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 ro change your password at the required time.

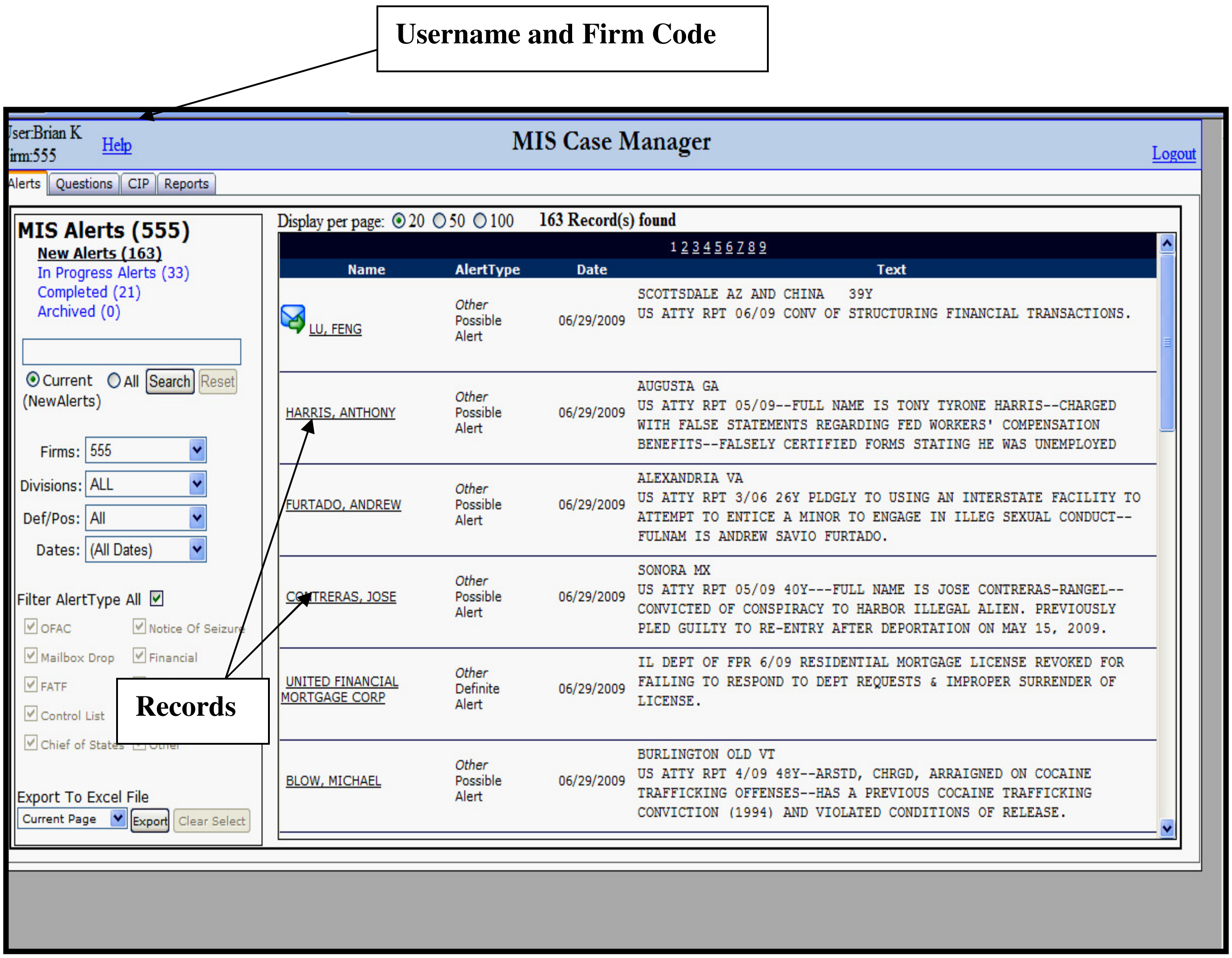
Note: Please send an email to MISCM@callmis.com in order to set up access for new case manager users

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the user is able to view different alert states: New Alerts, In Progress Alerts, Completed as well as Alerts that have been Archived.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.



