

Secure Document Exchange

ComplianceOne® Solution
Interface Operations Guide

September 2014

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Overview

This manual describes the use of the Secure Document Exchange, SDX, interface in ComplianceOne® Solution (ComplianceOne) to send documents to recipients electronically via secure web services. Documents created as part of a transaction in ComplianceOne can be sent electronically to the SDX Central Systems where they can be accessed and read online by designated recipients. This SDX interface is incorporated into ComplianceOne Lending, Mortgage, and Deposit.

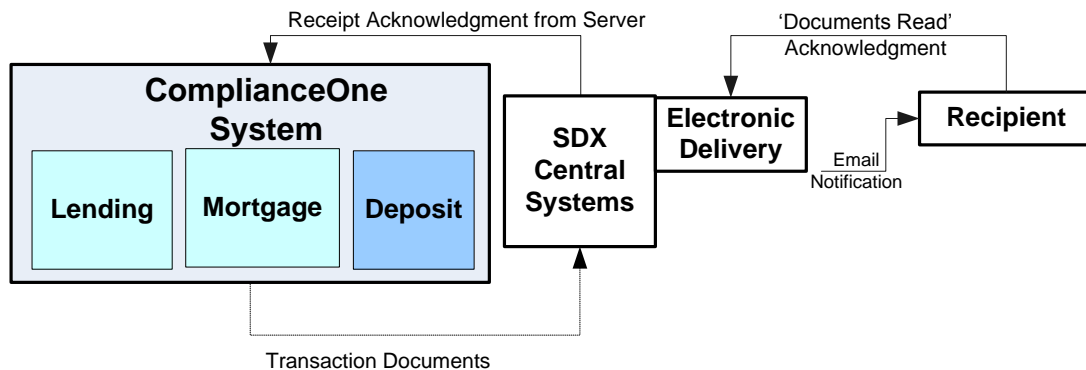
This interface has been built to the specifications required to deliver transaction documents into a secure environment and receive an acknowledgment that the documents have been received. The major steps involved in the document transfer include:

- Completing a transaction and generating the list of documents
- Choosing the documents to send from the list or browsing to other documents
- Initiating a connection to the SDX Central Systems and transferring the documents

ComplianceOne Interface Setup

How Does Information Flow to and from ComplianceOne?

The diagram below summarizes the flow of transaction documents from ComplianceOne to the SDX Central Systems.



Documents are generated as part of a ComplianceOne transaction and stored as electronic document files in Portable Document Format (PDF or TIF). The ComplianceOne SDX interface sends the electronic files in an encrypted transmission to the SDX Central Systems along with the email information for one or more recipients. With electronic delivery, the electronic files will remain there, available for reading by the recipient or saving locally to the recipient's computer over the

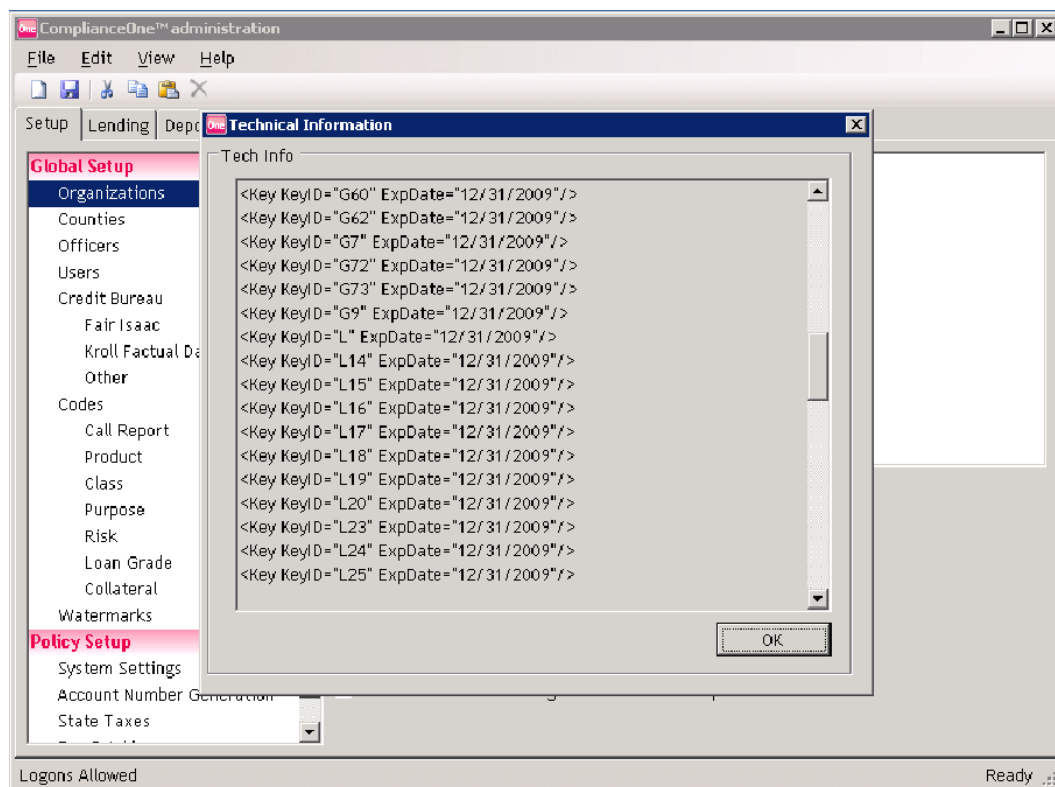
archival period configured for the customer's system, up to a maximum of 60 days. After the recipient reads the electronic files, SDX Central Systems generates an acknowledgment that can be read from ComplianceOne, indicating the recipient has accessed the files on the SDX Central Systems.

