

Oracle Financial Services
Regulatory Reporting
**Egypt Suspicious Transaction Report User
Guide**

*Release 8.0.1
July 2015*



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Regulatory Reporting
Egypt Suspicious Transaction Report
User Guide

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

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

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About This Guide

The *Oracle Financial Services Compliance Regulatory Reporting User Guide* explains the concepts behind the Oracle Financial Services Compliance Regulatory Reporting application and provides step-by-step instructions for navigating through the application.

This chapter discusses the following topics:

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

Who Should Use this Guide

The *Oracle Financial Services Compliance Regulatory Reporting User Guide Egypt STR, Release 2.5* is designed for use by various users. Their roles and responsibilities, as they operate within the Oracle Financial Services Compliance Regulatory Reporting application, include the following:

- **Analyst:** This user can create new reports, edit report details, add comments to the report, request for approval, request for cancellation and also clone an STR.
- **Reviewer:** This user can create new reports, edit report details, recommend reports for approval, rework on reports, request for cancellation, add comments, view final reports, mark reports as submitted, reopen cancelled reports, reopen submitted reports, and clone an STR.
- **Supervisor:** In addition to all the tasks performed by an analyst and reviewer user, this user can take action on the reports such as approve, rework, reject cancellation request, and cancel filing.
- **System Administrator:** This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.

How this Guide is Organized

The *Oracle Financial Services Compliance Regulatory Reporting User Guide EG STR, Release 2.5*, includes the following topics:

- Chapter 1, *About Compliance Regulatory Reporting*, provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application.
- Chapter 2, *Getting Started*, explains the steps to login to the Oracle Financial Services Compliance Regulatory Reporting application and provides a brief overview of the various users and their roles in the Compliance Regulatory Reporting application.
- Chapter 3, *Managing Compliance Regulatory Reporting*, explains the workflow of regulatory reports.

Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide: Release 2.5* This guide explains the structure of the entities in the RR data model and provides in-depth information on managing the data in the Compliance Regulatory Reporting application.
- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide: Release 2.5* - This guide explains how and in what format the source business data is provided to the Compliance Regulatory Reporting application through a web service for the report type.
- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide: Release 2.5* - This guide provides step-by-step instructions for installing the Oracle Financial Services Compliance Regulatory Reporting application on an existing Oracle Financial Services Behavior Detection Framework hosted in Windows environment.
- *Oracle Financial Services Compliance Regulatory Reporting Administration Guide: Release 2.5* - This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Compliance Regulatory Reporting application. This guide details the Compliance Regulatory Reporting application and provides information about configuring and maintaining users and static data.

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
<i>Italics</i>	<ul style="list-style-type: none"> Names of books, chapters, and sections as references Emphasis
Bold	<ul style="list-style-type: none"> Object of an action (menu names, field names, options, button names) in a step-by-step procedure Commands typed at a prompt User input
Monospace	<ul style="list-style-type: none"> Directories and subdirectories File names and extensions Process names Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

About Compliance Regulatory Reporting

This chapter provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application.

This chapter discusses the following topics:

- Introduction of Compliance Regulatory Reporting
- About Oracle Financial Services Compliance Regulatory Reporting Application

Introduction of Compliance Regulatory Reporting

As a part of regulations and compliances, a Financial Services Organization must perform appropriate analysis and report any suspicious activities that may lead to fraud and money laundering to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

Financial institutions are required to provide data regarding suspicious activities to their geographic region's regulatory authority. This data is delivered to the regulatory bodies through regulatory reports. These reports, depending on the regulatory geographic region, can be delivered in a paper format or in an electronic format.

About Oracle Financial Services Compliance Regulatory Reporting Application

The Oracle Financial Services Compliance Regulatory Reporting (OFSCRR) application supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. The Compliance Regulatory Reporting application supports the generation of Suspicious Transaction Reports (STR) for various countries such as The United States of America Suspicious Activity Reports (US SAR), Nigeria (NG STR), Pakistan (PK STR), Malaysia (MY STR), Singapore (SG STR), New Zealand (NZ STR), Bahamas (BS STR), and Egypt (EG STR). Since there are several differences in requirements for paper-based formats versus electronic formats, between different geographic regions, and the data elements that are required on these STRs, the approach to satisfy the end goal is to provide a Compliance Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

The Compliance Regulatory Reporting application is integrated with Oracle Financial Services Financial Crime and Compliance (OFSFCCM) and allows users to **Generate EG STR** from within OFSFCCM. When a report is created in the Compliance Regulatory Reporting application through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the action to generate the draft STR. You can also manually create a new STR from OFSCRR.

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

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

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

This chapter explains the following topics:

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

User Roles

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

- **Analyst:** This user can create new reports, edit report details, add comments to the report, request for approval, request for cancellation and also clone an STR.
- **Reviewer:** This user can create new reports, edit report details, recommend reports for approval, rework on reports, request for cancellation, add comments, view final reports, mark reports as submitted, reopen cancelled reports, reopen submitted reports, and clone an STR.
- **Supervisor:** In addition to all the tasks performed by an analyst and reviewer user, this user can take action on the reports such as approve, rework, reject cancellation request, and cancel filing.
- **System Administrator:** This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.

User Access

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

Table 2. User Access

Function	Analyst	Reviewer	Supervisor	System Administrator
Create New STR	X	X	X	
Request for Approval	X			
Recommend Approval		X		
Approve			X	
Rework		X	X	
Request Cancellation	X	X		
Reject Cancellation Request			X	
Cancel Filing			X	
Add Comments	X	X	X	
View/Save Final Report		X	X	
Mark as Submitted		X	X	
Reopen Cancelled Reports		X	X	
Reopen Submitted STR		X	X	
Clone STR	X	X	X	
View / Edit Configuration				X

Logging in to Compliance Regulatory Reporting

To access the Compliance Regulatory Reporting application, follow these steps:

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

Note:

- If you've installed the OFSCRR without the OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **RRS** link under Home menu. Clicking the **RRS** link will navigate you to the RR search and List page.
- If you've installed the OFSCRR with the OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **FCCM** link under Home menu. Clicking the **FCCM** link will navigate you to the FCCM home page depending upon your roles and access rights.

Accessing Compliance Regulatory Reporting from OFSFCCM

To access OFSCRR from OFSFCCM, follow these steps:

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



The screenshot shows the OFSAAI Login page. At the top left is the Oracle logo. To its right, the text reads "Financial Services Analytical Applications Infrastructure" with a smaller "About" link below it. The main content area contains a login form with the following elements: a "Language" dropdown menu currently showing "US-English", a "User ID" text input field, and a "Password" text input field. Below these fields is a "Login" button. To the right of the form is a large image of a classical building with columns and a modern skyscraper. At the bottom of the page, there is a small copyright notice: "Version 7.3.3.1.0 Copyright © 1993, 2013 Oracle and/or its affiliates. All rights reserved."

Figure 1. OFSAAI Login Page

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

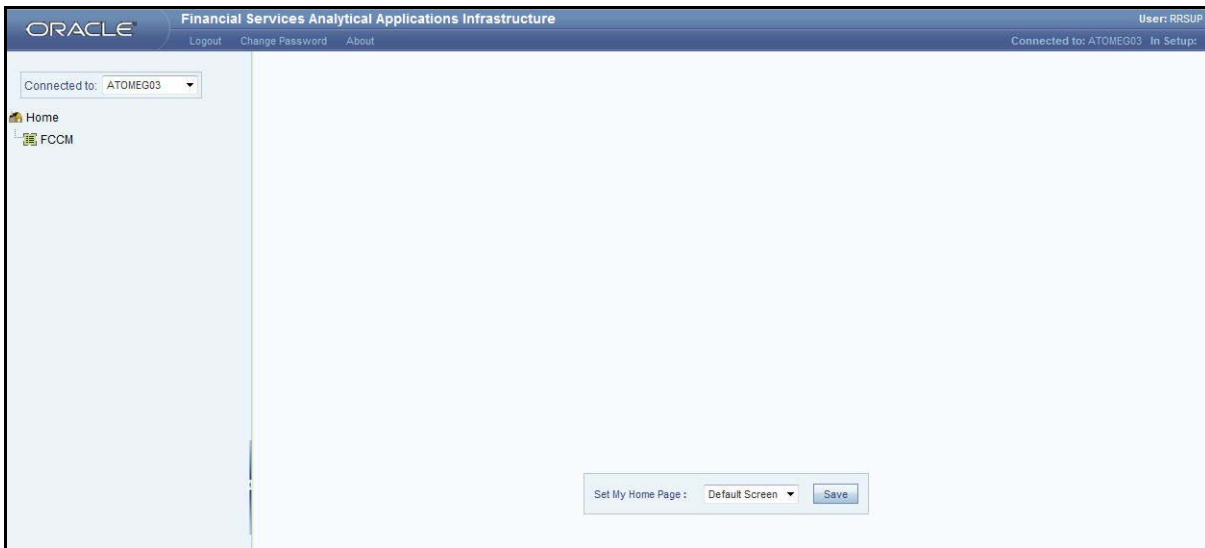


Figure 2. OFSAAI Home Page

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

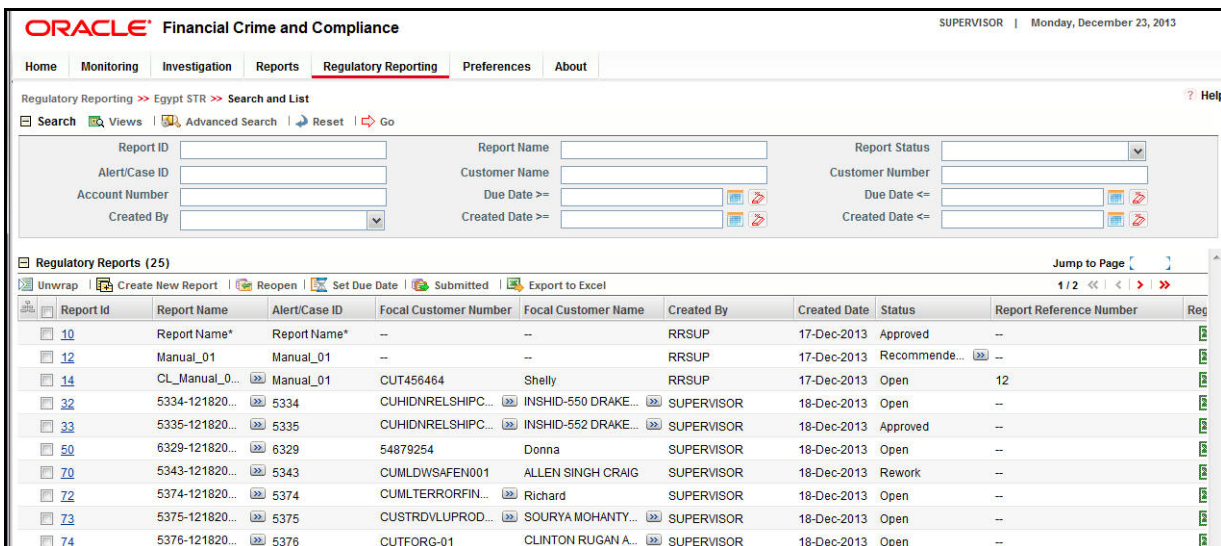


Figure 3. RR Search and List page in OFSFCCM

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

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

- Compliance Regulatory Reporting

- Administration

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

- **User Attributes:** This menu allows you to map and maintain the security attributes for each user role.
- **RR Webservice User ID/Password Reset:** This menu allows you to reset the Webservice password. For more information on resetting the User ID and Password, refer to the *Oracle Financial Services Compliance Regulatory Reporting Administration Guide: Release 2.5*.

