Oracle Financial Services
Compliance Regulatory Reporting
**Canada Suspicious Transaction Report
User Guide**

Release 8.0.4.0.0
April 2017

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Compliance Regulatory Reporting
**Canada Suspicious Transaction Report
User Guide**

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About This Guide

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

This chapter discusses the following topics:

- Who Should Use this Guide

- How this Guide is Organized

- Where to Find More Information

- Conventions Used in this Guide

Who Should Use this Guide

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

- **Analyst**: This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen cancelled reports, and also view/save the final report.

- **Supervisor**: This user can access Regulatory Reports, create new reports, edit and view report details, add comments to the report. This user can also take actions on the reports such as approve, rework, and cancel filing of reports. This user can also submit the reports.

- **Auditor**: This user can view and add comments to the report.

- **RR Admin**: This user is responsible for handling various configurations required to support the report workflow.

How this Guide is Organized

The *Oracle Financial Services Compliance Regulatory Reporting Canada STR User Guide* includes the following topics:

- *Chapter 1, About Compliance Regulatory Reporting,* provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application.

- Chapter 2, *Getting Started*, explains the steps to login to the Oracle Financial Services Compliance Regulatory Reporting application and provides a brief overview of the various users and their roles in the Compliance Regulatory Reporting application.

- Chapter 3, *Managing ComplianceRegulatory Reporting*, explains the workflow of regulatory reports.

- Chapter 4, *Filing Regulatory Reports* describes the process of filing the regulatory reports to the Regulatory Authorities and completing the STR process.

Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*: This guide explains the structure of the entities in the RR data model and provides in-depth information on managing the data in the Compliance Regulatory Reporting application.

- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide*: This guide explains how and in what format the source business data is provided to the Compliance Regulatory Reporting application through a web service for the report type.

- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*: This guide provides step-by-step instructions for installing the Oracle Financial Services Compliance Regulatory Reporting application on an existing Oracle Financial Services Behavior Detection Framework hosted in Windows environment.

- Oracle *Financial Services Compliance Regulatory Reporting Release Notes*: This guide provides details about the enhancements made to the features in the Oracle Financial Services Compliance Regulatory Reporting application.

- *Oracle Financial Services Compliance Regulatory Reporting Canada Administration Guide*: This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Compliance Regulatory Reporting application. This guide details the Compliance Regulatory Reporting application and provides information about configuring and maintaining users and static data.

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

CHAPTER 1 # *About Compliance Regulatory Reporting*

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

This chapter discusses the following topics:

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

Introduction to Compliance Regulatory Reporting

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

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

About Oracle Financial Services Compliance Regulatory Reporting Application

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

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

Users mapped to appropriate roles can update the report information and submit the report details for approval to the Supervisor. The Supervisor can approve, rework, cancel the filing or reject the cancellation request of the report.

Once the STRs are approved, they can be submitted to the regulators. However, sending the documents to the regulator is the responsibility of the user and out of scope of the application.

Once a report is submitted, the user can generate a duplicate report and can perform amendments and resubmit the new report to the regulator..

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

CHAPTER 2   *Getting Started*

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

This chapter explains the following topics:

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

User Roles

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

- **Analyst-I**: This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen cancelled reports, and also view/save the final report. This user can also generate revised reports, and reject a report.

- **Analyst-II**: This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen cancelled reports, and also view/save the final report. This user can also generate revised reports, and reject a report. This user can also generate and regenerate E-File, submit and upload acknowledgement.

- **Auditor**: This user can view and add comments to the report.

- **Supervisor**: This user can access Regulatory Reports, create new reports, edit and view report details, add comments to the report. This user can also take actions on the reports such as approve, rework, and cancel filing of reports, submit the reports, generate revised reports, and reject a report. This user can also generate and regenerate E-File, submit and upload acknowledgement.

- **RR Admin**: This user is responsible for handling various configurations required to support the report workflow.

User Access

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

Table 2. User Access

Function	Analyst-I	Analyst-II	Supervisor	Auditor	RR Admin
Access Regulatory Reporting Menu	x	x	x	x	
Request for Approval	x	x			
Approve			x		

Table 2. User Access

Function	Analyst-I	Analyst-II	Supervisor	Auditor	RR Admin
Rework			x		
Cancel Filing from Open Approval, Rejected from E-File and Reopen status	x	x	x		
Cancel Filing from Requested for and Approved status			x		
Reject from E-File Generated status	x	x	x		
Add Report Comments	x	x	x	x	
View Report	x	x	x	x	
Generate E-File		x	x		
Regenerate E-File		x	x		
Submit		x	x		
Upload Acknowledgement		x	x		
Generate Revised Report	x	x	x		
Reopen Cancelled Reports	x	x	x		
View/Edit Configuration					x
Set/View/Edit Due Date	x	x	x		
Search and List Menu	x	x	x	x	
Create New Report Menu	x	x	x		
File Reports Menu	x	x	x		

Logging in to Compliance Regulatory Reporting

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

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

2. Select the **Language** for the application.

3. Enter your **User ID**.

4. Enter your **Password**.

5. Click **Login**. The Oracle Financial Services Analytical Applications Infrastructure page is displayed with a link to either **OFSCRR** or **OFSFCCM**.

   Note:

   ■   If you've installed OFSCRR without OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **OFSCRR** link under the Home menu. Clicking **Compliance Regulatory Reporting** will navigate you to the Compliance Regulatory Reporting Search and List page.

   ■   If you've installed OFSCRR with OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **FCCM** link under the Home menu. Clicking **FCCM** will navigate you to the OFSFCCM Home page depending upon your roles and access rights.

Accessing Compliance Regulatory Reporting from OFSFCCM

To access OFSCRR from OFSFCCM, follow these steps:

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

Figure 1. OFSAAI Login Page

2. Select the **Language** for the application.

3. Enter your **User ID**.

4. Enter your **Password**.

5. Click **Login**. The OFSAAI Home page is displayed.
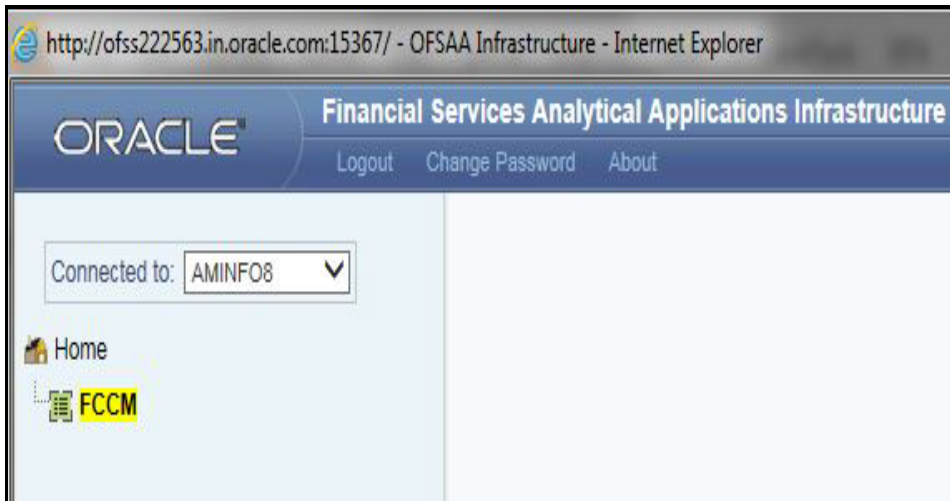
Figure 2. OFSAAI Home Page

6. Click **FCCM**. The OFSFCCM Home page is displayed depending upon the user roles and their access permissions.

7. Select **Financial Services Regulatory Reporting** from the Select Applications list.

8. From the Compliance Regulatory Reporting menu, hover over **Canada** STR, and click **Search and List**. The Regulatory Reporting Search and List page opens.
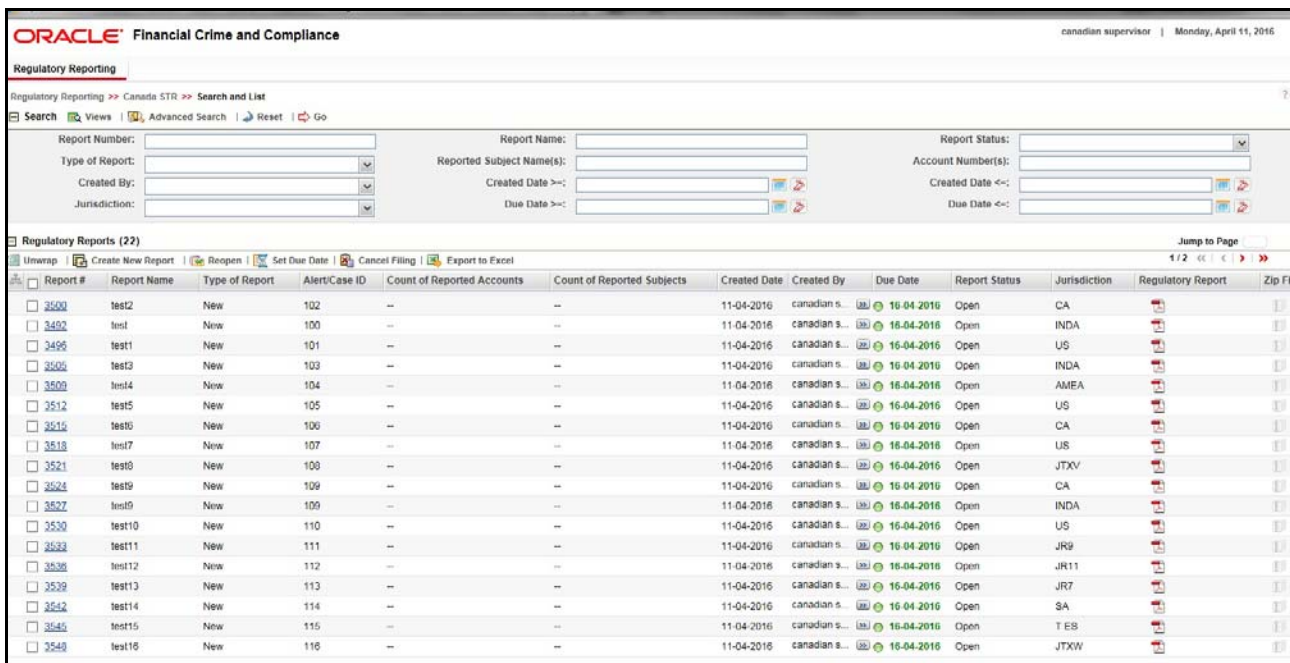
Figure 3. RR Search And List Page in OFSFCCM

- Users mapped to Analyst-I, Analyst-II, Auditor, and Supervisor roles can access the Regulatory Reports menu.

- Users mapped to the RR Admin role can access the Administration menu.

Based on the user roles and access permission, the Compliance Regulatory Reporting application displays the following menu options:

- **Search and List:** This menu option allows you to navigate to the Search and List page. From this page you can use various criteria to search for Regulatory Reports.

- **Create New Report:** This menu option allows you to navigate to the Create New Reports page where you can initiate a user created Regulatory Report.

- **File Reports:** This menu option allows you to navigate to the File Reports page where you can generate an E-file and file Regulatory Reports.

- **Administration:** The Administration menu displays the following sub-menus:

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

  - **Web Service Configuration:** This menu option allows you to reset the Webservice password. For more information on resetting the User ID and Password, refer to the *Oracle Financial Services Compliance Regulatory Reporting Administration Guide* in OTN.

CHAPTER 3 *Managing ComplianceRegulatory Reporting*

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

- Compliance Regulatory Reporting Workflow
- Creating an STR
- Searching STRs
- Saving Views
- Submitting an STR for Approval
- Adding Comments to an STR
- Setting Due Date of an STR
- Exporting the Report Details to Excel

Compliance Regulatory Reporting Workflow

This section explains the workflow of regulatory reports for users mapped to the role of Analyst and Supervisor. The following figure depicts the workflow involved in Regulatory Reporting application:
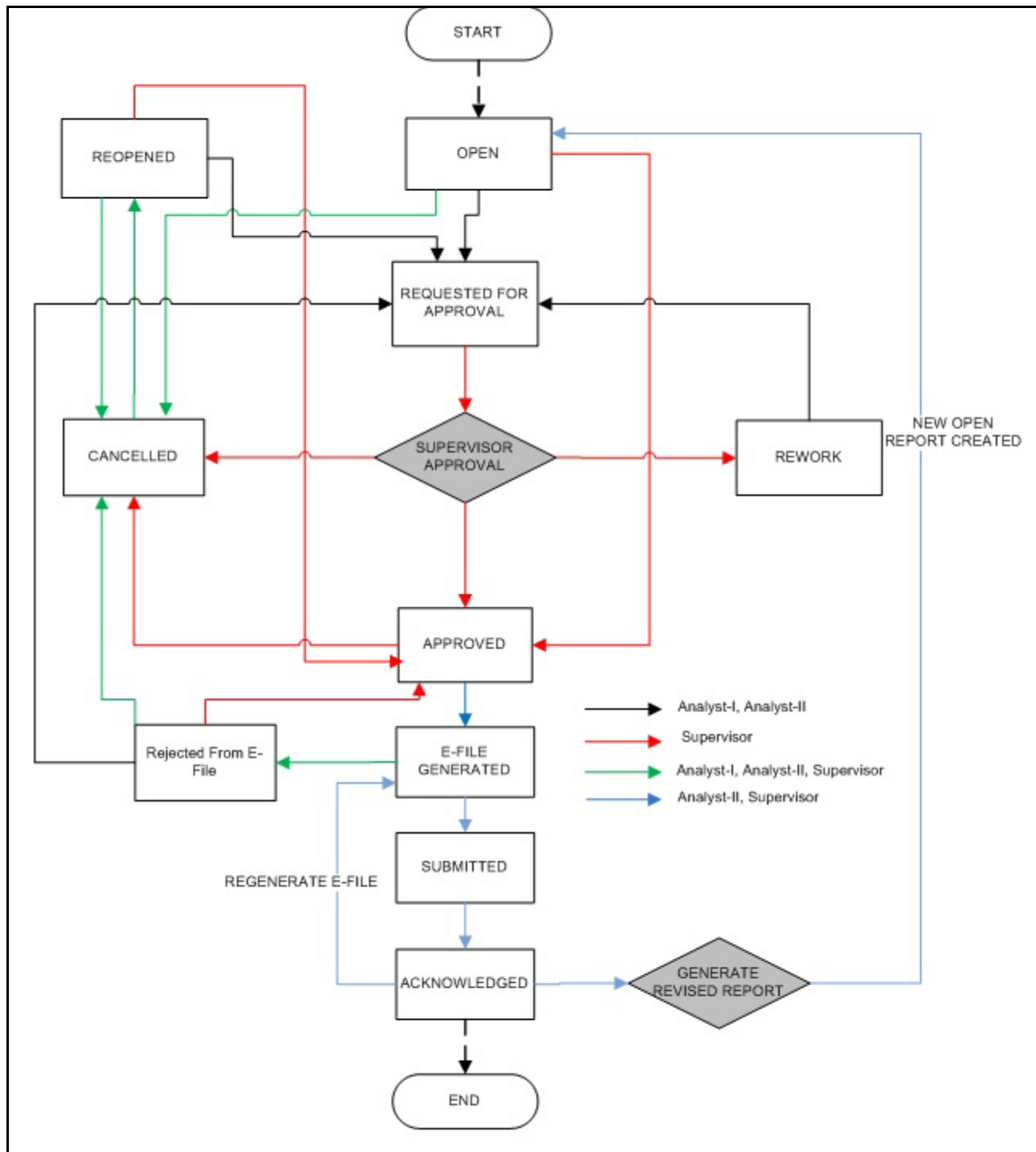
Figure 4. Compliance Regulatory Reporting workflow for Analyst and Supervisor

An STR is created in the Compliance Regulatory Reporting application as a result of taking *Generate CA STR* action from within OFSFCCM or manually creating a report from OFSCRR. When an STR is created in the Compliance Regulatory Reporting application through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the action to generate the STR. Users mapped to the role of Analyst-I can update the report in *Open* status and request the report details for approval. Users mapped to the role of Analyst-II can

generate an E-File, regenerate an E-file and upload acknowledgement. During the edit and review process, the STR is available to view as a draft report.

