

MIS
CASE MANAGER
USER GUIDE



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Section 1

1.1

Introduction

MIS Case Manager (MIS CM) provides the user with the ability to review alerts from MIS and reports from Experian CIP. Within the system the user will have the ability to:

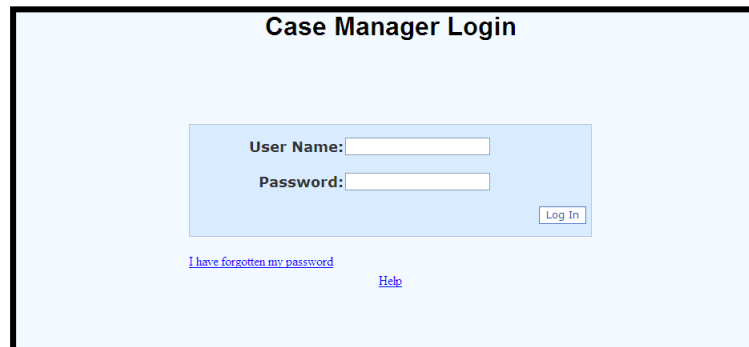
- Review MISCheck, OFAC or COS & NOS Alerts
- Review CIP Records from Experian
- Maintain each record or group of records
- Generate reports

1.2

Logging into MIS Case Manager

Upon logging into case manager <https://miscm.callmis.com/> for the first time, the user will have a generic password in which the user will then be prompted to change.

For non first time users who have forgotten their passwords an “*I forgotten my password*” an email is sent containing a link for the user to follow instructions in order to create a new password.



1.3

Logging Out

The log out link is located at the top right corner of the screen.

1.4

Changing your password

Passwords are required to be changed every 90 days. The system will prompt you to change your password at the required time.

Note: Please send an email to MISCM@callmis.com in order to set up access for new case manager users

Section 2

2.1 Alerts

Alert- MIS CM automatically receives information from the MISCheck and Experian CIP in the form of files. The files are composed of records, with each record representing a response to one of your inquiries to MIS.

From the Alerts tab, the user is able to view different alert states: New Alerts, In Progress Alerts, Completed as well as Alerts that have been Archived. Alerts will only be archived at the firm's request.

Username and Firm Code

The screenshot displays the MIS Case Manager interface. At the top, the user is identified as 'ser:Brian K' and the firm as 'firm:555'. The main content area is titled 'MIS Alerts (555)' and shows 163 records found. The table lists alerts with columns for Name, AlertType, Date, and Text. A search filter on the left allows filtering by firm (555), divisions (ALL), and dates (All Dates). A 'Records' callout box points to the table, and a 'Username and Firm Code' callout box points to the top header.

Name	AlertType	Date	Text
LU, FENG	Other Possible Alert	06/29/2009	SCOTTSDALE AZ AND CHINA 39Y US ATTY RPT 06/09 CONV OF STRUCTURING FINANCIAL TRANSACTIONS.
HARRIS, ANTHONY	Other Possible Alert	06/29/2009	AUGUSTA GA US ATTY RPT 05/09--FULL NAME IS TONY TYRONE HARRIS--CHARGED WITH FALSE STATEMENTS REGARDING FED WORKERS' COMPENSATION BENEFITS--FALSELY CERTIFIED FORMS STATING HE WAS UNEMPLOYED
FURTADO, ANDREW	Other Possible Alert	06/29/2009	ALEXANDRIA VA US ATTY RPT 3/06 26Y PLDGLY TO USING AN INTERSTATE FACILITY TO ATTEMPT TO ENTICE A MINOR TO ENGAGE IN ILLEG SEXUAL CONDUCT--FULNAM IS ANDREW SAVIO FURTADO.
CONTRERAS, JOSE	Other Possible Alert	06/29/2009	SONORA MX US ATTY RPT 05/09 40Y---FULL NAME IS JOSE CONTRERAS-RANGEL--CONVICTED OF CONSPIRACY TO HARBOR ILLEGAL ALIEN. PREVIOUSLY PLED GUILTY TO RE-ENTRY AFTER DEPORTATION ON MAY 15, 2009.
UNITED FINANCIAL MORTGAGE CORP	Other Definite Alert	06/29/2009	IL DEPT OF FPR 6/09 RESIDENTIAL MORTGAGE LICENSE REVOKED FOR FAILING TO RESPOND TO DEPT REQUESTS & IMPROPER SURRENDER OF LICENSE.
BLOW, MICHAEL	Other Possible Alert	06/29/2009	BURLINGTON OLD VT US ATTY RPT 4/09 48Y--ARSTD, CHRGD, ARRAIGNED ON COCAINE TRAFFICKING OFFENSES--HAS A PREVIOUS COCAINE TRAFFICKING CONVICTION (1994) AND VIOLATED CONDITIONS OF RELEASE.

