Oracle Financial Services
Regulatory Reporting
User Guide US SAR

Release 2.5.1
June 2014
Contents

List of Figures .................................................................................................................. vii

List of Tables .................................................................................................................... ix

About This Guide ........................................................................................................... xi
Who Should Use this Guide ............................................................................................ xi
How this Guide is Organized ........................................................................................... xii
Where to Find More Information .................................................................................. xii
Conventions Used in this Guide ...................................................................................... xiii

Chapter 1  About Regulatory Reporting ................................................... 1
Introduction of Regulatory Reporting ............................................................................... 1
About Oracle Financial Services Regulatory Reporting Application ................................ 1

Chapter 2  Getting Started ....................................................................................... 3
Overview .......................................................................................................................... 3
User Access ...................................................................................................................... 4
Logging into the OFSRR Application .............................................................................. 5
Components of Regulatory Reports List .......................................................................... 8
  Search Bar .................................................................................................................... 8
  List Header .................................................................................................................. 8
  Action Buttons .......................................................................................................... 8
  Column Headings ...................................................................................................... 9
  List Matrix .................................................................................................................. 9
    Exporting to Excel .................................................................................................... 11
    Viewing Draft Report .............................................................................................. 12
Components of Regulatory Report Details ..................................................................... 14
  Action Buttons .......................................................................................................... 15
  Report Context .......................................................................................................... 16
  Report Details Tabs ................................................................................................... 16
    Adding Comments to Report .................................................................................. 17
    Setting Due Date for Reports .................................................................................. 18

Chapter 3  Managing OFSRR .............................................................................. 21
Overview ......................................................................................................................... 21
Searching Regulatory Reports ......................................................................................... 26
Creating New Regulatory Reports .................................................................................. 29
  Creating a New Regulatory Report from OFSBDP/OFSECM ...................................... 29
Contents

Creating a New Regulatory Report from OFSRR Application ........................................................... 33
Submitting Regulatory Reports ................................................................................................................. 35
Entering Report Details ............................................................................................................................... 35
Managing Filing Institution Information ................................................................................................. 35
  Reporting Information ............................................................................................................................. 36
  Filing Institution Information .................................................................................................................... 36
  Components of Filing Institution Information Tab .............................................................................. 37
  Entering Filing Institution Information ................................................................................................... 38
  Editing Filing Institution Information ..................................................................................................... 39
Managing Financial Institution Where Activity Occurred .......................................................................... 39
  Adding Financial Institution where Activity Occurred ........................................................................ 42
  Components of Financial Institution Where Activity Occurred Pop-up Window .................................. 43
  Editing Financial Institution Where Activity Occurred Details .......................................................... 44
  Branch Details ....................................................................................................................................... 45
  Adding Branch Details ............................................................................................................................. 46
  Editing Branch Details ............................................................................................................................. 47
  Deleting Branch Details ........................................................................................................................... 47
Managing Suspicious Activity Information ............................................................................................... 48
  Suspicious Activity Details ....................................................................................................................... 49
  Adding Suspicious Activity Details ......................................................................................................... 49
  Activity Classification .............................................................................................................................. 51
  Law Enforcement Agency Details ........................................................................................................... 53
  Additional Information .............................................................................................................................. 55
  Adding Additional Information ................................................................................................................ 56
  Editing Additional Information ................................................................................................................. 57
  Deleting Additional Information .............................................................................................................. 57
Managing Subject Information ................................................................................................................... 59
  Adding Subject Information ....................................................................................................................... 60
  Editing Subject Information ....................................................................................................................... 63
  Deleting Subject Information .................................................................................................................... 63
  Adding Subject Address ........................................................................................................................... 64
  Editing Subject Address Details .............................................................................................................. 66
  Deleting Subject Address Details .......................................................................................................... 66
  Adding Subject Phone Details ................................................................................................................ 67
  Editing Subject Phone Details ................................................................................................................ 68
  Deleting Subject Phone Details .............................................................................................................. 68
  Adding Subject Identification Details ...................................................................................................... 69
  Editing Subject Identification Details ..................................................................................................... 70
  Deleting Subject Identification Details .................................................................................................. 70
  Adding Subject Alternate Name Details ................................................................................................. 71
  Editing Subject Alternate Name Details .................................................................................................. 72
  Deleting Subject Alternate Name Details ............................................................................................... 72
  Adding Subject Email Address ................................................................................................................. 73
  Editing Subject Email Address ............................................................................................................... 74
  Deleting Subject Email Address ............................................................................................................. 74
  Adding Subject Website (URL) Address .................................................................................................. 75
  Editing Subject Website (URL) Address ................................................................................................. 76
  Deleting Subject Website (URL) Address ............................................................................................... 76
  Adding Account Information ................................................................................................................... 77
  Editing Subject Account Information ...................................................................................................... 79
  Deleting Subject Account Information ................................................................................................... 79
  Adding Subject Relationship with Financial Institution ....................................................................... 79
  Editing Subject Relationship with Financial Institution ......................................................................... 82
  Deleting Subject Relationship with Financial Institution ..................................................................... 82
Managing Documents .............................................................................................................................. 84
Contents

Adding Documents ................................................................................................. 85
Viewing Documents ............................................................................................. 86
Deleting Documents ............................................................................................. 86
Including Documents in Report ................................................................. 87
Adding Narrative ............................................................................................... 88
Viewing Audit ...................................................................................................... 89
Regulatory Report Actions .............................................................................. 90
Regulatory Report Comments .......................................................................... 90
Submitting the Report Details for Approval/Requesting for Approval .......... 91
Approving/Rejecting/Closing Reports ............................................................ 92
Approving Reports ............................................................................................ 92
Re-Approving Reports ....................................................................................... 93
Rejecting Reports ............................................................................................... 94
Updating Rejected Reports ............................................................................... 94
Closing Reports .................................................................................................. 95

Filing Regulatory Reports .................................................................................. 96

CHAPTER 4  Filing Regulatory Reports................................................................. 97

Overview ............................................................................................................. 97
Workflow for Filing the Regulatory Report ..................................................... 98
Searching Approved Reports ........................................................................... 99
Generating E-File .............................................................................................. 100
Searching E-File Status .................................................................................... 101
Viewing E-File, E-File Details, and E-File Attachments .............................. 102
Downloading the E-File .................................................................................... 103
Submitting the E-File at FinCEN ................................................................. 104
Saving E-File Acknowledgments from FinCEN ........................................... 107
Uploading E-File Acknowledgment into OFSRR Application ...................... 108
Rejecting SAR(s) from E-File ......................................................................... 109
Completing the SAR Process ........................................................................... 111
Adding Comments to E-File .......................................................................... 111
# List of Figures

<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Figure 1</td>
<td>OFSRR Application Login</td>
<td>5</td>
</tr>
<tr>
<td>Figure 2</td>
<td>Landing Page for All User Roles (Except for System Administrator Role)</td>
<td>6</td>
</tr>
<tr>
<td>Figure 3</td>
<td>Landing Page for System Administrator User Role</td>
<td>6</td>
</tr>
<tr>
<td>Figure 4</td>
<td>List of Regulatory Reports</td>
<td>7</td>
</tr>
<tr>
<td>Figure 5</td>
<td>Export Properties Dialog Box</td>
<td>11</td>
</tr>
<tr>
<td>Figure 6</td>
<td>File Download Box</td>
<td>11</td>
</tr>
<tr>
<td>Figure 7</td>
<td>File Download Box</td>
<td>12</td>
</tr>
<tr>
<td>Figure 8</td>
<td>Draft Report (Sample)</td>
<td>13</td>
</tr>
<tr>
<td>Figure 9</td>
<td>Regulatory Report Details</td>
<td>14</td>
</tr>
<tr>
<td>Figure 10</td>
<td>Report Context</td>
<td>16</td>
</tr>
<tr>
<td>Figure 11</td>
<td>Action Pop-up Window</td>
<td>17</td>
</tr>
<tr>
<td>Figure 12</td>
<td>Set Due Date Window</td>
<td>19</td>
</tr>
<tr>
<td>Figure 13</td>
<td>Regulatory Reporting Workflow</td>
<td>22</td>
</tr>
<tr>
<td>Figure 14</td>
<td>Report Locked Message</td>
<td>25</td>
</tr>
<tr>
<td>Figure 15</td>
<td>List of Regulatory Reports</td>
<td>26</td>
</tr>
<tr>
<td>Figure 16</td>
<td>OFSBDP Login Page</td>
<td>29</td>
</tr>
<tr>
<td>Figure 17</td>
<td>Investigation Tab</td>
<td>30</td>
</tr>
<tr>
<td>Figure 18</td>
<td>Alert List Page</td>
<td>30</td>
</tr>
<tr>
<td>Figure 19</td>
<td>Alert Actions Page</td>
<td>31</td>
</tr>
<tr>
<td>Figure 20</td>
<td>Comments Entered in Alert Action Page</td>
<td>31</td>
</tr>
<tr>
<td>Figure 21</td>
<td>Confirmation Message Box</td>
<td>31</td>
</tr>
<tr>
<td>Figure 22</td>
<td>Regulatory Reporting Page Displaying Positive Acknowledgment</td>
<td>32</td>
</tr>
<tr>
<td>Figure 23</td>
<td>Alert List Page</td>
<td>32</td>
</tr>
<tr>
<td>Figure 24</td>
<td>Create New Regulatory Report Page</td>
<td>33</td>
</tr>
<tr>
<td>Figure 25</td>
<td>Filing Institution Information Tab - Edit Mode</td>
<td>36</td>
</tr>
<tr>
<td>Figure 26</td>
<td>Filing Institution Information Tab- View Mode</td>
<td>39</td>
</tr>
<tr>
<td>Figure 27</td>
<td>Fin Inst Where Activity Occurred Tab - Edit Mode</td>
<td>41</td>
</tr>
<tr>
<td>Figure 28</td>
<td>Financial Institution Where Activity Occurred Pop-up Window</td>
<td>42</td>
</tr>
<tr>
<td>Figure 29</td>
<td>Branch Details - Edit Mode</td>
<td>45</td>
</tr>
<tr>
<td>Figure 30</td>
<td>Add a New Branch Pop-up Window</td>
<td>46</td>
</tr>
<tr>
<td>Figure 31</td>
<td>Branch Details - View Mode</td>
<td>47</td>
</tr>
<tr>
<td>Figure 32</td>
<td>Financial Institution where Activity Occurred Tab – View Mode</td>
<td>48</td>
</tr>
<tr>
<td>Figure 33</td>
<td>Suspicious Activity Details Tab - Edit Mode</td>
<td>51</td>
</tr>
<tr>
<td>Figure 34</td>
<td>Activity Classification – Edit Mode</td>
<td>53</td>
</tr>
<tr>
<td>Figure 35</td>
<td>Law Enforcement Agency Details – Edit Mode</td>
<td>54</td>
</tr>
<tr>
<td>Figure 36</td>
<td>Additional Information – Edit Mode</td>
<td>55</td>
</tr>
<tr>
<td>Figure 37</td>
<td>Add Additional Information Pop-up Window</td>
<td>56</td>
</tr>
<tr>
<td>Figure 38</td>
<td>Suspicious Activity Details - View Mode</td>
<td>58</td>
</tr>
<tr>
<td>Figure 39</td>
<td>Activity Classification - View Mode</td>
<td>58</td>
</tr>
<tr>
<td>Figure Number</td>
<td>Description</td>
<td>Page</td>
</tr>
<tr>
<td>---------------</td>
<td>------------------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>40</td>
<td>Law Enforcement Agency Details - View Mode</td>
<td>58</td>
</tr>
<tr>
<td>41</td>
<td>Additional Information - View Mode</td>
<td>59</td>
</tr>
<tr>
<td>42</td>
<td>Subject Information Tab – Edit Mode</td>
<td>60</td>
</tr>
<tr>
<td>43</td>
<td>Adding Subject Information</td>
<td>60</td>
</tr>
<tr>
<td>44</td>
<td>Address Pop-up Window</td>
<td>65</td>
</tr>
<tr>
<td>45</td>
<td>Phone Pop-up Window</td>
<td>67</td>
</tr>
<tr>
<td>46</td>
<td>Form of Identification Pop-up Window</td>
<td>69</td>
</tr>
<tr>
<td>47</td>
<td>Alternate Name Pop-up Window</td>
<td>71</td>
</tr>
<tr>
<td>48</td>
<td>Email Address Pop-up Window</td>
<td>73</td>
</tr>
<tr>
<td>49</td>
<td>Website (URL) Address Pop-up Window</td>
<td>75</td>
</tr>
<tr>
<td>50</td>
<td>Account Add Pop-up Window</td>
<td>78</td>
</tr>
<tr>
<td>51</td>
<td>Add Relationship with Financial Institution Pop-up Window</td>
<td>80</td>
</tr>
<tr>
<td>52</td>
<td>Subject Information - View Mode</td>
<td>83</td>
</tr>
<tr>
<td>53</td>
<td>Documents Tab – Edit Mode</td>
<td>84</td>
</tr>
<tr>
<td>54</td>
<td>Attach Document Pop-up Window</td>
<td>85</td>
</tr>
<tr>
<td>55</td>
<td>Including .csv in E-file Generated</td>
<td>87</td>
</tr>
<tr>
<td>56</td>
<td>Documents Tab – View Mode</td>
<td>88</td>
</tr>
<tr>
<td>57</td>
<td>Narrative Tab - Edit Mode</td>
<td>88</td>
</tr>
<tr>
<td>58</td>
<td>Narrative Tab – View Mode</td>
<td>89</td>
</tr>
<tr>
<td>59</td>
<td>Audit Tab</td>
<td>89</td>
</tr>
<tr>
<td>60</td>
<td>Request for Approval Action Pop-up Window</td>
<td>91</td>
</tr>
<tr>
<td>61</td>
<td>Approve Action Pop-up Window</td>
<td>92</td>
</tr>
<tr>
<td>62</td>
<td>Re-Approve Action Pop-up Window</td>
<td>93</td>
</tr>
<tr>
<td>63</td>
<td>Reject Action Pop-up Window</td>
<td>94</td>
</tr>
<tr>
<td>64</td>
<td>Close Action Pop-up Window</td>
<td>95</td>
</tr>
<tr>
<td>65</td>
<td>Filing Regulatory Reporting Workflow</td>
<td>98</td>
</tr>
<tr>
<td>66</td>
<td>Approved Reports List</td>
<td>99</td>
</tr>
<tr>
<td>67</td>
<td>E-File List</td>
<td>101</td>
</tr>
<tr>
<td>68</td>
<td>E-File Download Window</td>
<td>103</td>
</tr>
<tr>
<td>69</td>
<td>Open Existing Form Window</td>
<td>104</td>
</tr>
<tr>
<td>70</td>
<td>BSA E-Filing SAR Batch Form</td>
<td>105</td>
</tr>
<tr>
<td>71</td>
<td>BSA E-Filing Secure Message Reply Form Window</td>
<td>107</td>
</tr>
<tr>
<td>72</td>
<td>View/Save Attachment Window</td>
<td>107</td>
</tr>
<tr>
<td>73</td>
<td>SAR Upload Acknowledgment Window</td>
<td>108</td>
</tr>
<tr>
<td>74</td>
<td>E-File Rejected Window</td>
<td>110</td>
</tr>
<tr>
<td>75</td>
<td>E-Filing Comments Window</td>
<td>112</td>
</tr>
</tbody>
</table>
List of Tables

Table 1. Conventions Used in this Guide ............................................................................................................................. xiii
Table 2. User Roles and Functions ........................................................................................................................................ 4
Table 3. Menus Accessible to OFSRR Users .......................................................................................................................... 8
Table 4. Columns in RR List Matrix ....................................................................................................................................... 10
Table 5. Set Due Date Functionality Configurability ........................................................................................................... 18
Table 6. Report Status .............................................................................................................................................................. 23
Table 7. Actions Performed by various Users in Different Status ..................................................................................... 24
Table 8. Status in which report details are editable by different users ........................................................................... 25
Table 9. Components of RR Search Bar .............................................................................................................................. 27
Table 10. Fields in Create New Report Page ......................................................................................................................... 34
Table 11. Fields in the Filing Institution Information Tab .................................................................................................. 37
Table 12. Columns in Financial Institution Where Activity Occurred Grid ................................................................. 41
Table 13. Fields in Financial Institution where Activity Occurred .................................................................................... 43
Table 14. Columns in Branch Details Grid .......................................................................................................................... 45
Table 15. Fields in Suspicious Activity Details Pane ........................................................................................................... 49
Table 16. Fields in the Law Enforcement Agency Details ................................................................................................. 53
Table 17. Columns in Subject Information Grid .................................................................................................................. 59
Table 18. Fields in Subject Information Pop-up Window ................................................................................................... 61
Table 19. Fields in Account Add Pop-up Window ................................................................................................................ 78
Table 20. Columns in Relationship With Financial Institution Grid ................................................................................... 80
Table 21. Fields in Add Relationship with Financial Institution Pop-up Window .......................................................... 81
Table 22. Fields in Documents grid ........................................................................................................................................ 84
Table 23. Fields in Attach Document Pop-up Window ........................................................................................................ 85
Table 24. Fields in Regulatory Report Actions Grid ........................................................................................................... 90
Table 25. Fields in Regulatory Report Comments Grid .................................................................................................... 90
Table 26. Approved Reports Search Bar Field Descriptions ............................................................................................ 99
Table 27. E-File Search Bar Field Descriptions ................................................................................................................ 102
Table 28. SAR Acknowledgment Window Field Descriptions ........................................................................................ 109
About This Guide

US SAR stands for United States Suspicious Activity Report.

