

Oracle Financial Services
Regulatory Reporting
New Zealand Suspicious Transaction Report
User Guide

Release 8.0.6.0.0
May 2018



Oracle Financial Services
Regulatory Reporting
**New Zealand Suspicious Transaction
Report User Guide**

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About This Guide

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

This chapter discusses the following topics:

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

Who Should Use this Guide

The *Oracle Financial Services Compliance Regulatory Reporting User Guide NZSTR, Release 8.0.1* is designed for use by various users. Their roles and responsibilities, as they operate within the Oracle Financial Services Suspicious Transaction Reporting application, include the following:

- **Analyst:** This user can enter report details, edit report details, add comments to the report, submit the report details for approval, mark reports as submitted or acknowledged, and re-open closed or acknowledged reports.
- **Supervisor:** This user is responsible for taking action on the reports submitted by the Analyst, such as approve, reject, or close. This user can edit report details and add comments to the report and approve the report. Users mapped to the role of Supervisor can perform all the tasks performed by an Analyst.
- **System Administrator:** This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.

How this Guide is Organized

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

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

Where to Find More Information

For additional information about the Oracle Financial Services Suspicious Transaction Reporting application, 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 OFSCRR 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 OFSCRR 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 Suspicious Transaction Reporting application on an existing Oracle Financial Services Behavior Detection Framework hosted in Windows environment.
- *Oracle Financial Services Compliance Regulatory Reporting Administration Guide*: This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Suspicious Transaction Reporting application. This guide details Suspicious Transaction Reporting and provides information about configuring and maintaining users and static data.

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

About Compliance Regulatory Reporting

This chapter provides an overview of the Oracle Financial Services Suspicious Transaction Reporting application.

This chapter discusses the following topics:

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

Introduction of Compliance Regulatory Reporting

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

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

About Oracle Financial Services Compliance Regulatory Reporting Application

The Oracle Financial Services Compliance Regulatory Reporting (OFSCRR) application supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. The OFSCRR application supports the generation of Suspicious Transaction Reports (STR) for various countries such as The United States of America Suspicious Activity Reports (US SAR), Nigeria (NG STR), Pakistan (PK STR), Malaysia (MY STR), Singapore (SG STR), and New Zealand (NZSTR). Since there are several differences in requirements for paper-based formats versus electronic formats, between different geographic regions, and the data elements that are required on these reports, the approach to satisfy the end goal is to provide a Compliance Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

The Oracle Financial Services Suspicious Transaction Reporting application is integrated with Oracle Financial Services Enterprise Case Management (OFSECM) to allow users to generate reports automatically populated with information relevant to an investigation for any report filed.

Users mapped to appropriate roles can update the report information and submit the report details for approval to the Supervisor. The Supervisor can approve, reject, or, close the report.

For more information on the workflow of regulatory reports, refer to *Table 2 on page 4*.

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

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to OFSCRR Application from OFSECM

User Roles

The following user roles are defined in the OFSCRR application.

- Analyst
- Supervisor
- System Administrator

For more detail on user roles refer to *Table 2 on page 4*.

User Access

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

Table 2. User Access

Function	Analyst	Supervisor	System Administrator
Edit Reports	✓	✓	
Request for approval	✓		
Approve Reports		✓	
Reject Reports		✓	
Close Reports		✓	
Add Comments to the Report	✓	✓	
View/Save Final Report	✓	✓	
Mark Report as Submitted	✓	✓	
Mark Report as Acknowledged	✓	✓	
Reopen Closed/Acknowledged Reports	✓	✓	
View / Edit Configuration			✓

Logging in to OFSCRR Application from OFSECM

To access OFSCRR from OFSECM, follow these steps:

1. Go to the OFSECM Login page.

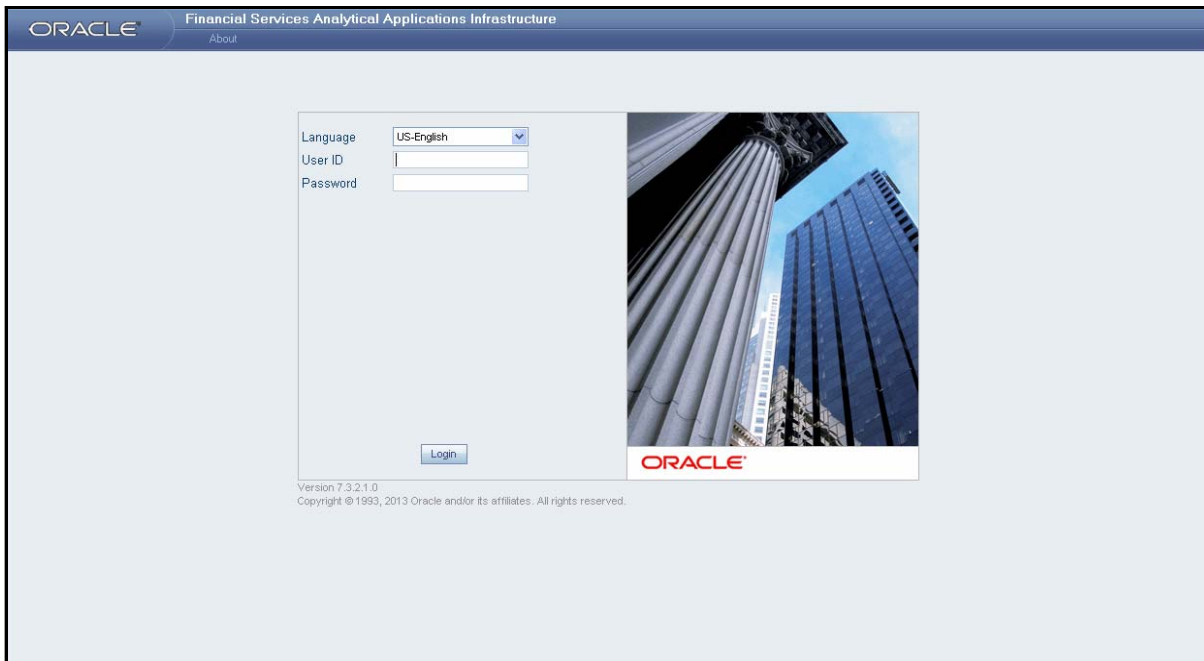


Figure 1. OFSECM Login Page

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

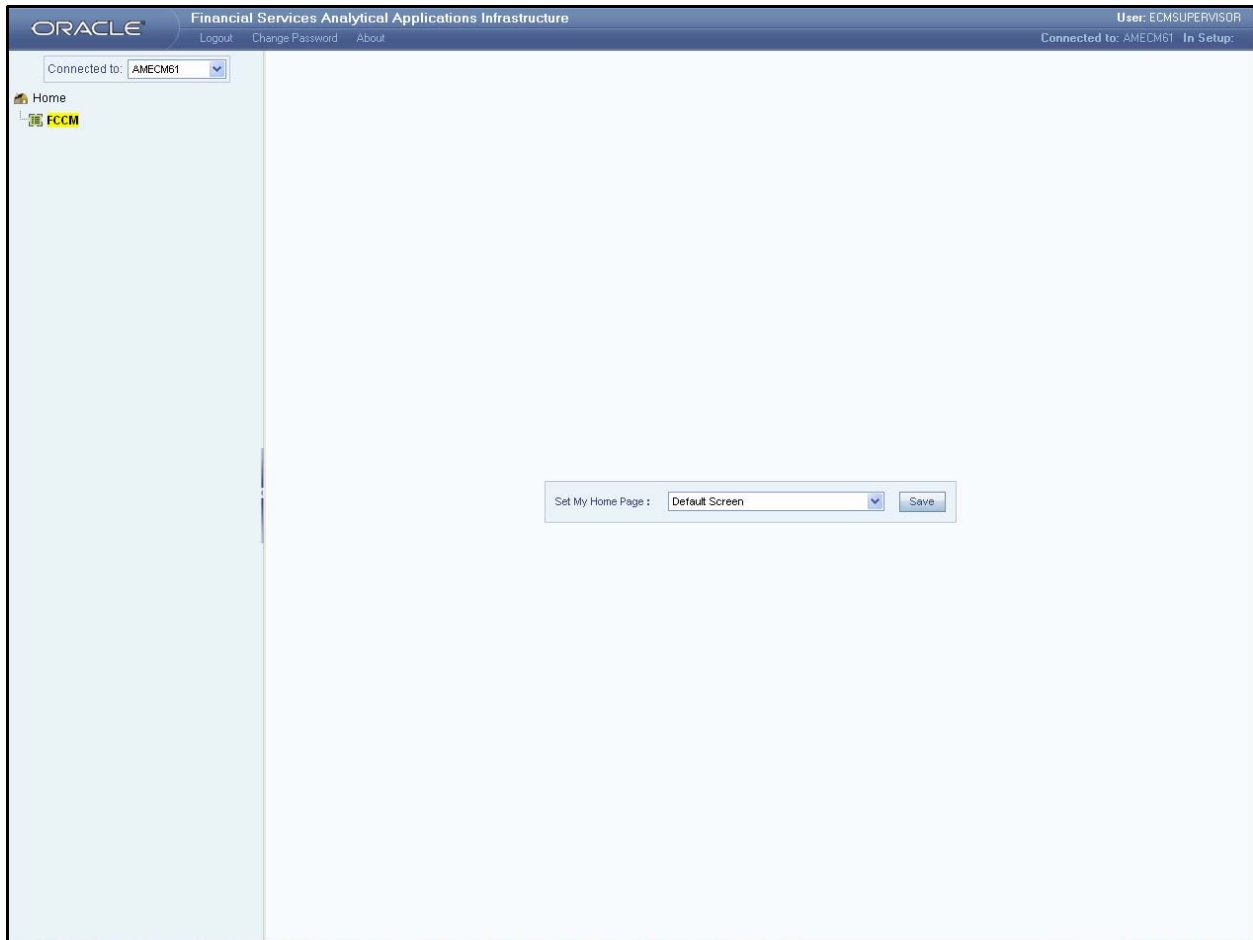


Figure 2. OFSAAI Page

6. Click **FCCM**. The OFSECM Home page is displayed.
7. Click **New Zealand STR from Compliance Regulatory Reporting** tab in the OFSECM Home page. The RR List page opens.

ORACLE Financial Services Enterprise Case Management

RRSUPERVISOR Tuesday, April 16, 2013

Regulatory Reporting

Regulatory Reporting >> New Zealand STR

Search Go Reset

Report Name: [] Report Status: []

Alert/Case ID: [] Jurisdiction: [] Transaction Number: []

Transaction Party Name: [] Transaction Account ID: [] Transaction Party IRD: []

FIU Reference Number: [] Due Date >=: [] Due Date <=: []

Created By: [] Created Date >=: [] Created Date <=: []

Approved By: [] Approved Date >=: [] Approved Date <=: []

Regulatory Reports (12)

Expand All Submitted Acknowledged Reopen Export to Excel

Report Name	Jurisdiction	Alert/Case ID	Created Date	Created By	Due Date	Submission Note	FIU Reference Number	Status	E-File
13731-04162013142722	AMEA Ju...	13731	16/04/2013	ECMSUPE...	19/04/2013	--	--	Open	[]
13672-04162013134415	AMEA Ju...	13672	16/04/2013	ECMSUPE...	19/04/2013	--	--	Open	[]
13672-04162013131924	AMEA Ju...	13672	16/04/2013	ECMSUPE...	--	--	--	Closed	[]
13730-04162013120022	AMEA Ju...	13730	16/04/2013	ECMSUPE...	19/04/2013	--	--	Open	[]
13731-04162013112531	AMEA Ju...	13731	16/04/2013	ECMSUPE...	--	--	--	Closed	[]
13730-04162013105819	AMEA Ju...	13730	16/04/2013	ECMSUPE...	--	--	--	Closed	[]
13730-04162013095412	AMEA Ju...	13730	16/04/2013	ECMSUPE...	19/04/2013	--	--	Re-Open	[]
11480-04162013093722	AMEA Ju...	11480	16/04/2013	ECMSUPE...	19/04/2013	--	--	Open	[]
CA8400000-04162013083619	AMEA Ju...	CA8400000	16/04/2013	ECMSUPE...	19/04/2013	--	--	Open	[]
11496-04162013085603	AMEA Ju...	11496	16/04/2013	ECMSUPE...	19/04/2013	--	--	Open	[]
11825-04162013085421	AMEA Ju...	11825	16/04/2013	ECMSUPE...	19/04/2013	--	--	Rejected	[]
11478-04152013203217	AMEA Ju...	11478	15/04/2013	ECMSUPE...	19/04/2013	--	FIU8679	Approved	[]

Figure 3. RR List page

Note: OFSCRR can be configured and accessed from within the OFSECM. For more information, refer to the *Oracle Financial Services Compliance Regulatory Reporting Installation Guide* and the *Oracle Financial Services Behavior Detection Framework 6.1 Second Edition Administration Guide*.

The menus displayed in the OFSECM page depend on the roles mapped to the user.

In the above example, the user is mapped to ECM and Compliance Regulatory Reporting.

The Compliance Regulatory Reporting link is enabled only for users who have access to the OFSCRR Application.

The OFSCRR application displays the following links.

- Compliance Regulatory Reporting
- Administration

The Compliance Regulatory Reporting menu displays the New Zealand STR primary menu.

The Administration menu displays the following sub menus:

- **User Attributes:** This menu allows you to map and maintain the security attributes for each user role.
- **RR Webservice User ID/Password Reset:** This menu allows you to reset the Webservice password. For more information on resetting password, refer to *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide*.

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

Table 3. Menus Accessible by OFSCRR Users

Menus	Roles		
	Analyst	Supervisor	System Administrator
Compliance Regulatory Reporting	✓	✓	
Administration			✓

This chapter provides step-by-step instructions to manage OFSCRR.

This chapter explains the following topics:

- Overview
- Searching Regulatory Reports
- Creating Regulatory Reports in OFSCRR Application
- Submitting Regulatory Reports
- Approving/Rejecting/Closing/Re-opening Reports
- Exporting Report Details to Excel
- Viewing E-file
- Adding Comments to Report

Overview

This chapter explains the workflow of regulatory reports. The life cycle of the regulatory reports is described in the following workflow diagrams.

The following figure explains the workflow of regulatory reports for users mapped to the role of Analyst.

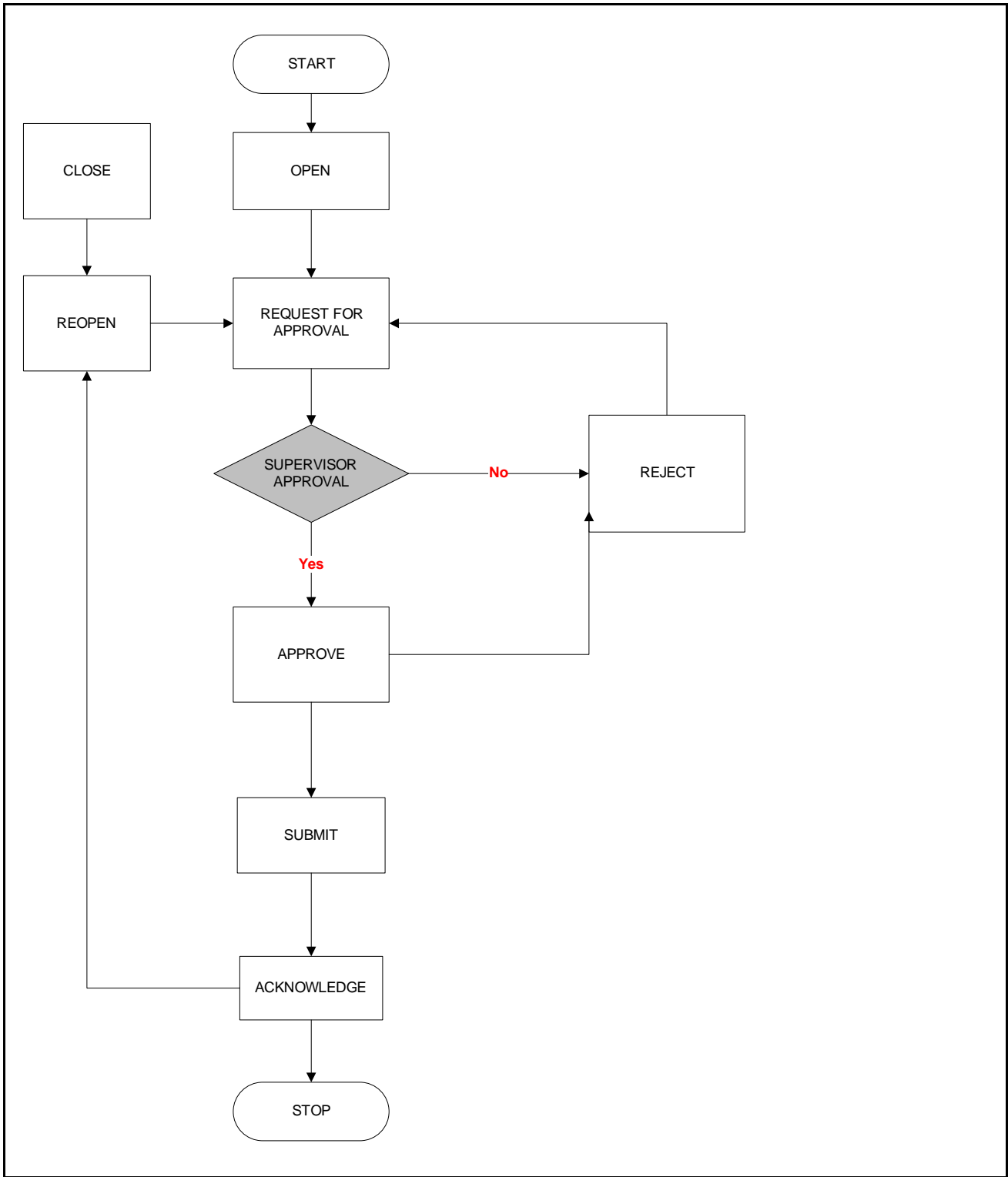


Figure 4. Compliance Regulatory Reporting Workflow for Analyst

The following figure explains the workflow of regulatory reports for users mapped to the role of Supervisor.

