



Financial Services Technology

Simplicity by Compliance Systems™

Simplicity Runtime Job Aid Working with Attestor Roles in a Resolution

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About This Training Guide

This document is intended to serve as a job aid that guides Simplicity Runtime users through the set up of roles in the *Resolution*. This job aid documents the steps required to assign the roles of **Resolving Party Authorized Signer** and **Resolving Party Attestor** to the appropriate entities in a specific use case: a commercial loan with two borrowers, one individual and one business entity. This job aid is not intended to provide legal advice.

Simplicity Document Library

2018.346.0 or newer

Runtime Version

2.15 or newer

Before Starting

When completing these job aids, there may be additional required questions outside those mentioned in the scenarios or use cases that need to be completed for the documents to render for preview.

Scenario

A resolution needs to be created for Smith Borrower, Inc. There are two **Resolving Party Authorized Signers** and two **Resolving Party Attestors** for Smith Borrower Inc. The **Resolving Party Authorized Signers** and **Resolving Party Attestors** must always be individuals.

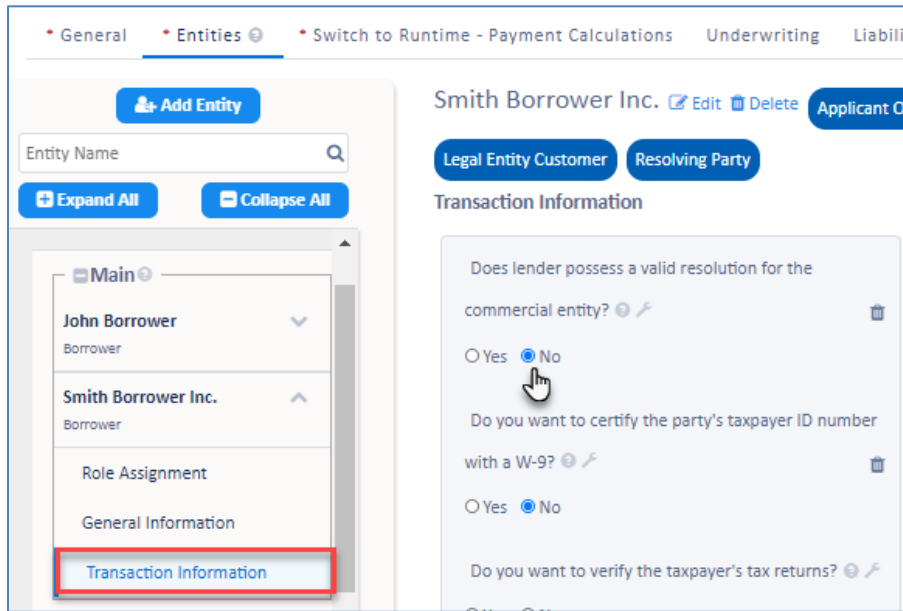
Entities and Roles:

Entity	Type	Role	Role	Role	Role
John Borrower	Individual	Borrower	Beneficial Owner	Resolving Party Authorized Signer for Smith Borrower Inc.	Beneficial Owner Certifier for Smith Borrower Inc.
Smith Borrower Inc.	Non-Individual	Borrower	Legal Entity Customer	Resolving Party	
Jose Smith	Individual	Authorized Signer	Beneficial Owner	Resolving Party Authorized Signer for Smith Borrower Inc.	Beneficial Owner Manager for Smith Borrower Inc.
Susie Atkins	Individual	Resolving Party Certifier			
Mason Atkins	Individual	Resolving Party Certifier			

