

Click the ID card to view the
persona & the bottom ribbon will
take you to the prototype



Adam
Engagement Manager

PROTOTYPE



Christina
Analyst Manager

PROTOTYPE



Aaron
Analyst

PROTOTYPE



Sara
Quality Control

PROTOTYPE



Evan
Client's End Customer

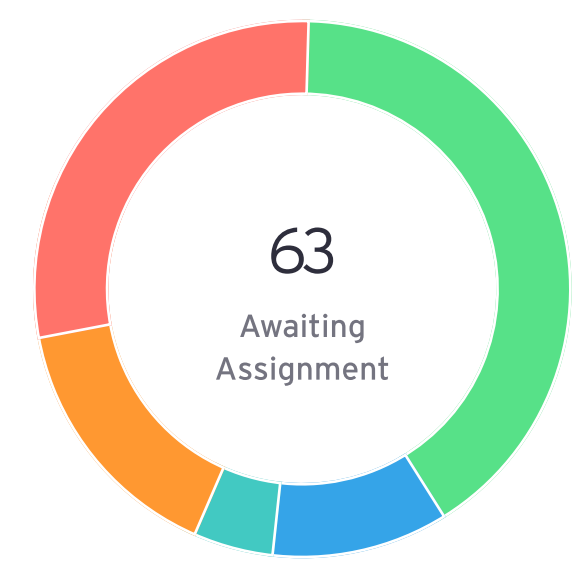


Ginni
Client - Relationship Mgr

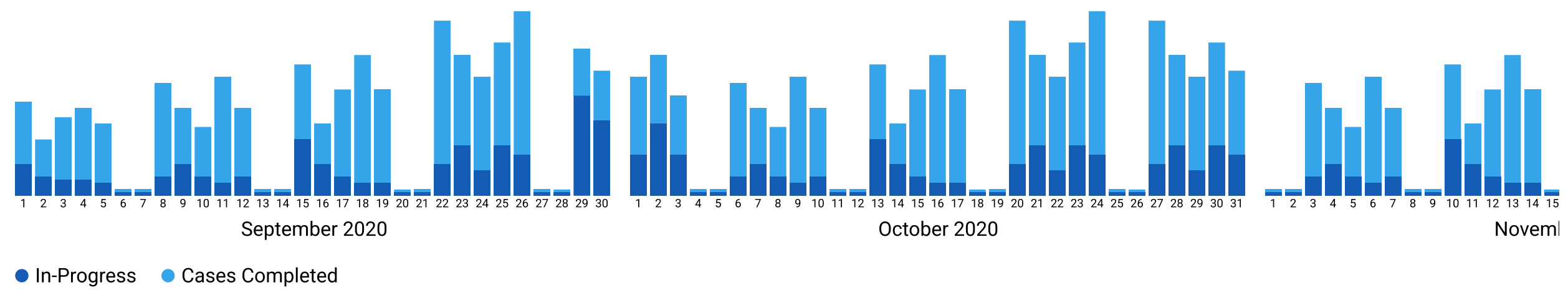
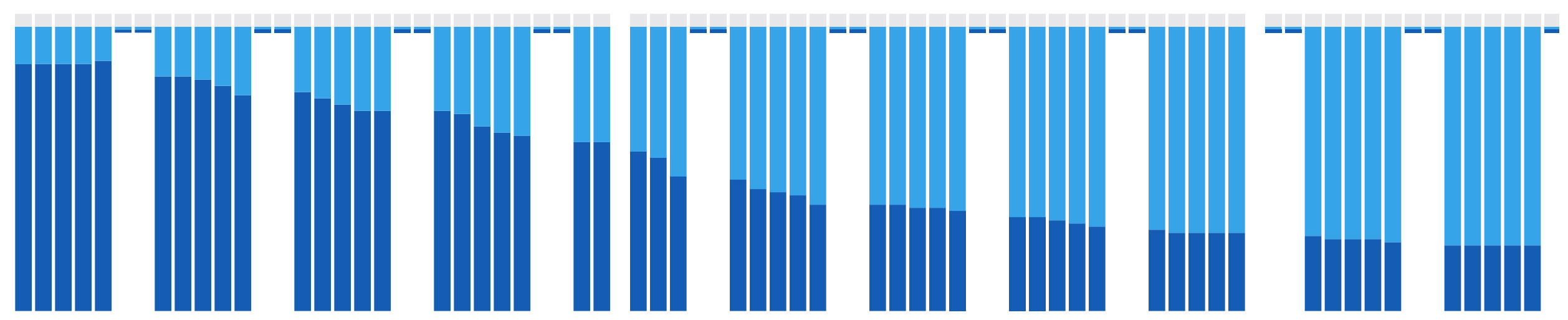
PROTOTYPE

Case Status

Filter By Date Oct 2021 Dec 2021



Cases Descope Cases Completed Cases Remaining



Cases All Columns Save View FAST FILTERS: All My Cases Search... Export

| Status | Case Type | Case # | Customer Name | Case Currently With | Started | Aging | Last Modified | Risk Score | Red Flags |
|---|---------------|---------------|-----------------------------|---------------------|-----------|------------------|---------------|------------|-----------|
| In-Progress 7/19/2022 11:29UTC | KYC | 1234567890123 | Jiaxing Layo Import and ... | Aaron Jones | 6/30/2022 | 20 days On Track | Jerome Bell | Medium | 2 |
| In-Progress 7/19/2022 11:29UTC | Investigation | 1234567890123 | BRAVO INTERNATIONAL ... | Aaron Jones | 6/20/2022 | 30 days On Track | Jerome Bell | High | 14 |
| In-Progress 7/19/2022 11:29UTC | Investigation | 1234567890123 | NANTONG(JINQI)TRADE | Aaron Jones | 7/10/2022 | 10 days At Risk | Jerome Bell | Medium | 1 |
| Not Started 7/19/2022 11:29UTC | Investigation | 1234567890123 | HARVEY LLC | Aaron Jones | 7/5/2022 | 5 days At Risk | Jerome Bell | low | |
| Awaiting Outreach 7/10/2022 10:29UTC | Investigation | 1234567890123 | PASENTI CONCRETE | Aaron Jones | 6/30/2022 | 24 days On Track | Jerome Bell | Medium | 2 |
| Completed 7/19/2022 11:29UTC | Investigation | 1234567890123 | MITANI MICRONICS CO | Aaron Jones | 6/30/2022 | 0 days Off Track | Jerome Bell | Low | |
| Awaiting Outreach 7/22/2022 11:29UTC | Investigation | 1234567890123 | ARIBA INFOSYSTEM | Aaron Jones | 6/30/2022 | 20 days On Track | Jerome Bell | High | 8 |