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

2.2 Searching for Alerts

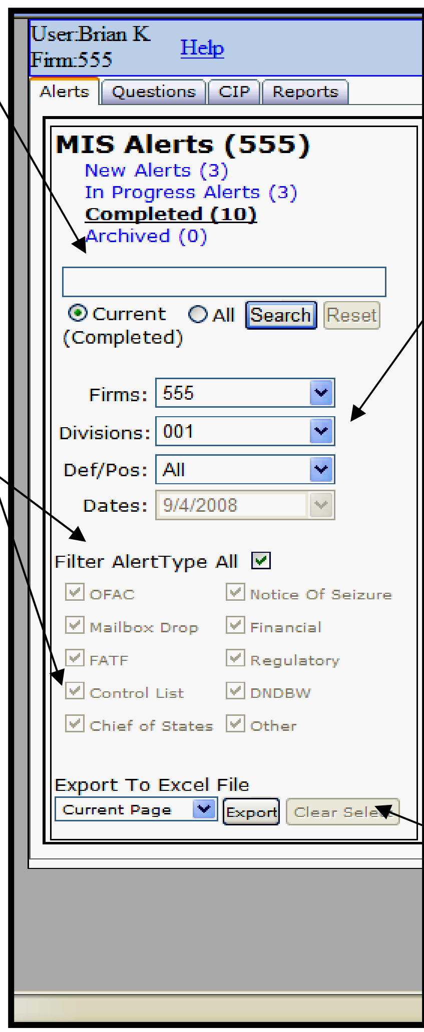
When performing text/numerical searches the MIS CM system automatically searches within the entire record, including the record text and alert type fields.

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 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 abilty to search alerts from each division, division firms do not have the abilty to view other divisions

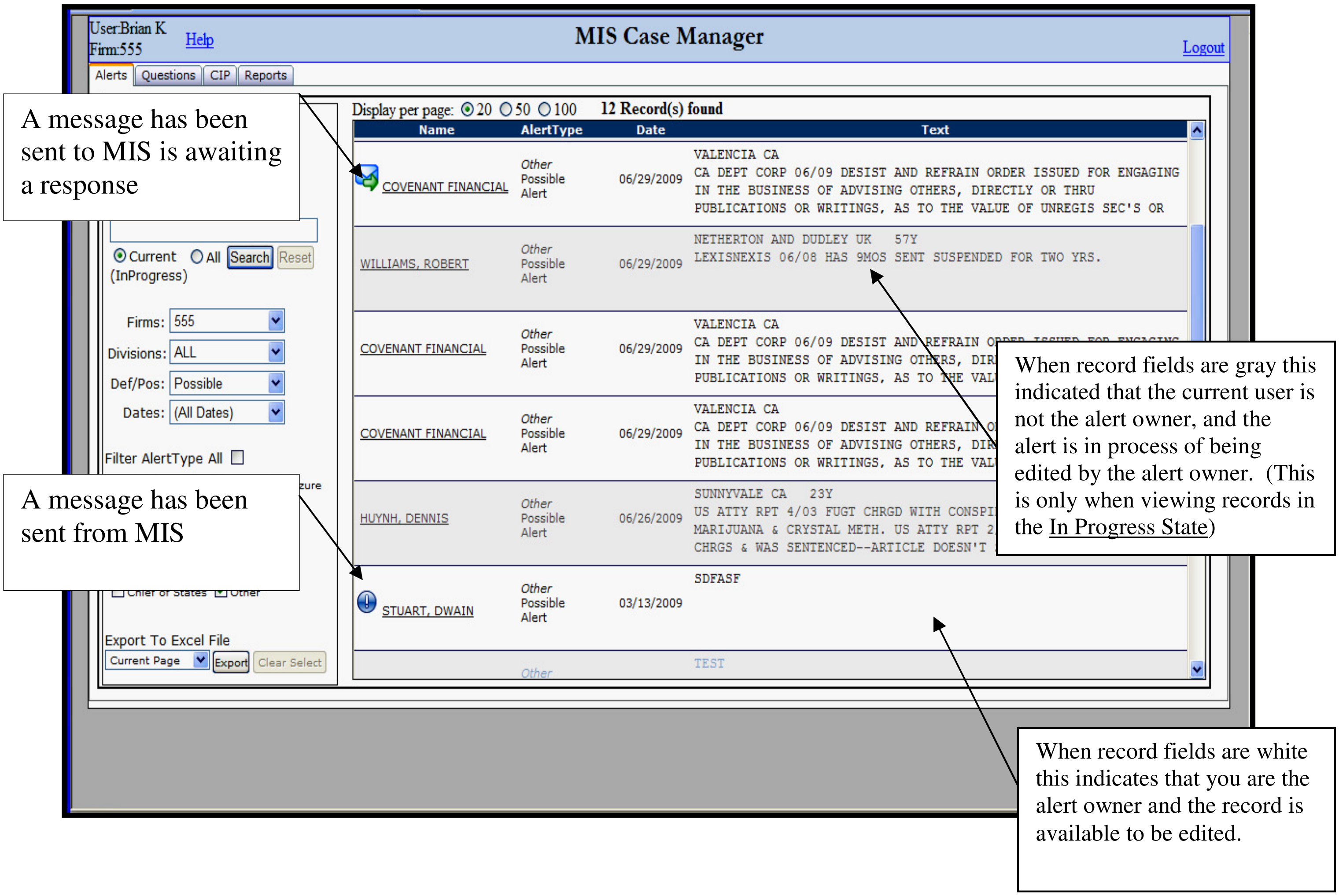
Alerts can be filtered by alert type, which is done by un-checking the Filter Type All button and selecting the alert type(s) of your choice.

