

**MIS**  
**Response Manager**  
**User Guide**



**THE EYES AND EARS OF WALL STREET**

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## Chapter 1

## Introduction

MIS Case Manager (MIS CM) provides the user with the ability to review negative information from MIS and reports from Experian CIP.

Users 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

When logging in for the first time into <https://miscm.callmis.com/>, you will have a generic password which you will be prompted to change.



THE EYES AND EARS OF WALL STREET

# MIS

## Case Manager Login

[Click here to see last 100 OFAC Updates](#)

Last 10 OFAC Updates			Date MIS Updated		
Tue	Sep	03 2019 14:30	Tue	Sep	03 2019 14:34
Fri	Aug	30 2019 13:30	Mon	Sep	02 2019 09:22
Fri	Aug	30 2019 10:00	Mon	Sep	02 2019 09:22
Thu	Aug	29 2019 15:00	Thu	Aug	29 2019 16:58
Wed	Aug	28 2019 10:30	Wed	Aug	28 2019 11:01
Wed	Aug	21 2019 10:30	Wed	Aug	28 2019 11:01
Tue	Aug	20 2019 13:30	Tue	Aug	20 2019 14:02
Tue	Aug	06 2019 12:00	Tue	Aug	06 2019 12:49
Thu	Aug	01 2019 10:30	Thu	Aug	01 2019 13:13
Wed	Jul	31 2019 16:00	Wed	Jul	31 2019 17:24

**User Name:**

**Password:**

[I have forgotten my password](#)

[Help](#)

\*\* Best Viewed Using Google Chrome \*\*

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### 1.3 Changing Your Password

If you have forgotten your password, click the [I have forgotten my password](#) link. You will be prompted to enter your username. If you've also forgotten your username, please email [miscm@callmis.com](mailto:miscm@callmis.com). An email containing a link and instructions on creating a new password will be sent to the address on file.

Passwords are required to be changed every 90 days. The system will prompt you to change your password at the required time.

## 1.4 Add and Remove User Accounts

Only active users and authorized individuals (as per your firm's instructions) can request new users.

For both addition and removals, please email [miscm@callmis.com](mailto:miscm@callmis.com), be sure to include the individual's contact information.

## Chapter 2

### Alerts (Negative Hits)

All alerts are available to every authorized user in your firm.

**What is an Alert?** - When negative information is found, MIS will notify you.

You will receive an email from [miscm@callmis.com](mailto:miscm@callmis.com) notifying you to log into MIS Response Manager. From there you can open, close, export, email other team members and MIS directly from within the platform.

Upon login, you are automatically taken to the Alerts tab.

In the Alerts tab, you can view every alert received from MIS, they are all organized into four folders:

- New – New alerts from MIS
- Open/In Progress - Alerts you've already viewed or wrote a comment for but yet to take a closing action.
- Completed - Alerts that you've viewed, written a comment and taken a closing action.
- Archived – At your request.

The screenshot shows the MIS Response Manager interface. At the top, the user is logged in as Kim James from Firm 555. The main navigation bar includes links for Help, Online Entry Manager, MIS Response Manager, Contact us, Reports, and Logout. Below this, a tabbed interface shows Alerts, Questions, CIP, FinCEN, FileTransfer, and OfacTracking. The Alerts tab is active, displaying a summary of 13571 records found. On the left, a sidebar contains filters for Firms (555), Divisions (ALL), Def/Pos (All), and Dates (All Dates). It also includes a Filter AlertType section with checkboxes for OFAC, Notice Of Seizure, Mailbox Drop, Financial, FATF, Regulatory, Control List, DNDW, Chief of States, and Other. An Export To Excel File section is at the bottom of the sidebar. The main area shows a table of alerts with columns for Name, AlertType, Date, and Text. The table lists several alerts, including those for JONES, JOHN M, SIEGREEST, DANIEL, WHIDBEE HARGER, TONYA S, WHITE, MARY L, AMENS, SYEN, and CLEMONS, FLORENCE M, all dated 09/24/2015. The text for these alerts mentions 'SOCIAL SECURITY NUMBER WAS REPORTED ON THE SSA DEATH MASTER LIST. PARTIAL NAME MATCH.' or 'DIFFERENT NAME.'.

