Oracle Financial Services
Compliance Regulatory Reporting
User Guide US SAR

Release 8.0.4
April 2017

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User Guide US SAR

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About This Guide

US SAR stands for United States Suspicious Activity Report.

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 US SAR,* 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 view, create, and edit report details, request reports for approval, close reports, add comments to the report as well as view final PDF.

- **Supervisor:** This user can view, create, edit report details and add comments to the report. This user is responsible for taking action on the reports submitted by the Analyst, such as approve, reject, re-approve, or close reports. Users mapped to the role of Supervisor can add comments to the report as well as view final PDF.

- **Admin User:** This user can view reports, edit approved reports, re-approve, and close approved reports. Users mapped to the role of Admin can add comments, generate e-file, and file them with the regulatory bodies.

- **Super User**: This user can create, update, approve, reject, re-approve, and close reports. This user can also generate e-file and file the reports with the regulatory bodies. Users mapped to the role of Super User can perform all the tasks performed by an Analyst.

- **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.

- **Auditor**: This user can view regulatory reports and draft PDF.

- **System Authorizer**: This user is responsible for authorizing configurations.

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

How this Guide is Organized

The *Oracle Financial Services Compliance Regulatory Reporting User Guide US SAR,* 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 OFS CRR application

- Chapter 3, *Managing OFS CRR,* explains the workflow of regulatory reports.

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

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 managing the data in the OFS CRR 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 OFS CRR application through a web service for the US SAR 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 Platform hosted in Windows environment.

- *Oracle Financial Services Compliance Regulatory Reporting Administration Guide:* This guide describes comprehensive activities to be done by the OFSAAI Administrator in the Oracle Financial Services Compliance Regulatory Reporting application. 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 solves real business problems, see our website at www.oracle.com/financialservices.

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

About Compliance Regulatory Reporting

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

This chapter discusses the following topics:

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

Introduction of Compliance Regulatory Reporting

As a part of regulations and compliances, a Financial Services Organization has 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.

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 (OFS CRR) application supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. The OFS CRR application supports the generation of suspicious transaction reports for various countries such as The United States of America (US SAR), Nigeria (NG STR), Pakistan (PK STR), Malaysia (MY STR), Singapore (SG STR), and Kenya STR (KE 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 reports, 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 Oracle Financial Services Compliance Regulatory Reporting application is integrated with the Oracle Financial Services Behavior Detection platform (OFSBDP) to allow users to generate reports automatically populated with information relevant to an investigation for any report filed.

The OFS CRR application helps in generating e-file in a *.txt* format according to specifications described in FinCEN Suspicious Activity Report (FinCEN SAR) Electronic Filing Requirements. After successfully e-filing, you can download the acknowledgment (*XML*) file from the BSA E-Filing System and upload the acknowledgment into OFS CRR, thereby completing the SAR process.

Getting Started

This chapter explains the steps to login to the OFS CRR application and provides a brief overview of the various users and their roles in the OFS CRR application.

This chapter explains the following topics:

- Overview
- User Access
- Logging in to Compliance Regulatory Reporting
- Managing the OFSAA Application Page
- Components of Regulatory Reports List
- Components of Regulatory Report Details

Overview

Following are the user roles defined in the OFS CRR 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 canceled 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.

- **Super user**: 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 generate E File and then submit the E File.

- **Admin User**: This user can access File Regulatory Reports Menu, this user can generate E File and then submit the E File.

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

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

This chapter explains the tasks that can be performed by the users of OFS CRR application.

This chapter also explains the steps to login to the OFS CRR application. It explains the components of Regulatory Reports List and the Regulatory Report Details as well as the functions of the action buttons in the Regulatory Reports List and Regulatory Report Details.

User Access

The following table explains the tasks that can be performed by various users in the OFS CRR application.

Table 2. User Roles and Functions

Function	Roles					
	Analyst	Supervisor	Admin	Super User	Sys Admin	Auditor
View Report	X	X	X	X		X
Edit Report	X	X		X		
Create new Report	X	X		X		
Request for Approval	X			X		
Approve Report		X		X		
Reject Report		X		X		
Close Report	X	X		X		
Edit Request for Approval Report		X		X		
Edit Approved Report		X	X	X		
Re-Approve Reports		X	X	X		
Reject Approved Reports			X	X		
Close Approved Reports			X	X		
Add RR Comments	X	X	X	X		
Generate Draft PDF	X	X	X	X		
View Final PDF	X	X	X	X		X
Edit E-File			X	X		
Reject E-File			X	X		
Generate E-File			X	X		
File E-File			X	X		
View / Edit Configuration					X	

Logging in to Compliance Regulatory Reporting

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

1. Enter the URL into your browser using the following format:

<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/login.jsp

The OFSAA Login page is displayed.

2. Select the **Language** from the Language drop-down list.

3. Enter your **User ID** and **Password**.

4. Click **Login**. The OFSAA Application page is displayed.

The OFSAA Application Page is divided into two parts:

■ **Left Pane:** Displays any menus and links to modules in a tree format based on the application selected in the **Select Application** drop-down list.

■ **Right Pane:** Displays any menus and links to modules in a navigational panel format based on the selection of the menu in the Left pane. It also provides a brief description of each menu or link.

Managing the OFSAA Application Page

This section describes the different panes and tabs in the OFSAA Application page.

The OFSAA Application page has the following tabs:

● Applications

● Object Administration

The following sections describe these tabs.

Applications Tab

The Applications tab lists the Regulatory Reporting application that is installed in the OFSAA setup based on the logged in user and mapped OFSAA Application User Groups.

The following menu items are available in the **Applications** tabs:

● Compliance Regulatory Reporting Pack

  ■ US SAR

  ■ User Administration

  ■ Webservice Configuration

  ■ Excel Upload (Atomic)

Object Administration Tab

Object Administration is an integral part of the Infrastructure system and allows system administrators to define the security framework with the capacity to restrict access to the data and metadata in the warehouse, based on a flexible, fine-grained access control mechanism. These activities are mainly done at the initial stage, and then as needed. This tab includes information related to the workflow of the Infrastructure Administration process with related procedures to assist, configure, and manage administrative tasks.

The Object Administration tab lists the RR Information Domain created in the OFSAA setup based on the logged in user and mapped OFSAA Application User Groups. For more information about managing Information Domains, refer to the *Administration* Guide.

The following menu items are available in the Object Administration tab:

- Financial Services Analytical Applications Infrastructure

    - Object Administration

Note:

  - If you've installed OFS CRR without OFS USSAR, the Oracle Financial Services Analytical Applications Infrastructure page will display the **OFS RR** link under the Home menu. Clicking **Regulatory Reporting** will navigate you to the Regulatory Reporting Search and List page.

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

Accessing Compliance Regulatory Reporting from OFS USSAR

To access OFS CRR from OFS USSAR, follow these steps:

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

Figure 1. OFSAAI Login Page

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

3. Enter your **User ID**.

4. Enter your **Password**.

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

Figure 2. OFSAAI Home Page

Note: From the Set My Home Page drop-down list, select **Financial Services Regulatory Reporting** and click **Save**. This saves the List of Regulatory Reports as the start page. If the List of Regulatory Reports is the start page, the Home and the Logout link will be enabled on this page. If not, the Logout link is available only in the landing page.
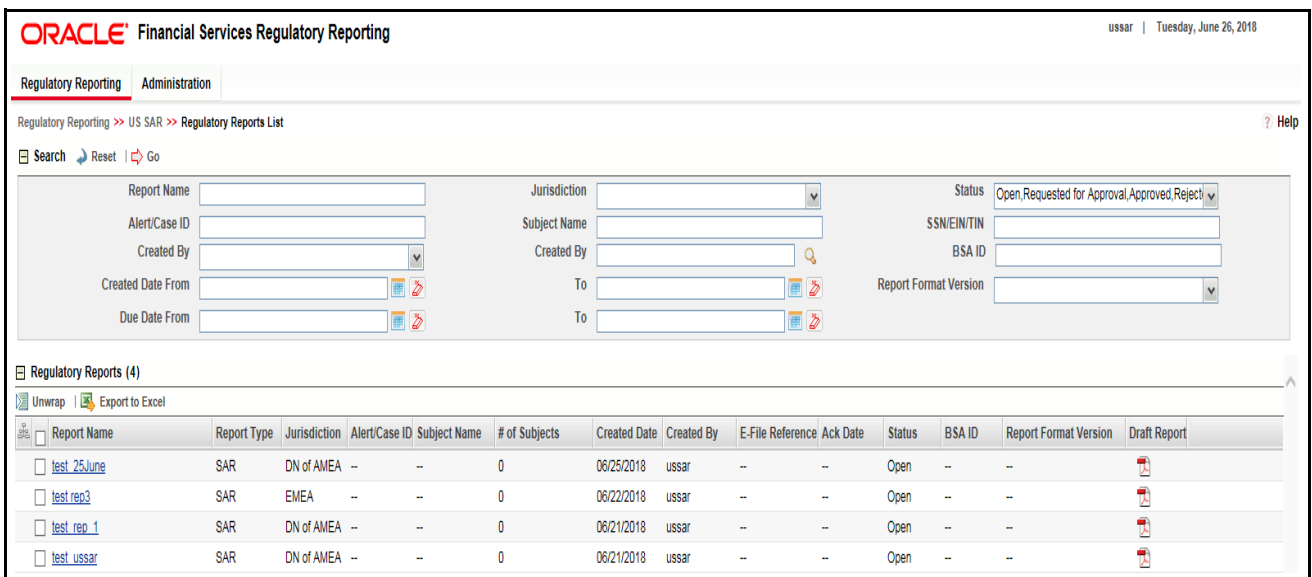
Figure 3. List of Regulatory Reports

The OFS CRR application displays the following links.

- Regulatory Reporting
- User Attributes

The Regulatory Reporting menu displays the Regulatory Reports SAR primary menu.

The Regulatory Reports SAR menu displays the following sub-menus:

- Regulatory Reports
- File Regulatory Reports
- Create New Regulatory Report

Note: Regulatory Reports SAR is the primary menu. Regulatory Reports, File Regulatory Reports, and Create New Regulatory Report are the secondary menus. In addition, the User Attributes menu displays. This menu allows you to map and maintain the security attributes for each user role.

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

Table 3. Menus Accessible to OFS CRR Users

	Roles				
Menus	**Analyst**	**Supervisor**	**Super User**	**Admin user**	**Auditor**
Regulatory Reports	X	X	X	X	X
File Regulatory Reports			X	X	X
Create New Regulatory Report	X	X	X		
User Attributes			X	X	

Components of Regulatory Reports List

The List of Regulatory Reports display the summary of all reports generated using the OFS CRR application.

The List of Regulatory Reports display the following components:

- Search Bar
- List Header
- Action Buttons
- Column Headings
- List Matrix

Search Bar

The RR Search bar allows you to search and view the report details. For more information on searching reports refer to section *Searching Regulatory Reports*.

List Header

The header contains the title *Regulatory Reports* and displays the total number of reports. The header also provides pagination with forward and backward arrows for advancing page by page or for advancing to the first or last page.

Action Buttons

The system provides the following action buttons that appear above the Regulatory Report List matrix:

- **Export to Excel:** Allows you to export the report details into an Excel template. For more information on Exporting to Excel, refer to *Exporting to Excel*.

Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most column headings in the RR List matrix can be sorted.

Right-click on the column heading to sort the display.

The following sorting options display:

- Ascending
- Descending
- Clear Sort
- Field Chooser

Select the relevant sorting option. The application refreshes the list and re-sorts the list based on the selection you have made.

List Matrix

The RR List matrix displays the summary of all reports.

The following table provides a list of columns and their descriptions in the RR List matrix:

Table 4. Columns in RR List Matrix

Column Heading	Description
Report name	Displays the report name.
Report Type	Displays the report type. **Note:** SAR is the default value for report type.
Jurisdiction	Displays the jurisdiction to which the report is mapped. **Note:** Jurisdiction over a territory relates to the geographic area over which a court has the authority to decide cases. Following are the values for Jurisdiction: • CA • SA • US • INDA • AMEA • SGI • SGO • ENT
Alert/Case ID	Displays the Alert/Cased ID that triggered the creation of the report in OFS CRR from OFSBDP/OFSECM. This field displays as blank for manually created report.
Subject Name	Displays the subject name.
Number of Subjects	Displays the number of subjects involved in the suspicious transaction
Created Date	Displays the date of report creation.
Created By	Displays the user who created the report.
E-File reference	Displays the e-file reference number.
Acknowledgment Date	Displays the date on which the acknowledgment was received.
Status	Displays the status of the report.
BSA ID	Displays the BSA ID generated for the report. **Note:** BSA stands for **Bank Secrecy Act Identifier**. The BSA ID is a distinct value assigned to each SAR submitted to FinCEN. FinCEN will use this ID to track a SAR as well as any corrections or amendments to that SAR.
Draft Report	This column displays a PDF icon. Click the PDF icon to view the report details in PDF. For more information on Draft report refer to, *Viewing Draft Report*.

Exporting to Excel

The List of Regulatory Reports allows you to export the report details into an Excel template.

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

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click **Export to Excel**. The Export Properties dialog box displays.

   Note: All the reports in the Regulatory Reports List are exported into an Excel template. You cannot export individual reports into Excel.
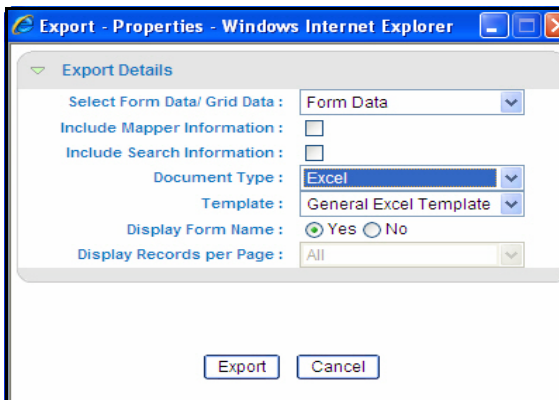
Figure 4. Export Properties Dialog Box

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 displays in an IE window with a dialog box.
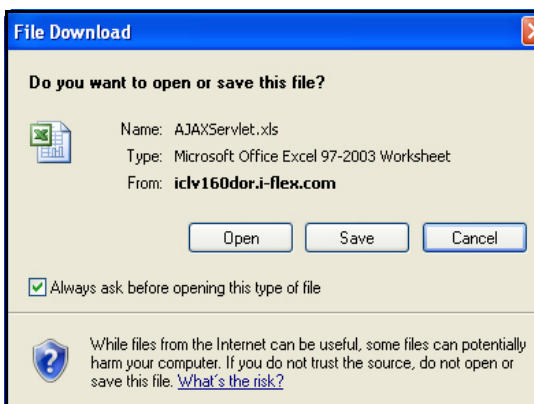
Figure 5. File Download Box

5. Click **Save** from the dialog box.

   The Save As dialog box displays.

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.

Viewing Draft Report

The Regulatory Report Details allows users mapped to the role of Analyst, Supervisor, Super user, and Admin User to view draft report. You can view the draft PDF in any status.

To view draft report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name to view the report details.

3. Click **Draft Report**. The File Download box displays.

   Note: You can also view the report details in PDF by clicking the PDF icon in the Draft Report column in RR List Matrix.
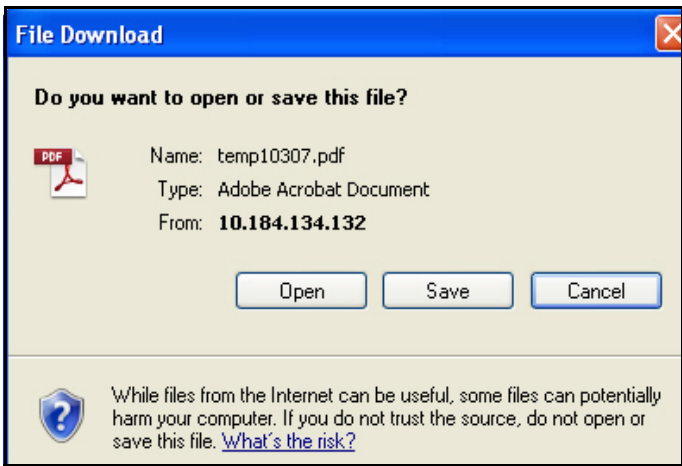
Figure 6. File Download Box

4. Click **Open** to view the report details in a PDF. Click **Save** to save the PDF in your local system. Click **Cancel** to close the File Download box.

   The following figure is an illustration of the initial pages of the draft report that you can view when you open the report.

Note: Old PDF is displayed for the old reports and new PDF is displayed for newly submitted report.

Figure 7. Draft Report (Sample)

Components of Regulatory Report Details

Click the report name in the List of Regulatory Reports to view the Report Details.

Figure 8. Regulatory Report Details

Following are the components of the Regulatory Report Details:

- Action Buttons
- Report Context
- Report Details Tabs

Action Buttons

The presence of an action button will depend on your role as a user and the current status of the report.

Following are the action buttons in the Regulatory Report Details:

- **Add Comments**: This button displays in the Regulatory Report Details in all the report status. The display of this action button does not have any relation with the report status. It allows you to add comments to the report. For more information about adding comments, refer to *Adding Comments to Report.*

- **Draft Report**: This button displays in all the report status. The display of this action button does not have any relation with the report status. It allows you to view the report details in a PDF. For more information about drafting report, refer to *Viewing Draft Report.*

- **Request For Approval**: This button displays in the Regulatory Report Details when the report is in *Open, Rejected,* or *Rejected from e-file* status. It allows you to submit a report for approval. For more information about requesting for approval, refer to *Submitting the Report Details for Approval/Requesting for Approval.*

- **Approve**: This button displays in the Regulatory Report Details when the report is in Request for Approval status for users mapped to the role of Supervisor and in *Open, Rejected, Rejected from e-file, Request for Approval* status for users mapped to the role of Super User. It allows you to approve reports. For more information about approving reports, refer to *Approving Reports.*

- **Re-approve**: This button displays in the Regulatory Report Details when the report is in *Approved or Re-approve Required* status. It allows you to re-approve reports. For more information about re-approving reports, refer to *Re-Approving Reports.*

- **Reject**: This button displays in the Regulatory Report Details when the report is in *Request for Approval, Approved, and E-file generated* status. It allows you to reject reports. For more information about rejecting reports, refer to *Rejecting Reports.*

- **Close**: This button displays in the Regulatory Report Details when the report is in Request for Approval status for users mapped to the role of Supervisor and in *Open, Approved, Rejected, Rejected from e-file, Request for Approval* status for users mapped to the role of Super user.

  This button displays in the Regulatory Report Details when the report is in *Open, Rejected from e-file*, and *Rejected* status for users mapped to the role of Analyst.

  It allows you to close reports. For more information about closing reports, refer to *Closing Reports.*

- **Setting Due Date:** This button allows you to set due date for reports. For more information on setting due date, refer to section *Setting Due Date for Reports.*

Report Context

The Report Context displays information about the report and is non-editable. It contains minimize and maximize buttons that allows you to expand and collapse the details in the Report Context.

Note: The BSA ID (Bank Secrecy Act Identifier) is generated when the acknowledgment file (XML file) is uploaded into the OFS CRR application. After the XML file is uploaded into the OFS CRR application, the BSA ID field in the Report Context is auto-updated.

