

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

*Release 8.0.6.0.0
May 2018*



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India Suspicious Transaction Report
User Guide

Release 8.0.6.0.0
May 2018

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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190

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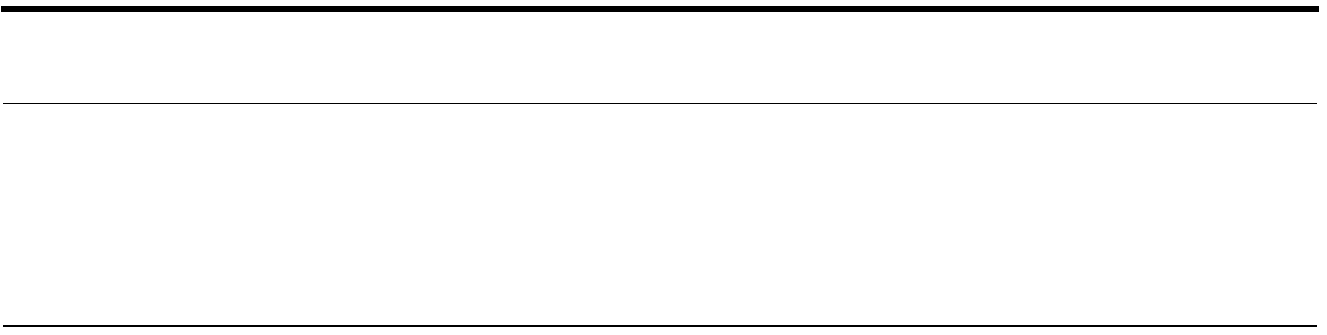
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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190
Phone: (703) 478-9000
Fax: (703) 318-6340
Internet: www.oracle.com/financialservices

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About This Guide

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

This chapter discusses the following topics:

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

Who Should Use this Guide

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

- **Analyst:** This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen 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.
- **Auditor:** This user can view and add comments to the report.
- **RR Admin:** This user is responsible for handling various configurations required to support the report workflow.

How this Guide is Organized

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

- *Chapter 1, About Compliance Regulatory Reporting*, provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application.
- *Chapter 2, Getting Started*, explains the steps to login to the Oracle Financial Services Compliance Regulatory Reporting application and provides a brief overview of the various users and their roles in the Compliance Regulatory Reporting application.
- *Chapter 3, Managing Compliance Regulatory Reporting*, explains the workflow of regulatory reports.
- *Chapter 4, Filing Regulatory Reports* describes the process of filing the regulatory reports to the Regulatory Authorities and completing the STR process.

Where to Find More Information

For additional information about the Oracle Financial Services Compliance Regulatory Reporting, refer to the following documents in [OTN](#):

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*: This guide explains the structure of the entities in the RR data model and provides in-depth information on managing the data in the Compliance Regulatory Reporting application.
- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide*: This guide explains how and in what format the source business data is provided to the Compliance Regulatory Reporting application through a web service for the report type.
- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*: This guide provides step-by-step instructions for installing the Oracle Financial Services Compliance Regulatory Reporting application on an existing Oracle Financial Services Behavior Detection Framework hosted in Windows environment.
- *Oracle Financial Services Compliance Regulatory Reporting Release Notes*: This guide provides details about the enhancements made to the features in the Oracle Financial Services Compliance Regulatory Reporting application.
- *Oracle Financial Services Compliance Regulatory Reporting Indian Administration Guide*: This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Compliance Regulatory Reporting application. This guide details the Compliance Regulatory Reporting application and provides information about configuring and maintaining users and static data.

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

About Compliance Regulatory Reporting

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

This chapter discusses the following topics:

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

Introduction to Compliance Regulatory Reporting

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

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

About Oracle Financial Services Compliance Regulatory Reporting Application

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

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

Users mapped to appropriate roles can update the report information and submit the report details for approval to the Supervisor. The Supervisor can approve, rework, cancel the filing or reject the cancellation request of the report. Once the STRs are approved, they can combine one or more reports and generate E File. Then they can be

submitted to the regulators. However, sending the documents to the regulator is the responsibility of the user and out of scope of the application.

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

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

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

This chapter explains the following topics:

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

User Roles

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

- **Analyst-I:** This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen canceled reports, and also view/save the final report. This user can also generate revised reports, and reject a report. The above role is displayed as RRINANARL in the system.
- **Auditor:** This user can view and add comments to the report. The above role is displayed as RRINAUDRL in the system.
- **Supervisor:** This user can access Regulatory Reports, create new reports, edit and view report details, add comments to the report. This user can also take actions on the reports such as approve, rework, and cancel filing of reports, submit the reports, generate revised reports, and reject a report. This user can also generate and regenerate E-File, submit and upload acknowledgment. The above role is displayed as RRINSUPRL in the system.
- **RR Admin:** This user is responsible for handling various configurations required to support the report workflow. The above role is displayed as RRADMN in the system.

Note: The above mentioned are the Out Of Box (OOB) user roles defined for this template. This may vary as per the template. User can customize as per the requirement.

User Access

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

Table 2. User Access

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

Table 2. User Access

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

Logging in to Compliance Regulatory Reporting

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

1. Go to the **OFSAAI** Login page.
2. Select the **Language** for the application.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The Oracle Financial Services Analytical Applications Infrastructure page is displayed with a link to either **OFSCR** or **OFSCCM**.

Note:

- If you've installed OFSCR without OFSCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **OFSCR** link under the Home menu. Clicking **Compliance Regulatory Reporting** will navigate you to the Compliance Regulatory Reporting Search and List page.
- If you've installed OFSCR with OFSCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **FCCM** link under the Home menu. Clicking **FCCM** will navigate you to the OFSCCM Home page depending upon your roles and access rights.

Accessing Compliance Regulatory Reporting from OFSFCCM

To access OFSCRR from OFSFCCM, follow these steps:

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



The screenshot shows the OFSAAI Login Page. At the top left is the Oracle logo. To its right, the text reads "Financial Services Analytical Applications Infrastructure" with a smaller "About" link below it. The main content area on the left contains a "Language" dropdown menu currently set to "US-English", and two text input fields labeled "User ID" and "Password". A "Login" button is positioned at the bottom left of this form area. On the right side of the page, there is a large image showing classical columns in the foreground and a modern glass skyscraper in the background. The Oracle logo is visible at the bottom right of this image area.

Figure 1. OFSAAI Login Page

2. Select the **Language** for the application.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The OFSAAI Home page is displayed.

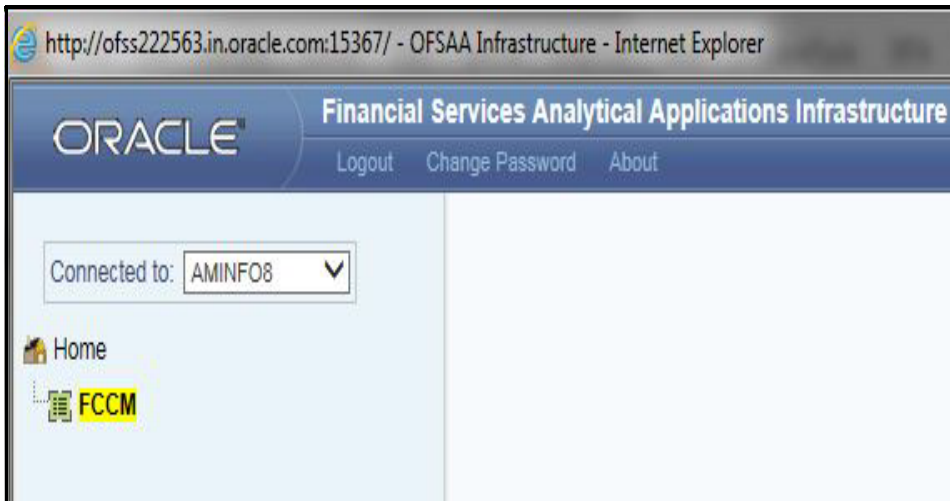


Figure 2. OFSAAI Home Page

6. Click **FCCM**. The OFSFCCM Home page is displayed depending upon the user roles and their access permissions.
7. Select **Financial Services Regulatory Reporting** from the Select Applications list.
8. From the Compliance Regulatory Reporting menu, hover over **India STR**, and click **Search and List**. The Regulatory Reporting Search and List page opens.

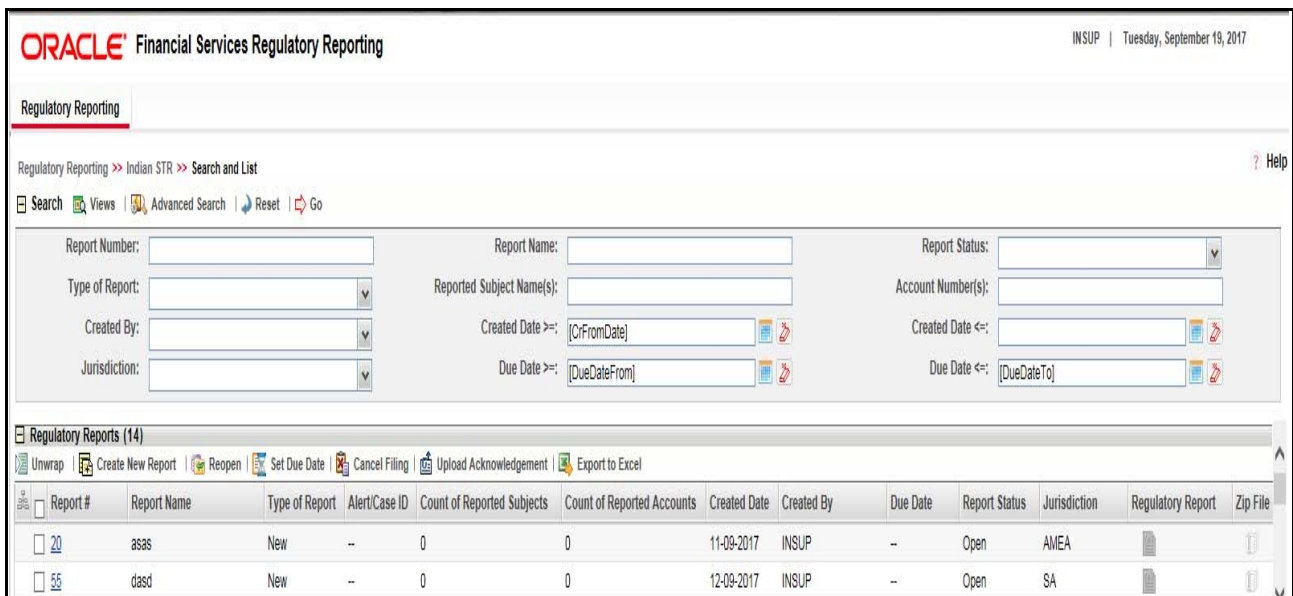


Figure 3. RR Search And List Page in OFSFCCM

- Users mapped to Analyst-I, Auditor, and Supervisor roles can access the Regulatory Reports menu.
- Users mapped to the RR Admin role can access the Administration menu.

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

- **Search and List:** This menu option allows you to navigate to the Search and List page. From this page you can use various criteria to search for Regulatory Reports.
- **Create New Report:** This menu option allows you to navigate to the Create New Reports page where you can initiate a user created Regulatory Report.
- **File Reports:** This menu option allows you to navigate to the File Reports page where you can generate an E-file and file Regulatory Reports.
- **Administration:** The Administration menu displays the following sub-menus:
 - **User Administration:** This menu option allows you to map and maintain the security attributes for each user role.
 - **Web Service Configuration:** This menu option allows you to reset the Webservice password. For more information on resetting the User ID and Password, refer to the *Oracle Financial Services Compliance Regulatory Reporting Administration Guide* in [OTN](#).

Managing Compliance Regulatory Reporting

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

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

Compliance Regulatory Reporting Workflow

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

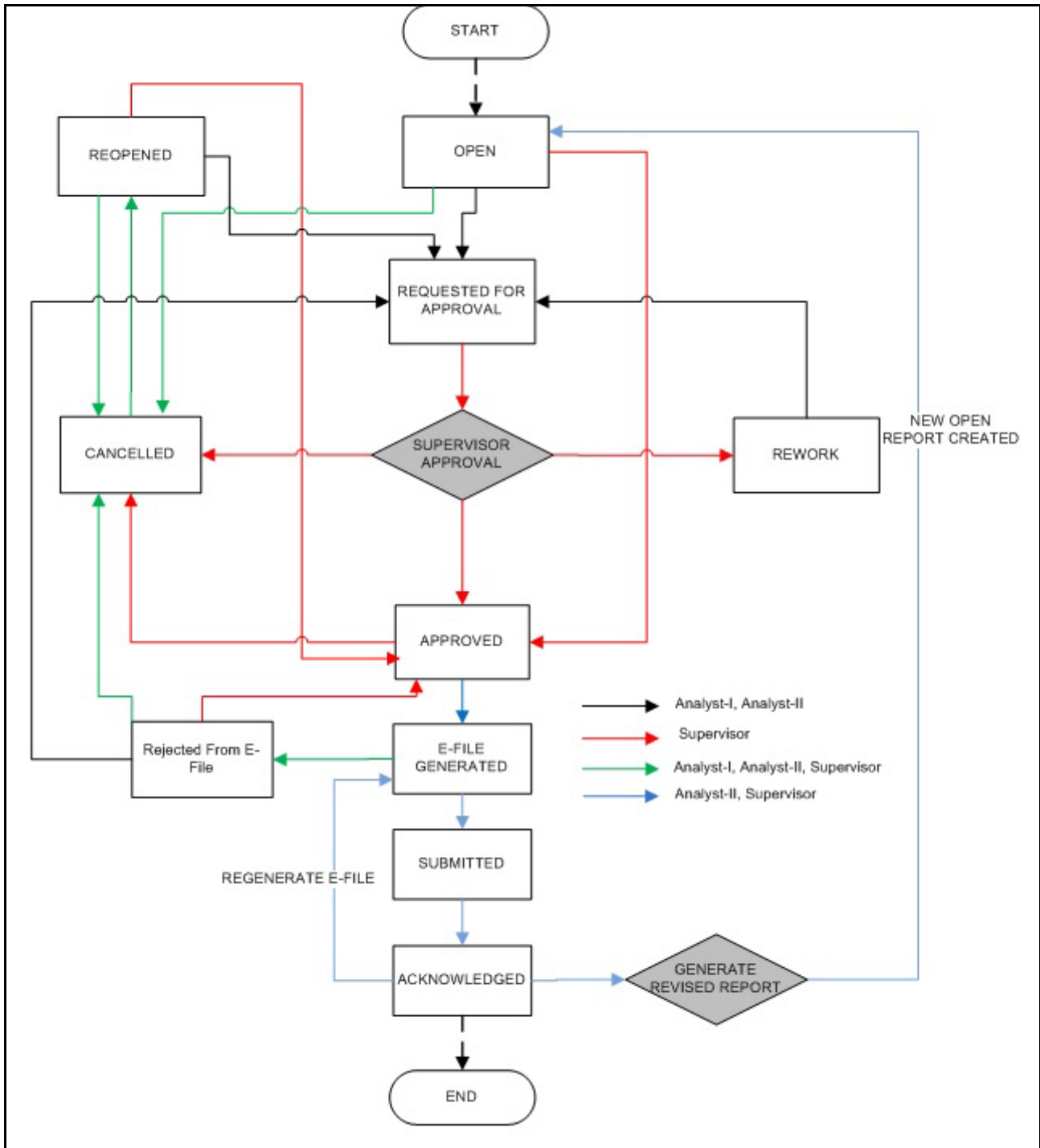


Figure 4. Compliance Regulatory Reporting workflow for Analyst and Supervisor

Note: It is a standard workflow and it might have some template specific changes.

