

Oracle Financial Services  
Common Reporting Standard Canada  
**User Guide**

*Release 8.0.8.0.0*  
*October 2019*





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*October 2019*

Part Number: E93132-03

Oracle Financial Services Software, Inc.  
1900 Oracle Way  
Reston, VA 20190

Part Number: E93132-02  
First Edition (October 2019)

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## About this Guide

The *OFS Common Reporting Standard Canada User Guide* explains the concepts behind the OFS Common Reporting Standard Canada application and provides step-by-step instructions for navigating through the application.

This chapter discusses the following topics:

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

### Who Should Use this Guide

The *OFS Common Reporting Standard Canada User Guide* is designed for use by various users. Their roles and responsibilities, as they operate within the OFS Common Reporting Standard Canada application, include the following:

- **CRS Canada Analyst:** This user can create new reports, edit report details, add comments to the report, request reports for approval, generate revised reports and also cancel filing of reports from open and reopen status.
- **CRS Canada Supervisor:** This user can create new reports, edit report details, approve reports, request for cancellation, generate revised reports, add comments, rework on reports, cancel filing of reports, view final report, mark reports as submitted, reopen canceled reports, and reopen submitted reports.
- **CRS Canada Auditor:** This user can view reports and add comments to the report.
- **CRS Canada Admin:** This user is responsible for mapping security attributes to the users, executing CRS Canada batches and uploading client specific data.

## How this Guide is Organized

The *OFS Common Reporting Standard Canada User Guide*, includes the following topics:

- Chapter 1, *About OFS Common Reporting Standard Canada*, provides an overview of the OFS Common Reporting Standard Canada application.
- Chapter 2, *Getting Started*, explains the steps to login to the OFS Common Reporting Standard Canada application and provides a brief overview of the various users and their roles in the application.
- Chapter 3, *Managing OFS Common Reporting Standard Canada*, explains the workflow of CRS Canada reports.

## Where to Find More Information

For additional information about OFS Common Reporting Standard Canada, refer to the following documents on OTN:

- *OFS CRS Canada Data Model Reference Guide*
- *OFS BD Installation Guide*
- *OFS CRS Canada Administration and Configuration Guide*

To find additional information about how Oracle Financial Services 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
Asterisk*	Indicates mandatory fields in the UI

# *About OFS Common Reporting Standard Canada*

This chapter provides an overview of the OFS Common Reporting Standard Canada application.

## ***Introduction to OFS Common Reporting Standard Canada***

Oracle Financial Services Common Reporting Standard Canada application enables financial institutions to create reports containing tax data on reportable accounts to their respective jurisdiction, which in turn will exchange it with other participating jurisdictions on an annual basis.

CRS is a global model developed by the Organization for Economic Cooperation and Development (OECD) Council, working with G20 countries, for automatic exchange of information, including the technical modalities, to better fight tax evasion and ensure tax compliance. CRS combines global anti-money laundering standards with intergovernmental implementation such as found in the Foreign Account Tax Compliance Act (FATCA), and provides an automatic exchange of information in a global context. Jurisdictions must obtain information from their financial institutions and share that information with other jurisdictions annually, in accordance with CRS. The

Standard specifies the financial account information to be exchanged, which financial institutions are required to report, the different types of accounts and taxpayers covered, and the due diligence procedures to be followed.

This particular reporting application is specifically designed to cater Canadian regulatory authority reporting requirements for CRS.

For more information on the workflow of CRS reports, refer to *OFS CRS Canada Regulatory Reporting Workflow*.



This section explains the steps to login to OFS Common Reporting Standard Canada and provides a brief overview of the various users and their roles within the application.

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to OFS Common Reporting Standard Canada

## ***User Roles***

The following user roles are defined in OFS Common Reporting Standard Canada:

- Canada Report Analyst
- Canada Report Supervisor
- Canada Report Auditor
- Report Sys-Admin

## **User Access**

The following table explains the tasks that can be performed by various users in OFS Common Reporting Standard Canada.

**Table 2. User Roles and Actions**

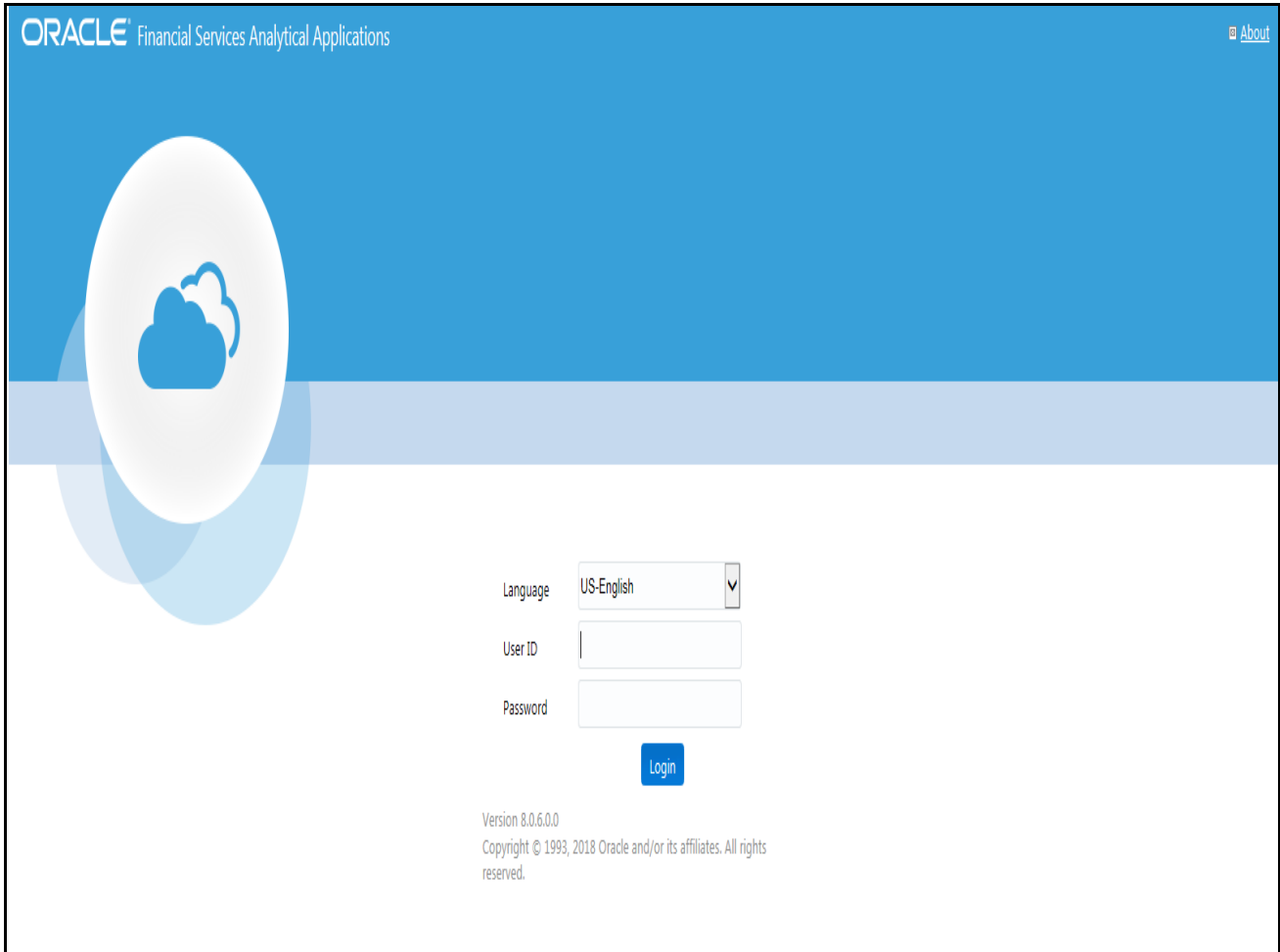
<b>Function</b>	<b>Roles</b>			
	<b>Canada Report Analyst</b>	<b>Canada Report Supervisor</b>	<b>Canada Report Auditor</b>	<b>Report Sys-Admin</b>
Access CRS Canada Regulatory Reporting Menu	X	X	X	
View CRS Canada Report	X	X	X	
Request Reports for Approval	X			
Approve Reports		X		
Rework on Reports		X		
Cancel Filing of Reports from Open and Reopen Status	X	X		
Cancel Filing of Reports from Requested for Approval and Approved Status		X		
Generate Revised Reports	X	X		
Add Report Comments	X	X	X	
View/Save Final Report (E-File)	X	X	X	
Mark Reports as Submitted (E-Files)	X	X		
Reopen Canceled Reports	X	X		
View/ Edit Configuration				X
File CRS Canada Reports Menu	X	X	X	
Generate E-File	X	X		
Reject E-File	X	X		
Search and List Menu	X	X	X	
Create New Report Menu	X	X		



## Logging in to OFS Common Reporting Standard Canada

To access OFS Common Reporting Standard Canada, follow these steps:

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



ORACLE Financial Services Analytical Applications [About](#)

Language: US-English

User ID

Password

Login

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**Figure 1. OFSAAI Login page**

2. Select the **Language**.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The Oracle Financial Services Common Reporting Standard Reporting page is displayed with a link to **CRS Regulatory Reports**.

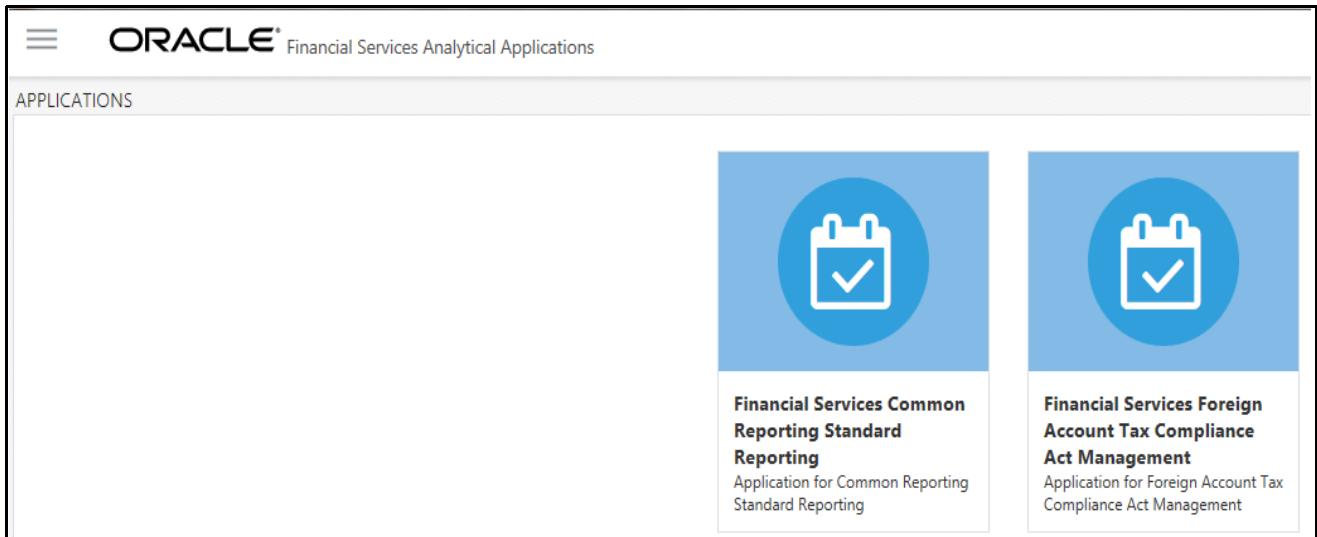


Figure 2. OFSAAI Home page

6. Click **CRS Regulatory Reports**. The Search and List page is displayed.

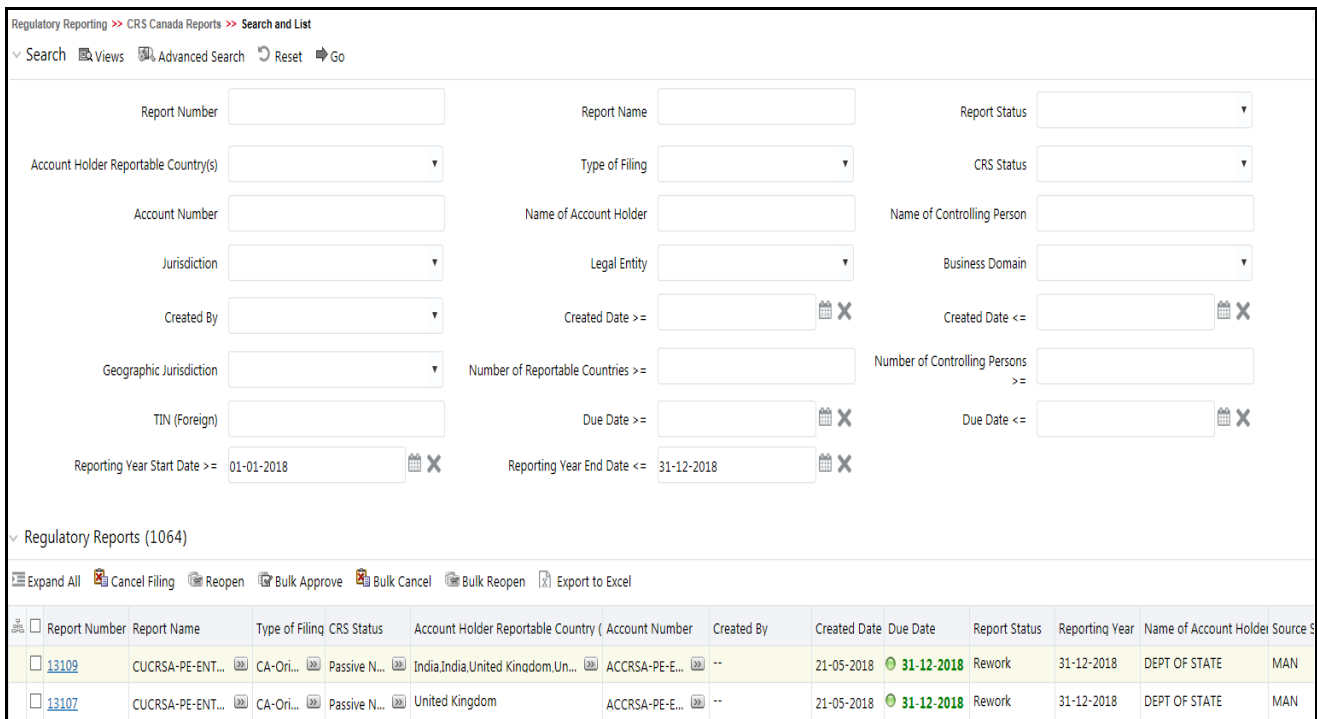


Figure 3. Search and List page

Based on user roles and access permission, CRS displays the following menu options.

- Users mapped to Canada Analyst, Canada Supervisor, and Canada Auditor role can access the **Regulatory Reporting** Menu.
- Users mapped to Canada Admin role can access the **CRS Canada Assessment Configuration** menu.

