Oracle Financial Services Regulatory Reporting

User Guide NGSTR

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About This Guide

This guide provides overview of the Oracle Financial Services Regulatory Reporting (herein referred to as RR), life cycle of the Regulatory Reports. This chapter focuses on the following topics:

- Naming Discrepancies
- Who Should Use this Guide
- Scope of this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

Naming Discrepancies

The product branding in the screen shots shown in this guide retains the original product name (Oracle Mantas) and original logo. The Oracle Financial Services Regulatory Reporting Solution might be referred to as Mantas Regulatory Reporting Solution, Mantas RRS, or RR.

Who Should Use this Guide

The *Oracle Financial Services Regulatory Reporting User Guide NGSTR*, Release 2.3, is designed for use by a variety of Oracle Financial Services users. Their roles and responsibilities, as they operate within the Oracle Financial Services RR application, include the following:

- **Analyst:** This user is responsible for updating the data related to the report through UI screens and can add comments to the report. This user can send reports to the supervisor for further action (such as Approve, Reject, or Close).
- **Supervisor**: This user is responsible for taking action on the reports submitted by the Analyst, such as Approve, Close, and Reject, and can add comments to the report. This user should verify all the details of the report before taking action which files the report with the Regulatory Authorities.
- **Admin User**: This user is responsible for managing the security attributes of the users and filing the reports approved by the Supervisor.
- **Super User**: This user is responsible for updating the data related to the report through UI screens, approving and closing reports, generating reports, adding comments to the reports, and filing the reports from the list of approved reports.
- **System/Application Administrator**: This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.

Scope of this Guide

The purpose and scope of this guide is to define how users can view, edit and generate report data, and to file the regulatory reports to the Regulatory Authorities. It also guides the users to adjust the application parameters.

This guide explains how the User Interface (UI) in the Oracle Financial Services RR is organized, how the application uses the data entered, and guides the user to generate the XML report defined by the regulatory body.

How this Guide is Organized

The *Oracle Financial Services Regulatory Reporting User Guide NGSTR*, Release 2.3, includes the following topics:

- Chapter 1, *About Regulatory Reporting,* describes the default page setting and Regulatory report workflow in Oracle Financial Services RR login process.
- Chapter 2, *Nigerian STR,* describes how to search, view, and edit the regulatory reports.
- Chapter 3, *Report Summary,* describes the life cycle of the report, and details the suspicious transaction report analysis.
- Chapter 4, *File Regulatory Reports,* describes the process of filing the Regulatory Reports to the Regulatory Authorities.
- Chapter 5, *User Administration,* describes how to map and maintain the security attributes for each user in Oracle Financial Services RR.

Where to Find More Information

For additional information about the Oracle Financial Services Regulatory Reporting application, refer to the following documents:

- *Oracle Financial Services Regulatory Reporting Data Model Reference Guide*: This guide explains the structures of the entities in the Oracle Financial Services RR data model and provides in-depth information on data handling of the Oracle Financial Services RR system.
- *Oracle Financial Services Regulatory Reporting Web Service Guide*: This guide explains how and in what format the source business data should be provided to the Oracle Financial Services RR application through a web service for the Nigerian STR report type.
- *Oracle Financial Services Regulatory Reporting Installation Guide*: This guide provides step-by-step instructions for installing the Oracle Financial Services RR on an existing Oracle Financial Services Platform hosted in a Windows environment.
- *Oracle Financial Services Regulatory Reporting Administration Guide:* This guide describes comprehensive activities of the Oracle Financial Services Analytical Applications Infrastructure Administrator in the Oracle Financial Services Regulatory Reporting and associated solution set. This guide details the Regulatory Reporting, and provides information about configuring and maintaining users and static data.

To find additional information about how Oracle Financial Services Regulatory Reporting solves real business problems, see our website at www.oracle.com/financialservices.

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	● Names of books, chapters, and sections as references ● Emphasis
Bold	● Object of an action (menu names, field names, options, button names) in a step-by-step procedure ● Commands typed at a prompt ● User input
`Monospace`	● Directories and subdirectories ● File names and extensions ● Process names ● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

CHAPTER 1

About Regulatory Reporting

This chapter explains the Oracle Financial Services RR Login and User access process and covers the following topics:

- Introduction to RR
- About RR Login
- Regulatory Report Workflow
- User Access

Introduction to RR

As a part of regulations and compliances, the organizations are required to perform appropriate analysis and report the suspicious activities that lead to fraud and money laundering in institution, to the Regulatory Authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

As part of this goal, these regulatory bodies require the Financial Crimes Unit (FCU), also referred to as Financial Intelligence Units (FIUs), in financial institutions to provide data regarding suspicious activities. These reports, depending on the regulatory geographic region, can be delivered in either printed or electronic format.

RR supports the management, delivery, and resolution of these regulatory reports across multiple geographic regions and across multiple financial lines of business. Since there are several differences in requirements for paper-based formats versus electronic formats, and between different geographic regions and the data elements that are required on these reports, the approach to satisfying the end goal is to provide a Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

RR is integrated with the Oracle Financial Services Behavior Detection platform to allow users to generate reports automatically populated with information relevant to the investigation which triggered the need for the report to be filed.

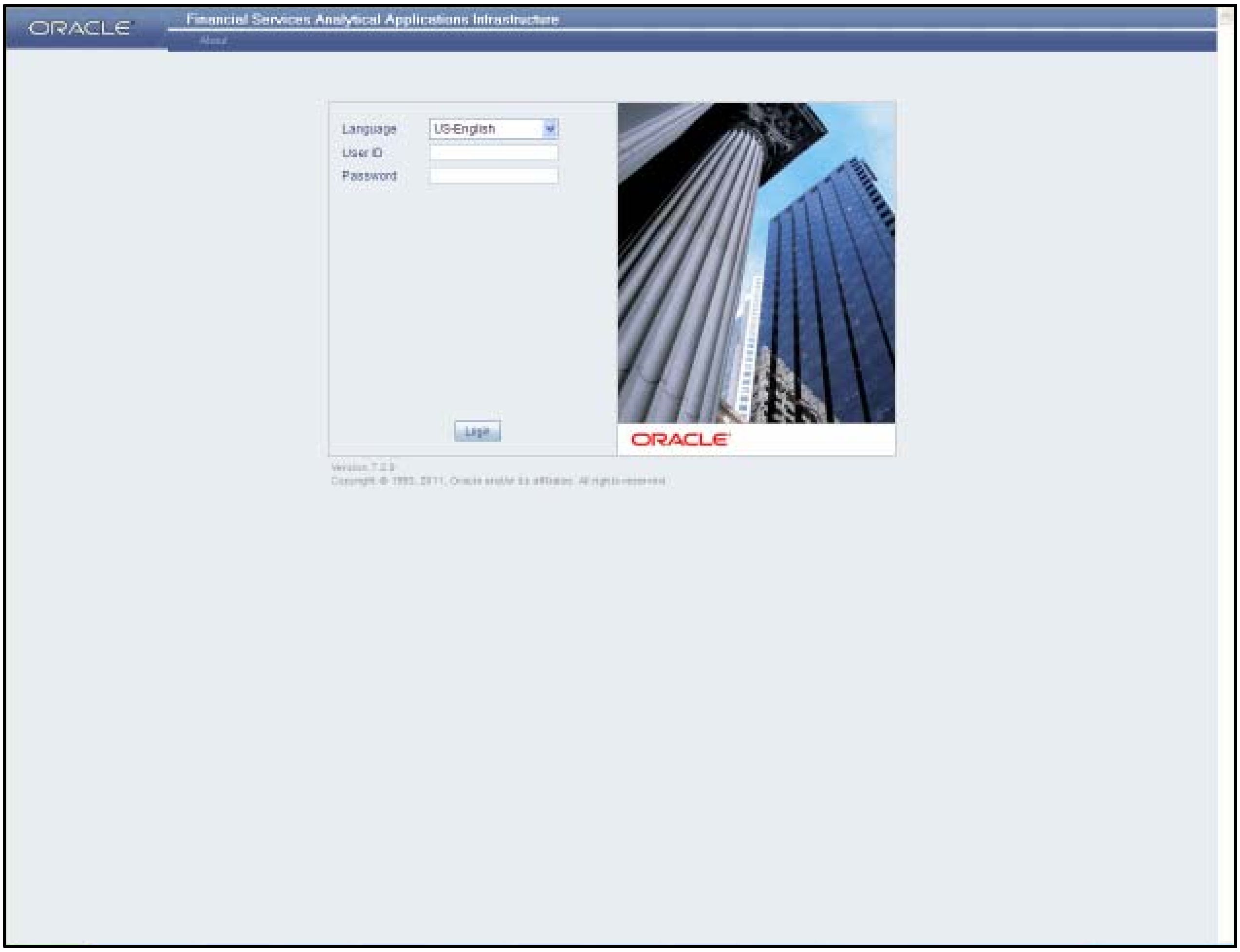
About RR Login

The Oracle Financial Services Behavior Detection UI enables you to view and edit the report information, generate the XML for the report and generate an electronic file (E-File), which is filed with the Regulatory Authorities.

The Regulatory Reporting link is enabled for users who have access to the Oracle Financial Services RR.

Click the **Regulatory Reporting** link in the Oracle Financial Service Behavior Detection UI page. The RR login page will open in a pop-up window. This allows you to log into the RR application (Figure 1).

For information about changing your password, refer to the *Oracle Financial Services Regulatory Reporting Administration Guide*.



Language US-English

ORACLE
Financial Services Analytical Applications Infrastructure
About
User ID
Password
Login
ORACLE

Figure 1. RR Application Login

Follow these steps to log into the Oracle Financial Services RR Application:

1. Select the **Language** for the application.
2. Enter your **User ID**.
3. Enter your **Password**.
4. Click **Login**.

The System Administrator can see all links on the application menu, whereas other users can see only the RR link. Users will see the links as per their roles and privileges.

Figure 2 and Figure 3 shows the landing screen for various users.

To see the data required, select the information domain and click the **Regulatory Reporting** link. This takes you to the application page (Figure 4).

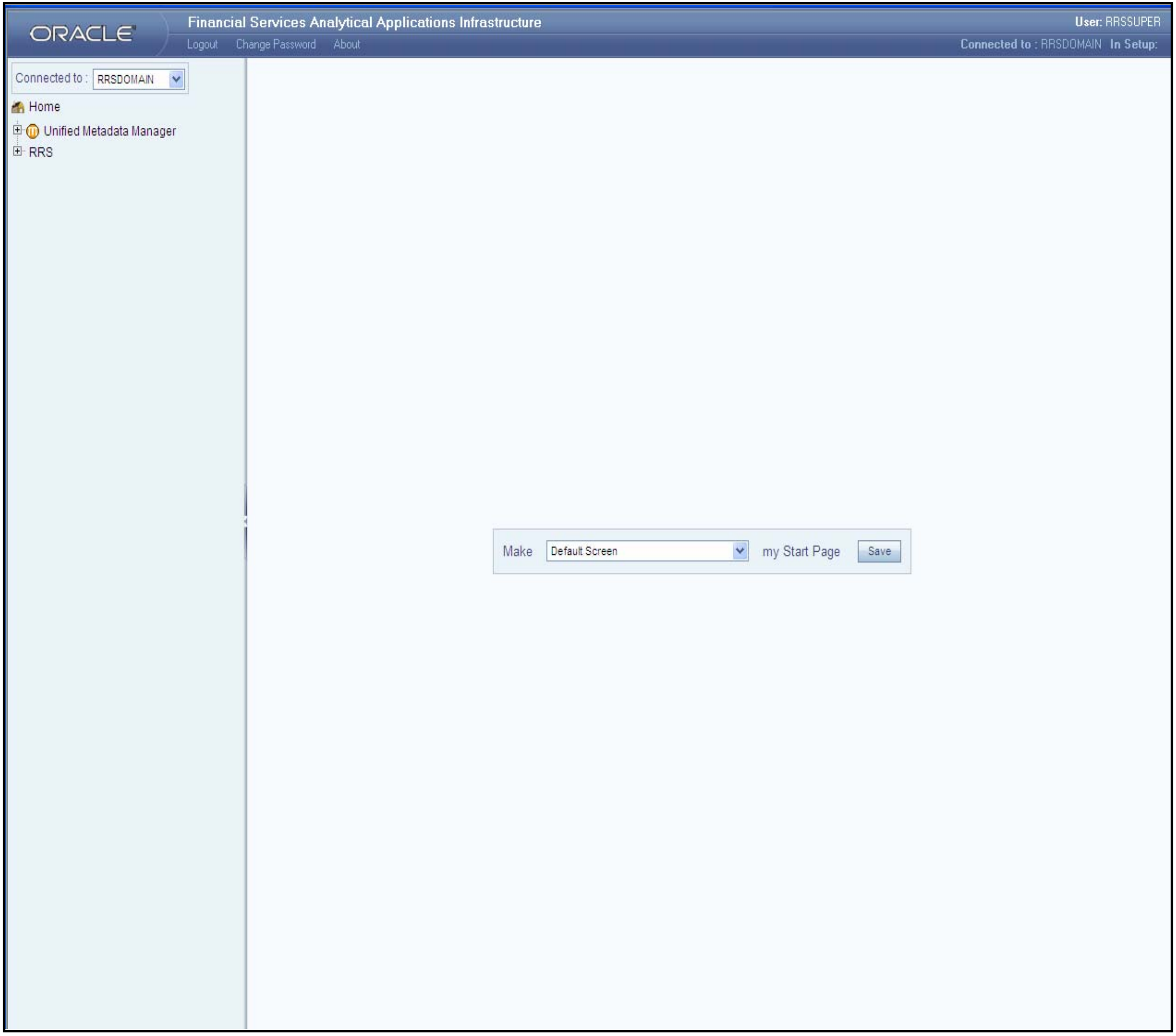
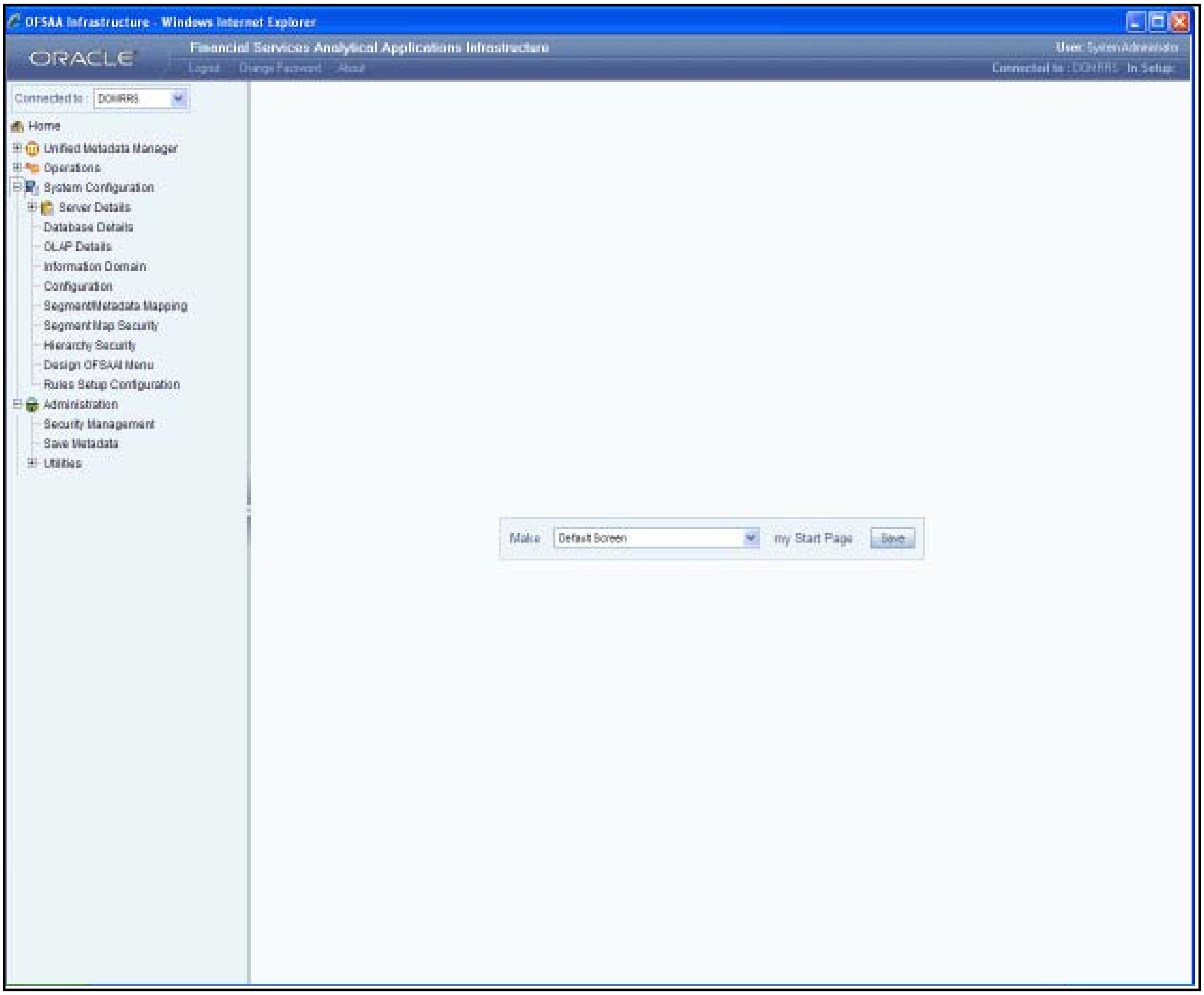

ORACLE
Financial Services Analytical Applications Infrastructure
Logout
Change Password
About
User: RRSSUPER
Connected to : RRSDOMAIN In Setup:
Connected to : RRSDOMAIN
Home
Unified Metadata Manager
RRS
Make
Default Screen
my Start Page
Save

Figure 2. Home Page for all the Roles (except the RR System Administrator)


OFSAA Infrastructure - Windows Internet Explorer
ORACLE
Financial Services Analytical Applications Infrastructure
Logout
Change Password
About
User: System Administrator
In Setup
Home
Unified Metadata Manager
Operations
System Configuration
Server Details
Database Details
OLAP Details
Information Domain
Configuration
Segment/Metadata Mapping
Segment Map Security
Hierarchy Security
Design OFSAAI Menu
Rules Setup Configuration
Administration
Security Management
Save Metadata
Utilities
Save

Connected to : DOMRRS

Make Default Screen my Start Page

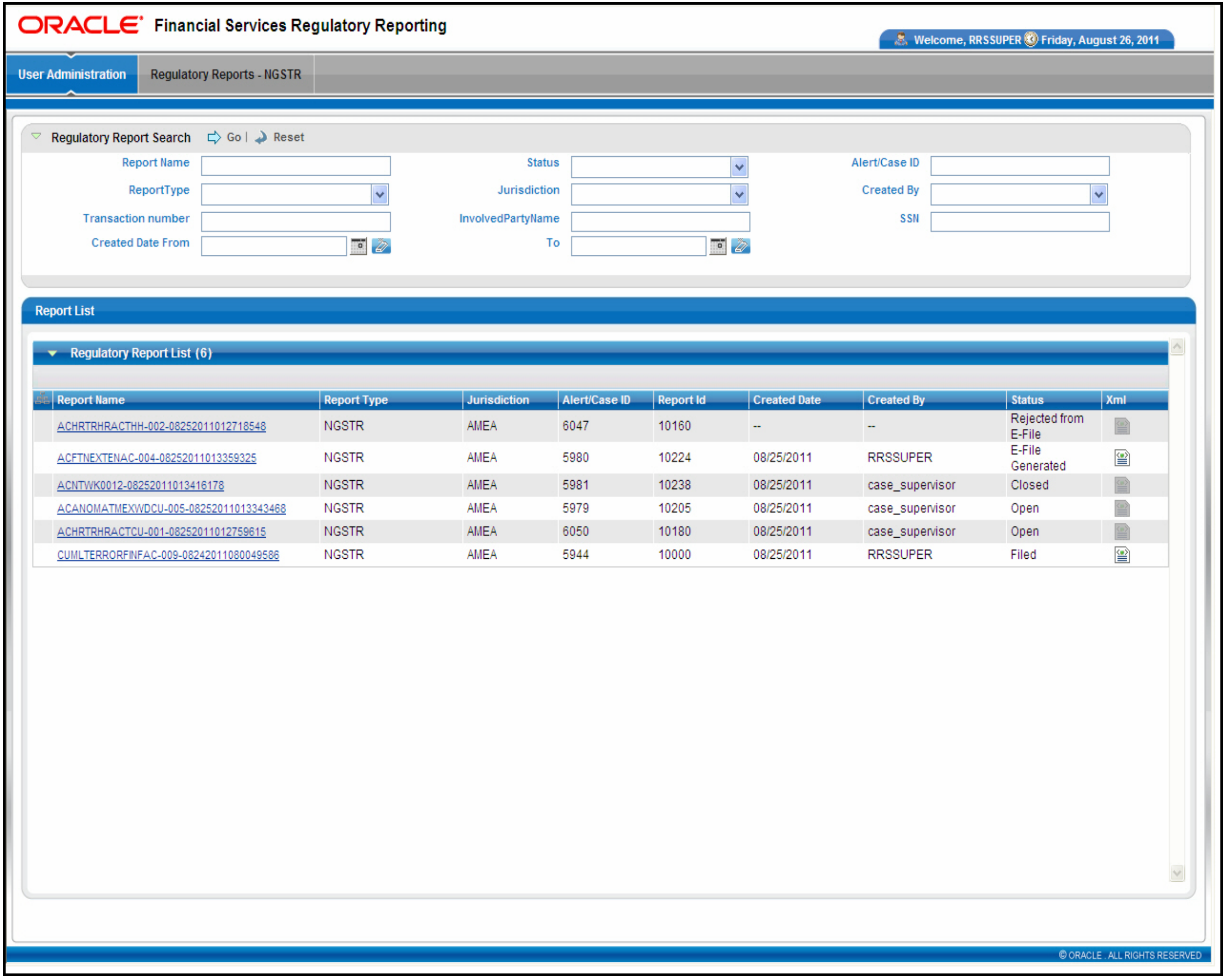
Figure 3. Home Page for the RR System Administrator Role

Setting the Default Page

From the **Make my Start Page**, select **Financial Services Regulatory Reporting** from the drop-down list and click Save. This saves the application page as the Start page.

If the Application page is the start page, the Home link and the Logout link will also be enabled on the page. If not, the Logout link is available only in the Home page.

The Application page has Regulatory Reports and File Regulatory Reports. The page displays the Regulatory Report Search and List of the Regulatory Reports, by default (Figure 4).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER
Friday, August 26, 2011
User Administration
Regulatory Reports - NGSTR
Regulatory Report Search
Go
Reset
Report Name
Status
Alert/Case ID
ReportType
Jurisdiction
Created By
Transaction number
InvolvedPartyName
SSN
Created Date From
To
Report List
Regulatory Report List (6)
© ORACLE . ALL RIGHTS RESERVED

Report Name	Report Type	Jurisdiction	Alert/Case ID	Report Id	Created Date	Created By	Status	Xml
ACHRTRHRACTHH-002-08252011012718548	NGSTR	AMEA	6047	10160	--	--	Rejected from E-File	
ACFTNEXTENAC-004-08252011013359325	NGSTR	AMEA	5980	10224	08/25/2011	RRSSUPER	E-File Generated	
ACNTWK0012-08252011013416178	NGSTR	AMEA	5981	10238	08/25/2011	case_supervisor	Closed	
ACANOMATMEXWDCU-005-08252011013343468	NGSTR	AMEA	5979	10205	08/25/2011	case_supervisor	Open	
ACHRTRHRACTCU-001-08252011012759615	NGSTR	AMEA	6050	10180	08/25/2011	case_supervisor	Open	
CUMLTERRORFINFAC-009-08242011080049586	NGSTR	AMEA	5944	10000	08/25/2011	RRSSUPER	Filed	

Figure 4. RR Application Page

Regulatory Report Workflow

The life cycle or stages of the regulatory report are described in the workflow diagram (Figure 5). The report can be in any of the following statuses at any point.

