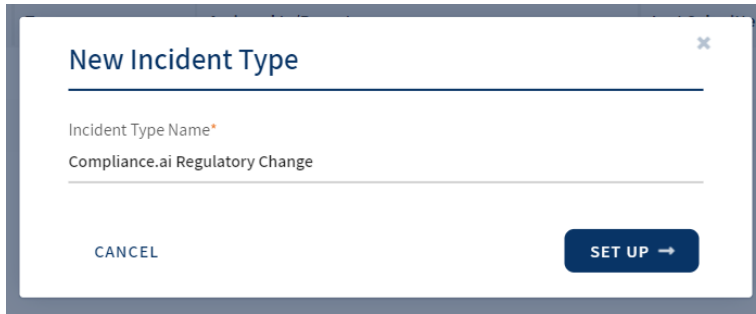


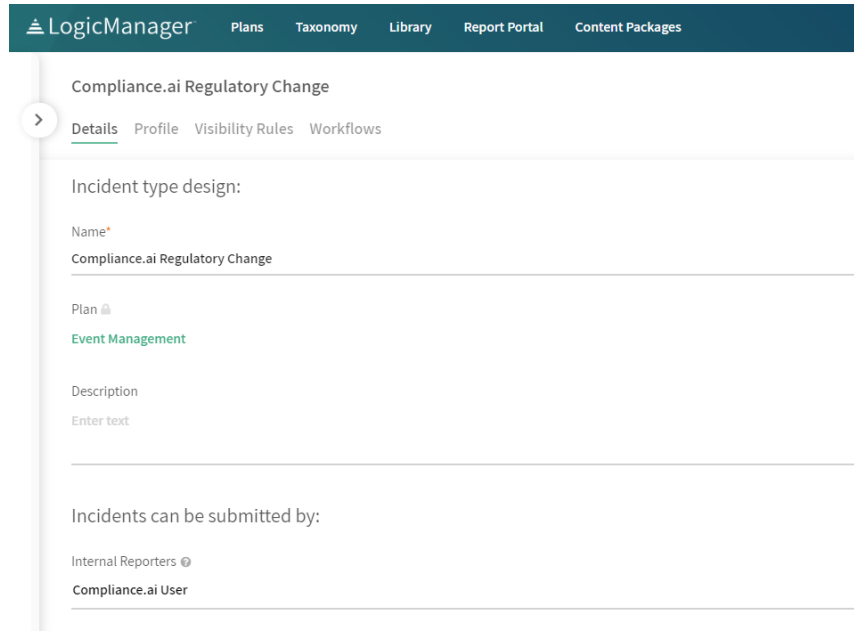
Compliance.ai & LogicManager Setup

LogicManager Setup - By Client

1. **Create Incident Type:** Create a new Incident Type with the name of the incident/event that you will use to capture the Compliance.ai regulatory intelligence (such as 'Compliance.ai Regulatory Change')
 - a. It is recommended to create a Test Incident and go through each of these steps through LogicManager and Compliance.ai
 - b. Once the Test application is working and confirmed, repeat the steps for the Live application



