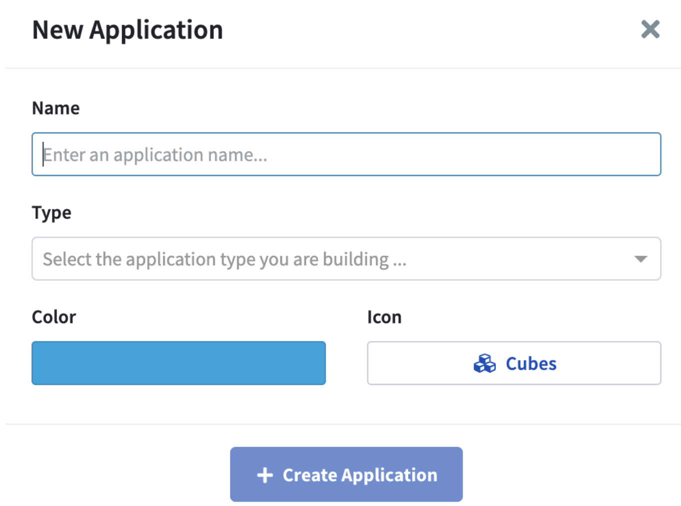
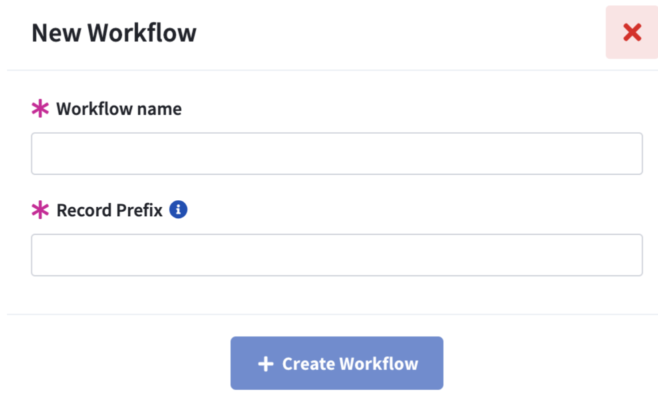
Compliance.ai & LogicGate Setup

LogicGate Setup

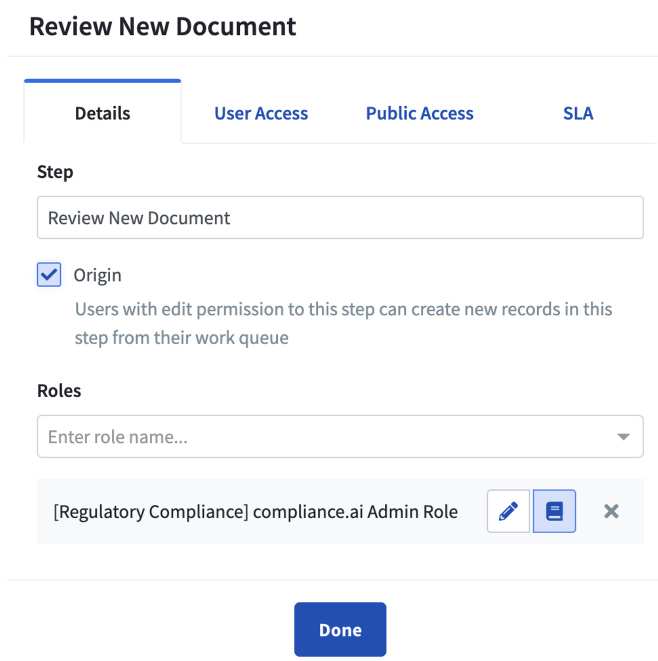
1. **Create Application under Build**: Create a new Application that you will use to capture the Compliance.ai regulatory intelligence and take actions (such as 'Regulatory Compliance')
    a. It is recommended to create a Test Application and go through each of these steps through LogicGate and Compliance.ai
    b. Once the Test application is working and confirmed, repeat the steps for the Live application



2. **Create a Workflow**: Create a new Workflow that you will use to bring in the Compliance.ai regulatory intelligence (such as 'Regulations' , 'Documents' , or 'Requirements')
    a. Each workflow can be mapped to other workflows
    b. Each workflow will have an 'Default Origin' and 'Default End' step
    c. Workflow ID needs to be fetched using : `Type: GET https://your-company.logicgate.com/api/v1/workflows/step/{STEP_ID}`



