shield client connect

BOSTON 2025

Assure Training

Optimizing Due Diligence Items and Notifications

Non-Cannabis Use Cases

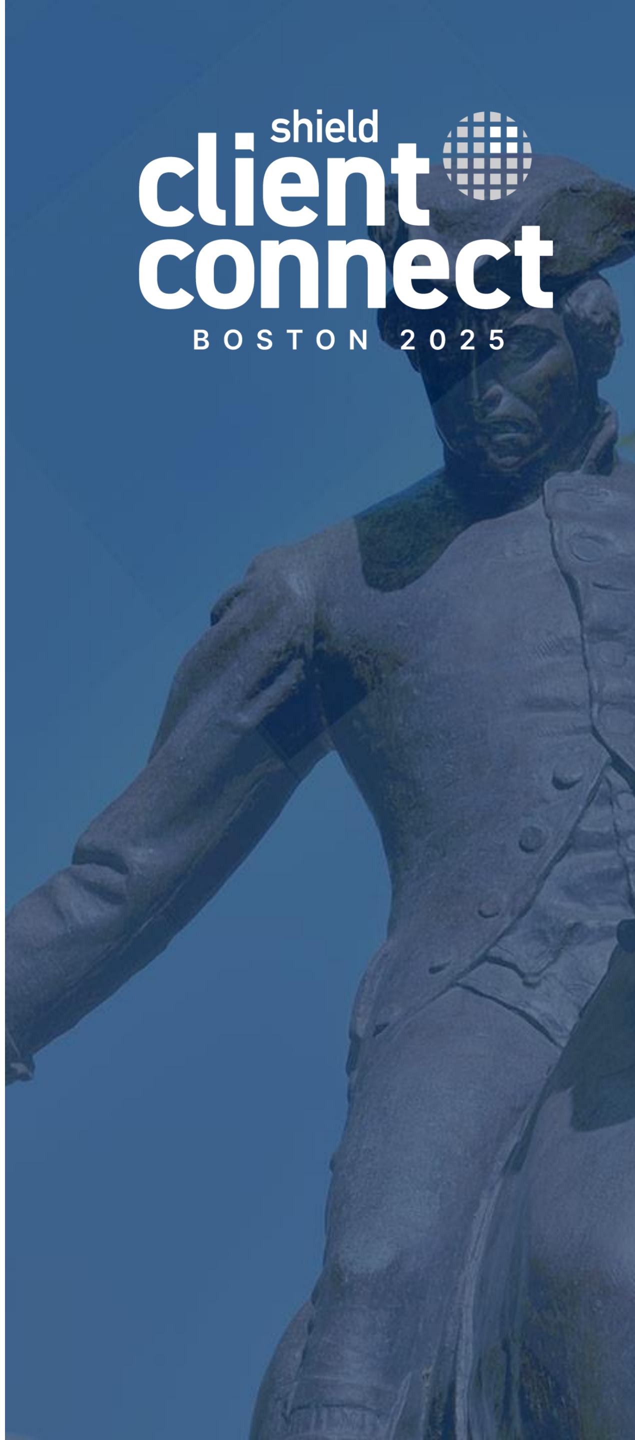
VIEW AGENDA

Agenda

- Due Diligence Items
- Notifications
- Non-Cannabis Use Cases

During Training:

- Understand data in the system
- How can you use the data?
- What are you solving for?



What is a due diligence item?

- Time bound activity
  - *Annually, monthly, quarterly, yearly, based on expiration date, etc.*
- Cases can generate directly to the client queue or to the FI queue

Examples:

- Annual review
- Monthly ATM reports
- Tax returns

- **Set it and forget it!**

Due Diligence Types

Global templates may be created in the following categories:

- **Activity Review** (Monthly, Quarterly, Annually, etc.)
- **Financial Statements** (Income Statement, Balance Sheet, Profit and Loss, etc.)
- **Inspection** (Monthly Site Visit, Quarterly Site Visit, Annual Site Visit etc.)
  - Site Visits Due Details – assists in monitoring upcoming site visits for scheduling even before the case generates.

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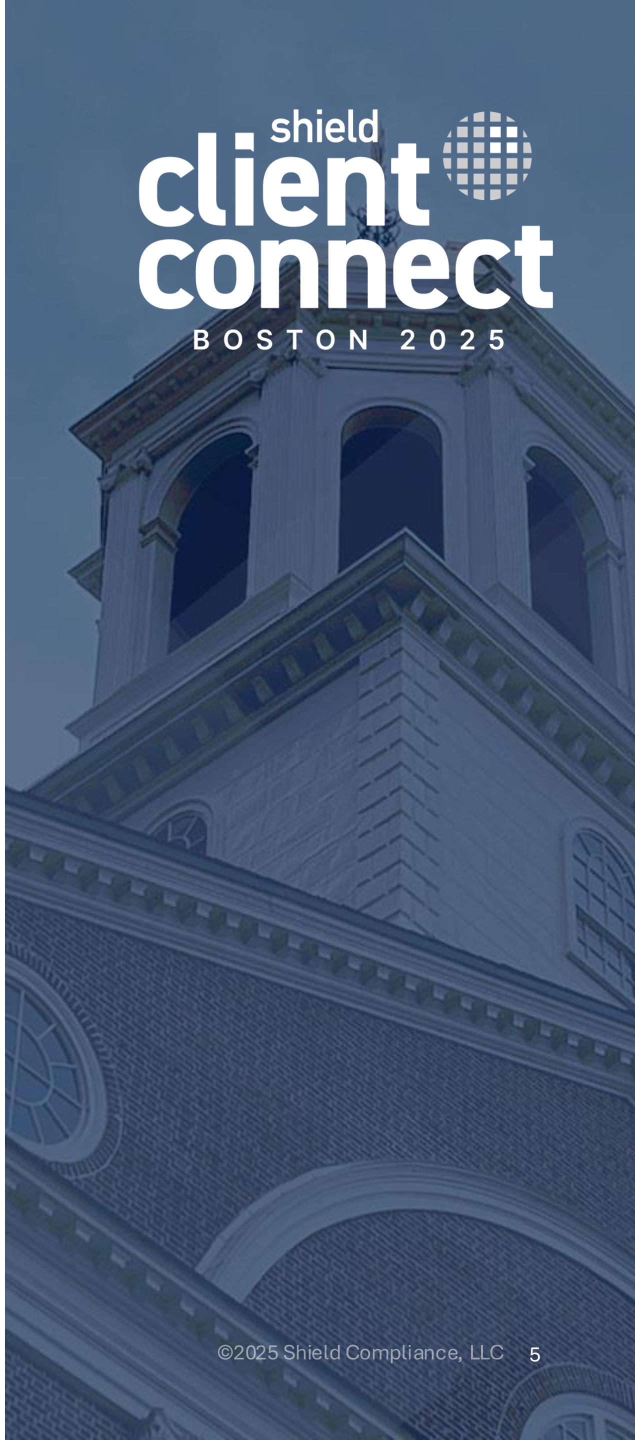
- **Insurance** (Worker’s Comp, General Liability Insurance Certification, Insurance Renewal etc.)
- **License Validation** (Monthly Validation, Quarterly Validation, etc.)
    - Exception Due Diligence, best practice to utilize new Industry License Expiration DD item.



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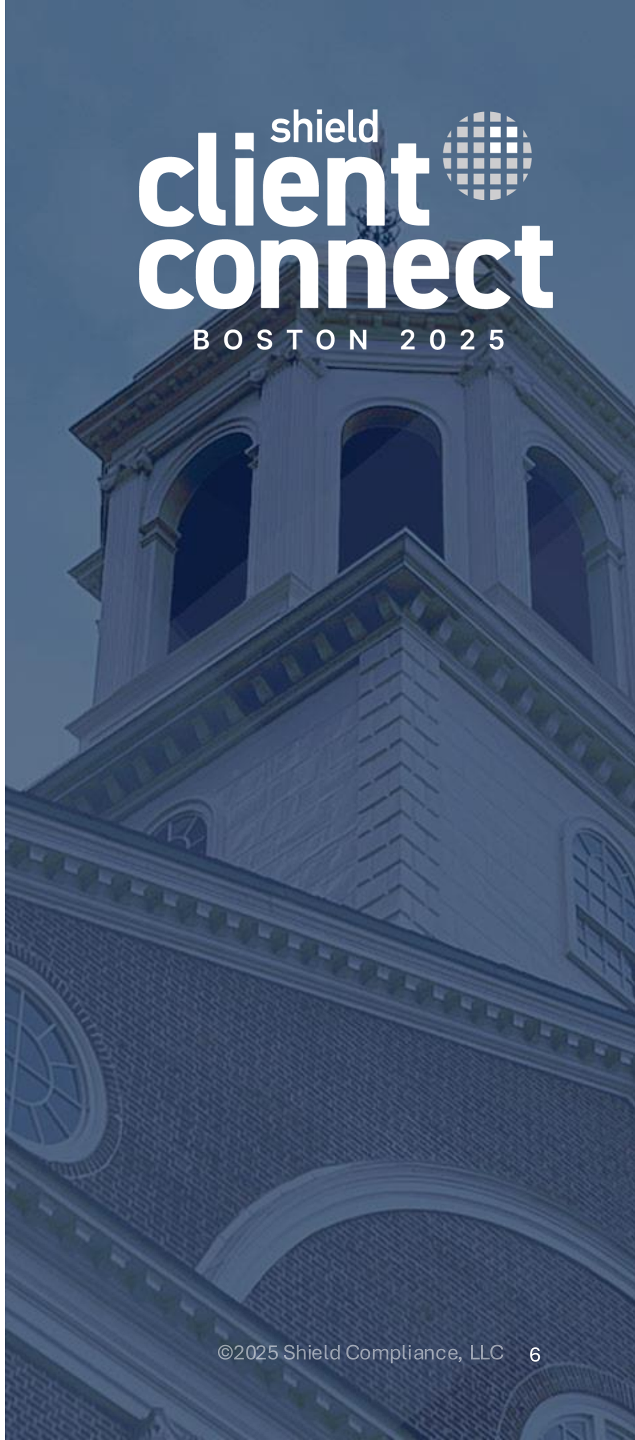
- **Insurance** (Worker's Comp, General Liability Insurance Certification, Insurance Renewal etc.)
- **License Validation** (Monthly Validation, Quarterly Validation, etc.)
- **Onboarding Document** (Business documents, Copies of Licenses, etc.)
    - Auto generated Due Diligence item when synced to Engage Application to include Document Stack. Auto closes.



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- **License Validation** (Monthly Validation, Quarterly Validation, etc.)
- **Onboarding Document** (Business documents, Copies of Licenses, etc.)
- **Ownership** (Beneficial Ownership Verification Monthly, Quarterly, Annually, etc.)
- **Tax Documents** (Federal Tax Returns, State Tax Returns, State Excise Tax Returns etc.)
- **Other** (ATM Reporting etc.)

Levels of DD items

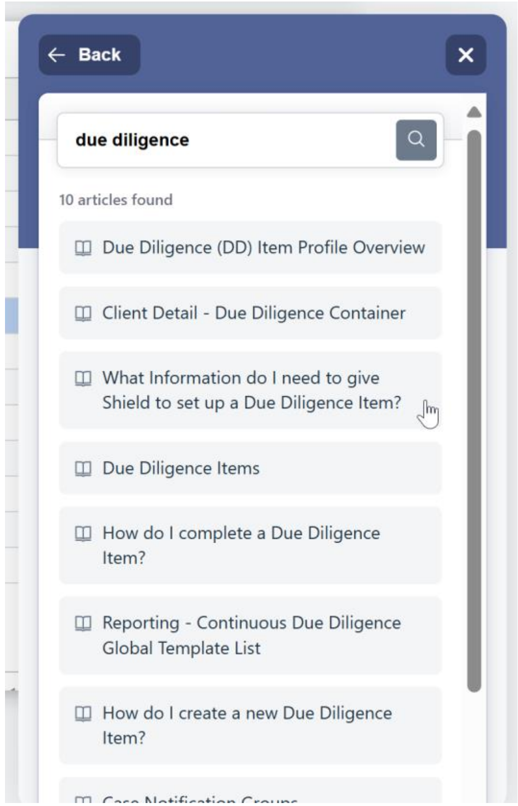
Global
- The FI configuration for a specific DD item.

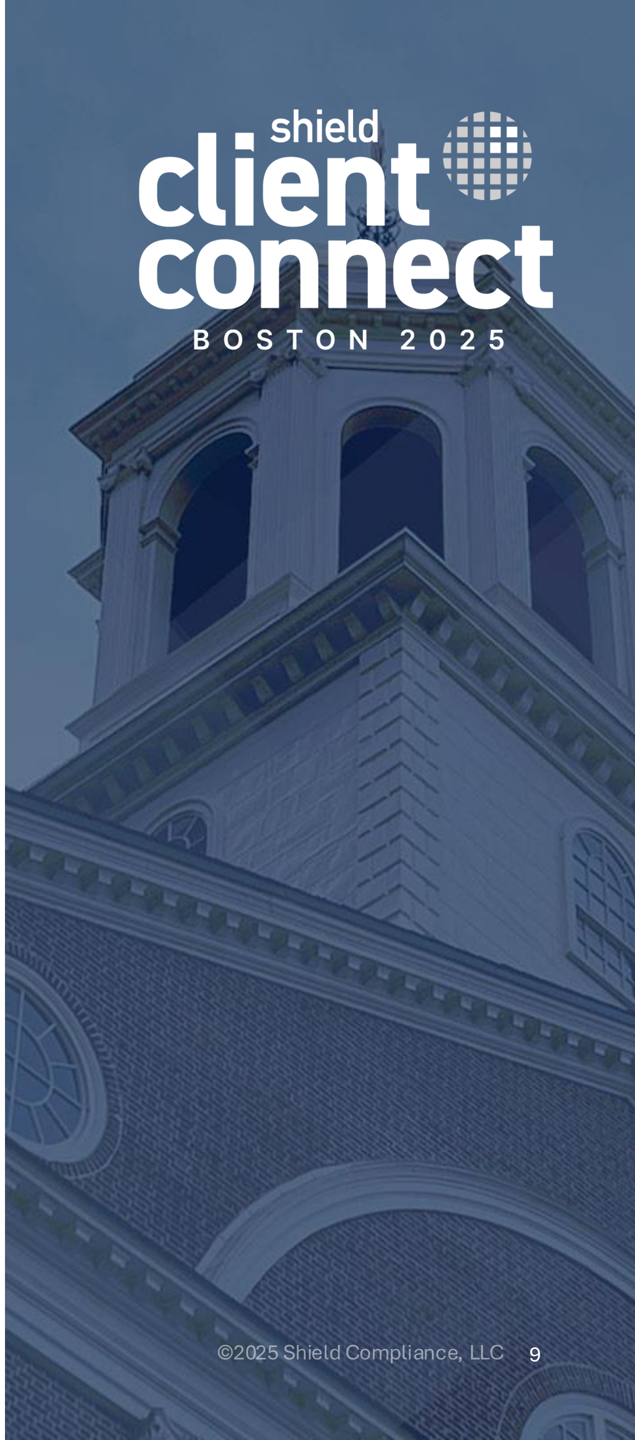
Parent
- A specific DD item that is assigned to a Client.
  - *Ex: Annual Review*

Child
- Each recurrence of a due diligence item
  - *Ex: 2024 Annual Review, 2025 Annual Review, etc.*

Due Diligence Configuration

- Help Widget article:
  - “What information do I need to give Shield to set up a Due Diligence item?”





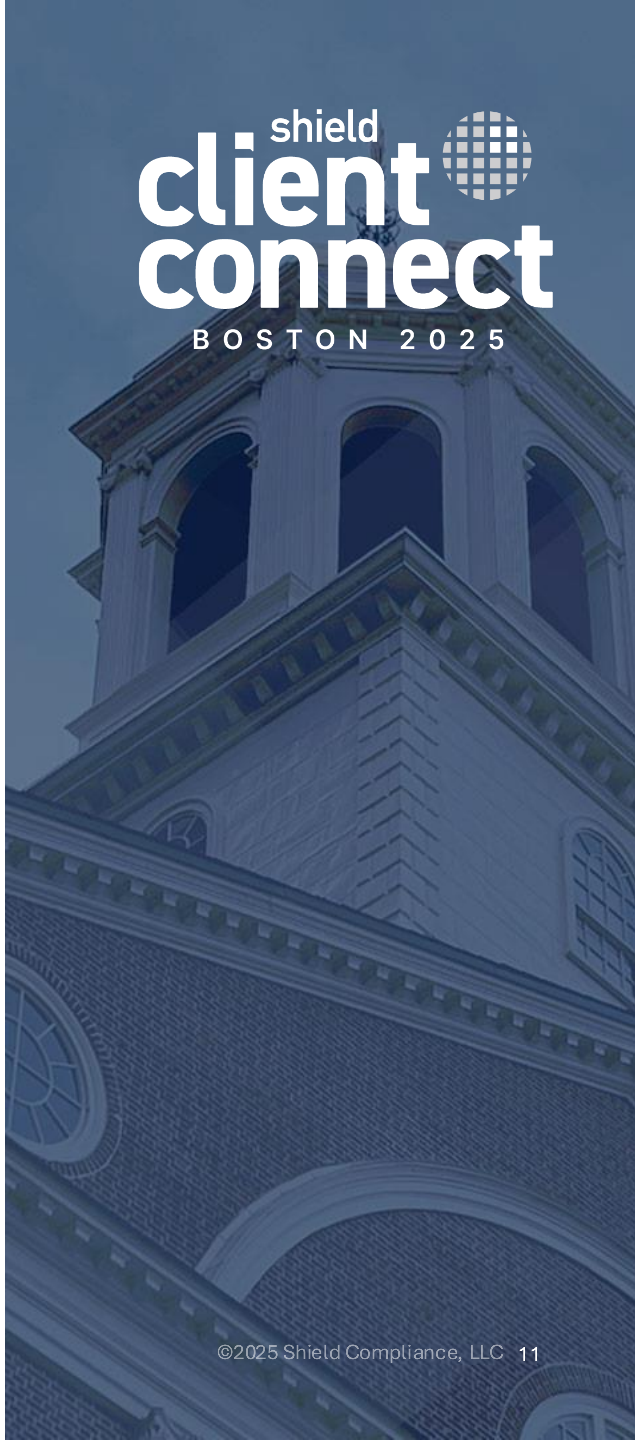
Due Diligence Configuration

- “What do I need to provide to Shield to set up a Due Diligence item?”
  - **Template Name**

Due Diligence Configuration

- “What do I need to provide to Shield to set up a Due Diligence item?”
  - Template Name
  - **Frequency**

Annual - Prior 12 Mos
Anniversary
Semi-Annual
Quarterly
Monthly
Days Since Last
One Time
Annual - Prior Calendar Yr



