LexAlign Implementation Guide

LexAlign PBC

3616 Far West Blvd, STE 117-425

Austin, TX 78731 lexalign.com

Contents

1. Purpose

The purpose of this document is to provide guidance on implementing the LexAlign solution.

The initial LexAlign implementation takes approximately 40 hours of support spread out over a few weeks. Certain steps require only one implementation. Each LexAlign Diagnostic and Cycle require a separate implementation. After the initial Diagnostic implementation, the next LexAlign Diagnostic will take approximately 25 hours to implement. Implementation times for subsequent Diagnostics and cycles will likely decrease as your team becomes more familiar with the process.

2. Implementation Roles and Responsibilities

The roles and responsibilities involved in implementing the LexAlign solution include:

LexAlign Implementation Team: Provision accounts on the LexAlign System and assist the FIS implementation team as needed.

FIS Implementation Team: Work with the Financial Institution to implement the LexAlign solution.

Financial Institution Project Manager, Treasury Officer and team, Communications Department (Marketing), and IT/InfoSec (as applicable): Implement and review the appropriate areas using the LexAlign Institution Dashboard.

3. Prerequisites

The following information will be needed to complete the implementation process:

Names and email addresses for the IT/InfoSec resource(s) that will be responsible for creating and editing users for the Institution.

Names and email addresses for users by role (see section 5.1.2).

Email addresses for who will receive email alerts (see section 5.1.3.1).

A custom domain to be used for the emails LexAlign sends (see section 5.1.6.3).

A FROM email address to be used for the emails LexAlign sends (see section 5.1.6.4).

The Institution logo (see section 5.1.6.1).

Standard html email footer for the Institution (see section 5.1.6.2).

Customer data (see section 5.1.8).

4. Implementation Checklist

The majority of the implementation will be done by the FIS implementation team working directly with the Financial Institution (FI). Implementation will be a guided experience where the FIS implementation team will guide the FI to complete the majority of the tasks listed below using the LexAlign Institution Dashboard.

The Control Panel includes a built-in Launch Checklist (see section 5.1.4) to ensure all requirements are met prior to a Cycle launch.

Task	Responsible	Description	Dependencies	Date Completed
Provision the LexAlign account	LexAlign Implementation Team	Create the FI account on the LexAlign platform	FIS Sales Order	
5.1.2 User Admin Set Up				

Task	Responsible	Description	Dependencies	Date Completed
Provision FI Users	FIS Implementation Team	Working with the IT resource at the FI	FI to provide a list of users and roles	
5.1.3 Implementation Set Up				
Define who receives Customer Specific Notices (emails)	FIS Implementation Team	Working with the Diagnostic Admin		
Define who receives LexAlign Service Notices (emails)	FIS Implementation Team	Working with the Diagnostic Admin		
5.1.4 Customer Activation Set Up				
Upload Customer Data	FIS Implementation Team	Working with the Diagnostic Admin	Customer List	
5.1.5 Customer Communications Set Up				
Upload the FI logo	FIS Implementation Team	Working with the Diagnostic Admin	Get a minimum 200-pixel wide logo from Marketing	
Define the email footer	FIS Implementation Team	Working with the Diagnostic Admin	FI Marketing	
Define the sub-domain to be used for customer emails	FIS Implementation Team	Working with the Diagnostic Admin	FI Network Team for updating DNS info	
Define the “From” email address to be used in customer emails	FIS Implementation Team	Working with the Diagnostic Admin		
Configure email templates	FIS Implementation Team	Working with the Diagnostic Admin	FI control function to review and approve	
Configure email schedule	FIS Implementation Team	Working with the Diagnostic Admin		

Task	Responsible	Description	Dependencies	Date Completed
Configure the FAQ page with provided content	FI	Diagnostic Admin to supply suggested content to their control function (i.e., marketing department)	FI Marketing to implement on the FI website	
Load the FAQ page URL	FIS Implementation Team	Working with the Diagnostic Admin	FI Marketing to provide the URL	

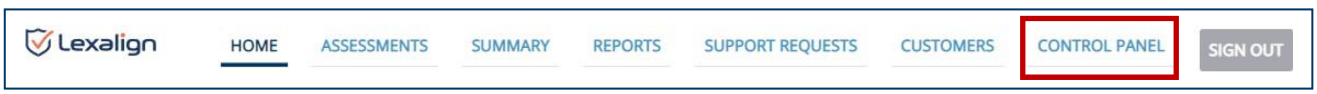
5. LexAlign Institution Dashboard

The FIS implementation team will work with the FI to guide them through the solution setup. The setup uses the “Control Panel” functionality that is part of the LexAlign Institution Dashboard. The FI user responsible for implementing the solution will have the “Diagnostic Admin” role assigned to them.

The specific configuration items are described below.

5.1 Control Panel

The Control Panel section of the LexAlign Institution Dashboard enables authorized users at the FI to perform various set up and implementation functions.



5.1.1 Roles

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

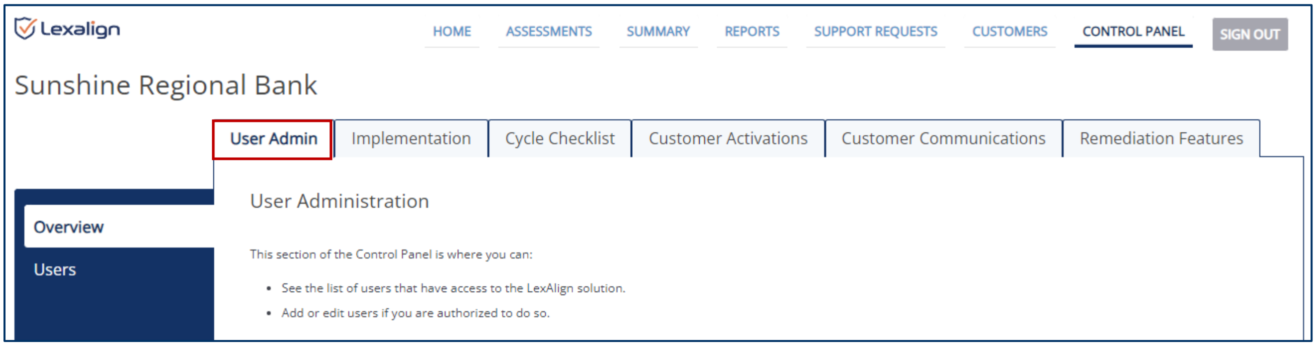
Analyst: The Analyst role has access to all dashboard functions except the Control Panel.

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. The Diagnostic Admin has access to all Control Panel functionality.

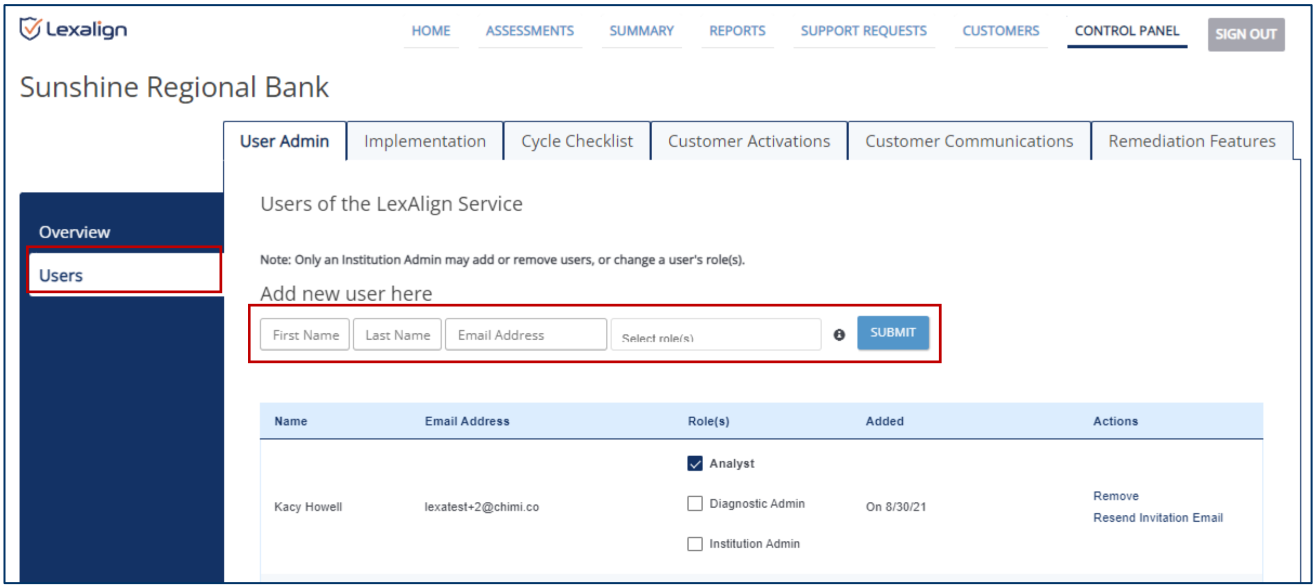
Institution Admin: The Institution Admin role is used for IT resources at the institution that are responsible for giving employees access to software products. If an employee only has the Institution Admin role, they will only have access to the User Admin functions of the Control Panel.

5.1.2 User Admin

User Admin enables the addition and removal of Institution users by the Institution Admin. For users with the Diagnostic Admin role, they have the ability to see the list of users, but they cannot add or remove users.

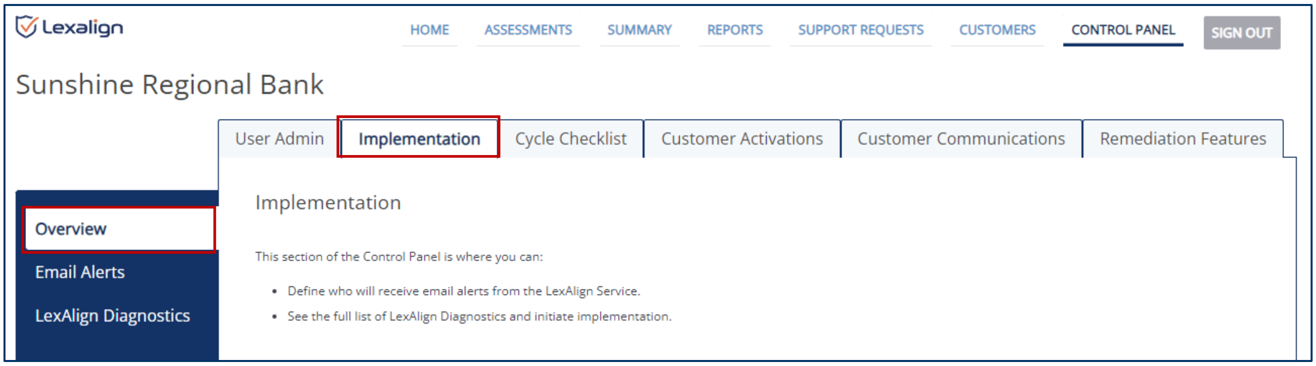


Note: Only users with the **Institution Admin role** can add users or change the roles for users. Users with the Diagnostic Admin role can see the list of users, but they cannot add new users or change roles. The view below is for a user with both the Institution Admin role and the Diagnostic Admin role.



5.1.3 Implementation

The Implementation section of the Control Panel enables the FI to identify who will receive different system email alerts, and request implementation of new LexAlign Diagnostics.

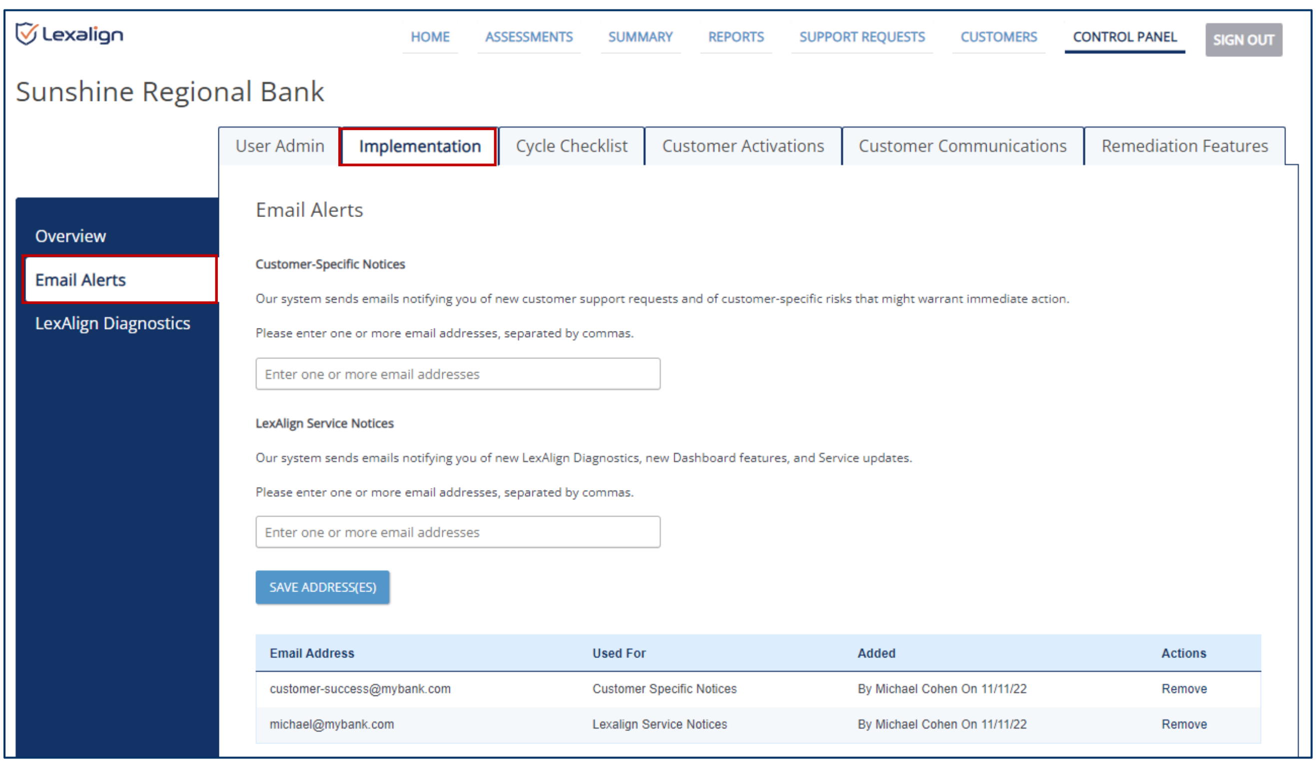


5.1.3.1 Email Alerts

This section of the Control Panel allows the FI 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. Notifications of bounced customer email addresses are also sent to this email address. You may configure multiple email addresses to receive these email alerts.

