



RISK & COMPLIANCE DASHBOARD

CASE MANAGEMENT SOFTWARE



INTRO

RECORD KEEPING

In all aspects of anti-money laundering compliance there is the need to ensure records are created and maintained on an ongoing basis. Senior managers, Auditors and AML Supervisors must be able to understand how determinations were made and how risk management was achieved. The AML360 dashboard includes a case management feature where actions can be set, a priority level assigned, along with a due date and file notes maintained.



CASE MANAGEMENT REGISTER

Unique ID: All ▼

Task Owner: All ▼

Task Assignee: All ▼

File Note:

Create

Search






Priority: All ▼

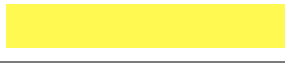




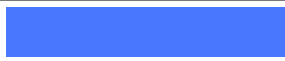




Start Date:

Due Date:

Pie Chart: Tasks Status

Tasks: Open Closed

PRIORITY DESCRIPTION	
Very Low	
Low	
Medium	
High	
Very High	

Unique ID	Task Owner	Priority	Due Date	Task Status	Actions
C000020	Joe B		05/26/2017		  
C000030	Sarah H		05/21/2017		  

CREATE ACTIONS, TRACK AND REPORT





TRACK & REPORT

An AML Compliance Officer's role is fast paced with many administrative actions requiring tracking and closing or escalation to a higher priority.

The AML360 Task Register enables the assignment of actions, along with a priority level, including due dates and an auditable file note feature to record ongoing updates. Status charts provide the percentage of open and closed tasks with their priority level, along with the number of tasks assigned to each individual.

TRACK AND REPORT

Risk Profile

Customer ID: C000010
Profile Type: Customer Risk
Date: 5/29/2017
Profile Risk: 
Task Priority: 
Task Assignee: Adviser
Task Due Date: 6/30/2017
Task Status: Closed

NOTES:











- Verification records due on 30 June
- Customer has now provided certified copies of verification records. Task can be closed.

[Edit](#) [Save](#)

The edit feature in the Task Register keeps track of actions taken. Once saved the comments cannot be deleted.

When the Task is complete the status flag automatically changes from green to red.



Unique ID	Task Owner	Priority	Due Date	Task Status	Actions
C000020	Joe B		05/26/2017		  
C000030	Sarah H		05/21/2017		  

MONITOR STATUS

Unique ID:

Task Owner:

Task Assignee:

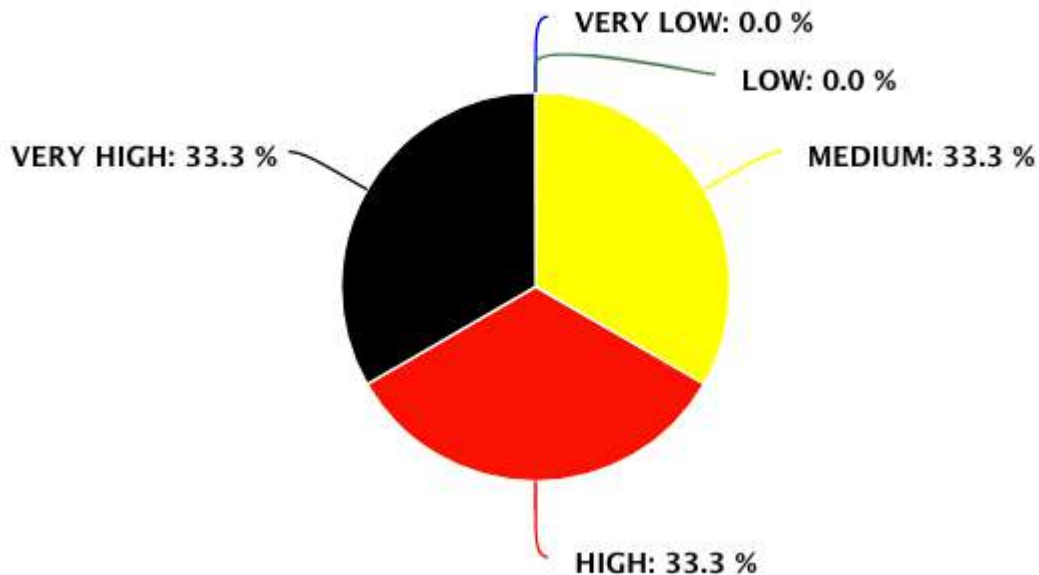
Priority:

Start Date:

Due Date:

Pie Chart: Tasks Status

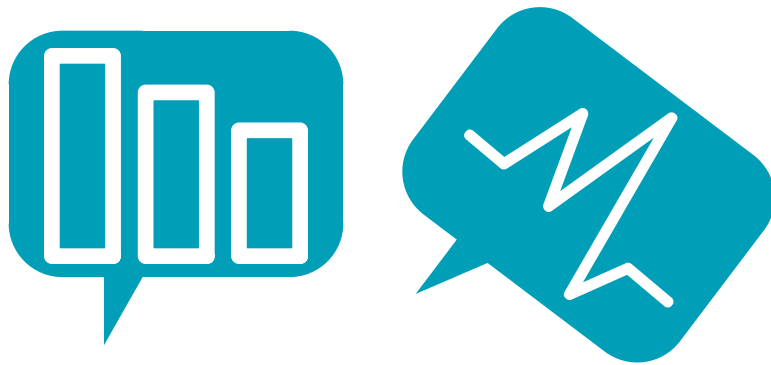
Tasks: Open Closed



The filters allow instant analysis of the tasks that are open or closed and the percentage falling into priority levels. The filters can drill down to tasks assigned to users or screened against due dates approaching.

FLEXIBLE REPORTING

Use for customer updates, recording results of transaction monitoring or setting compliance reminders.

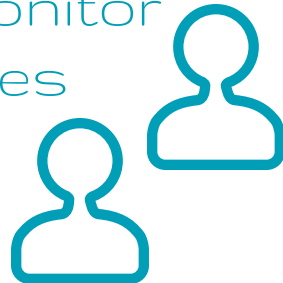


DRILL DOWN FILTERS

Use the filters to easily assign tasks, set priorities, track and report.

TASK ASSIGNEES

Set assignees and owners to task actions. Monitor progress and cases outstanding.







INTUITIVE

The dashboard is easy to navigate. The drill down filters instantly convert data to maps and charts.





TASK REGISTER

The Task Register streamlines everything you do to run your practice. It provides multiple options and enables you to keep track of higher priority actions. It is commonly used as a work flow engine to check off your processes.

Unique ID	Due Date	Priority	Task Status	Actions
C000010 - Customer Risk	6/30/2017			 

Risk Profile

Customer ID: C000010
Profile Type: Customer Risk
Date: 5/29/2017
Profile Risk: 
Task Priority: 
Task Assignee: Adviser
Task Due Date: 6/30/2017
Task Status: Closed

NOTES:

- Verification records due on 30 June
- Customer has now provided certified copies of verification records. Task can be closed.

[Edit](#) [Save](#)





**COMPLIANCE IS AN
INVESTMENT.
PROTECT YOUR
REPUTATION.**

FULL SUITE OF COMPLIANCE TOOLS

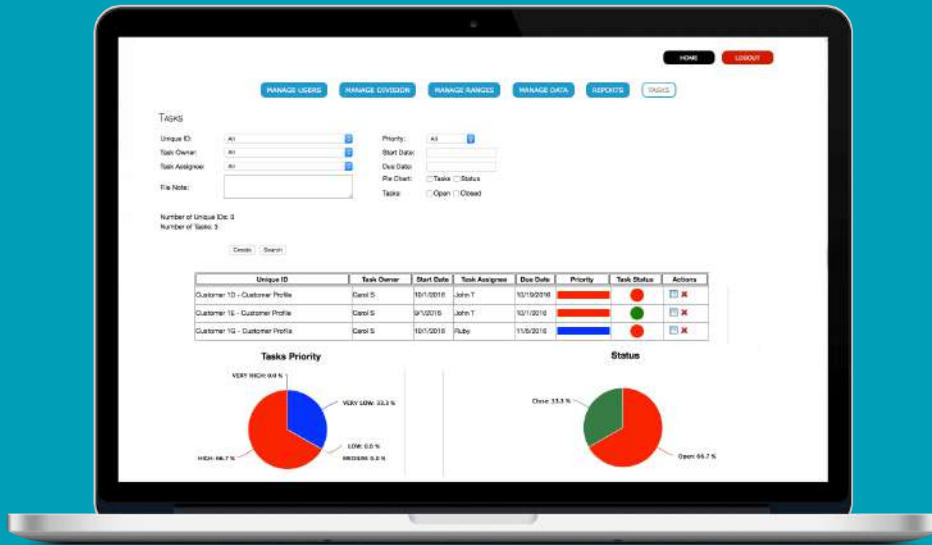
aml360.com

PART OF SOMETHING BIGGER

AML360 focuses on reducing cost of compliance without compromise to quality.

OUR APPROACH TO COMPLIANCE & RISK MANAGEMENT

Our software ensures streamlined functions by carrying out a single action to capture data, analyse, measure, record and report. In doing so, human resourcing commitments are significantly reduced - saving your business time and money.



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