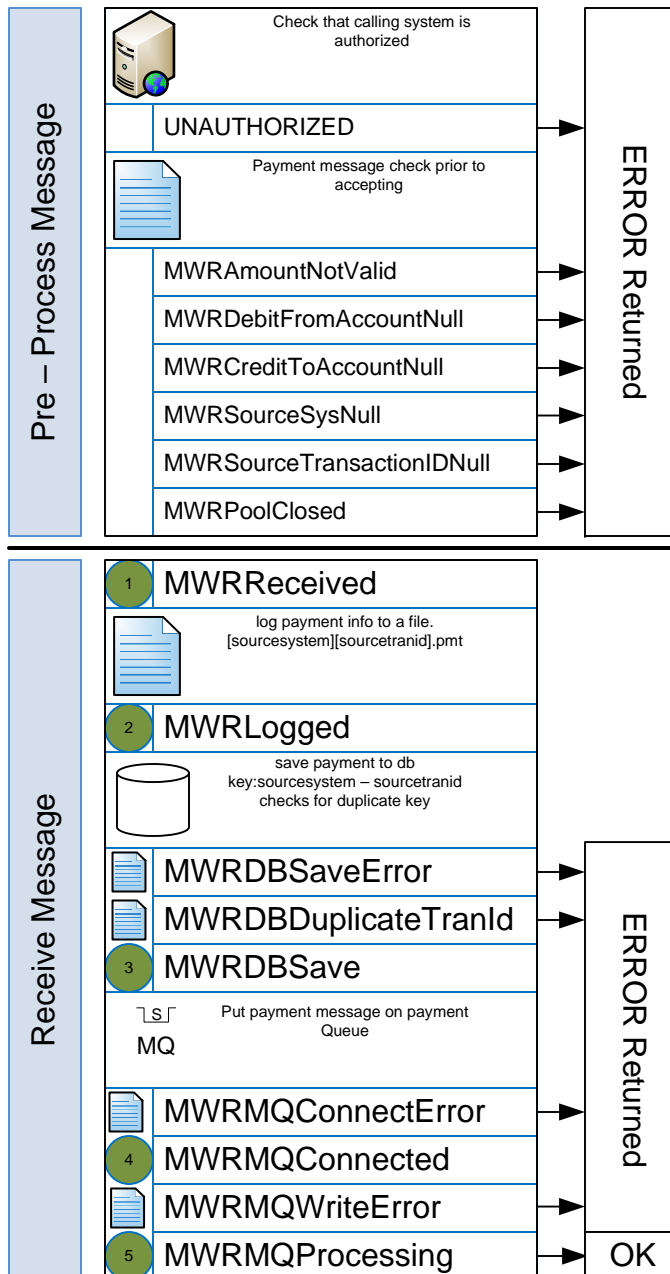
(Pg 07) **MWIRE\_getAuthorizedAccountSearchFromWS** not changed since April 2017