The Supervisor can approve, rework, and cancel filing of reports once the Analyst user has requested for approval. Supervisors can also edit the report details and approve reports directly, if needed.

If the report is approved, then an E-file is generated for multiple approved reports. The generated e-file is submitted with the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) E-Filing System. The e-file is validated and an acknowledgment (.asc file) is generated. The acknowledgment file is then uploaded into the OFSRR application, thereby completing the STR process. The status of the report changes to Acknowledged. Acknowledged status is the final status given to a STR that has been submitted to and processed by FINTRAC.

An Analyst or Supervisor can generate revised reports when the report is in *Acknowledged* status. A new report is created with *Open* status. There is no change to the STR status. The new report retains all the details of the original report. and records the originating report as the Prior Report Number.

If required, the Supervisor can send the reports for rework when the report is in *Request for Approval* status. The analyst must then rework and re-submit the report for approval. This process continues until the report is approved or cancelled.

Analyst-II or Supervisor can generate an E-file from the approved reports. The status changes to *E-File Generated*. Depending on the information in the E-File, a report can be rejected by analyst or supervisor and the status changes to *Rejected from E-File*.

The E-File is verified and the Acknowledgement is uploaded with the status *Acknowledged*.

The application allows authorized users to reopen cancelled reports. The STR status then changes to *Reopened*.

For the complete list of actions an Analyst, Auditor, and Supervisor can perform on various report statuses, refer to *Table 3*.

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

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

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

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

Table 3. Action that can be Performed in Various Statuses

Report Status	Possible Actions	Who can Perform	Report Status Changes To
Open	Request for Approval	Analyst1, Analyst2	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst1, Analyst2 and Supervisor	Cancelled
Reopened	Request for Approval	Analyst1, Analyst2	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst1, Analyst2 and Supervisor	Cancelled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	Cancelled
Approved	Generate E-File	Analyst2 and Supervisor	E-File Generated
	Cancel Filing	Supervisor	Cancelled

Table 3. Action that can be Performed in Various Statuses

Report Status	Possible Actions	Who can Perform	Report Status Changes To
Rework	Request for Approval	Analyst1 and Analyst2	Requested for Approval
E-File Generated	Reject	Analyst1, Analyst2 and Supervisor	Rejected from E-File
	Submit	Analyst2 and Supervisor	Submitted
Cancelled	Reopen	Analyst1, Analyst2 and Supervisor	Reopened
Rejected from E-File	Request for Approval	Analyst1 and Analyst2	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst1, Analyst2 and Supervisor	Cancelled
Submitted	Upload Acknowledgement	Analyst2 and Supervisor	Acknowledged
Acknowledged	Generate Revised Report	Analyst1, Analyst2 and Supervisor	No change in status
	Regenerate E-File	Analyst2 and Supervisor	E-File Generated

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

Table 4. Statuses in which Reports are Editable by Users

Status	Edit Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	
Reopened	X	X	X	
Requested for Approval			X	
Approved				
Rework	X	X	X	
E-File Generated				
Cancelled				
Rejected from E-File				
Submitted				
Acknowledged				

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

in all the statuses. For more information, refer to *Table 5*.

Table 5. Statuses in which Reports are Viewed by Users

Status	View Report Details			
	Analyst1	**Analyst2**	**Supervisor**	**Auditor**
Open	X	X	X	X
Reopened	X	X	X	X
Requested for Approval	X	X	X	X
Approved	X	X	X	X
Rework	X	X	X	X
E-File Generated	X	X	X	X
Cancelled	X	X	X	X
Rejected from E-File	X	X	X	X
Submitted	X	X	X	X
Acknowledged	X	X	X	X

Creating an STR

You can create a new STR whenever you identify a suspicious transaction and want to report it to the Regulator. You can manually create a new report from within OFSCRR or through OFSFCCM.

This section covers the following topics:

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

Creating STR from OFSFCCM

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

- Creating STR on an Alert
- Creating STR on a Case

Creating STR on an Alert

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

1. From OFSFCCM Home page, select **Alerts** from the **Monitoring** menu.
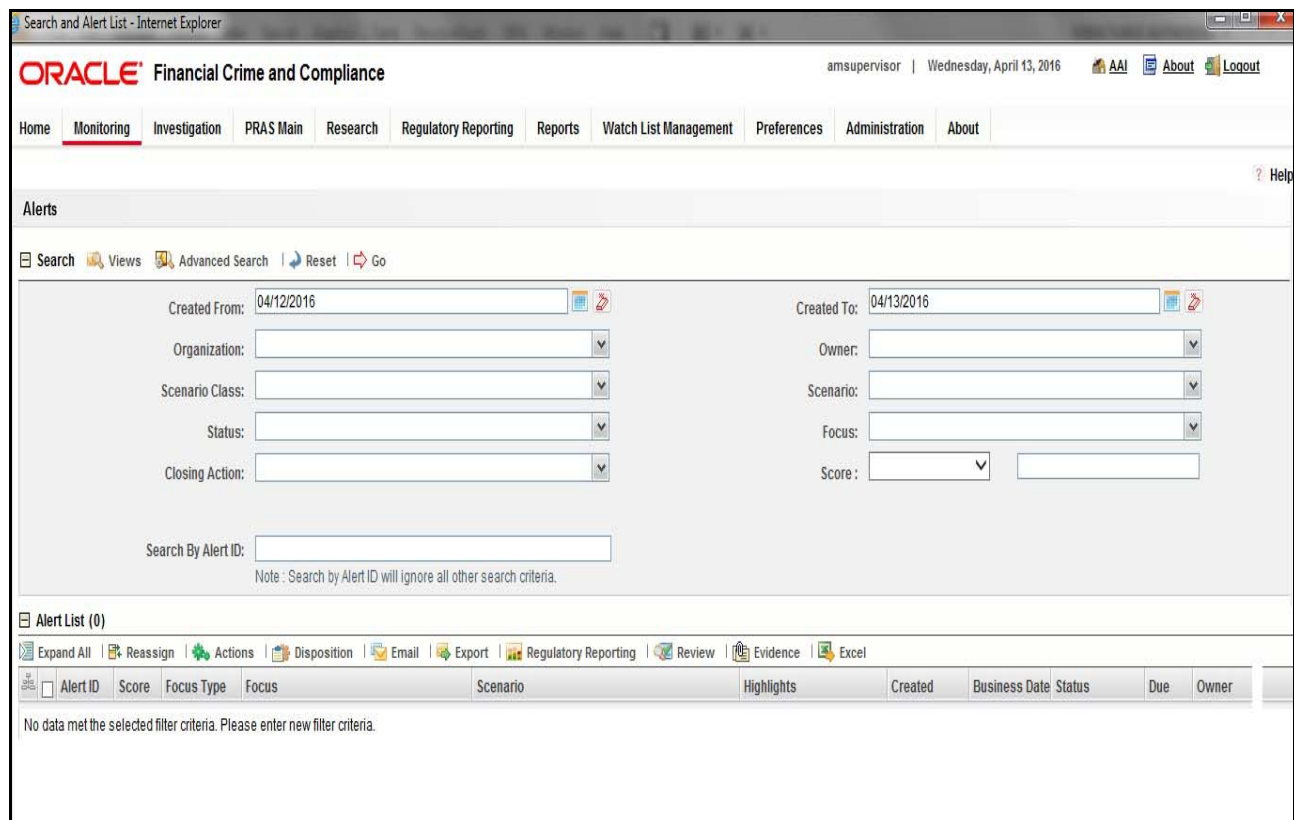
Figure 5. Alerts Search and List Page

2. Click **Advanced Search**.

3. Select the required **Scenario Class** and **Focus Type** from the drop-down list.

Figure 6. Alerts Advanced Search

> **Note:** You can generate STRs only for specific a Scenario Class and Focus Type. For more information, refer to the *Alert Management and Case Management User Guides.*

4. Click **Go**.

5. Select the required alerts from the Alert Search and List page and click **Compliance Regulatory Reporting** in the Action bar.

6. Select **Generate CA STR** from the Choose Action drop-down list in the *Monitoring Actions* Window and enter the comments.

Figure 7. Monitoring Actions Window

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

8. Click **OK.** A success message is displayed along with the alert ID. Click **OK**.

9. Navigate to the RR Search and List page. The latest alert on which **Generate CA STR** action was taken is displayed in the RR Search and List page.

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

Creating STR on a Case

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

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

Figure 8. Cases AML/Fraud Search and List Page

2. Select one or more cases in *New* statuses from the Search & Case List page using the check boxes, and click the **Resolution** action category.

3. Select **Generate CA STR** from the Select Action drop-down list in the *Investigation Actions* Window and enter the comments.

Figure 9. Investigation Actions Window

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

5. Click **OK**. A success message is displayed along with the Case ID. Click **OK**.

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

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

Sending Acknowledgement to OFSFCCM from Compliance Regulatory Reporting

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

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

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

- Alert/Case ID (Alert/Case ID)

- Acknowledgment Code – 0 (Meaning successful)

- Report ID (System Generated)

- Report Status

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

- User ID failure

- Unsuccessful mandatory information verification

- System/Application Error

The negative acknowledgment sent to OFSFCCM contains the following details:

- Alert/Case ID

- Acknowledgment Code

  - 1 stands for Invalid User ID

  - 2 stands for Mandatory Information Missing

  - 3 stands for Format Failure

  - 4 stands for System/Application Error

- Error Description

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

Creating a New STR from OFSCRR

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

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

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

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

Figure 10. Create New Report

2. Enter the required information in the fields.

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

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

Table 6. Creating New Report

Fields	Description
Report Name	Enter a name for the report being created. **Note:** This is a mandatory field.
Alert/Case ID	Enter the Alert/Case ID associated with the suspicious transaction.
Report Type	This field is auto-populated with the report type. **Note:** This field cannot be edited.
Attribute 1	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Jurisdiction. **Note:** This is a mandatory field.
Attribute 2	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Business Domain.

Table 6. Creating New Report

Fields	Description
Attribute 3	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Case Type.
Attribute 4	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Sub Type.
Attribute 5	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Organization.
Created Date	This field is auto-populated with the current system date. **Note:** This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. **Note:** This field cannot be edited.

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

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

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

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

Searching STRs

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

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

This section explains the following topics:

- Searching Reports Using Simple Search

- Searching Reports Using Advanced Search

- Searching Reports Using Pre-defined Views

- Components of Search Bar

- Regulatory Reports List

Searching Reports Using Simple Search

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

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

1. From the Regulatory Reporting menu, hover over Canada STR and click **Search and List**. The Search and List page is displayed.

Figure 11. Searching Reports using Simple Search

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

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer to *Table 8*.

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

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

Searching Reports Using Advanced Search

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

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

1. From the Regulatory Reporting menu, hover over Canada STR and click **Search and List**. The Search and List page is displayed.
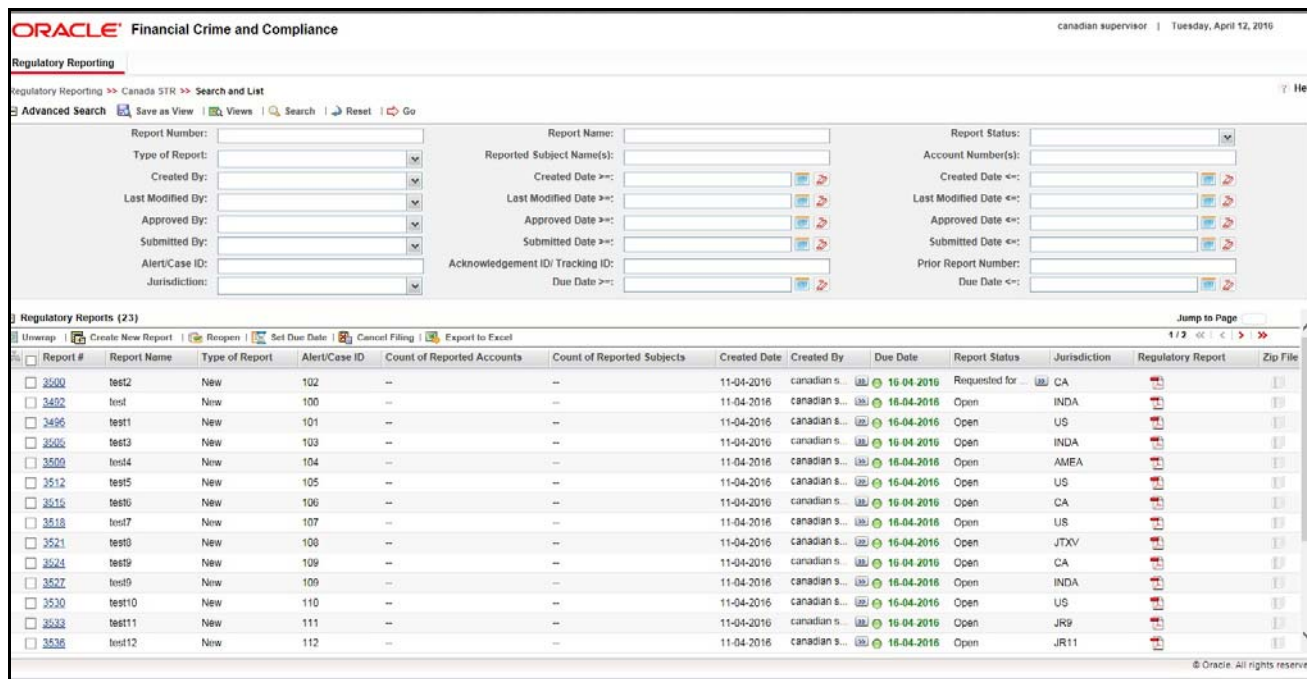
Figure 12. Advanced Search

2. Click **Advanced Search** on the **Search** tool bar

3. Enter the search components to filter the reports. For detailed descriptions of search fields, refer to *Table 8*.

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

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

Searching Reports Using Pre-defined Views

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

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

1. From the Regulatory Reporting menu, hover over Canada STR and click **Search and List**. The Search and List page is displayed.

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

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

3. Select any of the pre-defined views from the Views drop-down list. The List page refreshes to show results matching the View criteria.
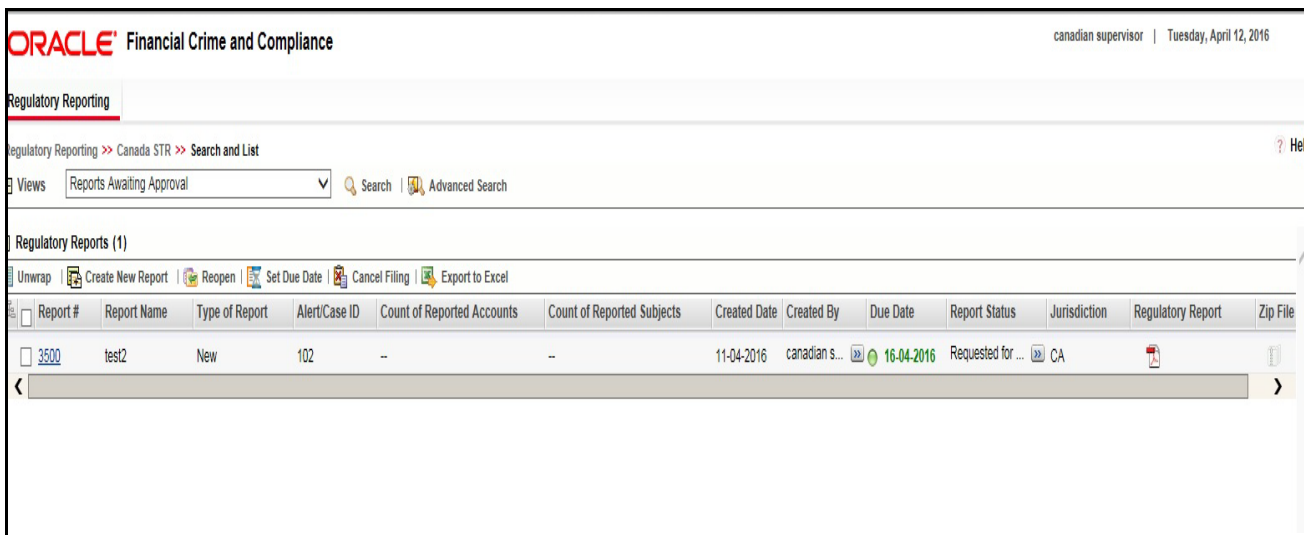
Figure 13. Searching Reports using Pre-defined Views

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

Table 7. Pre-defined Views

Views	Description
Open/ Reopened/Rework - Reports Last Modified by Me	Select **Open/ Reopened - Reports Last Modified by Me** from the drop-down list to display the list of reports in *Open* or *Reopened*, or *Rework* status for which the logged in user is the last modifier. **Note:** This option is the default view for an Analyst user.
Reports Awaiting Approval	Select **Reports Awaiting Approval** from the drop-down list to display the list of reports in *Requested for Approval* status. **Note:** This option is the default view for a Supervisor user.
Reports Overdue	Select **Reports Overdue** from the drop-down list to display the list of reports that have exceeded their due dates. When an STR is past its due date or when the due date is same as the system date, the STRs in the reports list are highlighted in *Red* color.