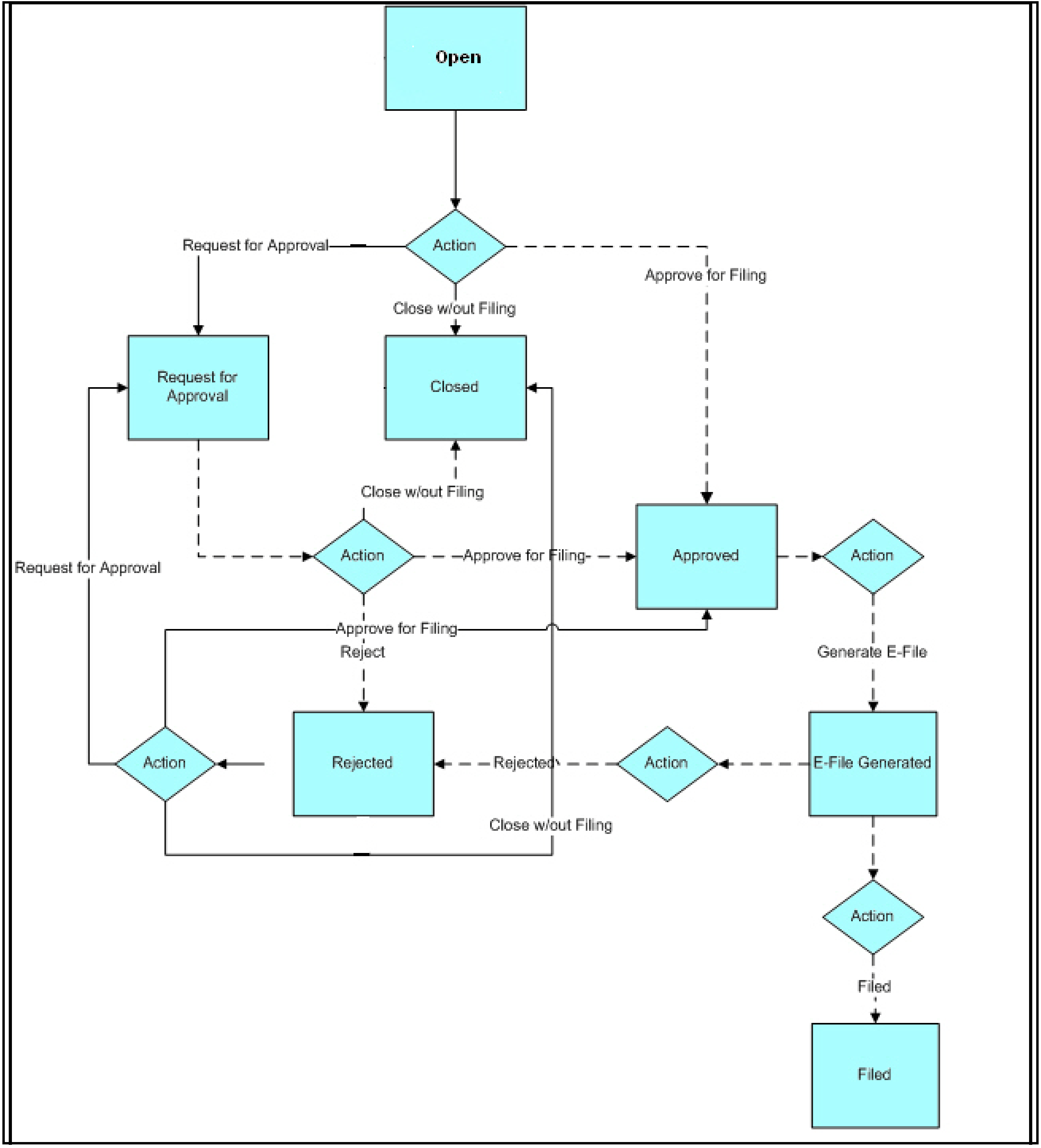

Open
Action
Request for Approval
Approve for Filing
Close w/out Filing
Request for Approval
Closed
Close w/out Filing
Request for Approval
Action
Approve for Filing
Approved
Action
Approve for Filing
Reject
Generate E-File
Action
Rejected
Rejected
Action
E-File Generated
Close w/out Filing
Action
Filed
Filed

Figure 5. Regulatory Reporting Workflow

Note: The dotted line in Figure 5 represents the workflow of Super User - Mapped to Analyst, Supervisor, and Administrator roles.

When the RR user selects **Recommend** action on an Alert or Case, the data is passed to RR through the web service and a report is opened in the RR.

The users can then work on open or rejected reports and send them for approval.

The user with the Supervisor role may do the following:

- Approve the report for filing
- Reject the report for rework
- Close the report
- Take no further action

Every action taken on a report is recorded in the Audit Tab of the Regulatory Report Actions. Refer to section *Audit,* on page 51 for more information.

User Access

The following user roles are defined in the RR application:

- Analyst
- Supervisor
- Admin
- Super user (Analyst , Supervisor, and Admin Role)
- System Administrator

The User Role - Function mapping required for RR is defined in Table 2. These functions are required to set the privileges for each role.

Table 2. User Role - Function Mapping

	Roles				
Function	**Analyst**	**Supervisor**	**Super User**	**Administrator**	**System Administrator**
Show Regulatory Reports Menu	X	X	X		
Show File Regulatory Reports Menu			X	X	
Show User Attributes Menu			X	X	
View RR	X	X	X		
Edit RR	X		X		
Action RR (Request for Approval)	X				
Action RR (Reject/Approve)		X	X		
Action RR (Generate E-File)			X	X	
Action RR (Filed)			X		
Action RR (Close (without filing))		X	X		
Add RR Comments	X	X	X		
View / Edit Configuration					X
View/Edit User Attributes			X	X	
Action RR (File Regulatory report)			X	X	

CHAPTER 2 Nigerian STR

This chapter explains how to view, edit, and generate XML files for the report. This chapter covers the following topics:

- RR Application Menu
- Icons Used
- Regulatory Reports- User Interface

RR Application Menu

This section explains the modules that can be accessed through the UI and their functions. Each module facilitates a list of possible actions that are visible based on the roles and privileges assigned for each user. The RR application menu includes links for Regulatory Reports, Generate Regulatory Reports, and User Administration.

Regulatory Reports

This is the default opening screen for users after clicking the **Regulatory Reports** link. Generated reports are displayed and accessed on this page, based on user privileges. You can view Report Summary details by clicking a report.

The **Search** option allows users to search for reports, based on the following components:

- Report Name
- Status
- Alert/Case ID
- Report Type
- Jurisdiction
- Created By
- Transaction Number
- Involved Party Name
- SSN
- Created Date Range

Icons Used

Table 3 details the icons used in the application.

Table 3. RR Icons

Icon	Conventions	Description
⇨	**Go**	Displays search results for the selected search components.
⌄	**Drop Down List**	Displays the possible values that can be selected for the field.
📅	**Calendar**	Opens the calendar to select the date.
✎	**Clear**	Clears a selection made on the calendar or the hierarchy browser.
↩	**Reset**	Clears the selections and values and shows the previous selected values if any are made.
✎	**Edit**	Edits the report details with respect to context.
➕	**Add**	Adds a new entry with respect to context.
✖	**Close**	Closes the report after successful validation for unsaved data.
💾	**Save**	Saves any changes made, after successful validation of the fields.
✖	**Delete**	Deletes the selected records after user confirmation.
Logout	**Logout**	Allows the user to log out of the application.
🔍	**Details**	Displays details for the selected report.
☑	**Validate**	Allows the users to identify for any missing mandatory information.
✓	**Approve**	Approves the reports for filing with the regulatory bodies.
✓	**Request for Approval**	Submits the report for approval.
🗋	**Add Comments**	Allows the user to add comments to a specific report.
☎	**Contact Details**	Allows the user to view contact details.
🏠	**Address Details**	Allows the user to view address details.
👤	**Identification Details**	Allows the user to view identification details.
⇄	**Reject**	Rejects the reports from filing.
🔍	**View**	Allows the user to view report details when in read-only mode.

Regulatory Reports- User Interface

The Regulatory Reports user interface displays the list of reports generated. This list provides the following details:

- Report Name
- Report Type
- Jurisdiction
- Alert/Case ID
- Report ID
- Created Date
- Created By
- Status
- Xml

Users are permitted to take action on reports which are not locked by another user. Users can perform actions on reports using the Actions bar on the Report Summary page. The Analyst/Super user may open the report to edit or view the contents by clicking the report name. This opens the page in the Edit/View mode. Only reports in the Open or Rejected status can be edited.

The Supervisor can navigate to the Report Summary page by clicking the required report name in the Regulatory Report List.

Regulatory Report Search

Users can search the Report based on the following components:

- Report Name
- Status
- Alert/Case ID
- Report Type
- Jurisdiction
- Created By
- Transaction Number
- Involved Party Name
- SSN
- Created Date Range

Click **Reset** on the Regulatory Report Search to clear all the selections made and display a blank search container (Figure 8).

Regulatory Report List

The Regulatory Report List provides the following details:

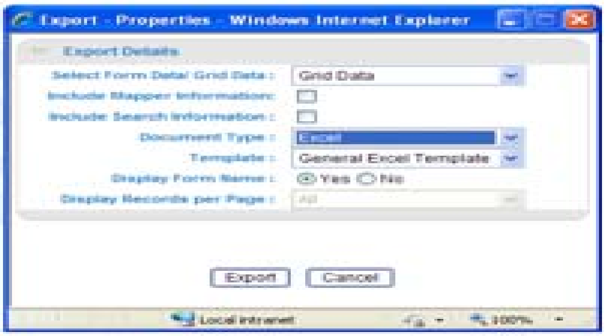
- Report Name
- Report Type
- Jurisdiction
- Alert/Case ID
- Report ID
- Created Date
- Created By
- Status
- XML

You can view the report details by clicking the required report.

Export to Excel

You can export all the reports in the Regulatory Report List to a new excel spreadsheet by clicking on the **Export to Excel** icon present on the Regulatory Report List grid header. By clicking on the **Export to Excel** icon you will see a new prompt on the screen (Figure 6**)**. Make your selection as mentioned below.

1. Select Grid Data.
2. Select Document Type as Excel.
3. Display From Name as Yes.
4. Click **Export button**. All the data under Regulatory Report List will be populated in a new Excel spread sheet.



Export - Properties - Windows Internet Explorer

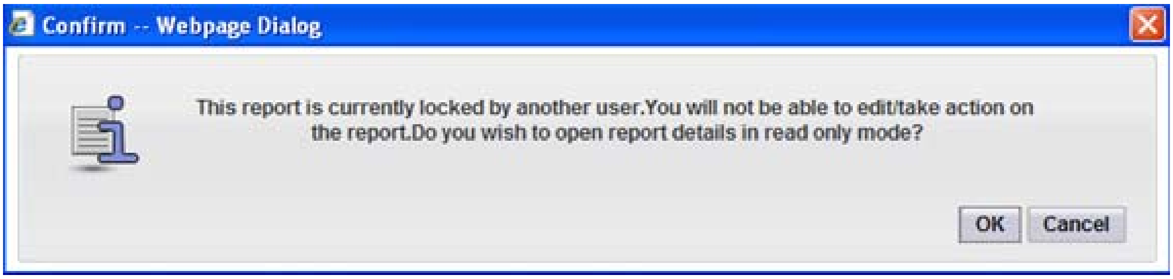
Export Details

Select Form Data/ Grid Data : Grid Data
Include Mapper Information: ☐
Include Search Information : ☐
Document Type : Excel
Template : General Excel Template
Display Form Name : ● Yes ○ No
Display Records per Page : All

Figure 6. Export Properties Dialog Box

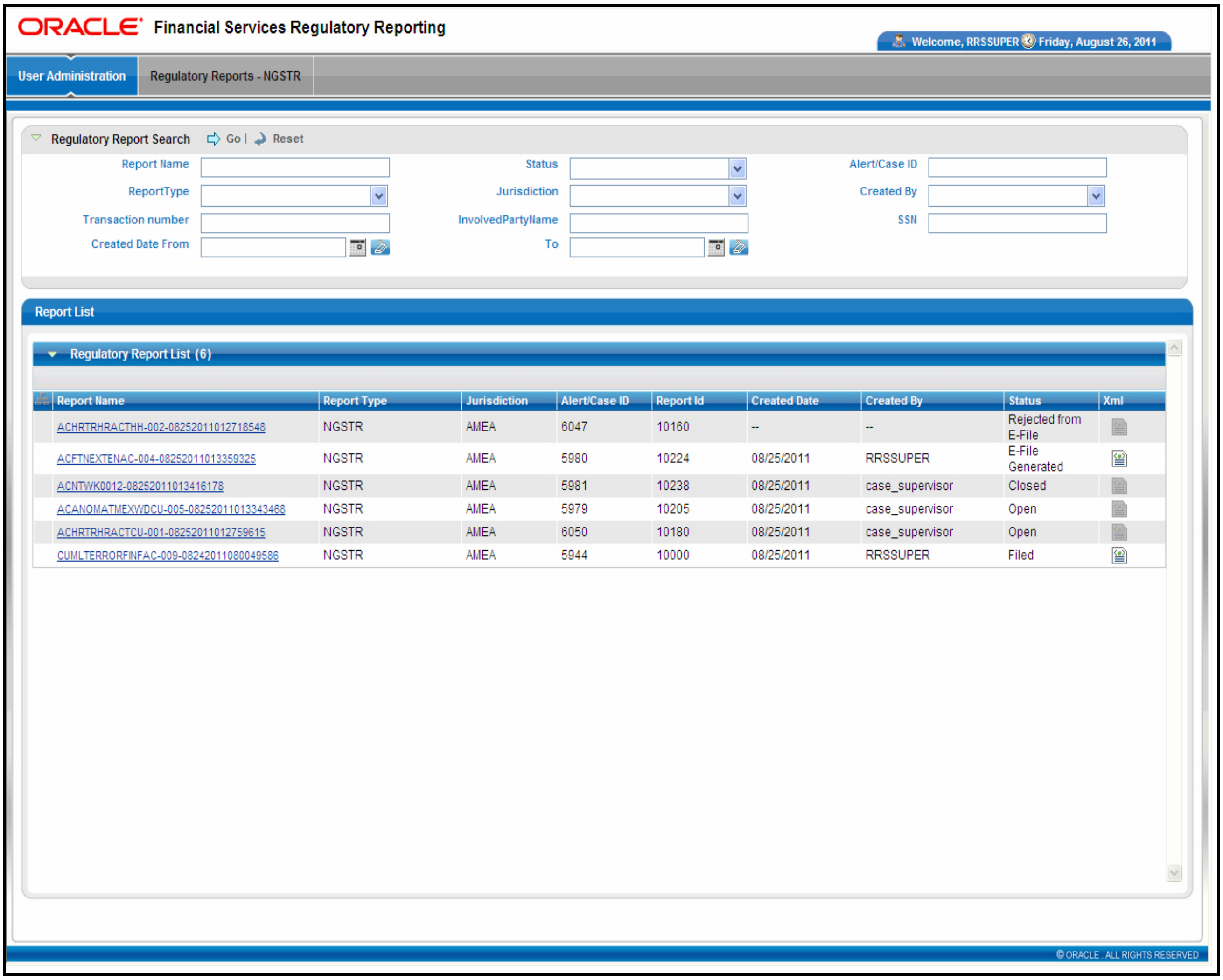
View/Edit Report

You can view and edit the report details by clicking the report name. If the report is already opened by another user, the system displays the message as shown in Figure 7. After confirmation from the logged in user, the report details are displayed in the View mode. The report opens in View or Edit mode based on the roles and privileges of the user who has logged in and the report status.


Confirm -- Webpage Dialog
OK
Cancel

This report is currently locked by another user.You will not be able to edit/take action on the report.Do you wish to open report details in read only mode?

Figure 7. Edit Report - Warning Message


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Friday, August 26, 2011
User Administration
Regulatory Reports - NGSTR
Regulatory Report Search
Go
Reset
Report Name
ReportType
Transaction number
Created Date From
Status
Jurisdiction
InvolvedPartyName
To
Alert/Case ID
Created By
SSN
Report List
Regulatory Report List (6)
© ORACLE . ALL RIGHTS RESERVED

Report Name	Report Type	Jurisdiction	Alert/Case ID	Report Id	Created Date	Created By	Status	Xml
ACHRTRHRACTHH-002-08252011012718548	NGSTR	AMEA	6047	10160	--	--	Rejected from E-File	
ACFTNEXTENAC-004-08252011013359325	NGSTR	AMEA	5980	10224	08/25/2011	RRSSUPER	E-File Generated	
ACNTWK0012-08252011013416178	NGSTR	AMEA	5981	10238	08/25/2011	case_supervisor	Closed	
ACANOMATMEXWDCU-005-08252011013343468	NGSTR	AMEA	5979	10205	08/25/2011	case_supervisor	Open	
ACHRTRHRACTCU-001-08252011012759615	NGSTR	AMEA	6050	10180	08/25/2011	case_supervisor	Open	
CUMLTERRORFINFAC-009-08242011080049586	NGSTR	AMEA	5944	10000	08/25/2011	RRSSUPER	Filed	

Figure 8. Regulatory Report Search and List

CHAPTER 3 Report Summary

This chapter discusses the life cycle of the report, bank information, customer particulars, account information, entity information, and the suspicious transaction information. This chapter focuses on the following topics:

- About the Report Summary Page
- Action Bar
- Report Context
- Reporting Entity Information Tab
- Transaction Details Tab (Edit Mode)
- Transaction Details Tab (View Mode)
- Narrative
- Audit

About the Report Summary Page

The Report Summary page provides information about the report. You can navigate to the Report Summary page from the Regulatory Report List by clicking a report.

The Report Summary page has three sections – the Actions bar, Report Context, and Report Tabs. Each section is detailed below:

- The **Actions bar** displays the various actions that can be taken on the report. This list of action buttons is updated based on the logged in user and the report status.
- The **Report Context** displays information about the report, such as Report Name, Alert/Case ID, Report Type, Report Status, Created Date, Created By, Jurisdiction, Last Modified Date, Last Modified By, Report Generated Date, and Report Generated By.
- The **Report tabs** display the related information that needs to be submitted with the regulatory authorities.

Every report generated in the RR can have any of the following statuses:

- Open
- Request for Approval
- Approved
- Closed
- Rejected
- E-File Generated
- Filed

You can view the following tabs in the Report Summary page:

- Reporting Entity Information
- Transaction Details
- Narrative
- Audit

Action Bar

The Action Bar lists actions that can be taken by users on the report. The buttons are displayed based on the user logged in, report status and the mode in which the report is opened (Edit or View). Table 4 details the Actions buttons.

Table 4. Action Bar

Action	Report Status	User	Description
Request for Approval	Open/Rejected	Analyst / Super User	This action is taken once the report details have been updated and it is sent for approval.
Approve for Filing	Request for Approval/ Open	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines that it is ready to be filed.
Close without Filing	Open/Request for Approval	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines it need not be filed.
Reject	Request for Approval/Approved for filing	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines that further corrections are required.
Add Regulatory Report Comment	Open /Request for Approval/Approved for Filing/ Closed without Filing/ Filed	All Users	This action allows users to add comments to the report details to assist with the investigations.

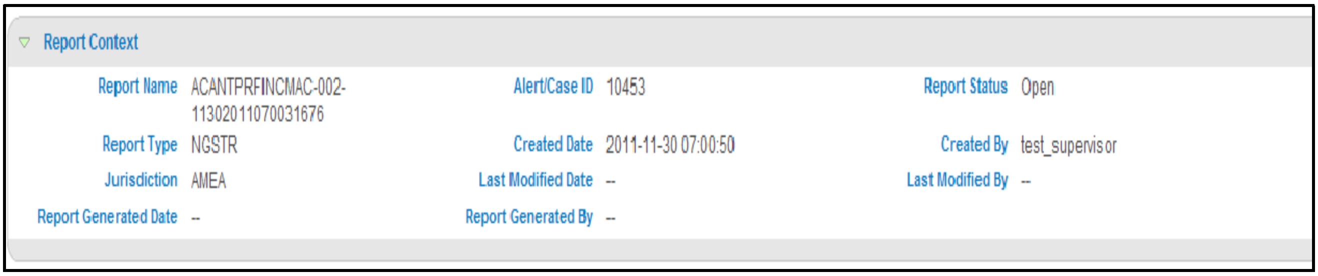
Table 4. Action Bar

Generate E-File	Approved	Super user / Admin	This action is taken once the report is reviewed and the Supervisor/Admin User determines it is ready to be filed
Filed	E-File Generated	Super user / Admin	This action is taken once the report is approved and an e-file is generated.

Report Context

Report Context (Figure 9) displays the following information related to the report:

- Report Name
- Alert/Case ID
- Report Type
- Report Status
- Created Date
- Created By
- Jurisdiction
- Last Modified Date
- Last Modified By
- Report Generated Date
- Report Generated By



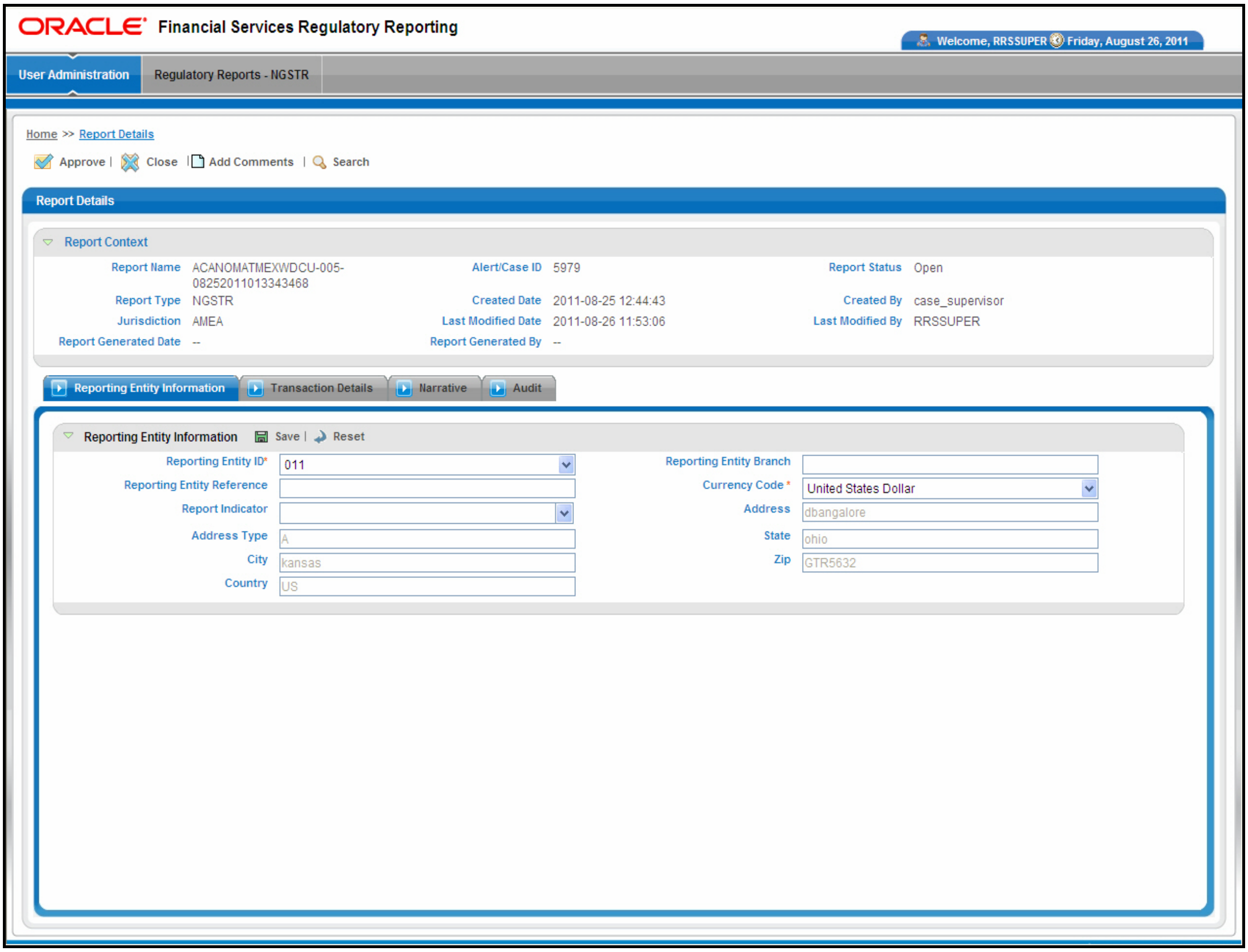
Report Name ACANTPRFINCMAC-002-11302011070031676
Alert/Case ID 10453
Report Status Open
Report Type NGSTR
Created Date 2011-11-30 07:00:50
Created By test_supervisor
Jurisdiction AMEA
Last Modified Date --
Last Modified By --
Report Generated Date --
Report Generated By --

Figure 9. Report Context

Reporting Entity Information Tab

Reporting Entity Information tab is the default tab for Regulatory Report Summary page.

