

Spectrum™ Technology Platform

Version 12.0 SP2

FCC Screening Solution Guide



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1 - Getting Started

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Introduction to Screener

Screener, a financial crime and compliance (FCC) screening solution by Pitney Bowes is a comprehensive software solution that helps banks and financial institutions effectively detect financial crimes. It helps financial institutions reduce false positives and maintain robust detection capability as required by the regulators.

The application is built on Spectrum™ Technology Platform and advanced algorithms to provide the find-link-visualize capabilities. In this application, the entity resolution capabilities of Pitney Bowes are integrated into a screening engine through which one can determine whether the potential sanctioned party is safe to do business or not.

This guide describes capabilities of the **Screener** and allows you to use the available information to take proactive measures to avoid frauds and reduce the investigation burden.

Home Page

The Pitney Bowes **Screener** Home page has all the links and information you need to get started.

To access the **Home Page**:

1. Open **Screener Sign in** page: `http://<ServerName>:<Port>/fcc`
2. Enter your credentials.
3. Click **Sign in**. The **Home page** loads.

Using the Home Page

You can use the **Screener Home page** to accomplish these:

- **List Management**
- **Screening**
- **Party Groups**
- **Alert Management**

Configuring Screener Environment

You need to set the environment before using the **Screener**.

This section guides you through the steps required for installation of **Screener**.

Installing Spectrum™ Technology Platform

Install Spectrum™ Technology Platform with these modules:

- Spectrum Technology Platform Server(64-bit)
- Business Steward Module
- Data Integration Module
- Data Hub Module
- Spectrum Screener
- Universal Addressing Module
- Universal Name, Data Normalization, and Advanced Matching Modules

Note: Deselect the **Start the server after installation is complete** check box which appears in the installation wizard.

For more information on installing Spectrum™ Technology Platform, see **Installing a New Server** section of the **Installation Guide**.

Follow these steps after successful installation of Spectrum™ Technology Platform:

1. Navigate to <SpectrumLocation>\server\modules\fcc\model and extract the contents of the zip folder **model.FCC_METADATA** to a folder with the same name.

Note: Ensure that the extracted folder consists of the same data as that of the zip folder.

2. Copy the **model.FCC_METADATA** folder to <SpectrumLocation>\server\modules\hub\db
3. Import dataflows. For more information see, [Importing Flows](#) on page 9.
4. Start the Spectrum™ Technology Platform server.

After the Spectrum™ Technology Platform server starts successfully, follow these steps to generate secure **Entities** of **model.FCC_METADATA** in **Hub**:

1. To access the **Spectrum Hub RAC** Client, open a web browser and go to:

`http://Server:Port/hub`

Where *server* is the server name or IP address of your Spectrum™ Technology Platform server and *port* is the HTTP port. By default, it is set to 8080.

2. Login using *admin* as the **User name** and **Password**
3. Click the Pitney Bowes logo placed at the top left corner of the screen and click **Manage** from the available menu options.

Model Management pop-up window appears, this displays details about **FCC_METADATA** under the **Models** tab.

4. Copy **FCC_METADATA** model using the **Copy** button and rename it to **FCC_METADATA_BAK**
5. Delete **FCC_METADATA** model using the **Remove** button.

6. Copy **FCC_METADATA_BAK** model using the **Copy** button and rename it to **FCC_METADATA**
7. Delete **FCC_METADATA_BAK** model using the **Remove** button.

Importing Base Tables

Run the **Data Normalization Module** database utility, select **Advanced Transformer** and enter this path for the source folder:

```
<SpectrumLocation>/server/modules/fcc/FCC_Repo/setup/baseTables
```

Note: Repeat this step by selecting **Open Parser** and **Table Lookup**.

Importing Custom Table

Import *CustomTables* through the Spectrum™ Administration Utility. Use this command:

```
table import <spectrumlocation/server/modules/fcc/FCC_Repo/setup>
```

Here, the path of table will be for all the tables present under these folders:

- at
- parser
- lookup

For more information on the Administration utility, see the Administration Utility section of the Administration Guide. [Getting Started with the Administration Utility](#)

Importing matchrule and openparser domain

Import *matchrules* and *openparser* domain through the Spectrum™ Administration Utility. Use these commands:

- For matchrule:

```
matchrule import --f
<spectrumlocation/server/modules/fcc/FCC_Repo/setup/matchRule>
```

- For openparser domain:

```
openparser domain import --f
<spectrumlocation/server/modules/fcc/FCC_Repo/setup/domainOP>
```

Importing Flows

Data flow process data from one stage to the other. Output of one flow becomes the input of the next, this is not true always. There are process flows which use main flows for processing.