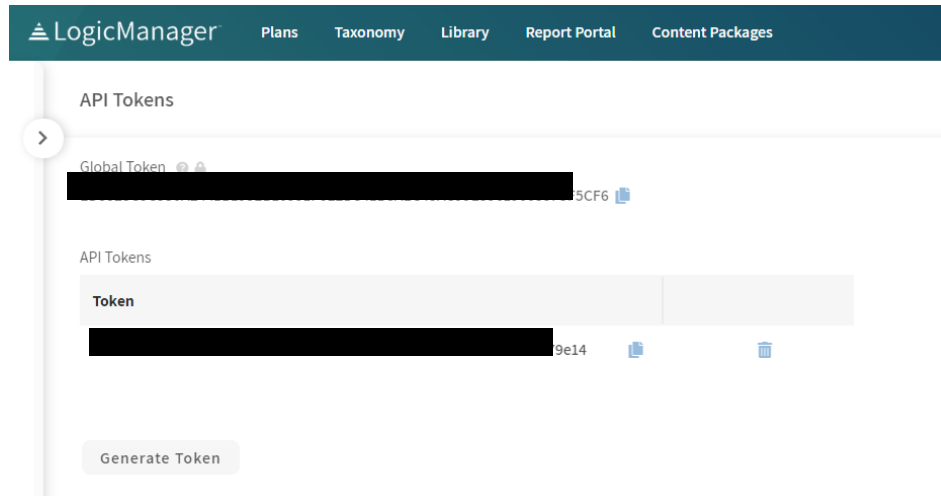
2. **Configure Service Account:** Establish or select a user account that will be used to create compliance.ai incidents (the "Service Account"). This account must be an active user.
 - a. In the Incident Type Details, ensure the Service Account is selected under 'Internal Reporters' as either an individual user or as a member of a group.
 - b. Optionally, select the workflow, assignments, and notifications for this Incident Type, which will execute when regulatory intelligence is received from Compliance.ai.



The screenshot shows the LogicManager interface. The top navigation bar includes 'LogicManager', 'Plans', 'Taxonomy', 'Library', 'Report Portal', and 'Content Packages'. The main content area is titled 'Compliance.ai Regulatory Change' and has tabs for 'Details', 'Profile', 'Visibility Rules', and 'Workflows'. The 'Details' tab is active, showing the 'Incident type design' section. This section includes a 'Name' field with the value 'Compliance.ai Regulatory Change', a 'Plan' dropdown menu set to 'Event Management', a 'Description' field with the placeholder 'Enter text', and an 'Incidents can be submitted by' section with 'Internal Reporters' and 'Compliance.ai User' as options.

3. **Configure Profile:** On the Profile tab, ensure the following fields are available. All fields must be enabled on the 'Reporter View' to be updated by Compliance.ai.
 - a. Default Fields
 - i. "Subject"
 - ii. "Description"
 - iii. "Reported On"
 - iv. "Due Date"
 - b. Custom Profile Fields: The following fields must be created.
 - i. "Name of Act": plain text.
 - ii. "List of agencies": plain text.
 - iii. "Type of document": plain text.
 - iv. "Code of Federal Regulations": plain text.
 - v. "Effective on date from document": date.
 - vi. "Date the document was published": date.
 - vii. "Name of Regulation": plain text.
 - viii. "Title of the document": plain text.
 - ix. "Topic Classification": plain text.
 - x. "URL of document (on Compliance.ai site)": plain text.
 - xi. "Brief": plain text.
 - xii. "Penalty": numeric.
 - xiii. "Doc ID": numeric.
 - c. Optionally, add any additional fields needed for the Incident Type.
4. **Generate API Tokens:** While logged into the Service Account, navigate to Configuration > API Tokens to generate a User Token for the Service Account. Share

the User ID, Authorization Tokens, API Version, Incident URL, Incident Type ID, Global Token, and User Token with Compliance.ai to enable the integration.