Reporting Entity Information Tab - Edit Mode


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Friday, August 26, 2011
User Administration
Regulatory Reports - NGSTR
Home >> Report Details
Approve | Close | Add Comments | Search
Report Details
Report Context
Reporting Entity Information
Transaction Details
Narrative
Audit
Reporting Entity Information Save | Reset

Report Name ACANOMATMEXWDCU-005-08252011013343468
Alert/Case ID 5979
Report Status Open
Report Type NGSTR
Created Date 2011-08-25 12:44:43
Created By case_supervisor
Jurisdiction AMEA
Last Modified Date 2011-08-26 11:53:06
Last Modified By RRSSUPER
Report Generated Date --
Report Generated By --

Reporting Entity ID* 011
Reporting Entity Branch
Reporting Entity Reference
Currency Code * United States Dollar
Report Indicator
Address dbangalore
Address Type A
State ohio
City kansas
Zip GTR5632
Country US

Figure 10. Reporting Entity Information – Edit Mode

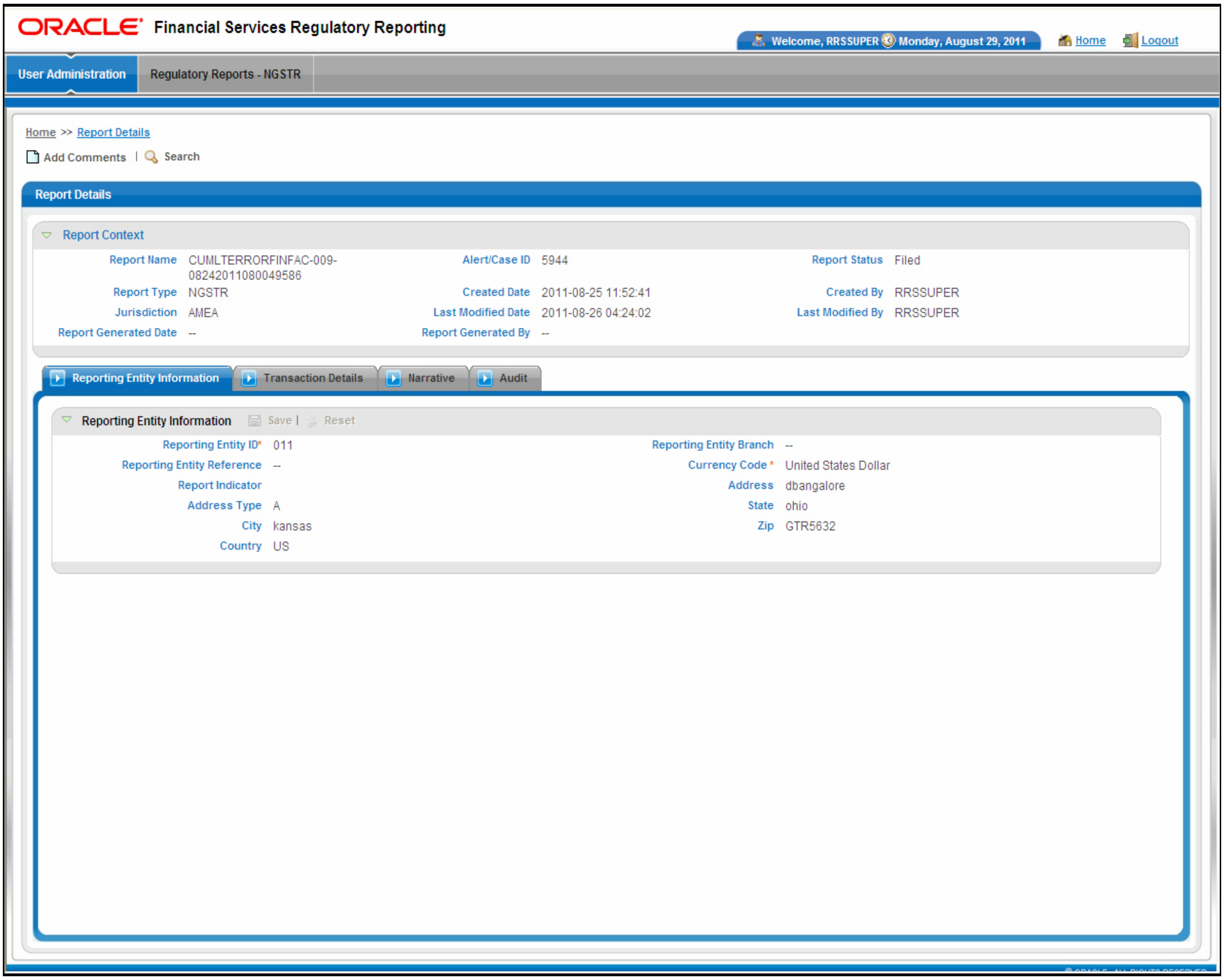
The Reporting Entity Information Container (Figure 10) provides the following details:

- Reporting Entity ID
- Reporting Entity Branch
- Reporting Entity Reference
- Currency Code
- Report Indicator
- Address
- Address Type
- State
- City
- Zip
- Country

Save	Click **Save** to save the details you have entered. The page is refreshed and displays the saved Reporting Entity Information data.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved data of the Reporting Entity Information.

Reporting Entity Information Tab: View Mode

All the information in the Reporting Entity Information Tab - View Mode is in read-only mode. The Save and Reset buttons are hidden (Figure 11)


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER
Monday, August 29, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
Home >> Report Details
Add Comments | Search
Report Details
Report Context
Reporting Entity Information
Transaction Details
Narrative
Audit
Reporting Entity Information
Save | Reset

Report Name CUMLTERRORFINFAC-009-08242011080049586
Alert/Case ID 5944
Report Status Filed
Report Type NGSTR
Created Date 2011-08-25 11:52:41
Created By RRSSUPER
Jurisdiction AMEA
Last Modified Date 2011-08-26 04:24:02
Last Modified By RRSSUPER
Report Generated Date --
Report Generated By --

Reporting Entity ID* 011
Reporting Entity Branch --
Reporting Entity Reference --
Currency Code * United States Dollar
Report Indicator
Address dbangalore
Address Type A
State ohio
City kansas
Zip GTR5632
Country US

Figure 11. Reporting Entity Information - View Mode

Transaction Details Tab (Edit Mode)

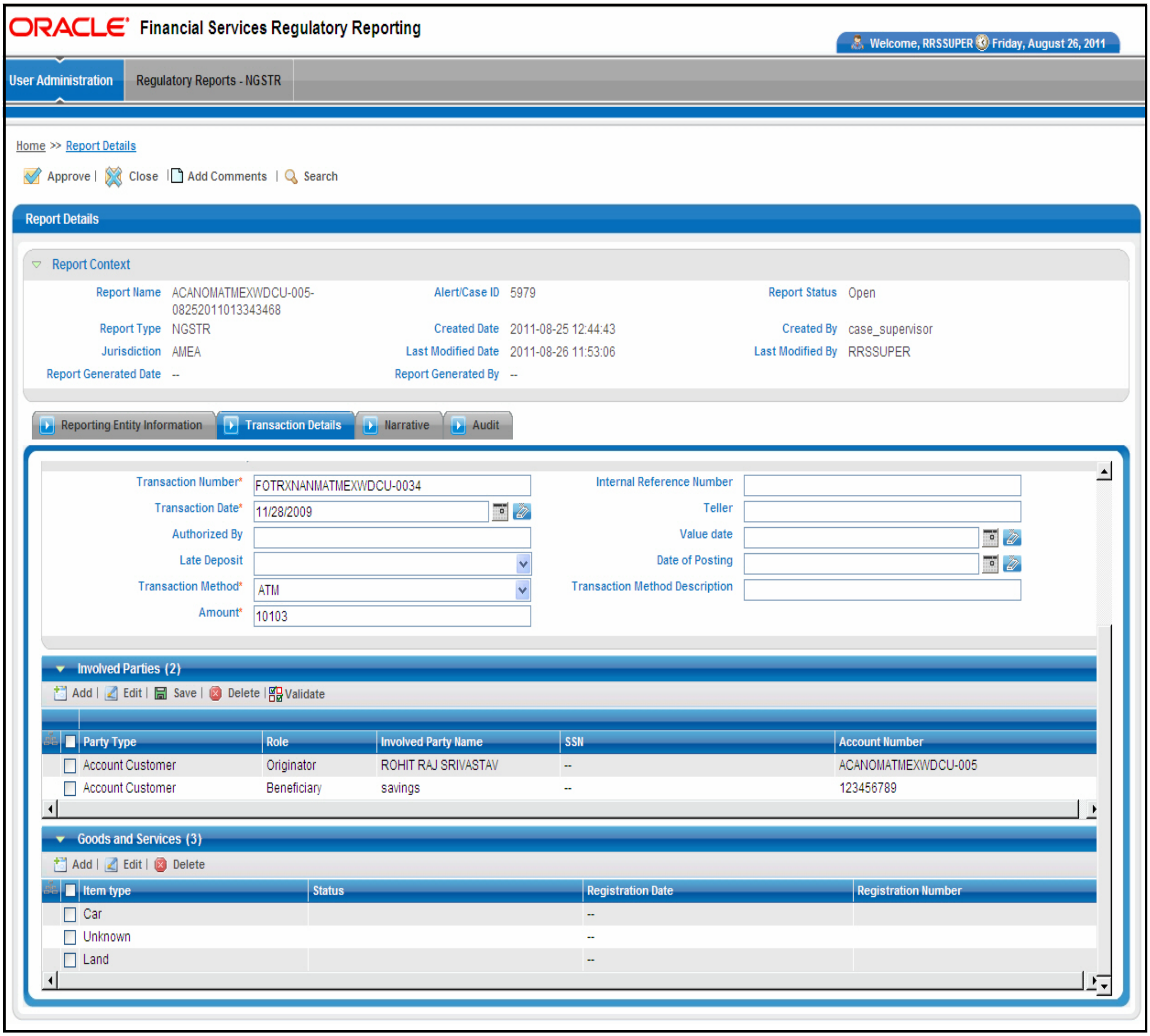
The Transaction Details tab (Figure 12) displays the following information:

- Transactions

Click on the Transaction Number to view all the transactions associated with the report. When you click on Transaction Number, the following details are displayed:

- Transaction Details
- Involved Parties

- Goods and Services


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER
Friday, August 26, 2011
User Administration
Regulatory Reports - NGSTR
Home >> Report Details
Approve | Close | Add Comments | Search
Reporting Entity Information
Transaction Details
Narrative
Audit
Add | Edit | Save | Delete | Validate
Add | Edit | Delete

Report Details

Report Context

Report Name	ACANOMATMEXWDCU-005-08252011013343468	Alert/Case ID	5979	Report Status	Open
Report Type	NGSTR	Created Date	2011-08-25 12:44:43	Created By	case_supervisor
Jurisdiction	AMEA	Last Modified Date	2011-08-26 11:53:06	Last Modified By	RRSSUPER
Report Generated Date	--	Report Generated By	--		

Transaction Number*	FOTRXNANMATMEXWDCU-0034	Internal Reference Number	
Transaction Date*	11/28/2009	Teller	
Authorized By		Value date	
Late Deposit		Date of Posting	
Transaction Method*	ATM	Transaction Method Description	
Amount*	10103		

Involved Parties (2)

☐	Party Type	Role	Involved Party Name	SSN	Account Number
☐	Account Customer	Originator	ROHIT RAJ SRIVASTAV	--	ACANOMATMEXWDCU-005
☐	Account Customer	Beneficiary	savings	--	123456789

Goods and Services (3)

☐	Item type	Status	Registration Date	Registration Number
☐	Car		--	
☐	Unknown		--	
☐	Land		--	

Figure 12. Transaction Details Tab - Edit Mode

Transactions –Edit Mode

The Transactions container (Figure 12) provides the following details:

- Transaction Number
- Transaction Date
- Transaction Method
- Amount
- Value Date

Add	Click **Add** (Figure 12) to add a new Transaction. The page is refreshed and displays Transaction details' container with Involved parties and Goods and Services grid. Enter the information required in transaction details container and click **Save**. User is not allowed to add Involved parties details and Good and services without saving the mandatory information in transaction details container. A new row is added to the existing Transactions grid.
Delete	Select the Transaction you want to remove for a record and click **Delete** to clear the Transaction information (Figure 12).
Validate	When you click **Validate**, a popup message is displayed on the screen giving the information of Transaction number in which the *Mandatory* information is missing.

Transactions –View Mode

All the information in the Transactions - View Mode page is in read-only mode. The Save and Reset buttons are hidden (Figure 36).

Transaction Details –Edit Mode

The Transaction details container displays the following information (Figure 12):

- Transaction Number
- Internal Reference Number
- Transaction Date
- Teller
- Authorized By
- Value date
- Late Deposit
- Date of Posting
- Transaction Method
- Transaction Method Description
- Amount

Save	Click **Save** to save the details you have entered. The page is refreshed and displays the saved data of the Transaction Details.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved data of the Transaction Details.

Transaction Details –View Mode

All the information in the Transaction details - View Mode page is in read-only mode. The Save and Reset buttons are hidden (Figure 36).

Involved Parties- Edit Mode

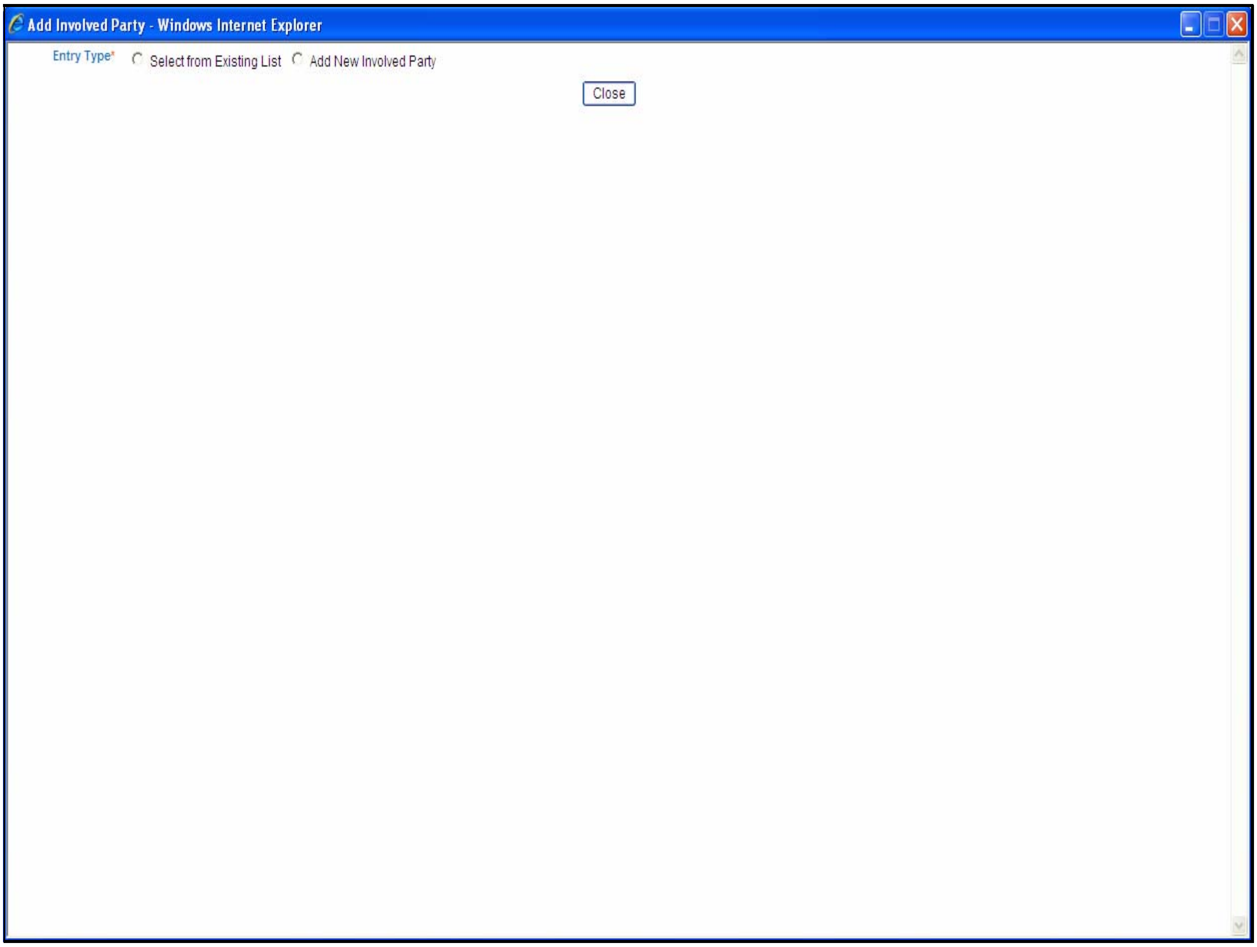
The Involved Parties grid (Figure 12) displays the following information:

- Party Type
- Role
- Involved party Name
- SSN
- Account Number

Add Involved Parties

1. Click **Add** to add a New Involved Party.
2. Select an appropriate option from **Add New Involved Party** or **Select from Existing List** radio buttons from the Add Involved party popup (Figure 13). Click **Go**. The container will refresh based on the selection made

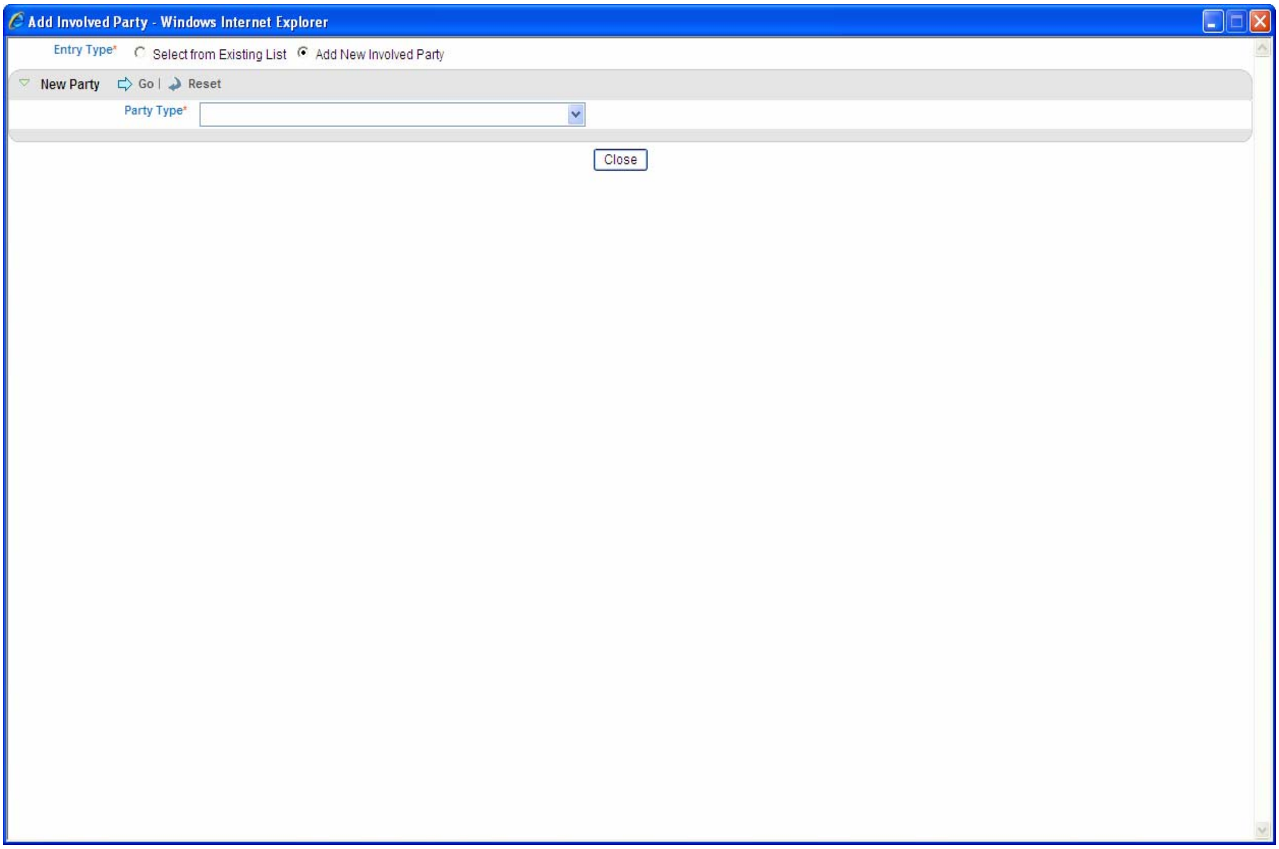
.



Entry Type* ○ Select from Existing List ○ Add New Involved Party

Figure 13. Add Involved Party (a)

3. If you select **Add New Involved Party** radio button, the container will refresh. Select the appropriate party type from the party type dropdown. The container will refresh based on the selection made and displays either Account /Account Customer or Person/Person Customer details page. Enter the required information. Click **Save** to save the new Party details entered (Figure 14).



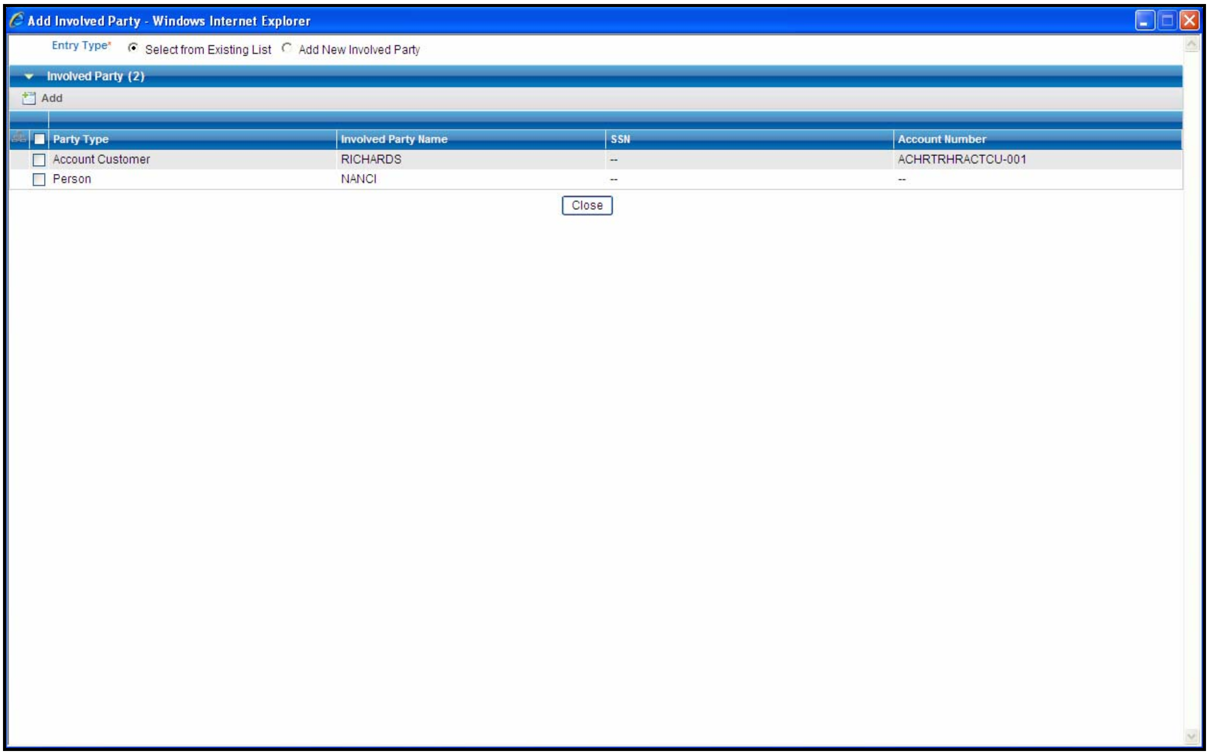
Entry Type* ○ Select from Existing List ● Add New Involved Party

Party Type*

Figure 14. Add Involved Party (b)

4. If you select **Select from Existing List,** the list of involved parties is displayed. Select the checkbox of the appropriate party type from the list of involved parties. Click **Add** (Figure 15).

