

Oracle Financial Services
Regulatory Reporting
**Pakistan Suspicious Transaction Report User
Guide**

Release 8.0.6.0.0

May 2018



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Pakistan Suspicious Transaction Report
User Guide

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May 2018

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About This Guide

This guide provides an overview of the Oracle Financial Services Compliance Regulatory Reporting (herein referred to as CRR), life cycle of the Regulatory Reports and the various user roles within the Oracle Financial Services Compliance Regulatory Reporting application.

This chapter focuses on 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*, Release 8.0.1 is designed for use by a variety of Oracle Financial Services users. Their roles and responsibilities, as they operate within the Oracle Financial Services Compliance Regulatory Reporting application, include the following:

- **Analyst:** This user is responsible for creating, viewing, and editing, regulatory reports. The user can add comments and can generate suspicious transaction reports.
- **Supervisor:** This user is responsible for taking actions such as approving, closing, rejecting, adding comments, and so on. This user must verify all the details of the report before taking action which files the report with the Regulatory Authorities.
- **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 Oracle Financial Services Compliance Regulatory Reporting application.

How this Guide is Organized

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

- Chapter 1, *About Regulatory Reporting*, provides a brief description of the Compliance Regulatory Reporting application and its workflow.
- Chapter 2, *Managing Regulatory Reports*, describes how to access, search, create, view, and edit the regulatory reports.
- Chapter 3, *Managing Reports*, explains the components of the Report Details page.
- Chapter 4, *Managing Report Actions*, explains the various actions such as approving, rejecting, closing, exporting, and viewing draft reports.

- Chapter 5, *Managing User Administration*, describes the mapping of security attributes for the users in the Compliance Regulatory Reporting application.

Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*: This guide explains the structures of the entities in the RR data model and provides in-depth information on the data handling of the CRR system.
- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide*: This guide explains how and in what format the source business data should be provided to the CRR application through a web service for the PK STR report type.
- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*: This guide provides step-by-step instructions for installing the CRR on an existing Oracle Financial Services Platform hosted in a Windows environment.
- *Oracle Financial Services Compliance Regulatory Reporting Administration Guide*: This guide describes comprehensive activities to be done by the OFSAAI Administrator in the Oracle Financial Services Compliance Regulatory Reporting. This guide details the Compliance Regulatory Reporting, and provides information about configuring and maintaining users and static data.

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

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

This chapter provides an introduction of the Oracle Financial Services Compliance Regulatory Reporting application, the workflow of regulatory reports, and the roles and responsibilities of various users within the Compliance Regulatory Reporting application.

This chapter includes the following topics:

- Introduction
- Compliance Regulatory Reporting Workflow
- User Access
- Report Actions and Statuses

Introduction

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

As part of this goal, the Financial Monitoring Unit (FMU) or regulatory bodies require the financial institutions to provide data regarding suspicious activities that lead to fraud and money laundering in a financial institution. This data is delivered to the regulatory bodies through regulatory reports or suspicious transaction reports (STR).

Compliance Regulatory Reporting (CRR) supports the creation and management of the Suspicious Transaction Report for Pakistan. The application supports generation of suspicious transaction reports or STR in the following two formats:

- PDF
- CSV

Compliance Regulatory Reporting Workflow

This section describes the workflow of regulatory reports for user mapped to the following roles:

- Analyst
- Supervisor

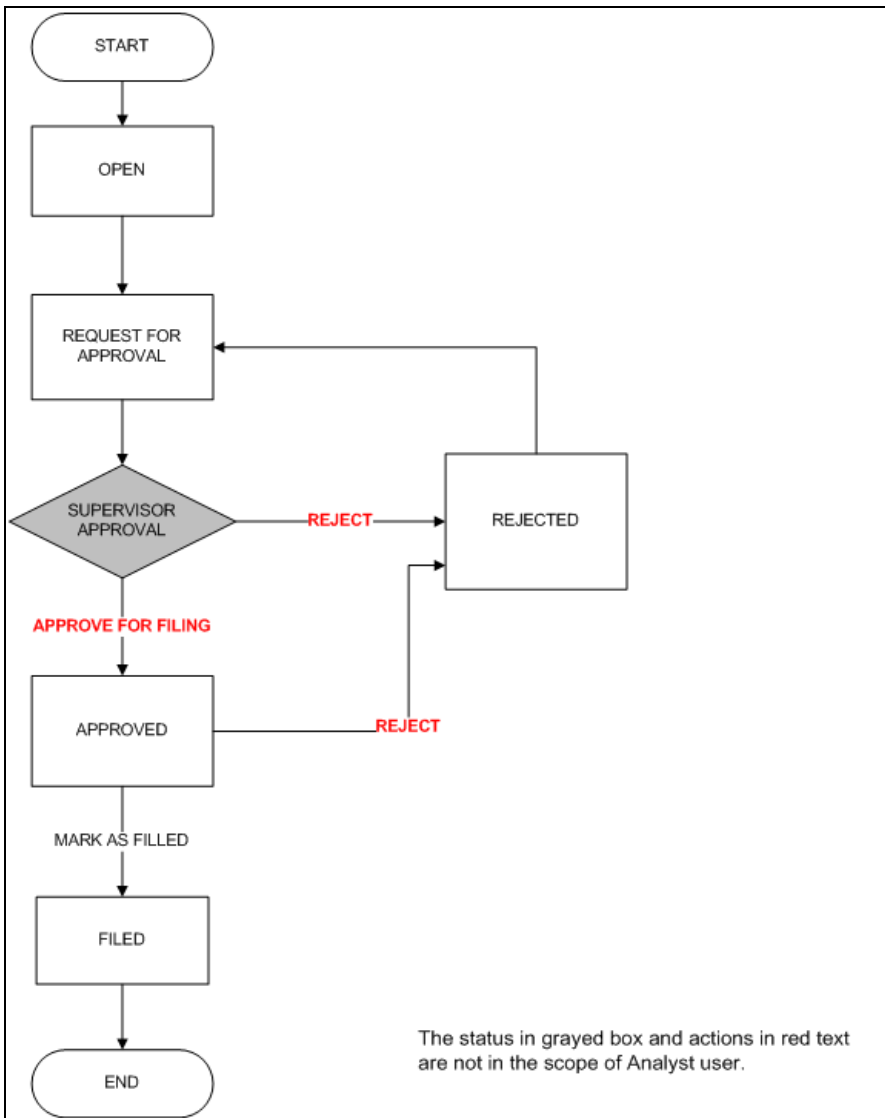


Figure 1. Workflow of Regulatory Reports for Analyst

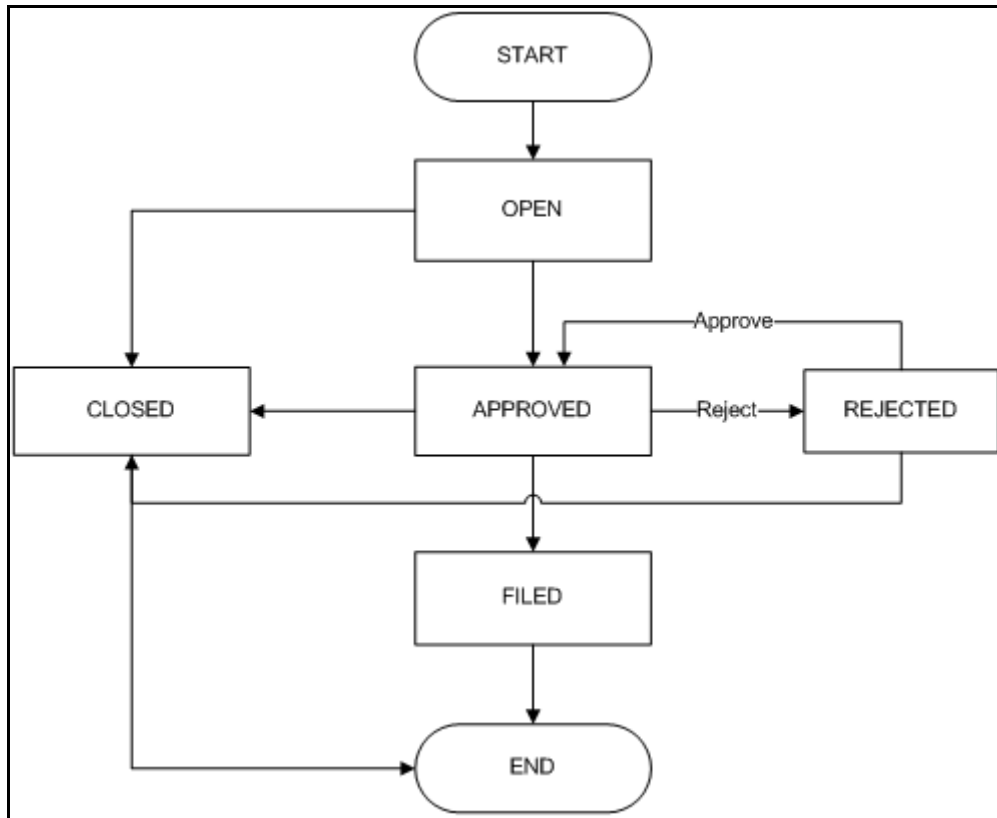


Figure 2. Workflow of Regulatory Reports for Supervisor

User Access

The following table details the roles and responsibilities of the users in the Oracle Financial Services Compliance Regulatory Reporting application.

Table 2. User Roles

Function	Roles		
	Analyst	Supervisor	System Administrator
Viewing regulatory reports	X	X	
Editing regulatory reports	X	X	
Creating regulatory reports	X	X	
Requesting for approving reports	X		
Approving/rejecting reports		X	
Closing regulatory reports		X	
Editing request for approval reports		X	

Table 2. User Roles

Function	Roles		
	Analyst	Supervisor	System Administrator
Adding regulatory report comments	X	X	
Viewing draft PDF	X	X	
Viewing/saving final report (PDF/CSV)	X	X	
Filing corrected report	X	X	
Filing supplemental report	X	X	
Viewing/editing configuration			X

Report Actions and Statuses

A regulatory report can be in any of the following statuses:

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

The following table explains the actions that can be performed on a report in different statuses.

Table 3. Report actions and Statuses

Open	Request for Approval	Approved	Closed	Rejected	Filed
Viewing reports	Viewing reports	Viewing reports	Viewing reports	Viewing reports	Viewing reports
Modifying report information	Modifying report information by Supervisor			Modifying report information	Viewing/saving a local copy/print the final PDF/CSV file attached to the report.
Adding comments to the report	Adding comments to the report	Adding comments to the report	Adding comments to the report	Adding comments to the report	Adding comments to the report
Generating draft PDF	Generating draft PDF	Generating draft PDF	Generating draft PDF	Generating draft PDF	Generating draft report

Table 3. Report actions and Statuses

Open	Request for Approval	Approved	Closed	Rejected	Filed
Initiating request for approval action by Analyst	Initiating approved for filing/closed without filing action by Supervisor	Initiating mark as filed action by Analyst		Initiating request for approval/approve for filing/close without filing by users with appropriate permissions	Generating final report
Initiating approved for filing /closed without filing action by Supervisor		Generating final report			

This chapter describes how to access and manage regulatory reports.

This chapter includes the following topics:

- Accessing Regulatory Reports
- Setting the Default Page
- Searching Reports
- Creating New Regulatory Report

Accessing Regulatory Reports

Users mapped to the following roles can access the Compliance Regulatory Reporting application:

- Analyst
- Supervisor
- System Administrator

To access Compliance Regulatory Reporting, follow these steps:

1. Enter Compliance Regulatory Reporting URL in the browser. The CRR Login page displays.

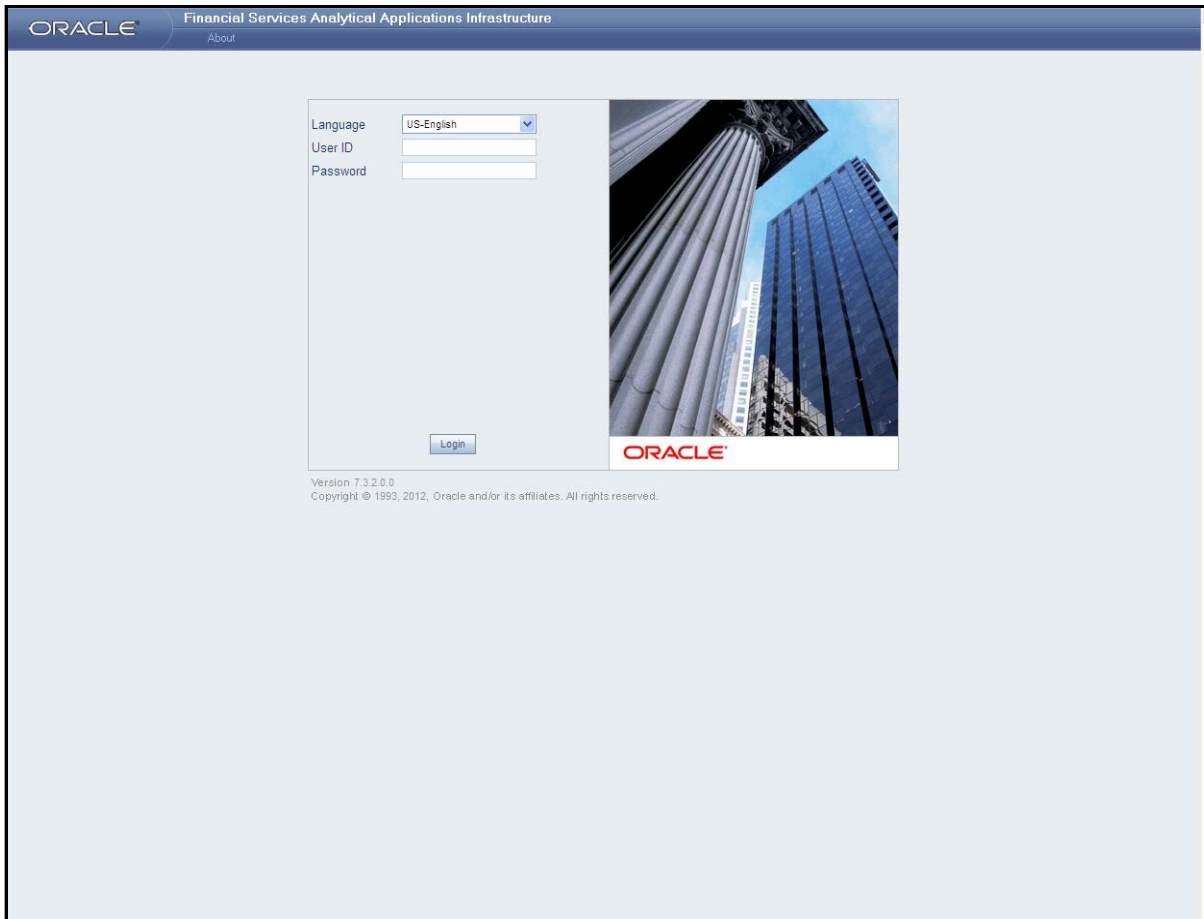


Figure 3. Compliance Regulatory Reporting Login page

2. Select the preferred language for the application from the drop-down list.
3. Enter your User ID.
4. Enter your Password.
5. Click **Login**. The Compliance Regulatory Reporting Home page displays.