Report Context		
Report Name: test_25June		Report Status: Open
Jurisdiction: DN of AMEA	Alert/Case ID:	Report Type: SAR
Created By: ussar	Last Modified By: ussar	Report Generated by:
Created Date: 06/25/2018 08:09:52	Last Modified Date: 06/26/2018 12:08:39	Report Generated Date:
BSA ID:	Due Date: 07/25/2018	Report Format Version:

Figure 9. Report Context

Report Details Tabs

The Regulatory Report Details displays the following tabs:

- Filing Institution Information
- Fin Inst Where Activity Occurred
- Suspicious Activity Information
- Subject Information
- *Managing Documents*
- Narrative
- Audit

For more information on the tabs in the Regulatory Report Details, refer to *Entering Report Details.*

Adding Comments to Report

The Regulatory Report Details allows users mapped to the role of Analyst, Supervisor, Super User, and Admin User to add comments to a report. You can add comments to a report when the report is in any status.

To add comments to a report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name to view the report details.

3. Click **Add Comments**. The Action pop-up window displays.
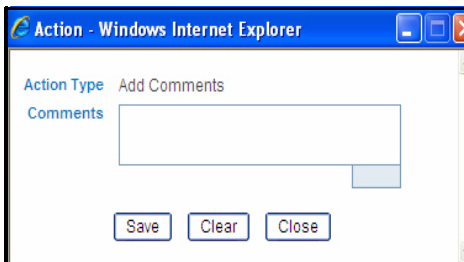
Figure 10. Action Pop-up Window

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

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

5. Click **Save**. The following message displays: *Add Operation Successful.*

   Note: Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The Action pop-up window closes and displays the Regulatory Report Details.

   Note: The Regulatory Report Comments grid in the Audit tab displays the comments added to the report

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

Setting Due Date for Reports

Set Due Date action will allow authorized users to set a due date or modify an existing due date of an STR.

The application allows you to set the due date for SAR. The due date is set based on the date SAR creation request is sent from the Alert Management/Case Management to OFS CRR. This is the period during which the SAR must be filed with FinCEN. Due date is configurable and by default is set to 30 days from the date SAR creation request is sent from the Alert Management/Case Management to OFS CRR.It includes only business days excluding holidays and weekends. But, this period is configurable.

There are two roles defined for set due date functionality.

- **Due Date with View and Edit**: Users mapped to this role can view, set, and edit due date for reports.

- **Due Date with View**: Users mapped to this role can only view due date for reports.

Note: The roles are mapped based on the configurations in the Application Parameters table.

Following table explains the configurability for there roles:

Table 5. Set Due Date Functionality Configurability

Set Due Date Action as per Report Status	Due Date With View & Edit		Due Date View Only	
	Take Set Due Date Action	View Due Date	Take 'Set Due Date' Action	View Due Date
Open	X	X		X
Requested for Approval	X	X		X
Rejected	X	X		X
Rejected from E-File	X	X		X
Approved		X		X
Closed				
E-File Generated		X		X
Filed				
Reapprove Required		X		X

To set due date of an STR, follow these steps:

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

2. Click **Set Due Date**. The Set Due Date Action window is displayed.
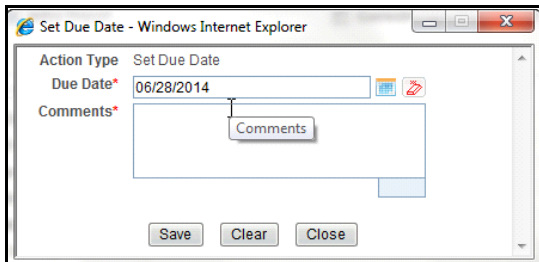
Figure 11. Set Due Date Window

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

    Note: This field is a mandatory field.

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

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

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

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

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

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

CHAPTER 3 — *Managing OFS CRR*

This chapter explains the workflow of regulatory reports.

This chapter explains the following topics:

- Overview
- Searching Regulatory Reports
- Creating New Regulatory Reports
- Submitting Regulatory Reports
- Approving/Rejecting/Closing Reports
- Filing Regulatory Reports

Overview

The life cycle of the regulatory reports is described in the following workflow diagram.
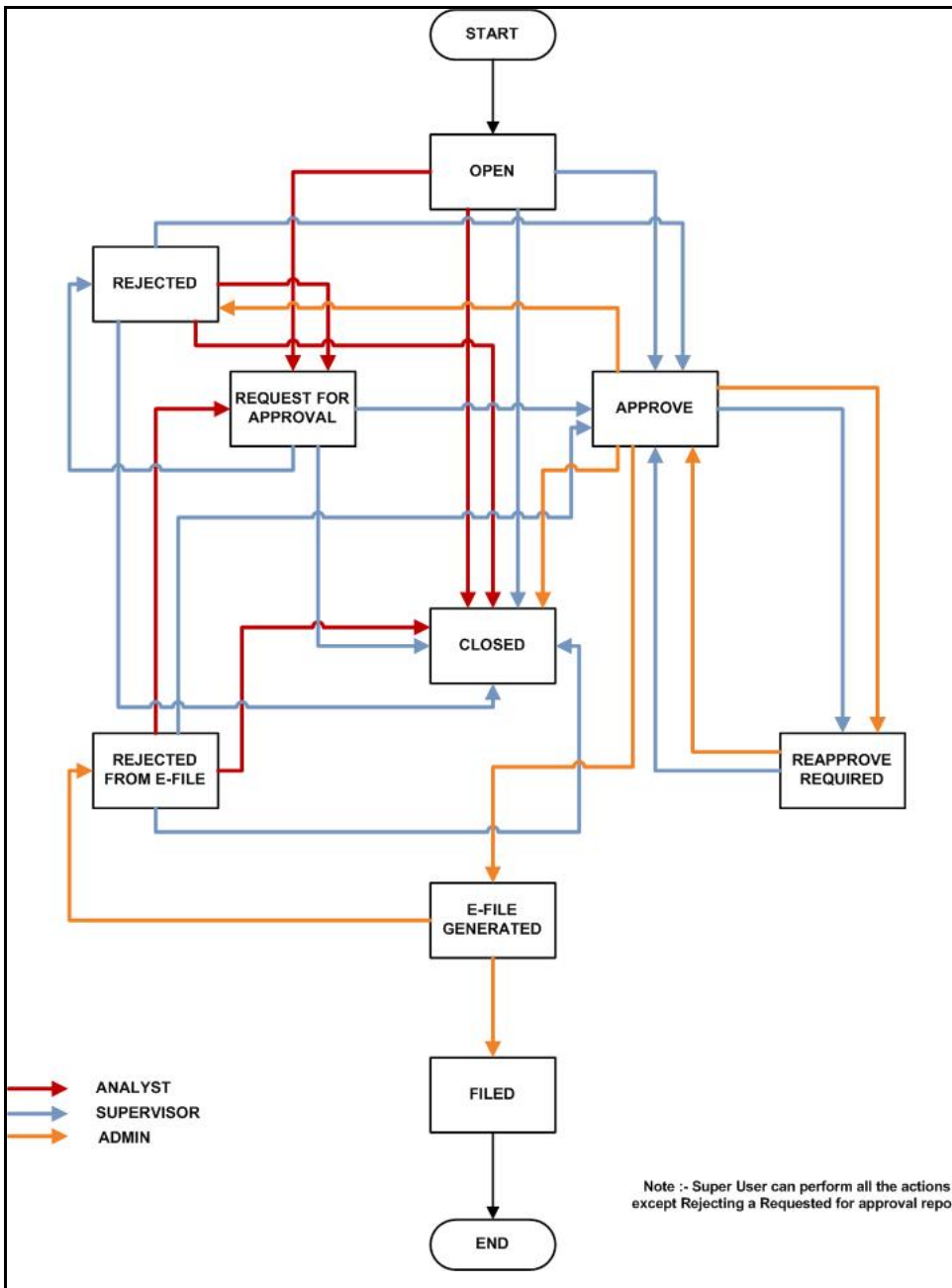
Figure 12. Regulatory Reporting Workflow

A report is created in the OFSRR application either from OFSBD or within the application. When a report is created in the application, the report details are entered and then submitted for approval. An authorized user validates the report details and either approves, rejects, or closes the report.

If the report is approved, an e-file is generated for the report. The generated e-file is submitted with the FinCENs BSA E-Filing System. The e-file is validated and an acknowledgment (XML file) is generated. The acknowledgment file is then uploaded into the OFSRR application, thereby completing the SAR process. The status of the report changes to Filed. Filed status is the final status given to a SAR that has been submitted to and processed by FinCEN.

If the report is rejected, then you must re-work on the report and submit the report for approval or you can close the report. If you close the report after being rejected, then the status of the report changes to closed. But if you choose to rework on the report, then the status of the report changes to request for approval, that must again be validated and approved by authorized users. This process continues until the report is approved or closed.

If there are any changes done to an approved report, the status of the report changes to Re-approve required, which must be validated by authorized users.

If a user determines that a SAR report should not be filed they can close it. The Closed status removes it from the work queue and helps to distinguish it from those in a Filed status. If the report is closed, the report details cannot be edited and the report is in View mode.

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

Every report generated in the OFSRR application can have various statuses.

The following table describes the action taken on the report and the resulting change in the report status.

Table 6. Report Status

Action Taken	Resulting Report Status
A report is auto-generated or created manually.	Open
An authorized user has updated and submitted the report details for approval.	Request for Approval
An authorized user validates the report details and has taken approved action. The user can now file the report with the regulatory authority.	Approved
An authorized user has edited the approved report details. The user must take Re-approve action on the report to run the report validations and ensure that the editing did not introduce any report validation errors.	Re-Approve Required
An authorized user has taken close action on the report.	Closed
An authorized user has taken a reject action on the report.	Rejected
An authorized user has generated an e-file for an approved report.	E-file Generated
An authorized user has rejected the generated e-file from filing to the regulatory authorities.	Rejected from E-file
An authorized user has filed the regulatory report to the regulatory authorities.	Filed

The report has a life cycle which begins with the Open status and ends when it is Closed/Filed.

The following table explains the possible actions the users can take in different statuses.

Table 7. Actions Performed by various Users in Different Status

Status	Possible Action	Resulting Status	User Roles
Open	Request For Approval	Requested for Approval	Analyst/Super User
	Close	Closed	Analyst/Supervisor/Super User
	Approve	Approved	Supervisor/Super User
Request for Approval	Approve	Approved	Supervisor/Super User
	Reject	Rejected	Supervisor
	Close	Closed	Supervisor/Super User
Approved	Re approve	Approved	Supervisor/Admin/Super User
	Reject	Rejected	Admin/Super User
	Close	Closed	Admin/Super User
	Generate E- File	E-File Generated	Admin/Super User
Rejected	Request For Approval	Requested for Approval	Analyst/Super User
	Close	Closed	Analyst/Supervisor/Super User
	Approve	Approved	Supervisor/Super User
E-File Generated	File	Filed	Admin/Super User
	Reject	E-File Rejected	Admin/Super User
Rejected from E-File	Request For Approval	Requested for Approval	Analyst /Super User
	Approve	Approved	Supervisor/Super User
	Close	Closed	Analyst/Supervisor/Super User
RE-Approve Required	Re-approve	Approved	Supervisor/Admin/Super User

The report is in View mode in the following statuses:

- Closed
- E-file Generated
- Filed

You cannot edit report details when the report is in View mode. All action buttons are hidden in View mode.

The following table explains the status in which the report details are editable by OFSRR users.

Table 8. Status in which report details are editable by different users

Report Status	Roles			
	Analyst	Supervisor	Super User	Admin user
Open	X	X	X	
Request for Approval		X	X	
Approved		X	X	X
Re-approve Required		X	X	X
Closed			X	X
Rejected	X	X	X	
E-file Generated				
Rejected from E-file	X	X	X	
Filed				

To view report details, click the report name in the List of Regulatory Reports. If the report is already opened by another user, the following message displays.
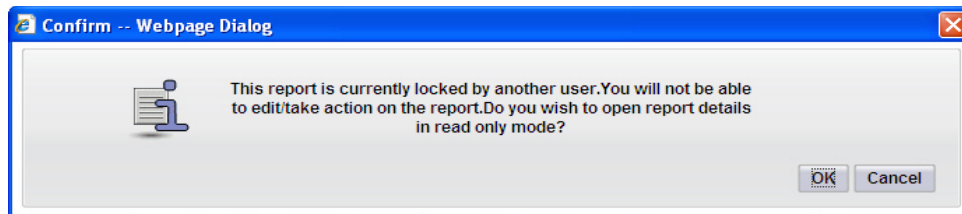
Figure 13. Report Locked Message

Searching Regulatory Reports

The Regulatory Reporting List page allows you to search the report list and details.

To search regulatory reports using search components, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports - SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

Figure 14. List of Regulatory Reports

2. Enter the search components in the RR Search bar.

The following table provides a list of search components that display in the RR search bar.

Table 9. Components of RR Search Bar

Criteria	Description
Report Name	Enter the report name to display report with name as specified in the search criteria. **Note:** This field supports a wildcard search, using the % as a wildcard indicator and allows you to enter a maximum of 61 characters.
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. **Note:** Every report is associated with a jurisdiction, whether created manually or coming from an alert or case. When a SAR is created from an alert or case, the SAR inherits the jurisdiction that was associated to that alert or case. When creating a SAR manually Domain 1 field on the create SAR screen displays the list of available jurisdictions. Each user has access to a set of jurisdictions. Each SAR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the SAR's jurisdiction. Jurisdiction is a mandatory field for the creation of SAR whether manually or from alert/case, and hence jurisdiction cannot be empty.
Status	Select the report status from the drop-down list to display reports in the selected status. **Note:** The Status search criteria is pre-selected with a list of statuses that is configurable. By default, the application displays the following statuses: ● Request for Approval ● Approved ● Rejected ● Rejected from Efile
Alert/Case ID	Enter the Alert/Case ID to display reports with the selected Alert/Case ID. **Note:** Alert/Case ID is the alert/case that has triggered the creation of report in OFSRR application. This field supports a wildcard search, using the % as a wildcard indicator. For more information on how reports are auto-generated from OFSBDP, refer to *Creating a New Regulatory Report from OFSBDP/OFSECM.*
Subject Name	Enter the subject name to display reports with the selected subject name. **Note:** This field supports a wildcard search, using the % as a wildcard indicator.
SSN/EIN/TIN	Enter the SSN/EIN/TIN to display reports with the selected SSN/EIN/TIN. **Note:** This field supports a wildcard search, using the % as a wildcard indicator.
Created By (drop-down list)	Select the name of the user who created the regulatory report from the drop-down list to display reports created by the selected user. The Created By drop-down displays 10 users at a time.

Table 9. Components of RR Search Bar

Criteria	Description
Created By (text-box)	Enter the name of the user who created the regulatory report to display reports created by the selected user. The Created By text box allows you to search for user who created the reports. To search using this text box, Click icon. A pop-up displays listing all the user names. Select the check-box of the user name to add to the search criteria. This text-box also supports wild card search. If the wildcard search results only one user name, then it is automatically displayed in the search criteria. This field can have a maximum of 25 characters. **Validations:** ● If you click **Go**, after entering values in both *Created By Drop-down* and *Created By Text-box*, then the application displays the following message: *You have provided values for both Created By drop-down list and text-boxes. Please provide value for only one field at a time.*
BSA ID	Enter the BSA ID of the report to display reports with the BSA ID as specified. **Note:** BSA stands for **Bank Secrecy Act Identifier**. The BSA ID is a distinct value assigned to each SAR submitted to FinCEN. FinCEN will use this ID to track a SAR as well as any corrections or amendments to that SAR. This field can have a maximum of 25 characters.
Created Date From	Select the created date from the calendar to display reports created from the selected date. **Note:** Created Date From and To can be used independently. When both are used it returns only those SARs within the selected dates inclusive of the selected dates. When only From is used, it returns reports with a create date greater than or equal to the selected From date.
Created Date To	Select the created date to, from the calendar to display reports created until this date.
Report Format Version	Select the Report Format Version from the drop-down list. This denotes the final report format version that is used for this Report. It can be one of the following:- 1) 1.1 (TXT/CSV) 2) 1.2 (XML)
Due Date From	Select the due date from the calendar to display reports due from the selected date.
Due Date To	Select the due date to, from the calendar to display reports due until this date.

3. Click **Go**. The relevant search list displays.

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

Creating New Regulatory Reports

The OFSRR can either operate as a standalone application or operate along with OFSBDP. The OFSRR supports creation of reports from OFSBDP. For more information on how a report is generated from OFSBDP, refer to *Creating a New Regulatory Report from OFSBDP/OFSECM*. To assist clients whose suspicious activity are not captured in the typical alert/case model, the OFSRR supports the creation of manual suspicious activity reports. For more information on creating manual reports in OFSRR application refer to section *Creating a New Regulatory Report from OFSRR Application*.

For more information on User Roles, refer to *Table 2*.

This section explains the following topics:

● Creating a New Regulatory Report from OFSBDP/OFSECM

● Creating a New Regulatory Report from OFSRR Application

Creating a New Regulatory Report from OFSBDP/OFSECM

When a user with access to Regulatory Reporting selects **Recommend US SAR** on an Alert or Case from the Oracle Financial Services Behavior Detection platform, the data is passed to OFSRR through the web service and a report is opened in the OFSRR application. Once the report is opened in OFSRR, the same details are updated within the Oracle Financial Services Behavior Detection Platform.

To create regulatory reports from OFSBDP, follow these steps:

1. Login to OFSBDP with valid User ID/ Password.
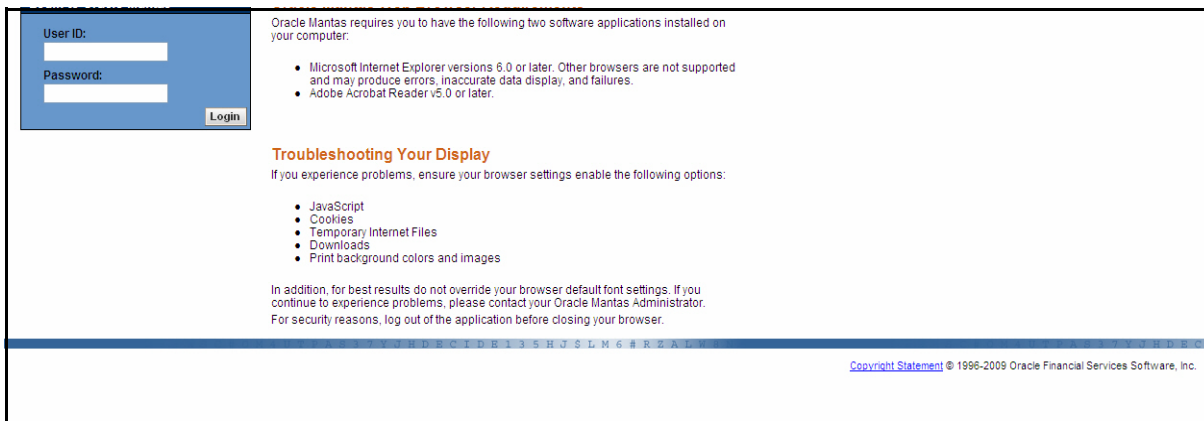
Figure 15. OFSBDP Login Page

2. Click **Investigation** tab.

3. Select the scenario class **'ML' 'IML'** or **'FR'** and select the focus as **AC**, **CB**, **CU**, **EN** and **HH**. Select the status of the alert as **New** and **Open**. Click **Search**. The Alert List page displays.

