

CA-1402695 APPIAN MWIRE Wire Instruction and Approval

Description: Multiple times per day, a Treasury Analyst reviews manual payment requests received via email (read only mailbox) for completeness and proper authorization (i.e. signature verification and appropriate approval limits). There is sign-off and the approval limits are noted on the wire request to evidence review prior to input of the wire details into OpenLink or the Electronic Banking System (EBS). A second Analyst reviews the payment instructions manually input into OpenLink or EBS and approves the wire for release. The review is evidenced within the system. Remote wires from Non-Trusted Source System: Business Unit inputs wire instructions into the OLE-CPI Upload. CM reviews the Remote Wire Upload report for signing authority and limit prior to releasing the wire.

Additional Description: MWIRE is developed on the APPIAN platform (a Business Process Management Software) to facilitate the input of the wire details into OpenLink or the Electronic Banking System (EBS). MWIRE establishes Web Services to automatically pull from OpenLink data .

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 is performed since a prior Baseline test has been successfully performed by SOX IT of the report. SOX IT 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". SOX IT 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-1402695 APPIAN MWIRE Wire Instruction and Approval" 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-1402695 APPIAN MWIRE Wire Instruction and Approval" 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) show MWIRE high-level architecture and its key interface components: "PULL" + "PUSH" + "DATA" services. During the editing of the wire details, MWIRE "pulls" signing authority and signing limit directly from OL. The analyst cannot override with unauthorized information. Once completed, the wire details are "pushed" by MWIRE into OL. (Pg. 6) shows the MWIRE logic for signing authority and limits

(Pp 07-09) **MWIRE_getAuthorizedAccountSearchFromWS** calls the function **getAccountSignatory** to retrieve signatory authority and limits from OL

(pp 10-17) **MWIRE_RequestAndDebitAcctSelectionForm** calls **MWIRE_Manual Wire Request Process** (pg. 11) to compare the "Amount to be wired" against the "selected Pool account Signatories' dollar limits". In (pp. 14-15), the eligible signing authorities and their limit are retrieved from OL and presented to user as a drop down list. One of these can be selected as input to the **Manual Wire Request Form**. User cannot override with unauthorized information.

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

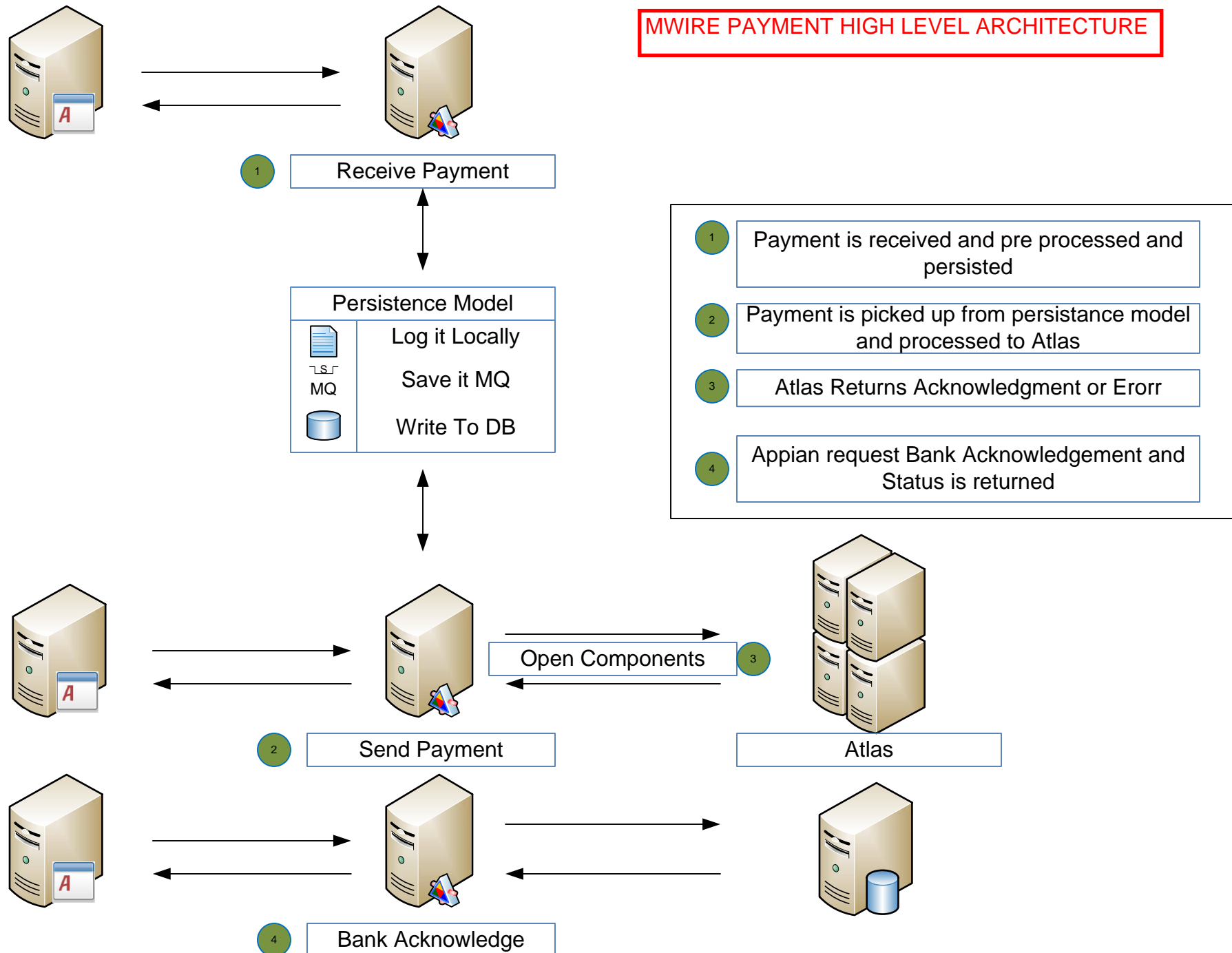
SOX IT confirmed that APPIAN applications are subject to APPIAN Version Control and TFS

