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	Item	Date Requested	Date Received	Status	Client Comments	A&M Comments
1						
2	Questions / Request Tracker					
3	Confirmation of the Banque du Liban ("BdL") financial year end (we are assuming 31 December for the purposes of this Information Request)	09-sept-20	13-oct-20	Received	Fiscal year is January 1 through December 31	Confirmed
4	Audited financial statements for the financial years ending 2015 to 2019	09-sept-20	13-oct-20	Received	Attached (2019 in progress)	Under Review
5	Any part-year/unaudited accounts that may have been prepared in relation to the 2020 financial statements	09-sept-20	13-oct-20	Received	Attached year end unaudited accounts / no interim unaudited statements (yearly frequency only)	Under Review
6	All written finance policies, procedures, processes, manuals, guidelines etc. in place at any time from 2015 to date	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
7	Overview document and description of payment and accounting systems	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
8	Overview document and description of finance procedures for approving and processing payments	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
9	Chart of accounts (index of all the financial accounts in the BdL general ledger)	09-sept-20	13-oct-20	Received	Attached	Under Review
10	Full and complete extract in text format of all BdL general ledger accounts for the period 1 January 2015 to 30 June 2020 (preferably pipe delimited " " otherwise in SQL back up format, our forensic technology team can assist with this process if required/helpful)	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
11	Trial Balance for the financial years ending 2015 to 2019 and to 30 June 2020	09-sept-20	13-oct-20	Received	Attached	Under Review
12	Delegated Authority matrix showing approval levels for all payment and transaction types in place at any time from 2015 to date	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
13	Copies of all Management Accounts and internal financial reporting for the period 2015 to 2019 and to 30 June 2020	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
14	Description of management information systems and procedures for internal management reporting on BdL finances	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
15	Description of closing procedures for closing accounts at reporting period ends	09-sept-20	13-oct-20	Received	Attached	Under Review

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	Item	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	List of past and current BDL employees with title and function (1 January 2015 to date)	09-sept-20		Not received	Security Constraints.	Please see revised request.
16	Detailed break down of each asset class of BDL (including but not limited to: foreign assets; securities; public sector loans; financial sector loans; assets from exchange operations of financial instruments; open market operations; seignorage and 'other assets', fixed assets) and their movement from 1 January 2015 to present date	09-sept-20		Partially	Year end balances 2015 till 2019 and 30 June 2020 attached. Movements are confidential as per the attached letter.	Please see revised request.
17	Detailed break down of each category of liability of BDL (including but not limited to: Currency in circulation outside BDL; financial sector deposits; public sector deposits; other liabilities; valuation adjustments; capital accounts) and their movement from 1 January 2015 to present date	09-sept-20		Partially	Year end balances 2015 till 2019 and 30 June 2020 attached. Movements are confidential as per the attached letter.	Please see revised request.
18	Description of procedures and process for valuing assets and liabilities for reporting purposes and valuation support for revaluations recorded at each period end	09-sept-20	13-oct-20	Received	Attached accounting policy manual	Under Review
19	Listing of all the financial institutions that BDL has received deposits from and holds balances with, with outstanding balances	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
20	Breakdown of the movement in commercial bank deposits over time at a customer and group level (from 1 January 2015 to 30 June 2020)	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
21	Detailed listing and composition of BDL's Foreign currency reserves and liabilities and all movement from 1 January 2015 to 30 June 2020	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
22	List of all Vendors between 1 January 2015 to 30 June 2020 (complete Vendor list, including those not utilized in the period)	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
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	Item	Document Form	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	Questions / Request Tracker						
2	Copies of all Banque du Liban ("BdL") Organizational Charts, detailing the structure of all departments, from 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Received	Attached.	Under Review
3	Details of AML transaction monitoring team (size, location, resource etc.)	Electronic / Physical Form	09-sept-20		Received	The compliance function, which covers AML - related issues, is comprised of 12 staff. In addition, the bank has 62 compliance officers in different business units.	Under Review
4	Minutes of Meetings and Board papers from 1 January 2015 to date, including but not limited to: - Central Council meetings; - Higher Banking Commission meetings; - Consultative Committee meetings; - All subcommittee meetings (including but not limited to: Open Market Committee; Investment Committees; Corporate Governance Committee; National Coordination Committee on Fighting Money Laundering; Professional Qualification Committee; Financial Stability Committee) - Management board meetings; and - Management board subcommittee meetings	Electronic / Physical Form	09-sept-20	13-oct-20	Partially received	The Central Council Decisions are already available with the Government Commissioner. The rest of the information requested is of confidential nature pursuant to the Code of Money and Credit.	The remaining items are still required and A&M will not be able to conduct its work in the absence of this information.
