

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

*Release 8.0.4.0.0
April 2017*



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

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Contents

List of Figures	<i>x</i>
------------------------------	-----------------

List of Tables	<i>xiii</i>
-----------------------------	--------------------

About this Guide	<i>xv</i>
-------------------------------	------------------

Naming Discrepancies in this Guide.....	xv
Who Should Use this Guide	xv
Scope of this Guide.....	xvi
How this Guide is Organized.....	xvi
Where to Find More Information	xvi
Conventions Used in this Guide	xvii

CHAPTER 1	<i>About Compliance Regulatory Reporting</i>	<i>1</i>
------------------	---	-----------------

Introduction of RR.....	1
About RR Login	2
Setting the Default Page.....	5
Regulatory Report Workflow.....	7
User Access	8

CHAPTER 2	<i>Malaysian STR</i>	<i>9</i>
------------------	-----------------------------------	-----------------

RR Application Menu	9
Regulatory Reports	9
Icons Used.....	10
Regulatory Reports- User Interface	11
Regulatory Report Search	11
Regulatory Report List	11
View/Edit Reports	12

Export to Excel:	12
CHAPTER 3	
Report Summary.....	13
About the Report Summary Page	13
Action Bar	15
Report Context	16
Customer Details – Natural Person	17
Customer Information (Natural Persons) - Edit mode	18
Spouse Details - Edit mode.....	18
<i>Save</i>	18
<i>Reset</i>	18
Contact Information - Edit Mode.....	19
<i>Add</i>	19
<i>Edit and save</i>	19
<i>Delete</i>	19
Employment Information - Edit Mode.....	19
<i>Save</i>	19
<i>Reset</i>	19
Customer Details – Company	20
Customer Information (Company) - Edit Mode	21
<i>Save</i>	21
<i>Reset</i>	21
Contact Information (Company) - Edit Mode.....	22
Customer Details - View Mode	22
Person Conducting the Transaction – Company Customer.....	23
Details of the Person Conducting the Transaction- Edit Mode	24
<i>Save</i>	24
<i>Reset</i>	24
Contact Information of Person Conducting the Transaction - Edit Mode	25
<i>Add</i>	25
<i>Edit and save</i>	25
<i>Delete</i>	25
Employment Information- Edit Mode.....	25
<i>Save</i>	25
<i>Reset</i>	25
Person Conducting the Transaction – Natural Persons	26
Details of the Person Conducting the Transaction- Edit Mode	27
Spouse Details - Edit Mode.....	27
<i>Save</i>	27
<i>Reset</i>	27
Employment Information- Edit Mode.....	27
<i>Save</i>	27
<i>Reset</i>	27
Person conducting the transaction - View Mode.....	28
Transaction Details.....	29
Account Information: Edit Mode	30

<i>Save</i>	30
<i>Reset</i>	30
Introducer/Guarantor Information: Edit Mode.....	31
<i>Save</i>	31
<i>Reset</i>	31
Transaction Details - View Mode	32
Add Document	33
Add Document – Edit Mode	33
<i>Attach New Documents:</i>	33
Add Document - View mode.....	34
Narrative	35
Narrative – Edit Mode	35
<i>Save</i>	35
<i>Reset</i>	36
Narrative - View Mode.....	36
Audit	37
Regulatory Report Audits	37
Regulatory Report Comments	38
CHAPTER 4 <i>File Regulatory Reports</i>	39
Manual Filing.....	39
Reports	40
Update the Report Filed.....	40
CHAPTER 5 <i>User Attributes</i>	41
View Security Attribute Mapping.....	42
Add Security Attribute Mapping	42
Delete Security Attribute Mapping.....	42

List of Figures

Figure 1. Oracle Financial Services UI.....	2
Figure 2. RR Application Login	3
Figure 3. Home Page for all the Roles (except for the RR System Administrator).....	4
Figure 4. Home Page for the RR System Admin Role.....	5
Figure 5. RR Application Page.....	6
Figure 6. Compliance Regulatory Reporting Workflow.....	7
Figure 7. Export Properties Dialog Box	12
Figure 8. Report Context.....	16
Figure 9. Customer Details (Natural Persons - External) - Edit Mode.....	17
Figure 10. Customer Details (Company) - Edit Mode	20
Figure 11. Customer Details (Natural Persons) - View Mode	22
Figure 12. Person Conducting the Transaction (Company) - Edit Mode.....	23
Figure 13. Person Conducting the Transaction (Natural Persons) - Edit Mode.....	26
Figure 14. Person Conducting the Transaction - View Mode	28
Figure 15. Transaction Details - Edit Mode	29
Figure 16. Transaction Details - View Mode.....	32
Figure 17. Add Document - Edit mode	33
Figure 18. Add Document – View Mode	34
Figure 19. Narrative - Edit Mode.....	35
Figure 20. Narrative - View Mode	36
Figure 21. Audit tab.....	37
Figure 22. File Regulatory Reports	39
Figure 23. User Administration	41

List of Figures

List of Tables

Table 1. Conventions Used in this Guide.....	xvii
Table 2. User Role - Function Mapping.....	8
Table 3. RR Icons	10
Table 4. Action Bar.....	15

About this Guide

This guide provides an overview of the Oracle Financial Services Compliance Regulatory Reporting (herein referred to as CRR), life cycle of the Regulatory Reports. This chapter focuses on the following topics:

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

Naming Discrepancies in this Guide

The product branding in the screen shots shown in this guide retains the original product name (Oracle Mantas) and original logo. The Oracle Financial Services Compliance Regulatory Reporting might be referred to as Mantas Compliance Regulatory Reporting Solution, Mantas RRS, or RR.

Who Should Use this Guide

The Oracle Financial Services Compliance Regulatory Reporting User Guide MY STR, Release 2.1 is designed for use by a variety of Oracle Financial Services users. Their roles and responsibilities, as they operate within the RR application, include the following:

- **Analyst:** This user is responsible for updating the data related to the report through UI screens and can add comments to the report. This user should send each report to the supervisor for further action (such as Approve, Reject, or Close).
- **Supervisor:** This user is responsible for taking action on the reports submitted by the Analyst, such as Approve, Close, and Reject, and can add comments to the report. This user should verify all the details of the report before action is taken which files the report with the Regulatory Authorities.
- **Admin User:** This user is responsible for managing the security attributes of the users and filing the reports approved by the Supervisor.
- **Super User:** This user is responsible for updating the data related to the report through UI screens, approving and closing reports, generating reports, filing the reports from the list of approved reports, and can add comments.

- **System/Application Administrator:** This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.

Scope of this Guide

The purpose and scope of the RR User Guide is to define how users can view, edit and generate report data, and to file the regulatory reports to the Regulatory Authorities. It also guides users on how to adjust the application parameters.

This guide explains how the User Interface (UI) in the RR is organized, how the application uses the data entered, and guides the users to generate the PDF report defined by the regulatory body.

How this Guide is Organized

The Oracle Financial Services Compliance Regulatory Reporting User Guide MY STR, Release 2.1, includes the following topics:

- Chapter 1, *About Compliance Regulatory Reporting*, describes the default page setting and Regulatory report workflow in Oracle Financial Services RR login process.
- Chapter 2, *Malaysian STR*, describes how to search, view, and edit the regulatory reports.
- Chapter 3, *Report Summary*, describes the life cycle of the report, and details the suspicious transaction report analysis.
- Chapter 4, *File Regulatory Reports*, describes the process of manual filing of the Regulatory Reports to the Regulatory Authorities.
- Chapter 5, *User Attributes*, describes how to map and maintain the security attributes for each user in RR application.

Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide:* This guide explains the structures of the entities in the RR data model and provides in-depth information on the data handling of the RR system.
- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide:* This guide explains how and in what format the source business data should be provided to the RR application through a web service for the Malaysian STR report type.
- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide:* This guide provides step-by-step instructions for installing the RR on an existing Oracle Financial Services Platform hosted in a Windows environment.

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

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

About Compliance Regulatory Reporting

This chapter explains the RR Login and User access process and covers the following topics:

- Introduction of RR
- About RR Login
- Regulatory Report Workflow
- User Access

Introduction of RR

As a part of Regulations and Compliances, it is required by the organization to 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.

As part of this goal, these regulatory bodies require the Financial Crimes Unit (FCU), also referred to as Financial Intelligence Units (FIUs), in financial institutions to provide data regarding suspicious activities. These reports, depending on the regulatory geographic region, can be delivered in either printed or electronic format.

Compliance Regulatory Reporting (RR) supports the management, delivery and resolution of these regulatory reports across multiple geographic regions and across multiple financial lines of business. Since there are several differences in requirements for paper-based formats versus electronic formats, and between different geographic regions and the data elements that are required on these reports, the approach to satisfying 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.

RR is integrated with the Oracle Financial Services Behavior Detection application platform to allow users to generate reports automatically populated with information relevant to an investigation for any report filed.

About RR Login

The RR User Interface (UI) enables the you to view and edit the report information, generate the PDF for the report and generate an electronic file (E-File), which is filed with the Regulatory Authorities.

In the Oracle Financial Services Behavior Detection UI, the Compliance Regulatory Reporting link is enabled for users who have access to the RR application. Simply click the **Compliance Regulatory Reporting** link to open the RR login page in a pop-up window. This allows you to log into the RR application (Figure 1).

For information about changing your password, refer to the Oracle Financial Services Compliance Regulatory Reporting Administration Guide MYSTR.

