Oracle Financial Services
Regulatory Reporting
User Guide SG STR

Release 2.4
October 2013

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User Guide SG STR

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October 2013

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About This Guide

SG STR – Singapore Suspicious Transaction Report.

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 in this Guide
- 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 in this Guide

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 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 SG STR, Release 2.4 is designed for use by a variety of Oracle Financial Services users. Their roles and responsibilities, as they operate within the RR application, include the following:

- **Analyst:** This user is responsible for updating the data related to the report through UI screens and adding comments to the report. This user should send each report 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 adding comments to the report. This user should verify all the details of the report before action is taken which files the report with the Regulatory Authorities.
- **Admin User**: This user is responsible for assigning the user roles and privileges.
- **Super User**: This user is responsible for updating the data related to the report through UI screens, approving and closing reports, generating reports, filing the reports from the list of approved reports, and adding comments.
- **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 the Oracle Financial Services Regulatory Reporting User Guide is to define how users can view, edit, and generate report data, and how 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 RR application is organized and how the application uses the data entered to generate the Excel report defined by the regulatory body.

How this Guide is Organized

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

- Chapter 1, *About Regulatory Reporting,* describes the default page setting and Regulatory Report workflow in RR login process.
- Chapter 2, *Singapore 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, *User Attributes,* describes how to map and maintain the security attributes for each user in RR.

Where to Find More Information

For additional information about the RR application, refer to the following documents:

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

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

CHAPTER 1

About Regulatory Reporting

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

- Introduction of Regulatory Reporting
- About RR Login
- Regulatory Report Workflow
- User Access

When the RR user selects recommend SG STR action on an Alert or Case from the Oracle Financial Services User Interface (UI), the data is passed to RR through the web service and a report is opened in the RR application. Once the report is opened in the RR, the same details are updated within Oracle Financial Services.

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 to be filed
- Reject the report for rework
- Close the report
- Take no further action
- User Access

Note: Every action taken on a report is recorded in the Audit Tab of the Regulatory Report Actions. Please refer to the section Audit, for more information.

Introduction of Regulatory Reporting

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

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.

Regulatory Reporting (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.

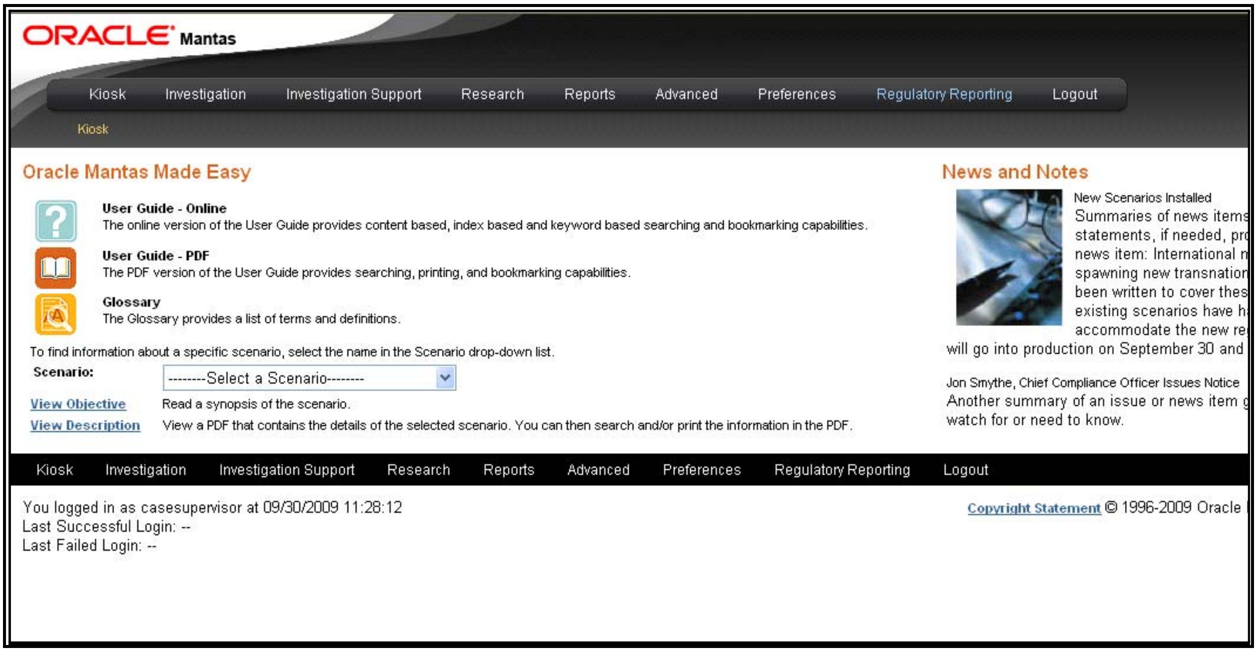
RR is integrated with the Oracle Financial Services Behavior Detection application to allow users to generate reports automatically populated with information relevant to an investigation for any report filed.

About RR Login

The RR User Interface (UI) enables you to view and edit the report information, generate the PDF for the report and generate an electronic file (E-File), which is filed with the Regulatory Authorities.

In the Oracle Financial Services Behavior Detection UI, the Regulatory Reporting link is enabled for users who have access to the RR application. Simply click the Regulatory Reporting link to open the RR login page in a pop-up window. This allows you to log into the RR application (Figure 2).

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



Oracle Mantas Made Easy

User Guide - Online
The online version of the User Guide provides content based, index based and keyword based searching and bookmarking capabilities.

User Guide - PDF
The PDF version of the User Guide provides searching, printing, and bookmarking capabilities.

Glossary
The Glossary provides a list of terms and definitions.

To find information about a specific scenario, select the name in the Scenario drop-down list.

Scenario: --------Select a Scenario--------

View Objective: Read a synopsis of the scenario.

View Description: View a PDF that contains the details of the selected scenario. You can then search and/or print the information in the PDF.

News and Notes

New Scenarios Installed
Summaries of news items
statements, if needed, pr
news item: International
spawning new transnation
been written to cover thes
existing scenarios have h
accommodate the new re
will go into production on September 30 and

Jon Smythe, Chief Compliance Officer Issues Notice
Another summary of an issue or news item
watch for or need to know.

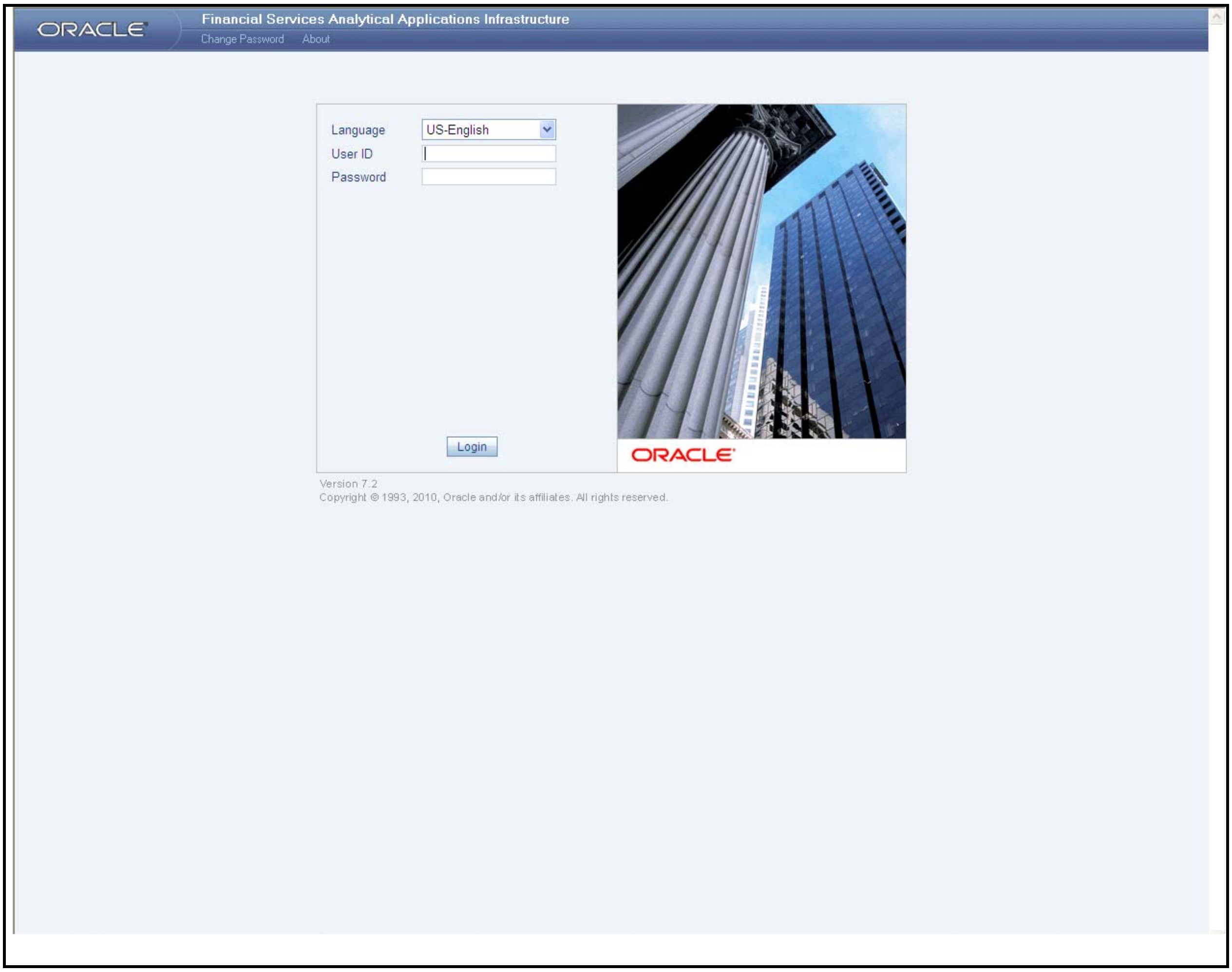
You logged in as casesupervisor at 09/30/2009 11:28:12
Last Successful Login: --
Last Failed Login: --

Copyright Statement © 1996-2009 Oracle

Figure 1. Oracle Financial Services UI

Click the **Regulatory Reporting** link in the Oracle Financial Services Behavior Detection UI page to open the Oracle Financial Services RR login page in a pop-up window. This allows you to log into the RR application (Figure 2). For information about changing your password, refer to the *Oracle Financial Services Regulatory Reporting Administration Guide SGSTR*.

.


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

Language: US-English

Version 7.2

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Figure 2. RR Application Login

To log into the RR Application, follow these steps:

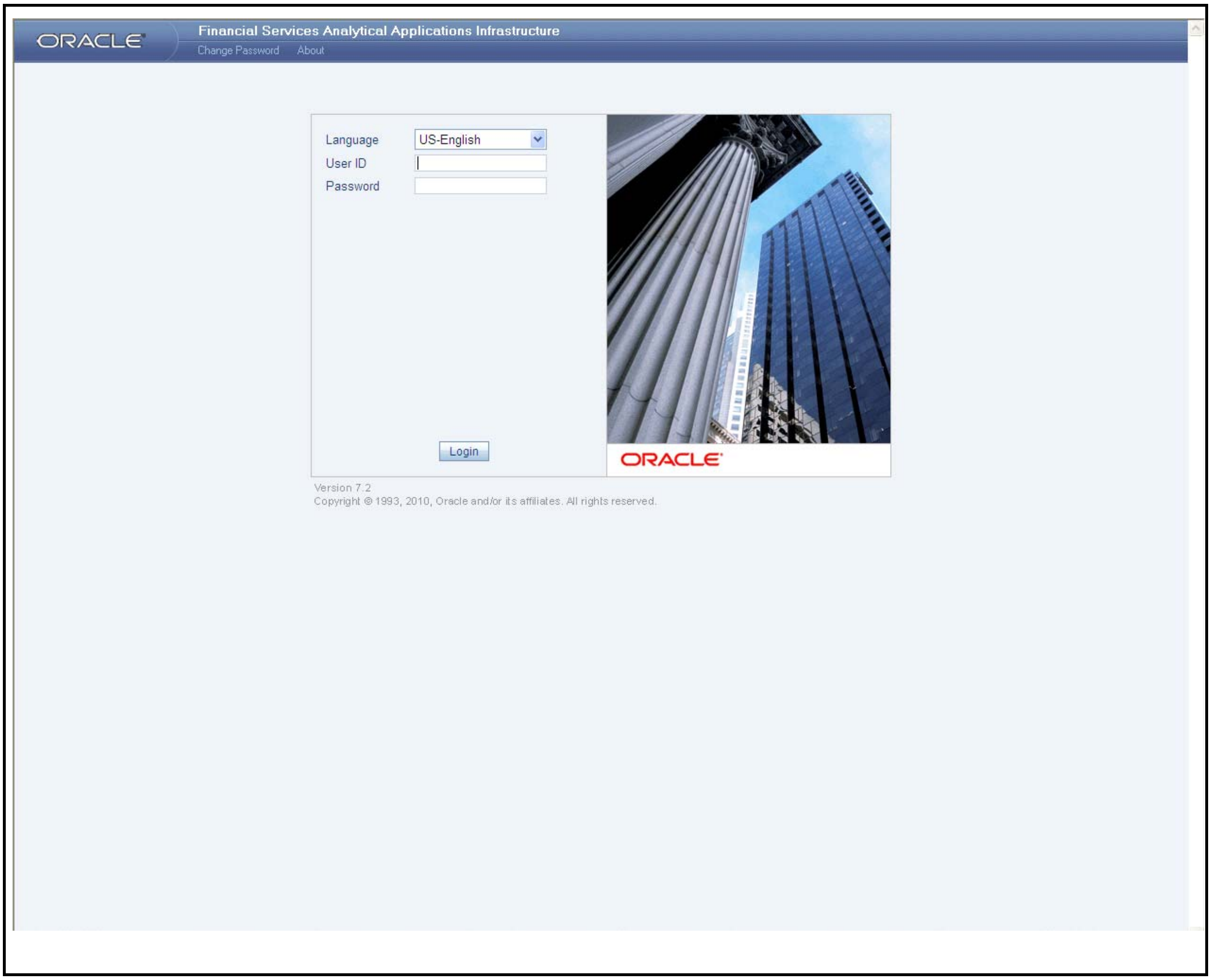
1. Select the **Language** for the application.
2. Enter your **User ID**.
3. Enter your **Password**.
4. Click **Login**.

The System Administrator user can see all links on the Application menu, other users can see only the Regulatory Reporting link. Users will see the links as per their roles and privileges.

Figure 3 and Figure 4 shows the Home Page for various users.

Select the information domain to see the data required, then click the Regulatory Reporting link which takes you to the application page (Figure 5).

.


ORACLE
Financial Services Analytical Applications Infrastructure
Change Password
About

Language US-English
User ID
Password

Login
ORACLE

Version 7.2
Copyright © 1993, 2010, Oracle and/or its affiliates. All rights reserved.