Case List > Case # SAS6624012_1118

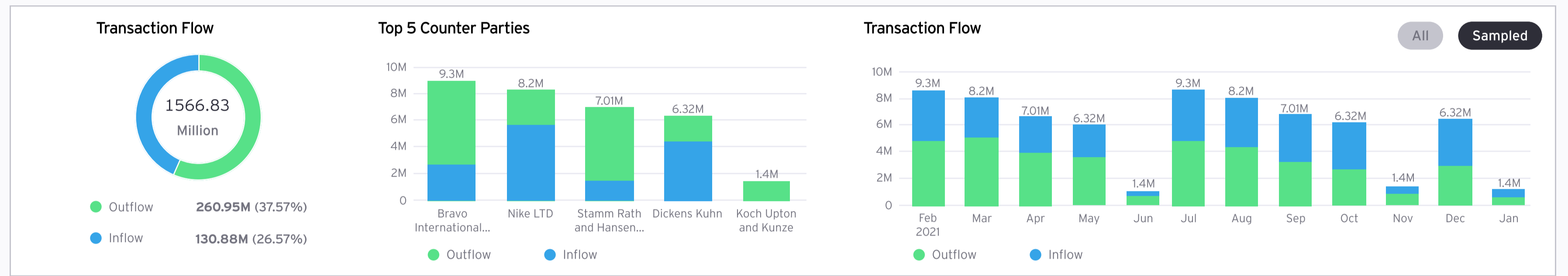
Case ID: SAS6624012_1118 | Case Type: Application | Raw Data File: SAS6624012_1118.xlsx | Due Date: 01/15/2022 | Assigned Date: 12/05/2021 | Case Status: In-Progress | Case Currently With: Vigneshwaran Sooriyamoorthy

Focal Party: Jiaxing Layo Import and Export Group Co LTD | Risk Score: 73 Medium | Tags: Tag 1

Case Overview | **Transaction Review** | Party Selection | Due Dilligence | Narrative | SAR | Comments | Audit History

Transaction Coverage | **Counter Party Coverage** | **Scenario Coverage**

| | | | | | | | | | |
|--------------------------------------|--|----------------------------------|-------------------------------------|---------------------------|----------------------------------|-----------------------------|---|--------------------------------|--------------------------------------|
| Total Transaction Value: \$1,000,000 | Sampled Value & Percent: \$900,000 90% | Total Transaction Volume: 10,000 | Sampled Volume & Percent: 9,000 90% | Total Counter Parties: 10 | Sampled Counter Parties: 10 100% | High Risk Activity: Covered | Turnover of Loans Covered Previous Month: Covered | High Risk Country: Not Covered | Payment Exceeds Installment: Covered |
|--------------------------------------|--|----------------------------------|-------------------------------------|---------------------------|----------------------------------|-----------------------------|---|--------------------------------|--------------------------------------|



Transactions | Inflow/OutFlow View | Save View | Show Hidden | Search... | Export

| TXN ID | Alerted Scenario | TXN Date | TXN Amount | TXN Type | Originator | Originator Account | Beneficiary | Sample Rank | Red Flags |
|---------|------------------------------------|---------------------|------------|----------|---|--------------------|---|-------------|-----------|
| 6623498 | Round Amount Activity - OrigBene - | 2020-12-18 06:00:00 | 100000.0 | COV | Jiaxing Layo Import and Export Group Co LTD | 1234567890123 | NANTONG TRADE | 21 | 8 |
| 6623498 | Round Amount Activity - OrigBene - | 2020-12-18 06:00:00 | 100000.0 | COV | NANTONG TRADE | 1234567890123 | Jiaxing Layo Import and Export Group Co LTD | 7 | 4 |
| 6623498 | Round Amount Activity - OrigBene - | 2020-12-18 06:00:00 | 100000.0 | COV | Jiaxing Layo Import and Export Group Co LTD | 1234567890123 | MINO GROUP | 24 | 2 |
| 6623498 | Round Amount Activity - OrigBene - | 2020-12-18 06:00:00 | 100000.0 | COV | Jiaxing Layo Import and Export Group Co LTD | 1234567890123 | NANTONG JINQI CO | 12 | 1 |
| 6623498 | Round Amount Activity - OrigBene - | 2020-12-18 06:00:00 | 100000.0 | COV | NIKE LTD | 1234567890123 | Jiaxing Layo Import and Export Group Co LTD | 22 | |
| 6623498 | Round Amount Activity - OrigBene - | 2020-12-18 06:00:00 | 100000.0 | COV | Jiaxing Layo Import and Export Group Co LTD | 1234567890123 | MITANI MICRONICS LTD | 18 | |

Case List > Case # SAS6624012_1118

Case ID: SAS6624012_1118 | Case Type: Application | Raw Data File: SAS6624012_1118.xlsx | Due Date: 01/15/2022 | Assigned Date: 12/05/2021 | Case Status: In-Progress | Case Currently With: Vigneshwaran Sooriyamoorthy

Focal Party: Jiaxing Layo Import and Export Group Co LTD | Risk Score: 73 Medium | Tags: Tag 1