5	Detailed list of the individuals comprising the Management Board and any and all Management Board Subcommittees, from 1 January 2015 to date	Electronic / Physical Form	09-sept-20	13-oct-20	Received	Attached.	Under Review
6	Copies of all Governance Committee Charters in effect between 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
7	English language copy of BdL Articles of Association	Electronic / Physical Form	09-sept-20	13-oct-20	Received	Attached.	Under Review
8	English language copy of BdL Bylaws	Electronic / Physical Form	09-sept-20	13-oct-20	Received	Attached.	Under Review
9	All internal audit/external consultant reports related to Compliance, Risk, Governance and the Bank Board for the period 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
10	Copies of all Internal Audit plans for Compliance, Risk, Governance and the Bank Board for the period 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
11	Copies of all Operational Risk Plans for the period 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
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	A	B	C	D	E	F	G
	Item	Document Form	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	Copies of all Employee Handbook/Code of Conduct/Staff Accountability or similar policies (including revisions) in place between 1 January 2015 to date	Electronic / Physical Form	09-sept-20	13-oct-20	Partially received	Except for the attached Employee handbook, such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	The remaining items are still required and A&M will not be able to conduct its work in the absence of this information.
13	List of all BdL policies relating to fraud, risk and compliance, including all revisions, between 2015 and to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
14	Copies of all policies (including revisions) relating to fraud, risk and compliance. Specific policies to be prioritised: - Fraud Investigation & Prevention policy and / or anti-fraud policy - Whistleblower policy	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
15	Complete mapping of fraud related controls and related process documentation.	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
16	Operational Procedures Manuals relating to fraud / risk / compliance including for the Financial Crime and Compliance "FCC" and Financial Intelligence Unit "FIU".	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
17	Compendium of all Policies and Procedures in place from 2015 onwards with dates of creation, revision and implementation	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
18	A further selection of Policies and Procedures based on the above in addition to more detailed information based on review of meeting minutes and interviews conducted	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
19	Fraud / transaction monitoring alerts metrics and results from 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
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	A	B	C	D	E	F	G
	Item	Document Form	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	List of all complaints and whistleblower reports received by BdL, and of fraud related cases opened by BdL, from 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
21	Details of all current or completed fraud/complaint investigations for the period 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
22	Register or listing of BdL staff disciplinary actions from 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
23	Copies of current bank risk assessment(s)	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
24	Copies of BdL risk assessments conducted in the years 2015-2019 inclusive	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
25	Copies of all plans and strategic initiatives by the Compliance Department covering the period 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
26	English language copy of BdL's Corporate Governance Manual	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
27	English language copy of BdL's Code of Conduct	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
28	All third party reports (consultants and advisors) from 2015 onwards over fraud related, governance and compliance reports.	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
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	Item	Document Form	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	Schedules of dates and attendees of BdL's Anti-Fraud training conducted 1 January 2015 to date, and copies of related materials	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
30	Details of BdL's Anti-Fraud training plan for the remainder of 2020 and beyond	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
31	BdL's E-list	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
32	Copies of all versions of BdL Staff Security Standards Document in effect between 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
33	Schematic detailing BdL IT Systems related to fraud / financial crime / risk / other compliance systems, including the intended purpose of each system	Electronic / Physical Form	09-sept-20	13-oct-20	Received	Available in the responses to the IT infrastructure information gathering sheet.	Under Review
34	Breakdown of customers / transaction volume / revenue details by product from 1 January 2015 to 30 June 2020	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
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	Item	Document Form	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	Breakdown of customers / transaction volume by geography from 1 January 2015 to 30 June 2020	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
36	Breakdown of customers by customer type from 1 January 2015 to 30 June 2020	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	Please see revised request.
37	Document (s) detailing Bdl's risk appetite and risk profile	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
38	English language process flow chart for the Complaints process	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
39	Procurement policy and procedures document for materials or consultants, all versions applicable during the period 1 January 2015 to date	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
40	Directory of Internal Control Guidelines for Commercial Banks	Electronic / Physical Form	09-sept-20		Not received	Such information is of confidential nature pursuant to the Code of Money and Credit. Please refer to the attached letter addressed to H.E the Minister of Finance in this regard.	This item is still required and A&M will not be able to conduct its work in the absence of this information.
