## Perform Compliance Check

### Description

This service is used to perform compliance check for an individual or company / vessel .

Interfacing Source System: BPM, RMT(CasMex), CAS

Interfacing Target System: FIRCOSOFT

Message Format Name: COMPLIANCE\_CHECK

### Applicable Functionalities

| **User Type** | **Modules (Functional RS)** | **Functionality** | **Purpose** |
| --- | --- | --- | --- |
| Retail | Service Requests  (Service Request RS) | Perform compliance check for individual | Request for compliance check for an individual with the extra information like passportno., DOB, Residenc country etc |
| Retail  SME  Corporate | Service Requests  (Service Request RS) | Perform compliance check for company | Request for compliance check for a company with the extra information like DateOfIncorporation, CountryOfIncorporation etc |

### Request Description

| **Field Name** | **Description** | **Data Type (Max Length/ Format)** | **Mandatory (M)/**  **Optional (O)/**  **Conditional(C)** |
| --- | --- | --- | --- |
| DisplayAlertsFlag | Possible values are  0 - Alerts will be shown in Frontend  1 - Alerts will not be shown in the Frontend | String (1) | M |
| RetryRequiredFlag | This field denotes if MW is required to do Rerty if Host provides error response  Possible values are:  Y - Yes  N - No | String (1) | M |
| RequestingUnitName | From Source application Login Unit Name. Example : Compliance, Operations, Trade Finance | String(32) | M |
| UserData | Additional information entered by the operator | String(256) | O |
| RecordType | Type of Record - "I" for individual, "C" for company, "O" for others and "V" for vessels | String | M |
| ReferenceNo | Reference No of source application | String | M |
| EntityName | Customer or Company Name : Format LASTNAME(s) (COMMA) First Name + Middle Name (s) e.g John R Smith. Format e.g. SMITH, JOHN R | String | M |
| Gender | "Male"/"Female" | String | O |
| DateOfBirthOrIncorporation | DOB for individual/ Date of Incorporation for other than Individual - Date format : dd-mm-yyyy | String |  |
| Nationality | Nationality | String | O |
| CountryOfResidence | Residence Country - Country code in ISO Code | String | O |
| PassportNumber | Passport Number | String | O |
| PassportExpiryDate | This field needs to be sent if Passport Number is sent in the request. Expiry Date - Date format : dd-mm-yyyy | String | O |
| PassportIssuingCountry | This field needs to be sent if Passport Number is sent in the request. Country code in ISO Code | String | O |
| CountryOfIncorporation | This field needs to be sent for Companies or vessels. Country code in ISO Code | String | O |
| PreviousPassportNo | Previous Passport No (If any) | String | O |
| Remarks | If any remarks to be display in the Firco Trust | String | O |