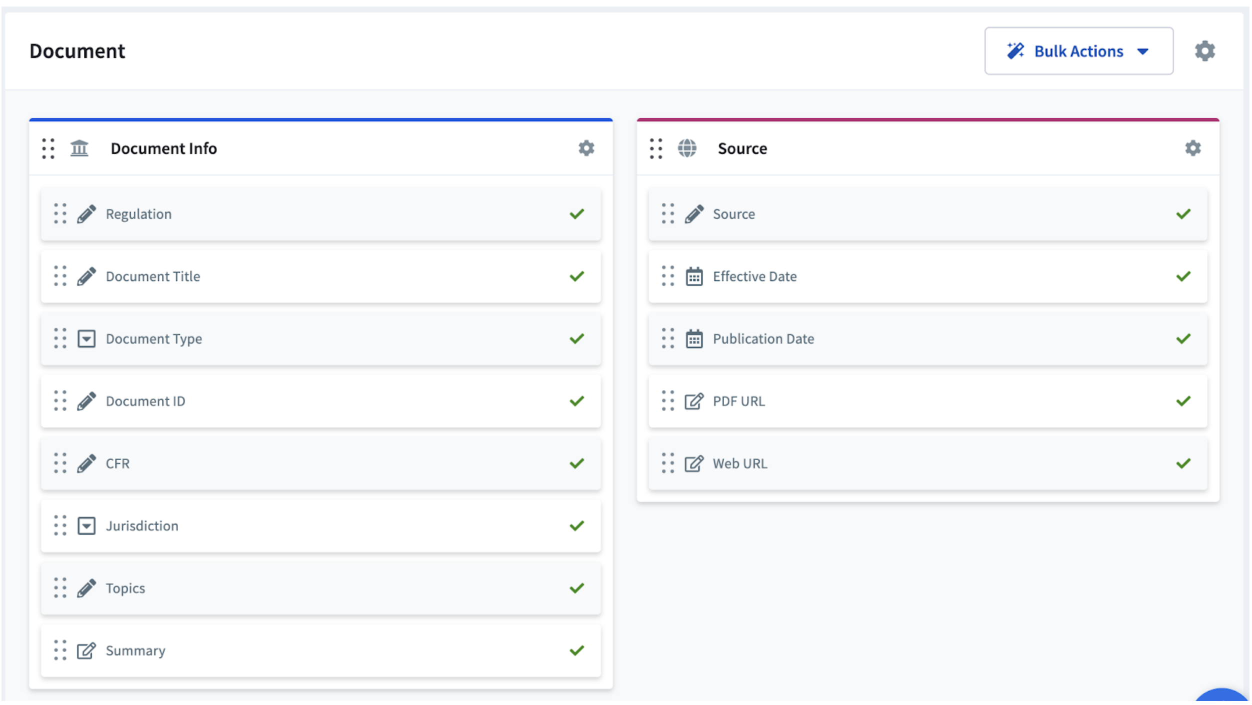
3. **Create/Configure a Step**: A new origin step will be used to create a record using the Risk Cloud API (such as 'Document')
    a. Step ID can be pulled via the browser's URL and should look like this: https://your-company.logicgate.com/build/steps/{STEP_ID}



4. **Create Fields**: Configure the type of fields that you want to be populated with values from Compliance.ai
    a. The following fields must be created for "Documents".
        i. "Document Title": text
        ii. "Document Type": select, add in the values you want to see i.e. Examination Manual
        iii. "Document ID": text
        iv. "Code of Federal Regulations (CFR)": text

v. "Jurisdiction": select, add in the values you want to see
vi. "Topics": text
vii. "Summary": text area, allow rich-text
viii. "Source": text
ix. "Effective Date": date picker
x. "Publication Date": date picker
xi. "PDF URL (on Compliance.ai site)": text area, allow rich-text
xii. "Web URL": text area

b. Optionally, add any additional fields needed for the "Regulation" or "Requirement"