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	Item	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	Questions / Request Tracker					
2	Provide details of the core banking / ERP solutions (Finance, Accounting, SWIFT, Cheque, BackOffice, etc.) and HR systems in use (e.g. SAP, Oracle Financials, Microsoft Dynamics, SAGE, etc.). Provide Name, Provider, last update, since when operating / implemented, associated modules, etc.	09-sept-20	13-oct-20	Received	Core Banking : In-house development operating since 1/7/1998. ERP : Oracle Financials ver. 12.1.3 , provider is Oracle, Operating since 2011. HR : Oracle HR ver. 12.1.3, provider is Oracle, Operating since 2011.	Under Review
3	Are your core banking / ERP systems centralized/unified for all the companies / departments / groups (if not specify and describe the differences individually for each system)?	09-sept-20	13-oct-20	Received	Core Banking : Centralized in HQ and decentralized in branches. ERP : Centralized.	Under Review
4	Is the IT support internal or external? Provide details. If external, provide details about locations, engagements, contracts terms, etc.	09-sept-20	13-oct-20	Received	IT support is both internal provided by IT department and external provided by vendors and service providers.	Under Review
5	Is your core banking / ERP systems stored on centralized dedicated physical servers or as a virtual environment, or it is dispersed on multiple servers / systems / application?	09-sept-20	13-oct-20	Received	Core Banking : Stored on physical system in HQ and on virtual servers in branches. ERP : Stored on virtual servers.	Under Review
6	Where are the physical servers and databases currently located (Onsite/External data centers)? Are they maintained by the bank IT department or by any third-party vendors?	09-sept-20	13-oct-20	Received	Physical servers and databases are stored onsite in the Data center, maintained by IT department and supported by vendors and service providers.	Under Review
7	Specify the systems (hardware) on which your core banking / ERP systems are operating on (overview).	09-sept-20	13-oct-20	Received	Core Banking : Operating on IBM Mainframe. ERP : Operating on IBM xSeries servers.	Under Review
8	Provide network diagrams showcasing your data sources and data points around core banking system, transactions and customer accounts data.	09-sept-20	13-oct-20	Received	Attached Diagram.	Under Review
9	Describe the database environment and what format is the data stored in for each application within and around core banking / ERP systems that are in place for transactions (including ODS, Swift and money transfers) and customer accounts data?	09-sept-20	13-oct-20	Received	Core Banking : Hierarchical Database. ERP : Relational Database. SWIFT : Relational Database.	Under Review
10	Are your core banking / ERP systems fully compatible with relational database / SQL environment? Can the data be extracted into SQL format / databases. If not, please provide details about the formats / types of production systems and extracts from (e.g. flat text files) the systems.	09-sept-20	13-oct-20	Received	Data can be extracted however special programming is required: Core Banking : Extract can be prepared in Text Delimited format. ERP : Extract can be prepared in SQL / Text delimited format.	Under Review
11	List of systems / applications / interface used for customer onboarding across product lines along with a description of each system (Use, provider, etc.).	09-sept-20	13-oct-20	Received	ERP, CORE BANKING, TRSD, NPS, ECPS, CDR, UCPS, TRSR, ESTR.	Under Review
12	List of systems / applications / interface used for recording customer transactions across product lines along with a description of each system (Use, provider, etc.).	09-sept-20	13-oct-20	Received	ERP, CORE BANKING, TRSD, NPS, ECPS, CDR, UCPS, TRSR, ESTR.	Under Review
13	Is Accounting system separate from your core banking system? If Yes, please provide details about your accounting system and how and where the data is being stored?	09-sept-20	13-oct-20	Received	Yes. Accounting system is separate from Core Banking. Accounting System is Oracle GL within Oracle Financials, data is stored in Oracle DBs.	Under Review
14	Is SWIFT processing system separate from your core banking system? If Yes, please provide details about your accounting system and how and where the data is being stored?	09-sept-20	13-oct-20	Received	Yes. SWIFT system is separate from Core Banking. SWIFT system uses SMC and SAMSA middleware, data is processed through core banking to Oracle GL.	Under Review
15	Is Cheque processing system separate from your core banking system? If Yes, please provide details about your accounting system and how and where the data is being stored?	09-sept-20	13-oct-20	Received	Yes. ECPS system is separate from Core Banking. Data is processed through core banking to Oracle GL.	Under Review
16	What is the transactional data flow from the POS through your systems? Can you please provide data flow diagrams?	09-sept-20	13-oct-20	Received	No transactional data from POS passes through our systems.	Under Review