Figure 16. Investigation Tab

Figure 17. Alert List Page

4. Select any alert and click **Take Action**. The Alert Action page displays.

5. Select **Recommend SAR** action from Update Section.
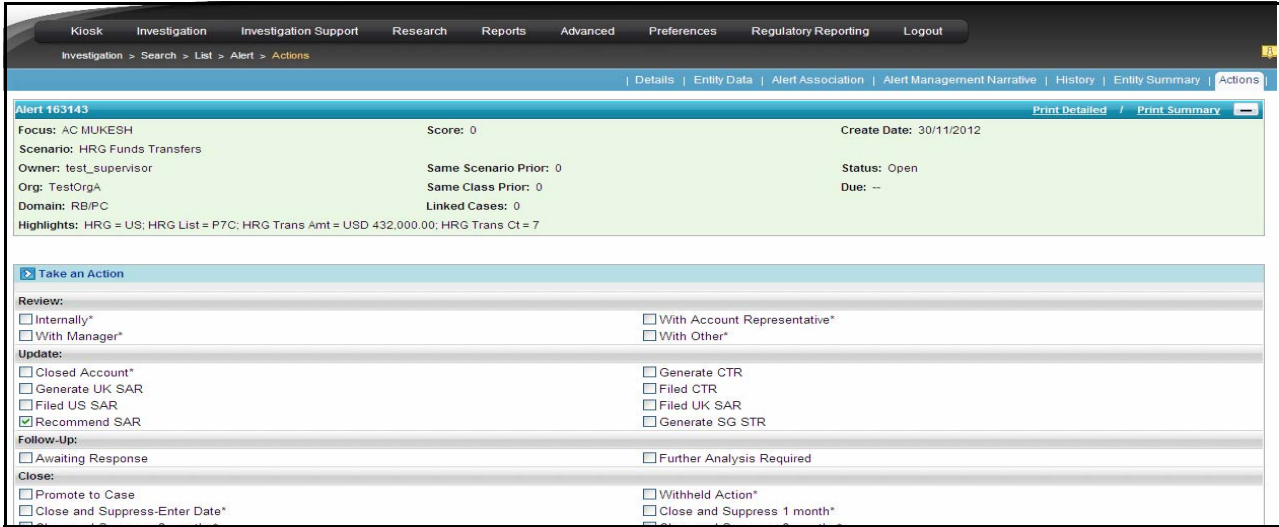
Figure 18. Alert Actions Page

6. Enter comments in Comment text box in the Alert Action page
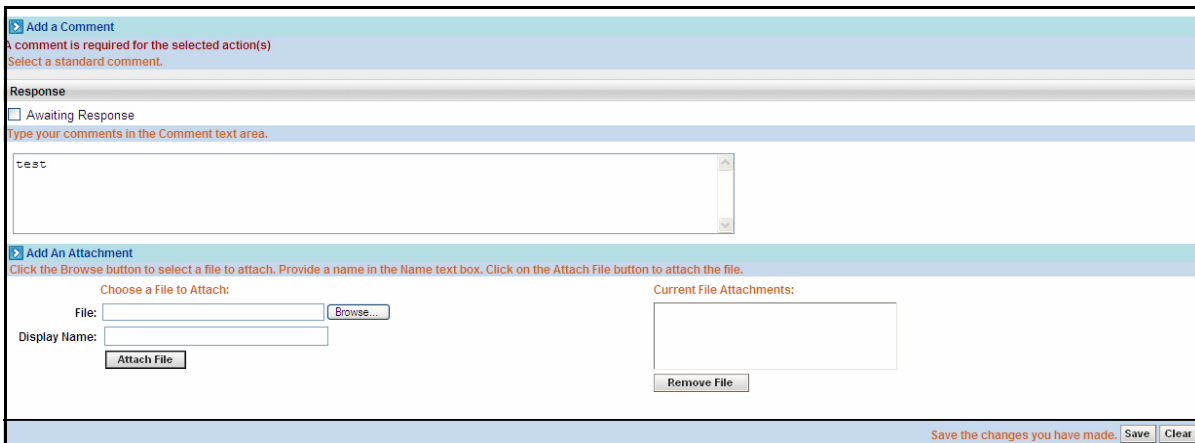
Figure 19. Comments Entered in Alert Action Page

7. Click **Save**. A confirmation message box displays. Click **OK** in the Confirmation message box. The Regulatory Report page displays. The system passes the data to the OFSRR and displays a positive acknowledgment.
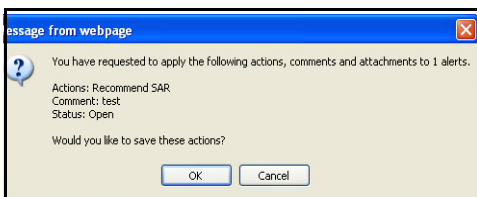
Figure 20. Confirmation Message Box
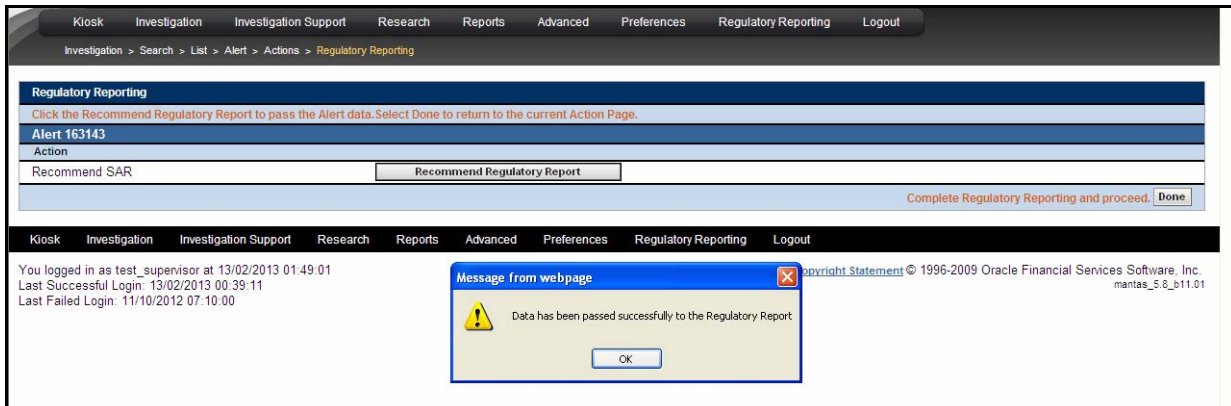
Figure 21. Regulatory Reporting Page Displaying Positive Acknowledgment

8. Click **Done** in the Regulatory Reporting page. The Alert List page displays where the user can verify the status of the alert under the *Reg Rpt Status* column.
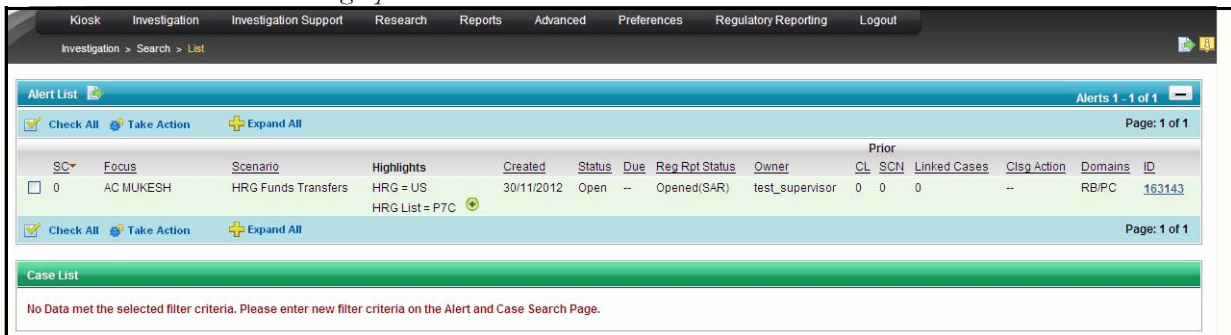
Figure 22. Alert List Page

9. Login to Regulatory Reporting. The latest alert on which Recommend SAR action was taken displays on Regulatory Reports List.

Creating a New Regulatory Report from OFSRR Application

Users mapped to the role of Analyst, Supervisor, Super User, and Admin user can create new regulatory reports.

To create a new regulatory report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Create New Regulatory Report**. The Create New Regulatory Report page displays.

Figure 23. Create New Regulatory Report Page

2. Enter the required information.

The following table explains the fields in Create New Report page.

Table 10. Fields in Create New Report Page

Field Name	Description
Report Name	Enter the report name. **Note:** The report name can have a maximum of 60 characters. If you enter more than 60 characters for report name, the following message displays: *Number of characters exceeded*.
Corrected Report	Select whether the report is corrected or not from the drop-down list. **Note:** Corrected report is a term used by FinCEN to identify a report that was previously submitted but is being resubmitted with modifications to correct the earlier provided information. A corrected SAR must reference the previously submitted SAR by virtue of the BSA ID of the previous SAR.
Report Type	Displays the report type. **Note:** The application supports generation of US SAR, hence the value for report type is defaulted to *SAR*.
Domain 1	Select Domain 1 from the drop-down list. **Note:** The Domain 1 through Domain 5 fields allow a user to associate security attributes to the case being created, which can be used to control access to the case. For example, OFSRR requires that Domain 1 always be associated with a business **Jurisdiction**. The specific jurisdiction values that will be available in the drop-down are defined at the firm level. Once a jurisdiction is assigned to a newly created report, only users with access to that jurisdiction will be able to see and work on the report.
Domain 2	Select Domain 2 from the drop-down list. **Note:** Domain 2 through Domain 5 can be associated with other attributes such as business domains or organizations. When assigned to a report at creation, these can also be used to control access. For information on how your firm is using Domain 2 through Domain 5, contact your system administrator.
Domain 3	Select Domain 3 from the drop-down list.
Domain 4	Select Domain 4 from the drop-down list.
Domain 5	Select Domain 5 from the drop-down list.
Internal Control/File Number	Enter the internal control/file number. **Note:** This will be the Alert or Case ID from OFSBDP if the reports is auto-generated from OFSBDP. For manually created reports, clients will have the option to provide an internal control/file number to the new report.
Created On	Displays the date and time of report creation.
Created By	Displays the user who created the report.

3. Click **Save**. The following message displays: *Add Operation Successful*.

4. Click **OK**. The Create New Report page displays.

   Note: To exit the Create New Report page, select Regulatory Reports or File Regulatory Reports from the Regulatory Reports-SAR primary menu.

Submitting Regulatory Reports

This process involves the following steps:

- Entering Report Details
- Submitting the Report Details for Approval/Requesting for Approval

Entering Report Details

The Regulatory Report Details allows users with appropriate rights to enter or update report information.
For more information on User Roles, refer to *Table 2*.
You must enter the report details in the tabs present in the Regulatory Report Details.
Following are the tabs in the Regulatory Report Details:

- Filing Institution Information
- Fin Inst Where Activity Occurred
- Suspicious Activity Information
- Subject Information
- Documents
- Narrative
- Audit

Note: All the fields in the Regulatory Report Details tabs have some numbers preceding the field labels. These numbers correspond to the numbers of the fields as they appear in FinCEN's SAR PDF that is used for discrete filing.

Managing Filing Institution Information

The Filing Institution Information page is the default page for the Regulatory Report Details.
This tab displays the following sections:

- Reporting Information
- Filing Institution Information

Note: This tab has a single **Validate** button that checks the information present in both the Reporting Information container and the Filing Institution Information container.

If you click on request for approval and if there is any error in the details of the Filing Institution Information tab, then the application displays the following message: *Please Validate Filing Institution Information*.

Reporting Information

This container displays information on the type of report filing.

Following are the possible types of filing:

- **Initial Report**: Initial reports are reports that are submitted to the FinCEN for the first time.

- **Correct/Amend Prior Report:** Corrected reports are reports that was previously submitted but is being resubmitted with modifications to correct earlier provided information. A corrected SAR must reference the previously submitted SAR by virtue of the BSA ID of the previous SAR.

- **Continuing Activity Report:** They are reports that are reporting on additional and continuing behavior as related to one or more previously submitted SARs on the same subjects. If a SAR is designated as a Continuing Activity report then the user must provide the Prior BSA Number of the previously filed report.

- **Joint Report:** It is a suspicious activity report that is being filed by the current institution jointly in cooperation with another financial institution.

Filing Institution Note to FinCEN: This field displays the note user want to mention to FinCEN.

Validations

If you have selected the report as Joint Report and have not selected Initial Report or Correct/Amend Prior Report or Continuing Activity Report, then the application displays the following message: *Please select at least one of the Initial Report, Correct/Amend Prior Report or Continuing Activity Report.*

Filing Institution Information

This section provides details about the filing institution which is reporting the suspicious activity. There can be only one filing institution reporting the suspicious activity.

Figure 24. Filing Institution Information Tab - Edit Mode

Components of Filing Institution Information Tab

The following table explains the fields in the Filing Institution Information Tab.

Table 11. Fields in the Filing Institution Information Tab

Field Name	Description
Filing Institution Name	Select the financial institution name from the drop-down list. All the related fields displaying the filing financial institution details get auto-populated on selection of Filing Institution name and will display as not editable. **Note:** A firm may have one or more than one legal entity under which they file regulatory reports. The values available in the Filing Institution Name drop-down are defined by each client during installation. The system administrator enters the data into the database where it can be selected by the user on the User Interface. This is handled during installation by the excel upload of data. For more information on Excel Upload refer to *Oracle Financial Services Regulatory Reporting Administration Guide*. If you have not given any value for Filing Institution Name, then the application displays the following message: *Filing institution should be present.*
Primary Federal Regulator	Displays the primary federal regulator.
TIN Type	Displays the TIN type.
TIN	Displays the TIN number.
Type of Financial Institution	Displays the type of financial institution.
Other Description	Displays any additional information about the type of financial institution.
Type of Securities and Futures Institution	Displays the type of securities and futures institution.
Other Description	Displays any additional information about the type of securities and futures institution.
Financial Institution ID	Displays the ID of the financial institution involved in the suspicious activity.
Financial Institution Identification Type	Displays the financial institution identification type.
Alternate Name	Displays the alternate name of the financial institution.
Address	Displays the address of the financial institution.
City	Displays the City where the financial institution is located.
State	Displays the State where the financial institution is located.
Postal Code	Displays the postal code of the financial institution.
Country	Displays the Country where the financial institution is located.
Filing Institute Contact Office	Displays the filing institution contact office name.
Filing Inst Contact Number	Displays the filing institution contact number.
Extension	Displays the extension of the filing institution. The Fields Filing Inst Contact Office, Filing Inst Contact Num, and extension are configurable. That is the values in these fields are auto-populated which can be edited if required.

Table 11. Fields in the Filing Institution Information Tab

Field Name	Description
Internal Control/File Number	Enter the internal control/file number. **Note:** This will be the Alert or Case ID from OFSBDP if the reports are auto-generated from OFSBDP. For manually created reports, clients will have the option to provide an internal control/file number to the new report.
Prior Report Doc Number	Enter the prior report document number. **Note:** Prior Report Doc Number refers to the unique identifier assigned to a report that has been submitted to the regulatory body. This field is applicable when filing a continuing activity, corrected or supplemental report on a previously submitted report. Select unknown check box if the prior report document number is unknown. **Validations:** If Prior Report Doc Number is not entered for Corrected, Supplemental, and Continuing Reports nor if the Unknown check box field has been marked, the application displays the following message: *Prior Report Doc Number in Financial Institution Info Tab is mandatory for Corrected, Supplemental or Continuing Reports. Please enter the value or check Unknown if the value is not known.* If you have entered one or more prohibited words in fields Filling Institution Contact Office and Prior Report Doc Number, then the application displays the following message: *You are not allowed to enter prohibited words in Filling Institution Contact Office and Prior Report Doc Number. Following words are prohibited: AKA, COMPUTER GENERATED, CUSTOMER, DBA, NON CUSTOMER, NONE, NOT APPLICABLE, OTHER, SAME, SAME AS ABOVE, SEE ABOVE, SEE NARRATIVE, SIGNATURE CARD, T/A, UNKNOWN, VARIOUS, XX.*

Note: If you have not entered the values for mandatory fields such as Filing Institution Name, Contact Office and Contact Number, the application displays the following message: *You have not given values for some mandatory fields. Please make sure you enter values for mandatory details i.e. Filing Institution Name, Contact Office and Contact Number.*

Entering Filing Institution Information

To enter details about the filing institution information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report Name. The RR Details display.

3. Click **Filing Institution Information** tab. The **Filing Institution** details display.

4. Enter the required information. For more information on the fields in Filing Institution Information tab, refer to *Table 11*.

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

6. Click **OK**. The Filing Institution Information page displays.

Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Filing Institution Information page.

Editing Filing Institution Information

To edit details about the filing institution information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report Name. The RR Details display.

3. Click **Filing Institution Information** tab. The **Filing Institution** details display.

4. Modify the required information in the fields in the **Filing Institution Information** tab.

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

6. Click **OK**. The Filing Institution Information page displays.

   Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Filing Institution Information page.

You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are hidden in the Filing Institution Information tab when the report is in View mode.

Figure 25. Filing Institution Information Tab- View Mode

Managing Financial Institution Where Activity Occurred

The Financial Institution where Activity Occurred tab captures the data of the financial institution where the suspicious activity has occurred and also the associated branches of the financial institution that are involved in the suspicious activity.

Select the **Fin Inst Where Activity Occurred** tab. The page refreshes and displays the Financial Institution Where Activity Occurred grid. The Financial Institution details of the first record is auto-populated down the grid. The auto-populated pane has a left hand side (LHS) menu with Financial Institution Details and Branch Details options.

This page allows you add, edit or delete details about the financial institution where activity occurred and branch details.

Note: The Internal Control/File Number field displays in the Financial Institution Where Activity Occurred tab only in View mode. Editing or entering a value for this field must be done from the Financial Institution Information tab.

The **Validate** button in this tab checks for any missing mandatory information.

The following table explains the columns in Financial Institution Where Activity Occurred grid.

Table 12. Columns in Financial Institution Where Activity Occurred Grid

Field Name	Description
Financial Institution Name	Displays the name of the financial institution.
Type	Displays the type of financial institution.
Primary Federal Regulator	Displays the primary federal regulator.
State	Displays the State in which the institution involved in the suspicious activity is located.
Country	Displays the Country in which the institution involved in the suspicious activity is located.
Financial Institution Code	Displays the financial institution code assigned to the institution involved in the suspicious activity.

Figure 26. Fin Inst Where Activity Occurred Tab - Edit Mode

Adding Financial Institution where Activity Occurred

To add information about the financial institution where activity occurred, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Fin Inst Where Activity Occurred** tab.

4. Click **Add** in the Financial Institution Where Activity Occurred grid. The Financial Institution Where Activity Occurred pop-up window displays.

67. Loss to Fin Inst	56. Role
57. Legal name of the Fin Inst	58. Alternate Name
51. Type of Fin Inst*	Other Desc
Fin Inst Code*	52. Primary Federal Regulator*
55. Fin Inst ID Type	Fin Inst ID
59. TIN	60. TIN Type
53. Type of Gaming Inst	Other Desc
54. Type of Securities and Futures Inst	Other Desc
61. Address	62. City
63. State	64. Postal Code
65. Country	

Save   Clear   Close

Figure 27. Financial Institution Where Activity Occurred Pop-up Window

5. Enter the required information.

   For more information on the fields in the Financial Institution Where Activity Occurred pop-up window, refer to *Table 13*.

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

7. Click **OK**.

8. Click **Close** to close the Financial Institution Where Activity Occurred pop-up window.

   Note: If you click **Clear**, all the fields are set to default values, that is blank.

Components of Financial Institution Where Activity Occurred Pop-up Window

The following table explains the fields in the Financial Institution Where Activity Occurred pop-up window.