- **FCC-Integrated-Flow:** An end-to-end integrated flow. It cleanses, screens and creates an alert for the data if any hit is found. This flow contains:
 - *ProcFlow_PartyER_N_Screening*

Process flows and their main data flows of various modules are summarized in these sections:

- **Party Management Data/Process:** Run the **FCC_ER_Party_PostProc1_CreatePartySearchIndex_v1** job before running any other flow. The input file for this job is *DummyPartySearchIndex.txt* and the outputs generated are:

- To Index: *ER_Party_SearchIndex*
- To File: *SI_Update_All_Test.csv*

Party Management flows:

Process Flow	Main Flow	Input	Output
FCC_ER_Full LoadInitial_ProcessFlow_V1: This flow takes party data as input and performs cleansing, normalization, and intraflow matching before producing the output.	FCC_ER_Party_MainFlow1_Normalization_v1.df: For normalization of data.	Takes a file with party data. Fields include: <ul style="list-style-type: none"> • inParty • inPartyAddress • inPartyPhone • inPartyEmail • inAccount • inPartyAccount 	It produces: <i>Party_MainFlow2_1_input.txt</i>
	FCC_ER_Party_MainFlow2_1_IntraflowMatch_v1.df: Finds matches between similar data records.	<i>Party_MainFlow2_1_input.txt</i> which is the output of <i>FCC_ER_Party_MainFlow1_Normalization_v1.df</i>	It produces: <i>Party_MainFlow2_2_input.txt</i>
	FCC_ER_Party_MainFlow2_2_TransactionalMatchAndSurvivorship_v1.df: Finds interflow matches.	<i>Party_MainFlow2_2_input.txt</i> which is the output of <i>FCC_ER_Party_MainFlow2_1_IntraflowMatch_v1.df</i>	It produces: <i>Party_MainFlow3_input.txt</i>
	FCC_ER_Party_PostProc1_UpdatePartySearchIndex_v1: Updates a party search index based on Party ID.	<i>Party_MainFlow3_input.txt</i> which is output of <i>FCC_ER_Party_MainFlow2_2_TransactionalMatchAndSurvivorship_v1.df</i>	It produces: To Index: <i>ER_Party_SearchIndex</i>

Screening Data/Process Flows: This table summarizes the screening flows:

Process Flow	Flow	Input	Output
Screening_Process: Performs screening and loads data into hub.	Party_Screening: It performs party screening and stores results in a file. This will screen the parties against both cleansed and unclesed List data.	Party_MainFlow3_input.txt This is the output of: <i>FCC_ER_Party_MainFlow2_2_TransactionalMatchAndSurvivorship_v1.df</i>	It produces these: <ul style="list-style-type: none"> To File: <i>Party_Cleansed_Hits.csv</i> To Unclesed List: <i>Party_UnCleansed_Hits.csv</i>
	Screening_Output: Combines the results of cleansed and unclesed matches and performs consolidation. This essentially means creating an alert in the Hub model and consolidating all the matches in a single alert.	It takes cleansed data file <i>Party_Cleansed_Hits.csv</i> and unclesed data file <i>Party_UnCleansed_Hits.csv</i> . These are output of: <i>Party_Screneing.df</i>	Loads the data into hub.

Note: Import all other flows placed at
<spectrumlocation>/server/modules/fcc/Dataflows

Mapping DB for UAM and Loqate

Map the Universal Addressing Module and Loqate databases with the **Screener**. This will validate and standardize the addresses. For information on Spectrum™ databases, see the **Spectrum Databases** section of the **Administration Guide**, [Introduction to Spectrum Databases](#).

Add these as the name of the databases:

- Loqate
- LQT_EUROPE
- LQT_EMEA
- LQT_APAC
- LQT_AMER
- UAMUS
- UAMCAN
- UAMFRA

Placement of Data Files

Copy the **FCC_Repo** folder placed at `SpectrumLocation/server/modules/fcc` from the **installation** folder to the **C:** drive of your system. If you are not using the **C:** drive, change the paths of input and output files for the flows mentioned in the Screening Data/Process flow table. For more information, See [Screening Data/Process Flows](#).

Sample input and output files are present in the **FCC_Repo** folder.

Configuring Negative Media Service

Importing the Negative Media Service

1. Open the **Management Console**
2. Click **Resources**
3. Click **External Web Services**
4. Click **Import** and select *NegativeMediaNomino* service

Authenticating Negative Media Service

1. Generate an open token. For details on generating the open token, [click here](#).
2. Edit the *NegativeMediaNomino* service
3. Click **Next** twice to reach **Headers** section
4. Update the **Authorization** token with the token generated in step 1
5. Click **Save**

Note: Ensure that the *NegativeMediaNomino* service is enabled.

List Import utility – Upload and Polling

To import any **List** files from the **Screener** or to directly upload these to the polling or base directory, you need to configure and start **ListIngestion** utility.

Configuring a Pre Process Flow

Create a pre process flow prior to uploading any **List** files from the vendor. If not creating a pre process flow you must ensure that the input files are in a *standard canonical format* which is fixed for list ingestion flows.

These flows correspond to a unique combination of **ListType** and **Vendor**. Multiple files can be provided as input and the output should be generated in a single file, this output file should be in a *fixed canonical format*. Number and order of columns of the output file must match the input file of the list ingestion process flow.

Note: The output file must not contain **ListID** and **ListEntryStatus** fields.

If no Pre Process flow is configured for a given **ListType** and **Vendor**, it will be treated as a *fixed canonical format* file and will be directly fed to the **List Ingestion Process flow**.

