

# Key Application Terminology

Definitions of key terms and features in the AlphaCCO application

## A

### **Absence management**

A feature that allows users to declare upcoming absences and designate other user(s) to whom tasks and approvals are to be assigned while they are away. Superusers view all other users' absences and can update them. Package availability: all.

### **Alerts**

A feature that allows the launch of a notification based on a specific criterion, e.g. a specific answer to a form question, or the completion of a control step. Package availability: all.

### **Action**

A feature within a control that enables automatically sending an email at a specific step of the control, based on defined conditions, or triggering the execution of another control. Package availability: Advanced.

### **AML/TF module**

A set of dedicated screens with features that allow to filter individuals and/or entities, and/or lists of clients, whether individuals or entities. The module is linked to government and sanctions lists available online and signals any search hits. Package availability: all.

### **Analysis-decision**

A control step where a form and decision are combined. The form allows documenting the decision made. Package availability: Advanced

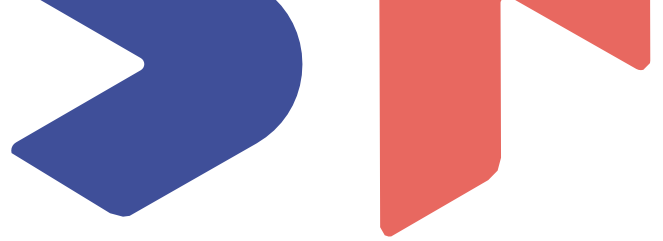
### **Auditor**

A licence provided on an ad hoc and temporary basis, with read-only access. Often used in cases of regulatory inspections or external audits. Package availability: all.

## B

### **Bookmarks**

A section where each user can identify pages of the platform that they visit most often and wish to have quick access to, at the top of the menu. Package availability: all.



## C

### **Companies**

A screen linked to the Gifts and entertainment module, where companies can be listed, so users can select them when declaring a gift or entertainment. Availability: Gifts and entertainment module.

### **Contributor**

A licence with access to personal dashboard, AMLTF module, allows to answer tasks, submit requests, render decisions (approvals), and access contribution history. Typically all members of the firm not requiring superuser access, e.g., members of the business line. Package availability: all.

### **Contributor – limited access**

A licence type reserved to firms with a minimum of 20 contributing users or more. Includes access to personal dashboard, allows to answer tasks, submit requests, and access contribution history. Typically members of the firm requiring very little access, mainly for yearly attestations. Package availability: all.

### **Control**

A process workflow in the platform set up according to your firm's criteria allowing execution on an ad hoc or recurring basis, whether a request or a task, as configured. A control includes at least a form step. Package availability: all.

### **Control - Advanced**

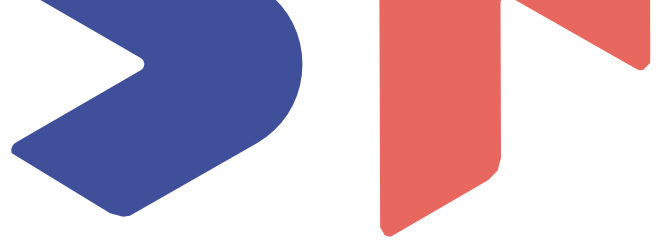
A process workflow in the platform set up according to your firm's criteria allowing execution on an ad hoc or recurring basis, whether as a request or a task, as configured. A control includes at least a form step and advanced controls can include more than one form step, as well as analysis-decision steps. Package availability: Advanced.

### **Condition**

A feature that allows configuration of one or more conditions determining a workflow or form path. Based on specific criteria unique to each firm, e.g. a specific question provided to a form can trigger an automatic approval within the workflow, or a specific answer to a question can trigger another question within a form. Package availability: all.

### **Corrective actions module**

A module that allows to log and document each corrective action resulting from any given event. Each corrective action is assigned to a specific user and creates a task for them to complete in the platform. Package availability: all.



