LexAlign Institution Dashboard
User Guide

Last updated: June 21, 2023

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Table of Contents

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1.0 Purpose

The purpose of this document is to provide guidance on using the LexAlign Institution Dashboard.

2.0 LexAlign Institution Dashboard

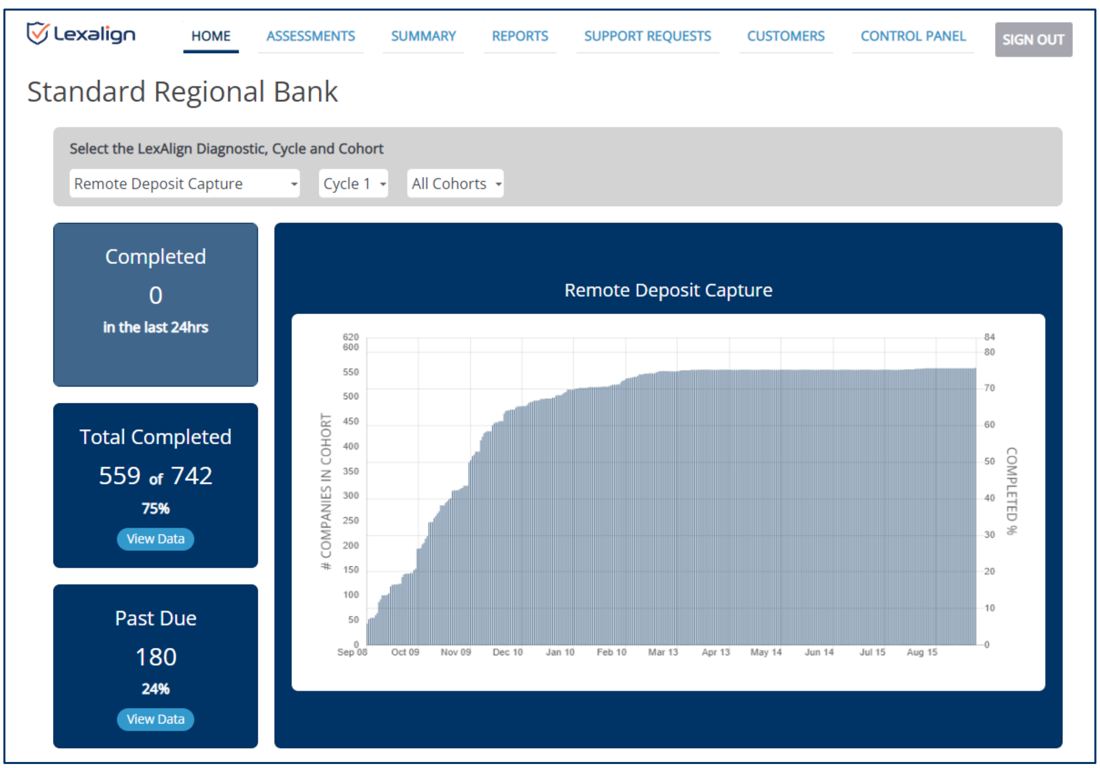
Let's start by reviewing the Dashboard navigation elements.

- **Home:** displays information about LexAlign Diagnostics by Cycle and Cohort.
- **Assessments:** displays a list of customers, tracking high level status and results on a per customer basis.
- **Summary:** summarizes common issues, trends, and completion status across customers.
- **Reports:** provides downloadable reports by completion status, risk factors, and customer actions.
- **Support Requests:** shows the requests for support from customers.
- **Customers:** displays a list of all customers in the LexAlign system.
- **Control Panel:** enables configuration and set up; it is only visible for certain roles.

Now we'll drill-down into each of the sections.

2.1 HOME

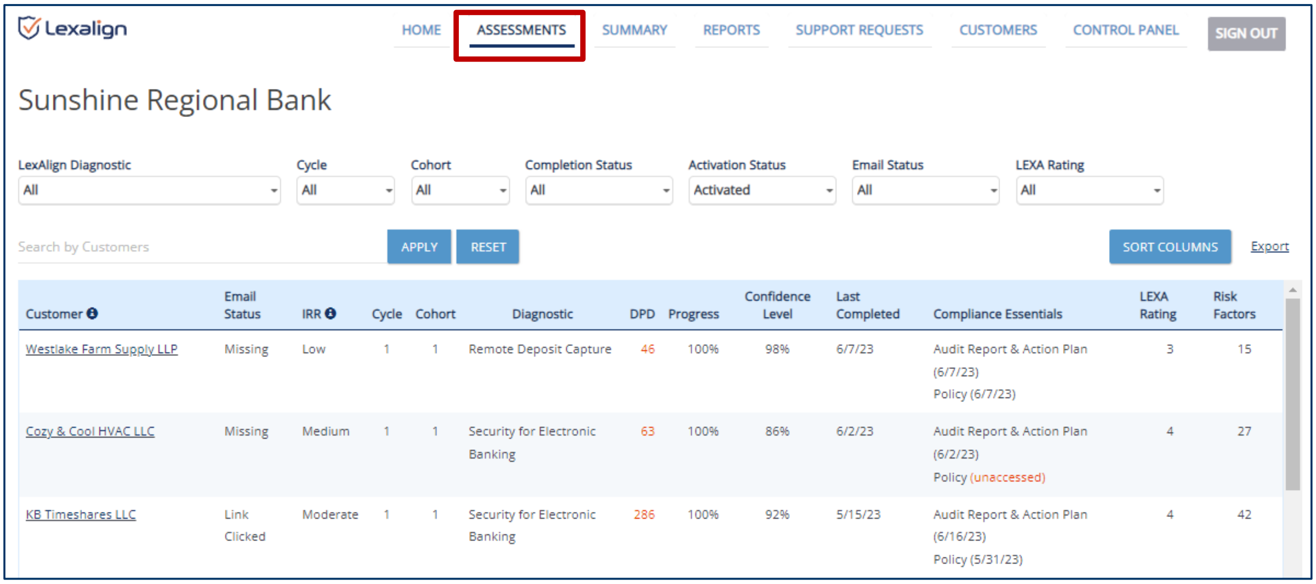
The Home Page provides information about LexAlign Diagnostics by Cycle and Cohort. This is your view of progress as a Cycle is executing through each Cohort.



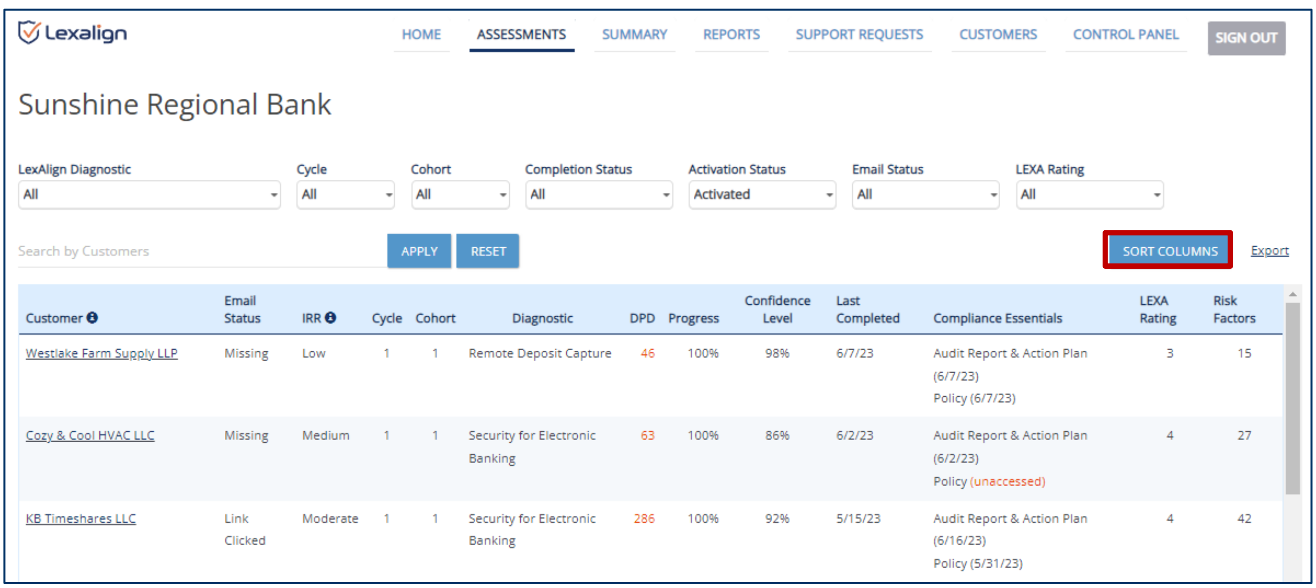
2.2 ASSESSMENTS

The Assessments Page replaces and improves upon the spreadsheets you've been using, especially for the burdensome task of tracking completion status. With LexAlign, it is all automated.

You can customize the list view by selecting from a variety of filters.



You can also sort each of the columns.



Sort allows you to create your desired view of the data.

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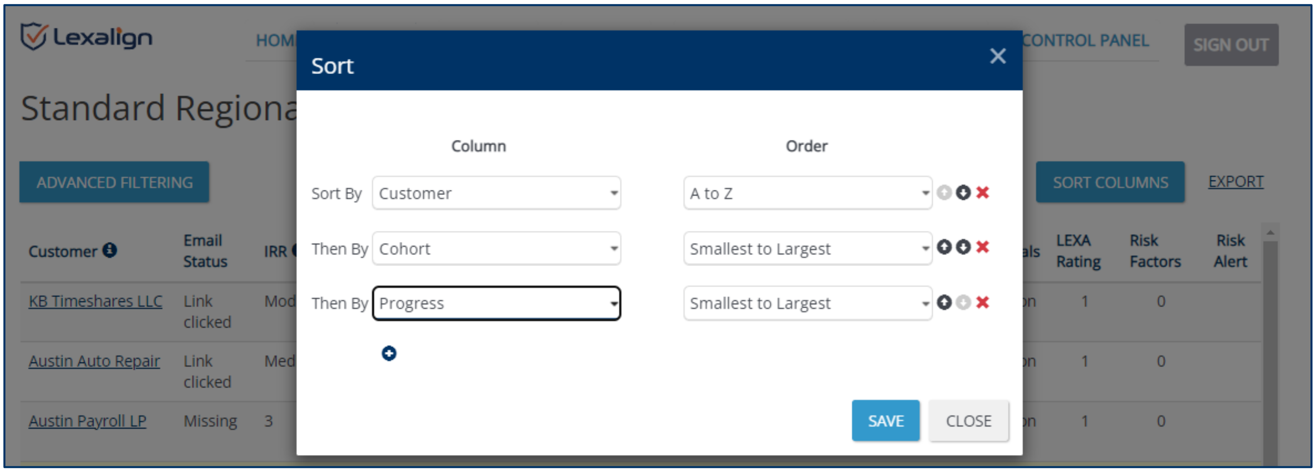

Let's take a look at the data included on the Assessments Page:

Customer: Customer names with a link to more detailed information about each customer's Assessments.

Email Status: The LexAlign platform automatically emails the customers to inform them of the expectations and deadlines for completing an Assessment. These email notifications are configurable. This column shows the status of those emails. A "Link Clicked" means the customer accessed their unique dashboard. It also indicates if an email address is missing or is bad (bounced).

IRR (Internal Risk Rating): You can add your Internal Risk Rating to the LexAlign dashboard if you have one. It is an optional field that can be included in your data import.

Cycle: Diagnostics are typically administered to customers on an annual basis called a Cycle.

Cohort: Cohorts are groupings of customers. You can divide your customers into cohorts for launch management and reporting.

Diagnostic: Shows the LexAlign Diagnostic for which the row displays status data for the customer.

DPD (Days Past Due): Numbers in red show the number of days the customer is past due for completing an Assessment based on the due date assigned to them. Negative numbers indicate the number of days until the next Assessment is due.

Progress: Indicates the customer's progress in completing the current Assessment.

Confidence Level: This is one of the things that makes our automated approach superior and is intended to indicate the validity or reliability of the customer's self-assessment, as an additional risk factor. It is essentially a consistency calculation on the information collected in the Assessment. Lower confidence levels indicate inconsistent information was given during the Assessment, suggesting that some of the answers might not be reliable.

Last Completed: Indicates the date the last Assessment was completed.

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Compliance Essentials: Shows the set of Compliance Essentials created by the LexAlign platform for the customer upon its completion of the Assessment. It also identifies whether and when a customer accessed a given Compliance Essential. And it is an indication for how engaged the customer is in taking the next steps after completing the Assessment. We've seen over 90% of customers open their Audit Report & Action Plan and 80% open their Policy document.

LEXA Rating: Proprietary risk rating based on LexAlign's unique data set captured by the Assessments. The LEXA Rating is derived by comparing the combined weight of Risk Factors identified in the Assessment with the maximum Risk Factor weight possible. The assignment of Risk Factor weights is based on the significance of a given Risk Factor in regulatory guidance or law, as adjusted based on input from experts and industry veterans, and as such are subject to change.

Risk Factors: Indicates the number of Risk Factors identified in the Assessment. A Risk Factor means the customer's practices represent an avoidable risk of fraud, data breach, theft, or loss based on the relevant Federal regulatory guidance.

Risk Alert: A Risk Alert indicates that there is a Risk Factor identified in the Assessment that either represents a heightened risk or is an issue that the Financial Institution can help remediate without delay. Rows with risk alerts are highlighted in yellow.

Now we'll look at the **SUMMARY** page where we can see trends across all customers.

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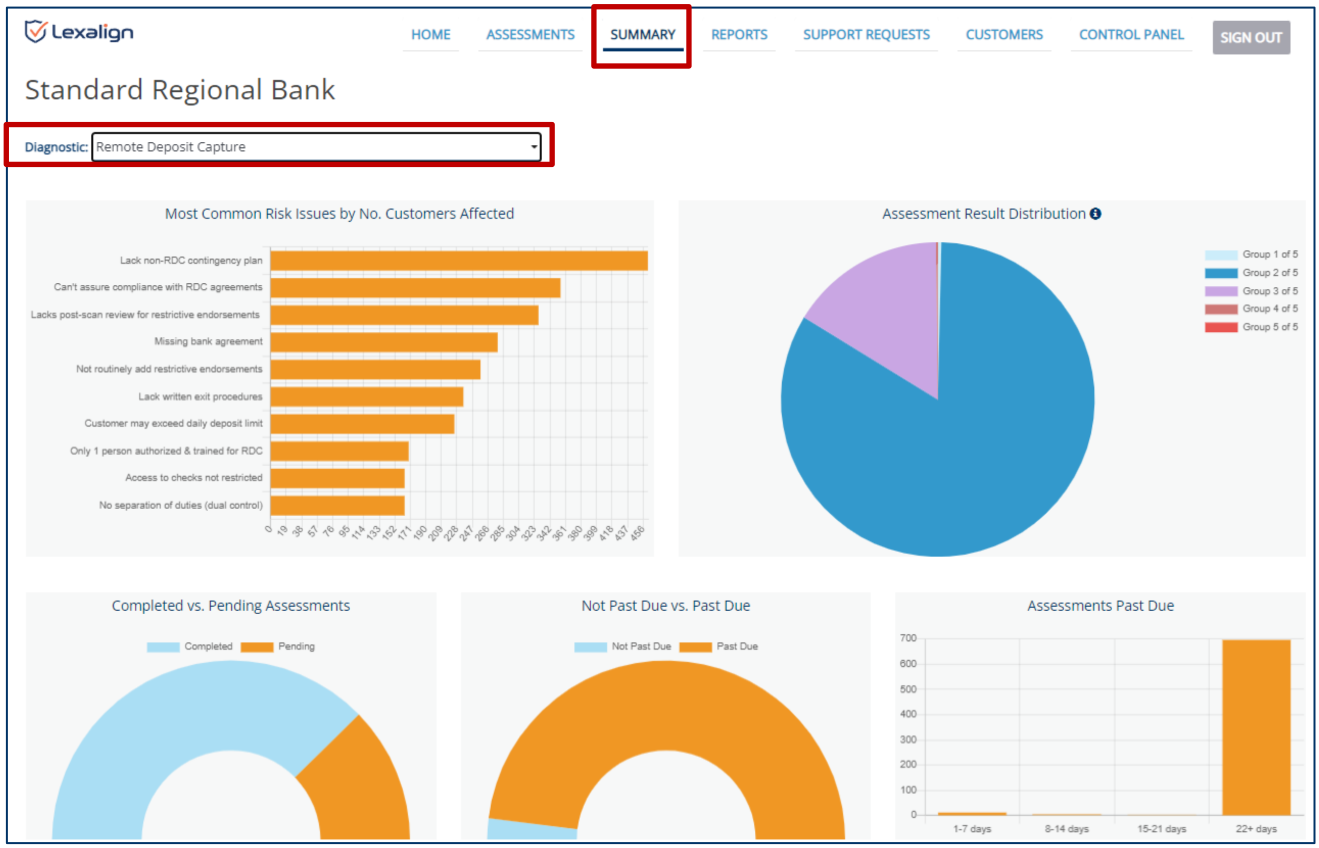
2.3 SUMMARY

The Summary Page demonstrates your Risk Management and Support.

It can also help you prioritize remedial actions based on greatest potential impact.

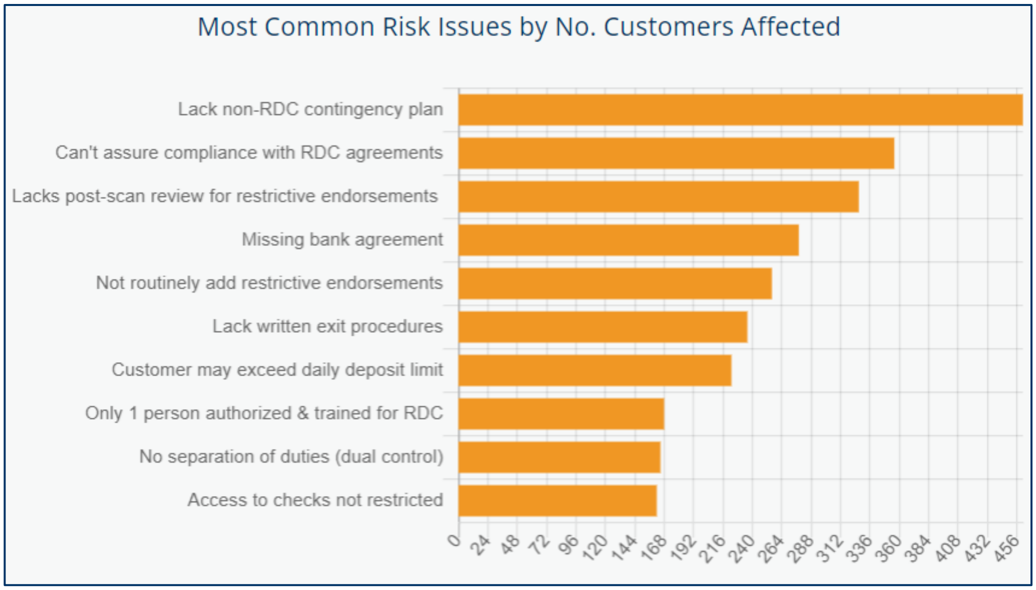
The information is presented by LexAlign Diagnostic.



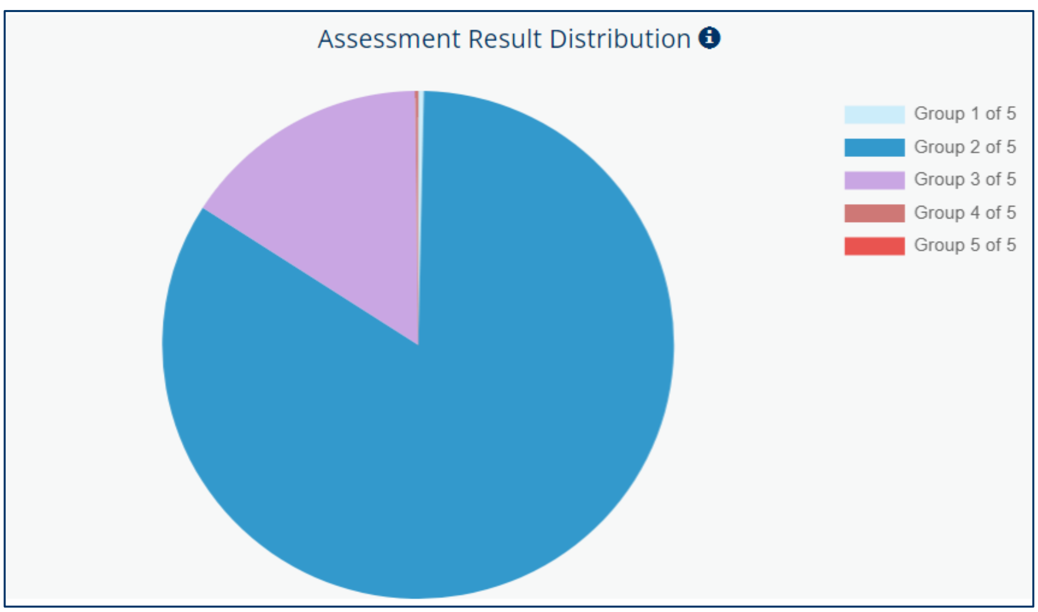
Let's take a look at the Summary charts.

