

## ComplianceOne® Solution Interface Operations Guide

### ComplianceOne® Solution OneSumX FCC

December 2014

# OneSumX FCC Interface to ComplianceOne

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## Overview

This manual describes the installation and use of the OneSumX FCC interface in ComplianceOne® Solution (ComplianceOne). Once installed, OneSumX FCC assists in the Customer Identification Program (CIP) process by providing the following services:

- Customer Due Diligence
- ID Verification Processing
- Authentication
- OFAC Processing
- WorldCheck screening
- QualiFile screening

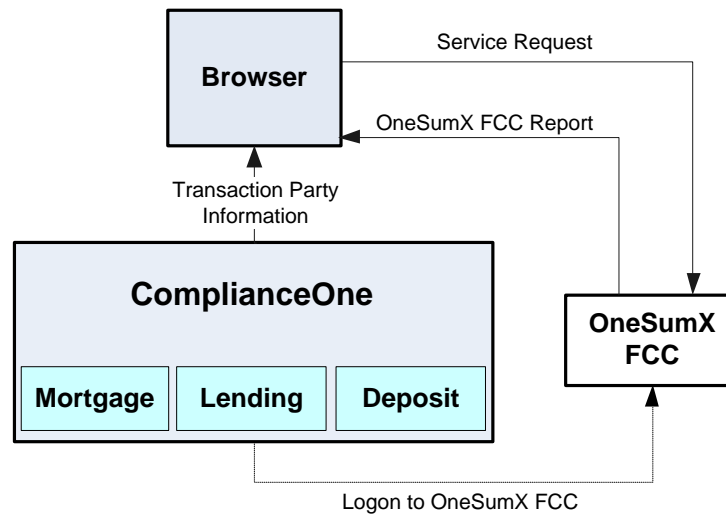
From a ComplianceOne deposit transaction, the OneSumX FCC service is available for the depositors. From a ComplianceOne lending or mortgage transaction, the OneSumX FCC service is available for the borrower, signer, co-signer, guarantor, and real owner parties to the transaction, but no more than ten parties are permitted in a single session.

To use OneSumX FCC from ComplianceOne, follow these steps:

- From ComplianceOne Lending, Mortgage, or Deposit, after retrieving an existing transaction or entering a new one, logon to OneSumX FCC. A browser window with a connection to OneSumX FCC will open.
- In the browser window, request the desired services from the OneSumX FCC menu. (ComplianceOne will supply the data required for the requests using information entered into the current ComplianceOne transaction.)
- The report returned by OneSumX FCC is displayed in the browser window.

## How OneSumX FCC Communicates with ComplianceOne

The diagram below summarizes the flow of data from ComplianceOne to OneSumX FCC, along with the OneSumX FCC response. Notice that ComplianceOne users must first logon to OneSumX FCC before requesting OneSumX FCC services. Users can then enter a service request and view the report returned by OneSumX FCC in a browser window, which is opened automatically by ComplianceOne.



Data sent back and forth between ComplianceOne and OneSumX FCC are packaged in XML (eXtensible Markup Language) and transferred using the SOAP protocol.

## Configuration and Setup

Configuration and setup of a ComplianceOne interface usually involve checking that certain prerequisites are satisfied, configuring the interface, and changing certain ComplianceOne administrator settings. The configuration and setup required for the OneSumX FCC interface are detailed below.

### Prerequisites

Microsoft Internet Explorer 6 or later and an account with OneSumX FCC are required to use the OneSumX FCC services from ComplianceOne, but no special configuration of OneSumX FCC is necessary. More information about the OneSumX FCC product is available at <http://www.pciwiz.com/products/wizsentribsaaml/riskid/index.asp>.

**Note.** Browsers other than Microsoft Internet Explorer may work with the ComplianceOne OneSumX FCC interface, but only Explorer 6 and later are supported.

### OneSumX FCC Interface Configuration

The OneSumX FCC interface is built into ComplianceOne. It requires no key code or configuration.

**Note.** You must reset your password every 90 days. If you fail to reset it, you will receive an error with the message that your login credentials are invalid.

