Oracle Financial Services goAML User Guide

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About This Guide

The *Oracle Financial Services goAML User Guide* explains the concepts behind the Oracle Financial Services 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 goAML User Guide* is designed for use by various users. Their roles and responsibilities, as they operate within the Oracle Financial Services 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 goAML User Guide* includes the following topics:

- Chapter 1, *About goAML*, provides an overview of the Oracle Financial Services goAML application.
- Chapter 2, *Getting Started*, explains the steps to login to the Oracle Financial Services goAML application and provides a brief overview of the various users and their roles in the goAML application.
- Chapter 3, *Managing goAML*, explains the workflow of regulatory reports.

Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*: This guide explains the structure of the entities in the RR data model and provides in-depth information on managing the data in the 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 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 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 Regulatory Reporting application.
- *Oracle Financial Services goAML Administration Guide*: This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Regulatory Reporting application. This guide details the 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
Italics	● Names of books, chapters, and sections as references ● Emphasis
Bold	● Object of an action (menu names, field names, options, button names) in a step-by-step procedure ● Commands typed at a prompt ● User input
`Monospace`	● Directories and subdirectories ● File names and extensions ● Process names ● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
Asterisk	Mandatory fields in User Interface
<Variable>	Substitute input value

CHAPTER 1 About goAML

This chapter provides an overview of the Oracle Financial Services goAML application.

This chapter discusses the following topics:

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

The United Nations Office on Drugs and Crime (UNODC) standard software system available for Financial Intelligence Units to counter Terrorist Financing and Money Laundering.

In today's global economy, terrorist financing and money-laundering have assumed heightened importance. Money-laundering and the financing of terrorism are global problems that threaten the security and stability of financial institutions and also lead to undermining economic prosperity. A lot is being done in order to combat money laundering at the global level.

goAML is a UNODC response to combat money-laundering. It is an intelligence analysis system intended to be used by the FIU (Financial Intelligence Unit). FIUs have a big role to play as they have access to financially related information that provides a base for financial investigations. An FIU is responsible for receiving, analyzing and processing reports required from financial institutions or person referred to in national anti-money-laundering legislation.

Financial Intelligence Units play a leading role in any anti-money laundering regime as they are generally responsible for receiving, processing and analyzing reports made by financial institutions or other entities according to the requirements of domestic anti-money laundering laws and regulations. Such reports and other information gathered by FIU's often provide the basis for investigations into money laundering, terrorist financing and other serious offence. We have created this template to allow the bank to generate the final XML Suspicious Transaction Report that will be submitted to their regulator via goAML.
For more information on the workflow of regulatory reports section, refer to *Table 2*.

CHAPTER 2

Getting Started

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

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to goAML
- Accessing goAML

User Roles

The following user roles are defined in the goAML application:

- **Analyst**: This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen cancelled reports, and also view/save the final report.
- **Auditor**: This user can view and add comments to the report.
- **Supervisor**: This user can access Regulatory Reports, create new reports, edit and view report details, add comments to the report. This user can also take actions on the reports such as approve, rework, and cancel filing of reports. This user can also submit the reports.
- **RR Admin**: This user is responsible for handling various configurations required to support the report workflow.

User Access

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

Table 2. User Access

Function	Analyst	Supervisor	Auditor	RR Admin
View Report	x	x	x	
Request for Approval	x			
Approve		x		
Rework		x		
Cancel Filing from Open and Reopen status	x	x		
Cancel Filing from Requested for Approval and Approved status		x		
Add Report Comments	x	x	x	

Table 2. User Access

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

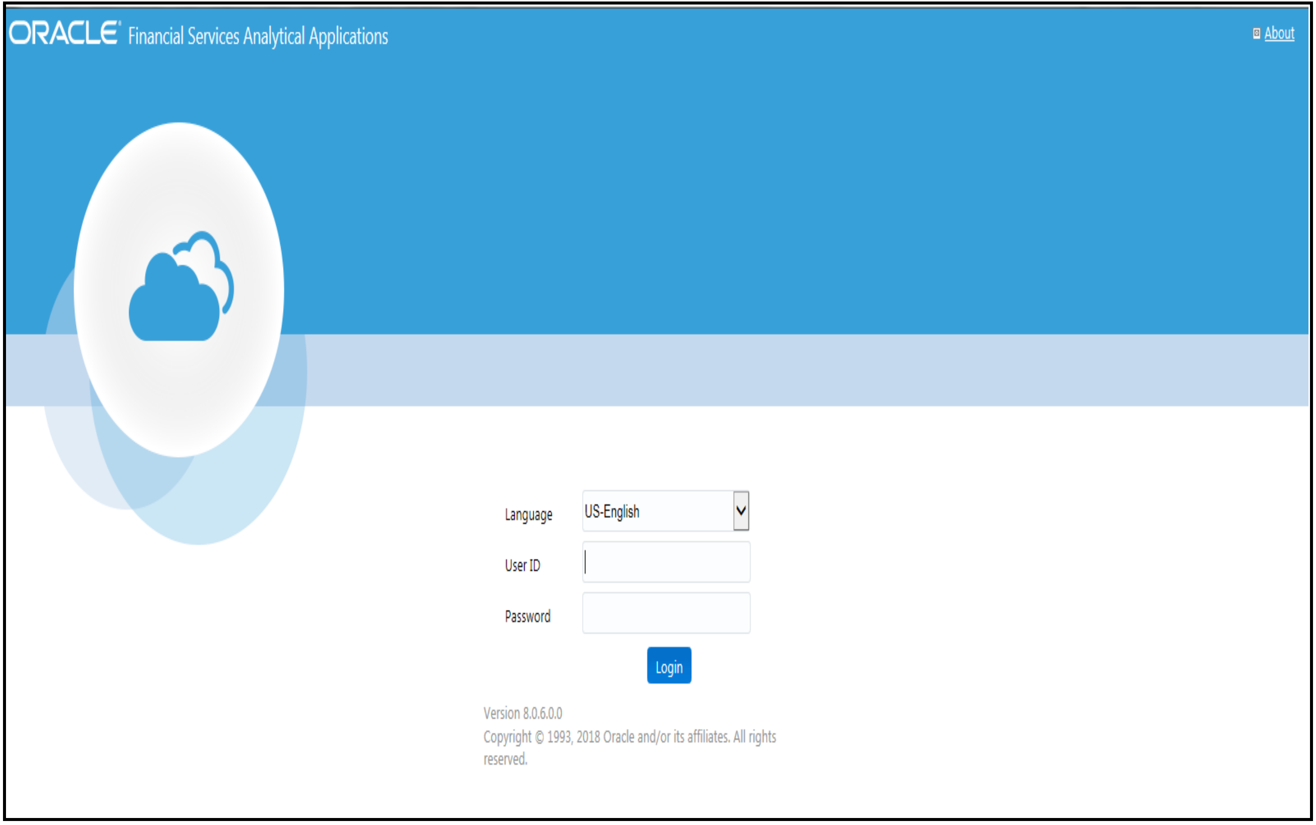
Logging in to goAML

To access the goAML application, follow these steps:

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

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

The OFSAA Login page is displayed.


ORACLE Financial Services Analytical Applications
About
Language
User ID
Password
Login

Language: US-English

Version 8.0.6.0.0

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Figure 1. OFSAA login page

2. Select the **Language** from the Language drop-down list.
3. Enter your **User ID** and **Password**.
4. Click **Login**. The OFSAA Application page is displayed.

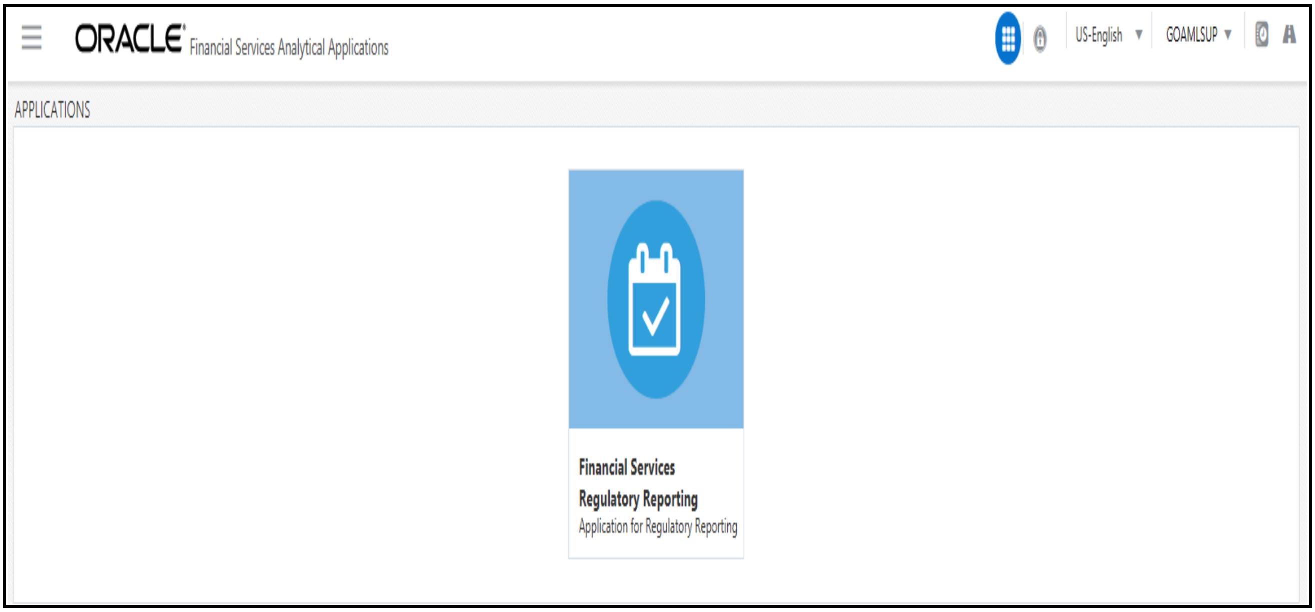
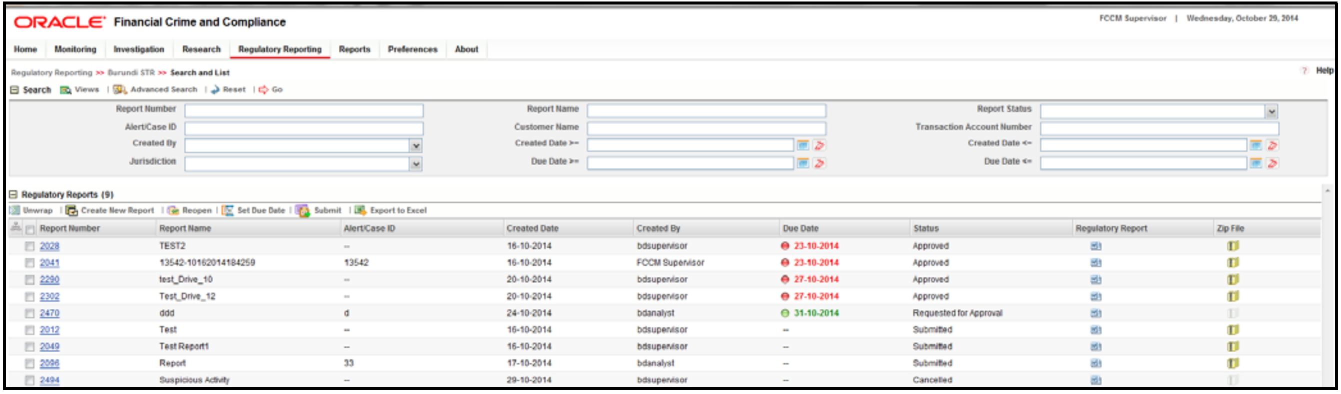

ORACLE Financial Services Analytical Applications
US-English
GOAMLSUP
APPLICATIONS
Financial Services
Regulatory Reporting
Application for Regulatory Reporting

Figure 2. Application Page

5. The OFSAA Application Page displays the list of applications available under each pack:. This page is divided into two parts:
   - **Left Pane:** Displays any menus and links to modules in a tree format based on the application selected in the **Select Application** drop-down list.
   - **Center of the page:** Displays the list of applications under the pack. . It also provides a brief description of each menu or link.
6. Click **Financial Services Regulatory Reporting**. The goAML home page is displayed depending upon the user roles and their access permissions.
7. From the Regulatory Reporting menu, hover over Burundi STR, and click **Search and List**. The RR Search and List page opens.


ORACLE Financial Crime and Compliance
FCCM Supervisor | Wednesday, October 29, 2014
Home
Monitoring
Investigation
Research
Regulatory Reporting
Reports
Preferences
About
Regulatory Reporting >> Burundi STR >> Search and List
Help
Search
Views
Advanced Search
Reset
Go
Report Number
Alert/Case ID
Created By
Jurisdiction
Report Name
Customer Name
Created Date >=
Due Date >=
Report Status
Transaction Account Number
Created Date <=
Due Date <=
Regulatory Reports (9)
Unwrap
Create New Report
Reopen
Set Due Date
Submit
Export to Excel

Report Number	Report Name	Alert/Case ID	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
2028	TEST2	--	16-10-2014	bdsupervisor	● 23-10-2014	Approved		
2041	13542-10162014184259	13542	16-10-2014	FCCM Supervisor	● 23-10-2014	Approved		
2290	test_Drive_10	--	20-10-2014	bdsupervisor	● 27-10-2014	Approved		
2302	Test_Drive_12	--	20-10-2014	bdsupervisor	● 27-10-2014	Approved		
2470	ddd	d	24-10-2014	bdanalyst	● 31-10-2014	Requested for Approval		
2012	Test	--	16-10-2014	bdsupervisor	--	Submitted		
2049	Test Report1	--	16-10-2014	bdsupervisor	--	Submitted		
2096	Report	33	17-10-2014	bdanalyst	--	Submitted		
2494	Suspicious Activity	--	29-10-2014	bdsupervisor	--	Cancelled		

Figure 3. RR Search and List Page in OFS BDSTR

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

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

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

CHAPTER 3

Managing goAML

This chapter provides step-by-step instructions to manage Oracle Financial Services goAML (OFSgoAML) and includes the following topics:

- goAML 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

goAML Workflow

This section explains the workflow of goAML for users mapped to the role of Analyst and Supervisor.