Summary Charts

The **Most Common Risk Issues by Number of Customers Affected** chart shows the most common Risk Issues across customers' completed Assessments in the current cycle. This is the information you can use to prioritize remedial actions based on greatest potential impact.



The **Assessment Result Distribution** chart groups customers by weighted risk factors to give you a visual of how your customers are distributed by Risk Factors. In this example, the majority of customers are in group two which is a good indication of consistency across customers.

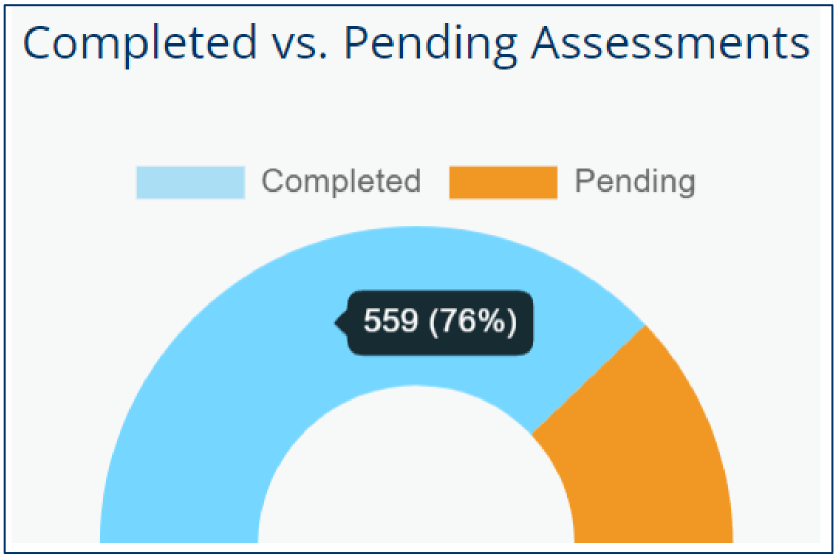


For any given customer, the Assessment Result is derived by comparing the combined weight of Risk Factors identified in its Assessment with the maximum Risk Factor weight possible.

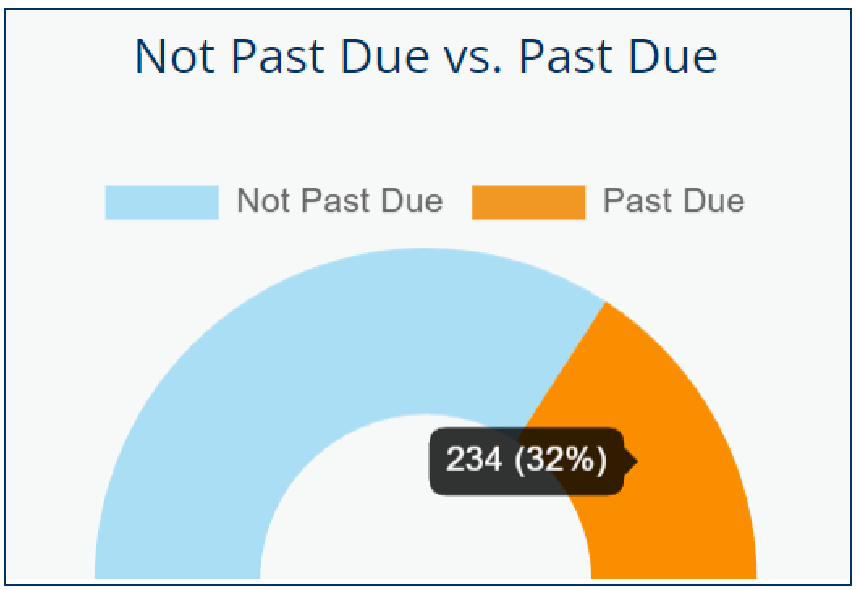
Group 1 has zero Risk Factor weight. Customers with greater than zero Risk Factor weight are placed in Groups 2 - 5, in ascending order.

Risk Factor weights are based on the significance of a given Risk Factor in regulatory guidance or law, as adjusted based on input from experts and industry veterans.

Completed vs. Pending Assessments shows how many customers completed an Assessment and how many still need to do them.



Not Past Due vs. Past Due shows how many customers are and are not past due on completing their Assessments.



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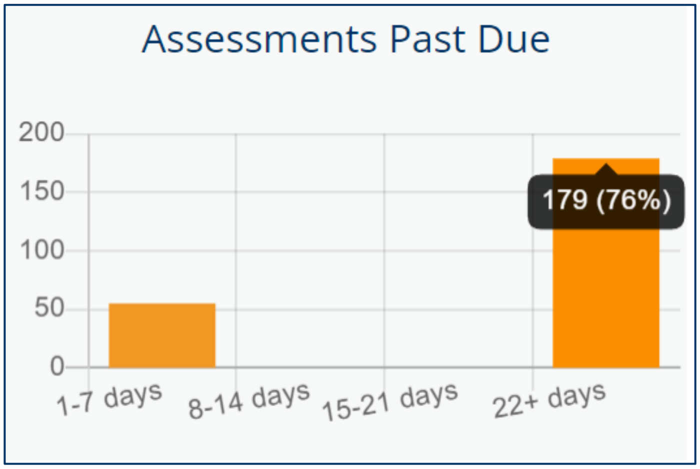
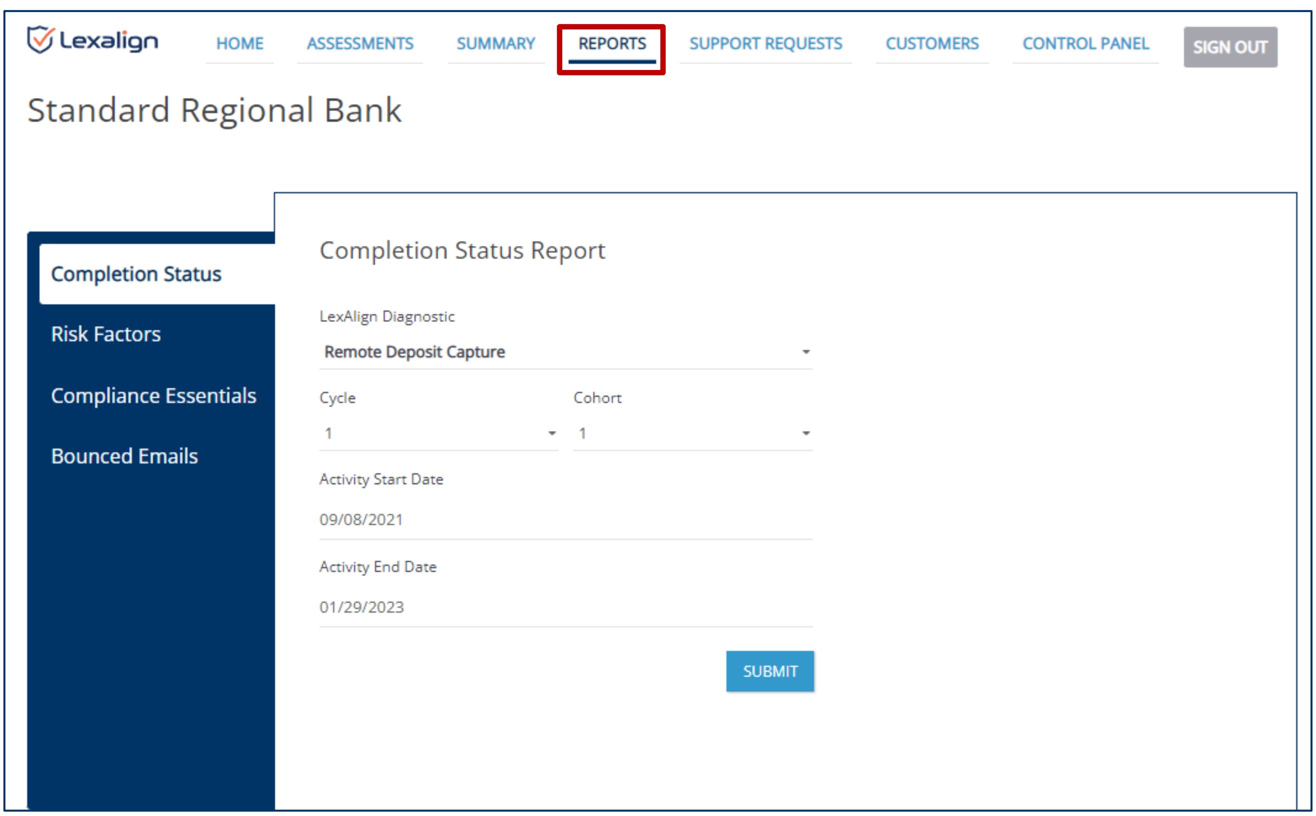
Assessments Past Due shows the number and percentage of customers that are past due by the number of days past due.



2.4 REPORTS

Reports enable you to extract actionable data in a spreadsheet format.

Actionable data includes Completion Status by customer, which customers are impacted by different Risk Factors, which customers have or have not accessed each of the Compliance Essentials, and which customers have Bounced Emails.



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The **Completion Status Report** shows Assessment completion status by Cycle and Cohort for the selected time period.

The **Risk Factors Report** shows a list of customers by Risk Factor category and individual Risk Factors by Cycle and Cohort. This report can help you understand how to use the data that LexAlign is capturing.

The **Report on Compliance Essentials** shows customer status regarding access of Compliance Essentials by Cycle and Cohort. Access of Compliance Essentials means customers have taken the first step in addressing their gaps and improving their risk status.

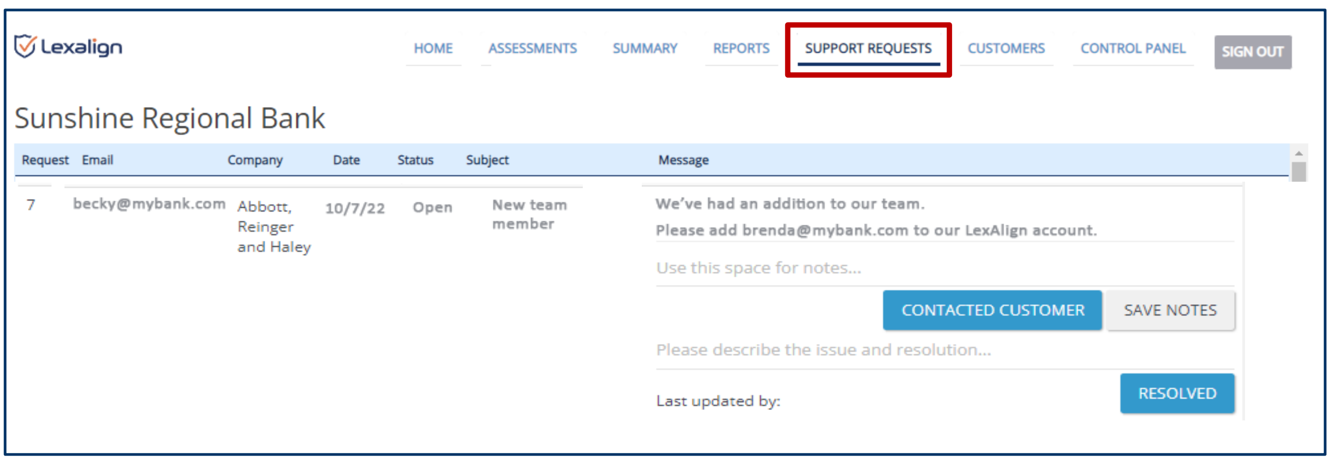
The **Bounced Emails Report** shows a list of all bounced emails to help you reach out to your customers to get working email addresses.

2.5 SUPPORT REQUESTS

Support Requests display customer requests for support.

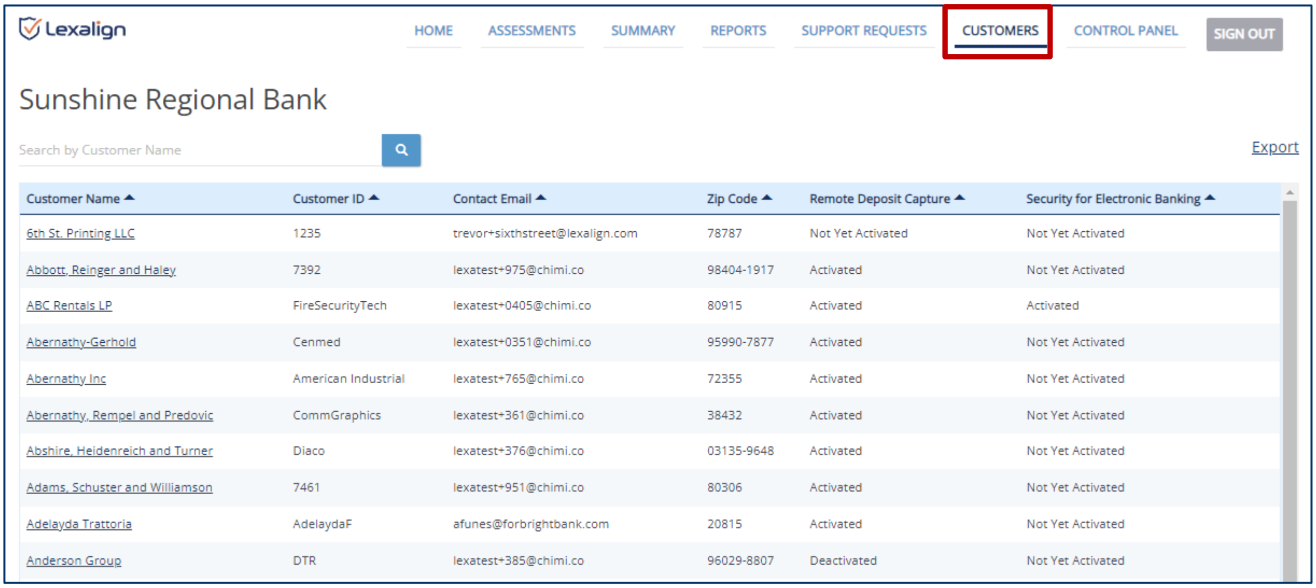
Across LexAlign clients, support requests have been less than 1 per 100 customers so these do not create a burden for your team.

You can add notes to document the actions you take for each request and indicate customer outreach and status.



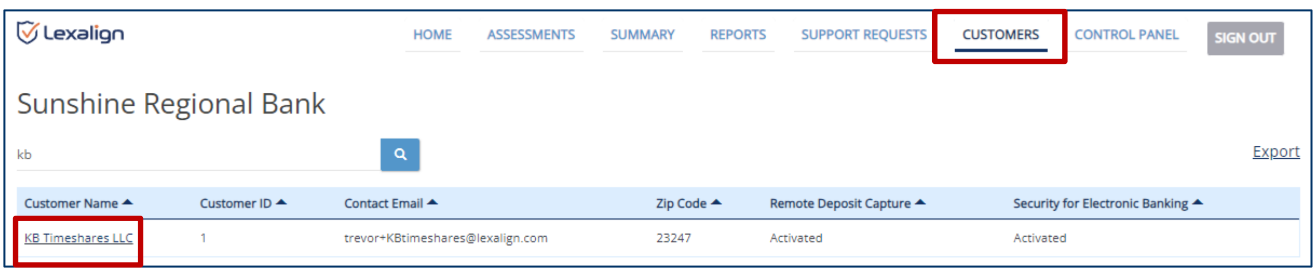
2.6 CUSTOMERS

The Customers Page displays a list of all customers and indicates which LexAlign Diagnostics they are activated for. Use this page to look up customers to view and edit their information and examine their Assessment data.



Customer Name	Customer ID	Contact Email	Zip Code	Remote Deposit Capture	Security for Electronic Banking
6th St. Printing LLC	1235	trevor+sixthstreet@lexalign.com	78787	Not Yet Activated	Not Yet Activated
Abbott, Reinger and Haley	7392	lexatest+975@chimi.co	98404-1917	Activated	Not Yet Activated
ABC Rentals LP	FireSecurityTech	lexatest+0405@chimi.co	80915	Activated	Activated
Abernathy-Gerhold	Cenmed	lexatest+0351@chimi.co	95990-7877	Activated	Not Yet Activated
Abernathy Inc	American Industrial	lexatest+765@chimi.co	72355	Activated	Not Yet Activated
Abernathy, Rempel and Predovic	CommGraphics	lexatest+361@chimi.co	38432	Activated	Not Yet Activated
Abshire, Heidenreich and Turner	Diaco	lexatest+376@chimi.co	03135-9648	Activated	Not Yet Activated
Adams, Schuster and Williamson	7461	lexatest+951@chimi.co	80306	Activated	Not Yet Activated
Adelayda Trattoria	AdelaydaF	afunes@forbrightbank.com	20815	Activated	Not Yet Activated
Anderson Group	DTR	lexatest+385@chimi.co	96029-8807	Deactivated	Not Yet Activated

Now let's take a look at an individual customer.



Customer Name	Customer ID	Contact Email	Zip Code	Remote Deposit Capture	Security for Electronic Banking
KB Timeshares LLC	1	trevor+KBtimeshares@lexalign.com	23247	Activated	Activated

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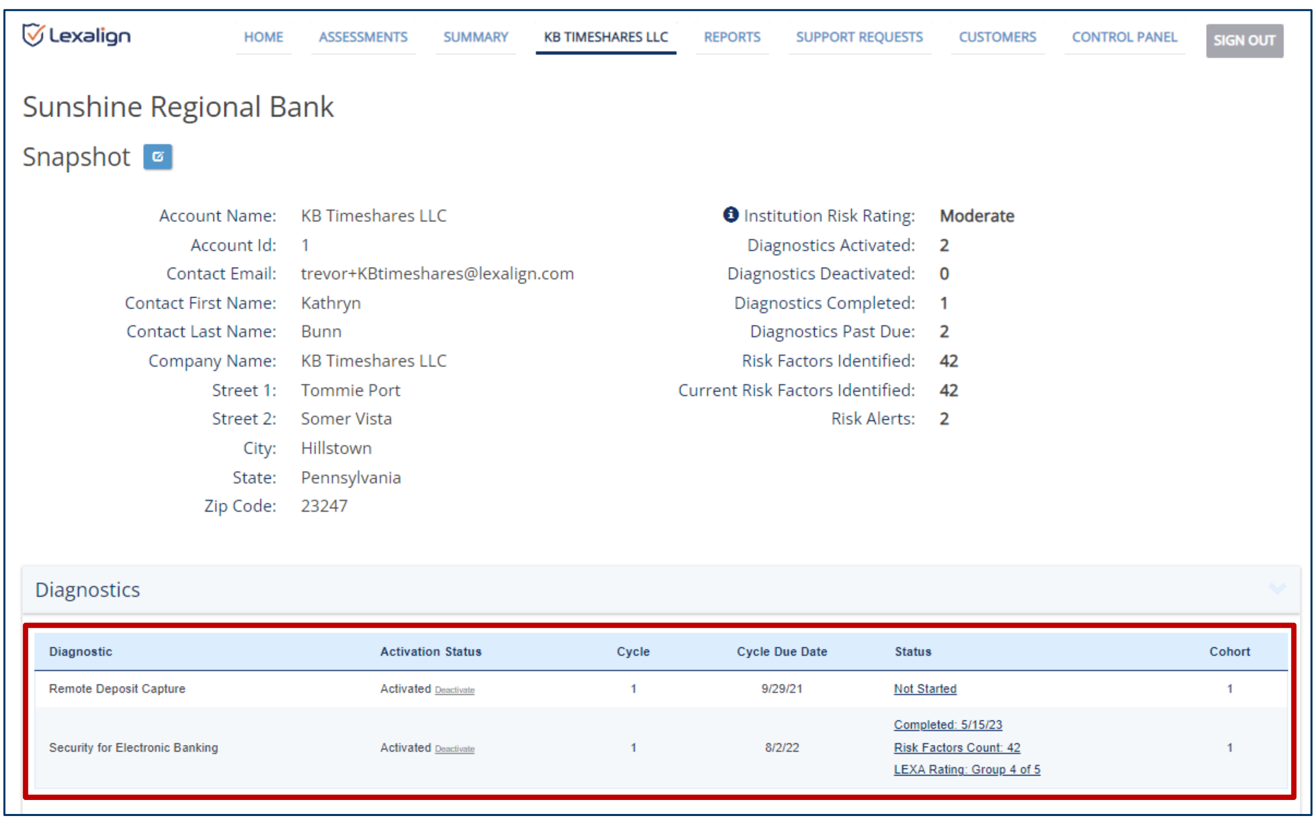
Snapshot

The first part of the customer page provides a high-level snapshot with the ability to edit the contact information. Here you can see a summary of things like the number of Risk Factors and Risk Alerts from the current Assessment.

