

Oracle Financial Services
Regulatory Reporting
Bahamas Suspicious Transaction Report
User Guide

Release 2.4
October 2013



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About This Guide

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 Bahamas STR, Release 2.4* 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 1:** This user can create new reports, edit report details, add comments to the report, submit the report details for approval, and mark reports as submitted or acknowledged.
- **Analyst 2:** In addition to all the tasks performed by an Analyst 1, this user can also cancel the report and re-open cancelled or acknowledged reports.
- **Supervisor 1:** This user is responsible for taking action on the reports requested for approval by the Analyst, such as approve, reject, or cancel. This user can edit the report details when the report is in *Request for Approval* status.
- **Supervisor 2:** In addition to all the tasks performed by a Supervisor 1, this user can also create new reports, edit the report details, mark reports as submitted or acknowledged, and re-open cancelled or acknowledged reports.
- **System 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.

How this Guide is Organized

The *Oracle Financial Services Regulatory Reporting User Guide BS STR, Release 2.4*, 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 Regulatory Reporting application.
- Chapter 3, *Managing Regulatory Reporting*, explains the workflow of regulatory reports.

Where to Find More Information

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

- *Oracle Financial Services Regulatory Reporting Data Model Reference Guide: Release 2.4* This guide explains the structure of the entities in the RR data model and provides in-depth information on managing the data in the Regulatory Reporting application.
- *Oracle Financial Services Regulatory Reporting Webservice Guide: Release 2.4* - This guide explains how and in what format the source business data is provided to the Regulatory Reporting application through a web service for the report type.
- *Oracle Financial Services Regulatory Reporting Installation Guide: Release 2.4* - This guide provides step-by-step instructions for installing the Oracle Financial Services Regulatory Reporting application on an existing Oracle Financial Services Behavior Detection Framework hosted in Windows environment.
- *Oracle Financial Services Regulatory Reporting Administration Guide: Release 2.4* - This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Regulatory Reporting application. This guide details the Regulatory Reporting application 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
<i>Italics</i>	<ul style="list-style-type: none"> Names of books, chapters, and sections as references Emphasis
Bold	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

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 must 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 Regulatory Reporting application supports the generation of Suspicious Transaction Reports (STR) for various countries such as The United States of America Suspicious Activity Reports (US SAR), Nigeria (NG STR), Pakistan (PK STR), Malaysia (MY STR), Singapore (SG STR), New Zealand (NZSTR), and Bahamas (BS 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 STRs, 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 Regulatory Reporting application is integrated with Oracle Financial Services Financial Crime and Compliance (OFSFCCM) and allows users to Generate BS STR from within OFSFCCM. When a report is created in the Regulatory Reporting application through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the action to generate the draft STR. You can also manually create a new STR from OFSRR.

Users mapped to appropriate roles can update the report information and submit the report details for approval to the Supervisor. The Supervisor can approve, reject, or, cancel the report. Once the STRs are approved, they can be filed with the regulators.

For more information on the workflow of regulatory reports, refer to *Table 2 on page 4*.

This chapter explains the steps to login to the Oracle Financial Services Regulatory Reporting (OFSRR) application and provides a brief overview of the various users and their roles in the Regulatory Reporting application.

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to Regulatory Reporting
- Accessing Regulatory Reporting from OFSFCCM

User Roles

The following user roles are defined in the Regulatory Reporting application:

- **Analyst 1:** This user can create new STRs, edit report details, add comments to the report, submit the report details for approval, and mark reports as submitted or acknowledged.
- **Analyst 2:** In addition to all the tasks performed by an Analyst 1, this user can also cancel the STR and re-open cancelled or acknowledged STRs.
- **Supervisor 1:** This user is responsible for taking action on the reports requested for approval by the Analyst, such as approve, reject, or cancel. This user can edit the report details when the report is in *Request for Approval* status.
- **Supervisor 2:** In addition to all the tasks performed by a Supervisor 1, this user can also create new STRs, edit the report details, mark STRs as submitted or acknowledged, and re-open cancelled or acknowledged STRs.
- **System 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.

User Access

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

Table 2. User Access

Function	Analyst 1	Analyst 2	Supervisor 1	Supervisor 2	System Administrator
Edit STR in Open Status	X	X		X	
Edit STR in Other Statuses				X	
Request for approval	X	X			
Approve STR			X	X	
Reject STR			X	X	
Cancel STR		X	X	X	
Add Comments to the STR	X	X	X	X	
View/Save Final STR PDF	X	X	X	X	
Mark STR as Submitted	X	X		X	
Mark STR as Acknowledged	X	X		X	
Reopen Cancelled STR		X		X	
Reopen Acknowledged STR		X		X	
View / Edit Configuration					X
Create New STR	X	X		X	

Logging in to Regulatory Reporting

To access the Regulatory Reporting application, follow these steps:

1. Go to the **OFSAAI** Login page.
2. Select the **Language** for the application.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The Oracle Financial Services Analytical Applications Infrastructure page is displayed with a link to either **RRS** or **FCCM**.

Note:

- If you've installed the OFSRR without the OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **RRS** link under Home menu. Clicking the **RRS** link will navigate you to the RR search and List page.
- If you've installed the OFSRR with the OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **FCCM** link under Home menu. Clicking the **FCCM** link will navigate you to the FCCM home page depending upon your roles and access rights. For example, *Figure 3* displays the FCCM landing page for a Supervisor user.

Accessing Regulatory Reporting from OFSFCCM

To access OFSRR from OFSFCCM, follow these steps:

1. Go to the **OFSAAI** Login page.



Figure 1. OFSAAI Login Page

2. Select the **Language** for the application.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The OFSAAI home page is displayed.

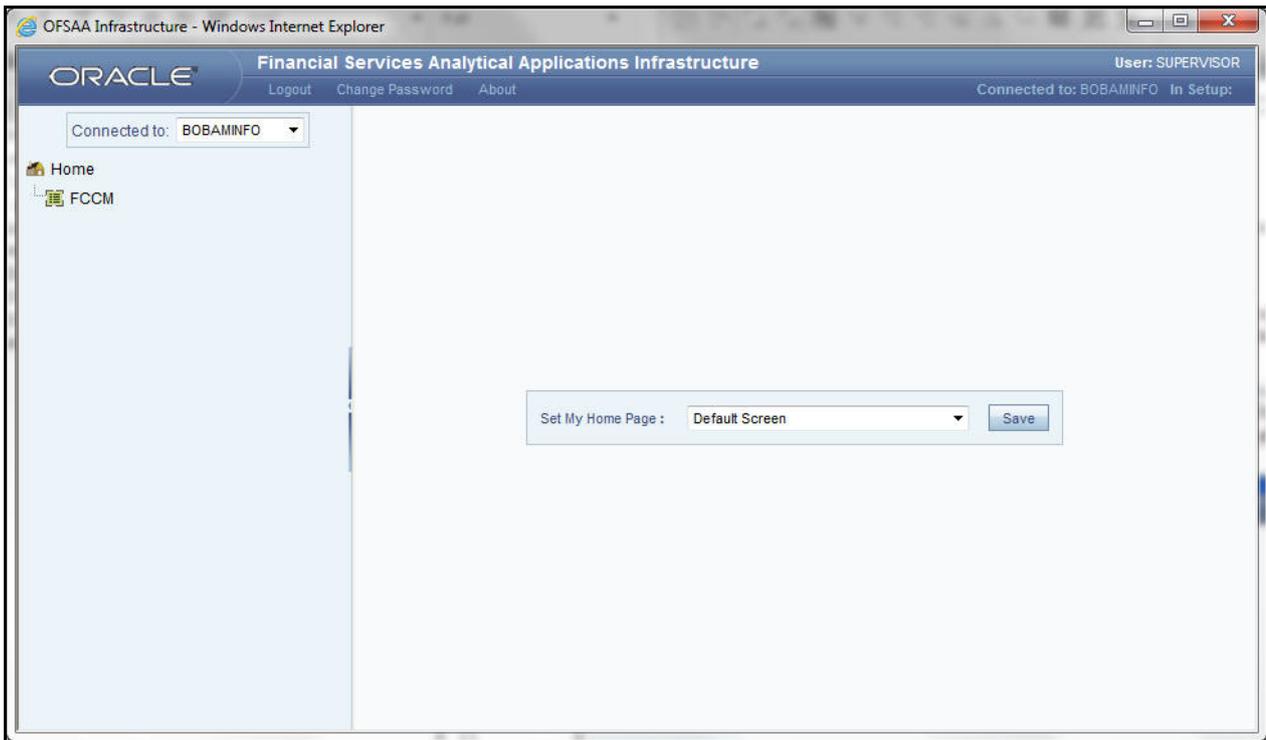


Figure 2. OFSAAI Home Page

6. Click **FCCM**. The OFSFCCM Home page is displayed depending upon the user roles and their access permissions.
7. Click **Bahamas STR** from **Regulatory Reporting** tab. The RR Search and List page opens.

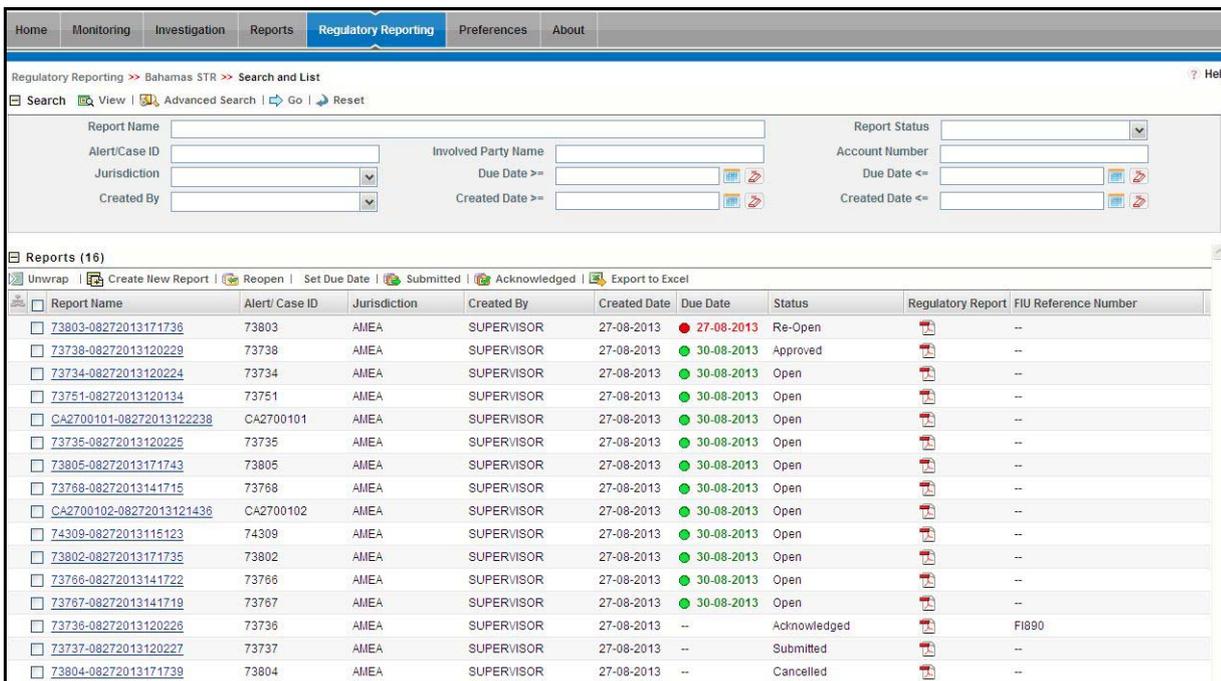


Figure 3. RR Search and List page in OFSFCCM

Note: OFSRR can be configured and accessed from within the OFSFCCM. For more information, refer to the *Oracle Financial Services Regulatory Reporting Installation Guide* and the *Administration Guide: Release 6.2*.

The menus displayed in the OFSFCCM page depend on the roles mapped to the user. In the above example, the user is mapped to OFSFCCM and OFSRR. The Regulatory Reporting link is enabled only for users who have access to the OFSRR. Based on user roles access permission, the Regulatory Reporting application displays the following links.

- Regulatory Reporting
- Administration

The Regulatory Reporting menu displays the Bahamas STR primary menu. The Administration menu displays the following sub menus:

- **User Attributes:** This menu allows you to map and maintain the security attributes for each user role.
- **RR Webservice User ID/Password Reset:** This menu allows you to reset the Webservice password. For more information on resetting the User ID and Password, refer to the *Oracle Financial Services Regulatory Reporting Administration Guide: Release 2.4*.

The following table provides an overview of the menus that are accessible to OFSRR users.

Table 3. Menus Accessible by OFSRR Users

Menus	Roles				
	Analyst 1	Analyst 2	Supervisor 1	Supervisor 2	System Administrator
Regulatory Reporting	X	X	X	X	
Administration					X

This chapter provides step-by-step instructions to manage Oracle Financial Services Regulatory Reporting (OFSRR) and includes following topics:

- Regulatory Reporting Workflow
- Creating a New STR
- Searching STRs
- Submitting an STR for Approval
- Setting Due Date of an STR
- Approving/Rejecting/Cancelling STRs
- Marking an STR as Submitted
- Marking an STR as Acknowledged
- Reopening an STR
- Adding Comments to an STR
- Viewing an STR PDF
- Exporting STR List to Excel

Regulatory Reporting Workflow

This section explains the workflow of regulatory reports for users mapped to the role of Analyst 1, Analyst 2, Supervisor 1, and Supervisor 2.

