

Oracle Financial Services
Compliance Regulatory Reporting
Uganda Suspicious Transaction Report
User Guide

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Compliance Regulatory Reporting
Uganda Suspicious Transaction Report

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

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About This Guide

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

This chapter discusses the following topics:

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

Who Should Use this Guide

The *Oracle Financial Services Compliance Regulatory Reporting User Guide* 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 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 Compliance Regulatory Reporting*, explains the workflow of regulatory reports.

Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*: 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 Uganda 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
<i>Italics</i>	<ul style="list-style-type: none"> Names of books, chapters, and sections as references Emphasis
Bold	<ul style="list-style-type: none"> Object of an action (menu names, field names, options, button names) in a step-by-step procedure Commands typed at a prompt User input
Monospace	<ul style="list-style-type: none"> Directories and subdirectories File names and extensions Process names Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
Asterisk	Mandatory fields in User Interface
<Variable>	Substitute input value

About Compliance Regulatory Reporting

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

This chapter discusses the following topics:

- Introduction 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), and Phillipines STR (PH 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 UG 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.

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

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

This chapter explains the following topics:

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

User Roles

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

- **Analyst:** This user can 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.
- **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. This user can also submit the reports.
- **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	Supervisor	Auditor	RR Admin
View Report	x	x	x	
Request for Approval	x			
Approve		x		
Rework		x		
Cancel Filing from Open and Reopen status	x	x		
Cancel Filing from Requested for Approval and Approved status		x		
Add Report Comments	x	x	x	

Table 2. User Access

Function	Analyst	Supervisor	Auditor	RR Admin
View/Save Final Report	x	x	x	
Submit Approved Reports		x		
Reopen Cancelled Reports	x	x		
View/Edit Configuration				x
Create New Report	x	x		
Generate Revised Report	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.



The screenshot shows the OFSAAI Login Page. At the top left is the Oracle logo. To its right, the text reads "Financial Services Analytical Applications Infrastructure" with a smaller "About" link below it. The main content area is divided into two sections. On the left, there is a form with three fields: "Language" with a dropdown menu currently showing "US-English", "User ID" with an empty text box, and "Password" with an empty text box. Below these fields is a blue "Login" button. On the right side of the form area is a large image of a classical building with tall columns and a modern glass skyscraper in the background. At the bottom of the image area is the Oracle logo. At the very bottom of the page, there is a footer with the text "Version 7.3.5.0.0" and "Copyright © 1993, 2014 Oracle and/or its affiliates. All rights reserved."

Figure 1. OFSAAI Login Page

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

5. Click **Login**. The OFSAAI Home page is displayed.



Figure 2. OFSAAI Home Page

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

7. From the Compliance Regulatory Reporting menu, hover over Uganda STR, and click **Search and List**. The RR Search and List page opens.

Regulatory Reporting >> Uganda STR >> Search and List

Search Views Advanced Search Reset Go

Report Number Alert/Case ID Created By Jurisdiction Report Name Customer Name Created Date >= Due Date >= Report Status Transaction Account Number Created Date <= Due Date <=

Regulatory Reports (8)

Unwrap Create New Report Reopen Set Due Date Submit Export to Excel

Report Number	Report Name	Alert/Case ID	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
156	ug test 1	1	25-10-2014	Uganda Supervisor	01-11-2014	Open	[icon]	[icon]
162	ug test 1	111	25-10-2014	Uganda Supervisor	01-11-2014	Open	[icon]	[icon]
230	CA100108-10252014151136	CA100108	25-10-2014	Supervisor	01-11-2014	Open	[icon]	[icon]
275	217-10252014151239	217	25-10-2014	Supervisor	01-11-2014	Open	[icon]	[icon]
343	CA100109-10252014155245	CA100109	25-10-2014	Supervisor	01-11-2014	Open	[icon]	[icon]
395	214-10272014091319	214	27-10-2014	Supervisor	03-11-2014	Open	[icon]	[icon]
546	374-10272014165659	374	27-10-2014	Supervisor	03-11-2014	Open	[icon]	[icon]
604	245-10282014145633	245	28-10-2014	Supervisor	04-11-2014	Open	[icon]	[icon]

Figure 3. RR Search And List Page in OFSFCCM

- Users mapped to Analyst, 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.
- **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*.

Managing Compliance Regulatory 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
- 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 Compliance Regulatory Reporting application:

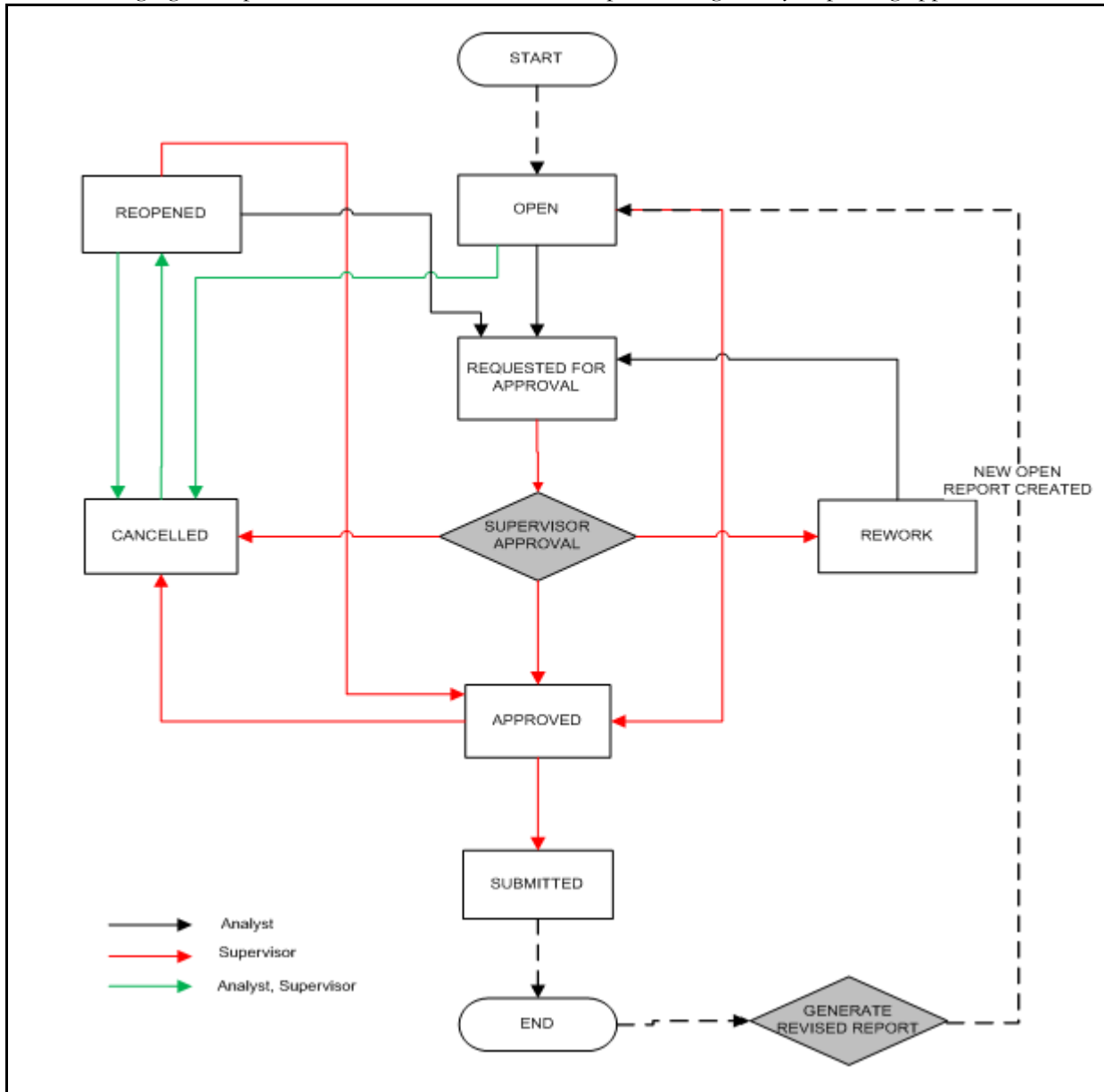


Figure 4. Compliance Regulatory Reporting workflow for Analyst and Supervisor

An STR is created in the Compliance Regulatory Reporting application as a result of taking *Generate UG 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 can update the report in *Open* status and request the report details for approval. 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 STR is approved by the Supervisor, the Compliance Regulatory Reporting application generates the STR in final PDF format after all the necessary validations. The STR is then manually submitted to the Regulator. Submission to the Regulator occurs outside of OFSCRR. The STR status can then be marked as *Submitted* in the Compliance Regulatory Reporting application.

An Analyst or Supervisor can generate revised reports when the report is in *Submitted* 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.

The Supervisor can cancel the submitted reports. The STR status changes to *Cancelled*.