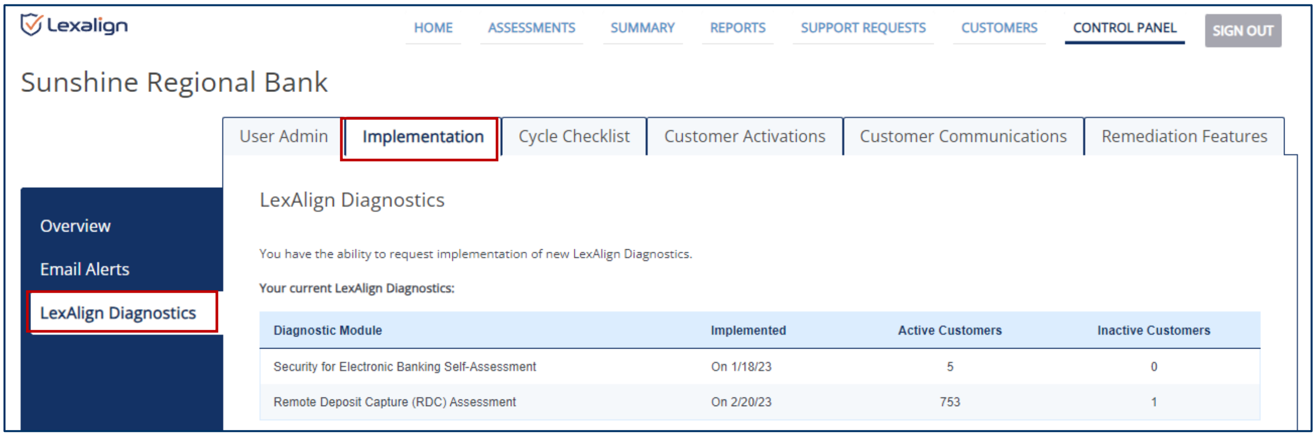
LexAlign Service Notices: These email alerts notify the FI when LexAlign introduces new features, LexAlign Diagnostics, and service updates. You may configure multiple email addresses to receive these email alerts.



5.1.3.2 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. **No actions are required in this section of the Control Panel during initial LexAlign solution implementation.**

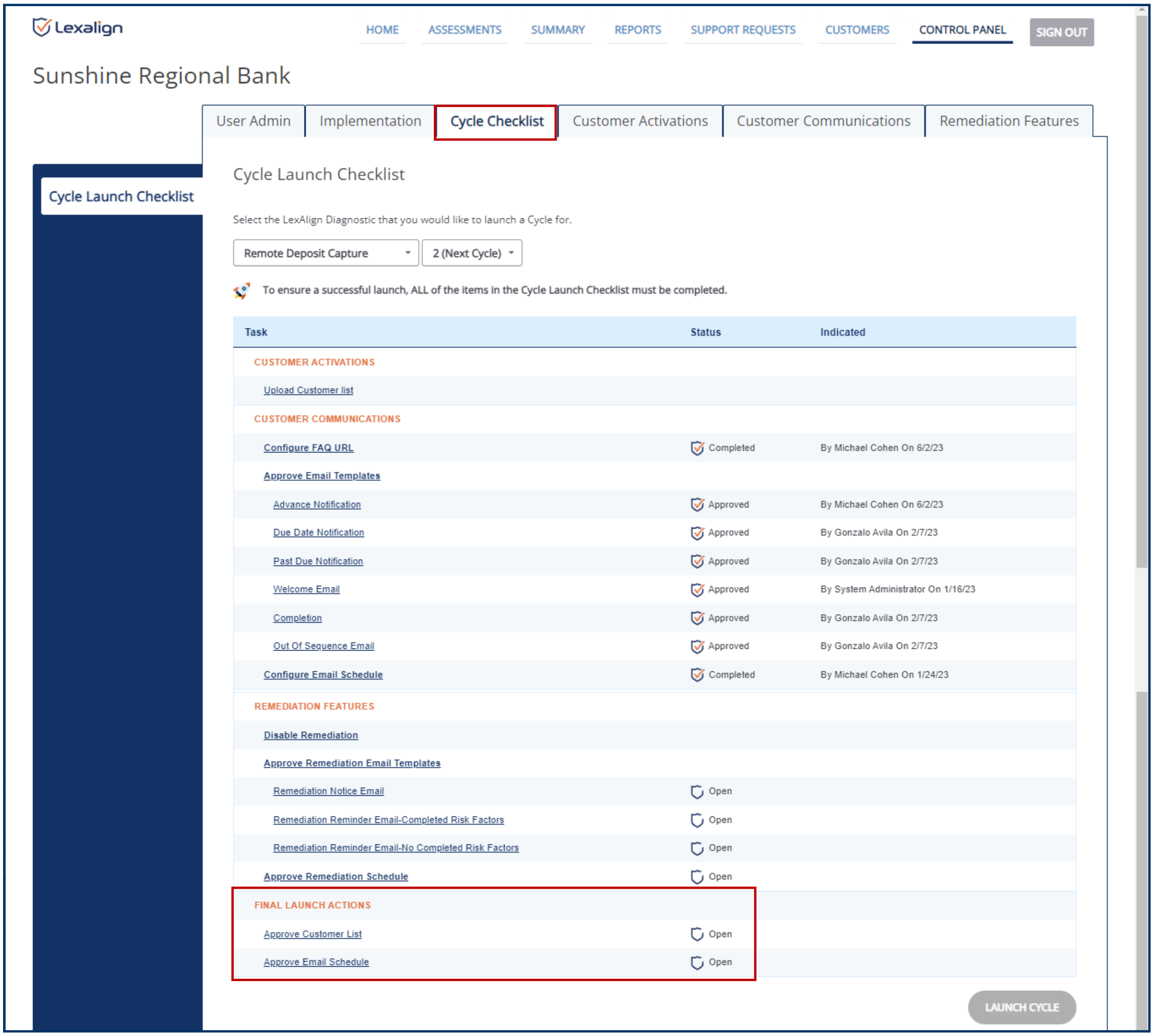
Over-time, LexAlign will introduce new LexAlign Diagnostics that will add additional value to the FI, this section will be used to request implementation of those future LexAlign Diagnostics.



5.1.4 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.

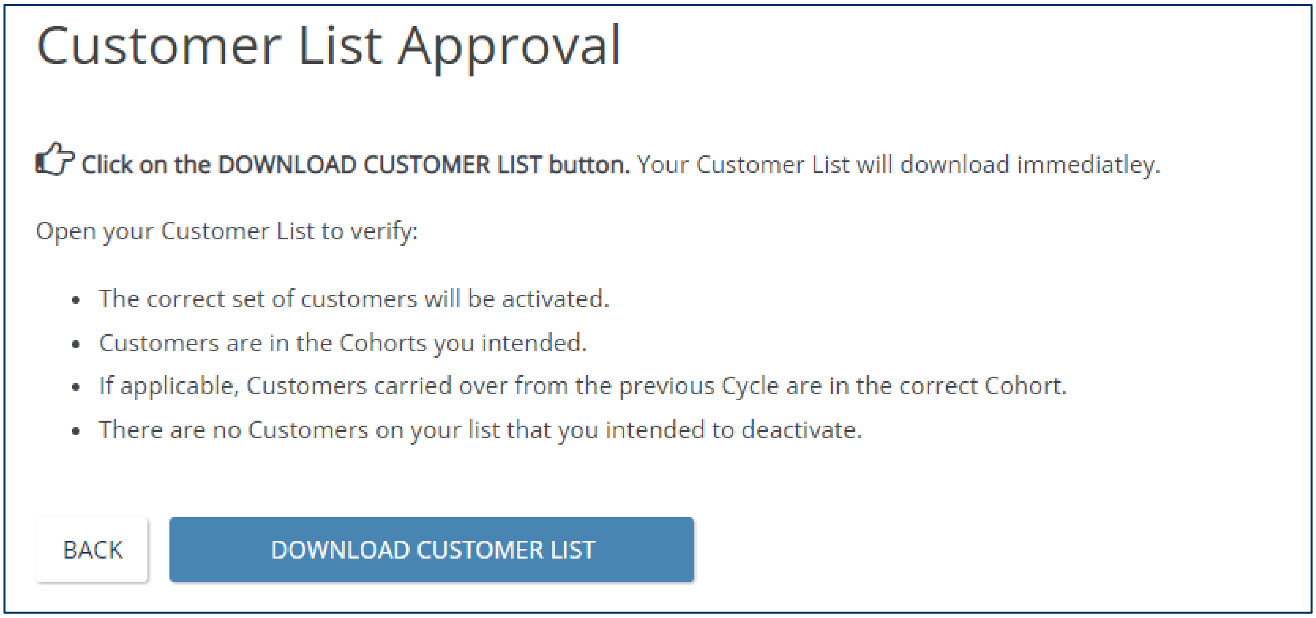
The Cycle Checklist can be used to navigate to all of the relevant sections of the Control Panel required to launch a Cycle by clicking on the links in the table.



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.

5.1.4.1 Approve Customer List

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



Customer List Approval

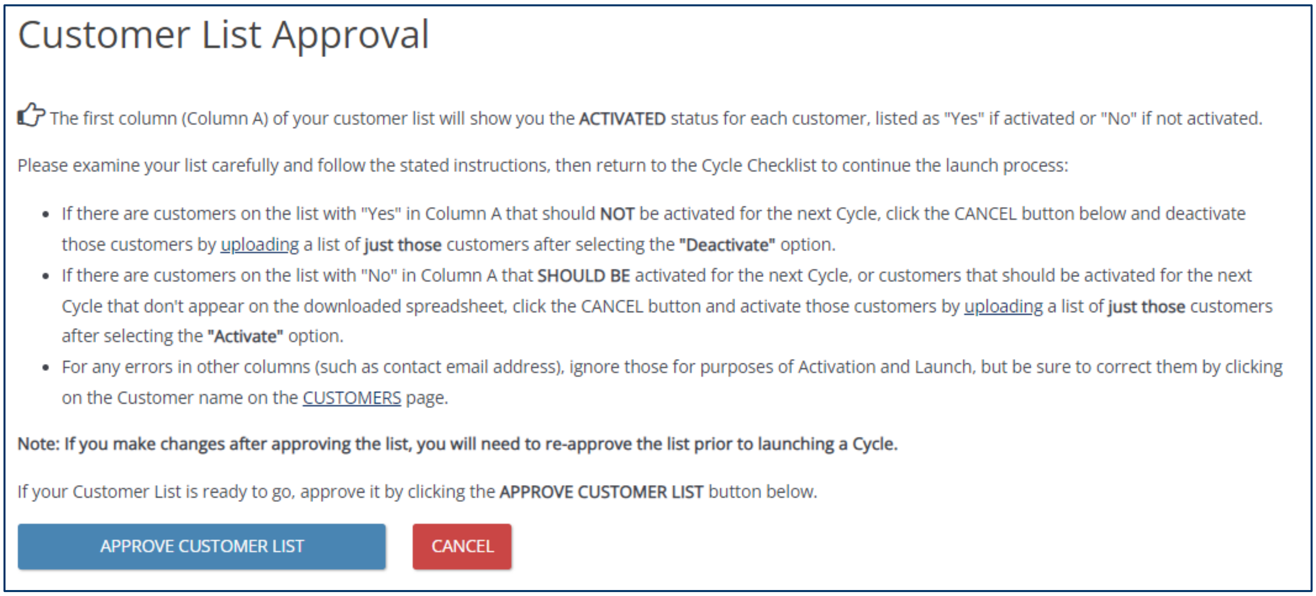
Click on the DOWNLOAD CUSTOMER LIST button. Your Customer List will download immediatley.

