

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

Release 8.0.5.0.0
October 2017



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About This Guide

SG STR – Singapore Suspicious Transaction Report.

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

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

Naming Discrepancies in this Guide

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

Who Should Use this Guide

The Oracle Financial Services Compliance Regulatory Reporting User Guide SG STR, Release 8.0.1 is designed for use by a variety of Oracle Financial Services users. Their roles and responsibilities, as they operate within the CRR application, include the following:

- **Analyst:** This user is responsible for updating the data related to the report through UI screens and adding comments to the report. This user should send each report to the supervisor for further action (such as Approve, Reject, or Close).
- **Supervisor:** This user is responsible for taking action on the reports submitted by the Analyst, such as Approve, Close, and Reject, and adding comments to the report. This user should verify all the details of the report before action is taken which files the report with the Regulatory Authorities.
- **Admin User:** This user is responsible for assigning the user roles and privileges.
- **Super User:** This user is responsible for updating the data related to the report through UI screens, approving and closing reports, generating reports, filing the reports from the list of approved reports, and adding comments.
- **System/Application Administrator:** This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.

Scope of this Guide

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

This guide explains how the User Interface (UI) in the CRR application is organized and how the application uses the data entered to generate the Excel report defined by the regulatory body.

How this Guide is Organized

The Oracle Financial Services Compliance Regulatory Reporting User Guide SG STR, Release 8.0.1, includes the following topics:

- Chapter 1, *About Compliance Regulatory Reporting*, describes the default page setting and Regulatory Report workflow in CRR login process.
- Chapter 2, *Singapore STR*, describes how to search, view, and edit the regulatory reports.
- Chapter 3, *Report Summary*, describes the life cycle of the report, and details the suspicious transaction report analysis.
- Chapter 4, *User Attributes*, describes how to map and maintain the security attributes for each user in CRR.

Where to Find More Information

For additional information about the CRR 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 CRR data model and provides in-depth information on the data handling of the CRR system.
- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide*: This guide explains how and in what format the source business data should be provided to the CRR application through a web service for the Singapore STR report type.
- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*: This guide provides step-by-step instructions for installing the CRR on an existing Oracle Financial Services Behavior Detection Platform hosted in a Windows environment.
- *Oracle Financial Services Compliance Regulatory Reporting Administration Guide SGSTR*: This guide describes comprehensive activities to be done by the OFSAAI Administrator in the CRR. 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
<i>Italics</i>	<ul style="list-style-type: none"> ● Names of books, chapters, and sections as references ● Emphasis
Bold	<ul style="list-style-type: none"> ● Object of an action (menu names, field names, options, button names) in a step-by-step procedure ● Commands typed at a prompt ● User input
Monospace	<ul style="list-style-type: none"> ● Directories and subdirectories ● File names and extensions ● Process names ● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

About Compliance Regulatory Reporting

This chapter explains the Oracle Financial Services Compliance Regulatory Reporting (RR) Login and User access process and covers the following topics:

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

When the RR user selects recommend SG STR action on an Alert or Case from the Oracle Financial Services User Interface (UI), the data is passed to RR through the web service and a report is opened in the RR application. Once the report is opened in the RR, the same details are updated within Oracle Financial Services.

Users can then work on open or rejected reports and send them for approval.

The user with the Supervisor role may do the following:

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

Note: Every action taken on a report is recorded in the Audit Tab of the Regulatory Report Actions. Please refer to the section Audit, for more information.

Introduction of Compliance Regulatory Reporting

As a part of Regulations and Compliances, it is required by the organization to perform appropriate analysis, and report any suspicious activities that may lead to fraud and money laundering to the Regulatory Authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

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

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

regions, and the data elements that are required on these reports, the approach to satisfying the end goal is to provide a Compliance Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

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

About RR Login

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

In the Oracle Financial Services Behavior Detection UI, the Compliance Regulatory Reporting link is enabled for users who have access to the RR application. Simply click the Compliance Regulatory Reporting link to open the RR login page in a pop-up window. This allows you to log into the RR application (Figure 2).

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

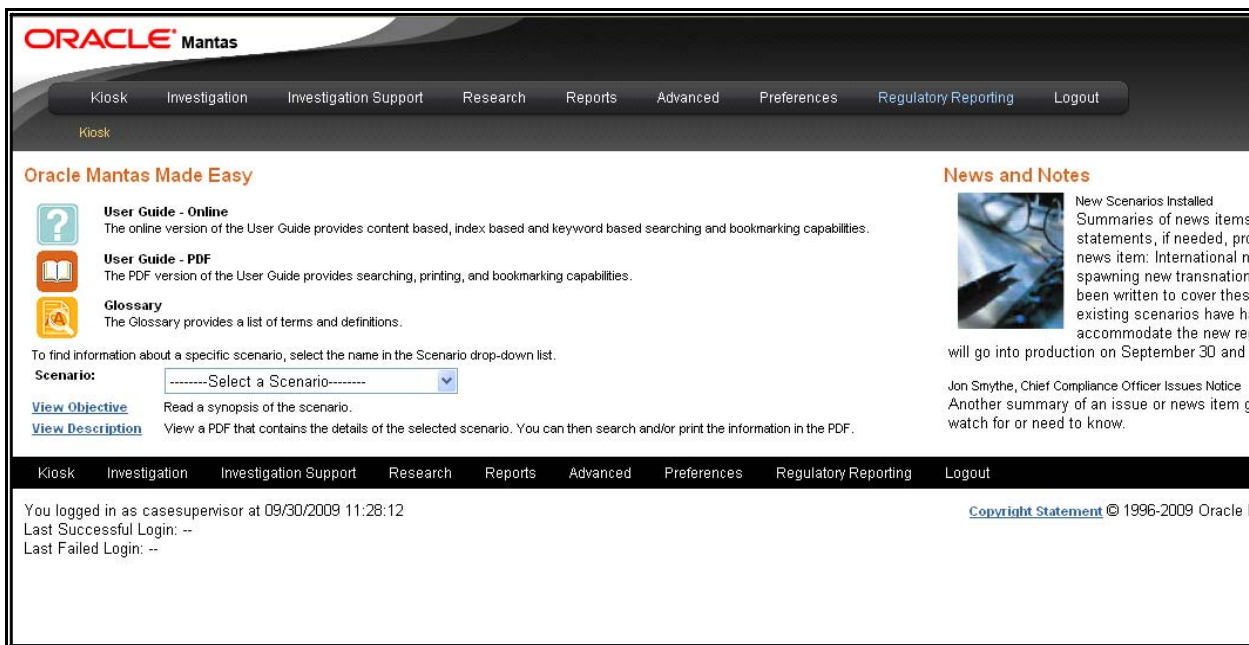


Figure 1. Oracle Financial Services UI

Click the **Compliance Regulatory Reporting** link in the Oracle Financial Services Behavior Detection UI page to open the Oracle Financial Services RR login page in a pop-up window. This allows you to log into the RR application (Figure 2). For information about changing your password, refer to the *Oracle Financial Services Compliance Regulatory Reporting Administration Guide SGSTR*.

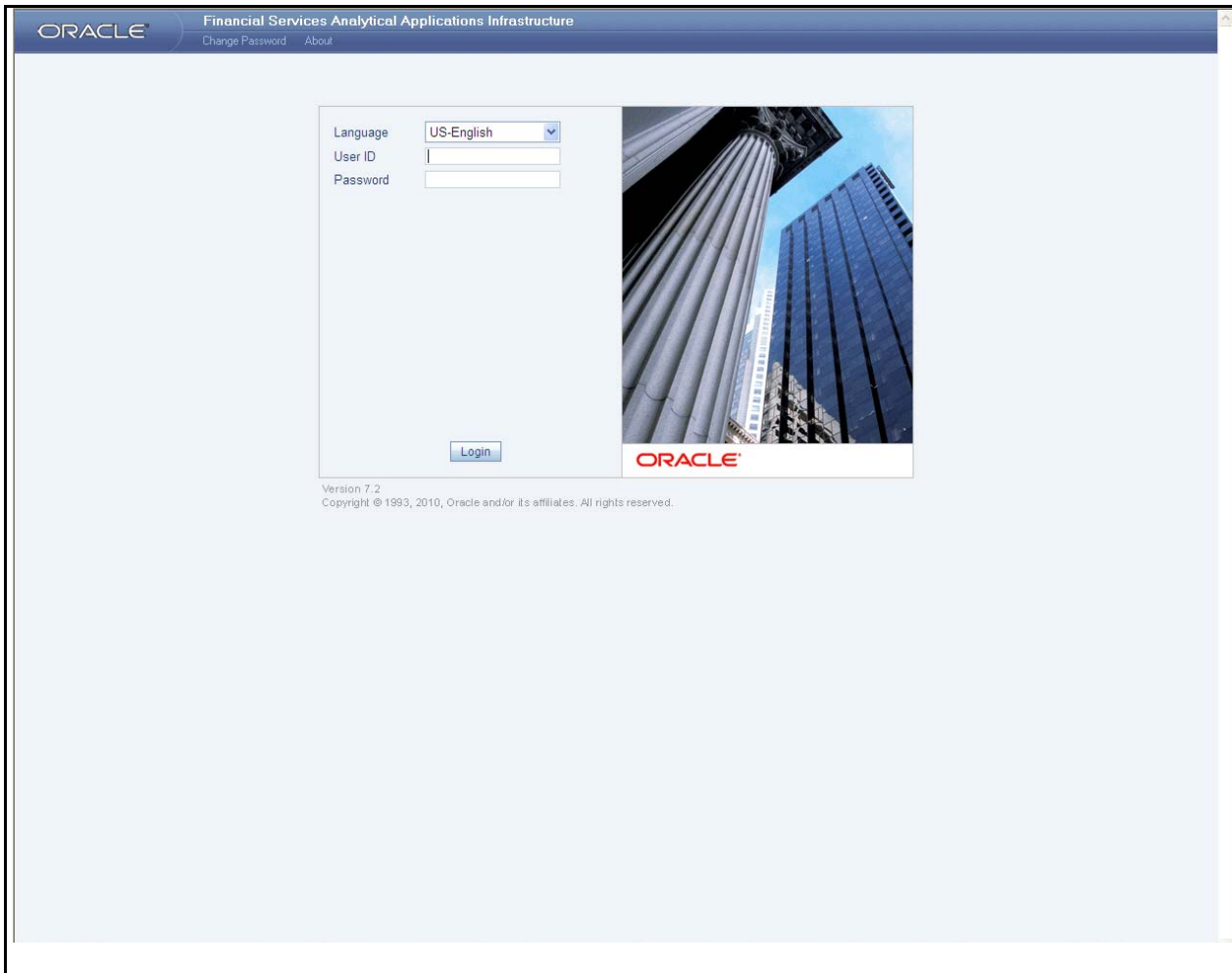


Figure 2. RR Application Login

To log into the RR Application, follow these steps:

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

The System Administrator user can see all links on the Application menu, other users can see only the Compliance Regulatory Reporting link. Users will see the links as per their roles and privileges.

Figure 3 and Figure 4 shows the Home Page for various users.

Select the information domain to see the data required, then click the Compliance Regulatory Reporting link which takes you to the application page (Figure 5).

