

Oracle Financial Services
Compliance Regulatory Reporting
Web Service Guide

Release 8.0.2.0.0
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Compliance Regulatory Reporting
Web Service Guide

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About This Guide

This guide explains the Request, Response, and Status elements of the Oracle Financial Services Regulatory Reporting Web Service.

This section details the following topics:

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

Who Should Use this Guide

This guide is designed for technical staff, database programmers, and system administrators of the Oracle Financial Services client.

Scope of this Guide

The purpose and scope of this guide is to define how and in what format the source business data must be provided to the Oracle Financial Services Regulatory Reporting (RR) application through a Web service.

The Web service call is initiated from the source Anti Money Laundering (AML) system and then processed by the RR service. The RR service processes the requests posted, creates the response, and responds to the source AML system.

This guide details the attributes expected in the request and the response that would be sent to the AML system.

How this Guide is Organized

The *Oracle Financial Services Compliance Regulatory Reporting Web Service Guide*, Release 8.0.2 includes the following topics:

- Chapter 1, *Introduction*, describes the brief overview of the RR Web Service.
- Chapter 2, *Web Service – Request Elements*, details the data expected from the source AML system.
- Chapter 3, *Web Service – Response Elements*, lists the elements that are a part of the response from the RR.
- Chapter 4, *Status Update Web Service – Status Elements*, details the report status updating process in the AML system.

Where to Find More Information

For additional information about the Oracle Financial Services RR application, refer to *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide* which explains how the OFSRR data is organized, how OFSRR uses that data, and how to achieve the expected business results. This document is available in [OTN](#).

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 list 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 |

The Web service call is initiated from the source AML system and processed by the RR service. The RR service processes the posted requests, creates the response, and responds to the source AML system. Refer Figure 1.

Enter your User ID and Password to make a successful Web service call. The User ID and Password ensures that the correct and authenticated systems are accessing the RR application. These parameters are static and decided on user preference during implementation. Once decided, these parameters are saved in a specific location in the database. Refer *Appendix A* for detailed description on the process of changing the User ID and Password.

Apart from the User ID and Password, data coming from the AML system is also verified and validated by the RR application. If the three parameters are correct, then the RR application generates a unique Report ID for the report, stores the data, and responds with a positive acknowledgment. If the validation fails, the RR application responds with a negative acknowledgment.

- **Request:** Provides the details of the data expected from the AML system. Verifies and validates the data.
- **Response:** Provides the details of the data in the response to the AML system. Responds with a positive or negative acknowledgment.

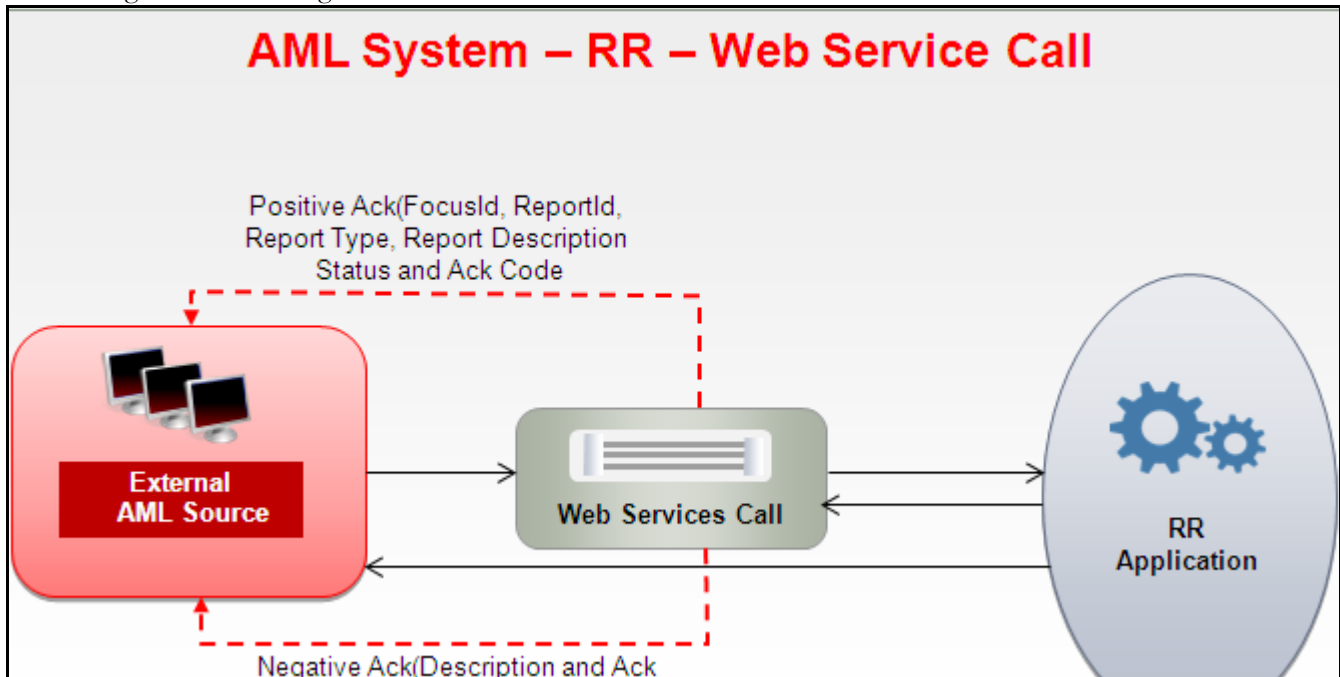


Figure 1. RR Webservice Request and Response

Prerequisites

The RR Web Service is available after the post-installation and configuration activities for the solution are completed.

The RR Web Service can be verified by accessing the following URL: `http://<WebServer IP> :< port number>/<context name>/services/InitiateRequest`

The source AML system provides the following information to the RR Web Service: The details of each element is explained in the next section

- Request
 - ReportType
 - InvestigationReferenceId
 - FocusID
 - FocalEntityName
 - RequestedBy
 - FocalType
 - ReportSubType
 - EntityReference
 - SubmissionDate
 - CurrencyCodeLocal
 - Location
 - Source
 - ReportIndicators
 - CorrectsAPriorReport
 - SupplAPriorReport
 - PriorReportId
 - SecurityAttributes
 - Account
 - AccountAddress
 - AccountPhone
 - AccountEmailAddress
 - Customer
 - CustomerAddress
 - CustomerEmailAddress
 - CustomerPhone
 - DerivedEntity
 - DerivedAddress
 - CorrespondentBank

- InvolvedPartyDetail
- ReviewInvolvedPartyLink
- CashTransaction
- MonetaryInstrumentTransaction
- WireTransaction
- BackOfficeTransaction
- InsuranceTransaction
- Narrative
- LossRecoverySummary
- Action
- FinancialInstitution
- AdditionalTransactionDetails
- TransactionGoodsServices
- Director

Table 2 details the format in which the data is expected from source AML System. The following conventions are used in this table:

¹- Mandatory Information

Table 2. Request Elements

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|---------------------------------------|-----------|---|--|
| 1 | ReportType ¹ | string15 | Indicates the type of report OFSRR application should process. | A valid report type should be provided. |
| 2 | InvestigationReferenceld ¹ | string30 | Alert or Case ID for report | |
| 3 | FocusID | string30 | Focus ID for report. | |
| 4 | FocalEntityName | string300 | Focal entity name | |
| 5 | RequestedBy ¹ | string30 | User ID of the person who has requested for generation of report. | The AML and OFSRR application must have the same user ID |
| 6 | FocalType | string300 | Type of focus on which report is initiated | |

Table 2. Request Elements (Continued)

| | | | | |
|----|---------------------------------|-----------------------|--|--|
| 7 | ReportSubType | string10 | Report sub type like STR/CTR | |
| 8 | EntityReference | string255 | Entity reference of the report | |
| 9 | SubmissionDate | Date | Date of report submission | |
| 10 | CurrencyCodeLocal | string10 | Local currency code | |
| 11 | Location | AddressType | Location where the report was reported. | |
| 12 | Source | string255 | Source application which is sending the report. | |
| 13 | ReportIndicators | string25 | Report indicators | |
| 14 | CorrectsAPriorReport | string1 | Flag to indicate if this is a report which corrects a previously reported report. | |
| 15 | SupplAPriorReport | string1 | Flag to indicate if this is a report which supplements a previously reported report. | |
| 16 | PriorReportId | Integer10 | In case of corrects or supplements a previous report, then its report ID. | |
| 17 | SecurityAttributes ¹ | SecurityType | The security attributes associated with the report. Refer SecurityType section for more details. | |
| 18 | Account | Account | The account details of the report. Refer Account section for more details. | |
| 19 | AccountAddress | AccountAddress | The account address details of the reported account. Refer AccountAddress section for more details. | |
| 20 | AccountPhone | AccountPhone | The account phone details of the reported account. Refer AccountPhone section for more details. | |
| 21 | AccountEmailAddress | AccountEmailAddresses | The account email address details of the reported account. Refer AccountEmailAddress section for more details. | |

Table 2. Request Elements (Continued)

| | | | | |
|----|-------------------------------|-------------------------------|--|--|
| 22 | Customer | Customer | The customer details of the report. Refer Customer section for more details. | |
| 23 | CustomerAddress | CustomerAddress | The customer address details of the reported Customer. Refer CustomerAddress section for more details. | |
| 24 | CustomerEmailAddress | CustomerEmailAddress | The customer email address details of the reported customer. Refer CustomerEmailAddress section for more details. | |
| 25 | CustomerPhone | CustomerPhone | The customer phone details of the reported customer. Refer CustomerPhone section for more details. | |
| 26 | DerivedEntity | DerivedEntity | The derived entity details of the report. Refer DerivedEntity section for more details. | |
| 27 | DerivedAddress | DerivedAddress | The derived entity address details of the reported derived entity. Refer DerivedAddress section for more details. | |
| 28 | CorrespondentBank | CorrespondentBank | The correspondent bank details of the report. Refer CorrespondentBank section for more details. | |
| 29 | InvolvedPartyDetail | InvolvedPartyDetail | The involved party details of the report. Refer InvolvedPartyDetail section for more details. | |
| 30 | ReviewInvolvedPartyLink | ReviewInvolvedPartyLink | The review involved party link details of the report. Refer ReviewInvolvedPartyLink section for more details. | |
| 31 | CashTransaction | CashTransaction | The cash transaction details of the report. Refer CashTransaction section for more details. | |
| 32 | MonetaryInstrumentTransaction | MonetaryInstrumentTransaction | The monetary instrument transaction details of the Report. Refer MonetaryInstrumentTransaction section for more details. | |

Table 2. Request Elements (Continued)

| | | | | |
|----|------------------------------|--------------------------|--|--|
| 33 | WireTransaction | WireTransaction | The wire transaction details of the report. Refer WireTransaction section for more details. | |
| 34 | BackOfficeTransaction | BackOfficeTransaction | The back office transaction details of the report. Refer BackOfficeTransaction section for more details. | |
| 35 | InsuranceTransaction | InsuranceTransaction | The insurance transaction details of the report. Refer InsuranceTransaction section for more details. | |
| 36 | Narrative | string | The narrative details of the report. | |
| 37 | LossRecoverySummary | LossRecoverySummary | The loss recovery summary details of the report. Refer LossRecoverySummary section for more details. | |
| 38 | Action | string4000 | The action details of the report. | |
| 39 | FinancialInstitution | FinancialInstitution | The financial institution details of the report. Refer FinancialInstitution section for more details. | |
| 40 | AdditionalTransactionDetails | TransactionDetails | The additional transaction details of the report. Refer TransactionDetails section for more details. | |
| 41 | TransactionGoodsServices | TransactionGoodsServices | The transaction goods services details of the report. Refer TransactionGoodsServices section for more details. | |
| 42 | Director | Customer | The director details of the organizations holding the account for the report. Refer Customer section for more details. | |

Table 3. Account Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|-------------------|-----------|--|-------------|
| 1 | AccountIdentifier | string50 | Identifier for a specific account that is unique across the enterprise. All trades and transactions are associated with an account identifier. | |

Table 3. Account Element (Continued)

| | | | | |
|----|----------------------------------|-----------|---|---|
| 2 | SubmissionDate | Date | Business date for which the data record is provided. | |
| 3 | RRSAccountIdentifier | Integer22 | Identifier for this account | |
| 4 | SegmentIdentifier | string10 | Category identifier used to distinguish sales regions, segments, and so on. associated with this account. | |
| 5 | OptionApprovalLevel | string2 | Options trading approval level for this account (for example, approval to trade uncovered options). | 0: Covered writing 1: Put/call Purchases 2: Spreads 3: Naked writing |
| 6 | OptionApprovalDate | Date | Date on which this account was approved for its current level of options trading. | |
| 7 | RegistrationType | string5 | Client-specified form of legal ownership for the account (for example, joint tenant, individual, custodial, or corporate). | |
| 8 | AccountType ¹ | string20 | Client-specified account type classification for the usage of this account. | |
| 9 | AccountType2 | string20 | Client-specified account type classification for the usage of this account. | |
| 10 | AccountOpenDate | Date | Date on which the account was opened. | |
| 11 | MaintenanceRequirementPercentage | Integer3 | Equity maintenance requirement for this account. The account receives a margin call if its equity percentage drops below this level. | |
| 12 | AccountTaxIdentifier | string20 | Tax identification number associated with this account. | |
| 13 | TaxIdentifierFormat | string1 | Indicator of whether the account tax identifier is a Social Security Number (SSN) or another type of identifier. | S: Social security number T: Tax identifier |
| 14 | MarginApprovalIndicator | string1 | Indicator of whether this account has been approved for margin trading. | |
| 15 | TaxWithholdingCode | string3 | Indicator of whether the client is to withhold taxes on this account's earnings from redemptions that result in payments to the customer. | Y: Firm is to withhold taxes N: Firm is not to withhold taxes |

Table 3. Account Element (Continued)

| | | | | |
|----|------------------------------------|----------|--|--|
| 16 | TitleLine1 | string45 | First line of this account's title. | |
| 17 | TitleLine2 | string45 | Second line of this account's title. | |
| 18 | TitleLine3 | string45 | Third line of this account's title. | |
| 19 | DiscretionaryAccountIndicator | string1 | Indicator of whether the investment advisor associated with this account has discretion to execute trades on behalf of its account owner. | |
| 20 | HouseholdAccountGroupIdentifier | string50 | For personal accounts, identifies the household to which this account is assigned. | |
| 21 | MarketingCampaign | string5 | Marketing campaign through which this account was acquired. | |
| 22 | CommissionSchedule | string4 | Commission schedule used for this account. | |
| 23 | EmployeeAccountIndicator | string1 | Indicator of whether an active member of the client has a personal association to this account, either through a direct customer role or a family member relationship. | |
| 24 | TestAccountIndicator | string1 | Indicator of whether this account is a test account. | |
| 25 | AccountStatus | string1 | Status of this account (for example, active, inactive, or closed). | A: Active I: Inactive D: Dormant (extended inactivity) C: Closed X: Purge |
| 26 | AccountStatusDate | Date | Date on which the current account status became effective. | |
| 27 | AlternateAccountIdentifier | string50 | Alternative identifier for this account that is not necessarily unique across the enterprise. | |
| 28 | InvestmentAdvisorReferralIndicator | string1 | Indicator of whether the client referred this customer account to an investment advisor. | |
| 29 | LastActivityDate | Date | Date of the last trading or transaction activity in this account. | |

Table 3. Account Element (Continued)

| | | | | |
|----|--|-----------|--|--|
| 30 | SourceSystem | string3 | Source system from which this data content is extracted. | |
| 31 | AccountDisplayName | string255 | Account name to be displayed in the application. This is often the name of the primary customer on the account. | |
| 32 | BusinessRisk | Integer3 | Level of risk associated with the general business characteristics of this account as determined by the client. | 0-10: Increasing levels of risk |
| 33 | CustomerRisk | Integer3 | Identifier of the effective risk of this account's primary customer. | |
| 34 | GeographyRisk | Integer3 | Identifier of the level of risk associated with the geographic characteristics of this account as determined by the client. Firms have used account addresses and customer information (for example, citizenship) to determine the level of risk. | |
| 35 | CustomerStatementQuantity | Integer2 | Number of distinct customers to whom statements are mailed for this account. | |
| 36 | PrimaryProductType | string20 | Primary product traded in this account (for example, U.S. Treasuries, futures, or options). | |
| 37 | LastStatementDate | Date | Date of the last statement for this account. | |
| 38 | StatementSuppressionIndicator | string1 | Indicator of whether the distribution of statements is suppressed for this account. | |
| 39 | NotificationLetterSuppressionIndicator | string1 | Indicator of whether the account information change letter has been suppressed for this account. If set to Y, the customer in whose name the account is registered is not notified of account information changes such as address or phone number changes. | |
| 40 | LegalEntity | string40 | | |
| 41 | PrimeBrokerAccountIndicator | string1 | Indicator of whether or not this account is affiliated with a prime broker. | Y: Account is prime broker associated N: Account is not prime broker associated |
| 42 | FinancialInstitutionCountry | string3 | | |

Table 3. Account Element (Continued)

| | | | | |
|----|-----------------------------|------------|---|---|
| 43 | GlobalRelationshipIndicator | string1 | Indicator of whether this account is a part of a global or major corporate relationship (that is, one of several accounts held with a large, trusted customer). | |
| 44 | WatchListIdentifier | string3 | Watch List source that was used to populate Watch List Risk for this account. | |
| 45 | PrimaryCustomerIdentifier | string50 | Primary customer or counterparty associated with this account. | |
| 46 | AccountEffectiveRisk | Integer3 | Level of risk associated with this account as determined in large part by membership on one or more Watch Lists. | (-2): Trusted to a level of exclusion from monitoring (-1): Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 47 | WatchListRisk | Integer3 | Identifier of the level of risk associated with this account on the Watch List record that established the account effective risk. | (-2): Trusted to a level of exclusion from monitoring -1: Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 48 | WatchListMatchText | string2000 | Text of the identifier or name associated with the Watch List record that was used to populate Watch List Risk for this account. | |
| 49 | WatchListMatchType | string3 | Type of entity in the Watch List Match Text. | IA: Internal account identifier TX: Tax identifier number |
| 50 | CustomRisk1 | Integer3 | Identifier of an arbitrary risk associated with this account as determined by the client, which is used solely for alert analysis. | |
| 51 | CustomRisk2 | Integer3 | Arbitrary risk associated with this account as determined by the client, which is used solely for alert analysis. | |
| 52 | TaxPayerCustomerIdentifier | string50 | Customer or counterparty responsible for paying taxes on this account. | |
| 53 | CustomDate1 | Date | Date field that is available for use at the client's discretion. | |
| 54 | CustomDate2 | Date | Date field that is available for use at the client's discretion. | |
| 55 | CustomDate3 | Date | Date field that is available for use at the client's discretion. | |

Table 3. Account Element (Continued)

| | | | | |
|----|--|-----------|---|---|
| 56 | CustomReal1 | decimal20 | Number field that is available for use at the client's discretion. | |
| 57 | CustomReal2 | decimal20 | Number field that is available for use at the client's discretion. | |
| 58 | CustomReal3 | decimal20 | Number field that is available for use at the client's discretion. | |
| 59 | CustomText1 | string255 | Text field that is available for use at the client's discretion. | |
| 60 | CustomText2 | string255 | Text field that is available for use at the client's discretion. | |
| 61 | CustomText3 | string255 | Text field that is available for use at the client's discretion. | |
| 62 | CustomText4 | string255 | Text field that is available for use at the client's discretion. | |
| 63 | CustomText5 | string255 | Text field that is available for use at the client's discretion. | |
| 64 | Pattern-Day-TraderIndicator | string1 | Indicator of whether a trader shows a pattern of day trading in this account. | |
| 65 | DayTradingApprovalStatus | string10 | Account's approval status for day trading. | 1: Approved/Met Suitability 2: Approved by exception 3: One time exception 4: Denied/Suitability 5: Denied/No contact 6: Approval requested 7: Pending review 8: Withdrawn |
| 66 | DayTradingApprovalStatusLastUpdateDate | Date | Date on which this account's day trading approval status was last updated. | |
| 67 | DayTradingApprovalUseIdentifier | string50 | User who performed the last update to this account's day trading approval status. | |
| 68 | DayTradingApprovalStatusRequestedDate | Date | Date on which this account requested approval for day trading. | |

Table 3. Account Element (Continued)

| | | | | |
|----|---------------------------------------|----------|--|--|
| 69 | SuitabilitySurveillanceLevel | Integer2 | Indicator of how closely this account is monitored for risk and suitability issues. The value of this field could be based on the programs/offers in which the account participates, the features/characteristics of the account, and/or the account's prior activity. | 1-6: Level of suitability surveillance (1=strictest to 6=most lenient) |
| 70 | AccountReportingCurrency | string3 | Currency in which all statements for this account are denominated. | ISO 4217: Alpha currency code |
| 71 | BranchCode | string20 | Organization where this account is domiciled. | |
| 72 | ProcessingBatch | string20 | Ingestion batch which processed this data record. | |
| 73 | InstitutionalParentCustomerIdentifier | string50 | For institutional customers, identifies the top-most parent institution that is associated with this account. | |
| 74 | DVP_RVPIndicator | string1 | Indicator of whether this is a delivery versus payment (DVP) or receipt versus payment (RVP) account (that is, an account that has its assets in custody of another institution). | |
| 75 | RRSAccountHolderType | string20 | Type of internal or external customer that uses this account. | CR: Retail customer CI: Institutional customer IA: Investment Advisor CO: Correspondent financial institution EE: Employee/Family member FP: Firm trading FO: Firm owned, non-trading FA: Firm administrative FE: Firm Error/suspense DC: Clearing organization IS: Issuer/Writer |
| 76 | RRSBusinessAccountType | string20 | Functional area in which this account is used. | RBR: Retail Brokerage/Private client IBR: Institutional brokerage RBK: Retail banking CBK: Wholesale/Correspondent banking PRP: Proprietary LON: Loan |

Table 3. Account Element (Continued)

| | | | | |
|----|------------------------------------|----------|--|--|
| 77 | RRSAccountOwnershipType | string20 | Form of legal ownership/registration for this account. | IND: Individual JOINT: Joint tenant/Community property TRUST: Trust CUST: Custodian CORP: Corporate FIRM: Firm owned OTHER: Other |
| 78 | OFSRR_acct_purp_cd | string20 | Purpose or special use of this account. | F: Facilitation L: Lock box O: Other |
| 79 | RetirementAccountIndicator | string1 | Indicator of whether this account is set up for retirement investing and has penalties for early withdrawal. | |
| 80 | Jurisdiction | string4 | Jurisdiction associated with this account. | |
| 81 | BusinessDomain | string65 | Account's business domain(s) (for example, institutional brokerage or retail brokerage) uses this field to control access to data across distinct business operations. | |
| 82 | HighActivityAccountIndicator | string1 | Indicator of whether this account has a high activity level in terms of trades or other transactions. | |
| 83 | PrimaryOwnerOrganizationIdentifier | string50 | For firm accounts, the identifier for the organization that owns the account. | |
| 84 | PaymentBasis | string1 | Indicator of how the customer compensates the client for its services. | F: Fee only C: Commission only B: Fee and commission |
| 85 | CashReportExemptionIndicator | string1 | Indicator of whether this account has an exemption from filing Cash Transaction Reports (CTRs). | |
| 86 | AccountEffectiveRiskFactor | string50 | Property or association of the account driving the account effective risk. | |
| 87 | CustomerRiskWatchListIdentifier | string3 | Unique identifier that describes a source of Watch List data associated with the primary customer on this account. | |
| 88 | ServiceTeamIdentifier | string50 | Identifier of the service team that is responsible for servicing this account. | |