The following figure depicts the workflow involved in goAML application:

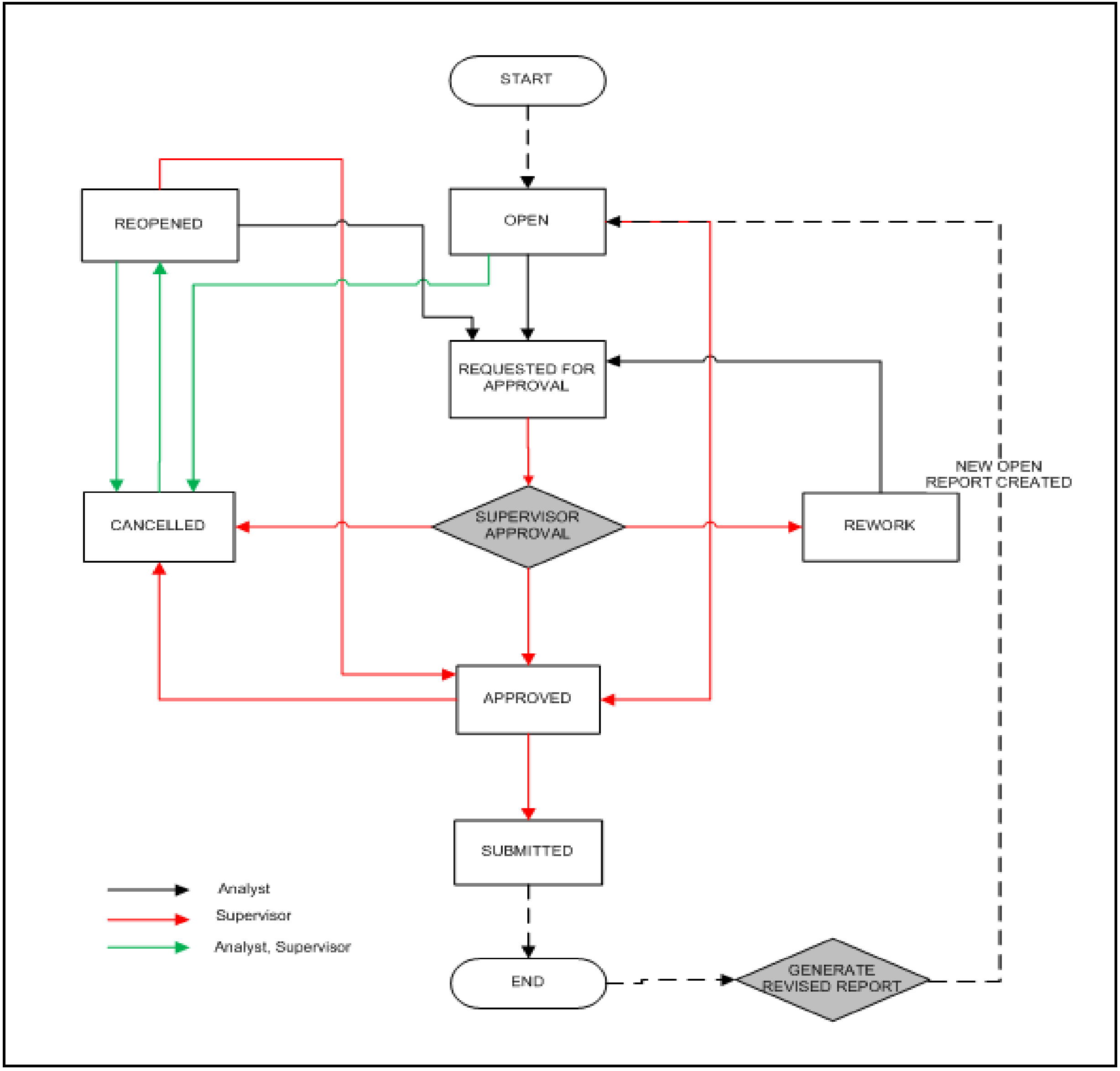

START
REOPENED
OPEN
REQUESTED FOR APPROVAL
NEW OPEN REPORT CREATED
CANCELLED
SUPERVISOR APPROVAL
REWORK
APPROVED
SUBMITTED
Analyst
Supervisor
Analyst, Supervisor
END
GENERATE REVISED REPORT

Figure 3. goAML 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 Regulatory Reporting application as a result of taking *goAML* action from within OFSFCCM or manually creating a report from OFSRR. When an STR is created in the Regulatory Reporting application through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the action to generate the STR. Users mapped to the role of Analyst can update the report in *Open* status and request the report details for approval. During the edit and review process, the STR is available to view as a draft report.

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

If the STR is approved by the Supervisor, the Regulatory Reporting application generates the STR in final XML format after all the necessary validations. The STR is then manually submitted to the Regulator. Submission to the Regulator occurs outside of OFSCRR. The STR status can then be marked as *Submitted* in the Regulatory Reporting application.

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

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

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

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

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

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

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

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

Table 3. Action that can be performed in various statuses

Report Status	Possible Actions	Who can Perform	Report Status Changes To
Open	Request for Approval	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	Cancel Filing	Supervisor	Canceled
	Submit	Supervisor	Submitted
Rework	Request for Approval	Analyst1 and Analyst2	Requested for Approval
Cancelled	Reopen	Analyst1, Analyst2 and Supervisor	Reopened

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

	Edit Report Details			
Status	**Analyst1**	**Analyst2**	**Supervisor**	**Auditor**
Open	X	X	X	
Reopened	X	X	X	
Requested for Approval			X	
Approved				
Rework	X	X	X	
Submitted				
Cancelled				

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

Table 5. Statuses in which Reports are viewed by users

	View Report Details			
Status	**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
Rework	X	X	X	X
Cancelled	X	X	X	X
Submitted	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:

- Generating STR from OFSFCCM
- Manually Creating STR from OFSCRR

Generating STR from OFSFCCM

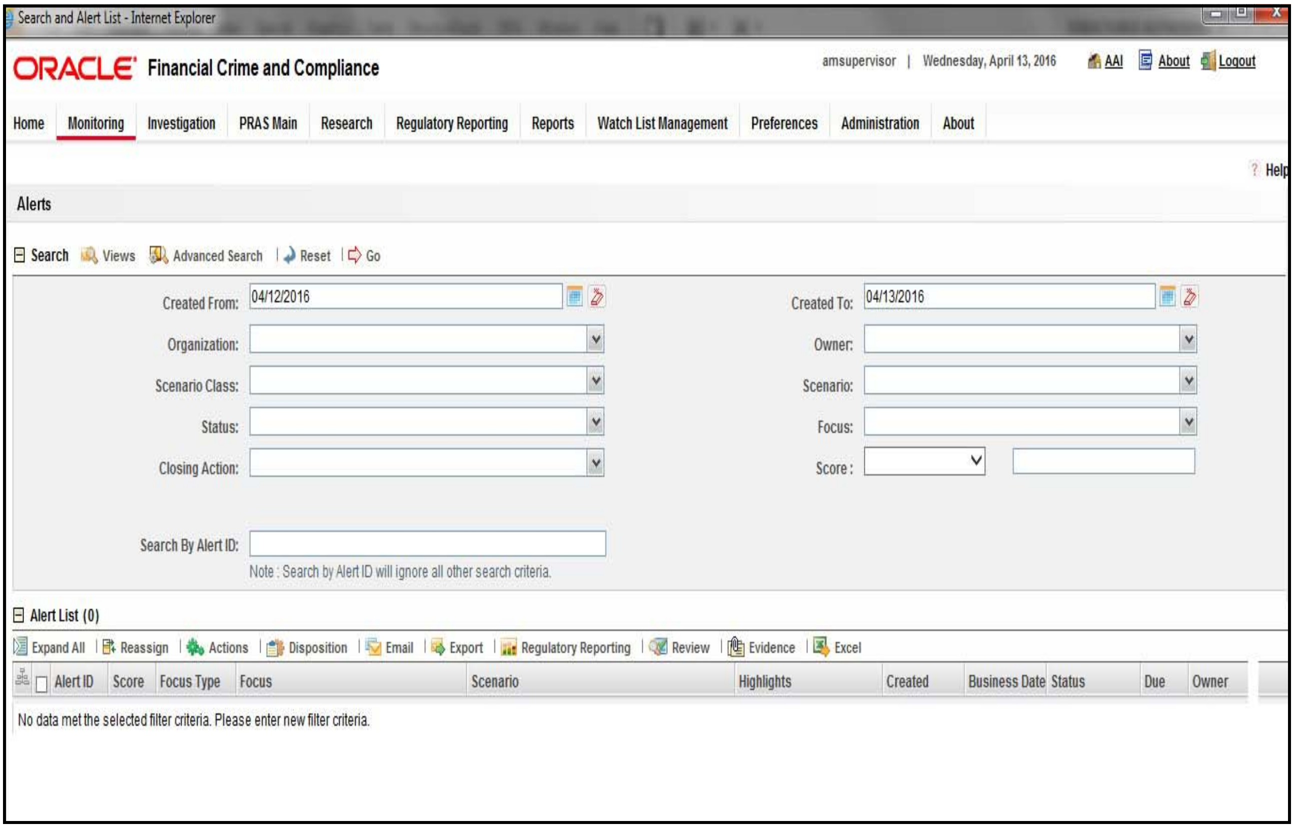
When a user with appropriate access permission performs the **Generate STR** action on an alert or a case from OFSFCCM, the data is passed to the OFSCRR through the web service and a new STR is created in the OFSCRR. This section displays the following topics:

- 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.



Search and Alert List - Internet Explorer
ORACLE Financial Crime and Compliance
amsupervisor | Wednesday, April 13, 2016
AAI
About
Logout
Home
Monitoring
Investigation
PRAS Main
Research
Regulatory Reporting
Reports
Watch List Management
Preferences
Administration
About
Help
Alerts
Search
Views
Advanced Search
Reset
Go
Organization:
Owner:
Scenario Class:
Scenario:
Status:
Focus:
Closing Action:
Score :
Search By Alert ID:
Alert List (0)
Expand All
Reassign
Actions
Disposition
Email
Export
Regulatory Reporting
Review
Evidence
Excel
Alert ID
Score
Focus Type
Focus
Scenario
Highlights
Created
Business Date
Status
Due
Owner

Created From: 04/12/2016

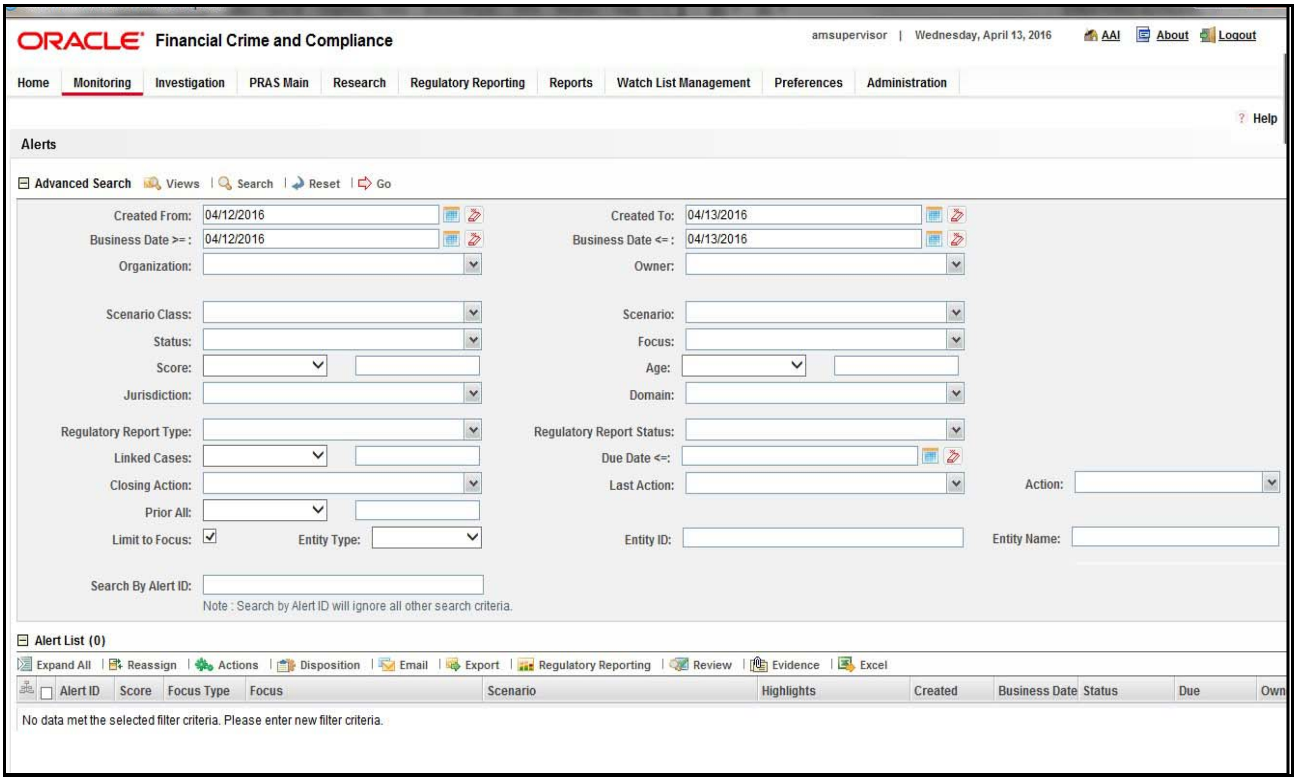
Created To: 04/13/2016

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

No data met the selected filter criteria. Please enter new filter criteria.

Figure 4. Alerts Search and List Page

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


ORACLE Financial Crime and Compliance
amsupervisor | Wednesday, April 13, 2016
AAI
About
Logout
Home
Monitoring
Investigation
PRAS Main
Research
Regulatory Reporting
Reports
Watch List Management
Preferences
Administration
Help
Alerts
Advanced Search
Views
Search
Reset
Go
Organization:
Owner:
Scenario Class:
Scenario:
Status:
Focus:
Score:
Age:
Jurisdiction:
Domain:
Regulatory Report Type:
Regulatory Report Status:
Linked Cases:
Due Date <=:
Closing Action:
Last Action:
Action:
Prior All:
Entity Type:
Entity ID:
Entity Name:
Search By Alert ID:
Alert List (0)
Expand All
Reassign
Actions
Disposition
Email
Export
Regulatory Reporting
Review
Evidence
Excel
Alert ID
Score
Focus Type
Focus
Scenario
Highlights
Created
Business Date
Status
Due
Own

Created From: 04/12/2016

Created To: 04/13/2016

Business Date >= : 04/12/2016

Business Date <= : 04/13/2016

Limit to Focus: ☑

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

No data met the selected filter criteria. Please enter new filter criteria.