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.

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* .

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 *Submitted* 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	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst and Supervisor	Cancelled
Reopened	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst and Supervisor	Cancelled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	Cancelled
Approved	Submitted	Supervisor	Submitted
	Cancel Filing	Supervisor	Cancelled
Rework	Request for Approval	Analyst	Requested for Approval
Cancelled	Reopen	Analyst and Supervisor	Reopened
Submitted	Generate Revised Report	Analyst/Supervisor	No change to status

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		
	Analyst	Supervisor	Auditor
Open	X	X	
Reopened	X	X	
Requested for Approval		X	
Approved			
Rework	X	X	
Submitted			
Cancelled			

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		
	Analyst	Supervisor	Auditor
Open	X	X	X
Reopened	X	X	X
Requested for Approval	X	X	X
Approved	X	X	X
Rework	X	X	X
Submitted	X	X	X
Cancelled	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 UG 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.

The screenshot displays the Alerts Search and List Page. The top navigation bar includes Home, Monitoring (selected), Investigation, Research, Regulatory Reporting, Reports, Preferences, and About. The Alerts section is active, showing a search interface with various filters and a table of alerts.

Search criteria:

- Created From: 10/12/2014
- Organization: [Dropdown]
- Scenario Class: [Dropdown]
- Status: [Dropdown]
- Closing Action: [Dropdown]
- Created To: 11/11/2014
- Owner: [Dropdown]
- Scenario: [Dropdown]
- Focus: [Dropdown]
- Score: [Dropdown]

Search By Alert ID: 13542
Note: Search by Alert ID will ignore all other search criteria.

Alert List (1)

Alert ID	Score	Focus Type	Focus	Scenario	Highlights	Created	Business Date	Status	Due	Owner	Last Follow-up/Close Action	Linked Cases
13542	0	AC	ACEMPTRANBELOWLIMITEE-001	Emp Trans Below Limit	2 Matches, 1 Scenarios	09/05/2014	12/10/2009	Open	--	SUPERVISOR	--	0

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.

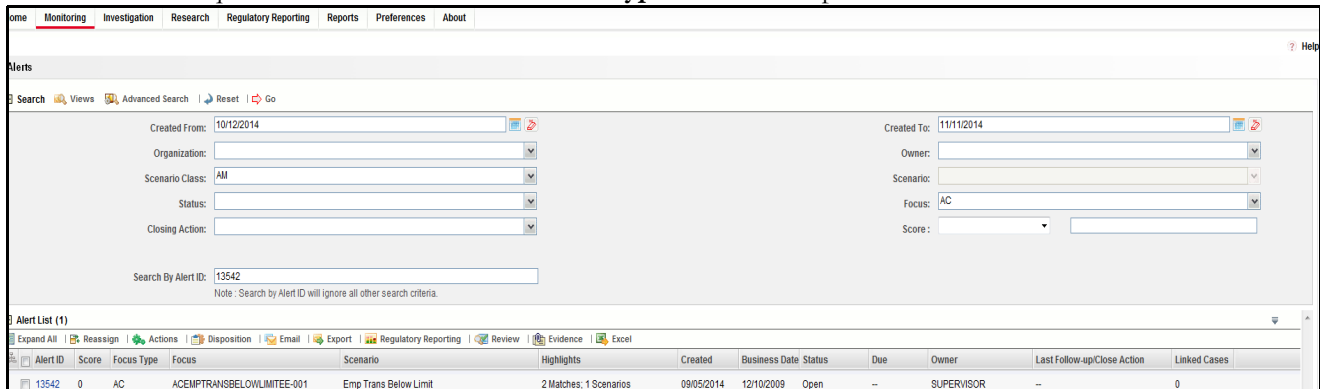


Figure 6. Alerts Advanced Search

Note: You can generate STRs only for specific a Scenario Class and Focus Type. For more information, refer to *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 UG STR** from the Choose Action drop-down list in the *Monitoring Actions* Window and enter the comments

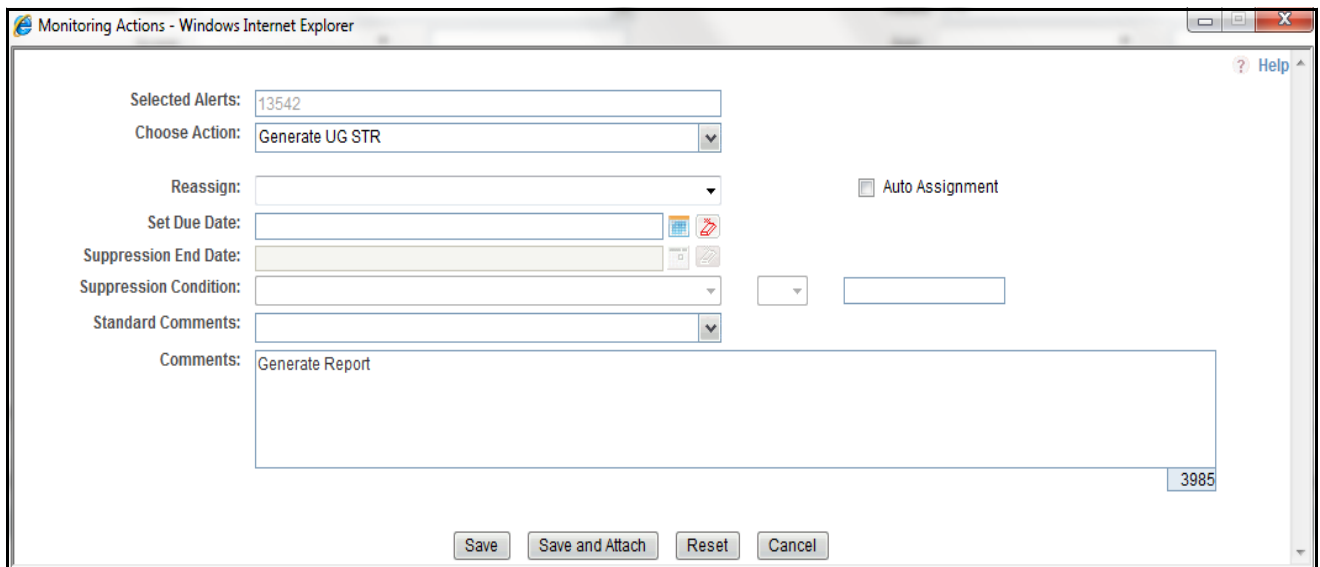


Figure 7. Monitoring Actions Window

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 UG STR** action was taken is displayed in the RR Search and List page.

Note: You can also perform **Generate UG 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.

Case ID	Title	Type	Subtype	Due Date	Priority	Status	Owner	Assigned To	Linked Alert	Linked Cases	Created Date
CA800121	ds	Anti-Money La...	Patriot Act - Cl...	05/22/2014	High	Monitor	SUPERVISOR	SUPERVISOR	3	0	05/20/2014
CA1600116	Anticipate Prof...	Fraud	Account and P...	05/23/2014	High	File KE STR	SUPERVISOR	SUPERVISOR	1	0	05/23/2014
CA3800102	Hidden Relat...	Anti-Money La...	AML Surveillance	--	High	File RW STR	SUPERVISOR	SUPERVISOR	1	0	06/13/2014
CA2400101	AC w/ Mult AD ...	Anti-Money La...	AML Surveillance	--	High	File KE STR	SUPERVISOR	SUPERVISOR	1	0	05/27/2014
CA2300101	Anticipate Prof...	Anti-Money La...	Terrorist Finan...	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	05/23/2014
CA1800103	HR Trans - Fo...	Anti-Money La...	Terrorist Finan...	--	High	File KE STR	SUPERVISOR	SUPERVISOR	2	0	05/23/2014
CA1700107	Anom ATMSB...	Anti-Money La...	Terrorist Finan...	--	High	File KE STR	SUPERVISOR	SUPERVISOR	1	0	05/23/2014
CA1700101	CA1700101	Anti-Money La...	Patriot Act - Cl...	--	High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1600137	CA1600137	Anti-Money La...	Patriot Act - Cl...	--	High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1600122	CA1600122	Fraud	Access/Online...	--	High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1600117	CA1600117	Anti-Money La...	Terrorist Finan...	--	High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1600116	CA1600116	Anticipate Prof...	Fraud	Account and P...	--	High	File KE STR	SUPERVISOR	1	0	05/23/2014
CA1600109	CA1600109	Anti-Money La...	AML Surveillance	--	High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1600102	CA1600102	Fraud	Account and P...	--	High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1500112	CA1500112	Fraud	Account and P...	--	High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/22/2014
CA1500102	CA1500102	Fraud	Employee Fraud	--	High	Investigation	SUPERVISOR	SUPERVISOR	0	0	05/22/2014
CA800107	HR Trans - H...	Anti-Money La...	Enhanced Du...	--	High	Investigation	SUPERVISOR	SUPERVISOR	1	0	05/20/2014
CA4100143	Manual-AB-1	Anti-Money La...	AML Surveillance	--	Medium	Investigation	SUPERVISOR	SUPERVISOR	1	0	06/16/2014
CA4100142	Manual-AB-1	Anti-Money La...	AML Surveillance	--	Medium	Investigation	SUPERVISOR	SUPERVISOR	1	0	06/16/2014
CA4100138	Manual-AB-1	Anti-Money La...	AML Surveillance	--	Medium	Investigation	SUPERVISOR	SUPERVISOR	2	0	06/16/2014

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 UG 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 UG STR action was taken is displayed in the RR Search and List page.