Procedure

Assigning Resolving Party Authorized Signers

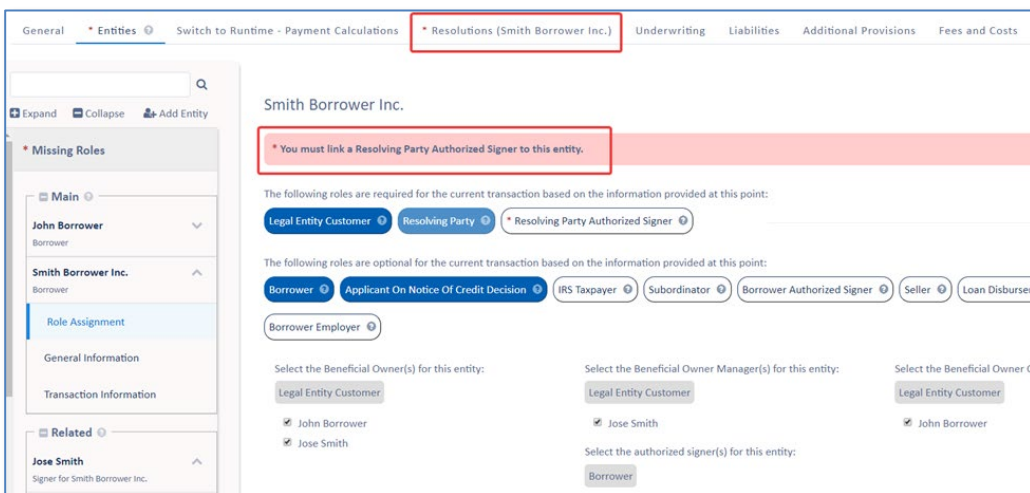
- 1- Locate the commercial entity borrower on the *Entities* pane. This entity is Smith Borrower Inc. Select the *Transaction Information* category. Since Smith Borrower Inc does not currently have a resolution on file with the bank, select no for the data element, “Does lender possess a valid resolution for the commercial entity?” This will prompt Simplicity Runtime to assign the role of **Resolving Party** to the commercial entity.



The screenshot shows the 'Entities' pane for 'Smith Borrower Inc.'. The 'Transaction Information' tab is selected. The 'Does lender possess a valid resolution for the commercial entity?' question is answered 'No'. The 'Resolving Party' role is assigned to the entity.

 **Note:** The role of **Resolving Party** must always be a non-individual.

- 2- Under the *Role Assignment* category for Smith Borrower Inc, the role of **Resolving Party Authorized Signer** is required, and that there is a new required tab in the workflow, *Resolutions (Smith Borrower Inc)*.



The screenshot shows the 'Resolutions (Smith Borrower Inc.)' tab. The 'Resolving Party Authorized Signer' role is required and highlighted in red. The 'Resolving Party' role is also assigned to the entity.

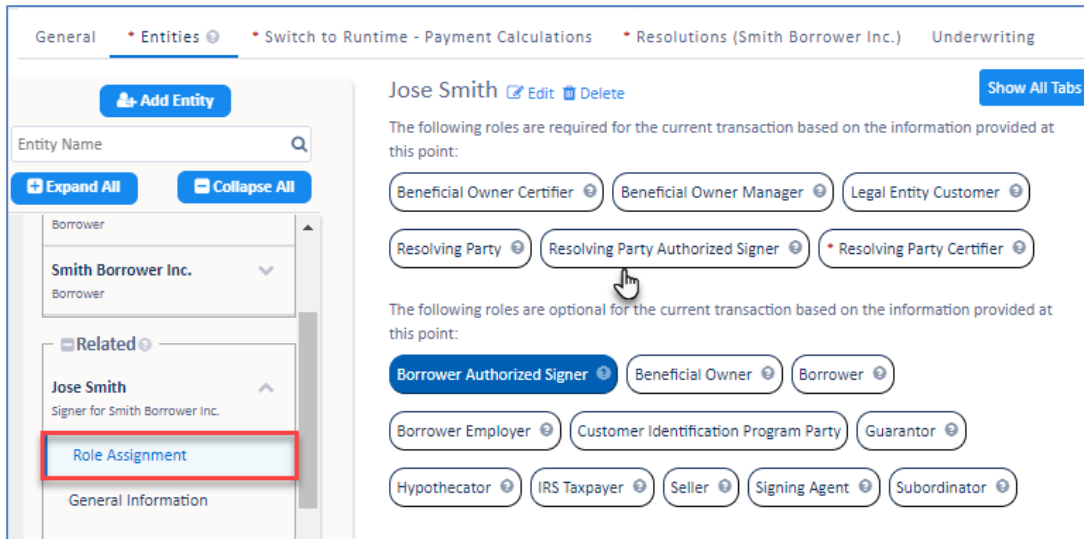
- 3- Select the *Missing Roles* subtab of the *Entities* pane to assign the required role of **Resolving Party Authorized Signer** by clicking the drop-down list. Select John Borrower from the drop-down menu. Then, select “Assign.”

