



# SWIFT Professional Services



# Alliance Lite2

## Kick-Off & Scope Definition

**LIMITED LIABILITY COMPANY  
MICROCREDIT DEPOSIT ORGANIZATION  
"DUSHANBE CITY"  
LCMDTJ22**

Consultants

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Olexiy GURIN

# Agenda

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	Topic
1	Alliance Lite2
2	Project Overview
3	Getting Started
4	Remote Installation & Training
5	AutoClient
6	Operators & Message Flow
7	Next Steps
8	Further References

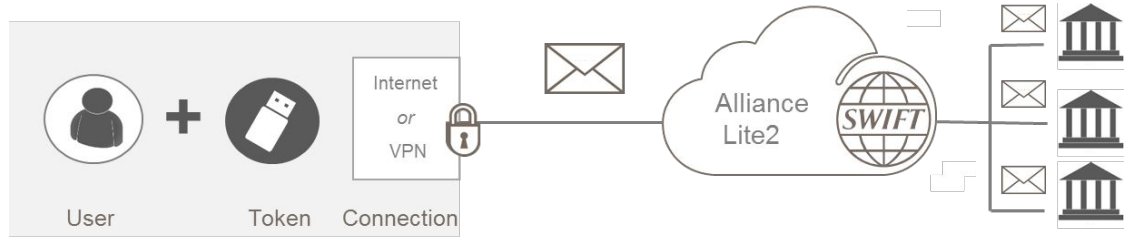


# Alliance Lite2

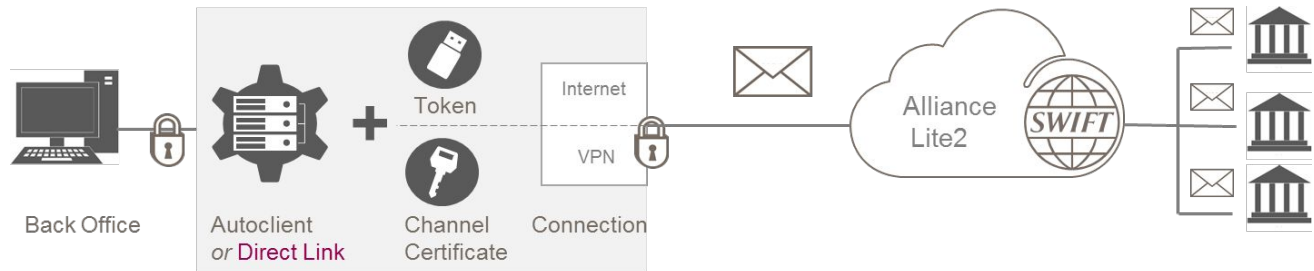


# Alliance Lite2 - Benefits

## Manual Flow via Browser (User-To-Application)



## Automated Flow via AutoClient (Application-To-Application)

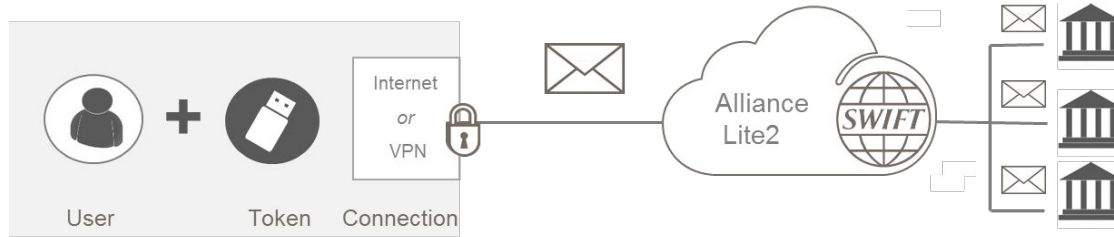


## Benefits:

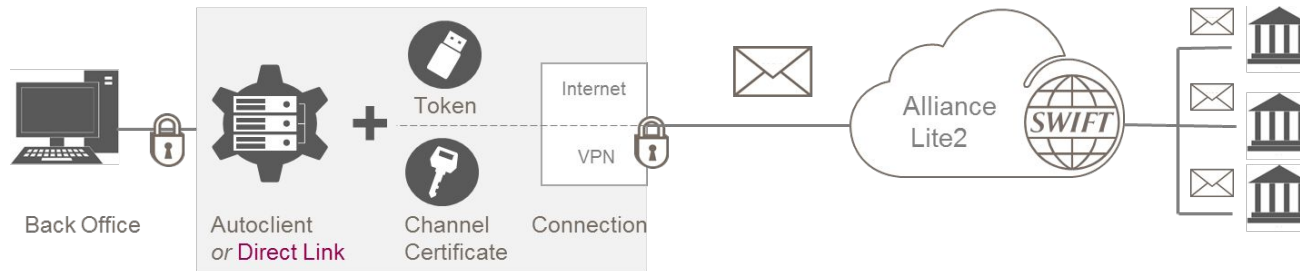
- Easy direct access to SWIFT
- Strong security and high reliability
- Light local footprint
- Attractive price
- All SWIFT Standards
- Any SWIFT messaging service
- Access to the entire SWIFT community and application providers
- Wide range of services for implementation and day-to-day support

# Alliance Lite2 - Features

## Manual Flow via Browser (User-To-Application)



## Automated Flow via AutoClient (Application-To-Application)



## Web Interface (Manual):

- Create, modify, delete, approve, send, receive, search, manually print, manually upload and download any MT and any MX message
- Create, modify, delete, templates for any MT or any MX
- Send, receive and get files through FileAct
- Access all Browse services (as per provisioning)
- Manage operators and assign tokens

## AutoClient (Automated):

- Automatically upload and download files with MT or MX messages (RJE or XMLv2) for sending/receiving over SWIFT
- Automatically upload & download FileAct files

# Project Overview



# Project Overview - Governance

## LCMDTJ22

Project role	Name	Contact
Left Customer Security Officer (LSO)	Farrukhjon Karimov	it1@dushanbecity.tj
Right Customer Security Officer (RSO)	Mansurjon Zokirov	it@dushanbecity.tj

### Meeting frequency

Project status meetings will be scheduled on request of LCMDTJ22 if required.

## SWIFT

Project role	Name	Contact
Project Manager	Olexiy GURIN	olexiy.gurin@swift.com






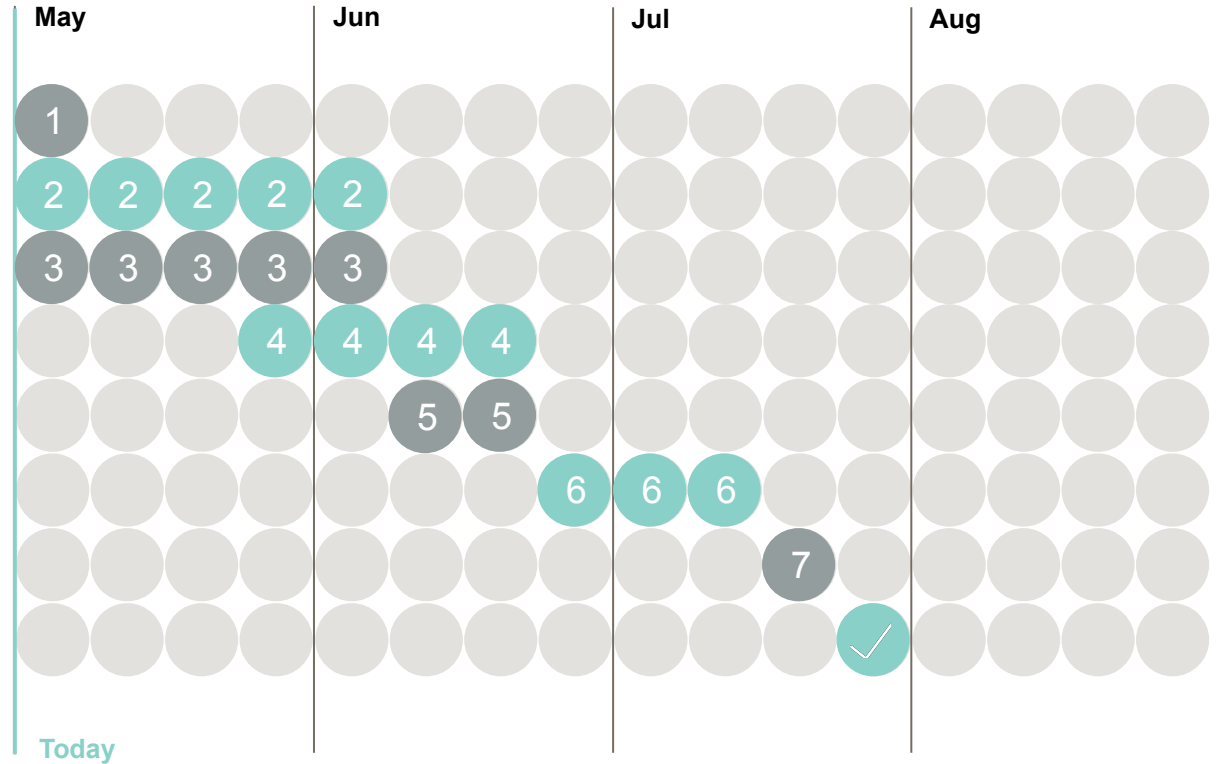
# Project Overview - Scope Definition

<b>Deliverable</b>	<b>Description</b>	<b>Pre-requisites</b>
Kick-off meeting summary	The items and next steps discussed in the kick-off meeting will be summarized.	All stakeholders for the Alliance Lite2 project are available and participate in the kick-off meeting.
Alliance Connect assistance	Assistance in ordering and installing your Alliance Connect package will be provided.	SWIFT receives the required IP-addresses and parameters.
Solution design document	A detailed description on the setup and configuration of your Alliance Lite2 will be created.	LCMDTJ22 provides SWIFT with its requirements for the Lite2 implementation.
Alliance Lite2 customisations	Based on the solution design, the test environment of Lite2 will be customized. After test and approval by LCMDTJ22, the customizations are deployed in the live environment.	The solution design has been approved by LCMDTJ22.
Installation & hands-on training	The installation of Lite2 will be conducted in a (remote) session. During the installation, training on Alliance Lite2 screens and features is provided.	A pre-requisites check-list will be sent and must be signed off.



# Project Overview - High Level Roadmap (Indicative Timing)

 Work streams	Duration
1 Kick-Off	1 d
2 Solution Design	25 d
3 Connectivity (only for MV-SIPN)	25 d
4 Installation	20 d
5 T&T Customization	10 d
6 Testing	15 d
7 Live Customization	5 d
8 Go-Live & Project Closure	5 d



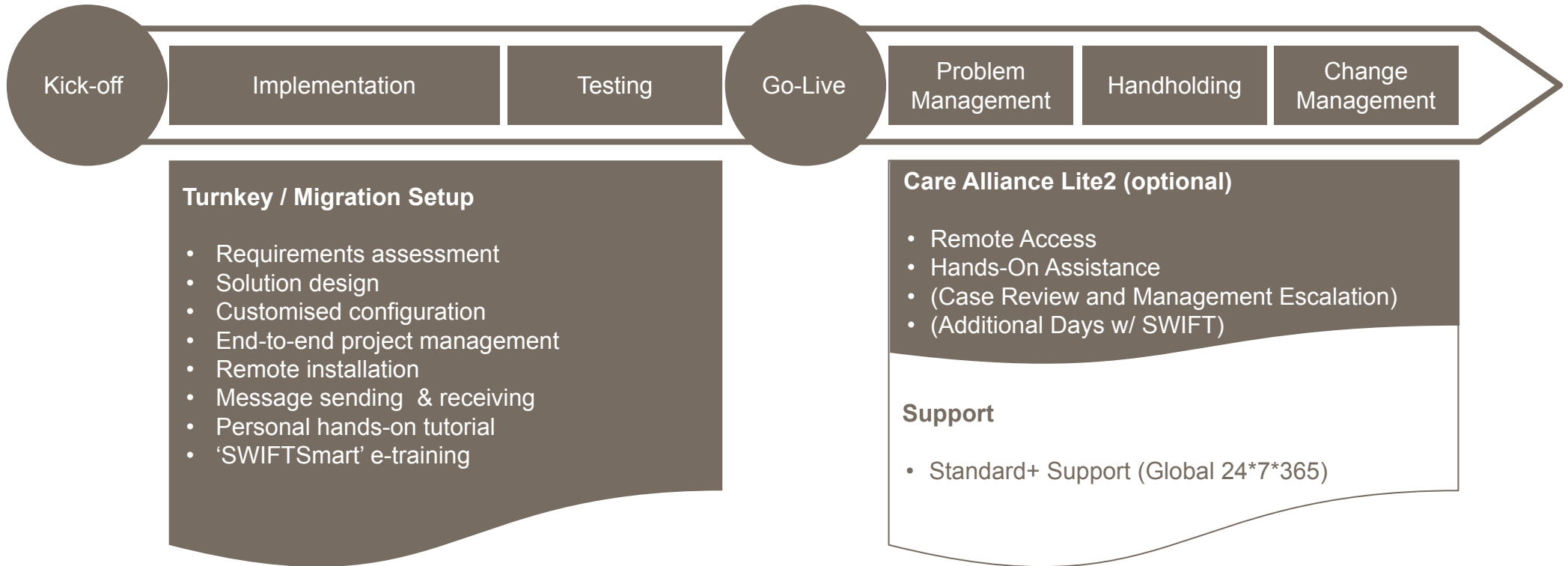
# Project Overview – SWIFTNet Services

## Services

Name	Description
swift.fin	FIN Live T&T and Live Service
swift.corp.fa	FileAct Real-Time SCORE Live Service
swift.corp.fa!p	FileAct Real-Time SCORE T&T Service
swift.corp.fast	FileAct Store-and-Forward SCORE Live Service
swift.corp.fast!p	FileAct Store-and-Forward SCORE T&T Service
swift.generic.fa	FileAct Real-Time Live Service
swift.generic.fa!p	FileAct Real-Time T&T Service
swift.generic.fast	FileAct Store-and-Forward Live Service
swift.generic.fast!p	FileAct Store-and-Forward T&T Service
swift.if.ia	SWIFTNet Funds Live Service
swift.if.ia!p	SWIFTNet Funds T&T Service
trgt.papss	Target2 Real-Time Live Service
trgt.papss!p	Target2 Real-Time T&T Service
trgt.sfpapss	Target2 Store-and-Forward Live Service
trgt.sfpapss!p	Target2 Store-and-Forward T&T Service



# Project Overview - Continuity in Service Offering



# Project Overview - Critical Success Factors

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## Customisations:

- Lite2 customisations for the test environment must be requested at least 10 days before implementation.
- Customisations have to be tested at least two weeks before they are implemented in the production environment.
- Customizations have to be bundled as a single change request to avoid delays.