SDX employs the highest level of protective measures using web services to keep content safe and secure during transmission to intended recipients, including tamper sealing, digital rights management and enforceable integrity. Public key infrastructure, PKI, encryption assures that documents at rest on SDX Central Systems are secure. Secure socket layers, SSL, are used to insure the security of documents in transit.

Interface Installation

The Secure Document Exchange interface is already present in your copy of ComplianceOne but requires activation of the SDX key codes. You will receive interface configuration assistance for these key codes from Wolters Kluwer Financial Services as part of your interface installation. No other files need to be installed.

To verify that the SDX key codes have been added, logon to ComplianceOne administration and choose **View, Tech Info** from the menu. Then in the **Technical Information** dialog list, make sure that D72, G72 and L72, the SDX key codes for Deposits, Mortgage, and Lending, are present as applicable to your installation.

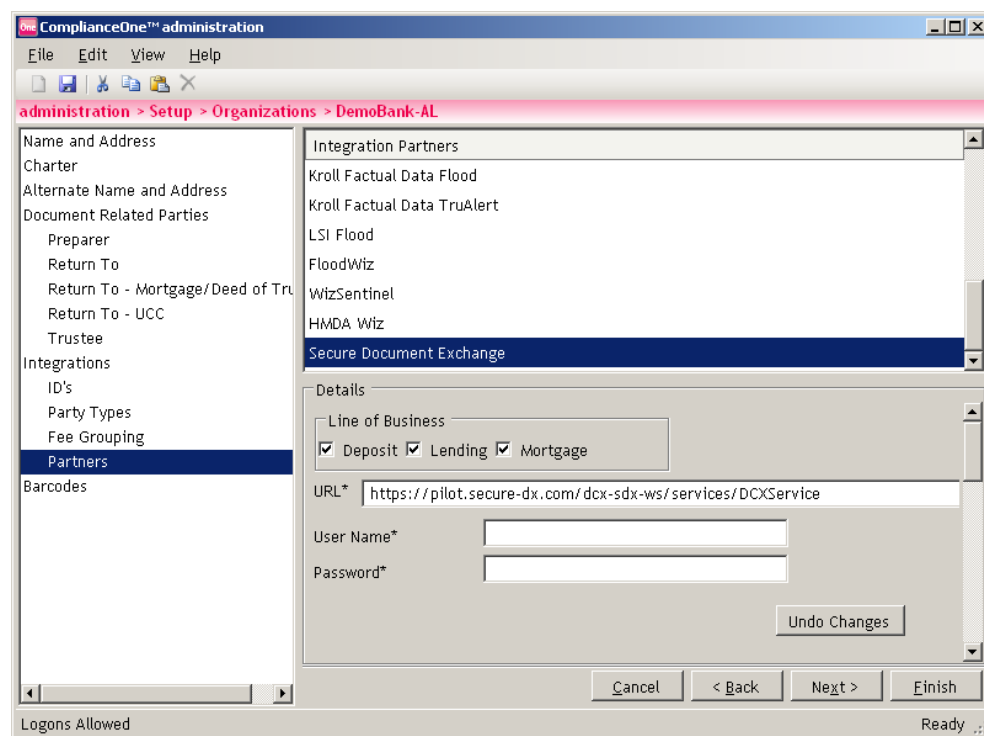


ComplianceOne Interface Configuration

You will receive interface access and configuration assistance from Wolters Kluwer Financial Services as part of your interface purchase. An access key code file is required to activate the interface for use at your financial organization. As part of the ComplianceOne implementation, an organization-branded version of the delivery site will be created for your organization, which will include your organization's logo, name, and other information relevant to your organization.

Some interface setup in ComplianceOne administration is required prior to use:

1. In administration from the Setup tab, click Organizations, double-click an organization, and navigate to Integrations and Partners. Select **Secure Document Exchange** from the Integration Partners list.