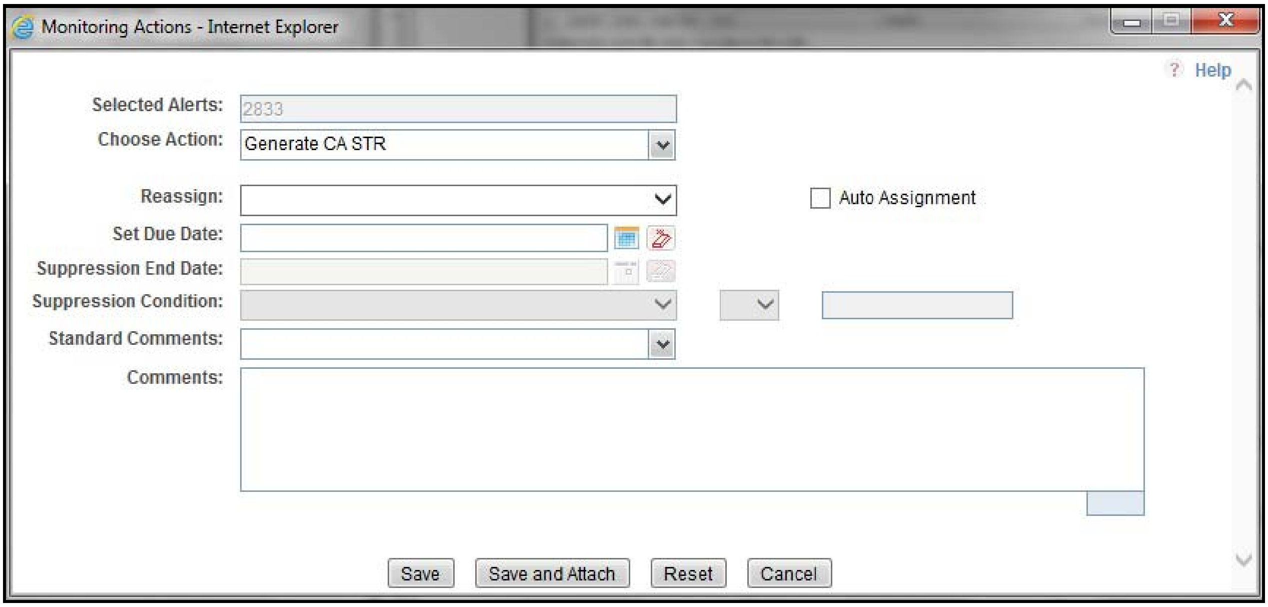
Figure 5. Alerts Advanced Search

> **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 STR** from the Choose Action drop-down list in the *Monitoring Actions* Window and enter the comments.

Figure 6. Monitoring Actions Window



Monitoring Actions - Internet Explorer
Help
Reassign:
☐ Auto Assignment
Set Due Date:
Suppression End Date:
Suppression Condition:
Standard Comments:
Comments:
Save
Save and Attach
Reset
Cancel

Selected Alerts: 2833

Choose Action: Generate CA STR

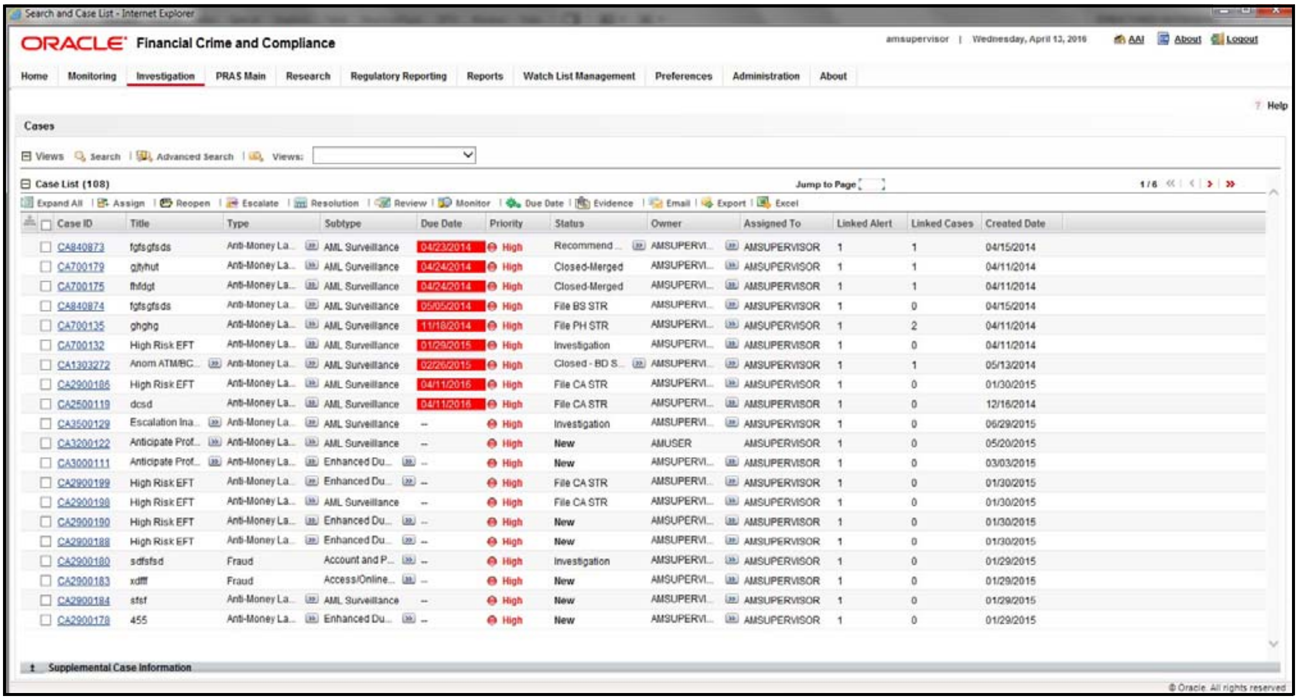
7. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*
8. Click **OK.** A success message is displayed along with the alert ID. Click **OK**.
9. Navigate to the RR Search and List page. The latest alert on which **Generate STR** action was taken is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

   Note: You can also perform **Generate 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.



Search and Case List - Internet Explorer

ORACLE Financial Crime and Compliance

amsupervisor | Wednesday, April 13, 2016 AAI About Logout

Home
Monitoring
Investigation
PRAS Main
Research
Regulatory Reporting
Reports
Watch List Management
Preferences
Administration
About
Help
Cases
Views
Search
Advanced Search
Views:
Case List (108)
Jump to Page
1 / 6
Expand All
Assign
Reopen
Escalate
Resolution
Review
Monitor
Due Date
Evidence
Email
Export
Excel

☐	Case ID	Title	Type	Subtype	Due Date	Priority	Status	Owner	Assigned To	Linked Alert	Linked Cases	Created Date
☐	CA840873	fgfsgfsds	Anti-Money La...	AML Surveillance	04/23/2014	High	Recommend ...	AMSUPERVI...	AMSUPERVISOR	1	1	04/15/2014
☐	CA700179	gjtyhut	Anti-Money La...	AML Surveillance	04/24/2014	High	Closed-Merged	AMSUPERVI...	AMSUPERVISOR	1	1	04/11/2014
☐	CA700175	fhfdgt	Anti-Money La...	AML Surveillance	04/24/2014	High	Closed-Merged	AMSUPERVI...	AMSUPERVISOR	1	1	04/11/2014
☐	CA840874	fgfsgfsds	Anti-Money La...	AML Surveillance	05/05/2014	High	File BS STR	AMSUPERVI...	AMSUPERVISOR	1	0	04/15/2014
☐	CA700135	ghghg	Anti-Money La...	AML Surveillance	11/18/2014	High	File PH STR	AMSUPERVI...	AMSUPERVISOR	1	2	04/11/2014
☐	CA700132	High Risk EFT	Anti-Money La...	AML Surveillance	01/29/2015	High	Investigation	AMSUPERVI...	AMSUPERVISOR	1	0	04/11/2014
☐	CA1303272	Anom ATM/BC...	Anti-Money La...	AML Surveillance	02/26/2015	High	Closed - BD S...	AMSUPERVI...	AMSUPERVISOR	1	1	05/13/2014
☐	CA2900186	High Risk EFT	Anti-Money La...	AML Surveillance	04/11/2016	High	File CA STR	AMSUPERVI...	AMSUPERVISOR	1	0	01/30/2015
☐	CA2500119	dcsd	Anti-Money La...	AML Surveillance	04/11/2016	High	File CA STR	AMSUPERVI...	AMSUPERVISOR	1	0	12/16/2014
☐	CA3500129	Escalation Ina...	Anti-Money La...	AML Surveillance	--	High	Investigation	AMSUPERVI...	AMSUPERVISOR	1	0	06/29/2015
☐	CA3200122	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	AMSUPERVI...	AMSUPERVISOR	1	0	03/03/2015
☐	CA2900199	High Risk EFT	Anti-Money La...	Enhanced Du...	--	High	File CA STR	AMSUPERVI...	AMSUPERVISOR	1	0	01/30/2015
☐	CA2900198	High Risk EFT	Anti-Money La...	AML Surveillance	--	High	File CA STR	AMSUPERVI...	AMSUPERVISOR	1	0	01/30/2015
☐	CA2900190	High Risk EFT	Anti-Money La...	Enhanced Du...	--	High	New	AMSUPERVI...	AMSUPERVISOR	1	0	01/30/2015
☐	CA2900188	High Risk EFT	Anti-Money La...	Enhanced Du...	--	High	New	AMSUPERVI...	AMSUPERVISOR	1	0	01/30/2015
☐	CA2900180	sdfsfsd	Fraud	Account and P...	--	High	Investigation	AMSUPERVI...	AMSUPERVISOR	1	0	01/29/2015
☐	CA2900183	xdfff	Fraud	Access/Online...	--	High	New	AMSUPERVI...	AMSUPERVISOR	1	0	01/29/2015
☐	CA2900184	sfsf	Anti-Money La...	AML Surveillance	--	High	New	AMSUPERVI...	AMSUPERVISOR	1	0	01/29/2015
☐	CA2900178	455	Anti-Money La...	Enhanced Du...	--	High	New	AMSUPERVI...	AMSUPERVISOR	1	0	01/29/2015

Supplemental Case Information

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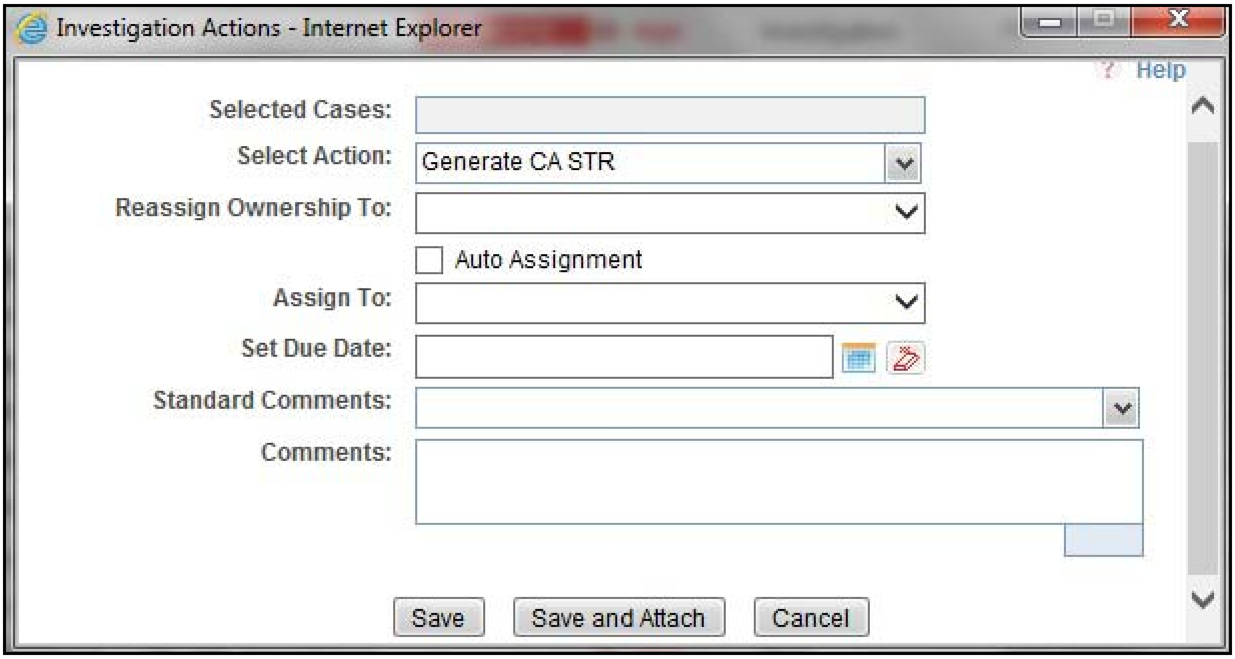
Figure 7. Cases AML/Fraud Search and List Page

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 STR** from the Select Action drop-down list in the *Investigation Actions* Window and enter the comments.



Investigation Actions - Internet Explorer

Help

Selected Cases:
Select Action: Generate CA STR
Reassign Ownership To:
☐ Auto Assignment
Assign To:
Set Due Date:
Standard Comments:
Comments:

Save
Save and Attach
Cancel

Figure 8. 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 STR action was taken is displayed in the RR Search and List page.

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

Sending Acknowledgment 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 STR action, then the failure is recorded in the alert or case audit history.

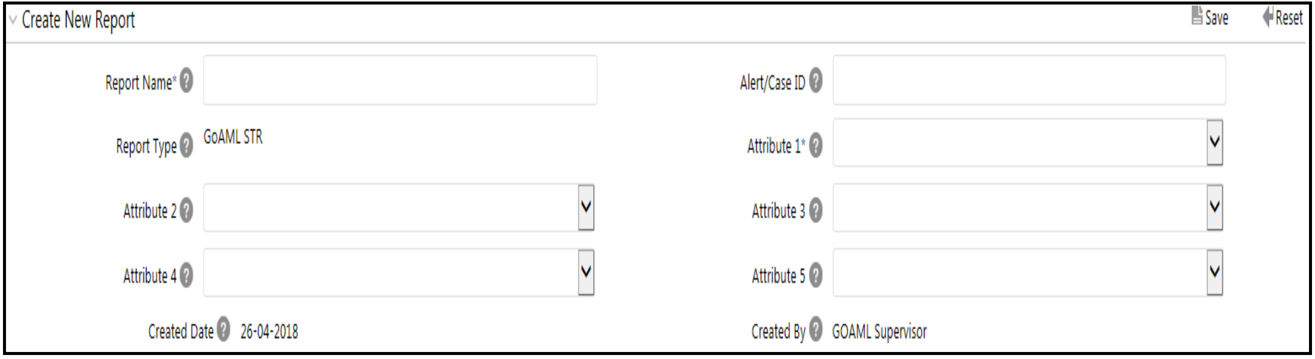
Manually Creating STR from OFSCRR

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 STR and click **Create New Report**. The Create New Report page is displayed.



Report Name*
Alert/Case ID
Report Type: GoAML STR
Attribute 1*
Attribute 2
Attribute 3
Attribute 4
Attribute 5
Created Date: 26-04-2018
Created By: GOAML Supervisor

Figure 9. Create New Report

2. Enter the required information in the fields.

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

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

Table 6. Creating New Report

Fields	Description
Report Name	Enter a name for the report being created. **Note:** This is a mandatory field.
Alert/Case ID	Enter the Alert/Case ID associated with the suspicious transaction.
Report Type	This field is auto-populated with the report type. **Note:** This field cannot be edited.
Attribute 1	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Jurisdiction. **Note:** This is a mandatory field.
Attribute 2	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Business Domain.
Attribute 3	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Case Type.