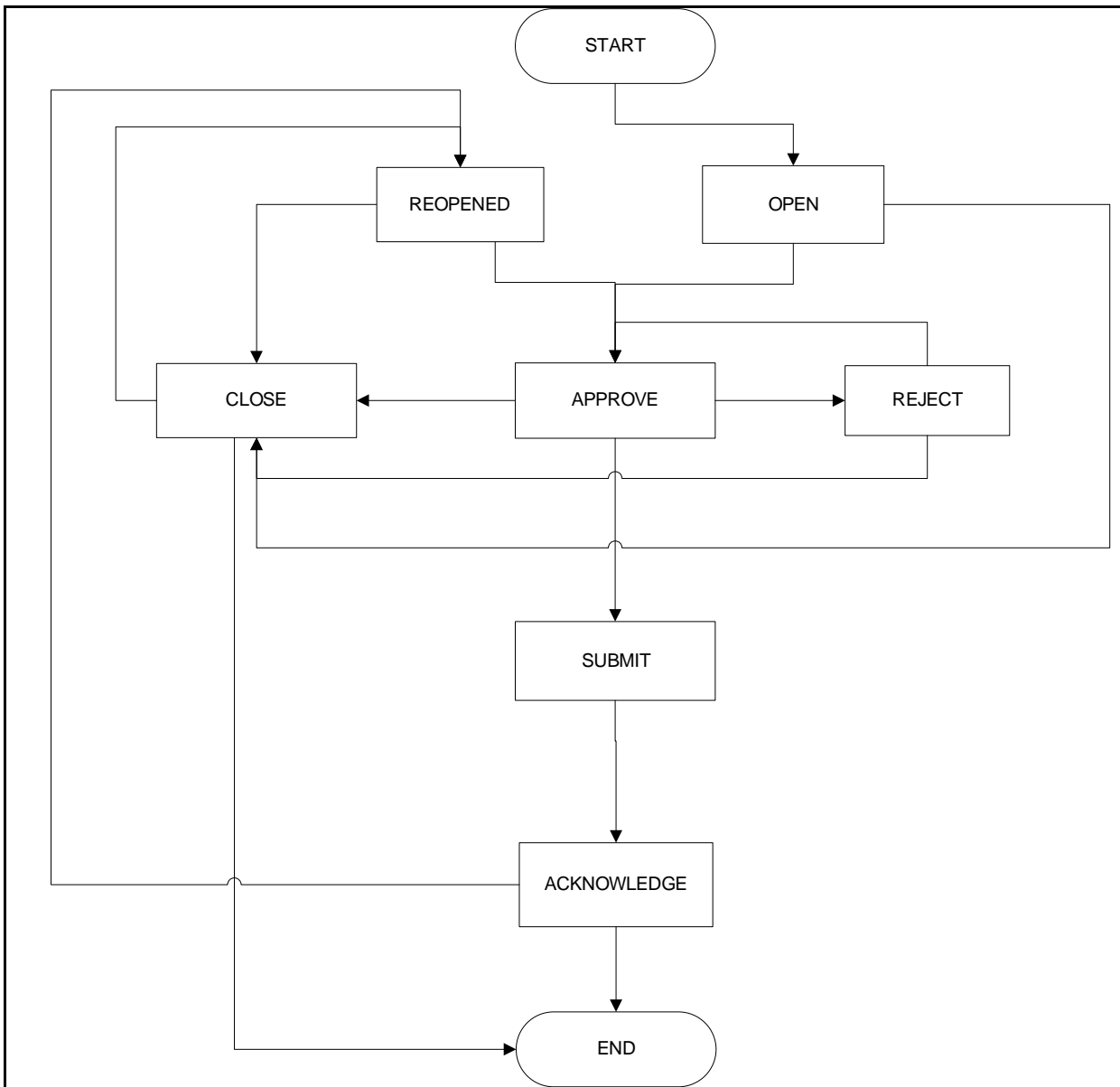


Figure 5. Compliance Regulatory Reporting Workflow for Supervisor

A report is created in the OFSCRR application as a result of taking an action to generate an NZSTR from within OFSECM. When a report is created in the OFSCRR application, 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 information as needed and submit the report details for approval to the Supervisor. Supervisors can also edit and approve report details directly if needed.

The Supervisor can approve, reject, or, close the report once an Analyst has requested approval.

If the report is approved by the Supervisor, the OFSCRR application generates an e-file in XML format after all the necessary validations. The e-file is then submitted by the OFSCRR client with the regulatory authorities. Submission to the regulator occurs outside of OFSCRR. The report can then be marked as *Submitted* in the OFSCRR application. The status of the Report changes to *Submitted*. For more information on marking reports as Submitted refer to section, *Marking Reports as Submitted*, on page 88.

After the report is submitted, an acknowledgment is received from the regulatory authorities. The report can then be marked as *Acknowledged* in the OFSCRR application. For more information on marking reports as Acknowledged refer to section, *Marking Reports as Acknowledged*, on page 90. The status of the report changes to *Acknowledged*. You can enter the Financial Intelligence Unit (FIU) Reference number into the OFSCRR application while marking a submitted report as acknowledged. The FIU Reference number is the acknowledgment number received from Financial Intelligence Unit once the report is submitted to the FIU.

If the Supervisor rejects the report after submitting for approval, then the analyst must re-work on the report and resubmit the report for approval. This process continues until the report is approved or closed. For more information on rejecting reports, refer to section, *Rejecting Reports*, on page 84.

If the Supervisor determines that a report should not be filed they can close it. If the report is closed, the report details cannot be edited and the report is in View mode. For more information on closing reports, refer to section, *Closing Reports*, on page 85.

The Supervisor can re-open a closed/acknowledged report. Analyst must then re-work on the re-opened report and submit the report for approval. This process continues until the report is approved or closed. For more information on re-opening reports, refer to section, *Re-opening Reports*, on page 86.

For more information on user roles, refer to *Table 2 on page 4*.

The report has a life cycle which begins with the open status and ends when it is closed/acknowledged. The report is in View mode (read only) in the following statuses:

- Closed
- Approved
- Submitted
- Acknowledged

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

To view report details, click the report name in the RR 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 4. Report Status

Action Taken	Resulting Report Status
A report is auto-generated from OFSECM	Open
The Analyst has updated and submitted the report details for approval.	Request for Approval
The Supervisor validates the report details and has taken approved action. The user can now file the report with the regulatory authority.	Approved
The Supervisor takes close action on the report.	Closed
The Supervisor takes reject action on the report.	Rejected
The Supervisor or Analyst takes re-open action on the acknowledged/closed report.	Re-opened
The Supervisor or Analyst takes Submitted action on an approved report.	Submitted
The Supervisor or Analyst takes acknowledged action on the submitted report.	Acknowledged

Searching Regulatory Reports

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

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

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.

The screenshot displays the Oracle Financial Services Enterprise Case Management interface for Regulatory Reporting. The top navigation bar includes the Oracle logo, the title 'Financial Services Enterprise Case Management', and the user role 'RRSUPERVISOR' with the date 'Friday, April 19, 2013'. The main content area is titled 'Regulatory Reporting' and shows a breadcrumb path 'Regulatory Reporting >> New Zealand STR'. Below this is a search bar with a 'Search' button and 'Go' and 'Reset' links. The search criteria are organized into two columns: the left column includes Report Name, Alert/Case ID, Transaction Party Name, FIU Reference Number, Created By, and Approved By; the right column includes Report Status, Transaction Number, Transaction Party IRD, Due Date >=, Created Date >=, and Approved Date >=, each with a corresponding '=<' field. Below the search bar is a table of 11 regulatory reports. The table has columns for Report Name, Jurisdiction, Alert/Case ID, Created Date, Created By, Due Date, Submission Note, FIU Reference Number, Status, and E-File. A context menu is open over the 'Report Name' column, showing options: Sort Ascending, Sort Descending, Clear Sort, and Field Chooser. The table data includes reports with various statuses such as Open, Rejected, and Re-Open.

Report Name	Jurisdiction	Alert/Case ID	Created Date	Created By	Due Date	Submission Note	FIU Reference Number	Status	E-File
22377-04192013114	Ju...	22377	19/04/2013	ECMSUPE...	22/04/2013	--	--	Open	
20279-04192013113	Ju...	20279	19/04/2013	ECMSUPE...	22/04/2013	--	--	Open	
CA7800006-0419201	Ju...	CA7800006	19/04/2013	ECMSUPE...	22/04/2013	--	7890	Rejected	
CA7800005-0419201	Ju...	CA7800005	19/04/2013	ECMSUPE...	22/04/2013	--	--	Open	
CA7800004-04192013085747	AMEA Ju...	CA7800004	19/04/2013	ECMSUPE...	22/04/2013	--	--	Open	
18817-04192013084105	AMEA Ju...	18817	19/04/2013	ECMSUPE...	22/04/2013	--	--	Open	
21492-04182013222326	AMEA Ju...	21492	18/04/2013	ECMSUPE...	21/04/2013	--	--	Open	
CA7700001-04182013221051	AMEA Ju...	CA7700001	18/04/2013	ECMSUPE...	21/04/2013	--	--	Open	
18846-04182013220427	AMEA Ju...	18846	18/04/2013	ECMSUPE...	21/04/2013	--	--	Open	
CA7600000-04182013205249	AMEA Ju...	CA7600000	18/04/2013	ECMSUPE...	21/04/2013	--	--	Open	
18808-04182013201908	AMEA Ju...	18808	18/04/2013	ECMSUPE...	22/04/2013	--	--	Re-Open	

Figure 6. RR List Page

Note: The application supports few columns in the OFSRR application to provide the following sorting options as shown in Figure 6:

- Ascending
- Descending
- Clear sort
- Field Chooser

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

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

Table 5. Components of RR Search Bar

Criteria	Description
Report Name	<p>Enter the report name to display report with name as specified in the search criteria.</p> <p>This field supports a wildcard search, using the %, _ as wildcard indicator.</p>
Report Status	<p>Select the report status from the drop-down list to display reports in the selected status.</p> <p>Following are the options available for Report status drop-down list:</p> <ul style="list-style-type: none"> ● Select All ● Open ● Request for Approval ● Approved ● Rejected ● Submitted ● Acknowledged ● Closed ● Reopened <p>Note: This field allows searching of reports with multiple options selected.</p>
Transaction Number	<p>Enter the transaction number to display reports with the selected transaction number.</p> <p>Note: Transaction Number is a unique transaction number associated with the transaction. The transaction number is editable or is auto-generated from OFSECM.</p>
Alert/Case ID	<p>Enter the Alert/Case ID to display reports with the selected Alert/Case ID.</p> <p>Note: Alert/Case ID is the alert/case that has triggered the creation of report in OFSCRR application. This field supports a wildcard search, using the % as wildcard indicator. For more information on how reports are auto-generated from OFSECM, refer to <i>Creating Regulatory Reports in OFSCRR Application</i> on page 18.</p>
Due Date>=	<p>Select the due date from the calendar to display reports having due date greater than or equal to the specified date.</p> <p>The moment Generate NZ STR action is taken from OFSECM, each report is assigned a filling time of 3 days. A due date is set based on the filling time. You can use this field to search for reports based on their due dates.</p> <p>While taking reopen action, the application will set a due-date of 3 business days. This field is configurable from the backend.</p>

Table 5. Components of RR Search Bar

Due Date<=	<p>Select the due date from the calendar to display reports having due date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. If you enter a Due date <= which is less than Due date >=, the application displays the following message: <i>Please enter a Due Date <= which is equal to or greater than Due Date >=.</i> 2. If Due date >= is not mentioned but Due date <= is available the application displays the following message: <i>Due Date >= is mandatory if Due Date <= is mentioned. Please enter a date in Due Date >=.</i>
Transaction Party Name	<p>Enter the transaction party name to display reports with name as specified in the search criteria.</p> <p>Note: Transaction party Name is the name of person/account involved in the suspicious transaction. This field supports a wildcard search, using the %, _ as wildcard indicator.</p> <p>Transaction Party name will be as First Name + Last Name in case of persons and in case of accounts, it will be Account Name. For search, all the characters before the first space is considered as First Name and all the characters after the first space are considered as Last Name.</p>
Transaction Account ID	<p>Enter the transaction account ID to display reports with ID as specified in the search criteria.</p> <p>Note: Transaction Account ID is the account number of the transaction party involved in the suspicious activity.</p>
Transaction Party IRD	<p>Enter the Transaction Party IRD to display reports with IRD as specified in the search criteria.</p> <p>Note: Transaction party IRD is the IRD number of transaction party, if the transaction party is a person. IRD stands for Inland Revenue Department number and it is a unique number given by the New Zealand's Inland Revenue Department. It is used by financial institutions, government departments, and employers to identify you for tax purposes.</p>
Created By	<p>Select the user who has created the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>

Table 5. Components of RR Search Bar

Created >=	<p>Select the created date from the calendar to display reports having created date greater than or equal to the specified date.</p> <p>Created Date >= and Created <= can be used independently. When both are used it returns only those reports within the selected dates inclusive of the selected dates.</p> <p>If you select only the Created >= date, it returns reports with created date greater than or equal to the selected From date.</p> <p>You cannot search for reports with only Created <= date Selected.</p>
Created <=	<p>Select the created date from the calendar to display reports having created date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. If you enter a created date <= which is less than created date >=, the application displays the following message: <i>Please enter a Created Date <= which is equal to or greater than Created Date >=.</i> 2. If you enter a created date <= which is greater than the sysdate, the application displays the following message: <i>Please enter a Created Date <= which is earlier than or equal to sysdate.</i> 3. If created date >= is not mentioned but created date <= is available, then the application displays the following message: <i>Created Date >= is mandatory if Created Date <= is mentioned. Please enter a date in Created Date >=.</i>
Approved By	<p>Select the name of the approver to search for reports approved by the selected user.</p> <p>It is a multi select drop-down list that displays user names as options.</p>
Approved Date >=	<p>Select the approved date from the calendar to display reports having approved date greater than or equal to the specified date.</p>

Table 5. Components of RR Search Bar

Approved Date <=	<p>Select the approved date from the calendar to display reports having approved date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. If you enter Approved date <= which is less than Approved date >=, the application displays the following message: <i>Please enter a Approved Date <= which is equal to or greater than Approved Date >=.</i> 2. If you enter Approved date <= which is greater than sysdate, the application displays the following message: <i>Please enter a Approved Date <= which is earlier than or equal to sysdate.</i> 3. If Approved date >= is not mentioned but Approved date <= is available . the application displays the following message: <i>Approved Date >= is mandatory if Approved Date <= is mentioned. Please enter a date in Approved Date >=.</i>
Jurisdiction	<p>Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.</p> <p>Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case.</p> <p>Each user has access to a set of jurisdictions. Each STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.</p>
FIU Reference Number	<p>Enter the FIU reference number to display reports with the selected FIU reference number</p> <p>Note: FIU reference number is the acknowledgment number received from Financial Intelligence Unit. This information is updated in the OFSCRR application while marking the report as acknowledged and is mandatory while re-submitting a corrected/supplemental report.</p>

4. Click **Go**. The relevant search list is displayed.

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

Creating Regulatory Reports in OFSCRR Application

OFSCRR supports creation of reports from OFSECM. For more information on how a report is generated from OFSECM, refer to *Creating a New Regulatory Report from OFSECM*, on page 19.

This section explains the steps involved in creation of regulatory report from OFSECM.

Creating a New Regulatory Report from OFSECM

When a user with access to Compliance Regulatory Reporting selects **Recommend NZ STR** on an Alert or Case from OFSECM, the data is passed to OFSCRR through the web service and a report is opened in the OFSCRR application.

To create regulatory reports from OFSECM, follow these steps:

1. Log in to the OFSECM application. and click **FCCM**.
2. Select Alerts from Monitoring.

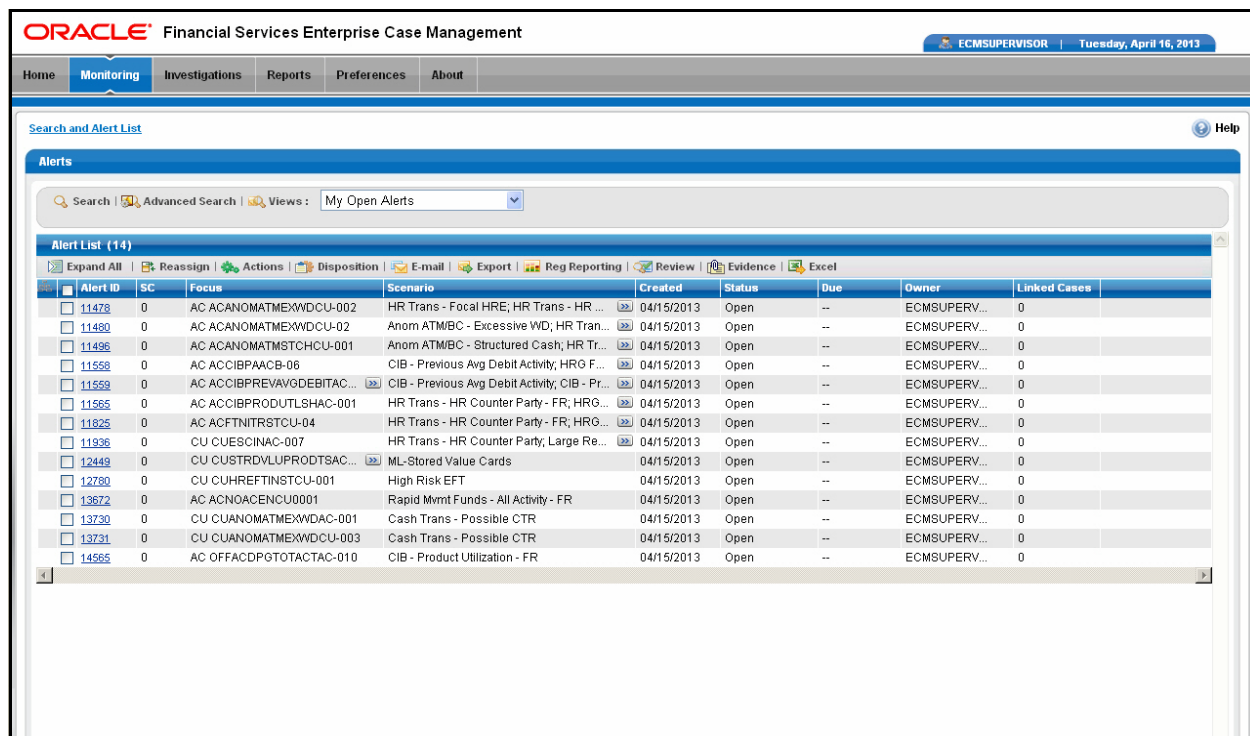


Figure 7. Monitoring Tab

3. Click **Advanced Search**. Select **FR** (Fraud), **ML** (Money laundering), **IML** (Institutional Money Laundering) in the scenario class drop-down. Options for selecting a scenario class will depend on your current installation and user access to scenarios.
4. Select **AC** (Account), **CU** (Customer), and **HH** (Household) in the Focus drop-down. Options for selecting a Focus type will depend on your current installation and user access to scenarios. Select any additional desired filters, including modifying the Created From and To dates as needed.

The screenshot displays the Oracle Financial Services Enterprise Case Management interface. At the top, the title bar reads "ORACLE Financial Services Enterprise Case Management" and the user is identified as "ECMSUPERVISOR" on "Tuesday, April 16, 2013". The navigation menu includes "Home", "Monitoring", "Investigations", "Reports", "Preferences", and "About".

The main section is titled "Search and Alert List". Below this, there is an "Alerts" section with a search form. The form includes fields for "Created From", "Organization", "Scenario Class" (set to "FR,IML,ML"), "Status", "Score", "Jurisdiction", "Closing Action", "RR Type", "Prior All", "Linked Cases", "Limit to Focus" (checked), "Entity Type", "Created To", "Owner", "Scenario", "Focus" (set to "AC, CU"), "Age", "Domain", "Due Date <-:", "Last Action", "RR Status", "Action", "Entity ID", and "Entity Name". A "Search By Alert ID" field is also present with a note: "Note: Search by Alert ID will ignore all other search criteria."