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.

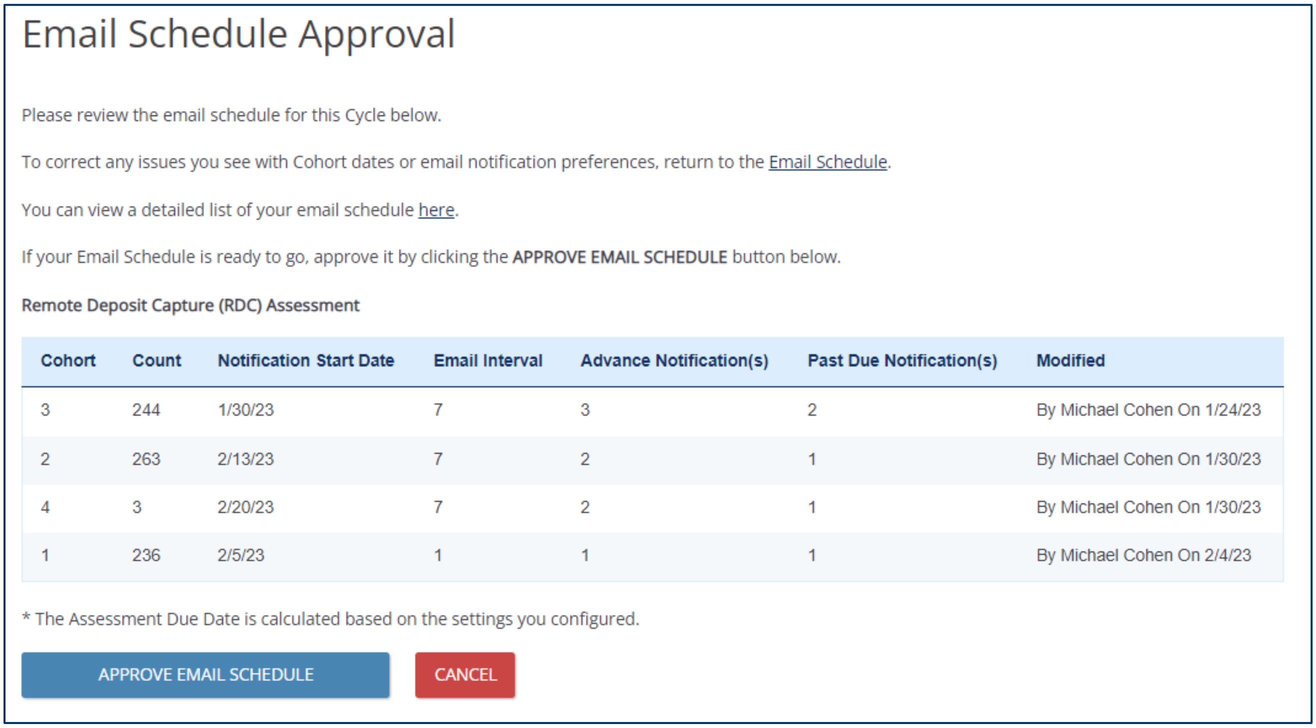
If your Customer List is ready to go, approve it by clicking the **APPROVE CUSTOMER LIST** button below.

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.

5.1.4.2 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.

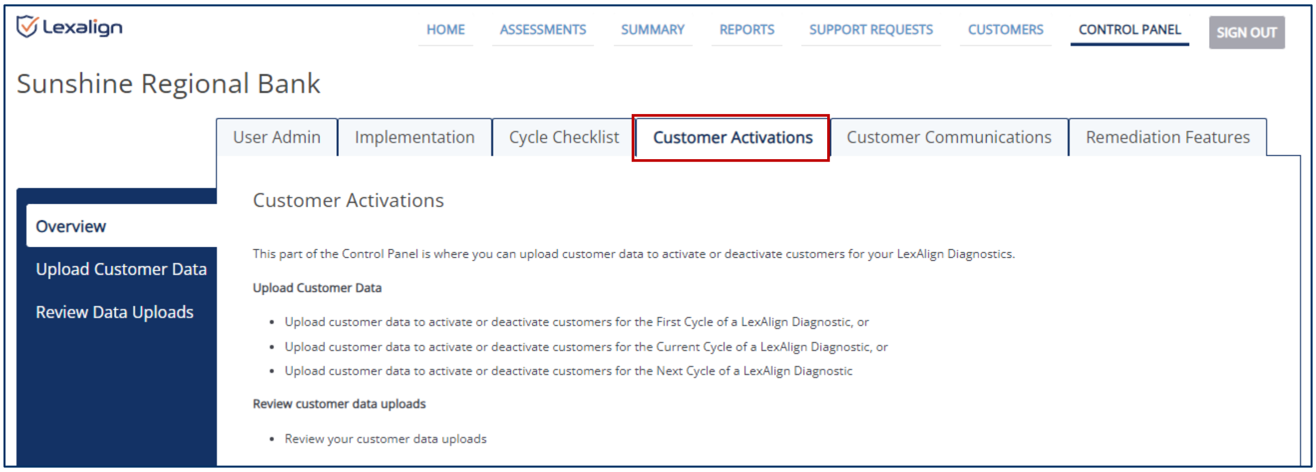
APPROVE EMAIL SCHEDULE CANCEL

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.

5.1.5 Customer Activations

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



5.1.5.1 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 customers, they should use the organization name that would appear on a statement, rather than a shorthand name they might use for internal purposes. The organization name appears on the Customer Dashboard so if a shorthand name is used the customer may take offense as it could be cryptic.

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.

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

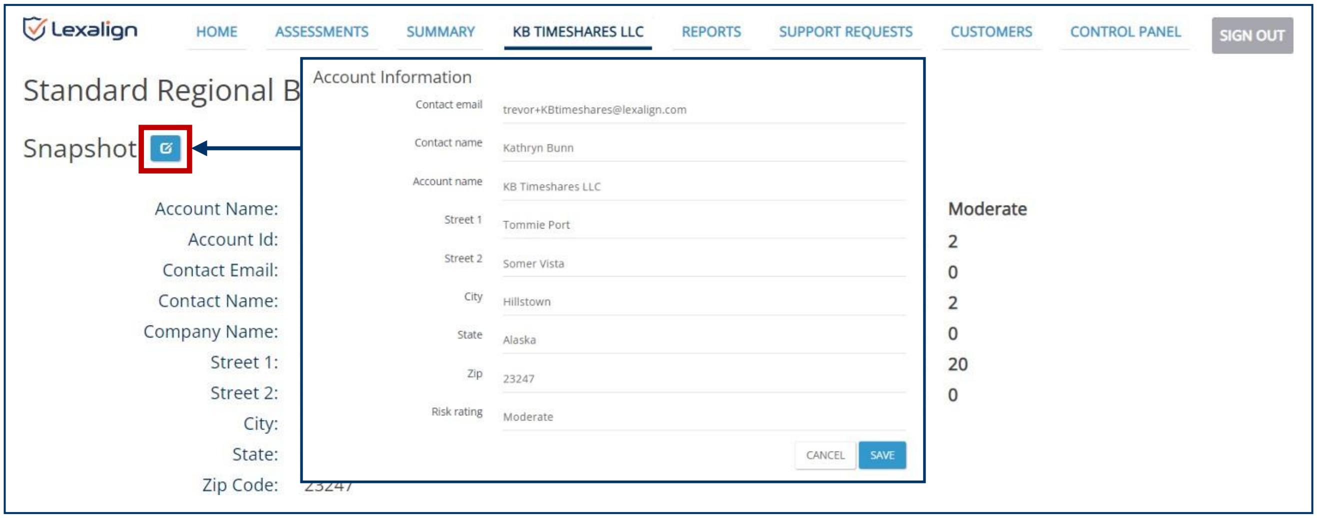
below). Such data cannot be modified via the Data Upload process.

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:

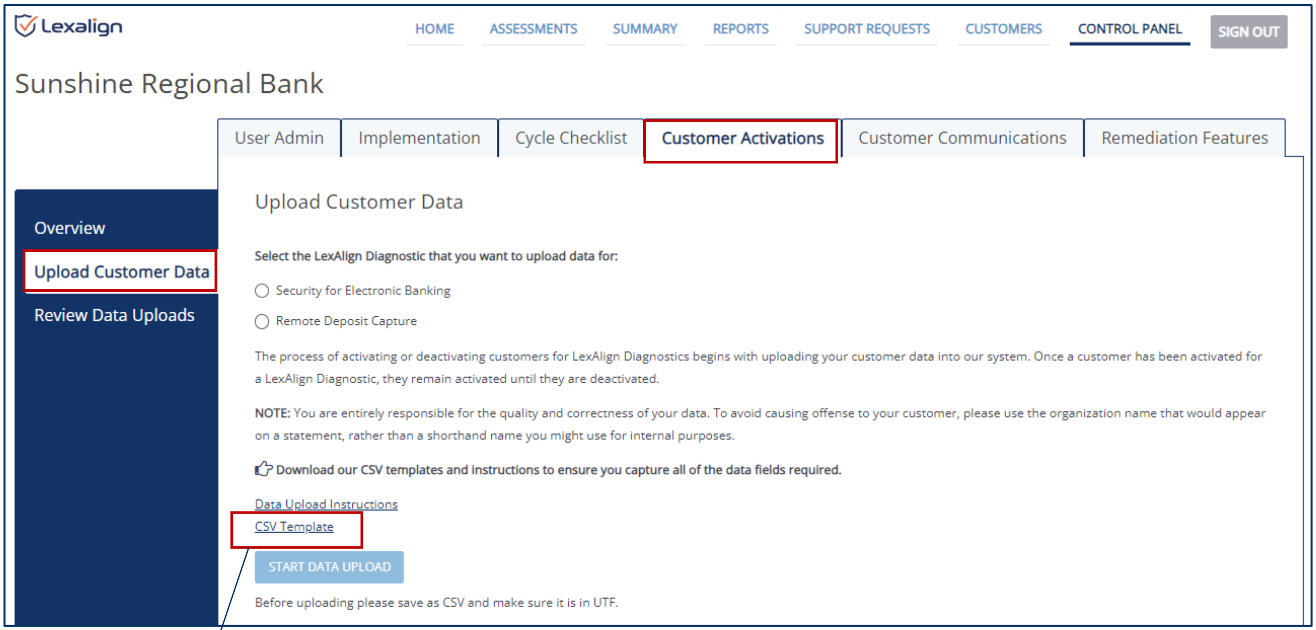
Edit existing customer information via the "**CUSTOMERS**" Page. To access the editable customer profile, search to locate the customer and then click on the customer name.

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.



5.1.5.2 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

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 FIs 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.

Contact Email Address: The customer contact email address.

Contact First Name: The first name of the customer contact.

Contact Last Name: The last name of the customer contact.

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.

Required Fields For Each Data Upload Intention

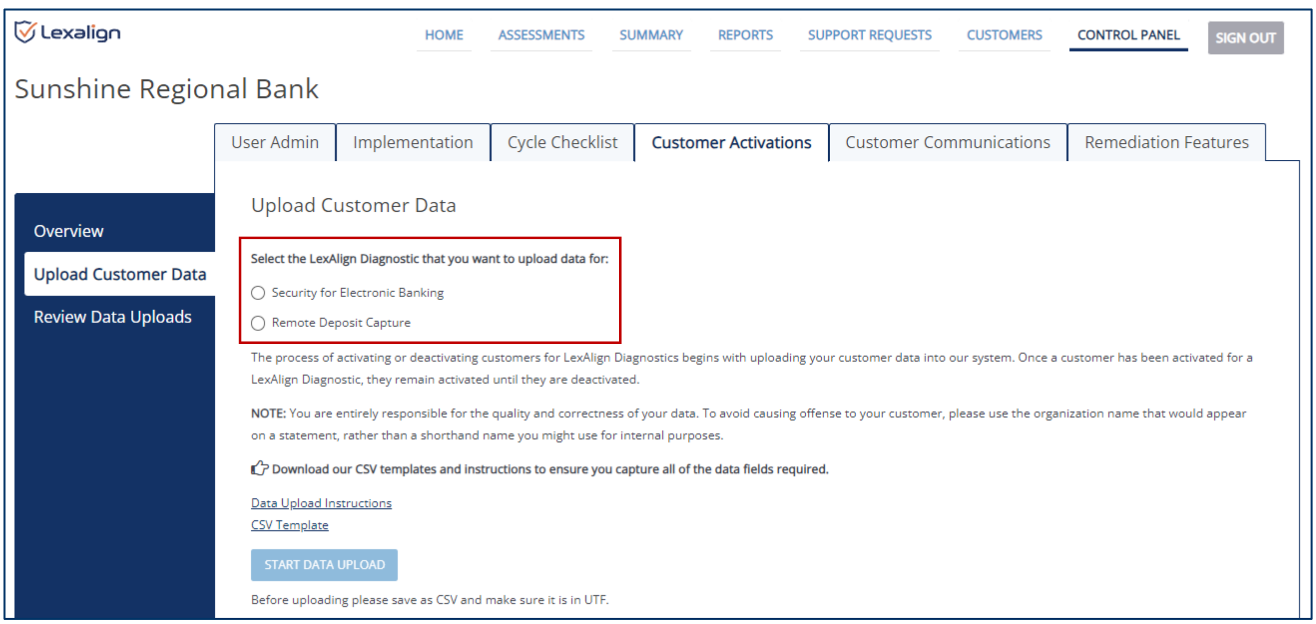
This table identifies the fields that are required for each data upload intention. "Existing customers" are ones that have been uploaded to the LexAlign System in a prior activation and therefore already "exist" on the LexAlign System in connection with the institution.