## Installation & Technical Pre-requisites:

- An installation is requested at least 2-3 weeks upfront and will be provided based on the availability of a SWIFT installation engineer.
- The installation of Lite2 can only be conducted if the technical pre-requisites form is signed beforehand and all pre-requisites are met.
- If the technical pre-requisites are not met, the installation will be cancelled and a new installation date has to be requested. Should an implementation be postponed twice due to circumstances beyond SWIFT's control, additional fees will be charged.

## Self-Attestation:

- The Self-Attestation has to be completed and approved before the 'go-live' and project closure of Lite2.

## Invoicing:

- Overdue invoices will prevent and delay the Go-Live.



# Getting Started




# Getting Started – What you will receive

## The Left CSO receives:

- An Alliance Lite2 package, including 10 personal tokens (via courier)
- A Secure Code Card (via mail), to request the initial activation of the L-CSO token

## The Right CSO receives:

- Initial Token Password (via email)
- A Secure Code Card (via mail), to request the initial activation of the R-CSO token



	A	B	C	D	E	F	G	H	
1	PFS	UBT	3JQ	K6F	FZV	4Y9	68L	5TB	1
2	8CZ	NSD	DHN	SOX	2EN	ZD6	J6M	39D	2
3	V4A	MED	NYF	5VB	2FC	L7X	OAL	FN7	3
4	GCG	NLQ	DXC	V19	Y2T	XDS	C9Y	UVG	4
5	962	NRV	ST2	QX7	V7J	XBA	UGN	SR5	5
6	KJV	VTG	SVC	A37	BBH	EUL	YCD	2XF	6
7	K5V	8G4	RYC	T39	KHC	DMS	2CJ	9QU	7
8	P53	AJ4	HPJ	HVY	559	EMR	GEB	RH6	8
	A	B	C	D	E	F	G	H	

Network: LIVE

## The CSOs work together to:

- Define operators for each Alliance Lite2 user
- Assign operator profiles
- Assign RBAC (Role Based Access Control) roles using SWIFTNet Online Operations Manager

## The End User receives:

- Personal Token (via L-CSO)
- Initial Token Password (via R-CSO)
- Activation Code (via L or R-CSO)

## The Lite2 package contains:

- 10 personal tokens
- Software and documentation set
- Getting Started guide for Administrators
- Credit card leaflets for end users

## The documentation contains:

- Lite2 Service Description
- Lite2 Administration Guide
- Lite2 User Guide
- RMA Administration Guide
- AutoClient Release Letter
- AutoClient Installation and User Guide



# Getting Started – System Requirements



## Connectivity:

- Standard Broadband Internet (min. 128 Kbps, no dial-up)
- SWIFT VPN Boxes (Alliance Connect Bronze / Silver / Silver+ / Gold)



## Systems for Web Interface

- Windows 7 Pro with SP1 (32-bit/64-bit)
- Windows 8.1 R2 (64-bit)
- Windows 10 (64-bit)
- IE 11 (compatibility mode) or Firefox (57.0 and higher, but without WebAccess services)
- Java 8 (1.8.0\_51 or higher, 32-bit only) (will be replaced by SConnect)
- SConnect (will replace Java 8)



## Systems for AutoClient

- Windows 7 Pro with any SP (32-bit or 64-bit)
- Windows 8.1 R2 (64-bit)
- Windows 10 (64-bit)
- Windows Server 2008 R2 (64-bit)
- Windows Server 2012 R2 (64-bit)
- Windows Server 2016 R2 (64-bit)

AutoClient is qualified only on US-English Windows versions, but is supported on non US-English versions.

Processor Speed: 3GHz or faster

Memory (RAM): 4GB RAM (after OS utilization)



# Getting Started – Java Applets and SConnect

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Following Oracle's decision to phase out the support of Java Applets in JRE version 8, SWIFT has chosen SConnect as the alternative technology that enables web applications direct access to the certificate stored on a personal token via the browser using JavaScript.

Each personal token user needs to install the SConnect browser extension on their computer no later than 31 December 2019. Till the migration to SConnect is completed, Java and SConnect can coexist on the same computer.

**Note:** Even so SConnect can already be used with Alliance Lite2 the following exception has to be considered: The SWIFTNet Online Operations Manager (O2M) which is used by the Security Officers still requires Java Applets for the authentication purposes. This might also apply for other Browse services till 31<sup>st</sup> December 2019 when all SWIFT Browse services ('Java Applet'-based) providers must have completed the migration of their services to SWIFT WebAccess ('Java Applet'-free). This means for the moment:

- Security Officers still require IE11 (32-bit) and a supported Java 8 installation.
- WebAccess / Browse Users still require IE11 (32-bit) and a supported Java 8 installation.

For further details see: [Java Applet Removal Support Page](#) and [Installation Instructions](#)

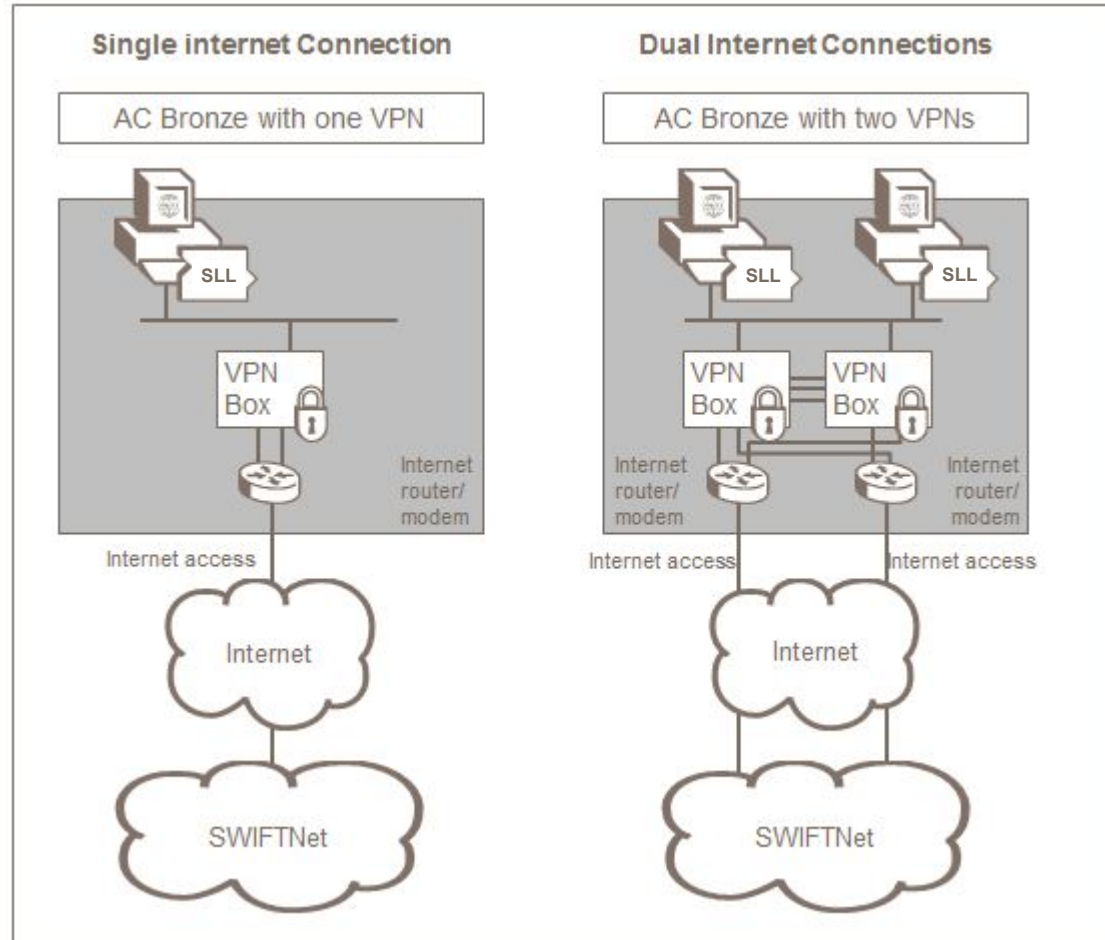


# Getting Started – Alliance Connect Bronze

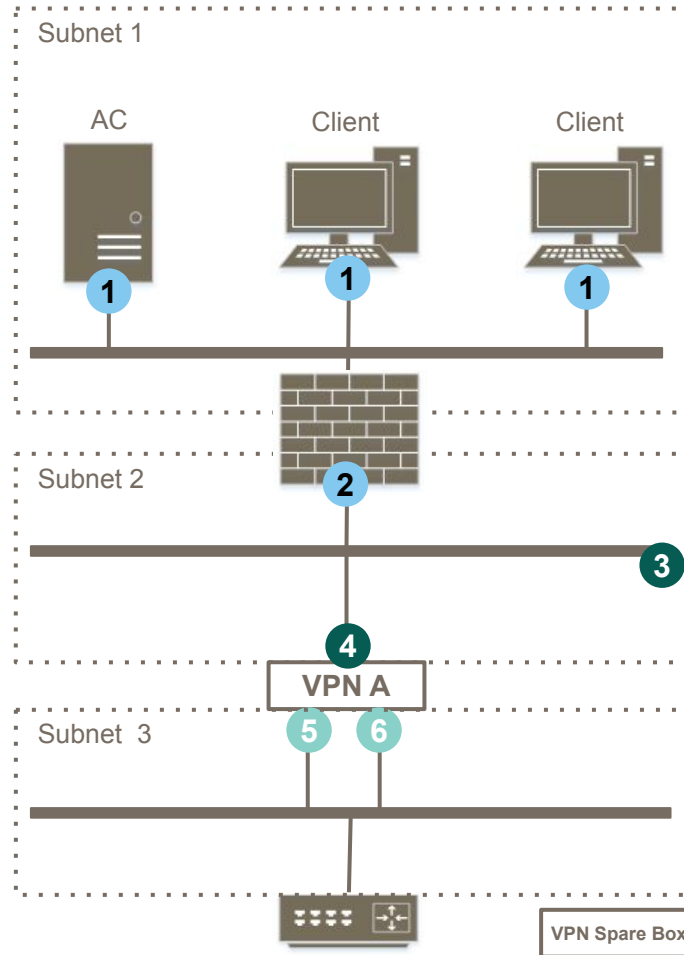
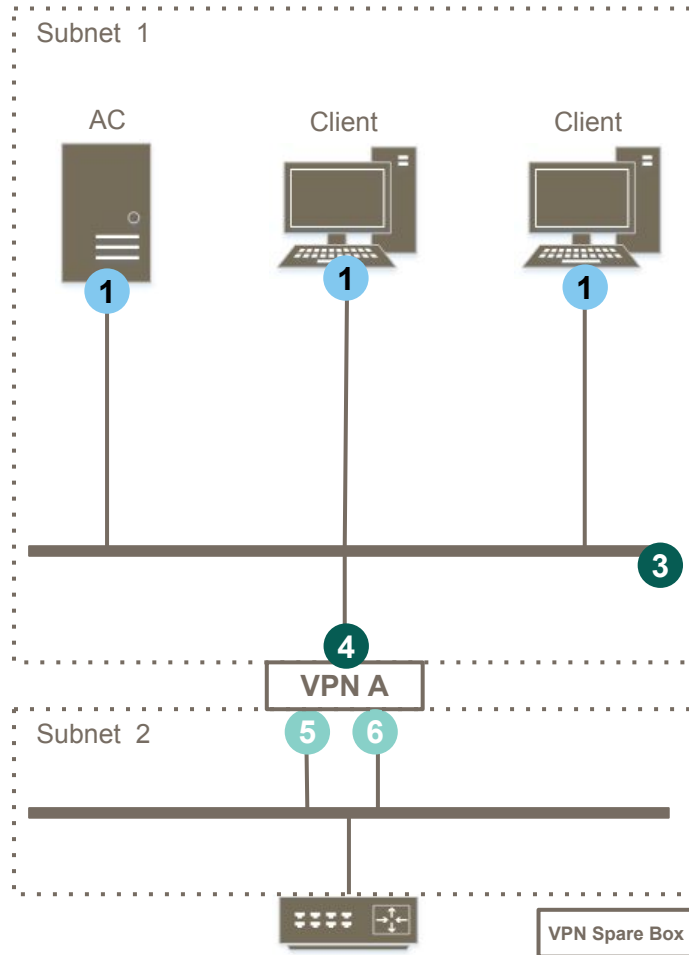
**Alliance Connect Bronze** enables customers to establish a secure channel to the SWIFT multi-vendor secure IP network via Internet.