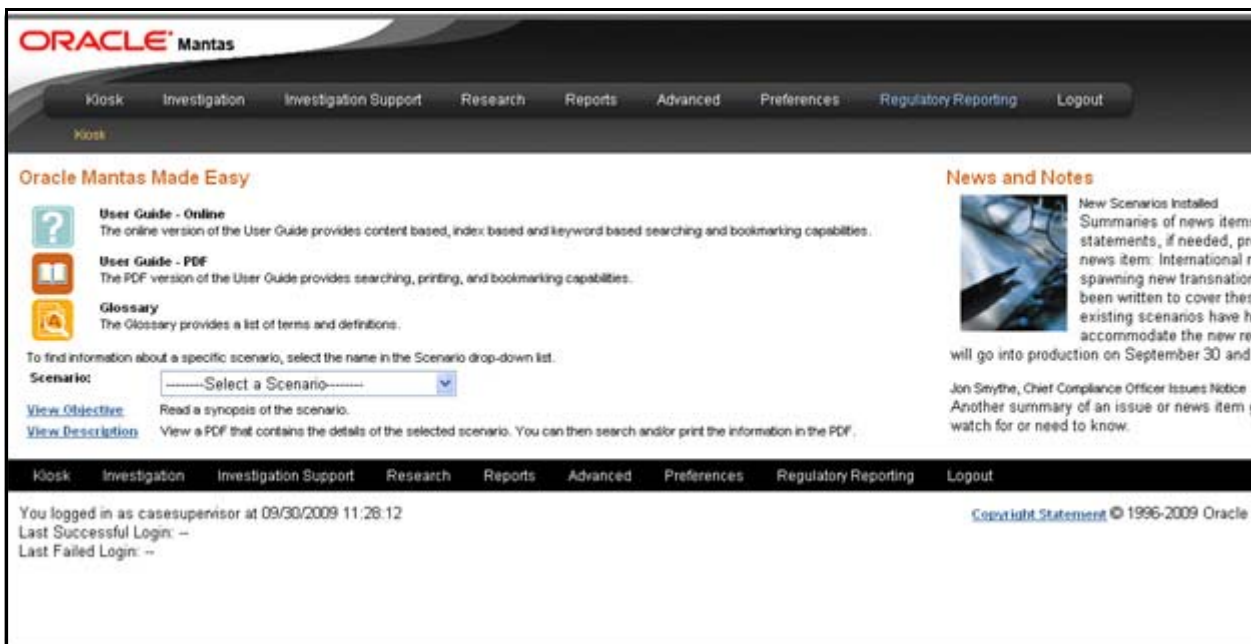


Figure 1. Oracle Financial Services UI

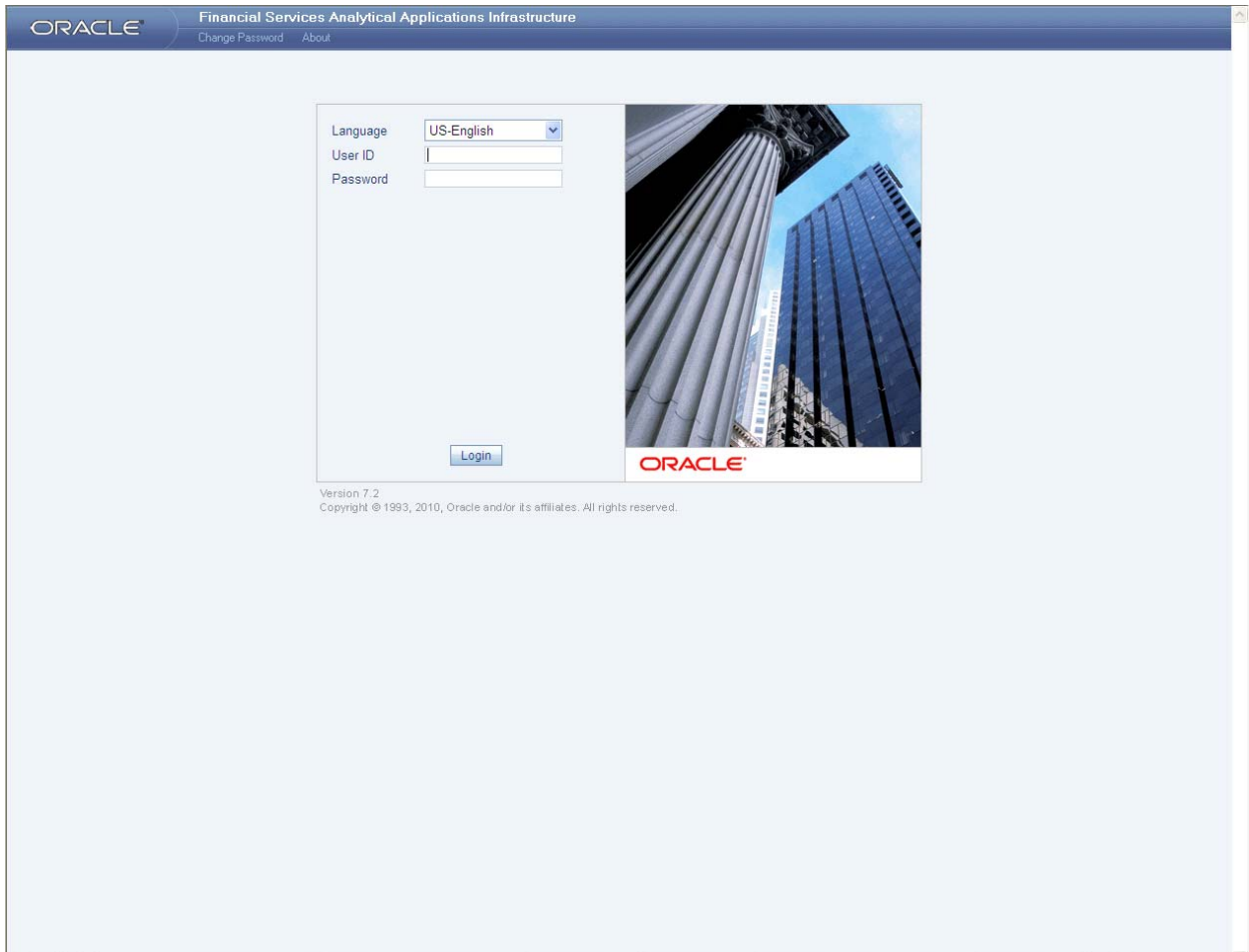


Figure 2. RR Application Login

To log into the RR application, follow these steps:

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

The System Admin user can see all links on the application menu, other users can see only the RR link. Other users will see the links based on their roles and privileges.

Figure 3 and Figure 4 shows the landing screen for various users.

To see the data required, select the information domain and click the **Compliance Regulatory Reporting** link. This takes you to the application page (Figure 5).

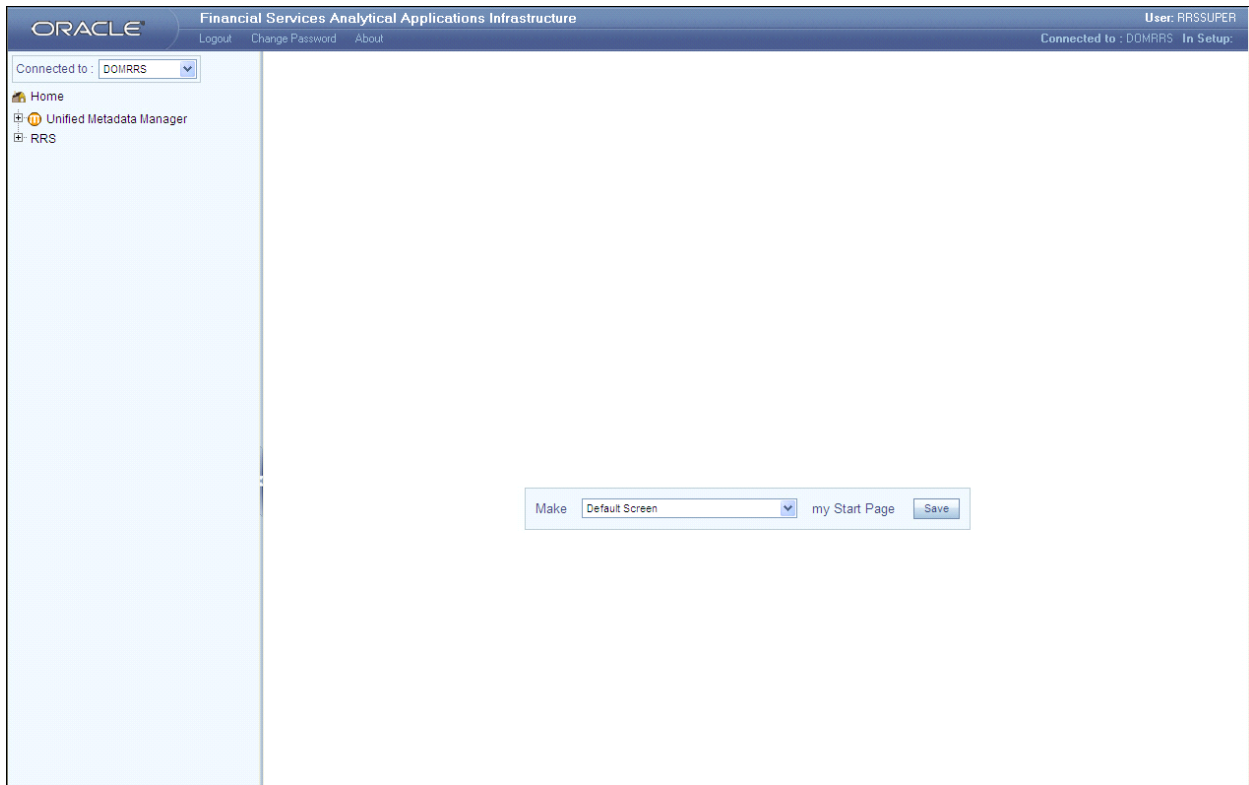


Figure 3. Home Page for all the Roles (except for the RR System Administrator)