## Administrator Setup

The OneSumX FCC interface requires no special setup in ComplianceOne administrator.

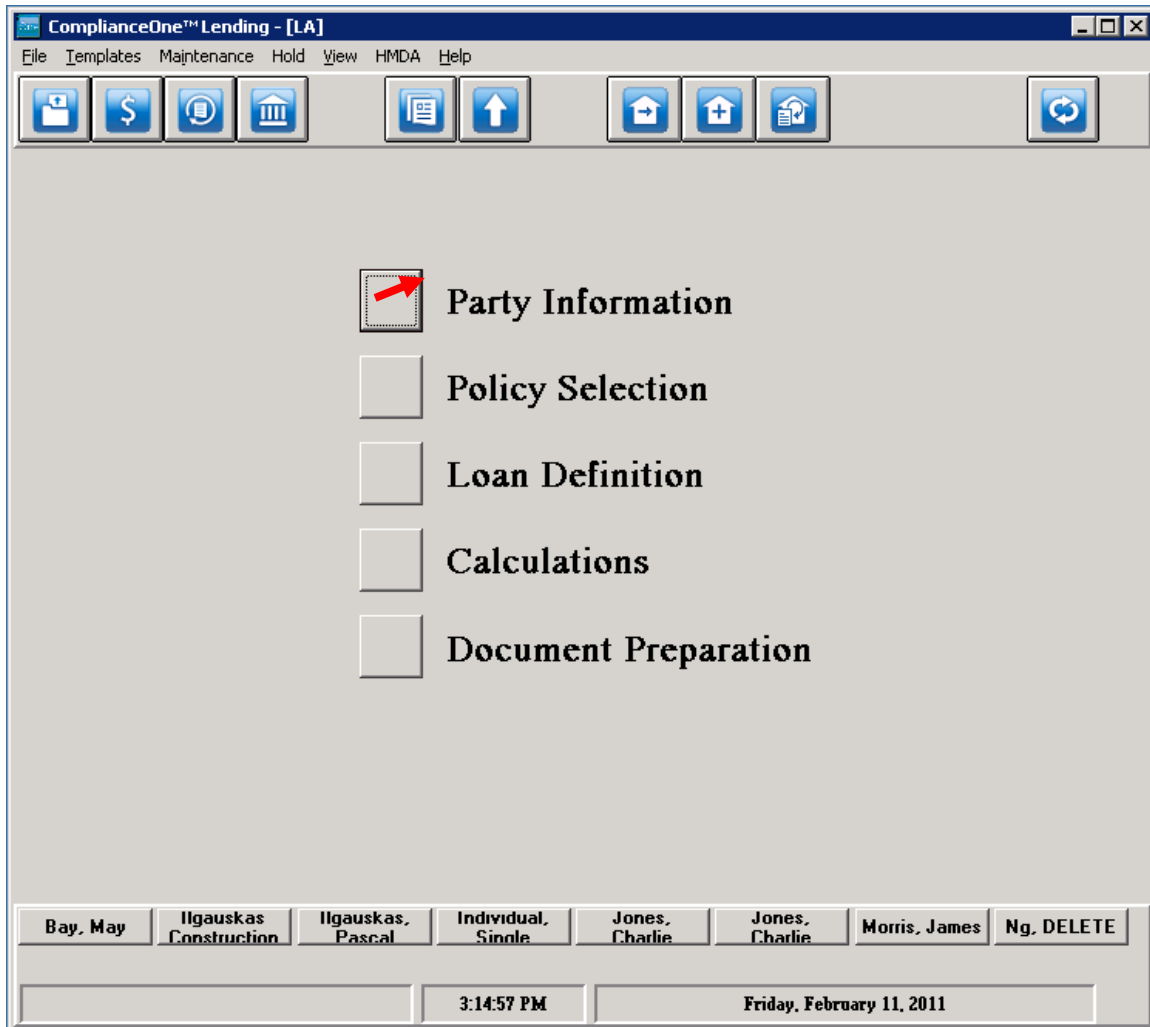
## Obtaining CIP Reports from OneSumX FCC

Assuming you have a OneSumX FCC account, you can obtain OneSumX FCC reports while working in ComplianceOne Deposit, Lending, or Mortgage, but the method used is different depending on whether the transaction is a new or existing one.