The following figure explains the workflow of regulatory reports for users mapped to the role of Analyst 1 and Analyst 2 users:

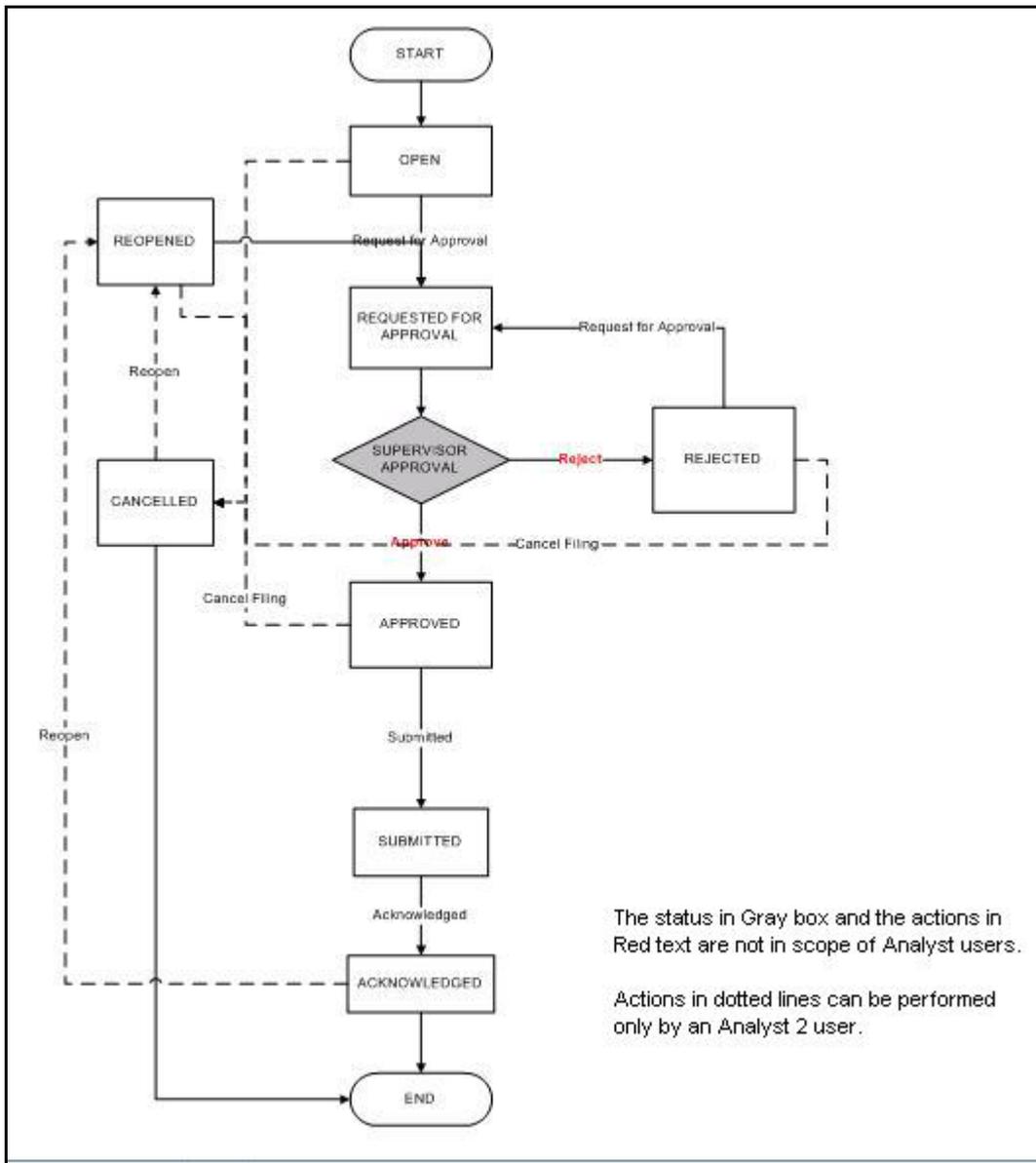


Figure 4. Regulatory Reporting Workflow for Analyst 1 and Analyst 2 Users

The following figure explains the workflow of regulatory reports for users mapped to the role of Supervisor 1:

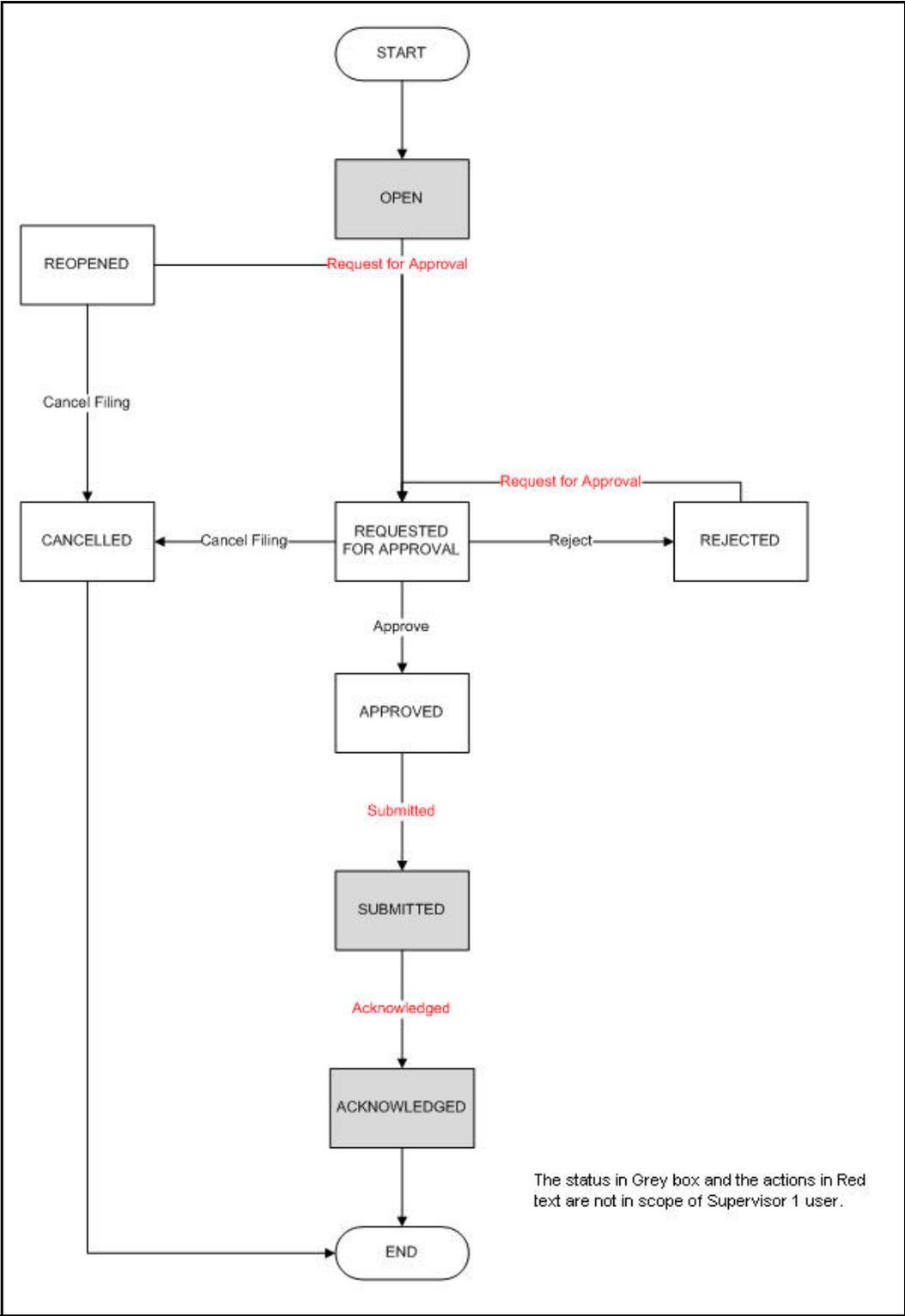


Figure 5. Regulatory Reporting Workflow for Supervisor 1

The following figure explains the workflow of regulatory reports for users mapped to the role of Supervisor 2.

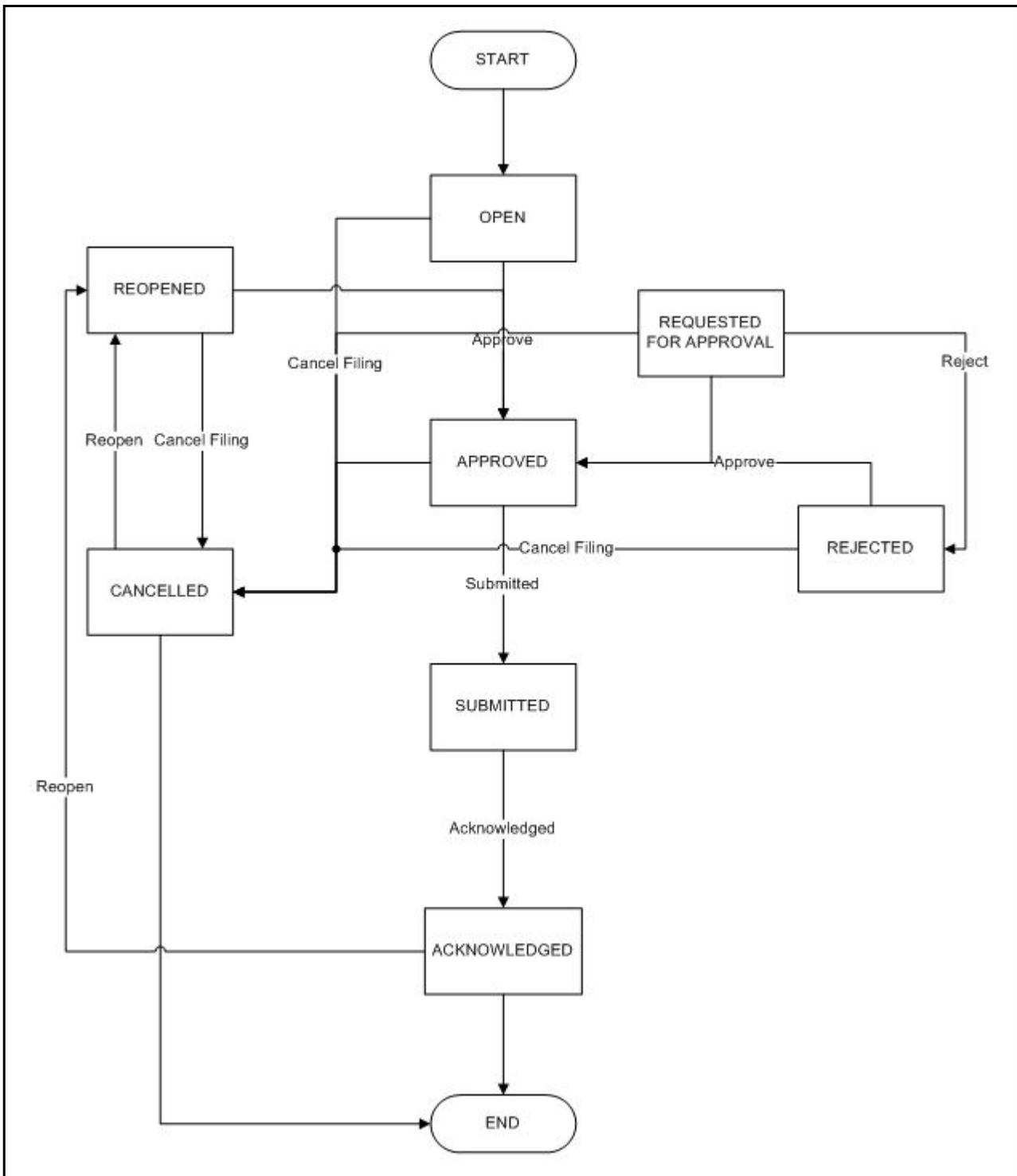


Figure 6. Regulatory Reporting Workflow for Supervisor 2

Life Cycle of a Suspicious Transaction Report

An STR is created in the Regulatory Reporting application as a result of taking an action to *Generate BS STR* from within OFSFCCM or manually creating a report from OFSRR. When an STR is created in the Regulatory Reporting application through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the action to generate the STR. Users mapped to the role of Analyst 1, Analyst 2, and Supervisor 2 can update the report in *Open* status and submit the report details for approval. Supervisor 2 can also edit and approve report details directly if needed in *Open* and *Request for Approval* status. During the edit and review process, the STR is available to view as a draft PDF.

To know the complete list of actions an Analyst 1, Analyst 2, Supervisor 1 and Supervisor 2 can perform on various report statuses, refer to Table 4. *Report Status - Action Mapping*, on page 14 for more information.

The Supervisor user can approve, reject, or cancel an STR once an Analyst has requested for approval.

If the STR is approved by the Supervisor, the Regulatory Reporting application generates the STR in final PDF format after all the necessary validations. The STR is then manually submitted with the regulatory authorities. Submission to the regulator occurs outside of OFSRR. The STR can then be marked as *Submitted* in the Regulatory Reporting application. The status of the STR changes to *Submitted*. For more information on marking STR as Submitted refer to section, *Marking an STR as Submitted*, on page 61.

After the STR is submitted, an acknowledgment is received from the regulatory authorities. The STR can then be marked as *Acknowledged* in the Regulatory Reporting application. For more information on marking STR as Acknowledged refer to section, *Marking an STR as Acknowledged*, on page 63. The status of the STR changes to *Acknowledged*. You need to mandatorily enter the Financial Intelligence Unit (FIU) Reference number while marking a submitted STR as acknowledged. The FIU Reference number is the acknowledgment number received from Financial Intelligence Unit once the STR is submitted to the FIU.

If the Supervisor rejects the STR after it is requested for approval, then the analyst must re-work on the STR and resubmit the report for approval. This process continues until the STR is approved or cancelled. For more information on rejecting STRs, refer to section, *Approving/Rejecting/Cancelling STRs*, on page 56.

If the Supervisor determines that a report should not be filed they can cancel it. When an STR is cancelled, the report details cannot be edited and the STR changes to *View Only* mode. For more information on cancelling STRs, refer to section, *Approving/Rejecting/Cancelling STRs*, on page 56.

An Analyst 2 user or a Supervisor 2 can reopen a *Cancelled/Acknowledged* STR. The Analyst user must then re-work on the re-opened STR and submit the report for approval. This process continues until the STR is approved or cancelled. For more information on re-opening STRs, refer to section, *Reopening an STR*, on page 66.

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

An STR has a life cycle which begins with the *Open* status and ends when it is in *Acknowledged* status.

The report is in View mode (read only) in the following statuses:

- Approved
- Submitted
- Cancelled
- Acknowledged

Note: You cannot edit report details when the report is in View mode. All action buttons are not available in View mode.

To view the report details, click the report name in the RR Search and List page.

If the report is already opened by another user, the following message is displayed: *This report is currently locked by another user. You will not be able to edit/take action on the report. Do you wish to open report details in read only mode?*

Table 4. Report Status - Action Mapping

Report Status	Possible Actions	Who can Perform	Report Status Changes To
Open	Request for Approval	Analyst 1, Analyst 2	Requested for Approval
	Approve	Supervisor 2	Approved
	Cancel Filing	Analyst 2, Supervisor 2	Cancelled
Reopened	Request for Approval	Analyst 1, Analyst 2	Requested for Approval
	Approve	Supervisor 2	Approved
	Cancel Filing	Analyst 2, Supervisor 2	Cancelled
Requested for Approval	Approve	Supervisor 1, Supervisor 2	Approved
	Reject	Supervisor 1, Supervisor 2	Rejected
	Cancel Filing	Supervisor 1, Supervisor 2	Cancelled
Approved	Submitted	Analyst 1, Analyst 2, Supervisor 2	Submitted
	Cancel Filing	Analyst 2, Supervisor 2	Cancelled
Rejected	Request for Approval	Analyst 1, Analyst 2	Requested for Approval
	Cancel Filing	Analyst 2, Supervisor 2	Cancelled
	Approve	Supervisor 2	Approved
Submitted	Acknowledged	Analyst 1, Analyst 2, Supervisor 2	Acknowledged
Cancelled	Reopen	Analyst 2, Supervisor 2	Reopened
Acknowledged	Reopen	Analyst 2, Supervisor 2	Reopened
Create New Report	-	Analyst 1, Analyst 2, Supervisor 2	Open

Creating a New STR

You can create a new STR either by manually creating a new report from OFSRR or through OFSFCCM by selecting the **Generate BS STR** action on an Alert or a Case.

This section covers the following topics:

- Creating a New STR from OFSFCCM
- Creating a New STR from OFSRR

Creating a New STR from OFSFCCM

When a user with appropriate access permission performs the **Generate BS STR** action on an alert or a case from OFSFCCM, the data is passed to the OFSRR through the web service and a new STR is created in the OFSRR.