5. User is not allowed to add more than two parties for a transaction and also the role's of the two parties should be different on transaction, that is the party should be either an *Originator* or a *Beneficiary* but not the same for two parties.



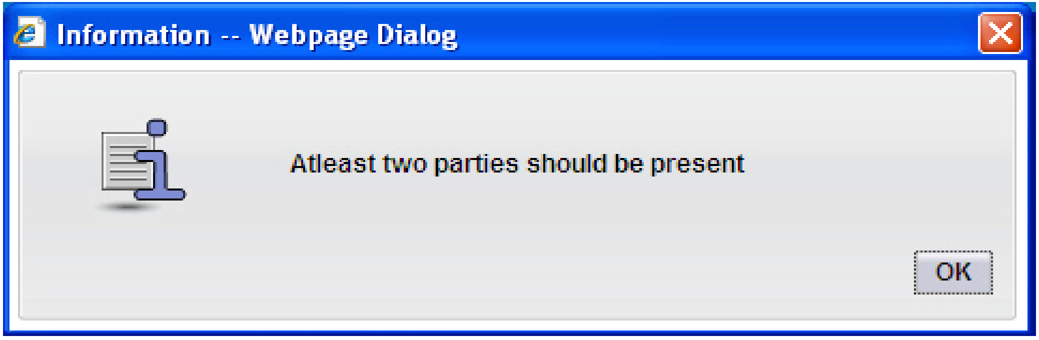
Add Involved Party - Windows Internet Explorer
Entry Type*
● Select from Existing List ○ Add New Involved Party
Involved Party (2)
Add
Close

Party Type	Involved Party Name	SSN	Account Number
☐ Account Customer	RICHARDS	--	ACHRTRHRACTCU-001
☐ Person	NANCI	--	--

Figure 15. Add Involved Party (c)

Edit	Select the record you wish to edit the Involved Parties details and click **Edit**.
Save	Click **Save** to save the details you have entered. The page is refreshed and displays the saved involved parties data.
Delete	Select the Involved parties you want to remove and then click **Delete** to clear the involved parties information.
Validate	When you click **Validate**, a popup message is displayed on the screen giving the information of the involved parties name in which the *Mandatory* information is missing.

Note: If the removal of the party results in no parties being associated to the transaction the system will warn the user as shown in Figure 16.

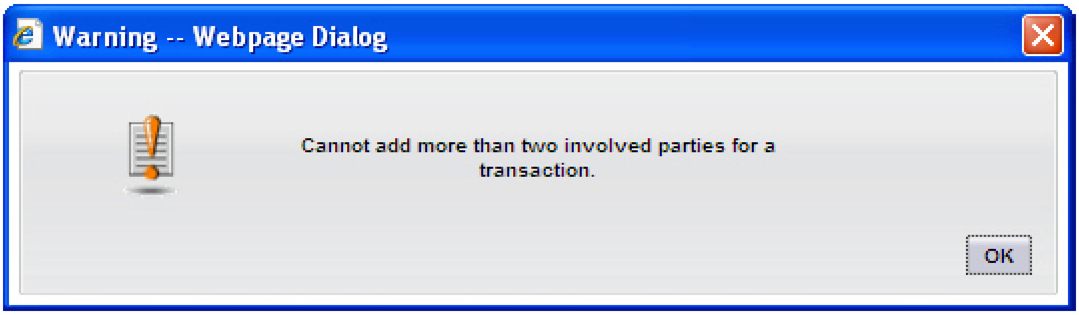


Information -- Webpage Dialog
OK

Atleast two parties should be present

Figure 16. Involved Parties Warning Message (a)

Note: If you click **Add** to add a new involved party and there are already two involved parties in the matrix, a From and a To, the system will warn the user as shown in Figure 17



Cannot add more than two involved parties for a transaction.

Figure 17. Involved Parties Warning Message (b)

Involved Parties –View Mode

All the information in the Involved Parties- View Mode page is in read-only mode. The Save and Reset buttons are hidden (Figure 36).

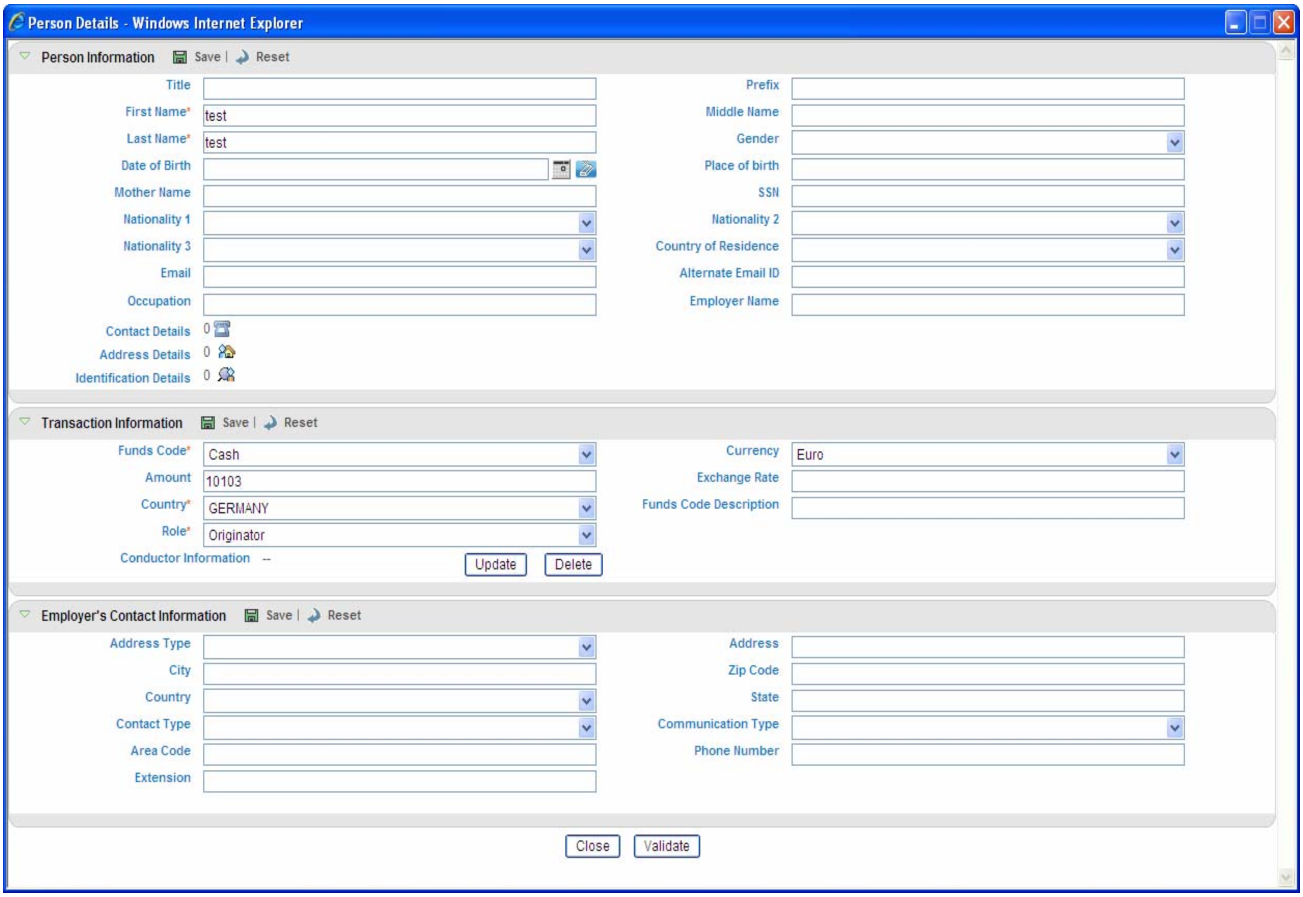
Person/Person Customer Details Page

The template for Person and Person Customer details page is the same. However, mandatory and non mandatory information are different as there are more stringent requirements for information pertaining to internal customers. Refer Figure 18 and Figure 19 for more details.

Person Details Page/Person Customer Details Page (Edit Mode)

This page displays the following details:

- Person information
- Transaction information
- Employer’s contact information


Person Details - Windows Internet Explorer
Save | Reset
Save | Reset
Save | Reset
Update
Delete
Close
Validate

Person Information

Title		Prefix	
First Name*	test	Middle Name	
Last Name*	test	Gender	
Date of Birth		Place of birth	
Mother Name		SSN	
Nationality 1		Nationality 2	
Nationality 3		Country of Residence	
Email		Alternate Email ID	
Occupation		Employer Name	
Contact Details	0		
Address Details	0		
Identification Details	0		

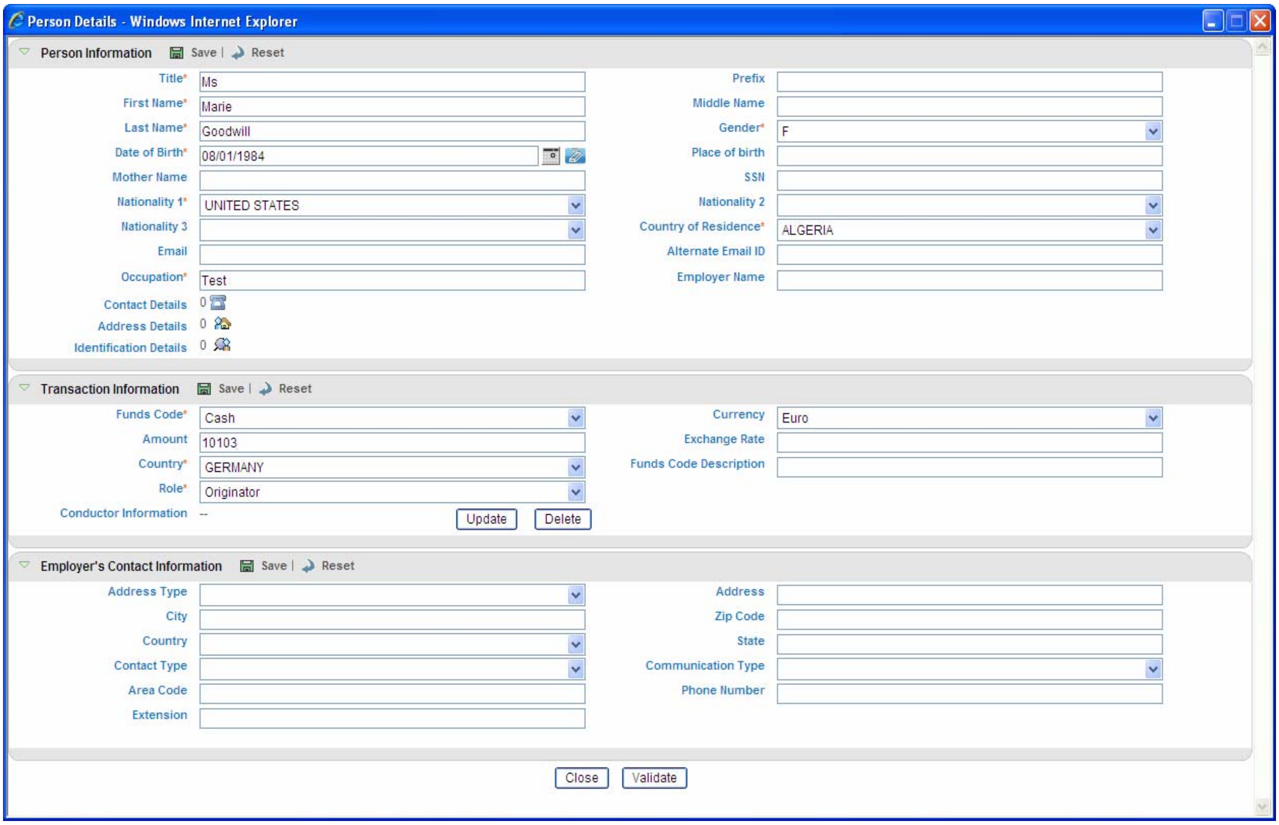
Transaction Information

Funds Code*	Cash	Currency	Euro
Amount	10103	Exchange Rate	
Country*	GERMANY	Funds Code Description	
Role*	Originator		
Conductor Information	--		

Employer's Contact Information

Address Type		Address	
City		Zip Code	
Country		State	
Contact Type		Communication Type	
Area Code		Phone Number	
Extension			

Figure 18. Person Details Page - Edit Mode



Person Information

Title*	Ms	Prefix	
First Name*	Marie	Middle Name	
Last Name*	Goodwill	Gender*	F
Date of Birth*	08/01/1984	Place of birth	
Mother Name		SSN	
Nationality 1*	UNITED STATES	Nationality 2	
Nationality 3		Country of Residence*	ALGERIA
Email		Alternate Email ID	
Occupation*	Test	Employer Name	
Contact Details	0		
Address Details	0		
Identification Details	0		

Transaction Information

Funds Code*	Cash	Currency	Euro
Amount	10103	Exchange Rate	
Country*	GERMANY	Funds Code Description	
Role*	Originator		
Conductor Information	--		

Employer's Contact Information

Address Type		Address	
City		Zip Code	
Country		State	
Contact Type		Communication Type	
Area Code		Phone Number	
Extension			

Figure 19. Person Customer Details Page - Edit Mode

Person Information- Edit Mode

The Person Information container (Figure 18 and Figure 19) displays the following information:

- Title
- Prefix
- First Name
- Middle Name
- Last Name
- Gender
- Date Of Birth
- Place of Birth
- Mother Name
- SSN
- Nationality 1
- Nationality 2
- Nationality 3

- Country of Residence
- Email
- Alternate Email ID
- Occupation
- Employer Name
- Contact Details: Refer section *Add Contact Details,* on page 30 for more information.
- Address Details: Refer section *Add Address Details,* on page 31 for more information.
- Identification Details: Refer section *Add Identification Details,* on page 32 for more information.

Save	Click **Save** to save the details you have entered. The page is refreshed and displays the saved data of Person Information.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved data of Person Information.

Add Contact Details

Click ☎ to view contact details. The Contact Details container displays the following information:

- Contact Type
- Communication Type
- Area Code
- Phone Number
- Extension

Add	Click **Add** to add new contact information. A popup is displayed as shown in Figure 20. Enter the required information and click **Save**.
Save	Click **Save** to save the details entered. The page is refreshed and displays saved Contact Details.
Delete	Select the updated row and click **Delete** to clear the updated contact details information.

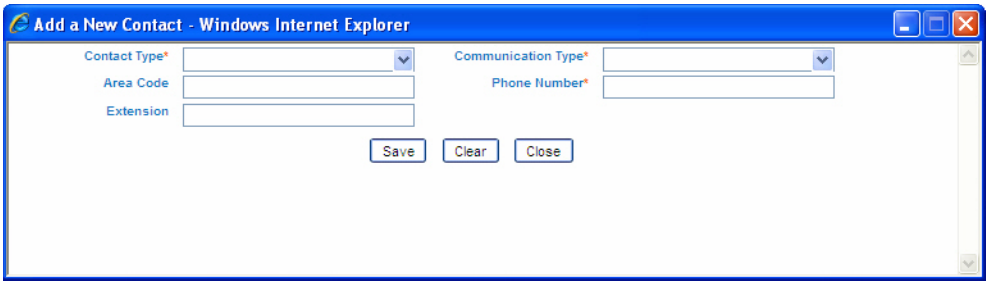

Add a New Contact - Windows Internet Explorer
Contact Type*
Communication Type*
Area Code
Phone Number*
Extension
Save
Clear
Close

Figure 20. Add New Contact Popup

Add Address Details

Click to view address details. The address details container displays the following information:

- Address Type
- Address
- City
- Zip Code
- Country
- State

Add	Click **Add** to add new address details. A popup is displayed as shown in Figure 21. Enter the required information and click Save
Save	Click **Save** to save the address details entered. The page is refreshed and displays saved address details data.
Delete	Select the updated row and click **Delete** to clear the updated address details information.

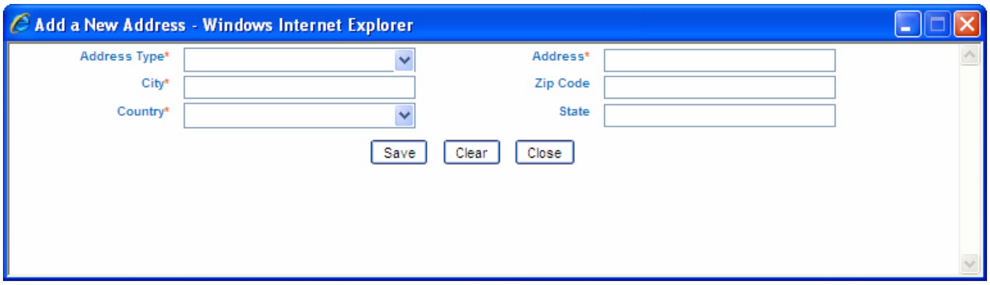

Add a New Address - Windows Internet Explorer
Address Type*
Address*
City*
Zip Code
Country*
State
Save
Clear
Close

Figure 21. Add New Address Popup

Add Identification Details

Click to view identification details. The identification details container displays the following information:

- Identification Type
- Identification Number
- Issue Date
- Expiry Date
- Issuing Authority

Add	Click **Add** to add new identification details. A popup is displayed as shown in Figure 22. Enter the required information and click **Save**
Save	Click **Save** to save the identification details entered. The page is refreshed and displays the saved identification details.
Delete	Select the updated row and click **Delete** to clear the updated identification details information.

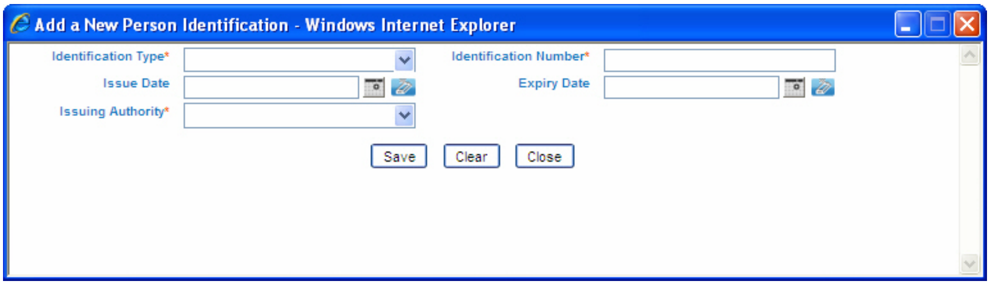

Add a New Person Identification - Windows Internet Explorer
Identification Type*
Identification Number*
Issue Date
Expiry Date
Issuing Authority*
Save
Clear
Close

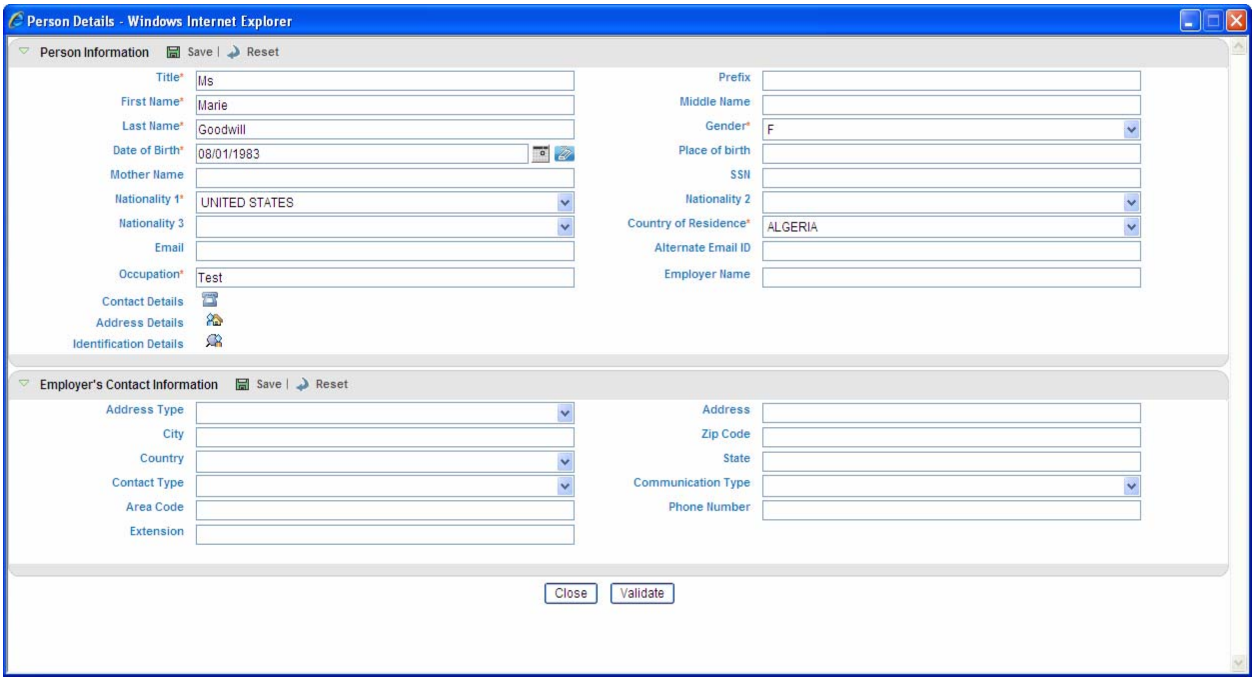
Figure 22. Add New Person Identification Popup

Transaction Information-Edit Mode

The Transaction Information container (Figure 18 and Figure 19) displays the following information:

- Funds Code
- Currency
- Amount
- Exchange Rate
- Country
- Funds Code Description
- Role
- Conductor Information

Save	Click **Save** to save the details you have entered. The page is refreshed and displays saved transaction information data.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved transaction information data.
Update	Click **Update** to update conductor information. A page is displayed as shown in Figure 23. Enter the required information. Click **Save**.
Delete	Click **Delete** to delete the conductor information.