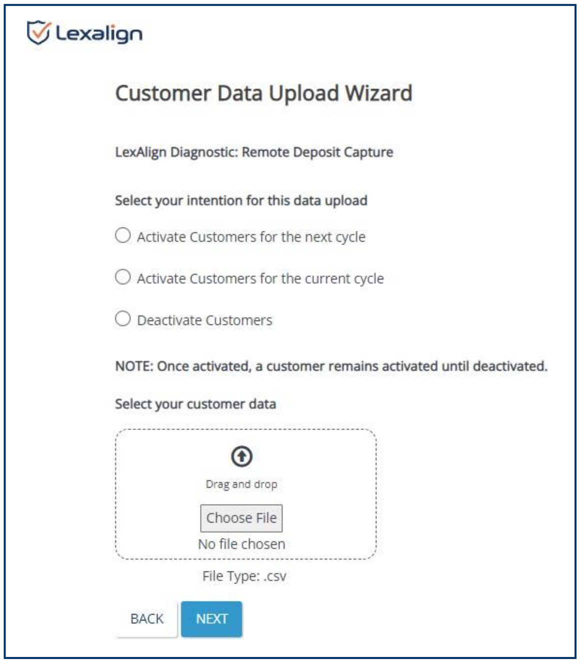
Field	Activate NEW Customers for Next Cycle	Activate NEW Customers for Current Cycle	Activate EXISTING Customers for Next Cycle	Activate EXISTING Customers for Current Cycle	Deactivate Customers
Company ID	✓	✓	✓	✓	✓
Company Name	✓	✓	✓	✓	✓
Contact First Name	✓	✓			
Contact Last Name	✓	✓			

DBA					
Contact Email	✓	✓			
Street 1					
Street 2					
City					
State					
Zip Code	✓	✓			
Cohort	✓		✓		
Risk Rating					

5.1.5.3 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.

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".

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

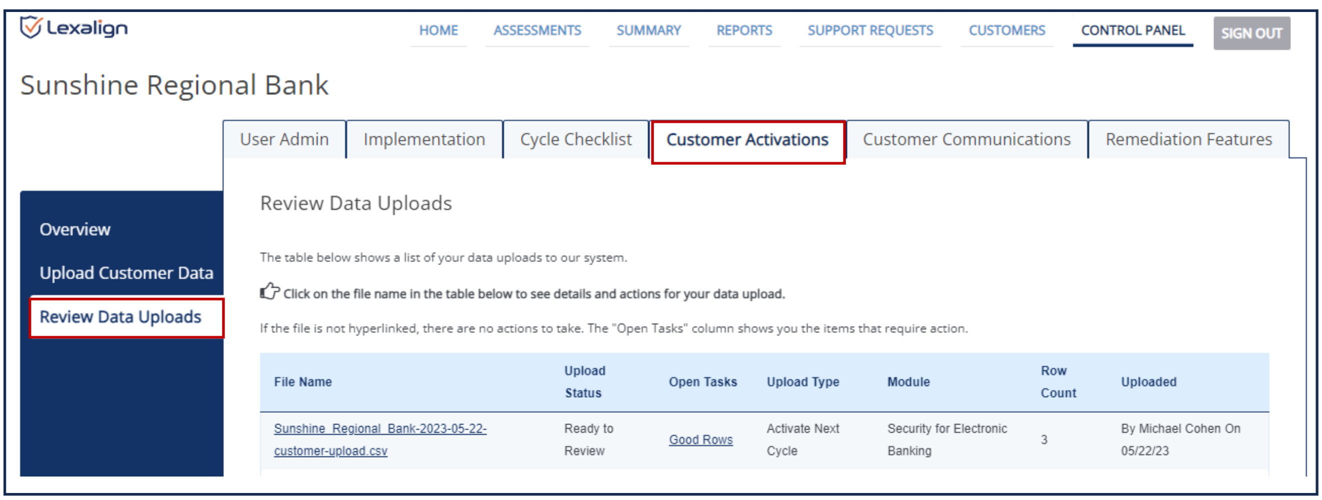
When all of the fields have been mapped, click on the “NEXT” button.

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

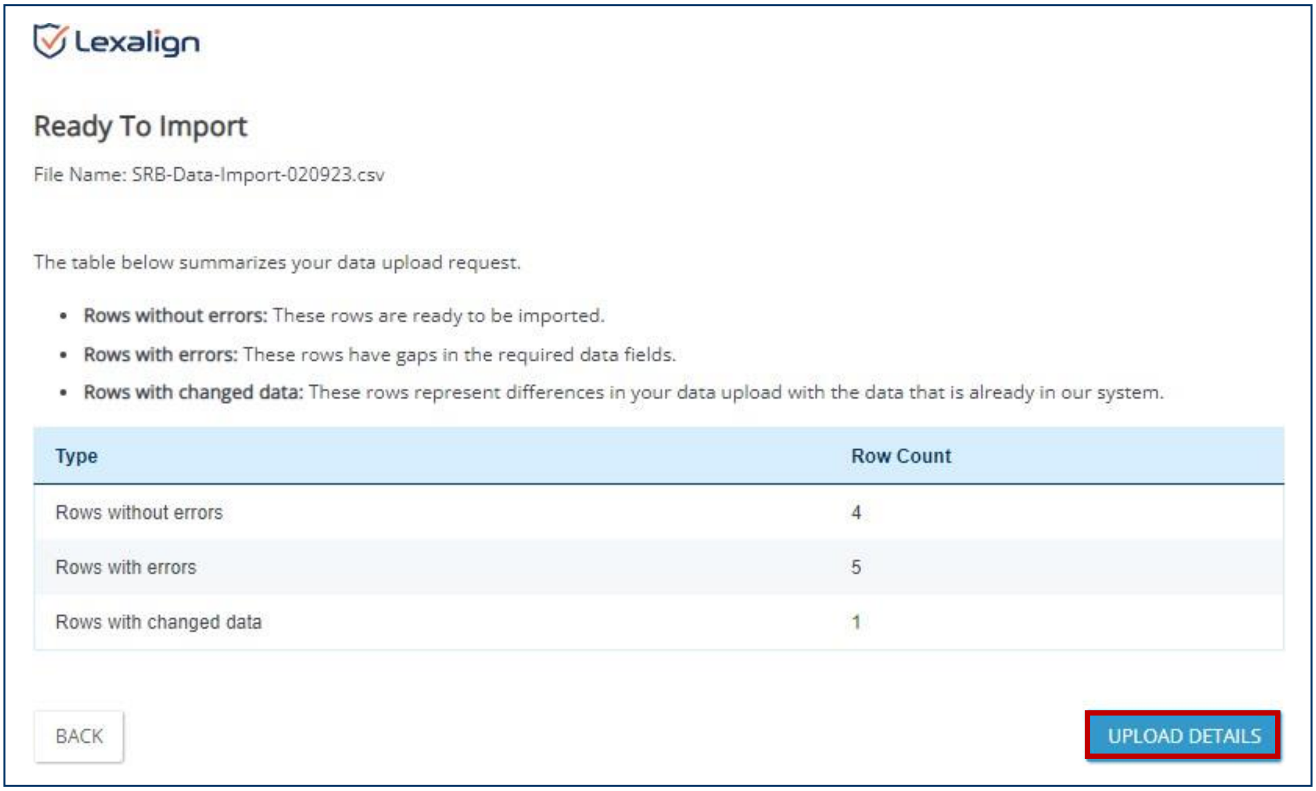
When the data is ready to be reviewed the FI will receive an email message at the email address provided for “LexAlign Service Notices” under the Implementation tab. The file link will be active in the “Review Data Uploads” section of the Control Panel.

5.1.5.4 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.

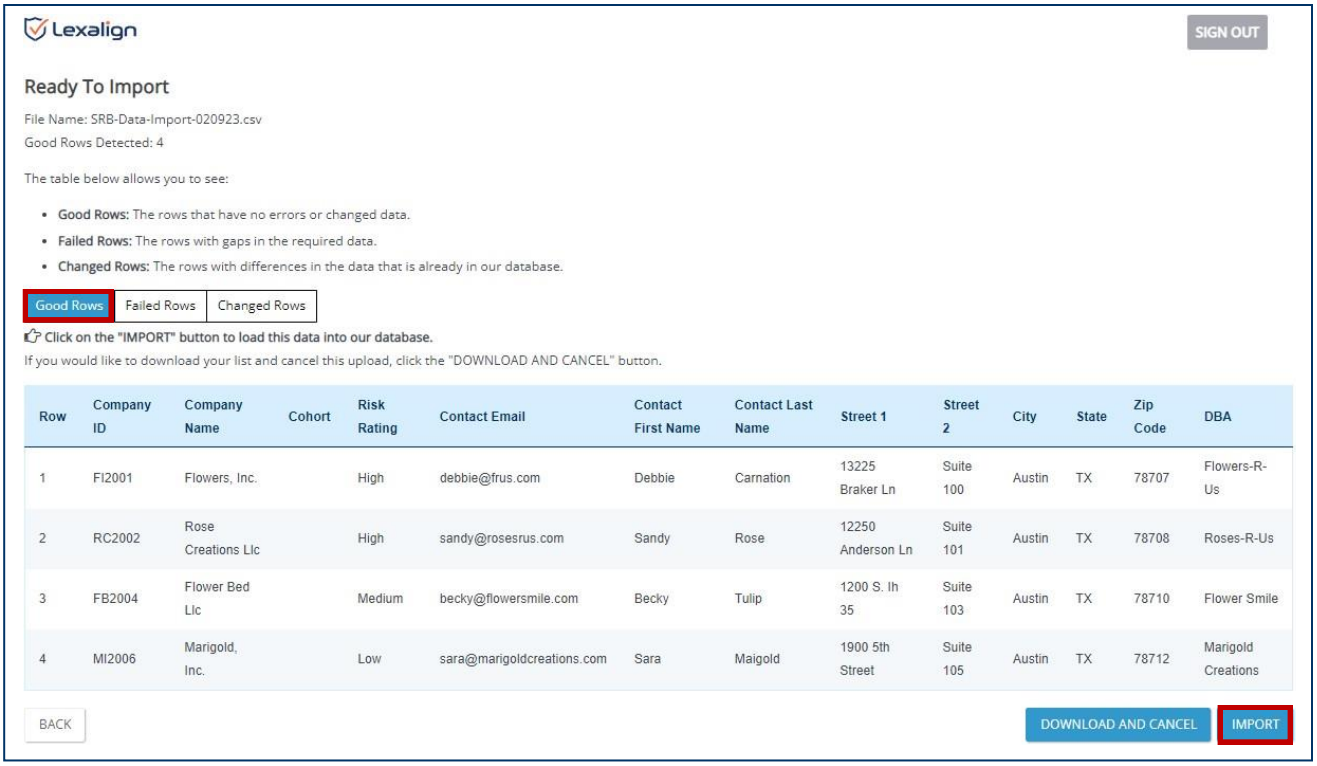
Failed Rows: Rows that have errors and must be fixed before they can be imported.

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.