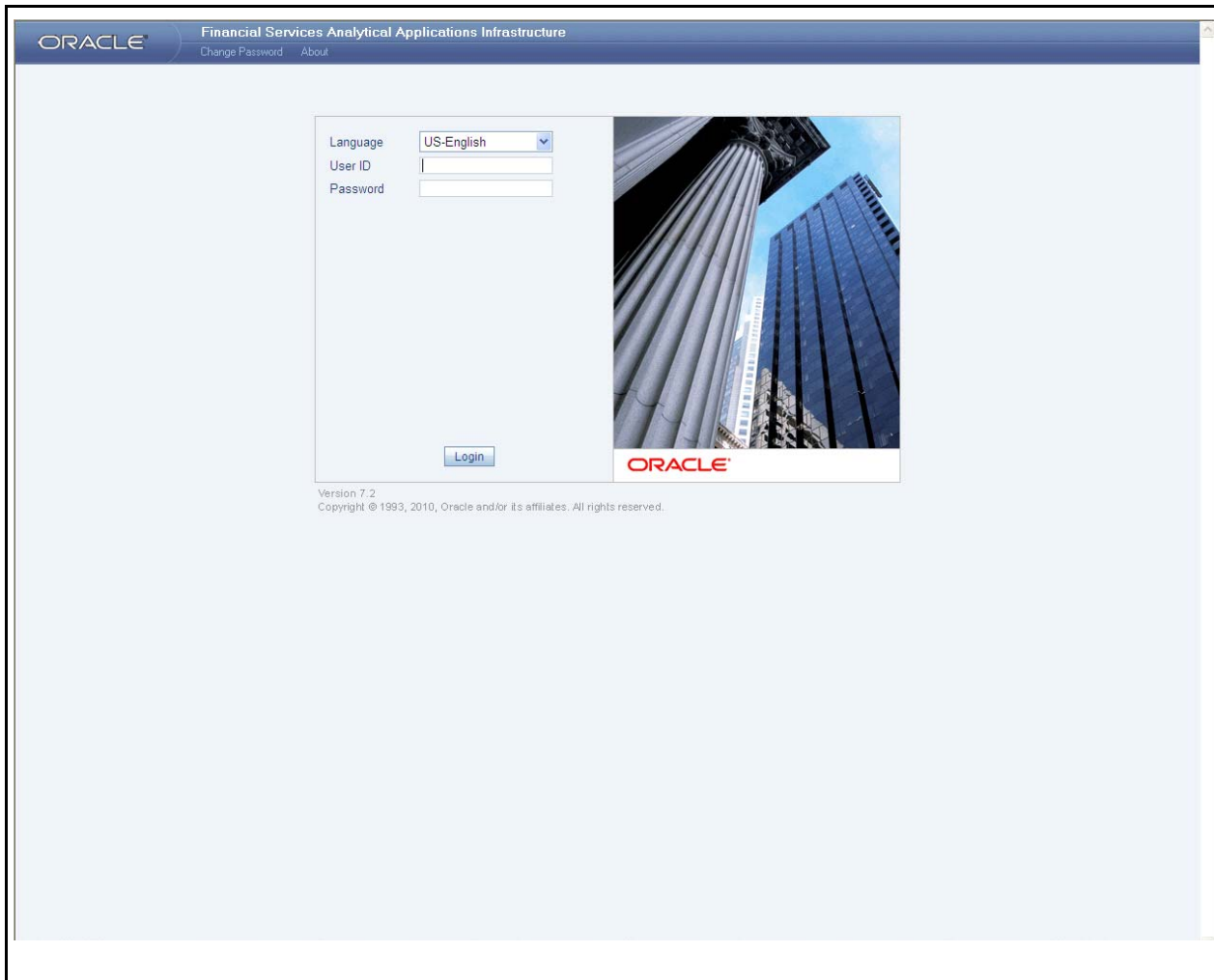


Figure 3. Home Page for all the Roles (except for the RR System Administrator)

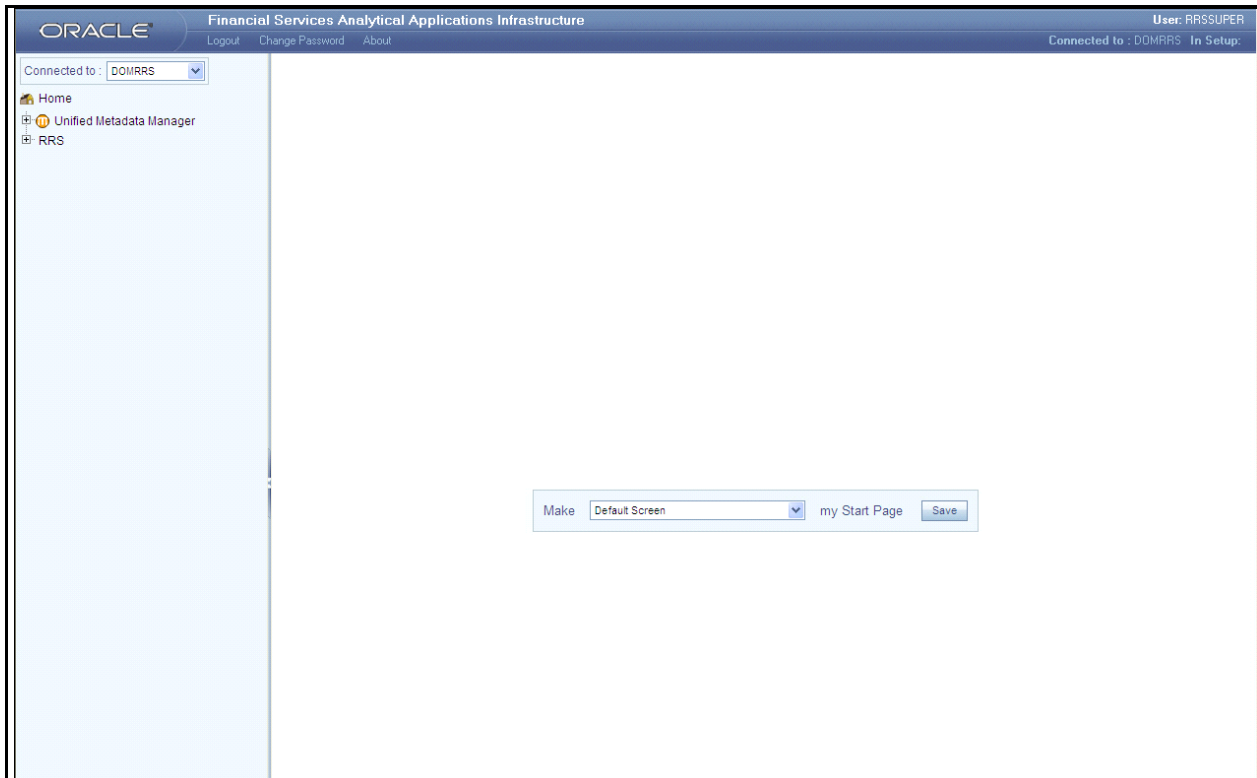


Figure 4. Home Page for the RR System Administrator Role

Setting the Default Page

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

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

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

About RR Login
Chapter 1—About Regulatory Reporting

The screenshot displays the Oracle Financial Services Regulatory Reporting application interface. At the top, the Oracle logo and 'Financial Services Regulatory Reporting' are visible. A user welcome message 'Welcome, BRSSUPER' and the date 'Wednesday, December 7, 2011' are shown in the top right. The navigation bar includes 'Home', 'Regulatory Reports - SGSTR', and 'User Attributes'. Below this is a search section titled 'Regulatory Report Search' with fields for 'Report Name', 'Alert/Case ID', 'Jurisdiction', 'Created From Date', and 'Created To Date'. A 'Go' button and a 'Reset' link are also present. The main content area is titled 'Report List' and contains a table with 13 rows of data. Each row includes a link to the report name, report type, alert/case ID, focus name, jurisdiction, created date, created by, status, and an 'Excel Report' icon.

Regulatory Report Name	Report Type	Alert/Case ID	Focus Name	Jurisdiction	Created Date	Created By	Status	Excel Report
10485-11302011072932752	STR	10485	AC JOHNSON	AMEA	30/11/2011	test_supervisor	Report Gener...	
10515-11292011105313538	STR	10515	AC CHALSIA	AMEA	29/11/2011	test_supervisor	Report Gener...	
10485-11292011105306894	STR	10485	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Closed	
10472-11292011105259610	STR	10472	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	
10453-11292011105243341	STR	10453	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Open	
10440-11292011105237408	STR	10440	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	
13489-11232011094447586	STR	13489	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Report Gener...	
13488-11232011094409415	STR	13488	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Closed	
13487-11232011094346702	STR	13487	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Report Gener...	
13542-11222011075001108	STR	13542	AC JOHN	AMEA	22/11/2011	test_supervisor	Closed	
13541-11222011074955929	STR	13541	AC RAGHAV	AMEA	22/11/2011	test_supervisor	Report Gener...	
13540-11222011074949145	STR	13540	AC SARANSH	AMEA	22/11/2011	test_supervisor	Open	
13539-1122201107494251	STR	13539	AC HARINTON HARMONEY	AMEA	22/11/2011	test_supervisor	Open	

Figure 5. RR Application Page

Regulatory Report Workflow

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

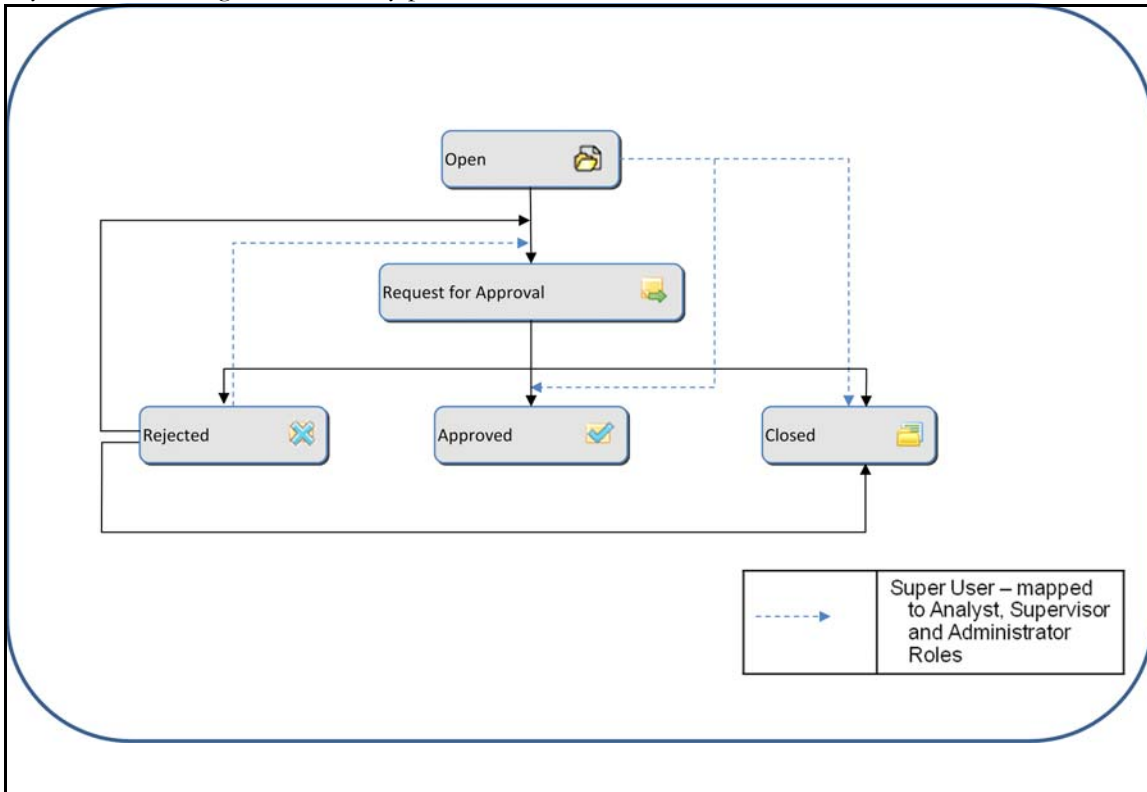


Figure 6. Compliance Regulatory Reporting Workflow

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

The user can then work on open or rejected reports and send them for approval.

The user with the Supervisor role may do the following:

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

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

For more information on audit, refer to the section *Audit*, on page 33.

User Access

The following user roles are defined in the Oracle Financial Services RR:

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

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

Table 2. User Role - Function Mapping

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

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

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

RR Application Menu

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

Regulatory Reports

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

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

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

Icons Used

Table 3 details the icons used in the application.