Case Overview | Transaction Review | Party Selection | Comments | Audit History

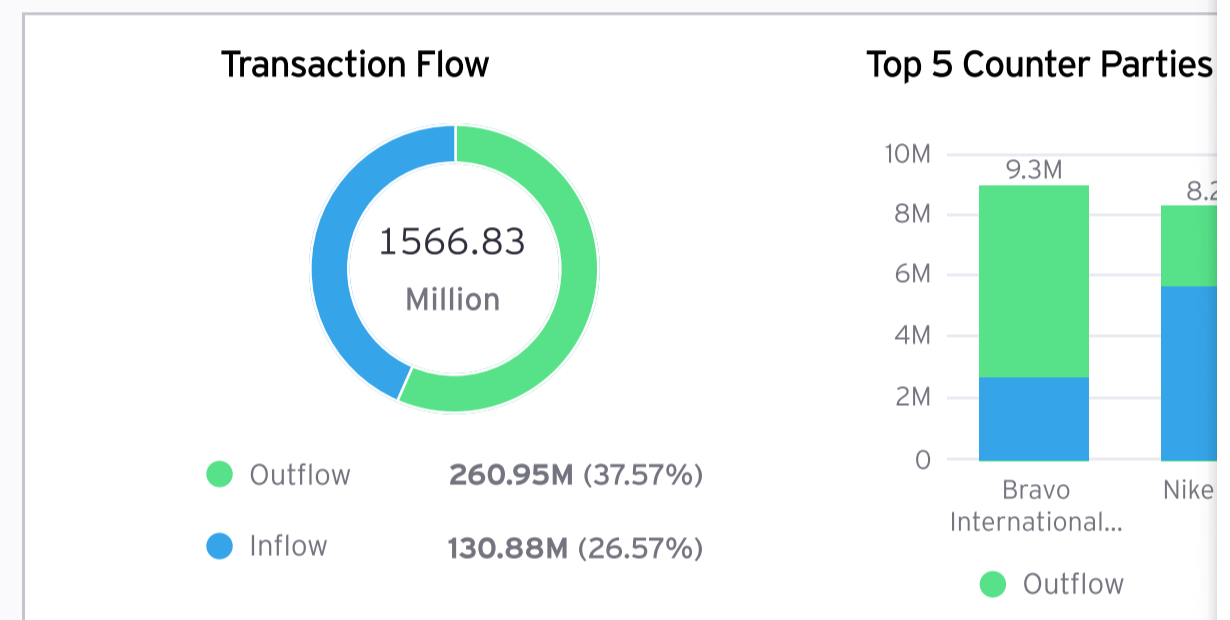
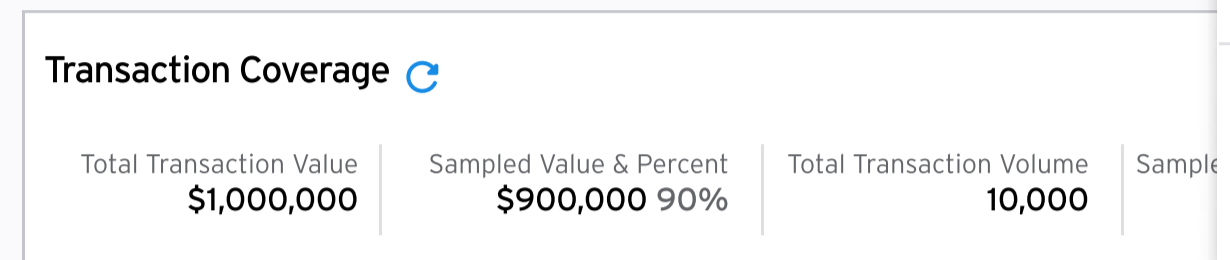


Table with columns: TXN ID, Alerted Scenario, TXN Date. Contains 7 rows of transaction data.

Risk Information modal window. Includes: Initial risk Rating Low 48, Calculated risk Rating Medium 73, Override Risk Rating dropdown, rich text editor, Override Risk Rating Rational (required) field, Risk Factors table, and Save/Cancel buttons.



Risk Factors table with columns: Risk Factor, Highest Risk Field, Value of Field, Risk Rating. Contains 5 rows of risk factor data.



Table with columns: Party, Sample Rank, Red Flags. Contains 5 rows of party risk data.

Case List > Case # SAS6624012_1118

Case ID: SAS6624012_1118 | Case Type: Application | Raw Data File: SAS6624012_1118.xlsx | Due Date: 01/15/2022 | Assigned Date: 12/05/2021 | Case Status: In-Progress | Case Currently With: Vigneshwaran Sooriyamoorthy

Focal Party: [Jiaxing Layo Import and Export Group Co LTD](#) | Risk Score: 73 Medium | Tags: Tag 1 | [Export](#) | [Open RFI](#) | [Link Cases](#) | [Merge Cases](#) | [Documents](#) | [Narrative](#)

Case Overview | Transaction Review | **Party Selection** | Due Dilligence | Narrative | SAR | Comments | Audit History

Parties FAST FILTERS: All Sampled + Add Party Export

| Party | Total TRN Amount | Total TRN Volume | Red Flags | Negative News | RDC | LexisNexis | Last Narrative Addition |
|--|------------------|------------------|-----------|---------------|------------|------------|-------------------------|
| — Focal Party | | | | | | | |
| <input checked="" type="checkbox"/> JIAXING LAYO IMPORT AND EXPORT GROUP | 100000.0 | 100000.0 | 8 | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |
| — Counterparty | | | | | | | |
| <input checked="" type="checkbox"/> NANTONG TRADE | 100000.0 | 100000.0 | 4 | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |
| <input checked="" type="checkbox"/> MINO GROUP | 100000.0 | 100000.0 | 2 | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |
| <input checked="" type="checkbox"/> MITANI MICRONICS LTD | 100000.0 | 100000.0 | 2 | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |
| <input checked="" type="checkbox"/> NIKE LTD | 100000.0 | 100000.0 | 2 | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |
| <input checked="" type="checkbox"/> BRAVO INTERNATIONAL | 100000.0 | 100000.0 | 2 | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |
| <input checked="" type="checkbox"/> NANTONG CHUANSHUO FASHION | 100000.0 | 100000.0 | 2 | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |
| — Related Parties + Add Party | | | | | | | |
| <input checked="" type="checkbox"/> ARIN JOHNSON JR | 100000.0 | 100000.0 | 1 | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |
| <input checked="" type="checkbox"/> NANTONG JINQI CO | 100000.0 | 100000.0 | | 2020-12-18 | 2020-12-18 | 2020-12-18 | 2020-12-18 |

Case List > Case # SAS6624012_1118

| | | | | | | | | |
|----------------------------|--------------------------|---------------------------------------|------------------------|-----------------------------|----------------------------|--|--------|--------|
| Case ID SAS6624012_1118 | Case Type Application | Raw Data File SAS6624012_1118.xlsx | Due Date 01/15/2022 | Assigned Date 12/05/2021 | Case Status In-Progress | Case Currently With Vigneshwaran Sooriyamoorthy | Select | Submit |
|----------------------------|--------------------------|---------------------------------------|------------------------|-----------------------------|----------------------------|--|--------|--------|

Focal Party: [Jiaxing Layo Import and Export Group Co LTD](#) Risk Score: 73 Medium Tags: Tag 1