Table 13. Fields in Financial Institution where Activity Occurred

Field Name	Description
Loss to Financial Institution	Enter the loss incurred during the suspicious activity.
Role	Enter the role of the financial institution in the suspicious activity.
	Note: These are values as defined by FinCEN. Role refers to the role played by the institution in the suspicious activity when certain product types or instruments/payment mechanisms were used in the activity.
	Role is a drop-down list with the following options:
	• **Paying Location**: The financial institution is considered to have played the role of *Paying Location* if the customer received payment from the institution for the products or instruments recorded on the SAR.
	• **Selling Location**: The financial institution is considered to have played the role of *Selling Location* if the customer purchased products or instruments from the institution.
	• **Both a and B**: You must select *Both a and b* if the financial institution was both a paying and selling location for the products or instruments recorded on the SAR.
Legal name of the Financial Institution	Select the legal name of the financial institution from the drop-down list.
	Note: All other information except loss of financial institution and role gets auto-populated on selection of this field and are not editable.
Alternate Name	Displays the alternate name of the financial institution.
Type of Financial Institution	Displays the type of financial institution.
Other Description	Displays any additional information about the type of financial institution.
Financial Institution Code	Displays the financial institution code.
Primary Federal Regulator	Displays the primary federal regulator.
	Note: Primary Federal Regulator is the state or federal regulatory agency that is the primary supervising entity of a financial institution.
Financial Institution ID Type	Displays the financial institution ID type.
Financial Institution ID Number	Displays the financial institution ID number.
TIN	Displays the TIN number.
TIN Type	Displays the TIN type.
Type of Gaming Institute	Displays the type of gaming institute.
Other Description	Displays any additional information about the type of gaming institute.
Type of Securities and Futures Institution	Displays the type of securities and futures institution.
Other Description	Displays any additional information about the type of securities and futures institution.
Address	Displays the address of the financial institution where the suspicious activity occurred.
City	Displays the City in which the institution involved in the suspicious activity is located.
State	Displays the State in which the institution involved in the suspicious activity is located.

Table 13. Fields in Financial Institution where Activity Occurred

Field Name	Description
Postal Code	Displays the postal code of the financial institution.
Country	Displays the Country in which the institution involved in the suspicious activity is located.

Editing Financial Institution Where Activity Occurred Details

To edit details about the financial institution where activity occurred, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Fin Inst Where Activity Occurred** tab. The Financial Institution where Activity Occurred grid displays.

4. Select the check box of the Financial Institution where Activity Occurred record you want to modify.

5. Click **Edit**. The Financial Institution Where Activity Occurred pop-up window displays.

6. Modify the necessary information.

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

8. Click **OK**. The Financial Institution where Activity Occurred pop-up window displays.

   Note: Click **Close** in the Financial Institution Where Activity Occurred pop-up window. The changes made are displayed in the Financial Institution Where Activity Occurred grid.

Deleting Financial Institution Where Activity Occurred

To delete details about the Financial Institution Where Activity Occurred, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Fin Inst Where Activity Occurred** tab. The Financial Institution Where Activity Occurred grid lists all the details of the financial institution where activity occurred.

4. Select the check box of the financial institution you want to delete.

5. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*

6. Click **OK**. The following message displays: *Delete Operation Successful.*

7. Click **OK**. The Financial Institution Where Activity Occurred grid displays.

Branch Details

The Branch Details LHS menu displays the branch data of the currently selected financial institution involved in the suspicious activity.

The following table explains the columns in Branch Details grid.

Table 14. Columns in Branch Details Grid

Field Name	Description
Branch Code	Displays the branch code.
Address	Displays the address details of the branch.
City	Displays the city where the branch is located.
State	Displays the State where the branch is located.
Postal Code	Displays the zip code where the branch is located.
Country	Displays the Country where the branch is located.
RSSD ID Number	Displays the RSSD number of the branch. **Note:** RSSD ID number is a unique identifying number assigned by the Federal Reserve for all financial institutions, main offices, and branches. RSSD specifically refers to the assigned identifier for *Research, Statistics, Supervision, and Discount* identification numbers.
Branch Role	Displays the role of the financial institution branch in the suspicious activity. **Note:** These are values as defined by FinCEN. Role refers to the role played by the institution in the suspicious activity when certain product types or instruments/payment mechanisms were used in the activity. Role is a drop-down list with the following options: ● **Paying Location**: The financial institution is considered to have played the role of *Paying Location* if the customer received payment from the institution for the products or instruments recorded on the SAR. ● **Selling Location**: The financial institution is considered to have played the role of *Selling Location* if the customer purchased products or instruments from the institution. ● **Both a and B**: You must select *Both a and b* if the financial institution was both a paying and selling location for the products or instruments recorded on the SAR.

Figure 28. Branch Details - Edit Mode

If there is no branch involved in the suspicious activity, check *Unknown* in the Branch Information grid. It is mandatory to either select the *Unknown* check box or add branch details to the report.

Note:

1. If there are no branch details added and also the No Branch Involved check box is not checked, the following message displays on validation: *You must either select a branch for this SAR or indicate No Branch Involved.*

2. If you try to add branch information when the No Branch Involved field is checked, the following message displays: *You have indicated that no branch is involved. You must unselect that option before adding a branch.*

3. If you select the check box for *No Branch Involved* when there are existing records on the grid, the following message displays: *You have selected No branch involved with branch records already present. Click OK to continue and delete all existing branch records or Cancel to cancel the selection.*

   If you select **OK**, the *No Branch Involved* check box will be marked and permanently deletes all the existing branch details.

Adding Branch Details

To add branch data about the financial institution involved in the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Fin Inst Where Activity Occurred** tab.

4. Click **Branch Details** in the LHS menu. The Branch Information grid displays.

5. Click **Add**. The Add a New Branch pop-up window displays.
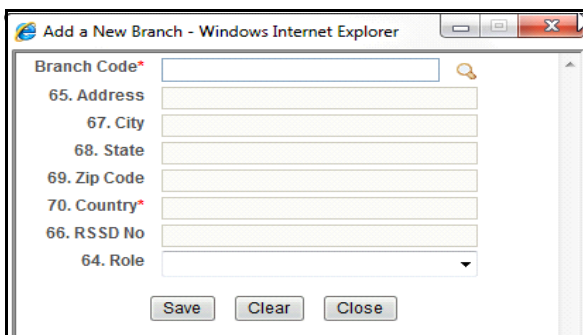
Figure 29. Add a New Branch Pop-up Window

6. Enter the required information.

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

8. Click **OK**. The branch details are saved.

   If you click **Clear**, the details in the Add a New Branch pop-up window is reset to blank values. Click **Close** to close the Add a New Branch pop-up window.

   Note: When you click 🔍 after entering the branch code in the Add a New Branch pop-up window, all the related information gets auto-populated (except role) and is not editable. Clicking the search icon validates that the branch code entered is a valid branch for your institution.

Note: If you try to save the details in the Add a New Branch pop-up window without first identifying the branch, the following message displays: *Please select a Branch before saving.*

Editing Branch Details

To edit branch data about the financial institution involved in the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Fin Inst Where Activity Occurred** tab.

4. Click **Branch Details** in the LHS menu. The Branch Information grid displays.

5. Select the branch details you want to edit.

6. Click **Edit**. The Add a New Branch pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The page is refreshed and displays the modified data.

Deleting Branch Details

To delete branch data about the financial institution involved in the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Fin Inst Where Activity Occurred** tab.

4. Click **Branch Details** in the LHS menu. The Branch Information grid displays.

5. Select the branch details you want to delete.

6. Click **Delete**. The following message displays: A*re you sure you want to delete this record?*

7. Click **OK**. The following message displays: *Delete Operation Successful.*

8. Click **OK**. The branch details are deleted.

You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, and Delete, are hidden in the Branch Information grid when the report is in View mode.
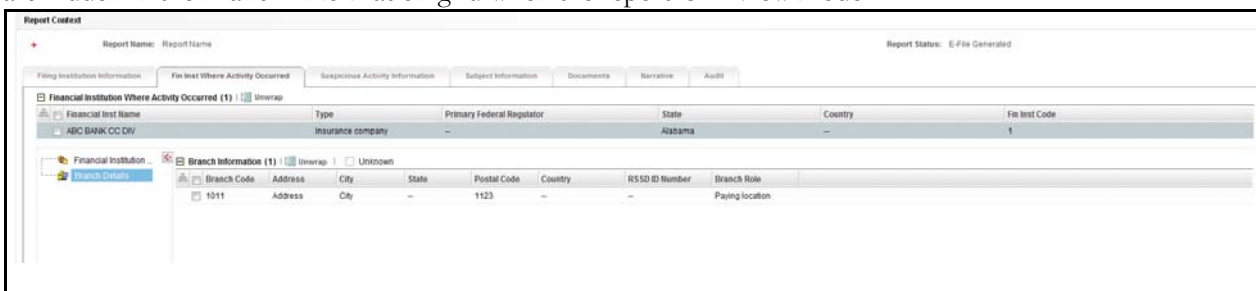
Figure 30. Branch Details - View Mode

You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, Delete, and Validate, are hidden in the Financial Institution Where Activity Occurred grid when the report is in View mode.
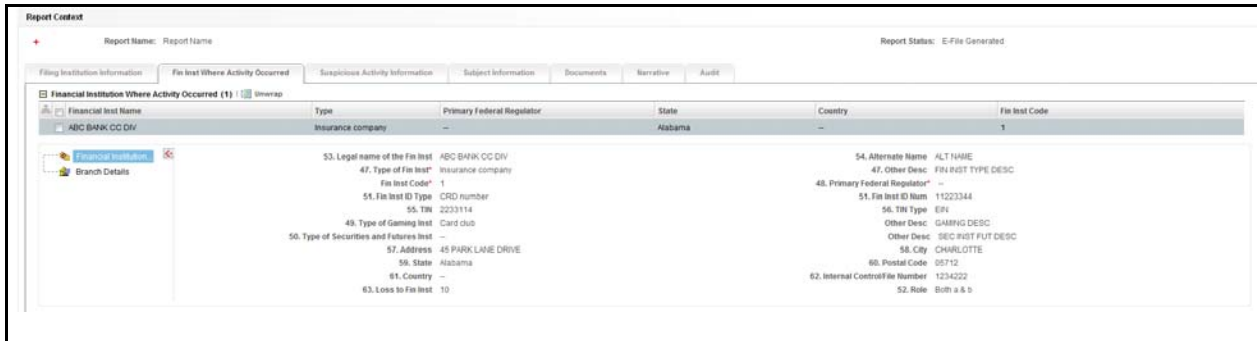
Figure 31. Financial Institution where Activity Occurred Tab – View Mode

Managing Suspicious Activity Information

The Suspicious Activity Information tab lists all the suspicious activity related information such as Activity Classification, Law Enforcement Agency details, Additional Information related to suspicious activity, and so on.

This tab displays the following options in the LHS menu:

- Suspicious Activity Details
- Activity Classification
- Law Enforcement Agency Details
- Additional Information

This tab displays Validate button and Validate tab button. The Validate button checks the information on the current section, whereas the Validate tab button tab validates information for all the sections on this tab.

If you click on request for approval and if there is any error in the details of Suspicious Activity tab, then the application displays the following message: *Please Validate Suspicious Activity.*

Suspicious Activity Details

You can add details about the suspicious activity in the Suspicious Activity Details pane. This pane is displayed by default.

Adding Suspicious Activity Details

To add details about the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Suspicious Activity Information** tab.

4. Click **Suspicious Activity** in the LHS menu. The Suspicious Activity details display.

   The following table explains the fields in Suspicious Activity details pane.

Table 15. Fields in Suspicious Activity Details Pane

Field Name	Description
Activity Date From	Enter the date on which the suspicious activity is believed to have started. If you click on Validate tab and If the date entered in Activity Date From field is lesser than 1 January 1950, then the application displays the following message: *Please enter a date in field "Activity Date From" which is later than or equal to 1st January 1950.* If you click on validate button and if there is no value entered in Activity date, the application displays the following message: *Activity date from must be entered.*
To	Enter the date on which the suspicious activity is believed to have ended. If you click on Validate tab and If the date entered in Activity Date From field is greater than the date entered in the To date field, the application displays the following message: *Activity Date From cannot be greater than the To Date.*
Amount	Enter the amount involved in the suspicious activity. If you click on Validate tab and if the cumulative amount entered is less than the amount entered in the amount field of Suspicious activity details, then the application displays the following message: *Cumulative amount should not be less than amount for suspicious activity.* If you click on Validate tab and if you have entered 0 in the Amount field, then the application displays the following message: *Zero should not be entered in Amount field in Suspicious Activity Information.*

Table 15. Fields in Suspicious Activity Details Pane

Field Name	Description
Cumulative Amount	Enter the cumulative amount involved in the suspicious activity.
	Note: Cumulative Amount must be populated only if the report is a Continuing Activity Report.
	If the Cumulative Amount is blank for a Continuing Activity Report, then the application displays the following message: *The report is marked as "Continuing Activity Report" and Cumulative Amount is missing. If the Cumulative Amount is unknown or there is no Cumulative Amount involved please enter 0.*
	If you click on validate button and when the report is not a Continuing Activity Report with a value entered in Cumulative Amount field, the application displays the following message: *The report is not a "Continuing Activity Report" so Cumulative Amount field in Suspicious Activity tab should be left blank. Also it should not be entered as 0.*
Amount Unknown/no Amount	Select amount unknown or no amount involved from the drop-down list.
	Note: Select **amount unknown** if the amount involved in suspicious activity is unknown.
	Note: Select **No amount involved** if there is no amount involved in the suspicious activity.
	If you click on Validate button in Suspicious Activity Details section without entering any value in Amount field or if you do not select either Amount unknown, nor No amount involved, then the application displays the following message: *Either Amount or Amount Unknown/No Amount field should be entered in suspicious activity information.*
	If you have entered a value in Amount field and also selected No Amount Involved or Amount Unknown option, then the application displays the following message: *When no amount is involved or is unknown, then Amount should not be entered.*

5. Enter the required information.

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

   Note: If you click **Reset,** the page is refreshed and displays the last saved suspicious activity details.

7. Click **OK**. The suspicious activity details are saved.

If you try to perform **Request for Approval** action on the report, without entering Suspicious Activity Amount or without indicating that there is no amount involved or amount is unknown, the following message displays: *Either Amount or Amount Unknown/No Amount field should be entered in suspicious activity information.*

If you specify an amount and also select *No Amount Involved* or *Amount Unknown* in the Suspicious activity details pane, the following message displays: *When no amount is involved or is unknown, then amount should not be entered.*

If you click on Validate Tab button and if the information in the Suspicious Activity Details section is not correct, then the application displays the following message: *Please Validate the Section Suspicious Activity Details.*

| Filing Institution Information | Fin Inst Where Activity Occurred | Suspicious Activity Information | Subject Information | Documents | Narrative | Audit |

Figure 32. Suspicious Activity Details Tab - Edit Mode

Activity Classification

Select Activity Classification from the LHS menu to view the Activity Classification pane. This section provides options to describe the type of suspicious activity such as Fraud, Terrorist financing, Insurance, Casinos, and so on.

When selected, Activity Classification displays the following classification categories:

- Structuring

- Terrorist Financing

- Fraud

- Gaming Activities

- Money Laundering

- Identification/Documentation

- Other Suspicious Activities

- Insurance

- Securities/Futures/Options

- Mortgage Fraud

- Cyber Events

- Were any of the following product type(s) involved in the suspicious activity?

- Were any of the following instrument type(s)/payment mechanism(s) involved in the suspicious activity?

    Within each category there are options to select specific behavior that indicate why it was felt the suspicious activity could be considered Structuring or Terrorist Financing and so on. Review the options within each category and select one or more that best describe the activity being reported.

    Each of these classifications in the Activity Classification LHS menu contains subtypes. You can check all the options applicable to the suspicious activity.

    If you select **Other** from the activity classification list, you must enter a description of the activity classification in the **Other** field.

    If you click **Save**, all the details in Activity Classification pane are saved and if you click **Reset**, the fields in the pane are reset to the last saved values.

Validations for Activity Classification

If you click on Validate button and if you have marked Other in any of the fields in Activity classification section without entering any description, then the application displays the following messages accordingly:

- If you have marked Other in Instrument Type/Payment Mechanism Involved and have not provided any description, then the application displays the following message: *If Instrument Type/Payment Mechanism Involved contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Product type and have not provided any description, then the application displays the following message: *If product type involved contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Mortgage fraud and have not provided any description, then the application displays the following message: *If mortgage fraud contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Securities/futures/options and have not provided any description, then the application displays the following message: *If securities/futures/options contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Insurance and have not provided any description, then the application displays the following message: *If insurance contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Identification documentation and have not provided any description, then the application displays the following message: *If identification documentation contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Money laundering and have not provided any description, then the application displays the following message: *If money laundering contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Gaming Activity and have not provided any description, then the application displays the following message: *If casinos contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in fraud and have not provided any description, then the application displays the following message: *If fraud contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Terrorist and have not provided any description, then the application displays the following message: *If terrorist financing contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Structuring and have not provided any description, then the application displays the following message: *If structuring contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Other Suspicious activity and have not provided any description, then the application displays the following message: *If other suspicious activity contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked Other in Cyber Events activity and have not provided any description, then the application displays the following message: *If other suspicious activity contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

■ If you have not marked any of the activity classification, then the application displays the following message: *At least one activity classification should be present.*

● If you click on Validate Tab button and if the information in the Activity Classification section is not correct, then the application displays the following message: *Please Validate the Section Activity Classification.*

Figure 33. Activity Classification – Edit Mode

Law Enforcement Agency Details

Select Law Enforcement Agency Details from the LHS menu to view the Law Enforcement Agency Details pane. You can update the Law Enforcement Agency details contacted by the firm regarding the suspicious activity in this pane.

The following table explains the fields in the Law Enforcement Agency Details.

Table 16. Fields in the Law Enforcement Agency Details

Field Name	Description
LE Contact Agency	Enter the law enforcement contact agency.
LE Contact Name	Enter the law enforcement contact name.
	If you click on Validate button and if there are one or more prohibited words entered in LE Contact Agency and LE Contact Name fields, then the application displays the following message: *You are not allowed to enter prohibited words in LE Contact Agency and LE Contact Name. Following words are prohibited: AKA, COMPUTER GENERATED, CUSTOMER, DBA, NON CUSTOMER, NONE, NOT APPLICABLE, OTHER, SAME, SAME AS ABOVE, SEE ABOVE, SEE NARRATIVE, SIGNATURE CARD, T/A, UNKNOWN, VARIOUS, XX.*
Contact Number	Enter the contact number of the law enforcement agency.
Extension	Enter the extension number of the law enforcement agency.
LE Contact date	Select the date on which the law enforcement agency was contacted.

Note: If you click **Save**, all the details in Law Enforcement Agency pane are saved and if you click **Reset**, the fields in the pane are reset to last saved values.

If you click on Validate Tab button and if the information in the Law Enforcement Agency Details section is not correct, then the application displays the following message: *Please Validate the Section Law Enforcement Agency Details.*

Figure 34. Law Enforcement Agency Details – Edit Mode

Additional Information

Select **Additional Information** from the LHS menu to view the Additional Information pane. You can add any additional information about the suspicious activity that has been identified.

Additional information includes specifics regarding any of the following that may have been involved in the activity being reported.

Following are the types of additional information:

- **Additional Information:** Additional information helps client to provide details about the attributes of the assets that has been involved in this activity.

- **IP Address Details:** This provide the IP address details about the system that has been reported in this activity.

- **Cyber Event Details:** This provides the details of the Cyber event types that has been used in this activity.