Below the search form is the "Alert List (934)" table. The table has columns for "Alert ID", "SC", "Focus", "Scenario", "Created", "Status", "Due", "Owner", and "Linked Cases". The table contains 15 rows of data, with the following scenarios: "HR Trans - Focal HRE; HR Trans - HR ...", "Anom ATM/BBC - Excessive WD; HR Tran...", "Anom ATM/BBC - Multi Locations; HR Tra...", "Anom ATM/BBC - Foreign Trans; HR Tran...", "Anom ATM/BBC - Foreign Trans - FR; HR ...", "Anom ATM/BBC - Structured Cash; HR Tr...", and "Anticipate Profile - SOF; HR Trans - HR ...".

Figure 8. Alerts Advanced Search

5. Click **Go**.
6. Select the required alerts from the Alert Search and List page and click **Reg Reporting** in the Action bar.

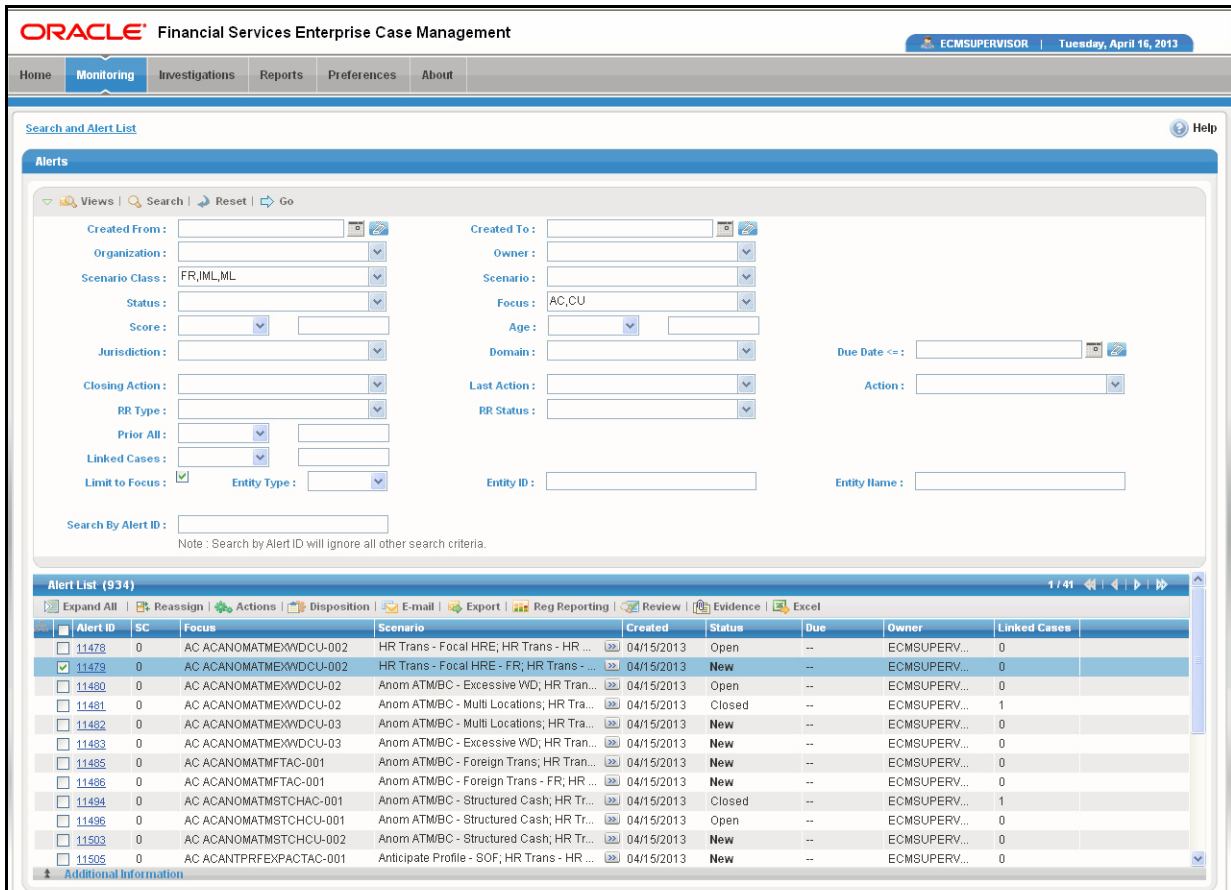


Figure 9. Alert Search and List Page

7. Select **Generate NZ STR** from the Choose Action drop-down list in the Monitoring Actions Window and enter the comments.

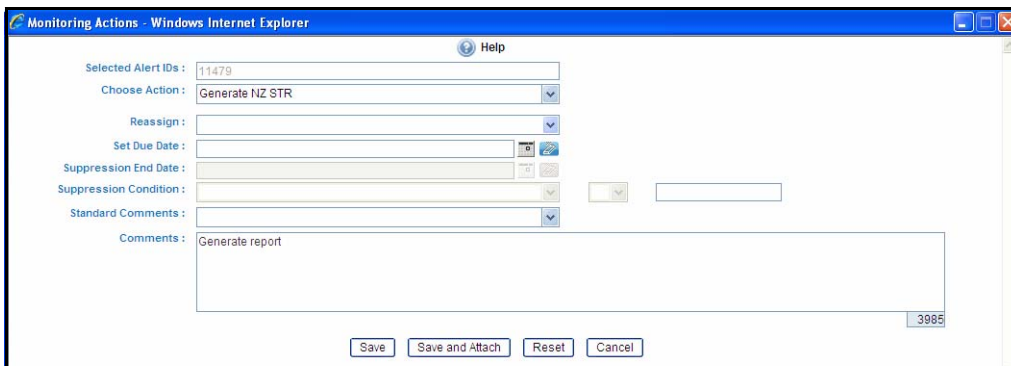


Figure 10. Monitoring Actions Window

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

Sending On-Line Acknowledgement to OFSECM from Compliance Regulatory Reporting

RR sends a positive acknowledgment to OFSECM when all the mandatory information verification is completed successfully. 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

In case of any errors, the OFSCRR application sends a negative acknowledgment to OFSECM. The error may be due to the following reasons:

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

The negative acknowledgment sent to OFSECM 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 NZ STR action, then the failure is recorded in the alert or case audit history.

Submitting Regulatory Reports

This process involves the following steps:

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

Entering Report Details

The RR Details page allows users mapped to the role of Analyst or Supervisor to enter or update report information.

Click on the report name in the RR list page to navigate to the RR Details page.

The RR Details page displays the following:

- Report Context
- Reporting Entity Tab
- Transactions Tab
- Narrative Tab
- Audit Tab

Report Context

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

Report Context		
<input type="checkbox"/>	Report Name: 11825-04162013085421	Report Status: Rejected
	Alert/CaseID: 11825	Due Date: 16/04/2013 12:00:00
	Created By: ECMSUPERVISOR	Last Modified By: RRSUPERVISOR
	Created Date: 16/04/2013 08:54:21	Last Modified Date: 16/04/2013 11:59:16
		Jurisdiction: AMEA Jurisdiction
		Approved By: RRSUPERVISOR
		Approved Date: 16/04/2013 10:55:05

Figure 11. Report Context

You must enter the report details in the tabs present in the RR Details page.

The tabs in the RR Details page are explained in detail in the following sections.

Managing Reporting Entity Information

The Reporting Entity Tab page is the default page for the RR Details.

Submitting Regulatory Reports

Chapter 3—Managing OFSRR

Report Context

Report Name: 11825-04162013085421	Due Date: 19/04/2013 12:00:00	Report Status: Rejected
Alert/CaseID: 11825	Last Modified By: RRSUPERVISOR	Jurisdiction: AMEA Jurisdiction
Created By: ECMSUPERVISOR	Last Modified Date: 16/04/2013 11:59:16	Approved By: RRSUPERVISOR
Created Date: 16/04/2013 08:54:21		Approved Date: 16/04/2013 10:55:05

Reporting Entity Transactions Narrative Audit Save | Reset

Reporting Entity Information

Reporting Entity Identifier: 46	Reporting Entity Reference Number: 11825
Filing a Corrected/Amended Report: <input type="checkbox"/>	Local Currency Code: USD
FIU Reference Number: <input type="text"/>	

Reporting Entity Location

Location Name: COASTA	Address Type: Branch address (this may apply to all entity types with
Address: #1292	
City: Wellington	Post Code: 560040
Country: ARMENIA	State: AP

Reporting Entity Branch

Reporting Entity Branch: AXIS AVE BRANCH

Reporting Person

Reporting Person: FIRST MIDDLE LAST	Last Name: LAST
First Name: FIRST	Prefix: Mr
Middle Name: MIDDLE	Country Of Primary Residence: NEW ZEALAND
Date Of Birth: 11/02/1988	Country Phone Code: 44
Phone Contact Type: ATM location	Office Phone Number: 8014593214
Mobile Number: 987456145	Email Address: test@nzstr.com
Fax Number: 921232456	Address: 20 Carlos street
Address Type: ATM location	

Figure 12. Reporting Entity - Edit Mode

This tab consists of data classified into the following four sections:

- Reporting Entity Information
- Reporting Entity Location
- Reporting Entity Branch
- Reporting Person

Reporting Entity Information

The Reporting Entity information section provides details about the reporting institution filing the STR. The Reporting Entity is the financial institution filing the STR.

The possible values for the Reporting Entity Identifier drop-down are determined by your institution and fetched from the static data tables. If there is only one value defined for your institution, that value is selected as the default value for the Reporting Entity Identifier. If there is more than one Reporting Entity Identifier defined for your institution; it is possible for the administrator to configure a default value for pre-selection, should there be an identifier more commonly used within your institution for filing STRs. If there is no default configured, then the blank option will be selected and it will be necessary for you to choose a value.

The following table explains the fields in the Reporting Entity Information section:

Table 6. Fields in Reporting Entity Information Section

Field Name	Description
Reporting Entity Identifier	Reporting Entity Identifier is a unique number assigned by the Financial Intelligence Unit (FIU) to the reporting entity. Note: This data is fetched from the static data tables.
Reporting Entity Reference Number	Reporting Entity Reference number is the internal reference number of the reporting entity for the report. Note: This value is derived from OFSECM Alert or Case ID on which the action to generate the NZSTR was taken and is non editable.
Filing a Corrected/Amended Report	Corrected/Amended report is a term used to identify a report that was previously submitted but is being resubmitted with modifications to correct earlier provided information either with some corrections or with additional information. A corrected report must refer to the previously submitted STR by virtue of the FIU reference number of the previous STR. FIU reference number is the acknowledgment number received from Financial Intelligence Unit. This information is updated in the OFSCRR application while marking the report as acknowledged and is mandatory while re-submitting a corrected/amended report. For reports, which are in reopened status the application displays the Corrected/Amended check box selected by default. You must uncheck this check box if the report is reopened from closed status and it's not a corrected/supplemental report (not acknowledged before).

Table 6. Fields in Reporting Entity Information Section

Local Currency Code	<p>Displays the local currency code of the reporting entity.</p> <p>Note: This field is auto-populated based on the value selected for Reporting Entity Identifier and is defined by your institution. In most instances, this will be <i>NZD</i>.</p>
FIU Reference Number	<p>FIU Reference Number is the reference number updated while marking the report as Acknowledged.</p> <p>Note: This field is editable if the report is a Corrected/Amended Report, and is non-editable if the report is being filed for the first time or is an initial report.</p> <p>If you have marked the report as Corrected/ Amended but failed to provide the FIU Reference Number, the application displays the following message: <i>FIU Reference Number is mandatory if Filing a Corrected/Amended Report check box is checked.</i></p> <p>In case, the FIU Reference number is already populated and you uncheck the Filing a Corrected/Amended Report check box this field will be non-editable and blank. You must reset to get back the value.</p>

Reporting Entity Location

This section displays information about the location of the reporting (entity) institution filing the report. This is defined by the FIU as the location (business address) of the person making the report.

The possible values for the Reporting Entity Location drop-down list are defined by your institution and fetched from the static data tables. If in case there is only one value defined for your institution, that value is selected as the default value for Reporting Entity Location. If there is more than one Reporting Entity Location defined for your institution it is possible for the administrator to configure a default value for pre-selection, should there be a Location more commonly used within your institution for filing STRs. If there is no default configured, then the blank option will be selected and it will be necessary for you to choose a value.

All other fields in the Reporting Entity Location section will be auto-populated and non-editable based upon the selected Location.

The following table explains the fields in the Reporting Entity Location section:

Table 7. Fields in Reporting Entity Location Section

Field Name	Description
Location Name	<p>Select the location name of the reporting entity from the drop-down list.</p> <p>Note: The possible values for location name drop-down are fetched from the static data tables. In case, the table contains only one value, that value is the default value and all the other fields in this section are auto-populated as per the location name.</p>
Address Type	<p>Displays the address type of the reporting entity. Displays whether it is the reporting entity branch address, business address, employer address, work address, home address, and so on.</p>
Address	<p>Displays the complete address of the reporting entity.</p>
City	<p>Displays the city where the reporting entity is located.</p>

Table 7. Fields in Reporting Entity Location Section

Post Code	Displays the postal code where the reporting entity is located.
Country	Displays the country where the reporting entity is located.
State	Displays the state where the reporting entity is located.

Reporting Entity Branch

The Reporting Entity Branch section displays information about the branch of the entity reporting the transaction. As defined by the FIU, this may be different than the branch at which the activity being reported took place.

The possible values for the Reporting Entity Branch name drop-down list are defined by your institution and fetched from the static data tables. If in case, the table contains only one value defined for your institution, that value is the default value for Reporting Entity Branch. If there is more than one Reporting Entity Branch defined for your institution, it is possible for the administrator to configure a default value for pre-selection, should there be a Branch more commonly used within your institution for filing STRs. If there is no default configured, then the blank option will be selected and it will be necessary for you to choose a value.

Reporting Person

The Reporting Person section displays information about the individual who logs into the OFSRR application and generates the STR XML report that is to be sent to the FIU.

This section provides details about the person whom the regulators can contact regarding the Suspicious Transaction Report. The possible values for the Reporting Person drop-down list are defined by your institution and fetched from the static data tables. By default, the current user is pre-selected. All other fields in the Reporting Person section are auto-populated and non-editable based upon the selected value.

The following table explains the fields in Reporting Person section.

Entering Reporting Entity Information

Table 8. Fields in Reporting Person Section

Field Name	Description
Reporting Person	Select the full name of the person reporting the transaction from drop-down list. By default, this field displays the current user name. Note: All the other fields in the reporting person section are auto-populated based on the value selected for reporting person.
First Name	Displays the first name of the reporting person.
Last Name	Displays the last name of the reporting person.
Middle Name	Displays the middle name of the reporting person.
Prefix	Displays the prefix of the reporting person, such as Dr, Mr, Ms, and so on.
Date Of Birth	Displays the date of birth details of the reporting person.
Country Of Primary Residence	Displays the country of primary residence of the reporting person.
Phone Contact Type	Displays the contact type of the reporting person.
Country Phone Code	Displays the country code of the reporting person.
Mobile Number	Displays the mobile number of the reporting person.
Office Phone Number	Displays the office phone number of the reporting person.
Fax Number	Displays the fax number of the reporting person.
Email Address	Displays the email address of the reporting person.
Address Type	Displays the address type of the reporting person.
Address	Displays the address of the reporting person.
City	Displays the city of the reporting person.
Post Code	Displays the post code of the reporting person.
Country	Displays the country of the reporting person.
State	Displays the state of the reporting person.

To enter details about the reporting entity, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click **Reporting Entity** tab. The **Reporting Entity** details are displayed.
4. Enter the required information.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The Reporting Entity details are displayed.

Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Reporting Entity tab.

Editing Filing Institution Information

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

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click the **Reporting Entity** tab. The **Reporting Entity** details are displayed.
4. Modify the required information in the fields in the **Reporting Entity** tab.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The Reporting Entity details are displayed.

Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Reporting Entity tab. If you have made no edits to information on this page and no modifications to the default selections in the drop-down lists on this page; the default values will be considered to be *Saved* values and will be the information included in the XML.

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

Figure 13. Reporting Entity Tab- View Mode

If you click **Approve/Request for Approval**, the application verifies whether all the mandatory information is entered in the Reporting Entity tab.

If any of the mandatory details are missing, the application warns you with the following error messages.

1. If you click **Request for Approval/Approve** button with **Reporting Entity Identifier** as blank, the following error message is displayed: *Reporting Entity Identifier is missing from the Reporting Entity Tab. Please enter it.*
2. If you click **Request for Approval/Approve** button with **Reporting Entity Branch** as blank, the following error message is displayed: *Reporting Entity Branch is missing from the Reporting Entity Tab. Please enter it.*
3. If you click **Request for Approval/Approve** button with **Reporting Person** as blank, the following error message is displayed. *Reporting Person is missing from the Reporting Entity Tab. Please enter it.*

Managing Transactions

The Transaction tab in the RR Details page displays all involved transactions and their details as received from OFSECM or added directly to the STR that are specific to the current report. The application allows you to add, update, or delete only one transaction at a time.

The Transactions tab displays the following sections:

- **Transaction Details** – Transaction Details captures specific information related to the transaction such as unique transaction identifiers, date of transaction, and amount.
- **Sending Funds Information (From)** – The Sending Funds Information section supports information related to the origination of the transaction, to include type of funds (such as cash, bank draft) as well as information on involvement of foreign currency.
- **Transaction Party Sending** – This is the sender of funds. This can be an account or person who may or may not be a client of the filing institution. As the application supports only bi-party transactions there can be only one sending party reported.
 - **Conductor** – A Conductor is any third party who is not directly the source of the funds but who is acting on behalf of the sending party. A Conductor will only be associated with the sending side of the transaction for the purpose of filing an STR.
- **Receiving Funds Information (To)** – The Receiving Funds Information section supports information related to the beneficiary of the transaction, to include type of funds (such as cash, bank draft) as well as information on involvement of foreign currency.
 - **Transaction Party Receiving** – This is the recipient of the funds. As with Transaction Party Sending this can be an account or person who may or may not be a client of the filing institution. As the application supports only bi-party transactions there can be only one receiving party reported.
- **Goods and Services** – This section is optional depending on the nature of the transaction being reported. This section is used to report goods or services associated with the report. This is most often relevant for Suspicious Property Reports (SPRs), but in certain instances, goods and services should be reported in a STR or other report. As an example, the sale or purchase of securities such as stocks and bonds should be reported using this section.

Report Context

Report Name: 11825-04162013085421 Report Status: Rejected
 Alert/CaseID: 11825 Due Date: 19/04/2013 12:00:00 Jurisdiction: AMEA Jurisdiction
 Created By: ECMSUPERVISOR Last Modified By: RRSUPERVISOR Approved By: RRSUPERVISOR
 Created Date: 16/04/2013 08:54:21 Last Modified Date: 16/04/2013 11:59:16 Approved Date: 16/04/2013 10:55:05

Reporting Entity Transactions Narrative Audit

Transactions (1) | Expand All | Add | Remove | Validate

Record #	Transaction Number	Transaction Date	Transaction Method	Transaction ConductionType	Transaction Amount
1	FOTFTNTRSTCU-02	10/12/2009	Electronic transaction	Loan	NZD 500.159

Save | Reset | Validate

Transaction Details

Transaction Number* FOTFTNTRSTCU-02 Internal Reference Number ?
 Transaction Date* 10/12/2009 Transaction Method* Electronic transaction
 Authorized By ? Amount(Local Currency)* 500.159
 Transaction Conduction Type* Loan Transaction Conduction Type Other ?
 Transaction Location Lookup ? Transaction Location* Blore
 Transaction Description Transaction Description

Sending Funds Information (From)

From Funds Code* Bank draft From Funds Code Comment ?
 From Country* BOSNIA AND HERZEGOVINA From Foreign Currency Code ? BEF
 From Foreign Exchange Rate ? 500 From Foreign Amount ? 500.159

Transaction Party - Sending Add Person | Add Account | Add Existing Party | Details | Remove

Party Name AccCU Party Classification Account
 Account ID Acc1233 Country Of Primary Residence

Conductor** Add | Details | Remove

**Conductor information is mandatory if held. Mandatory requirements for completion of information will only be enforced if any part of conductor information is reported. A conductor will automatically be defined as the same type (my client/not my client) as the Sending Party.