The CRS Canada Reports menu displays the following sub-menus:

- **Search and List:** This menu allows you to navigate to the Search and List page. From this page you can use various criteria to search for CRS Canada Regulatory Reports.
- **Create New Report:** This menu allows you to navigate to the Create New Reports page where you can initiate a user created CRS Canada Report.
- **File CRS Canada Reports:** This menu allows you to navigate to the File CRS Canada Reports page where you can file CRS Canada reports and create E-Files.

The Administration menu displays the following menu:

- **Security Attribute Administration:** This menu allows you to map and maintain the security attributes for each user role.



# *Managing OFS Common Reporting Standard Canada*

This section provides step-by-step instructions to manage CRS Canada reports and includes the following topics:

- OFS CRS Canada Regulatory Reporting Workflow
- Creating CRS Canada Reports
- Searching CRS Canada Reports
- Filing and Submitting CRS Canada Reports for Approval
- Setting Due Date For Reports
- Adding Comments to Report
- Exporting the Report Details to Excel
- Managing CRS Canada Analytics Report

## ***OFS CRS Canada Regulatory Reporting Workflow***

CRS Canada Reports can be created manually with the OFS Common Reporting Standard Canada application or through batch process. For more information on creating reports, refer to *Creating CRS Canada Reports*.

Once the reports are created they are displayed in the Search and List page. Users mapped to the role of Analyst can update the report information as needed and submit the report details for approval to the Supervisor.

The Supervisor can approve, rework, or cancel filing of reports once an Analyst has requested approval. On the other hand, Supervisors can also edit the report details and approve reports directly, if needed.

If the report is approved by the Supervisor, the status of the report changes to *Approved*. For more information on approving reports, refer *Approving Reports*.

Once the report is approved, the approved report goes through the E-File Generation process. For more information, refer to *Generating E-File*.

If required, the Supervisor can send the report for rework when the report is in request for approval status. The analyst must then re-work the report and re-submit the report for approval. This process continues until the report is approved or canceled. For more information, refer to *Sending Reports For Rework*.

If the Supervisor determines that a report should not be filed, they can cancel it. If the report is canceled, the report details cannot be edited and the report is in View mode. The status of the report changes to *canceled*. For more information, refer to *Canceling Filing of Reports*.

The application allows users mapped to the role of Supervisor to re-open canceled reports. The status of the report changes to *Reopened*. For more information, refer to *Reopening Reports*.

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

The report has a life cycle which begins with the *Open* status and ends when it is in *Submitted* status.

**Note:** You cannot edit report details when the report is in *View Only* mode. You can add comments to a report in all statuses.

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

The following figure depicts the workflow of CRS Canada reports:

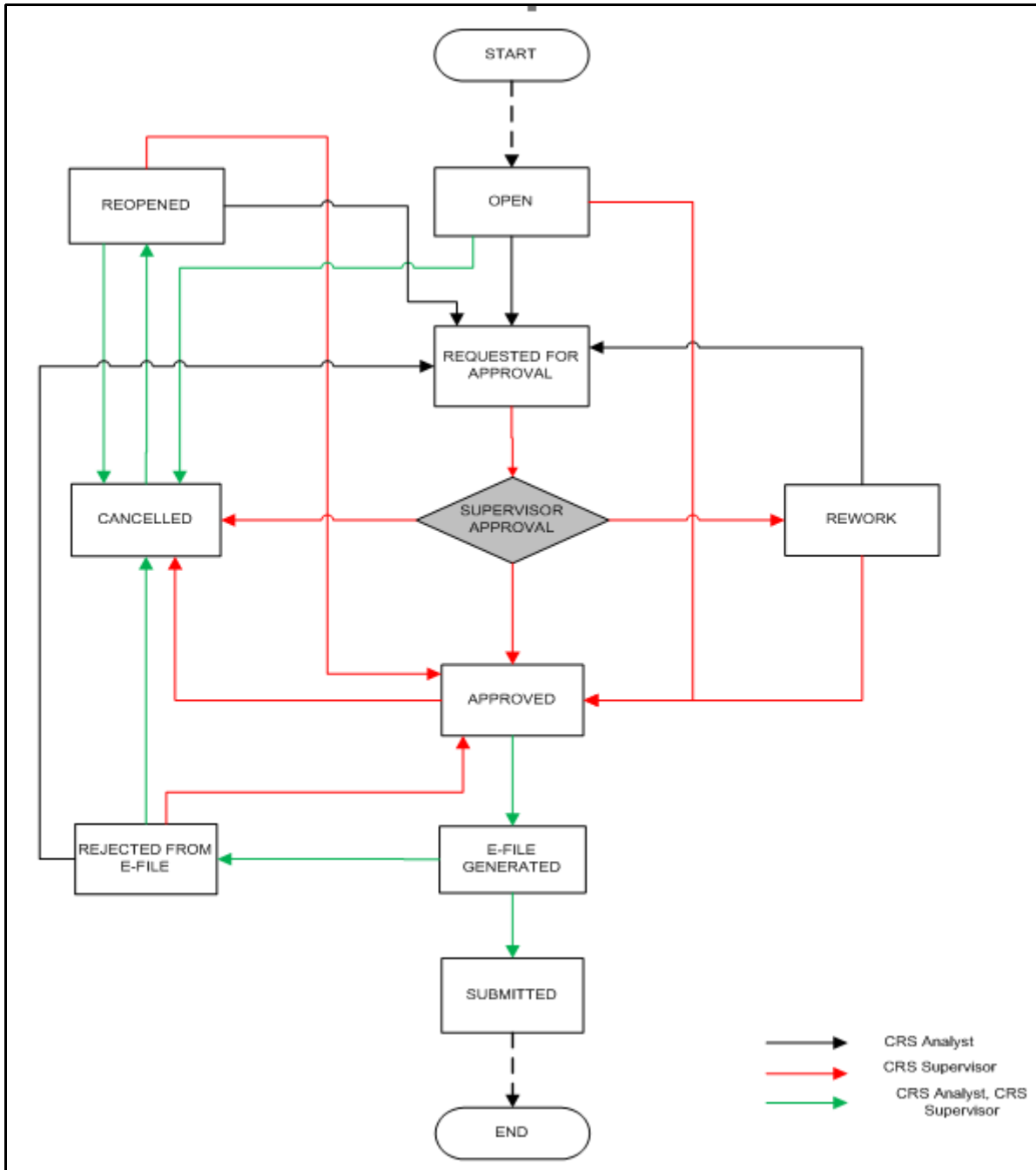


Figure 4. Workflow of CRS Canada Reports

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

If you try to take action on one or more than one report and all the reports are locked by another user, the application displays the following message: *All the selected reports are locked by another user. Please try again later.*

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

**Table 3. Actions that can be Performed in Various Statuses**

Status	Possible Action	User	Resulting Status
Open	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst, Supervisor	Canceled
Reopened	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst, Supervisor	Canceled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	canceled
Approved	Submitted	Analyst, Supervisor	Submitted
	Cancel Filing	Supervisor	Canceled
Rework	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
Canceled	Reopen	Analyst, Supervisor	Reopened
Submitted	Reopen	Analyst, Supervisor	Reopened

The following table explains in which statuses an Analyst or Supervisor user can edit the report details.

**Table 4. Status in which Reports are Editable by Users**

Status	Edit Report Details*		
	Analyst	Supervisor	Auditor
Open	X	X	
Reopened	X	X	
Requested for Approval		X	
Approved			
Rework	X	X	
Submitted			
canceled			

**Note:** Editing reports does not include addition of comments.

## Creating CRS Canada Reports

You can create CRS Canada reports when you want to submit reporting information to local regulator for any foreign account holder that a financial institution finds eligible for reporting.

This section covers the following topics:

- Creating Reports Manually from OFS CRS Canada
- Creating Reports Through Batch Process
- Creating Report Using CRS Canada Assessment

### Creating Reports Manually from OFS CRS Canada

You can manually create a new report using the **Create New Report** option in the OFS CRS Canada application.

**Note:** Users mapped to the role of Analyst and Supervisor can create new CRS Canada reports.

To create CRS Canada reports from OFS CRS Canada, follow these steps:

1. From the Regulatory Reporting menu, hover over **CRS Canada Reports** and click **Create New Report**. The Create New Report container is displayed.

**Or**

2. Click **Create New report** in the Search and List page. The Create New Report container is displayed.

Regulatory Reporting >> CRS Canada Reports >> Create New Report

Help

Save Reset

▼ Create New Report

Report Name\*

Business Domain

Jurisdiction\*

Legal Entity

CRS Status\*

Geographic Jurisdiction

Created Date 22-05-2018

Created By supervisor

Reporting Year Start Date >=\* 01-01-2018

Reporting Year End Date <=\* 31-12-2018

**Figure 5. Create New Report**

3. Enter the required information.

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



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

**Table 5. Create New Report**

Fields	Description
Report Name	Enter a name for the report being created. This is a mandatory field.
Jurisdiction	Select the jurisdiction from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration. <b>Note:</b> This is a mandatory field.
Business Domain	Select the business domain from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
Legal Entity	Select the legal entity from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
Geographic Jurisdiction	Select the geographic jurisdiction from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
Created Date	This field is auto-populated with the current system date. <b>Note:</b> This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. <b>Note:</b> This field cannot be edited.
CRS Canada Status	Select the CRS Canada status from the drop-down list. <b>Note:</b> This is a mandatory field.

4. Click **Save**. The following confirmation message is displayed: <> *Report created successfully. Click Ok to view the report details or Cancel to create more reports.*
5. Click **OK**. The Report Details page is displayed.

A new report is created and the due date is set as per the number of days configured in the application parameter Table.

If the Report Name, Jurisdiction, and CRS Canada Status are missing in the Create new Report grid, and when you click Save, the application displays the following message: *Report Name, Jurisdiction and CRS Canada Status are mandatory.*

### Creating Reports Through Batch Process

CRS Canada reports can also be generated through Batch Process. Reports are generated based on account identifier, customer identifier, CRS status, CRS Country Code and undocumented flag. These values are provided by the client. The reports are generated automatically whenever batch process is executed.

For more information on batch process, refer to the *CRS Administration and Configuration Guide*.

### Creating Report Using CRS Canada Assessment

CRS Canada reports can also be generated through CRS Assessments. Reports are generated based on account identifier, customer identifier, CRS status, CRS Country Code and undocumented flag. These values are taken up from CRS assessment.

User have to execute 2 batches to create reports for the same.

First batch populates required information in report staging area. For more information on this batch refer to CRS Assessment admin guide.

Second batch is the one listed above.

The reports are generated automatically whenever batch process is executed.

For more information on batch process, refer to the *CRS Administration and Configuration Guide*.

## Searching CRS Canada Reports

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

The Reports List displays the list of reports that meet the criteria specified on the Search bar.

This section explains the following topics:

- Searching CRS Canada Reports Using Simple Search
- Searching CRS Canada Reports Using Advanced Search
- Searching CRS Canada Reports Using Pre-defined Views
- Field Chooser List

### Searching CRS Canada Reports Using Simple Search

This search is based on a limited set of search components and helps to retrieve the required reports details.

To search for CRS Canada reports using the simple search components, follow these steps:

1. Navigate to the Search and List page.

The screenshot displays the 'Search and List' interface. At the top, there are navigation links: 'Regulatory Reporting >> CRS Canada Reports >> Search and List'. Below this, there are search options: 'Search', 'Views', 'Advanced Search', 'Reset', and 'Go'. The search criteria are organized into several rows of input fields:

- Report Number (text input)
- Account Holder Reportable Country(s) (dropdown)
- Account Number (text input)
- Jurisdiction (dropdown)
- Created By (dropdown)
- Geographic Jurisdiction (dropdown)
- TIN (Foreign) (text input)
- Reporting Year Start Date >= (calendar icon, value: 01-01-2018)
- Report Name (text input)
- Type of Filing (dropdown)
- Name of Account Holder (text input)
- Legal Entity (dropdown)
- Created Date >= (calendar icon, value: 31-12-2018)
- Number of Reportable Countries >= (text input)
- Due Date >= (calendar icon, value: 31-12-2018)
- Reporting Year End Date <= (calendar icon, value: 31-12-2018)
- Report Status (text input)
- CRS Status (text input)
- Name of Controlling Person (text input)
- Business Domain (text input)
- Created Date <= (calendar icon, value: 31-12-2018)
- Number of Controlling Persons >= (text input)
- Due Date <= (calendar icon, value: 31-12-2018)

Below the search criteria, there is a summary: 'Regulatory Reports (1064)'. A toolbar contains actions: 'Expand All', 'Cancel Filing', 'Reopen', 'Bulk Approve', 'Bulk Cancel', 'Bulk Reopen', and 'Export to Excel'. The main table shows the following data:

Report Number	Report Name	Type of Filing	CRS Status	Account Holder Reportable Country (	Account Number	Created By	Created Date	Due Date	Report Status	Reporting Year	Name of Account H
13109	CUCRSA-PE-ENT...	CA-Ori...	Passive N...	India,India.United Kinodm.Un...	ACCRSA-PE-E...	--	21-05-2018	31-12-2018	Rework	31-12-2018	DEPT OF STATE
13107	CUCRSA-PE-ENT...	CA-Ori...	Passive N...	United Kingdom	ACCRSA-PE-E...	--	21-05-2018	31-12-2018	Rework	31-12-2018	DEPT OF STATE

**Figure 6. Basic Search Components Update**

**Note:** The basic **Search** option is displayed by default.

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer to *Table 6*.

3. Click **Go**. The relevant search list is displayed. For detailed description of column in Field Chooser List grid, refer to *Field Chooser List*.

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

## Searching CRS Canada Reports Using Advanced Search

The Advanced Search offers the same search fields as provided for a simple search along with additional fields. If you know any of the report details such as approver details, last modified details, report submitted details, and so on, then you can filter the list of reports using the advanced search components.

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

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

The screenshot displays the 'Advanced Search' interface with the following search components:

- Report Number**: Text input field.
- Account Holder Reportable Country(s)**: Dropdown menu.
- Account Number**: Text input field.
- Jurisdiction**: Dropdown menu.
- Created By**: Dropdown menu.
- Geographic Jurisdiction**: Dropdown menu.
- TIN (Foreign)**: Text input field.
- Last Modified By**: Dropdown menu.
- Approved By**: Dropdown menu.
- Submitted By**: Dropdown menu.
- E-File Number**: Text input field.
- Report Name**: Text input field.
- Type of Filing**: Dropdown menu.
- Name of Account Holder**: Text input field.
- Legal Entity**: Dropdown menu.
- Created Date >=**: Date picker with clear icon.
- Number of Reportable Countries >=**: Text input field.
- Due Date >=**: Date picker with clear icon.
- Last Modified Date >=**: Date picker with clear icon.
- Approved Date >=**: Date picker with clear icon.
- Submitted Date >=**: Date picker with clear icon.
- Account Balance >=**: Text input field.
- Reporting Year Start Date >=**: Date picker with clear icon, value: 01-01-2018.
- Report Status**: Dropdown menu.
- CRS Status**: Dropdown menu.
- Name of Controlling Person**: Text input field.
- Business Domain**: Dropdown menu.
- Created Date <=**: Date picker with clear icon.
- Number of Controlling Persons >=**: Text input field.
- Due Date <=**: Date picker with clear icon.
- Last Modified Date <=**: Date picker with clear icon.
- Approved Date <=**: Date picker with clear icon.
- Submitted Date <=**: Date picker with clear icon.
- Account Balance <=**: Text input field.
- Reporting Year End Date <=**: Date picker with clear icon, value: 31-12-2018.