Table 7. Pre-defined Views

Views	Description
Reports Submitted in Last 3 Months	Select **Reports Submitted in Last 3 Months** from the drop-down list to display the list of reports that were submitted in the last three months. **Note:** This option is the default view for a user logged in as a Reviewer.
All Views saved by user	Select any of the views that you have created and saved using **Save as View** to display the reports as per the view selected. For more information, refer to Saving Views.

Components of Search Bar

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

Table 8. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Report Number	Enter the Report Number in the text field to search for details of the exact report. You can also search for multiple Report Numbers by entering a string of comma-separated values in this field. This field is not a wildcard search. You can enter a maximum of 255 characters in this field.	Simple Search and Advanced Search
Report Name	Enter the report name to display the list of reports with name as specified in the search criteria. This field supports a wildcard search. You can use the% and _ as wildcard indicators**.** You can enter a maximum of 50 characters in this field.	Simple Search and Advanced Search
Report Status	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for the Report status drop-down list: ● Select All ● Acknowledged ('Not applicable for 'no batch filling') ● Approved ● Cancelled ● E- File Generated (Not applicable for 'no batch filling') ● Open ● Rejected from E- File (Not applicable for 'no batch filling') ● Reopened ● Requested for Approval ● Rework ● Submitted **Note:** This field allows searching of reports with multiple options selected.	Simple Search and Advanced Search

Table 8. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Type of Report	Select the type of report from the drop-down list to search for details of the exact report. Following are the options available for the Type of Report drop-down list: • Select All • Corrected • Delete • New	Simple Search and Advanced Search
Reported Subject Name(s)	Enter the Report Subject Name to search for customer name reported as subjects in the STR. This field supports a wildcard search. You can use the% and _ as wildcard indicators**.**	Simple Search and Advanced Search
Account Number(s)	Enter the account number of the accounts involved in the suspicious activity reported in the STR. You can perform multiple account number search by entering a string of comma-separated values in this field.	Simple Search and Advanced Search
Created By	Select the user who has created the report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected.	Simple Search and Advanced Search
Created Date >=	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. **Note:** You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.	Simple Search and Advanced Search
Created Date <=	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*	Simple Search and Advanced Search
Last Modified By	Select the user who has last modified the report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected with user names displayed as drop-down options.	Advanced Search

Table 8. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Last Modified Date >=	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date. **Note:** You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.	Advanced Search
Last Modified Date <=	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: *Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.* 2. If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: *Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Approved By	Select the name of the approver to search for reports approved by the selected user. **Note:** This field allows searching of reports with multiple options selected with user names displayed as drop-down options.	Advanced Search
Approved Date >=	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.	Advanced Search
Approved Date <=	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: *Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.* 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: *Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Submitted By	Select the name of the user from the drop-down list options to search for reports submitted by the selected user. **Note:** This field allows searching of reports with multiple options selected.	Advanced Search

Table 8. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Submitted Date >=	Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date.	Advanced Search
Submitted Date <=	Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: *Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.* 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: *Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Alert/Case ID	Enter the Alert/Case ID to display reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive. You can enter a maximum of 255 characters in this field. **Note:** Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.	Advanced Search
Acknowledgem ent ID/ Tracking ID	Enter the Acknowledgement ID/ Tracking ID to display the report with the corresponding Acknowledgement ID that was received as acknowledgement when the report was submitted to the regulator.	Advanced Search
Prior Report Number	Enter the Prior Report Number to display the original report stored in the revised report.	Advanced Search
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case. Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.	Simple Search and Advanced Search

Table 8. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Due Date>=	Select the due date from the calendar to display reports having a due date greater than or equal to the specified date.	Simple Search and Advanced Search
Due Date<=	Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date. **Note:** If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then all the reports which are created after the Due Date are displayed. **Validations:** 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*	Simple Search and Advanced Search

Regulatory Reports List

The *RR List* grid is displayed as per the search criteria in the RR search page. The application supports right-click options on some columns within the List header that allow users to specify sorting as well as hide or display columns.

- **Ascending** - This option allows you to sort the selected column in ascending order.

- **Descending** - This option allows you to sort the selected column in descending order.

- **Clear Sort** - This option allows you to clear the selected sort option.

- **Field Chooser** - This option allows you to hide or display columns within the current list as well as modify the width of the columns. Click **OK** on Field Chooser to save the selected settings for the current session or click **Save** will save the selected settings for future logins.

- **Group by Tab** - This option allows you to group the reports and display them in different tabs as per the selected column.

- **Group By Tree** - This option allows you to group the reports and display them in tree format as per the selected column.

This list displays the following columns:

- Report Number

- Report Name

- Type of Report

- Alert/Case ID

- Count of Reported Subjects

- Count of Reported Accounts

- Created Date

- Created By

- Due Date

- Report Status

- Jurisdiction

- Regulatory Report

- Documents

- Approved By

- Approved Date

- Submitted By

- Submitted Date

- Last Modified By

- Last Modified Date

- Prior Report Number

- E-File Number

Note:

- Count of Reported Subjects displays the total number of subjects reported in the STR.

- Count of Reported Accounts displays the total number of accounts involved in the suspicious activity reported. It will have both source and destination accounts.

Saving Views

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

To save a view, follow these steps:

1. From the Regulatory Reporting menu, hover over Canada STR and click **Search and List**. The Search and List page is displayed.

2. Click **Advanced Search**. The Advanced Search page is displayed.

3. Enter the search criteria you want to save as view.

4. Click **Save as View.** The *Save as View* window is displayed.
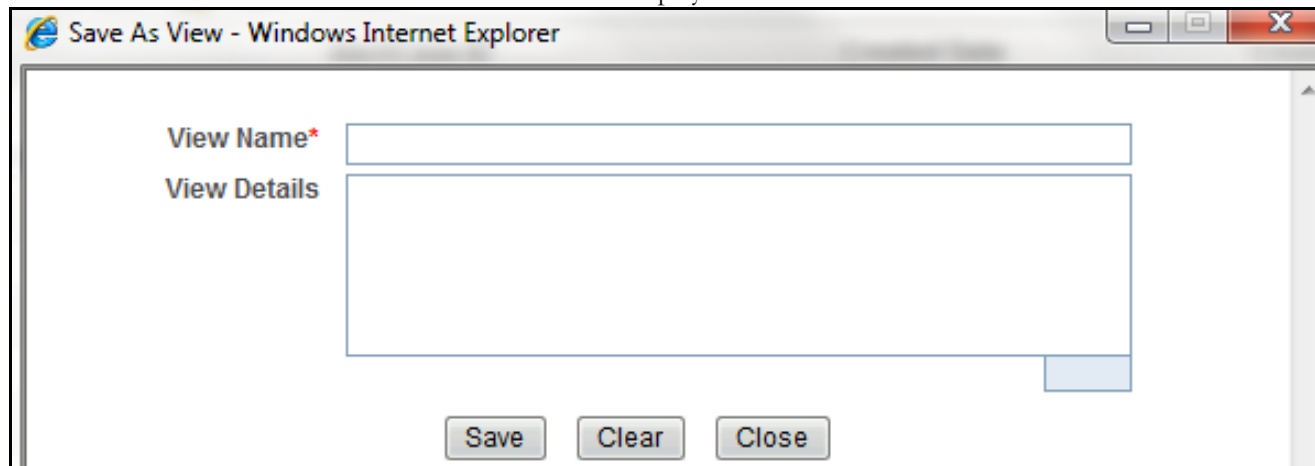
Figure 14. Save As View Window

5. Enter the view name and view details. The View details box in the *Save as View* window allows a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded.*

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

7. Click **OK**. The view is saved and is displayed in the **Views** drop-down list.

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

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details

- Taking Action on Reports

Entering Report Details

The Report Details page allows users mapped to the role of Analyst and Supervisor to enter or update report information depending upon the report status. For more information on various statuses in which an Analyst, Auditor, and Supervisor user can edit the report details, refer to *Table 4*.

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

The Report Details page allows you to manage following sections:

- Report Context

- Managing Reporting Entity

- Managing Report Information

- Managing Narrative and Action

- Managing Documents

- Viewing Audit

Report Context

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

Figure 15. Report Context

The report context includes the following information:

- Report Name

- Report Status

- Report Number

- Prior Report Number

- E-File Number

- Alert/Case ID

- Jurisdiction

- Due Date

- Created By

- Last Modified By

- Approved By

- Created Date

- Last Modified Date

- Approved Date

Managing Reporting Entity

This tab refers to the **Reporting Entity** section.

Figure 16. Reporting Entity Tab

The Reporting Entity tab is the default tab selected when you navigate to the Report Details page. This tab includes the following sections:

● Report Indicators

● Part A: Information about where the Transaction Took Place

Report Indicators

This section refers to the details specific to the Report Indicators. The following table explains the fields in the Report Indicators section:

Table 9. Report Indicators Details

Fields	Description
Type of Report	This field displays type of Report. For a newly created Report, this field displays 'New' as default value. For Revised Reports, it can be 'Corrected' or 'Deleted'. **Note:** This field cannot be edited.
Attempted Transaction Indicator	This field displays the default value of 'Completed'. This field can be edited to 'Attempted'.

Part A: Information about where the Transaction Took Place

This section refers to the details specific to the Information about where the Transaction Took Place. It includes the following sections:

● Information about where the Transaction Took Place

● Where did the Transaction Take Place?

● Whom can FINTRAC Contact About This Report?

Information about where the Transaction Took Place
This section refers to the details specific to the Information about where the Transaction Took Place. The following table explains the fields in the Information about where the Transaction Took Place section:

Table 10. Information about where the Transaction Took Place Details

Fields	Description
Reporting Entity's Identifier Number	Select the Reporting Entity's Identifier Number from the drop-down list.
Reporting Entity's Full Name	This field displays the full name of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity's Identifier Number selected.
Type of Reporting Entity	This field displays the type of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity's Identifier Number selected.

Where did the Transaction Take Place?
This section refers to the details specific to the Where did the Transaction Take Place?. The following table explains the fields in the Where did the Transaction Take Place? section:

Table 11. Where did the Transaction Take Place? details

Fields	Description
Reporting Entity's Location Number	Select the Reporting Entity's Location Number from the Location lookup.
Reporting Entity's Name	This field displays the name of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity's Location Number selected.
Street Address	This field displays the Street Address of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity's Location Number selected.
City	This field displays the City of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity's Location Number selected.
Province	This field displays the Province of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity's Location Number selected.
Postal Code	This field displays the Postal Code of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity's Location Number selected.

Whom can FINTRAC Contact About This Report?

This section refers to the details specific to the Whom can FINTRAC Contact About This Report?. The following table explains the fields in the Whom can FINTRAC Contact About This Report? section:

Table 12. Whom can FINTRAC Contact About This Report? details

Fields	Description
Contact - Person	Select the Contact Person's name from the drop-down list.
Contact - Telephone Number	This field displays the Telephone Number of the Contact Person. **Note:** This field is auto-populated as per the Contact - Person selected.
Contact - Telephone Extension Number	This field displays the Telephone Extension Number of the Contact Person. **Note:** This field is auto-populated as per the Contact - Person selected.

Managing Report Information

This tab refers to the **Report Information** section. This tab includes the following sections:

- Transactions

- Transaction Details

- Based on whether Transaction or Disposition is selected, the following sections will be displayed:

- Part B2 - Information About How the Transaction was Completed

Transactions

This section refers to the details specific to Transactions. The Transactions list displays the following columns:

- Record Number

- Transaction Number

- Date of Transaction

- Transaction Type

- Amount Involved

- Originating Party

- Beneficiary Party

- Related Transaction Number

- Transaction or Disposition?

Note: This list is not editable.

Transaction or Disposition Details

This section refers to the details specific to Transaction or Disposition Details. Transaction is where the money came from and Disposition is where is money is going. The following table explains the fields in the Transaction or Disposition Details section:

Transaction or Disposition Details

Fields	Description
Transaction or Disposition?	Select if 'Transaction' or 'Disposition'. **Note:** For Alerts or Cases, the default value is 'Transaction'.
If Disposition, which Transaction Number is it Related?	This field is enabled only if the previous field is selected as 'Disposition'. Select the Transaction Number that is related to the Disposition. **Note:** This field is mandatory if the type is of Disposition.

Based on whether Transaction or Disposition is selected, the following sections will be displayed:

- Part B1, part D:

  - Will only be displayed if Transaction or disposition field (Radio Button) in Transaction Grid is selected as "Transaction"

- Part B2, Part C, Part E, Part F

  - Will only be displayed if Transaction or disposition field (Radio Button) in Transaction Grid is selected as "Disposition".

  - Part B2 and Part C will always get displayed when "Disposition" is selected.

  - If "Not Applicable" is selected for "On behalf of indicator?" , Part E and Part F will not be displayed.

  - If "On Behalf of an Entity" is selected for "On behalf of indicator?", Only Part E will be displayed.

  - If "On behalf of another Individual" is selected for "On behalf of indicator?", Only Part F will be displayed.

Transaction Details

This section refers to the details specific to the Transaction. This section is enabled only if Transaction is selected in the Transaction or Disposition Details grid. It consists of the following sections:

- Part B1 - Information About How the Transaction was Initiated
- Subject Information
- Part D - Information about the Individual Conducting the Transaction

Part B1 - Information About How the Transaction was Initiated

This section refers to the details specific to the Information About How the Transaction was Initiated. This section is enabled only if **Transaction** is selected in the *Transaction or Disposition Details* grid.

Figure 17. Report Information Tab - Part B1

The following table explains the fields in the Information About How the Transaction was Initiated section:

Table 13. Part B1- Information About How the Transaction was Initiated Details

Fields	Description
Transaction Number	Enter the Transaction Number.
Night Deposit Indicator	This field indicates if the transaction was made within normal Business hours. Select this button if the transaction was made outside of normal business hours

Fields	Description
Date of the Transaction	Select the date when the Transaction was made. **Note:** This field is not mandatory if Night Deposit Indicator is selected. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Time of the Transaction	Enter the time when the Transaction was made. **Note:** This field is not mandatory if Night Deposit Indicator is selected. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Date of Posting	Select the date of Posting if the Transaction was cleared on a different day from when the Transaction was made. **Note:** If Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted', then this field is disabled.
Transaction Type	Select the type of Transaction from the drop-down list.
Detail of Funds Involved in Initiating the Transaction	Select the type of funds involved in initiating the Transaction. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
If Other, Specify	Enter the type of funds involved in initiating the Transaction if you have selected 'Other' from the previous field. **Note:** This field is enabled only if 'Other' is selected in Detail of Funds Involved in Initiating the Transaction field.
Amount of Transaction	Enter the amount of Transaction. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Transaction Currency Code	Enter the Currency in which the Transaction was made. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Other institution Name and Number or Other Entity or Person Name	Enter the Name and the Identification Number of another person or entity or any other institution if applicable.
Other Entity or Person Account Number	Enter the Account Number of another person or entity.
How was the Transaction Conducted?	Select the method the Transaction was made. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
If Other, Specify	Enter the method of Transaction that was made if you have selected 'Other' from the previous field. **Note:** This field is enabled only if 'Other' is selected in How was the Transaction Conducted? field.
Identification Number of the Person Initially Identifying a Suspicious Transaction	Enter the Identification Number of the person initially identifying the Suspicious Transaction.

Subject Information

This section refers to the details specific to Subject Information. This section is enabled only if **Transaction** is selected in the *Transaction or Disposition Details* grid. The Subject Information list displays the following columns:

- Record Number
- Person Name

  - Entity Client Number

  - Transaction Role

  - Country of Residence

  - Individual's Employer

  - Include in Report

Note: This list is not editable.