Conductor Name Party Classification Person
 Conductor Account ID Country Of Primary Residence

Receiving Funds Information (To)

To Funds Code* Bank draft To Funds Code Comment ?
 To Country* BOSNIA AND HERZEGOVINA To Foreign Currency Code ? USD
 To Foreign Exchange Rate ? 600 To Foreign Amount ? 500.159

Transaction Party - Receiving Add Person | Add Account | Add Existing Party | Details | Remove

Party Name Aiden Mia Daniel ChloJOHN Party Classification Person
 Account ID Country of Primary Residence

Goods and Services (0) | Expand All | Add | Details | Remove

Figure 14. Transactions Tab

Adding Transactions

By default, the application displays only the Transactions grid when you first navigate to the Transactions tab. To view the transaction details, either select the check box at the beginning of a transaction row or click anywhere in the row. The selected record gets highlighted and the details of that particular transaction display below the transaction grid.

Note: The Transactions grid displays only four transactions per page. You can use the paging controls to move to additional transactions pages as needed.

The Transactions grid displays the following columns:

- Record
- Transaction number
- Transaction date
- Transaction method
- Transaction conduction type
- Transaction amount

Note: The Record value is a system generated number to help distinguish the unique transaction to the user in validation messages. It is not a field that will be available for adding or editing a transaction record.

For more information on the columns in the Transactions grid, refer to *Table 9 on page 33*.

To add transactions to the report, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Navigate to the Transactions tab.
4. Click **Add** in the Transactions grid. The Add Transaction window is displayed.

Figure 15. Add Transaction Window

5. Enter the required information in the Add Transaction window.

The following table provides details about the fields in the Add Transaction window.



Table 9. Fields in the Add Transaction Window

Field Name	Description
Transaction Number	<p>Enter the transaction number. Transaction number is a unique transaction number associated with a particular transaction.</p> <p>This is a mandatory field and the data is auto-populated from OFSECM or can be user editable. In the event you do not have a value for this field, it can be left blank and the system will auto-generate a value based upon FIU specifications at the time the report is approved and the XML is generated.</p>
Internal Reference Number	<p>Enter the internal reference number.</p> <p>This is the Reporting Entity's internal reference number for the transaction and is expected to be different from the Transaction Number if entered.</p> <p>This field is mandatory if held and allows you to enter a maximum of 50 characters. If you try to enter more than 50 characters, the following message is displayed: <i>Number of characters exceeded.</i></p>
Transaction Date	<p>Select the date of this transaction.</p> <p>This is a mandatory field. This data is auto-populated from OFSECM or can be user editable.</p>
Transaction Mode	<p>Select the mode of transaction from the drop-down list. Mode of transaction should reflect the channel or method in which the transaction was conducted. For example, was it from the use of a credit card or from the use of an ATM? Following are the options available for the mode of transaction:</p> <ul style="list-style-type: none"> ● ATM ● Credit card ● EFTPOS (Electronic fund transfer at point of sale) ● Electronic transaction ● In branch/office ● Via mail or deposit box ● Other ● Phone banking ● Unknown <p>This is a mandatory field. This data is auto-populated from OFSECM or can be user editable.</p>
Authorized By	<p>Enter the name of the user who has authorized the transaction.</p> <p>This field is mandatory if held.</p>
Amount (Local Currency)	<p>Enter the amount (in New Zealand Dollars) involved in the transaction.</p> <p>This is a mandatory field. This data is auto-populated from OFSECM or can be user editable.</p>

Table 9. Fields in the Add Transaction Window

Transaction Conduction Type	<p>Select the type of transaction involved from the drop-down list. Transaction Conduction Type should reflect the type and nature of transaction. For example, was it a credit card purchase, deposit or inquiry? Or perhaps a loan repayment or the sale of a negotiable instrument. This field is mandatory. Following are the options available for the Transaction Conduction Type:</p> <ul style="list-style-type: none"> ● Unknown ● Credit card purchase ● Currency exchange ● Denomination exchange ● Deposit ● Inquiry ● Inter-bank transfer (domestic bank to domestic bank via SWIFT) ● Loan ● Loan repay ● Other ● Proposed ● Purchase ● Purchase of negotiable instrument ● Refund ● Sale ● Sale of negotiable instrument ● Transfer (to other party) ● Transfer (to self, other account) ● Transport across border (BCR) ● Void/cancellation ● Wire transfer ● Withdrawal
Transaction Conduction Type Other	<p>If the Transaction conduction type is anything other than the options provided in the Transaction Conduction Type drop-down list, you must select Other and provide a description of the transaction type in this field. This field is mandatory if Transaction Conduction Type is <i>Other</i>.</p>

Table 9. Fields in the Add Transaction Window

Transaction Location Lookup	<p>The Transaction Location Lookup allows you to search for the business name of the branch or location where this specific transaction occurred by using internal branch and location identifiers.</p> <p>To find an internal branch to report as location, enter a branch code and click . You may also enter branch information directly into the Transaction Location text field.</p> <p>Enter a branch location code and click on lookup or . The application searches for the static data and confirms if the code is correct and populates the entered code's branch name in the Location field. If the entered code is invalid or cannot be found, the application will return a message that the code does not exist.</p>
Transaction Location	<p>Enter the branch or location where this specific transaction took place. This should be the full, official name of the branch with no abbreviations.</p> <p>This data is auto-populated from OFSECM or can be user editable. If you elect to use the Transaction Branch Lookup, upon successful validation of the entered code, this field will be populated from the static data.</p>
Transaction Description	<p>Enter a brief description or the purpose of the transaction. You are limited to 4000 characters or less for the description.</p>

6. Click **Save**. The following message is displayed: *Add operation successful.*
7. Click **OK**. The Add Transaction window resets and you can capture a new transaction.

Deleting Transactions

To delete a transaction, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record you want to delete.
3. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record.*
4. Click **OK**. The following message is displayed: *Delete operation successful.*
5. Click **OK**. The application refreshes and displays the Transactions grid.

Note: The **Validate** button in the Transactions grid checks for any missing or incomplete transaction information. The Validate button on the grid will validate all of the information related to the transaction details as well as the child records of the transaction (Sending/Receiving etc). If any part of the transaction or its children are missing any information, you will be directed to select that transaction (identified by the record number in the grid) and perform additional validations for each section to find the error.

Transaction Details

To view the details of transactions, click anywhere on a transaction row. The details of the transaction will appear below the grid along with all associated transaction fund and party information. You can edit information about the transaction in the Transaction Details section.

For more information on the fields in the Transaction Details section, refer to *Table 9 on page 33*.

Sending Funds Information (From)

The application supports only bi-party transactions. Bi-party transactions are composed of a source and destination. The source and destination can be either a person or account.

The Sending Funds Information (From) section reports the origin of the funds/transaction. This is the sender of funds or the party who is sending the funds. In addition, this section describes the type of funds used (for example, cash, bank draft, and so on) as well as information on use of foreign currency.

Since the application support only bi- party transactions, a reported transaction can have only one sending party information.

The Sending Party Information (From) contains two sub-sections, namely:

- Transaction Party – Sending
- Conductor

The following table explains the fields in the Sending Funds Information (From) section:

Table 10. Fields in Sending Funds Information (From) Section

Field Name	Description
From Funds Code	<p>Select the type of fund (for example, cash, bank draft, and so on) involved in the transaction from the drop-down list.</p> <p>This field is mandatory and following are the options available for From funds Code:</p> <ul style="list-style-type: none"> ● Unknown ● Bank draft ● Bearer bond ● Bill of exchange ● Cash ● Cash (different currency than the from/to side) ● Cash (different denomination than the from/to side) ● Casino chips ● Certificate of deposit ● Cheque ● Counterfeit ● Credit ● Credit card ● E-currency (funds held in digital currency, Bitcoin, etc.) ● Electronically held funds ● Money order ● Other ● Other negotiable instrument ● Promissory note ● Traveller's cheques
From Funds Code Comment	<p>If the From Funds Code is anything other than the options provided in the From Funds Code drop-down list, you must select Other and provide a description of the fund in this field.</p> <p>This field is mandatory if From Funds Code is other.</p>
From Country	<p>Select the country from which the transaction originated.</p> <p>This field is mandatory.</p>
From Foreign Currency Code	<p>Select the type of foreign currency involved in the transaction from the drop-down list, if applicable.</p>
From Foreign Exchange Rate	<p>Enter the exchange rate which is applied to the currency for this transaction if a foreign currency is involved.</p>
From Foreign Amount	<p>Enter the amount in foreign currency involved in the transaction, if a foreign currency is involved.</p>

Transaction Party Sending

The Transaction Party Sending section allows you to enter information about the party responsible for originating the transaction.

- If a *person/individual* is the sender of the funds, add the person details in the Transaction Party Sending section. Use the classification of **person** when there is no specific account information available.
- If an *account* is the sender of the funds, add the account details in the Transaction Party Sending section. Use the classification of **account** when the primary identification for the party includes account specific information, such as an account identifier.

The classification of the party as account or person determines what information must be reported when filing the report.

Parties will be further classified as a client of the filing institution (**person my client** or **account my client**) or an external party (**person** or **account**). For parties that are considered to be clients of the filing institution there is a greater expectation that information is available and thus more fields will be considered mandatory for filing.

In addition, a transaction can also have a *conductor* apart from the source and the destination. A conductor is a third-party who is not the source of the funds, but is acting on behalf of the sending party. A conductor will only be associated with the sending side of the transaction and will inherit the Transaction Party Sending classification with respect to being considered *my client* or not.

Adding Person Information

The application allows you to add a new Transaction Party - Sending if there is no other party present. If a transaction already has a transaction party sending present, the application disables the add button, and thus stops you from adding another transaction party sending.

The person/individual who is the sender of the funds can either be a client of the reporting entity or not. If the sender (person) is a client of the reporting entity, then the party is classified as **person my client**. If the sender (person) is not a client of the reporting entity, then the party is classified as **person**.

To add person information, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record displays in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Add Person** in the Transaction Party - Sending grid. The Transaction Party Information – Person page is displayed.
4. Select the Transaction Party Classification.
Note: Select **person my client** if the sender of the funds is a client of the reporting entity. Select **person** if the sender is not a client of the reporting entity.
5. Enter the required information in the Transaction Party Information – Person page.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The person details are saved.

The Transaction Party Information – Person page comprises the following sections:

- Transaction Party Classification
- Party Details

- Phone
- Address
- Email
- Identification
- Employer Details

The **Save** button in the Transaction Party Information – Person page saves any details entered in this page.

The **Validate** button in the Transaction Party Information – Person page provides details about any missing information in the Transaction Party Information – Person page. When clicked, it will provide information about missing mandatory information that is required for filing with a party type of person or person my client. You can validate until there are no longer messages informing you of missing information.

If you click **Reset**, the unsaved data is reset to the last saved value in the Transaction Party Information – Person page.

The **Back** button in the Transaction Party Information – Person page allows you to navigate back to the Transactions tab.

Transaction Party Classification

The person/individual who is the sender of the funds can either be or not be a client of the reporting entity. If the sender (person) is a client of the reporting entity, then the party is classified as **Person My Client**. If the sender (person) is not a client of the reporting entity, then the party is classified as **Person**.

Select **Person My Client** if the sender of the funds is a client of the reporting entity. Select **person** if the sender is not a client of the reporting entity. This selection will allow the application to properly validate that the information entered for the report meets mandatory reporting requirements which vary based upon classification as my client versus not my client.

If the transaction party Classification is **Person my client**, the fields First Name, Last Name, and Country of Primary Residence are mandatory in the Party Details section. If the transaction party Classification is **Person**, only the fields First Name and Last Name are mandatory in the Party Details section.

Transaction Number	TRXNSTRDVLUPRODTSAC-013	Transaction Date	04/12/2009	Transaction Amount	500
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Transaction Party Information - Person Validate | Save | Reset | Back

Transaction Party Classification* Person Person My Client

Party Details**

**Mandatory requirements for completion of address, phone and Identification information are only enforced if any component of an address, phone or identification is entered.

First Name*	<input type="text"/>	Last Name*	<input type="text"/>
Middle Name ?	<input type="text"/>	Prefix ?	<input type="text"/>
Gender ?	<input type="text"/>	Date Of Birth ?	<input type="text"/>
Place Of Birth	<input type="text"/>	Mother's Name ?	<input type="text"/>
IRD ?	<input type="text"/>	Nationality1 ?	<input type="text"/>
Nationality2	<input type="text"/>	Nationality3	<input type="text"/>
Country of Primary Residence ?	<input type="text"/>	Occupation	<input type="text"/>

Phone (0) | Add | Remove

Address (0) | Add | Remove

Email (0) | Add | Remove

Identification (0) | Add | Remove

Employer Details**

**Employer Details are mandatory if field. Mandatory requirements for entry of Address or Phone information is only enforced if any part of address or phone information is entered.

Employer Name	<input type="text"/>		
Employer's Address Type*	<input type="text"/>		
Address*	<input type="text"/>		
City*	Post Code ?	State ?	<input type="text"/>
Country*	Phone Type ?	Phone Number*	<input type="text"/>
Phone Contact Type*	Country Phone Code ?	Extension	<input type="text"/>

Figure 16. Transaction Party Sending Person

Figure 17. Transaction Party Sending - Person My Client

Party Details

The Party Details section displays the following fields:

Table 11. Fields in Party Details Section

Field Name	Description
First Name	Enter the person's (legal) first name.
Last Name	Enter the person's (legal) last name.
Middle Name	Enter the person's (legal) middle name.
Prefix	Enter the prefix of the person name.
Gender	Enter the gender of the person.
Date Of Birth	Select the person's date of birth from the calendar.
Place Of Birth	Enter the person's country of birth.
Mother's Name	Enter the person's mother's name.
IRD	Enter the IRD number of the person. Note: IRD stands for Inland Revenue Department number and it is a unique number given by the New Zealand's Inland Revenue Department. It is used by financial institutions, government departments, and employers to identify you for tax purposes.
Nationality1	Enter the name of the country where the person has citizenship.

Table 11. Fields in Party Details Section

Field Name	Description
Nationality2	Enter the name of the country where the person has citizenship. Use this field to report country in case the person has dual citizenship.
Nationality3	Enter the name of the country where the person has citizenship. Use this field to report country in case the person has triple citizenship.
Country of Primary Residence	Enter the name of the country where the person primarily resides.
Occupation	Enter the occupation of the person.

Adding Person Phone Details

The phone grid displays the phone details associated with the person. This grid allows you to add or delete person phone details.

Note: Mandatory requirements for completion of address, phone, identification, email, and employer information are enforced if any part in address, phone, identification, email, and employer information is entered.

To add person phone details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Click **Add** in the Phone grid. A new row is added below the phone grid where you can enter the phone details.
5. Select the check box of the newly added row.

The Phone grid displays the following columns:

- a. Phone Number
 - b. Contact Type
 - c. Phone Type
 - d. Country Phone Code
 - e. Extension
6. Enter the required information.
 7. Click **Save**. The following message is displayed: *Update Operation Successful*.
 8. Click **OK**. The newly added phone details are displayed in the phone grid.

Note: You will not be allowed to enter phone information before entering and saving Person Details.

Editing Person Phone Details

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the check box of the record you want to edit in the Phone grid. The row becomes editable on selection.
5. Modify the required information in the Phone grid.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The details are saved in the phone grid.

Deleting Person Phone Details

To delete person phone details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the record you want to delete in the Phone grid.
5. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record*.
6. Click **OK**. The following message is displayed: *Delete Operation Successful*.
7. Click **OK**. The record is deleted from the phone grid.

Adding Person Address Details

The Address grid displays the address details associated with the person. This grid allows you to add or delete person address details.

To add person address details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Click **Add** in the Address grid. A new row is added below the address grid where you can enter the address details.

5. Select the check box of the newly added row.

The Address grid displays the following columns:

- Address Type
- Address
- City
- Post Code
- Country

6. Enter the required information.
7. Click **Save**. The following message is displayed: *Update Operation Successful*.
8. Click **OK**. The newly added address details are displayed in the address grid.

Note: You will not be allowed to enter address information before entering and saving Person Details.

Editing Person Address Details

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the check box of the record you want to edit in the Address grid. The row becomes editable on selection.
5. Modify the required information in the Address grid.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The details are saved in the Address grid.

Deleting Person Address Details

To delete person address details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the record you want to delete in the Address grid.
5. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record*.
6. Click **OK**. The following message is displayed: *Delete Operation Successful*.
7. Click **OK**. The record is deleted from the address grid.

Adding Person Email Details

The Email grid displays the email details associated with the person. This grid allows you to add or delete person email details.

To add person email details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Click **Add** in the Email grid. A new row is added below the Email grid where you can enter the email details.
Note: The application allows you to add a maximum of 5 email addresses.
5. Select the check box of the newly added row.
6. Enter the email address of the person.
7. Click **Save**. The following message is displayed: *Update Operation Successful*.
8. Click **OK**. The newly added email details are displayed in the Email grid.
Note: You will not be allowed to enter email information before entering and saving Person Details.

Editing Person Email Details

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the check box of the record you want to edit in the Email grid. The row becomes editable on selection.
5. Modify the required information in the Email grid.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The details are saved in the Email grid.

Deleting Person Email Details

To delete person email details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the record you want to delete in the Email grid.
5. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record.*
6. Click **OK**. The following message is displayed: *Delete Operation Successful.*
7. Click **OK**. The record is deleted from the Email grid.

Adding Person Identification Details

The Identification grid displays the identification details associated with the person. This grid allows you to add or delete person identification details.

To add person identification details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Click **Add** in the Identification grid. A new row is added below the Identification grid where you can enter the Identification details.
5. Select the check box of the newly added row.

The Identification grid displays the following columns:

- Identification Type
- Identification Number
- Issue Date
- Expiry date
- Issued By
- Country

6. Enter the required information.
7. Click **Save**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**. The newly added identification details are displayed in the Identification grid.

Note: You will not be allowed to enter identification information before entering and saving Person Details.

Editing Person Identification Details

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the check box of the record you want to edit in the Identification grid. The row becomes editable on selection.
5. Modify the required information in the Identification grid.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The details are saved in the Identification grid.

Deleting Person Identification Details

To delete person identification details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the record you want to delete in the Identification grid.
5. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record*.
6. Click **OK**. The following message is displayed: *Delete Operation Successful*.
7. Click **OK**. The record is deleted from the Identification grid.

Adding Employer Details

The application allows you to add one employer for a person/ person my client. The Employer details section displays the employer details of the person.