The Oracle Financial Services Regulatory Reporting User Guide explains the concepts behind the Oracle Financial Services Regulatory Reporting application and provides step-by-step instructions for navigating through the application.

This chapter discusses the following topics:

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

Who Should Use this Guide

The Oracle Financial Services Regulatory Reporting User Guide US SAR, Release 2.5.1 is designed for use by various users. Their roles and responsibilities, as they operate within the Oracle Financial Services Regulatory Reporting application, include the following:

- **Analyst**: This user can view, create, and edit report details, request reports for approval, close reports, add comments to the report as well as view final PDF.

- **Supervisor**: This user can view, create, edit report details and add comments to the report. This user is responsible for taking action on the reports submitted by the Analyst, such as approve, reject, re-approve, or close reports. Users mapped to the role of Supervisor can add comments to the report as well as view final PDF.

- **Admin User**: This user can view reports, edit approved reports, re-approve, and close approved reports. Users mapped to the role of Admin can add comments, generate e-file, and file them with the regulatory bodies.

- **Super User**: This user can create, update, approve, reject, re-approve, and close reports. This user can also generate e-file and file the reports with the regulatory bodies. Users mapped to the role of Super User can perform all the tasks performed by an Analyst.

- **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.

- **Auditor**: This user can view regulatory reports and draft PDF.

- **System Authorizer**: This user is responsible for authorizing configurations.

For more information on user roles, refer to Table 2.
About this Guide

How this Guide is Organized

The Oracle Financial Services Regulatory Reporting User Guide US SAR, Release 2.5.1, includes the following topics:

- Chapter 1, About Regulatory Reporting, provides an overview of the Oracle Financial Services Regulatory Reporting application.
- Chapter 2, Getting Started, explains the steps to login to the Oracle Financial Services Regulatory Reporting application and provides a brief overview of the various users and their roles in the OFSRR application.
- Chapter 3, Managing OFSRR, explains the workflow of regulatory reports.
- Chapter 4, Filing Regulatory Reports, describes the process of filing the regulatory reports to the Regulatory Authorities and completing the SAR process.

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 RR data model and provides in-depth information on managing the data in the OFSRR application.
- Oracle Financial Services Regulatory Reporting Webservice Guide: This guide explains how and in what format the source business data is provided to the OFSRR application through a web service for the US SAR report type.
- Oracle Financial Services Regulatory Reporting Administration Guide: This guide describes comprehensive activities to be done by the OFSAAI Administrator in the Oracle Financial Services Regulatory Reporting application. 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 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**

<table>
<thead>
<tr>
<th>Convention</th>
<th>Meaning</th>
</tr>
</thead>
</table>
| **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 provides an overview of the Oracle Financial Services Regulatory Reporting application.

This chapter discusses the following topics:

- Introduction of Regulatory Reporting
- About Oracle Financial Services Regulatory Reporting Application

Introduction of Regulatory Reporting

As a part of regulations and compliances, a Financial Services Organization has to perform appropriate analysis and report any suspicious activities that may lead to fraud and money laundering, 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.

Financial institutions are required to provide data regarding suspicious activities to their geographic region's regulatory authority. This data is delivered to the regulatory bodies through regulatory reports. These reports, depending on the regulatory geographic region, can be delivered in a paper format or in an electronic format.

About Oracle Financial Services Regulatory Reporting Application

The Oracle Financial Services Regulatory Reporting (OFSRR) application supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. The OFSRR application supports the generation of suspicious transaction reports for various countries such as The United States of America (US SAR), Nigeria (NG STR), Pakistan (PK STR), Malaysia (MY STR), Singapore (SG STR), and Kenya STR (KE STR). Since there are several differences in requirements for paper-based formats versus electronic formats, between different geographic regions, and the data elements that are required on these reports, the approach to satisfy 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.

The Oracle Financial Services Regulatory Reporting application is integrated with the Oracle Financial Services Behavior Detection platform (OFSBDP) to allow users to generate reports automatically populated with information relevant to an investigation for any report filed.

The OFSRR application helps in generating e-file in a .txt format according to specifications described in FinCEN Suspicious Activity Report (FinCEN SAR) Electronic Filing Requirements. After successfully e-filing, you can download the acknowledgment (.asc) file from the BSA E-Filing System and upload the acknowledgment into OFSRR, thereby completing the SAR process.
CHAPTER 2  Getting Started

This chapter explains the steps to login to the OFSRR application and provides a brief overview of the various users and their roles in the OFSRR application.

This chapter explains the following topics:

- Overview
- User Access
- Logging into the OFSRR Application
- Components of Regulatory Reports List
- Components of Regulatory Report Details

Overview

Following are the user roles defined in the OFSRR application.

- Analyst
- Supervisor
- Super user
- Admin User
- System Administrator
- Auditor

This chapter explains the tasks that can be performed by the users of OFSRR application.

This chapter also explains the steps to login to the OFSRR application. It explains the components of Regulatory Reports List and the Regulatory Report Details as well as the functions of the action buttons in the Regulatory Reports List and Regulatory Report Details.
**User Access**

The following table explains the tasks that can be performed by various users in the OFSRR application.

**Table 2. User Roles and Functions**

<table>
<thead>
<tr>
<th>Function</th>
<th>Analyst</th>
<th>Supervisor</th>
<th>Admin</th>
<th>Super User</th>
<th>Sys Admin</th>
<th>Auditor</th>
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<td>X</td>
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<td>Edit Report</td>
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<td>Create new Report</td>
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<td>Request for Approval</td>
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<td>Approve Report</td>
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<td>Reject Report</td>
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<td>X</td>
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<td>Close Report</td>
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<td>Edit Request for Approval Report</td>
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<tr>
<td>Edit Approved Report</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Re-Approve Reports</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reject Approved Reports</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Close Approved Reports</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add RR Comments</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Generate Draft PDF</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>View Final PDF</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Edit E-File</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reject E-File</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Generate E-File</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>File E-File</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View / Edit Configuration</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>
Logging into the OFSRR Application

You can access the OFSRR application through the Web Browser or through Oracle Financial Services Behavior Detection Platform (OFSBDP) once the software is installed and configured.

To access OFSRR from the OFSBDP/OFSECM, follow these steps:

1. Login to **Regulatory Reporting**. The OFSRR Login page opens. 
   
   **Note:** The OFSRR can be configured and accessed from within the OFSBDP/OFSECM. For more information, refer to Oracle Financial Services Regulatory Reporting Installation Guide and Oracle Financial Services Behavior Detection Platform Administration Guide.

   The Regulatory Reporting link is enabled only for users who have access to the OFSRR Application.

2. Select the **Language** for the application.

3. Enter your **User ID**.

4. Enter your **Password**.

5. Click **Login**. The OFSRR Application page opens based on the logged-in user.
Logging into the OFSRR Application
Chapter 2–About Regulatory Reporting

Figure 2. Landing Page for All User Roles (Except for System Administrator Role)

Figure 3. Landing Page for System Administrator User Role

Note: From the Set My Home Page drop-down list, select Financial Services Regulatory Reporting and click Save. This saves the List of Regulatory Reports as the start page. If the List of Regulatory Reports is the start page, the Home and the Logout link will be enabled on this page. If not, the Logout link is available only in the landing page.
Figure 4. List of Regulatory Reports

The OFSRR application displays the following links.

- Regulatory Reporting
- User Attributes

The Regulatory Reporting menu displays the Regulatory Reports SAR primary menu.

The Regulatory Reports SAR menu displays the following sub-menus:

- Regulatory Reports
- File Regulatory Reports
- Create New Regulatory Report

Note: Regulatory Reports SAR is the primary menu. Regulatory Reports, File Regulatory Reports, and Create New Regulatory Report are the secondary menus. In addition, the User Attributes menu displays. This menu allows you to map and maintain the security attributes for each user role.
The following table provides an overview of the menus that are accessible to the OFSRR users.

**Table 3. Menus Accessible to OFSRR Users**

<table>
<thead>
<tr>
<th>Menus</th>
<th>Analyst</th>
<th>Supervisor</th>
<th>Super User</th>
<th>Admin user</th>
<th>Auditor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regulatory Reports</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>File Regulatory Reports</td>
<td></td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Create New Regulatory Report</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>User Attributes</td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

**Components of Regulatory Reports List**

The List of Regulatory Reports display the summary of all reports generated using the OFSRR application.

The List of Regulatory Reports display the following components:

- **Search Bar**
- **List Header**
- **Action Buttons**
- **Column Headings**
- **List Matrix**

**Search Bar**

The RR Search bar allows you to search and view the report details. For more information on searching reports refer to section *Searching Regulatory Reports*.

**List Header**

The header contains the title *Regulatory Reports* and displays the total number of reports. The header also provides pagination with forward and backward arrows for advancing page by page or for advancing to the first or last page.

**Action Buttons**

The system provides the following action buttons that appear above the Regulatory Report List matrix:

- **Export to Excel**: Allows you to export the report details into an Excel template. For more information on Exporting to Excel, refer to *Exporting to Excel*.
- **Expand All**: Allows you to expand the complete details for the items where text cannot be accumulated in the column length. Click **Collapse All** to restore the original view.
Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most column headings in the RR List matrix can be sorted. Right-click on the column heading to sort the display.

The following sorting options display:

- Ascending
- Descending
- Clear Sort
- Field Chooser

Select the relevant sorting option. The application refreshes the list and re-sorts the list based on the selection you have made.

List Matrix

The RR List matrix displays the summary of all reports.
The following table provides a list of columns and their descriptions in the RR List matrix:

### Table 4. Columns in RR List Matrix

<table>
<thead>
<tr>
<th>Column Heading</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report name</td>
<td>Displays the report name.</td>
</tr>
<tr>
<td>Report Type</td>
<td>Displays the report type. <strong>Note:</strong> SAR is the default value for report type.</td>
</tr>
</tbody>
</table>
| Jurisdiction        | Displays the jurisdiction to which the report is mapped. **Note:** Jurisdiction over a territory relates to the geographic area over which a court has the authority to decide cases. Following are the values for Jurisdiction:  
  - CA  
  - SA  
  - US  
  - INDA  
  - AMEA  
  - SGI  
  - SGO  
  - ENT |
| Alert/Case ID       | Displays the Alert/Cased ID that triggered the creation of the report in OFSRR from OFSBDP/OFSECM. This field displays as blank for manually created report. |
| Subject Name        | Displays the subject name.                                                                                                                  |
| Number of Subjects  | Displays the number of subjects involved in the suspicious transaction.                                                                      |
| Created Date        | Displays the date of report creation.                                                                                                       |
| Created By          | Displays the user who created the report.                                                                                                   |
| E-File reference    | Displays the e-file reference number.                                                                                                       |
| Acknowledgment Date | Displays the date on which the acknowledgment was received.                                                                                   |
| Status              | Displays the status of the report.                                                                                                          |
| BSA ID              | Displays the BSA ID generated for the report. **Note:** BSA stands for Bank Secrecy Act Identifier. The BSA ID is a distinct value assigned to each SAR submitted to FinCEN. FinCEN will use this ID to track a SAR as well as any corrections or amendments to that SAR. |
| Draft Report        | This column displays a PDF icon. Click the PDF icon to view the report details in PDF. For more information on Draft report refer to, *Viewing Draft Report.* |
Exporting to Excel

The List of Regulatory Reports allows you to export the report details into an Excel template. To export the report details into an Excel template, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click Export to Excel. The Export Properties dialog box displays.
   
   **Note:** All the reports in the Regulatory Reports List are exported into an Excel template. You cannot export individual reports into Excel.

3. Set Document Type as Excel and select Form Data/Grid Data as Grid Data.
4. Click Export in the Export Properties dialog box.
   
   When processing is complete, the data displays in an IE window with a dialog box.

5. Click Save from the dialog box.
   
   The Save As dialog box displays.

6. Select a directory location where you want to save the file.
7. Enter a new name in the **File Name** field or the application automatically generates a name for the file to accept.

8. Click **Save**.

   The application saves your file to the specified location.

   **Note:** Open the file in Microsoft Excel to edit as needed.

### Viewing Draft Report

The Regulatory Report Details allows users mapped to the role of Analyst, Supervisor, Super user, and Admin User to view draft report. You can view the draft PDF in any status.

To view draft report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name to view the report details.
3. Click **Draft Report**. The File Download box displays.

   **Note:** You can also view the report details in PDF by clicking the PDF icon in the Draft Report column in RR List Matrix.

4. Click **Open** to view the report details in a PDF. Click **Save** to save the PDF in your local system. Click **Cancel** to close the File Download box.

The following figure is an illustration of the initial pages of the draft report that you can view when you open the report.
Figure 8. Draft Report (Sample)


**Components of Regulatory Report Details**

Click the report name in the List of Regulatory Reports to view the Report Details.

![Figure 9. Regulatory Report Details](image)

Following are the components of the Regulatory Report Details:

- Action Buttons
- Report Context
- Report Details Tabs
Action Buttons

The presence of an action button will depend on your role as a user and the current status of the report.

Following are the action buttons in the Regulatory Report Details:

- **Add Comments**: This button displays in the Regulatory Report Details in all the report status. The display of this action button does not have any relation with the report status. It allows you to add comments to the report. For more information about adding comments, refer to *Adding Comments to Report*.

- **Draft Report**: This button displays in all the report status. The display of this action button does not have any relation with the report status. It allows you to view the report details in a PDF. For more information about drafting report, refer to *Viewing Draft Report*.

- **Request For Approval**: This button displays in the Regulatory Report Details when the report is in *Open*, *Rejected*, or *Rejected from e-file* status. It allows you to submit a report for approval. For more information about requesting for approval, refer to *Submitting the Report Details for Approval/Requesting for Approval*.

- **Approve**: This button displays in the Regulatory Report Details when the report is in Request for Approval status for users mapped to the role of Supervisor and in *Open*, *Rejected*, *Rejected from e-file*, *Request for Approval* status for users mapped to the role of Super User. It allows you to approve reports. For more information about approving reports, refer to *Approving Reports*.

- **Re-approve**: This button displays in the Regulatory Report Details when the report is in *Approved* or *Re-approve Required* status. It allows you to re-approve reports. For more information about re-approving reports, refer to *Re-Approving Reports*.

- **Reject**: This button displays in the Regulatory Report Details when the report is in *Request for Approval*, *Approved*, and *E-file generated* status. It allows you to reject reports. For more information about rejecting reports, refer to *Rejecting Reports*.

- **Close**: This button displays in the Regulatory Report Details when the report is in Request for Approval status for users mapped to the role of Supervisor and in *Open*, *Approved*, *Rejected*, *Rejected from e-file*, *Request for Approval* status for users mapped to the role of Super user.

  This button displays in the Regulatory Report Details when the report is in *Open*, *Rejected from e-file*, and *Rejected* status for users mapped to the role of Analyst.

  It allows you to close reports. For more information about closing reports, refer to *Closing Reports*.

- **Setting Due Date**: This button allows you to set due date for reports. For more information on setting due date, refer to section *Setting Due Date for Reports*. 


Components of Regulatory Report Details
Chapter 2–About Regulatory Reporting

Report Context

The Report Context displays information about the report and is non-editable. It contains minimize and maximize buttons that allows you to expand and collapse the details in the Report Context.

Note: The BSA ID (Bank Secrecy Act Identifier) is generated when the acknowledgment file (.asc file) is uploaded into the OFSRR application. After the .asc file is uploaded into the OFSRR application, the BSA ID field in the Report Context is auto-updated.

Figure 10. Report Context

Report Details Tabs

The Regulatory Report Details displays the following tabs:

- Filing Institution Information
- Fin Inst Where Activity Occurred
- Suspicious Activity Information
- Subject Information
- Documents
- Narrative
- Audit

For more information on the tabs in the Regulatory Report Details, refer to Entering Report Details.
Adding Comments to Report
The Regulatory Report Details allows users mapped to the role of Analyst, Supervisor, Super User, and Admin User to add comments to a report. You can add comments to a report when the report is in any status.

To add comments to a report, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name to view the report details.
3. Click Add Comments. The Action pop-up window displays.

![Figure 11. Action Pop-up Window](image)

4. Enter the comments in the Action pop-up window.
   
   **Note**: The comments box in the Action pop-up window allows entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: *Number of characters exceeded.*

5. Click Save. The following message displays: *Add Operation Successful.*
   
   **Note**: Click Clear to clear the data in the Action pop-up window and click Close to close the Action pop-up window.

6. Click OK. The Action pop-up window closes and displays the Regulatory Report Details.
   
   **Note**: The Regulatory Report Comments grid in the Audit tab displays the comments added to the report
   
   If you click Save, without entering the comments in the Action pop-up window, the following message displays: *Mandatory fields are not entered.*
Setting Due Date for Reports
Set Due Date action will allow authorized users to set a due date or modify an existing due date of an STR.

The application allows you to set the due date for SAR. The due date is set based on the date SAR creation request is sent from the Alert Management/Case Management to OFSRR. This is the period during which the SAR must be filed with FinCEN. Due date is configurable and by default is set to 30 days from the date SAR creation request is sent from the Alert Management/Case Management to OFSRR. It includes only business days excluding holidays and weekends. But, this period is configurable.

There are two roles defined for set due date functionality.

- **Due Date with View and Edit**: Users mapped to this role can view, set, and edit due date for reports.
- **Due Date with View**: Users mapped to this role can only view due date for reports.