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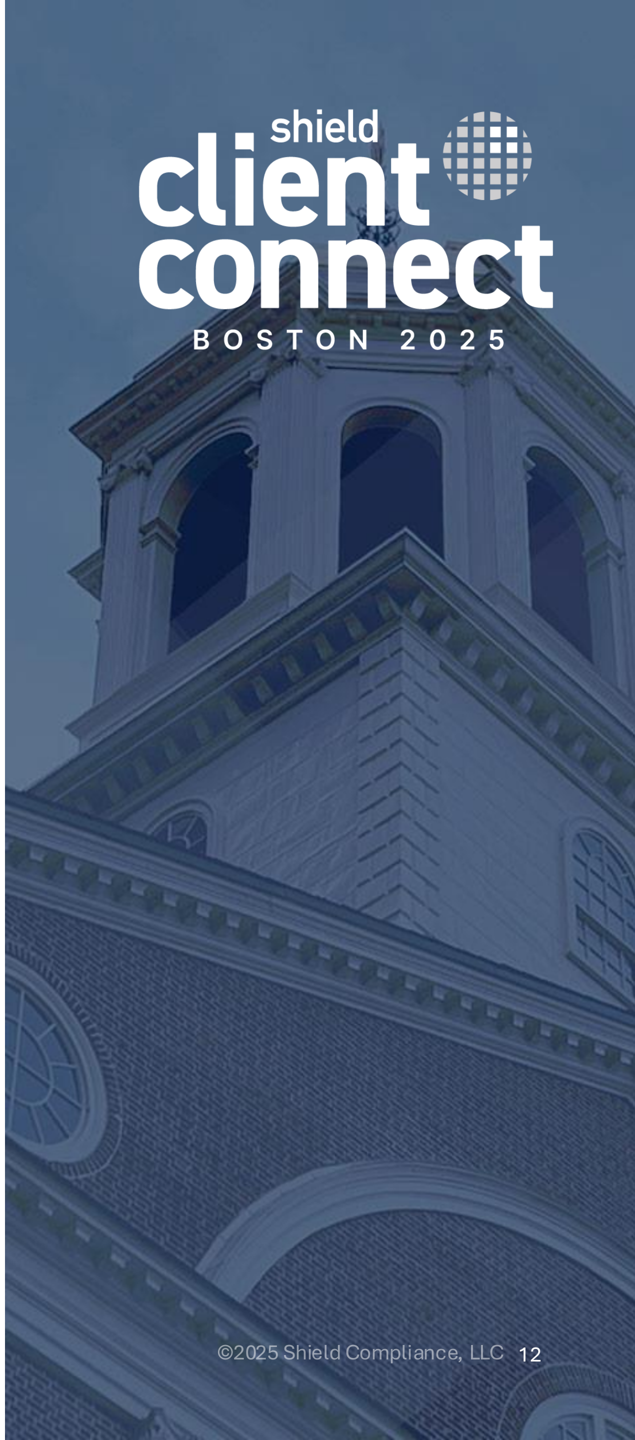
Due Diligence Configuration

- "What do I need to provide to Shield to set up a Due Diligence item?"
  - **Template Name**
  - **Frequency** (Annual, Quarterly, Monthly, Semi Annual, Days Since Last, One Time)
  - **Compounding –** Next case will generate even if prior case is not completed.
    - *Yes*
      - Next case generation will be based on the Review Date.
        - Review date of 1^{st} of every month, every month going forward, case will generate on the 1^{st}.
    - *No*
      - Next case generation will be based on the Completion Date of the Due Diligence Item.
        - Close monthly case on the 15^{th}, every month going forward will generate on the 15^{th}.



Due Diligence Configuration

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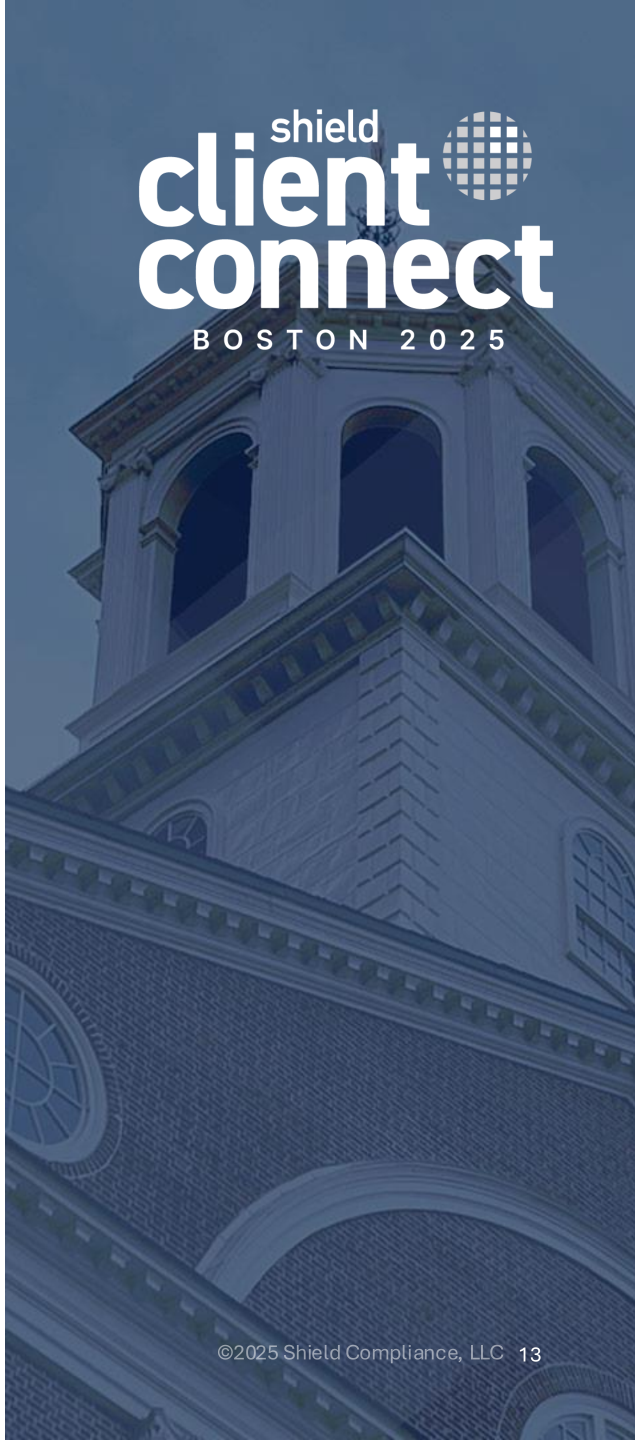
  - **Frequency** (Annual, Quarterly, Monthly, Semi Annual, Days Since Last, One Time)
  - **Compounding** Case can generate if prior case not complete.
  - **Item Creation Date** (how many days prior to the date you will be reviewing the DD item do you want the case to trigger—15, 30, 60, etc)
    - You cannot close a due diligence item until the review date.
    - E.g. Annual Review from 1-1-25 to 12-31-25, set 30-day **Item Creation Date**
      - Case generates 30-days before on 12-2-25.
      - If you complete the review on 12-15-25, Assure will not allow you to close as it is not a true annual review (the review period is NOT complete on 12-15-25, the last 16 days of the period have not occurred yet.)
    - Would recommend a small or zero **Item Creation Date.**



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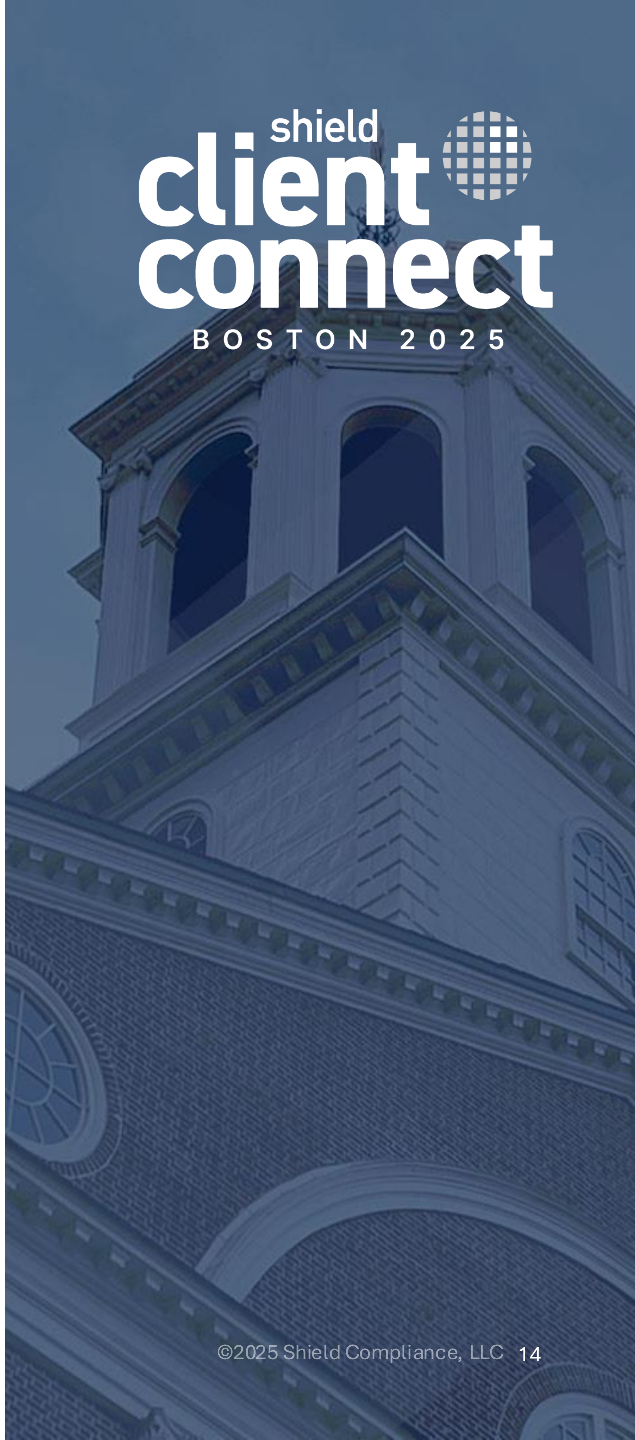
  - **Due Date** (how many days after you anticipate you will be reviewing the item do you want the case to be due for customers—0, 5, 10. 15, etc)



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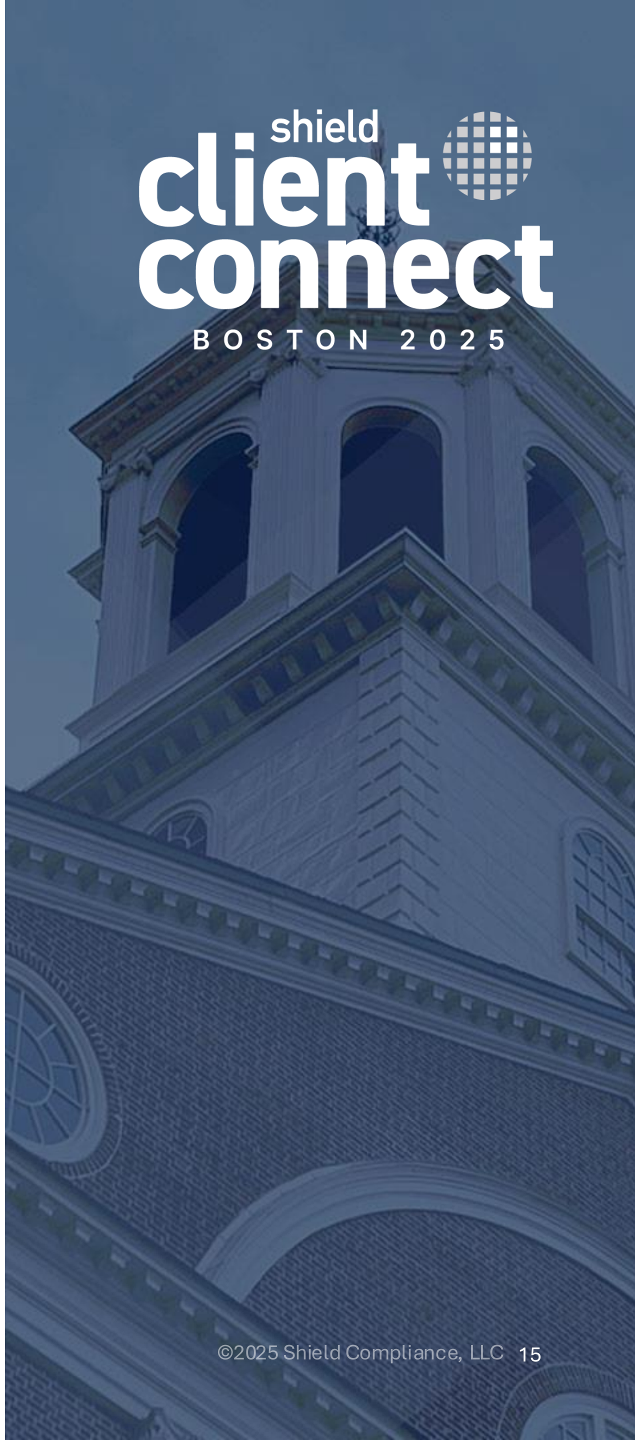
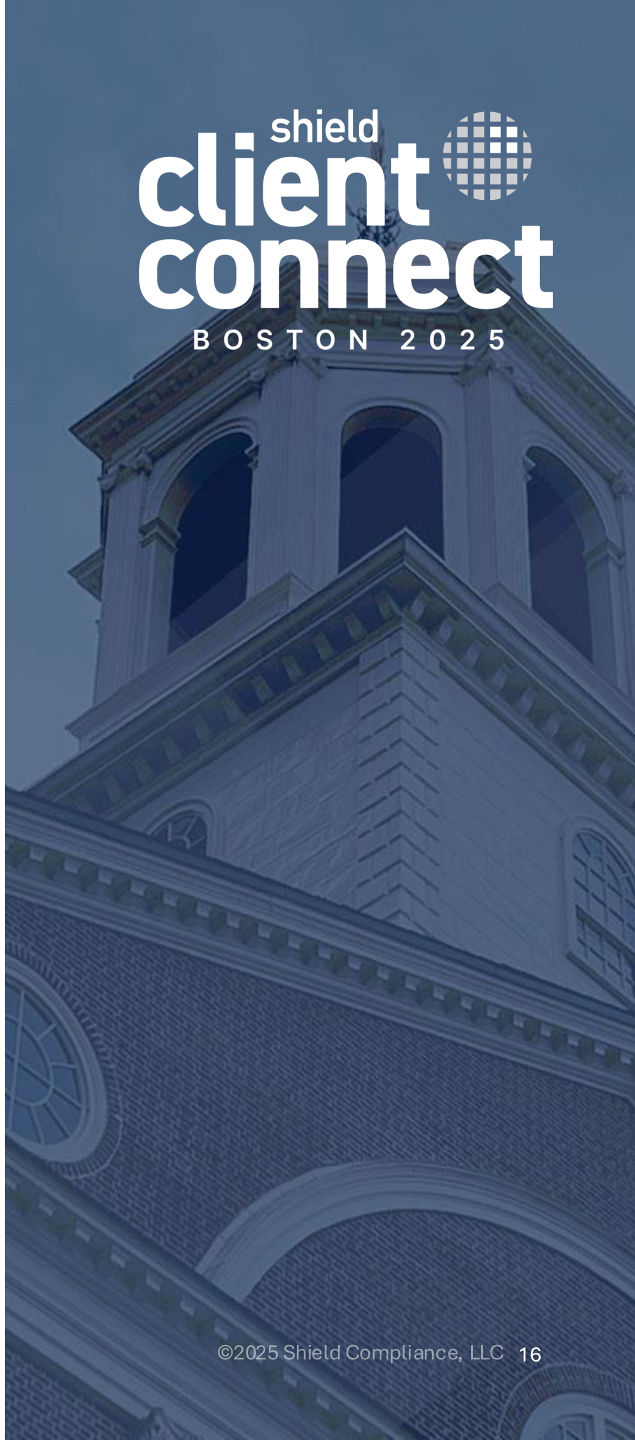
  - **Due Date** (how many days after you anticipate you will be reviewing the item do you want the case to be due for customers—0, 5, 10. 15, etc)
  - **Case Queue** the case may trigger to the FI queue or Client queue initially.



Due Diligence Configuration

- Help Widget article:
  - “What do I need to provide to Shield to set up a Due Diligence item?”
    - – Any **Internal Description** case purpose/introduction of case for FI staff.



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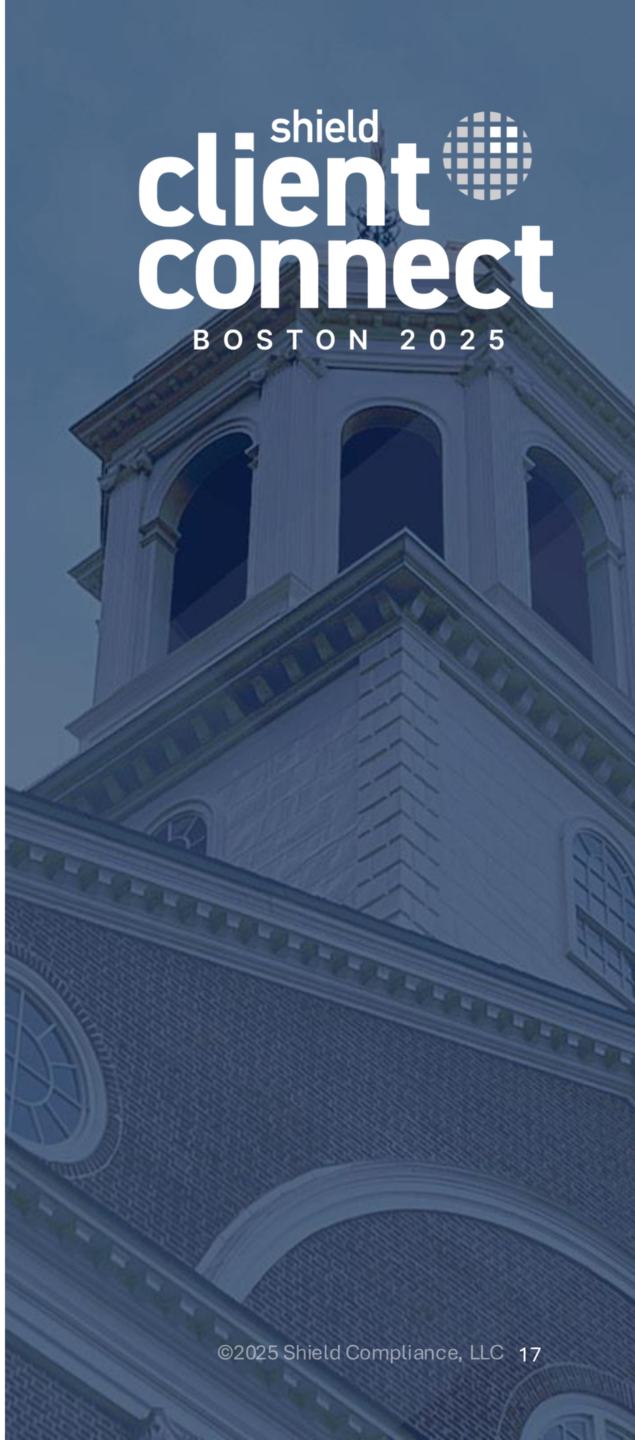
Due Diligence Configuration

- Help Widget article:
  - “What do I need to provide to Shield to set up a Due Diligence item?”
    - Any **Internal Description** case purpose/introduction of case for FI staff.
    - Any **Internal Case Instructions** for direction for FI staff
      - Include step by step procedures of what needs to be done to review.
      - Include Due Diligence on document review.