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.



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

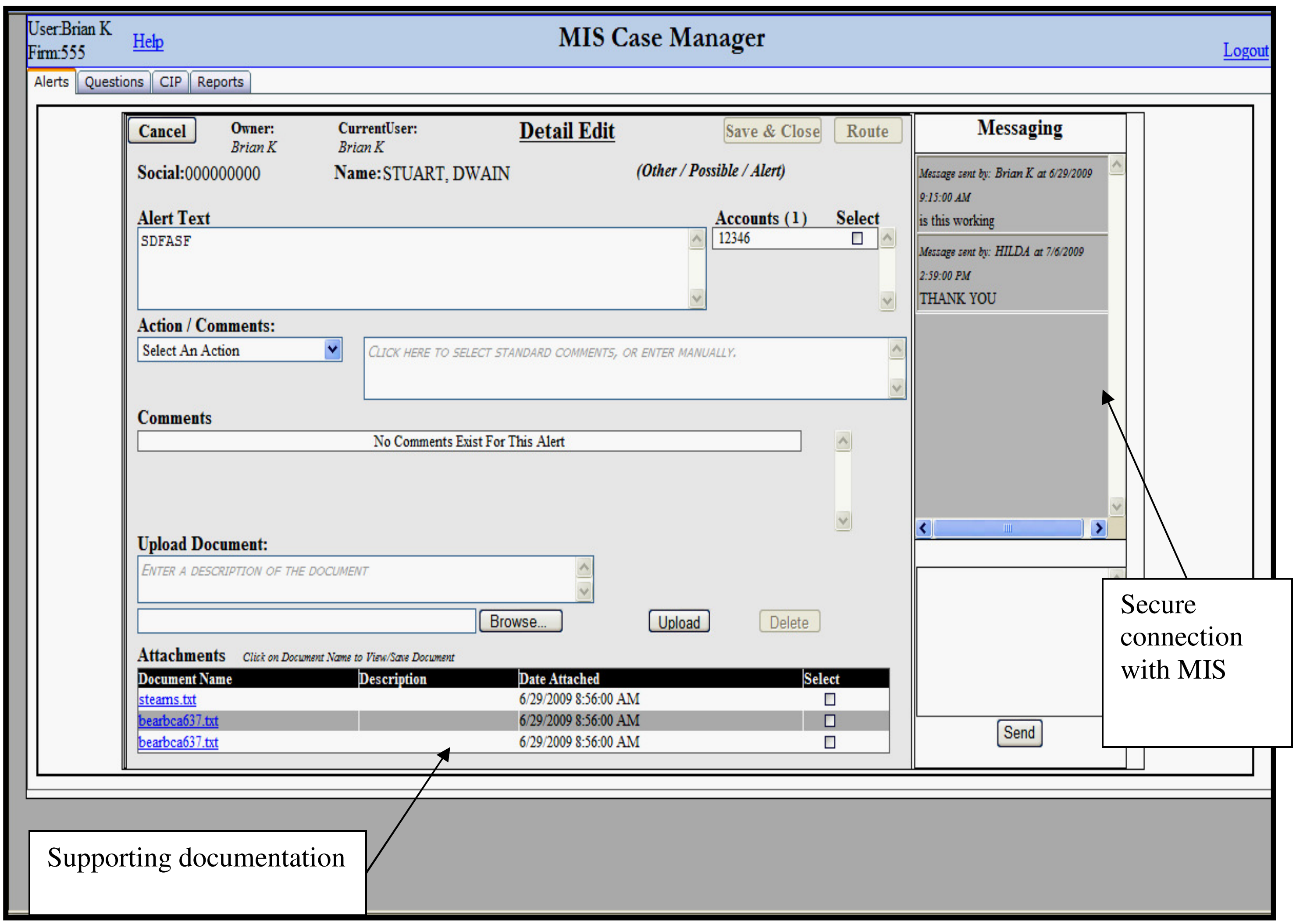
Edit screen