Note: After creating the pre process flow, configure it in hub using the **SetFlowConfig** flow.

All the fields such as **ListType**, **Vendor**, **Mappings**, and **FlowName** of the **Inspection Input** tab are mandatory.

The **Mappings** section displays a list of files and their **Mode**, **Info** and **Stage**. The **Label** field gets generated in the flow.

- The **Mapping Mode** can be **IN** or **OUT**, specify **IN** or **OUT** depending on whether you want to **Read from File** or **Write to File**.

- The **Info** field specifies the information about the file such as address, e-mail, and name. This is helpful during uploading a file.

After the successful configuration of the pre process flow, run the **List Ingestion Utility**.

Running the List Ingestion Utility

To run the list ingestion utility, follow these steps:

This utility requires Spectrum™ Technology Platform libraries for execution.

1. Navigate to this path:

```
<SpectrumLocation> \server\modules\fcc>ListIngestionUtility
```

2. Execute this script in the command line: `java -cp "fcc.jar;C:/<Path of Spectrum Libraries>" com.pb.spectrum.fcc.job.Main -u <Spectrum Username> -p <Spectrum Password> -h <Spectrum Server> -s <Port> -x <Path of List Polling Directory>`

Note: *<Path of List Polling Directory>* must match the `fcc.spectrum.list.job.poll.dir` property file placed at `modules/fcc/fcc.properties`

The Log file for this utility **fcc.log** will be generated at `<SpectrumLocation> \server\modules\fcc>ListIngestionUtility`. This utility will be polling at the base directory for any changes made by uploading **List** files or by directly copying these to **Import** folder.

Any **List** file uploaded through the pre process flow will be placed in the base directory with this hierarchy:

BaseDir > ListType > Vendor > ListID > Import > InputFile

Note: This execution can also be triggered directly by placing the input file in **Import** directory

After the completion of this utility, **List_in.csv** file placed in the **Import** directory will be moved to **NewListVersion/archive Listversion** directory, irrespective of the status (passed or failed) of the job.

User Roles and Permissions

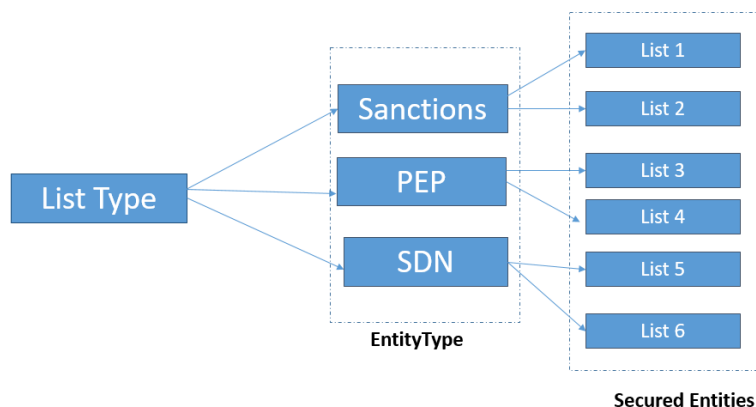
You will be provided an in-built role having the **Spectrum** Module permissions required to get started on **Screener**. You can also create new roles in **Spectrum** Module and assign permissions as mentioned below.

Permissions on List Management

List management has permissions based on:

- List Type
- List Countries

1. **List Type:** All list types are registered as *EntityTypes*. A list of type X will be a controlled entity registered within type X. For example:



2. **List Countries:** To access the list, you should have permissions on at least one country in the List. The available list permissions are **Create**, **Delete**, **View**, and **Modify**.

To approve a List, you need **Execute** permission on that **List Type**. **Entity Overrides** will work as usual.

Alerts & Party Groups

For Alerts, there is single top-level check in **Screener**. You need to assign **View** permissions on **Alert**. You will be able to see alerts based on the Party Groups you have permission on.

Note: Access to portfolios can be restricted through **Entity Overrides**.

Screening

To perform manual screening, you must have **Execute** permission on **Screening**.

Uncleansed Matches

To view unclesed matches, you must have **View** permission on Uncleansed matches.

Whitelist

You must have **Create**, **View**, and **Delete** permissions to perform respective operations.

2 - List Management

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Introduction to List Management

A list is a collection of names of individuals and companies whose data is managed and screened by the **Screener**. Based on role, you can view or edit the list. You can perform a number of operations on a list and its items.

To View a list page:

1. Login to **Screener**.
2. Click **Lists** from the navigation.

Viewing List

The **View List** page displays lists of individuals and company accounts. You can manage a list here. Data in the list is retrieved from the database on real-time basis, so that it always displays updated information.

On this page, two types of lists are available:

1. Lists display all the individual/company accounts.
2. *Whitelists* include only individual/company accounts that have been marked as whitelisted. [Click here](#) to know more about whitelists.