Name	AlertType	Date	Text
JONES, JOHN M	Other Possible Alert	09/24/2015	SOCIAL SECURITY NUMBER WAS REPORTED ON THE SSA DEATH MASTER LIST. PARTIAL NAME MATCH.
SIEGREEST, DANIEL	Other Possible Alert	09/24/2015	SOCIAL SECURITY NUMBER WAS REPORTED ON THE SSA DEATH MASTER LIST. PARTIAL NAME MATCH.
WHIDBEE HARGER, TONYA S	Other Possible Alert	09/24/2015	SOCIAL SECURITY NUMBER WAS REPORTED ON THE SSA DEATH MASTER LIST. PARTIAL NAME MATCH.
WHITE, MARY L	Other Possible Alert	09/24/2015	SOCIAL SECURITY NUMBER WAS REPORTED ON THE SSA DEATH MASTER LIST. PARTIAL NAME MATCH.
AMENS, SYEN	Other Possible Alert	09/24/2015	SOCIAL SECURITY NUMBER WAS REPORTED ON THE SSA DEATH MASTER LIST. DIFFERENT NAME.
CLEMONS, FLORENCE M	Other Definite Alert	09/24/2015	SOCIAL SECURITY NUMBER WAS REPORTED ON THE SSA DEATH MASTER LIST. SAME NAME.
WINIFRED MUEHLER, ELEANOR	Other		SOCIAL SECURITY NUMBER WAS REPORTED ON THE SSA DEATH MASTER LIST. PARTIAL NAME MATCH.

### 2.2 Searching

When performing text/numerical searches, the system searches all fields for every record. This includes Name, AlertType, and Text categories.

To search within a specific folder (i.e. In Progress Alerts), click on the desired folder then search for the text.

## 2.3 Filtering Records and Exporting

The screenshot shows the 'MIS Alerts' window. At the top, it displays 'User: Kim James' and 'Firm: 555'. Below this are tabs for 'Alerts', 'Questions', 'CIP', 'FinCEN', and 'FileTrans'. The main content area is titled 'MIS Alerts - ALL(13654)' and includes a link for 'New (13571)'. It also shows counts for 'Open/InProgress (37)', 'Completed (46)', and 'Archive (0)'. There is a search bar with a 'Search' button and a '-> New' button, along with a 'Reset' button. Below the search bar are dropdown menus for 'Firms' (set to 555), 'Divisions' (set to ALL), 'Def/Pos' (set to All), and 'Dates' (set to (All Dates)). A section titled 'Filter AlertType All' has a checked checkbox. Below this are two columns of checkboxes for alert types: OFAC, Notice Of Seizure, Mailbox Drop, Financial, FATF, Regulatory, Control List, DNDBW, Chief of States, and Other. At the bottom, there is an 'Export To Excel File' section with a 'Current Page' dropdown, an 'Export' button, and a 'Clear Select' button. Blue arrows point from the text on the right to the 'Dates' dropdown, the 'Filter AlertType All' section, and the 'Export' button.

Alerts can be filtered by date and Possible/Definite matches. The listed dates are when alerts were sent to you, not when MIS may have received the inquiry.

If divisions are enabled, then the main firm code will have the ability to view every alert from each division. However, a division will not have the ability to view other divisions

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

Export page or selected items into an excel document.

**Note:** \*For more help with Searching & Filtering records, please click the Help to view our tutorial videos.

## 2.4 Detail View and Edit

Generally, the alert owner and current user are the same user, however, there are instances where the attention of a specific colleague is required; this is when routing is needed.

User: Kim James  
Firm: 555

Help Online Entry Manager MIS Response Manager Contact us Reports Logout

Alerts Questions CIP FinCEN FileTransfer OfacTracking

**EDIT** Owner: CurrentUser: **Detail View** STATUS: In Progress Print Page CLOSE

Social: 000000000 Name: STUART, DWAIN (Other / Possible / Alert)

Alert Text SDFASF Accounts (1) 12346

Comments Action Taken: None  
No Comments Exist For This Alert

Attachments Click on Document Name to View/Save Document

Document Name	Description	Date Attached
<a href="#">steams.txt</a>		6/29/2009 8:56:00 AM
<a href="#">bearbca637.txt</a>		6/29/2009 8:56:00 AM
<a href="#">bearbca637.txt</a>		6/29/2009 8:56:00 AM