### Invoking OneSumX FCC on New Transactions

To obtain a OneSumX FCC report for depositors, borrowers, signers, cosigners, guarantors, and real owners who are parties to a new transaction, follow these steps:

1. Logon to ComplianceOne Deposit, Lending, or Mortgage Then click the **Party Information** button. (The examples shown here are from Lending.)



Party Information button

2. Click the **Party** tab and fill in as much information as possible for each depositor, borrower, cosigner, guarantor, and collateral owner. Then click the **hand-forward** button  to return to the main menu.




ComplianceOne™ Lending - [Borrower #1]

Main Retrieve OFAC Credit Bureau Help

Income Declarations Former Addr

Party Employer Credit Bureau Assets Liabilities CIP

Individual  Party Number 0 Jones Charlie B

**Borrower #1**

☒ This party will purchase insurance ☒ US Person

SSN: 000-00-0001 First Name Charlie Middle Name B Last Name Jones Suffix

Birth Date 01/01/1960 Previous Name E-Mail Drivers License State Minnesota Drivers License

Present Address 11121 My Present Address City Montgomery State Alabama ZIP 11111

How Long at Present Address ☒ Rent ☐ Own ☐ Live rent-free ☐ Other ☐ First Time Home Buyer Dependents Ages

Years Months City Montgomery State Alabama ZIP 11111

Mailing Address PO Box 123 City Montgomery State Alabama ZIP 11111

Home Phone (123)555-1412 Cell Phone Work Phone (123)555-6789 Ext 4109 County of Residence Franklin 0

☒ Unmarried ☐ Married ☐ Legally Separated ☐ Joint But Not Married

Insider ☒ Not Applicable ☐ Insider ☐ Correspondent

Owner Details

Charlie B Jones Friday, February 11, 2011

Party Tab

**NOTE:** If the Party is a sole proprietor you must enter a value into the DBA, Doing Business As, field or you will receive an error when you use OneSumX FCC.

**ComplianceOne™ Lending - [Borrower #1]**

Main Retrieve OFAC Help

**Party** Signers CIP Income Declarations Former Addr

Sole Proprietorship Party Number 0 Jones Charlie B

Organization ID Non-Profit

**Borrower #1**

☒ This party will purchase insurance ☒ US Person ☐ Transmitting Utility

☒ SSN: 000-00-0001 ☐ EIN: First Name Charlie Middle Name B Last Name Jones Suffix

Birth Date 01/01/1960 DBA

Present Address 11121 My Present Address City Montgomery State Alabama ZIP 11111

How Long at Present Address ☒ Rent ☐ Own ☐ First Time Home Buyer  
 Years Months ☐ Live rent-free ☐ Other

Mailing Address PO Box 123 City Montgomery State Alabama ZIP 11111

Business Phone (123)555-1412 Cell Phone Business Fax (123)555-6789 County Franklin ZIP 0

Insider ☒ Not Applicable ☐ Insider ☐ Correspondent

Owner Details Nature of Business Established under the laws of: Alabama

NAICS Codes Primary Code: Secondary Code:

Charlie B Jones Friday, February 11, 2011

Doing Business As field for Sole Proprietorship Party

3. Select the OneSumX FCC menu option.

ComplianceOne™ Lending - [TW Test]

File Maintenance Hold View HMDA OneSumX FCC Help

Wolters Kluwer  
Financial Services

Please Enter Your OneSumX FCC Service Name And Password

OneSumX FCC Authentication

User Name:

Password:

Login Exit

For support help call OneSumX FCC Support Line at: 800-789-7756, or email at:  
onesumxcdsupport@wolterskluwer.com.  
For sales inquiries and new account setup, call 800-261-3111 to speak with a OneSumX  
FCC Account Rep.