To create an STR on an alert from OFSFCCM, follow these steps:

1. From OFSFCCM home page, select **Alerts** from the **Monitoring** menu.

Alert ID	SC	Focus	Scenario	Created	Status	Due	Owner	Linked Cases
73734	0	CU CUANNNTYSWTHCU-001	Anticipate Profile - Income; Rapid Mvmt Fu...	08/27/2013	Open	--	SUPERVISOR	0
73735	0	CU CUANNNTYSWTHCU-001	Anticipate Profile - Income - FR; Rapid Mvm...	08/27/2013	Open	--	SUPERVISOR	0
73736	0	CU CUANNNTYSWTHCU-003	Anticipate Profile - Income; HR Trans - HR ...	08/27/2013	Open	--	SUPERVISOR	0
73737	0	CU CUANNNTYSWTHCU-003	Anticipate Profile - Income - FR; HR Trans - ...	08/27/2013	Open	--	SUPERVISOR	0
73741	0	CU CUANNNTYSWTHCU-005	Anticipate Profile - Income - FR; HR Trans - ...	08/27/2013	Open	--	SUPERVISOR	0
73749	0	CU CUANOMATMSTCHCU-001	Anticipate Profile - Income - FR; HR Trans - ...	08/27/2013	Open	--	SUPERVISOR	0
73751	0	CU CUANTPRFINCMAC-001	Anticipate Profile - Income; Pot Structuring ...	08/27/2013	Open	--	SUPERVISOR	0
73766	0	CU CUBENOWNCHGSURRR-003	Change Bene/Owner Followed by Surrend...	08/27/2013	Open	--	SUPERVISOR	0
73767	0	CU CUBENOWNCHGSURRR-004	Change Bene/Owner Followed by Surrend...	08/27/2013	Open	--	SUPERVISOR	0
73768	0	CU CUBENOWNCHGSURRR-042	Change Bene/Owner Followed by Surrend...	08/27/2013	Open	--	SUPERVISOR	0
73786	0	CU CUCSHTRNSIGHH-001	Pot Structuring Cash and Equivalents	08/27/2013	Open	--	SUPERVISOR	0
73802	0	CU CUDPGTOTACTAC-048	Pot Structuring Cash and Equivalents	08/27/2013	Open	--	SUPERVISOR	0
73803	0	CU CUDPGTOTACTAC-049	Pot Structuring Cash and Equivalents	08/27/2013	Open	--	SUPERVISOR	0
73804	0	CU CUDPGTOTACTAC-050	Pot Structuring Cash and Equivalents	08/27/2013	Open	--	SUPERVISOR	0
73805	0	CU CUDPGTOTACTAC-051	Pot Structuring Cash and Equivalents	08/27/2013	Open	--	SUPERVISOR	0
73832	0	CU CUFTNTRSTCU-04	FTN AC/CU - Internal - FR; HR Trans - HR ...	08/27/2013	Open	--	SUPERVISOR	0
74228	0	AC ACACCTSWITHMULTADCHGSAC...	AC w/Mult AD Chgs - FR	08/27/2013	Open	--	SUPERVISOR	0
74235	0	AC ACACCTSWITHMULTADCHGSAC...	AC w/Mult AD Chgs - FR	08/27/2013	Open	--	SUPERVISOR	0
74237	0	AC ACACCTSWITHMULTADCHGSAC...	AC w/Mult AD Chgs - FR	08/27/2013	Open	--	SUPERVISOR	0
74309	0	AC ACANTPRFINCMAC-002	HR Trans - Focal HRE - FR; HR Trans - HR...	08/27/2013	Open	--	SUPERVISOR	0
74330	0	AC ACCEIATMACU-002	Escl in ATM Act. W/D to Daily Limit	08/27/2013	Open	--	SUPERVISOR	0
74342	0	AC ACCHKMISEQNUMACB-001	Checks MIs - Sequential Number - FR; HR ...	08/27/2013	Open	--	SUPERVISOR	0
74371	0	AC ACCIBPAAC001	CIB - HRG Activity - FR; CIB - Product Utiliza...	08/27/2013	Open	--	SUPERVISOR	0

Figure 7. Monitoring Tab

2. Click **Advanced Search**. Select **FR** (Fraud), **ML** (Money laundering), or **IML** (Institutional Money Laundering) in the **Scenario Class** drop-down. Options for selecting a scenario class will depend on your current installation and user access to scenarios.
3. Select **AC** (Account), and **CU** (Customer) in the **Focus** drop-down. Options for selecting a Focus type will depend on your current installation and user access to scenarios. Select any additional desired filters, including modifying the Created From and To dates as needed.

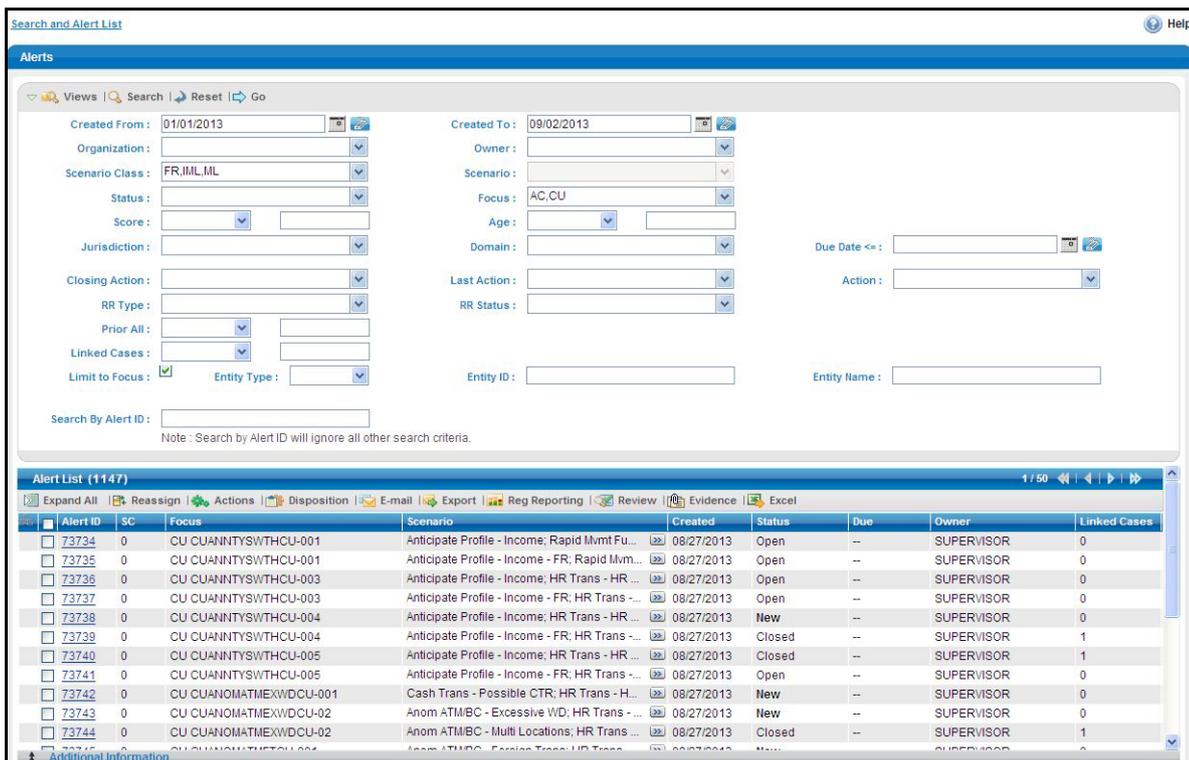


Figure 8. Alerts Advanced Search

4. Click **Go**.
5. Select the required alerts from the Alert Search and List page and click **Reg Reporting** in the Action bar.
6. Select **Generate BS STR** from the Choose Action drop-down list in the Monitoring Actions Window and enter the comments.

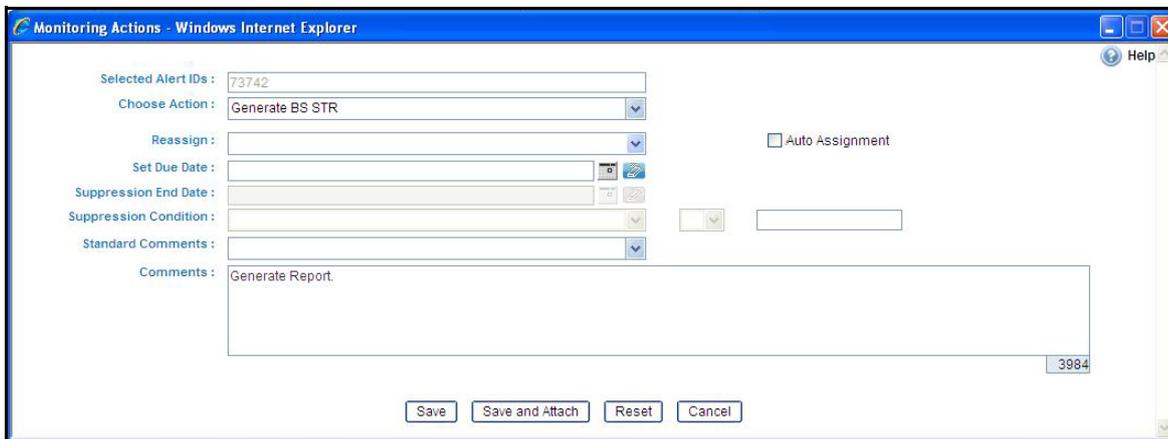


Figure 9. Monitoring Actions Window

7. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
8. Click **OK**. A success message is displayed along with the alert ID. Click **OK**.

- Navigate to the RR Search and List page. The latest alert on which **Generate BS STR** action was taken is displayed in the RR Search and List page.

Note: You can also perform **Generate BS STR** on multiple alerts from the Alert Search and List page.

To create an STR on a case from OFSFCCM, follow these steps:

- From OFSFCCM home page, select **Cases - AML/Fraud** under the **Investigation** menu.
- Select one or more cases in *New* statuses from the Search & Case List page using the check boxes, and click the **Resolution** action category.

The Resolution action pop-up displays.

- Select **Generate BS STR** from the Select an Action drop-down list in the Investigation Actions Window and enter the comments.
- Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
- Click **OK**. A success message is displayed along with the Case ID. Click **OK**.
- Navigate to the RR Search and List page. The latest case on which Generate BS STR action was taken is displayed in the RR Search and List page.

Note: You can also perform the **Generate BS STR** action from the Case Details page of a case.

Sending Acknowledgement to OFSFCCM from Regulatory Reporting

OFSRR sends a positive acknowledgment to OFSFCCM when all the mandatory information verification is completed successfully. The following information is sent as a part of the positive acknowledgment:

- Alert/Case ID (Alert/Case ID)
- Acknowledgment Code – 0 (Meaning successful)
- Report ID (System Generated)
- Report Status

If there are any errors, the Regulatory Reporting application sends a negative acknowledgment to OFSFCCM. The error may be due to the following reasons:

- User ID failure
- Unsuccessful mandatory information verification

- System/Application Error

The negative acknowledgment sent to OFSFCCM contains the following details:

- Alert/Case ID
- Acknowledgment Code
 - 1 stands for Invalid User ID
 - 2 stands for Mandatory Information Missing
 - 3 stands for Format Failure
 - 4 stands for System/Application Error
- Error Description

Note: If an alert or case fails to successfully complete the generate BS STR action, then the failure is recorded in the alert or case audit history.

Creating a New STR from OFSRR

When you identify a transaction of a suspicious behavior that is not reported in the OFSFCCM, and want to report the transaction to the regulator, you can manually create a new STR using the **Create New Report** option in OFSRR.

Note: Only users mapped to the role of Analyst 1, Analyst 2 and Supervisor 2 can create a new regulatory report.

To create a new STR from OFSRR, follow these steps:

1. From the Regulatory Reporting menu, hover over Bahamas STR and click **Create New Report**.

Figure 10. Create New Report

2. Enter the desired information in the fields.

Note: Always specify values for fields marked as required. Required fields are identified by a red asterisk.

The following table explains the fields in the Create New Report section:

Table 5. Creating New Report

Fields	Description
Report Type	This field is auto-populated with the report type as Bahamas STR. Note: This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. Note: This field cannot be edited.
Report Name	Enter a name for the report being created.
Alert / Case ID (Report No)	Enter the Alert/Case ID associated with the suspicious transaction. The number entered in this field is displayed in the final STR as the Report Number. Note: This field is a mandatory field.
Attribute 1	Classifies the attribute of a report being created. The attributes that is available in the drop-down list are based upon your firm's configuration. For example, Jurisdiction. Note: This is a mandatory field.
Attribute 2	Classifies the attribute of a report being created. The attributes that is available in the drop-down list are based upon your firm's configuration. For example, Business Domain.

Table 5. Creating New Report

Attribute 3	Classifies the attribute of a report being created. The attributes that is available in the drop-down list are based upon your firm's configuration. For example, Case Type.
Attribute 4	Classifies the attribute of a report being created. The attributes that is available in the drop-down list are based upon your firm's configuration. For example, Sub Type.
Attribute 5	Classifies the attribute of a report being created. The attributes that is available in the drop-down list are based upon your firm's configuration. For example, Organization.
Created Date	This field is auto-populated with the current system date. Note: This field cannot be edited.

3. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
4. Click **OK**. A new STR is created and the due date is set as per the number of days configured by your administrator in the static data table.

The status of the new STR is set to *Open*.

Note: The report details of the manually created STR are not sent to OFSFCCM.

Searching STRs

The Regulatory Reporting Search and List page enables you to filter the list of reports that you want to view and analyze. The Regulatory Reporting search bar supports three types of search namely, Views, Search, and Advanced Search.

The Reports List displays the list of reports that meet the criteria specified on the Regulatory Reporting Search bar. This section explains the following topics:

- Searching Reports Using Basic Search
- Searching Reports Using Advanced Search
- Searching Reports Using Pre-defined Views

Searching Reports Using Basic Search

This search is based on limited set of search components and helps to retrieve the required reports details. To search for reports using the search components, follow these steps:

1. Navigate to the Regulatory Reporting Search and List page.

The screenshot shows the 'Regulatory Reporting >> Bahamas STR >> Search and List' page. It features a search bar with fields for Report Name, Alert/Case ID, Jurisdiction, Created By, Involved Party Name, Due Date >=, Created Date >=, Report Status, Account Number, Due Date <=, and Created Date <=. Below the search bar is a table with 17 reports. The table columns are Report Name, Alert/ Case ID, Jurisdiction, Created By, Created Date, Status, Regulatory Report, Approved By, Due Date, and FIU Refer.

Report Name	Alert/ Case ID	Jurisdiction	Created By	Created Date	Status	Regulatory Report	Approved By	Due Date	FIU Refer
43255-07192013121515	43255	AMEA	--	19-07-2013	Open		--	19-07-2013	--
Report_Manual	CAREP001	AMEA	rrsupervisor2	18-07-2013	Re-Open		rrsupervisor2	20-07-2013	FIU3456
CA1200103-07192013114054	CA1200103	AMEA	--	19-07-2013	Open		--	22-07-2013	--
43947-07192013112951	43947	AMEA	--	19-07-2013	Open		--	22-07-2013	--
43414-07192013170714	43414	AMEA	--	19-07-2013	Open		--	22-07-2013	--

Figure 11. Searching Reports with Search Components

Note: By default, the Regulatory Reporting Search and List page displays all the records.

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer *Table 6 on page 23*.
3. Click **Go**. The relevant search list is displayed.

Note: If there is no match for the entered search criteria, the application displays *No Data Found* message.

Searching Reports Using Advanced Search

The Advanced Search offers the same search fields as provided for a simple search along with additional set of fields. If you know any of the report details such as Report Name, Report Status, Alert/Case ID and so on, then you can filter the list of reports using the advanced search components.