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** has not changed since April 2017

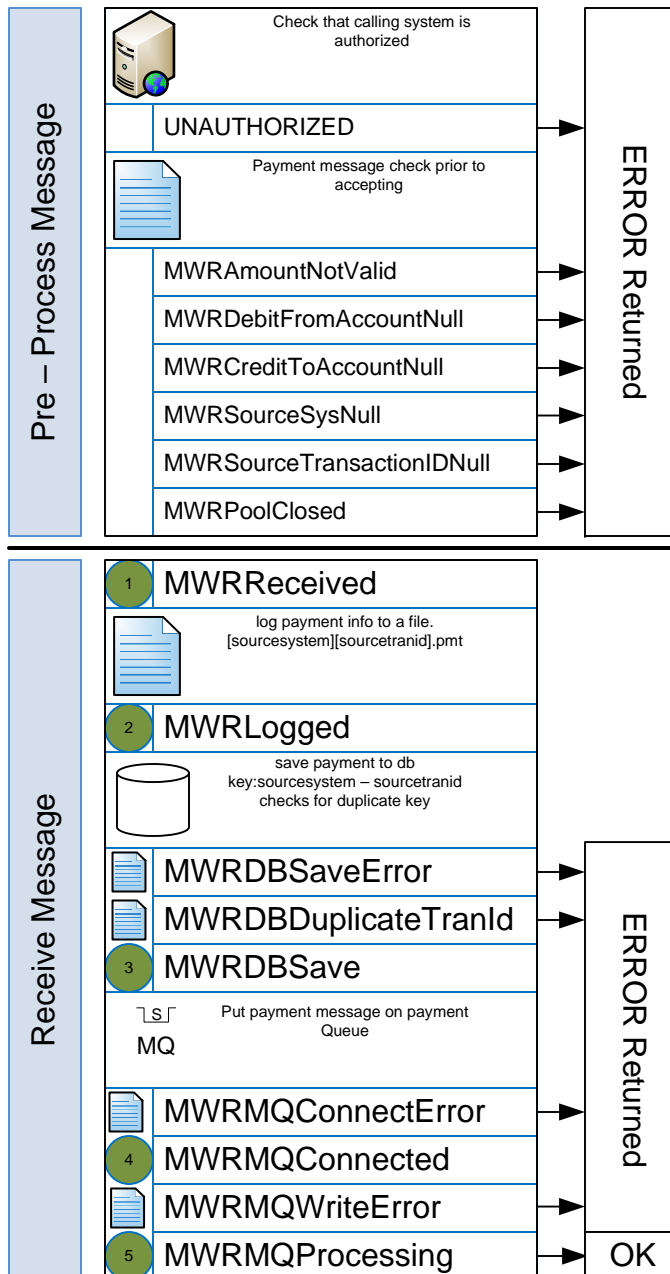
(Pg 10) **MWIRE_RequestAndDebitAcctSelectionForm** has not changed since April 2017