An STR is created in the Compliance Regulatory Reporting application as a result of taking *Generate IN STR* action from within OFSFCCM or manually creating a report from OFSCRR. When an STR is created in the Compliance Regulatory Reporting application through OFSFCCM, the report details are auto-populated with information from

the alert or case which triggered the action to generate the STR. Users mapped to the role of Analyst-I can update the report in *Open* status and request the report details for approval. During the edit and review process, the STR is available to view as a draft report.

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

If the report is approved, then an E-file is generated for multiple approved reports. The generated e-file is submitted with the Financial Intelligence Unit – India (FIU-IND) E-Filing System by user. The e-file is validated and an acknowledgment (.asc file) is generated. The acknowledgment file is then uploaded into the OFSRR application, thereby completing the STR process. The status of the report changes to Acknowledged. Acknowledged status is the final status given to a STR that has been submitted to and processed by FIU-IND.

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

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

Supervisor can generate an E-file from the approved reports. The status changes to *E-File Generated*.

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

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

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

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

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

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

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

Table 3. Action that can be Performed in Various Statuses

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

Table 3. Action that can be Performed in Various Statuses

Report Status	Possible Actions	Who can Perform	Report Status Changes To
E-File Generated	Reject	Analyst1, Analyst2 and Supervisor	Rejected from E-File
	Submit	Analyst2 and Supervisor	Submitted
Cancelled	Reopen	Analyst1, Analyst2 and Supervisor	Reopened
Submitted	Upload Acknowledgment	Analyst2 and Supervisor	Acknowledged
Acknowledged	Generate Revised Report	Analyst1, Analyst2 and Supervisor	No change in status

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

Table 4. Statuses in which Reports are Editable by Users

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

You cannot edit the report details when the report is in **View Only** mode. You can add comments to an STR in all the statuses. For more information, refer to *Table 5*.

Table 5. Statuses in which Reports are Viewed by Users

Status	View Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	X
Reopened	X	X	X	X
Requested for Approval	X	X	X	X
Approved	X	X	X	X

Table 5. Statuses in which Reports are Viewed by Users

Status	View Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
Rework	X	X	X	X
E-File Generated	X	X	X	X
Canceled	X	X	X	X
Submitted	X	X	X	X
Acknowledged	X	X	X	X

Creating an STR

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

This section covers the following topics:

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

Creating STR from OFSFCCM

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

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

Creating STR on an Alert

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

1. From OFSFCCM Home page, select **Alerts** from the **Monitoring** menu.

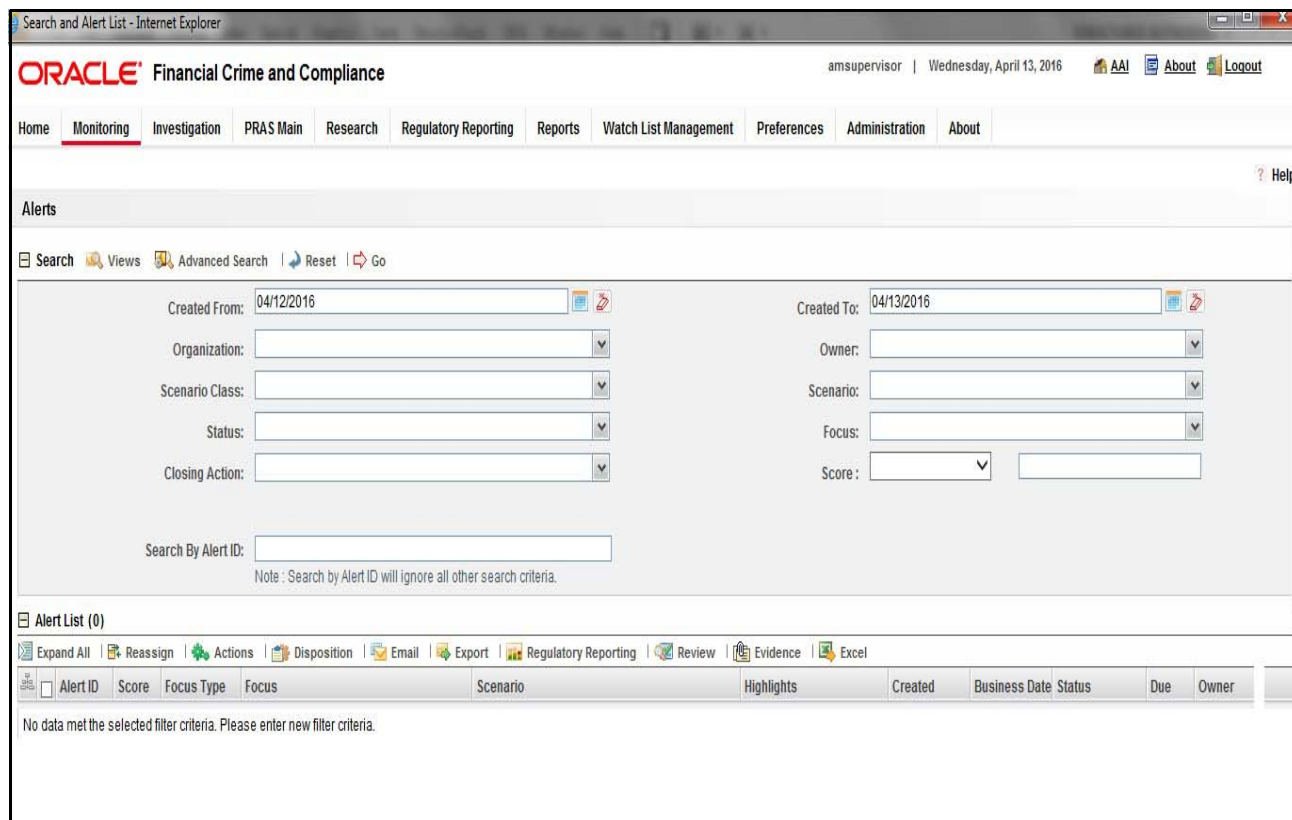


Figure 5. Alerts Search and List Page

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

Figure 6. Alerts Advanced Search

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

4. Click **Go**.
5. Select the required alerts from the Alert Search and List page and click **Compliance Regulatory Reporting** in the Action bar.
6. Select **Generate IN STR** from the Choose Action drop-down list in the *Monitoring Actions Window* and enter the comments.

Monitoring Actions - Internet Explorer

Selected Alerts: 2833

Choose Action: Generate CA STR

Reassign: [Dropdown]

Set Due Date: [Calendar Icon]

Suppression End Date: [Calendar Icon]

Suppression Condition: [Dropdown]

Standard Comments: [Dropdown]

Comments: [Text Area]

Auto Assignment:

Save Save and Attach Reset Cancel

Figure 7. Monitoring Actions Window

7. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
8. Click **OK**. A success message is displayed along with the alert ID. Click **OK**.
9. Navigate to the RR Search and List page. The latest alert on which **Generate IN STR** action was taken is displayed in the RR Search and List page.

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

Creating STR on a Case

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

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

Case ID	Title	Type	Subtype	Due Date	Priority	Status	Owner	Assigned To	Linked Alert	Linked Cases	Created Date
CA840873	fgfsgds	Anti-Money La...	AML Surveillance	04/23/2014	High	Recommend...	AMSUPERVL	AMSUPERVISOR	1	1	04/15/2014
CA700179	gh/hut	Anti-Money La...	AML Surveillance	04/24/2014	High	Closed-Merged	AMSUPERVL	AMSUPERVISOR	1	1	04/11/2014
CA700175	hhdgt	Anti-Money La...	AML Surveillance	04/24/2014	High	Closed-Merged	AMSUPERVL	AMSUPERVISOR	1	1	04/11/2014
CA840874	fgfsgds	Anti-Money La...	AML Surveillance	05/05/2014	High	File BS STR	AMSUPERVL	AMSUPERVISOR	1	0	04/15/2014
CA700135	ghghg	Anti-Money La...	AML Surveillance	11/18/2014	High	File PH STR	AMSUPERVL	AMSUPERVISOR	1	2	04/11/2014
CA700132	High Risk EFT	Anti-Money La...	AML Surveillance	01/28/2015	High	Investigation	AMSUPERVL	AMSUPERVISOR	1	0	04/11/2014
CA1303272	Anom ATM/BC	Anti-Money La...	AML Surveillance	02/26/2015	High	Closed - BD S...	AMSUPERVL	AMSUPERVISOR	1	1	05/13/2014
CA2900165	High Risk EFT	Anti-Money La...	AML Surveillance	04/11/2015	High	File CA STR	AMSUPERVL	AMSUPERVISOR	1	0	01/30/2015
CA2500119	dcscd	Anti-Money La...	AML Surveillance	04/11/2015	High	File CA STR	AMSUPERVL	AMSUPERVISOR	1	0	12/16/2014
CA2500129	Escalation Ina...	Anti-Money La...	AML Surveillance	--	High	Investigation	AMSUPERVL	AMSUPERVISOR	1	0	05/29/2015
CA2000122	Anticipate Prof...	Anti-Money La...	AML Surveillance	--	High	New	AMUSER	AMSUPERVISOR	1	0	05/20/2015
CA3000111	Anticipate Prof...	Anti-Money La...	Enhanced Du...	--	High	New	AMSUPERVL	AMSUPERVISOR	1	0	03/03/2015
CA2900189	High Risk EFT	Anti-Money La...	Enhanced Du...	--	High	File CA STR	AMSUPERVL	AMSUPERVISOR	1	0	01/30/2015
CA2900190	High Risk EFT	Anti-Money La...	AML Surveillance	--	High	File CA STR	AMSUPERVL	AMSUPERVISOR	1	0	01/30/2015
CA2900190	High Risk EFT	Anti-Money La...	Enhanced Du...	--	High	New	AMSUPERVL	AMSUPERVISOR	1	0	01/30/2015
CA2900188	High Risk EFT	Anti-Money La...	Enhanced Du...	--	High	New	AMSUPERVL	AMSUPERVISOR	1	0	01/30/2015
CA2900160	sdstfd	Fraud	Account and P...	--	High	Investigation	AMSUPERVL	AMSUPERVISOR	1	0	01/29/2015
CA2900183	xstff	Fraud	Access/Online	--	High	New	AMSUPERVL	AMSUPERVISOR	1	0	01/29/2015
CA2900184	stsf	Anti-Money La...	AML Surveillance	--	High	New	AMSUPERVL	AMSUPERVISOR	1	0	01/29/2015
CA2900178	455	Anti-Money La...	Enhanced Du...	--	High	New	AMSUPERVL	AMSUPERVISOR	1	0	01/29/2015

Figure 8. Cases AML/Fraud Search and List Page

2. Select one or more cases in *New* statuses from the Search & Case List page using the check boxes, and click the **Resolution** action category.
3. Select **Generate IN STR** from the Select Action drop-down list in the *Investigation Actions* Window and enter the comments.

Investigation Actions - Internet Explorer

Selected Cases:

Select Action: **Generate CA STR** (dropdown)

Reassign Ownership To: (dropdown)

Auto Assignment

Assign To: (dropdown)

Set Due Date: (calendar icon)

Standard Comments: (dropdown)

Comments:

Buttons: Save, Save and Attach, Cancel

Figure 9. Investigation Actions Window

4. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
5. Click **OK**. A success message is displayed along with the Case ID. Click **OK**.
6. Navigate to the RR Search and List page. The latest case on which Generate IN STR action was taken is displayed in the RR Search and List page.