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    - Any **Client Case Description** - brief description of case purpose.

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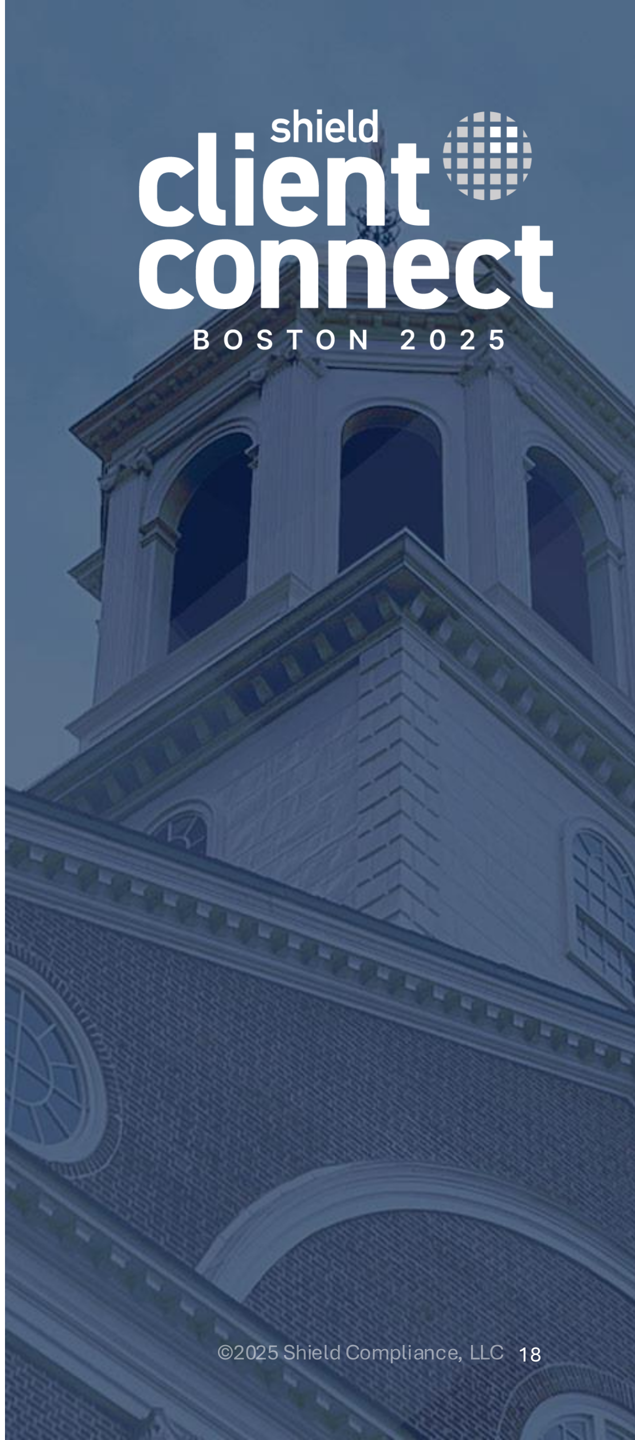

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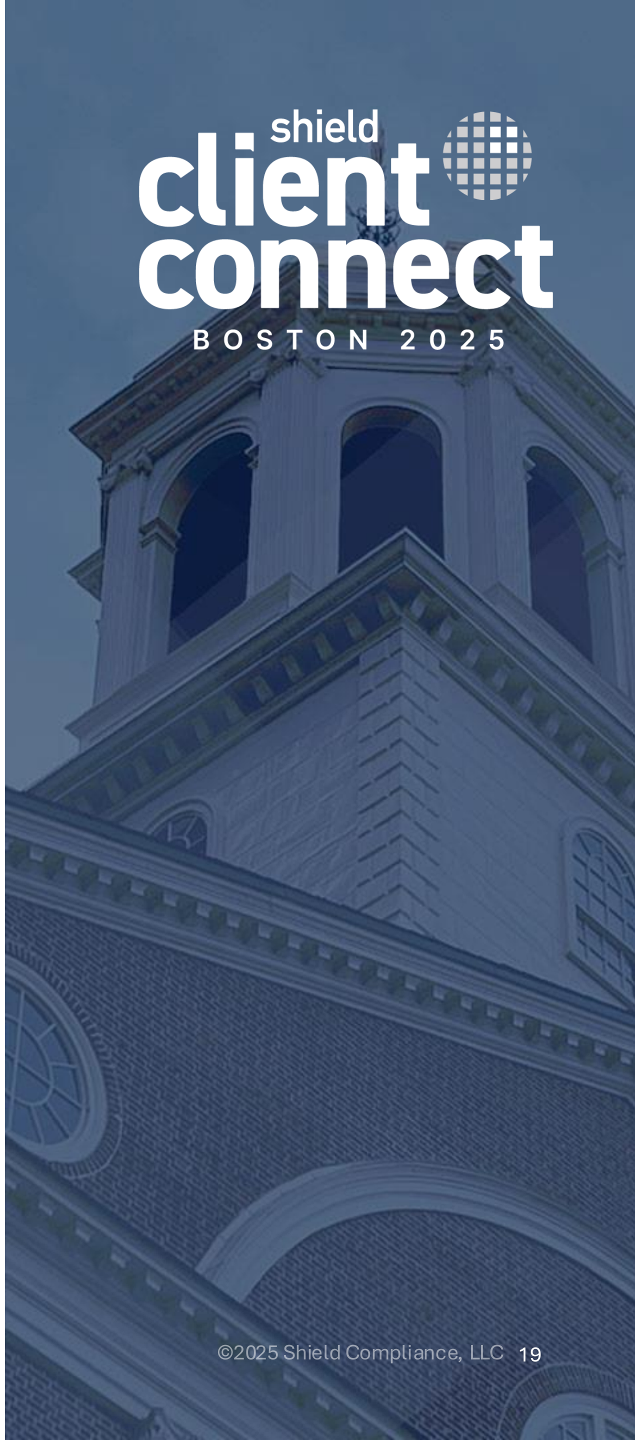
    - Any **Client Case Instructions**
      - Include step by step instructions of the what the client needs to do.
      - Attach documents that can be completed and attached to the case.



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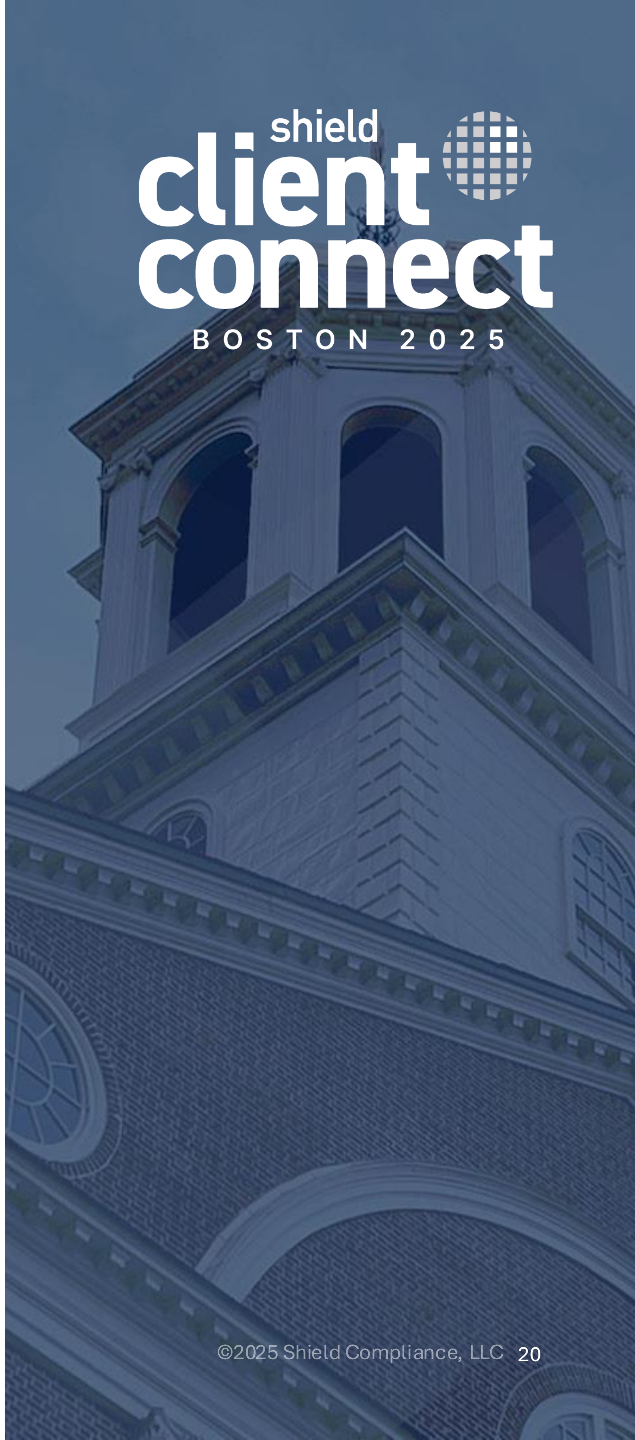
    - Any **Client Case Instructions** - step by step procedures for the Client.
    - **Allow Frequency Override**



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    - Any **Client Case Description** - brief description of case purpose.
    - Any **Client Case Instructions** - step by step procedures for the Client.
    - **Allow Frequency Override**
    - Let us know if you want **documents required** to be attached before the due diligence item is closed
      - Case may still be worked by the FI or the Client and sent for review to the FI if no document attached.
      - Case may be closed, but only as *Completed-Waived*.

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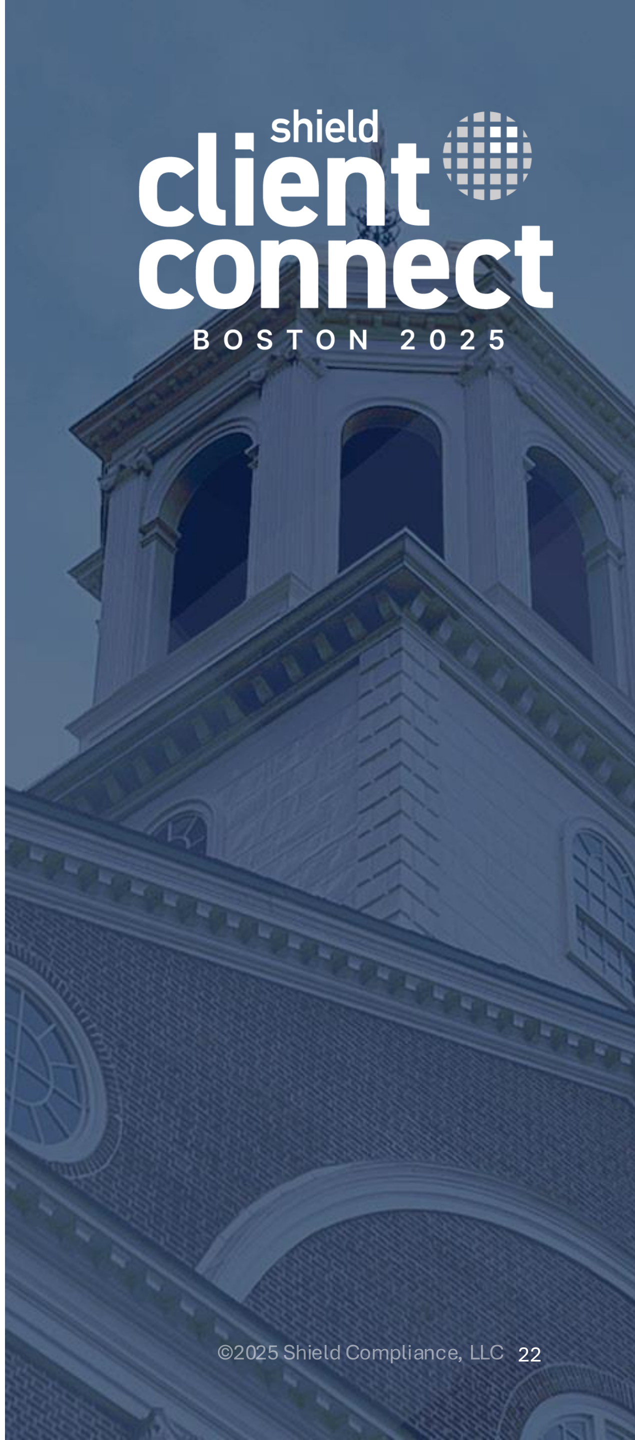
    - Let us know if you want **documents required** to be attached before the due diligence item is closed
  - Lesser-known configuration not included in help widget. ☺



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    - Any **Client Case Instructions** - step by step procedures for the Client.
    - **Allow Frequency Override**
    - Let us know if you want **documents required** to be attached before the due diligence item is closed
  - Responsibility Group Assignment at generation and Past Due Notifications (client)
    - Restricted to Due Diligence Category, not granular to each Due Diligence Item *(i.e. All Activity Review items would go to Team A, you can't have monthly ATM reviews go to Team A and annual reviews go to Team B.)*

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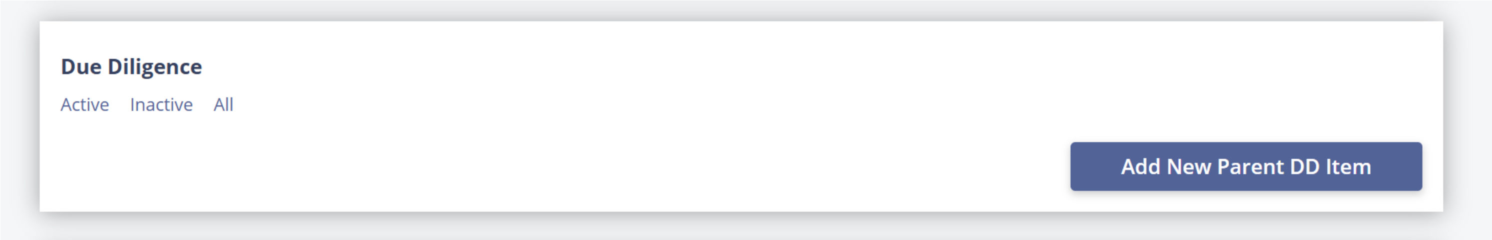
How to Add a DD Item to a Client

- Parent Due Diligence Items are assigned at the *Client Profile / Due Diligence Container*
  - *Each recurring child item will occur at the frequency defined in the global item configuration. Each child item is nested under the parent.*



- Important!!
  - Due Diligence Items should NOT be created on the Case List page.
    - This creates an orphan case not tied to a Client and cannot be closed without Shield intervention.

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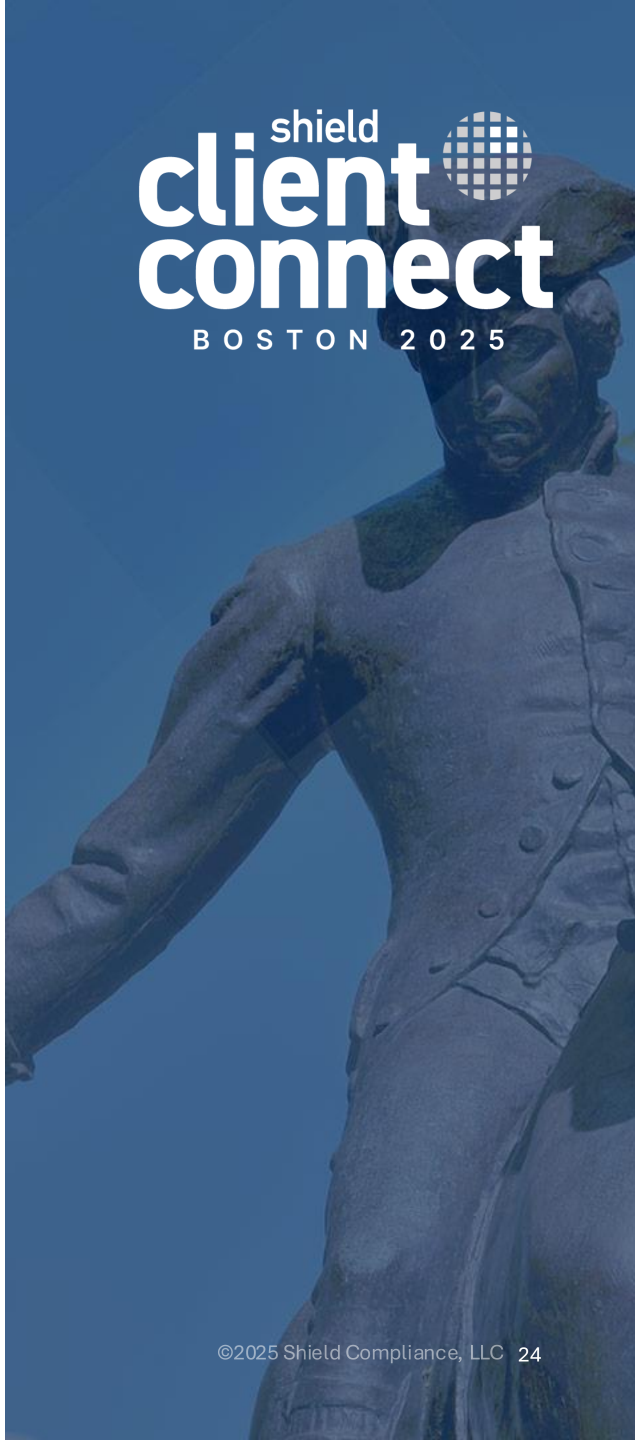

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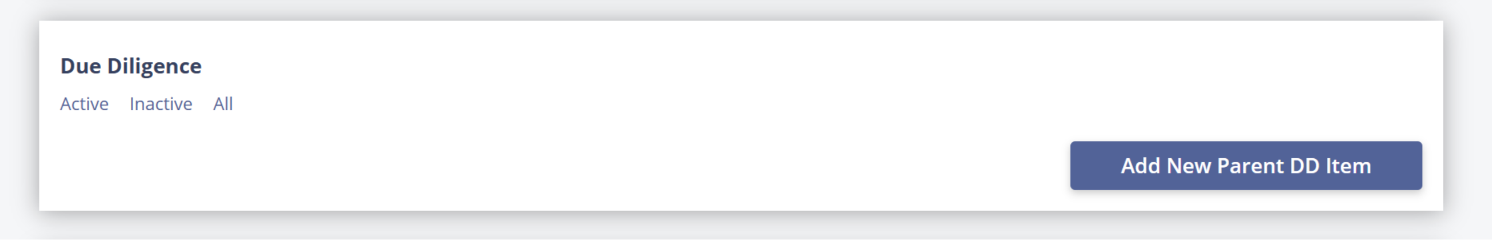
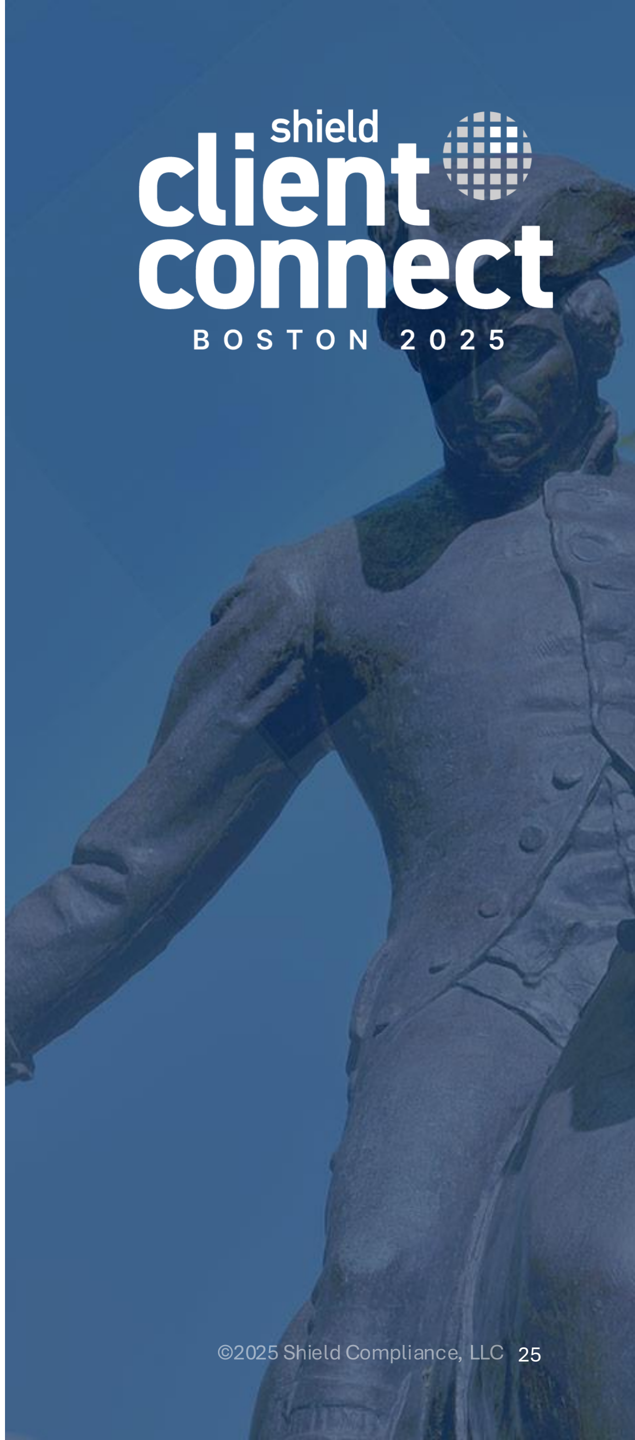


- When assigning a Due Diligence Item to a Client you choose the **Initial Review Date.**
  - That date sets the timing for all recurring Due Diligence Items (child items).