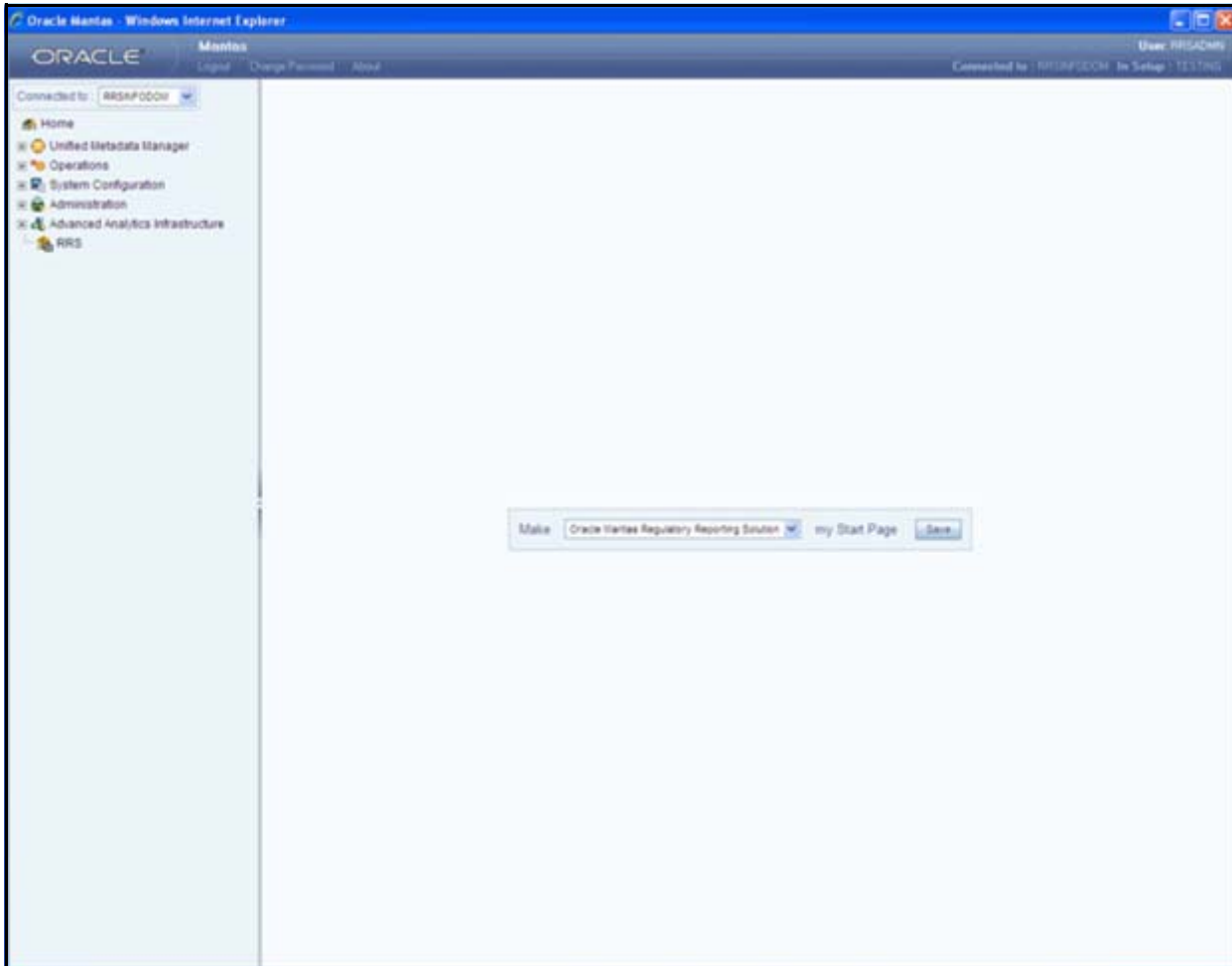


Figure 4. Home Page for the RR System Admin Role

Setting the Default Page

From the **Make my Start Page**, select **Compliance Regulatory Reporting** from the drop-down list and click Save. This saves the application page as the Start page.

If the Application page is the start page, then the Home link and the Logout link will also be enabled on the page. If not, the Logout link is available only in the Home page.

The Application page has Regulatory Reports and File Regulatory Reports. The page displays the Regulatory Report Search and List of the Regulatory Reports, by default (Figure 5).

About RR Login
Chapter 1—About Regulatory Reporting

ORACLE Financial Services Regulatory Reporting Welcome, RRSSUPER Wednesday, December 7, 2011

Home **Regulatory Reports - MYSTR** User Attributes

Regulatory Report Search Go | Reset

Report Name Jurisdiction Status
 Alert/Case ID Created From Date Created To Date

Report List

Regulatory Report List (21) Page 1 of 2

Regulatory Report Name	Report Type	Alert/Case ID	Focus Name	Jurisdiction	Created Date	Created By	Status	PDF
13876-12062011093453388	MYSTR	13876	CU JENNIFER NAME LOPEZ	AMEA	06/12/2011	case_supervisor	Open	
13877-12062011093415297	MYSTR	13877	CU JENNIFER NAME LOPEZ	AMEA	06/12/2011	case_supervisor	Open	
10440-11302011073713933	MYSTR	10440	AC THOMSON	AMEA	30/11/2011	test_supervisor	Open	
10455-11302011072426221	MYSTR	10455	AC ROSS	AMEA	30/11/2011	test_supervisor	Open	
10515-11292011105230251	MYSTR	10515	AC CHALSIA	AMEA	29/11/2011	test_supervisor	Open	
10485-11292011105224221	MYSTR	10485	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Open	
10472-11292011105216785	MYSTR	10472	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	
10455-11292011105209673	MYSTR	10455	AC ROSS	AMEA	29/11/2011	test_supervisor	Closed	
10453-11292011105201648	MYSTR	10453	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Open	
10440-11292011105154712	MYSTR	10440	AC THOMSON	AMEA	29/11/2011	test_supervisor	Closed	
13489-1123201109445286	MYSTR	13489	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Approved	
13488-11232011094427116	MYSTR	13488	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Closed	
13487-11232011094353285	MYSTR	13487	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Open	
13542-11222011075125682	MYSTR	13542	AC JOHN	AMEA	22/11/2011	test_supervisor	Closed	
13541-11222011075100269	MYSTR	13541	AC RAGHAV	AMEA	22/11/2011	test_supervisor	Filed	
13540-11222011075035657	MYSTR	13540	AC SARANSH	AMEA	22/11/2011	test_supervisor	Approved	
13539-11222011075015564	MYSTR	13539	AC HARINTON HARMONEY	AMEA	22/11/2011	test_supervisor	Open	
13888-11212011091125756	MYSTR	13888	AC PostedADAMS	AMEA	21/11/2011	test_supervisor	Open	
13888-11212011091101386	MYSTR	13888	AC PostedADAMS	AMEA	21/11/2011	test_supervisor	Open	
13877-11212011090701406	MYSTR	13877	CU JENNIFER NAME LOPEZ	AMEA	21/11/2011	test_supervisor	Open	

Figure 5. RR Application Page

Regulatory Report Workflow

The life cycle of the regulatory report are described in the workflow diagram (Figure 6). The report can be in any of the following statuses at any point..

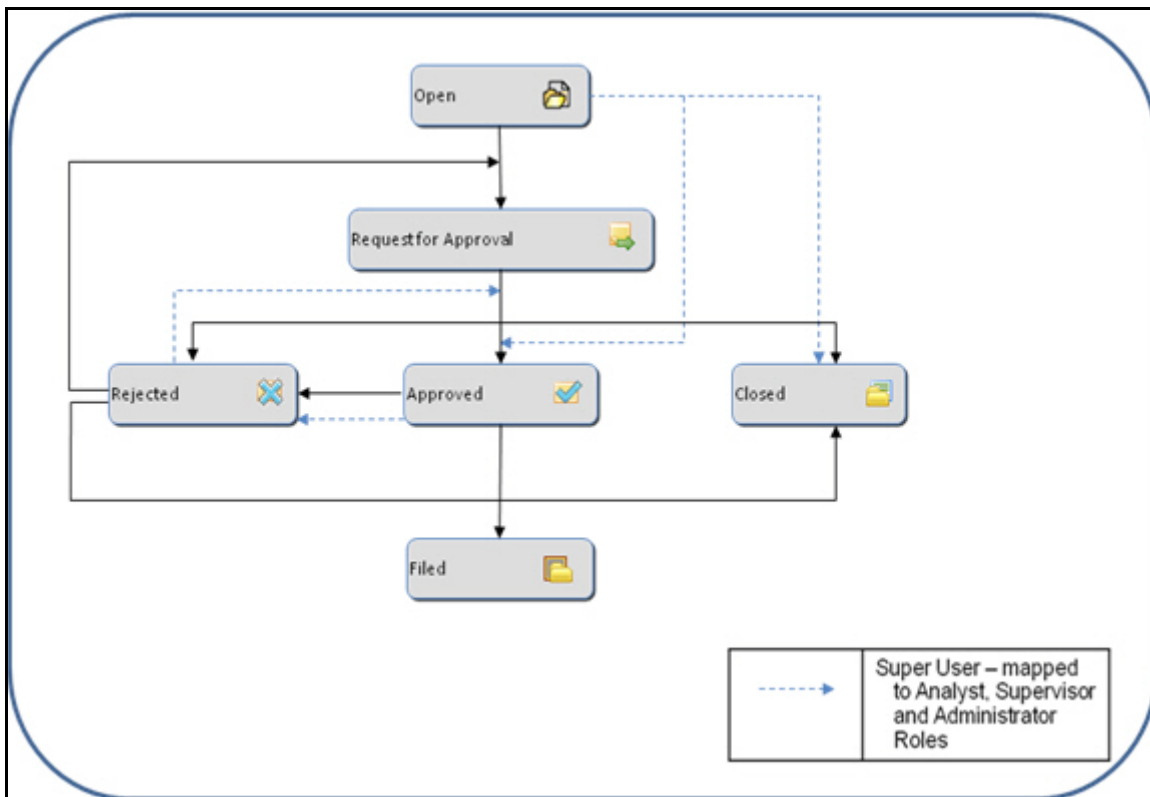


Figure 6. Compliance Regulatory Reporting Workflow

When the RR user selects **Recommend MY STR** action on an Alert or Case from the Oracle Financial Services Behavior Detection UI, then the data is passed to RR through the web service, and a report is opened in the RR application. Once the report is opened in RR, the same details are updated within Oracle Financial Services Behavior Detection.

Now you work on open or rejected reports, and send them for approval.

Users with the Supervisor role may do the following:

- Approve the report to be filed
- Reject the report for rework
- Close the report
- Take no further action

Every action taken on a report is recorded in the Audit Tab of the Regulatory Report Actions.

For more information on audit, refer to the section *Audit*, on page 37.

User Access

The following user roles are defined in the RR:

- Analyst
- Supervisor
- Admin
- Super user (Analyst , Supervisor, and Admin Role)

The User Role - Function mapping required for RR is defined in Table 2. These functions are required to set the privileges for each role.