To search for reports using advanced search components, follow these steps:

1. Navigate to the Regulatory Reporting Search and List page.
2. Click **Advanced Search** from the search bar.

The screenshot shows the 'Regulatory Reporting >> Bahamas STR >> Search and List' page. The 'Advanced Search' section includes fields for Report Name, Alert/Case ID, Jurisdiction, Created By, Last Modified By, Approved By, Submitted By, FIU Reference Number, Involved Party Name, Due Date >=, Created Date >=, Last Modified Date >=, Approved Date >=, and Submitted Date >=.

The 'Reports (27)' table below has columns: Report Name, Alert/ Case ID, Jurisdiction, Created By, Created Date, Due Date, Status, Regulatory Report, and FIU Reference Number. A context menu is open over the 'Status' column header, showing options: Sort Ascending, Sort Descending, Clear Sort, and Field Chooser.

Report Name	Alert/ Case ID	Jurisdiction	Created By	Created Date	Due Date	Status	Regulatory Report	FIU Reference Number
73737-08272013120227	73737	AMEA	SUPERVISOR	27-08-2013	28-08-2013	Re-Open		--
73735-08272013120225	73735	AMEA	SUPERVISOR	27-08-2013	28-08-2013	Re-Open		--
73767-08272013141719	73767	AMEA	SUPERVISOR	27-08-2013	30-08-2013	Open		--
CA2700102-08272013121436	CA2700102	AMEA	SUPERVISOR	27-08-2013	30-08-2013	Open		--
74309-08272013115123	74309	AMEA	SUPERVISOR	27-08-2013	30-08-2013	Open		--
73751-08272013120134	73751	AMEA	SUPERVISOR	27-08-2013	30-08-2013	Open		--
73734-08272013120224	73734	AMEA	SUPERVISOR	27-08-2013	30-08-2013	Open		--
73768-08272013141715	73768	AMEA	SUPERVISOR	27-08-2013	30-08-2013	Open		--
73802-08272013171735	73802	AMEA	SUPERVISOR	27-08-2013	30-08-2013	Open		--
73766-08272013141722	73766	AMEA	SUPERVISOR	27-08-2013	30-08-2013	Open		--
73803-08272013171736	73803	AMEA	SUPERVISOR	27-08-2013	31-08-2013	Requested for Ap...		--
73786-08282013155319	73786	AMEA	SUPERVISOR	28-08-2013	31-08-2013	Open		--
74342-08292013115127	74342	AMEA	SUPERVISOR	29-08-2013	01-09-2013	Open		--
74330-08292013122554	74330	AMEA	SUPERVISOR	29-08-2013	01-09-2013	Open		--
74371-08292013122920	74371	AMEA	SUPERVISOR	29-08-2013	01-09-2013	Open		--
73736-08272013120226	73736	AMEA	SUPERVISOR	27-08-2013	02-09-2013	Re-Open		--
74568-08302013173925	74568	AMEA	SUPERVISOR	30-08-2013	02-09-2013	Open		--
CA2900104-08302013181355	CA2900104	AMEA	SUPERVISOR	30-08-2013	02-09-2013	Open		--

Figure 12. Advanced Search

Note: The application supports right-click options on some columns within the List header that allow for users to specify sorting as well as hide or display columns as shown in Figure 12:

- **Ascending** - This option allows you to sort the selected column in ascending order.
- **Descending** - This option allows you to sort the selected column in descending order.
- **Clear sort** - This option allows you to clear the selected sort option.
- **Field Chooser** - This option allows you to hide or display columns within the current list as well as modify the width of the columns. Clicking **OK** on Field Chooser will save the selected settings for the current session whereas clicking **Save** will save the selected settings for future logins.

3. Enter the search components to filter the reports.

The following table provides the description of the search components that display in the Search bar.

Table 6. Components of RR Search Bar

Criteria	Description
Report Name	Enter the report name to display report with name as specified in the search criteria. This field supports a wildcard search. You can use the% and _ as wildcard indicators.
Report Status	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for Report status drop-down list: <ul style="list-style-type: none"> ● Select All ● Open ● Request for Approval ● Approved ● Rejected ● Submitted ● Acknowledged ● Cancelled ● Reopened Note: This field allows searching of reports with multiple options selected.
Alert/Case ID	Enter the Alert/Case ID to display reports with the selected Alert/Case ID. If you want to perform a search on multiple Alert/Case IDs, you can enter a string of comma-separated values in this field. This search is case-sensitive. Note: Alert/Case ID is the identifier that has triggered the creation of report in Regulatory Reporting application.
Involved Party Name	Enter the involved party name in this field to display all the reports where the entered name is the involved party. Note: Involved Party Name is the name of the person or a company involved in a suspicious transaction. This field supports a wildcard search. You can use the% and _ as wildcard indicators.
Account Number	Enter the account number to display reports with the selected account number. If you want to perform a search on multiple Account Numbers, you can enter a string of comma-separated values in this field.
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case. Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.

Table 6. Components of RR Search Bar

Due Date>=	<p>Select the due date from the calendar to display reports having a due date greater than or equal to the specified date.</p> <p>When the Generate BS STR action is taken from OFSFCCM, each report is assigned a filling time of 3 days by default. A due date is set based on the filling time. You can use this field to search for reports based on their due dates.</p> <p>While taking reopen action, the application will set a default due-date of 3 business days.</p> <p>Note: You can configure the default due date. Refer to <i>Oracle Financial Services Regulatory Reporting Administration Guide</i> for more information.</p>
Due Date<=	<p>Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: <i>Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.</i>
Created By	<p>Select the user who has created the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>
Created Date >=	<p>Select the created date from the calendar to display reports having a created date greater than or equal to the specified date.</p> <p>Note: You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.</p>
Created Date <=	<p>Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: <i>Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.</i> 2. If you enter a value in created date <= greater than the system date, the application displays the following message: <i>Please enter a 'Created Date <=' which is earlier than or equal to sysdate.</i>
Last Modified By	<p>Select the user who has last modified the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>
Last Modified Date >=	<p>Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date.</p> <p>Note: You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.</p>

Table 6. Components of RR Search Bar

Last Modified Date <=	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date. Validations: <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.</i> 2. If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.</i>
Approved By	Select the name of the approver to search for reports approved by the selected user. Note: This field allows searching of reports with multiple options selected.
Approved Date >=	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.
Approved Date <=	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. Validations: <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: <i>Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.</i> 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.</i>
Submitted By	Select the name of the user from the drop-down list options to search for reports submitted by the selected user. Note: This field allows searching of reports with multiple options selected.
Submitted Date >=	Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date.
Submitted Date <=	Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date. Validations: <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: <i>Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >=.</i> 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.</i>
FIU Reference Number	Enter the FIU reference number to display reports with the entered FIU reference number. Note: The FIU reference number is the acknowledgment number received from Financial Intelligence Unit. This information is updated in OFSRR while marking the report as acknowledged.

3. Click **Go**. The relevant search list is displayed.

4. **Note:** If there is no match for the entered search criteria, the application displays the following message: *No Data Found.*

Searching Reports Using Pre-defined Views

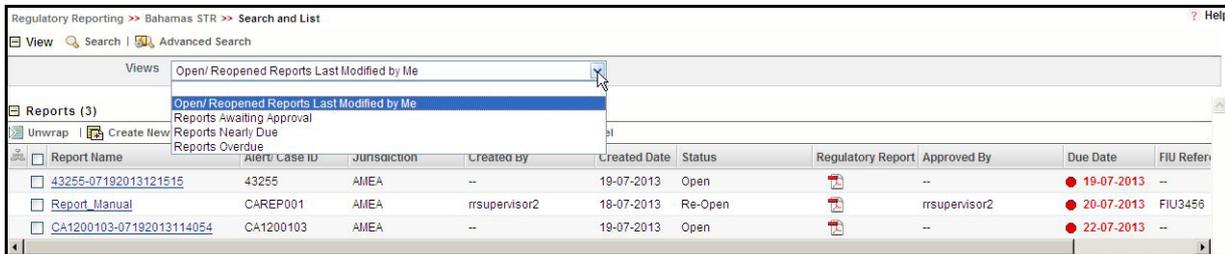
Views search helps you to quickly filter the reports based on the pre-defined search queries.

To search for reports using pre-defined views, follow these steps:

1. Navigate to the Regulatory Reporting Search and List page.

Note: By default, the Regulatory Reporting Search and List page displays all the records.

2. Click **Views** from the search bar.



3. Select any of the pre-defined views from the Views drop-down list. The list page refreshes to show results matching the View criteria.

The following table explains the different types of pre-defined views available.

Table 7. Pre-defined Views

Views	Description
Open/ Reopened - Reports Last Modified by Me	Select Open/ Reopened - Reports Last Modified by Me from the drop-down list to display the list of reports in Open or Reopened status for which the logged in user is the last modifier. Note: For an Analyst 1 and Analyst 2, this option is selected by default.
Reports Awaiting Approval	Select Reports Awaiting Approval from the drop-down list to display the list of reports in <i>Request for Approval</i> status. Based on user role mapping, you can take edit, approve, reject or cancel actions. Note: For a Supervisor 1 and Supervisor 2, this option is selected by default.
Reports Nearly Due	Select Reports Nearly Due from the drop-down list to display the list of reports that are approaching their due dates. Note: The Nearly Due date is defined as 1 day from the due date. Reports which are nearly due are highlighted <i>Yellow</i> color.
Reports Overdue	Select Reports Overdue from the drop-down list to display the list of reports that have exceeded their due dates. When an STR is past its due date or when the due date is same as the system date, the STRs in the reports list are highlighted in <i>Red</i> color.

Submitting an STR for Approval

This process involves the following steps:

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

Entering Report Details

The Report Details page allows users mapped to the role of Analyst 1, Analyst 2, Supervisor 1, and Supervisor 2 to enter or update report information depending upon the report status.

The following table describe the various statuses in which a respective user role can edit a report:

Table 8. Editing Report Details - Status Role Mapping

Report Status	Analyst 1	Analyst 2	Supervisor 1	Supervisor 2
Editing a Report in Open/Reopened/Rejected Status	X	X		X
Editing a Report in Request for Approval Status			X	X

Click the report name in the RR Search and List page to navigate to the Report Details page.

The Report Details page displays the following:

- Report Context
- Disclosing Institution Tab
- Involved Parties Tab
- Accounts Tab
- Transactions Tab
- Reasons for Suspicion
- Statistical Information
- Audit Tab

Report Context

The Report Context section in the Regulatory Reporting (RR) Details page displays information about the report and is non-editable. It contains minimize and maximize buttons that allow you to expand and collapse the details in the Report Context. By default, the report context container is minimized.

Report Context			
Report Name	43413-07192013170711	Report Status	Open
Alert/Case ID (Report No)	43413	Jurisdiction	AMEA
Created By	--	Last Modified By	rtsupervisor1
Created Date	19-07-2013 17:07:11	Last Modified Date	22-07-2013 15:56:30
		Due Date	23-07-2013
		Approved By	--
		Approved Date	--

Figure 13. Report Context

You must enter the report details in the tabs present in the Report Details page. The tabs in the Report Details page are explained in detail in the following sections.

Managing Disclosing Institution Tab

This tab refers to the **Disclosing Institution** section (shown below) in the Final STR PDF.

[A] Disclosing Institution	
Disclosure Type:	Report No.:
Proceeds of Crime <input type="checkbox"/>	Type of Transaction:
Drug Trafficking <input type="checkbox"/>
Terrorism Finance <input type="checkbox"/>
Other <input type="checkbox"/>
Name of Disclosing Institution:	
Full Address:	
.....	
Sort Code:	
Name of Person Handling Transaction:	
Name of Money Laundering Reporting Officer/Contact Person:	
Direct Telephone No: Fax:	
E-mail Address:	

Figure 14. Disclosing Institution Information in Final STR PDF

The Disclosing Institution tab is the default tab selected when you navigate to the Report Details page. This tab consists of data classified into the following four sections:

- Disclosure Type
- Reporting Entity Information
- Reporting Person
- Other Details

Note: Mandatory fields are indicated by the use of an * in the label name. You need to enter values in the mandatory fields before a report can be submitted for *Request for Approval* or before a report can be approved by a Supervisor user.

Figure 15. Disclosing Institution Tab

Disclosure Type

The **Disclosure Type** section enables you to select the type of disclosure about the regulatory report. Following are the multiple options that are displayed for you to select the type of disclosure:

- Proceeds of Crime
- Drug Trafficking
- Terrorism Finance
- Other

Note:

- If you click **Save** without selecting a disclosure type, the following error message is displayed: *One or more mandatory fields are missing in Disclosing Institution Tab. Please make sure you have provided values for Disclosure Type, Institution Name and Reporting Person.*
- If you select **Other**, you have to specify the name of the disclosure type in the text field. If you click **Save** without entering any information in the **Other** text box after you have selected the type of disclosure as **Other**, the following error message is displayed: *Disclosure Type has been marked as Other. Please specify.*

Reporting Entity Information

The Reporting Entity Information section provides details about the reporting institution filing the STR. The following table explains the fields in Reporting Entity Information section

Table 9. Reporting Entity Information

Fields	Description
Institution Name	Displays the name of the financial institution filing the STR. Note: All the other fields in the reporting entity information section are auto-populated based on the value selected for institution name.
Sort Code	Displays the sort code of the selected institution name.
Address	Displays the address of the selected institution name.

The possible values for the Institution Name drop-down are fetched from the static data tables. The Sort Code and Address fields will display the related values for the selected Institution Name and cannot be edited.

The Institution Name field displays the default value fetched from the static data tables and also displays the related **Sort Code** and **Address** information. If there is only one institution name in the static data tables, then that value is displayed in the Reporting Entity Information section by default. If there are more than one institutions marked as default, then OFSRR will fetch the first institution marked as default and populate it.

Note: You cannot edit the Sort Code and Address fields.

Reporting Person

This section provides details about the person whom the regulators can contact regarding the Suspicious Transaction Report. The possible values for the Reporting Officer/Contact Person drop-down list are defined by your institution and fetched from the static data tables. All other fields in the Reporting Person section are auto-populated and non editable based upon the selected value.

The following table explains the fields in Reporting Person section.

Table 10. Reporting Person

Field Name	Description
Reporting Officer/Contact Person	Select the name of the person reporting the transaction from drop-down list. Once you save a Reporting Officer/Contact Person, this name is populated in the Submitted By field in Reason for Suspicion tab. Also, the Position Held field in Reason for Suspicion tab is updated based on the information available in static data table. Note: All the other fields in the reporting person section are auto-populated based on the value selected for reporting person.
Telephone Number	Displays the telephone number of the reporting person.
Email Address	Displays the email address of the reporting person.
Fax Number	Displays the fax number of the reporting person.

Note: Fields in this section cannot be edited.

Other Details

This section displays other details about the report such as Type of Transaction, Name of Person Handling Transaction, and FIU Reference Number. The following table explains the fields in Other Details section:

Table 11. Reporting Person

Field Name	Description
Type of Transaction	Enter the type of transaction in the text field.
Name of Person Handling Transaction	Enter the name of the person handling the transaction.
FIU Reference Number	This field displays the FIU Reference number of the filed STR. Note: This field will reflect the FIU Reference Number only when the report is in <i>Acknowledged</i> status. This field cannot be edited.