Note: You can also perform the **Generate UG 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 UG STR action, then the failure is recorded in the alert or case audit history.

Creating a New STR from OFSCRR

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

Table 6. Creating New Report

Fields	Description
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 SimpleSearch
- Searching Reports Using Advanced Search
- Searching Reports Using Pre-defined Views

Searching Reports Using SimpleSearch

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. Navigate to the Search and List page..

Regulatory Reporting >> Uganda STR >> Search and List

Search Views Advanced Search Reset Go

Report Number: Report Name: Report Status:

Reported Subject Name(s): Account Number(s): Alert/Case Id:

Created By: Created Date >= Created Date <=

Jurisdiction: Due Date >= Due Date <=

Regulatory Reports (10)

Unwrap Create New Report Reopen Set Due Date Submit Export to Excel

Report Number	Report Name	Alert/Case ID	Count of Reported Subjects	Count of Reported Accounts	Created Date	Created By	Due Date	Report Status	FIA Reference Number	Regulatory Report
960	kavith_test	test	1	4	03-09-2015	UG Analyst	10-09-2015	Requested for Appr...	fia number	
1069	RRRSS1	--	6	2	03-09-2015	Analyst UG	10-09-2015	Open		
1819	Test	--	11	7	04-09-2015	UG Analyst	11-09-2015	Open		
1696	Sijosssssssssssss...	1111	4	2	04-09-2015	UG Analyst	11-09-2015	Open	2222222222222222	
2548	Test	--	2	0	08-09-2015	UG SUPERVISOR	15-09-2015	Open	tytyty	
759	YTe	--	1	2	02-09-2015	UG Analyst	22-09-2015	Open	FIA	
10098	1234	--	0	0	13-10-2015	UG SUPERVISOR	20-10-2015	Open		
10121	Test	--	9	7	15-10-2015	UG Analyst	22-10-2015	Open		
763	test	--	6	1	02-09-2015	UG Analyst	--	Cancelled	renwewew	
1127	Test	--	9	7	03-09-2015	UG Analyst	--	Submitted		

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 *Table 7*.
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. Navigate to Compliance Regulatory Reporting.

The screenshot shows the 'Regulatory Reporting' application interface. At the top, there is a breadcrumb trail: 'Regulatory Reporting >> Uganda STR >> Search and List'. Below this is a toolbar with 'Advanced Search', 'Save as View', 'Views', 'Search', 'Reset', and 'Go'. The main area contains a grid of search filters for various fields like Report Number, Subject Name, Created Date, Last Modified Date, Approved Date, Submitted Date, FIA Reference Number, and Due Date. Below the filters, there is a section for 'Regulatory Reports (10)' with a toolbar for 'Unwrap', 'Create New Report', 'Reopen', 'Set Due Date', 'Submit', and 'Export to Excel'. A table lists 10 reports with columns for Report Num, Report Name, Alert/Case ID, Count of Reported Subjects, Count of Reported Accounts, Created Date, Created By, Due Date, Report Status, FIA Reference Number, and Regulatory Report.

Report Num	Report Name	Alert/Case ID	Count of Reported Subjects	Count of Reported Accounts	Created Date	Created By	Due Date	Report Status	FIA Reference Number	Regulatory Report
960	kavith_test	test	1	4	03-09-2015	UG Analyst	10-09-2015	Requested for Appr...	fia number	
1069	RRRSS1	--	6	2	03-09-2015	Analyst UG	10-09-2015	Open		
1619	Test	--	11	7	04-09-2015	UG Analyst	11-09-2015	Open		
1696	Sjosssssssssssss...	1111	4	2	04-09-2015	UG Analyst	11-09-2015	Open	222222222222222...	
2548	Test	--	2	0	08-09-2015	UG SUPERVISOR	15-09-2015	Open	tyty	
759	YTe	--	1	2	02-09-2015	UG Analyst	22-09-2015	Open	FIA	
10098	1234	--	0	0	13-10-2015	UG SUPERVISOR	20-10-2015	Open		
10121	Test	--	9	7	15-10-2015	UG Analyst	22-10-2015	Open		
783	test	--	6	1	02-09-2015	UG Analyst	--	Cancelled	renwrew	
1127	Test	--	9	7	03-09-2015	UG Analyst	--	Submitted		

Figure 12. Advanced Search

2. Click **Advanced Search** on the **Search** toolbar.

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

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

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

3. Enter the search components to filter the reports.

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

Table 7. 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: <ul style="list-style-type: none"> ● Select All ● Open ● Requested for Approval ● Approved ● Rework ● Submitted ● Cancelled ● Reopened Note: This field allows searching of reports with multiple options selected.	Simple Search and Advanced Search
Report Subject Name	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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Alert/Case ID	<p>Enter the Alert/Case ID to display reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive. You can enter a maximum of 255 characters in this field.</p> <p>Note: Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.</p>	Simple Search and Advanced Search
Created By	<p>Select the user who has created the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>	Simple Search and Advanced Search
Created Date >=	<p>Select the created date from the calendar to display reports having a created date greater than or equal to the specified date.</p> <p>Note: You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.</p>	Simple Search and Advanced Search
Created Date <=	<p>Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: <i>Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.</i> 2. If you enter a value in created date <= greater than the system date, the application displays the following message: <i>Please enter a 'Created Date <=' which is earlier than or equal to sysdate.</i> 	Simple Search and Advanced Search
Last Modified By	<p>Select the user who has last modified the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected with user names displayed as drop-down options.</p>	Advanced Search
Last Modified Date >=	<p>Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date.</p> <p>Note: You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.</p>	Advanced Search

Table 7. 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 lesser than or equal to the specified date. Validations: <ol style="list-style-type: none"> While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.</i> If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.</i> 	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: <ol style="list-style-type: none"> While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: <i>Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.</i> If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.</i> 	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
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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Submitted Date <=	<p>Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: <i>Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.</i> 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.</i> 	Advanced Search
Jurisdiction	<p>Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.</p> <p>Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case.</p> <p>Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.</p>	Simple Search and Advanced Search
Registration/ Identification#	Enter the Registration or Identification number to display the reports for business entities or natural person respectively being reported either as Reported Person, Account Owner, Director, or Signatory.	Advanced Search
FIA Reference Number	Enter the FIA reference number to display the reports received as acknowledgement after submitting the report to regulator.	Advanced Search
Prior Report Number	Enter the Prior Report Number to display the original report stored in the revised report.	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<=	<p>Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date.</p> <p>Note: If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then Due Date<= is the current system date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: <i>Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.</i> 	Simple Search and Advanced Search

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

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

Searching Reports Using Pre-defined Views

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

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

1. Navigate to Compliance Regulatory Reporting.

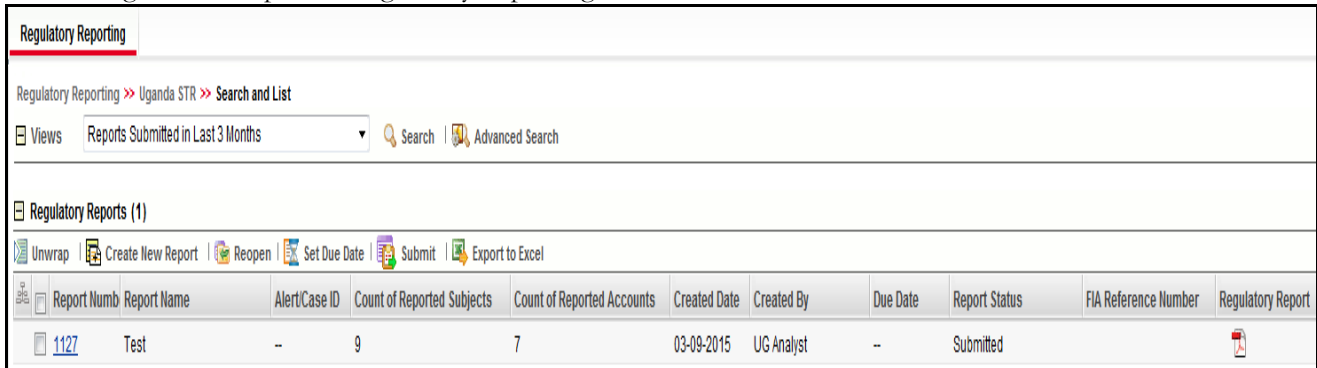


Figure 13. Searching Reports using Pre-defined Views

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

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

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

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 <i>Open</i> or <i>Reopened</i> , or <i>Rework</i> 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 <i>Requested for Approval</i> 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.
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.