Supporting documentation

Messaging

Message sent by: Brian AdminUser at 6/29/2009 9:13:00 AM  
is this working

Message sent by: HILDA at 7/6/2009 2:59:00 PM  
THANK YOU

Secure connection to MIS

Send



User: Kim James  
Firm: 555

Help Online Entry Manager MIS Response Manager Contact us Reports Logout

Alerts Questions CIP FinCEN FileTransfer OfacTracking

**Cancel** Owner: CurrentUser: **Detail Edit** Save & Close Route

Social: 000000000 Name: STUART, DWAIN (Other / Possible / Alert)

Alert Text SDFASF Accounts (1) 12346 Select

Action / Comments:  
Select An Action Exported to responsible party.

Comments  
No Comments Exist For This Alert

Upload Document:  
ENTER A DESCRIPTION OF THE DOCUMENT

Choose File No file chosen Upload Delete

Attachments Click on Document Name to View/Save Document

Document Name	Description	Date Attached	Select
<a href="#">steams.txt</a>		6/29/2009 8:56:00 AM	<input type="checkbox"/>
<a href="#">bearbca637.txt</a>		6/29/2009 8:56:00 AM	<input type="checkbox"/>
<a href="#">bearbca637.txt</a>		6/29/2009 8:56:00 AM	<input type="checkbox"/>

Messaging

Message sent by: Brian AdminUser at 6/29/2009 9:13:00 AM  
is this working

Message sent by: HILDA at 7/6/2009 2:59:00 PM  
THANK YOU

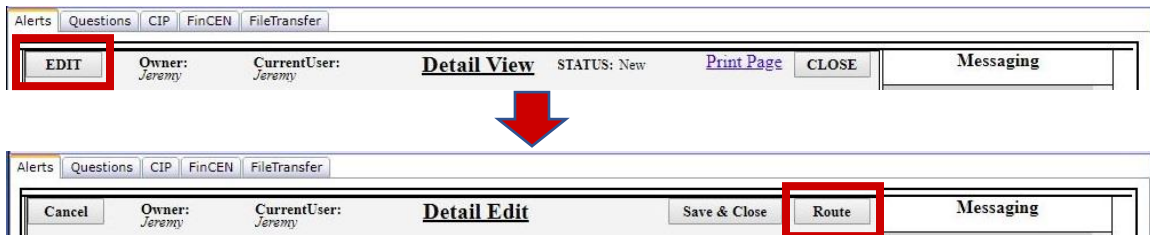
Send

### Messaging

The messaging feature within the Alert Detail view is for the firm to send questions directly to MIS. While the messaging features within the *Question* tab is for MIS to send question to the user or firm.

### Routing

Once you click on EDIT and type or select text, the Route button becomes enabled.



When you select the *Route* button a list of case manager users is displayed. After selecting a user, an email notification is sent to that user. From that point on, that user becomes the owner and only they can comment or edit the alert.

### Chapter 3

#### Questions

The messaging system within the Questions tab will enable MIS to communicate directly with you. This function will not affect the alerting process.

An alert is sent even if our question goes un-answered; the alert listed as a possible instead of definite match.

User: Kim James  
Firm: 555

Help Online Entry Manager MIS Response Manager Contact us Reports Logout

Alerts Questions CIP FinCEN FileTransfer OfacTracking

MIS Questions - ALL (37)  
New (20)  
Open/InProgress (7)  
Completed (10)  
Archive (0)

Search -> InProgress Reset

Firms: 555  
Divisions: ALL  
Dates: (All Dates)

Export To Excel File  
Current Page Export Clear

Display per page: 20 50 100 7 Record(s) found Paging 1

Name/Text	Date/Acct
CLANCY, EDWARD WHAT TYPE OF ACCOUNT IS THIS? IF JOINT WITH WHOM?	07/20/2011 00160311833
CUTLER, JACQUELINE PLEASE PROVIDE AN OCCUPATION	07/20/2011 00174715924
ELIZABETH PLEASE PROVIDE FULL NAME ON ACCOUNT.	07/06/2011 00127604556
KUMAR, R RAMESH PLEASE PROVIDE FULL NAME.	10/04/2010 0005352294170
KEENAPPEL, BRY IS JOHN SMITH ON THE ACCOUNT?	07/19/2010 LCCLCC
GOMEZ, PATRICIA PLEASE PROVIDE AN OCCUPATION.	09/04/2008 00750678792
GOMEZ, PATRICIA	09/04/2008

MIS Messages for: GOMEZ, PATRICIA

Message sent by: Kim James at 11/4/2010 12:41:00 PM  
hello

Message sent by: Dwain Stuart at 1/17/2011 2:10:00 PM  
She is a homemaker

CLICK HERE TO WRITE A MESSAGE TO MIS.