(Pg 10) **MWIRE\_RequestAndDebitAcctSelectionForm** not changed since April 2017

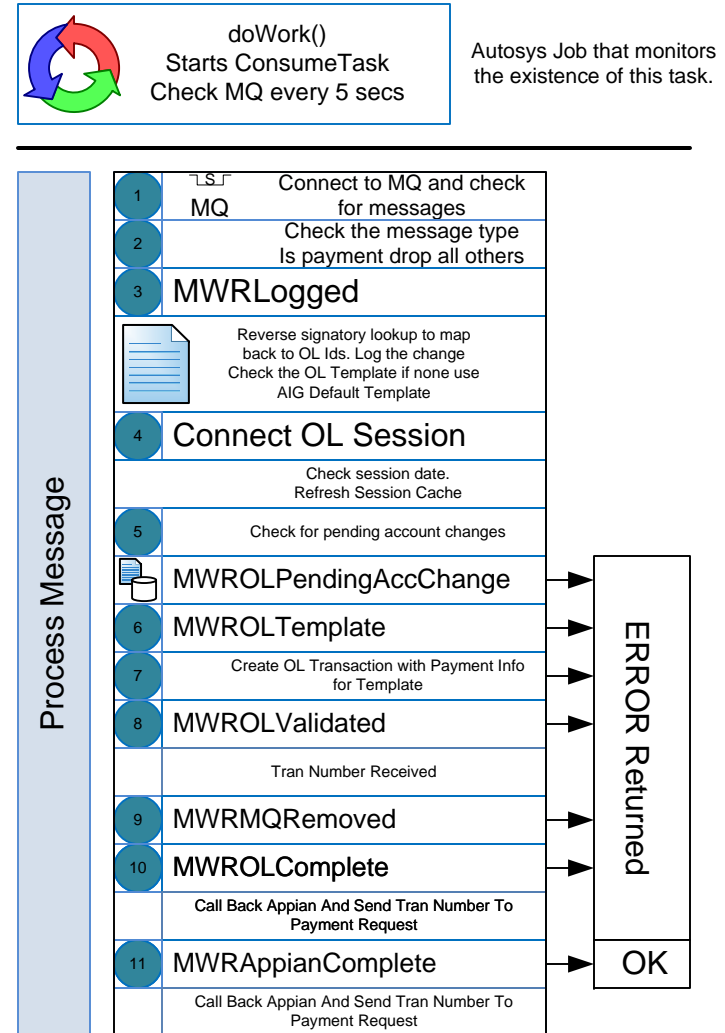
# MWIRE PAYMENT HIGH LEVEL ARCHITECTURE



## MWRWorkBench.ReceivePayment

**PULL**

## MWRWorkBench.SendPayment

**PUSH**

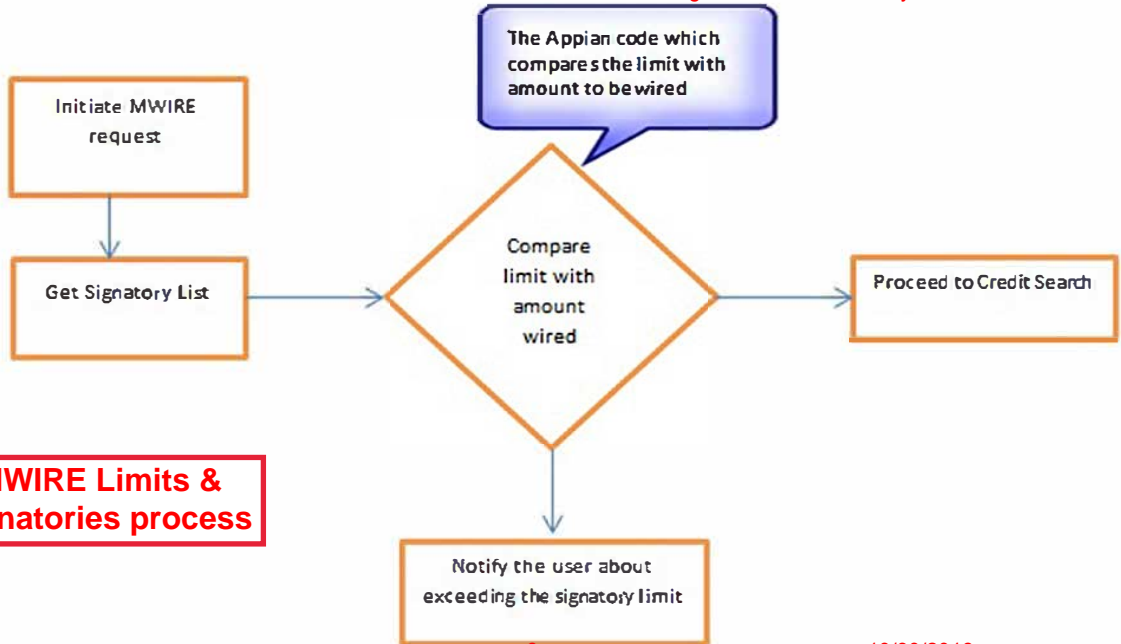
## MWRWorkBench.DataServiceWCF

**OL Status**

Returns OL Bank Acknowledgement Status. Bank Ref [wip]

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

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



**MWIRE Limits & Signatories process**

03-CA-13rd Party-S01.7

News

Objects • Appian Designer

+

https://applanlife.investments.aig.net/suite/design/objects

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APPLICATIONS

OBJECTS

USERS

MONITORING

Appian

WIRE\_getcur

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

Not changed since April 2017

TS-B.04

CLOSE

MWIRE PULL from OL

(Limits and Signatories)