Table 6. Creating New Report

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

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

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

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

Searching STRs

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

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

This section explains the following topics:

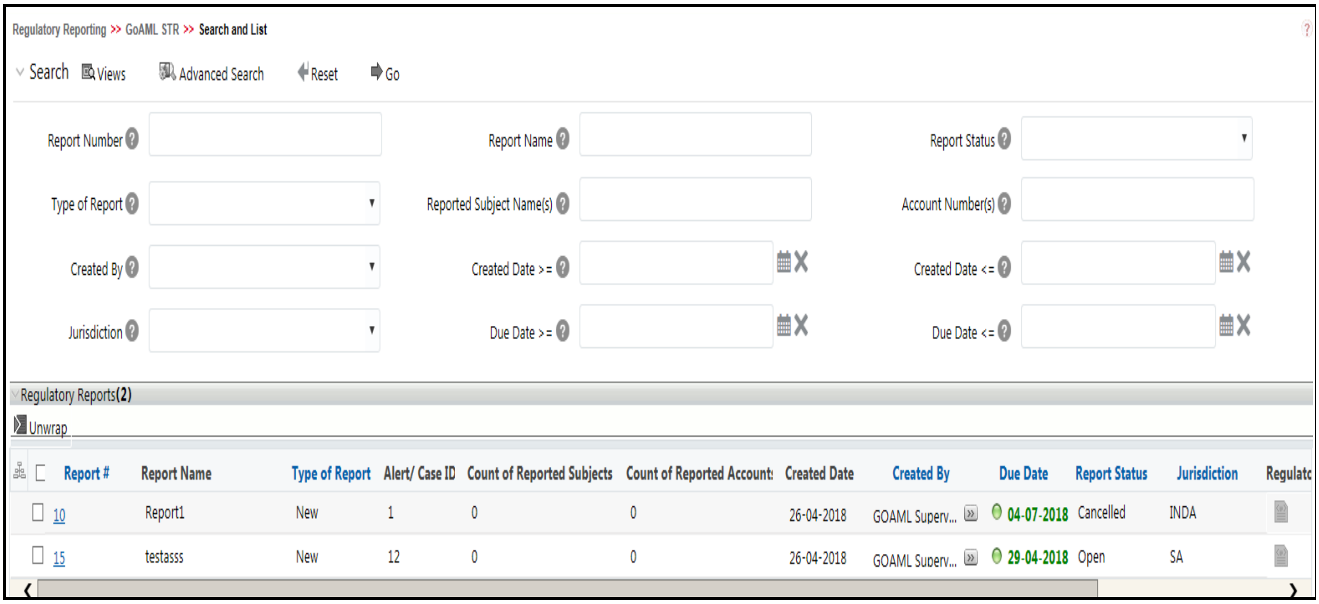
- Searching Reports Using Simple Search
- Searching Reports Using Advanced Search
- Searching Reports Using Pre-defined Views
- Saving Views
- Regulatory Reports List

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 STR and click **Search and List**. The Search and List page is displayed.


Regulatory Reporting >> GoAML STR >> Search and List
Search
Views
Advanced Search
Reset
Go
Report Number
Report Name
Report Status
Type of Report
Reported Subject Name(s)
Account Number(s)
Created By
Created Date >=
Created Date <=
Jurisdiction
Due Date >=
Due Date <=
Regulatory Reports(2)
Unwrap

☐	Report #	Report Name	Type of Report	Alert/ Case ID	Count of Reported Subjects	Count of Reported Account:	Created Date	Created By	Due Date	Report Status	Jurisdiction	Regulatc
☐	10	Report1	New	1	0	0	26-04-2018	GOAML Superv...	04-07-2018	Cancelled	INDA	
☐	15	testasss	New	12	0	0	26-04-2018	GOAML Superv...	29-04-2018	Open	SA	

Figure 10. 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 STR and click **Search and List**. The Search and List page is displayed.

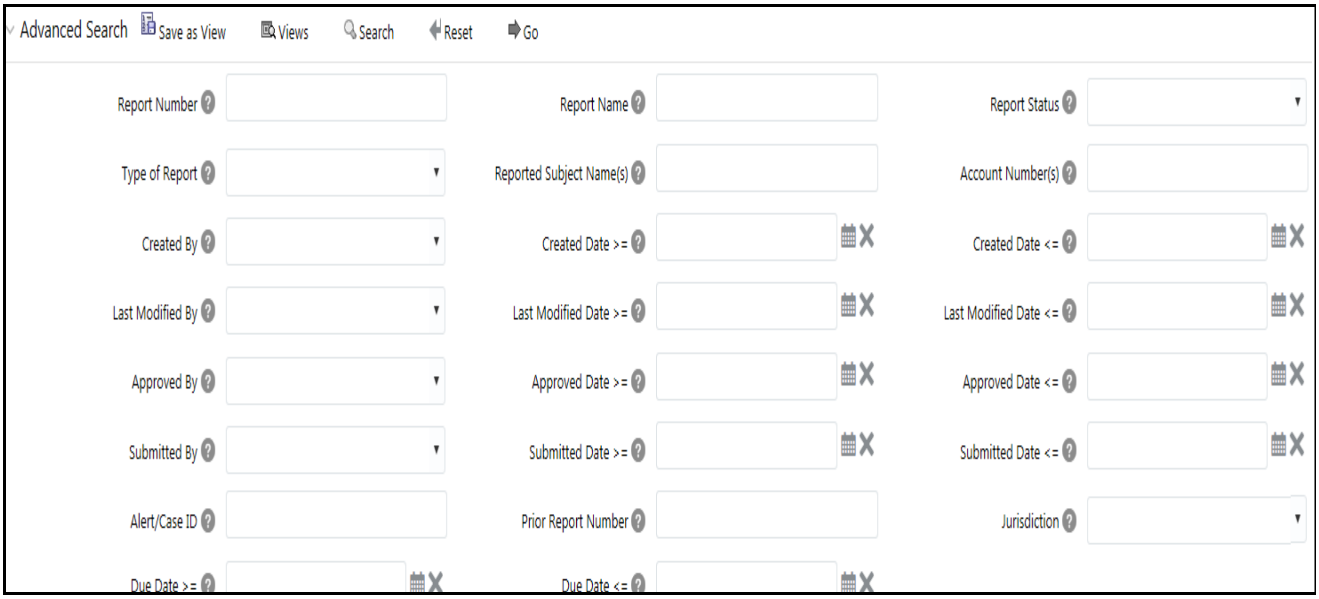

Advanced Search
Save as View
Views
Search
Reset
Go
Report Number
Report Name
Report Status
Type of Report
Reported Subject Name(s)
Account Number(s)
Created By
Created Date >=
Created Date <=
Last Modified By
Last Modified Date >=
Last Modified Date <=
Approved By
Approved Date >=
Approved Date <=
Submitted By
Submitted Date >=
Submitted Date <=
Alert/Case ID
Prior Report Number
Jurisdiction
Due Date >=
Due Date <=

Figure 11. 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: ● 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: ● 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: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*	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 <=	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date. **Validations:** 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: *Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.* 2. If you enter a value in ‘Last Modified Date <=’ greater than the system date, the application displays the following message: *Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Approved By	Select the name of the approver to search for reports approved by the selected user. **Note:** This field allows searching of reports with multiple options selected with user names displayed as drop-down options.	Advanced Search
Approved Date >=	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.	Advanced Search
Approved Date <=	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in ‘Approved Date <=’ less than ‘Approved Date >=’, the application displays the following message: *Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.* 2. If you enter a value in ‘Approved Date <=’ greater than the system date, the application displays the following message: *Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Submitted By	Select the name of the user from the drop-down list options to search for reports submitted by the selected user. **Note:** This field allows searching of reports with multiple options selected.	Advanced Search
Submitted Date >=	Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date.	Advanced Search

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Submitted Date <=	Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: *Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.* 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: *Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Alert/Case ID	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. **Note:** Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.	Advanced Search
Acknowledgment ID/ Tracking ID	Enter the Acknowledgment ID/ Tracking ID to display the report with the corresponding Acknowledgment ID that was received as acknowledgment when the report was submitted to the regulator.	Advanced Search
Prior Report Number	Enter the Prior Report Number to display the original report stored in the revised report.	Advanced Search
Jurisdiction	Select the jurisdiction from the drop-down list to display 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 STR's jurisdiction.	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: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*	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 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.

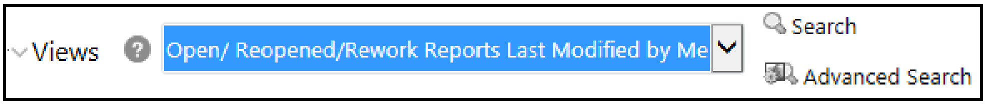


Figure 12. Searching Reports using Pre-defined Views

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 *Open* or *Reopened*, or *Rework* 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 *Requested for Approval* status.

Table 8. Pre-defined Views

Views	Description
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 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.

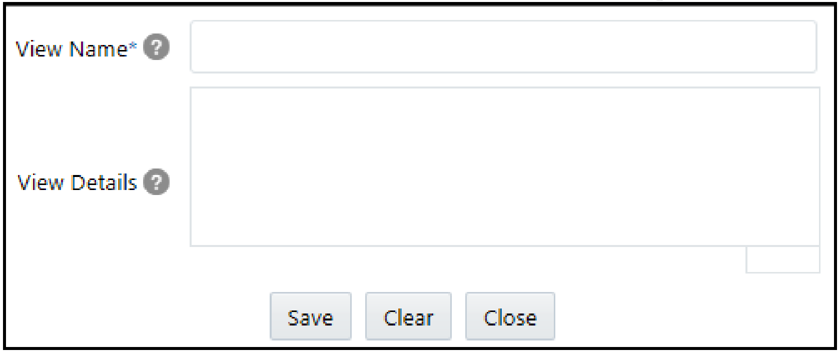


Figure 13. Save As View Window

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
- Zip File

Note:

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

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*.

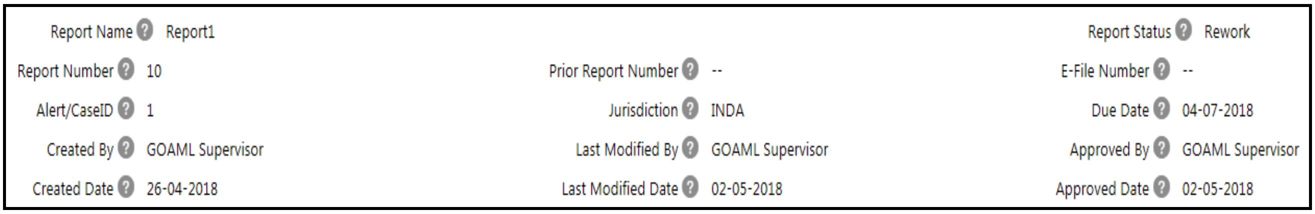
Click the report name in the RR Search and List page to navigate to the Report Details page.

The Report Details page allows you to manage following sections:

- Report Context
- Managing Reporting Entity Information
- Managing Transaction Information
- Managing Involved Account Details
- Managing Involved Entity Details
- Managing Involved Person Details
- Managing Narrative
- Managing Audit
- Managing Documents
- Common Person’s Details

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 Name	Report1			Report Status	Rework
Report Number	10	Prior Report Number	--	E-File Number	--
Alert/CaseID	1	Jurisdiction	INDA	Due Date	04-07-2018
Created By	GOAML Supervisor	Last Modified By	GOAML Supervisor	Approved By	GOAML Supervisor
Created Date	26-04-2018	Last Modified Date	02-05-2018	Approved Date	02-05-2018

Figure 14. Report Context

The report context includes the following information:

- Report Name
- Report Number
- Alert/Case ID
- Created By
- Created Date
- Prior Report Number
- Jurisdiction
- Last Modified By
- Last Modified Date
- Report Status
- E-file Number
- Due Date
- Approved By
- Approved Date

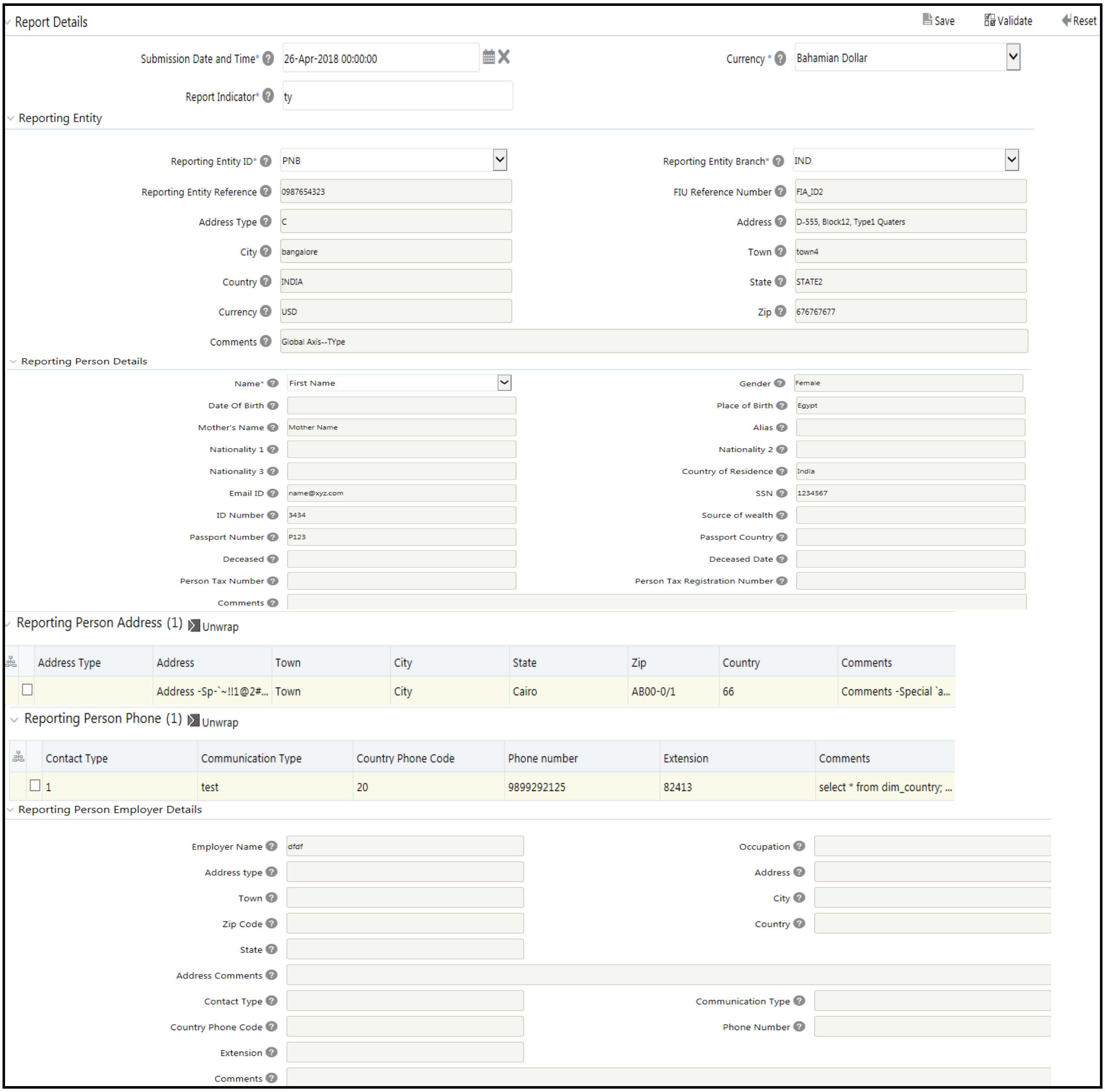
Managing Reporting Entity Information

Reporting Entity Information tab is divided in three parts:-

Report Details: This section provide information related to the report that is created.