**Figure 7. Advanced Search Components**

**Note:** The application supports right-click options on some columns within the List header that allow users to specify sorting as well as hide or display columns.

- **Ascending** - This option allows you to sort the selected column in ascending order.
- **Descending** - This option allows you to sort the selected column in descending order.
- **Clear sort** - This option allows you to clear the selected sort option.
- **Field Chooser** - This option allows you to hide or display columns within the current list as well as modify the width of the columns. Click **OK** on Field Chooser to save the selected settings for the current session or click **Save** will save the selected settings for future logins.
- **Group by Tab** - This option allows you to group the reports and display them in different tabs as per the selected column.
- **Group By Tree** - This option allows you to group the reports and display them in tree format as per the selected column.

3. Enter the search components to filter the reports.

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

**Table 6. Components of Simple and Advanced Search Bar**

Criteria	Search Component of Advanced/Simple Search	Description
Report Number	Simple Search and Advanced Search	<p>Enter the Report number in the text field to search for details of the exact report. This field supports wildcard search.</p> <p>You can enter a maximum of 50 characters in this field beyond which the application displays the following message: <i>Number of characters exceeded.</i></p>
Report Name	Simple Search and Advanced Search	<p>Enter the report name to display the list of reports with name as specified in the search criteria. This field supports wildcard search.</p> <p>You can enter a maximum of 50 characters beyond which the application displays the following message: <i>Number of characters exceeded.</i></p>
Report Status	Simple Search and Advanced Search	<p>Select the report status from the drop-down list to display reports in the selected status.</p> <p>Following are the options available for Report status drop-down list:</p> <ul style="list-style-type: none"> <li>● Approved</li> <li>● Awaiting Submission</li> <li>● Canceled</li> <li>● E-File Generated</li> <li>● Open</li> <li>● Rejected from E-File</li> <li>● Reopened</li> <li>● Requested for Approval</li> <li>● Rework</li> <li>● Submitted</li> </ul> <p>This field allows searching of reports with multiple options selected.</p>
Account Holder Reportable Country(s)	Simple Search and Advanced Search	<p>Select the Reportable country from the multi-select drop-down list.</p>

Criteria	Search Component of Advanced/Simple Search	Description
Type of Filing	Simple Search and Advanced Search	<p>Select the type of filing from the multi-select drop-down list to display reports of the specified filing type. For all newly created reports type of filing is defaulted to new and is not editable. Once user takes generate revised report action on a submitted report user will be able to change the type of filing in generate revised report pop-up.</p> <p>Following are the possible options:</p> <ul style="list-style-type: none"> <li>● New</li> <li>● Corrected</li> <li>● Deleted</li> </ul>
CRS Status	Simple Search and Advanced Search	<p>Select the CRS status from the drop-down list to display reports in the selected status.</p> <p>This field allows searching of reports with multiple options selected. The drop-down displays only reportable CRS status as options and these options can be configured. The following are the options:</p> <ul style="list-style-type: none"> <li>● CRS Reportable Person</li> <li>● Passive NFE that is a CRS Reportable Person</li> <li>● Passive NFE with one or more controlling person that is a Reportable Person</li> </ul>
Account Number	Simple Search and Advanced Search	<p>Enter the account number to display reports with the selected account number. You can perform multiple account number search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.</p>
Name of Account Holder	Simple Search and Advanced Search	<p>Enter the name of the account holder to display reports where the person specified is the account holder. This field allows you to enter a maximum of 255 characters and supports wild-card search.</p>
Name of Controlling Person	Simple Search and Advanced Search	<p>Enter the name of the controlling person to display reports where the person specified is the Controlling Person of the account. This field allows you to enter a maximum of 255 characters and supports wild-card search.</p>
Jurisdiction	Simple Search and Advanced Search	<p>Select the jurisdiction from the multi-select drop-down list to display reports of the selected jurisdiction. The possible options for jurisdiction is derived from the DIM tables.</p>
Legal Entity	Simple Search and Advanced Search	<p>Select the legal entity from the drop-down list.</p>
Business Domain	Simple Search and Advanced Search	<p>Select the business domain from the multi-select drop-down list to display reports of the specified business domain. The possible options for business domain is derived from the DIM tables.</p>

Criteria	Search Component of Advanced/Simple Search	Description
Created By	Simple Search and Advanced Search	Select the user who has created the report from the drop-down list. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.
Created Date >=	Simple Search and Advanced Search	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.
Created Date <=	Simple Search and Advanced Search	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date.  <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Created Date &lt;=' less than 'Created Date &gt;=', the application displays the following message: <i>Please enter a 'Created Date &lt;=' which is equal to or greater than 'Created Date &gt;='.</i></li> <li>2. If you enter a value in created date &lt;= greater than the system date, the application displays the following message: <i>Please enter a 'Created Date &lt;=' which is earlier than or equal to sysdate.</i></li> </ol>
Geographic Jurisdiction	Simple Search and Advanced Search	Select the geographic jurisdiction from the multi-select drop-down list to display reports of the selected jurisdiction. The possible options for jurisdiction is derived from the kdd_geo_jrsdcn tables.
Number of Reportable Countries>=	Simple Search and Advanced Search	Enter the Number of Reportable Countries in this field. This field indicates the total number of reportable countries for the account holder.
Number of Controlling Person>=	Simple Search and Advanced Search	Enter the Number of Controlling Person in this field. This field indicates the total number of records for Controlling Person Information section.
Due Date>=	Simple Search and Advanced Search	Select the due date from the calendar to display reports having due date greater than or equal to the specified date.  <ol style="list-style-type: none"> <li>1. If you enter a date in 'Due Date &lt;=' which is less than 'Due Date &gt;=', the application displays the following message: <i>Please enter a 'Due Date &lt;=' which is equal to or greater than 'Due Date &gt;='.</i></li> <li>2. If you enter a due date which is less than current date, the application displays the following message: <i>Please enter a due date which is equal to or greater than sysdate.</i></li> </ol>
Due Date<=	Simple Search and Advanced Search	Select the due date from the calendar to display reports having due date lesser than or equal to the specified date.  While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: <i>Please enter a 'Due Date &lt;=' which is equal to or greater than 'Due Date &gt;='.</i>



Criteria	Search Component of Advanced/Simple Search	Description
Last Modified By	Advanced Search	Select the user who has last modified the report from the drop-down list. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.
Last Modified Date >=	Advanced Search	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date. You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.
Last Modified Date <=	Advanced Search	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date.  <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Last Modified Date &lt;=' less than 'Last Modified Date &gt;=', the application displays the following message: <i>Please enter a 'Last Modified Date &lt;=' which is equal to or greater than 'Last Modified Date &gt;='.</i></li> <li>2. If you enter a value in 'Last Modified Date &lt;=' greater than the system date, the application displays the following message: <i>Please enter a 'Last Modified Date &lt;=' which is earlier than or equal to sysdate.</i></li> </ol>
Approved By	Advanced Search	Select the name of the approver to search for reports approved by the selected user. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.
Approved Date >=	Advanced Search	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.
Approved Date <=	Advanced Search	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date.  <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Approved Date &lt;=' less than 'Approved Date &gt;=', the application displays the following message: <i>Please enter an 'Approved Date &lt;=' which is equal to or greater than Approved Date &gt;=.</i></li> <li>2. If you enter a value in 'Approved Date &lt;=' greater than the system date, the application displays the following message: <i>Please enter an 'Approved Date &lt;=' which is earlier than or equal to sysdate.</i></li> </ol>
Submitted By	Advanced Search	Select the name of the filer from the drop-down list to search for reports submitted by the selected user. This field allows searching of reports with multiple options selected.
Submitted Date >=	Advanced Search	Select the filed date from the calendar to display reports having filed date greater than or equal to the specified date.

Criteria	Search Component of Advanced/Simple Search	Description
Submitted Date <=	Advanced Search	Select the filed date from the calendar to display reports having filed date lesser than or equal to the specified date.  1. While performing a range search, if you enter a value in 'Filed Date <=' less than 'Filed Date >=', the application displays the following message: <i>Please enter a 'Submitted Date &lt;=' which is equal to or greater than "Submitted Date &gt;='.</i>  2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Submitted Date &lt;=' which is earlier than or equal to sysdate.</i>
E-File Number	Advanced Search	Enter the E-File number in this field. This is the number of the E-File in which the current report is included. This field is blank until the report moves to the <i>Efile Generated</i> Status.
Account Balance >=	Advanced Search	Enter the Account Balance in this field. This field is used to search reports based on the Account Balance. You should be able to search for account balance in the range provided. The Account Balance of the account on which a report has been created is greater than or equal to the specified amount is indicated here.
Account Balance <=	Advanced Search	Enter the Account Balance in this field. This field is used to search reports based on the Account Balance. You should be able to search for account balance in the range provided. The Account Balance of the account on which a report has been created is less than or equal to the specified amount is indicated here.
Reporting Year Start Date>=	Simple Search and Advanced Search	This field displays the reporting year start date at the time of report creation. Select the reporting start date from the calendar to display reports having a reporting year start date greater than or equal to the specified date. If the user tries to enter a date in Reporting Year End Date <= which is prior to the date entered in Reporting Year Start Date >=, an error message is displayed: <i>"Please enter a Reporting Year End Date &lt;=' which is greater than ' Reporting Year Start Date &gt;="</i> , if the <i>'Reporting Year End Date &lt;=' is prior to the date entered in 'Reporting Year Start Date &gt;=.</i>
Reporting Year End Date<=	Simple Search and Advanced Search	This field displays the reporting year end date at the time of report creation. Select the reporting end date from the calendar to display reports having a reporting year start date lesser than or equal to the specified date.

3. Click **Go**. The relevant search list is displayed. For detailed description of column in Field Chooser List grid, refer to *Field Chooser List*.

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

## Searching CRS Canada Reports Using Pre-defined Views

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

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

1. Navigate to Search and List page.

**Note:** By default, the Search and List page displays all the available records.

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



**Figure 8. Pre-defined views Search**

3. Select any of the pre-defined views from the Views drop-down list. The Search and List page refreshes to show results matching the View criteria. For detailed description of column in Field Chooser List grid, refer to *Field Chooser List*.

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

**Table 7. Pre-defined Views**

Views	Description
Reports Awaiting Approval	Select <b>Reports Awaiting Approval</b> from the drop-down list to display the list of reports in <i>Requested for Approval</i> status.  This option is the default view for Supervisor.  <b>Note:</b> Users will be allowed to take action on the Reports Awaiting Approval based on the user role, actions and status mapping.
Open/ Reopened/Rework – Last Modified by Me	Select <b>Open/ Reopened - Reports Last Modified by Me</b> from the drop-down list to display reports in Open/Reopened/Rework status for which the logged in user is the last modifier. This option is the default view for an Analyst.
Reports Nearly Due	Select <b>Reports Nearly Due</b> from the drop-down list to display the reports that are approaching their due dates. The Nearly Due date is defined as 4 days from the due date or all the reports in which due date is System date +4. Reports which are nearly due are highlighted in <i>Yellow</i> color.
Reports Overdue	Select <b>Reports Overdue</b> from the drop-down list to display the list of reports that have exceeded their due dates. When a report is past its due date or when the due date is same as the system date, the reports in the Search and List page are highlighted in <i>Red</i> color.

**Table 7. Pre-defined Views**

Views	Description
Reports Submitted in the Last 3 Months	Select <b>Reports Filed in Last 3 Months</b> from the drop-down list to display reports that were submitted in the last 3 months. This option is the default view for an Auditor.
All saved views by user	Select any of the views that you have created and saved using the <b>Save as View</b> button to display reports as per the view selected. For more information, refer to section <i>Saving Views</i> . The saved view is available only to the user creating the view and will not be available to other users.

## Saving Views

The **Save as View** action allows you to save the search criteria as a view. The saved views will be available in the Views drop-down list.

To save a view, follow these steps.

1. Navigate to Search and List page and click **Advanced Search**.
2. Enter the search criteria you want to save as view.
3. Click **Save as View**. The Save as View window is displayed.

The screenshot shows a window titled 'Save as View Window'. It contains a text input field labeled 'View Name\*' and a larger text area labeled 'View Details'. At the bottom of the window, there are three buttons: 'Save', 'Clear', and 'Close'.

**Figure 9. Save as View Window**

4. Enter the view name and view details.  
The View Details box in the **Save as view** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded*.
5. Click **Save**. The following message is displayed: *Add Operation Successful*.
6. Click **OK**. The view is saved and is displayed in the Views drop-down list.

The saved view is available only to the user creating the view and will not be available to any other users.

## Field Chooser List

This section explains the field chooser list grid. It is displayed as the result based on the search done using any of the three search criteria (Basic Search, Advance Search and Pre-defined Views. Following are the list of columns displayed in the grids as search result:

- **Name of Controlling Person' (s):** This column displays the name of the controlling person specified for the account displayed as the search result. In case of multiple controlling person names are displayed by comma separated values.
- **Case ID:** This column displays the case ID of the account holder listed as the search result.  
**Note:** This is field is not used not used at this moment.
- **Source System:** This column displays the source system of the account from which the data is extracted.
- **Approved By:** This column displays the name of the approver for reports approved by the selected user.
- **Approved Date:** This column displays approved date from calendar for reports having an approved date greater than or equal to the specified date.
- **Submitted By:** This column displays the name of the filer selected from the Submitted By drop-down list.
- **Submitted Date:** This column displays the dates on which the reports were submitted.
- **Jurisdiction:** This column displays the list of jurisdictions selected by the user in the search.
- **Geographic Jurisdiction:** This column displays the geographical jurisdiction as per the data entered by the user for search.
- **Business Domain:** This column displays the business domain of the reports selected by the user in the search.
- **Latest Comments:** This column displays the latest comment added while taking any action on report.
- **Account Balance:** This column displays the account balance based on the range selected in the search criteria.
- **Name of Filer:** This columns displays the name of the filer of the report.
- **Prior Report Number:** This column displays the number of the report to which the account was assigned prior to the current report number.
- **Identification Number:** This column displays the identification number based on the identification number of the account holder for the report. In case of multiple identification number, the numbers are displayed by comma separated values.
- **E-File Number:** This column displays the E-File number in which the listed reports are included.
- **Prior E-File Number:** This column displays the e-file number of the account to which the account was assigned prior to the current e-file number.
- **Number of Reportable Countries:** This column displays the total number of reportable country for the account holder. In case of multiple number of reportable countries, the name of the countries are displayed by comma separated values.
- **Number of Owners:** This column displays the number of owner for the account.
- **Legal Entity:** This column displays the list of legal entity of the accounts selected during the search.
- **TIN of Account Holder:** This column displays the TIN (Taxpayer Identification Number) of the account holder. In case of multiple TIN of account holder, the TIN numbers are displayed by comma separated values.