Table 3. Account Element (Continued)

| | | | | |
|----|---------------------------------|----------|---|---|
| 89 | FeeSchedule | string2 | For fee-based accounts, period for which the fee applies. | D: Daily W: Weekly B: Bi-Weekly (every two weeks) T: Semi-monthly (two times per month) M: Monthly Q: Quarterly A: Annually S: Semi-annually (two times per year) N: Bi-monthly (every two months) |
| 90 | PaymentBasisStartDate | Date | Date on which the payment basis begins. | |
| 91 | RiskTolerance | string6 | Degree of risk the customer is willing to take with investments in this account (that is, the customer's ability to handle declines in the net worth of this account). | CON: Conservative CONMOD: Conservatively moderate MOD: Moderate MODAGG: Moderately aggressive AGG: Aggressive |
| 92 | PrimaryCustomerAccountPassword | string20 | Password associated with the primary customer on this account. | |
| 93 | RRSAccounttoPeerGroupIdentifier | string50 | | |
| 94 | PortfolioManagerIdentifier | string50 | Identifier of the Portfolio Manager who is responsible for managing the assets in this account. | |
| 95 | HighProfileAccountIndicator | string1 | Indicator of whether this account is a <i>high profile</i> or preferred account that prove to be a conflict of interest while managing the assets of portfolio of accounts. | |
| 96 | ProductIdentifier | string50 | Identifier of the client's product that is associated with this account. | |
| 97 | SourceofInitialFunds | string30 | Source from where the initial funds will come as stated by the customer for this account (For example salary, lottery, and so on.) | |
| 98 | MethodofInitialFunds | string80 | Type of payment made by the customer to supply initial funds for this account (For example, cash, check, wire transfer, and so on). | |

Table 3. Account Element (Continued)

| | | | | |
|-----|------------------------|-----------|---|--|
| 99 | MethodofAccountOpening | string20 | Means by which the customer uses to open this account (For example, Internet, in person, via a third party, and so on.) | |
| 100 | Swift | string11 | SWIFT code | |
| 101 | NonBankingInstitution | string1 | Is this a non banking institution | |
| 102 | Iban | string34 | IBAN number | |
| 103 | ClientNumber | string30 | Client Number | |
| 104 | Beneficiary | string50 | Beneficiary details | |
| 105 | Signatory | Customer | Signatory Details | |
| 106 | BeneficiaryComment | string255 | Beneficiary comments | |
| 107 | DeclineCode | string1 | Decline Code | |
| 108 | AdditionalInfo | string254 | Additional information | |
| 109 | OtherBusinessRelation | string255 | Other business relationship | |

Table 4. AccountAddress Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--------------------------|-----------|--|-------------|
| 1 | AccountIdentifier type | string50 | Identifier of the account for which this is an address. | |
| 2 | AddressRecordNumber type | Integer3 | Because an account can have more than one address, it is necessary to distinguish between the addresses for the same address. This field is a number that in combination with the account identifier uniquely identifies this address. | |

Table 4. AccountAddress Element (Continued)

| | | | | |
|----|----------------------------------|-----------|---|--|
| 3 | SubmissionDate type | Date | Business date for which the data record is provided. | |
| 4 | RRSAccountAddressIdentifier type | Integer22 | Identifier for this account address. | |
| 5 | AddressPurpose type | string20 | Identifier of the purpose, or usage, of this address relative to this account (for example, Mailing Address or Business Address). | M : Mailing B : Business L : Legal A : Alternate (For example, vacation home) O : Other |
| 6 | City type | string50 | City component of this address. | |
| 7 | State type | string20 | State or province component of this address. | |
| 8 | PostalCode type | string20 | Postal code component of this address. | |
| 9 | Country type | string3 | Country code of this address. | ISO 3166 : Alpha country code |
| 10 | StreetLine1 type | string60 | First line of the street component of this address. | |
| 11 | StreetLine2 type | string60 | Second line of the street component of this address. | |
| 12 | StreetLine3 type | string60 | Third line of the street component of this address. | |
| 13 | StreetLine4 type | string60 | Fourth line of the street component of this address. | |
| 14 | StreetLine5 type | string60 | Fifth line of the street component of this address. | |
| 15 | StreetLine6 type | string60 | Sixth line of the street component of this address. | |
| 16 | Region type | string35 | Region or province component of this address. | |
| 17 | SourceSystem type | string3 | Source system from which this data content is extracted. | |
| 18 | ProcessingBatch type | string20 | Ingestion batch in which this data record was processed. | |

Table 5. AccountAddress Elements

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|---------------------------|-----------|--|---|
| 1 | AccountIdentifier | string50 | Account identifier for which this is a phone number. | |
| 2 | PhoneRecordNumber | Integer3 | Because an account can have more than one phone number, it is necessary to distinguish between the phone numbers for the same account. This field is a number that in combination with the account identifier uniquely identifies this phone number. | |
| 3 | RRSAccountPhoneIdentifier | Integer22 | OFSRR-specific identifier for this account phone number. | |
| 4 | PhonePurpose | string1 | Purpose, or usage, of this phone number relative to this account. | H: Home B: Business C: Mobile P: Pager F: Fax O: Other |
| 5 | PhoneNumber | string25 | Phone number for this account. | |
| 6 | PhoneExtension | string5 | Phone number extension if required when using this phone number. | |
| 7 | SourceSystem | string3 | Source system from which this data content is extracted. | |
| 8 | ProcessingBatch | string20 | Ingestion batch in which this data record was last processed. | |
| 9 | SubmissionDate | Date | Business date for which this data record is created. | |

Table 6. AccountEmailAddress Elements

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|-------------------|-----------|--|-------------|
| 1 | AccountIdentifier | string50 | Identifier of the account for which this is an e-mail address. | |

Table 6. AccountEmailAddress Elements (Continued)

| | | | | |
|---|----------------------------|-----------|---|--|
| 2 | E-mailRecordNumber | Integer3 | Because there is potentially more than one e-mail address for an account, it is necessary to distinguish between the e-mail addresses for the same account. This field is a number that in combination with the account identifier uniquely identifies this e-mail address. | |
| 3 | RRSAccountE-mailIdentifier | Integer22 | OFSRR specific identifier for this account e-mail address | |
| 4 | E-mailAddress | string120 | E-mail address for this account. | |
| 5 | SourceSystem | string3 | Source system from which this data content has been extracted. | |
| 6 | ProcessingBatch | string20 | Identifier of the ingestion batch in which OFSRR processed this data record. | |
| 7 | SubmissionDate | Date | Business date for which the data record is provided to OFSRR. | |

Table 7. Customer Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--------------------------------|-----------|--|---|
| 1 | CustomerIdentifier | string50 | Identifier for a specific customer that is unique across the enterprise. | |
| 2 | SubmissionDate | Date | Business date for which the data record is provided to OFSRR. | |
| 3 | RRSCustomerIdentifier | Integer22 | OFSRR-specific identifier for this customer. | |
| 4 | FinancialProfileLastUpdateDate | Date | Date on which this customer's financial profile was last updated. | |
| 5 | CustomerTypeCode | string10 | Indicator of whether this customer is an individual or organization. | IND: Individual FIN: Financial institution ORG: Other organization |
| 6 | CustomerAddDate | Date | Date this customer was added to the source system. | |
| 7 | TaxIdentifier | string20 | Customer's tax identification number. | |

Table 7. Customer Element (Continued)

| | | | | |
|----|------------------------------|-----------|---|--|
| 8 | TaxIdentifierFormat | string1 | Indicator of whether the customer tax identifier is a Social Security Number (SSN) or another type of identifier. | S: Social security number T: Tax identifier |
| 9 | StatedAnnualIncome-Base | decimal20 | Customer's self-reported annual income, expressed in base currency. | |
| 10 | StatedNetWorth-Base | decimal20 | Customer's self-reported net worth, expressed in base currency. | |
| 11 | StatedLiquidNetWorth-Base | decimal20 | Customer's self-reported liquid assets, expressed in base currency. | |
| 12 | EquityKnowledge | string10 | Customer's self-reported knowledge of investing in equities. | E: Extensive G: Good L: Limited N: Not provided |
| 13 | FixedIncomeKnowledge | string10 | Customer's self-reported knowledge of investing in fixed income securities. | E: Extensive G: Good L: Limited N: Not provided |
| 14 | OptionKnowledge | string10 | Customer's self-reported knowledge of investing in options. | E: Extensive G: Good L: Limited N: Not provided |
| 15 | OverallKnowledge | string10 | Customer's self-reported overall knowledge of investing. | E: Extensive G: Good L: Limited N: Not provided |
| 16 | OverallExperience | string10 | Customer's self-reported level of overall investing experience. | E: Extensive G: Good L: Limited N: Not provided |
| 17 | YearsofEquityExperience | Integer2 | Customer's self-reported years of investing experience in equities. | |
| 18 | YearsofFixedIncomeExperience | Integer2 | Customer's self-reported years of investing experience in fixed income securities. | |
| 19 | YearsofOptionsExperience | Integer2 | Customer's self-reported years of investing experience in options. | |
| 20 | AnnualEquityTrades | Integer5 | Customer's self-reported number of yearly equity trades. | |

Table 7. Customer Element (Continued)

| | | | | |
|----|------------------------------------|-----------|--|--|
| 21 | AnnualFixedIncomeTrades | Integer5 | Customer's self-reported number of yearly fixed income trades. | |
| 22 | AnnualOptionTrades | Integer5 | Customer's self-reported number of yearly option trades. | |
| 23 | AverageEquityTradeAmount-Base | decimal20 | Customer's self-reported expected principal amount for opening trades in equity securities expressed in base currency. | |
| 24 | AverageFixedIncomeTradeAmount-Base | decimal20 | Customer's self-reported expected principal amount for opening trades in fixed income securities expressed in base currency. | |
| 25 | AverageOptionTradeAmount-Base | decimal20 | Customer's self-reported expected principal amount for opening trades in option securities expressed in base currency. | |
| 26 | FirstName | string50 | First name of this customer. | |
| 27 | LastName | string50 | Last name of this customer. | |
| 28 | MiddleName | string50 | Middle name of this customer. | |
| 29 | NameSuffix | string30 | Middle name of this customer. | |
| 30 | Title | string25 | Title, if any, that is used before this customer's name (for example, Mr., Mrs., or Dr.). | |
| 31 | Form_407_fl | string2 | | |
| 32 | DateofBirth | Date | Date on which this customer was born. | |
| 33 | PrimaryCitizenship | string3 | Customer's primary country of citizenship. | |
| 34 | SecondaryCitizenship | string3 | Customer's secondary country of citizenship. | |

Table 7. Customer Element (Continued)

| | | | | |
|----|---------------------------------------|----------|---|--|
| 35 | ResidentCountry | string3 | Customer's country of residence (that is, the country component of the address of the residence associated with this customer). | ISO 3166: Alpha country code |
| 36 | EmployerName | string50 | Name of this customer's employer. | |
| 37 | FinancialInstitutionEmployeeIndicator | string1 | Indicator of whether this customer has provided notification of employment by a financial institution. | |
| 38 | EmploymentStatus | string10 | Employment status of this customer (for example, student, employed, or retired). | EMP: Employed SE: Self-employed UE: Unemployed RET: Retired HM: Homemaker STU: Student MW: Minor/Ward |
| 39 | MaritalStatus | string10 | Marital status of this customer. | S: Single M: Married D: Divorced W: Widowed U: Unknown |
| 40 | NumberOfDependents | Integer3 | Number of dependents claimed by this customer. | |
| 41 | Occupation | string30 | Occupation of this customer. | |
| 42 | OrganizationName | string60 | For organizational customers, the name of the organization. | |
| 43 | Age | Integer3 | Customer's age in years. | |
| 44 | HouseHoldCustomerGroupID | string50 | | |
| 45 | CitizenshipStatus | string3 | Primary citizenship status of this customer. | |
| 46 | WealthSource | string50 | Customer's self-reported source of wealth. | |
| 47 | EmployeeIndicator | string1 | Indicator of whether this customer is also an employee of the client. | |

Table 7. Customer Element (Continued)

| | | | | |
|----|----------------------------|-----------|--|--|
| 48 | SourceSystem | string3 | Source system from which this data content is extracted. | |
| 49 | OrganizationLegalStructure | string3 | Organizational customer's legal structure. | |
| 50 | PasswordLastChangeDate | Date | Date on which any of this customer's passwords were last changed. | |
| 51 | Alias | string50 | Alias name for this customer. | |
| 52 | ForeignAssetsIndicator | string1 | Indicator of whether this customer has assets outside the country. | |
| 53 | DisplayName | string200 | Name to be displayed for this customer. | |
| 54 | EmployerIndustry | string5 | Industry in which this customer is employed. | |
| 55 | JobTitle | string60 | Customer's job title. | |
| 56 | CustomDate1 | Date | Date field that is available for use at the client's discretion. | |
| 57 | CustomDate2 | Date | Date field that is available for use at the client's discretion. | |
| 58 | CustomDate3 | Date | Date field that is available for use at the client's discretion. | |
| 59 | CustomReal1 | decimal20 | Number field that is available for use at the client's discretion. | |
| 60 | CustomReal2 | decimal20 | Number field that is available for use at the client's discretion. | |
| 61 | CustomReal3 | decimal20 | Number field that is available for use at the client's discretion. | |
| 62 | CustomText1 | string255 | Text field that is available for use at the client's discretion. | |
| 63 | CustomText2 | string255 | Text field that is available for use at the client's discretion. | |

Table 7. Customer Element (Continued)

| | | | | |
|----|-----------------------|-----------|---|--|
| 64 | CustomText3 | string255 | Text field that is available for use at the client's discretion. | |
| 65 | TotalNumberOfAccounts | Integer7 | Total number of accounts held by this customer at the client. | |
| 66 | CustomerEffectiveRisk | Integer3 | Level of risk associated with this customer as determined in large part by membership on one or more Watch Lists. | |
| 67 | CustomText4 | string255 | Text field that is available for use at the client's discretion. | |
| 68 | CustomText5 | string255 | Text field that is available for use at the client's discretion. | |

Table 7. Customer Element (Continued)

| | | | | |
|----|------------------------------------|-----------|--|--|
| 69 | FinancialInstitutionIdentifierType | string20 | For correspondent customers, the type of reference identifier (for example, BIC) used as Financial Institution Identifier. | FED: Federal reserve routing (ABA) number BIC: SWIFT Bank Identifier Code (BIC) CHU: CHIPS participant user identifier CHP: CHIPS participant identifier CDL: Cedel identifier EPN: Euroclear Participant Number DTC: Depository Trust Corporation Number KID: Kasseverein Identifier BLZ: German bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code PNCC: Portuguese National Clearing Code RCBIC: Russian Central Bank Identification Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code |
| 70 | FinancialInstitutionIdentifier | string50 | For correspondent customers, a reference identifier for the financial institution. | |
| 71 | RRSFinancialInstitutionIdentifier | Integer22 | For correspondent customers, a identifier for the financial institution. | |

Table 7. Customer Element (Continued)

| | | | | |
|----|-----------------------|------------|---|--|
| 72 | WatchListRisk | Integer3 | Identifier of the level of risk associated with a customer determined by membership on one or more Watch Lists. | |
| 73 | WatchListIdentifier | string3 | Watch List source that was used to populate the Watch List entry. | |
| 74 | WatchListMatchText | string2000 | Text of the identifier or name associated with the Watch List record that was used to populate Watch List Risk for this customer. | |
| 75 | WatchListMatchType | string3 | Type of entity in the Watch List Match Text. | |
| 76 | Cust_bus_risk_nb | Integer3 | Level of risk associated with the general business characteristics of this | 0-10: Increasing levels of risk |
| 77 | GeographyRisk | Integer3 | Identifier of the level of risk associated with the geographic characteristics of this customer | 0-10: Increasing levels of risk |
| 78 | CustomRisk1 | Integer3 | Identifier of an arbitrary risk associated with this customer as determined by the client, which is used solely for alert analysis. | 0-10: Increasing levels of risk |
| 79 | CustomRisk2 | Integer3 | Arbitrary risk associated with this customer as determined by the client, which is used solely for alert analysis. | 0-10: Increasing levels of risk |
| 80 | DomiciledOrganization | string50 | Identifier of the organization where this customer is domiciled. | |
| 81 | DayTradingKnowledge | string10 | Customer's self-reported knowledge of day trading. | E: Extensive G: Good L: Limited N: Not provided |
| 82 | DayTradingExperience | string10 | Customer's self-reported level of day trading experience. | E: Extensive G: Good L: Limited N: Not provided |

Table 7. Customer Element (Continued)

| | | | | |
|----|--------------------------------|-----------|--|--|
| 83 | StatedAnnualIncome-Reporting | decimal20 | Customer's self-reported annual income, expressed in reporting currency. | |
| 84 | StatedNetWorth-Reporting | decimal20 | Customer's self-reported net worth, expressed in reporting currency. | |
| 85 | StatedLiquidNetWorth-Reporting | decimal20 | Customer's self-reported liquid assets, expressed in reporting currency. | |
| 86 | ProcessingBatch | string20 | Ingestion batch in which this data record is processed | |
| 87 | Jurisdiction | string4 | Jurisdiction associated with this customer. | |
| 88 | BusinessDomain | string65 | Customer's business domain(s) (for example, institutional brokerage or retail brokerage) | |
| 89 | ReportingCurrency | string3 | Currency in which account statements for this customer are denominated. | ISO 4217: Alpha currency code |
| 90 | RRSCustomerBusinessType | string3 | Functional area in which this customer does business. | RBR: Retail Brokerage/ Private Client IBR: Institutional Brokerage SNT: Market Making/ Institutional Sales And Trading RBK: Retail Banking CBK: Wholesale/ Correspondent Banking PRP: Proprietary |
| 91 | CustomerEffectiveRiskFactor | string50 | Property or association of the customer driving the Customer Effective Risk. | |
| 92 | CreditRating | string20 | Rating for this customer based on credit rating source. | |
| 93 | CreditRatingSource | string40 | Source associated with the credit rating assigned to this customer. | |
| 94 | CreditRatingScore | Integer10 | Actual score for this customer's credit rating based on credit rating source. | |
| 95 | CustomerPeerGroupIdentifier | string50 | Customer peer group of which this customer is a member. | |

Table 7. Customer Element (Continued)

| | | | | |
|-----|-----------------------------|-----------|---|---|
| 96 | CountryofTaxation | string3 | Country code where this customer pays primary taxes. | |
| 97 | Industry | string5 | For a legal entity, the primary industry it serves. | |
| 98 | DateofIncorporation | Date | For a legal entity, date the entity was incorporated. | |
| 99 | RegistrationType | string20 | Form of legal ownership for this legal entity (For example, joint tenant, individual, custodial, or corporate). | |
| 100 | PublicorPrivate | string3 | For a legal entity, identifies whether it is publicly or privately held. | |
| 101 | AlternateCustomerIdentifier | string50 | Alternative identifier for this customer that is not necessarily unique across the enterprise. | |
| 102 | CustomerStatus | string1 | Indicates the current status of this customer. | A: Active P: Pending I: Inactive N: Not a customer |
| 103 | Birthplace | string255 | Place of birth | |
| 104 | Role | string15 | Role of customer in the transaction, like Originator | |
| 105 | MotherMaidenName | NameType | Mother's maiden name | |
| 106 | AgentOrRepresentativeName | NameType | Agent or representatives name | |
| 107 | VisaDetails-Number | string100 | Visa number | |
| 108 | VisaDetails-StartDate | Date | Visa issued date | |
| 109 | VisaDetails-EndDate | Date | Visa expiry date | |
| 110 | MigrationCardDetails-Number | string32 | Details of the migration card | |

Table 7. Customer Element (Continued)

| | | | | |
|-----|--|-----------|--|--|
| 111 | MigrationCardDetails-StartDate | Date | Migration card issue date | |
| 112 | MigrationCardDetails-EndDate | Date | Migration card expiry date | |
| 113 | OKPOCode | string10 | OKPO code | |
| 114 | INN | string12 | INN number | |
| 115 | PlaceOfOrgCode | string5 | Code of place of origination | |
| 116 | OtherPreviousName1 | NameType | Other previous name | |
| 117 | OtherPreviousName2 | NameType | Other previous name | |
| 118 | OtherPreviousName3 | NameType | Other previous name | |
| 119 | Admission_Confession | string1 | Flag to check if there was any confession/admission | |
| 120 | InsiderRelationship | string1 | Is this a insider relationship | |
| 121 | EmploymentStatusCode | string2 | Employment status of this customer (for example, student, employed, or retired). | EMP: Employed SE: Self-employed UE: Unemployed RET: Retired HM: Homemaker STU: Student MW: Minor/Ward |
| 122 | Suspension_Termination_ResignationDate | Date | Date in case of resignation/suspension | |
| 123 | RelationshipWithFinancialInstitutionCode | string100 | Relationship with financial institution | |
| 124 | OtherRelationship | string100 | Other relationship with the financial institution | |
| 125 | MultipleSuspects | string1 | Flag to check if there are multiple suspects involved | |
| 126 | OtherFacilitiesWithBank | string20 | Other facilities with the bank | |

Table 7. Customer Element (Continued)

| | | | | |
|-----|-----------------------------|-----------|--------------------------------------|--|
| 127 | SpouseName | NameType | Spouse name | |
| 128 | SpouseID | IDType | Spouse ID | |
| 129 | OccupationDescription | string60 | Description of the occupation | |
| 130 | OtherEmployment | string60 | Other employment | |
| 131 | Business_EmploymentTypeCode | string2 | Code of the business employment | |
| 132 | Gender | string10 | Gender | |
| 133 | ID | IDType | ID details | |
| 134 | PrimeSuspect | string1 | Is it the prime suspect | |
| 135 | LastUpdatedDate | Date | Last updated date | |
| 136 | CorporationNumber | string50 | Corporation number | |
| 137 | Url | string255 | Business URL | |
| 138 | IncorporationState | string255 | Incorporation state | |
| 139 | IncorporationCountryCode | string25 | Incorporation country code | |
| 140 | DirectorName | string255 | Director name in case of corporation | |

Table 8. CustomerAddress Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--------------------|-----------|--|-------------|
| 1 | CustomerIdentifier | string50 | Identifier of the customer for which this is an address. | |

Table 8. CustomerAddress Element (Continued)

| | | | | |
|----|------------------------------|-----------|--|---|
| 2 | AddressRecordNumber | Integer3 | Because a customer can have more than one address, it is necessary to distinguish between the addresses for the same customer. This field is a number that, in combination with the customer identifier, uniquely identifies this address. | |
| 3 | SubmissionDate | Date | Business date for which the data record is provided. | |
| 4 | RRSCustomerAddressIdentifier | Integer22 | Identifier for this customer address. | |
| 5 | AddressPurpose | string1 | Purpose, or usage, of this address relative to this customer (for example, Mailing Address or Business Address). | M: Mailing B: Business L: Legal A: Alternate (For example, vacation home) O: Other |
| 6 | City | string50 | City component of this address. | |
| 7 | State | string20 | State or province component of this address. | |
| 8 | PostalCode | string20 | Postal code component of this address. | |
| 9 | Country | string3 | Country code of this address. | ISO 3166: Alpha country code |
| 10 | StreetLine1 | string60 | First line of the street component of this address. | |
| 11 | StreetLine2 | string60 | Second line of the street component of this address. | |
| 12 | StreetLine3 | string60 | Third line of the street component of this address. | |
| 13 | StreetLine4 | string60 | Fourth line of the street component of this address. | |
| 14 | StreetLine5 | string60 | Fifth line of the street component of this address. | |
| 15 | StreetLine6 | string60 | Sixth line of the street component of this address. | |