2. Configure the following for use of the SDX interface at your organization:
 - Select one or more of the checkboxes, **Deposit**, **Lending**, and **Mortgage**, to designate each line of business where you would like to use the SDX interface in ComplianceOne. At least one checkbox must be selected to enable the interface.
 - For the URL, add the address of the SDX Central Systems for pilot:
<https://pilot.secure-dx.com/dcx-sdx-ws/services/DCXService>
 - For the URL, add the address of the SDX Central Systems for production:
<https://sdxusers.secure-dx.com/dcx-sdx-ws/services/DCXService>

- Enter the **User Name** and **Password** required to access the SDX Central Systems. Your user name should be preceded by your SDX organization ID. For example, if your ID is 1000 and your user name is me@myorganization.com, your user name would be 1000_me@myorganization.com. Note that you must add the underscore character between your SDX organization ID and your user name.

Your organization will receive the URL, user name, and password information required to access to the SDX Central Systems.

Sending Documents

After completing a transaction in ComplianceOne, you can send documents to the SDX Central Systems from Deposit, Lending, or Mortgage.

1. In Deposits, click **Account Selection/Forms Printing** on the main page; double-click on an account and arrow forward until you reach the Doc Prep Printing screen. In Lending & Mortgage, click on the **Document Preparation Button** on the main page, then arrow forward to the Doc Prep Printing screen.
2. From the list of documents make sure only the forms you want to send are selected. In Deposits, all forms are defaulted as selected, so you will need to clear the '**check mark**' in the first column to remove a document from the list of documents to send. In Lending & Mortgage no forms are selected, therefore you will need to click the box in the first column to add the checkmark for any documents you wish to send.

ComplianceOne™ Deposits - [Doc Prep Printing: PDFCreator]

Main Interface E Sigs Options View QFAC Help

<input checked="" type="checkbox"/>			Document Name	E-Sig	Print Date
<input checked="" type="checkbox"/>	1		Fair Credit Reporting Act - Notice of Reporting Address (FCRA-NRA)		
<input checked="" type="checkbox"/>	1		Terms & Conditions (TC-MS)		
<input checked="" type="checkbox"/>	1		Multi Purpose Multi Party Signature Card (MPMP-LAZ-MS)	yes	
<input checked="" type="checkbox"/>	1		Privacy Disclosure (Towanda State Bank - Towanda KS)		
<input checked="" type="checkbox"/>	1		TISA Disclosure		
<input checked="" type="checkbox"/>	1		Party Identification Information Report - Individual		
<input checked="" type="checkbox"/>	1		Direct Deposit Sign-Up Form (1200)	yes	
<input checked="" type="checkbox"/>	1		Request for Taxpayer ID Number and Certification (W-9)	yes	
<input checked="" type="checkbox"/>	1		Notice of Delayed Availability (FFAD-NDA-CBC)		
<input checked="" type="checkbox"/>	1		Notice of Delayed Availability (FFAD-NDA-SE)		
<input checked="" type="checkbox"/>	1		Automatic Transfer Authorization (ATA-PL)	yes	
<input checked="" type="checkbox"/>	1		Custom Internet Access Signup		
<input checked="" type="checkbox"/>	1		Privacy Disclosure (The Peoples State Bank Many)		
<input checked="" type="checkbox"/>	1		Custom (Bank by Phone Enrollment)		
<input checked="" type="checkbox"/>	1		Custom (Customer OD Policy)		
<input checked="" type="checkbox"/>	1		Electronic Transaction Consent & Agreement		

☐ PJC Email
☐ PJC Print

John Doe
12:50:35 PM
Wednesday, December 05, 2012

Deposits - Doc Prep Screen

<input type="checkbox"/>	<input type="checkbox"/>	Document Name	Phase	E-Sig	Print Date
<input type="checkbox"/>	1	Party Identification Information Report - Borrower	Application, Clo		
<input type="checkbox"/>	1	Calc Sheet	Closing		
<input type="checkbox"/>	1	Loan Checklist Report	Closing		
<input type="checkbox"/>	1	Privacy Disclosure (Towanda State Bank - Towanda KS)			
<input type="checkbox"/>	1	Truth In Lending Disclosure (Open End)	Closing	Yes	
<input type="checkbox"/>	1	Promissory Note-Consumer Open End	Closing	Yes	
<input type="checkbox"/>	1	Disbursement Authorization	Closing	Yes	
<input type="checkbox"/>	1	FCRA Notice Regarding Inaccurate Information - John Doe	Application, Clo		
<input type="checkbox"/>	1	Right Of Rescission - John Doe -	Closing	Yes	
<input type="checkbox"/>	1	Over-the-Credit Limit Consent	Closing		
<input type="checkbox"/>	1	Regulation V - Notice Of Negative Information (Pre-Sharing)	Closing		
<input type="checkbox"/>	1	Request For Transcript Of Tax Return (4506-T) - John Doe	Application, Clo		
<input type="checkbox"/>	1	Notice Of Agency to Receive Complaints (SC) (VMP1062SC)	Application	Yes	
<input type="checkbox"/>	1	Errors and Omissions Agreement	Closing	Yes	
<input type="checkbox"/>	1	Mortgage	Closing	Yes	
<input type="checkbox"/>	1	Leases And Rents Assignment	Closing		
<input type="checkbox"/>	1	Application Summary Report (multi-state)	Application		
<input type="checkbox"/>	1	Electronic Transaction Consent and Agreement	Application, Clo		
<input type="checkbox"/>	1	Privacy Disclosure (The Peoples State Bank Many)			
<input type="checkbox"/>	1	Regulation V - Notice To Home Loan Applicants - John Doe	Application		
<input type="checkbox"/>	1	Appraisal Notice	Application	Yes	
<input type="checkbox"/>	1	Standard Flood Hazard Determination (VMP 525)	Processing		
<input type="checkbox"/>	1	Universal Credit Application - Real Estate WQGM - John Doe	Application		