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

Sending Acknowledgement to OFSFCCM from Compliance Regulatory Reporting

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

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

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

- Alert/Case ID (Alert/Case ID)
- Acknowledgment Code – 0 (Meaning successful)
- Report ID (System Generated)
- Report Status

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

- User ID failure
- Unsuccessful mandatory information verification
- System/Application Error

The negative acknowledgment sent to OFSFCCM contains the following details:

- Alert/Case ID
- Acknowledgment Code
 - 1 stands for Invalid User ID
 - 2 stands for Mandatory Information Missing
 - 3 stands for Format Failure
 - 4 stands for System/Application Error
- Error Description

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

Creating a New STR from OFSCRR

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

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

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

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

Figure 10. Create New Report

2. Enter the required information in the fields.

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

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

Table 6. Creating New Report

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

Table 6. Creating New Report

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

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

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

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

Searching STRs

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

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

This section explains the following topics:

- Searching Reports Using Simple Search
- Searching Reports Using Advanced Search
- Searching Reports Using Pre-defined Views
- Saving Views
- Regulatory Reports List

Searching Reports Using Simple Search

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

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

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

Report #	Report Name	Type of Report	Alert/Case ID	Count of Reported Accounts	Count of Reported Subjects	Created Date	Created By	Due Date	Report Status	Jurisdiction	Regulatory Report	Zip
3500	test2	New	102	--	--	11-04-2016	canadian s...	16-04-2016	Open	CA		
3492	test	New	100	--	--	11-04-2016	canadian s...	16-04-2016	Open	INDA		
3496	test1	New	101	--	--	11-04-2016	canadian s...	16-04-2016	Open	US		
3505	test3	New	103	--	--	11-04-2016	canadian s...	16-04-2016	Open	INDA		
3509	test4	New	104	--	--	11-04-2016	canadian s...	16-04-2016	Open	AMEA		
3512	test5	New	105	--	--	11-04-2016	canadian s...	16-04-2016	Open	US		
3515	test6	New	106	--	--	11-04-2016	canadian s...	16-04-2016	Open	CA		
3518	test7	New	107	--	--	11-04-2016	canadian s...	16-04-2016	Open	US		
3521	test8	New	108	--	--	11-04-2016	canadian s...	16-04-2016	Open	JTXV		
3524	test9	New	109	--	--	11-04-2016	canadian s...	16-04-2016	Open	CA		
3527	test9	New	109	--	--	11-04-2016	canadian s...	16-04-2016	Open	INDA		
3530	test10	New	110	--	--	11-04-2016	canadian s...	16-04-2016	Open	US		
3533	test11	New	111	--	--	11-04-2016	canadian s...	16-04-2016	Open	JR9		
3536	test12	New	112	--	--	11-04-2016	canadian s...	16-04-2016	Open	JR11		
3539	test13	New	113	--	--	11-04-2016	canadian s...	16-04-2016	Open	JR7		
3542	test14	New	114	--	--	11-04-2016	canadian s...	16-04-2016	Open	SA		
3545	test15	New	115	--	--	11-04-2016	canadian s...	16-04-2016	Open	T ES		
3548	test16	New	116	--	--	11-04-2016	canadian s...	16-04-2016	Open	JTXW		

Figure 11. Searching Reports using Simple Search

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

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer to *Table 7*.
3. Click **Go**. The relevant search list is displayed.

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

Searching Reports Using Advanced Search

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

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

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

Report #	Report Name	Type of Report	Alert/Case ID	Count of Reported Accounts	Count of Reported Subjects	Created Date	Created By	Due Date	Report Status	Jurisdiction	Regulatory Report	Zip File
2500	test2	New	102	--	--	11-04-2016	canadian s...	16-04-2016	Requested for ...	CA		
2492	test1	New	100	--	--	11-04-2016	canadian s...	16-04-2016	Open	INDA		
2496	test11	New	101	--	--	11-04-2016	canadian s...	16-04-2016	Open	US		
2506	test3	New	103	--	--	11-04-2016	canadian s...	16-04-2016	Open	INDA		
2500	test4	New	104	--	--	11-04-2016	canadian s...	16-04-2016	Open	AMEA		
2512	test5	New	105	--	--	11-04-2016	canadian s...	16-04-2016	Open	US		
2516	test6	New	106	--	--	11-04-2016	canadian s...	16-04-2016	Open	CA		
2518	test7	New	107	--	--	11-04-2016	canadian s...	16-04-2016	Open	US		
2521	test8	New	108	--	--	11-04-2016	canadian s...	16-04-2016	Open	JTXV		
2521	test9	New	109	--	--	11-04-2016	canadian s...	16-04-2016	Open	CA		
2527	test9	New	109	--	--	11-04-2016	canadian s...	16-04-2016	Open	INDA		
2530	test10	New	110	--	--	11-04-2016	canadian s...	16-04-2016	Open	US		
2533	test11	New	111	--	--	11-04-2016	canadian s...	16-04-2016	Open	JR9		
2536	test12	New	112	--	--	11-04-2016	canadian s...	16-04-2016	Open	JR11		

Figure 12. Advanced Search

2. Click **Advanced Search** on the **Search** tool bar
3. Enter the search components to filter the reports. For detailed descriptions of search fields, refer to *Table 7*.
4. Click **Go**. The relevant search list is displayed.

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

Components of Search Bar

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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Report Number	Enter the Report Number in the text field to search for details of the exact report. You can also search for multiple Report Numbers by entering a string of comma-separated values in this field. This field is not a wildcard search. You can enter a maximum of 255 characters in this field.	Simple Search and Advanced Search
Report Name	Enter the report name to display the list of reports with name as specified in the search criteria. This field supports a wildcard search. You can use the% and _ as wildcard indicators. You can enter a maximum of 50 characters in this field.	Simple Search and Advanced Search
Report Status	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for the Report status drop-down list: <ul style="list-style-type: none"> ● Select All ● Acknowledged ('Not applicable for 'no batch filling') ● Approved ● Cancelled ● E- File Generated (Not applicable for 'no batch filling') ● Open ● Rejected from E- File (Not applicable for 'no batch filling') ● Reopened ● Requested for Approval ● Rework ● Submitted Note: This field allows searching of reports with multiple options selected.	Simple Search and Advanced Search
Type of Report	Select the type of report from the drop-down list to search for details of the exact report. Following are the options available for the Type of Report drop-down list: <ul style="list-style-type: none"> ● Select All ● Corrected ● Delete ● New 	Simple Search and Advanced Search
Reported Subject Name(s)	Enter the Report Subject Name to search for customer name reported as subjects in the STR. This field supports a wildcard search. You can use the% and _ as wildcard indicators.	Simple Search and Advanced Search

Table 7. Components of RR Search Bar

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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Last Modified Date <=	<p>Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.</i> 2. If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.</i> 	Advanced Search
Approved By	<p>Select the name of the approver to search for reports approved by the selected user.</p> <p>Note: This field allows searching of reports with multiple options selected with user names displayed as drop-down options.</p>	Advanced Search
Approved Date >=	<p>Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.</p>	Advanced Search
Approved Date <=	<p>Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: <i>Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.</i> 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.</i> 	Advanced Search
Submitted By	<p>Select the name of the user from the drop-down list options to search for reports submitted by the selected user.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>	Advanced Search
Submitted Date >=	<p>Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date.</p>	Advanced Search

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Submitted Date <=	<p>Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: <i>Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.</i> 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.</i> 	Advanced Search
Alert/Case ID	<p>Enter the Alert/Case ID to display reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive. You can enter a maximum of 255 characters in this field.</p> <p>Note: Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.</p>	Advanced Search
Acknowledgement ID/ Tracking ID	<p>Enter the Acknowledgement ID/ Tracking ID to display the report with the corresponding Acknowledgement ID that was received as acknowledgement when the report was submitted to the regulator.</p>	Advanced Search
Prior Report Number	<p>Enter the Prior Report Number to display the original report stored in the revised report.</p>	Advanced Search
Jurisdiction	<p>Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.</p> <p>Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case.</p> <p>Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.</p>	Simple Search and Advanced Search

Table 7. Components of RR Search Bar

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

Searching Reports Using Pre-defined Views

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

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

1. From the Regulatory Reporting menu, hover over Indian STR and click **Search and List**. The Search and List page is displayed.
Note: By default, the Regulatory Reporting Search and List page displays all the records.
2. Click **Views** from the Search bar.
3. Select any of the pre-defined views from the Views drop-down list. The List page refreshes to show results matching the View criteria.

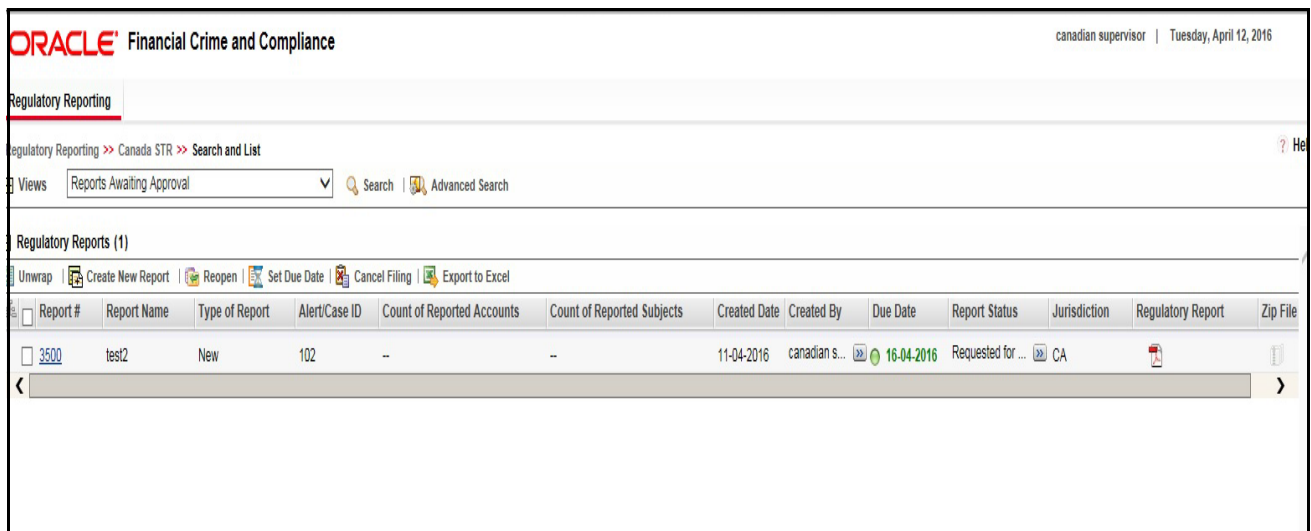


Figure 13. Searching Reports using Pre-defined Views

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

Table 8. Pre-defined Views

Views	Description
Open/ Reopened/Rework - Reports Last Modified by Me	Select Open/ Reopened - Reports Last Modified by Me from the drop-down list to display the list of reports in <i>Open</i> or <i>Reopened</i> , or <i>Rework</i> status for which the logged in user is the last modifier.
Reports Awaiting Approval	Select Reports Awaiting Approval from the drop-down list to display the list of reports in <i>Requested for Approval</i> status.
Reports Overdue	Select Reports Overdue from the drop-down list to display the list of reports that have exceeded their due dates. When an STR is past its due date or when the due date is same as the system date, the STRs in the reports list are highlighted in Red color.
Reports Submitted in Last 3 Months	Select Reports Submitted in Last 3 Months from the drop-down list to display the list of reports that were submitted in the last three months.
All Views saved by user	Select any of the views that you have created and saved using Save as View to display the reports as per the view selected. For more information, refer to Saving Views.

Saving Views

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

To save a view, follow these steps:

1. From the Regulatory Reporting menu, hover over India STR and click **Search and List**. The Search and List page is displayed.
2. Click **Advanced Search**. The Advanced Search page is displayed.
3. Enter the search criteria you want to save as view.
4. Click **Save as View**. The *Save as View* window is displayed.

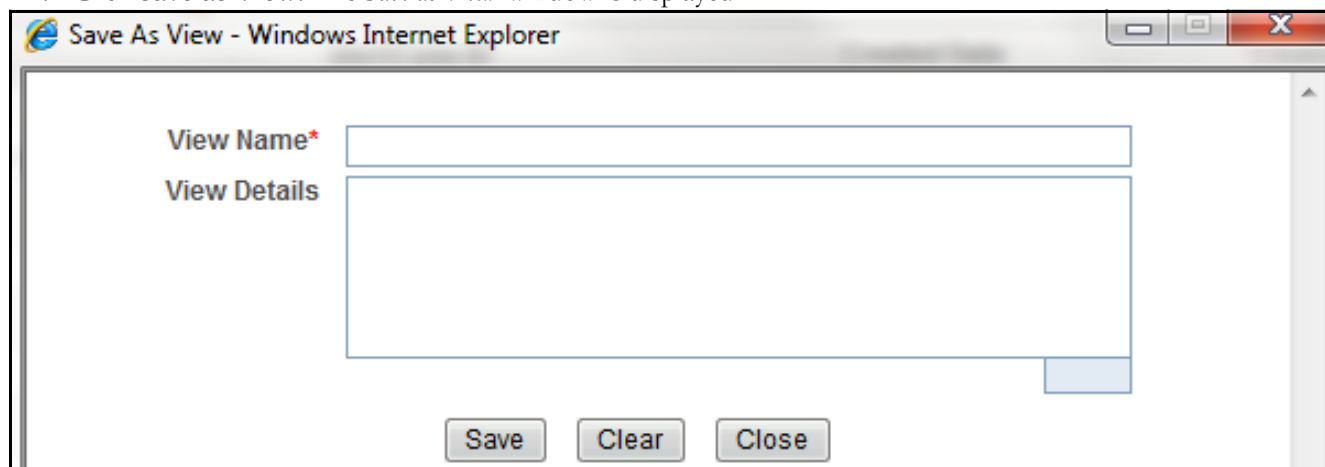


Figure 14. Save As View Window

5. Enter the view name and view details. The View details box in the *Save as View* window allows a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded.*
6. Click **Save**. The following message is displayed: *Add Operation Successful.*
7. Click **OK**. The view is saved and is displayed in the **Views** drop-down list.

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

Regulatory Reports List

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

- **Ascending** - This option allows you to sort the selected column in ascending order.
- **Descending** - This option allows you to sort the selected column in descending order.
- **Clear Sort** - This option allows you to clear the selected sort option.
- **Field Chooser** - This option allows you to hide or display columns within the current list as well as modify the width of the columns. Click **OK** on Field Chooser to save the selected settings for the current session or click **Save** will save the selected settings for future logins.
- **Group by Tab** - This option allows you to group the reports and display them in different tabs as per the selected column.
- **Group By Tree** - This option allows you to group the reports and display them in tree format as per the selected column.