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

Table 3. Menus Accessible by OFSCRR Users

Menus	Roles			
	Analyst	Reviewer	Supervisor	System Administrator
Compliance Regulatory Reporting	X	X	X	
Administration				X

Managing Compliance Regulatory Reporting

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

- Compliance Regulatory Reporting Workflow
- Life Cycle of a Suspicious Transaction Report
- Creating a New STR
- Searching STRs
- Submitting an STR for Approval
- Performing Approve/Rework/Cancel Filing/Reject Cancellation Request on STRs
- Marking an STR as Submitted
- Reopening an STR
- Adding Comments to an STR

- Viewing an STR Excel
- Exporting the STR List to Excel

Compliance Regulatory Reporting Workflow

This section explains the workflow of regulatory reports for users mapped to the role of Analyst, Reviewer, and Supervisor. The following figure depicts the workflow involved in Compliance Regulatory Reporting application

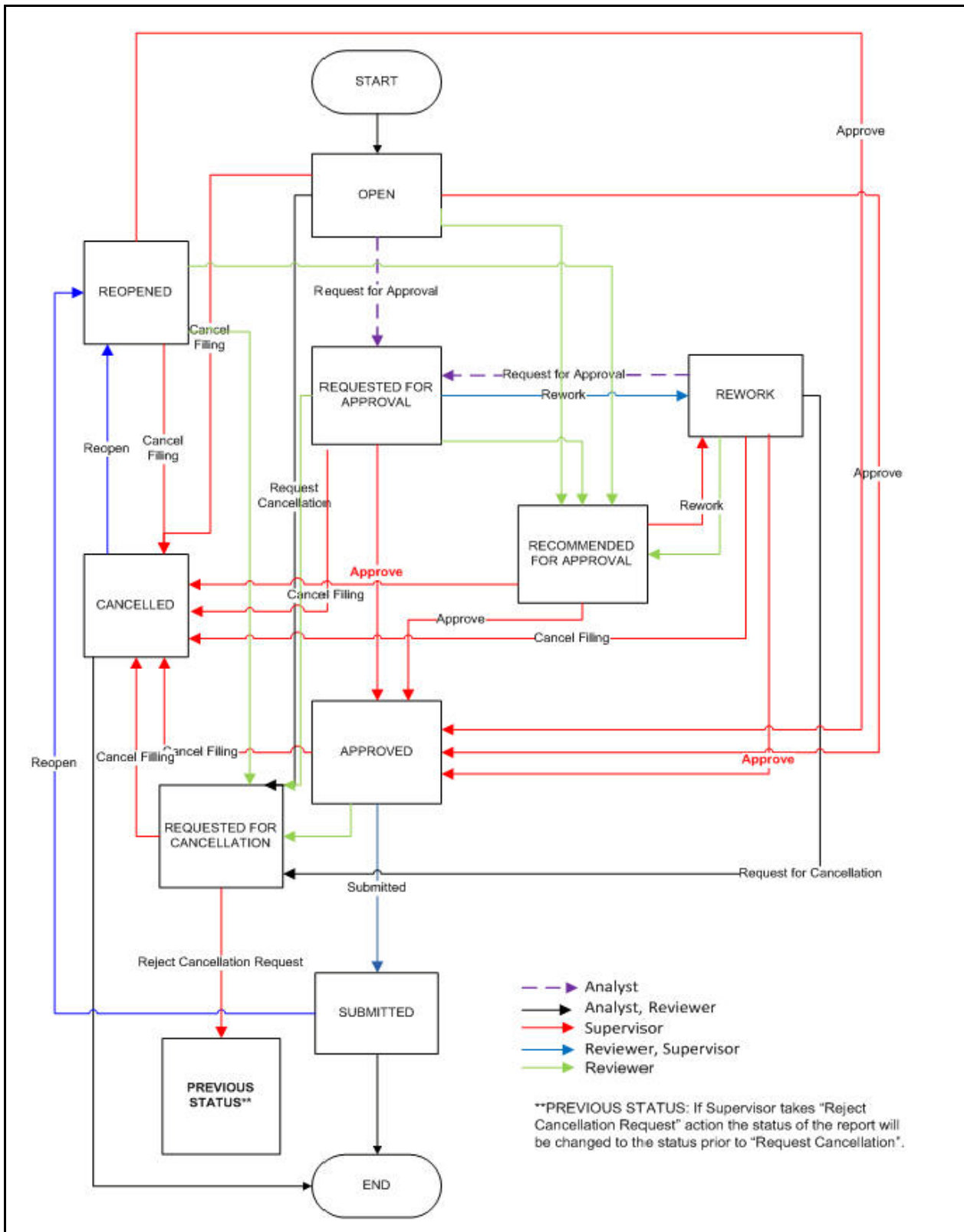


Figure 4. Compliance Regulatory Reporting Workflow for Analyst, Reviewer and Supervisor

Life Cycle of a Suspicious Transaction Report

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

To know the complete list of actions an Analyst, Reviewer, and Supervisor can perform on various report statuses, refer to “Table 4. Report Status - Action Mapping,” for more information.

A Supervisor user can approve, rework, cancel filing or reject cancel request an STR once the Analyst and Reviewer user have requested for approval and recommended for approval respectively.

If the STR is approved by the Supervisor, the Compliance Regulatory Reporting application generates the STR in final Excel format after all the necessary validations. The STR is then manually submitted with the regulatory authorities. Submission to the regulator occurs outside of OFSCRR. The STR can then be marked as *Submitted* in the Compliance Regulatory Reporting application. The status of the STR changes to *Submitted*. For more information on marking STR as Submitted refer to section, *Marking an STR as Submitted*, on page 59.

A Reviewer can take rework action on a report when it is in Requested for Approval status whereas a Supervisor can take rework action in Requested for Approval and Recommended for Approval status. If a report is sent for rework, an Analyst or a Reviewer must rework on the report and request/recommend the report again for approval. This process continues until the report is approved or cancelled. For more information on rework STRs, refer to section, *Performing Approve/Rework/Cancel Filing/Reject Cancellation Request on STRs*, on page 55.

If an Analyst or a Reviewer user determines that an STR should not be filed, they can request the Supervisor for cancellation of the report. An Analyst can initiate the Request Cancellation action when the report is in *Open* and *Rework* statuses whereas a Reviewer can initiate the Request Cancellation action when the report is in *Open*, *Reopened*, *Requested for Approval*, *Approved*, and *Rework*. The status of the report then changes to *Requested for Cancellation*. Subsequently, a Supervisor can either cancel the filing of STR or reject the cancellation request. If a report is cancelled, the status of the report changes to *Cancelled*. When the Supervisor rejects the cancellation request of STR, the status of the report changes to the previous status prior to the *Request Cancellation*. For more information on cancelling the STRs, refer to section, *Performing Approve/Rework/Cancel Filing/Reject Cancellation Request on STRs*, on page 55.

An Analyst or a Reviewer user can work on the reopened STR and request the report for approval/recommend for approval. This process continues until the STR is approved or cancelled. For more information on re-opening STRs, refer to section, *Reopening an STR*, on page 61.

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

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

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

- Approved
- Submitted
- Requested for Cancellation
- Cancelled

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

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

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

Table 4. Report Status - Action Mapping

Report Status	Possible Actions	Who can Perform	Report Status Changes To
Open	Request for Approval	Analyst	Requested for Approval
	Recommend Approval	Reviewer	Recommended for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Supervisor	Cancelled
	Request Cancellation	Analyst, Reviewer	Requested for Cancellation
Reopened	Recommend Approval	Reviewer	Recommended for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Supervisor	Cancelled
	Request Cancellation	Reviewer	Requested for Cancellation
Requested for Approval	Approve	Supervisor	Approved
	Rework	Reviewer, Supervisor	Rework
	Recommend Approval	Reviewer	Recommended for Approval
	Cancel Filing	Supervisor	Cancelled
	Request Cancellation	Reviewer	Requested for Cancellation
Approved	Submitted	Reviewer, Supervisor	Submitted
	Cancel Filing	Supervisor	Cancelled
	Request Cancellation	Reviewer	Requested for Cancellation
Rework	Request for Approval	Analyst	Requested for Approval
	Cancel Filing	Supervisor	Cancelled
	Recommend Approval	Reviewer	Recommended for Approval
	Request Cancellation	Analyst, Reviewer	Requested for Cancellation
	Approve	Supervisor	Approved
Submitted	Reopen	Reviewer, Supervisor	Reopened
Cancelled	Reopen	Reviewer, Supervisor	Reopened
Recommended for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	Cancelled
Create New Report		Analyst, Reviewer, Supervisor	Open

Report Status	Possible Actions	Who can Perform	Report Status Changes To
Requested for Cancellation	Cancel Filing	Supervisor	Cancelled
	Reject Cancel Request	Supervisor	*Previous Status Note: Previous Status is the status prior to <i>Request Cancellation</i> .

The following table explains in which statuses an Analyst, Reviewer and Supervisor user can view the report details.

Table 5. Status Role-Viewing Report

Status	View Report Details		
	Analyst	Reviewer	Supervisor
Open	X	X	X
Reopened		X	X
Requested for Approval		X	X
Approved		X	X
Rework	X	X	X
Submitted		X	X
Requested for Cancellation		X	X
Recommended for Approval		X	X
Cancelled		X	X

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

Table 6. Status Role-Editing Report

Status	Edit Report Details		
	Analyst	Reviewer	Supervisor
Open	X	X	X
Reopened		X	X
Requested for Approval		X	X
Rework	X	X	X
Recommended for Approval			X

Creating a New STR

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

This section covers the following topics:

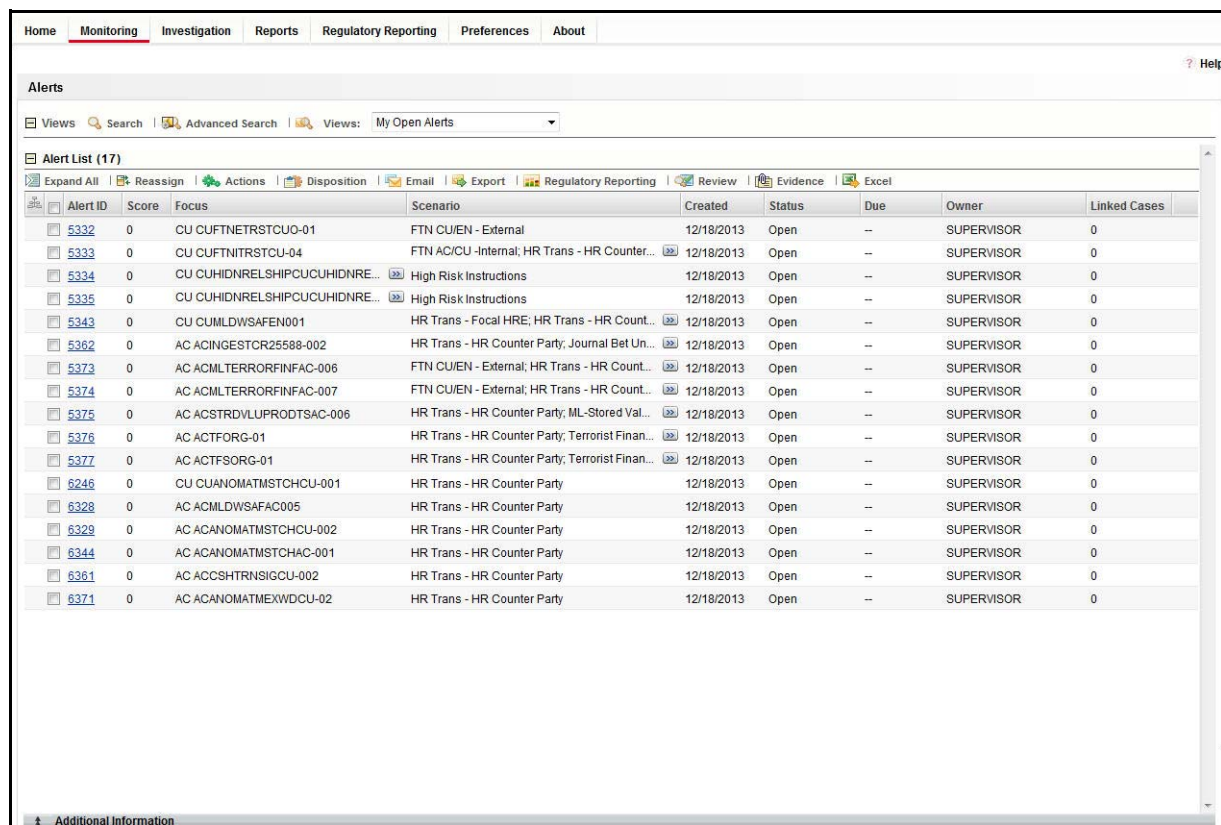
- Creating a New STR from OFSFCCM
- Creating a New STR from OFSCRR

Creating a New STR from OFSFCCM

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

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

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



Alert ID	Score	Focus	Scenario	Created	Status	Due	Owner	Linked Cases
5332	0	CU CUFTNETRSTCU0-01	FTN CU/EN - External	12/18/2013	Open	--	SUPERVISOR	0
5333	0	CU CUFTNITRSTCU-04	FTN AC/CU -Internal; HR Trans - HR Counter...	12/18/2013	Open	--	SUPERVISOR	0
5334	0	CU CUHIDNRELSHIPCUCUHIDNRE...	High Risk Instructions	12/18/2013	Open	--	SUPERVISOR	0
5335	0	CU CUHIDNRELSHIPCUCUHIDNRE...	High Risk Instructions	12/18/2013	Open	--	SUPERVISOR	0
5343	0	CU CUMLDWSAFEN001	HR Trans - Focal HRE; HR Trans - HR Count...	12/18/2013	Open	--	SUPERVISOR	0
5362	0	AC ACINGESTCR25588-002	HR Trans - HR Counter Party; Journal Bet Un...	12/18/2013	Open	--	SUPERVISOR	0
5373	0	AC ACMLTERRORFINFAC-006	FTN CU/EN - External; HR Trans - HR Count...	12/18/2013	Open	--	SUPERVISOR	0
5374	0	AC ACMLTERRORFINFAC-007	FTN CU/EN - External; HR Trans - HR Count...	12/18/2013	Open	--	SUPERVISOR	0
5375	0	AC ACSTRDVLUPRODTSAC-006	HR Trans - HR Counter Party; ML-Stored Val...	12/18/2013	Open	--	SUPERVISOR	0
5376	0	AC ACTFORG-01	HR Trans - HR Counter Party; Terrorist Finan...	12/18/2013	Open	--	SUPERVISOR	0
5377	0	AC ACTFSORG-01	HR Trans - HR Counter Party; Terrorist Finan...	12/18/2013	Open	--	SUPERVISOR	0
6246	0	CU CUANOMATMSTCHCU-001	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
6328	0	AC ACMLDWSAFAC005	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
6329	0	AC ACANOMATMSTCHCU-002	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
6344	0	AC ACANOMATMSTCHAC-001	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
6361	0	AC ACSHTRNSIGCU-002	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0
6371	0	AC ACANOMATMEKWDCU-02	HR Trans - HR Counter Party	12/18/2013	Open	--	SUPERVISOR	0

Figure 5. Alerts Search and List Page

2. Click **Advanced Search**. Select **FR** (Fraud), **ML** (Money laundering), or **IML** (Institutional Money Laundering) in the **Scenario Class** drop-down. Options for selecting a scenario class will depend on your current installation and user access to scenarios.