## D

### **Dashboard**

The application's centralized view over ongoing tasks, approvals and requests. Superusers have global oversight, while contributors have access to their own assignments. Package availability: all.

### **Data export**

A feature that allows extraction of all answers received to one or several forms, for a given period. Also allows extraction of forms' structure, i.e., questions and choice lists, if any. Package availability: all.

### **Data tag**

A feature that allows transfer of data from one form to another, e.g., the answers provided to a form are required to be seen into another form within the same control. Package availability: Advanced.

### **Decision**

A control step that allows the assigned user to render a decision based on a previously submitted form step within the same control. Package availability: all.

### **Divisions**

A feature that allows to separate the platform environment according to the client's needs. Can be based on the firm's departments (Compliance, Finance, Operations, etc.), and/or on various components within the compliance function, e.g., AML, ESG, etc. Package availability: Plus, Advanced.

### **Document library**

A screen that serves as a repository of documents within the platform. Can serve as a location where the client's reference documents are stored. All users have access to this screen. Package availability: all.

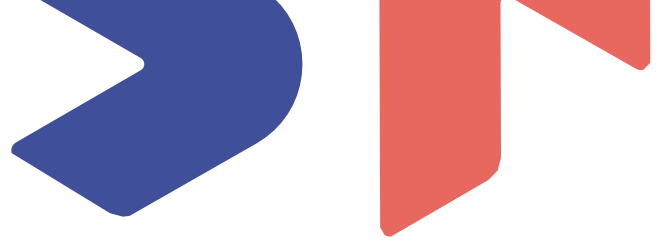
## E

### **Emails log**

A screen where all emails, e.g. assignment notifications, reminders, etc., sent from the platform can be viewed. Package availability: all.

### **Export documents**

A screen where all documents uploaded to the platform can be retrieved, whether uploaded within forms, included in forms' instructions, etc. Package availability: all.



### **External user**

A licence for individuals outside of the organization with no access to the dashboard or to contribution history. Can be assigned a form to fill out only. Cannot make requests. Can be suppliers, board members, or clients. Package availability: all.

## **F**

### **Form**

A control step that includes configured questions, constituting a form. Users are assigned this step. It is the only step required to be part of any control. Package availability: all.

#### **Form – basic type**

This form type is used for controls where user responses are expected to vary with each submission. It involves the answering user to make a unique submission each time, such as when submitting a marketing material approval request. Package availability: all.

#### **Form - Callback answers**

This form type is used for controls where responses are expected to remain consistent over time or require minimal update. It is suitable for when users are likely to wish to reuse previously submitted answers, such as when updating a previously disclosed outside activity, or submitting annual insurance coverage review. Package availability: all.

#### **Form - Multiple answers**

This form type is used for controls that require multiple submissions to the same set of questions within a defined period. It is commonly applied in controls used for sampling purposes, such as for social media profiles monthly review. Package availability: all.

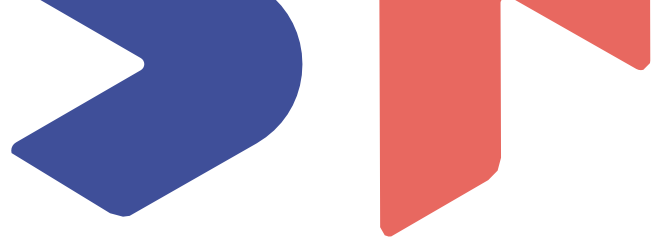
## **G**

### **Gifts and entertainment module**

A module that features control requests to disclose and obtain approval for a gift or entertainment. Dedicated screens allow users to view current standing with regards to established thresholds related to gift values per client, for a given period. Package availability: add-on for Plus, included with Advanced.

### **Groups**

A set of users, as determined by a superuser, to facilitate control assignment. Users can be added to groups, to ensure they are included in relevant controls assigned to each specific group. Package availability: all.



## H

### **Help center**

A section of the platform where user guides can be accessed. User guides consist of a set of short documents featuring step-by-step instructions on how to use specific application features.

Package availability: all.