This list displays the following columns:

- Report Number
- Report Name
- Type of Report
- Alert/Case ID
- Count of Reported Subjects
- Count of Reported Accounts
- Created Date
- Created By
- Due Date
- Report Status
- Jurisdiction
- Regulatory Report
- Documents

- Approved By
- Approved Date
- Submitted By
- Submitted Date
- Last Modified By
- Last Modified Date
- Prior Report Number
- E-File Number

Note:

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

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details
- Taking Action on Reports

Entering Report Details

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

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

The Report Details page allows you to manage following sections:

- Report Context
- Managing Reporting Entity Information
- Managing Account Information
- Managing Description of Suspicious Activity
- Managing Narrative and Actions
- Managing Documents
- Viewing Audit

Report Context

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

Report Context			
-	Report Name	CA2500119-04112016170514	Report Status
	Report Number	122	Open
	Alert/Case ID	CA2500119	E-File Number
	Created By	--	--
	Created Date	11-04-2016 17:05:14	Due Date
			16-04-2016
			Approved By
			--
			Approved Date
			--

Figure 15. Report Context

The report context includes the following information:

- Report Name
- Report Status
- Alert/Case

- Report
- Prior Report
- Created By
- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date
- Jurisdiction
- Due Date
- Acknowledgement ID/Tracking ID
- E-File Number
- E-File Generated Date
- E-File Status

Managing Reporting Entity Information

Reporting Entity Information tab is divided in two parts :-

Report Indicator: This section provide information related to the report that is created. Information like Batch Type etc. which provides details about the report.

Reporting Entity Information: This section provide information about the entity who is reporting this report to the regulator. It also provides information about the principal officer who is responsible for the report submitted.

The screenshot shows a web application interface for 'Regulatory Reporting'. At the top, there's a breadcrumb trail: 'Regulatory Reporting >> Indian STR >> Search and List >> Report Details'. Below this are several action buttons: 'Approve', 'Cancel Filing', 'Set Due Date', 'Add Comments', and 'View Report'. The main section is titled 'Report Context' and shows 'Report Name: asas' and 'Report Status: Open'. There are several tabs: 'Reporting Entity Information' (selected), 'Account Information', 'Description of Suspicious Activity', 'Narrative', 'Documents', and 'Audit'. Under the 'Reporting Entity Information' tab, there are three sub-sections:

- Report Details:** Includes 'Batch Type' (dropdown menu set to 'New'), 'Submission Date?' (calendar icon), 'PKI Certificate Number' (text input), and 'Main Person Name' (text input). There are 'Reset', 'Save', and 'Reset' buttons on the right.
- Reporting Entity/ Principal Officer:** Includes 'Reporting Entity Name*' (dropdown), 'Registration Number' (text input), 'Reporting Entity Category' (text input), and 'FIU Reference ID' (text input).
- Particulars of the Principal Officer (PO):** Includes 'Name*' (dropdown), 'Designation/Title' (text input), 'Address' (text input), 'City/Town' (text input), 'State' (text input), 'Country' (text input), 'PIN' (text input), 'Telephone Number' (text input), 'Mobile' (text input), 'Fax' (text input), and 'Email' (text input).

Figure 16. Reporting Entity Information Tab

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

- Report Details
- Report Entity/Principal Officer

Report Details

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

Table 9. Report Indicators Details

Fields	Description
Batch Type	Select the Batch Type of the Reporting Entity
PKI Certificate Number	Enter the PKI Certificate Number of the Reporting Entity
Submission Date	Enter the Submission Date of the Reporting Entity
Main Person Name	Enter the Main Person Name of the Reporting Entity

Report Entity/Principal Officer

Below table details specific information about Report Entity/Principal Officer. It includes the following fields:

Table 10. Report Entity/Principal Officer Details

Fields	Description
Reporting Entity Name	Select the name of the Reporting Entity.
Reporting Entity Category	This field displays the category of the Reporting Entity. Note: This field is auto-populated as per the Reporting Entity's name selected.
Registration Number	This field displays the Registration Number of the Reporting Entity. Note: This field is auto-populated as per the Reporting Entity's name selected.
FIU Reference ID	This field displays the FIU Reference ID of the Reporting Entity. Note: This field is auto-populated as per the Reporting Entity's name selected.

This section refers to the details specific to the Particulars of the Principal Officer (PO). Below table explains the fields available in Particulars of the Principal Officer (PO):

Table 11. Particulars of the Principal Officer (PO) Details

Fields	Description
Name	Select the name of the Principal Officer (PO).
Designation/Title	This field displays the Designation/Title of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.
Address	This field displays the Address of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.
City/Town	This field displays the City/Town of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.
State	This field displays the State of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.
Country	This field displays the Country of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.
Pin	This field displays the Pin of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.
Telephone Number	This field displays the Telephone Number of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.
Mobile	This field displays the Mobile of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.

Fields	Description
Fax	This field displays the Fax of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.
Mail	This field displays the Mail of the Principal Officer (PO). Note: This field is auto-populated as per the Principal Officer's (PO) Name selected.

Managing Account Information

This tab contains detailed information about the suspicious activity conducted. This tab provides the information about the account involved in the activity. This provides the details about all the type of owners of the Account. It also provides the details about the transactions performed by these accounts. This tab includes the following sections:

- Account Involved
- Account Details

Account Involved

This section refers to the details specific to the account involved and its information:

Record #	Account Number	Account type	Account Holder Name	Account Holder Type	Account Status
1	11233333	1	PRASHANT	Not categorised	20

Figure 17. Account Involved section details

The Account Information displays the following column:

- Record
- Account Number
- Account Type
- Account Holder Name
- Account Holder Type
- Account Status
- Account Opening Date
- Risk Rating

Account Details

This section gives detailed information about the account.

Figure 18. Account Details Section

The account details section displays the following field:

Table 12. Account Detail Section

Fields	Description
Account Number	Enter the account number of the Reporting Entity.
Account Type	Select the account type of the Reporting Entity.
Account Holder Name	Enter the account holder name of the Reporting Entity.
Account Holder Type	Select the account holder type of the Reporting Entity.
Account Status	Select the account status of the Reporting Entity.
Account Opening Date	Enter the account opening date of the Reporting Entity.
Risk Rating	Enter the risk rating of the Reporting Entity.
Cumulative Credit Turnover	Enter the cumulative credit turnover of the Reporting Entity.
Cumulative Debit Turnover	Enter the cumulative debit turnover of the Reporting Entity.
Cumulative Cash Deposit Turnover	Enter the cumulative cash deposit turnover of the Reporting Entity.
Cumulative Cash Withdrawal Turnover	Enter the cumulative cash withdrawal turnover of the Reporting Entity.
No Transaction to report	Select the no transaction to report of the Reporting Entity.

The Account Detail section gives the detail about the following areas:

- Corresponding Branch Details

- Person/Account Owner Details
- Account Owner Details
- Transactions
- Transaction Details
- Product

Corresponding Branch Details

This section gives the detail about the Corresponding Branch.

Figure 19. Corresponding Branch Details

Table 13. Corresponding Branch Details

Fields	Description
Branch Name	Select the Branch Reference Name of the corresponding branch.
Branch Reference Number	Enter the Branch Reference Number of the corresponding branch.
Branch Reference Number Type	Select the Branch Reference Number Type of the corresponding branch.
Branch Address	Enter the branch address of the corresponding branch.
City/Town	Enter the City/Town of the corresponding branch address.
State	Select the state of the corresponding branch address.
Country	Select the country of the corresponding branch.
PIN	Enter the Pin of the corresponding branch address.
Telephone Number	Enter the Telephone Number of the corresponding branch.
Mobile	Enter the Mobile of the corresponding branch.
Fax	Enter the Fax of the corresponding branch.
Email	Enter the Email of the corresponding branch.

Person/Account Owner Details

Person/Account Owner Details section displays the table based on the Account Owner Details saved and validated in the below section. All the details filled are displayed in the table format. If there is no information filled the table tab is minimized.

Account Owner Details

This section displays the account owner details. The details are filled based on the type of the person. Below Account Owner Details the two subsections; Legal Entity and Individual are given. Based on the option selected a separate section is given below to fill the detailed information.

Below is the image of Account Owner Detail Section:

Figure 20. Account Owner Details

Below table explains the field of Account Owner Details Grid:

Table 14. Account Owner Details

Fields	Description
Type of Person	This section has two options as radio button: <ul style="list-style-type: none"> ● Legal Entity ● Individual Select the button based on the account owner.
Full Name/Legal Entity Name	Enter the Full Name/Legal Entity Name of the account owner.
Customer ID	Enter the customer ID of the account owner.
Relation Flag	Select the relation flag of the account owner
Communication Address	Enter the communication address of the account owner
City/Town	Enter the city or town of the account owner
State	Select the state of the account owner address
Country	Select the country of the account owner address
PIN	Enter the PIN of the of the account owner address
Telephone Number	Enter the telephone number of the account owner
Mobile	Enter the mobile of the account owner
Fax	Enter the fax of the account owner
Email	Enter the email of the account owner
PAN	Select the PAN of the account owner
UIN	Enter the UIN of the account owner

If Individual

If the account owner is an individual then the below section has to be filled. This gives the detail about the individual for the further analysis. Below shown is the image of If Individual grid:

If Individual	
Gender <input style="width: 90%;" type="text" value="v"/>	Date of Birth <input style="width: 90%;" type="text" value=""/>
Identification Type <input style="width: 90%;" type="text" value="v"/>	Identification Number <input style="width: 90%;" type="text" value=""/>
Issuing Authority <input style="width: 90%;" type="text" value=""/>	Place of Issue <input style="width: 90%;" type="text" value=""/>
Nationality <input style="width: 90%;" type="text" value="v"/>	Place of work <input style="width: 90%;" type="text" value=""/>
Father/Spouse Name <input style="width: 90%;" type="text" value=""/>	Occupation <input style="width: 90%;" type="text" value=""/>

Figure 21. If Individual Details

Below table explains the field of If Individual Details:

Table 15. If Individual Details

Fields	Description
Gender	Select Gender of the individual account owner
Date of Birth	Select Date of the Birth of the individual account owner
Identification Type	Select the Identification Type of the individual account owner
Identification Number	Select the Identification Number of the individual account owner
Issuing Authority	Enter the Issuing Authority of the individual account owner
Place of Issue	Enter the Place of Issue of the individual account owner
Nationality	Select the Nationality of the individual account owner
Place of Work	Enter the place of work of the individual account owner
Father/Spouse Name	Enter the Father/Spouse name of the individual account owner
Occupation	Enter the Occupation of the individual account owner

If Legal Entity

If the account owner is a legal entity then the below section has to be filled. This gives the detail about the legal entity for the further analysis. Below shown is the image of If Legal Entity grid:

If Legal Entity	
Constitution Type <input style="width: 90%;" type="text" value="v"/>	Registration Number <input style="width: 90%;" type="text" value=""/>
Date of Incorporation <input style="width: 90%;" type="text" value=""/>	Place of Registration <input style="width: 90%;" type="text" value=""/>
Country Code <input style="width: 90%;" type="text" value="v"/>	Nature of business <input style="width: 90%;" type="text" value=""/>

Figure 22. If Legal Entity

Below table explains the If Legal Entity grid:

Table 16. If Legal Entity Details

Fields	Description
Constitution Type	Select the constitution type of the legal entity. This is a mandatory field.
Registration Number	Select the Registration Number of the legal entity. This is a mandatory field.
Date of Incorporation	Select the date of incorporation of the legal entity. This is a mandatory field.
Place of Registration	Select the place of registration of the legal entity. This is a mandatory field.
Country Code	Select the country code of the legal entity. This is a mandatory field.
Nature of Business	Enter the nature of business of the legal entity. This is a mandatory field.

Transactions

Transactions section displays the table based on the Transaction details saved and validated in the below section. All the details filled are displayed in the table format. If there is no information filled the table tab is minimized.

Transaction Details

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

The screenshot shows a web form titled "Transaction Details" with a "Validate" button and "Save" and "Reset" options. The form contains the following fields:

- Date of Transaction: Text input with a calendar icon.
- Transaction ID: Text input.
- Transaction Mode: Drop-down menu.
- Debit/Credit: Drop-down menu.
- Transaction Amount: Text input.
- Disposition of funds: Text input.
- Related Account Number: Text input.
- Related Institution Name: Text input.
- Related Institution Reference Number: Drop-down menu.
- Remarks: Large text area.

Figure 23. Transaction Details Section

Below table explains the fields in Transaction details grid:

Table 17. Transaction Details

Fields	Description
Date of Transaction	Select the date of transaction
Transaction ID	Enter the transaction ID
Transaction Mode	Select the transaction mode from the Transaction Mode drop-down
Debit/Credit	Select if the transaction is Debit/Credit from the Debit/Credit drop-down
Transaction Amount	Select the currency from the drop-down and enter the amount
Disposition of Funds	Enter the disposition of funds
Related Account Number	Enter the related account number
Related Institution Name	Enter the related institution name

Fields	Description
Related Institution Reference Number	Select the related institution reference number
Remarks	Enter the remarks, if required.

Product

This section explains the Product details of the report.

Product

Product Type	<input type="text" value="v"/>	Product Identifier	<input type="text"/>
Product Transaction Type	<input type="text" value="v"/>	Units	<input type="text"/>
Rate	<input type="text"/>		

Figure 24. Product Details

Below table explains the fields in product details grid:

Table 18. Product Details

Fields	Description
Product Type	Select the product type from the Product Type drop-down.
Product Identifier	Enter the product identifier
Product Transaction Type	Select the product transaction type from the Product Transaction Type drop-down
Units	Select the unit from the Units drop-down
Rate	Enter the rate

Managing Description of Suspicious Activity

This tab provides some additional important information about the suspicious activity reported. This tab provide information about the alert that triggered the activity along with some additional details like LEA informed etc.