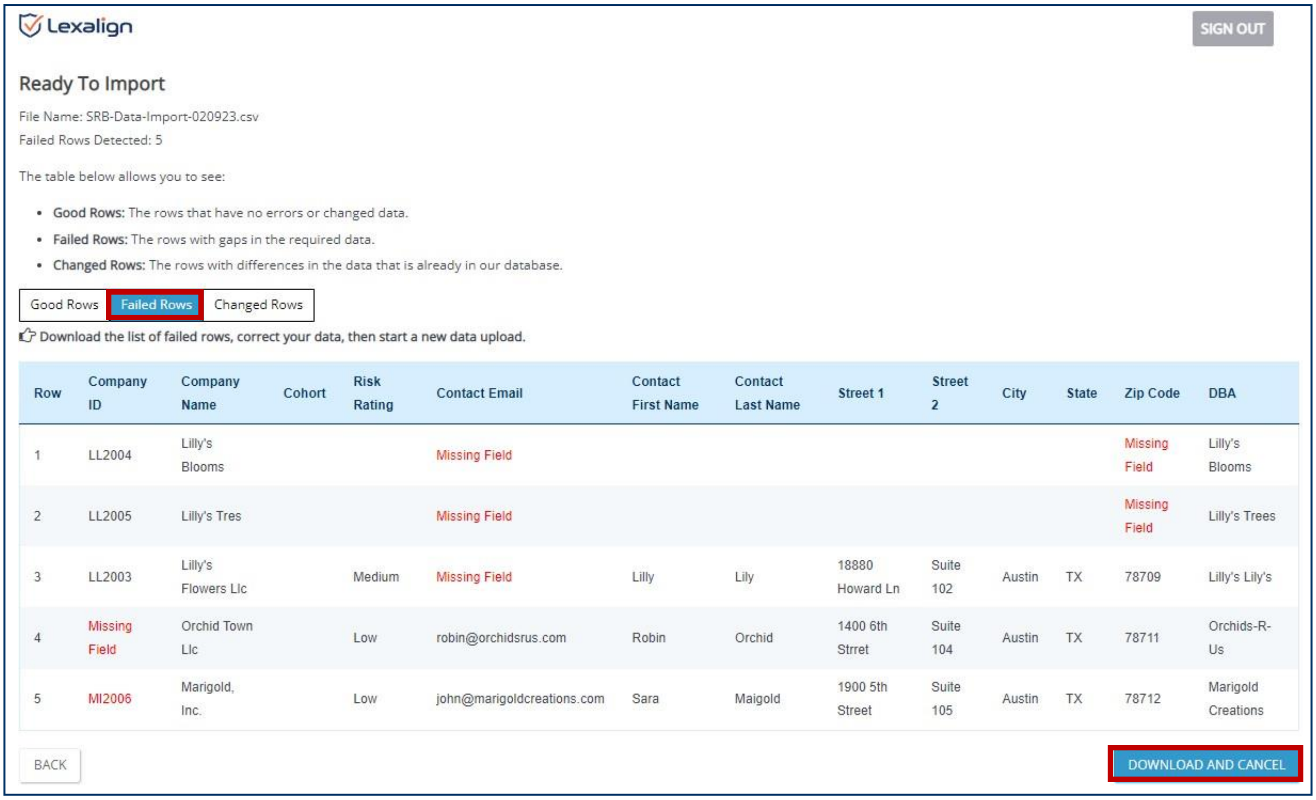
Click on the "**IMPORT**" button to activate the customers contained in those rows for the selected Diagnostic, Cycle, and Cohort.



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.

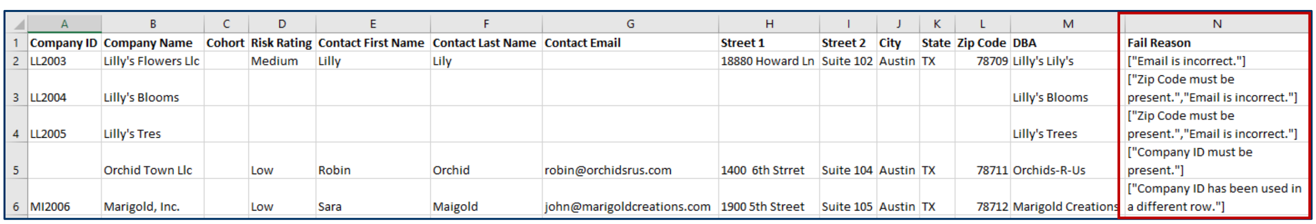
Row	Company ID	Company Name	Cohort	Risk Rating	Contact Email	Contact First Name	Contact Last Name	Street 1	Street 2	City	State	Zip Code	DBA
1	LL2004	Lilly's Blooms			Missing Field							Missing Field	Lilly's Blooms
2	LL2005	Lilly's Tres			Missing Field							Missing Field	Lilly's Trees
3	LL2003	Lilly's 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

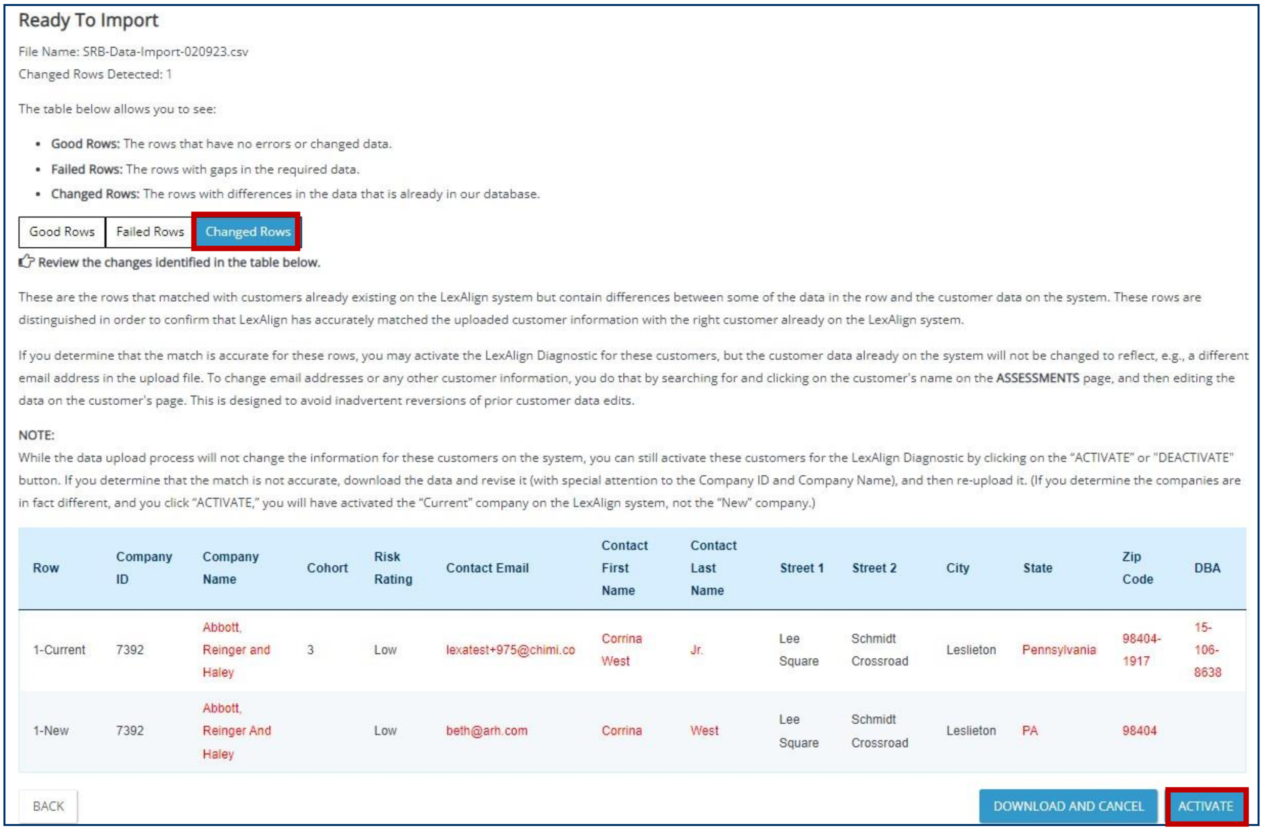
system. These rows are distinguished in order to confirm that LexAlign has accurately matched the uploaded customer information with the right customer already on the LexAlign System.

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.

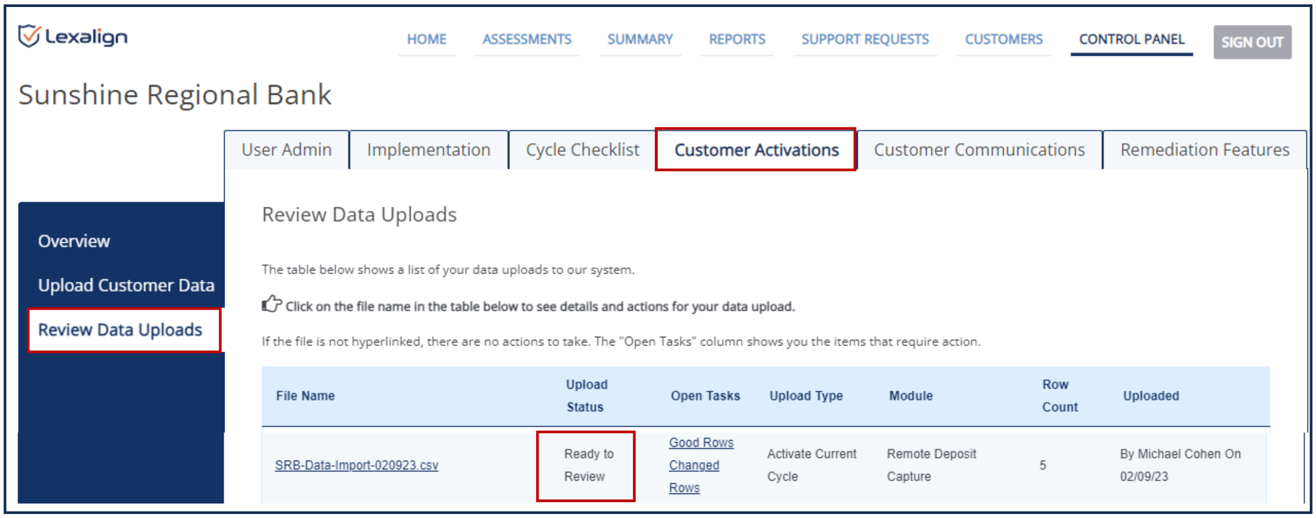
NOTE:
While the data upload process will not change the information for these customers on the system, you can still activate these customers for the LexAlign Diagnostic by clicking on the “ACTIVATE” or "DEACTIVATE" button. If you determine that the match is not accurate, download the data and revise 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.



Lexalign

HOME | ASSESSMENTS | SUMMARY | REPORTS | SUPPORT REQUESTS | CUSTOMERS | CONTROL PANEL | SIGN OUT

Sunshine Regional Bank

User Admin | Implementation | Cycle Checklist | Customer Activations | Customer Communications | Remediation Features

Overview
Upload Customer Data
Review Data Uploads

Review Data Uploads

The table below shows a list of your data uploads to our system.

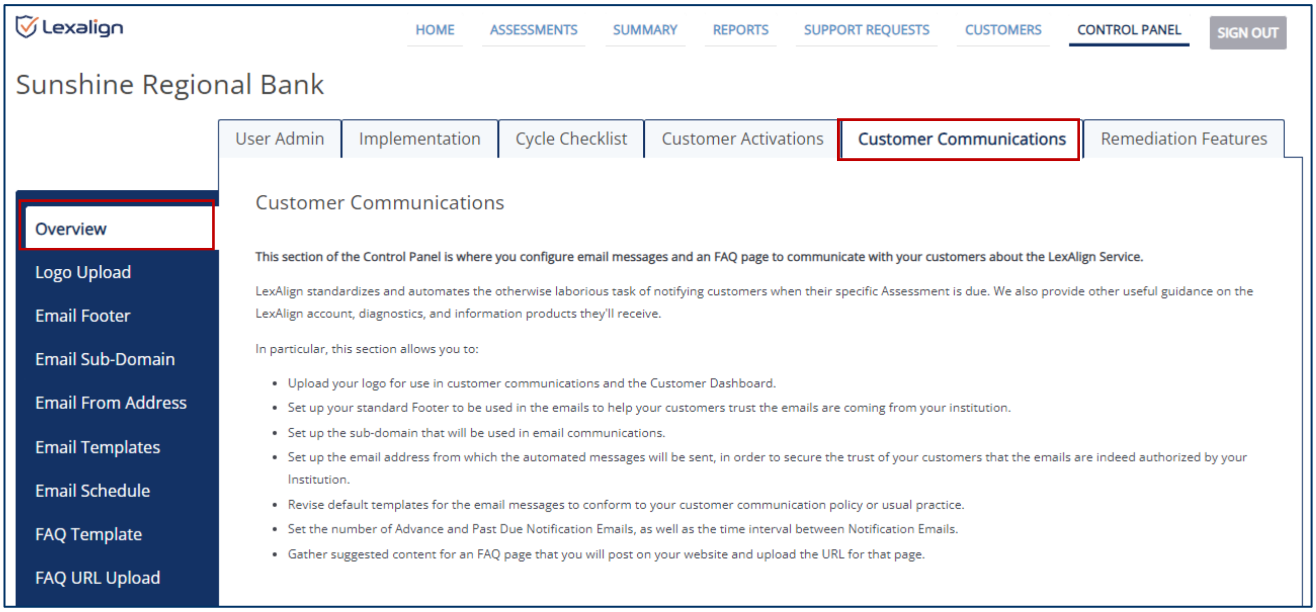
Click on the file name in the table below to see details and actions for your data upload.

If the file is not hyperlinked, there are no actions to take. The "Open Tasks" column shows you the items that require action.

File Name	Upload Status	Open Tasks	Upload Type	Module	Row Count	Uploaded
SRB-Data-Import-020923.csv	Ready to Review	Good Rows Changed Rows	Activate Current Cycle	Remote Deposit Capture	5	By Michael Cohen On 02/09/23

5.1.6 Customer Communications

The Customer Communications section of the Control Panel enables uploading the FIs logo, configuring a standard email footer, creating a sub-domain used for email communications, tailoring the email templates used in the notification process, defining the email schedule by Cohort, access to content for use in a Frequently Asked Questions (FAQ) landing page that will live on the FIs web site, and providing the URL for the FAQ page so that it can be used in the email communications.