Export Open RFI Link Cases Merge Cases Documents Narrative

- Case Overview
- Transaction Review
- Party Selection
- Due Dilligence** 9
- Narrative
- SAR
- Comments
- Audit History

A JOHNSON + Add Party

A JOHNSON (Related Party, Selected)
 895 Church Road, Des Plaines, Charleston, SC 63452,, US
 +1 555 555 5555
 Drivers License #
contact@mail.com

Aliases: JIAXING LAYO

Search Criteria

- Negative News (CI via Bing) Filter Last Search:10/12/2002 Articles from: 08/312021 to 12/20/2022 Location: CN
- Negative News (RDC) Last Search:10/12/2002
- Lexis Nexis Last Search:10/12/2002

Search

- Negative News (CI via Bing)**
- Negative News (RDC)
- Lexis Nexis
- Facitiva

| Article Score | |
|--|------------------------------|
| Total Overall Score 42.88% | Links Returned 138 |
| Links after Filter 4 | |
| 19 Aug 2020 | Article Score: 52.25% |
| Former Johnson County daycare employee charged in abuse case | |
| 09 JUN 2021 | Article Score: 33.05% |
| Sixth lawsuit filed in deaths at West Virginia VA hospital | |
| 02 Aug 2021 | Article Score: 31.44% |
| Live Ventures Incorporated, JanOne Inc. (f/k/a Appliance Recycling Centers of America, Inc.), John Isaac a/k/a Jon Isaac, Kingston Diversified Holdings LLC, and Virland A. Johnson (Release No. LR-25155; Aug. 3, 2021) | |
| 16 NOV 2020 | Article Score: 30.15% |
| Family ask police to drop murder charge against Lasondra Johnson, claim self defense | |

Sixth lawsuit filed in deaths at West Virginia VA hospital (52.25%) + Add to Narrative

<https://www.militarytimes.com/veterans/2020/08/20/sixth-lawsuit-filed-in-deaths-at-west-virginia-va-hospital/>

Published: 19 Aug 2020
Top Search Term(s): Murder

Key Findings:

- A federal lawsuit was filed Wednesday in the July 2018 death of Russell R. Posey Sr. at the Louis A. Johnson VA Medical Center in Clarksburg.
- This photo released July 14, 2020, by the West Virginia Regional Jail and Correctional Facility Authority shows Reta Mays, a former nursing assistant at the Louis A. Johnson VA Medical Center in Clarksburg, W.Va. (West Virginia Regional Jail and Correctional Facility Authority via AP) It is not clear whether Mays admitted a connection to Posey's death.
- But in addition to her second-degree murder pleas, she also pleaded guilty to one count of assault with intent to commit murder involving the death of "veteran R.R.P." – Posey's initials.

Article Summary:
CHARLESTON, W.Va. – A sixth lawsuit has been filed involving the sudden deaths of patients at a West Virginia veterans hospital where a former nursing assistant admitted to intentionally killing seven people with fatal doses of insulin.RELATED A fourth lawsuit has been filed involving the sudden deaths of patients at a West Virginia veterans hospital where a former nursing assistant admitted giving them wrongful insulin injections.This photo released July 14, 2020, by the West Virginia Regional Jail and Correctional Facility Authority shows Reta Mays, a former nursing assistant at the Louis A. Johnson VA Medical Center in Clarksburg, W.Va. (West Virginia Regional Jail and Correctional Facility Authority via AP) It is not clear whether Mays admitted a connection to Posey's death.

Case List > Case # SAS6624012_1118

| | | | | | | | | |
|----------------------------|--------------------------|---------------------------------------|------------------------|-----------------------------|----------------------------|--|---------------|--------|
| Case ID SAS6624012_1118 | Case Type Application | Raw Data File SAS6624012_1118.xlsx | Due Date 01/15/2022 | Assigned Date 12/05/2021 | Case Status In-Progress | Case Currently With Vigneshwaran Sooriyamoorthy | Recommend SAR | Submit |
|----------------------------|--------------------------|---------------------------------------|------------------------|-----------------------------|----------------------------|--|---------------|--------|

Focal Party: [Jiaying Layo Import and Export Group Co LTD](#) Risk Score: 73 Medium Tags: Tag 1 Export Open RFI Link Cases Merge Cases Documents Narrative

- Case Overview
- Transaction Review
- Party Selection
- Due Dilligence
- Narrative**
- SAR
- Comments
- Audit History

Narrative A Export

B *I* U ~~S~~ Size Font Size Align List Link Image Attachment

SAS Case 6624012 is recommended for (no further action/ escalation to L2 for further review). The case was generated in December 2020 on the case entity, JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD (External Party/Customer Number: 1234567) for activity that occurred in December and January 2020 and 2021. The focal entity of this review is JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD. The focal entity (is/is not) a customer of ABC Bank New York, Chicago, or Los Angeles. This case includes one (1) alert(s): 6623498, which triggered for the following scenarios:

1. Round Amount Activity - OrigBene - BTMY9004PG
 Between December 04, 2020 and January 18, 2021, conducted forty-five (45) transactions for the total amount of USD 3,502,000.00 with twenty-two (22) unique counterparties. seven (7) counterparties were sampled due to the following risk factors: High Transaction Value Amount, Repeated Transaction Amounts, Transacting Round Dollar Amounts. The sampled counterparties engaged in twenty-four (24) transactions totaling USD 2,470,000.00 or 70.53% of- the total transaction value during the alerting month. Given that the sample selection covers the alerting scenarios and consists of a significant portion of the review periods activity, no additional counterparties were sampled. ABC Bank New York was an [ORIGINATING/INTERMEDIARY CLEARING/BENEFICIARY] bank in the reviewed activity.

JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD is located in Japan and banking in Japan, _____, the United States of America. In addition to transacting with numerous counterparties, the focal party also engaged in one (1) intraparty wire transfers totaling USD 50,000.00. Per open source searches, JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD engages in [INSERT BUSINESS DESCRIPTION]. An RDC search for adverse media/PEPs/sanctions returned [INSERT RESULTS]. Actimize and SAS searches did not identify any/identified number (X) prior SAR filings for the focal entity. [If prior SARs identified, include summary of findings]

A detailed analysis of the seven (7) sampled counterparties, and their associated transactions, is summarized below:

A JOHNSON, is located in _____, the United States of America and banking in the United States of America. The counterparty A JOHNSON, remitted two (2) wire transfer(s) to the focal entity totaling USD 630,000.00. Additional wire details included, [Insert transaction details from additional message info] as the business purpose for the alerted wire transfer(s). This counterparty was selected for review due to the following risk factors: High Transaction Value Amount, Transacting Round Dollar Amounts. Per open source searches, A JOHNSON engages in [INSERT BUSINESS DESCRIPTION]. An RDC search for adverse media/PEPs/sanctions returned [INSERT RESULTS].