**Note**: The roles are mapped based on the configurations in the Application Parameters table.

Following table explains the configurability for there roles:

<table>
<thead>
<tr>
<th>Set Due Date Action as per Report Status</th>
<th>Due Date With View &amp; Edit</th>
<th>Due Date View Only</th>
</tr>
</thead>
<tbody>
<tr>
<td>Take Set Due Date Action</td>
<td>View Due Date</td>
<td>Take ‘Set Due Date’ Action</td>
</tr>
<tr>
<td>Open</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Requested for Approval</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Rejected</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Rejected from E-File</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Approved</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Closed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>E-File Generated</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Filed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reapprove Required</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>
To set due date of an STR, follow these steps:

1. Navigate to the Report Details page of a report.
2. Click **Set Due Date**. The Set Due Date Action window is displayed.

![Set Due Date Window](image)

**Figure 12. Set Due Date Window**

3. To set a due date, select a date from the calender icon.
   
   **Note:** This field is a mandatory field.

4. Enter the comments in the **Set Due Date** action pop-up window.
   
   **Note:** The comments box in the **Set Due Date** action pop-up window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the Set Due Date and Comments, in the **Set Due Date** Action pop-up window, the following error message is displayed: *Mandatory fields are not entered.*

5. Click **Save**. The following message is displayed: *Update Operation Successful.*

6. Click **OK**. The Report Details page is displayed.

   **Note:** The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Set Due Date** action.
CHAPTER 3

Managing OFSRR

This chapter explains the workflow of regulatory reports.

This chapter explains the following topics:

- Overview
- Searching Regulatory Reports
- Creating New Regulatory Reports
- Submitting Regulatory Reports
- Approving/Rejecting/Closing Reports
- Filing Regulatory Reports

Overview

The life cycle of the regulatory reports is described in the following workflow diagram.
Figure 13. Regulatory Reporting Workflow
A report is created in the OFSRR application either from OFSBD or within the application. When a report is created in the application, the report details are entered and then submitted for approval. An authorized user validates the report details and either approves, rejects, or closes the report.

If the report is approved, an e-file is generated for the report. The generated e-file is submitted with the FinCENs BSA E-Filing System. The e-file is validated and an acknowledgment (.asc file) is generated. The acknowledgment file is then uploaded into the OFSRR application, thereby completing the SAR process. The status of the report changes to Filed. Filed status is the final status given to a SAR that has been submitted to and processed by FinCEN.

If the report is rejected, then you must re-work on the report and submit the report for approval or you can close the report. If you close the report after being rejected, then the status of the report changes to closed. But if you choose to rework on the report, then the status of the report changes to request for approval, that must again be validated and approved by authorized users. This process continues until the report is approved or closed.

If there are any changes done to an approved report, the status of the report changes to Re-approve required, which must be validated by authorized users.

If a user determines that a SAR report should not be filed they can close it. The Closed status removes it from the work queue and helps to distinguish it from those in a Filed status. If the report is closed, the report details cannot be edited and the report is in View mode.

For more information on user roles, refer to Table 2.

Every report generated in the OFSRR application can have various statuses.

The following table describes the action taken on the report and the resulting change in the report status.

<table>
<thead>
<tr>
<th>Action Taken</th>
<th>Resulting Report Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>A report is auto-generated or created manually.</td>
<td>Open</td>
</tr>
<tr>
<td>An authorized user has updated and submitted the report details for approval.</td>
<td>Request for Approval</td>
</tr>
<tr>
<td>An authorized user validates the report details and has taken approved action.</td>
<td>Approved</td>
</tr>
<tr>
<td>The user can now file the report with the regulatory authority.</td>
<td></td>
</tr>
<tr>
<td>An authorized user has edited the approved report details. The user must take</td>
<td>Re-Approve Required</td>
</tr>
<tr>
<td>Re-approve action on the report to run the report validations and ensure that</td>
<td></td>
</tr>
<tr>
<td>the editing did not introduce any report validation errors.</td>
<td></td>
</tr>
<tr>
<td>An authorized user has taken close action on the report.</td>
<td>Closed</td>
</tr>
<tr>
<td>An authorized user has taken a reject action on the report.</td>
<td>Rejected</td>
</tr>
<tr>
<td>An authorized user has generated an e-file for an approved report.</td>
<td>E-file Generated</td>
</tr>
<tr>
<td>An authorized user has rejected the generated e-file from filing to the</td>
<td>Rejected from E-file</td>
</tr>
<tr>
<td>regulatory authorities.</td>
<td></td>
</tr>
<tr>
<td>An authorized user has filed the regulatory report to the regulatory</td>
<td>Filed</td>
</tr>
<tr>
<td>authorities.</td>
<td></td>
</tr>
</tbody>
</table>

The report has a life cycle which begins with the Open status and ends when it is Closed/Filed.

The following table explains the possible actions the users can take in different statuses.
### Table 7. Actions Performed by various Users in Different Status

<table>
<thead>
<tr>
<th>Status</th>
<th>Possible Action</th>
<th>Resulting Status</th>
<th>User Roles</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open</td>
<td>Request For Approval</td>
<td>Requested for Approval</td>
<td>Analyst/Super User</td>
</tr>
<tr>
<td></td>
<td>Close</td>
<td>Closed</td>
<td>Analyst/Supervisor/Super User</td>
</tr>
<tr>
<td></td>
<td>Approve</td>
<td>Approved</td>
<td>Supervisor/Super User</td>
</tr>
<tr>
<td>Request for Approval</td>
<td>Approve</td>
<td>Approved</td>
<td>Supervisor/Super User</td>
</tr>
<tr>
<td></td>
<td>Reject</td>
<td>Rejected</td>
<td>Supervisor</td>
</tr>
<tr>
<td></td>
<td>Close</td>
<td>Closed</td>
<td>Supervisor/Super User</td>
</tr>
<tr>
<td>Approved</td>
<td>Reapprove</td>
<td>Approved</td>
<td>Supervisor/Admin/Super User</td>
</tr>
<tr>
<td></td>
<td>Reject</td>
<td>Rejected</td>
<td>Admin/Super User</td>
</tr>
<tr>
<td></td>
<td>Close</td>
<td>Closed</td>
<td>Admin/Super User</td>
</tr>
<tr>
<td></td>
<td>Generate E- File</td>
<td>E-File Generated</td>
<td>Admin/Super User</td>
</tr>
<tr>
<td>Rejected</td>
<td>Request For Approval</td>
<td>Requested for Approval</td>
<td>Analyst/Super User</td>
</tr>
<tr>
<td></td>
<td>Close</td>
<td>Closed</td>
<td>Analyst/Supervisor/Super User</td>
</tr>
<tr>
<td></td>
<td>Approve</td>
<td>Approved</td>
<td>Supervisor/Super User</td>
</tr>
<tr>
<td>E-File Generated</td>
<td>File</td>
<td>Filed</td>
<td>Admin/Super User</td>
</tr>
<tr>
<td></td>
<td>Reject</td>
<td>E-File Rejected</td>
<td>Admin/Super User</td>
</tr>
<tr>
<td>Rejected from E-File</td>
<td>Request For Approval</td>
<td>Requested for Approval</td>
<td>Analyst /Super User</td>
</tr>
<tr>
<td></td>
<td>Approve</td>
<td>Approved</td>
<td>Supervisor/Super User</td>
</tr>
<tr>
<td></td>
<td>Close</td>
<td>Closed</td>
<td>Analyst/Supervisor/Super User</td>
</tr>
<tr>
<td>RE-Approve Required</td>
<td>Reapprove</td>
<td>Approved</td>
<td>Supervisor/Admin/Super User</td>
</tr>
</tbody>
</table>

**Note:** The User Roles listed are based on the role hierarchy within the system, where Supervisor has more authority than Analyst, and Super User has the highest authority.
The report is in View mode in the following statuses:

- Closed
- E-file Generated
- Filed

You cannot edit report details when the report is in View mode. All action buttons are hidden in View mode. The following table explains the status in which the report details are editable by OFSRR users.

**Table 8. Status in which report details are editable by different users**

<table>
<thead>
<tr>
<th>Report Status</th>
<th>Roles</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Analyst</td>
</tr>
<tr>
<td>Open</td>
<td>X</td>
</tr>
<tr>
<td>Request for Approval</td>
<td>X</td>
</tr>
<tr>
<td>Approved</td>
<td>X</td>
</tr>
<tr>
<td>Re-approve Required</td>
<td>X</td>
</tr>
<tr>
<td>Closed</td>
<td>X</td>
</tr>
<tr>
<td>Rejected</td>
<td>X</td>
</tr>
<tr>
<td>E-file Generated</td>
<td>X</td>
</tr>
<tr>
<td>Rejected from E-file</td>
<td>X</td>
</tr>
<tr>
<td>Filed</td>
<td></td>
</tr>
</tbody>
</table>

To view report details, click the report name in the List of Regulatory Reports. If the report is already opened by another user, the following message displays.

![Figure 14. Report Locked Message](image)

**Figure 14. Report Locked Message**
Searching Regulatory Reports

The Regulatory Reporting List page allows you to search the report list and details.

To search regulatory reports using search components, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports - SAR and click Regulatory Reports. The List of Regulatory Reports display.

2. Enter the search components in the RR Search bar.

Figure 15. List of Regulatory Reports
The following table provides a list of search components that display in the RR search bar.

### Table 9. Components of RR Search Bar

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report Name</td>
<td>Enter the report name to display report with name as specified in the search criteria.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> This field supports a wildcard search, using the % as a wildcard indicator and allows you to enter a maximum of 61 characters.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> Every report is associated with a jurisdiction, whether created manually or coming from an alert or case. When a SAR is created from an alert or case, the SAR inherits the jurisdiction that was associated to that alert or case. When creating a SAR manually, Domain 1 field on the create SAR screen displays the list of available jurisdictions. Each user has access to a set of jurisdictions. Each SAR is associated with a single jurisdiction. A user has access to any report where the user’s jurisdictions intersect with the SAR’s jurisdiction. Jurisdiction is a mandatory field for the creation of SAR whether manually or from alert/case, and hence jurisdiction cannot be empty.</td>
</tr>
<tr>
<td>Status</td>
<td>Select the report status from the drop-down list to display reports in the selected status.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> The Status search criteria is pre-selected with a list of statuses that is configurable. By default, the application displays the following statuses:</td>
</tr>
<tr>
<td></td>
<td>• Request for Approval</td>
</tr>
<tr>
<td></td>
<td>• Approved</td>
</tr>
<tr>
<td></td>
<td>• Rejected</td>
</tr>
<tr>
<td></td>
<td>• Rejected from Efile</td>
</tr>
<tr>
<td>Alert/Case ID</td>
<td>Enter the Alert/Case ID to display reports with the selected Alert/Case ID.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> Alert/Case ID is the alert/case that has triggered the creation of report in OFSRR application. This field supports a wildcard search, using the % as a wildcard indicator. For more information on how reports are auto-generated from OFSBDP, refer to Creating a New Regulatory Report from OFSBDP/OFSECM.</td>
</tr>
<tr>
<td>Subject Name</td>
<td>Enter the subject name to display reports with the selected subject name.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> This field supports a wildcard search, using the % as a wildcard indicator.</td>
</tr>
<tr>
<td>SSN/EIN/TIN</td>
<td>Enter the SSN/EIN/TIN to display reports with the selected SSN/EIN/TIN.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> This field supports a wildcard search, using the % as a wildcard indicator.</td>
</tr>
<tr>
<td>Created By (drop-down list)</td>
<td>Select the name of the user who created the regulatory report from the drop-down list to display reports created by the selected user.</td>
</tr>
<tr>
<td></td>
<td>The Created By drop-down displays 10 users at a time.</td>
</tr>
</tbody>
</table>
Searching Regulatory Reports
Chapter 3–About Regulatory Reporting

3. Click Go. The relevant search list displays.

Note: If you click Reset, all search fields are set to default values (blank).

Table 9. Components of RR Search Bar

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
</table>
| Created By (textbox) | Enter the name of the user who created the regulatory report to display reports created by the selected user. The Created By text box allows you to search for user who created the reports. To search using this text box, Click icon. A pop-up displays listing all the user names. Select the checkbox of the username to add to the search criteria. This textbox also supports wild card search. If the wildcard search results only one username, then it is automatically displayed in the search criteria. This field can have a maximum of 25 characters. **Validations:**
  - If you click Go, after entering values in both **Created By Dropdown** and **Created By Textbox**, then the application displays the following message: You have provided values for both Created By drop-down list and textboxes. Please provide value for only one field at a time.

| BSA ID | Enter the BSA ID of the report to display reports with the BSA ID as specified. **Note:** BSA stands for Bank Secrecy Act Identifier. The BSA ID is a distinct value assigned to each SAR submitted to FinCEN. FinCEN will use this ID to track a SAR as well as any corrections or amendments to that SAR. This field can have a maximum of 25 characters.

| Created Date From | Select the created date from the calendar to display reports created from the selected date. **Note:** Created Date From and To can be used independently. When both are used it returns only those SARs within the selected dates inclusive of the selected dates. When only From is used, it returns reports with a create date greater than or equal to the selected From date.

| To | Select the created date to, from the calendar to display reports created until this date.

| Due Date From | Select the due date from the calendar to display reports due from the selected date.

| To | Select the due date to, from the calendar to display reports due until this date.
Creating New Regulatory Reports

The OFSRR can either operate as a standalone application or operate along with OFSBDP. The OFSRR supports creation of reports from OFSBDP. For more information on how a report is generated from OFSBDP, refer to Creating a New Regulatory Report from OFSBDP/OFSECM. To assist clients whose suspicious activity are not captured in the typical alert/case model, the OFSRR supports the creation of manual suspicious activity reports. For more information on creating manual reports in OFSRR application refer to section Creating a New Regulatory Report from OFSRR Application.

For more information on User Roles, refer to Table 2.

This section explains the following topics:

- Creating a New Regulatory Report from OFSBDP/OFSECM
- Creating a New Regulatory Report from OFSRR Application

Creating a New Regulatory Report from OFSBDP/OFSECM

When a user with access to Regulatory Reporting selects Recommend US SAR on an Alert or Case from the Oracle Financial Services Behavior Detection platform, the data is passed to OFSRR through the web service and a report is opened in the OFSRR application. Once the report is opened in OFSRR, the same details are updated within the Oracle Financial Services Behavior Detection Platform.

To create regulatory reports from OFSBDP, follow these steps:

1. Login to OFSBDP with valid User ID/Password.

2. Click Investigation tab.

3. Select the scenario class 'ML' 'IML' or 'FR' and select the focus as AC, CB, CU, EN and HH. Select the status of the alert as New and Open. Click Search. The Alert List page displays.
Creating New Regulatory Reports
Chapter 3–About Regulatory Reporting

Figure 17. Investigation Tab

Figure 18. Alert List Page

5. Select **Recommend SAR** action from Update Section.

![Figure 19. Alert Actions Page](image1)

6. Enter comments in Comment text box in the Alert Action page

![Figure 20. Comments Entered in Alert Action Page](image2)

7. Click **Save**. A confirmation message box displays. Click **OK** in the Confirmation message box. The Regulatory Report page displays. The system passes the data to the OFSRR and displays a positive acknowledgement.

![Figure 21. Confirmation Message Box](image3)
Creating New Regulatory Reports
Chapter 3–About Regulatory Reporting

Figure 22. Regulatory Reporting Page Displaying Positive Acknowledgment

8. Click **Done** in the Regulatory Reporting page. The Alert List page displays where the user can verify the status of the alert under the **Reg Rpt Status** column.

Figure 23. Alert List Page

9. Login to Regulatory Reporting. The latest alert on which Recommend SAR action was taken displays on Regulatory Reports List.
Creating New Regulatory Reports from OFSRR Application

Users mapped to the role of Analyst, Supervisor, Super User, and Admin user can create new regulatory reports.

To create a new regulatory report, follow these steps:


![Figure 24. Create New Regulatory Report Page](image)

2. Enter the required information.
The following table explains the fields in Create New Report page.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report Name</td>
<td>Enter the report name. <strong>Note:</strong> The report name can have a maximum of 60 characters. If you enter more than 60 characters for report name, the following message displays: <em>Number of characters exceeded.</em></td>
</tr>
<tr>
<td>Corrected Report</td>
<td>Select whether the report is corrected or not from the drop-down list. <strong>Note:</strong> Corrected report is a term used by FinCEN to identify a report that was previously submitted but is being resubmitted with modifications to correct the earlier provided information. A corrected SAR must reference the previously submitted SAR by virtue of the BSA ID of the previous SAR.</td>
</tr>
<tr>
<td>Report Type</td>
<td>Displays the report type. <strong>Note:</strong> The application supports generation of US SAR, hence the value for report type is defaulted to SAR.</td>
</tr>
<tr>
<td>Domain 1</td>
<td>Select Domain 1 from the drop-down list. <strong>Note:</strong> The Domain 1 through Domain 5 fields allow a user to associate security attributes to the case being created, which can be used to control access to the case. For example, OFSRR requires that Domain 1 always be associated with a business Jurisdiction. The specific jurisdiction values that will be available in the drop-down are defined at the firm level. Once a jurisdiction is assigned to a newly created report, only users with access to that jurisdiction will be able to see and work on the report.</td>
</tr>
<tr>
<td>Domain 2</td>
<td>Select Domain 2 from the drop-down list. <strong>Note:</strong> Domain 2 through Domain 5 can be associated with other attributes such as business domains or organizations. When assigned to a report at creation, these can also be used to control access. For information on how your firm is using Domain 2 through Domain 5, contact your system administrator.</td>
</tr>
<tr>
<td>Domain 3</td>
<td>Select Domain 3 from the drop-down list.</td>
</tr>
<tr>
<td>Domain 4</td>
<td>Select Domain 4 from the drop-down list.</td>
</tr>
<tr>
<td>Domain 5</td>
<td>Select Domain 5 from the drop-down list.</td>
</tr>
<tr>
<td>Internal Control/File Number</td>
<td>Enter the internal control/file number. <strong>Note:</strong> This will be the Alert or Case ID from OFSBDP if the reports is auto-generated from OFSBDP. For manually created reports, clients will have the option to provide an internal control/file number to the new report.</td>
</tr>
<tr>
<td>Created On</td>
<td>Displays the date and time of report creation.</td>
</tr>
<tr>
<td>Created By</td>
<td>Displays the user who created the report.</td>
</tr>
</tbody>
</table>

3. Click **Save**. The following message displays: *Add Operation Successful.*


**Note:** To exit the Create New Report page, select Regulatory Reports or File Regulatory Reports from the Regulatory Reports-SAR primary menu.
**Submitting Regulatory Reports**

This process involves the following steps:

- Entering Report Details
- Submitting the Report Details for Approval/Requesting for Approval

**Entering Report Details**

The Regulatory Report Details allows users with appropriate rights to enter or update report information. For more information on User Roles, refer to Table 2.