The List page displays this information:

Control	Description
Title	The title header displays identification of the list, name, and its current version number.
List Type	There are two types of lists: <ol style="list-style-type: none"> 1. List 2. Whitelist

Control	Description
List Operations	<p>You can perform following operations with respect to a list:</p> <ol style="list-style-type: none"> Create a New List: You can create a new list by clicking the + sign. It opens a new pop-up window where you can fill out required details and make selection as per requirement. For details on creating list, refer to Create New List. Edit List: You can edit the opened list by clicking the edit icon. It opens a pop up window with all the field pre-populated. You can make changes to the existing entries and then save to consolidate new changes. For details on editing a list, refer to Edit a List. Deactivate List: You can deactivate a list by clicking the Deactivate List icon. A deactivated list will not be used in screening. Export List: You can also export a list by clicking the Export icon. Once the export is successful, you can download that list in .csv format.
Filter	Type a search term to refine the search results in the list.
List Components	<p>This part of the page displays the list and its content in tabular format. Each of the rows can be selected for different operations and some columns also allow sorting. The following section describes the list table in detail:</p> <ol style="list-style-type: none"> Select All: You can select all the records of the list on the page. List name: Name of the list. List id: The unique ID of the list. List type: Type of the list. It can be SDN, PEP, and so on. Vendor: Name of the vendor who has provided the list. Version number: The current version of the list. List status: The current nstatus of the list. It can be Approved, UnApproved, and so on. Country: The country to which the list belongs. <p>Note: You can sort these columns except Country in ascending or descending order by clicking the respective table headers.</p>
Rows per page	The default rows per page is set to 10. You can change it up to 25 rows per page.
Pagination	Page numbers of the list. You can jump to next pages by clicking the links.

Viewing Whitelist

The **Whitelists** tab displays all the accounts that are white-listed. If a Party for a specific list is Whitelisted and if there is a match irrespective of the confidence scores, the alert is discounted.

To view lists, follow these steps:

1. Login to **Screeener**
2. Click **Lists** from the navigation and then click **Whitelists** tab.

Whitelists are displayed with this information:

Control	Description
Title	The title header displays identification of the list, name, and its current version number.
List Type	There are two types of lists: <ol style="list-style-type: none">1. List2. Whitelist
Search	Type a search term to look for a list in the table.

Control	Description
List Components	<p>This part of the page displays the list and its content in tabular format. Each of the rows can be selected for different operations and some columns also allow sorting. The following section describes the list table in detail:</p> <ol style="list-style-type: none"> 1. Select All: You can select all the records of the list on the page. 2. Party id: ID of the party. 3. National id: National identification number of the party. 4. Party name: Name of the party. 5. Current version: Current version of the whitelist. 6. Country: The country to which the list belongs 7. Whitelist: This columns displays the number of whitelists available for the party. Clicking the number expands a section that displays details about each of the lists in a nested table. <p>The Whitelist details include:</p> <ol style="list-style-type: none"> 1. List id: The unique list identification number. 2. List name: Name of the list. List names include US PEP Lists, Specially Designated Nationals, or US News Articles. 3. List type: Category of the list. It includes PEP, SDN, or NegMedia. 4. Vendor: Name of the vendor of the list. 5. Version number: Version of the whitelist. 6. List status: Current status of the list. It includes Approved or Rejected. 7. Country: Name of the country to which the list belongs.
Rows per page	The default rows per page is set to 10. You can change it up to 25 rows per page.
Pagination	Page numbers of the list. You can jump to next pages by clicking the links.

Creating List

Based on your permissions, you can create a new list.

Follow these steps to create a new list:

1. Open the **Lists** page
2. Click the **+** icon.
3. Enter **List name**
4. Select a **List type**
5. Select **Internal** or **External** list
6. Select the **Vendor**
7. Select **Yes** if you want to automatically screen parties when list entries change. Else, select **No**

8. Select the **Effective date** from when the list becomes live.
9. Select the **Effective status** of the list when it becomes live
10. Select **All countries** or **Specific countries** from the available list of countries. Selected countries appear in the right-side box
11. Click **Save** to create the list and upload details to the server

Note: Click **Cancel** if you wish to close the list without any changes

Editing List

Edit list page allows you to modify the existing lists.

To edit a list, follow these steps:

1. Select a list from the **view list** page
2. Click the **Edit** button from top-right section above the list table. The edit list page loads.
3. Select the **List status**
4. Edit or retain the **List name**
5. Select the **List type**
6. Select **Internal** or **External** list
7. Select the **Vendor**
8. Select whether the changes need to get screened automatically or manually
9. Click **List location for upload** to browse the input list file that contains the list entries
10. Select the **Effective date** from when the list becomes live
11. Select the **Effective status** of the list when it becomes live
12. Select **All countries** or **Specific countries** from the available list of countries. Selected countries appear in the right-side box
13. Click **Save** to apply the changes

Note: Click **Cancel** if you wish to abort the changes.

Viewing List Entries

The **Edit List** page also displays the associated list entries in a tabular format. A list entry can be an individual or a company account. Based on your access level permissions, title of the section and the available options will change.