Table 8. CustomerAddress Element (Continued)

| | | | | |
|----|-----------------|----------|--|--|
| 16 | Region | string35 | Region or province component of this address. | |
| 17 | SourceSystem | string3 | Source system from which this data content is extracted. | |
| 18 | ProcessingBatch | string20 | Ingestion batch in which this data record is processed. | |

Table 9. CustomerEmailAddress Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--------------------|-----------|---|-------------|
| 1 | CustomerIdentifier | string50 | Customer identifier for which this is an e-mail address. | |
| 2 | E-MailRecordNumber | Integer20 | Because a customer can have more than one e-mail address, it is necessary to distinguish between the e-mail addresses for the same customer. This field is a number that, in combination with the customer identifier, uniquely identifies this e-mail address. | |
| 3 | E-MailAddress | string120 | E-mail address for this customer. | |
| 4 | SourceSystem | string3 | Source system from which this data content is extracted. | |
| 5 | ProcessingBatch | string20 | Ingestion batch in which this data record is processed | |
| 6 | SubmissionDate | Date | Business date for which the data record is provided. | |

Table 10. CustomerPhone Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--------------------|-----------|---|-------------|
| 1 | CustomerIdentifier | string50 | Customer identifier for which this is a phone number. | |

Table 10. CustomerPhone Element (Continued)

| | | | | |
|---|----------------------------|-----------|--|---|
| 2 | PhoneRecordNumber | Integer3 | Number that, in combination with the customer identifier, uniquely identifies this phone number. Because a customer can have more than one phone number, it is necessary to distinguish between the phone numbers for the same customer. | |
| 3 | SubmissionDate | Date | Business date for which the data record is provided. | |
| 4 | RRSCustomerPhoneIdentifier | Integer22 | identifier for this customer phone number. | |
| 5 | PhonePurpose | string1 | Purpose, or usage, of this phone number relative to this customer (for example, home, business, or cell). | H: Home B: Business C: Mobile P: Pager F: Fax O: Other |
| 6 | PhoneNumber | string25 | Phone number for this customer. | |
| 7 | PhoneExtension | string5 | Phone number extension if required to reach this customer when using this phone number. | |
| 8 | SourceSystem | string3 | Source system from which this data content is extracted. | |

Table 11. CashTransaction Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--------------------------------------|-----------|--|--|
| 1 | RRSCashTransactionIdentifier | Integer22 | Identifier for the front office transaction data record. | |
| 2 | AccountIdentifier | string50 | Principal account at the client in which this transaction was conducted. | |
| 3 | BankcardIdentifier | Integer20 | Identifier of the bankcard utilized in this transaction. | |
| 4 | BranchIdentifier | string50 | Identifier of the branch of the financial institution where this transaction occurred. | |
| 5 | CanceledPairingTransactionIdentifier | string50 | For canceled transactions, contains the transaction reference identifier of the canceling transaction. For canceling transactions, this field will store the transaction reference identifier of the canceled transaction. | |
| 6 | ChannelIdentifier | string20 | Identifier of the channel of the financial institution through which this transaction was conducted (for example, ATM or teller). | |
| 7 | ChannelRisk | Integer3 | Level of risk associated with the channel through which this transaction was conducted. | 0-10: Increasing levels of risk |
| 8 | ConductorAccount | string50 | Account that belongs to the conductor (Individual) on this transaction. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|----------------------------------|-----------|---|---|
| 9 | ConductorActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the conductor, based on the channel risk and product risk. | (-2): Trusted to a level of exclusion from monitoring (-1): Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 10 | ConductorDerivedEntityIdentifier | Integer22 | Identifier for the derived entity acting as conductor (Individual) on this transaction. | |
| 11 | ConductorEntityRisk | Integer3 | Level of risk associated with the entity that is the conductor on this transaction, based on the effective risk of the entity, the name, and the address. | (-2): Trusted to a level of exclusion from monitoring (-1): Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 12 | ConductorEntityRiskFactor | string50 | Property or association of the conductor driving the entity risk. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|--------------------------|-----------|---|--|
| 13 | ConductorIdentifierType | string20 | Type of ID represented in conductor (Individual) account field. | CC: Credit Card CO: Corporate Identifier DL: Driver License GM: Government/Military Identifier GP: Gun Permit Identifier LE: Law Enforcement Identifier MC: Medicare Card Number ND: Non-Driver Identifier Card NR: Non-Resident Alien Identifier PP: Passport Identifier SS: Social Security Number TX: Tax Identifier Number AR: Alien Registration Number IA: Internal Account Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code PNCC: Portuguese National Clearing Code RCBIC: Russian Central Bank Identification Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code OTF: Other Financial Institution Identifier OT: Other, Not Financial |
| 14 | ConductorName | string350 | Name of the party acting as conductor (Individual) on the transaction. | |
| 15 | ConductorName-Normalized | string350 | Normalized name of the conductor (Individual). Standardized version of the name to reduce data entry inconsistencies. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|------------------------------|------------|--|--|
| 16 | ConductorWatchListIdentifier | string3 | Unique identifier that describes a source of Watch List data. | |
| 17 | ConductorWatchListMatchText | string2000 | Text of the identifier or name associated with the Watch List record that was used to populate entity risk. | |
| 18 | CurrencyActivityCode | string3 | Currency in which transaction activity amount is denominated. | |
| 19 | DebitorCreditIdentifier | string20 | Indicator of whether assets are being transferred into (credit) or out of (debit) this account by this transaction. | C: Credit D: Debit CR: Credit DR: Debit |
| 20 | ExecutionDate | Date | Date on which this transaction was conducted. | |
| 21 | ExecutionDate-UTC | Date | Date in UTC on which this transaction was conducted. | |
| 22 | ExecutionTime | string9 | Time at which this transaction was conducted. | |
| 23 | ExecutionTime-UTC | string9 | Time in UTC at which this transaction was conducted. | |
| 24 | ExecutionTimeOffset | string6 | Number of hours offset from local to UTC for execution time. | |
| 25 | FixingDate | Date | For a floating payment, the date upon which the rate to be paid is fixed. Typically, this occurs two days prior to the payment date. | |
| 26 | LocationIdentifier | string50 | Identifier for the location where this transaction was conducted (for example, ATM terminal identifier). | |
| 27 | LocationIdentifierType | string20 | Type of identifier specified in location identifier. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|------------------------------|-----------|---|--|
| 28 | LocationName | string350 | Name of the location where this transaction was conducted (for example, merchant name). | |
| 29 | RRSLocationAddressIdentifier | Integer22 | Identifier for the address of the location where this transaction occurred. | |
| 30 | RRSTransactionAdjustmentCode | string20 | Code that identifies the adjustment of a prior transaction. | ADJ-CORR: Adjustment or Correction Transaction REV: Reversal Transaction DISHON-CHECK-IN: Dishonored Check Transaction DISHON-CHECK-OUT: Dishonored Check Transaction STOP-PMT: Stop Check Payment Transaction CANCEL: Canceled or Canceling Transaction |
| 31 | RRSTransactionAssetClassCode | string20 | Code that identifies the type of asset involved in the transaction. | FUNDS: Transaction transfers funds SECURITIES: Transaction transfers securities COMMODITIES: Transaction transfers a tangible good or asset that can be deposited PROPERTY: Transaction transfers property |
| 32 | RRSTransactionChannelCode | string20 | Code that identifies the type of channel used. | ATM: Conducted via an automated teller machine BRANCH-TELLER: Conducted via a branch teller DEBIT-TERMINAL: Conducted via a debit terminal ON-LINE: Conducted via the internet RETAIL-OUTLET: Conducted via a retail outlet MAIL: Mail TELEPHONE: Conducted via a telephone INTERNAL-SYSTEM: Conducted via a system of the Firm OTHER-ANONYMOUS: Conducted via another anonymous channel OTHER-NON-ANONYMOUS: Conducted via another non-anonymous channel MOBILE-PDA: Conducted through mobile phone or PDA device. |
| 33 | RRSTransactionChannelDetail1 | string250 | Detail regarding the channel used to initiate this transaction. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|--------------------------------------|-----------|---|--|
| 34 | RRSTransactionChannelDetail2 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 35 | RRSTransactionChannelDetail3 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 36 | RRSTransactionChannelDetail4 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 37 | RRSTransactionChannelDetail5 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 38 | RRSTransactionChannelDetail6 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 39 | RRSTransactionChannelDetail7 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 40 | RRSTransactionChannelDetail8 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 41 | RRSTransactionChannelDetail9 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 42 | RRSTransactionChannelDetail10 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 43 | RRSTransactionChannelGeoLocation | string80 | Geo location associated with the transaction channel used to initiate this transaction | |
| 44 | RRSTransactionChannelLocationAddress | string350 | Location address associated with the transaction channel used to initiate this transaction | |
| 45 | RRSTransactionChannelLocationID | string50 | Location identifier associated with the transaction channel used to initiate this transaction | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|-----------------------------------|-----------|---|--|
| 46 | RRSTransactionChannelLocationName | string350 | Location name associated with the transaction channel used to initiate this transaction | |
| 47 | RRSTransactionChannelLocationType | string20 | Client specified location type associated with the transaction channel used to initiate this event | |
| 48 | RRSTransactionChannelRisk | Integer3 | Client-specified level of risk associated with the transaction cChannel through which this transaction was initiated. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|------------------------------|----------|--|--|
| 49 | RRSTransactionProductSubtype | string30 | Allows for specification of transaction product subtypes associated with the provided transaction product types. | <p>ARC: Converted checks received via the US mail or at a dropbox location</p> <p>BOC: Converted checks received by merchant at the point-of-purchase or at manned bill payment locations, and processed during back office operations</p> <p>CBR: Cross border entry to business account</p> <p>CCD: Transfer of funds between business accounts or to consolidate funds from several accounts of the same business</p> <p>CIE: Credit entry initiated by an individual (usually through a bill payment service) used to pay some sort of obligation</p> <p>CTX: Payment or collection of obligations between separate businesses</p> <p>DNE: Notice initiated by an agency of the federal government to advise an RDFI of the death of an individual (Includes addenda record with details)</p> <p>ENR: Entry submitted by Financial Institution to enroll member in direct deposit of Federal government benefit payment</p> <p>IAT: ACH entry involving a financial agency's office that is not located within the territorial jurisdiction of the United States. MTE: The ACH Network supports the clearing of transactions from automated teller machines, that is Machine Transfer Entries (MTE)</p> <p>PBR: Cross border entry to consumer account</p> <p>POP: Converted checks received by merchant at the point-of-sale</p> <p>POS: Entry initiated by individual at a merchant location using a merchant issued card for payment of goods or services</p> <p>PPD: Recurring entry for direct deposit of payroll, pension, and so on., or for direct payment of recurring bills such as utilities, loans, insurance, and so on.</p> <p>RCK: Merchant collection of checks that had been returned as NSF or Uncollected Funds</p> <p>SHR: Represent point of sale debit applications in a shared (SHR) environment (versus a non-shared (POS) environment)</p> <p>TEL: Entry submitted pursuant to an oral authorization obtained solely via the telephone</p> |
|----|------------------------------|----------|--|--|

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|---------------------------|-----------|--|---|
| 50 | RRSTransactionProductType | string30 | Identifier of the financial product involved in this transaction. | AUTO-BILL-PAY: Automatic Bill Payment DEBIT-CARD: Debit Card SVC: Stored Value Card CASH-EQ-CASHIER-CHECK: Cashier's Check CASH-EQ-CERT-CHECK: Certified Check CASH-EQ-MONEY-ORDER: Money Order CASH-EQ-TRAVELERSCHECK: Traveler's Check CASH-EQ-OTHER: Other Cash Equivalent Product CASH-LETTER: Cash Letter CHECK: Personal Or Business Check CHECK-ACH: Check via Automated Clearing House CREDIT-CARD: Credit Card CURRENCY: Currency EFT-ACH: Electronic Funds Transfer via Automated Clearing House EFT-TREASURY: Electronic Funds Transfer via Treasury EFT-FEDWIRE: Electronic Funds Transfer via Fedwire EFT-SWIFT: Electronic Funds Transfer via SWIFT EFT-OTHER: Electronic Funds Transfer via Other Mechanism EST: Electronic Security Transfer PAPER-OTHER: Other Paper Products PAYROLL-DEDUCTION: Payroll Deduction PHYS: Physical Delivery/ Receipt of Securities |
| 51 | RRSTransactionPurposeCode | string20 | Code that identifies the purpose of the transaction. | DIST: Distribution Transaction (For example, IRA) DIV: Dividend Transaction FEE-IA: Investment Advisor Fee Transaction FEE-OTHER: Non- Investment Advisor Fee Transaction INT: Interest Transaction TOA: Transfer-Of-Account Transaction GENERAL: Transaction whose purpose does not align with the other purpose codes |
| 52 | PaymentInterestRate | decimal20 | Interest rate paid on this transaction. This transaction must be associated with a swap. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|-------------------------------|----------|---|---|
| 53 | PaymentInterestRateType | string3 | Type of interest rate paid on this transaction (for example, fixed or floating). This transaction must be associated with a swap. | FIX: Fixed Interest Rate FLT: Floating Interest Rate (that is, Libor) |
| 54 | ProductCategory | string4 | Identifier of the highest and most general classification for the security associated with this transaction. | EQT: Equity FI: Fixed Income OPT: Option FUT: Future FX: Foreign Exchange MF: Mutual Fund COM: Commodity ETF: Exchange Traded Fund MM: Money Market PRE: Preferred CONV: Convertible SWAP: Swap OTH: Other |
| 55 | ProductRisk | Integer3 | Identifier of the level of risk associated with the client's product that was involved in this transaction. | 0-10: Increasing levels of risk |
| 56 | ProductSubtype | string20 | Identifier of the client-specified subtype classification for the security associated with this transaction. | |
| 57 | ProductType | string20 | Identifier of the client-specified type within the high-level product category for the security associated with this transaction. | |
| 58 | RebookedTransactionIdentifier | string50 | For rebooking transactions, contains the transaction reference identifier of the original transaction that is being corrected. | |
| 59 | RestrictedSecurityIndicator | string1 | Indicator of whether the security involved in this transaction is under trading restrictions. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|-----------------------------|-----------|--|---|
| 60 | SecurityIdentifier | string50 | Identifier of the security involved in this transaction. | |
| 61 | StructuredDealIdentifier | string50 | Identifier of the swap with which this transaction is associated. | |
| 62 | TransactionActivityRisk | Integer3 | Level of risk associated with the activity for this transaction, based on geography risk, channel risk, product risk, and effective risk of the account. | (-2): Trusted to a level of exclusion from monitoring (-1): Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 63 | TransactionAmount-Activity | decimal20 | Monetary value in activity currency of the funds transferred via this transaction denominated in the local currency in which this transaction was conducted. | |
| 64 | TransactionAmount-Base | decimal20 | Monetary value in base currency of the funds transferred via this transaction denominated in the base currency for this installation. | |
| 65 | TransactionDescription | string255 | Textual description of this transaction (for example, ATM identification string). | |
| 66 | TransactionEntityRisk | Integer3 | Level of risk associated with entity or entities on this transaction, based on the effective risk of the entity, the name, and the address. | (-2): Trusted to a level of exclusion from monitoring (-1): Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 67 | TransactionEntityRiskFactor | string50 | Property or association of the entity driving the entity risk. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|---------------------------------------|----------|---|--|
| 68 | TransactionEntrySystemLogonIdentifier | string50 | System logon used by the individual at the client who entered this transaction. If this transaction is entered through an automated channel, this field contains the system logon associated with that channel. | |
| 69 | TransactionEntryUserIdentifier | string50 | Individual at the client who entered this transaction. This field should not have a value if the transaction was performed through an automated channel or if it was not originated at the client. | |
| 70 | TransactionReferenceIdentifier | string50 | Identifier client that uniquely identifies this transaction throughout the enterprise. | |
| 71 | TransactionType1 | string20 | Customer-provided code that represents the transaction type. This is generally the highest categorization level. | |
| 72 | TransactionType2 | string20 | Customer-provided code that represents the transaction type. This is generally the second highest categorization level. | |
| 73 | TransactionType3 | string20 | Customer-provided code that represents the transaction type. This is generally the third highest categorization level. | |
| 74 | TransactionType4 | string20 | Customer-provided code that represents the transaction type. This is generally the fourth highest categorization level. | |
| 75 | TransactionWatchListIdentifier | string3 | Unique identifier that describes a source of Watch List data. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|-------------------------------|------------|--|--|
| 76 | TransactionWatchListMatchText | string2000 | Text of the identifier or name associated with the Watch List record that was used to populate entity risk. | |
| 77 | UnitQuantity | decimal20 | Total number of units (for example, shares or contracts) of the specified security being transferred via this transaction. | |
| 78 | UnrelatedPartyIndicator | string1 | Indicator of whether known relationships exist between internal accounts. | |
| 79 | CustomDate1 | Date | Date field that is available for use at the client's discretion. | |
| 80 | CustomDate2 | Date | Date field that is available for use at the client's discretion. | |
| 81 | CustomDate3 | Date | Date field that is available for use at the client's discretion. | |
| 82 | CustomReal1 | decimal20 | Number field that is available for use at the client's discretion. | |
| 83 | CustomReal2 | decimal20 | Number field that is available for use at the client's discretion. | |
| 84 | CustomReal3 | decimal20 | Number field that is available for use at the client's discretion. | |
| 85 | CustomText1 | string255 | Text field that is available for use at the client's discretion. | |
| 86 | CustomText2 | string255 | Text field that is available for use at the client's discretion. | |
| 87 | CustomText3 | string255 | Text field that is available for use at the client's discretion. | |
| 88 | CustomText4 | string255 | Text field that is available for use at the client's discretion. | |
| 89 | CustomText5 | string255 | Text field that is available for use at the client's discretion. | |
| 90 | SourceSystem | string3 | Source system from which the data is extracted. | |

Table 11. CashTransaction Element (Continued)

| | | | | |
|----|-----------------|----------|---|--|
| 91 | ProcessingBatch | string20 | Ingestion batch in which this data record is processed. | |
| 92 | SubmissionDate | Date | Business date for which the data record is provided. | |