## L

### **Licence**

Access to the platform for an individual. Licences cannot be shared. Different levels of access are available. Licences are: superuser, contributor, contributor – limited access, external user, and auditor.

## M

### **Modules**

A set of dedicated screens for a specific compliance process in the application. Includes customizable process-related controls. See the definition of each module for further information.

## O

### **Outside activities module**

A module that features control requests to disclose and obtain approval for an outside activity, disclose an update to an outside activity, as well as closing an activity. Dedicated screens allow users to view and update previously declared activities, and for superusers, allows to provide approval. Package availability: add-on for Plus, included with Advanced.

## P

### **Page**

A feature that enables to structure questions across multiple pages within a form. It is particularly useful in the context of long forms, as it helps separate them into categories. For example, a due diligence questionnaire (DDQ) could be divided into pages, each representing a section of the form (e.g. Finance, IT, etc.). Package availability: all.

### **Personal trades module**

A module that features control tasks and requests to obtain personal trade pre-approval based on restricted securities list, if any, as well as declare personal accounts, upload account statements, and perform compliance supervision, including launching corrective actions. Package availability: add-on for all.



### **Preview**

A feature that allows to view a form and how it presents itself to users, without accessing form configuration. Package availability: all.

## **R**

### **Reminders**

A feature that allows the configuration of preset reminders to be sent to users with pending tasks (users who have yet to submit a form or a decision task) and the option to generate the list of users who have yet to submit a task, which is sent to the selected superuser(s). Package availability: all.

### **Report builder**

A feature that allows customization of reports based on any existing form in the application. Customization can be saved and extracted as is, including real-time data, at any given time. Package availability: Plus, Advanced.

### **Request**

A control configured and assigned to users so they can initiate it at any given time, according to their needs, typically to obtain approval linked to a declaration or disclosure. A request-type control includes at least a form step as well as a decision step. Package availability: all.

### **Request trigger**

A form step exclusive to request-type controls, to determine which users will be allowed to initiate the request. Package availability: all.

### **Role**

See licence.

## **S**

### **Schedule trigger**

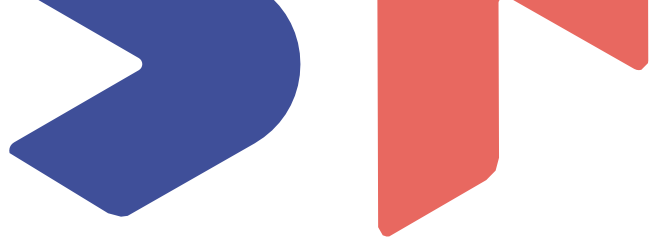
A control step exclusive to task-type controls, allowing to determine the frequency at which the control will be launched. Package availability: all.

### **Send back**

A button that allows the user assigned a decision step (approval) to send back the form to the submitting user, e.g., to ask them to provide additional information or documents, and then resubmit the task.

### **Step**

A stage usually guiding an action within a control workflow. Steps are elements of the control workflow or decision tree, and can take different forms, such as a form step, a decision step, an



analysis-decision step, a schedule trigger, etc. Steps are what workflows consist of. Package availability: all.

### **Superuser**

A licence that includes access to all configuration and administration access and features of the platform, including complete oversight on ongoing controls and user submissions, or according to environment divisions, if applicable. Package availability: all.

## **T**

### **Task**

A control configured and assigned to users to be launched on an ad hoc basis and/or on a recurring basis, according to determined frequency. A task-type control includes at least a form step. Package availability: all.

### **Tasks and approvals**

A screen that provides access to all tasks and approvals, whether ongoing or historical, completed or cancelled. Package availability: all.

### **Task management**

A screen reserved to superusers, allowing quick action on one or more active tasks including reassignment, updating the due date, updating the status, and archiving. Package availability: all.

### **Template**

A preset control, including at least a form, available for download and entirely customizable. Package availability: all.

## **U**

### **User**

An individual provided with a licence with access to the application, as determined by the type of licence.