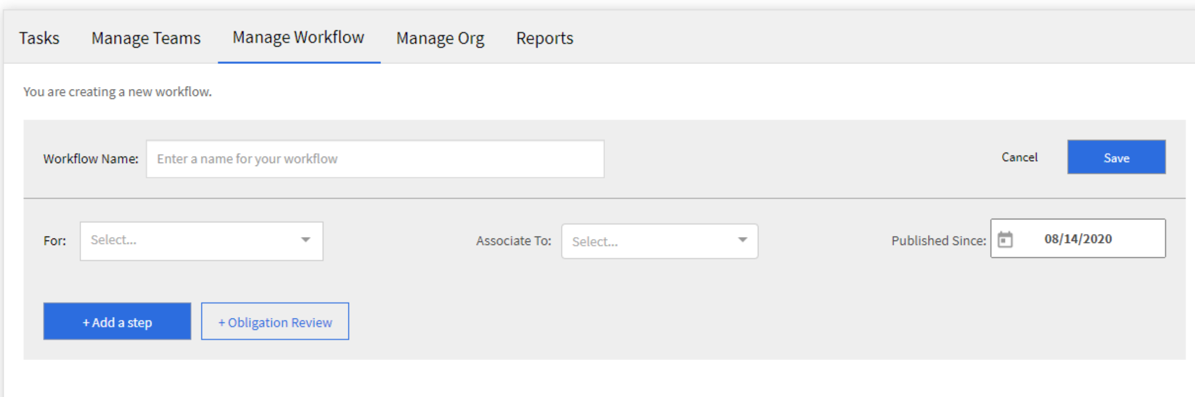
5. **Map Value to each Field**:
   a. LogicGate uses currentValueMaps to map values to the proper Fields
   b. Confirm that each field is properly accepting the expected values
6. **Obtain API Access Token**: While logged into your Account, navigate to Profile > Access Key to generate it. Share the Workflow ID, Step ID, and Access Key with Compliance.ai to enable the integration