Person Details - Windows Internet Explorer
Person Information
Save | Reset
Prefix
Middle Name
Place of birth
Mother Name
SSN
Nationality 2
Nationality 3
Email
Alternate Email ID
Employer Name
Contact Details
Address Details
Identification Details
Employer's Contact Information
Save | Reset
Address Type
Address
City
Zip Code
Country
State
Contact Type
Communication Type
Area Code
Phone Number
Extension
Close
Validate

Title* Ms
First Name* Marie
Last Name* Goodwill
Gender* F
Date of Birth* 08/01/1983
Nationality 1* UNITED STATES
Country of Residence* ALGERIA
Occupation* Test

Figure 23. Conductor Details Page

Employer's Contact Information-Edit Mode

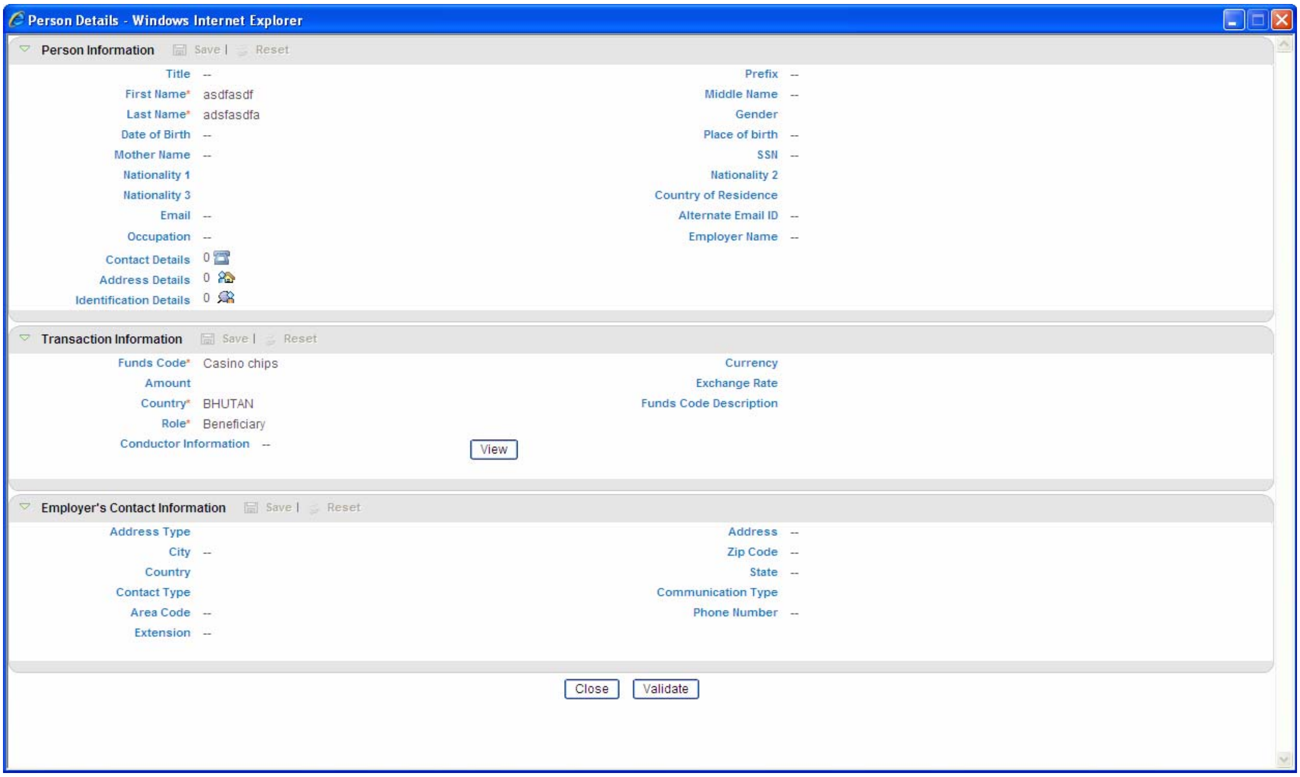
The Employer Contact Information Container (Figure 18 and Figure 19) displays the following information:

- Address Type
- Address
- City
- Zip Code
- Country
- State
- Contact Type
- Communication type
- Area Code
- Phone Number
- Extension

Save	Click **Save** to save the details you have entered. The page is refreshed and displays saved employer contact details information.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved employer contact details data.

Person/Person Customer Details Page- View Mode

All the details including Person Information, Transaction Information, and Employer’s Contact Details in the Person/Person Customer Details Page - View Mode is in read-only mode. The Save and Reset buttons are hidden (Figure 24 and Figure 25).



Person Information

Title	--	Prefix	--
First Name*	asdfasdf	Middle Name	--
Last Name*	adsfasdfa	Gender	
Date of Birth	--	Place of birth	--
Mother Name	--	SSN	--
Nationality 1		Nationality 2	
Nationality 3		Country of Residence	
Email	--	Alternate Email ID	--
Occupation	--	Employer Name	--
Contact Details	0		
Address Details	0		
Identification Details	0		

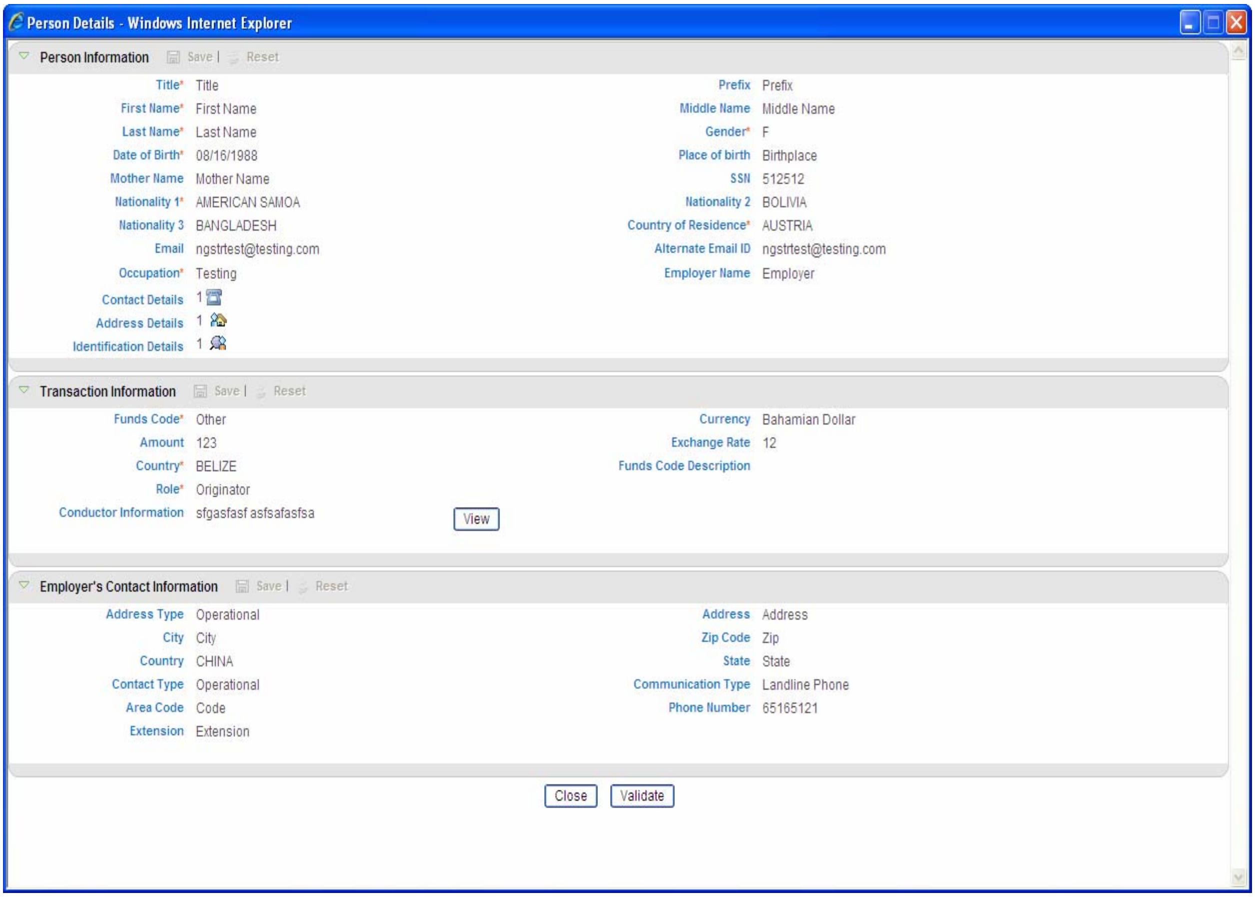
Transaction Information

Funds Code*	Casino chips	Currency	
Amount		Exchange Rate	
Country*	BHUTAN	Funds Code Description	
Role*	Beneficiary		
Conductor Information	--		

Employer's Contact Information

Address Type		Address	--
City	--	Zip Code	--
Country		State	--
Contact Type		Communication Type	
Area Code	--	Phone Number	--
Extension	--		

Figure 24. Involved Parties Person Page-View Mode



Person Information

Title*	Title	Prefix	Prefix
First Name*	First Name	Middle Name	Middle Name
Last Name*	Last Name	Gender*	F
Date of Birth*	08/16/1988	Place of birth	Birthplace
Mother Name	Mother Name	SSN	512512
Nationality 1*	AMERICAN SAMOA	Nationality 2	BOLIVIA
Nationality 3	BANGLADESH	Country of Residence*	AUSTRIA
Email	ngstrtest@testing.com	Alternate Email ID	ngstrtest@testing.com
Occupation*	Testing	Employer Name	Employer
Contact Details	1		
Address Details	1		
Identification Details	1		

Transaction Information

Funds Code*	Other	Currency	Bahamian Dollar
Amount	123	Exchange Rate	12
Country*	BELIZE	Funds Code Description	
Role*	Originator		
Conductor Information	sfgasfasf asfsafasfsa		

Employer's Contact Information

Address Type	Operational	Address	Address
City	City	Zip Code	Zip
Country	CHINA	State	State
Contact Type	Operational	Communication Type	Landline Phone
Area Code	Code	Phone Number	65165121
Extension	Extension		

Figure 25. Involved Parties Person Customer Page-View Mode

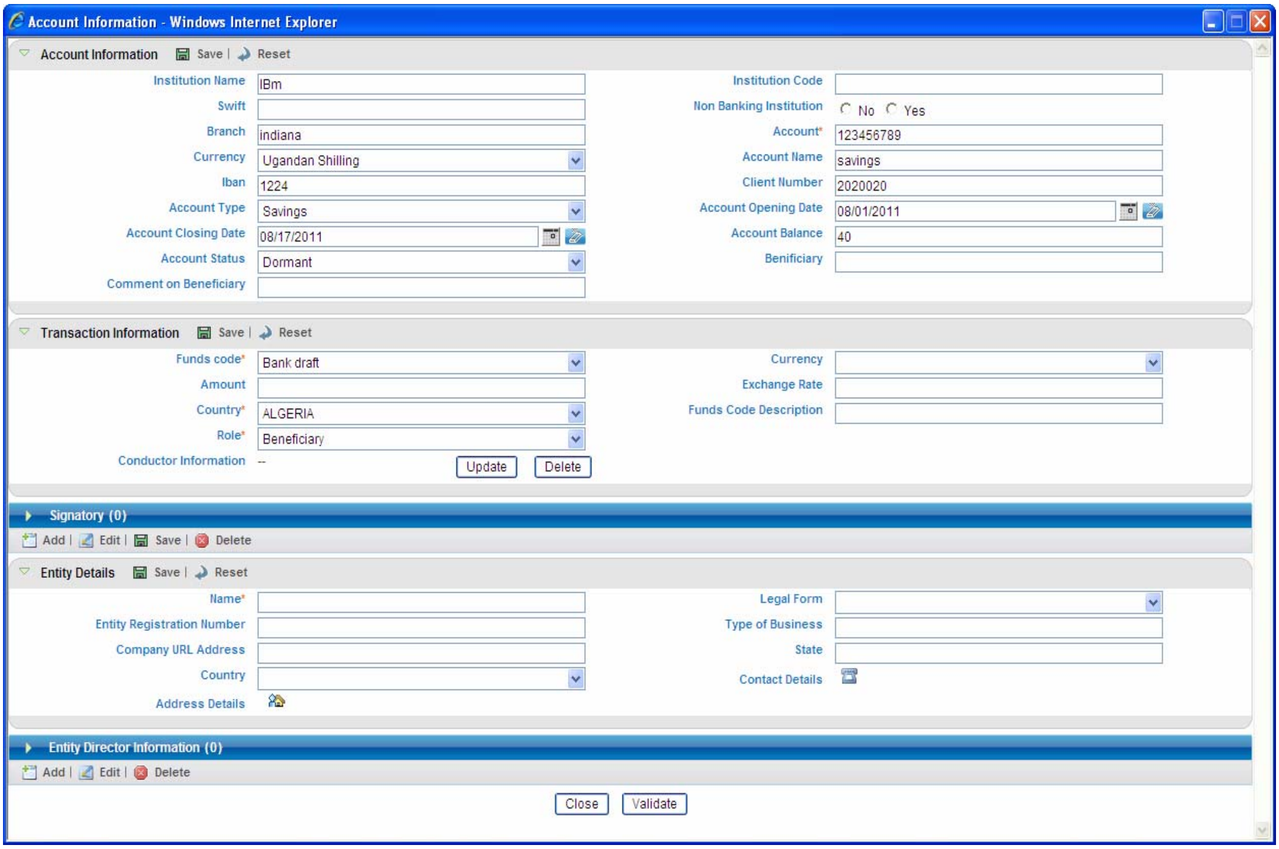
Account /Account Customer Details Page

The template for Account /Account Customer Details Page (Figure 26 and Figure 27) is the same. However, mandatory and non mandatory information are different as there are more stringent requirements for information pertaining to internal customers.

Account /Account Customer Details Page- Edit Mode

This page displays the following details:

- Account Information
- Transaction Information
- Signatory
- Entity Details
- Entity Director Information


Account Information - Windows Internet Explorer
Save | Reset
Transaction Information
Save | Reset
Update
Delete
Signatory (0)
Add | Edit | Save | Delete
Entity Details
Save | Reset
Entity Director Information (0)
Add | Edit | Delete
Close
Validate

Account Information

Institution Name: IBm
Institution Code:
Swift:
Non Banking Institution: ○ No ○ Yes
Branch: indiana
Account*: 123456789
Currency: Ugandan Shilling
Account Name: savings
Iban: 1224
Client Number: 2020020
Account Type: Savings
Account Opening Date: 08/01/2011
Account Closing Date: 08/17/2011
Account Balance: 40
Account Status: Dormant
Benificiary:
Comment on Beneficiary:

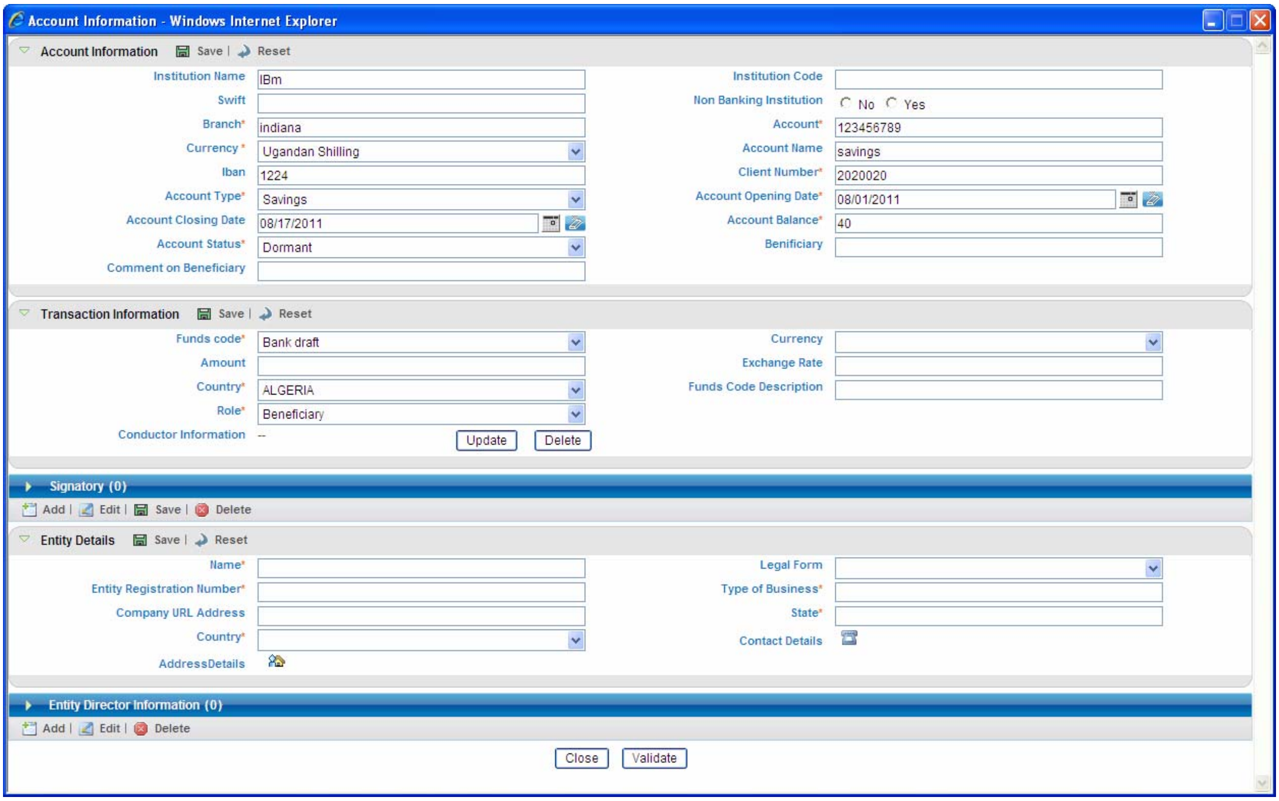
Transaction Information

Funds code*: Bank draft
Currency:
Amount:
Exchange Rate:
Country*: ALGERIA
Funds Code Description:
Role*: Beneficiary
Conductor Information: --

Entity Details

Name*:
Legal Form:
Entity Registration Number:
Type of Business:
Company URL Address:
State:
Country:
Contact Details: ☎
Address Details:

Figure 26. Involved Parties Account Page- Edit Mode


Account Information - Windows Internet Explorer
Account Information
Save | Reset
Institution Code
Swift
Comment on Beneficiary
Benificiary
Transaction Information
Save | Reset
Amount
Currency
Exchange Rate
Funds Code Description
Update
Delete
Signatory (0)
Add | Edit | Save | Delete
Entity Details
Save | Reset
Name*
Entity Registration Number*
Company URL Address
Country*
AddressDetails
Legal Form
Type of Business*
State*
Contact Details
Entity Director Information (0)
Add | Edit | Delete
Close
Validate

Institution Name: IBm
Non Banking Institution: ○ No ○ Yes
Branch*: indiana
Account*: 123456789
Currency*: Ugandan Shilling
Account Name: savings
Iban: 1224
Client Number*: 2020020
Account Type*: Savings
Account Opening Date*: 08/01/2011
Account Closing Date: 08/17/2011
Account Balance*: 40
Account Status*: Dormant

Funds code*: Bank draft
Country*: ALGERIA
Role*: Beneficiary
Conductor Information: --

Figure 27. Involved Parties Account Customer Page- Edit Mode

Account Information-Edit Mode

The Account Information container displays the following information:

- Institution Name
- Institution Code
- Swift
- Non-Banking Institution
- Branch
- Account
- Currency
- Account Name
- Iban
- Client Number
- Account Type
- Account Opening Date
- Account Closing Date

- Account Balance
- Account Status
- Beneficiary
- Comment on Beneficiary

Save	Click **Save** to save the details you have entered. The page is refreshed and displays the saved account information data.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved account information data.

Transaction Information-Edit Mode

The Transaction Information container displays the following information:

- Funds Code
- Currency
- Amount ((Activity Currency)
- Exchange Rate
- Country
- Funds Code Description
- Role
- Conductor Information

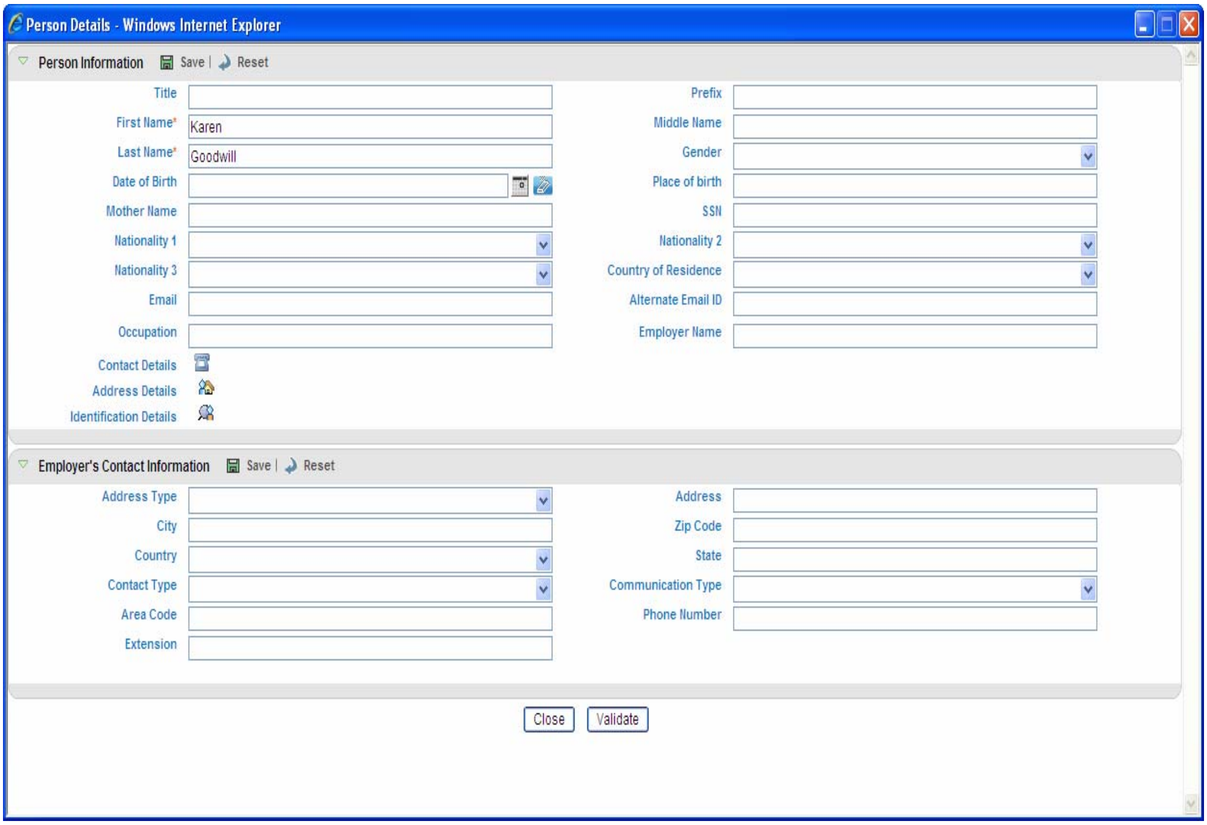
Save	Click **Save** to save the details you have entered. The page is refreshed and displays the saved Transaction Information data. .
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved Transaction Information data.