Figure 3. Home Page for all the Roles (except for the RR System Administrator)

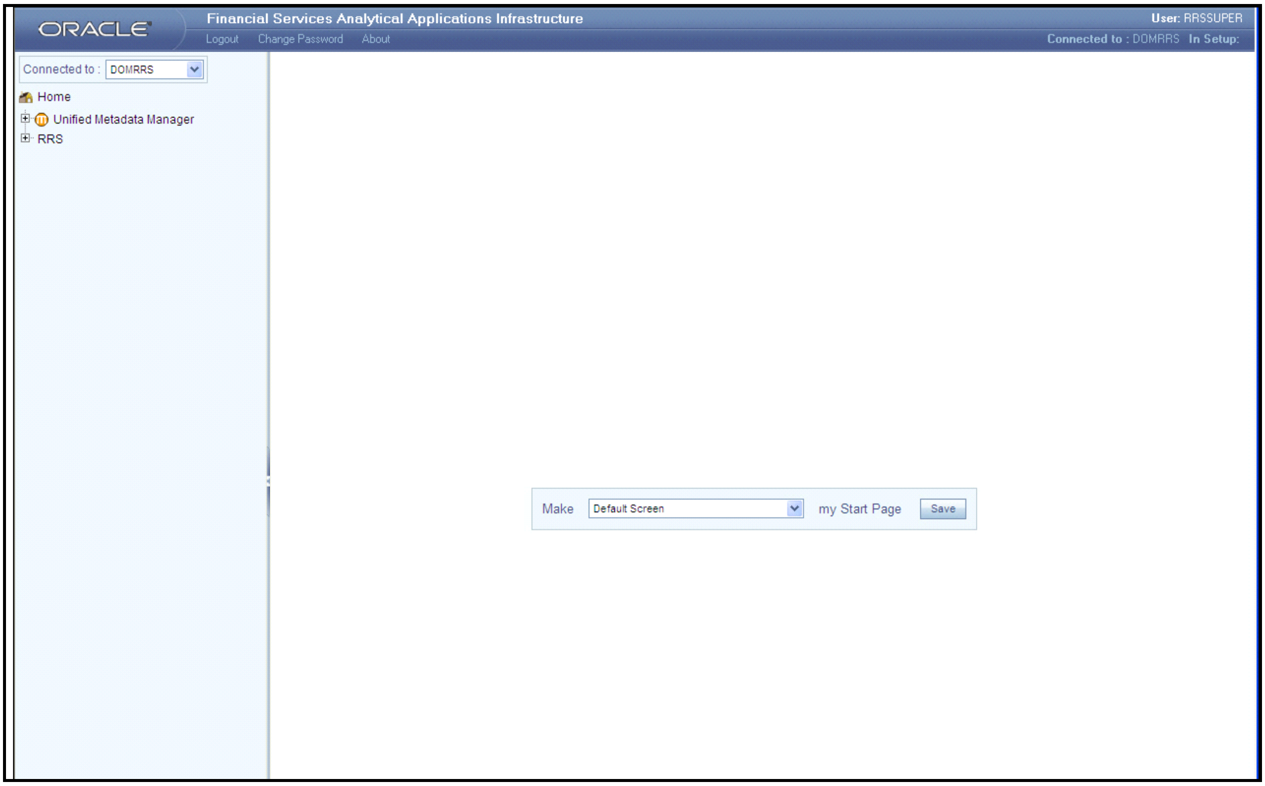

ORACLE
Financial Services Analytical Applications Infrastructure
User: RRSSUPER
Logout
Change Password
About
Connected to : DOMRRS
In Setup:
Connected to : DOMRRS
Home
Unified Metadata Manager
RRS
Make
Default Screen
my Start Page
Save

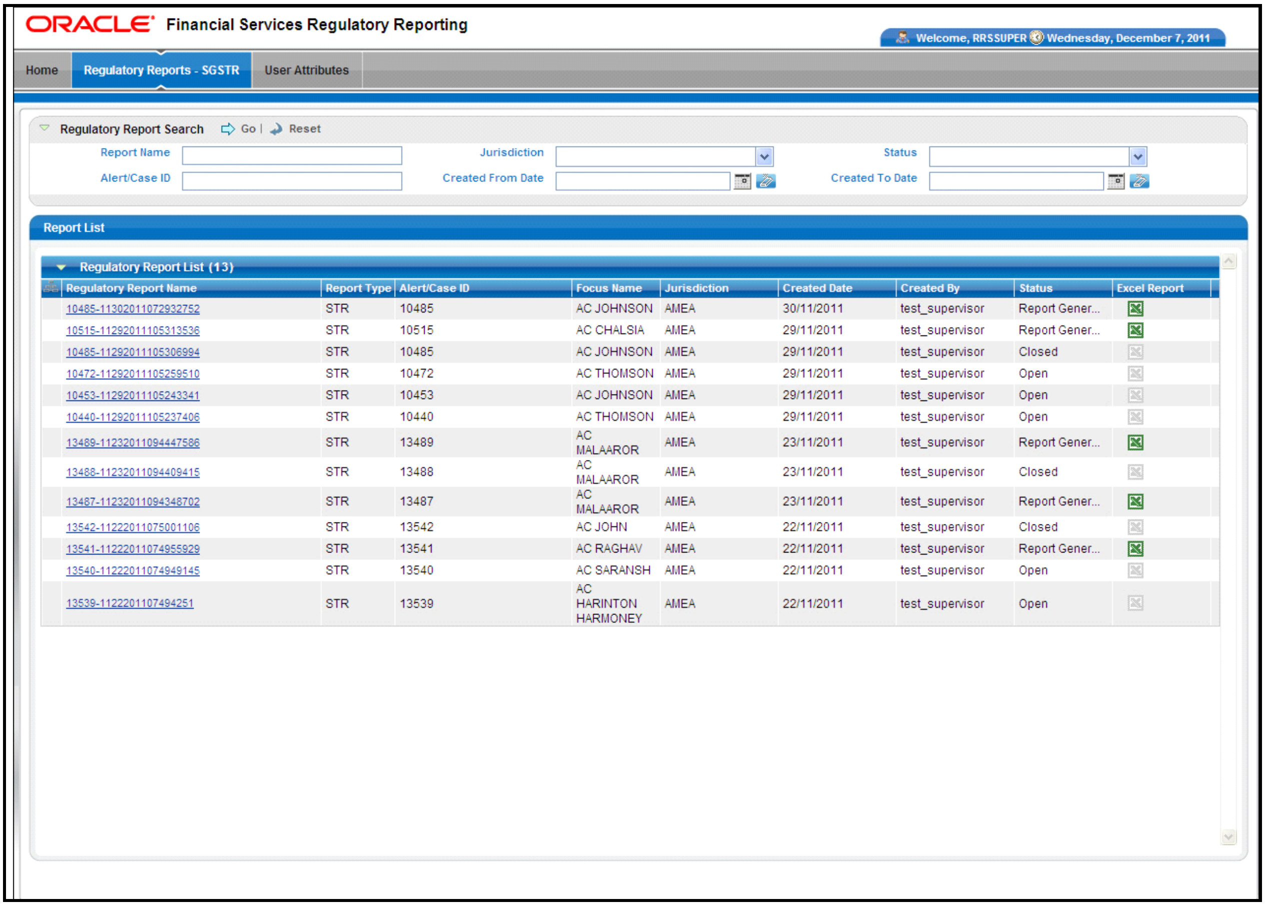
Figure 4. Home Page for the RR System Administrator Role

Setting the Default Page

From the **Make my Start Page**, select **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 5).


ORACLE
Financial Services Regulatory Reporting
Welcome, RRSSUPER
Wednesday, December 7, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Regulatory Report Search
Go
Reset
Report Name
Jurisdiction
Status
Alert/Case ID
Created From Date
Created To Date
Report List
Regulatory Report List (13)

Regulatory Report Name	Report Type	Alert/Case ID	Focus Name	Jurisdiction	Created Date	Created By	Status	Excel Report
10485-11302011072932752	STR	10485	AC JOHNSON	AMEA	30/11/2011	test_supervisor	Report Gener...	
10515-11292011105313536	STR	10515	AC CHALSIA	AMEA	29/11/2011	test_supervisor	Report Gener...	
10485-11292011105306994	STR	10485	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Closed	
10472-11292011105259510	STR	10472	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	
10453-11292011105243341	STR	10453	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Open	
10440-11292011105237406	STR	10440	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	
13489-11232011094447586	STR	13489	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Report Gener...	
13488-11232011094409415	STR	13488	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Closed	
13487-11232011094348702	STR	13487	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Report Gener...	
13542-11222011075001106	STR	13542	AC JOHN	AMEA	22/11/2011	test_supervisor	Closed	
13541-11222011074955929	STR	13541	AC RAGHAV	AMEA	22/11/2011	test_supervisor	Report Gener...	
13540-11222011074949145	STR	13540	AC SARANSH	AMEA	22/11/2011	test_supervisor	Open	
13539-1122201107494251	STR	13539	AC HARINTON HARMONEY	AMEA	22/11/2011	test_supervisor	Open	

Figure 5. RR Application Page

Regulatory Report Workflow

The life cycle/stages of the regulatory report are described in the workflow diagram (Figure 6). The report can be in any of the following statuses at any point..

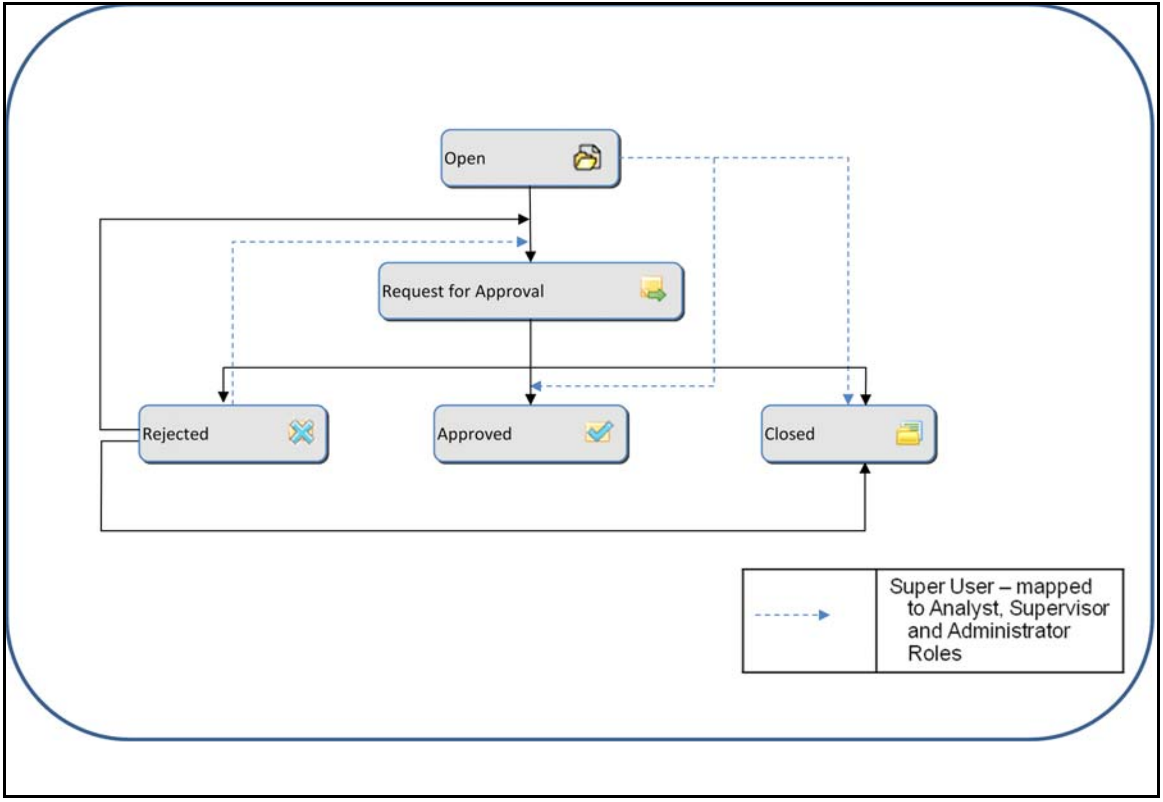

Open
Request for Approval
Rejected
Approved
Closed
Super User – mapped to Analyst, Supervisor and Administrator Roles

Figure 6. Regulatory Reporting Workflow

When the Oracle Financial Services RR user selects recommend SG STR action on an Alert or Case from the Oracle Financial Services Behavior Detection User Interface (UI), the data is passed to RR through the web service and a report is opened in the RR. Once the report is opened in the RR, the same details are updated within Oracle Financial Services Behavior Detection application.

The user 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 to be filed
- 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.

For more information on audit, refer to the section *Audit*, on page 42.

User Access

The following user roles are defined in the Oracle Financial Services RR:

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

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**	**Admin**	**Super USer**
Show Regulatory Reports Menu	X	X	X	X
View RR	X	X	X	X
Edit RR	X			X
Action RR (Request for Approval/Reject/Approve / Close)	X	X		X
Add RR Comments	X	XX	X	X
Generate Draft Report	X	X	X	X
View Final Report	X	X	X	X
Edit User Security Attributes			X	X

CHAPTER 2

Singapore STR

This chapter explains how to view, edit, and generate excel 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, which are visible based on the roles and privileges enabled for each user. The menu includes links for Regulatory Reports and User Attributes.

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. View Report Summary details by clicking a report.

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

- Report Name
- Alert ID/Case ID
- Jurisdiction
- Status
- Created From Date
- Created To Date

Icons Used

Table 3 details the icons used in the application.

Table 3. RR Icons

Icon Used	Convention Used	Description
🔍	Search	Displays Search Results for the selected search criteria.
🔄	Clear and Refresh	Clears the selections and values entered in the container and refreshes the screen to show previous values.
⌄	Drop Down List	Displays the possible values that can be selected for the field.

Table 3. RR Icons

📅	Calendar	Opens the calendar to select the date.
✎	Clear	Clears a selection made on the calendar or the Hierarchy Browser.
X	Excel	Opens the Excel file generated for the report. This can also be saved to a local area.
✎	Edit	Opens the report in the Edit mode, if the report is not locked by another user.
⊞	Add	Adds a new entry with respect to the context.
[X]	Close	Closes the container after user confirmation.
💾	Save	Saves any changes made, after successful validation of the fields.
⊗	Delete	Deletes the selected records after user confirmation.
Draft Report	Draft Report	Opens the Draft Excel report for the report being viewed. The Draft Report button will be enabled only when the report status is in Open, Request for Approval and Closed
Close	Close	Closes the report after successful validation for unsaved data.
Logout	Logout	Allows the user to log out of the application.
🔍	Details	Displays details for the selected report.

Regulatory Reports- User Interface

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

- Regulatory Report Name
- Alert ID/Case ID
- Report Type
- Jurisdiction
- Focus Name
- Created Date
- Created By
- Status
- Excel Report

Users are permitted to take action on reports, which are not locked by another user. 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. It is 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 criteria:

- Report Name
- Alert/Case ID
- Status
- Jurisdiction
- Created From Date
- Created To Date

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

Regulatory Report List

View the report details by double clicking the required report. If the report is already opened by another user, the system displays the message "*Report is locked by another user*".

View/Edit Reports

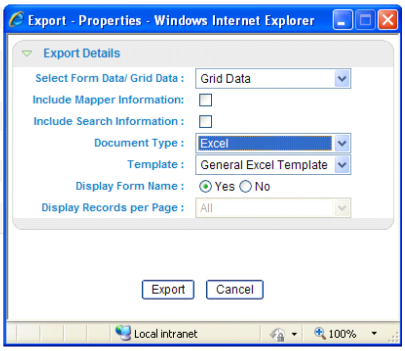
View and edit the report details by clicking the report name. If the report is already opened by another user, the system displays the message "Report is locked by another user." After confirmation from the logged in user, the report details are displayed in the View mode. The report opens in View or Edit mode based on the roles and privileges of the user who logged in and the report status.