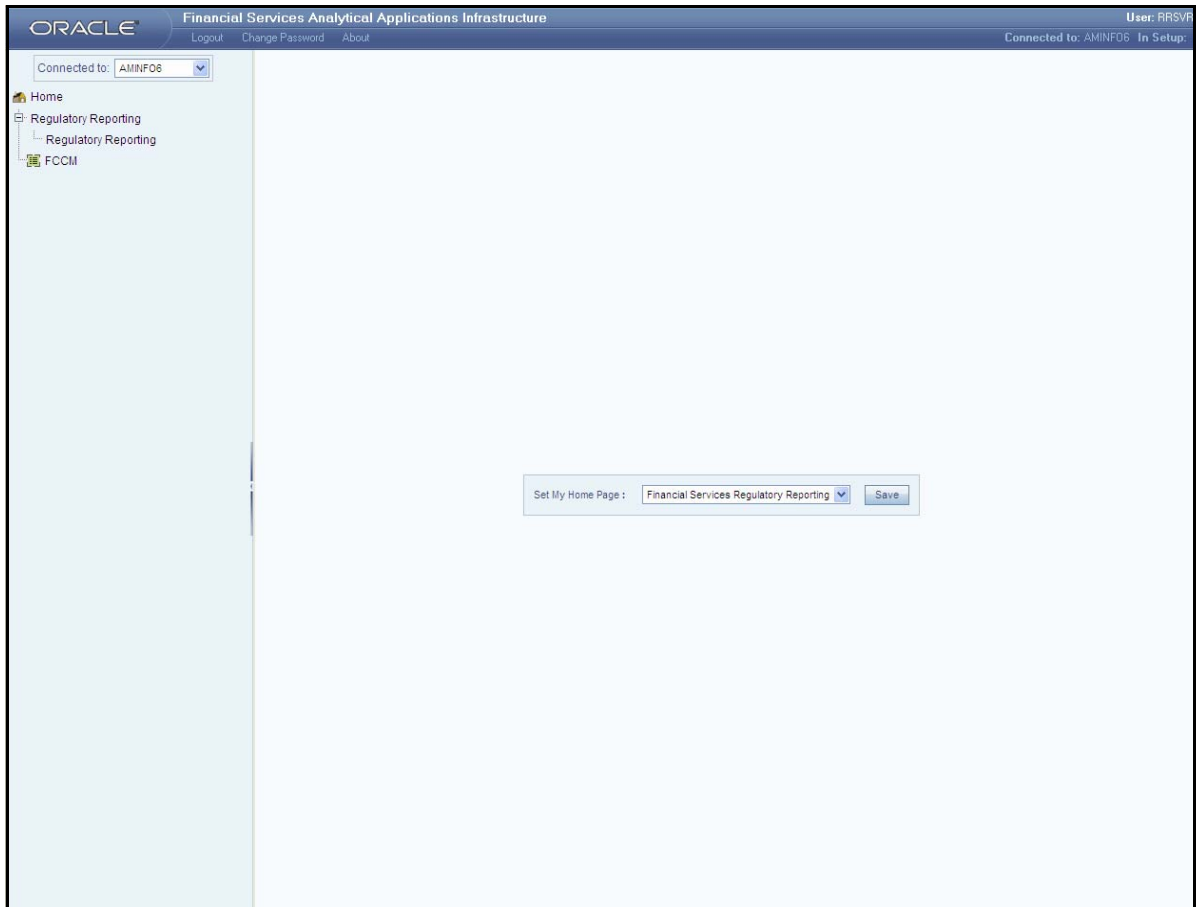


Figure 4. Home Page for Supervisor and Analyst role

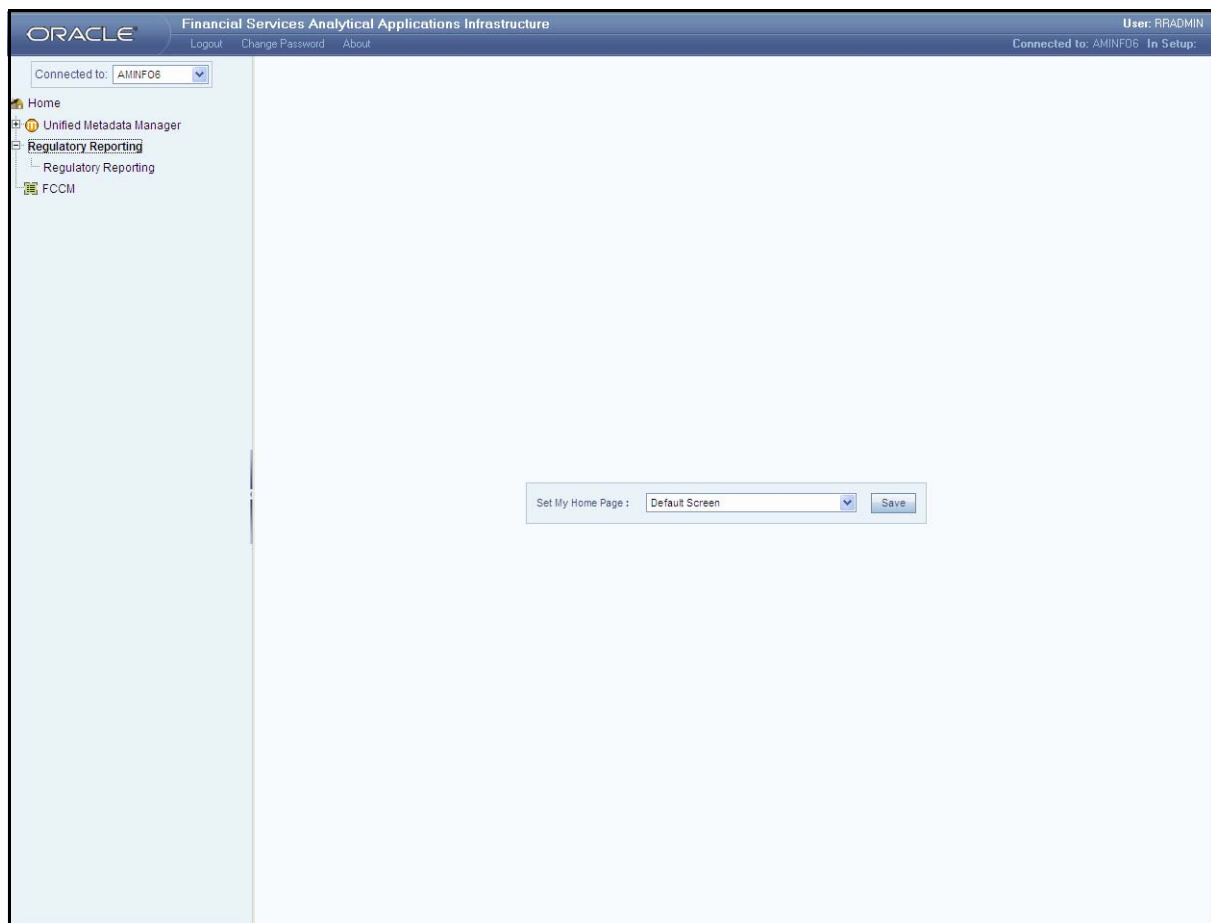


Figure 5. Home Page for the CRR System Administrator Role

6. Click **Compliance Regulatory Reporting** in the Home page to view the Compliance Regulatory Reporting Search List page.

Note: For users mapped to the role of Analyst and Supervisor, the CRR Search List page displays Compliance Regulatory Reporting in the primary menu; and Regulatory Reports and Create Regulatory Report in the secondary menu.

