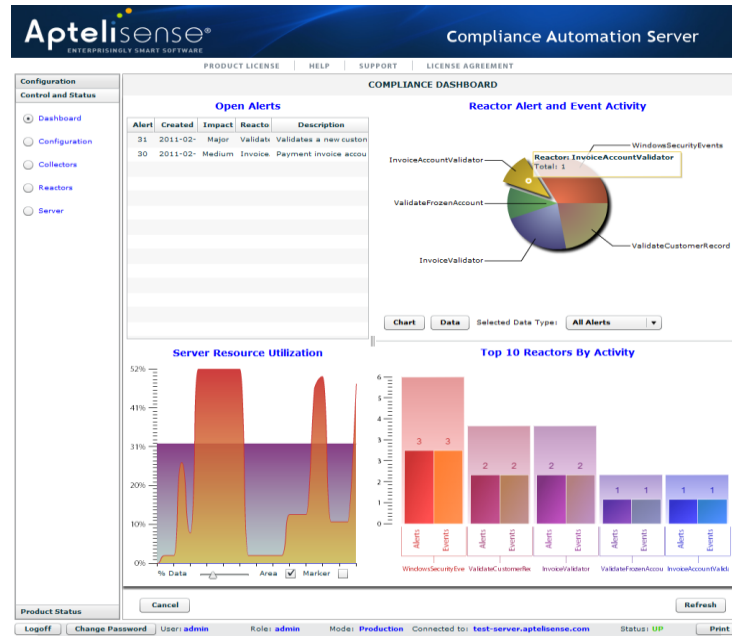


Aptelisense

Expose fraud in live data instantly without adding risk



What Compliance Automation Server can do for you

Compliance Automation Server (CAS)

- CAS is an expert Windows Server application that enables organizations to monitor and enforce policy thereby ensuring everyone transacting on their systems, whether internal or external, follows and obeys the rules.
- CAS monitors and validates live data in near real time against business rules autonomously 24/7/365. CAS can be configured to alert suspicious transactions or take action.

The flexibility of CAS

CAS is data-source, application and industry agnostic. Typical applications:

- Fraud protection across employee, mortgage, insurance policy, procurement, payments
- Anti-money laundering: live customer data validation with your partners
- Process automation, data validation and cost/time reduction across insurance claims, payments, cash management, transaction validation, contracts
- Security: validation of Windows events against change control or policy
- Audit: Internal automation

Typical industries:

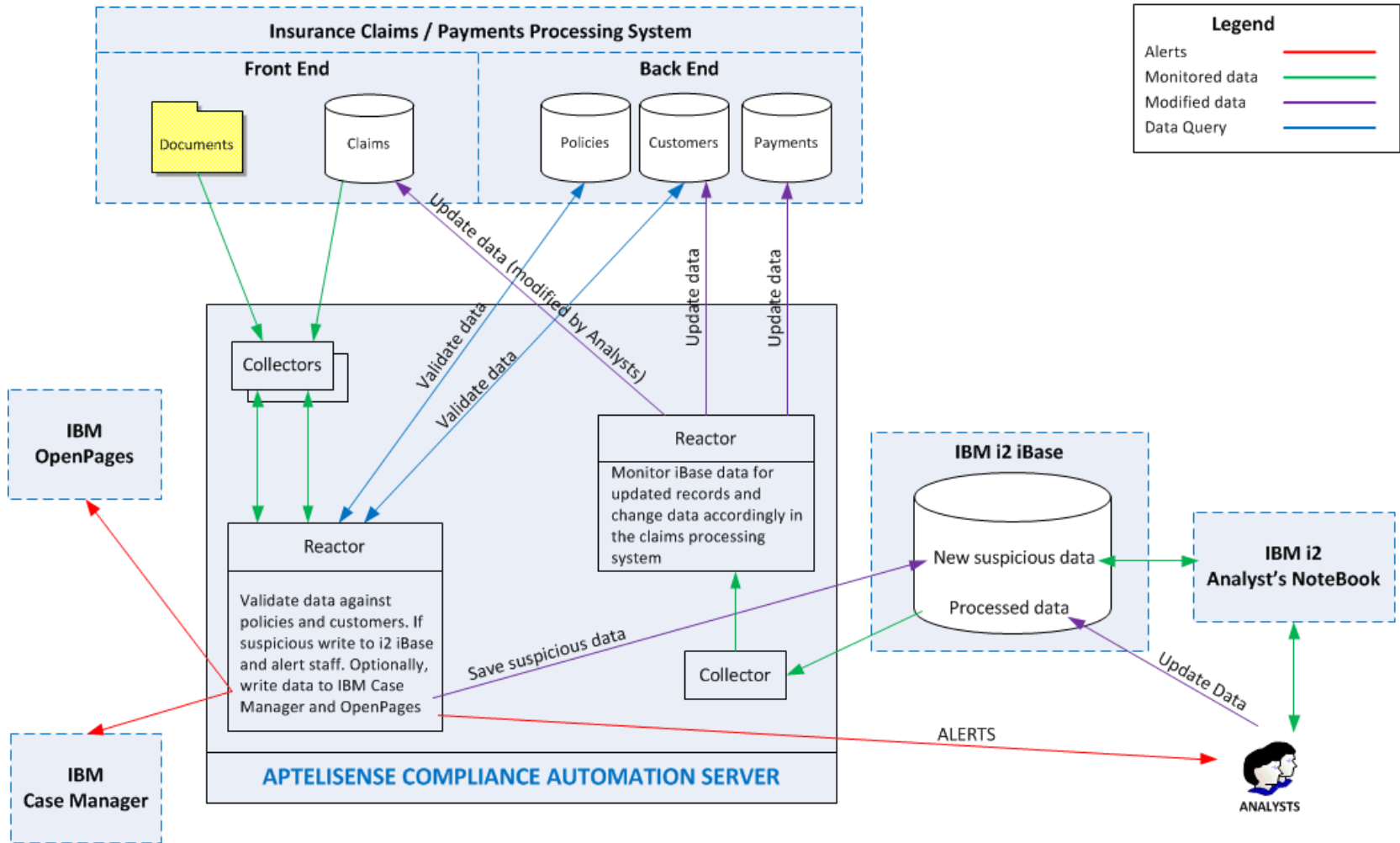
- Banking / finance
- Insurance
- Government
- Taxation authorities
- Energy
- Telecommunications
- Manufacturing
- Defense