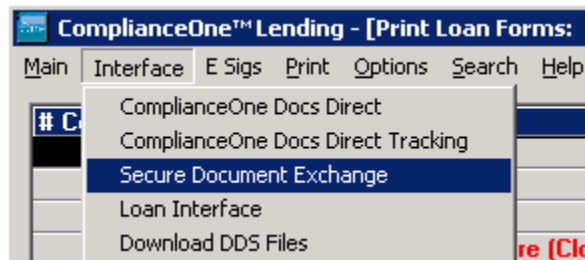
Tasks Preview Print Email E-Sign

☐ PJC Email
☐ PJC Print

John Doe Wednesday, December 05, 2012

Lending and Mortgage - Doc Prep Screen

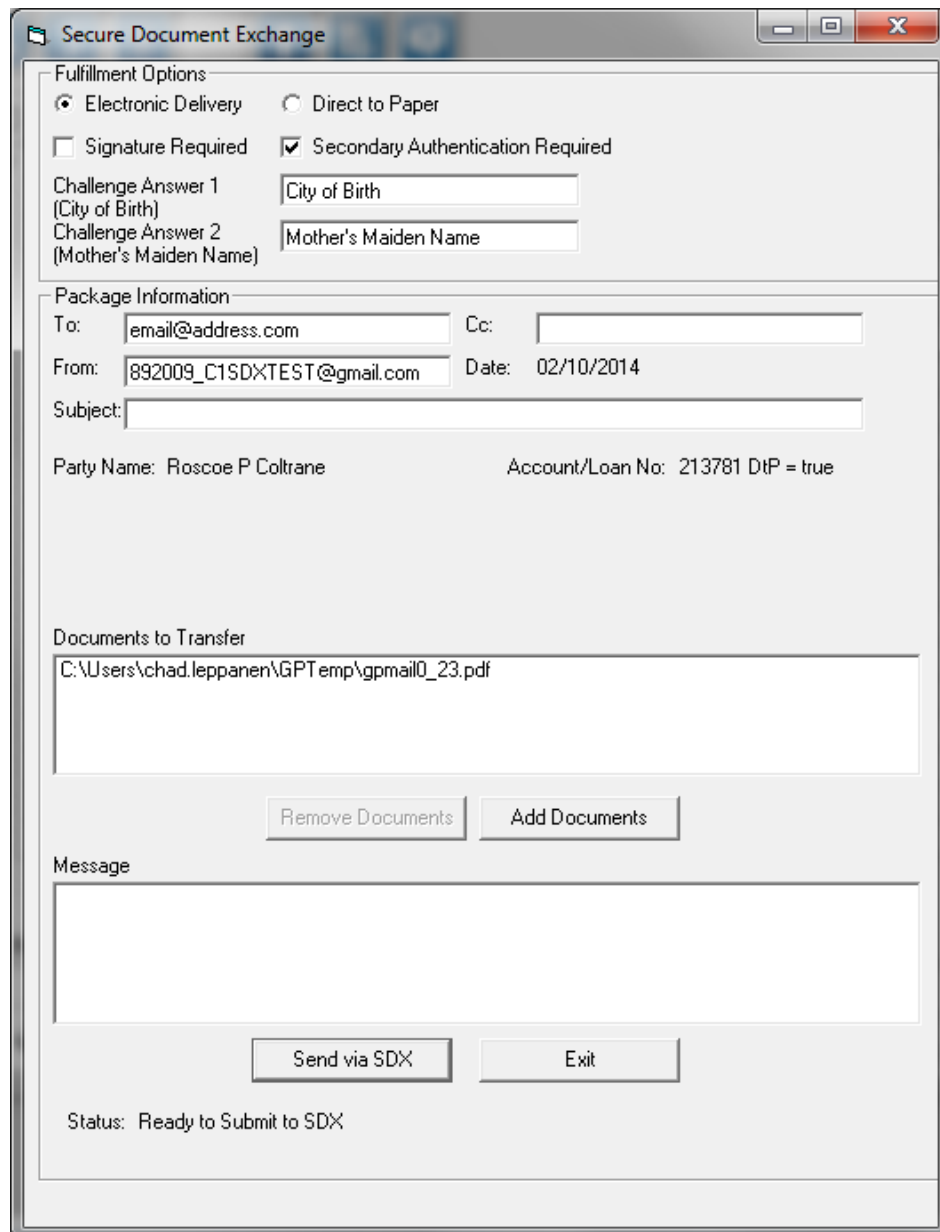
- From the menus at the top of the screen, choose **Interface**, **Secure Document Exchange** to begin the exchange process.