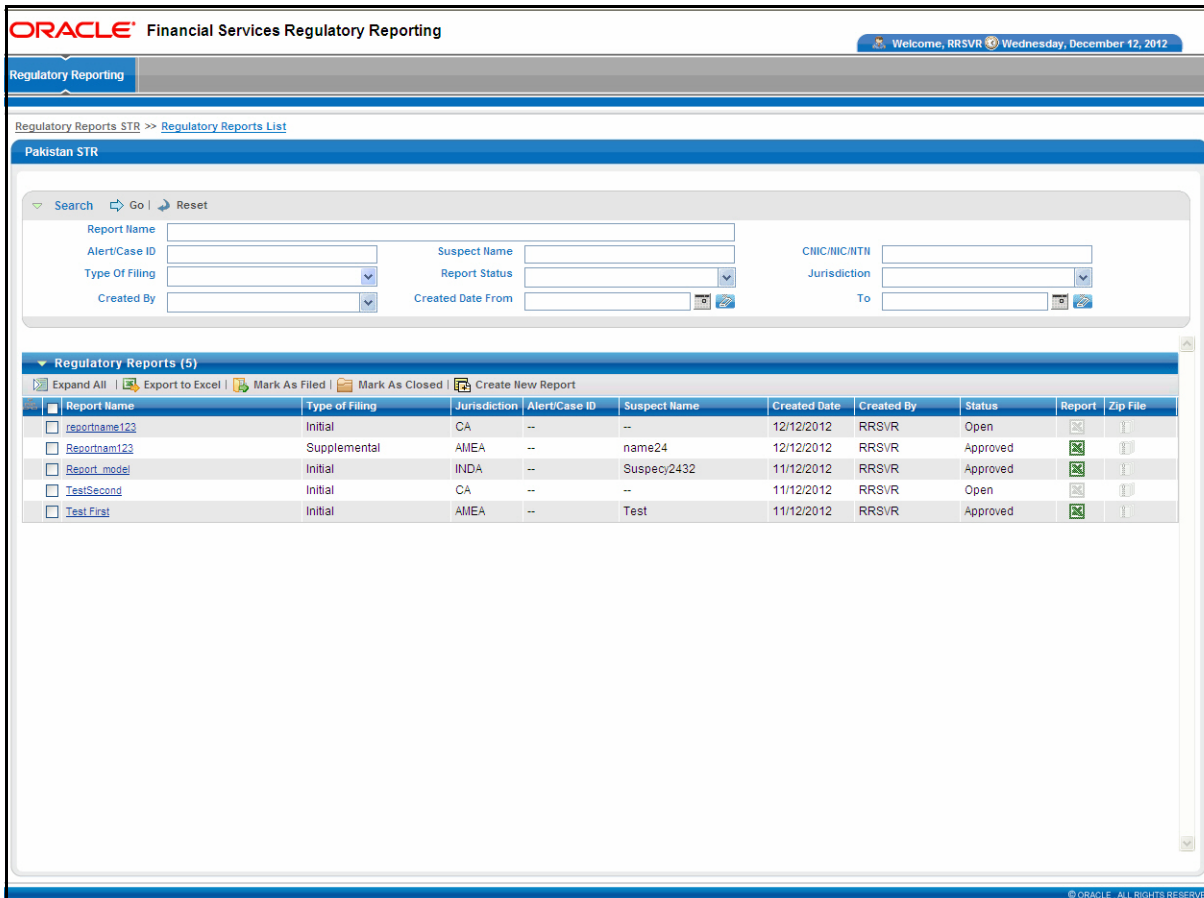


Figure 6. RR Search List page

Setting the Default Page

From the Set my Start page in the CRR Home page, select **Financial Services Compliance Regulatory Reporting** from the drop-down list and click **Save**. This saves the CRR Search List page as the Start page.

Setting the Default Page

Managing Regulatory Reports

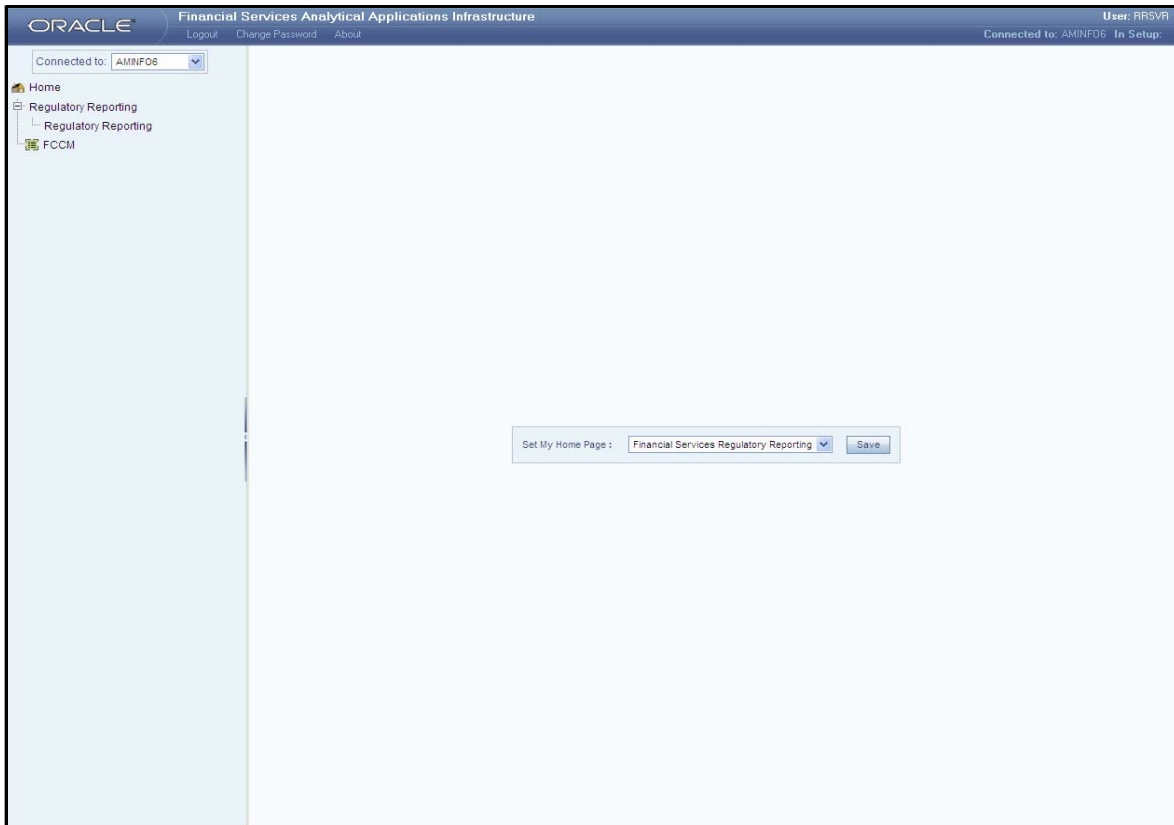


Figure 7. Setting the Default Page

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

Components of Regulatory Report List Page

The CRR Search List page displays the summary of all reports and by default, is sorted by the last modified date.

The CRR Search List page displays the following components:

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

Search Bar

The CRR Search bar allows you to search and view the regulatory reports list and their details. For more information on searching reports refer, section *Searching Reports*, on page 14.

List Header

The header contains the title *Regulatory Reports* and displays the total number of reports. The header also provides pagination with forward and backward arrows for page navigation. The Expand/Collapse button in the List header allows you to expand or hide Regulatory Report List matrix.

Check Boxes

Check boxes are provided at the beginning of each row in the Regulatory Report List matrix. Select these boxes to take action on reports and deselect the check box to clear it.

Action Buttons

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

- **Expand All:** Allows you to expand the complete CRR List details for the items where text cannot be accumulated in the column length. Click **Collapse All** to restore the original view.
- **Export to Excel:** Allows you to export the regulatory report details into an Excel/Word template.
- **Mark as Filed:** Allows you select approved reports and mark them as filed.
- **Mark as Closed:** Allows you to close reports without filing.
- **Create New Report:** Allows you to create regulatory reports in CRR application.

Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most column headings in the CRR List matrix are sortable. Right-click on the column heading to sort the display.

The following sorting options display:

- Ascending



- Descending
- Clear Sort
- Field Chooser
- Transpose

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

List Matrix

The CRR List matrix displays the list of all reports. By default, the list is sorted by the last modified date. The following table provides a list of columns and their descriptions in the CRR List matrix.