For any LogicGate setup issues, Please contact

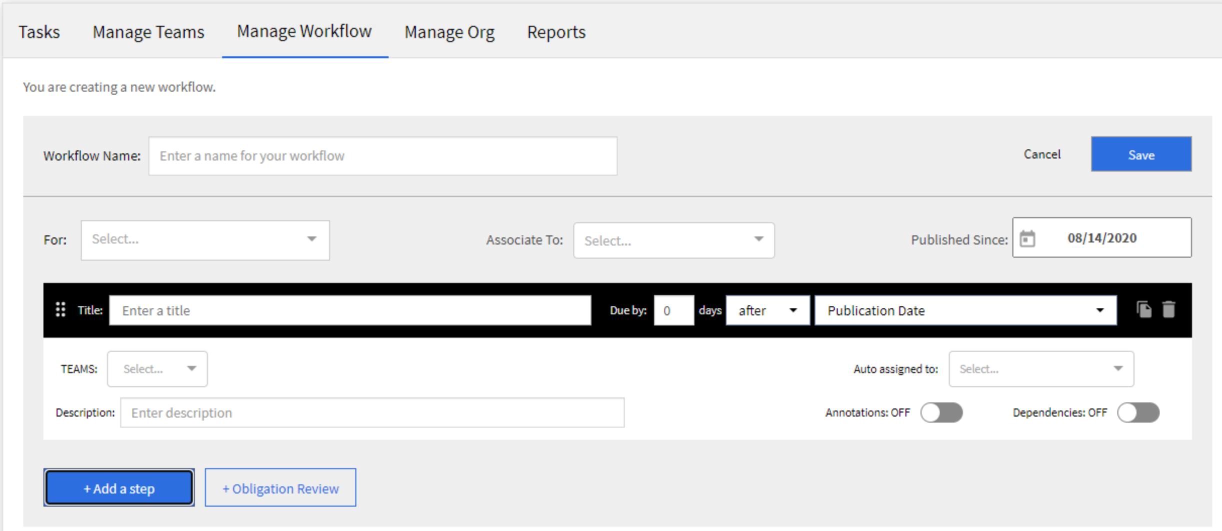
Compliance.ai Setup

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

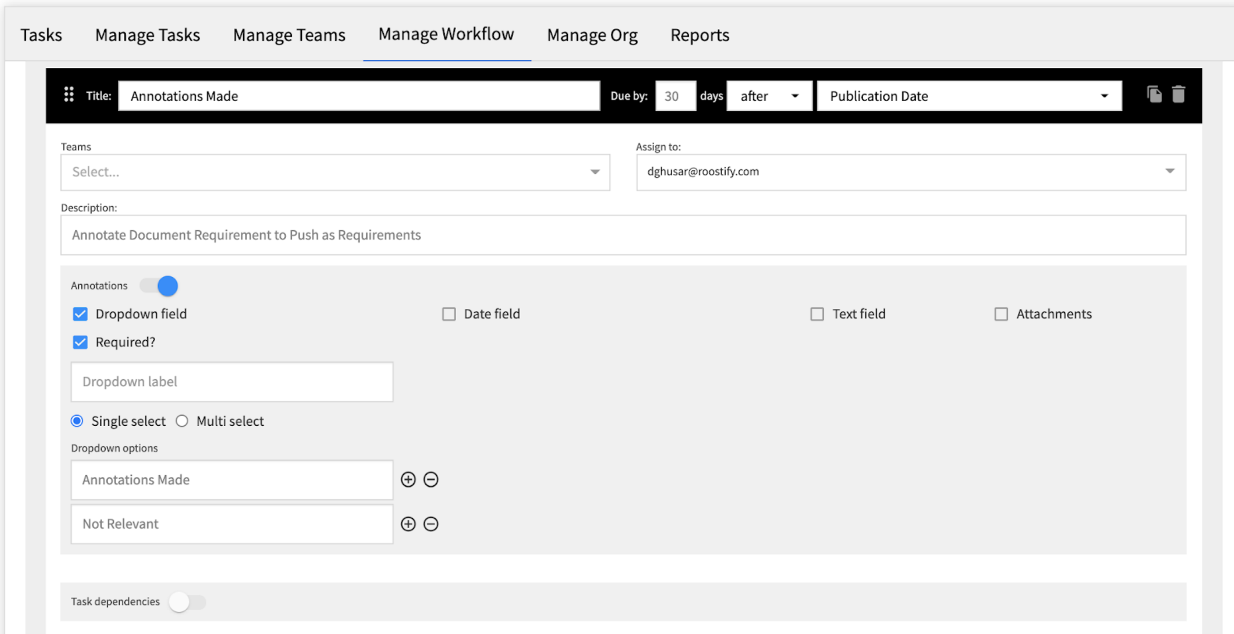
1. **Set up a Compliance.ai Alert:** Using Compliance.ai's Basic and Advanced Search capabilities to surface relevant content, the user can then set up Alerts for this curated view to notify them of any future documents that are published.
2. **Set up Compliance.ai Service Connector Workflow:** Go to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



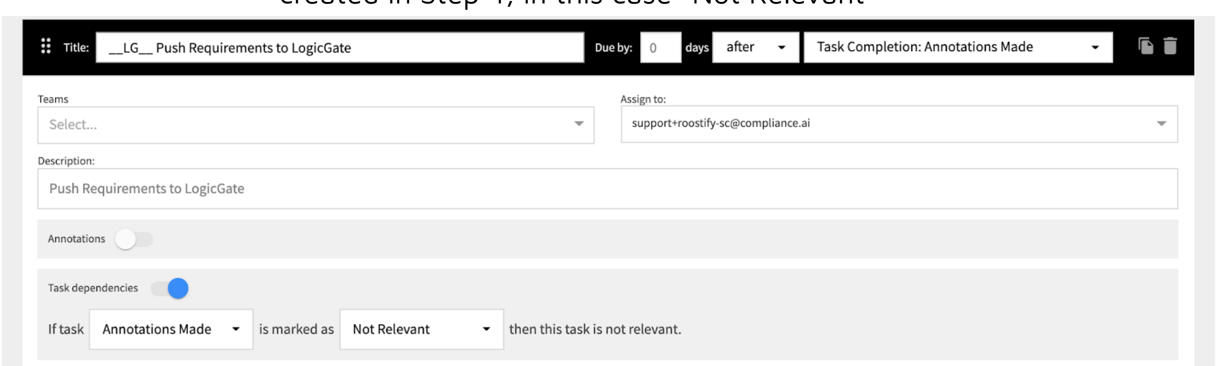
3. **Create The Service Connector Documents Step:** Select the "+Add a step" button and Fill out for the Following Fields:
    - Title: Push Documents to LogicGate
    - Auto assigned to: Select the Service Connector User Account, for example support+abc-sc@compliance.ai.



4. **Create the Annotations Step**: Select the "+Add a step" button and Fill out for the Following Fields:
    - Title - i.e. Annotations Made
    - Assign to
    - Turn on "Annotations" module
        i. Select "Dropdown Field" and "Required?"
        ii. Name the "Dropdown label"
        iii. Select "Single select"
        iv. Add in the two dropdown options
            1. "Annotations Made"
            2. "Not Relevant"