The Additional Information grid displays the additional information type and description fields.
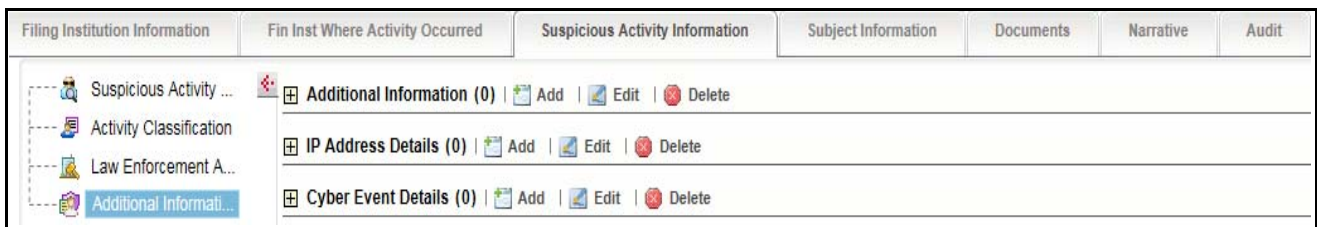
Figure 35. Additional Information – Edit Mode

Adding Additional Information

To add additional information about the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The Additional Information grid displays.

5. Click **Add**. The Additional Information pop-up window displays.
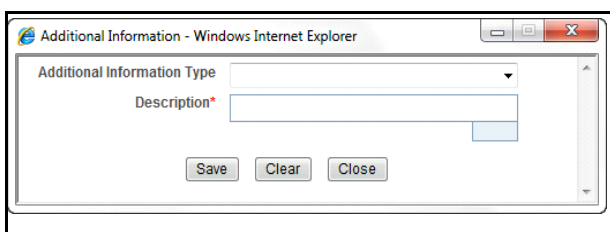
Figure 36. Add Additional Information Pop-up Window

6. Select the appropriate additional information type.

7. Enter the description.

   Note: The description field in Additional Information pop-up window allows entering a maximum of 50 characters. As you begin entering the comments, the word count displayed below the description field keeps decreasing. If you try to enter more than 50 characters in the description field, the following message displays: *Number of characters exceeded.*

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

9. Click **OK**. The additional information details are saved.

   Note: Click **Clear** to clear the data in the Additional Information pop-up window. and click **Close** to close the additional information details.

Editing Additional Information

To edit additional information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The Additional Information grid displays additional information about the suspicious activity.

5. Select the additional information you want to edit.

6. Click **Edit**. The Additional Information pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The additional information details are saved.

Deleting Additional Information

To delete additional information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The Additional Information grid displays all the additional information about the suspicious activity.

5. Select the additional information you want to delete.

6. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*

7. Click **OK**. The following message displays: *Delete Operation Successful.*

8. Click **OK**. The additional information details are deleted.

Adding IP Address Details

To add IP Address Details about the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The IP Address Details grid displays.

5. Click **Add**. The IP Address Details pop-up window displays.
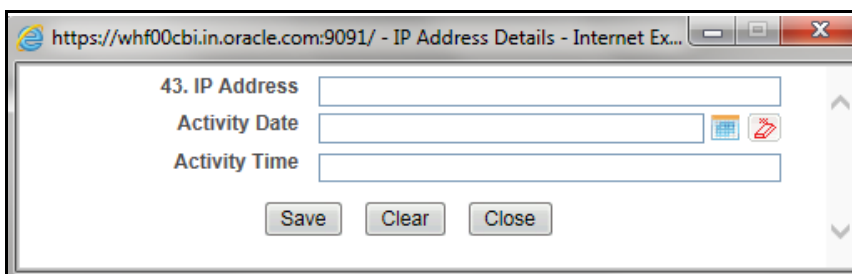
Figure 37. Add IP Address Details Pop-up Window

6. Enter the appropriate IP Address Details.

7. Select the Activity Date from the calendar.

8. Enter the Activity Time.

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

10. Click **OK**. The additional information details are saved.

    Note: Click **Clear** to clear the data in the IP Address Details pop-up window. and click **Close** to close the IP Address Details details.

Note: If the IP address is IPv4, use a variation of the format nnn.nnn.nnn.nnn (n = number) with periods between the segments. First set of numbers must be values between 1-255 (inclusive); second, third and fourth set of numbers must be values between 0-255 (inclusive). If the IP address is IPv6, use a variation of the format cccc:cccc:cccc:cccc:cccc:cccc:cccc:cccc (c = character, IPv6 is alphanumeric in some segments) with colons between the segments.

Editing IP Address Details

To edit IP Address Details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The Additional Information grid displays IP Address Details about the suspicious activity.

5. Select the IP Address Details you want to edit.

6. Click **Edit**. The IP Address Details pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The IP Address Details details are saved.

Deleting IP Address Details

To delete IP Address Details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The Additional Information grid displays all the IP Address Details about the suspicious activity.

5. Select the IP Address Details you want to delete.

6. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*

7. Click **OK**. The following message displays: *Delete Operation Successful.*

8. Click **OK**. The IP Address Details details are deleted.

Adding Cyber Event Details

To add Cyber Event Details about the suspicious activity, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The Cyber Event Details grid displays.

5. Click **Add**. The Cyber Event Details pop-up window displays.
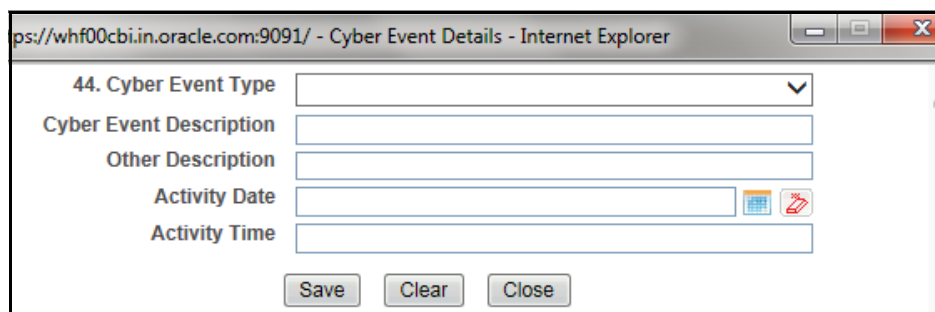
Figure 38. Add Cyber Event Details Pop-up Window

6. Select the appropriate Cyber Event Details type.

7. Enter the Cyber Event description.

   Note: The description field in Cyber Event Details pop-up window allows entering a maximum of 50 characters. As you begin entering the comments, the word count displayed below the description field keeps decreasing. If you try to enter more than 50 characters in the description field, the following message displays: *Number of characters exceeded.*

8. Enter Other Description.

9. Select the Activity Date from the calendar.

10. Enter the Activity Time.

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

12. Click **OK**. The Cyber Event Details details are saved.

   Note: Click **Clear** to clear the data in the Cyber Event Details pop-up window. and click **Close** to close the Cyber Event Details details.

Note: 4000 characters or less; must be in the following format based on these specific types of Cyber events:

- Command and Control/Suspicious IP Addresses: If the IP address is IPv4, use a variation of the format nnn.nnn.nnn.nnn (n = number) with periods between the segments. First set of numbers must be values between 1-255 (inclusive); second, third and fourth set of numbers must be values between 0-255 (inclusive). If the IP address is IPv6, use a variation of the format cccc:cccc:cccc:cccc:cccc:cccc:cccc:cccc (c = character, IPv6 is alphanumeric in some segments) with colons between the segments.

- URL/Domain names: Must contain at least one period, no spaces, cannot begin or end with a dash.

- Media Access Control (MAC) Addresses: Must be in the format XX:XX:XX:XX:XX:XX

- Email Addresses: Must contain @ symbol and at least one period following the @ symbol.

Editing Cyber Event Details

To edit Cyber Event Details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The Additional Information grid displays Cyber Event Details about the suspicious activity.

5. Select the Cyber Event Details you want to edit.

6. Click **Edit**. The Cyber Event Details pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The additional information details are saved.

Deleting Cyber Event Details

To delete Cyber Event Details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click **Suspicious Activity Information** tab.

4. Click **Additional Information** in the LHS menu. The Additional Information grid displays all the Cyber Event Details about the suspicious activity.

5. Select the Cyber Event Details you want to delete.

6. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*

7. Click **OK**. The following message displays: *Delete Operation Successful.*

8. Click **OK**. The Cyber Event Details details are deleted.

You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are hidden in the Suspicious Activity Details when the report is in View mode.
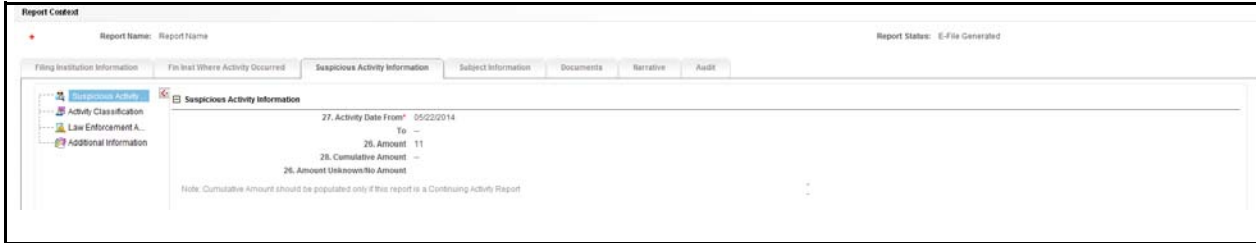
Figure 39. Suspicious Activity Details - View Mode

You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset, are hidden in the Activity Classification pane when the report is in View mode.

Figure 40. Activity Classification - View Mode

You cannot edit the report details when the report is in View mode. Action buttons, such as, Save and Reset, are hidden in the Law Enforcement Agency Details when the report is in View mode.
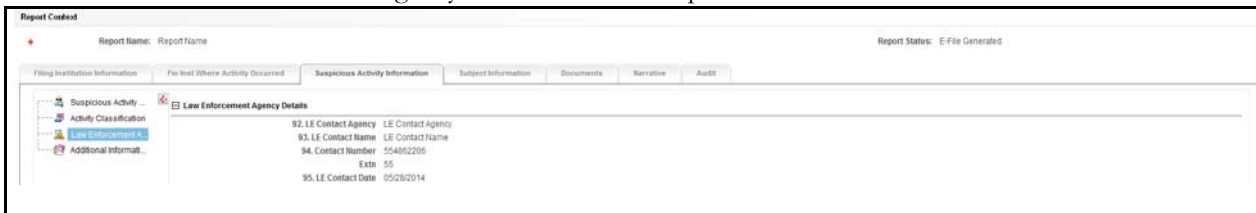
Figure 41. Law Enforcement Agency Details - **View Mode**

You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, and Delete, are hidden in the Additional Information grid when the report is in View mode.

Figure 42. Additional Information - **View Mode**

Managing Subject Information

The Subject Information page lists information related to the subject, accounts associated to the subject, and subject's relationship with the financial institution. A maximum of 999 records can be added to one report/suspicious activity.

The **Validate** button in the Subject Information grid checks for any missing mandatory information.

The following table explains the columns in Subject Information grid.

Table 17. Columns in Subject Information Grid

Field Name	Description
Subject Record #	Displays the subject record number which is a system generated unique number which will identify this subject for this report. **Note:** It is used primarily in confirmation messages to help identify subjects whose information does not meet validation or approval requirements.
Subject Name	Displays the subject name.
TIN	Displays the subject TIN number.
Occupation/Type of Business	Displays the occupation/type of business of the subject.
Role	Defines the role of the subject in the suspicious activity being reported. Role is a drop-down list with the following options: ● **Purchaser/Sender**: If the subject purchased or sent the instruments or products involved in the suspicious activity they are considered to have played the role of *Purchaser/Sender*. ● **Payee/Receiver**: If the subject received the instruments or products involved in suspicious activity they are considered to have played the role of the *Payee/Receiver*. ● **Both a and b**: You must select this option if the subject acted as both *Purchaser/Sender* and *Payee/Receiver*.

Figure 43. Subject Information Tab – Edit Mode

Adding Subject Information

To add subject information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Click **Add**. The Subject details window expands below where you can enter the required subject information.

.

Figure 44. Adding Subject Information

The following table explains the fields in the Subject Information pop-up window.

Table 18. Fields in Subject Information Pop-up Window

Field Name	Description
Is critical information unknown?	Select this check box if all critical information about the subject is unavailable. Critical information is considered to be: ● Last Name/Entity Name ● First Name ● TIN ● DOB ● Address ● Identification
Is subject an Entity	Select this check box if the subject is an entity. **Note:** Some of the fields such as first name, middle name, suffix, gender, date of birth, etc, get disabled on selection of this check box.
Last Name/Entity Name	Enter the last name of the entity or subject.
Middle Name	Enter the subject middle name.
First Name	Enter the subject first name.
Suffix	Enter the subject suffix.
DOB	Enter the subject date of birth.
Gender	Enter the subject gender.
TIN	Enter the subject TIN number.
TIN Type	Enter the subject TIN type.
NAICS Code	Select the NAICS code. NAICS stands for *The North American Industry Classification System.* It is used by business and government to classify and measure economic activity in Canada, Mexico and the United States. The NAICS numbering system is a six-digit code. The first five digits are generally the same in all three countries. The last digit designates national industries. The first two digits designate the largest business sector, the third digit designates the sub-sector, the fourth digit designates the industry group, and the fifth digit designates particular industries.
Occupation/Type of Business	Enter the occupation or type of business of the subject.

Table 18. Fields in Subject Information Pop-up Window

Field Name	Description
Corroborative Statement Received	Select whether the corroborative statement is received.
	Note: As per FinCEN, a corroborative statement is considered to be where the subject has made a statement to the filing institution admitting to the involvement or otherwise substantiating the suspicious activity. If such a statement was made you must select **Yes**. If not, select **No**. If you select Yes, then the nature of that statement should be captured in the report *Narrative*.
	If you click Save without selecting any value in this field, then the application displays the following message: *You have not selected any value for Corroborative Statement Received for Suspect ID- <Suspect ID>.*
Subject role	Select the role of the subject in the suspicious activity.

5. Enter the required information.

   Note: For some fields where information may not be known there is an option to select the *Unknown* check box. A value must be provided for those fields where the unknown check box is not selected, unless the *Is All Critical Information* check box is selected, in which case these fields will be considered unknown.

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

7. Click **OK**. The subject information is saved.

   Note: You can now view grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

Editing Subject Information

To edit subject information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record you want to edit in the Subject Information grid. A window expands below displaying all the Subject Information.

5. Modify the necessary information.

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

7. Click **OK**. The subject information is saved.

Deleting Subject Information

To delete subject information, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record you want to delete in the Subject Information grid.

5. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*

6. Click **OK**. The following message displays: *Delete Operation Successful.*

7. Click **OK**. The Subject information is deleted.

Note:

1. If *Is critical information unknown?* is unchecked and you have not entered information for at least one critical field or have not checked all of the subject info associated with Unknown check boxes, the following message displays: *Sub# Subject Record- "Is critical information unknown" is not checked and some mandatory fields are missing. Please make sure you enter values for mandatory Subject details i.e. (Last Name/ Entity Name, First Name, TIN, DOB, address, and Identification Information or mark fields as Unknown.*

2. If you are adding or editing the subject details and select the *Is critical information unknown?* check box after entering information in one or more critical fields, the following message displays: *All critical information of the subject i.e. Last Name/ Entity Name, First Name, TIN, DOB, Address details and Identification Information will be cleared if the critical information unknown field is checked. Click OK to continue and clear values from the mandatory fields or Cancel to modify your selection.*

3. If you select the Critical Information Unknown check box, you will not be able to add subject address and identification details and the following message displays: *You are not allowed to add address and identification info when 'Is critical information unknown?' field is true.*

4. In Subject Information tab, if you click on Validate button and if there are no records present in Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: *There is no Record present to Validate the information.*

5. In Subject Information tab, if you click on Validate button and if there is a blank record present in Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: *There is Blank Record present to Validate the information. Please enter the information in the record and then Validate.*

Adding Subject Address

To add subject address details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record for which you want to add the subject address details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click **Add** in the Address grid. The Address pop-up window displays.

Figure 45. Address Pop-up Window

6. Enter the required information in the Address pop-up window.

    Note: You must either provide a value for each field or select the Unknown check box for any part of the address that is not known.

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

8. Click **OK**. The subject address details are saved.

    Click **Clear** to clear the entries in the Address pop-up window and click **Close** to close the Address pop-up window.

Validations:

The OFSRR application performs the following validations while entering subject address details:

- You are not allowed to add Address and Identification Information when *Is critical information unknown?* field is true.

- You must not enter more than 100 characters in Address field.

- You must not enter more than 50 characters in city field.

- For US, the postal code must contain only numbers, either 5 or 9 in length.

- For US, the postal code should not end with 0000 and 9999.

Editing Subject Address Details

To edit the subject address, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the subject for which you want to edit the subject address details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.

5. Click **Edit** in the Address grid. The Address pop-up window displays.

6. Modify the required information.

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

8. Click **OK**. The subject address details are saved.

Deleting Subject Address Details

To delete the subject address details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record you want to delete in the Address grid.

5. Click **Delete** in the Address grid. The following message displays: *Are you sure you want to delete this record.*

6. Click **OK**. The following message displays: *Delete Operation Successful.*

7. Click **OK**. The subject address detail is deleted.

Note: The Validate button in the Address grid validates the information present in the Address section and checks for any missing mandatory information.

Adding Subject Phone Details

To add subject phone details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record for which you want to add the subject phone details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click **Add** in the Phone grid. The Phone pop-up window displays.
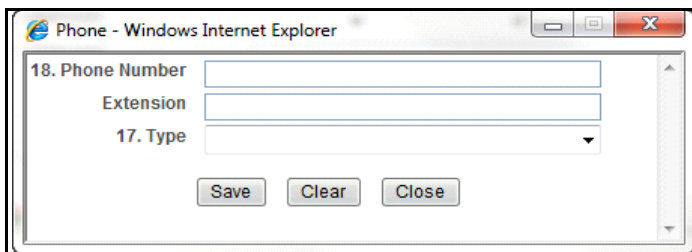
Figure 46. Phone Pop-up Window

6. Enter the required information in the Phone pop-up window.

   Note: The type in Phone pop-up window represents the mode of communication used to interact with the subject.

   The following options are available for Type in the Phone pop-up window:

   a. Fax

   b. Mobile

   c. Work

   d. Home

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

8. Click **OK**. The phone details are saved.

   Click **Clear** to clear the entries in the Phone pop-up window and click **Close** to close the Phone pop-up window.

Validations:

1. If you enter space in front or middle of the numbers or if the phone number entered is not numeric, the application displays the following message: *One or more Phone Number(s) are in invalid format. Phone Numbers should be numeric only and there must be no space in front or between the numbers.*

2. If you select the phone number type and if you have not provided the phone number, the application displays the following message: *You have provided a Phone Number Type but no Phone Number. Please add a phone number or clear your selection of Phone Number Type.*

3. The OFSRR application performs the following validations while entering subject phone details:

- You must not enter more than 16 characters in the phone number field.

- You must not enter more than 6 characters in the extension field.

Editing Subject Phone Details

To edit subject phone details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the subject for which you want to edit the subject phone details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.

5. Select the record you want to edit in the Phone grid.

6. Click **Edit** in the Phone grid. The Phone pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The subject phone details are saved.

Deleting Subject Phone Details

To delete subject phone details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record you want to delete in the Phone grid.