Table 2. User Role - Function Mapping

Function	Roles			
	Analyst	Supervisor	Admin	Super User
Show Regulatory Reports Menu	X	X	X	X
Show File Regulatory Reports Menu			X	X
Show User Attributes Menu			X	X
View RR	X	X		X
Edit RR	X			X
Action RR (Request for Approval/Reject/Approve / Close)	X	X		X
Add RR Comments	X	XX	X	X
Generate Draft PDF Report	X	X	X	X
View Final PDF Report	X	X		X
File PDF			X	X
View / Edit Configuration				X
View/Edit User Attributes			X	X

This chapter explains how to view, edit, and generate PDF files for the report. This chapter covers the following topics:

- RR Application Menu
- Icons Used
- Regulatory Reports- User Interface

RR Application Menu

This section explains the modules that can be accessed through the UI and their functions. Each module facilitates a list of possible actions, which are visible based on the roles and privileges assigned for each user. The RR application menu includes links for Regulatory Reports, File Regulatory Reports and User Administration.

Regulatory Reports

This is the default opening screen for users after clicking the **Regulatory Reports** link. Generated reports are displayed and accessed on this page, based on user privileges. View Report Summary details by clicking a report.















The **Search** option allows users to search for reports, based on the following criteria:

- Report Name
- Alert ID/Case ID
- Jurisdiction
- Status
- Created from Date
- Created to Date

Icons Used

Table 3 details the icons used in the application.

Table 3. RR Icons

Icon Used	Convention Used	Description
	Search	Displays Search Results for the selected search criteria.
	Clear and Refresh	Clears the selections and values entered in the container and refreshes the screen to show previous values.
	Drop-down List	Displays the possible values that can be selected for the field.
	Calendar	Opens the calendar to select the date.
	Clear	Clears a selection made on the calendar or the Hierarchy Browser.
	PDF	Opens the PDF file generated for the report. This can also be saved to a local area.
	Edit	Opens the report in the Edit mode, if the report is not locked by another user.
	Add	Adds a new entry with respect to the context.
	Close	Closes the container after user confirmation.
	Save	Saves any changes made, after successful validation of the fields.
	Delete	Deletes the selected records after user confirmation.
	Close	Closes the report after successful validation for unsaved data.
	Logout	Allows the user to log out of the application.
	Details	Displays details for the selected report.

Regulatory Reports- User Interface

The Regulatory Reports UI displays the list of reports generated. This list provides the following details:

- Regulatory Report Name
- Alert ID/Case ID
- Report Type
- Jurisdiction
- Created Date
- Created By
- Status
- Focus Name
- PDF

Users are permitted to take action on reports that are not locked by another user. Perform actions on reports using the Actions bar on the Report Summary page. The Analyst/Super user may open the report to edit or view the contents by clicking the report name. This opens the page in the Edit/View mode. Only reports in the Open or Rejected status can be edited.

The Supervisor can navigate to the Report Summary page by clicking the required report name in the Regulatory Report List.

Regulatory Report Search

Users can search the Report based on the following criteria:

- Report Name
- Alert/Case ID
- Status
- Jurisdiction
- Created from Date
- Created to Date

Click **Clear** on the Regulatory Report Search to clear all the selections made and display a blank search container (Figure 7).

Regulatory Report List

View the report details by clicking the required report. If the report is already opened by another user, the system displays the message "*Report is locked by another user*".

View/Edit Reports

View and edit the report details by clicking the report name. If the report is already opened by another user, the system displays the message *Report is locked by another user*. After confirmation from the logged in user, the report details are displayed in the View mode. The report opens in View or Edit mode based on the roles and privileges of the user who logged in and the report status.

Export to Excel:

You can export all the reports in the Regulatory Report List to a new excel spreadsheet. Click on **Export to Excel** icon present on the Regulatory Report List grid header. A new prompt on the screen (Figure 7) displays. Make your selection as mentioned below.

- Select Grid Data
- Document Type as Excel
- Display From Name as 'Yes'

And click on **Export** button. All the data under Regulatory Report List will be populated in a new Excel spread sheet.

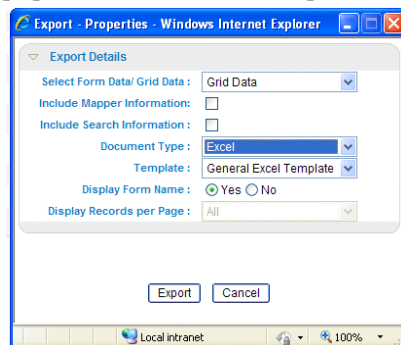


Figure 7. Export Properties Dialog Box

Report Summary

This chapter discusses the life cycle of the report, bank information, customer particulars and the suspicious transaction information. This chapter focuses on the following topics:

- About the Report Summary Page
- Action Bar
- Report Context
- Customer Details – Natural Person
- Customer Details – Company
- Transaction Details
- Add Document
- Narrative
- Audit

About the Report Summary Page

The Report Summary page provides information about the report. Navigate to the Report Summary page from the Regulatory Report List by clicking a report.

The Report Summary page has three sections - the Actions bar, Report Context and Report Tabs. Each section is detailed below:

- The **Actions bar** displays the various action that can be taken on the report. This list of action buttons is updated based on the logged in user and the report status.
- The **Report Context** displays information about the report, such as Report Status, Jurisdiction, and Created By.
- The **Report tabs** display the related information that needs to be submitted with the regulatory authorities.

Every report generated in the RR application can have any of the following statuses:

- Open
- Request for Approval
- Approved
- Closed
- Rejected
- Filed

The report has a life cycle which begins with the Open status and ends when it is Closed. Reports that are required to file with the Regulatory Authority have the final status of Filed.

The user opens the report in the edit mode. After editing the information, click **Save** or **Reset**.

You can view the following tabs in the Report Summary page:

- Customer Details
- Person Conducting the Transaction
- Transaction Details
- Add Document
- Narrative
- Audit

Action Bar

The Action Bar lists actions that can be taken by users on the report. The buttons are displayed based on the user logged in, report status and the mode in which the report is opened (Edit or View). Table 4 details the Actions buttons.

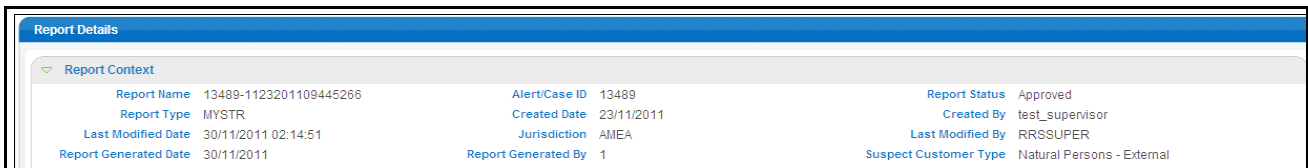
Table 4. Action Bar

Action	Report Status	User	Description
Request for Approval	Open/Rejected	Analyst	This action is taken once the report details have been updated and it is sent for approval.
Approve	Request for Approval/ Open	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines it is ready to be filed.
Close	Open/Request for Approval/Rejected	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines it need not be filed.
Reject	Request for Approval/Approved	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines that further corrections are required.
Add Comments	--	All Users	This action allows users to add comments to the report details to assist with the investigations.
Draft Report	Open/Request for Approval/Rejected	All Users	This action allows users to view a draft of the final report.
Search	--	All Users	This action validates any unsaved data and navigates to the Report List page.

Report Context

Report Context (Figure 8) displays the following information related to the report:

- Report Name
- Alert ID/Case ID
- Report Type
- Report Status
- Created Date
- Created By
- Last Modified Date
- Last Modified By
- Report Generated Date
- Report Generated By
- Jurisdiction
- Suspect Customer Type



Report Details			
Report Context			
Report Name	13489-1123201109445266	Alert/Case ID	13489
Report Type	MYSTR	Created Date	23/11/2011
Last Modified Date	30/11/2011 02:14:51	Jurisdiction	AMEA
Report Generated Date	30/11/2011	Report Generated By	1
		Report Status	Approved
		Created By	test_supervisor
		Last Modified By	RRSSUPER
		Suspect Customer Type	Natural Persons - External

Figure 8. Report Context

Customer Details – Natural Person

The Customer Details tab (Figure 9) displays the following information:

- Customer Information
- Spouse Details
- Contact Information
- Employment Information

ORACLE Financial Services Regulatory Reporting | Welcome, RRSSUPER | Wednesday, December 7, 2011

Home | Regulatory Reports - MYSTR | User Attributes

Home >> Report Details

Reject | Add Comments | Search

Report Details

Report Context

Report Name	13489-1123201109445266	Alert/Case ID	13489	Report Status	Approved
Report Type	MYSTR	Created Date	23/11/2011	Created By	test_supervisor
Last Modified Date	30/11/2011 02:14:51	Jurisdiction	AMEA	Last Modified By	RRSSUPER
Report Generated Date	30/11/2011	Report Generated By	1	Suspect Customer Type	Natural Persons - External

Customer Details | Person Conducting the Transaction | Transaction Details | Add Document | Narrative | Audit

Customer Information | Save | Reset

Customer Name*	BOSTONBRANCHINDIANBRANCHVIVEKH.MALAARORAVIVEKAR	Nationality*	UNITED STATES
Account Holder/Signatory*	Account Holder	Other/Previous Name 1	
Other/Previous Name 2		Other/Previous Name 3	
Passport No		Place/Country of Issue	
Email Address	bryanadams@rock.com	Contact No(Off)	5487264255
Contact No(Res)		Contact No(Mob)	
Fax No		Gender	
Marital Status			

Spouse Details | Save | Reset

Spouse Name		New IIRIC No	
Old IIRIC No		Other Identification	
Other Identification Type		Passport No	
Place/Country of Issue			

Contact Information (1) | Add | Delete | Save

Address Type	Street	Town	State	Country	Postcode
<input type="checkbox"/> Residential	658B, SECTOR 4, BLOCK 6, MOUNTAIN VIE...	CHARGOGGAGOGGMAN	Virginia	UNITED STATES	12502

Employment Information | Save | Reset

Figure 9. Customer Details (Natural Persons - External) - Edit Mode

Customer Information (Natural Persons) - Edit mode

The Customer Information (Natural Persons) Container provides the following details:

- Customer Name
- Nationality
- Account Holder/Signatory
- Other/Previous Name 1
- Other/Previous Name 2
- Other/Previous Name 3
- Passport No
- Place/Country of Issue
- Email Address
- Contact No(off)
- Contact No(Res)
- Contact No(Mob)
- Fax No
- Gender
- Marital Status

Spouse Details - Edit mode

The Spouse Details container provides the following information:

- Spouse Name
- New NRIC No
- Old NRIC No
- Other Identification
- Other Identification Type
- Passport Number
- Place/Country of Issue

This information must be entered by the user.