Customers can choose to connect through a **single or dual VPN solution** with one or two connections respectively.

**Note:** SWIFTSmart contains eLearning modules on SRX-related topics. See the “Further Resources” section of this presentation for further details.



# Getting Started – Required IP Addresses for Alliance Connect (One Box)



## Phase of Setup:

- Alliance Connect Order
- SLL or Alliance Connect Order
- Before Enrolment

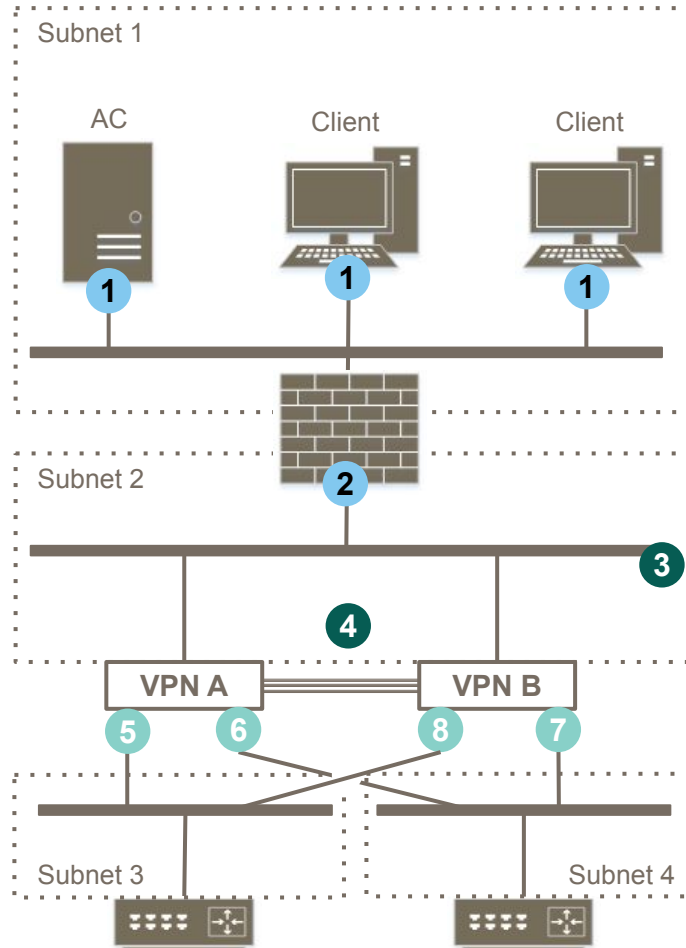
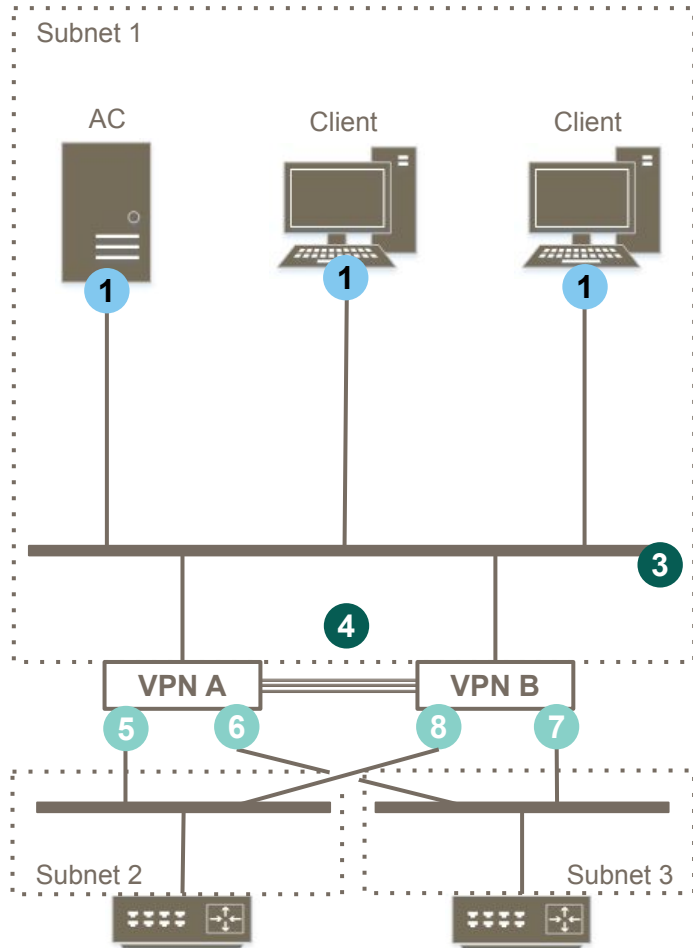
## Required:

1. IPs of SWIFT Local Links
2. IP of Next Hop
3. Subnet Mask
4. Alliance Connect Virtual IP
5. IP, SN, DG for Primary ISP
6. IP, SN, DG for Primary ISP

## Important:

- Please review the following slides for limitations on the IP addresses.

# Getting Started – Required IP Addresses for Alliance Connect (Two Boxes)



## Phase of Setup:

- Alliance Connect Order
- SLL or Alliance Connect Order
- Before Enrolment

## Required:

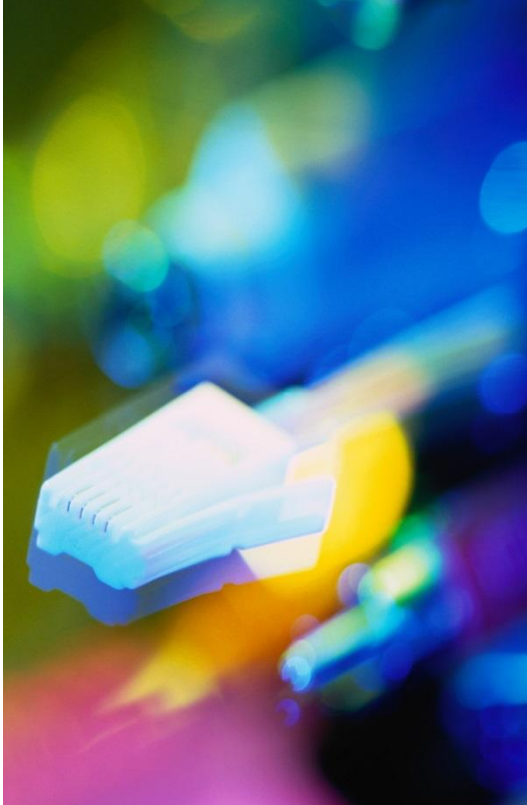
1. IPs of SWIFT Local Links
2. IP of Next Hop
3. Subnet Mask
4. Alliance Connect Virtual IP
5. Box A Connection to Primary ISP
6. Box A Connection to Secondary ISP
7. Box B Connection to Primary ISP
8. Box B Connection to Secondary ISP

## Important:

- Before enrolment, the two connections to the Primary ISP (5 and 7 from above) have to be in different subnets.
- Please review the following slides for limitations on the IP addresses.

## Getting Started – Required IP Addresses

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You **must not use** the following ranges for the local IP addresses of your SWIFTNet systems. (e.g. SWIFT Local Links, VPN boxes or any network device that supports secure IP network connectivity):

- 127.0.0.0 to 127.255.255.255 (loopback)
- 10.64.0.0 to 10.127.255.255
- 149.134.0.0 to 149.134.255.255
- 172.16.0.0 to 172.16.255.255
- 172.28.0.0 to 172.28.255.255
- 244.0.0.0 to 244.255.255.255 (multicast)

**Alliance Connect Order form** (initial SLLs included):

[https://www2.swift.com/formz/main/index.cfm?form\\_config=alliance\\_cloud\\_connect\\_order](https://www2.swift.com/formz/main/index.cfm?form_config=alliance_cloud_connect_order)

**SLL form for providing extra AutoClient IP addresses:**

<https://www.swift.com/ordering-support/ordering/order-products-services/alliance-lite2>

(Additional IPs could be necessary to be provided depending on the customer infrastructure – proxy, NAT devices, etc.)


# Getting Started - Alliance Connect e-ordering

Institution that you order for			
BIC		<input type="text" value="please select"/>	2.01
Your own order reference		<input type="text"/>	2.02
Sales partner		<input type="text" value="S.W.I.F.T. SCRL"/>	2.03
SWIFT commercial quotation reference		<input type="text"/>	2.04
SWIFT account manager e-mail address		<input type="text"/>	2.05

Connection configuration			
Connection type		<input type="text" value="Alliance Connect Bronze"/>	3.01
Ordering reason		<input type="text" value="New Connectivity Pack"/>	3.02
Subnet Mask		<input type="text" value="255.255.255.0"/>	3.05
Alliance Connect VIP (Virtual IP)		<input type="text"/>	3.06
Number of Active VPN boxes		<input type="text" value="1- Single VPN"/>	3.07
VPN box installation country		<input type="text" value="please select"/>	3.10
Power cable type		<input type="text" value="please select"/>	3.11

See the [VPN Box Power Cable per Country](#) document to find the power cable type you need in function of the standard(s) supported in your country.



To avoid conflicts during provisioning or in live mode, it is imperative that the IP addresses assigned to the following ports are on different subnets:


- Ethernet **ports 0/5 of boxes A and B**



# Getting Started - SWIFT Local Link (SLL) e-ordering


**Connection**

Select the connection you want to use for

ID of the connection		<input type="text" value="10008179V - 192.168.11.8 - 255.255.255.0 - Alliance Connect Bronze"/>	3.01
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**New host IP address configuration Usage**




Please select for which configuration the new host will be used for

		<input type="text" value="used for Alliance Lite2 / Alliance Lifeline"/>	4.01
--	---	--	------

**IP address configuration for Alliance Lite2 or Alliance LifeLine**

In the fields below you will be required to provide the host type, its IP address and if applicable a Next Hop IP Address in order to connect the host integration software to the new Alliance Connection.

**IP address configuration for host - (1)**

Host Type		<input type="text" value="Autoclient"/>	5.01
Host / HTTP Proxy IP Address		<input type="text"/>	5.02
Connection Next Hop IP Address		<input type="text"/>	5.03

Please select the number of entries you desire   (max 20)



## Getting Started - Firewall Settings For VPN Boxes

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If there is a **firewall between the Internet and the VPN box cluster**, then the following policies must be implemented in the firewall:

- Allow connectivity to the SWIFT public IP addressing range from its source IP address to the **destination IP address 149.134.0.0/16** (range 149.134.0.0 to 149.134.255.255).
- Open the following ports: **UDP/IKE 500, UDP/NAT-T 4500, and the ESP IP protocol 50.** These settings can be verified using the SWIFT Connectivity Test Tool .

Download of the Test Connectivity Tool via:

<https://www2.swift.com/myprofile/res/documents/SwiftConnectivityTestTool.zip>



## Getting Started – Firewall Settings for Alliance Connect

Destination	Protocol	Port	Environment
https://alliancelite2.swiftnet.sipn.swift.com	TLS/HTTPS	443	Live
https://test.alliancelite2.swiftnet.sipn.swift.com	TLS/HTTPS	443	Test
149.134.63.4	TLS/HTTPS	443	Test
149.134.63.8	TLS/HTTPS	443	Live
149.134.63.252	TLS/HTTPS	443	Live & Test
149.134.244.134	N/A	49171 & 80	Live & Test
149.134.252.8 (only for channel certificates)	N/A	49171 & 80	Live & Test
149.134.244.133	DNS	53	Live & Test
149.134.252.7	DNS	53	Live & Test



## Getting Started – Firewall Settings for Internet

Destination	Protocol	Port	Environment
https://alliancelite2.swift.com	TLS/HTTPS	443	Live
https://test.alliancelite2.swift.com	TLS/HTTPS	443	Test
149.134.170.6	TLS/HTTPS	443	Live & Test
149.134.170.9	TLS/HTTPS	443	Live
149.134.170.10	TLS/HTTPS	443	Live
149.134.170.11	TLS/HTTPS	443	Live
149.134.170.12	TLS/HTTPS	443	Test
149.134.170.13	TLS/HTTPS	443	Test
149.134.170.14	TLS/HTTPS	443	Test



# Getting Started – Firewall Settings & Distributed Denial of Service Attacks

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SWIFT takes its security very seriously and is committed to taking all appropriate steps to mitigate the risk of cyber-attacks. In this context, SWIFT has an additional measure of protection in place against Distributed Denial of Service (DDoS) attacks for the internet-facing services

This additional protection relies on a third-party offering and complements SWIFT's already deployed DDoS protection measures.