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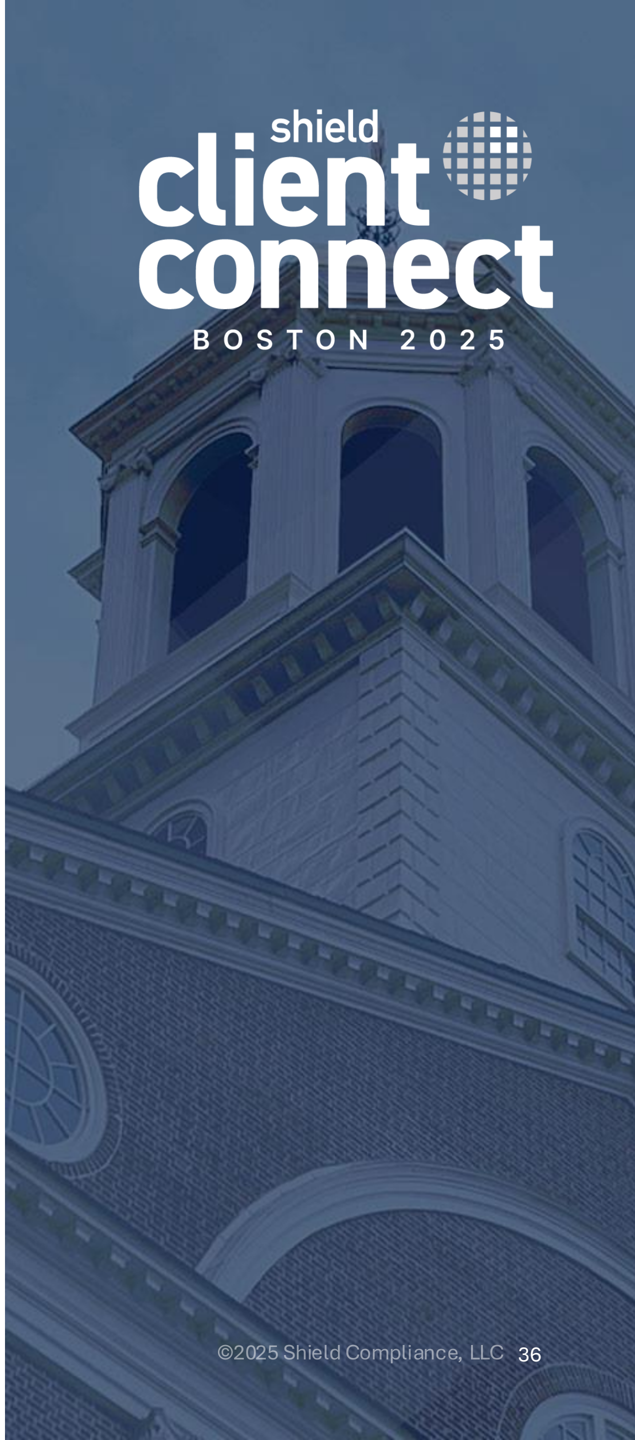
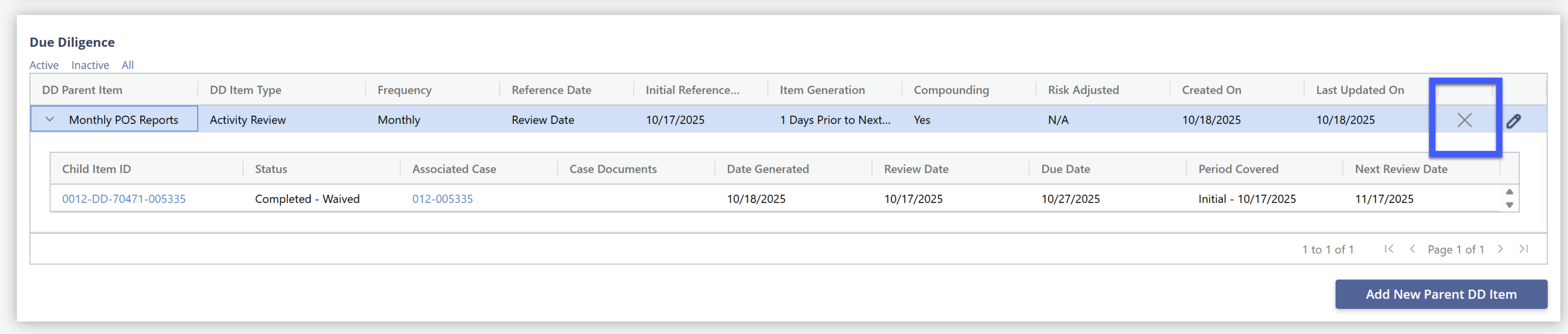
How to Deactivate a Parent DD Item

- If a Due Diligence item is no longer needed:
  - Requirement no longer needed per policy. (tax returns, insurance, etc)
  - To change timing of Parent Due Diligence Item
- To deactivate a Parent Due Diligence Item, best practice is to close all “Child” cases
  - Completed-Accepted or Completed-Waived
- If open cases exist, the Parent Due Diligence Item will still show as Active until last child case is closed.
  - Then the Parent Due Diligence Item will move to Inactive.



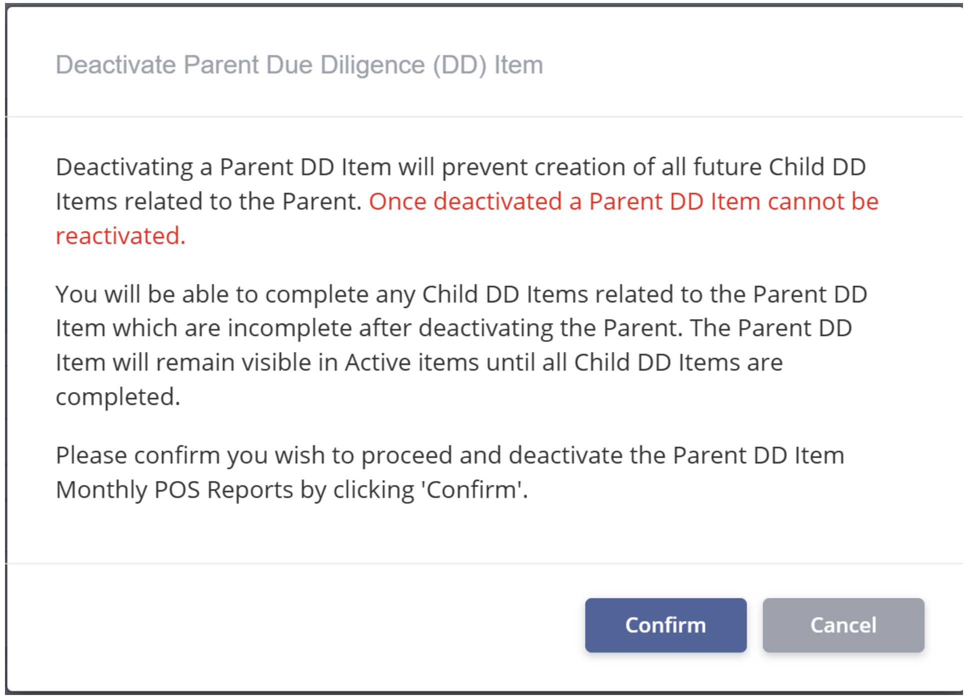
How to Deactivate a Parent DD Item

- Click on the ‘X’ to the far right of the Parent Due Diligence item



How to Deactivate a Parent DD Item

- A message will be displayed to confirm deactivation.
- Click **Confirm**.

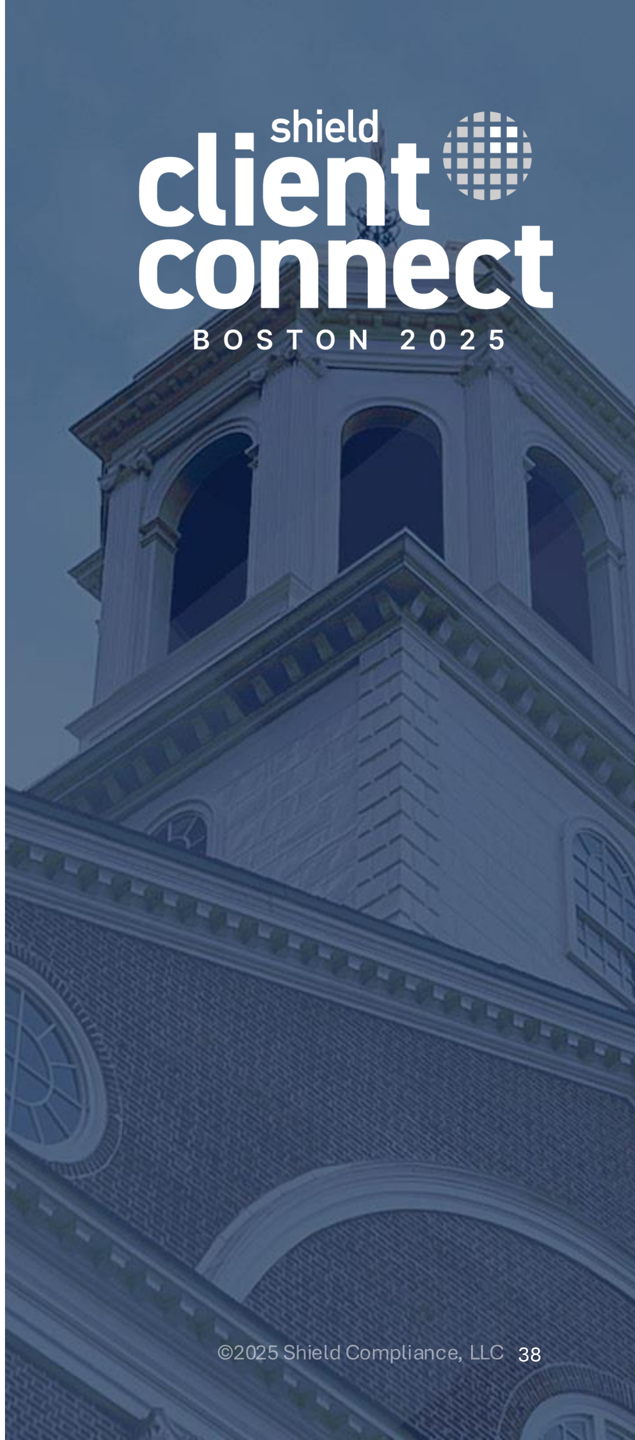

Deactivate Parent Due Diligence (DD) Item

Deactivating a Parent DD Item will prevent creation of all future Child DD Items related to the Parent. Once deactivated a Parent DD Item cannot be reactivated.

You will be able to complete any Child DD Items related to the Parent DD Item which are incomplete after deactivating the Parent. The Parent DD Item will remain visible in Active items until all Child DD Items are completed.

Please confirm you wish to proceed and deactivate the Parent DD Item Monthly POS Reports by clicking 'Confirm'.

Confirm Cancel



Dispositioning a DD Case

- Different workflow and disposition for a Due Diligence case.
- Same Functionality as other case types
  - Change Due Date
  - Assign to Responsibility Group and Individual
  - Move cases back and forth between Client and FI
  - Activity container for FI and Client Visible Comments
  - Attachments container
  - Mark as Reportable

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Dispositioning a DD Case

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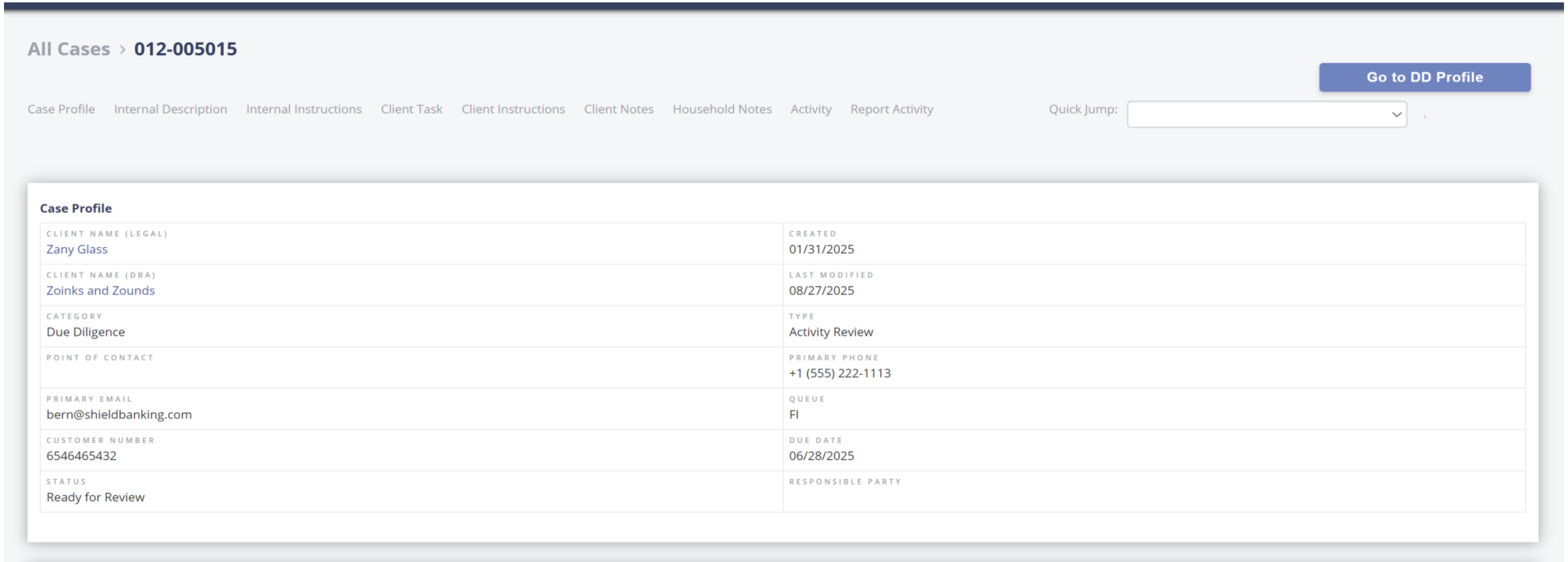
- When you open the case, you are reviewing the "Child" Due Diligence case.
  - The Due Diligence case will either show as *Open* or *Ready for Review* on the Parent DD Item and the Case List page.
    – Due Diligence cases will reflect as **In Progress** as a **Status.**



Most Commonly Used DD Items

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- **Activity Review**
  - Annual Review
    - Tier 1 MRB
    - Ancillary Business
    - Hemp
    - MSB
    - ATM
  - Quarterly Review
  - Tier 1 MRB
  - ATM Monthly Review / Reporting

- **Financial Statement**
  - Annual Financials

- **Inspection**
  - Annual Site Visit
  - Tier 1 or Ancillary
  - Bi-Annual Virtual Visit
  - Quarterly Site Visit
  - One Time Site Visit
  - Internal vs. External Site Visits

Most Commonly Used DD Items

- **Insurance**

- **Ownership**
- Beneficial Ownership Certification\
  - Annual
  - Quarterly
  - One Time (based on knowledge)

- **Tax Documents**
  - Annual Tax Returns
  - Sales Tax Documents (Monthly, Quarterly, Annual, etc.)