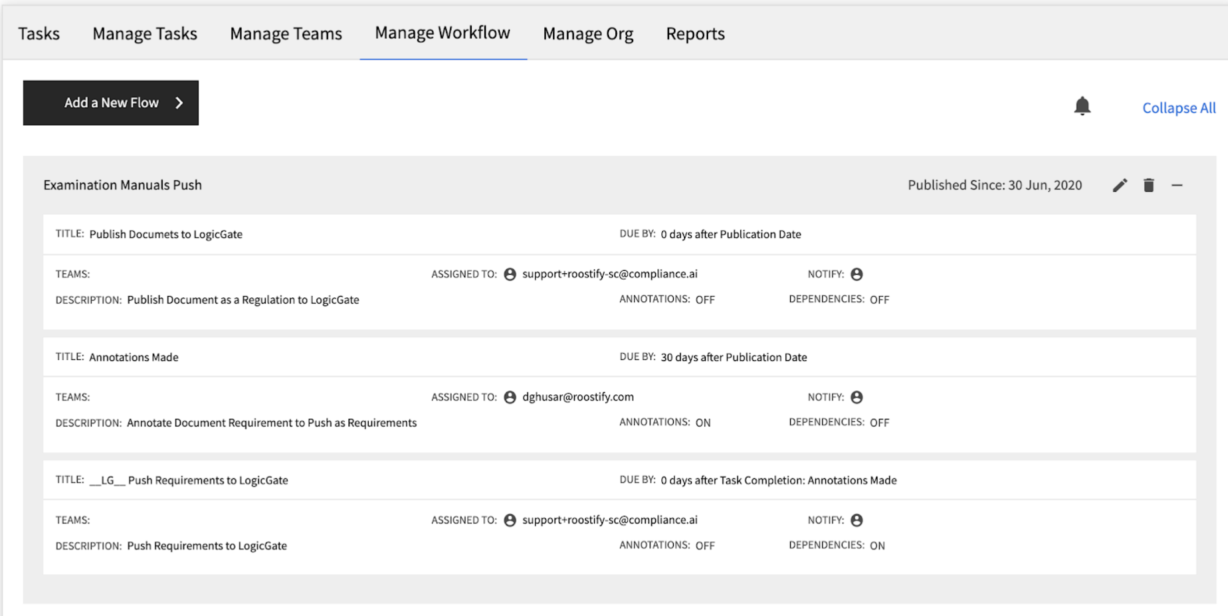


5. **Create The Service Connector Annotations Step** Select the "+Add a step" button and Fill out for the Following Fields:
    - Title - i.e. __LG__Push Annotations to LogicGate
        i. Please include the __LG__ before the title
    - Auto assigned to: Select the Service Connector User Account, for example support+abc-sc@compliance.ai.
    - Turn on "Task dependencies" module
        i. Set the "If task" dropdown as the step previously created in Step 4, in this case "Annotations Made"
        ii. Set the "marked as" dropdown as the dropdown option previously created in Step 4, in this case "Not Relevant"

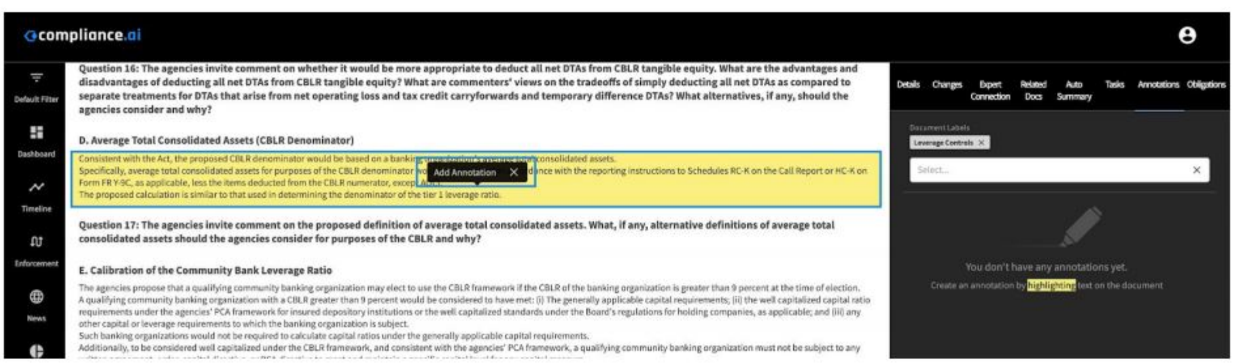


6. **Save the Workflow:** Once done any documents that are given tasks by this workflow will push to LogicGate, and then any annotations made on those documents through

tasks in Compliance.ai will also push to LogicGate. **Note**: The cadence of the push is customizable and its default is once every 24 hours.