The screenshot shows the 'Missing Roles' dialog box. On the left, the 'Missing Roles' subtab is highlighted with a red box. The 'Resolving Party Authorized Signer' role is selected. Below it, 'John Borrower' is selected from a dropdown menu. The 'Assign' button is highlighted with a mouse cursor. The 'Missing Roles' subtab is also highlighted with a red box in the left pane. The 'Main' pane shows 'John Borrower' and 'Smith Borrower Inc.' as entities.

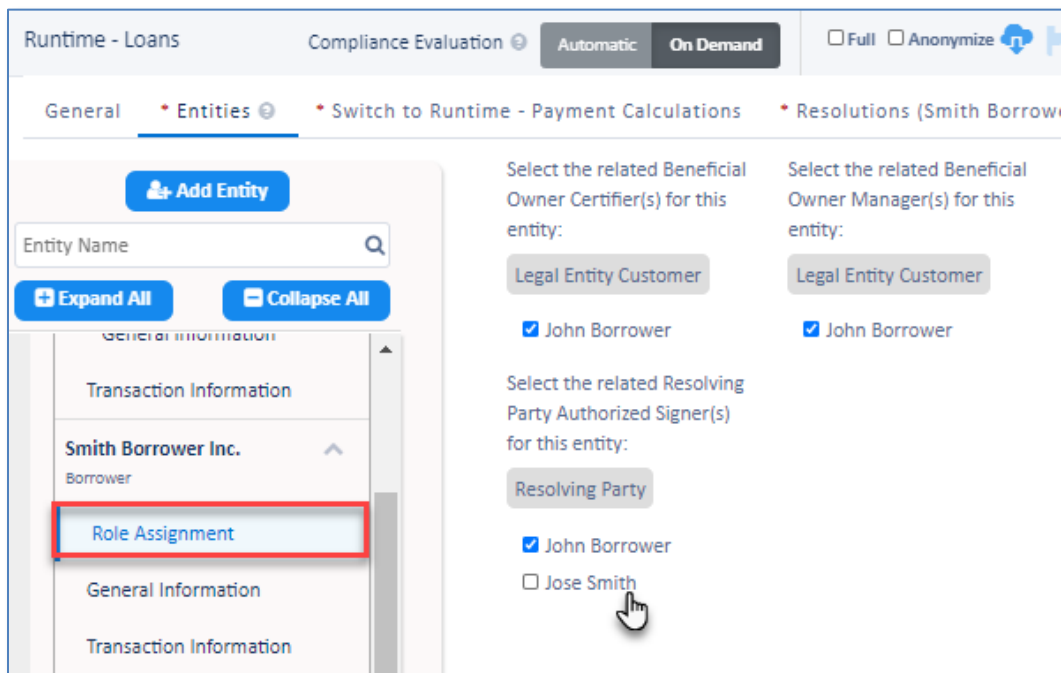
- 4- Link John Borrower in his role as **Resolving Party Authorized Signer** to Smith Borrower Inc in the dialog box and select “Add Role.”

The screenshot shows the 'Add to existing Entity' dialog box. The text inside the dialog box reads: 'You've decided to add the role of Resolving Party Authorized Signer to John Borrower. You may link this entity to one or more entities in this transaction:'. Below this, 'Smith Borrower Inc.' is selected from a list. The 'Add Role' button is highlighted with a red circle and the number 2. The 'Missing Roles' dialog box is visible in the background.

- 5- The Entities and Roles table at the beginning of this job aid indicates that Jose Smith should also have the role of **Resolving Party Authorized Signer**. Navigate to Jose Smith's *Role Assignment* subtab in the *Entities* pane.



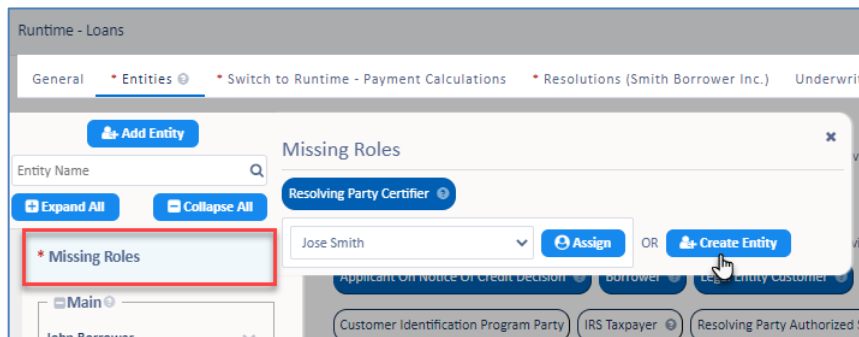
- 6- Navigate to the *Role Assignment* subtab of Smith Borrower Inc and link Jose Smith to the **Resolving Party**. Now, both John Borrower and Jose Smith should be listed as **Resolving Party Authorized Signers** for Smith Borrower Inc.