MWIRE PAYMENT HIGH LEVEL ARCHITECTURE



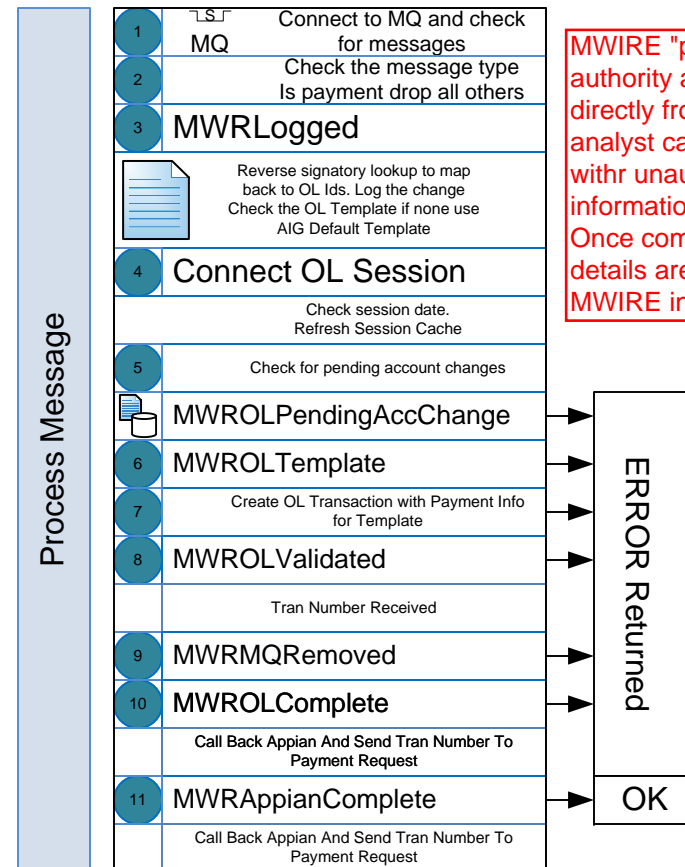
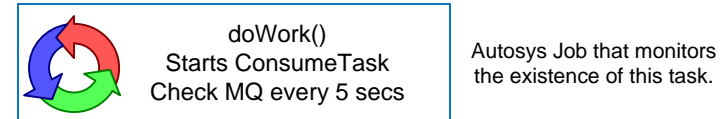
MWRWorkBench.ReceivePayment

**MWIRE
PULL
data
from OL**



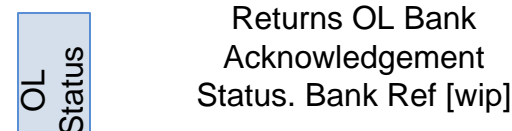
MWRWorkBench.SendPayment

**MWIRE
PUSH
data to
OL**



MWIRE "pulls" signing authority and signing limit directly from OL. The analyst cannot override withr unauthorized information. Once completed, the wire details are "pushed" by MWIRE into OL.