Actimize and SAS searches did not identify any/identified (number X) prior SAR filings for the counterparty under review. [If prior SARs identified, include summary of findings].
 An RFI search was performed and [INSERT RESULTS].

AMELIA JOHNSON, is located in _____, the United States of America and banking in the United States of America. The counterparty AMELIA JOHNSON, remitted two (2) wire transfer(s) to the focal entity totaling USD 620,000.00. Additional wire details included, [Insert transaction details from additional message info] as the business purpose for the alerted wire transfer(s). This counterparty was selected for review due to the following risk factors: High Transaction Value Amount, Transacting Round Dollar Amounts. Per open source searches, AMELIA JOHNSON engages in [INSERT BUSINESS DESCRIPTION]. An RDC search for adverse media/PEPs/sanctions returned [INSERT RESULTS].

Actimize and SAS searches did not identify any/identified (number X) prior SAR filings for the counterparty under review. [If prior SARs identified, include summary of findings].
 An RFI search was performed and [INSERT RESULTS].

- Dashboard
- All Cases
- Task List 3
- Recent Cases
- Pinned Cases
- Manage Users
- Manage Roles
- Configure Client

Case List > Case # SAS6624012_1118

| | | | | | | | | |
|-----------------|-------------|----------------------|------------|---------------|-------------|-----------------------------|--------|--------|
| Case ID | Case Type | Raw Data File | Due Date | Assigned Date | Case Status | Case Currently With | Select | Submit |
| SAS6624012_1118 | Application | SAS6624012_1118.xlsx | 01/15/2022 | 12/05/2021 | In-Progress | Vigneshwaran Sooriyamoorthy | | |

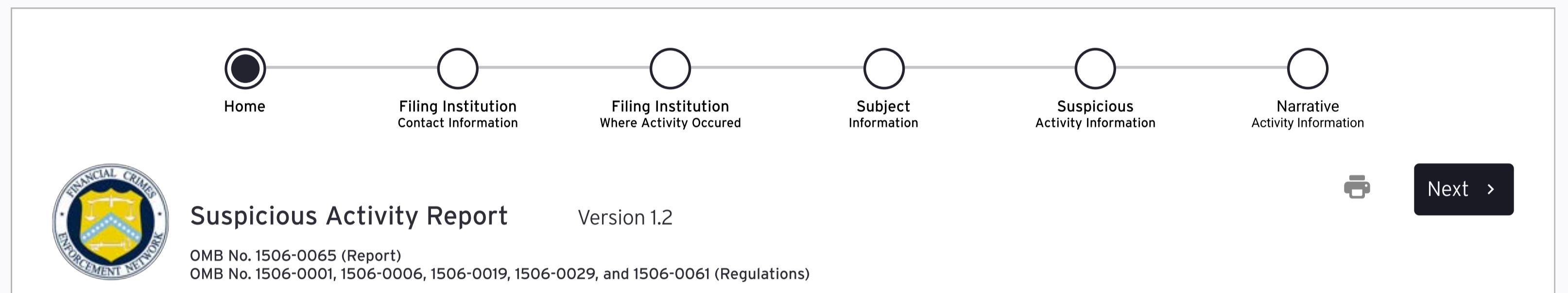
Focal Party: [Jiaying Layo Import and Export Group Co LTD](#)

Risk Score: 73 Medium

Tags: X Tag 1

Export | Open RFI | Link Cases | Merge Cases | Documents | Narrative

- Case Overview
- Transaction Review
- Party Selection
- Due Dilligence
- Narrative
- SAR**
- Comments
- Audit History



Filing Instructions:

1. Complete the report in its entirety with all requested or required data known to the filer.
2. Click "Validate" to ensure proper formatting and that all required fields are completed.
3. Click "Sign with PIN" and enter your 8-digit PIN to electronically sign the report.
4. Click "Save" to save a local copy of the report.
5. Click "Print" (optional) to print a paper copy of the report for record keeping purposes.
6. Click "Submit" and go to your "Track Status" to confirm acceptance.

*Filing Name

*1. Type of Filing Initial Report Correct/Amend Prior Report Continuing Activity Report Joint Report

*Prior Report BSA Identification Number (BSA ID)

2. Filing Institution Note to FinCEN

Attachment Add Attachment

Case List > Case # SAS6624012_1118

Case ID: SAS6624012_1118 | Case Type: Application | Raw Data File: SAS6624012_1118.xlsx | VERSION: 15 | Due Date: 01/15/2022 | Assigned Date: 12/05/2021 | CASE STATUS: QC In-Progress | Case Currently With: Vigneshwaran Sooriyamoorthy | Select | Submit

Focal Party: [Jiaxing Layo Import and Export Group Co LTD](#) | Risk Score: 73 Medium | Tags: Tag 1 | Export | Open RFI | Link Cases | Merge Cases | Documents | Narrative

- Case Overview
- Transaction Review
- Party Selection
- Due Dilligence
- Narrative
- SAR
- Comments
- Audit History**