17	How is the core banking data being referenced to the source data systems or applications (ODS, SWIFT, Cheques, etc.)? Is there a unique original transaction reference passed to core banking system?	09-sept-20	13-oct-20	Received	The original transaction references are the SWIF transaction numbers and the cheque numbers.	Under Review
18	Provide details about the data retention policy for core banking system data, customer and accounting data?	09-sept-20	13-oct-20	Received	Retention policy is 10 years.	Under Review
19	What is the span of your live data in terms of direct accessibility (days, weeks, Months, years)?	09-sept-20	13-oct-20	Received	Up to 3 years.	Under Review
20	How far back is your historical data readily available in the production / live databases without accessing the archival / backup tapes / systems?	09-sept-20	13-oct-20	Received	Up to 3 years live depending on system.	Under Review
21	How far back is your historical data kept / preserved in the archival / backup tapes / systems?	09-sept-20	13-oct-20	Received	Retention policy is 10 years.	Under Review
22	List the data sources from which the transactional data is being fed to your Core Banking / ERP systems. Provide process flow diagrams if available.	09-sept-20	13-oct-20	Received	Attached Diagram.	Under Review
23	Provide details about the current data warehousing solution and what are the stages in the data warehousing?	09-sept-20	13-oct-20	Received	Data warehousing Solution is BBIS. Data is loaded through ETLs to stage area, then ODS and finally published to DWH.	Under Review
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	Item	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	Identify number of customer accounts across products (Retail, Private + Wealth, Corporate, Institutional, credit cards, loan accounts such as home loans, personal loans and other financing / financial products).	09-sept-20	13-oct-20	Received	Attached.	Under Review
25	Provide details about your current transaction monitoring solutions for all types of your credit cards and debit cards. (bank owned/ third party provider).	09-sept-20	13-oct-20	Received	Not Applicable.	Under Review
26	Provide details about general ledger data repository (Which system, location) and what format the data is stored in?	09-sept-20	13-oct-20	Received	GL is under ERP Financials stored on Oracle DBs.	Under Review
27	How often the general ledger is updated and which systems feed general ledger?	09-sept-20	13-oct-20	Received	ERP business events are updated instantaneously on the Oracle GL, whereas data from the mainframe core banking is updated at end of day to the Oracle GL.	Under Review
28	Is the General Ledger designed to store every detail of the transaction (header and line items as in SAP) or the transaction are stored in aggregated format - in such case where are the transaction details stored?	09-sept-20	13-oct-20	Received	Detailed transactions are stored on Oracle SLA, and the summarized JVs are stored in Oracle GL.	Under Review
29	Does the central bank perform any customer profiling and risk scoring (at onboarding and on regular intervals)?	09-sept-20	13-oct-20	Received	Not Applicable.	Under Review
30	Provide details about your SWIFT system. What application is used for handling and storing SWIFT messages and in which format are they stored.	09-sept-20	13-oct-20	Received	SWIFT Solution includes SWIFT Alliance, SMC and SAMA. Data stored in Oracle relational DB.	Under Review
31	Provide details about your Cheque system. What application is used for handling and storing Cheque information and in which format are they stored.	09-sept-20	13-oct-20	Received	ECPS System (Electronic Cheque Processing System). Data is stored on Oracle DB.	Under Review
32	Does the SWIFT messages and Cheque transactions get posted to Core banking / ERP system and to General Ledger?	09-sept-20	13-oct-20	Received	Yes.	Under Review
33	Does the bank have any investigation and review platforms that are being used by any of the departments?	09-sept-20	13-oct-20	Received	TRSD system (Thomson Reuters Solution Deployed) used at the Compliance Unit	Under Review
34	Is there any case management tool that's being used at the bank? If Yes, please provide details of the tool.	09-sept-20	13-oct-20	Received	TRSD system (Thomson Reuters Solution Deployed) used at the Compliance Unit IBM Case Manager / Filenet used for correspondences.	Under Review
35	Do Core Banking / ERP Systems have abilities (tools) to search through the systems' information / records and databases (e.g. SQL queries), through the GUIs, as well as ability to create any ad-hoc reports? Please elaborate per each vital system.	09-sept-20	13-oct-20	Received	Core Banking: None ERP : Yes. FSG (Financial Services Generator) to search system info at report level and SQL Developer for Oracle ERP.	Under Review
36	Does the IT have applications / tools / solutions available to extract / export data from Core Banking / ERP systems' backups or archives? Please elaborate per each vital system.	09-sept-20	13-oct-20	Received	Special programming is required: Core Banking: via archive using predefined reports. ERP: Through backup using a tool.	Under Review