Production environment

MWIRE\_getAuthorizedAccountSearchFromWS

MWIRE Web service to pull the Signatory Reference Information from OL

Thursday, October 18, 2018

Local time Thu 1:26 AM

IST Wed 10:56 PM

EST Wed 1:26 PM

10/30/2018

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**



SOAP Request 1

03-CA-1404674-ADDIAN OL Deal Signatories and 2nd Party-S01.9

MWIRE PULL from OL  
(Limits and Signatories)

TS-B.02

Raw XML

```
<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>
```

Raw XML

```
<envelope xmlns:s="http://schemas.xmlsoap.org/soap/envelope/">
  <body>
    <getAccountSignatoryResponse xmlns="http://tempuri.org/">
      <getAccountSignatoryResult xmlns:a="http://schemas.xmlsoap.org/soap/envelope/">
        <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>
      </getAccountSignatoryResult>
    </getAccountSignatoryResponse>
  </body>
</envelope>
```

Signatory information from OL

"MWIRE\_getAuthorizedAccountSearchFromWS" through "getAccountSignatory" in action to retrieve signatory information from OL

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10/30/2018

News

MWIRE Manual Wire Request

MWIRE\_getAuthorisedAccount

03-CA-1404674 APPIAN OL Pool Signatories and 3rd Party-S01.10

← → ↺ 🏠

🔒 <https://appianlite.investments.aig.net/suite/design/IMB5nQIgRt6d1CJwCQsZHza7LUgMLQRnekUy7rcj2w#>

MWIRE PUSH-PULL to-from OL

Most Visited AIG Suggested Sites APOPI Tax Department | Appi...