Entering Disclosing Institution Information

To enter details about the disclosing institution, follow these steps:

1. Navigate to the RR Search and List page.
2. Click the Report Name. The Report Details page is displayed.
By default, the **Disclosing Institution** tab details are displayed.
3. Enter the required information.
4. Click **Save**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The Disclosing Institution details are displayed.

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

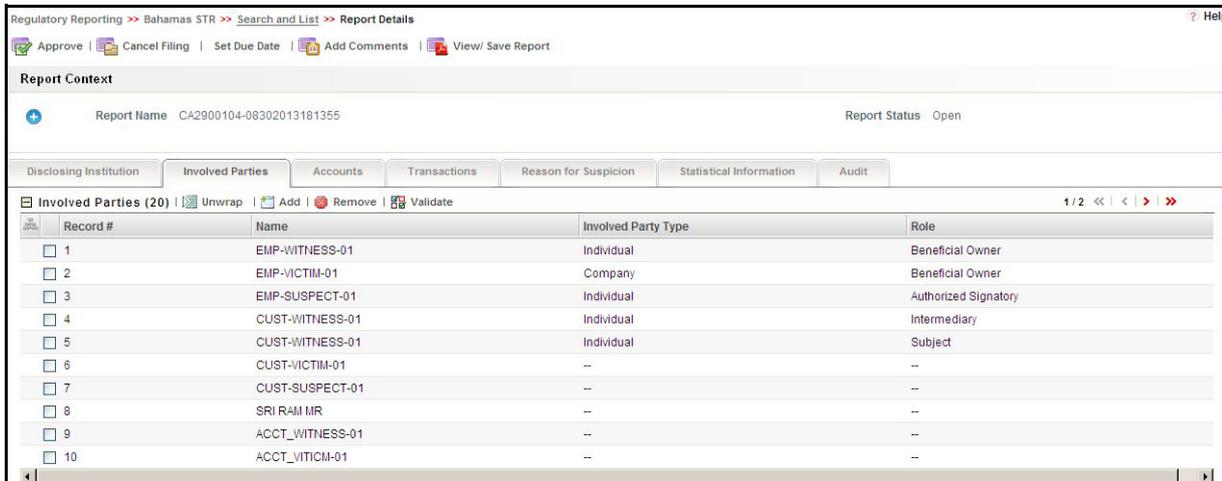
You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are not available in the Disclosing Institution tab when the report is in View mode.

Figure 16. Reporting Entity Tab- View Mode

If you click **Approve/Request for Approval**, the application verifies whether all mandatory information is present for the report. If any of the mandatory details are missing, the application displays error messages regarding the sections for which information is incomplete.

If you are missing information on the Disclosing Institution Tab the application displays the following error message: *One or more mandatory fields are missing in Disclosing Institution Tab. Please make sure you have provided values for Disclosure Type, Institution Name and Reporting Person.*

The Involved Parties tab displays all the involved parties and their details as fetched from an alert or a case. In this tab, you can add new involved parties, update party details, and also remove involved parties. Users mapped to the role of Analysts and Supervisors must identify the role of the involved parties such as Subject, Beneficiary, and so on.



Record #	Name	Involved Party Type	Role
<input type="checkbox"/> 1	EMP-WITNESS-01	Individual	Beneficial Owner
<input type="checkbox"/> 2	EMP-VICTIM-01	Company	Beneficial Owner
<input type="checkbox"/> 3	EMP-SUSPECT-01	Individual	Authorized Signatory
<input type="checkbox"/> 4	CUST-WITNESS-01	Individual	Intermediary
<input type="checkbox"/> 5	CUST-WITNESS-01	Individual	Subject
<input type="checkbox"/> 6	CUST-VICTIM-01	--	--
<input type="checkbox"/> 7	CUST-SUSPECT-01	--	--
<input type="checkbox"/> 8	SRI RAM MR	--	--
<input type="checkbox"/> 9	ACCT_WITNESS-01	--	--
<input type="checkbox"/> 10	ACCT_VITICM-01	--	--

Figure 18. Involved Parties Tab

Viewing Involved Party Details

To view an Involved Party for the report, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Involved Party** tab.

The list of involved party records are displayed in the Involved Parties section.

3. Select the check box at the beginning of an involved party record row or click anywhere in the row to view the involved party record details.

Note: You can also edit an involved party while viewing and save the changes.

Adding New Involved Parties

To add an Involved Party, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Involved Party** tab.

The list of involved party records are displayed in the Involved Parties section.

3. Click **Add** from the Involved Parties section. The **Add New Involved Party** section is displayed.

Figure 19. Add New Involved Party

4. Enter the required information.

The following table explains the fields in the Add New Involved Party section

Table 12. Add New Involved Party Field Descriptions

Field Name	Description
Involved Party Type	Select the involved party type either as Individual or Company from the drop-down list options. Note: Based on the Involved Party Type selected, the application displays the respective roles.
Role	Select a role for the Involved Party from the drop-down list options. The list options in the Role drop-down are listed based on the Involved Party Type selected. If you select Involved Party Type as Individual, the following drop-down list options are displayed: <ul style="list-style-type: none"> ● Subject ● Beneficial Owner ● Authorized Signatory ● Intermediary If you select Involved Party Type as Company, the following drop-down list options are displayed: <ul style="list-style-type: none"> ● Subject ● Beneficial Owner
Full Name	Enter the full name of the involved party in this field. Note: This field is mandatory.
Occupation/ Type of Business	Enter the Occupation or Type of Business for the Involved Party.
Address	Enter the address of the Involved Party.
Telephone Number (Work)	Enter the work telephone number of the Involved Party.

Table 12. Add New Involved Party Field Descriptions

Telephone Number (Home)	Enter the home telephone number of the Involved Party. Note: This field is enabled only if you have selected the Involved Party as Individual.
Email	Enter the email address of the Involved Party.
Fax	Enter the Fax number of the Involved Party.
Date of Birth	Enter the date of birth of the Involved Party. Note: This field is enabled only for Non Intermediary Individuals.
Place of Birth	Enter the place of birth of the Involved Party. Note: This field is enabled only for Non Intermediary Individuals.
Identification Documents	Enter the document name that you are planning to send with the STR. Note: This field is enabled only if you have selected the Involved Party Type as Company and Role as Subject.

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

6. Click **OK**. The new involved party record is added in the Involved Parties section.

Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Involved Parties tab. You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are not available in the Involved Parties tab when the report is in View mode.

Removing Involved Parties

To remove an Involved Party record, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Involved Party** tab.

The list of involved party records are displayed in the Involved Parties section.

3. Select the check box at the beginning of an involved party record row or click anywhere in the row.
4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed:
6. Click **OK**. The involved party record is removed from the Involved Parties section.

Note: When you perform add, update, or delete action, an entry is added in the Audit tab.

Validating Involved Parties

The **Validate** button in the Involved Parties tab provides details about any missing information in the Involved Party page.

When clicked, the application will provide information about missing mandatory information that is required for filing. You can validate until there are no longer messages informing you of missing information.

If the validation is successful, the application displays the following message: *Details are Complete* else displays the following message: *1,2 - Involved Party record(s) are missing required information. Please make sure you have provided values for Involved Party Type, Role, Full Name. For Individuals who are not Intermediaries, Date of Birth and Place of Birth are also required.*

Note: When you click Validate when there are no records available in the Involved Party tab, the following message is displayed: *No data available to validate.*

Managing Account

This tab refers to the **Account Information/Activity** section (shown below) in the Final STR PDF.

[G] Account Information/Activity

Type of Account: (e.g., individual/joint, trust, loan, etc.):

Account number:

Date Opened:

Date Closed:

Assets Held:

Jurisdiction Where Assets Are Held:

Other Accounts Held by any of the Parties Involved:

Figure 20. Account Information in Final STR PDF

The Account tab in the Report Details page displays all involved account records and their details as received from OFSFCM or added directly to the STR that are specific to the current report. The application allows you to add, update, or delete only one account record at a time.

To view or edit the account record details, either select the check box at the beginning of an account record row or click anywhere in the row. The selected record gets highlighted and the details of that particular account record display below the Accounts section.

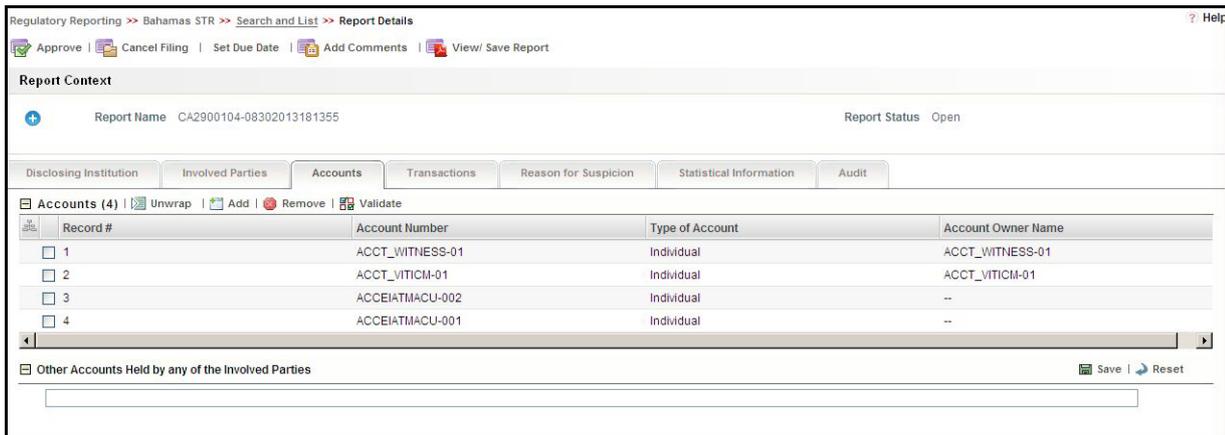


Figure 21. Account Tab

Viewing Account Details

To view an Account record for the report, follow these steps:

1. Navigate to the Report Details page.
2. Click the Accounts tab.

The list of account records associated with the report are displayed in the Accounts section.

3. Select the check box of the account record to view or edit the account record details.

Figure 22. Viewing/Editing Account Record

Adding New Account

Based on the status of an STR, users mapped to the role of Analyst 1, Analyst 2, Supervisor 1, and Supervisor 2 can add new account record to the STR.

To add an Account record, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Accounts** tab.
 - The list of account records associated with the report are displayed in the Accounts section.
3. Click **Add**. The Add New Account section is displayed.

Figure 23. Add New Account

4. Enter the required information.

The following table explains the fields in the Add New Account section.

Table 13. Add New Account

Field Name	Description
Account Number	Enter the account number in this field. Note: This field is mandatory.
Account Owner Name	Enter the name of the primary account holder in this field.

Table 13. Add New Account

Type of Account	<p>Enter the type of account such as Individual, Joint, Trust and so on. This drop-down field displays the following information:</p> <ul style="list-style-type: none"> ● Individual ● Joint ● Trust ● Custodian ● Corporate ● Firm Owned ● Others - If you select Other, you need to specify the type of account in the text field. <p>Note: This field is mandatory.</p>
Account Open Date	<p>Select the date on which the account was opened from the calendar.</p> <p>If you enter the Account Open Date greater than the system date, then the following message is displayed: <i>Please enter a Account Open Date which is earlier than or equal to sysdate.</i></p> <p>Note: This field is mandatory.</p>
Account Closed Date	<p>Select the date on which the account was closed from the calendar, if the account has been closed.</p> <p>Note:</p> <ul style="list-style-type: none"> ● If you enter the Account Closed Date greater than the system date, then the following message is displayed: <i>Please enter a Account Closed Date which is earlier than or equal to sysdate.</i> ● If you enter the Account Closed Date less than the Account Open date, then the following message is displayed: <i>Please enter a Account Close Date which is equal to or greater than Account Open Date.</i>
Jurisdiction where Assets are Held	<p>Enter the jurisdiction where assets are held.</p> <p>Note: This field is mandatory.</p>
Assets Held	<p>Enter the number of assets held in this field.</p> <p>Note: This field is mandatory.</p>

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

6. Click **OK**. The new account record is added in the Accounts section.

Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Involved Parties tab.

You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are not available in the Accounts tab when the report is in View mode.

Removing Account Records

To remove an account record, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Accounts** tab.

The list of account records associated with the report are displayed in the Accounts section.

3. Select the check box at the beginning of an account record row or click anywhere in the row that you want to delete.
4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Delete Operation successful.*
6. Click **OK**. The account record is removed from the Accounts section.

Other Accounts Held by Any of the Involved Parties

Enter the other accounts held by any of the involved parties information for the selected STR in this text field. You can enter up to 255 characters.



The image shows a screenshot of a web application interface. It features a text input field with a light gray border. Above the input field, there is a label that reads "Other Accounts Held by any of the Involved Parties" with a small square icon to its left. The input field itself is currently empty.

Figure 24. Other Accounts Held by Any of the Involved Parties

Note: This section is independent of the account record selected in the in the Accounts section and can be viewed and edited at any time.

Validating Account Records

The **Validate** button in the Accounts tab provides details about any missing information in the Accounts page and displays the following message: *1,2 - Account record(s) are missing required information. Please make sure you have provided values for Account Number, Type of Account, Account Open Date, Jurisdiction where assets are held and Assets held. If Type of Account is marked as Other, please specify it.*

When clicked, it will provide information about missing mandatory information that is required for filing. You can validate until there are no longer messages informing you of missing information.

Note: When you click Validate when there are no records available in the Accounts tab, the following message is displayed: *No data available to validate.*

Managing Transactions

The Transaction tab in the Report Details page displays all involved transactions and their details as received from OFSFCM or added directly to the STR that are specific to the current report. From this tab you can add, update, and delete transactions to an STR.