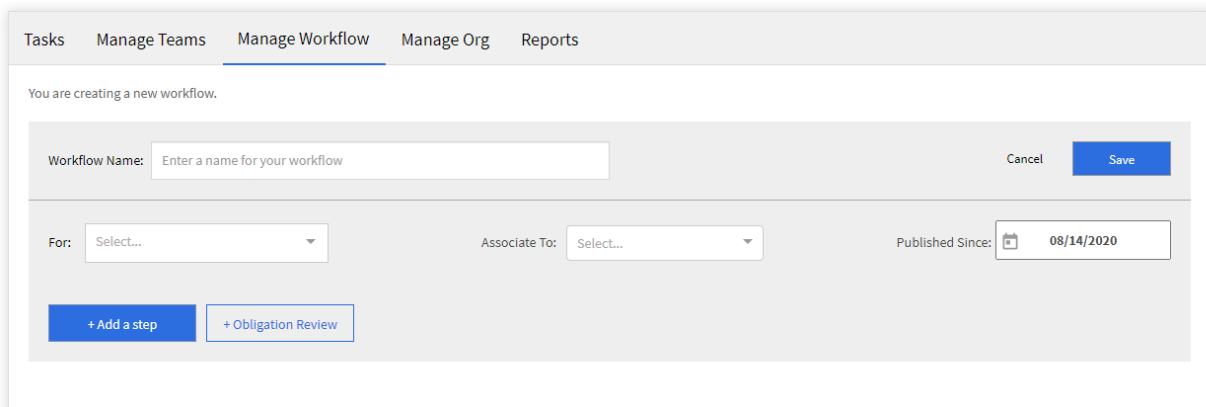


For any LogicManager setup issues, please reach out to your point of contact there.

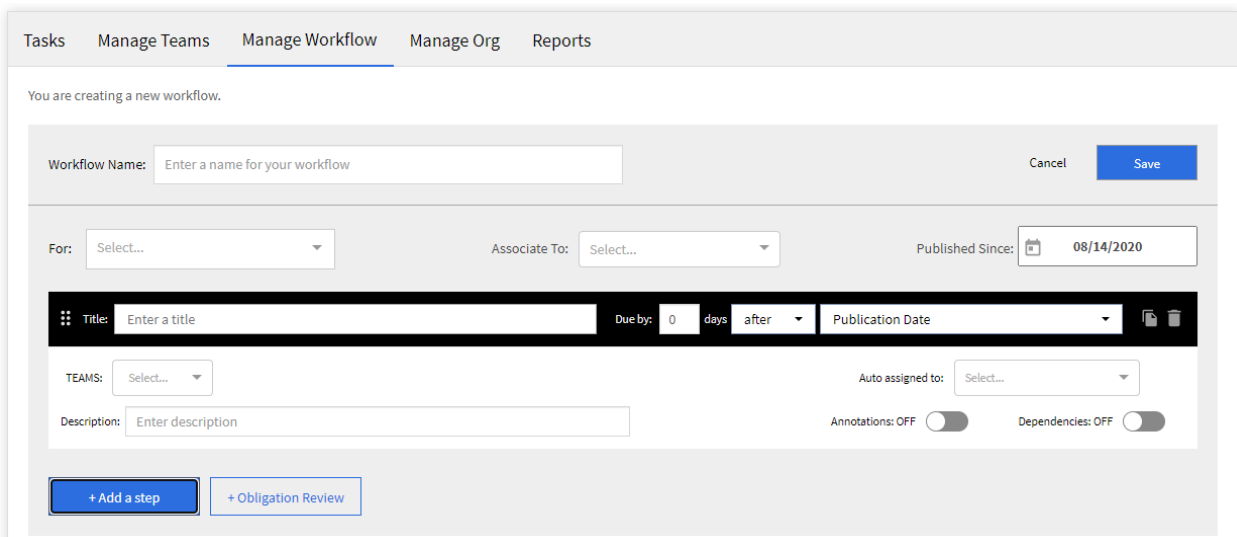
Compliance.ai Setup

See steps below to set up a workflow that pushes documents through Service Connector

- 1. Set up a Compliance.ai Alert:** Using Compliance.ai's [Basic and Advanced Search](#) capabilities to surface relevant content. The user can then set up [Alerts](#) for this curated view to notify them of any future documents that are published.
- 2. Set up Compliance.ai Service Connector Workflow:** Go to Compliance.ai's [Manage Workflow](#) section
 - Select "Add a New Flow" and select the "start from scratch" option.
 - Name the Service Connector Workflow
 - Select the Alert you want to push future content in the "For" section.
 - Next, Select a past date you would like the Service Connector to start from. (Note: You can only go far as 1 month back)



- 3. Create The Service Connector Workflow Step:** Select the "+Add a step" button and Fill out for the Following Fields:
- Title: Push to LogicManager
 - Auto assigned to: Select the Service Connector User Account, for example support+abc-sc@compliance.ai.