5. Click **Delete** in the Phone grid. The following message displays: *Are you sure you want to delete this record.*

6. Click **OK**. The following message displays: *Delete Operation Successful.*
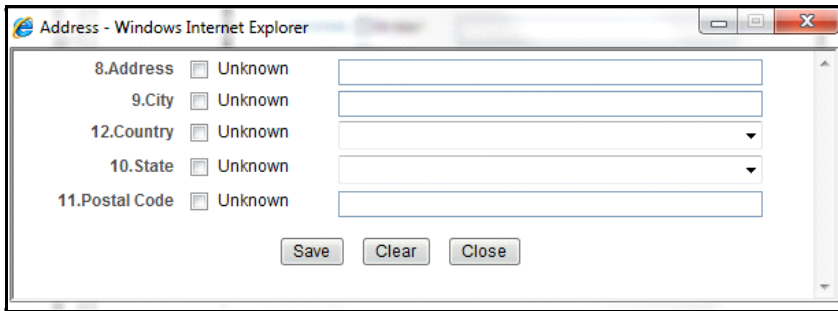
7. Click **OK**. The Subject phone details are deleted.

Note: The Validate button in the Phone grid validates the information present in the Phone section and checks for any missing mandatory information.

Adding Subject Identification Details

To add subject identification details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record for which you want to add the subject identification details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click **Add** in the Form of Identification grid. The Form of Identification pop-up window displays.
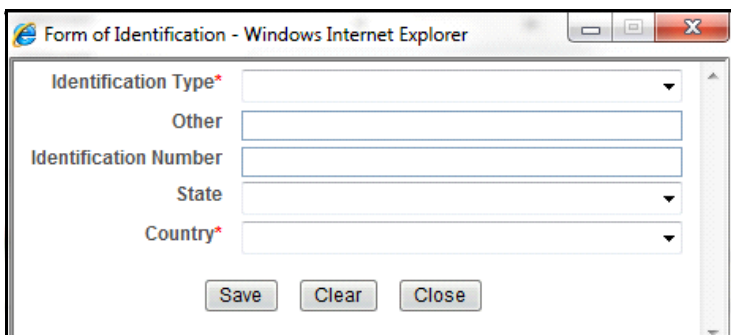
Figure 47. Form of Identification Pop-up Window

6. Enter the required information in the Form of Identification pop-up window.

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

8. Click **OK**. The subject identification details are saved.

   Click **Clear** to clear the entries in the Form of Identification pop-up window and click **Close** to close the Form of Identification pop-up window.

Note: Select the **Unknown** checkbox if you do not want to enter any information for Forms of Identification.

Validations:

1. If you select the Unknown checkbox when the report already contains one or more identification details, the application displays the following message: *You have selected No identification details are available with identification details already present. Click Ok to continue and delete all existing identification details or Cancel to cancel the selection.*

2. If you try to add new identification details when you have already selected the Unknown checkbox, the application displays the following message: *You have indicated that no identification details are available. You must unselect that option before adding identification information.*

3. The OFSRR application performs the following validations while entering subject identification details:

- You are not allowed to add Address and Identification Information when *Is critical information unknown?* field is true.

- It is mandatory to enter Identification type for Identification details.

- It is mandatory to enter a brief description of Identification, if Identification type is *Other*.

- You must not enter description of Identification when Identification type is *not Other*.

- You must not enter more than 24 characters in *Identification number* field.

- You must not enter more than 50 characters in *Other* field.

- Country is mandatory for all the identification details entered.

Editing Subject Identification Details

To edit subject identification details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the subject for which you want to edit the subject identification details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.

5. Select the record you want to edit in the Form of Identification grid.

6. Click **Edit** in the Form of Identification grid. The Form of Identification pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The subject identification details are saved.

Deleting Subject Identification Details

To delete subject identification details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record you want to delete in the Form of Identification grid.

5. Click **Delete** in the Form of Identification grid. The following message displays: *Are you sure you want to delete this record.*

6. Click **OK**. The following message displays: *Delete Operation Successful.*

7. Click **OK**. The subject identification details are deleted.

Note: The Validate button in the Form of Identification grid validates the information present in this section and checks for any missing mandatory information.

Adding Subject Alternate Name Details

To add subject alternate name details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record for which you want to add the subject alternate name details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click **Add** in the Alternate Name grid. The Alternate name pop-up window displays.
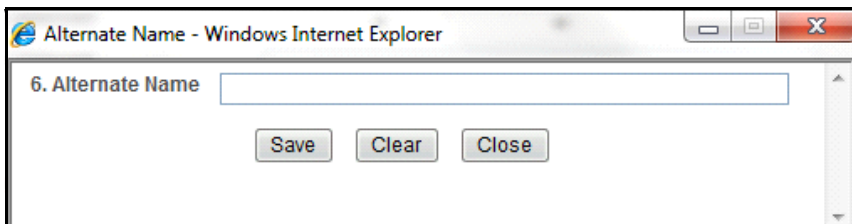
Figure 48. Alternate Name Pop-up Window

6. Enter the required information in the Alternate Name pop-up window.

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

8. Click **OK**. The alternate name details are saved.

Click **Clear** to clear the entries in the Alternate Name pop-up window. Click **Close** to close the Alternate Name pop-up window.

Validations:

The OFSRR application performs the following validations while entering subject alternate name details:

- You must not enter more than 150 characters for alternate name.

- You must not use prohibited words such as AKA, computer generated, customer, DBA, Non customer, none, not applicable, other, same, same as above, see above, see narrative, signature card, T/A, unknown, various, etc.

Editing Subject Alternate Name Details

To edit subject alternate name details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the subject for which you want to edit the subject alternate name details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.

5. Select the record you want to edit in the Alternate Name grid.

6. Click **Edit** in the Alternate Name grid. The Alternate Name pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The alternate name details are saved.

Deleting Subject Alternate Name Details

To delete subject alternate name details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record you want to delete in the Alternate Name grid.

5. Click **Delete** in the Alternate Name grid. The following message displays: *Are you sure you want to delete this record.*

6. Click **OK**. The following message displays: *Delete Operation Successful.*

7. Click **OK**. The Subject alternate name details are deleted.

Note: The Validate button in the Alternate name grid validates the information present in this section and checks for any missing mandatory information.

Adding Subject Email Address

To add subject email details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record for which you want to add the subject email details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click **Add** in the Email Address grid. The Email Address pop-up window displays.

Figure 49. Email Address Pop-up Window

6. Enter the required information in the Email Address pop-up window.

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

8. Click **OK**. The email details are saved.

   Click **Clear** to clear the entries in the Email Address pop-up window and click **Close** to close the Email Address pop-up window.

Validations:

1. If you enter an invalid Email address, the application displays the following message: *One or more Email ID(s) are in invalid format. Email addresses must contain only one "@" sign and a period in the text following that "@" sign. Email addresses must not contain any spaces.*

2. The OFSRR application performs the following validations while entering subject email details:

● You must not enter more than 50 characters in Email ID field.

● One or more Email ID(s) are in invalid format. Email addresses must contain only one "@" sign and a period in the text following the "@" sign.

Editing Subject Email Address

To edit subject email address, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the subject for which you want to edit the subject email details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.

5. Click **Edit** in the Email Address grid. The Email Address pop-up window displays.

6. Modify the required information.

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

8. Click **OK**. The subject email details are saved.

Deleting Subject Email Address

To delete subject email details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record you want to delete in the Email Address grid.

5. Click **Delete** in the Email Address grid. The following message displays: *Are you sure you want to delete this record.*

6. Click **OK**. The following message displays: *Delete Operation Successful.*

7. Click **OK**. The Subject email details are deleted.

Note: The Validate button in the E-mail address grid validates the information present in this section and checks for any missing mandatory information.

Adding Subject Website (URL) Address

To add subject website details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record for which you want to add the subject website details. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution where you can enter the required subject details.

5. Click **Add** in the Website (URL) Address grid. The Website (URL) Address pop-up window displays.

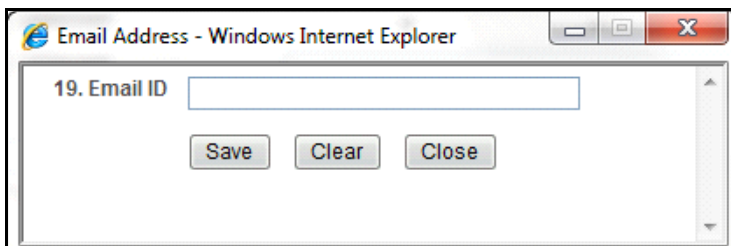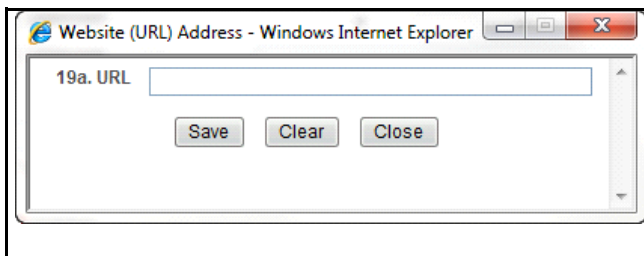**Figure 50. Website (URL) Address Pop-up Window**

6. Enter the required information in the Website (URL) Address pop-up window.

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

8. Click **OK**. The URL details are saved.

   Click **Clear** to clear the entries in the Website (URL) Address pop-up window and click **Close** to close the Website (URL) Address pop-up window.

Validations:

1. If you enter an invalid URL address, the application displays the following message: *One or more Website (URL) Address(es) are in invalid format. URL addresses must contain a dot (.) and shouldn't include the "@", "#", or "()" characters where the "()" encloses URL. Double colons "::" are also not allowed.*

2. The OFSRR application performs the following validations while entering subject website details:

- You must not enter more than 517 characters in the URL field.

- The URL addresses must contain a dot (.) and must not include the "@" character.

Editing Subject Website (URL) Address

To edit the subject website (URL) address, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the subject for which you want to edit the subject website details in the Subject Information grid. A window expands below displaying grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account information, and Relationship with financial institution.

5. Click **Edit** in the Website (URL) Address grid. The Website (URL) Address pop-up window displays.

6. Modify the required information.

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

8. Click **OK**. The subject URL details are saved.

Deleting Subject Website (URL) Address

To delete the subject website (URL) details, follow these steps.

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Select the record you want to delete in the Website (URL) Address grid.

5. Click **Delete** in the Website (URL) Address grid. The following message displays: *Are you sure you want to delete this record.*

6. Click **OK**. The following message displays: *Delete Operation Successful.*

7. Click **OK**. The Subject URL details are deleted.

Note: The Validate button in the Website (URL) grid validates the information present in this section and checks for any missing mandatory information.

Adding Account Information

The account information container captures the Account details of the Subject

The **Validate** button in the Account Information grid checks for any missing mandatory information.

You can add, edit, or delete subject account information.

If there are no accounts involved in the suspicious activity, check *Unknown.*

If Unknown checkbox is checked, then you cannot add any account information.

Note:

1. If you click the check box *If No Account Involved, check this box* when the report already contains one or more account details, the following message displays: *You have selected No known account involved with account records already present. Click Ok to continue and delete all existing account records or Cancel to cancel the selection.*

2. If there are no account details and *If No Account Involved, check this box* is not checked, the following message displays: *You must either enter account information or indicate No known account involved for Subject record # 12345.*

3. If you try to add a new account when *If No Account Involved, check this box* field is checked, the following message displays: *You have indicated that no known accounts are involved. You must unselect that option before adding an account.*

4. While adding an account you must specify either the TIN or the Account Number (at least one of them). In case you fail to mention both the TIN and the Account Number, the following message displays: *Account Details must contain at least an Affected Account or a Financial Institution TIN. Please provide at least one.*

5. If you enter TIN type as SSN/ITIN or EIN and if it is more than 9 digits or if it contains any special characters, then the application displays the following message: *12345 Subject # - For tin type SSN/ITIN or EIN length of tin number should be 9 and it must contain only numbers. It should not contain any special characters.*

To add subject account details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Click **Account Details** in the LHS menu. The Account Information grid displays.

5. Click **Add**. The Account Add pop-up window displays.

Figure 51. Account Add Pop-up Window

The following table explains the fields in Account Details pop-up window.

Table 19. Fields in Account Add Pop-up Window

Field Name	Description
Non-US Financial Institution	Select *No* if the financial institution associated with the account is a US-based financial institution. Select *Yes* if the financial institution associated with the account is a non-US institution.
Financial Institution TIN	Enter the financial institution TIN number.
Account Number	Enter the account number.
Is Account Closed	Select whether the account is closed or not. **Note:** If you have not selected any value in the field *Is Account Closed,* the application displays the following message: *You have not selected any value for field Is Account Closed.*

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

7. Click **OK**. The account details are saved.

   Note: Click **Clear** to clear the account details entered and click **Close** to close the Account Details pop-up window.

Editing Subject Account Information

To edit subject account details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Click **Account Details** in the LHS menu. The Account Information grid displays.

5. Select the account you want to edit in the Account Information grid.

6. Click **Edit**. The Account Add pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The subject account details are saved.

Deleting Subject Account Information

To delete subject account details, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Click **Account Details** in the LHS menu. The Account Information grid displays.

5. Select the account you want to delete in the Account Information grid.

6. Click **Delete**. The following message displays: *Are you sure you want to delete this record.*

7. Click **OK**. The following message displays: *Delete Operation Successful.*

8. Click **OK**. The subject account detail is deleted.

Adding Subject Relationship with Financial Institution

The Relationship with Financial Institution container provides data regarding the Relationship of the Subject with the Financial Institutions mentioned in the report.

The **Validate** button in the Subject information tab checks for any missing mandatory information and identifies any disallowed combinations of Relationship types and the inclusion of an Action Date.

If you click on Save without entering any value in *Relationship with Financial Institution*, the application displays the following message: *You have not selected any value for "Relationship with Financial Institution". If there is no relationship then please select "No relationship to institution" from dropdown.*

The following table explains the columns in the Relationship With Financial Institution grid.

Table 20. Columns in Relationship With Financial Institution Grid

Field Name	Description
Financial Institution TIN	Displays the TIN number of the financial institution.
Relationship with Financial Institution	Displays the relationship of the subject with the financial institution.
Status	Displays the status of relationship of the subject with the financial institution.
Action Date	Displays the action date from the calendar.

You can add, edit, validate, or delete the relationship of the subject with financial institution details.

To add subject relationship with a financial institution, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Click **Relationship with financial institution** LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.

5. Click **Add**. The Relationship with Financial Institution pop-up window displays.
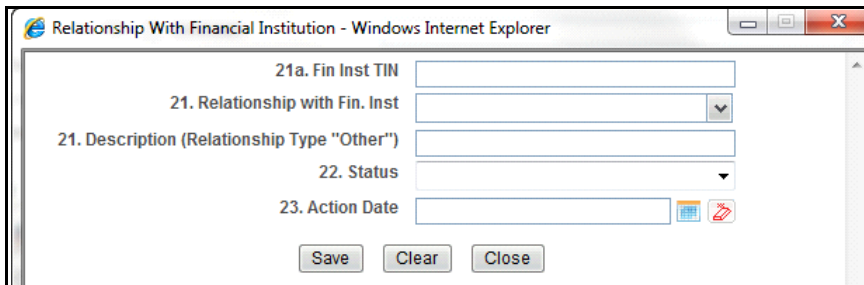
Figure 52. Add Relationship with Financial Institution Pop-up Window

The following table explains the fields in the Add Relationship with Financial Institution pop-up window:

Table 21. Fields in Add Relationship with Financial Institution Pop-up Window

Field Name	Description
Financial Institution TIN	Enter the TIN number of the financial institution.
Relationship with Financial Institution	Select the relationship of the subject with the financial institution from the drop-down list. This field provides the following options in the drop-down list: ● Accountant ● Agent ● Appraiser ● Attorney ● Borrower ● Customer ● Director ● Employee ● No relationship to institution ● Officer ● Owner or Controlling shareholder ● Other
Description (Relationship type "Other")	Enter the relationship of the subject with the financial institution. **Note:** If the relationship of the subject with the financial institution is anything other than the options provided in the Relationship with Financial Institution drop-down list, you must select **Other** and provide a description of the relationship.
Status	Select the status of relationship of the subject with the financial institution from the drop-down list. This field provides the following options in the drop-down list: ● Resigned ● Suspended/Barred ● Terminated ● Relationship continues
Action Date	Select the date of termination of the subject relationship with the financial institution. **Note:** This field must be updated only if the relationship status is Terminated.

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

7. Click **OK**. The Relationship with Financial Institution details are saved.

Click **Clear** to clear the subject relationship with financial institution details entered. Click **Close** to close the Subject Relationship With Financial Institution pop-up window.

Editing Subject Relationship with Financial Institution

To edit a subject relationship with a financial institution, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Click **Relationship with financial institution** LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.

5. Select the record you want to edit from the Relationship with Financial Institution grid.

6. Click **Edit**. The Relationship with Financial Institution pop-up window displays.

7. Modify the required information.

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

9. Click **OK**. The Relationship with Financial Institution details are saved.

   Click **Clear** to clear the subject relationship with financial institution details entered. Click **Close** to close the Subject Relationship With Financial Institution pop-up window.

Deleting Subject Relationship with Financial Institution

To delete the subject relationship with a financial institution, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Subject Information** tab.

4. Click **Relationship with financial institution** LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.

5. Select the record you want to delete from the Relationship with Financial Institution grid.

6. Click **Delete**. The following message displays: *Are you sure you want to delete this record.*

7. Click **OK**. The following message displays: *Delete Operation Successful.*

8. Click **OK**. The Relationship with Financial Institution detail is deleted.

   Click **Clear** to clear the subject relationship with financial institution details entered. Click **Close** to close the Subject Relationship With Financial Institution pop-up window.

You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, Delete, and Validate, are hidden in the Subject Details when the report is in View mode.

Figure 53. Subject Information - View Mode

Managing Documents

The Documents tab lists all the documents that are attached to the report. It also allows the user to add additional documents. You can upload files of any format with size which are smaller than 1 MB.

The following table explains the fields in the Documents grid.

Table 22. Fields in Documents grid

Field Name	Description
Actual file name	Displays the actual file name of the document attached.
File name	Displays the logical file name assigned by the user.
Include this file in the report	Displays whether the attached document is included in the final report or not.

Note: You can upload files of any format in Documents tab. You can choose to include the attached document in the report.

However, only one file of .csv format can be included in the report. You cannot include files of any other format other than .csv in the report.

Figure 54. Documents Tab – Edit Mode

Adding Documents

To add documents, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Documents** tab. The document details display.

4. Click **Add**. The Attach Document pop-up window displays.
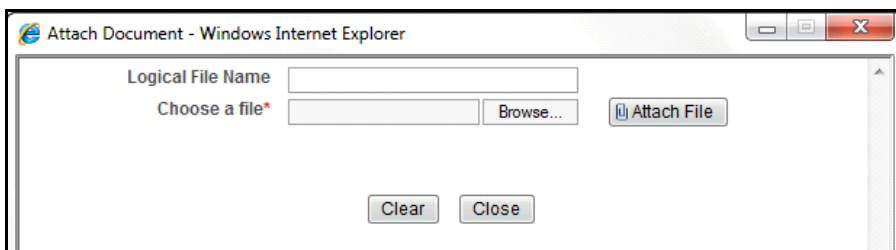
Figure 55. Attach Document Pop-up Window

The following table explains the fields in the Attach Document pop-up window.

Table 23. Fields in Attach Document Pop-up Window

Field Name	Description
Logical File Name	Enter the file name of the document to be attached.
Choose a File	Select the file that needs to be attached. **Note:** You can attach files of any format in the Documents tab.