Signatory

The Signatory Container displays the following information:

- Name
- Is Primary

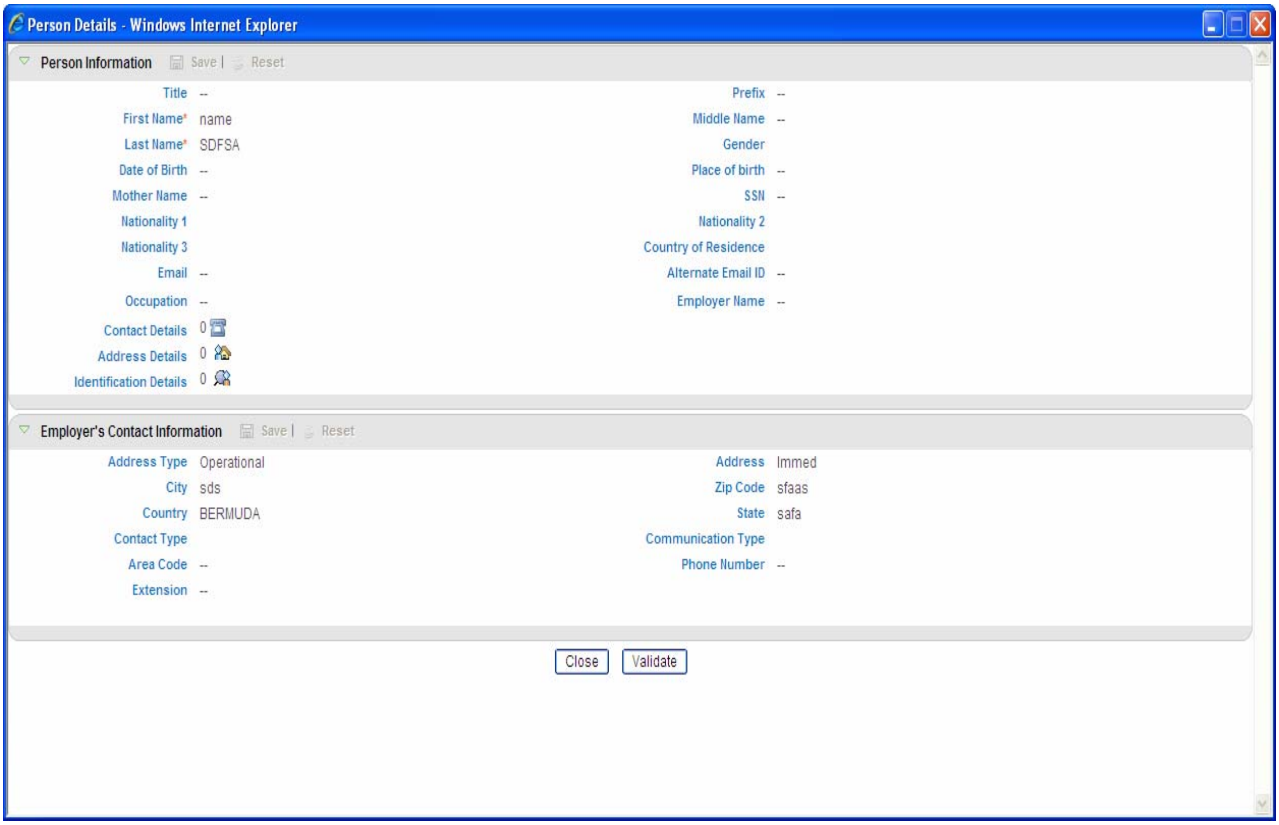
Add	Select the record you wish to add signatory details for by selecting the corresponding row. Click **Add**. A popup page is displayed as shown in Figure 28. Enter the details and click **Save**.
Edit	Click **Edit** button to edit a signatory. Select the record you wish to edit signatory details for by selecting the corresponding row. Click **Edit**. Enter the details and click **Save**. The page is refreshed and displays the saved signatory details.
Save	Click **Save** to save the signatory details entered. The page is refreshed and displays saved data of signatory details.
Delete	Select the updated row and click **Delete** to clear the updated signatory details.


Person Details - Windows Internet Explorer
Person Information
Save
Reset
Title
Prefix
Middle Name
Date of Birth
Gender
Place of birth
Mother Name
SSN
Nationality 1
Nationality 2
Nationality 3
Country of Residence
Email
Alternate Email ID
Occupation
Employer Name
Contact Details
Address Details
Identification Details
Employer's Contact Information
Save
Reset
Address Type
Address
City
Zip Code
Country
State
Contact Type
Communication Type
Area Code
Phone Number
Extension
Close
Validate

First Name* Karen

Last Name* Goodwill

Figure 28. Add Signatory Page - Edit Mode



Person Information

Title	--	Prefix	--
First Name*	name	Middle Name	--
Last Name*	SDFSA	Gender	
Date of Birth	--	Place of birth	--
Mother Name	--	SSN	--
Nationality 1		Nationality 2	
Nationality 3		Country of Residence	
Email	--	Alternate Email ID	--
Occupation	--	Employer Name	--
Contact Details	0		
Address Details	0		
Identification Details	0		

Employer's Contact Information

Address Type	Operational	Address	Immed
City	sds	Zip Code	sfaas
Country	BERMUDA	State	safa
Contact Type		Communication Type	
Area Code	--	Phone Number	--
Extension	--		

Figure 29. Signatory Page - View Mode

Entity Details-Edit Mode

The Entity Details container displays the following information: Refer Figure 26 and Figure 27.

- Name
- Legal Form
- Entity Registration Number
- Type of Business
- Company URL Address
- State
- Country
- Contact details
- Address details

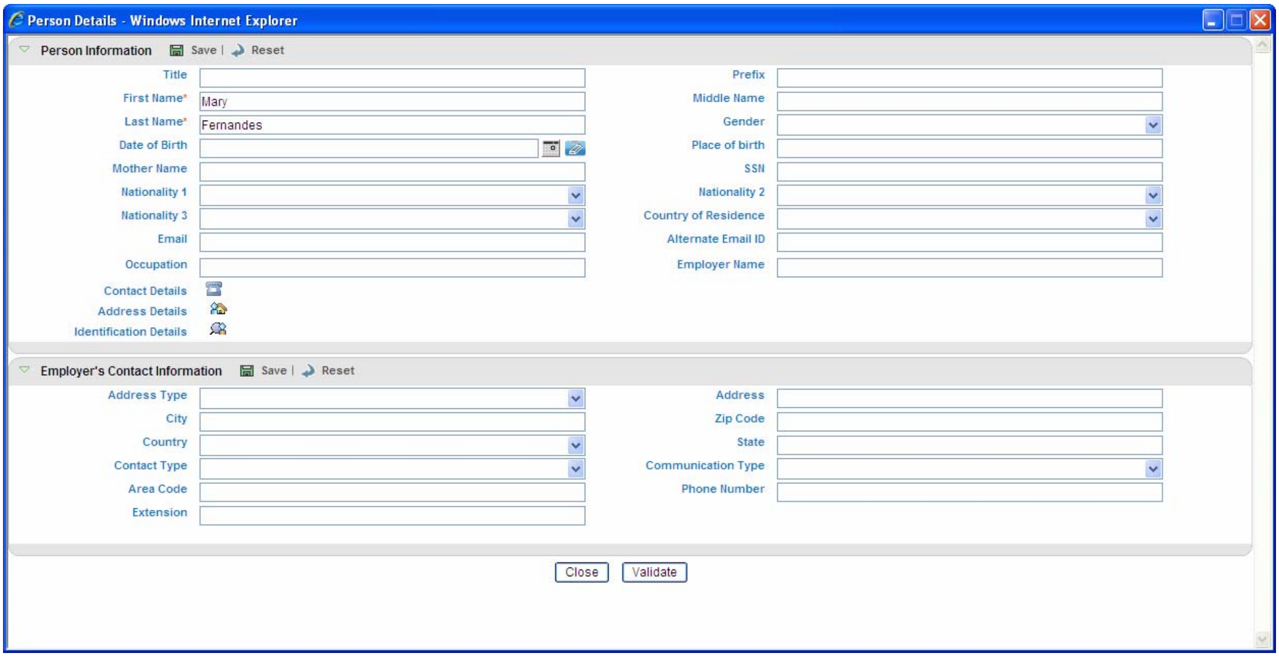
Save	Click **Save** to save the details you have entered. The page is refreshed and displays the saved entity details information.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved entity details information.

Entity Director Information-Edit Mode

The Entity Director Information container displays the following information:

- Entity Name
- Occupation

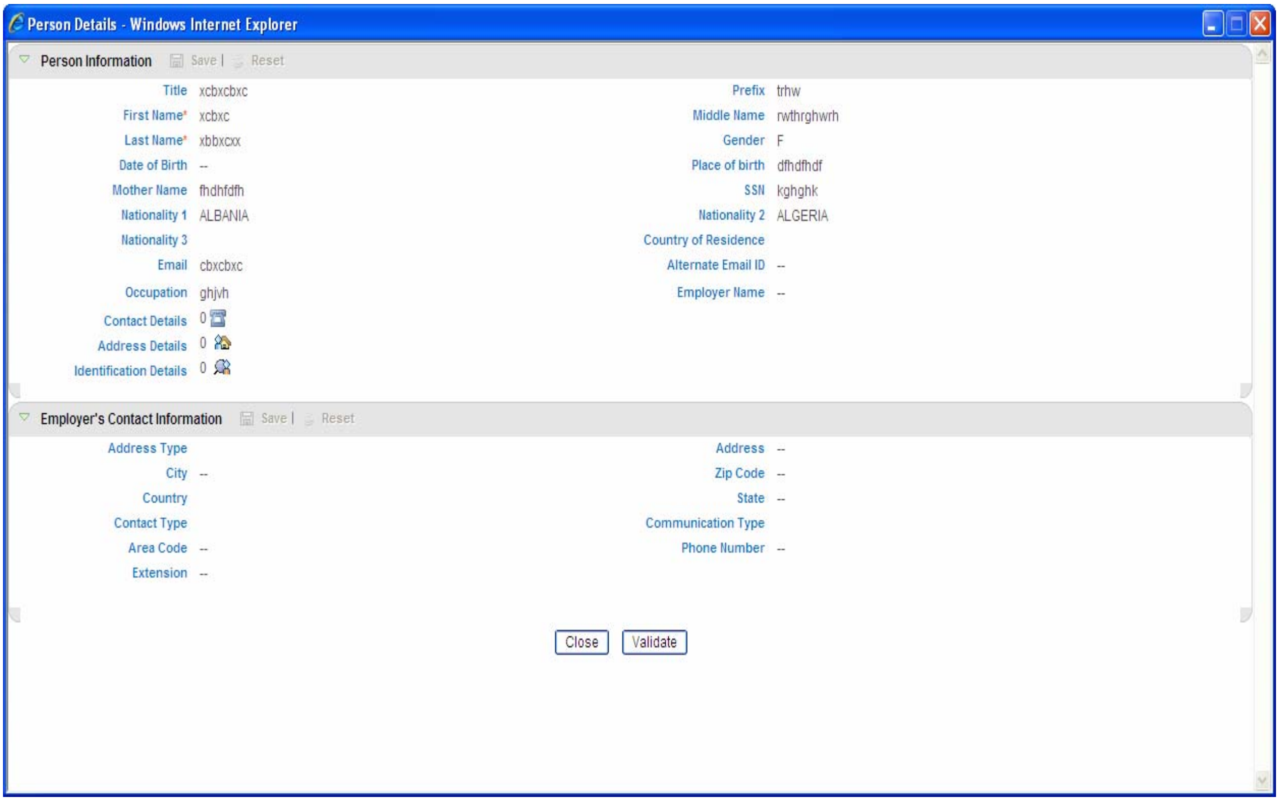
Add	Click **Add** to add entity director information. Select the record you wish to add entity director information for by selecting the corresponding row. Click **Add**. A popup page is displayed as shown in Figure 30. Enter the details and click **Save**.
Edit	Click **Edit** to edit entity director information. Select the record you wish to edit entity director information for by selecting the corresponding row. Click **Edit**. Enter the details and click **Save**. The page is refreshed and displays the saved entity director information.
Delete	Select the updated row and click **Delete** to clear the updated entity director information.


Person Details - Windows Internet Explorer
Person Information
Save
Reset
Title
Prefix
Middle Name
Gender
Date of Birth
Place of birth
Mother Name
SSN
Nationality 1
Nationality 2
Nationality 3
Country of Residence
Email
Alternate Email ID
Occupation
Employer Name
Contact Details
Address Details
Identification Details
Employer's Contact Information
Save
Reset
Address Type
Address
City
Zip Code
Country
State
Contact Type
Communication Type
Area Code
Phone Number
Extension
Close
Validate

First Name* Mary

Last Name* Fernandes

Figure 30. Add Entity Director Information - Edit Mode


Person Details - Windows Internet Explorer
Person Information
Save | Reset
Employer's Contact Information
Save | Reset
Close
Validate

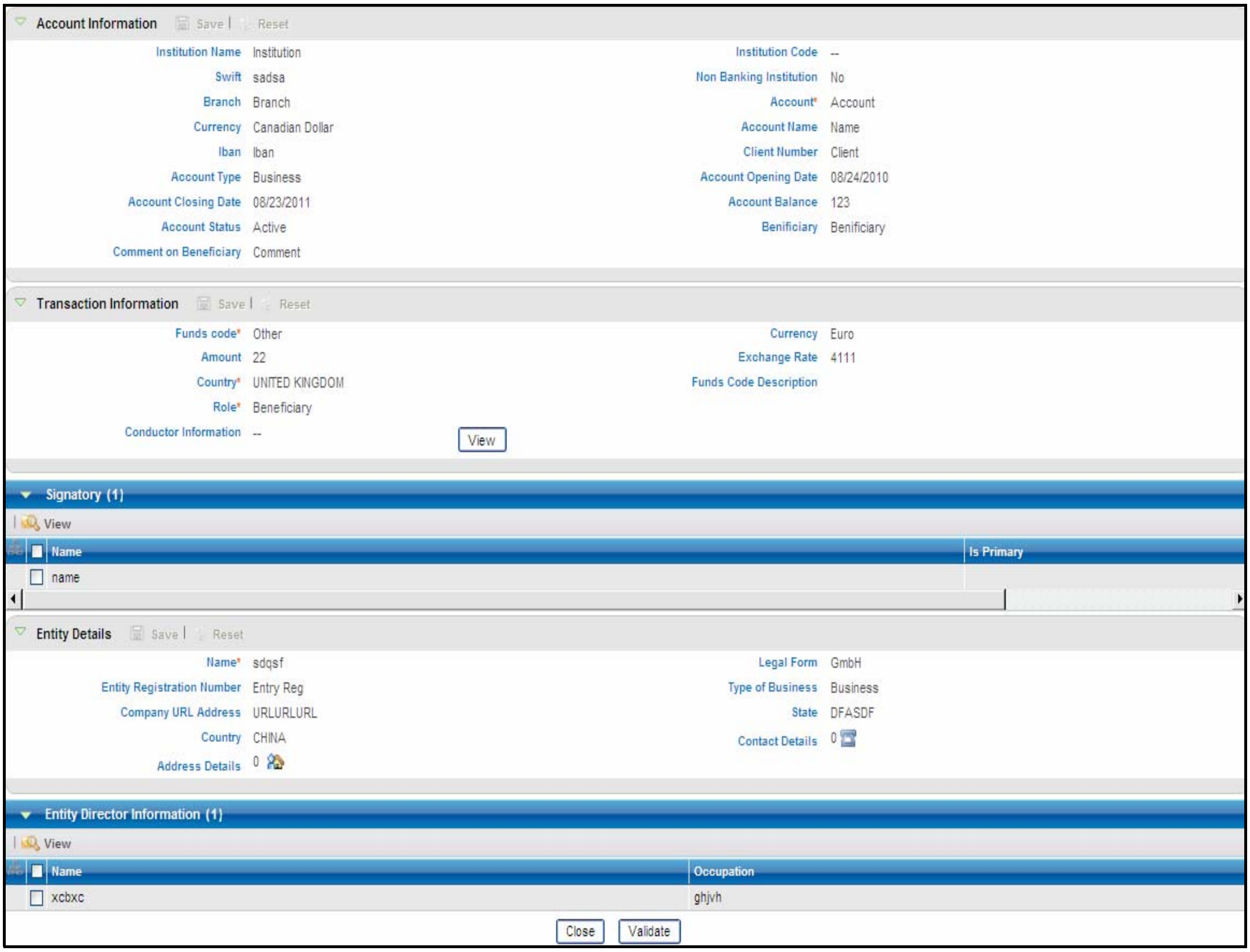
Title	xcbxcbxc	Prefix	trhw
First Name*	xcbxc	Middle Name	rwthrghwrh
Last Name*	xbbxcxx	Gender	F
Date of Birth	--	Place of birth	dfhdfhdf
Mother Name	fhdhfdfh	SSN	kghghk
Nationality 1	ALBANIA	Nationality 2	ALGERIA
Nationality 3		Country of Residence	
Email	cbxcbxc	Alternate Email ID	--
Occupation	ghjvh	Employer Name	--
Contact Details	0		
Address Details	0		
Identification Details	0		

Address Type		Address	--
City	--	Zip Code	--
Country		State	--
Contact Type		Communication Type	
Area Code	--	Phone Number	--
Extension	--		

Figure 31. Add Entity Director Information - View Mode

Account / Account Customer Details Page – View Mode

All the information in the Account Internal/External Details Page - View Mode that is Account Information, Transaction Information, Signatory, Entity Details, and Entity Director Information is in read-only mode. The Save and Reset buttons are hidden (Figure 32 and Figure 33).



Account Information

Institution Name	Institution	Institution Code	--
Swift	sadsa	Non Banking Institution	No
Branch	Branch	Account*	Account
Currency	Canadian Dollar	Account Name	Name
Iban	Iban	Client Number	Client
Account Type	Business	Account Opening Date	08/24/2010
Account Closing Date	08/23/2011	Account Balance	123
Account Status	Active	Benificiary	Benificiary
Comment on Beneficiary	Comment		

Transaction Information

Funds code*	Other	Currency	Euro
Amount	22	Exchange Rate	4111
Country*	UNITED KINGDOM	Funds Code Description	
Role*	Beneficiary		
Conductor Information	--		

Signatory (1)

☐ Name	Is Primary
☐ name	

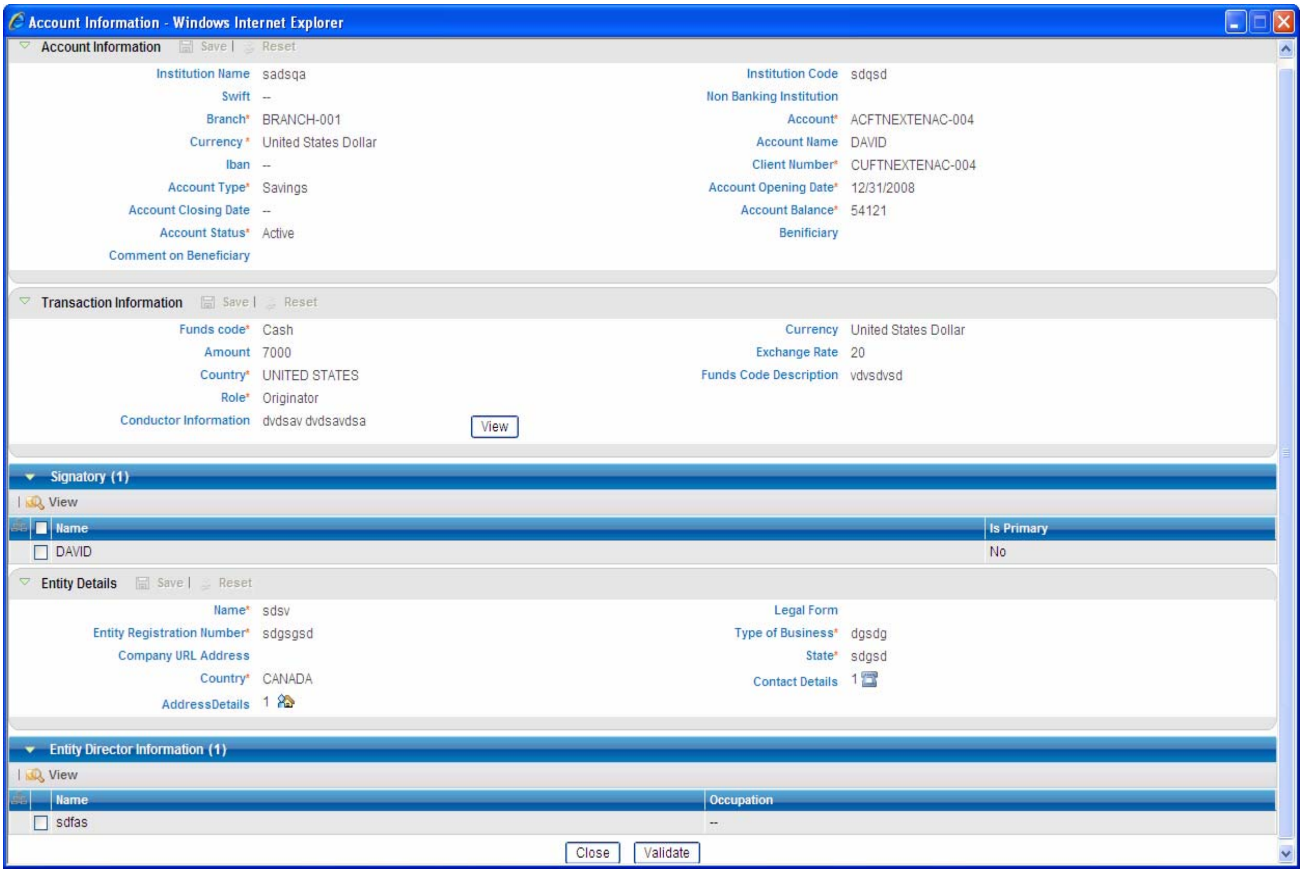
Entity Details

Name*	sdqsf	Legal Form	GmbH
Entity Registration Number	Entry Reg	Type of Business	Business
Company URL Address	URLURLURL	State	DFASDF
Country	CHINA	Contact Details	0
Address Details	0		

Entity Director Information (1)

☐ Name	Occupation
☐ xcbxc	ghjvh

Figure 32. Involved Parties Account Page - View Mode



Account Information

Institution Name	sadsqa	Institution Code	sdqsd
Swift	--	Non Banking Institution	
Branch*	BRANCH-001	Account*	ACFTNEXTENAC-004
Currency *	United States Dollar	Account Name	DAVID
Iban	--	Client Number*	CUFTNEXTENAC-004
Account Type*	Savings	Account Opening Date*	12/31/2008
Account Closing Date	--	Account Balance*	54121
Account Status*	Active	Benificiary	
Comment on Beneficiary			

Transaction Information

Funds code*	Cash	Currency	United States Dollar
Amount	7000	Exchange Rate	20
Country*	UNITED STATES	Funds Code Description	vdvsdvsd
Role*	Originator		
Conductor Information	dvdsav dvdsavdsa		

Signatory (1)

Name	Is Primary
☐ DAVID	No

Entity Details

Name*	sdsv	Legal Form	
Entity Registration Number*	sdgsgsd	Type of Business*	dgsdg
Company URL Address		State*	sdgsd
Country*	CANADA	Contact Details	1
AddressDetails	1		

Entity Director Information (1)

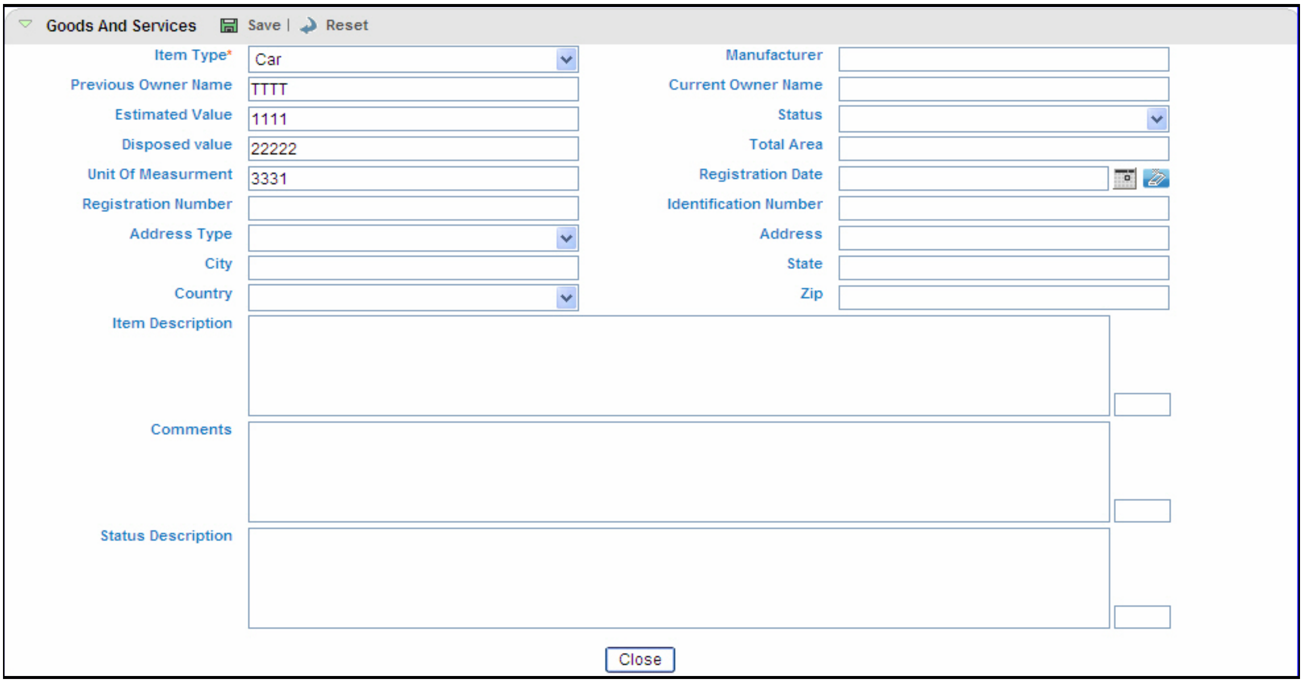
Name	Occupation
☐ sdfas	--

Figure 33. Involved Parties Account Customer Page - View Mode

Goods and Services

The RR application will also capture the Goods and Services linked to the transaction. The Goods and Services template have the details related to the underlying item which is a part of the transaction.