Table 4. Components of CRR List Matrix

Column Name	Description
Report Name	Displays the regulatory report name.
Type of Filing	Displays the type of filing of the regulatory report.
Jurisdiction	Displays the jurisdiction of the report.
Alert/Case ID	Displays the alert/case ID that triggered the creation of regulatory report.
Suspect Name	Displays the primary suspect name.
Created Date	Displays the date of creation of regulatory report.
Created By	Displays the user who created the regulatory report.
Status	Displays the status of the regulatory report.
Report	Displays the Suspicious transaction report icon. Note: This column displays  icon, if the output format selected is PDF and displays  icon if the output format selected is CSV.
Zip File	Displays the Zip file icon. Click this icon to view the zip folder containing the STR and the documents attached in the Document Tab of the report.

Searching Reports

The Regulatory Reports Search page allows you to search the report list and details.

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

1. Login to the CRR application. The CRR Home page displays.
2. Click **Compliance Regulatory Reporting** in the CRR Home page. The CRR Search List page displays.

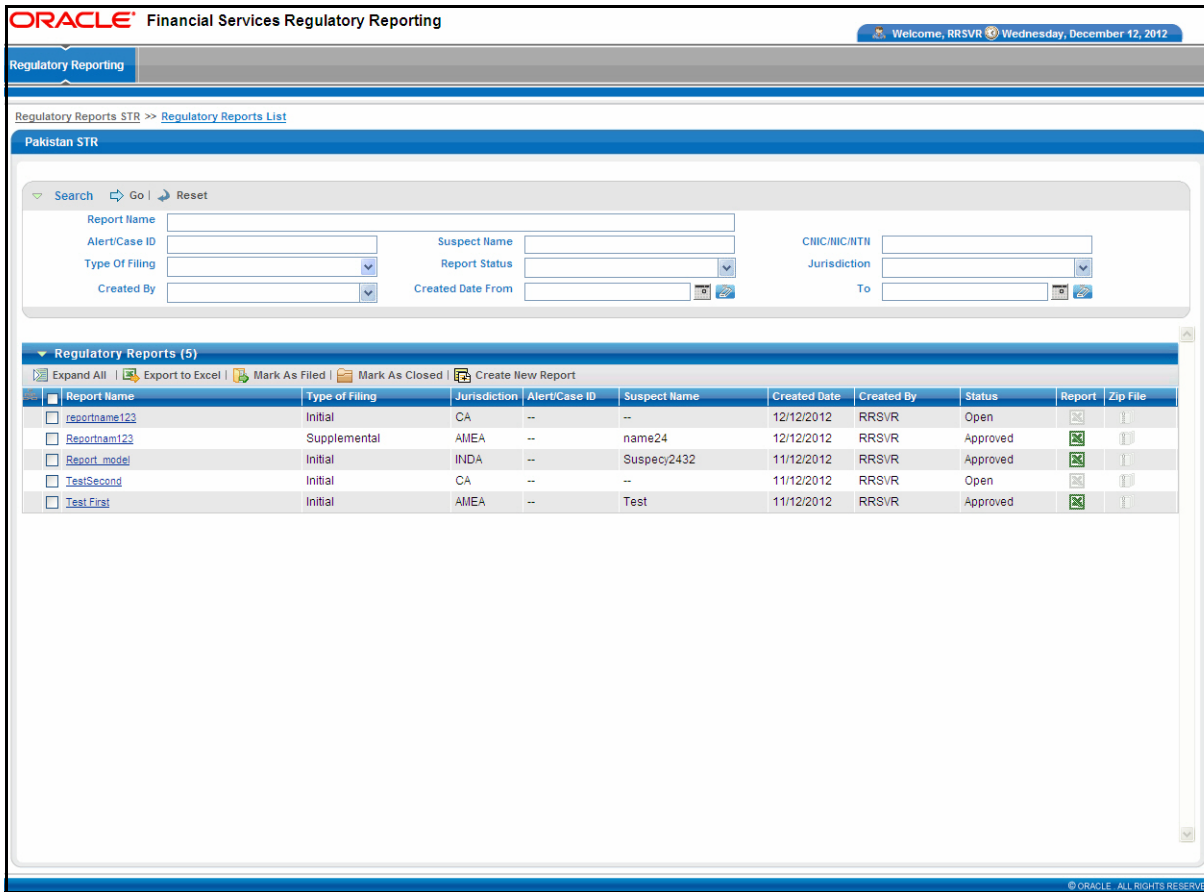


Figure 8. CRR Search List page with Search Components

3. Enter the search components to filter the CRR search list.

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

Table 5. Components of CRR Search Bar

Criteria	Description
Report Name	Enter the report name to display report with name as specified in the search criteria.
Alert/Case ID	Enter the Alert/Case ID to display reports with the selected Alert/Case ID.
Suspect Name	Enter the suspect name to display reports with the selected suspect name.
CNIC/NIC/NTN	Enter the CNIC/NIC/NTN to display reports with the selected CNIC/NIC/NTN.
Type of Filing	Select the type of filing from the drop-down list to display reports of the selected type.
Report Status	Select the report status from the drop-down list to display reports in the selected status.

Table 5. Components of CRR Search Bar

Criteria	Description
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.
Created By	Select the name of the user who created the regulatory report from the drop-down list.
Created date from	Select the created date from the calendar to display reports created from the selected date.
To	Select the created date to from the calendar to display reports created until this date.

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

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

Creating New Regulatory Report

Users mapped to the role of Supervisor and Analyst can create new regulatory reports.

To create new regulatory report, follow these steps:

1. Login to the CRR application. The CRR Home page displays.
2. Click **Create Regulatory Report** from the Compliance Regulatory Reporting primary menu The Create New Regulatory page displays.

Or

1. Login to the CRR application. The CRR Home page displays.
2. Click **Compliance Regulatory Reporting** in the CRR Home page. The CRR Search List page displays.
3. Click **Create New Report** in the action bar. The Create New Regulatory Report page displays.

The screenshot shows a web form titled "Create New Report". It contains several input fields and dropdown menus. On the left side, there are fields for "Report Name*", "Report Type" (with a value of "PAK STR"), "Attribute 2", "Attribute 4", and "Created Date" (with a value of "12/04/2012 11:10:05 AM"). On the right side, there are dropdown menus for "Type of Filing*", "Attribute 1*", "Attribute 3", "Attribute 5", and "Created By" (with a value of "RRSVR"). At the bottom of the form, there are two buttons: "Save" and "Clear".

Figure 9. Create New Regulatory Report page

4. Enter the required information in the Create New Report container.

The following table describes the fields in the Create New Report container

Table 6. Components of Create New Report Container

Field Name	Description
Report Name	Enter the report name.
Type of Filing	Select the type of filing from the drop-down list. Note: If the STR is PDF format then the application displays Initial, Corrected, and Supplemental options in the Type of Filing drop-down list. If the STR is CSV format then the application displays only Initial and Corrected option in the Type of Filing drop-down list.
Report Type	Displays the report type. Note: This field is non-editable and is defaulted to PAK STR.
Attribute 1	Select Attribute 1 from the drop-down list.
Attribute 2	Select Attribute 2 from the drop-down list.
Attribute 3	Select Attribute 3 from the drop-down list.
Attribute 4	Select Attribute 4 from the drop-down list.
Attribute 5	Select Attribute 5 from the drop-down list.
Created Date	Displays the date on which the regulatory report is created. Note: This field is non-editable and is defaulted to the system date.
Created By	Displays the name of the user who created the regulatory report. Note: This field is non-editable and is defaulted to the logged-in user while creating the report.

5. Click **Save**. The *Add Operation Successful* message box displays.
6. Click **OK**. The application refreshes and clears the Create New Report page for the addition of a new report. Click **Clear** to clear the information in the Create New Report container..
Note: The Create New Report page contains breadcrumbs that allows you to navigate to the CRR Search List page.