The **List Entries** section will display following information:

Control	Description
List Entry Operations	<p>You can perform following operations with respect to a list entry:</p> <ol style="list-style-type: none"> 1. Create a new List entry: You can create a new list entry by clicking the + sign. It opens a new pop-up window where you can fill out required details and make selection as per requirement. For details on creating list entry, refer to Adding List Entries on page 22. 2. Edit List entry: You can edit the selected list entry by clicking the edit icon. It opens a pop up window with all the field pre-populated. You can make changes to the existing entries and then save to consolidate new changes. For details on editing a list entry, refer to Editing List Entries on page 22. 3. Delete list entry: You can also delete an existing list entry.
Filter	Type a search term to refine the search results in the list.
List Entry Components	<p>This part of the page displays the list and its content in tabular format. Each of the rows can be selected for different operations and some columns also allow sorting. The following section describes the list table in detail:</p> <ol style="list-style-type: none"> 1. Select All: You can select all the records of the list on the page. 2. Name: Name of the list entry. 3. Entry id: The unique ID of the list entry. 4. Country: The country to which the list belongs. 5. Active: Whether active or not. 6. Expiry date: Name of the vendor who has provided the list. 7. Approval status: The current approval status (Approved or Unapproved) of the entry. <p>Note: You can sort these columns except Expiry date in ascending or descending order by clicking the respective table headers.</p>
Rows per page	The default rows per page is set to 10. You can change it up to 25 rows per page.
Pagination	Shows the page numbers in the list. You can jump to next pages by clicking the links.

In the **List Entries To Be Approved** section, the user having Approver permissions will see all unapproved entries, where as a normal user will see all approved entries. Here, user can approve/disapprove a list entry as explained under [Reviewing List Entries](#) on page 22.

Viewing Details of a List Entry

You can see details about any party or individual mentioned in the list. Click the List ID of a party and a detailed screen opens.

The screen will display all the primary attributes of the list entry. Click **More Fields** to view other attributes or click **Cancel** to close the screen.

Adding List Entries

Edit list page allows you to add a new entry to the list.

Follow these steps to add a list entry:

1. On the **Edit list** page, under **List Entries** section, click the **+** icon to display **Add list entry** page.
2. Enter the primary attributes, such as name and address. Click **More Fields** to specify some additional attributes.

Note: If you specify a duplicate name, a pop-up will appear with matching entries. Click **Create** to continue with the duplicate name or click **Cancel** to try another name.

3. Click **Save**.

Note: Click **Cancel** if you wish to abort.

Editing List Entries

Edit list page also allows you to edit an existing entry in the list.

To edit a list entry, follow these steps:

1. On the **Edit list** page, under **List Entries** section, click the **Edit** button to display **Edit list entry** page.
2. Edit the pre-populated attributes as per your requirement.
3. Click **More Fields** if you want to edit some additional attributes.
4. Click **Save** to save the modified attributes.

Note: Click **Cancel** if you wish to abort.

Reviewing List Entries

Edit List page allows you to approve or reject list entries.

To review list entries, follow these steps:

1. On the **Edit List** page, under the **List Entries To Be Approved** section, select the list entries that you want to approve or reject.
2. You can filter the list entries by typing search **criteria** on the top-right corner of the table.
3. To approve the list entries, click the **Approve** button on the top-left corner of the table. A pop-up will appear to confirm the approval. On successful approval, the status of the entry becomes **Approved**. The entry moves from unapproved queue to the approved queue and not visible to the approver.
4. To disapprove the list entries, click the **Disapprove** button on the top-left corner of the table. A pop-up will appear to confirm the disapproval.

3 - Screening

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Introduction to Screening

Screening is a process of evaluating any individual or company account to check its suitability for current and further transactions.

Performing Manual Screening

Manual screening is a process in which you can select one or more individuals or parties to match their records against various watchlists available in public as well as private domains.

To perform manual screening using **Party details**, follow these steps:

1. Open the home page, click **Screen**.
2. Select the party group name from the **Use lists from party group** drop-down.
3. Verify all the details and click **Screen** to initiate the screening process in the background. Alert will be created if the screening score is more than equal to the specified threshold.

Note: Click **Cancel** to abort the screening for specified party. It is useful when you want to reset the form and search the party and start over.

This table describes all the fields of the screen:

Control	Description
Title	The title header displays title of the page.
Use lists from party group	Select a party group name. The drop down box contains all the available party group names accessible to you.
Match threshold	Minimum score to baseline the alert creation
Party Name	Name of the party being screened
Country	Name of the country
Address line 1	First line of address of the party

Control	Description
Address line 2	Second line of address of the party
Address line 3	Third line of address of the party
Address line 4	Fourth line of address of the party
City	Name of the city
State/Province	Name of the province
Postal Code	ZIP or postal code of the province
Date of Birth	Date of birth in mm/dd/yyyy format.
National ID	The unique national ID number like social security number
Nationality	The country to which the person or party belongs
Reference Number	The reference number for the party
Screen	Click to start the manual screening
Cancel	Click to abort the screening. The contents of the page are reset. FCC confirms before proceeding with cancel operation.