3. Select **AC** (Account), and **CU** (Customer) in the **Focus** drop-down. Options for selecting a Focus type will depend on your current installation and user access to scenarios. Select any additional desired filters, including modifying the Created From and To dates as needed.

Alert ID	Score	Focus	Scenario	Created	Status	Due	Owner	Linked Cases
5332	0	CU CUFTNETRSTCUO-01	FTN CUI/EN - External	12/18/2013	Open	--	SUPERVISOR	0
5333	0	CU CUFTNTRSTCU-04	FTN AC/CU - Internal; HR Trans - HR Counter...	12/18/2013	Open	--	SUPERVISOR	0
5341	0	CU CUHRTRHRECU-001	HR Trans - Focal HRE; HR Trans - HR Count...	12/18/2013	New	--	SUPERVISOR	0
5343	0	CU CUMLDWSAFEN001	HR Trans - Focal HRE; HR Trans - HR Count...	12/18/2013	Open	--	SUPERVISOR	0
5351	0	AC ACCHKMISEQNMACB-001	Checks MIs - Sequential Number; HR Trans ...	12/18/2013	New	--	SUPERVISOR	0
5352	0	AC ACCOIBPRODUTLSHAC-002	HR Trans - HR Counter Party, Journal Bet Un...	12/18/2013	New	--	SUPERVISOR	0
5353	0	AC ACCOIBPRODUTLSHAC-003	HR Trans - HR Counter Party, Journal Bet Un...	12/18/2013	New	--	SUPERVISOR	0
5354	0	AC ACESCINAC-021	HR Trans - HR Counter Party, Journal Bet Un...	12/18/2013	New	--	SUPERVISOR	0
5355	0	AC ACESCINAC-025	HR Trans - HR Counter Party, Journal Bet Un...	12/18/2013	New	--	SUPERVISOR	0
5356	0	AC ACFTNETRSTACB01	FTN CUI/EN - External	12/18/2013	New	--	SUPERVISOR	0
5357	0	AC ACFTNETRSTAC01	FTN CUI/EN - External; HR Trans - HR Count...	12/18/2013	New	--	SUPERVISOR	0

Figure 6. Alerts Advanced Search

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

Figure 7. Monitoring Actions Window

7. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*

- Click **OK**. A success message is displayed along with the alert ID. Click **OK**.
- Navigate to the RR Search and List page. The latest alert on which **Generate EG STR** action was taken is displayed in the RR Search and List page.

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

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

- From OFSFCCM home page, select **Cases - AML/Fraud** under the **Investigation** menu.

Case ID	Title	Type	Subtype	Due Date	Priority	Status	Owner	Assigned To	Linked Alert	Linked Cases	Created
CA900101	ML-Stored Val...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/15
CA600105	test	Fraud	Employee Fraud	--	High	Investigation	SUPERVISOR	SUPERVISOR	2	0	12/15
CA600104	test	Anti-Money La...	AML Surveillance	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/15
CA600103	test	Anti-Money La...	AML Surveillance	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/15
CA400107	HR Trans - H...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/15
CA400105	CA_4157_415...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/15
CA400106	CA_4157_415...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/15
CA400104	CA_4157_415...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/15
CA300136	ecm status	Fraud	Account and P...	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/05
CA300137	ecm status	Fraud	Account and P...	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/05
CA300135	ecm status	Fraud	Account and P...	--	High	New	SUPERVISOR	SUPERVISOR	1	0	12/05
CA300124	HR Trans - H...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/05
CA300123	Checks MIs - ...	Anti-Money La...	Enhanced Du...	--	High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/05
CA700101	Correlated Ale...	Anti-Money La...	AML Surveillance	--	Low	New	TestOrgB	SUPERVISOR	2	0	12/15

Figure 8. Cases AML/Fraud Search and List Page

- Select one or more cases in *New* statuses from the Search & Case List page using the check boxes, and click the **Resolution** action category.
- Select **Generate EG STR** from the Select an Action drop-down list in the Investigation Actions Window and enter the comments.

Figure 9. Investigation Action Window

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

6. Navigate to the RR Search and List page. The latest case on which Generate EGSTR action was taken is displayed in the RR Search and List page.

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

Sending Acknowledgement to OFSFCCM from Compliance Regulatory Reporting

OFSRR sends a positive acknowledgment to OFSFCCM when all the mandatory information verification is completed successfully.

By default, the **ECM STATUS UPDATE FLAG** is set to **Y**. If the status is set to **Y**, then the OFSCRR application will send all the status updates to OFSFCCM application. If the status is set to **N**, then the OFSCRR application will not send any status updates to the OFSFCCM application

The following information is sent as a part of the positive acknowledgment:

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

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

- User ID failure
- Unsuccessful mandatory information verification
- System/Application Error

The negative acknowledgment sent to OFSFCCM contains the following details:

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

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

Creating a New STR from OFSCRR

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

Note: Users mapped to the role of Analyst, Reviewer and Supervisor can create a new regulatory report.

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

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

Figure 10. Create New Report

2. Enter the desired information in the fields.

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

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

Table 7. Creating New Report

Fields	Description
Report Name	Enter a name for the report being created. Note: This field is a mandatory field.
Alert / Case ID (Report No)	Enter the Alert/Case ID associated with the suspicious transaction. The number entered in this field is displayed in the final STR as the Report Number. Note: This field is a mandatory field.
Report Type	This field is auto-populated with the report type as Egypt STR. Note: This field cannot be edited.
Attribute 1	Classifies the attribute of a report being created. The attributes that is available in the drop-down list are based upon your firm's configuration. For example, Jurisdiction. Note: This is a mandatory field.
Attribute 2	Classifies the attribute of a report being created. The attributes that is available in the drop-down list are based upon your firm's configuration. For example, Business Domain.
Attribute 3	Classifies the attribute of a report being created. The attributes that is available in the drop-down list are based upon your firm's configuration. For example, Case Type.

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

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

A new STR is created and the due date is set as per the number of days configured by your administrator in the static data table. The status of the new STR is set to *Open*.

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

Searching STRs

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

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

This section explains the following topics:

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

Searching Reports Using Basic Search

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

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

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

Report ID	Report Name	Alert/Case ID	Focal Customer Number	Focal Customer Name	Created By	Created Date	Status	Report Reference Number	Reg
10	Report Name*	Report Name*	--	--	RRSUP	17-Dec-2013	Approved	--	
12	Manual_01	Manual_01	--	--	RRSUP	17-Dec-2013	Recommend...	--	
14	CL_Manual_0...	Manual_01	CUT456464	Shelly	RRSUP	17-Dec-2013	Open	12	
32	5334-121820...	5334	CUHIDNRELSHIPC...	INSHID-550 DRAKE...	SUPERVISOR	18-Dec-2013	Open	--	
33	5335-121820...	5335	CUHIDNRELSHIPC...	INSHID-552 DRAKE...	SUPERVISOR	18-Dec-2013	Approved	--	
50	6329-121820...	6329	54879254	Donna	SUPERVISOR	18-Dec-2013	Open	--	
70	5343-121820...	5343	CUMLDWSAFEN001	ALLEN SINGH CRAIG	SUPERVISOR	18-Dec-2013	Rework	--	
72	5374-121820...	5374	CUMLTERRORFIN...	Richard	SUPERVISOR	18-Dec-2013	Open	--	
73	5375-121820...	5375	CUSTRDVLUPROD...	SOURYA MOHANTY...	SUPERVISOR	18-Dec-2013	Open	--	
74	5376-121820...	5376	CUTFORG-01	CLINTON RUGAN A...	SUPERVISOR	18-Dec-2013	Open	--	

Figure 11. Searching Reports with Search Components

Note: By default, the basic **Search** option is selected.

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer “Table 8. Components of RR Search Bar.”
3. Click **Go**. The relevant search list is displayed.

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

Searching Reports Using Advanced Search

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

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

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

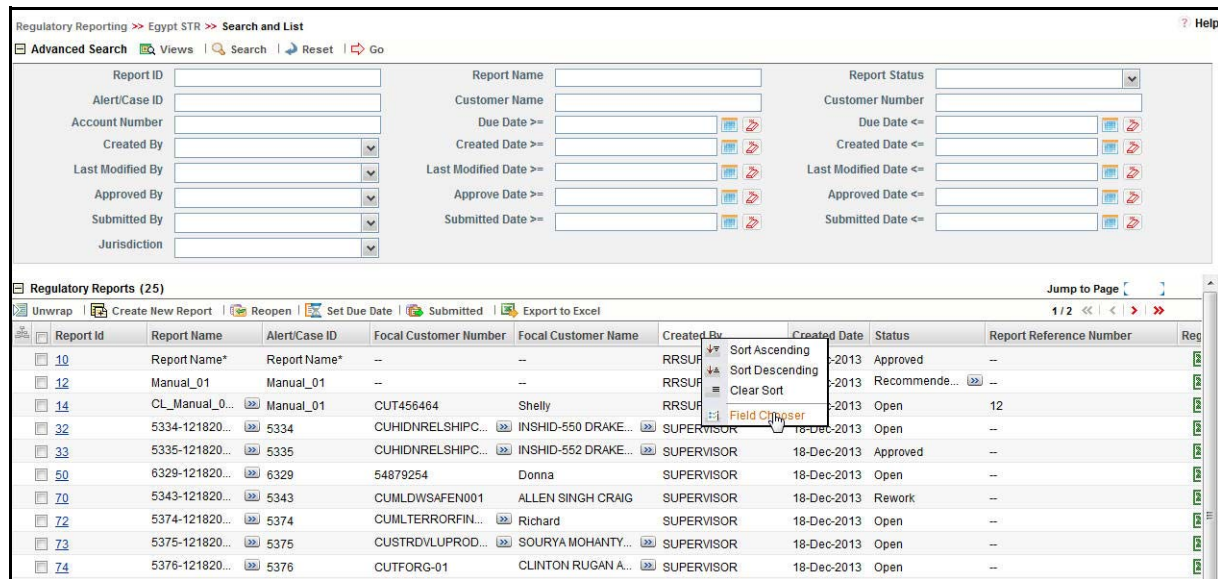


Figure 12. Advanced Search

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

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

3. Enter the search components to filter the reports.

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

Table 8. Components of RR Search Bar

Criteria	Description
Report ID	<p>Enter the Report ID in the text field to search for details of the exact report. You can also search for multiple Report IDs by entering a string of comma-separated values in this field.</p> <p>Note: Report ID search is a case-sensitive search.</p>
Report Name	<p>Enter the report name to display the list of reports with name as specified in the search criteria.</p> <p>This field supports a wildcard search. You can use the% and _ as wildcard indicators.</p>
Report Status	<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"> ● Select All ● Open ● Requested for Approval ● Approved ● Rework ● Submitted ● Cancelled ● Reopened ● Requested for Cancellation ● Recommended for Approval <p>Note: This field allows searching of reports with multiple options selected.</p>
Alert/Case ID	<p>Enter the Alert/Case ID to display reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive.</p> <p>Note: Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.</p>
Customer Name	<p>Enter the customer name in this field to display all the reports where the entered name is the involved party.</p> <p>Note: This field supports a wildcard search. You can use the% and _ as wildcard indicators.</p>
Customer Number	<p>Enter the customer number to display reports with the selected customer number. You can perform a multiple customer number search by entering a string of comma-separated values in this field.</p>

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

Criteria	Description
Last Modified Date <=	<p>Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.</i> 2. If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.</i>
Approved By	<p>Select the name of the approver to search for reports approved by the selected user.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>
Approved Date >=	<p>Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.</p>
Approved Date <=	<p>Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: <i>Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.</i> 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.</i>
Submitted By	<p>Select the name of the user from the drop-down list options to search for reports submitted by the selected user.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>
Submitted Date >=	<p>Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date.</p>

Criteria	Description
Submitted Date <=	<p>Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: <i>Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.</i> 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.</i>
Jurisdiction	<p>Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.</p> <p>Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case.</p> <p>Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.</p>

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

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

Searching Reports Using Pre-defined Views

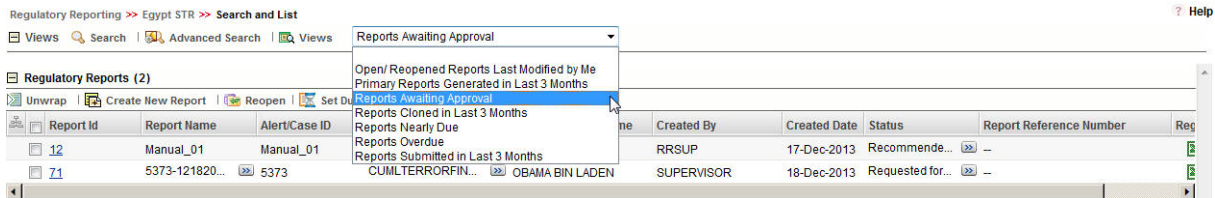
Views search helps you to quickly filter the reports based on the pre-defined search queries.