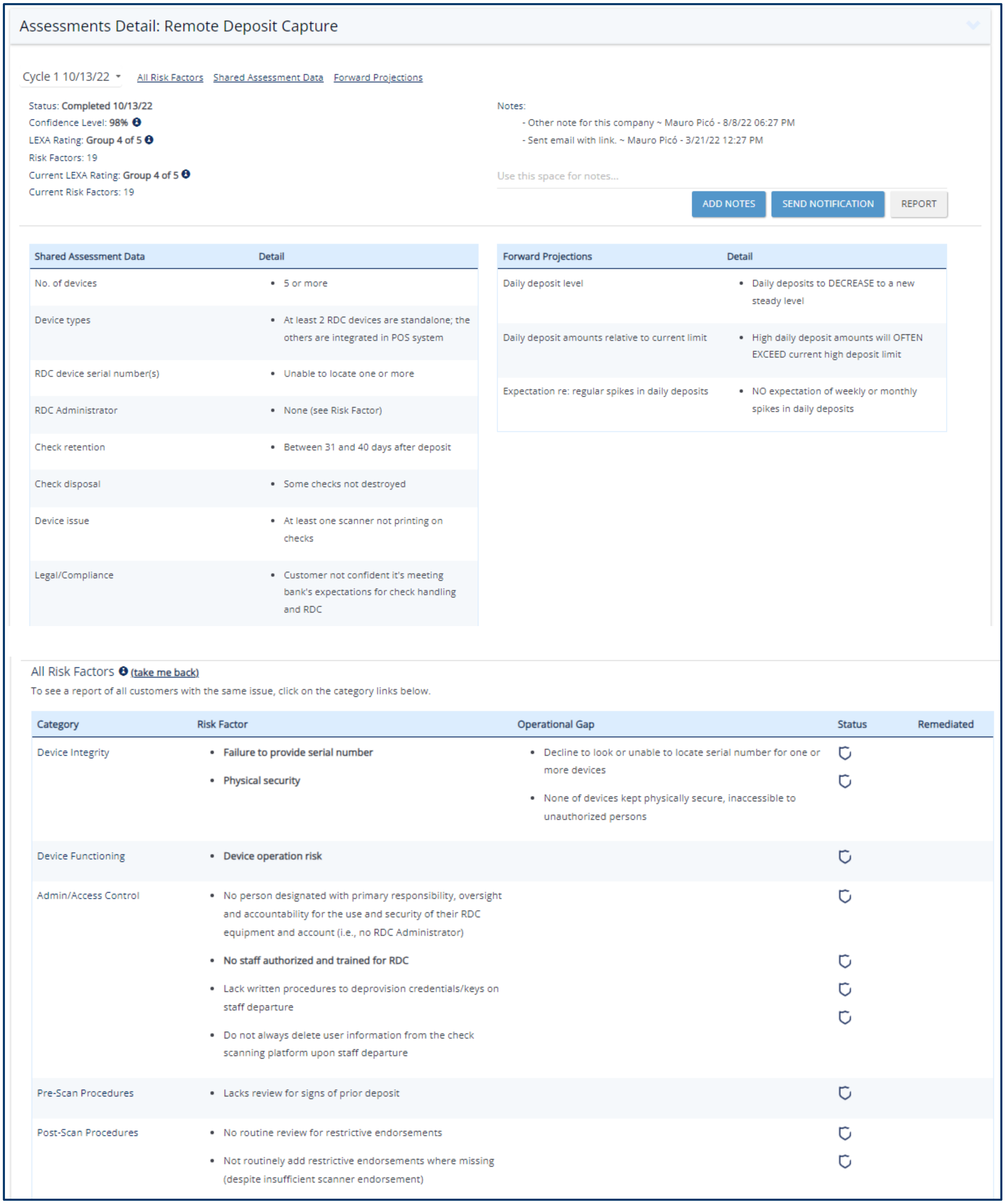
Diagnostics

The Diagnostics section of the customer page lists the LexAlign Diagnostics available to the customer.



Assessments

The Assessments section of the customer page contains details about the Assessment as well as the ability to add notes regarding customer interactions.



Assessments Detail: Remote Deposit Capture

Cycle 1 10/13/22 All Risk Factors Shared Assessment Data Forward Projections

Status: **Completed 10/13/22**
Confidence Level: **98%**
LEXA Rating: **Group 4 of 5**
Risk Factors: 19
Current LEXA Rating: **Group 4 of 5**
Current Risk Factors: 19

Notes:
- Other note for this company ~ Mauro Picó - 8/8/22 06:27 PM
- Sent email with link. ~ Mauro Picó - 3/21/22 12:27 PM

Use this space for notes...

ADD NOTES SEND NOTIFICATION REPORT

Shared Assessment Data	Detail
No. of devices	• 5 or more
Device types	• At least 2 RDC devices are standalone; the others are integrated in POS system
RDC device serial number(s)	• Unable to locate one or more
RDC Administrator	• None (see Risk Factor)
Check retention	• Between 31 and 40 days after deposit
Check disposal	• Some checks not destroyed
Device issue	• At least one scanner not printing on checks
Legal/Compliance	• Customer not confident it's meeting bank's expectations for check handling and RDC

Forward Projections	Detail
Daily deposit level	• Daily deposits to DECREASE to a new steady level
Daily deposit amounts relative to current limit	• High daily deposit amounts will OFTEN EXCEED current high deposit limit
Expectation re: regular spikes in daily deposits	• NO expectation of weekly or monthly spikes in daily deposits

All Risk Factors (take me back)

To see a report of all customers with the same issue, click on the category links below.

Category	Risk Factor	Operational Gap	Status	Remediated
Device Integrity	• **Failure to provide serial number** • **Physical security**	• Decline to look or unable to locate serial number for one or more devices • None of devices kept physically secure, inaccessible to unauthorized persons		
Device Functioning	• **Device operation risk**			
Admin/Access Control	• No person designated with primary responsibility, oversight and accountability for the use and security of their RDC equipment and account (i.e., no RDC Administrator) • **No staff authorized and trained for RDC** • Lack written procedures to deprovision credentials/keys on staff departure • Do not always delete user information from the check scanning platform upon staff departure			
Pre-Scan Procedures	• Lacks review for signs of prior deposit			
Post-Scan Procedures	• No routine review for restrictive endorsements • Not routinely add restrictive endorsements where missing (despite insufficient scanner endorsement)			

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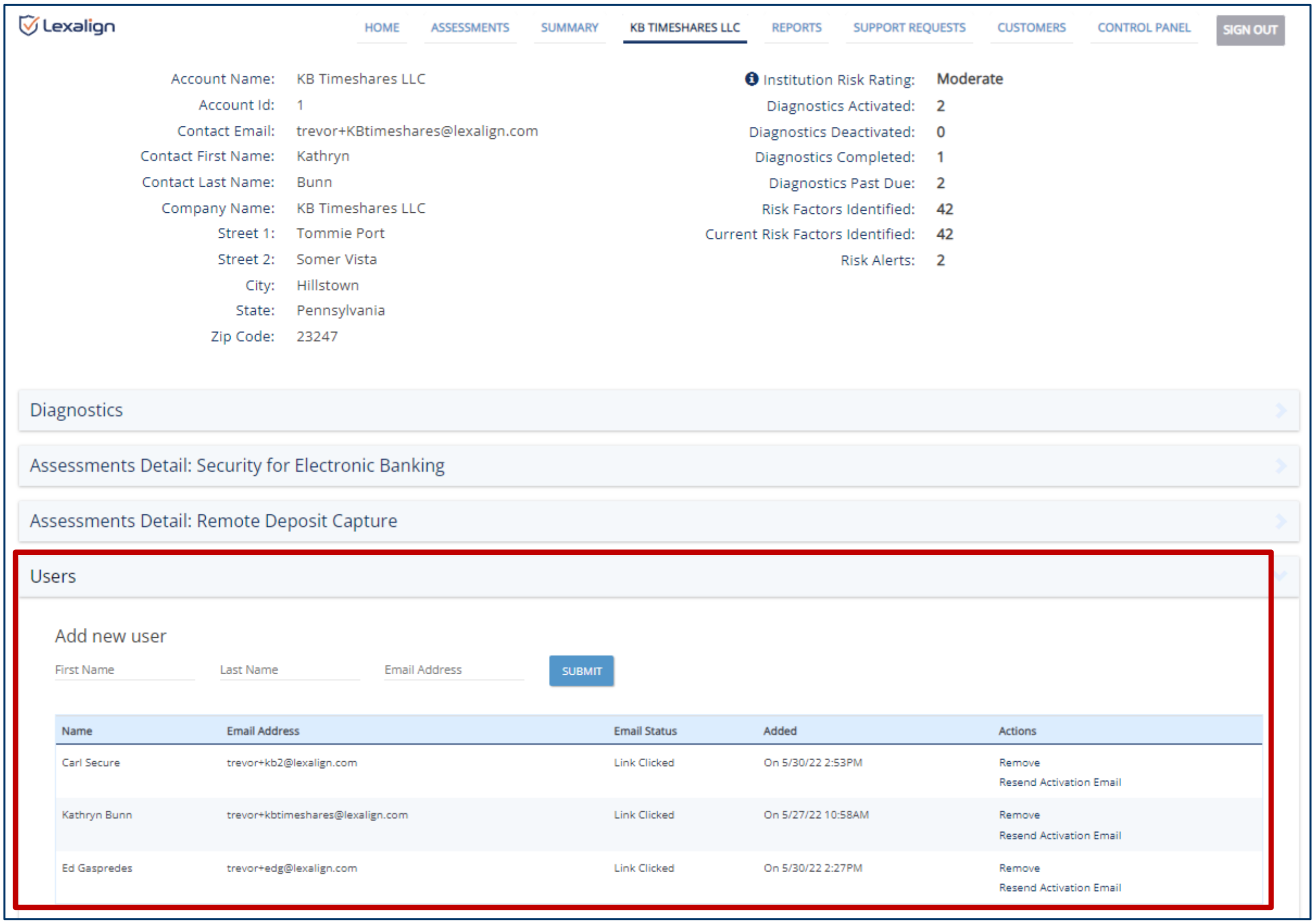
Users

The Users section of the customer page allows you to add or remove users for the selected customer. It also allows you to resend the activation email if the customer requests it.



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2.7 CONTROL PANEL

The Control Panel enables authorized users to perform various set up and implementation functions.

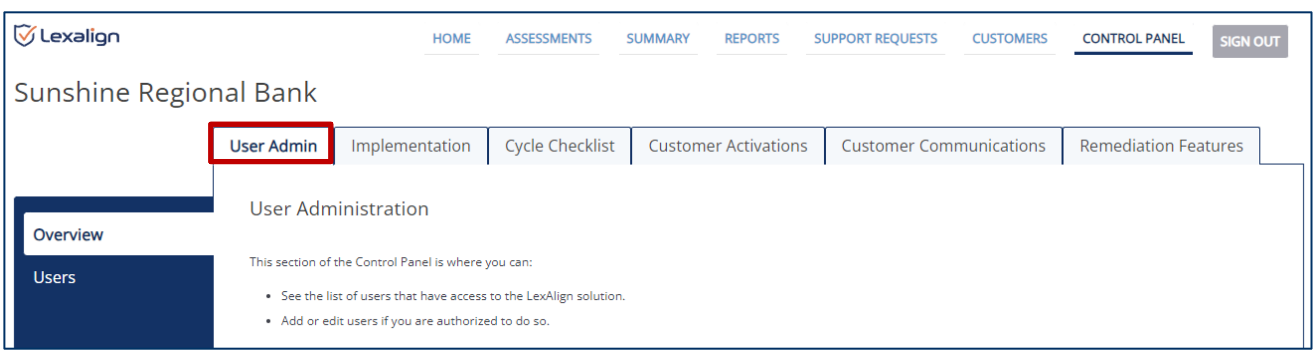
2.7.1 Roles

Institution users are assigned one or more of the roles described below:

- **Analyst**: The Analyst role has access to all dashboard functions except the Control Panel.
- **Diagnostic Admin**: Team members that are responsible for configuration using the Control Panel will be assigned the Diagnostic Admin role. The Diagnostic Admin role includes the Analyst role.
- **Institution Admin**: The Institution Admin role is used for IT resources at your institution that are responsible for giving employees access to software products. If an employee only has the Institution Admin role, they will only have access to the User Admin functions of the Control panel.

2.7.2 User Admin

The User Admin section of the Control Panel enables authorized users to add, remove, or edit users.



2.7.2.1 Users

User Admin enables users with the Diagnostic Admin role to see the list of users, but they cannot add new users, remove existing users, or change the roles of users. The addition, removal, and editing of users is done by the Institution Admin.

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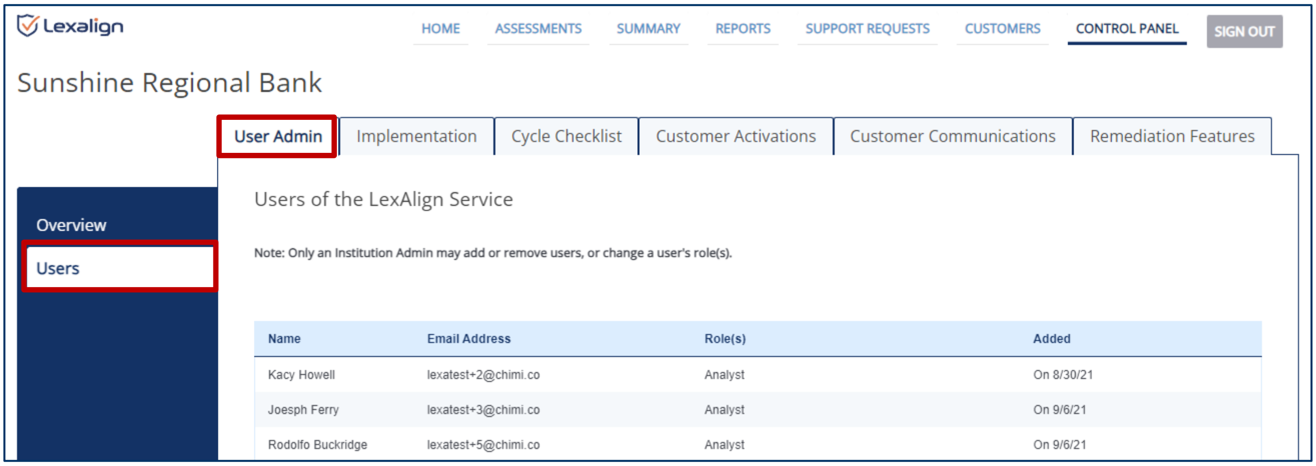
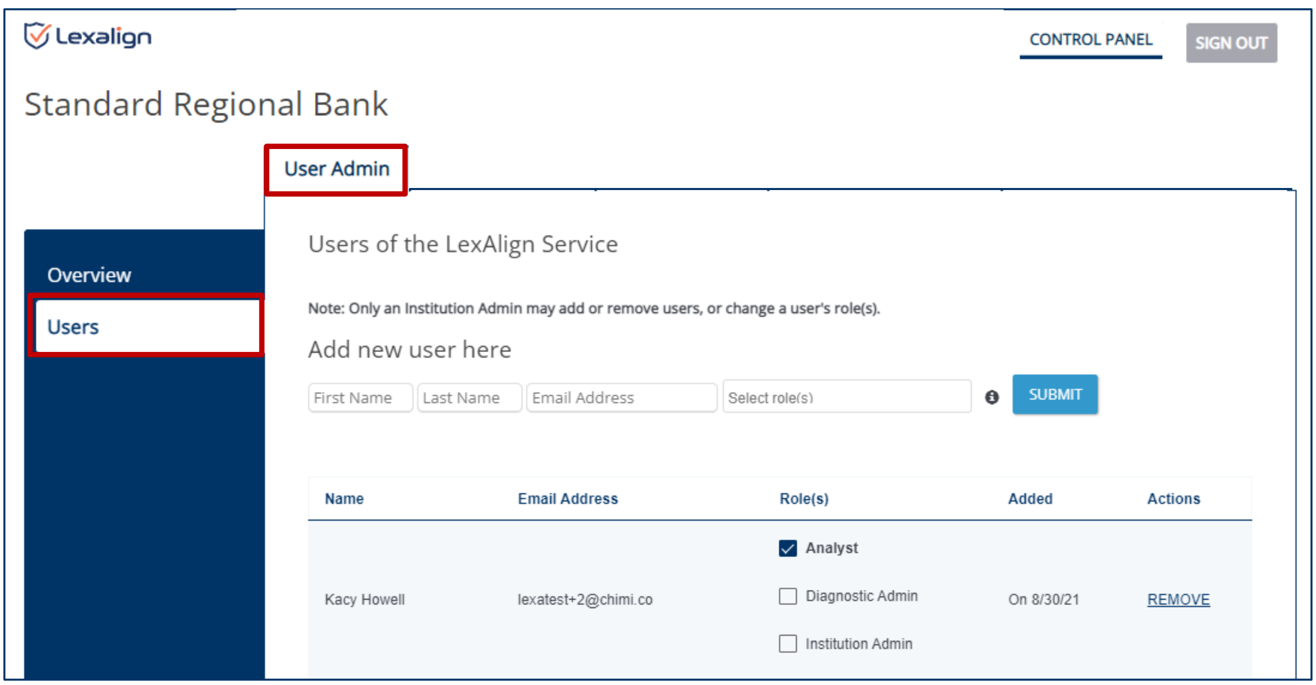


A user with **ONLY** the Institution Admin role would see the screen below. Note the limited navigation elements available to this role.

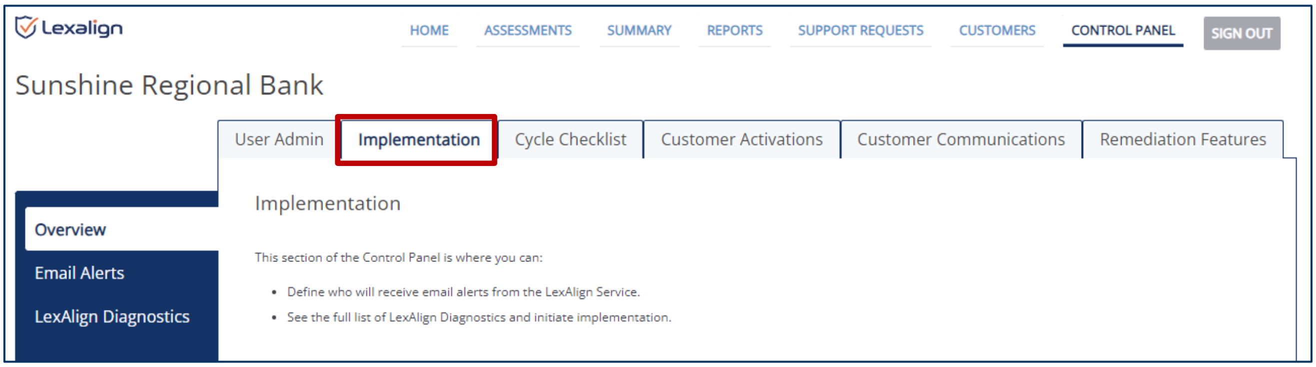
This role is designed for use by the IT/Infosec resources in your organization that are responsible for giving employees access to software products.



2.7.3 Implementation

The Implementation section of the Control Panel enables you to:

- See the list of implemented LexAlign Diagnostics.
- See the list of available LexAlign Diagnostics.
- Request implementation of available LexAlign Diagnostics.
- Identify who will receive email alerts from the LexAlign system.



2.7.3.1 Email Alerts

This section of the Control Panel allows you to configure who will receive various LexAlign system generated email alerts.

Customer Specific Notices: These email alerts let you know when a customer has requested support and when the LexAlign system identifies a customer risk that might warrant immediate action. You may configure multiple email addresses to receive these emails.

LexAlign Service Notices: Notifies you when LexAlign introduces new features, LexAlign Diagnostics, and service updates. You may configure multiple email addresses to get these emails.