5.1.6.1 Logo Upload

The institution logo is used in email communications with the FIs customers as well as on the Customer Dashboard that the FI customers use.

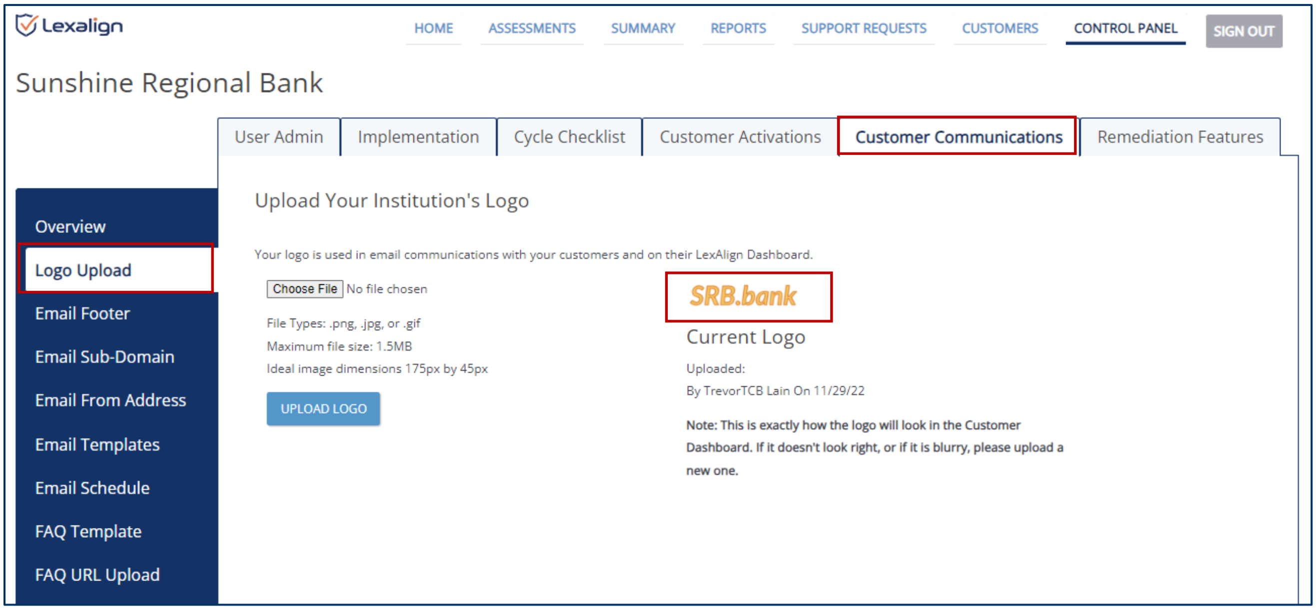
The FI should request a logo from their Marketing department that is no less than 400 pixels wide. The LexAlign System will automatically resize the logo.

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.



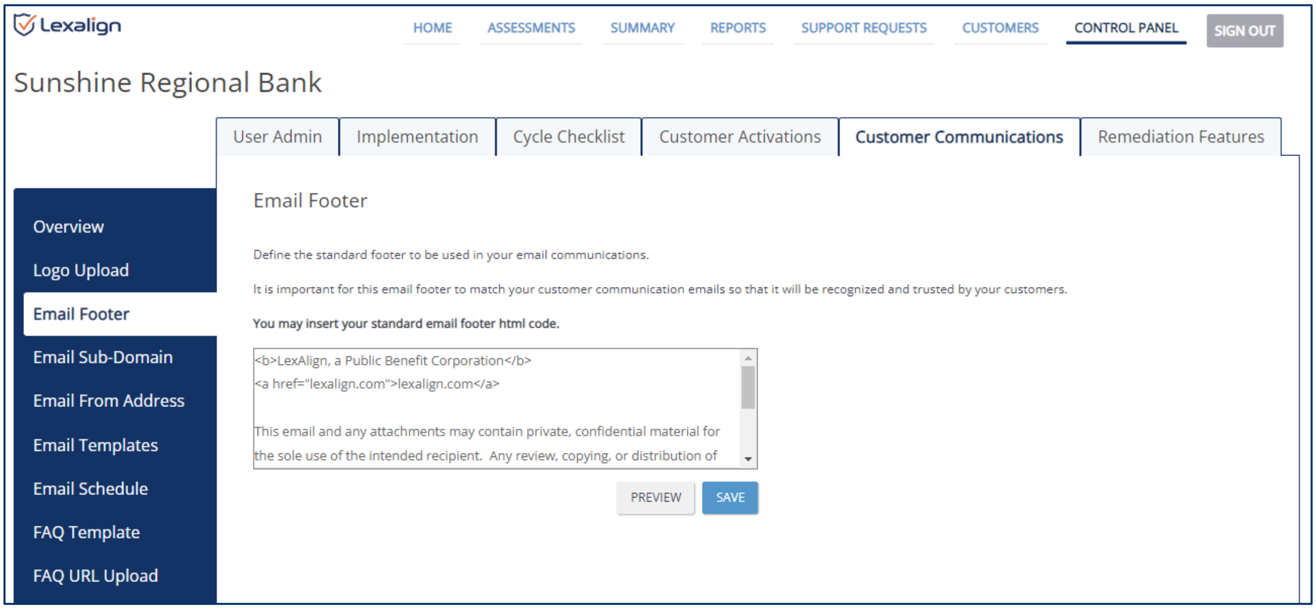
5.1.6.2 Email Footer

This section of the Control Panel allows the FI to insert their standard email footer.

Html code may be entered. The FI should get this content from their marketing department.

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

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.



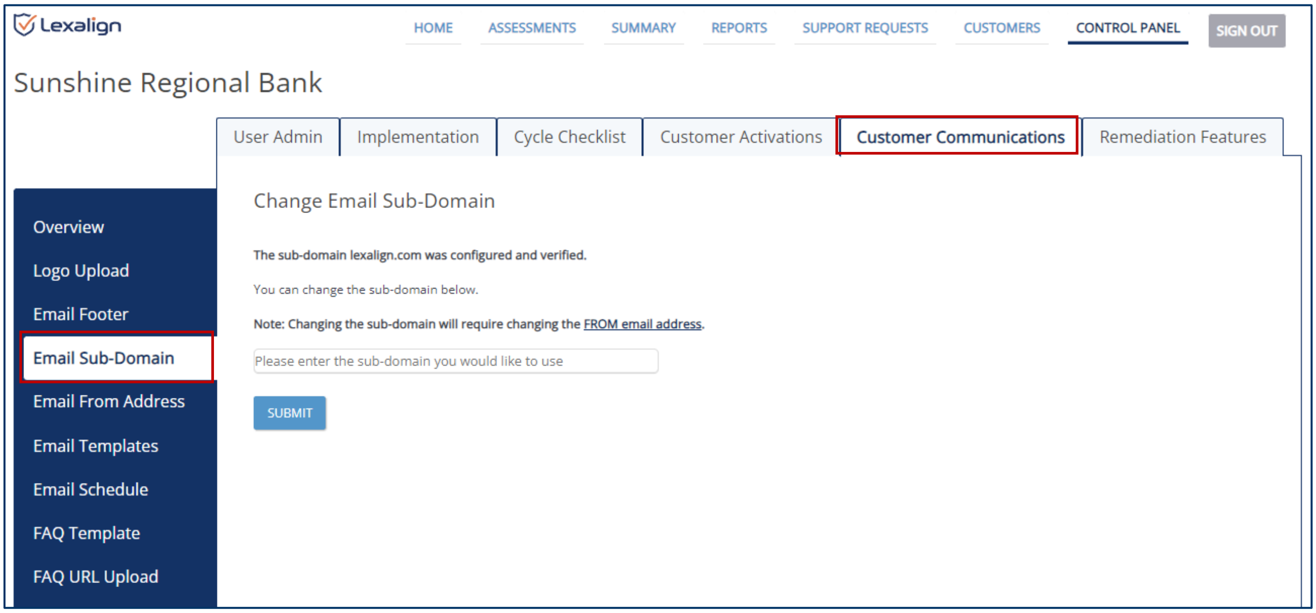
5.1.6.3 Email Sub-Domain Set Up

This section of the Control Panel enables the FI to define the sub-domain that will be used by LexAlign in email communications to their 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 the FIs IT organization to update their DNS information so that the emails we send will be fully deliverable to their 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, the FI will click on it to download the DNS information and provide it to their IT organization.



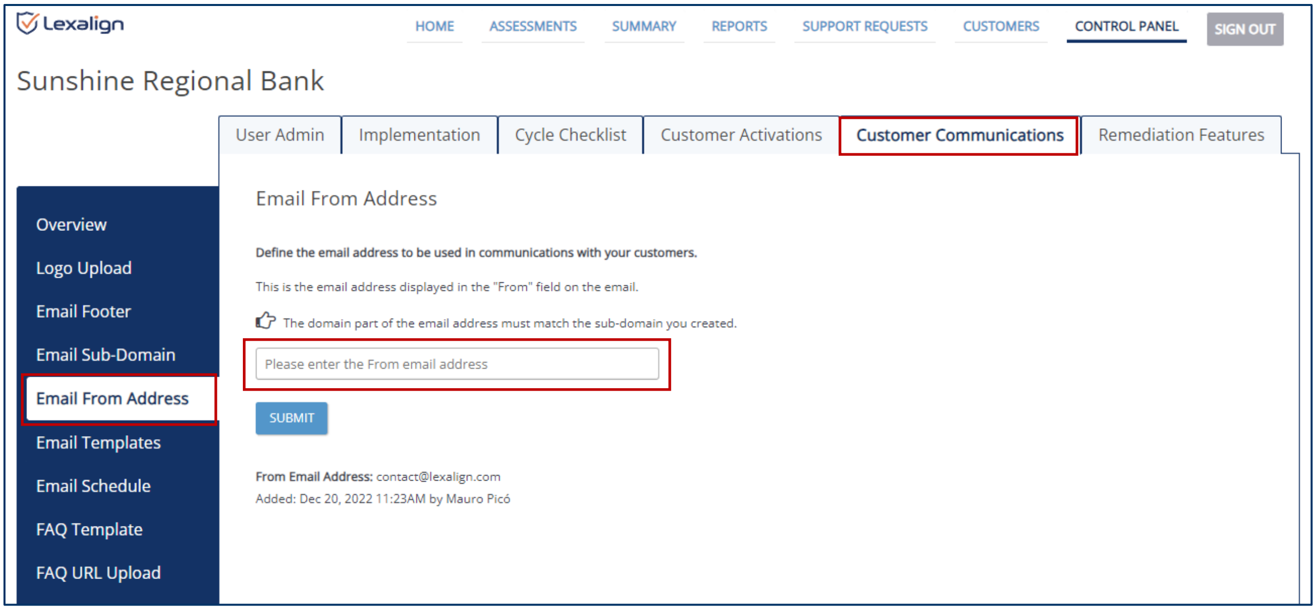
5.1.6.4 “From” Email Address

This section of the Control Panel defines the “From” email address that will be seen by the FIs customers on the emails LexAlign sends on their behalf.