Audit History Case due 07/01/2022 Search... Export

| Version | Changed Date | Changed By | Status | Event | Changed Field | Old Value | New Value |
|-----------------------|--------------|-------------------------|----------------|---------------------|-----------------|--------------------------------------|--------------------------------|
| v15 | 12/04/2020 | greg.capece@ey.com | QC In-Progress | Added Related Partv | Originator Name | sam | joe |
| v14 | 12/03/2020 | greg.capece@ey.com | QC In-Progress | Added Related Partv | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| QC | 12/02/2020 | greg.capece@ey.com | QC In-Progress | | COMMENTS | | 5 |
| v13 | 12/01/2020 | tomasz.kowalowka@ey.com | L2 In-Progress | Transaction... | Originator Name | joe | sam |
| v12 | 12/01/2020 | greg.capece@ey.com | L2 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v11 | 12/01/2020 | greg.capece@ey.com | L2 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v10 | 12/01/2020 | greg.capece@ey.com | L2 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v09 | 12/04/2020 | greg.capece@ey.com | L2 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v08 | 12/04/2020 | greg.capece@ey.com | L2 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| L2 In-Progress | 12/04/2020 | greg.capece@ey.com | L2 In-Progress | | COMMENTS | | 2 |
| v07 | 12/04/2020 | greg.capece@ey.com | L1 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v06 | 12/04/2020 | greg.capece@ey.com | L1 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v05 | 12/04/2020 | greg.capece@ey.com | L1 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v04 | 16/04/2020 | greg.capece@ey.com | L1 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v03 | 14/04/2020 | greg.capece@ey.com | L1 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v02 | 12/04/2020 | greg.capece@ey.com | L1 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| v01 | 12/04/2020 | greg.capece@ey.com | L1 In-Progress | Transaction... | Originator Name | Jiaxong Layo Import and Export Group | Jiaxong Layo Import and Export |
| L1 In-Progress | 12/04/2020 | greg.capece@ey.com | L1 In-Progress | | COMMENTS | | 1 |

Case List > **Case # SAS6624012_1118**

| | | | | | | | | |
|----------------------------|------------------|---|--|-----------------------------|----------------------------|--|-----------------------|---------------|
| Case ID SAS6624012_1118 | Case Type KYC | Raw Data File SAS6624012_1118.xlsx | Due Date 01/15/2022 On Track | Assigned Date 12/05/2021 | Case Status In-Progress | Case Currently With Vigneshwaran Sooriyamoorthy | Select ▼ | Submit |
|----------------------------|------------------|---|--|-----------------------------|----------------------------|--|-----------------------|---------------|

Focal Party **Jiaxing Layo Import and Export Group Co LTD** Risk Score 73 Medium Tags: X Tag 1 +

Outreach Export Link Cases Merge Cases Documents Narrative

Case Overview
Customer Information
Related Party Review
Screening
Narrative
Comments
Audit History

Parties [+ Add Party](#) Export

| Party | Title | Ownership % | Date of Birth or Incorporation | Email | Tax ID | Last Screening |
|-------|-------|-------------|--------------------------------|-------|--------|----------------|
|-------|-------|-------------|--------------------------------|-------|--------|----------------|

Focal Party

| | | | | | | |
|--|-----------------|--|-----------|------------------------------|---------------------------|---------------------------|
| JIAXING LAYO IMPORT AND EXPORT GROUP | Registered Name | | 2-18-1965 | contact@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
|--|-----------------|--|-----------|------------------------------|---------------------------|---------------------------|

Related Parties [+ Add Party](#)

| | | | | | | |
|--------------------------------------|-------------------------|-----|-----------|---------------------------------|---------------------------|---------------------------|
| JIAXING LAYO IMPORTS | Tradestyle | | 2-18-1965 | contact@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Joseph Martinez | Chief Executive Officer | 0% | 2-18-1965 | jmartinez@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Hannah Graham | Chief Financial Officer | 0% | 2-18-1965 | hgraham@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Courtney Harper | Chief Operating Officer | 0% | 2-18-1965 | charper@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Theo Armstrong | Board of Directors | 5% | 2-18-1965 | tarmstrong@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Eugene Knight | Board of Directors | 14% | 2-18-1965 | eknight@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Victor Hayes | Board of Directors | 17% | 2-18-1965 | vhayes@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Bruce O'Connor | Board of Directors | 5% | 2-18-1965 | boconnor@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Rafael Wells | UBO | 20% | 2-18-1965 | rwells@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Vincent Gutierrez | UBO | 16% | 2-18-1965 | vgutierrez@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Theodore Lucas | UBO | 23% | 2-18-1965 | tlucas@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Theodore Lucas | UBO | 23% | 2-18-1965 | tlucas@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Theodore Lucas | UBO | 23% | 2-18-1965 | tlucas@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |
| Theodore Lucas | UBO | 23% | 2-18-1965 | tlucas@jiaxinglayoimport.jp | ▶▶▶▶▶-1234 👁 | 2020-12-18 ➤ |

Case List > Case # SAS6624012_1118

Case ID: SAS6624012_1118 | Case Type: KYC | Raw Data File: SAS6624012_1118.xlsx | Due Date: 01/15/2022 On Track | Assigned Date: 12/05/2021 | Case Status: In-Progress | Case Currently With: Vigneshwaran Sooriyamoorthy

Select ▼ Submit

Focal Party: [Jiaxing Layo Import and Export Group Co LTD](#) | Risk Score: 73 Medium | Tags: Tag 1

Outreach | Export | Link Cases | Merge Cases | Documents | Narrative

- Case Overview
- Customer Information**
- Related Party Review
- Screening
- Narrative
- Comments
- Audit History

- Entity Type 4
 - Jiaxing Layo Impo...
- Customer Contact Details
- Customer Information
- Remationship management
- Customer Segmentation
- Products
- Nature of Business
- Source of Wealth
- Source of Funds
- Risk Rating

Registered Name (required)
 Jiaxing Layo Import and Export Group Co LTD ID V ↺ Outreach ▼ Drag and Drop OR Add file
 ❗ This information you provide is not valid

Trade Name
 Jiaxing Layo Imports ID V ↺ Outreach ▼ Drag and Drop OR Add file

Date of Incorporation (required): 02-25-1970 | Country of Incorporation (required): Japan ID V ↺ Outreach ▼ Drag and Drop OR Add file

Phone Number (required): +81 123-123-1234 | Email (required): Rportoubo@jiaxinglayoimport.jp

Internet Address (required): www.jiaxinglayoimport.jp

Country (required): Japan

Address 1 (required): 2-17-10, Aioicho Naka-ku ?

