

Oracle Financial Services  
Regulatory Reporting  
**User Guide NGSTR**

*Release 2.4*  
*October 2013*





Oracle Financial Services  
Regulatory Reporting  
**User Guide NGSTR**

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*October 2013*

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Oracle Financial Services Software, Inc.  
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Oracle Financial Services Software, Inc.  
1900 Oracle Way  
Reston, VA 20190  
*Phone:* 703-478-9000  
*Fax:* 703-318-6340  
*Internet:* [www.oracle.com/financialservices](http://www.oracle.com/financialservices)

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# About This Guide

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

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

## ***Naming Discrepancies***

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

## ***Who Should Use this Guide***

The *Oracle Financial Services Regulatory Reporting User Guide NGSTR*, Release 2.4, is designed for use by a variety of Oracle Financial Services users. Their roles and responsibilities, as they operate within the Oracle Financial Services RR application, include the following:

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

## **Scope of this Guide**

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

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

## **How this Guide is Organized**

The *Oracle Financial Services Regulatory Reporting User Guide NGSTR*, Release 2.4, includes the following topics:

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

## **Where to Find More Information**

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

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

To find additional information about how Oracle Financial Services Regulatory Reporting solves real business problems, see our website at [www.oracle.com/financialservices](http://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"> <li>● Names of books, chapters, and sections as references</li> <li>● Emphasis</li> </ul>
<b>Bold</b>	<ul style="list-style-type: none"> <li>● Object of an action (menu names, field names, options, button names) in a step-by-step procedure</li> <li>● Commands typed at a prompt</li> <li>● User input</li> </ul>
Monospace	<ul style="list-style-type: none"> <li>● Directories and subdirectories</li> <li>● File names and extensions</li> <li>● Process names</li> <li>● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text</li> </ul>
<Variable>	Substitute input value





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

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

## ***Introduction to RR***

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

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

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

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

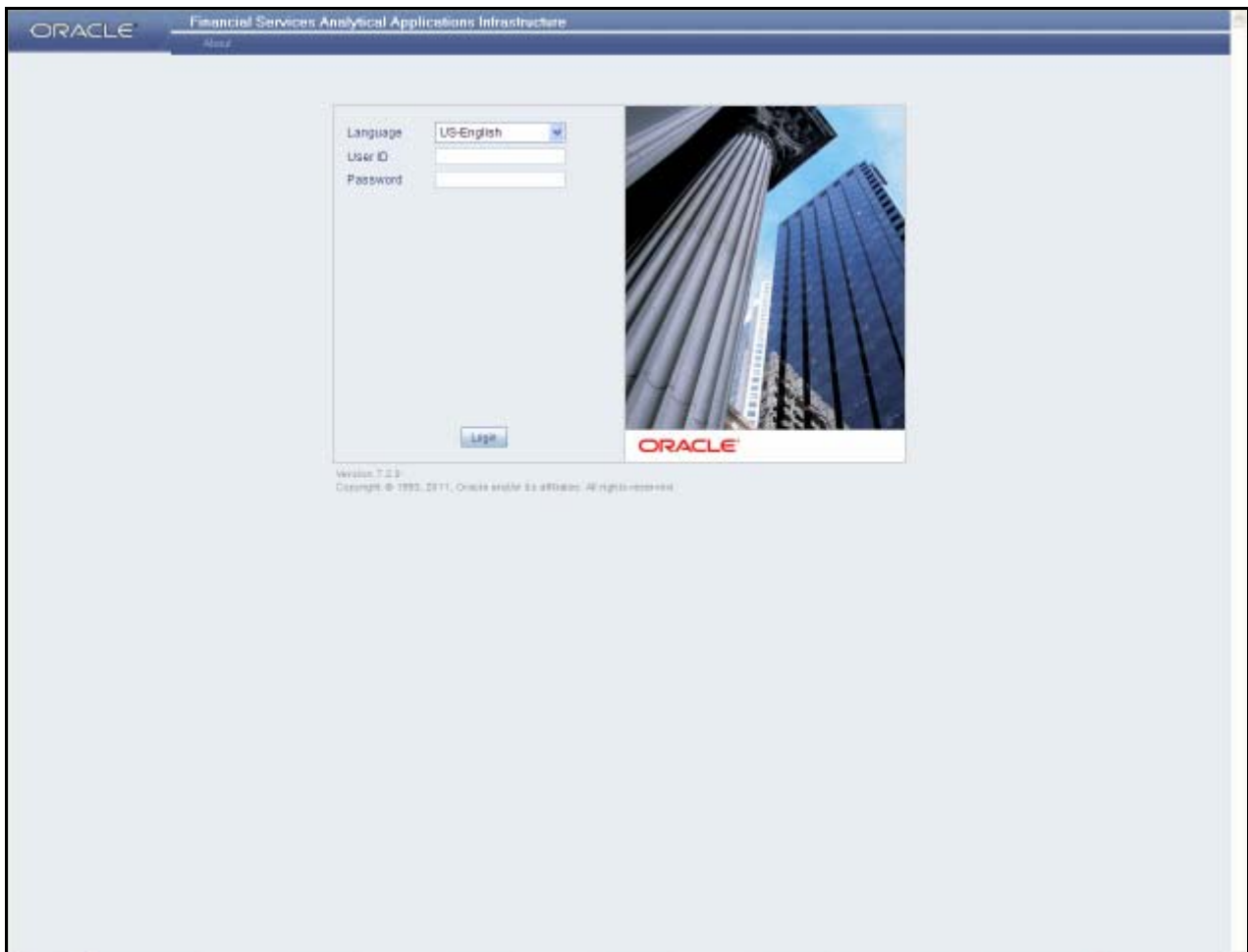
## ***About RR Login***

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

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

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

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



**Figure 1. RR Application Login**

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

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

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

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

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

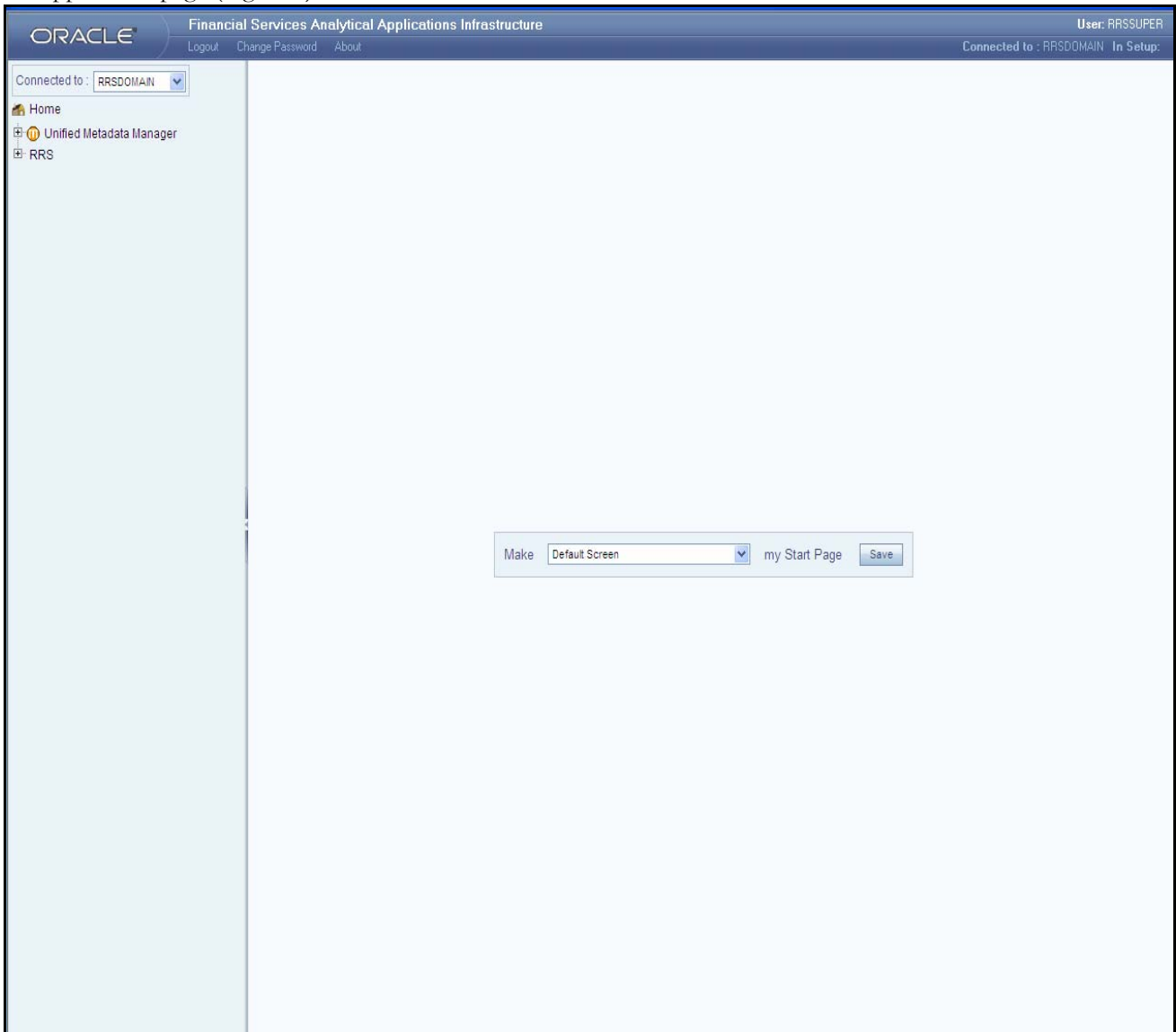


Figure 2. Home Page for all the Roles (except the RR System Administrator)