Example of “From” 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: Wed, Dec 14, 2022 at 8:11 AM
Subject: Your RDC Assessment is due today
To: <customer@customer-domain.com>



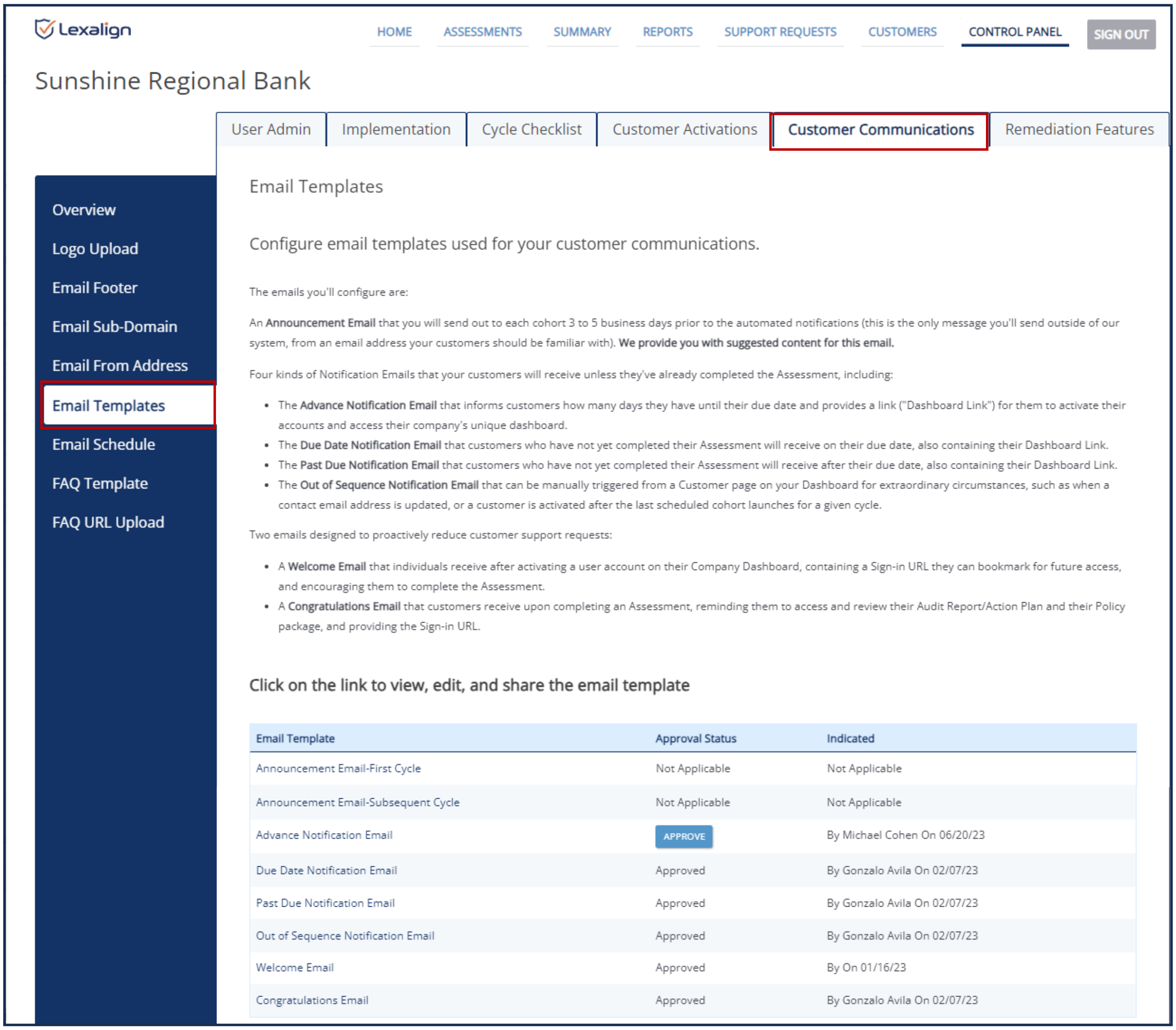
5.1.6.5 Email Templates

This section of the Control Panel enables the customization of various email templates used in the communication process with the FIs 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 the FI receives approval from the appropriate department, they can click on an "Approve" button in the table.

NOTE*:* Suggested content is provided for the Announcement Email that the FI will send out to their customers prior to the start of the LexAlign Notification emails.

Walk the FI through each of the templates to edit the configurable sections. Have the FI send themselves a PREVIEW email to be used to get approval for the emails.



5.1.6.5.1 Email Template Editing

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

For the salutation, use one of the following:

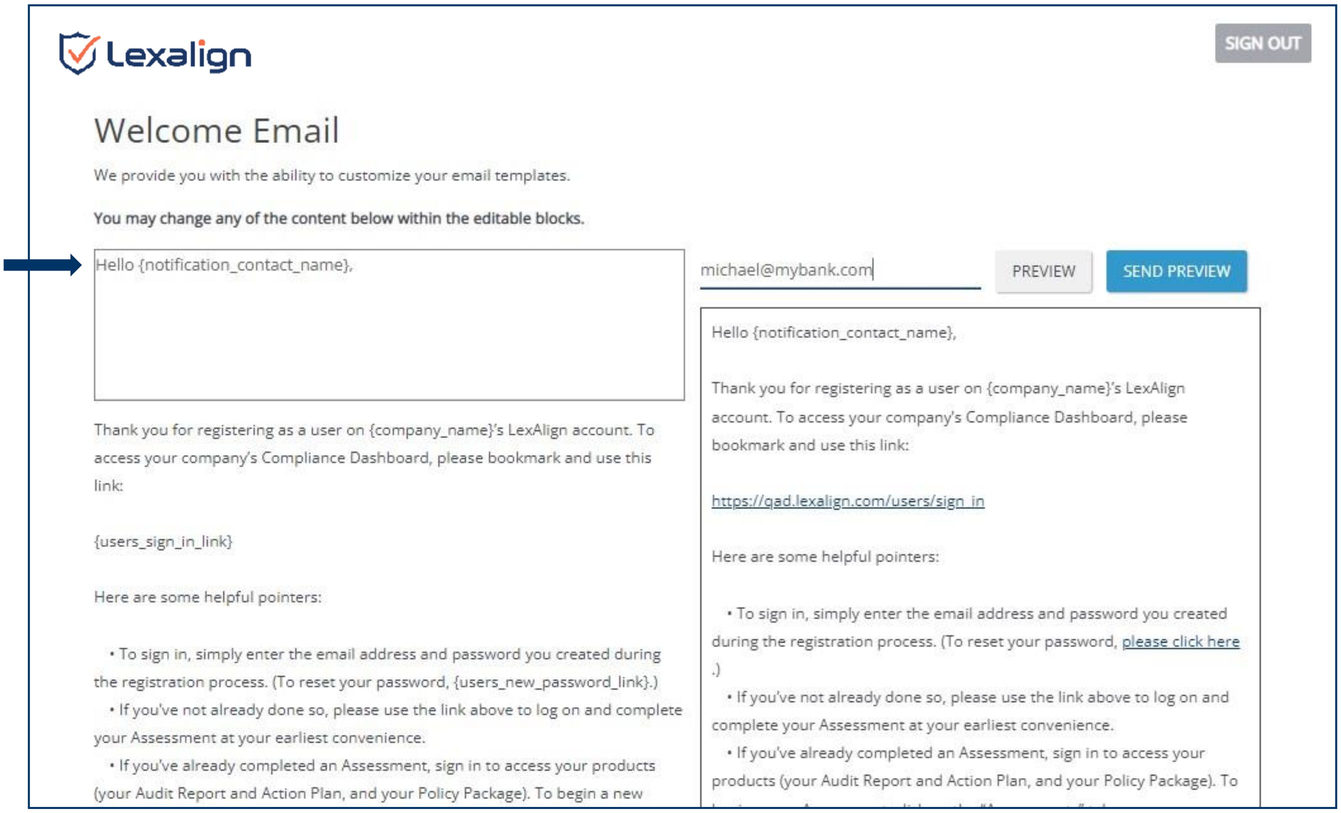
- First Name Tag: {notification_contact_firstname}
- Last Name Tag: {notification_contact_lastname}
- Or enter a generic salutation such as "Dear Valued Customer"

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.



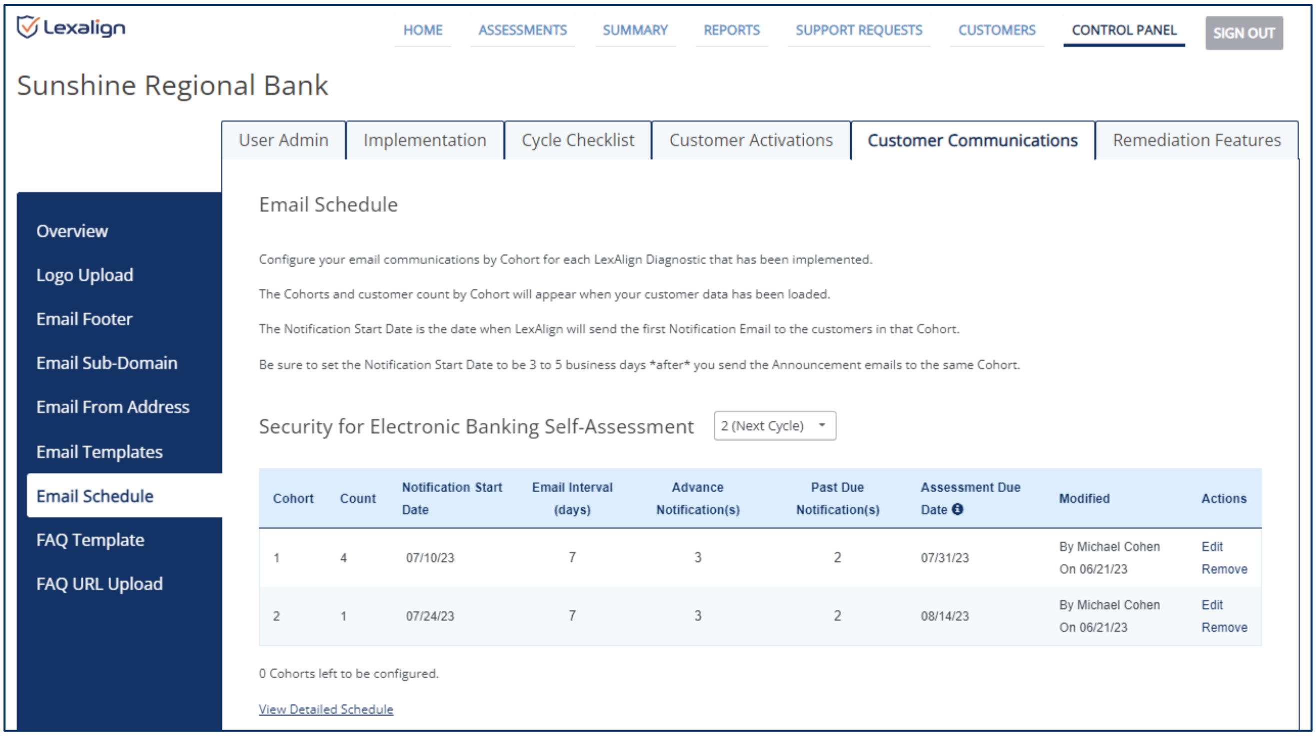
5.1.6.6 Email Schedule

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.



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** the FI sends their 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.

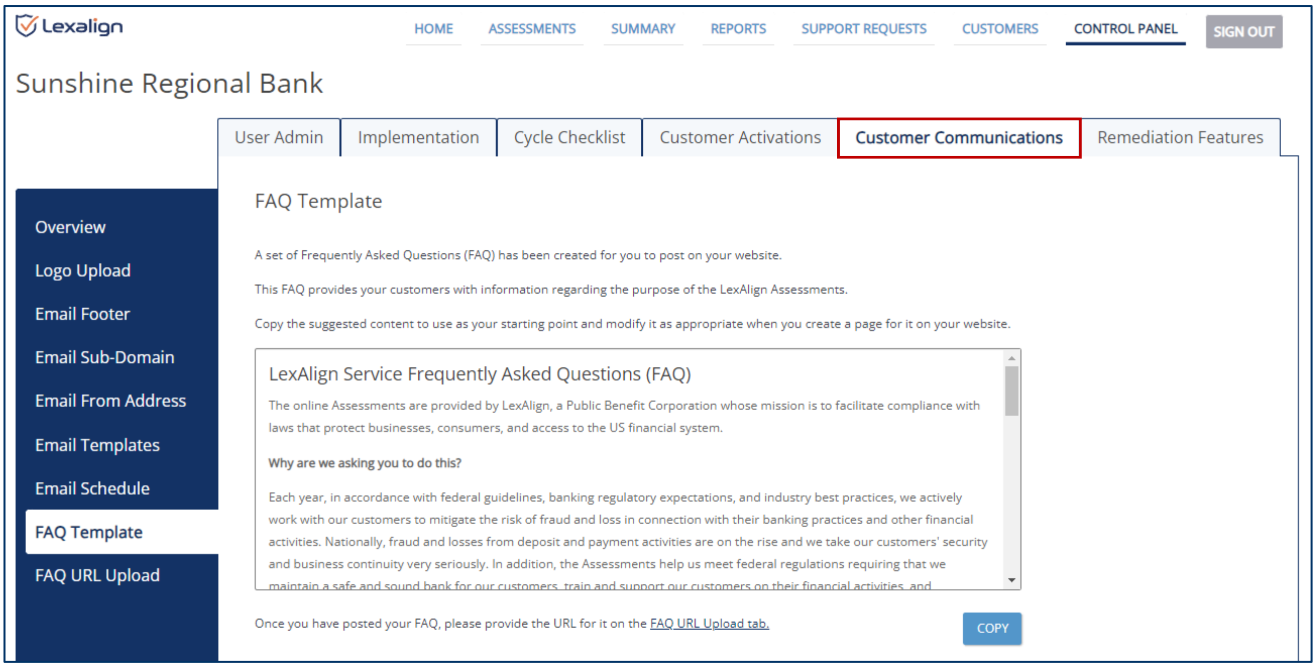
Cohort	Count	Notification Start Date	Email Interval (days)	Advance Notification(s)	Past Due Notification(s)	Assessment Due Date	Modified	Actions
1	4	07/10/23	7	3	2	07/31/23	By Michael Cohen On 06/21/23	Edit Remove
2	1	07/24/23	7	3	2	08/14/23	By Michael Cohen On 06/21/23	Edit Remove

5.1.6.7 FAQ Template

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

Instruct the FI to work with their marketing department to take this content and implement a web page on the FIs website. They can click on the “COPY” button and paste the content in an email and send it to their marketing department when they request the web page.