Export to Excel

Click **Export to Excel** icon present on the Regulatory Report List grid header to export all reports in the Regulatory Report List to a new excel spreadsheet. A new prompt on the screen (Figure 8) displays. Make your selection as mentioned below..

- Select Grid Data
- Document Type as Excel
- Display From Name as Yes

Click on **Export** button. All the data under Regulatory Report List is populated in a new Excel spread sheet.

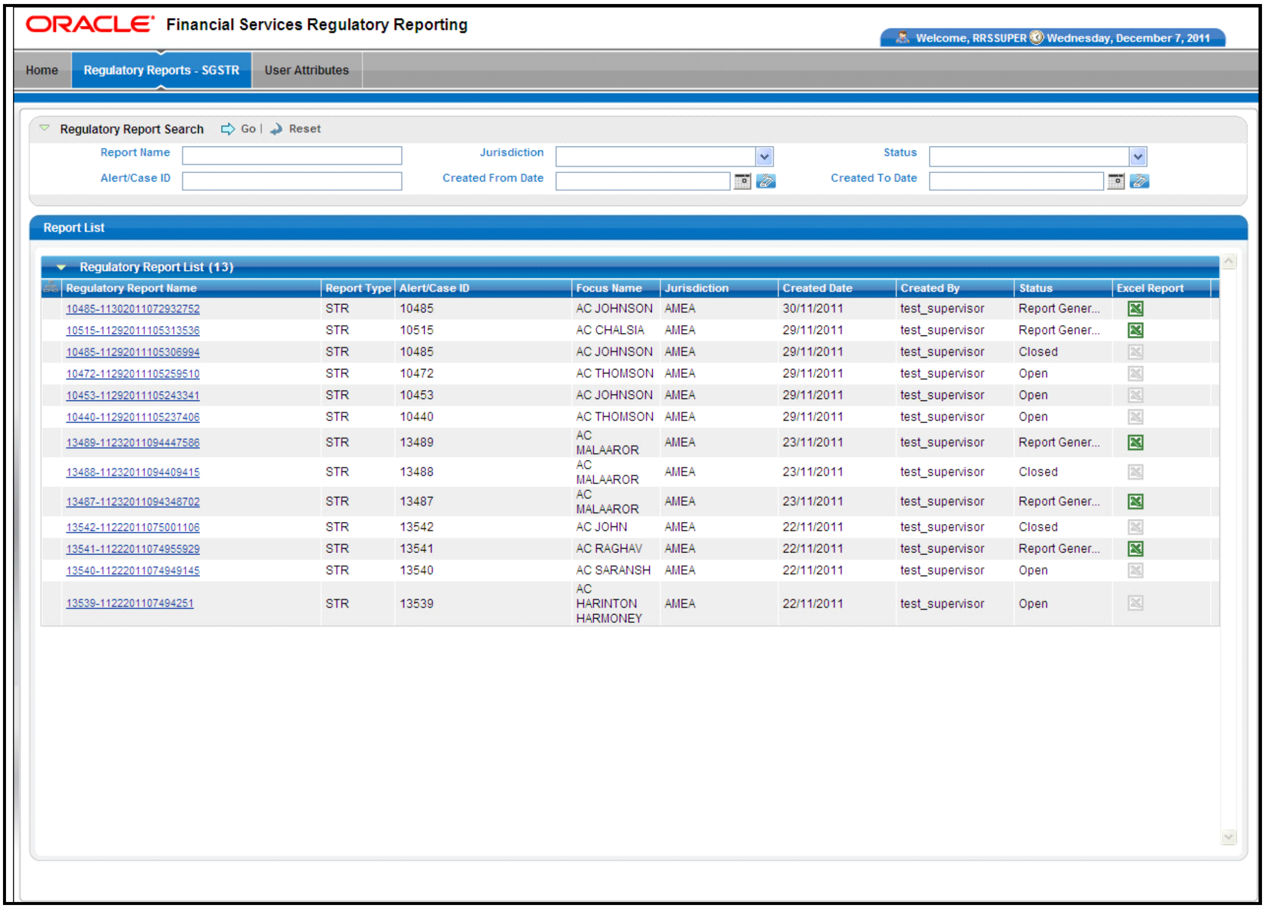

Export - Properties - Windows Internet Explorer
Export Details
Export
Cancel
Local intranet
100%

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

Figure 7. Export Properties Dialog Box

View Excel Report

View the Excel file generated for each report by selecting this icon. The pop–up window prompts you to either open the file or save the file in a local area. The Excel attachment icon will be enabled only for a report in Approved status.


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER
Wednesday, December 7, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Regulatory Report Search
Go
Reset
Report List

Report Name
Jurisdiction
Status
Alert/Case ID
Created From Date
Created To Date

Regulatory Report List (13)

Regulatory Report Name	Report Type	Alert/Case ID	Focus Name	Jurisdiction	Created Date	Created By	Status	Excel Report
10485-11302011072932752	STR	10485	AC JOHNSON	AMEA	30/11/2011	test_supervisor	Report Gener...	🟩
10515-11292011105313536	STR	10515	AC CHALSIA	AMEA	29/11/2011	test_supervisor	Report Gener...	🟩
10485-11292011105306994	STR	10485	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Closed	⬜
10472-11292011105259510	STR	10472	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	⬜
10453-11292011105243341	STR	10453	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Open	⬜
10440-11292011105237406	STR	10440	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	⬜
13489-11232011094447586	STR	13489	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Report Gener...	🟩
13488-11232011094409415	STR	13488	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Closed	⬜
13487-11232011094348702	STR	13487	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Report Gener...	🟩
13542-11222011075001106	STR	13542	AC JOHN	AMEA	22/11/2011	test_supervisor	Closed	⬜
13541-11222011074955929	STR	13541	AC RAGHAV	AMEA	22/11/2011	test_supervisor	Report Gener...	🟩
13540-11222011074949145	STR	13540	AC SARANSH	AMEA	22/11/2011	test_supervisor	Open	⬜
13539-1122201107494251	STR	13539	AC HARINTON HARMONEY	AMEA	22/11/2011	test_supervisor	Open	⬜

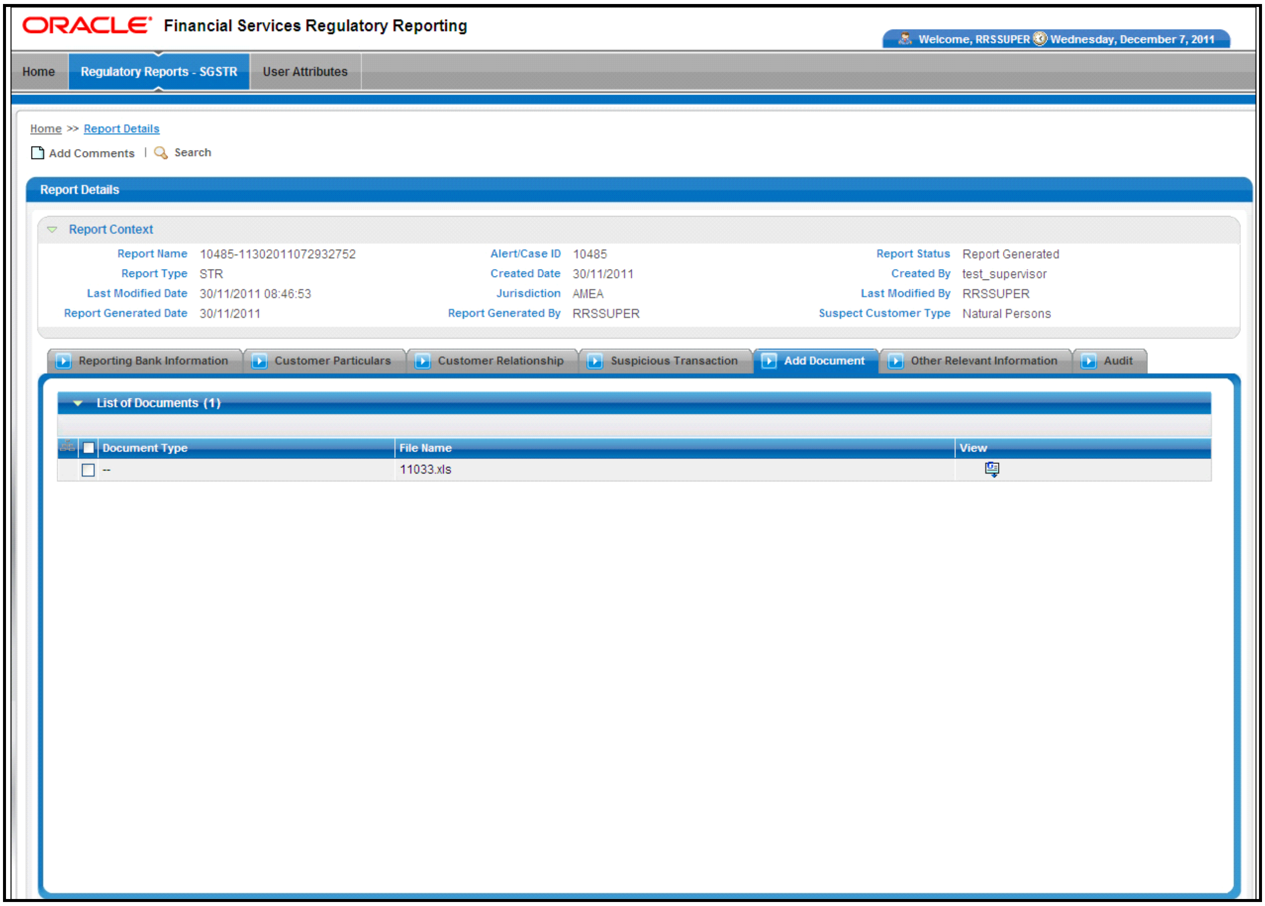
Figure 8. Regulatory report Search and List

CHAPTER 3 Report Summary

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

- When accessing the report in View mode, the List of Documents grid displays, but not the Attach Document container. The attached documents can be viewed by clicking View.About the Report Summary Page
- Action Bar
- Report Context
- Reporting Bank Information
- Customer Particulars
- Customer Relationship Information
- Suspicious Transaction Information
- Adding Document
- Other Relevant Information
- Audit

Note: When accessing the report in View mode, the List of Documents grid displays, but not the Attach Document container. The attached documents can be viewed by clicking View.


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Wednesday, December 7, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Add Comments | Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
List of Documents (1)

Report Name 10485-11302011072932752
Alert/Case ID 10485
Report Status Report Generated
Report Type STR
Created Date 30/11/2011
Created By test_supervisor
Last Modified Date 30/11/2011 08:46:53
Jurisdiction AMEA
Last Modified By RRSSUPER
Report Generated Date 30/11/2011
Report Generated By RRSSUPER
Suspect Customer Type Natural Persons

☐	Document Type	File Name	View
☐	--	11033.xls	

Figure 9. Add Document – View Mode

About the Report Summary Page

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

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

- **Actions bar** displays the various action that can be taken on the report. This list of action buttons is updated based on the logged in user and the report status.
- **Report Context** displays information about the report, such as which alert the report is being created for, the report status, and which user who has modified the information.
- **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

The report has a life cycle which begins with the Open status and ends when it is Closed. The reports that are required to file with the Regulatory Authority have the final status of Filed.

Open the report in the Edit mode. After editing the information, click **Save** or **Reset**.

The Report tab information is populated with the information passed from Oracle Financial Services Alert and Case Investigation Solution to RR.

Action Bar

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

Table 4. Action Bar

Action	Report Status	User	Description
Request for Approval	Open/Rejected	Analyst	This action is taken once the report details have been updated and it is sent for approval.
Approve	Request for Approval/ Open	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines it is ready to be filed.

Table 4. Action Bar

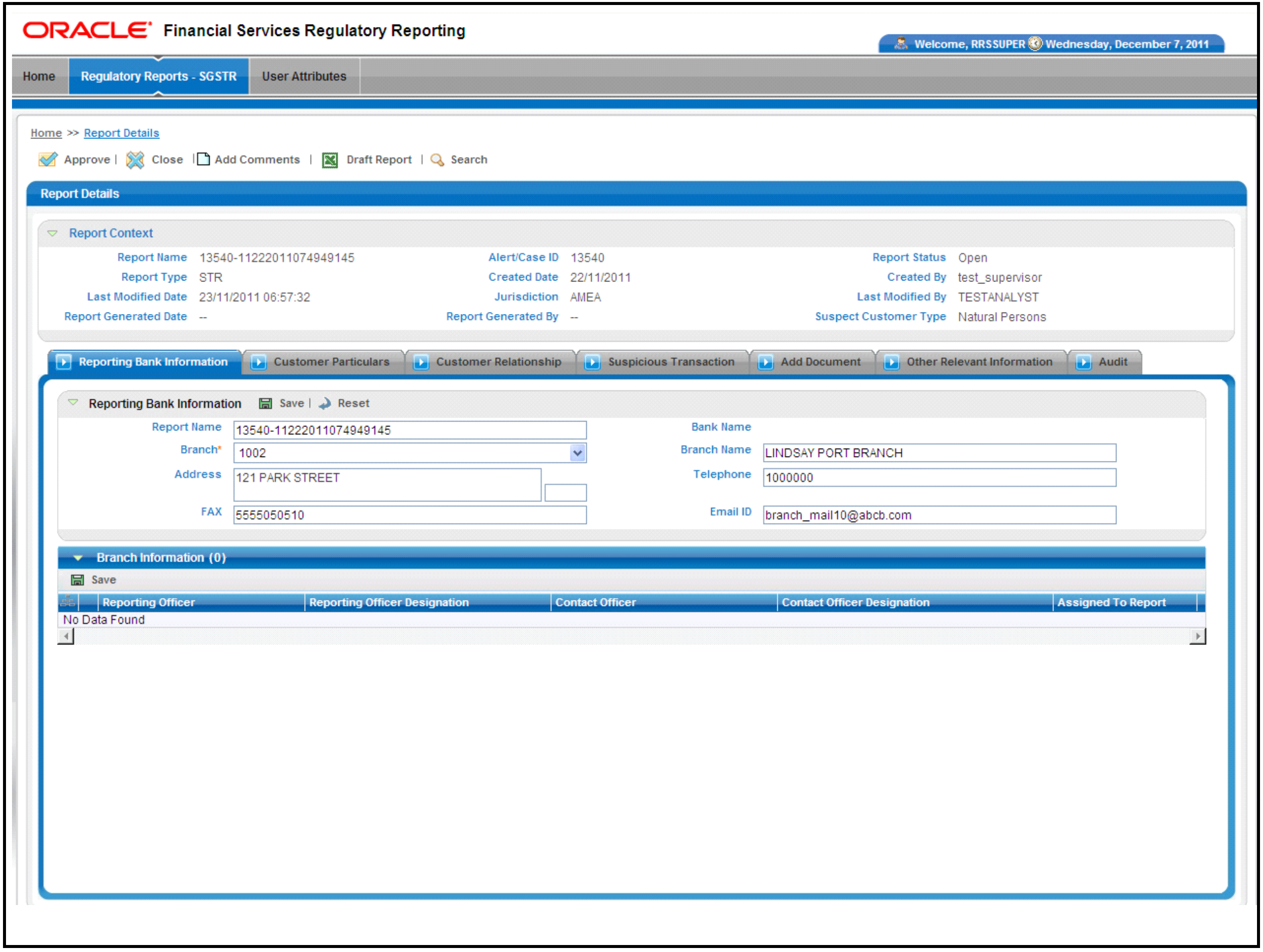
Close	Open/Request for Approval/Rejected	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines it need not be filed.
Reject	Request for Approval/Approved	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines that further corrections are required.
Add Comments	--	All Users	This action allows users to add comments to the report details to assist with the investigations.
Draft Report	Open/Request for Approval/Rejected	All Users	This action allows users to view a draft of the final report.
Search	--	All Users	This action validates any unsaved date and navigates to the Report List page.