Note:

1. Excluding predefined fields, the application allows the admin user to define five configurable fields or attributes. The Administrator can configure the fields in the User Attributes page.
2. Report Name, Type of Filing, and Attribute1 (configurable field) are mandatory fields. In case any mandatory field is empty, the application displays the following message: *Mandatory fields are not entered.*

The Report Details page allows you to edit/update the report details. Users mapped to the role of Analyst and Supervisor can edit report details when the report is in open/rejected status.

Note: When the report is in Approved, Closed, and Filed status, you cannot edit the report information but can only add comments to the report

This chapter explains the following topics:

- Components of Report Details page
- Managing Report Details

Components of Report Details page

This section explains the components of the Report Details page.

Following are the components of the Report Details page:

- Action Buttons
- Report Context
- Report Details Tabs

Action Buttons

Following are the action buttons in the Report Details page:

- **Approve:** This button allows users mapped to the role of Supervisor to approve reports. For more information on approving reports, refer section *Approving Reports*, on page 59.
- **Close:** This button allows you to close reports. For more information on closing reports, refer section *Closing Reports*, on page 60.
- **Add Comments:** This button allows you to tag comments to the report: For more information on adding comments, refer section *Adding Comments*, on page 56.
- **Draft report:** This button allows you to draft the report details in a PDF. For more information on drafting report, refer section *Viewing Draft Report*, on page 57.
- **Request for Approval:** This button allows users mapped to the role of Analyst to send reports for approval to the Supervisor. For more information on requesting for approval, refer section *Requesting for Approval*, on page 58.

- **Reject:** This button allows you to reject reports from filing. For more information on rejecting reports, refer section *Rejecting Reports*, on page 59.

Report Context

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



Figure 10. Report Context

The Report Context container displays the fields as shown in the following table.

Table 7. Fields in Report Context Container

Field Name	Description
Report Name	Displays the report name.
Report Status	Displays the status of the report.
Created Date	Displays the date of creation of the report.
Created By	Displays the user who created the report.
Alert/Case ID	Displays the alert/case ID of the report.
Last Modified Date	Displays the last modified date of the report.
Last Modified By	Displays the user who last modified the report.
Jurisdiction	Displays the jurisdiction to which the report is mapped.
Approved By	Displays the user who approved the report for filing.
Approved Date	Displays the date of approval of the report.
Type of Filing	Displays the report filing type.
Report ID	Displays the regulatory report ID.

Report Details Tabs

The Report Details page displays the following tabs:

- Financial Institution
- Suspicious Transactions
- Suspects
- Accounts
- Documents
- Narrative
- Audit

For more information on the tabs in the Report Details page, refer section *Managing Report Details*.

Managing Report Details

The Report Details page allows users mapped to the role of Analyst/Supervisor to view/edit report information.

This section explains the following topics:

- Editing Financial Institution Information
- Managing Suspicious Transactions
- Managing Suspects
- Managing Accounts
- Managing Documents
- Managing Narrative
- Viewing Audit

Editing Financial Institution Information

The Financial Institution tab page is the default tab for the Regulatory Report Details page. This tab allows you to modify and save the financial institution details.

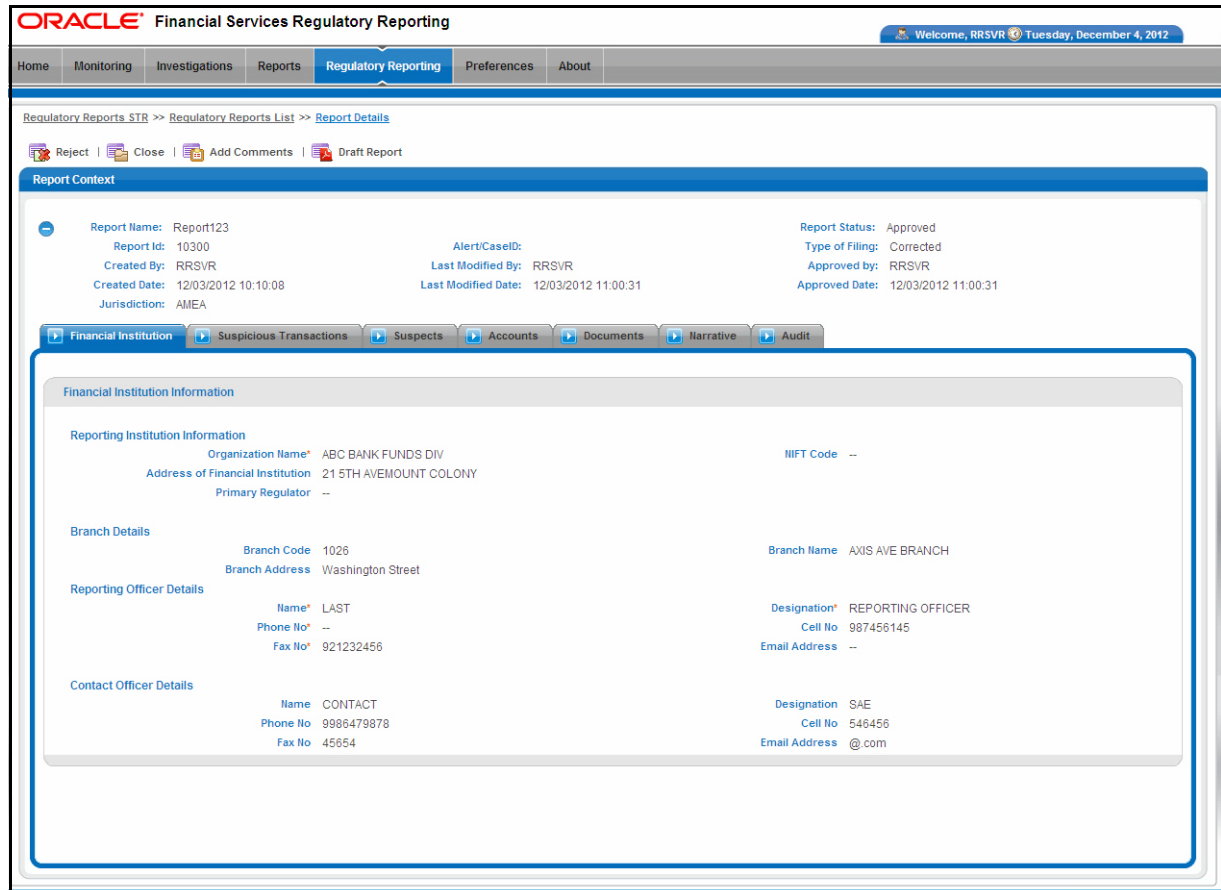


Figure 11. Financial Institution Tab

Components of Financial Institution Tab

This tab consists of data classified into the following sections:

- Reporting Institution Information
- Branch Details
- Reporting Officer Details
- Contact Officer Details

Following are the fields in the Reporting Institution Information section.

Table 8. Fields in Reporting Institution Information Section

Field Name	Description
Organization Name	Enter the reporting institution organization name.
NIFT Code	Displays the reporting institution NIFT code.
Address of Financial Institution	Displays the address of the reporting institution.
Primary regulator	Displays the reporting institution primary regulator.

Note:

1. As per the Organization name you select, the system auto-populates all the remaining Reporting Institution Information details.
2. If the Organization name is missing, the application displays the following message: *Organization Name is missing. Please enter the Organization Name.*

The following table explains the fields in Branch Details section

Table 9. Fields in Branch Details Section

Field Name	Description
Branch Code	Enter the branch code.
Branch Name	Displays the branch name.
Branch Address	Displays the branch address.

Note:

1. As per the Branch Code you select, the system auto-populates the branch name and branch address details.
2. If you enter an invalid branch code and when you click outside the Branch code field (that is, on focus change), the application displays the following message: *Branch code is invalid or not available. Please update with a correct branch code.*

The following table explains the fields in Reporting Officer Details section.