5. Click **Browse** in the Choose a file field. Select the document that must be attached from the local system.

6. Click **Attach file**. The following message displays: *Add Operation Successful.*

7. Click **OK**. The Attach Document pop-up window displays for attaching a new document.

   Note: Click **Close** to view the newly added document in the List of Documents grid.

Viewing Documents

To view the documents attached, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Documents** tab. The Document details display.

4. Select the document you want to view from the List of Documents grid.

5. Click **View Document**. A File Download box displays.

6. Click **Open** in the File Download Box to view the document attached. Click **Save** to save a copy of the attached document in your local system or click **Cancel** to close the File Download Box.

Deleting Documents

To delete the attached documents, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Documents** tab. The document details display.

4. Select the document you want to delete.

5. Click **Delete**. The following message displays: *Are you sure you want to delete this record.*

6. Click **OK**. The following message displays: *Delete Operation Successful.*

   If you click **Cancel**, the document is not deleted.

7. Click **OK**. The List of Documents grid displays.

Validate a Document

While creating the report, if the user has selected **Include in Report** option, then the Report (.csv format) will get validated here. Only .csv format is accepted as an attachment in the document tab.

Including Documents in Report

You can include the document attached in the Documents tab to be included in the report. Only one file of .csv format can be included in the report. You cannot include files of any other format.

To include the attached document, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Documents** tab. The documents attached display in the List of Documents grid.

4. Select the check box of the document you want to include in the report.

5. Select **Yes** from the drop-down list in the *Include This File in Report* column.
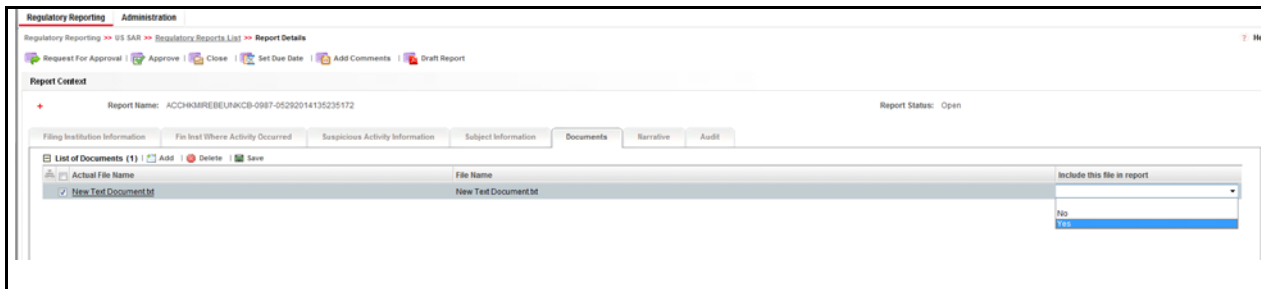
Figure 56. Including .csv in E-file Generated

6. Click **Save** in the List of Documents grid. The following message displays: *Update Operation Successful.*

7. Click **OK**. The List of Documents grid displays.

Note: If you try to include files of any other format (other than .csv format), the following message displays: *Only a document with csv extension can be included in report.*

If you try to include more than one .csv file in the report, the following message displays: *Only one document can be made primary for a report.*

You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Delete, and Save, are hidden in the Documents tab when the report is in View mode.
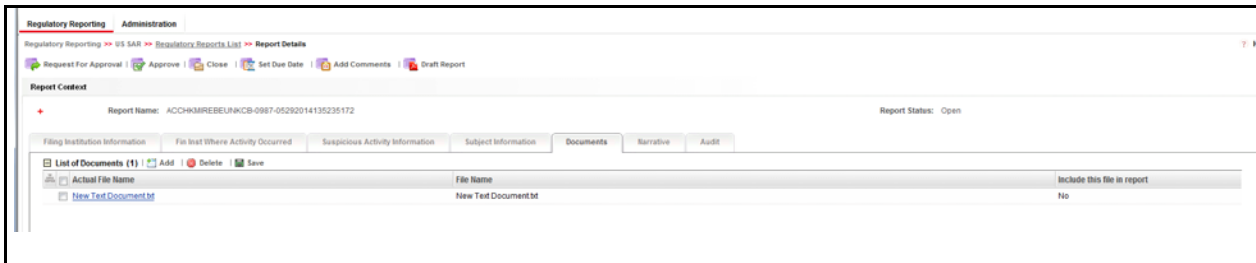
Figure 57. Documents Tab – View Mode

Adding Narrative

The Narrative tab displays the description of the suspicious activity. It also displays any additional information related to the suspicious activity.

To update the Narrative tab, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name in the List of Regulatory Reports. The RR Details display.

3. Click the **Narrative** tab. The Narrative pane displays.

4. Enter the information in the Narrative pane.

   Note: You can enter a maximum of 20000 characters in the narrative pane.

5. Click **Save**. The following message displays: *Update Operation Successful. Carriage returns (if any) will be removed when submitting to FinCEN.*

   Note: The line breaks if present in the Narrative tab are removed while submitting the e-file to FinCEN.

6. Click **OK**. The narrative details are saved.

   To clear the changes made in the Narrative tab, click **Reset**. The page refreshes to display the last saved data.
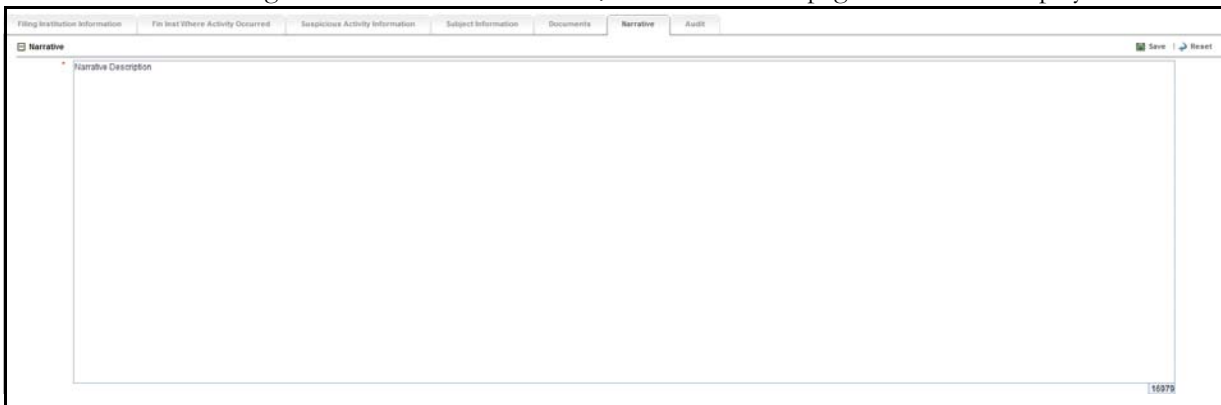
Figure 58. Narrative Tab - Edit Mode

You cannot edit the report details when the report is in View mode. Action buttons, such, as Save and Reset, are hidden in the Narrative tab when the report is in View mode.

Figure 59. Narrative Tab – View Mode

Viewing Audit

The Audit tab displays actions taken on the report. This tab contains the Regulatory Report Actions Grid and the Regulatory Report Comments Grid.
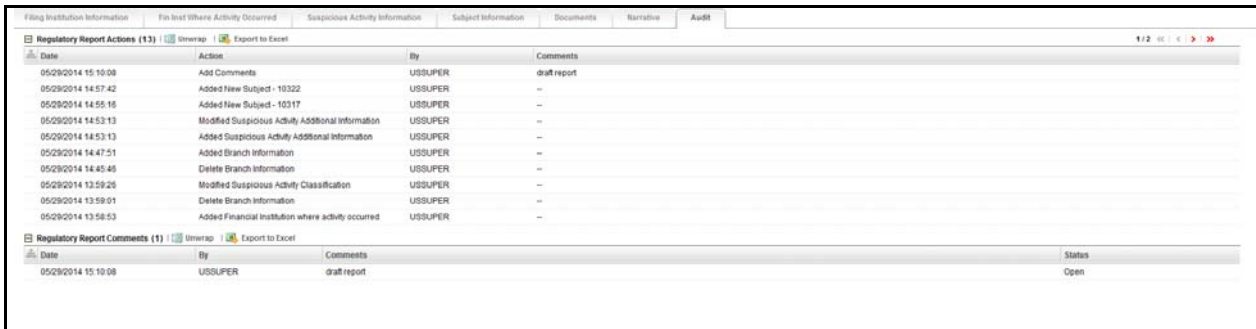
Figure 60. Audit Tab

The Audit tab displays the following grids:

- Regulatory Report Actions
- Regulatory Report Comments

Regulatory Report Actions

Regulatory Report Actions displays the actions taken on the regulatory report. This grid displays the following fields

Table 24. Fields in Regulatory Report Actions Grid

Field Name	Description
Action	• Filing Institution Information Modified • Added Financial Institution • Modified Financial Institution • Removed Financial Institution • Added Branch Information • Modified Branch Information • Delete Branch Information • Added New Subject – Subject Record # (When user clicks Save) • Removed Subject – Subject Record # • Modified Subject Details – Subject Record # • Modified Suspicious Activity Details Modified Suspicious Activity Classification • Modified Law Enforcement Information • Added Suspicious Activity Additional Information • Modified Suspicious Activity Additional Information • Removed Suspicious Activity Additional Information • Added New Document – Name of the added document • Removed Document – Name of the Removed document • Added Relationship with Financial Institution • Modified Relationship with Financial Institution • Removed Relationship with Financial Institution • Added New Account - Account Number • Modified New Account - Account Number • Removed New Account - Account Number • Narrative Added • Due Date Modified

Regulatory Report Comments

Regulatory Report Comments lists all the comments from different users from the Audit log.

The Regulatory Report Comments grid displays the following fields:

Table 25. Fields in Regulatory Report Comments Grid

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

Submitting the Report Details for Approval/Requesting for Approval

After updating the report details, they must be validated. The Regulatory Report Details allows users with appropriate roles to submit a report for approval. Authorized users can validate the report details and can either Approve, Close, or Reject the report.

Note: A user can initiate Request for Approval action, only when the report is in *Open/Rejected/Rejected from e-file* status.

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

To submit a report for approval, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name to view the report details.

3. Click **Request for Approval**. If there is mandatory information which is missing, or information that is in some way invalid for the report submission, you will receive warnings to correct the information before requesting approval. If there are no errors detected the Request for approval action pop-up window displays.

Figure 61. Request for Approval Action Pop-up Window

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

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

5. Click **Save.** The following message displays: *Add Operation Successful.*

   Note: Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

   Note: The Regulatory Report Action grid in the Audit tab displays the comments added in the Request for Approval Action pop-up window.

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

Approving/Rejecting/Closing Reports

The Regulatory Report Details allows authorized users to approve, reject, or close the regulatory reports.

Note: The authorized users can approve, reject, or close the report only when all the mandatory fields in Report Details tabs are complete.

If the user approves the report, an e-file is generated for the report. The generated e-file is submitted with the FinCENs BSA E-Filing System.

If the user rejects the report, then you must re-work on the report and submit the report for approval. This process continues until the report is approved or closed.

If the user closes the report, the report details cannot be edited and the report is in View mode.

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

Approving Reports

To approve a report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name to view the report details.

3. Click **Approve**. If there is mandatory information which is missing, or information that is in some way invalid for the report submission, you will receive warnings to correct the information before requesting approval. If there are no errors detected, the Approve Action pop-up window displays.
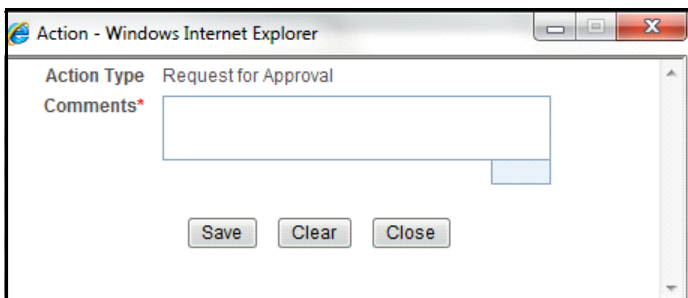

Figure 62. Approve Action Pop-up Window

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

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

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

   Note: Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

The Regulatory Report Action grid in the Audit tab displays the comments added in the Approve Action pop-up window.

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

If the report is approved, the status of the report changes to *Approved*.

Re-Approving Reports

The Regulatory Report Details allows authorized users to re-approve reports. The user can re-approve reports when the report is in *Re-Approve Required* status. This action must be performed if the report has been edited in any way. Taking the action of Re-Approve will re-run the report validations and ensure that the editing did not introduce any report validation errors.

Note: If an approved report is edited in any way, the status of the report changes to *Re-approve Required*. When a report in *Re-approve Required* status is re-approved, the status of the report changes to *Approved*.

To re-approve a report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name to view the report details.

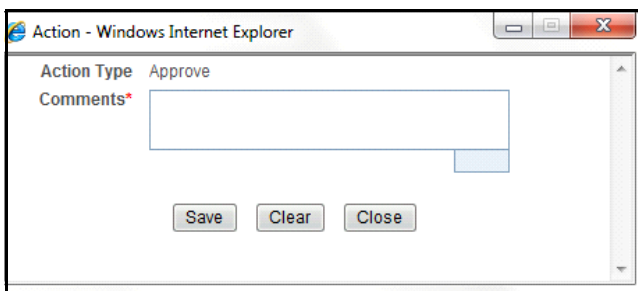3. Click **Re-approve**. The Re-approve action pop-up window displays.

Figure 63. Re-Approve Action Pop-up Window

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

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

5. Click **Save.** The following message displays: *Add Operation Successful.*

   Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

   Note: The Regulatory Report Action grid in the Audit tab displays the comments added in the Re-approve Action pop-up window.

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

Rejecting Reports

The Regulatory Report Details allows authorized users to reject reports from filing. A user can reject report when the report is in Approved or Request for Approval status. If a report is rejected, then the user must re-work on the report and again submit the report for approval. This process continues until the report is approved or closed.

Note: If a report is rejected, the status of the report changes to *Rejected.*

To reject a report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name to view the report details.

3. Click **Reject**. The Reject Action pop-up window displays.
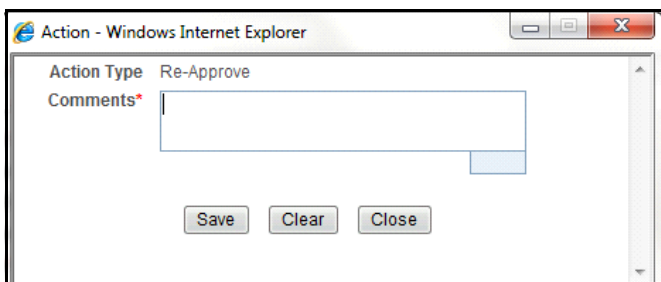

Figure 64. Reject Action Pop-up Window

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

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

5. Click **Save** The following message displays: *Add Operation Successful.*

   Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

   The Regulatory Report Action grid in the Audit tab displays the comments added in the Reject Action pop-up window.

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

Updating Rejected Reports

If a report is rejected, then the user can either close the report or can re-work on the report and again submit the report for approval. This re-work process continues until the report is either approved or closed.

For more information on editing report details, refer to section *Entering Report Details.*

Closing Reports

If a user determines that a SAR report should not be filed they can close it. The Closed status removes it from the work queue and helps to distinguish it from those in a Filed status.

A user might choose to close a report that is in an approved state if, for any reason, it is determined that the SAR no longer needs to be filed. This may be because of late arriving information to the investigation or other subsequent events that eliminate the need for reporting the activity.

The Regulatory Report Details allows authorized users to close reports without filing. The user can close reports when the report is in Approved or Request for approval or Rejected status.

Once the report is closed, you cannot edit the report details and the report is in View mode.

Note: If a report is closed, the status of the report changes to *Closed*.

To close a report, follow these steps:

1. From the Regulatory Reporting menu, hover over **Regulatory Reports – SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

2. Click the Report name to view the report details.

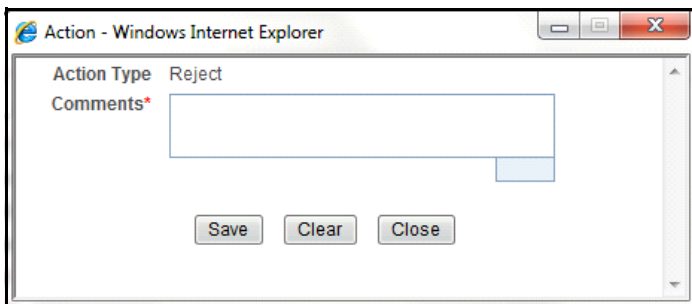3. Click **Close**. The Close Action pop-up window displays.
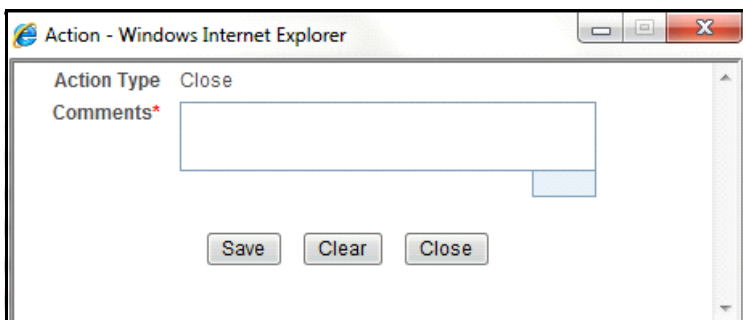
Figure 65. Close Action Pop-up Window

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

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

5. Click **Save.** The following message displays: *Add Operation Successful.*

   Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

   The Regulatory Report Action grid in the Audit tab displays the comments added in the Close Action pop-up window.

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

Filing Regulatory Reports

Once the report is approved, the authorized users must file the regulatory reports with the regulatory bodies.

The OFSRR application helps in generating e-file for an approved report. The e-file generated is in a *.txt* format that is according to the specifications described in FinCEN Suspicious Activity Report (FinCEN SAR) Electronic Filing Requirements. After successfully e-filing, you can download the acknowledgment (*XML*) file from the BSA E-Filing System and upload the acknowledgment into OFSRR, thereby completing the SAR process. The status of the report changes to *Filed*.

Filed status is the final status given to a SAR that has been submitted to and processed by FinCEN.

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

For more information on filing regulatory reports, refer to Chapter *Filing Regulatory Reports*.

CHAPTER 4   *Filing Regulatory Reports*

This chapter describes the instructions for generating an e-file, filing regulatory report at FinCEN, uploading the acknowledgment, and completing the SAR process. Only users mapped to the role of *Super User* or *Admin User* can generate the e-file.

This chapter discusses the following topics:

- Overview
- Workflow for Filing the Regulatory Report
- Searching Approved Reports
- Generating E-File
- Searching E-File Status
- Viewing E-File, E-File Details, and E-File Attachments
- Downloading the E- File
- Submitting the E-File at FinCEN
- Saving E-File Acknowledgments from FinCEN
- Uploading E-File Acknowledgment into OFSRR Application
- Rejecting SAR(s) from E-File
- Completing the SAR Process
- Adding Comments to E-File

Overview

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

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

This chapter explains the steps involved in filing approved reports.