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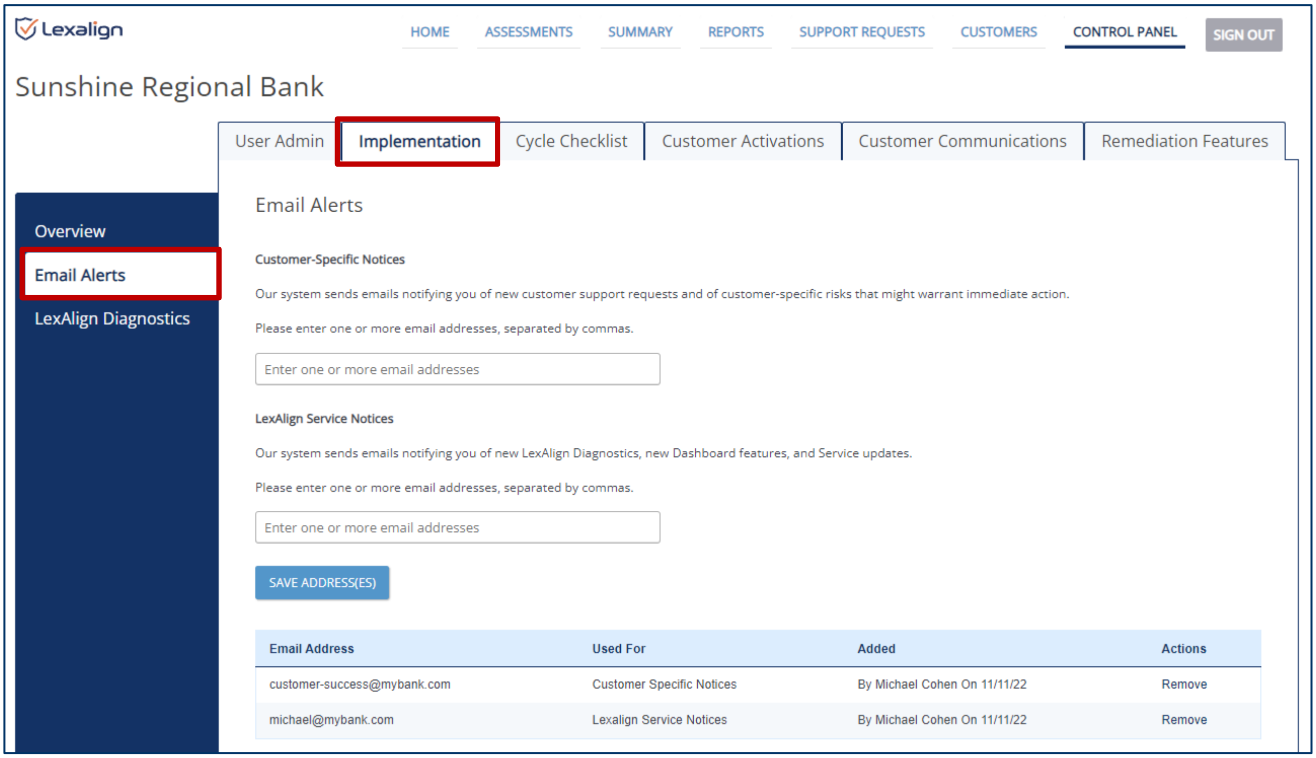
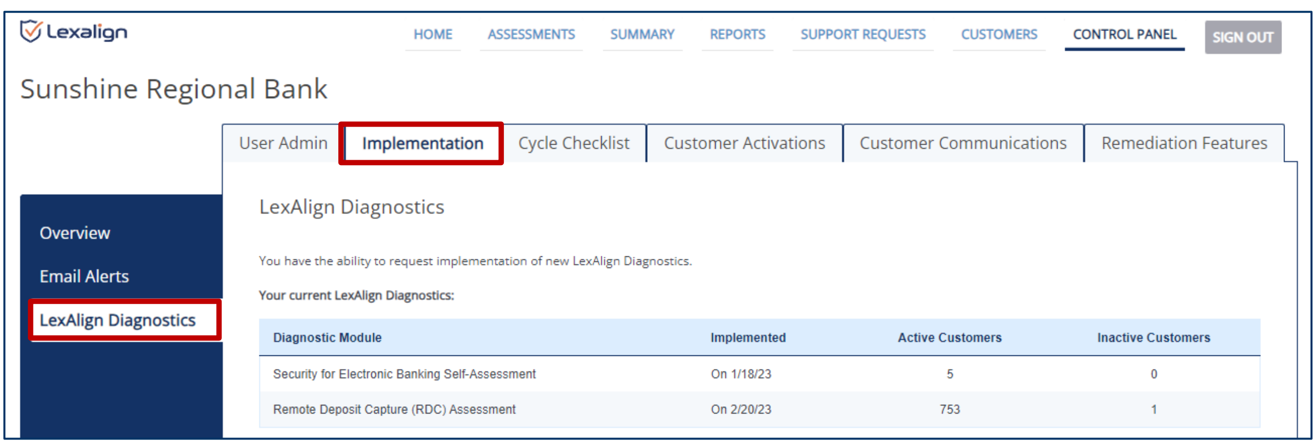


2.7.3.2 LexAlign Diagnostics

This section of the Control Panel displays the LexAlign Diagnostics that have been implemented as well as the available LexAlign Diagnostics that can be implemented. You can see when the LexAlign Diagnostic was implemented and how many customers are Active and Inactive for each.

Over-time, LexAlign will introduce new LexAlign Diagnostics that will add additional value to your institution, this section will be used to request implementation of those future LexAlign Diagnostics.



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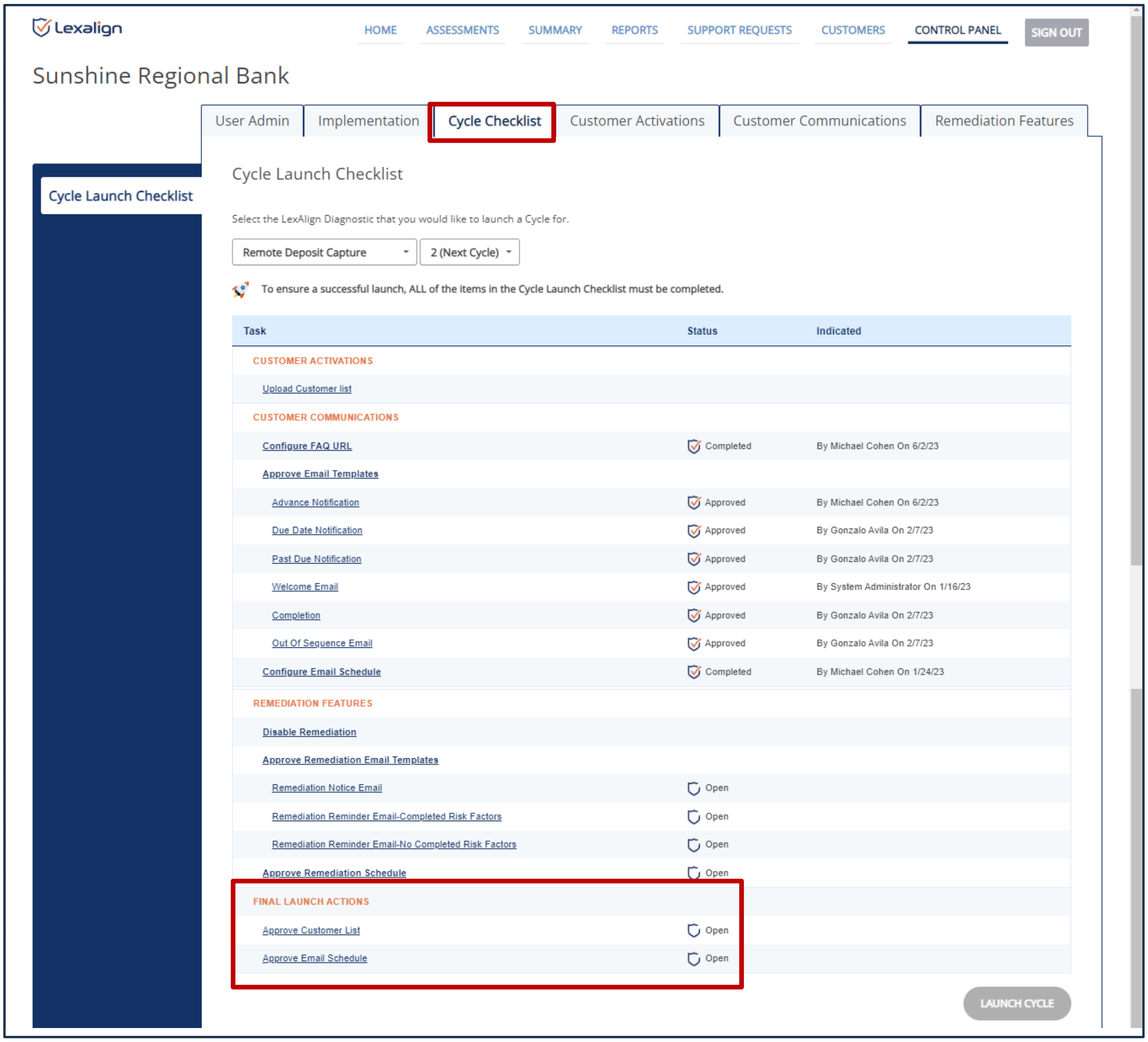
2.7.4 Cycle Checklist

The Cycle Checklist section of the Control Panel provides a roadmap for completing all of the requirements needed to launch a Cycle. The LexAlign System will automatically update the Cycle Checklist as items are completed.

The Cycle Checklist can be used to navigate to all of the relevant sections of the Control Panel required to launch a Cycle by clicking on the links in the table.



When all other checklist items have been completed, the final step in launching a Cycle is to approve the customer list and email schedule. Once approved, the "**LAUNCH CYCLE**" button will become active.

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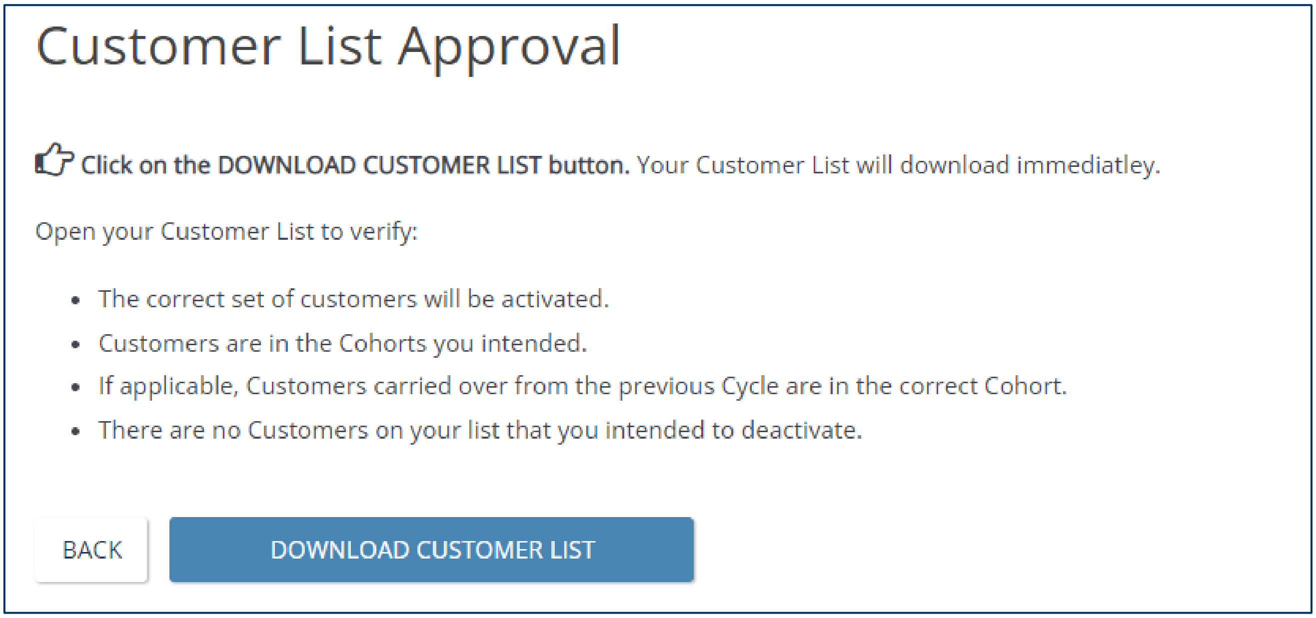
2.7.4.1 Approve Customer List

On the Cycle Launch Checklist, click on the link "Approve Customer List" and follow the instructions.



Customer List Approval

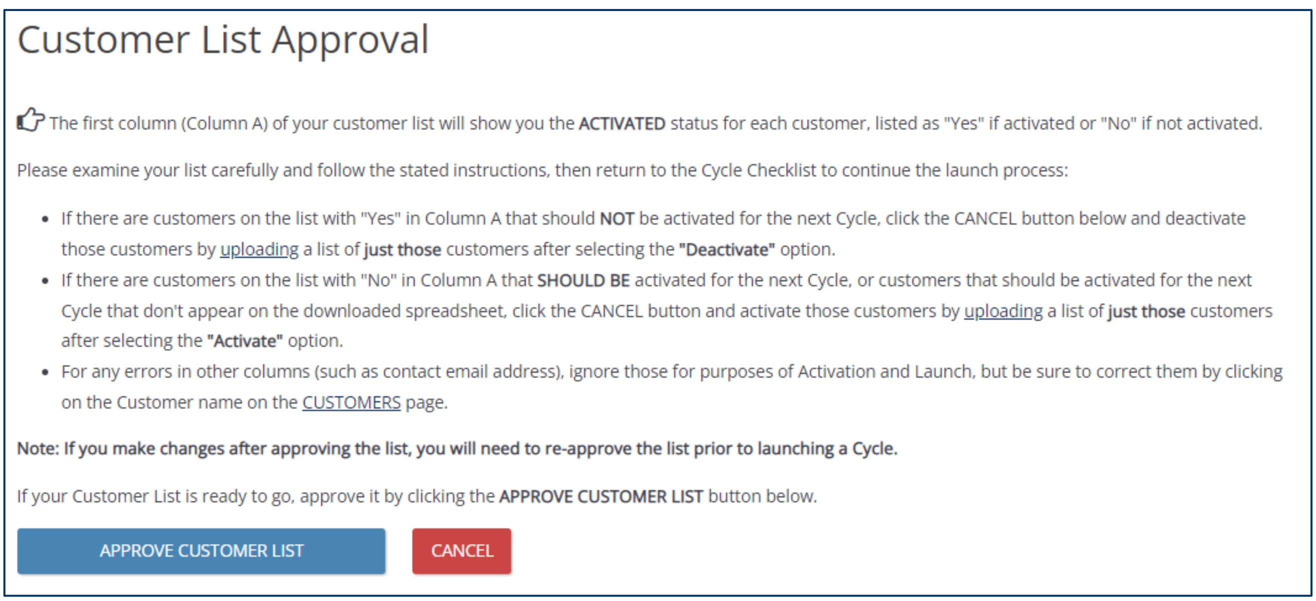
Click on the DOWNLOAD CUSTOMER LIST button. Your Customer List will download immediatley.

Open your Customer List to verify:

- The correct set of customers will be activated.
- Customers are in the Cohorts you intended.
- If applicable, Customers carried over from the previous Cycle are in the correct Cohort.
- There are no Customers on your list that you intended to deactivate.

BACK DOWNLOAD CUSTOMER LIST

When you click on the "DOWNLOAD CUSTOMER LIST" button, the customer list is immediately downloaded to the desktop. More detailed instructions for reviewing the customer list are also presented.



Customer List Approval

The first column (Column A) of your customer list will show you the **ACTIVATED** status for each customer, listed as "Yes" if activated or "No" if not activated.

Please examine your list carefully and follow the stated instructions, then return to the Cycle Checklist to continue the launch process:

- If there are customers on the list with "Yes" in Column A that should **NOT** be activated for the next Cycle, click the CANCEL button below and deactivate those customers by uploading a list of **just those** customers after selecting the **"Deactivate"** option.
- If there are customers on the list with "No" in Column A that **SHOULD BE** activated for the next Cycle, or customers that should be activated for the next Cycle that don't appear on the downloaded spreadsheet, click the CANCEL button and activate those customers by uploading a list of **just those** customers after selecting the **"Activate"** option.
- For any errors in other columns (such as contact email address), ignore those for purposes of Activation and Launch, but be sure to correct them by clicking on the Customer name on the CUSTOMERS page.

Note: If you make changes after approving the list, you will need to re-approve the list prior to launching a Cycle.

If your Customer List is ready to go, approve it by clicking the **APPROVE CUSTOMER LIST** button below.

APPROVE CUSTOMER LIST CANCEL

If the customer list looks good, click on the "APPROVE CUSTOMER LIST" button. If changes need to be made, click on the "CANCEL" button.

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2.7.4.2 Approve Email Schedule

On the Cycle Launch Checklist, click on the link "Approve Email Schedule" and follow the instructions.

Email Schedule Approval

Please review the email schedule for this Cycle below.

To correct any issues you see with Cohort dates or email notification preferences, return to the Email Schedule.

You can view a detailed list of your email schedule here.

If your Email Schedule is ready to go, approve it by clicking the **APPROVE EMAIL SCHEDULE** button below.

Remote Deposit Capture (RDC) Assessment

Cohort	Count	Notification Start Date	Email Interval	Advance Notification(s)	Past Due Notification(s)	Modified
3	244	1/30/23	7	3	2	By Michael Cohen On 1/24/23
2	263	2/13/23	7	2	1	By Michael Cohen On 1/30/23
4	3	2/20/23	7	2	1	By Michael Cohen On 1/30/23
1	236	2/5/23	1	1	1	By Michael Cohen On 2/4/23

* The Assessment Due Date is calculated based on the settings you configured.

APPROVE EMAIL SCHEDULE CANCEL

If the email schedule looks good, click on the "APPROVE EMAIL SCHEDULE" button. If changes need to be made, click on the "CANCEL" button.

Once all items are complete, the "**LAUNCH CYCLE**" button will be enabled to launch the Cycle. When the button is clicked, the LexAlign System will perform a validation check and alert the user if any issues are identified with the configuration defined.

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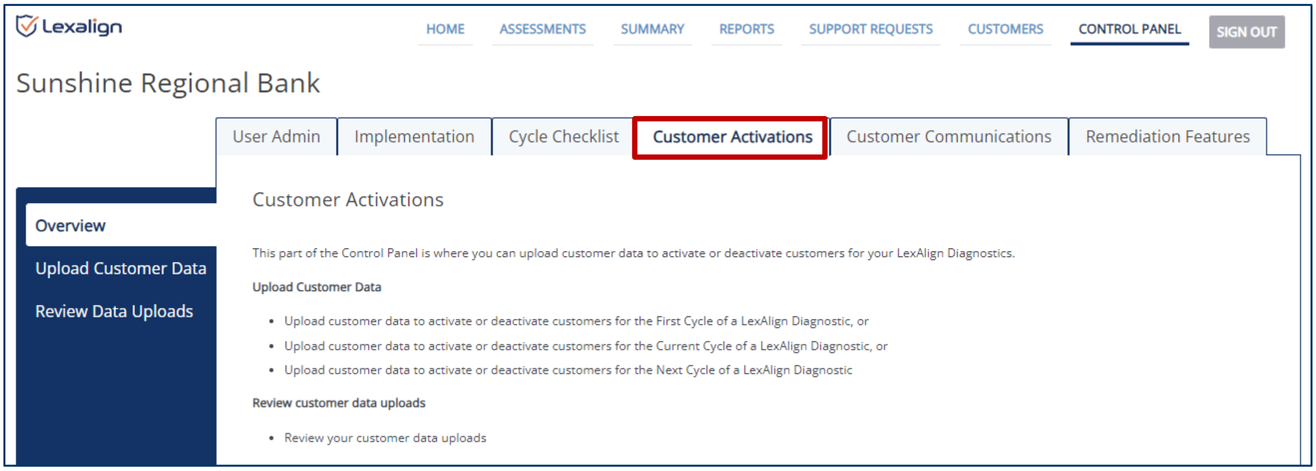
2.7.4 Customer Activations

The Customer Activations section of the Control Panel enables you to upload customer data to activate or deactivate customers for specific LexAlign Diagnostics.



2.7.4.1 Customer Data Uploads

This section describes the process for preparing and uploading customer data into the LexAlign System.

Uploading data is the first step in activating customers for each LexAlign Diagnostic.

The steps involved in uploading data include:

1. Preparing the data.
2. Using the Data Upload Wizard.
3. Reviewing the data upload and taking appropriate actions based on the upload results.

Overview:

- The FI is entirely responsible for the quality and correctness of their data. To avoid causing offense to their customer, **they should use the organization name that would appear on a statement, rather than a shorthand name they might use for internal purposes.**
- Add customers to the LexAlign System by uploading and activating them for a LexAlign Diagnostic via the Data Upload process explained below.
- Customers may access a LexAlign Diagnostic (and receive related notifications) only if they've been uploaded to the LexAlign System and activated for that LexAlign Diagnostic, and not deactivated.
- Once activated for a given LexAlign Diagnostic, customers will remain activated for future Cycles until deactivated.