Note

Data entry must be completed on all documents you wish to submit. If data entry is incomplete on any document, you will receive an error message specifying the document and data required. You must complete the document before you can access the interface.

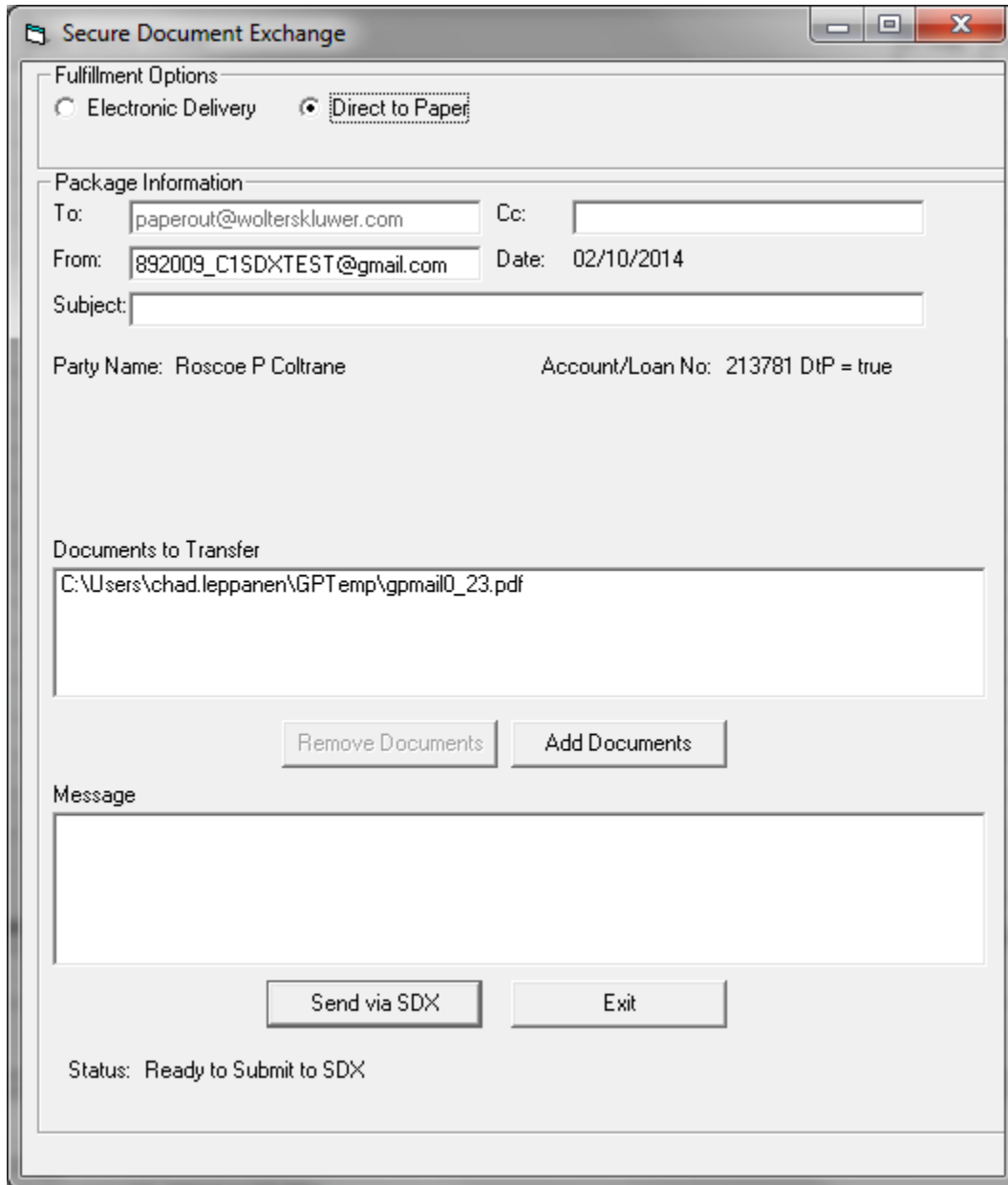
4. Complete or review the contents of the Secure Document Exchange Screen. You may click **Exit** at any time to return to your list of forms. Any data entered will not be saved if you do not send a package before clicking **Exit**.