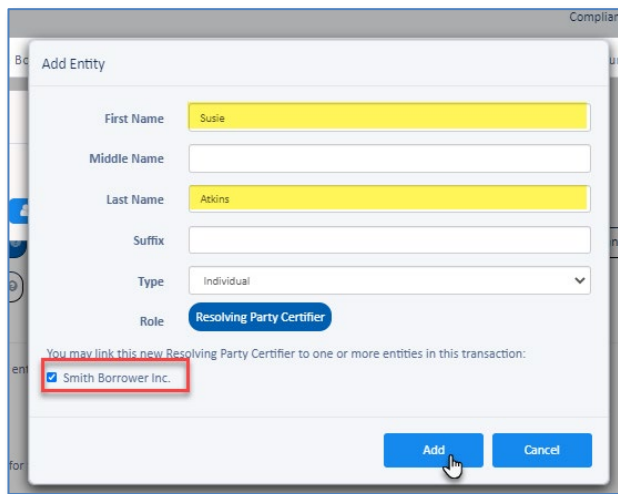
Assigning Resolving Party Certifier

- 7- According to the Missing Roles section on the Entities pane, the role of **Resolving Party Certifier** is required for the transaction. The default listed is Jose Smith, but according to the Roles and Entities table at the beginning of this job aid, the role should be assigned to both Susie Attestor and Mason Attestor.

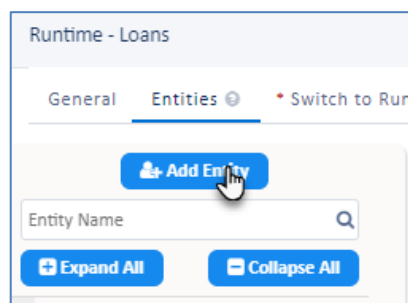
Susie Atkins and Mason Atkins are not yet included in the transaction, so they need to be added in Simplicity Runtime. Select “Add to new Entity.”



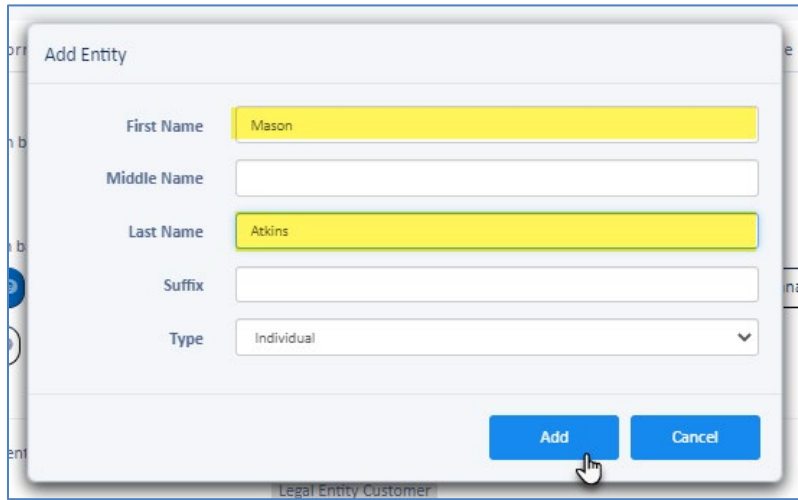
- 8- Enter the name of the individual acting as **Attestor** and link that individual to Smith Borrower Inc.



- 9- The second Attestor can be added manually by selecting the “Add Entity” option at the top of the Entity pane.