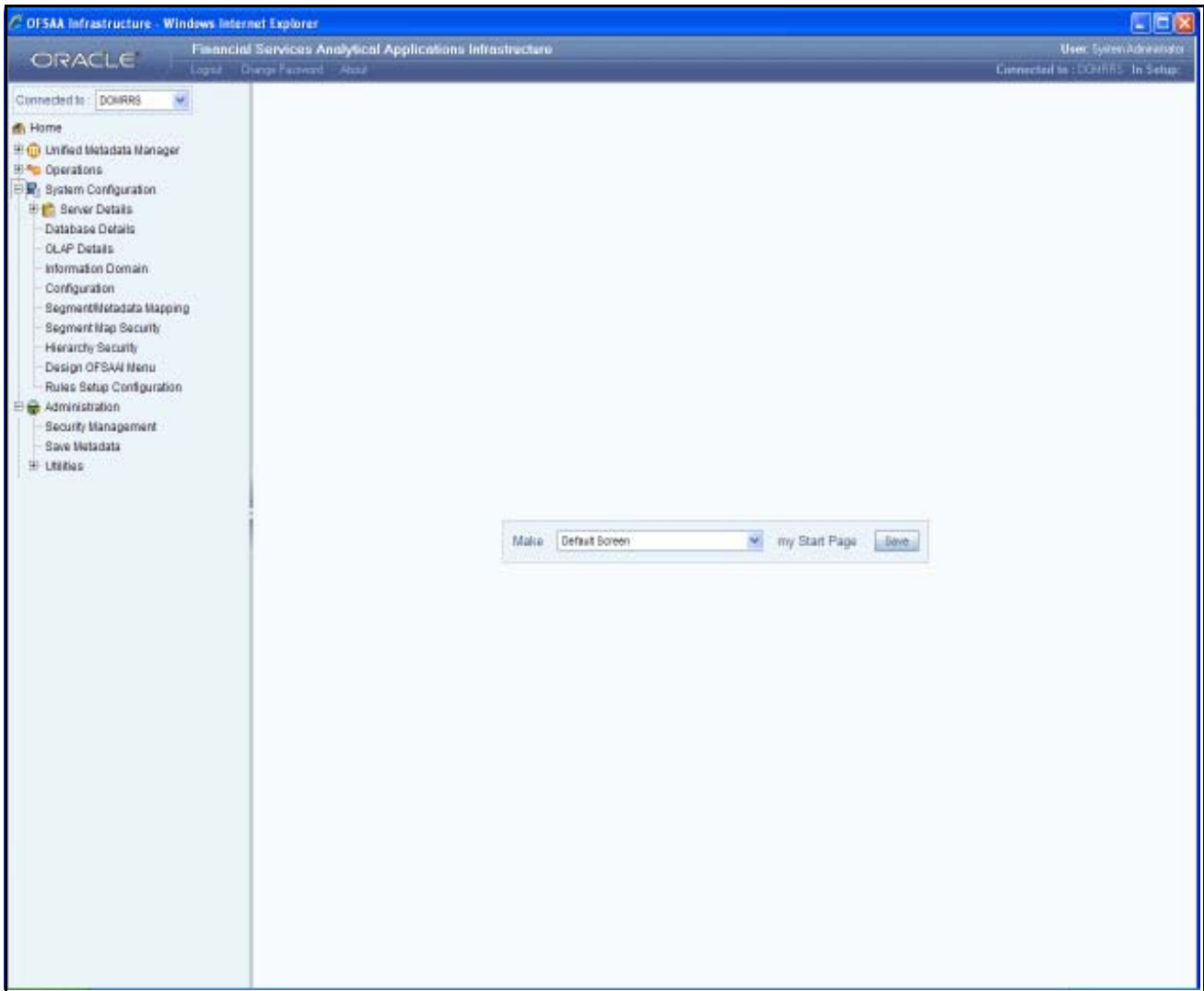


Figure 3. Home Page for the RR System Administrator Role

## Setting the Default Page

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

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

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

**ORACLE** Financial Services Regulatory Reporting

Welcome, RRSSUPER Friday, August 26, 2011

User Administration Regulatory Reports - NGSTR

Regulatory Report Search Go | Reset

Report Name:  Status:  Alert/Case ID:   
 Report Type:  Jurisdiction:  Created By:   
 Transaction number:  InvolvedPartyName:  SSN:   
 Created Date From:  To:

**Report List**

Regulatory Report List (6)

Report Name	Report Type	Jurisdiction	Alert/Case ID	Report ID	Created Date	Created By	Status	Xml
<a href="#">ACHRTRHRACTHH-002-08252011012718548</a>	NGSTR	AMEA	6047	10180	--	--	Rejected from E-File	
<a href="#">ACFITNEXTENAC-004-08252011013389325</a>	NGSTR	AMEA	5980	10224	08/25/2011	RRSSUPER	E-File Generated	
<a href="#">ACNTWK0012-08252011013418178</a>	NGSTR	AMEA	5981	10238	08/25/2011	case_supervisor	Closed	
<a href="#">ACANOMATMEXWDCU-005-08252011013343468</a>	NGSTR	AMEA	5979	10205	08/25/2011	case_supervisor	Open	
<a href="#">ACHRTRHRACTCU-001-08252011012759815</a>	NGSTR	AMEA	6050	10180	08/25/2011	case_supervisor	Open	
<a href="#">CUMLTERRORFINFAC-009-08242011080049566</a>	NGSTR	AMEA	5944	10000	08/25/2011	RRSSUPER	Filed	

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**Figure 4. RR Application Page**

## Regulatory Report Workflow

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

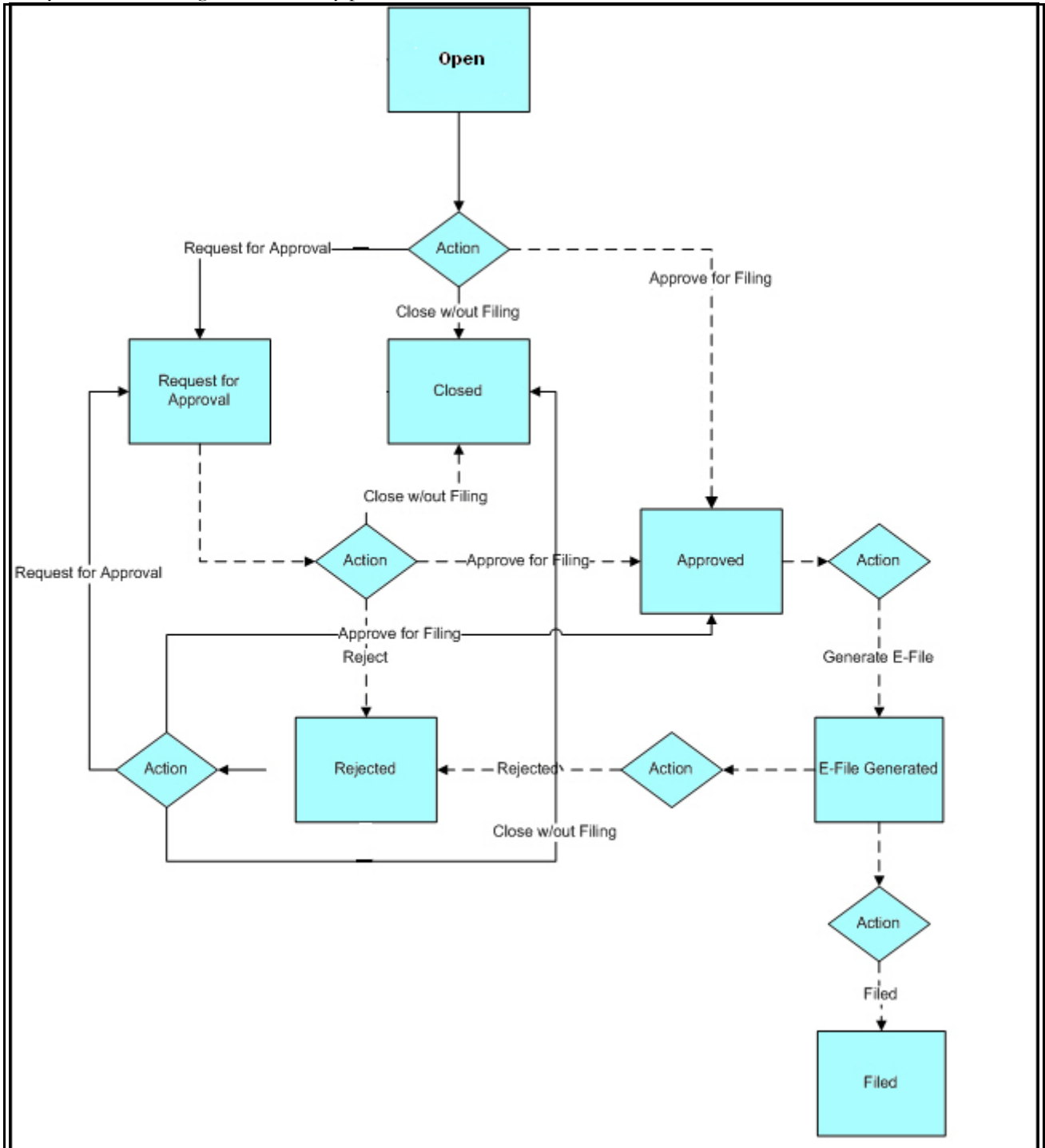


Figure 5. Regulatory Reporting Workflow

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

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

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

The user with the Supervisor role may do the following:

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

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

## ***User Access***

The following user roles are defined in the RR application:

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

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

**Table 2. User Role - Function Mapping**

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



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

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

### ***RR Application Menu***

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

### **Regulatory Reports**

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

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

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

## Icons Used

Table 3 details the icons used in the application.