To perform manual screening using **Party ID**, follow these steps:

1. Enter the **Party ID**
2. Select the **portfolio**
3. Enter the **Reference number**
4. Click **Screen**

Note: The controls are same as described in the table for **Party Details Screening**.

Performing Batch Screening

Screening process

To screen the party data, follow these steps:

1. Ensure that the **List** data is loaded in the search index. To load the lists run the **List Process flow**. For more details, see [Importing Flows](#)
2. Ensure that the **List** data is in *pre-defined canonical schema*. For more information, see [Schema for Party](#) on page 27
3. Run the integrated party flow *ProcFlow_PartyER_N_Screening* placed under FCC-Integrated-Flows.

On completion, the you can login to FCC to see the alerts generated for the screened parties.

Schema for Party

Table 1: Inbound_email

in_EffectiveEndDate | in_EffectiveStartDate | in_PartyEmailAddress | in_PartyEmailID | in_PartyEmailUsageType | in_PartyID | in_Portfolio | in_RecordCreationDate | in_RecordLastUpdatedDate | in_SourceSystemID

Table 2: Inbound_Party

in_PartyID | in_Portfolio | in_SourceSystem | in_PartyType | in_PartyBusinessDomain | in_PartyBusinessSegment | in_PartyDataJurisdIxtion | in_PartyName | in_PartyFirmName | in_PartyFirstName | in_PartyMiddleName | in_PartyLastName | in_PartyGender | in_PartyFirmSuffix | in_PartyBirthCountry | in_PartyGeneralSuffix | in_PartyIdentifier | in_PartyIdentifierCountry | in_PartyIdentifierFormat | in_PartySegment | in_PartyBirthDate | in_PartyIncorporationCountry | in_PartyIncorporationDate | in_PartyMaturitySuffix | in_PartyResidenceCountry | in_PartyDomicileCountry | in_PartyPrimaryCitizenshipCountry | in_PartyStatus | in_PartyCreditRatingScore | in_PartyRiskScore | in_PartySecondaryCitizenshipCountry | in_PartyTitleOfRespect | in_EffectiveStartDate | in_EffectiveEndDate | in_RecordCreationDate | in_RecordLastUpdateDate

Table 3: Inbound_Party_Account_Role

in_AccountNumber | in_PartyID | in_PartyAccountRole | in_RelatedPartyAccountRole | in_RelatedPartyIdentifier | in_RelatedPartyIdentifierFormat | in_RelatedPartyName | in_EffectiveStartDate | in_EffectiveEndDate | in_RecordCreationDate | in_RecordLastUpdatedDate | in_Portfolio | in_SourceSystemID | in_PartyAccountID

Table 4: Inbound_PartyPhone

in_PartyPhoneID | in_PartyID | in_Portfolio | in_SourceSystem | in_PartyPhoneNumber |
 in_PartyPhoneNumberCountryCode | in_PartyPhoneNumberExtension | in_PartyPhoneUsageType |
 in_EffectiveStartDate | in_EffectiveEndDate | in_RecordCreationDate | in_RecordLastUpdatedDate

Table 5: InboundAccount

in_AccountAlternateNumber | in_AccountBIC | in_AccountBusinessDomain | in_AccountBusinessSegment |
 in_AccountCloseDate | in_AccountDataJurisdiction | in_AccountDisplayName | in_AccountDomicileBranchCode
 | in_AccountDomicileCountry | in_AccountIdentifier | in_AccountIdentifierCountry | in_AccountIdentifierFormat |
 in_AccountName | in_AccountNumber | in_AccountOpenDate | in_AccountPrimaryPartyID | in_AccountRiskScore
 | in_AccountSegment | in_AccountStatus | in_AccountStatusDate | in_AccountType | in_EffectiveEndDate |
 in_EffectiveStartDate | in_Portfolio | in_RecordCreationDate | in_RecordLastUpdatedDate | in_SourceSystem

Table 6: InboundPartyAddress

in_PartyAddressID | in_PartyID | in_Portfolio | in_SourceSystem | in_PartyAddressLine1 | in_PartyAddressLine2
 | in_PartyAddressLine3 | in_PartyAddressLine4 | in_PartyAddressLine5 | in_PartyAddressUsageType | in_PartyCity
 | in_PartyCountry | in_PartyPostalCode | in_PartyRegion | in_PartyState | in_EffectiveStartDate |
 in_EffectiveEndDate | in_RecordCreationDate | in_RecordLastUpdatedDate

Viewing Screening Results

The screening results present a detailed analysis. The screen is meant to clarify the position of the screened individuals or companies and thus helps the stakeholder take an informed decision. If the analysis is good enough to create an alert, you can use the **Create Alert** button at the bottom of the screen to process further. If the match score is equal to or more than match threshold, then an alert is created automatically. A **Cancel** button simply unloads the page.

The table describes each section, its controls, and their usability with respect to screen results.

Component	Description
Name of the Party	The name of the party with its list name is displayed at the top.