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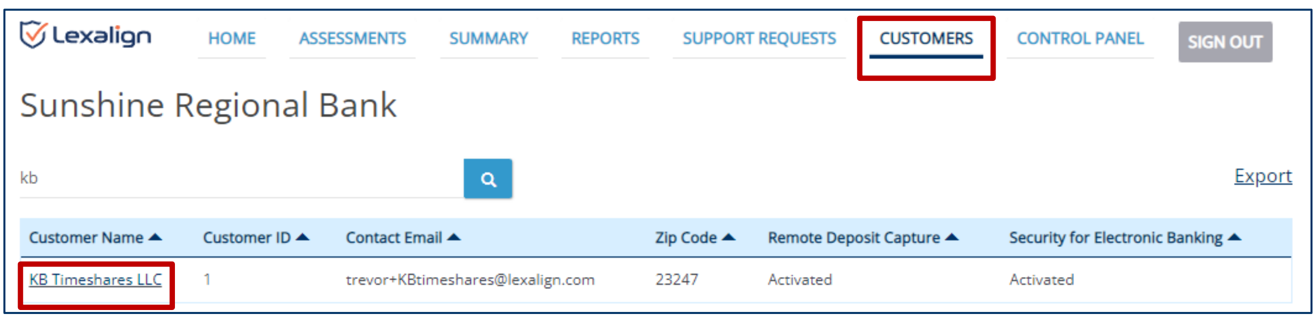
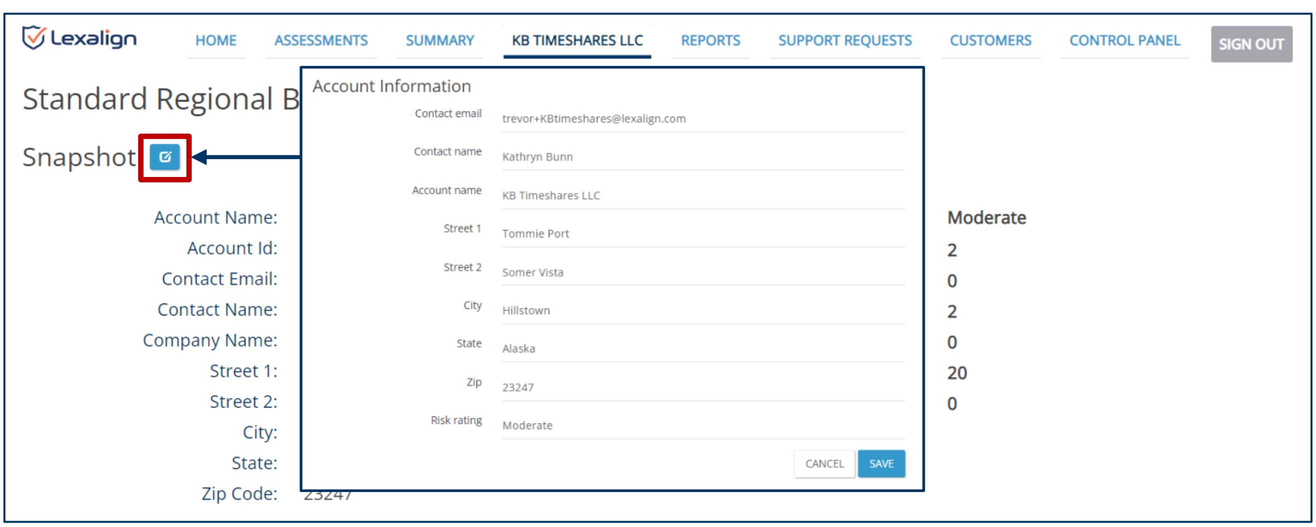
- To change Cohort assignments for the next Cycle, use the Data Upload process. Customers that already exist on the LexAlign System will be assigned to the Cohort that appears on the latest Data Upload.
- You may deactivate a customer either on an individual basis via their Company Page (accessed via the “CUSTOMERS” Page as described below), or in a batch via the Data Upload process.
- Once a customer is uploaded, the only way to change any profile attributes (including contact name, email address, physical address, or risk rating) is via their Company Page (see below). Such data cannot be modified via the Data Upload process.
- **In summary**, the Data Upload process is intended for adding new customers to the LexAlign System, activating or deactivating customers for a LexAlign Diagnostic, and assigning or reassigning customers to Cohorts for each LexAlign Diagnostic.

This is how you change data attributes of customers that already exist on the LexAlign System:

Edit existing customer information via the “**CUSTOMERS**” Page. To access the editable customer profile, search to locate the customer and then click on the customer name.

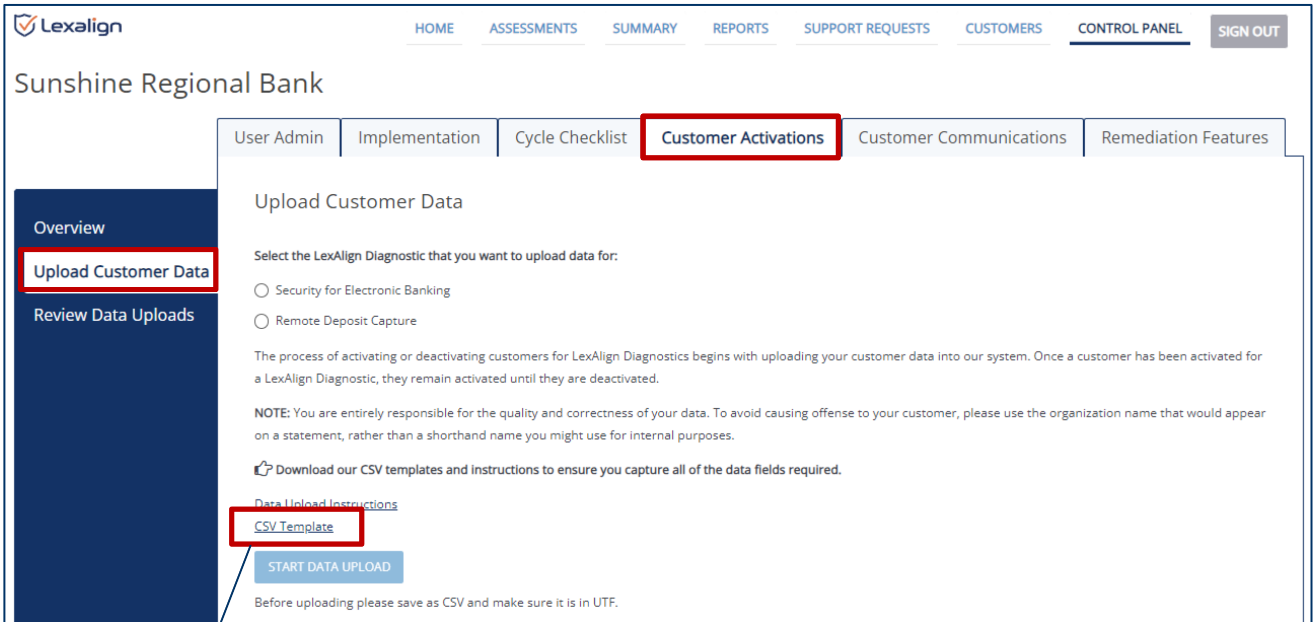


Once the customer’s Company Page loads, click on the Edit button next to the customer Snapshot, a page will open allowing you to edit the company information.



2.7.4.2 Preparing data for the FIRST Cycle

Download the LexAlign CSV Template from the “Upload Customer Data” section of the Control Panel. Use this CSV Template to ensure you provide the data needed by the LexAlign System.



CSV Template

	A	B	C	D	E	F	G	H	I	J	K	L	M
1	Company ID	Company Name	DBA	Cohort	Risk Rating	Contact Email	Contact First Name	Contact Last Name	Street 1	Street 2	City	State	Zip Code
2													

The fields in the CSV Template include:

- **Company ID**: This is a unique identifier for the customer that never changes. It is used by LexAlign to associate customer records accurately. A unique identifier may be assigned that is used for other purposes, but financial account numbers should never be used as an identifier.
- **Company Name**: The customer’s company name as it might appear on a statement or other communication.
- **DBA**: The company name the customer is “Doing Business As.”
- **Cohort**: Cohorts are used to group customers for easier management. Cohorts can be organized by risk, size, randomly, or simply for evenly dividing the customers into a certain number of groups. The Cohort field is a number for the group that the customer will be placed in (1,2,3,etc.). LexAlign Diagnostics are launched to each Cohort according to a specific schedule defined in the “Customer Communications” section of the Control Panel.
- **Risk Rating**: The internal risk rating for the customer. This is optional. Some financial institutions like to see this together with the results of the LexAlign Diagnostics on the Assessments Page.

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- **Contact Name**: The customer contact first and last name.
- **Contact Email Address**: The customer contact email address.
- **Street 1**: The customer's primary street address.
- **Street 2**: The customer's street 2 address such as Suite Number or Building Number.
- **City**: The customer's city.
- **State**: The customer's state.
- **Zip Code**: The customer's zip code.

Naming the upload file

Give the upload file a descriptive name that will enable you to easily find it among a set of other uploads for later review on the LexAlign System. Including a reference to the applicable LexAlign Diagnostic and the date of upload can be helpful in this regard.

A file name example could be: RDC-060123-Activated.csv

REQUIRED FIELDS FOR EACH DATA UPLOAD INTENTION

This table identifies the fields that are required for each data upload intention. "Existing customers" are ones that have been uploaded to the LexAlign System in a prior activation and therefore already "exist" on the LexAlign System in connection with the institution.

Field	Activate NEW Customers for Next Cycle	Activate NEW Customers for Current Cycle	Activate EXISTING Customers for Next Cycle	Activate EXISTING Customers for Current Cycle	Deactivate Customers
Company ID	✓	✓	✓	✓	✓
Company Name	✓	✓	✓	✓	✓
Contact Name	✓	✓			
DBA					
Contact Email	✓	✓			
Street 1					
Street 2					
City					
State					
Zip Code	✓	✓			
Cohort	✓		✓		
Risk Rating					

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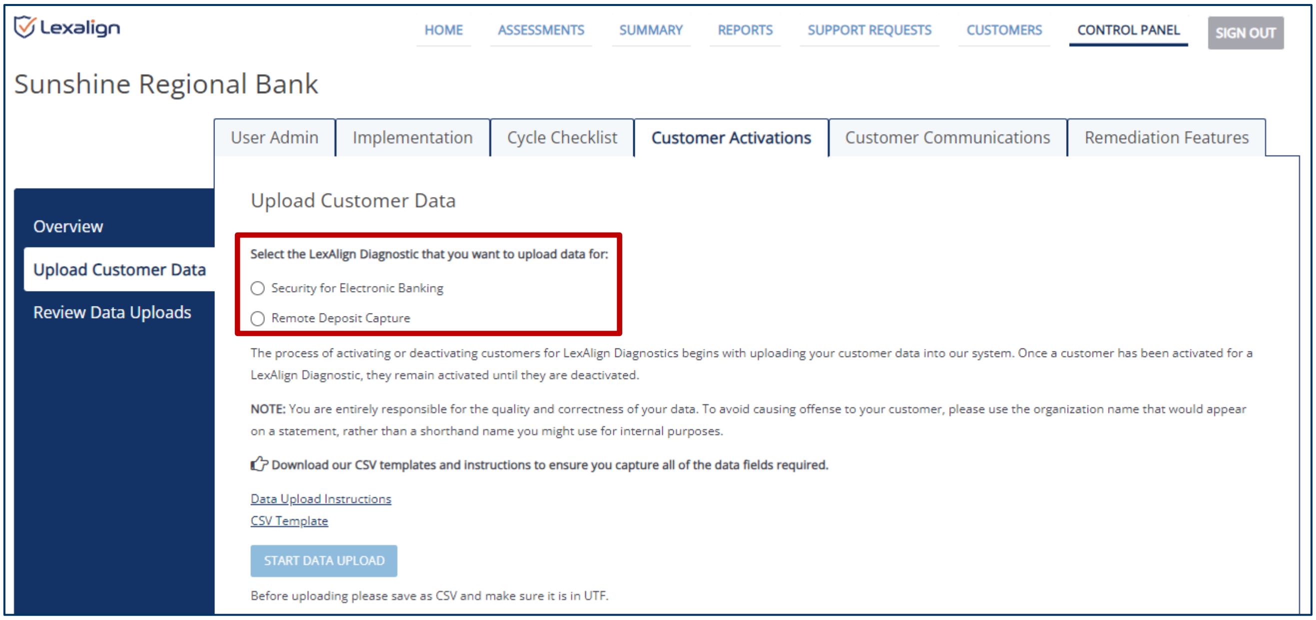
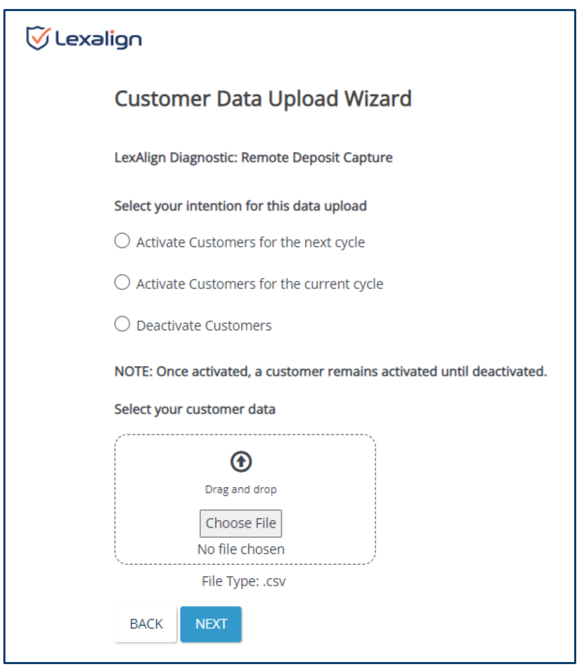
2.7.4.3 Using the Data Upload Wizard

The Data Upload Wizard walks you through the required steps to upload customer data. First, select the LexAlign Diagnostic that you want to upload data for, then click on the "**START DATA UPLOAD**" button to launch the wizard.





Select your Intention for this Data Upload

This defines the intention for the data upload.

- **Activate Customers for the next Cycle**: This selection will activate customers for the next Cycle.

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- **Activate Customers for the current and subsequent Cycles**: This selection will activate customers for the current Cycle, and the activation will carry forward to future Cycles. For the current Cycle, customers will be placed in the last-to-launch (highest number) Cohort.
- **Deactivate Customers**: This selection will deactivate customers. Deactivated customers will not be included in tabulations of data for the Home and Summary pages or be included in certain Reports (such as Risk Factor reports). In addition, Deactivated customers will no longer receive email notifications regarding an Assessment.

You must include Cohort numbers in the upload file for the **next Cycle**.

Finally, a customer that is deactivated for a current Cycle will show up on the deactivation list on the Assessments Page for that Cycle. They will not show up on the Assessments Page for the same LexAlign Diagnostic for the next Cycle unless you Activate them for the next Cycle.

Select the Customer Data

Drag and drop the CSV file or click "Choose File" to locate the file and select it. After selecting the file, click on the "**NEXT**" button.

Mapping The Data

After successfully uploading the CSV file, the wizard will allow you to map the fields contained within the data upload file.

- The table will list the columns that were identified in the file.
- All columns must be mapped.
- If you do not want a particular column uploaded, map it to "Ignore Column".

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Header	Sample Row	Map to
Company ID	FI2001	Company ID
Customer	Flowers, Inc.	Ignore Column
DBA	Flowers-R-Us	DBA
First Name	Debbie	Contact First Name
Last Name	Carnation	Contact Last Name
Contact Email	debbie@frus.com	Contact Email
Address	13225 Braker Ln	Street 1
Address2	Suite 100	Street 2
City	Austin	City
State	TX	State
Zip Code	78707	Zip Code
Cohort	1	Cohort
Risk Rating	High	Risk Rating

BACK CANCEL SUBMIT

When all of the fields have been mapped, click on the "**NEXT**" button.

The data upload wizard is now complete. Next, the LexAlign System will analyze the data.

Customer Data Upload Wizard

Thank you for submitting your data.

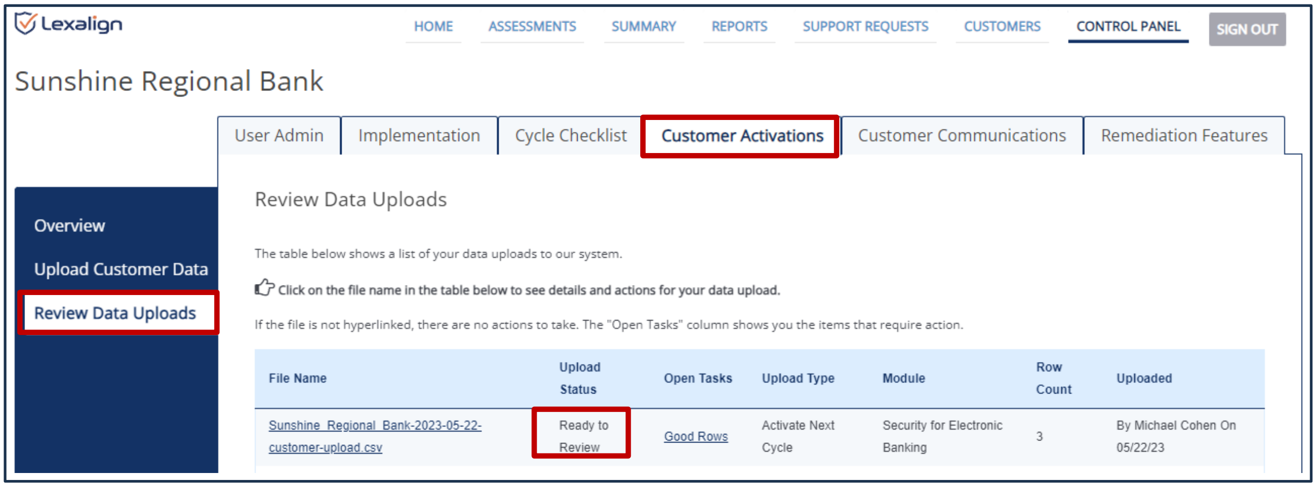
You will recieve an email when your data is ready to be reviewed.
Please allow one to two business days for processing.

BACK

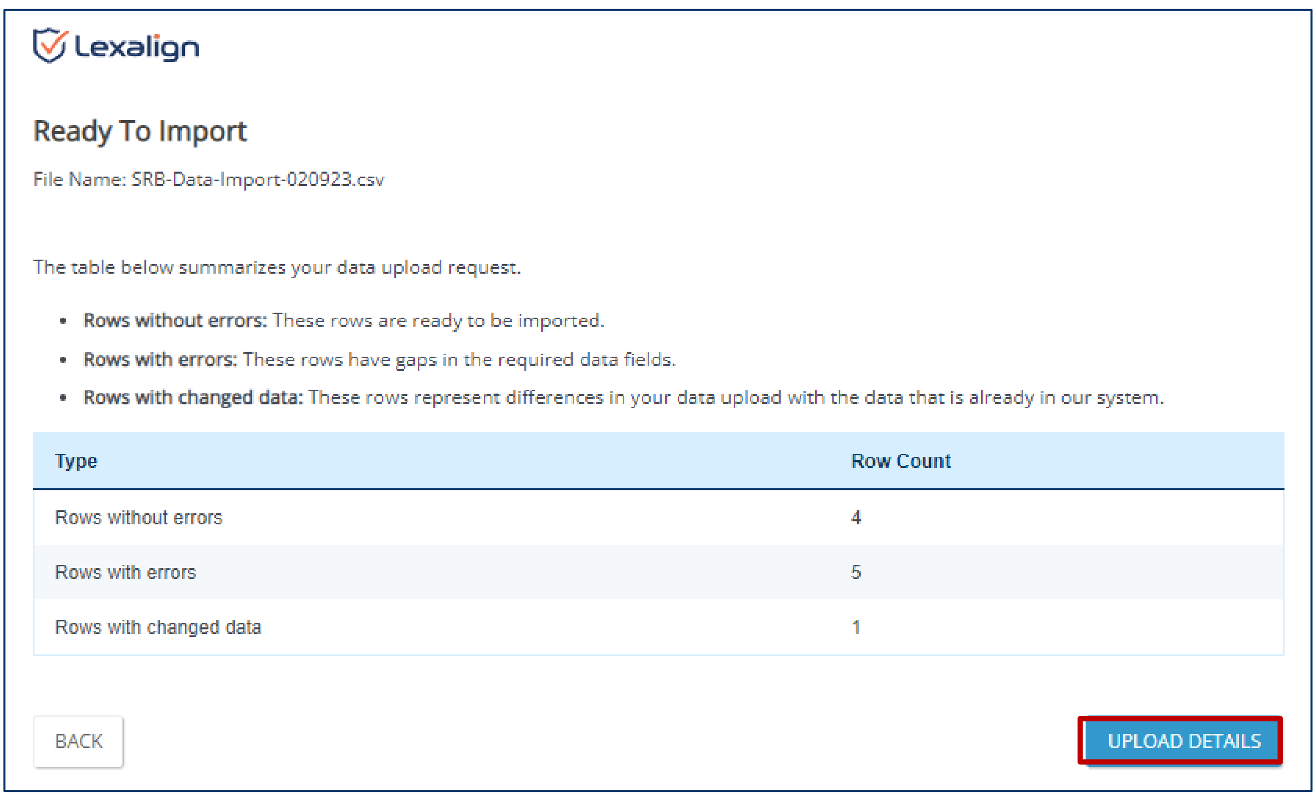
When the data is ready to be reviewed the FI will receive an email message at the email address provided for "LexAlign Service Notices" under the Implementation tab. The file link will be active in the "Review Data Uploads" section of the Control Panel.