Employer Details are mandatory if held. Mandatory requirements for entry of Address or Phone information for an employer are only enforced if any part of address or phone information is entered.

The Employer Details section displays the following fields:

Table 12. Fields in Employer Details

Field Name	Description
Employer Name	Enter the name of the company or entity which employs the person. This data is auto-populated from OFSECM or can be user editable.
Employers Address Type	Select the employer address type such as passport, drivers licence, voter information, and so on.
Address	Enter the employer street address.
City	Enter the city in which the employer of the person is located.
Post Code	Enter the postal code in which the employer of the person is located.
Country	Select the country in which the employer of the person is located.
State	Enter the state in which the employer of the person is located.
Phone Contact Type	Select the employer phone contact type.
Phone Type	Select the employer phone type such as fax, mobile, pager, and so on.
Phone Number	Enter the employer phone number.
Country Phone Code	Select the phone code of the country in which the employer is located.
Extension	Enter the extension number of the person in the organization.

- Click **Save** to save the details entered in the Employer Details section. The following message is displayed:
Update Operation Successful.

Note: You will not be allowed to enter employer information before entering and saving Person Details.

Adding Account Information

If an *account* is the sender of the funds, add the account details in the Transaction Party Sending section.

The account which is the sender of the funds can either be or not be a client of the reporting entity. If the account involved is a client of the reporting entity, then the party is classified as **Account my client (account internal)**. If the account is not a client of the reporting entity, then the party is classified as **Account (account external)**.

If the primary account holder of the account sending the funds is an individual, the party is classified as **Individual**, and if the primary account holder of the account involved in sending the funds is a legal entity such as a corporation or another financial institution, the party is classified as **Entity**.

The classification as Entity or Individual is important as it allows the application to properly validate the information entered in the report. The FIU has different requirements for mandatory information when the party on the report is an individual versus a legal entity.

Reporting Entity	Transactions	Narrative	Audit																																								
Transaction Number TRXNSTRDVLUPRODTSAC-013		Transaction Date 04/12/2009																																									
		Transaction Amount 500																																									
<p>Transaction Party Information - Account Validate Save Reset Back</p> <p>Transaction Party Classification* <input checked="" type="radio"/> Account <input type="radio"/> Account My Client Primary Account Holder Type ? <input type="radio"/> Individual <input checked="" type="radio"/> Entity</p>																																											
<p>Account Details</p> <table border="0"> <tr> <td>Account ID*</td> <td><input type="text"/></td> <td>Account Name ?</td> <td><input type="text"/></td> </tr> <tr> <td>Account Balance ?</td> <td><input type="text"/></td> <td>Personal Account Type ?</td> <td><input type="text"/></td> </tr> <tr> <td>Account Open Date ?</td> <td><input type="text"/></td> <td>Account Close Date ?</td> <td><input type="text"/></td> </tr> <tr> <td>Institution Name ?</td> <td><input type="text"/></td> <td>Check if Non-banking Institution ?</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Swift Code*</td> <td><input type="text"/></td> <td>Or Institution Code*</td> <td><input type="text"/></td> </tr> <tr> <td>Branch Code ?</td> <td><input type="text"/></td> <td>Branch Name ?</td> <td><input type="text"/></td> </tr> <tr> <td>Currency Code</td> <td><input type="text"/></td> <td>Account Status ?</td> <td><input type="text"/></td> </tr> <tr> <td>IBAN</td> <td><input type="text"/></td> <td>Client Number ?</td> <td><input type="text"/></td> </tr> <tr> <td>Beneficiary ?</td> <td><input type="text"/></td> <td></td> <td></td> </tr> <tr> <td>Beneficiary Comments</td> <td colspan="3"><input type="text"/></td> </tr> </table>				Account ID*	<input type="text"/>	Account Name ?	<input type="text"/>	Account Balance ?	<input type="text"/>	Personal Account Type ?	<input type="text"/>	Account Open Date ?	<input type="text"/>	Account Close Date ?	<input type="text"/>	Institution Name ?	<input type="text"/>	Check if Non-banking Institution ?	<input type="checkbox"/>	Swift Code*	<input type="text"/>	Or Institution Code*	<input type="text"/>	Branch Code ?	<input type="text"/>	Branch Name ?	<input type="text"/>	Currency Code	<input type="text"/>	Account Status ?	<input type="text"/>	IBAN	<input type="text"/>	Client Number ?	<input type="text"/>	Beneficiary ?	<input type="text"/>			Beneficiary Comments	<input type="text"/>		
Account ID*	<input type="text"/>	Account Name ?	<input type="text"/>																																								
Account Balance ?	<input type="text"/>	Personal Account Type ?	<input type="text"/>																																								
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Beneficiary ?	<input type="text"/>																																										
Beneficiary Comments	<input type="text"/>																																										
<p>Entity Details**</p> <p><small>**Entity Details are only applicable if the selected Account Holder Type is an Entity. Mandatory requirements are enforced only if any part of Entity Details is entered. Phone, Address and Director details for an Entity are mandatory if held. Mandatory requirements for Address, Phone and Director details are only enforced if any part of address, phone or director information is entered.</small></p> <table border="0"> <tr> <td>Entity Name*</td> <td><input type="text"/></td> <td>Incorporation Legal Form*</td> <td><input type="text"/></td> </tr> <tr> <td>Incorporation Number ?</td> <td><input type="text"/></td> <td>Business ?</td> <td><input type="text"/></td> </tr> <tr> <td>Incorporation Country ?</td> <td><input type="text"/></td> <td>Incorporation State</td> <td><input type="text"/></td> </tr> <tr> <td>URL</td> <td><input type="text"/></td> <td>Trading As ?</td> <td><input type="text"/></td> </tr> </table> <p>Phone (0) Add Remove</p> <p>Address (0) Add Remove</p> <p>Director (0) Add Remove</p> <p>Signatory** (0) Add Remove</p> <p><small>**Signatory is mandatory for Account My Client. Otherwise should be considered Mandatory if Held. Phone, Address, Email, Identification and Employer Details for a Signatory are mandatory if held regardless of account type. Mandatory requirements for each information type will only be enforced if some part of that information is entered.</small></p>				Entity Name*	<input type="text"/>	Incorporation Legal Form*	<input type="text"/>	Incorporation Number ?	<input type="text"/>	Business ?	<input type="text"/>	Incorporation Country ?	<input type="text"/>	Incorporation State	<input type="text"/>	URL	<input type="text"/>	Trading As ?	<input type="text"/>																								
Entity Name*	<input type="text"/>	Incorporation Legal Form*	<input type="text"/>																																								
Incorporation Number ?	<input type="text"/>	Business ?	<input type="text"/>																																								
Incorporation Country ?	<input type="text"/>	Incorporation State	<input type="text"/>																																								
URL	<input type="text"/>	Trading As ?	<input type="text"/>																																								

Figure 18. Account Page

Figure 19. Account My Client Page

To add account information, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Add Account** in the Transaction Party Sending grid. The Transaction Party Information – Account page is displayed.
4. Select the Transaction Party Classification.

Note: Select **Account my client** if the account sending the funds is a client of the reporting entity. Select **Account** if the account sending the funds is not a client of the reporting entity.
5. Select primary account holder type.

Note: Select **Individual** if the primary account holder of the account sending the funds is an individual and select **Entity** if the primary account holder of the account involved in sending the funds is an entity. The Entity details section is hidden in the Transaction Party Information – Account page if the Primary Account Holder is an individual.
6. Enter the required information in the Transaction Party Information – Account page.
7. Click **Save**. The following message is displayed: *Update Operation Successful*.

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

The Transaction Party Information – Account page comprises the following sections:

- Transaction Party Classification
- Primary Account Holder Type
- Account Details
- Entity Details
 - Phone
 - Address
 - Director details
 - ◆ Phone
 - ◆ Address
- Signatory
 - Signatory Details
 - Phone
 - Address
 - Email
 - Identification
 - Employer Details

The **Save** button in the Transaction Party Information – Account page saves any details entered in this page.

The **Validate** button in the Transaction Party Information – Account page provides details about any missing information in the Transaction Party Information – Account page. When clicked, it will provide information about missing mandatory information that is required for filing with a party type of account or account my client. You can validate as often as it takes until there are no longer messages informing you of missing information.

If you click **Reset**, the unsaved data is reset to the last saved value in the Transaction Party Information – Person page.

The **Back** button in the Transaction Party Information – Account page allows you to navigate to the Transactions tab.

Transaction Party Classification

The account sending the funds can either be a client of the reporting entity or not. If the account sending the funds is a client of the reporting entity, then the party is classified as **Account my client (account internal)**. In these instances, the Reporting Entity will have additional information regarding the account, and hence more fields are marked mandatory in Account Details section. If the account sending the funds is not a client of the reporting entity, then the party is classified as **Account (account external)**.

The following fields in Account Details section are mandatory if Account My client is selected, and is mandatory if held if Account is selected.

- Institution name
- Branch Code

- Branch Name
- Currency Code
- Account Name
- Personal Account Type
- Account Open Date

Account_Details

The Account Details section displays the following fields. Enter the required information in the Account details section.

Table 13. Fields in Account Details Section

Field Name	Description
Account ID	Enter the ID of the account. This data is auto-populated from OFSECM or can be user editable.
Account Name	Enter the name of the account. This data is populated from OFSECM and is also user editable.
Account Balance	Enter the current known balance of the account.
Personal Account Type	Select the type of account held. This data is auto-populated from OFSECM or can be user editable.
Account Open Date	Select the date on which the account was opened from the calendar. This data is auto-populated from OFSECM or can be user editable.
Account Close Date	Select the date on which the account was closed from the calendar, if the account has been closed.
Institution Name	Enter the name of the entity providing the account. For external account, this field supports institution lookup. This field allows wildcard search for institution names. On lookup, the institution names display in a pop-up and allows you to select one institution. On selection of the institution, the corresponding swift/institution codes are auto-populated in the Account Details section. For internal accounts, the default value will be name of the institution holding the account. If you want to modify the institution details, you can use the lookup.
Check if Non-banking Institution	Select this check box if the entity providing the account facility is not a bank.

Table 13. Fields in Account Details Section


<p>SWIFT Code</p>	<p>Enter the SWIFT code. SWIFT Codes are provided by Society for Worldwide Interbank Financial Telecommunication (SWIFT). SWIFT code is a unique identification code for a particular bank. These codes are used when transferring money between banks, particularly for international wire transfers. Banks also use these codes for exchanging other messages between them.</p> <p>Institution code and Swift codes are mutually exclusive and only one of these fields must be reported. If both Institution code and Swift codes are provided, SWIFT code takes priority above the Institution Code and is updated in the final STR.</p> <p>For external account you can use the lookup function to search for institution/Swift code.</p>
<p>Institution Code</p>	<p>Enter the institution code. The institution code is filled as per the Institution name you have selected. Institution code is a unique identifying code issued by the FIU to the institution holding the account.</p> <p>Institution and Swift codes are mutually exclusive and only one of these fields must be reported.</p> <p>If both Institution code and Swift codes are provided, SWIFT code takes priority above the Institution Code and is updated in the final STR.</p>
<p>Branch Code</p>	<p>Displays the branch code of the branch where the account is held. This field allows you to enter the branch code. On clicking , the system validates whether a valid code is entered. In case of valid branch code, the application displays the branch name in the respective field. Branch code look up is valid for Account my client and not for Accounts (External).</p> <p>You must fill the Branch Name manually in case of External Accounts . The application displays the following message if you click on Branch Code look up when the account is external: <i>Application doesn't support Branch Code look up for external accounts. Please enter the Branch Name manually.</i></p> <p>If the Account was previously marked as Account my client and on changing the type to Account External, the application will not delete the Branch Code and Branch Name. You must update/delete it manually. The application will display the saved data unless changed and saved by the user.</p>

Table 13. Fields in Account Details Section

Branch Name	Displays the branch name of the branch where the account is held. The <i>branch name (not the branch code)</i> is included in the final STR This field is auto-populated on entry of a valid branch code or is also editable for you to enter/ modify the name.
Currency Code	Displays the currency the account is held in.
Account Status	Enter the status of the account, whether it is closed or new account, and so on.
IBAN	Enter the IBAN number for the entity providing the account facility. The International Bank Account Number (IBAN) is an internationally agreed means of identifying bank accounts across national borders with a reduced risk of propagating transcription errors.
Client Number	Enter the client number of the account holder. Client number is a unique number assigned to the account holder by the account provider. This is not the account number. In many cases it may be the unique identifier associated with a Customer who owns the account. It will be populated from OFSECM and is also user editable.
Beneficiary	Enter the name of the beneficiary A beneficiary is someone designated to receive the assets held in a bank account after the death of the account holder.
Beneficiary Comments	Enter any further notes specifically in relation to the beneficiary(s) of this account.

Adding Entity Information

This section provides details about the entity. It also provides entity phone, address, and director details Figure 18.

If the primary account holder of the account sending the funds is an individual, then the Entity Details are hidden in the Transaction Party Information - Account page. Entity information is only applicable if the account being reported is an account associated with a legal entity such as a business or other organization.

Mandatory requirements are enforced only if any part of Entity Details is entered. Phone, Address and Director details for an Entity are mandatory if held. Mandatory requirements for Address, Phone and Director details are only enforced if any part of address, phone or director information is entered.

To add entity information, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Add Account** in the Transaction Party Sending grid. The Transaction Party Information – Account page is displayed.
4. Select the Transaction Party Classification.

Note: Select **Account my client** if the account sending the funds is a client of the reporting entity. Select **person** if the account sending the funds is not a client of the reporting entity.

5. Select primary account holder type as Entity.

Note: Select Individual if the primary account holder of the account sending the funds is an individual and select Entity if the primary account holder of the account involved in sending the funds is an entity. The Entity details section is hidden in the Transaction Party Information – Account page if the Primary Account Holder is an individual.

6. Enter the required information in the Entity Details section. For more information on the fields in the Entity Details, refer *Table 14 on page 56*.
7. Click **Save**. The following message is displayed: *Update Operation Successful*.
8. Click **OK**. The entity details are saved.

Note: You will not be allowed to enter entity information before entering and saving account Details.

The following table explains the fields in the Entity Details Section:

Table 14. Fields in Entity Details Section

Field Name	Description
Entity Name	Enter the full registered name of the entity involved.
Incorporation Legal Form	Enter the legal type of company (that is, partnership, limited liability company, etc.)
Incorporation Numb	Enter the company registration number.
Business	Enter the type of business the entity conducts.
Incorporation Country	Enter the country in which the entity has been incorporated.
Incorporation State	Enter the state in which the entity has been incorporated.
URL	Enter is the URL address to the entity website.
Trading As	Displays the <i>trading as</i> name of the entity if the legal entity is a company or organization that is eligible for trading.

Entity Phone Details

Mandatory requirements for completion of entity address and phone details are enforced if any part of address and phone information is entered.

The phone grid in the entity details section allows you to add entity phone details. You will not be allowed to enter entity phone information before entering and saving Entity Details. For more information on the steps to add, edit, or modify phone details, refer to section *Adding Person Phone Details*, on page 42.

Entity Address Details

The Address grid in the entity details section allows you to add entity address details. You will not be allowed to enter entity address information before entering and saving Entity Details. For more information on the steps to add, edit, or modify address details, refer to section *Adding Person Address Details*, on page 43.

Adding Entity Director Details

This section provides details about the director(s) of the entity. This section also provides the director phone and address details.

You will not be allowed to enter entity director information before entering and saving Entity Details.

To add Entity Director details, follow these steps:

1. Navigate to the **Transactions** tab. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information – Account page is displayed.
4. Click **Add** in the director details grid of the Entity Details section. A new row is added below the director details grid where you can enter the director details.
5. Select the check box of the newly added row.

The Director grid displays the following columns:

- First Name
- Last Name
- Date of Birth
- Country of primary residence

6. Enter the required information.
7. Click **Save**. The following message is displayed: *Update Operation Successful*.
8. Click **OK**. The newly added Director details are displayed in the Director grid.

Editing Entity Director Details

To edit Entity Director details, follow these steps:

1. Navigate to the **Transactions** tab. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information – Account page is displayed.
4. Select the record you want to edit in the Director Details grid. On selection, the row becomes editable.
5. Modify the required information in the Director Details grid.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The modified Director details are displayed in the Director grid.

Deleting Entity Director Details

You will not be allowed to delete entity director information before entering and saving Entity Details.

To delete entity Director details, follow these steps:

1. Navigate to the **Transactions** tab. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information – Account page is displayed.
4. Select the record you want to delete in the Director Details grid of the Entity Details section.
5. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record.*
6. Click **OK**. The following message is displayed: *Delete Operation Successful.*
7. Click **OK**. The record is deleted from the Director Details grid.

Director Phone Details

Mandatory requirements for completion of director address and phone information is only enforced if any part address or phone information is entered.

The phone grid in the Director details section allows you to add Director phone details. You will not be allowed to enter Director phone information before entering and saving director details. For more information on the steps to add, edit, or modify phone details, refer to section *Adding Person Phone Details*, on page 42.

Director Address Details

The Address grid in the Director details section allows you to add Director address details. You will not be allowed to enter Director address information before entering and saving director details. For more information on the steps to add, edit, or modify address details, refer to section *Adding Person Address Details*, on page 43.

Adding Signatory Details

The Signatory grid will list all the signatories of an account in a grid.

This section provides the signatory details of the account. This section lists all the signatories of an account.

An account signatory is a trusted person who has signatory rights in business or corporate offshore bank account. An offshore bank account signatory is entitled to execute wire transfers, sign cheques, and make other payments from the offshore bank account.

Signatory will defined as Person my client if the Account is classified as Account my Client. For external accounts, Signatory will be Person type.

Signatory is mandatory for Account My Client. The Phone, Address, Email, Identification and Employer Details for a Signatory are mandatory if held regardless of account type. Mandatory requirements for each information type will only be enforced if some part of that information is entered. For Accounts my client, at least one signatory must be present. However, it is not mandatory that any one of the signatories must be primary.

For Accounts, signatory is not mandatory.

To add signatory details, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information – Account page is displayed.
4. Click **Add** in the Signatory grid. The Signatory Details window is displayed.

For more information on the fields in Signatory Details section, refer to *Table 15 on page 61*.

Figure 20. Signatory Details Window

5. Enter the required information.
6. Click **Save**. The following message is displayed: *Add Operation Successful*.
7. Click **OK**. The Signatory Details window is displayed.
8. Click **Close**. The newly added signatory details are displayed in the Signatory grid.

If you click on any record in the Signatory grid, the Signatory details expand and display below the grid.

The Signatory Details Section displays the following:

- Phone
- Address
- Email
- Identification
- Employer Details

Record #	Name	Country Of Primary Residence	Is Primary
1	John Smith	--	Yes

**Signatory is mandatory for Account My Client. Otherwise should be considered Mandatory if Held. Phone, Address, Email, Identification and Employer Details for a Signatory are mandatory if held regardless of account type. Mandatory requirements for each information type will only be enforced if some part of that information is entered.