Compliance Regulatory Reports List

The *CRR List* grid is displayed as per the search criteria in the RR search page.

This displays the following columns:

- Report Number
- Report Name
- Alert/Case ID
- Count of Reported Subjects
- Count of Reported Accounts
- Created Date
- Created By
- Due Date
- Report Status
- FIA Reference Number
- Regulatory Report
- Zip File

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

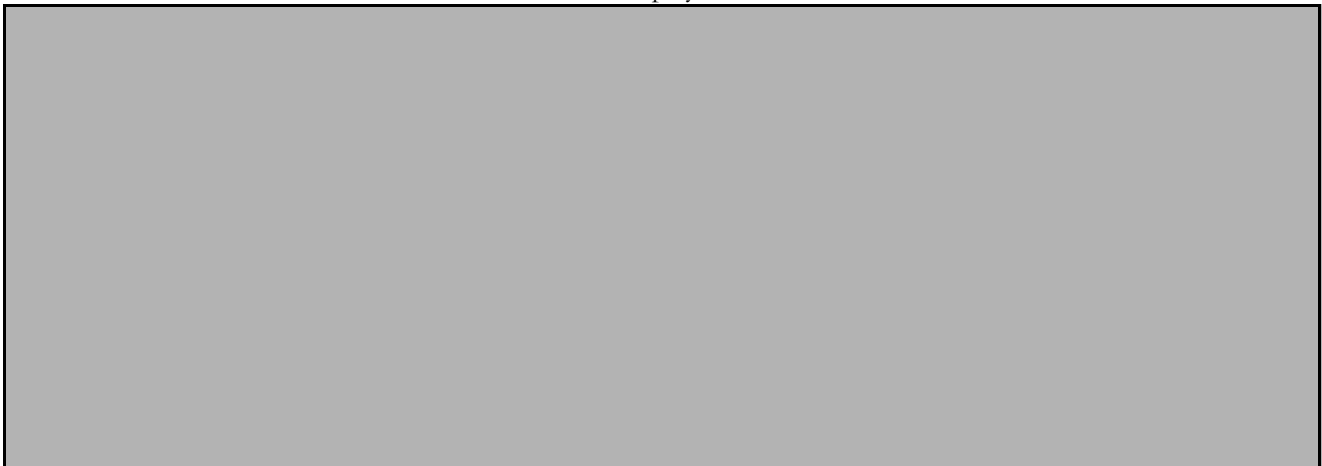


Figure 14. Save As View Window

4. 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*.
5. Click **Save**. The following message is displayed: *Add Operation Successful*.
6. Click **OK**. The view is saved and is displayed in the **Views** drop-down list.

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

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 Report Information
- Managing Suspicious Activity Information
- Managing Reason/Description of Suspicious Activity
- Managing Account Information
- Managing Documents
- Viewing Audit

Report Context

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

Report Context		
-	Report Name kavith_test	Report Status Requested for Approval
	Alert/Case ID test	Report Number 960
	Created By UG Analyst	Last Modified By UG Analyst
	Created Date 03-09-2015 12:27:45	Last Modified Date 03-09-2015 17:01:05
	Jurisdiction AMEA	Approved By --
		Approved Date --
		Due Date 10-09-2015
		Prior Report Number --

Figure 15. Report Context

The report context includes the following information:

- Report Name
- Report Status
- Alert/Case ID

- Report Number
- Created By
- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date
- Jurisdiction
- Due Date
- Prior Report Number

Managing Report Information

This tab refers to the **Report Information** section.

Report Information	Suspicious activity information	Reason/Description of suspicious activity	Account Information	Documents	Audit
<div style="display: flex; justify-content: space-between; align-items: center;"> Report Details Save Validate Reset </div>					
FIA Reference Number ?		<input type="text" value="fia number"/>	Total Number of Pages Attached to this STR ?		<input type="text" value="987"/>
Supervised/Regulated By*		Commodities Futures Trading Commission (CFTC) ▼	Submission Date ?		<input type="text" value="01-09-2015"/>
Part 2 Information on Reporting Entity/person					
Name of Reporting Entity*		ABC2 ▼	Business Type		BUSINESS_TYPE2
Sector		SECTOR2	ID Allocated By FIA		FIA_ID2
Type of Reporting Entity		ENTITY_TYPE2	Other (specify)		remks2
Particulars of the Money Laundering Control Officer (MLCO)					
Name*		LAST FIRST ▼	Designation/Title		REPORTING OFFICER
Telephone Number(s)		<input type="text"/>	Email		<input type="text"/>
Address of Reporting Entity					
Street Address		<input type="text" value="STREET_ADDRESS2"/>			
Postal Address		<input type="text" value="ADDRESS2"/>			
City/Town		<input type="text" value="bengaluru"/>	Telephone Number		<input type="text" value="12346"/>
Email		<input type="text" value="ema2"/>			

Figure 16. Report Information Tab

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

- Report Details
- Information on Reporting Entity/Person

Report Details

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

Table 8. Report Details

Fields	Description
FIA Reference Number	Enter the reference number provided by the regulator after the report is submitted. Note: This field is editable only when the report is in <i>Submitted</i> status.
Total Number of Pages Attached to this STR	Enter the total number of pages of the report including the attachments. Note: This field is editable only before the report is submitted to the regulator
Supervised/Regulated by	Select the name of the supervisor or regulator of reporting entity/person from the drop-down list.
Submission Date	Select the submission date of the STR from the calendar. Note: This field is editable only before the report is submitted to the regulator

Information on Reporting Entity/Person

This section refers to the details specific to the reporting entity or person. The following table explains the fields in the Information on Reporting Entity/Person section:

Table 9. Information on Reporting Entity/Person

Fields	Description
Name of Reporting Entity	Select the name of the reporting entity from the drop-down list.
Business Entity	This field displays the business type of reporting entity. Note: This field is auto-populated as per the name of the reporting entity selected.
Sector	This field displays the sector of reporting entity. Note: This field is auto-populated as per the name of the reporting entity selected.
ID Allocated by FIA	This field displays the ID allocated by FIA to reporting entity. Note: This field is auto-populated as per the name of the reporting entity selected.
Type of Reporting Entity	This field displays the other type of reporting entity if the reporting entity is selected as <i>Others</i> . Note: This field is auto-populated as per the name of the reporting entity selected.
Other (Specify)	This field displays the reporting entity Note: This field is auto-populated as per the name of the reporting entity selected.

Information on Reporting Entity/Person contains the following sub-sections:

- Particulars of the Money Laundering Officer (MLCO)
- Address of Reporting Entity

Particulars of the Money Laundering Officer (MLCO)

This section refer to the details of the Money Laundering Officer (MLCO) and is non-editable. The following table explains the fields in the Particulars of MLCO section:

Table 10. Particulars of the Money Laundering Officer (MLCO)

Fields	Description
Name	Select the name of the MLCO from the drop-down list.
Designation/Title	This field displays the designation/title of the Money Laundering Control Officer (MLCO). Note: This field is auto-populated as per the name of MLCO selected.
Telephone Number (s)	This field displays the telephone number(s) of the Money Laundering Control Officer (MLCO). Note: This field is auto-populated as per the name of MLCO selected.
Email	This field displays the email of the Money Laundering Control Officer (MLCO). Note: This field is auto-populated as per the name of MLCO selected.

Address of Reporting Entity

The fields in this section will be auto-populated as per the reporting entity selected and is non-editable. The following list displays the fields in the Address of Reporting Entity section:

Table 11. Address of Reporting Entity

Fields	Description
Street Address	This field displays the street address of reporting entity/person.
Postal Address	This field displays the postal address of reporting entity/person
City/Town	This field displays the city/town of reporting entity/person.
Telephone Number	This field displays the telephone number of reporting entity/person.
Email	This field displays the email of reporting entity/person.

Managing Suspicious Activity Information

This tab refers to the Suspicious Activity Information section. This tab includes the following sections:

- Information on Suspicion
- Goods and Services

Report Information	Suspicious activity information	Reason/Description of suspicious activity	Account Information	Documents	Audit
--------------------	---------------------------------	---	---------------------	-----------	-------

Part 3 Information on Suspicion

Reported Persons (1) | Add | Remove | Validate

Record Number	Reported Subject Type	Name	Reported Subject Id	Date of Birth	TIN	Registration #	Telephone	Email
1	Business Entity	test	--	--	147852	--	--	--

Reported Person Details | Save | Validate | Reset

Identification Document Details

Part 4 Goods and Services (0) | Add | Remove

Record Number	Type of Property	Owner Before Transaction	Owner After Transaction	Manner in which the Property was Disposed Off	Value for which the Property was Disposed Off	Location
---------------	------------------	--------------------------	-------------------------	---	---	----------

Information on Suspicion

Information on Suspicion container consist of the *Reported Person* grid. The fields in the this grid will be populated as per the data received from FCCM. This grid displays the following information:

- Record Number
- Reported Subject Type
- Name
- Reported Subject ID
- Date of Birth
- TIN
- Registration#
- Telephone
- Email

Adding Reported Person Details

Follow these steps to add the reported person details.