Note: Firm Code- is three letters or numbers that MIS uses to identify your company. In most cases, this will also be your organization identifier.

2.2 Searching for Alerts

When performing text/numerical searches the MIS CM system automatically searches within the entire record, including the record text and alert type fields.

Searching **only** within alert states (i.e. In Progress Alerts), is done by clicking the Current button and entering the desired text.

Searching through **all three** alert states (New Alerts, In Progress and Completed) is done by clicking the All button.

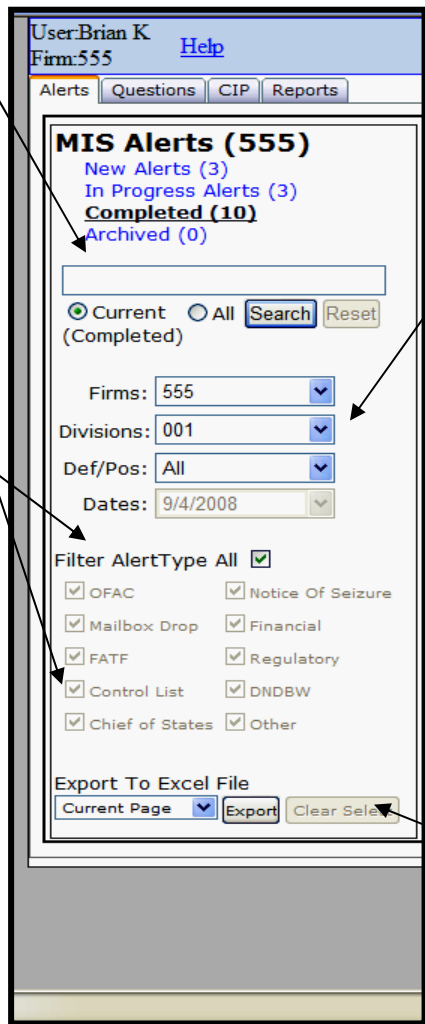
2.3 Filtering Records

The Current button displayed the current state the user is in.

Alerts can be filtered by alert type, which is done by un-checking the Filter Type All button and selecting the alert type(s) of your choice.

Alerts can be filtered by date and Possible/Definite matches. When filtering alerts by Available Dates, the dates listed will only be dates that are connected to the alerts within each field. Depending if a firm has divisions the lead firm will have the ability to search alerts from each division, division firms do not have the ability to view other divisions

Export Alerts Page into a Microsoft Excel document



Note: For more help with searching and filtering records, please click the Help button located next to your username and firm code.

2.4 Viewing and Editing an Alert

When In the New Alert state all alerts are available to be viewed by every user. To edit an alert, click the edit button within the alert detail screen. The user that first edits and saves the alert will be the alert owner.

The screenshot displays the MIS Case Manager interface. At the top, it shows 'User: Brian K', 'Firm: 555', and 'MIS Case Manager'. Below this is a navigation bar with 'Alerts', 'Questions', 'CIP', and 'Reports'. The main content area shows a table of alerts with columns for Name, AlertType, Date, and Text. The table contains several rows, including alerts for 'COVENANT FINANCIAL', 'WILLIAMS, ROBERT', 'COVENANT FINANCIAL', 'COVENANT FINANCIAL', 'HUYNH, DENNIS', and 'STUART, DWAIN'. The interface also includes a search filter on the left with options for 'Current', 'All', 'Firms', 'Divisions', 'Def/Pos', and 'Dates'. At the bottom left, there is an 'Export To Excel File' button.

Callout 1: A message has been sent to MIS is awaiting a response (points to a green arrow icon next to the first alert).

Callout 2: A message has been sent from MIS (points to a blue arrow icon next to the 'STUART, DWAIN' alert).

Callout 3: When record fields are gray this indicated that the current user is not the alert owner, and the alert is in process of being edited by the alert owner. (This is only when viewing records in the In Progress State) (points to the grayed-out text of the second and third alerts).

