
OFAC Workshop

The BSA Tracker will
save you time and
money

OFAC Workshop Overview

Functionality:

- OFAC Workshop Conduct OFAC scans
- Integrator for OFACScope
- Built in certification functions
- Add and maintain documentation such as Word documents, PDF, Excel, Image files
- Agency verification (check for risk) allows for research on false positives
- IAT OFAC Screening

Introduction

As an integrator for OFACScope, OFAC data and OFAC scans are fully integrated into the BSA Tracking System and deployed throughout the organization. The benefit of integrating the OFAC scans, resulting scores and notes, stored with the Tracking Customer Profile as part of your enhanced due diligence, Risk Management and Case Management. Another advantage of the BSA Tracker producing the OFAC scans is that it is fully automated – everyday the Tracker verifies any changes to the various watch lists like the SDN or the PEP etc. The lists to be included in the scan are maintained in Bank Control allowing users to customize their settings and databases.

The screenshot shows the BSA Tracker application window. The title bar reads "BSA Tracker". On the left is a navigation menu with links such as "Daily Alerts", "System Overview", "Bank Control", "Customer Workshop", "Branch Workshop", "OFAC Workshop", "Fraud and Check Kiting Workshop", "MSB Workshop", "CIP Workshop", "KYC/FDD Workshop", "Risk Management Workshop", "Wire Workshop", "Investigator Workshop", "SAR Workshop", "CTR Workshop", "314A Workshop", "314B Workshop", "View Reports", "Agency Verifications", "Legal Process Workshop", "Request Letter Workshop", and "Log Out".

The main content area is titled "OFACScope Settings" and includes the following information:

- Latest Installed Version: 193
- Latest Installed Date: 5/2/2011 9:08:02 AM
- Description: PAYLOAD
- Records: 21317
- Customers last scanned: 5/23/2011 3:18:39 PM

Below this is a form for configuration:

- Min Score:
- Datafile path:
- OFAC Update URL:
- IDV Access URL:
- OFAC/IDV Login Id:
- OFAC/IDV Password:

At the bottom, there is a section "Select OFAC Files:" with the instruction "(If no selections are made, all data OFAC data files will be searched)."

Ofac File Name	Selected?
(1267) 5/2/2011 UN Resolution 1267 Alqaida and Taliban List	<input checked="" type="checkbox"/>
(DP) 9/13/2010 Denied Persons	<input checked="" type="checkbox"/>
(FBI) 5/2/2011 FBI Wanted List	<input checked="" type="checkbox"/>
(INPA) 4/9/2010 State Department INPA-2000 Sanctioned Entities	<input checked="" type="checkbox"/>
(OBC) 1/4/2011 OFAC Blocked Countries	<input checked="" type="checkbox"/>
(CCL) 5/2/2011 Canada Consolidated List	<input type="checkbox"/>
(BEIBL) 4/28/2011 Bank of England Investment Ban List	<input type="checkbox"/>
(PLC) 6/19/2009 Treasury Department Palestine Legislative Council List	<input checked="" type="checkbox"/>
(PEP) 9/13/2010 Politically Exposed Persons	<input checked="" type="checkbox"/>
(SDN) 4/28/2011 Treasury Department Specially Designated Nationals	<input checked="" type="checkbox"/>
(SDP) 9/13/2010 State Department Statutorily Debarred Persons	<input checked="" type="checkbox"/>
(BECL) 4/20/2011 Bank of England Consolidated List	<input type="checkbox"/>
(IBL) 4/27/2011 Treasury Department Import Ban List	<input checked="" type="checkbox"/>

The status bar at the bottom shows "Done" and "Local intranet".