- **Other**
  - Annual Risk Questionnaire
  - Monthly Client Check In
  - One Time Document Request
  - Commence Operations (one time)
  - New Location
  - Sales to Deposit Variance
  - BSA Escalation
  - Account Restriction

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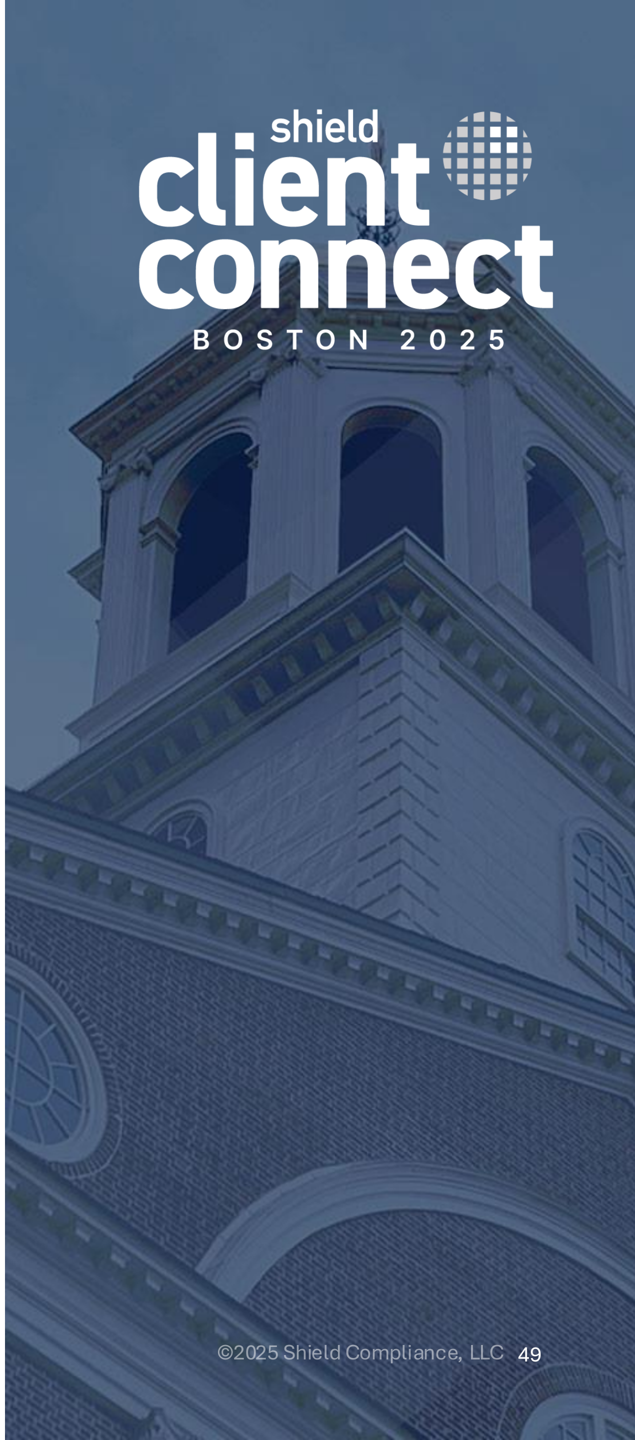
[Industry] License Expiration

- The newest addition to the DD item types
- Applicable for all or specific industries
  - Cannabis
  - Hemp
  - Money Services Business
  - Digital Asset
- Requires a copy of the license to be submitted by the Client.
  - Automatically checks “Get License Copy” once enabled, may be deselected if necessary.
  - Automatically assigns to Client and creates Due Diligence Item.



Best Practices for Due Diligence Items

- Align to your policy
- Update internal instructions to your procedures
- Stop tracking manually (spreadsheets, etc)

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FI View – Client Profile

- Once configured, the Get License Copy will be checked in the [Industry] License Information container.
  - May deselect specific licenses if needed

Industry License Information

Cannabis

State	Type	Numb...	Status	Expiration	Name / Address Information	Verified	Trace	Expected Tax Rate	Expected Non-Tracea... Sales	Edit
AZ	Adult Use Establishment	f323f23f2	Active: Ac...	☑ Get License Copy				50%	50%	

Add License(s)

FI View

- The Parent Due Diligence item will be auto assigned to the client.
- A Due Diligence item will exist for each industry license monitored.
- Once configured, the Due Diligence container will include the Due Diligence cases.
  - Will take overnight process to see Due Diligence items under the client profile.

Due Diligence

Active Inactive All

DD Parent Item	DD Item Type	Frequency	Reference ...	Initial Ref...	Item Gene...	Compoun...	Risk Adjus...	Created On	Last Upda...
AZ f323f23f2	Cannabis License Expiration	Expiration Date	Expiration Date	08/25/2025	30 Days Prior ...	No	N/A	08/25/2025	08/25/2025

1 to 1 of 1 Page 1 of 1

Add New Parent DD Item

FI View

- The Due Diligence item will generate to the Client queue xx days prior to the validated or manually attested expiration date or last verified date.
  - Default on the case is 30 days before expiration
- The Client will attach a copy of the renewed license and send to the FI Queue.
- Case will be in the Ready for Review Status.

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Client Notifications

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Client Notifications

- Clients will receive notifications when a case (task) is assigned to their queue.
  - The “Primary” user will receive all types of notifications.
- Other client users may opt to only receive notifications for certain types of cases.
- Notification Group assignment may be set on the Client Profile page or on the User Profile page.
  - Primary flags may only be set on the Client Profile page

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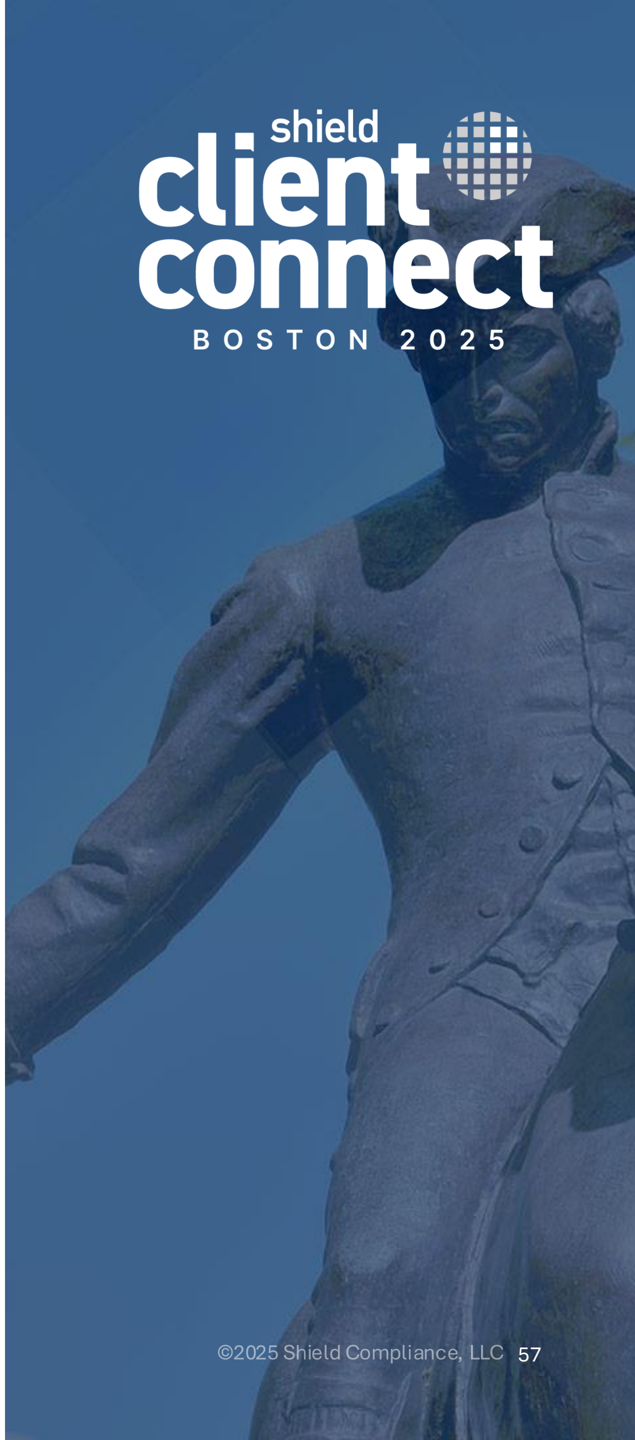
Primary User Concept

- A "Primary" user is a user that will receive a notification email for EVERY case (task) assigned to the Client queue.
- The "Primary" flag may be changed from one user to another, but one user must have the "Primary" flag set.
- With the release, the first created Admin User was set as the "Primary" user.
  - If no Admin user, the first Operations user was set as "Primary".
- If a "Primary" user is deactivated, the next Admin user that was created will become the "Primary" user.
  - If no Admin exists, the earliest created "Operations" user will become primary.

Case Notification Groups

- Accounting Upload
- Entity
- Financial
- General Communications
- Licensing
- Sales Data
- Transaction Inquiry



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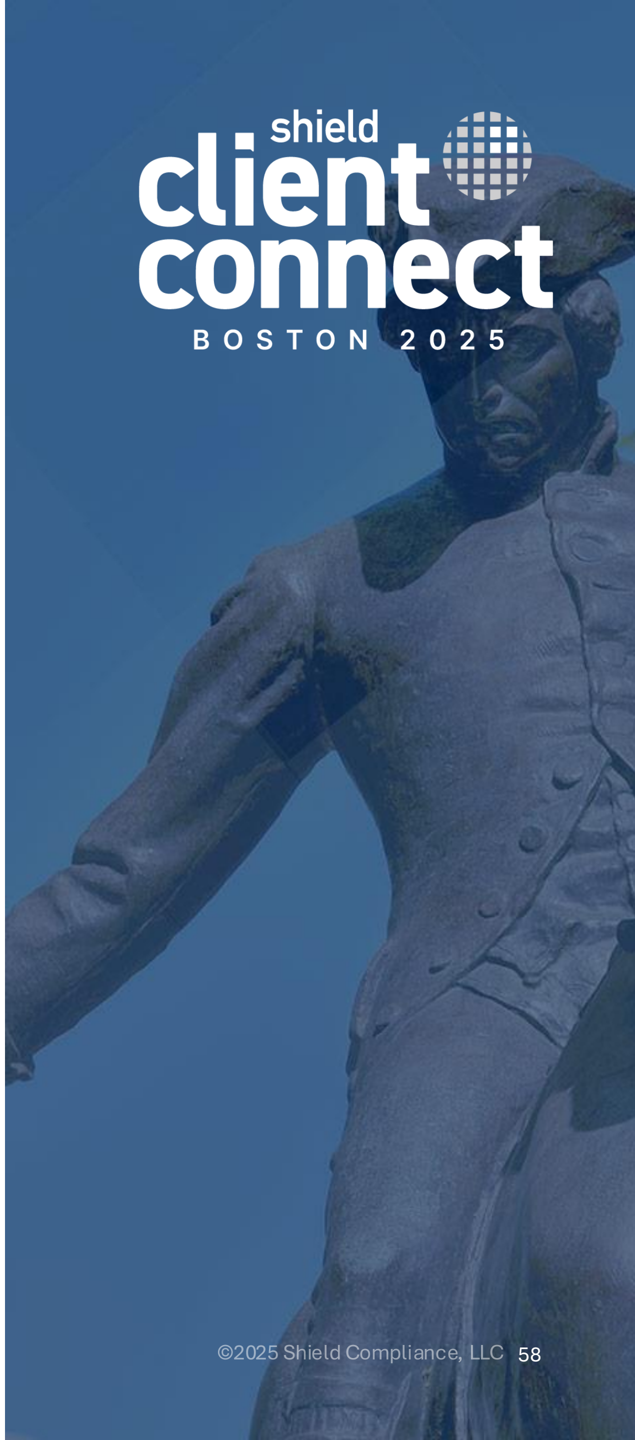
Default Case Notification Groups

- Client Queue
  - **Accounting Upload**
    - Initial Accounting Upload
    - Monthly Accounting Upload
    - Quarterly Accounting Upload



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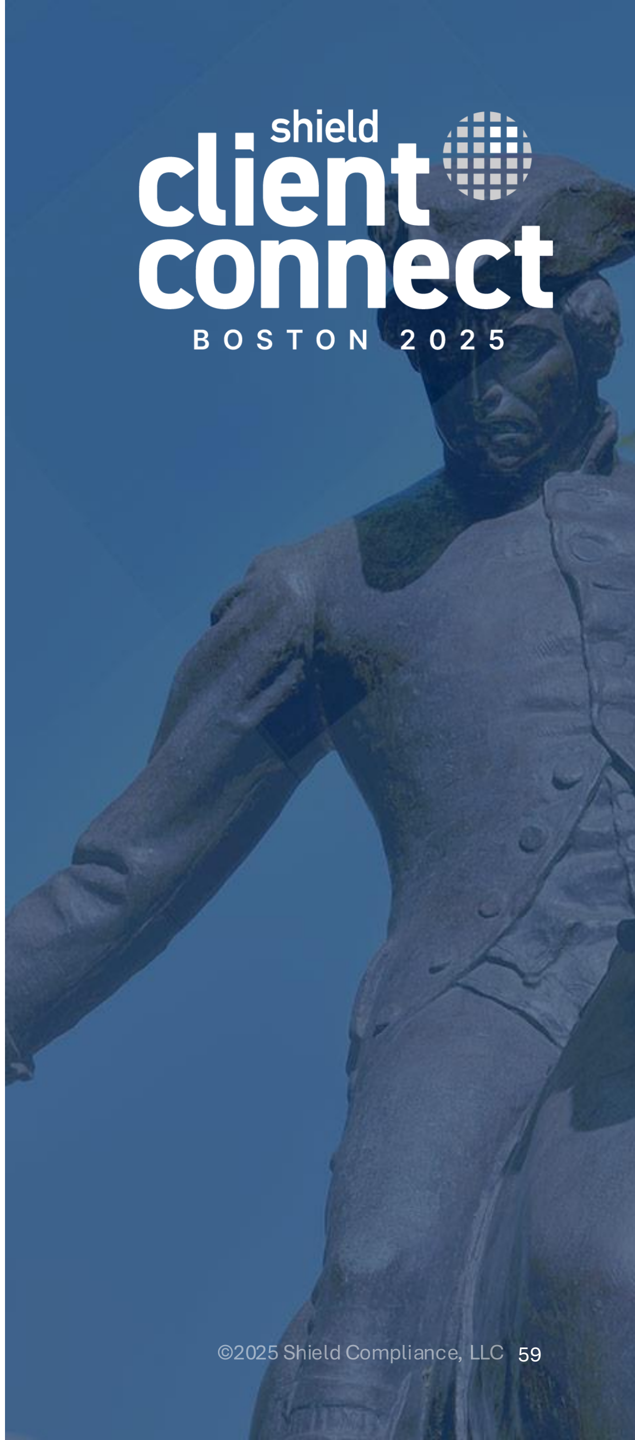
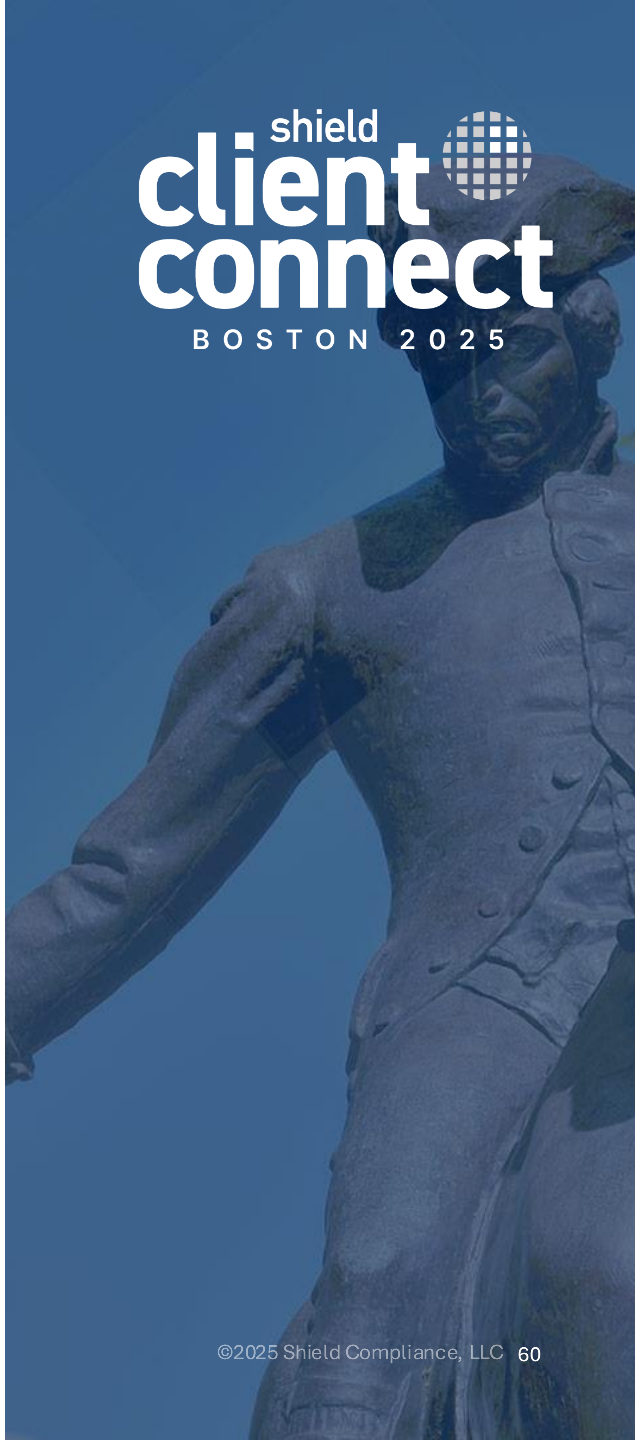
Default Case Notification Groups

- Client Queue
  - **Entity**
    - Due Diligence – Activity Review
    - Due Diligence – Inspection
    - Due Diligence – Insurance
    - Due Diligence - Ownership
- FI Queue
  - **Entity**
    - Negative News
    - Adverse Media Negative News
    - PEP Negative News
    - Sanctions Negative News
    - SOE Negative News
    - Update License Number
    - Vendor Approval/Prohibited
    - Engage Onboarding
    - Ownership Change



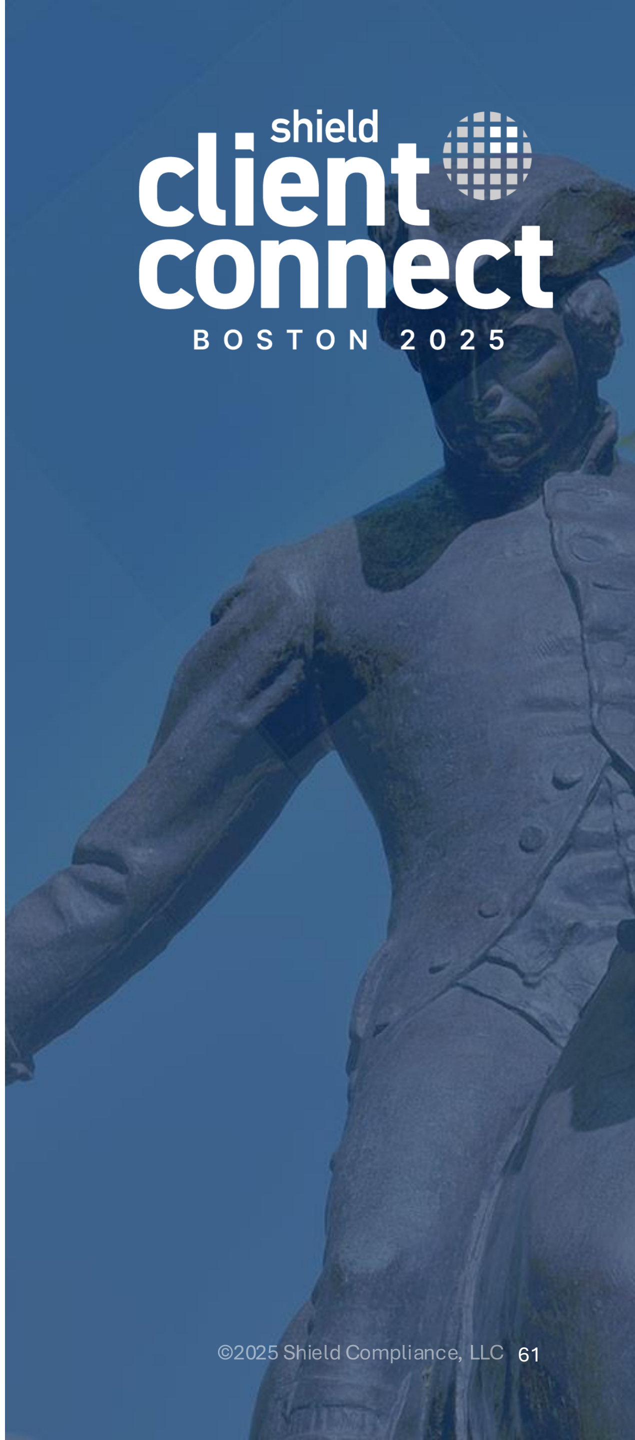
Default Case Notification Groups

- Client Queue
  - **Financial**
    - Monthly Sales Reconciliation
    - Due Diligence – Financial Statements
    - Due Diligence – Tax Documents