- 4. Save the Workflow:** Once done, any documents that are given tasks by this workflow will be published to LogicManager. **Note:** The cadence of the push is customizable and its default is once every 24 hours.

For any Compliance.ai setup issues, please contact support@compliance.ai

Review

Confirm the Documents are populated correctly into LogicManager

Note - any changes made on the LogicManager or Compliance.ai setup after the initial implementation may cause syncing issues with the integration

- If there are any changes that need to be made, please email both LogicManager and Compliance.ai

Notifications

NAME	SOURCE	NOTIFICATION TO	CREATION DATE
Proposed Rule Notification:'Good Faith Determinations of Fair Value'	Proposed Rule Notification:'Good Faith ...	Compliance AI	06/01/2020
Speech Notification:'Director Kraninger Remarks During National Associ...	Speech Notification:'Director Kraninger ...	Compliance AI	06/01/2020
Final Rule Notification:'Home Mortgage Disclosure (Regulation C)'	Final Rule Notification:'Home Mortgage ...	Compliance AI	06/01/2020
Notice Notification:'Fair Lending Report of the Bureau of Consumer Fina...	Notice Notification:'Fair Lending Report ...	Compliance AI	06/01/2020
Notice Notification:'Fair Lending Report of the Bureau of Consumer Fina...	Notice Notification:'Fair Lending Report ...	Compliance AI	06/01/2020
Final Rule Notification:'Regulatory Capital Treatment for High Volatility ...	Final Rule Notification:'Regulatory Capit...	Compliance AI	06/01/2020
Final Rule Notification:'Company-Run Stress Testing Requirements for F...	Final Rule Notification:'Company-Run St...	Compliance AI	06/01/2020
Final Order Notification:'Iverson Genetic Diagnostics, Inc. - S-14-1415-16...	Final Order Notification:'Iverson Genetic...	Compliance AI	06/01/2020
Press Release Notification:'Attorney General Becerra Urges Congress to ...	Press Release Notification:'Attorney Gen...	Compliance AI	06/01/2020
Enforcement Notification:'Walen, Justin Order Lifting Suspension'	Enforcement Notification:'Walen, Justin ...	Compliance AI	06/01/2020

Incidents > Regulatory Change Notifica... > AWCs (Letters of Acceptance...

AWCs (Letters of Acceptance, Waiver, and Consent) Notification:AWCs (Letters of Acceptance, Waiver, and Consent)'

Incident Details Profile References Related Tasks Documents

Compliance.ai

Subject:
AWCs (Letters of Acceptance, Waiver, and Consent) Notification:AWCs (Letters of Acceptance, Waiver, and Consent)'

Description:
AWCs (Letters of Acceptance, Waiver, and Consent) Publication:AWCs (Letters of Acceptance, Waiver, and Consent)'

Name of Act:
[]

List of agencies:
FINRA

Type of document:
AWCs (Letters of Acceptance, Waiver, and Consent)

Code of Federal Regulations:
[]

Effective on date from document:
mm/dd/yyyy

Date the document was published:
12/26/2019

Name of Regulation:
[]

Primary Regulation:
Select option

Secondary Regulation:
Select option(s)

Title of the document:

Project Plan

- to be completed by Client, Compliance.ai and LogicManager

	Steps	Responsibility	Estimated Completion Date	Individual	Vendor Escalation
1	Implement LogicManager	LogicManager			
2	Create Compliance.ai Service Account and Token	Client			
3	Implement Compliance.ai fields into LogicManager	LogicManager/Client			
4	Create the Compliance.ai Group in LogicManager	LogicManager/Client			
5	Create Compliance.ai Filters and Alerts in Compliance.ai platform	Client			support@compliance.ai
6	Set up Compliance.ai Service Connector Workflow	Client/Compliance.ai			support@compliance.ai
7	Test Compliance.ai Service Connector	Compliance.ai			support@compliance.ai
8	Troubleshoot	Compliance.ai/client /LogicManager			
9	Automate Service Connector	Compliance.ai			support@compliance.ai
10	Maintenance	Client			support@compliance.ai