Table 3. RR Icons
















Icon Used	Convention Used	Description
	Search	Displays Search Results for the selected search criteria.
	Clear and Refresh	Clears the selections and values entered in the container and refreshes the screen to show previous values.
	Drop Down List	Displays the possible values that can be selected for the field.

Table 3. RR Icons

	Calendar	Opens the calendar to select the date.
	Clear	Clears a selection made on the calendar or the Hierarchy Browser.
	Excel	Opens the Excel file generated for the report. This can also be saved to a local area.
	Edit	Opens the report in the Edit mode, if the report is not locked by another user.
	Add	Adds a new entry with respect to the context.
	Close	Closes the container after user confirmation.
	Save	Saves any changes made, after successful validation of the fields.
	Delete	Deletes the selected records after user confirmation.
	Draft Report	Opens the Draft Excel report for the report being viewed. The Draft Report button will be enabled only when the report status is in Open, Request for Approval and Closed
	Close	Closes the report after successful validation for unsaved data.
	Logout	Allows the user to log out of the application.
	Details	Displays details for the selected report.

Regulatory Reports- User Interface

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

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

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

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

Regulatory Report Search

Users can search the Report based on the following criteria:

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

Click **Clear** on the Regulatory Report Search to clear all the selections made and display a blank search container (Figure 8).

Regulatory Report List

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

View/Edit Reports

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

Export to Excel

Click **Export to Excel** icon present on the Regulatory Report List grid header to export all reports in the Regulatory Report List to a new excel spreadsheet. A new prompt on the screen (Figure 8) displays. Make your selection as mentioned below..

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

Click on **Export** button. All the data under Regulatory Report List is populated in a new Excel spread sheet.

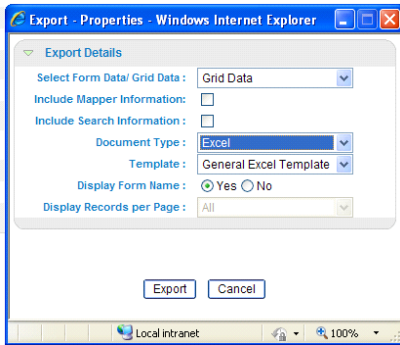



Figure 7. Export Properties Dialog Box

View Excel Report

View the Excel file generated for each report by selecting this  icon. The pop-up window prompts you to either open the file or save the file in a local area. The Excel attachment icon will be enabled only for a report in Approved status.

Regulatory Report Name	Report Type	Alert/Case ID	Focus Name	Jurisdiction	Created Date	Created By	Status	Excel Report
10485-11302011072932752	STR	10485	AC JOHNSON	AMEA	30/11/2011	test_supervisor	Report Gener...	
10515-11292011105313536	STR	10515	AC CHALSI	AMEA	29/11/2011	test_supervisor	Report Gener...	
10485-11292011105306894	STR	10485	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Closed	
10472-11292011105259510	STR	10472	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	
10453-11292011105243241	STR	10453	AC JOHNSON	AMEA	29/11/2011	test_supervisor	Open	
10440-11292011105237408	STR	10440	AC THOMSON	AMEA	29/11/2011	test_supervisor	Open	
13489-11232011094447586	STR	13489	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Report Gener...	
13488-11232011094409415	STR	13488	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Closed	
13487-11232011094348702	STR	13487	AC MALAAROR	AMEA	23/11/2011	test_supervisor	Report Gener...	
13542-11222011075001106	STR	13542	AC JOHN	AMEA	22/11/2011	test_supervisor	Closed	
13541-11222011074955929	STR	13541	AC RAGHAV	AMEA	22/11/2011	test_supervisor	Report Gener...	
13540-11222011074949145	STR	13540	AC SARANSH	AMEA	22/11/2011	test_supervisor	Open	
13539-1122201107494251	STR	13539	AC HARINTON HARMONEY	AMEA	22/11/2011	test_supervisor	Open	

Figure 8. Regulatory report Search and List

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

- When accessing the report in View mode, the List of Documents grid displays, but not the Attach Document container. The attached documents can be viewed by clicking [View>About the Report Summary Page](#)
- Action Bar
- Report Context
- Reporting Bank Information
- Customer Particulars
- Customer Relationship Information
- Suspicious Transaction Information
- Adding Document
- Other Relevant Information
- Audit

Note: When accessing the report in View mode, the List of Documents grid displays, but not the Attach Document container. The attached documents can be viewed by clicking [View](#).

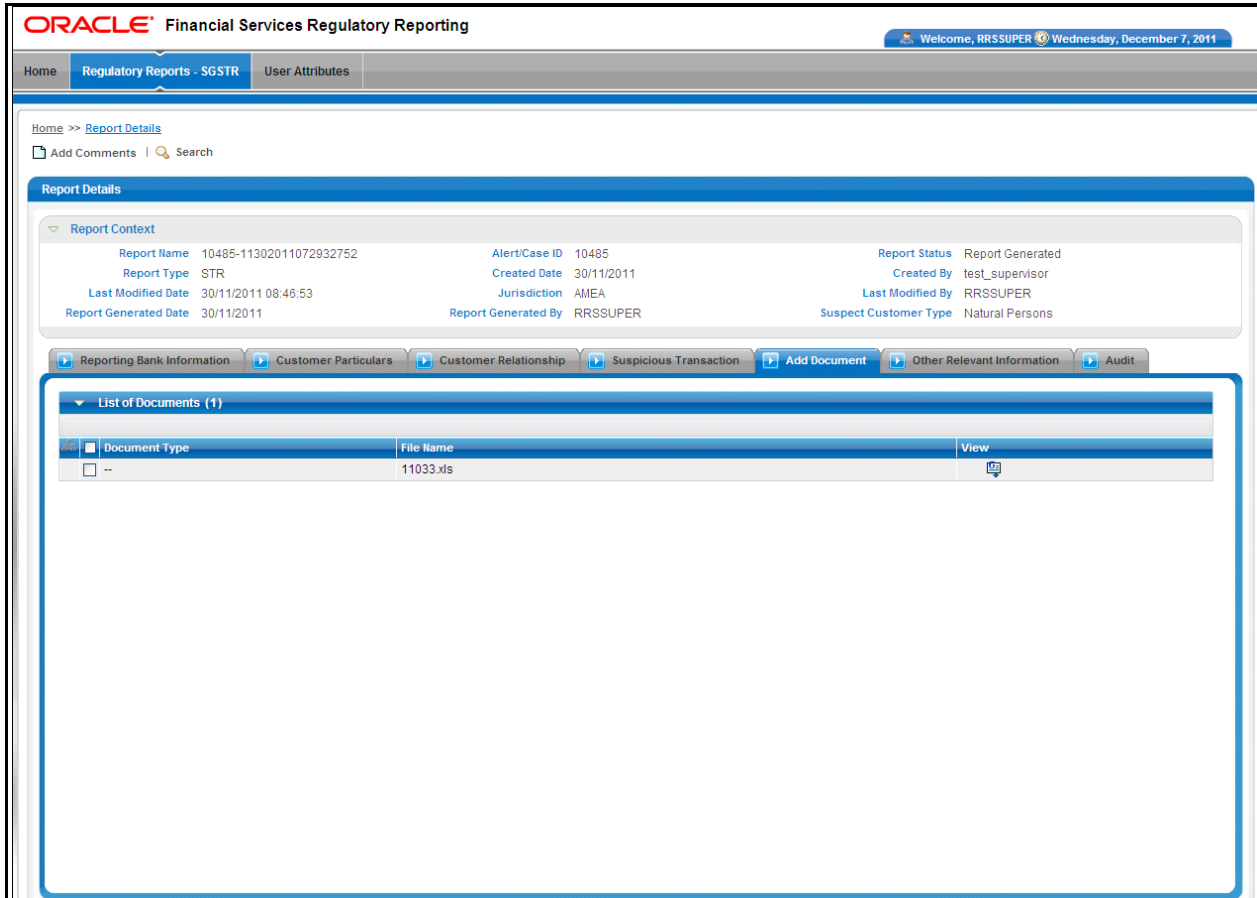


Figure 9. Add Document – View Mode

About the Report Summary Page

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

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

- **Actions bar** displays the various action that can be taken on the report. This list of action buttons is updated based on the logged in user and the report status.
- **Report Context** displays information about the report, such as which alert the report is being created for, the report status, and which user who has modified the information.
- **Report tabs** display the related information that needs to be submitted with the regulatory authorities.

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

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

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

Open the report in the Edit mode. After editing the information, click **Save** or **Reset**.

The Report tab information is populated with the information passed from Oracle Financial Services Alert and Case Investigation Solution to RR.

Action Bar

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

Table 4. Action Bar

Action	Report Status	User	Description
Request for Approval	Open/Rejected	Analyst	This action is taken once the report details have been updated and it is sent for approval.
Approve	Request for Approval/ Open	Supervisor/Super User	This action is taken once the report is reviewed and the Supervisor/Super User determines it is ready to be filed.

Table 4. Action Bar

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

Report Context

Report Context (Figure 10) displays the following information related to the report:

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

Note: The Report Context is visible for all tabs when in Report Summary.

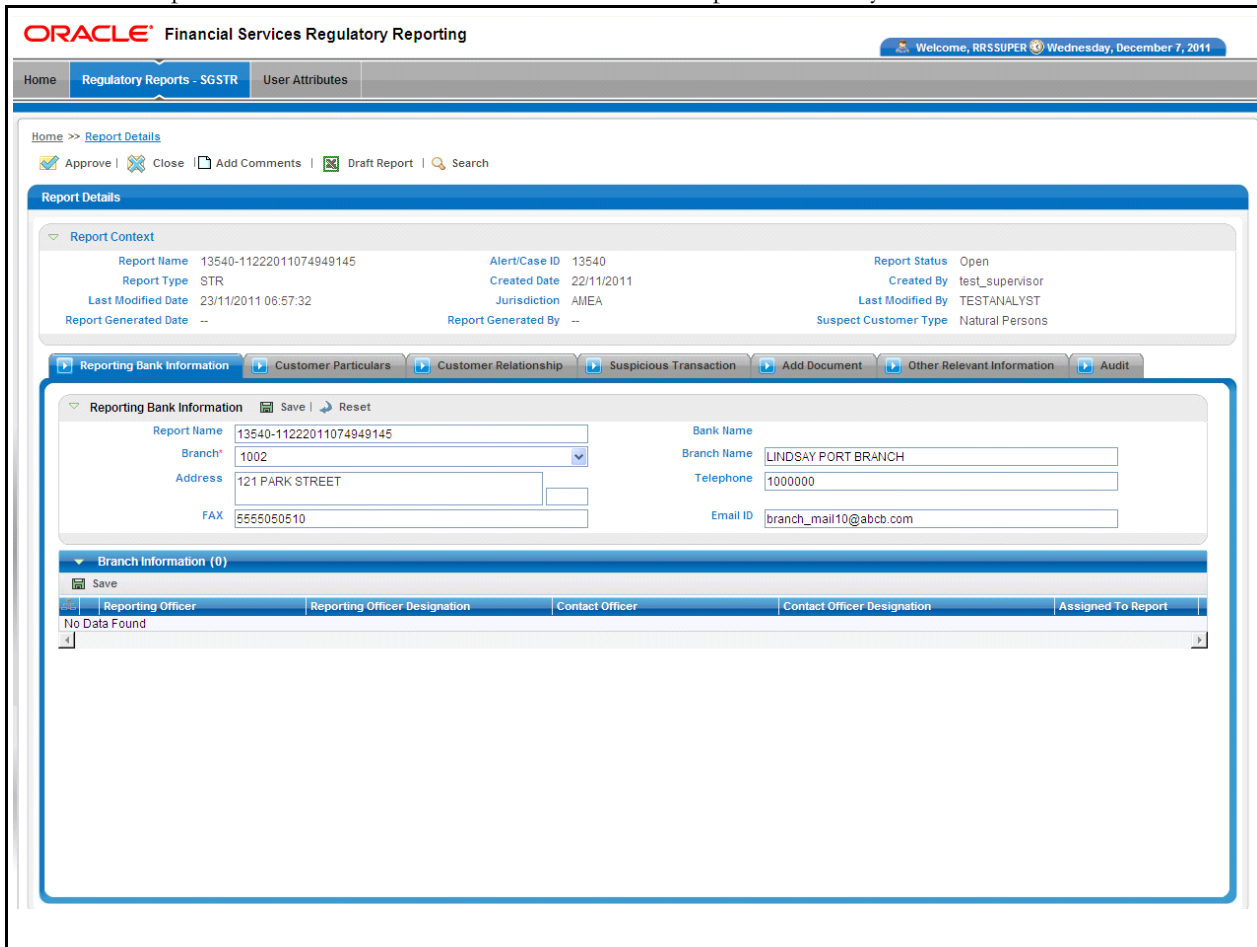


Figure 10. Report Context

Reporting Bank Information

This tab displays the following information:

- Reporting Bank information
- Branch Information

● Reporting Officer

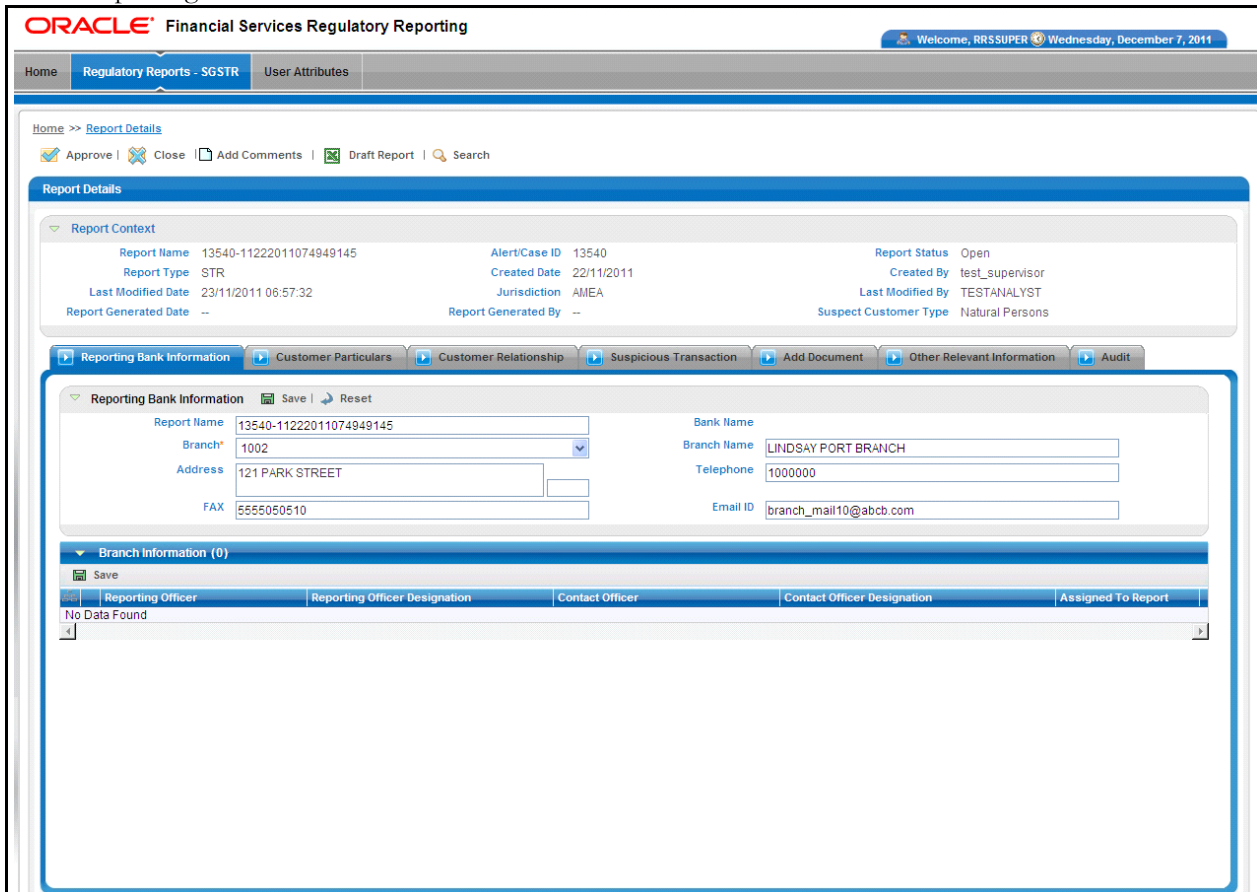


Figure 11. Reporting Bank Information - Edit mode

Reporting Bank Information - Edit Mode

The Reporting Bank Information container (in edit mode) provides the following details:

- Report Name
- Bank Name
- Branch (Marked as Mandatory)
- Branch Name
- Address
- Telephone
- Email ID
- FAX

Select the **Branch Code** where suspicious activity has taken place, from the drop-down list. Other branch related information fields are auto populated. The Report Name is editable, giving the user flexibility to identify the report by the name user wishes to provide (Figure 11).

Save

Click **Save** to save the data entered. The page is refreshed to display the saved details of the Branch Information.

Reset

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

Reporting Bank Officer Information - Edit Mode

Every branch has specified Reporting Officers. The Reporting Officers for the branch are listed in the Bank Reporting Officer list for the branch selected earlier. Select the desired reporting officer to be tagged to the report or add the details of the contact officer for the report request (Figure 11).

Add

Click **Add** to open a pop-up window. Select the address type and fill the related information. Once this is saved, a new row is added to the existing grid.

Select the row on the Reporting Officer grid. This makes the Contact Officer and Contact Officer Designation columns editable. If the Reporting Officer is to be contacted for further investigations on the report, click **Save**, otherwise enter the Contact Officer or Contact Officer Designation and click **Save**.

Reporting Bank Information - View Mode

All information in this tab is in read-only mode. The Save and Reset buttons are hidden.

The Branch Officer Information grid lists all the reporting officers allocated for the branch saved in the Reporting Bank Information container. The grid lists details such as the Reporting Officer selected for the report and details of the Contact Officer. The Reporting Officer selected for the report is flagged in the Assigned to Report column as **Y** (Figure 12).

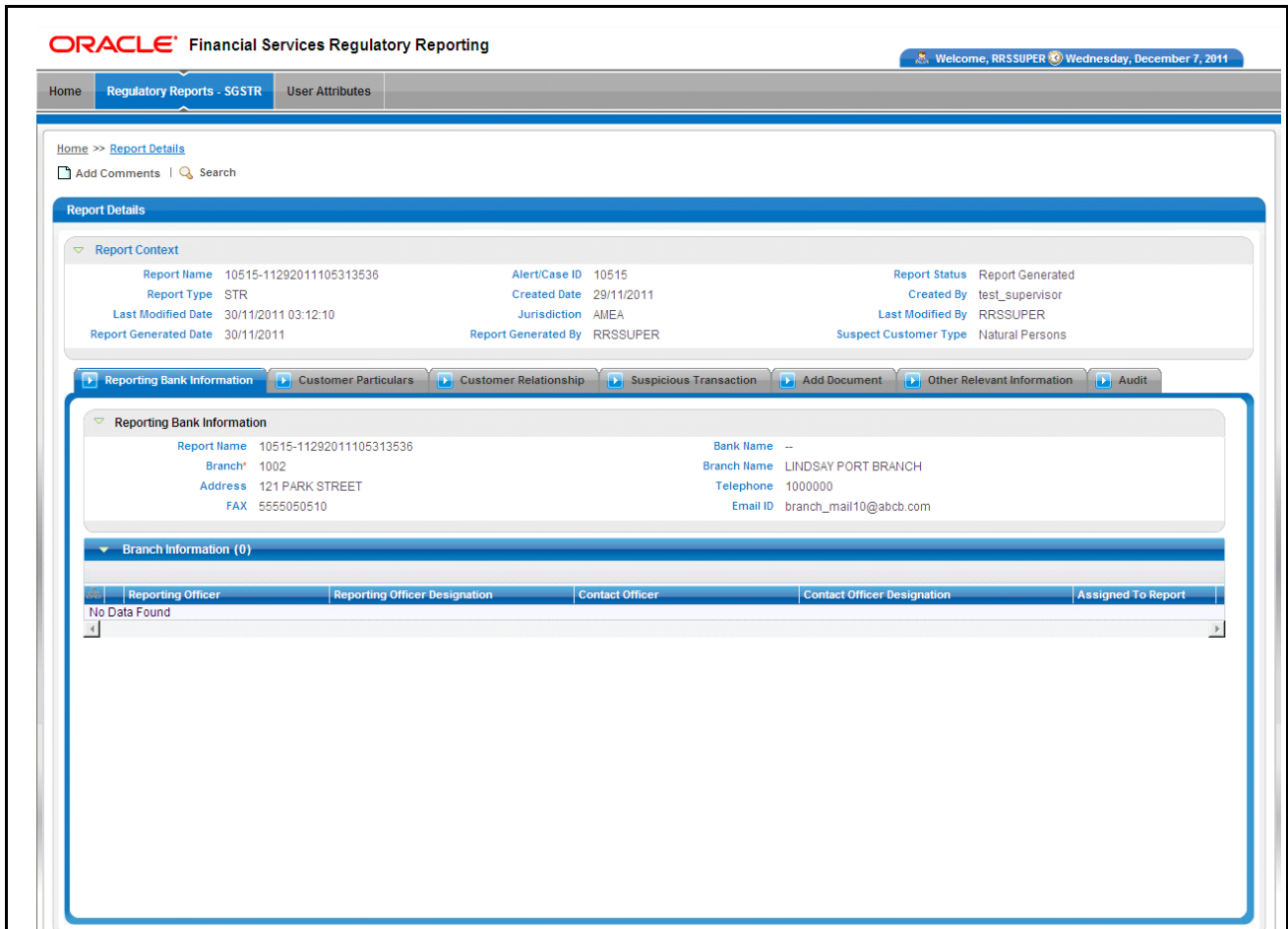


Figure 12. Reporting Bank Information – View Mode

Customer Particulars

The Suspect information that pertains to the report request is available in this tab. For SG STR, this information is categorized for different types of the customers. The Customers are categorized as listed below:

- **Individual**- All the information for this type of suspect is read-only (Figure 13).
- **Partnerships** -The only editable field for this type of customer is Name of Partners/ Trustees (Figure 14).
- **Corporate** -The only editable field for this type of customer is Name of CEO (Figure 15).