Part D - Information about the Individual Conducting the Transaction

This section refers to the details specific to the Information About the Individual Conducting the Transaction. This section is enabled only if **Transaction** is selected in the *Transaction or Disposition Details* grid.

Figure 18. Report Information Tab - Part D

The following table explains the fields in the Information About the Individual Conducting the Transaction section:

Table 14. Part D- Information About the Individual Conducting the Transaction details

Fields	Description
Include in Report?	Select 'Yes' or 'No' based on whether you want the individual who made the transaction in the Report.
Transaction Role	Select the type of role the person who made the transaction holds.
Surname / Last Name	Enter the Surname / Last Name of the person who made the Transaction.
Given Name / First Name	Enter the Given Name / First Name of the person who made the Transaction.
Other/Middle Name	Enter the other / Middle Name of the person who made the Transaction.
Entity Client Number	Enter the Entity Client Number of the person who made the Transaction.
Street Address	Enter the Street Address the person who made the Transaction belongs to.
City	Enter the City the person who made the Transaction belongs to.
Country	Select the Country the person who made the Transaction belongs to, from the drop-down list.
Province or State	Select the Province or State the person who made the Transaction belongs to, from the drop- down list.
Postal or Zip Code	Enter the Postal or Zip Code the person who made the Transaction belongs to.
Country of Residence	Select the Country of Residence the person who made the Transaction belongs to, from the drop- down list.
Country of Citizenship	Select the Country of Citizenship the person who made the Transaction belongs to, from the drop- down list.
Home Telephone Number	Enter the Home Telephone Number of the person who made the Transaction.
Individual's Identifier	Select the Identification Proof of the person who made the Transaction from the drop-down list.
Home Telephone Number	Enter the Home Telephone Number of the person who made the Transaction.
If Other, Specify	Enter the Identification Proof of the person who made the Transaction if you have selected 'Other' from the previous field. **Note:** This field is enabled only if 'Other' is selected in Individual's Identifier field.
Identification Number	Enter the Identification Number of the Identification proof provided by the person who made the Transaction.
Place of Issue - Country	Select the Country where the Identification proof was issued of the person who made the Transaction, from the drop- down list.
Place of Issue - Province or State	Select the Province or State where the Identification proof was issued of the person who made the Transaction, from the drop- down list.
Individual's Date of Birth	Select the Date of Birth of the person who made the Transaction.
Individual's Business Telephone Number	Enter the Business Telephone Number of the person who made the Transaction.
Telephone Extension Number	Enter the Telephone Extension Number of the person who made the Transaction.
Individual's Occupation	Enter the Occupation of the person who made the Transaction.
Individual's Employer	Enter the Employer Name of the person who made the Transaction.
Employer's Street Address	Enter the Street Address the Employer of the person who made the Transaction belongs to.
Employer's City	Enter the City the Employer of the person who made the Transaction belongs to.
Employer's Country	Enter the Country the Employer of the person who made the Transaction belongs to.
Employer's Province or State	Enter the Province or State the Employer of the person who made the Transaction belongs to.

Fields	Description
Employer's Postal or Zip Code	Enter the Postal or Zip Code the Employer of the person who made the Transaction belongs to.
Employer's Business Telephone Number	Enter the Business Telephone Number of the Employer of the person who made the Transaction.
Telephone Extension Number	Enter the Telephone Extension Number of the Employer of the person who made the Transaction.

Disposition Details

This section refers to the details specific to the Disposition. This section is enabled only if Disposition is selected in the Transaction or Disposition Details grid. It consists of the following sections:

- Part B2 - Information About How the Transaction was Completed

- Part C: Account Information

- Part E: Information about the Entity on whose Behalf the Transaction was Conducted

- Part F - Information about the Individual on whose Behalf the Transaction was Conducted

Part B2 - Information About How the Transaction was Completed

This section refers to the details specific to the Information About How the Transaction was Completed. This section is enabled only if **Disposition** is selected in the *Transaction or Disposition Details* grid. It consists of the following sections:

Figure 19. Report Information Tab - Part B2

The following table explains the fields in the Information About How the Transaction was Completed section:

Table 15. Part B2- Information About How the Transaction was Completed details

Fields	Description
Transaction Number	Enter the Transaction Number.
Transaction Type	Select the type of Transaction from the drop-down list.
Disposition of Funds	Select the method in which the disposition of funds was made. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
If Other, Specify	Enter the method in which the disposition of funds was made if you have selected 'Other' from the previous field. **Note:** This field is enabled only if 'Other' is selected in Disposition of Funds field.
Life Insurance Policy Number	Enter the Life Insurance Policy Number if you have selected 'Life Insurance Policy Number' from the Disposition of Funds field. **Note:** This field is enabled only if 'Life Insurance Policy Number' is selected in Disposition of Funds field.
Time of the Transaction	Enter the time when the Transaction was made. **Note:** This field is not mandatory if Night Deposit Indicator is selected. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Date of Disposition	Select the date when the disposition of funds was made.

Fields	Description
Amount of Disposition	Enter the amount of funds dispositioned. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Disposition Currency Code	Select the Currency in which the Disposition of funds was made. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Other institution Name and Number or Other Entity or Person Name	Enter the Name and the Identification Number of another person or entity or any other institution if applicable.
Other Entity or Person Account Number	Enter the Account Number of another person or entity.
On Behalf of Indicator?	Select on whose behalf the Disposition of funds was made. **Note:** This field is not mandatory if Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.

Account Information

This section refers to the details specific to Account Information. This section is enabled only if **Disposition** is selected in the *Transaction or Disposition Details* grid. The Account Information list displays the following columns:

- Record Number
- Account Number
- Type of Account
- Branch or Transit Number where the Account is Held
- Date Opened
- Date Closed
- Include in Report

Note: This list is not editable.

Part C: Account Information

This section refers to the details specific to Account Information. This section is enabled only if **Disposition** is selected in the *Transaction or Disposition Details* grid.

Figure 20. Report Information Tab - Part C

The following table explains the fields in the Account Information section:

Table 16. Part C- Account Information details

Fields	Description
Include in Report?	Select 'Yes' or 'No' based on whether you want the account in the Report.
Transaction Role	Select the type of role the account holds.
Branch or Transit Number where the Account is Held	Enter the Branch or Transit Number where the Account is held.
Account Number	Enter the Account Number.
Account Type	Select the type of the Account from the drop- down list.
If Other, Specify	Enter the type of the Account if you have selected 'Other' from the previous field. **Note:** This field is enabled only if 'Other' is selected in Account Type field.
Account Currency Code	Select the Currency of the account from the drop- down list.
Status of the Account	Select the Status of the account from the drop- down list.
Date Opened	Select the Date when the account was opened.
Date Closed	Select the Date when the account was closed.

Part C: Account Information section also contains another grid as follows:

Full Name of each Account Holder {The Individual (s) or Entity that Hold the Account)

This section refers to the details specific to Account Holder. The Account Holder could be an individuals or an entity. The following table explains the fields in this section:

Table 17. Full Name of Account Holder details

Fields	Description
Name 1	Enter the name of the Account Holder (individual or entity)
Name 2	Enter the name of the Account Holder (individual or entity)
Name 3	Enter the name of the Account Holder (individual or entity)

Part E: Information about the Entity on whose Behalf the Transaction was Conducted

This section refers to the details specific to the entity on whose behalf the transaction was made. This section is enabled only if **Disposition** is selected in the *Transaction or Disposition Details* grid and **On behalf of an entity** is selected for *On Behalf of Indicator?* in *Part B2*.

Figure 21. Part E- Information about the Entity on whose Behalf the Transaction was Conducted

This section consists of the **Entities on whose Behalf the Transaction was Conducted** grid and **Part E-Information about the Entity on whose Behalf the Transaction was Conducted**.

The **Entities on whose Behalf the Transaction was Conducted** grid displays the following columns:

- Record Number

- Name of Corporation, Trust or Other Entity

- Type of Business

- Incorporation Number
- City
- Country
- Include in Report

This list is not editable.

The following table explains the fields in the **Part E- Information about the Entity on whose Behalf the Transaction was Conducted** section:

Table 18. Part E - Information about the Entity on whose Behalf the Transaction was Conducted details

Fields	Description
Include in Report?	Select 'Yes' or 'No' based on whether you want the information about the entity on whose behalf the transaction was made in the Report.
Subject ID	Enter the Subject ID of the transaction.
Name of Corporation, Trust or Other Entity	Enter the Name of Corporation, Trust or Other Entity on whose behalf the transaction was made.
Type of Business	Enter the Type of Business of the entity on whose behalf the transaction was made.
Street Address	Enter the Street Address of the entity on whose behalf the transaction was made.
City	Enter the City of the entity on whose behalf the transaction was made.
Country	Select the Country of the entity on whose behalf the transaction was made, from the drop- down list.
Province or State	Select the Province or State of the entity on whose behalf the transaction was made, from the drop- down list.
Postal or Zip Code	Enter the Postal or Zip Code of the entity on whose behalf the transaction was made.
Business Telephone Number	Enter the Business Telephone Number of the entity on whose behalf the transaction was made.
Telephone Extension Number	Enter the Telephone Extension Number of the entity on whose behalf the transaction was made.
Place of Issue - Country	Select the Country where the Identification proof was issued of the entity on whose behalf the transaction was made, from the drop- down list.
Place of Issue - Province or State	Select the Province or State where the Identification proof was issued of the entity on whose behalf the transaction was made, from the drop- down list.

Part E: Information about the Entity on whose Behalf the Transaction was Conducted section also contains another grid as follows:

Individual(s) Authorized to Bind the Entity or Act with Respect to the Account (Up to Three)

This section refers to the details specific to the individuals who are authorized to bind the entity or act with respect to the account. A list of three individuals can be listed here. The following table explains the fields in this section:

Table 19. Full Name of Account Holder details

Fields	Description
Name 1	Enter the name of the Individual authorized to bind the entity.
Name 2	Enter the name of the Individual authorized to bind the entity.
Name 3	Enter the name of the Individual authorized to bind the entity.

Part F - Information about the Individual on whose Behalf the Transaction was Conducted

This section refers to the details specific to the individual on whose behalf the transaction was made. This section is enabled only if **Disposition** is selected in the *Transaction or Disposition Details* grid and **On behalf of another individual** is selected for *On Behalf of Indicator?* in *Part B2*.

Figure 22. Part F - Information about the individual on whose behalf the transaction was conducted details

This section consists of the **Individual Information** grid and **Part F - Information about the individual on whose behalf the transaction was conducted**.

The **Individual Information** grid displays the following columns:

- Record Number
- Name of the Individual
- Subject ID
- ID Number
- Individual's Employer
- Country of Residence
- Individual's Occupation
- Include in Report

Note: This list is not editable.

The following table explains the fields in the **Part F - Information about the individual on whose behalf the transaction was conducted** section:

Table 20. Part F - Information about the individual on whose behalf the transaction was conducted details

Fields	Description
Include in Report?	Select 'Yes' or 'No' based on whether you want the information about the individual on whose behalf the transaction was made in the Report.
Subject ID	Enter the Subject ID of the transaction.
Surname / Last Name	Enter the Surname / Last Name of the individual on whose behalf the transaction was made.
Given Name / First Name	Enter the Given Name / First Name of the individual on whose behalf the transaction was made.
Other/Middle Name Initial	Enter the other / Middle Name of the individual on whose behalf the transaction was made.
Street Address	Enter the Street Address of the individual on whose behalf the transaction was made.
City	Enter the City of the individual on whose behalf the transaction was made.
Country	Select the Country of the individual on whose behalf the transaction was made, from the drop- down list.
Province or State	Select the Province or State of the individual on whose behalf the transaction was made, from the drop- down list.
Postal or Zip Code	Enter the Postal or Zip Code of the individual on whose behalf the transaction was made.
Home Telephone Number	Enter the Home Telephone Number of the individual on whose behalf the transaction was made.
Individual's Date of Birth	Select the Date of Birth of the individual on whose behalf the transaction was made.
Business Telephone Number	Enter the Business Telephone Number of the individual on whose behalf the transaction was made.
Telephone Extension Number	Enter the Telephone Extension Number of the individual on whose behalf the transaction was made.
Individual's Identifier	Select the Identification Proof of the individual on whose behalf the transaction was made, from the drop- down list.
If Other, Specify	Enter the Identification Proof of the individual on whose behalf the transaction was made, if you have selected 'Other' from the previous field. **Note:** This field is enabled only if 'Other' is selected in Individual's Identifier field.
ID Number	Enter the Identification Number of the Identification proof provided by the individual on whose behalf the transaction was made.
Place of Issue of Individual's Identifier- Country	Select the Country where the Identification proof was issued of the individual on whose behalf the transaction was made, from the drop- down list.
Place of Issue of Individual's Identifier- Province or State	Select the Province or State where the Identification proof was issued of the individual on whose behalf the transaction was made, from the drop- down list.
Individual's Occupation	Enter the Occupation of the individual on whose behalf the transaction was made.
Individual's Employer	Enter the Employer Name of the individual on whose behalf the transaction was made.
Employer's Street Address	Enter the Street Address the Employer of the individual on whose behalf the transaction was made.
Employer's City	Enter the City, the Employer of the individual on whose behalf the transaction was made.
Employer's Country	Enter the Country the Employer of the individual on whose behalf the transaction was made.
Employer's Province or State	Enter the Province or State the Employer of the individual on whose behalf the transaction was made.

Fields	Description
Postal or Zip Code	Enter the Postal or Zip Code the Employer of the individual on whose behalf the transaction was made.
Employer's Business Telephone Number	Enter the Business Telephone Number of the Employer of the individual on whose behalf the transaction was made.
Telephone Extension Number	Enter the Telephone Extension Number of the Employer of the individual on whose behalf the transaction was made.
Relationship to Individual	Select the Relationship that the account holder holds with the individual on whose behalf the transaction was made.
If Other, Specify	Enter the Relationship that the account holder holds with the individual on whose behalf the transaction was made, if you have selected 'Other' from the previous field. **Note:** This field is enabled only if 'Other' is selected in Relationship to Individual field.

Managing Narrative and Action

This tab refers to the Suspicious Activity Information and the Action Taken on it. This tab includes the following sections:

- Part G: Description of Suspicious Activity

- Part H: Action Taken

Figure 23. Narrative and Action tab

Part G: Description of Suspicious Activity

This section refers to the details specific to the Suspicious Activity. Enter the details related to the Suspicious Activity in the field **Description of Suspicious Activity**. This is a mandatory field.

Part H: Action Taken

This section refers to the details specific to any Action Taken on the Suspicious Activity. Enter the details related to the action taken on the Suspicious Activity in the field **Description of Action Taken**.

Managing Documents

This section refers to the details specific to Documents. The Documents list displays the following columns:

- ID
- Name
- Description
- Logical File Name
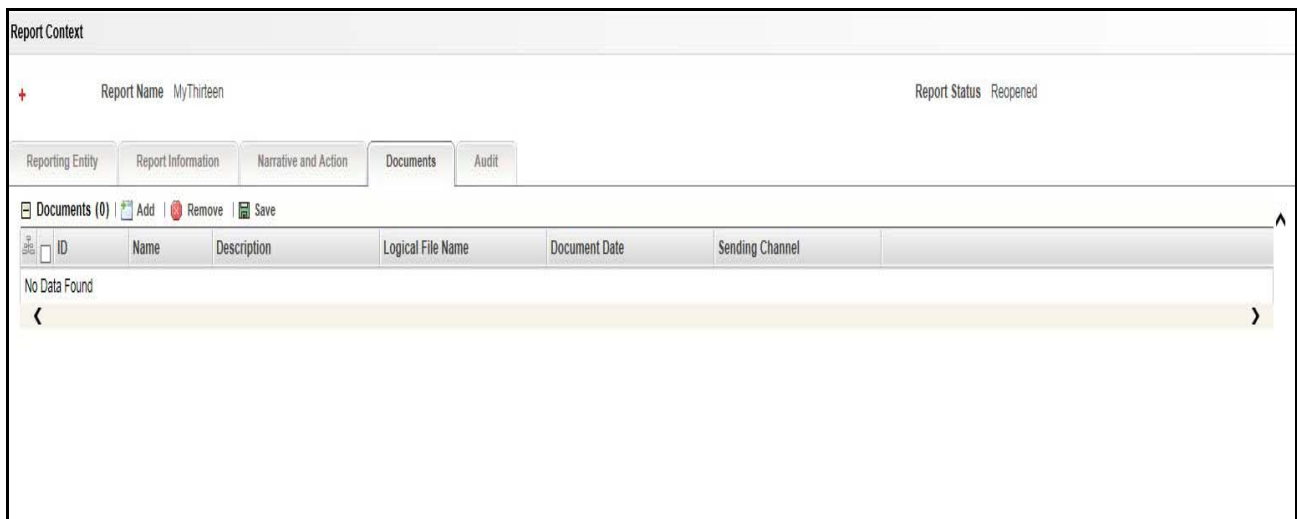- Document Date
- Sending Channel

Figure 24. Documents Tab

The Documents tab allows you to attach and remove documents related to an STR. While filing the STR with the regulatory authorities, you can also send additional documents. Sending the documents to the Regulator is the responsibility of the user and is out of scope of the application.