Reported Persons (1) Add Remove Validate

Record Number	Reported Subject Type	Name	Reported Subject Id	Date of Birth	TIN	Registration #	Telephone	Email
1	Business Entity	test	--	--	147852	--	--	--

Reported Person Details Save Validate Reset

Reported Subject Type* Natural Person Business Entity

Reported Subject Id

Surname* ?

Other Names

Registration #

Nature of Business

Country of Residence

Address

Telephone

Business Entity Name* ?

Title

Date of Birth/Incorporation ?

Tax Identification Number (TIN)*

Registered Office

Nationality

Email

1. Click **Add** on the *Reported Person* grid.
2. Enter the following field values:

Table 12. Reported Person Details

Fields	Description
Reported Subject Type	Select the customer type as either <i>Natural Person</i> or <i>Business Entity</i> .
Reported Subject Id	Enter the customer identifier or party ID of the subject.
Business Entity Name	Enter the name of the business entity being reported. Note: This field is enabled when reported subject type is selected as <i>Business Entity</i> .
Surname	Enter the surname of natural person being reported. Note: This field is enabled when reported subject type is selected as <i>Natural Person</i> .
Title	Enter the title of natural person being reported. Note: This field is enabled when reported subject type is selected as <i>Natural Person</i> .
Other Names	Enter the other names of natural person being reported. Note: This field is enabled when reported subject type is selected as <i>Natural Person</i> .
Date of Birth/Incorporation	Select the date of incorporation of person/entity being reported.
Registration#	Enter the registration number of the business entity being reported. Note: This field is enabled when reported subject type is selected as <i>Business Entity</i> .
Tax Identification Number (Tin)	Enter the Tax Identification Number (Tin) of the person/entity being reported.


Table 12. Reported Person Details

Fields	Description
Nature Of Business	Enter the nature of business of the business entity being reported. Note: This field is enabled when reported subject type is selected as <i>Business Entity</i> .
Registered Office	Enter the registered office of the business entity being reported. This field is enabled when reported subject type is selected as <i>Business Entity</i> .
Country Of Residence	Select the country of residence of natural person being reported. Note: This field is enabled when reported subject type is selected as <i>Natural Person</i> .
Nationality	Select the nationality of natural person being reported. Note: This field is enabled when reported subject type is selected as <i>Natural Person</i> .
Address	Enter the address of person/entity being reported.
Telephone	Enter the telephone number of person/entity being reported.
Email	Enter the email of person/entity being reported.

3. The new reported person details are added.

Identification Document Details

Identification Document Details container is displayed when the reported subject type is selected as *Natural Person*.

 Identification Document Details

Identity Card # <input style="width: 90%;" type="text"/>	Driving License # <input style="width: 90%;" type="text"/>
Passport # <input style="width: 90%;" type="text"/>	If Other, Please Specify <input style="width: 90%;" type="text"/>

This container displays the following fields:

Table 13. Identification Document Details

Fields	Description
Identity Card #	Enter the identity card number of natural person being reported.
Driving License #	Enter the driving license number of natural person being reported.
Passport #	Enter the passport number of natural person being reported.
If Other, Please	Enter the value for the other Identification number available. Note: This field is enabled when <i>Others</i> is selected.

Goods and Services

Goods and Services grid displays all the goods and services involved in the suspicious activity reported in the report. The fields in the this grid will be populated as per the data received from FCCM. This grid displays the following information:

- Record Number
- Type of Property

- Owner before transaction
- Owner after transaction
- Manner in which property was disposed off
- Value for which property was disposed off
- Location

Adding new Goods and Services Details

Follow these steps to add new goods and services details:

1. Click **Add** on the *Goods and Services* grid.
2. Enter the following field values:

Table 14. Goods and Services Details

Fields	Description
Record Number	Enter the reference number provided by the reporting entity.
Type of Property	Enter the type of property involved in a transaction.
Owner Before Transaction	Enter the name of the owner of property before transaction.
Owner After Transaction	Enter the name of the owner of property after transaction.
Estimated Value	Enter the estimated value of the property involved in a transaction.
Manner in which the Property was Disposed off	Enter the manner in which the property was disposed off involved in a transaction.
Value for which the Property was Disposed off	Enter the value in which the property was disposed off involved in a transaction.
Location	Enter the location of the property involved in a transaction.

Managing Reason/Description of Suspicious Activity

This tab refers to the reason/description of suspicious activity section. This tab contains the Reported Activity Information section.

Reported Activity Information

This section refers to the details specific to the reported suspicious activity. The following table explains the fields in Reported Activity Information section.

Table 15. Reported Activity Information Details

Fields	Description
Reasons for Suspicion	Select the reason for suspicion for an STR. Following are the options available: <ul style="list-style-type: none"> ● Activity in Account ● Background of client ● Identity of client ● Nature of Transaction ● Multiple Accounts ● Value of Transaction
If Others, Please Specify	Enter any other reason for suspicion for an STR.
Description of Suspicious Activity	Enter the description of suspicious activity.
Description of Action Taken	Enter the description of action taken.

Managing Account Information

This section refers to the account information tab. This tab contains the following sections:

- Supporting Transactions from Alert or Case
- Source/Destination Account of Funds

Report Information	Suspicious activity information	Reason/Description of suspicious activity	Account Information	Documents	Audit																																																		
<div style="border: 1px solid black; padding: 5px;"> <div style="display: flex; justify-content: space-between; align-items: center;"> Supporting Transactions from Alert or Case (0) Unwrap </div> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Record Number</th> <th>Transaction Number</th> <th>Transaction Date</th> <th>Transaction Type</th> <th>Transaction Value (Base)</th> <th>Transaction Value (Sending Institution)</th> <th>Transaction Value (Receiving Institution)</th> <th>Originating Account Number</th> <th>Originating Party Name</th> </tr> </thead> <tbody> <tr> <td colspan="9" style="text-align: center;">No Data Found</td> </tr> </tbody> </table> </div>						Record Number	Transaction Number	Transaction Date	Transaction Type	Transaction Value (Base)	Transaction Value (Sending Institution)	Transaction Value (Receiving Institution)	Originating Account Number	Originating Party Name	No Data Found																																								
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No Data Found																																																							
<div style="border: 1px solid black; padding: 5px;"> <div style="display: flex; justify-content: space-between; align-items: center;"> Part 5 & 6 Source/Destination Account of Funds (4) </div> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Record Number</th> <th>Account Number</th> <th>Account Role in Transaction</th> <th>Owner of Account Type</th> <th>Mode of Transaction</th> <th>Swift/BIC Code</th> <th>Bank/Branch where Account is Hel</th> <th>Type of Account</th> <th>Account Balance</th> <th>Account Opening Date</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>acc1123456</td> <td>Source</td> <td>Natural Person</td> <td>Cash,Cheque,Others</td> <td>wqwee</td> <td>ewgewqe</td> <td>wqewew</td> <td>CLP 4324343</td> <td>01-09-2015</td> </tr> <tr> <td>2</td> <td>acc2</td> <td>Destination</td> <td>Natural Person</td> <td>Bank Draft,Cash,Others</td> <td>sdsfds</td> <td>--</td> <td>--</td> <td>AZM 4646441</td> <td>03-09-2015</td> </tr> <tr> <td>3</td> <td>dsads</td> <td>Destination</td> <td>Natural Person</td> <td>Bank Draft,Cash</td> <td>--</td> <td>--</td> <td>--</td> <td>CLP 1213</td> <td>--</td> </tr> <tr> <td>4</td> <td>test</td> <td>Source</td> <td>Natural Person</td> <td>Bank Draft,Cash</td> <td>--</td> <td>--</td> <td>--</td> <td>GHC 123456789</td> <td>--</td> </tr> </tbody> </table> </div>						Record Number	Account Number	Account Role in Transaction	Owner of Account Type	Mode of Transaction	Swift/BIC Code	Bank/Branch where Account is Hel	Type of Account	Account Balance	Account Opening Date	1	acc1123456	Source	Natural Person	Cash,Cheque,Others	wqwee	ewgewqe	wqewew	CLP 4324343	01-09-2015	2	acc2	Destination	Natural Person	Bank Draft,Cash,Others	sdsfds	--	--	AZM 4646441	03-09-2015	3	dsads	Destination	Natural Person	Bank Draft,Cash	--	--	--	CLP 1213	--	4	test	Source	Natural Person	Bank Draft,Cash	--	--	--	GHC 123456789	--
Record Number	Account Number	Account Role in Transaction	Owner of Account Type	Mode of Transaction	Swift/BIC Code	Bank/Branch where Account is Hel	Type of Account	Account Balance	Account Opening Date																																														
1	acc1123456	Source	Natural Person	Cash,Cheque,Others	wqwee	ewgewqe	wqewew	CLP 4324343	01-09-2015																																														
2	acc2	Destination	Natural Person	Bank Draft,Cash,Others	sdsfds	--	--	AZM 4646441	03-09-2015																																														
3	dsads	Destination	Natural Person	Bank Draft,Cash	--	--	--	CLP 1213	--																																														
4	test	Source	Natural Person	Bank Draft,Cash	--	--	--	GHC 123456789	--																																														