Address 2:

City: Yokohama | State/Province: Brandenburg ▼ | Postal Code: 231-0012

ID Country: Germany ▼ | Tax ID Type: Steuer Number ▼ | Tax ID Number: 1234567899912

Case List > Case # SAS6624012_1118
Case ID: SAS6624012_1118 | Case Type: KYC | Raw Data File: SAS6624012_1118.xlsx | Due Date: 01/15/2022 On Track | Assigned Date: 12/05/2021

Focal Party: Jiaxing Layo Import and Export Group Co LTD | Risk Score: 73 Medium | Tags: Tag 1

Case Overview | **Customer Information** | Related Party Review | Screening | Narrative

Customer Information 3
Information 12

Party Name (required)
Jiaxing Layo Import and Export Group Co LTD
This information you provide is not valid

Trade Name
Jiaxing Layo Imports

Date of Incorporation (required): 02-25-1970 | Country of Incorporation (required): Japan

Phone Number (required): +81 123-123-1234 | Email (required): Rportoubo@jiaxinglayoimp

Internet Address (required): www.jiaxinglayoimport.jp

Address Country (required): Japan

Address 1 (required): 2-17-10, Aioicho Naka-ku

Address 2

City (required): Yokohama | State/Province (required): Brandenburg | Postal Code: 231

ID Country (required): Germany | Tax ID Type (required): Steuer Number | Tax ID Number: 12345678999

Documents

+ Add Document

| File Name | Date Added | File Type |
|---------------------------------|------------|--------------------------------|
| ArticlesofIncorporation.pdf | 01/15/2022 | Articles of Incorporation |
| CertificateofIncorporation.pdf | 01/15/2022 | Certificate of Incorporation |
| CertificateofFictitiousName.pdf | 01/15/2022 | Certificate of Fictitious N... |
| CertificateofTradeName.pdf | 01/15/2022 | Certificate of Trade Name |
| CertificateofGoodStanding.pdf | 01/15/2022 | Certificate of Good Standing |
| BusinessLicense.pdf | 01/15/2022 | Business |
| PartnershipAgreement.pdf | 01/15/2022 | Partnership Agreement |
| CertificateofLLC.pdf | 01/15/2022 | Certificate of LLC |
| CertificateofLLP.pdf | 01/15/2022 | Certificate of LLP |
| CertificateofRegistration.pdf | 01/15/2022 | Certificate of Registration |
| ArticlesofOrganization.pdf | 01/15/2022 | Articles of Organization |
| SalesTaxPermit.pdf | 01/15/2022 | Sales Tax Permit |

Uploaded By
demoAnalystL1@ey.com

Case List > Case # SAS6624012_1118

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Select ▼ Submit

Focal Party: [Jiaxing Layo Import and Export Group Co LTD](#) | Risk Score: 73 Medium | Tags: Tag 1 | Outreach | Export | Link Cases | Merge Cases | Documents | Narrative

Case Overview | Customer Information | Related Party Review | **Screening** | Narrative | Comments | Audit History

Parties Screen Selected + Add Party Export

| <input checked="" type="checkbox"/> | Party | Title | Ownership % | DOB | Gender | Email | Tax ID | Last Screening | |
|--|---|-------------------------|-------------|-----------|--------|---------------------------------|------------|----------------|--|
| Focal Party | | | | | | | | | |
| <input checked="" type="checkbox"/> | Jiaxing Layo Import and Export Group Co LTD | Registered Name | | 2-18-1965 | | contact@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| Related Parties + Add Party | | | | | | | | | |
| <input checked="" type="checkbox"/> | Jiaxing Layo Imports | Tradestyle | | 2-18-1965 | | contact@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Joseph Martinez | Chief Executive Officer | 0% | 2-18-1965 | ♂ | jmartinez@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Hannah Graham | Chief Financial Officer | 0% | 2-18-1965 | ♀ | hgraham@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Courtney Harper | Chief Operating Officer | 0% | 2-18-1965 | ♀ | charper@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Theo Armstrong | Board of Directors | 5% | 2-18-1965 | ♂ | tarmstrong@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Eugene Knight | Board of Directors | 14% | 2-18-1965 | ♂ | eknight@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Victor Hayes | Board of Directors | 17% | 2-18-1965 | ♂ | vhayes@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Bruce O'Connor | Board of Directors | 5% | 2-18-1965 | ♂ | boconnor@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Rafael Wells | UBO | 20% | 2-18-1965 | ♂ | rwells@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Vincent Gutierrez | UBO | 16% | 2-18-1965 | ♂ | vgutierrez@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |
| <input checked="" type="checkbox"/> | Theodore Lucas | UBO | 23% | 2-18-1965 | ♂ | tlucas@jiaxinglayoimport.jp |-1234 | 2020-12-18 | |

Case List > Case # SAS6624012_1118

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Focal Party: [Jiaxing Layo Import and Export Group Co LTD](#) | Risk Score: 73 Medium | Tags: Tag 1 | Outreach | Export | Link Cases | Merge Cases | Documents | Narrative

Case Overview | Customer Information | Related Party Review | **Screening** | Narrative | Comments | Audit History

| Screening Subjects | | | | | | | + Add Party | Search... | Export |
|---|--------------|-----------------|-------------------------|----------------------------|----------------|---------|-------------|-----------|--------|
| Screening Subjects | Entity Type | Subject Type | Title | Screening Status | Match Found | Actions | | | |
| > JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD | Organization | Registered Name | --- | 25% Complete 12/14/2020 | 2 Risk Events | | | | |
| > JIAXING LAYO IMPORTS | Organization | Tradestyle | --- | 50% Complete 12/14/2020 | No Risk Events | | | | |
| > Joseph Martinez | Individual | Principal | Chief Executive Officer | 75% Complete 12/14/2020 | 5 Risk Events | | | | |
| > Hannah Graham | Individual | Principal | Chief Financial Officer | 0% Complete 12/14/2020 | No Issues | | | | |
| > Courtney Harper | Individual | Principal | Chief Operating Officer | 25% Complete 12/14/2020 | No Issues | | | | |
| > Theo Armstrong | Individual | UBO | Board of Directors | 50% Complete 12/14/2020 | No Issues | | | | |

Case List > Case # SAS6624012_1118

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Focal Party: Jiaxing Layo Import and Export Group Co LTD | Risk Score: 73 Medium | Tags: Tag 1 | Outreach | Export | Link Cases | Merge Cases | Documents | Narrative

Case Overview | Customer Information | Related Party Review | **Screening** | Narrative | Comments | Audit History

| Screening Subjects | Entity Type | Subject Type | Title | Screening Status | Match Found | Actions |
|---|--------------|-----------------|-------------------------|----------------------------|----------------|---------|
| > JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD | Organization | Registered Name | --- | 25% Complete 12/14/2020 | 2 Risk Events | |
| > JIAXING LAYO IMPORTS | Organization | Tradestyle | --- | 50% Complete 12/14/2020 | No Risk Events | |
| ▼ Joseph Martinez | Individual | Principal | Chief Executive Officer | 75% Complete 12/14/2020 | 5 Risk Events | |