CAS overview

- The capabilities of CAS include:
 - near real-time read-only monitoring of live data sources
 - dynamic data value testing inline or against live data sources
 - alerting on simple or complex user defined rules when attention is required
 - taking automatic action for defined events
 - preventing collusion and unauthorized configuration changes
 - point and click operation with graphical reporting
 - fully encrypted and tamper proof
 - can be switched in to fully reactive mode (dynamic data updating)
- CAS is simple to use, does not require programming, requires zero system or application changes, is maintenance free and has a small foot print.

Using CAS with IBM i2 Products

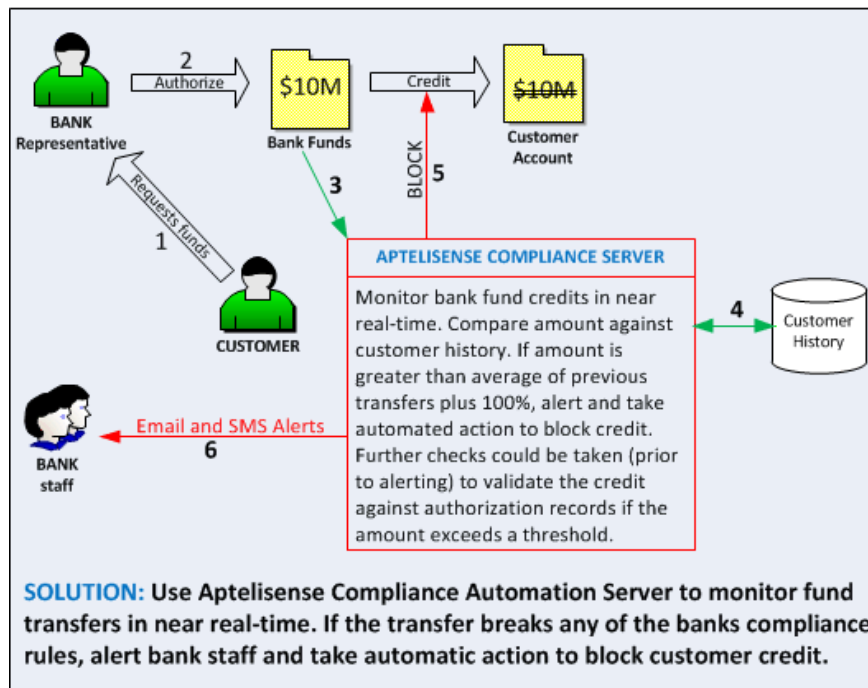
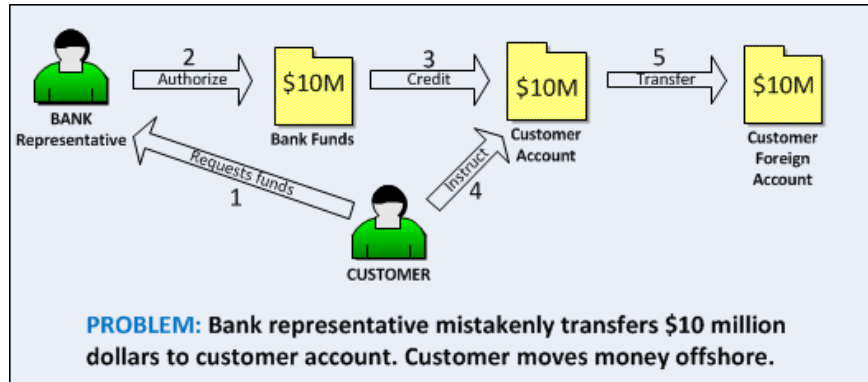
Using Aptelise Compliance Automation Server to Integrate IBM i2 Products into Core Customer Processes