- **TIN of Controlling Person:** This column displays the TIN (Taxpayer Identification Number) of the controlling person. In case of multiple TIN of controlling person, the TIN numbers are displayed by comma separated values.
- **Controlling Person Reportable Country(s):** This column displays the reportable country of the controlling person. In case the controlling person has multiple number of reportable countries, then names of the countries are displayed by comma separated values.
- **Account Holder Customer Identifier:** This column displays the customer identifier details of the account holder.
- **Controlling Person Customer Identifier:** This column displays the customer identifier details of the controlling person.

## ***Filing and Submitting CRS Canada Reports for Approval***

This process involves the following steps:

- Entering Report Details in Report Details Page
- Taking Actions on CRS Canada Reports

### **Entering Report Details in Report Details Page**

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

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

The Report Details page allows you to manage the following sections:

- Report Context
- Filer Information
- Account Holder/Controlling Person
- Financial Information
- Related Reports
- Documents
- Audit

This section explains the following topics:

- Managing Filer Information Tab
- Managing Account Holder/Controlling Person Tab
- Managing Financial Information Tab
- Managing Related Reports Tab
- Managing Documents Tab
- Viewing Audit Information
- Validation

## Report Context

The Report Context section in the Report Details page displays information about the report and is non-editable. It contains minimize and maximize buttons that allow you to expand and collapse the details in the Report Context. By default, the Report Context container is in minimized mode and displays report number, report name, and report status.

Report Context			
Report Number	13109	CRS Status	Passive NFE with one or more controlling person that is a Reportable Person
Report Status	Rework	Report Name	CUCRSA-PE-ENT-CUST-GB-010-05212018074001
Jurisdiction	GERMANY	Legal Entity	CRA
Created By	SYSTEM	Business Domain	General
Created Date	21-05-2018 07:40:01	Last Modified By	--
Prior Report Number	--	Approved By	--
E-File Number	--	Last Modified Date	21-05-2018 07:40:49
Reporting Year Start Date	01-01-2018	Approved Date	--
Reporting Year End Date	31-12-2018	Type of Filing	CA-Original
		Account Holder Reportable Country (s)	India,United Kingdom,United States
		Prior E-File Number	--

**Figure 10. Report Context**

The Report Context displays the following information:

- Report Number
- CRS Status
- Report Status
- Report Name
- Jurisdiction
- Geographic Jurisdiction
- Business Domain
- Created By
- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date
- Prior Report Number
- Type of Filing
- Account Holder Reportable Country (s)
- E-File Number
- Prior E-File Number
- Reporting Year Start Date

- Reporting Year End Date



## Managing Filer Information Tab

This tab refers to the **Filer Information** section in the CRS Canada report.

The Filer Information tab is the default tab selected when you navigate to the Report Details page. This tab provides information about the bank or the financial institution filing the report.

Filer Information	Account Holder/Controlling Person	Financial Information	Related Reports	Documents	Audit
Identification of Financial Institution					
Name of Filer*		CRS		Tax Residence Country (s) Albania	
Type of Filing		OECD-New			
Name					
Name Type		Alias		Organisation Name CRS	
Address					
Identification Details					
Identification Number		132113211		Identification Type TIN	
Issued By		Afghanistan			
History (0)					
Change Expand All					

**Figure 11. Filer Information Tab**

The following table explains the fields in Filer Information tab:

**Table 8. Fields in Filer Information Tab**

Section	Field	Description
Identification of Financial Institution	Filer Name	Select the name of the filing institute from the drop-down list. If Name of Filer is missing from the Filer Information Tab, the application displays the following message: <i>Please enter Name of Filer as it is a mandatory field.</i>
	Type of Filing	Displays the type of filing from the drop-down list. For all newly created reports type of filing will be defaulted to new and is not editable. once user takes generate revised report action on a submitted report user will be able to change the type of filing in generate revised report pop-up.  Following are the possible values: <ul style="list-style-type: none"> <li>● CA - Original</li> <li>● CA - Amendment</li> <li>● CA - Cancel</li> <li>● CA - Fix</li> </ul>
	Tax Residence Country (s)	Displays the country in which the filing institution is located.
Name	Name Type	Displays the Name Type of the Financial Institution that has filed the report.
	Organization Name	Displays the name of the Organization that the financial institution belongs to.

Section	Field	Description
Address	Address Type	Displays the type of Address of the financial institution.
	Post Box #	Displays the Post Box Number of the financial institution.
	Floor Identifier	Displays the Floor Identifier of the financial institution.
	Suite Identifier	Displays the Suite Identifier of the financial institution.
	Building Identifier	Displays the Building Identifier of the financial institution.
	Street	Displays the street in which the financial institution is located
	District Name	Displays the district in which the financial institution is located
	Postal Code	Displays the Postal Code in which the financial institution is located.
	City	Displays the city in which the financial institution is located.
	Country	Displays the country in which the financial institution is located.
	Country sub entity	Displays the country sub-entity in which the financial institution is located.
Identification Details	Identification Number	Displays the Identification Number of the financial institution.
	Identification Type	Displays the Identification Type of the financial institution.
	Issued By	Displays the issued by, of the financial institution.
Contact Details	Filer Account Number	Displays the number of the bank or the financial institution filling the report.
	Contact Name	Displays the contact name of the filer.
	Contact Phone Area Code	Displays the contact phone area code of the filer.
	Contact Phone Number	Displays the contact phone number of the filer.
	Contact Phone Extension Number	Displays the contact phone extension number of the filer.
	Contact Email Address	Displays the email address of the filer.

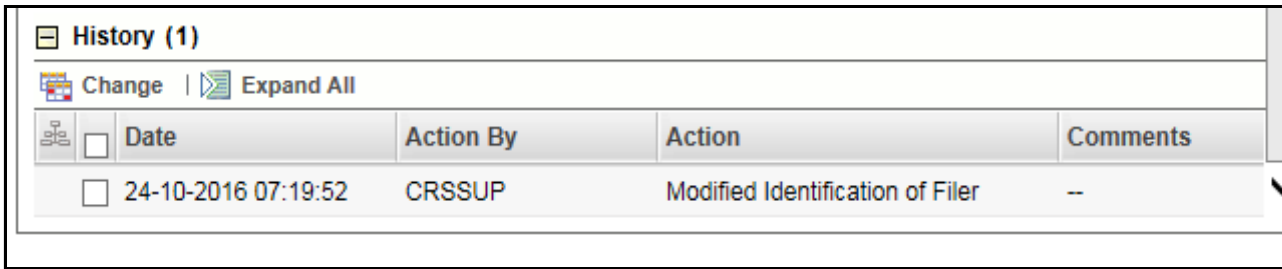
To save information in Filer Information tab, enter the required information in the fields and then click **Save**. Click **Reset**, to reset the values to last saved data.

If you click on **Request for approval/approve** and if required mandatory fields such as Type of Filing, or Name of Filer are missing in the Filer Information tab, the application displays the following message: *Required mandatory information is missing on Filer Information tab.*

### **History**

The system displays the history of the report in the History Grid. The history grid displays the following columns:

- Date
- Action By
- Action
- Comments



<input type="checkbox"/>	Date	Action By	Action	Comments
<input type="checkbox"/>	24-10-2016 07:19:52	CRSSUP	Modified Identification of Filer	--

**Figure 12. History Grid**

If user want to see the change that has been made from the previous entries, then click **Change**. A minimum of two entries have to be selected to use this function. Once multiple entry is selected click **Change**. A new window is open which lists entries in column with the changes mentioned in red. .

## Managing Account Holder/Controlling Person Tab

This tab refers to the **Account Holder or Controlling Person section** in the Final report.

If required information is missing in Account Holder/Controlling Person tab and when you click **Validate**, the application displays the following message, depending on the information missing: *1,2 - Records are missing required information. Please make sure that you have provided values for Name of Account Holder, City or Town, Country and Identification Number of Account Holder.*

The Account Holder/Controlling Person tab provides details about the account holder/controlling person.

This tab displays the following sections:

- Account Holder Information
- Controlling Person Information

### **Account Holder Information**

An Account Holder can be classified into two types namely, Person and Entity.

You must select the Account Holder type as *Person* when the reported account holder is an individual, and *Entity* when the reported account holder involved is an organization or a financial institution.

**Note:** Customer Type, First Name/Organization Name, Last Name, Country, City, CRS Status, Identification details (Grid should be error free and at least one record) are mandatory. If any of the mandatory field are missing system shows the following error message: *Customer Type, First Name/Organization Name, Last Name, Country, City, Identification details and Account Holder Type are mandatory.*

**Note:** If any of the length check are missing system shows the following error message:

*Field length is more than what is permitted for: "Field Name comma separated where field length exceeds"*

*Fields for length check are First Name(30), Last Name(30), Middle name(30), City(30), Postal code(12), TIN(30), TIN for Canada (15,9 numeric)*

Filer Information	Account Holder/Controlling Person	Financial Information	Related Reports	Documents	Audit																											
<p>Account Holder Information</p> <p>Customer Identifier CUCRSA-E-ENT-CUST-CA-001 Customer Type* Entity</p> <p>CRS Status* Passive NFE with one or more controlling person that is a Reportable Person Account Holder Role Owner</p>																																
<p>Name</p> <p>Name Type Legal Preceding Title --</p> <p>Title MRS First Name/Organisation Name* DEPT OF STATE</p> <p>Middle Name -- Last Name* --</p> <p>Name Prefix -- Generation Identifier --</p> <p>Suffix JR General Suffix --</p>																																
<p>Address</p> <p>Address Type Residential or Business Post Box # GRID 548</p> <p>Floor Identifier SECTION 548 Suite Identifier APT 548</p> <p>Building Identifier B1901 HOLIDAY INN TOWERS Street SUITE 11447</p> <p>City* ALEXANDRIA Country* United States</p> <p>Country Subentity VA</p>																																
<p>Birth Details</p> <p>Date of Birth 01-07-1957 Country of Birth United Kingdom</p> <p>City of Birth -- City Subentity of Birth --</p> <p>Former Country Name --</p>																																
<p>Identification Details (3)  Expand All</p> <table border="1"> <thead> <tr> <th><input type="checkbox"/></th> <th>Record #</th> <th>Residential Country Code</th> <th>TIN (Foreign)</th> <th>TIN Issued By</th> <th>TIN Type (Foreign)</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td>1</td> <td>United States</td> <td></td> <td></td> <td></td> </tr> <tr> <td><input type="checkbox"/></td> <td>2</td> <td>United Kingdom</td> <td>BRZ-11123A</td> <td></td> <td>Tax Identifier</td> </tr> <tr> <td><input type="checkbox"/></td> <td>3</td> <td>United Kingdom</td> <td>CRZ-11123A</td> <td></td> <td>Tax Identifier</td> </tr> </tbody> </table>						<input type="checkbox"/>	Record #	Residential Country Code	TIN (Foreign)	TIN Issued By	TIN Type (Foreign)	<input type="checkbox"/>	1	United States				<input type="checkbox"/>	2	United Kingdom	BRZ-11123A		Tax Identifier	<input type="checkbox"/>	3	United Kingdom	CRZ-11123A		Tax Identifier			
<input type="checkbox"/>	Record #	Residential Country Code	TIN (Foreign)	TIN Issued By	TIN Type (Foreign)																											
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<p>Account Holder History (0)</p> <p> Change  Expand All</p>																																
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<p>Controlling Person Information (2)  Expand All</p> <table border="1"> <thead> <tr> <th><input type="checkbox"/></th> <th>Record #</th> <th>Customer Identifier</th> <th>Residence Country</th> <th>Controlling Person Type</th> <th>First Name</th> <th>Last Name</th> <th>Ownership Percentage</th> <th>Include in Current Report</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td>1</td> <td>CUCRSA-E-ENT-CUST-CA-011</td> <td>United Kingdom</td> <td>CP of legal person - own... </td> <td>LARA</td> <td>RANSON</td> <td>70</td> <td>Yes</td> </tr> <tr> <td><input type="checkbox"/></td> <td>2</td> <td>CUCRSA-E-ENT-CUST-CA-012</td> <td>United Kingdom</td> <td>CP of legal person - own... </td> <td>LARA</td> <td>RANSON</td> <td>70</td> <td>Yes</td> </tr> </tbody> </table>						<input type="checkbox"/>	Record #	Customer Identifier	Residence Country	Controlling Person Type	First Name	Last Name	Ownership Percentage	Include in Current Report	<input type="checkbox"/>	1	CUCRSA-E-ENT-CUST-CA-011	United Kingdom	CP of legal person - own...	LARA	RANSON	70	Yes	<input type="checkbox"/>	2	CUCRSA-E-ENT-CUST-CA-012	United Kingdom	CP of legal person - own...	LARA	RANSON	70	Yes
<input type="checkbox"/>	Record #	Customer Identifier	Residence Country	Controlling Person Type	First Name	Last Name	Ownership Percentage	Include in Current Report																								
<input type="checkbox"/>	1	CUCRSA-E-ENT-CUST-CA-011	United Kingdom	CP of legal person - own...	LARA	RANSON	70	Yes																								
<input type="checkbox"/>	2	CUCRSA-E-ENT-CUST-CA-012	United Kingdom	CP of legal person - own...	LARA	RANSON	70	Yes																								

Figure 13. Account Holder Tab

Account Holder has the information regarding the Account Holders of the given account. This tab explains about the following section available under Account Holder/Controlling Person Tab:

- Account Holder Information
- Name
- Address
- Birth Details
- Identification Details Grid
- Editing Account Holder Details
- Validating Account Holder
- Validating Account Holder
- Account Holder History Grid
- Identification Details History Grid

The following table displays the details you must enter in the Account Holder Information section:

**Table 9. Account Holder Information Details**

<b>Grid</b>	<b>Field</b>	<b>Description</b>
<i>Account Holder Information</i>	Customer Identifier	Enter the Customer Identifier of the primary account holder of the reported account. This field allows you to enter a maximum of 120 characters.
	Customer Type	Select the type of the Account Holder from the radio button. It can either be a <b>Person</b> or an <b>Entity</b> . <b>Note:</b> This is a mandatory field.
		<b>Note:</b>
	CRS Status	Select the type of CRS Status from the drop-down list. The following are the options: <ul style="list-style-type: none"> <li>● CRS Reportable Person</li> <li>● Passive NFE that is a CRS Reportable Person</li> <li>● Passive NFE with one or more controlling person that is a Reportable Person</li> </ul>
	Account Holder Role	Select the Account Holder Role from the drop-down list. The following are the options: <ul style="list-style-type: none"> <li>● Guardian</li> <li>● Joint Owner</li> <li>● Obligatory</li> <li>● Owner</li> <li>● Power of Attorney</li> <li>● Trading</li> <li>● Withdrawal</li> </ul>