In the unlikely event that these services are affected by a DDoS attack, traffic will be re-routed over a third-party set of IP addresses.

**In order to benefit from this feature please configure your firewall with a list of relevant third-party IP addresses that is available in the table in [Knowledge Base Tip 5019964](#).**

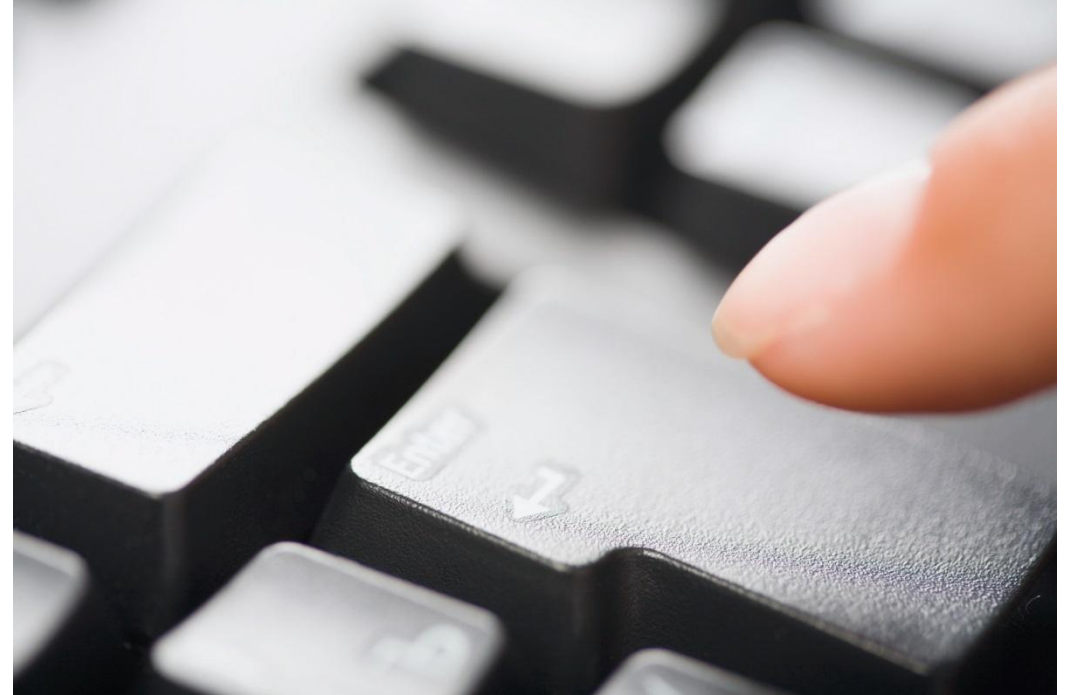
# Remote Installation & Training



## Remote Installation & Training - Overview

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- The installation is conducted by a certified SWIFT engineer via a remote session with Bomgar
- The SWIFT engineer instructs and guides you through the necessary steps of the installation.
- During the installation, you are provided with hands-on training and an introduction into the functionalities of Alliance Lite2.
- The presence of IT, Left-CSO / Right-CSO and optionally Business Operators are required.



## Remote Installation & Training - Scope

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- Preparation
  - Installation of the Token Driver
  - Installation of an AutoClient test instance
  - Activation of the Left-CSO and Right-CSO Tokens
- Left-CSO / Right-CSO activities:
  - Introduction into certificate, token and operator management
  - Creation of business operators including the activation of their respective tokens
- Operator activities (via web interface):
  - Sending and receiving of RMA messages
  - Sending and receiving of a FIN message
- AutoClient activities:
  - Introduction into configuration and monitoring
  - Sending and receiving of a FIN message



# Remote Installation & Training - Pre-requisites

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- Remote Access with Bomgar:
  - Remote access to your system(s) always occur under your full control and supervision. At all times you will have the possibility to interrupt/terminate the Remote Support session
  - Remote access is achieved by downloading the Bomgar Remote Support client software from <https://remotesupport.swift.com>. Please note that this concerns a temporary executable that is immediately removed from your PC as soon as the Bomgar session is terminated.
- Further information on Bomgar:
  - [5019632 - How to start a remote support session via internet](#)
  - [5019631 - How to start a remote support session via MV-SIPN](#)
  - [5019638 - SWIFT Remote Support Bomgar IP addresses and ports](#)
- Security and Technical Pre-requisites Checklists
  - The technical pre-requisites checklists has to be reviewed, signed and returned to SWIFT before the installation to confirm that your systems are prepared.
  - The security checklist has to be reviewed and completed as mentioned in the service proposal.
- The Token Driver / SafeNet Authentication Client has to be installed on each client used for Lite2 (for web interface as well as AutoClient)
- Left and Right Security Officers have to be present during the whole installation. A delegation of the SO installation responsibilities is not possible.

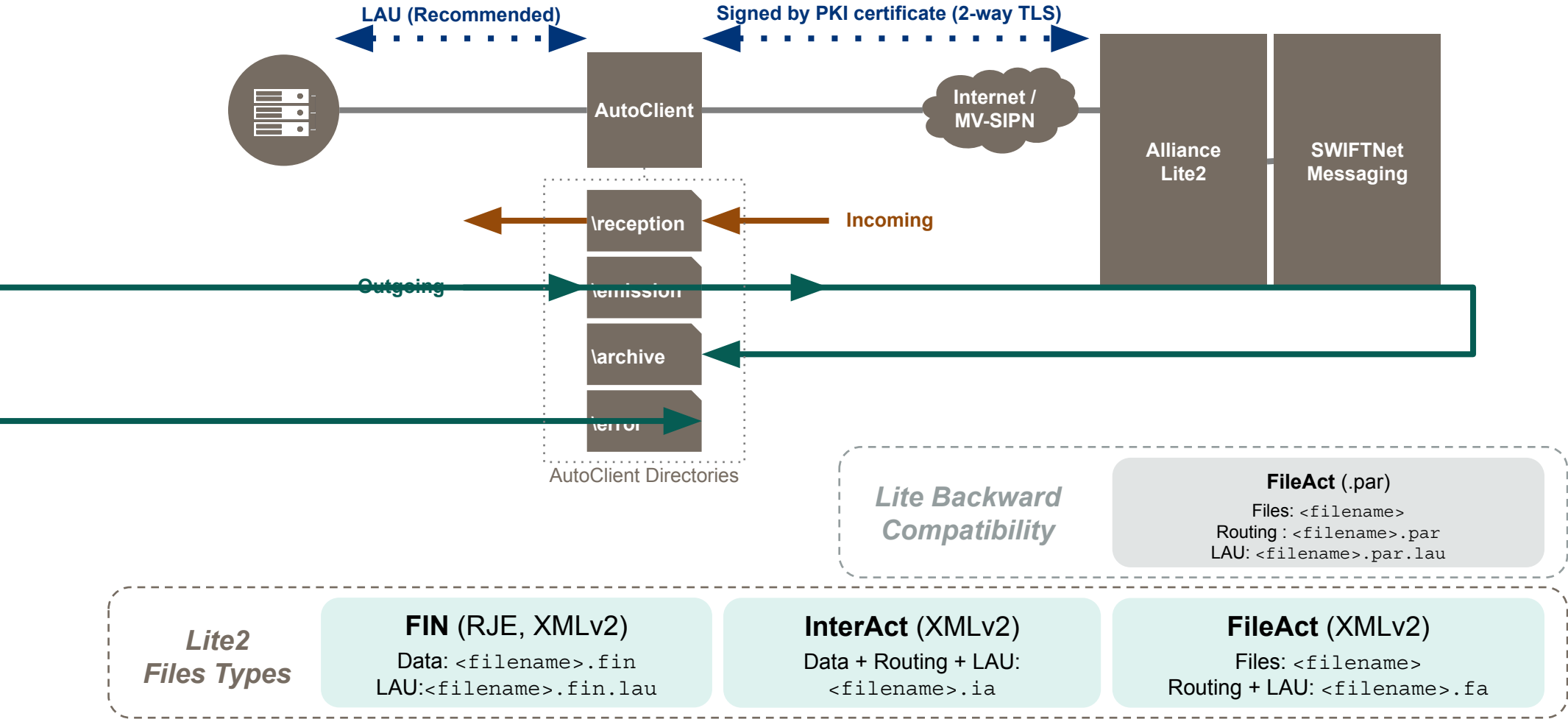


# AutoClient

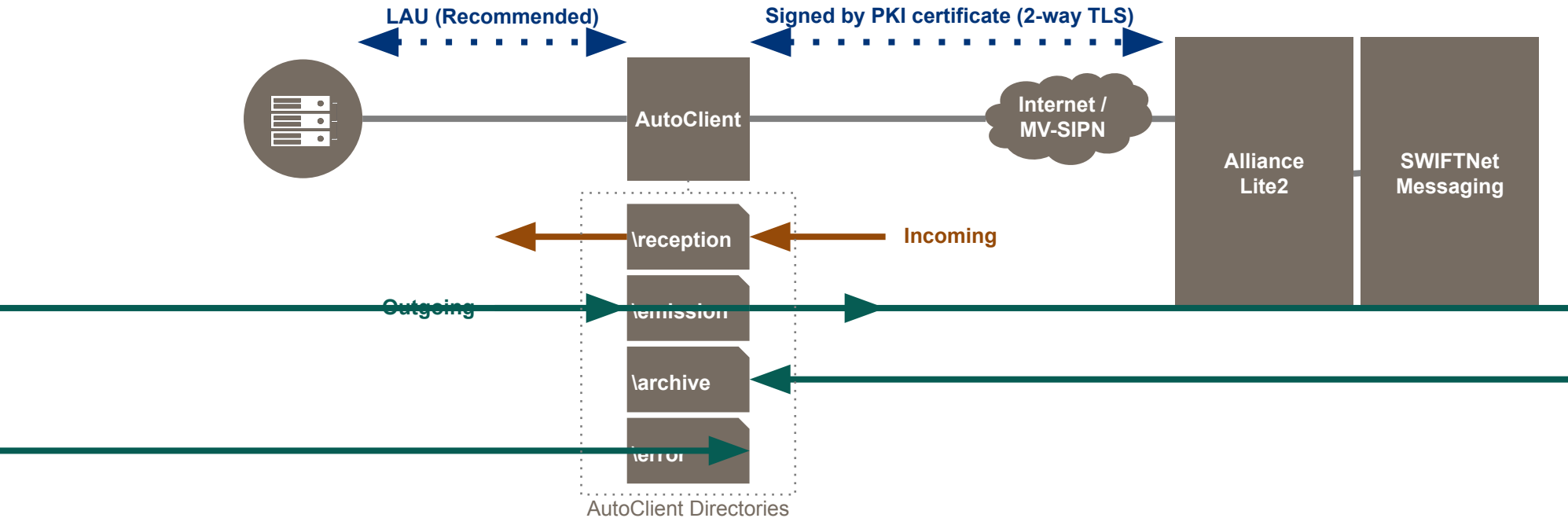




# AutoClient – Overview



# AutoClient – Overview



In order to achieve **best performance** sending files it's recommended to use batching functionality available in AutoClient software.

Volumes/throughput referenced in the Service Description are achievable when batching is enabled:

- Batch multiple FIN messages using RJE format. An RJE file contains a number of MT messages separated by a "\$" (dollar) sign
- Batch multiple MX messages within the same file
- Batch multiple FIN messages using the XMLv2 format

Support for batching permits better processing time and increased performances when a large number of messages needs to be sent at the same time.

For more information, see [Sending Files](#), [Receiving Files](#) of the [AutoClient User Guide](#).