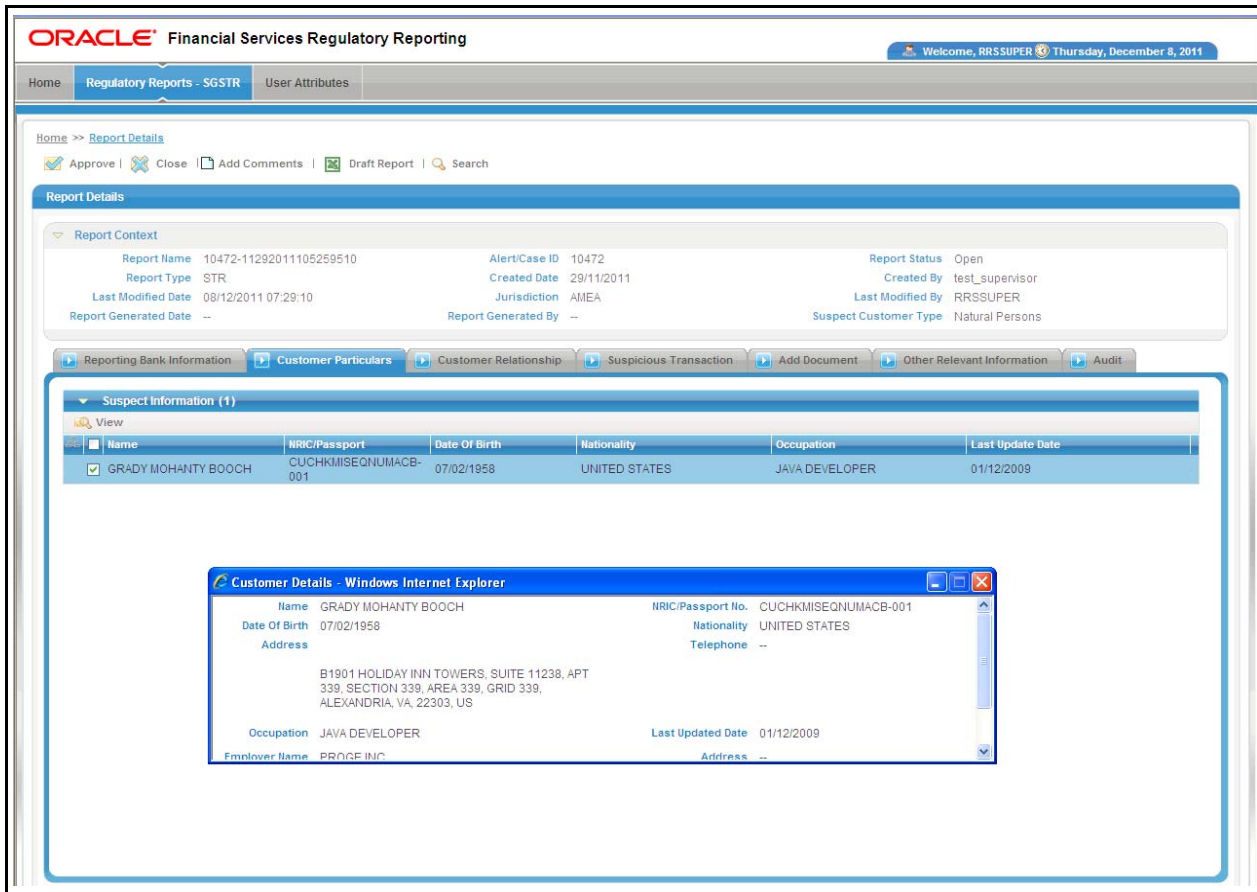


Figure 13. Customer’s Particular Page - Individual Customer

Note: Corporate Customers – The only editable field in this screen is Name of CEO.

The user enters the CEO name in this field. Click **Save** to save the details entered. Click **Reset** to reset the edited partner’s field of the Suspect Information to the last saved selection. The page is refreshed to display the last saved details of the Suspect.

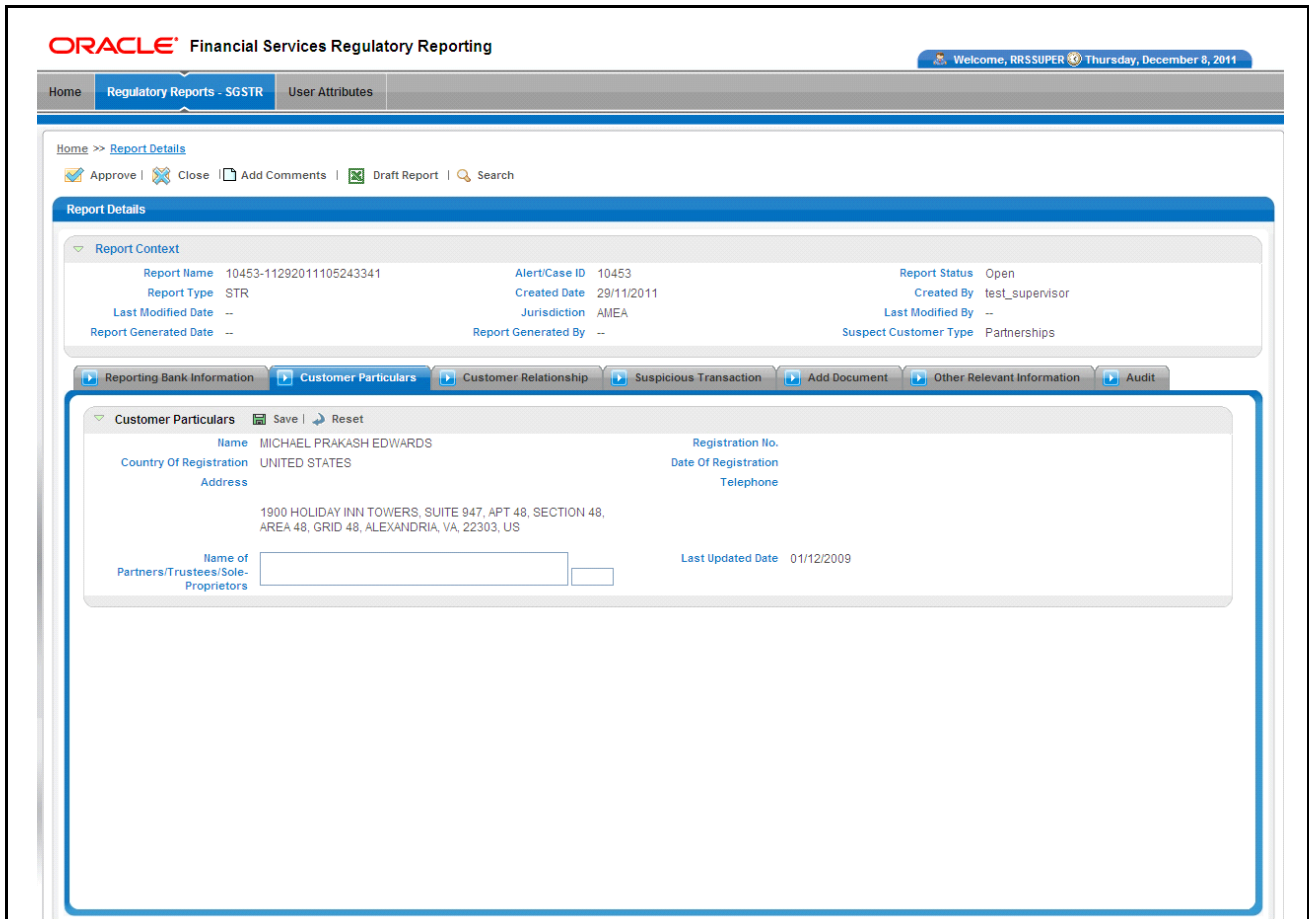


Figure 14. Customer's Particular Page - Partnerships Customer

Note: Partnerships – The only editable field in this screen is Partners/Trustees/Sole Proprietors.

Click **Save** to save the details entered. Click **Reset** to reset the edited partner's field of the Suspect Information to the last saved selection. The page is refreshed to display the last saved details of the Suspect.

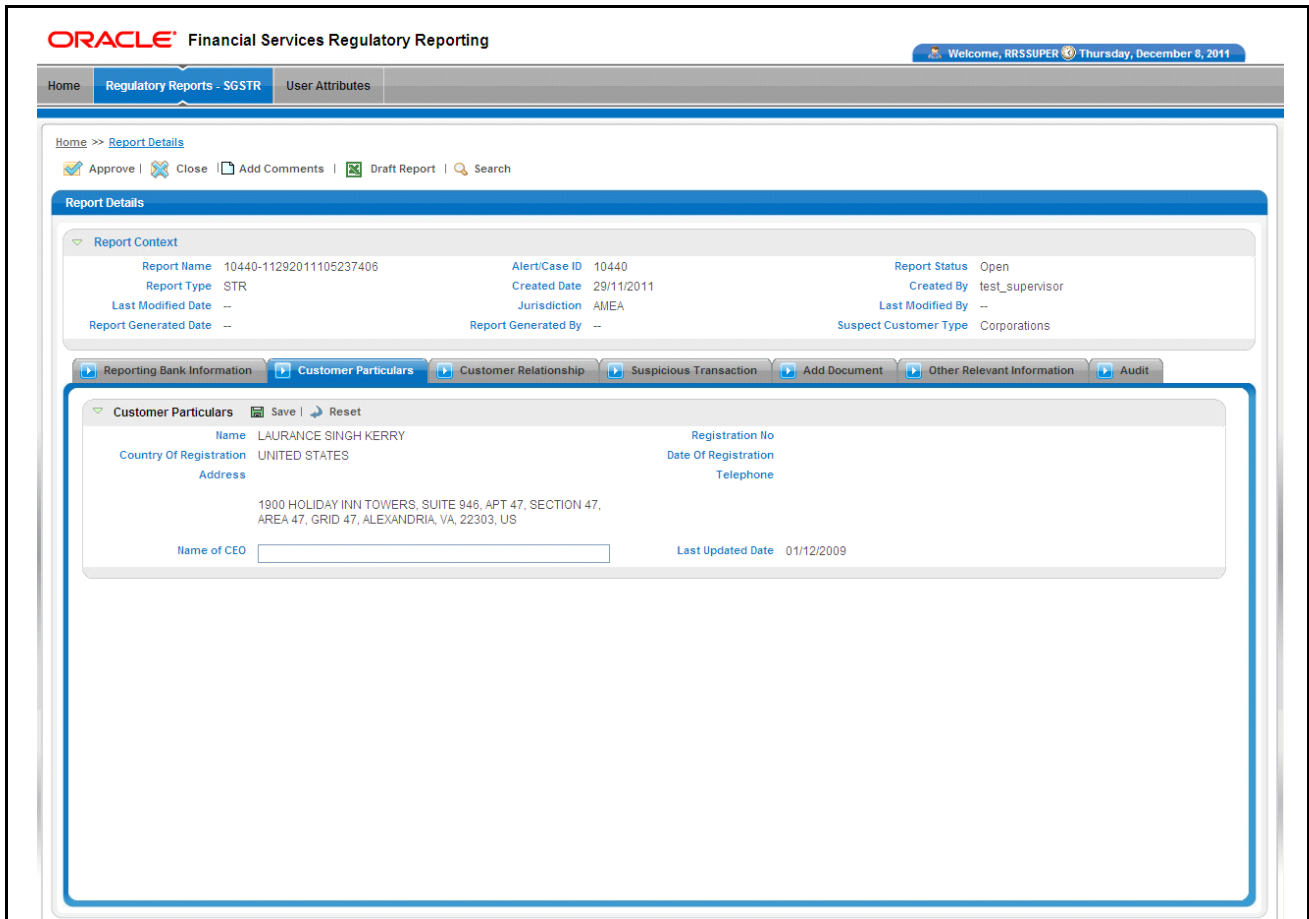


Figure 15. Customer's Particular Page - Corporate Customer

Customer Relationship Information

The Business Relationship with Customer Information container displays accounts for the customer. The information in this grid is read-only. It provides the following details:

- Bank Account Number
- Type of Account
- Account Opening Date
- Account Balance
- Balance as of Date
- Other business relation

Individual

This tab is non-editable for the individual customer type (Figure 16).