Grid	Field	Description
<i>Name</i>	Name Type	Select the Name Type of the Account Holder.
	Preceding Title	Enter the Preceding Title of the Account Holder. <b>Note:</b> This field will be disabled if account holder is of type entity.
	Title	Enter the title of the Account Holder. <b>Note:</b> This field will be disabled if account holder is of type entity.
	First Name/ Organization Name	Enter the First Name of the Account Holder or the organization name. <b>Note:</b> This is a mandatory field.
	Middle Name	Enter the Middle Name of the Account Holder. <b>Note:</b> This field will be disabled if account holder is of type entity.
	Last Name	Enter the Last Name of the Account Holder. <b>Note:</b> This is a mandatory field for individual account holder. This field will be disabled if account holder is of type entity.
	Name Prefix	Enter the Name Prefix of the Account Holder. <b>Note:</b> This field will be disabled if account holder is of type entity.
	Generation Identifier	Enter the Generation Identifier of the Account Holder. <b>Note:</b> This field will be disabled if account holder is of type entity.
	Suffix	Enter the Suffix Name for the Account Holder. <b>Note:</b> This field will be disabled if account holder is of type entity.
	General Suffix	Enter the General Suffix for the Account Holder. <b>Note:</b> This field will be disabled if account holder is of type entity.
<i>Address</i>	Address Type	Enter the type of Address of the Account Holder.
	Post Box #	Enter the Post Box Number of the Account Holder.
	Floor Identifier	Enter the Floor Identifier of the Account Holder.
	Suite Identifier	Enter the Suite Identifier of the Account Holder.
	Building Identifier	Enter the Building Identifier of the Account Holder.
	Street	Enter the street where the Account Holder is located.
	District Name	Enter the district where the Account Holder is located.
	Postal Code	Enter the Postal Code where the Account Holder is located.
	City	Enter the city where the Account Holder is located. <b>Note:</b> This is a mandatory field.
	Country	Enter the country where the Account Holder is located. <b>Note:</b> This is a mandatory field.
	Country sub entity	Enter the country sub-entity in which the financial institution is located.
<i>Birth Details</i>	Date of Birth	Enter the Date of Birth of the Account Holder.
	Country of Birth	Select the Country of Birth of the Account Holder from the drop-down list.
	City of Birth	Enter the City of Birth of the Account Holder.
	City Sub-entity of Birth	Enter the City Sub-entity of Birth of the Account Holder.
	Former Country Name	Enter the former Country Name of the Account Holder, if any.

To save the details in Account Holder section, follow these steps:

1. Enter the required information in the fields in Account Holder section.

2. Click **Save**. The following message is displayed: *Update Operation Successful*.
3. Click **OK**. The saved details are displayed in Account Holder section.

### Identification Details Grid

The system displays the Identification Details in this grid. It displays the following columns:

- Residential Country Code
- TIN (Foreign)
- TIN Issued By
- TIN Type (Foreign)
- No TIN Reason

Identification Details (3) <span>Expand All</span>					
<input type="checkbox"/>	Record #	Residential Country Code	TIN (Foreign)	TIN Issued By	TIN Type (Foreign)
<input type="checkbox"/>	1	United States			
<input type="checkbox"/>	2	United Kingdom	BRZ-11123A		Tax Identifier
<input type="checkbox"/>	3	United Kingdom	CRZ-11123A		Tax Identifier

**Figure 14. Identification Details Grid**

All the columns above are editable. Check the box against the report, it enables the fields for further edits. Here user can also **Add, Remove, Save** and **Validate** a report.

**Note:** If there is a record in the Grid than “Residence Country Code” and “TIN” or “No TIN reason code” are mandatory field. Only one of the “TIN” or “No TIN Reason Code” can be part of a record. If this condition is not satisfied, the following error message is shown: *1,2 - Records are missing required information. Please make sure that you have provided values for Residence Country Code” and “TIN” or “No TIN Reason Code”. Record cannot have “TIN” and “No TIN Reason Code” both values.*

### Editing Account Holder Details

To edit account holder details, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Account Holder/Controlling Person** tab.

This list of Account Holders associated with the report are displayed in the Account Holder Information grid.

3. Select the check box at the beginning of a record row or click anywhere in the row. The details are displayed in the *Controlling Person Details* section.
4. Modify the required details.

**Note:** If Account Holder type is of “Passive Non-Financial Entity with – one or more controlling person that is a Reportable Person” type and user clicks **Save**, the application displays the following message: *You need to specify one Account Holder with “Include in Report” as “Yes” in Account Holder/Controlling Person tab.*



5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The modified details are saved.

### Validating Account Holder

If you click **Validate**, the application validates all the records in the grid. If there is any error, the application displays an error message. Each section has pre-defined validations and its errors are explained in it. Following are the validations for account holder section:

- Customer Type, First Name/Organization Name, Last Name, Country, City, CRS Status, Identification details (Grid should be error free and at least one record) are mandatory. If any of the mandatory field are missing system shows the following error message: *Customer Type, First Name/Organization Name, Last Name, Country, City, Identification details and Account Holder Type are mandatory. Please make sure maximum length of the fields are First Name(30), Organization Name(70), Middle Name (30), Last Name (30), City (28), Canadian TIN (9 OR 15), Foreign TIN (30), Country Subentity(30), Postal Code (12), Other Address field combined (60).*
- If any of the length check are missing system shows the following error message: *Field length is more than what is permitted for: "Field Name comma separated where field length exceeds."* Fields for length check are First Name(30), Last Name(30), Middle name(30), City(30), Postal code(12), TIN(30), TIN for Canada (15,9 numeric)
- If there is a record in the Grid than “Residence Country Code” and “TIN” or “No TIN reason code” are mandatory field. Only one of the “TIN” or “No TIN Reason Code” can be part of a record. If this condition is not satisfied, the following error message is shown: *1,2 - Records are missing required information. Please make sure that you have provided values for Residence Country Code” and “TIN” or “No TIN Reason Code”. Record cannot have “TIN” and “No TIN Reason Code” both values.*

**Note:** Identification details are mandatory only if CRS Status is not CRS101.

### Account Holder History Grid

The Account holder history grid displays the actions performed on that particular report regarding the account holder. The following fields are displayed in this grid:

- Date
- Action By
- Action
- Comments

#### Account Holder History (163)

Change | Expand All

<input type="checkbox"/>	Date	Action By	Action	Comments
<input checked="" type="checkbox"/>	05-02-2018 17:24:24	CRSADMIN	Updated Account Holder Inf... >>	--
<input type="checkbox"/>	05-02-2018 17:17:29	CRSADMIN	Updated Account Holder Inf... >>	--
<input type="checkbox"/>	05-02-2018 17:17:04	CRSADMIN	Updated Account Holder Inf... >>	--
<input type="checkbox"/>	05-02-2018 16:40:22	CRSADMIN	Updated Account Holder Inf... >>	--
<input type="checkbox"/>	05-02-2018 16:38:34	CRSADMIN	Updated Account Holder Inf... >>	--

**Figure 15. Account Holder History Grid**

If user want to see the change that has been made from the previous entries, then click **Change**.

Field	Instance 1	Instance 2	Instance 3	Instance 4
Customer Identifier	4234	4234	4234	4234
Customer Type	Person	Person	Person	Person
Tax Residency Country(s)				
CRS Status	2	2	2	2
Account Holder Role				
Name Type				
Preceding Title				
Title				
First Name/Organisation Name	sdfsdfs	sdfsdfs-	sdfsdfs-	sdfsdfs-
Last Name	dsfsdf	dsfsdf	dsfsdf	dsfsdf
Middle Name				
Name Prefix				
Generation Identifier				
Suffix				
General Suffix				
Address Type				
Post Box				
Floor Identifier				
Suite Identifier				
Building Identifier				
Street				liu
District				

**Figure 16. Account holder or Payee Information Change action window**

A minimum of two entries have to be selected to use this function. Once multiple entry is selected click **Change**. A new window is open which lists entries in column with the changes mentioned in red fonts.

*Identification Details History Grid*

The system displays the history of the Identification Details in this grid. It displays the following fields:

- Date
- Action By
- Action
- Comments

Identification Details History (0)				
Change  Expand All				
<input type="checkbox"/>	Date	Action By	Action	Comments
No Data Found				

**Figure 17. Identification Details History Grid**

If user want to see the change that has been made from the previous entries, then click **Change**.

Customer Identifier	4234	4234	4234	4234
Customer Type	Person	Person	Person	Person
Tax Residency Country(s)				
CRS Status	2	2	2	2
Account Holder Role				
Name Type				
Preceding Title				
Title				
First Name/Organisation Name	sdfdsfdf	sdfdsfdf-	sdfdsfdf-	sdfdsfdf-
Last Name	dsfsdf	dsfsdf	dsfsdf	dsfsdf
Middle Name				
Name Prefix				
Generation Identifier				
Suffix				
General Suffix				
Address Type				
Post Box				
Floor Identifier				
Suite Identifier				
Building Identifier				
Street				iu
District				

**Figure 18. Identification Details History Grid Change action window**

A minimum of two entries have to be selected to use this function. Once multiple entry is selected click **Change**. A new window is open which lists entries in column with the changes mentioned in red fonts.

### Controlling Person Information

This section displays details about the Controlling Person information as specified. You are allowed to add a Controlling Person irrespective of the account type. The final report does not include the Controlling Person details, when the Customer Type is of “Passive Non-Financial Entity with – one or more controlling person that is a Reportable Person” type. It is included only if the Customer Type is **Entity**.

Controlling Person Information section is displayed only if the Customer Type is *Entity*.

If there is no record with Include in Report as **Yes** in grid and when you click **Save**, the application displays the following message: *You need to specify one Controlling Person with “Include in Report” as “Yes” in Account Holder/Controlling Person tab.*

✓ Controlling Person Details		
Include in Report*	Yes	Customer Identifier CUCRSA-E-ENT-CUST-CA-011
Controlling Person Type	CP of legal person - ownership	Controlling Person Role Owner
Ownership Percentage	70	
✓ Name		
Name Type	Individual	Preceding Title --
Title	MRS	First Name* LARA
Middle Name	COOL	Last Name* RANSON
Name Prefix	--	Generation Identifier --
Suffix	JR	General Suffix --
✓ Address		
Address Type	Residential or Business	Post Box # GRID 542
Floor Identifier	SECTION 542	Suite Identifier APT 542
Building Identifier	B1901 HOLIDAY INN TOWERS	Street SUITE 11441
District Name	AREA 542	Postal Code 22303
City*	ALEXANDRIA	Country* United Kingdom
Country Subentity	VA	
✓ Birth Details		
Date of Birth	01-07-1957	Country of Birth United Kingdom
City of Birth	--	City Subentity of Birth --
Former Country Name	--	

**Figure 19. Adding Controlling Person Details**

This tab explains about the following section available under Account Holder/Controlling Person Tab:

- Adding Controlling Persons
- Controlling Person Details
- Name
- Address
- Birth Details
- Identification Details Grid
- Editing Controlling Person Details
- Removing Controlling Person
- Validating Controlling Person
- Identification Details History Grid
- Controlling Person History Grid

### *Adding Controlling Persons*

To add a Controlling Person, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Account Holder/Controlling Person** tab.
3. Click **Add** in the Controlling Person Information grid.
4. The Controlling Person Details section expand below the Controlling Person Information grid.
5. Enter the required information.

**Note:** First Name, Last Name, Country, City, Identification details (Grid should be error free and at least one record) are mandatory. If you click **Request for Approval/Approve**, and if any of the mandatory field are missing the system shows the following error message: *First Name, Last Name, Identification details, Country, and City are mandatory. Please make sure maximum length of the fields are First Name(30), Middle Name (30), Last Name (30), City (28), Canadian TIN (9 OR 15), Foreign TIN (30),Country Subentity(30), Postal Code (12), Other Address field combined (60).*

If any of the length check are missing the system shows the following error message. *Field length is more than what is permitted for: "Field Name comma separated where field length exceeds". Fields for length check are First Name(30), Last Name(30), Middle name(30), City(30), Postal code(12), TIN(30), TIN for Canada (9 numeric).*

The following table explains the fields in the Add Controlling Person section.

**Table 10. Add Controlling Person Details**

Grid	Field	Description
<i>Controlling Person Details</i>	Include in Report	Select the <b>Yes</b> or <b>No</b> button to indicate whether the controlling person of the account must be reported in the report. <b>Note:</b> This is a mandatory field.
	Customer Identifier	Enter the Customer Identifier of the controlling person of the reported account. This field allows you to enter a maximum of 120 characters.
	Tax Residence Country (s)	Select the Tax Residence Country of the Controlling Person. You can select multiple countries from the drop-down list. <b>Note:</b> This is a mandatory field.
	Controlling Person Type	Select the type of the Controlling Person from the drop-down list. The following are the options: <ul style="list-style-type: none"> <li>● CP of legal person - ownership</li> <li>● CP of legal person - other means</li> <li>● CP of legal person - senior managing official</li> <li>● CP of legal arrangement - trust - settler</li> <li>● CP of legal arrangement - trust - trustee</li> <li>● CP of legal arrangement - trust - protector</li> <li>● CP of legal arrangement - trust - beneficiary</li> <li>● CP of legal arrangement - trust - other</li> <li>● CP of legal arrangement - other - settler-equivalent</li> <li>● CP of legal arrangement - other - trustee-equivalent</li> <li>● CP of legal arrangement - other - protector-equivalent</li> <li>● CP of legal arrangement - other - beneficiary-equivalent</li> <li>● CP of legal arrangement - other - other-equivalent</li> </ul>
	Controlling Person Role	Select the Controlling Person Role from the drop-down list. The following are the options: <ul style="list-style-type: none"> <li>● Guardian</li> <li>● Joint Owner</li> <li>● Obligatory</li> <li>● Owner</li> <li>● Power of Attorney</li> <li>● Trading</li> <li>● Withdrawal</li> </ul>
	Ownership Percentage	Enter the ownership percentage of the Controlling Person's account.