Signatory Details |

Is Signatory Primary? No Yes

First Name*	<input type="text" value="John"/>	Last Name*	<input type="text" value="Smith"/>
Middle Name ?	<input type="text"/>	Prefix ?	<input type="text"/>
Gender ?	<input type="text"/>	Date Of Birth ?	<input type="text"/>
Place Of Birth	<input type="text"/>	Mother's Name ?	<input type="text"/>
IRD ?	<input type="text"/>	Nationality1 ?	<input type="text"/>
Nationality2	<input type="text"/>	Nationality3	<input type="text"/>
Country Of Primary Residence ?	<input type="text"/>	Occupation	<input type="text"/>

Phones (0) |

Address (0) |

Email (0) |

Identification (0) |

Employer Details**

**Employer Details are mandatory if held. Mandatory requirements for entry of Address or Phone information is only enforced if any part of address or phone information is entered.

Employer Name	<input type="text"/>	Post Code ?	<input type="text"/>
Employer's Address Type*	<input type="text"/>	State ?	<input type="text"/>
Address*	<input type="text"/>	Phone Type ?	<input type="text"/>
City*	<input type="text"/>	Country Phone Code ?	<input type="text"/>
Country*	<input type="text"/>		
Phone Contact Type*	<input type="text"/>		
Phone Number*	<input type="text"/>		
Extension	<input type="text"/>		

Figure 21. Signatory Grid Displaying Signatory Details

The **Validate** button in the Signatory Details section provides details about any missing information in the Transaction Party Information – Person page. When clicked, it will provide information about missing mandatory information that is required for filing with a party type of person or person my client. You can validate until there are no longer messages informing you of missing information.

You cannot edit the details in the Signatory grid. You can edit the Signatory details only in the Signatory details section by selecting a signatory from the grid.

The following table explains the fields in the Signatory Details window:

Table 15. Fields in Signatory Details Window

Field Name	Description
Is The Signatory Primary	Displays the primary holder of the account. This field allows you to mark a signatory as primary. Only one signatory can be marked as primary. If you try to save a signatory as primary when there is already another primary signatory present for the account, the application displays the following message: <i>The application displays the following message: <Primary signatory name> has already been identified as Primary Signatory. Only one Signatory can be marked as Primary. Click OK to mark the current signatory as primary or cancel to go back without any change.</i>
First Name	Enter the first name of the signatory.
Last Name	Enter the last name of the signatory.
Middle Name	Enter the middle name of the signatory.
Prefix	Enter the prefix of the signatory name.
Gender	Enter the gender of the signatory.
Date Of Birth	Select the date of birth of the signatory from the calendar.
Place of Birth	Enter the place of birth of the signatory.
Mother's Name	Enter the mother's name of the signatory.
IRD	Enter the IRD number of the signatory IRD stands for Inland Revenue Department number and it is a unique number given by the New Zealand's Inland Revenue Department. It is used by financial institutions, government departments, and employers to identify people for tax purposes.
Nationality1	Enter the name of the country where the signatory has citizenship.
Nationality2	Enter the name of the country where the signatory has citizenship. Use this field to report country in case the person has dual citizenship.
Nationality3	Enter the name of the country where the signatory has citizenship. Use this field to report country in case the person has triple citizenship.
Country Of Primary Residence	Enter the name of the country where the signatory primarily resides.
Occupation	Enter the occupation of the signatory.

Modifying Signatory Details

To modify signatory details, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information – Account page is displayed.
4. Select the record you want to edit in the Signatory grid. The Signatory details are displayed below the Signatory grid in the Signatory Details section.
5. Modify the required information in the Signatory Details section.

6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The Signatory Details are saved in the Signatory Details section.

Removing Signatory Details

To remove signatory details, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Details** in the Transaction Party Sending grid. The Transaction Party Information – Account page is displayed.
4. Select the record you want to delete in the Signatory grid.
5. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record*.
6. Click **OK**. The following message is displayed: *Delete Operation Successful*.
7. Click **OK**. The record is deleted from the Signatory grid.

Signatory Phone Details

Mandatory requirements for completion of Signatory address, phone, identification, email, and employer information is only enforced if any part address, phone, identification, email, and employer information is entered. The phone grid in the Signatory details section allows you to add signatory phone details. You will not be allowed to enter signatory phone information before entering and saving signatory Details. For more information on the steps to add, edit, or modify phone details, refer to section *Adding Person Phone Details*, on page 42.

Signatory Address Details

The Address grid in the Signatory details section allows you to add signatory address details. You will not be allowed to enter signatory address information before entering and saving signatory Details. For more information on the steps to add, edit, or modify address details, refer to section *Adding Person Address Details*, on page 43.

Signatory Email Details

The Email grid in the Signatory details section allows you to add signatory email details. You will not be allowed to enter signatory email information before entering and saving signatory Details. For more information on the steps to add, edit, or modify email details, refer to section *Adding Person Email Details*, on page 45.

Signatory Identification Details

The Identification grid in the Signatory details section allows you to add signatory identification details. You will not be allowed to enter signatory identification information before entering and saving signatory Details. For more information on the steps to add, edit, or modify identification details, refer to section *Adding Person Identification Details*, on page 46.

Signatory Employer Details

The Employer details grid in the Signatory details section allows you to add signatory employer details. You will not be allowed to enter signatory employer information before entering and saving signatory Details. For more information on the steps to add, edit, or modify employer details, refer to section *Adding Employer Details*, on page 47.

Adding Existing Party

Often the transactions which are part of the suspicious behavior for which the report is being filed are related and may have common parties. For example, there may be five transactions included in a single report. Each transaction must be reported individually within the report XML. However, each transaction may involve the same two parties. Once you have added and edited information about a party, such as their address and phone, it is much easier to copy that information to the next transaction rather than having to reenter that information.

The application allows you to copy the details of an existing party of the report to another transaction within the same report. In other words, if you want to add a transaction party to a transaction, where the party already exists as a Transaction Party on another or same transaction of the report, you can use the Add Existing Party button to copy the details.

To add existing party, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Add Existing party** in the Transaction Party Sending grid. The Existing Transaction Party window is displayed and lists the parties currently associated with the current report.

Note: The Existing Transaction Party window displays only distinct existing transaction parties.

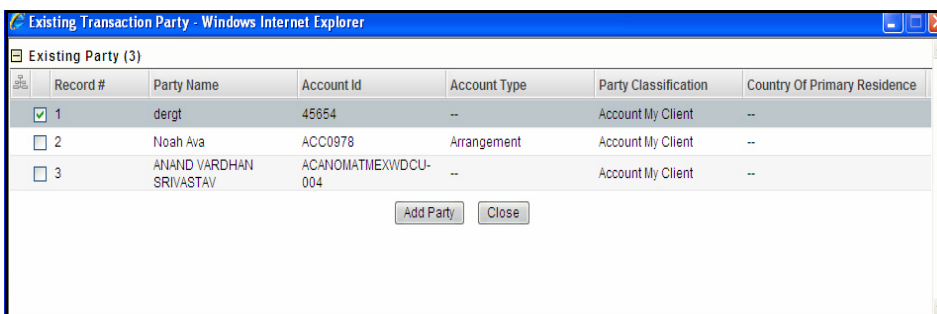


Figure 22. Existing Transaction Party Window

4. Select the check box of the transaction party you want to add.

Note: You can add only one existing party.

5. Click **Add Party**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**.

Click **Close** in the Existing Transaction Party window. The Transaction page refreshes to reflect the newly added party.

The following table explains the columns in the Existing Transaction Party window:

Table 16. Columns in Existing Transaction Party Window

Column Name	Description
Party name	Displays the transaction party name
Account ID	Displays the ID of the account involved in the transaction.
Account Type	Displays the type of account held.
Party Classification	Displays the type of party, whether person/person my client, or account/account my client.
Country of Primary Residence	Enter the name of the country where the party primarily resides.

Adding Conductor Details

The Conductor section provides details about the conductor of the transaction. A Conductor is a person who has conducted the transaction from the sender's side.

You can add only one conductor for transaction party sending. The Add button in the Conductor section is enabled only when the transaction sending party has no existing conductors.

The Details button in the conductor section provides details of the conductor.

The Conductor must be of the same person classification as the Transaction party sending. While adding conductor details, the application derives the conductor type classification from the sending party type. If the Transaction party sending classification is Person_my_client or Account_my_client then the Conductor type will be Person_my_client. If the Transaction party sending is classified as Account/ Person the Conductor will be Person.

The default person classification for conductors is same as that of Transaction party sending. (Internal if Transaction Party sending is Internal and External if Transaction Party sending is external).

If the conductor is added when sending party information is not present, then the application will define the conductor type with default value, that is, External (person). Once the Transaction Party Sending gets added the Conductor Party will be updated by the application to make it in sync with Transaction Party Sending.

Conductor information is mandatory if held. Mandatory requirements for completion of information will only be enforced if any part of conductor information is reported. A conductor will automatically be defined as the same type (my client/not my client) as the Sending Party.

To add Conductor details, follow these steps:

1. Navigate to the Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Add** in Conductor grid. The Transaction Party Information -Conductor page is displayed.

Figure 23. Transaction Party Information -Conductor Page

4. Enter the required information in the Transaction Party Information – Conductor page.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The conductor details are saved.

The Transaction Party Information – Conductor page comprises the following sections:

- Party Details
 - Phone
 - Address
 - Email
 - Identification
 - Employer Details

The **Save** button in the Transaction Party Information – Conductor page saves any details entered in this page.

The Validate button in the Transaction Party Information – Conductor page provides details about any missing information in the Transaction Party Information – Conductor page. When clicked, it will provide information about missing mandatory information that is required for filing the report. You can validate as often as it takes until there are no longer messages informing you of missing information.

If you click **Reset**, the unsaved data is reset to the last saved value in the Transaction Party Information – Conductor page and click **Back** to navigate to the Transactions tab.

Party Details

The Party Details section displays the following fields:

Table 17. Fields in Party Details Section

Field Name	Description
First Name	Enter the conductor's (legal) first name.
Last Name	Enter the conductor's (legal) last name.
Middle Name	Enter the conductor's (legal) middle name.
Prefix	Enter the prefix of the conductor name.
Gender	Enter the gender of the conductor.
Date Of Birth	Select the conductor's date of birth from the calendar.
Place Of Birth	Enter the conductor's country of birth.
Mother's Name	Enter the conductor's mother's name.
IRD	Enter the IRD number of the conductor. Note: IRD stands for Inland Revenue Department number and it is a unique number given by the New Zealand's Inland Revenue Department. It is used by financial institutions, government departments, and employers to identify you for tax purposes.
Nationality1	Enter the name of the country where the conductor has citizenship.
Nationality2	Enter the name of the country where the conductor has citizenship. Use this field to report country in case the conductor has dual citizenship.
Nationality3	Enter the name of the country where the conductor has citizenship. Use this field to report country in case the conductor has triple citizenship.
Country of Primary Residence	Enter the name of the country where the conductor primarily resides.
Occupation	Enter the occupation of the conductor.

Conductor Phone Details

Mandatory requirements for completion of conductor address, phone, identification, email, and employer information is only enforced if any part of address, phone, identification, email, and employer information is entered.

The phone grid in the Transaction Party Information – Conductor page allows you to add conductor phone details. You will not be allowed to enter conductor phone information before entering and saving conductor Details. For more information on the steps to add, edit, or modify phone details, refer to section *Adding Person Phone Details*, on page 42.

Conductor Address Details

The Address grid in the Transaction Party Information – Conductor page allows you to add conductor address details. You will not be allowed to enter conductor address information before entering and saving conductor Details. For more information on the steps to add, edit, or modify address details, refer to section *Adding Person Address Details*, on page 43.

Conductor Email Details

The Email grid in the Transaction Party Information – Conductor page allows you to add conductor email details. You will not be allowed to enter conductor email information before entering and saving conductor Details. For more information on the steps to add, edit, or modify email details, refer to section *Adding Person Email Details*, on page 45.

Conductor Identification Details

The Identification grid in the Transaction Party Information – Conductor page allows you to add conductor identification details. You will not be allowed to enter conductor identification information before entering and saving conductor Details. For more information on the steps to add, edit, or modify identification details, refer to section *Adding Person Identification Details*, on page 46.

Conductor Employer Details

The Employer details grid in the Transaction Party Information – Conductor page allows you to add conductor employer details. You will not be allowed to enter conductor employer information before entering and saving conductor Details. For more information on the steps to add, edit, or modify employer details, refer to section *Adding Employer Details*, on page 47.

Receiving Funds Information (To)

The Receiving Funds Information (To) section reports the destination of the funds/transaction. This is the receiver of funds or the party who is receiving the funds.

Since the application support only bi-party transactions, any transaction can have only one Receiving Party (To) information.

The Receiving Funds Information (To) section contains the Transaction Party – Receiving section.

The Sending Funds Information (From) and Receiving Funds Information (To) sections have the same functionality. The only difference between these two sections is that the Receiving Funds Information (To) section will not have a subsection for Conductor information in the application. If there is a conductor on the receiving side of a transaction, the conductor details must be updated in the Reason for Suspicion field in the Narrative tab.

For more information on the field descriptions in Receiving Funds Information (To) section, refer to section *Sending Funds Information (From)*, on page 36.

For more information on Transaction Party – Receiving and for information on adding person, account, or existing party in Transaction Party – Receiving section, refer to section *Transaction Party Sending*, on page 38.

Managing Goods and Services

This section is optional depending on the nature of the transaction being reported. This section is used to report goods or services associated with the report. This is most often relevant for Suspicious Property Reports (SPRs), but in certain instances, goods and services should be reported in a STR or other report. As an example, the sale or purchase of securities such as stocks and bonds should be reported using this section.

Click the **Details** button in the Goods and services grid to view the details of the record in the Goods and Services pop-up.

Adding Goods and Services

To add Goods and services, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click **Add** in the Goods and Services grid. The Goods and Services window is displayed.

The screenshot shows a web browser window titled "Goods And Services - Windows Internet Explorer". The window contains a form with the following fields and controls:

- Item Type***: Dropdown menu.
- Previously Registered To ?**: Text input field.
- Estimated Value ?**: Text input field.
- Currency ?**: Dropdown menu.
- Size ?**: Text input field.
- Registration Date**: Text input field with a calendar icon and a refresh icon.
- Status***: Dropdown menu.
- Item Make ?**: Text input field.
- Presently Registered To ?**: Text input field.
- Disposed Value ?**: Text input field.
- Identification Number ?**: Text input field.
- Size Unit of Measure ?**: Text input field.
- Registration Number ?**: Text input field.
- Status Comments ?**: Text input field.
- Item Description ?**: Large text area.
- Mandatory and Mandatory if Held requirements for address are only enforced if any component of address is entered.**: Text label.
- Address Type***: Dropdown menu.
- City***: Text input field.
- Country***: Dropdown menu.
- Address***: Text input field.
- State ?**: Text input field.
- Post Code ?**: Text input field.
- Comments**: Large text area.
- Save**, **Clear**, **Close**: Buttons at the bottom.

Figure 24. Goods and Services Window

4. Enter the required information in the Goods and Services window. For more information on the fields in the Goods and Services page refer to *Table 18 on page 69*.
5. Click **Save**. The following message is displayed: *Add Operation Successful*.
6. Click **OK**. The Goods and Services window is reset for the addition of new record.

7. Click **Close**. The Goods and Services window closes and the newly added record is displayed in the Goods and Services grid.

Following are the fields in Goods and Services window:

Table 18. Fields in Goods and Services Window

Field Name	Description
Item Type	Select the type of item involved in the transaction from the drop-down list. The item may any of the following: <ul style="list-style-type: none"> ● Unknown ● Art ● Bonds, stocks or other securities ● Collectibles ● Consumer goods (electronics, furniture, etc) ● Industrial equipments ● Intellectual property rights ● Jewellery, precious metals, precious stones ● Other financial instrument not listed ● Other ● Purchase into company ● real estate ● Services ● vehicle ● Weapon
Item Make	Enter the description of the make of the item involved in the report.
Previously Registered To	Enter the name of the party who is the registered owner of the item directly prior to the property transaction taking place.
Presently Registered To	Enter the name of the party receiving the item. This is not the party who owns the property before the transaction takes place.
Estimated Value	Enter the estimated value of the property involved in the transaction.
Disposed Value	Enter the sale price of the property involved. This may also be the hire price or price paid for services.
Currency	Select the type of currency used to report the value in the fields Estimated value and Disposed value.
Identification Number	Enter the number, if any, which can be used to identify the item in this report (that is licence plate number for a vehicle, and so on).
Size	Enter the size of the property in question, without units of measure.
Size Unit of Measure	Enter the unit of measure attached to the size field.

Table 18. Fields in Goods and Services Window

Registration Date	Select the date on which the property officially changed hands. Note: This is particularly relevant to real estate and vehicle transactions, where the date for the registered change of ownership may vary from the date of the transaction.
Registration Number	Enter the registration number. This may be any official identifying numbers such as serial number, Vehicle Identification Number, and so on.
Status	Select the nature of the property transaction from the drop-down list (bought, sold, hired, and so on).
Status Comments	Enter any comments about the nature of the property. This field is mandatory if the status is chose as <i>Others</i> .
Item Description	Enter a description of the item involved in the report. This field allows a maximum of 4000 characters. The word count displayed below the item description text box decreases as you enter the comments in the item description field. If you enter more than 4000 characters in this field, the following message id displayed: <i>Number of characters exceeded</i> .
Address Type	Select the address type of the transaction (if it involves real estate) from the drop-down list.
Address	Enter the address of the transaction (if it involves real estate).
City	Enter the city of the transaction (if it involves real estate).
State	Enter the state of the transaction (if it involves real estate).
Country	Select the country of the transaction (if it involves real estate).
Post Code	Enter the post code of the transaction (if it involves real estate).
Comments	Enter any further comments regarding this suspicious property transaction.

Removing Goods and Services

To delete goods and services details, follow these steps:

1. Navigate to the **Transactions** tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Select the record you want to delete in the Goods and services grid.
4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record*.
5. Click **OK**. The following message is displayed: *Delete Operation Successful*.
6. Click **OK**. The record is deleted from the Goods and services grid.

Validations for Transactions Tab

The following table lists the validations performed by the application for Transactions tab.