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.

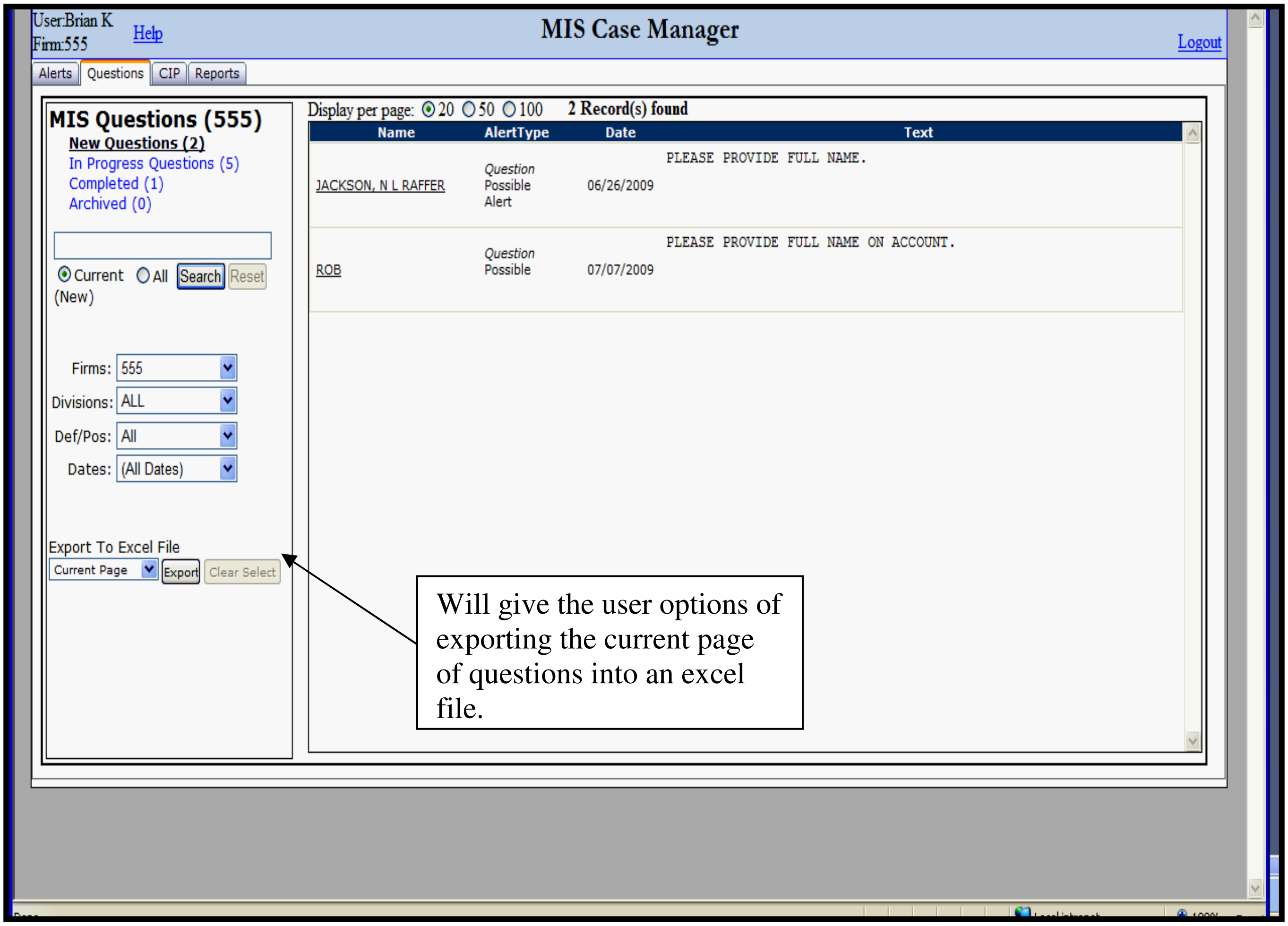
After routing an alert the record field will then become a light blue color indicating the alert has been routed.