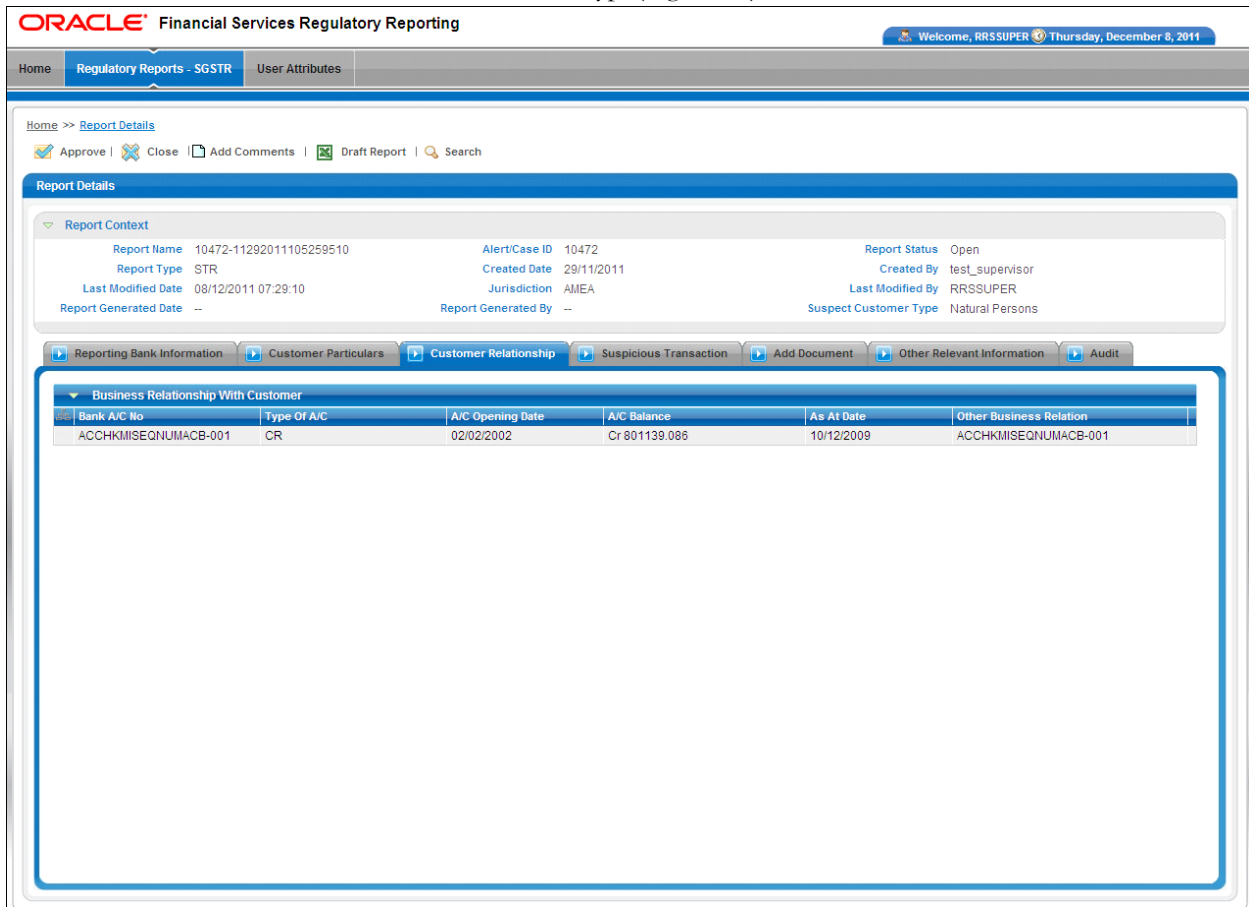


Figure 16. Customer Relationship Information - Individual Customer

Partnerships/Corporate

Add the Authorized Signatories Details, when the customer type is not an individual

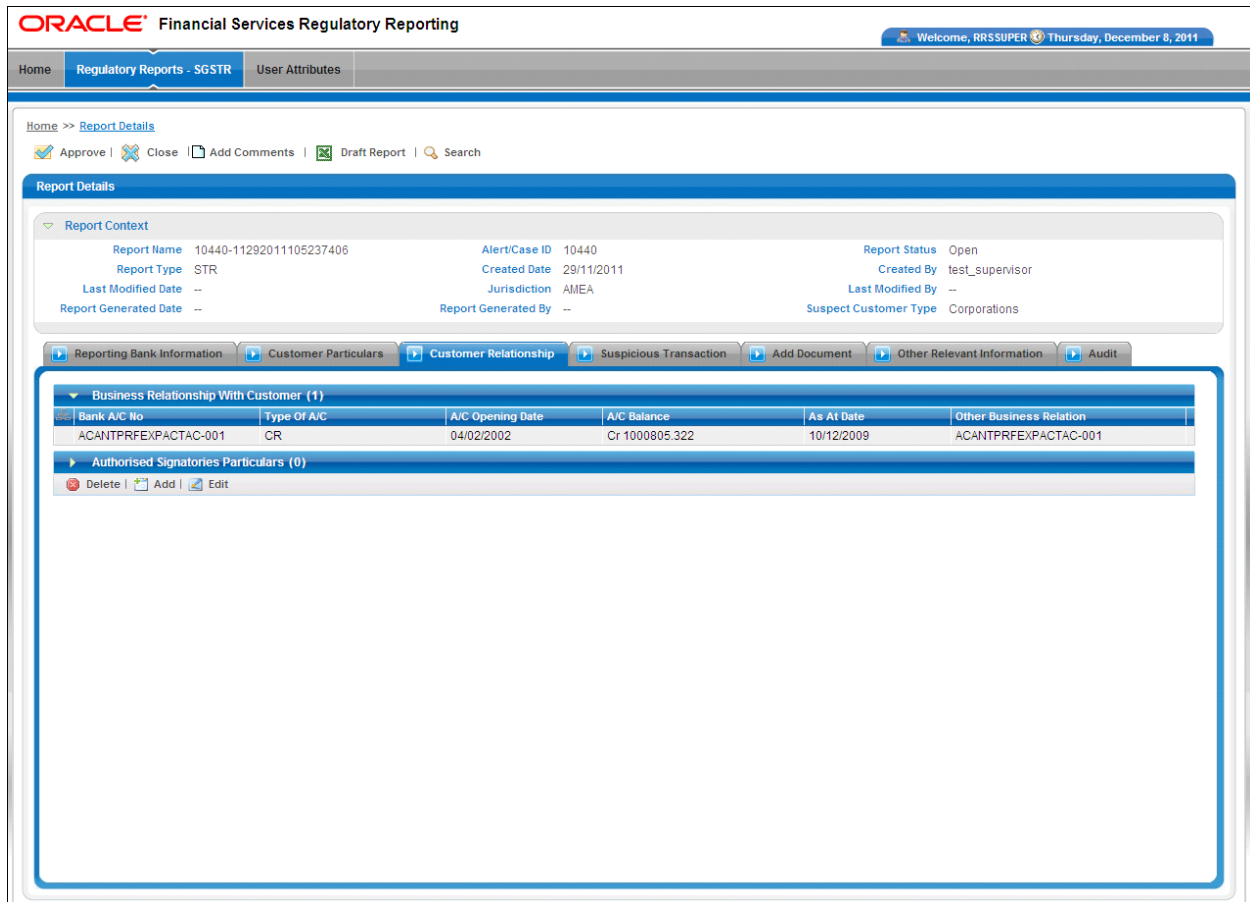


Figure 17. Authorized Signatories – Edit Mode

Authorized Signatories Particulars - Edit Mode

The Authorized Signatories Particulars grid (in edit mode) displays the following information:

- Signatory Name
- Date of Birth
- Nationality
- NRIC/Passport Number
- Home Address

The Add, Edit and Delete buttons are enabled (Figure 17)

Add

Click Add to open a pop-up window. The user enters the authorized signatory type and fills in the related information. Once this is saved, a new row is added to the existing grid. The Employer Name and Employer Address fields are not available for an authorized signatory when the suspect involved is a corporate institution. Click **Save** to save the details entered.

Edit and Save

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

Reset

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

Delete

To delete the Authorized Signatory, select the updated row and click **Delete**.

Authorized Signatories Particulars - View mode

All the information in the Authorized Signatory - View Mode is in read-only mode. The Add, Edit, and Delete buttons are hidden(Figure 18).

The screenshot displays the Oracle Financial Services Regulatory Reporting interface. At the top, the Oracle logo and 'Financial Services Regulatory Reporting' are visible. The user is logged in as 'RRSSUPER' on Thursday, December 8, 2011. The main content area is titled 'Report Details' and shows the following information:

- Report Context:**
 - Report Name: 10485-11292011105306994
 - Alert/Case ID: 10485
 - Report Status: Closed
 - Report Type: STR
 - Created Date: 29/11/2011
 - Created By: test_supervisor
 - Last Modified Date: 30/11/2011 07:23:32
 - Jurisdiction: AMEA
 - Last Modified By: RRSSUPER
 - Report Generated Date: 30/11/2011
 - Report Generated By: RRSSUPER
 - Suspect Customer Type: Natural Persons

Below the report context, there are several tabs: Reporting Bank Information, Customer Particulars, Customer Relationship, Suspicious Transaction, Add Document, Other Relevant Information, and Audit. The 'Customer Relationship' tab is selected, showing a table titled 'Business Relationship With Customer':

Bank A/C No	Type Of A/C	A/C Opening Date	A/C Balance	As At Date	Other Business Relation
ACCHNGFBDISBCU-001	CR	31/12/2008	Cr 850000	10/12/2009	ACCHNGFBDISBCU-001

Figure 18. Authorized Signatories – View Mode

Suspicious Transaction Information

The Suspicious Transaction Information consists of the details of the suspicious activity and the reason for the suspicion. This tab is non-editable.

Suspicious Transactions Details

The Suspicious Transactions grid displays details regarding the suspicious transactions with respect to the suspicious activity being reported. It lists the following details:

- Transaction Amount
- Date of Transaction
- Transaction Description (This grid is always in read-only mode.)

The screenshot displays the Oracle Financial Services Regulatory Reporting interface. The top navigation bar includes 'Home', 'Regulatory Reports - SGSTR', and 'User Attributes'. The main content area shows the 'Report Details' section with a 'Report Context' summary. Below this, there are tabs for 'Reporting Bank Information', 'Customer Particulars', 'Customer Relationship', 'Suspicious Transaction', 'Add Document', 'Other Relevant Information', and 'Audit'. The 'Suspicious Transaction' tab is active, showing a table with 15 rows of data. The table has columns for 'Amount (Dr/Cr)', 'Date Of Transaction', and 'Transaction Description'. Below the table, there is a 'Reason For Suspicion' section with 'Reason*' and 'Elaboration*' fields.

Amount (Dr/Cr)	Date Of Transaction	Transaction Description
Cr 100	27/11/2009	CHECK
Cr 1000	04/12/2009	CHECK
Cr 1000	08/12/2009	CHECK
Cr 1900	08/12/2009	CHECK
Cr 100	08/12/2009	CHECK

Figure 19. Suspicious Transaction Tab – Edit Mode

Reason for Suspicious Details - Edit Mode

Add

Click the hierarchy browser provided at the end of the Reason field, and select an appropriate Reason for Suspicion. Click **OK**.

Provide a reasonable explanation for the reason selected in the **Elaboration** field(Figure 19).

Edit and Save

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

Reset

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

Reason for Suspicious Details - View Mode

The hierarchy browser is disabled in View mode. The Elaboration field is in read-only mode (Figure 20).