Table 12. MonetaryInstrumentTransaction Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--|-----------|---|--|
| 1 | RRSMonetaryInstrumentTransactionIdentifier | Integer22 | Identifier for this monetary instrument transaction data record | |
| 2 | Bank-to-BankTransferIndicator | string1 | Indicator of whether the transaction is an institution-to-institution transfer. | |
| 3 | BankcardIdentifier | Integer20 | Identifier of the bankcard utilized in this transaction. | |
| 4 | BeneficiaryActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the beneficiary, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | <p>(-2): Trusted to a level of exclusion from monitoring</p> <p>(-1): Trusted to a level of reduced monitoring</p> <p>0: Neither trusted or risky</p> <p>1-10: Increasing levels of risk</p> |
| 5 | BeneficiaryDerivedEntityIdentifier | Integer22 | Identifier for the derived entity acting as beneficiary on this transaction | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|---|-----------------------------|----------|---|--|
| 6 | BeneficiaryEntityRisk | Integer3 | Level of risk associated with the entity that is the beneficiary on this transaction, based on the effective risk of the entity, the name, and the address. | <p>(-2): Trusted to a level of exclusion from monitoring</p> <p>(-1): Trusted to a level of reduced monitoring</p> <p>0: Neither trusted or risky</p> <p>1-10: Increasing levels of risk</p> |
| 7 | BeneficiaryEntityRiskFactor | string50 | Property or association of the beneficiary driving the entity risk. | |
| 8 | BeneficiaryIdentifier | string50 | Identifier for the beneficiary's account involved in this transaction. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|---------------------------|-----------|---|---|
| 9 | BeneficiaryIdentifierType | string20 | Type of account represented in beneficiary account. | XA: External Account Identifier BIC: SWIFT Bank Identifier Code (BIC) CC: Credit Card CHU: CHIPS Participant User Identifier CO: Corporate Identifier CHP: CHIPS Participant Identifier DL: Driver License FED: Federal Reserve Routing (ABA) Number GM: Government/Military Identifier GP: Gun Permit Identifier LE: Law Enforcement Identifier MC: Medicare Card Number ND: Non-Driver Identifier Card NR: Non-Resident Alien Identifier PP: Passport Identifier SS: Social Security Number TX: Tax Identifier Number AR: Alien Registration Number CU: Customer Identifier GL: General Ledger Account IA: Internal Account Identifier CDL: Cedel Identifier DTC: Depository Trust Corporation Number EPN: Euroclear Participant Number KID: Kasseverein Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code PNCC: Portuguese National Clearing Code RCBIC: Russian Central Bank Identification Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code OTF: Other Financial Institution Identifier OT: Other, Not Financial Institution |
| 10 | BeneficiaryName | string350 | Name of the beneficiary. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|--------------------------------------|------------|--|--|
| 11 | BeneficiaryName-Normalized | string350 | Normalized name of the beneficiary. Standardized version of the name to reduce data entry inconsistencies | |
| 12 | BeneficiaryWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 13 | BeneficiaryWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 14 | CanceledPairingTransactionIdentifier | string50 | For canceled transactions, contains the transaction reference identifier of the canceling transaction. For canceling transactions, this field will store the transaction reference identifier of the canceled transaction. | |
| 15 | ChannelCode | string20 | Client provided code that identifies the channel of the financial institution through which this transaction was conducted (for example, ATM or teller). | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|---------------------------------|-----------|--|---|
| 16 | ChannelRisk | Integer3 | Level of risk associated with the channel through which this transaction was conducted. | 0-10 : Increasing levels of risk |
| 17 | ClearInstitutionName | string350 | Name of the clearing institution. | |
| 18 | ClearingAmount-Activity | decimal20 | Monetary value in activity currency of the clearing transaction. | |
| 19 | ClearingCurrencyCode | string3 | Three-letter currency code that corresponds to the clearing amount. | ISO 4217 : Alpha currency code |
| 20 | ClearingInstitutionAccount | string50 | Clearing Client institution's account ID. | |
| 21 | ClearingInstitutionActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the clearing institution, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | (-2) : Trusted to a level of exclusion from monitoring (-1) : Trusted to a level of reduced monitoring 0 : Neither trusted or risky 1-10 : Increasing levels of risk |
| 22 | ClearingInstitutionEntityRisk | Integer3 | Level of risk associated with the entity that is the clearing institution on this transaction, based on the effective risk of the entity, the name, and the address. | (-2) : Trusted to a level of exclusion from monitoring (-1) : Trusted to a level of reduced monitoring 0 : Neither trusted or risky 1-10 : Increasing levels of risk |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|-------------------------------------|-----------|--|---|
| 23 | ClearingInstitutionEntityRiskFactor | string50 | Property or association of the clearing institution driving the entity risk. | |
| 24 | ClearingInstitutionFee-Activity | decimal20 | Fee amount in activity currency that the clearing institution charged. | |
| 25 | ClearingInstitutionIdentifier | string50 | Clearing institution ID (such as ABA number or BIC). | |
| 26 | ClearingInstitutionIdentifierType | string20 | Type of financial institution identifier represented in clearing institution identifier. | XA: External Account Identifier BIC: SWIFT Bank Identifier Code (BIC) CHU: CHIPS Participant User Identifier CO: Corporate Identifier CHP: CHIPS Participant Identifier FED: Federal Reserve Routing (ABA) Number CU: Customer Identifier GL: General Ledger Account IA: Internal Account Identifier CDL: Cedel Identifier DTC: Depository Trust Corporation Number EPN: Euroclear Participant Number KID: Kasseverein Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code PNCC: Portuguese National Clearing Code RCBIC: Russian Central Bank Identification Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code OTF: Other Financial Institution Identifier OT: Other, Not Financial Institution |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|--|------------|---|---|
| 27 | ClearingInstitutionName-Normalized | string350 | Normalized name of the clearing institution. Standardized version of the name to reduce data entry inconsistencies . | |
| 28 | ClearingInstitutionRelationshipCode | string1 | Identifier of whether the clearing institution on this transaction is the client, one of the client's client banks, or some other financial institution. | F: Party is the Firm C: Party is a correspondent of the Firm O: Party is some other financial institution |
| 29 | ClearingInstitutionWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 30 | ClearingInstitutionWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 31 | ConductorActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the conductor, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | (-2): Trusted to a level of exclusion from monitoring (-1): Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|---------------------------|----------|---|--|
| 32 | ConductorEntityRisk | Integer3 | Level of risk associated with the entity that is the conductor on this transaction, based on the effective risk of the entity, the name, and the address. | <p>(-2): Trusted to a level of exclusion from monitoring (-1): Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk</p> |
| 33 | ConductorEntityRiskFactor | string50 | Property or association of the conductor driving the entity risk. | |
| 34 | ConductorIdentifier | string50 | Account belonging to the conductor on this transaction. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|-------------------------|-----------|---|---|
| 35 | ConductorIdentifierType | string20 | Type of ID represented in conductor account identifier. | CC: Credit Card CO: Corporate Identifier DL: Driver License GM: Government/Military Identifier GP: Gun Permit Identifier LE: Law Enforcement Identifier MC: Medicare Card Number ND: Non-Driver Identifier Card NR: Non-Resident Alien Identifier PP: Passport Identifier S: Social Security Number TX: Tax Identifier Number AR: Alien Registration Number IA: Internal Account Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code PNCC: Portuguese National Clearing Code RCBIC: Russian Central Bank Identification Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code OTF: Other Financial Institution Identifier OT: Other, Not Financial Institution |
| 36 | ConductorName | string350 | Name of the party acting as Conductor on the transaction. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|---------------------------------|------------|---|--|
| 37 | ConductorName-Normalized | string350 | Normalized name of the conductor. standardized version of the name to reduce data entry inconsistencies . | CC: Credit Card CO: Corporate Identifier DL: Driver License GM: Government/Military Identifier GP: Gun Permit Identifier LE: Law Enforcement Identifier MC: Medicare Card Number ND: Non-Driver Identifier Card NR: Non-Resident Alien Identifier PP: Passport Identifier SS: Social Security Number TX: Tax Identifier Number AR: Alien Registration Number IA: Internal Account Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl |
| 38 | ConductorWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 39 | ConductorWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 40 | CrossBorderTransactionIndicator | string1 | Indicator stating if the transaction originated or terminated in different countries. | |
| 41 | DepositingAmount-Base | decimal20 | Monetary value in base currency of the depositing currency. | |
| 42 | DepositingCurrencyCode | string3 | Three-letter currency code corresponding to the depositing amount. | ISO 4217: Alpha currency code |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|--|-----------|--|---|
| 43 | DepositingInstitutionAccountIdentifier | string50 | Account belonging to the depositing institution. | |
| 44 | DepositingInstitutionActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the depositing institution, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | (-2): Trusted to a level of exclusion from monitoring -1: Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 45 | DepositingInstitutionEntityRisk | Integer3 | Level of risk associated with the entity that is the depositing institution on this transaction, based on the effective risk of the entity, the name, and the address. | (-2): Trusted to a level of exclusion from monitoring -1: Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 46 | DepositingInstitutionEntityRiskFactor | string50 | Property or association of the depositing institution driving the entity risk. | |
| 47 | DepositingInstitutionFee-Activity | decimal20 | Fee amount in activity currency that the depositing institution charged. | |
| 48 | DepositingInstitutionIdentifier | string50 | Depositing institution identifier (such as ABA number or BIC). | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|--------------------------------------|-----------|--|---|
| 49 | DepositingInstitutionIdentifierType | string20 | Type of external financial institution ID represented in depositing institution identifier. | XA: External Account Identifier BIC: SWIFT Bank Identifier Code (BIC) CHU: CHIPS Participant User Identifier CO: Corporate Identifier CHP: CHIPS Participant Identifier FED: Federal Reserve Routing (ABA) Number CU: Customer Identifier GL: General Ledger Account IA: Internal Account Identifier CDL: Cedel Identifier DTC: Depository Trust Corporation Number EPN: Euroclear Participant Number KID: Kasseverein Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code PNCC: Portuguese National Clearing Code RCBIC: Russian Central Bank Identification Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code OTF: Other Financial Institution Identifier OT: Other, Not Financial Institution |
| 50 | DepositingInstitutionName | string350 | Name of the depositing institution. | |
| 51 | DepositingInstitutionName-Normalized | string350 | Normalized name of the depositing institution. This is the standardized version of the name to reduce data entry inconsistencies | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|--|------------|---|---|
| 52 | DepositingInstitutionRelationshipCode | string1 | Indicator of whether the depositing institution on this transaction is the client's, one of the client's client banks, or some other financial institution. | F: Party is the firm C: Party is a correspondent of the firm O: Party is some other financial institution |
| 53 | DepositingInstitutionWatchListIdentifier | string3 | Unique identifier that describes a source of Watch List data. | |
| 54 | DepositingInstitutionWatchListMatchText | string2000 | Text of the identifier or name associated with the Watch List record that was used to populate entity risk. | |
| 55 | FixingDate | Date | For a floating payment, the date upon which the rate to be paid is fixed. Typically, this occurs two days prior to the payment date. | |
| 56 | InitiatingRole | string1 | Identifier of whether transaction originated as a request from the debited account or credited account. | D: The party in the debiting role initiated the transaction C: The party in the crediting role initiated the transaction |
| 57 | InstrumentComments | string255 | Additional comments found on the instrument. | |
| 58 | InstrumentMarkings | string255 | Markings found on the instrument. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|---------------------------------------|-----------|--|--------------------------------------|
| 59 | InstrumentName | string255 | Name of the Instrument. | |
| 60 | InstrumentNumber | string25 | Serial number of monetary instrument. | |
| 61 | InstrumentNumber-Augmented | string25 | Augmented Serial number of monetary instrument. | |
| 62 | InstrumentRoutingCode | string20 | Routing Code for this Instrument for this transaction. | |
| 63 | InternalBeneficiaryAccountIndicator | string1 | Indicator of whether the beneficiary account on this transaction is an account held at the client. | |
| 64 | InternalRemitterAccountIndicator | string1 | Indicator of whether the remitter account on this transaction is an account held at the client. | |
| 65 | InternalSecondaryBeneficiaryIndicator | string1 | Indicator of whether the secondary beneficiary account on this transaction is an account held at the client. | |
| 66 | IssuingCurrencyCode | string3 | Issuing currency code. | ISO 4217: Alpha currency code |
| 67 | IssuingInstitutionAccountIdentifier | string50 | Identifier of the issuing institution. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|------------------------------------|-----------|---|--|
| 68 | IssuingInstitutionActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the issuing institution, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | (-) 2 : Trusted to a level of exclusion from monitoring - 1 : Trusted to a level of reduced monitoring 0 : Neither trusted or risky 1-10 :Increasing levels of risk |
| 69 | IssuingInstitutionBranchIdentifier | string25 | Identifier of the branch of the issuing institution, if any. | |
| 70 | IssuingInstitutionEntityRisk | Integer3 | Level of risk associated with the entity that is the issuing institution on this transaction, based on the effective risk of the entity, the name, and the address. | (-) 2 : Trusted to a level of exclusion from monitoring - 1 : Trusted to a level of reduced monitoring 0 : Neither trusted or risky 1-10 :Increasing levels of risk |
| 71 | IssuingInstitutionEntityRiskFactor | string50 | Property or association of the issuing institution driving the entity risk. | |
| 72 | IssuingInstitutionFee-Activity | decimal20 | Fee amount in activity currency that the issuing institution charged. | |
| 73 | IssuingInstitutionIdentifier | string50 | Identifier for the Issuing institution (such as ABA number or BIC). | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|-----------------------------------|-----------|--|---|
| 74 | IssuingInstitutionIdentifierType | string20 | Type of external financial institution ID represented in issuing institution identifier. | XA: External Account Identifier BIC: SWIFT Bank Identifier Code (BIC) CHU: CHIPS Participant User Identifier CO: Corporate Identifier CHP: CHIPS Participant Identifier FED: Federal Reserve Routing (ABA) Number CU: Customer Identifier GL: General Ledger Account IA: Internal Account Identifier CDL: Cedel Identifier DTC: Depository Trust Corporation Number EPN: Euroclear Participant Number KID: Kasseverein Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code PNCC: Portuguese National Clearing Code RCBIC: Russian Central Bank Identification Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code OTF: Other Financial Institution Identifier OT: Other, Not Financial Institution |
| 75 | IssuingInstitutionName | string350 | Name of the issuing institution. | |
| 76 | IssuingInstitutionName-Normalized | string350 | Normalized name of the issuing institution. Standardized version of the name to reduce data entry inconsistencies. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|---|------------|--|--|
| 77 | IssuingInstitutionRelationshipCode | string1 | Indicator of whether the issuing institution on this transaction is the client, one of the client's client banks, or some other financial institution. | F: Party is the Firm C: Party is a correspondent of the Firm O: Party is some other financial institution |
| 78 | IssuingInstitutionWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 79 | IssuingInstitutionWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 80 | IssuingTransactionAmount-Activity | decimal20 | Amount for the issuing transaction in activity currency. | |
| 81 | RRSBeneficiaryAddressIdentifier | Integer22 | Identifier representing a specific beneficiary address record. | |
| 82 | RRSClearingDate | Date | Calculated date of clearing for this transaction that accounts for unpopulated date attributes in the data. | |
| 83 | RRSClearingInstitutionAddressIdentifier | Integer22 | Identifier representing a specific clearing institution address record. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|---|-----------|--|--|
| 84 | RRSClearingInstitutionIdentifier | Integer22 | Identifier representing a specific clearing institution record. | |
| 85 | RRSDepositDate | Date | Calculated date of deposit for this transaction that accounts for unpopulated date attributes in the data. | |
| 86 | RRSDepositingInstitutionAddressIdentifier | Integer22 | Specific identifier representing a specific depositing institution address record. | |
| 87 | RRSDepositingInstitutionIdentifier | Integer22 | Identifier representing a specific depositing Institution record. | |
| 88 | RRSDerivedEntityIdentifier | Integer22 | Identifier for the derived entity acting as conductor on this transaction that is unique across the FSDM. | |
| 89 | RRSIssueDate | Date | Calculated date of issue for this transaction that accounts for unpopulated date attributes in the data. | |
| 90 | RRSIssuingInstitutionAddressIdentifier | Integer22 | Identifier representing a specific issuing institution address record. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|----|--|-----------|--|---|
| 91 | RRSIssuingInstitutionIdentifier | Integer22 | Internally generated unique financial institution identifier. | |
| 92 | RRSPostingDate | Date | Calculated date of posting for this transaction that accounts for unpopulated date attributes in the data. | |
| 93 | RRSRemitterAddressIdentifier | Integer22 | Identifier representing a specific remitter address record. | |
| 94 | RRSRemitterDerivedEntityIdentifier | Integer22 | Identifier for the derived entity acting as remitter on this transaction that is unique across the FSDM. | |
| 95 | RRSSecondaryBeneficiaryAddressIdentifier | Integer22 | Identifier representing a specific secondary beneficiary address record. | |
| 96 | RRSTransactionAdjustmentCode | string20 | Code that identifies the adjustment of a prior transaction. | ADJ-CORR: Adjustment or Correction Transaction REV: Reversal Transaction DISHON-CHECK-IN: Dishonored Check Transaction DISHON-CHECK-OUT: Dishonored Check Transaction STOP-PMT: Stop Check Payment Transaction CANCEL: Canceled or Canceling Transaction |
| 97 | RRSTransactionAssetClassCode | string20 | Code that identifies the type of asset involved in the transaction. | FUNDS: Transaction transfers funds SECURITIES: Transaction transfers securities COMMODITIES: Transaction transfers a tangible good or asset that can be deposited PROPERTY: Transaction transfers property |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|------------------------------|-----------|---|--|
| 98 | RRSTransactionChannelCode | string20 | Code that identifies the type of channel used. | ATM: Conducted via an automated teller machine BRANCH-TELLER: Conducted via a branch teller DEBIT-TERMINAL: Conducted via a debit terminal ON-LINE: Conducted via the internet RETAIL-OUTLET: Conducted via a retail outlet MAIL: Mail TELEPHONE: Conducted via a telephone INTERNAL-SYSTEM: Conducted via a system of the Firm OTHER-ANONYMOUS: Conducted via another anonymous channel OTHER-NONANONYMOUS: Conducted via another nonanonymous channel MOBILE-PDA: Conducted through mobile phone or PDA device. |
| 99 | RRSTransactionChannelDetail1 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 100 | RRSTransactionChannelDetail2 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 101 | RRSTransactionChannelDetail3 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 102 | RRSTransactionChannelDetail4 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 103 | RRSTransactionChannelDetail5 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 104 | RRSTransactionChannelDetail6 | string250 | Detail regarding the channel used to initiate this transaction. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|--------------------------------------|-----------|---|--|
| 105 | RRSTransactionChannelDetail7 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 106 | RRSTransactionChannelDetail8 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 107 | RRSTransactionChannelDetail9 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 108 | RRSTransactionChannelDetail10 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 109 | RRSTransactionChannelGeoLocation | string80 | Geo location associated with the transaction channel used to initiate this transaction. | |
| 110 | RRSTransactionChannelLocationAddress | string350 | Location address associated with the transaction channel used to initiate this transaction. | |
| 111 | RRSTransactionChannelLocationID | string50 | Location identifier associated with the transaction channel used to initiate this transaction. | |
| 112 | RRSTransactionChannelLocationName | string350 | Location name associated with the transaction channel used to initiate this transaction. | |
| 113 | RRSTransactionChannelLocationType | string20 | Client specified location type associated with the transaction channel used to initiate this event. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|--------------------------|----------|--|--|
| 114 | RRTransactionChannelRisk | Integer3 | Client specified level of risk associated with the transaction channel through which this transaction was initiated. | |
|-----|--------------------------|----------|--|--|

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|-------------------------------|----------|--|---|
| 115 | RRSTransactionProductSub type | string30 | Allows for specification of transaction product subtypes associated with the provided transaction product types. | <p>ARC: Converted checks received via the US mail or at a drop-box location</p> <p>BOC: Converted checks received by merchant at the point-of-purchase or at manned bill payment locations, and processed during back office operations</p> <p>CBR: Cross border entry to business account</p> <p>CCD: Transfer of funds between business accounts or to consolidate funds from several accounts of the same business</p> <p>CIE: Credit entry initiated by an individual (usually through a bill payment service) used to pay some sort of obligation</p> <p>CTX: Payment or collection of obligations between separate businesses</p> <p>DNE: Notice initiated by an agency of the Federal government to advise an RDFI of the death of an individual (Includes addenda record with details)</p> <p>ENR: Entry submitted by Financial Institution to enroll member in direct deposit of Federal government benefit payment</p> <p>IAT: ACH entry involving a financial agency's office that is not located within the territorial jurisdiction of the United States.</p> <p>MTE: The ACH Network supports the clearing of transactions from automated teller machines, that is, Machine Transfer Entries (MTE)</p> <p>PBR: Cross border entry to consumer account</p> <p>POP: Converted checks received by merchant at the point-of-sale b Entry initiated by individual at a merchant location using a merchant issued card for payment of goods or services</p> <p>PPD: Recurring entry for direct deposit of payroll, pension, and so on., or for direct payment of recurring bills such as utilities, loans, insurance, and so on.</p> <p>RCK: Merchant collection of checks that had been returned as NSF or Uncollected Funds</p> <p>SHR: Represent point of sale debit applications in a shared (SHR) environment (vs a nonshared (POS) environment)</p> <p>TEL: Entry submitted pursuant to an oral authorization obtained solely via the telephone</p> <p>WEB: Entry submitted pursuant to an authorization obtained solely via the Internet b Replacement entry for check that is lost or destroyed while within the check clearing system</p> |
|-----|-------------------------------|----------|--|---|

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|---------------------------|----------|--|--|
| 116 | RRSTransactionProductType | string30 | Identifier of the financial product involved in this transaction. | AUTO-BILL-PAY: Automatic Bill Payment DEBIT-CARD: Debit Card SVC: Stored Value Card CASH-EQ-CASHIERCHECK: Cashier's Check CASH-EQ-CERT-CHECK: Certified Check CASH-EQ-MONEY-ORDER: Money Order CASH-EQ-TRAVELERSCHECK: Traveler's Check CASH-EQ-OTHER: Other Cash Equivalent Product CASH-LETTER: Cash Letter CHECK: Personal Or Business Check CHECK-ACH: Check via Automated Clearing House CREDIT-CARD: Credit Card CURRENCY: Currency EFT-ACH: Electronic Funds Transfer via Automated Clearing House EFT-TREASURY: Electronic Funds Transfer via Treasury EFT-FEDWIRE: Electronic Funds Transfer via Fedwire EFT-SWIFT: Electronic Funds Transfer via SWIFT EFT-OTHER: Electronic Funds Transfer via Other Mechanism EST: Electronic Security Transfer PAPER-OTHER: Other Paper Products PAYROLL-DEDUCTION: Payroll Deduction PHYS: Physical Delivery/ Receipt of Securities |
| 117 | RRSTransactionPurposeCode | string20 | Code that identifies the purpose of the transaction. | DIST: Distribution Transaction (For example, IRA) DIV: Dividend Transaction FEE-IA: Investment Advisor Fee Transaction FEE-OTHER: Non- Investment Advisor Fee Transaction INT: Interest Transaction TOA: Transfer-Of-Account Transaction GENERAL: Transaction whose purpose does not align with the other purpose codes |
| 118 | OnUSorOffUSCode | string1 | Code that indicates whether the item is an <i>on-us</i> item (which the institution issued) or an <i>off-us</i> item (which another institution issued). | 1: On us 2: Off us |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|-------------------------------|-----------|---|--|
| 119 | PaymentInterestRate | decimal20 | Interest rate paid on this transaction. This transaction must be associated with a swap. | |
| 120 | PaymentInterestRateType | string3 | Type of interest rate paid on this transaction (for example, fixed or floating). This transaction must be associated with a swap. | FIX: Fixed Interest Rate FLT: Floating Interest Rate (that is, Libor) |
| 121 | ProductRisk | Integer3 | Identifier of the level of risk associated with the client's product that was involved in this transaction. | 0-10: Increasing levels of risk |
| 122 | RebookedTransactionIdentifier | string50 | For rebooking transactions, contains the transaction reference identifier of the original transaction that is being corrected. | |
| 123 | RemitterAccount | string50 | Remitter's account involved in this transaction. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|-------------------------------------|----------|--|---|
| 124 | RemitterActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the remitter, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | (-2): Trusted to a level of exclusion from monitoring -1: Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 125 | RemittertoBeneficiaryTrustIndicator | string1 | Indicator of a trusted relationship between parties in this combination of roles. | |
| 126 | RemitterEntityRisk | Integer3 | Level of risk associated with the entity that is the remitter on this transaction, based on the effective risk of the entity, the name, and the address. | (-2): Trusted to a level of exclusion from monitoring -1: Trusted to a level of reduced monitoring 0: Neither trusted or risky 1-10: Increasing levels of risk |
| 127 | RemitterEntityRiskFactor | string50 | Property or association of the remitter driving the entity risk. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|------------------------|-----------|---|---|
| 128 | RemitterIdentifierType | string20 | Type of account represented in remitter account identifier. | XA: External Account Identifier BIC: SWIFT Bank Identifier Code (BIC) CC: Credit Card CHU: CHIPS Participant User Identifier CO: Corporate Identifier CHP: CHIPS Participant Identifier DL: Driver License FED: Federal Reserve Routing (ABA) Number GM: Government/Military Identifier GP: Gun Permit Identifier LE: Law Enforcement Identifier MC: Medicare Card Number ND: Non-Driver Identifier Card NR: Non-Resident Alien Identifier PP: Passport Identifier SS: Social Security Number TX: Tax Identifier Number AR: Alien Registration Number CU: Customer Identifier GL: General Ledger Account IA: Internal Account Identifier CDL: Cedel Identifier DTC: Depository Trust Corporation Number EPN: Euroclear Participant Number KID: Kasseverein Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code PNCC: Portuguese National Clearing Code RCBIC: Russian Central Bank Identification Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code OTF: Other Financial Institution Identifier OT: Other, Not Financial Institution |
| 129 | RemitterName | string350 | Name of the remitter on this transaction. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|--|------------|---|--|
| 130 | RemitterName-Normalized | string350 | Normalized name of the remitter. standardized version of the name to reduce data entry inconsistencies | |
| 131 | RemittertoSecondaryBeneficiaryTrustIndicator | string1 | Indicator of a trusted relationship between parties in this combination of roles. | |
| 132 | RemitterWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 133 | RemitterWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 134 | SecondaryBeneficiaryAccountIdentifier | string50 | Account that belongs to the secondary beneficiary. | |
| 135 | SecondaryBeneficiaryActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the secondary beneficiary, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | <p>(-2): Trusted to a level of exclusion from monitoring</p> <p>-1: Trusted to a level of reduced monitoring</p> <p>0: Neither trusted or risky</p> <p>1-10: Increasing levels of risk</p> |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|--|-----------|---|---|
| 136 | SecondaryBeneficiaryDerivationMethod | string20 | Method used to derive secondary beneficiary from the free text. | |
| 137 | SecondaryBeneficiaryEntityRisk | Integer3 | Level of risk associated with the entity that is the secondary beneficiary on this transaction, based on the effective risk of the entity, the name, and the address. | (-2) : Trusted to a level of exclusion from monitoring -1 : Trusted to a level of reduced monitoring 0 : Neither trusted or risky 1-10 : Increasing levels of risk |
| 138 | SecondaryBeneficiaryEntityRiskFactor | string50 | Property or association of the secondary beneficiary driving the entity risk. | |
| 139 | SecondaryBeneficiaryExternalEntityIdentifier | Integer22 | Identifier for the derived entity acting as second beneficiary on this transaction | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|------------------------------------|-----------|---|---|
| 140 | SecondaryBeneficiaryIdentifierType | string20 | Type of ID represented in secondary beneficiary account identifier. | XA: External Account Identifier' BIC: SWIFT Bank Identifier Code (BIC) CC: Credit Card CHU: CHIPS Participant User Identifier CO: Corporate Identifier CHP: CHIPS Participant Identifier DL: Driver License FED: Federal Reserve Routing (ABA) Number GM: Government/Military Identifier GP: Gun Permit Identifier LE: Law Enforcement Identifier MC: Medicare Card Number ND: Non-Driver Identifier Card NR: Non-Resident Alien Identifier PP: Passport Identifier SS: Social Security Number TX: Tax Identifier Number AR: Alien Registration Number CU: Customer Identifier GL: General Ledger Account IA: Internal Account Identifier CDL: Cedel Identifier DTC: Depository Trust Corporation Number EPN: Euroclear Participant Number KID: Kasseverein Identifier CBI: Central Bank Identifier CSN: Central Clearing Corporation Number BLZ: German Bankleitzahl IBAN: International Bank Account Number ABLZ: Austrian Bankleitzahl BCHH: Bank Code of Hong Kong BSB: Australian Bank State Branch Code CPAP: Canadian Payments Assn Payment Routing Number PNCC: Portuguese National Clearing Code RCBIC: Russian Central HEBIC: Hellenic Bank Identification Code IDIC: Italian Domestic Identification Code IFSC: Indian Financial System Code NSC: Irish National Clearing Code SDIC: Spanish Domestic Interbanking Code Swiss BC: Swiss Clearing Code (BC) Swiss SIC: Swiss Clearing Code (SIC) UKDSC: UK Domestic Sort Code Bank Identification Code OTF: Other Financial Institution Identifier b Other, Not Financial Institution |
| 141 | SecondaryBeneficiaryName | string350 | Name of the secondary beneficiary. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|---|------------|---|--|
| 142 | SecondaryBeneficiaryName-Normalized | string350 | Normalized name of the secondary beneficiary. This is the standardized version of the name to reduce data entry inconsistencies | |
| 143 | SecondaryBeneficiaryWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 144 | SecondaryBeneficiaryWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 145 | StructuredDealIdentifier | string50 | Identifier of the swap with which this transaction is associated. | |
| 146 | ThirdPartyTransactionIndicator | string1 | Indicator that this is a third party transaction. | |
| 147 | TransactionAmount-Base | decimal20 | Transaction amount in base currency. | |
| 148 | TransactionClearingDate | Date | Date of clearing for a specific transaction. | |
| 149 | TransactionClearingDate-UTC | Date | Date on which this transaction cleared that corresponds to the transaction clearing UTC time. | |
| 150 | TransactionClearingTime | string9 | Time at which this transaction cleared. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|---------------------------------------|----------|---|--|
| 151 | TransactionClearingTime-UTC | string9 | Time in UTC at which this transaction cleared. | |
| 152 | TransactionClearingTimeOffset | string6 | Number of hours offset from local to UTC for transaction clearing time. | |
| 153 | TransactionDepositDate | Date | Date of deposit for a specific transaction. | |
| 154 | TransactionDepositDate-UTC | Date | Date on which this transaction was deposited that corresponds to the transaction deposit UTC time. | |
| 155 | TransactionDepositTime | string9 | Time at which this transaction was deposited. | |
| 156 | TransactionDepositTime-UTC | string9 | Time in UTC at which this transaction deposited. | |
| 157 | TransactionDepositTimeOffset | string6 | Number of hours offset from local to UTC for transaction deposit time. | |
| 158 | TransactionEntrySystemLogonIdentifier | string50 | System logon used by the individual at the client who entered this transaction. If this transaction is entered through an automated channel, this field contains the system logon associated with that channel. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|--------------------------------|----------|--|--|
| 159 | TransactionEntryUserIdentifier | string50 | Individual at the client who entered this transaction. This field should not have a value if the transaction was performed through an automated channel or if it was not originated at the client. | |
| 160 | TransactionGroupIdentifier | string50 | Set of transactions of which this transaction is a part. For example, use this to identify a pouch or deposit that included several monetary instruments of which one is this transaction. | |
| 161 | TransactionInternalIdentifier | string50 | Identifier that the client assigned that uniquely identifies this transaction throughout the enterprise. | |
| 162 | TransactionIssueDate | Date | Date of issue for a specific transaction. | |
| 163 | TransactionIssueTime | string9 | Time at which this transaction was issued. | |
| 164 | TransactionIssueTimeOffset | string6 | Number of hours offset from local to UTC for transaction issue time. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|------------------------------|----------|---|--|
| 165 | TransactionIssuingDate-UTC | Date | Date on which this transaction was issued that corresponds to the transaction issue UTC time. | |
| 166 | TransactionIssuingTime-UTC | string9 | Time in UTC at which this transaction was issued. | |
| 167 | TransactionPostingDate | Date | Date of posting for a specific transaction. | |
| 168 | TransactionPostingDate-UTC | Date | Date on which this transaction was posted that corresponds to the transaction posting UTC time. | |
| 169 | TransactionPostingTime | string9 | Time at which this transaction was posted. | |
| 170 | TransactionPostingTime-UTC | string9 | Time in UTC at which this transaction was posted. | |
| 171 | TransactionPostingTimeOffset | string6 | Number of hours offset from local to UTC for transaction posting time. | |
| 172 | TransactionType1 | string20 | Customer-provided code that represents the type of transaction. This is generally the highest categorization level. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|--------------------------------------|----------|--|--|
| 173 | TransactionType2 | string20 | Customer-provided code that represents the type of transaction. This is generally the second highest categorization level. | |
| 174 | TransactionType3 | string20 | Customer-provided code that represents the type of transaction. This is generally the third highest categorization level. | |
| 175 | TransactionType4 | string20 | Customer-provided code that represents the type of transaction. This is generally the fourth highest categorization level. | |
| 176 | TrustedTransactionFlag | string1 | Indicator that this is a transaction involving trusted pairs. | |
| 177 | UnknownBeneficiaryIndicator | string1 | Indicator of whether beneficiary is known or unknown (that is, provided name is <i>non'</i> or <i>unknown</i>). | |
| 178 | UnknownRemitterIndicator | string1 | Indicator of whether remitter is known or unknown. | |
| 179 | UnknownSecondaryBeneficiaryIndicator | string1 | Indicator of whether secondary beneficiary is known or unknown. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|-------------------------|-----------|---|--|
| 180 | UnrelatedPartyIndicator | string1 | Indicator of whether known relationships exist between internal accounts. | |
| 181 | Custom1Date | Date | Date field that is available for use at the client's discretion. | |
| 182 | Custom2Date | Date | Date field that is available for use at the client's discretion. | |
| 183 | Custom3Date | Date | Date field that is available for use at the client's discretion. | |
| 184 | Custom1Real | decimal20 | Number field that is available for use at the client's discretion. | |
| 185 | Custom2Real | decimal20 | Number field that is available for use at the client's discretion. | |
| 186 | Custom3Real | decimal20 | Number field that is available for use at the client's discretion. | |
| 187 | Custom1Text | string255 | Text field that is available for use at the client's discretion. | |
| 188 | Custom2Text | string255 | Text field that is available for use at the client's discretion. | |
| 189 | Custom3Text | string255 | Text field that is available for use at the client's discretion. | |