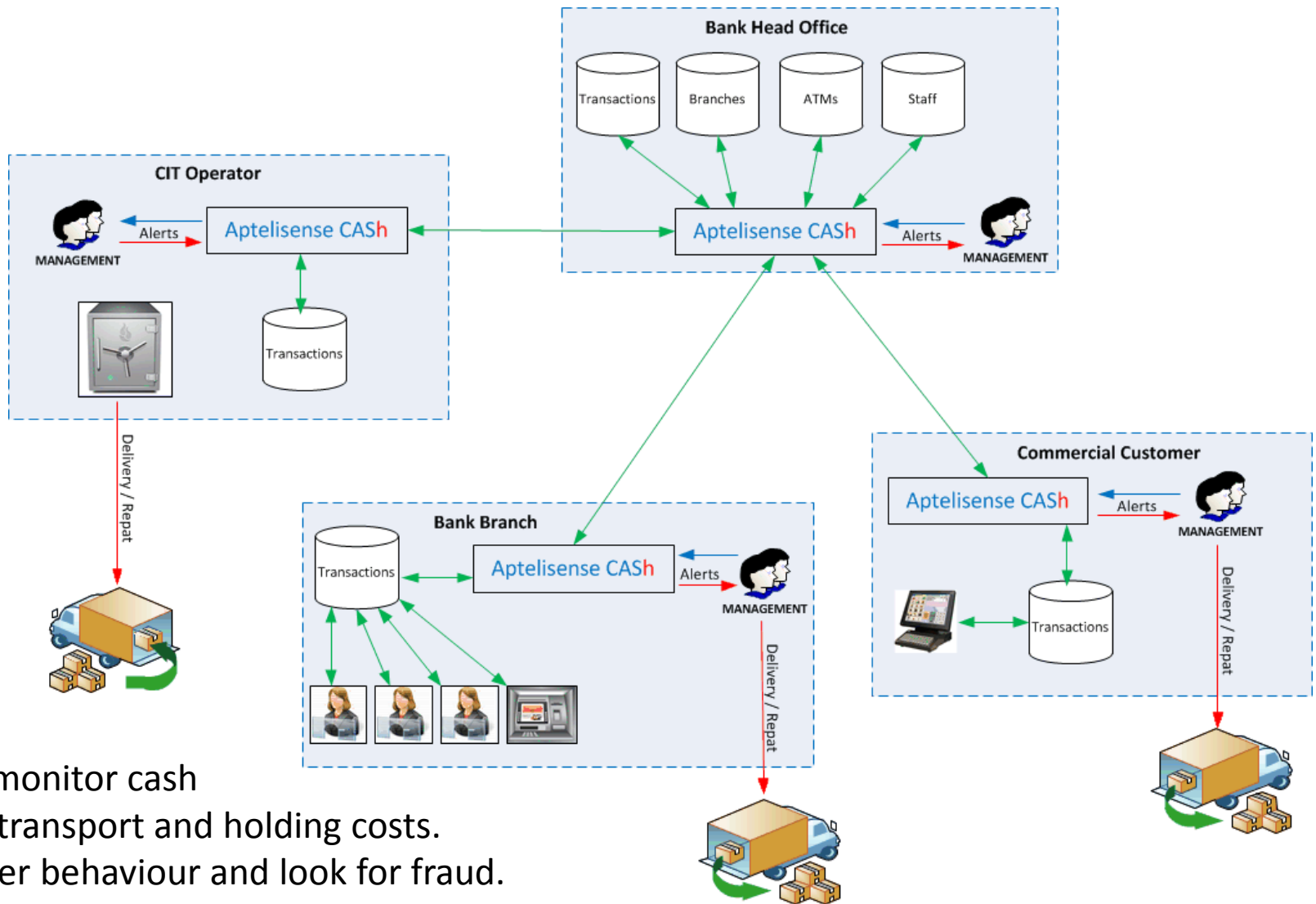
Transaction monitoring with CAS

Use CAS to enforce your policy for data validation and transaction control.

Ensure that costly mistakes or fraud do not expose your organization.