When their marketing department provides the URL to the new web page, have the FI upload it in the **FAQ URL Upload** section.

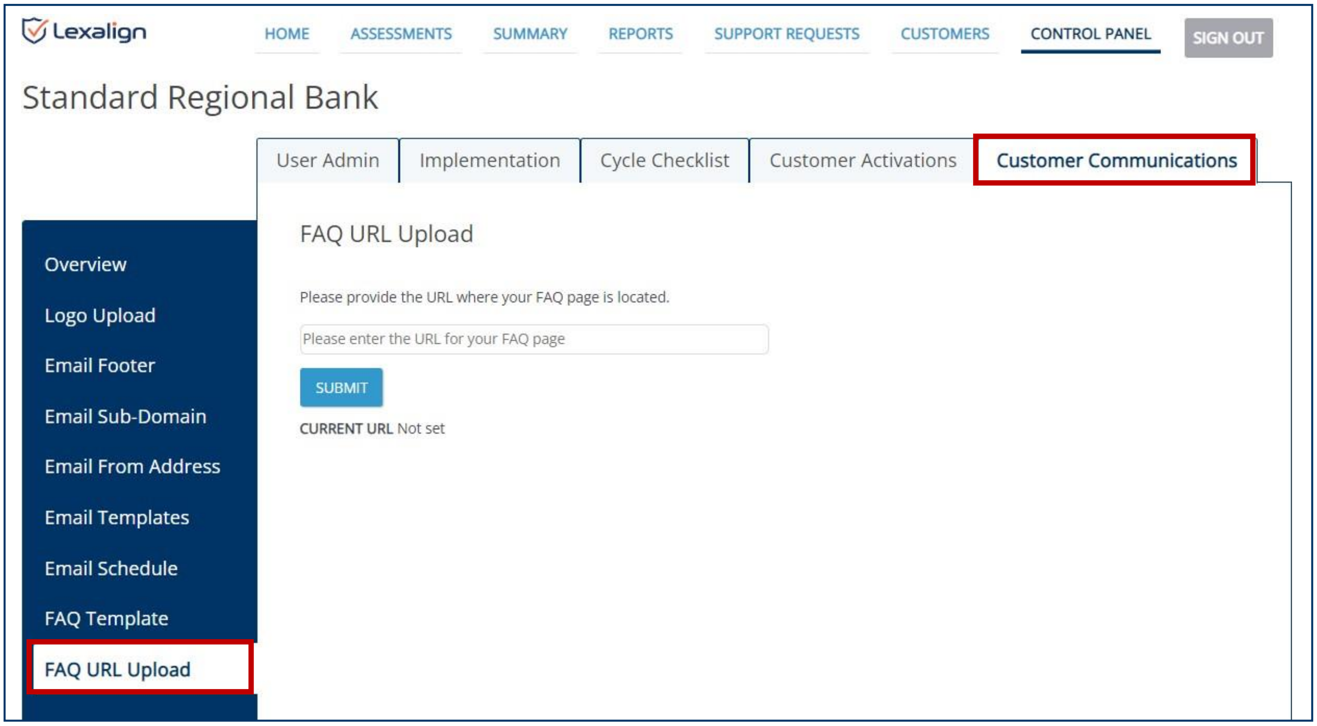


5.1.6.8 FAQ URL Upload

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

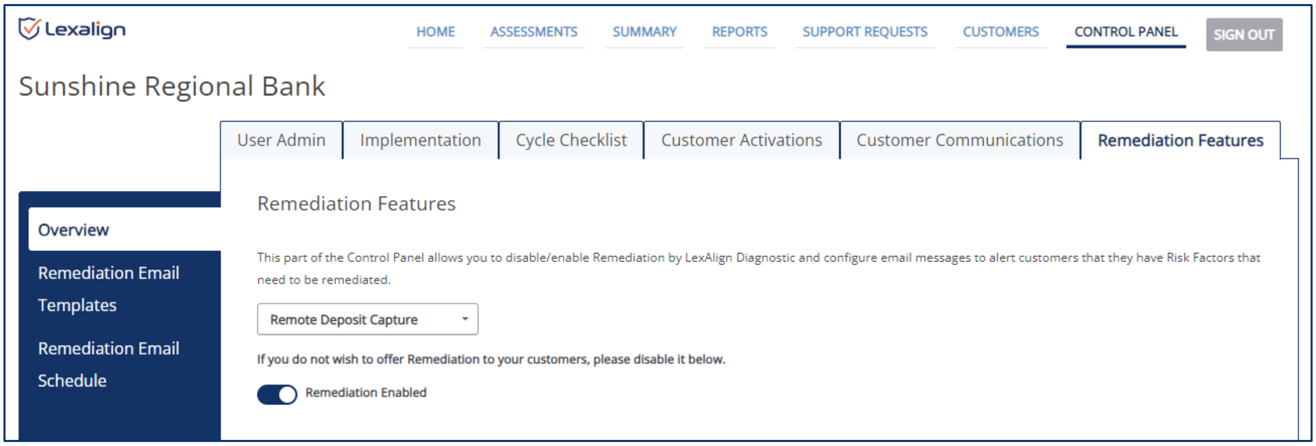
The URL for the FAQ page is used in email communications to the FIs customers. Having this content on the FIs website provides further assurances to the customers that the LexAlign solution can be trusted.

Instruct the FI to enter the URL for their web page when it is available from marketing.



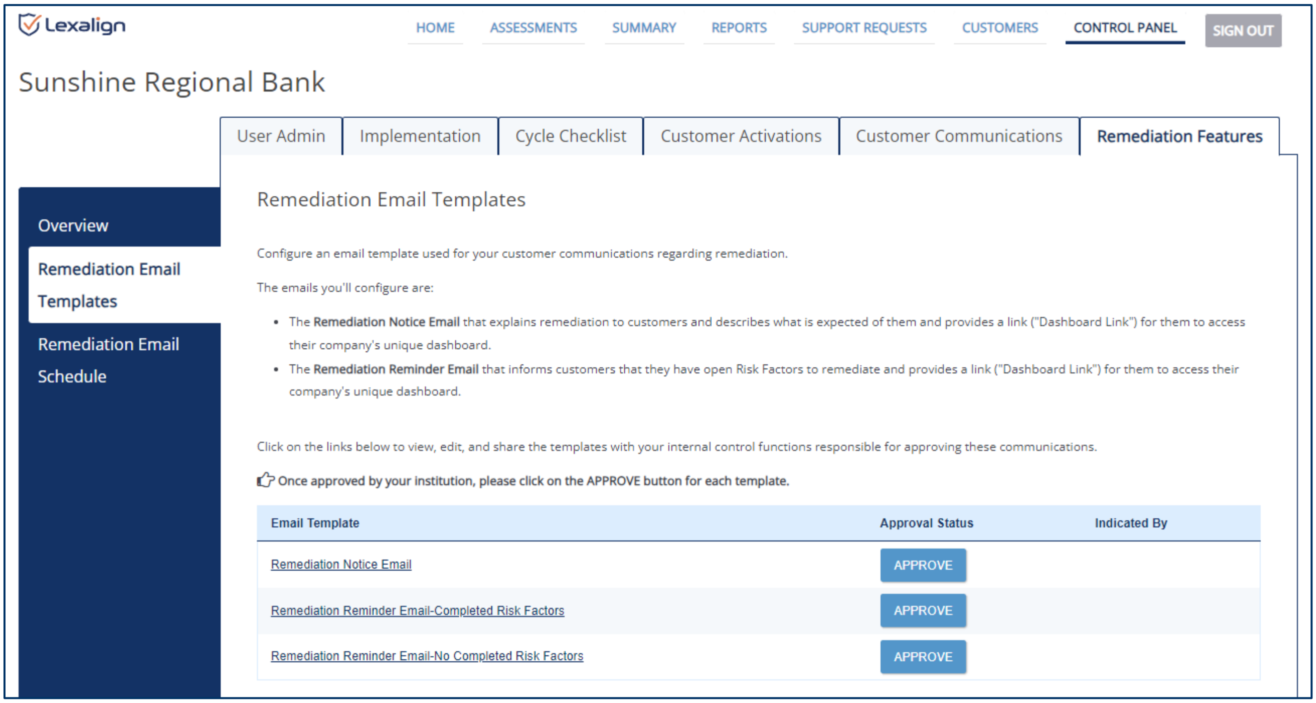
5.1.7 Remediation Features

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.



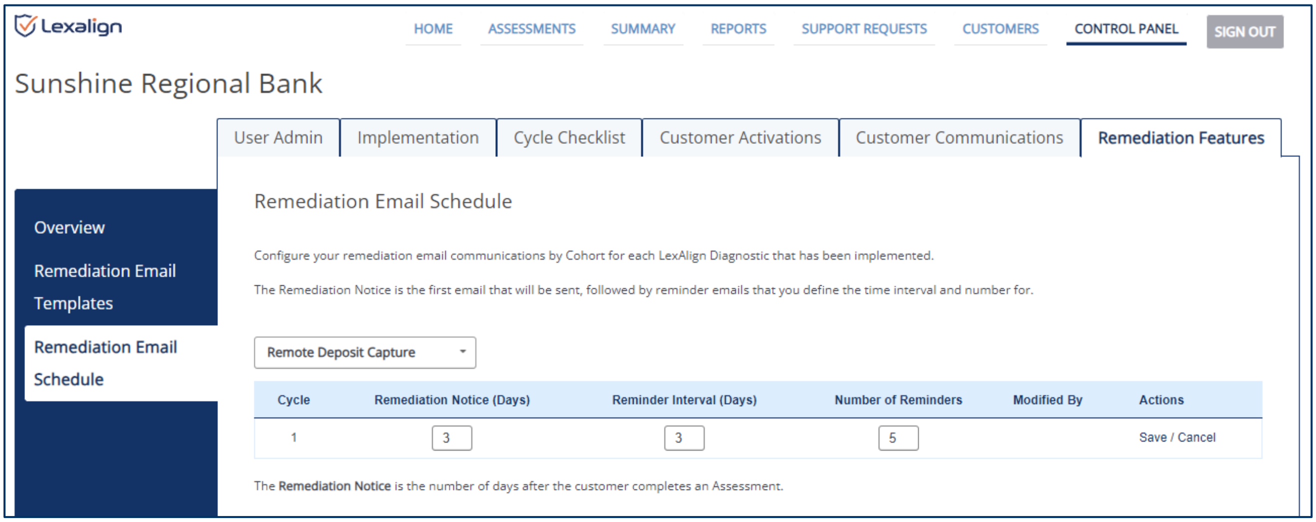
5.1.7.1 Remediation Email Templates

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



5.1.7.2 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.



6. Resources

In addition to this Implementation Guide, the following resources are available to assist the FIS implementation team in learning the LexAlign solution:

- LexAlign Explainer Video
- LexAlign Institution Dashboard Overview Video
- Document: RDC Risk Management (client facing doc)
- Document: Risk Management for Treasury Products and Services (client facing doc)
- Document: LexAlign Risk Management for Treasury Products and Services Battlecard
- Document: Financial Institution Personas
- Document: LexAlign Demo Guide

You can find the most current version of these materials here: https://lexalign.com/fis/

LexAlign Application Login URLs:

- **Partner Login URL**: This is the URL used by FIS Implementation personnel to access the LexAlign Partner Portal: https://partner.lexalign.com/institution_reps/sign_in
- **Institution Rep Login URL – Demo**: This is the URL used by the bank to login to a demo of the LexAlign Institution Dashboard. This Institution Dashboard is populated with demo data: https://demo.lexalign.com/institution_reps/sign_in
- **Institution Rep Login URL – Production**: This is the URL used by the bank to login to their LexAlign Dashboard: https://app.lexalign.com/institution_reps/sign_in
- **Customer Login URL - Demo:** This is the URL used by FIS Implementation personnel and the bank's personnel to access a demo of the LexAlign Customer Dashboard: https://demo.lexalign.com/users/sign_in
- **Customer Login URL - Production:** The URLs for each bank customer are unique to the customer. They are included in the notification emails LexAlign sends to the bank's customers. The bank also has a way to send the notification from their Institution Dashboard if the customer says they did not receive it, or if the customer contact changes.

7. Glossary

Client: Financial Institution (Banks and Credit Unions).

Customer: The bank's commercial customer.

Cycle: The client defined time interval for each LexAlign Diagnostic. Most clients perform an annual customer compliance audit. However, they have the ability to configure whatever time interval they would like.

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. LexAlign Diagnostics are launched to each Cohort according to a specific schedule defined in the "Customer Communications" section of the Control Panel.

Institution Roles:

- **Analyst Role:** The Analyst role has access to all Institution Dashboard functions except the Control Panel.
- **Diagnostic Admin Role:** 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. The Diagnostic Admin role has access to all Control Panel functionality.
- **Institution Admin Role:** The Institution Admin role is used for IT resources at the 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.

LexAlign Diagnostic: LexAlign Diagnostics are the assessment modules by topic. Current topics include RDC and Security for Electronic Banking. The next LexAlign Diagnostic will be for ACH (Fall 2023).