Default Case Notification Groups

- Client Queue
  - **General Communication**
    - Inbound Communication
    - Outbound Communication



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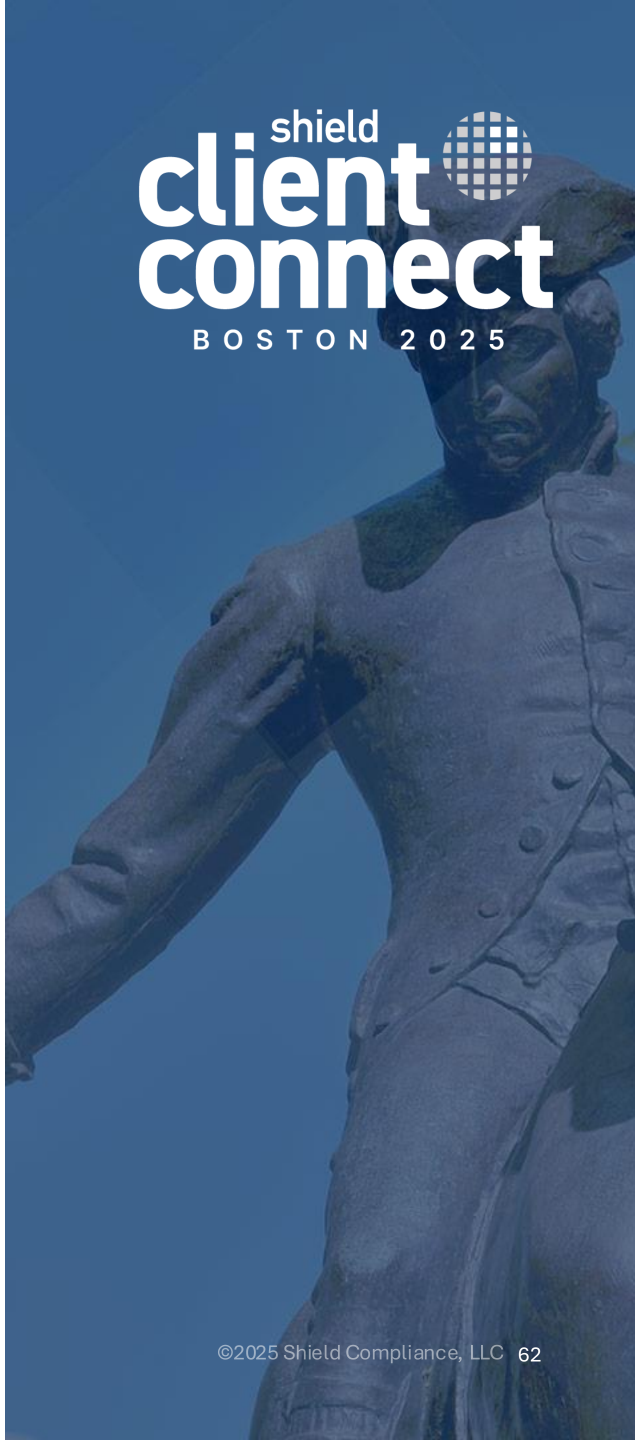
Default Case Notification Groups

- Client Queue
  - **Licensing**
    - Due Diligence – License Validation
    - Endorsement Expiration Notification (MRB)
- FI Queue
  - **Licensing**
    - Change in Registration (SBL)
    - Entity Name Mismatch (SBL)
    - Manual License Attestation (SBL)
    - Status Change (Industry)
    - Manual License Attestation (Industry)
    - Unreported License
    - Violation



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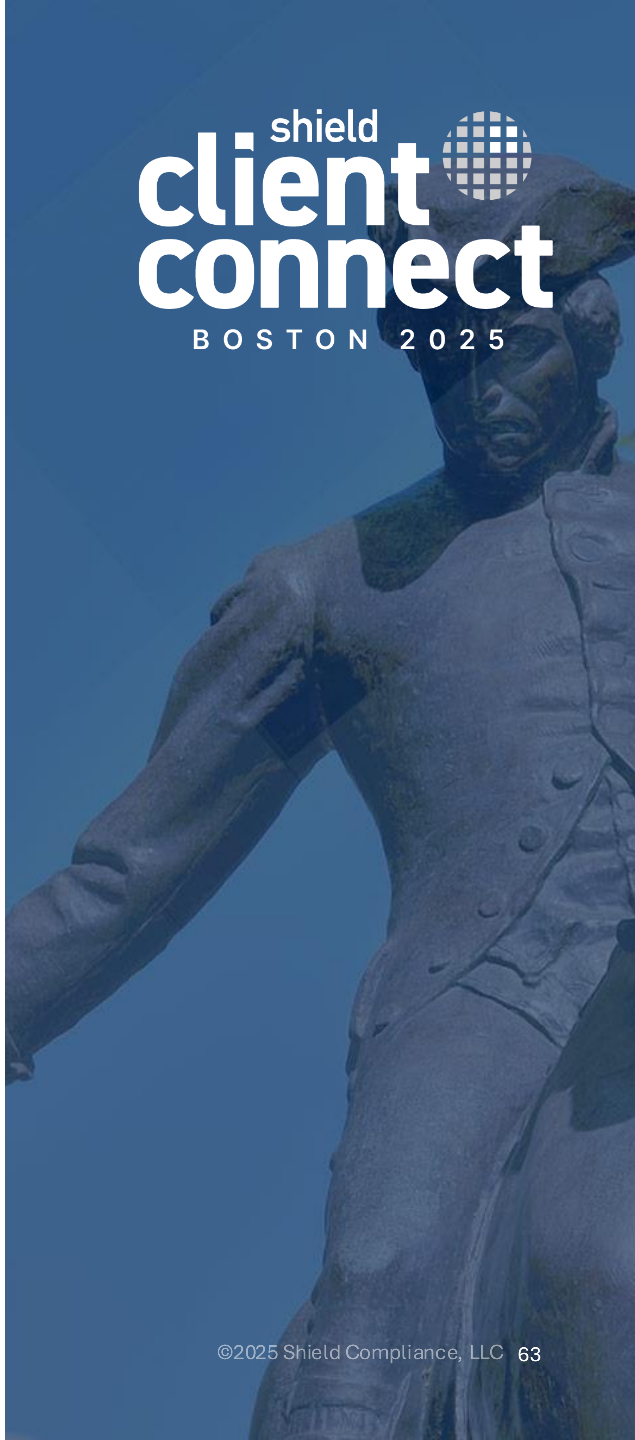
Default Case Notification Groups

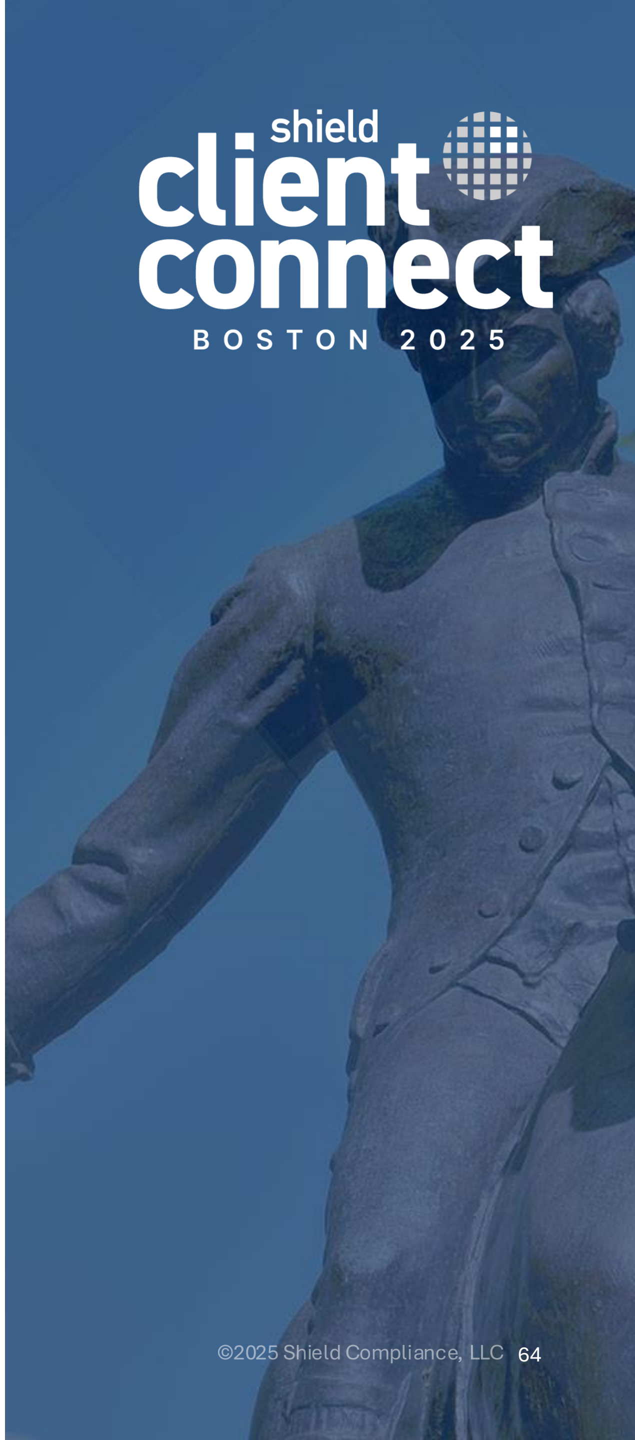
- Client Queue
  - **Sales Data**
    - API Key
    - API Key Error



shield compliance

Default Case Notification Groups

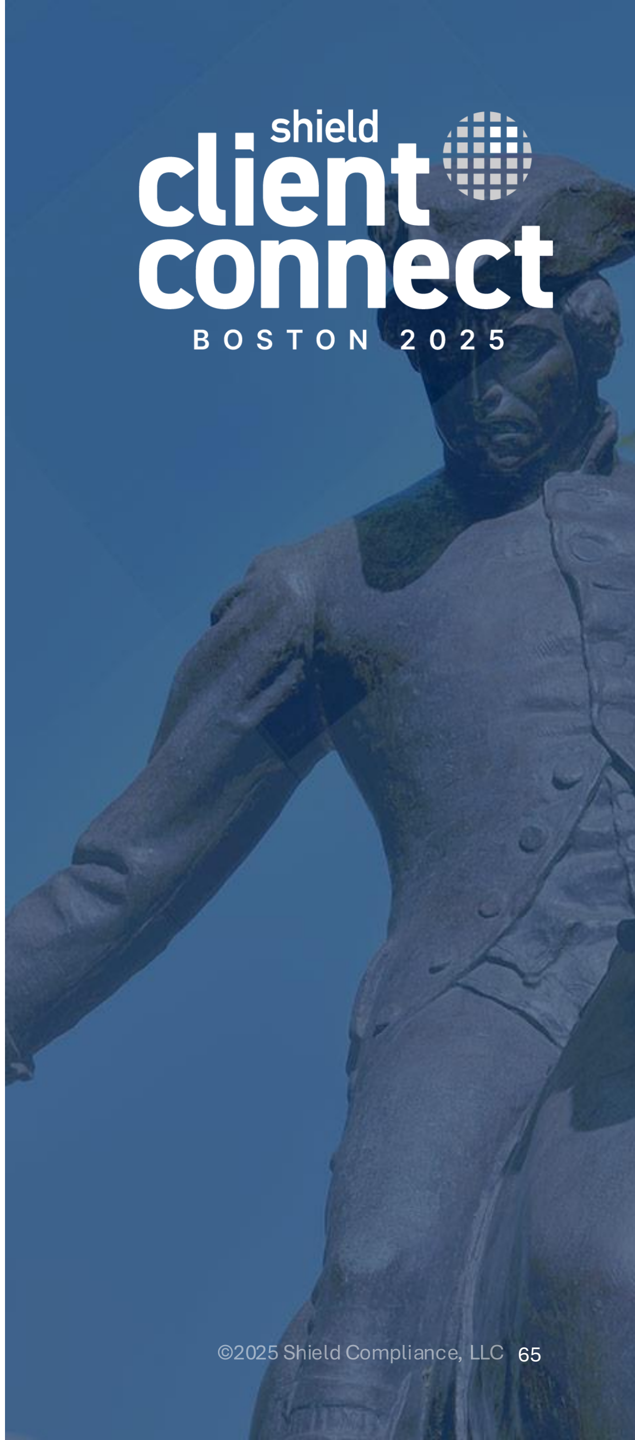
- FI / Client Queue
  - **Transaction Inquiry**
    - – All Account Activity Cases



Default Case Notification Groups

- FI Queue
  - **No Default**
    - Due Diligence – Other
    - Internal Communication
    - Data Quality
      - Account Ledger Variance
      - Client Data Error
      - Primary Entity Missing
  - **No Default**
    - Client without HH
    - Endorsement Expiration Notification (FI)

Generally, not moved to the Client Queue so no default Case Notification Group.



FI View – Client Profile Page

- FI Users can adjust a client user's permissions on the Client Profile Page.
  - Can change the Primary user to a different user.
  - Can adjust client user's notifications.

- Click on **Edit**

Client Users and Notification Group Assignments

Legal Name	P...	User Role (Status)	Email	Accounting Upload	Entity	Financial	General Communications	Licensing	Sales Data	Transaction Inquiry
Cjuat Opsuser	☐	Operations (Active)	chris@shieldbanking....	☐	☐	☐	☐	☐	☐	☐
Lauren Client Ops	☑	Operations (Active)	lauren.potts@shieldb...	☑	☑	☑	☑	☑	☑	☑

1 to 2 of 2 Page 1 of 1

Edit

FI View – Client Profile Page

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- FI Users can adjust a client user's permissions on the Client Profile Page.
  - Can change the "Primary" flag to a different user.
  - Can adjust client user's notifications.

- Click on **Edit**
  - The FI User can Add User – *User must already exist for other entities*.
  - Change the Primary user.
  - Change notifications for a user.
- Once all changes are made, click **Save**.

Client Users and Notification Group Assignments

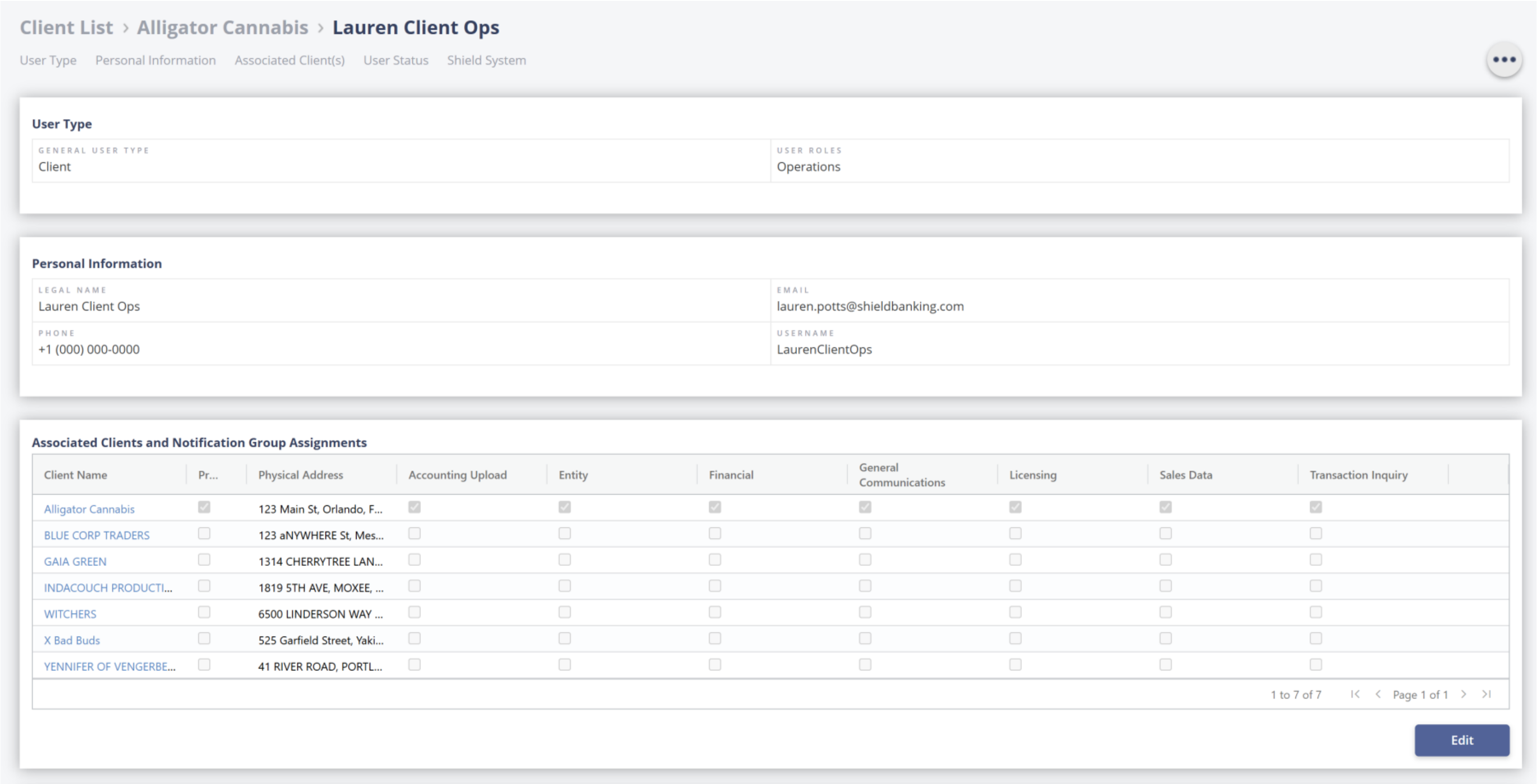
Legal Name	P...	User Role (Status)	Email	Accounting Upload	Entity	Financial	General Communications	Licensing	Sales Data	Transaction Inquiry	
Cjuat Opsuser	☐	Operations (Active)	chris@shieldbanking....	☐	☐	☐	☐	☐	☐	☐	×
Lauren Client Ops	☑	Operations (Active)	lauren.potts@shieldb...	☑	☑	☑	☑	☑	☑	☑	

1 to 2 of 2 | Page 1 of 1

Add User | Cancel | Save

FI View - User page

- An FI User can also edit a client user by going directly to their Client User page.



