

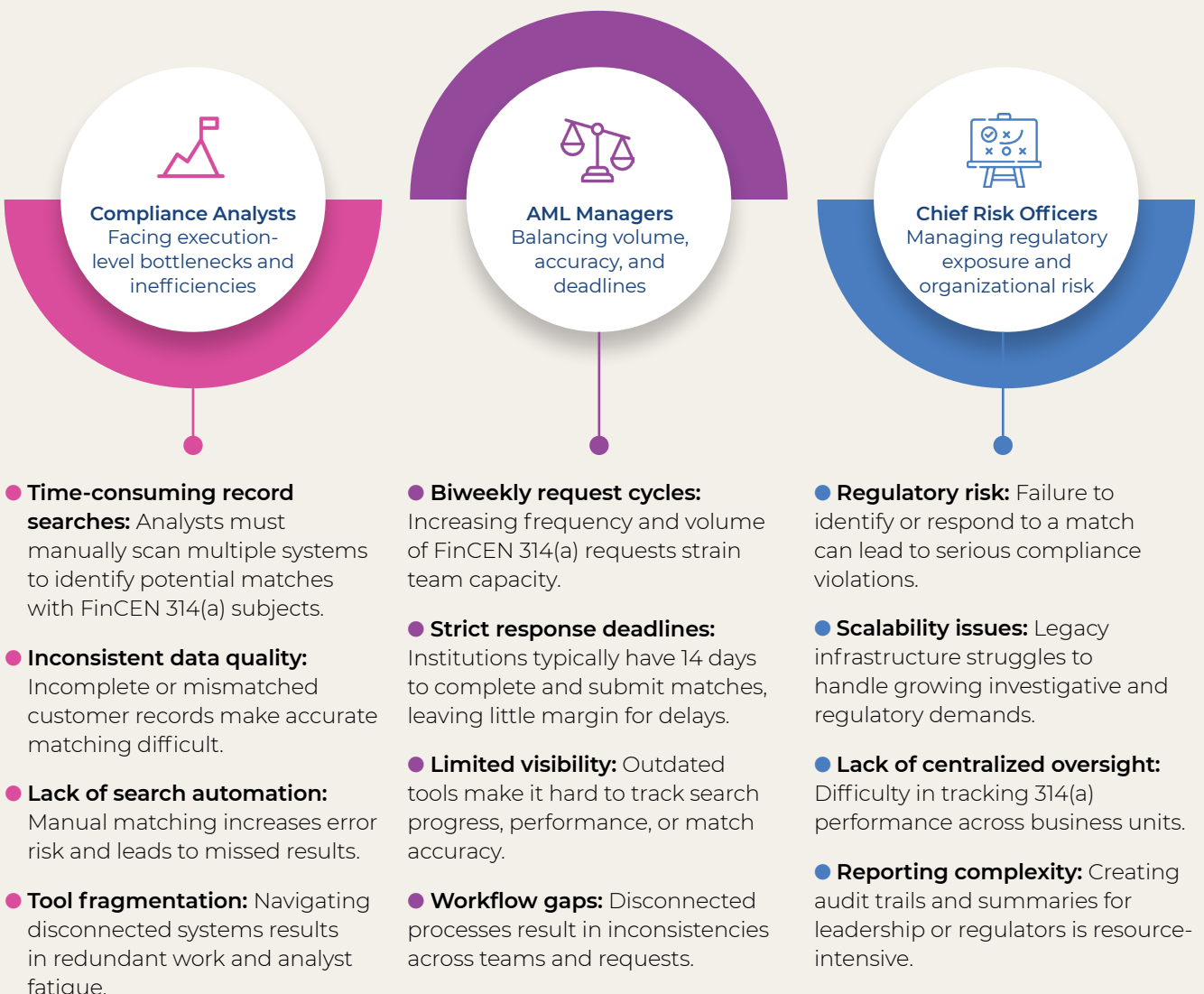
ThetaRay 314(a) Compliance Matching – Automating Regulatory Intelligence Requests Fact Sheet

Under Section 314(a) of the USA PATRIOT Act, FinCEN facilitates information sharing between U.S. law enforcement and financial institutions to help identify accounts and transactions tied to individuals or entities suspected of terrorism or significant money laundering. Financial institutions are legally required to search their records for matches against FinCEN-provided subject lists and report any positive results—typically within **14 days**. This process must remain **strictly confidential**, and **is mandatory**.