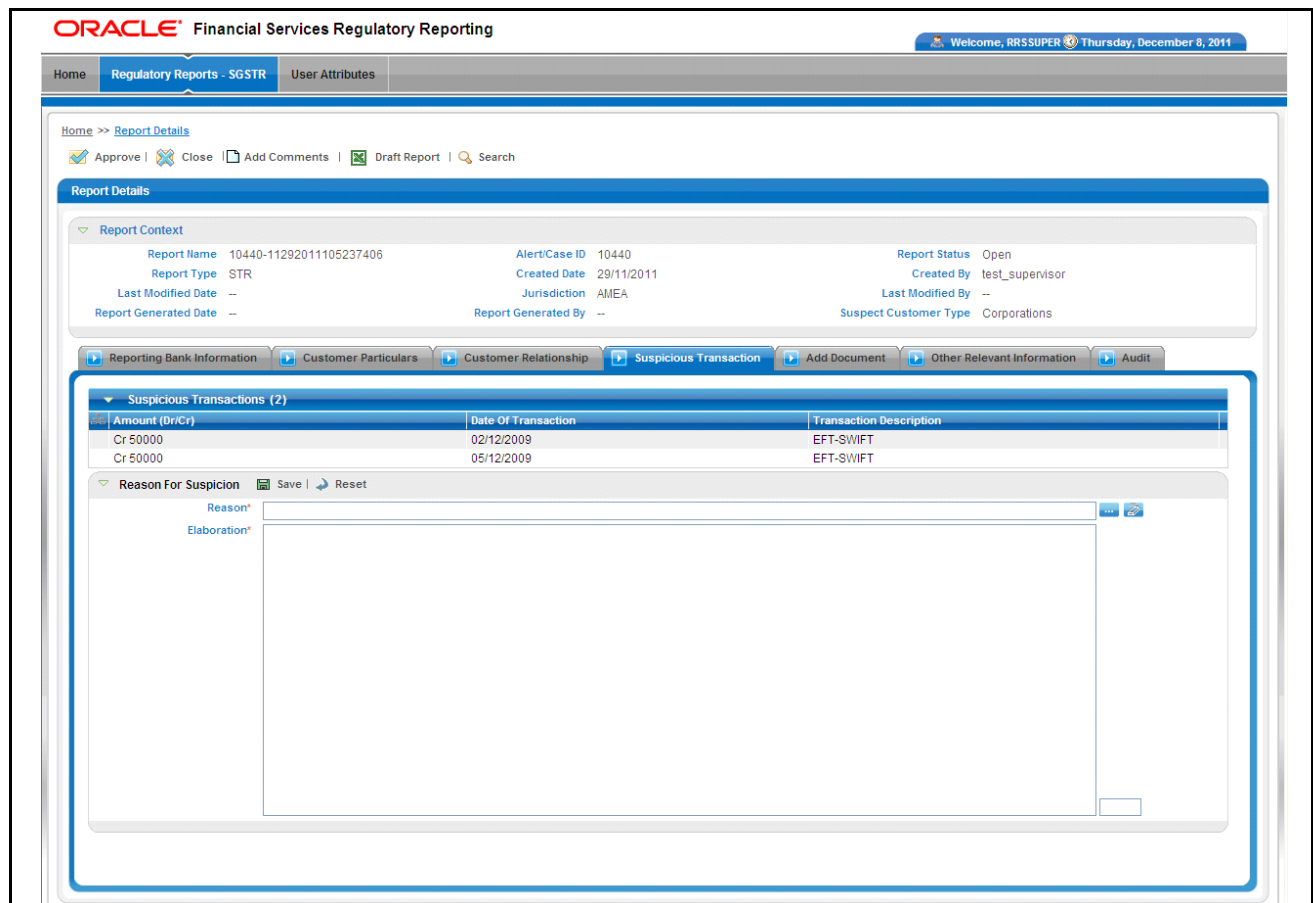


Figure 20. Suspicious Transaction – View Mode

Adding Document

Users may add supporting documents to the transactions being reported, related to the suspects being reported, and related to the accounts held by the suspects in the bank. Documents, such as account opening forms, may also be attached to the report request. Users may view documents already attached to the report (Figure 21)

Add Document - Edit Mode

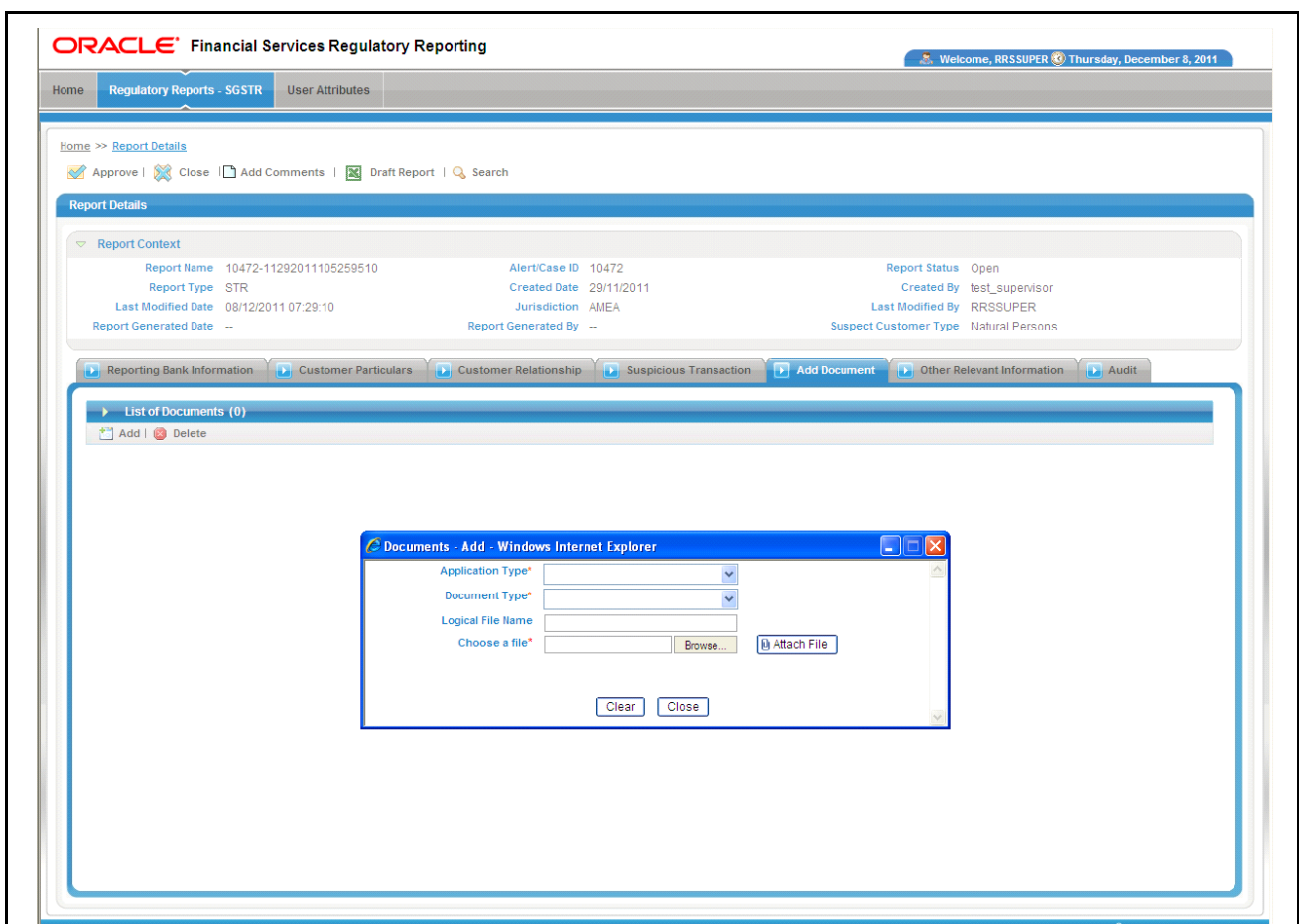


Figure 21. Add Document – Edit Mode

Attach New Documents

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

1. Click **Add** in the List of Documents. The Add Document pop-up window opens.
2. Select the application type from the Application Type drop-down list.
3. Select the type of document you wish to attach from the Document Type drop-down list.

4. Click **Upload File**, a pop-up window opens.
5. Use the **Browse** button to locate the file and click **Ok** to attach the selected document.

The page is refreshed and the newly added document is added to the List of Documents grid. Click **View** to view the document (Figure 22).

Add Document - View Mode

When accessing the report in View mode, the List of Documents grid displays, but not the Attach Document container. Click **View** to view the attached document (Figure 22).

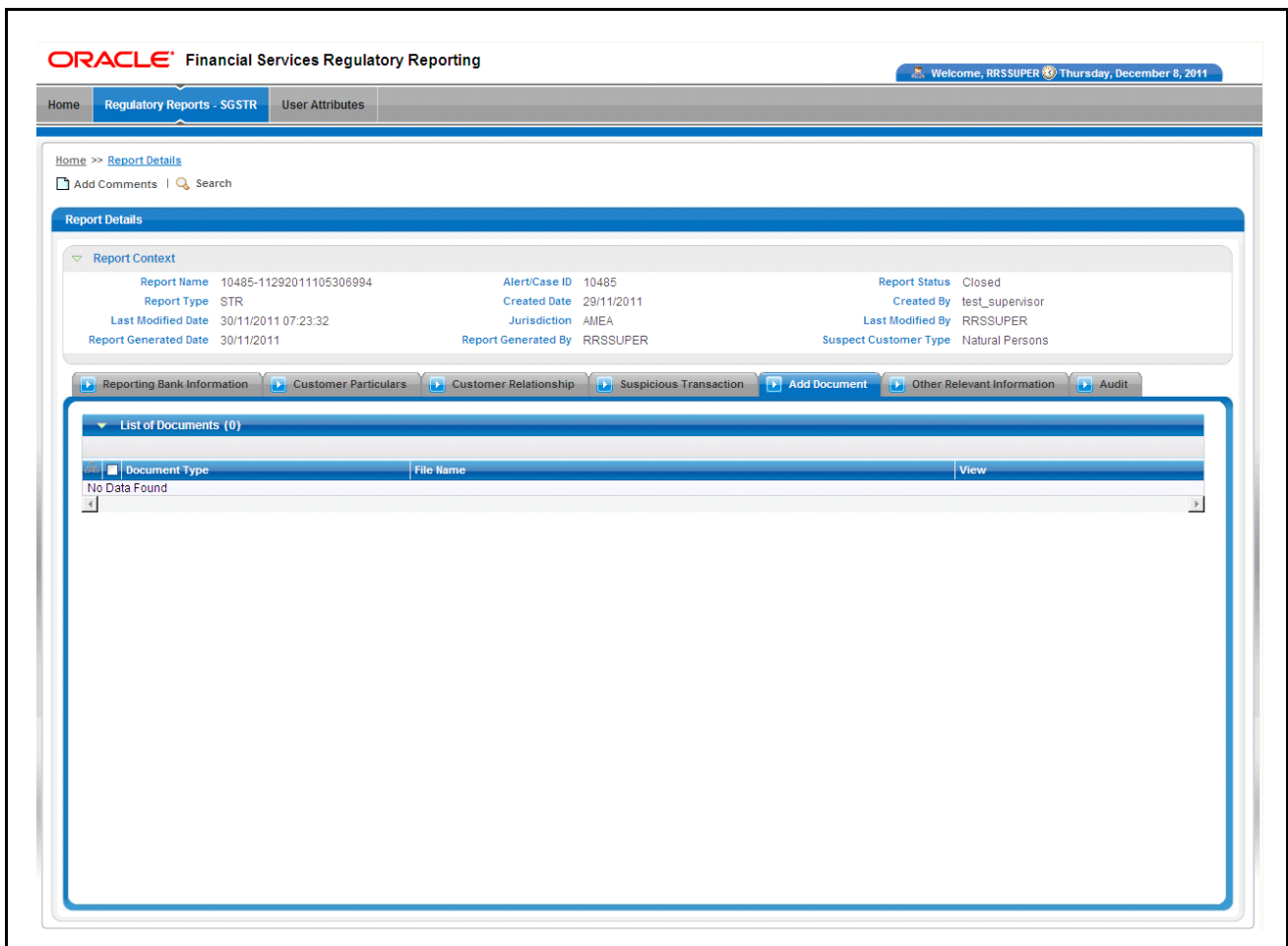


Figure 22. Add Document – View Mode

Other Relevant Information

The explanation/description of the suspicious activity is available in this tab. Enter the description in the text area (Figure 23).