**Table 3. RR Icons**

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

## ***Regulatory Reports- User Interface***

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

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

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

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

### **Regulatory Report Search**

Users can search the Report based on the following components:

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

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

## Regulatory Report List

The Regulatory Report List provides the following details:

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

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

## Export to Excel

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

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

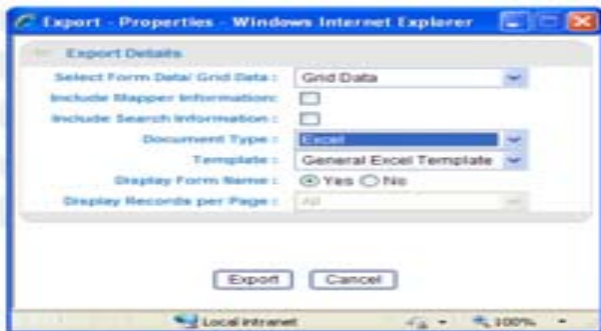


Figure 6. Export Properties Dialog Box

## View/Edit Report

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

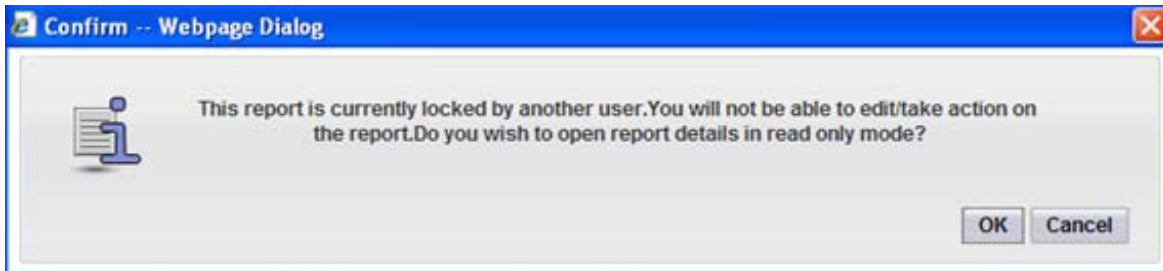


Figure 7. Edit Report - Warning Message

ORACLE Financial Services Regulatory Reporting

Welcome, RRSSUPER Friday, August 26, 2011

User Administration Regulatory Reports - NGSTR

Regulatory Report Search Go | Reset

Report Name:  Status:  Alert/Case ID:   
 ReportType:  Jurisdiction:  Created By:   
 Transaction number:  InvolvedPartyName:  SSII:   
 Created Date From:  To:

Report List

Regulatory Report List (6)

Report Name	Report Type	Jurisdiction	Alert/Case ID	Report Id	Created Date	Created By	Status	Xml
<a href="#">ACHRRHRACHTH-002-08252011012718548</a>	NGSTR	AMEA	6047	10180	--	--	Rejected from E-File	
<a href="#">ACFTNEXTEHAC-004-08252011013359325</a>	NGSTR	AMEA	5980	10224	08/25/2011	RRSSUPER	E-File Generated	
<a href="#">ACNTVVK0012-08252011013416178</a>	NGSTR	AMEA	5981	10238	08/25/2011	case_supervisor	Closed	
<a href="#">ACANOMIATMFXWDCU-005-08252011013343468</a>	NGSTR	AMEA	5979	10205	08/25/2011	case_supervisor	Open	
<a href="#">ACHRRHRACHTH-001-08252011012759615</a>	NGSTR	AMEA	6050	10180	08/25/2011	case_supervisor	Open	
<a href="#">CUMLTERRORFINFAC-009-08242011080049586</a>	NGSTR	AMEA	5944	10000	08/25/2011	RRSSUPER	Filed	

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Figure 8. Regulatory Report Search and List



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

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

## ***About the Report Summary Page***

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

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

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

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

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

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

- Reporting Entity Information
- Transaction Details
- Narrative
- Audit

## ***Action Bar***

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

**Table 4. Action Bar**

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



**Table 4. Action Bar**

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

## Report Context

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

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

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

**Figure 9. Report Context**

## Reporting Entity Information Tab

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

### Reporting Entity Information Tab - Edit Mode

The screenshot displays the Oracle Financial Services Regulatory Reporting application interface. At the top, the Oracle logo and 'Financial Services Regulatory Reporting' are visible. A user bar shows 'Welcome, RRSUPER' and the date 'Friday, August 26, 2011'. The navigation bar includes 'User Administration' and 'Regulatory Reports - NGSTR'. The main content area is titled 'Report Details' and contains a 'Report Context' section with the following information:

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

Below the report context, there are four tabs: 'Reporting Entity Information' (selected), 'Transaction Details', 'Narrative', and 'Audit'. The 'Reporting Entity Information' tab is active and shows a form with the following fields:

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

Figure 10. Reporting Entity Information – Edit Mode

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

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

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

## Reporting Entity Information Tab: View Mode

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

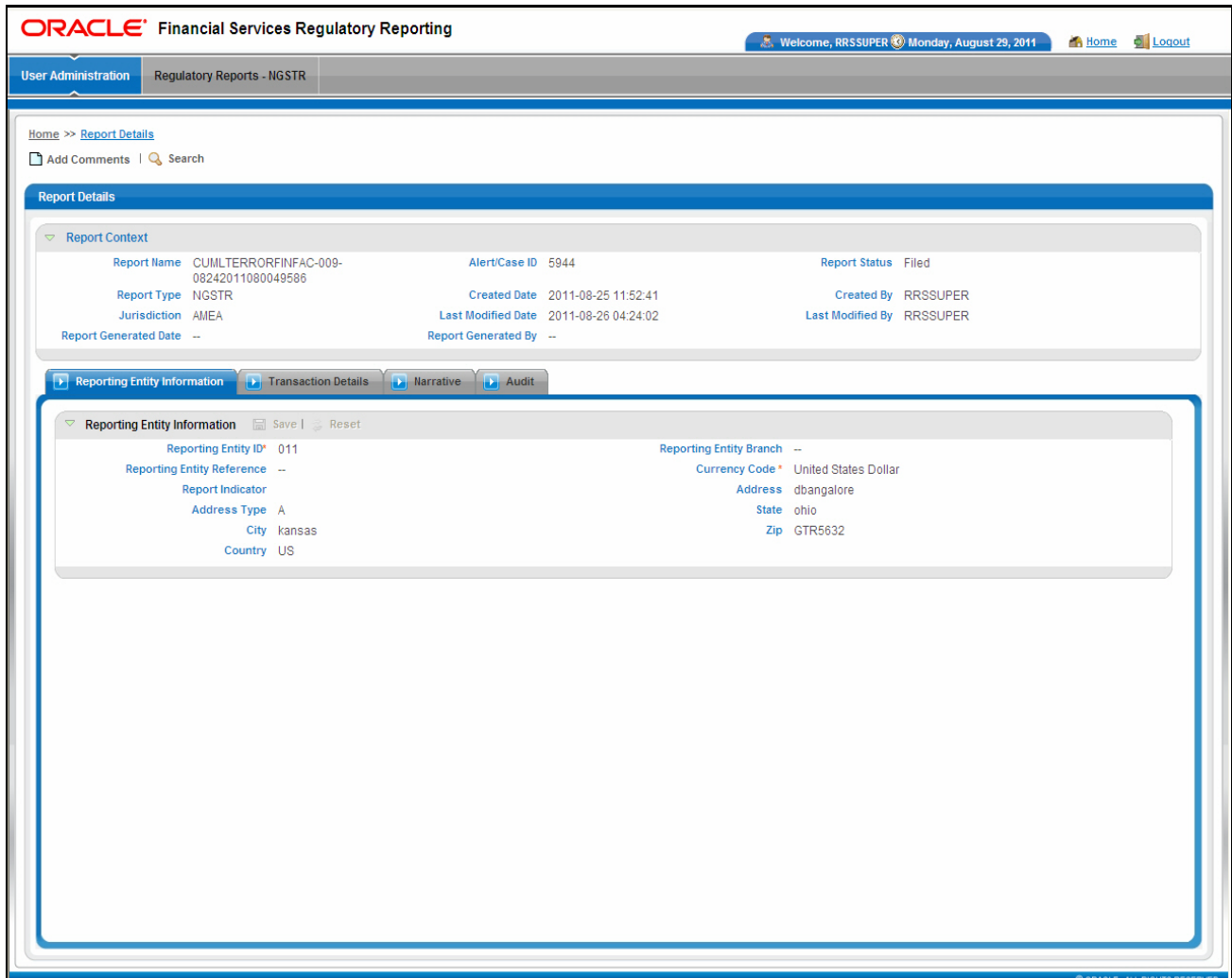


Figure 11. Reporting Entity Information - View Mode

## Transaction Details Tab (Edit Mode)

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

- Transactions

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

- Transaction Details
- Involved Parties

- Goods and Services

**ORACLE** Financial Services Regulatory Reporting Welcome, RRSUPER Friday, August 26, 2011

User Administration | Regulatory Reports - NGSTR

Home >> Report Details

Approve | Close | Add Comments | Search

### Report Details

**Report Context**

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

Reporting Entity Information | **Transaction Details** | Narrative | Audit

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

**Involved Parties (2)**

Add | Edit | Save | Delete | Validate

Party Type	Role	Involved Party Name	SSN	Account Number
<input type="checkbox"/> Account Customer	Originator	ROHIT RAJ SRIVASTAV	--	ACANOMATMEXWDCU-005
<input type="checkbox"/> Account Customer	Beneficiary	savings	--	123456789

**Goods and Services (3)**

Add | Edit | Delete

Item type	Status	Registration Date	Registration Number
<input type="checkbox"/> Car		--	
<input type="checkbox"/> Unknown		--	
<input type="checkbox"/> Land		--	