# AutoClient – RJE & XMLv2

```
{1:F01SAAJBEBBAXXX0000000001}{2:I103SAAJBEBBXXXXXN2}{4:  
:20:TEST000001  
:23B:CRED  
:23E:SDVA  
:23E:INTC  
:23E:CORT  
:23E:PHOB  
:23E:TELE  
:23E:PHOI  
:26T:AAA  
:32A:001118USD3,34  
:33B:DEM3,34  
:36:1,3456789012  
:50A:/34x  
SALABEBB  
:52A:/C/34x  
SALABEBB  
:53D:/D/34x  
4X35x  
:54B:/C/34x  
35x  
:55B:/C/34x  
35x  
:56A:/C/34x  
SALABEBB  
:57A:/C/34x  
SALABEBB  
:59:4X35x  
:70:35x  
3X35x  
:71A:OUR  
:71G:USD1,34  
:72:/AAAAAAA/25x  
/A/32x  
//33x  
/A/x  
//x  
//x  
:77B:35x  
2X35x  
-}|{1:F01SAAJBEBBAXXX0000000002}{2:I199SAAJBEBBXXXXXN}{108:ACK MT199 0198}}  
{4:  
:20:TEST000002  
:21:x  
:79:22222222222222222222  
-}|{1:F01SAAJBEBBAXXX0000000003}{2:I206SAAJBEBBXXXXXN}{108:ACK MT206 0021}}  
{4:  
:20:TEST000003  
:28E:12345/MORE  
:23E:TRAV  
:52A:SALABEBB  
:44A:ABCDEFGHIJKLMNPOQRSTUVWXYZ-1234567890abcdefghijklmnopqrstuvwxyz12  
:21D:01/456-7890-AB-1234567890  
:32J:15,  
:58A:SALABEBB  
:57A:SALABEBB  
:19:15,  
-}|
```

## RJE - FIN

```
001454 <?xml version="1.0" encoding="utf-8" ?>  
<DataPDU xmlns="urn:swift:saa:xsd:saa.2.0">  
<Header>  
<Message>  
<SenderReference>SND1212.1747-000</SenderReference>  
<MessageIdentifier>fin.320</MessageIdentifier>  
<Format>MT</Format>  
<Sender>  
<BIC12>SALHBEBBXXXX</BIC12>  
<FullName>  
<X1>SALHBEBBXXXX</X1>  
</FullName>  
</Sender>  
<Receiver>  
<BIC12>SALHBEBBXXXX</BIC12>  
<FullName>  
<X1>SALHBEBBXXXX</X1>  
</FullName>  
</Receiver>  
<InterfaceInfo>  
<UserReference>USR1212.1747-000</UserReference>  
</InterfaceInfo>  
<NetworkInfo>  
<Service>swift.fin</Service>  
</NetworkInfo>  
</Message>  
</Header>  
  
<Body>DQo6MTVBogOKojIwOjEyMTIuMTc0Ny0wMDANCjeyMTpNVDMyMGFyDQo6MjJBoK5FVlQNCjey  
MkIGQ090RgOKojIyQzPTQXIQkIwMDAxU0FMSEJCDQo6ODJBoLNBTEhCRUJCWFhYDQo6ODdBoLNBTE  
hCRUJCWFhYDQo6MTVCogOKojE3UjpcDQo6MzBUOjIwMTIwNzI0DQo6MzBWOjIwMTIwNzI0DQo6MzBQ  
OjIwMTQwNzI0DQo6MzJColhBVTMyMDEsDQo6MzBYOjIwMTIwNzIwNzI0DQo6MzRFolhBVTMyLA0KojM3Rz  
oxLAOKojE0RDozMEUvMzYwDQo6MTVDOGOKojU2QTPQXEQkVCQlhYWAOKojU3QTPTQXIQkVCQlhY  
WAOKojElRDoNCjoiNke6U0FMSkJFQkYjYWFgNCjoiN0E6U0FMSEJFQkYjYWFgNCjoxNUg6DQo6NzI6L2  
xhIGJsYSBibGEgYmxhIGJsYSBibGEgYmxhIGJsYSBisYm8NCmJrYm9kIHNpc29uYjlpIGI4IGlvanNk  
DQpibGEgYmxhIGJsYWIgbGFhIGxhYmVwYjYjIGFiDQpib3JlIGluIGZvcmlhdGlvbiBtb3JlIGluIG  
ZvcmlhdGlvbG0KbW9yZSBzdHVMzIbTb3JlIHN0dWZmZiBtb3JlIHN0dWZmIG0NCmJsYSBibGEgYm9uYjlp  
YWFwYmxhIGJsYSBibGFsIGJhbGJsIGFs</Body>  
</DataPDU>
```

## XMLv2 - FIN

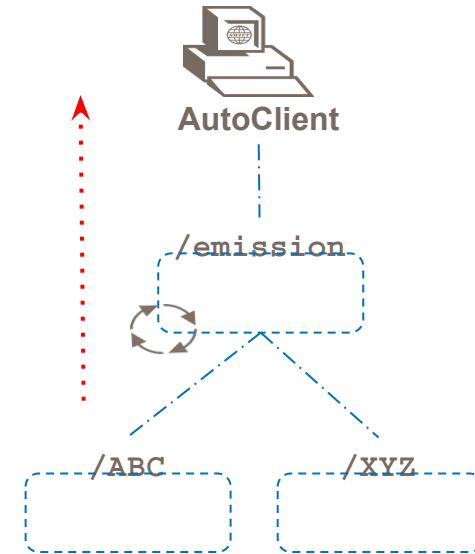


# AutoClient – Sub Directories for the Emission Flow

Customer can create subdirectories under the emission directory, for example for use by separate BO applications.

- Use Case 1: Define **one subdirectory per application**, for example to avoid naming conflict.
- Use Case 2: Define **one subdirectory per correspondent**
- Use Case 3: For FileAct, you can additionally have one static parameter file (.par.default or .fa.default) stored permanently in a subdirectory that will be used for all files dropped in this subdirectory.

**Note:** Creating subdirectories under the emission folder is of no impact on Lite2 server and doesn't require the involvement SWIFT.

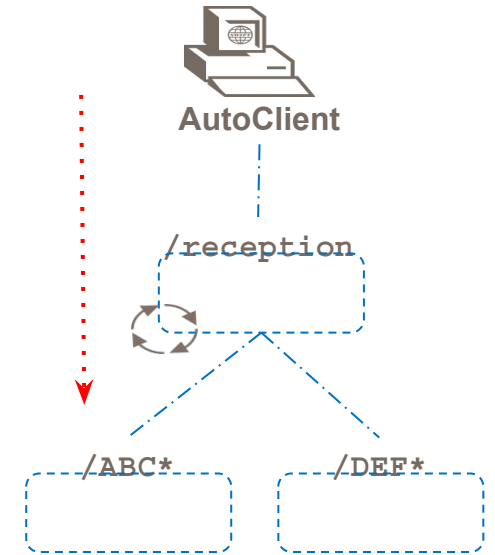


# AutoClient – Sub directories for the Reception Flow

Alliance Lite2 allows customization of the sub directories within the Reception directory.

- These subdirectories may contain different set of messages depending on the corresponding customized routing configuration.
- This allows customers to link different BO applications to a directory containing the messages relevant to this application.
- Same solution used for having ACKs/NAK/MT0xx in separate files (Lite2 server configuration).

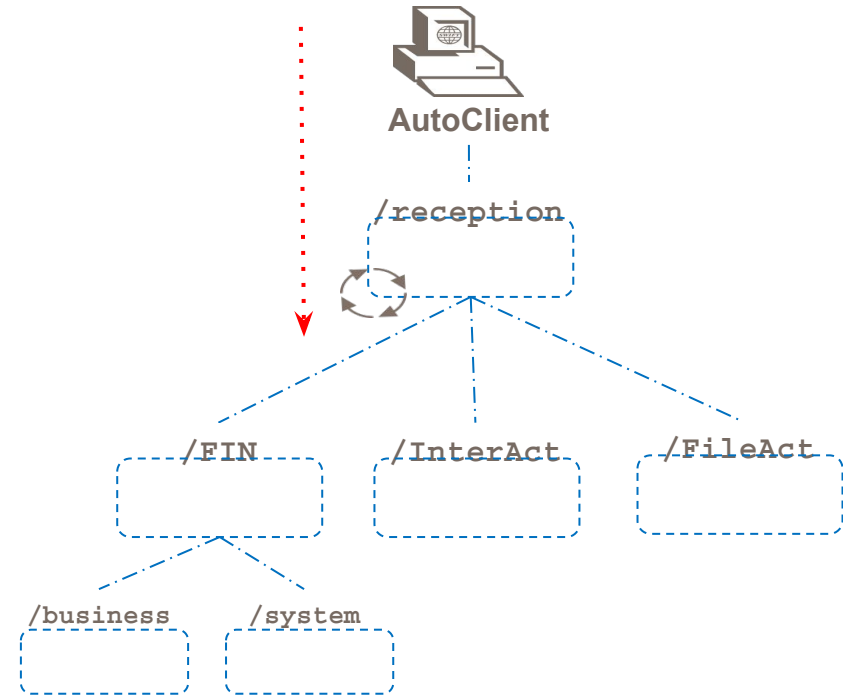
**Note:** Reception subdirectories are automatically created by Lite2 AutoClient based on the Lite2 server configuration. It therefore requires coordination with SWIFT to configure the server side as needed.



*\* Created based on Lite2 server configuration*

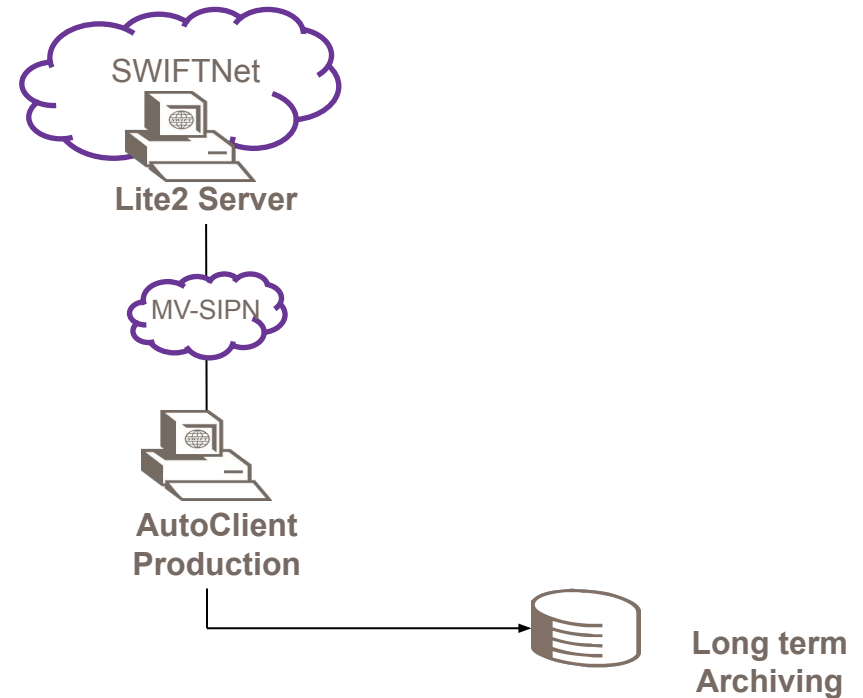
# AutoClient – Sub directories for the Reception Flow - Example

- Main segregation is done on protocol level: FIN, FileAct and InterAct are segregated into different folders
- FIN messages are further segregated:
  - Business messages (MT Category 1-9)
  - System messages:
    - Acks, Nacks
    - MT Category 0
- RJE or XMLv2?



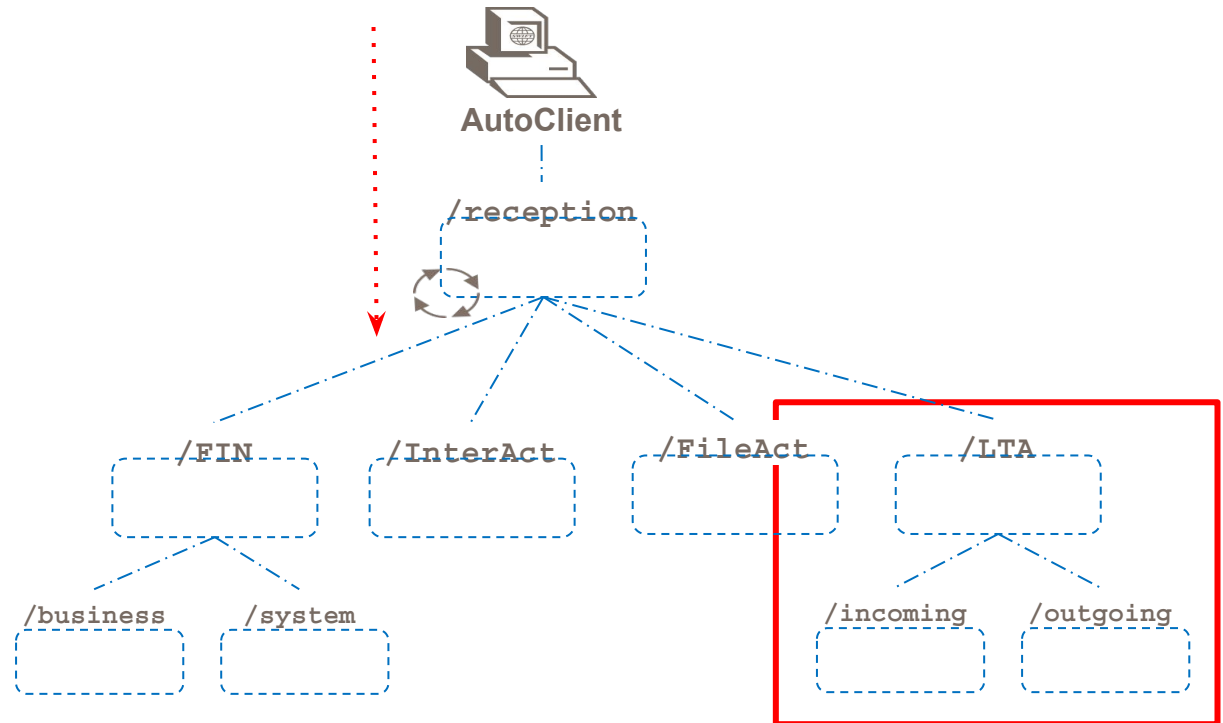
# AutoClient – Message Archiving

- SWIFT keeps archives for all messages during **124 days**.
  - During this period, messages are visible in Alliance Lite2 GUI.
  - After 124 days messages are deleted by SWIFT.
  - FileAct payloads are removed after 3 weeks
- Solution for longer archiving (LTA)
  - Configure Lite2 to send a copy of all messages to AutoClient, in a specific directory (customisation).