Sample Request

<?xml version="1.0" encoding="UTF-8" standalone=“yes”?>

<EE\_EAI\_MESSAGE>

<EE\_EAI\_HEADER>

<MsgFormat> COMPLIANCE\_CHECK</MsgFormat>

<MsgVersion>0001</MsgVersion>

<RequestorChannelId> BPM</RequestorChannelId>

<RequestorUserId>RAKUSER</RequestorUserId>

<RequestorLanguage>E</RequestorLanguage>

<RequestorSecurityInfo>secure</RequestorSecurityInfo>

<ReturnCode>911</ReturnCode>

<ReturnDesc>Issuer Timed Out</ReturnDesc>

<MessageId>123123453</MessageId>

<Extra1>REQ||SHELL.JOHN</Extra1>

<Extra2>YYYY-MM-DDThh:mm:ss.mmm+hh:mm</Extra2>

</EE\_EAI\_HEADER>

<ComplianceCheckRequest>

<DisplayAlertsFlag>0</DisplayAlertsFlag>

<RequestingUnitName>Operations</RequestingUnitName>

<RecordType>I</RecordType>

<ReferenceNo>124578</ReferenceNo>

<EntityName>SMITH, JOHN R</EntityName>

<Gender>Male</Gender>

<DateOfBirthOrIncorporation>12-09-1995</DateOfBirthOrIncorporation>

<Nationality>String</Nationality>

<CountryOfResidence>UAE</CountryOfResidence>

<PassportNumber>Q123456</PassportNumber>

<PassportExpiryDate>19-03-2020</PassportExpiryDate>

<PassportIssuingCountry>UAE</PassportIssuingCountry>

<PreviousPassportNo>1242234</PreviousPassportNo>

<Remarks>This is remarks entered in the Front end</Remarks>

</ComplianceCheckRequest>

</EE\_EAI\_MESSAGE>

### Response Description

| **Field Name** | **Description** | **Data Type (Max Length/ Format)** | **Mandatory (M)/**  **Optional (O)/**  **Conditional(C)** |
| --- | --- | --- | --- |
| SystemID | ID of the message in Firco Trust.Firco returns the System ID Format : "Entity ID"!"Message ID"or"Record Id" | String(64) | M |
| FilterationDate | Firco returns the date of filteration in YYYY/mm/dd HH:MM:SS ex 2018/09/11 22:17:56 | String(32) | O |
| StatusBehavior | The behavior of the status, there are 5 possible behaviors: 0 for NEW and RENEW, - Send alert to channel 1 for FALSE, - Success 2 for TRUE, - Bad 4 for PENDING. - Waiting | String(1) | M |
| StatusName | Possible values are  NEW  RENEW FALSE TRUE PENDING | String(10) | M |
| AlertDetails | Holds the Alert Details Tect from Firco host in CDATA format. This field will come only when the ReturnCode is "FFF002"  This is a repeating field.i.e. if MW received FFF002 response from more than one Firco queue, then MW will return multiple AlertDetails tag | CDATA | O |

Sample Response

<?xml version="1.0" encoding="UTF-8" standalone=“yes”?>

<EE\_EAI\_MESSAGE>

<EE\_EAI\_HEADER>

<MsgFormat>COMPLIANCE\_CHECK</MsgFormat>

<MsgVersion>0001</MsgVersion>

<RequestorChannelId> BPM</RequestorChannelId>

<RequestorUserId>RAKUSER</RequestorUserId>

<RequestorLanguage>E</RequestorLanguage>

<RequestorSecurityInfo>secure</RequestorSecurityInfo>

<ReturnCode>000</ReturnCode>

<ReturnDesc>Success</ReturnDesc>

<MessageId>123123453</MessageId>

<Extra1>REP||SHELL.JOHN</Extra1>

<Extra2>YYYY-MM-DDThh:mm:ss.mmm+hh:mm</Extra2>

</EE\_EAI\_HEADER>

<ComplianceCheckResponse>

<SystemID>String</SystemID>

<FilterationDate>2018/09/11 22:17:56 </FilterationDate>

<StatusBehavior>1</StatusBehavior>

<StatusName>FALSE</StatusName>

<AlertDetails><![CDATA[Suspect(s) detected by OFAC-Agent:3SystemId: Associate: =============================

Suspect detected #1

OFAC ID:AS04979205

MATCH: 0.00

TAG: NAM

MATCHINGTEXT: MANOJ KUMAR,

RESULT: (0)

NAME: KUMAR, MONOJ

Synonyms: none

ADDRESS:

Synonyms: none

CITY:

Synonyms: none

COUNTRY: INDIA

Synonyms:

- BHARAT

- BHARATIYA GANARAJYA

- INDE

- INDIA

- INDIEN

- REPUBLIC OF INDIA

STATE:

Synonyms: none

ORIGIN:

PEP

DESIGNATION:

GWL

TYPE:

Individual

SEARCH CODES:

none

USER DATA 1:

none

USER DATA 2:

none

OFFICIAL REF:

2017-11-03 19:23:55 PEP

PASSPORT:

none

BIC CODES:

none

NATID:

none

PLACE OF BIRTH:

none

DATE OF BIRTH:

none

NATIONALITY:

none

ADDITIONAL INFOS:

List ID: 1020 / Create Date: 06/15/2015 00:00:00 / Last Update Date: 11/03/2017 19:23:55 / Org\_PID: 435483 / Title: SON OF MAHENDRA NARAYAN SARDAR, FORMER MEMBER OF THE BIHAR LEGISLATIVE ASSEMBLY / Gender: MALE / Relationship: Son / OriginalID: 5961441

FML TYPE:

1

FML PRIORITY:

0

FML CONFIDENTIALITY:

0

FML INFO:

none

PEP-FEP:

1 0

KEYWORDS:

OS:PEP NS:NAMESOURCE\_WEBSITE ENTITYLEVEL:LEVEL\_STATE SC:FAMILY\_MEMBER

HYPERLINKS:

https://accuity.worldcompliance.com/signin.aspx?ent=b1468822-76a2-4afe-8f4e-c7bcac6fa398

TYS: 1

ISN: 0

=============================

Suspect detected #2

OFAC ID:AS08151740

MATCH: 0.00

TAG: NAM

MATCHINGTEXT: MANOJ KUMAR,

RESULT: (0)

NAME: CHAUDHARY, MANOJ

Synonyms:

\* KUMAR, MANOJ

ADDRESS:

Synonyms: none

CITY: MATHURA

Synonyms: none

COUNTRY: INDIA

Synonyms:

- BHARAT

- BHARATIYA GANARAJYA

- INDE

- INDIA

- INDIEN

- REPUBLIC OF INDIA

STATE: UTTAR PRADESH

Synonyms: none

ORIGIN:

EDD\_ASIA\_PACIFIC

DESIGNATION:

GWL

TYPE:

Individual

SEARCH CODES:

none

USER DATA 1:

none

USER DATA 2:

none

OFFICIAL REF:

2018-05-30 17:27:37 EDA

PASSPORT:

none

BIC CODES:

none

NATID:

none

PLACE OF BIRTH:

none

DATE OF BIRTH:

none

NATIONALITY:

none

ADDITIONAL INFOS:

List ID: 1106 / Create Date: 05/30/2018 17:27:37 / Last Update Date: 05/30/2018 17:27:37 / Org\_PID: 9022401 / Title: ARRESTED FOR HUMAN TRAFFICKING - MAY 21, 2018. / Gender: MALE / OtherInformation: According to newindianexpress.com and timesofindia.indiatimes.com; May 22, 2018: On May 21, 2018, Manoj Chaudhary was arrested along with his co-conspirators for allegedly involved in human trafficking. Police rescued girl from a private guest house here / Relationship: Co-Defendant / OriginalID: 9022430

FML TYPE:

1

FML PRIORITY:

0

FML CONFIDENTIALITY:

0

FML INFO:

none

PEP-FEP:

0 0

KEYWORDS:

OS:ADVERSE\_MEDIA NS:NAMESOURCE\_WEBSITE ENTITYLEVEL:LEVEL\_NA SC:ORGANIZED\_CRIME

HYPERLINKS:

https://accuity.worldcompliance.com/signin.aspx?ent=0441df7d-2c7c-4623-b40d-9f6bb4fa8722

TYS: 1

ISN: 1

=============================

Suspect detected #3

OFAC ID:AS05752051

MATCH: 0.00

TAG: NAM

MATCHINGTEXT: MANOJ KUMAR,

RESULT: (0)

NAME: KUMAR, H K MANOJ

Synonyms:

- MANOJ KARNATAKA

ADDRESS:

Synonyms: none

CITY:

Synonyms: none

COUNTRY: INDIA

Synonyms:

- BHARAT

- BHARATIYA GANARAJYA

- INDE

- INDIA

- INDIEN

- REPUBLIC OF INDIA

STATE:

Synonyms: none

ORIGIN:

PEP

DESIGNATION:

GWL

TYPE:

Individual

SEARCH CODES:

XKW5607023

USER DATA 1:

none

USER DATA 2:

none

OFFICIAL REF:

2018-05-22 11:14:47 PEP

PASSPORT:

none

BIC CODES:

none

NATID:

none

PLACE OF BIRTH:

none

DATE OF BIRTH:

1982 1983

NATIONALITY:

none

ADDITIONAL INFOS:

List ID: 1020 / Create Date: 10/10/2016 00:00:00 / Last Update Date: 05/22/2018 11:14:47 / Org\_PID: 437818 / Title: SON OF H K KUMARASWAMY, MEMBER OF THE KARNATAKA LEGISLATIVE ASSEMBLY. / OtherID: XKW5607023 / Gender: MALE / Relationship: Son / OriginalID: 7586652

FML TYPE:

1

FML PRIORITY:

0

FML CONFIDENTIALITY:

0

FML INFO:

none

PEP-FEP:

1 0

KEYWORDS:

OS:PEP NS:NAMESOURCE\_WEBSITE ENTITYLEVEL:LEVEL\_STATE SC:FAMILY\_MEMBER

HYPERLINKS:

https://accuity.worldcompliance.com/signin.aspx?ent=158f588d-2b86-41e8-8432-5b7663dbf90a

TYS: 1

ISN: 0

=============================

\*\*\* INTERNAL OFAC DETAILS \*\*\*

HasSndRcvIn

Limited: 0

|AS04979205|0.00|NAM|3|13|-1|-1|-1|-1|-1|-1|-1|-1|

|AS08151740|0.00|NAM|3|13|-1|-1|-1|-1|-1|-1|-1|-1|

|AS05752051|0.00|NAM|3|13|-1|-1|-1|-1|-1|-1|-1|-1|]]></AlertDetails>

<AlertDetails><![CDATA[Suspect(s) detected by OFAC-Agent:3SystemId: Associate: =============================

Suspect detected #1

OFAC ID:AS04979205

MATCH: 0.00

TAG: NAM

MATCHINGTEXT: MANOJ KUMAR,

RESULT: (0)

NAME: KUMAR, MONOJ

Synonyms: none

ADDRESS:

Synonyms: none

CITY:

Synonyms: none

COUNTRY: INDIA

Synonyms:

- BHARAT

- BHARATIYA GANARAJYA

- INDE

- INDIA

- INDIEN

- REPUBLIC OF INDIA

STATE:

Synonyms: none

ORIGIN:

PEP

DESIGNATION:

GWL

TYPE:

Individual

SEARCH CODES:

none

USER DATA 1:

none

USER DATA 2:

none

OFFICIAL REF:

2017-11-03 19:23:55 PEP

PASSPORT:

none

BIC CODES:

none

NATID:

none

PLACE OF BIRTH:

none

DATE OF BIRTH:

none

NATIONALITY:

none

ADDITIONAL INFOS:

List ID: 1020 / Create Date: 06/15/2015 00:00:00 / Last Update Date: 11/03/2017 19:23:55 / Org\_PID: 435483 / Title: SON OF MAHENDRA NARAYAN SARDAR, FORMER MEMBER OF THE BIHAR LEGISLATIVE ASSEMBLY / Gender: MALE / Relationship: Son / OriginalID: 5961441

FML TYPE:

1

FML PRIORITY:

0

FML CONFIDENTIALITY:

0

FML INFO:

none

PEP-FEP:

1 0

KEYWORDS:

OS:PEP NS:NAMESOURCE\_WEBSITE ENTITYLEVEL:LEVEL\_STATE SC:FAMILY\_MEMBER

HYPERLINKS:

https://accuity.worldcompliance.com/signin.aspx?ent=b1468822-76a2-4afe-8f4e-c7bcac6fa398

TYS: 1

ISN: 0

=============================

Suspect detected #2

OFAC ID:AS08151740

MATCH: 0.00

TAG: NAM

MATCHINGTEXT: MANOJ KUMAR,

RESULT: (0)

NAME: CHAUDHARY, MANOJ

Synonyms:

\* KUMAR, MANOJ

ADDRESS:

Synonyms: none

CITY: MATHURA

Synonyms: none

COUNTRY: INDIA

Synonyms:

- BHARAT

- BHARATIYA GANARAJYA

- INDE

- INDIA

- INDIEN

- REPUBLIC OF INDIA

STATE: UTTAR PRADESH

Synonyms: none

ORIGIN:

EDD\_ASIA\_PACIFIC

DESIGNATION:

GWL

TYPE:

Individual

SEARCH CODES:

none

USER DATA 1:

none

USER DATA 2:

none

OFFICIAL REF:

2018-05-30 17:27:37 EDA

PASSPORT:

none

BIC CODES:

none

NATID:

none

PLACE OF BIRTH:

none

DATE OF BIRTH:

none

NATIONALITY:

none

ADDITIONAL INFOS:

List ID: 1106 / Create Date: 05/30/2018 17:27:37 / Last Update Date: 05/30/2018 17:27:37 / Org\_PID: 9022401 / Title: ARRESTED FOR HUMAN TRAFFICKING - MAY 21, 2018. / Gender: MALE / OtherInformation: According to newindianexpress.com and timesofindia.indiatimes.com; May 22, 2018: On May 21, 2018, Manoj Chaudhary was arrested along with his co-conspirators for allegedly involved in human trafficking. Police rescued girl from a private guest house here / Relationship: Co-Defendant / OriginalID: 9022430

FML TYPE:

1

FML PRIORITY:

0

FML CONFIDENTIALITY:

0

FML INFO:

none

PEP-FEP:

0 0

KEYWORDS:

OS:ADVERSE\_MEDIA NS:NAMESOURCE\_WEBSITE ENTITYLEVEL:LEVEL\_NA SC:ORGANIZED\_CRIME

HYPERLINKS:

https://accuity.worldcompliance.com/signin.aspx?ent=0441df7d-2c7c-4623-b40d-9f6bb4fa8722

TYS: 1

ISN: 1

=============================

Suspect detected #3

OFAC ID:AS05752051

MATCH: 0.00

TAG: NAM

MATCHINGTEXT: MANOJ KUMAR,

RESULT: (0)

NAME: KUMAR, H K MANOJ

Synonyms:

- MANOJ KARNATAKA

ADDRESS:

Synonyms: none

CITY:

Synonyms: none

COUNTRY: INDIA

Synonyms:

- BHARAT

- BHARATIYA GANARAJYA

- INDE

- INDIA

- INDIEN

- REPUBLIC OF INDIA

STATE:

Synonyms: none

ORIGIN:

PEP

DESIGNATION:

GWL

TYPE:

Individual

SEARCH CODES:

XKW5607023

USER DATA 1:

none

USER DATA 2:

none

OFFICIAL REF:

2018-05-22 11:14:47 PEP

PASSPORT:

none

BIC CODES:

none

NATID:

none

PLACE OF BIRTH:

none

DATE OF BIRTH:

1982 1983

NATIONALITY:

none

ADDITIONAL INFOS:

List ID: 1020 / Create Date: 10/10/2016 00:00:00 / Last Update Date: 05/22/2018 11:14:47 / Org\_PID: 437818 / Title: SON OF H K KUMARASWAMY, MEMBER OF THE KARNATAKA LEGISLATIVE ASSEMBLY. / OtherID: XKW5607023 / Gender: MALE / Relationship: Son / OriginalID: 7586652

FML TYPE:

1

FML PRIORITY:

0

FML CONFIDENTIALITY:

0

FML INFO:

none

PEP-FEP:

1 0

KEYWORDS:

OS:PEP NS:NAMESOURCE\_WEBSITE ENTITYLEVEL:LEVEL\_STATE SC:FAMILY\_MEMBER

HYPERLINKS:

https://accuity.worldcompliance.com/signin.aspx?ent=158f588d-2b86-41e8-8432-5b7663dbf90a

TYS: 1

ISN: 0

=============================

\*\*\* INTERNAL OFAC DETAILS \*\*\*

HasSndRcvIn

Limited: 0

|AS04979205|0.00|NAM|3|13|-1|-1|-1|-1|-1|-1|-1|-1|

|AS08151740|0.00|NAM|3|13|-1|-1|-1|-1|-1|-1|-1|-1|

|AS05752051|0.00|NAM|3|13|-1|-1|-1|-1|-1|-1|-1|-1|]]>

</AlertDetails>

</ComplianceCheckResponse>

</EE\_EAI\_MESSAGE>

### Interface Parameters

None