Reporting Entity: This section provide information about the entity who is reporting this report to the regulator.

Reporting Person Details: This section provides information about the person reporting this report.


Report Details
Save
Validate
Reset
Reporting Entity
Reporting Person Details
Reporting Person Address (1)
Unwrap
Reporting Person Phone (1)
Unwrap
Reporting Person Employer Details

Submission Date and Time*: 26-Apr-2018 00:00:00
Currency *: Bahamian Dollar
Report Indicator*: ty

Reporting Entity ID*: PNB
Reporting Entity Branch*: IND
Reporting Entity Reference: 0987654323
FIU Reference Number: FIA_ID2
Address Type: C
Address: D-555, Block12, Type1 Quaters
City: bangalore
Town: town4
Country: INDIA
State: STATE2
Currency: USD
Zip: 676767677
Comments: Global Axis--TYpe

Name*: First Name
Gender: Female
Place of Birth: Egypt
Mother's Name: Mother Name
Country of Residence: India
Email ID: name@xyz.com
SSN: 1234567
ID Number: 3434
Passport Number: P123

	Address Type	Address	Town	City	State	Zip	Country	Comments
☐		Address -Sp-`~!!1@2#...	Town	City	Cairo	AB00-0/1	66	Comments -Special `a...

	Contact Type	Communication Type	Country Phone Code	Phone number	Extension	Comments
☐	1	test	20	9899292125	82413	select * from dim_country; ...

Employer Name: dfdf

Figure 15. 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
- Reporting Entity
- Reporting Person Details

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 Details

Fields	Description
Submission Date and Time	Enter the Submission Date and time of the Reporting Entity
Currency	Select the currency from the currency drop down box.
Report Indicator	Enter the Report Indicator for the report.

Reporting Entity

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

Table 10. Report Entity Details

Fields	Description
Reporting Entity ID	Select the Reporting Entity from the Reporting entity drop-down list..
Reporting Entity Branch	This field displays the category of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Reporting Entity Branch	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 Number	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.
Address Type	This field displays the Address Type of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Address	This field displays the Address of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
City	This field displays the City of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Town	This field displays the Town of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Country	This field displays the Country of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.

Fields	Description
State	This field displays the State of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Currency	This field displays the Currency of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Zip	This field displays the Zip of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Comments	This field displays the Comments of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.

Reporting Person Details

This grid gives the personal details of the person involved in the reporting entity. Once the user select the name from the displayed field in the grid, the rest of the fields get auto populated.

Table 11. Report Person Details

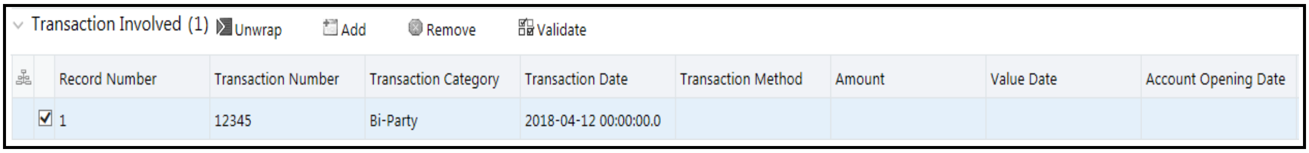
Fields	Description
Name	Select the name from the reporting person drop-down box.
Gender	This field displays the Gender of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
DOB	This field displays the DOB of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Place of Birth	This field displays the Place of Birth of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Mother’s Name	This field displays the Mother’s Name of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Alias	This field displays the Alias of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Nationality 1	This field displays the Nationality 1 of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Nationality 2	This field displays the Nationality 2 of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Nationality 3	This field displays the Nationality 3 of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.

Fields	**Description**
Country of Residence	This field displays the Country of Residence of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Email ID	This field displays the Email ID of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
SSN	This field displays the SSN of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
ID Number	This field displays the ID Number of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Source of Wealth	This field displays the Source of Wealth of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Deceased	This field displays the Deceased of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Deceased Date	This field displays the Deceased Date of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Person Tax Number	This field displays the Person Tax Number of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Person Tax Registration Number	This field displays the Person Tax Registration Number of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity’s name selected.
Comments	Enter the comments, if any.

For details on Address, Phone, Identification and Employer Details, refer *Common Person’s Details* section.

Managing Transaction Information

This tab contains the detailed information about the transaction details of the report. All the transactions linked to the report are listed here. Once the user checks a transaction, the details get expanded. The transaction details, Involved part and Goods and Services details are explained below.



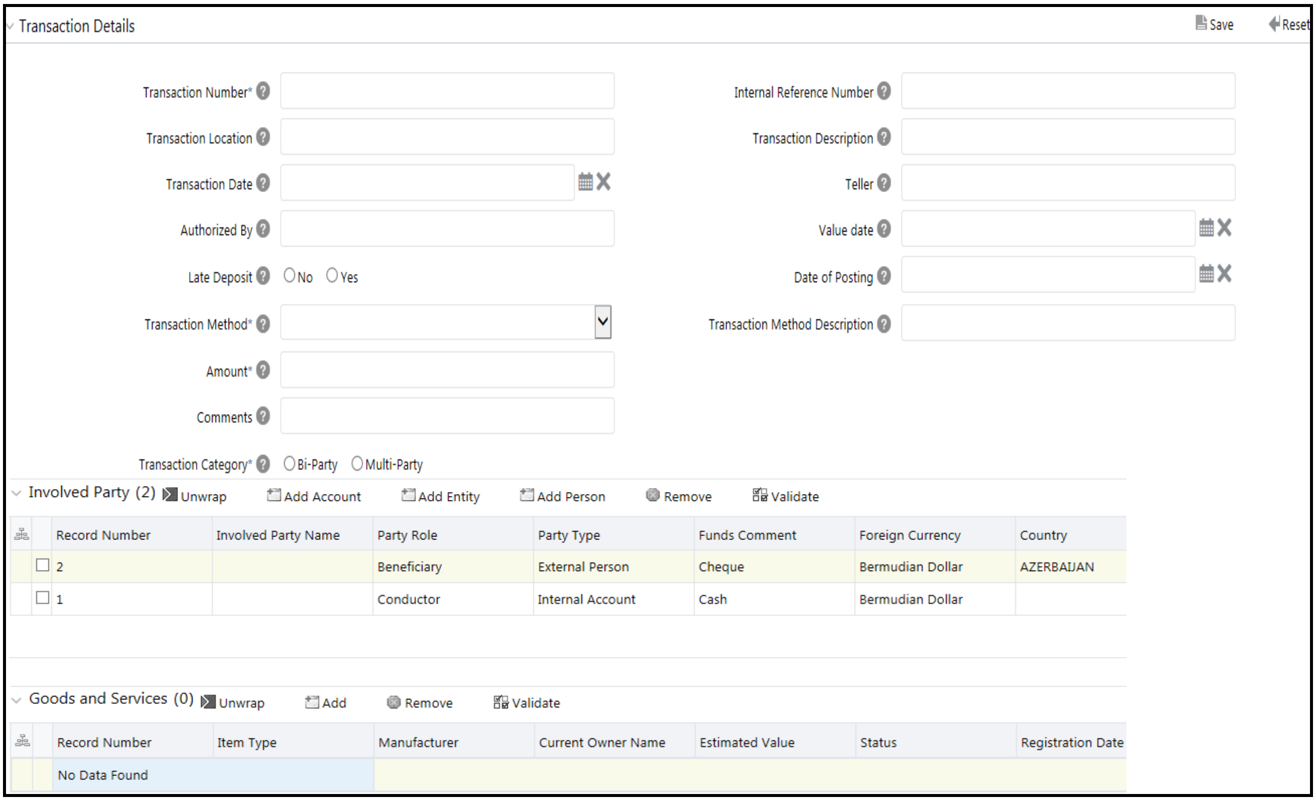
	Record Number	Transaction Number	Transaction Category	Transaction Date	Transaction Method	Amount	Value Date	Account Opening Date
☑	1	12345	Bi-Party	2018-04-12 00:00:00.0				

Figure 16. Transaction Information Tab

Below is the list of columns in the transactions involved table:

- Record Number
- Transaction Number
- Transaction Category
- Transaction Details
- Transaction Method
- Amount
- Value date
- Account Opening Date

A transaction can be added here by clicking the Add button. Once user click on Add, the transaction grid is open. The details can be entered and saved. User can also remove or validate the transaction.


Transaction Details
Save
Reset
Transaction Number*
Internal Reference Number
Transaction Location
Transaction Description
Transaction Date
Teller
Authorized By
Value date
Late Deposit ○ No ○ Yes
Date of Posting
Transaction Method*
Transaction Method Description
Amount*
Comments
Transaction Category* ○ Bi-Party ○ Multi-Party
Involved Party (2)
Unwrap
Add Account
Add Entity
Add Person
Remove
Validate
Goods and Services (0)
Unwrap
Add
Remove
Validate

Record Number	Involved Party Name	Party Role	Party Type	Funds Comment	Foreign Currency	Country
☐ 2		Beneficiary	External Person	Cheque	Bermudian Dollar	AZERBAIJAN
☐ 1		Conductor	Internal Account	Cash	Bermudian Dollar	

Record Number	Item Type	Manufacturer	Current Owner Name	Estimated Value	Status	Registration Date
No Data Found						

Figure 17. Transaction tab details

Transaction Details

The below table shows the field required to be entered. Once the data is entered and saved after validation, it gets listed in transaction involved table. If the user is checking the existing transaction then details are displayed as per the data saved.

Table 12. Transaction Details

Fields	Description
Transaction Number	Enter the transaction number. **Note:** This is a mandatory field.
Internal Reference Number	Enter the Internal Reference number.
Transaction Location	Enter the Transaction Location.
Transaction Description	Enter the Transaction Description.
Transaction Date	Select the transaction date.
Teller	Enter the teller name for the transaction.
Authorized By	Enter the name of the authority to authorize the report.
Value Date	Select the value date of the transaction.
Late Deposit	Select the radio button as per the response for the late deposit. the options are Yes or No.
Date of Posting	Select the date of the positioning for the report.

Fields	Description
Transaction Method	Select the transaction method for the report. **Note:** This is a mandatory field.
Transaction Method Description	Enter the Transaction Method Description.
Amount	Enter the amount required for the transaction. **Note:** This is a mandatory field.
Comments	Enter the comment if required.
Transaction Category	Select the radio button, as per if the transaction is Bi-Party or Multi-Party.

The Transaction involved grid is divided into the following sub-sections:

- Involved Party
- Goods and Services

Involved Party

The following are the columns displayed in the involved party table:

- Record Number
- Involved Party Name
- Party Role
- Party Type
- Funds Code
- Foreign Currency
- Country

Involved Party Details

The below table shows the field required to be entered. Once the data is entered and saved after validation, it gets listed in involved party details table.

Table 13. Involved Party Details

Fields	Description
Party Type	Select the party type from the party type drop-down list. The options listed are external person and internal person.
Party Role	Select the party role from the party role drop-down list. the options available are beneficiary, conductor and originator.

Fields	Description
Funds Code	Select the funds code from the funds code drop-down list. the options available are as follows: ● Bank Draft ● Cash ● Cheque ● Fund Desc ● Other
Funds Code Description	Enter the description for the fund code, if required.
Amount	Enter the amount involved in the transaction.
Currency	Select the currency from the currency drop-down list.
Exchange Rate	Enter the exchange rate of the country selected.
Country	Select the country from the country drop-down list.
Significance	Enter the significance about the involved party.
Comments	Enter the comments, if required.

Goods and Services

Following are the columns displayed in goods and services table:

- Record Number
- Item Type
- Manufacturer
- Current Owner Name
- Estimated Value
- Status
- Registration Date and Time

Goods and Services Details

The below table shows the field required to be entered. Once the data is entered and saved after validation, it gets listed in goods and services details table.

Table 14. Goods and Services Details

Fields	Description
Item Type	Select the item type from the item type drop-down list.
Manufacturer	Enter the name of the manufacturer.
Previous Owner Name	Enter the name of the previous owner of the goods and services.
Current Owner Name	Enter the name of the current owner of the goods and services.
Estimated Value	Enter the estimated value of the goods and services.
Status	Enter the status of the transaction.
Disposed value	Enter the disposed value assigned for the goods and services.

Fields	Description
Currency Code	Select the currency code from the currency code drop-down list.
Total Area	Enter the total area required.
Unit Of Measurement	Enter the unit of measurement for the total area.
Registration Date	Select the registration date from the calender.
Registration Number	Enter the registration number for this transaction.
Identification Number	Enter the identification number.
Address Type	Select the address type from the address type drop-down list.
Address	Enter the address for this transaction.
City	Enter the city name.
State	Select the state from the state drop-down list.
Country	Select the country from the country drop-down list.
Zip	Enter the zip code of the sate.
Address Comments	Enter the comments for address, if required.
Item Description	Enter the description required for the item in this transaction.
Status Comments	Enter the status comments, if required.
Comments	Enter the comments for the goods and services, if required.

Managing Involved Account Details

This tab provides the detail about the accounts of the involved party and also about the account entity. Following are the sections that can be entered here and based on that the table with the required data is generated.

- Transaction Involved
- Involved Party - Account
    - Account Details

Transaction involved

This grid contains the list of transactions mentioned in the transaction tab. This is a non-editable grid. For more details, refer Transaction details. Following are the columns displayed in transaction involved table:

- Record Number
- Transaction Number
- Transaction Category
- Transaction Details
- Transaction Method
- Amount
- Value date

Involved Party - Account

This grid contains the list of the involved party of the Party Type - Account which is involved in the selected transaction. This is non-editable grid. Following are the columns displayed in the involved party - account table:

- Record Number
- Involved Party Name
- Party Role
- Party Type
- Funds Code
- Foreign Currency
- Country

Account Details

This section gives the details about the involved account in the selected transaction. The below table shows the fields required in this section:

Table 15. Account Details

Fields	Description
Institution Name	Enter the institution name.
Non-Banking Institution	Select Yes or No based on the information if the institution is a non-banking institution.
Institution Code	Enter the institution code.
Swift	Enter the swift of the institution.
Branch	Enter the branch of the institution.
Currency	Select the currency from the currency drop-down.
Account Number	Enter the account number of the institution.
Account Name	Enter the account name of the institution.
Iban	Enter the Iban of the institution.
Client number	Enter the client number of the institution.
Account Type	Select the account type from the drop-down list.
Account Status	Select the account list from the drop-down list.
Account opening Date and Time	Select the account opening date and time from the calendar.
Account Closing Date and Time	Select the account closing date and time from the calendar.
Balance	Enter the balance amount.
Balance Date and Time	Select the balance date and time from the calendar.
Beneficiary	Enter the beneficiary name.
Comment on Beneficiary	Enter comment on beneficiary, if any.
Comments	Enter comments, if any.