You must enter the report details in the tabs present in the Regulatory Report Details. Following are the tabs in the Regulatory Report Details:

- Filing Institution Information
- Fin Inst Where Activity Occurred
- Suspicious Activity Information
- Subject Information
- Documents
- Narrative
- Audit

**Note:** All the fields in the Regulatory Report Details tabs have some numbers preceding the field labels. These numbers correspond to the numbers of the fields as they appear in FinCEN's SAR PDF that is used for discrete filing.

**Managing Filing Institution Information**

The Filing Institution Information page is the default page for the Regulatory Report Details.

This tab displays the following sections:

- Reporting Information
- Filing Institution Information

**Note:** This tab has a single Validate button that checks the information present in both the Reporting Information container and the Filing Institution Information container.

If you click on request for approval and if there is any error in the details of the Filing Institution Information tab, then the application displays the following message: Please Validate Filing Institution Information.
**Reporting Information**

This container displays information on the type of report filing. Following are the possible types of filing:

- **Initial Report**: Initial reports are reports that are submitted to the FinCEN for the first time.
- **Correct/Amend Prior Report**: Corrected reports are reports that were previously submitted but is being resubmitted with modifications to correct earlier provided information. A corrected SAR must reference the previously submitted SAR by virtue of the BSA ID of the previous SAR.
- **Continuing Activity Report**: They are reports that are reporting on additional and continuing behavior as related to one or more previously submitted SARs on the same subjects. If a SAR is designated as a Continuing Activity report then the user must provide the Prior BSA Number of the previously filed report.
- **Joint Report**: It is a suspicious activity report that is being filed by the current institution jointly in cooperation with another financial institution.

**Validations**

If you have selected the report as Joint Report and have not selected Initial Report or Correct/Amend Prior Report or Continuing Activity Report, then the application displays the following message: *Please select at least one of the Initial Report, Correct/Amend Prior Report or Continuing Activity Report.*

**Filing Institution Information**

This section provides details about the filing institution which is reporting the suspicious activity. There can be only one filing institution reporting the suspicious activity.

![Figure 25. Filing Institution Information Tab - Edit Mode](image-url)
Components of Filing Institution Information Tab

The following table explains the fields in the Filing Institution Information Tab.

Table 11. Fields in the Filing Institution Information Tab

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| Filing Institution Name             | Select the financial institution name from the drop-down list. All the related fields displaying the filing financial institution details get auto-populated on selection of Filing Institution name and will display as not editable.  
   **Note:** A firm may have one or more than one legal entity under which they file regulatory reports. The values available in the Filing Institution Name drop-down are defined by each client during installation. The system administrator enters the data into the database where it can be selected by the user on the User Interface. This is handled during installation by the excel upload of data. For more information on Excel Upload refer to Oracle Financial Services Regulatory Reporting Administration Guide.  
   If you have not given any value for Filing Institution Name, then the application displays the following message: *Filing institution should be present*  |
| Primary Federal Regulator           | Displays the primary federal regulator.                                                                                                                                                                     |
| TIN Type                            | Displays the TIN type.                                                                                                                                                                                       |
| TIN                                 | Displays the TIN number.                                                                                                                                                                                     |
| Type of Financial Institution       | Displays the type of financial institution.                                                                                                                                                                  |
| Other Description                   | Displays any additional information about the type of financial institution.                                                                                                                                     |
| Type of Securities and Futures Institution | Displays the type of securities and futures institution.                                                                                                                                                    |
| Other Description                   | Displays any additional information about the type of securities and futures institution.                                                                                                                     |
| Financial Institution ID            | Displays the ID of the financial institution involved in the suspicious activity.                                                                                                                             |
| Financial Institution Identification Type | Displays the financial institution identification type.                                                                                                                                                        |
| Alternate Name                      | Displays the alternate name of the financial institution.                                                                                                                                                     |
| Address                             | Displays the address of the financial institution.                                                                                                                                                             |
| City                                | Displays the City where the financial institution is located.                                                                                                                                                  |
| State                               | Displays the State where the financial institution is located.                                                                                                                                                 |
| Postal Code                         | Displays the postal code of the financial institution.                                                                                                                                                         |
| Country                             | Displays the Country where the financial institution is located.                                                                                                                                               |
| Filing Institute Contact Office     | Displays the filing institution contact office name.                                                                                                                                                           |
| Filing Inst Contact Number          | Displays the filing institution contact number.                                                                                                                                                                |
| Extension                           | Displays the extension of the filing institution.                                                                                                                                                              |
|                                      | The Fields Filing Inst Contact Office, Filing Inst Contact Num, and extension are configurable. That is the values in these fields are auto-populated which can be edited if required.                                     |
Submitting Regulatory Reports
Chapter 3–About Regulatory Reporting

Note: If you have not entered the values for mandatory fields such as Filing Institution Name, Contact Office and Contact Number, the application displays the following message: You have not given values for some mandatory fields. Please make sure you enter values for mandatory details i.e. Filing Institution Name, Contact Office and Contact Number.

### Entering Filing Institution Information

To enter details about the filing institution information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report Name. The RR Details display.
3. Click **Filing Institution Information** tab. The **Filing Institution** details display.
4. Enter the required information. For more information on the fields in Filing Institution Information tab, refer to **Table 11**.

#### Table 11. Fields in the Filing Institution Information Tab

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| Internal Control/File Number | Enter the internal control/file number.  
**Note:** This will be the Alert or Case ID from OFSBDP if the reports are auto-generated from OFSBDP. For manually created reports, clients will have the option to provide an internal control/file number to the new report. |
| Prior Report Doc Number  | Enter the prior report document number.  
**Note:** Prior Report Doc Number refers to the unique identifier assigned to a report that has been submitted to the regulatory body. This field is applicable when filing a continuing activity, corrected or supplemental report on a previously submitted report.  
Select unknown check box if the prior report document number is unknown.  
**Validations:**  
If Prior Report Doc Number is not entered for Corrected, Supplemental, and Continuing Reports nor if the Unknown checkbox field has been marked, the application displays the following message: *Prior Report Doc Number in Financial Institution Info Tab is mandatory for Corrected, Supplemental or Continuing Reports. Please enter the value or check Unknown if the value is not known.*  
If you have entered one or more prohibited words in fields Filing Institution Contact Office and Prior Report Doc Number, then the application displays the following message: *You are not allowed to enter prohibited words in Filing Institution Contact Office and Prior Report Doc Number. Following words are prohibited: AKA, COMPUTER GENERATED, CUSTOMER, DBA, NON CUSTOMER, NONE, NOT APPLICABLE, OTHER, SAME, SAME AS ABOVE, SEE ABOVE, SEE NARRATIVE, SIGNATURE CARD, T/A, UNKNOWN, VARIOUS, XX.* |

**Note:** If you have not entered the values for mandatory fields such as Filing Institution Name, Contact Office and Contact Number, the application displays the following message: You have not given values for some mandatory fields. Please make sure you enter values for mandatory details i.e. Filing Institution Name, Contact Office and Contact Number.
5. Click **Save**. The following message displays: *Update Operation Successful.*

6. Click **OK**. The Filing Institution Information page displays.

   **Note:** If you click **Reset**, the unsaved data is reset to the last saved value in the Filing Institution Information page.

### Editing Filing Institution Information

To edit details about the filing institution information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report Name. The RR Details display.

3. Click **Filing Institution Information** tab. The **Filing Institution** details display.

4. Modify the required information in the fields in the **Filing Institution Information** tab.

5. Click **Save**. The following message displays: *Update Operation Successful.*

6. Click **OK**. The Filing Institution Information page displays.

   **Note:** If you click **Reset**, the unsaved data is reset to the last saved value in the Filing Institution Information page.

You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are hidden in the Filing Institution Information tab when the report is in View mode.

---

**Figure 26. Filing Institution Information Tab- View Mode**

### Managing Financial Institution Where Activity Occurred

The Financial Institution where Activity Occurred tab captures the data of the financial institution where the suspicious activity has occurred and also the associated branches of the financial institution that are involved in the suspicious activity.

Select the **Fin Inst Where Activity Occurred** tab. The page refreshes and displays the Financial Institution Where Activity Occurred grid. The Financial Institution details of the first record is auto-populated down the grid. The auto-populated pane has a left hand side (LHS) menu with Financial Institution Details and Branch Details options. This page allows you add, edit or delete details about the financial institution where activity occurred and branch details.
Note: The Internal Control/File Number field displays in the Financial Institution Where Activity Occurred tab only in View mode. Editing or entering a value for this field must be done from the Financial Institution Information tab.

The **Validate** button in this tab checks for any missing mandatory information.
The following table explains the columns in Financial Institution Where Activity Occurred grid.

### Table 12. Columns in Financial Institution Where Activity Occurred Grid

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Institution Name</td>
<td>Displays the name of the financial institution.</td>
</tr>
<tr>
<td>Type</td>
<td>Displays the type of financial institution.</td>
</tr>
<tr>
<td>Primary Federal Regulator</td>
<td>Displays the primary federal regulator.</td>
</tr>
<tr>
<td>State</td>
<td>Displays the State in which the institution involved in the suspicious activity is located.</td>
</tr>
<tr>
<td>Country</td>
<td>Displays the Country in which the institution involved in the suspicious activity is located.</td>
</tr>
<tr>
<td>Financial Institution Code</td>
<td>Displays the financial institution code assigned to the institution involved in the suspicious activity.</td>
</tr>
</tbody>
</table>

![Figure 27. Fin Inst Where Activity Occurred Tab - Edit Mode](image)
Adding Financial Institution where Activity Occurred

To add information about the financial institution where activity occurred, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Fin Inst Where Activity Occurred tab.
5. Enter the required information.
   For more information on the fields in the Financial Institution Where Activity Occurred pop-up window, refer to Table 13.
6. Click Save. The following message displays: Update Operation Successful.
7. Click OK.
8. Click Close to close the Financial Institution Where Activity Occurred pop-up window.

**Note:** If you click Clear, all the fields are set to default values, that is blank.
## Components of Financial Institution Where Activity Occurred Pop-up Window

The following table explains the fields in the Financial Institution Where Activity Occurred pop-up window.

### Table 13. Fields in Financial Institution where Activity Occurred pop-up window

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Loss to Financial Institution</td>
<td>Enter the loss incurred during the suspicious activity.</td>
</tr>
<tr>
<td>Role</td>
<td>Enter the role of the financial institution in the suspicious activity.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> These are values as defined by FinCEN. Role refers to the role</td>
</tr>
<tr>
<td></td>
<td>played by the institution in the suspicious activity when certain product</td>
</tr>
<tr>
<td></td>
<td>types or instruments/payment mechanisms were used in the activity.</td>
</tr>
<tr>
<td></td>
<td>Role is a drop-down list with the following options:</td>
</tr>
<tr>
<td></td>
<td>• <strong>Paying Location:</strong> The financial institution is considered to have</td>
</tr>
<tr>
<td></td>
<td>played the role of <em>Paying Location</em> if the customer received payment from</td>
</tr>
<tr>
<td></td>
<td>the institution for the products or instruments recorded on the SAR.</td>
</tr>
<tr>
<td></td>
<td>• <strong>Selling Location:</strong> The financial institution is considered to have</td>
</tr>
<tr>
<td></td>
<td>played the role of <em>Selling Location</em> if the customer purchased products or</td>
</tr>
<tr>
<td></td>
<td>instruments from the institution.</td>
</tr>
<tr>
<td></td>
<td>• <strong>Both a and B:</strong> You must select <em>Both a and b</em> if the financial</td>
</tr>
<tr>
<td></td>
<td>institution was both a paying and selling location for the products or</td>
</tr>
<tr>
<td></td>
<td>instruments recorded on the SAR.</td>
</tr>
<tr>
<td>Legal name of the Financial Institution</td>
<td>Select the legal name of the financial institution from the drop-down list.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> All other information except loss of financial institution and</td>
</tr>
<tr>
<td></td>
<td>role gets auto-populated on selection of this field and are not editable.</td>
</tr>
<tr>
<td>Alternate Name</td>
<td>Displays the alternate name of the financial institution.</td>
</tr>
<tr>
<td>Type of Financial Institution</td>
<td>Displays the type of financial institution.</td>
</tr>
<tr>
<td>Other Description</td>
<td>Displays any additional information about the type of financial institution.</td>
</tr>
<tr>
<td>Financial Institution Code</td>
<td>Displays the financial institution code.</td>
</tr>
<tr>
<td>Primary Federal Regulator</td>
<td>Displays the primary federal regulator.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> Primary Federal Regulator is the state or federal regulatory</td>
</tr>
<tr>
<td></td>
<td>agency that is the primary supervising entity of a financial institution.</td>
</tr>
<tr>
<td>Financial Institution ID Type</td>
<td>Displays the financial institution ID type.</td>
</tr>
<tr>
<td>Financial Institution ID Number</td>
<td>Displays the financial institution ID number.</td>
</tr>
<tr>
<td>TIN</td>
<td>Displays the TIN number.</td>
</tr>
<tr>
<td>TIN Type</td>
<td>Displays the TIN type.</td>
</tr>
<tr>
<td>Type of Gaming Institute</td>
<td>Displays the type of gaming institute.</td>
</tr>
<tr>
<td>Other Description</td>
<td>Displays any additional information about the type of gaming institute.</td>
</tr>
<tr>
<td>Type of Securities and Futures</td>
<td>Displays the type of securities and futures institution.</td>
</tr>
<tr>
<td>Institution</td>
<td>Displays any additional information about the type of securities and futures</td>
</tr>
<tr>
<td>Other Description</td>
<td>institution.</td>
</tr>
<tr>
<td>Address</td>
<td>Displays the address of the financial institution where the suspicious</td>
</tr>
<tr>
<td>City</td>
<td>displays occurred.</td>
</tr>
<tr>
<td>State</td>
<td>Displays the City in which the institution involved in the suspicious</td>
</tr>
<tr>
<td></td>
<td>activity is located.</td>
</tr>
<tr>
<td></td>
<td>Displays the State in which the institution involved in the suspicious</td>
</tr>
<tr>
<td></td>
<td>activity is located.</td>
</tr>
</tbody>
</table>
Submitting Regulatory Reports
Chapter 3–About Regulatory Reporting

Editing Financial Institution Where Activity Occurred Details

To edit details about the financial institution where activity occurred, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click Fin Inst Where Activity Occurred tab. The Financial Institution where Activity Occurred grid displays.
4. Select the check box of the Financial Institution where Activity Occurred record you want to modify.
5. Click Edit. The Financial Institution Where Activity Occurred pop-up window displays.
6. Modify the necessary information.
7. Click Save. The following message displays: Update Operation Successful.
8. Click OK. The Financial Institution Where Activity Occurred pop-up window displays.
   **Note:** Click Close in the Financial Institution Where Activity Occurred pop-up window. The changes made are displayed in the Financial Institution Where Activity Occurred grid.

Deleting Financial Institution Where Activity Occurred

To delete details about the Financial Institution Where Activity Occurred, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click Fin Inst Where Activity Occurred tab. The Financial Institution Where Activity Occurred grid lists all the details of the financial institution where activity occurred.
4. Select the check box of the financial institution you want to delete.
5. Click Delete. The following message displays: Are you sure you want to delete this record?
6. Click OK. The following message displays: Delete Operation Successful.
7. Click OK. The Financial Institution Where Activity Occurred grid displays.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postal</td>
<td>Displays the postal code of the financial institution.</td>
</tr>
<tr>
<td>Country</td>
<td>Displays the Country in which the institution involved in the suspicious activity is located.</td>
</tr>
</tbody>
</table>
Branch Details

The Branch Details LHS menu displays the branch data of the currently selected financial institution involved in the suspicious activity.

The following table explains the columns in Branch Details grid.