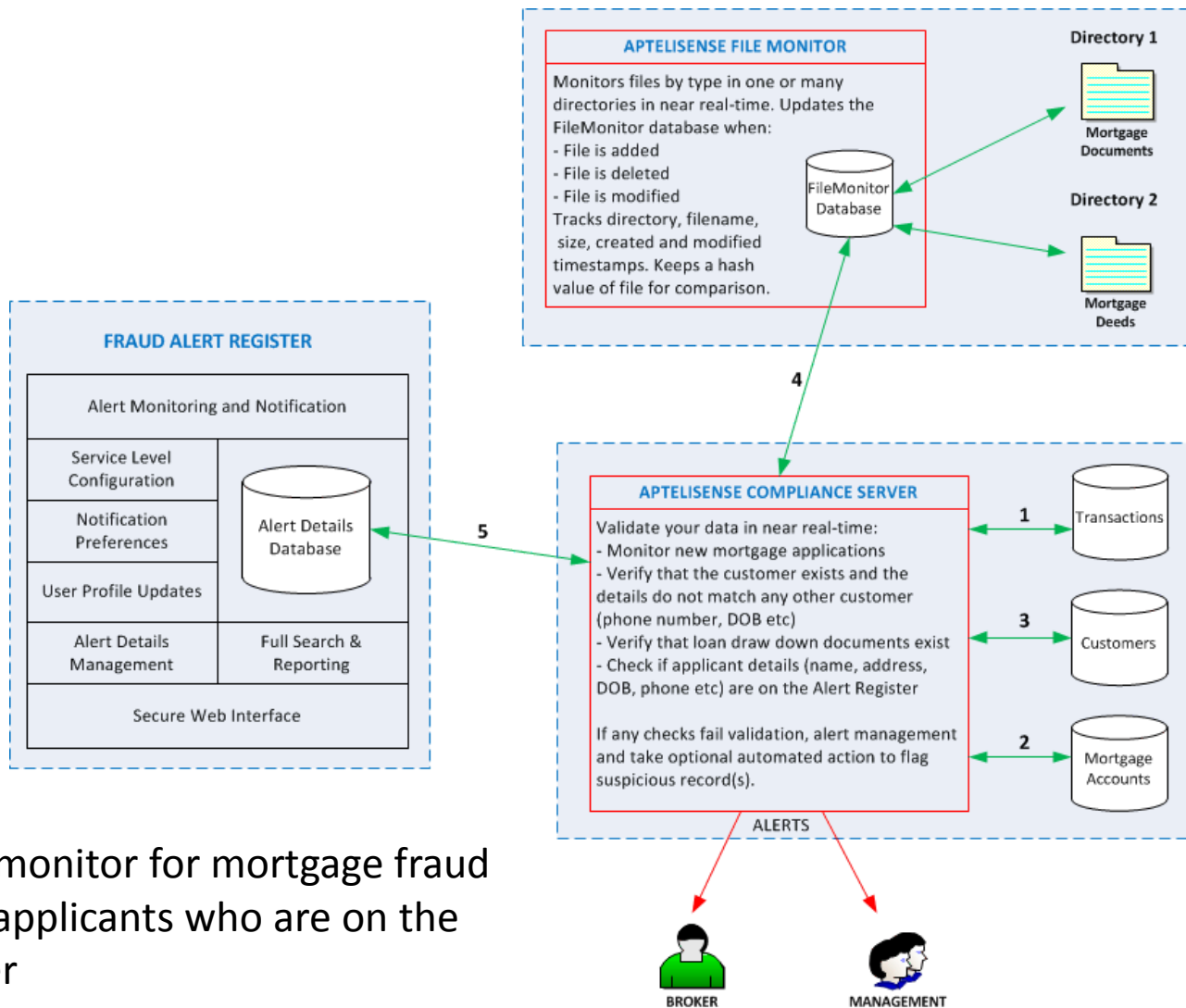


Cash management with CAS



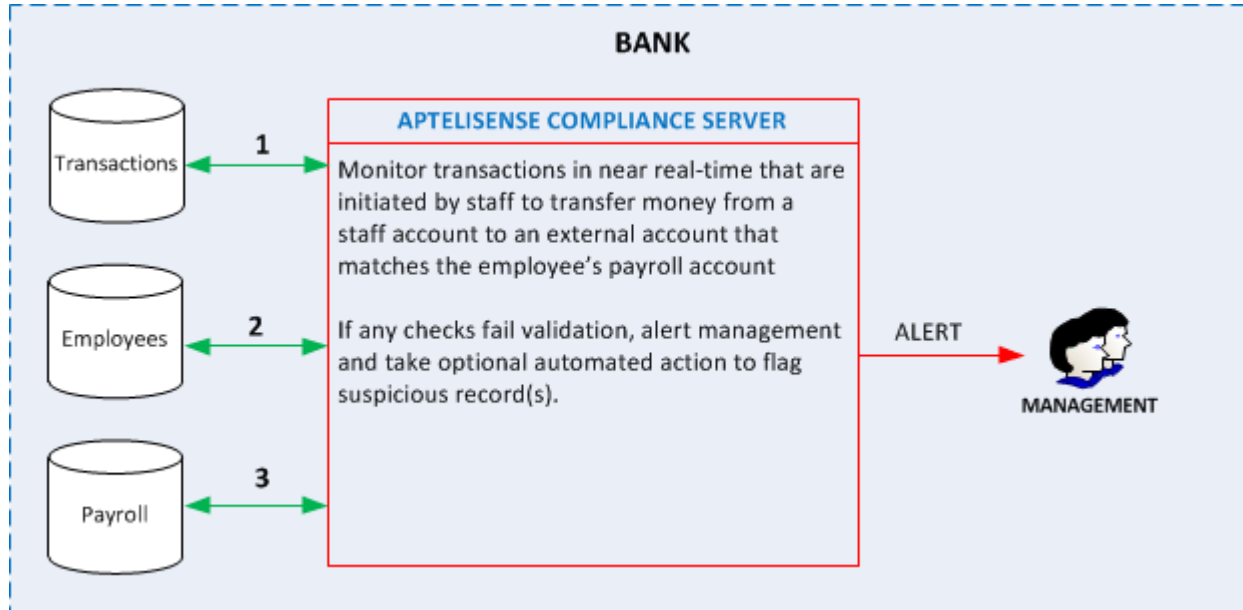
Use CAS to monitor cash and reduce transport and holding costs. Monitor teller behaviour and look for fraud.

Mortgage fraud with CAS



Use CAS to monitor for mortgage fraud and detect applicants who are on the alert register