ThetaRay's solution automates the high-pressure 314(a) response process, delivering timely, accurate, and auditable results while easing the burden on compliance teams. By eliminating manual searches and streamlining workflows, the platform ensures institutions can meet regulatory deadlines with confidence—maintaining full confidentiality and traceability throughout.

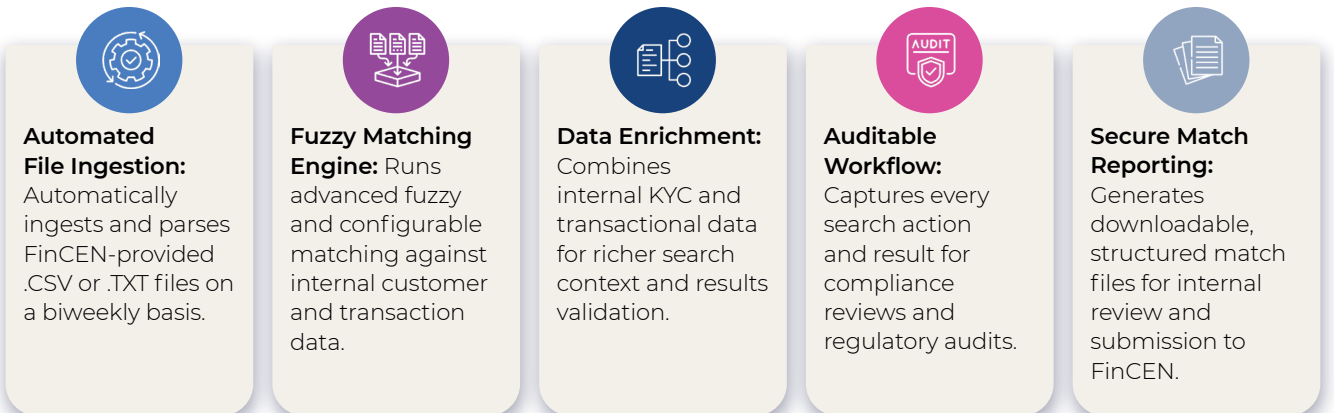
Current challenges of 314-a reporting

Responding to FinCEN 314(a) requests is a mandatory but time-sensitive task that strains compliance resources. Financial institutions must search across customer and transaction databases to identify potential matches with law enforcement subjects—often under tight deadlines and with fragmented data systems. Manual processes increase the risk of missed matches, errors, and regulatory exposure.

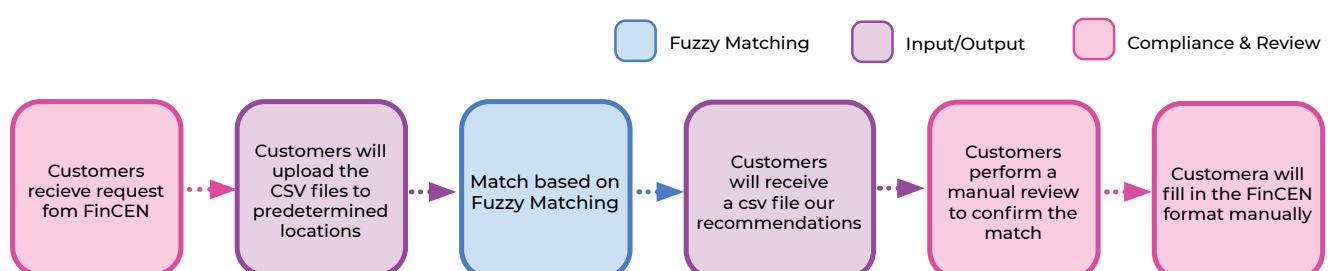


314-a Reporting Solution Key Features

ThetaRay's 314(a) solution is designed for operational efficiency, regulatory precision, and ease of use. It empowers compliance teams to respond to FinCEN requests with speed and confidence by providing direct access to match results, seamless integration with existing systems, and robust audit capabilities. From secure user authentication to end-to-end activity tracking, every feature is built to support timely, confidential, and compliant reporting.



314-a Reporting Workflow End-to-end



Benefits across compliance teams and AML frameworks