The Account Details is divided into the following sub-sections:

- Signatory
- Account Entity Owner Detail
    - Director

Signatory

The below section gives the detail about Signatory. The table has the following columns based on the data fetched from the Signatory sub-sections:

- Signatory Name
- Is Primary
- Role
- Gender
- DOB
- Nationality 1
- Country of Residence
- SSN
- Person Tax Number

The following table explains the fields from where the above table data is taken:

Table 16. Signatory Details

Fields	Description
Is Primary	Select the radio button Yes or No.
Role	Select the role from the drop-down list.
Title	Enter the title of the signatory.
Prefix	Enter the prefix of the signatory.
First Name	Enter the first name of the signatory.
Middle name	Enter the middle name of the signatory.
Last Name	Enter the last name of the signatory.
Gender	Enter the gender of the signatory
DOB	Select the DOB of the signatory from the calendar.
Place of Birth	Enter the place of birth of the signatory.
Mother’s Name	Enter mother’s name of the signatory.
Alias	Enter the alias of the signatory.
Nationality 1	Select the nationality 1 of the signatory from the drop-down list.
Nationality 2	Select the nationality 2 of the signatory from the drop-down list.
Nationality 3	Select the nationality 3 of the signatory from the drop-down list.
Country of Residence	Select the country of residence from the drop-down list.
Email ID	Enter the email ID of the signatory.

Fields	Description
SSN	Enter the SSN of the signatory.
ID Number	Enter the ID number of the signatory.
Source of Wealth	Select the source of wealth from the drop-down list.
Passport Number	Enter the passport number of the signatory.
Passport Country	Select the country of the passport from the drop-down list.
Deceased	Select the radio button as per the response. The options are Yes and No.
Deceased Date and Time	Select the deceased date and time from the calendar.
Person Tax Number	Enter the person tax number.
Person Tax Registration Number	Enter the person tax registration number.
Comments	Enter the comments, if any.

For details on Address, Phone, Identification and Employer Details, refer *Common Person's Details* section.

Account Entity Owner

This section contains the details about the entity owner of the account. The following table explains the fields in the section:

Table 17. Account Entity Owner Details

Fields	Description
Name	Enter the name of the entity.
Commercial Name	Enter the commercial name.
Incorporation Number	Enter the incorporation number of the entity,
Legal Form	Select the legal form from the drop-down list.
Type of Business	Select the type of the business from the drop-down list.
Email	Enter the email ID.
Company URL Address	Enter the company URL address.
Incorporation Date and Time	Select the incorporation date and time from the calendar.
Incorporation State	Select the state from the drop-down list.
Incorporation Country	Select the country from the country drop-down list.
Business Closed	If the business is closed or not. Select the radio button based on the response.
Business Closed Date and Time	Select the Business closed date and time from the calendar.
Entity Tax Number	Enter the entity tax number.
Entity Tax Registration Number	Enter the entity tax registration number.
Comments	Enter comments, if any.

For details on Address, Phone, Identification and Employer Details, refer *Common Person's Details* section.

Director

This grid contains the details about the director. Once user click on **Add**, the section is expanded and allows user to fill in the detail. based on the filled data the table with the following column is generated:

- Director Name

- Occupation
- Role
- Gender
- DOB
- Nationality 1
- Country of Residence
- SSN
- Person Tax Number

A user can Add, Remove or Validate the data from this section. The director details fields are explained in the below table.

The following table explains the fields from where the above table data is taken:

Table 18. Director Details

Fields	Description
Role	Select the role from the drop-down list.
Title	Enter the title of the director.
Prefix	Enter the prefix of the director.
First Name	Enter the first name of the director.
Middle name	Enter the middle name of the director.
Last Name	Enter the last name of the director.
Gender	Enter the gender of the director.
DOB	Select the DOB of the director from the calendar.
Place of Birth	Enter the place of birth of the director.
Mother’s Name	Enter mother’s name of the director.
Alias	Enter the alias of the director.
Nationality 1	Select the nationality 1 of the director from the drop-down list.
Nationality 2	Select the nationality 2 of the director from the drop-down list.
Nationality 3	Select the nationality 3 of the director from the drop-down list.
Country of Residence	Select the country of residence from the drop-down list.
Email ID	Enter the email ID of the director.
SSN	Enter the SSN of the director.
ID Number	Enter the ID number of the director.
Source of Wealth	Select the source of wealth from the drop-down list.
Passport Number	Enter the passport number of the director.
Passport Country	Select the country of the passport from the drop-down list.
Deceased	Select the radio button as per the response. The options are Yes and No.
Deceased Date and Time	Select the deceased date and time from the calendar.
Person Tax Number	Enter the person tax number.

Fields	Description
Person Tax Registration Number	Enter the person tax registration number.
Comments	Enter the comments, if any.

For details on the sub-section; Address, Phone, Identification and Employer Details, refer *Common Person's Details* section.

Managing Involved Entity Details

This tab provides the detail about the accounts of the involved party and also about the account entity. Following are the sections that can be entered here and based on that the table with the required data is generated.

- Transaction Involved
- Involved Party - Entity
    - Account Details

Involved Party - Entity

This grid contains the table based on the data fetched from the sub-sections. The data is reflected based on the information placed in Account details and owner details section. The following are the columns displayed in the involved party table:

- Record Number
- Involved Party Name
- Party Role
- Party Type
- Funds Code
- Foreign Currency
- Country

Entity Details

This section contains the details about the entity involved in report creation. User can Save, Validate or Reset the data based on the requirement.

The following table explains the fields in the grid.

Table 19. Entity Details

Fields	Description
Name	Enter the name of the entity.
Commercial Name	Enter the commercial name.
Incorporation Number	Enter the incorporation number of the entity,
Legal Form	Select the legal form from the drop-down list.

Fields	Description
Type of Business	Select the type of the business from the drop-down list.
Email	Enter the email ID.
Company URL Address	Enter the company URL address.
Incorporation Date and Time	Select the incorporation date and time from the calendar.
Incorporation State	Select the state from the drop-down list.
Incorporation Country	Select the country from the country drop-down list.
Business Closed	If the business is closed or not. Select the radio button based on the response.
Business Closed Date and Time	Select the Business closed date and time from the calendar.
Entity Tax Number	Enter the entity tax number.
Entity Tax Registration Number	Enter the entity tax registration number.
Comments	Enter comments, if any.

For details on Address, Phone, Identification and Employer Details, refer *Common Person's Details* section.

Director

This section contains the details about the director. Once user click on **Add**, the section is expanded and allows user to fill in the detail. based on the filled data the table with the following column is generated:

- Director Name
- Occupation
- Role
- Gender
- DOB
- Nationality 1
- Country of Residence
- SSN
- Person Tax Number

A user can Add, Remove or Validate the data from this section. The director details fields are explained in the below table.

The following table explains the fields from where the above table data is taken:

Table 20. Director Details

Fields	Description
Role	Select the role from the drop-down list.
Title	Enter the title of the director.
Prefix	Enter the prefix of the director.
First Name	Enter the first name of the director.

Fields	Description
Middle name	Enter the middle name of the director.
Last Name	Enter the last name of the directory.
Gender	Enter the gender of the director.
DOB	Select the DOB of the director from the calendar.
Place of Birth	Enter the place of birth of the directory.
Mother’s Name	Enter mother’s name of the director.
Alias	Enter the alias of the director.
Nationality 1	Select the nationality 1 of the director from the drop-down list.
Nationality 2	Select the nationality 2 of the director from the drop-down list.
Nationality 3	Select the nationality 3 of the director from the drop-down list.
Country of Residence	Select the country of residence from the drop-down list.
Email ID	Enter the email ID of the director.
SSN	Enter the SSN of the director.
ID Number	Enter the ID number of the director.
Source of Wealth	Select the source of wealth from the drop-down list.
Passport Number	Enter the passport number of the director.
Passport Country	Select the country of the passport from the drop-down list.
Deceased	Select the radio button as per the response. The options are Yes and No.
Deceased Date and Time	Select the deceased date and time from the calendar.
Person Tax Number	Enter the person tax number.
Person Tax Registration Number	Enter the person tax registration number.
Comments	Enter the comments, if any.

For details on Address, Phone, Identification and Employer Details, refer *Common Person’s Details* section.

Managing Involved Person Details

This tab explains about the details of the person involved in the report creation. The below section gives the detail about Person. The table has the following columns based on the data fetched from the Person details sub-section:

- Record Number
- Involved Party Name
- Party Role
- Party Type
- Funds Code
- Foreign Currency
- Country

User can Save, Validate or Reset the data as per the requirement. The following table explains the fields from where the above table data is taken:

Table 21. Person Details

Fields	Description
Title	Enter the title of the person.
Prefix	Enter the prefix of the person.
First Name	Enter the first name of the person.
Middle name	Enter the middle name of the person.
Last Name	Enter the last name of the person.
Gender	Enter the gender of the person.
DOB	Select the DOB of the person from the calendar.
Place of Birth	Enter the place of birth of the person.
Mother’s Name	Enter mother’s name of the person.
Alias	Enter the alias of the person.
Nationality 1	Select the nationality 1 of the director from the drop-down list.
Nationality 2	Select the nationality 2 of the director from the drop-down list.
Nationality 3	Select the nationality 3 of the director from the drop-down list.
Country of Residence	Select the country of residence from the drop-down list.
Email ID	Enter the email ID of the person.
SSN	Enter the SSN of the person.
ID Number	Enter the ID number of the person.
Source of Wealth	Select the source of wealth from the drop-down list.
Passport Number	Enter the passport number of the person.
Passport Country	Select the country of the passport from the drop-down list.
Deceased	Select the radio button as per the response. The options are Yes and No.
Deceased Date and Time	Select the deceased date and time from the calendar.
Person Tax Number	Enter the person tax number.

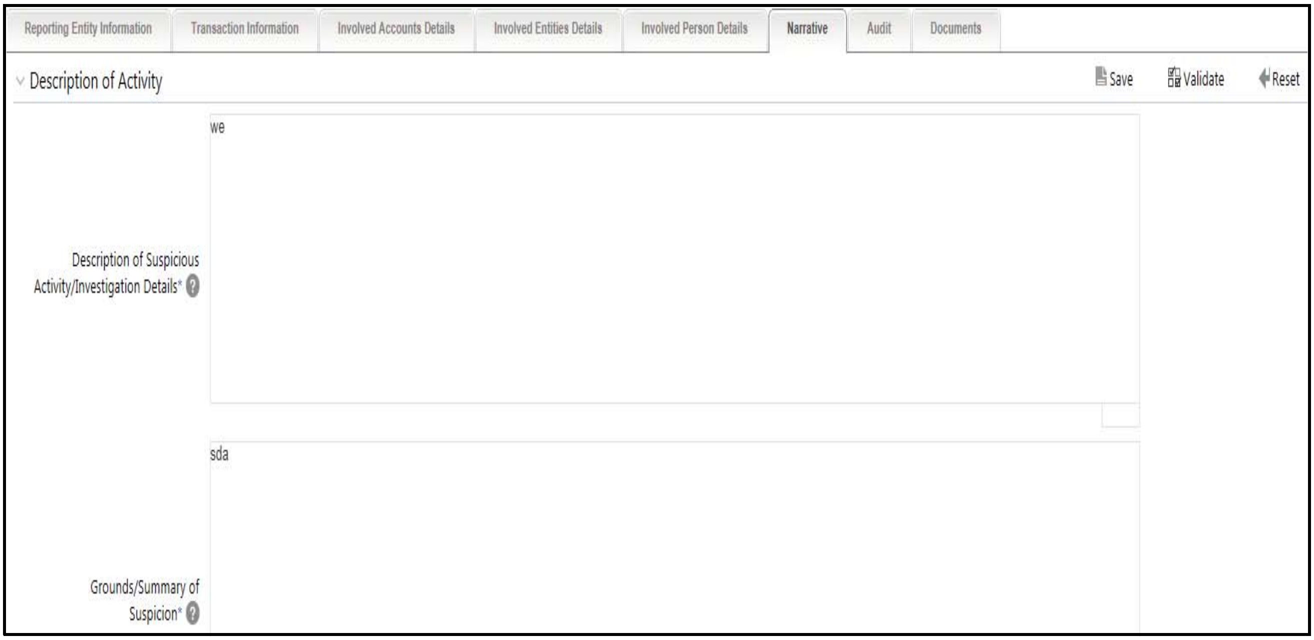
Fields	Description
Person Tax Registration Number	Enter the person tax registration number.
Comments	Enter the comments, if any.

For details on Address, Phone, Identification and Employer Details, refer *Common Person's Details* section.

Managing Narrative

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

- **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.
- **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.


Reporting Entity Information
Transaction Information
Involved Accounts Details
Involved Entities Details
Involved Person Details
Narrative
Audit
Documents
Description of Activity
Save
Validate
Reset

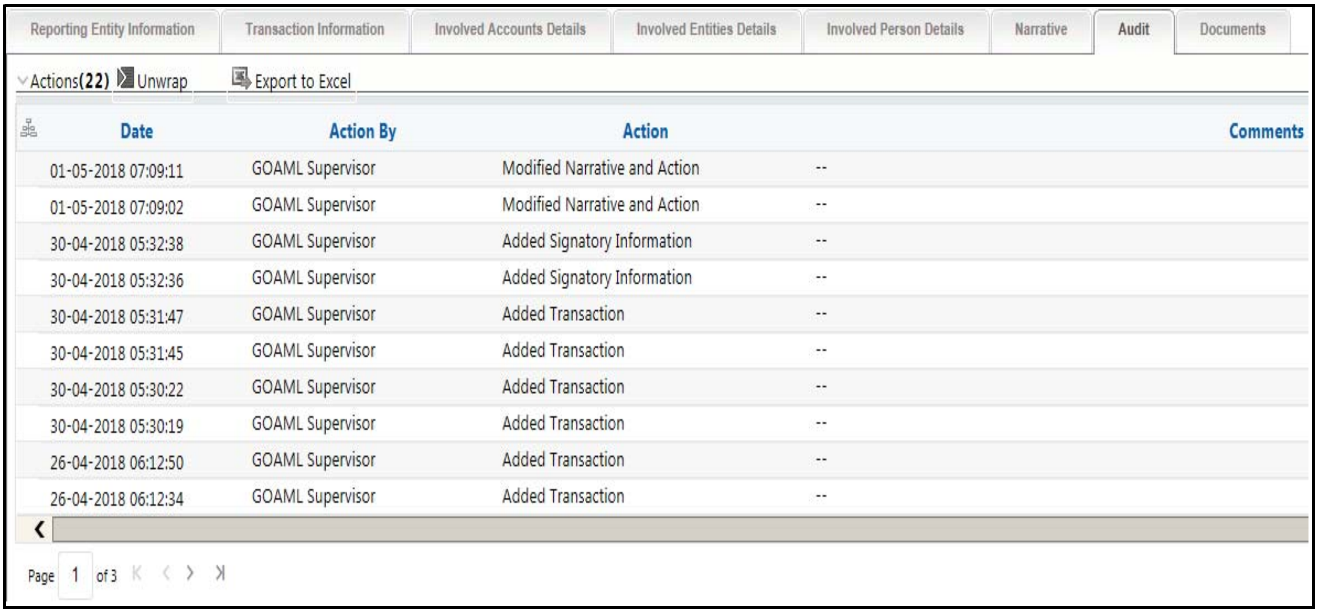
Description of Suspicious Activity/Investigation Details*: we

Grounds/Summary of Suspicion*: sda

Figure 18. Narrative tab

Managing Audit

The Audit tab displays actions taken on the report.