Users mapped to the role of an Analyst and Supervisor can attach and delete documents in various statuses except when the report is in *View Only* mode. For more information on various statuses in which an Analyst, Auditor, and Supervisor user can edit the report details, refer to *Table 4*.

To attach a document, follow these steps:

1. Navigate to the Report Details page.

2. Click **Documents**. The Documents section is displayed.

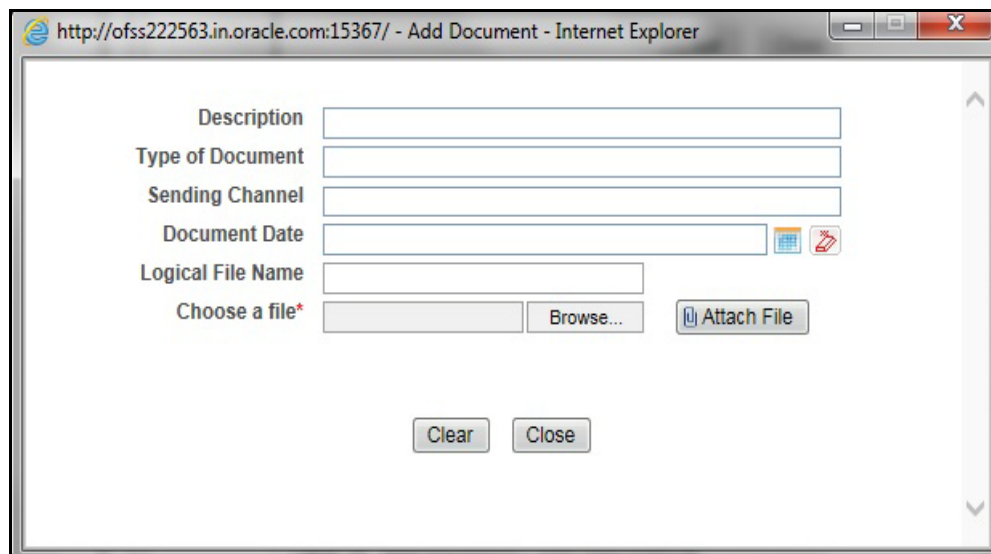3. Click **Add**. The Add Document window is displayed.

Figure 25. Add Document Window

4. The following table explains the fields in the Document tab.

Table 21. Add Document Fields description

Fields	Description
Description	Enter a brief description about the document attached.
Type of Document	Enter the type of document.
Sending Channel	Enter the Sending Channel for the document.
Document Date	Enter the date of the document.
Logical File Name	Enter a logical file name for the document. **Note:** If there is no logical name entered, then the document name will be considered as the Logical File Name.
Choose a File	Browse the file on your machine and upload the file

5. Click **Attach File**. The following message is displayed: *Add Operation Successful*

6. Click **OK**. The file is attached and you are navigated back to the Add Document pop-up window.

   You can click **Close** to navigate back the Document tab or can attach additional documents.

Editing the Document Details

All the fields in the document grid are in editable mode.
To edit the fields, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Documents** tab.

   The list of added documents associated with the report are displayed in the Documents grid.

3. Select the check box at the beginning of an added document row or click anywhere in the row.

   The document record changes into an editable mode.

4. Edit the required field.

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

6. Click **OK**. The document is updated with the latest changes.

Removing Documents

The Document tab allows you to remove the documents attached to a report.

To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Documents** tab.

   The list of documents associated to the reports is displayed in the Documents grid.

3. Select the check box of the document you want to delete.

4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record (s)?*

5. Click **OK**. The following message is displayed: *Record Removed Successfully.*

6. Click **OK**. The document is removed from the Documents grid.

Viewing Audit

The Audit tab displays actions taken on the report.

Figure 26. Audit Tab

The Audit tab displays the Actions grid and the Acknowledgement grid.

OFSCRR captures the following actions in the Audit tab:

- Created From Alert/Case

- Created Manually

- Modified Reporting Entity

- Modified Transaction or Disposition Details

- Modified Part B1 in Report Information

- Modified Part B2 in Report Information

- Modified Part C in Report Information

- Modified Part D in Report Information

- Modified Part E in Report Information

- Modified Part F in Report Information

- Modified Narrative and Action

- Added New Document

- Modified Document

- Removed Document

- Edit/ Delete Report

  - Originating Report

  - New Report

- E-File Generation Unsuccessfu

- Acknowledgement Details

  - If report is accepted then "Upload Acknowledgement" (Comments displayed will be "Report is Accepted")

  - If report is rejected then "Upload Acknowledgement" (Comments displayed will be "Report is Rejected" along with error message)

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

Table 22. Actions Grid Field Descriptions

Fields	Description
Date	Displays the date on which the action occurred.
Action By	Displays the name of the user who performed the action.
Action	Displays a short description of the action.
Comments	Displays the comments entered by the user while performing an action.

Taking Action on Reports

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

- Requesting the Report for Approval

- Approving Reports

- Reworking on Reports

- Cancel Filing of Reports

- Reopening Reports

- Generating Revised Reports

Requesting the Report for Approval

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

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

For more information, refer to *Table 2*.

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

1. Navigate to the Reports Details page of report in either *Open, Reopen, or Rework* status.
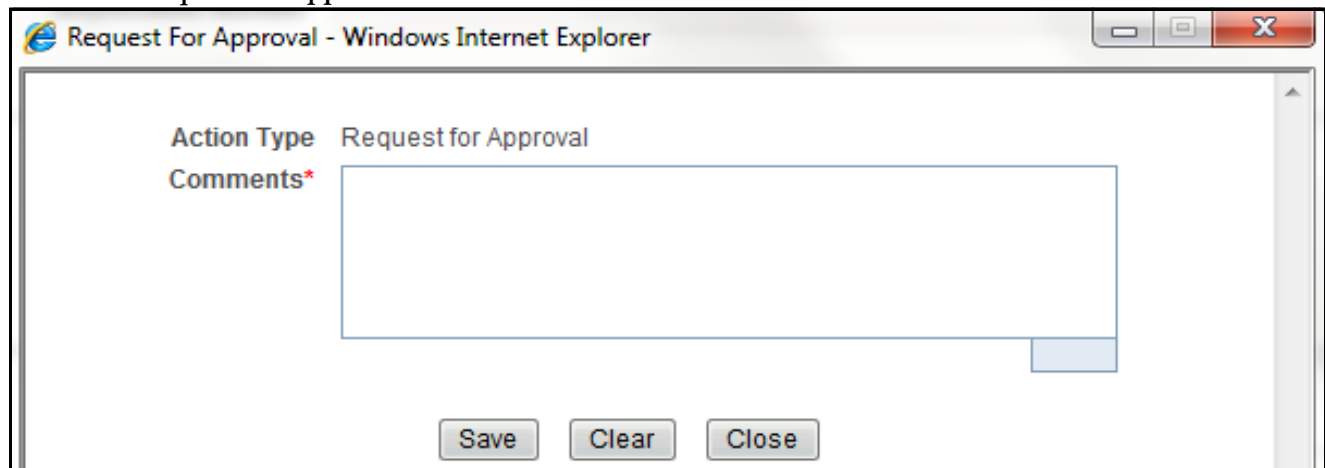
2. Click **Request for Approval**.

Figure 27. Request for Approval Window

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

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

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

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

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

Approving Reports

Authorized users can approve a report when it is in *Open*, *Reopened*, *Requested for Approval*, or *Rework* status. For more information, refer to *Table 3.*

To approve an STR, follow these steps:

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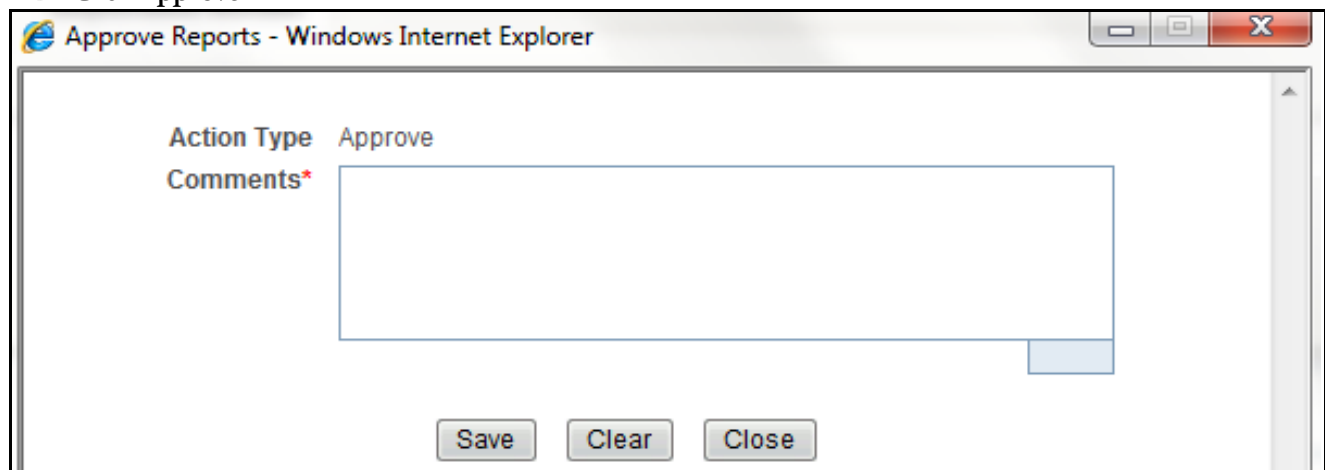
2. Click **Approve**.

Figure 28. Approve Reports Window

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

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

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

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

   Note: The naming convention for final STR is in the format STR_Alert/Case ID_Approved Date (DD-MM-YYYY_HH24-MM-SS).doc, if the report is created from OFSFCCM. You can rename the final STR while saving.

   Note: When the report is created manually, the naming convention for final STR is in the format STR_Manual_Approved Date (DD-MM-YYYY_HH24-MM-SS).doc.

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Approved*.

Note: Once the report is approved, the Compliance Regulatory Reporting application generates the final STR containing the required information that must be submitted to the regulatory authority. The Actions grid in the **Audit** tab tracks both the actions and the comments entered while performing the **Approve** action.

Reworking on Reports

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

If a report is sent for rework, the Analyst must rework on the report and submit again for approval. The process continues until the report is approved or cancelled.

To send a report for rework, follow these steps:

1. Navigate to the Report Details page.

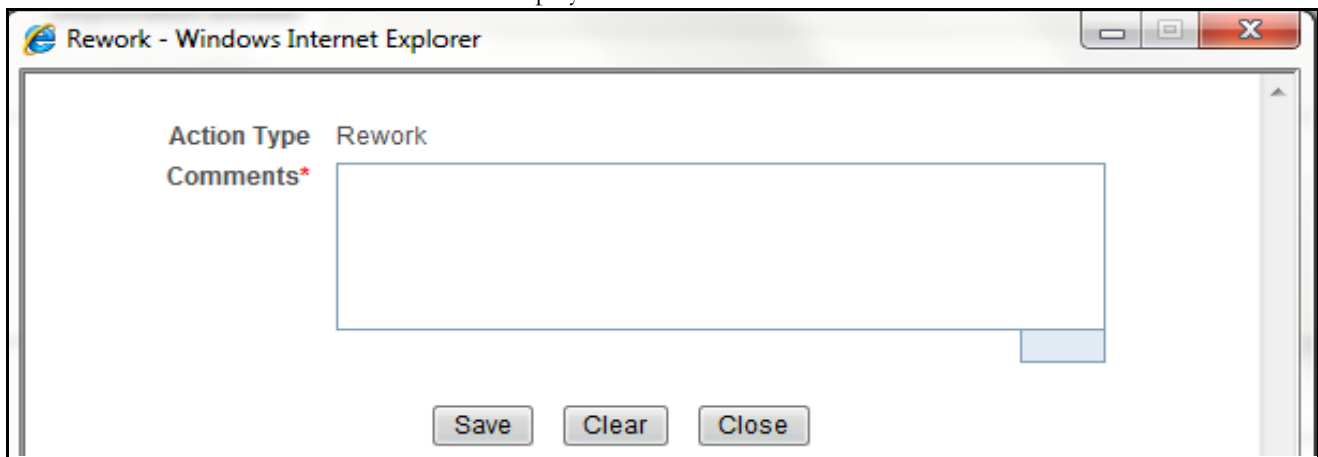2. Click **Rework**. The *Rework* window is displayed.

Figure 29. Rework Window

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

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

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

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

5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Rework*.

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

Cancel Filing of Reports

If the users determine that a report should not be filed, then they can cancel it.

The Report Details page allows authorized users to cancel the reports from being filed. For more information on users who can take cancel filing action, refer to *Table 2*.

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

Note: A cancelled report can be reopened by authorized users.

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

1. Navigate to the Report Details page.

2. Click **Cancel Filing**. The *Cancel Filing* window is displayed.
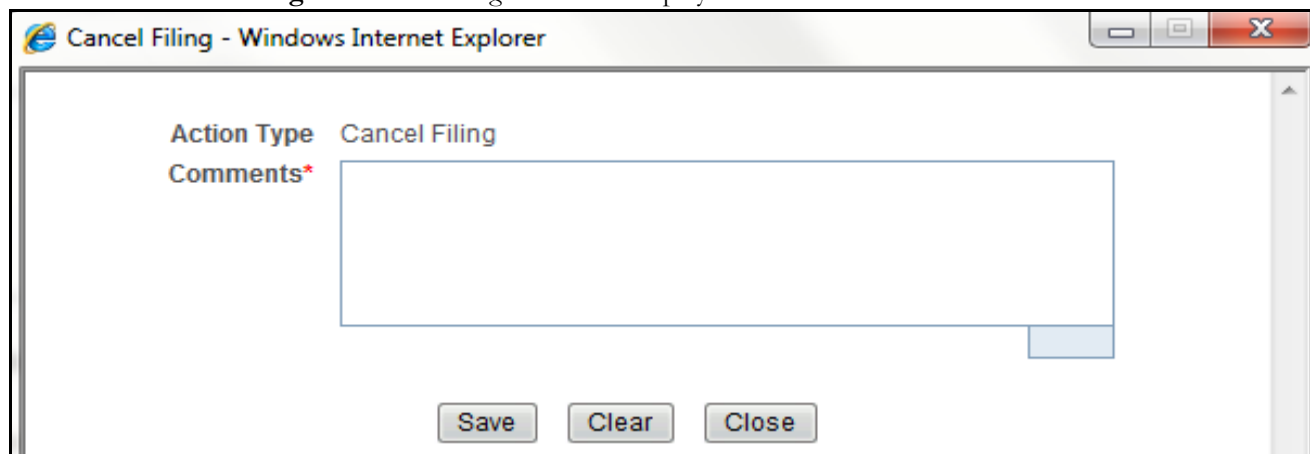

Figure 30. Cancel Filing Window

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

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

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

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

5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Cancelled*. The due date of the report is deleted on taking cancelled action

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

Reopening Reports

The Search and List page and the Report Details page allows authorized users to initiate reopen action on a report.

For more information, refer to Table 2.