Report Context

Report Context (Figure 10) displays the following information related to the report:

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

Note: The Report Context is visible for all tabs when in Report Summary.


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER
Wednesday, December 7, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve
Close
Add Comments
Draft Report
Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Save
Reset
Branch Information (0)
Save

Report Name	13540-11222011074949145	Alert/Case ID	13540	Report Status	Open
Report Type	STR	Created Date	22/11/2011	Created By	test_supervisor
Last Modified Date	23/11/2011 06:57:32	Jurisdiction	AMEA	Last Modified By	TESTANALYST
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Natural Persons

Reporting Bank Information

Report Name	13540-11222011074949145	Bank Name	
Branch*	1002	Branch Name	LINDSAY PORT BRANCH
Address	121 PARK STREET	Telephone	1000000
FAX	5555050510	Email ID	branch_mail10@abcb.com

Reporting Officer	Reporting Officer Designation	Contact Officer	Contact Officer Designation	Assigned To Report
No Data Found				

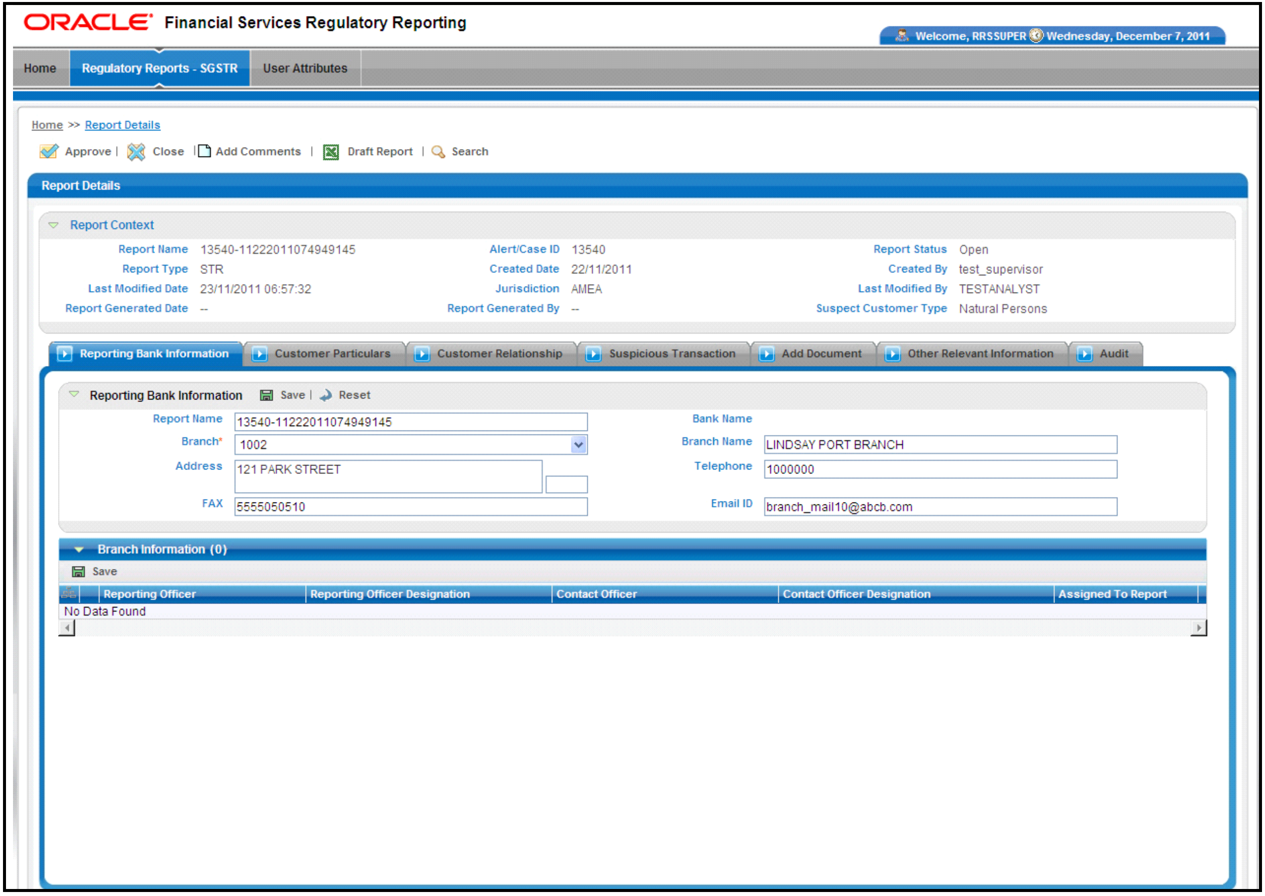
Figure 10. Report Context

Reporting Bank Information

This tab displays the following information:

- Reporting Bank information
- Branch Information

- Reporting Officer


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Wednesday, December 7, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve
Close
Add Comments
Draft Report
Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Save
Reset
Branch Information (0)
Save

Report Name	13540-11222011074949145	Alert/Case ID	13540	Report Status	Open
Report Type	STR	Created Date	22/11/2011	Created By	test_supervisor
Last Modified Date	23/11/2011 06:57:32	Jurisdiction	AMEA	Last Modified By	TESTANALYST
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Natural Persons

Reporting Bank Information

Report Name	13540-11222011074949145	Bank Name	
Branch*	1002	Branch Name	LINDSAY PORT BRANCH
Address	121 PARK STREET	Telephone	1000000
FAX	5555050510	Email ID	branch_mail10@abcb.com

Reporting Officer	Reporting Officer Designation	Contact Officer	Contact Officer Designation	Assigned To Report
No Data Found				

Figure 11. Reporting Bank Information - Edit mode

Reporting Bank Information - Edit Mode

The Reporting Bank Information container (in edit mode) provides the following details:

- Report Name
- Bank Name
- Branch (Marked as Mandatory)
- Branch Name
- Address
- Telephone
- Email ID
- FAX

Select the **Branch Code** where suspicious activity has taken place, from the drop-down list. Other branch related information fields are auto populated. The Report Name is editable, giving the user flexibility to identify the report by the name user wishes to provide (Figure 11).

Save

Click **Save** to save the data entered. The page is refreshed to display the saved details of the Branch Information.

Reset

To clear the updated data on the Reporting Branch Information tab, click **Reset**. The page is refreshed and displays the last saved data of the Customer Information.

Reporting Bank Officer Information - Edit Mode

Every branch has specified Reporting Officers. The Reporting Officers for the branch are listed in the Bank Reporting Officer list for the branch selected earlier. Select the desired reporting officer to be tagged to the report or add the details of the contact officer for the report request (Figure 11).

Add

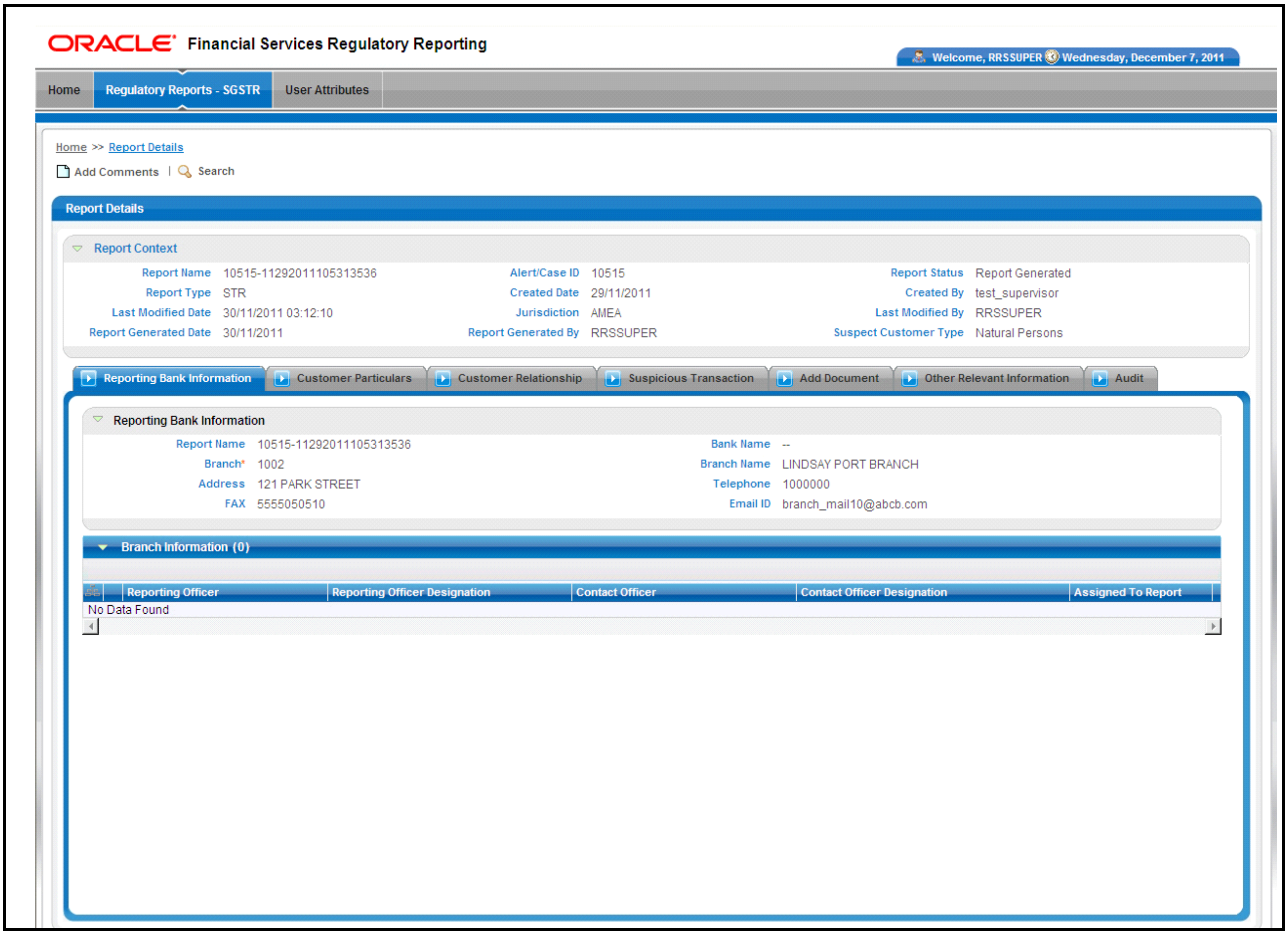
Click **Add** to open a pop-up window. Select the address type and fill the related information. Once this is saved, a new row is added to the existing grid.

Select the row on the Reporting Officer grid. This makes the Contact Officer and Contact Officer Designation columns editable. If the Reporting Officer is to be contacted for further investigations on the report, click **Save**, otherwise enter the Contact Officer or Contact Officer Designation and click **Save**.

Reporting Bank Information - View Mode

All information in this tab is in read-only mode. The Save and Reset buttons are hidden.

The Branch Officer Information grid lists all the reporting officers allocated for the branch saved in the Reporting Bank Information container. The grid lists details such as the Reporting Officer selected for the report and details of the Contact Officer. The Reporting Officer selected for the report is flagged in the Assigned to Report column as **Y** (Figure 12).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Wednesday, December 7, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Add Comments | Search
Report Details
Report Context

Report Name	10515-11292011105313536	Alert/Case ID	10515	Report Status	Report Generated
Report Type	STR	Created Date	29/11/2011	Created By	test_supervisor
Last Modified Date	30/11/2011 03:12:10	Jurisdiction	AMEA	Last Modified By	RRSSUPER
Report Generated Date	30/11/2011	Report Generated By	RRSSUPER	Suspect Customer Type	Natural Persons

Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Reporting Bank Information

Report Name	10515-11292011105313536	Bank Name	--
Branch*	1002	Branch Name	LINDSAY PORT BRANCH
Address	121 PARK STREET	Telephone	1000000
FAX	5555050510	Email ID	branch_mail10@abcb.com

Branch Information (0)

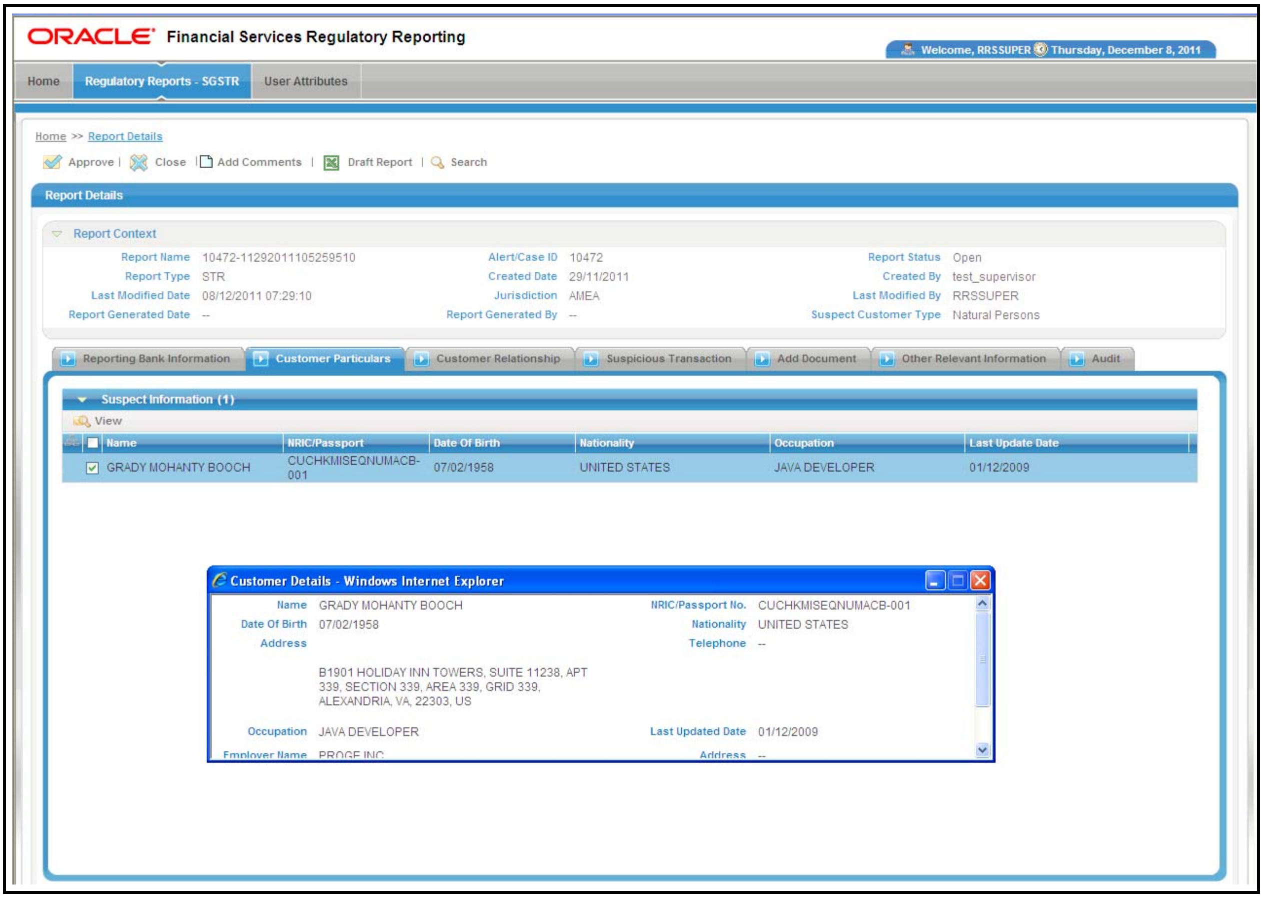
Reporting Officer	Reporting Officer Designation	Contact Officer	Contact Officer Designation	Assigned To Report
No Data Found				