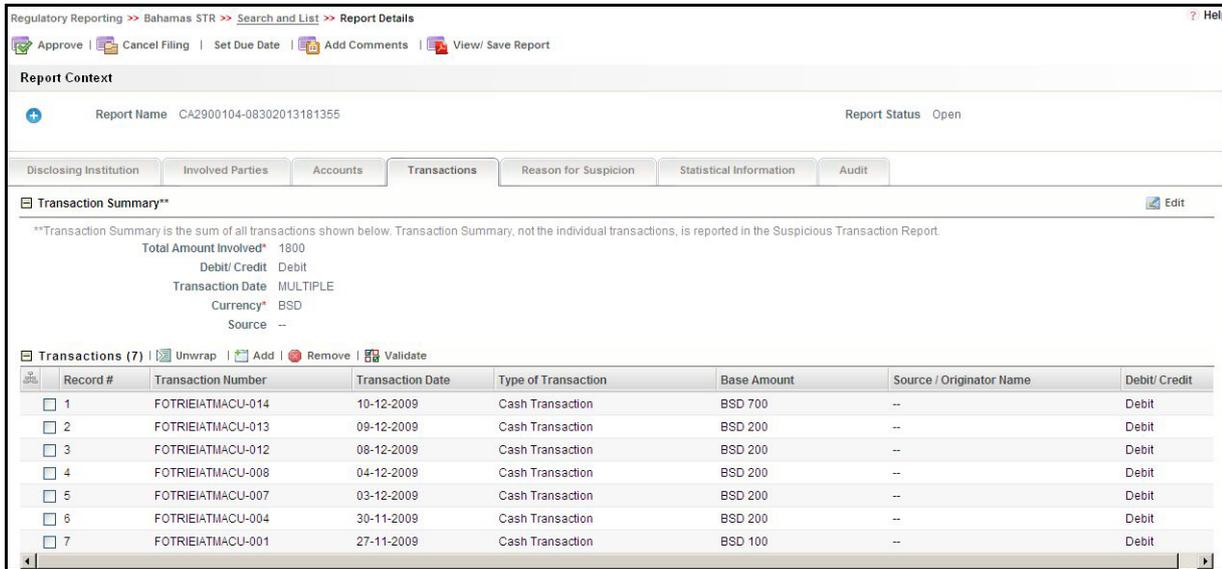


Figure 25. Transactions Tab

The Transactions tab displays the following sections:

- **Transaction Summary** - Displays the summary of all the transaction records included in the Transaction Section. for a Suspicious Transaction Report. The Final STR PDF report includes only the transaction Summary information and does not include the individual transaction details. The Transactions Summary information updated in the Regulatory Reporting application is displayed in the Final STR PDF as depicted in the following figure:

REASONS FOR SUSPICION					
Details of Sums Arousing Suspicion Indicating Debit or Credit Source and Currency Used	Amount	Debit or Credit	Date	Source	Currency

Figure 26. Transaction Summary Information in Final STR PDF

The Transaction Summary section displays the following fields:

- Total Amount Involved
- Debit/Credit
- Transaction Date
- Currency
- Source

- **Transactions** - Captures specific information related to the transaction such as transaction identifiers, date of transaction, type of transaction, base amount of the transaction, originator name of the transaction, debit or a credit transaction and so on. The Transactions section displays the following columns:
 - Record
 - Transaction number
 - Transaction date
 - Type of Transaction
 - Base Amount
 - Source/Organator Name
 - Debit/Credit

Note: The value in the Record column is a system generated number that helps to distinguish a unique transaction while viewing the validation messages. You cannot add, or edit this field.

By default, the application displays the list of all transactions records associated with the STR. To view or edit the transaction details, either select the check box at the beginning of a transaction row or click anywhere in the row. The selected record gets highlighted and the details of that particular transaction display below the transaction section.

Adding a Transaction

To add transactions to the report, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Transactions** tab.

The list of transaction records in the report are displayed in the Transactions section.

3. Click **Add**. The Add New Transaction section is displayed.

Figure 27. Add New Transaction

4. Enter the required information.

The following table explains the fields in the Add New Transaction section.

Table 14. Add New Transaction

Field Name	Description
Transaction Number	Enter the transaction number.

Table 14. Add New Transaction

Transaction Date	Select a date from the calendar icon specifying the occurrence of the transaction.
Debit/Credit	Select whether the transaction of Debit or a Credit nature from the drop-down options.
Type of Transaction	Enter the type of transaction involved in this field. The Transaction Type should reflect the type and nature of the transaction. For example, was it a credit card purchase, deposit or inquiry? Or perhaps a loan repayment or the sale of a negotiable instrument
Base Amount	Enter the amount (in Bahamas Dollars) involved in the transaction. This is a mandatory field.
Originator ID	Enter the originator identifier for the transaction.
Originatory Name	Enter the originator name for the transaction.
Originatory Activity Amount	Enter the originatory activity amount of the transaction.
Beneficiary ID	Enter the beneficiary identifier of the transaction.
Beneficiary Name	Enter the beneficiary name of the transaction.
Beneficiary Activity Amount	Enter the amount sent by the sender of the transaction.

Viewing or Editing Transaction Details

To view or edit the details of transactions, click anywhere on a transaction row. The details of the transaction will appear below the section along with all associated Originator and Beneficiary information. You can edit information about the transaction in the Transaction Details section.

To view or edit a transaction record for the report, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Transactions** tab.

The list of transaction records associated with the report are displayed in the Transaction section.

3. Select the check box at the beginning of an transaction record row or click anywhere in the row.

The transaction details are displayed in the Transaction Details section. You can view and edit the details as required.

Record #	Transaction Number	Transaction Date	Type of Transaction	Base Amount	Source / Originator Name	Debit/ Credit
1	FOTRIEIAMACU-014	10-12-2009	Cash Transaction	BSD 700	--	Debit
2	FOTRIEIAMACU-013	09-12-2009	Cash Transaction	BSD 200	--	Debit
3	FOTRIEIAMACU-012	08-12-2009	Cash Transaction	BSD 200	--	Debit
4	FOTRIEIAMACU-008	04-12-2009	Cash Transaction	BSD 200	--	Debit
5	FOTRIEIAMACU-007	03-12-2009	Cash Transaction	BSD 200	--	Debit
6	FOTRIEIAMACU-004	30-11-2009	Cash Transaction	BSD 200	--	Debit
7	FOTRIEIAMACU-001	27-11-2009	Cash Transaction	BSD 100	--	Debit

Transaction Details

Transaction Number: FOTRIEIAMACU-014
 Transaction Date: 10-12-2009
 Debit/ Credit: Debit
 Type of Transaction: Cash Transaction
 Base Amount: BSD 700

Originator Information

Originator ID: ACCEIAMACU-002
 Originator Name:
 Originator Activity Amount: 700

Beneficiary Information

Beneficiary ID:
 Beneficiary Name:
 Beneficiary Activity Amount:

Figure 28. Viewing/Editing Transaction Record

Editing Transactions Summary

To edit the transaction summary, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions section.
2. Click **Edit**. The Transaction Summary details become editable.

Transaction Summary**

**Transaction Summary is the sum of all transactions shown below. Transaction Summary, not the individual transactions, is reported in the Suspicious Transaction Report.

Total Amount Involved*: 60000
 Debit/ Credit:
 Transaction Date: 10-12-2009
 Currency*: BSD
 Source:
 Select if multiple credit/ debit transactions involved.
 Select if multiple transaction dates involved.
 Select if multiple currencies involved.
 Select if multiple sources involved.

Record #	Transaction Number	Transaction Date	Type of Transaction	Base Amount	Source / Originator Name	Debit/ Credit
1	BOANNNTYSWTHCU-002	10-12-2009	Back Office Transaction	BSD 30000	John Williams	Credit
2	BOANNNTYSWTHCU-001	10-12-2009	Back Office Transaction	BSD 30000	John Doe	Debit

Figure 29. Editing Transaction Summary

3. Edit the required field. The following table explains the fields in the Transaction Summary section:

Table 15. Editing Transaction Summary

Field Name	Description
Transaction Amount Involved	By default, this field displays the sum of the base amounts of all the transaction records. You can edit this field and save the changes to be reflected in the Transaction Summary. Note: Whenever you add/modify/delete transaction record to an STR, this field is reset to its default value.

Table 15. Editing Transaction Summary

Debit/Credit	<p>If there are multiple debit or credit transactions involved in the STR, then this field displays as <i>Various</i> by default. In case, all the transactions records in the transaction section are of either Debit or Credit transactions, then this field is displayed as Debit or Credit respectively.</p> <p>The term <i>Various</i> can be configured. Refer to <i>Chapter 4 Configuring Parameters</i> in <i>Oracle Financial Services Regulatory Reporting Administration Guide BS STR</i> for information on configuring the default term <i>Various</i>.</p> <p>You can edit this field by deselecting the check box and selecting either Debit or Credit from the drop-down list options.</p> <p>Note: Whenever you add/modify/delete transaction record to an STR, this field is reset to its default value.</p>
Transaction Date	<p>If the there are one or more transaction records with different transaction dates, then this field is displayed as <i>Various</i> by default. In case, all the transactions records in the transaction section have the same transaction date, then that date is displayed in this field.</p> <p>The term <i>Various</i> can be configured. Refer to <i>Chapter 4 Configuring Parameters</i> in <i>Oracle Financial Services Regulatory Reporting Administration Guide BS STR</i> for information on configuring the default term <i>Various</i>.</p> <p>You edit this field by deselecting the check box and setting a desired transaction date.</p> <p>Note: Whenever you add/modify/delete transaction record to an STR, this field is reset to its default value.</p>
Currency	<p>By default, this field will display as BSD (Bahamas Dollars).</p> <p>You can edit this field by deselecting the check box and selecting the desired currency from the drop-down list options.</p> <p>Note: Whenever you add/modify/delete transaction record to an STR, this field is reset to its default value.</p>
Source	<p>If the there are one or more transaction records with different source, then this field is displayed as <i>Various</i> by default. In case, all the transactions records in the transaction section have the same source, then that source name is displayed in this field.</p> <p>The term <i>Various</i> can be configured. Refer to <i>Chapter 4 Configuring Parameters</i> in <i>Oracle Financial Services Regulatory Reporting Administration Guide BS STR</i> for information on configuring the default term <i>Various</i>.</p> <p>You edit this field by deselecting the check box and entering a desired source.</p> <p>Note: Whenever you add/modify/delete transaction record to an STR, this field is reset to its default value.</p>

Note: Total Amount Involved and Currency fields are mandatory fields.

4. Click **Save**. The Transaction Summary section displays the updated summary information.

Removing Transactions

To remove a transaction, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions section.
2. Select the check box of the transaction record you want to remove.
3. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record.*
4. Click **OK**. The following message is displayed: *Delete operation successful.*
5. Click **OK**. The application refreshes and displays the Transactions section.

Validating Transaction Records

The Validate button in the Transactions section checks for any missing or incomplete transaction information. The Validate button on the Transaction section will validate all of the information related to the transaction details as well as the child records of the transaction such as Originator and Beneficiary Information. If any part of the transaction or its children are missing any information, you will be directed to select that transaction (identified by the record number in the section) and required to perform additional validations for each section to find the error. You can validate until there are no longer messages informing you of missing information.

When you click Validate when there are no records available in the Transactions tab, the following message is displayed: *No data available to validate.*

The Reason for Suspicion tab allows you to enter the reasons behind filing the STR with the regulatory reporting institution. Entering information in this tab is mandatory, as the application will not allow you to perform the *Request for Approval/Approve* action if no information is entered in this tab.

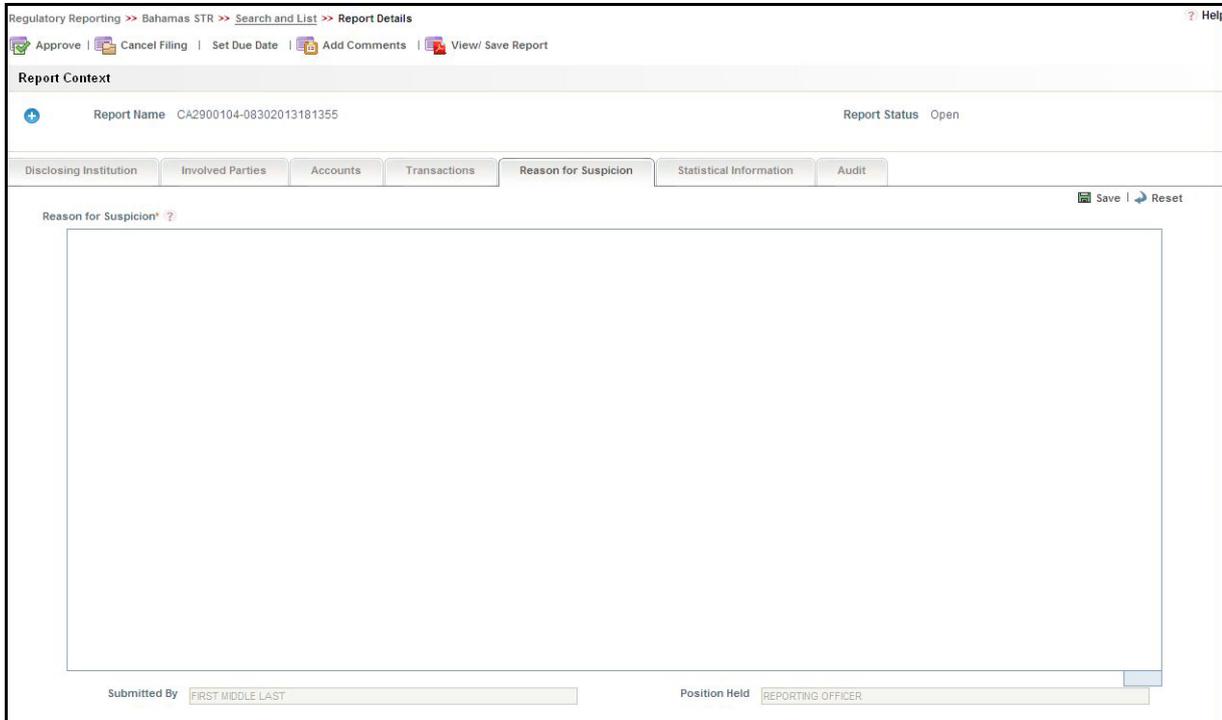


Figure 31. Reason for Suspicion Tab

This tab consists of the following three fields:

Table 16. Reason for Suspicion Field Descriptions

Field Name	Description
Reason for Suspicion	This text box allows you to enter a maximum of 4000 characters. As you begin entering the comments, the word count displayed below the reason for suspicion text box keeps decreasing. If you try to enter more than 4000 characters in this field, the following error message is displayed: <i>Number of characters exceeded.</i> Note: This field is a mandatory field.
Submitted By	This field automatically populates the name entered in Reporting Person/Contact Person field in Disclosing Institution tab. This field cannot be edited.
Position Held	This field is automatically populates the information from the static data table. This field cannot be edited.

You can click **Reset**, the unsaved data is reset to the last saved value in the Reason for Suspicion tab.

Managing Statistical Information

This tab refers to the **Statistical Information** section (shown below) in the Final STR PDF.

STATISTICAL INFORMATION			
Nature of Institution	Please tick	Grounds for Disclosure? <i>Please tick all that apply</i>	Please tick
Bank		Media / Publicity	
Fund Manager		Internet Research	
Bureaux Des Changes		Group Information	
Stockbroker		3 rd Party Information	
Financial Advisor		Service of Production, Charging or Monitoring Order	
Insurance Company		Police enquiry	
Trust Company		Account Activity Not in Keeping with KYC	
Corporate Service Provider		Evidence of Forged Documentation	
Lawyer		Cash Transactions	
Accountant		Transitory Accounts – Immediate Layering	
Casino		High Risk Jurisdictions	
Real Estate Agent/Broker		Purchase and Surrender of Insurance Policy	
Credit Union		Unusual Forex Transactions	
Alternative Remittance		Repeat disclosures	
Local Regulator		Failure to comply with due diligence checks	
Other Regulator		Other (specify)	
Other (specify)			
		What currency was involved?	
Customer/Transaction Type		GBP	
Involving at least one intermediary		USD	
Long Standing Customer		EUR	
New Customer		CAD	
Electronic Banking		JPY	
EURO Transaction		MXN	
		BRL	
		SEK	
Criminality Suspected		CHF	
Drugs		BSD	
Terrorism		OTHER	
Fraud			
Revenue Fraud			
Insider Dealing			
Corruption			
Unknown / undetermined			
Regulatory Matters			
Other			

Figure 32. Statistical Information in Final STR PDF

This tab allows you to select various indicators classifying the STR under different statistical information such as Nature of Institution, Customer/Transaction Type, Criminality Suspected, Grounds for Disclosure, and Currency Involved.