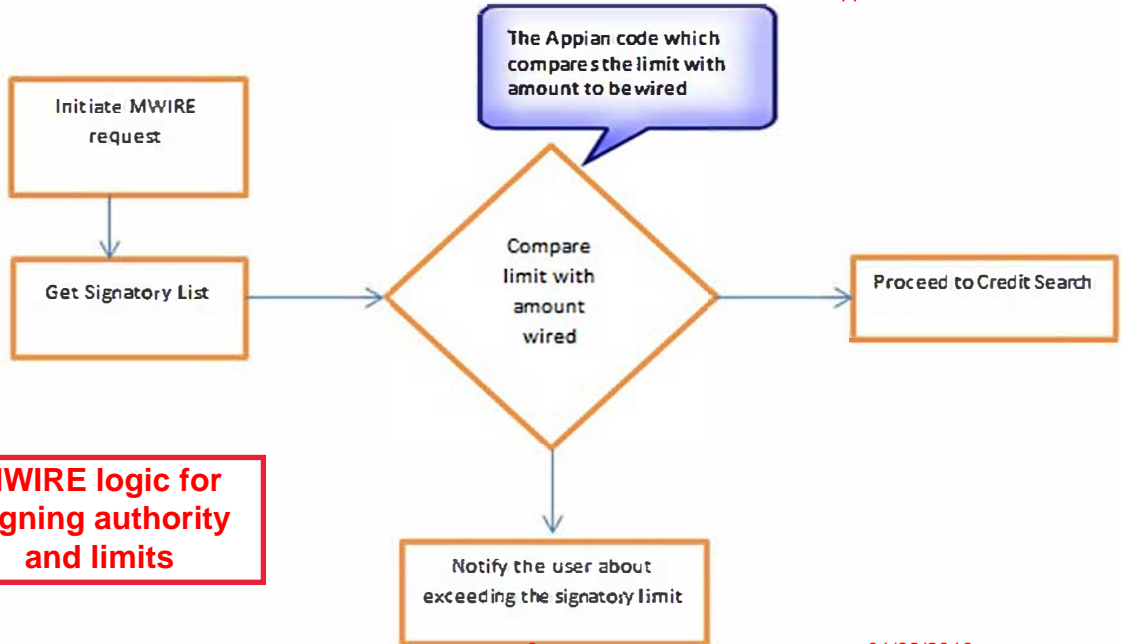
MWRWorkBench.DataServiceWCF



**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



Objects • Appian Designer

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

Production environment

Versions

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

Created By Created From To

mm/dd/yyyy mm/dd/yyyy

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

Thursday, October 18, 2018
Local time Thu 1:26 AM
IST Wed 10:56 PM
EST Wed 1:26 PM



```
1. with(  
2.   local!accountSignatoryWSresponse: webservicequery(  
3.     a!WSConfig(  
4.       wsdlurl: rule!COMWIX_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.getAccou  
17. )
```

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

TS-B.02

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>
```

Information related to
account 780172230
was pulled from OL

"MWIRE_getAuthorizedAccountSearchFromWS" calls
"getAccountSignatory" in order to retrieve signatory
information from OL