Figure 12. Reporting Bank Information – View Mode

Customer Particulars

The Suspect information that pertains to the report request is available in this tab. For SG STR, this information is categorized for different types of the customers. The Customers are categorized as listed below:

- **Individual**- All the information for this type of suspect is read-only (Figure 13).
- **Partnerships** -The only editable field for this type of customer is Name of Partners/ Trustees (Figure 14).
- **Corporate** -The only editable field for this type of customer is Name of CEO (Figure 15).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve
Close
Add Comments
Draft Report
Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Suspect Information (1)
View
Customer Details - Windows Internet Explorer

Report Name 10472-11292011105259510
Alert/Case ID 10472
Report Status Open
Report Type STR
Created Date 29/11/2011
Created By test_supervisor
Last Modified Date 08/12/2011 07:29:10
Jurisdiction AMEA
Last Modified By RRSSUPER
Report Generated Date --
Report Generated By --
Suspect Customer Type Natural Persons

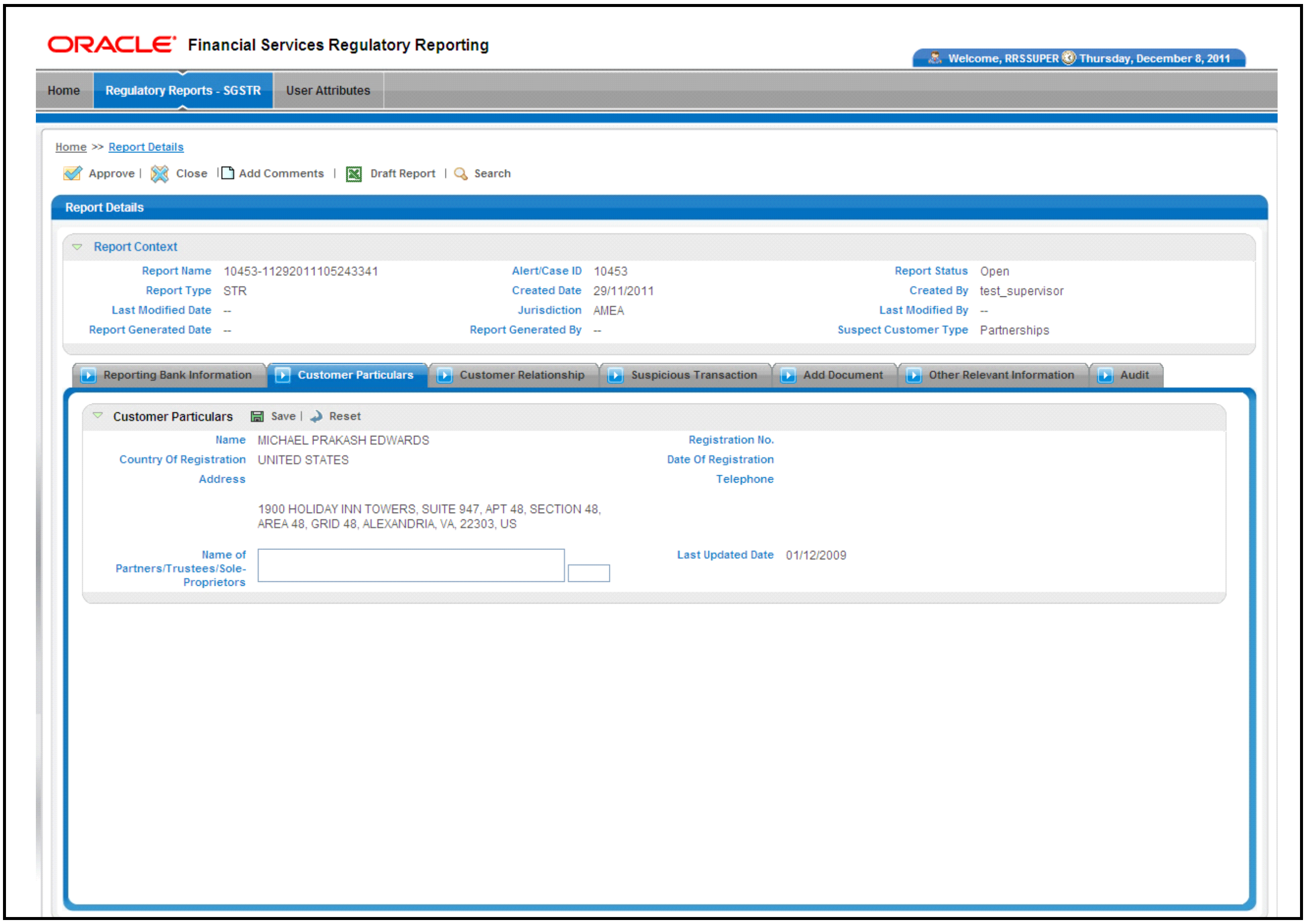
☐	Name	NRIC/Passport	Date Of Birth	Nationality	Occupation	Last Update Date
☑	GRADY MOHANTY BOOCH	CUCHKMISEQNUMACB-001	07/02/1958	UNITED STATES	JAVA DEVELOPER	01/12/2009

Name GRADY MOHANTY BOOCH
NRIC/Passport No. CUCHKMISEQNUMACB-001
Date Of Birth 07/02/1958
Nationality UNITED STATES
Address B1901 HOLIDAY INN TOWERS, SUITE 11238, APT 339, SECTION 339, AREA 339, GRID 339, ALEXANDRIA, VA, 22303, US
Telephone --
Occupation JAVA DEVELOPER
Last Updated Date 01/12/2009
Employer Name PROGE INC
Address --

Figure 13. Customer's Particular Page - Individual Customer

Note: Corporate Customers – The only editable field in this screen is Name of CEO.

The user enters the CEO name in this field. Click **Save** to save the details entered. Click **Reset** to reset the edited partner's field of the Suspect Information to the last saved selection. The page is refreshed to display the last saved details of the Suspect.


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve | Close | Add Comments | Draft Report | Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Customer Particulars
Save | Reset

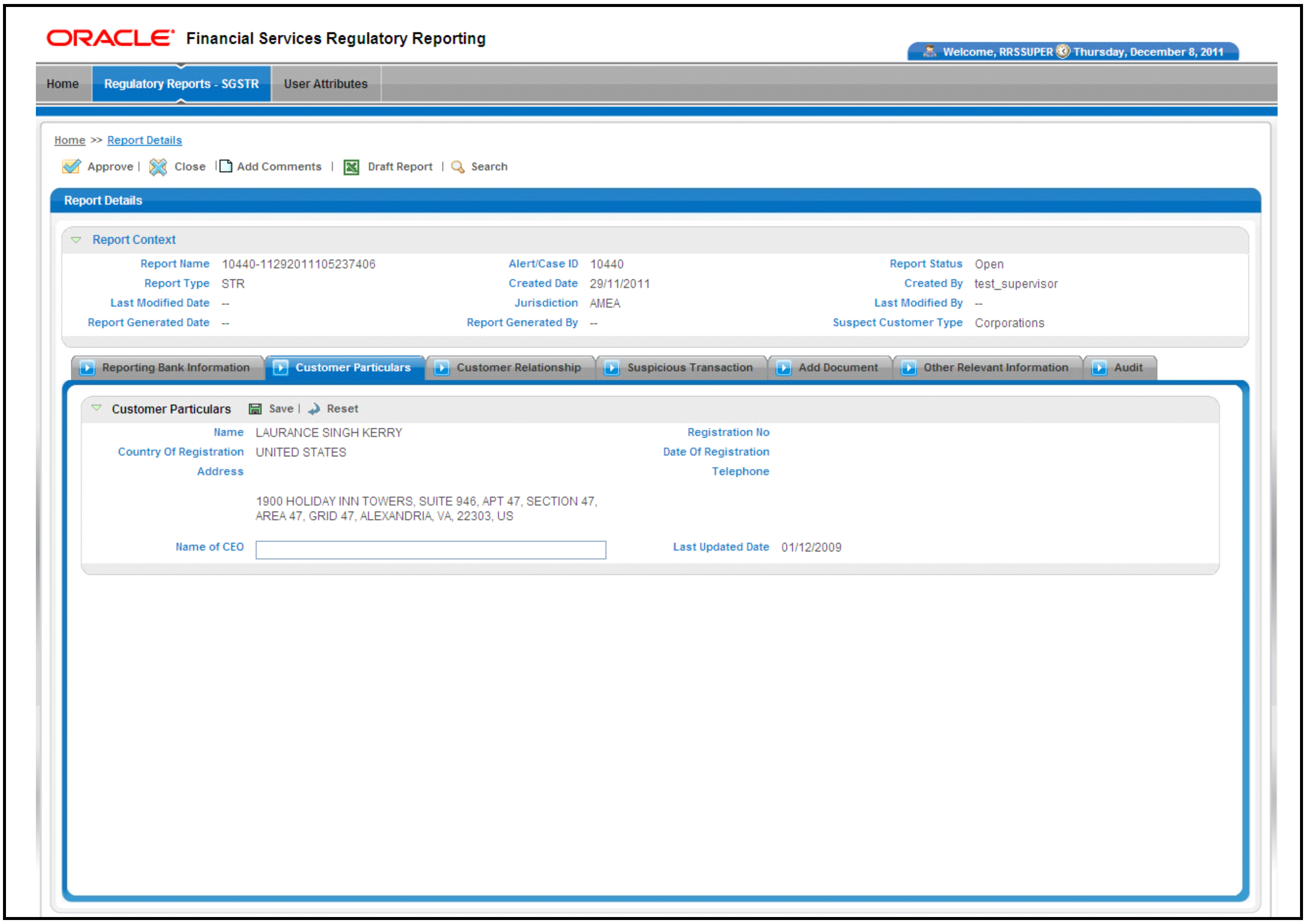
Report Name	10453-11292011105243341	Alert/Case ID	10453	Report Status	Open
Report Type	STR	Created Date	29/11/2011	Created By	test_supervisor
Last Modified Date	--	Jurisdiction	AMEA	Last Modified By	--
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Partnerships

Name	MICHAEL PRAKASH EDWARDS	Registration No.	
Country Of Registration	UNITED STATES	Date Of Registration	
Address	1900 HOLIDAY INN TOWERS, SUITE 947, APT 48, SECTION 48, AREA 48, GRID 48, ALEXANDRIA, VA, 22303, US	Telephone	
Name of Partners/Trustees/Sole-Proprietors		Last Updated Date	01/12/2009

Figure 14. Customer's Particular Page - Partnerships Customer

Note: Partnerships – The only editable field in this screen is Partners/Trustees/Sole Proprietors.

Click **Save** to save the details entered. Click **Reset** to reset the edited partner's field of the Suspect Information to the last saved selection. The page is refreshed to display the last saved details of the Suspect.


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve | Close | Add Comments | Draft Report | Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Customer Particulars
Save | Reset

Report Name	10440-11292011105237406	Alert/Case ID	10440	Report Status	Open
Report Type	STR	Created Date	29/11/2011	Created By	test_supervisor
Last Modified Date	--	Jurisdiction	AMEA	Last Modified By	--
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Corporations

Name	LAURANCE SINGH KERRY	Registration No	
Country Of Registration	UNITED STATES	Date Of Registration	
Address	1900 HOLIDAY INN TOWERS, SUITE 946, APT 47, SECTION 47, AREA 47, GRID 47, ALEXANDRIA, VA, 22303, US	Telephone	
Name of CEO		Last Updated Date	01/12/2009

Figure 15. Customer’s Particular Page - Corporate Customer

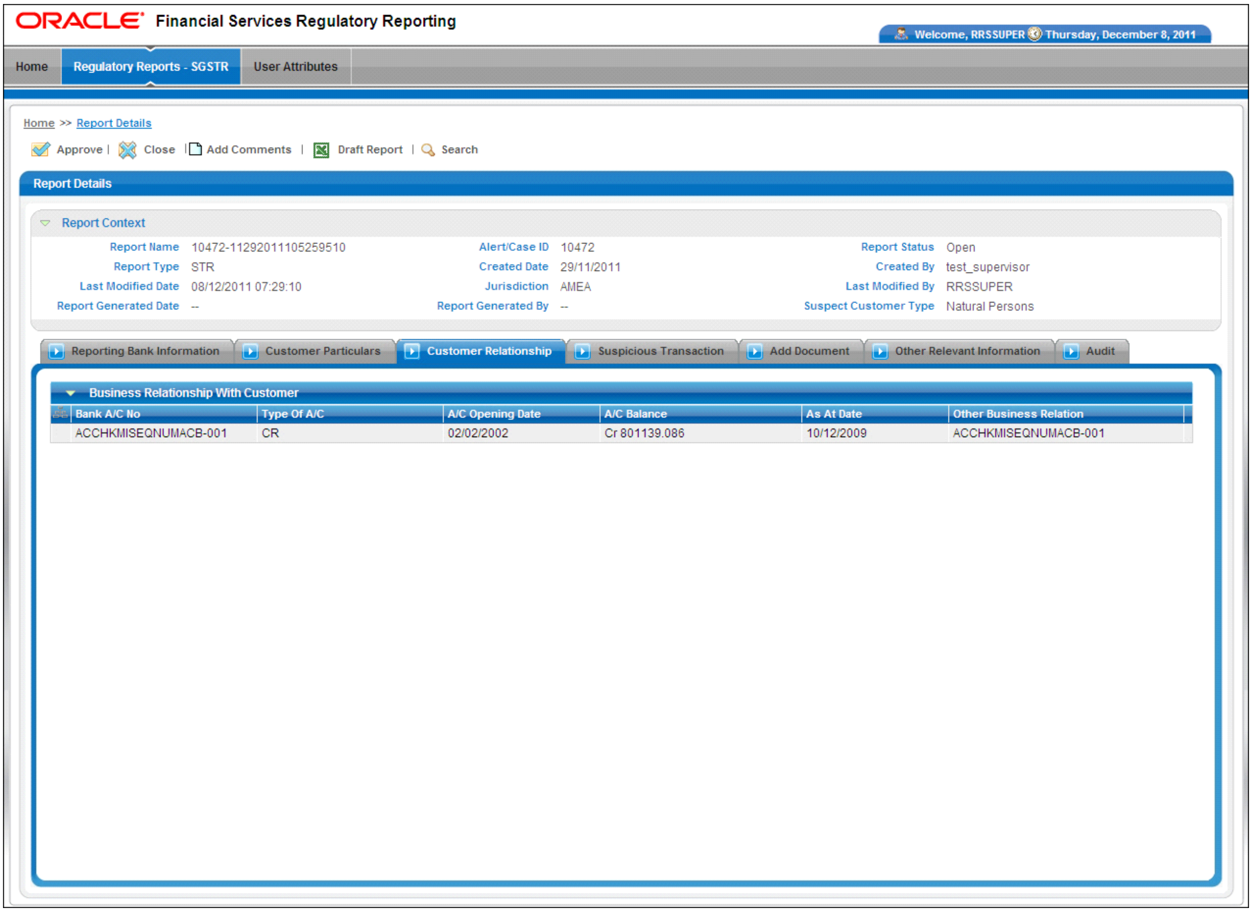
Customer Relationship Information

The Business Relationship with Customer Information container displays accounts for the customer. The information in this grid is read-only. It provides the following details:

- Bank Account Number
- Type of Account
- Account Opening Date
- Account Balance
- Balance as of Date
- Other business relation

Individual

This tab is non-editable for the individual customer type(Figure 16).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve | Close | Add Comments | Draft Report | Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Business Relationship With Customer

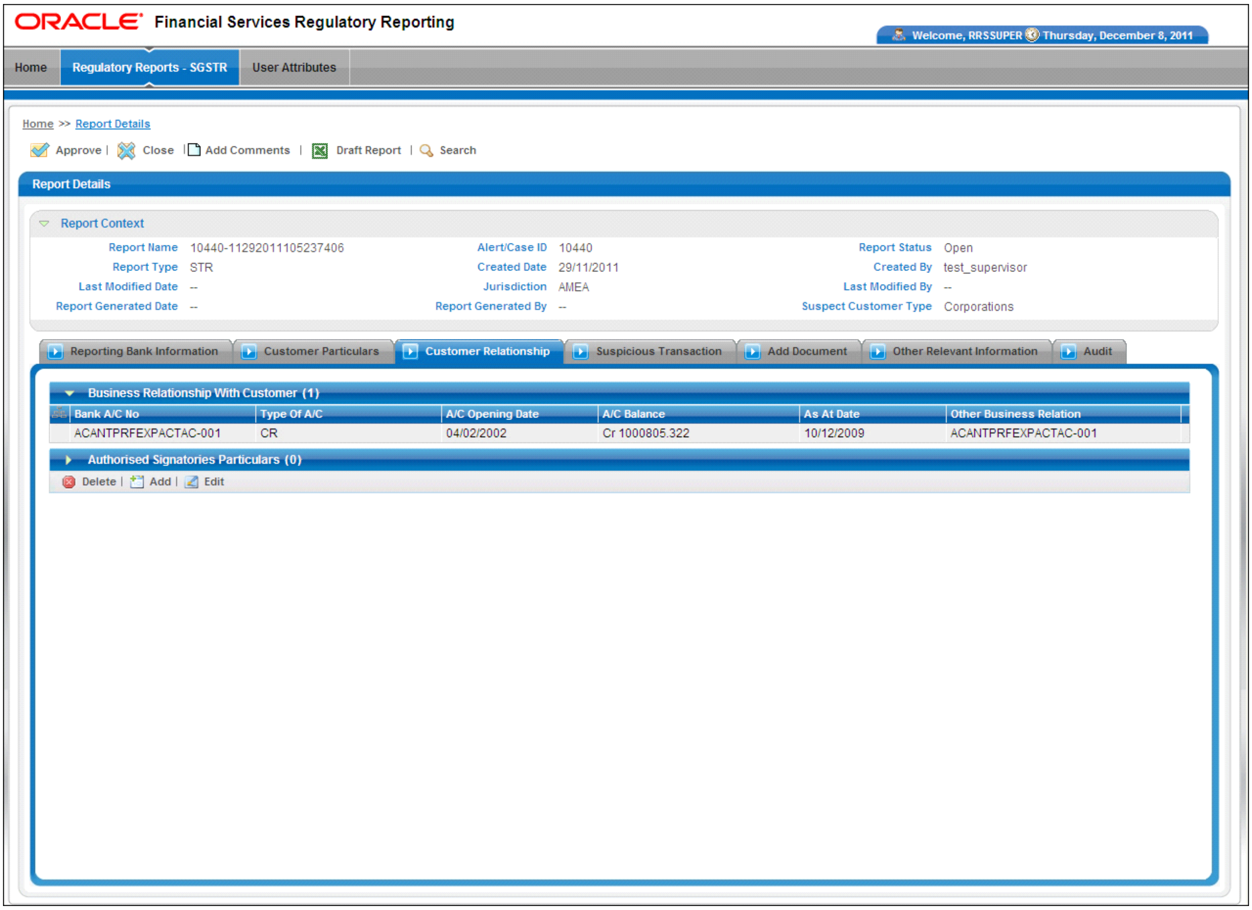
Report Name 10472-11292011105259510
Report Type STR
Last Modified Date 08/12/2011 07:29:10
Report Generated Date --
Alert/Case ID 10472
Created Date 29/11/2011
Jurisdiction AMEA
Report Generated By --
Report Status Open
Created By test_supervisor
Last Modified By RRSSUPER
Suspect Customer Type Natural Persons

Bank A/C No	Type Of A/C	A/C Opening Date	A/C Balance	As At Date	Other Business Relation
ACCHKMISEQNUMACB-001	CR	02/02/2002	Cr 801139.086	10/12/2009	ACCHKMISEQNUMACB-001

Figure 16. Customer Relationship Information - Individual Customer

Partnerships/Corporate

Add the Authorized Signatories Details, when the customer type is not an individual


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve | Close | Add Comments | Draft Report | Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Business Relationship With Customer (1)
Authorised Signatories Particulars (0)
Delete | Add | Edit

Report Name 10440-11292011105237406
Report Type STR
Last Modified Date --
Report Generated Date --
Alert/Case ID 10440
Created Date 29/11/2011
Jurisdiction AMEA
Report Generated By --
Report Status Open
Created By test_supervisor
Last Modified By --
Suspect Customer Type Corporations

Bank A/C No	Type Of A/C	A/C Opening Date	A/C Balance	As At Date	Other Business Relation
ACANTPRFEXPACTAC-001	CR	04/02/2002	Cr 1000805.322	10/12/2009	ACANTPRFEXPACTAC-001

Figure 17. Authorized Signatories – Edit Mode

Authorized Signatories Particulars - Edit Mode

The Authorized Signatories Particulars grid (in edit mode) displays the following information:

- Signatory Name
- Date of Birth
- Nationality
- NRIC/Passport Number
- Home Address

The Add, Edit and Delete buttons are enabled (Figure 17)

Add

Click Add to open a pop-up window. The user enters the authorized signatory type and fills in the related information. Once this is saved, a new row is added to the existing grid. The Employer Name and Employer Address fields are not available for an authorized signatory when the suspect involved is a corporate institution.

Click **Save** to save the details entered.

Edit and Save

To edit and save Authorized Signatory details, select the record you wish to edit address details for by selecting the corresponding row. Enter the details and click **Save**.

Reset

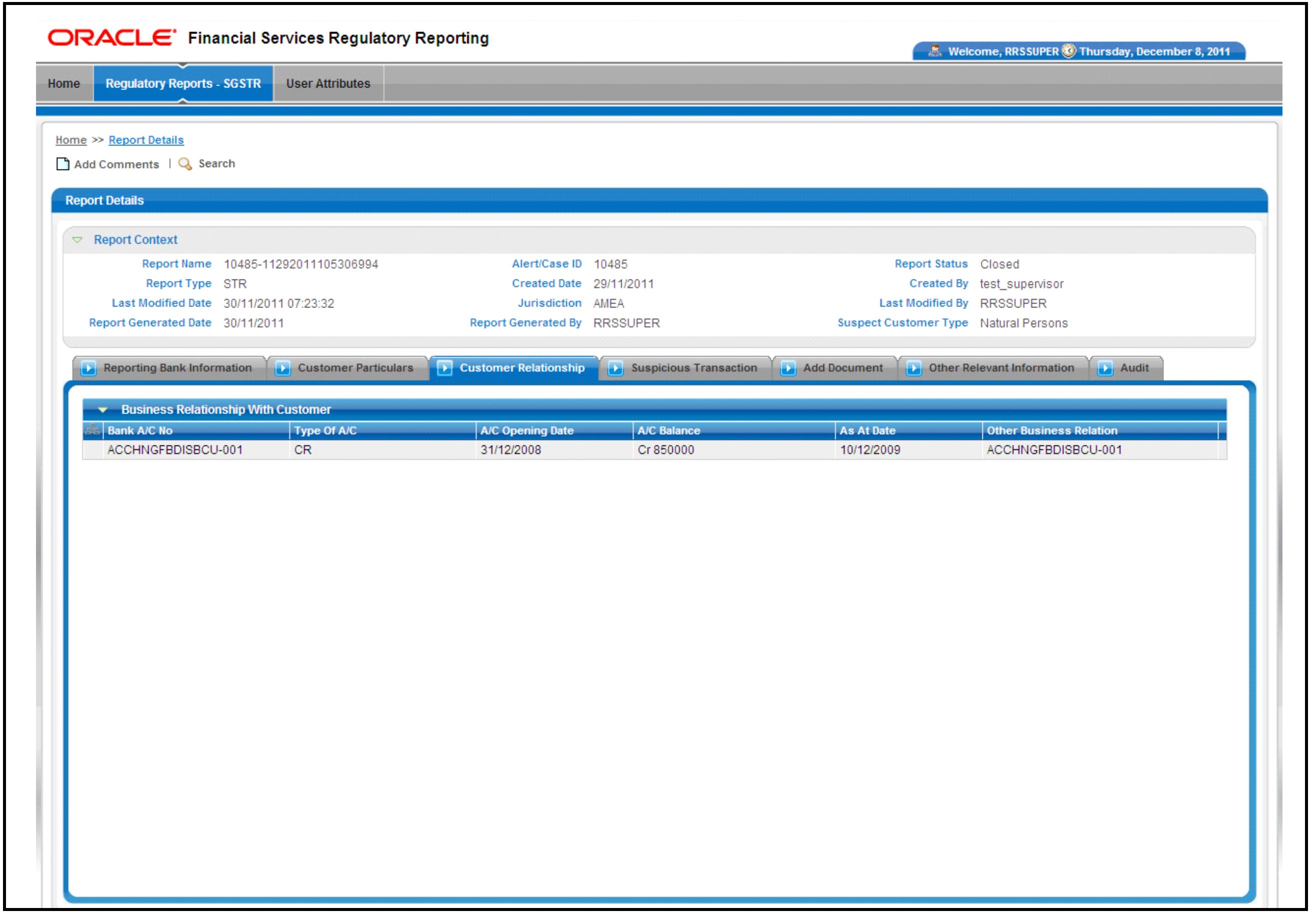
To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data of the Spouse Details.

Delete

To delete the Authorized Signatory, select the updated row and click **Delete**.

Authorized Signatories Particulars - View mode

All the information in the Authorized Signatory - View Mode is in read-only mode. The Add, Edit, and Delete buttons are hidden(Figure 18).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER
Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Add Comments
Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Business Relationship With Customer

Report Name 10485-11292011105306994
Report Type STR
Last Modified Date 30/11/2011 07:23:32
Report Generated Date 30/11/2011
Alert/Case ID 10485
Created Date 29/11/2011
Jurisdiction AMEA
Report Generated By RRSSUPER
Report Status Closed
Created By test_supervisor
Last Modified By RRSSUPER
Suspect Customer Type Natural Persons

Bank A/C No	Type Of A/C	A/C Opening Date	A/C Balance	As At Date	Other Business Relation
ACCHNGFBDISBCU-001	CR	31/12/2008	Cr 850000	10/12/2009	ACCHNGFBDISBCU-001

Figure 18. Authorized Signatories – View Mode

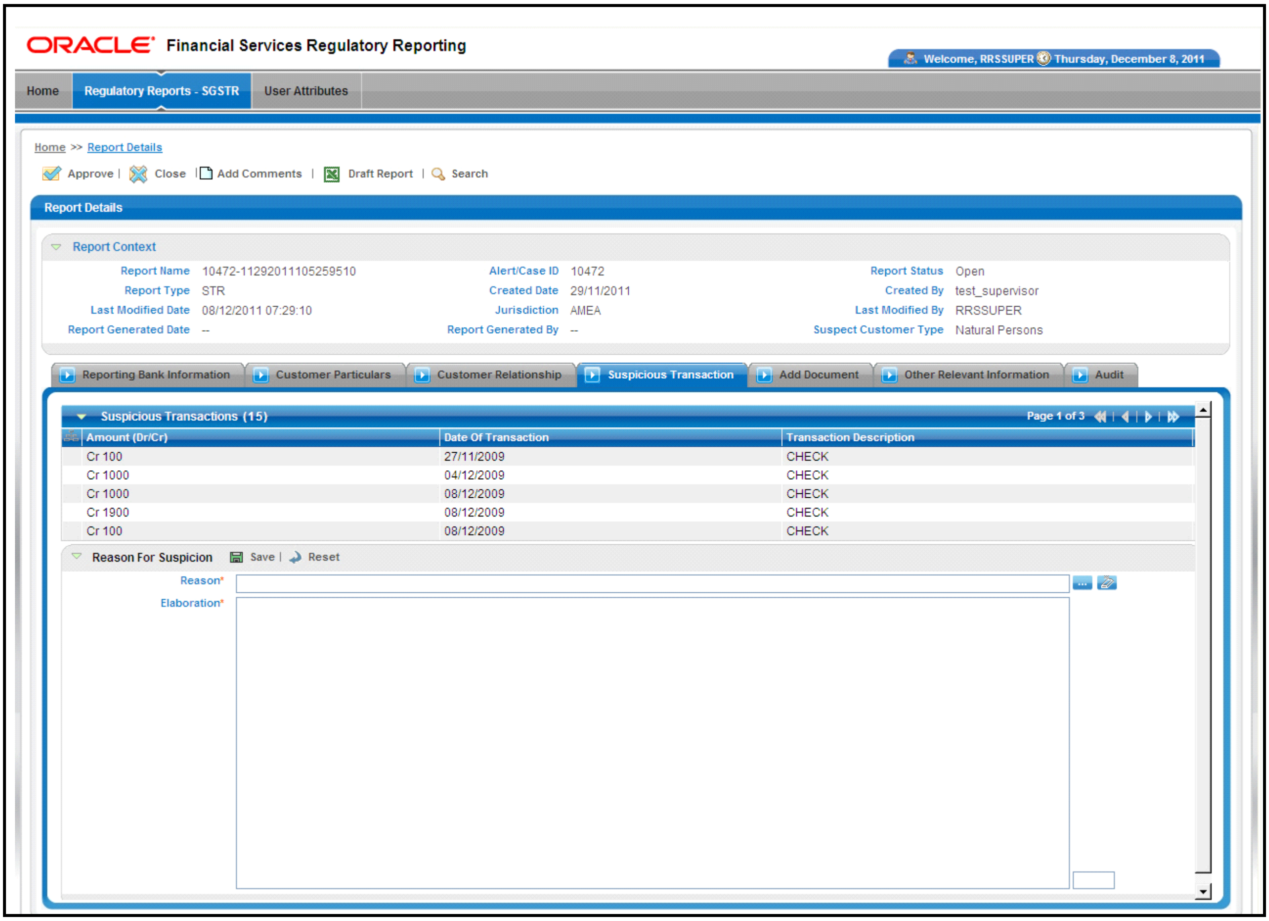
Suspicious Transaction Information

The Suspicious Transaction Information consists of the details of the suspicious activity and the reason for the suspicion. This tab is non-editable.