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Figure 25. Description of Suspicious Activity tab

Below table explains the detail of the fields in Reported Activity Information section:

Table 19. Reported Activity Information details

Fields	Description
Source of Alert	Select source of alert from the Source of Alert drop-down
Alert Indicator 1	Enter the Alert Indicator1
Alert Indicator 2	Enter the Alert Indicator2
Alert Indicator 3	Enter the Alert Indicator3
Reason for Suspicion	Select the reason for suspicion from the below provided option: <ul style="list-style-type: none"> ● Due to proceeds of crime ● Due to complex transactions ● Due to no economic rationale ● Nature of financing terrorism ● Attempted transactions
Any Law Enforcement Agency Informed?	Select any law enforcement agency informed from the Any Law Enforcement Agency Informed? drop-down list
LEA Details	Enter the LEA Details
Priority Rating	Select the priority rating from the Priority Rating drop-down list
Report Coverage	Select the report coverage from the Report Coverage drop-down list
Want to Submit Additional Document	Select your response if you want to submit additional document from the Want to Submit Additional Document drop-down list.

Managing Narrative and Actions

This tab refers to the Suspicious Activity Information. It explains the summary and description of the Suspicious Activity/Investigation Details. This section includes:

- **Grounds/Summary of Suspicion:** This section refers to the details summary of the Suspicious Activity. Enter the summary to the Suspicious Activity in the field **Grounds/Summary of Suspicion**. This is a mandatory field.
- **Description of Suspicious Activity/Investigation Details:** This section refers to the details of the Suspicious Activity/Investigation Details. Enter the summary to the Suspicious Activity/Investigation Details in the field **Description of Suspicious Activity/Investigation Details**. This is a mandatory field.

The screenshot shows the 'Narrative' tab within the 'Regulatory Reporting' system. The breadcrumb trail is 'Regulatory Reporting >> Indian STR >> Search and List >> Report Details'. The report name is 'asas' and the status is 'Open'. The 'Narrative' tab is selected, showing two text input fields: 'Grounds/Summary of Suspicion*' and 'Description of Suspicious Activity/Investigation Details*'. The interface includes navigation buttons like 'Approve', 'Cancel Filing', 'Set Due Date', 'Add Comments', and 'View Report'. At the bottom of the form, there are 'Validate', 'Save', and 'Reset' buttons.

Figure 26. Narrative tab

Managing Documents

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

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

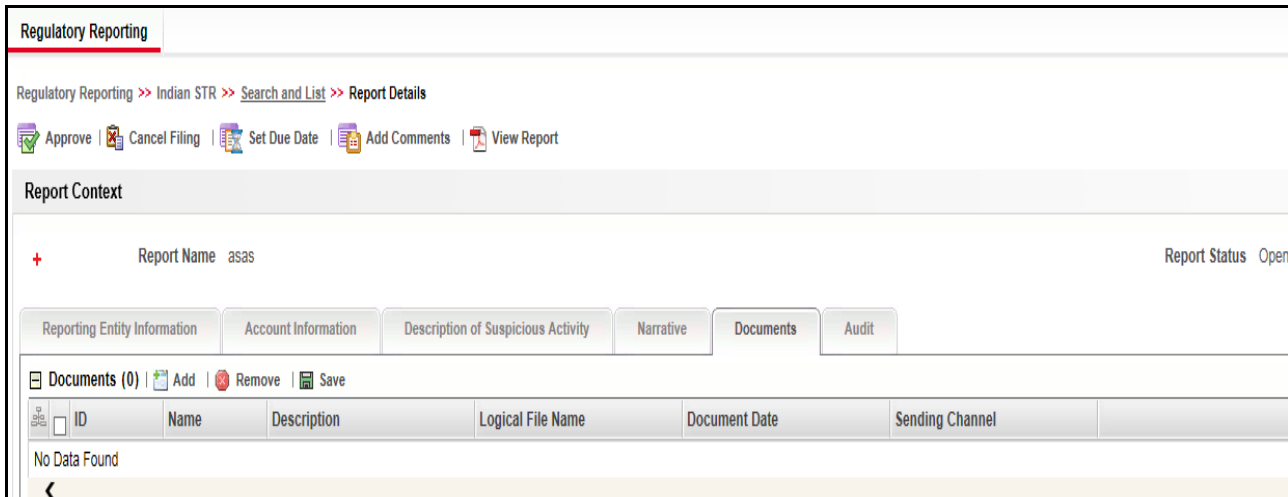


Figure 27. Documents Tab

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

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

To attach a document, follow these steps:

1. Navigate to the Report Details page.
2. Click **Documents**. The Documents section is displayed.
3. Click **Add**. The Add Document window is displayed.

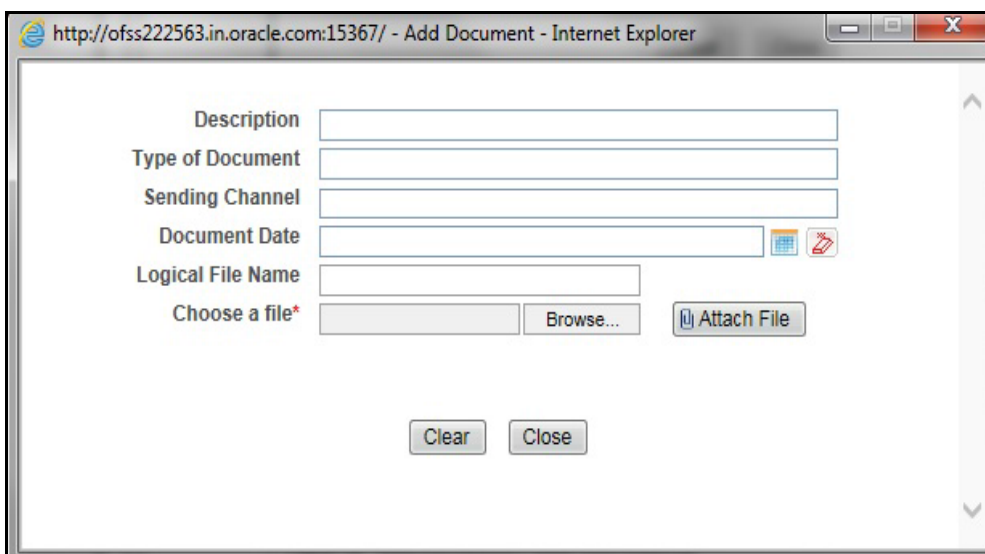


Figure 28. Add Document Window

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

Table 20. Add Document Fields description

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

5. Click **Attach File**. The following message is displayed: *Add Operation Successful*
6. Click **OK**. The file is attached and you are navigated back to the Add Document pop-up window.
You can click **Close** to navigate back the Document tab or can attach additional documents.

Editing the Document Details

All the fields in the document grid are in editable mode.

To edit the fields, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.
The list of added documents associated with the report are displayed in the Documents grid.
3. Select the check box at the beginning of an added document row or click anywhere in the row.
The document record changes into an editable mode.
4. Edit the required field.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The document is updated with the latest changes.

Removing Documents

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

To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.
The list of documents associated to the reports is displayed in the Documents grid.
3. Select the check box of the document you want to delete.
4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record (s)?*
5. Click **OK**. The following message is displayed: *Record Removed Successfully*.
6. Click **OK**. The document is removed from the Documents grid.

Viewing Audit

The Audit tab displays actions taken on the report.

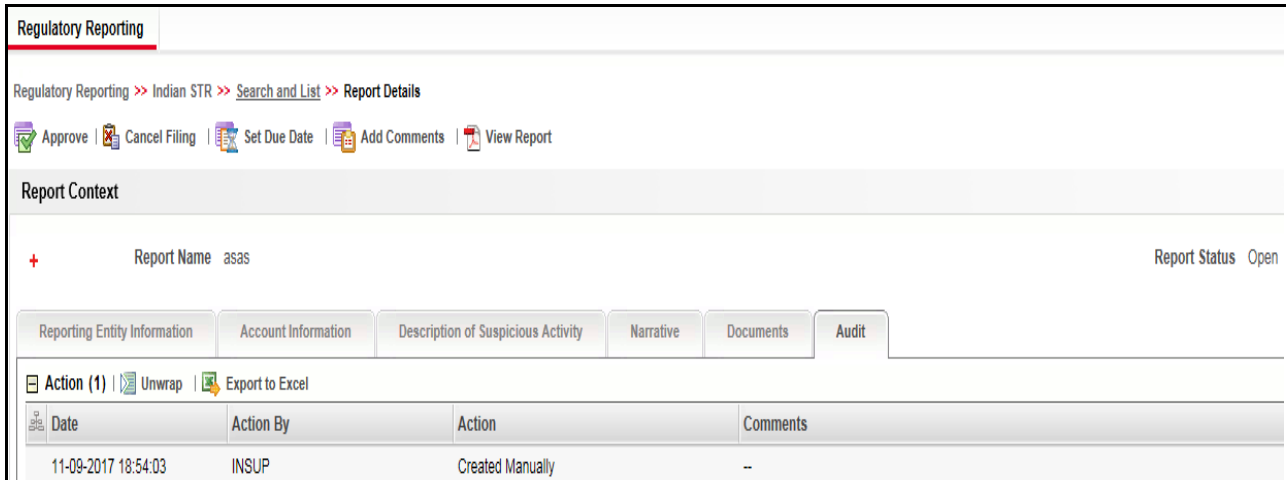


Figure 29. Audit Tab

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

OFSCRR captures the following actions in the Audit tab:

- Created From Alert/Case
- Created Manually
- Modified Reporting Entity
- Modified Account Involved Details
- Modified Person or Account Owner details
- Modified Transaction Details
- Modified Suspicious Activity Description
- Modified Narrative and Action
- Added New Document
- Modified Document
- Removed Document
- Edit/ Delete Report
 - Originating Report
 - New Report
- E-File Generation Unsuccessful
- Acknowledgment Details
 - If report is accepted then “Upload Acknowledgment” (Comments displayed will be “Report is Accepted”)
 - If report is rejected then “Upload Acknowledgment” (Comments displayed will be “Report is Rejected” along with error message)

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

Table 21. Actions Grid Field Descriptions

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

Taking Action on Reports

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

- Requesting the Report for Approval
- Approving Reports
- Reworking on Reports
- Cancel Filing of Reports
- Reopening Reports
- Generating Revised Reports

Requesting the Report for Approval

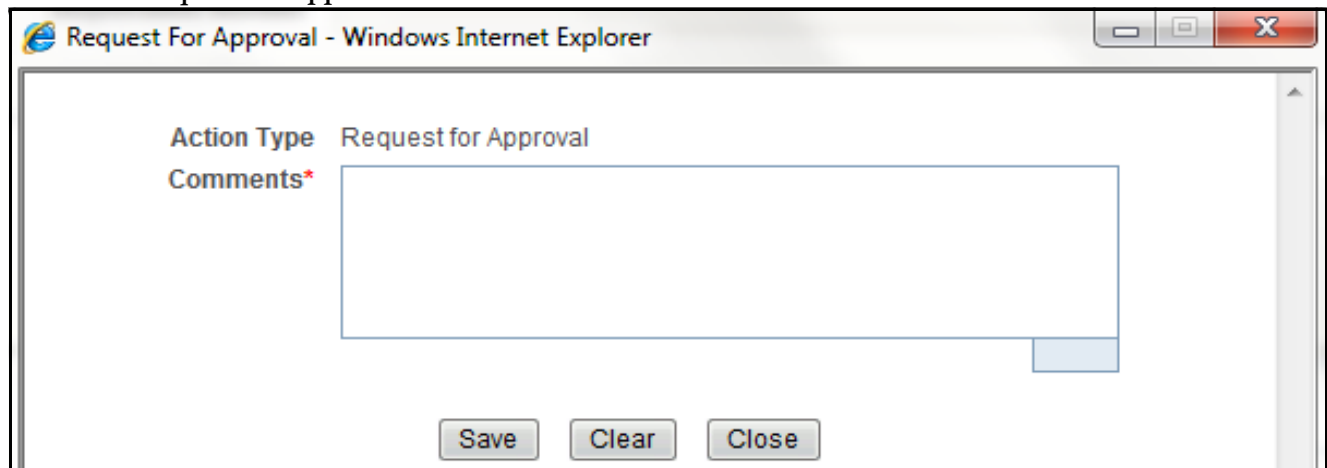
After updating the report details, they must be validated. The Report Details page allows authorized users to validate the report details and then submit the report for approval. When the user submits the report for approval, it is validated if the mandatory fields within the report are displayed. When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

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

For more information, refer to *Table 2*.

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

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



The screenshot shows a web browser window titled "Request For Approval - Windows Internet Explorer". The main content area displays a form with two fields: "Action Type" which is set to "Request for Approval", and "Comments*" which is an empty text box. Below the form are three buttons: "Save", "Clear", and "Close".