Callout 4: When record fields are white this indicates that you are the alert owner and the record is available to be edited. (points to the white text of the 'STUART, DWAIN' alert).

Note: You do not have the option to print Alerts instead alerts can exported to excel then printed

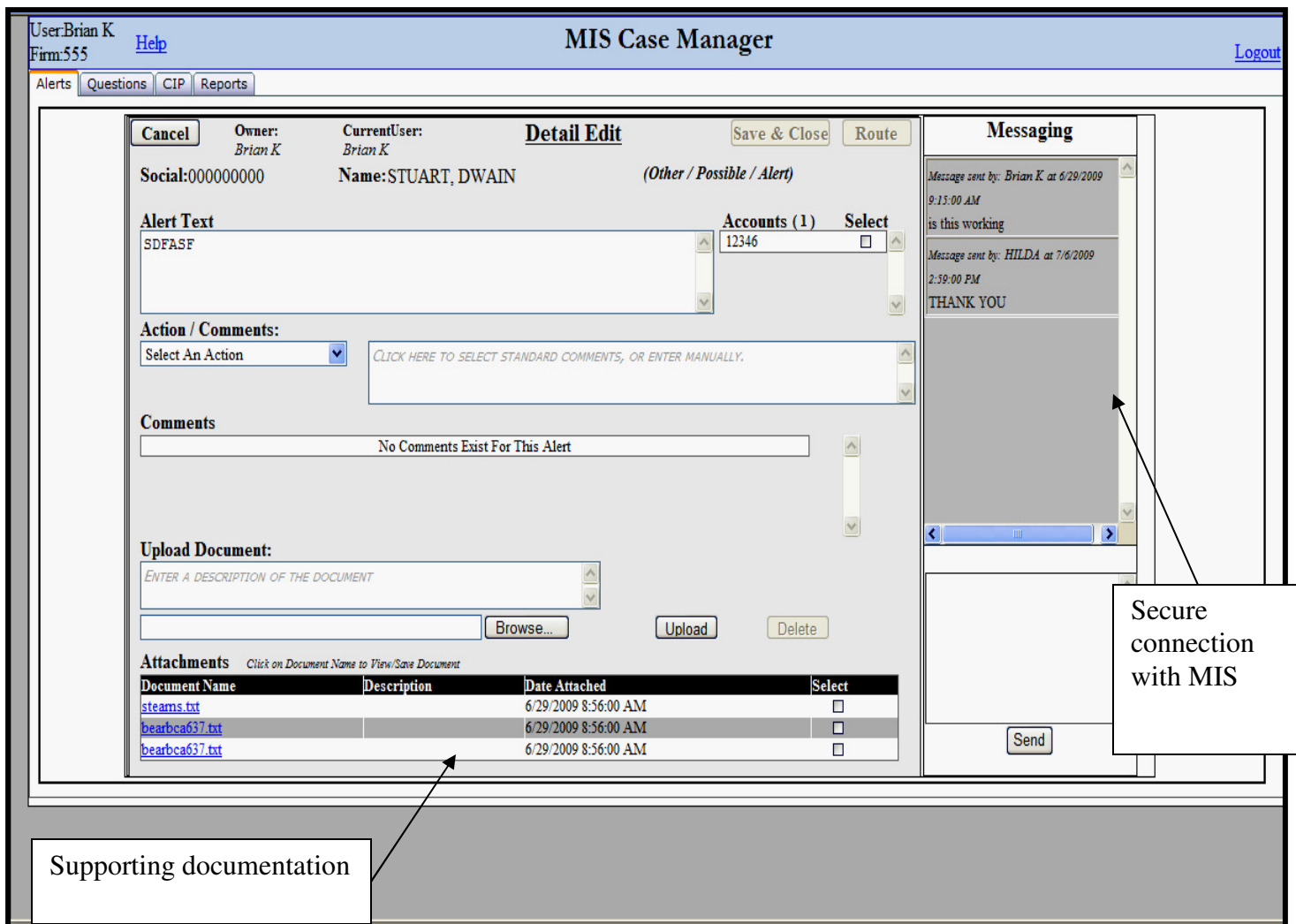
Edit screen

The alert owner has the option of making another user the owner by routing the selected alert.

Located at the bottom the alert edit screen the user also has the option of attaching documents, that will serve as source of information for the given alert.