MWIRE Manual Wire Requests OBJECTS MONITORING

Production environment

Q 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

UID and ID Search Expressions

5 PM by Service AppianRelease

Thursday, October 18, 2018

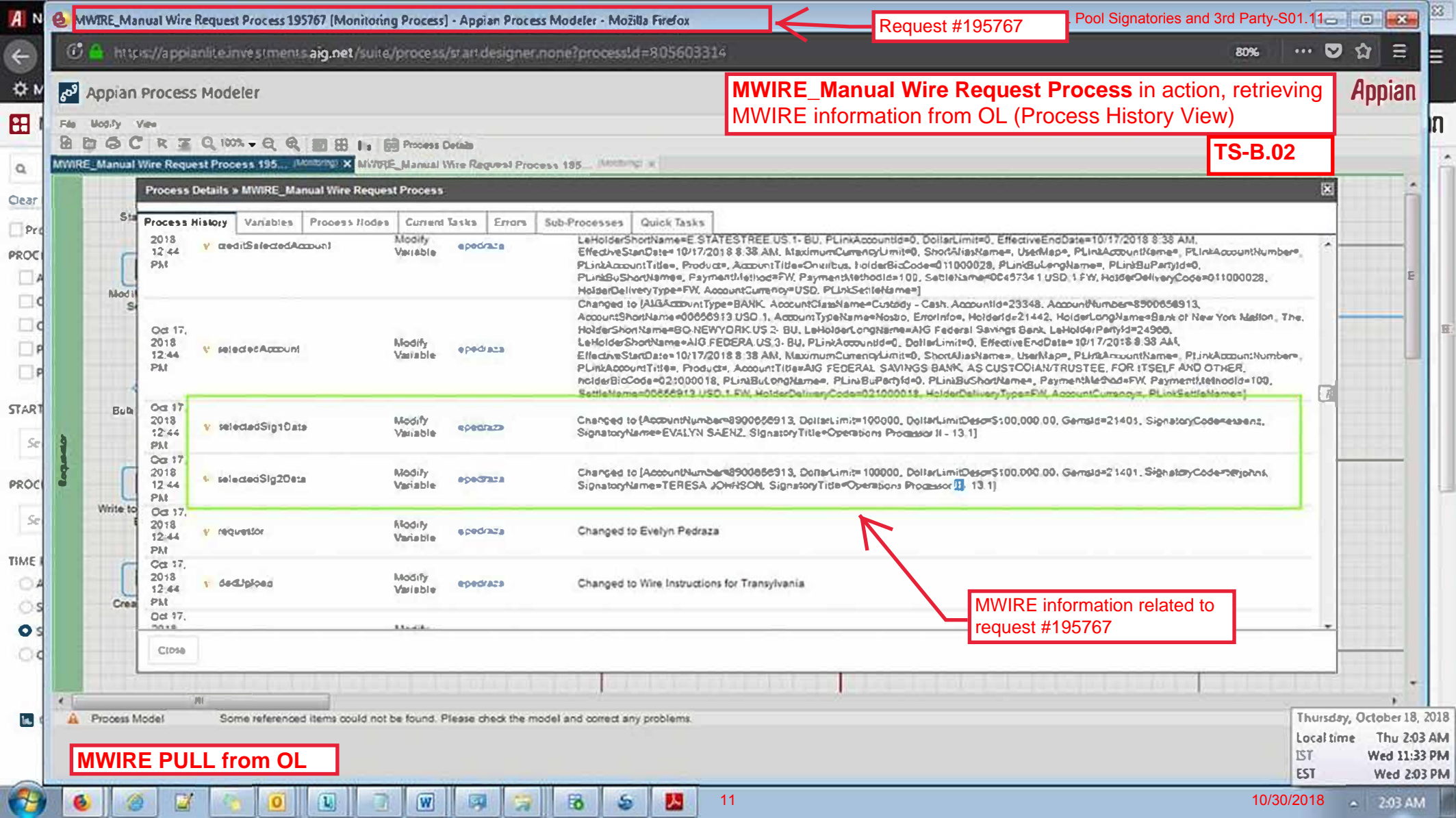
Local time Thu 1:54 AM

IST Wed 11:24 PM

EST Wed 1:54 PM

10

10/30/2018 1:54 AM



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	creditSelectedAccount1	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=Cash, AccountId=23348, AccountNumber=8900656913, AccountShortName=00656913 USD 1, AccountType=NoNo, 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	selectedAccount1	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=saenz, SignatoryName=EVALYN SAENZ, SignatoryTitle=Operations Processor II - 13.1]
Oct 17, 2018 12:44 PM	selectedSig2Date	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	dedUploa	Modify Variable	epedraza	Changed to Wire Instructions for Transylvania

MWIRE PULL from OL

MWIRE information related to request #195767

### ✓\* Section I - Wire Entry Details

\* Payment Currency **USD**

• Amount to be  
Wired

Acceptable Values: 25000, 25,000.00, 25 k (k = thousand), 25 m (m = million), 25 b (b = billion)

Trade Date Oct 17, 2018

Trade Date based on America/New York Time Zone

\* Settle Date [mm/dd/yyyy](#)

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 [algemowes@alg](mailto:algemowes@alg)

Payment Method ☒ Wire

Note: Appian MWIRE currently processes the following payment methods: FW(Fed Wire & Wire containing an B.11 character BK)

<b>Payment Reason/Special Instructions</b>	
--	--

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

# MWIRE Manual Wire Request Form

TS-B.02

**load**(localVar1, localVarN, expression)



**\* Section II- Debit Account Search**

\* Account Type CP Pool

Payment Currency USD

Account Number P33001

Account Name

MWIRE PUSH-PULL to-from OL

TS-B.02

Pool Account

SEARCH FOR ACCOUNT

CANCEL

**▼ Section III - Debit Party Information**

Debit Account Short Name P33001-2.USD.1

Bank/Pool Account # P33001-2

Debit Party (Payor) Company American International Group, Inc.

Bank/Pool Account Name AIG INC.

**▼ Select TWO Level 1 Approvers (Account) - \*At least 1 Approver must meet the Dollar Limit Requirement**

Signatory Approver 1

--Select--

Signatory Approver 2

--Select--

**▼ Section IV - Credit Party Information**

Credit Party Account Type: EXTERNAL

PREVIOUS

NEXT

CANCEL

Tuesday, October 30, 2018

Local time Tue 2:58 AM

US Mon 2:58 PM

India Time Tue 12:28 AM

10/30/2018

2:58 AM

10/30/2018

Payment  
Reason/Special  
Instructions

MWIRE PUSH-PULL to-from OL

TS-B.02

For internal purposes only. Will not be passed to financial institution.