Internal fraud with CAS

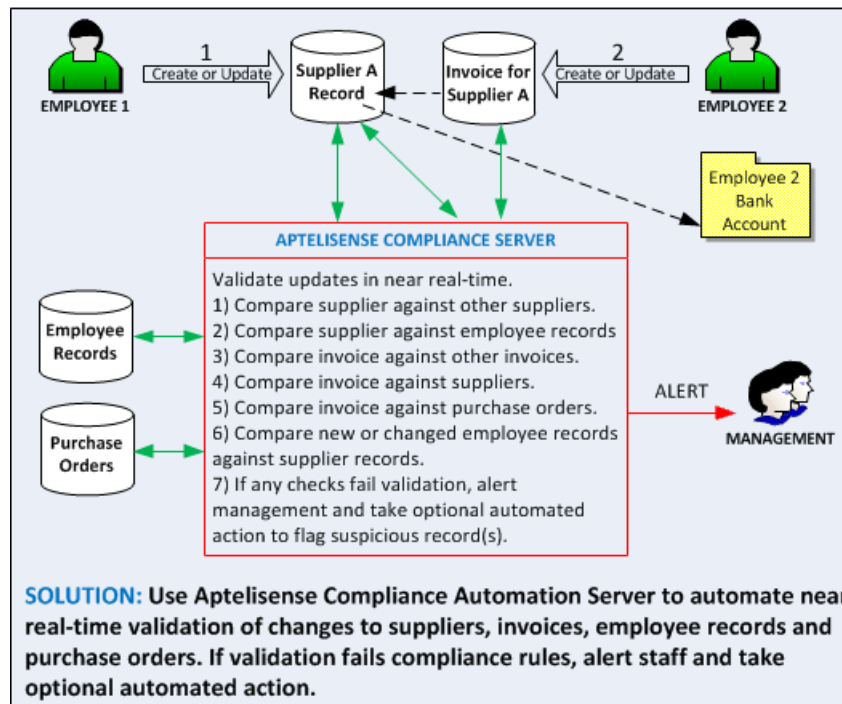
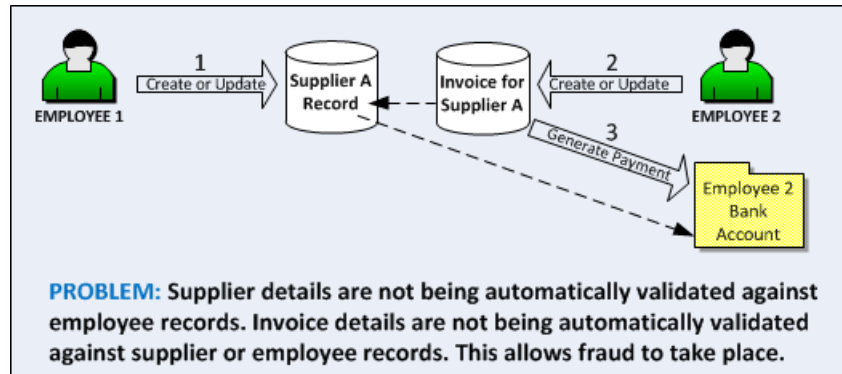


Use CAS to monitor for staff initiated transactions that move money to an external account that matches the employee payroll account

Procurement fraud with CAS

Use CAS to monitor, validate and control complicated procurement processes.

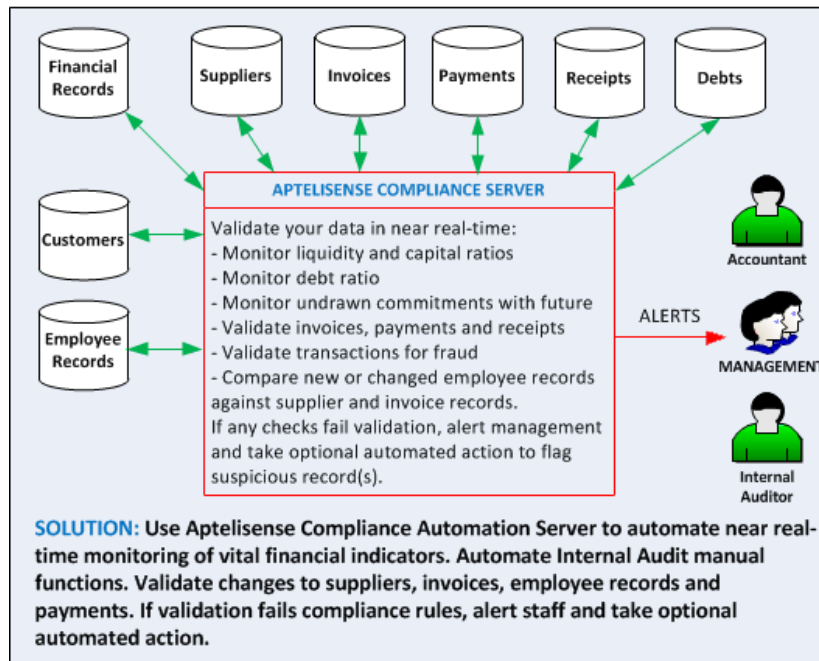
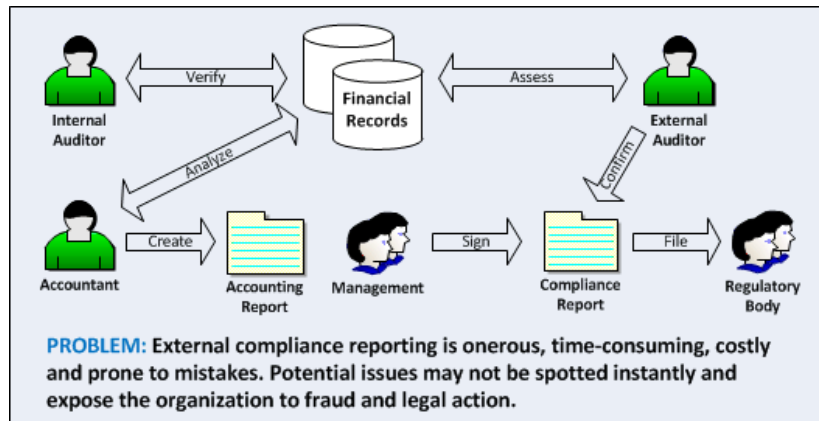
Ensure that costly mistakes or fraud do not expose your organization.



Financial compliance with CAS

Use CAS to automate your organization's financial compliance commitments.