Workflow for Filing the Regulatory Report

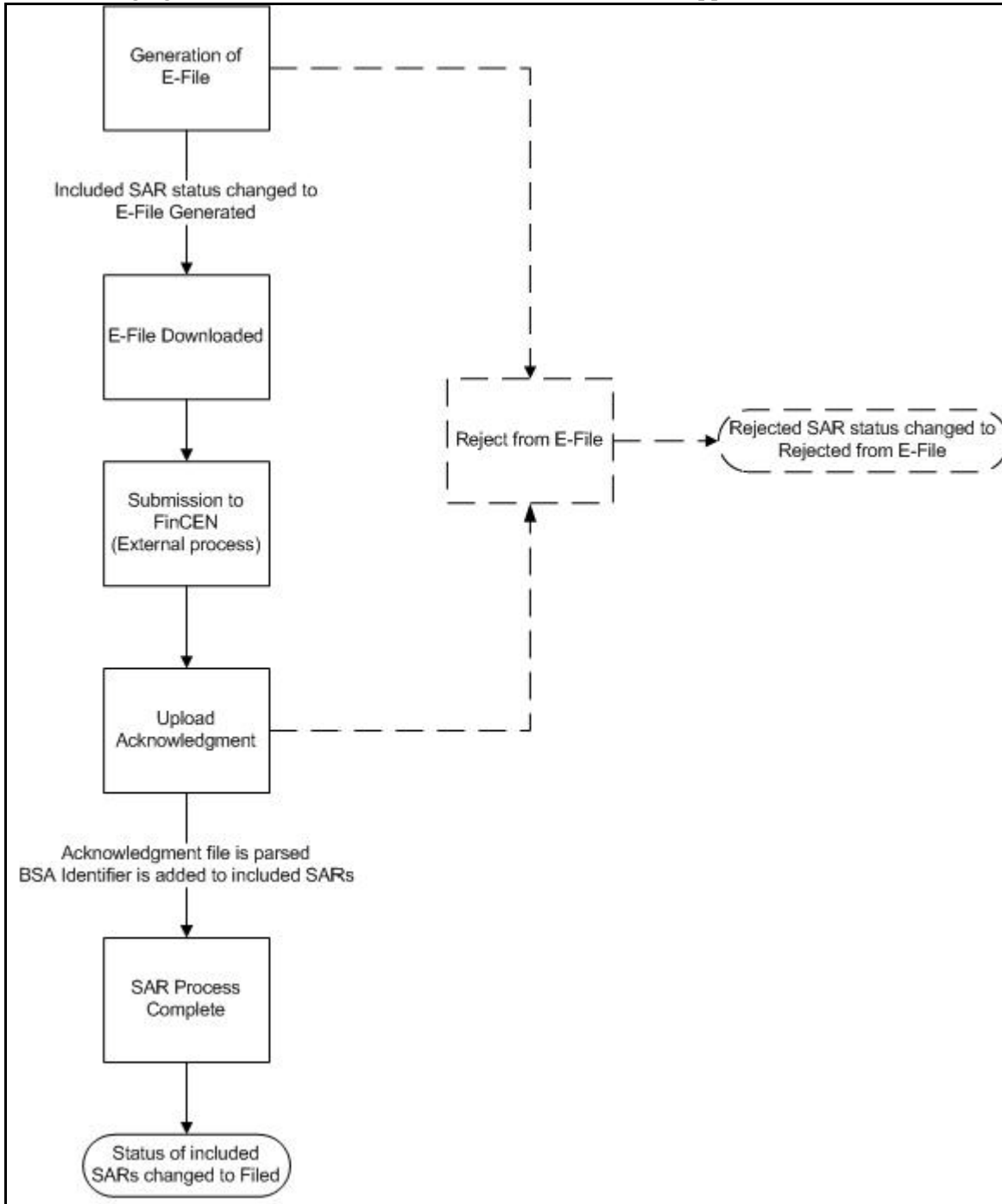The following figure illustrates the workflow of E-File in the OFSRR application:

Figure 66. Filing Regulatory Reporting Workflow

Searching Approved Reports

The File Regulatory Reports workflow contains two tabs namely, Approved Reports and E-File Status. The Approved Reports tab enables you to search for and display reports that are in an Approved state and are ready for e-filing. It is from this tab that you will generate the e-file.

Note: Super user and Admin user can reject or close approved reports from this tab.

To search for approved reports, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.

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

3. Click **Approved Reports** tab. The Advanced Report List page displays all the reports in *Approved* status.
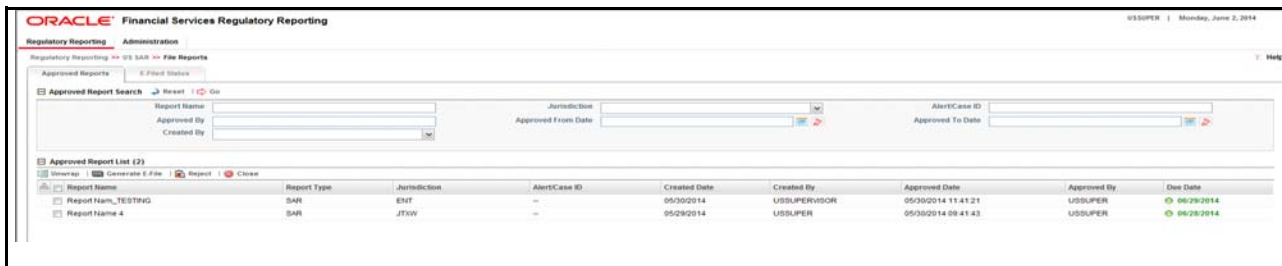
Figure 67. Approved Reports List

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

Table 26. Approved Reports Search Bar Field Descriptions

Field Name	Description
Report Name	Enter the name of the regulatory report. Wildcard searches are supported using % as the wildcard symbol.
Alert/Case ID	Enter the Alert or Case ID for the report.
Created By	Select the user role(s) from the drop-down list to search for reports created by the selected user roles.
Approved By	Enter the name of the approver to search for reports approved by the selected user.
Approved From Date	Select the approved date from the calendar to display reports approved from the selected date.
Approved To Date	Select the approved date from the calendar to display reports approved until this date.
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.

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

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

Generating E-File

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

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

To generate e-file, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.

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

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

4. From the Approved Report List, select the required report(s) for which you want to generate e-file.

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

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

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

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

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

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

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Searching E-File Status

The E-File Status tab in File Regulatory Reports page allows for management of the e-files that have been generated. The E-Filed Status search bar allows you to search for E-Files in different statuses and perform any of the following actions:

- Adding Comment
- Uploading Acknowledgment
- Completing the SAR Process

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

1. Login to the OFSRR application as Super User/Admin User.

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

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

Figure 68. E-File List

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

Table 27. E-File Search Bar Field Descriptions

Field Name	Description
Report Name	Enter the name of the regulatory report for which the e-file is generated. Wildcard searches are supported using % as the wildcard symbol.
Alert/Case ID	Enter the Alert or Case ID of the report.
E-File Generated By	Select a user role to search for e-files generated by the selected user.
E-File Generated From Date	Select the e-file generated date from the calendar to display e-files created from this date.
E-File Generated To Date	Select the e-file generated to date from the calendar to display e-files generated until this date.
Jurisdiction	Select the jurisdiction from the drop-down list to display e-files generated for the reports mapped to the selected jurisdiction.

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

Viewing E-File, E-File Details, and E-File Attachments

From e-file list results page, you can view the generated e-file, e-file details and e-file attachments. In the E-file List, the e-files are arranged in ascending order of SAR document number.

To view the generated e-file text file, select a record and click in the e-file column. A file download window prompts to **Open** or **Save** the e-file.

To view the e-file details, select a record and click in the Details column. This e-file details column displays the number of SARs included in the selected e-file within brackets. Click on the Details icon to view the details of all the SARs included in the e-file. These details are displayed below the E-File List.

To view the e-file attachments, select a record and click in the Attachments column. A file download window prompts to **Open** or **Save** the attachments zip file. The attachments zip file contains the .csv file included for a report from the regulatory reports details page.

Downloading the E- File

Once you generate an e-file, the OFSRR application generates a *.txt* file with its content formatted according Financial Crimes Enforcement Network (FinCEN) specifications for electronic filing. You must save this *.txt* file and submit to FinCEN's BSA E-Filing System.

To download the generated e-file, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.

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

3. Click the **E-Filed Status** tab. By default, the E-File List displays a list of e-files in different statuses.

4. Select a record and click in the E-File column. A File Download window displays.

5. Click **Save** to save a local copy of the file to your computer. The E-File is downloaded successfully.

Submitting the E-File at FinCEN

Once the e-file is generated, you must file them with the FinCEN's BSA E-Filing System which in turn generates an acknowledgment or (*XML*) file.

To submit the E-File at BSA E-Filing System, follow these steps:

1. Login to the BSA E-Filing System website.

2. From the left hand side menu pane click **New Reports**, then select **File Batch FinCEN SAR**. An Open a Form window displays.

Figure 69. Open Existing Form Window

3. Click **Open New Form**. A BSA E-Filing SAR Batch Form opens.

BSA E-Filing SAR Batch Form   Version Number: 1.0

The attachments may contain SAR filings and the supporting documents for SAR filings .

The form can only be submitted with one batch file and one attachment file. If more than one file is attached for batch or attachment, an alert window will be displayed and the form cannot be submitted. Only one batch file and one attachments file may be attached to each form. If there is a need to submit multiple batch files, use a separate form for each file. A batch file may contain multiple filings. The attachment file must be a zip file, in which one supporting document at most per filing is allowed. Each supporting document must be a comma separated (.CSV) file and must not exceed 1MB. Please click here for more information.

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this form. Use the "Add File" and "Delete File" buttons on this form instead. This software automatically compresses files during the upload process.

Do not submit any test files into the BSA E-Filing system without first coordinating with the Help desk at 1-866-346-9478 [option 1] or e-mail at BSAEFilingHelp@fincen.gov. The Help Desk regular hours of operation are 8:00 AM - 6:00 PM East Coast Time, Monday - Friday. Please note that the Help Desk is closed on federal holidays.

Filing Name:

Batch File:

[Add File]   [Delete File]   [View/Save File]

Attachments File:

[Add File]   [Delete File]

Number of Forms in Batch:

[Save]   [Validate]   [Submit]   [Print]   [Close]

Affidavit

Under penalties of perjury, I declare that I have examined this transmittal, including accompanying documents, and to the best of my knowledge and belief it is correct and complete. In the case of documents without recipient's identifying numbers, I have complied with the requirements of the law in attempting to secure such numbers from the receipts. I declare that this filing represents all Documents filed during this reporting period except for those transactions reported on paper.

[Sign with PIN]   Title: _____   Date: _____

Figure 70. BSA E-Filing SAR Batch Form

4. In the **Filing Name** field, enter a filing name. There is no specific requirement for the name of the filing. It is recommended that it must be a unique name as this can be used to identify the e-file on the BSA E-Filing site after submission.

5. In the **Batch File** field, attach the e-file that was downloaded from the RR application using the **Add File** button.

   Note: The e-file is in *.txt* format.

6. In the **Attachments File** field, add the e-file attachment .zip file that was downloaded from the RR application along with the E-File.

   Note: This *.zip* file is only available if attachments were associated with any SAR within the E-File.

7. In **Number of Forms in Batch** field, enter the number of individual SAR reports an e-file contains.

8. Click Sign with PIN and enter the details. The following message is added to the header and footer of the document: This form has been signed with a PIN and cannot be altered.

   Note: This is the unique identifier assigned by BSA and FinCEN to ensure only authorized individuals are submitting SAR filings.

9. Click **Save** to save the filled BSA E-Filing SAR Batch Form. Once you save the form, the **Submit** button gets enabled.

10. Click **Submit**. A confirmation window displays the following message: *We have received your submission. Please confirm the following information and retain it for your records. Please track the status of your submission using the 'Track Status' function in the BSA E-Filing system.*

    Note: The status of a submitted E-file can be any of the following:

    ■ Transmitted

    ■ Transmitted with Warnings

    ■ Rejected

    Click the **Accepted with Warning** or **Rejected** status hyperlink in the Status column of Track Status page to view the submission errors on the e-file that are in *Accepted with Warning* or *Rejected* status.

11. Click **OK**. The e-file is successfully submitted at FinCEN.

Saving E-File Acknowledgments from FinCEN

When the BSA E-Filing System Track Status page shows that the submitted file has been acknowledged you will be able to retrieve an acknowledgment file from the BSA E-Filing System Secure Messaging center. This file will be in a *XML* format. You must save this acknowledgment file and upload it into the OFSRR application.

Note: An acknowledgment file will not be generated when an e-filing is rejected.

To save the acknowledgment file from BSA E-Filing System, follow these steps:

1. Login to the BSA E-Filing System.

2. From **Secure Messaging**, select **View Inbox** to display a list of acknowledgments.

3. Click the **Subject** of the required acknowledgment. A BSA E-Filing Secure Message Reply Form displays.
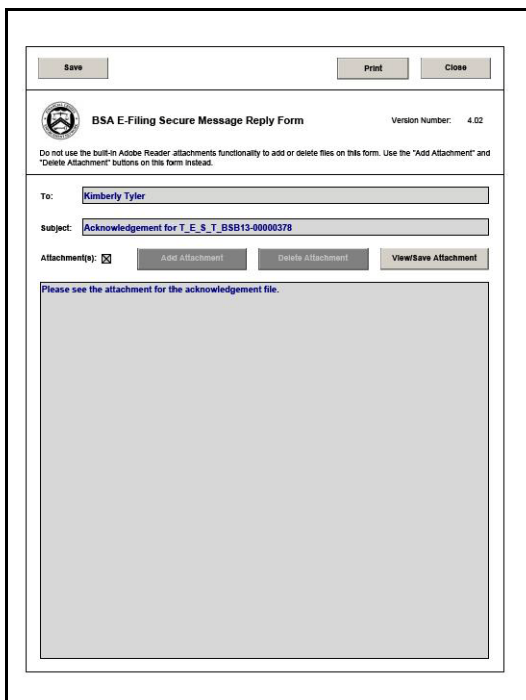

Figure 71. BSA E-Filing Secure Message Reply Form Window

4. Click **View/Save Attachment**. A window opens listing the acknowledgment (XML) file.

5. Click **View/Save** to save the XML file to your computer.

Uploading E-File Acknowledgment into OFSRR Application

After downloading the acknowledgments from BSA E-Filing System, you can update the status of regulatory reports in the OFSRR application. Once you upload the acknowledgment (*XML*) file into the application, the file is then parsed to retrieve the BSA Identifier that has been assigned by FinCEN to each report. This BSA Identifier is then added to the report record.

To upload the acknowledgment, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.

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

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

4. From the E-File List results, select the record for which you want to upload the acknowledgment.

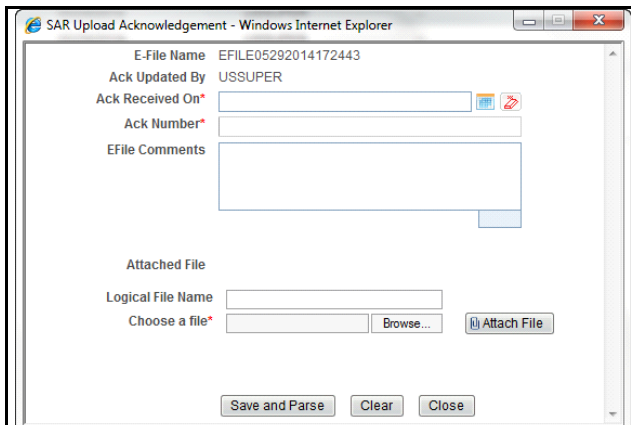5. Click **Upload Acknowledgment**. A SAR Acknowledgment window displays.

Figure 72. SAR Upload Acknowledgment Window

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

7. Click **Choose a File** field and upload the respective *XML* file saved from the BSA E-Filing System.

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

9. Click **OK**.

10. Enter the details in the SAR Acknowledgment window as described in the following table:

Table 28. SAR Acknowledgment Window Field Descriptions

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

11. Click **Save and Parse**. The following message displays: *Update Operation Successful*.

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

Note:

- Once you have uploaded the acknowledgment file for an e-file, a **BSA ID** is associated for the respective report.

- Once you have uploaded the acknowledgment file successfully into the OFSRR application, the *XML* file can be viewed and saved from the e-file list results. To view the acknowledgment file, select a record and click [icon]. A file download window prompts to **Open** or **Save** the *XML* file.

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

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

Rejecting SAR(s) from E-File

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

For SAR(s) that are not rejected, a new e-file is regenerated. If the acknowledgment file is already uploaded, you can complete the SAR process of the regenerated e-file by clicking **Complete SAR Process**.

You can correct/amend a rejected report and submit for Super User/Admin User role's approval. Once the corrected report is approved, you can follow the workflow of filing a regulatory report all over again as explained earlier. Subsequently, while uploading the acknowledgment (*XML*) file received from FinCEN into the OFSRR application, a new BSA Identifier overwrites the previously associated BSA Identifier of the rejected SAR(s).

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

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

1. Login to the OFSRR application as Super User/Admin User.

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

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

4. From E-File List results, select an e-file record that you want to reject.

5. Click to view the e-file details.

6. From Report list page, select the required SAR(s) and click **Reject**. An E-File Rejected window displays.
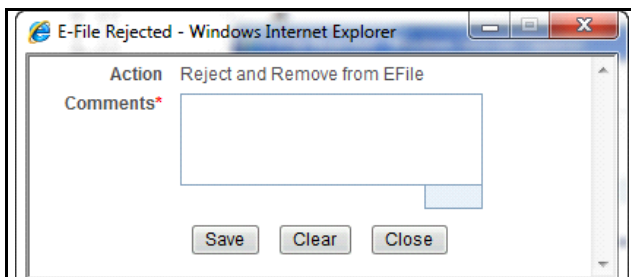

Figure 73. E-File Rejected Window

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

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

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

Completing the SAR Process

Once the status of the regulatory reports reflects the acknowledgment action and the BSA Tracking Identifier, you can complete the suspicious activity reporting process by clicking the **Complete SAR Process**. The status of all regulatory reports included in the e-file then changes to Filed. Once a report is moved to the *Filed* status it cannot be edited.

To complete the SAR process, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.

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

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

4. Search for the report using the E-File Search bar or from the E-File List results.

5. Select the e-file for which you want to complete the SAR process.

6. Click **SAR Process Complete**. The following message displays: *Update Operation Successful.*

7. Click OK.

Note:

- When you try to take **Complete SAR Process** action before performing the **Upload Acknowledgement** action the following warning message displays: *You must first upload an acknowledgement file before taking this action.*

- When you try to take **Upload Acknowledgment** action on a file for which SAR process has already been completed, the following warning message displays: *The SAR process is complete for this file. No further action is permitted.*

Adding Comments to E-File

You can add comments to an e-file record at any time using the Comment button. Adding comments to an e-file does not have any impact upon the reports included in the e-file. If you select to add a Comment to an e-file with an existing report you can either append to the previous comment or replace it completely.

To add comments to an e-file, follow these steps:

1. Login to the OFSRR application as Super User/Admin User.

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

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

4. From E-File List results, select an e-file record for which you want to add a comment.

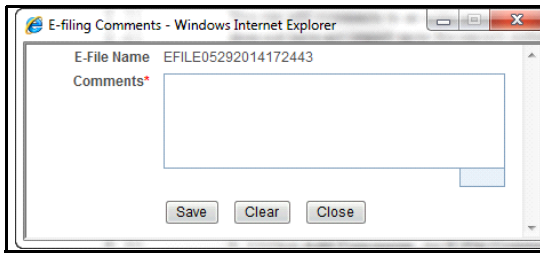5. Click **Add Comments**. An E-File Comments window displays.

Figure 74. E-Filing Comments Window

6. Enter comments in the comments field and click **Save**. The following message displays: *Update Operation Successful.*

   Note: The comments box in the E-filing Comments window allows entering a maximum of 250 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 250 characters in the Comments box, the following message displays: *Number of characters exceeded.*

7. Click **OK**. The E-File Comments window displays.

8. Click **Close**. The E-File List results page displays.

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