Johnson 1:51:32 PM Tuesday, November 11, 2014

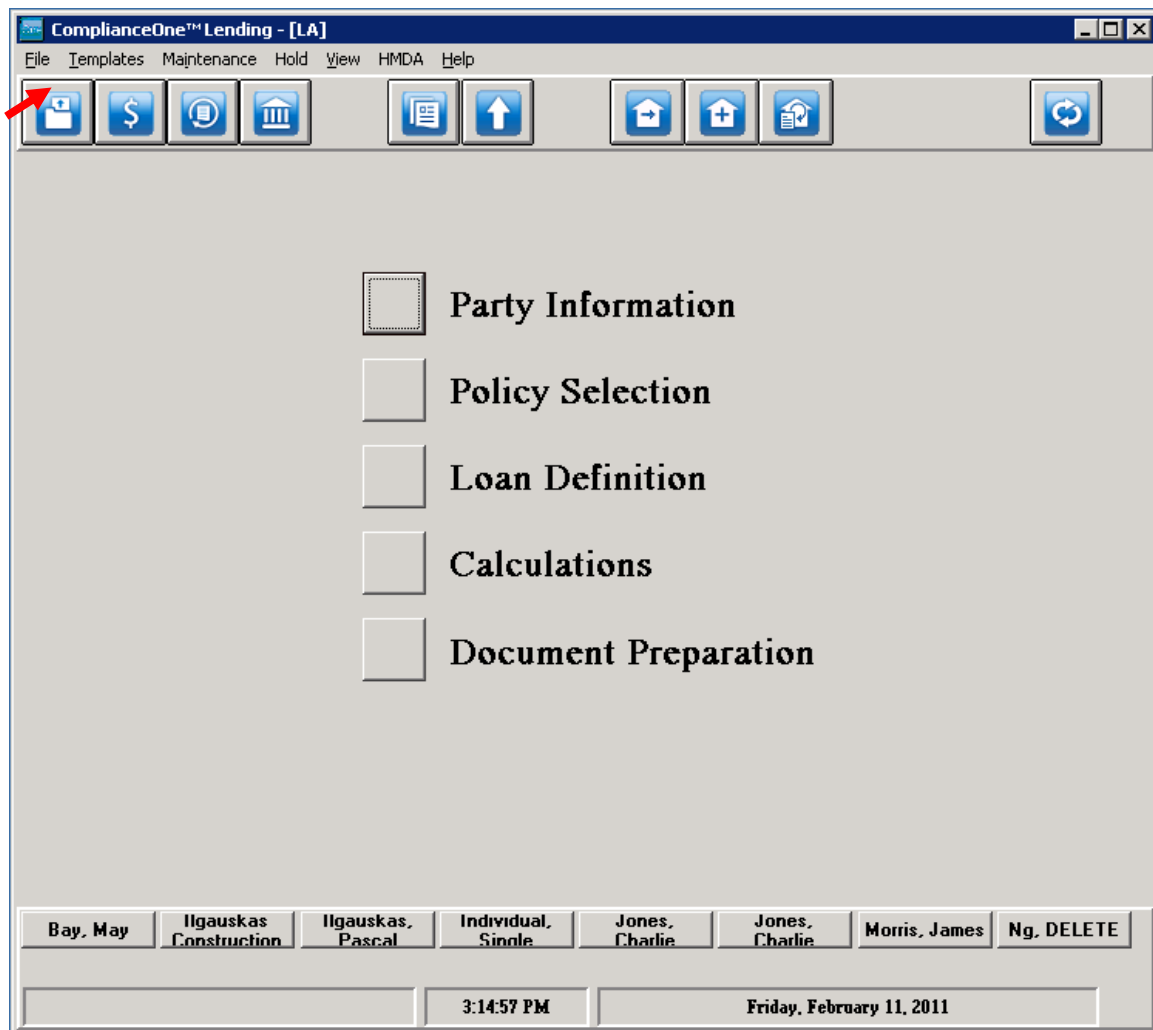
#### OneSumX FCC Command

4. Enter a user name and password into the OneSumX FCC Authentication dialog and click the Login button.

## Invoking OneSumX FCC on Existing Transactions

To obtain a OneSumX FCC report for depositors, borrowers, signers, cosigners, guarantors, and real owners who are parties to an existing transaction, follow these steps:

1. Logon to the ComplianceOne Deposit, Lending, or Mortgage and retrieve an existing deposit, loan, or mortgage application by clicking the toolbar **Retrieve** button . The Database Retrieval dialog will open.