Joseph Martinez (Related Party)
 895 Church Road, Des Plaines, Charleston, SC 63452, US
 +1 555 555 5555
 DL# NY 123456789
 contact@mail.com
 Aliases: Joe Martinez, J. Martinez

PEP SAN News
Events Score: 42.88% | Events Returned: 138 | Events after Filter: 4

| Date | Event Title | Event Score |
|-------------|--|---------------|
| 19 Aug 2020 | Former Johnson County daycare employee charged in abuse case | Score: 52.25% |
| 09 JUN 2021 | Sixth lawsuit filed in deaths at West Virginia VA hospital | Score: 33.05% |
| 02 Aug 2021 | Live Ventures Incorporated, JanOne Inc. (f/k/a Appliance Recycling Centers of America, Inc.), John Isaac a/k/a Jon Isaac, Kingston Diversified Holdings LLC, and Virland A. Johnson (Release No. LR-25155; Aug. 3, 2021) | Score: 31.44% |
| 16 NOV 2020 | Family ask police to drop murder charge against Lasondra Johnson, claim self defense | Score: 30.15% |
| 16 NOV 2020 | Family ask police to drop murder charge against Lasondra Johnson, claim self defense | Score: 30.15% |

| | | | | | | |
|-----------------|------------|-----------|-------------------------|---------------------------|-----------|--|
| > Hannah Graham | Individual | Principal | Chief Financial Officer | 0% Complete 12/14/2020 | No Issues | |
|-----------------|------------|-----------|-------------------------|---------------------------|-----------|--|

Case List > Case # SAS6624012_1118

| | | | | | | | | |
|----------------------------|------------------|---------------------------------------|--|-----------------------------|----------------------------|--|------------|---------------|
| Case ID SAS6624012_1118 | Case Type KYC | Raw Data File SAS6624012_1118.xlsx | Due Date 01/15/2022 On Track | Assigned Date 12/05/2021 | Case Status In-Progress | Case Currently With Vigneshwaran Sooriyamoorthy | Send to QC | Submit |
|----------------------------|------------------|---------------------------------------|--|-----------------------------|----------------------------|--|------------|---------------|

Focal Party: [Jiaying Layo Import and Export Group Co LTD](#) Risk Score: 73 Medium Tags: Tag 1

Outreach Export Link Cases Merge Cases Documents Narrative

- Case Overview
- Customer Information
- Related Party Review
- Screening
- Narrative**
- Comments
- Audit History

Narrative A

B *I* U ~~S~~ Size **A** [List Icons]

SAS Case 6624012 is recommended for (no further action/ escalation to L2 for further review). The case was generated in December 2020 on the case entity, [JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD](#) (External Party/Customer Number: 1234567) for activity that occurred in December and January 2020 and 2021. The focal entity of this review is [JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD](#). The focal entity (is/is not) a customer of ABC Bank [New York, Chicago, or Los Angeles](#). This case includes one (1) alert(s): 6623498, which triggered for the following scenarios:

1. Round Amount Activity - OrigBene - BTMY9004PG

Between December 04, 2020 and January 18, 2021, conducted forty-five (45) transactions for the total amount of USD 3,502,000.00 with twenty-two (22) unique counterparties. seven (7) counterparties were sampled due to the following risk factors: [High Transaction Value Amount](#), [Repeated Transaction Amounts](#), [Transacting Round Dollar Amounts](#). The sampled counterparties engaged in twenty-four (24) transactions totaling USD 2,470,000.00 or 70.53% of- the total transaction value during the alerting month. Given that the sample selection covers the alerting scenarios and consists of a significant portion of the review periods activity, no additional counterparties were sampled. ABC Bank New York was an [\[ORIGINATING/INTERMEDIARY CLEARING/BENEFICIARY\]](#) bank in the reviewed activity.

[JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD](#) is located in [Japan](#) and banking in [Japan, _____, the United States of America](#). In addition to transacting with numerous counterparties, the focal party also engaged in one (1) intraparty wire transfers totaling USD 50,000.00. Per open source searches, [JIAXING LAYO IMPORT AND EXPORT GROUP CO LTD](#) engages in [\[INSERT BUSINESS DESCRIPTION\]](#). An RDC search for adverse media/PEPs/sanctions returned [\[INSERT RESULTS\]](#). Actimize and SAS searches [did not identify any/identified number \(X\)](#) prior SAR filings for the focal entity. [\[If prior SARs identified, include summary of findings\]](#)

A detailed analysis of the seven (7) sampled counterparties, and their associated transactions, is summarized below:

[A JOHNSON](#), is located in [_____ the United States of America](#) and banking in the [United States of America](#). The counterparty [A JOHNSON](#), [remitted two \(2\) wire transfer\(s\)](#) to the focal entity totaling USD 630,000.00. Additional wire details included, [\[Insert transaction details from additional message info\]](#) as the business purpose for the alerted wire transfer(s). This counterparty was selected for review due to the following risk factors: [High Transaction Value Amount](#), [Transacting Round Dollar Amounts](#). Per open source searches, [A JOHNSON](#) engages in [\[INSERT BUSINESS DESCRIPTION\]](#). An RDC search for adverse media/PEPs/sanctions returned [\[INSERT RESULTS\]](#).

Actimize and SAS searches [did not identify any/identified \(number X\)](#) prior SAR filings for the counterparty under review. [\[If prior SARs identified, include summary of findings\]](#).
An RFI search was performed and [\[INSERT RESULTS\]](#).

[AMELIA JOHNSON](#), is located in [_____ the United States of America](#) and banking in the [United States of America](#). The counterparty [AMELIA JOHNSON](#), [remitted two \(2\) wire transfer\(s\)](#) to the focal entity totaling USD 620,000.00. Additional wire details included, [\[Insert transaction details from additional message info\]](#) as the business purpose for the alerted wire transfer(s). This counterparty was selected for review due to the following risk factors: [High Transaction Value Amount](#), [Transacting Round Dollar Amounts](#). Per open source searches, [AMELIA JOHNSON](#) engages in [\[INSERT BUSINESS DESCRIPTION\]](#). An RDC search for adverse media/PEPs/sanctions returned [\[INSERT RESULTS\]](#).

Actimize and SAS searches [did not identify any/identified \(number X\)](#) prior SAR filings for the counterparty under review. [\[If prior SARs identified, include summary of findings\]](#).
An RFI search was performed and [\[INSERT RESULTS\]](#).