Figure 12. Transaction Details Tab - Edit Mode

## Transactions –Edit Mode

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

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

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

## Transactions –View Mode

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

## Transaction Details –Edit Mode

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

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

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

## Transaction Details –View Mode

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

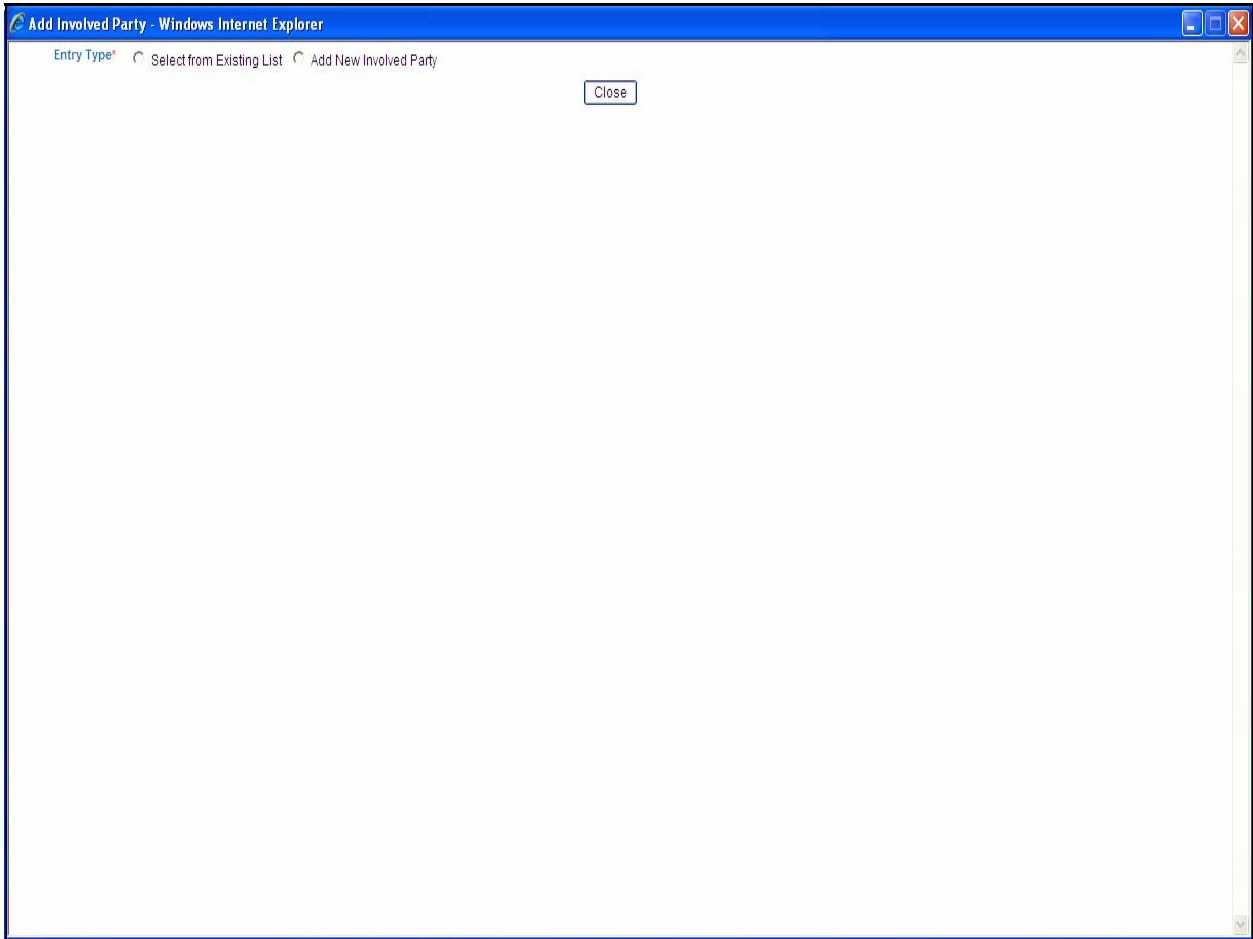
## Involved Parties- Edit Mode

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

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

## Add Involved Parties

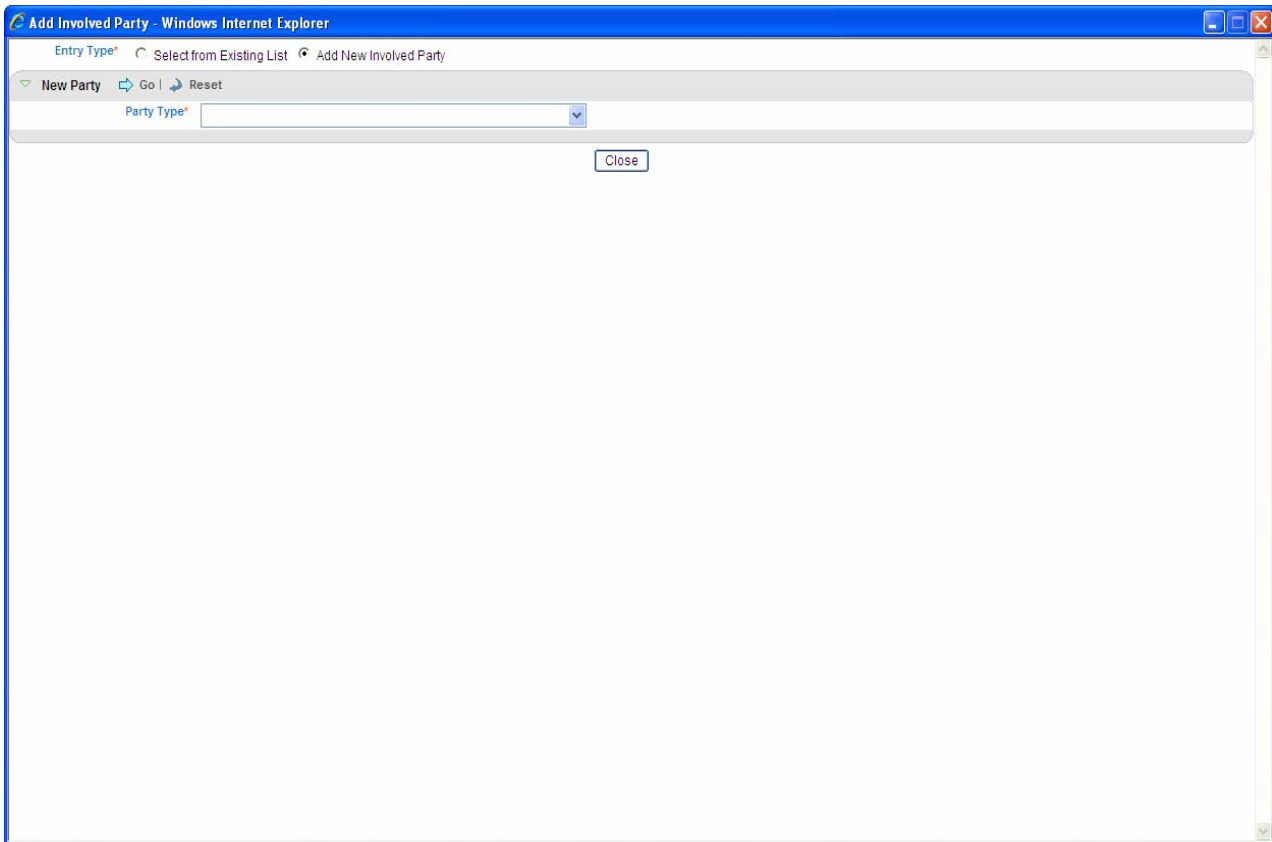
1. Click **Add** to add a New Involved Party.
2. Select an appropriate option from **Add New Involved Party** or **Select from Existing List** radio buttons from the Add Involved party popup (Figure 13). Click **Go**. The container will refresh based on the selection made



**Figure 13. Add Involved Party (a)**

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





**Figure 14. Add Involved Party (b)**

4. If you select **Select from Existing List**, the list of involved parties is displayed. Select the checkbox of the appropriate party type from the list of involved parties. Click **Add** (Figure 15).
5. User is not allowed to add more than two parties for a transaction and also the role's of the two parties should be different on transaction, that is the party should be either an *Originator* or a *Beneficiary* but not the same for two parties.

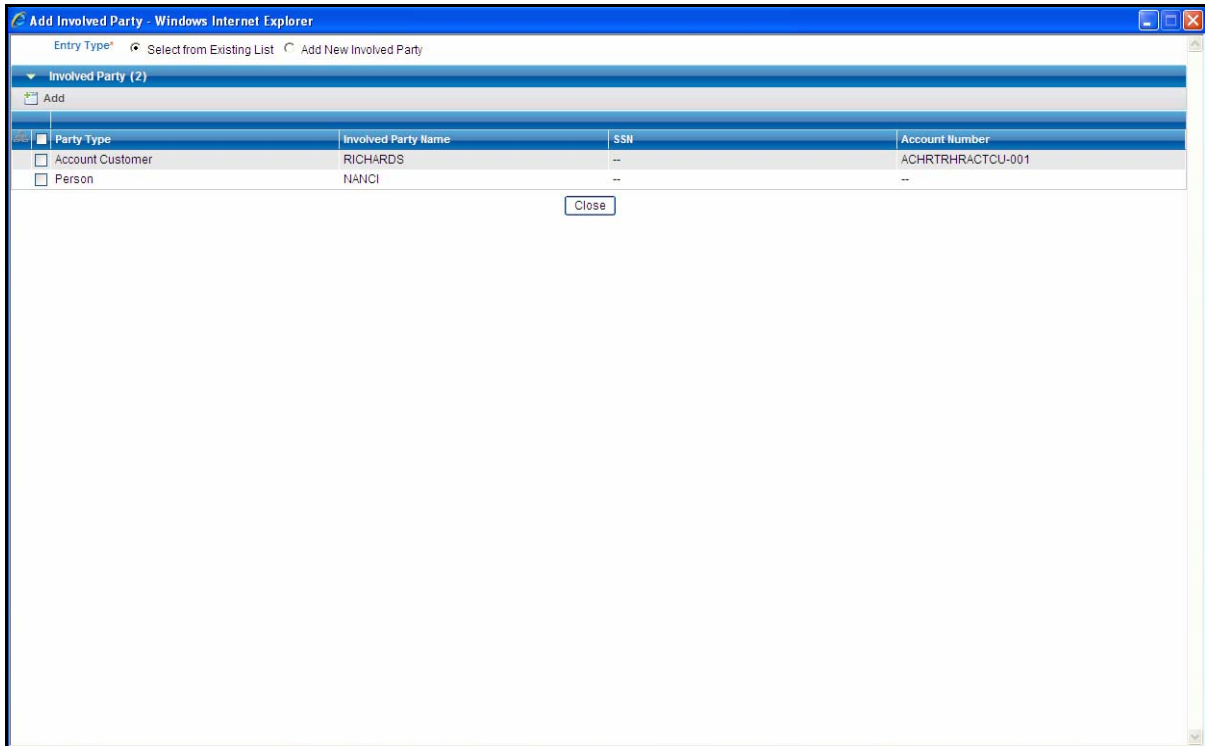


Figure 15. Add Involved Party (c)