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

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

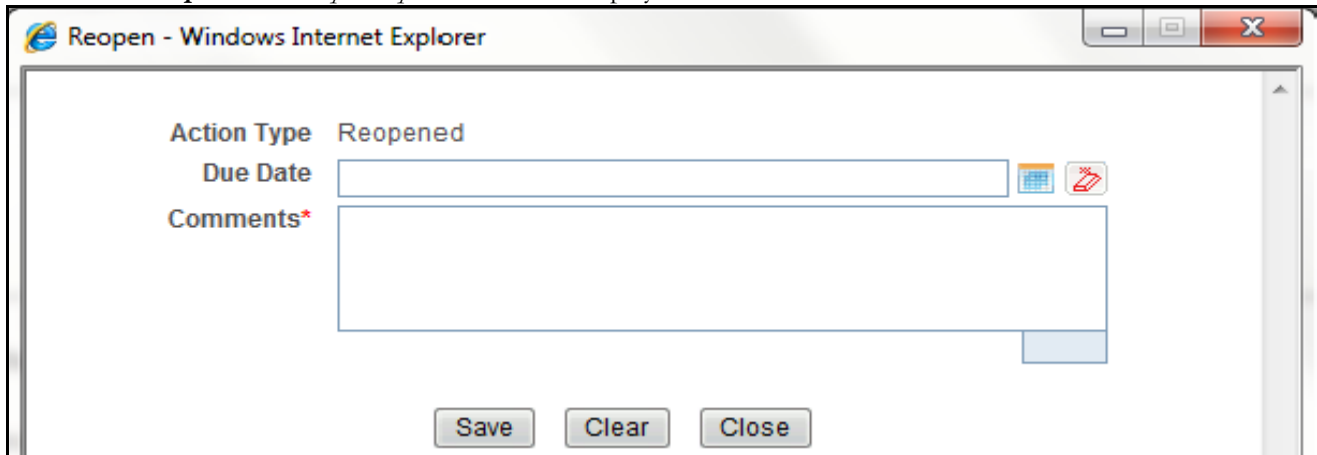2. Click **Reopen**. The *Reopen Reports* window is displayed.

Figure 31. Reopen Reports Window from Report Details Page

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

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

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

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

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Reopen*ed.

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

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

1. Navigate to the RR Search and List page.

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

   Note: You can select multiple reports from the search and list page and collectively reopen them. If you try to perform reopen action on reports other than in *Cancelled* status, the application displays the following message: *Some reports are not in Cancelled state. Reopen action can only be taken on Cancelled reports. Please deselect those reports and try again.*

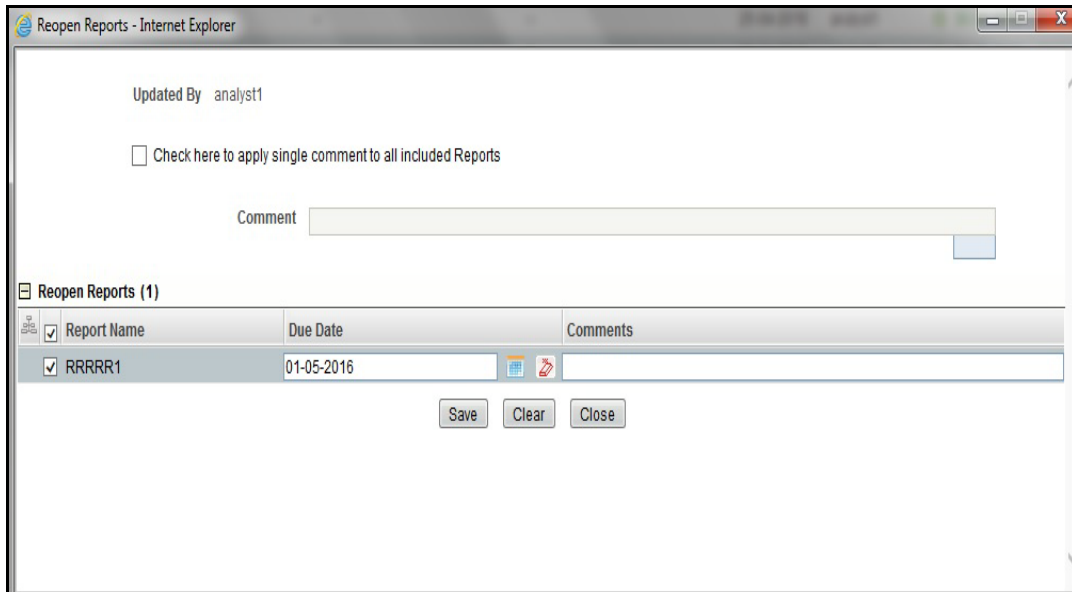3. Click **Reopen**. The *Reopen Reports* window is displayed.

Figure 32. Reopen Reports Window from Search and List Page

4. Set the due date and enter the comments in the *Reopen* window.

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

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

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

6. Click **OK**. The RR Search and List page is displayed and the status of the report changes to *Reopen.*

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

Generating Revised Reports

The Report Details page allows the authorized users to generate revised reports when the report is in *Acknowledged-Rejected* status. When the user generates a revised report, a new report is created with *Open* status. There is no change to the STR status. The new report retains all the details of the original report and records the originating report as the Prior Report Number. These new reports will receive a default due date as associated with the configuration for newly created reports generated through action from an alert or case.

To generate revised reports, follow these steps:

1. Navigate to the Report Details page of a report in *Acknowledged- Rejected* status.

2. Click **Generate Revised Reports**. The *Generate Revised Reports* window is displayed.

Figure 33. Generate Revised Reports Window

3. The Report Type is populated. Enter the comments in the *Generate Revised Reports* window.

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

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

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

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Open*.

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

Adding Comments to an STR

The Report Details page allows users mapped to the role of Analyst, Auditor, and Supervisor to add comments to a report. You can add comments to a report in any status.

To add comments to a report, follow these steps:

1. Navigate to the Report Details page of a report.

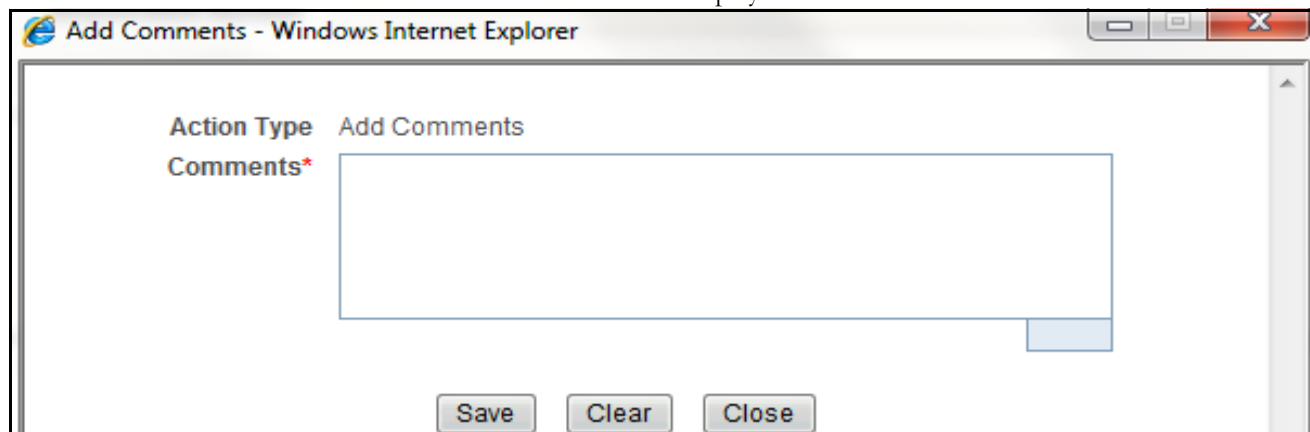2. Click **Add Comments**. The *Add Comments* window is displayed.

Figure 34. Add Comments Window

3. Enter the comments in the *Add Comments* window.

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

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

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

5. Click **OK**. The *Add Comments* window closes and displays the Report Details page.

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

Setting Due Date of an STR

Analyst and Supervisor users can set a due date or modify an existing due date of a STR.

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

Table 23. Behavior and Attributes for Various Roles

Attribute Name	Value	Behavior
Due Date with edit		Users mapped with this role will be able to set/edit/view 'due date'.
Due date with view		User mapped with this role will be able to view 'due date' but will not be able to set/edit the same.
Number of Days	N	When a report is created either manually or through action from alert/case, automatically sets due date to action date + N calendar days. If parameter is blank then no date is set. Default value would be 5 days.

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

Table 24. Statuses where Analyst and Supervisor can perform Set Due Date action

Menus	Roles			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	
Reopened	X	X	X	
Requested for Approval	X	X	X	
Rework	X	X	X	
Approved	X	X	X	
Cancelled				
Acknowledged				
Rejected from E-File				
E-File Generated	X	X	X	
Submitted				

Note: An auditor user can only view the Due Date but cannot set or edit it.

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

1. Navigate to the Report Details page of a report.

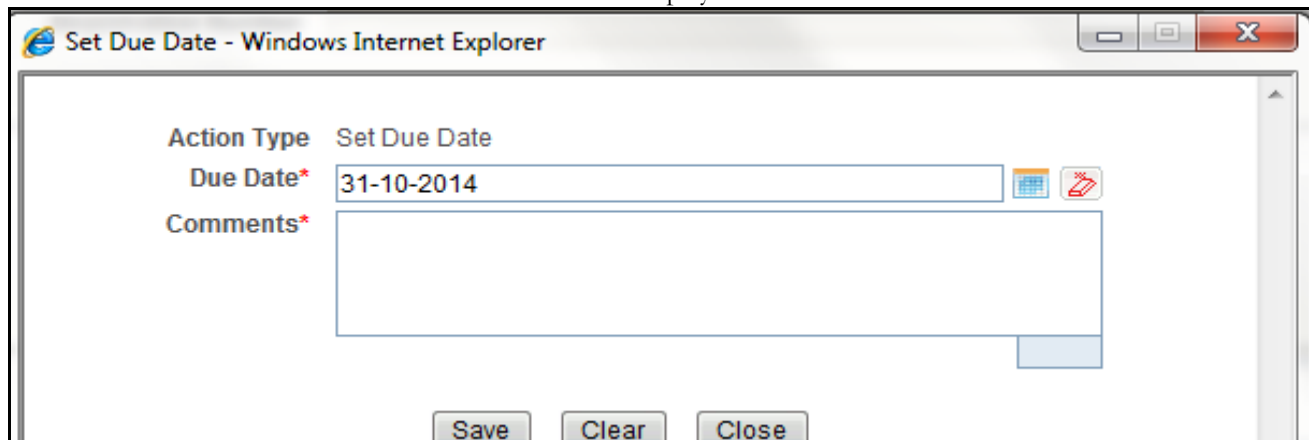2. Click **Set Due Date**. The *Set Due Date* window is displayed.

Figure 35. Set Due Date Window

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

   Note: This field is a mandatory field.

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

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

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

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

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

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

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

1. Navigate to the RR Search and List page.

2. Select the check-box of the report you want to set a due date for.

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

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

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

   Note: This field is a mandatory field.

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

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

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

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

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

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

Exporting the Report Details to Excel

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

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

1. Navigate to the RR Search and List page.

2. Click **Export to Excel**. The *Export Properties* Window is displayed.
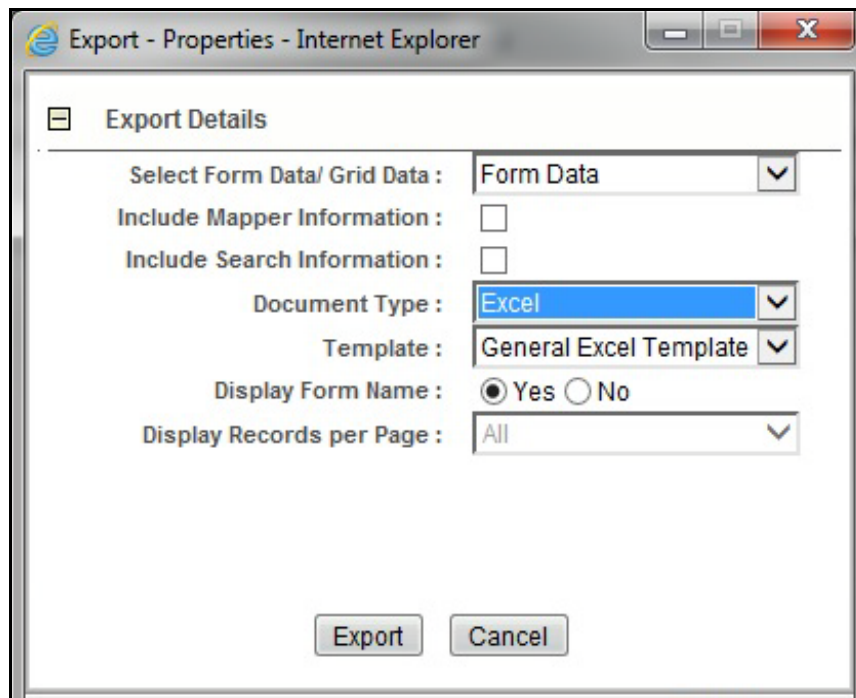
Figure 36. Export Properties Window

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

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

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

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

5. Click **Save** from the dialog box. The Save As dialog box is displayed.

6. Select a directory location where you want to save the file.

7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.

8. Click **Save**.

The application saves your file to the specified location.

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

CHAPTER 4 — *Filing Regulatory Reports*

This chapter describes the instructions for generating an e-file, filing regulatory report at FINTRAC, uploading the acknowledgment, and completing the STR process. Only users mapped to the role of *Supervisor* and *Analyst2* can generate the e-file.

This chapter discusses the following topics:

- Overview
- Approved Reports Tab
- E-File Status Tab
- Acknowledgement Tab

Overview

When a report is created in the application, the report details are entered and then submitted for approval. Once the report is submitted for approval, an authorized user validates the report details and either approves, rejects, or closes the report.

If the user approves the report, that report is available for e-file generation by an authorized user. The generated e-file is submitted with the FINTRAC E-Filing System. The e-file is validated by FINTRAC and an acknowledgment (*.asc* file) is generated. The acknowledgment file can then be uploaded into the OFSRR application. The application will then associate the FINTRAC returned Identifier to each STR within the e-file. At this point the user can then mark the STR process as complete.

This chapter explains the steps involved in filing approved reports.

Approved Reports Tab

The Approved Reports tab enables you to search for and display reports that are in an Approved state and are ready for e-filing. It is from this tab that you will generate the e-file.

Note: Supervisor, Analyst1 and Analyst2 can reject or close approved reports from this tab.

The Approved Reports tab allows you to perform any of the following actions:

- Searching Approved Reports
- Approved Report List
- Generating E-File
- Exporting Approved Report Details to Excel

Searching Approved Reports

To search for approved reports, follow these steps:

1. Login to the OFSRR application as a Supervisor/Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reporting** and click **Canada STR** and **File Reports**. The File Report page displays.

3. Click **Approved Reports** tab. The Advanced Report List page displays all the reports in *Approved* status.

Figure 37. Approved Reports List

4. To further filter the list of Approved reports, enter criteria in one or more of the provided filters, as described in the following table

Table 25. Approved Reports Search Bar Field Descriptions

Field Name	Description
Report Number	Enter the Approved Report Number in the text field to search for details of the exact report. You can also search for multiple Report Numbers by entering a string of comma-separated values in this field. This field is not a wildcard search. You can enter a maximum of 255 characters in this field.
Report Name	Enter the Approved report name to display the list of reports with name as specified in the search criteria. This field supports a wildcard search. You can use the% and _ as wildcard indicators**.** You can enter a maximum of 50 characters in this field.
Type of Report	Select the type of approved report from the drop-down list to search for details of the exact report. Following are the options available for the Type of Report drop-down list: ● New ● Corrected ● Delete ● Corrected and Deleted
Jurisdiction	Select the jurisdiction from the drop-down list to display approved reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case. Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.
Account Number	Enter the account number of the accounts involved in the suspicious activity reported in the approved STR. You can perform multiple account number search by entering a string of comma-separated values in this field.
Alert/Case ID	Enter the Alert/Case ID to display approved reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive. You can enter a maximum of 255 characters in this field. **Note:** Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.
Approved By	Select the name of the approver to search for approved reports approved by the selected user. **Note:** This field allows searching of reports with multiple options selected with user names displayed as drop-down options.
Approved Date >=	Select the approved date from the calendar to display approved reports having an approved date greater than or equal to the specified date.

Table 25. Approved Reports Search Bar Field Descriptions

Field Name	Description
Approved Date <=	Select the approved date from the calendar to display approved reports having an approved date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: *Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.* 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: *Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.*
Created By	Select the user who has created the approved report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected.
Created Date >=	Select the created date from the calendar to display approved reports having a created date greater than or equal to the specified date. **Note:** You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.
Created Date <=	Select the created date from the calendar to display approved reports having a created date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*
Due Date >=	Select the due date from the calendar to display approved reports having a due date greater than or equal to the specified date.
Due Date <=	Select the due date from the calendar to display approved reports having a due date lesser than or equal to the specified date. **Note:** If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then all the reports which are created after the Due Date are displayed. **Validations:** 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*

2. Click **Search**. The relevant search list displays.

   Note: If you click **Reset**, all search fields are set to default values (blank).

Approved Report List

The *Approved Report List* grid is displayed as per the search criteria in the Approved Reports page.

This displays the following columns:

- Report Number
- Report Name
- Type of Report
- Accounts Involved
- Number of Subjects
- Number of Transactions
- Number of Dispositions
- Jurisdiction
- Due Date
- Created By
- Created Date
- Regulatory Report
- Approved By
- Alert/Case ID
- Approved Date
- Submitted By
- Submitted Date
- Last Modified By
- Last Modified Date
- Prior Report Number

   Note:

   - Number of Subjects displays the number of reports that were selected 'Yes' in the Part D grid for the **Include in Report?** field.

Generating E-File

Once the status of a regulatory report changes to *Approved*, you can generate the e-file for those report(s) and upload the resultant *.txt* file into FINTRAC's E-Filing System.

Note: When an e-file is generated, an attachment zip file is created for the e-file with a .csv file in it. This *.zip* file is only available if attachments were associated with any STR within the E-File.

To generate e-file, follow these steps:

1. Login to the OFSRR application as a Supervisor/ Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. In the **Approved Reports** tab, the Advanced Report List page displays all the reports in *Approved* status. You can also use the Approved Report Search to filter the required reports in *Approved* status.

4. Click.**Generate E-File.** The Generate E-File window is displayed.
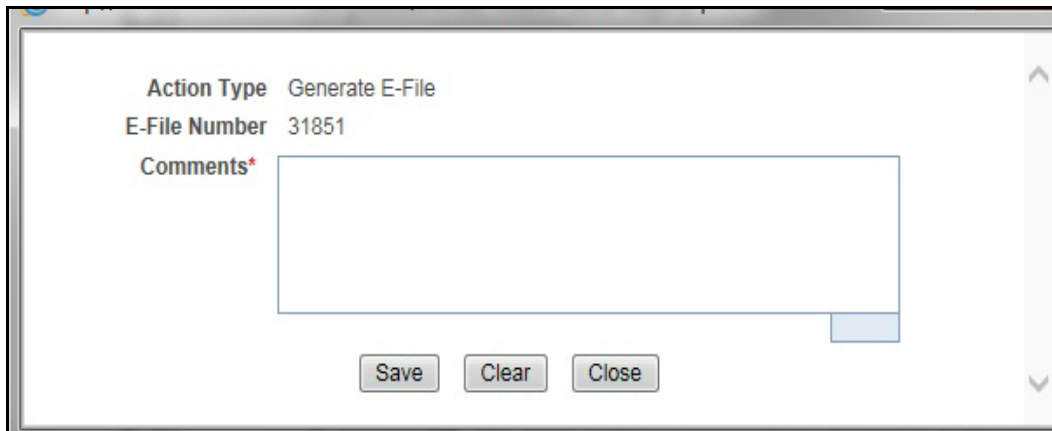
Figure 38. Generate E-File Window

5. Click **Save**. The following message displays: *E-File Generated Successfully.*

6. Click **OK**. The status of the regulatory report changes to *E-File Generated.*

   Note: The reports on which **Generate E-File** action is taken are moved from Approved Reports list to E-File List.

When two users try to generate e-file for the same report(s) at the same time, the following message displays: *One or more reports selected by you are locked by another user for generating E File or it has already been generated. Click OK to refresh the list*

If you try to E File/Reject a report which has already been locked by another user for E Filing, the application displays the following message: *<Report nm1>-<user>, <Report nm2>-<user>….. One or more r Report(s) selected by you are locked by another user and not available for action.*

If you try to E File a report which has already been generated/rejected, the application displays the following message: *<Report nm1>, <Report nm2>….. Report(s) selected by you has already been actioned to either include in an e-file or rejected from the e-file. So cannot perform this action.*

Exporting Approved Report Details to Excel

The File Reports page allows you to export the Approved report list into an Excel template.

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

1. Login to the OFSRR application as a Supervisor/ Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. In the **Approved Reports** tab, the Advanced Report List page displays all the reports in *Approved* status. You can also use the Approved Report Search to filter the required reports in *Approved* status.

4. Click **Export to Excel**. The *Export Properties* Window is displayed.

.
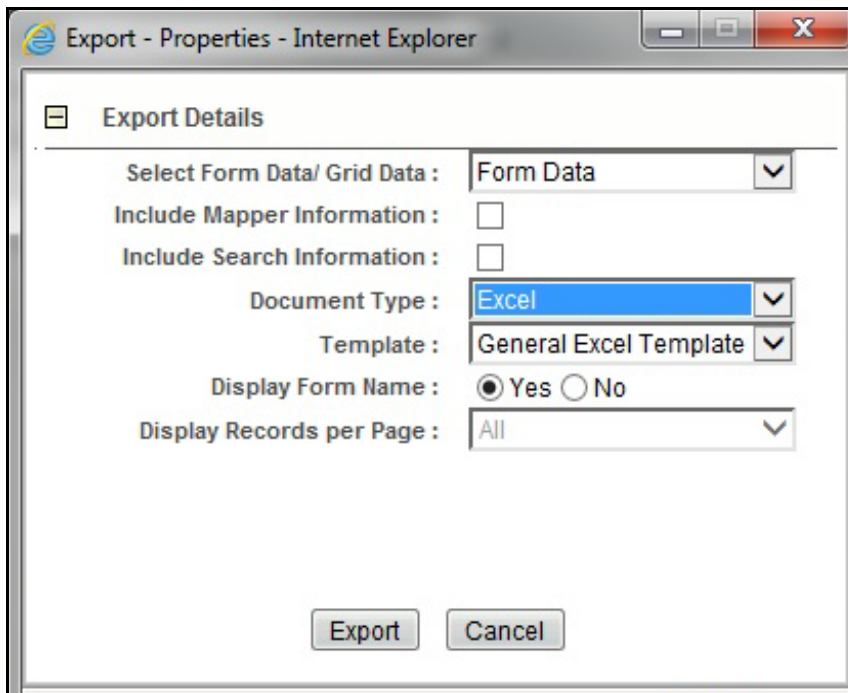
Figure 39. Export Properties Window

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

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

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

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

7. Click **Save** from the dialog box. The Save As dialog box is displayed.

8. Select a directory location where you want to save the file.

9. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.

10. Click **Save**.

The application saves your file to the specified location.

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

E-File Status Tab

The E-File Status tab in File Reports page allows for management of the e-files that have been generated. The E-File Status tab allows you to perform any of the following actions:

- Searching E-File
- E-File List
- Exporting E-File Details to Excel
- Submitting an E-File
- Uploading E-File Acknowledgement into OFSRR Application
- Regenerating E-File
- Rejecting STR(s) from E-File

Searching E-File

To search for E-File using the E-File search bar, follow these steps:

1. Login to the OFSRR application as a Supervisor/Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports,** click **Canada STR** and click **File Reports**. The File Report page displays.

3. Click the **E-File Status** tab.

Figure 40. E-File Status Tab

4. To further filter the list of e-files, enter criteria in one or more of the provided filters, as described in the following table:

Table 26. E-File Search Bar Field Description

Field Name	Description
E-file Number	Enter the E-File Number to search for e-files generated by the selected user.
E-file Status	Select the status of the E-File from the drop- down list to search for details of the E-File: ● Select All ● E-File Generated ● Submitted
Type of Report	Select the type of report from the drop-down list to search for details of the E-File. Following are the options available for the Type of Report drop-down list: ● New ● Corrected ● Delete ● Corrected and Deleted
E-File Generated By	Select a user role to search for e-files generated by the selected user.
E-File Generated >=	Select the e-file generated date from the calendar to display e-files generated greater or equal to the selected date.
E-File Generated <=	Select the e-file generated date from the calendar to display e-files generated lesser or equal to this date.
Report Number	Enter the number of the regulatory report for which the e-file is generated. Wildcard searches are supported using % as the wildcard symbol.
Report Name	Enter the name of the regulatory report for which the e-file is generated. Wildcard searches are supported using % as the wildcard symbol.
Jurisdiction	Select the jurisdiction from the drop-down list to display e-files generated for the reports mapped to the selected jurisdiction.
Account Number	Enter the account number of the accounts involved in the suspicious activity reported in the approved STR. You can perform multiple account number search by entering a string of comma-separated values in this field.
Alert/Case ID	Enter the Alert or Case ID of the report.

5. Click **Search**. The relevant search list displays.

E-File List

The *E-File List* grid is displayed as per the search criteria in the E-File status page. This displays the following columns:

● E-File Number

● Type of Report

● E-File Generated Date

● E-File Generated By

- Comments

- E-File Status

- E-File

Report List

The *Report List* grid is displayed when a particular E-File record is selected in the E-File List grid. This displays the following columns:

- Report Number

- Report Name

- Type of Report

- Accounts Involved

- Number of Subjects

- Number of Transactions

- Number of Dispositions

- Jurisdiction

- Due Date

- Created By

- Created Date

- Regulatory Report

- Alert/Case ID

- Approved By

- Approved Date

- Submitted By

- Submitted Date

- Last Modified By

- Last Modified Date

- Prior Report Number

Exporting E-File Details to Excel

The File Reports page allows you to export the E-File details into an Excel template.

To export the E-File details into an Excel template, follow these steps:

1. Login to the OFSRR application as a Supervisor/ Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. In the **E-File Status** tab, select the records that you want to export to Excel. Click **Export to Excel**. The *Export Properties* Window is displayed.

.
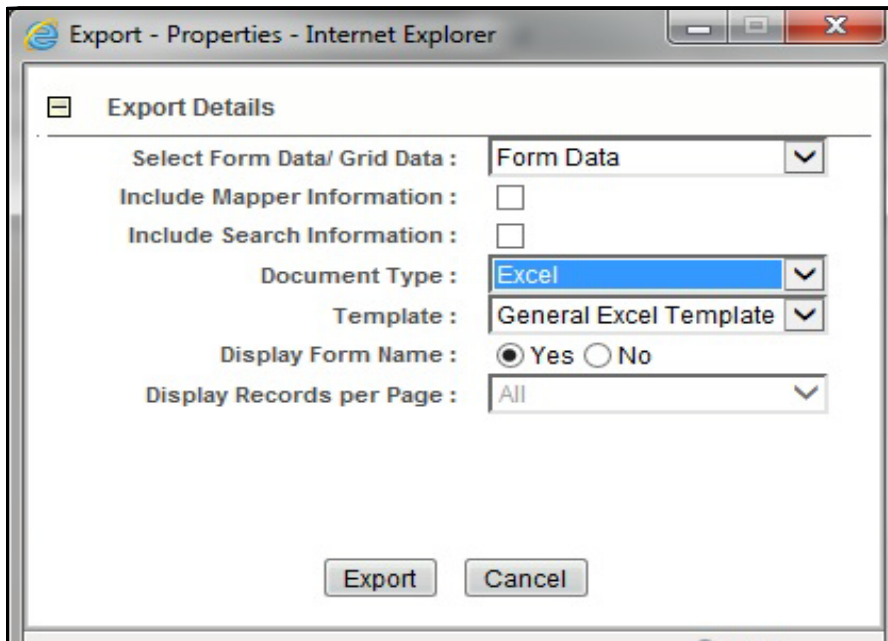
Figure 41. Export Properties Window

All the E-Files in the E-File List are exported into an Excel template.

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

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

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

6. Click **Save** from the dialog box. The Save As dialog box is displayed.

7. Select a directory location where you want to save the file.

8. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.

9. Click **Save**.
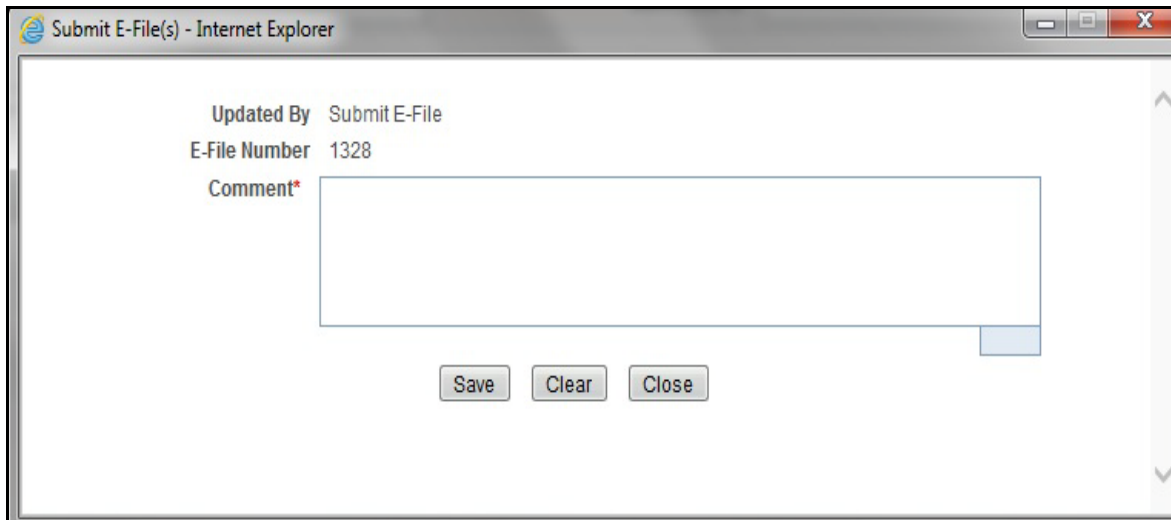
The application saves your file to the specified location.
Note: Open the file in Microsoft Excel to edit as needed.

Submitting an E-File

The E-File tab in the File Reports page allows you to submit an E-File which is in the *E-File Generated* or *E-File Regenerated* status. To submit an E-File, follow these steps:

1. Login to the OFSRR application as a Supervisor/ Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. In the **E-File Status** tab, select a record/ records which are in the *E-File Generated* or *E-File Regenerated* status from the E-File List.

4. Click **Submit.** The Submit E-File window is displayed.

Figure 42. Submit E-File Details

5. Enter the comments and click **Save.** The status of the E-file changes to *Submitted*.

Uploading E-File Acknowledgement into OFSRR Application

After downloading the acknowledgments from FINTRAC, you can update the status of regulatory reports in the OFSRR application. Once you upload the acknowledgment (*.asc*) file into the application, the file is then parsed to each report.

To upload the acknowledgment, follow these steps:

1. Login to the OFSRR application as Supervisor/ Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. Click the **E-File Status** tab. From the E-File List results, select the record for which you want to upload the acknowledgment. This record should be in *Submitted* status.

4. Click **Upload Acknowledgment**. A STR Acknowledgment window displays.

Figure 43. Upload Acknowledgment Window

5. Enter a **Logical File Name** for the acknowledgment.

6. Click **Choose a File** field and upload the respective *.asc* file saved from FINTRAC's E-Filing System.

7. Click **Attach File**. The following message displays: *Add Operation Successful.*

8. Click **OK**.

9. Enter the details in the STR Acknowledgment window as described in the following table:

Table 27. Acknowledgment Window Field Descriptions

Field Name	Description
E-File Name	Displays the e-file name. Note: This field is auto generated
Ack Updated By	Displays the name of the user role who is updating the acknowledgment. **Note**: This field is auto generated.
Ack Received On	Select the date from the calendar on which the acknowledgment was received.
Ack Number	Enter the acknowledgment number.
EFile Comments	Enter any comments in this field.

10. Click **Save**. The following message displays: *Update Operation Successful.*

11. Click **OK**. You are navigated back to E-File List results.

Note:
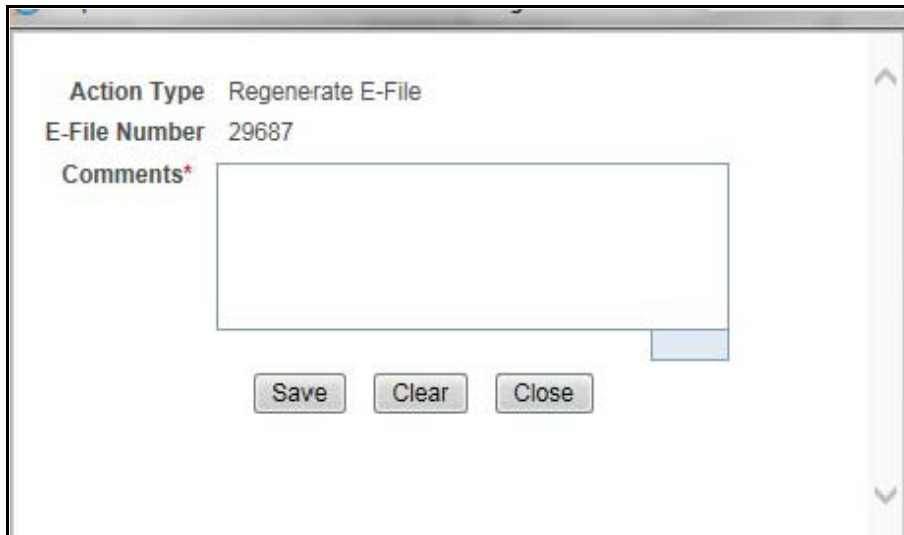
● Once you have uploaded the acknowledgment file successfully into the OFSRR application, the *.asc* file can be viewed and saved from the e-file list results. To view the acknowledgment file, select a record and click

[icon]. A file download window prompts to **Open** or **Save** the *.asc* file.

● When you try to upload an acknowledgment file for an e-file for which a .asc file is already uploaded, the following warning message is displayed: *Acknowledgment has already been uploaded*

● When an upload acknowledgment action does not pass the validation check, the following error message is displayed: *The number of STRs in the acknowledgment file does not match the number of STRs in the selected e-file. No updates will be made. Please verify you have the correct acknowledgment file.*

Regenerating E-File

The File Reports page allows you to regenerate an E-File that is in the *Acknowledged- Rejected* status. If you try to regenerate an E File which is any other status, the application displays the following message: *Regenerate E-File action can only be taken on Acknowledged- Rejected E-File.*

To export regenerate an E-File, follow these steps:

1. Login to the OFSRR application as a Supervisor/ Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. In the **E-File Status** tab, the Advanced Report List page displays all the reports in *Approved* status. You can also use the Approved Report Search to filter the required reports in *Approved* status.

4. Select a record which is in the *Acknowledged- Rejected* status. Click **Regenerate E-File**. The Regenerate E-File window is displayed.

5. Enter the Comments and click **Save**. The following message displays: *E-File Generated Successfully*

6. Click **OK**. The E-File is regenerated with the same E-File Number. The status changes to *E-File Generated*.

Rejecting STR(s) from E-File

You can reject STR(s) from an e-file at any point of time before completing the STR process. Once an STR report is rejected from an e-file, it is removed from the reports list and the status of the rejected report changes to *Rejected from E-File*.

Only the records which are in *E-File Generated* status can be rejected. For STR(s) that are not rejected, a new e-file is regenerated.

You can correct/amend a rejected report and submit for Supervisor's approval. Once the corrected report is approved, you can follow the workflow of filing a regulatory report all over again as explained earlier.

Note: Once an e-file has been uploaded and accepted by FINTRAC, it is advised that you do not reject STRs from the e-file until after the acknowledgment file has been uploaded and parsed. If you reject a report after submission but before processing the acknowledgment files there will be a mismatch in the files referenced in the acknowledgment file and the current e-file. If a report is rejected prior to uploading the acknowledgement into the application, then you have to re-submit the e-file at FINTRAC's E-Filing System to get the latest acknowledgment file.

To reject STRs from an e-file, follow these steps:

1. Login to the OFSRR application as a Supervisor/Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. Click **E-File Status** tab.

4. From E-File List results, click E-File Number of an e-file record that you want to reject. The Reports that are a part of the corresponding E-File are displayed.

5. Click **Reject**.
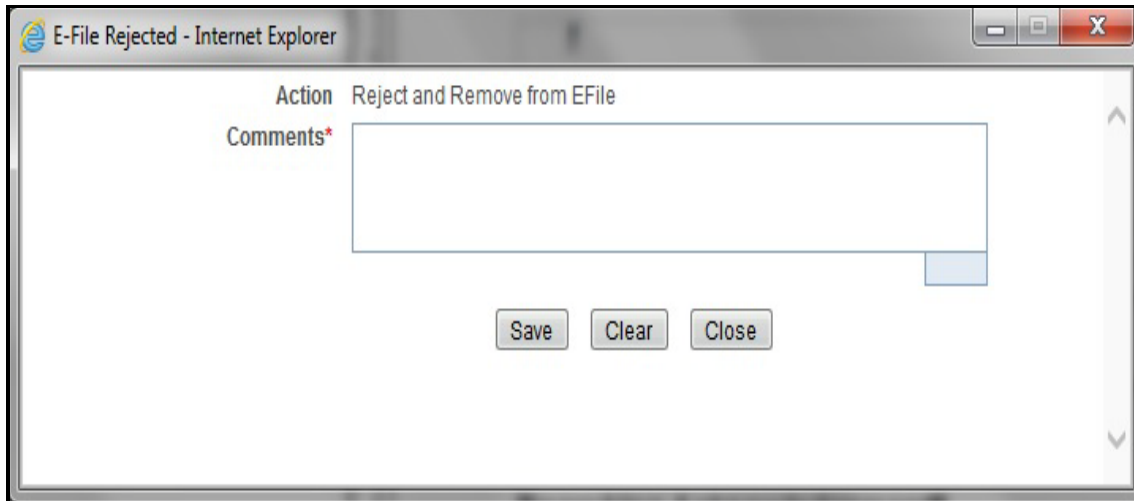
Figure 44. E-File Rejected Window

6. Enter comments in the comments field and click **Save**. The following message displays: *Reports Successfully removed from E-File.*

    Note: The comments box in the E-File rejected window allows entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: *Number of characters exceeded.*

7. Click **OK**. The rejected e-file is removed from the E-File List results.

Acknowledgement Tab

The Acknowledgement tab in File Reports page allows for management of the Acknowledgements that have been uploaded. The Acknowledgement tab allows you to perform any of the following actions:

- Searching Acknowledgement

- Acknowledgement Receipts List

- Exporting Acknowledgement Receipt Details to Excel

- Viewing Batch Acknowledgement and Report Details

Searching Acknowledgement

The Acknowledgement tab in File Reports page allows for management of the Acknowledgements that have been uploaded.

To search for Acknowledgement receipts using the Acknowledgement search bar, follow these steps:

1. Login to the OFSRR application as a Supervisor/Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports,** click **Canada STR** and click **File Reports**. The File Report page displays.

3. Click the **Acknowledgements** tab.

Figure 45. Acknowledgement Tab

4. To further filter the list of Acknowledgement receipts, enter criteria in one or more of the provided filters, as described in the following table:

Table 28. Acknowledgement Search Bar Field Description

Field Name	Description
E-file Number	Enter the E-File Number to search for acknowledgements uploaded.
Acknowledgement Uploaded Date >=	Select the Acknowledgement uploaded date from the calendar to display Acknowledgement receipts uploaded greater or equal to the selected date.
Acknowledgement Uploaded Date <=	Select the Acknowledgement uploaded date from the calendar to display acknowledgement receipts uploaded lesser or equal to this date.

5. Click **Search**. The relevant search list displays.

Acknowledgement Receipts List

The *Acknowledgement Receipts List* grid is displayed as per the search criteria in the Acknowledgement page. This displays the following columns:

- Record Number
- E-File Number
- Report Type
- Date batch processed by FINTRAC
- Batch Status
- Reports Rejected
- Total reports processed
- Acknowledgement File
- Time batch processed by FINTRAC
- Sub-Headers Accepted
- Duplicate reports ignored
- Reports Deleted
- New reports accepted

Exporting Acknowledgement Receipt Details to Excel

The File Reports page allows you to export the Acknowledgement Receipt details into an Excel template.

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

1. Login to the OFSRR application as a Supervisor/ Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. In the **Acknowledgement** tab, select the records that you want to export to Excel. Click **Export to Excel**. The *Export Properties* Window is displayed.
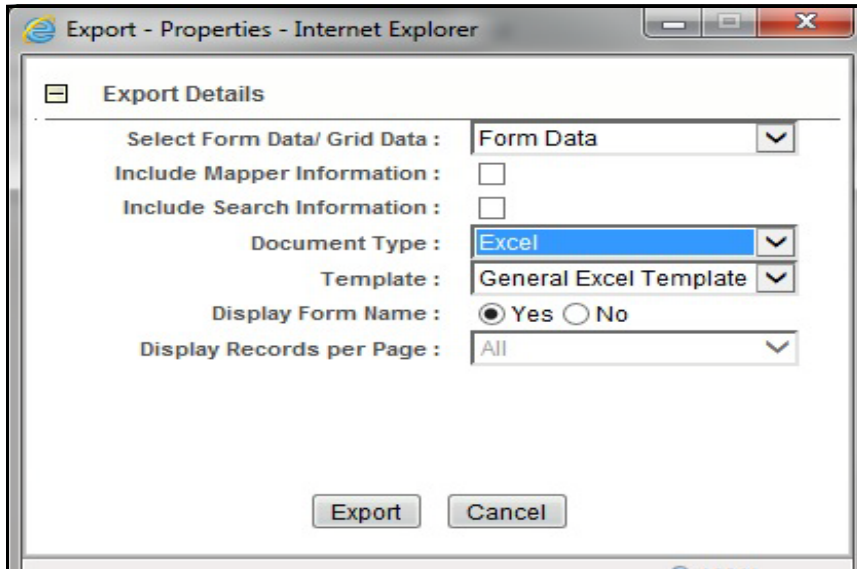

Figure 46. Export Properties Window

All the Acknowledgement Receipts in the Acknowledgement Receipts List are exported into an Excel template.

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

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

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

6. Click **Save** from the dialog box. The Save As dialog box is displayed.

7. Select a directory location where you want to save the file.

8. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.

9. Click **Save**.

    The application saves your file to the specified location.

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

Viewing Batch Acknowledgement and Report Details

When you click on an Acknowledgement Receipt record, the Batch Acknowledgement and Report details are displayed. This information is retrieved from parsing an E-File.

The following information is displayed in the Batch Acknowledgement Details section:

- E-File Number

- Report Type

- Batch Date

- Batch Time

- Batch Sequence ID

- Operational Mode

- Date Batch Processed by FINTRAC

- Time Batch Processed by FINTRAC

- Batch Status

- Reports Rejected

- Sub-Headers Accepted

- Duplicate Reports Ignored

- Reports Deleted

- New Reports Accepted

- Total Reports Processed

This section also displays the reports included in the E-File which has received a warning/ error message.

Figure 47. Acknowledgement Tab - Report Details

The following columns are displayed:

- Record Number

- Report Number

- Sub-Header Sequence Number

- Report Sequence Number

- Transaction Sequence Number

- Disposition Sequence Number

- Field Number

- Reject Code

- Error Messages

- Error Status

- Comments

Exporting Report Details to Excel

The File Reports page allows you to export the report list which have received error/ warning messages into an Excel Template.

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

1. Login to the OFSRR application as Analyst2.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. In the **Acknowledgement** tab, from the Reports List section, select the records that you want to export to Excel. Click **Export to Excel**. The *Export Properties* Window is displayed.
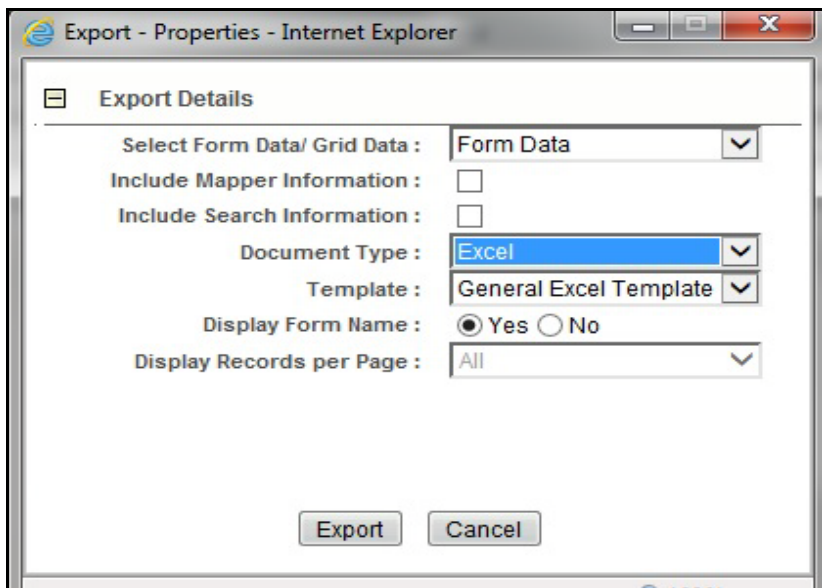

Figure 48. Export Properties Window

All the Reports in the Reports List are exported into an Excel template.

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

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

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

6. Click **Save** from the dialog box. The Save As dialog box is displayed.

7. Select a directory location where you want to save the file.

8. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.

9. Click **Save**.

   The application saves your file to the specified location.

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

Updating Reports in E-File

The Acknowledgement tab allows you to update the reports which have received error/ warning messages. To update the reports, follow these steps:

1. Login to the OFSRR application as a Supervisor/ Analyst.

2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.

3. In the **Acknowledgement** tab, from the Reports List section, select the records that you want to update. Click **Mark as Corrected**. The *Mark as Corrected* Window is displayed.
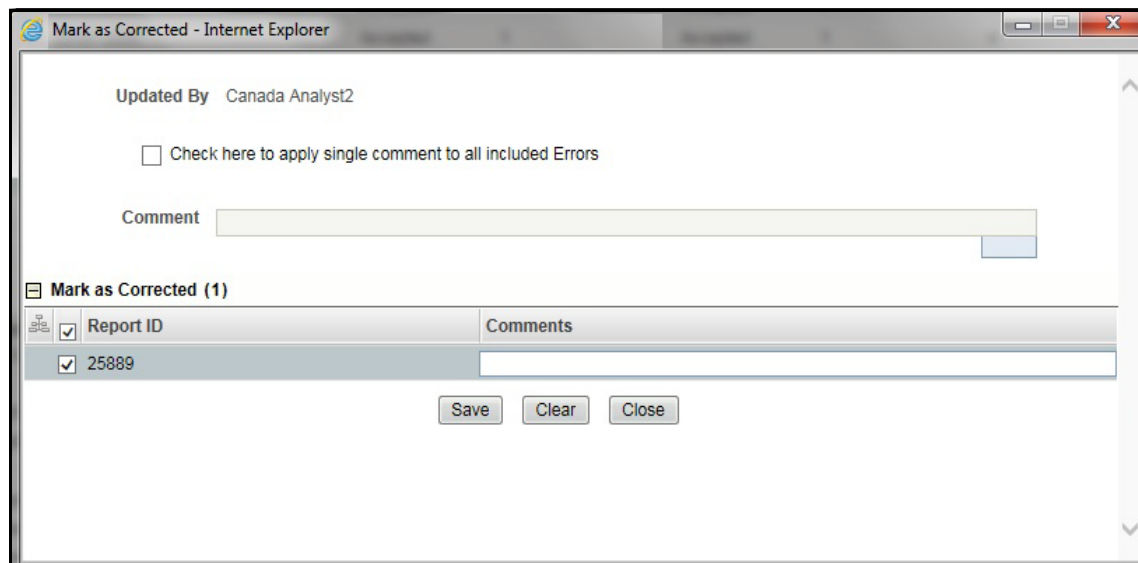

Figure 49. Acknowledgement Tab- Mark as Corrected

4. Enter the reasons and comments if the error/ warning of the record has been corrected in the **Comments** field. This is a mandatory field.

5. Click **Save**. The Error Status changes to *Corrected* in the Report Details list.