Table 10. Fields in Reporting Officer Details Section

Field Name	Description
Name	Displays the reporting officer name.
Designation	Displays the reporting officer designation.
Phone Number	Displays the reporting officer phone number.
Cell Number	Displays the reporting officer cell number.
Fax Number	Displays the reporting officer fax number.
Email Address	Displays the reporting officer e-mail address.

The following table explains the fields in Contact Officer Details section.

Table 11. Fields in Contact Officer Details Section

Field Name	Description
Name	Enter the name of the contact officer.
Designation	Displays the designation of contact officer.
Phone Number	Displays the contact officer phone number.
Cell Number	Displays the contact officer cell number.
Fax Number	Displays the contact officer fax number.
Email Address	Displays the contact officer e-mail address.

Note: As per the contact officer name you select, the system auto-populates the rest of the contact officer details.

Editing Financial Institution Details

Note: You can edit only one record per instance.

To edit financial institution details, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click on the Report name in RR Search List page. The RR Details page displays.
4. Click **Financial Institution** tab. The financial institution details displays.
5. Modify the required information in the fields in the Financial Institution Information page.
6. Click **Save**. The *Update Operation Successful* message box displays.
7. Click **OK**. The application refreshes and displays the changes in the financial institution information container.

Note: If you click **Reset**, the application refreshes and resets the unsaved data to last saved value in the Financial Institution page.

Managing Suspicious Transactions

The Suspicious Transaction page allows you to view/edit the suspicious transactions. This page displays the following options in LHS menu:

- Suspicious Transactions
- Law Enforcement Agency Details

Managing Report Details

Managing Reports

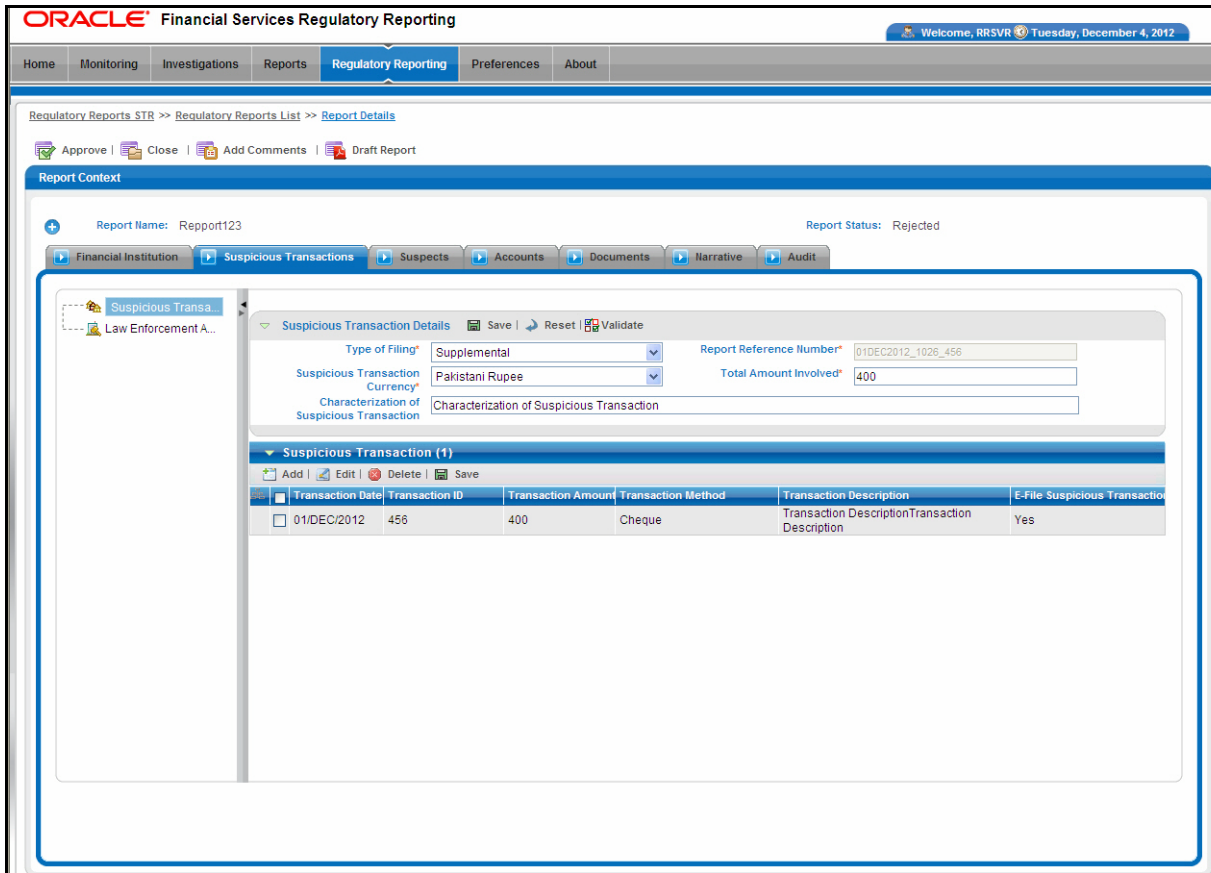


Figure 12. Suspicious Transaction Page (CSV format)

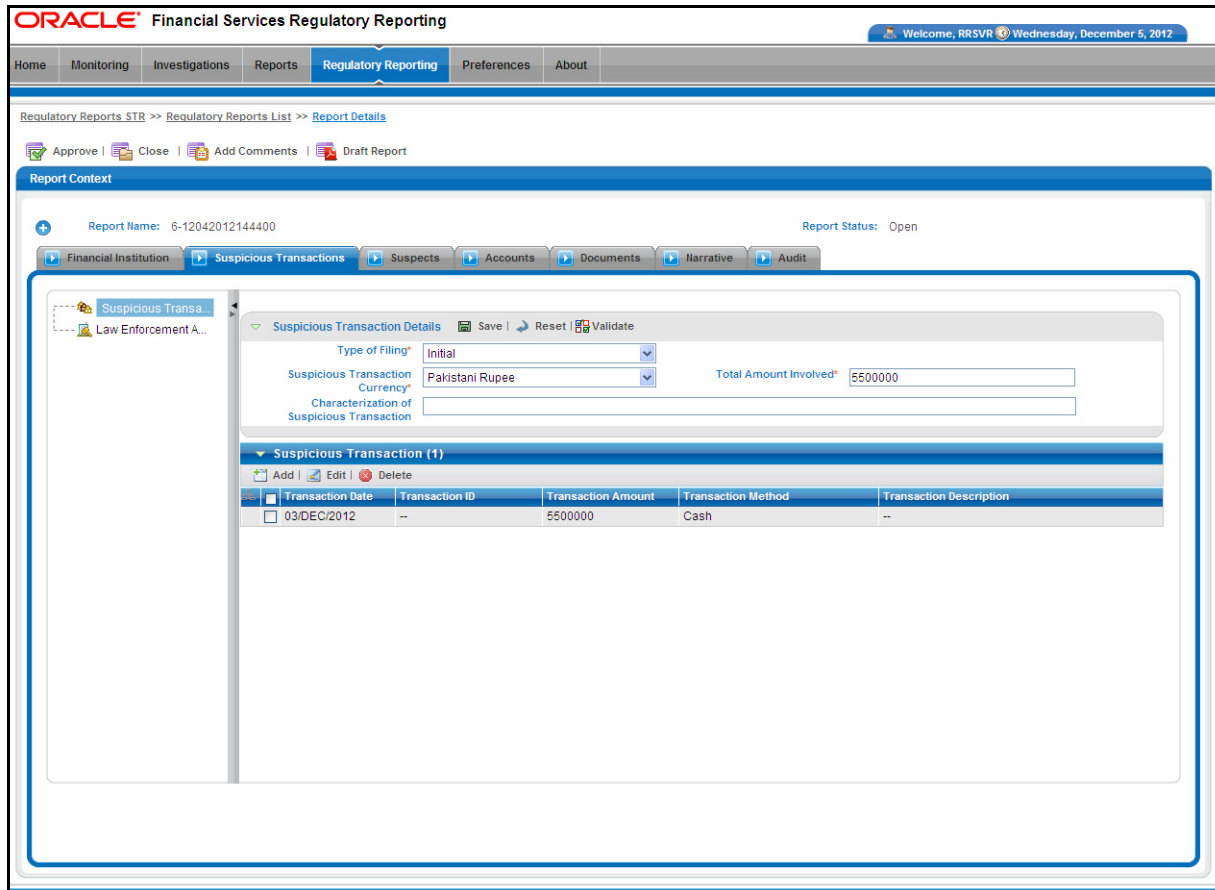


Figure 13. Suspicious Transaction Page (PDF format)

The Suspicious Transaction Details LHS Menu is the default menu displayed when you click **Suspicious Transaction Information**.