Suspicious Transactions Details

The Suspicious Transactions grid displays details regarding the suspicious transactions with respect to the suspicious activity being reported. It lists the following details:

- Transaction Amount
- Date of Transaction
- Transaction Description (This grid is always in read-only mode.)


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve | Close | Add Comments | Draft Report | Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Suspicious Transactions (15)
Page 1 of 3
Reason For Suspicion
Save | Reset

Report Name 10472-11292011105259510
Report Type STR
Last Modified Date 08/12/2011 07:29:10
Report Generated Date --
Alert/Case ID 10472
Created Date 29/11/2011
Jurisdiction AMEA
Report Generated By --
Report Status Open
Created By test_supervisor
Last Modified By RRSSUPER
Suspect Customer Type Natural Persons

Amount (Dr/Cr)	Date Of Transaction	Transaction Description
Cr 100	27/11/2009	CHECK
Cr 1000	04/12/2009	CHECK
Cr 1000	08/12/2009	CHECK
Cr 1900	08/12/2009	CHECK
Cr 100	08/12/2009	CHECK

Reason*
Elaboration*

Figure 19. Suspicious Transaction Tab – Edit Mode

Reason for Suspicious Details - Edit Mode

Add

Click the hierarchy browser provided at the end of the Reason field, and select an appropriate Reason for Suspicion. Click **OK**.

Provide a reasonable explanation for the reason selected in the **Elaboration** field(Figure 19).

Edit and Save

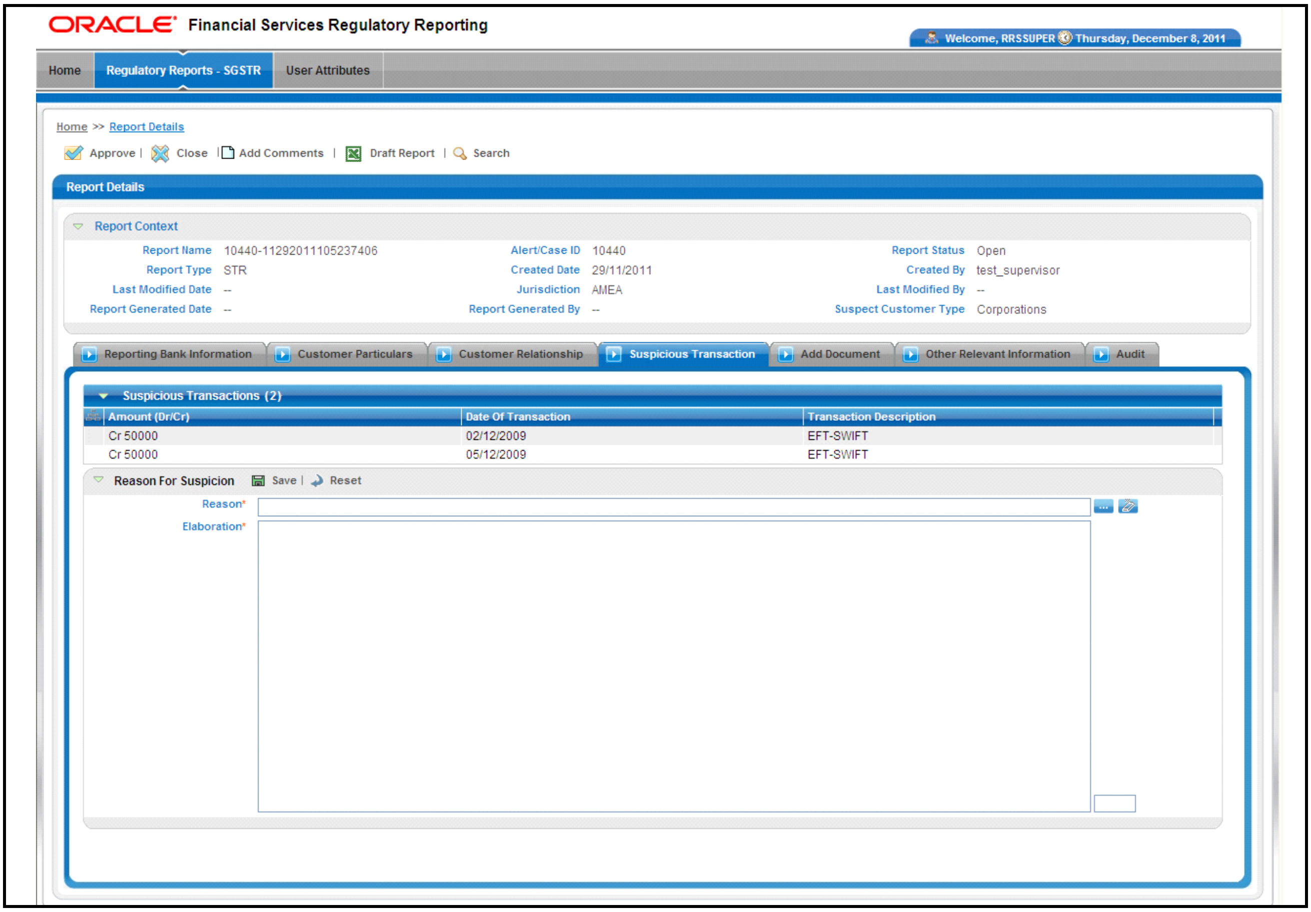
To edit and save Reason for Suspicious Details Contact Information, select the record you wish to edit by selecting the corresponding row. Enter the details and click **Save**.

Reset

To clear the updated data on the customer information tab, click **Reset**. The page is refreshed and displays the last saved data of the Customer Information.

Reason for Suspicious Details - View Mode

The hierarchy browser is disabled in View mode. The Elaboration field is in read-only mode (Figure 20).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve | Close | Add Comments | Draft Report | Search
Report Details
Report Context

Report Name	10440-11292011105237406	Alert/Case ID	10440	Report Status	Open
Report Type	STR	Created Date	29/11/2011	Created By	test_supervisor
Last Modified Date	--	Jurisdiction	AMEA	Last Modified By	--
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Corporations

Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Suspicious Transactions (2)

Amount (Dr/Cr)	Date Of Transaction	Transaction Description
Cr 50000	02/12/2009	EFT-SWIFT
Cr 50000	05/12/2009	EFT-SWIFT

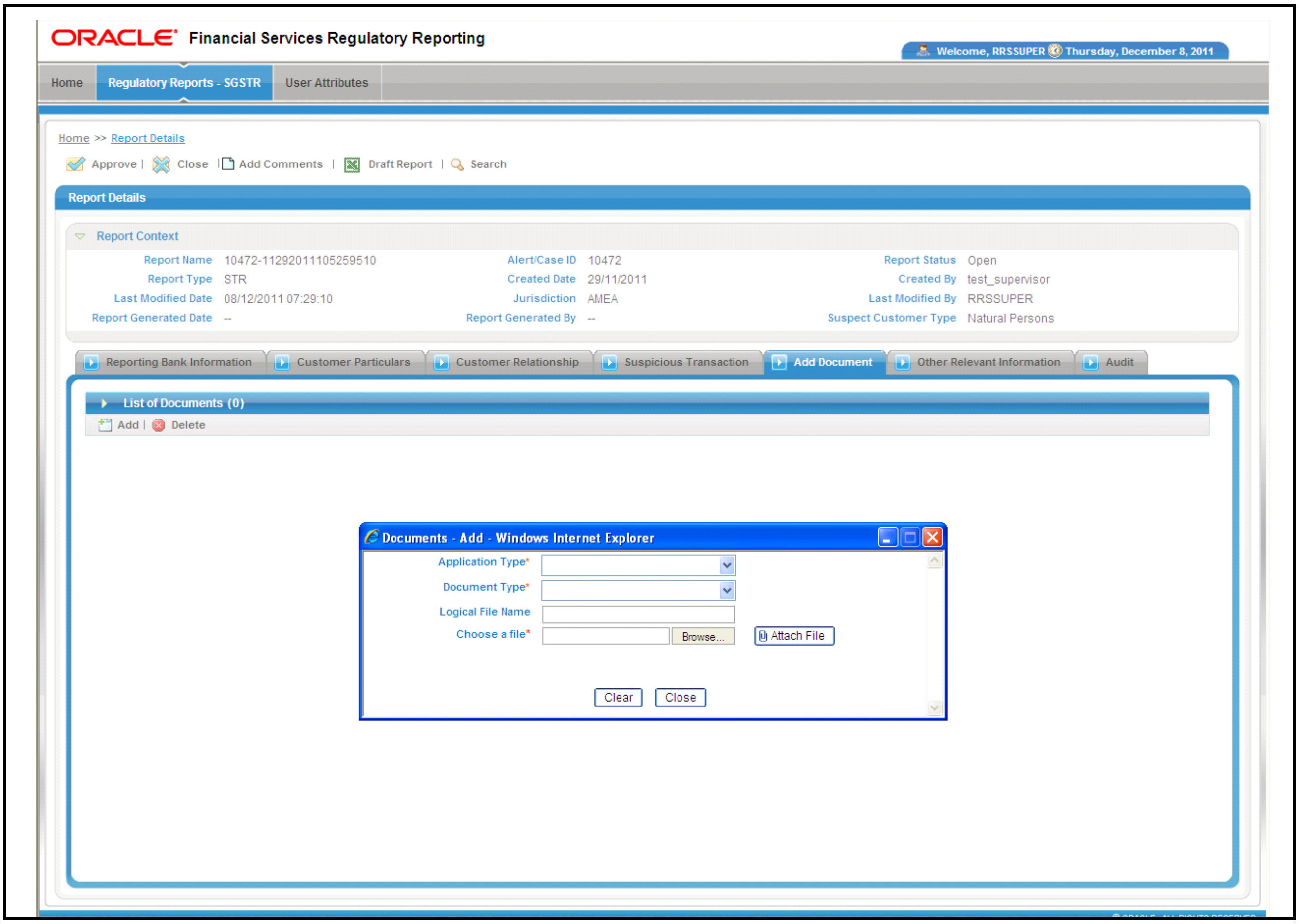
Reason For Suspicion
Save | Reset
Reason*
Elaboration*

Figure 20. Suspicious Transaction – View Mode

Adding Document

Users may add supporting documents to the transactions being reported, related to the suspects being reported, and related to the accounts held by the suspects in the bank. Documents, such as account opening forms, may also be attached to the report request. Users may view documents already attached to the report(Figure 21)

Add Document - Edit Mode


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve | Close | Add Comments | Draft Report | Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
List of Documents (0)
Add | Delete
Documents - Add - Windows Internet Explorer
Browse...
Attach File
Clear
Close

Report Name	10472-11292011105259510	Alert/Case ID	10472	Report Status	Open
Report Type	STR	Created Date	29/11/2011	Created By	test_supervisor
Last Modified Date	08/12/2011 07:29:10	Jurisdiction	AMEA	Last Modified By	RRSSUPER
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Natural Persons

Application Type*
Document Type*
Logical File Name
Choose a file*

Figure 21. Add Document – Edit Mode

Attach New Documents

To attach a new document to the report, follow these steps:

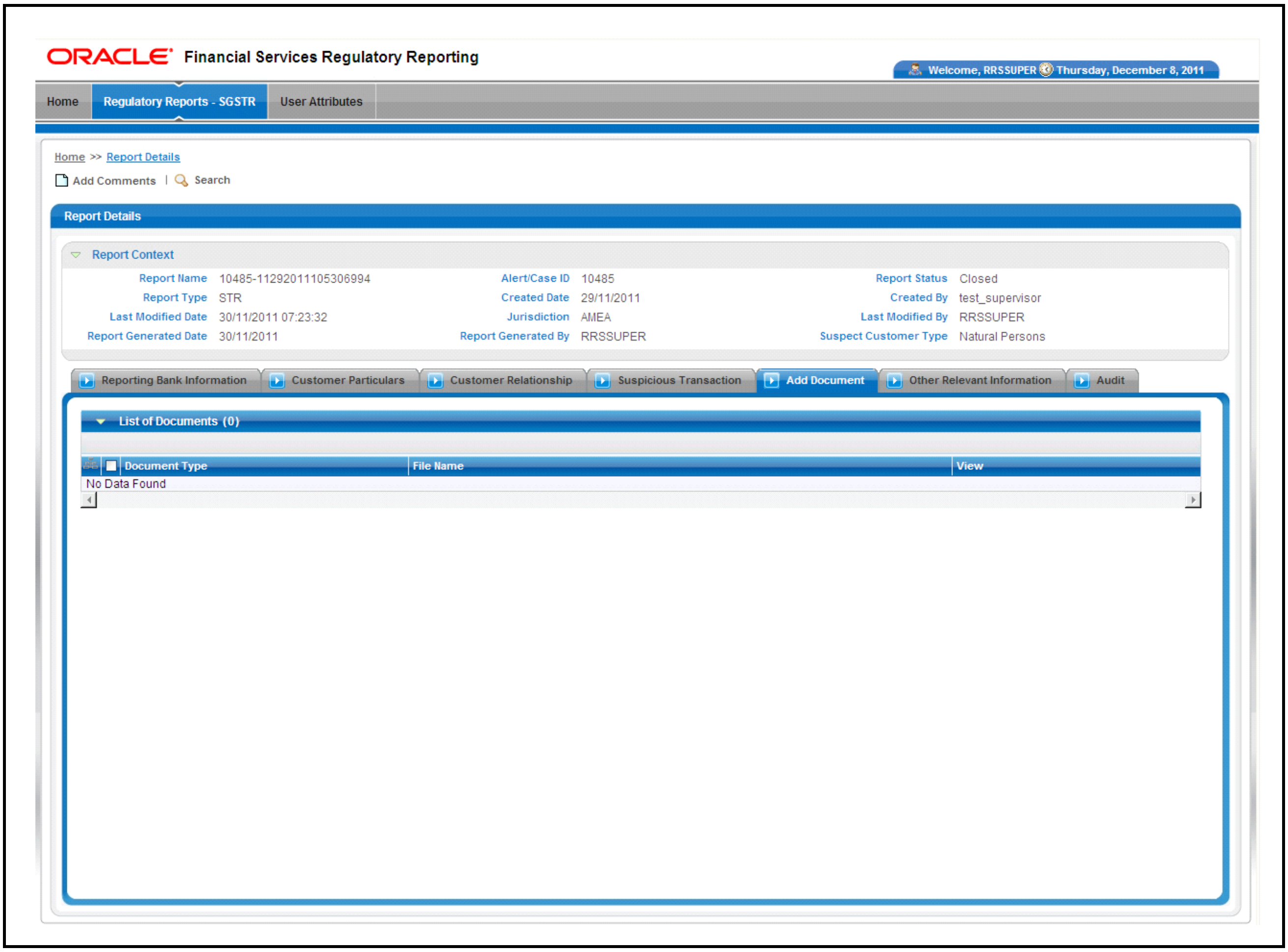
1. Click **Add** in the List of Documents. The Add Document pop-up window opens.
2. Select the application type from the Application Type drop-down list.
3. Select the type of document you wish to attach from the Document Type drop-down list.