Component	Description
Maximum list match score	The cleansing match score is represented in percentage. A score closer to 100 is positive one.
Negative Media Match Score	The negative media match score is represented in percentage. A score close to zero is good for alert to move into whitelist or get a discount.
Alert	<p>This section lists the current alert and its details. Information displayed includes:</p> <ol style="list-style-type: none"> 1. Alert Status: Current status of the alert. 2. Alert Status Reason: The reason stating the certain status of the alert. 3. Prior Alert: Description about the prior alert, if any.
List Matches	<p>This section lists the number of matches for the party. Each match is classified into <i>Specially Designation Nationals</i> and <i>US New Articles</i>. Each list is further divided into Cleansed and Uncleansed.</p> <ol style="list-style-type: none"> 1. List name: The official title of the list 2. Party name: The party name 3. Street, City, State/Province, and Country: The address of the party including Street, City, State/Province, and Country. 4. Match Score: The matching score of the party with the list. This is in percentage.

Component	Description
Cleansed/Uncleansed	<p>The list can be Original and Cleansed. The Original list is also known as Uncleansed list. Each of the lists include:</p> <p>Note: Click Match Rule link to view the matching rules and corresponding match scores.</p> <ol style="list-style-type: none"> 1. Attribute: Attribute for any of the parties are used for matching Party and Lists. The Attribute includes: <ol style="list-style-type: none"> a. ADDRESS: Postal address of the person. b. ALIAS: The popular of short name of the person. c. COUNTRY: Name of the country. d. NAME: Name of the person. 2. List: The content of the lists are used to screen the Party to identify risk. The existence of the Party in Lists indicates risk which will be investigated further to measure the risk. 3. Party: Name of the Party to which the person belongs. 4. Match Score: Match score for the person.
Attached Documents	<p>This section lists all the articles in which the person's name as featured. You can also add an article which can further support the case for better analysis on the person or party.</p> <p>User Controls can be:</p> <ol style="list-style-type: none"> 1. Add a Document: Click the + icon to launch a pop-up that allows you to add a document's title and the link. You name also appears in the list with the document name and link. 2. Delete a Document: Select one or more documents to be deleted. The system confirms before deleting the document links. 3. Search: You can search a document from the list using this Search field. 4. View Existing Documents: You can view all the listed documents. The list includes Title of the article, URL, name of the uploader, and the date on which the article has been added. The list can be sorted on Name field.
Discount	Send the party for discount consideration.

Component	Description
Add to whitelist	Send the party to be added to the Whitelist. This means the party can be put in good light.
Send to case management	Send the party to case management for further review of the case.
Cancel	You can close the page and any changes made to this page are lost.

4 - Alert Management

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Introduction to Alert Management

An alert is way to update the parties and bank about a sudden change in the financial status of a party or individual. When the financial changes happen or any negative news is flashed for any party, the bank gets a notification flag which helps them review the current and future financial liabilities associated with the affected party. Alert Management includes consolidation of alerts into cases and enabling prioritization of those cases.

Viewing Alerts

An alert appears only when system configuration is complete. **Alert** signifies that the screening stage is complete for the party.

The **View Alert** page displays consolidated alerts for parties and individuals.

Viewing Alerts

To view alerts, perform these steps:

1. Login to **Screener**
2. Click **Alerts**. The **View Alert Page** is displayed.

View Alert page displays this information:

Control	Description
Title	The title header displays identification of the list, name, and its current version number.
Advanced Search	Filter the search using advanced options, such as party id, alert status, alert status reason and generated by.
Filter	Select a parameter to filter the results in the list.

Control	Description
List Components	<p>This part of the page displays the list and its content in tabular format. Each of the rows can be selected for different operations and some columns also allow sorting. Components of the list table are:</p> <ol style="list-style-type: none"> 1. Select All: You can select all the records of the list on the page. 2. Relevance Alert ID: A unique ID assigned to the alert prior to consolidation. Click an ID to open a detailed alert page where the alert is described in detail. 3. Date: The date on which the alert was created. 4. Party name: The title of the party. It can be an individual or a party portfolio name. 5. Maximum list match score: The cleansing match score is represented in percentage. A score closer to 100 is positive one. 6. Negative media match score: The negative media match score is represented in percentage. A score close to zero is good for alert to move into whitelist or get a discount. 7. List: Name of the list the alert belongs to. 8. List type: The type of the list. It can be PEP, SDN, or other. 9. Alert status: The status of the alert at present. It can be: <ol style="list-style-type: none"> a. Created b. Discounted c. Send To Case Management
Showing n of n records	This label signifies the number of records being displayed against the total number of records matching the present match criteria.
Rows per page	<p>This drop down allows you to select the number of records you want to list on a single page. Possible values are:</p> <ul style="list-style-type: none"> • 5 • 10 • 15 • 20 • 25

Business Rules for Alerts

The **Screening Solution** checks all the alerts generated since the last run.

Alert Consolidation and Auto Discount: If the party meets the criteria for discount, the discount is processed according to these rules:

1. **Discount Duplicacy:** There can be two cases:
 - a. If the alert already exists with the same **List** and **Party details**, all the alerts will be combined into one.