2.7.4.4 Reviewing the Data Upload

Once the data has been processed, you will see the upload "**Ready to Review**" in the "Review Data Uploads" section of the Control Panel.



Click on the file name to review the details about the data upload, then click on the "**UPLOAD DETAILS**" button to review and act on the data.



UPLOAD DETAILS

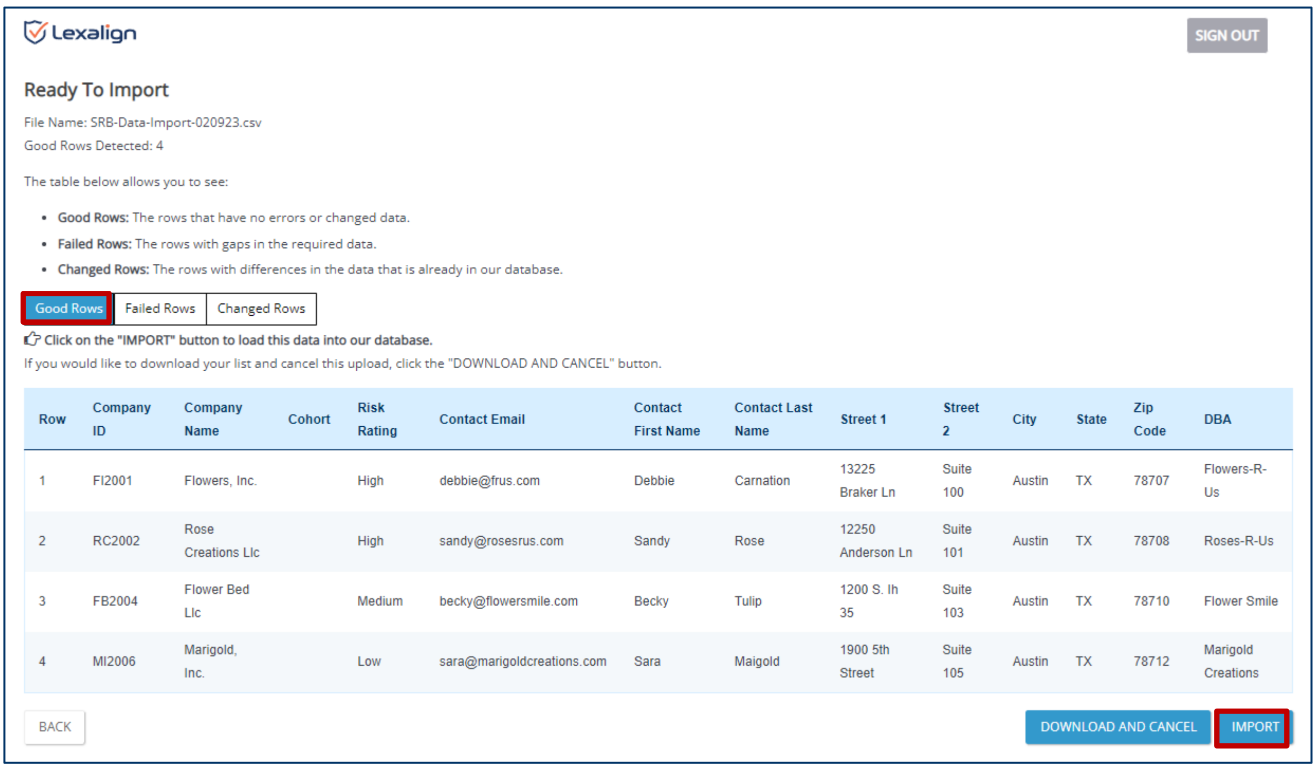
There are three sections in Upload Details:

- **GOOD ROWS**: Rows that have no errors and can be safely imported.
- **FAILED ROWS**: Rows that have errors and must be fixed before they can be imported.
- **CHANGED ROWS**: Rows whose data is different than what is already on the LexAlign System for a given customer.

GOOD ROWS (Rows without errors)

These are the rows that have no errors or changed data and are ready to be imported.

Click on the "**IMPORT**" button to activate the customers contained in those rows for the selected Diagnostic, Cycle, and Cohort.


Lexalign

SIGN OUT

Ready To Import

File Name: SRB-Data-Import-020923.csv
Good Rows Detected: 4

The table below allows you to see:

- **Good Rows:** The rows that have no errors or changed data.
- **Failed Rows:** The rows with gaps in the required data.
- **Changed Rows:** The rows with differences in the data that is already in our database.

Good Rows | Failed Rows | Changed Rows

Click on the "IMPORT" button to load this data into our database.
If you would like to download your list and cancel this upload, click the "DOWNLOAD AND CANCEL" button.

Row	Company ID	Company Name	Cohort	Risk Rating	Contact Email	Contact First Name	Contact Last Name	Street 1	Street 2	City	State	Zip Code	DBA
1	FI2001	Flowers, Inc.		High	debbie@frus.com	Debbie	Carnation	13225 Braker Ln	Suite 100	Austin	TX	78707	Flowers-R-Us
2	RC2002	Rose Creations Llc		High	sandy@rosesrus.com	Sandy	Rose	12250 Anderson Ln	Suite 101	Austin	TX	78708	Roses-R-Us
3	FB2004	Flower Bed Llc		Medium	becky@flowersmile.com	Becky	Tulip	1200 S. Ih 35	Suite 103	Austin	TX	78710	Flower Smile
4	MI2006	Marigold, Inc.		Low	sara@marigoldcreations.com	Sara	Maigold	1900 5th Street	Suite 105	Austin	TX	78712	Marigold Creations

BACK | DOWNLOAD AND CANCEL | IMPORT

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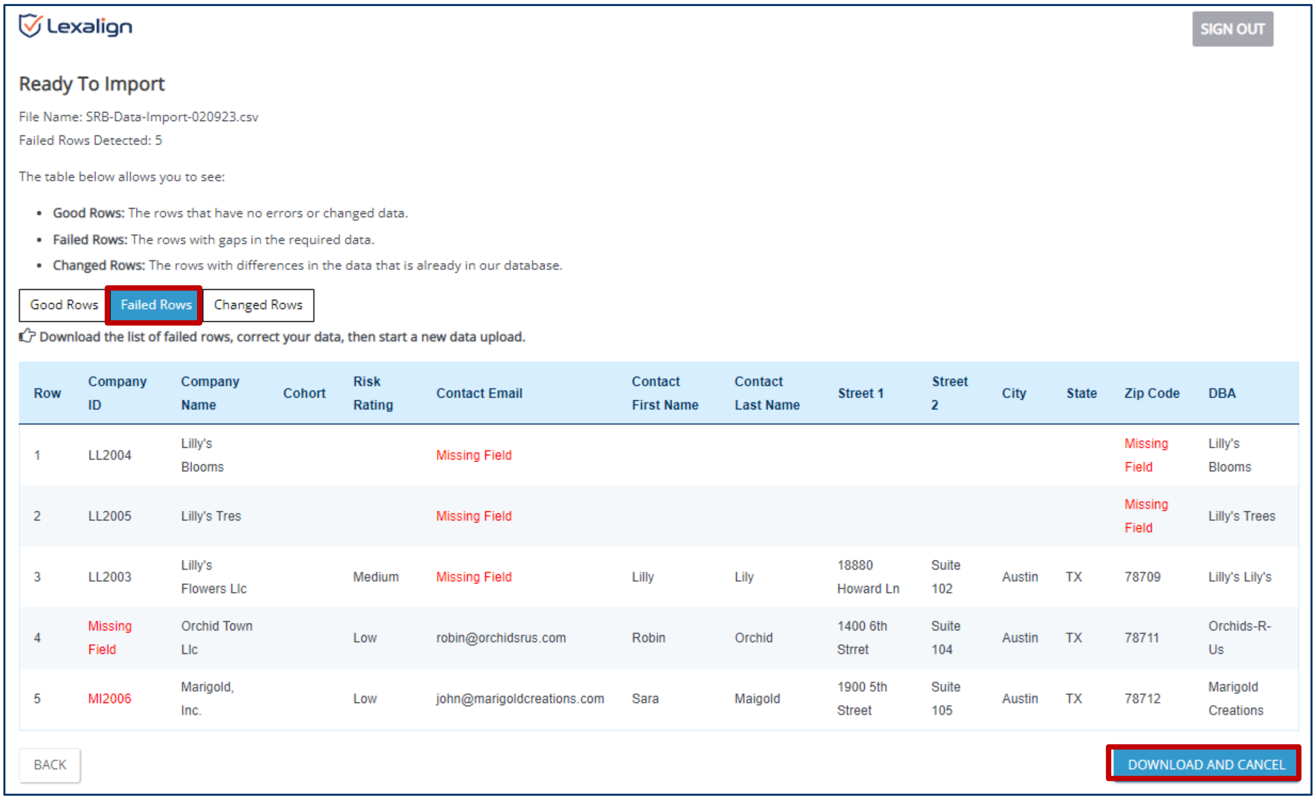
FAILED ROWS (Rows with errors)

These are the rows with gaps or errors in the required data.

Download the data file, correct the issues, then start a new data upload to import this data into the LexAlign System.



Lexalign

SIGN OUT

Ready To Import

File Name: SRB-Data-Import-020923.csv

Failed Rows Detected: 5

The table below allows you to see:

- **Good Rows:** The rows that have no errors or changed data.
- **Failed Rows:** The rows with gaps in the required data.
- **Changed Rows:** The rows with differences in the data that is already in our database.

Good Rows | Failed Rows | Changed Rows

Download the list of failed rows, correct your data, then start a new data upload.

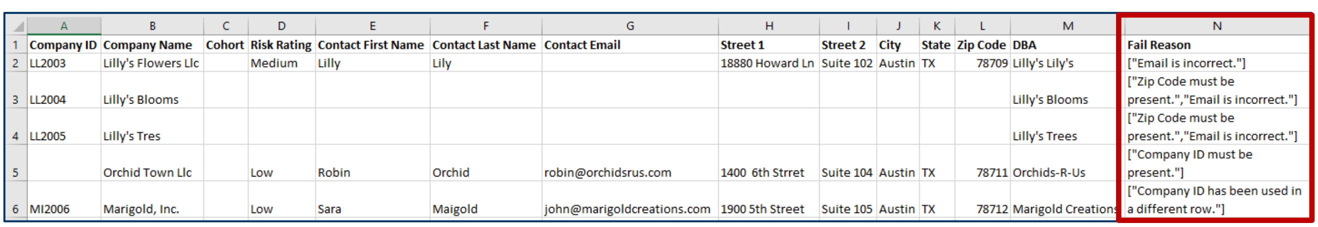
Row	Company ID	Company Name	Cohort	Risk Rating	Contact Email	Contact First Name	Contact Last Name	Street 1	Street 2	City	State	Zip Code	DBA
1	LL2004	Lilly's Blooms			Missing Field							Missing Field	Lilly's Blooms
2	LL2005	Lilly's Tres			Missing Field							Missing Field	Lilly's Trees
3	LL2003	Lilly's Flowers Llc		Medium	Missing Field	Lilly	Lily	18880 Howard Ln	Suite 102	Austin	TX	78709	Lilly's Lily's
4	Missing Field	Orchid Town Llc		Low	robin@orchidsrus.com	Robin	Orchid	1400 6th Strret	Suite 104	Austin	TX	78711	Orchids-R-Us
5	MI2006	Marigold, Inc.		Low	john@marigoldcreations.com	Sara	Maigold	1900 5th Street	Suite 105	Austin	TX	78712	Marigold Creations

BACK

DOWNLOAD AND CANCEL

The file you download will have a column called "**Fail Reason,**" to help you identify the reason that caused the row to fail. Correct the issue, and then start a new data upload to process it.

NOTE: Delete the column "Fail Reason" before importing the corrected CSV file.



	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Company ID	Company Name	Cohort	Risk Rating	Contact First Name	Contact Last Name	Contact Email	Street 1	Street 2	City	State	Zip Code	DBA	Fail Reason
2	LL2003	Lilly's Flowers Llc		Medium	Lilly	Lily		18880 Howard Ln	Suite 102	Austin	TX	78709	Lilly's Lily's	["Email is incorrect."]
3	LL2004	Lilly's Blooms											Lilly's Blooms	["Zip Code must be present.","Email is incorrect."]
4	LL2005	Lilly's Tres											Lilly's Trees	["Zip Code must be present.","Email is incorrect."]
5		Orchid Town Llc		Low	Robin	Orchid	robin@orchidsrus.com	1400 6th Strret	Suite 104	Austin	TX	78711	Orchids-R-Us	["Company ID must be present."]
6	MI2006	Marigold, Inc.		Low	Sara	Maigold	john@marigoldcreations.com	1900 5th Street	Suite 105	Austin	TX	78712	Marigold Creations	["Company ID has been used in a different row."]

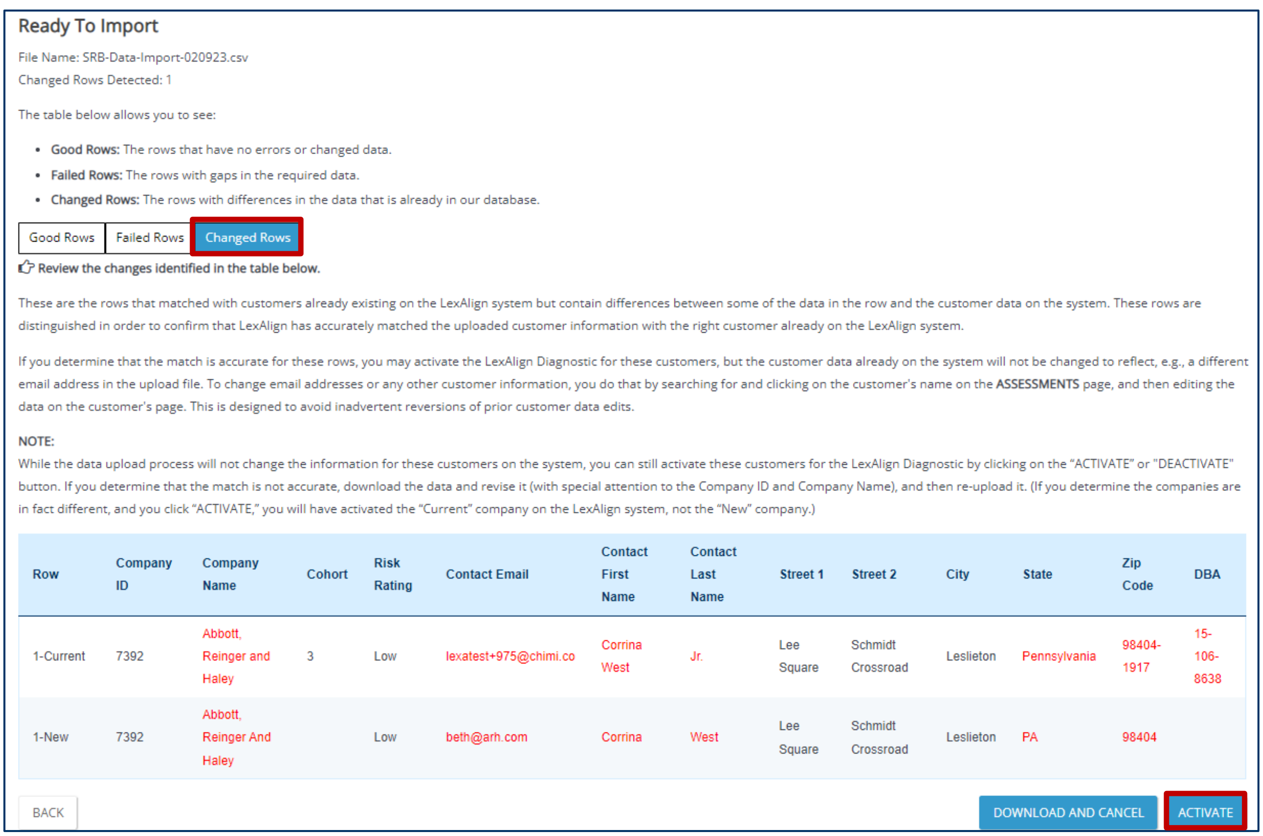
CHANGED ROWS (Rows with changed data)

These are the rows that matched with customers already existing on the LexAlign System but contain differences between some of the data in the row and the customer data on the system. These rows are distinguished in order to confirm that LexAlign has accurately matched the uploaded customer information with the right customer already on the LexAlign System.

If you determine that the match is accurate for these rows, you may activate the LexAlign Diagnostic for these customers, but the customer data already on the system will not be changed to reflect, e.g., a different email address in the upload file. To change email addresses or any other customer information, you do that by searching for and clicking on the customer's name on the **CUSTOMERS** Page, and then editing the data. This is designed to avoid inadvertent reversions of prior customer data edits.

NOTE:

While the data upload process will not change the information for these customers on the system, you can still activate these customers for the LexAlign Diagnostic by clicking on the "**ACTIVATE**" button. If you determine that the match is not accurate, download the data and revise it (with special attention to the Company ID and Company Name), and then re-upload it. (If you determine the companies are in fact different, and you click "ACTIVATE," you will have activated the "Current" company on the LexAlign System, not the "New" company.)


Ready To Import

File Name: SRB-Data-Import-020923.csv

Changed Rows Detected: 1

The table below allows you to see:

- **Good Rows:** The rows that have no errors or changed data.
- **Failed Rows:** The rows with gaps in the required data.
- **Changed Rows:** The rows with differences in the data that is already in our database.

Good Rows | Failed Rows | Changed Rows

Review the changes identified in the table below.

These are the rows that matched with customers already existing on the LexAlign system but contain differences between some of the data in the row and the customer data on the system. These rows are distinguished in order to confirm that LexAlign has accurately matched the uploaded customer information with the right customer already on the LexAlign system.

If you determine that the match is accurate for these rows, you may activate the LexAlign Diagnostic for these customers, but the customer data already on the system will not be changed to reflect, e.g., a different email address in the upload file. To change email addresses or any other customer information, you do that by searching for and clicking on the customer's name on the **ASSESSMENTS** page, and then editing the data on the customer's page. This is designed to avoid inadvertent reversions of prior customer data edits.

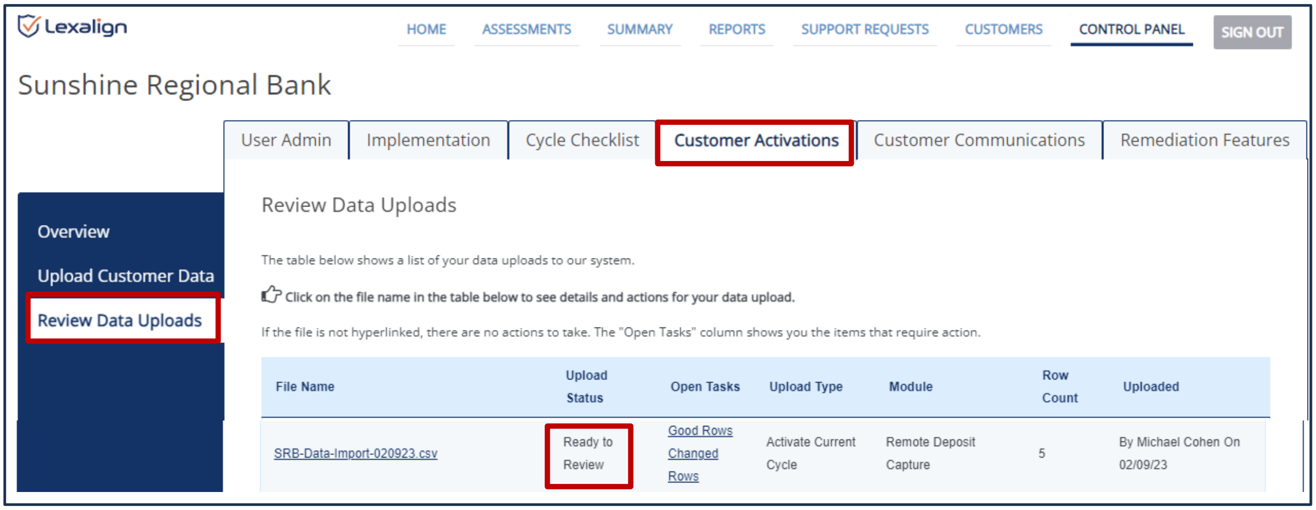
NOTE:
While the data upload process will not change the information for these customers on the system, you can still activate these customers for the LexAlign Diagnostic by clicking on the "ACTIVATE" or "DEACTIVATE" button. If you determine that the match is not accurate, download the data and revise it (with special attention to the Company ID and Company Name), and then re-upload it. (If you determine the companies are in fact different, and you click "ACTIVATE," you will have activated the "Current" company on the LexAlign system, not the "New" company.)