4. Click **Upload File**, a pop-up window opens.
5. Use the **Browse** button to locate the file and click Ok to attach the selected document.

The page is refreshed and the newly added document is added to the List of Documents grid. Click **View** to veiw the document (Figure 22).

Add Document - View Mode

When accessing the report in View mode, the List of Documents grid displays, but not the Attach Document container. Click **View** to veiw the attached document (Figure 22).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Add Comments
Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
List of Documents (0)

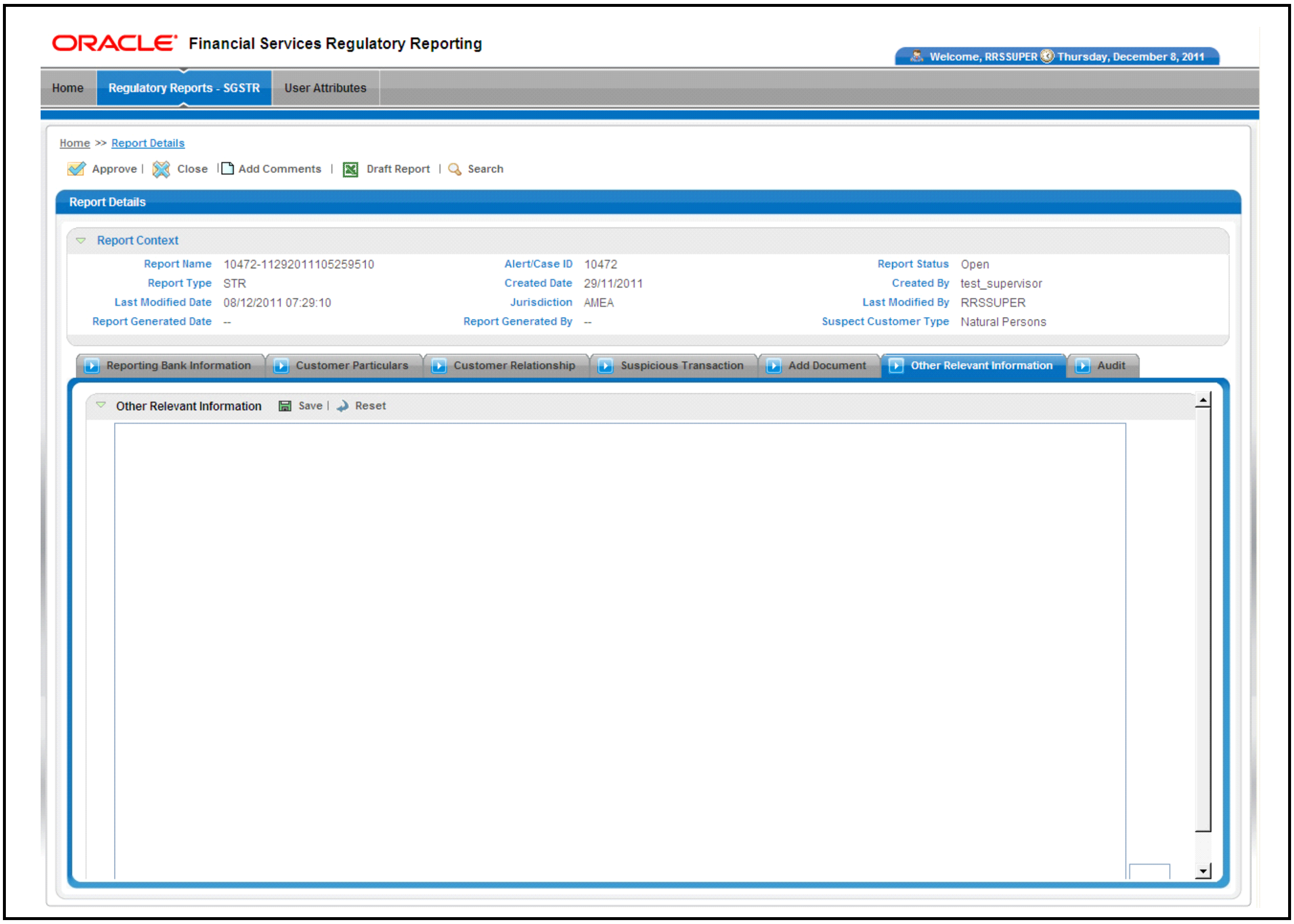
Report Name	10485-11292011105306994	Alert/Case ID	10485	Report Status	Closed
Report Type	STR	Created Date	29/11/2011	Created By	test_supervisor
Last Modified Date	30/11/2011 07:23:32	Jurisdiction	AMEA	Last Modified By	RRSSUPER
Report Generated Date	30/11/2011	Report Generated By	RRSSUPER	Suspect Customer Type	Natural Persons

☐ Document Type	File Name	View
No Data Found		

Figure 22. Add Document – View Mode

Other Relevant Information

The explanation/description of the suspicious activity is available in this tab. Enter the description in the text area(Figure 23).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER
Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Approve
Close
Add Comments
Draft Report
Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit
Other Relevant Information
Save
Reset

Report Name 10472-11292011105259510
Report Type STR
Last Modified Date 08/12/2011 07:29:10
Report Generated Date --
Alert/Case ID 10472
Created Date 29/11/2011
Jurisdiction AMEA
Report Generated By --
Report Status Open
Created By test_supervisor
Last Modified By RRSSUPER
Suspect Customer Type Natural Persons

Figure 23. Other Relevant Information – Edit Mode

Save

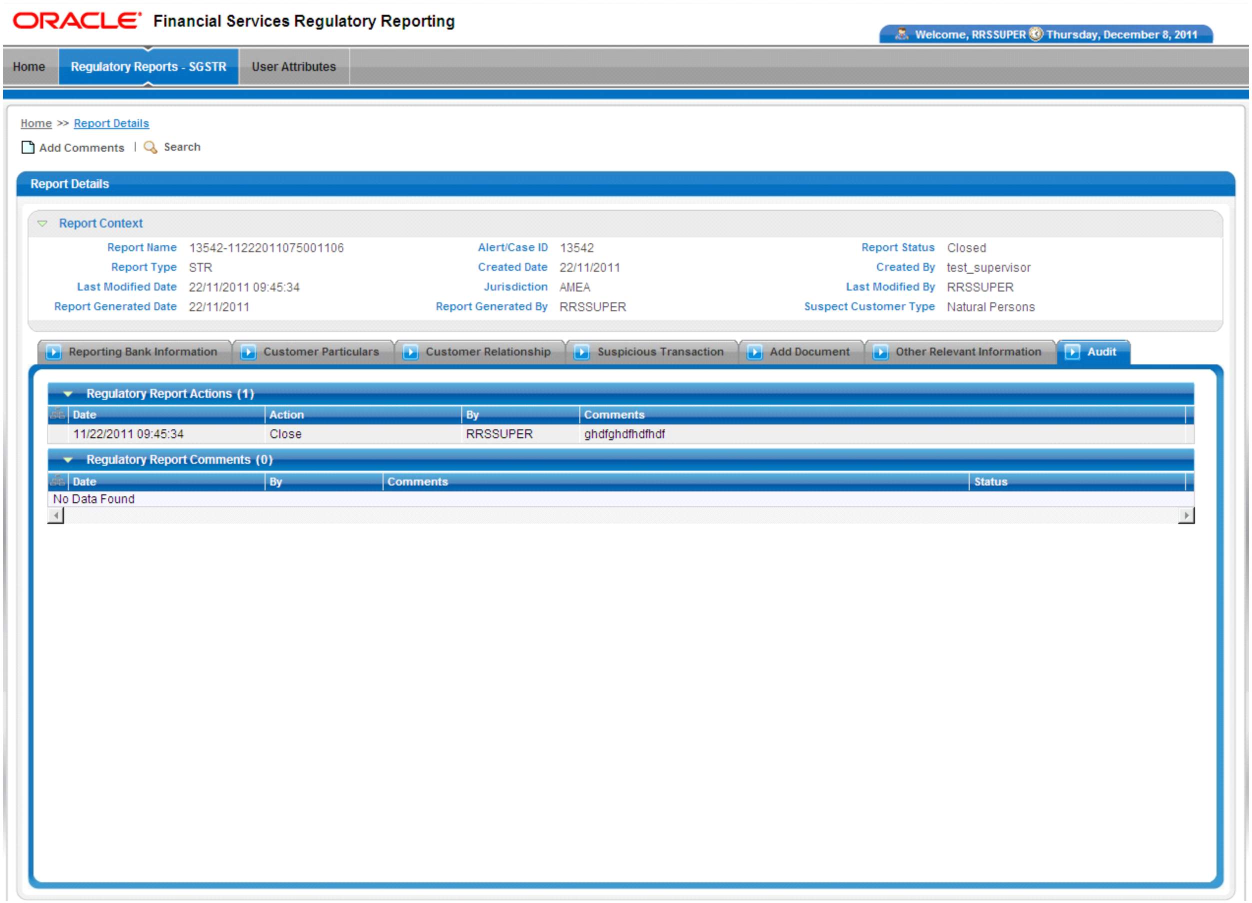
Click **Save** to save the changes made. The page is refreshed to display the updated Narrative.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data. In the view mode, the Save and Reset options are hidden for the Other Relevant Information container.

Audit

The Audit tab displays actions that may be taken on the report. This tab contains the Regulatory Report Actions Grid and the Regulatory Report Comments Grid(Figure 24).


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
Home >> Report Details
Add Comments | Search
Report Details
Report Context
Reporting Bank Information
Customer Particulars
Customer Relationship
Suspicious Transaction
Add Document
Other Relevant Information
Audit

Report Name 13542-11222011075001106
Report Type STR
Last Modified Date 22/11/2011 09:45:34
Report Generated Date 22/11/2011
Alert/Case ID 13542
Created Date 22/11/2011
Jurisdiction AMEA
Report Generated By RRSSUPER
Report Status Closed
Created By test_supervisor
Last Modified By RRSSUPER
Suspect Customer Type Natural Persons

Regulatory Report Actions (1)

Date	Action	By	Comments
11/22/2011 09:45:34	Close	RRSSUPER	ghdfghdfhdfhdf

Regulatory Report Comments (0)

Date	By	Comments	Status
No Data Found			

Figure 24. Audit – Edit Mode

Regulatory Report Actions

This grid displays the actions taken on the report with the following details:

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

Regulatory Report Comments

This grid displays all the actions taken on the Add Comments section of the report with the following details:

- **Date**: When the action was taken

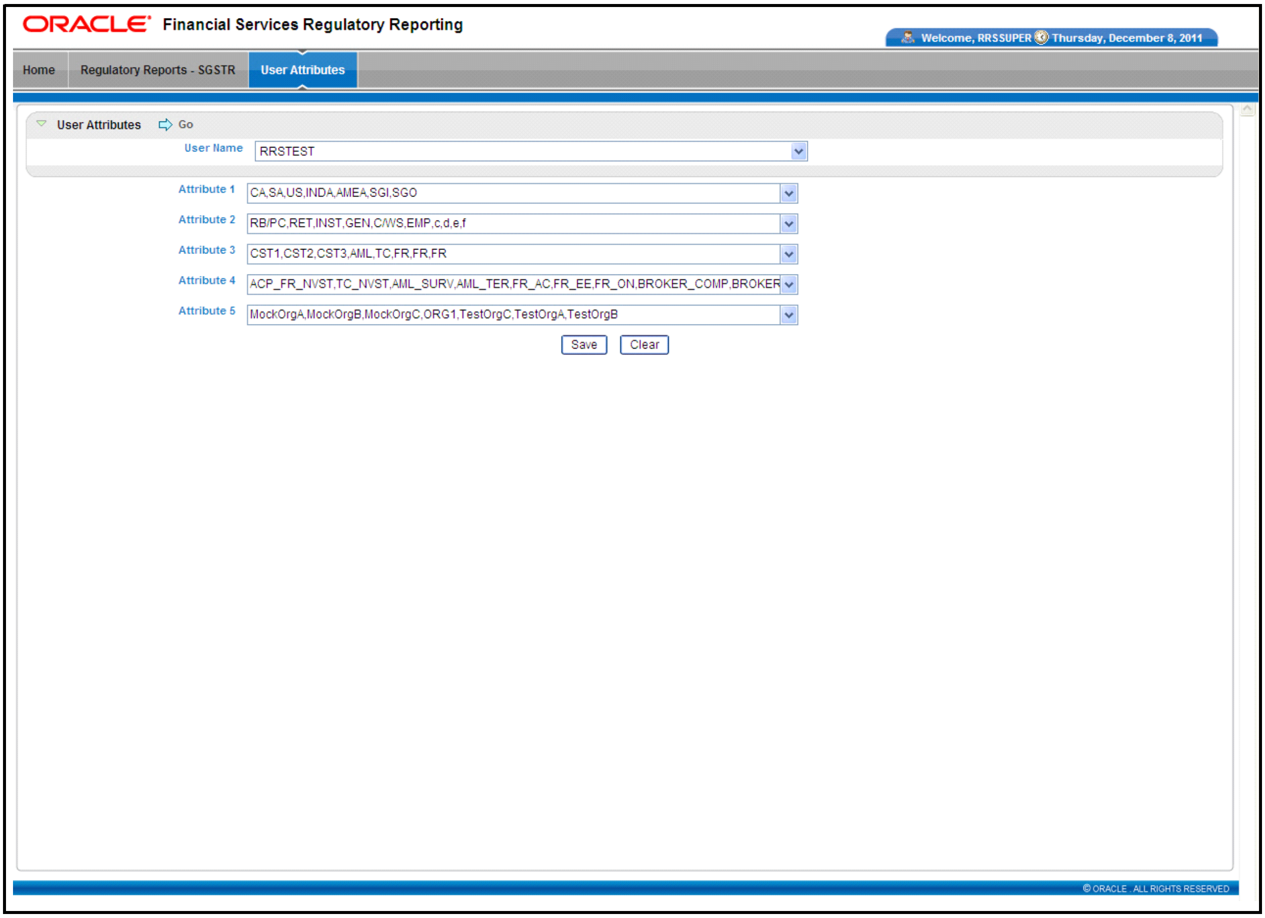
- **By**: The user who took the action
- **Comments**: Displays the comments entered
- **Status**: Status of the report, while taking Action

CHAPTER 4

User Attributes

This section shows how to map and maintain the security attributes for each user role (Figure 23). Security Attributes are configured for an installation by the System Administrator. These security attribute can then be mapped to users.

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


ORACLE Financial Services Regulatory Reporting
Welcome, RRSSUPER Thursday, December 8, 2011
Home
Regulatory Reports - SGSTR
User Attributes
User Attributes
Go
Save
Clear
© ORACLE . ALL RIGHTS RESERVED

User Name: RRSTEST

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

Attribute 2: RB/PC,RET,INST,GEN,C/WS,EMP,c,d,e,f

Attribute 3: CST1,CST2,CST3,AML,TC,FR,FR,FR

Attribute 4: ACP_FR_NVST,TC_NVST,AML_SURV,AML_TER,FR_AC,FR_EE,FR_ON,BROKER_COMP,BROKER

Attribute 5: MockOrgA,MockOrgB,MockOrgC,ORG1,TestOrgC,TestOrgA,TestOrgB

Figure 25. User Administration

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.