Goods and Services Information Page - Edit Mode



Item Type*	Car	Manufacturer	
Previous Owner Name	TTTT	Current Owner Name	
Estimated Value	1111	Status	
Disposed value	22222	Total Area	
Unit Of Measurment	3331	Registration Date	
Registration Number		Identification Number	
Address Type		Address	
City		State	
Country		Zip	
Item Description			
Comments			
Status Description			

Figure 34. Goods and Services Page - Edit Mode

Goods and Services Information Page displays the following information:

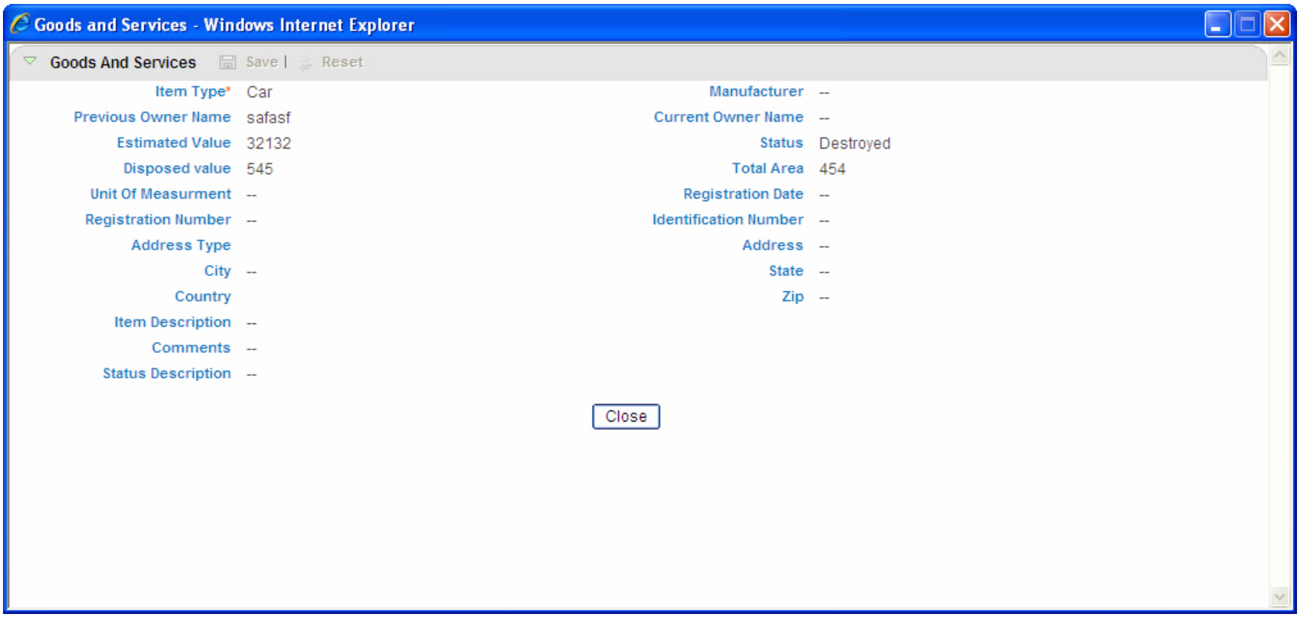
- Item Type
- Manufacturer
- Previous Owner Name
- Current Owner Name
- Estimated Value
- Status
- Disposed value
- Total Area
- Unit Of Measurement
- Registration Date
- Registration Number
- Identification Number
- Address Type
- Address
- City
- State

- Country
- Zip
- Item Description
- Comments
- Status Description

Save	Click **Save** to save the details you have entered. The page is refreshed and displays the saved goods and services information.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved goods and services information.

Goods and Services Information Page-View Mode

All the information in the Goods and Services Information Page - View Mode is in read-only mode. The Save and Reset buttons are hidden (Figure 35).

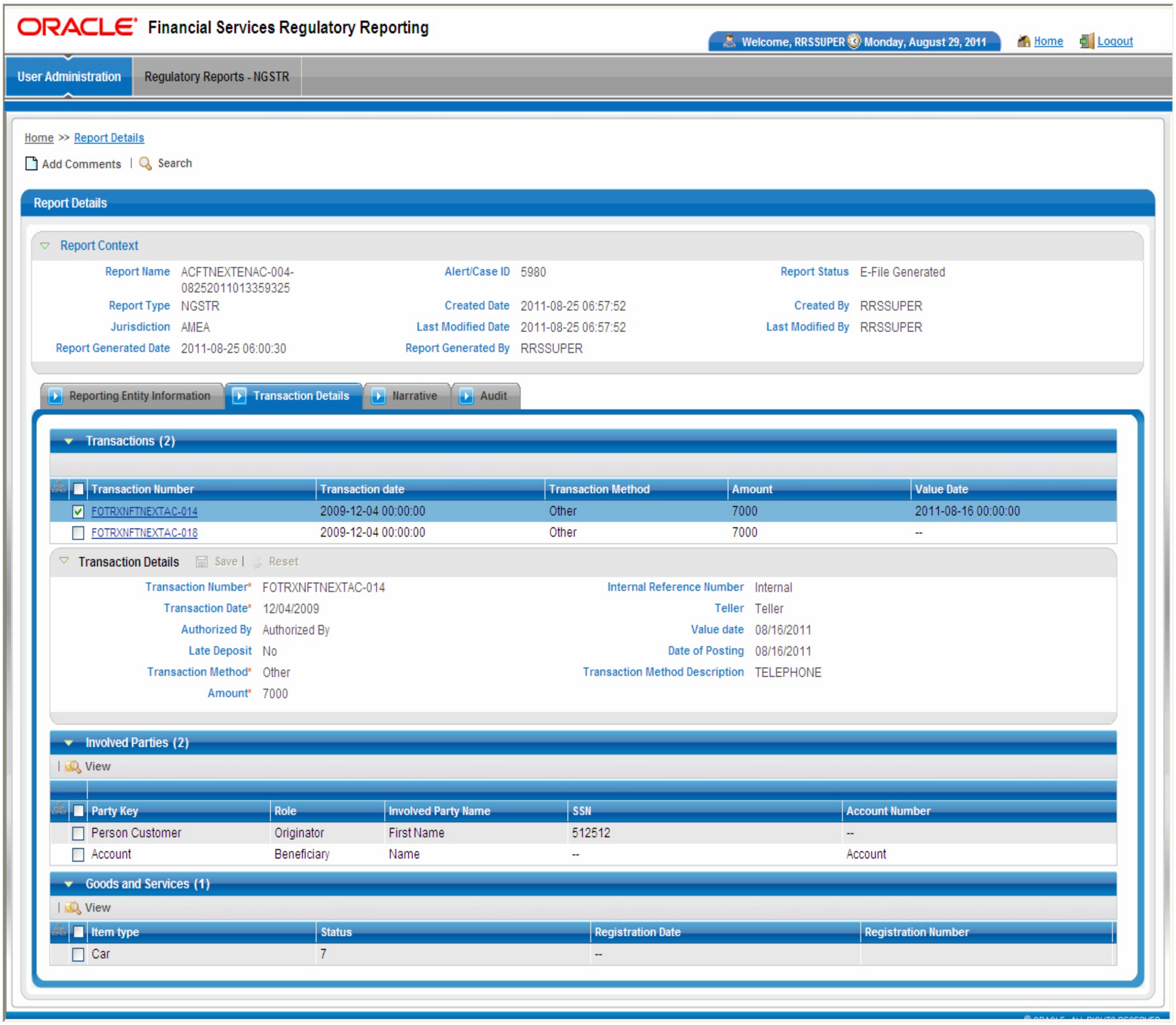


Item Type*	Car	Manufacturer	--
Previous Owner Name	safasf	Current Owner Name	--
Estimated Value	32132	Status	Destroyed
Disposed value	545	Total Area	454
Unit Of Measurment	--	Registration Date	--
Registration Number	--	Identification Number	--
Address Type		Address	--
City	--	State	--
Country		Zip	--
Item Description	--		
Comments	--		
Status Description	--		

Figure 35. Goods and Services Page-View Mode

Transaction Details Tab (View Mode)

All the information in the Transaction Details - View Mode is in read-only mode. The Save and Reset buttons are hidden (Figure 36).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Monday, August 29, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
Home >> Report Details
Add Comments | Search
Report Details
Report Context
Reporting Entity Information
Transaction Details
Narrative
Audit
Transactions (2)
Transaction Details
Save | Reset
Involved Parties (2)
View
Goods and Services (1)
View

Report Name ACFTNEXTENAC-004-08252011013359325
Alert/Case ID 5980
Report Status E-File Generated
Report Type NGSTR
Created Date 2011-08-25 06:57:52
Created By RRSSUPER
Jurisdiction AMEA
Last Modified Date 2011-08-25 06:57:52
Last Modified By RRSSUPER
Report Generated Date 2011-08-25 06:00:30
Report Generated By RRSSUPER

☐	Transaction Number	Transaction date	Transaction Method	Amount	Value Date
☑	FOTRXNFTNEXTAC-014	2009-12-04 00:00:00	Other	7000	2011-08-16 00:00:00
☐	FOTRXNFTNEXTAC-018	2009-12-04 00:00:00	Other	7000	--

Transaction Number* FOTRXNFTNEXTAC-014
Transaction Date* 12/04/2009
Authorized By Authorized By
Late Deposit No
Transaction Method* Other
Amount* 7000
Internal Reference Number Internal
Teller Teller
Value date 08/16/2011
Date of Posting 08/16/2011
Transaction Method Description TELEPHONE

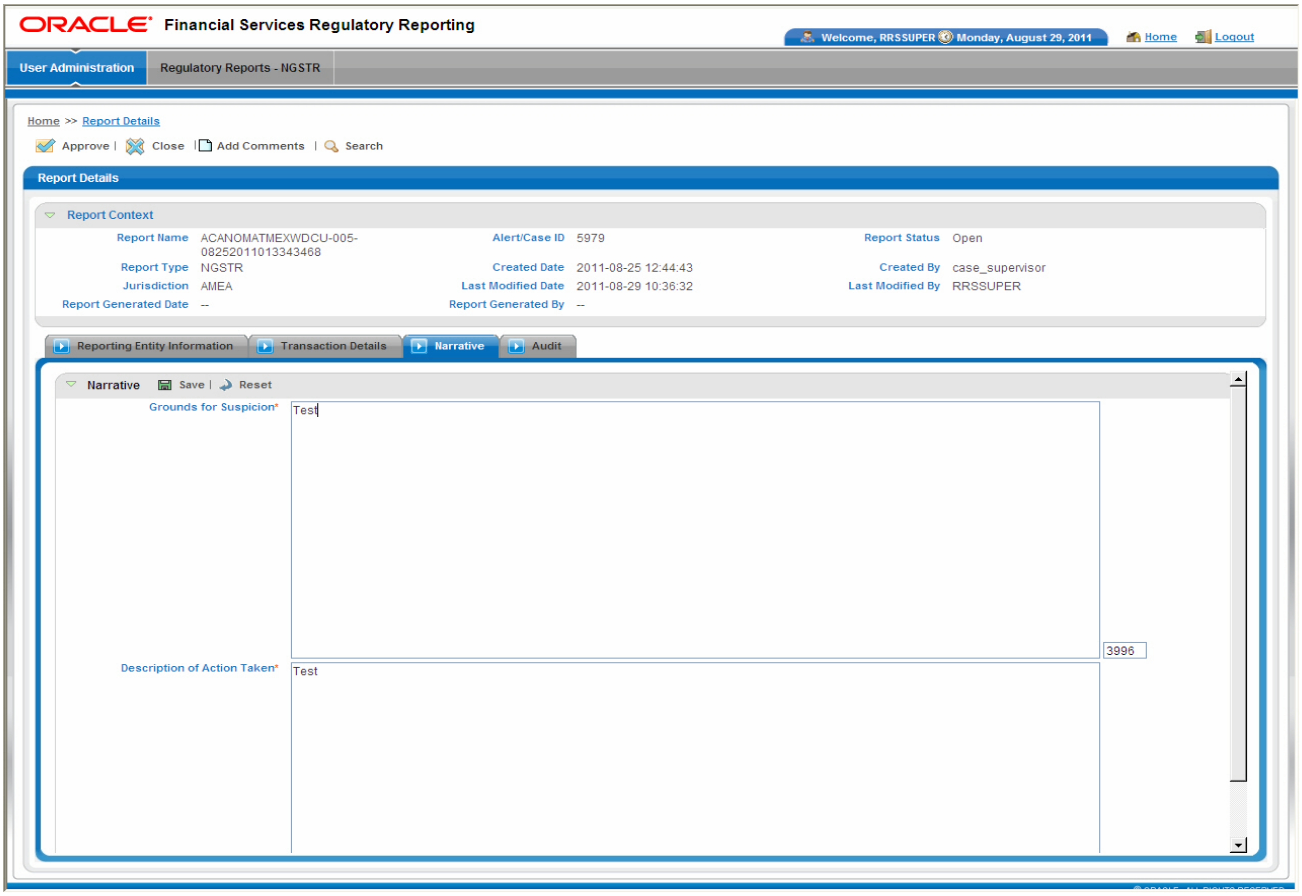
☐	Party Key	Role	Involved Party Name	SSN	Account Number
☐	Person Customer	Originator	First Name	512512	--
☐	Account	Beneficiary	Name	--	Account

☐	Item type	Status	Registration Date	Registration Number
☐	Car	7	--	

Figure 36. Transaction Details Tab - View Mode

Narrative

The Narrative tab includes the suspicion details and the details of action taken (Figure 37).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER
Monday, August 29, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
Home >> Report Details
Approve | Close | Add Comments | Search
Report Details
Report Context
Reporting Entity Information
Transaction Details
Narrative
Audit
Narrative
Save | Reset

Report Name: ACANOMATMEXWDCU-005-08252011013343468
Alert/Case ID: 5979
Report Status: Open
Report Type: NGSTR
Created Date: 2011-08-25 12:44:43
Created By: case_supervisor
Jurisdiction: AMEA
Last Modified Date: 2011-08-29 10:36:32
Last Modified By: RRSSUPER
Report Generated Date: --
Report Generated By: --

Grounds for Suspicion*: Test
3996
Description of Action Taken*: Test

Figure 37. Narrative Tab - Edit Mode

Narrative – Edit Mode

The Narrative tab (Figure 37) provides the following details:

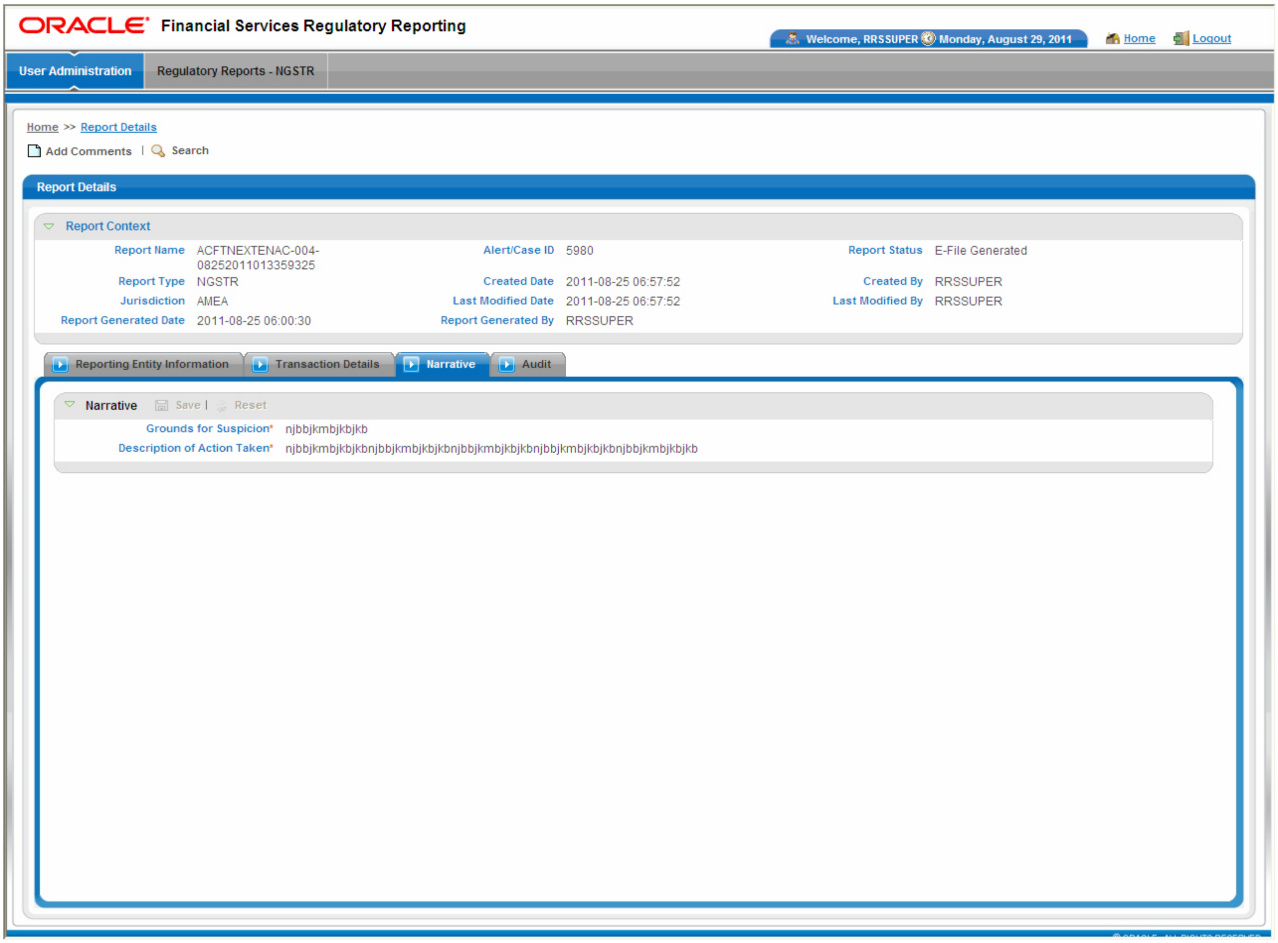
- Grounds for Suspicion
- Description of Action Taken

Users can provide details regarding the suspicious activity in Grounds for Suspicion and Description of Action column.

Save	Click **Save**, to save the data you have entered. The page is refreshed and displays the saved narrative data.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved narrative data.

Narrative –View Mode

All the information in Narrative - View Mode is in read-only mode. The Save and Reset buttons are hidden (Figure 38).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Monday, August 29, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
Home >> Report Details
Add Comments | Search
Report Details
Report Context
Reporting Entity Information
Transaction Details
Narrative
Audit
Narrative
Save |
Reset

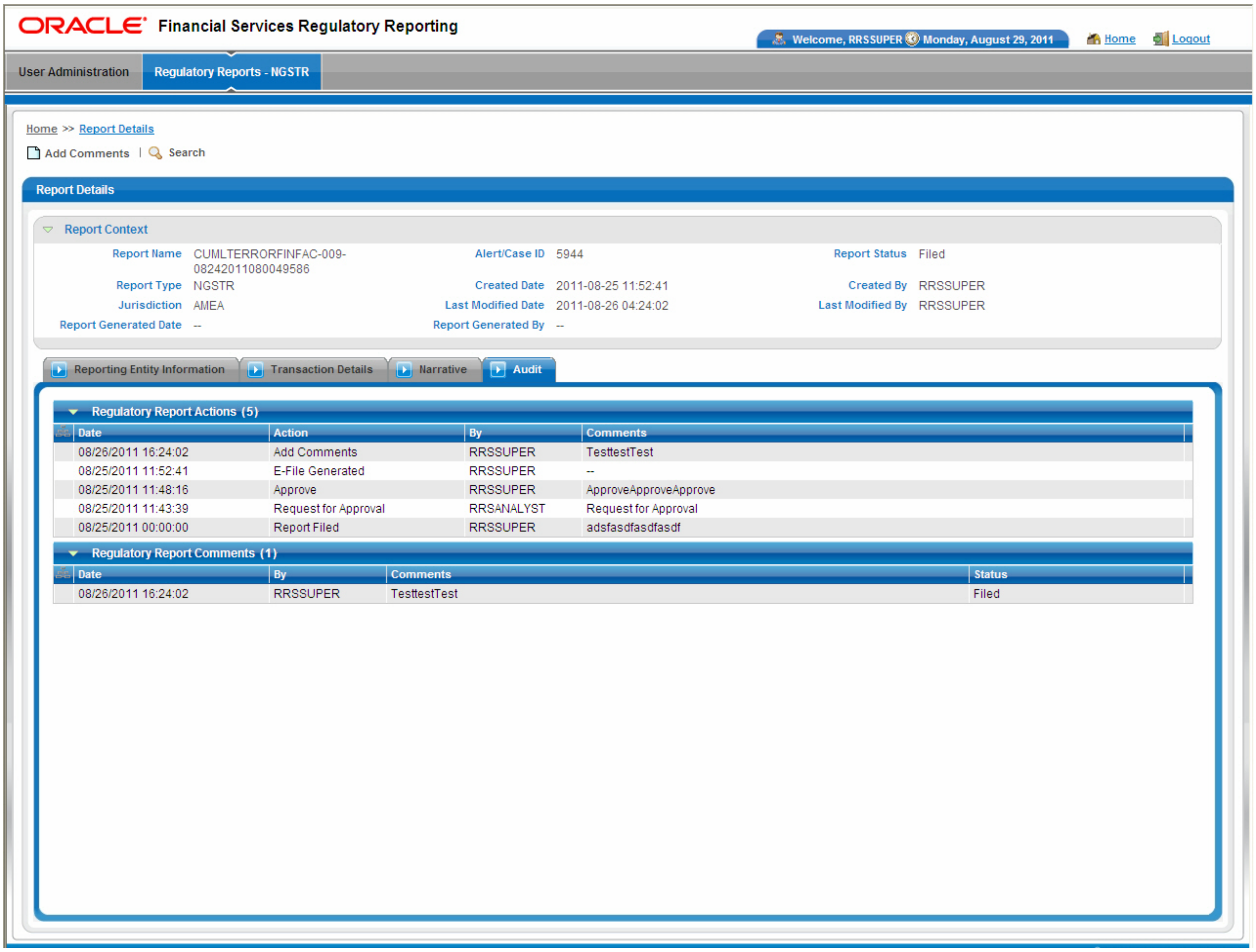
Report Name ACFTNEXTENAC-004-08252011013359325
Alert/Case ID 5980
Report Status E-File Generated
Report Type NGSTR
Created Date 2011-08-25 06:57:52
Created By RRSSUPER
Jurisdiction AMEA
Last Modified Date 2011-08-25 06:57:52
Last Modified By RRSSUPER
Report Generated Date 2011-08-25 06:00:30
Report Generated By RRSSUPER

Grounds for Suspicion* njbbjkmbjkbjkb
Description of Action Taken* njbbjkmbjkbjkbnjbbjkmbjkbjkbnjbbjkmbjkbjkbnjbbjkmbjkbjkbnjbbjkmbjkbjkb

Figure 38. Narrative Tab - View Mode

Audit

The Audit tab displays actions that may be taken on the report. This tab contains the Regulatory Report Actions and the Regulatory Report Comments container (Figure 39).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Monday, August 29, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
Home >> Report Details
Add Comments | Search
Report Details
Report Context
Reporting Entity Information
Transaction Details
Narrative
Audit

Report Name	CUMLTERRORFINFAC-009-08242011080049586	Alert/Case ID	5944	Report Status	Filed
Report Type	NGSTR	Created Date	2011-08-25 11:52:41	Created By	RRSSUPER
Jurisdiction	AMEA	Last Modified Date	2011-08-26 04:24:02	Last Modified By	RRSSUPER
Report Generated Date	--	Report Generated By	--		

Regulatory Report Actions (5)

Date	Action	By	Comments
08/26/2011 16:24:02	Add Comments	RRSSUPER	TesttestTest
08/25/2011 11:52:41	E-File Generated	RRSSUPER	--
08/25/2011 11:48:16	Approve	RRSSUPER	ApproveApproveApprove
08/25/2011 11:43:39	Request for Approval	RRSANALYST	Request for Approval
08/25/2011 00:00:00	Report Filed	RRSSUPER	adsfasdfasdfasdf

Regulatory Report Comments (1)

Date	By	Comments	Status
08/26/2011 16:24:02	RRSSUPER	TesttestTest	Filed

Figure 39. Audit Tab

Regulatory Report Actions

The Regulatory Report Actions container (Figure 39) displays the actions taken on the report with the following details:

- Date: When the action was taken.
- Action: What was done.
- By: The user who took the action.
- Comments: Displays the comments entered.