- b. Its alert status is other than created, it is changed to **Discounted** and the Alert status reason will be set to **Duplicate Alert**

Note: This rule is applicable only if the Alert Status is **Created**

2. **Discount Whitelist:** There can be two cases:

- a. If the Party/List information for the Alert matches with that of Whitelist, the alert status is changed to **Discounted** and Alert Status Reason is changed to **Whitelist**. In this case the alert is assigned to the Whitelist Queue if specified in the system configuration.
- b. If the Party exists in multiple lists and not all lists are Whitelisted, then the Alert remains unchanged.

Note: This rule is applicable only if the Alert Status is **Created**.

3. **Alert Discount – Repeated Occurrences or Feedback Loop from Case Management:** If the Party has previous alerts with the same matching characteristics with an Alert Status of **Discounted** then:

- a. If the Alert Status Reason is **Feedback from Case Management**, then the Alert status will be set to **Discounted** and Alert Status Reason to **Feedback from Case Management**. The system will also capture the previous alert id.
- b. If the Alert Status Reason is not **Feedback from Case Management** and the count of alerts is greater than Number of occurrences for Auto Discount in Configuration then the alert status is set to **Awaiting Approval** and it is sent to Business Steward for approval. If the Steward approves it, the party list is added to the Whilelist and Alert status is changed to Discounted while the reason gets changed to Whitelist. However, if the Steward does not approve the request, the alert status is changed to **Processed**.

Note: This rule is applicable only if the Alert Status is **Created**.

4. **Alert Discount – Confidence Threshold:** If the Alert Confidence Score is less than threshold specified in the Configuration for Auto Discount, then the Alert Status is updated to **Discounted** and Alert Reason is changed to **Below Configuration Threshold**.

Note: This rule is applicable only if the Alert Status is **Created**.

Viewing Detailed Alert

This page displays details about the selected alerts. When you visit the **View Alert** page and select a particular party to view the alert details, this page is displayed.

The page is divided into sections elaborating details about the selected alert. It includes a graphical representation of **Maximum Cleansed List Match Score** and **Maximum Uncleansed List Match Score**. You can review the alert to take decision to allow a discount, move it to whitelist, or raise a case for further review.

For more information, see [Viewing Screening Results](#) on page 28

5 - Party Management

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Introduction to Party Groups

A party group is a logical classification of parties based on different *portfolios* (domains), such as *retail*, *banking*, and *insurance*. Each party group is associated with a set of lists. A party belonging to a party group is screened only against the associated lists.

To view **Party Groups** page, follow these steps:

1. Login to **Screener**
2. Click **Party Groups** from the menu

Creating Party Groups

You can create a party group using the **+** button on the **View Groups** page. To create a party group, you must have sufficient permissions, which can be given through the **Management Console Security** features.

To create a **Party Group**, follow these steps:

1. Open the **Party Groups** page
2. Click the **+** icon
3. Enter a unique **Party group name**. You cannot name as *Default* or *Manual* as these are system defined Party Groups.
4. Enter the **Effective date** from which the party group will be active.
5. Select the **Effective status** for the group. Statuses can be: *Active* or *Inactive*.
6. From the available lists, select the lists that you want to associate with the party group. Use the **Filter** to search the desired lists.

Note: You cannot create a party group without adding list.

7. Click **Save** to create the party group.

Note: Click **Cancel** if you wish to abort the changes and close the form.

Viewing Party Groups

Party Groups page permits you to view and update the party groups.

The **Party Groups** table contains these details:

Control	Description
Creating a party group	Click the + icon to create a new party group. For more details on creating a party group, click here .
Editing a party group	Click the Edit button to edit an existing party group. For more details on editing a party group, click here .
Show All	Click to filter the components of the list. It can have following status: <ol style="list-style-type: none"> 1. Show All: List all the groups. This is default option. 2. Blocked: Groups that are currently blocked. 3. Active: Groups that are active at present. 4. Inactive: Groups that have been deactivated.
Search	Type a term you are looking for and press Enter . The application searches all the entries of the Party Group list and displays matching results.
List Components	This part of the page displays the list and its content in tabular format. Each of the rows can be selected for different operations and some columns also allow sorting. The following section describes the list table in detail: <ol style="list-style-type: none"> 1. Select All: You can select all the records of the list on the page. 2. Party group name: Name of the party group. It is a way to logically group parties for Screening purposes. 3. Effective date: The date from which the party group is active. 4. Effective status: Present status of the group. It can be: <ol style="list-style-type: none"> a. Active b. Inactive 5. Last updated date: Last date when the group was modified.

Editing Party Group

To edit a party group, you must have sufficient permissions, which can be given through the **Management Console Security** features.

To edit a **Party Group**, follow these steps:

1. Open the **Party Groups** page.
2. Select the party group that you want to edit and click the **Edit** button.

Modify these:

1. The **Effective date** from which the group will be active.
2. Select the **Effective status** for the group. Status can be: **Active** or **Inactive**.
3. From the available lists, select the lists that you want to associate with the party group. Use the Filter to search the desired lists.
4. Click **Save** to create the party group.

Note: Click **Cancel** if you wish to abort the changes and close the screen.

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