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

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

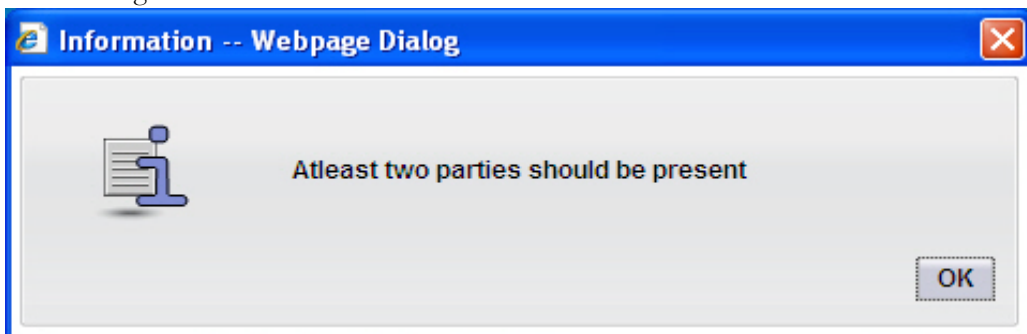


Figure 16. Involved Parties Warning Message (a)

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

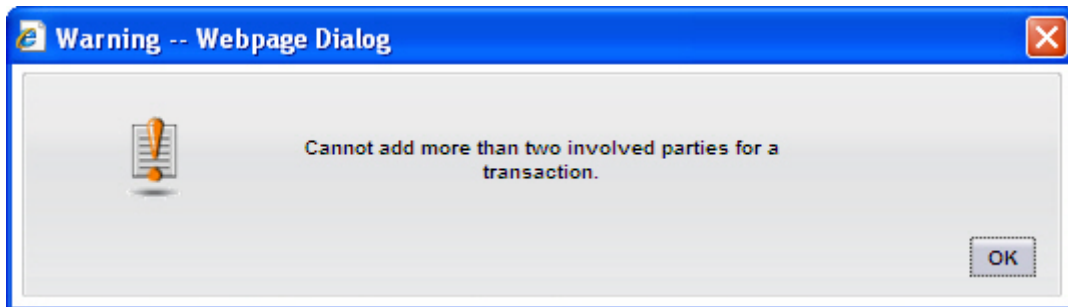


Figure 17. Involved Parties Warning Message (b)

## Involved Parties –View Mode

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

## Person/Person Customer Details Page

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

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

This page displays the following details:

- Person information
- Transaction information
- Employer's contact information

The screenshot displays a web application window titled "Person Details - Windows Internet Explorer". The window contains three main sections for data entry:

- Person Information:** Includes fields for Title, First Name (test), Last Name (test), Date of Birth, Mother Name, Nationality 1, Nationality 3, Email, Occupation, Prefix, Middle Name, Gender, Place of birth, SSN, Nationality 2, Country of Residence, Alternate Email ID, and Employer Name. There are also expandable sections for Contact Details, Address Details, and Identification Details.
- Transaction Information:** Includes Funds Code (Cash), Amount (10103), Country (GERMANY), Role (Originator), Currency (Euro), Exchange Rate, and Funds Code Description. It also features "Update" and "Delete" buttons.
- Employer's Contact Information:** Includes Address Type, City, Country, Contact Type, Area Code, Extension, Address, Zip Code, State, Communication Type, and Phone Number.

At the bottom of the window, there are "Close" and "Validate" buttons.

Figure 18. Person Details Page - Edit Mode

Figure 19. Person Customer Details Page - Edit Mode

**Person Information- Edit Mode**

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

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

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

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

### ***Add Contact Details***


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

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

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

Figure 20. Add New Contact Popup

**Add Address Details**


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

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

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

Figure 21. Add New Address Popup

### Add Identification Details

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

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

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

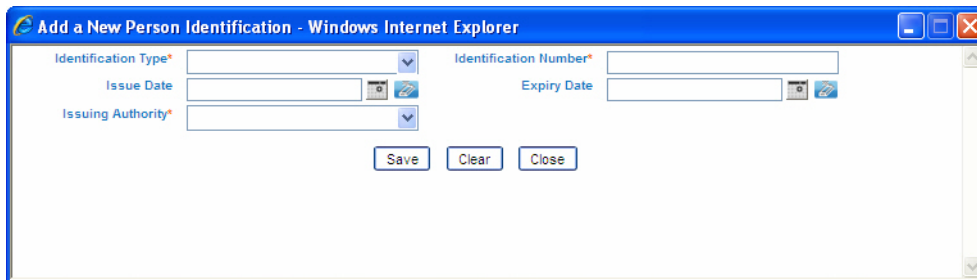


Figure 22. Add New Person Identification Popup



### Transaction Information-Edit Mode

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

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

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

Figure 23. Conductor Details Page

### ***Employer’s Contact Information-Edit Mode***

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

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

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

### Person/Person Customer Details Page- View Mode

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

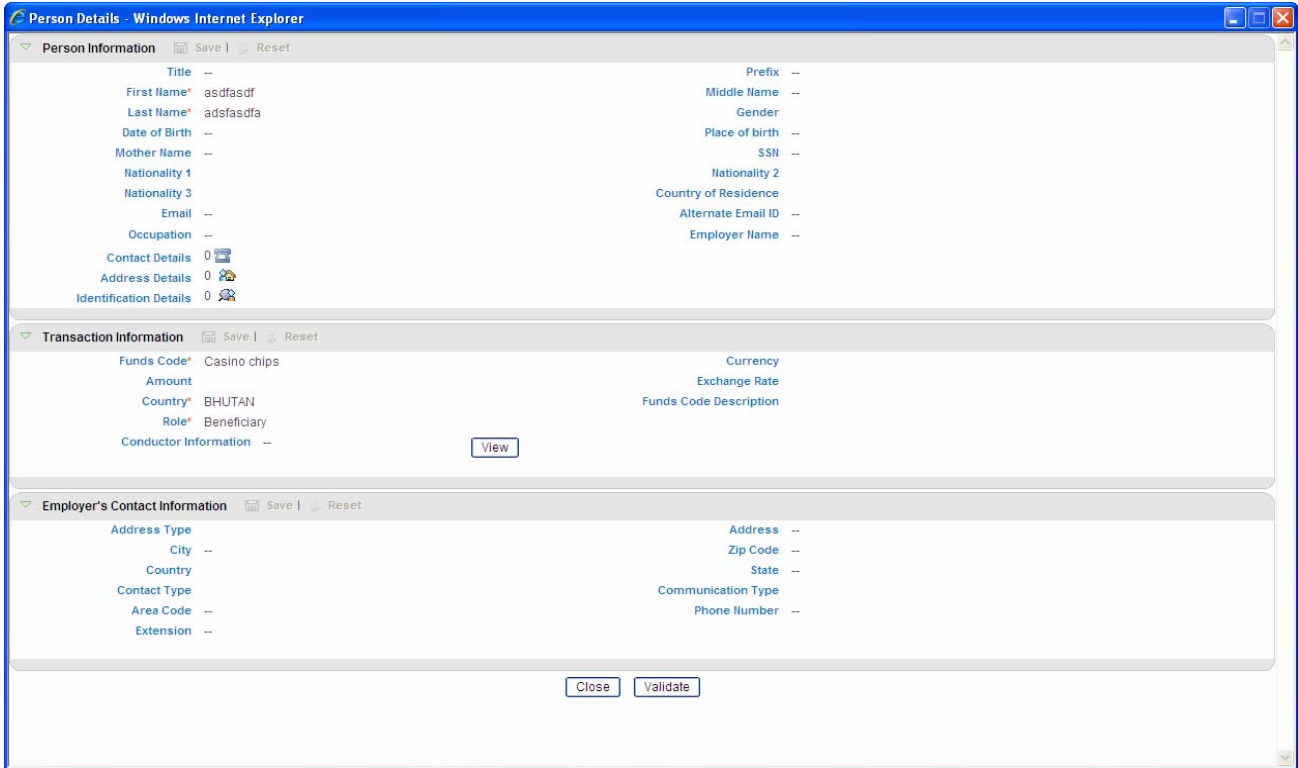


Figure 24. Involved Parties Person Page-View Mode

**Person Information** Save | Reset

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

---

**Transaction Information** Save | Reset

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

---

**Employer's Contact Information** Save | Reset

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

**Figure 25. Involved Parties Person Customer Page-View Mode**

## Account /Account Customer Details Page

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

### Account /Account Customer Details Page- Edit Mode

This page displays the following details:

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

Account Information - Windows Internet Explorer

Account Information Save | Reset

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

---

Transaction Information Save | Reset

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

Update Delete

---

Signatory (0)

Add | Edit | Save | Delete

---

Entity Details Save | Reset

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

---

Entity Director Information (0)

Add | Edit | Delete

Close Validate

Figure 26. Involved Parties Account Page- Edit Mode

Figure 27. Involved Parties Account Customer Page- Edit Mode

### ***Account Information-Edit Mode***

The Account Information container displays the following information:

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

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

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

***Transaction Information-Edit Mode***

The Transaction Information container displays the following information:

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

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

### Signatory

The Signatory Container displays the following information:

- Name
- Is Primary

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

Figure 28. Add Signatory Page - Edit Mode



Figure 29. Signatory Page - View Mode

### Entity Details-Edit Mode

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

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

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

**Entity Director Information-Edit Mode**

The Entity Director Information container displays the following information:

- Entity Name
- Occupation

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

**Figure 30. Add Entity Director Information - Edit Mode**

**Person Information** Save | Reset

Title	xcxcbcxc	Prefix	trhw
First Name*	xcxhc	Middle Name	rwthrgwhrh
Last Name*	xcxhcxx	Gender	F
Date of Birth	--	Place of birth	dfhdfhdf
Mother Name	fhdfhdfh	SSN	kgghk
Nationality 1	ALBANIA	Nationality 2	ALGERIA
Nationality 3	--	Country of Residence	--
Email	cbxcbcxc	Alternate Email ID	--
Occupation	ghjvh	Employer Name	--
Contact Details	0		
Address Details	0		
Identification Details	0		