Supporting Transactions from Alert or Case

The fields in this grid will be populated as per the data received from FCCM and cannot be edited. The following table explains the fields in the Supporting Transactions from Alert or Case section:

Table 16. Supporting Transactions from Alert or Case Details

Fields	Description
Record Number	This field displays the reference number provided by the reporting entity.
Transaction Number	This field displays the unique identifier of the transaction record.
Transaction Date	This field displays the date on which the transaction took place.
Transaction Type	This field displays the type of the transaction.
Transaction Value (Base)	This field displays the value of the amount involved during the transaction.
Transaction Value (Sending Institution)	This field displays the value of the amount involved during the transaction (Sending institution side).
Transaction Value (Receiving Institution)	This field displays the value of the amount involved during the transaction (Receiving institution side).
Originating Account Number	This field displays the the account number of originator of the transaction.
Originating Party Name	This field displays the the name of the originator of the transaction.
Beneficiary Account Number	This field displays the account number of the receiver of the transaction.
Beneficiary Party Name	This field displays the name of the receiver of the transaction.

Source/Destination Account of Funds

This grid refers to the details of the accounts that are involved in the suspicious activity. The fields in this grid will be populated as per the data received from FCCM.

This grid provides the following information:

- Record Number
- Account Number
- Account Role in Transaction
- Owner of Account Type
- Mode of Transaction
- Swift/BIC Code
- Bank/Branch where Account is held
- Type of account
- Account Balance
- Account Opening Date
- Country of Origin
- Purpose of Funds

Account Details

Account Details			
Account Role in Transaction* ?	Source	Owner of Account Type*	Natural Person
Mode of Transaction*	Cash,Cheque,Others	If Others, Please Specify ?	rerer
Account Number*	acc1123456	Swift/BIC Code	wqwee
Bank/Branch where Account is Held	ewqewqe	Type of Account	wqewew
Account Opening Date ?	01-09-2015	Account Balance*	CLP 4324343
Purpose of Funds	e3wrwr	Country of Origin	USA

The following table explains the fields in the *Account Details* container:

Table 17. Account Details

Fields	Description
Account Role in Transaction	Select whether an account is of source or destination type in a transaction. If the value is selected as source, then account is treated as the source/originator of the transaction. If the value is selected as destination, then account is treated as the destination/beneficiary of the transaction
Account Owner Type	Select whether the account owner is of natural person or business entity type. If the value is selected as business entity, then the owner of account is treated as business entity. If the value is selected as natural person, then the involved party is treated as natural person.
Mode of Transaction	Select the mode of transaction for the account. Following are the options available: <ul style="list-style-type: none"> ● Cash ● Currency Exchange ● Electronic Funds Transfer ● Money Order ● Insurance Policy ● Bank Draft ● Cheque ● Securities ● Others
If Others, Please Specify	This field is enabled if mode of transaction is selected as <i>Others</i> .
Account Number	Enter the account number for the account.
Swift/BIC Code	Enter the Swift/Bic Code for the account.
Bank/Branch where Account is Held	Enter the Bank/Branch details where account is held for account.
Type of Account	Enter the type of account.
Account Balance	Select the currency from th drop-down list and enter the amount.
Account Opening Date	Enter the date on which the account was opened.
Country of Origin	Select the country of origin from the drop-down list.
Purpose of Funds	Enter the purpose of funds for the account.

Account Owner (If Business Entity)

This grid is enabled only when the user selects an account and the account owner type is selected as *Business Entity*. This grid lists the details of the owners of the selected account and the fields will be populated as per the data received from FCCM.

This grid displays the following information:

- Record Number
- Name
- Registration #

- Registration Date
- Registration Office
- Nature of Business
- Telephone
- Address

Adding Account Owner Details

Click **Add** on the *Account Owner* grid to add the account owner details. The following table explains the fields in the *Account Details* grid:

Table 18. Account Owner Details

Fields	Description
Business Entity Name	Enter the name of the business owner of the account.
Registration #	Enter the registration number of the business owner of the account.
Registration Date	Enter the registration date of the business owner of the account.
Registered Office	Enter the registration office of the business owner of the account.
Nature of Business	Enter the nature of business of the business owner of the account.
Telephone	Enter the telephone number of the business owner of the account.
Address	Enter the address of the business owner of the account.

Director/Owner Details

This grid is displayed only when the user selects an owner of account in the *owner of accounts* grid. This grid lists the signatory of the selected account and the fields in the this grid is populated as per the data received from FCCM. This grid provides the following information:

- Record Number
- Name
- Nationality
- Country of Residence
- Occupation
- Telephone
- Date of Birth
- Address

Adding Director/Owner Details

Click **Add** on the *Director/Owner Information* toolbar to add director/owner details. The following table explains the fields in the *Director/Owner Details* grid:

Table 19. Director/Owner Details

Fields	Description
Surname	Enter the surname of director of business entity.
Other Names	Enter the other names of director of business entity.
Date of Birth	Enter the date of birth of director of business entity.
Occupation	Enter the occupation of director of business entity.
Nationality	Enter the nationality of director of business entity.
Country of Residence	Enter the country of residence of director of business entity.
Telephone	Enter the telephone number of director of business entity.
Address	Enter the address of director of business entity.
Identification Document Details	
Identity Card #	Enter the identity card number of director of business entity.
Driving License #	Enter the driving license number of director of business entity.
Passport #	Enter the passport number of director of business entity.
If Other, Please Specify	Enter any other identification number available.

Signatory Information

[-] Signatory Information (1)

Record Number	Name	Nationality	Country of Residence	Occupation	Telephone
1	test2	USA	USA	-	-

[-] Signatory Details

Surname* test2	Other Names -
Date of Birth ? -	Occupation -
Nationality USA	Country of Residence USA
Address -	
Telephone -	

[-] Identification Document Details

Identity Card # -	Driving License # -
Passport # -	If Other, Please Specify -

This grid is displayed only when the user selects an account in the *accounts* grid and is enabled when the Reported Subject Type is selected as *Natural Person*. This grid lists the signatory of the selected account and the fields in the this grid is populated as per the data received from FCCM. This grid provides the following information:

- Record Number
- Name
- Nationality
- Country of Residence

- Occupation
- Telephone
- Date of Birth
- Address

Adding Signatory Details

Click **Add** on the *Signatory Information* toolbar to add director/owner details. The following table explains the fields in the *Signatory* grid:

Table 20. Signatory Details

Fields	Description
Surname	Enter the surname of signatory of an account.
Other Names	Enter the other names of signatory of an account.
Date of Birth	Enter the date of birth of signatory of an account.
Occupation	Enter the occupation of signatory of an account.
Nationality	Enter the occupation of signatory of an account.
Country of Residence	Enter the occupation of signatory of an account.
Telephone	Enter the occupation of signatory of an account.
Address	Enter the occupation of signatory of an account.
Identification Document Details	
Identity Card #	Enter the identity card number of signatory of an account.
Driving License #	Enter the driving license number of signatory of an account.
Passport #	Enter the passport number of signatory of an account.
If Other, Please Specify	Enter any other identification number available.

Managing Documents

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 17. 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.
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:

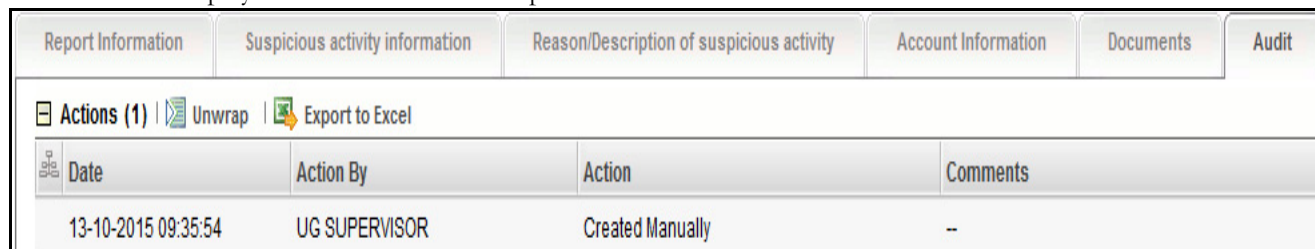
1. Navigate to the Report Details page.
2. Click the **Documents** tab.