Save

Click **Save** to save the details entered. The page is refreshed and displays the saved data of the Spouse Details.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data of the Spouse Details.

Contact Information - Edit Mode

The Contact Information grid provides the following customer details:

- Address Type
- Street
- Town
- State
- Country
- Postcode

Only one entry per address type can be made.

Add

Clicking **Add** opens a pop-up window. The user selects the address type and fills in the related information. Once this is saved, a new row is added to the existing grid.

Edit and save

To edit and save Contact Information, select the record you wish to edit address details for by selecting the corresponding row. Enter the details and click **Save**.

Delete

To clear the updated Contact Information, select the updated row and click **Delete**.

Employment Information - Edit Mode

The Employment Information – Edit mode provides the following details:

- Business Type/Employment Type
- Employer Name
- Occupation
- Occupation Description
- Employment Area
- Other Employment
- Street
- Town
- Postcode
- State (For Malaysia, State only)
- Country
- Other facilities which account holder has with Bank

Save

To save the Employment Information, click **Save**. The page is refreshed and displays the saved data.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data of the Employment Information.

Customer Details – Company

- Customer Information (Company) - Edit Mode
- Contact Information (Company) - Edit Mode

The screenshot displays the Oracle Financial Services Regulatory Reporting application. The top navigation bar includes 'Home', 'Regulatory Reports - MYSTR', and 'User Attributes'. A user greeting 'Welcome, RRSSUPER' and the date 'Wednesday, December 7, 2011' are visible in the top right. The main content area is titled 'Report Details' and contains a 'Report Context' section with the following data:

Report Name	13877-12062011093415297	Alert/Case ID	13877	Report Status	Open
Report Type	MYSTR	Created Date	06/12/2011	Created By	case_supervisor
Last Modified Date	--	Jurisdiction	AMEA	Last Modified By	--
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Corporations

Below the report context, there are tabs for 'Customer Details', 'Person Conducting the Transaction', 'Transaction Details', 'Add Document', 'Narrative', and 'Audit'. The 'Customer Information' tab is active, showing a form with the following fields:

Customer Name*	NASA	Place of Incorporation*	
Business Registration No*		Account Holder/Signatory*	
Other/Previous Name 1		Other/Previous Name 2	
Other/Previous Name 3		Email Address	
Contact No(Off)		Contact No(Res)	
Contact No(Mob)		Fax No	
Business/Employment Type		Other facilities which account holder has with Bank	

At the bottom of the form, there is a 'Contact Information (0)' section with 'Add', 'Save', and 'Delete' buttons.

Figure 10. Customer Details (Company) - Edit Mode

Customer Information (Company) - Edit Mode

The Customer Information Container provides the following details:

- Customer Name
- Place of Incorporation
- Business Registration No
- Account Holder/Signatory
- Other Previous Name (1/2/3)
- Email Address
- Contact No (Office/Mobile/Residence)
- Fax No
- Business/Employment Type
- Other facilities which account holder has with Bank

These fields are auto populated from the Oracle financial Services Behavior Detection application. Users may also edit the information.

Save

Click **Save** to save the Customer Information. The page is refreshed and displays the saved details of the Customer Information.

Reset

To clear the updated data on the customer information tab, click **Reset**. The page is refreshed and displays the last saved data of the Customer Information.

Contact Information (Company) - Edit Mode

The Contact Information Container provides the following details:

- Address Type
- Street
- Town
- State
- Country
- Post Code

Customer Details - View Mode

All the information in the Customer Details - View Mode is in read-only mode. The Save and Reset buttons are hidden (Figure 10).

ORACLE Financial Services Regulatory Reporting | Welcome, RRSSUPER | Wednesday, December 7, 2011

Home | **Regulatory Reports - MYSTR** | User Attributes

Home >> [Report Details](#)

Add Comments | Search

Report Details

Report Context

Report Name	10455-11292011105209673	Alert/Case ID	10455	Report Status	Closed
Report Type	MYSTR	Created Date	29/11/2011	Created By	test_supervisor
Last Modified Date	30/11/2011 07:22:10	Jurisdiction	AMEA	Last Modified By	RRSSUPER
Report Generated Date	30/11/2011	Report Generated By	RRSSUPER	Suspect Customer Type	Natural Persons - External

Customer Details | Person Conducting the Transaction | Transaction Details | Add Document | Narrative | Audit

Customer Information

Customer Name*	PATRICK MOHANTY DEAN	Nationality*	UNITED STATES
Account Holder/Signatory*		Other/Previous Name 1	--
Other/Previous Name 2	--	Other/Previous Name 3	--
Passport No	--	Place/Country of Issue	--
Email Address	CUANTPRFSOFAC-001@yahoo.com	Contact No(Off)	--
Contact No(Res)	2022321112	Contact No(Mob)	--
Fax No	--	Gender	--
Marital Status	--		

Spouse Details

Spouse Name	--	New IIRIC No	--
Old IIRIC No	--	Other Identification	--
Other Identification Type	--	Passport No	--
Place/Country of Issue	--		

Contact Information (1)

Address Type	Street	Town	State	Country	Postcode
<input type="checkbox"/> COMN	1900 HOLIDAY INN TOWERS, SUITE 948, A...	ALEXANDRIA	Virginia	UNITED STATES	22303

Employment Information

Business/Employment Type	--	Occupation*	--
Occupation Description*	--	Employer Name	US GOV

Figure 11. Customer Details (Natural Persons) - View Mode

Person Conducting the Transaction – Company Customer

The Person Conducted the Transaction tab provides Details of the Person conducting the transaction, Contact Information and Employment Information are available in this tab (Figure 12).

The screenshot displays the Oracle Financial Services Regulatory Reporting interface. At the top, the Oracle logo and 'Financial Services Regulatory Reporting' are visible. A user welcome message 'Welcome, RRSSUPER' and the date 'Wednesday, December 7, 2011' are shown in the top right. The navigation bar includes 'Home', 'Regulatory Reports - MYSTR', and 'User Attributes'. Below the navigation bar, there are links for 'Home >> Report Details' and a set of action icons: 'Approve', 'Close', 'Add Comments', 'Draft Report', and 'Search'. The main content area is titled 'Report Details' and contains a 'Report Context' section with the following data:

Report Name	13876-12062011093453368	Alert/Case ID	13876	Report Status	Open
Report Type	MYSTR	Created Date	06/12/2011	Created By	case_supervisor
Last Modified Date	--	Jurisdiction	AMEA	Last Modified By	--
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Corporations

Below the report context, there are tabs for 'Customer Details', 'Person Conducting the Transaction' (which is active), 'Transaction Details', 'Add Document', 'Narrative', and 'Audit'. The 'Person Conducting the Transaction' tab is in edit mode, showing a form with the following sections:

- Details of the Person Conducting the Transaction:** This section includes fields for 'Name of the person conducting transaction*', 'Relationship with customer', 'Other/Previous Name 1', 'Other/Previous Name 2', 'Other/Previous Name 3', 'New NRIC No*', 'Old NRIC No', 'Other Identification Type', 'Email Address', 'Contact No(Off)', 'Contact No(Mob)', 'Fax No', 'Nationality*', and 'Gender'. There are also 'Save' and 'Reset' buttons.
- Contact Information (0):** This section has an 'Add' button and 'Save' and 'Delete' buttons.
- Employment Information:** This section includes fields for 'Business/Employment Type*', 'Occupation Description*', 'Occupation*', and 'Employer Name'. There are also 'Save' and 'Reset' buttons.

Figure 12. Person Conducting the Transaction (Company) - Edit Mode

Details of the Person Conducting the Transaction- Edit Mode

This container provides the following details for the person conducting the transaction:

- Name of the Person Conducting Transaction
- Nationality
- Relationship with Customer
- Other or Previous Name (1/2/3)
- New NRIC No
- Old NRIC No
- Other Identification
- Other Identification Type
- Email Address
- Contact Number (Office/Mobile/Residence)
- Fax No
- Gender

These fields are auto populated from Oracle Financial Services Behavior Detection application. Users may also edit the information. Enter the details in this container, and then proceed with the other data entry.

Save

To save the details entered, click **Save**. The page is refreshed and displays the saved details.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data.

Contact Information of Person Conducting the Transaction - Edit Mode

The Contact Information grid provides the following details for the person conducting the transaction:

- Address Type
- Street
- Town
- State
- Country
- Postcode

Only one entry per address type can be made.

Add

Clicking **Add** opens a popup window. The user selects the address type and fills in the related information. Once this is saved, a new row is added to the existing grid.

Edit and save

To edit and save Contact Information, select the record you wish to edit address details for by selecting the corresponding row. Enter the details and click **Save**.

Delete

To clear the updated data, select the updated row and click **Delete**.

Employment Information- Edit Mode

The Employment Information grid provides the following details:

- Business/Employment type
- Employer Name
- Occupation
- Occupation Description

Save

To save the details entered in the Employment Information container, click **Save**. The page is refreshed and displays the saved data.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data.