The image shows a software window titled "Secure Document Exchange". It contains several sections for configuring a document transfer:

- Fulfillment Options:** Includes radio buttons for "Electronic Delivery" (selected) and "Direct to Paper". There are checkboxes for "Signature Required" (unchecked) and "Secondary Authentication Required" (checked). Below these are two text input fields: "Challenge Answer 1 (City of Birth)" with the value "City of Birth", and "Challenge Answer 2 (Mother's Maiden Name)" with the value "Mother's Maiden Name".
- Package Information:** Includes fields for "To:" (email@address.com), "Cc:" (empty), "From:" (892009_C1SDXTEST@gmail.com), "Date:" (02/10/2014), and "Subject:" (empty).
- Party Name:** Roscoe P Coltrane
- Account/Loan No:** 213781 DtP = true
- Documents to Transfer:** A text area containing the file path "C:\Users\chad.leppanen\GPTemp\gmail0_23.pdf". Below this are "Remove Documents" and "Add Documents" buttons.
- Message:** A large empty text area for a message.
- Buttons:** "Send via SDX" and "Exit" buttons are located at the bottom.
- Status:** A label at the bottom left reads "Status: Ready to Submit to SDX".

Secure Document Exchange Interface Screen for Deposit Transaction - Electronic Delivery



The image shows a Windows-style application window titled "Secure Document Exchange". It contains several sections for configuring a document transfer:

- Fulfillment Options:** Two radio buttons are present. "Electronic Delivery" is unselected, while "Direct to Paper" is selected and highlighted with a dashed border.
- Package Information:** This section contains input fields for "To:" (filled with "paperout@wolterskluwer.com"), "Cc:" (empty), "From:" (filled with "892009_C1SDXTEST@gmail.com"), "Date:" (filled with "02/10/2014"), and "Subject:" (empty).
- Party Information:** Below the package info, it displays "Party Name: Roscoe P Coltrane" and "Account/Loan No: 213781 DtP = true".
- Documents to Transfer:** A text box contains the file path "C:\Users\chad.leppanen\GPTemp\gpmail0_23.pdf". Below this box are two buttons: "Remove Documents" and "Add Documents".
- Message:** A large empty text area for a message, with "Send via SDX" and "Exit" buttons positioned below it.
- Status:** At the bottom, it shows "Status: Ready to Submit to SDX".

Secure Document Exchange Interface Screen for Deposit Transaction - Direct to Paper

Secure Document Exchange

Fulfillment Options

☒ Electronic Delivery ☐ Direct to Paper
☐ Signature Required ☒ Secondary Authentication Required

Challenge Answer 1 (City of Birth)
 Challenge Answer 2 (Mother's Maiden Name)

Package Information

To: Cc:
 From: Date: 2/11/2014
 Subject:

Party Name: Marcia S Brady Account/Loan No: 213781_L_2

Additional Documents Required
☐ HELOC ☐ HUD ☐ CHARM ☐ Interest Only

Documents to Transfer

Message

Status: Ready to Submit to SDX

Secure Document Exchange Interface Screen for Lending/Mortgage Transaction - Electronic Delivery

Secure Document Exchange Interface Screen for Lending/Mortgage Transaction - Direct to Paper

Items to address in the Fulfillment Options section include:

- Electronic Delivery - Documents are sent electronically to the SDX Central Systems where they are available to be received electronically by one or more designated recipients.
- Direct to Paper - Documents are sent to Wolters Kluwer Financial Services to be printed and returned in paper form to your organization.
- Signature Required - For either electronic only or electronic with paper fulfillment, by selecting this checkbox you request a digital signature for the package from the recipient. This field is not available when using the Direct to Paper option.
- Secondary Authentication Required - This checkbox will default to selected. If your party is an individual, the answers to the challenge questions will default from the

Customer Information Screen. If your party is an entity, you will have to either manually enter answers to the challenge questions or uncheck the Secondary Authentication Required checkbox. This field is not available when using the Direct to Paper option.

- Challenge Answers 1 and 2 - The questions, City of Birth and Mother's Maiden Name, must be answered by the recipient when secondary authentication is selected. The City of Birth and Mother's Maiden Name is defaulted from the primary borrower for Lending or Mortgage, or the primary depositor for Deposits (for individuals only). If the City of Birth or Mother's Maiden Name has not been collected by ComplianceOne, you can manually enter this information in the appropriate fields in the SDX Interface Screen. This field is not available when using the Direct to Paper option.