Table 12. MonetaryInstrumentTransaction Element (Continued)

| | | | | |
|-----|------------------------------|--------------------|--|--|
| 190 | Custom4Text | string255 | Text field that is available for use at the client's discretion. | |
| 191 | Custom5Text | string255 | Text field that is available for use at the client's discretion. | |
| 192 | SourceSystem | string3 | Source system or product for the transaction. | |
| 193 | ProcessingBatch | string20 | Ingestion batch which processed this data record. | |
| 194 | SubmissionDate | Date | Business date for which the data record is provided. | |
| 195 | AdditionalTransactionDetails | TransactionDetails | | |

Table 13. WireTransaction Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|------------------------------|-----------|---|-------------|
| 1 | RRSWireTransactionIdentifier | Integer22 | Identifier that represents a specific wire transaction record. | |
| 2 | BanktoBankTransferIndicator | string1 | Indicator of whether the transaction is an institution-to-institution transfer. | |
| 3 | BankcardIdentifier | Integer20 | Identifier of the bankcard utilized in this transaction. | |
| 4 | Beneficiary | string50 | Beneficiary's account involved in this transaction. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|------------------------------------|-----------|---|--|
| 5 | BeneficiaryAccountingRule | string1 | Identifier of the manner in which the cash or security involved in this transaction is held in the beneficiary account (for example, on a cash basis, on margin, or as a short position). | |
| 6 | BeneficiaryType | string20 | Type of account identifier represented in beneficiary account. | |
| 7 | BeneficiaryActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of the beneficiary, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | |
| 8 | BeneficiaryDerivedEntityIdentifier | Integer22 | identifier for the Derived Entity acting as beneficiary on this transaction | |
| 9 | BeneficiaryEntityRisk | Integer3 | Level of risk associated with the entity that is the beneficiary on this transaction, based on the effective risk of the entity, the name, and the address. | |
| 10 | BeneficiaryEntityRiskFactor | string50 | Property or association of the beneficiary driving the entity risk. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|--------------------------------------|------------|--|--|
| 11 | BeneficiaryInstructions | string255 | Instructions from the originator to the beneficiary. | |
| 12 | BeneficiaryName | string350 | Name of the party who is the beneficiary on the transaction. | |
| 13 | BeneficiaryName-Augmented | string350 | Augmented name of the party who is the beneficiary on the transaction. Represents the standardized version of the name to reduce data entry inconsistencies. | |
| 14 | BeneficiaryWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 15 | BeneficiaryWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 16 | CanceledPairingTransactionIdentifier | string50 | For canceled transactions, contains the transaction reference identifier of the canceling transaction. For canceling transactions, this field will store the transaction reference identifier of the canceled transaction. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|--|-----------|--|---|
| 17 | ChannelIdentifier | string20 | Client provided code that identifies the channel of the financial institution through which this transaction was conducted (for example, ATM or teller). | |
| 18 | ChannelRisk | Integer3 | Level of risk associated with the channel through which this transaction was conducted. | |
| 19 | CrossBorderTransactionIndicator | string1 | Indicator of whether the transaction originated or terminated in a separate country. | |
| 20 | FixingDate | Date | For a floating payment, the date upon which the rate to be paid is fixed. Typically, this occurs two days prior to the payment date. | |
| 21 | InitiatingRole | string1 | Identifier of whether transaction originated as a request from the debited account or credited account. | D: The party in the debiting role initiated the transaction C: The party in the crediting role initiated the transaction |
| 22 | Institution-to-InstitutionInstructions | string255 | Free form text to store institution-to-institution instructions. | |
| 23 | InternalBeneficiaryAccountIndicator | string1 | Indicator of whether the beneficiary account on this transaction is an account held at the client. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|--|-----------|--|--|
| 24 | InternalOriginatorAccountIndicator | string1 | Indicator of whether the originator account on this transaction is an account held at the client. | |
| 25 | InternalSecondaryBeneficiaryAccountIndicator | string1 | Indicator of whether the secondary beneficiary account on this transaction is an account held at the client. | |
| 26 | InternalSecondaryOriginatorAccountIndicator | string1 | Indicator of whether the secondary originator account on this transaction is an account held at the client. | |
| 27 | RRSBeneficiaryAddressIdentifier | Integer22 | Identifier that represents a specific beneficiary address record. | |
| 28 | RRSOriginatorAddressIdentifier | Integer22 | Identifier for the originator's address record. | |
| 29 | RRSReceivingInstitutionAddressIdentifier | Integer22 | Identifier that represents a specific receiving institution address record. | |
| 30 | RRSReceivingInstitutionIdentifier | Integer22 | Identifier that represents a specific receiving financial institution | |
| 31 | RRSSecondaryBeneficiaryAddressIdentifier | Integer22 | Identifier that represents a specific secondary beneficiary address record. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|---|-----------|--|--|
| 32 | RRSSecondaryOriginatorAccountType | string20 | Type of account represented in secondary beneficiary account identifier. | |
| 33 | RRSSecondaryOriginatorAddressIdentifier | Integer22 | Identifier that represents a specific secondary originator address record. | |
| 34 | RRSSendingInstitutionAddressIdentifier | Integer22 | Identifier that represents a specific sending institution address record. | |
| 35 | RRSSendingInstitutionIdentifier | Integer22 | Identifier that represents a specific financial institution record. | |
| 36 | RRSTransactionAdjustmentCode | string20 | Code that identifies the adjustment of a prior transaction. | |
| 37 | RRSTransactionAssetClassCode | string20 | Code that identifies the type of asset involved in the transaction. | |
| 38 | RRSTransactionChannelCode | string20 | Code that identifies the type of channel used. | |
| 39 | RRSTransactionChannelDetail1 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 40 | RRSTransactionChannelDetail2 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 41 | RRSTransactionChannelDetail3 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 42 | RRSTransactionChannelDetail4 | string250 | Detail regarding the channel used to initiate this transaction. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|--------------------------------------|-----------|---|--|
| 43 | RRSTransactionChannelDetail5 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 44 | RRSTransactionChannelDetail6 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 45 | RRSTransactionChannelDetail7 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 46 | RRSTransactionChannelDetail8 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 47 | RRSTransactionChannelDetail9 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 48 | RRSTransactionChannelDetail10 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 49 | RRSTransactionChannelGeoLocation | string80 | Geo location associated with the transaction channel used to initiate this transaction | |
| 50 | RRSTransactionChannelLocationAddress | string350 | Location address associated with the transaction channel used to initiate this transaction | |
| 51 | RRSTransactionChannelLocationID | string50 | Location Identifier associated with the transaction channel used to initiate this transaction | |
| 52 | RRSTransactionChannelLocationName | string350 | Location name associated with the transaction channel used to initiate this transaction | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|-----------------------------------|----------|--|--|
| 53 | RRSTransactionChannelLocationType | string20 | Client specified location type associated with the transaction channel used to initiate this event | |
| 54 | RRSTransactionChannelRisk | Integer3 | Client specified level of risk associated with the transaction channel through which this transaction was initiated. | |
| 55 | RRSTransactionProductSubtype | string30 | Allows for specification of transaction product subtypes associated with the provided transaction product types. | |
| 56 | RRSTransactionProductType | string30 | Code that identifies the type of product used. | |
| 57 | RRSTransactionPurposeCode | string20 | Code that identifies the purpose of the transaction. | |
| 58 | OriginatorAccount | string50 | Originator's account involved in this transaction. | |
| 59 | OriginatorAccountingRule | string1 | Identifier of the manner in which the cash or security involved in this transaction is held in the originator account (for example, on a cash basis, on margin, or as a short position). | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|-------------------------------------|-----------|---|--|
| 60 | OriginatorActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of this originator, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | |
| 61 | OriginatorBeneficiaryTrustIndicator | string1 | Indicator of a trusted relationship between parties in this combination of roles. | |
| 62 | OriginatorDerivedEntityIdentifier | Integer22 | Identifier for the derived entity acting as originator on this transaction | |
| 63 | OriginatorEntityRisk | Integer3 | Level of risk associated with the entity that is the originator on this transaction, based on the effective risk of the entity, the name, and the address. | |
| 64 | OriginatorEntityRiskFactor | string50 | Property or association of the originator driving the entity risk. | |
| 65 | OriginatorName | string350 | Name of the originating party on the transaction. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|---|------------|--|--|
| 66 | OriginatorName-Normalized | string350 | Normalized name of the originating party on the transaction. Represents the standardized version of the name to reduce data entry inconsistencies. | |
| 67 | OriginatorToSecondBeneficiaryTrustIndicator | string1 | Indicator of a trusted relationship between parties in this combination of roles. | |
| 68 | OriginatorWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 69 | OriginatorWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 70 | OriginatorAccountType | string20 | Type of account identifier represented in the originator's account. | |
| 71 | PaymentInterestRate | decimal20 | Interest rate paid on this transaction. This transaction must be associated with a swap. | |
| 72 | PaymentInterestRateType | string3 | Type of interest rate paid on this transaction (for example, fixed or floating). This transaction must be associated with a swap. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|-------------------------------|-----------|---|--|
| 73 | ProductCategory | string4 | Identifier of the highest and most general classification for the security associated with this transaction. | |
| 74 | ProductRisk | Integer3 | Identifier of the level of risk associated with the client's product that was involved in this transaction. | 0-10: Increasing levels of risk |
| 75 | ProductSubtype | string20 | Identifier of the client-specified subtype classification for the security associated with this transaction. | |
| 76 | ProductType | string20 | Identifier of the client-specified type within the high-level product category for the security associated with this transaction. | |
| 77 | RebookedTransactionIdentifier | string50 | For rebooking transactions, contains the transaction reference identifier of the original transaction that is being corrected. | |
| 78 | ReceivingAmount-Activity | decimal20 | Monetary value in activity currency of the receiving institution. | |
| 79 | ReceivingCurrency | string3 | Three-letter currency code that corresponds to the receiving amount. | ISO 4217: Alpha currency code |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|--------------------------------------|-----------|--|--|
| 80 | ReceivingInstitutionAccount | string50 | Account for the client at the receiving institution. | |
| 81 | ReceivingInstitutionActivityRisk | Integer3 | Level of risk associated with the activity for this transaction from the viewpoint of this receiving institution, based on geography risk, channel risk, product risk, and effective risk of all other parties on the transaction. | |
| 82 | ReceivingInstitutionEntityRisk | Integer3 | Level of risk associated with the entity that is the receiving institution on this transaction, based on the effective risk of the entity, the name, and the address. | |
| 83 | ReceivingInstitutionEntityRiskFactor | string50 | Property or association of the receiving institution driving the entity risk. | |
| 84 | ReceivingInstitutionFee-Activity | decimal20 | Fee amount that the receiving institution charged in activity currency. | |
| 85 | ReceivingInstitutionIdentifier | string50 | Receiving Institution identifier (such as ABA number or BIC). | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|----|---|------------|---|--|
| 86 | ReceivingInstitutionIdentifierType | string20 | Type of external financial institution identifier that the receiving institution identifier represents. | |
| 87 | ReceivingInstitutionName | string350 | Name of the receiving institution. | |
| 88 | ReceivingInstitutionName-Normalized | string350 | Normalized name of the receiving institution. Standardized version of the name to reduce data entry inconsistencies. | |
| 89 | ReceivingInstitutionRelationship | string1 | Identifier of whether the receiving institution on this transaction is the client, one of the client's client banks, or some other financial institution. | F: Party is the firm C: Party is a correspondent of the firm O: Party is some other financial institution |
| 90 | ReceivingInstitutionWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 91 | ReceivingInstitutionWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 92 | RestrictedSecurityIndicator | string1 | Indicator of whether the security involved in this transaction is under trading restrictions. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|-----|---|-----------|---|--|
| 93 | SendingCurrencyCode | string3 | Three-letter currency code that corresponds to the sending amount. | ISO 4217: Alpha currency code |
| 94 | SendingAmount-Activity | decimal20 | Monetary value in activity currency for the sending institution. | |
| 95 | SecondaryBeneficiaryAccount | string50 | Account for secondary beneficiary. | |
| 96 | SecondaryBeneficiaryAccountIdentifierType | string20 | Type of account represented in secondary beneficiary account identifier. | |
| 97 | SendingInstitutionName | string350 | Name of the sending institution. | |
| 98 | SendingInstitutionIdentifier | string20 | Identifier for the sending institution (such as ABA number or BIC). | |
| 99 | SendingInstitutionName-Normalized | string350 | Normalized name of the sending institution on the transaction. Represents the standardized version of the name to reduce data entry inconsistencies. | |
| 100 | SendingInstitutionRelationship | string1 | Identifier of whether the sending institution on this transaction is the client, one of the client's client banks, or some other financial institution. | F: Party is the Firm C: Party is a correspondent of the Firm O: Party is some other financial institution |

Table 13. WireTransaction Element (Continued)

| | | | | |
|-----|---------------------------------------|------------|---|--|
| 101 | SendingInstitutionWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 102 | SendingInstitutionWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 103 | StructuredDealIdentifier | string50 | Identifier of the swap with which this transaction is associated. | |
| 104 | ThirdPartyTransactionIndicator | string1 | Indicator that this is a third party transaction. | |
| 105 | TransactionAmount | decimal20 | Transaction amount in base currency. The standard currency is configured and stored externally. | |
| 106 | TransactionEntrySystemLogonIdentifier | string50 | System logon used by the individual at the client who entered this transaction. If this transaction is entered through an automated channel, this field contains the system logon associated with that channel. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|-----|--------------------------------|----------|--|--|
| 107 | TransactionEntryUserIdentifier | string50 | Individual at the client who entered this transaction. This field should not have a value if the transaction was performed through an automated channel or if it was not originated at the client. | |
| 108 | TransactionExecutionDate | Date | Date of execution for this transaction. | |
| 109 | TransactionExecutionDate-UTC | Date | UTD date of execution for a specific transaction that corresponds to the transaction execution UTC time. | |
| 110 | TransactionExecutionTime | string9 | Time at which this transaction was conducted. | |
| 111 | TransactionExecutionTime-UTC | string9 | Time in UTC at which this transaction was conducted. | |
| 112 | TransactionExecutionTimeOffset | string6 | Number of hours offset from local to UTC for execution time. | |
| 113 | TransactionReferenceIdentifier | string50 | Customer-provided internal transaction identifier that represents the reference identifier in the source data table. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|-----|------------------------|-----------|--|--|
| 114 | TransactionType1 | string20 | Customer-provided code that represents the transaction type. This is generally the highest categorization level. | |
| 115 | TransactionType2 | string20 | Customer-provided code that represents the transaction type. This is generally the highest categorization level. | |
| 116 | TransactionType3 | string20 | Customer-provided code that represents the transaction type. This is generally the highest categorization level. | |
| 117 | TransactionType4 | string20 | Customer-provided code that represents the transaction type. This is generally the highest categorization level. | |
| 118 | TrustedTransactionFlag | string1 | Indicator that this is a transaction involving trusted pairs. | |
| 119 | UnitQuantity | decimal20 | Total number of units (for example, shares or contracts) of the specified security being transferred via this transaction. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|-----|--------------------------------------|-----------|---|--|
| 120 | UnknownBeneficiaryIndicator | string1 | Indicator of whether a beneficiary is known or unknown. | |
| 121 | UnknownOriginatorIndicator | string1 | Indicator whether an originator is known or unknown. | |
| 122 | UnknownSecondaryBeneficiaryIndicator | string20 | Indicator of whether the secondary beneficiary is known or unknown. | |
| 123 | UnknownSecondaryOriginatorIndicator | string1 | Indicator of whether the secondary originator is known. | |
| 124 | UnrelatedPartyIndicator | string1 | Indicator of whether known relationships exist between internal accounts. | |
| 125 | Custom1Date | Date | Date field that is available for use at the client's discretion. | |
| 126 | Custom2Date | Date | Date field that is available for use at the client's discretion. | |
| 127 | Custom3Date | Date | Date field that is available for use at the client's discretion. | |
| 128 | Custom1Real | decimal20 | Number field that is available for use at the client's discretion. | |
| 129 | Custom2Real | decimal20 | Number field that is available for use at the client's discretion. | |

Table 13. WireTransaction Element (Continued)

| | | | | |
|-----|------------------------------|--------------------|--|--|
| 130 | Custom3Real | decimal20 | Number field that is available for use at the client's discretion. | |
| 131 | Custom1Text | string255 | Text field that is available for use at the client's discretion. | |
| 132 | Custom2Text | string255 | Text field that is available for use at the client's discretion. | |
| 133 | Custom3Text | string255 | Text field that is available for use at the client's discretion. | |
| 134 | Custom4Text | string255 | Text field that is available for use at the client's discretion. | |
| 135 | Custom5Text | string255 | Text field that is available for use at the client's discretion. | |
| 136 | SourceSystem | string3 | Code that identifies the source system or product for the transaction. | |
| 137 | ProcessingBatch | string20 | Ingestion batch which processed this data record. | |
| 138 | SubmissionDate | Date | Business date for which the data record is provided. | |
| 139 | AdditionalTransactionDetails | TransactionDetails | | |