Send Clear Finalize

Comments will be displayed here. In order for the question to move from Open/InProgress to Completed a final action must be taken.



## Chapter 4

## Experian CIP

User: Kim James  
Firm: 555

[Help](#) [Online Entry Manager](#) **MIS Response Manager** [Contact us](#) [Reports](#) [Logout](#)

[Alerts](#) [Questions](#) [CIP](#) [FinCEN](#) [FileTransfer](#) [OfacTracking](#)

MIS CIPs - ALL(4185)

New (2019)  
Needs Review (2017)  
Open/InProgress (248)  
Approved w/Restrictions (0)  
Review for Closure (32)  
Completed (1917)  
Passed CIP (1846)  
Reviewed and Approved (25)  
Restrictions Resolved (5)  
Closed (33)  
Archive (1)  
Archived

Search -> ALL [Reset](#)

Firms: 555  
Divisions: ALL  
Dates: (All Dates)  
SSN Code: All Codes  
High Risk: All Codes  
OFAC: All Codes  
Score:

Bulk Review  
Bulk Select Method [Bulk Edit](#)

Display per page: 20 50 100 **4186 Record(s) found** [Print Current Page](#) Paging 1

Name	Cust Num	Checkpt Score	SSN Result	Address Result	DOB Result	Addr High Risk	OFAC Result	Date	Details
WAN, FENGLING	DWAA000026	371	N	R	3	N	1	10/14/2015	<a href="#">21711981</a>
MEI, QINGFENG	DWAB000013	259	DN	R	3	N	1	10/14/2015	<a href="#">21711982</a>
SUN, GONGMING	DWAB000014	371	N	R	3	N	1	10/14/2015	<a href="#">21711983</a>
ZHU, CHENGCHENG	DWAC000024	371	N	R	3	N	1	10/14/2015	<a href="#">21711984</a>
SHEN, YANG	DWAG000036	371	N	R	3	N	1	10/14/2015	<a href="#">21711985</a>
MA, YUEFEI	DWAH000029	371	N	R	3	N	1	10/14/2015	<a href="#">21711986</a>
LIU, WENJING	DWAJ000025	371	N	R	3	N	1	10/14/2015	<a href="#">21711987</a>
ZHANG, XUEWEN	DWAK000025	371	V	Z	5	N	1	10/14/2015	<a href="#">21711988</a>
ZHU, JUN	DWAN000022	371	N	R	3	N	1	10/14/2015	<a href="#">21711989</a>
WU, ZHIHAO	DWAP000029	371	N	Z	3	N	1	10/14/2015	<a href="#">21711990</a>
FENG, GUANGQIANG	DWAQ000028	371	V	R	5	N	1	10/14/2015	<a href="#">21711992</a>
DONG, RUIHUA	DWAR000026	371	N	R	3	N	1	10/14/2015	<a href="#">21711993</a>
YAO, CHANGWEI	DWAS000025	294	N	H	3	N	1	10/14/2015	<a href="#">21711994</a>
QUYANG, HONGJIN	DWAX000020	371	N	R	3	N	1	10/14/2015	<a href="#">21711995</a>
JIANG, QICONG	DWAY000018	259	D	Z	5	N	1	10/14/2015	<a href="#">21711996</a>
WU, CANCHAO	DWAZ000024	259	D	R	5	N	14	10/14/2015	<a href="#">21711997</a>
CAO, ZHENHUA	DWBC000030	371	N	R	3	N	1	10/14/2015	<a href="#">21711999</a>
GAO, SHUANGNAN	DWBF000023	371	V	R	5	N	1	10/14/2015	<a href="#">21712000</a>
GE, HUTIYING	DWBH000028	371	V	R	5	N	1	10/14/2015	<a href="#">21712002</a>

Filtering options

Comments can be added to multiple reports at once.

**Note:** \*For the definitions and explanations of the CIP codes please click the Help link and select CIP Codes.

## 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: 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 or (2) Passed CIP. These categories have limited actions that can take place within each area. The main actions are New, Open/In progress and Completed. New – records that have not been worked on. Open/In progress – are records that have been edited but have not reached a final conclusion. Completed – records that 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). This is a sub folder that is designed to help your firm isolate those new reports that may need to be reviewed by your firm. The criteria for a report falling into this sub folder is based on a Decision Matrix formulated by Experian which measures the strength of the report (aka: the likelihood that the client provided accurate information) and is calculated using a combination of checkpoint scores and various codes related to the report. Essentially, if a report falls into this sub folder, Experian has a low-level of confidence that the information the client provided is accurate.

### 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). This sub folder represents reports that have been sitting in the “Approved w/Restrictions” sub folder for more than 60 days. The purpose of this sub folder is to remind your firm that you have a report marked “Approved w/Restrictions” and that hasn’t been resolved yet (perhaps the client has not sent you the additional documentation you requested).

### 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.

### 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.

## Chapter 5

### Reports

The user will be able to generate reports based on the specifications chosen by you. You have the option of printing or exporting the report into a pdf or csv file.

Instructions for generating a report:

1. Locate and click the **Reports** button on the top right corner.
2. From the **Manager** dropdown list on the top left of the screen. The user can select either “MIS Response” or “Online Entry” to run a report from the selected *Manager System*. The selection will default to the corresponding system it is being run from and can be ignored unless you wish to run a report from the other system.
3. Next you can select from the **Source** dropdown list, the following options are available: No Source, Alerts or CIP.
4. Following you may choose the Type.
5. If you are authorized, you may choose from the desired Firm in which you need to generate a report for. You may select from the **Status** drop down if you choose to do so.
6. Once you have selected the source for your report you may fill in the parameters for the report. You can choose from but not limited to: Def/Pos, Users and From:/To: (date range). You may choose from the AlertTypes, either check off ALL or specific types.
7. Once you have selected the desired parameters and source, click on the **Generate** button at the bottom left corner.
8. When the reports have been generated, confirm print orientation and the format (CSV file or PDF). Note, the print orientation is displayed in red above the report on the top right side of the screen.
9. Finally, when everything is confirmed and correct, click on the **Print** button.
10. To leave the Reports screen, just click on the **Close** button on the top right corner.

https://miscm.callmis.com/cmMain.aspx

User: Kim James  
Firm: 555

[Help](#) [Online Entry Manager](#) **MIS Response Manager** [Contact us](#) [Close](#) [Logout](#)

Manager: MIS Response  
Source: Alerts  
Type: Alert Advanced  
Firms: 555  
Divisions: ALL  
Status: All

DefPos: All  
Users: ALL Users  
From: 02/01/2011  
To: 03/30/2013  
Opened Since:  
Opened By:

Alert Type: All ☒  
☒ OFAC ☒ Mailbox Drop  
☒ FATF ☒ Control List  
☐ Chief of ☐ Notice of

[Generate](#)

1 of 2 [Print](#) [Select a format](#) [Export](#) [Print/Export Limit = 200 Viewer Pages](#)

Print Orientation: \*\*\* Landscape \*\*\*

### Alert Advanced

Alert Name	Accounts	Alert Type	Date Alerted	Date Opened	Status	User..	Text / Comments
GARCIA, FRED	560723912ML	OFAC	11/26/2012	07/03/2013	Completed		PARTIAL NAME MATCH ON OFAC: FREDDY GARCIA AKA FREDY GARCIA C/O COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A. CALI, COLOMBIA; CALLE 11 NO. 1-07 OF. 405 CALI, COLOMBIA; C/O PROCESADORA DE POLLOS SUPERIOR S.A. CALI, COLOMBIA; CEDULA NO. 79376230 (COLOMBIA). (INDIVIDUAL) [SDNT].
Comment Detail.....						Kim James	Open no restrictions.
PRINT NINJA	560749512ML	Mailbox Drop	11/26/2012	12/27/2012	Completed		MAIL BOX DROP
Comment Detail.....						Dwain Stuart	Purged.
BAKER AND MCKENZIE INTERN	RFS12312JO	Financial	11/26/2012	10/21/2014	New		BAKER AND MCKENZIE-NY & CHICAGO, IL LOANSafe.ORG 5/22/12 FORMER PARTNER, MARTIN WEISBERG, PLEADED GUILTY TO MONEY LAUNDERING & CONSPIRACY TO COMMIT

## Chapter 6

### Optional Features:

Please contact us at [miscm@callmis.com](mailto:miscm@callmis.com) to have any of these features added to your account.