Regulatory Report Comments

The Regulatory Report Comments container (Figure 39) displays all the actions taken on the Add Comments section of the report with the following details:

- Date: When the action was taken
- By: The user who took the action
- Comments: Displays the comments entered.
- Status: The status of the report while taking in the action. This is read-only information

CHAPTER 4

File Regulatory Reports

Approved Reports Search page is the default home page for Admin User. All the other users can access this page by choosing the **Generate Regulatory Reports** option from the RR menu.

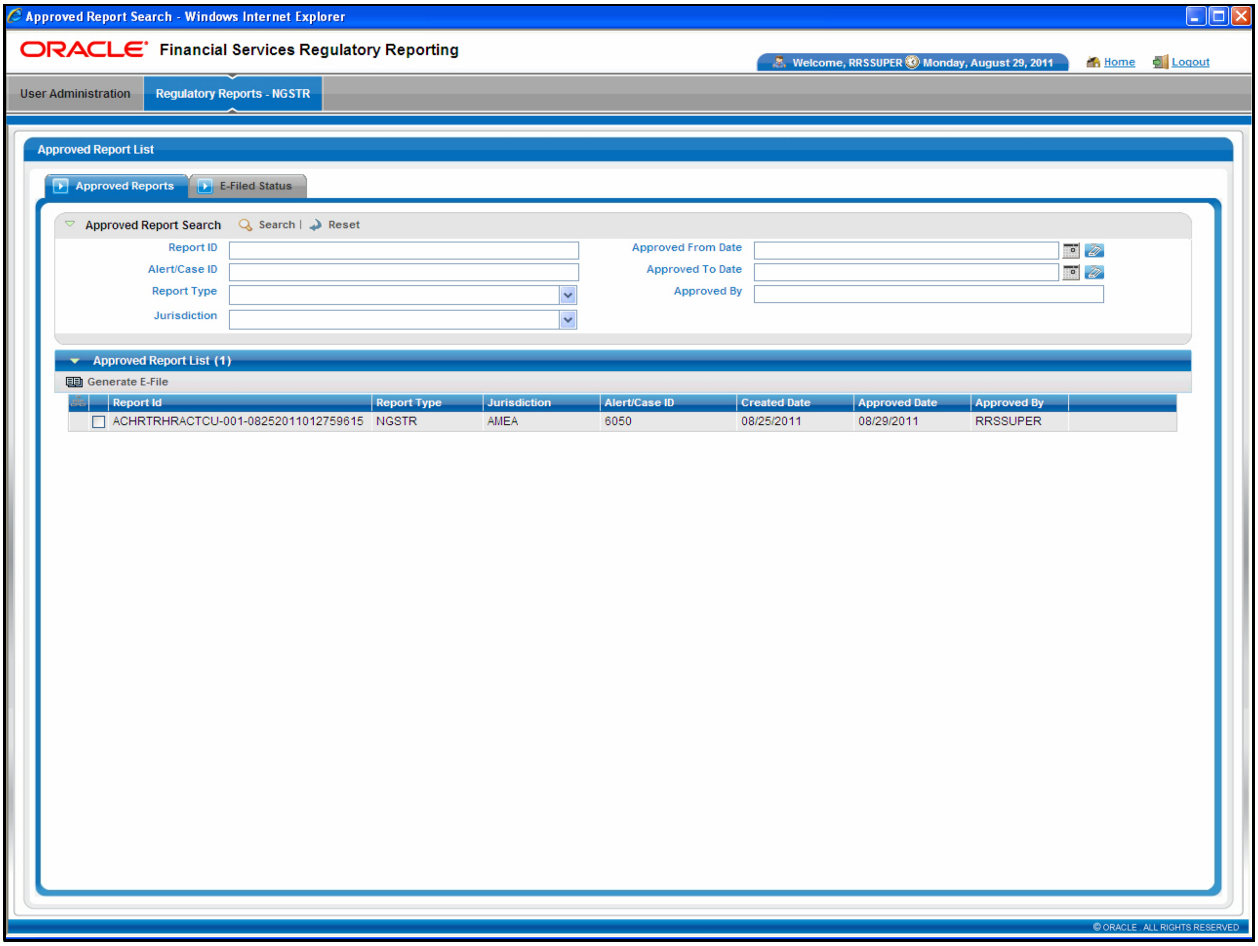
This chapter covers the following topics:

- Approved Reports
- E-File Generation
- E-Filed Status Tab

Approved Reports

The Approved Reports page displays the following information:

- Approved Report Search
- Approved Report List


Approved Report Search - Windows Internet Explorer
ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Monday, August 29, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
Approved Report List
Approved Reports
E-Filed Status
Approved Report Search
Search | Reset
Report ID
Alert/Case ID
Report Type
Jurisdiction
Approved From Date
Approved To Date
Approved By
Approved Report List (1)
Generate E-File
© ORACLE . ALL RIGHTS RESERVED

	Report Id	Report Type	Jurisdiction	Alert/Case ID	Created Date	Approved Date	Approved By
☐	ACHRTRHRACTCU-001-08252011012759615	NGSTR	AMEA	6050	08/25/2011	08/29/2011	RRSSUPER

Figure 40. Approved Reports Page

Approved Report Search

You can search for the list of Approved Reports from Approved Report Search container (Figure 40) based on the following information:

- Report ID
- Approved From Date
- Alert/Case ID
- Approved to Date
- Report Type
- Approved By
- Jurisdiction

Reset	Click **Reset** on the approved reports search to clear all the selections made and display a blank search container.
Search	Enter the appropriate information in the approved reports search container. Click **Search** to find the approved report that you are looking for.

Approved Report List

It displays the list of approved reports (Figure 40). The Approved Report List container displays the following information:

- Report ID
- Report Type
- Jurisdiction
- Alert/Case ID
- Created Date
- Approved Date
- Approved By

E-File Generation

This section details how to generate an E-File. The E-File generation option is not available if your installation is not configured to file reports electronically.

Generate E-File

1. Select the appropriate report for which you wish to generate E-file from Approved Report List.
2. Click **Generate E-File.**

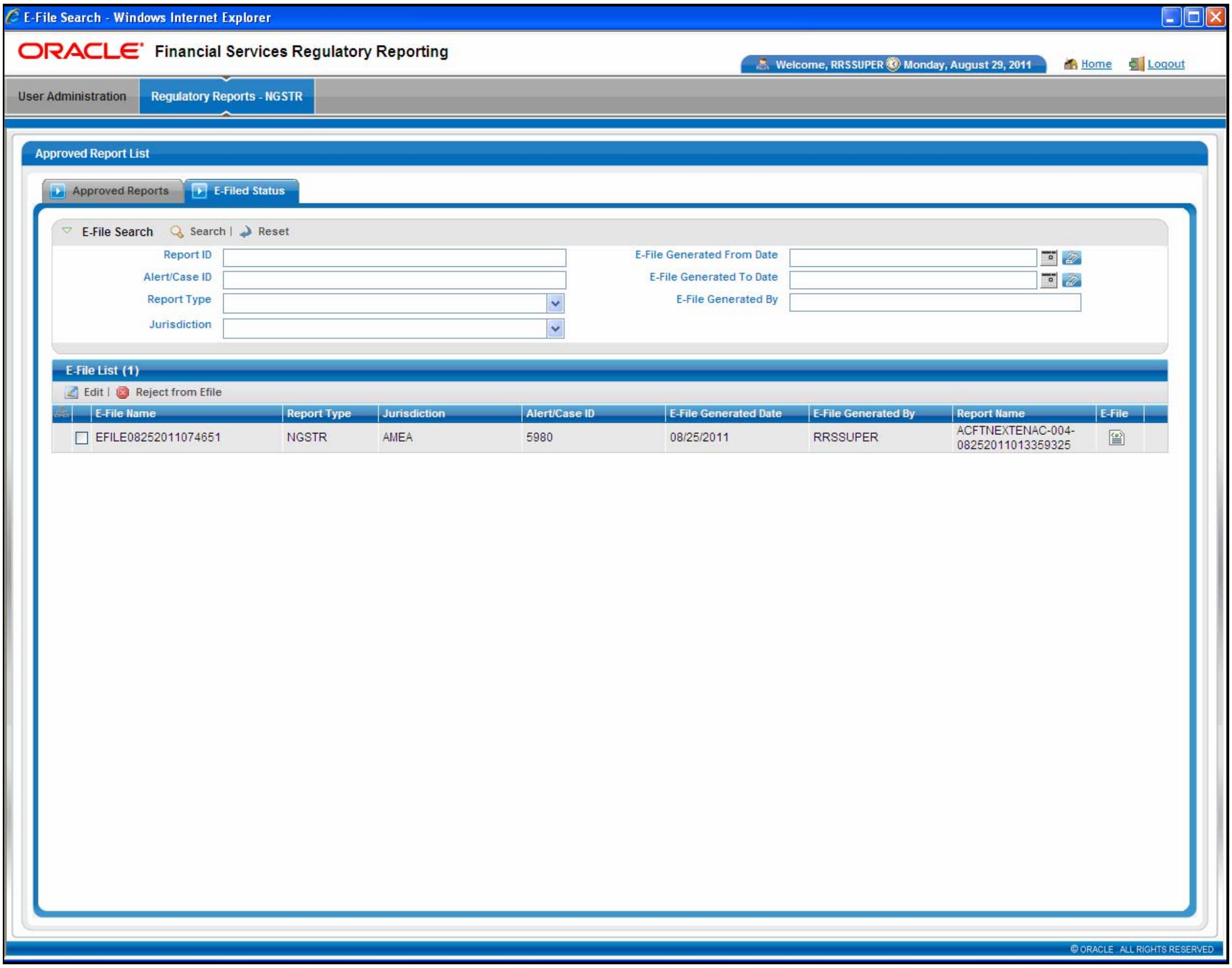
Once the E-File is generated, the system prompts to complete generation of the E-File and the status of the report is changed to **E-File Generated.** The Reports for which the E-file is generated are listed in the E-File Generated Report List.

E-Filed Status Tab

This tab lists all the E-Files which have been generated. It displays the following information:

- E-File Search
- E-File List

- E-File Details



E-File Search - Windows Internet Explorer
ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Monday, August 29, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
Approved Report List
Approved Reports
E-Filed Status
E-File Search
Search
Reset
Report ID
Alert/Case ID
Report Type
Jurisdiction
E-File Generated From Date
E-File Generated To Date
E-File Generated By
E-File List (1)
Edit
Reject from Efile
© ORACLE . ALL RIGHTS RESERVED

	E-File Name	Report Type	Jurisdiction	Alert/Case ID	E-File Generated Date	E-File Generated By	Report Name	E-File
☐	EFILE08252011074651	NGSTR	AMEA	5980	08/25/2011	RRSSUPER	ACFTNEXTENAC-004-08252011013359325	

Figure 41. E-file Status Tab

E-File Search

You can search for the reports currently in E-File Generated status by choosing the search components (Figure 41). The E-File Generated Report Search container displays the following information:

- Report ID
- E-File Generated From Date
- Alert/Case ID
- E-File Generated To Date
- Report Type
- E-File Generated By
- Jurisdiction

Search	Enter the appropriate information in the E-File Search container. Click **Search** to find the report you are looking for.
Clear	Click **Clear** on the E-File Search container to clear all the selections made and display a blank search container.

E-File List

This list displays the reports for which the E-file is generated (Figure 41).The E-File Generated Report List container displays the following information:

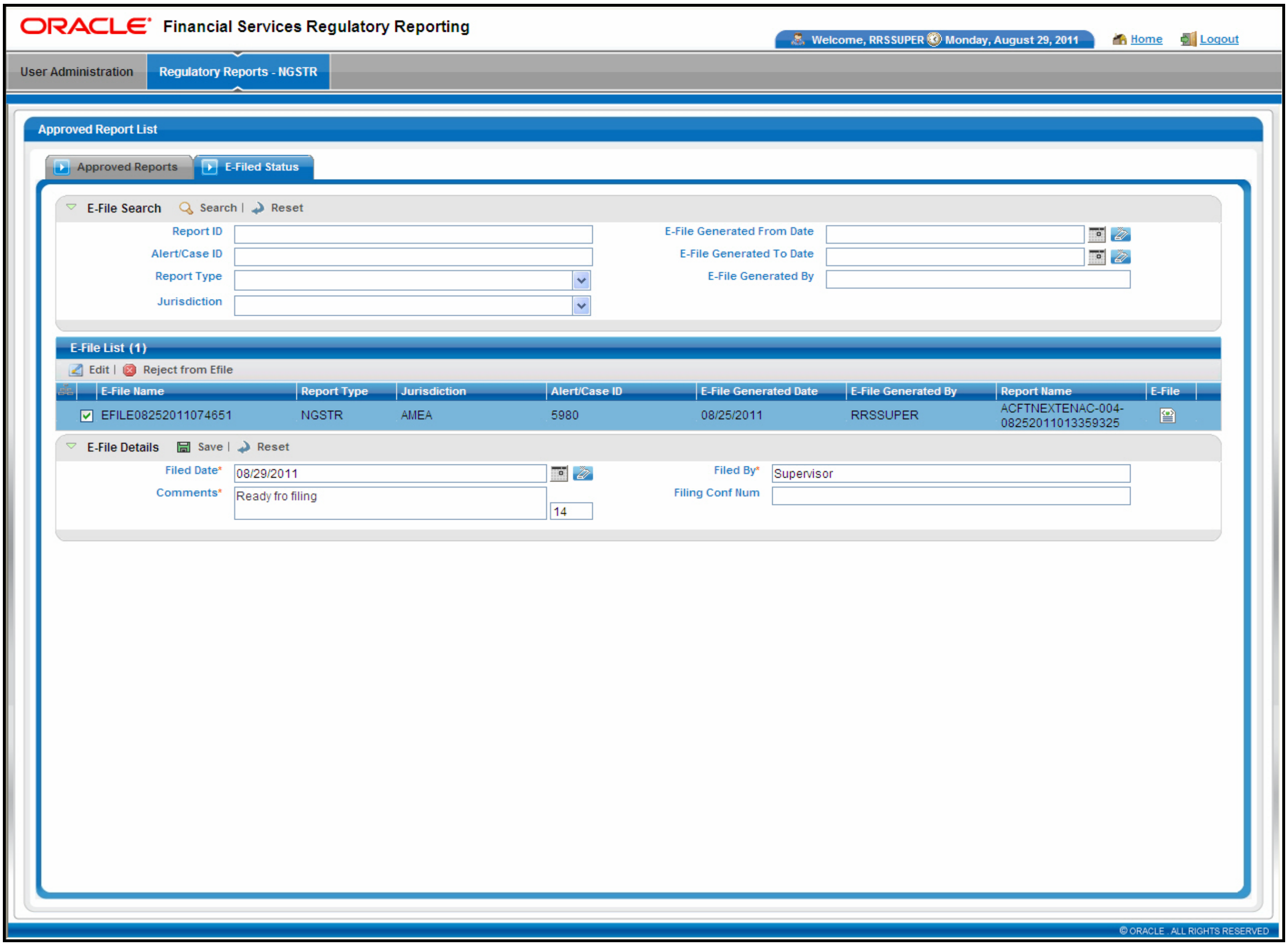
- E-File Name
- Report Type
- Jurisdiction
- Alert/Case ID
- E-File Generated Date
- E-File Generated By
- Report Name
- E-File

Once the E-file is generated, the Admin user/Super User can file the generated E-files to the Regulatory bodies. On filing the reports with the regulatory bodies, the Admin user receives either a positive or a negative acknowledgement from the regulatory bodies. The user can enter the acknowledgement details in the Report-Filing Updates Grid.

E-File Details

Select the checkbox of the report for which you want to update the acknowledgement details for. This displays the E-file details grid (Figure 42). You can enter the following acknowledgement information in E-file details grid:

- Filed Date
- Filed by
- Comments
- Filing Conf Number (Acknowledgement Number)


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Monday, August 29, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
Approved Report List
Approved Reports
E-Filed Status
E-File Search
Search
Reset
Report ID
Alert/Case ID
Report Type
Jurisdiction
E-File Generated From Date
E-File Generated To Date
E-File Generated By
E-File List (1)
Edit
Reject from Efile
E-File Details
Save
Reset
© ORACLE . ALL RIGHTS RESERVED

	E-File Name	Report Type	Jurisdiction	Alert/Case ID	E-File Generated Date	E-File Generated By	Report Name	E-File
☑	EFILE08252011074651	NGSTR	AMEA	5980	08/25/2011	RRSSUPER	ACFTNEXTENAC-004-08252011013359325	

Filed Date*: 08/29/2011
Comments*: Ready fro filing
14
Filed By*: Supervisor
Filing Conf Num:

Figure 42. E-File Details

Save	Click **Save** to save the details you have entered. The page is refreshed and displays saved E-file details. The reports are in *Filed* status.
Reset	Click **Reset** to clear the updated data. The page is refreshed and displays the last saved E-file details.

CHAPTER 5

User Administration

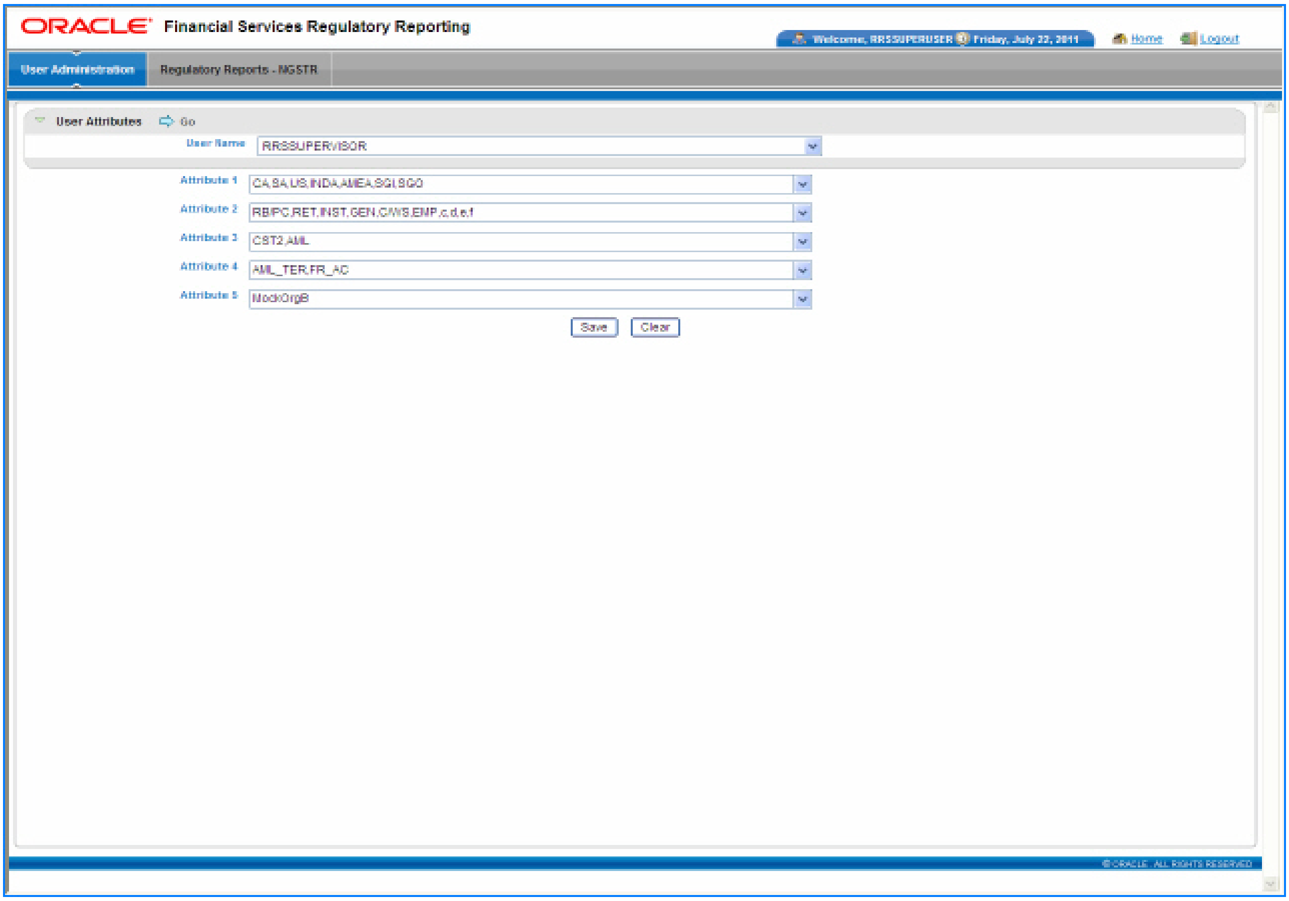
This section shows how to map and maintain the security attributes for each user role (Figure 43). This chapter discussed the following topics:

- View Security Attribute Mapping
- Add Security Attribute Mapping
- Delete Security Attribute Mapping
- Clear Security Attribute Mapping

Security Attributes are configured for an installation by the System Administrator. These security attribute can then be mapped to users.

Attributes of generated reports are based on the Alert or Case for which the report is generated. Users will be able to access reports based on the Security Attributes mapped to each user and report.

This is available for the Admin and Super user roles only.


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPERUSER
Friday, July 22, 2011
Home
Logout
User Administration
Regulatory Reports - NGSTR
User Attributes
Go
Save
Clear
© ORACLE . ALL RIGHTS RESERVED

User Name: RRSSUPERVISOR

Attribute 1: CA,SA,US,INDA,AMEA,SGI,SGO

Attribute 2: RBPC,RET,INST,GEN,CWS,EMP,c,d,e,f

Attribute 3: CST2,AML

Attribute 4: AML_TER,FR_AC

Attribute 5: MockOrgB

Figure 43. User Attributes

View Security Attribute Mapping

To view the security mapping for a user, follow these steps:

1. Select the user whose security attribute mapping is to be viewed.
2. Click **Go**. The page is refreshed with the security attributes and values mapped for the user. These values are comma separated.

Add Security Attribute Mapping

To add a security attribute value to a security attribute, follow these steps:

1. Select the required Security Attribute from the drop-down list.
2. Click **Save**.

Delete Security Attribute Mapping

To delete the security attribute value mapping, follow these steps:

1. De-select the Security Attribute you wish to delete from the drop-down list.
2. Click **Save**. The new security mappings to the user are saved.

Clear Security Attribute Mapping

To clear the security attribute value mapping, follow these steps:

1. De-select the Security Attribute you wish to clear from the drop-down list.
2. Click **Clear**. The page is refreshed and displays the last saved security attributes.