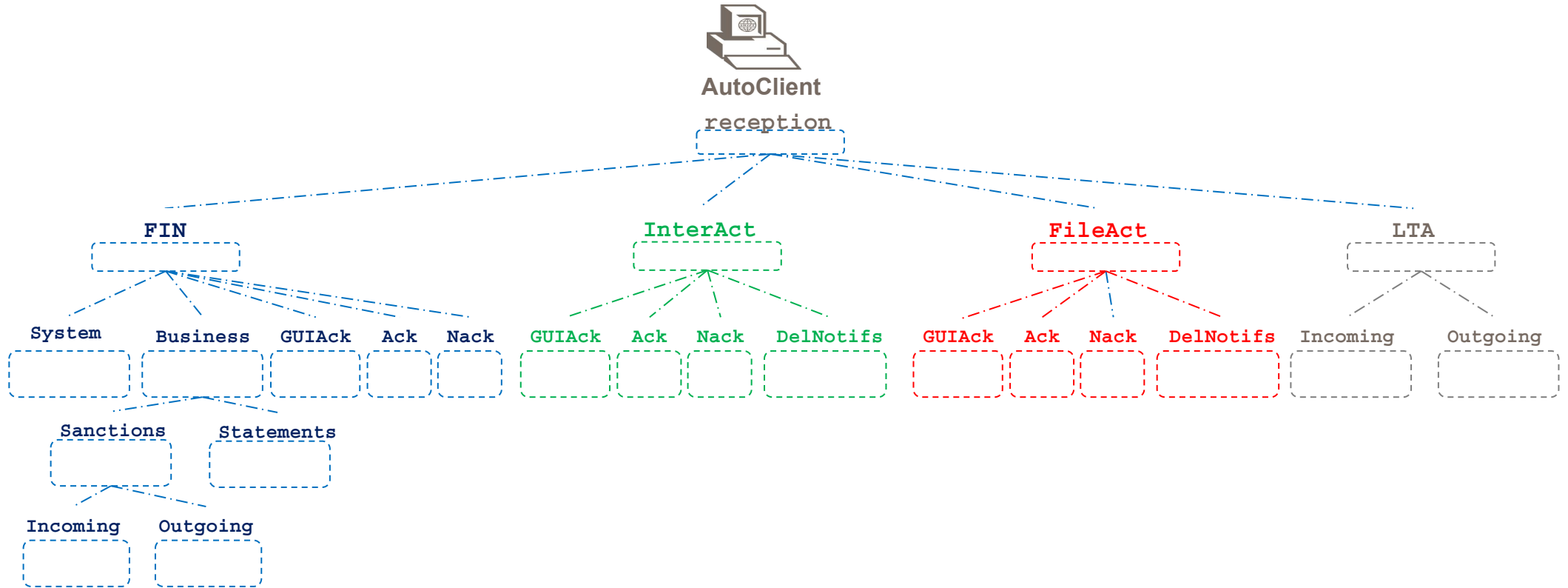
# AutoClient – Long Term Archiving (LTA)

- Archiving:
  - Copy of successfully sent messages (SWIFT Network Ack'd)
  - Copy of received messages
- GUI, AutoClient or both
- Formats: PDF, XMLv2, RJE





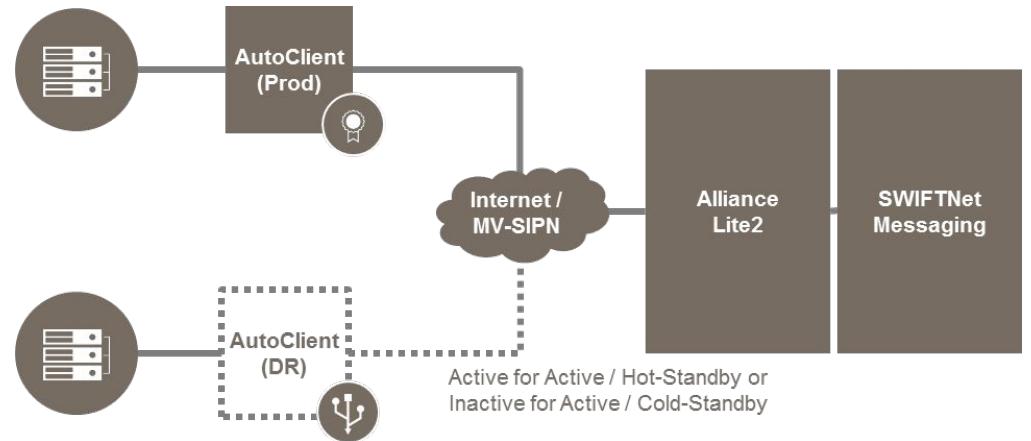
# AutoClient – Customization Template



# AutoClient Resiliency – Multiple Instances – Active/Hot Standby

## Support for Active/Hot Standby Configurations:

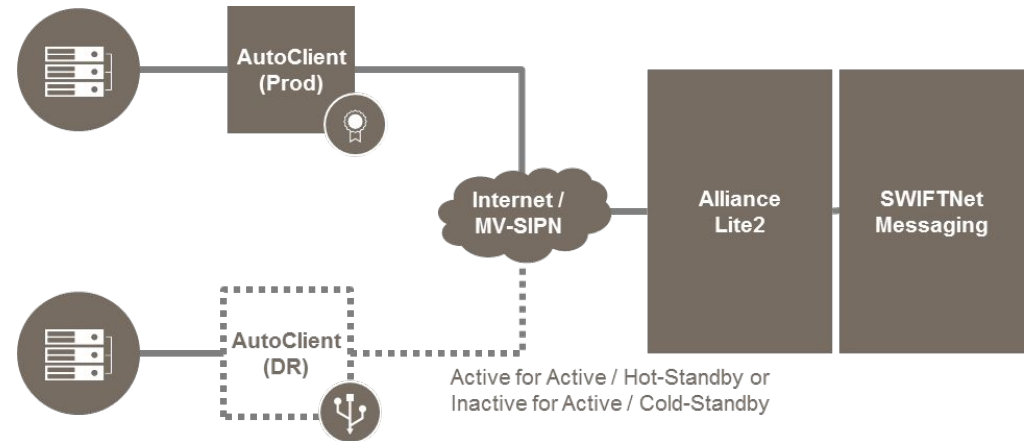
- Two or more separate Lite2 AutoClient instances, with unique instance names, can connect to Lite2 server **using separate Lite2 tokens**.
- Both tokens must contain equivalent DNs.
- **No swap of token needed** anymore. This ensures business continuity.
- Both AutoClients (Production & Disaster Recovery) are active at the same time; Production instance is connected to the back-office application.
- **All files** will be downloaded **on all AutoClients**. No routing to specific AutoClient is possible.



# AutoClient Resiliency – Multiple Instances – Active/Cold Standby

## Support for Active/Cold Standby Configurations:

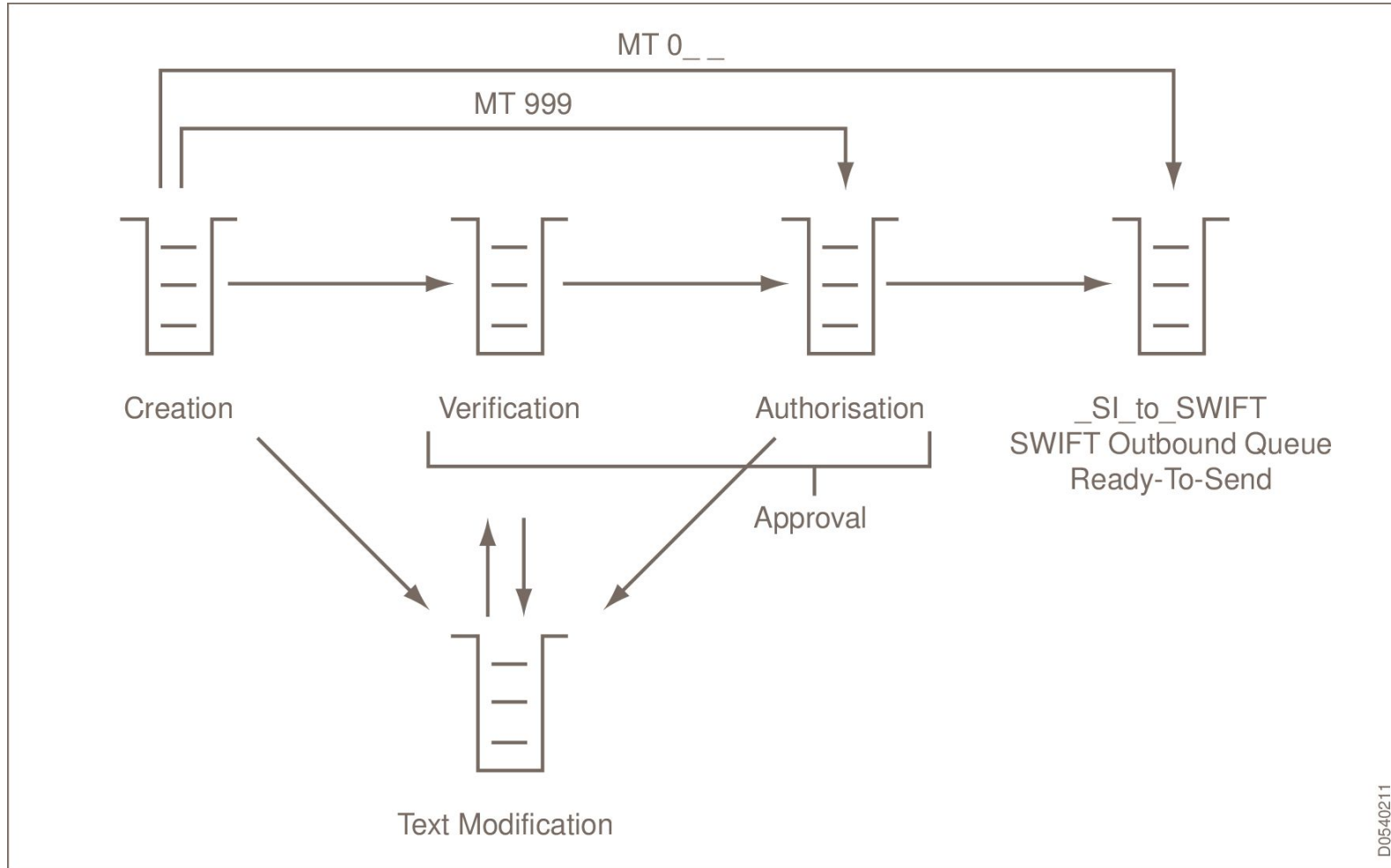
- Two or more separate Lite2 AutoClient instances, with unique instance names and **using separate Lite2 tokens**. Only 1 AutoClient instance is active.
- Both tokens must contain equivalent DNs.
- **No swap of token needed** anymore. This ensures business continuity.
- Once started, the Disaster AutoClient instance will retrieve by default all files from the last 30 days.



# Operator Profiles & Message Flow



# Operator Profiles & Message Flow – Queues & Flow



# Operator Profiles & Message Flow – Default Operator Profiles

Default Operator Profile	Description
<i>LCMDTJ22_LSO</i>	This profile is used to create back-up left-security officers. It cannot be combined with the business profiles below.
<i>LCMDTJ22_RSO</i>	This profile is used to create back-up right-security officers. It cannot be combined with the business profiles below.
<i>LCMDTJ22_Oper_Signon</i>	The Oper_Signon profile should be assigned to all profiles. It allows signing into the Lite2 Web Interface.
<i>LCMDTJ22_Msg_Oper</i>	This profile allows the creation of FIN, InterAct and FileAct messages. This profile can verify messages if they have not been created by the same operator. Messages cannot be authorized with this profile.
<i>LCMDTJ22_Msg_Auth</i>	This profile allows the verification and authorization of messages. Authorized messages have to be approved by a second operator before they are send with this profile.
<i>LCMDTJ22_Msg_AllOthr</i>	This profile allows the creation, verification and authorization of messages. However, the user will not be able to verify/authorize messages he created himself.
<i>LCMDTJ22_MsgAudit</i>	This profile is a read-only profile that can be used for monitoring and auditing reasons.