Table 14. BackOfficeTransaction Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--------------------------------------|-----------|---|-------------|
| 1 | RRSBackOfficeTransactionIdentifier | Integer22 | Identifier for this back office transaction data record | |
| 2 | AccountIdentifier | string50 | Identifier of the principal account involved in this transaction. | |
| 3 | AccountingRule | string1 | Manner in which the cash or security involved in this transaction is held in the account (for example, on a cash basis, on margin, or as a short position). | |
| 4 | AcctOffsetAcctFlag | string1 | Indicator of a trusted relationship between parties in this combination of roles. | |
| 5 | As-OfDate | Date | Effective date for this transaction. This differs from the execution date only when the transaction is entered retroactively. | |
| 6 | BankcardIdentifier | Integer20 | Identifier of the bankcard utilized in this access event | |
| 7 | CanceledPairingTransactionIdentifier | string50 | For canceling and canceled transactions, identifies the counterpart transaction. For canceled transactions, identifies the transaction that canceled this transaction. For canceling transactions, identifies the transaction that is being canceled. | |
| 8 | CancelingIndicator | string1 | Indicator of whether this transaction cancels another transaction. | |
| 9 | ChannelRisk | Integer3 | Level of risk associated with the channel used in this transaction. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|----|---------------------------------|-----------|--|--|
| 10 | CreditDebitCode | string1 | Indicator of whether assets are being transferred into (credit) or out of (debit) this account by this transaction. | |
| 11 | ExecutionDate | Date | Date on which this transaction was concluded. | |
| 12 | ExecutionDate-UTC | Date | Date of execution that corresponds to the UTC Time for a specific transaction. | |
| 13 | ExecutionTime | string9 | Time at which this transaction was concluded. | |
| 14 | ExecutionTime-UTC | string9 | Time in UTC of execution for a specific transaction. | |
| 15 | ExecutionTimeOffset | string6 | Number of hours offset from local to UTC for execution time. | |
| 16 | FixingDate | Date | For a floating payment, the date upon which the rate to be paid is fixed. Typically, this occurs two days prior to the payment date. | |
| 17 | IncomeComponentAmount-Base | decimal20 | Monetary amount in base currency being transferred to or from the income holdings within this account via this transaction. This field applies only to accounts with segregated holdings of principal and income. | |
| 18 | IncomeComponentAmount-Reporting | decimal20 | Monetary amount in reporting currency being transferred to or from the income holdings within this account via this transaction. This field applies only to accounts with segregated holdings of principal and income. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|----|-------------------------------|-----------|--|---|
| 19 | InitiatingRole | string1 | Identifier of whether transaction originated as a request from the debited account or credited account | D: The party in the debiting role initiated the transaction C: The party in the crediting role initiated the transaction |
| 20 | RRSStructuredDealIdentifier | Integer22 | Identifier for this deal record | |
| 21 | RRSTransactionAdjustmentCode | string20 | Type of adjustment being made to this transaction. | |
| 22 | RRSTransactionAssetClass | string20 | Class of asset involved in this transaction. | |
| 23 | RRSTransactionChannel | string20 | Channel used to initiate this transaction. | |
| 24 | RRSTransactionChannelDetail1 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 25 | RRSTransactionChannelDetail2 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 26 | RRSTransactionChannelDetail3 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 27 | RRSTransactionChannelDetail4 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 28 | RRSTransactionChannelDetail5 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 29 | RRSTransactionChannelDetail6 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 30 | RRSTransactionChannelDetail7 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 31 | RRSTransactionChannelDetail8 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 32 | RRSTransactionChannelDetail9 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 33 | RRSTransactionChannelDetail10 | string250 | Detail regarding the channel used to initiate this transaction. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|----|--------------------------------------|-----------|--|--|
| 34 | RRSTransactionChannelGeoLocation | string80 | Geo location associated with the transaction channel used to initiate this transaction. | |
| 35 | RRSTransactionChannelLocationAddress | string350 | Location address associated with the transaction channel used to initiate this transaction. | |
| 36 | RRSTransactionChannelLocationId | string50 | Location identifier associated with the transaction channel used to initiate this transaction. | |
| 37 | RRSTransactionChannelLocationName | string350 | Location name associated with the transaction channel used to initiate this transaction. | |
| 38 | RRSTransactionChannelLocationType | string20 | Client-specified location type associated with the transaction channel used to initiate this event. | |
| 39 | RRSTransactionChannelRisk | Integer3 | Client-specified level of risk associated with the transaction channel through which this transaction was initiated. | |
| 40 | RRSTransactionProductSubtype | string30 | Allows for specification of transaction product subtypes associated with the provided transaction product types | |
| 41 | RRSTransactionProductType | string30 | Financial product involved in this transaction. | |
| 42 | RRSTransactionPurpose | string20 | Purpose of this transaction. | |
| 43 | OffsetAccountEffectiveRisk | Integer3 | Level of risk associated with the offset account as determined in large part by membership on one or more watch lists. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|----|----------------------------------|------------|---|--|
| 44 | OffsetAccountEffectiveRiskFactor | string50 | Property or association of the offset account driving the offset account effective risk. | |
| 45 | OffsetAccountIdentifier | string50 | For book transfers between accounts at the client, identifier of the account on the contra side of this transaction. This should not be a general ledger/holding account used to facilitate the transfer, but rather the ultimate source account (for credits) or destination account (for debits) of the funds or securities involved in this transaction. | |
| 46 | OffsetAccountWatchListIdentifier | string3 | Unique identifier that describes a source of Watch List data. | |
| 47 | OffsetAccountWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 48 | OffsetAccountingRule | string1 | Manner in which the cash or security involved in this transaction is held in the offset account (for example, on a cash basis, on margin, or as a short position). | |
| 49 | PaymentInterestRate | decimal20 | Interest rate paid on this transaction. This transaction must be associated with a swap. | |
| 50 | PaymentInterestRateType | string3 | Type of interest rate paid on this transaction (for example, fixed or floating). This transaction must be associated with a swap. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|----|------------------------------------|-----------|---|--|
| 51 | PhysicalDeliveryAddress | string255 | If this transaction involves the physical delivery of securities, identifies the address of the destination financial institution. | |
| 52 | PostingDate | Date | Date on which this transaction was posted to this account in the records. | |
| 53 | PostingDate-UTC | Date | Date on which a transaction was posted to a customer account (including positions and balances data) that corresponds to the posting UTC time. | |
| 54 | PostingTime | string9 | Time at which this transaction was posted to this account in the records. | |
| 55 | PostingTime-UTC | string9 | Time in UTC at which a transaction was posted to a customer account, including positions and balances data. | |
| 56 | PostingTimeOffset | string6 | Number of hours offset from local to UTC for posting time. | |
| 57 | PrincipalComponentAmount-Base | decimal20 | Monetary amount in base currency being transferred to or from the principal holdings within this account via this transaction. This field applies only to accounts with segregated holdings of principal and income. | |
| 58 | PrincipalComponentAmount-Reporting | decimal20 | Monetary amount in reporting currency being transferred to or from the principal holdings within this account via this transaction. This field applies only to accounts with segregated holdings of principal and income. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|----|-------------------------------|----------|---|--|
| 59 | ProductCategory | string4 | Highest and most general classification for the security associated with this transaction. | |
| 60 | ProductRisk | Integer3 | Identifier of the level of risk associated with the client's product that was involved in this transaction. | |
| 61 | ProductSubtype | string20 | Subtype classification for the security associated with this transaction. | |
| 62 | ProductType | string20 | Type within the high-level product category for the security associated with this transaction. | |
| 63 | RebookedTransactionIdentifier | string50 | For rebooking transactions, contains the transaction reference identifier of the original transaction that is being corrected. | |
| 64 | RecurringTransactionIndicator | string1 | Indicator of whether this is a scheduled recurring transaction (for example, scheduled bill payment or mutual fund recurring purchase). | |
| 65 | ReportingCurrency | string3 | Currency in which statements for the associated account are denominated. | |
| 66 | RestrictedSecurityIndicator | string1 | Indicator of whether the security involved in this transaction is under trading restrictions. | |
| 67 | SecurityIdentifier | string50 | Identifier (if applicable) of the security involved in this transaction. | |
| 68 | SecurityRegistrationName | string50 | If this transaction involves the physical delivery of securities, identifies the full name of the owner delivering the securities. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|----|-------------------------------|-----------|---|--|
| 69 | StatementSuppressionIndicator | string1 | Indicator of whether this transaction is suppressed from appearing on the customer's statement. | |
| 70 | StructuredDealIdentifier | string50 | For transactions that are part of the fulfillment of a structured deal, the identifier of that structured deal. | |
| 71 | TaxWithholdingCode | string3 | For credit transactions, indicates whether taxes are to be withheld. | |
| 72 | TransactionActivityRisk | Integer3 | Level of risk associated with the activity for this transaction, based on geography risk, channel risk, product risk, and effective risk of the offset account. | |
| 73 | TransactionAmount-Activity | decimal20 | Monetary value in activity currency of the funds or securities transferred via this transaction. For issue cashiering, the value can be calculated from the security's closing price or its price at the time of this transaction. | |
| 74 | TransactionAmount-Base | decimal20 | Monetary value in base currency of the funds or securities transferred via this transaction. For issue cashiering, the value can be calculated from the security's closing price or its price at the time of this transaction. | |
| 75 | TransactionAmount-Reporting | decimal20 | Monetary value in reporting currency of the funds or securities transferred via this transaction. For issue cashiering, the value can be calculated from the security's closing price or its price at the time of this transaction. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|----|---------------------------------------|-----------|---|--|
| 76 | TransactionDescription | string700 | Free-text description of this transaction. | |
| 77 | TransactionEntityRisk | Integer3 | Level of risk associated with account on this transaction, based on the effective risk of the entity. | |
| 78 | TransactionEntityRiskFactor | string50 | Property or association of the entity driving the entity risk. | |
| 79 | TransactionEntrySystemLogonIdentifier | string50 | System logon used by the individual at the client who entered this transaction. If this transaction is entered through an automated channel, this field contains the system logon associated with that channel. | |
| 80 | TransactionEntryTerminalIdentifier | string40 | Terminal used to enter this transaction. | |
| 81 | TransactionEntryUserIdentifier | string50 | Individual who entered this transaction. This field should not have a value if the transaction was performed through an automated channel. | |
| 82 | TransactionReferenceIdentifier | string50 | Identifier that uniquely identifies this transaction. | |
| 83 | TransactionType1Code | string20 | Identifies the type of this transaction. | |
| 84 | TransactionType2Code | string20 | Identifies the type of this transaction. | |
| 85 | TransactionType3Code | string20 | Identifies the type of this transaction. | |
| 86 | TransactionType4Code | string20 | Identifies the type of this transaction. | |
| 87 | TransactionWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|-----|-------------------------------|------------|--|--|
| 88 | TransactionWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 89 | TrustedTransactionFlag | string1 | Indicator that this is a transaction involving trusted pairs. | |
| 90 | UnitQuantity | decimal20 | Total number of units (for example, shares or contracts) of the specified security being transferred via this transaction. | |
| 91 | UnrelatedPartyCode | string2 | Indicator of whether this transaction is to or from an unrelated party. The value can be used to convey the basis by which this determination was made (for example, address matching or name matching). | |
| 92 | Custom1Date | Date | Custom date field | |
| 93 | Custom1Real | decimal20 | Custom number field | |
| 94 | Custom1Text | string255 | Custom text field | |
| 95 | Custom2Date | Date | Custom date field | |
| 96 | Custom2Real | decimal20 | Custom number field | |
| 97 | Custom2Text | string255 | Custom text field | |
| 98 | Custom3Date | Date | Custom date field | |
| 99 | Custom3Real | decimal20 | Custom number field | |
| 100 | Custom3Text | string255 | Custom text field | |

Table 14. BackOfficeTransaction Element (Continued)

| | | | | |
|-----|------------------------------|--------------------|---|--|
| 101 | Custom4Text | string255 | Custom text field | |
| 102 | Custom5Text | string255 | Custom text field | |
| 103 | SourceSystem | string3 | Source system from which this data content is extracted. | |
| 104 | ProcessingBatch | string20 | Ingestion batch in which this data record is processed. | |
| 105 | SubmissionDate | Date | Business date for which the data record was created. | |
| 106 | AdditionalTransactionDetails | TransactionDetails | Additional transaction details. Refer to TransactionDetails for more details. | |

Table 15. Insurance Transaction Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|---|-----------|---|-------------|
| 1 | RRSInsuranceTransactionIdentifier | Integer22 | OFSRR specific identifier for this insurance transaction data record. | |
| 2 | InsuranceTransactionReferenceIdentifier | string50 | Transaction identifier | |
| 3 | InsurancePolicyIdentifier | string50 | Identifier of the insurance policy involved in this transaction. | |
| 4 | RRSTransactionAssetClass | string20 | Class of asset involved in this transaction. | |
| 5 | RRSFundMovementMechanism | string30 | Mechanism use to move the funds in this transaction. | |
| 6 | RRSTransactionPurpose | string20 | Purpose of this transaction. | |
| 7 | RRSTransactionAdjustmentCode | string10 | Type of adjustment being made to this transaction. | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|-----------------------|----------|--|--|
| 8 | RRSTransactionChannel | string20 | Channel used to initiate this transaction. | |
| 9 | TransactionType1Code | string20 | Identifies the type of this transaction | |
| 10 | TransactionType2Code | string20 | Identifies the type of this transaction. | |
| 11 | TransactionType3Code | string20 | Identifies the type of this transaction. | |
| 12 | TransactionType4Code | string20 | Identifies the type of this transaction. | |
| 13 | TransactionDate | Date | Date for this transaction. | |
| 14 | TransactionTime | string9 | Time of this transaction | |
| 15 | TransactionDate-UTC | Date | Date of this transaction that corresponds to the transaction time – UTC. | |
| 16 | TransactionTime-UTC | string9 | Time of this transaction in UTC. | |
| 17 | TransactionTimeOffset | string6 | Number of hours offset from local to UTC for transaction time. | |
| 18 | PostingDate | Date | Date on which this transaction was posted to this policy in the records. | |
| 19 | PostingTime | string9 | Time at which this transaction was posted to this policy in the records. | |
| 20 | PostingDate-UTC | Date | Date on which a transaction was posted to a policy that corresponds to the posting time – UTC. | |
| 21 | PostingTime-UTC | string9 | Time in UTC at which a transaction was posted to this policy. | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|-----------------------------|-----------|--|--|
| 22 | PostingTimeOffset | string6 | Number of hours offset from local to UTC for posting time. | |
| 23 | AsOfDate | Date | Effective date for this transaction. This differs from the transaction date only when the transaction is entered retroactively. | |
| 24 | AsOfTime | string9 | Effective time of this transaction. This will be different from the transaction time only when the transaction is entered retroactively. | |
| 25 | AsOfDate-UTC | Date | Effective date for this transaction that corresponds to the as of time – UTC. | |
| 26 | AsOfTime-UTC | string9 | Time in UTC that this transaction is effective for this policy. | |
| 27 | AsOfTimeOffset | string6 | Number of hours offset from local to UTC for as of time. | |
| 28 | TransactionAmount-Base | decimal20 | Monetary value in base currency of the funds involved in this transaction. | |
| 29 | TransactionAmount-Reporting | decimal20 | Monetary value in reporting currency of the funds involved this transaction. | |
| 30 | ReportingCurrency | string3 | Currency in which statements for the associated policy are denominated. | |
| 31 | TransactionDescription | string700 | Free-text description of this transaction. | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|--|-----------|---|--|
| 32 | CreditDebitCode | string1 | Indicator of whether assets are being transferred into (credit) or out of (debit) this policy by this transaction. | |
| 33 | ReplacedTransactionIdentifier | string50 | For Full Replace/Cancel transaction events, contains the transaction reference identifier of the original transaction that is being cancelled. For cancel/delete transaction events, contains the transaction reference identifier of the original transaction that is being deleted. | |
| 34 | RecurringTransactionIndicator | string1 | Indicator of whether this is a scheduled recurring transaction (for example, scheduled premium payment). | |
| 35 | CounterPartyName | string350 | Name of the counter party exactly as it appears on this transaction. | |
| 36 | CounterPartyIdentifier | string50 | Identifier for the counter party on this transaction. | |
| 37 | CounterPartyIdentifierType | string20 | Type of counter party identifier provided for this party. | |
| 38 | CounterPartyFinancialInstitutionIdentifier | string50 | Identifier for the financial institution associated with the counter party on this transaction. This value might be a financial institution identifier (for example, ABA number or BIC) or other standard industry identifier (for example, TIN or account number). | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|--|----------|---|--|
| 39 | CounterPartyFinancialInstitutionIdentifierType | string20 | Identifier of the type of counter party financial institution identifier provided for this counter party. | |
| 40 | PostalCode | string20 | Postal code component of the address associated with this party. | |
| 41 | StateorProvince | string20 | State or province component of the address associated with this party. | |
| 42 | StreetLine1 | string60 | First line of the street component of the address associated with this party. | |
| 43 | StreetLine2 | string60 | Second line of the street component of the address associated with this party. | |
| 44 | StreetLine3 | string60 | Third line of the street component of the address associated with this party. | |
| 45 | StreetLine4 | string60 | Fourth line of the street component of the address associated with this party. | |
| 46 | StreetLine5 | string60 | Fifth line of the street component of the address associated with this party. | |
| 47 | StreetLine6 | string60 | Sixth line of the street component of the address associated with this party. | |
| 48 | Custom1Date | Date | Custom date field | |
| 49 | Custom2Date | Date | Custom date field | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|-------------------------|-----------|---|--|
| 50 | Custom3Date | Date | Custom date field | |
| 51 | Custom1Real | decimal20 | Custom number field | |
| 52 | Custom2Real | decimal20 | Custom number field | |
| 53 | Custom3Real | decimal20 | Custom number field | |
| 54 | Custom1Text | string255 | Custom text field | |
| 55 | Custom2Text | string255 | Custom text field | |
| 56 | Custom3Text | string255 | Custom text field | |
| 57 | Custom4Text | string255 | Custom text field | |
| 58 | Custom5Text | string255 | Custom text field | |
| 59 | ChannelRisk | Integer3 | Level of risk associated with the channel used in this transaction. | |
| 60 | ProductRisk | Integer3 | Identifier of the level of risk associated with the insurance product that was involved in this transaction. | |
| 61 | TransactionActivityRisk | Integer3 | Level of risk associated with the activity for this transaction, based on geography risk, channel risk, and product risk. | |
| 62 | TransactionEntityRisk | Integer3 | Level of risk associated with account on this transaction, based on the effective risk of the entity. | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|--|------------|---|--|
| 63 | TransactionEntityWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 64 | TransactionEntityWatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 65 | SourceSystem | string3 | Source system from which this data content is extracted. | |
| 66 | ProcessingBatch | string20 | Ingestion batch in which this data record is processed. | |
| 67 | SubmissionDate | Date | Business date for which the data record was created. | |
| 68 | City | string50 | City component of the address associated with the counter party | |
| 69 | Country | string3 | Country component of the address associated with the counter party. | |
| 70 | RRSInstitutionAddressIdentifier | Integer22 | Identifier for this institution address. | |
| 71 | RRSInstitutionIdentifier | Integer22 | Identifier for this financial institution. | |
| 72 | TransactionActivityRiskFactor | string50 | Property or association of the entity driving the activity risk. | |
| 73 | TransactionActivityWatchListIdentifier | string3 | Unique identifier that describes a source of watch list data. | |
| 74 | TransactionActivityWatchListMatchText | string350 | Text of the identifier or name associated with the watch list record that was used to populate entity risk. | |
| 75 | CounterPartyDerivedEntityIdentifier | Integer22 | Identifier for the derived entity acting as counter party on this transaction | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|-------------------------------------|-----------|---|--|
| 76 | TrustedTransactionFlag | string1 | indicator that this is a transaction involving trusted pairs. | |
| 77 | InsurancePolicyIDCounterpartyIDFlag | string1 | Indicator of a trusted relationship between parties in this combination of roles. | |
| 78 | RRSTransactionChannelDetail1 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 79 | RRSTransactionChannelDetail2 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 80 | RRSTransactionChannelDetail3 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 81 | RRSTransactionChannelDetail4 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 82 | RRSTransactionChannelDetail5 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 83 | RRSTransactionChannelDetail6 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 84 | RRSTransactionChannelDetail7 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 85 | RRSTransactionChannelDetail8 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 86 | RRSTransactionChannelDetail9 | string250 | Detail regarding the channel used to initiate this transaction. | |
| 87 | RRSTransactionChannelDetail10 | string250 | Detail regarding the channel used to initiate this transaction. | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|---------------------------------------|-----------|---|--|
| 88 | RRSTransactionChannelRisk | Integer3 | Client-specified level of risk associated with the transaction channel through which this transaction was initiated. | |
| 89 | RRSTransactionChannelGeoLocation | string80 | Geo location associated with the transaction channel used to initiate this transaction. | |
| 90 | RRSTransactionChannelLocationType | string20 | Client-specified location type associated with the transaction channel used to initiate this event. | |
| 91 | RRSTransactionChannelLocationId | string50 | Location identifier associated with the transaction channel used to initiate this transaction. | |
| 92 | RRSTransactionChannelLocationName | string350 | Location name associated with the transaction channel used to initiate this transaction. | |
| 93 | RRSTransactionChannelLocationAddress | string350 | Location address associated with the transaction channel used to initiate this transaction. | |
| 94 | BankcardIdentifier | Integer20 | Identifier of the bankcard utilized in this access event. | |
| 95 | TransactionEntrySystemLogonIdentifier | string50 | System logon used by the individual at the client who entered this transaction. If this transaction is entered through an automated channel, this field contains the system logon associated with that channel. | |

Table 15. Insurance Transaction Element (Continued)

| | | | | |
|----|--------------------------------|--------------------|--|--|
| 96 | TransactionEntryUserIdentifier | string50 | Individual who entered this transaction. This field should not have a value if the transaction was performed through an automated channel. | |
| 97 | InitiatingRole | string1 | Identifier of whether transaction originated as a request from the debited account or credited account. | |
| 98 | AdditionalTransactionDetails | TransactionDetails | Additional transaction details. Refer to TransactionDetails for more details. | |

Table 16. DerivedEntity Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|----------------------------|------------|--|-------------|
| 1 | RRSDerivedEntityIdentifier | Integer22 | OFSRR-specific identifier for this derived entity data record. | |
| 2 | DerivedEntityName | string350 | Name of the derived entity. | |
| 3 | DerivedEntityIdentifier | string50 | Identifier for the derived entity. | |
| 4 | DerivedEntityType | string20 | Type of identifier given in the derived entity identifier column. | |
| 5 | EffectiveRisk | Integer3 | Level of risk associated with this derived entity as determined in large part by membership on one or more watch lists. | |
| 6 | LastUpdateDate | Date | Business date for which the data record was last updated. | |
| 7 | SubmissionDate | Date | Business date for which the data record was created. | |
| 8 | InstitutionCountryCode | string3 | Country code associated with the related institution when one is identified for this derived entity. | |
| 9 | WatchListIdentifier | string3 | Identifier of the watch list that was used to populate list risk for this derived entity. | |
| 10 | WatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate list risk for this derived entity. | |
| 11 | WatchListMatchType | string3 | Type of entity in the watch list match text. | |
| 12 | LastProcessingBatch | string20 | Ingestion batch in which this data record was last processed. | |
| 13 | WatchListRisk | Integer3 | Identifier of the level of risk associated with this derived entity on the watch list record that established the derived entity effective risk. | |

Table 16. DerivedEntity Element (Continued)

| | | | | |
|----|----------------|----------|---|--|
| 14 | Jurisdiction | string4 | Jurisdiction associated with this derived entity. | |
| 15 | BusinessDomain | string65 | Derived entity's business domain(s). | |