37	Are there any Core banking / ERP and other systems and application that are not English based (e.g. French, Arabic)? Please provide details.	09-sept-20	13-oct-20	Received	Yes. ERP is En/Fr/Ar based. Core Banking is Arabic based.	Under Review
38	Can you start preparing database extract of your Core banking / ERP systems into SQL database or backup format? If SQL format is not available, can a clean standardized database extract or in text extract (pipe " " delimited) be provided? This especially applies to GL data, transactions data, cheques, swift, inward / outward transfers, payments, ILC, LG, etc.	09-sept-20	13-oct-20	Received	Special programming is required: Core Banking: Extract can be prepared in Text Delimited format ERP: Extract can be prepared in SQL/ Text delimited format.	Under Review
39	Are there network / file or virtual server areas / folders access by departments to store or access reports, finance data, and other information? How many servers, provide names and references as well as locations.	09-sept-20	13-oct-20	Received	Yes. 4 physical servers for shared folders located in Data Center. BDLPROD8, BDLPROD9, BDLFS1, BDLFS2P.	Under Review
40	Are there network / file or virtual server areas / folders allocated to individual employees? How many servers, provide names and references as well as locations.	09-sept-20	13-oct-20	Received	Yes. 4 physical servers for shared folders located in Data Center. BDLPROD8, BDLPROD9, BDLFS1, BDLFS2P.	Under Review
41						



	A	B	C	D	E	F
	Item	Date Requested	Date Received	Status	Client Comments	A&M Comments
1	Questions / Request Tracker					
2						
3	Provide a secured network location or physical servers space for storing information collected (documents, files, reports as well as extracts from GL, Core Banking and ERP systems, such as SQL backups or databases)	06-sept-20		Not available	Premises to be located at MOF and no remote connectivity is available as discussed during the meeting on October 8, 2020.	A&M will require to be physically present and in order to maintain data security we will need to agree on the information sharing protocols. If access to a specific network solution is not to be provided then an alternative solution is to provide access to a dedicated PC on which the requested information will be provided on.
4	Provide access (username, password and other relevant credentials) to the GL, Core Banking and ERP systems (applications front end/Graphical User Interface), with ability to query the records, run and export reports	06-sept-20		Not available	Premises to be located at MOF and no remote connectivity is available as discussed during the meeting on October 8, 2020.	As part of A&M's review we will need to verify data against source information. If direct access cannot be provided then A&M will require assistance from BDL employees to view or assess the data and access to a dedicated PC or Hard-drive on which the requested information will be provided on.
5	Setup a SQL environment (preferably SQL server) to load collected GL, Core Banking and ERP systems to run independent queries on and analyse the transactions data, to ensure that any finance data is not accessed, stored or analysed on A&M computers, either as 1) Independent space within current / existing Microsoft SQL / Database environment / Data Warehouse / development environment, etc., or 2) Powerful stand-alone PC / workstation or server with a valid Microsoft SQL installation and sufficient hard drive space	06-sept-20		Not available	Premises to be located at MOF and no remote connectivity is available as discussed during the meeting on October 8, 2020.	We require an analytical tool such as a SQL environment within BDL to analyze GL and transaction data. The most secure way to provide the data is within BDL SQL environment. Once it is agreed that the data will be provided we can explore alternative options which may include setting up the SQL environment either on: a) Standalone PC provided by BDL; or b) A&M's own devices that will remain at BDL for the duration of the Forensic Audit.

Project Propeller - Naming Convention

All third party names to be anonymized according to a standardized naming convention:

Examples (these may include but are not limited to):

Category
Employees
Financial Institutions
Local Banks
Overseas Banks
Local Government Entities
Overseas Government Entities
Property Owners
Vendors

nvention identifying the type of third party, together with sequential

Standardized Naming
Employee 001, Employee 002, Employee 003...
Financial Institution 001, Financial Institution 002, Financial Institution 003...
Local Bank 001, Local Bank 002, Local Bank 003...
Overseas Bank 001 , Overseas Bank 002, Overseas Bank 003...
Local Government Entity 001, Local Government Entity 002, Local Government Entity 003...
Oversease Government Entity 001, Oversease Government Entity 002, Oversease Government Entity 003...
Property Owner 001, Property Owner 002, Property Owner 003...
Vendor 001, Vendor 002, Vendor 003...