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

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

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

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



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

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

Table 9. Pre-defined Views

Views	Description
Open/ Reopened - Reports Last Modified by Me	Select Open/ Reopened - Reports Last Modified by Me from the drop-down list to display the list of reports in Open or Reopened status for which the logged in user is the last modifier. Note: This option is the default view for an Analyst and a Reviewer user.
Reports Awaiting Approval	Select Reports Awaiting Approval from the drop-down list to display the list of reports in <i>Request for Approval</i> , <i>Recommended for Approval</i> and <i>Requested for Cancellation</i> status. Note: This option is the default view for a Supervisor user.
Reports Nearly Due	Select Reports Nearly Due from the drop-down list to display the list of reports that are approaching their due dates. Note: The Nearly Due date is defined as 1 day from the due date. Reports which are nearly due are highlighted <i>Yellow</i> color.
Reports Overdue	Select Reports Overdue from the drop-down list to display the list of reports that have exceeded their due dates. When an STR is past its due date or when the due date is same as the system date, the STRs in the reports list are highlighted in <i>Red</i> color.
Reports Submitted in Last 3 Months	Select Reports Submitted in Last 3 Months from the drop-down list to display the list of reports that were submitted in the last three months. Note: The reports are displayed in ascending order of the Submitted Date.

Table 9. Pre-defined Views

Views	Description
Reports Cloned in Last 3 Months	<p>Select Reports Cloned in Last 3 Months from the drop-down list to display the list of reports that were cloned in the last three months.</p> <p>Note: The reports are displayed in ascending order of the Cloned Date.</p>
Primary Reports - Generated in Last 3 Months	<p>Select Primary Reports - Generated in Last 3 Months from the drop-down list to display the list of reports that were generated either through OFSFCCM or created manually in OFSCRR in the last three months. Subsequently, you can perform the clone action.</p>

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details
- Requesting the Report Details for Approval
- Recommending the Report Details for Approval
- Setting Due Date of an STR
- Requesting the Cancellation of STR

Entering Report Details

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

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

Table 10. Editing Report Details - Status Role Mapping

Menus	Roles		
	Analyst	Reviewer	Supervisor
Open	X	X	X
Reopened		X	X
Requested for Approval		X	X
Rework	X	X	X
Recommended for Approval			X

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

The Report Details page allows you to manage following sections:

- Report Context
- Managing Reporting Bank Tab
- Managing Customer Tab
- Managing Transactions
- Attaching and Removing Documents
- Viewing Audit Information

Report Context

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

Report Context			
-	Report ID 14	Report Name CL_Manual_01-12172013181704	Report Status Open
	Alert/Case ID Manual_01	Report Reference Number 12	Due Date 20-Dec-2013
	Created By RRSUP	Last Modified By RRSUP	Approved By --
	Created Date 17-Dec-2013 18:17:04	Last Modified Date 22-Dec-2013 16:47:17	Approved Date --

Figure 13. Report Context

The report context includes the following information:

- Report ID
- Report Name
- Report Status
- Alert/Case ID
- Report Reference Number
- Due Date
- Created By
- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date

Managing Reporting Bank Tab

This tab refers to the **Reporting Bank** section (shown below) in the Final STR.

<u>First: Data on the Reporting Bank:</u>					
1. Bank's Name:	<input type="text"/>				
2. Supervisory Authority:	<input type="text"/>				
3. Name of the Reporting Branch:	<input type="text"/>				
4. Branch's Address:	<input type="text"/>				
5. Branch's Fax and Telephone Numbers:	<table border="1"> <tr> <td>Tel:</td> <td><input type="text"/></td> <td>Fax:</td> <td><input type="text"/></td> </tr> </table>	Tel:	<input type="text"/>	Fax:	<input type="text"/>
Tel:	<input type="text"/>	Fax:	<input type="text"/>		

Figure 14. Reporting Bank Information in Final STR

The Reporting Bank tab is the default tab selected when you navigate to the Report Details page. This tab details the information about the bank reporting the STR and includes:

- Bank's Name

- Supervisory Authority
- Name of the Reporting Branch
- Branch’s Address
- Branch’s Telephone Number
- Branch’s Fax

Figure 15. Reporting Bank Tab

The following table explains the fields in Reporting Bank tab.

Table 11. Reporting Entity Information

Fields	Description
Bank’s Name	<p>Displays the name of the bank reporting the STR. You can select a bank’s name from the drop-down list.</p> <p>The possible values for the drop-down list are fetched from the static data tables. If only one name is marked as default in the static data tables, then that value is populated in this field by default. If there are multiple names that are marked as default, then OFSCRR will fetch the first name that was marked as default and populate it.</p>
Supervisor Authority	<p>Displays the name of the supervisor authority. The value in this field is auto-populated based on the bank name selected.</p> <p>Note: This field cannot be edited.</p>
Name of the Reporting Branch	<p>Displays the name of the reporting branch.</p> <p>This field supports a Look up search. Enter at least the first three characters of the branch’s name followed with % or _ as wildcard indicators and click the arrow button.</p> <p>Note: All the other fields such as Branch’s Address, Branch’s Telephone Number and Branch’s Fax are auto-populated based on the branch name selected.</p>
Branch’s Address	<p>Displays the reporting branch’s address. The value in this field is auto-populated based on the name of the reporting branch selected.</p>

Table 11. Reporting Entity Information

Fields	Description
Branch's Telephone Number	Displays the telephone number of the reporting branch. The value in this field is auto-populated based on the name of the reporting branch selected.
Branch's Fax	Displays the fax number of the reporting branch. The value in this field is auto-populated based on the name of the reporting branch selected.

Managing Customer Tab

This tab refers to the **Customer** information (shown below) in the Final STR Excel.

Second: Information on the Customer:					
A) In Case the Customer is a Natural Person:					
6. Name:					
7. Sex:		8. Nationality:			
9. Profession:		10. Institution:			
11. Date of Birth:		Day	Month	Year	12. Place of Birth:
13. Address According to Identification Documents:					
Quarter:		City:		Governorate:	
14. Permanent Residential Address in Egypt:					
15. Permanent Residential Address Abroad If Any:					
16. Telephone Numbers:		Home :	Business:	Mobile:	
17. Type of Identification:					
18. Personal Identification Data:					
Date of Issuance		Day	Month	Year	Number
Expiry Date		Day	Month	Year	Place of Issuance
		Registration Number		Place of Registration	
		Printed Number If Any			
B) In Case the Customer is a Legal Person:					
B) 1- Data on the Legal Person:					
19. Name:					
20. Legal Form:					
21. Address of the Headquarter:					
Quarter:		City:		Governorate:	
22. Date of Institutionalization:		Day	Month	Year	23. Paid up Capital:
		Amount		Currency	
24. Type of Activity According to the Commercial Register:					
25. Registration Number		26. Date & Place of Registration			
27. Taxation Card Number:		28. Type:			
B) 2- Data on the Natural Person Authorized to Sign for the Legal Person:					
29. Name:					
30. Sex:		31. Nationality:			
32. Profession:		33. Institution:			
34. Nature of the Relation with the Legal Person:					
35. Date of Birth:		Day	Month	Year	36. Place of Birth:
37. Address According to Identification Documents:					
Quarter:		City:		Governorate:	
38. Permanent Residential Address in Egypt:					
39. Permanent Residential Address Abroad If Any:					
40. Telephone Numbers:		Home:	Business:	Mobile:	
41. Type of Identification:					
42. Personal Identification Data:					
Date of Issuance		Day	Month	Year	Number
Expiry Date		Day	Month	Year	Place of Issuance
		Registration Number		Place of Registration	
		Printed Number If Any			

Figure 16. Customer Information in Final STR

The Customer tab displays all the customer details along with the involved party details as fetched from an alert or a case. A Customer can be classified into two types namely, Legal Person and Natural Person. A customer role can be of three types namely, Blank (Non-Focal Customer and Non-Beneficiary), Beneficiary and Focal Customer.

In this tab, you can add new customers, update customer details, and clone an STR. Users mapped to the role of Analyst, Reviewer and Supervisor can identify the role of the customers either as Blank, Beneficiary or Focal Customer.



Record #	Customer Type	Customer Number	Customer Name	Role in the Report
1	Natural Person	--	Shelly	Beneficiary
2	Natural Person	5468795	John Doe	Focal Customer
3	Legal Person	CUCSHTRNSIGCU-001	Robert	--

Figure 17. Customer Tab

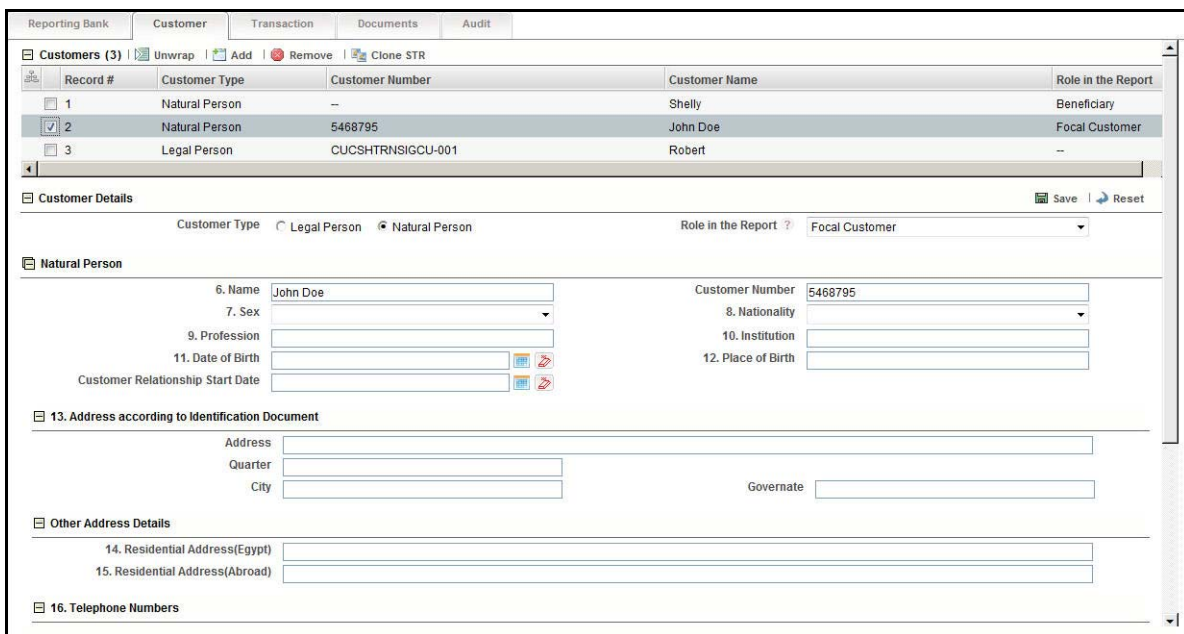
Viewing Customer Details

To view a customer involved in the report, follow these steps:

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

The list of customers with type **Natural Person** and **Legal Person** involved in the report are displayed.

3. Select the check box at the beginning of a customer record row or click anywhere in the row to view the customer record details.



Customer Details

Customer Type: Legal Person Natural Person

Role in the Report:

Natural Person

6. Name: Customer Number:

7. Sex:

8. Nationality:

9. Profession:

10. Institution:

11. Date of Birth:

12. Place of Birth:

Customer Relationship Start Date:

13. Address according to Identification Document

Address:

Quarter:

City:

Governate:

Other Address Details

14. Residential Address(Egypt):

15. Residential Address(Abroad):

16. Telephone Numbers

Figure 18. Viewing Customer Details

Note: You can edit a customer record while viewing and save the changes. Also, you can define the role of the customers in the report either as Blank, Focal Customer or Beneficiary

Adding a New Customer of Type Natural Person

To add a new customer of type natural person, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Customer** tab.
3. Click **Add** from the Customers section. The **Add Customer** section is displayed.