Table 19. Validations in Transactions Tab

SI No	Action Taken	Message Displayed
1	If you try to save transaction details or associated fields like party details, conductor details, and goods and services without transaction date	<i>Transaction Date and Amount are mandatory to save a Transaction.</i>
2	If you click on validate tab of Transaction grid and one or more transactions details are incomplete	<i><Record Number> - Transaction Record(s) details are incomplete. Please validate the mentioned transactions for more inputs</i>
3	If you click on validate tab of Transaction details section and some mandatory fields are missing	<i>One or more mandatory fields in Transaction details are missing. Please make sure that you have provided values for Transaction Method, Amount, Transaction Conduction Type and Transaction Location.</i>
4	If you click on validate button and have selected Transaction Conduction Type value as other and if the Transaction Conduction Type Other is blank	<i>Transaction Conduction Type Other is mandatory since Transaction Conduction Type value is chosen as "Other".</i>
5	If you click validate tab of Transaction details section and some mandatory fields in From - Sending Funds are missing	<i>One or more mandatory fields in From - Sending Funds Information are missing. Please make sure that you have provided values for From Funds Code and From Country.</i>
6	If you click on validate tab of Transaction details section and some mandatory fields in To - Receiving Funds are missing	<i>One or more mandatory fields in To - Receiving Funds Information are missing. Please make sure that you have provided values for To Funds Code and To Country.</i>
7	If you click on validate button and have selected From Funds Code value as <i>Others</i> and From Funds Code Comment is blank	<i>From Funds Code Comment present in From - Sending Funds Information section is mandatory since From Funds Code value is chosen as "Other".</i>
8	If you click on validate button and have selected To Funds Code value as <i>Others</i> and have left To Funds Code Comment as blank	<i>To Funds Code Comment present in To - Receiving Funds Information section is mandatory since To Funds Code value is chosen as "Other".</i>
9	If you try to save a new transaction without entering the transaction date	<i>Transaction Date and Amount are mandatory for adding a new transaction.</i>
10	If you click validate button and the Transaction Party - Sending details are incomplete	<i>Transaction Party - Sending details are incomplete. Please validate the sending party details for more inputs.</i>
11	If you click validate button and the Conductor details are incomplete	<i>Conductor details are incomplete. Please validate the Conductor details for more inputs.</i>

Table 19. Validations in Transactions Tab

12	If you click validate button and the Transaction Party - Receiving details are incomplete	<i>Transaction Party - Receiving details are incomplete. Please validate the receiving party details for more inputs.</i>
13	If you click validate button and the Goods and Services details are incomplete	<i><Record Number> - Item Record(s) details are incomplete. Please validate the details of the mentioned record for more information.</i>
14	If you try to save Goods and Services details with mandatory fields missing	<i>One or more mandatory fields are missing. Please make sure you have entered values for Item type and Status.</i>
15	If you click Validate button and if size is populated but Size Unit of Measure is not filled in goods and Services section	<i>Size Unit of Measure is mandatory if Size is reported.</i>
16	If you click Validate button and if you have selected Status as Others and have left Status Comments field blank in goods and services section	<i>Status Comments are mandatory if Status Code is reported as Others.</i>
17	If you click Validate button and if you have mentioned Estimated Value / Disposed Value and have left Currency as blank in goods and services section	<i>Currency is mandatory if Estimated Value or Disposed Value is provided.</i>
18	If you want to add or modify a t_person page and try to save without providing details of the minimum fields required	<i>You cannot save the transaction party - person without providing First Name and Last Name. Please provide the field details.</i>
19	If you click on validate button and if the transaction party (Person) is of type Person_my_client and country of primary residence is missing	<i>First Name, Last Name and Country of Primary Residence are mandatory for Person My Client. Please provide the field details.</i>
20	If you click on validate button and if the the employer address details are incomplete in t_person/signatory details	<i>Address Type, Address, City and Country are mandatory fields to add address details. Please enter all the field values if you want to add Employer address details.</i>
21	If you click on validate button and if the employer phone details are incomplete in t_person/signatory details	<i>Phone Contact Type and Phone Number are mandatory fields to add Phone details. Please enter all the field values if you want to add Employer Phone details.</i>
22	If you click on validate button and if the mandatory fields are missing in phone details of Director section	<i><Record Number> - Phone record(s) are missing some mandatory fields. Please make sure you have provided the values for Contact Type and Phone Number.</i>
23	If you click on validate button and if the mandatory fields are missing in address details of Director section	<i><Record Number> - Address record(s) are missing some mandatory fields. Please make sure you have provided the values for Address Type, Address, City and Country.</i>

Table 19. Validations in Transactions Tab

24	If you click on validate button and if the mandatory fields are missing in identification details of Director section	<i><Record Number> - Identification record(s) are missing some mandatory fields. Please make sure you have provided the values for Identification Type, Identification Number and Country.</i>
25	If you try to save the account details while adding/modifying the account details without entering the minimum required fields	<i>You cannot save the transaction party - account without Account ID. Please provide the field details.</i>
26	If you click on validate button and if the fields in Account details section which are mandatory for Account My client are missing	<i>One or more Account Details field which are mandatory for Account My Client are missing. Please make sure you have provided the values for Account Name, Institution Name, Swift/ Institution Code, Branch, Currency Code, Personal Account Type and Open Date.</i>
27	If you click on validate button and if the fields in account details section which are mandatory for Account (External) are missing	<i>You must provide either the SWIFT or Institution Code for Account (External).</i>
28	If you try to save the entity details while adding/modifying the account details without entering Entity Name	<i>You cannot save any Entity details without providing Entity Name. Either provide the entity name or remove all the entity details and save.</i>
29	If you click on validate button and if the entity details for Account my client is incomplete	<i>One or more Entity Details field which are mandatory for Account My Client are missing. Please make sure you have provided the values for Incorporation Legal Form and Incorporation Country.</i>
30	If you click on validate button and if the entity details for Account (External) are incomplete	<i>Incorporation Legal Form is mandatory for Account (External).</i>
31	If you click on validate button and if the director records are incomplete	<i><Record Number> - Director record details are incomplete. Please validate the director details for more inputs.</i>
32	If you click on validate button and if the signatory records are incomplete	<i><Record Number> - Signatory record details are incomplete. Please validate the signatory details for more inputs.</i>
33	If you try to save the signatory details while adding or modifying the Signatory details without entering the last/first name	<i>First Name and Last Name are mandatory to save Signatory details.</i>

Table 19. Validations in Transactions Tab

34	If you click on validate button and if the Account is identified as Account my Client but primary signatory is not identified or if the signatory information not available	<i>The Transaction party is marked as Account My Client but Signatory information is blank. Account My Clients need to have atleast one Signatory.</i>
35	If you click on validate button and if the transaction Party is identified as Account My Client, but country of primary residence is missing for the signatory	<i>First Name, Last Name and Country of Primary Residence are mandatory as the parent Transaction party has been classified as Account My Client. Please provide the field details.</i>
36	If you try to save a signatory as primary when there is already another primary signatory present for the account	<i>The application displays the following message: <Primary signatory name> has already been identified as Primary Signatory. Only one Signatory can be marked as Primary. Click OK to mark the current signatory as primary or cancel to go back without any change.</i>
37	If you click request for approval/approve button and if the transaction number is blank	<i>Transaction Number is missing for one or more transactions. Transaction Number is a mandatory field. Click OK to let the system auto-generate transaction numbers as per FIU specifications during e file generation or Click cancel to go back and add Transaction Numbers.</i>
38	If you click request for approval/approve button and if you have not provided the FIU reference number for a Corrected/ Amended report	<i>FIU Reference Number is mandatory if Filing a Corrected/Amended Report check box is checked.</i>
39	If you click validate button and if last name and first name are missing for some directors	<i><Record Number> - Director record(s) are missing first name or last name or both.</i>
40	If you enter an invalid branch code and click on Look up or Validate button	<i>Branch code is invalid. Please re-enter a different code or manually enter the Branch Name.</i>
41	If you enter an invalid branch code and click on Look up or Validate button	<i>Transaction Location Lookup Code is invalid. Please re-enter a different code or manually enter the Transaction Location.</i>
42	If you click on validate button and if any ECM supplied value for account number and client number contains any spaces or punctuation	<i>The value given in Account ID or Client Number is invalid. Please make sure you enter only numbers without any spaces or punctuation.</i>

Table 19. Validations in Transactions Tab

43	If you click on validate button and if any ECM supplied value for IRD contains any spaces or punctuation	<i>The value given in IRD is invalid. Please make sure you enter only numbers without any spaces or punctuation.</i>
44	If you click on validate button and if any ECM supplied value for Zip code contains any spaces or punctuation	<i><Record Number> - Address record(s) have invalid Post Code. Please make sure you enter only numbers without any spaces or punctuation.</i>
45	If you click on validate button and if any ECM supplied value for phone number or extension contains any spaces or punctuation	<i><Record Number> - Phone record(s) have invalid Phone Number or Extension. Please make sure you enter only numbers without any spaces or punctuation.</i>
46	If you click validate and if mandatory fields are missing in Entity Phone details	<i><Record Number> - Entity Phone record(s) are missing some mandatory fields. Please make sure you have provided the values for Contact Type and Phone Number.</i>
47	If you click validate and if mandatory fields are missing in Entity address details	<i><Record Number> - Entity Address record(s) are missing some mandatory fields. Please make sure you have provided the values for Address Type, Address, City and Country.</i>
48	If there is some issue in the transactions and if you click on Request for Approval/ Approve button	<i>One or more Transactions have issue. Please validate the Transaction grid for more details.</i>
49	If you click on validate button and if the Signatory data received from OFSECM for external accounts has last name and first name missing	<i>First Name and Last Name are mandatory as the parent Transaction party has been classified as Account (External). Please provide the field details.</i>
50	If you click on validate button and if the Person data received from OFSECM for external persons has last name and first name missing	<i>First Name and Last Name are mandatory for Person (External). Please provide the field details.</i>
51	If you click validate and if a transaction doesn't have Sending Party information	<i>Transaction Party - Sending is blank. Please enter Sending Party information.</i>
52	If you click validate and if a transaction doesn't have Receiving Party information	<i>Transaction Party - Receiving is blank. Please enter receiving Party information.</i>
53	If you click on validate button and if any ECM supplied value for Entity Section Phone Number or Extension contains any spaces or punctuation.	<i><Record Number> - Entity Address record(s) have invalid Post Code. Please make sure you enter only numbers without any spaces or punctuation.</i>
54	If you click on validate button and if any ECM supplied value for Entity Section Phone number or extension contains any spaces or punctuation	<i><Record Number> - Entity Phone record(s) have invalid Phone Number or Extension. Please make sure you enter only numbers without any spaces or punctuation.</i>

Table 19. Validations in Transactions Tab

55	If you click Add and if you have already added five emails to the report in the Email grid	<i>Application doesn't support more than five emails. Please remove any existing email to add new ones.</i>
56	If you click on validate button and if more than five emails are received from ECM for any customer	<i>More than five Emails have been added. Please provide only five mail ids as application doesn't support more than that.</i>
57	If you click on validate button and if you have provided details of one or more field with respect to foreign currency in the Sending side and left the others as blank	<i>From Foreign Currency Code, From Foreign Exchange Rate and From Foreign Amount are mandatory if foreign currency is involved in Sending Funds Information (From).</i>
58	If you click on validate button and if you have provided details of one or more field with respect to foreign currency in the Receiving side and left the others as blank	<i>To Foreign Currency Code, To Foreign Exchange Rate and To Foreign Amount are mandatory if foreign currency is involved in Receiving Funds Information (To).</i>

Managing Narrative

The Narrative tab enables the investigator to enter detailed, free-form information about the suspicious activity being reported as well as actions which may have been taken by the institution in response to the activity. It also provides a means for the investigator to categorize the suspicious activity using Reporting Indicators as defined by the FIU.

Report Name: 11825-04182013085421 Report Status: Rejected

Reporting Entity Transactions Narrative Audit

Save | Refresh

Reason for Suspicion

To delete person address details, follow these steps:

1. Navigate to Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click Details in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.
4. Select the record you want to delete in the Address grid.

Action Taken

To delete person address details, follow these steps:

1. Navigate to Transactions tab of the report. The list of transactions associated with the record is displayed in the Transactions grid.
2. Select the check box of the transaction record to view the transaction details.
3. Click Details in the Transaction Party Sending grid. The Transaction Party Information - Person page is displayed with all the details of the transaction party.

Reporting Indicators

Suspicion Identified By

Automated rules based account monitoring

In-branch/Teller identified

Manual Account Monitoring

Manually Identified Table

Entity or Entities Appear on OFAC or Other List

Appear on OFAC or other list

Involves PEPs

Suspected Typology

Activity does not match client profile

Smurfing

Trade based money laundering

Use of trusts

Use of offshore financial services

Purchase of securities or high value goods

Structuring

Use of casinos

Use of Havals or alternate money remittance

Use of shell companies

Suspected Offending

Corruption

Fraud

Other

Tax evasion

Drugs

Money laundering

Prostitution

Terrorism/terrorist financing

Sub-Agent or Master Agent May Submit Additional Reporting

Sub-Agent or Master Agent May Submit Additional Reporting

Sector Supervisor

DIA

RBNZ

FMA

Additional Information

Additional information on conductor's relationship to customer included in reason field.

Additional information on denominations included in reason field.

Additional information on intermediary in wire transfer included in reason field.

Additional information on other arrangement included in reason field.

Additional information on persons associated with entity included in reason field.

Additional information on persons/entities involved in transaction or report included in reason field.

Additional information on source of wealth included in reason field.

Additional information on the nature and purpose of the business relationship between the customer and the reporting entity included in reason field.

Additional information on multiple client numbers included in reason field.

Additional information on grounds for suspicion included in attachment to report (word or text file).

Figure 25. Narrative Tab – Edit Mode

This tab allows you to enter the following details:

- **Reason for Suspicion:** This field is used to report the grounds for suspicion for submitting the report. This information is initially populated from the comments provided in the Narrative tab of OFSECM, and is editable. This field can also be completely blank for you to enter the details. This mainly depends on the configuration applied during OFSCRR installation.

Note:

- The Reason for Suspicion text box in narrative tab allows entering a maximum of 4000 characters. As you begin entering the comments, the word count displayed below the reason for suspicion text box keeps decreasing. If you try to enter more than 4000 characters in this field, the following error message is displayed: *Number of characters exceeded.*

- If you click request for approval/approve button and if the reason for suspicion missing in the Narrative tab, the application displays the following message: *Reason for Suspicion in the Narratives tab is mandatory. Please enter it.*
- **Action Taken:** This section provides information related to any actions taken by the reporting institution regarding the event mentioned in the report. This field allows an entry of maximum 4000. As with the Reason for Suspicion section, there is a counter provided to help you keep track of the numbers of characters used.
- **Reporting Indicators:** The application categorizes different reporting indicators into sections. You must select the applicable indicators from this list. There are different indicators in the list like Suspicion Identified By, Suspected Offending, and so on. You can select more than one of the check boxes in this section. As defined by the FIU the different Reporting Indicator categories are:
 - **Suspicion Identified By:** Select values in this section that reflect how the suspicion was identified.
 - **Entity or Entities Appear on OFAC or Other List:** Select values in this section if any one reported entity appears on OFAC or Other lists or involves PEPs.

Note: OFAC stands for Office of Foreign Asset Control. OFAC is a department of the U.S. Treasury that enforces economic and trade sanctions against countries and groups of individuals involved in terrorism, narcotics and other disreputable activities.
 - **Suspected Typology:** Select values in this section if the suspicious activity is believed to involve money laundering or terrorist financing type activities.
 - **Suspected Offending:** Select values in this section where applicable, to define the type of legal offense suspected of taking place.
 - **Sub Agent or Master Agent May Submit Additional Reporting:** Select the value in this category if a sub-agent or master agent may submit an additional report on the same transaction or suspicious occurrence as is being reported in the current STR.
 - **Sector Supervisor:** Select a value to indicate your Reporting Entity's sector supervisor (DIA: Department of Internal Affairs; FMA: Financial Markets Authority; RMNZ: Reserve Bank of New Zealand).
 - **Additional Information:** Select values that indicate what type of additional information is being reported in the Reason for Suspicion narrative.

Updating Narrative

To update the Narrative tab, follow these steps:

1. Hover over THE Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report name in the RR list page. The RR Details is displayed.
3. Click the **Narrative** tab. The Narrative details are displayed.
4. Enter the required information in the Narrative tab.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The narrative details are saved.

Note: Click **Reset** to clear the changes made in the Narrative tab. The page refreshes to display the last saved data.

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

Report Context

Report Name: 13731-04182013142722 Report Status: Closed

Reporting Entity Transactions Narrative Audit

Reason for Suspicion
Reason for Suspicion Reason for Suspicion

Action Taken
Action Taken Action Taken Action Taken

Reporting Indicators

Suspicion Identified By

- Automated rules based account monitoring
- In-branch/Teller Identified
- Manual Account Monitoring
- Manually Identified Table

Entity or Entities Appear on OFAC or Other List

- Appear on OFAC or other list
- Involves PEPs

Suspected Typology

- Activity does not match client profile
- Structuring
- Trade based money laundering
- Use of trusts
- Use of offshore financial services
- Purchase of securities or high value goods
- Structuring
- Use of casinos
- Use of Hawala or alternate money remittance
- Use of shell companies

Suspected Offending

- Corruption
- Fraud
- Other
- Drugs
- Money laundering
- Proliferation

Sub Agent or Master Agent May Submit Additional Reporting

- Sub Agent or Master Agent May Submit Additional Reporting

Sector Supervisor

- OIA
- RBHZ
- FMA

Additional Information

- Additional information on conductor's relationship to customer included in reason field.
- Additional information on denominations included in reason field.
- Additional information on intermediaries in wire transfer included in reason field.
- Additional information on other arrangement included in reason field.
- Additional information on persons associated with entity included in reason field.
- Additional information on persons/entities involved in transaction or report included in reason field.
- Additional information on source of wealth included in reason field.
- Additional information on the nature and purpose of the business relationship between the customer and the reporting entity included in reason field.
- Additional information on multiple client numbers included in reason field.
- Additional information on grounds for suspicion included in attachment to report (word or text file).

Figure 26. Narrative Tab – View Mode

Viewing Audit

The Audit tab displays actions taken on the report.

This tab contains the Actions grid and the Comments grid.

Report Context

Report Name: 11825-04162013085421 Report Status: Rejected

Reporting Entity Transactions Narrative **Audit**

Actions (40) | Expand All 1 / 8 << < > >>

Date	Action By	Action	Comments	Previous Report (if Available)
16/04/2013 15:17:37	RRSUPERVISOR	Add Comments	reopened report	
16/04/2013 11:48:00	RRSUPERVISOR	Modified Transaction Party - Sending	--	
16/04/2013 11:48:00	RRSUPERVISOR	Modified Transaction Party - Sending	--	
16/04/2013 11:42:24	RRSUPERVISOR	Modified Transaction Party - Sending	--	
16/04/2013 11:42:24	RRSUPERVISOR	Modified Transaction Party - Sending	--	

Comments (1) | Expand All

Date	Comment By	Comment
16/04/2013 15:17:37	RRSUPERVISOR	reopened report

Figure 27. Audit Tab


The Audit tab displays the following grids:

- Actions
- Comments

Actions

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

Table 20. Fields in Actions Grid

Field Name	Description
Date	Displays the date on which the action occurred.
Action By	Displays the name of the user who performed the action.
Action	<p>Displays a short description of the action.</p> <p>The OFSCRR application captures the following actions in the Audit tab:</p> <ul style="list-style-type: none"> ● Reporting Entity Information modified ● Added Transaction ● Removed Transaction ● Modified Transaction Details ● Added Transaction Party – Sending ● Added Transaction Party – Receiving ● Removed Transaction Party – Sending ● Removed Transaction Party – Receiving ● Modified Transaction Party – Sending ● Modified Transaction Party – Receiving ● Added Conductor ● Removed Conductor ● Modified Conductor ● Added Goods and Services ● Removed Goods and Services ● Modified Goods and Services ● Narrative Edited ● Acknowledged (This action also displays the FIU reference number. The format is Acknowledged FIU Ref No# 123124. ● Reopened
Comments	Displays the comments entered by the user while performing the action.
Previous Report	<p>Displays the initial report submitted to the regulatory authorities.</p> <p>If the current report is corrected or submitted to the regulatory authorities, click the  icon in the Previous report column to view the initial report submitted to the regulatory authorities.</p>

Comments

The Comments grid lists all the comments from different users from the Audit log. This will include those comments entered via the Add Comment action that were entered independent of another action.