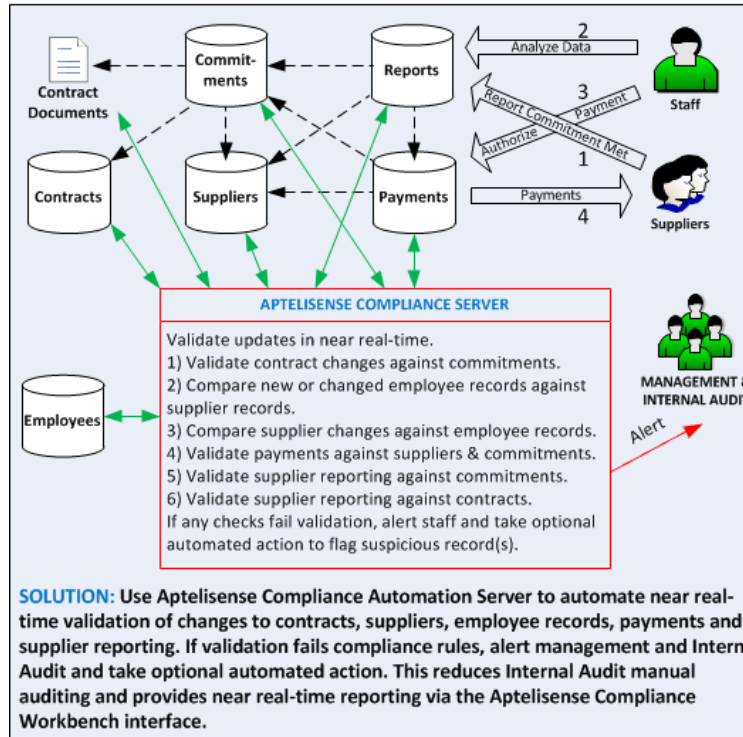
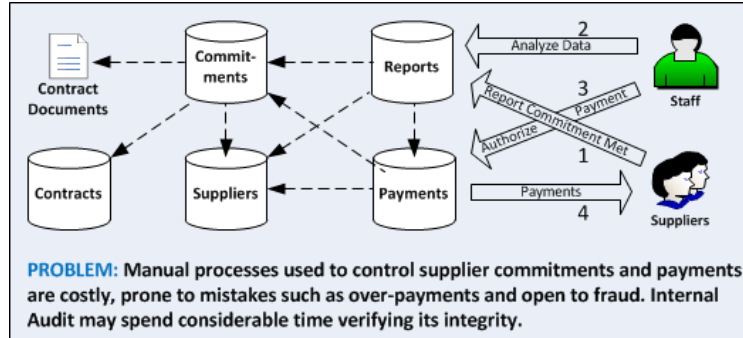
CAS provides full monitoring and enforcement rather than just pretty Sarbanes-Oxley compliance reports!



Contract management with CAS

Use CAS to automate live enforcement of your organizations contract management process.

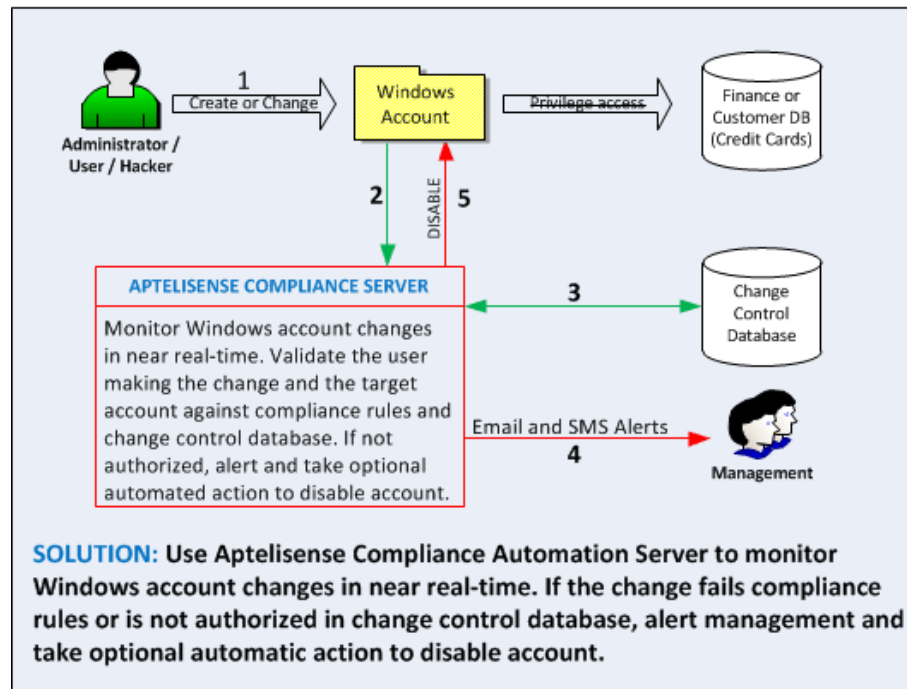
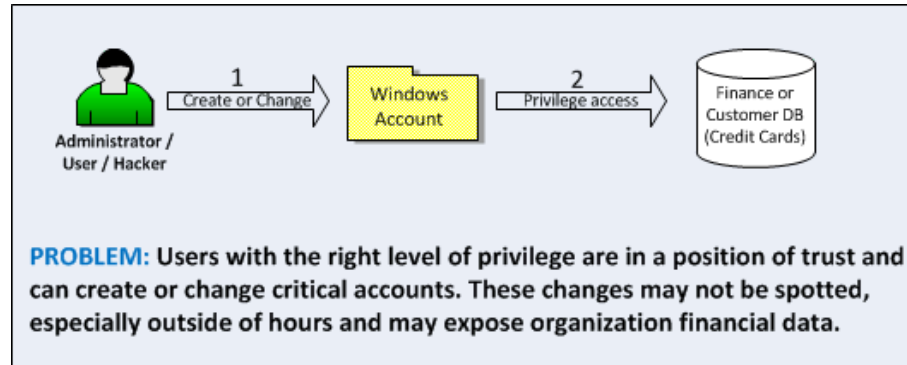
Reduce the risk of fraud and ensure consistency of outcomes.