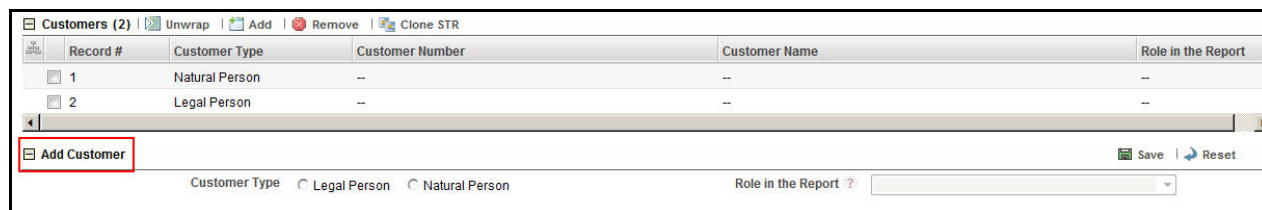


Figure 19. Add Customer

4. Select **Natural Person** as the Customer Type from the **Add Customer** section.

Note: By default, the Role in the Report is selected as **Blank**. You can select the role in the report as either **Blank**, **Beneficiary** or **Focal Customer**. An STR must include at least one customer as the Focal Customer. If an Analyst user performs *Request for Approval* action without specifying a focal customer, the following warning message is displayed: *You have not specified Focal Customer. Cannot generate report without Focal Customer.*

5. Select the role in the report as Focal Customer.

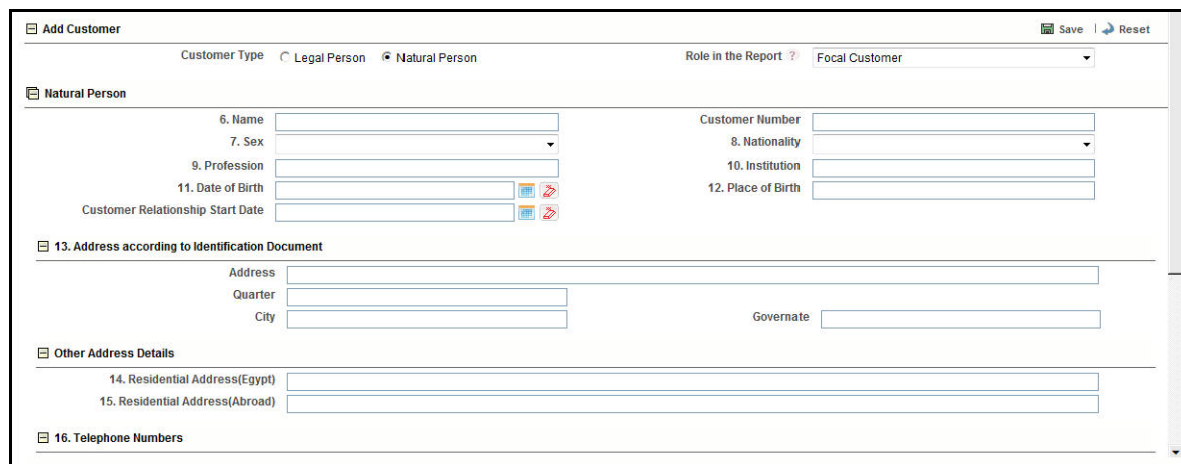


Figure 20. Adding a Natural Customer with Focal Customer Role

6. Enter the required information. The following table explains the fields displayed in Add Customer section for Customer Type as Natural Person and the Role as Blank/Focal Customer.

The following table explains the fields in Add New Customer.

Table 12. Add New Customer - Natural Person Field Descriptions

Fields	Description
Name	Enter the name of the new customer.
Customer Number	Enter the customer number in this field.
Sex	Select the sex of the customer from the drop-down list.
Nationality	Select the nationality of the customer from the drop-down list.
Profession	Enter the profession of the customer.
Institution	Enter the name of the institution.
Date of Birth	Select the date of birth of the customer from the calendar.
Place of Birth	Enter the place of birth of the customer.
Customer Relationship Start Date	Enter the date when the customer started his/her relationship with the financial institution.
Address according to Identification Document	
Address	Enter the address of the customer as specified in the identification document.
Quarter	Enter the quarter of the customer.
City	Enter the name of the city where the customer resides.
Governate	Enter the name of the governate.
Other Address Details	
Residential Address (Egypt)	Enter the customer's residential address in Egypt.
Residential Address (Abroad)	Enter the customer's residential address in abroad.
Telephone Numbers	
Home	Enter the customer's home phone number.
Business	Enter the customer's business phone number.
Mobile	Enter the customer's mobile number.
Identification Details	
Type of Identification	Select an identification type of the customer from the drop-down option. Note: If you select Other, you need to specify the type of identification in the text field.
Personal Identification Data	
Date of Issuance	Enter the date of issuance of the personal identification.
Number	Enter the personal identification number.
Place of Issuance	Enter the name of the place where the personal identification was issued.
Expiry Date	Enter the expiry date of the personal identification.
Registration Number	Enter the registration number of the personal identification.
Place of Registration	Enter the name of the place where the personal identification was registered.
Printed Number If Any	Enter the printed number if any.

7. Click **Save**. The following message is displayed: *Update Operation Successful*.
8. Click **OK**. A new customer record is added in the Customers section.

Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Customer tab. You cannot edit the report details when the report is in View mode.

Adding a New Customer of Type Legal Person

To add a new customer of type legal person, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Customer** tab.
3. Click **Add** from the Customers section. The **Add Customer** section is displayed.
4. Select **Legal Person** as the Customer Type from the **Add Customer** section.

Note: By default, the Role in the Report is selected as **Blank**. You can select the role in the report as either **Blank**, **Beneficiary** or **Focal Customer**. An STR must include at least one customer as the Focal Customer

5. Select the role of customer as **Focal Customer**.

Figure 21.

6. Enter the required information. The following table explains the fields displayed in Add Customer section for Customer Type as Legal Person and the Role as **Blank/Focal Customer**.

The following table explains the fields in Add New Customer - Legal Person.

Table 13. Add New Customer - Natural Person Field Descriptions

Fields	Description
Name	Enter the name of the new customer.
Customer Number	Enter the customer number in this field.
Legal Form	Select a legal form of the legal person from the drop-down list. Note: If you select Other, you need to specify the legal form in the text field.
Date of Institutionalization	Enter the date of Institutionalization of the legal person.

Table 13. Add New Customer - Natural Person Field Descriptions

Fields	Description
Paid up Capital Value	Select an appropriate currency from the drop-down list and enter the amount of paid up capital of the legal person. The drop-down list displays the following currencies: <ul style="list-style-type: none"> ● Egyptian pound ● U.S. dollars ● Sterling Pounds ● Euros ● Swiss Franc
Type of Activity According to the Commercial Register	Enter the type of activity according to the commercial register.
Registration Number	Enter the registration number of the legal person.
Registration Date	Enter the registration date of the legal person.
Registration Place	Enter the name of the place where the legal person was registration.
Taxation Card Number	Enter the taxation card number of the legal person.
Type	Enter the type.
Customer Relationship Start Date	Enter the date when the customer started his/her relationship with the financial institution.
Address of Head quarters	
Address	Enter the address of the legal person's headquarters.
Quarter	Enter the quarter of the legal person's headquarters
City	Enter the city of the legal person's headquarters.
Governate	Enter the governate of the legal person's headquarters
Natural Person Authorized to sign for the Legal Person	
Name	Enter the name of the natural person authorized to sign for the legal person.
Sex	Enter the sex of the natural person.
Nationality	Enter the nationality of the natural person.
Profession	Enter the profession of the natural person.
Institution	Enter the institution of the natural person.
Nature of the Relation with the Legal Person	Enter the nature of the relationship with the legal person.
Date of Birth	Enter the date of birth of the natural person.
Place of Birth	Enter the place of birth of the natural person.
Address according to Identification Document	
Address	Enter the address of the customer as specified in the identification document.
Quarter	Enter the quarter of the customer.
City	Enter the name of the city where the customer resides.
Governate	Enter the name of the governate.
Permanent Residential Address	
Residential Address (Egypt)	Enter the customer's residential address in Egypt.

Table 13. Add New Customer - Natural Person Field Descriptions

Fields	Description
Residential Address (Abroad)	Enter the customer's residential address in abroad.
Telephone Numbers	
Home	Enter the customer's home phone number.
Business	Enter the customer's business phone number.
Mobile	Enter the customer's mobile number.
Identification Details	
Type of Identification	Select an identification type of the customer from the drop-down option. Note: If you select Other, you need to specify the type of identification in the text field.
Personal Identification Data	
Date of Issuance	Enter the date of issuance of the personal identification.
Number	Enter the personal identification number.
Place of Issuance	Enter the name of the place where the personal identification was issued.
Expiry Date	Enter the expiry date of the personal identification.
Registration Number	Enter the registration number of the personal identification.
Place of Registration	Enter the name of the place where the personal identification was registered.
Printed Number If Any	Enter the printed number if any.

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

8. Click **OK**. A new customer record is added in the Customers section.

Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Customer tab. You cannot edit the report details when the report is in View mode.

Adding a New Customer with Beneficiary Role

To add a new customer with beneficiary role, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Customer** tab.
3. Click **Add** from the Customers section. The **Add Customer** section is displayed.
4. Select a **Customer Type**.
5. Select the role of the customer in the report as **Beneficiary** from the drop-down options.

The screenshot shows the 'Add Customer' form with the following elements:

- Customer Type:** Radio buttons for 'Legal Person' and 'Natural Person' (selected).
- Role in the Report:** A dropdown menu with 'Beneficiary' selected.
- Beneficiary Section:**
 - 43. Beneficiary's Name: Text input field.
 - 44. Address: Text input field.
 - 45. Nationality: Dropdown menu.
 - 46. Name of the Beneficiary's Bank: Text input field.
 - 47. Beneficiary's Account Number: Text input field.
- Buttons:** 'Save' and 'Reset' buttons in the top right corner.

Figure 22. Adding a New Customer with Beneficiary Role

6. Enter the required information. The following table explains the fields displayed in Add Customer section for Customer Type as Legal Person or Natural Person and the Role as Beneficiary.

The following table explains the fields in New Customer with Beneficiary Role.

Table 14. Add New Customer - New Customer with Beneficiary Role Field Descriptions

Fields	Description
Beneficiary's Name	Enter the beneficiary's name.
Address	Enter the address of the beneficiary customer.
Nationality	Select a nationality of the beneficiary from the drop-down list.
Name of the Beneficiary's Bank	Enter the name of the beneficiary's bank.
Beneficiary's Account Number	Enter the beneficiary's account number.

7. Click **Save**. The following message is displayed: *Update Operation Successful*.
8. Click **OK**. A new customer record is added in the Customers section.

Note: You can mark only one customer with beneficiary role in an STR. If you try to mark a second beneficiary customer in an STR, the following message is displayed: *<Customer Name> - CUsomer has already been identified as Beneficiary. Only one CUsomer can be marked as Beneficiary. Click OK to make the current customer Beneficiary or click Cancel to return to previous page.*

Editing an Existing Customer

An Analyst, Reviewer and a Supervisor user can edit a report in various statuses. Refer “Table 6. Status Role-Editing Report.” for more information.

While editing a report you can modify the Customer Type and the Role in the Report information for a customer. When you change the Customer Type and the Role of a customer, all the common customer information are retained. When you edit the role of a Natural customer from Beneficiary to Focal Customer/Blank or vice versa, then the Customer Name and Customer Number are retained and the beneficiary's address is mapped to the Natural Person's Residential Address. Similarly, when you edit the role of Legal Person from Beneficiary to Focal Customer/Blank or vice versa, then the Customer Name and Customer Number are retained.

To edit an existing customer, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Customer** tab.
This list of customers associated with the report are displayed in the Customers section.
3. Select the check box at the beginning of a customer record row or click anywhere in the row.

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

Cloning an STR

Cloning an STR will create a new report with the selected customer. When you clone an STR, all the data related to reporting bank, transaction, beneficiary, and documents will be copied to the new report. Users mapped to the role Analyst, Reviewer and Supervisor can perform Clone STR action on customer records that are having the role as *Blank*.

An Analyst, Reviewer and Supervisor users can clone an STR when it is in *Open, Reopen, Request for Approval, Rework, Recommend Approval, Requested Cancellation* and *Cancelled* status. You cannot clone an STR when in *Approved* status. For more information, refer to “Table 4. Report Status - Action Mapping.”

Note: You can clone only the primary report and cannot perform the clone action on an already cloned report.