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

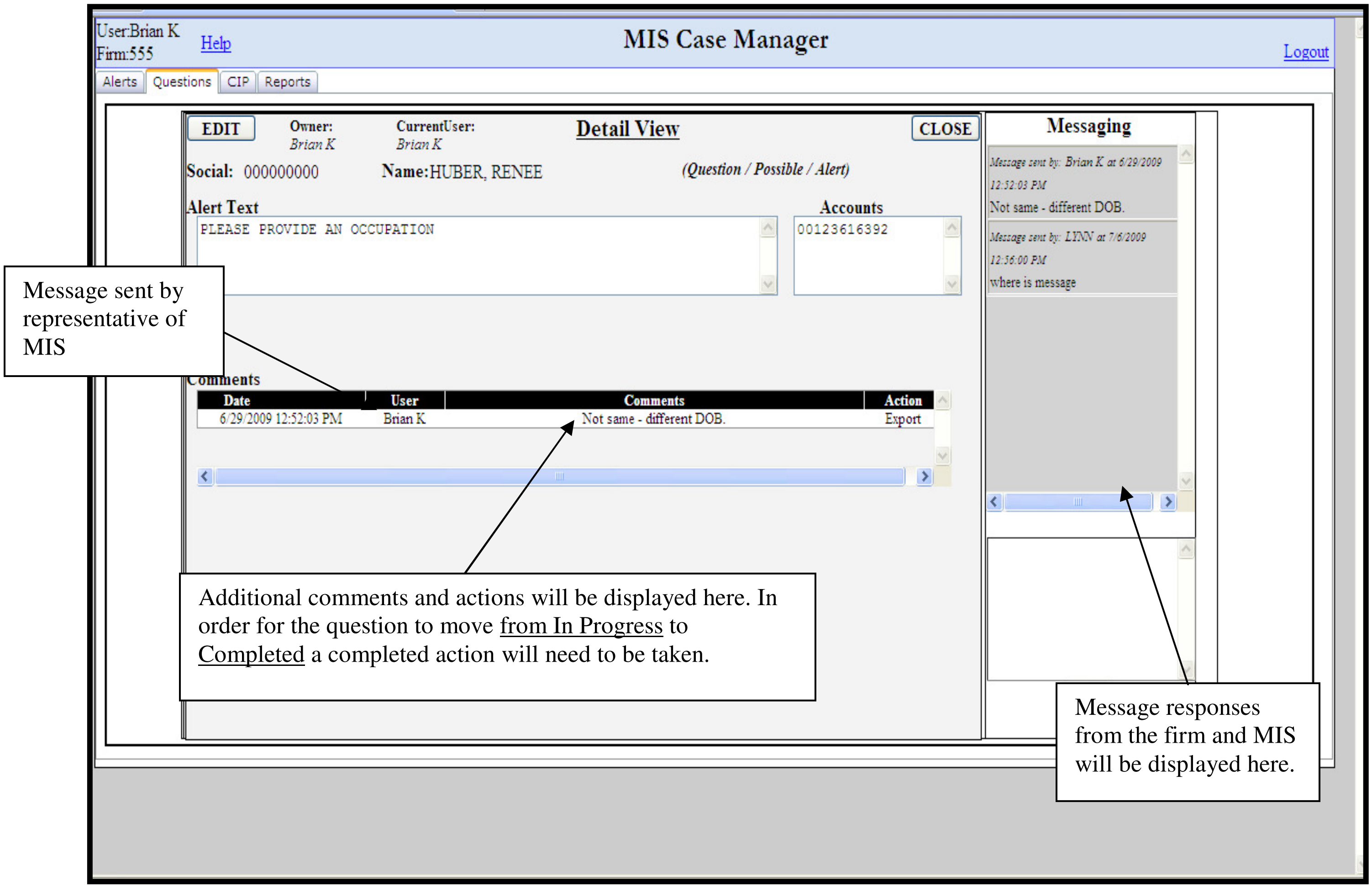
3.1 Questions



Section 3.2

In progress questions

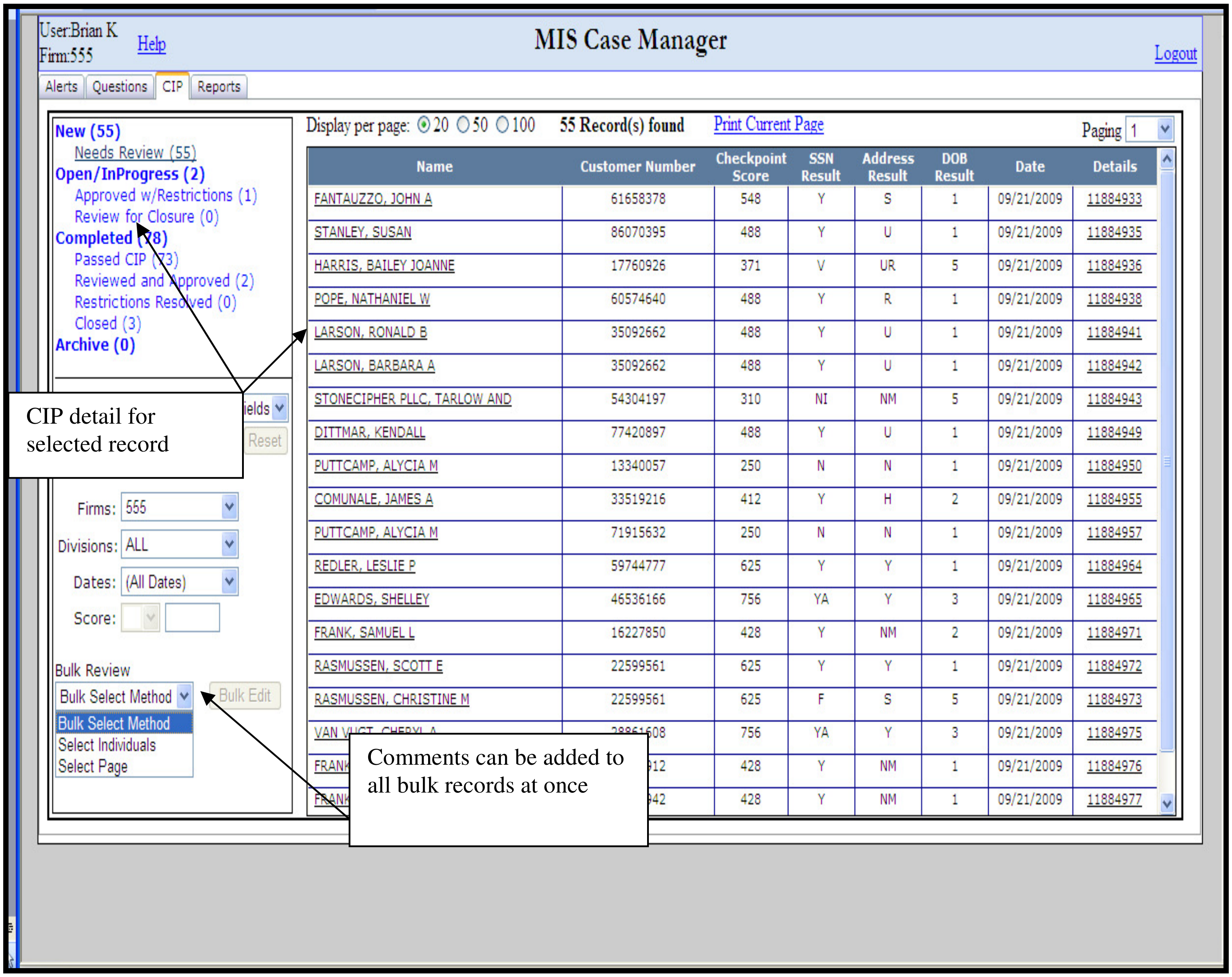
The messaging system with in the Questions tab will enable the MIS representative to communicate the firm for account inquiries. This function will not have effect on the alerting process.



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

Section 4

Experian CIP



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
[illegible]	[illegible]	756	YA	Y	3	09/21/2009	11884975
[illegible]	[illegible]	428	Y	NM	1	09/21/2009	11884976
[illegible]	[illegible]	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.