Regulatory Reporting >> Bahamas STR >> Search and List >> Report Details

Approve | Cancel Filing | Set Due Date | Add Comments | View/ Save Report

Report Context

Report Name CA2900104-08302013181355 Report Status Open

Disclosing Institution | Involved Parties | Accounts | Transactions | Reason for Suspicion | **Statistical Information** | Audit

Save | Reset

Nature of Institution *

Bank Fund Manager
 Bureaux Des Changes Stockbroker
 Financial Advisor Insurance Company
 Trust Company Corporate Service Provider
 Lawyer Accountant
 Casino Real Estate Agent/Broker
 Credit Union Alternative Remittance
 Local Regulator Other Regulator
 Other (specify)

Customer/Transaction Type *

Involving at least one intermediary Long Standing Customer
 New Customer Electronic Banking
 EURO Transaction

Criminality Suspected *

Drugs Terrorism
 Fraud Revenue Fraud
 Insider Dealing Corruption
 Unknown / undetermined Regulatory Matters
 Other

Grounds for Disclosure? *

Media / Publicity Internet Research
 Group Information 3rd Party Information
 Service of Production, Charging or Monitoring Order Police enquiry
 Account Activity Not in Keeping with KYC Evidence of Forged Documentation
 Cash Transactions Transitory Accounts - Immediate Layering
 High Risk Jurisdictions Purchase and Surrender of Insurance Policy
 Unusual Forex Transactions Repeat disclosures
 Failure to comply with due diligence checks
 Other (specify)

What currency was involved? *

GBP USD
 EUR CAD
 JPY MXN
 BRL SEK
 CHF BSD
 OTHER

Figure 33. Statistical Information Tab

You must select at least one indicator in each of the section before performing the *Request for Approval/ Approve* action. Click **Save** to update the STR with the selected indicators. You can also click **Reset** to clear the unsaved data and reset all the fields to the last saved value in the Statistical Information tab.

This tab consists of the following five sections:

- Nature of Institution
- Customer/Transaction Type
- Criminality Suspected
- Grounds for Disclosure?
- What currency was involved?

Nature of Institution

This section contains the following indicators for classification:

- Bank
- Fund Manager
- Bureaux Des Changes
- Stockbroker
- Financial Advisor
- Insurance Company
- Trust Company
- Corporate Service Provider
- Lawyer
- Accountant
- Casino
- Real Estate Agent/Broker
- Credit Union
- Alternative Remittance
- Local Regulator
- Other Regulator
- Other (specify)

Note: If you select **Other**, you need to specify the nature of the institution in the text field.

Customer/Transaction Type

This section contains the following indicators for classification:

- Involving at least one intermediary
- Long Standing Customer
- New Customer
- Electronic Banking
- EURO Transaction

Criminality Suspected

This section contains the following indicators for classification:

- Drugs
- Terrorism

- Fraud
- Revenue Fraud
- Insider Dealing
- Corruption
- Unknown / undetermined
- Regulatory Matters
- Other

Grounds for Disclosure?

This section contains the following indicators for classification:

- Media / Publicity
- Internet Research
- Group Information
- 3rd Party Information
- Service of Production, Charging or Monitoring Order
- Police enquiry
- Account Activity Not in Keeping with KYC
- Evidence of Forged Documentation
- Cash Transactions
- Transitory Accounts - Immediate Layering
- High Risk Jurisdictions
- Purchase and Surrender of Insurance Policy
- Unusual Forex Transactions
- Repeat disclosures
- Failure to comply with due diligence checks
- Other (specify)

Note: If you select **Other**, you need to specify the grounds for disclosure in the text field.

What currency was involved?

This section contains the following indicators for classification:

- GBP
- USD
- EUR
- CAD

- JPY
- MXN
- BRL
- SEK
- CHF
- BSD
- OTHER

Viewing Audit Information

The Audit tab displays actions taken on the report. This tab contains the Actions and the Comments section.

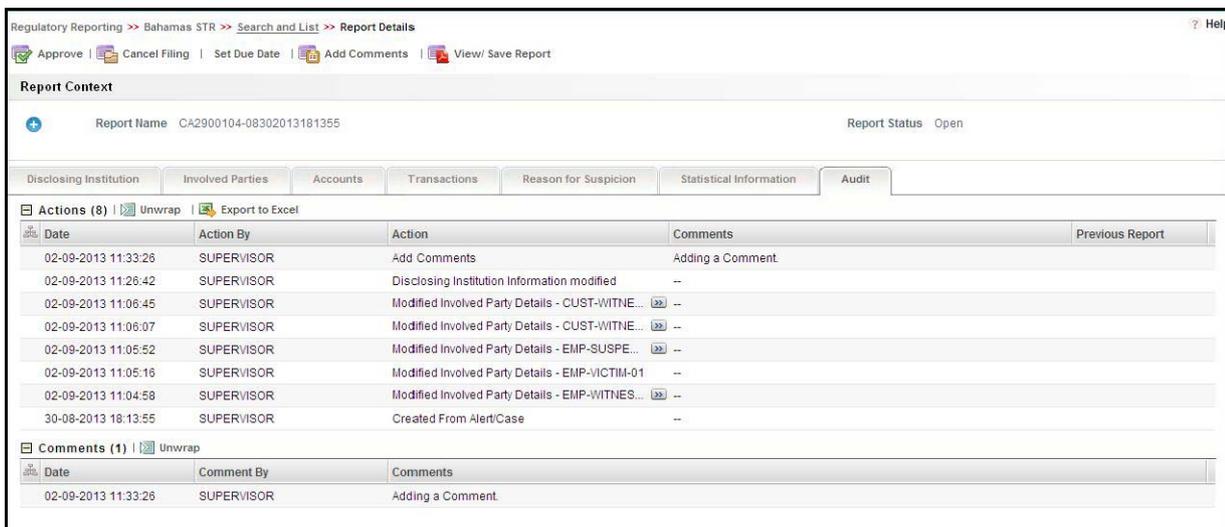


Figure 34. Audit Tab

The Audit tab displays the following sections:

- Actions
- Comments

Actions

The Actions section displays all the actions taken on the regulatory report. This section displays the following fields:

Table 17. Actions Section Field Descriptions

Field Name	Description
Date	Displays the date on which the action occurred.
Action By	Displays the name of the user who performed the action.

Table 17. Actions Section Field Descriptions

Action	<p>Displays a short description of the action.</p> <p>OFSRR captures the following actions in the Audit tab:</p> <ul style="list-style-type: none"> ● Disclosing Institution Information modified ● Added New Involved Party - Name of the added party ● Removed Involved Party - Name of the deleted party ● Modified Involved Party Details - Name of the edited party ● Documents added to Involved Party - Name of the edited party ● Added New Account - Account Number ● Modified Account Details - Account Number ● Removed Account - Account Number ● Modified Transaction Summary ● Added New Transaction - Transaction Number ● Modified Transaction Details - Transaction Number ● Removed Transaction - Transaction Number ● Modified Reason for Suspicion ● Edited Statistical Information <p>Note: When you take reopen action on an Acknowledged report, the FIU reference number updated in the Disclosing Institution tab is removed and is displayed in this field. For example, Reopened (Previous FIU Reference Number: 77363633XAV).</p>
Comments	Displays the comments entered by the user while performing an action.
Previous Report	Displays the previous final STR PDF submitted to the regulatory authorities.

You can also export the list of actions to an excel format using the **Export to Excel** option. Refer to *Exporting STR List to Excel*, on page 71 for more information.

Comments

The Comments section displays the comments entered while performing the **Add Comments** action from the Report Details page of an STR. The Comments section displays the following fields:

Table 18. Comments Section Field Descriptions

Fields	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, you need to submit the STR for approval. The Report Details page allows users mapped to the role of Analyst 1 and Analyst 2 to submit a report for approval. When the Analyst submits the report for approval the application will validate that the mandatory fields within the report have been populated. The Supervisor can review the report details and can either Approve, Reject or Cancel the report. Alternatively, a Supervisor user can also directly approve a report after updating the report details.

To know in what statuses an analyst user can initiate Request for Approval action and in what statuses a Supervisor user can directly approve a report, refer to Table 4. *Report Status - Action Mapping*, on page 14 for more information.

To submit a report for approval, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report Name. The Report Details page is displayed.
3. Click **Request for Approval**.

Note: 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 is displayed.

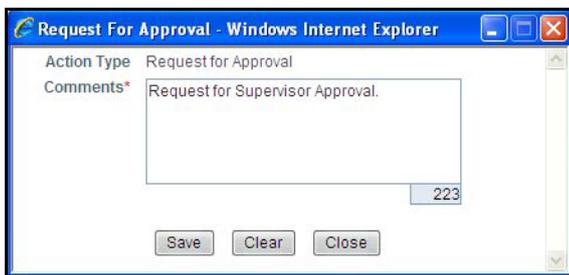


Figure 35. Request for Approval Action Pop-up Window

4. Enter the comments in the Request for Approval action pop-up window.

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

If you click Save, without entering the comments in the Request for Approval Action pop-up window, the following error message is displayed: *Mandatory fields are not entered.*

5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Requested for Approval*.

The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Request for Approval** action.

Approving/Rejecting/Cancelling STRs

The Report Details page allows users mapped to the role of Supervisor to approve, reject, or cancel the regulatory reports.

Approving Reports

Users mapped to the role of Supervisor 1 and Supervisor 2 can approve a report when it is in Request for Approval status. Additionally, a Supervisor 2 can approve a report when it is in *Open*, *Reopened*, and *Rejected* statuses.

To know in what statuses a Supervisor user can approve an STR, refer to Table 4. *Report Status - Action Mapping*, on page 14 for more information.

To approve an STR, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report Name. The Report Details page is displayed.
3. Click **Approve**.

Note: If there is mandatory information 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 is displayed.



Figure 36. Approve Action Pop-up Window

4. Enter the comments in the **Approve** action pop-up window.

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

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

5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The Report Details page is displayed and the status of the report changes to *Approved*.

Note: Once the STR is approved, Regulatory Reporting application will generate the final PDF file containing the required information to be submitted to the FIU. For more information on how to retrieve the PDF for submission to FIU, refer to section *Viewing an STR PDF*, on page 69. Also, the Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Approve** action.

Rejecting Reports

The Report Details page allows users mapped to the role of Supervisor 1 and Supervisor 2 to reject reports from filing. A supervisor may choose to reject a report for incomplete or inaccurate information, or additional investigation may be required of the analyst. A user can reject report when the report is in *Request for Approval* status. If a report is rejected, then users mapped to the role of Analyst 1, Analyst 2, and Supervisor 2 must re-work on the report and again submit the report for approval. This process continues until the report is approved or cancelled. To know in what statuses a Supervisor user can reject an STR, refer to Table 4. *Report Status - Action Mapping*, on page 14 for more information.

To reject a report, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report Name. The Report Details page is displayed.
3. Click **Reject**. The Reject Action pop-up window is displayed.

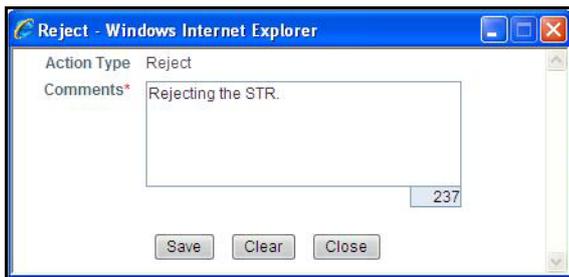


Figure 37. Reject Action Pop-up Window

4. Enter the comments in the **Reject** action pop-up window.

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

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

5. Click **Save** The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Rejected*.

Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Reject** action.

Updating Rejected Reports

If a report is rejected, then users mapped to the role of Analyst 1, Analyst 2, and Supervisor 2 must re-work on the report and again submit the report for approval. This process continues until the report is approved or cancelled.

For more information on editing report details, refer to section *Entering Report Details* on page 27.

Canceling Reports

If an Analyst 2, Supervisor 1, and Supervisor 2 determine that an STR report should not be filed they can cancel it. Users mapped to the appropriate role can cancel a report if for any reason, it is determined that the STR 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.

Users mapped to the role of Analyst 2, Supervisor 1, and Supervisor 2 can initiate cancel action when the report is in *Open*, *Approved*, *Rejected*, and *Reopened* status. Users mapped to the role of Supervisor 1 and Supervisor 2 can also cancel a report when it is in *Request for Approval* status. For more information, refer to Table 4. *Report Status - Action Mapping*, on page 14.

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

Note: A canceled report can be reopened by the users mapped to the role Analyst 2 and Supervisor 2.

To close a report, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report Name. The Report Details page is displayed.
3. Click **Cancel**. The Cancel Action pop-up window is displayed.



Figure 38. Cancel Action Pop-up Window

4. Enter the comments in the **Cancel** action pop-up window.

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

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

5. Click **Save**. The following message is displayed: *Add Operation Successful*.
6. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Cancelled*. The due date of the report is deleted on taking cancelled action

Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Cancel** action.

Setting Due Date of an STR

Set Due Date action will allow both Analyst and Supervisor users to set a due date or modify an existing due date of an STR.

Note: The **Set Due Date** action is available in the Regulatory Reporting application only when you set the **Edit Due Date Flag** attribute to **Y** in the *Application Parameters* table.

To set due date of an STR from the Report Details page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report Name. The Report Details page is displayed.
3. Click **Set Due Date**. The Set Due Date Action pop-up window is displayed.



Figure 39. Set Due Date Pop-up Window

Note: If the selected report already has a due date set, then the existing due date can be edited.

4. To set a due date, select a date from the calendar icon.

Note: This field is a mandatory field.

5. Enter the comments in the **Set Due Date** action pop-up window.

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

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

6. Click **Save**. The following message is displayed: *Add Operation Successful.* If you are updating an existing due date, the following message is displayed: *Update Operation Successful.*
7. Click **OK**. The Report Details page is displayed.

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

To set due date of an STR from RR Search and List page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Select the check box of the report you want to set due date from the RR Search and List page.
3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

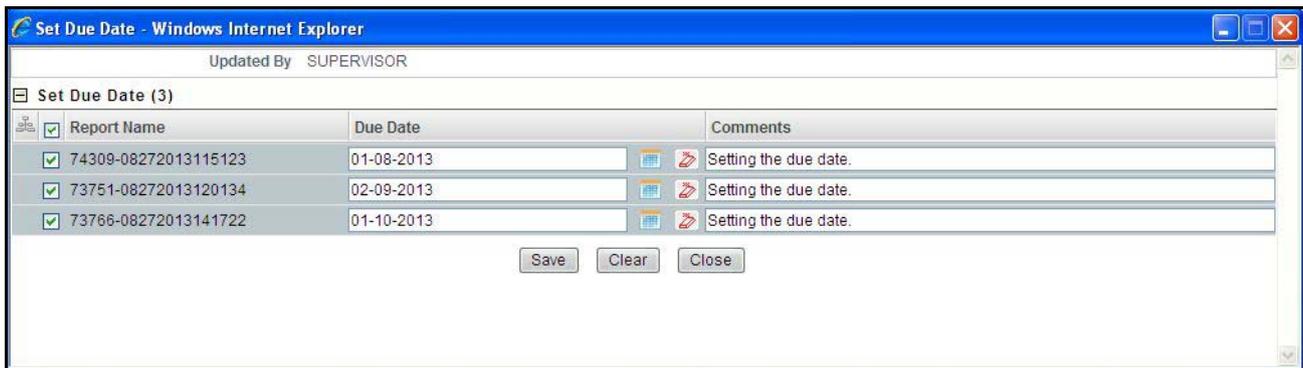


Figure 40. Set Due Date Window

Note: If the selected report already has a due date set, then the existing due date can be edited.