Table 14. Columns in Branch Details Grid

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Branch Code</td>
<td>Displays the branch code.</td>
</tr>
<tr>
<td>Address</td>
<td>Displays the address details of the branch.</td>
</tr>
<tr>
<td>City</td>
<td>Displays the city where the branch is located.</td>
</tr>
<tr>
<td>State</td>
<td>Displays the State where the branch is located.</td>
</tr>
<tr>
<td>Postal Code</td>
<td>Displays the zip code where the branch is located.</td>
</tr>
<tr>
<td>Country</td>
<td>Displays the Country where the branch is located.</td>
</tr>
<tr>
<td>RSSD ID Number</td>
<td>Displays the RSSD number of the branch.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> RSSD ID number is a unique identifying number assigned by the Federal Reserve for all financial institutions, main offices, and branches. RSSD specifically refers to the assigned identifier for Research, Statistics, Supervision, and Discount identification numbers.</td>
</tr>
<tr>
<td>Branch Role</td>
<td>Displays the role of the financial institution branch in the suspicious activity.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> These are values as defined by FinCEN. Role refers to the role played by the institution in the suspicious activity when certain product types or instruments/payment mechanisms were used in the activity.</td>
</tr>
<tr>
<td></td>
<td>Role is a drop-down list with the following options:</td>
</tr>
<tr>
<td></td>
<td>● <strong>Paying Location:</strong> The financial institution is considered to have played the role of Paying Location if the customer received payment from the institution for the products or instruments recorded on the SAR.</td>
</tr>
<tr>
<td></td>
<td>● <strong>Selling Location:</strong> The financial institution is considered to have played the role of Selling Location if the customer purchased products or instruments from the institution.</td>
</tr>
<tr>
<td></td>
<td>● <strong>Both a and B:</strong> You must select Both a and b if the financial institution was both a paying and selling location for the products or instruments recorded on the SAR.</td>
</tr>
</tbody>
</table>

Figure 29. Branch Details - Edit Mode

If there is no branch involved in the suspicious activity, check Unknown in the Branch Information grid. It is mandatory to either select the Unknown check box or add branch details to the report.
Note:

1. If there are no branch details added and also the No Branch Involved check box is not checked, the following message displays on validation: *You must either select a branch for this SAR or indicate No Branch Involved.*

2. If you try to add branch information when the No Branch Involved field is checked, the following message displays: *You have indicated that no branch is involved. You must unselect that option before adding a branch.*

3. If you select the check box for *No Branch Involved* when there are existing records on the grid, the following message displays: *You have selected No branch involved with branch records already present. Click OK to continue and delete all existing branch records or Cancel to cancel the selection.*

   If you select **OK**, the *No Branch Involved* check box will be marked and permanently deletes all the existing branch details.

**Adding Branch Details**

To add branch data about the financial institution involved in the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Fin Inst Where Activity Occurred** tab.

4. Click **Branch Details** in the LHS menu. The Branch Information grid displays.

5. Click **Add**. The Add a New Branch pop-up window displays.

![Figure 30. Add a New Branch Pop-up Window](image)

6. Enter the required information.

7. Click **Save**. The following message displays: *Update Operation Successful.*

8. Click **OK**. The branch details are saved.

   If you click **Clear**, the details in the Add a New Branch pop-up window is reset to blank values. Click **Close** to close the Add a New Branch pop-up window.

**Note:** When you click after entering the branch code in the Add a New Branch pop-up window, all the related information gets auto-populated (except role) and is not editable. Clicking the search icon validates that the branch code entered is a valid branch for your institution.
Note: If you try to save the details in the Add a New Branch pop-up window without first identifying the branch, the following message displays: Please select a Branch before saving.

Editing Branch Details

To edit branch data about the financial institution involved in the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click Fin Inst Where Activity Occurred tab.
4. Click Branch Details in the LHS menu. The Branch Information grid displays.
5. Select the branch details you want to edit.
6. Click Edit. The Add a New Branch pop-up window displays.
7. Modify the required information.
8. Click Save. The following message displays: Update Operation Successful.
9. Click OK. The page is refreshed and displays the modified data.

Deleting Branch Details

To delete branch data about the financial institution involved in the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click Fin Inst Where Activity Occurred tab.
4. Click Branch Details in the LHS menu. The Branch Information grid displays.
5. Select the branch details you want to delete.
6. Click Delete. The following message displays: Are you sure you want to delete this record?
7. Click OK. The following message displays: Delete Operation Successful.
8. Click OK. The branch details are deleted.

You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, and Delete, are hidden in the Branch Information grid when the report is in View mode.

![Figure 31. Branch Details - View Mode](image-url)
You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, Delete, and Validate, are hidden in the Financial Institution Where Activity Occurred grid when the report is in View mode.

Managing Suspicious Activity Information

The Suspicious Activity Information tab lists all the suspicious activity related information such as Activity Classification, Law Enforcement Agency details, Additional Information related to suspicious activity, and so on.

This tab displays the following options in the LHS menu:

- Suspicious Activity Details
- Activity Classification
- Law Enforcement Agency Details
- Additional Information

This tab displays Validate button and Validate tab button. The Validate button checks the information on the current section, whereas the Validate tab button validates information for all the sections on this tab.

If you click on request for approval and if there is any error in the details of Suspicious Activity tab, then the application displays the following message: Please Validate Suspicious Activity.
**Suspicious Activity Details**

You can add details about the suspicious activity in the Suspicious Activity Details pane. This pane is displayed by default.

**Adding Suspicious Activity Details**

To add details about the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Suspicious Activity Information** tab.
4. Click **Suspicious Activity** in the LHS menu. The Suspicious Activity details display.

The following table explains the fields in Suspicious Activity details pane.

**Table 15. Fields in Suspicious Activity Details Pane**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity Date From</td>
<td>Enter the date on which the suspicious activity is believed to have started.</td>
</tr>
<tr>
<td></td>
<td>If you click on Validate tab and if the date entered in Activity Date From field is lesser than 1 January 1950, then the application displays the following message: Please enter a date in field “Activity Date From” which is later than or equal to 1st January 1950.</td>
</tr>
<tr>
<td></td>
<td>If you click on validate button and if there is no value entered in Activity date, the application displays the following message: Activity date from must be entered.</td>
</tr>
<tr>
<td>To</td>
<td>Enter the date on which the suspicious activity is believed to have ended.</td>
</tr>
<tr>
<td></td>
<td>If you click on Validate tab and if the date entered in Activity Date From field is greater than the date entered in the To date field, the application displays the following message: Activity Date From cannot be greater than the To Date.</td>
</tr>
<tr>
<td>Amount</td>
<td>Enter the amount involved in the suspicious activity.</td>
</tr>
<tr>
<td></td>
<td>If you click on Validate tab and if the cumulative amount entered is less than the amount entered in the amount field of Suspicious activity details, then the application displays the following message: Activity Date From cannot be greater than the To Date.</td>
</tr>
<tr>
<td></td>
<td>If you click on Validate tab and if you have entered 0 in the Amount field, then the application displays the following message: Zero should not be entered in Amount field in Suspicious Activity Information.</td>
</tr>
</tbody>
</table>
5. Enter the required information.

6. Click **Save**. The following message displays: *Update Operation Successful.*

   **Note:** If you click **Reset**, the page is refreshed and displays the last saved suspicious activity details.

7. Click **OK**. The suspicious activity details are saved.

   If you try to perform **Request for Approval** action on the report, without entering Suspicious Activity Amount or without indicating that there is no amount involved or amount is unknown, the following message displays: *Either Amount or Amount Unknown/No Amount field should be entered in suspicious activity information.*

   If you specify an amount and also select **No Amount Involved** or **Amount Unknown** in the Suspicious activity details pane, the following message displays: *When no amount is involved or is unknown, then amount should not be entered.*

   If you click on Validate Tab button and if the information in the Suspicious Activity Details section is not correct, then the application displays the following message: *Please Validate the Section Suspicious Activity Details.*

---

**Table 15. Fields in Suspicious Activity Details Pane**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| Cumulative Amount     | Enter the cumulative amount involved in the suspicious activity.  
                        | **Note:** Cumulative Amount must be populated only if the report is a  
                        | Continuing Activity Report.                                                |
|                       | If the Cumulative Amount is blank for a Continuing Activity Report, then the  
                        | application displays the following message: *The report is marked as "Continuing  
                        | Activity Report" and Cumulative Amount is missing. If the Cumulative Amount is  
                        | unknown or there is no Cumulative Amount involved please enter 0.*          |
|                       | If you click on validate button and when the report is not a Continuing Activity  
                        | Report with a value entered in Cumulative Amount field, the application displays  
                        | the following message: *The report is not a "Continuing Activity Report" so  
                        | Cumulative Amount field in Suspicious Activity tab should be left blank. Also it  
                        | should not be entered as 0.*                                              |
| Amount Unknown/no No  | Select amount unknown or no amount involved from the drop-down list.  
                        | Amount                                    |
| Note: Select **amount unknown** if the amount involved in suspicious activity  
  is unknown.  
| Note: Select **No amount involved** if there is no amount involved in the  
  suspicious activity.  
| If you click on Validate button in Suspicious Activity Details section without  
  entering any value in Amount field or if you do not select either Amount  
  unknown, nor No amount involved, then the application displays the following  
  message: *Either Amount or Amount Unknown/No Amount field should be entered in suspicious activity information.*  
| If you have entered a value in Amount field and also selected No Amount  
  Involved or Amount Unknown option, then the application displays the following  
  message: *When no amount is involved or is unknown, then Amount should not  
  be entered.* |

---
Activity Classification

Select Activity Classification from the LHS menu to view the Activity Classification pane. This section provides options to describe the type of suspicious activity such as Fraud, Terrorist financing, Insurance, Casinos, and so on. When selected, Activity Classification displays the following classification categories:

- Structuring
- Terrorist Financing
- Fraud
- Casinos
- Money Laundering
- Identification/Documentation
- Other Suspicious Activities
- Insurance
- Securities/Futures/Options
- Mortgage Fraud

Were any of the following product type(s) involved in the suspicious activity?

Were any of the following instrument type(s)/payment mechanism(s) involved in the suspicious activity?

Within each category there are options to select specific behavior that indicate why it was felt the suspicious activity could be considered Structuring or Terrorist Financing and so on. Review the options within each category and select one or more that best describe the activity being reported.

Each of these classifications in the Activity Classification LHS menu contains subtypes. You can check all the options applicable to the suspicious activity.

If you select Other from the activity classification list, you must enter a description of the activity classification in the Other field.

If you click Save, all the details in Activity Classification pane are saved and if you click Reset, the fields in the pane are reset to the last saved values.
Validations for Activity Classification

If you click on Validate button and if you have marked Other in any of the fields in Activity classification section without entering any description, then the application displays the following messages accordingly:

- If you have marked Other in Instrument Type/Payment Mechanism Involved and have not provided any description, then the application displays the following message: If Instrument Type/Payment Mechanism Involved contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Product type and have not provided any description, then the application displays the following message: If product type involved contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Mortgage fraud and have not provided any description, then the application displays the following message: If mortgage fraud contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Securities/futures/options and have not provided any description, then the application displays the following message: If securities/futures/options contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Identification documentation and have not provided any description, then the application displays the following message: If identification documentation contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Money laundering and have not provided any description, then the application displays the following message: If money laundering contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Casinos and have not provided any description, then the application displays the following message: If casinos contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Insurance and have not provided any description, then the application displays the following message: If insurance contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Terrorist and have not provided any description, then the application displays the following message: If terrorist financing contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Structuring and have not provided any description, then the application displays the following message: If structuring contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Other Suspicious activity and have not provided any description, then the application displays the following message: If other suspicious activity contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have not marked any of the activity classification, then the application displays the following message: At least one activity classification should be present.
If you click on Validate Tab button and if the information in the Activity Classification section is not correct, then the application displays the following message: **Please Validate the Section Activity Classification.**

---

**Law Enforcement Agency Details**

Select Law Enforcement Agency Details from the LHS menu to view the Law Enforcement Agency Details pane. You can update the Law Enforcement Agency details contacted by the firm regarding the suspicious activity in this pane.

The following table explains the fields in the Law Enforcement Agency Details.

**Table 16. Fields in the Law Enforcement Agency Details**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>LE Contact Agency</td>
<td>Enter the law enforcement contact agency.</td>
</tr>
<tr>
<td>LE Contact Name</td>
<td>Enter the law enforcement contact name.</td>
</tr>
</tbody>
</table>

If you click on Validate button and if there are one or more prohibited words entered in LE Contact Agency and LE Contact Name fields, then the application displays the following message: **You are not allowed to enter prohibited words in LE Contact Agency and LE Contact Name. Following words are prohibited: AKA, COMPUTER GENERATED, CUSTOMER, DBA, NON CUSTOMER, NONE, NOT APPLICABLE, OTHER, SAME, SAME AS ABOVE, SEE ABOVE, SEE NARRATIVE, SIGNATURE CARD, T/A, UNKNOWN, VARIOUS, XX.**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Number</td>
<td>Enter the contact number of the law enforcement agency.</td>
</tr>
<tr>
<td>Extension</td>
<td>Enter the extension number of the law enforcement agency.</td>
</tr>
<tr>
<td>LE Contact date</td>
<td>Select the date on which the law enforcement agency was contacted.</td>
</tr>
</tbody>
</table>

**Note:** If you click **Save**, all the details in Law Enforcement Agency pane are saved and if you click **Reset**, the fields in the pane are reset to last saved values.

If you click on Validate Tab button and if the information in the Law Enforcement Agency Details section is not correct, then the application displays the following message: **Please Validate the Section Law Enforcement Agency Details.**
Figure 35. Law Enforcement Agency Details – Edit Mode
**Additional Information**

Select **Additional Information** from the LHS menu to view the Additional Information pane. You can add any additional information about the suspicious activity that has been identified.

Additional information includes specifics regarding any of the following that may have been involved in the activity being reported.

Following are the types of additional information:

- **Commodity Type**: If a commodity is involved in the suspicious activity this should be used to record the commodity type involved. Multiple commodity types should be reported if more than one commodity type is involved in the suspicious activity.

- **Product/Instrument Description**: If a product or instrument/payment mechanism has been indicated as part of the suspicious activity, this should be used to provide a more detailed description of the product or instrument involved. Multiple descriptions should be completed if more than one product or instrument type is reported.

- **Market Where Traded**: If a transaction involving a commodity has been indicated as part of the suspicious activity, this should be used to provide the three to five letter code for the market where the commodity was traded. Multiple market codes should be recorded if multiple markets are involved in the activity.

- **IP Address**: This should be used to provide the Internet Protocol (IP) Address of a computer involved in the suspicious activity, if known. As many as 99 IP Addresses can be entered if known.

- **CUSIP Number**: If any securities products such as stocks and bonds are involved in the suspicious activity, this can be used to provide the CUSIP (Committee on Uniform Securities Identification Procedures) number of those products. Multiple CUSIP numbers may be provided if there are multiple securities products involved.

The Additional Information grid displays the additional information type and description fields.

![Figure 36. Additional Information – Edit Mode](image-url)
Adding Additional Information

To add additional information about the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Suspicious Activity Information tab.
4. Click Additional Information in the LHS menu. The Additional Information grid displays.
5. Click Add. The Additional Information pop-up window displays.

![Additional Information - Windows Internet Explorer](image)

Figure 37. Add Additional Information Pop-up Window

6. Select the appropriate additional information type.
7. Enter the description.

**Note:** The description field in Additional Information pop-up window allows entering a maximum of 50 characters. As you begin entering the comments, the word count displayed below the description field keeps decreasing. If you try to enter more than 50 characters in the description field, the following message displays: *Number of characters exceeded.*
8. Click Save. The following message displays: *Update Operation Successful.*
9. Click OK. The additional information details are saved.

**Note:** Click Clear to clear the data in the Additional Information pop-up window, and click Close to close the additional information details.
**Editing Additional Information**

To edit additional information, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click Suspicious Activity Information tab.
4. Click Additional Information in the LHS menu. The Additional Information grid displays additional information about the suspicious activity.
5. Select the additional information you want to edit.
6. Click Edit. The Additional Information pop-up window displays.
7. Modify the required information.
8. Click Save. The following message displays: Update Operation Successful.
9. Click OK. The additional information details are saved.

**Deleting Additional Information**

To delete additional information, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click Suspicious Activity Information tab.
4. Click Additional Information in the LHS menu. The Additional Information grid displays all the additional information about the suspicious activity.
5. Select the additional information you want to delete.
6. Click Delete. The following message displays: Are you sure you want to delete this record?
7. Click OK. The following message displays: Delete Operation Successful.
8. Click OK. The additional information details are deleted.
You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are hidden in the Suspicious Activity Details when the report is in View mode.

**Figure 38. Suspicious Activity Details - View Mode**
You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are hidden in the Activity Classification pane when the report is in View mode.

**Figure 39. Activity Classification - View Mode**
You cannot edit the report details when the report is in View mode. Action buttons, such as, Save and Reset, are hidden in the Law Enforcement Agency Details when the report is in View mode.

**Figure 40. Law Enforcement Agency Details - View Mode**
You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, and Delete, are hidden in the Additional Information grid when the report is in View mode.

![Figure 41. Additional Information - View Mode](image)

### Managing Subject Information

The Subject Information page lists information related to the subject, accounts associated to the subject, and subject’s relationship with the financial institution. A maximum of 999 records can be added to one report/suspicious activity.

The **Validate** button in the Subject Information grid checks for any missing mandatory information.

The following table explains the columns in Subject Information grid.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subject Record #</td>
<td>Displays the subject record number which is a system generated unique number which will identify this subject for this report. Note: It is used primarily in confirmation messages to help identify subjects whose information does not meet validation or approval requirements.</td>
</tr>
<tr>
<td>Subject Name</td>
<td>Displays the subject name.</td>
</tr>
<tr>
<td>TIN</td>
<td>Displays the subject TIN number.</td>
</tr>
<tr>
<td>Occupation/Type of Business</td>
<td>Displays the occupation/type of business of the subject.</td>
</tr>
<tr>
<td>Role</td>
<td>Defines the role of the subject in the suspicious activity being reported. Role is a drop-down list with the following options:</td>
</tr>
<tr>
<td></td>
<td><strong>Purchaser/Sender</strong>: If the subject purchased or sent the instruments or products involved in the suspicious activity they are considered to have played the role of Purchaser/Sender.</td>
</tr>
<tr>
<td></td>
<td><strong>Payee/Receiver</strong>: If the subject received the instruments or products involved in suspicious activity they are considered to have played the role of the Payee/Receiver.</td>
</tr>
<tr>
<td></td>
<td><strong>Both a and b</strong>: You must select this option if the subject acted as both Purchaser/Sender and Payee/Receiver.</td>
</tr>
</tbody>
</table>

Oracle Financial Services Regulatory Reporting 2.5.1 User Guide USSAR 59
Adding Subject Information

To add subject information, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Click Add. The Subject details window expands below where you can enter the required subject information.
The following table explains the fields in the Subject Information pop-up window:

**Table 18. Fields in Subject Information Pop-up Window**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| Is critical information unknown?    | Select this check box if all critical information about the subject is unavailable. Critical information is considered to be:  
  ● Last Name/Entity Name  
  ● First Name  
  ● TIN  
  ● DOB  
  ● Address  
  ● Identification |
| Is subject an Entity                | Select this check box if the subject is an entity.  
  **Note:** Some of the fields such as first name, middle name, suffix, gender, date of birth, etc, get disabled on selection of this check box. |
| Last Name/Entity Name               | Enter the last name of the entity or subject.                                 |
| Middle Name                         | Enter the subject middle name.                                               |
| First Name                          | Enter the subject first name.                                                |
| Suffix                              | Enter the subject suffix.                                                    |
| DOB                                 | Enter the subject date of birth.                                             |
| Gender                              | Enter the subject gender.                                                    |
| TIN                                 | Enter the subject TIN number.                                                |
| TIN Type                            | Enter the subject TIN type.                                                  |
| NAICS Code                          | Select the NAICS code.  
  NAICS stands for *The North American Industry Classification System*. It is used by business and government to classify and measure economic activity in Canada, Mexico and the United States.  
  The NAICS numbering system is a six-digit code. The first five digits are generally the same in all three countries. The last digit designates national industries. The first two digits designate the largest business sector, the third digit designates the subsector, the fourth digit designates the industry group, and the fifth digit designates particular industries. |
| Occupation/Type of Business         | Enter the occupation or type of business of the subject.                     |
5. Enter the required information.

   **Note:** For some fields where information may not be known there is an option to select the *Unknown* check box. A value must be provided for those fields where the unknown check box is not selected, unless the *Is All Critical Information* check box is selected, in which case these fields will be considered unknown.

6. Click **Save**. The following message displays: *Update Operation Successful*.

7. Click **OK**. The subject information is saved.

   **Note:** You can now view grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

---

### Table 18. Fields in Subject Information Pop-up Window

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corroborative Statement Received</td>
<td>Select whether the corroborative statement is received.</td>
</tr>
<tr>
<td><strong>Note:</strong> As per FinCEN, a corroborative statement is considered to be where the subject has made a statement to the filing institution admitting to the involvement or otherwise substantiating the suspicious activity. If such a statement was made you must select <strong>Yes</strong>. If not, select <strong>No</strong>. If you select Yes, then the nature of that statement should be captured in the report <em>Narrative</em>. If you click Save without selecting any value in this field, then the application displays the following message: <em>You have not selected any value for Corroborative Statement Received for Suspect ID- &lt;Suspect ID&gt;</em>.</td>
<td></td>
</tr>
<tr>
<td>Subject role</td>
<td>Select the role of the subject in the suspicious activity.</td>
</tr>
</tbody>
</table>
**Editing Subject Information**

To edit subject information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Subject Information** tab.
4. Select the record you want to edit in the Subject Information grid. A window expands below displaying all the Subject Information.
5. Modify the necessary information.
6. Click **Save**. The following message displays: *Update Operation Successful.*
7. Click **OK**. The subject information is saved.

**Deleting Subject Information**

To delete subject information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Subject Information** tab.
4. Select the record you want to delete in the Subject Information grid.
5. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*
6. Click **OK**. The following message displays: *Delete Operation Successful.***
7. Click **OK**. The Subject information is deleted.
Note:

1. If *Is critical information unknown?* is unchecked and you have not entered information for at least one critical field or have not checked all of the subject info associated with Unknown check boxes, the following message displays: *Sub# Subject Record- “Is critical information unknown” is not checked and some mandatory fields are missing. Please make sure you enter values for mandatory Subject details i.e. (Last Name/ Entity Name, First Name, TIN, DOB, address, and Identification Information or mark fields as Unknown.*

2. If you are adding or editing the subject details and select the *Is critical information unknown?* check box after entering information in one or more critical fields, the following message displays: *All critical information of the subject i.e. Last Name/ Entity Name, First Name, TIN, DOB, Address details and Identification Information will be cleared if the critical information unknown field is checked. Click OK to continue and clear values from the mandatory fields or Cancel to modify your selection.*

3. If you select the Critical Information Unknown check box, you will not be able to add subject address and identification details and the following message displays: *You are not allowed to add address and identification info when 'Is critical information unknown?' field is true.*

4. In Subject Information tab, if you click on Validate button and if there are no records present in Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: *There is no Record present to Validate the information.*

5. In Subject Information tab, if you click on Validate button and if there is a blank record present in Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: *There is Blank Record present to Validate the information. Please enter the information in the record and then Validate.*

**Adding Subject Address**

To add subject address details, follow these steps.

1. From the Regulatory Reporting menu, hover over *Regulatory Reports – SAR* and click *Regulatory Reports*. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the *Subject Information* tab.

4. Select the record for which you want to add the subject address details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click *Add* in the Address grid. The Address pop-up window displays.
6. Enter the required information in the Address pop-up window.

   **Note:** You must either provide a value for each field or select the Unknown check box for any part of the address that is not known.

7. Click **Save**. The following message displays: *Update Operation Successful*.

8. Click **OK**. The subject address details are saved.

   Click **Clear** to clear the entries in the Address pop-up window and click **Close** to close the Address pop-up window.

**Validations:**

The OFSRR application performs the following validations while entering subject address details:

- You are not allowed to add Address and Identification Information when *Is critical information unknown?* field is true.
- You must not enter more than 100 characters in Address field.
- You must not enter more than 50 characters in city field.
- For US, the postal code must contain only numbers, either 5 or 9 in length.
- For US, the postal code should not end with 0000 and 9999.
**Editing Subject Address Details**

To edit the subject address, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Subject Information** tab.
4. Select the subject for which you want to edit the subject address details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.
5. Click **Edit** in the Address grid. The Address pop-up window displays.
6. Modify the required information.
7. Click **Save**. The following message displays: *Update Operation Successful.*
8. Click **OK**. The subject address details are saved.

**Deleting Subject Address Details**

To delete the subject address details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Subject Information** tab.
4. Select the record you want to delete in the Address grid.
5. Click **Delete** in the Address grid. The following message displays: *Are you sure you want to delete this record?*
6. Click **OK**. The following message displays: *Delete Operation Successful.*
7. Click **OK**. The subject address detail is deleted.

**Note:** The Validate button in the Address grid validates the information present in the Address section and checks for any missing mandatory information.
Adding Subject Phone Details

To add subject phone details, follow these steps.

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the Subject Information tab.

4. Select the record for which you want to add the subject phone details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click Add in the Phone grid. The Phone pop-up window displays.

   ![Phone Pop-up Window](image)

   **Figure 45. Phone Pop-up Window**

6. Enter the required information in the Phone pop-up window.

   **Note**: The type in Phone pop-up window represents the mode of communication used to interact with the subject.

   The following options are available for Type in the Phone pop-up window:
   
a. Fax
b. Mobile
c. Work
d. Home

7. Click Save. The following message displays: Update Operation Successful.

8. Click OK. The phone details are saved.

   Click Clear to clear the entries in the Phone pop-up window and click Close to close the Phone pop-up window.
Validations:

1. If you enter space in front or middle of the numbers or if the phone number entered is not numeric, the application displays the following message: One or more Phone Number(s) are in invalid format. Phone Numbers should be numeric only and there must be no space in front or between the numbers.

2. If you select the phone number type and if you have not provided the phone number, the application displays the following message: You have provided a Phone Number Type but no Phone Number. Please add a phone number or clear your selection of Phone Number Type.

3. The OFSRR application performs the following validations while entering subject phone details:
   - You must not enter more than 16 characters in the phone number field.
   - You must not enter more than 6 characters in the extension field.

Editing Subject Phone Details

To edit subject phone details, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the subject for which you want to edit the subject phone details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.
5. Select the record you want to edit in the Phone grid.
6. Click Edit in the Phone grid. The Phone pop-up window displays.
7. Modify the required information.
8. Click Save. The following message displays: Update Operation Successful.
9. Click OK. The subject phone details are saved.

Deleting Subject Phone Details

To delete subject phone details, follow these steps.

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the record you want to delete in the Phone grid.
5. Click Delete in the Phone grid. The following message displays: Are you sure you want to delete this record.
6. Click OK. The following message displays: Delete Operation Successful.
7. Click OK. The Subject phone details are deleted.
Note: The Validate button in the Phone grid validates the information present in the Phone section and checks for any missing mandatory information.

**Adding Subject Identification Details**

To add subject identification details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Subject Information** tab.
4. Select the record for which you want to add the subject identification details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.
5. Click **Add** in the Form of Identification grid. The Form of Identification pop-up window displays.

![Figure 46. Form of Identification Pop-up Window](image)

6. Enter the required information in the Form of Identification pop-up window.
7. Click **Save**. The following message displays: *Update Operation Successful.*
8. Click **OK**. The subject identification details are saved.

Click **Clear** to clear the entries in the Form of Identification pop-up window and click **Close** to close the Form of Identification pop-up window.

Note: Select the **Unknown** checkbox if you do not want to enter any information for Forms of Identification.

**Validations:**

1. If you select the Unknown checkbox when the report already contains one or more identification details, the application displays the following message: *You have selected No identification details are available with identification details already present. Click Ok to continue and delete all existing identification details or Cancel to cancel the selection.*
2. If you try to add new identification details when you have already selected the Unknown checkbox, the application displays the following message: *You have indicated that no identification details are available. You must unselect that option before adding identification information.*
3. The OFSRR application performs the following validations while entering subject identification details:

- You are not allowed to add Address and Identification Information when Is critical information unknown? field is true.
- It is mandatory to enter Identification type for Identification details.
- It is mandatory to enter a brief description of Identification, if Identification type is Other.
- You must not enter description of Identification when Identification type is not Other.
- You must not enter more than 24 characters in Identification number field.
- You must not enter more than 50 characters in Other field.
- Country is mandatory for all the identification details entered.

**Editing Subject Identification Details**

To edit subject identification details, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the subject for which you want to edit the subject identification details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.
5. Select the record you want to edit in the Form of Identification grid.
6. Click Edit in the Form of Identification grid. The Form of Identification pop-up window displays.
7. Modify the required information.
8. Click Save. The following message displays: Update Operation Successful.
9. Click OK. The subject identification details are saved.

**Deleting Subject Identification Details**

To delete subject identification details, follow these steps.

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the record you want to delete in the Form of Identification grid.
5. Click Delete in the Form of Identification grid. The following message displays: Are you sure you want to delete this record.
6. Click OK. The following message displays: Delete Operation Successful.

7. Click OK. The subject identification details are deleted.

**Note:** The Validate button in the Form of Identification grid validates the information present in this section and checks for any missing mandatory information.

**Adding Subject Alternate Name Details**

To add subject alternate name details, follow these steps.

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the Subject Information tab.

4. Select the record for which you want to add the subject alternate name details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click Add in the Alternate Name grid. The Alternate name pop-up window displays.

![Figure 47. Alternate Name Pop-up Window](image)

6. Enter the required information in the Alternate Name pop-up window.

7. Click Save. The following message displays: Update Operation Successful.

8. Click OK. The alternate name details are saved.

   Click Clear to clear the entries in the Alternate Name pop-up window. Click Close to close the Alternate Name pop-up window.
Validations:
The OFSRR application performs the following validations while entering subject alternate name details:

- You must not enter more than 150 characters for alternate name.
- You must not use prohibited words such as AKA, computer generated, customer, DBA, Non customer, none, not applicable, other, same, same as above, see above, see narrative, signature card, T/A, unknown, various, etc.

**Editing Subject Alternate Name Details**

To edit subject alternate name details, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the subject for which you want to edit the subject alternate name details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.
5. Select the record you want to edit in the Alternate Name grid.
6. Click Edit in the Alternate Name grid. The Alternate Name pop-up window displays.
7. Modify the required information.
8. Click Save. The following message displays: Update Operation Successful.
9. Click OK. The alternate name details are saved.

**Deleting Subject Alternate Name Details**

To delete subject alternate name details, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the record you want to delete in the Alternate Name grid.
5. Click Delete in the Alternate Name grid. The following message displays: Are you sure you want to delete this record.
6. Click OK. The following message displays: Delete Operation Successful.
7. Click OK. The Subject alternate name details are deleted.

**Note:** The Validate button in the Alternate name grid validates the information present in this section and checks for any missing mandatory information.
Adding Subject Email Address

To add subject email details, follow these steps.

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the record for which you want to add the subject email details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.
5. Click Add in the Email Address grid. The Email Address pop-up window displays.

![Email Address Pop-up Window](Image)

6. Enter the required information in the Email Address pop-up window.
7. Click Save. The following message displays: Update Operation Successful.
8. Click OK. The email details are saved.
   - Click Clear to clear the entries in the Email Address pop-up window and click Close to close the Email Address pop-up window.

Validations:

1. If you enter an invalid Email address, the application displays the following message: One or more Email ID(s) are in invalid format. Email addresses must contain only one "@" sign and a period in the text following that "@" sign. Email addresses must not contain any spaces.
2. The OFSRR application performs the following validations while entering subject email details:
   - You must not enter more than 50 characters in Email ID field.
   - One or more Email ID(s) are in invalid format. Email addresses must contain only one "@" sign and a period in the text following the "@" sign.
Editing Subject Email Address

To edit subject email address, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the subject for which you want to edit the subject email details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.
5. Click Edit in the Email Address grid. The Email Address pop-up window displays.
6. Modify the required information.
7. Click Save. The following message displays: Update Operation Successful.
8. Click OK. The subject email details are saved.

Deleting Subject Email Address

To delete subject email details, follow these steps.

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the record you want to delete in the Email Address grid.
5. Click Delete in the Email Address grid. The following message displays: Are you sure you want to delete this record.
6. Click OK. The following message displays: Delete Operation Successful.
7. Click OK. The Subject email details are deleted.

Note: The Validate button in the E-mail address grid validates the information present in this section and checks for any missing mandatory information.
Adding Subject Website (URL) Address

To add subject website details, follow these steps.

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the record for which you want to add the subject website details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.
5. Click Add in the Website (URL) Address grid. The Website (URL) Address pop-up window displays.

![Website (URL) Address Pop-up Window](image)

6. Enter the required information in the Website (URL) Address pop-up window.
7. Click Save. The following message displays: Update Operation Successful.
8. Click OK. The URL details are saved.

   Click Clear to clear the entries in the Website (URL) Address pop-up window and click Close to close the Website (URL) Address pop-up window.
Validations:

1. If you enter an invalid URL address, the application displays the following message: One or more Website (URL) Address(es) are in invalid format. URL addresses must contain a dot (.) and shouldn’t include the "@", "#", or "()" characters where the "()" encloses URL. Double colons "::" are also not allowed.

2. The OFSRR application performs the following validations while entering subject website details:
   - You must not enter more than 517 characters in the URL field.
   - The URL addresses must contain a dot (.) and must not include the "@" character.

**Editing Subject Website (URL) Address**

To edit the subject website (URL) address, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the subject for which you want to edit the subject website details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.
5. Click Edit in the Website (URL) Address grid. The Website (URL) Address pop-up window displays.
6. Modify the required information.
7. Click Save. The following message displays: Update Operation Successful.
8. Click OK. The subject URL details are saved.

**Deleting Subject Website (URL) Address**

To delete the subject website (URL) details, follow these steps.

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Select the record you want to delete in the Website (URL) Address grid.
5. Click Delete in the Website (URL) Address grid. The following message displays: Are you sure you want to delete this record.
6. Click OK. The following message displays: Delete Operation Successful.
7. Click OK. The Subject URL details are deleted.

**Note:** The Validate button in the Website (URL) grid validates the information present in this section and checks for any missing mandatory information.
**Adding Account Information**

The account information container captures the Account details of the Subject. The **Validate** button in the Account Information grid checks for any missing mandatory information. You can add, edit, or delete subject account information. If there are no accounts involved in the suspicious activity, check **Unknown**. If **Unknown** checkbox is checked, then you cannot add any account information.

**Note:**

1. If you click the check box **If No Account Involved, check this box** when the report already contains one or more account details, the following message displays: *You have selected No known account involved with account records already present. Click Ok to continue and delete all existing account records or Cancel to cancel the selection.*

2. If there are no account details and **If No Account Involved, check this box** is not checked, the following message displays: *You must either enter account information or indicate No known account involved for Subject record # 12345.*

3. If you try to add a new account when **If No Account Involved, check this box** field is checked, the following message displays: *You have indicated that no known accounts are involved. You must unselect that option before adding an account.*

4. While adding an account you must specify either the TIN or the Account Number (at least one of them). In case you fail to mention both the TIN and the Account Number, the following message displays: *Account Details must contain at least an Affected Account or a Financial Institution TIN. Please provide at least one.*

5. If you enter TIN type as SSN/ITIN or EIN and if it is more than 9 digits or if it contains any special characters, then the application displays the following message: *12345 Subject # - For tin type SSN/ITIN or EIN length of tin number should be 9 and it must contain only numbers. It should not contain any special characters.*
To add subject account details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Subject Information** tab.
4. Click **Account Details** in the LHS menu. The Account Information grid displays.
5. Click **Add**. The Account Add pop-up window displays.

![Account Add Pop-up Window](image)

**Figure 50. Account Add Pop-up Window**

The following table explains the fields in Account Details pop-up window.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-US Financial Institution</td>
<td>Select No if the financial institution associated with the account is a US-based financial institution. Select Yes if the financial institution associated with the account is a non-US institution.</td>
</tr>
<tr>
<td>Financial Institution TIN</td>
<td>Enter the financial institution TIN number.</td>
</tr>
<tr>
<td>Account Number</td>
<td>Enter the account number.</td>
</tr>
<tr>
<td>Is Account Closed</td>
<td>Select whether the account is closed or not.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> If you have not selected any value in the field Is Account Closed, the application displays the following message: You have not selected any value for field Is Account Closed.</td>
</tr>
</tbody>
</table>

6. Click **Save**. The following message displays: **Update Operation Successful**.
7. Click **OK**. The account details are saved.

**Note:** Click **Clear** to clear the account details entered and click **Close** to close the Account Details pop-up window.
Editing Subject Account Information

To edit subject account details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Subject Information** tab.
4. Click **Account Details** in the LHS menu. The Account Information grid displays.
5. Select the account you want to edit in the Account Information grid.
6. Click **Edit**. The Account Add pop-up window displays.
7. Modify the required information.
8. Click **Save**. The following message displays: **Update Operation Successful**.
9. Click **OK**. The subject account details are saved.

Deleting Subject Account Information

To delete subject account details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Subject Information** tab.
4. Click **Account Details** in the LHS menu. The Account Information grid displays.
5. Select the account you want to delete in the Account Information grid.
6. Click **Delete**. The following message displays: **Are you sure you want to delete this record?**
7. Click **OK**. The following message displays: **Delete Operation Successful**.
8. Click **OK**. The subject account detail is deleted.

Adding Subject Relationship with Financial Institution

The Relationship with Financial Institution container provides data regarding the Relationship of the Subject with the Financial Institutions mentioned in the report.

The **Validate** button in the Subject information tab checks for any missing mandatory information and identifies any disallowed combinations of Relationship types and the inclusion of an Action Date.

If you click on Save without entering any value in **Relationship with Financial Institution**, the application displays the following message: **You have not selected any value for "Relationship with Financial Institution". If there is no relationship then please select "No relationship to institution" from dropdown.**
Submitting Regulatory Reports  
Chapter 3–About Regulatory Reporting

The following table explains the columns in the Relationship With Financial Institution grid.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Institution TIN</td>
<td>Displays the TIN number of the financial institution.</td>
</tr>
<tr>
<td>Relationship with Financial Institution</td>
<td>Displays the relationship of the subject with the financial institution.</td>
</tr>
<tr>
<td>Status</td>
<td>Displays the status of relationship of the subject with the financial institution.</td>
</tr>
<tr>
<td>Action Date</td>
<td>Displays the action date from the calendar.</td>
</tr>
</tbody>
</table>

You can add, edit, validate, or delete the relationship of the subject with financial institution details.

To add subject relationship with a financial institution, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Click Relationship with financial institution LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.
5. Click Add. The Relationship with Financial Institution pop-up window displays.

Figure 51. Add Relationship with Financial Institution Pop-up Window
The following table explains the fields in the Add Relationship with Financial Institution pop-up window:

### Table 21. Fields in Add Relationship with Financial Institution Pop-up Window

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Institution TIN</td>
<td>Enter the TIN number of the financial institution.</td>
</tr>
<tr>
<td>Relationship with Financial Institution</td>
<td>Select the relationship of the subject with the financial institution from the drop-down list. This field provides the following options in the drop-down list:</td>
</tr>
</tbody>
</table>
|                                     | ● Accountant  
|                                     | ● Agent  
|                                     | ● Appraiser  
|                                     | ● Attorney  
|                                     | ● Borrower  
|                                     | ● Customer  
|                                     | ● Director  
|                                     | ● Employee  
|                                     | ● No relationship to institution  
|                                     | ● Officer  
|                                     | ● Owner or Controlling shareholder  
|                                     | ● Other  |
| Description (Relationship type “Other”) | Enter the relationship of the subject with the financial institution.  
| Note: If the relationship of the subject with the financial institution is anything other than the options provided in the Relationship with Financial Institution drop-down list, you must select Other and provide a description of the relationship. |
| Status                              | Select the status of relationship of the subject with the financial institution from the drop-down list. This field provides the following options in the drop-down list:  |
|                                     | ● Resigned  
|                                     | ● Suspended/Barred  
|                                     | ● Terminated  
|                                     | ● Relationship continues  |
| Action Date                         | Select the date of termination of the subject relationship with the financial institution.  
| Note: This field must be updated only if the relationship status is Terminated. |

6. Click **Save**. The following message displays: *Update Operation Successful.*

7. Click **OK**. The Relationship with Financial Institution details are saved.

   Click **Clear** to clear the subject relationship with financial institution details entered. Click **Close** to close the Subject Relationship With Financial Institution pop-up window.
Editing Subject Relationship with Financial Institution

To edit a subject relationship with a financial institution, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Click Relationship with financial institution LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.
5. Select the record you want to edit from the Relationship with Financial Institution grid.
6. Click Edit. The Relationship with Financial Institution pop-up window displays.
7. Modify the required information.
8. Click Save. The following message displays: Update Operation Successful.
9. Click OK. The Relationship with Financial Institution details are saved.
   Click Clear to clear the subject relationship with financial institution details entered. Click Close to close the Subject Relationship With Financial Institution pop-up window.

Deleting Subject Relationship with Financial Institution

To delete the subject relationship with a financial institution, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Subject Information tab.
4. Click Relationship with financial institution LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.
5. Select the record you want to delete from the Relationship with Financial Institution grid.
6. Click Delete. The following message displays: Are you sure you want to delete this record.
7. Click OK. The following message displays: Delete Operation Successful.
8. Click OK. The Relationship with Financial Institution detail is deleted.
   Click Clear to clear the subject relationship with financial institution details entered. Click Close to close the Subject Relationship With Financial Institution pop-up window.
You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, Delete, and Validate, are hidden in the Subject Details when the report is in View mode.

Figure 52. Subject Information - View Mode
Managing Documents

The Documents tab lists all the documents that are attached to the report. It also allows the user to add additional documents. You can upload files of any format with size which are smaller than 1 MB.

The following table explains the fields in the Documents grid.

Table 22. Fields in Documents grid

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actual file name</td>
<td>Displays the actual file name of the document attached.</td>
</tr>
<tr>
<td>File name</td>
<td>Displays the logical file name assigned by the user.</td>
</tr>
<tr>
<td>Include this file in the report</td>
<td>Displays whether the attached document is included in the final report or not.</td>
</tr>
</tbody>
</table>

**Note:** You can upload files of any format in Documents tab. You can choose to include the attached document in the report.

However, only one file of .csv format can be included in the report. You cannot include files of any other format other than .csv in the report.
Adding Documents

To add documents, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Documents tab. The document details display.

Figure 54. Attach Document Pop-up Window
The following table explains the fields in the Attach Document pop-up window.

Table 23. Fields in Attach Document Pop-up Window

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Logical File Name</td>
<td>Enter the file name of the document to be attached.</td>
</tr>
<tr>
<td>Choose a File</td>
<td>Select the file that needs to be attached.</td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> You can attach files of any format in the Documents tab.</td>
</tr>
</tbody>
</table>

5. Click Browse in the Choose a file field. Select the document that must be attached from the local system.
6. Click Attach file. The following message displays: *Add Operation Successful.*
7. Click OK. The Attach Document pop-up window displays for attaching a new document.

   **Note:** Click Close to view the newly added document in the List of Documents grid.
Viewing Documents

To view the documents attached, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Documents tab. The Document details display.
4. Select the document you want to view from the List of Documents grid.
5. Click View Document. A File Download box displays.
6. Click Open in the File Download Box to view the document attached. Click Save to save a copy of the attached document in your local system or click Cancel to close the File Download Box.

Deleting Documents

To delete the attached documents, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Documents tab. The document details display.
4. Select the document you want to delete.
5. Click Delete. The following message displays: Are you sure you want to delete this record.
6. Click OK. The following message displays: Delete Operation Successful.
   If you click Cancel, the document is not deleted.
7. Click OK. The List of Documents grid displays.
**Including Documents in Report**

You can include the document attached in the Documents tab to be included in the report. Only one file of .csv format can be included in the report. You cannot include files of any other format.

To include the attached document, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the **Documents** tab. The documents attached display in the List of Documents grid.
4. Select the check box of the document you want to include in the report.
5. Select **Yes** from the drop-down list in the **Include This File in Report** column.
6. Click **Save** in the List of Documents grid. The following message displays: *Update Operation Successful.*
7. Click **OK**. The List of Documents grid displays.

**Note:** If you try to include files of any other format (other than .csv format), the following message displays: *Only a document with csv extension can be included in report.*

If you try to include more than one .csv file in the report, the following message displays: *Only one document can be made primary for a report.*
You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Delete, and Save, are hidden in the Documents tab when the report is in View mode.

Figure 56. Documents Tab – View Mode

Adding Narrative
The Narrative tab displays the description of the suspicious activity. It also displays any additional information related to the suspicious activity.

To update the Narrative tab, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name in the List of Regulatory Reports. The RR Details display.
3. Click the Narrative tab. The Narrative pane displays.
4. Enter the information in the Narrative pane.
   
   **Note:** You can enter a maximum of 17000 characters in the narrative pane.
5. Click Save. The following message displays: *Update Operation Successful. Carriage returns (if any) will be removed when submitting to FinCEN.*
   
   **Note:** The line breaks if present in the Narrative tab are removed while submitting the e-file to FinCEN.
6. Click OK. The narrative details are saved.

To clear the changes made in the Narrative tab, click Reset. The page refreshes to display the last saved data.

Figure 57. Narrative Tab - Edit Mode

You cannot edit the report details when the report is in View mode. Action buttons, such, as Save and Reset, are hidden in the Narrative tab when the report is in View mode.
Submitting Regulatory Reports
Chapter 3–About Regulatory Reporting

Figure 58. Narrative Tab – View Mode

Viewing Audit

The Audit tab displays actions taken on the report. This tab contains the Regulatory Report Actions Grid and the Regulatory Report Comments Grid.

Figure 59. Audit Tab

The Audit tab displays the following grids:

- Regulatory Report Actions
- Regulatory Report Comments
**Regulatory Report Actions**

Regulatory Report Actions displays the actions taken on the regulatory report. This grid displays the following fields:

Table 24. Fields in Regulatory Report Actions Grid

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| Action     | • Filing Institution Information Modified  
|            | • Added Financial Institution  
|            | • Modified Financial Institution  
|            | • Removed Financial Institution  
|            | • Added Branch Information  
|            | • Modified Branch Information  
|            | • Delete Branch Information  
|            | • Added New Subject – Subject Record # (When user clicks Save)  
|            | • Removed Subject – Subject Record #  
|            | • Modified Subject Details – Subject Record #  
|            | • Modified Suspicious Activity Details Modified Suspicious Activity Classification  
|            | • Modified Law Enforcement Information  
|            | • Added Suspicious Activity Additional Information  
|            | • Modified Suspicious Activity Additional Information  
|            | • Removed Suspicious Activity Additional Information  
|            | • Added New Document – Name of the added document  
|            | • Removed Document – Name of the removed document  
|            | • Added Relationship with Financial Institution  
|            | • Modified Relationship with Financial Institution  
|            | • Removed Relationship with Financial Institution  
|            | • Added New Account - Account Number  
|            | • Modified New Account - Account Number  
|            | • Removed New Account - Account Number  
|            | • Narrative Added  
|            | • Due Date Modified |

**Regulatory Report Comments**

Regulatory Report Comments lists all the comments from different users from the Audit log. The Regulatory Report Comments grid displays the following fields:

Table 25. Fields in Regulatory Report Comments Grid

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>Displays the date on which the comment was recorded.</td>
</tr>
<tr>
<td>By</td>
<td>Displays the name of the user who has given that comment.</td>
</tr>
<tr>
<td>Comments</td>
<td>Displays the comments added to the report by the user.</td>
</tr>
</tbody>
</table>
Submitting the Report Details for Approval/Requesting for Approval

After updating the report details, they must be validated. The Regulatory Report Details allows users with appropriate roles to submit a report for approval. Authorized users can validate the report details and can either Approve, Close, or Reject the report.

Note: A user can initiate Request for Approval action, only when the report is in Open/Rejected/Rejected from e-file status.

For more information on user roles, refer to Table 2.

To submit a report for approval, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name to view the report details.
3. Click Request for Approval. If there is mandatory information which is missing, or information that is in some way invalid for the report submission, you will receive warnings to correct the information before requesting approval. If there are no errors detected the Request for approval action pop-up window displays.
4. Enter the comments in the Action pop-up window.
   Note: The comments box in the Action pop-up window allows entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: Number of characters exceeded.
5. Click Save. The following message displays: Add Operation Successful.
   Note: Click Clear to clear the data in the Action pop-up window and click Close to close the Action pop-up window.
6. Click OK. The report audit details display.
   Note: The Regulatory Report Action grid in the Audit tab displays the comments added in the Request for Approval Action pop-up window.
   If you click Save, without entering the comments in the Request for Approval Action pop-up window, the following message displays: Mandatory fields are not entered.
Approving/Rejecting/Closing Reports

The Regulatory Report Details allows authorized users to approve, reject, or close the regulatory reports.

**Note:** The authorized users can approve, reject, or close the report only when all the mandatory fields in Report Details tabs are complete.

If the user approves the report, an e-file is generated for the report. The generated e-file is submitted with the FinCENs BSA E-Filing System.

If the user rejects the report, then you must re-work on the report and submit the report for approval. This process continues until the report is approved or closed.

If the user closes the report, the report details cannot be edited and the report is in View mode.

For more information on user roles, refer to *Table 2*.

### Approving Reports

To approve a report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name to view the report details.
3. Click **Approve**. If there is mandatory information which is missing, or information that is in some way invalid for the report submission, you will receive warnings to correct the information before requesting approval. If there are no errors detected, the Approve Action pop-up window displays.
4. Enter the comments in the Action pop-up window.
   - **Note:** The comments box in the Action pop-up window allows entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: *Number of characters exceeded.*
5. Click **Save**. The following message displays: *Update Operation Successful.*
   - **Note:** Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.
6. Click **OK**. The report audit details display.
The Regulatory Report Action grid in the Audit tab displays the comments added in the Approve Action pop-up window.

If you click Save, without entering the comments in the Approve Action pop-up window, the following message displays: Mandatory fields are not entered.

If the report is approved, the status of the report changes to Approved.

Re-Approving Reports

The Regulatory Report Details allows authorized users to re-approve reports. The user can re-approve reports when the report is in Re-Approve Required status. This action must be performed if the report has been edited in any way. Taking the action of Re-Approve will re-run the report validations and ensure that the editing did not introduce any report validation errors.

Note: If an approved report is edited in any way, the status of the report changes to Re-approve Required. When a report in Re-approve Required status is re-approved, the status of the report changes to Approved.

To re-approve a report, follow these steps:

1. From the Regulatory Reporting menu, hover over Regulatory Reports – SAR and click Regulatory Reports. The List of Regulatory Reports display.
2. Click the Report name to view the report details.
3. Click Re-approve. The Re-approve action pop-up window displays.
4. Enter the comments in the Action pop-up window.
   
   Note: The comments box in the Action pop-up window allows entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: Number of characters exceeded.
5. Click Save. The following message displays: Add Operation Successful.
   
   Click Clear to clear the data in the Action pop-up window and click Close to close the Action pop-up window.
6. Click OK. The report audit details display.
   
   Note: The Regulatory Report Action grid in the Audit tab displays the comments added in the Re-approve Action pop-up window.

If you click Save without entering the comments in the Re-approve Action pop-up window, the following message displays: Mandatory fields are not entered.
Rejecting Reports

The Regulatory Report Details allows authorized users to reject reports from filing. A user can reject report when the report is in Approved or Request for Approval status. If a report is rejected, then the user must re-work on the report and again submit the report for approval. This process continues until the report is approved or closed.

Note: If a report is rejected, the status of the report changes to *Rejected*.

To reject a report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name to view the report details.
3. Click **Reject**. The Reject Action pop-up window displays.
4. Enter the comments in the Action pop-up window.
   
   **Note:** The comments box in the Action pop-up window allows entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: *Number of characters exceeded.*

5. Click **Save**. The following message displays: *Add Operation Successful.*

   Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

   The Regulatory Report Action grid in the Audit tab displays the comments added in the Reject Action pop-up window.

   If you click **Save**, without entering the comments in the Reject Action pop-up window, the following message displays: *Mandatory fields are not entered.*

Updating Rejected Reports

If a report is rejected, then the user can either close the report or can re-work on the report and again submit the report for approval. This re-work process continues until the report is either approved or closed.

For more information on editing report details, refer to section *Entering Report Details.*
Closing Reports

If a user determines that a SAR report should not be filed they can close it. The Closed status removes it from the work queue and helps to distinguish it from those in a Filed status.

A user might choose to close a report that is in an approved state if, for any reason, it is determined that the SAR no longer needs to be filed. This may be because of late arriving information to the investigation or other subsequent events that eliminate the need for reporting the activity.

The Regulatory Report Details allows authorized users to close reports without filing. The user can close reports when the report is in Approved or Request for approval or Rejected status.

Once the report is closed, you cannot edit the report details and the report is in View mode.

**Note:** If a report is closed, the status of the report changes to Closed.

To close a report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.
2. Click the Report name to view the report details.
3. Click **Close**. The Close Action pop-up window displays.

![Close Action Pop-up Window](Image)

4. Enter the comments in the Action pop-up window.

   **Note:** The comments box in the Action pop-up window allows entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: *Number of characters exceeded.*

5. Click **Save**. The following message displays: *Add Operation Successful.*

   Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

   The Regulatory Report Action grid in the Audit tab displays the comments added in the Close Action pop-up window.

   If you click **Save** without entering the comments in the Close Action pop-up window, the following message displays: *Mandatory fields are not entered.*
Filing Regulatory Reports

Once the report is approved, the authorized users must file the regulatory reports with the regulatory bodies. The OFSRR application helps in generating e-file for an approved report. The e-file generated is in a .txt format that is according to the specifications described in FinCEN Suspicious Activity Report (FinCEN SAR) Electronic Filing Requirements. After successfully e-filing, you can download the acknowledgment (.asc) file from the BSA E-Filing System and upload the acknowledgment into OFSRR, thereby completing the SAR process. The status of the report changes to Filed.

Filed status is the final status given to a SAR that has been submitted to and processed by FinCEN.

For more information on user roles, refer to Table 2.

For more information on filing regulatory reports, refer to Chapter Filing Regulatory Reports.
CHAPTER 4  
Filing Regulatory Reports

This chapter describes the instructions for generating an e-file, filing regulatory report at FinCEN, uploading the acknowledgment, and completing the SAR process. Only users mapped to the role of Super User or Admin User can generate the e-file.

This chapter discusses the following topics:

- Overview
- Workflow for Filing the Regulatory Report
- Searching Approved Reports
- Generating E-File
- Searching E-File Status
- Viewing E-File, E-File Details, and E-File Attachments
- Downloading the E-File
- Submitting the E-File at FinCEN
- Saving E-File Acknowledgments from FinCEN
- Uploading E-File Acknowledgment into OFSRR Application
- Rejecting SAR(s) from E-File
- Completing the SAR Process
- Adding Comments to E-File

Overview

When a report is created in the application, the report details are entered and then submitted for approval. Once the report is submitted for approval, an authorized user validates the report details and either approves, rejects, or closes the report.

If the user approves the report, that report is available for e-file generation by an authorized user. The generated e-file is submitted with the FinCENs BSA E-Filing System. The e-file is validated by FinCEN and an acknowledgment (.asc file) is generated. The acknowledgment file can then be uploaded into the OFSRR application. The application will then associate the FinCEN returned BSA Identifier to each SAR within the e-file. At this point the user can then mark the SAR process as complete.

This chapter explains the steps involved in filing approved reports.
Workflow for Filing the Regulatory Report

The following figure illustrates the workflow of E-File in the OFSRR application:

Figure 65. Filing Regulatory Reporting Workflow
Searching Approved Reports

The File Regulatory Reports workflow contains two tabs namely, Approved Reports and E-File Status. The Approved Reports tab enables you to search for and display reports that are in an Approved state and are ready for e-filing. It is from this tab that you will generate the e-file.

**Note:** Super user and Admin user can reject or close approved reports from this tab.

To search for approved reports, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.
3. Click **Approved Reports** tab. The Advanced Report List page displays all the reports in Approved status.

![Figure 66. Approved Reports List](image)

4. To further filter the list of Approved reports, enter criteria in one or more of the provided filters, as described in the following table

**Table 26. Approved Reports Search Bar Field Descriptions**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report Name</td>
<td>Enter the name of the regulatory report. Wildcard searches are supported using % as the wildcard symbol.</td>
</tr>
<tr>
<td>Alert/Case ID</td>
<td>Enter the Alert or Case ID for the report.</td>
</tr>
<tr>
<td>Created By</td>
<td>Select the user role(s) from the drop-down list to search for reports created by the selected user roles.</td>
</tr>
<tr>
<td>Approved By</td>
<td>Enter the name of the approver to search for reports approved by the selected user.</td>
</tr>
<tr>
<td>Approved From Date</td>
<td>Select the approved date from the calendar to display reports approved from the selected date.</td>
</tr>
<tr>
<td>Approved To Date</td>
<td>Select the approved date from the calendar to display reports approved until this date.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.</td>
</tr>
</tbody>
</table>

5. Click **Search**. The relevant search list displays.

**Note:** If you click **Reset**, all search fields are set to default values (blank).
Generating E-File

Once the status of a regulatory report changes to Approved, you can generate the e-file for those report(s) and upload the resultant .txt file into FinCEN’s BSA E-Filing System.

Note: When an e-file is generated, an attachment zip file is created for the e-file with a .csv file in it. This .zip file is only available if attachments were associated with any SAR within the E-File.

To generate e-file, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.
3. In Approved Reports tab, the Advanced Report List page displays all the reports in Approved status. You can also use the Approved Report Search to filter the required reports in Approved status.
4. From the Approved Report List, select the required report(s) for which you want to generate e-file.
5. Click Generate E-File. The following message displays: E-File Generated Successfully.
6. Click OK. The status of the regulatory report changes to E-File Generated.

Note: The reports on which Generate E-File action is taken are moved from Approved Reports list to E-File List.

When two users try to generate e-file for the same report(s) at the same time, the following message displays: One or more reports selected by you are locked by another user for generating E File or it has already been generated. Click OK to refresh the list.

If you try to E File/Reject a report which has already been locked by another user for E Filling, the application displays the following message: <Report nm1>-<user>, <Report nm2>-<user>….. One or more r Report(s) selected by you are locked by another user and not available for action.

If you try to E File a report which has already been generated/rejected, the application displays the following message: <Report nm1>, <Report nm2>….. Report(s) selected by you has already been actioned to either include in an e-file or rejected from the e-file. So cannot perform this action.
Searching E-File Status

The E-File Status tab in File Regulatory Reports page allows for management of the e-files that have been generated. The E-Filed Status search bar allows you to search for E-Files in different statuses and perform any of the following actions:

- Adding Comment
- Uploading Acknowledgment
- Completing the SAR Process

To search for E-File using the E-Filed Status search bar, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.
3. Click the E-Filed Status tab.

Figure 67. E-File List
4. To further filter the list of e-files, enter criteria in one or more of the provided filters, as described in the following table:

**Table 27. E-File Search Bar Field Descriptions**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report Name</td>
<td>Enter the name of the regulatory report for which the e-file is generated.</td>
</tr>
<tr>
<td></td>
<td>Wildcard searches are supported using % as the wildcard symbol.</td>
</tr>
<tr>
<td>Alert/Case ID</td>
<td>Enter the Alert or Case ID of the report.</td>
</tr>
<tr>
<td>E-File Generated By</td>
<td>Select a user role to search for e-files generated by the selected user.</td>
</tr>
<tr>
<td>E-File Generated From Date</td>
<td>Select the e-file generated date from the calendar to display e-files</td>
</tr>
<tr>
<td></td>
<td>created from this date.</td>
</tr>
<tr>
<td>E-File Generated To Date</td>
<td>Select the e-file generated to date from the calendar to display e-files</td>
</tr>
<tr>
<td></td>
<td>generated until this date.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>Select the jurisdiction from the drop-down list to display e-files</td>
</tr>
<tr>
<td></td>
<td>generated for the reports mapped to the selected jurisdiction.</td>
</tr>
</tbody>
</table>

5. Click **Search**. The relevant search list displays.

**Viewing E-File, E-File Details, and E-File Attachments**

From e-file list results page, you can view the generated e-file, e-file details and e-file attachments. In the E-file List, the e-files are arranged in ascending order of SAR document number.

To view the generated e-file text file, select a record and click in the e-file column. A file download window prompts to **Open** or **Save** the e-file.

To view the e-file details, select a record and click in the Details column. This e-file details column displays the number of SARs included in the selected e-file within brackets. Click on the Details icon to view the details of all the SARs included in the e-file. These details are displayed below the E-File List.

To view the e-file attachments, select a record and click in the Attachments column. A file download window prompts to **Open** or **Save** the attachments zip file. The attachments zip file contains the .csv file included for a report from the regulatory reports details page.
Downloading the E-File

Once you generate an e-file, the OFSRR application generates a `.txt` file with its content formatted according to Financial Crimes Enforcement Network (FinCEN) specifications for electronic filing. You must save this `.txt` file and submit to FinCEN’s BSA E-Filing System.

To download the generated e-file, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.
3. Click the E-Filed Status tab. By default, the E-File List displays a list of e-files in different statuses.

![File Download Window]

Figure 68. E-File Download Window

5. Click Save to save a local copy of the file to your computer. The E-File is downloaded successfully.
Submitting the E-File at FinCEN

Once the e-file is generated, you must file them with the FinCEN’s BSA E-Filing System which in turn generates an acknowledgment or (.asc) file.

To submit the E-File at BSA E-Filing System, follow these steps:

1. Login to the BSA E-Filing System website.
2. From the left hand side menu pane click New Reports, then select File Batch FinCEN SAR. An Open a Form window displays.

![Open an Existing Form](image)

*Unless you are making an amendment, please be sure you have not already submitted this form. To determine if a filing was submitted, compare the Filing Name on the form with the submissions listed in your Track Status view.

Browse to a saved form and click “Open Existing Form” to open it.

![Open Existing Form](image)

Figure 69. Open Existing Form Window

3. Click Open New Form. A BSA E-Filing SAR Batch Form opens.
4. In the **Filing Name** field, enter a filing name. There is no specific requirement for the name of the filing. It is recommended that it must be a unique name as this can be used to identify the e-file on the BSA E-Filing site after submission.
5. In the **Batch File** field, attach the e-file that was downloaded from the RR application using the **Add File** button.

   **Note:** The e-file is in `.txt` format.

6. In the **Attachments File** field, add the e-file attachment `.zip` file that was downloaded from the RR application along with the E-File.

   **Note:** This `.zip` file is only available if attachments were associated with any SAR within the E-File.

7. In **Number of Forms in Batch** field, enter the number of individual SAR reports an e-file contains.

8. Click Sign with PIN and enter the details. The following message is added to the header and footer of the document: This form has been signed with a PIN and cannot be altered.

   **Note:** This is the unique identifier assigned by BSA and FinCEN to ensure only authorized individuals are submitting SAR filings.

9. Click **Save** to save the filled BSA E-Filing SAR Batch Form. Once you save the form, the **Submit** button gets enabled.

10. Click **Submit**. A confirmation window displays the following message: *We have received your submission. Please confirm the following information and retain it for your records. Please track the status of your submission using the 'Track Status' function in the BSA E-Filing system.*

    **Note:** The status of a submitted E-file can be any of the following:
    
    - Transmitted
    - Transmitted with Warnings
    - Rejected

    Click the **Accepted with Warning** or **Rejected** status hyperlink in the Status column of Track Status page to view the submission errors on the e-file that are in **Accepted with Warning** or **Rejected** status.

11. Click **OK**. The e-file is successfully submitted at FinCEN.
Saving E-File Acknowledgments from FinCEN

When the BSA E-Filing System Track Status page shows that the submitted file has been acknowledged you will be able to retrieve an acknowledgment file from the BSA E-Filing System Secure Messaging center. This file will be in a .asc format. You must save this acknowledgment file and upload it into the OFSRR application.

**Note:** An acknowledgment file will not be generated when an e-filing is rejected.

To save the acknowledgment file from BSA E-Filing System, follow these steps:

1. Login to the BSA E-Filing System.
2. From Secure Messaging, select View Inbox to display a list of acknowledgments.
3. Click the Subject of the required acknowledgment. A BSA E-Filing Secure Message Reply Form displays.
4. Click View/Save Attachment. A window opens listing the acknowledgment (.asc) file.
5. Click View/Save to save the .asc file to your computer.
Uploading E-File Acknowledgment into OFSRR Application

After downloading the acknowledgments from BSA E-Filing System, you can update the status of regulatory reports in the OFSRR application. Once you upload the acknowledgment (.asc) file into the application, the file is then parsed to retrieve the BSA Identifier that has been assigned by FinCEN to each report. This BSA Identifier is then added to the report record.

To upload the acknowledgment, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.
3. Click the E-Filed Status tab.
4. From the E-File List results, select the record for which you want to upload the acknowledgment.
5. Click Upload Acknowledgment. A SAR Acknowledgment window displays.
6. Enter a Logical File Name for the acknowledgment.
7. Click Choose a File field and upload the respective .asc file saved from the BSA E-Filing System.
8. Click Attach File. The following message displays: Add Operation Successful.
9. Click OK.
10. Enter the details in the SAR Acknowledgment window as described in the following table:

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
</table>
| E-File Name           | Displays the e-file name.  
                        | Note: This field is auto generated                                           |
| Ack Updated By        | Displays the name of the user role who is updating the acknowledgment.      |
| Ack Received On       | Select the date from the calendar on which the acknowledgment was received.  |
| Ack Number            | Enter the acknowledgment number.                                            |
| EFile Comments        | Enter any comments in this field.                                           |

11. Click **Save and Parse**. The following message displays: *Update Operation Successful.*

12. Click **OK**. You are navigated back to E-File List results.

**Note:**
- Once you have uploaded the acknowledgment file for an e-file, a **BSA ID** is associated for the respective report.
- Once you have uploaded the acknowledgment file successfully into the OFSRR application, the `.asc` file can be viewed and saved from the e-file list results. To view the acknowledgment file, select a record and click ![Open or Save the .asc file](image)
- When you try to upload an acknowledgment file for an e-file for which a `.asc` file is already uploaded, the following warning message is displayed: *Acknowledgment has already been uploaded*
- When an upload acknowledgment action doesn’t pass the validation check, the following error message is displayed: *The number of SARs in the acknowledgment file does not match the number of SARs in the selected e-file. No updates will be made. Please verify you have the correct acknowledgment file.*

**Rejecting SAR(s) from E-File**

You can reject SAR(s) from an e-file at any point of time before completing the SAR process. Once a SAR report is rejected from an e-file, it is removed from the reports list and the status of the rejected report changes to **Rejected from E-File**.

For SAR(s) that are not rejected, a new e-file is regenerated. If the acknowledgment file is already uploaded, you can complete the SAR process of the regenerated e-file by clicking **Complete SAR Process**.

You can correct/amend a rejected report and submit for Super User/Admin User role's approval. Once the corrected report is approved, you can follow the workflow of filing a regulatory report all over again as explained earlier. Subsequently, while uploading the acknowledgment (.asc) file received from FinCEN into the OFSRR application, a new BSA Identifier overwrites the previously associated BSA Identifier of the rejected SAR(s).
Rejecting SAR(s) from E-File
Chapter 4–About Regulatory Reporting

Note: Once an e-file has been uploaded and accepted by FinCEN, it is advised that you do not reject SARs from the e-file until after the acknowledgment file has been uploaded and parsed. If you reject a report after submission but before processing the acknowledgment files there will be a mismatch in the files referenced in the acknowledgment file and the current e-file. If a report is rejected prior to uploading the acknowledgement into the application, then you have to re-submit the e-file at FinCEN’s BSA E-Filing System to get the latest acknowledgment file.

To reject SARs from an e-file, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.
3. Click E-Filed Status tab.
4. From E-File List results, select an e-file record that you want to reject.
5. Click to view the e-file details.
6. From Report list page, select the required SAR(s) and click Reject. An E-File Rejected window displays.

Figure 74. E-File Rejected Window

7. Enter comments in the comments field and click Save. The following message displays: Reports Successfully removed from E-File.

   Note: The comments box in the E-File rejected window allows entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: Number of characters exceeded.

8. Click OK. The rejected e-file is removed from the E-File List results.
Completing the SAR Process

Once the status of the regulatory reports reflects the acknowledgment action and the BSA Tracking Identifier, you can complete the suspicious activity reporting process by clicking the **Complete SAR Process**. The status of all regulatory reports included in the e-file then changes to Filed. Once a report is moved to the *Filed* status it cannot be edited.

To complete the SAR process, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.
3. Click the **E-Filed Status** tab.
4. Search for the report using the E-File Search bar or from the E-File List results.
5. Select the e-file for which you want to complete the SAR process.
6. Click **SAR Process Complete**. The following message displays: *Update Operation Successful.*
7. Click OK.

**Note:**

- When you try to take **Complete SAR Process** action before performing the **Upload Acknowledgement** action the following warning message displays: *You must first upload an acknowledgement file before taking this action.*
- When you try to take **Upload Acknowledgment** action on a file for which SAR process has already been completed, the following warning message displays: *The SAR process is complete for this file. No further action is permitted.*

Adding Comments to E-File

You can add comments to an e-file record at any time using the Comment button. Adding comments to an e-file does not have any impact upon the reports included in the e-file. If you select to add a Comment to an e-file with an existing report you can either append to the previous comment or replace it completely.

To add comments to an e-file, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.
3. Click **E-Filed Status** tab.
4. From E-File List results, select an e-file record for which you want to add a comment.
5. Click **Add Comments**. An E-File Comments window displays.
Adding Comments to E-File
Chapter 4–About Regulatory Reporting

Figure 75. E-Filing Comments Window

6. Enter comments in the comments field and click **Save**. The following message displays: *Update Operation Successful.*

   **Note:** The comments box in the E-filing Comments window allows entering a maximum of 250 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 250 characters in the Comments box, the following message displays: *Number of characters exceeded.*

7. Click **OK**. The E-File Comments window displays.

8. Click **Close**. The E-File List results page displays.