The Comments grid displays the following fields:

Table 21. Fields in Comments Grid

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

Submitting the Report Details for Approval/Requesting for Approval

After updating the report details, they must be validated. The RR Details page allows users mapped to the role of Analyst to submit a report for approval. When the Analyst submits the report for approval the application will validate that the mandatory fields within the report have been populated. The Supervisor can review the report details and can either Approve, Close, or Reject the report.

An Analyst can initiate Request for Approval action, only when the report is in Open, Re-open, and Rejected status.

To submit a report for approval, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click **Request for Approval**.

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

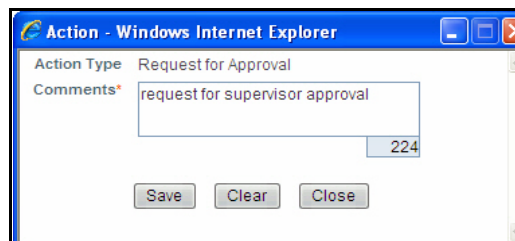


Figure 28. Request for Approval Action Pop-up Window

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

Note: The comments box in the Action pop-up window allows entering a maximum of 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 Action pop-up window, the following error message is displayed: *Mandatory fields are not entered.*

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

The Actions grid in the Audit tab displays the comments added in the Request for Approval Action pop-up window.

Approving/Rejecting/Closing/Re-opening Reports

The RR Details page allows users mapped to the role of Supervisor to approve, reject, or close the regulatory reports.

Approving Reports

A Supervisor can approve a report when the report is in Open, Request for Approval, Rejected, and Re-open status.

If you try to Approve or Request for Approval a report with no transaction information entered for the report, the application displays the following message: *You are trying to Approve/ Request for Approval without any transaction information. Report should have at least one transaction.*

To approve a report, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click **Approve**.

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

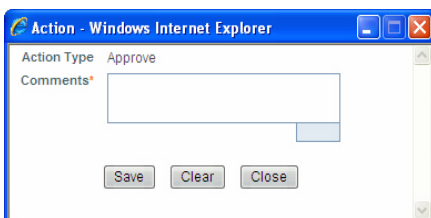


Figure 29. Approve Action Pop-up Window

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

Note: The comments box in the Action pop-up window allows entering a maximum of 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 Action pop-up window, the following message is displayed: *Mandatory fields are not entered.*

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

Note: The Actions grid in the Audit tab displays the comments added in the Approve Action pop-up window.

If the report is approved, the status of the report changes to *Approved*. It is at this point that the OFSRR application will generate the XML file containing the required information to be submitted to the FIU. For more information on how to retrieve the XML for submission to FIU, refer to section *Viewing E-file*, on page 93.

Rejecting Reports

The RR Details page allows users mapped to the role of Supervisor to reject reports from filing. A supervisor may choose to reject a report for incomplete or inaccurate information, or additional investigation may be required of the analyst. A user can reject report when the report is in Approved or Request for Approval status. If a report is rejected, then you must re-work on the report and again submit the report for approval. This process continues until the report is approved or closed.

To reject a report, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click **Reject**. The Reject Action pop-up window is displayed.

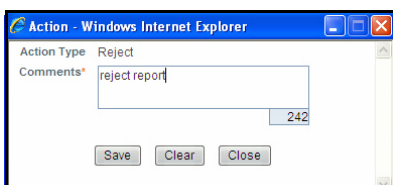


Figure 30. Reject Action Pop-up Window

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

Note: The comments box in the Action pop-up window allows entering a maximum of 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 Reject Action pop-up window, the following message is displayed: *Mandatory fields are not entered.*

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

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

Note: If the report is rejected, the status of the report changes to *Rejected*.

Updating Rejected Reports

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

For more information on editing report details, refer to section *Entering Report Details* on page 23.

Closing Reports

If Supervisor determines that an STR report should not be filed they can close it.

A Supervisor can close a report if for any reason, it is determined that the STR no longer needs to be filed. This may be because of late arriving information to the investigation or other subsequent events that eliminate the need for reporting the activity.

A Supervisor can initiate close action when the report is in Open, Request for approval, Approved, Rejected, and Re-open status.

Once the report is closed, you cannot edit the report details and the report is in View mode.

To close a report, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click **Close**. The Close Action pop-up window is displayed.

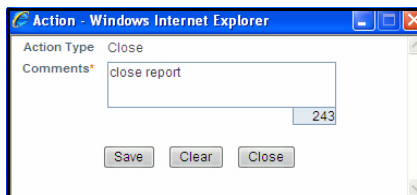


Figure 31. Close Action Pop-up Window

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

Note: The comments box in the Action pop-up window allows entering a maximum of 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 Close Action pop-up window, the following message is displayed: *Mandatory fields are not entered.*

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

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

The Actions grid in the Audit tab displays the comments added in the Close Action pop-up window.

Note: If the report is closed, the status of the report changes to *Closed*. The due date of the report gets deleted on taking close action.

Re-opening Reports

You can re-open a closed report.

An Analyst/Supervisor can initiate re-open action when the report is in closed or acknowledged status.

If you select records from RR List page which are not in Closed/ Acknowledged status and click **Reopen**, the application displays the following message: *Some reports are not in Closed or Acknowledged state. Reopen action can only be taken on Closed or Acknowledged reports. Please deselect those reports and try again.*

The RR Details page/RR List page allows Supervisor/Analyst to re-open closed or acknowledged reports.

To re-open a report from RR Details page, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click **Re-open**. The Re-open Action pop-up window is displayed.

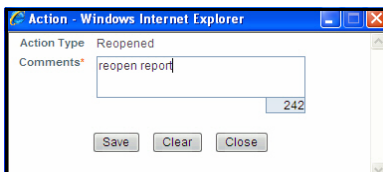


Figure 32. Re-open Action Pop-up Window

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

Note: The comments box in the Action pop-up window allows entering a maximum of 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 Re-open Action pop-up window, the following error message is displayed: *Mandatory fields are not entered.*

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

The Actions grid in the Audit tab displays the comments added in the Re-open Action pop-up window.

Note: If a report is re-opened, the status of the report changes to *Re-open*.

To re-open a report from RR List page, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.

2. Select the check box of the report you want to re-open.
3. Click **Re-open**. The Re-open Action pop-up window is displayed.

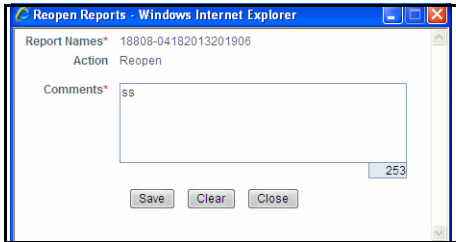


Figure 33. Re-open Reports Window

4. Enter your comments in the Re-open reports window.

Note: The comments box in the Re-open report 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 Re-open 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 List page is displayed.

The Reopen action allows you to re-work on the same report. When a reopened report is approved again, the application generates a new final report with the same name but version number incremented by one. This naming convention is applicable for any subsequent reopening actions. For example, if a closed report named STR_BNZ_CA12344_2013-03-14T00:00:00_ver1.xml is reopened and approved; the newly generated report name will be STR_BNZ_CA12344_2013-03-18T00:00:00_ver2.xml. The submission date will be the date on which the report was submitted.

When you reopen an acknowledged report, the submission notes entered while submitting the report gets deleted.

Marking Reports as Submitted

Once the report is approved, it must be filed with the Regulatory authorities.

The OFSRR application does not support the process of uploading and filing of approved reports to the regulatory authorities. This is a process that will occur outside of the application. However, for tracking and reporting purposes, the application allows you to mark the reports that are filed with the regulatory authorities as Submitted once the STR XML has been uploaded to the FIU, or whenever is defined as appropriate per your institution's business practices. In addition, the application also allows you to update the acknowledgment details received from the regulatory authorities after the reports have been submitted to the Regulatory authorities.

When the report is submitted, the due date gets deleted.

Users mapped to the role of Analyst/Supervisor can mark the reports filed with the regulatory authorities as submitted. An Analyst/Supervisor can mark the report as submitted only when the report is in *Approved* status.

If you select records from RR List page which are not in Approved status and click on Submitted button, the application displays the following message: *Some reports are not in Approved status. Submitted action can only be taken on Approved reports. Please deselect those reports and try again.*

The RR Details page/RR List page allows Supervisor/Analyst to submit approved reports.

To mark a report as submitted from the RR Details page, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click **Submitted**. The Submitted Action pop-up window is displayed.

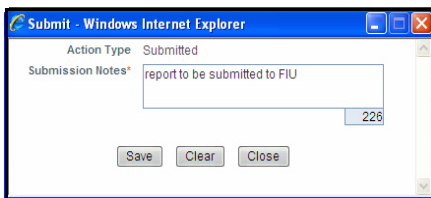


Figure 34. Mark as Submitted Pop-up Window

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

Note: The comments box in the Action pop-up window allows entering a maximum of 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 Mark as Submitted Action pop-up window, the following error message is displayed: *Mandatory fields are not entered.*

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

The Actions grid in the Audit tab displays the comments added in the Mark as Submitted Action pop-up window.

Note: If a report is submitted, the status of the report changes to *Submitted*.

To mark a report as submitted from RR List page, follow these steps:

1. Hover over Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Select the check box of the report you want to submit from the RR list page.
3. Click **Submitted** in the Action bar. The Submitted window is displayed.

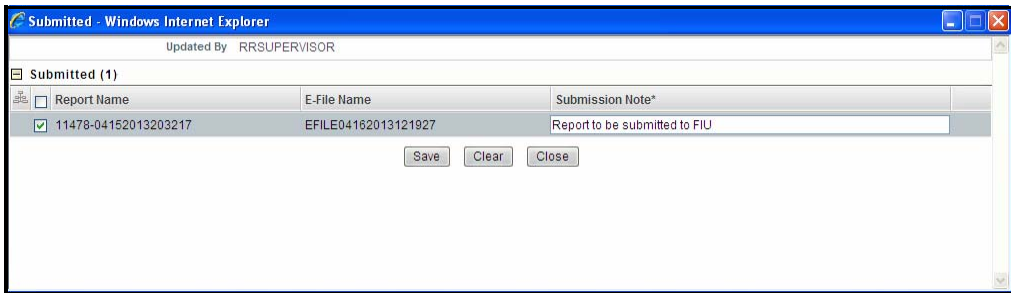


Figure 35. Submitted Window

4. Select the report details in the Submission Window and enter Submission notes. Submission notes can be used to help you with entering information relevant to the uploading of the XML to the FIU that can be used to distinguish between various reports when opening or acknowledging them.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The RR List page is displayed.

The Actions grid in the Audit tab displays the comments added in the Submission window.

Marking Reports as Acknowledged

The application allows you to update the acknowledgment details received from the regulatory authorities after the reports have been submitted to the Regulatory authorities.

Users mapped to the role of Analyst/Supervisor can mark the reports acknowledged after an acknowledgment is received from the regulatory authorities after submitting a report. An Analyst/Supervisor can mark the report as acknowledged only when the report is in *Submitted* status.

If you select records from RR List page which are not in Submitted status and click on Acknowledged button, the application displays the following message: *Some reports are not in Submitted status. Acknowledgment action can only be taken on Submitted reports. Please deselect those reports and try again.*

The RR Details page/RR List page allows Supervisor/Analyst to mark reports as acknowledged

To mark a report as acknowledged from RR Details page, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.
2. Click the Report Name. The RR Details page is displayed.
3. Click **Acknowledged**. The Mark as Acknowledged pop-up window is displayed.

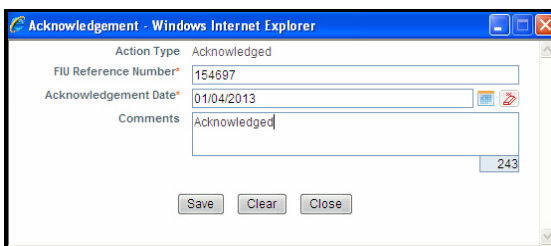


Figure 36. Mark as Acknowledged Pop-up Window

4. Enter the acknowledgment date, FIU reference number, and comments in the Mark as Acknowledged pop-up window.

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

If you click **Save** without entering the comments in the Mark as Acknowledged pop-up window, the following message is displayed: *Mandatory fields are not entered.*

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

The Actions grid in the Audit tab displays the comments added in the Mark as Acknowledged pop-up window

Note: If a report is acknowledged, the status of the report changes to *Acknowledged*.

To mark a report as acknowledged from RR List page, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click **New Zealand STR**. The RR List page is displayed.

2. Select the check box of the report you want to acknowledge from the RR list page.
3. Click **Acknowledged** in the Action bar. The Acknowledged window is displayed.

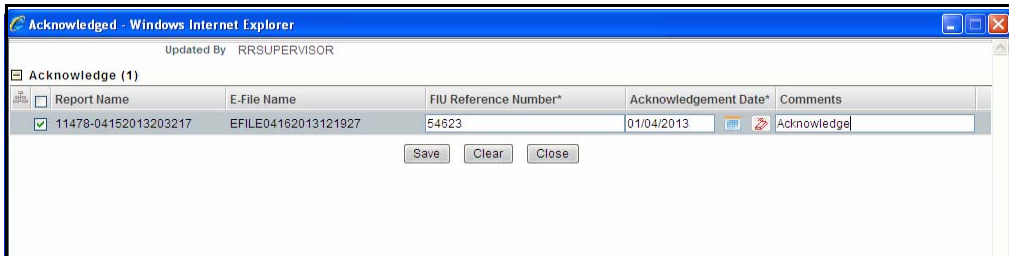


Figure 37. Acknowledged Window

4. Select the report details in the Acknowledged Window and enter the FIU Reference number.

Note: The FIU reference number is the acknowledgment number received from Financial Intelligence Unit after the report is acknowledged. This information is updated in the OFSCR application while marking the report as acknowledged and is mandatory while re-submitting a corrected/supplemental report.

If you try to save the Acknowledged action without entering FIU Ref No# or/and acknowledgment date for one or more reports, the application displays the following message: *FIU Reference Number and Acknowledgement Date are mandatory. Please enter for all the reports.*

5. Select the acknowledgment date and enter the comments.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The RR List page is displayed.

The Actions grid in the Audit tab displays the comments added in the Acknowledged window.

If you try to take acknowledge, submit, and reopen action on more than one report and some reports are locked by another user, the application displays the following message: *STR-01, STR-02 - Report Name(s) are locked by another user. Click OK to take action on the remaining reports or CANCEL to go back to the previous page.*

If the user tries to take acknowledge, submit, and reopen action on one or more than one report and if all the reports are locked by another user, the application displays the following message: *All the selected reports are locked by another user. Please try again later.*

Status Updates in OFSECM

Any status updates in RR application is sent back to OFSECM and updated in the Audit tab. As a part of RR feedback the following details are sent to OFSECM.

- Alert/Case ID (Alert/ Case ID)
- Report Status
- Report Type
- User ID
- Report ID

If the user ID sent from RR does not exist in OFSECM, then the default ECM user is marked against the RR action.

Exporting Report Details to Excel

The RR 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. Hover over the **Compliance Regulatory Reporting** menu and click **New Zealand STR**. The RR List page is displayed.
2. Click **Export to Excel**. The Export Properties dialog box is displayed.

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

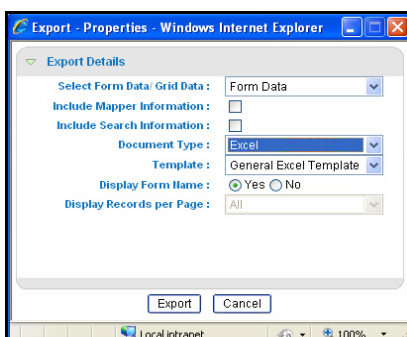


Figure 38. Export Properties Dialog Box

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

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

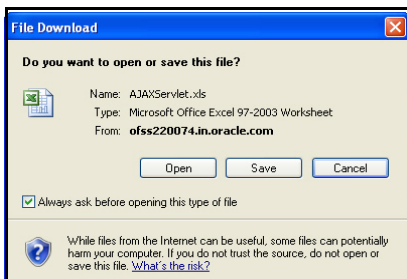


Figure 39. File Download Box (Export)

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.

Viewing E-file

The RR List page allows users mapped to the role of Analyst and Supervisor to view the generated e-file. The application generates an e-file once the report is approved by the Supervisor.

To view e-file, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click New Zealand STR. The RR List page is displayed.

2. Click the  icon in the E-file column of the RR List page. The File Download box is displayed.

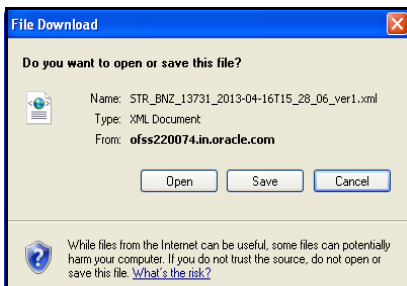


Figure 40. File Download Box (Save E-file)

3. Click **Save** to save the XML in your local system.

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



```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<report>
  <entity_id>46</entity_id>
  <entity_branch>ABN BRANCH</entity_branch>
  <submission_code>E</submission_code>
  <report_code>STR</report_code>
  <entity_reference>7768</entity_reference>
  <fiu_ref_number>78906757657567</fiu_ref_number>
  <submission_date>2013-04-10T14:16:43</submission_date>
  <currency_code_local>USD</currency_code_local>
  <reporting_person>
    <first_name>JACK</first_name>
    <middle_name>SIMON</middle_name>
    <prefix>Mr</prefix>
    <last_name>RUSSELL</last_name>
    <birthdate>1981-03-21T00:00:00</birthdate>
    <residence>NZ</residence>
    <phones>
      <phone>
        <tph_contact_type>E</tph_contact_type>
        <tph_communication_type>A</tph_communication_type>
        <tph_country_prefix>56</tph_country_prefix>
        <tph_number>598217233</tph_number>
      </phone>
      <phone>
        <tph_contact_type>E</tph_contact_type>
        <tph_communication_type>B</tph_communication_type>
        <tph_country_prefix>56</tph_country_prefix>
        <tph_number>6546517898</tph_number>
      </phone>
      <phone>
        <tph_contact_type>E</tph_contact_type>
        <tph_communication_type>C</tph_communication_type>
        <tph_country_prefix>56</tph_country_prefix>
        <tph_number>554112557</tph_number>
      </phone>
    </phones>
    <addresses>
      <address>
        <address_type>E</address_type>
        <address>No 36, Frazer Town</address>
        <city>Wellington</city>
        <zip>6511252</zip>
        <country_code>NZ</country_code>
        <state>BRONX</state>
      </address>
    </addresses>
  </reporting_person>
</report>
```

Figure 41. E-file (Sample)

Adding Comments to Report

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

To add comments to a report, follow these steps:

1. Hover over the Compliance Regulatory Reporting menu and click New Zealand STR. The RR List page is displayed.
2. Click the Report name to view the report details.
3. Click **Add Comments**. The Action pop-up window is displayed.

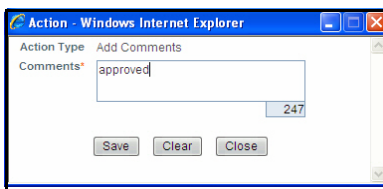


Figure 42. Action Pop-up Window

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

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

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

5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The Action pop-up window closes and displays the RR Details page.

The Comments grid in the Audit tab displays the comments added to the report.