Row	Company ID	Company Name	Cohort	Risk Rating	Contact Email	Contact First Name	Contact Last Name	Street 1	Street 2	City	State	Zip Code	DBA
1-Current	7392	Abbott, Reinger and Haley	3	Low	lexatest+975@chimi.co	Corrina West	Jr.	Lee Square	Schmidt Crossroad	Leslieton	Pennsylvania	98404-1917	15-106-8638
1-New	7392	Abbott, Reinger And Haley		Low	beth@arh.com	Corrina	West	Lee Square	Schmidt Crossroad	Leslieton	PA	98404	

BACK | DOWNLOAD AND CANCEL | ACTIVATE

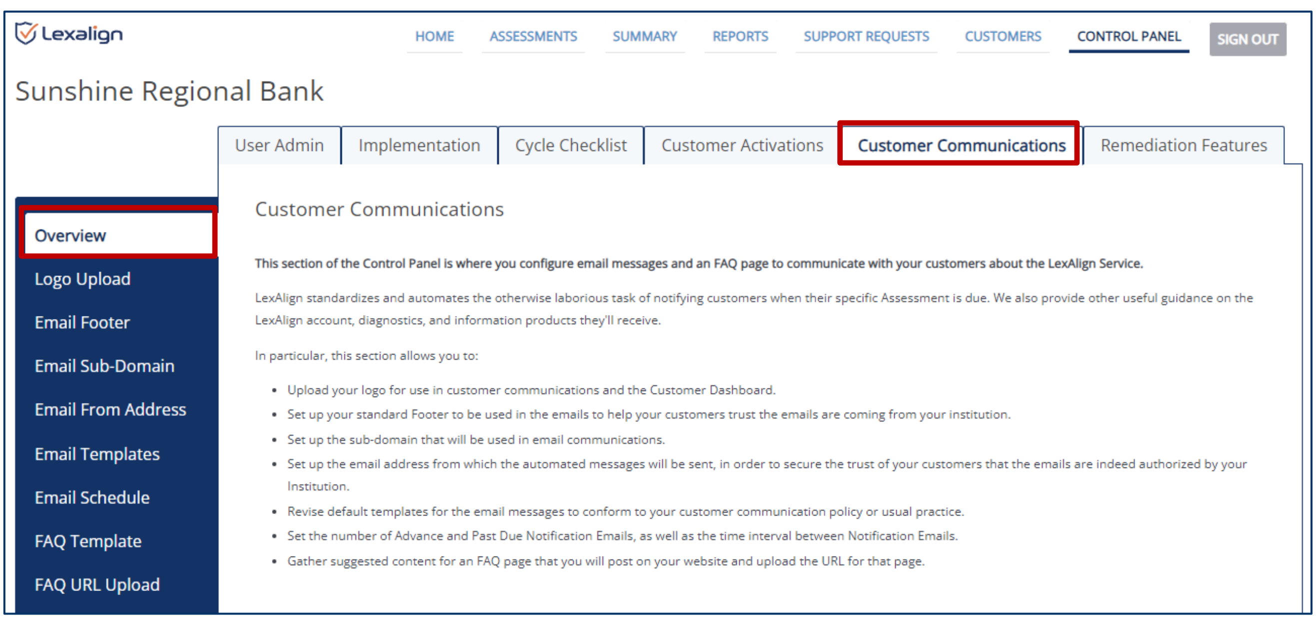
Data Upload Completion

When you have completed all actions related to a data upload, you will see the Upload Status listed as “Complete” and the file name will no longer be a link to the details.



2.7.5 Customer Communications

The Customer Communications section of the Control Panel enables you to upload your Institution logo, configure your standard email footer, define the sub-domain to be used for your email communications, tailor the email templates used in the notification process, define the email schedule by cohort, access content for use in a FAQ landing page that will live on your web site, and provide the URL for the FAQ page for use in the email communications.



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2.7.5.1 Logo Upload

Your institution logo is used in email communications with your customers as well as on the LexAlign Customer Dashboard.

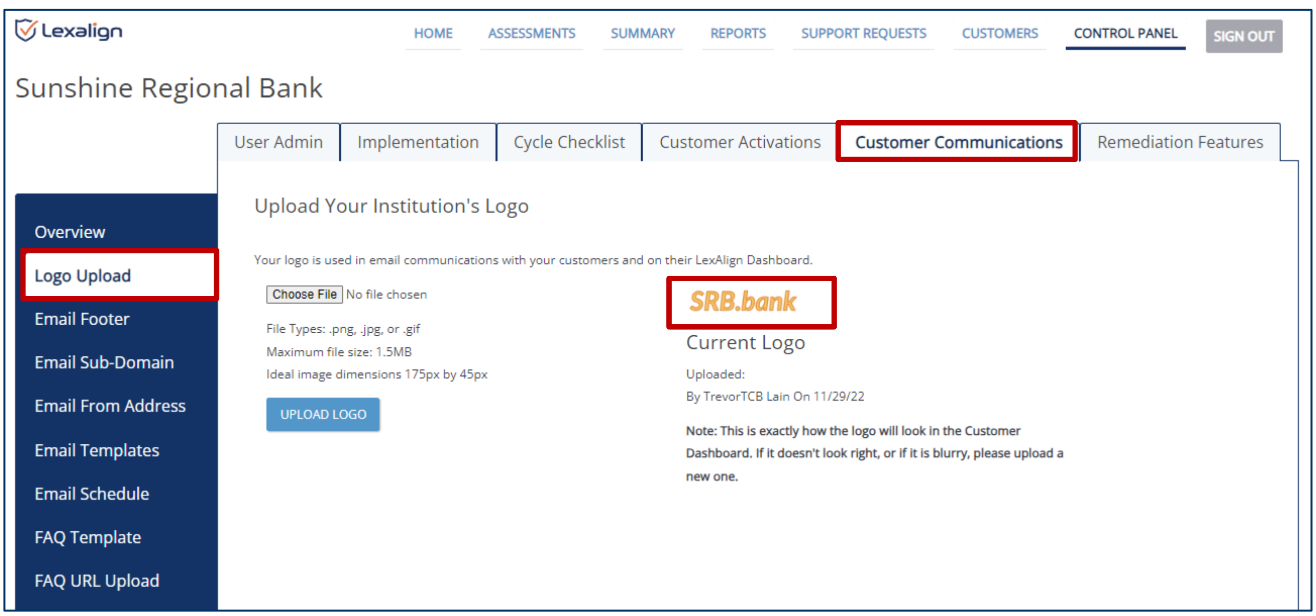
Request a logo from your Marketing department that is no less than 200 pixels wide. The LexAlign system will automatically resize the logo.

Supported logo file types:

- PNG
- JPG
- GIF

We recommend the PNG file type.

When the file is uploaded you will see it displayed. If the logo does not look good, try uploading a higher resolution file.



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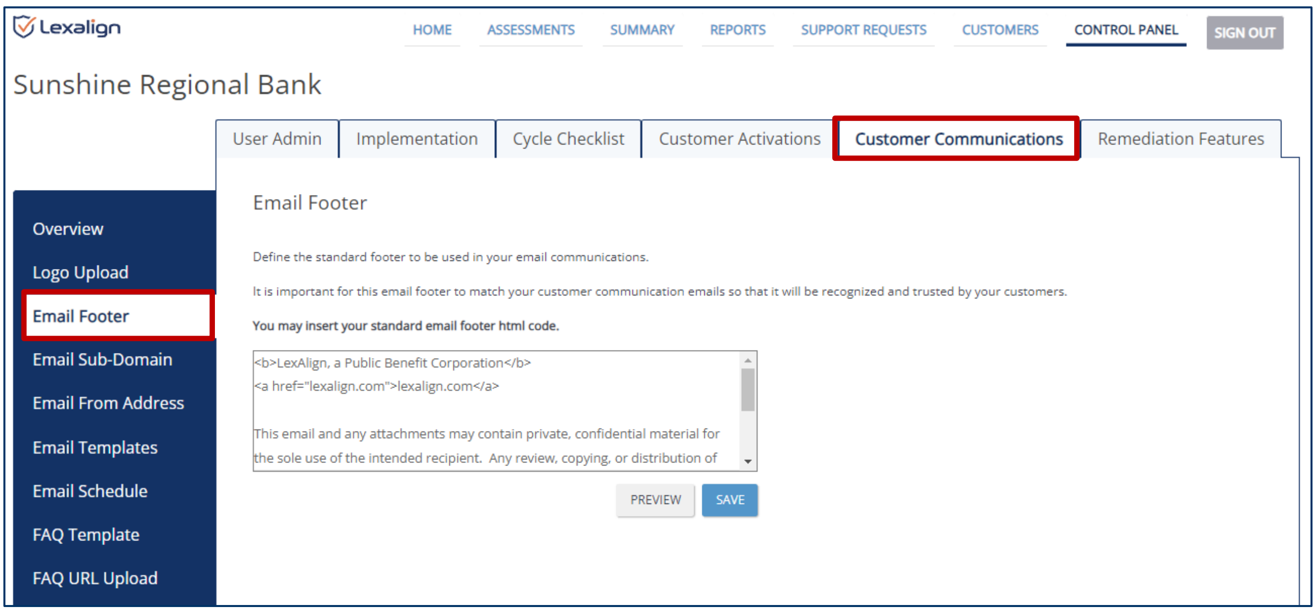
2.7.5.2 Email Footer

This section of the Control Panel allows you to insert your standard email footer.

Html code may be entered. You should get this content from your marketing department.

An email footer that matches other customer communications helps customers recognize and trust the emails LexAlign sends to them on your behalf.

After entering the footer, click on the "**PREVIEW**" button to see how the footer will look in one of the email templates. This will help address any formatting issues, if needed.



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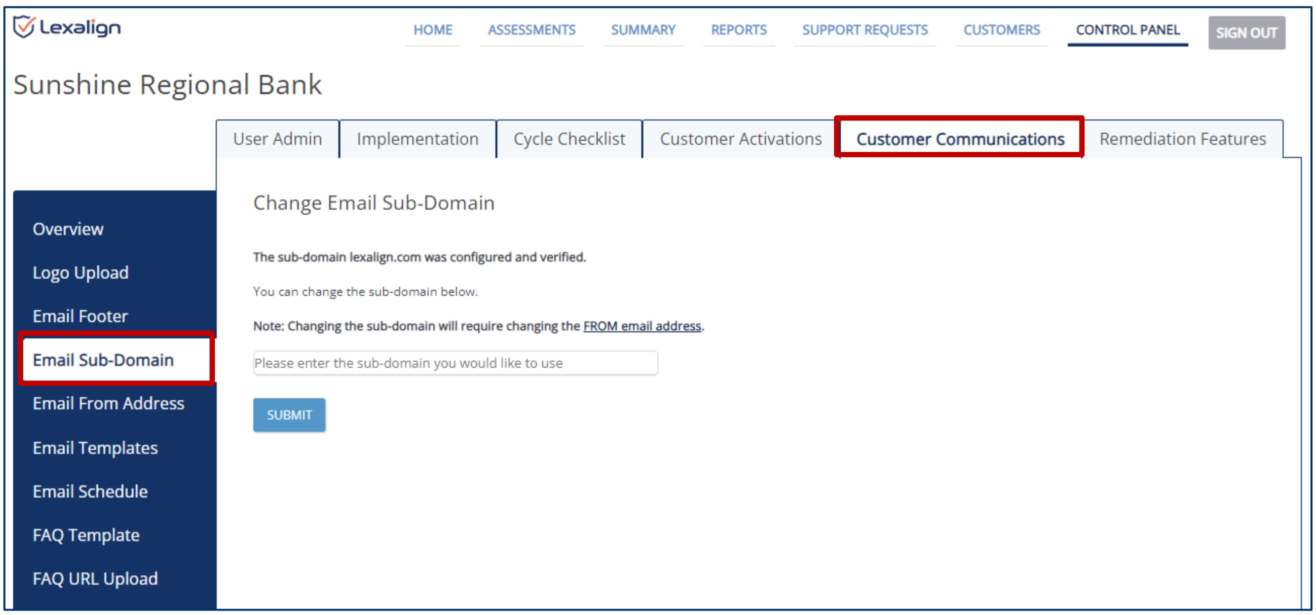
2.7.5.3 Email Sub-Domain Set Up

This section of the Control Panel enables you to define the sub-domain that will be used by LexAlign in email communications to your customers.

We recommend this sub-domain format: **lexalign.yourdomain.com**

When the sub-domain is submitted, we provision it and provide Domain Name System (DNS) details for your IT organization to update their DNS information so that the emails we send will be fully deliverable to your customers. A button called “Download DNS Info” will appear once the sub-domain has been submitted.

Please Note: It could take up to two business days for the “Download DNS Info” button to be activated. Once the button is active, click on it to download the DNS information and provide it to your IT organization so they can update their DNS information.



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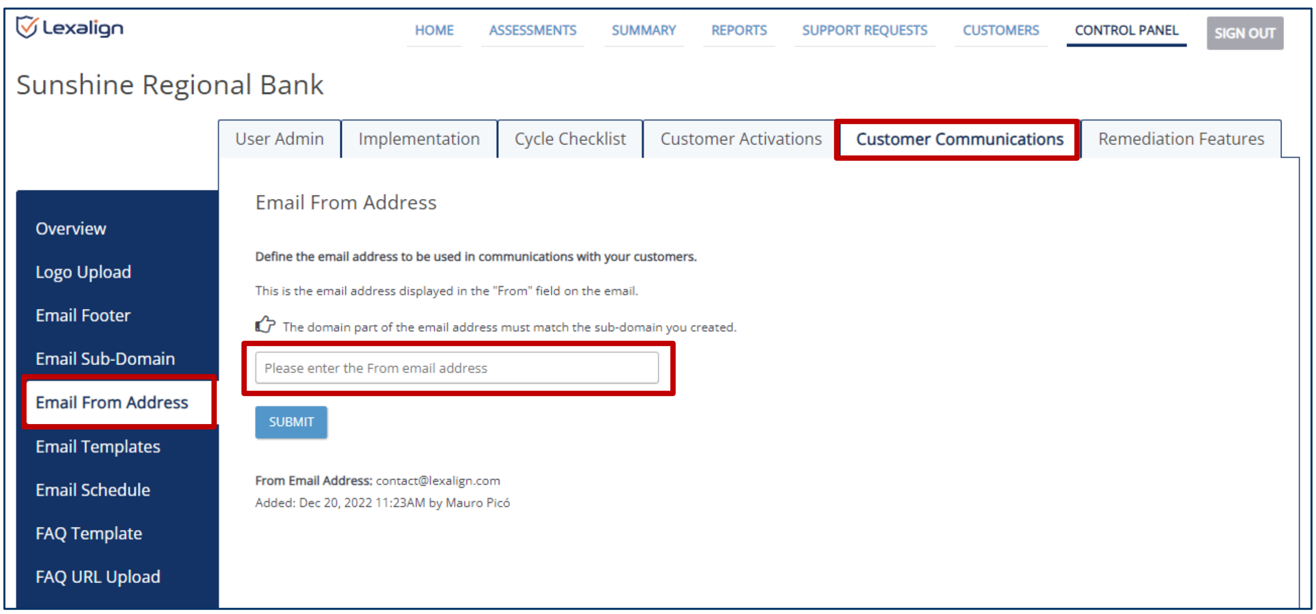
2.7.5.4 Email "From" Address

This section of the Control Panel defines the "**From**" email address that will be seen by your customers on the emails LexAlign sends on your behalf.

Example of "From" email address in the email header.

NOTE: The domain for this email address must match the sub-domain configured in the "Email Sub-Domain" section.

From: **Customer Support** <customer-support@lexalign-mybank.com>
Date: Tue, July 18, 2023 at 8:11 AM
Subject: Your RDC Assessment is due today
To: <customer@customer-domain.com>



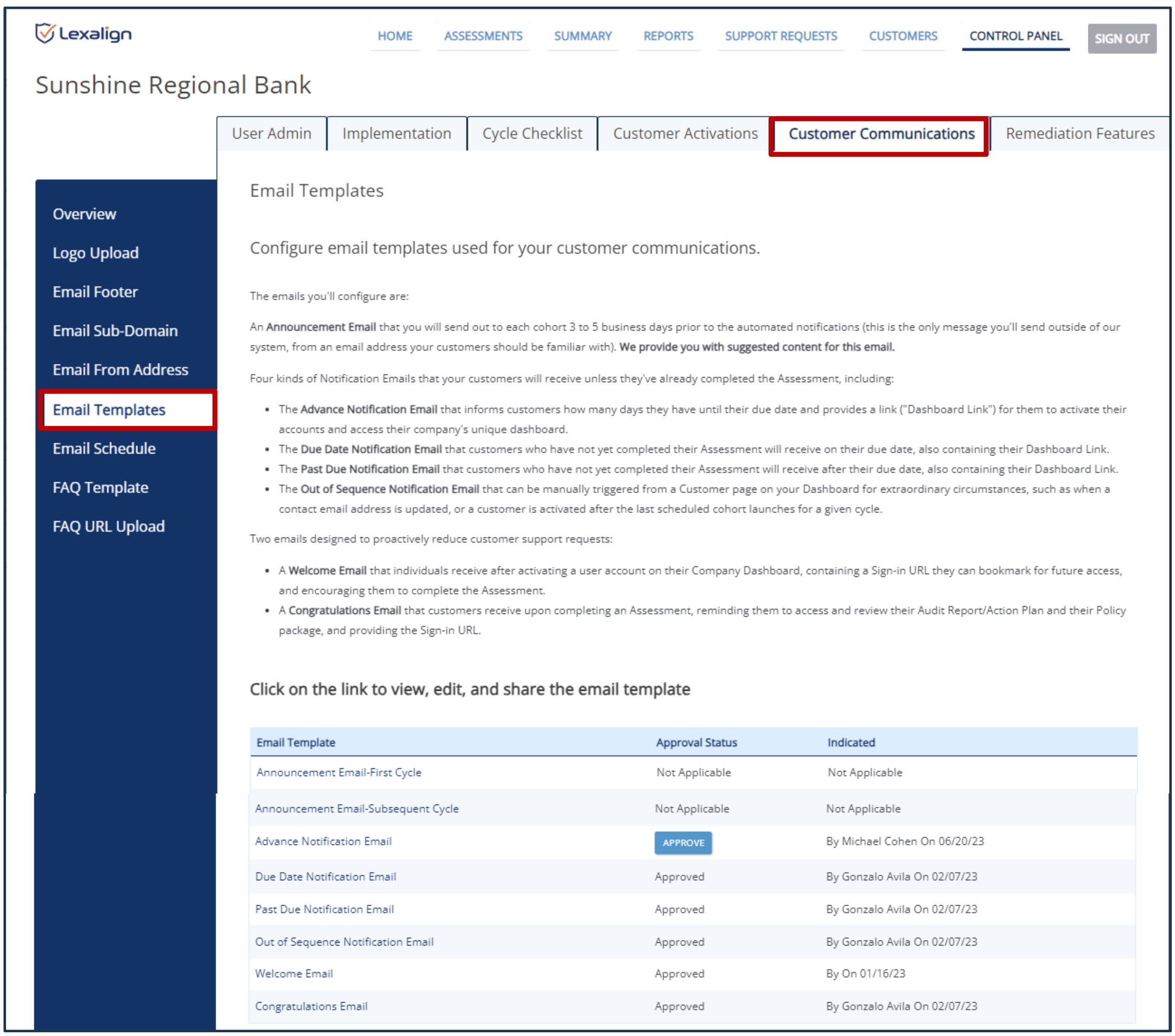
2.7.5.5 Email Templates

This section of the Control Panel enables the customization of various email templates used in the communication process with you customers.

The emails include welcoming the customer, notifying them of due dates, and congratulating them when an Assessment has been completed. Email templates need to be approved before they can be used. When you receive approval from the appropriate department, you can click on an "Approve" button in the table.

Note: Suggested content is provided for the Announcement Email that you will send out to your customers prior to the start of the LexAlign Notification emails.

Review each of the templates to edit the configurable sections. Send yourself a PREVIEW email that you can forward to the appropriate department to get approval for the emails.



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2.7.5.5.1 Email Template Editing

Email templates can be edited for specific content blocks that are highlighted with a box around the content. This allows you to personalize the content to fit your desired messaging and company information.