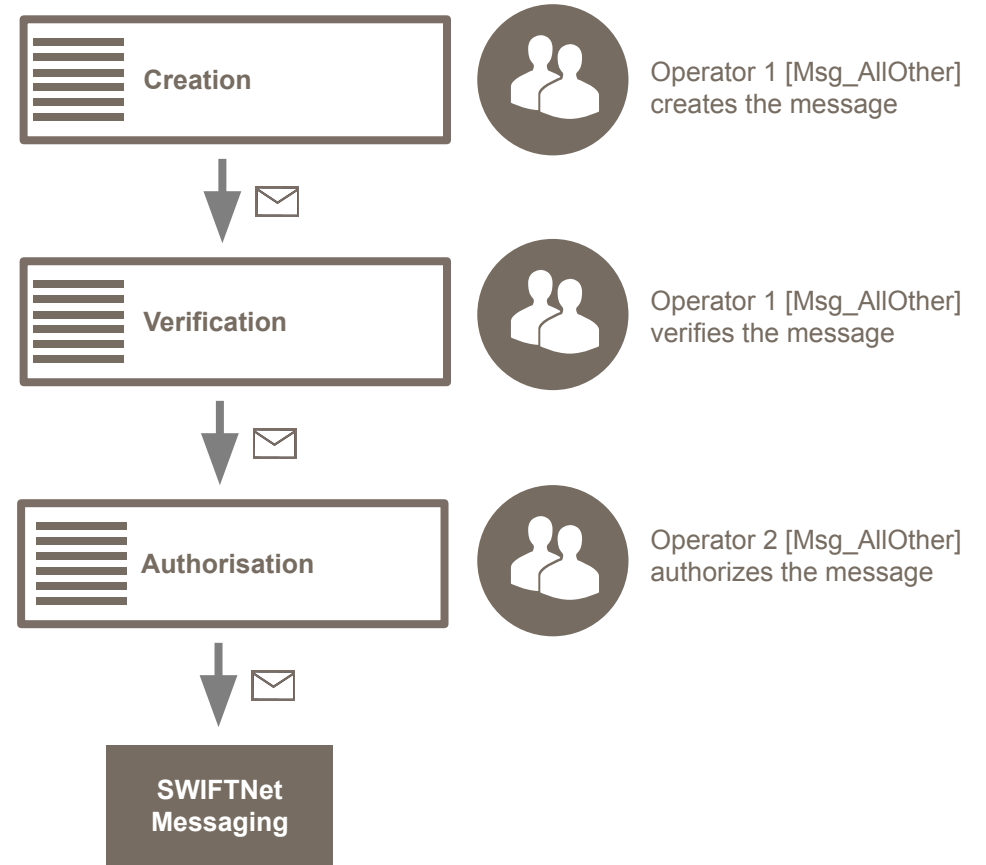
Default Operator Profile	Description
<i>LCMDTJ22_RMA_Oper</i>	This profile allows the user to create RMA entries.
<i>LCMDTJ22_RMA_Auth</i>	This profile allows the user to approve RMA entries.
<i>LCMDTJ22_RMA_All</i>	This profile allows the user to create and approve RMA entries.
<i>LCMDTJ22_MsgUpload</i>	This profile allows the operator to upload a batch file of messages to be sent to SWIFT.
<i>LCMDTJ22_BIC_view</i>	This profile allows access to the BIC directory on the Lite2 GUI.
<i>LCMDTJ22_Browse</i>	The profile allows Browse activity.



# Operator Profiles & Message Flow – Manual Message Approval (U2A)

## 4-eyes Message Flow:

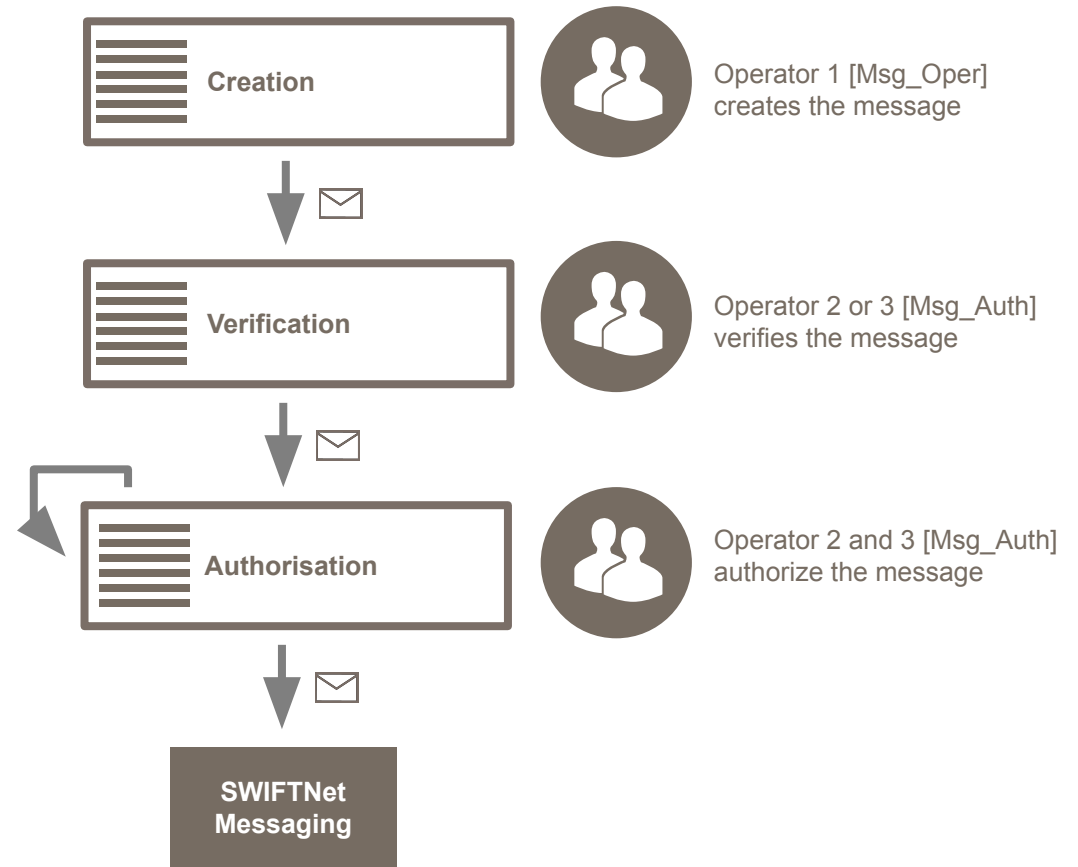
- At least two operators are required.
- The operators have the profile Msg\_AllOther.
- One operators creates and verifies a message. Another operator authorizes the message.
- Only one operators has to authorize the message.



# Operator Profiles & Message Flow – Manual Message Approval (U2A)

## 6-eyes Message Flow:

- At least three operators are required.
- One operator has the Msg\_Oper role and two operators have the profile Msg\_Auth.
- The Msg\_Oper operator creates the message. One Msg\_Auth operator verifies the message. Two Msg\_Auth operators authorize the message.
- Two operators have to authorize the message.





# Operator Profiles & Message Flow – Screenshots

Alliance Server Instance: ▼ User: cn=user2,o=swllbe22,o=swift ▼ Logout Preferences Help  
 Alliance Server Instance: ▼ User: cn=user2,o=swllbe22,o=swift ▼ Logout Preferences Help  
 Alliance Server Instance: ▼ User: cn=user2,o=swllbe22,o=swift ▼ Logout Preferences Help

Home Message Creation ▼ Message Modification ▼ Message Approval ▼ Message Search & Report ▼ Browse Services ▼ Reference Data ▼ RMA ▼ Message Upload ▼ Alarms(0)

## Message Authorisation - 2017 - fin.103 - Single Customer Credit Transfer

Header Body Network Comments

MT103 Single Customer Credit Transfer ⓘ

F20 Sender's Reference ⓘ 103BE22TST

F23B Bank Operation Code ⓘ CRED ▼

F32A Value Date/Currency/Interbank Settled Amount ⓘ

Date ⓘ  
 Currency ⓘ  
 Amount ⓘ

F50a Ordering Customer ⓘ  
 NameAndAddress Name a

F59a Beneficiary Customer ⓘ  
 NameAndAddress Name a

F71A Details of Charges ⓘ

### Message Signing

FIN

Messages of type FIN Rows in list: 1 Last refreshed at 10:17

Change View

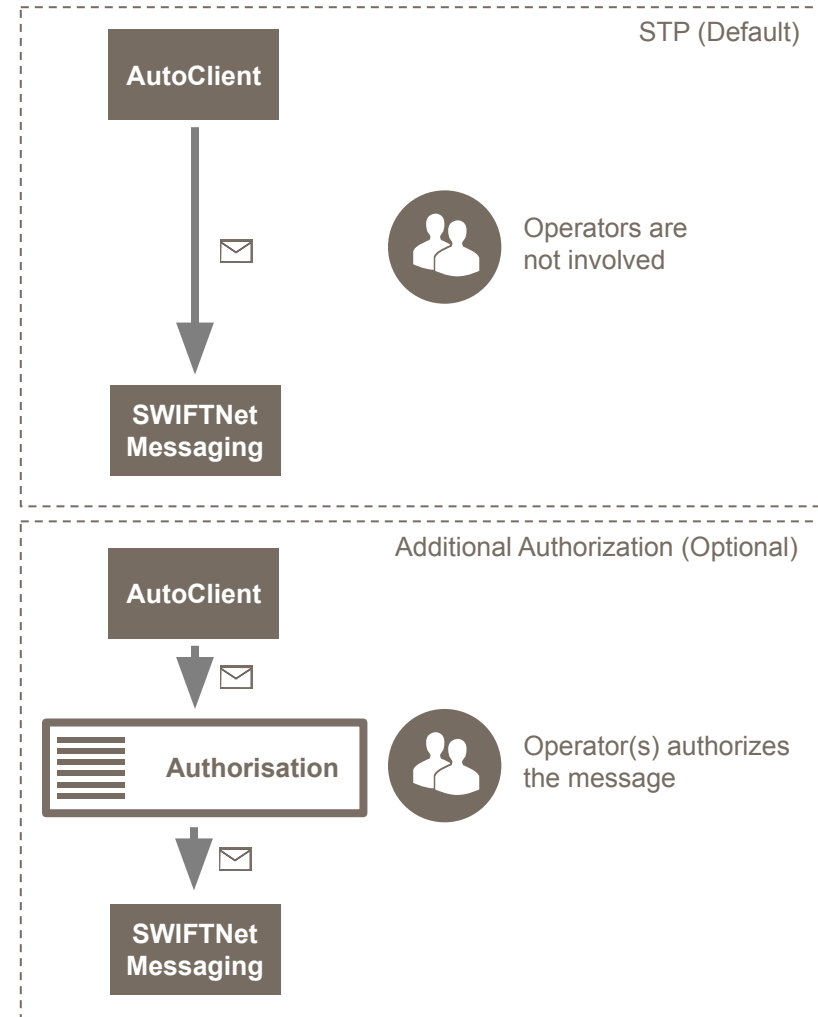
Sender	Receiver	Type	CurrencyAmount	ValueDate	UMID
SWLLBE20	SWLLBE20	fin.103	EUR 1000,	180612	ISWLLBE20XXX10



# Operator Profiles & Message Flow – Automated Message Approval (A2A)

## AutoClient Straight-Through-Processing (STP) :

- By default, message send via AutoClient bypass the verification and authorization steps.
- SWIFT offers an additional authorization step as customization, if it is required by LCMDTJ22.



# Next Steps



## Next Steps - Overview

---

- Confirm the required information for the Solution Design document
- Confirm that there is no pending signed documents
- Confirm T&T cutover date (if migration)
- Confirm any customization needs
- Schedule implementation date
- Complete the technical and security pre-implementation checklist and return to SWIFT
- Test Planning
- Approve customizations in test
- Complete Self-Attestation before Go-Live
- Agree on Go-Live date





# Further Resources – SWIFTSmart E-Learning

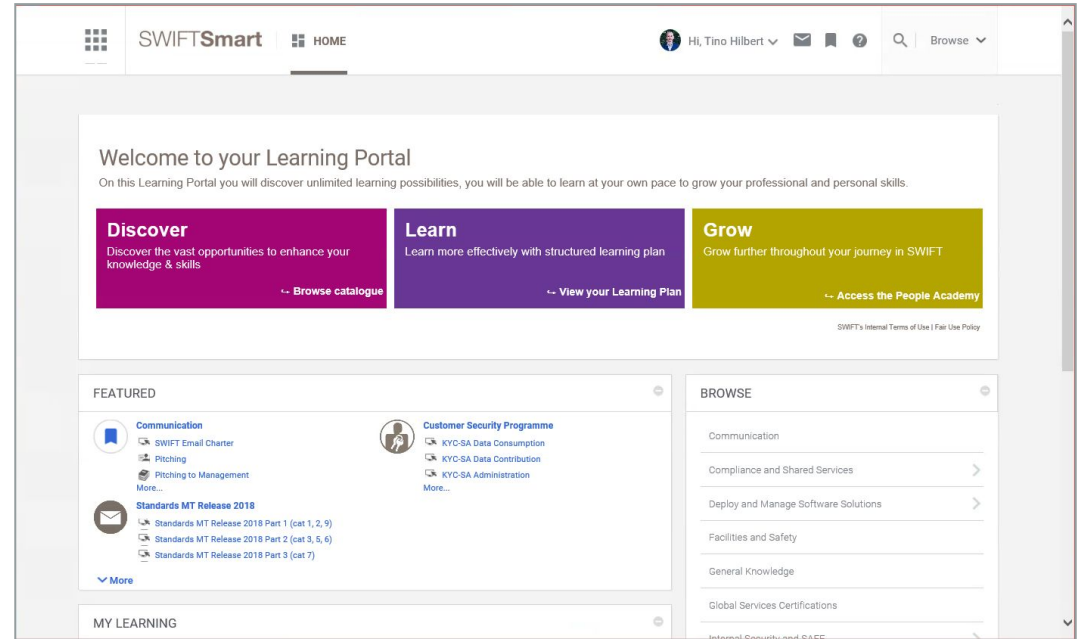
SWIFTSmart is an interactive, cloud-based training service that offers a large variety of courses for different levels of knowledge. The courses contain exercises and quizzes and are available in multiple languages.