When the user clicks the *Route* button a list of case manager users will be displayed. Select the user you would like to have the alert routed to. Once the user has made the selection, a confirmation will appear.

After routing an alert the record field will then become a light blue color indicating the alert has been routed.



Note: The messaging feature within the question tab is for MIS to send question to the firm; while the messaging feature with the alert detail view is used for the firm to send question to MIS

Section 3

3.1 Questions

The screenshot shows the MIS Case Manager web application interface. At the top, the user is identified as 'User: Brian K' and 'Firm: 555'. The main navigation tabs include 'Alerts', 'Questions', 'CIP', and 'Reports'. The 'Questions' tab is active, displaying a summary of 'MIS Questions (555)' with sub-categories: 'New Questions (2)', 'In Progress Questions (5)', 'Completed (1)', and 'Archived (0)'. A search bar and filters for 'Current', 'Firms', 'Divisions', 'Def/Pos', and 'Dates' are present. The main content area shows a table with 2 records found. An 'Export To Excel File' section is visible at the bottom left of the table area, with an arrow pointing to it from a text box.

Name	AlertType	Date	Text
JACKSON, N L RAFFER	Question Possible Alert	06/26/2009	PLEASE PROVIDE FULL NAME.
ROB	Question Possible	07/07/2009	PLEASE PROVIDE FULL NAME ON ACCOUNT.

Export To Excel File
Current Page [v] Export Clear Select

Will give the user options of exporting the current page of questions into an excel file.

Section 3.2

In progress questions

The messaging system within the Questions tab will enable the MIS representative to communicate the firm for account inquiries. This function will not have effect on the alerting process.

The screenshot displays the MIS Case Manager interface. At the top, it shows 'User: Brian K' and 'Firm: 555'. The main navigation includes 'Alerts', 'Questions', 'CIP', and 'Reports'. The 'Questions' tab is active, showing a 'Detail View' for a question. The question details include 'Social: 000000000', 'Name: HUBER, RENEE', and 'Alert Text: PLEASE PROVIDE AN OCCUPATION'. The 'Accounts' section shows '00123616392'. A 'Comments' table is visible with one entry: '6/29/2009 12:52:03 PM' by 'Brian K' with the comment 'Not same - different DOB.' and an 'Export' action. To the right, the 'Messaging' panel shows a message sent by Brian K at 6/29/2009 12:52:03 PM with the text 'Not same - different DOB.' and a response from LYNN at 7/6/2009 12:56:00 PM with the text 'where is message'. Three callout boxes provide additional context: one points to the comment table with the text 'Message sent by representative of MIS'; another points to the comment table with the text 'Additional comments and actions will be displayed here. In order for the question to move from In Progress to Completed a completed action will need to be taken.'; and a third points to the messaging panel with the text 'Message responses from the firm and MIS will be displayed here.'

Note: Think of the messaging feature as similar to the format for instant messaging, except not in real time.

Section 4

Experian CIP

The screenshot displays the MIS Case Manager interface. At the top, it shows the user 'Brian K' and firm '555'. The main navigation includes 'Alerts', 'Questions', 'CIP', and 'Reports'. The central area features a table of 55 records, with columns for Name, Customer Number, Checkpoint Score, SSN Result, Address Result, DOB Result, Date, and Details. On the left, a sidebar provides filters for 'New (55)', 'Open/InProgress (2)', and 'Completed (18)'. Below the filters, there are dropdown menus for 'Firms: 555', 'Divisions: ALL', and 'Dates: (All Dates)'. A 'Bulk Review' section includes a 'Bulk Select Method' dropdown and a 'Bulk Edit' button. Callouts highlight the 'CIP detail for selected record' and 'Comments can be added to all bulk records at once'.