Person Conducting the Transaction – Natural Persons

The Person Conducted the Transaction tab provides details of the person conducting the transaction. Spouse Details, Contact Information, and Employment Information are available in this tab. (Figure 13)

ORACLE Financial Services Regulatory Reporting

Welcome, RRSSUPER Wednesday, December 7, 2011

Home Regulatory Reports - MYSTR User Attributes

Home >> Report Details

Approve | Close | Add Comments | Draft Report | Search

Report Details

Report Context

Report Name	10440-11302011073713933	Alert/Case ID	10440	Report Status	Open
Report Type	MYSTR	Created Date	30/11/2011	Created By	test_supervisor
Last Modified Date	--	Jurisdiction	AMEA	Last Modified By	--
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Natural Persons - External

Customer Details | **Person Conducting the Transaction** | Transaction Details | Add Document | Narrative | Audit

Details of the Person Conducting the Transaction Save | Reset

Name of the person conducting transaction*	Nationality*
Relationship with customer	Other/Previous Name 1
Other/Previous Name 2	Other/Previous Name 3
New NRIC No*	Old NRIC No
Other Identification	Other Identification Type
Email Address	Contact No(Off)
Contact No(Res)	Contact No(Mob)
Fax No	Gender
Marital Status	

Spouse Details Save | Reset

Spouse Name	New NRIC No
Old NRIC No	Other Identification
Other Identification Type	Passport No
Place/Country of Issue	

Contact Information (0) Add | Delete | Save

Employment Information Save | Reset

Business/Employment	Occupation*
---------------------	-------------

Figure 13. Person Conducting the Transaction (Natural Persons) - Edit Mode

Details of the Person Conducting the Transaction- Edit Mode

Spouse Details - Edit Mode

The Spouse Details container provides the following details:

- Spouse Name
- New NRIC No
- Old NRIC No
- Other Identification
- Other Identification Type
- Passport Number
- Place/Country of Issue

This information must be entered by the user.

Save

To save the details entered, click **Save**. The page is refreshed and displays the saved data.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data.

Employment Information- Edit Mode

The Employment Information grid provides the following details:

- Business/Employment type
- Employer Name
- Occupation
- Occupation Description
- Employment Area
- Other Employment
- Street
- Town,
- Postcode
- State (For Malaysia, State only)
- Country

Save

To save the details entered in the Employment Information container, click **Save**. The page is refreshed and displays the saved data.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data.

Person conducting the transaction - View Mode

All the information in the View mode of the Person Conducted the Transaction tab is read-only. The Save and Clear buttons are hidden (Figure 14).

The screenshot displays the Oracle Financial Services Regulatory Reporting application. The top navigation bar includes 'Home', 'Regulatory Reports - MYSTR', and 'User Attributes'. The user is logged in as 'RRSSUPER' on 'Wednesday, December 7, 2011'. The main content area is titled 'Report Details' and shows the following information:

Report Name	13541-11222011075100269	Alert/Case ID	13541	Report Status	Filed
Report Type	MYSTR	Created Date	22/11/2011	Created By	test_supervisor
Last Modified Date	30/11/2011 02:13:33	Jurisdiction	AMEA	Last Modified By	RRSSUPER
Report Generated Date	30/11/2011	Report Generated By	1	Suspect Customer Type	Natural Persons - External

Below the report details, there are navigation tabs: 'Customer Details', 'Person Conducting the Transaction' (selected), 'Transaction Details', 'Add Document', 'Narrative', and 'Audit'. The 'Person Conducting the Transaction' section is expanded, showing the following details:

Name of the person conducting transaction*	lfmkdfkg	Nationality*	AMERICAN SAMOA
Relationship with customer	--	Other/Previous Name 1	--
Other/Previous Name 2	--	Other/Previous Name 3	--
New IIRIC No*	2102121	Old IIRIC No	--
Other Identification	--	Other Identification Type	--
Email Address	--	Contact No(Off)	--
Contact No(Res)	--	Contact No(Mob)	--
Fax No	--	Gender	--
Marital Status	--		

Other sections include 'Spouse Details' (Spouse Name, Old IIRIC No, Other Identification Type, Place/Country of Issue, New IIRIC No, Other Identification, Passport No), 'Contact Information (0)', and 'Employment Information' (Business/Employment Type: Non-Profit Organization, Occupation*: Bell boy, Occupation Description*: sdfggfdg, Employer Name).

Figure 14. Person Conducting the Transaction - View Mode

Transaction Details

The Transaction Details tab displays Account Information and Introducer/Guarantor Information (Figure 15).

ORACLE Financial Services Regulatory Reporting | Welcome, RRSSUPER | Wednesday, December 7, 2011

Home | **Regulatory Reports - MYSTR** | User Attributes

Home >> Report Details

Approve | Close | Add Comments | Draft Report | Search

Report Details

Report Context

Report Name	10440-11302011073713933	Alert/Case ID	10440	Report Status	Open
Report Type	MYSTR	Created Date	30/11/2011	Created By	test_supervisor
Last Modified Date	--	Jurisdiction	AMEA	Last Modified By	--
Report Generated Date	--	Report Generated By	--	Suspect Customer Type	Natural Persons - External

Customer Details | Person Conducting the Transaction | **Transaction Details** | Add Document | Narrative | Audit

Account Information Save | Reset

Attempted but not completed the transaction No Yes

Account Number* ACANTPRFEXFACTAC-001

Account Status* Open

Account Type* [Dropdown]

Date Account Opened* 04/02/2002

Current Balance (MYR)* 1000805.322

Branch* [Dropdown]

State* [Dropdown]

Frequency* [Dropdown]

Total Amount (MYR)* 100000

Transaction Date* 02/12/2009

To Date* 05/12/2009

Foreign Currency Amount

Currency Type [Dropdown]

Transaction Type [Dropdown]

Introducer/Guarantor Save | Reset

Name* [Text Box]

Nationality [Dropdown]

New IIRIC No [Text Box]

Old IIRIC No [Text Box]

Other Identification [Text Box]

Other Identification Type [Text Box]

Passport No [Text Box]

Place/Country of Issue [Dropdown]

Business Registration No [Text Box]

Figure 15. Transaction Details - Edit Mode

Account Information: Edit Mode

The Account Information grid provides the following details:

Attempted but not completed the transaction (Radio Buttons)

- Account Number
- Account Type
- Account Status
- Date Account Opened
- Current Balance (MYR)
- Branch
- State
- Frequency
- Total Amount (MYR)
- Transaction Date
- To Date
- Foreign Currency Amount
- Currency Type
- Transaction Type

The State, Frequency, Total Amount (MYR), Transaction Date and To Date fields are auto populated from Oracle Financial Services and are not able to be edited by the user.

Save

Click **Save** to save the data entered. The page is refreshed and displays the saved data of the Account Information.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data of the Account Information.

Introducer/Guarantor Information: Edit Mode

The Introducer/Guarantor Information grid provides the following details:

- Name
- Nationality
- Business Registration No
- New NRIC No
- Old NRIC No
- Other Identification
- Other Identification Type
- Passport No
- Place/Country of Issue

This information must be entered by the user.

Save

Click **Save** to save the data entered. The page is refreshed and displays the saved data.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data.

Transaction Details - View Mode

All the information in the View mode of the Transaction Details tab will be in read-only mode. The Save and Reset buttons are hidden (Figure 16).

The screenshot displays the Oracle Financial Services Regulatory Reporting web application. The top navigation bar includes 'Home', 'Regulatory Reports - MYSTR', and 'User Attributes'. A user profile bar shows 'Welcome, RRSSUPER' and the date 'Wednesday, December 7, 2011'. The main content area is titled 'Report Details' and contains a 'Report Context' section with the following data:

Report Name	13541-11222011075100269	Alert/Case ID	13541	Report Status	Filed
Report Type	MYSTR	Created Date	22/11/2011	Created By	test_supervisor
Last Modified Date	30/11/2011 02:13:33	Jurisdiction	AMEA	Last Modified By	RRSSUPER
Report Generated Date	30/11/2011	Report Generated By	1	Suspect Customer Type	Natural Persons - External

Below the report context is a navigation bar with tabs: 'Customer Details', 'Person Conducting the Transaction', 'Transaction Details' (selected), 'Add Document', 'Narrative', and 'Audit'. The 'Transaction Details' section is expanded to show two main categories:

- Account Information:**
 - Attempted but not completed the transaction
 - Account Number: XXXACFTNEXTENCU-001
 - Account Type: Other
 - Account Status: Open
 - Date Account Opened: 31/12/2008
 - Current Balance (MYR): 1112
 - Branch: 0123
 - State: Maryland
 - Frequency: Single
 - Total Amount (MYR): 3400
 - Transaction Date: 30/11/2009
 - To Date: 30/11/2009
 - Foreign Currency Amount: --
 - Currency Type
 - Transaction Type
- Introducer/Guarantor:**
 - Name: sdafafas
 - Nationality
 - New NRIC No: --
 - Old NRIC No: --
 - Other Identification: --
 - Other Identification Type: --
 - Passport No: --
 - Place/Country of Issue
 - Business Registration No: --

Figure 16. Transaction Details - View Mode

Add Document

Users may add supporting documents to the transactions being reported, related to the suspects being reported, and related to the accounts held by the suspects in the bank. Documents, such as account opening forms, may also be attached to the report request. Users may view documents already attached to the report (Figure 17).