Lending main-menu window Retrieve button

- ComplianceOne™ Lending - [ Loan Database Retrieval - ADO ]

Main
Search
Download DDS Files
Help

Search
☒ All
☐ Loans
☐ Apps

☒ All
☐ Personal
☐ Business
☐ Agricultural

Search

Search By ...
☐ Party Number
☐ Loan Officer
☐ Funding Date
☐ Primary Borrower's Name
☐ Branch
☒ Loan Number
☐ Primary Borrower's Tax ID Number
☐ Collateral

Criteria to Match
Loan Number:

Edit

Copy

Copy w/o Calcs

Loan Number	Funded	Last Name	First Name	Loan Amount	Tax ID	Party Number

Green = Application

Blue = Memo Attached

Red = Calcs Incomplete

Orange = E-Sig Locked

←

☒

→

Monday, February 14, 2011

2. From the main-menu window, select the **OneSumX FCC** menu option.
3. Enter a **user name** and **password** into the **OneSumX FCC Authentication** dialog and click the **Login** button.

## Viewing the OneSumX FCC Report

Assuming you have logged on to OneSumX FCC successfully, a browser window will open with a connection to OneSumX FCC from which you can request services and view results. Reports returned by OneSumX FCC will also be displayed in this browser window.

The screenshot shows a web browser window titled "OneSumX FCC browser window". The interface is for Wolters Kluwer Financial Services. At the top, there are "Back" and "Forward" buttons. The header includes the Wolters Kluwer logo and "Financial Services" text, along with a "Log Out" link and a welcome message "Welcome c1\_admin01". Below the header, there are tabs for "Services", "Administration", and "Help". The main content area is titled "Registration and Services". It features a section with radio buttons for "Individual", "Entity", and "Payload", with "Payload" selected. Below this is a "Files:" section with a dropdown menu showing "Date Received | Payload ID". A table displays user information:

CIP ID	Name	ID Type	ID Number	Services	User Name	Creation Date
1036	Bob Smith	SSN	000000023			08-21-2008 01:55:52 PM CDT

Below the table, there are two main sections: "Individual Information" and "Documents (optional)". The "Individual Information" section includes fields for "ID Type" (a dropdown menu with "Please choose" selected), "ID Number", "First Name (\*required)", "Middle Name", and "Last Name (\*required)". The "Documents (optional)" section includes a "Document" subsection with fields for "Document Type" (a dropdown menu with "Please choose" selected), "Document Number", and "Place of Issuance".

OneSumX FCC browser window

**NOTE:** If you are accessing ComplianceOne and using the OneSumX FCC services in a remote session, for instance via Terminal Services, you may encounter a problem if you minimize your remote session before the Qualifile screen comes up. A security alert window may pop up behind the Qualifile screen and you may receive a 'Program busy' message if you click on anything. Click **OK** for the message. Use the keyboard shortcut **Alt + Tab** to bring the security alert to the front of the screen.

## How to Contact Us

### E-Mail

E-mail questions or issues to: [interfacesupport@wolterskluwer.com](mailto:interfacesupport@wolterskluwer.com).

### Phone

Telephone Wolters Kluwer SupportLine at 1-800-274-2711, ext. 121211. Support staff is available Monday through Friday, 7 A.M. to 7 P.M. CST. Voice mail is available after hours and on weekends.

To help us answer your question quickly, please have the following information available when you call:

- Product name and version number.
- Customer number.
- Operating system type and version number, as well as the service pack numbers for those service packs you have installed.

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