Grid	Field	Description
<i>Name</i>	Name Type	Select the Name Type of the Controlling Person.
	Preceding Title	Enter the Preceding Title of the Controlling Person.
	Title	Enter the title of the Controlling Person.
	First Name	Enter the First Name of the Controlling Person. <b>Note:</b> This is a mandatory field.
	Middle Name	Enter the Middle Name of the Controlling Person.
	Last Name	Enter the Last Name of the Controlling Person. <b>Note:</b> This is a mandatory field.
	Name Prefix	Enter the Name Prefix of the Controlling Person.
	Generation Identifier	Enter the Generation Identifier of the Controlling Person.
	Suffix	Enter the Suffix Name for the Controlling Person.
	General Suffix	Enter the General Suffix for the Controlling Person.
<i>Address</i>	Address Type	Enter the type of Address of the Controlling Person.
	Post Box #	Enter the Post Box Number of the Controlling Person.
	Floor Identifier	Enter the Floor Identifier of the Controlling Person.
	Suite Identifier	Enter the Suite Identifier of the Controlling Person.
	Building Identifier	Enter the Building Identifier of the Controlling Person.
	Street	Enter the street where the Controlling Person is located.
	District Name	Enter the district where the Controlling Person is located.
	Postal Code	Enter the Postal Code where the Controlling Person is located.
	City	Enter the city where the Controlling Person is located. <b>Note:</b> This is a mandatory field.
	Country	Enter the country where the Controlling Person is located. <b>Note:</b> This is a mandatory field.
	Country sub-entity	Enter the country sub-entity in which the Controlling Person is located.
<i>Birth Details</i>	Date of Birth	Enter the Date of Birth of the Controlling Person.
	Country of Birth	Select the Country of Birth of the Controlling Person from the drop-down list.
	City of Birth	Enter the City of Birth of the Controlling Person.
	City Sub-entity of Birth	Enter the City Sub-entity of Birth of the Controlling Person.
	Former Country Name	Enter the former Country Name of the Controlling Person, if any.

6. Click **Save**. The following message is displayed: *Add Operation Successful*.

7. Click **OK**. The entered details are saved and is displayed in the Controlling Person Information grid.

#### Identification Details Grid

The system displays the Identification Details in this grid. It displays the following columns:

- Residential Country Code
- TIN (Foreign)

- TIN Issued By
- TIN Type (Foreign)
- No TIN Reason

Identification Details (1) <span>Expand All</span>					
<input checked="" type="checkbox"/>	Record #	Residential Country Code	TIN (Foreign)	TIN Issued By	TIN Type (Foreign)
<input checked="" type="checkbox"/>	1	United Kingdom	-1		Tax Identifier

**Figure 20. Identification Details Grid**

All the columns above are editable. Check the box against the report, it enables the fields for further edits. Here user can also **Add, Remove, Save** and **Validate** a report.

**Note:** If there is a record in the Grid than “Residence Country Code” and “TIN” or “No TIN reason code” are mandatory field. Only one of the “TIN” or “No TIN Reason Code” can be part of a record. If this condition is not satisfied, the following error message is shown: *1,2 - Records are missing required information. Please make sure that you have provided values for Residence Country Code” and “TIN” or “No TIN Reason Code”. Record cannot have “TIN” and “No TIN Reason Code” both values.*

### Editing Controlling Person Details

To edit Controlling Person details, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Account Holder/Controlling Person** tab.  
This list of Controlling Persons associated with the report are displayed in the Controlling Person Information grid.
3. Select the check box at the beginning of a record row or click anywhere in the row. The details are displayed in the *Controlling Person Details* section.
4. Modify the required details.  
**Note:** If Account Holder type is of “Passive Non-Financial Entity with – one or more controlling person that is a Reportable Person” type and user clicks **Save**, the application displays the following message: *You need to specify one Controlling Person with “Include in Report” as “Yes” in Account Holder/Controlling Person tab.*
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The modified details are saved.

### Removing Controlling Person

To remove Controlling Person details, follow these steps:

1. Navigate to the Report Details page.
2. Click the Account Holder/Controlling Person tab.  
This list of Controlling Persons associated with the report are displayed in the Controlling Person Information grid.



3. Select the check box at the beginning of the record or click anywhere in the row.
4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Record Removed Successfully*.
6. Click **OK**. The record is removed from the Controlling Person Information grid.

**Note:** If you have added, edited or deleted Controlling Person details, a corresponding audit entry is tracked in the Audit tab. For more information, refer to *Viewing Audit Information*.

### Validating Controlling Person

If you click **Validate**, the application validates all the records in the grid. If there is any error, the application displays an error message. Each section has pre-defined validations and its errors are explained in it. Following are the validations for Controlling Person section:

- First Name, Last Name, Country, City, Identification details (Grid should be error free and at least one record) are mandatory. If you click **Request for Approval/Approve**, and if any of the mandatory field are missing the system shows the following error message: *First Name, Last Name, Identification details, Country, and City are mandatory.*
- If any of the length check are missing the system shows the following error message. *Field length is more than what is permitted for: "Field Name comma separated where field length exceeds". Fields for length check are First Name(30), Last Name(30), Middle name(30), City(30), Postal code(12), TIN(30), TIN for Canada (9 numeric).*
- If Account Holder type is of "Passive Non-Financial Entity with – one or more controlling person that is a Reportable Person" type and user clicks **Save**, the application displays the following message: *You need to specify one Controlling Person with "Include in Report" as "Yes" in Account Holder/ Controlling Person tab.*
- If required mandatory fields First Name, Last Name, identification details ((Grid should be error free and at least one record), Country, and City are missing in Controlling Person Container. The following error message is shown: *1, 2 - Records are missing required information. Please make sure that you have provided values for First Name, Last Name, Identification Details, City, and Country.*

### Identification Details History Grid

The system displays the history of the Identification Details in this grid. It displays the following fields:

- Date
- Action By
- Action
- Comments

Identification Details History (0)				
Change   Expand All				
<input type="checkbox"/>	Date	Action By	Action	Comments
No Data Found				

**Figure 21. Identification Details History Grid**

If user want to see the change that has been made from the previous entries, then click **Change**.

History Popup				
Customer Identifier	4234	4234	4234	4234
Customer Type	Person	Person	Person	Person
Tax Residency Country(s)				
CRS Status	2	2	2	2
Account Holder Role				
Name Type				
Preceding Title				
Title				
First Name/Organisation Name	sdfdsfdf	sdfdsfdf-	sdfdsfdf-	sdfdsfdf-
Last Name	dsfsdf	dsfsdf	dsfsdf	dsfsdf
Middle Name				
Name Prefix				
Generation Identifier				
Suffix				
General Suffix				
Address Type				
Post Box				
Floor Identifier				
Suite Identifier				
Building Identifier				
Street				iiu
District				

**Figure 22. Identification Details History Change action window**

A minimum of two entries have to be selected to use this function. Once multiple entry is selected click **Change**. A new window is open which lists entries in column with the changes mentioned in red fonts.

### *Controlling Person History Grid*

The Controlling Person history grid displays the actions performed on that particular report regarding the controlling person. The following fields are displayed in this grid:

- Date
- Action By
- Action
- Comments

If you want to see the change that has been made from the previous entries, then click **Change**.

History Popup				
Customer Identifier	4234	4234	4234	4234
Customer Type	Person	Person	Person	Person
Tax Residency Country(s)				
CRS Status	2	2	2	2
Account Holder Role				
Name Type				
Preceding Title				
Title				
First Name/Organisation Name	sdfsdfsf	sdfsdfsf-	sdfsdfsf-	sdfsdfsf-
Last Name	dsfsdf	dsfsdf	dsfsdf	dsfsdf
Middle Name				
Name Prefix				
Generation Identifier				
Suffix				
General Suffix				
Address Type				
Post Box				
Floor Identifier				
Suite Identifier				
Building Identifier				
Street				iiu
District				

**Figure 23. Controlling Person History Change action window**

A minimum of two entries have to be selected to use this function. Once multiple entry is selected click **Change**. A new window is open which lists entries in column with the changes mentioned in red fonts.

## Managing Financial Information Tab

This tab refers to the **Financial Information** section in the CRS Canada report. It provides details such as account balance and account payable of the reported account.

**Figure 24. Financial Information Tab**

The following table explains the fields in Financial Information tab.

**Table 11. Fields in Financial Information Tab**

Fields	Description
Account Number	Enter the account number of the reported account. <b>Note:</b> This is a mandatory field.
Account Number Type	Select the type of the account number of the reported account.
Account Category	Select the category of the reported account from the multi-select drop-down list. The following are the options: <ul style="list-style-type: none"> <li>● Closed</li> <li>● Dormant</li> <li>● Undocumented</li> </ul> <b>Note:</b> You can select “Closed” or “Dormant” and/or “Undocumented”. For this, select ‘Select All’ option from the drop-down list.
Account Balance	Enter the account balance of the reported account. <b>Note:</b> This is a mandatory field.
Currency Code	Select the currency code of the reported account from the drop-down list. <b>Note:</b> This is a mandatory field.
Interest	Enter any interest payments received by the reported account. <b>Note:</b> If the interest value populated is <b>0</b> then this field will not be populated in final e-file.
Gross Proceeds/Redemptions	Enter any gross proceeds/redemptions received by the reported account. <b>Note:</b> If the interest value populated is <b>0</b> then this field will not be populated in final e-file.

**Table 11. Fields in Financial Information Tab**

Fields	Description
Dividends	Enter any dividend payments received by the reported account. <b>Note:</b> If the interest value populated is <b>0</b> then this field will not be populated in final e-file.
Other	Enter any other payments received by the reported account. <b>Note:</b> If the interest value populated is <b>0</b> then this field will not be populated in final e-file.

To save the information in this tab, enter the required information, and click **Save** or click **Reset** to revert to the last saved values.

**Note:** If the Account Number, Currency Code and Account Balance are missing from the Financial Information Tab and when you click **Save**, the application displays the following message: *Account Number, Currency Code and Account Balance are mandatory.*

**Note:** If you click **Request for Approval** or **Approve** while the required mandatory fields such as Account Number, Currency Code, and Account Balance are missing in Financial Information tab, the application displays the following message: *Required mandatory information is missing on Financial Information tab.*

If the Field length is more than what is permitted for: *Field Name comma separated where field length exceeds.* Field length checks on following fields: Account Number (30 chars), Account balance (15, 2 numeric), Payment amount (13,2 numeric).

### Financial Information History Grid

The Financial Information History grid displays the actions performed on that particular report regarding the Financial Information.

History (1)

Change Expand All

<input checked="" type="checkbox"/>	Date	Action By	Action	Comments
<input checked="" type="checkbox"/>	2018-03-04 11:49:07.0	CRSANALYST	Modified Financial Information	--

**Figure 25. Financial Information History Grid**

The following fields are displayed in this grid:

- Date
- Action By
- Action
- Comments

If you want to see the change that has been made from the previous entries, then click **Change**.

History Popup				
Customer Identifier	4234	4234	4234	4234
Customer Type	Person	Person	Person	Person
Tax Residency Country(s)				
CRS Status	2	2	2	2
Account Holder Role				
Name Type				
Preceding Title				
Title				
First Name/Organisation Name	sdfdsfdf	sdfdsfdf-	sdfdsfdf-	sdfdsfdf-
Last Name	dsfdf	dsfdf	dsfdf	dsfdf
Middle Name				
Name Prefix				
Generation Identifier				
Suffix				
General Suffix				
Address Type				
Post Box				
Floor Identifier				
Suite Identifier				
Building Identifier				
Street				iiu
District				

**Figure 26. Financial Information History Change action window**

A minimum of two entries have to be selected to use this function. Once multiple entry is selected click **Change**. A new window is open which lists entries in column with the changes mentioned in red fonts.

## Managing Related Reports Tab

This tab displays all the related reports associated to the main report.

Report Number	Report Name	Type of Filing	CRS Status	Account Holder Reportable Country (s)	Account Number	Name of Account Holder	Created By	Created Date	Due Date	Report Status	Reporting
6308	CUCRSA-E-ENT-...	OECD-New	Passive N...	United Kingdom, United States	ACCRSA-E-E...	DEPT OF STATE	SYSTEM	21-05-2018	31-12-2018	approved	2018-0...
6308	CUCRSA-E-ENT-...	OECD-New	Passive N...	United Kingdom, United States	ACCRSA-E-E...	DEPT OF STATE	SYSTEM	21-05-2018	31-12-2018	approved	2018-0...
6308	CUCRSA-E-ENT-...	OECD-New	Passive N...	United Kingdom, United States	ACCRSA-E-E...	DEPT OF STATE	SYSTEM	21-05-2018	31-12-2018	approved	2018-0...
12502	CUCRSA-E-ENT-...	CA-Original	Passive N...	United Kingdom, United States	ACCRSA-E-E...	DEPT OF STATE	SYSTEM	21-05-2018	31-12-2018	rework	2018-0...
12502	CUCRSA-E-ENT-...	CA-Original	Passive N...	United Kingdom, United States	ACCRSA-E-E...	DEPT OF STATE	SYSTEM	21-05-2018	31-12-2018	rework	2018-0...
12502	CUCRSA-E-ENT-...	CA-Original	Passive N...	United Kingdom, United States	ACCRSA-E-E...	DEPT OF STATE	SYSTEM	21-05-2018	31-12-2018	rework	2018-0...

**Figure 27. Related Reports Tab**

Related Reports are identified based on Account Number and Customer Identifier. A related report is defined as a report that is created for the same account as the reported account and the same Account Holder specified in *Financial Information tab and Account Holder/Controlling Person tab*.

This tab displays three fields, namely, Financial year, Customer ID and Account number. The Related reports grid displays reports with the same account number for the Financial Year configured. For more information on configuring financial year, refer to the *CRS Administration and Configuration Guide*.

The related reports grid allows you to select reports based on report status.

**Note:** The Related Reports grid allows users mapped to the role of Supervisor to select multiple reports and take Cancel Filing action when the reports are in *Submitted* status, and are not locked by any other user. The Cancel Filing button is hidden in View mode.

The following table displays the columns in the Related Reports grid.

**Table 12. Fields in Related Reports Grid**

Column Name	Description
Report Number	Displays report number of the related report.
Report Name	Displays report name of the related report.
Type of Filing	Displays the type of report filing.
CRS Status	Displays the CRS status of the related report.
Account Holder Reportable Count	Displays the Account Holder Reportable Count of the related report.
Name of Account Holder	Displays the Name of Account Holder of the related report.
Created By	Displays the user who has created the report.

**Table 12. Fields in Related Reports Grid**

<b>Column Name</b>	<b>Description</b>
Created Date	Displays the date on which the report was created.
Due Date	Displays the due date of the related report.
Report Status	Displays the status of the report.
Reporting Year	Displays the reporting year for which the report was generated.
Name of Controlling Person	Displays the Controlling Person of the related report.



## Managing Documents Tab

The Documents tab allows you to attach and remove documents related to the CRS Canada report. While filing the CRS Canada report, you can also send additional documents. The process of sending additional documents to the regulatory authorities occurs outside of the application.

ID	Name	Document Description
No Data Found		

**Figure 28. Documents Tab**

Sending the documents to OECD Council is the responsibility of the user and out of scope of the application.

## Attaching Documents

Users mapped to the role of an Analyst, Reviewer, or Supervisor can attach and delete documents in all statuses except when the report is in *View Only* mode.

To attach a document, follow these steps:

1. Navigate to the Report Details page.
2. Click **Documents**. The Documents section is displayed.
3. Click **Add**. The Add Document window is displayed.

**Figure 29. Adding Documents to CRS Canada Report**

4. Enter the **Document Description** and the **Logical File Name**.
 

**Note:** The application allows you to enter a maximum of 255 characters in the Document Description field.
5. Click **Browse** to choose a file from your machine.
6. Click **Attach File**. The following message is displayed: *Add Operation Successful*.
7. Click **OK**. The file is attached and you are navigated back to the Add Document window.
 