Figure 30. Request for Approval Window

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

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

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

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

Approving Reports

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

To approve an STR, follow these steps:

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

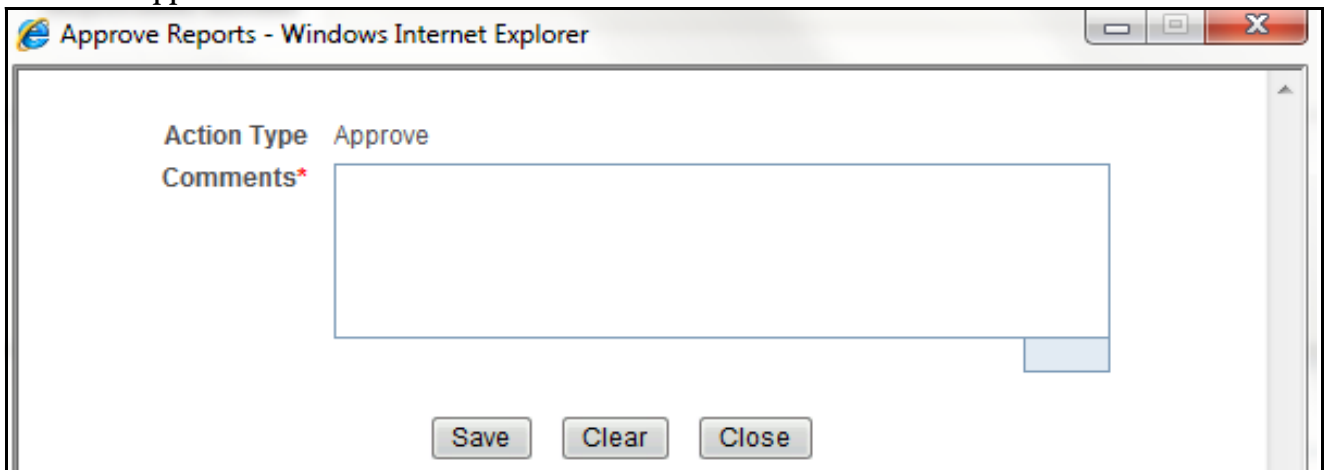


Figure 31. Approve Reports Window

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

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

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

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

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

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

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

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

Reworking on Reports

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

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

To send a report for rework, follow these steps:

1. Navigate to the Report Details page.
2. Click **Rework**. The *Rework* window is displayed.

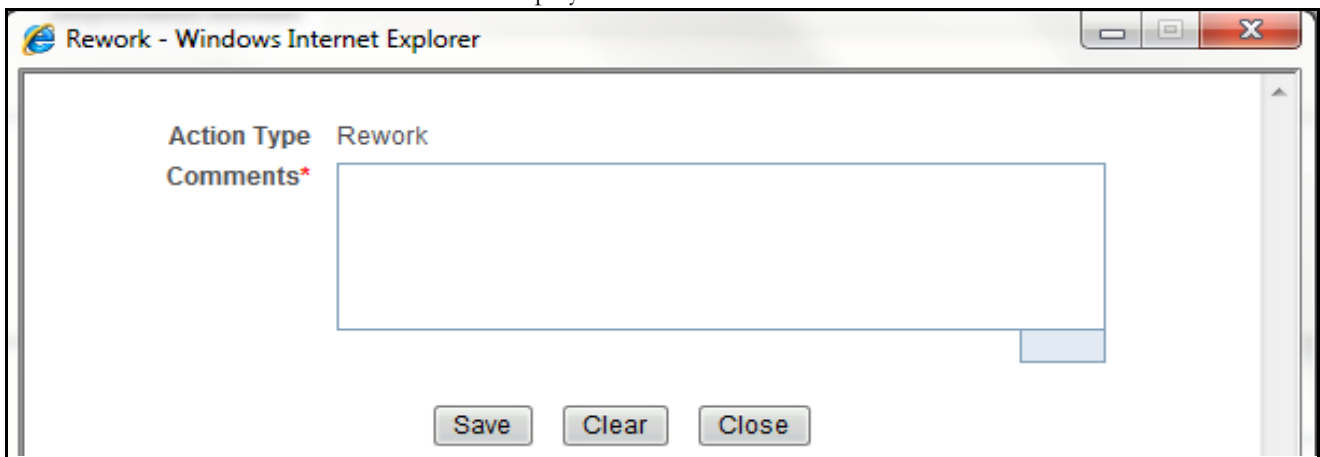


Figure 32. Rework Window

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Rework*.

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

Cancel Filing of Reports

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

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

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

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

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

1. Navigate to the Report Details page.
2. Click **Cancel Filing**. The *Cancel Filing* window is displayed.

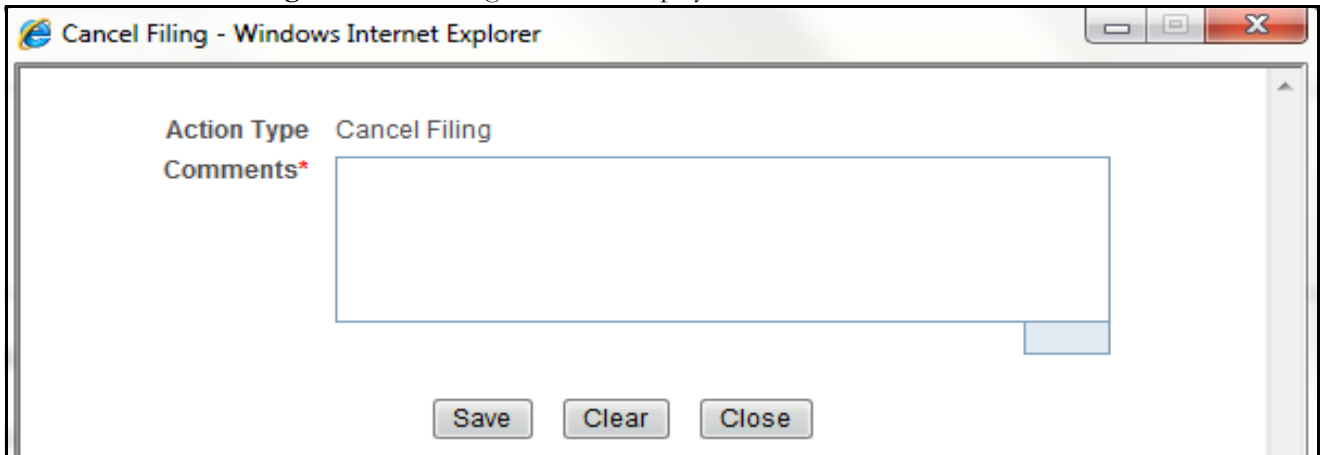


Figure 33. Cancel Filing Window

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Canceled*. The due date of the report is deleted on taking canceled action

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

Reopening Reports

The Search and List page and the Report Details page allows authorized users to initiate reopen action on a report. For more information, refer to Table 2.

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

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

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

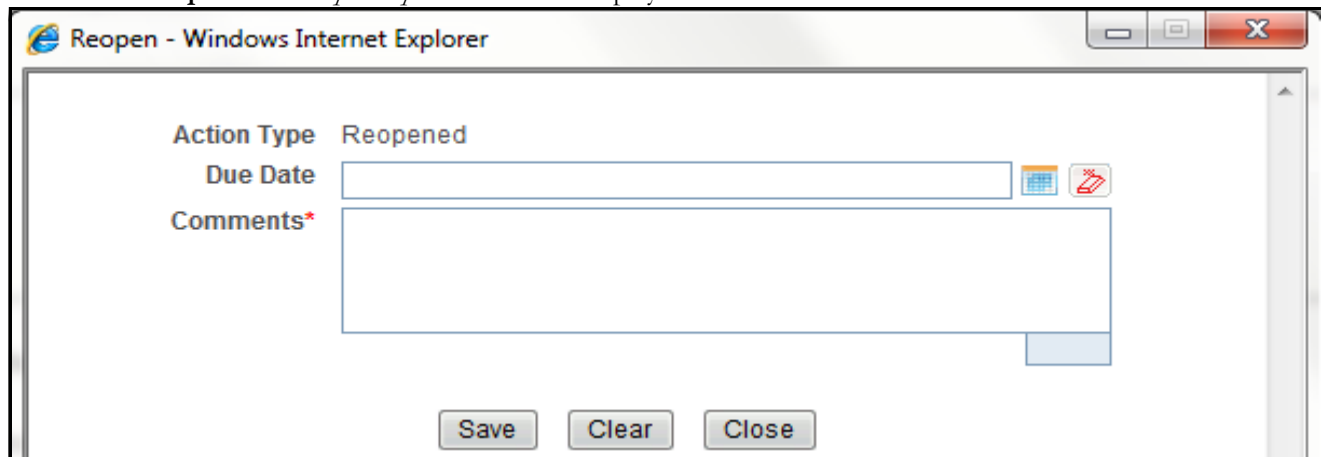


Figure 34. Reopen Reports Window from Report Details Page

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Reopened*.

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

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

1. Navigate to the RR Search and List page.
2. Select the check box of the report(s) you want to reopen.

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

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

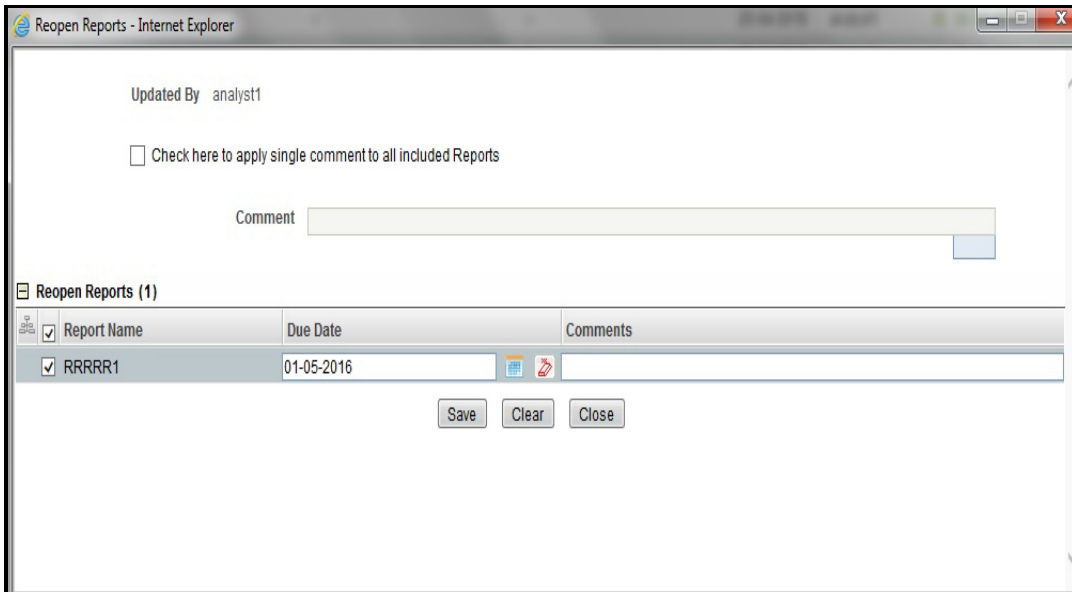


Figure 35. Reopen Reports Window from Search and List Page

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

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

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

- Click **Save**. The following message is displayed: *Update Operation Successful.*
- Click **OK**. The RR Search and List page is displayed and the status of the report changes to *Reopen*.

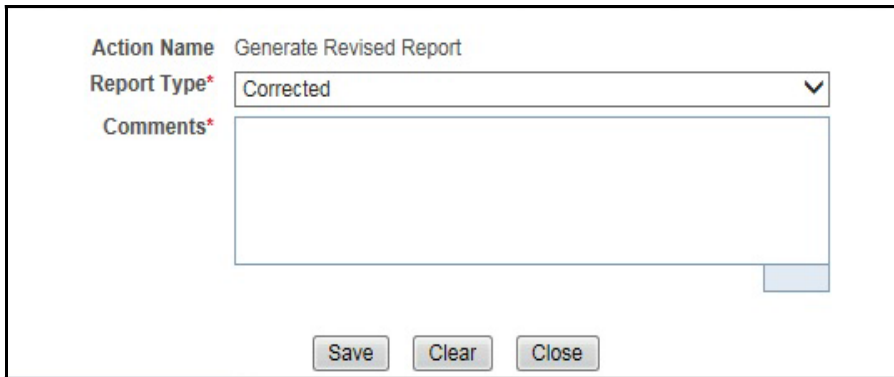
Note: If you try to reopen reports other than in *Canceled* or *Submitted* status, the application displays the following message: *Some reports are not in Canceled or Submitted state. Reopen action can only be taken on Canceled or Submitted reports. Please de-select those reports and try again.*

Generating Revised Reports

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

To generate revised reports, follow these steps:

- Navigate to the Report Details page of a report in *Acknowledged-Rejected* status.
- Click **Generate Revised Reports**. The *Generate Revised Reports* window is displayed.



The screenshot shows a window titled "Generate Revised Reports". It has three main input areas: "Action Name" is a text field containing "Generate Revised Report"; "Report Type*" is a dropdown menu currently set to "Corrected"; and "Comments*" is a large, empty text area. At the bottom of the window, there are three buttons: "Save", "Clear", and "Close".

Figure 36. Generate Revised Reports Window

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Open*.

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

Adding Comments to an STR

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

To add comments to a report, follow these steps:

1. Navigate to the Report Details page of a report.
2. Click **Add Comments**. The *Add Comments* window is displayed.

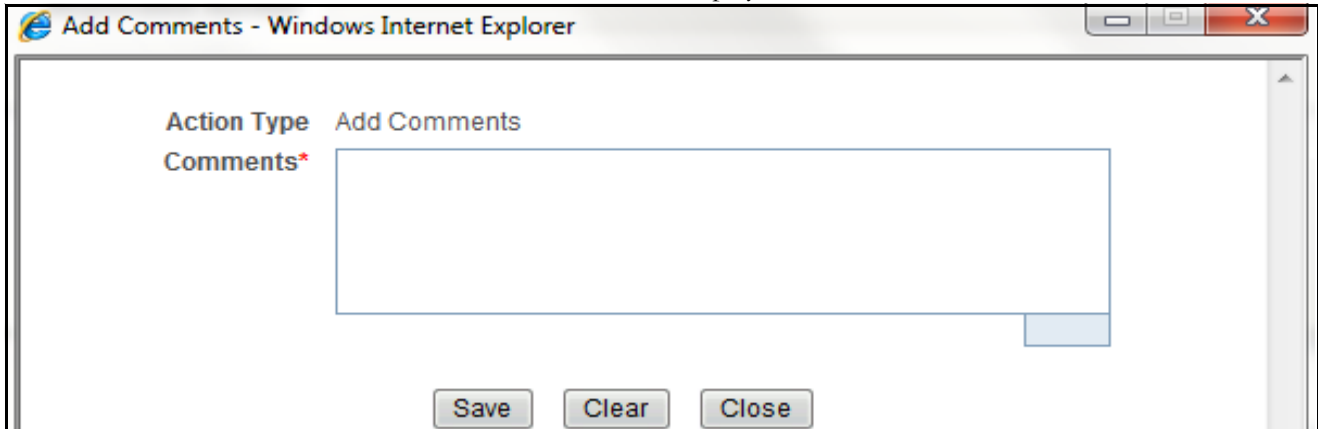


Figure 37. Add Comments Window

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The *Add Comments* window closes and displays the Report Details page.