Client List › Alligator Cannabis › **Lauren Client Ops**

User Type | Personal Information | Associated Client(s) | User Status | Shield System

User Type

GENERAL USER TYPE	USER ROLES
Client	Operations

Personal Information

LEGAL NAME	EMAIL
Lauren Client Ops	lauren.potts@shieldbanking.com
PHONE	**USERNAME**
+1 (000) 000-0000	LaurenClientOps

Associated Clients and Notification Group Assignments

Client Name	Pr...	Physical Address	Accounting Upload	Entity	Financial	General Communications	Licensing	Sales Data	Transaction Inquiry
Alligator Cannabis	☑	123 Main St, Orlando, F...	☑	☑	☑	☑	☑	☑	☑
BLUE CORP TRADERS	☐	123 aNYWHERE St, Mes...	☐	☐	☐	☐	☐	☐	☐
GAIA GREEN	☐	1314 CHERRYTREE LAN...	☐	☐	☐	☐	☐	☐	☐
INDACOUCH PRODUCTI...	☐	1819 5TH AVE, MOXEE, ...	☐	☐	☐	☐	☐	☐	☐
WITCHERS	☐	6500 LINDERSON WAY ...	☐	☐	☐	☐	☐	☐	☐
X Bad Buds	☐	525 Garfield Street, Yaki...	☐	☐	☐	☐	☐	☐	☐
YENNIFER OF VENGERBE...	☐	41 RIVER ROAD, PORTL...	☐	☐	☐	☐	☐	☐	☐

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Edit

FI View - User page

- An FI User can also edit a client user by going directly to their Client User.
- Click on **Edit**

Associated Clients and Notification Group Assignments

Client Name	Pr...	Physical Address	Accounting Upload	Entity	Financial	General Communications	Licensing	Sales Data	Transaction Inquiry
Alligator Cannabis	☑	123 Main St, Orlando, F...	☑	☑	☑	☑	☑	☑	☑
BLUE CORP TRADERS	☐	123 aNYWHERE St, Mes...	☐	☐	☐	☐	☐	☐	☐
GAIA GREEN	☐	1314 CHERRYTREE LAN...	☐	☐	☐	☐	☐	☐	☐
INDACOUCH PRODUCTI...	☐	1819 5TH AVE, MOXEE, ...	☐	☐	☐	☐	☐	☐	☐
WITCHERS	☐	6500 LINDERSON WAY ...	☐	☐	☐	☐	☐	☐	☐
X Bad Buds	☐	525 Garfield Street, Yaki...	☐	☐	☐	☐	☐	☐	☐
YENNIFER OF VENGERB...	☐	41 RIVER ROAD, PORTL...	☐	☐	☐	☐	☐	☐	☐

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Edit

FI View - User page

- An FI User can also edit a client user by going directly to their Client User.
- Click on **Edit**
    - Add additional Clients to the user
    - Change notifications groups

- Primary flags may only be changed at the Client Profile page.

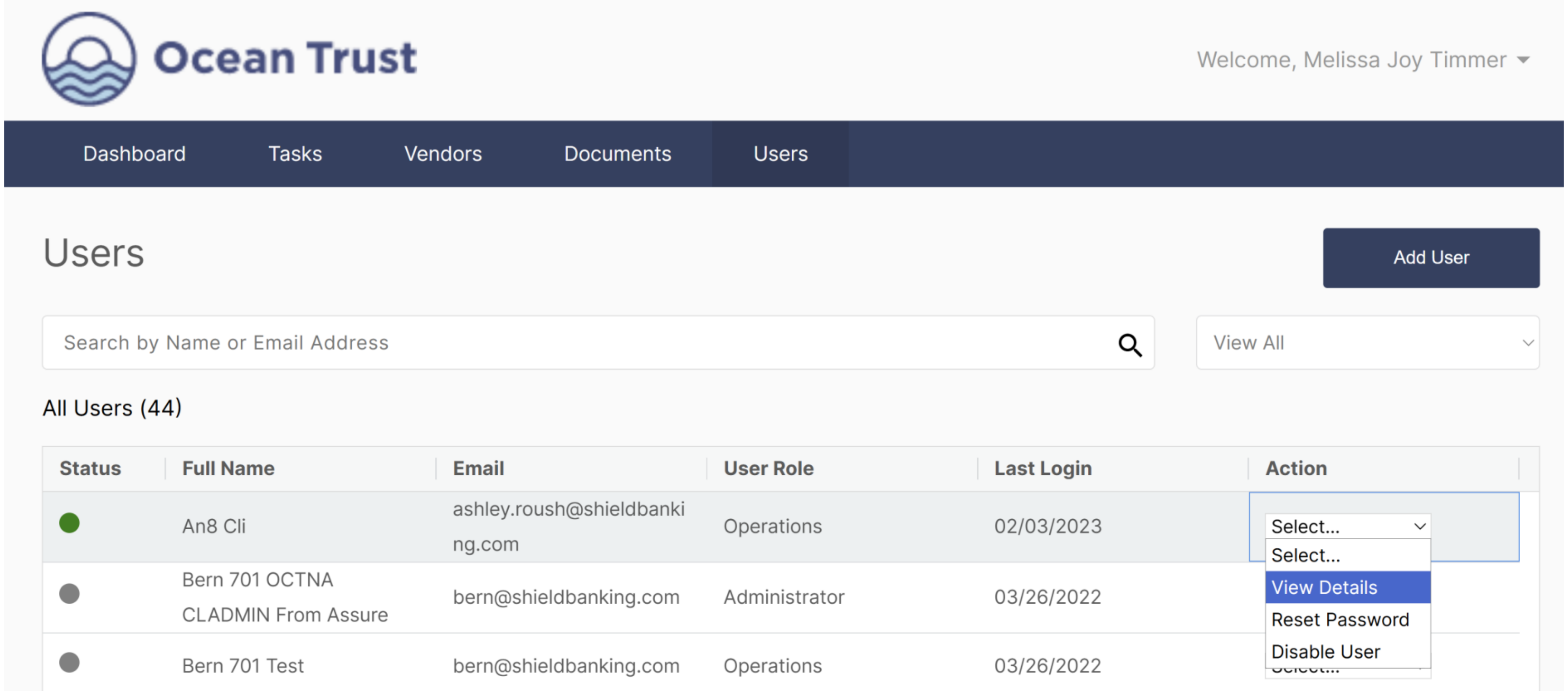
Associated Clients and Notification Group Assignments

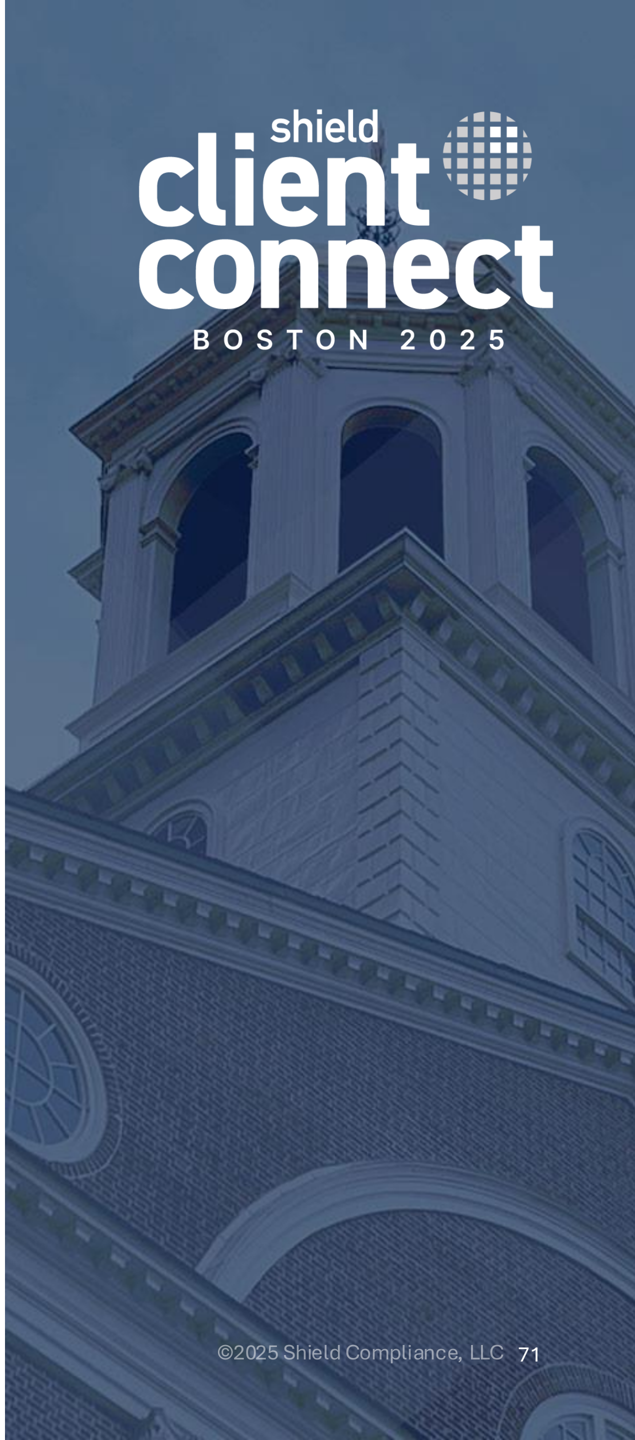
Client Name	Pr...	Physical Address	Accounting Upload	Entity	Financial	General Communications	Licensing	Sales Data	Transaction Inquiry	
Alligator Cannabis	☑	123 Main St, Orlando, F...	☑	☑	☑	☑	☑	☑	☑	
BLUE CORP TRADERS	☐	123 aNYWHERE St, Mes...	☐	☐	☐	☐	☐	☐	☐	X
GAIA GREEN	☐	1314 CHERRYTREE LAN...	☐	☐	☐	☐	☐	☐	☐	X
INDACOUCH PRODUCTI...	☐	1819 5TH AVE, MOXEE, ...	☐	☐	☐	☐	☐	☐	☐	X
WITCHERS	☐	6500 LINDERSON WAY ...	☐	☐	☐	☐	☐	☐	☐	X
X Bad Buds	☐	525 Garfield Street, Yaki...	☐	☐	☐	☐	☐	☐	☐	X
YENNIFER OF VENGERB...	☐	41 RIVER ROAD, PORTL...	☐	☐	☐	☐	☐	☐	☐	X

1 to 7 of 7 | Page 1 of 1

Add Client | Cancel | Save

Client View





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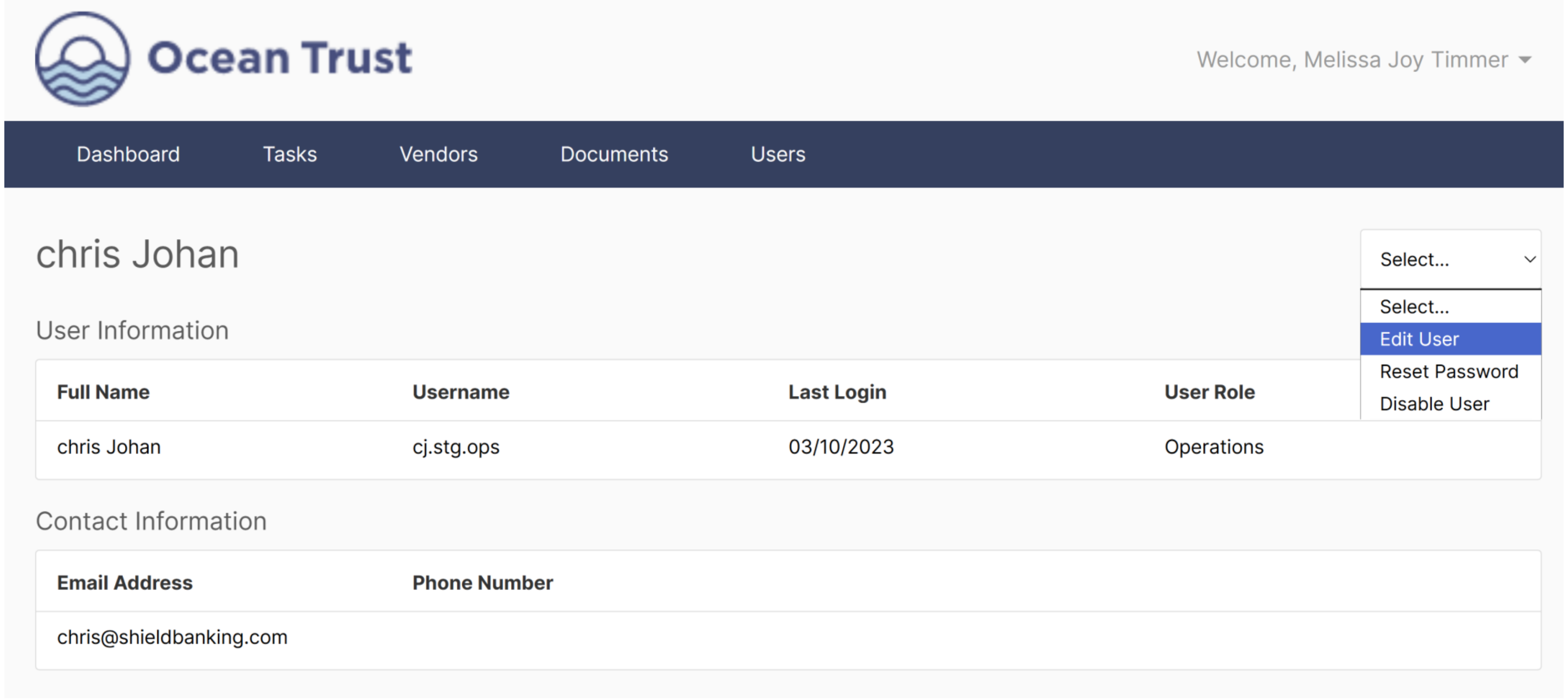
Client View



shield compliance

Client View

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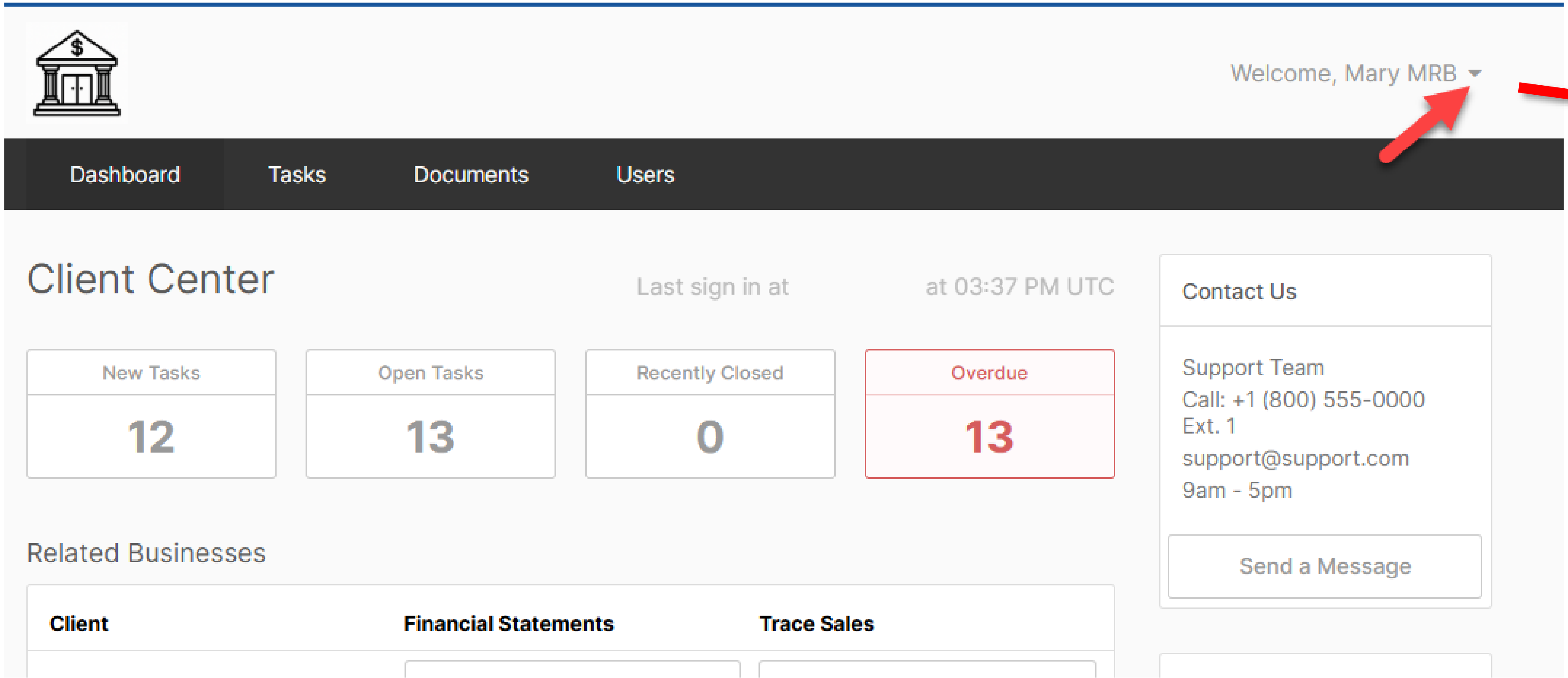
Associated Businesses and Notification Group Assignments

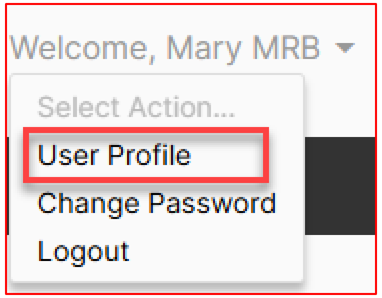
Customer Name	Primary Address	Primary	Accounting Upload	Entity	Financial	General Communicat...	Licensing	Sales Data	Transaction Inquiry
BLUE BUR	931 Union Street, CASCADIOPOLIS, WA 61881	☐	☑	☑	☑	☑	☑	☑	☑ ✕

Add More

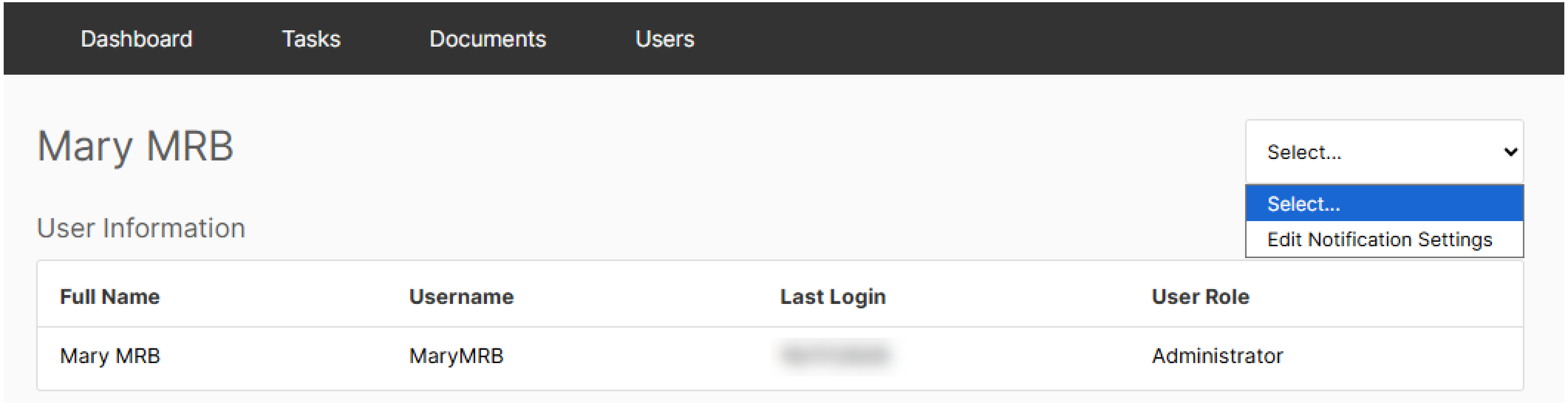
Submit   Cancel

Client User View (Self Service)