## SWIFTSmart

- [SWIFTSmart User Guide](#): Follow this introductory course, aimed at all new SWIFTSmart users, to get an overview of the main features of the integrated learning system.

## SWIFT

- [New to SWIFT](#): Always wanted to know what SWIFT is? Take this curriculum and you will learn all about SWIFT.
- [Security Essentials](#): This introductory curriculum is a must for anyone responsible for the security aspects in your organization. It provides an introduction and raises awareness about any security aspects involving your financial messaging environment.
- [SWIFT Customer Security Controls Framework](#): This curriculum provides an introduction to the 16 mandatory security controls for SWIFT users. You are guided through each control based on your SWIFT architecture type and explained the most common risks that you can mitigate by complying with them. This curriculum is part of the Customer Security Programme (CSP).



# Further Resources – SWIFTSmart E-Learning

## Alliance Lite2

- [Introduction to Alliance Lite2](#): Follow this introductory course to discover the key components of Alliance Lite2, what is needed to connect to the service, and the main tasks Alliance Lite2 users can perform.
- [Work with Messages in Alliance Lite2](#): Follow the associate and professional curricula to learn the basics of financial messaging with SWIFT and benefit of hands on exercises. The software simulations in these courses feature the Alliance Access interface. However they are also applicable to the Alliance Lite2 GUI.
- [RMA Operator](#): Follow our two curricula to learn the basics of RMA and how to operate the Alliance Relationship Management GUI and the RMA application for Alliance Lite2. The software simulations in these courses feature the Alliance Access interface. However they are also applicable to the Alliance Lite2 GUI.

The screenshot displays the SWIFTSmart Learning Portal. At the top, the navigation bar includes the SWIFTSmart logo, a 'HOME' button, and a user profile for 'Hi, Tino Hilbert' with a search icon and a 'Browse' dropdown. The main content area features a 'Welcome to your Learning Portal' message, followed by three colored action buttons: 'Discover' (purple) with a 'Browse catalogue' link, 'Learn' (dark blue) with a 'View your Learning Plan' link, and 'Grow' (yellow-green) with an 'Access the People Academy' link. Below these are 'FEATURED' and 'BROWSE' sections. The 'FEATURED' section lists 'Communication' (with sub-items like SWIFT Email Charter and Pitching to Management) and 'Standards MT Release 2018'. The 'BROWSE' section lists categories like 'Communication', 'Compliance and Shared Services', 'Deploy and Manage Software Solutions', 'Facilities and Safety', 'General Knowledge', and 'Global Services Certifications'. A 'MY LEARNING' section is partially visible at the bottom.



# Further Resources – SWIFTSmart E-Learning

## Customer Security Officer

- [Customer Security Officers](#): Customer security officers have a powerful role in the management of accessing and operating Alliance Lite2 and AutoClient. If you are a customer security officers follow these curricula to understand your environment, deal with daily operations and align with industry best practices.
- [Introduction to Certificate Management in Alliance Lite2](#): This course explores the certificate management in Alliance Lite2 and how it helps to secure the connections you make to the service.
- [Token-based Certificate Management in Alliance Lite2](#): This course explores the steps to create a DN & Operator as well as the steps to activate a personal token.
- [Channel Certificate Management in Alliance Lite2](#): This course explores channel certificates in Alliance Lite2 and the steps that you must follow to set up AutoClient with a Channel certificate.

The screenshot displays the SWIFTSmart Learning Portal. At the top, the navigation bar includes the SWIFTSmart logo, a 'HOME' button, and a user profile for 'Hi, Tino Hilbert' with a dropdown arrow. To the right are icons for notifications, a search bar, and a 'Browse' dropdown. The main content area features a 'Welcome to your Learning Portal' message, followed by a sub-header: 'On this Learning Portal you will discover unlimited learning possibilities, you will be able to learn at your own pace to grow your professional and personal skills.' Below this are three prominent action buttons: 'Discover' (purple) with the text 'Discover the vast opportunities to enhance your knowledge & skills' and a 'Browse catalogue' link; 'Learn' (dark blue) with 'Learn more effectively with structured learning plan' and a 'View your Learning Plan' link; and 'Grow' (yellow-green) with 'Grow further throughout your journey in SWIFT' and an 'Access the People Academy' link. A small link for 'SWIFT's Internal Terms of Use | Fair Use Policy' is located at the bottom right of this section. The 'FEATURED' section below contains two columns of content. The left column is titled 'Communication' and lists 'SWIFT Email Charter', 'Pitching', and 'Pitching to Management', along with a 'Standards MT Release 2018' section containing three sub-items: 'Standards MT Release 2018 Part 1 (cat 1, 2, 9)', 'Standards MT Release 2018 Part 2 (cat 3, 5, 6)', and 'Standards MT Release 2018 Part 3 (cat 7)'. The right column is titled 'Customer Security Programme' and lists 'KYC-SA Data Consumption', 'KYC-SA Data Contribution', and 'KYC-SA Administration'. A 'BROWSE' sidebar on the right lists categories: 'Communication', 'Compliance and Shared Services', 'Deploy and Manage Software Solutions', 'Facilities and Safety', 'General Knowledge', and 'Global Services Certifications'. At the bottom, a 'MY LEARNING' section is partially visible.



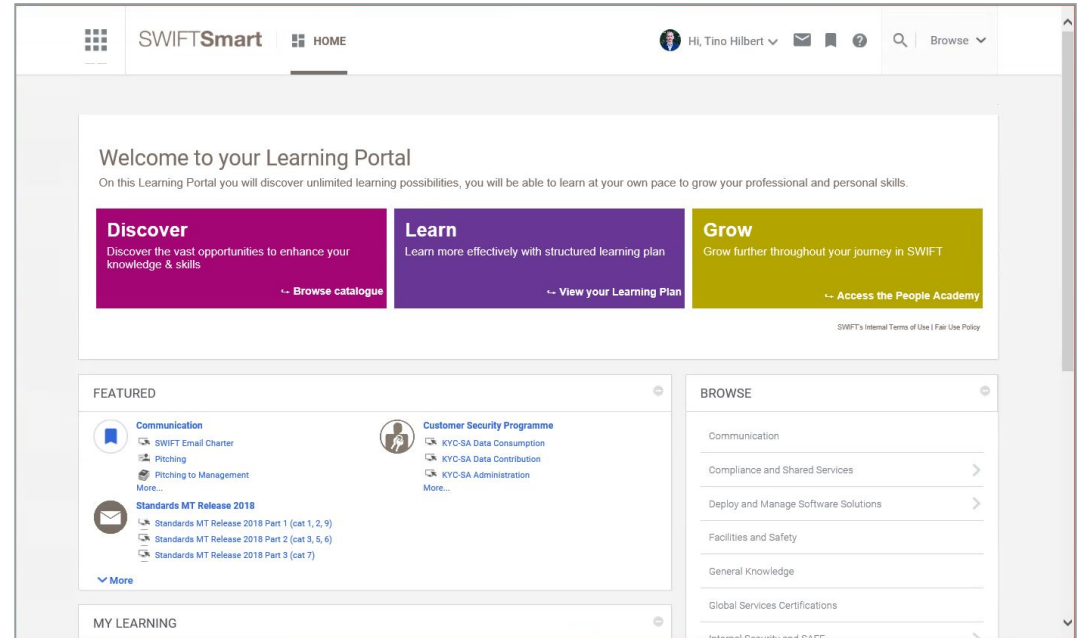
# Further Resources – SWIFTSmart E-Learning

## Alliance Connect (SRX)

- [Introduction to Alliance Connect](#): This course explains how the Alliance Connect family products fit in the SWIFT multi-vendor secure IP network and shows the different Alliance Connect products and their respective set-ups.
- [Troubleshooting Alliance Connect](#): This course demonstrates how to diagnose issues with your Alliance Connect product, improve the resolution time, and reduce business impact.

## swift.com Administrators

- [SWIFT Security Profiles](#): Follow this intermediate course to get familiar with the profiles of the people who manage security at your local infrastructure connected to SWIFT, and with the tools and interfaces they use.
- [swift.com Administrators](#): Follow this advanced course to understand the tasks performed by swift.com administrators and the tools they use, and to get SWIFT's recommendations to manage your local infrastructure in a secure manner.



# Further Resources – SWIFTSmart E-Learning

## Industries

- [Work with Payment Messages](#): Want to know all about SWIFT payment messages and their corresponding business flows? Have a look at our 3 curricula and choose the level of expertise you would like to acquire.
- [Work with Securities Messages](#): Do you want to know all about SWIFT securities messages and their corresponding business flows? We offer 3 curricula to get you from zero to expert. Choose the level that best suits you and get started!
- [Work with Trade Finance Messages](#): Are you embracing a new challenge in trade finance? We offer 3 curricula to get you from zero to professional for either documentary credits or collections and guarantees

The screenshot shows the SWIFTSmart Learning Portal interface. At the top, there is a navigation bar with the SWIFTSmart logo, a 'HOME' button, and a user profile for 'Hi, Tino Hilbert' with a dropdown arrow. To the right of the profile are icons for email, a notification bell, a help icon, and a search bar with a 'Browse' dropdown. Below the navigation bar is a main content area with a white background. It starts with a 'Welcome to your Learning Portal' message, followed by a sub-message: 'On this Learning Portal you will discover unlimited learning possibilities, you will be able to learn at your own pace to grow your professional and personal skills.' Below this are three colored boxes: a purple 'Discover' box with the text 'Discover the vast opportunities to enhance your knowledge & skills' and a 'Browse catalogue' link; a blue 'Learn' box with 'Learn more effectively with structured learning plan' and a 'View your Learning Plan' link; and a yellow 'Grow' box with 'Grow further throughout your journey in SWIFT' and an 'Access the People Academy' link. A small link for 'SWIFT's Internal Terms of Use | Fair Use Policy' is at the bottom right of this section. Below the welcome message are two columns: 'FEATURED' and 'BROWSE'. The 'FEATURED' column contains two sections: 'Communication' with links for 'SWIFT Email Charter', 'Pitching', and 'Pitching to Management', and 'Standards MT Release 2018' with links for 'Standards MT Release 2018 Part 1 (cat 1, 2, 9)', 'Standards MT Release 2018 Part 2 (cat 3, 5, 6)', and 'Standards MT Release 2018 Part 3 (cat 7)'. The 'Customer Security Programme' section has links for 'KYC-SA Data Consumption', 'KYC-SA Data Contribution', and 'KYC-SA Administration'. The 'BROWSE' column lists categories: 'Communication', 'Compliance and Shared Services', 'Deploy and Manage Software Solutions', 'Facilities and Safety', 'General Knowledge', and 'Global Services Certifications'. At the bottom, there is a 'MY LEARNING' section.



# Further Resources – Alliance Lite2 Support Page

The Alliance Lite2 Support page **provides help for typical problems and questions** that our customers have reported. Accordingly, this page should be considered as one of the first resources in case of questions or issues regarding Lite2, including topics like News, AutoClient, Tokens, Troubleshooting, Security and Learning:

[https://www2.swift.com/myprofile/res/subjects/alliance\\_lite2/index.html](https://www2.swift.com/myprofile/res/subjects/alliance_lite2/index.html)

mySWIFT

mySWIFT › Alliance Lite2

## Alliance Lite2

This support page provides help for typical problems and questions that our customers have reported.

- News
  - AutoClient
  - Tokens
  - Troubleshooting
  - Security
  - Learn

### News

- New** Enhanced password policies for personal tokens
- Changes to the user interface are available on the live system
- Restrictions in upgrading Java 6 and Java 7
- Alliance Lite2 and Autoclient now support Windows 10

### AutoClient

- AutoClient 1.2.2 is a security update that is mandatory since 30 June 2017. Previous versions are no longer supported.
- Windows Service does not restart after upgrade to 1.2.2
- Error codes in AutoClient (AC\_ERR\_n)
- AutoClient unexpectedly stops running
- Request a change to the configuration of AutoClient

### Related links

- [Log in to Alliance Lite2 \(live\) >](#)
- [Log in to Alliance Lite2 \(test\) >](#)
- [Alliance Lite2 service status >](#)
- [Planned maintenance >](#)
- [User documentation >](#)
- [Knowledge base tips >](#)
- [My open cases >](#)
- [myBilling >](#)
- [Ordering for Alliance Lite2 >](#)
- [Contact Support >](#)
- [Search support content >](#)

# Q&A





# Appendix – legal notices

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