Reporting Entity Information
Transaction Information
Involved Accounts Details
Involved Entities Details
Involved Person Details
Narrative
Audit
Documents
Actions(22)
Unwrap
Export to Excel
Page 1 of 3

Date	Action By	Action	Comments
01-05-2018 07:09:11	GOAML Supervisor	Modified Narrative and Action	--
01-05-2018 07:09:02	GOAML Supervisor	Modified Narrative and Action	--
30-04-2018 05:32:38	GOAML Supervisor	Added Signatory Information	--
30-04-2018 05:32:36	GOAML Supervisor	Added Signatory Information	--
30-04-2018 05:31:47	GOAML Supervisor	Added Transaction	--
30-04-2018 05:31:45	GOAML Supervisor	Added Transaction	--
30-04-2018 05:30:22	GOAML Supervisor	Added Transaction	--
30-04-2018 05:30:19	GOAML Supervisor	Added Transaction	--
26-04-2018 06:12:50	GOAML Supervisor	Added Transaction	--
26-04-2018 06:12:34	GOAML Supervisor	Added Transaction	--

Figure 19. 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.

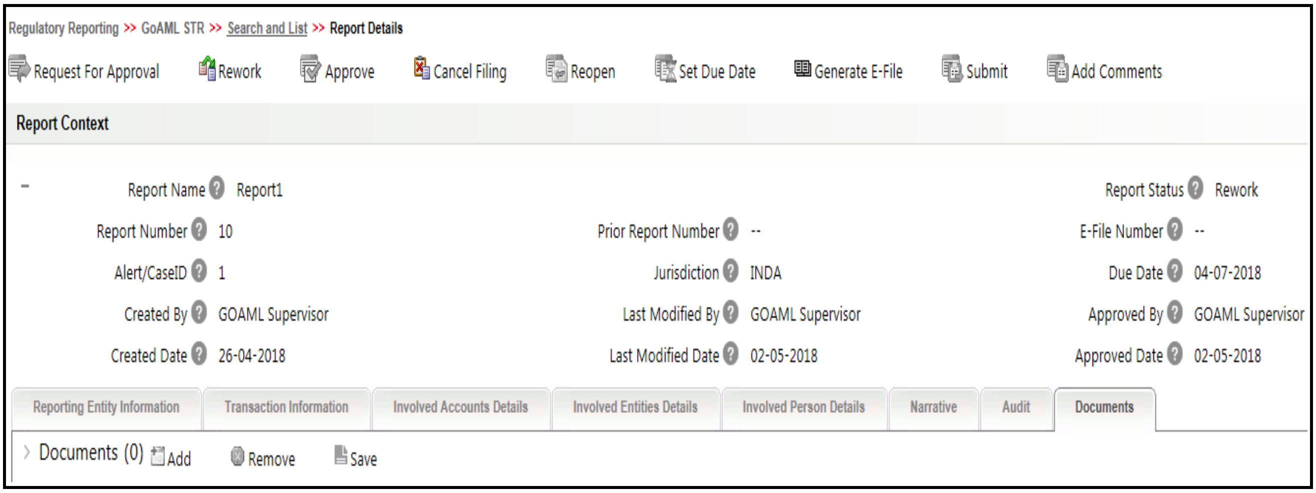
Table 22. Actions Grid Field Descriptions

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

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


Regulatory Reporting >> GoAML STR >> Search and List >> Report Details
Request For Approval
Rework
Approve
Cancel Filing
Reopen
Set Due Date
Generate E-File
Submit
Add Comments
Report Context

Report Name Report1
Report Status Rework
Report Number 10
Prior Report Number --
E-File Number --
Alert/CaseID 1
Jurisdiction INDA
Due Date 04-07-2018
Created By GOAML Supervisor
Last Modified By GOAML Supervisor
Approved By GOAML Supervisor
Created Date 26-04-2018
Last Modified Date 02-05-2018
Approved Date 02-05-2018

Reporting Entity Information
Transaction Information
Involved Accounts Details
Involved Entities Details
Involved Person Details
Narrative
Audit
Documents
Documents (0)
Add
Remove
Save

Figure 20. 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.

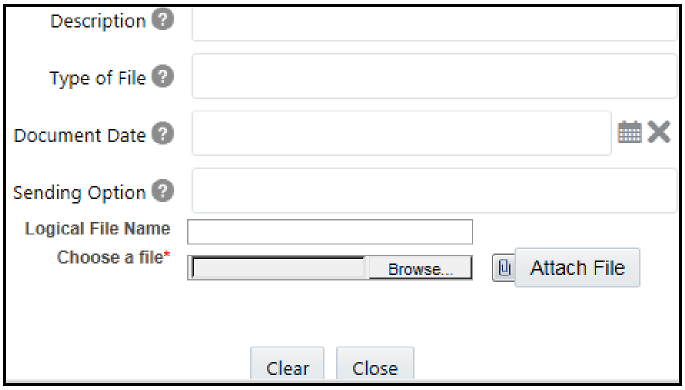


Figure 21. Add Document Window

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

Table 23. 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.

Common Person's Details

This section explains the four sub-section which is common in the reporting process, below is the list:

- Address
- Phone
- Identification
- Employer Details

Address

This grid provides the detail about the address in each tab of the report creation process. Following are the details displayed in the address detail grid:

- Address Type
- Address
- Town
- City
- State
- Zip
- Country
- Comments

Address Details

This section provides the details reflected in the address details grid. User can add, remove and validate the address.

Table 24. Address Details

Fields	Description
Address Type	Select the address from the drop-down list.
Address	Enter the address.
Town	Enter the town name.
City	Enter the city name.
State	Select the State from the drop-down list.
Zip	Enter the zip number of the city.
Country	Select the country from the comment drop-down list.
Comments	Enter comments, if any.

Phone

This grid provides the phone detail of the person or entity involved in the report creation process. Following are the details displayed in the phone detail grid:

- Contact Type
- Communication Type
- Country Phone Code
- Phone Number
- Extension
- Comments

Phone Details

This section provides the details reflected in the phone details grid. User can add, remove and validate the phone details.

Table 25. Phone Details

Fields	Description
Contact Type	Select the contact type from the drop-down list.
Communication Type	Select the communication type from the drop-down list.
Country Phone Code	Enter the code of the country phone.
Phone Number	Enter the phone number.

Fields	Description
Extension	Enter the extension number.
Comments	Enter comments, if any.

Identification

This grid provides the identification details of the person or the entity involved in the report creation process. Following are the details displayed in the identification grid:

- Identification Type
- Identification Number
- Issue Date and Time
- Expiry Date and Time
- Issuing Country
- Issuing Authoring
- Comments

Identification Details

This section provides the details reflected in the identification details grid. User can add, remove and validate the phone details.

Table 26. Identification Details

Fields	Description
Identification Type	Select the identification type from the drop-down list.
Identification Number	Enter the identification number.
Issue Date	Select the issue date from the calendar.
Expiry Date	Select the expiry date from the calendar.
Issuing Country	Enter the name of the issuing country.
Issuing Authority	Enter the name of the issuing authority.
Comments	Enter comments, if any.

Employer Details

This grid provides the employer details of the person or the entity involved in the report creation process. User can Add, Remove or Validate the data based on the requirement.

Table 27. Employer Details

Fields	Description
Employer Name	Enter the name of the employer.
Occupation	Enter the occupation details.
Address Type	Select the address type from the address drop-down list.
Address	Enter the address.
Town	Enter the town name.
City	Enter the city name.
Zip Code	Enter the zip code of the country.
Country	Select the country from the drop-down list.
State	Select the state from the drop-down list.
Address Comments	Enter the comment, for address if any.
Contact Type	Enter the contact type.
Communication Type	Enter the communication type.
Country Phone Code	Enter the country code.
Phone Number	Enter the phone number.
Extension	Enter the extension number.
Comments	Enter the comment, if required.

Taking Action on Reports

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

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

Requesting the Report for Approval

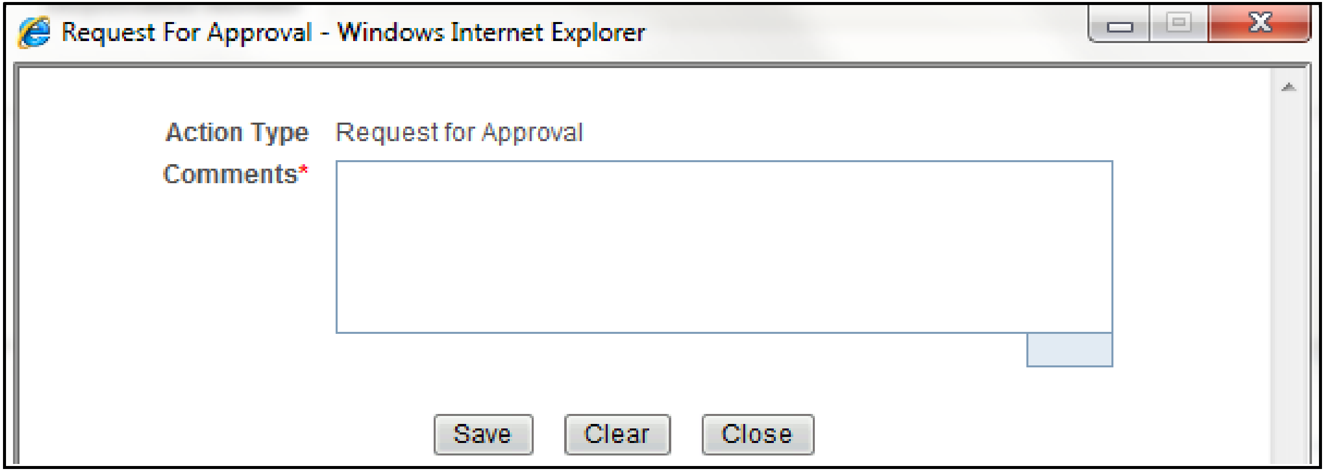
After updating the report details, they must be validated. The Report Details page allows authorized users to validate the report details and then submit the report for approval. When the user submits the report for approval, it is validated if the mandatory fields within the report are displayed. When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



Action Type Request for Approval
Comments*

Figure 22. 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.*

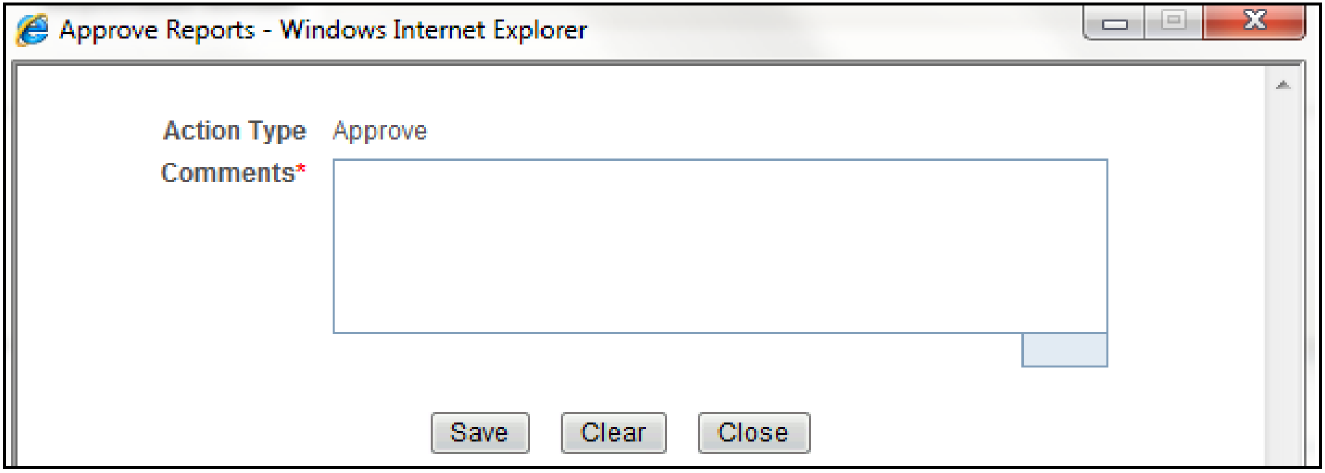
4. Click **Save.** The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Requested for Approval*. The Actions grid in the **Audit** tab tracks both the actions and the comments entered while performing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



Action Type Approve

Comments*

Figure 23. 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.

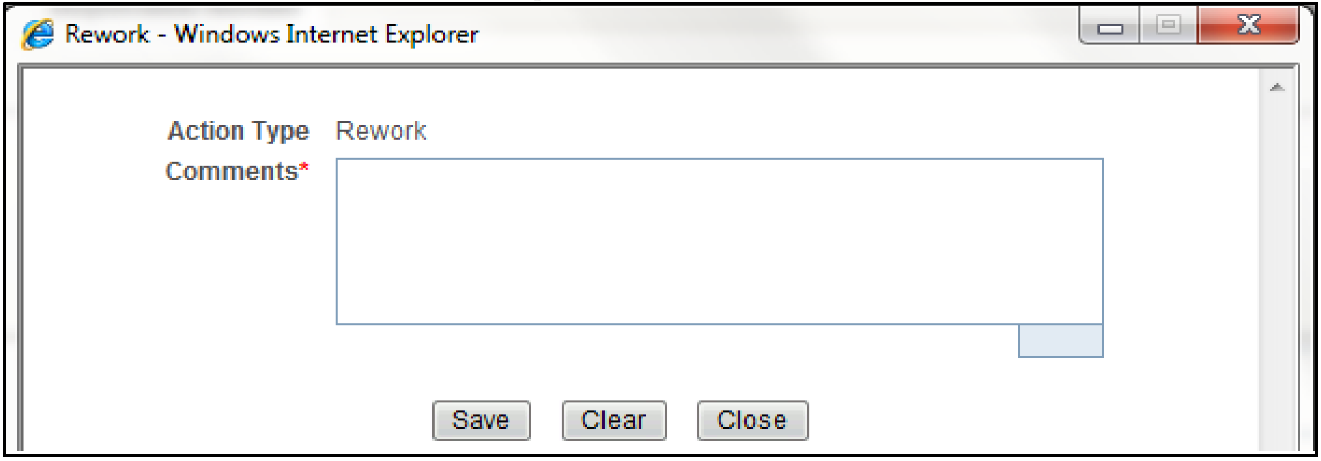


Figure 24. Rework Window

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.