Click **Close** to navigate back the Report Details page or attach additional documents.

### ***Editing the Logical File Name and Document Description of an Added Document***

The Reports Details page allows you to edit the logical file name and the document description of the document.

**Note:** If the logical file name is provided then the application considers the document name as the logical file name.

To edit the logical file name and the document description, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.  
The list of added documents associated to the report is displayed in the Documents grid.
3. Select the check box at the beginning of the Document row or click anywhere in the row.  
The document record changes into editable mode.
4. Edit the Logical File Name or the Document Description.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The document is updated in the Documents section.

### ***Removing Documents***

The Report Details page also allows you to remove the documents attached to a report.

To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.  
The list of documents associated to the report is displayed in the Documents section.
3. Select the check box of the document you want to delete.
4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record*.
5. Click **OK**. The following message is displayed: *Record removed successfully*.
6. Click **OK**. The document is removed and you are navigated back to the Report Details page.

## Viewing Audit Information

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

File Information	Account Holder/Controlling Person	Financial Information	Related Reports	Documents	Audit
v Actions (2) Expand All Export to Excel					
Date	Action By	Action			
21-05-2018 06:43:09	SYSTEM	Approve			
21-05-2018 06:42:35	SYSTEM	Created by System			

**Figure 30. Audit Tab**

The Audit tab displays the following sections:

- Actions
- Comments

### Actions

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

**Table 13. Actions Section Field Descriptions**

Fields	Description
Date	Displays the date on which the action was taken.
Action By	Displays the name of the user who performed the action.
Actions	Displays a short description of the action.  The application captures the following actions in the Audit tab: <ul style="list-style-type: none"> <li>● Created from case</li> <li>● Created by System</li> <li>● Created manually</li> <li>● Modified Identification of Filer</li> <li>● Modified Account Holder/Controlling Person</li> <li>● Added New Controlling Person – Name of the added Controlling Person</li> <li>● Removed Controlling Person – Name of the deleted Controlling Person</li> <li>● Modified Controlling Person Details – Name of the edited Controlling Person</li> <li>● Modified Financial Information</li> <li>● Added New Document – Name of the added document</li> <li>● Modified Document – Name of the Modified document</li> <li>● Removed Document – Name of the Removed document</li> </ul>
Comments	Displays the comments entered by the user while performing an action.

## Validation

This section explains the required validations for the report. Below mentioned table lists the mandatory fields in all the tabs:

**Table 14. Validations**

Field Name	Tab	Mandatory	Field Length	Conditions
Name of Filer	Filer Information	Y	NA	-
Residence Country Code	Account Holder/ Controlling Person Information	Y	NA	-
TIN		C	30 character	At least one TIN or No TIN Reason Code should be present.
No Tin reason		C	NA	-
Individual Identification Number		N	9 Numeric	Canadian TIN should be of max length 9 only for individual. Applicable for both account holder and controlling person.
First Name		Y	30 character	This is for Account Holder as well as Controlling person.
Middle Name		N	30 character	-
Last Name		C	30 character	-
Controlling Person Type		Y	NA	Controlling person only
Post Code		N	12 character	-
Business Number		N	15 character	Canadian TIN should be of max length 15 only for entity. Applicable for account holder only.
Organization Name		Y	70 character	Account Holder only of entity type
CRS Status		Y	NA	Entity account holder only
City		Y	28 character	-
Country Code		Y	NA	-
Account Number	Financial Information	Y	30 character	-
Account Balance		Y	15 Numeric	-
Payment Amounts		N	13 Numeric	-

## Taking Actions on CRS Canada Reports

The Report Details page allows authorized users to take the following actions on the report.

- Requesting the Report Details for Approval
- Approving Reports
- Sending Reports For Rework
- Canceling Filing of Reports
- Reopening Reports
- Generating E-File
- Submitting the Report
- Generating Revised Report

### Requesting the Report Details for Approval

After updating the report details, they must be validated. The Report Details page allows authorized users to validate the report details and then submit the report for approval. When the user submits the report for approval, it is validated if the mandatory fields within the report have been populated. When a report is requested for approval, the status of the report changes to *Requested for Approval*.

A Supervisor user can review the report submitted for approval by an analyst and can either approve report or send reports for rework, or cancel filing of report.

For more information, refer to *Table 2*.

To submit a report for approval, an analyst must follow these steps:

1. Navigate to the Reports Details page of a report in *Open /Reopen status*.
2. Click **Request for Approval**.

The screenshot shows a dialog box titled "Request for Approval". At the top left, it says "Action Type Request for Approval". Below that is a label "Comments\*" followed by a large empty text input area. At the bottom of the dialog, there are three buttons: "Save", "Clear", and "Close".

**Figure 31. Request for Approval Window**

3. Enter the comments in the Request for Approval window.

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

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

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

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Requested for Approval*.  
The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Request for Approval** action.

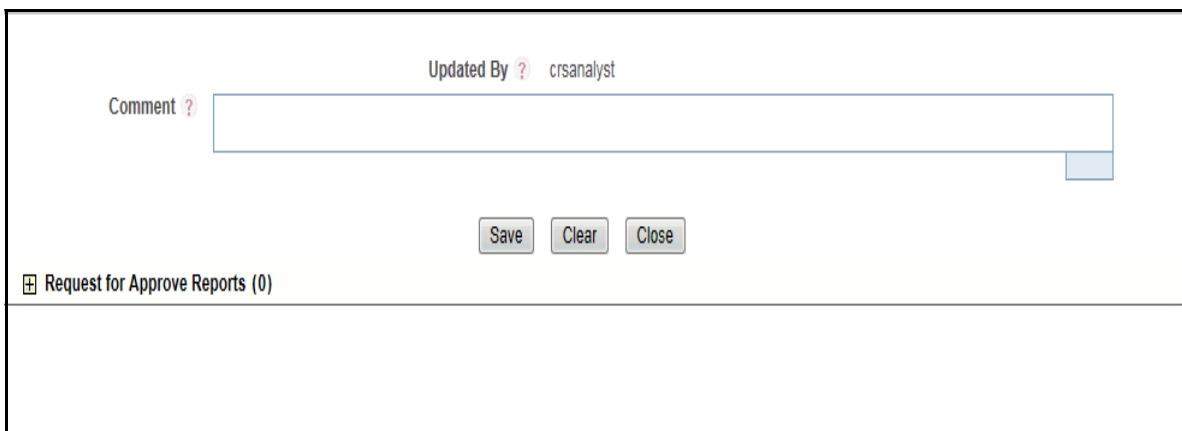
### **Bulk Request for Approval**

An analyst user can perform **Bulk Request for Approval** action.

To perform the **Bulk Request for Approval** action, follow these steps:

1. Navigate to the Search and List page.
2. Click **Bulk Request for Approval**.

The *Request for Approve Reports* pop-up window is displayed. User can select all the reports eligible for bulk action in the pop-up window.



**Figure 32. Bulk Request for Approval window**

3. Enter the comments in the **Request for Approve Reports** window.

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

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

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


The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Bulk Approve** action.

## Approving Reports

Authorized users can approve a report when it is in *Open*, *Reopened*, *Rework*, *Requested for Approval* status. For more information, refer to *Table 2*.

To approve a report, follow these steps:

1. Navigate to the Report Details page of a report in *Open*, *Reopened*, *Rework*, *Requested for Approval* status.
2. Click **Approve**.



**Figure 33. Approve Window**

3. Enter the comments in the **Approve** window.

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

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

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

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

## Bulk Approving Reports

Users mapped to the role of Supervisor can perform **Bulk Approve** action on individual reports. To take bulk actions, all reports selected for action should be in the same status.

Search and List page and Views page allows you to take **Bulk Approve** action on reports which are in *Open*, *Reopened*, *Rework* and *Requested for Approval* status.

To perform the Bulk Approve action, follow these steps:

1. Navigate to the Search and List page.
2. Click **Bulk Approve**.

The *Approve Reports* pop-up window is displayed. User can select all the reports eligible for bulk action in the pop-up window.

Updated By crssup

Comment

Approve Reports (0)

Report Number	Name of Account holder	Account Number
No Data Found		

Save Clear Close

**Figure 34. Bulk Approve Reports**

3. Enter the comments in the **Approve Reports** window.

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

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

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

The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Bulk Approve** action.



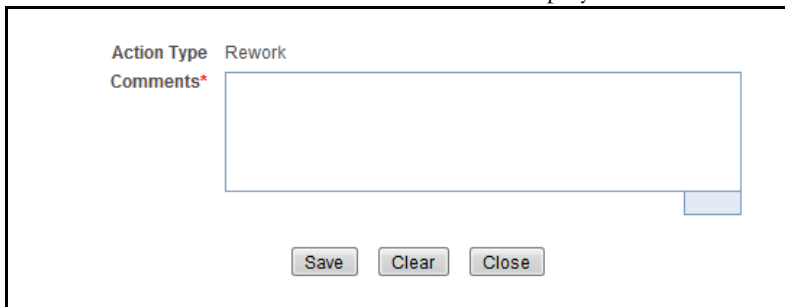
## Sending Reports For Rework

A Supervisor can send reports for rework for incomplete, inaccurate information in the report, or for additional investigation. The Report Details page allows a Supervisor to take Rework action on reports.

If a report is sent for rework, the Analyst must rework on the report and request the report again for approval. This process continues until the report is approved or canceled.

To send a report to rework, follow these steps:

1. Navigate to the Report Details page of a report in *Requested for Approval* status.
2. Click **Rework**. The Rework window is displayed.



**Figure 35. Rework Window**

3. Enter the comments in the **Rework** window.

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

If you click **Save**, without entering the comments in the Rework window, the following message is displayed: *Mandatory fields are not entered.*

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

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

## Canceling Filing of Reports

If a user determine that a report should not be filed they can cancel it. The Report Details page allows authorized users to cancel the reports from being filed. For more information on users who can cancel filing, refer to *Table 2*. Once the report is canceled, you cannot edit the report details and the report changes into *View Only* mode.

**Note:** A canceled report can be reopened by authorized users.

To cancel the filing of a report, follow these steps:

1. Navigate to the Report Details page.
2. Click **Cancel Filing**. The Cancel window is displayed.

Cancel Filing (1)	
Report Name	Comments
<input checked="" type="checkbox"/> Test 1	

Updated By crssup

Save Clear Close

**Figure 36. Cancel Filing Window**

3. Enter the comments in the **Cancel Filing** window.

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *canceled*. The due date of the report is deleted on taking canceled action

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

If you try to perform Cancel Filing action on reports that are in Submitted status, the application displays the following message: *Cancel Filing action cannot be taken on Submitted and canceled reports. Please deselect those reports and try again.*

## Bulk Cancel Filing of Reports

Users mapped to the role of Supervisor can perform **Bulk Cancel** action on individual reports. To take bulk actions, all reports selected for action should be in the same status.

**Bulk Cancel Filing** action can be taken on reports which are in *Open*, *Reopened*, and *Requested for Approval* status.

To perform the **Bulk Cancel Filing** action, follow these steps:

1. Navigate to the Search and List page.
2. Click **Bulk Cancel**.

The *Bulk Cancel Filing* pop-up window is displayed. User can select all the reports eligible for bulk action in the pop-up window.

Updated By ? crssup

Comment ?

Cancel Reports (1)

Report Number	Name of Account holder	Account Number
<input type="checkbox"/> 105	Test Sample	Act1234

Save Clear Close

**Figure 37. Bulk Cancel Filing Window**

3. Enter the comments in the **Bulk Cancel Filing** window.

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

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

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

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

## Reopening Reports

The Search And List page and the Report Details page allows authorized users to initiate reopen action on a report. For more information, refer to *Table 2*.

To reopen a report from Search and List page, follow these steps:

1. Navigate to the Search and List page.
2. Select the check box of the report(s) you want to reopen.

**Note:** You can select multiple reports from the Search and List page and collectively reopen them. If you try to perform the reopen action on reports that are not in canceled or Submitted status, the application displays the following message: *Reopen action can only be taken on canceled and Submitted reports.*

3. Click **Reopen**. The Reopen window is displayed.
4. Enter your comments in the Reopen reports window.

<input checked="" type="checkbox"/>	Report Name	Due Date	Comments
<input checked="" type="checkbox"/>	Test 1		

Save Clear Close

**Figure 38. Reopen Window**

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

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

If you are mapped to Edit due Date role and if you try to save the Reopen action without entering due date, the application displays the following message: *Due Date is mandatory.*

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

To reopen a report from Report Details page, follow these steps:

1. Navigate to the Report Details page of a report in *canceled/Submitted* status.

2. Click **Reopen**. The Reopen window is displayed.



**Figure 39. Reopen Window**

3. Set the due date and enter the comments in the **Reopen** pop-up window.

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

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

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

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

### ***Bulk Reopening of Reports***

The Search And List page allows authorized users to initiate **Bulk Reopen** action on a report.

Reopen only applies if reports are in a *Canceled* status.

To perform the **Bulk Reopen action**, follow these steps:

1. Navigate to the Search and List page.
2. Click **Bulk Reopen**

The *Reopen Reports* pop-up window is displayed. User can select all the reports eligible for bulk action in the pop-up window.

Updated By ? crssup

Comment ?

Reopen Reports (0)

Report Number	Name of Account holder	Account Number
No Data Found		

Save Clear Close

Figure 40. Bulk Reopen Reports Window

### Generating E-File

You can generate E-File only for the reports which are in the *Approved* status. To navigate to the *File Regulatory Report* screen follow these steps:

1. Select *File CRS Canada Reports* Sub Menu from **Regulatory Reporting** menu. The *File Regulatory Report* screen is displayed.

Approved Reports E-File Status

Approved Report Search Reset Go

Report Number Report Name Type of Filing\*

Reportable Country (s) Case ID CRS Status

Account Number Name of Account Holder Name of Controlling Person

Jurisdiction Geographic Jurisdiction Business Domain

Approved By Approved Date >= Approved Date <=

Name of Filer\* Identification Number

Reporting Year Start Date >= 01-01-2018 Reporting Year End Date <= 31-12-2018

Approved Reports (0)

Unwrap Generate E-File

Report Number	Report Name	Type of Filing	CRS Status	Account Number	Name of Account Holder	Approved Date
---------------	-------------	----------------	------------	----------------	------------------------	---------------

Figure 41. File CRS Canada Reports Window

2. The *File Regulatory Report* screen has two sections:
  - Approved Report Search
  - Approved Report Display
3. Select the Report from the *Approved Report Display* section for which you want to Generate E-File.
4. Click **Generate E-File**. The *Generate E-File* pop window is displayed.

Following are the four type of filling allowed for CRA template.

- O = CA - Original
- A = CA - Amendment

- C = CA - Cancel
- F = CA – Fix

All newly generated reports have CA – Original type of filing. All CA- Original reports goes through regular approval workflow and will get approved. Once Approved E-file is generated.