In the Package Information section complete or review the following content:

- To: - The email address of one or more recipients of the package. The field defaults to the email address for the primary borrower or depositor if they are individuals. If an entity, the recipient's email addresses will need to be manually entered. This email address can be changed if desired. If there is more than one recipient, separate the email addresses using a semicolon.
- Cc: - Email addresses of anyone, other than recipients, whom you wish to inform of the document transmission. Each individual will be included in all SDX correspondence. Each individual will get a copy of package submitted and package opened messages but will not get a copy of the actual notification with the link to the secure delivery site.
- From: and Date: - The sender of the email package and the date stamp of the package. For Lending and Mortgage, the date stamp is the application date. For Deposit, the date stamp is the account date. The sender name is taken from the interface setup information entered into administration. The sender's email address can be edited if desired. This edited email address must be a registered user within SDX.
- Subject - You must enter some additional informative text here, up to a 100 characters. Note that you should use the Message field for more extensive notes or communications.
- Party Name and Account/Loan No. - This information is taken from the transaction information and cannot be edited here.
- Additional Documents Required: - For Lending and Mortgage transactions, you can select to add one copy of the HELOC, HUD, CHARM, or Interest Only documents to the document package by selecting the appropriate checkboxes. These documents are added to your package as separate PDF attachments. These choices are not available in Deposit transactions. These selections represent the following document:
 - HELOC- What You Should Know About Home Equity Lines of Credit - VMP 483(1008)
 - HUD - HUD Settlement Cost Booklet - VMP18N (1008).00
 - CHARM - Consumer Handbook on Adjustable-Rate Mortgages - VMP20 (1108).00
 - Interest Only - A Guide TO Interest-Only ARMS - VMP15 (0708).01

- Documents to Transfer - All of the documents that will be included in your document transmission are listed here, including any additional documents you added with the Add Documents Button.
- Remove Documents and Add Documents Buttons - You can use Add Documents, by using the Add Documents Button, which opens the window to browse to a document outside of ComplianceOne and add it to the package.

Note: A document added with **Add Documents** becomes a separate attachment to the package. You can add documents in PDF, MS Word, and MS Excel format.

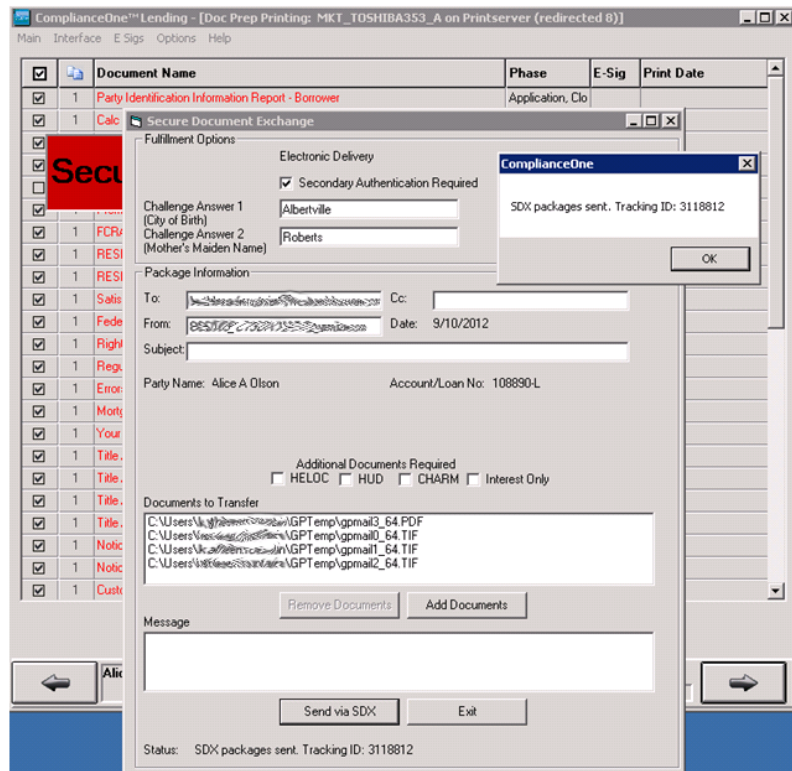
After adding at least one document, you can use **Remove Documents** to remove any documents added to the list. Note that you cannot use the **Remove Documents** button to remove any other document from the list. You will receive an error message if you try. If you wish to remove a ComplianceOne document, you will need to Exit and de-select the document on the Forms screen before returning to this screen.

- Message - You may add a message to accompany the package. Multiple lines of text are supported.
5. You will see the list of documents as file images selected for sending in the **Documents to Transfer** list. The file format will usually be PDF (Portable Document Format) or TIF (Tagged Image File Format).

Note: When possible documents are consolidated into a single PDF file for transmission. Some forms will be listed as individual TIF files in the **Documents to Transfer** list and will be added to the transmission as individual attachments. Note that Secure Document Exchange is not available for Miscellaneous Documents.

6. Click the **Send via SDX** button to send the files to the SDX Central Systems. Your package will be submitted to SDX, which will notify the recipients that their documents are ready to be viewed or acknowledged.