4. To set a due date, select a date from the calendar icon.

Note: This field is a mandatory field.

5. Enter the comments in the **Set Due Date** action pop-up window.

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

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

6. Click **Save**. The following message is displayed: *Add Operation Successful*. If you are updating an existing due date, the following message is displayed: *Update Operation Successful*.
7. Click **OK**. The RR Search and List page is displayed.

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

Marking an STR as Submitted

Once a report is approved, you must file the STR with the Regulatory authorities. The process of filing STRs with regulatory authority occurs outside of the application.

For tracking and reporting purposes, the application allows you to mark the reports that are filed with the regulatory authorities as **Submitted** once the STR PDF has been sent to the FIU, or whenever is defined as appropriate per your institution's business practices. In addition, the application also allows you to update the acknowledgment details received from the regulatory authorities after the reports have been submitted to the regulatory authorities. When the report is submitted, the due date gets deleted.

Users mapped to the role of Analyst 1, Analyst 2 and Supervisor 2 can mark the reports filed with the regulatory authorities as submitted. This action can be performed only when the report is in *Approved* status.

If you select records from RR Search and List page which are not in Approved status and click on Submitted button, the application displays the following message: *Some reports are not in Approved status. Submitted action can only be taken on Approved reports. Please deselect those reports and try again.*

The Report Details page/RR Search and List page allows Analyst 1, Analyst 2 and Supervisor 2 to submit approved reports.

To mark a report as submitted from the Report Details page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report Name. The Report Details page is displayed.
3. Click **Submitted**. The Submitted Action pop-up window is displayed.



Figure 41. Mark as Submitted Pop-up Window from Report Details Page

4. Enter the comments in the **Submitted** action pop-up window.

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

If you click **Save** without entering the comments in the Mark as Submitted Action pop-up window, the following error message is displayed: *Mandatory fields are not entered.*

5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The Report Details page is displayed and the status of the report changes to *Submitted*.

Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Mark as Submitted** action.

To mark a report as submitted from RR Search and List page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Select the check box of the report you want to submit from the RR Search and List page.
3. Click **Submitted** in the Action bar. The Submitted window is displayed.

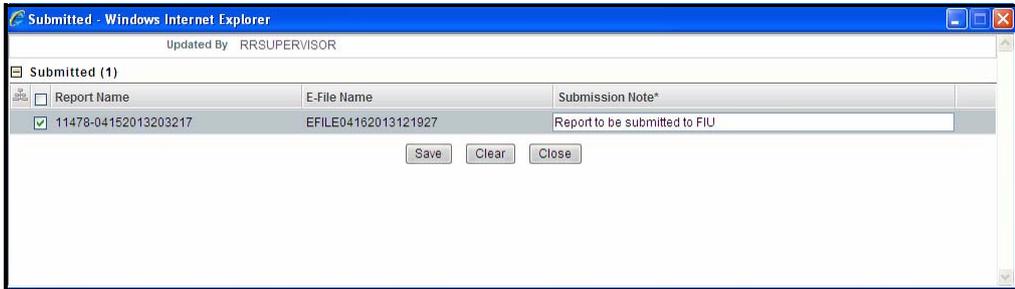


Figure 42. Mark as Submitted Pop-up Window from Search and List Page

4. Select the report details in the Submission Window and enter Submission notes. Submission notes can be used to help you with entering information relevant to the uploading of the PDF to the FIU that can be used to distinguish between various reports when opening or acknowledging them.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The RR Search and List page is displayed.

Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Mark as Submitted** action.

Marking an STR as Acknowledged

The application allows you to update the acknowledgment details received from the regulatory authorities after the reports have been submitted to the Regulatory authorities.

Users mapped to the role of Analyst 1, Analyst 2 and Supervisor 2 can mark the reports acknowledged after an acknowledgment is received from the regulatory authorities after submitting a report. An Analyst 2 and Supervisor 2 can mark the report as acknowledged only when the report is in *Submitted* status. For more information, refer to Table 4. *Report Status - Action Mapping*, on page 14.

If you select records from the RR Search and List page which are not in **Submitted** status and click **Acknowledged**, the application displays the following message: *Some reports are not in Submitted status. Acknowledgment action can only be taken on Submitted reports. Please deselect those reports and try again.*

The Report Details page/RR Search and List page allows Supervisor/Analyst to mark reports as acknowledged.

Note: Any status updates in Regulatory Reporting application is sent back to OFSFCCM and updated in the Audit tab.

To mark a report as acknowledged from Report Details page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report Name. The Report Details page is displayed.
3. Click **Acknowledged**. The Mark as Acknowledged pop-up window is displayed.

Figure 43. Mark as Acknowledged Pop-up Window

4. Enter the acknowledgment date, FIU reference number, and comments in the Mark as Acknowledged pop-up window.

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

If you click **Save** without entering the comments in the Mark as Acknowledged pop-up window, the following message is displayed: *Mandatory fields are not entered.*

5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Acknowledged*.

Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Mark as Acknowledged** action.

To mark a report as acknowledged from RR Search and List page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Select the check box of the report you want to acknowledge from the RR Search and List page.
3. Click **Acknowledged** in the Action bar. The Acknowledged window is displayed.

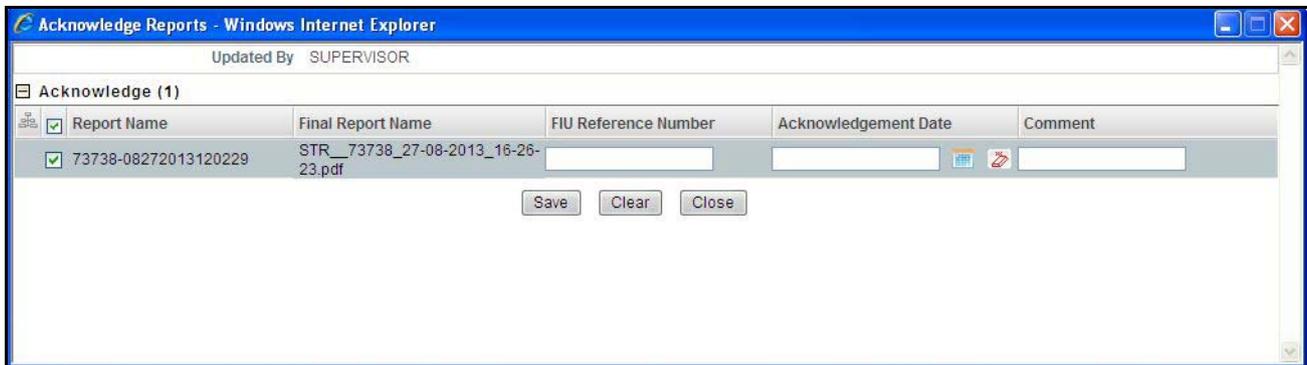


Figure 44. Acknowledged Window

4. Select the report details in the Acknowledged Window and enter the FIU Reference number.

Note: The FIU reference number is the acknowledgment number received from Financial Intelligence Unit after the report is acknowledged. This information is updated in OFSRR while marking the report as acknowledged and is mandatory while re-submitting a corrected/supplemental report.

If you try to save the Acknowledged action without entering FIU Ref No# or/and acknowledgment date for one or more reports, the application displays the following message: *FIU Reference Number and Acknowledgement Date are mandatory. Please enter for all the reports.*

5. Select the acknowledgment date and enter the comments.
6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. The RR Search and List page is displayed.

Note: If you try to take acknowledge, submit, and reopen action on more than one report and some reports are locked by another user, the application displays the following message: *STR-01, STR-02 - Report Name(s) are locked by another user. Click OK to take action on the remaining reports or CANCEL to go back to the previous page.*

If all the reports are locked by another user, the application displays the following message: *All the selected reports are locked by another user. Please try again later.*

The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Mark as Acknowledged** action.

The FIU reference number updated in the Regulatory Reporting application is displayed in the Final STR PDF as depicted in the following diagram:

APPENDIX G

SUSPICIOUS TRANSACTION REPORT

Completed forms should be forwarded by hand, facsimile or courier to the Financial Intelligence Unit,
3rd Floor, Norfolk House, Frederick Street, P. O. Box SB-50086, Nassau, The Bahamas.
Telephone No.: (242) 356-9808 or (242) 356-6327, Facsimile No.: (242) 322-5551

For Official Use Only	FIU Reference Number:.....
------------------------------	----------------------------

Figure 45. FIU Reference Number in Final STR PDF

Reopening an STR

You can re-open a closed report. Users mapped to the role of Analyst 2 and Supervisor 2 can initiate re-open action when the report is in *Cancelled* or *Acknowledged* status.

The Report Details page/RR Search and List page allows users mapped to the role of Supervisor and Analyst to re-open cancelled or acknowledged reports. For more information, refer to Table 4. *Report Status - Action Mapping*, on page 14.

When you take a reopen action on an Acknowledged report, the FIU reference number updated in the Disclosing Institution tab is removed and is displayed in the Actions section under the Audit tab. For example, Reopened (Previous FIU Reference Number: 77363633XAV).

When you select records from RR Search and List page which are not in *Cancelled/Acknowledged* status and click **Reopen**, the application displays the following message: *Some reports are not in Cancelled or Acknowledged state. Reopen action can only be taken on Cancelled or Acknowledged reports. Please deselect those reports and try again.*

To re-open a report from Report Details page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report Name. The Report Details page is displayed.
3. Click **Reopen**. The Re-open Action pop-up window is displayed.

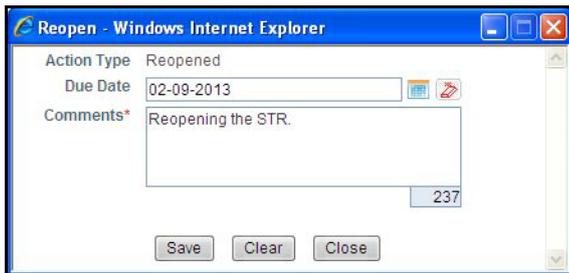


Figure 46. Reopen Action Pop-up Window from Report Details Page

4. Enter the comments in the **Reopen** action pop-up window.

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

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

5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The Report Details page is displayed.

The Actions section in the Audit tab tracks both the **Actions** and the **Comments** entered while performing the Reopen action.

Note: If a report is reopened, the status of the report changes to *Reopened*.

To re-open a report from RR Search and List page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Select the check box of the report you want to re-open.
3. Click **Reopen**. The Re-open Action pop-up window is displayed.



Figure 47. Reopen Action Pop-up Window from Search and List Page

4. Enter your comments in the Reopen reports window.

Note: The comments box in the Reopen report window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

If you click **Save** without entering the comments in the Re-open report window, the following error message is displayed: *Mandatory fields are not entered.*

5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The RR Search and List page is displayed.

Note: When you reopen an acknowledged report, the submission notes entered while submitting the report gets deleted.

Adding Comments to an STR

The Report Details page allows users mapped to the role of Analyst 1, Analyst 2, Supervisor 1, and Supervisor 2 to add comments to a report. You can add comments to a report in any status.

To add comments to a report, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report name to view the report details.
3. Click **Add Comments**. The Action pop-up window is displayed.

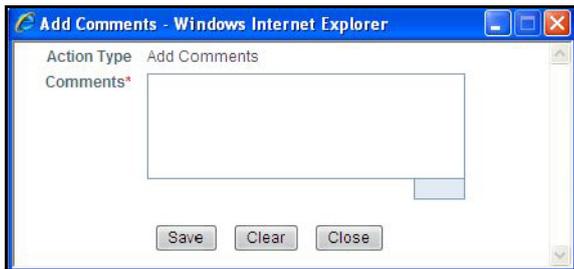


Figure 48. Action Pop-up Window

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

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

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

5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The Action pop-up window closes and displays the Report Details page.

Note: The **Actions** and the **Comments** section in the Audit tab tracks both the actions and the comments entered while performing the **Add Comments** action.

Viewing an STR PDF

When a report is created either directly from OFSRR or through OFSFCCM, a draft PDF is created for the STR. Users mapped to the role of Analyst and Supervisors can view and save the report. Once the Supervisor user approves the STR, the draft STR PDF is replaced with the final STR PDF.

Both draft STR PDF and final STR PDF can be viewed either from RR Search and List page or from Report Details page.

To view an STR PDF from Report Details page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click the Report name to view the report details.
3. Click **View/ Save Report**. The **File Download** window is displayed.

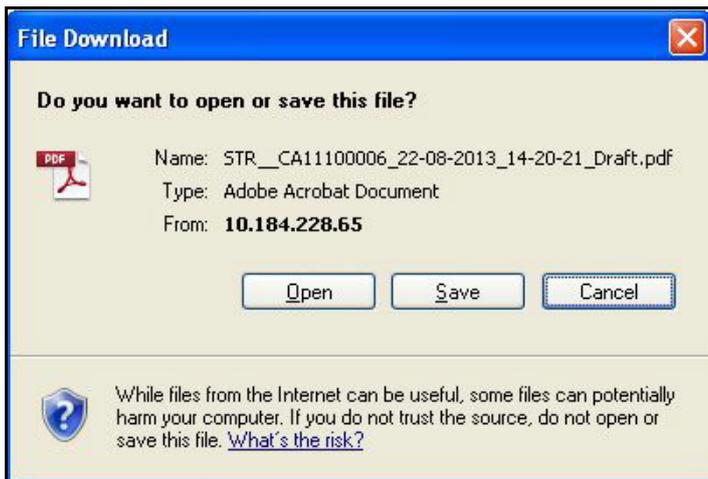


Figure 49. Viewing STR PDF from Report Details Page

4. Click **Open** to view the STR PDF. You can also click **Save** to save the PDF in your machine.

To view an STR PDF from RR Search and List page, follow these steps:

1. Hover over the Regulatory Reporting menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. From Reports List, select the PDF icon in the Regulatory Report column of an STR record. The **File Download** window is displayed.

Exporting STR List to Excel

The RR Search and List page allows you to export the report list into an Excel template.

To export the report details into an Excel template, follow these steps:

1. Hover over the **Regulatory Reporting** menu and click **Bahamas STR**. The RR Search and List page is displayed.
2. Click **Export to Excel**. The Export Properties dialog box is displayed.

All the reports in the RR Search and List page are exported into an Excel template. You cannot export individual reports into Excel.

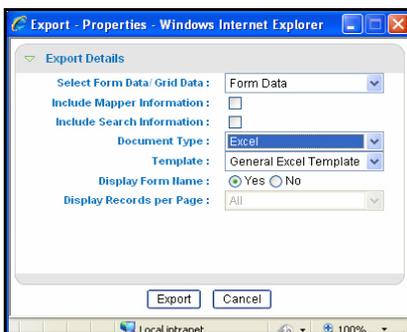


Figure 51. Export Properties Dialog Box

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 is displayed in an IE window with a dialog box.

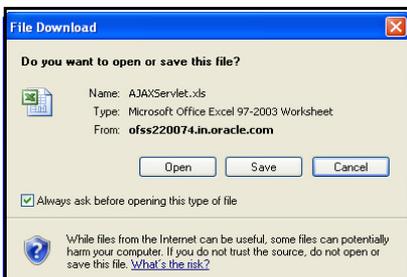


Figure 52. File Download Box (Export)

5. Click **Save** from the dialog box. The Save As dialog box is displayed.
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.