To clone an STR, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Customer** tab.
3. Select the check box at the beginning of a customer record row or click anywhere in the row that you want to clone.
4. Click **Clone STR**.

Note: If you try to perform a clone action on an STR where the customer's role in the report is either **Beneficiary** or **Focal Customer**: the following message is displayed: *Clone STR action cannot be taken against Beneficiary or Focal Customer. Cloned reports can only be created for Non-Focal Customer who is not a Beneficiary.*

5. If the cloning is successful, the following message is displayed: *<Report ID> Cloned report created successfully.*
6. Click **OK**.

Note:

- When you clone an STR, the beneficiary customer from the primary STR is also copied to the cloned STR and thereby becomes the beneficiary customer of the cloned STR.
- When you clone a report, an entry is added in the Audit tab with the Report ID of the new STR along with the details of the customer record that was selected for cloning.

Removing a Customer

To remove a Customer record, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Customer** tab.
The list of customer records are displayed in the Customers section.
3. Select the check box at the beginning of an customer record row or click anywhere in the row.
4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Record Removed Successfully.*
6. Click **OK**. The customer record is removed from the Customers section.

When you perform add, update, or remove action, an entry is added in the **Audit** tab.

Managing Transactions

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

Reporting Bank | Customer | **Transaction** | Documents | Audit

Transaction Summary Edit

48. Transaction's Date: 30-Nov-2009 | 49. Date of Suspicion: 03-Dec-2009
 50. Transaction's Value: 47000 | 51. Currency's Type: Egyptian pound
 52. Type of the Account Used for the Transaction: -- | 53. Customer Number: 5468795
 54. Customer Relationship Start Date: --
 55. Type of Transaction: --

Transactions (5) | Unwrap | Add | Remove

Record #	Transaction Number	Transaction Date	Transaction Method	Transaction Value (Base)	Originating Party	Receiving Party
1	FOTR\NCTSGCHCU0005	30-Nov-2009	Cash	Egyptian pound 2500	ACCSHTRNSIGCU-002 (T...	...
2	FOTR\NCTSGCHCU0006	01-Dec-2009	Cash	Egyptian pound 5000	ACCSHTRNSIGCU-002 (T...	...
3	FOTR\NCTSGCHCU0010	03-Dec-2009	Cash	Egyptian pound 20000	ACCSHTRNSIGCU-002 (T...	...
4	FOTR\NCTSGCHCU0004	30-Nov-2009	Cash	Egyptian pound 2500	ACCSHTRNSIGCU-002 (T...	...
5	FOTR\NCTSGCHCU0009	02-Dec-2009	Cash	Egyptian pound 17000	ACCSHTRNSIGCU-002 (T...	...

56. Description of the Transaction Save Reset

57. Reasons of Suspicion

Figure 23. Transactions Tab

The Transactions tab displays the following sections:

- **Transaction Summary** - Displays the summary of all the transaction records included in the Transaction Section for an STR. The Final STR report includes only the transaction Summary information and does not include the individual transaction details. You can choose to configure to display either Customer Details or Account Details in the Transaction Summary. If you have configured the Compliance Regulatory Reporting application to display the Account details in the Transaction Summary, then the Customer Number and the Customer Relationship Start Date will be replaced with Account Number and Account Opening Date respectively. The Transactions Summary information updated in the Compliance Regulatory Reporting application is displayed in the Final STR report as depicted in the following figure:

Fourth: Data on the Suspected Transaction:						
48. Transaction's Date:	Day	Month	Year	49. Date of Suspicion:	Day	Month Year
50. Transaction's Value:				51. Currency's Type:		
52. Type of the Account Used for the Transaction:				53. Customer Number:		
54. Customer Relationship Start Date:	Day	Month	Year	55. Type of Transaction		
56. Description of the Transaction:						
57. Reasons of Suspicion:						

Figure 24. Transaction Summary Information in Final STR Excel

The Transaction Summary section displays the following fields:

- Transaction Date
- Date of Suspicion
- Transaction's Value
- Currency's Type
- Type of Account Used for the Transaction
- Customer Number / Account Number
- Customer Relationship Start Date / Account Opening Date
- Type of Transaction
- **Transactions** - Captures specific information related to the transaction such as transaction identifiers, date of transaction, type of transaction, base amount of the transaction, originator name of the transaction, debit or a credit transaction and so on. The Transactions section displays the following columns:
 - Record
 - Transaction Number
 - Transaction Date
 - Transaction Method
 - Transaction Value (Base)
 - Originating Party
 - Receiving Party

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

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

Adding a Transaction

To add transactions to the report, follow these steps:

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

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

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

Figure 25. Add Transaction

4. Enter the required information.

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

Table 15. Add New Transaction Field Descriptions

Fields	Description
Transaction Number	Enter the unique identifier for the transaction
Transaction Date	Select a date from the calendar icon specifying the occurrence of the transaction.
Transaction's Value	Select an appropriate currency from the drop-down list and enter the amount of transaction's value. The drop-down list displays the following currencies: <ul style="list-style-type: none"> ● Egyptian pound ● Euros ● Pounds ● Swiss Franc ● U.S. dollars
Transaction Method	Enter the method of the transaction or the type as per Alert Management. This information is used to determine the Transaction Type in the Transaction Summary.
Originator Account Number	Enter the account number of originator of the transaction.
Receiver Account Number	Enter the account number of the receiver of the transaction.
Originator Account Type	Enter the account type of the originator of the transaction.
Receiver Account Type	Enter the account type of the receiver of the transaction.

Table 15. Add New Transaction Field Descriptions

Fields	Description
Originator Account Opening Date	Enter the originator date of opening the account.
Receiver Account Opening Date	Enter the receiver date of opening the account.
Originator Name	Enter the name of the person or organization who acts as the originator.
Receiver Name	Enter the name of the person or organization who acts as the receiver.

Viewing or Editing Transaction Details

To view or edit the details of transactions, click anywhere on a transaction row. You can edit information about the transaction in the Transaction Details section.

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

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

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

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

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

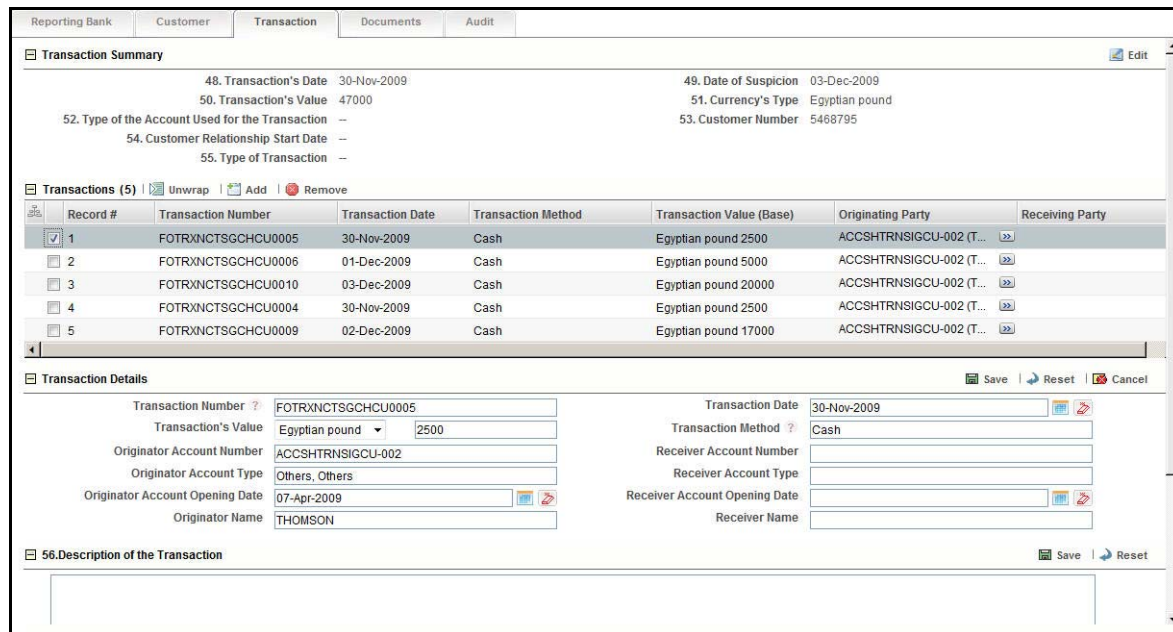


Figure 26. Viewing/Editing Transaction Record

Editing Transactions Summary

To edit the transaction summary, follow these steps:

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

Figure 27. Editing Transaction Summary

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

The following table explains the fields in the Editing Transaction section.

Table 16. Editing Transaction Summary

Fields	Description
Transaction Date	If there is only a single date involved in the transactions, then that date is displayed by default. If there are one or more transactions with different transaction dates, then this field displays the earliest date of all the transactions records. You edit this field by selecting a date from the calendar icon.
Date of Suspicion	Displays the date of the most recent transaction.
Transaction's Value	Displays the sum of all the transaction amounts.
Currency's Type	If there is only one currency involved in all the transactions, then that currency is displayed by default. If there are multiple currencies involved in the transaction records, then this field will display as blank.
Type of the Account Used for the Transaction	Enter the type of the account used in the transactions.
Customer Number	This field will be displayed in the Transaction Summary if you have configured to display the Customer Details. By default, this field will display the customer number of the focal customer selected for the STR. Note: This field is not editable.

Table 16. Editing Transaction Summary

Fields	Description
Customer Relationship Start Date	This field will be displayed in the Transaction Summary if you have configured to display the Customer Details. By default, this field will display the customer relationship start date of the focal customer selected for the STR. Note: This field is not editable.
Account Number	This field will be displayed in the Transaction Summary if you have configured to display the Account Details. By default, this field will display a blank value.
Date of Opening the Account	This field will be displayed in the Transaction Summary if you have configured to display the Account Details. By default, this field will display a blank value.
Type of Transaction	If there is only a single transaction type involved in the transactions, then that type is displayed by default. If there are multiple types of transactions involved, then this field displays a blank value.

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

Note: You can also click **Cancel** to turn the Transaction Summary into non-editable mode.

Removing Transactions

To remove a transaction, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions section.
2. Select the check box of the transaction record you want to remove.
3. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record? Deleting transactions may update the Transaction Summary and any user filled data may get lost. Click OK to proceed or Cancel to abort.*
4. Click **OK**. The following message is displayed: *Record Removed successfully.*
5. Click **OK**. The application refreshes and displays the Transactions section.

Attaching and Removing Documents

The Documents tab allows you to attach and remove documents related to an STR. While filing the STR with the regulatory authorities, you must also send any added documents. The process of sending added documents to the regulatory authorities occurs outside of the application.

Users mapped to the role of an Analyst, Reviewer and 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 pop-up window is displayed.

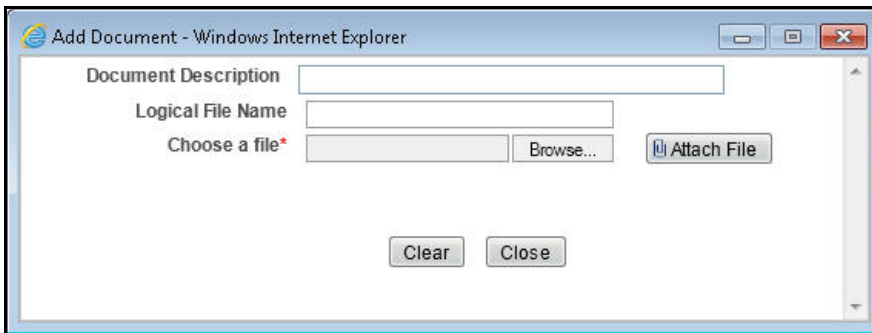


Figure 28. Adding Documents to STR

4. Enter the **Document Description** and the **Logical File Name**.
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 pop-up window.
You can click **Close** to navigate back the Report Details page or can 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 an added document.

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 with the report are displayed in the Documents section.
3. Select the check box at the beginning of an added document row or click anywhere in the row.
The document record changes into an editable mode.