**Employer's Contact Information** Save | Reset

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

Close Validate

Figure 31. Add Entity Director Information - View Mode

### Account / Account Customer Details Page – View Mode

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

**Transaction Details Tab (Edit Mode)**  
**Chapter 3—Report Summary**

Account Information		Transaction Information	
Institution Name	Institution	Funds code*	Other
Swift	sadsa	Amount	22
Branch	Branch	Country*	UNITED KINGDOM
Currency	Canadian Dollar	Role*	Beneficiary
Iban	Iban	Conductor Information	--
Account Type	Business		
Account Closing Date	08/23/2011		
Account Status	Active		
Comment on Beneficiary	Comment		
Institution Code	--	Currency	Euro
Non Banking Institution	No	Exchange Rate	4111
Account*	Account	Funds Code Description	
Account Name	Name		
Client Number	Client		
Account Opening Date	08/24/2010		
Account Balance	123		
Beneficiary	Beneficiary		

Signatory (1)	
View	
Name	Is Primary
name	

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

Entity Director Information (1)	
View	
Name	Occupation
xcbx	ghjvh

**Figure 32. Involved Parties Account Page - View Mode**

The screenshot displays a web application window titled "Account Information - Windows Internet Explorer". The window is divided into several sections:

- Account Information:**
  - Institution Name: sadsqa; Institution Code: sdqsd
  - Swift: --; Non Banking Institution: --
  - Branch\*: BRANCH-001; Account\*: ACFTNEXTENAC-004
  - Currency\*: United States Dollar; Account Name: DAVID
  - Iban: --; Client Number\*: CUFTNEXTENAC-004
  - Account Type\*: Savings; Account Opening Date\*: 12/31/2008
  - Account Closing Date: --; Account Balance\*: 54121
  - Account Status\*: Active; Beneficiary: --
  - Comment on Beneficiary: --
- Transaction Information:**
  - Funds code\*: Cash; Currency: United States Dollar
  - Amount: 7000; Exchange Rate: 20
  - Country\*: UNITED STATES; Funds Code Description: vdvsdvsd
  - Role\*: Originator
  - Conductor Information: dvdsav dvdsavdsa; View button
- Signatory (1):**
  - View button
  - Table with columns: Name, Is Primary
  - Row:  DAVID, No
- Entity Details:**
  - Name\*: sdsdv; Legal Form: --
  - Entity Registration Number\*: sdgsgsd; Type of Business\*: dgsdgd
  - Company URL Address: --; State\*: sdgsgd
  - Country\*: CANADA; Contact Details: 1
  - AddressDetails: 1
- Entity Director Information (1):**
  - View button
  - Table with columns: Name, Occupation
  - Row:  sdfas, --

Buttons at the bottom: Close, Validate

Figure 33. Involved Parties Account Customer Page - View Mode

## Goods and Services

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

## Goods and Services Information Page - Edit Mode

Goods And Services Save | Reset

Item Type*	Car	Manufacturer	
Previous Owner Name	TTTT	Current Owner Name	
Estimated Value	1111	Status	
Disposed value	2222	Total Area	
Unit Of Measurement	3331	Registration Date	
Registration Number		Identification Number	
Address Type		Address	
City		State	
Country		Zip	
Item Description			
Comments			
Status Description			

Close

**Figure 34. Goods and Services Page - Edit Mode**

Goods and Services Information Page displays the following information:

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

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

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

### Goods and Services Information Page-View Mode

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

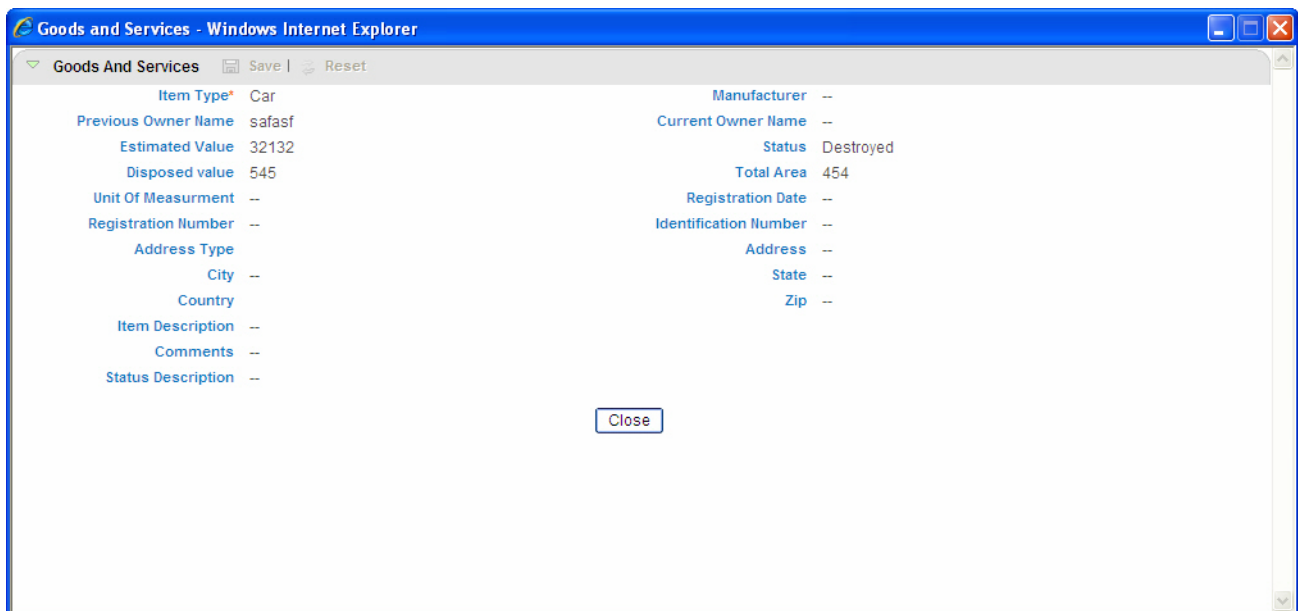


Figure 35. Goods and Services Page-View Mode

## Transaction Details Tab (View Mode)

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

The screenshot shows the Oracle Financial Services Regulatory Reporting interface. At the top, there is a header with the Oracle logo and the text 'Financial Services Regulatory Reporting'. Below this, there is a user welcome message: 'Welcome, RRSSUPER' followed by the date 'Monday, August 29, 2011' and links for 'Home' and 'Logout'. The main navigation bar includes 'User Administration' and 'Regulatory Reports - NGSTR'. The breadcrumb trail shows 'Home >> Report Details'. There are options to 'Add Comments' and 'Search'. The 'Report Details' section is expanded, showing 'Report Context' with fields for Report Name, Alert/Case ID, Report Status, Report Type, Created Date, Created By, Jurisdiction, Last Modified Date, Last Modified By, Report Generated Date, and Report Generated By. Below this, there are tabs for 'Reporting Entity Information', 'Transaction Details', 'Narrative', and 'Audit'. The 'Transaction Details' tab is selected, showing a table of transactions with columns for Transaction Number, Transaction date, Transaction Method, Amount, and Value Date. Two transactions are listed: one with Transaction Number FOTR\NFTNEX\TAC-014 and another with FOTR\NFTNEX\TAC-018. Below the table, there is a 'Transaction Details' section for the selected transaction, showing fields for Transaction Number, Transaction Date, Authorized By, Late Deposit, Transaction Method, Amount, Internal Reference Number, Teller, Value date, Date of Posting, and Transaction Method Description. Below this, there are sections for 'Involved Parties (2)' and 'Goods and Services (1)', each with a 'View' link and a table of details.