Client User View (Self Service)



Client User View (Self Service)

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Edit My Associated Business Notification Group Assignments

Client Name	Primary Address	Primary	Accounting Upload	Entity	Financial	General Communicat...	Licensing	Sales Data	Transaction Inquiry
AGRO TECHNIC, LLC	1199 WEST CUNNINGHAM RD STE Q, OTHELLO, WA 99344	☐	☑	☑	☑	☑	☑	☑	☑
BLUE BURIAL CASCADIA TRADERS	1234 Main Street, Spokane, WA 97555	☐	☑	☑	☑	☑	☑	☑	☑
GREEN SOURCE GROWERS LLC	3110 NE MINNEHAHA ST, VANCOUVER, WA 98663	☑	☑	☑	☑	☑	☑	☑	☑

Submit | Cancel

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Non-Cannabis Use Cases

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Non-Cannabis Use Cases – Other High-Risk Industries

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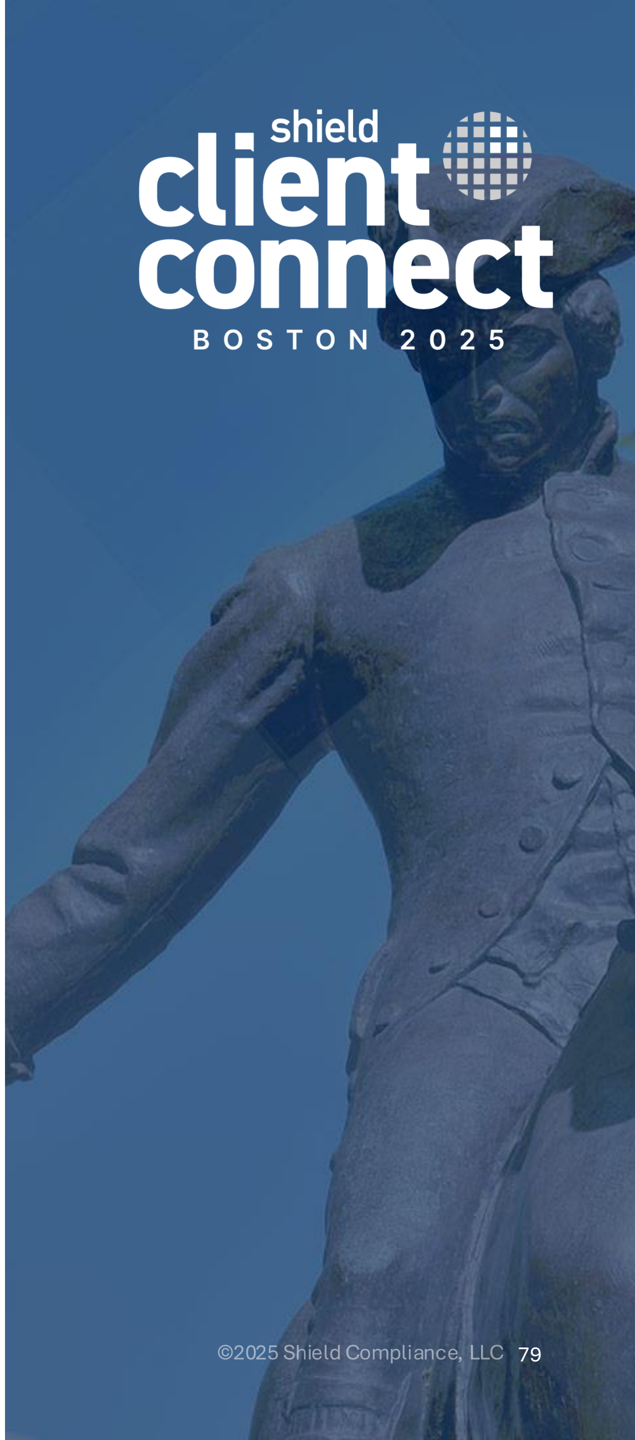
Additional Supported Industries:

1. Digital Assets
2. Hemp
3. Money Services Businesses

Current State

- Industries are enabled based on contract
  - Once added, additional industries will be visible in the Industry License Container.
  - Cannabis is the only industry that is licensed by state, all other industries cover all states.
- Manual validation of licenses for MSB and Digital Assets, automated validation coming Q4



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MSB View

MSB - FinCEN

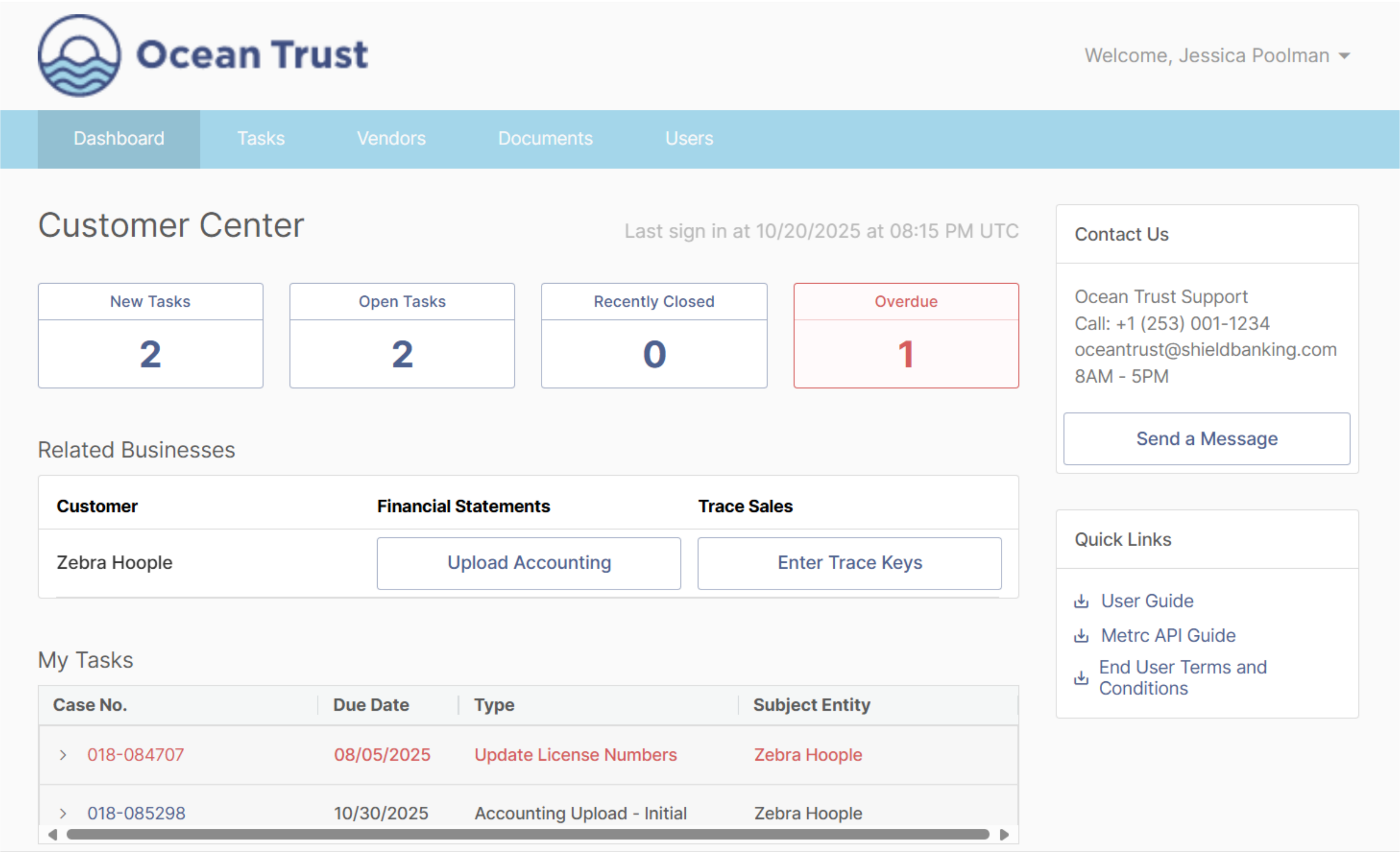
MSB Registration Number/DCN	DBA Name	Address	MSB Activities	States of MSB Activities	Verified	Edit
60473062462			401, 402	AL, NY	07/25/2025	

MSB - State

State	Type	Num...	Status	Issued	Expiration	Get Licen... Copy	Name / Address Information	Verified	Is Auth...	Edit
MI	Money Transmitter License	12345	Active: Active			☐		10/20/2025	✓	

Add License(s)

MSB – Agent / Vendor



Hemp

Hemp

State	Type	Num...	Status	Expiration	Get License Copy	Name / Address Information	Verified	Expect... Tax Rate	Expect... Non-Tracea... Sales	Edit
WA	Hemp Processor	1231214	Active:							

Add License(s)

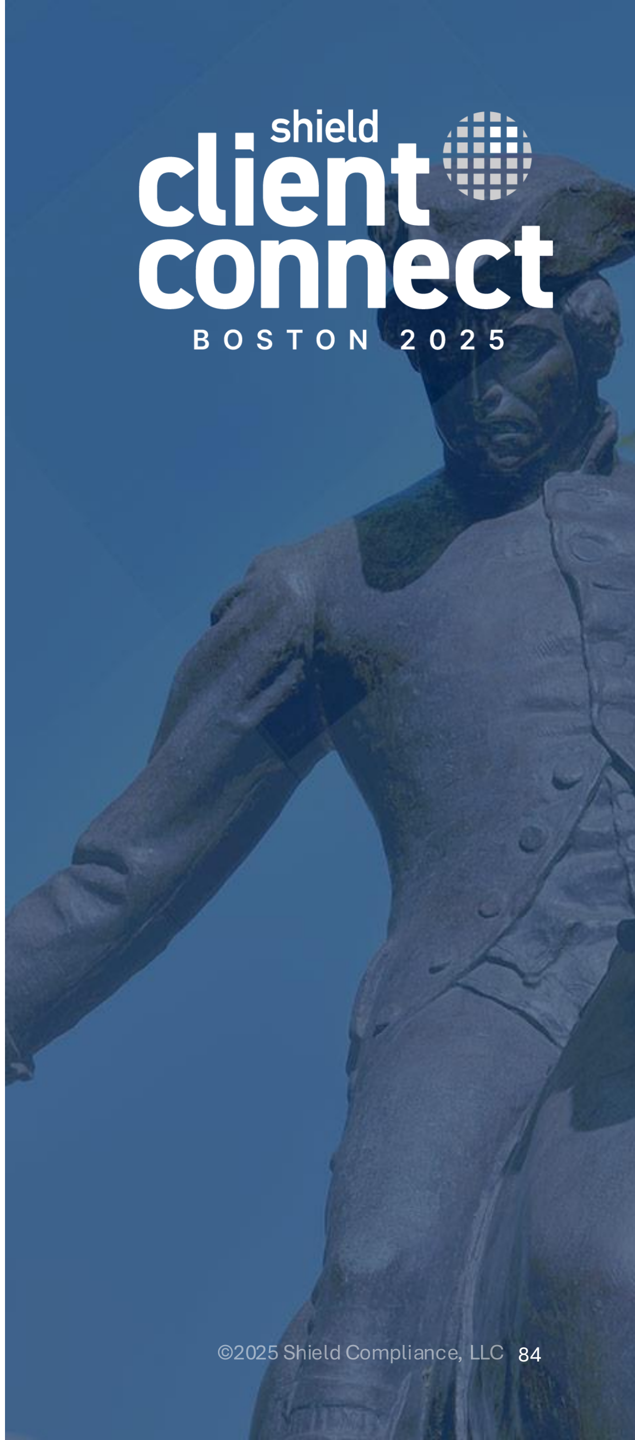
Digital Asset View

Digital Assets

State	Type	Number	Status	Issued	Expiration	Name / Address Information	Verified	Is Authorized	Edit
DE	Check Seller, Money Transmitter License	248910	Active: Active		Get License Copy		08/12/2025	✓	

Future State

- FinCEN and NMLS validation sources to automate license validation for MSBs and Digital Assets



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Assure Focus Group

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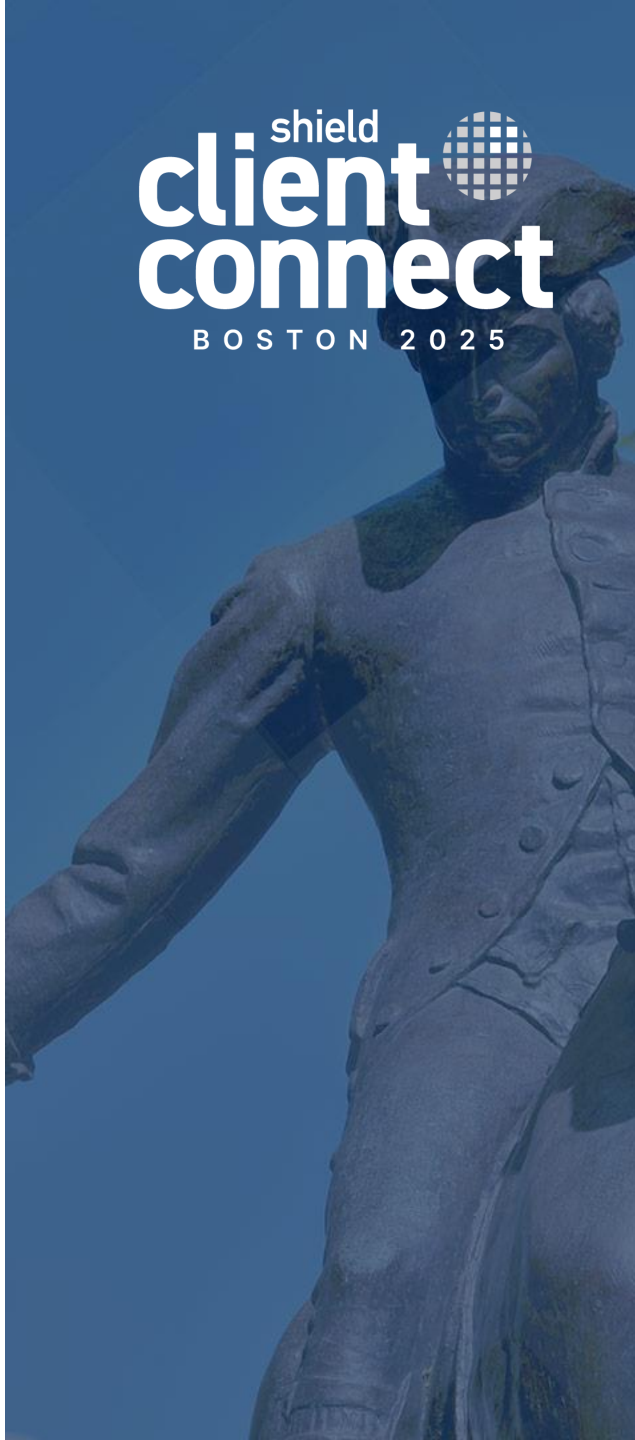
Assure Focus Group Topics

- Launch Pad
- Enhanced Transaction Monitoring
- User Assignments
- High Risk Industries – Client Portal usage



Launch Pad – A New FI User Experience

Unified Login Experience

Modern MFA

Assure and Engage Multi-Tenant Access

Functional Applications

- Reporting
- Government Reporting

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shield compliance

Enhanced Transaction Monitoring

Trend Analysis

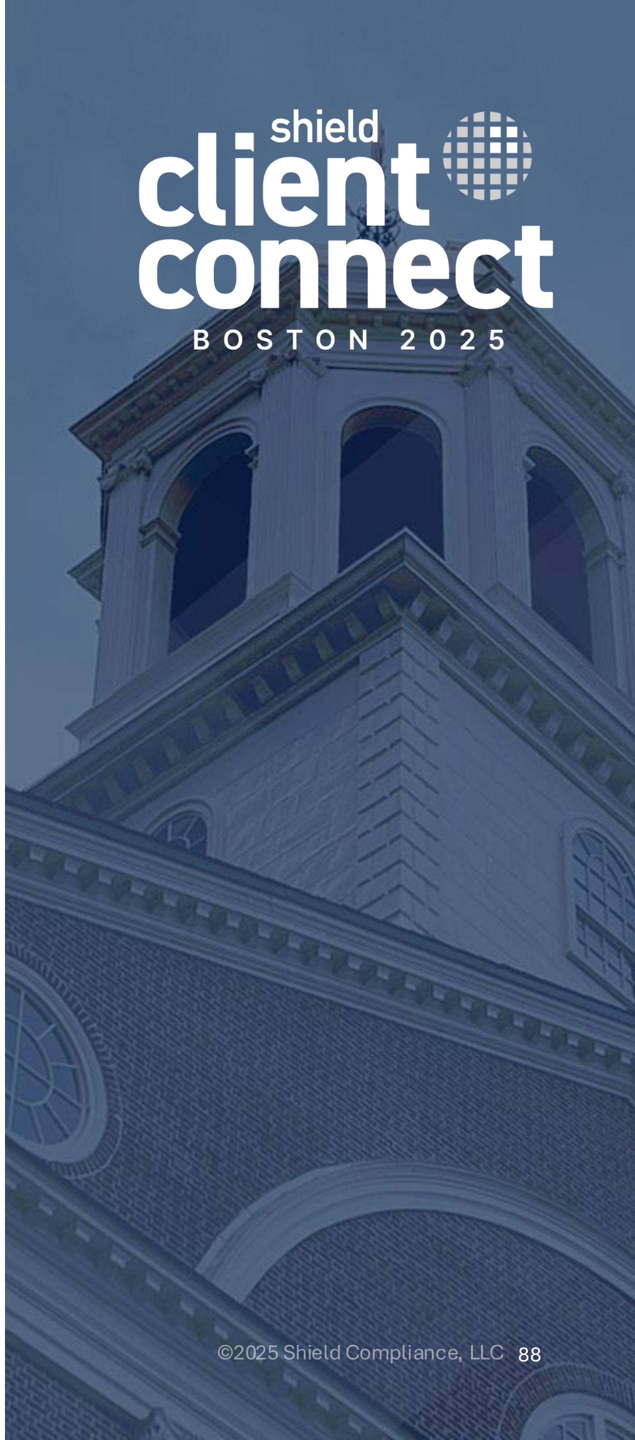
- Deviation from historical pattern by transaction type

Fixed Analysis

- Client defined values for riskier transactions (wires, cash, etc)

Other

- What other analysis would be useful for high-risk businesses



User Assignments

- Security Framework
- Recommendations
  - Based on
  - Workflow
  - Multiple Industries
  - Case Assignment

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