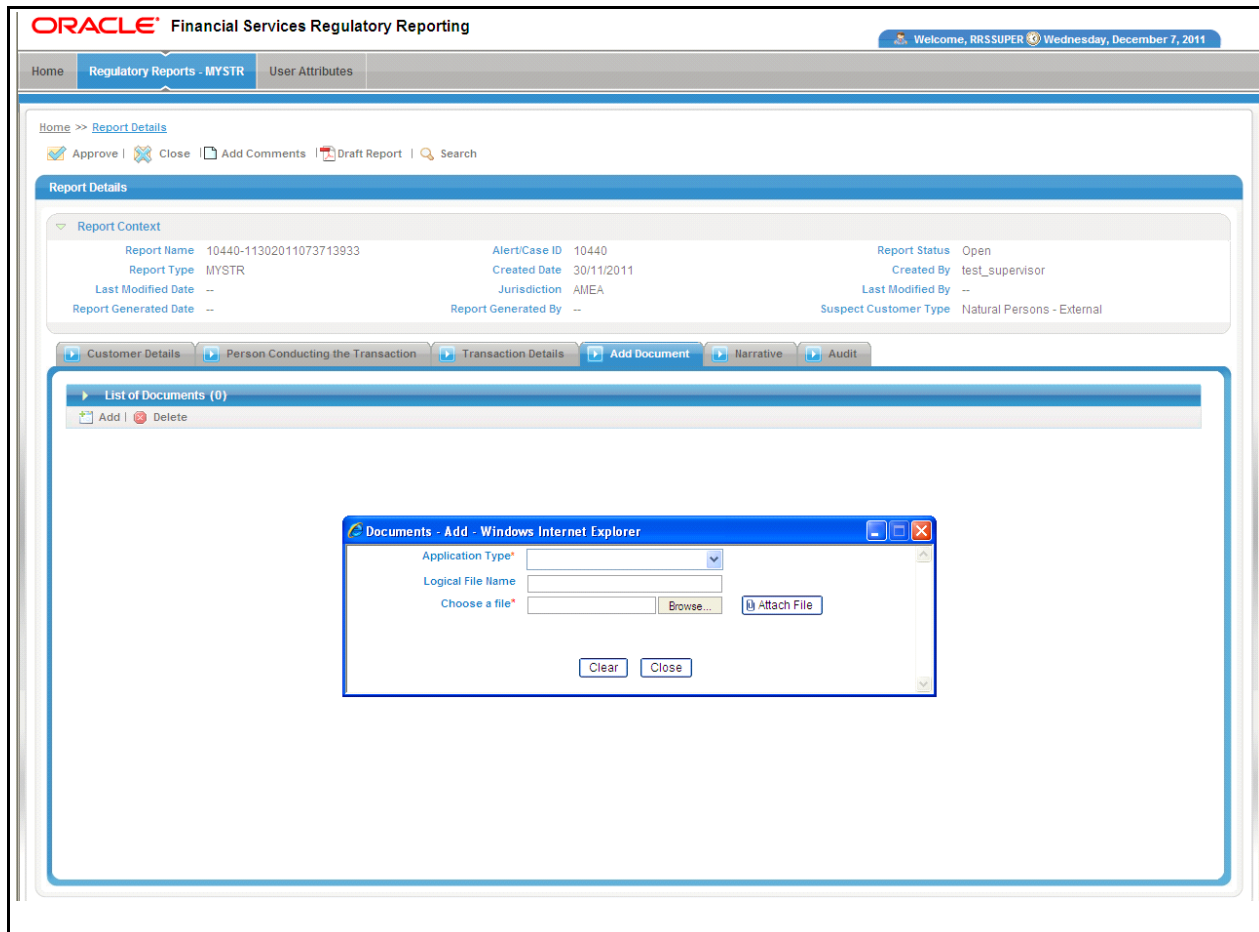


Figure 17. Add Document - Edit mode

Add Document – Edit Mode

Attach New Documents:

To attach a new document to the report, follow these steps:

1. Click **Add** in the List of Documents. The Add Documents pop-up window opens. (Figure 15)
2. Select the application type from the Application Type drop-down list.
3. Click **Upload File**, which opens a pop-up window.
4. Use the **Browse** button to locate the file.
5. Enter the Logical File Name and click **Ok** to attach the selected document.

The page is refreshed and the newly added document is added to the **List of Documents** grid. The documents can be viewed by clicking View (Figure 18).

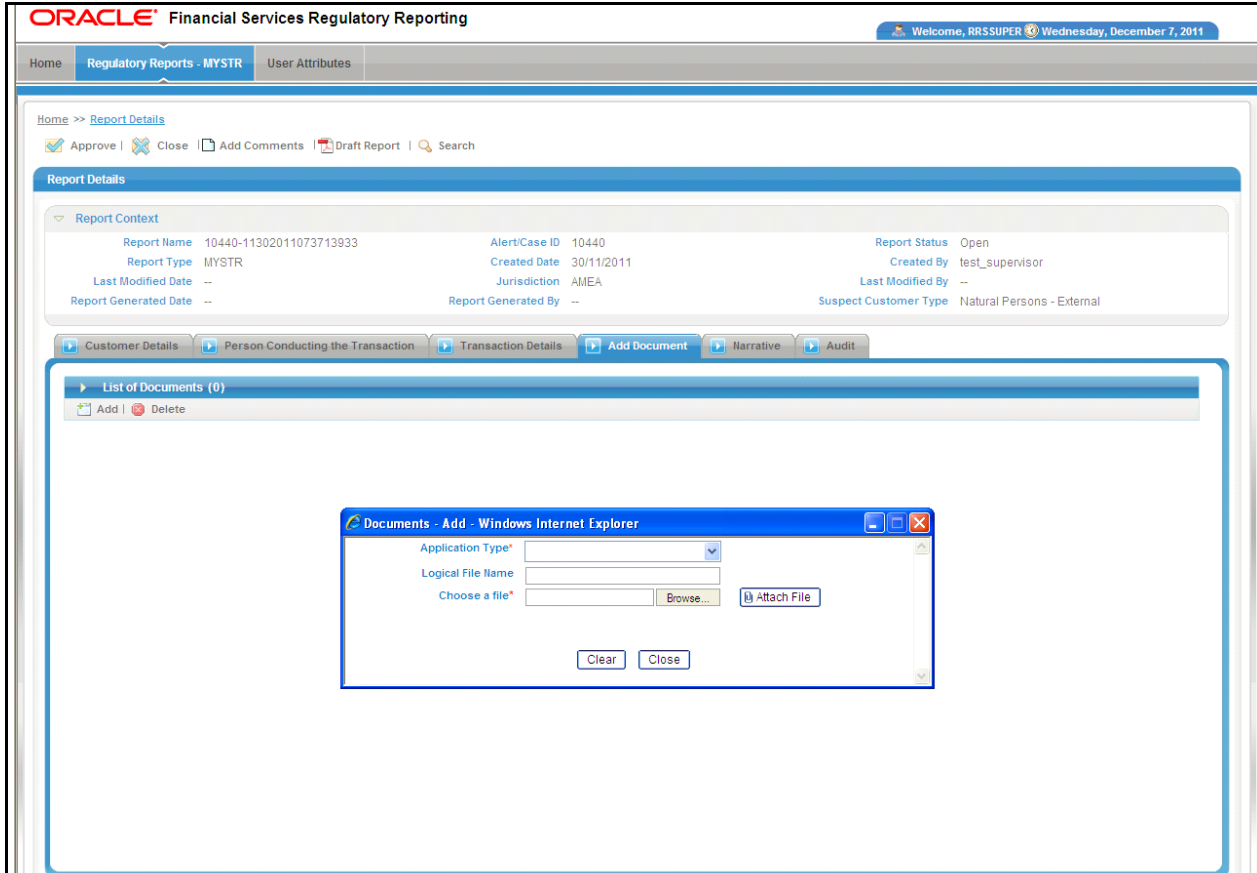


Figure 18. Add Document – View Mode

Add Document - View mode

When accessing the report in View mode, the List of Documents grid displays, but not the Attach Document container. The attached documents can be viewed by clicking **View**.

Narrative

This tab includes the Suspicion details and the details of Suspected Criminal Activity.

Narrative – Edit Mode

The Narrative tab (in edit mode) provides the following details:

- Grounds for Suspicion
- Others (please specify)
- Description of Suspected Criminal Activity
- Details of the Nature and the Circumstances Surrounding It

Users can select any of the options listed on the Grounds of Suspicion drop-down list. If the suspicious activity is not available, the user can specify the activity in Others. (Figure 19)

The screenshot displays the Oracle Financial Services Regulatory Reporting interface. At the top, the Oracle logo and 'Financial Services Regulatory Reporting' are visible. The user is logged in as 'RRSSUPER' on 'Wednesday, December 7, 2011'. The main navigation bar includes 'Home', 'Regulatory Reports - MYSTR', and 'User Attributes'. The current page is 'Report Details', with a breadcrumb trail 'Home >> Report Details'. Below the breadcrumb, there are action buttons: 'Approve', 'Close', 'Add Comments', 'Draft Report', and 'Search'. The 'Report Details' section is divided into two main areas. The first is 'Report Context', which contains a table of report information: Report Name (10440-11302011073713933), Alert/Case ID (10440), Report Status (Open), Report Type (MYSTR), Created Date (30/11/2011), Created By (test_supervisor), Last Modified Date (--), Jurisdiction (AMEA), Last Modified By (--), Report Generated Date (--), Report Generated By (--), and Suspect Customer Type (Natural Persons - External). The second area is 'Narrative Details', which is highlighted with a blue border. It contains a 'Save' button and a 'Reset' button. Below these are four input fields: 'Grounds for Suspicion' (a dropdown menu), 'Others (please specify)', 'Description of Suspected Criminal Activity', and 'Details of the nature and the circumstances surrounding it'.

Figure 19. Narrative - Edit Mode

Save

Click **Save**, to save the data entered. The page is refreshed and displays the saved data.

Reset To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data.

Narrative - View Mode

All the information in the View mode of the Narrative tab will be in read-only mode. The Save and Reset buttons are hidden (Figure 20).