**\* Section II- Debit Account Search**

\* Account Type

CP Pool

Pool Account

Payment Currency

USD

KAREN MENZEL - \$100,000.00  
JAMES KILLERLANE III - \$125,000.00  
CHARLES SHAHIN - \$300,000.00  
ANDRE WADE - \$300,000.00  
DENNIS GROGAN - \$500,000.00  
ERIC KOBRICK - \$500,000.00  
JOSEPH LUCA JR - \$500,000.00  
PATRICIA MURNANE - \$500,000.00  
PETER BAHRA - \$1,000,000.00  
NIZAR KESHWANI - \$1,000,000.00  
LEO MHLANGA - \$1,000,000.00  
JUSTIN ORLANDO - \$1,000,000.00

Signatories name  
and limits

Signatory Approver 2

--Select--

**Section IV - Credit Party Information**Credit Party Account  
Type: EXTERNAL

Tuesday, October 30, 2018  
Local time Tue 3:00 AM  
US Mon 3:00 PM  
India Time Tue 12:30 AM

10/30/2018 3:00 AM  
10/30/2018

**\* Section II- Debit Account Search**

\* Account Type CP Pool

Payment Currency USD

Account Number P33001

Account Name

DIMEI CHEN - \$5,000,000.00  
CLAIRE DORNAK - \$5,000,000.00  
DAVID HAHN III - \$5,000,000.00  
MICHAEL KIRINCIC - \$5,000,000.00  
TINA MESTRANDREA - \$5,000,000.00  
BARBARA MOORE - \$5,000,000.00  
IRWIN NIRENBERG - \$5,000,000.00  
DAVID TWILLEY JR - \$5,000,000.00  
CHARLES WIESENHART - \$5,000,000.00  
YANA ZILBERMAN - \$5,000,000.00  
PETER LEONARDIS - \$10,000,000.00

--Select--

**▼ Section IV - Credit Party Information**Credit Party Account EXTERNAL  
Type:

PREVIOUS

NEXT

CANCEL

MWIRE PUSH-PULL to-from OL

TS-B.02

Pool Account

Signatories name  
and limits



## Section III - Credit Party Information

Enter Query Parameters to Search for a Credit Account

Payment Currency USD

Account Number 000010588

If the Credit Party Type = Bank or External, please enter at least 3 characters when searching.

Account Name

If the Credit Party Type = Bank or External, please enter at least 3 characters when searching.

PREVIOUS

SEARCH FOR ACCOUNT

CANCEL

<input type="checkbox"/>	Account Number	Account Title	ABA/BIC Code	Delivery Type	Pool Type
<input type="checkbox"/>	000010588	WILLIS LIMITED	021001088	FW	EXTERNAL
<input type="checkbox"/>	000010588	WILLIS LIMITED	MRMDUS33	SWIFT	EXTERNAL

MWIRE PUSH-PULL to-from OL

TS-B.02

Third-Party Account

Tuesday, October 30, 2018

Local time Tue 3:02 AM

US Mon 3:02 PM

India Time Tue 12:32 AM

10/30/2018

3:02 AM

10/30/2018



If the Credit Party Type = Bank or External, please enter at least 3 characters when searching.

SEARCH FOR ACCOUNT

CANCEL

## ▼ Section III - Credit Party Information

Vendor/Payee Name WILLIS LIMITED

Vendor/Payee  
Physical Address

## ▼ Section IV - Intermediary Information

Intermediary Bank  
NameIntermediary  
SWIFT/ABA Routing  
Number

## ▼ Section V - Credit Party Details

Credit Account Short Name 00010588.USD.1

Beneficiary Bank Name HSBC Bank USA, National Association

Beneficiary Account/IBAN # 000010588

Beneficiary Account Name WILLIS LIMITED

## ▼ \* Section VI - G/L &amp; Cash Flow Type

G/L Account System

ie. SAP, SACM, and etc.

G/L Account Code

Third-Party Account

Vendor/Payee Phone #

Please include Area/Country Code

Vendor's Contact  
Person (Name/Email)Intermediary Bank  
Contact PersonIntermediary Bank  
Contact Tel #

Beneficiary's Financial Institution ID 021001088

FFC (For Further  
Credit To)

\* FFC Field is Limited to 70 characters. Valid Characters Include 'a-z', 'A-Z', 0-9, '.,:~+()?-'

\* Reference Info (Will  
be Included on Wire)

\* Reference Info Field is Limited to 70 characters. Valid Characters Include 'a-z', 'A-Z', 0-9, '.,:~+()?-'

MWIRE PUSH-PULL to-from OL

TS-B.02

Tuesday, October 30, 2018

Local time Tue 3:03 AM

US Mon 3:03 PM

India Time Tue 12:33 AM

10/30/2018

3:03 AM

10/30/2018