Upon submitting to SDX, you will see a confirmation message displayed which contains the Tracking ID returned by SDX. Notice the status at the bottom of the SDX screen has also changed to reflect the package has been sent and the Tracking ID:



7. Click **OK** to return to the Secure Document Exchange screen. Note that the **Send via SDX** button now reads **Show Status**.

Secure Document Exchange

Fulfillment Options

Electronic Delivery

☒ Secondary Authentication Required

Challenge Answer 1 (City of Birth)

Challenge Answer 2 (Mother's Maiden Name)

Package Information

To: Cc:

From: 892009_C1SDXTEST@gmail.com Date: 9/10/2012

Subject:

Party Name: Alice A Olson Account/Loan No: 108890-L

Additional Documents Required

☐ HELOC ☐ HUD ☐ CHARM ☐ Interest Only

Documents to Transfer

Message

Status: SDX packages sent. Tracking ID: 3118812

Status after Sending Documents

Once you have sent a document package to the SDX Central Systems, you can monitor the status of the package and the recipients' response.

8. After sending a package, click the **Show Status** button.

ComplianceOne™ Lending - [Doc Prep Printing: MKT_TOSHIBA353_A on Printserver (redirected 8)]

Main Interface E-Sigs Options Help

<input checked="" type="checkbox"/>	Document Name	Phase	E-Sig	Print Date
<input checked="" type="checkbox"/>	1 Party Identification Information Report - Borrower	Application, Clo		
<input checked="" type="checkbox"/>	1 Calc Sheet	Closing		
<input checked="" type="checkbox"/>		Closing		

Secure Document Exchange

Packages Sent				
Tracking ID	Customer	Account/Loan Number	Date/Time Sent	Remove
3118812	Securix	108890-L	9/18/2012 5:33:09 PM	
3118778	Securix	dpr_35468_1	9/18/2012 2:18:44 PM	
3118694	Fray Corporation	dpr_sdx_8	9/18/2012 8:25:13 AM	
3118692	Securix	dpr_sdx_7	9/18/2012 8:06:04 AM	
3118451	First Interstate and Statewide	108890 CML	9/17/2012 5:07:00 PM	
3118445	Securix	PR108890 Application	9/17/2012 4:34:49 PM	

☐ Show Removed Items

Package Info		
Recipient	Date/Time Received	Date/Time Opened
Securix	9/18/2012 6:33:09 PM	

Update Remove Selected Exit

Customer Information Document Application

Tasks Preview Print Email E-Sign

Alice A Olson Tuesday, September 18, 2012

9. You will see the list of all previously submitted packages from your organization and a status of when they were sent, received, and opened. Packages are ordered by the most recently submitted transaction.

The SDX Tracking screen can also be accessed via

- Main Menu/Secure Document Exchange selection on the Main screen of Deposits.
- File Menu/Secure Document Exchange selection on the Main screen of Lending/Mortgage.

Click **Update** to refresh the screen with an updated status for the displayed packages.

10. Click any line in **Packages Sent** and note the details listed in the **Package Info** pane below. You can also use the arrow keys to move up and down the **Packages Sent** list. You can also sort by clicking on a column header.

If a recipient has received a package electronically, you will see their email address as well as the dates and times they received and opened the package you sent. If the package includes more than one recipient, this information will be displayed for each recipient.

Note: Times displayed in the package information screen for receipt and opening are based on the SDX Central Systems time, currently based in the US Eastern time zone.

11. You can select a package and click **Remove Selected** to remove the package from the screen. The package will remain in the system and can be displayed later by selecting the **Show Removed Items** checkbox.

12. Click **Exit** to close the status screen and return to your previous location, which is the document prep printing screen.

Recipient Acknowledgment

The recipient will receive an email when the package is delivered for electronic fulfillment to the SDX Central Systems. The recipient must have an SDX account and login and check their inbox to receive an electronically delivered document package.

Note: The recipient will need to register if this is the first time they've received a package.

Once logged in, the recipient can choose to open and read the documents, or copy them locally. Opening the package will be noted by the SDX central system. When ComplianceOne updates its package status information, the date and time when the package was opened is returned to ComplianceOne and displayed.

Further information about functions available to recipients on the SDX Central Systems can be found in the Wolters Kluwer Financial Services user guide, *SDX Users Guide*, available when a recipient sets up their user account.

How to Contact Us

E-Mail

E-mail questions or issues to: ComplianceOneSupport@wolterskluwer.com

Phone

You can telephone our SupportLine technicians at 1-800-274-2711, ext. 1123660. Our support staff is available Monday through Friday, 7 A.M. to 7 P.M. CST. Voice mail operates continually, allowing you to leave us a message after hours and on weekends. To help us handle your question as quickly as possible, have these items available before you call:

- product name and version number

- customer number

- operating system and version number; service pack numbers, if installed

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