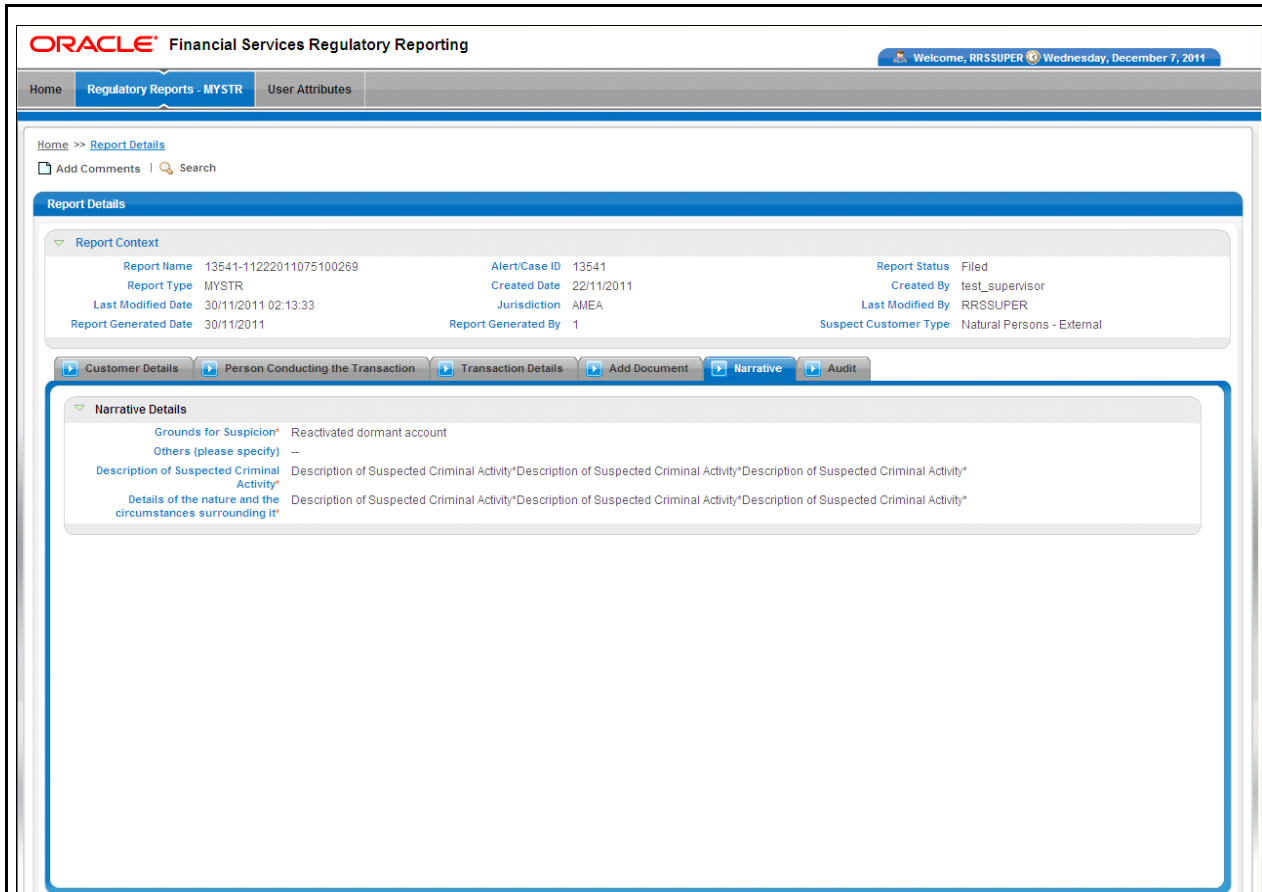


Figure 20. Narrative - View Mode

Audit

The Audit tab displays actions that may be taken on the report. This tab contains the Regulatory Report Actions Grid and the Regulatory Report Comments Grid (Figure 21).

Report Context

Report Name	13541-11222011075100269	Alert/Case ID	13541	Report Status	Filed
Report Type	MYSTR	Created Date	22/11/2011	Created By	test_supervisor
Last Modified Date	30/11/2011 02:13:33	Jurisdiction	AMEA	Last Modified By	RRSSUPER
Report Generated Date	30/11/2011	Report Generated By	1	Suspect Customer Type	Natural Persons - External

Regulatory Report Actions (3)

Date	Action	By	Comments
11/30/2011 02:13:33	Report Filled	RRSSUPER	ghjdghkdghkdghkdgh
11/30/2011 02:12:56	Approve	RRSSUPER	ghjghkglfkg
11/22/2011 09:54:07	Request for Approval	RRSANALYST	bsavfgsavjhsabfsha

Regulatory Report Comments (0)

Figure 21. Audit tab

Regulatory Report Audits

This grid displays the actions taken on the report with the following details:

- Date: When the action was taken.
- Action
- By: The user who took the action.
- Comments: Displays the comments entered.

Regulatory Report Comments

This grid displays all the actions taken on the Add Comments section of the report with the following details:

- **Date:** When the action was taken
- **By:** The user who took the action
- **Comments:** Displays the comments entered.
- **Status:** The status of the report while taking in the action. This is read-only information

File Regulatory Reports

Admin users can manually file the generated Regulatory Reports. This can be configured based on the decisions made during installation of the RR application. Please refer to the *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*.

This chapter covers the following topics:

- Manual Filing
- Reports

Manual Filing

This section details how to view approved reports and update each report with information on the filing of the report. (Figure 22)

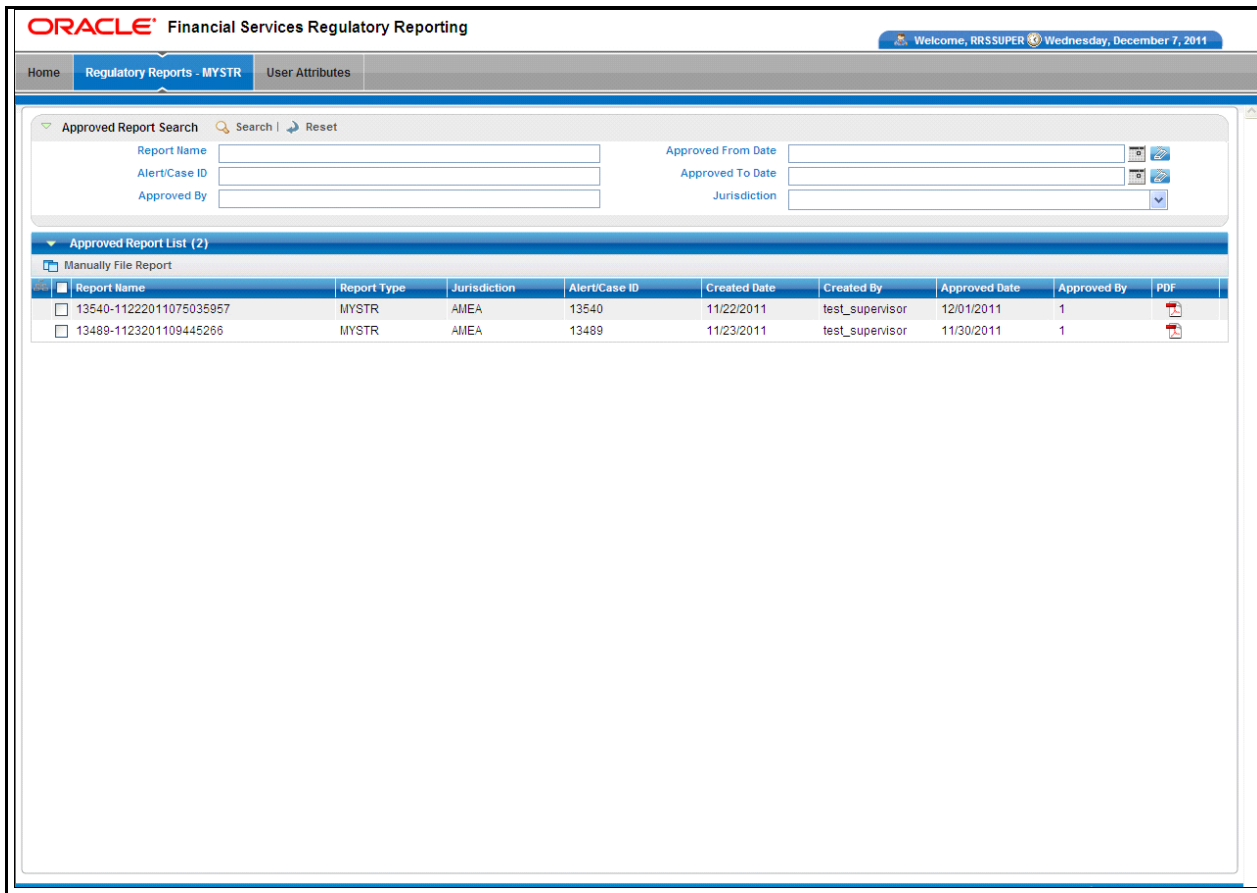


Figure 22. File Regulatory Reports

Reports

The Reports tab lists the reports which have been approved by the Supervisor or the Super user roles, (Reports with the status Approved). You can search for a report based on the following criteria:

- Report Name
- Alert ID/Case ID
- Report Type
- Approved By
- Approved Date
- Jurisdiction
- Created Date
- Created By
- PDF

The reports are filed with the Regulatory Authorities in a manual process of submitting a print-out of the PDF file.

Update the Report Filed

To update the report filed details, follow these steps:

1. Select the report to file with the Regulatory Authority from the Approved Report List grid.
2. Click **Manually File Report**. A pop-up window opens and allows you to update the date when the report was filed. Additional information can be entered in the comments with a minimum of 10 characters and a maximum of 120 characters.
3. To save the changes, click **Save** on the Manual Filing Update container. This updates the status of the reports to Filed.

This section shows how to map and maintain the security attributes for each user role (Figure 23). Security Attributes are configured for an installation by the System Administrator. These security attribute can then be mapped to users.

Attributes of generated reports are based on the Alert or Case for which the report is generated. Users will be able to access reports based on the Security Attributes mapped to each user and report.

This is available for the Admin and Super user roles only.

This chapter explains the following topics:

- View Security Attribute Mapping
- Add Security Attribute Mapping
- Delete Security Attribute Mapping

The screenshot shows the Oracle Financial Services Regulatory Reporting interface. The page title is "ORACLE Financial Services Regulatory Reporting". The user is logged in as "RRSSUPER" on "Wednesday, December 7, 2011". The navigation menu includes "Home", "Regulatory Reports - MYSTR", and "User Attributes". The main content area is titled "User Attributes" and contains a "Go" button and a "User Name" dropdown menu set to "TESTANALYST". Below this, there are five "Attribute" rows, each with a dropdown menu:

Attribute	Value
Attribute 1	CA,SA,US,INDA,AMEA,SGI,SGO
Attribute 2	RB/PC,RET,INST,GEN,C/WS,EMP,c,d,e,f
Attribute 3	CST1,CST2,CST3,AML,TC,FR,FR,FR
Attribute 4	ACP_FR_NVST,TC_NVST,AML_SURV,AML_TER,FR_AC,FR_EE,FR_ON,BROKER_COMP,BROKER
Attribute 5	MockOrgA,MockOrgB,MockOrgC,ORG1,TestOrgC,TestOrgA,TestOrgB

At the bottom of the form are "Save" and "Clear" buttons.

Figure 23. User Administration

View Security Attribute Mapping

To view the security mapping for a user, follow these steps:

1. Select the user whose security attribute mapping is to be viewed.
2. Click **Go**. The page is refreshed with the security attributes and values mapped for the user. These values are comma separated.

Add Security Attribute Mapping

To add a security attribute value to a security attribute, follow these steps:

1. Select the required Security Attribute from the drop-down list.
2. Click **Save**.

Delete Security Attribute Mapping

To delete the security attribute value mapping, follow these steps:

1. De-select the Security Attribute you wish to delete from the drop-down list.
2. Click **Save**. The new security mappings to the user are saved.