Name	Customer Number	Checkpoint Score	SSN Result	Address Result	DOB Result	Date	Details
FANTAUZZO, JOHN A	61658378	548	Y	S	1	09/21/2009	11884933
STANLEY, SUSAN	86070395	488	Y	U	1	09/21/2009	11884935
HARRIS, BAILEY JOANNE	17760926	371	V	UR	5	09/21/2009	11884936
POPE, NATHANIEL W	60574640	488	Y	R	1	09/21/2009	11884938
LARSON, RONALD B	35092662	488	Y	U	1	09/21/2009	11884941
LARSON, BARBARA A	35092662	488	Y	U	1	09/21/2009	11884942
STONECIPHER, PLLC, TARLOW AND	54304197	310	NI	NM	5	09/21/2009	11884943
DITTMAR, KENDALL	77420897	488	Y	U	1	09/21/2009	11884949
PUTTCAMP, ALYCIA M	13340057	250	N	N	1	09/21/2009	11884950
COMUNALE, JAMES A	33519216	412	Y	H	2	09/21/2009	11884955
PUTTCAMP, ALYCIA M	71915632	250	N	N	1	09/21/2009	11884957
REDLER, LESLIE P	59744777	625	Y	Y	1	09/21/2009	11884964
EDWARDS, SHELLEY	46536166	756	YA	Y	3	09/21/2009	11884965
FRANK, SAMUEL L	16227850	428	Y	NM	2	09/21/2009	11884971
RASMUSSEN, SCOTT E	22599561	625	Y	Y	1	09/21/2009	11884972
RASMUSSEN, CHRISTINE M	22599561	625	F	S	5	09/21/2009	11884973
VAN VUJCT, CHERYL A	28851608	756	YA	Y	3	09/21/2009	11884975
FRANK, SAMUEL L	16227850	428	Y	NM	1	09/21/2009	11884976
FRANK, SAMUEL L	16227850	428	Y	NM	1	09/21/2009	11884977

Section 4.2

CIP Workflow

Decision Matrix

MIS is applying an Experian decision matrix to all CIP entries to assist in identifying issues that require further scrutiny. The basic decision matrix that Experian provides is targeted to perform at around 70% approval for individuals being screened using AS1. This percentage was based upon their test groups and in various industries. The approval rate declines and creates a larger "Review Group" when the data being entered has not been cleansed or has been incorrectly associated with a given individual.

The matrix checks numerous fields including fields: AddressVerification , PhoneVerificaton, ConsumerID Verification(Social) and also ensures that the SSN is valid, was not issued prior to the persons DOB and is not marked as deceased.*

The results of performing this process are that all CIP entries are placed in one of two categories (1) Needs Review (2) Passed CIP. Each of the following categories have limited actions that can take place within each area. The main areas New, Open/Inprogress and Completed are somewhat self explanatory. New – records that have not been worked on. Open/Inprogress – are records that have been edited but have not reached a final conclusion. Completed – records that are should no longer require further action. Each folder includes all records found in the sub folders from their respective areas and when used allow for any action to be chosen. The subfolders allow only limited actions based upon the assigned workflow.

New - Needs Review

Items in this section have either been flagged by the decision matrix as having an issue or are an institution and do not qualify for processing in the decision matrix. Actions (Reviewed and Approved, Approved w/ Restrictions, Closed)

Completed – Passed CIP

Items in this area have been flagged by the decision matrix as having a high degree of likely hood that their identity information is correct.

Open/Inprogress - Approved w/ Restrictions

Items in this area have received temporary or limited approval usually pending further research. If an item is placed in this category the firm has the choice to be notified of records that have been in this status for an extended period of time (currently 90 days) and have them automatically moved into "Review for Closure". Actions (Restrictions Resolved, Review for Closure, Closed)

Open/Inprogress - Review for Closure

Items in this area have either been automatically aged out of "Approved w/ Restrictions" or placed here manually. In either case the record is now up for review to determine if it should in fact be closed. Actions (Restrictions Resolved, Closed)

Completed - Reviewed and Approved

Items in this area were approved manually at the first review.

Completed - Restrictions Resolved

Items in this area were approved manually but required some additional review and verification.

Completed - Closed

Items in this area manually marked as closed for either never satisfying their CIP requirements or the owner of the account decided to close the account rather than fulfill additional requests for information

Note:* MIS will be reviewing adding further criteria and firm customization in the future
Section 5

Generating Reports

The user will be able to generate reports based on the option(s) selected by the user.

Reports generate in screen, the user will then have the option of printing the report or exporting it into a pdf or excel file.