Table 17. DerivedAddress Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|-----------------------------|-----------|--|-------------|
| 1 | RRSDerivedAddressIdentifier | Integer22 | OFSRR-specific identifier for this derived address data record. This represents a specific address master record. | |
| 2 | Address | string255 | Street address | |
| 3 | City | string50 | City component of the mailing address. | |
| 4 | State | string20 | State component of the mailing address. | |
| 5 | PostalCode | string20 | Postal zip code of the mailing address. | |
| 6 | Country | string3 | Country code of the mailing address. | |
| 7 | EffectiveRisk | Integer3 | Level of risk associated with this derived address as determined in large part by a section of the address that matches an entry on one or more watch lists. | |
| 8 | WatchListIdentifier | string3 | Identifier of the watch list record that was used to populate list risk for this derived address. | |
| 9 | WatchListMatchType | string3 | Text of the identifier or name associated with the watch list record that was used to populate list risk for this account. | |
| 10 | LastUpdateDate | Date | Business date for which the data record was last updated. | |
| 11 | AddressLine1 | string60 | First line of the address. | |
| 12 | AddressLine2 | string60 | Second line of the address. | |

Table 17. DerivedAddress Element (Continued)

| | | | | |
|----|---------------------|------------|--|--|
| 13 | AddressLine3 | string60 | Third line of the address. | |
| 14 | AddressLine4 | string60 | Fourth line of the address. | |
| 15 | AddressLine5 | string60 | Fifth line of the address. | |
| 16 | AddressLine6 | string60 | Sixth line of the address. | |
| 17 | SubmissionDate | Date | Business date for which the data record was submitted. | |
| 18 | LastProcessingBatch | string20 | Ingestion batch in which this data record was last processed. | |
| 19 | WatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate list risk for this account. | |
| 20 | WatchListRisk | Integer3 | Identifier of the level of risk associated with this derived address on the watch list record that established the derived address effective risk. | |
| 21 | Jurisdiction | string4 | Jurisdiction associated with this Derived Entity. | |
| 22 | BusinessDomain | string65 | Derived Entity's business domain(s). | |
| 23 | RRSFocusIndicator | string1 | Indicator of whether the derived address is complete enough to be considered for the focal entity of an alert. | |

Table 18. CorrespondentBank Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--|-----------|--|-------------|
| 1 | RRSCorrespondentBankSequenceIdentifier | Integer22 | OFSRR-specific identifier for this financial institution | |
| 2 | SubmissionDate | Date | Business date for which the data record was created. | |

Table 18. CorrespondentBank Element (Continued)

| | | | | |
|----|---------------------|------------|---|--|
| 3 | EffectiveRisk | Integer3 | Level of risk associated with this correspondent bank as determined in large part by membership on one or more watch lists. | |
| 4 | WatchListIdentifier | string3 | Unique code that describes a source of watch list data | |
| 5 | WatchListMatchText | string2000 | Text of the identifier or name associated with the watch list record that was used to populate watch list risk for this customer. | |
| 6 | BusinessUnit | string20 | Business unit code to which this correspondent bank belongs. | |
| 7 | AccountManagerName | string20 | Business unit code to which this correspondent bank belongs. | |
| 8 | LastUpdateDate | Date | Business date on which the data record was last updated. | |
| 9 | WatchListRisk | Integer3 | Identifier of the level of risk associated with the correspondent bank determined by membership on one or more watch lists. | |
| 10 | WatchListMatchType | string3 | Type of entity in the watch list match text. | |
| 11 | LastProcessingBatch | string20 | Ingestion batch in which data record was last processed | |
| 12 | Jurisdiction | string4 | Jurisdiction associated with this correspondent bank. | |
| 13 | BusinessDomain | string65 | Correspondent bank's business domain(s). | |

Table 19. LossRecoverySummary Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|-----------|-----------|------------|-------------|
| 1 | ReviewId | Integer10 | | |

Table 19. LossRecoverySummary Element (Continued)

| | | | | |
|----|-------------------------------------|-----------|--|--|
| 2 | LossRecoveryCostCenterSeqId | Integer10 | | |
| 3 | LossRecoveryCostCenterVersionNumber | Integer10 | | |
| 4 | PrimaryGIAccountInternalId | string50 | | |
| 5 | OffsetAccountInternalId | string50 | | |
| 6 | PrimaryCostCenterId | string10 | | |
| 7 | OffsetCostCenterId | string10 | | |
| 8 | ChargeOffDate | Date | | |
| 9 | LossRecoveryCostCenterStatusCode | string20 | | |
| 10 | TotalPotentialLossAmount | decimal20 | | |
| 11 | TotalAvertedLossAmount | decimal20 | | |
| 12 | TotalLossRecoveryAmount | decimal20 | | |
| 13 | TotalNetLossAmount | decimal20 | | |
| 14 | LastUpdateDate | Date | | |
| 15 | LastCreateId | string255 | | |

Table 20. FinancialInstitution Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|------------------------------------|-----------|--|-------------|
| 1 | RRSFinancialInstitutionIdentifier | Integer22 | OFSRR-specific identifier for this financial institution. | |
| 2 | FinancialInstitutionIdentifier | string50 | External financial institution ID (such as ABA number or BIC). | |
| 3 | FinancialInstitutionIdentifierType | string20 | Type of external financial institution ID represented in Institution Identifier. | |
| 4 | FinancialInstitutionName | string105 | Name of the financial institution. | |

Table 20. FinancialInstitution Element (Continued)

| | | | | |
|----|---|-------------|---|--|
| 5 | FinancialInstitutionCountry | string3 | Country code where the financial institution's HQ resides. | |
| 6 | LargeFinancialInstitutionIndicator | string1 | Flag that indicates whether this financial Institution is a large financial institution. (Exclusionary flag). | |
| 7 | FinancialInstitutionToEnterpriseIndicator | string1 | Flag that indicates whether the financial institution belongs to the enterprise. | |
| 8 | Address | string255 | Address text. | |
| 9 | City | string50 | City component of the mailing address. | |
| 10 | State | string20 | State component of the mailing address. | |
| 11 | Country | string3 | Country code of the mailing address. | |
| 12 | ZipCode | string20 | Zip code component of the address associated. | |
| 13 | SubmissionDate | Date | Business date for which the data record is created | |
| 14 | ProcessingBatch | string20 | Ingestion batch in which this data record is processed. | |
| 15 | SourceSystem | string3 | Source system from which the data has been extracted. | |
| 16 | SupervisorCode | string255 | Supervisor's code. | |
| 17 | BranchBIK | string9 | BIK of the bank. | |
| 18 | BranchOKATO | string2 | OKATO of the bank. | |
| 19 | BankRegistrationNumber | string4 | Banks registration number. | |
| 20 | AddressOfFinInst | AddressType | Address of the Financial Institution. | |
| 21 | EIN | string9 | EIN if the Financial institution. | |
| 22 | PrimaryFederalRegulator | Integer10 | Primary Federal Regulator. | |
| 23 | ReportingBranchDetails | BranchType | Details of the reporting branch. | |

Table 20. FinancialInstitution Element (Continued)

| | | | | |
|----|--------------------|-------------|--|--|
| 24 | MultipleBranches | string1 | Flag to indicate if multiple branches are reported. | |
| 25 | ContactInfoDetails | ContactType | Contact details. Refer to ContactInfoDetails for more information. | |

Table 21. TransactionDetails Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--|------------|--|-------------|
| 1 | LossAmount | decimal20 | Loss Amount. | |
| 2 | RecoveryAmount | decimal20 | Recovery Amount. | |
| 3 | BondingCompanyNotified | string1 | Flag to check if the bonding company is notified. | |
| 4 | MaterialImpact | string1 | Flag to check if there was a material impact. | |
| 5 | PersonContactedatLawEnforcementAgency | NameType | Name of the person contacted at the law enforcement agency. | |
| 6 | PhoneOfPersonContactedatLawEnforcementAgency | PhoneType | Phone details of the person contacted at the law enforcement agency. | |
| 7 | LawAgenciesContacted | string10 | Details of the law agencies contacted. | |
| 8 | SuspiciousActivityCharacteristic_Groundsfor_Suspicion_Reason | string30 | Reason for suspicion. | |
| 9 | Description_of_Suspected_Criminal_Activity_Elaboration | string4000 | Description of the suspected criminal activity. | |
| 10 | AttemptedButNotCompletedTheTransaction | string1 | Flag to check if the transaction was completed or not. | |
| 11 | Frequency | string10 | Frequency of the transaction. | |
| 12 | PrimaryAccount | string1 | Flag to check if this is a primary account. | |

Table 21. TransactionDetails Element (Continued)

| | | | | |
|----|----------------------------------|----------------|--|--|
| 13 | SignatoryDetails | SignatoryType | Details of the Signatory. Refer to SignatoryType for more details. | |
| 14 | Introducer_GuarantorDetails | IntroducerType | Details of the Introducer/Guarantor. Refer to IntroducerType for more details. | |
| 15 | TransactionNumber | string50 | Transaction number. | |
| 16 | InternalRefNumber | string50 | Internal reference number of the transaction. | |
| 17 | TransactionLocation | string255 | Location where transaction occurred. | |
| 18 | TransactionDescription | string4000 | Description of the transaction. | |
| 19 | Teller | string20 | Teller information. | |
| 20 | Authorized | string20 | Authorized information. | |
| 21 | LateDeposit | string1 | Flag to check for late deposit. | |
| 22 | DatePosting | Date | Date of posting. | |
| 23 | ValueDate | Date | Value date. | |
| 24 | TransmodeCode | string20 | Transaction mode code. | |
| 25 | TransmodeComment | string50 | Comment on the transaction mode comment. | |
| 26 | FundsCode | string20 | Funds Code. | |
| 27 | FundsComment | string255 | Comment on funds code. | |
| 28 | MonetaryInstrument | string2 | Monetary instrument. | |
| 29 | OperationPeriod | Date | Period of operation. | |
| 30 | DateOfDetection | Date | Date of detection. | |
| 31 | SuspiciousActivityCharacterestic | string30 | Details of the suspicious activity. | |
| 32 | TransactionType | string30 | Type of transaction. | |

Table 22. TransactionGoodsServices Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|------------------------|------------|--|--|
| 1 | ItemType | string255 | Describes the item type. | |
| 2 | ItemMake | string255 | Item maker | |
| 3 | Description | string4000 | Item description | |
| 4 | PreviouslyRegisteredTo | string500 | Name of previous owner. | |
| 5 | PresentlyRegisteredTo | string500 | Name of current owner. | |
| 6 | EstimatedValue | decimal20 | Estimated value of the property. | |
| 7 | StatusCode | string255 | Status of the transaction. | A: Bought B: Sold C: Let D: Hired E: Exchanged F: Donated G: Destroyed H: Other |
| 8 | StatusComments | string500 | Status comments | |
| 9 | DisposedValue | decimal20 | Effective value for property transfer. | |
| 10 | CurrencyCode | string10 | | |
| 11 | Size | decimal20 | Size of the property. | |
| 12 | SizeUom | string250 | Unit of measurement. | |
| 13 | RegistrationDate | Date | Official registration date. | |
| 14 | RegistrationNumber | string500 | Official registration number. | |

Table 22. TransactionGoodsServices Element (Continued)

| | | | | |
|----|----------------------|-------------|--|--|
| 15 | IdentificationNumber | string255 | Any number that can identify the item. | |
| 16 | Comments | string4000 | Additional comments regarding the property transfer. | |
| 17 | Address | AddressType | Address of the property. | |

Table 23. InvolvedPartyDetail Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|--------------------|-----------|-----------------------------------|-------------|
| 1 | NvlvdPartySeqId | Integer10 | Involved Party Sequence ID | |
| 2 | NvlvdPartyVrsnNb | Integer10 | Involved party version number | |
| 3 | NvlvdPartyActiveFl | string1 | Involved party Active flag | |
| 4 | CreatDt | Date | Created date | |
| 5 | CreatId | Integer10 | Created ID | |
| 6 | LockId | Integer10 | Lock ID | |
| 7 | LockTs | Date | Lock date | |
| 8 | PartyIdTypeCd | string20 | Party ID type code | |
| 9 | PartyId | string50 | Party ID | |
| 10 | PartyIdIssngAuthNm | string50 | Party ID issuing authority number | |
| 11 | FirstNm | string30 | First name | |
| 12 | MiddleNm | string30 | Middle name | |
| 13 | LastNm | string30 | Last name | |
| 14 | FullNm | string150 | Full name | |
| 15 | TaxId | string20 | Tax ID | |
| 16 | BirthDt | Date | Date of birth | |
| 17 | OcptnNm | string100 | Occupation name | |
| 18 | AddrStrtTx | string200 | Address street | |
| 19 | AddrCityNm | string50 | City | |
| 20 | AddrStateCd | string20 | State | |
| 21 | AddrPostlCd | string20 | Postal code | |
| 22 | AddrCntryCd | string3 | Country code | |
| 23 | RlshpYrCt | string5 | Relationship year count | |
| 24 | PartyDescNoteld | Integer10 | Party description note ID | |
| 25 | EmpFl | string1 | Employee flag | |
| 26 | LinkedCaseCt | Integer6 | Linked case count | |
| 27 | BusDmnSt | string65 | Business domain street | |

Table 23. InvolvedPartyDetail Element (Continued)

| | | | | |
|----|---------------|----------|-----------------------------|--|
| 28 | HomePhonNb | string25 | Home phone number | |
| 29 | HomePhonExtNb | string5 | Home phone extension number | |
| 30 | WorkPhonNb | string25 | Work phone number | |
| 31 | WorkPhonExtNb | string5 | Work phone extension number | |

Table 24. ReviewInvolvedPartyLink Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|-----------------|-----------|-----------------------------|-------------|
| 1 | ReviewId | Integer10 | Review ID | |
| 2 | NvlvdPartySeqId | Integer10 | Involved party sequence ID | |
| 3 | RlshpVrsnNb | Integer10 | Relationship version number | |
| 4 | RlshpActiveFl | string1 | Relationship active flag | |
| 5 | RlshpTypeCd | string3 | Relationship type code | |
| 6 | CreatId | Integer10 | Created ID | |
| 7 | CreatDt | Date | Created date | |

Table 25. SecurityType Element

| SI No | Attribute | Data Type | Definition | Instruction |
|-------|-----------|-----------|--|-------------|
| 1 | Domain1 | string40 | The Jurisdiction associated with the report. | |
| 2 | Domain2 | string65 | The second security attribute (like Case Type) associated with the report. | |
| 3 | Domain3 | string255 | The third security attribute (like Sub Type) associated with the report. | |
| 4 | Domain4 | string40 | The fourth security attribute (like Business Domain) associated with the report. | |
| 5 | Domain5 | string40 | The fifth security attribute (like Organization) associated with the report. | |

Sample Request XML Structure

The below is a sample request xml structure:

```
<?xml version="1.0" encoding="UTF-8"?>
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<CustomText3>CustomText3</CustomText3>
<CustomText4>CustomText4</CustomText4>
<CustomText5>CustomText5</CustomText5>
<Pattern-Day-TraderIndicator>Pattern-Day-TraderIndicator</Pattern-Day-TraderIndicator>
<DayTradingApprovalStatus>DayTradingApprovalStatus</DayTradingApprovalStatus>
<DayTradingApprovalStatusLastUpdateDate>2001-01-01</DayTradingApprovalStatusLastUpdateDate>
<DayTradingApprovalUserIdentifier>DayTradingApprovalUserIdentifier</DayTradingApprovalUserIdentifier>
<DayTradingApprovalStatusRequestedDate>2001-01-01</DayTradingApprovalStatusRequestedDate>
<SuitabilitySurveillanceLevel>0</SuitabilitySurveillanceLevel>
<AccountReportingCurrency>AccountReportingCurrency</AccountReportingCurrency>
<BranchCode>BranchCode</BranchCode>
<ProcessingBatch>ProcessingBatch</ProcessingBatch>
<InstitutionalParentCustomerIdentifier>InstitutionalParentCustomerIdentifier</InstitutionalParentCustomerIdentifier>
<DVP_RVPIndicator>DVP_RVPIndicator</DVP_RVPIndicator>
<RRSAccountHolderType>RRSAccountHolderType</RRSAccountHolderType>
<RRSBusinessAccountType>RRSBusinessAccountType</RRSBusinessAccountType>
<RRSAccountOwnershipType>RRSAccountOwnershipType</RRSAccountOwnershipType>
<RRS_acct_purp_cd>RRS_acct_purp_cd</RRS_acct_purp_cd>
<RetirementAccountIndicator>RetirementAccountIndicator</RetirementAccountIndicator>
<Jurisdiction>Jurisdiction</Jurisdiction>
<BusinessDomain>BusinessDomain</BusinessDomain>
<HighActivityAccountIndicator>HighActivityAccountIndicator</HighActivityAccountIndicator>
<PrimaryOwnerOrganizationIdentifier>PrimaryOwnerOrganizationIdentifier</PrimaryOwnerOrganizationIdentifier>
```

Sample Request XML Structure

Chapter 2–Web Service – Request Elements

```
<PaymentBasis>PaymentBasis</PaymentBasis>
<CashReportExemptionIndicator>CashReportExemptionIndicator</CashReportExemptionIndicator>
<AccountEffectiveRiskFactor>AccountEffectiveRiskFactor</AccountEffectiveRiskFactor>
<CustomerRiskWatchListIdentifier>CustomerRiskWatchListIdentifier</CustomerRiskWatchListIdentifier>
<ServiceTeamIdentifier>ServiceTeamIdentifier</ServiceTeamIdentifier>
<FeeSchedule>FeeSchedule</FeeSchedule>
<PaymentBasisStartDate>2001-01-01</PaymentBasisStartDate>
<RiskTolerance>RiskTolerance</RiskTolerance>
<PrimaryCustomerAccountPassword>PrimaryCustomerAccountPassword</PrimaryCustomerAccountPassword>
<RRSAccounttoPeerGroupIdentifier>RRSAccounttoPeerGroupIdentifier</RRSAccounttoPeerGroupIdentifier>
<PortfolioManagerIdentifier>PortfolioManagerIdentifier</PortfolioManagerIdentifier>
<HighProfileAccountIndicator>HighProfileAccountIndicator</HighProfileAccountIndicator>
<ProductIdentifier>ProductIdentifier</ProductIdentifier>
<SourceofInitialFunds>SourceofInitialFunds</SourceofInitialFunds>
<MethodofInitialFunds>MethodofInitialFunds</MethodofInitialFunds>
<MethodofAccountOpeninig>MethodofAccountOpeninig</MethodofAccountOpeninig>
<Swift>Swift</Swift>
<NonBankingInstitution>NonBankingInstitution</NonBankingInstitution>
<Iban>Iban</Iban>
<ClientNumber>ClientNumber</ClientNumber>
<Beneficiary>Beneficiary</Beneficiary>
<Signatory>
<CustomerIdentifier>CustomerIdentifier</CustomerIdentifier>
<SubmissionDate>2001-01-01</SubmissionDate>
<RRSCustomerIdentifier>0</RRSCustomerIdentifier>
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<CustomerTypeCode>CustomerTypeCode</CustomerTypeCode>
<CustomerAddDate>2001-01-01</CustomerAddDate>
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<StatedAnnualIncome-Base>0.0</StatedAnnualIncome-Base>
<StatedNetWorth-Base>0.0</StatedNetWorth-Base>
<StatedLiquidNetWorth-Base>0.0</StatedLiquidNetWorth-Base>
<EquityKnowledge>EquityKnowledge</EquityKnowledge>
<FixedIncomeKnowledge>FixedIncomeKnowledge</FixedIncomeKnowledge>
<OptionKnowledge>OptionKnowledge</OptionKnowledge>
<OverallKnowledge>OverallKnowledge</OverallKnowledge>
<OverallExperience>OverallExperience</OverallExperience>
<YearsofEquityExperience>0</YearsofEquityExperience>
<YearsofFixedIncomeExperience>0</YearsofFixedIncomeExperience>
```

```
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<AnnualFixedIncomeTrades>0</AnnualFixedIncomeTrades>
<AnnualOptionTrades>0</AnnualOptionTrades>
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<AverageFixedIncomeTradeAmount-Base>0.0</AverageFixedIncomeTradeAmount-Base>
<AverageOptionTradeAmount-Base>0.0</AverageOptionTradeAmount-Base>
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<SecondaryCitizenship>SecondaryCitizenship</SecondaryCitizenship>
<ResidentCountry>ResidentCountry</ResidentCountry>
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<FinancialInstitutionEmployeeIndicator>FinancialInstitutionEmployeeIndicator</FinancialInst
itutionEmployeeIndicator>
<EmploymentStatus>EmploymentStatus</EmploymentStatus>
<MaritalStatus>MaritalStatus</MaritalStatus>
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<Occupation>Occupation</Occupation>
<OrganizationName>OrganizationName</OrganizationName>
<Age>0</Age>
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<CitizenshipStatus>CitizenshipStatus</CitizenshipStatus>
<WealthSource>WealthSource</WealthSource>
<EmployeeIndicator>EmployeeIndicator</EmployeeIndicator>
<SourceSystem>SourceSystem</SourceSystem>
<OrganizationLegalStructure>OrganizationLegalStructure</OrganizationLegalStructure>
<PasswordLastChangeDate>2001-01-01</PasswordLastChangeDate>
<Alias>Alias</Alias>
<ForeignAssetsIndicator>ForeignAssetsIndicator</ForeignAssetsIndicator>
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<EmployerIndustry>EmployerIndustry</EmployerIndustry>
<JobTitle>JobTitle</JobTitle>
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<CustomDate2>2001-01-01</CustomDate2>
<CustomDate3>2001-01-01</CustomDate3>
<CustomReal1>0.0</CustomReal1>
<CustomReal2>0.0</CustomReal2>
```

```
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<CustomText3>CustomText3</CustomText3>
<TotalNumberOfAccounts>0</TotalNumberOfAccounts>
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<CustomText4>CustomText4</CustomText4>
<CustomText5>CustomText5</CustomText5>
<FinancialInstitutionIdentifierType>FinancialInstitutionIdentifierType</FinancialInstitutionIdentifierType>
<FinancialInstitutionIdentifier>FinancialInstitutionIdentifier</FinancialInstitutionIdentifier>
<RRSFinancialInstitutionIdentifier>0</RRSFinancialInstitutionIdentifier>
<WatchListRisk>0</WatchListRisk>
<WatchListIdentifier>WatchListIdentifier</WatchListIdentifier>
<WatchListMatchText>WatchListMatchText</WatchListMatchText>
<WatchListMatchType>WatchListMatchType</WatchListMatchType>
<Cust_bus_risk_nb>0</Cust_bus_risk_nb>
<GeographyRisk>0</GeographyRisk>
<CustomRisk1>0</CustomRisk1>
<CustomRisk2>0</CustomRisk2>
<DomiciledOrganization>DomiciledOrganization</DomiciledOrganization>
<DayTradingKnowledge>DayTradingKnowledge</DayTradingKnowledge>
<DayTradingExperience>DayTradingExperience</DayTradingExperience>
<StatedAnnualIncome-Reporting>0.0</StatedAnnualIncome-Reporting>
<StatedNetWorth-Reporting>0.0</StatedNetWorth-Reporting>
<StatedLiquidNetWorth-Reporting>0.0</StatedLiquidNetWorth-Reporting>
<ProcessingBatch>ProcessingBatch</ProcessingBatch>
<Jurisdiction>Jurisdiction</Jurisdiction>
<BusinessDomain>BusinessDomain</BusinessDomain>
<ReportingCurrency>ReportingCurrency</ReportingCurrency>
<RRSCustomerBusinessType>RRSCustomerBusinessType</RRSCustomerBusinessType>
<CustomerEffectiveRiskFactor>CustomerEffectiveRiskFactor</CustomerEffectiveRiskFactor>
<CreditRating>CreditRating</CreditRating>
<CreditRatingSource>CreditRatingSource</CreditRatingSource>
<CreditRatingScore>0</CreditRatingScore>
<CustomerPeerGroupIdentifier>CustomerPeerGroupIdentifier</CustomerPeerGroupIdentifier>
<CountryofTaxation>CountryofTaxation</CountryofTaxation>
<Industry>Industry</Industry>
<DateofIncorporation>2001-01-01</DateofIncorporation>
<RegistrationType>RegistrationType</RegistrationType>
<PublicorPrivate>PublicorPrivate</PublicorPrivate>
<AlternateCustomerIdentifier>AlternateCustomerIdentifier</AlternateCustomerIdentifier>
```

```
<CustomerStatus>CustomerStatus</CustomerStatus>
<Birthplace>Birthplace</Birthplace>
<Role>Role</Role>
<MotherMaidenName>
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<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</MotherMaidenName>
<AgentOrRepresentativeName>
<FirstName>FirstName</FirstName>
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</AgentOrRepresentativeName>
<VisaDetails-Number>VisaDetails-Number</VisaDetails-Number>
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<VisaDetails-EndDate>2001-01-01</VisaDetails-EndDate>
<MigrationCardDetails-Number>MigrationCardDetails-Number</MigrationCardDetails-Number>
<MigrationCardDetails-StartDate>2001-01-01</MigrationCardDetails-StartDate>
<MigrationCardDetails-EndDate>2001-01-01</MigrationCardDetails-EndDate>
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<PlaceOfOrgCode>PlaceOfOrgCode</PlaceOfOrgCode>
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<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
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<OtherPreviousName2>
<FirstName>FirstName</FirstName>
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
```