**FinCen** - Enables user to upload 314A releases that he/she has retrieved from the FinCen to MIS, as well as review search results.

Instructions...

- Click on the upload button to begin the upload process.
- Locate the FinCEN file on your computer and upload the file.
- Once the file is uploaded, MIS will be notified and will begin the review process.
- Upon completion of the review any matches will be made available on this site.
- An email will be sent out notifying you that MIS has completed its review.
- You can then click on the FinCEN Release date in the grid to view the report from MIS.

\*\*\* Upload a combined file of entities and people. \*\*\*  
 \*\*\* Uploading is available for 18 days after the release. \*\*\*

\*\*\*\*\*  
 MIS will only accept  
 XLSX, XLS, TXT and CSV files.  
 \*\*\*\*\*

**File Transfer** - Enables the user to securely send ad hoc files to MIS; note files must meet MIS file layout requirements.

**FILE TRANSFER**

\*\*\*Important: Always check the firm code showing in the FIRMS box below before performing any operations.\*\*\*

**UPLOAD** Files uploaded here are processed via 'MIS's batch processing rules' not by Online Entry rules. You are responsible for understanding these rules-> [Click Here](#) **FIRMS** 555

[Download Sample File](#)

**DOWNLOAD**

Click on the file you wish to download

September, 2017

File Name:	Date Created:	File Size(bytes):
<a href="#">TP137_42.txt</a>	9/28/2017 9:17:33 AM	2904
<a href="#">TP137_42_ofac_rpt.txt</a>	9/28/2017 9:17:33 AM	3300
<a href="#">TP155_4.txt</a>	9/28/2017 9:17:13 AM	2904
<a href="#">TP155_4_ofac_rpt.txt</a>	9/28/2017 9:17:13 AM	15708
<a href="#">TP155_4_goodname_rpt.txt</a>	9/28/2017 9:17:12 AM	169752
<a href="#">TP155_4_social_rpt.txt</a>	9/28/2017 9:17:12 AM	20856
<a href="#">TP155_4_addr_rpt.txt</a>	9/28/2017 9:17:11 AM	90684
<a href="#">TP149_12.txt</a>	9/28/2017 9:16:43 AM	2904
<a href="#">TP149_12_ofac_rpt.txt</a>	9/28/2017 9:16:43 AM	2112
<a href="#">TP149_12_goodname_rpt.txt</a>	9/28/2017 9:16:43 AM	2508
<a href="#">TP149_12_addr_rpt.txt</a>	9/28/2017 9:16:43 AM	7788

OFAC Tracking —There is an additional charge for this feature.

The screenshot shows a web browser window with the URL <https://mism.callmis.com/cmMain.aspx>. The page title is "MIS Response Manager". The user is logged in as "User: Kim James" with "Firm: 555". The navigation bar includes links for "Help", "Online Entry Manager", "Contact us", "Reports", and "Logout". The main menu has tabs for "Alerts", "Questions", "CIP", "FinCEN", "FileTransfer", and "OfacTracking". The "OfacTracking" tab is selected. The "Type Of Search:" dropdown is set to "By Account Number". The search criteria are: "Firm: Searching", "Year: 2017", "Date: All", and "Acct: ". There are "Search" and "Print Page" buttons. The search results area is empty.

**Account Search:**

This is a search that will pull all records that have the specified account number including joints. It will list every date that was scanned for the account number. Because the scan rows will quickly grow (20 – 40 a year) a year filter is applied to only show the scan rows for a given year.

**Date Submitted Search:**

This is a search done by the file processing date. It would return all records submitted on a given day as well as if they resulted in OFAC matches or not.

**OFAC Change Date Search:**

This is a search done by using the actual OFAC Update dates. It will return the count of records that were checked for that date and provide a total of the number of matches that were found. Below that it will display the detail for the OFAC matches.

\*\*