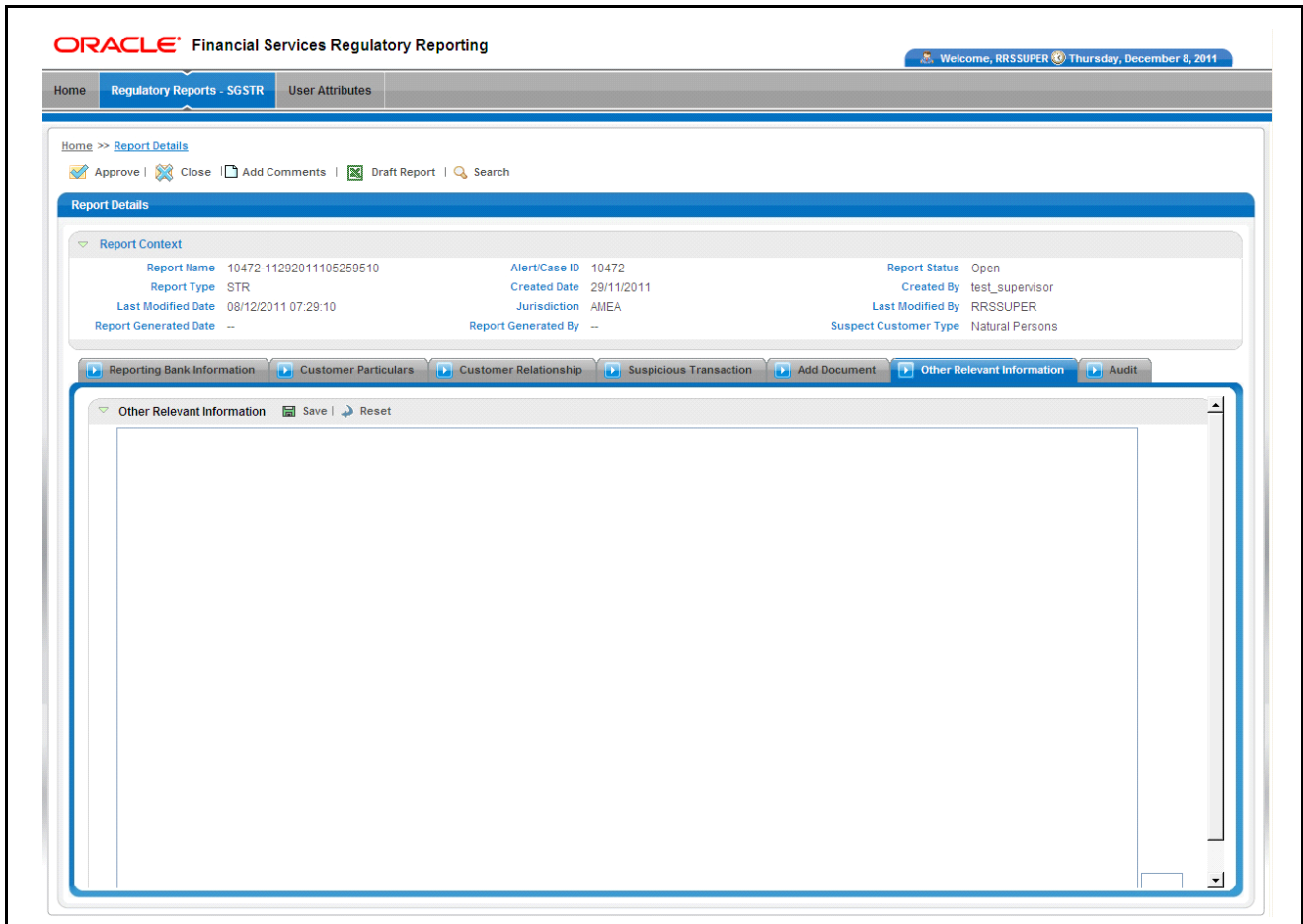


Figure 23. Other Relevant Information – Edit Mode

Save

Click **Save** to save the changes made. The page is refreshed to display the updated Narrative.

Reset

To clear the updated data, click **Reset**. The page is refreshed and displays the last saved data. In the view mode, the Save and Reset options are hidden for the Other Relevant Information container.

Audit

The Audit tab displays actions that may be taken on the report. This tab contains the Regulatory Report Actions Grid and the Regulatory Report Comments Grid(Figure 24).

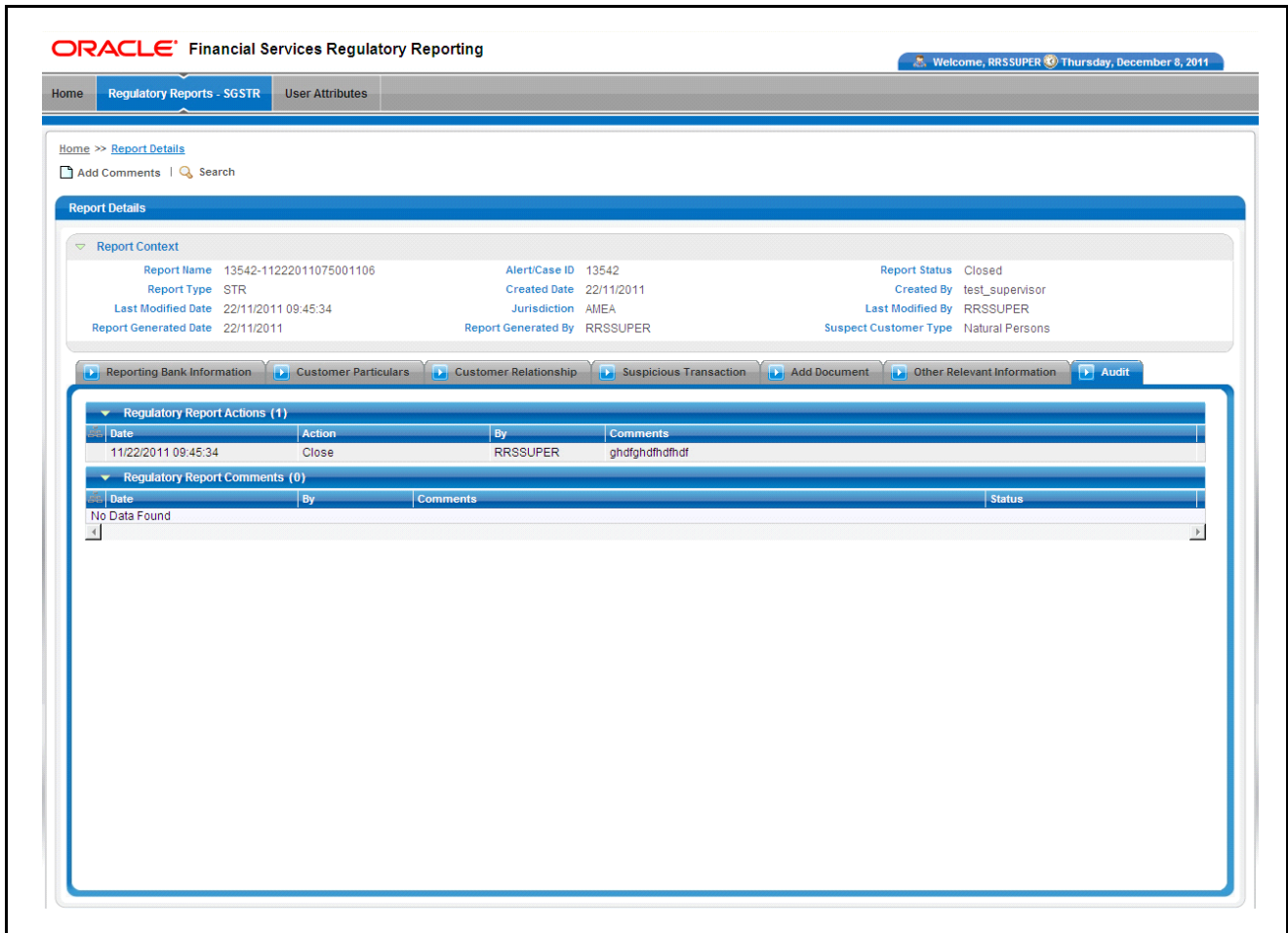


Figure 24. Audit – Edit Mode

Regulatory Report Actions

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

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

Regulatory Report Comments

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

- **Date:** When the action was taken

- **By:** The user who took the action
- **Comments:** Displays the comments entered
- **Status:** Status of the report, while taking Action

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

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

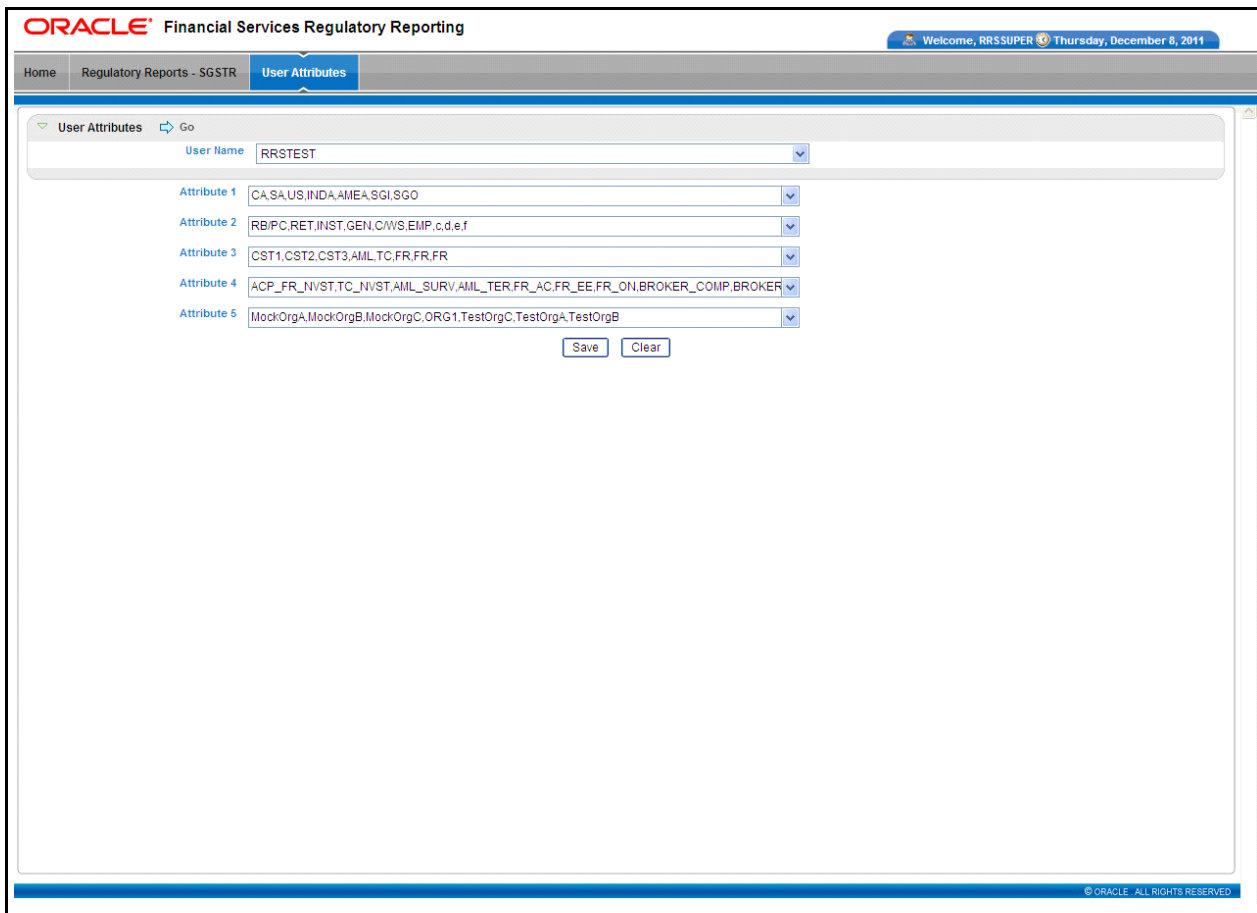


Figure 25. User Administration

View Security Attribute Mapping

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

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

Add Security Attribute Mapping

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

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

Delete Security Attribute Mapping

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

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