7. **Annotations**:
    - Under the "Tasks" section, tasks will be generated based on Step 2 of the workflow created above.
    - Select a task and click "See Document" to open up the document and go to the "Annotations" tab
    - To add an annotation, simply highlight text and select "Add Annotation." Once you have added annotations, you can navigate to a specific annotated fragment within a document by clicking on the annotation in the right panel.



i. You can learn more about making annotations in our Product Guide under Annotations sections -> "2. Access documents to review and add Annotations"

- When you have made annotations on the document or determined it is not relevant, go to the "Tasks" tab of the document and mark the task as "Annotation Made" or "Not Relevant"
- Once done, annotations made on documents through tasks in Compliance.ai will be pushed to LogicGate as "Requirements"

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

Review

Confirm the Documents and Annotations are populated correctly into LogicGate

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

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

1. Example of how document data is populated. Document data from Compliance.ai feeds into the "Documents" in LogicGate

16 **Documents**

	Document ID	Document Title	Document Type	Jurisdiction	Summary	Publication Date
	Documents-42	C. Statutory- and Regulation-base…	Examination Manual	US	The Fair Credit Reporting Act (FCRA) became effective on April 25, …	9/30/12
	Documents-41	C. Statutory- and Regulation-base…	Examination Manual	US	The Real Estate Settlement Procedures Act (RESPA) is applicable t…	3/29/18
	Documents-40	C. Statutory- and Regulation-base…	Examination Manual	US	The Home Mortgage Disclosure Act (HMDA) was enacted by Congr…	3/31/19
	Documents-39	C. Statutory- and Regulation-base…	Examination Manual	US	The Truth in Lending Act (TILA) is intended to ensure that credit te…	3/24/19
	Documents-38	C. Statutory- and Regulation-base…	Examination Manual	US	Unfair, deceptive, or abusive acts and practices (UDAAPs) can cau…	9/30/12
	Documents-37	C. Statutory- and Regulation-base…	Examination Manual	US	The Secure and Fair Enforcement for Mortgage Licensing Act of 20…	9/30/12
	Documents-36	C. Statutory- and Regulation-base…	Examination Manual	US	The Fixing America's Surface Transportation Act (FAST Act) includ…	10/27/16
	Documents-35	C. Statutory- and Regulation-base…	Examination Manual	US	In January 2013, the Consumer Financial Protection Bureau (CFP…	10/29/15
	Documents-34	C. Statutory- and Regulation-base…	Examination Manual	US	Interagency Consumer Laws and Regulations TILA Table of Conte…	9/28/20
	Documents-25	E-Sign	Examination Manual	US	X. Other - Electronic Signatures in Global and National Commerce …	12/31/13

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2. Example of how annotation data is populated. Annotation data from Compliance.ai feeds into the "Requirement" in LogicGate

1,416 **Requirement Breakdown**

	Requirement ID	Category	Requirement Description	Applicable BUs	Applicable
	Requirement-2	Servicing and Collections	test Requirement Description2	Product & Design	Further Re
	Requirement-22	General Requirements	{bullet_point} To evaluate the quality of the regulated entity's complia…	Product & Design	Further Re
	Requirement-23	General Requirements	iii. Is furnished with a date specifying the time period to which the infor…	Product & Design	Further Re
	Requirement-24	Servicing and Collections	14. Prescreening. Determine if the entity engages in "prescreening," by …	Product & Design	Further Re
	Requirement-25	Servicing and Collections	8. Organizational Structure. Review the organizational chart to determi…	Product & Design	Further Re
	Requirement-26	General Requirements	Foreclosure Covered Mortgages The PTFA covers foreclosu… + Expand	Product & Design	Further Re
	Requirement-27	Servicing and Collections	1. Determine if and to what extent the financial institution electronicall…	Product & Design	Further Re
	Requirement-28	Servicing and Collections	b. the right to withdraw consent without the imposition of any conditio…	Product & Design	Further Re
	Requirement-29	Servicing and Collections	4. Determine that the consumer, prior to consenting, is provided with a …	Product & Design	Further Re
	Requirement-30	Servicing and Collections	5. Determine that the consumer provides affirmative consent electroni…	Product & Design	Further Re

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Project Plan

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

	Steps	Responsibility	Estimated Completion Date	Individual	Vendor Escalation	Status
1	Implement LogicGate	LogicGate				
2						
3						
4						
5						
6						
7	Test Compliance.ai Service Connector 1. Documents 2. Annotated Documents	Compliance.ai				
8	Troubleshoot	Compliance.ai LogicGate	10/19/20			
9	Automate Service Connector	Compliance.ai				
10	Maintenance	Client				

Implementation Design