Once User Submits an E-File and marks E-file as Submitted all reports is moved to **Submitted** status. User can now generate following type of fillings reports based on his requirements using **Generate Revised Report** action in every report.

When the user clicks on Generate Revised Report, the system checks whether the type of filing of the original report is CA - Cancel or not.

- If type of filing of report is not canceled then the system displays Generate Revised Action popup, where the user can select the Type of Filing as below:-
  - CA - Amendment.
  - CA - Cancel
- If type of filing of original report is CA - Cancel then the system displays Generate Revised Action popup where the user can select the Type of Filing as below:-
  - CA - Original
  - CA - Fix

Once New reports with New Type of Filling are generated they go through the same Approval workflow.

**Figure 42. Generate E-File**

5. Enter the comments in the **Comments** text box and click **Save** to save the data.
6. The E-File is generated and is displayed in the *Reports* menu in .xml format in the *Approved Report Display* Section. The E-File status changes to *Awaiting Submission*.

### Approved Report Search

The Approved Report Search section enables you to search for Approved Reports using certain criteria as stated in the table below:

**Table 15. Approved Report Search**

Field	Description
Report Number	Enter the Report Number for the approved report to search with this criteria. Maximum Length allowed is 50.
Report Name	Enter the Report Name for the Approved Report to search for the approved report with this criteria. Maximum Length allowed is 50.

Table 15. Approved Report Search

Field	Description
Type of Filing	Select the type of filing from the drop-down list. The available options are: <ul style="list-style-type: none"> <li>Deleted</li> <li>New</li> <li>Corrected</li> </ul> <b>Note:</b> This is a mandatory field.
Reportable Country (s)	Select the country where the transaction was made from the multi-select drop-down list.
Case ID	This field can be used to search reports based on Case ID. Search should include the prefix for Cases like CA. The maximum length allowed is 255. You can Search multiple Case ID using comma separated values.
CRS Status	Select the CRS Status from the drop-down list. This enables you to search the approved reports based on CRS Status. The options in the list are: <ul style="list-style-type: none"> <li>CRS Reportable Person</li> <li>Passive NFE that is a CRS Reportable Person</li> <li>Passive NFE with one or more controlling person that is a Reportable Person</li> </ul>
Account Number	This field can be used to search reports based on Account Numbers. You can Search for multiple Account Numbers using comma separated values. The maximum length is restricted to 255.
Name of Account Holder	Enter the name of the Account Holder. This field can be used to search reports based on Name of Account Holder. The maximum length to be restricted to 255.
Name of Controlling Person	Enter the Name of the Controlling Person of the Account. This field can be used to search reports based on Name of Controlling Person. The maximum length to be restricted to 255.
Jurisdiction	Select the Jurisdiction from the drop-down list. This field allows you to search based the approved reports based on the Jurisdiction.
Geographic Jurisdiction	Select the Geographic Jurisdiction from the drop-down list. This field allows you to search the approved reports based on Geographic Jurisdiction
Business Domain	Select the Business Domain from the drop-down list. This field allows you to search the approved reports based on the business domain.
Approved By	Select the name of the approver from the drop-down list. to search reports based on the approver
Approved Date >=	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.
Approved Date <=	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. <p><b>Validations:</b></p> <ol style="list-style-type: none"> <li>While performing a range search, if you enter a value in 'Approved Date &lt;=' less than 'Approved Date &gt;=', the application displays the following message: Please enter a 'Approved Date &lt;=' which is equal to or greater than Approved Date &gt;=.</li> <li>If you enter a value in 'Approved Date &lt;=' greater than the system date, the application displays the following message: Please enter a 'Approved Date &lt;=' which is earlier than or equal to sysdate.</li> </ol>
Name of Filer	Select the Name of the Filer from the drop-down list. This is a mandatory field.



**Table 15. Approved Report Search**

Field	Description
Identification Number	This field can be used to search reports based on Identification Number of Filer. You can Search for multiple Identification Number using comma separated values. The maximum length to be restricted to 255.
Reporting Year Start Date >=	This field displays the reporting year start date at the time of report creation. Select the reporting start date from the calendar to display reports having a reporting year start date greater than or equal to the specified date. If the user tries to enter a date in Reporting Year End Date <= which is prior to the date entered in Reporting Year Start Date >=, an error message is displayed: <i>"Please enter a Reporting Year End Date &lt;= which is greater than ' Reporting Year Start Date &gt;="</i> , if the <i>'Reporting Year End Date &lt;=' is prior to the date entered in 'Reporting Year Start Date &gt;=.</i>
Reporting Year End Date <=	This field displays the reporting year end date at the time of report creation. Select the reporting end date from the calendar to display reports having a reporting year start date lesser than or equal to the specified date.

### Approved Report Display

The Approved Report Display section displays the list of the Approved Reports along with the details as shown below:

- Report Number
- Report Name
- Type of Filing
- CRS Status
- Name of the Controlling Person (s)
- Account Number
- Name of the Account Holder
- Approved Date
- Approved By
- Source System
- Reporting Year

### Submitting the Report

To change the status of the Report to Submitted, follow these steps:

1. Select *File CRS Reports* from the **Regulatory Reporting** Menu.
2. Select the tab *E-File Status*.

E-File List (0)									
Unwrap   Submit   Export to Excel									
<input type="checkbox"/>	E File Number	Type of Filing	E-Filer Generated Date	E-File Generated By	Comments	E-File Status	Reporting Year	E-File	Error Message
No Data Found									

**Figure 43. E-File Status Tab**

3. The E-File Status screen has the following sections:
  - E-File Search
  - E-File List
  - Report List
4. Select the Report from the E-File List which you want to submit.
5. Click **Submit**. The *E-File Submission* pop up window is displayed.

**Figure 44. Submitting E-File**

6. Enter your comments in the Comment section and click **Save**.
7. If you have multiple files under one E-File for which a single comment is applicable, check the option *Apply comment to all included E-File (Enter comments for the First E-File only to apply to all)*
8. The E-File status changes to *Submitted*.

### **E-File Search**

The E-File search section enables you to search for a Report for which E-File is generated based on certain criteria. The criteria for E-File Search are described in the table below:

**Table 16. E-File Search**

<b>Field</b>	<b>Description</b>
E-File Number	Enter the E-File Number based on which the reports are searched.
E-File Status	Select the E-File status from the drop-down list. The options are: <ul style="list-style-type: none"> <li>● Awaiting Submission</li> <li>● E-File Generated</li> <li>● Submitted</li> </ul>
E-File Generated By	Select the name of the person who has generated the E-File from the drop-down list.
E-File Generated Date >=	Select the E-File Generated date from the calendar look up. Select a date having a E-File generated date greater than or equal to the specified date.

**Table 16. E-File Search**

Field	Description
E-File Generated Date <=	Select the E-File Generated date from the calendar look up. Select a date having a E-File generated date less than or equal to the specified date. <b>Validations:</b> 1. While performing a range search, if you enter a value in 'E-File Generated Date <=' less than 'E-File Generated Date >=', the application displays the following message: Please enter a 'E-File Generated Date <=' which is equal to or greater than E-File Generated Date >=. 2. If you enter a value in 'E-File Generated Date <=' greater than the system date, the application displays the following message: Please enter a 'E-File Generated Date <=' which is earlier than or equal to sysdate.
Report Number	Enter the Report Number based on which the E-File reports are searched.
Account Number	This field can be used to search reports based on Account Numbers. You can Search for multiple Account Numbers using comma separated values. The maximum length is restricted to 255.
Name of Account Holder	Enter the name of the Account Holder. This field can be used to search reports based on Name of Account Holder. The maximum length to be restricted to 255.
Type of Filing	Select the type of filing from the drop-down list. The available options are: <ul style="list-style-type: none"> <li>● Deleted</li> <li>● New</li> <li>● Corrected</li> </ul>
Filer Name	Select the Name of the Filer from the drop-down list. <b>Note:</b> This is a mandatory field.
Identification of Filer	This field can be used to search reports based on Identification Number of Filer. You can Search for multiple Identification Number using comma separated values. The maximum length to be restricted to 255.
Reporting Year Start Date >=	This field displays the reporting year start date at the time of report creation. Select the reporting start date from the calendar to display reports having a reporting year start date greater than or equal to the specified date. If the user tries to enter a date in Reporting Year End Date <= which is prior to the date entered in Reporting Year Start Date >=, an error message is displayed: <i>"Please enter a Reporting Year End Date &lt;= which is greater than ' Reporting Year Start Date &gt;="</i> , if the <i>'Reporting Year End Date &lt;=' is prior to the date entered in 'Reporting Year Start Date &gt;=.</i>
Reporting Year End Date <=	This field displays the reporting year end date at the time of report creation. Select the reporting end date from the calendar to display reports having a reporting year start date lesser than or equal to the specified date.

### **E-File List**

The E-File List section displays the Search Result of the reports that has been processed for E-Filing. The following fields are displayed in this section:

- E-File Number
- Type of Filing
- Identification of Filer
- E-Filer Generated Date

- E-File Generated By
- Comments
- E-File Status
- Reporting Year
- E-File
- Error Message

**Note:** Error Message column provides a description of the error occurred while generating the E-File.

### ***Report List***

The Report List section lists the multiple reports, if any, for a single E-File. To view the reports, select the E-File from the E-File List. The file details are displayed in the Report List section. The following fields are displayed:

- Report Number
- Report Name
- Report Type
- Type of Filing
- CRS Status
- Name of Filer
- Account Number
- Name of Account Holder
- Name of Owner
- Approved Date
- Approved By

### ***Rejecting a Report***

To reject a report, follow these steps:

1. Select the report from the Report List which you want to reject.
2. Click **Reject**. The Reject Report pop up window is displayed.
3. Enter your comments in the *Comments* text box and click **Save**.
4. If you have multiple files under one E-File for which a single comment is applicable, check the option *Apply comment to all included E-File (Enter comments for the First E-File only to apply to all)*
5. The E-File Status is changed to *Rejected*.

**Note:** You can only Reject reports which are in *Awaiting for Submission* status.

### ***Exporting to Excel***

You can export the report details in Excel or .xls format from the application. To export the report, select the report from the E-File List section and click **Export**.

Your report data will be exported into Excel.

### **Generating Revised Report**

Click on **Generate Revised Report**, the system checks whether the type of filing of the original report is Canceled or not.

- If type of filing of report is not canceled then the system displays **Generate Revised** Action popup, where the user can select the Type of Filing as below:-
  - CA - Amendment.
  - CA - Cancel
- If type of filing of original report is Canceled then the system displays **Generate Revised** Action popup where the user can select the Type of Filing as below:-
  - CA - Original
  - CA - Fix

The user provides some comments and click on Save.

**Note:** Comments are mandatory.

Type of Filing of the newly created report is same as selected in the Popup. The action entry recorded for this action would be dependent on the type of filing selected from the drop down in the popup. The newly created report has all the information same as of original report.

**Note:** This action can be taken only when the original report is in submitted status. If user tries to take the action on the report which is not in submission status, the system would show an error message.

## Setting Due Date For Reports

Users mapped to the role of Analyst and Supervisor can set due date for reports.

Authorized users can modify due date based on the configurations as mentioned in the following table:

**Table 17. Due Date Attributes**

Attribute	Behavior
Due Date with Edit	Users mapped with this role can set/edit/view due date This is the default mode for all users.
Due date with View	User mapped to this role can view due date but cannot edit due date.

The following table explains the various statuses where the users can perform the Set Due Date action:

**Table 18. Setting Due Date**

Set Due Date Action as per Report Status	Analyst	Supervisor
Open	X	X
Reopened	X	X
Requested for Approval	X	X
Rework	X	X
Approved	X	X

To set the due date of a CRS Report from the Report Details page, follow these steps:

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

**Figure 45. Set Due Date Window**

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

**Note:** This field is a mandatory field.

4. Enter the comments in the **Set Due Date** window.

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

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

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

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

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

If you select some reports which are in Submitted or canceled state and try to set due date for the selected reports, the application displays the following message: *Due date cannot be set on reports in Submitted and canceled status. Please deselect those reports and try again.*

To set the due date of a CRS Canada report from the Search and List page, follow these steps:

1. Navigate to Search and List page.
2. Select the check box of the report you want to set the due date for.

**Note:** User can take the Due Date action on one report at a time, this action cannot be performed for multiple reports.

3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

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

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

**Note:** This field is a mandatory field.

If you enter a due date which is less than the current date, the application displays the following message: *Please enter a due date which is equal to or greater than sysdate.*

5. Enter the comments in the **Set Due Date** window.

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

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

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

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

## ***Adding Comments to Report***

The Report Details page allows you to add comments to a report. You can add comments to a report in any status. To add comments to a report, follow these steps:

1. Navigate to the Report Details page of a report.
2. Click **Add Comments**. The Add Comments Action window is displayed.



The screenshot shows a dialog box titled "Action Type Add Comments". On the left, there is a label "Comments\*" next to a large, empty text input field with a vertical scroll bar on the right side. Below the text field, there are three buttons: "Save", "Clear", and "Close".

**Figure 46. Add Comments Action Window**

3. Enter the comments in the Action window.

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Action window closes and displays the Report Details page.

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



## Exporting the Report Details to Excel

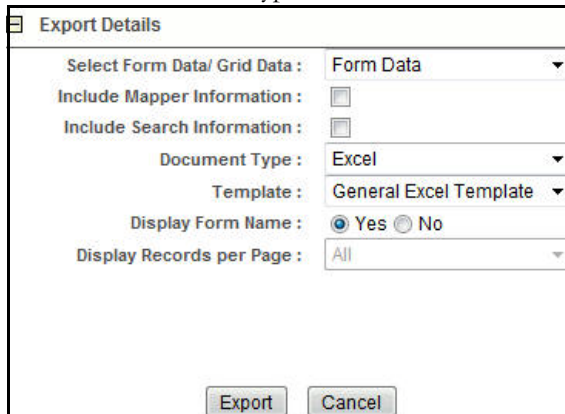
The Search and List page allows you to export the report list into an Excel template.

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

1. Navigate to the Search and List page.
2. Click **Export to Excel**. The Export Properties dialog box is displayed.

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

3. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid Data**.



The screenshot shows a dialog box titled "Export Details" with the following fields and options:

- Select Form Data/ Grid Data : Form Data (dropdown)
- Include Mapper Information :
- Include Search Information :
- Document Type : Excel (dropdown)
- Template : General Excel Template (dropdown)
- Display Form Name :  Yes  No
- Display Records per Page : All (dropdown)

Buttons: Export, Cancel

**Figure 47. Export Properties Dialog Box**

4. Click **Export** in the Export Properties dialog box.

When processing is complete, the data is displayed in an Internet Explorer window with a dialog box.

5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a directory location where you want to save the file.
7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.
8. Click **Save**.

The application saves your file to the specified location.

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

## Managing CRS Canada Analytics Report

Analytics report provides business user an overall idea on reports statistics over the years. For more details refer to *FCCM Analytics User Guide*.