Figure 36. Transaction Details Tab - View Mode

## Narrative

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



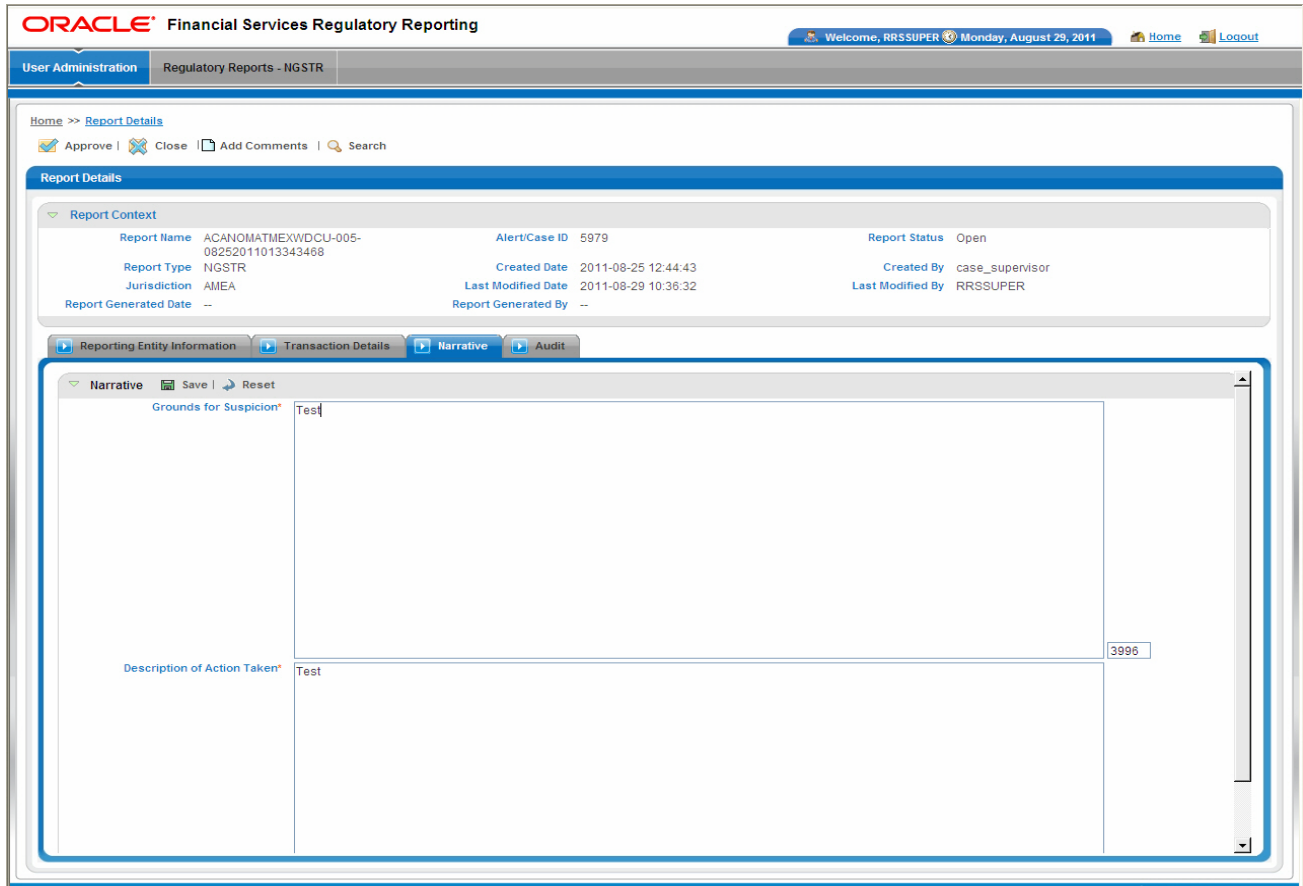


Figure 37. Narrative Tab - Edit Mode

## Narrative – Edit Mode

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

- Grounds for Suspicion
- Description of Action Taken

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

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

## Narrative –View Mode

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

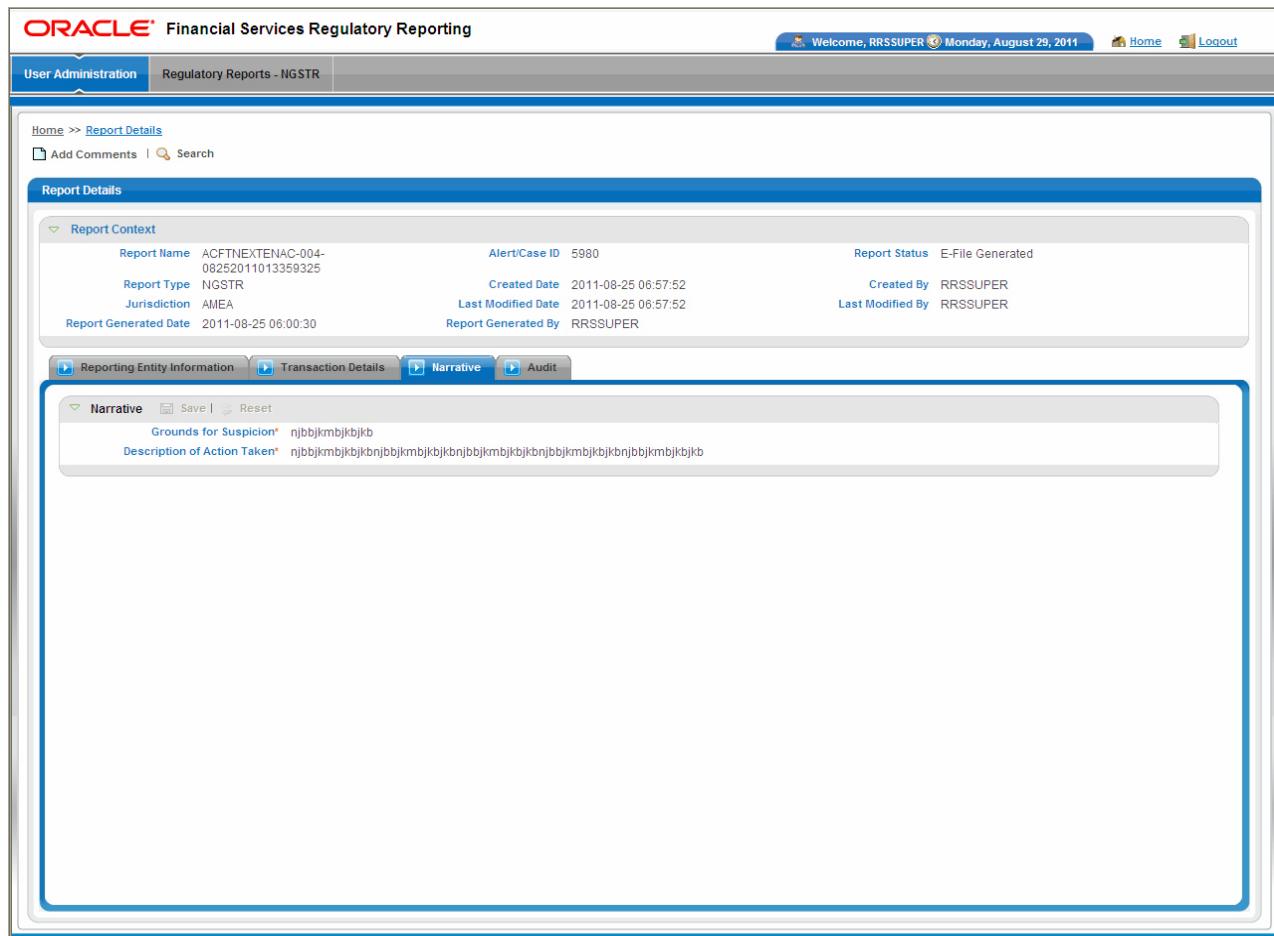


Figure 38. Narrative Tab - View Mode

## Audit

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

The screenshot shows the Oracle Financial Services Regulatory Reporting interface. The top navigation bar includes 'User Administration' and 'Regulatory Reports - NGSTR'. The main content area is titled 'Report Details' and contains a 'Report Context' section with the following information:

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

Below the report context, there are tabs for 'Reporting Entity Information', 'Transaction Details', 'Narrative', and 'Audit'. The 'Audit' tab is active, showing two tables:

**Regulatory Report Actions (5)**

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

**Regulatory Report Comments (1)**

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

Figure 39. Audit Tab

### Regulatory Report Actions

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

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

## **Regulatory Report Comments**

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

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

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

This chapter covers the following topics:

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

## ***Approved Reports***

The Approved Reports page displays the following information:

- Approved Report Search
- Approved Report List

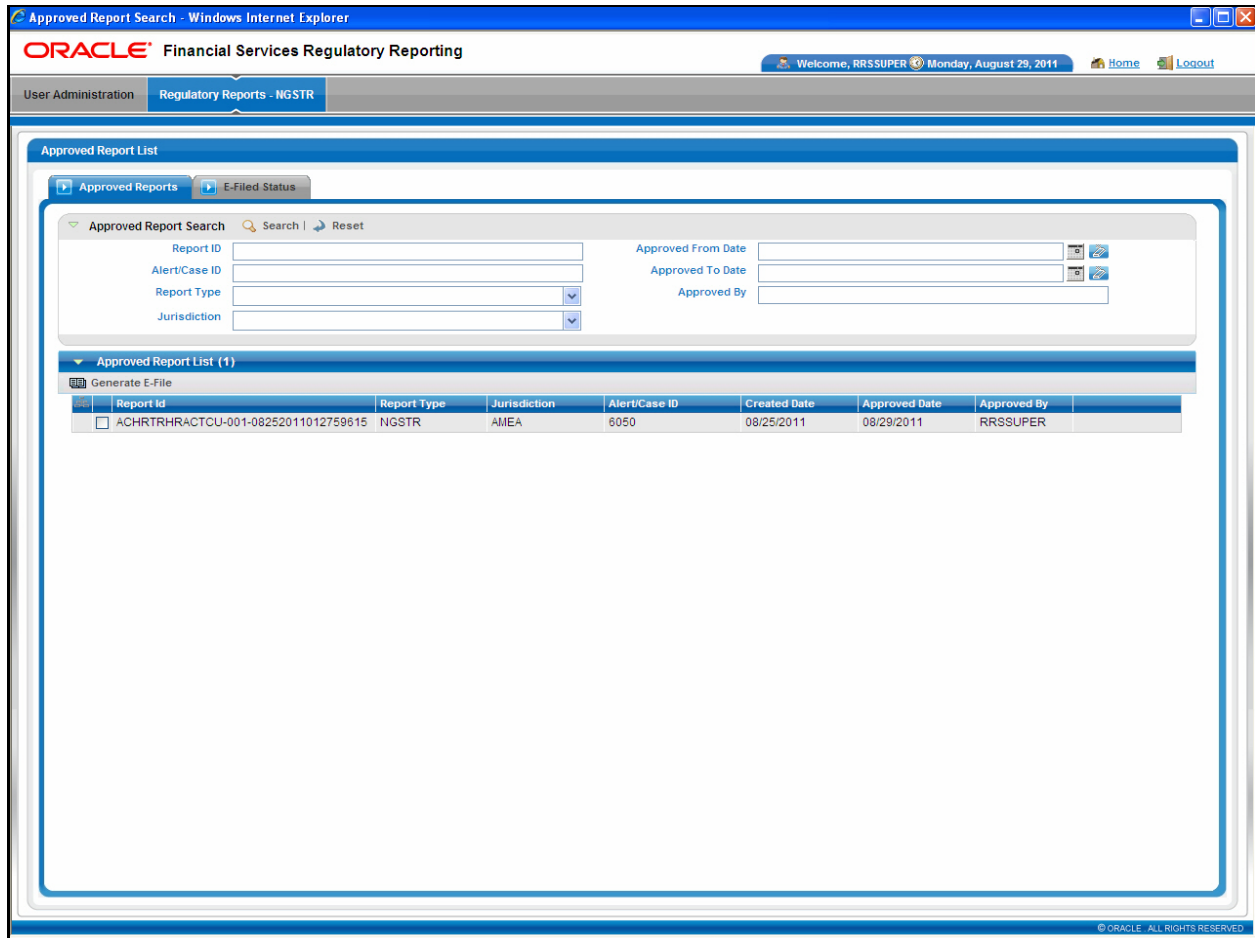


Figure 40. Approved Reports Page

## Approved Report Search

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

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

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

## Approved Report List

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

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

## *E-File Generation*

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

### Generate E-File

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

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

## *E-Filed Status Tab*

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

- E-File Search
- E-File List

- E-File Details

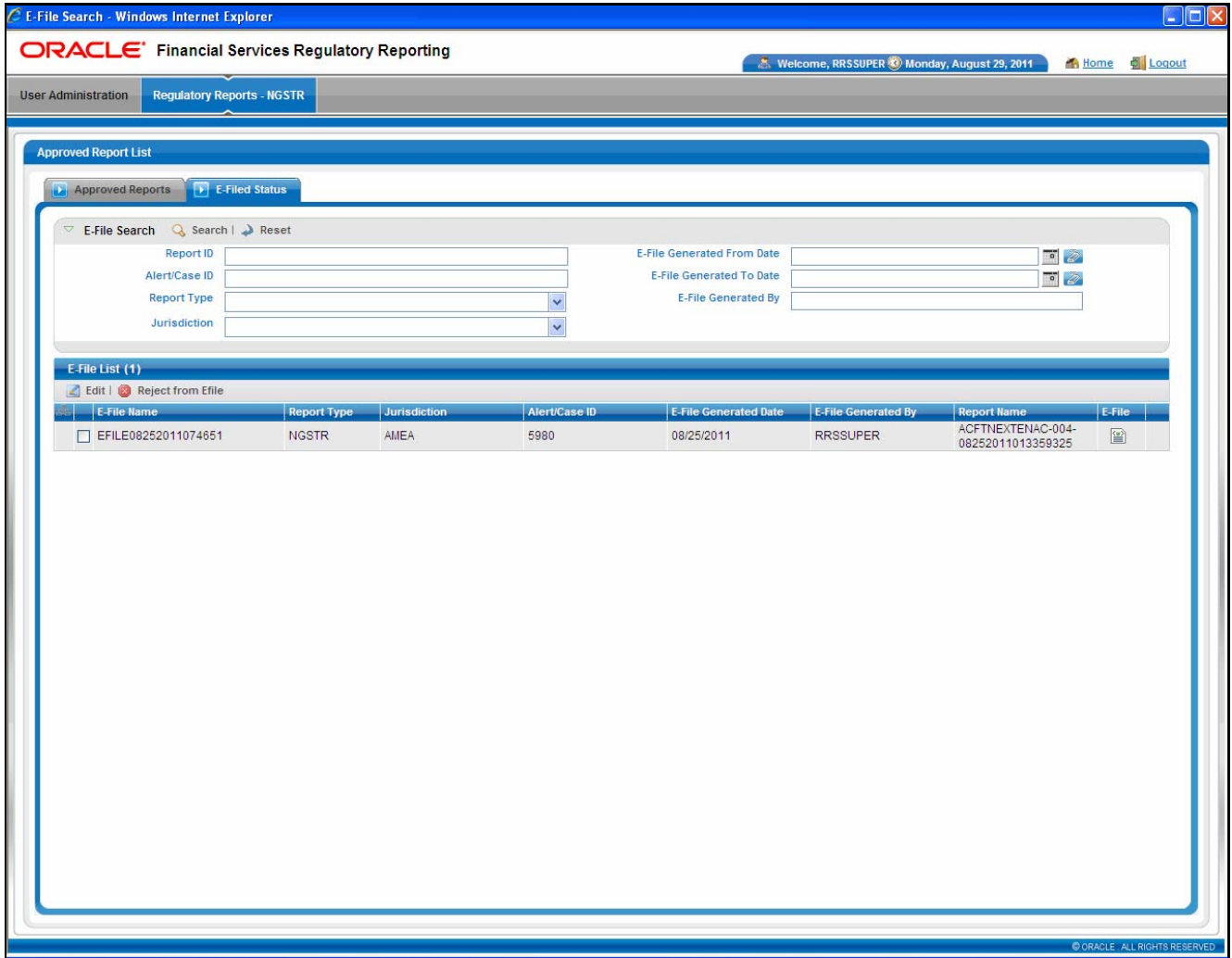


Figure 41. E-file Status Tab



## E-File Search

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

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

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

## E-File List

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

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

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

## E-File Details

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

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

The screenshot shows the Oracle Financial Services Regulatory Reporting interface. The top navigation bar includes the Oracle logo, the title "Financial Services Regulatory Reporting", and user information: "Welcome, RRSSUPER", "Monday, August 29, 2011", and links for "Home" and "Logout". Below the navigation bar, there are tabs for "User Administration" and "Regulatory Reports - NGSTR". The main content area is titled "Approved Report List" and contains two sub-sections: "Approved Reports" and "E-Filed Status". The "E-Filed Status" section is active and displays an "E-File Search" form with fields for Report ID, Alert/Case ID, Report Type, and Jurisdiction. Below the search form is an "E-File List (1)" table with columns: E-File Name, Report Type, Jurisdiction, Alert/Case ID, E-File Generated Date, E-File Generated By, Report Name, and E-File. The table contains one entry: EFILE08252011074651, NGSTR, AMEA, 5980, 08/25/2011, RRSSUPER, ACFTNEXTENAC-004-08252011013359325. Below the table is an "E-File Details" form with fields for Filed Date\* (08/29/2011), Filed By\* (Supervisor), Comments\* (Ready fro filing), and Filing Conf Num (14). The interface also includes "Save" and "Reset" buttons and a "Reject from Efile" option.

Figure 42. E-File Details

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

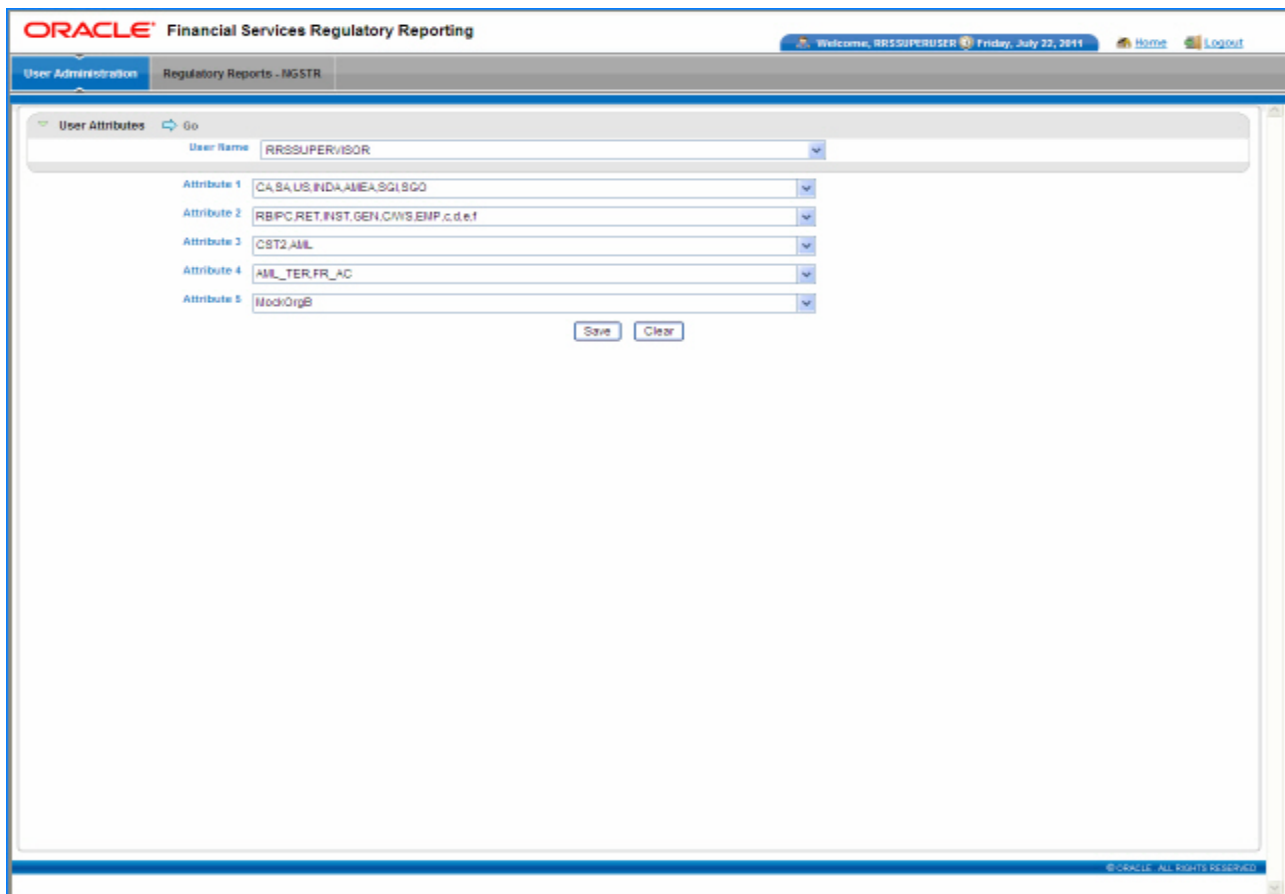
This section shows how to map and maintain the security attributes for each user role (Figure 43). This chapter discussed the following topics:

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

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

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

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



The screenshot displays the Oracle Financial Services Regulatory Reporting application interface. The top navigation bar includes the Oracle logo, the application title "Financial Services Regulatory Reporting", and user information: "Welcome, RRSSUPERVISOR Friday, July 22, 2011". Below the navigation bar, the "User Administration" tab is active, and the "Regulatory Reports - NGSTR" sub-tab is selected. The main content area is titled "User Attributes" and features a "Go" button. A dropdown menu for "User Name" is set to "RRSSUPERVISOR". Below this, five "Attribute" fields are listed, each with a dropdown menu:

Attribute	Value
Attribute 1	CA,SA,US,INDA,AMEA,SGLBGO
Attribute 2	RBFC,RET,INST,GEN,CWIS,EMP,c,d,e,f
Attribute 3	CST2,AML
Attribute 4	AML_TER,FR_AC
Attribute 5	ModOrgB

At the bottom of the form, there are "Save" and "Clear" buttons. The footer of the page contains the text "© ORACLE. ALL RIGHTS RESERVED".

Figure 43. User Attributes

## ***View Security Attribute Mapping***

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

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

## ***Add Security Attribute Mapping***

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

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

## ***Delete Security Attribute Mapping***

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

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

## ***Clear Security Attribute Mapping***

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

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