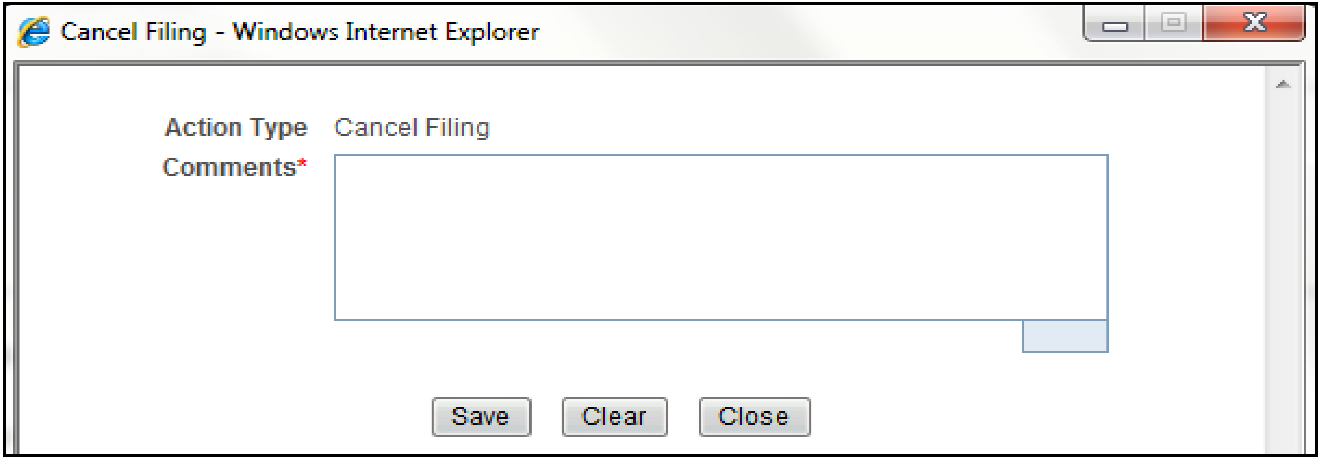
The Report Details page allows authorized users to cancel the reports from being filed. For more information on users who can take cancel filing action, refer to *Table 2*.

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.



Cancel Filing

Figure 25. 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

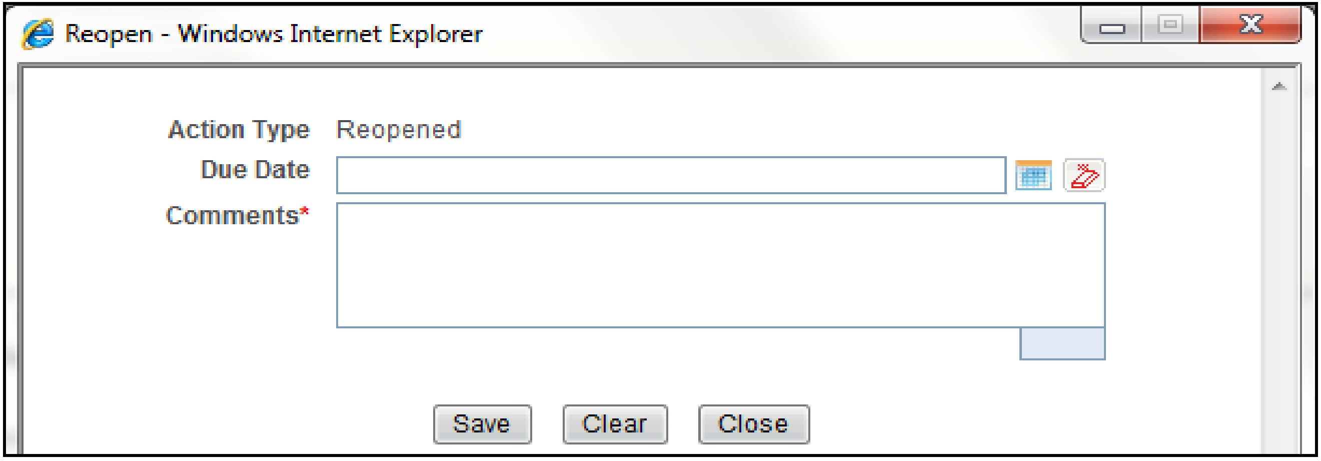
The Search and List page and the Report Details page allows authorized users to initiate reopen action on a report.

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.



Action Type Reopened

Due Date

Comments*

Figure 26. 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 *Reopen*ed.

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

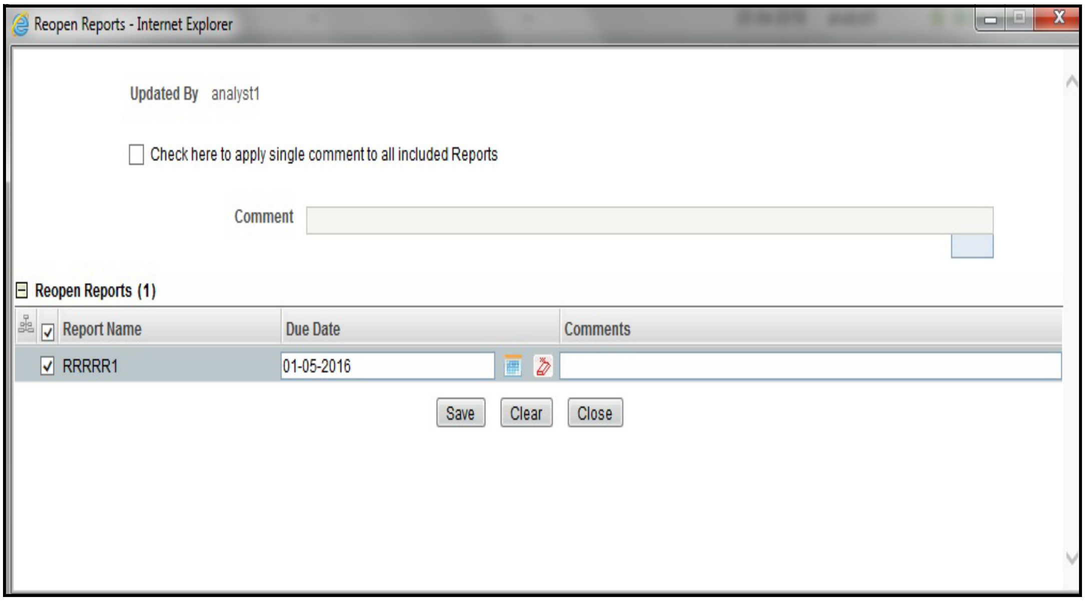
To reopen a report from RR Search and List page, follow these steps:

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.



Updated By analyst1

☐ Check here to apply single comment to all included Reports

Comment

Reopen Reports (1)

☑ Report Name	Due Date	Comments
☑ RRRRR1	01-05-2016	

Figure 27. Reopen Reports Window from Search and List Page

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

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

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

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

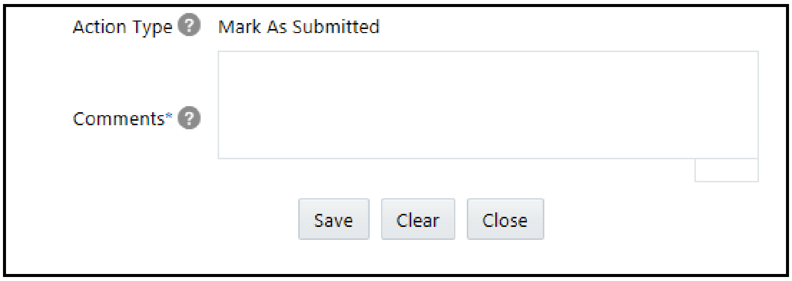
Note: If you try to reopen reports other than in *Canceled* or *Submitted* status, the application displays the following message: *Some reports are not in Canceled or Submitted state. Reopen action can only be taken on Canceled or Submitted reports. Please de-select those reports and try again.*

Submitting the Reports

After a report is validated, it must be submitted. The Report Details page allows authorized user to Submit the report after Validating. For more information, refer to *Table 2*.

To Submit a report, user must follow these steps:

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



Action Type Mark As Submitted

Comments*

Figure 28. Submit Window

3. Enter the *Comment* required.
4. Click *Save*, the report is submitted.

Following activities that can happen after submitting:

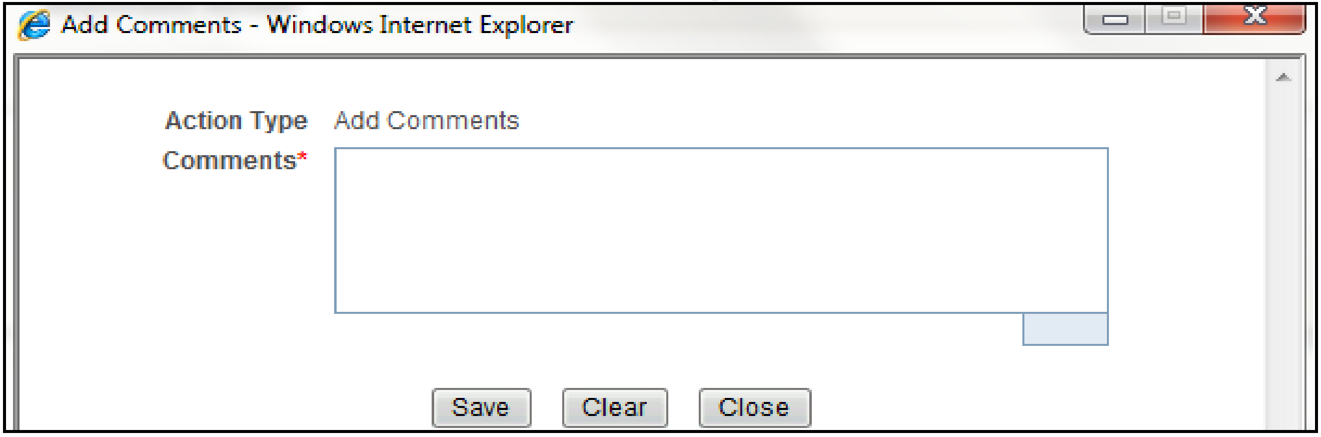
1. Final Report can be viewed/saved as a local copy/printed.
2. Report can be edited by any user.
3. System Initiated feedback to OFS BDP, OFS ECM AML/FR can be sent on processing Generate Revised Reports actions.
4. For Revised Reports the feedback is sent to the original alert or case only and the report from which the revised report is created.
5. For Manually Created Reports no feedback is sent.
6. User is able to view/save as a local copy/print the final .pdf file attached to the report either from the details page or list page.

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.



Action Type Add Comments

Figure 29. 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 28. 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 29. Statuses where Analyst and Supervisor can perform Set Due Date action

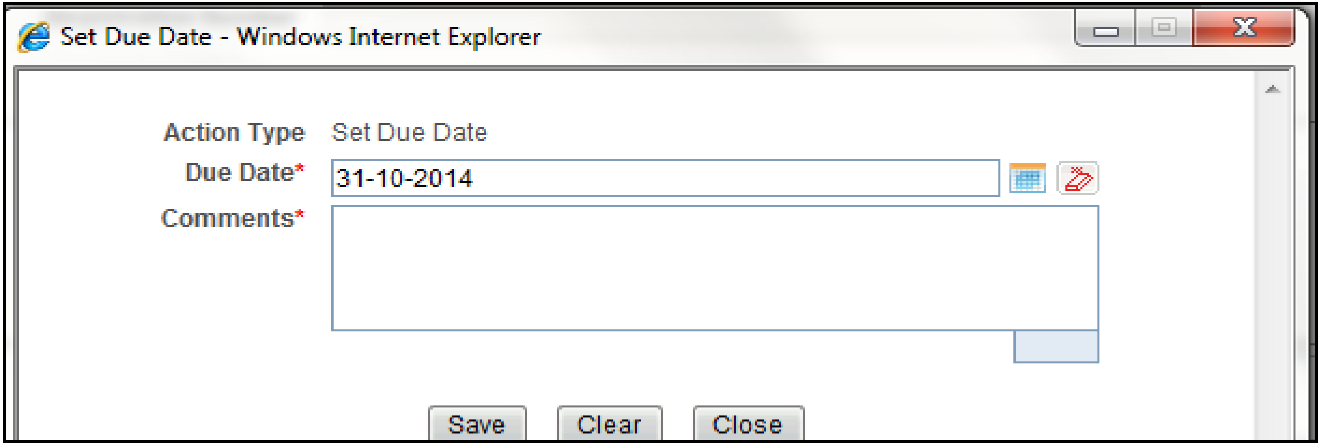
	Roles			
Menus	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	
Reopened	X	X	X	
Requested for Approval	X	X	X	
Rework	X	X	X	
Approved	X	X	X	
Cancelled				
Acknowledged				
Rejected from E-File				
E-File Generated	X	X	X	
Submitted				

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.



Action Type Set Due Date
Due Date* 31-10-2014
Comments*

Figure 30. Set Due Date Window

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

   Note: This field is a mandatory field.

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

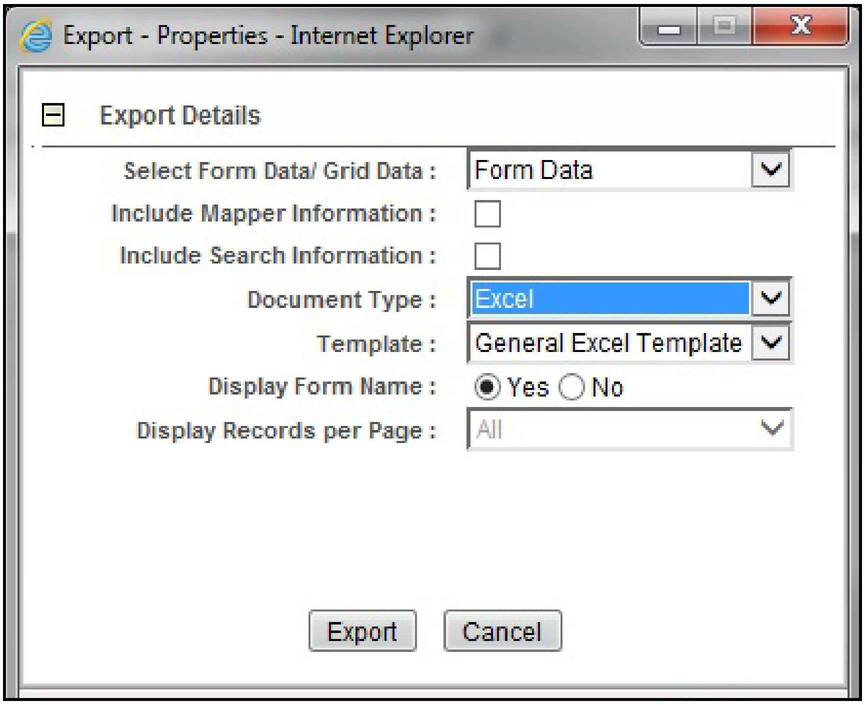
Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Set Due Date** action.

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.



Export Details

Select Form Data/ Grid Data : Form Data
Include Mapper Information : ☐
Include Search Information : ☐
Document Type : Excel
Template : General Excel Template
Display Form Name : ● Yes ○ No
Display Records per Page : All

Figure 31. 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.

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