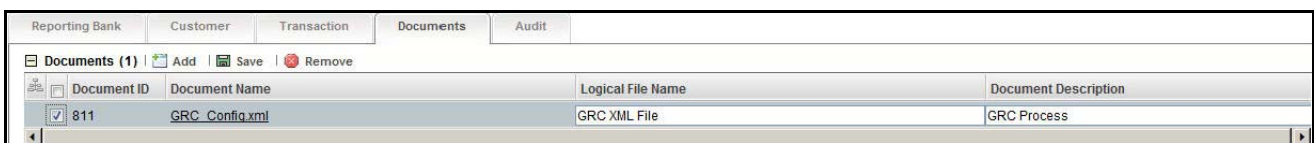


Figure 29. Editing the Logical File Name and Document Description of an Added Document

4. Edit the Logical File Name or/and 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.

Viewing Audit Information

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

Date	Action By	Action	Comments
23-Dec-2013 10:51:34	RRSUP	Modified Customer Details: John Doe	--
23-Dec-2013 10:51:25	RRSUP	Modified Customer Details: John Doe	--
22-Dec-2013 19:46:43	RRSUP	Modified Document: Test2	--
22-Dec-2013 19:18:01	RRSUP	Added New Document: Test	--
19-Dec-2013 15:59:53	RRWWR	Recommend for Approval	Recommend for Approval

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 17. Actions Section Field Descriptions

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

Table 17. Actions Section Field Descriptions

Fields	Description
Action	<p>Displays a short description of the action.</p> <p>OFSCRR captures the following actions in the Audit tab:</p> <ul style="list-style-type: none"> ● Created From Alert/Case ● Created Manually ● Created Through Cloning. ● Reporting Bank Information Modified ● Added New Customer ● Removed Customer ● Modified Customer Details ● Modified Transaction Summary ● Added New Transaction ● Modified Transaction Details ● Removed Transaction ● Added New Document ● Modified Document ● Removed Document ● Report Cloned for Customer Number ● Reason for Suspicion/ Transaction Description Edited
Comments	Displays the comments entered by the user while performing an action.
Previous Report	Displays the previous final STR Excel submitted to the regulatory authorities.

You can also export the list of actions to an excel format using the **Export to Excel** option. Refer to *Exporting the STR List to Excel*, on page 65 for more information.

Comments

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

Table 18. Comments Section Field Descriptions

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

Requesting the Report Details for Approval

After updating the report details, an Analyst must take request for approval action. The Report Details page allows an analyst to request a report for approval. When a report is requested for approval, the status of the STR changes to *Requested for Approval*.

A Reviewer user can review the report submitted for approval by an analyst and can either take **Recommend for Approval**, **Request Cancellation** or **Rework** actions. When a Reviewer recommends a report for approval, the status of the STR changes to *Recommended for Approval*. Subsequently, a Supervisor can review the report and can either Approve, Rework or Cancel the report.

Alternatively, a Supervisor user can also directly approve a report in *Open* status after reviewing the report details.

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

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

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

Note: You need to specify a focal customer for a report before requesting for approval. If you click Request for Approval without specifying a focal customer, the following warning message is displayed: *You have not specified Focal Customer. Cannot generate report without Focal Customer.*

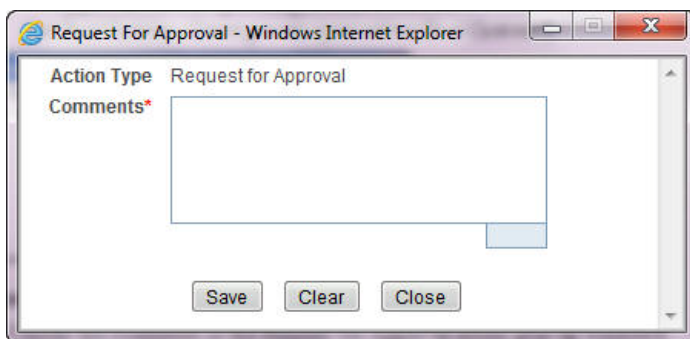


Figure 31. Request for Approval Action Pop-up Window

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

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

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

4. Click **Save**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Requested for Approval*. Subsequently, the report is removed from the Search and List page of an Analyst. To know in what statuses an analyst will not be able to view reports refer to “Table 5. Status Role-Viewing Report.” for more information.

The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Request for Approval** action. An Analyst user cannot view a report in *Requested for Approval* status.

Recommending the Report Details for Approval

After updating the report details, a Reviewer must recommend the STR for approval. The Report Details page allows users mapped to the role of reviewer to recommend a report for approval. When a report is recommended for approval, the status of the STR changes to *Recommended for Approval*. Subsequently, a Supervisor can either approve, rework or cancel the report.

A Reviewer user can also review a report in *Requested for Approval* status and can either take **Recommend for Approval**, **Request Cancellation** or **Rework** actions. When a reviewer recommends a report for approval, the status of the STR changes to *Recommended for Approval*. Subsequently, a Supervisor can review the report and can either Approve, Rework or Cancel the report.

To know in what statuses a reviewer user can initiate *Recommend for Approval* action and in what statuses a Supervisor user can directly approve a report, refer to “Table 4. Report Status - Action Mapping.” for more information.

To recommend a report for approval, a reviewer must follow these steps:

1. Navigate to Reports Details page of report in *Open* or *Requested for Approval* status.
2. Click **Recommend Approval**.

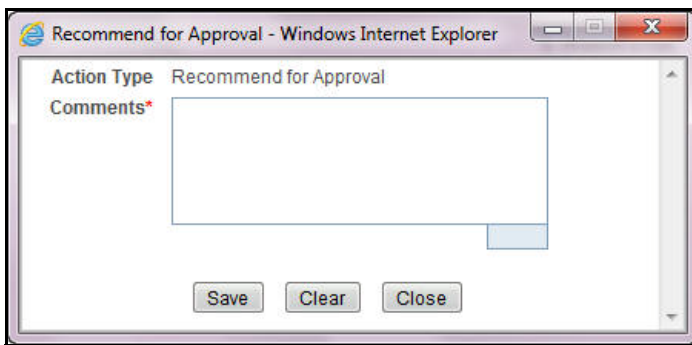


Figure 32. Request for Approval Action Pop-up Window

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

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

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

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

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

Setting Due Date of an STR

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

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

The following table explains the various statuses where the Analyst, Reviewer and Supervisor users can perform the Set Due Date action:

Menus	Roles		
	Analyst	Reviewer	Supervisor
Open	X	X	X
Reopened		X	X
Requested for Approval		X	X
Recommended for Approval			X
Rework	X	X	X
Approved		X	X

To set due date of an STR 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 pop-up window is displayed.

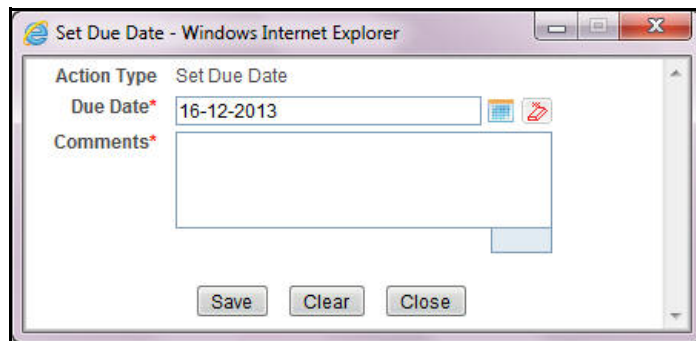


Figure 33. Set Due Date Pop-up Window from Report Details Page

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** action pop-up window.

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

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

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.

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

1. Navigate to RR Search and List page.
2. Select the check box of the report you want to set due date.
3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

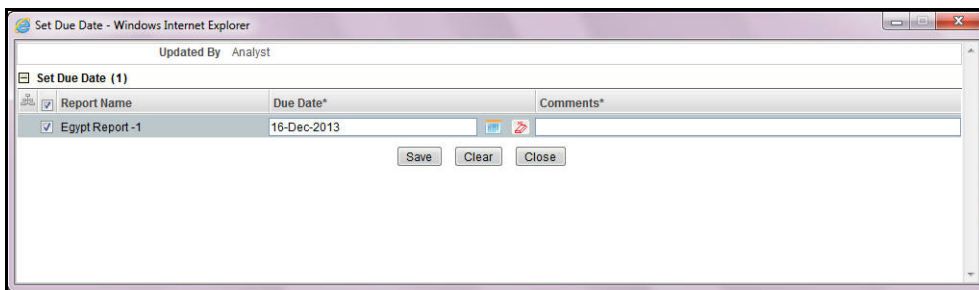


Figure 34. Set Due Date from RR Search and List Page

Note: If the selected report already has a due date set, then the existing due date can be edited. While setting a due date if you include reports that are in Submitted or Cancelled status, the following warning message is displayed: *Some of the reports are in Submitted, Requested for Cancellation or Cancelled state. Due date cannot be set on these reports. Please deselect those reports and try again.*

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

Note: This field is a mandatory field.

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

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

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

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

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

Requesting the Cancellation of STR

If an Analyst or a Reviewer user determines that an STR should not be filed, they can request the Supervisor for cancellation of the report.

Users mapped to the role of Analyst can initiate the **Request Cancellation** action when the report is in *Open* and *Rework* statuses whereas a Reviewer can initiate the **Request Cancellation** action when the report is in *Open*, *Reopened*, *Requested for Approval*, *Approved*, and *Rework*. For more information, refer to “Table 4. Report Status - Action Mapping”.

Once the report is in *Requested for Cancellation* status, you cannot edit the report details and the report changes to *View Only* mode.

Note: A Supervisor can either take **Cancel Filing** or **Reject Cancellation Request** action on a report in *Requested for Cancellation* status.

To request the cancellation of an STR, follow these steps:

1. Navigate to Reports Details page of report.
2. Click **Request Cancellation**.

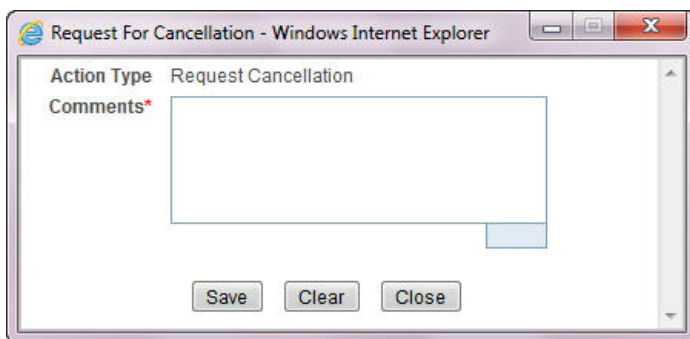


Figure 35. Request Cancellation Action Pop-up Window

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The Search and List page is displayed and the status of the STR changes to *Requested for Cancellation*.

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

Performing Approve/Rework/Cancel Filing/Reject Cancellation Request on STRs

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

This section covers the following topics:

- Approving Reports
- Sending Reports to Rework
- Cancelling the Filing of STR
- Rejecting the Cancel Request of an STR

Approving Reports

Users mapped to the role of Supervisor can approve a report when it is in *Open*, *Reopened*, *Requested for Approval*, *Rework*, and *Recommended for Approval* status. For more information, refer to “Table 4. Report Status - Action Mapping.”

To approve an STR, follow these steps:

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

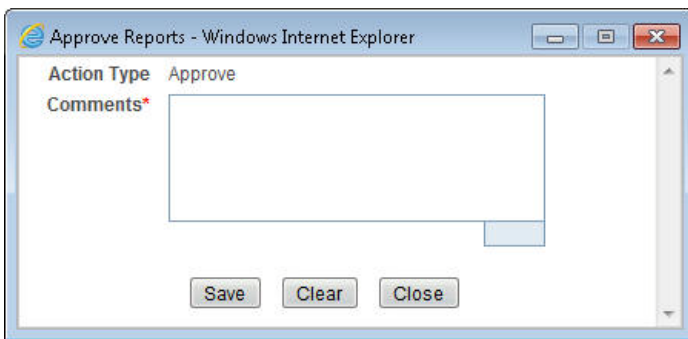


Figure 36. Approve Action Pop-up Window

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

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

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

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*.

Note: Once the STR is approved, Compliance Regulatory Reporting application will generate the final STR excel file containing the required information to be submitted to the regulatory authority. Also, the Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Approve** action.

Sending Reports to Rework

A Reviewer or a Supervisor user can choose to rework a report for incomplete, inaccurate information, or additional investigation. The Report Details page allows a Reviewer and Supervisor to take Rework action on reports.

A Reviewer can take rework action on a report when it is in *Requested for Approval* status whereas a Supervisor can take rework action in *Requested for Approval* and *Recommended for Approval* status. If a report is sent for rework, an Analyst or a Reviewer must rework on the report and request/recommend the report again for approval. This process continues until the report is approved or cancelled.

To send a report to rework, follow these steps:

1. Navigate to the Report Details page.
2. Click **Rework**. The Rework Action pop-up window is displayed.

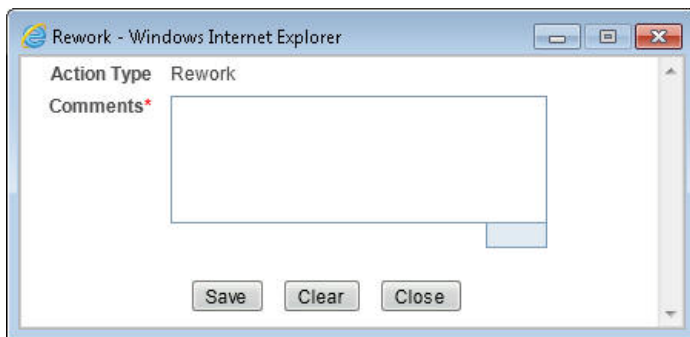


Figure 37. Rework Action Pop-up Window

3. Enter the comments in the **Rework** action pop-up window.

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

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

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 STR changes to *Rework*.