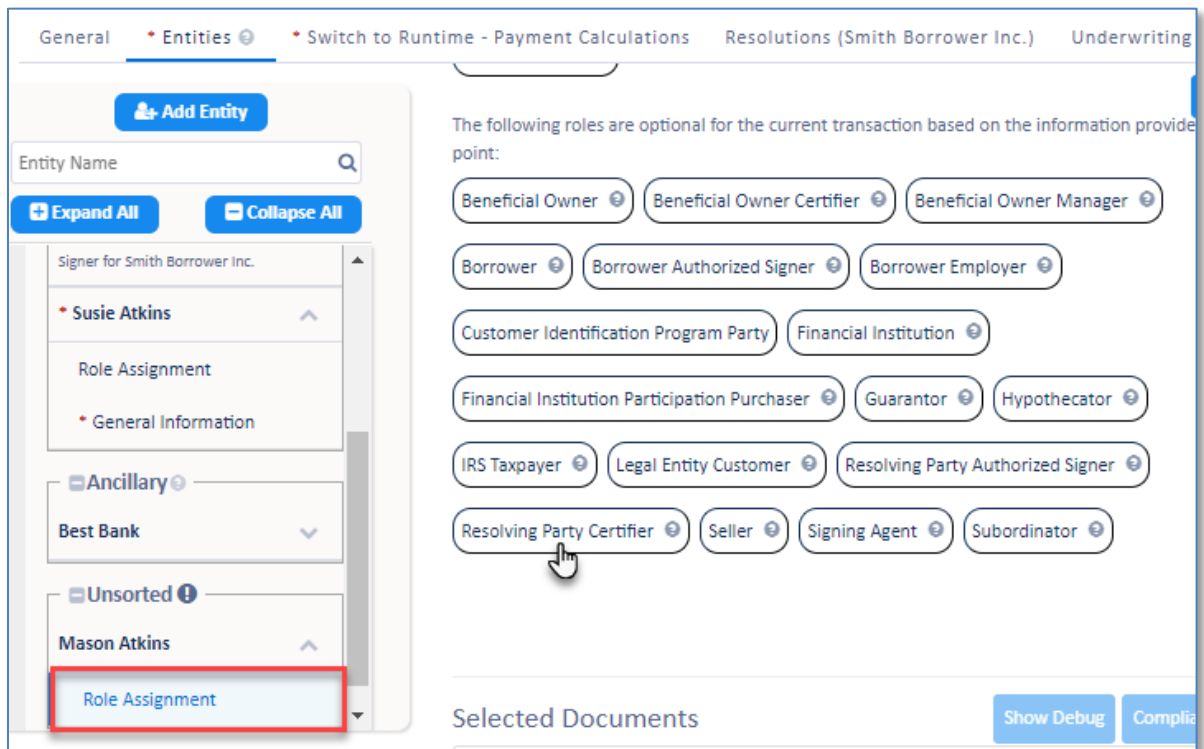


- 10- Enter the name of the new entity, Mason Attestor and select “Add.”



The 'Add Entity' dialog box is shown. It has fields for 'First Name' (Mason), 'Middle Name' (empty), 'Last Name' (Atkins), 'Suffix' (empty), and 'Type' (Individual). There are 'Add' and 'Cancel' buttons at the bottom right. A mouse cursor is pointing at the 'Add' button.

- 11- Assign the role of **Resolving Party Certifier** to Mason Atkins by navigating to the Role Assignment subtab for Mason Atkins and selecting the role from the available roles listed.



The 'Entities' tab is shown. On the left, the 'Role Assignment' subtab for 'Mason Atkins' is highlighted with a red box. On the right, a list of roles is displayed, and 'Resolving Party Certifier' is selected with a mouse cursor. The roles listed include: Beneficial Owner, Beneficial Owner Certifier, Beneficial Owner Manager, Borrower, Borrower Authorized Signer, Borrower Employer, Customer Identification Program Party, Financial Institution, Financial Institution Participation Purchaser, Guarantor, Hypothecator, IRS Taxpayer, Legal Entity Customer, Resolving Party Authorized Signer, Resolving Party Certifier, Seller, Signing Agent, and Subordinator.

 **Note:** Until a new Entity has been assigned a role in Simplicity Runtime, they will be listed under the Unsorted category in the Entities Pane.

- 12- Because the second **Attestor** role is optional, Mason Attestor will need to be linked to Smith Borrower, Inc. manually. Navigate to the *Role Assignment* subtab of Smith Borrower, Inc. and check the box next to Mason Atkins in the list of possible **Resolving Party Certifiers**.

Resolution

- 13- Navigate to the Resolutions tab and complete all missing required information.

- 14- Once the Runtime session as been completed, the *Resolution* will render as follows:

