Oracle Financial Services
Regulatory Reporting
User Guide US SAR

Release 2.3
April 2013

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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 2.3* 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 enter report details, add comments to the report, create new reports, and submit the report details for approval.

- **Supervisor:** This user is responsible for taking action on the reports submitted by the Analyst, such as approve, reject, re-approve, or close. This user can edit report details and add comments to the report. Users mapped to the role of Supervisor can perform all the tasks performed by an Analyst.

- **Admin User:** This user is responsible for managing the security attributes of the users, editing approved reports, generating e-file, and filing them with the regulatory bodies.

- **Super User**: This user can create, update, approve, 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.

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

For more information on user roles, refer to *Table 2 on page 4*.

How this Guide is Organized

The *Oracle Financial Services Regulatory Reporting User Guide US SAR, Release 2.3,* 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 Installation Guide:* This guide provides step-by-step instructions for installing the Oracle Financial Services Regulatory Reporting application on an existing Oracle Financial Services Behavior Detection Platform hosted in Windows environment.

- *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

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

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), and Singapore (SG 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

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

Function	Roles					
	Analyst	**Supervisor**	**Super User**	**Admin User**	**System Administrator**	**System Authorizer**
Create report	X		X			
Request for approval	X	X				
Approve reports		X	X			
Reject reports		X				
Re-approve reports/Edit approved reports		X	X	X		
Close Report	X	X	X			
Add Comments	X	X	X	X		
View Draft PDF	X	X	X	X		
Reject E-file			X	X		
Generate E-file			X	X		
Upload Acknowledgment			X	X		
Complete SAR process			X	X		
Add comments to E-file			X	X		
View / Edit Configuration					X	
Approve Configuration						X

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 6.1 Second Edition Administration Guide.*

   The Regulatory Reporting link is enabled only for users who have access to the OFSRR Application.
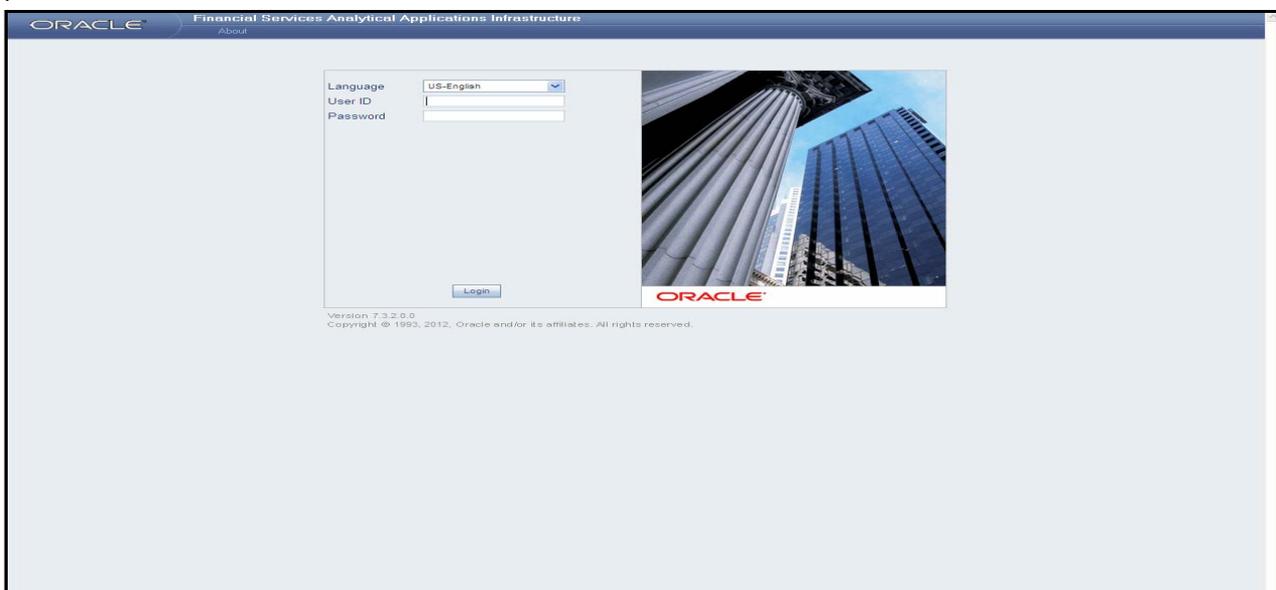
Figure 1. OFSRR Application Login

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.

   For more information on the landing screens for various users, refer to *Figure 2* and *Figure 3*.

.
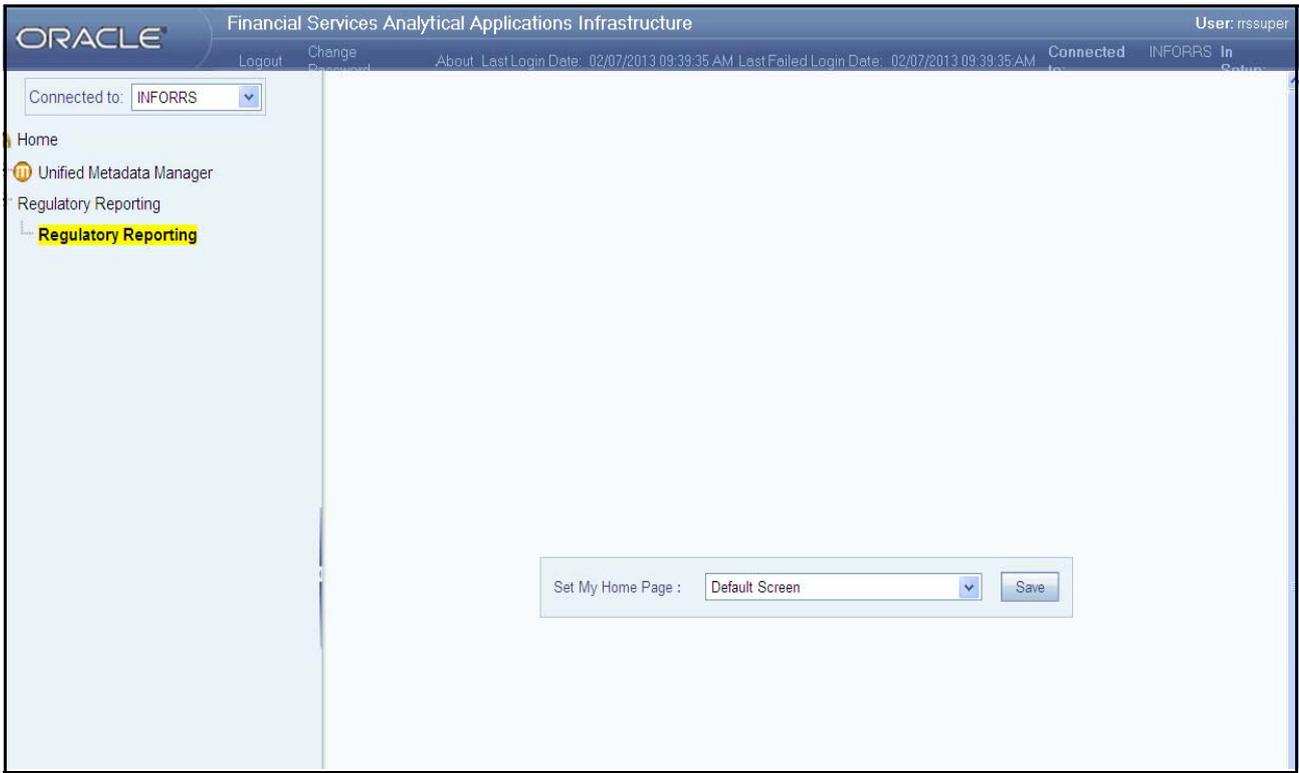
Figure 2. Landing Page for All User Roles (Except for System Administrator Role)
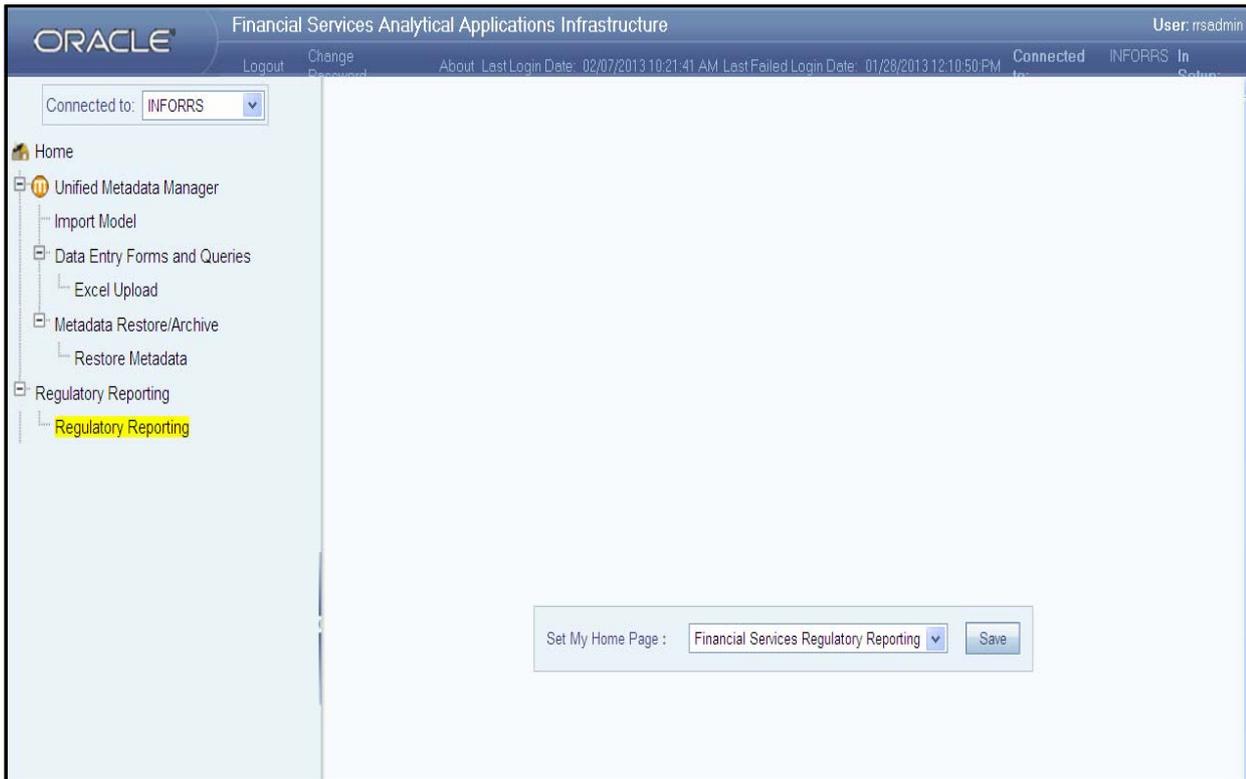
Figure 3. Landing Page for System Administrator User Role

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.
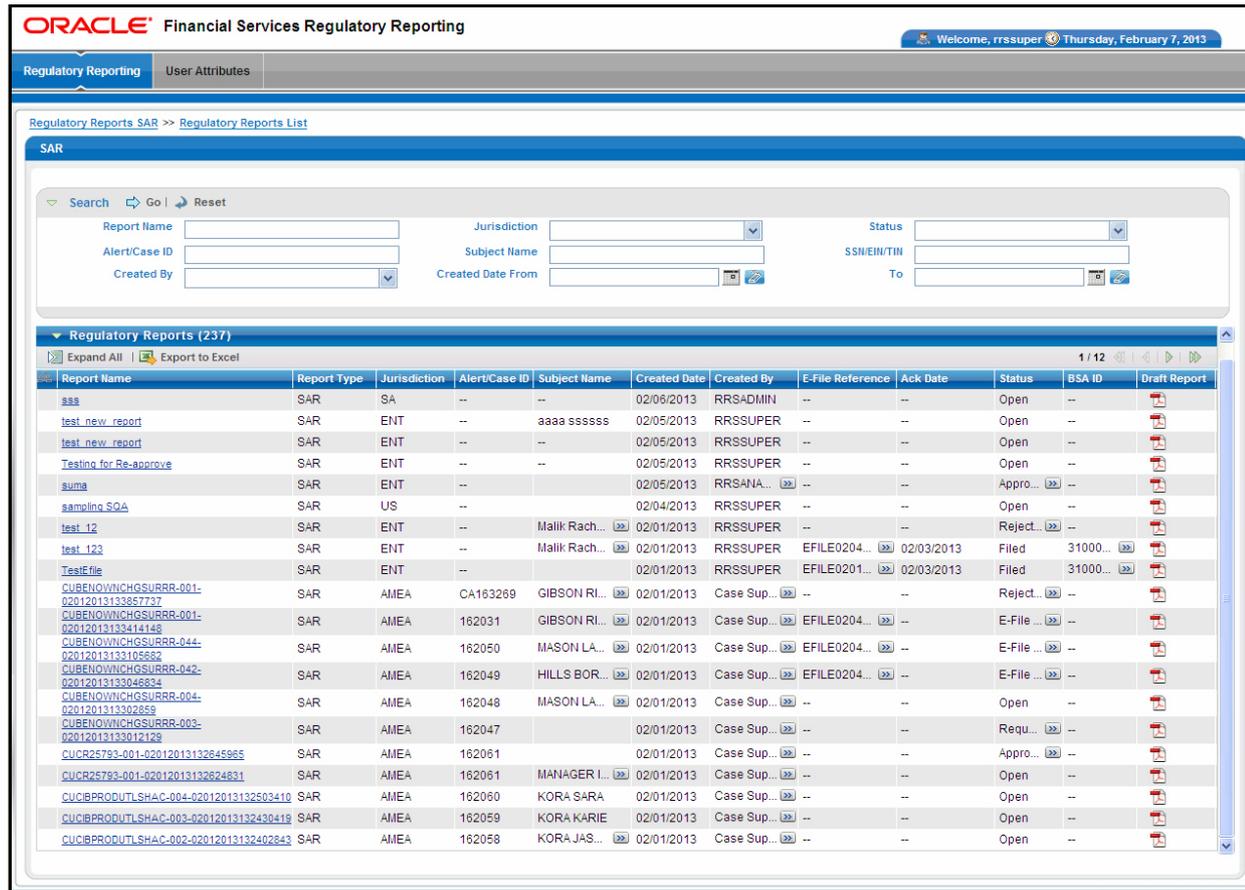
Figure 4. List of Regulatory Reports

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

	Roles			
Menus	**Analyst**	**Supervisor**	**Super User**	**Admin User**
Regulatory Reports	X	X	X	X
File Regulatory Reports			X	X
Create New Regulatory Report	X		X	
User Attributes			X	X

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,* on page 21.

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,* on page 12.

- **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

Column Heading	Description
Report name	Displays the report name.
Report Type	Displays the report type. **Note:** SAR is the default value for report type.
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.
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,* on page 13.

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.
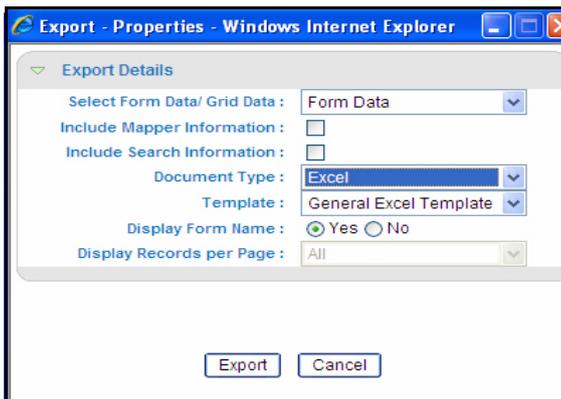
Figure 5. Export Properties Dialog Box

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.
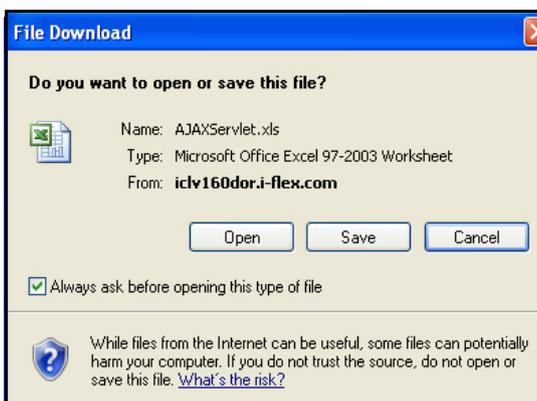
Figure 6. File Download Box

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 (Figure 9).

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.
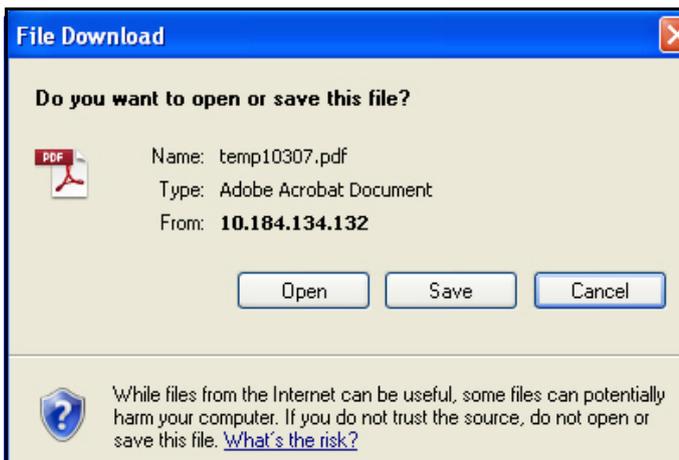
Figure 7. File Download Box

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.

Suspicious Activity Report   Version Number: 1.0

Filing Name   CUBENOWNCHGSURRR-004-0201201313302859

*1 Filing Type   [X] Initial report   [ ] Correct/Amend prior report
(Check all that apply) [ ] Continuing activity report [ ] Joint report

Prior report document control/file
number

Attachment

                                    1

Part IV Filing Institution Contact Information

*82 Type of financial institution   Casino/Card Club   Desc
*78 Primary federal regulator   Commodities Futures Trading Commission (CFTC)
*79 Filer name (Holding company, lead financial   Thom Kobs
     institution, or agency, if applicable)
*80 TIN   123455612   *81   TIN Type   EIN
83   Type of Securities and Futures institution or individual filing this report - check box(es) for functions that apply to this report
[X] Clearing broker-securities   [ ] Introducing broker-securities   [ ] SRO Securities
[X] CPO/CTA   [ ] Investment Adviser   [ ] Subsidiary of financial/bank holding company
[X] Futures Commission Merchant   [ ] Investment company   [ ] Other   Tet
[ ] Holding company   [ ] Retail foreign exchange dealer
[ ] Introducing broker-commodities [ ] SRO Futures
84   Financial institution identification   Type   Central Registration Depository (CRD) number
                                             Number 12344544
*85 Address   Address of Filing Inst
*86 City   City of Filing
*87 State   AK   *88 ZIP/Postal Code   5624   *89 Country   AF
90   Alternate name, e.g., AKA - individual or trade name,   AltName
     DBA - entity
91   Internal control/file number   162048
92   LE contact agency
93   LE contact name
94   LE contact phone number (Include Area Code)   Ext.
95   LE contact date
*96 Filing institution contact office   sss
97   Filing institution contact phone number (Include Area Code)   11111   Ext.
98   Date filed   (Date filed will be auto-populated when the form is signed.)

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

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,* on page 18.

- **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,* on page 13.

- **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,* on page 96.

- **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,* on page 97.

- **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,* on page 98.

- **Reject**: This button displays in the Regulatory Report Details when the report is in *Request for Approval* status. It allows you to reject reports. For more information about rejecting reports, refer to *Rejecting Reports,* on page 99.

- **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, 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,* on page 100.

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,* on page 31.

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 (Figure 9).

3. Click **Add Comments**. The Action pop-up window displays.
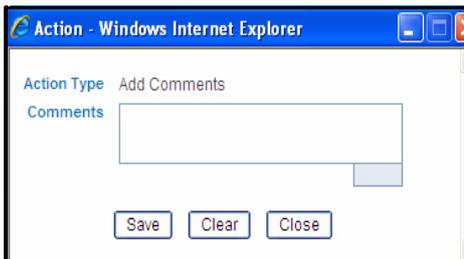
Figure 11. Action Pop-up Window

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.*

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.
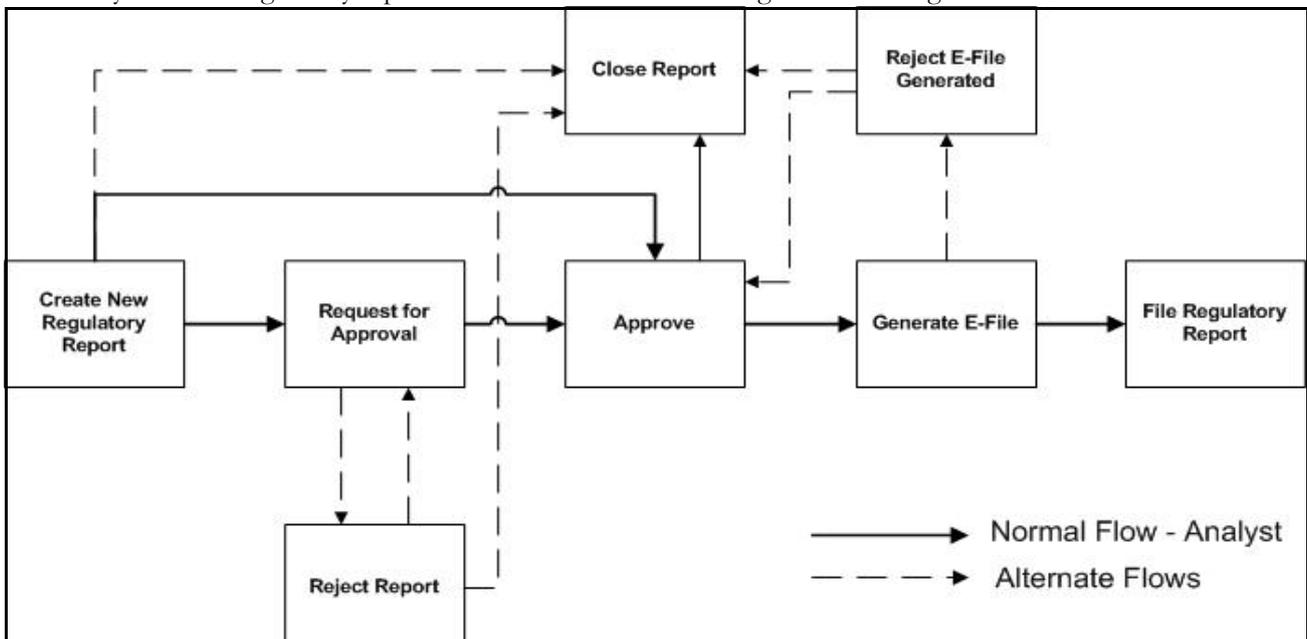
Figure 12. Regulatory Reporting Workflow

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. This process continues until the report is approved or closed.

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 "User Roles," on page 4*.

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 5. Report Status

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

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

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 6. Status in which report details are editable by different users

Report Status	Roles			
	Analyst	Supervisor	Super User	Admin User
Open	X	X	X	
Request for Approval		X	X	
Approved		X	X	X
Re-approve Required		X	X	X
Closed				
Rejected	X	X	X	
E-file Generated				
Rejected from E-file	X	X	X	
Filed				

To view report details, click the report name in the List of Regulatory Reports (*Figure 9*). If the report is already opened by another user, the following message displays (*Figure 13*).
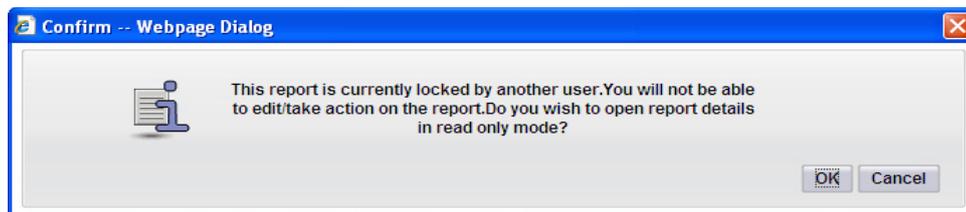
Figure 13. Report Locked Message

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.

Figure 14. List of Regulatory Reports

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

The following table provides a list of search components that display in the RR search bar.

Table 7. Components of RR Search Bar

Criteria	Description
Report Name	Enter the report name to display report with name as specified in the search criteria.
	Note: This field supports a wildcard search, using the % as a wildcard indicator.
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.
	Note: 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.
Status	Select the report status from the drop-down list to display reports in the selected status.
Alert/Case ID	Enter the Alert/Case ID to display reports with the selected Alert/Case ID.
	Note: 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,* on page 24.
Subject Name	Enter the subject name to display reports with the selected subject name.
	Note: This field supports a wildcard search, using the % as a wildcard indicator.
SSN/EIN/TIN	Enter the SSN/EIN/TIN to display reports with the selected SSN/EIN/TIN.
	Note: This field supports a wildcard search, using the % as a wildcard indicator.
Created By	Select the name of the user who created the regulatory report from the drop-down list to display reports created by the selected user.
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.

3. Click **Go**. The relevant search list displays.

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

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,* on page 24. 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,* on page 29.

For more information on User Roles, refer to *Table 2 "User Roles," on page 4*.

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.
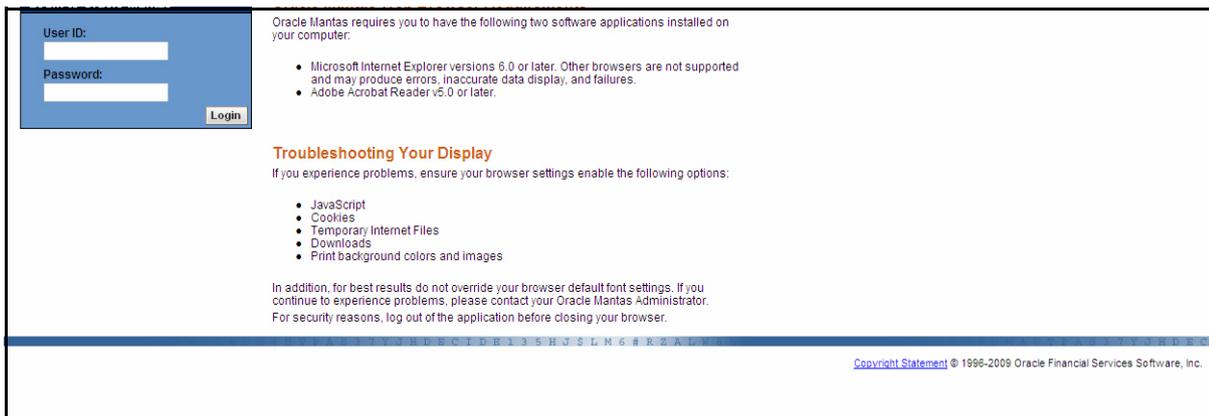
Figure 15. OFSBDP Login Page

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.

Figure 16. Investigation Tab

Figure 17. Alert List Page

4. Select any alert and click **Take Action**. The Alert Action page displays.

5. Select **Recommend SAR** action from Update Section.
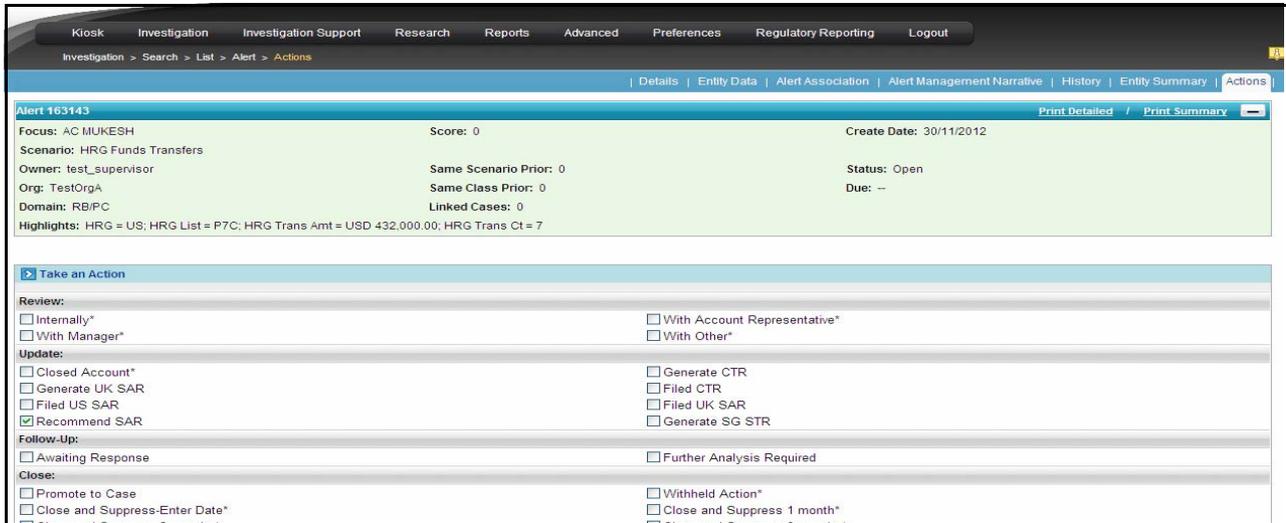
Figure 18. Alert Actions Page

6. Enter comments in Comment text box in the Alert Action page
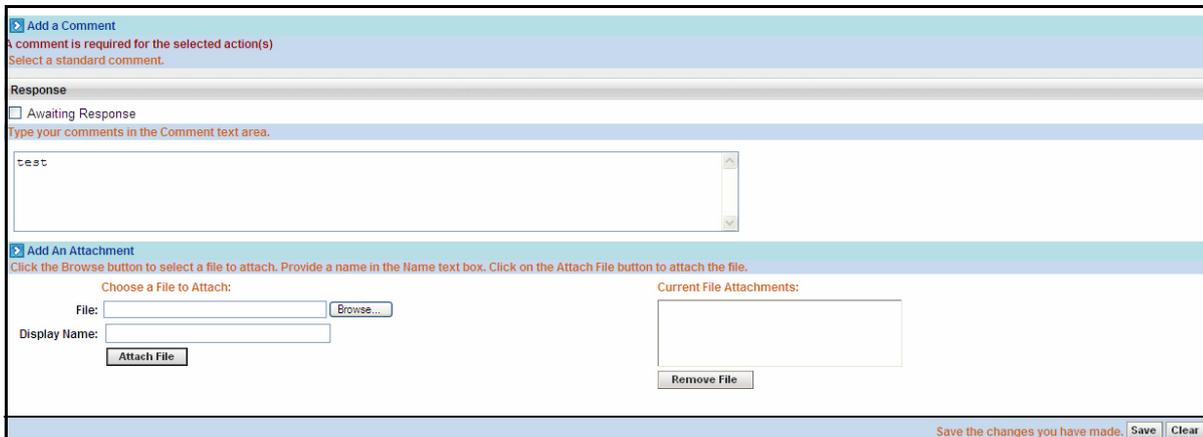
Figure 19. Comments Entered in Alert Action Page

7. Click **Save**. A confirmation message box displays. Click **OK** in the Confirmation message box (*Figure 20*). The Regulatory Report page displays. The system passes the data to the OFSRR and displays a positive acknowledgement (*Figure 21*).

Figure 20. Confirmation Message Box
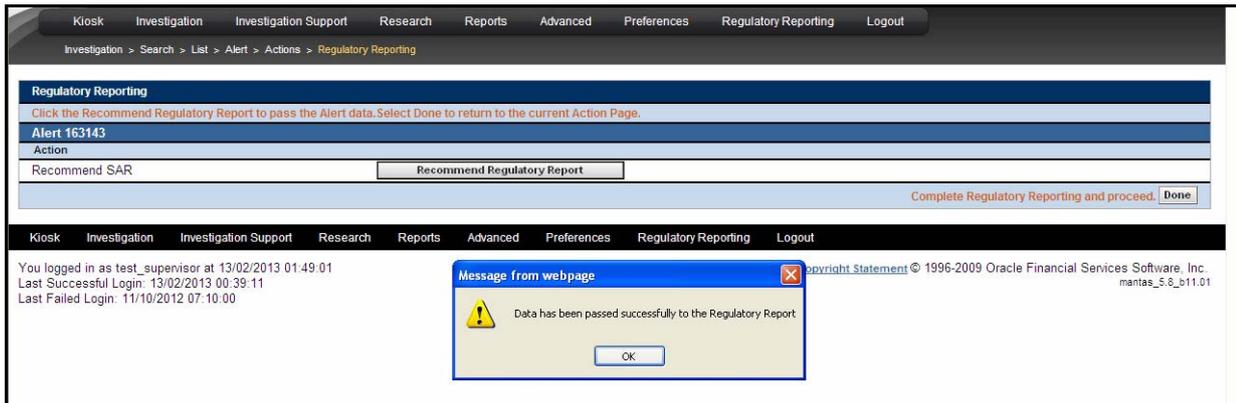
Figure 21. Regulatory Reporting Page Displaying Positive Acknowledgment

8. Click **Done** in the Regulatory Reporting page (*Figure 21*). The Alert List page displays where the user can verify the status of the alert under the *Reg Rpt Status* column.

Figure 22. Alert List Page

9. Login to Regulatory Reporting. The latest alert on which Recommend SAR action was taken displays on Regulatory Reports List.

Figure 23. Regulatory Reports List Displaying the Report Generated from OFSBDP

Creating a New Regulatory Report from OFSRR Application

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

To create a new regulatory report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Create New Regulatory Report**. The Create New Regulatory Report page displays.

Figure 24. Create New Regulatory Report Page

2. Enter the required information.

The following table explains the fields in Create New Report page.

Table 8. Fields in Create New Report Page

Field Name	Description
Report Name	Enter the report name.
	Note: The report name can have a maximum of 60 characters. If you enter more than 60 characters for report name, the following message displays: *Number of characters exceeded*.
Corrected Report	Select whether the report is corrected or not from the drop-down list.
	Note: 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.
Report Type	Displays the report type.
	Note: The application supports generation of US SAR, hence the value for report type is defaulted to *SAR*.
Domain 1	Select Domain 1 from the drop-down list.
	Note: 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.
Domain 2	Select Domain 2 from the drop-down list.
	Note: 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, please contact your system administrator.
Domain 3	Select Domain 3 from the drop-down list.
Domain 4	Select Domain 4 from the drop-down list.
Domain 5	Select Domain 5 from the drop-down list.
Internal Control/File Number	Enter the internal control/file number.
	Note: 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.
Created On	Displays the date and time of report creation.
Created By	Displays the user who created the report.

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

4. Click **OK**. The Create New Report page displays.

   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 "User Roles," on page 4*.

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 allows you to enter the filing institution details.

This tab 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

Components of Filing Institution Information Tab

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

Table 9. Fields in the Filing Institution Information Tab

Field Name	Description
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*.
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.

Table 9. Fields in the Filing Institution Information Tab

Field Name	Description
Type of Filing	Select the type of filing from the drop-down list. Following are the values possible for type of filing: ● **Corrected/Amend Prior Report**: Corrected report is a term used by FinCEN to identify a report that was 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. ● **Initial report**: Initial report is a term used by FinCEN to identify a report that is submitted to the FinCEN for the first time.
Is this a Continuing Activity Report	Select whether the report is a continuing report. **Note:** Continuing Activity reports are SARs 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.
Is this a Joint Report	Select whether the report is a joint report. **Note:** A Joint Report is when the SAR being filed by the current institution is done jointly in cooperation with another financial institution.
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.
Internal Control/File Number	Enter the internal control/file number. **Note:** 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.

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 (*Figure 9*).

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 9*.

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 (*Figure 9*).

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.
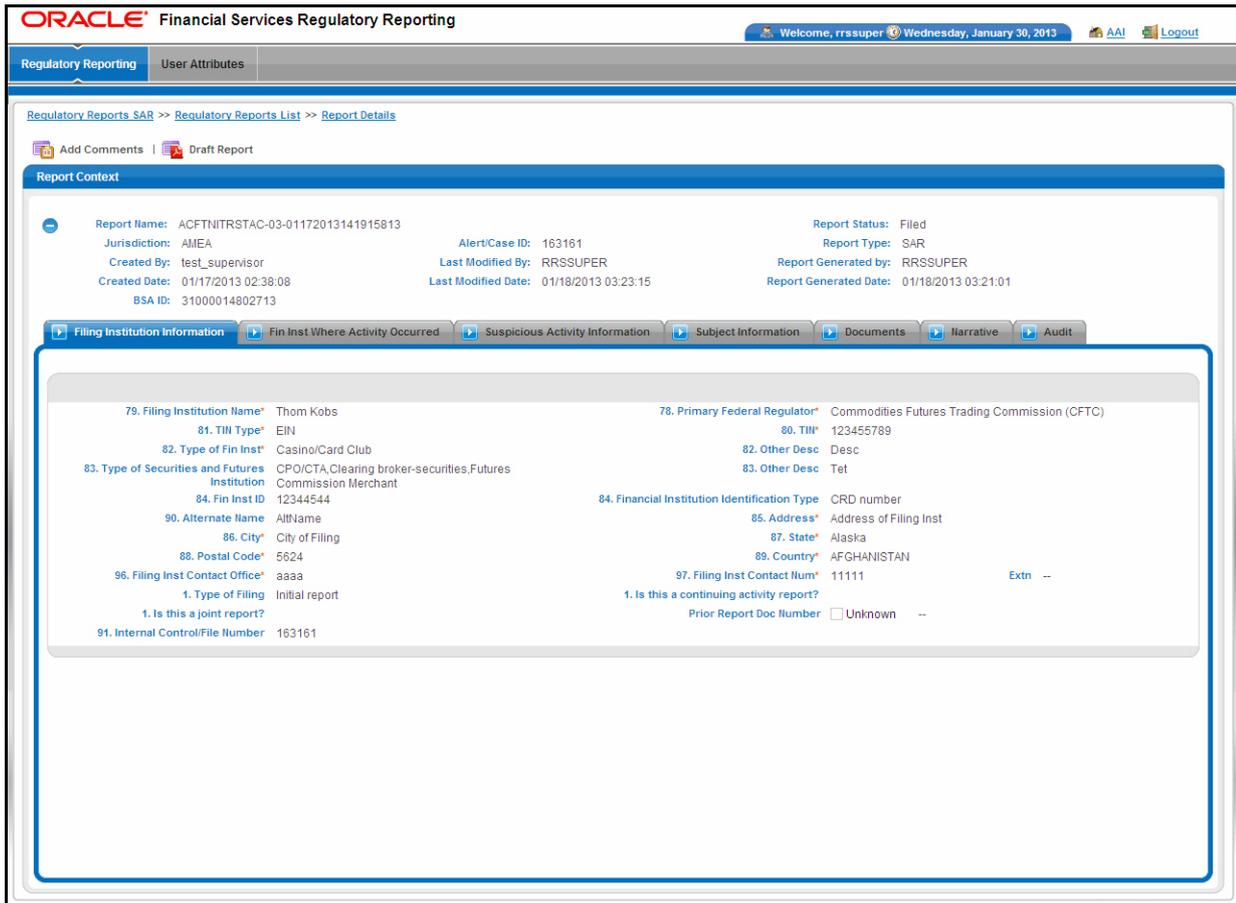
Figure 26. Filing Institution Information Tab- View Mode

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 10. Columns in Financial Institution Where Activity Occurred Grid

Field name	Description
Financial Institution Name	Displays the name of the financial institution.
Type	Displays the type of financial institution.
Primary Federal Regulator	Displays the primary federal regulator.
State	Displays the State in which the institution involved in the suspicious activity is located.
Country	Displays the Country in which the institution involved in the suspicious activity is located.
Financial Institution Code	Displays the financial institution code assigned to the institution involved in the suspicious activity.

Figure 27. Fin Inst Where Activity Occurred Tab - Edit Mode

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 (*Figure 9*).

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

4. Click **Add** in the Financial Institution Where Activity Occurred grid. The Financial Institution Where Activity Occurred pop-up window displays.

Figure 28. Financial Institution Where Activity Occurred Pop-up Window

5. Enter the required information.

   For more information on the fields in the Financial Institution Where Activity Occurred pop-up window, refer to *Table 11 "Fields in Financial Institution where Activity Occurred," on page 39*.

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 11. Fields in Financial Institution where Activity Occurred

Field name	Description
Loss to Financial Institution	Enter the loss incurred during the suspicious activity.
Role	Enter the role of the financial institution in the suspicious activity. **Note:** 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. Role is a drop-down list with the following options: ● **Paying Location**: 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. ● **Selling Location**: The financial institution is considered to have played the role of *Selling Location* if the customer purchased products or instruments from the institution. ● **Both a and B**: 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.
Legal name of the Financial Institution	Select the legal name of the financial institution from the drop-down list. **Note:** All other information except loss of financial institution and role gets auto-populated on selection of this field and are not editable.
Alternate Name	Displays the alternate name of the financial institution.
Type of Financial Institution	Displays the type of financial institution.
Other Description	Displays any additional information about the type of financial institution.
Financial Institution Code	Displays the financial institution code.
Primary Federal Regulator	Displays the primary federal regulator. **Note:** Primary Federal Regulator is the state or federal regulatory agency that is the primary supervising entity of a financial institution.
Financial Institution ID Type	Displays the financial institution ID type.
Financial Institution ID Number	Displays the financial institution ID number.
TIN	Displays the TIN number.
TIN Type	Displays the TIN type.
Type of Gaming Institute	Displays the type of gaming institute.
Other Description	Displays any additional information about the type of gaming institute.
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.
Address	Displays the address of the financial institution where the suspicious activity occurred.
City	Displays the City in which the institution involved in the suspicious activity is located.
State	Displays the State in which the institution involved in the suspicious activity is located.

Table 11. Fields in Financial Institution where Activity Occurred

Field name	Description
Postal	Displays the postal code of the financial institution.
Country	Displays the Country in which the institution involved in the suspicious activity is located.

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 (*Figure 9*).

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 (*Figure 9*).

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.

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 12. Columns in Branch Details Grid

Field Name	Description
Branch Code	Displays the branch code.
Address	Displays the address details of the branch.
City	Displays the city where the branch is located.
State	Displays the State where the branch is located.
Postal Code	Displays the zip code where the branch is located.
Country	Displays the Country where the branch is located.
RSSD ID Number	Displays the RSSD number of the branch.
	Note: 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.
Branch Role	Displays the role of the financial institution branch in the suspicious activity.
	Note: 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.
	Role is a drop-down list with the following options:
	● **Paying Location**: 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.
	● **Selling Location**: The financial institution is considered to have played the role of *Selling Location* if the customer purchased products or instruments from the institution.
	● **Both a and B**: 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.

Figure 29. Branch Details - Edit Mode

If there is no branch involved in the suspicious activity, check *If no Branch Involved, check this box* in the Branch Information grid. It is mandatory to either select the No branch involved 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 (*Figure 9*).

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

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 [icon] 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 (*Figure 9*).

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 (*Figure 9*).

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: A*re 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.
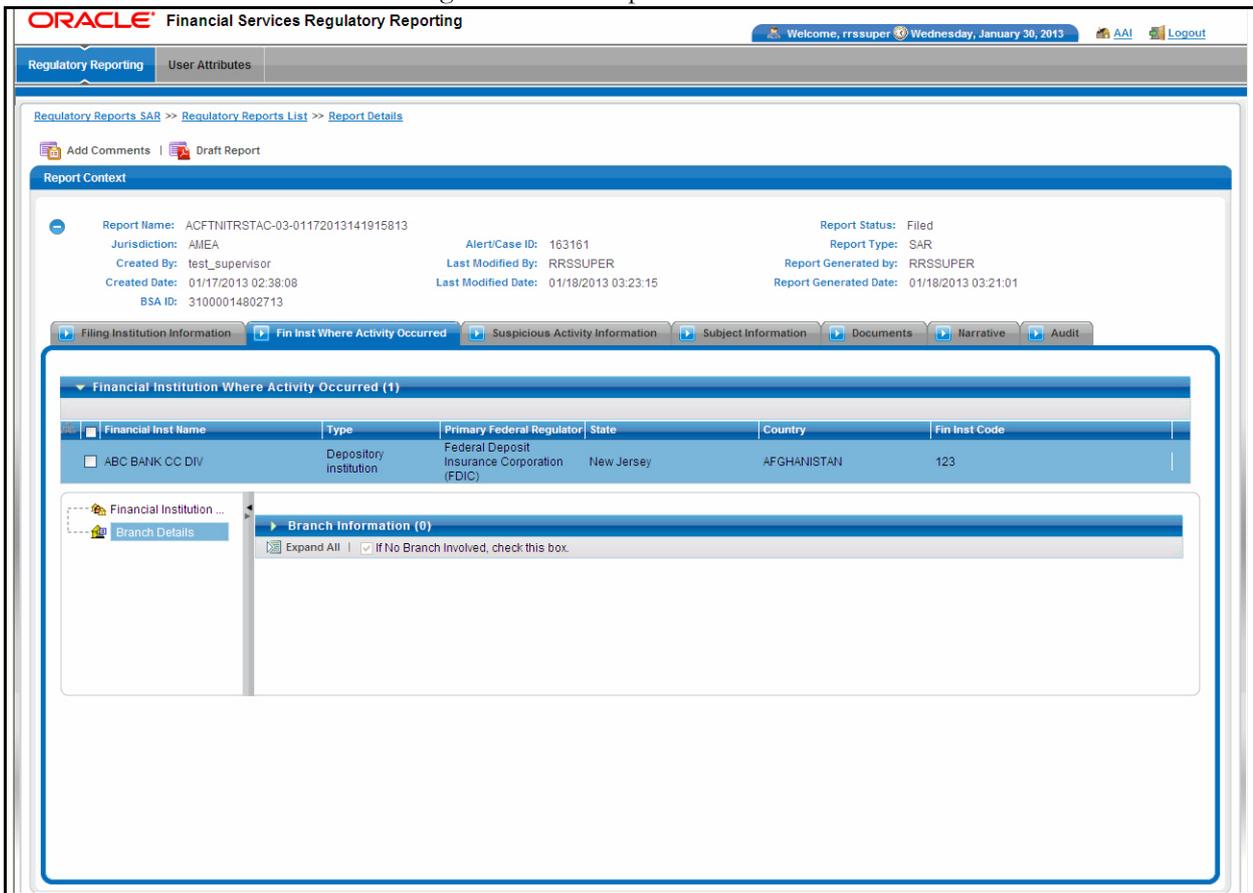
Figure 31. Branch Details - View Mode

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.
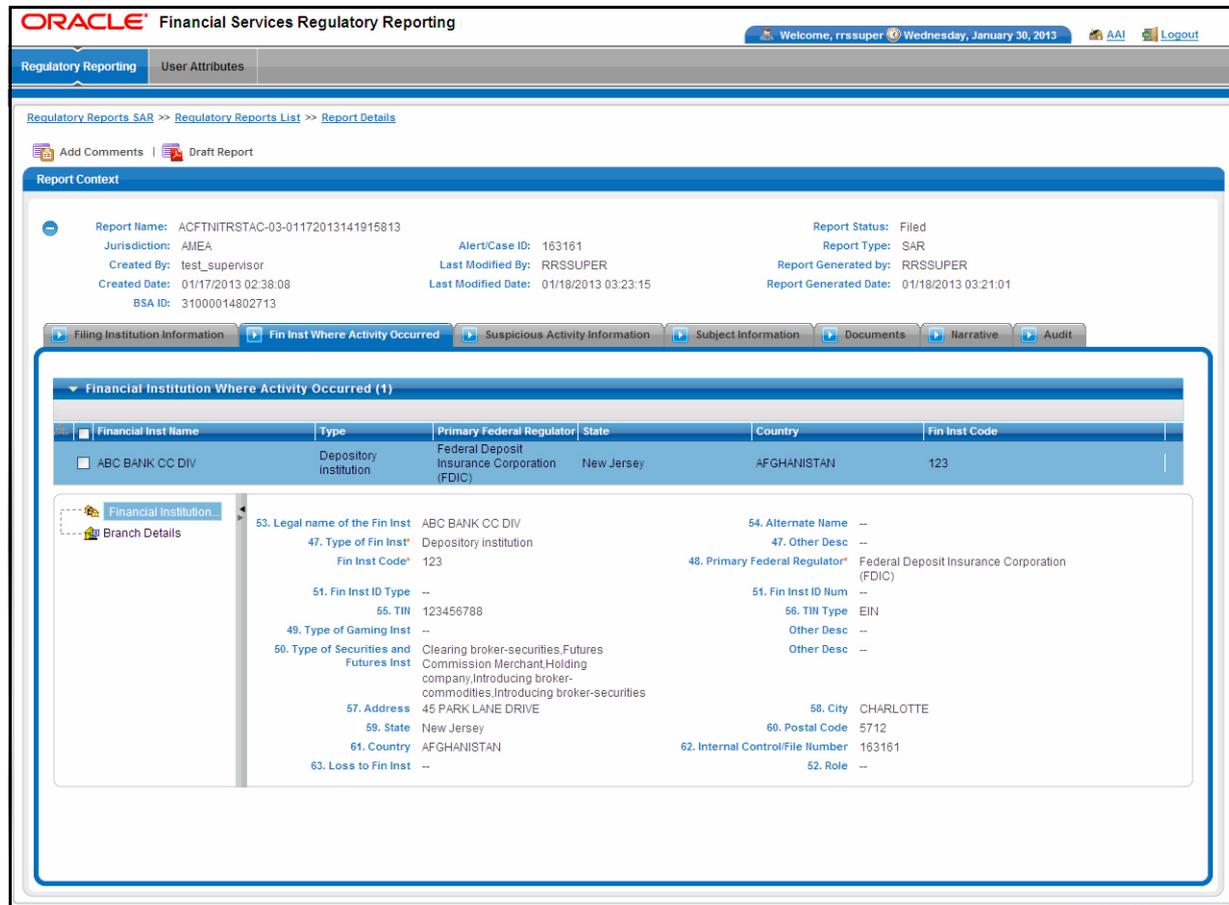
Figure 32. Financial Institution where Activity Occurred Tab – View Mode

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

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 (*Figure 9*).

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 13. Fields in Suspicious Activity Details Pane

Field Name	Description
Activity Date From	Enter the date on which the suspicious activity is believed to have started.
To	Enter the date on which the suspicious activity is believed to have ended.
Amount	Enter the amount involved in the suspicious activity.
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.
Amount Unknown/no Amount	Select amount unknown or no amount involved from the drop-down list. **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.

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.*

Figure 33. Suspicious Activity Details Tab - Edit Mode

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.

Figure 34. Activity Classification – Edit Mode

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 14. Fields in the Law Enforcement Agency Details

Field Name	Description
LE Contact Agency	Enter the law enforcement contact agency.
LE Contact Name	Enter the law enforcement contact name.
Contact Number	Enter the contact number of the law enforcement agency.
Extension	Enter the extension number of the law enforcement agency.
LE Contact date	Select the date on which the law enforcement agency was contacted.

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.
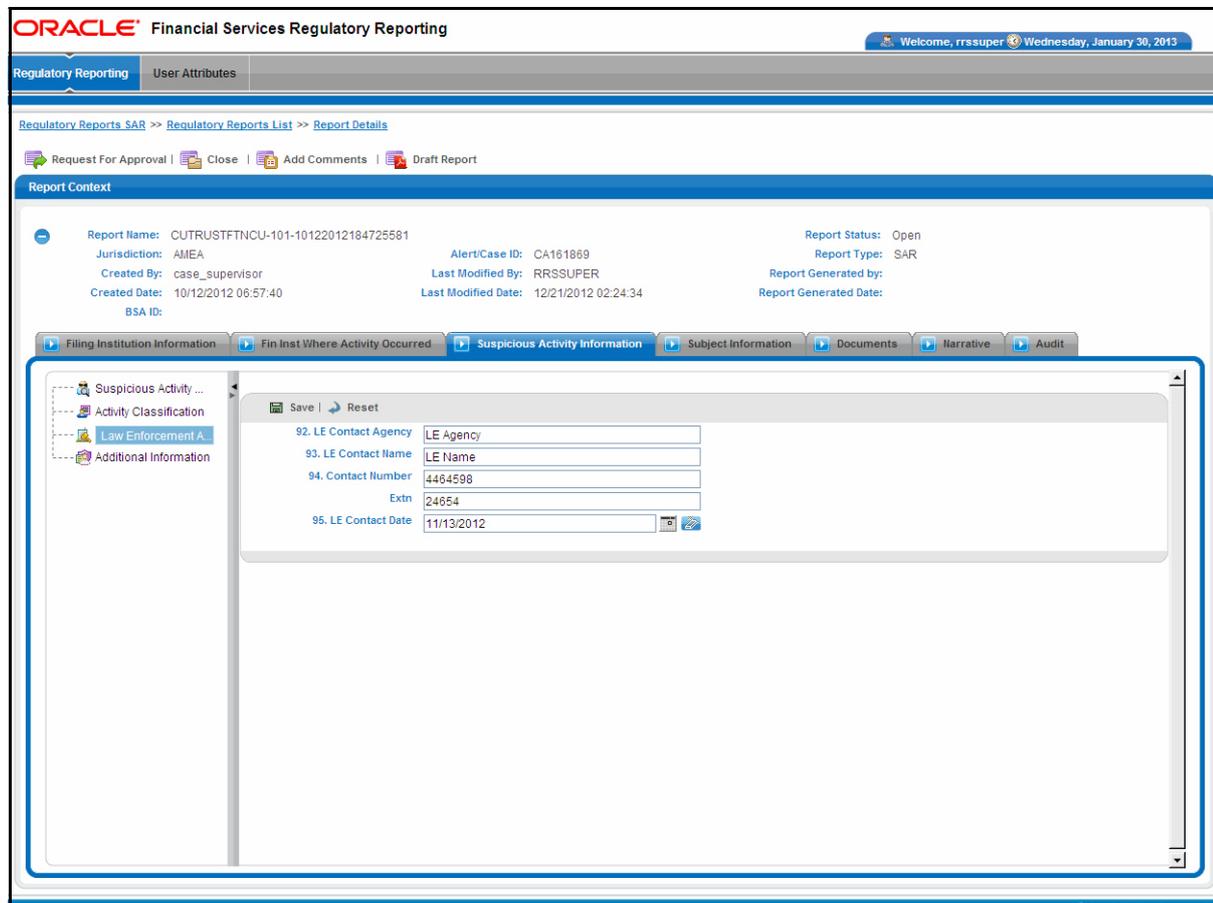
Figure 35. Law Enforcement Agency Details – Edit Mode

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.
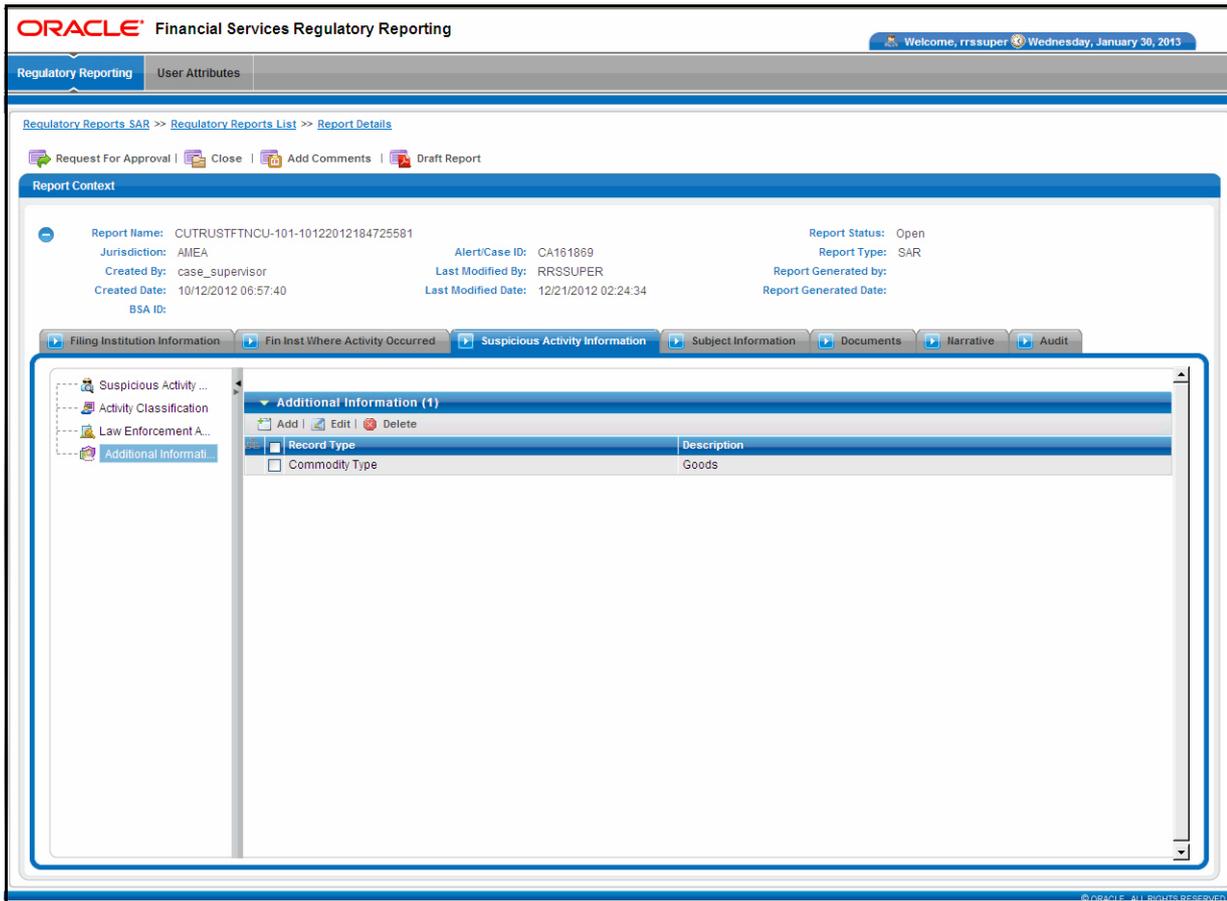
Figure 36. Additional Information – Edit Mode

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 (*Figure 9*).

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.
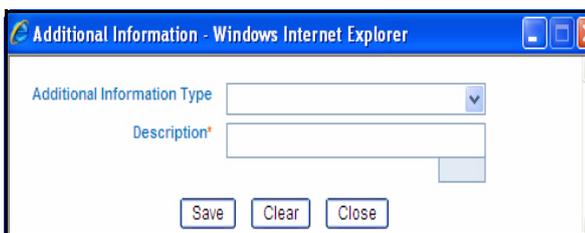
Figure 37. Add Additional Information Pop-up Window

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 (*Figure 9*).

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 (*Figure 9*).

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.
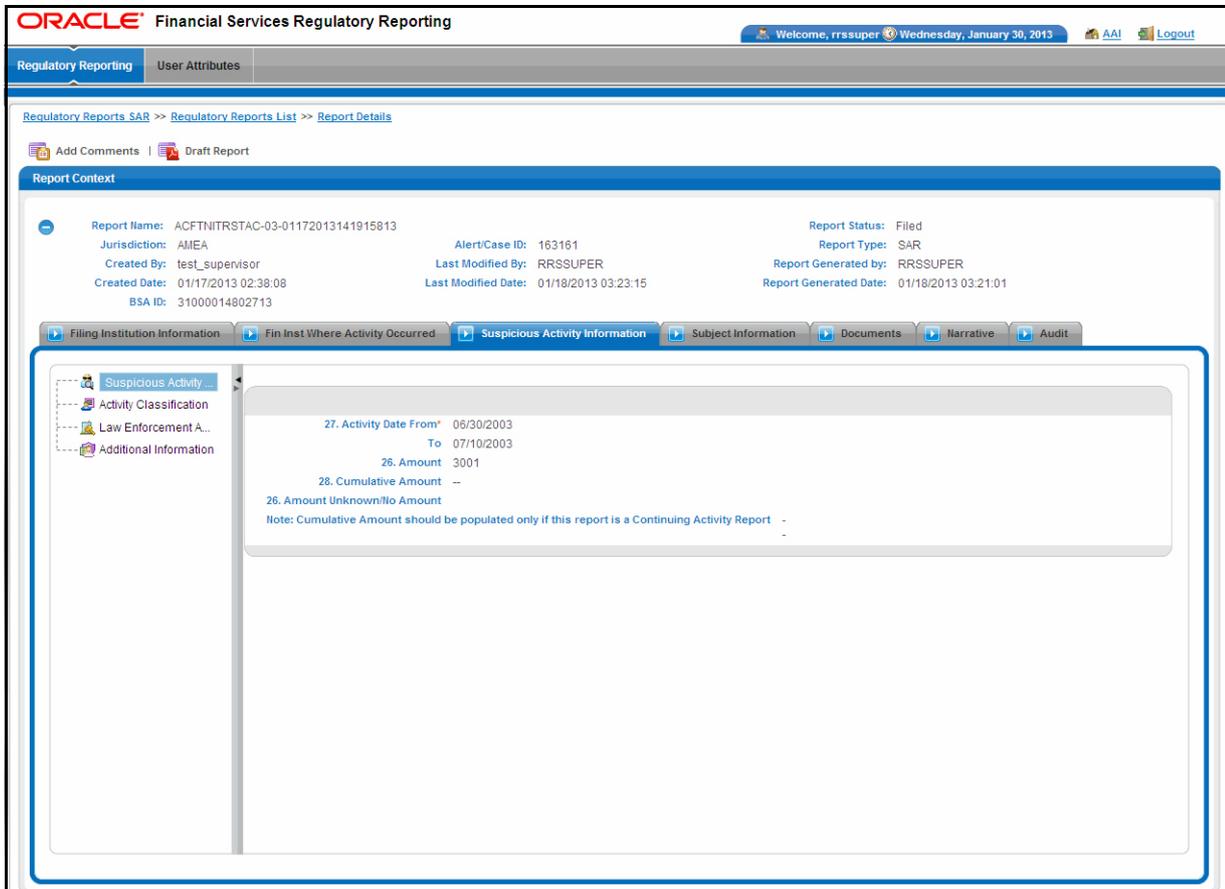
Figure 38. Suspicious Activity Details - View Mode

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.
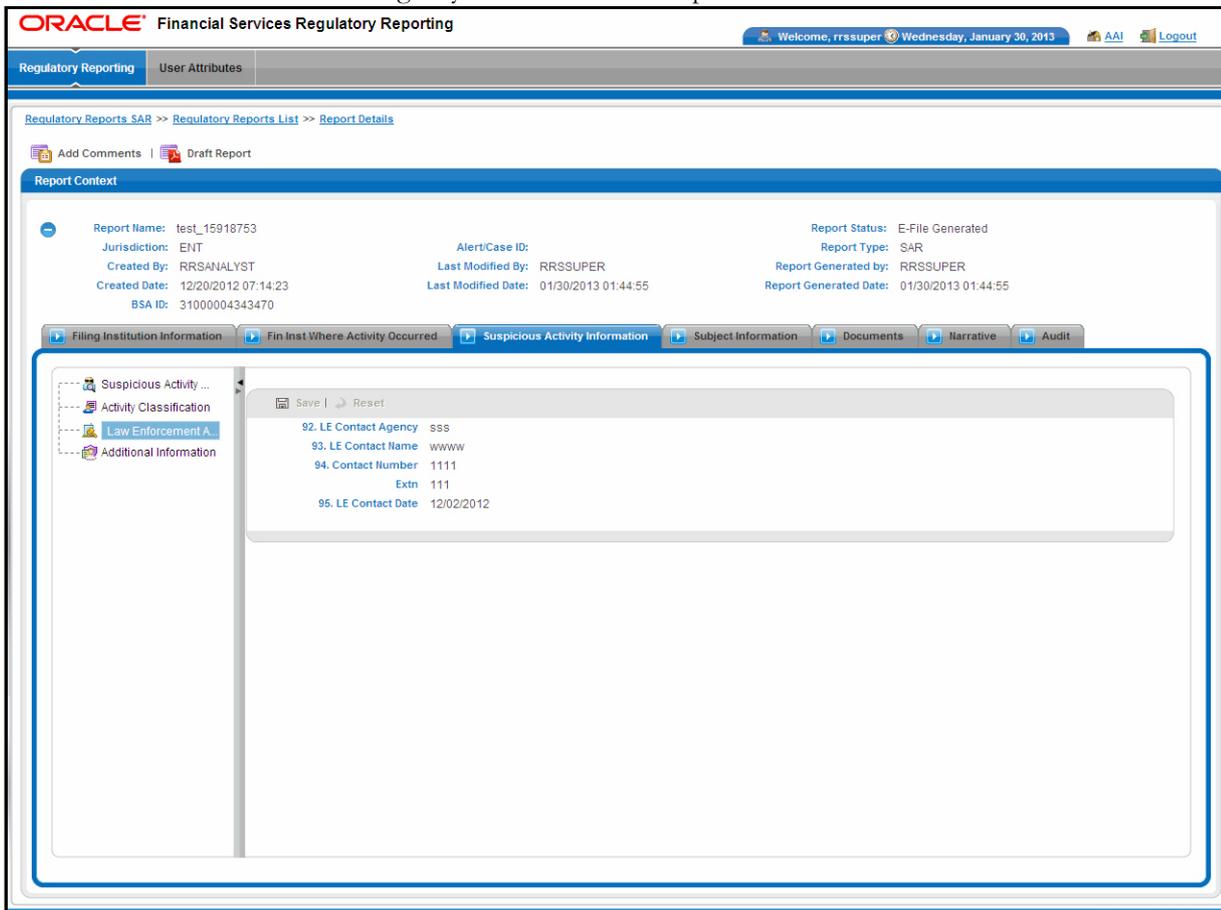
Figure 40. Law Enforcement Agency Details – View Mode

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**

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.

This tab displays the following options in the LHS menu:

- Subject Details

- Account Details

- Relationship with Financial Institution

Subject Details

You can add details about the subject in this pane.

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 15. Columns in Subject Information Grid

Field Name	Description
Subject Record #	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.
Subject Name	Displays the subject name.
TIN	Displays the subject TIN number.
Occupation/Type of Business	Displays the occupation/type of business of the subject.
Role	Defines the role of the subject in the suspicious activity being reported. Role is a drop-down list with the following options: ● **Purchaser/Sender**: 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*. ● **Payee/Receiver**: If the subject received the instruments or products involved in suspicious activity they are considered to have played the role of the *Payee/Receiver*. ● **Both a and b**: You must select this option if the subject acted as both *Purchaser/Sender* and *Payee/Receiver.*
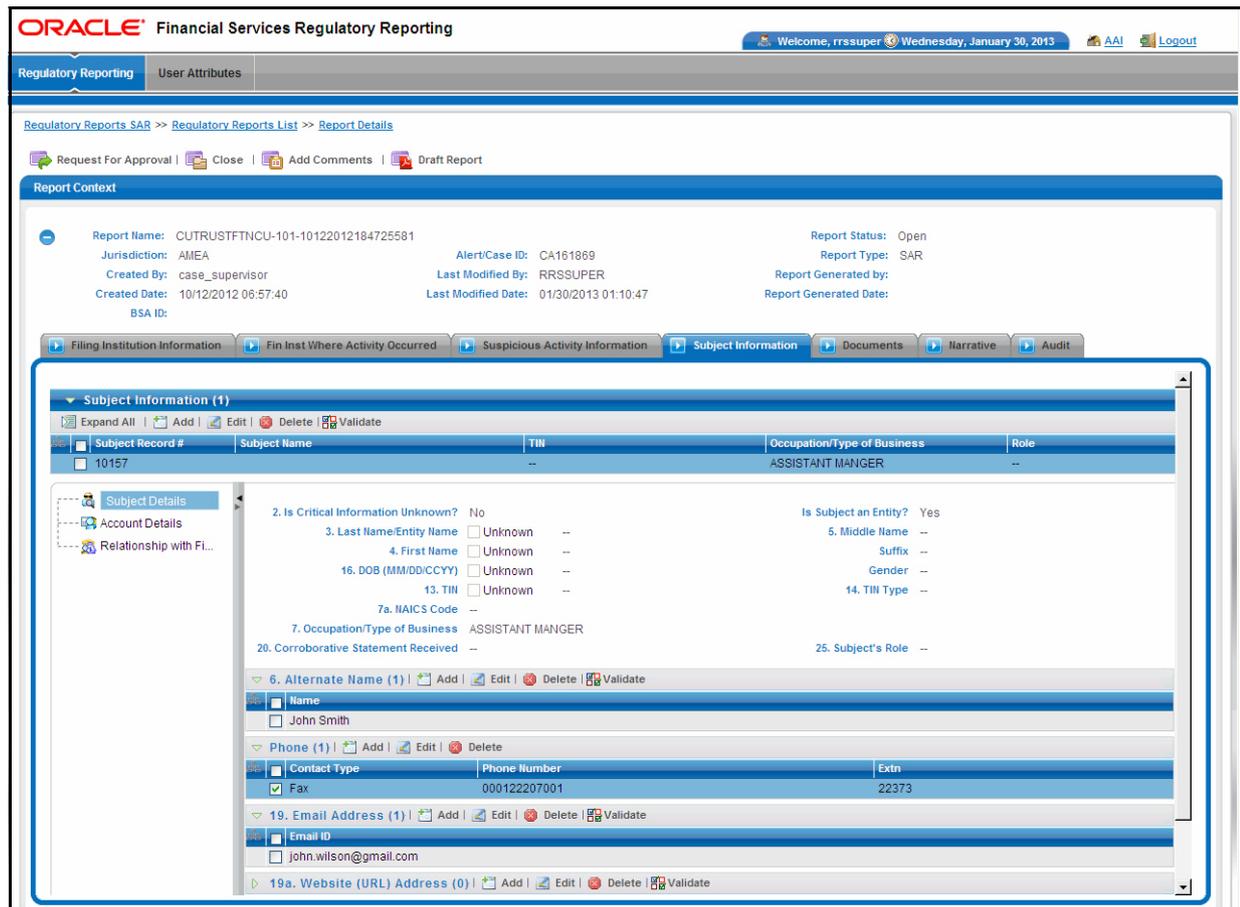
Figure 42. Subject Information Tab – Edit Mode

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Click **Add**. The Subject Information pop-up window displays.
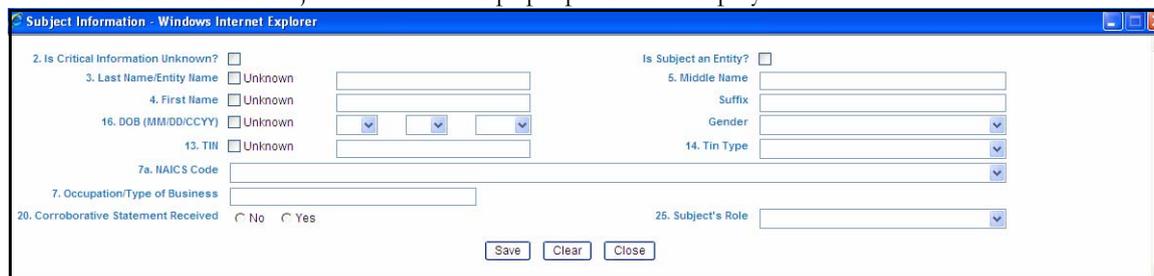
Figure 43. Subject Information Pop-up Window

The following table explains the fields in the Subject Information pop-up window.

Table 16. Fields in Subject Information Pop-up Window

Field Name	Description
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.
Corroborative Statement Received	Select whether the corroborative statement is received. **Note:** 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 **Yes**. If not, select **No**. If you select Yes, then the nature of that statement should be captured in the report *Narrative*.
Subject role	Select the role of the subject in the suspicious activity.

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.

   Click **Clear** to clear the data in the Subject Information grid and click **Close** to close the Subject Information grid.

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Select the record you want to edit in the Subject Information grid.

5. Click **Edit**. The Subject Information grid displays.

6. Modify the necessary information.

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

8. 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 (*Figure 9*).

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 Subject details (Last Name/ Entity Name, First Name, TIN and DOB) and Address details or mark the required fields as Unknown. If Identification information is unknown it can be left blank.*

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 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.*

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 (*Figure 9*).

3. Click the **Subject Information** tab.

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

Figure 44. Alternate Name Pop-up Window

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

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

7. 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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Select the record you want to edit in the Alternate Name grid.

5. Click **Edit** in the Alternate Name grid. The Alternate Name pop-up window displays.

6. Modify the required information.

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

8. 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 (*Figure 9*).

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.

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 (*Figure 9*).

3. Click the **Subject Information** tab.

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

Figure 45. Phone Pop-up Window

5. 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

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

7. 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:

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Select the record you want to edit in the Phone grid.

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

6. Modify the required information.

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

8. 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 (*Figure 9*).

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.

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Click **Add** in the Email Address grid. The Email Address pop-up window displays.

Figure 46. Email Address Pop-up Window

5. Enter the required information in the Email Address pop-up window.

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

7. 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:

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Select the record you want to edit in the Email Address grid.

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 (*Figure 9*).

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.

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Click **Add** in the Website (URL) Address grid. The Website (URL) Address pop-up window displays.
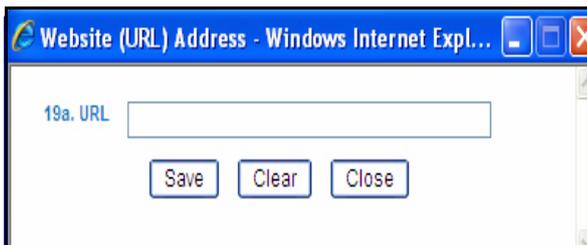
Figure 47. Website (URL) Address Pop-up Window

5. Enter the required information in the Website (URL) Address pop-up window.

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

7. 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:

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Select the record you want to edit in the Website (URL) Address grid.

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 (*Figure 9*).

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.

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Click **Add** in the Address grid. The Address pop-up window displays.
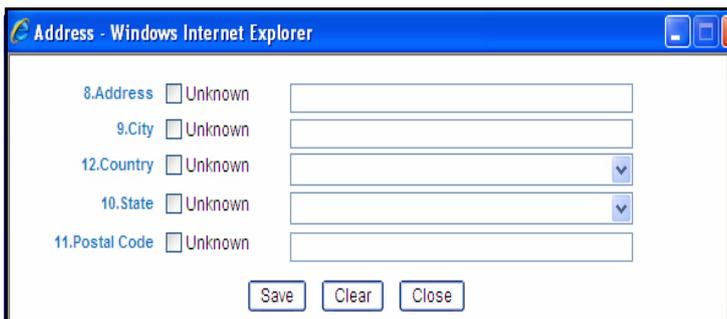
Figure 48. Address Pop-up Window

5. 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.

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

7. 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.

● You must not enter more than 9 characters in state code 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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Select the record you want to edit in the Address grid.

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 (*Figure 9*).

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.

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Click **Add** in the Form of Identification grid. The Form of Identification pop-up window displays.

Figure 49. Form of Identification Pop-up Window

5. Enter the required information in the Form of Identification pop-up window.

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

7. 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.

Validations:

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 (*Figure 9*).

3. Click the **Subject Information** tab.

4. Select the record you want to edit in the Form of Identification grid.

5. Click **Edit** in the Form of Identification grid. The Form of Identification pop-up window displays.

6. Modify the required information.

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

8. 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 (*Figure 9*).

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.

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.
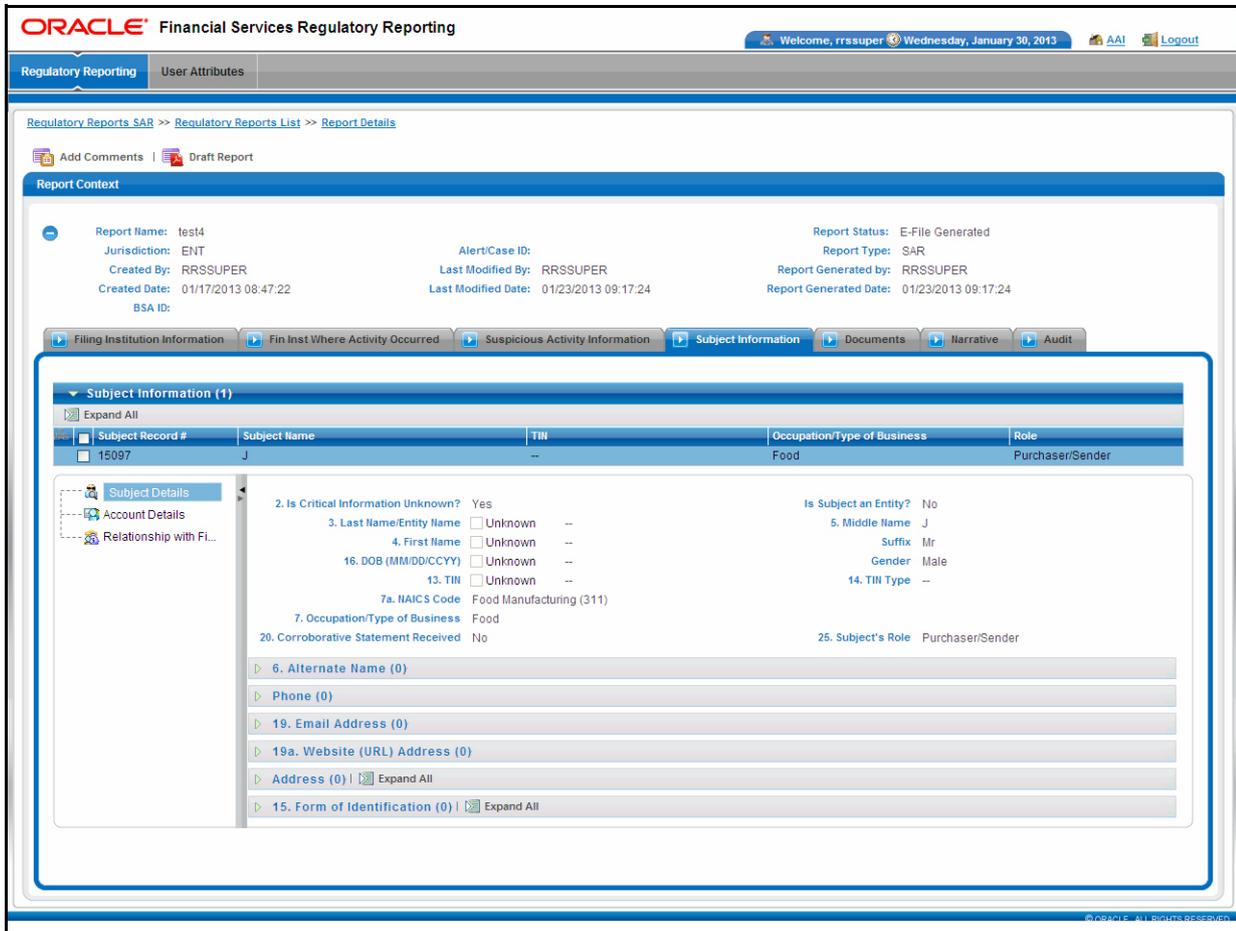
Figure 50. Subject Details - View Mode

Account Details

This page captures the Account details of the Subject

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

.
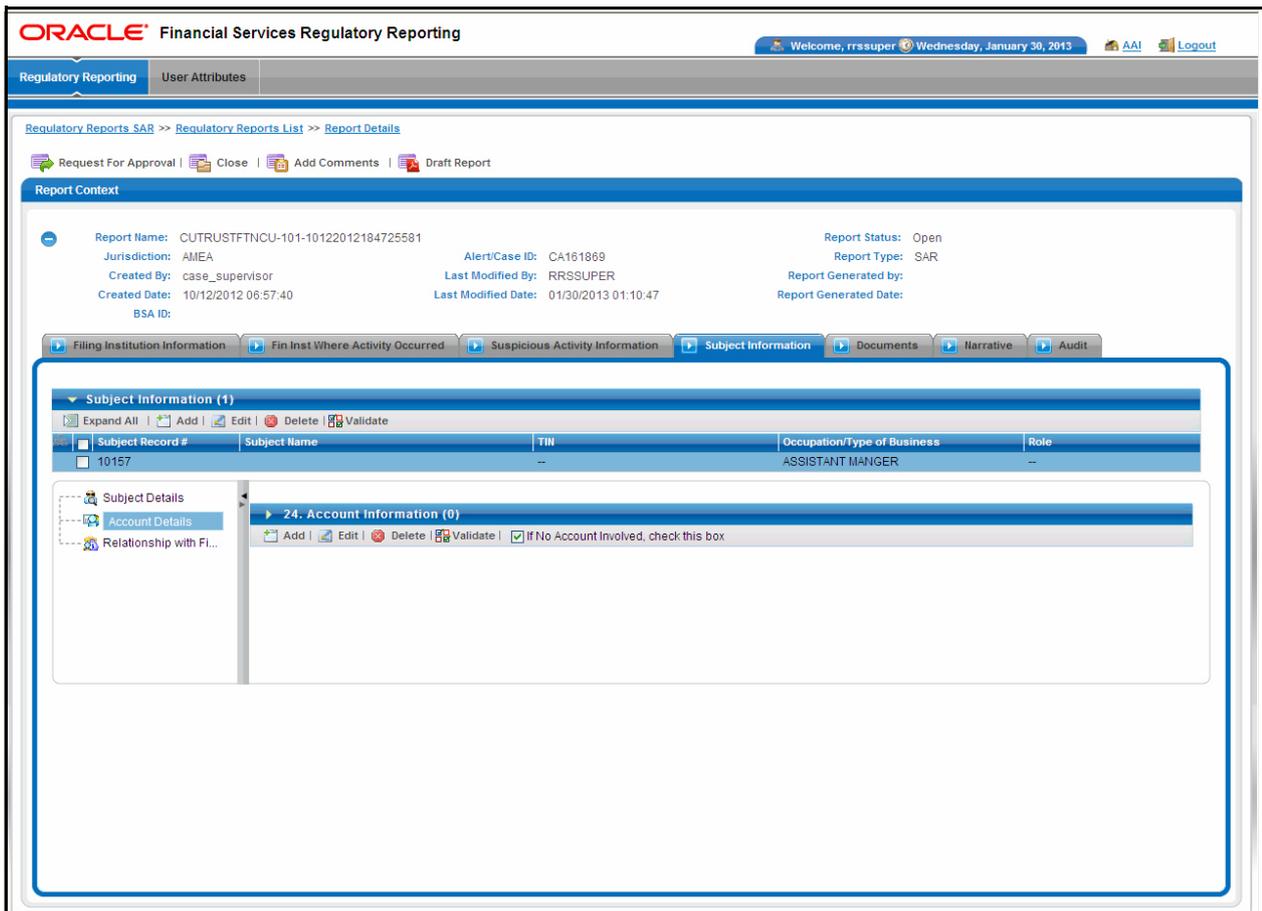
Figure 51. Account Details – Edit Mode

You can add, edit, or delete subject account information.

If there are no accounts involved in the suspicious activity, check *If No Account Involved, check this box*.

If No Account Involved, check this box 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.*

Adding Subject Account Information

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 (*Figure 9*).

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.

Figure 52. Account Add Pop-up Window

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

Table 17. Fields in Account Add Pop-up Window

Field Name	Description
Non-US Financial Institution	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.
Financial Institution TIN	Enter the financial institution TIN number.
Account Number	Enter the account number.
Is Account Closed	Select whether the account is closed or not.

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 (*Figure 9*).

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 (*Figure 9*).

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.

You cannot edit the report details when the report is in view mode. All the action buttons such as Add, Edit, Delete, and Validate are hidden in the Account Information grid when the report is in view mode.
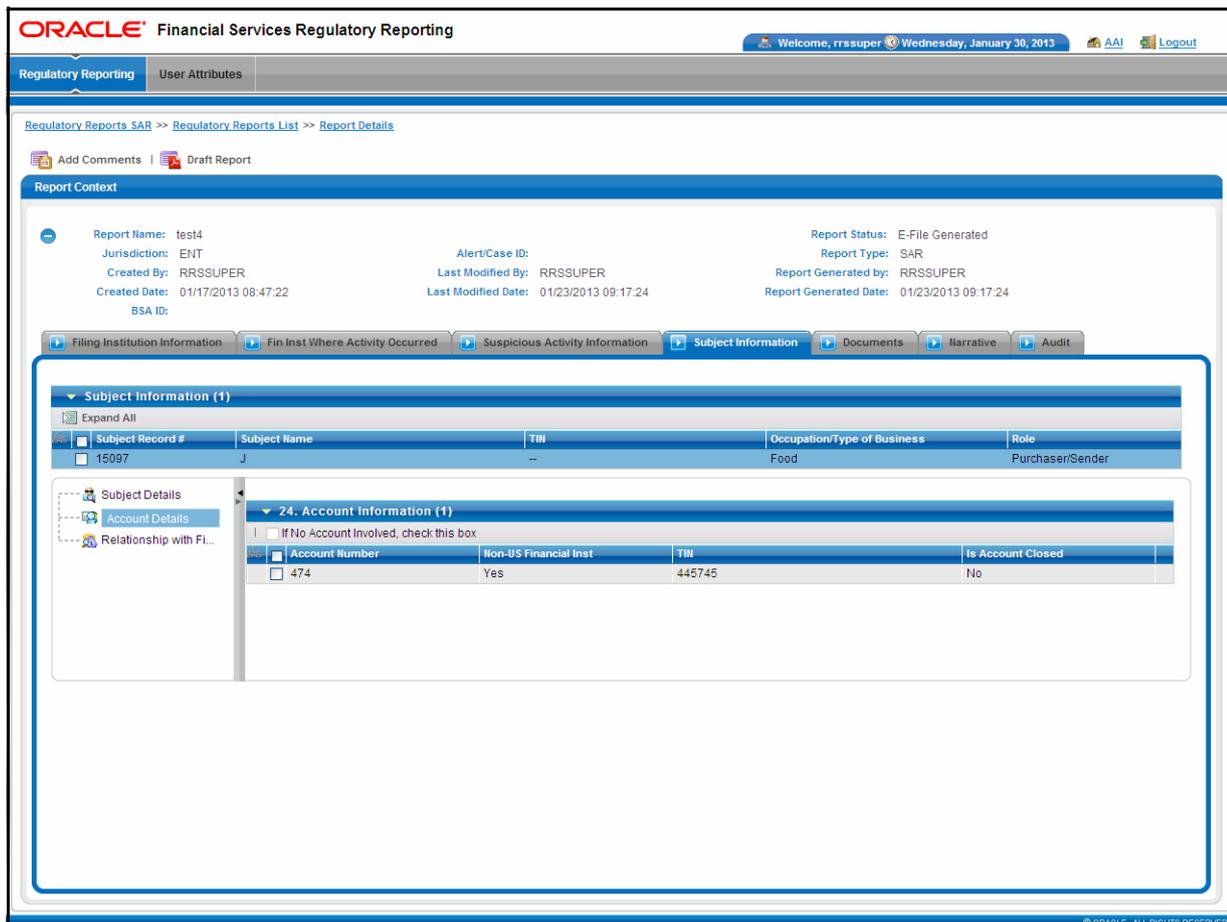
Figure 53. Account Details – View Mode

Relationship with Financial Institution

The Relationship with Financial Institution pane provides data regarding the Relationship of the Subject with the Financial Institutions mentioned in the report.
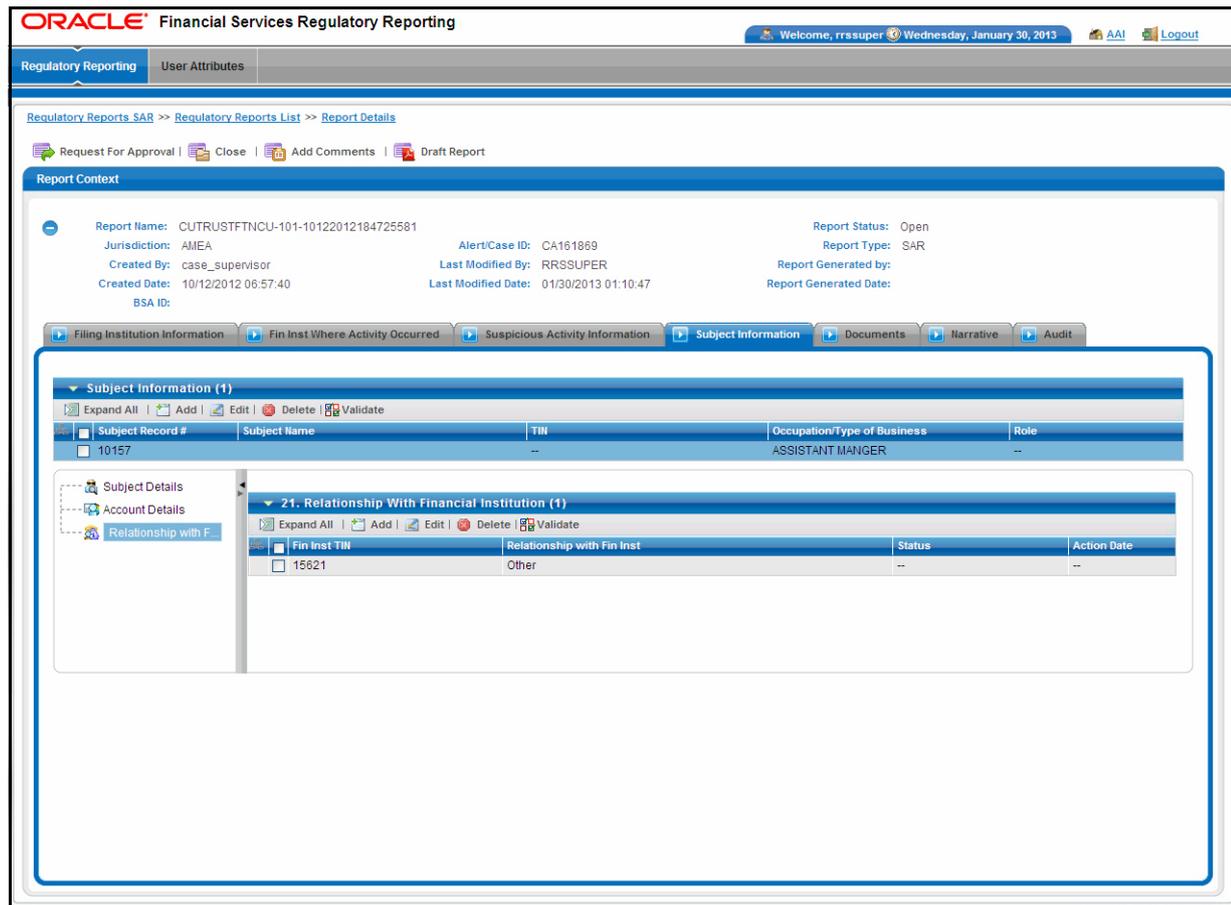
Figure 54. Relationship with Financial Institution - Edit Mode

Select **Relationship with Financial Institution** from the LHS menu to view the Relationship with Financial Institution pane.

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

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

Table 18. Columns in Relationship With Financial Institution Grid

Field	Description
Financial Institution TIN	Displays the TIN number of the financial institution.
Relationship with Financial Institution	Displays the relationship of the subject with the financial institution.
Status	Displays the status of relationship of the subject with the financial institution.
Action Date	Displays the action date from the calendar.

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

Adding Subject Relationship with Financial Institution

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 (*Figure 9*).

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 55. 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 19. Fields in Add Relationship with Financial Institution Pop-up Window

Field	Description
Financial Institution TIN	Enter the TIN number of the financial institution.
Relationship with Financial Institution	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: ● 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 (*Figure 9*).

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 (*Figure 9*).

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 Relationship with Financial Institution grid when the report is in View mode.
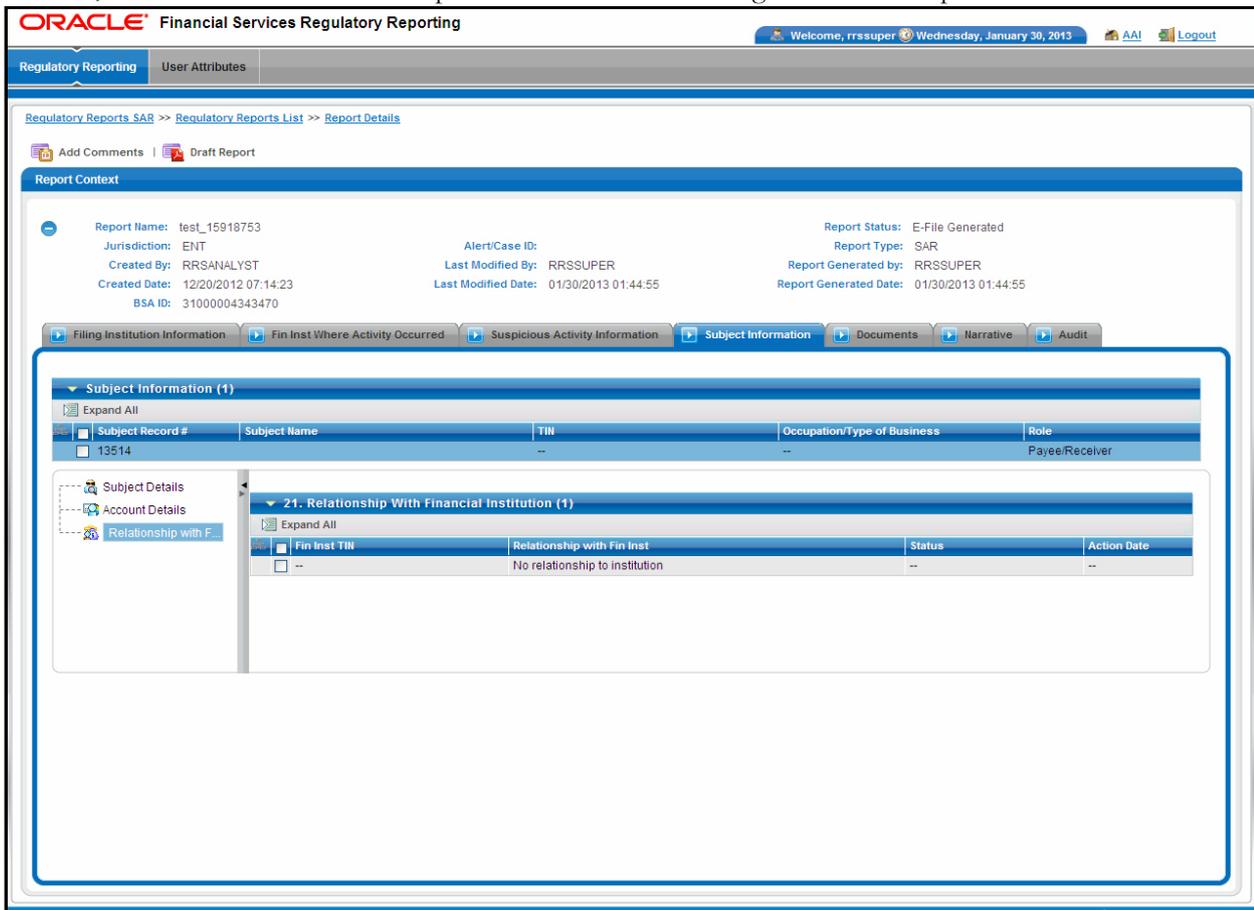
Figure 56. Relationship with Financial Institution – View Mode

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 20. Fields in Documents grid

Field Name	Description
Actual file name	Displays the actual file name of the document attached.
File name	Displays the logical file name assigned by the user.
Include this file in the report	Displays whether the attached document is included in the final report or not.

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.
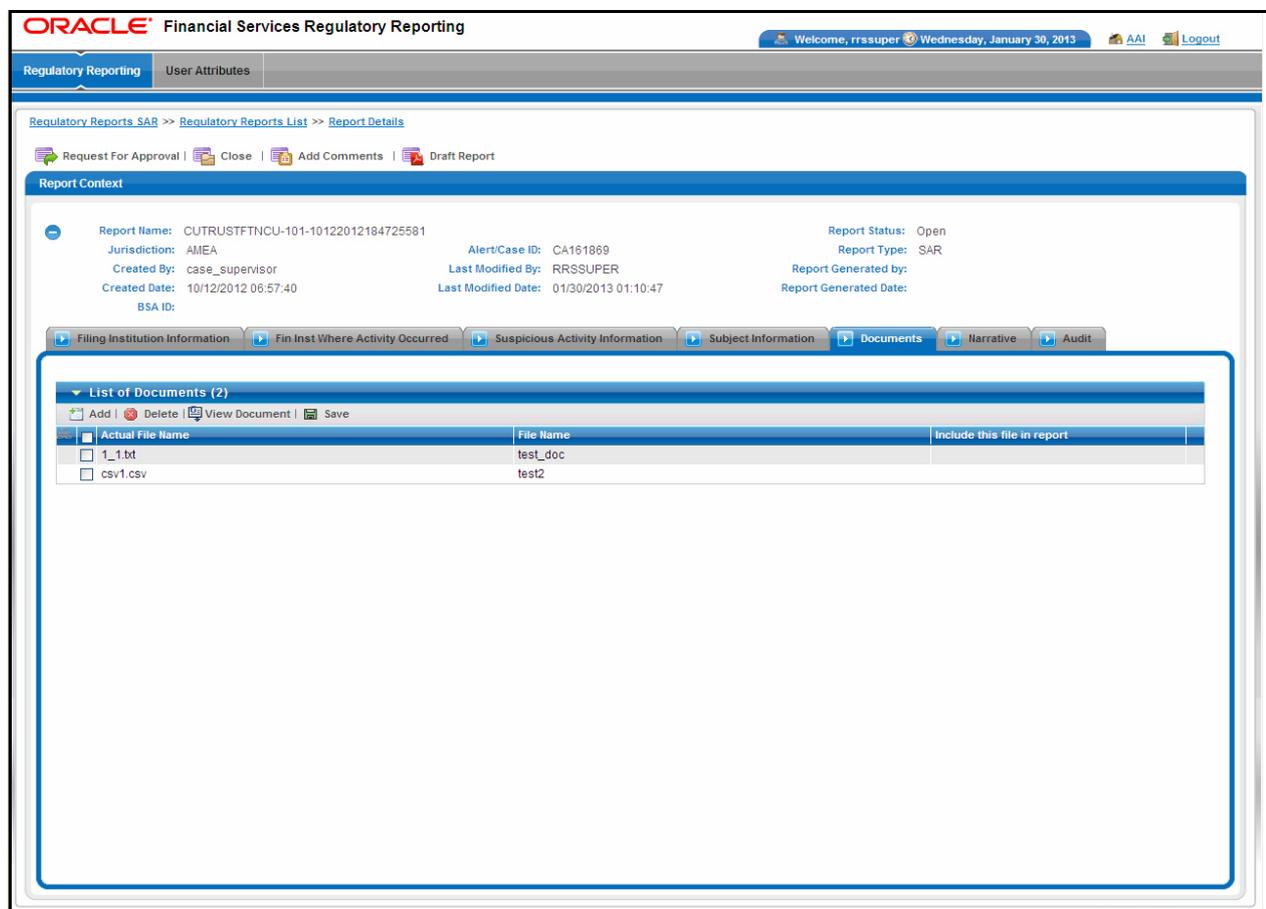
Figure 57. Documents Tab – Edit Mode

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 (*Figure 9*).

3. Click the **Documents** tab. The document details display.

4. Click **Add**. The Attach Document pop-up window displays.
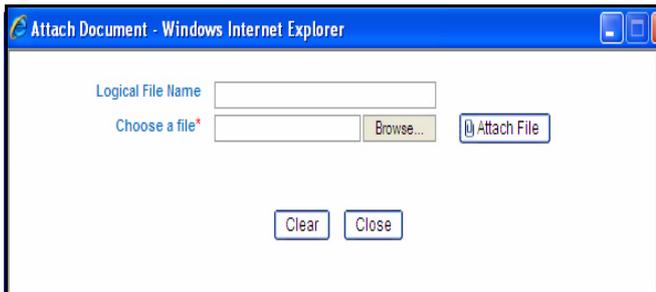
Figure 58. Attach Document Pop-up Window

The following table explains the fields in the Attach Document pop-up window.

Table 21. Fields in Attach Document Pop-up Window

Field Name	Description
Logical File Name	Enter the file name of the document to be attached.
Choose a File	Select the file that needs to be attached. **Note:** You can attach files of any format in the Documents tab.

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 (*Figure 9*).

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 (*Figure 9*).

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 (*Figure 9*).

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.
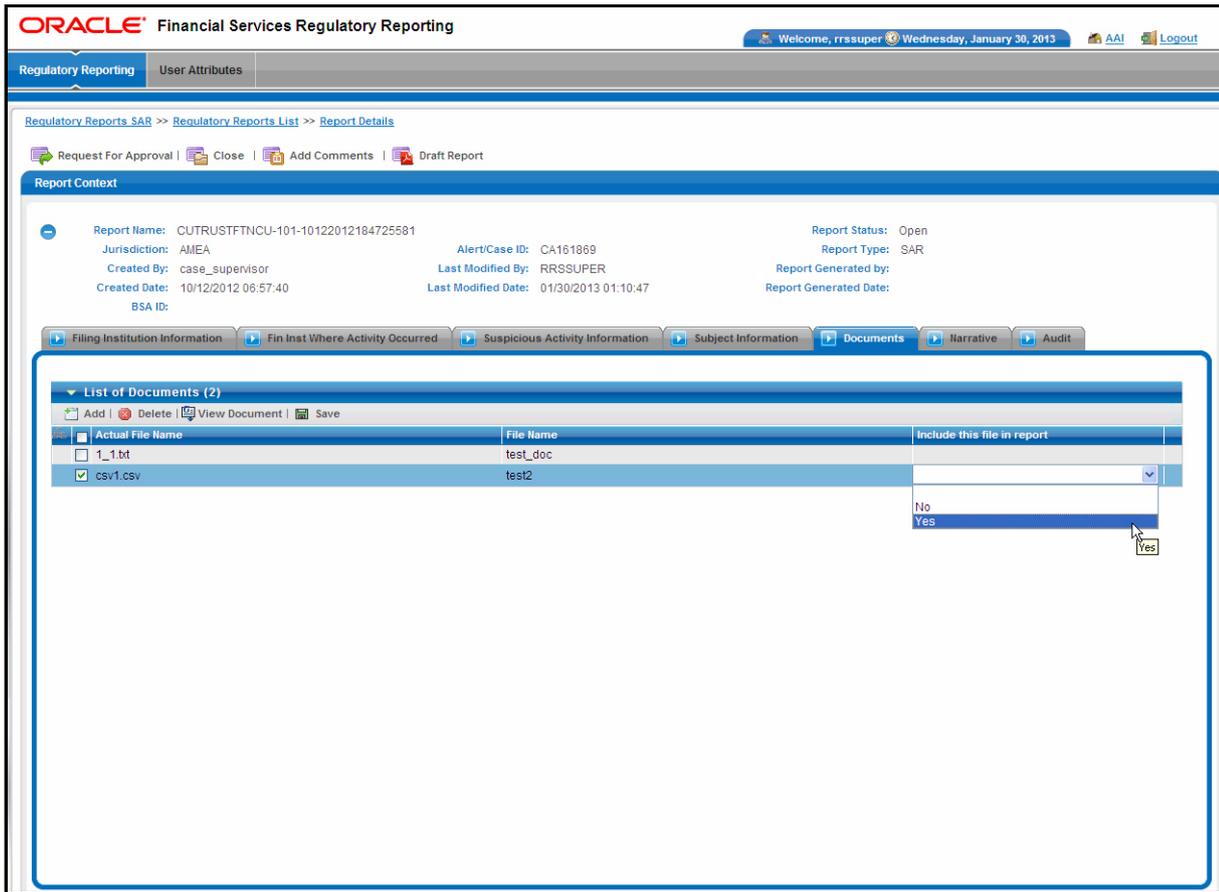
Figure 59. Including .csv in E-file Generated

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.
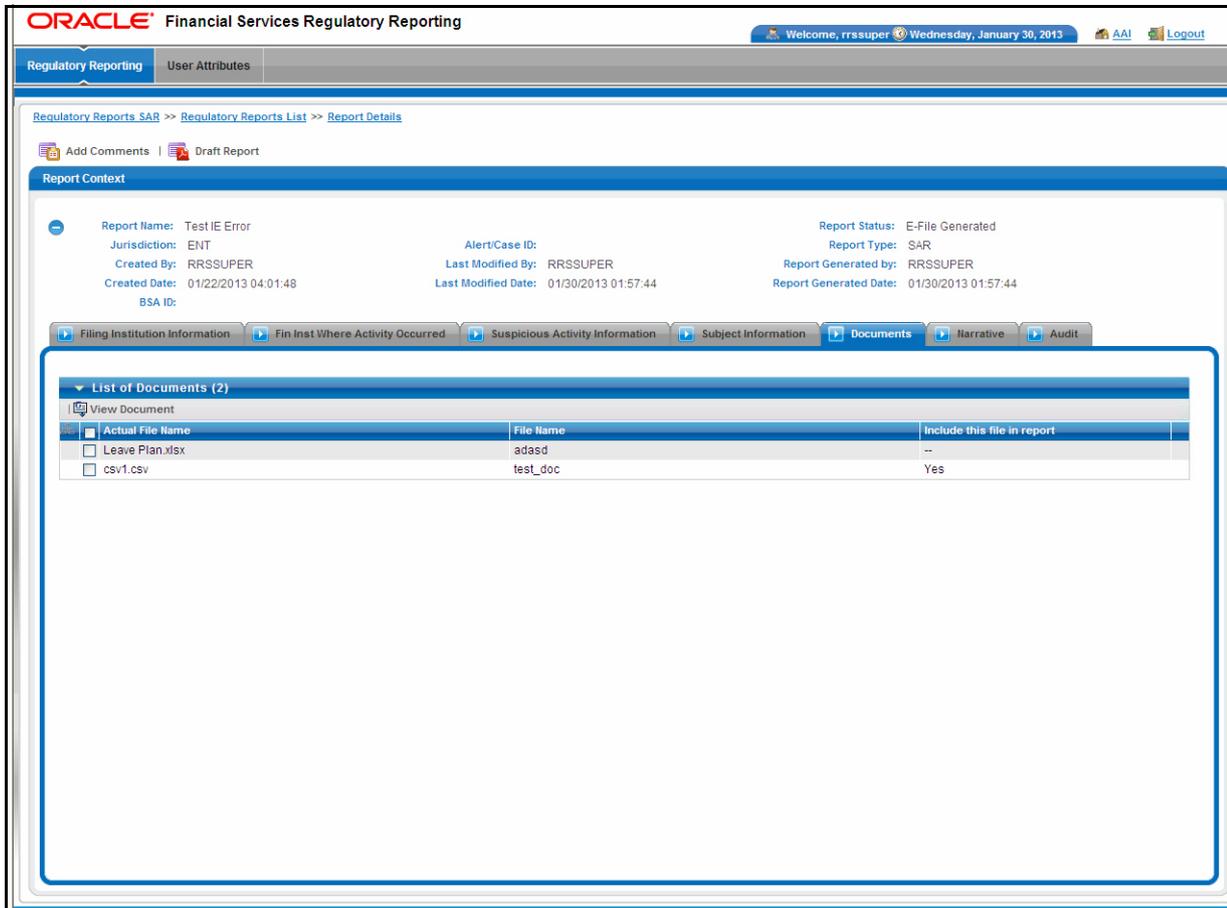
Figure 60. Documents Tab – View Mode

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 (*Figure 9*).

3. Click the **Narrative** tab. The Narrative pane displays.

4. Enter the information 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.
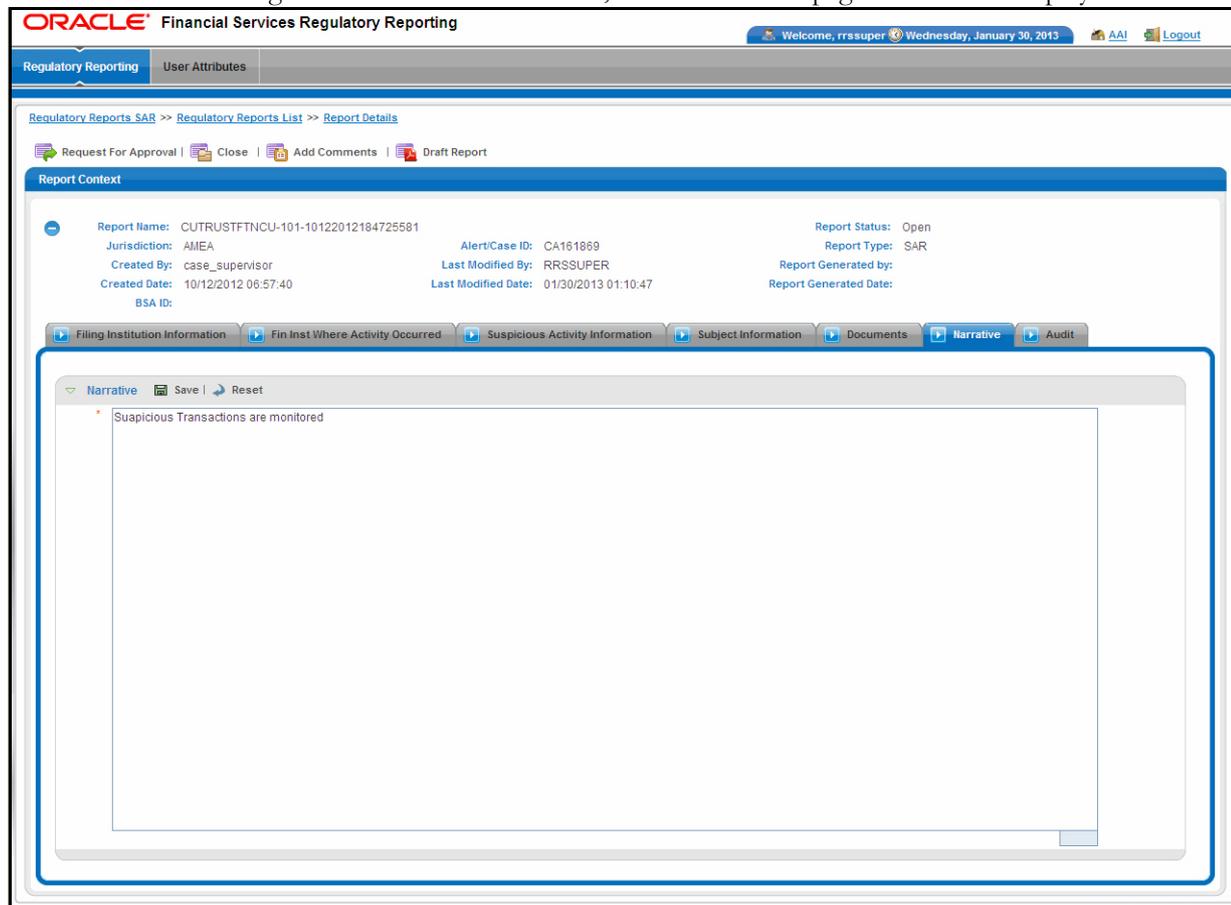
Figure 61. Narrative Tab - Edit Mode

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.
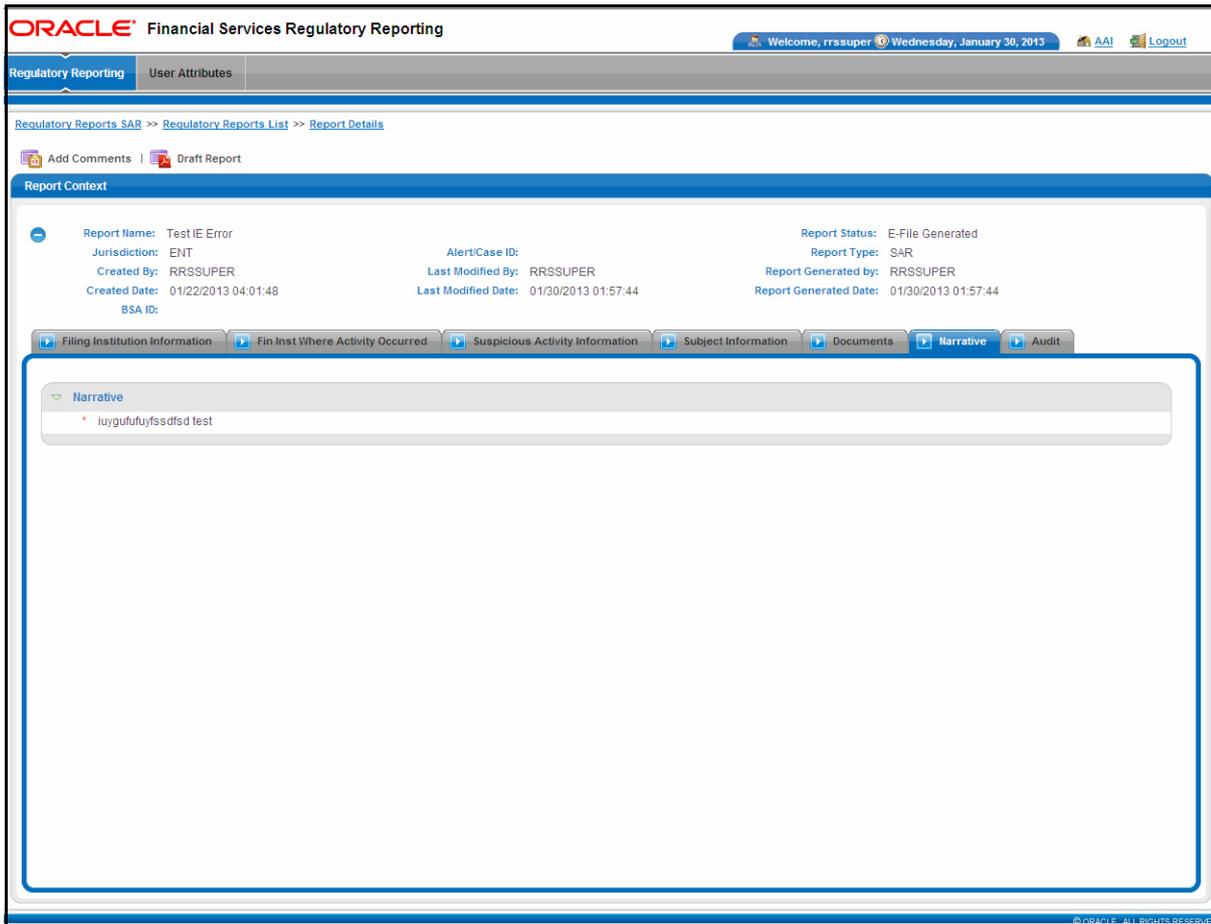
Figure 62. Narrative Tab – View Mode

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 63. 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 22. Fields in Regulatory Report Actions Grid

Field Name	Description
Date	Displays the date on which the action occurred.
Action	Displays a short description of the action. The OFSRR application captures the following actions in the Audit tab: ● Created manually ● Request for Approval ● Add comments ● Approve ● Modified approved report ● Re-Approve ● Reject ● Narrative Edited ● E-file Generated ● Reject and Remove from E-file ● Acknowledgement Uploaded ● Report Filed ● Close
By	Displays the name of the user who performed the action.
Comments	Displays the comments entered by the user while performing the action.

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 23. Fields in Regulatory Report Comments Grid

Field name	Description
Date	Displays the date on which the comment was recorded.
By	Displays the name of the user who has given that comment.
Comments	Displays the comments added to the report by the user.

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 "User Roles," on page 4*.

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 (*Figure 9*).

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.
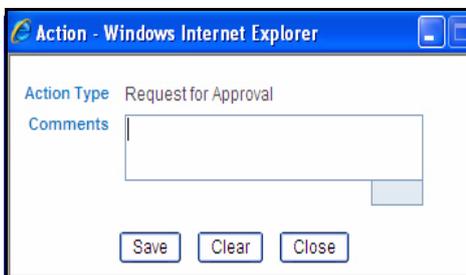
Figure 64. Request for Approval Action Pop-up Window

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 "User Roles," on page 4*.

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 (*Figure 9*).

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.
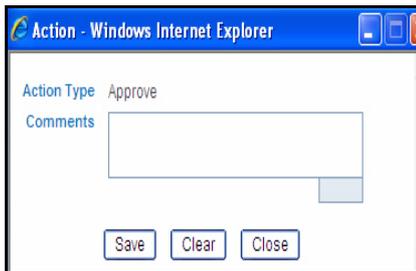
Figure 65. Approve Action Pop-up Window

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.

   Note: 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 (*Figure 9*).

3. Click **Re-approve**. The Re-approve action pop-up window displays.

Figure 66. Re-Approve Action Pop-up Window

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 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 (*Figure 9*).

3. Click **Reject**. The Reject Action pop-up window displays.
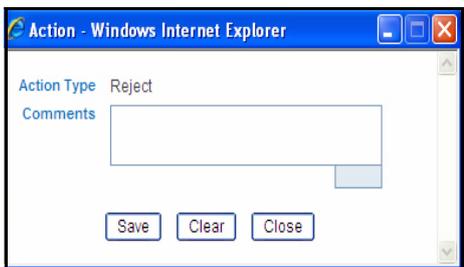
Figure 67. Reject Action Pop-up Window

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 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 must re-work on the report and again submit the report for approval. This process continues until the report is approved or closed.

For more information on editing report details, refer to section *Entering Report Details,* on page 31.

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 (*Figure 9*).

3. Click **Close**. The Close Action pop-up window displays.
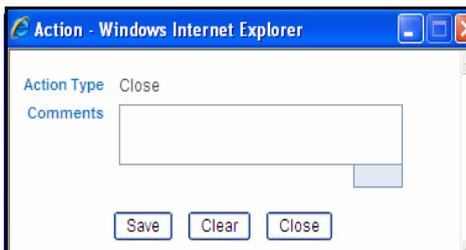
Figure 68. Close Action Pop-up Window

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 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 "User Roles," on page 4*.

For more information on filing regulatory reports, refer to Chapter *Filing Regulatory Reports,* on page 103.

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:
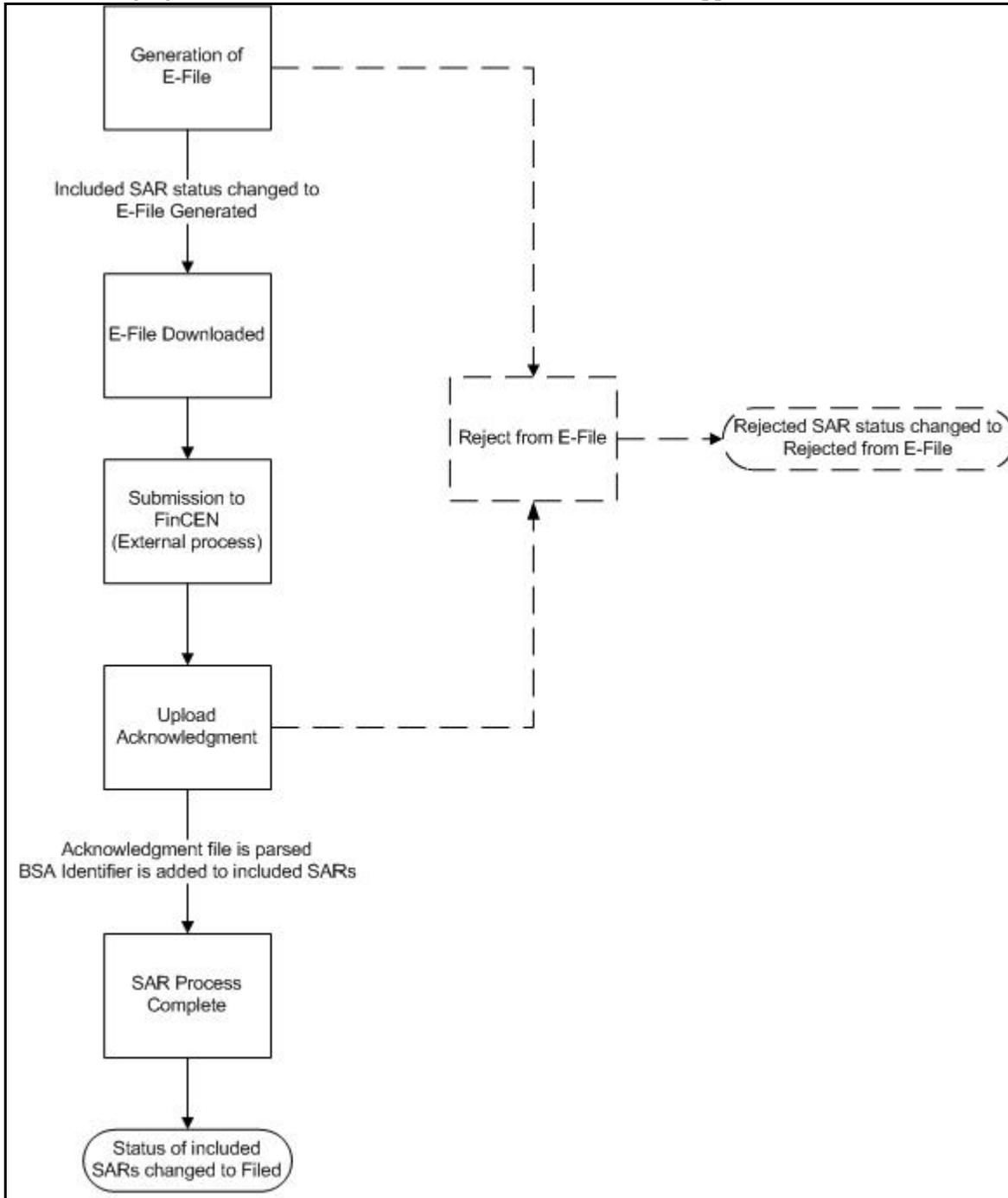
Figure 69. Filing Regulatory Reporting Workflow

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.

To search for approved reports, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The File Regulatory Report page displays.

3. Click **Approved Reports** tab. The Advanced Report List page displays all the reports in *Approved* status.
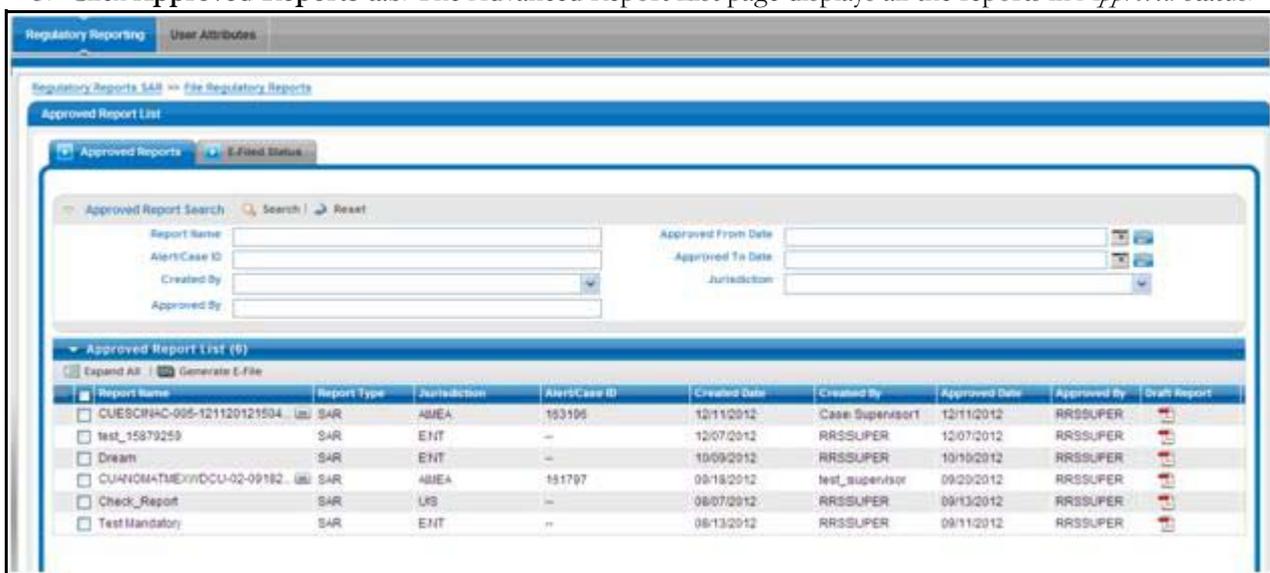
Figure 70. Approved Reports List

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 24. Approved Reports Search Bar Field Descriptions

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

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' 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.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The File Regulatory Report page displays.

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.
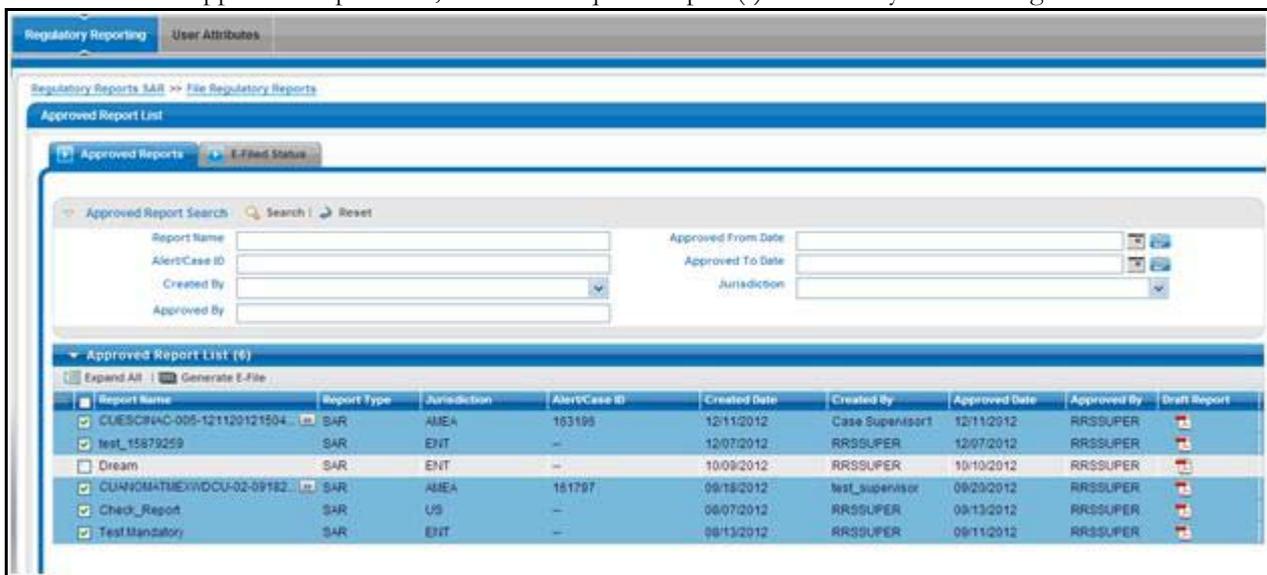
Figure 71. Generate E-File

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.*

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.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The File Regulatory Report page displays.

3. Click the **E-Filed Status** tab.

Figure 72. 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 25. E-File Search Bar Field Descriptions

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

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.
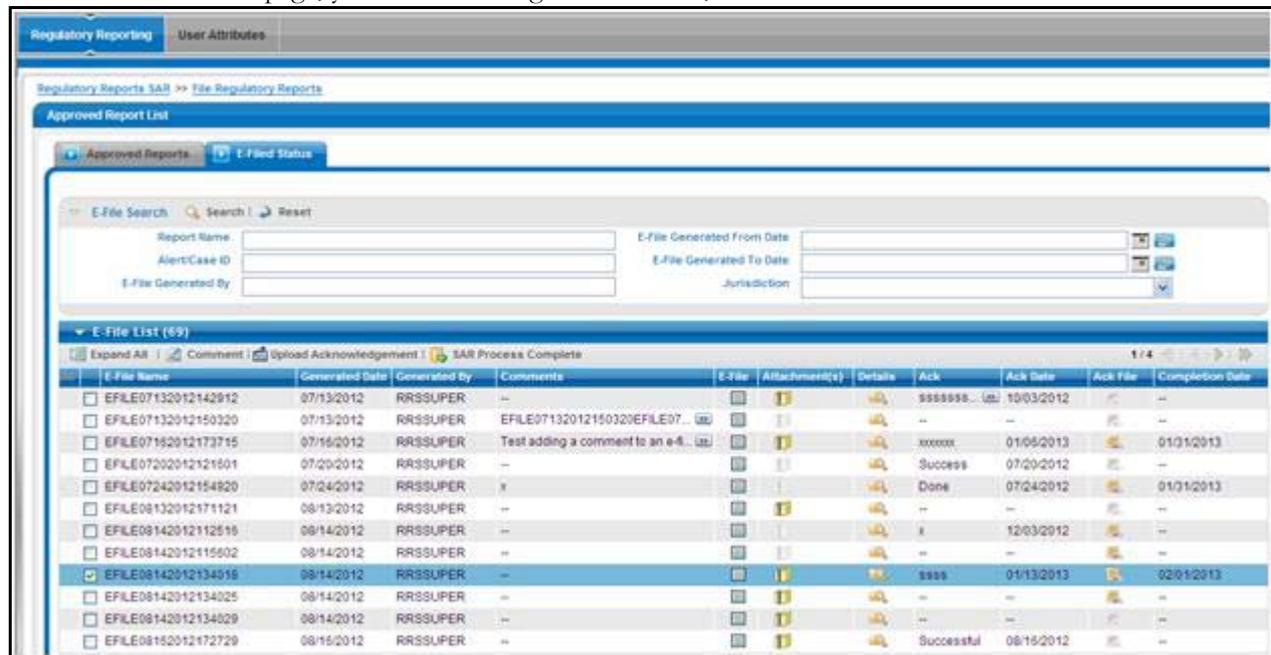
Figure 73. Viewing E-File, E-File Details, and E-File Attachments

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 will display the list of SARs included in the selected e-file. This SAR List is 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 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.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The File Regulatory Report page displays.

3. Click the **E-Filed Status** tab. By default, the E-File List displays a list of e-files in different statuses.

4. Select a record and click in the E-File column. A File Download window displays.

Figure 74. 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

*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.

[Browse...]

[Open Existing Form]

Open a New Form

Click "Open New Form" to open a new form.

[Open New Form]

[Cancel]

Figure 75. Open Existing Form Window

3. Click **Open New Form**. A BSA E-Filing SAR Batch Form opens.

BSA E-Filing SAR Batch Form   Version Number: 1.0

The attachments may contain SAR filings and the supporting documents for SAR filings .

The form can only be submitted with one batch file and one attachment file. If more than one file is attached for batch or attachment, an alert window will be displayed and the form cannot be submitted. Only one batch file and one attachments file may be attached to each form. If there is a need to submit multiple batch files, use a separate form for each file. A batch file may contain multiple filings. The attachment file must be a zip file, in which one supporting document at most per filing is allowed. Each supporting document must be a comma separated (.CSV) file and must not exceed 1MB. Please click here for more information.

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this form. Use the "Add File" and "Delete File" buttons on this form instead. This software automatically compresses files during the upload process.

Do not submit any test files into the BSA E-Filing system without first coordinating with the Help desk at 1-866-346-9478 [option 1] or e-mail at BSAEFilingHelp@fincen.gov. The Help Desk regular hours of operation are 8:00 AM - 6:00 PM East Coast Time, Monday - Friday. Please note that the Help Desk is closed on federal holidays.

Filing Name:

Batch File:

| Add File | Delete File | View/Save File |

Attachments File:

| Add File | Delete File |

Number of Forms in Batch:

| Save | Validate | Submit | Print | Close |

Affidavit

Under penalties of perjury, I declare that I have examined this transmittal, including accompanying documents, and to the best of my knowledge and belief it is correct and complete. In the case of documents without recipient's identifying numbers, I have complied with the requirements of the law in attempting to secure such numbers from the receipts. I declare that this filing represents all Documents filed during this reporting period except for those transactions reported on paper.

| Sign with PIN | Title: | Date: |

Figure 76. BSA E-Filing SAR Batch Form

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:

    ■   Accepted

    ■   Accepted 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.
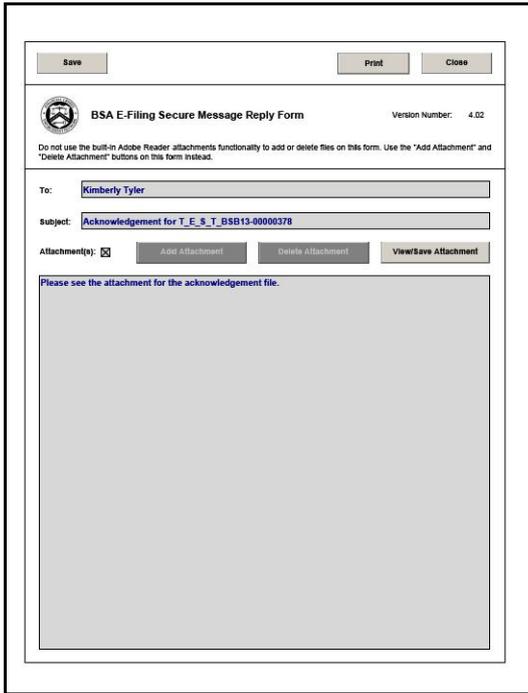
Figure 77. BSA E-Filing Secure Message Reply Form Window

4. Click **View/Save Attachment**. A window opens listing the acknowledgment (.asc) file.
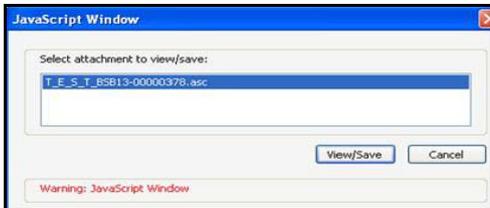
Figure 78. View/Save Attachment Window

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.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The File Regulatory Report page displays.

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.
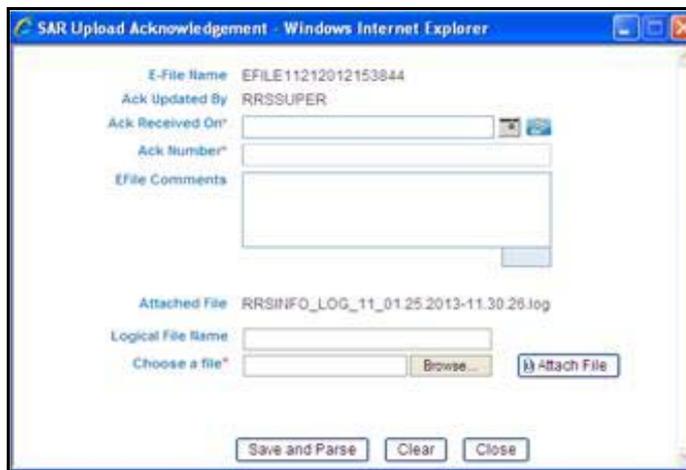
Figure 79. SAR Upload Acknowledgment Window

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 26. SAR Acknowledgment Window Field Descriptions

Field	Description
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. **Note**: This field is auto generated.
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 ⬛. A file download window prompts to **Open** or **Save** the *.asc* file.

- 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 in *Figure 69*. 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).

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.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The File Regulatory Report page displays.

3. Click **E-Filed Status** tab.

4. From E-File List results, select an e-file record that you want to reject.

5. Click [icon] 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 80. 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.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The File Regulatory Report page displays.

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.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The File Regulatory Report page displays.

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.

Figure 81. 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.

You can view the added comments in the **Comments** column of the e-file record.