The screenshot shows the MIS Case Manager application interface. At the top, the user is identified as 'User: Brian K' and the firm as 'Firm: 555'. The main navigation bar includes 'Alerts', 'Questions', 'CIP', and 'Reports' tabs. The 'Reports' tab is active, displaying a report titled 'MISBasicAlerts' for firm 555. The report shows a table of alerts with the following columns: Date Alerted, Social, Alert Name, Description, Accounts, and Alert Text. The table contains six rows of data, all for the firm '555' and alert name 'EVERGREEN INVESTMENT MGMT'. The alerts are dated from 8/18/2008 to 8/20/2008. The description for all alerts is 'Regulatory Alert Possible'. The accounts listed are 743000398 and 743000417. The alert text for all entries is 'SUBMITTED 06/27/08 SAME ADDRESS AS & AFFILIATE OF EVERGREEN INVESTMENT MANAGEMENT CO LLC; SEC TXT 9/07 SETTLED-ORDERED TO C & D, CENSURED. WILL PAY DISG OF \$28.5 MIL. & TOTAL OF \$4 MIL. CIVIL PENALTIES-RETAIN COMPLIANCE CONSULTANT, CONSENTED. ALLOWED C'. A 'Generate' button is located at the bottom of the filter sidebar. An 'Export' menu is open, showing options for 'Excel' and 'Acrobat (PDF) file'.

Date Alerted	Social	Alert Name	Description	Accounts	Alert Text
8/18/2008	000000000	EVERGREEN INVESTMENT MGMT	Regulatory Alert Possible	743000398	SUBMITTED 06/27/08 SAME ADDRESS AS & AFFILIATE OF EVERGREEN INVESTMENT MANAGEMENT CO LLC; SEC TXT 9/07 SETTLED-ORDERED TO C & D, CENSURED. WILL PAY DISG OF \$28.5 MIL. & TOTAL OF \$4 MIL. CIVIL PENALTIES-RETAIN COMPLIANCE CONSULTANT, CONSENTED. ALLOWED C
	000000000	EVERGREEN INVESTMENT MGMT	Regulatory Alert Possible	743000417	SUBMITTED 06/27/08 SAME ADDRESS AS & AFFILIATE OF EVERGREEN INVESTMENT MANAGEMENT CO LLC; SEC TXT 9/07 SETTLED-ORDERED TO C & D, CENSURED. WILL PAY DISG OF \$28.5 MIL. & TOTAL OF \$4 MIL. CIVIL PENALTIES-RETAIN COMPLIANCE CONSULTANT, CONSENTED. ALLOWED C
8/19/2008	000000000	EVERGREEN INVESTMENT MGMT	Regulatory Alert Possible	743000398	SUBMITTED 06/27/08 SAME ADDRESS AS & AFFILIATE OF EVERGREEN INVESTMENT MANAGEMENT CO LLC; SEC TXT 9/07 SETTLED-ORDERED TO C & D, CENSURED. WILL PAY DISG OF \$28.5 MIL. & TOTAL OF \$4 MIL. CIVIL PENALTIES-RETAIN COMPLIANCE CONSULTANT, CONSENTED. ALLOWED C
	000000000	EVERGREEN INVESTMENT MGMT	Regulatory Alert Possible	743000417	SUBMITTED 06/27/08 SAME ADDRESS AS & AFFILIATE OF EVERGREEN INVESTMENT MANAGEMENT CO LLC; SEC TXT 9/07 SETTLED-ORDERED TO C & D, CENSURED. WILL PAY DISG OF \$28.5 MIL. & TOTAL OF \$4 MIL. CIVIL PENALTIES-RETAIN COMPLIANCE CONSULTANT, CONSENTED. ALLOWED C
8/20/2008	000000000	EVERGREEN INVESTMENT MGMT	Regulatory Alert Possible	743000398	SUBMITTED 06/27/08 SAME ADDRESS AS & AFFILIATE OF EVERGREEN INVESTMENT MANAGEMENT CO LLC; SEC TXT 9/07 SETTLED-ORDERED TO C & D, CENSURED. WILL PAY DISG OF \$28.5 MIL. & TOTAL OF \$4 MIL. CIVIL PENALTIES-RETAIN COMPLIANCE CONSULTANT, CONSENTED. ALLOWED C
	000000000	EVERGREEN INVESTMENT MGMT	Regulatory Alert Possible	743000417	SUBMITTED 06/27/08 SAME ADDRESS AS & AFFILIATE OF EVERGREEN INVESTMENT MANAGEMENT CO LLC; SEC TXT 9/07 SETTLED-ORDERED TO C & D, CENSURED. WILL PAY DISG OF \$28.5 MIL. & TOTAL OF \$4 MIL. CIVIL PENALTIES-RETAIN COMPLIANCE CONSULTANT, CONSENTED. ALLOWED C