For the salutation, use one of the following:

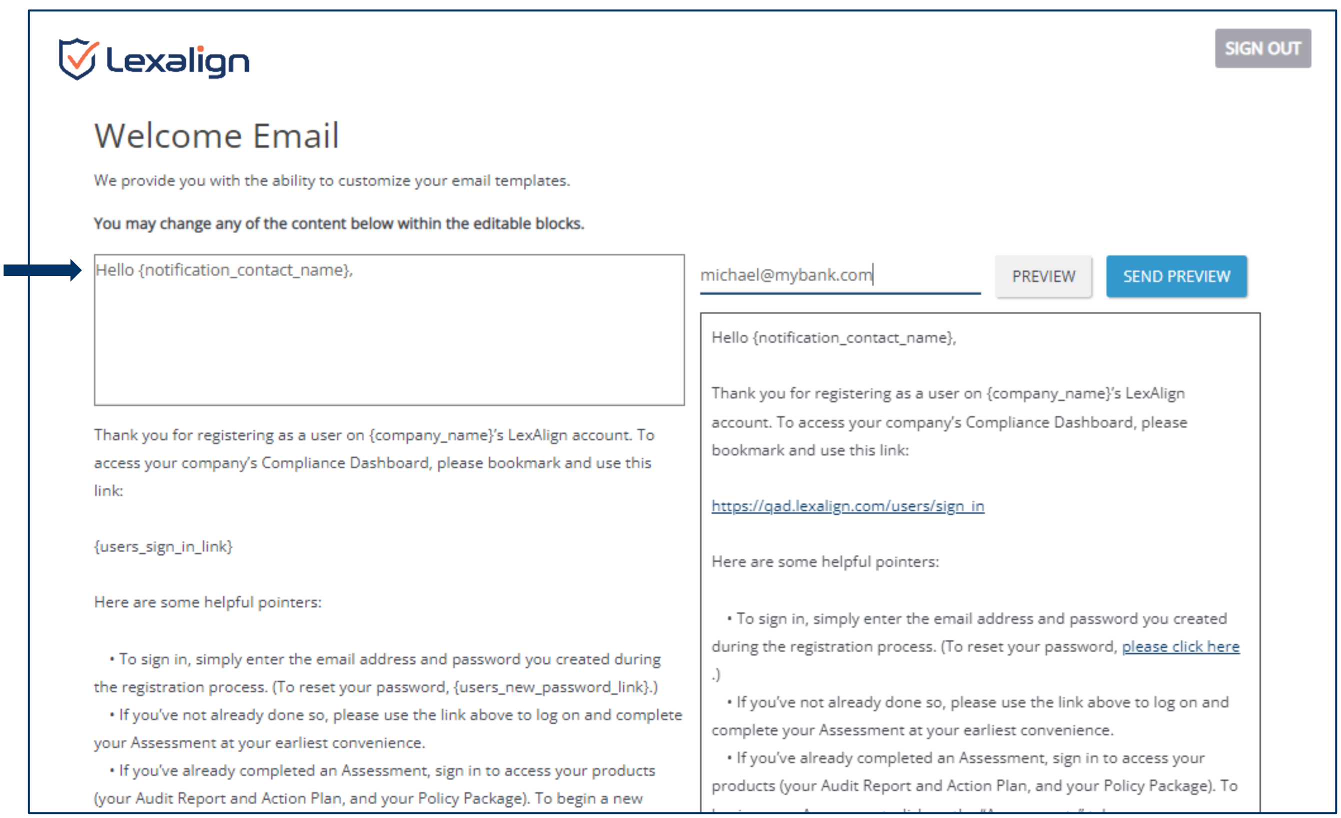
- First Name Tag: {notification_contact_firstname}
- Last Name Tag: {notification_contact_lastname}
- Or enter a generic salutation such as "Dear Valued Customer"

Salutation examples using the tags for a contact named Mary Smith:

- Hi {notification_contact_firstname} → This will display as “Hi Mary,”
- Hello {notification_contact_firstname} {notification_contact_lastname} → This will display as “Hello Mary Smith,”

After making changes, click on the “**PREVIEW**” button to preview the template. You may also send a preview email so that you can see exactly how the email will look.

Note: If using Name Tags, the preview email will contain the Name Tag for the salutation as the actual name is not substituted until the email is sent to the customer.



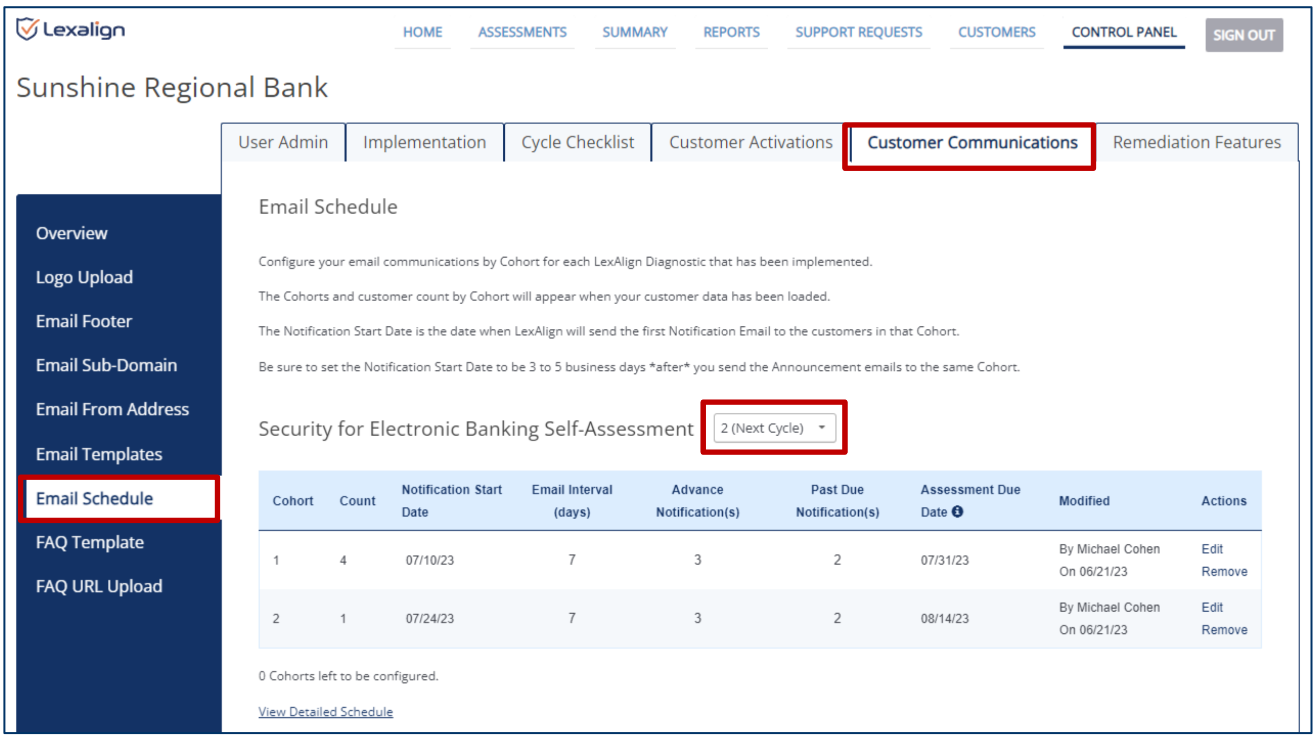
2.7.5.6 Email Schedule

This section of the Control Panel configures email communications by Cohort. The emails sent by the LexAlign System provide a variety of communications to the customer. This includes welcoming them, notifying them of due dates, and congratulating them when an Assessment has been completed.

Setting up the email schedule is done **AFTER** the customer data has been uploaded to the LexAlign System.

You can select the Cycle for the LexAlign Diagnostic that you want to configure Cohorts for.

The system will populate the available Cohorts based on the data that was uploaded for the Cycle.



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Configure the Cohorts

Select each Cohort and configure their settings:

- **Notification Start Date**: This is the date that the LexAlign System will send the first notification email. This date should be set to 3-5 business days **AFTER** you send your Announcement email.
- **Email Interval**: When doing multiple notification emails, this defines the number of calendar days between each.
- **Advance Notifications**: This defines the number of Advance Notification emails that notify the customer that they have an Assessment to do. We recommend at least two Advance Notifications.
- **Past Due Notifications**: This defines the number of Past Due Notification emails that notify the customer that they are past due in completing an Assessment. We recommend at least two Past Due Notifications.
- **Assessment Due Date**: This is automatically calculated by multiplying the Email interval by the number of Advance Notifications. If you want a specific due date, adjust the Email Interval and number of Advance Notifications to achieve your desired Assessment Due Date.

After selecting your notification start date, email interval, number of advance notifications, and number of past due notifications, click "Add" to save them.

Cohort	Count	Notification Start Date	Email Interval (days)	Advance Notification(s)	Past Due Notification(s)	Assessment Due Date	Modified	Actions
1	4	07/10/23	7	3	2			Add
2	1	07/24/23	7	3	2			Add

You can edit a Cohort by clicking on the "edit" link. You can remove a Cohort by clicking on the "Remove" link.

Cohort	Count	Notification Start Date	Email Interval (days)	Advance Notification(s)	Past Due Notification(s)	Assessment Due Date	Modified	Actions
1	4	07/10/23	7	3	2	07/31/23	By Michael Cohen On 06/21/23	Edit Remove
2	1	07/24/23	7	3	2	08/14/23	By Michael Cohen On 06/21/23	Edit Remove

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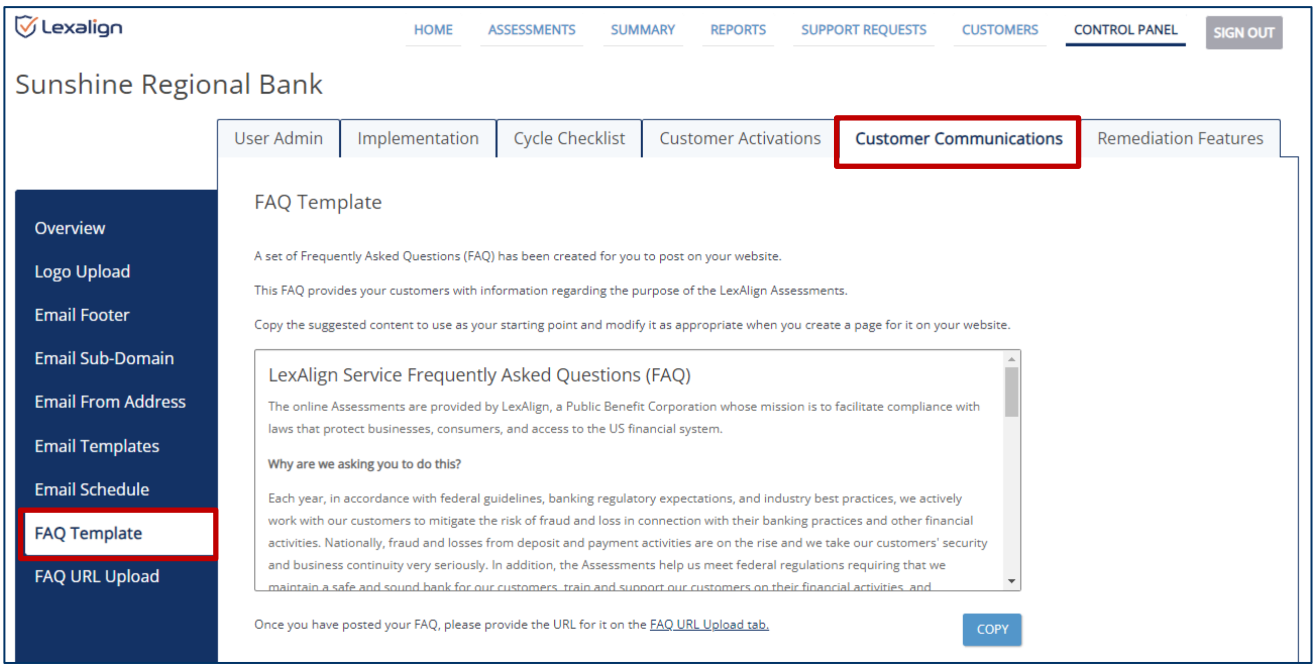
2.7.5.7 FAQ Template

This section of the Control Panel provides recommended content for you to create an FAQ page on your website.

Please work with your marketing department to take this content and implement a web page on your website. You can click on the “COPY” button and paste the content in an email and send it to your marketing department when you request the web page.

When your marketing department provides the URL to the new web page, please upload it in the **FAQ URL Upload** section.



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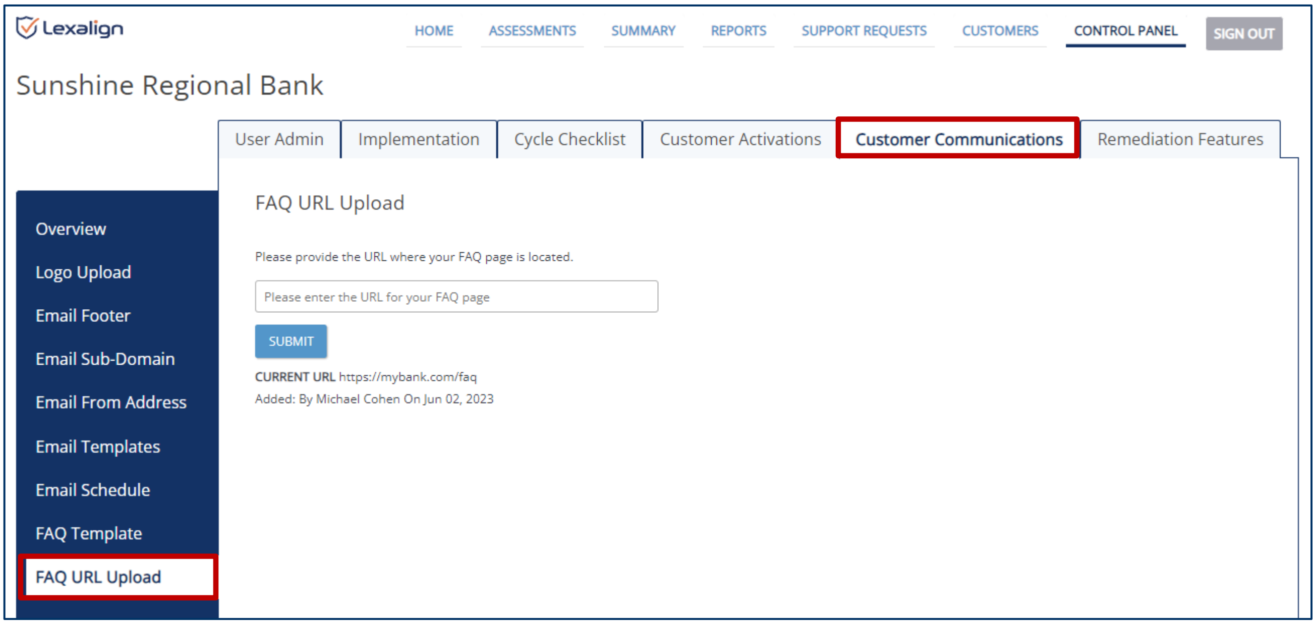
2.7.5.8 FAQ URL Upload

This section of the Control Panel is used to capture your FAQ page URL.

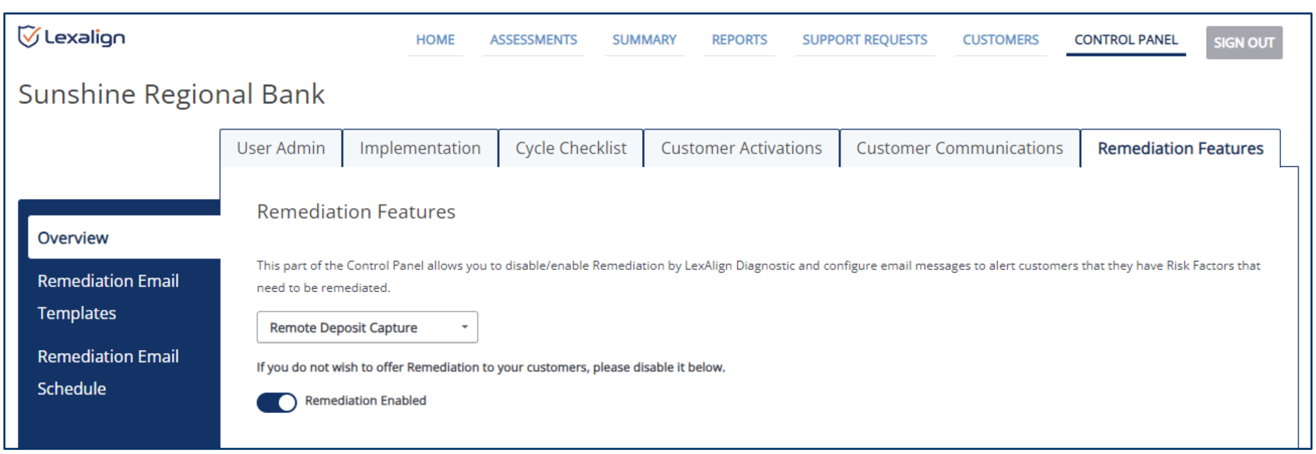
The URL for the FAQ page is used in email communications to your customers. Having this content on your website provides further assurances to the customers that the LexAlign solution can be trusted.

Enter the URL for your web page when it is available from marketing.



2.7.6 Remediation Features

The Remediation Features section of the Control Panel enables you to disable/enable remediation by LexAlign Diagnostic. This section also allows you to configure email templates and define a schedule for when the emails will be sent.



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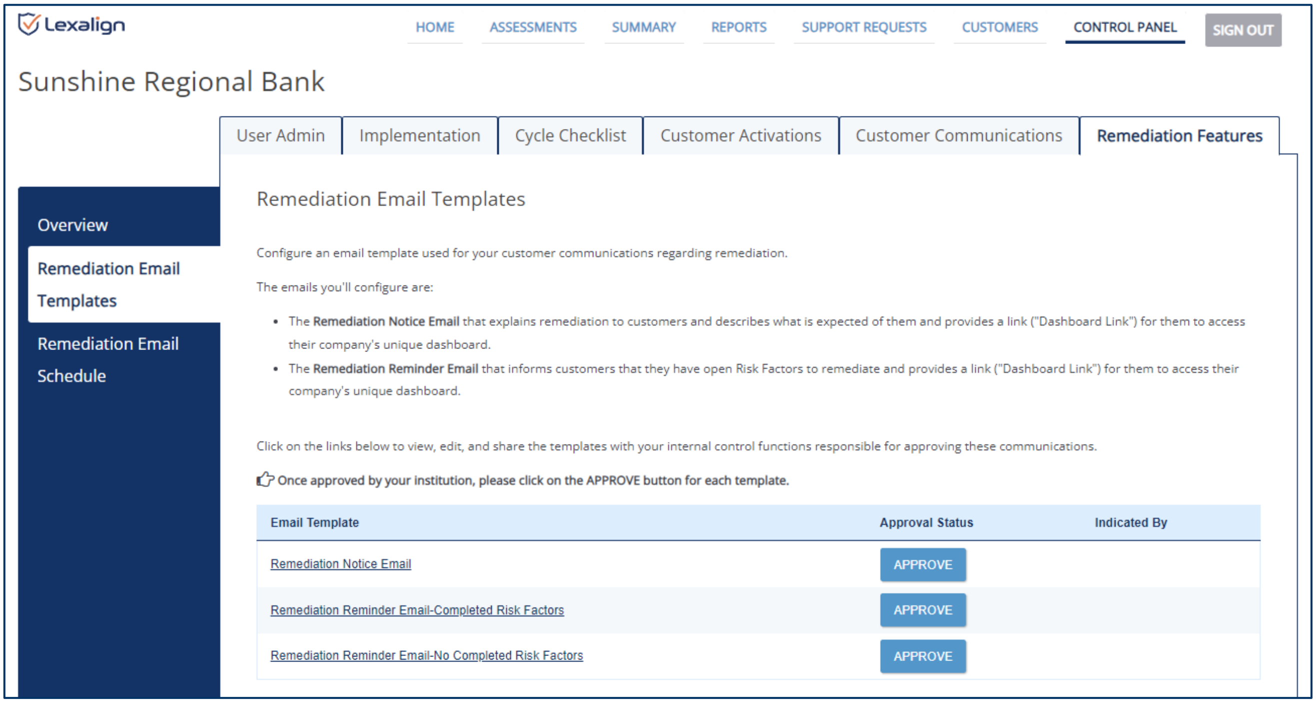
2.7.6.1 Remediation Email Templates

The email templates used for remediation follow the same process of editing, review, and approval as the Assessment email templates.



2.7.6.2 Remediation Email Schedule

Remediation begins a certain number of days after a customer completes an Assessment. You may configure when the remediation notice will be sent, the interval between reminder emails, and the number of reminders to be sent. Reminder emails will stop when the customer remediates all of their Risk Factors.