Sample Request XML Structure

Chapter 2—Web Service – Request Elements

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<PrefixName>PrefixName</PrefixName>
</OtherPreviousName2>
<OtherPreviousName3>
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<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</OtherPreviousName3>
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<InsiderRelationship>InsiderRelationship</InsiderRelationship>
<EmploymentStatusCode>EmploymentStatusCode</EmploymentStatusCode>
<Suspension_Termination_ResignationDate>2001-01-01</Suspension_Termination_ResignationDate>
<RelationshipWithFinancialInstitutionCode>RelationshipWithFinancialInstitutionCode</RelationshipWithFinancialInstitutionCode>
<OtherRelationship>OtherRelationship</OtherRelationship>
<MultipleSuspects>MultipleSuspects</MultipleSuspects>
<OtherFacilitiesWithBank>OtherFacilitiesWithBank</OtherFacilitiesWithBank>
<SpouseName>
<FirstName>FirstName</FirstName>
.....
.....
.....
    <Country_prefix>Country_prefix</Country_prefix>
<PhoneNumber>PhoneNumber</PhoneNumber>
<PhoneExtension>PhoneExtension</PhoneExtension>
</PhoneOfPersonContactedatLawEnforcementAgency>
<LawAgenciesContacted>LawAgenciesContacted</LawAgenciesContacted>
<SuspiciousActivityCharacteristic_Groundsfor_Suspicion_Reason>SuspiciousActivityCharacteristic_Groundsfor_Suspicion_Reason</SuspiciousActivityCharacteristic_Groundsfor_Suspicion_Reason>
<Description_of_Suspected_Criminal_Activity_Elaboration>Description_of_Suspected_Criminal_Activity_Elaboration</Description_of_Suspected_Criminal_Activity_Elaboration>
<AttemptedButNotCompletedTheTransaction>AttemptedButNotCompletedTheTransaction</AttemptedButNotCompletedTheTransaction>
<Frequency>Frequency</Frequency>
<PrimaryAccount>PrimaryAccount</PrimaryAccount>
<SignatoryDetails>
<SignatoryName>
<FirstName>FirstName</FirstName>
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
```



```
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</SignatoryName>
<DateOfBirth>2001-01-01</DateOfBirth>
<Nationality>Nationality</Nationality>
<ID>
<IDType>IDType</IDType>
<IDNo>IDNo</IDNo>
<IssuedBy>IssuedBy</IssuedBy>
<ExpiryDate>2001-01-01</ExpiryDate>
<IssuedDate>2001-01-01</IssuedDate>
<IssuedCountry>IssuedCountry</IssuedCountry>
</ID>
<HomeAddress>
<TypeOfAddress>TypeOfAddress</TypeOfAddress>
<Street>Street</Street>
<Town>Town</Town>
<PostCode>PostCode</PostCode>
<State>State</State>
<Country>Country</Country>
</HomeAddress>
</SignatoryDetails>
<Introducer_GuarantorDetails>
<Name>
<FirstName>FirstName</FirstName>
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</Name>
<Nationality>Nationality</Nationality>
<ID>
<IDType>IDType</IDType>
<IDNo>IDNo</IDNo>
<IssuedBy>IssuedBy</IssuedBy>
<ExpiryDate>2001-01-01</ExpiryDate>
<IssuedDate>2001-01-01</IssuedDate>
<IssuedCountry>IssuedCountry</IssuedCountry>
</ID>
<BusinessRegistrationNo>BusinessRegistrationNo</BusinessRegistrationNo>
</Introducer_GuarantorDetails>
```

```
<TransactionNumber>TransactionNumber</TransactionNumber>
<InternalRefNumber>InternalRefNumber</InternalRefNumber>
<TransactionLocation>TransactionLocation</TransactionLocation>
<TransactionDescription>TransactionDescription</TransactionDescription>
<Teller>Teller</Teller>
<Authorized>Authorized</Authorized>
<LateDeposit>LateDeposit</LateDeposit>
<DatePosting>2001-01-01</DatePosting>
<ValueDate>2001-01-01</ValueDate>
<TransmodeCode>TransmodeCode</TransmodeCode>
<TransmodeComment>TransmodeComment</TransmodeComment>
<FundsCode>FundsCode</FundsCode>
<FundsComment>FundsComment</FundsComment>
<MonetaryInstrument>MonetaryInstrument</MonetaryInstrument>
<OperationPeriod>2001-01-01</OperationPeriod>
<DateOfDetection>2001-01-01</DateOfDetection>
<SuspiciousActivityCharacteristic>SuspiciousActivityCharacteristic</SuspiciousActivityChara
cterestic>
<TransactionType>TransactionType</TransactionType>
</AdditionalTransactionDetails>
<TransactionGoodsServices>
<ItemType>ItemType</ItemType>
<ItemMake>ItemMake</ItemMake>
<Description>Description</Description>
<PreviouslyRegisteredTo>PreviouslyRegisteredTo</PreviouslyRegisteredTo>
<PresentlyRegisteredTo>PresentlyRegisteredTo</PresentlyRegisteredTo>
<EstimatedValue>0.0</EstimatedValue>
<StatusCode>StatusCode</StatusCode>
<StatusComments>StatusComments</StatusComments>
<DisposedValue>0.0</DisposedValue>
<CurrencyCode>CurrencyCode</CurrencyCode>
<Size>0.0</Size>
<SizeUom>SizeUom</SizeUom>
<RegistrationDate>2001-01-01</RegistrationDate>
<RegistrationNumber>RegistrationNumber</RegistrationNumber>
<IdentificationNumber>IdentificationNumber</IdentificationNumber>
<Comments>Comments</Comments>
<Address>
<TypeOfAddress>TypeOfAddress</TypeOfAddress>
<Street>Street</Street>
<Town>Town</Town>
<PostCode>PostCode</PostCode>
<State>State</State>
```

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<Country>Country</Country>
</Address>
</TransactionGoodsServices>
<Director>
<CustomerIdentifier>CustomerIdentifier</CustomerIdentifier>
<SubmissionDate>2001-01-01</SubmissionDate>
<RRSCustomerIdentifier>0</RRSCustomerIdentifier>
<FinancialProfileLastUpdateDate>2001-01-01</FinancialProfileLastUpdateDate>
<CustomerTypeCode>CustomerTypeCode</CustomerTypeCode>
<CustomerAddDate>2001-01-01</CustomerAddDate>
<TaxIdentifier>TaxIdentifier</TaxIdentifier>
<TaxIdentifierFormat>TaxIdentifierFormat</TaxIdentifierFormat>
<StatedAnnualIncome-Base>0.0</StatedAnnualIncome-Base>
<StatedNetWorth-Base>0.0</StatedNetWorth-Base>
<StatedLiquidNetWorth-Base>0.0</StatedLiquidNetWorth-Base>
<EquityKnowledge>EquityKnowledge</EquityKnowledge>
<FixedIncomeKnowledge>FixedIncomeKnowledge</FixedIncomeKnowledge>
<OptionKnowledge>OptionKnowledge</OptionKnowledge>
<OverallKnowledge>OverallKnowledge</OverallKnowledge>
<OverallExperience>OverallExperience</OverallExperience>
<YearsofEquityExperience>0</YearsofEquityExperience>
<YearsofFixedIncomeExperience>0</YearsofFixedIncomeExperience>
<YearsofOptionsExperience>0</YearsofOptionsExperience>
<AnnualEquityTrades>0</AnnualEquityTrades>
<AnnualFixedIncomeTrades>0</AnnualFixedIncomeTrades>
<AnnualOptionTrades>0</AnnualOptionTrades>
<AverageEquityTradeAmount-Base>0.0</AverageEquityTradeAmount-Base>
<AverageFixedIncomeTradeAmount-Base>0.0</AverageFixedIncomeTradeAmount-Base>
<AverageOptionTradeAmount-Base>0.0</AverageOptionTradeAmount-Base>
<FirstName>FirstName</FirstName>
<LastName>LastName</LastName>
<MiddleName>MiddleName</MiddleName>
<NameSuffix>NameSuffix</NameSuffix>
<Title>Title</Title>
<Form_407_fl>Form_407_fl</Form_407_fl>
<DateofBirth>2001-01-01</DateofBirth>
<PrimaryCitizenship>PrimaryCitizenship</PrimaryCitizenship>
<SecondaryCitizenship>SecondaryCitizenship</SecondaryCitizenship>
<ResidentCountry>ResidentCountry</ResidentCountry>
<EmployerName>EmployerName</EmployerName>
<FinancialInstitutionEmployeeIndicator>FinancialInstitutionEmployeeIndicator</FinancialInst
itutionEmployeeIndicator>
<EmploymentStatus>EmploymentStatus</EmploymentStatus>
```

```
<MaritalStatus>MaritalStatus</MaritalStatus>
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<OrganizationName>OrganizationName</OrganizationName>
<Age>0</Age>
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<CitizenshipStatus>CitizenshipStatus</CitizenshipStatus>
<WealthSource>WealthSource</WealthSource>
<EmployeeIndicator>EmployeeIndicator</EmployeeIndicator>
<SourceSystem>SourceSystem</SourceSystem>
<OrganizationLegalStructure>OrganizationLegalStructure</OrganizationLegalStructure>
<PasswordLastChangeDate>2001-01-01</PasswordLastChangeDate>
<Alias>Alias</Alias>
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<JobTitle>JobTitle</JobTitle>
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<CustomDate2>2001-01-01</CustomDate2>
<CustomDate3>2001-01-01</CustomDate3>
<CustomReal1>0.0</CustomReal1>
<CustomReal2>0.0</CustomReal2>
<CustomReal3>0.0</CustomReal3>
<CustomText1>CustomText1</CustomText1>
<CustomText2>CustomText2</CustomText2>
<CustomText3>CustomText3</CustomText3>
<TotalNumberOfAccounts>0</TotalNumberOfAccounts>
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<CustomText4>CustomText4</CustomText4>
<CustomText5>CustomText5</CustomText5>
<FinancialInstitutionIdentifierType>FinancialInstitutionIdentifierType</FinancialInstitutionIdentifierType>
<FinancialInstitutionIdentifier>FinancialInstitutionIdentifier</FinancialInstitutionIdentifier>
<RRSFinancialInstitutionIdentifier>0</RRSFinancialInstitutionIdentifier>
<WatchListRisk>0</WatchListRisk>
<WatchListIdentifier>WatchListIdentifier</WatchListIdentifier>
<WatchListMatchText>WatchListMatchText</WatchListMatchText>
<WatchListMatchType>WatchListMatchType</WatchListMatchType>
<Cust_bus_risk_nb>0</Cust_bus_risk_nb>
<GeographyRisk>0</GeographyRisk>
<CustomRisk1>0</CustomRisk1>
<CustomRisk2>0</CustomRisk2>
```

```
<DomiciledOrganization>DomiciledOrganization</DomiciledOrganization>
<DayTradingKnowledge>DayTradingKnowledge</DayTradingKnowledge>
<DayTradingExperience>DayTradingExperience</DayTradingExperience>
<StatedAnnualIncome-Reporting>0.0</StatedAnnualIncome-Reporting>
<StatedNetWorth-Reporting>0.0</StatedNetWorth-Reporting>
<StatedLiquidNetWorth-Reporting>0.0</StatedLiquidNetWorth-Reporting>
<ProcessingBatch>ProcessingBatch</ProcessingBatch>
<Jurisdiction>Jurisdiction</Jurisdiction>
<BusinessDomain>BusinessDomain</BusinessDomain>
<ReportingCurrency>ReportingCurrency</ReportingCurrency>
<RRSCustomerBusinessType>RRSCustomerBusinessType</RRSCustomerBusinessType>
<CustomerEffectiveRiskFactor>CustomerEffectiveRiskFactor</CustomerEffectiveRiskFactor>
<CreditRating>CreditRating</CreditRating>
<CreditRatingSource>CreditRatingSource</CreditRatingSource>
<CreditRatingScore>0</CreditRatingScore>
<CustomerPeerGroupIdentifier>CustomerPeerGroupIdentifier</CustomerPeerGroupIdentifier>
<CountryofTaxation>CountryofTaxation</CountryofTaxation>
<Industry>Industry</Industry>
<DateofIncorporation>2001-01-01</DateofIncorporation>
<RegistrationType>RegistrationType</RegistrationType>
<PublicorPrivate>PublicorPrivate</PublicorPrivate>
<AlternateCustomerIdentifier>AlternateCustomerIdentifier</AlternateCustomerIdentifier>
<CustomerStatus>CustomerStatus</CustomerStatus>
<Birthplace>Birthplace</Birthplace>
<Role>Role</Role>
<MotherMaidenName>
<FirstName>FirstName</FirstName>
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</MotherMaidenName>
<AgentOrRepresentativeName>
<FirstName>FirstName</FirstName>
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</AgentOrRepresentativeName>
<VisaDetails-Number>VisaDetails-Number</VisaDetails-Number>
```

```
<VisaDetails-StartDate>2001-01-01</VisaDetails-StartDate>
<VisaDetails-EndDate>2001-01-01</VisaDetails-EndDate>
<MigrationCardDetails-Number>MigrationCardDetails-Number</MigrationCardDetails-Number>
<MigrationCardDetails-StartDate>2001-01-01</MigrationCardDetails-StartDate>
<MigrationCardDetails-EndDate>2001-01-01</MigrationCardDetails-EndDate>
<OKPOCode>OKPOCode</OKPOCode>
<INN>INN</INN>
<PlaceOfOrgCode>PlaceOfOrgCode</PlaceOfOrgCode>
<OtherPreviousName1>
<FirstName>FirstName</FirstName>
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</OtherPreviousName1>
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<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</OtherPreviousName2>
<OtherPreviousName3>
<FirstName>FirstName</FirstName>
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</OtherPreviousName3>
<Admission_Confession>Admission_Confession</Admission_Confession>
<InsiderRelationship>InsiderRelationship</InsiderRelationship>
<EmploymentStatusCode>EmploymentStatusCode</EmploymentStatusCode>
<Suspension_Termination_ResignationDate>2001-01-01</Suspension_Termination_ResignationDate>
<RelationshipWithFinancialInstitutionCode>RelationshipWithFinancialInstitutionCode</RelationshipWithFinancialInstitutionCode>
<OtherRelationship>OtherRelationship</OtherRelationship>
<MultipleSuspects>MultipleSuspects</MultipleSuspects>
<OtherFacilitiesWithBank>OtherFacilitiesWithBank</OtherFacilitiesWithBank>
<SpouseName>
<FirstName>FirstName</FirstName>
```

```
<MiddleName>MiddleName</MiddleName>
<LastName>LastName</LastName>
<SuffixName>SuffixName</SuffixName>
<TitleName>TitleName</TitleName>
<PrefixName>PrefixName</PrefixName>
</SpouseName>
<SpouseID>
<IDType>IDType</IDType>
<IDNo>IDNo</IDNo>
<IssuedBy>IssuedBy</IssuedBy>
<ExpiryDate>2001-01-01</ExpiryDate>
<IssuedDate>2001-01-01</IssuedDate>
<IssuedCountry>IssuedCountry</IssuedCountry>
</SpouseID>
<OccupationDescription>OccupationDescription</OccupationDescription>
<OtherEmployment>OtherEmployment</OtherEmployment>
<Business_EmploymentTypeCode>Business_EmploymentTypeCode</Business_EmploymentTypeCode>
<Gender>Gender</Gender>
<ID>
<IDType>IDType</IDType>
<IDNo>IDNo</IDNo>
<IssuedBy>IssuedBy</IssuedBy>
<ExpiryDate>2001-01-01</ExpiryDate>
<IssuedDate>2001-01-01</IssuedDate>
<IssuedCountry>IssuedCountry</IssuedCountry>
</ID>
<PrimeSuspect>PrimeSuspect</PrimeSuspect>
<LastUpdatedDate>2001-01-01</LastUpdatedDate>
<CorporationNumber>CorporationNumber</CorporationNumber>
<Url>Url</Url>
<IncorporationState>IncorporationState</IncorporationState>
<IncorporationCountryCode>IncorporationCountryCode</IncorporationCountryCode>
<DirectorName>DirectorName</DirectorName>
</Director>
</tns:Request>
```


The elements (Data Name, Attribute, and Data Type) that are a part of the response from the RR application acknowledgment), are detailed in Table 26.

Table 26. Response Elements

| SI No | Data Name | Attribute | Data Type | Notes |
|-------|-------------|------------|-----------|---|
| 1 | Focus ID | FocusId | String | Alert/Case ID provided by the AML System. |
| 2 | Report ID | ReportId | String | Unique ID generated by OFSRR application. |
| 3 | Report Type | ReportType | String | Report type for which report request is generated in OFSRR application. |

Table 26. Response Elements

| | | | | |
|---|------------------------------|-------------|--------|---|
| 4 | Acknowledgement ¹ | AckCode | String | Acknowledgment code will be one of the following: 0, 1, 2, 3, 4 |
| 5 | Description ¹ | Description | String | The description sent will be as follows depending on the acknowledgment code: 0 - Successful 1 - Invalid user id/password 2 - Mandatory information missing 3 - Format failure 4 - Application error. |
| 6 | Status | Status | String | Report Status will be <i>opened RR record</i> . |
| 7 | IsCase | IsCase | String | The description sent will be as follows depending on whether the response is sent for case or alert: Y -Case N -Alert This is applicable only for ECM(Enterprise case management) |

Sample Response XML Structure

1. Positive acknowledgment:

```
<?xml version="1.0" encoding="UTF-8"?>
<tns:Acknowledgement
xmlns:tns="http://www.ofs.com/reveleus/rre/model/RREResponse"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.ofs.com/reveleus/rre/model/RREResponse   RRSacknowl-
edgement.xsd  ">
<FocusId>case111</FocusId>
  <ReportId>10001</ReportId>
  <ReportType></ReportType>
  <AckCode>0</AckCode>
  <Description>Successful</Description>
  <Status>OPENED RR RECORD</Status>
  <IsCase>Y</IsCase>
</tns:Acknowledgement
```

2. Negative Acknowledgment:

a. Invalid user ID/Password:

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns2:Acknowledgement xmlns:ns2="http://www.ofs.com/reveleus/rre/model/RREResponse">
  <AckCode>1</AckCode>
  <Description>Invalid User Id / Password</Description>
</ns2:Acknowledgement>
```

b. Mandatory information missing:

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns2:Acknowledgement
xmlns:ns2="http://www.ofs.com/reveleus/rre/model/RREResponse">
  <AckCode>2</AckCode>
  <Description>Mandatory Information ReportType Missing</Description>
</ns2:Acknowledgement>
```

c. Format failure:

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<ns2:Acknowledgement
xmlns:ns2="http://www.ofs.com/reveleus/rre/model/RREResponse">
  <AckCode>3</AckCode>
  <Description>Format Failure:: <Line 3, Column 19>: XML-0201: (Fatal Error)
Expected name instead of <.</Description>
</ns2:Acknowledgement>
```

d. Application error:

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
```

```
<ns2:Acknowledgement  
xmlns:ns2="http://www.ofs.com/reveleus/rre/model/RREResponse">  
<AckCode>4</AckCode>  
<Description>System / Application Error::null</Description>  
</ns2:Acknowledgement>
```


Status Update Web Service – Status Elements

The RR application has an additional feature for sending required information to the AML system at the time of report status change. This feature is optional and can be enabled or disabled by updating the required parameter during installation. For more information, refer to the *Oracle Financial Services Regulatory Reporting Installation Guide*.

The RR application sends required information (Focus ID, Report ID, Report Type, Report Status, and Action Taken By) to the AML system and receives acknowledgement code and descriptions from the AML system. The Report Status is updated when a positive acknowledgement is received.

The RR application provides the following information on statuses changed by the AML system Web Service:

- ReportStatusReq
 - UpdateStatus
 - ◆ FocusId
 - ◆ ReportId
 - ◆ ReportType
 - ◆ ReportStatus
 - ◆ ActionTakenBy
- ReportStatusResp
 - AckCode
 - Description

Table 27 lists the elements that are a part of the status element in the RR application.

Table 27. Status Elements

| SI No | Data Name | Attribute | Data Type | Notes |
|-------|--|---------------|-----------|---|
| 1 | ReportStatusReq | | | |
| 1.1 | UpdateStatus (1...n) Each ReportStatusReq may have more than one report status change information. | | | |
| 1.1.1 | Focus ID ¹ | FocusId | String | Alert/Case ID will be the same as provided by the AML system. |
| 1.1.2 | Report ID ¹ | ReportId | Int | Report ID on which action has been taken by the user. |
| 1.1.3 | Report Type ¹ | ReportType | String | Type of report on which action has been taken by the user. |
| 1.1.4 | Report Status ¹ | ReportStatus | String | The report status sent will be any one of the following depending on the action taken by the user: <ul style="list-style-type: none"> ● Opened OFSRR Record ● Request for Approval ● Approved for Filing ● Closed - No Action ● Filed ● Rejected |
| 1.1.5 | Action Taken By ¹ | ActionTakenBy | String | User who will take the action on the report. |
| 2 | ReportStatusResp | | | |
| 2.1 | Acknowledgement Code ¹ | AckCode | Int | The acknowledgement code is any one of the following values- 0, 1, 2, 3, 4, 5 |
| 2.2 | Description ¹ | Description | String | The description sent will be any one of the following depending on the acknowledgement code: <ul style="list-style-type: none"> ● 0 –Status Updated Successfully ● 1 – Invalid value for FocusId ● 2 – Invalid value for ReportType ● 3 – Invalid value for ReportStatus ● 4 – Invalid User ID ● 5 – Status update failed |