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.



The screenshot shows a software interface with several tabs: Report Information, Suspicious activity information, Reason/Description of suspicious activity, Account Information, Documents, and Audit. The Audit tab is active, displaying a toolbar with 'Actions (1)', 'Unwrap', and 'Export to Excel'. Below the toolbar is a table with the following data:

Date	Action By	Action	Comments
13-10-2015 09:35:54	UG SUPERVISOR	Created Manually	--

Figure 18. Audit Tab

The Audit tab displays the Actions grid.

OFSCRR captures the following actions in the Audit tab:

- Created From Alert/Case
- Created Manually
- Modified Report Information
- Added Reported Person Information
- Modified Reported Person Information
- Removed Reported Person Information
- Added Goods and Services Information
- Modified Goods and Services Information

- Removed Goods and Services Information
- Modified Reason/Description of Suspicious Activity Information
- Added Account Information
- Modified Account Information
- Removed Account Information
- Added Owner of Account Information
- Modified Owner of Account Information
- Removed Owner of Account Information
- Added Director/Owners Information
- Modified Director/Owners Information
- Removed Director/Owners Information
- Added Signatory Information
- Modified Signatory Information
- Removed Signatory Information
- Added New Document
- Modified Document
- Removed Document

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
- Submitting 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 19. 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 20. 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 21. 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.

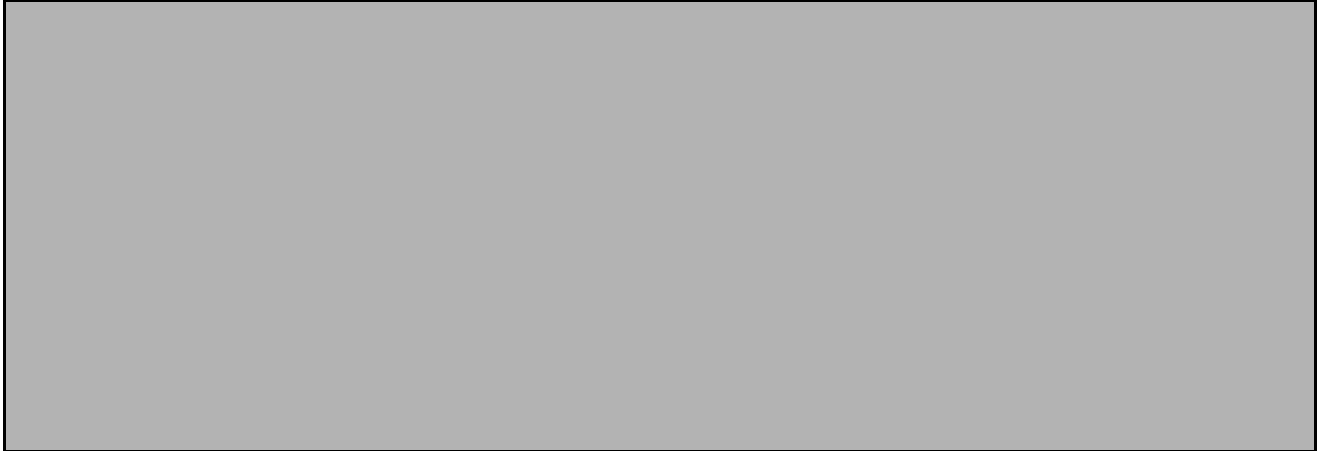


Figure 22. Cancel Filing Window

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 23. 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 *Reopened*.

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

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

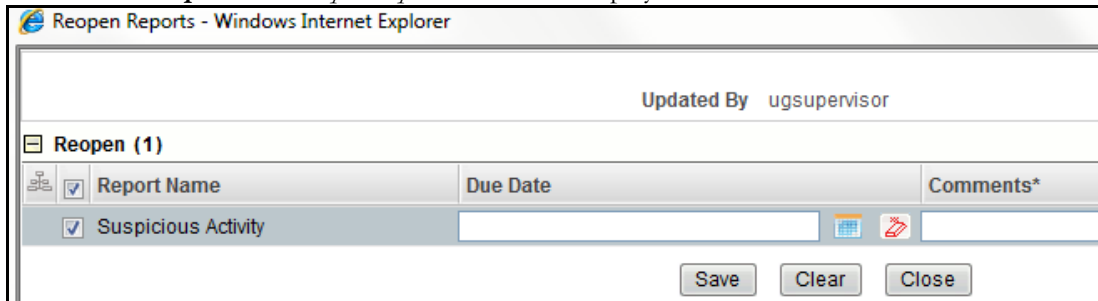


Figure 24. Reopen Reports Window from Search and List Page

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.*

Submitting Reports

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

Authorized users can mark the reports submitted to the regulatory authorities as Submitted. This action can only be performed when the report is in *Approved* status.

If you try to submit submitted action on reports that are not in *Approved* status, the application displays the following message: Submitted action can only be taken on Approved reports.

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

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

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

2. Click **Submit**. The *Submit Reports* Window is displayed..

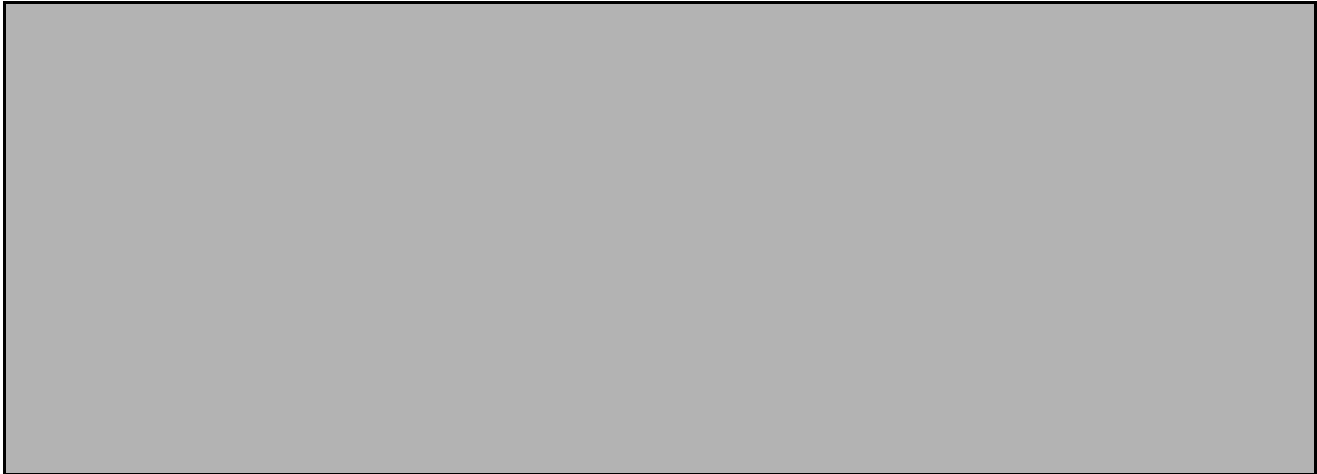


Figure 25. Submit Reports Window from Report Details Page

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

Note: The comments box in the *Submit 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 Mark as Submitted 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 *Submitted*.

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

To submit 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 submit.

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

3. Click **Submit**. The *Submit Reports* Window is displayed.

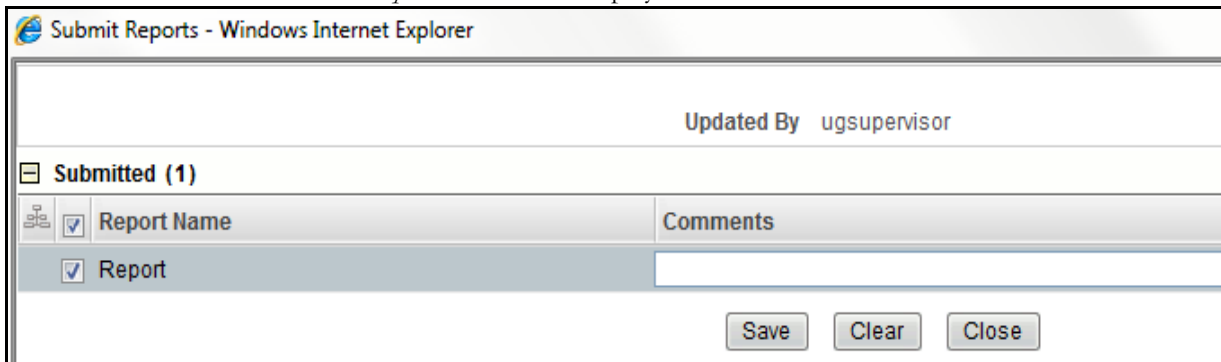


Figure 26. Submit Reports Windows from Search and List Page

4. Enter the comments in the *Submit Reports* window.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The RR Search and List page is displayed.

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

Generating Revised Reports

The Report Details page allows the authorized users to generate revised reports when the report is in *Submitted* 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 *Submitted* status.
2. Click **Generate Revised Reports**. The *Generate Revised Reports* window is displayed.

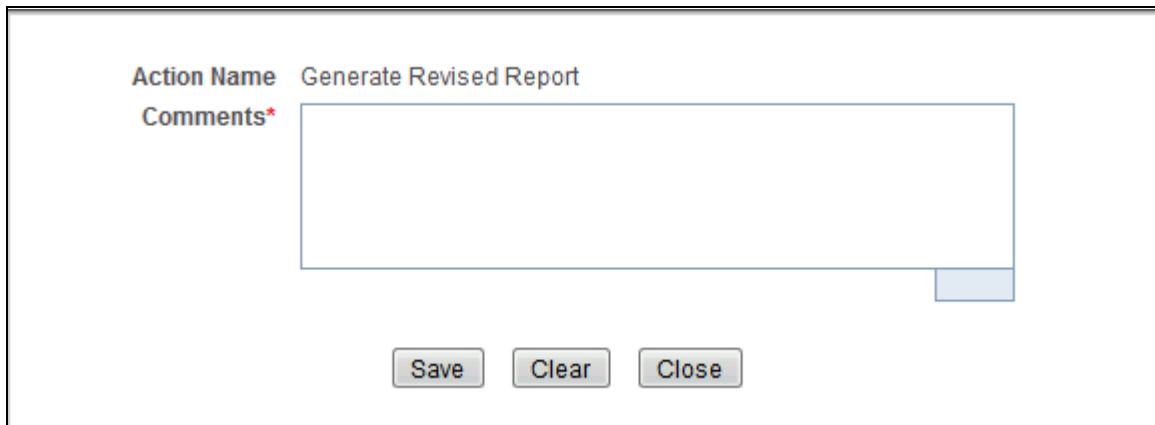
The image shows a screenshot of a web application window titled "Generate Revised Report". The window has a light gray border. At the top left, the text "Action Name" is followed by "Generate Revised Report". Below this, the text "Comments*" is followed by a large, empty text input box. At the bottom of the window, there are three buttons: "Save", "Clear", and "Close", each with a light gray background and a thin border.

Figure 27. Generate Revised Reports Window

3. 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.

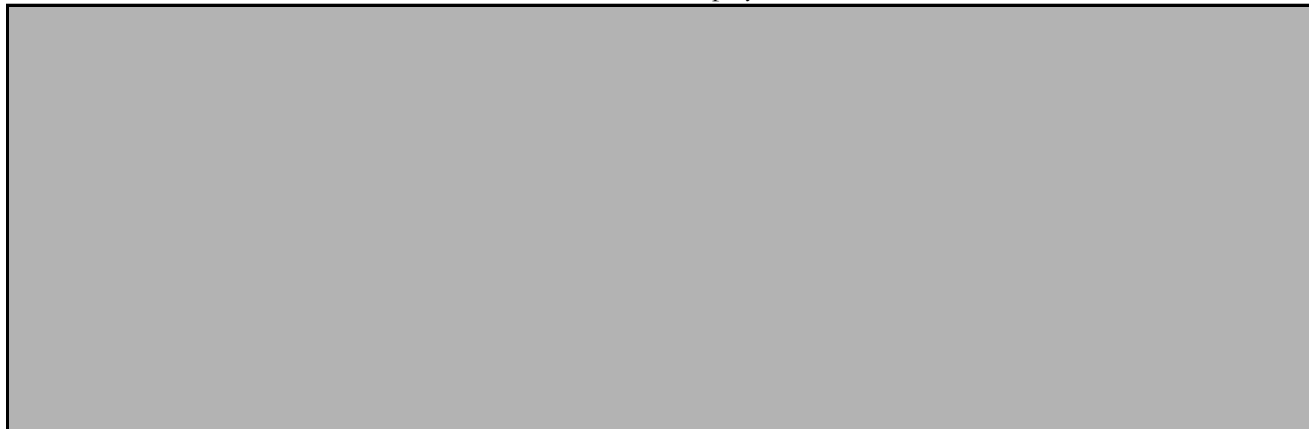


Figure 28. Add Comments Window

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.

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

Table 23. Statuses where Analyst and Supervisor can perform Set Due Date action

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

Note: A 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.

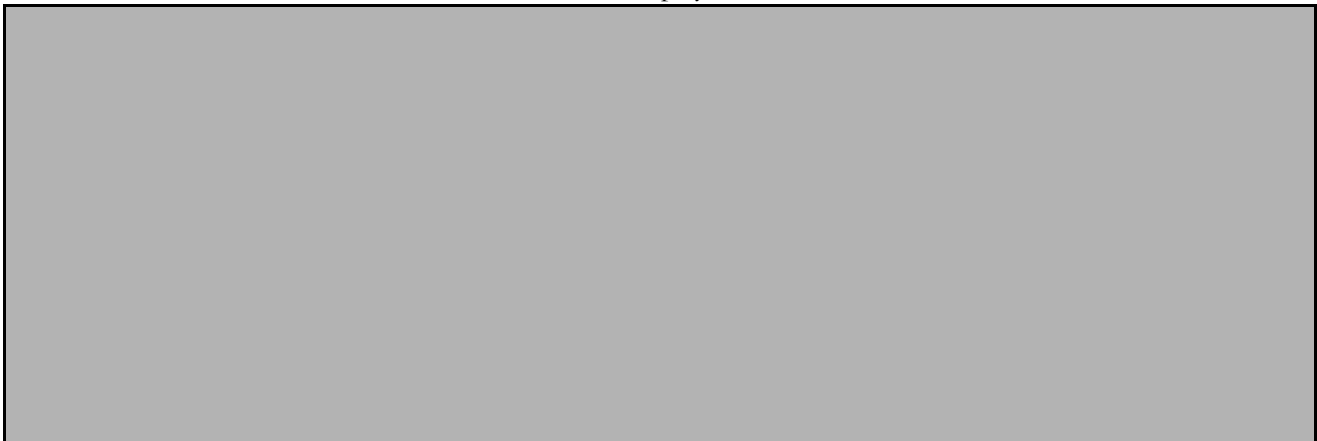


Figure 29. Set Due Date Window

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

Note: This field is a mandatory field.

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

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

If you click **Save** without entering the Set Due Date and Comments, in the *Set Due Date* 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 calendar 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.

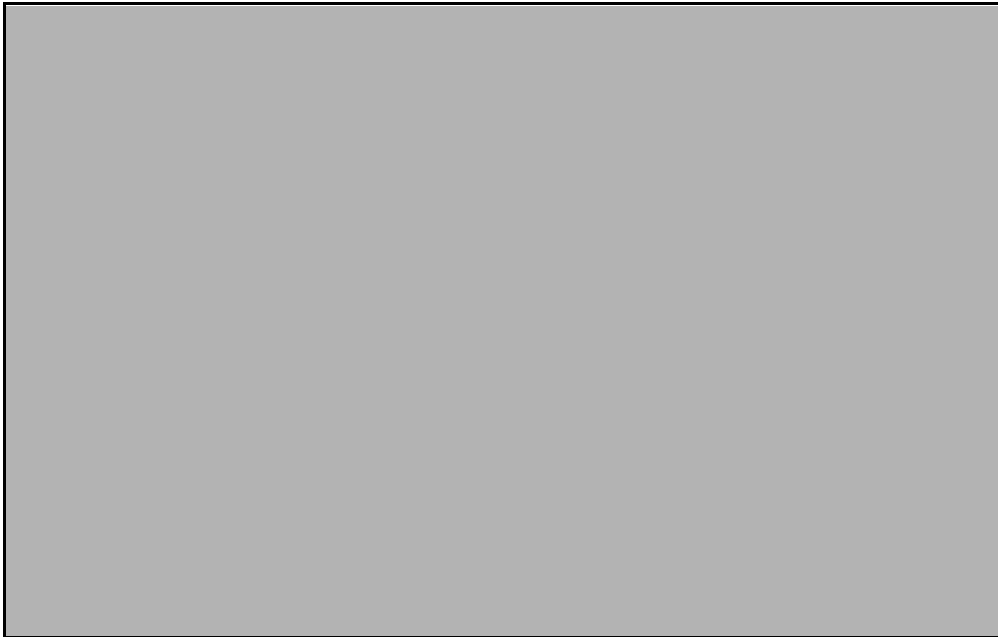


Figure 30. Export Properties Window

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.