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

Setting Due Date of an STR

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

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

Table 22. Behavior and Attributes for Various Roles

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

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

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

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

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

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

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

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

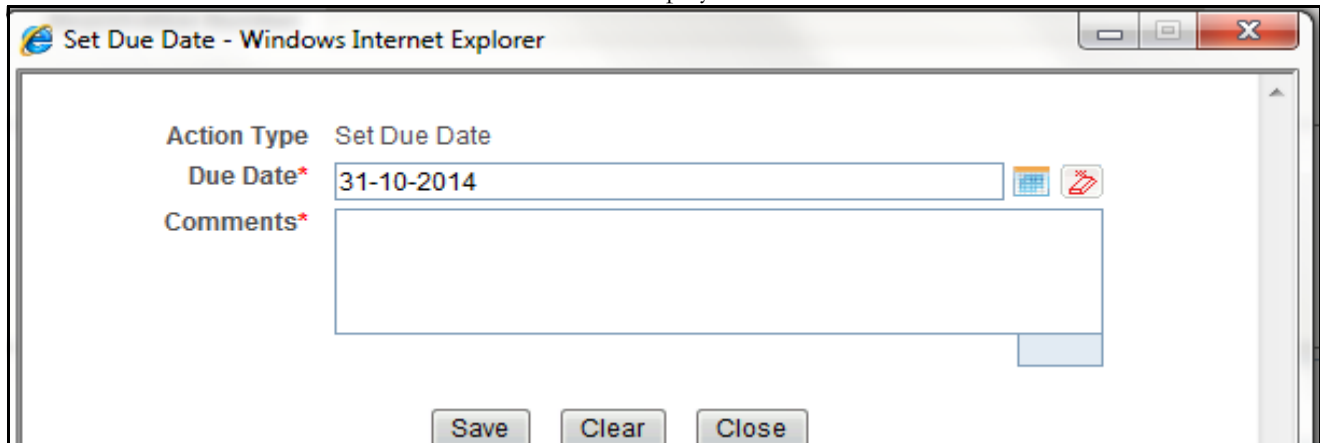


Figure 38. Set Due Date Window

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

Note: This field is a mandatory field.

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

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

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

5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The Report Details page is displayed.

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

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

1. Navigate to the RR Search and List page.
2. Select the check-box of the report you want to set a due date for.
3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

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

4. To set a due date, select a date from the calendar icon.
Note: This field is a mandatory field.
5. Enter the comments in the *Set Due Date* window.

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

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

6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. The RR Search and List page is displayed.

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

Exporting the Report Details to Excel

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

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

1. Navigate to the RR Search and List page.
2. Click **Export to Excel**. The *Export Properties* Window is displayed.

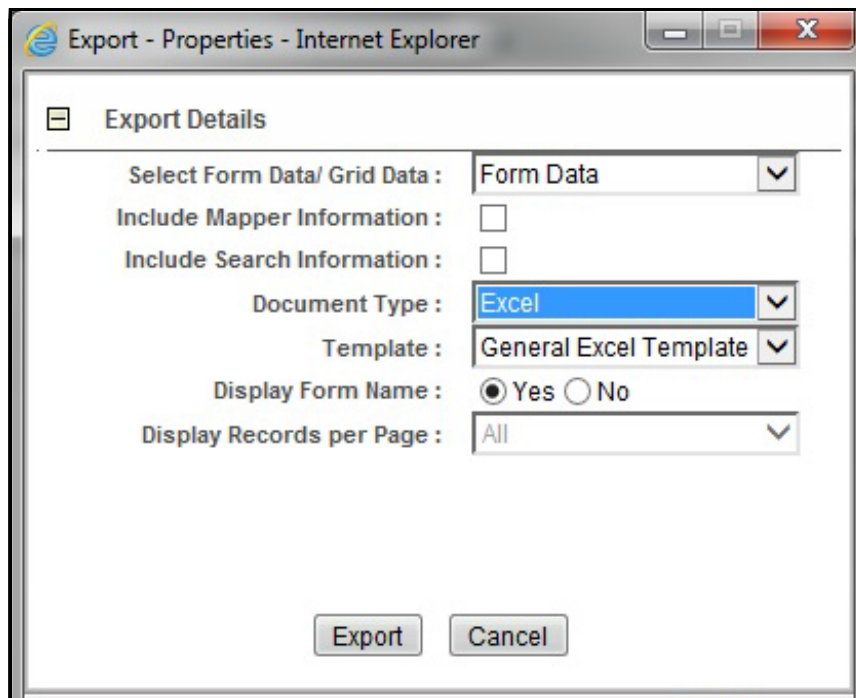


Figure 39. Export Properties Window

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

3. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid** Data.
4. Click **Export** in the Export Properties dialog box.

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

5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a directory location where you want to save the file.
7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.
8. Click **Save**.

The application saves your file to the specified location.

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

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

This chapter discusses the following topics:

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

Overview

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

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

This chapter explains the steps involved in filing approved reports.

Approved Reports Tab

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

Note: Only Supervisor can reject or close approved reports from this tab.

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

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

Searching Approved Reports

To search for approved reports, follow these steps:

1. Login to the OFSRR application as a Supervisor/Analyst.
2. From the Regulatory Reporting menu, hover over **Regulatory Reporting** and click **India STR** and **File Reports**. The File Report page displays.
3. Click **Approved Reports** tab. The Advanced Report List page displays all the reports in *Approved* status.

The screenshot shows the Oracle Financial Crime and Compliance application interface. At the top, it says "ORACLE Financial Crime and Compliance" and "Canada Analyst2 | Tuesday, April 26, 2016". The main navigation bar includes "Regulatory Reporting" and "File Reports". Below this, there are tabs for "Approved Reports", "E-file Status", and "Acknowledgement". A search bar is present with "Search", "Reset", and "Go" buttons. The search criteria section includes fields for Report Number, Report Name, Type of Report, Jurisdiction, Account Number, Alert/Case ID, Approved By, Approved Date, Created By, Created Date, and Due Date. Below the search criteria, there is a section for "Approved Report List (0)" with buttons for "Unwrap", "Generate E-File", and "Export to Excel". The table below has columns for Report #, Report Name, Type of Report, Accounts Involved, Number of Subjects, Number of Transactions, Number of Dispositions, Jurisdiction, Due Date, Created By, and Created Date. The table currently shows "No Data Found".

Figure 40. 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 24. Approved Reports Search Bar Field Descriptions

Field Name	Description
Report Number	Enter the Approved Report Number in the text field to search for details of the exact report. You can also search for multiple Report Numbers by entering a string of comma-separated values in this field. This field is not a wildcard search. You can enter a maximum of 255 characters in this field.
Report Name	Enter the Approved report name to display the list of reports with name as specified in the search criteria. This field supports a wildcard search. You can use the% and _ as wildcard indicators. You can enter a maximum of 50 characters in this field.
Type of Report	Select the type of approved report from the drop-down list to search for details of the exact report. Following are the options available for the Type of Report drop-down list: <ul style="list-style-type: none"> ● New ● Corrected ● Delete ● Corrected and Deleted
Jurisdiction	Select the jurisdiction from the drop-down list to display approved reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case. Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STRs jurisdiction.
Account Number	Enter the account number of the accounts involved in the suspicious activity reported in the approved STR. You can perform multiple account number search by entering a string of comma-separated values in this field.
Alert/Case ID	Enter the Alert/Case ID to display approved reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive. You can enter a maximum of 255 characters in this field. Note: Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.
Approved By	Select the name of the approver to search for approved reports approved by the selected user. Note: This field allows searching of reports with multiple options selected with user names displayed as drop-down options.
Approved Date >=	Select the approved date from the calendar to display approved reports having an approved date greater than or equal to the specified date.

Table 24. Approved Reports Search Bar Field Descriptions

Field Name	Description
Approved Date <=	<p>Select the approved date from the calendar to display approved reports having an approved date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: <i>Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.</i> 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.</i>
Created By	<p>Select the user who has created the approved report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>
Created Date >=	<p>Select the created date from the calendar to display approved reports having a created date greater than or equal to the specified date.</p> <p>Note: You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.</p>
Created Date <=	<p>Select the created date from the calendar to display approved reports having a created date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: <i>Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >=.</i> 2. If you enter a value in created date <= greater than the system date, the application displays the following message: <i>Please enter a 'Created Date <=' which is earlier than or equal to sysdate.</i>
Due Date >=	<p>Select the due date from the calendar to display approved reports having a due date greater than or equal to the specified date.</p>
Due Date <=	<p>Select the due date from the calendar to display approved reports having a due date lesser than or equal to the specified date.</p> <p>Note: If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then all the reports which are created after the Due Date are displayed.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: <i>Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >=.</i>

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

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

Approved Report List

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

This displays the following columns:

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

Note:

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

Generating E-File

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

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

To generate e-file, follow these steps:

1. Login to the OFSRR application as a Supervisor/ Analyst.
2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **India STR** and then **File Reports**. The File Reports page displays.

3. In the **Approved Reports** tab, the Advanced Report List page displays all the reports in *Approved* status. You can also use the Approved Report Search to filter the required reports in *Approved* status.
4. Click **Generate E-File**. The Generate E-File window is displayed.

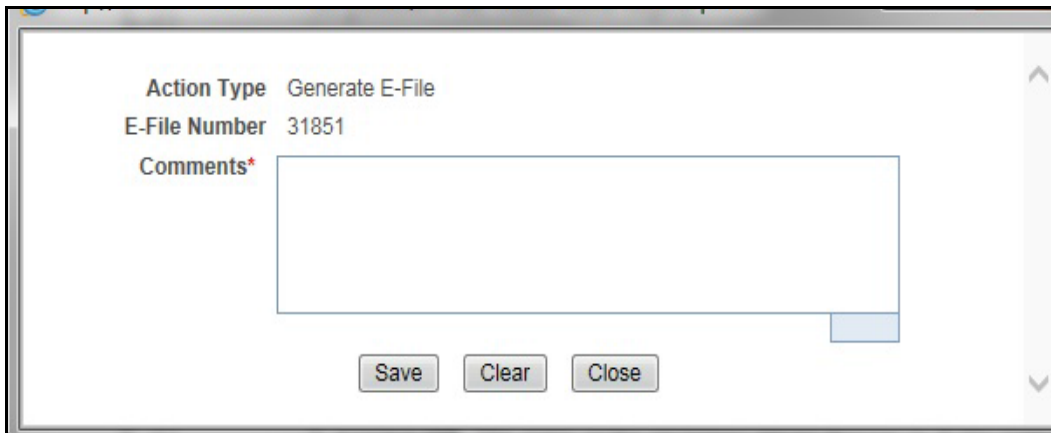


Figure 41. Generate E-File Window

5. Click **Save**. The following message displays: *E-File Generated Successfully*.
6. Click **OK**. The status of the regulatory report changes to *E-File Generated*.

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

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

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

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

Exporting Approved Report Details to Excel

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

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

1. Login to the OFSRR application as a Supervisor/ Analyst.
2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **India STR** and then **File Reports**. The File Reports page displays.
3. In the **Approved Reports** tab, the Advanced Report List page displays all the reports in *Approved* status. You can also use the Approved Report Search to filter the required reports in *Approved* status.
4. Click **Export to Excel**. The *Export Properties Window* is displayed.

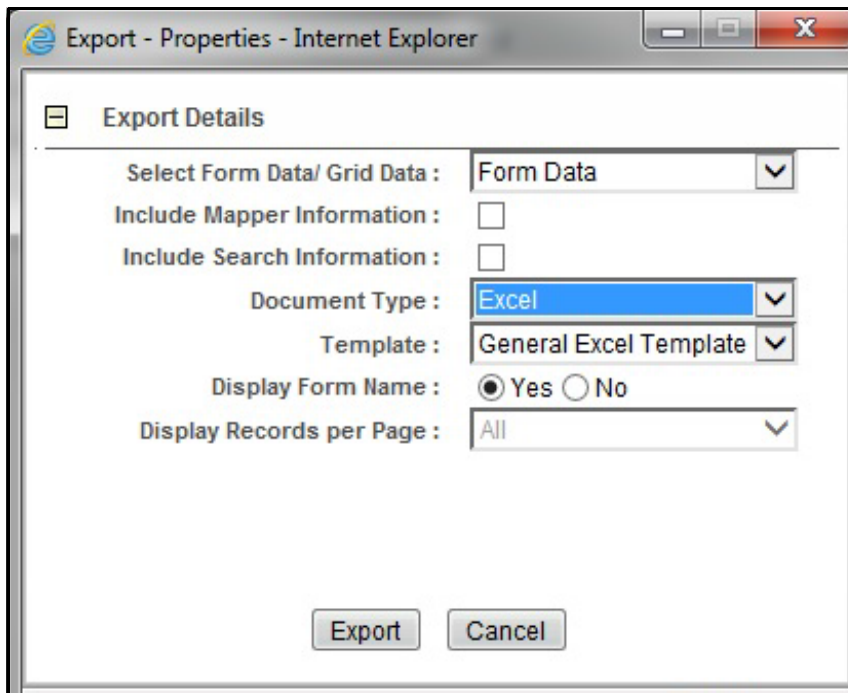


Figure 42. Export Properties Window

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

5. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid Data**.
6. Click **Export** in the Export Properties dialog box.

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

7. Click **Save** from the dialog box. The Save As dialog box is displayed.
8. Select a directory location where you want to save the file.
9. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.
10. Click **Save**.

The application saves your file to the specified location.

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

E-File Status Tab

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

- Searching E-File
- E-File List
- Exporting E-File Details to Excel
- Submitting an E-File

Searching E-File

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

1. Login to the OFSRR application as a Supervisor/Analyst.
2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **India STR** and click **File Reports**. The File Report page displays.
3. Click the **E-File Status** tab.

The screenshot shows the 'Regulatory Reporting' application interface. At the top, there are navigation tabs: 'Approved Reports', 'Efile Status', and 'Acknowledgement'. Below these is an 'E-File Search' section with a search bar and 'Reset' and 'Go' buttons. The search filters include: E-file Number, E-file Status (dropdown), Type of Report (dropdown), E-file Generated By (dropdown), E-file Generated >= (date/time), E-file Generated <= (date/time), Report Number, Report Name, Jurisdiction (dropdown), Account Number, and Alert/Case ID.

Below the search filters is an 'E-File List (2)' section with action buttons: 'Unwrap', 'Export to Excel', 'Submit', and 'Upload Acknowledgement'. The table below contains the following data:

E-File Number	Type of Report	E-File Generated Date	E-File Generated By	Comments	E-File Status	E-File
644	New	16-02-2018	Indian Supervisor	--	E-File Generated	
92	New	04-01-2018	India Supervisor	--	Submitted	

Figure 43. E-File Status Tab

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

Table 25. E-File Search Bar Field Description

Field Name	Description
E-file Number	Enter the E-File Number to search for e-files generated by the selected user.
E-file Status	Select the status of the E-File from the drop- down list to search for details of the E-File: <ul style="list-style-type: none"> ● Select All ● E-File Generated ● Submitted
Type of Report	Select the type of report from the drop-down list to search for details of the E-File. Following are the options available for the Type of Report drop-down list: <ul style="list-style-type: none"> ● New ● Corrected ● Delete ● Corrected and Deleted
E-File Generated By	Select a user role to search for e-files generated by the selected user.
E-File Generated >=	Select the e-file generated date from the calendar to display e-files generated greater or equal to the selected date.
E-File Generated <=	Select the e-file generated date from the calendar to display e-files generated lesser or equal to this date.
Report Number	Enter the number of the regulatory report for which the e-file is generated. Wildcard searches are supported using % as the wildcard symbol.
Report Name	Enter the name of the regulatory report for which the e-file is generated. Wildcard searches are supported using % as the wildcard symbol.
Jurisdiction	Select the jurisdiction from the drop-down list to display e-files generated for the reports mapped to the selected jurisdiction.
Account Number	Enter the account number of the accounts involved in the suspicious activity reported in the approved STR. You can perform multiple account number search by entering a string of comma-separated values in this field.
Alert/Case ID	Enter the Alert or Case ID of the report.

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

E-File List

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

- E-File Number
- Type of Report
- E-File Generated Date
- E-File Generated By
- Comments
- E-File Status

- E-File

Report List

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

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

Exporting E-File Details to Excel

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

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

1. Login to the OFSRR application as a Supervisor/ Analyst.
2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **India STR** and then **File Reports**. The File Reports page displays.
3. In the **E-File Status** tab, select the records that you want to export to Excel. Click **Export to Excel**. The *Export Properties* Window is displayed.

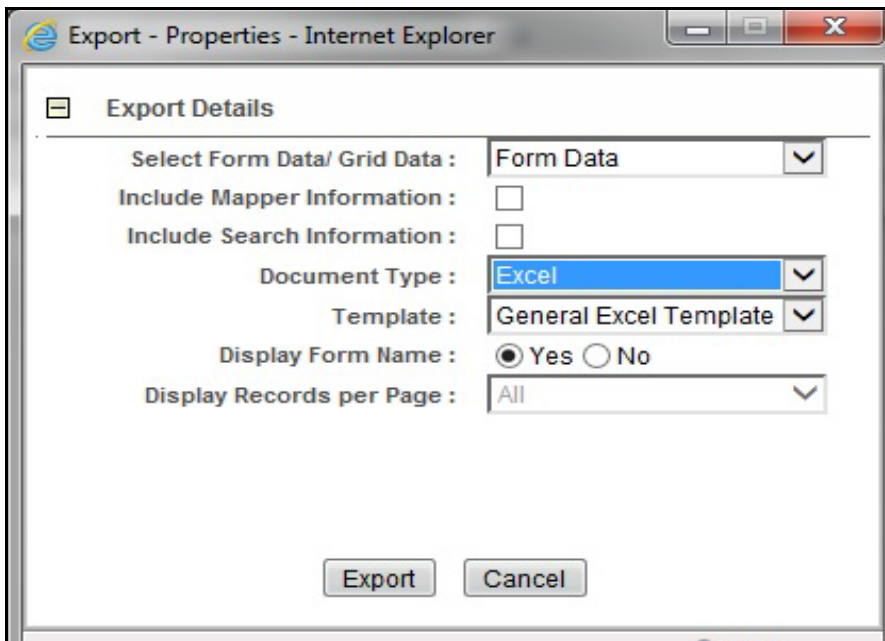


Figure 44. Export Properties Window

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

4. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid** Data.
5. Click **Export** in the Export Properties dialog box.

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

6. Click **Save** from the dialog box. The Save As dialog box is displayed.
7. Select a directory location where you want to save the file.
8. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.
9. Click **Save**.

The application saves your file to the specified location.

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

Submitting an E-File

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

1. Login to the OFSRR application as a Supervisor/ Analyst.
2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **India STR** and then **File Reports**. The File Reports page displays.
3. In the **E-File Status** tab, select a record/ records which are in the *E-File Generated* or *E-File Regenerated* status from the E-File List.

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

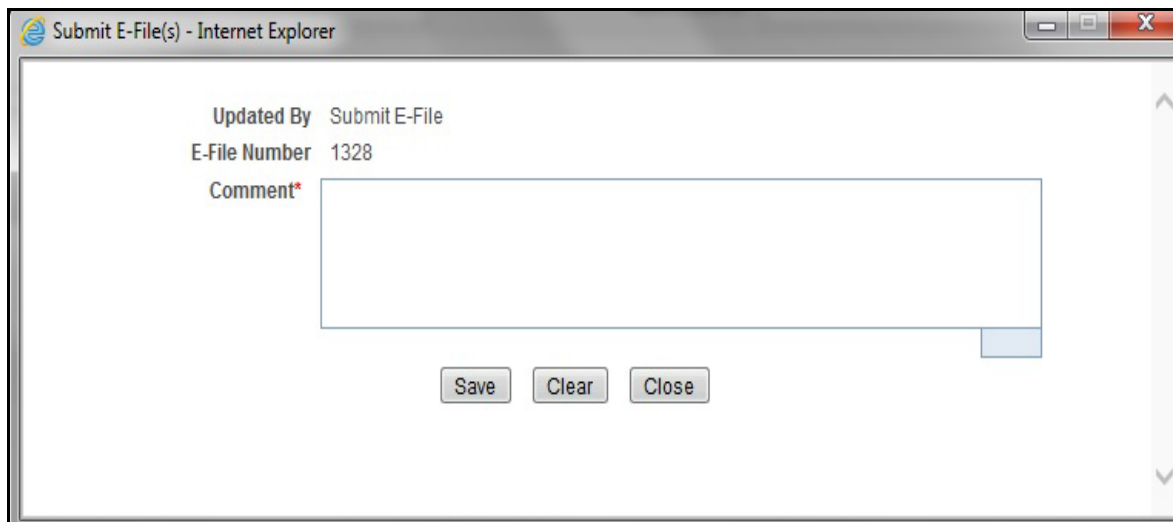


Figure 45. Submit E-File Details

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

Upload Acknowledgment

The File Report page also allows user to upload the acknowledgment. This function allows the user to upload the acknowledgment linked to the e-file number. To upload acknowledgment follow these steps:

1. Login to the OFSRR application as a Supervisor/Analyst.
2. From the Regulatory Reporting menu, hover over **Regulatory Reports**, click **India STR** and then **File Reports**. The File Reports page displays.
3. Click **E-File Status** tab.
4. From E-File List results, click E-File Number of an e-file record that you want to upload the acknowledgment for. After selecting the e-file record click **Upload Acknowledgment**, a new window is open.

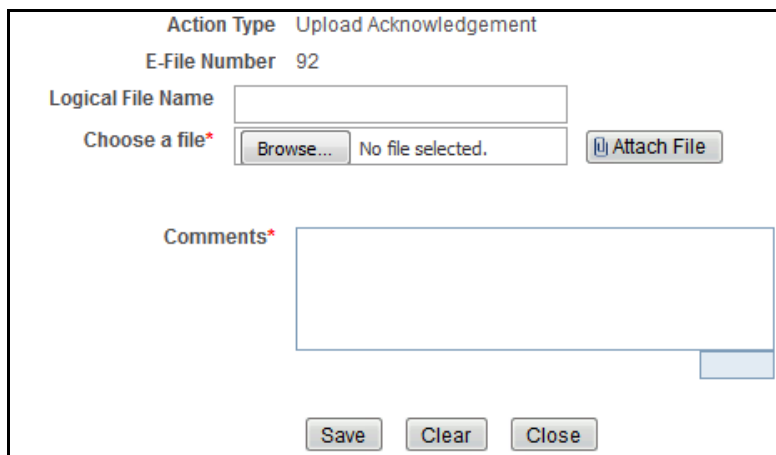


Figure 46. Upload Acknowledgment Window

5. Enter the Logical File Name.
6. Choose file which user want to upload. The file can be selected from the system by using browse option.
7. Add the comment required.
8. Click **Save** to proceed with attachment. User can click on **Clear** to remove the entered data and enter again. Click **Cancel** to cancel the upload process.

The user Uploads Acknowledgment in E File Status Tab. Once Acknowledgment is Uploaded, the system will read it and reflect details in acknowledgment tab.

If System is not able to read the acknowledgment file, then it throws the following error message *Invalid Acknowledgment Format*.

In Acknowledgment Screen, it reflects all the acknowledgment Details as provided in the Data Mapping Sheet. For more details refer the *Acknowledgment Tab* section.

Acknowledgment Tab

Acknowledgment tab contains the data fetched from the acknowledgment upload in e-file status tab. This section reflects the all the acknowledgment details as provided in the data mapping sheet uploaded during the upload.

Following are the two sections in this tab:

1. Search
2. Acknowledgment Receipts

Search

In this tab search function can be used based on the following three fields:

- **E-File Number** - In this field e-file number can be used to search acknowledgment to which it is linked.
- **Acknowledgment Uploaded Date >=** - Select the acknowledgment upload date from the calendar to display reports having an acknowledgment upload date greater than or equal to the specified date.

Note: You can either perform a range search using ‘acknowledgment upload date>=’ and ‘acknowledgment upload <=’ or use them independently.

- **Acknowledgment Uploaded Date =>** - Select the acknowledgment upload date from the calendar to display reports having a acknowledgment upload date lesser than or equal to the specified date.

Acknowledgment Receipts

This grid in Acknowledgment tab displays the list of Acknowledgment done for each e-file. The list displays the following mentioned columns:

- Acknowledgment ID
- Batch ID
- Batch Type
- Report Entity Name
- Principle Officer’s Name

- Total Reports
- Number of Rejected Reports
- Quality Ratings
- Number of Fatal Error in Batch
- Number of Fatal Error in Report
- Remark
- Acknowledgment

Following are the actions that can be taken Acknowledgment section:

- Generate Revised Batch - Replacement
- Generate Revised Batch - Delete

Generate Revised Batch - Replacement

1. **Generate Revised Batch** action button is available on Acknowledgment Grid.
2. When user clicks on Generate Revised Batch. A Generate Revised Batch Pop up opens.
 - Now User have to select the reports that they want to create a revised copy.
 - On click of OK, the system creates revised copies of selected Report.
3. The revised report is created in open status. User performs necessary changes and approves it.
4. Once the Report is approved. Users go to approved Reports Tab.
5. When user selects Type of Filing as Corrected/Deleted, then the filter condition Prior Batch ID gets enabled and this is mandatory field for this condition.
6. The system now has the revised reports for that Prior Batch ID in the grid.
7. For corrected batch when user clicks on **Generate E File**, System checks Prior Batch ID. Using Prior Batch ID, system will fetch the original corrected reports which was not revised and create E File with old and new revised Reports. This report will have Batch Type as Corrected.
8. For any older report which was not corrected, if user takes an deleted action. This report will not get added in Corrected Batch. For Example, If report R1 and R2 was not edited but user has taken action **corrected** on R3 and action **deleted** on R4, then the corrected batch will only have R1, R2 and R5(revised R3).
9. Then user will submit this corrected E File to the regulator.

Generate Revised Batch - Delete

1. **Generate Revised Batch** action button is available on Acknowledgment Grid.
2. When user clicks on Generate Revised Batch. A Generate Revised Batch Pop up opens.
 - Now User have to select the reports that they want to create a revised copy.
 - On click of OK, the system creates revised copies of selected Report.
3. Now the revised report is created in open status and in Non Editable mode. User can check the details and approve it.
4. The Report is approved. and available in Reports Tab.

5. When user selects Type of Filing as **Corrected/Deleted**, then the filter condition **Prior Batch ID** gets enabled. This is mandatory field for this condition.
6. System gets all the revised reports for that Prior Batch ID.
7. Now when user will click on **Generate E File**, System generates e file of the reports present in approved report grid. Batch Type of this report gets **Deleted**.
8. Then user submits this deleted E File to the regulator.

General Mandatory Information

1. **Revised E File Generated** can be used to check whether a revised Report is generated on this acknowledgment ID.
2. User is able to generate as many revised batch/e file as they want on this acknowledgment ID, till an E File/Batch is generated of those revised batch and submitted to the regulator. When user tries to take Generate Revised Batch action on an acknowledgment which has a revised generated and Submitted E File, the following error is displayed *You have already Generated Corrected/ Deleted E File(s) for this acknowledgment. Please select any other acknowledgment.*
3. As indicated above user can take generate revised batch action multiple times till an E-File or batch is generated. But when the user takes action again the popup is shown only those reports which has not been revised.

For example - If user has taken the action and in an e file selected R1 and R2 for Revised and not done anything for R3 and R4. Next time when user will take Generate Revised Batch action it will only show R3 and R4.