```
<soapenv:Envelope xmlns:s="http://schemas.xmlsoap.org/soap/envelope/">
  <s: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>
  </s:body>
</soapenv:Envelope>
```

News

MWIRE Manual Wire Request

MWIRE_getAuthorisedAccount

CA-1402695 APPIAN MWIRE Wire Instruction and Approval-S01.10

← → ↺ 🏠

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

80%

⋮ 📧 ☆ 🔍 Search

🔖 ⬇️ 🗑️ 📄 ☰

⚙️ Most Visited 📁 AIG ⚙️ Suggested Sites A APOP1 A Tax Department | Appi...

MWIRE Manual Wire Requests OBJECTS MONITORING

⋮ 🔍 🗑️ 📄 📄 Appian

🔍 RequestAndDebit 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

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

CLOSE

MWIRE_RequestAndDebitAcctSelectionForm

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

Not changed since April 2017

TS-B.04

Thursday, October 18, 2018

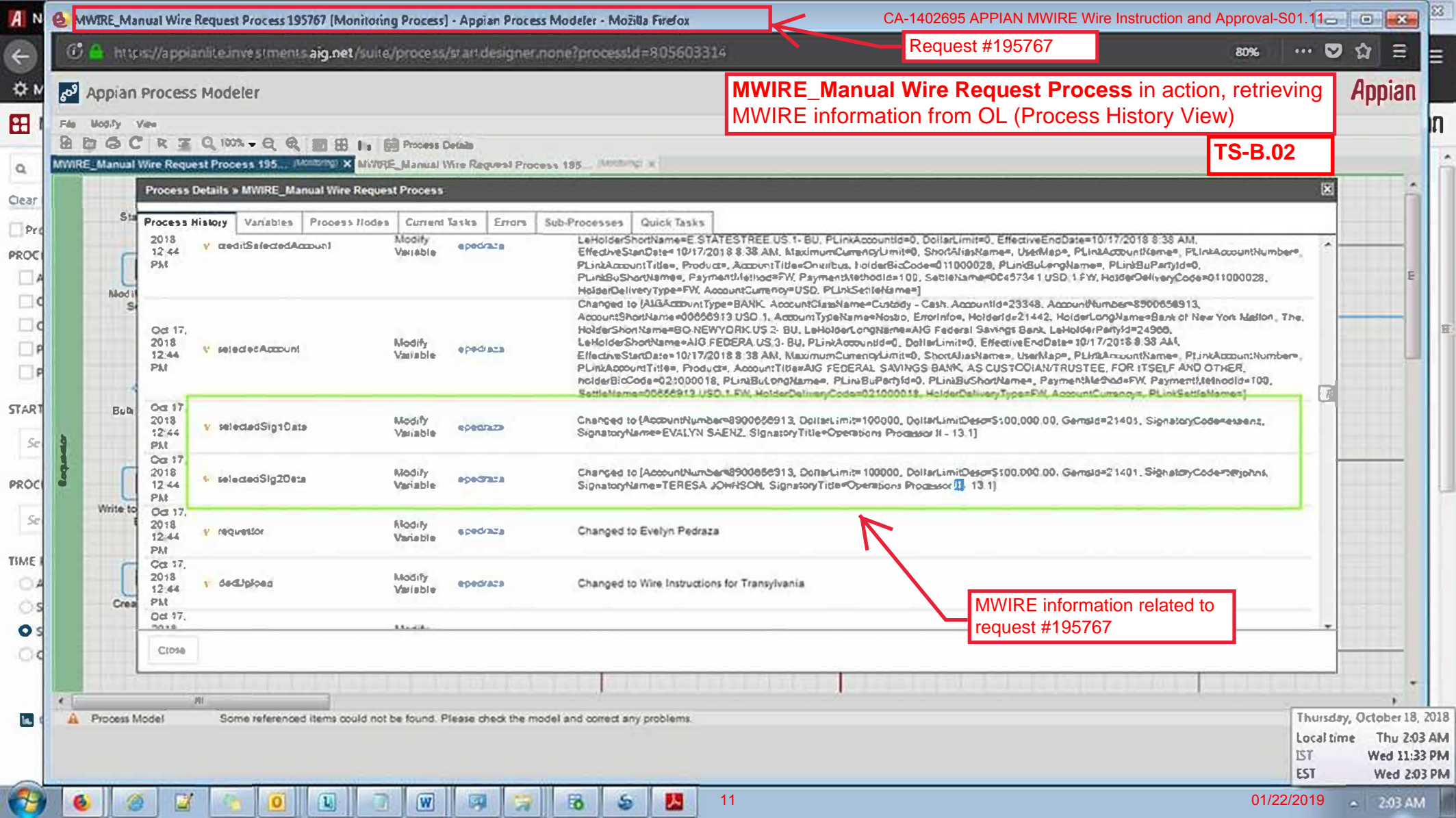
Local time Thu 1:54 AM

IST Wed 11:24 PM

EST Wed 1:54 PM

10

01/22/2019 1:54 AM



*** Section II- Debit Account Search**

* Account Type CP Pool

Payment Currency USD

Account Number P33001

Account Name

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

TS-B.02

Tuesday, October 30, 2018
Local time Tue 2:58 AM
US Mon 2:58 PM
India Time Tue 12:28 AM

01/22/2019

2:58 AM
10/30/2018

Payment
Reason/Special
Instructions

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

TS-B.02*** 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

Signing authorities and corresponding limits are
retrieved from OL and displayed as a list of choices.
User cannot override with unauthorized content

Signatory Approver 2

--Select--

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

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

01/22/2019 3:00 AM
10/30/2018

*** Section II- Debit Account Search**

* Account Type CP Pool

Payment Currency USD

Account Number P33001

Pool Account

TS-B.02

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

Signing authorities and
corresponding limits are retrieved
from OL and displayed as a list of
choices. User cannot override with
unauthorized content

--Select--

▼ Section IV - Credit Party InformationCredit Party Account EXTERNAL
Type:

PREVIOUS

NEXT

CANCEL

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

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

TS-B.02

Third-Party Account

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 & 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, '.,:~+()?'

TS-B.02

Tuesday, October 30, 2018

Local time Tue 3:03 AM

US Mon 3:03 PM

India Time Tue 12:33 AM

01/22/2019

3:03 AM

10/30/2018