OFAC Workshop Advantages

The BSA Tracking Systems provides:

1. Automatic scanning of non-scanned customers or new customers
2. Automatic scanning of customer name when OFAC data is updated
3. Look-up individual names, customer or non-customer, scan and store results
1. 4. Review false positive hits, verify results and certify customer through a one step process
4. Maintain record of scan results in the Know Your Customer tab in the Customer Workshop
5. Deploy through organization
6. IAT and Vendor and Wire screening

Within the OFAC Workshop, users will find a variety of functionality as shown below:

BSA Tracker

OFAC Workshop

OFAC Searching Functions

- Check Customer in OFAC
- Check Non Customer in OFAC

OFAC Listings and Reports

- Export Customer Listing
- Generate OFAC Listing
- View OFAC Scores Log Minimum Score: 80
- View Ofac Scan Log From: 06/21/2011 To: 06/21/2011
- Branch OFAC History Report
- Customer OFAC History Report
- OFAC Non-Scored Customers
- Check Wire People in OFAC From: 06/21/2011 To: 06/21/2011

OFAC Processing

- Process OFAC Excel Vendor List
- ACH OFAC Processing

Navigation Menu:

- Daily Alerts
- System Overview
- Bank Control
- Customer Workshop
- Branch Workshop
- OFAC Workshop
- Fraud and Check Kiting Workshop
- MSB Workshop
- CIP Workshop
- KYC/EDD Workshop
- Risk Management Workshop
- Wire Workshop
- Investigator Workshop
- SAR Workshop
- CTR Workshop
- 314A Workshop
- 314B Workshop
- View Reports
- Agency Verifications
- Legal Process Workshop
- Request Letter Workshop
- Log Out

Done Local intranet

OFAC scans all new customers daily and automatically scans the entire customer base if any SDN or other database is updated or changes. **Imagine, you don't have to do anything – it is automatic – no downloads, no uploads and all the certification occurs in the Tracker so you have a record of your actions without having to log into any other system.**

OFAC Certification

By clicking on the Generate OFAC Listing an interactive report appears in which you can set the certification for each customer recording the date and time, user, and any notes related to the certification.

The screenshot displays the BSA Tracker web application interface. The main window shows the 'Generate OFAC Listing' process for Customer # 0000000009, identified as Chuck Taylor. The interface includes a sidebar with various workshop links such as 'Daily Alerts', 'System Overview', 'Bank Control', and 'OFAC Workshop'. The main content area displays the following information:

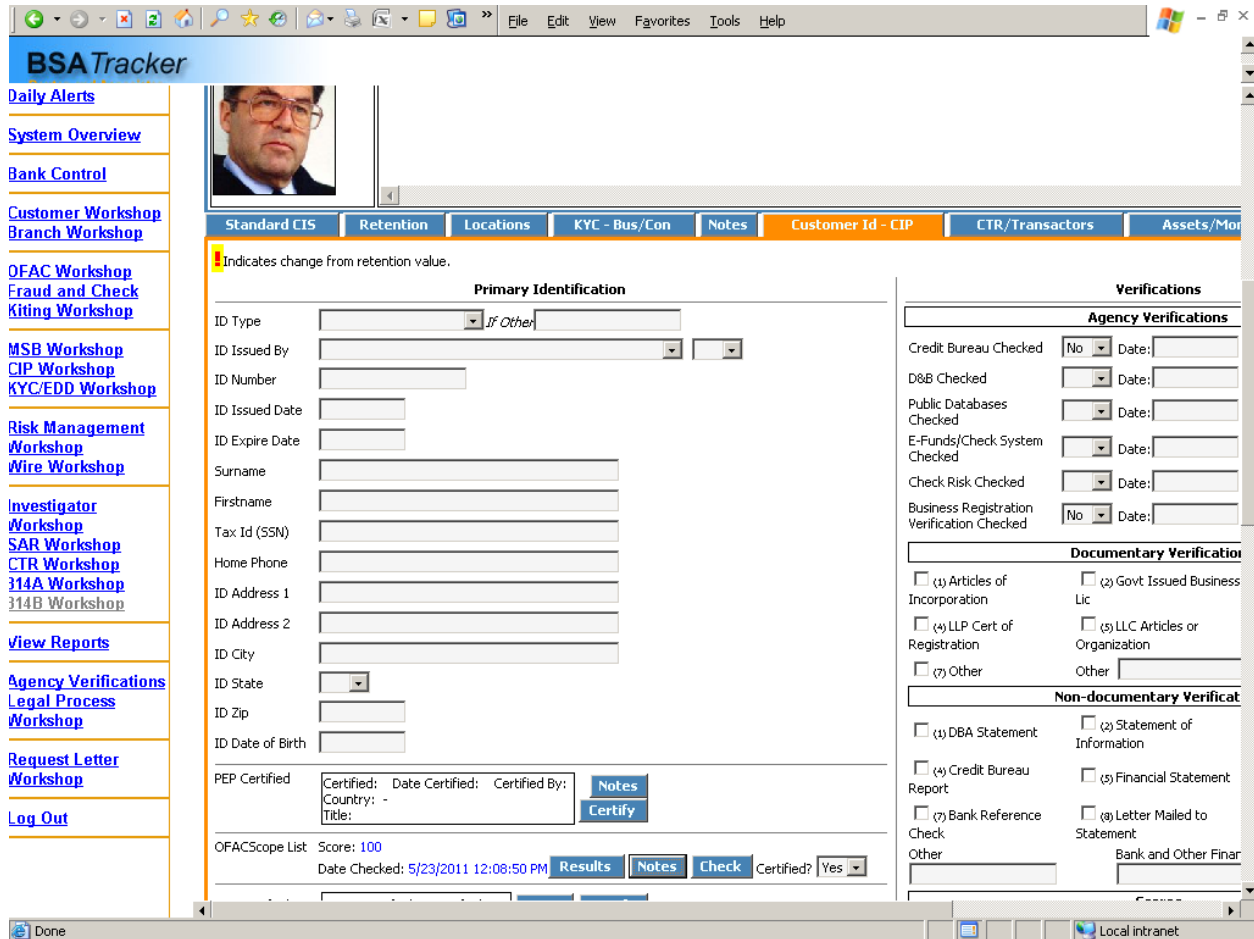
- Customer #:** 0000000009 -- Chuck Taylor -- Certified? NO
- Number matches:** 2
- Date scanned:** 5/23/2011 12:08:52 PM
- Treasury Department Specially Designated Nationals**
- Data Source:** SDN-471 4/28/2011 9:51:02 AM
- Payload:** PAY-193 5/2/2011 9:08:02 AM
- Match Results:** PID: 15801 Matched on: Name: 81% (adjusted for nick name), Best Key: TAYLOR Charles (Junior)

An 'Individual - TAYLOR Charles (Junior)' profile is shown with details like 'LIBERIA', 'AKAs', 'Date Of Birth: 12 FEB 1978', and 'Remarks: Advisor and son of former President of Liberia'. A 'Certified OFAC' dialog box is open, showing a log of certification actions:

Date/Time	User	Note	Detail
3/22/2007 10:18:58 AM	administrator	ofac note test	
3/22/2007 10:30:23 AM	administrator	new test note for ofac	
3/22/2007 10:34:39 AM	administrator	CERTIFIED: YES	this is the test for certification within the OFAC results screen
4/11/2007 9:41:57 AM	administrator	CERTIFIED: YES	test
5/11/2007 1:13:38 PM	administrator	CERTIFIED: YES	ggui info note
6/7/2007 3:52:58 PM	administrator	CERTIFIED: YES	Liberia: The Trial of Charles Taylor Must be Made Relevant to Sierra Leoneans and Liberians

The dialog box also includes a 'Certified?' dropdown menu with 'NO' selected and 'Update' and 'Close' buttons.

Individual scores are stored in the Customer Workshop under the CIP tab.



The BSA Tracker OFAC functionality is the best. The Tracker will save you time and money and this is good business for you and your bank. No other software will do more to help make your BSA compliance faster, easier and more efficient.

Call us today for more information or a demo at (619) 579-9099.