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

Canceling the Filing of STR

If a Supervisor user determine that an STR report should not be filed they can cancel it.

A Supervisor can initiate **Cancel Filing** action when the report is in *Open*, *Reopened*, *Requested for Approval*, *Approved*, *Rework*, *Recommended for Approval*, and *Requested for Cancellation* status. For more information, refer to “Table 4. Report Status - Action Mapping.”.

Once the report is cancelled, you cannot edit the report details and the report changes into *View Only* mode.

Note: A canceled report can be reopened by a Reviewer and Supervisor.

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

1. Navigate to Report Details page.
2. Click **Cancel Filing**. The Cancel Action pop-up window is displayed.

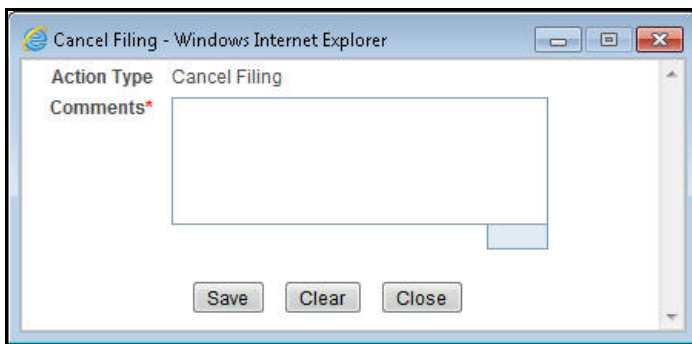


Figure 38. Cancel Filing Action Pop-up Window

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

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

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

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 STR changes to *Cancelled*. The due date of the report is deleted on taking cancelled action

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

Rejecting the Cancel Request of an STR

A Supervisor user can choose to reject the cancellation request initiated by Analyst or Reviewer user.

An Analyst can initiate the **Request Cancellation** action when the report is in *Open*, and *Rework* status whereas a Reviewer can initiate in *Open*, *Reopened*, *Requested for Approval*, *Approved*, *Rework*, and *Recommended for Approval* status. For more information, refer to “Table 4. Report Status - Action Mapping.”

Once the Supervisor rejects the cancellation request, the status of the report changes to the previous status prior to the Request Cancellation action.

The following scenario shows the work flow for Rejecting a Cancellation Request:

1. When an Analyst initiates a Cancel Filing request on an *Open* status, the status changes from *Open* to *Requested for Cancellation*.
2. Following this step, if the Supervisor rejects the cancellation request, the status of the STR changes back to *Open* from *Requested for Cancellation*

Note: A canceled report can be reopened by a Reviewer and Supervisor.

To reject the cancel request of a report, follow these steps:

1. Navigate to Report Details page.
2. Click **Reject Cancel Request**. The Reject Cancellation Request Action pop-up window is displayed.

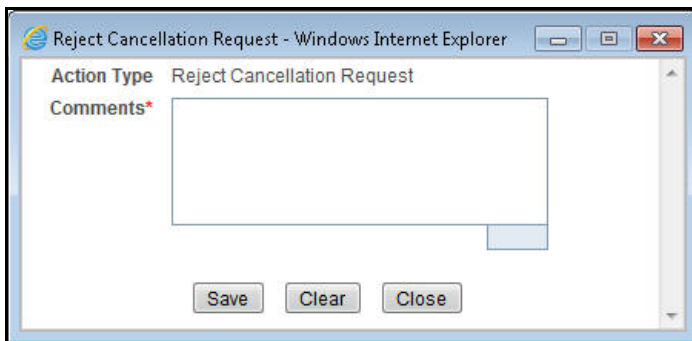


Figure 39. Cancel Filing Action Pop-up Window

3. Enter the comments in the **Reject Cancellation Request** action pop-up window.

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

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

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 STR changes to previous status prior to the **Request Cancellation** action.

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

Marking an STR as Submitted

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

For tracking and reporting purposes, the application allows you to mark the reports that are filed with the regulatory authorities as **Submitted** once the STR Excel has been sent to the regulatory authorities, or whenever is defined as appropriate per your institution's business practices.

When the report is submitted, the due date gets deleted.

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

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

The Report Details page and RR Search and List page allows both Reviewer and Supervisor to submit approved reports.

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

1. Navigate to the Report Details page of a report in *Approved* status.

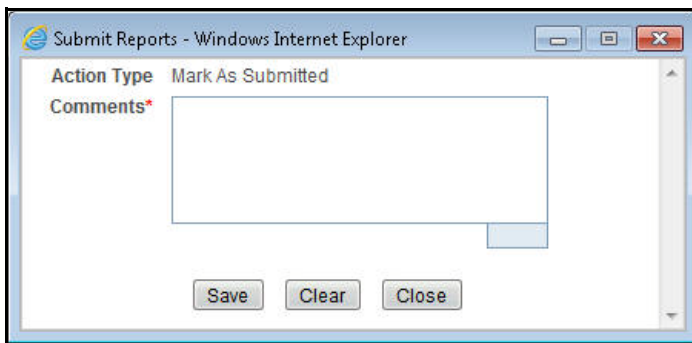


Figure 40. Mark as Submitted Pop-up Window from Report Details Page

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

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

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

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

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

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

1. Navigate to the RR Search and List page.

2. Select the check box of the report(s) you want to submit.

Note: You can select multiple reports from the search and list page and collectively mark them as submitted.

3. Click **Submitted**. The Submit Reports window is displayed.

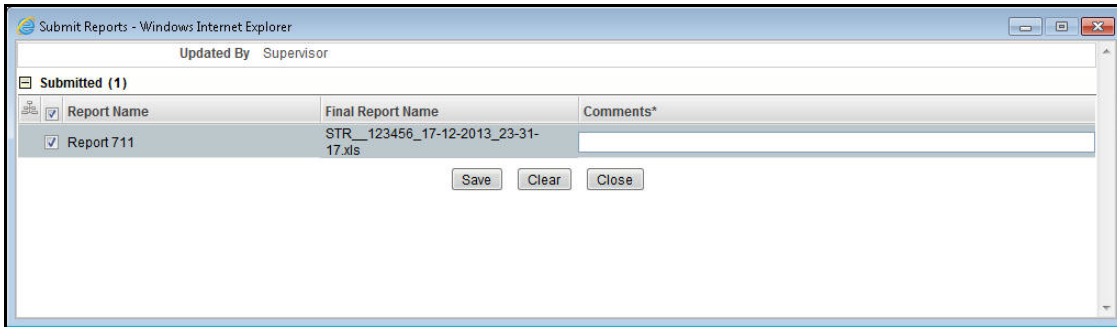


Figure 41. Mark as Submitted Pop-up Window from Search and List Page

4. Select the report details in the Submission Window and enter the comments.

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

6. Click **OK**. The RR Search and List page is displayed.

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

Reopening an STR

Users mapped to the role of Reviewer and Supervisor can initiate reopen action on a report in *Cancelled* or *Submitted* status. A Reviewer and Supervisor can reopen a report from the Report Details page or from RR Search and List page. For more information, refer to “Table 4. Report Status - Action Mapping.”

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

1. Navigate to the Report Details page of a report in *Cancelled* or *Submitted* status.
2. Click **Reopen**. The Reopen Action pop-up window is displayed.

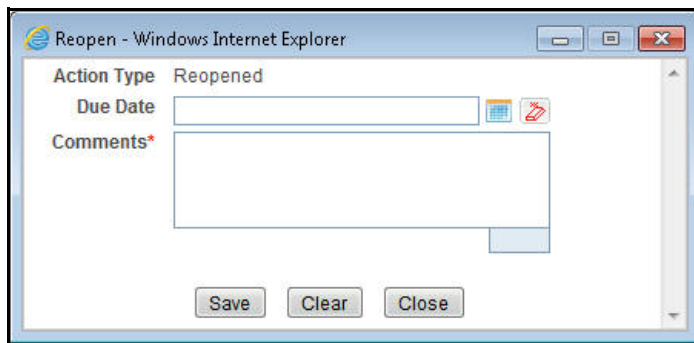


Figure 42. Reopen Action Pop-up Window from Report Details Page

3. Set the due date and enter the comments in the **Reopen** action pop-up window. If you set the Due Date Required Flag attribute to **Y**, you must enter a due date. If you set the Due Date Required Flag attribute to **N**, you can optionally enter a due date.

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

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

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.

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

1. Navigate to the RR 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 reopen action on reports other than in *Cancelled/Submitted* status, the application displays the following message: *Some reports are not in Cancelled or Submitted state. Reopen action can only be taken on Cancelled or Submitted reports. Please deselect those reports and try again.*

3. Click **Reopen**. The Reopen Action pop-up window is displayed.

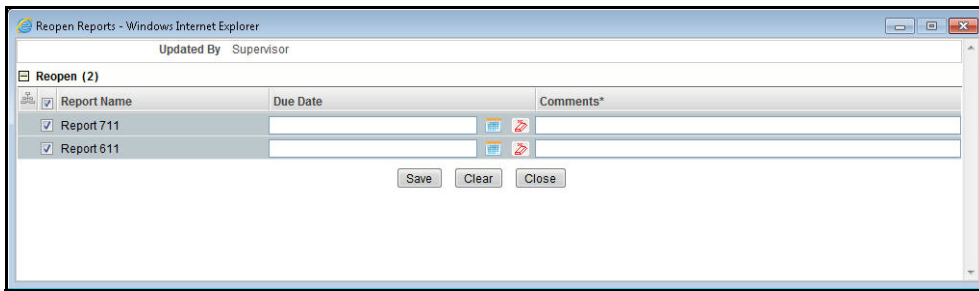


Figure 43. Reopen Action Pop-up Window from Search and List Page

4. Enter your comments in the Reopen reports window.

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

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

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

Note: If you try to perform reopen action on reports other than in *Cancelled/Submitted* status, the application displays the following message: *Some reports are not in Cancelled or Submitted state. Reopen action can only be taken on Cancelled or Submitted reports. Please deselect those reports and try again.*

Adding Comments to an STR

The Report Details page allows users mapped to the role of Analyst, Reviewer, and Supervisor 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 pop-up window is displayed.

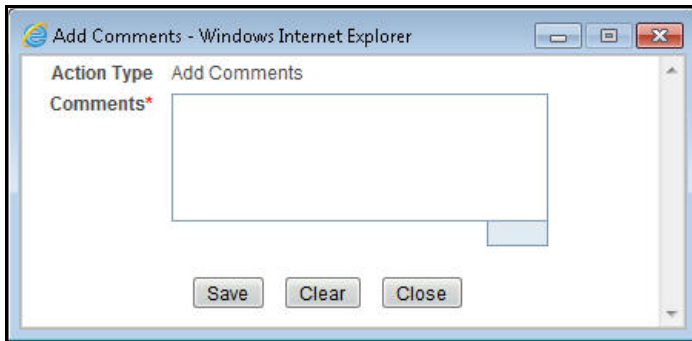


Figure 44. Add Comments Action Pop-up Window

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

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

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

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

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

Viewing an STR Excel


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

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

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

1. Navigate to the Report Details page of a report.
2. Click **View/ Save Report**. The **File Download** pop up window is displayed.
3. Click **Open** to view the STR Excel. You can also click **Save** to save the report in your machine.

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

1. Navigate to the RR Search and List page.
2. From Reports List, click  in the Regulatory Report column of an STR record. The **File Download** pop up window is displayed.
3. Click **Open** to view the STR Excel. You can also click **Save** to save the report in your machine.

Exporting the STR List to Excel

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

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

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

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

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

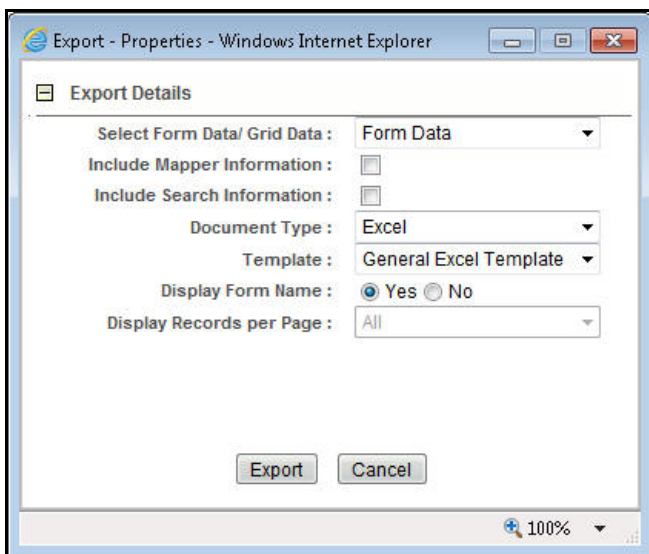


Figure 45. Export Properties Dialog Box

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

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

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.