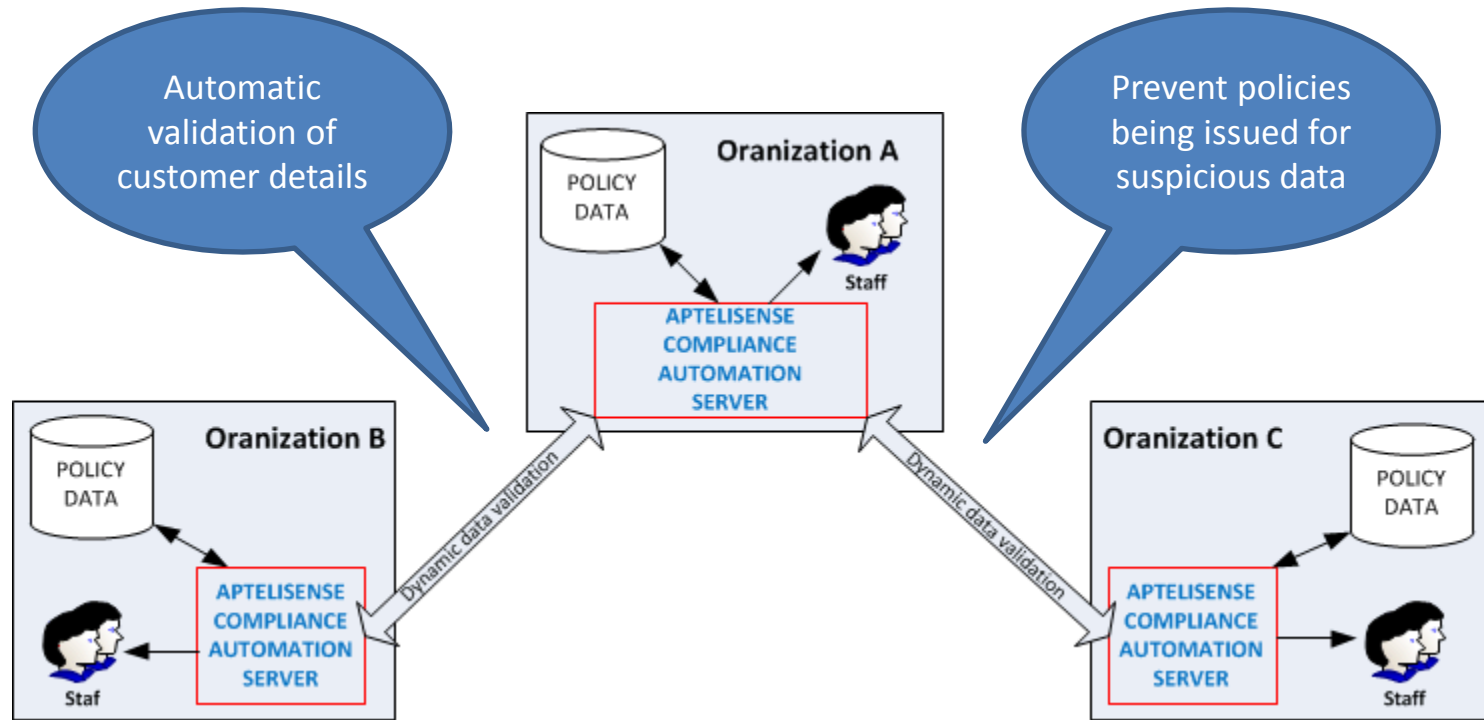
Security with CAS

Use CAS to stop rogue administrators or staff from exposing your organization to fraud and embarrassment.

CAS can monitor and validate your Windows events within minutes.



Organization to organization



CAS can be securely networked together using CAS to CAS dynamic queries (one CAS can pass data at any point to another CAS for further testing and receive the result). These queries can be chained through multiple CAS instances.

Alert response and analysis

Aptelisisense
ENTERPRISINGLY SMART SOFTWARE

Compliance Automation Server

PRODUCT LICENSE | HELP | SUPPORT | LICENSE AGREEMENT

Alerts Network Support

Alert	Created	Impact	Reactor	Resent	Prior	Since	Action	Receivers	Status	Updated	Modifier	Description	History
23	2011-08-01	Severe	ValidateE	0	0	0	None	steveauth;	Review	2011-08-01	davido	Purchase order details	[davido : 2011-08-02 16:54:39] This is under review
24	2011-08-01	Medium	ValidateE	0	1	1	None	steveauth;	Investi	2011-08-01	davido	An Employee bank ac	[davido : 2011-08-02 16:55:04] This is under investigation - shouldn't happen
25	2011-08-01	Medium	ValidateE	0	1	1	None	steveauth;	Investi	2011-08-01	davido	An employee phone n	[davido : 2011-08-02 16:55:20] This is also under investigation!
26	2011-08-01	Medium	ValidateE	0	0	1	None	steveauth;	Fixed	2011-08-01	davido	Supplier phone numb	[davido : 2011-08-02 16:57:44] Supplier wife works for us and specified the same num
27	2011-08-01	Medium	ValidateE	0	2	0	None	steveauth;	Suspici	2011-08-01	davido	An Employee bank ac	[davido : 2011-08-02 16:56:43] Case closed - suspicious - employee action taken
28	2011-08-01	Medium	ValidateE	0	1	0	None	steveauth;	Suspici	2011-08-01	davido	Supplier bank account	[davido : 2011-08-02 16:56:57] Case closed - suspicious - employee action taken - lin

AlertID: 23 Created: 2011-08-01 22:52:42
Impact: Severe Prior: 0 Since: 0
Receivers: steveauth;davido Updated: 2011-08-01 22:54:40 By: davido
Description: Purchase order details failed to match any defined suppliers
Response:

Change Alert Status:
 Under REVIEW
 Under INVESTIGATION
 Close as FIXED
 Close as UNKNOWN
 Close as SUSPICIOUS

For a Reactor: Type: Alerts by Status Category: All

Mouse Tips: Network Zoom: Time Scale: Logoff Change Password User: davido Role: analyst Mode: Test Connected to: test-server.aptelisisense.com

Automatic fraud detection across alerted data

Alerts require response from Authorizer or Analyst users

Aptelisisense
ENTERPRISINGLY SMART SOFTWARE

Compliance Automation Server

PRODUCT LICENSE | HELP | SUPPORT | LICENSE AGREEMENT

Alerts Network Support

Network diagram showing nodes (users, devices, locations) connected by lines. Some nodes are highlighted in red, indicating suspicious events.

Alert 27
Event: 27
Date: 2011-07-07
Time: 18:19:16
Category: Account
Type: Checking
Detail: 400001
(Double click Node to see associated Events)

Mouse Tips: Network Zoom: Time Scale: Logoff Change Password User: davido Role: analyst Mode: Test Connected to: test-server.aptelisisense.com Status: UP Print

Suspicious events highlighted in red

Configuration update control

PRODUCT LICENSE | HELP | SUPPORT | LICENSE AGREEMENT

COMPLIANCE SERVER POLICY

Network | Date & Time | License | Proxy | Accounts | Authorization | Alerts

Change Authorization Policy Configuration Panel

Order	Userid	Role	Description
2	madge	authorizer	Authorizer
1	steveh	authorizer	Authorizer
	barryw	authorizer	authorizer.

Minimum number of authorizers: Refresh

Minutes to wait before escalating an authorization:

Which of the following configuration changes require authorization (when running in Production mode):

- User changes: Add Delete Update

- All other changes: Add Delete Update Save

Start Stop Restart Pause Shutdown

NOTE: Authorization requests are sent as a type of Alert using the server configuration values on the Alerts panel.

Can configuration objects be updated while they are in use by other objects:

Yes

NOTE: The default is no. Setting this to 'yes' will allow you to modify (update) objects that are in use but will change the status of the object to non-live. The configuration must be saved to push it back as live. If you require to delete an object which is in use, you will have to remove the dependency first.

Advanced authorisation control over any configuration change

Server Message

Request to stop Collector:
'WindowsSecurityEvents' is currently waiting on authorization ticket: 10

OK

Changes can require authorisation if configured

You can authorise or reject any change before they go live

Ticket: 10 Created: 2011-03-15 02:59:06 Start: End:

Type: EARIP Status: In progress

Requester: steve Updated:

Reason: user: steve is attempting to Stop a Collector object named: WindowsSecurityEvents

Response: There is no change control for this - rejected!

Cancel Authorize Reject Update Selection Criteria: Open Refresh

Simple and intuitive to use

Open Alerts

Alert	Created	Impact	Reactor	Description
25	2011-08-	Medium	ValidateEmployee	An employee phone number matched
24	2011-08-	Medium	ValidateEmployee	An Employee bank account matched a
23	2011-08-	Severe	ValidateEmployee	Purchase order details failed to match

Reactor Alert and Event Activity

ValidateSupplier, ValidatePurchaseOrder, ValidateEmployee

Server Resource Utilization

Top 10 Reactors By Activity

Reactor	Alerts	Events
ValidateEmployee	3	3
ValidateSupplier	2	2
ValidatePurchaseOrder	1	1
ValidateInvoice	0	0
SecurityAccountChanger	0	0

PRODUCT STATUS: User: admin, Role: admin, Mode: Test, Connected to: test-server.aptelisense.com, Status: UP

Simple and clear reporting with easy to understand alerting in real-time.

Alerts Associated with Reactor: ValidateEmployee

Alert	Created	Impact	Resent	Prior	Since	Action	Receivers	Status	Updated	Modifier	Description	Response
24	2011-08-	Medium	0	0	2	None	steveauth;	Investig	2011-08-	davido	An Employee bank ac	
25	2011-08-	Medium	0	1	1	None	steveauth;	Investig	2011-08-	davido	An employee phone r	

Click to cancel this panel

Display only open alerts?

Every field has optional mouse help tips

Compliance Automation Server

Expose fraud in live data instantly without adding risk

Installs in minutes, configured
in hours, productive in days

Aptelisense.com

sales.enquiry@aptelisense.com