The Suspicious Transaction Details LHS Menu displays the Suspicious Transaction Details grid and Suspicious Transaction grid.

The following table explains the fields in the Suspicious Transaction Details grid.

Table 12. Components of Suspicious Transaction Details Grid

Field Name	Description
Type of Filing	Select the type of report.
Report Reference Number	Displays the sequential tracking number given to the report. Note: This field displays only when the application is configured to CSV format. It is used as an identifier to refer to the transaction report in future. All corrected reports are searched using this unique identifier. This will not be editable. Report reference number should be a combination of Transaction date, Branch Code and Transaction ID of identified suspicious transaction. The format of Report reference number should be Transaction date_Branch Code_Transaction ID. If transaction ID is null the format of Report reference number should be Transaction Date_Branch Code_Report ID. If branch is null, the format of Report reference number should be Transaction Date_Transaction ID. If both Branch and Transaction Id are null the format of Report reference number should be Transaction Date_Report ID.
Suspicious Transaction Currency	Select the ISO code of the currency involved in the suspicious transaction from the drop-down list. Note: The default value displays Pakistan Rupee.
Total Amount Involved	This field displays only when the application is configured for CSV format and displays the sum of suspicious transaction amount, of all the suspicious transactions listed in the Suspicious Transactions grid. Note: The amount in this field is auto-updated if a new transaction is added or if an existing transaction is modified in the Suspicious Transaction List. This field is editable but in case of any change with respect to transaction amounts in the grid or if there is any addition/deletion of a transaction, the value will be refreshed with the sum of transaction amounts in the grid. Note: The Total amount involved field should have no more than 24 digits before decimal and 8 digits after decimal. If not, the application displays the following error message: <i>Total Amount Involved is invalid. It should have no more than 24 digits before and 8 digits after decimal.</i>
Characterization of Suspicious Transaction	Enter a brief description of the suspicious activity. Note: For CSV format this field will be linked to the suspicious transaction which is marked as suspicious transaction by the user.

8. Click **Save** to save the details in the Suspicious Transaction Details section.

Click **Reset** to clear the values in the Suspicious Transaction Details section.

Click **Validate** to check if all the mandatory values are entered.

Note: If you click **Save** without entering the mandatory fields in Suspicious Transaction Details Grid, the following message displays: *You are missing some mandatory fields. Please be sure you have provided values for Type of Filing, Suspicious Transaction Currency and Total Amount Involved.*

The Suspicious Transaction grid displays the list of suspicious transactions.

You can add, edit, or delete suspicious transactions.

This section discusses the following topics:

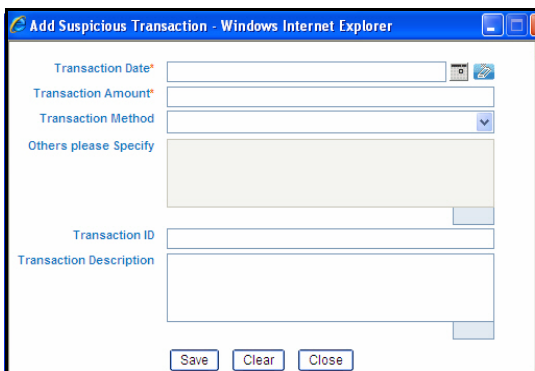
- Adding Suspicious Transactions

- Editing Suspicious Transactions
- Deleting Suspicious Transactions

Adding Suspicious Transactions

To add suspicious transactions, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspicious Transaction tab. The Suspicious Transaction details display.
5. Click **Add** in the Suspicious Transaction grid. The Add Suspicious Transaction pop-up displays.



The screenshot shows a web browser window titled "Add Suspicious Transaction - Windows Internet Explorer". The form contains the following fields and controls:

- Transaction Date* (text input)
- Transaction Amount* (text input)
- Transaction Method (dropdown menu)
- Others please Specify (text area)
- Transaction ID (text input)
- Transaction Description (text area)
- Save, Clear, and Close buttons at the bottom.

Figure 14. Add Suspicious Transaction pop-up

The following table explains the fields in the Add Suspicious Transaction pop-up.

Table 13. Fields in Add Suspicious Transaction Pop-up

Field Name	Description
Transaction Date	Select the date on which the suspicious transaction occurred. Note: The transaction date selected must be equal to or lesser than the system date. If not, the following message displays: <i>Please enter a date which is earlier or equal to the system date.</i>
Transaction Amount	Enter the amount involved in the suspicious transaction.
Transaction Method	Select the method of suspicious transaction from the drop-down list. Note: The application allows you to select <i>Others</i> options and define a method of transaction of your own. These details can be updated in <i>If Others Please Specify</i> field.
If Others Please Specify	This field is enabled only if <i>Others</i> option is selected in Transaction Method field. Enter information regarding the transaction method involved in suspicious transaction.
Transaction ID	Enter the suspicious transaction ID, if not present.
Transaction Description	Enter a brief description of the suspicious transaction.
E-File Suspicious Transaction	This field allows you to mark one primary suspicious transaction. All the other transactions in this tab are considered as related suspicious transactions. This field appears in Add Suspicious Transaction Pop-up or in the Suspicious Transaction grid, if the STR format selected is CSV. Note: This field is hidden when the application is configured for PDF format.

6. Click **Save**. The *Add Operation Successful* message box displays.
7. Click **OK**. The application refreshes and clears the fields in the Add Suspicious Transaction pop-up for addition of a new record.

Note: Click **Close** in the Add Suspicious Transaction pop-up. The application refreshes and displays the newly added transaction in the Suspicious Transaction grid.

Editing Suspicious Transactions

Note: You can edit only one record per instance.

To edit suspicious transactions, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspicious Transaction tab. The Suspicious Transaction grid lists all the suspicious transactions.
5. Click on the check box of the suspicious transaction you want to modify.
6. Click **Edit**. The Edit Suspicious Transaction pop-up displays.
7. Modify the necessary information.
8. Click **Save**. The *Update Operation Successful* message box displays.
9. Click **OK**. The application refreshes and displays the Suspicious Transaction pop-up.

Note: Click **Close** in the Edit Suspicious Transaction pop-up. The application refreshes and displays the changes made in the Suspicious Transaction grid.

Deleting Suspicious Transactions

To delete suspicious transaction, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspicious Transaction tab. The Suspicious Transaction grid lists all the suspicious transactions.
5. Click on the check box of the suspicious transaction you want to delete.
6. Click **Delete**. The *Are you sure you want to delete this record* message box displays.
7. Click **OK**. The *Delete Operation Successful* message box displays.
8. Click **OK**. The application refreshes and displays the Suspicious Transaction grid.

Marking a Suspicious Transaction (Applicable only for CSV Format)

It is mandatory to mark one of the transactions listed in the Transaction grid as suspicious when the application is configured for CSV format. All the other transactions listed in the Transaction grid are called as related transactions.

To mark a suspicious transaction, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspicious Transaction tab. The Suspicious Transaction grid lists all the suspicious transactions.
5. Select the transaction you want to mark as suspicious from the Transaction grid.

Note: The E-file Suspicious Transaction column in the Suspicious Transaction grid becomes editable on selection of the report.

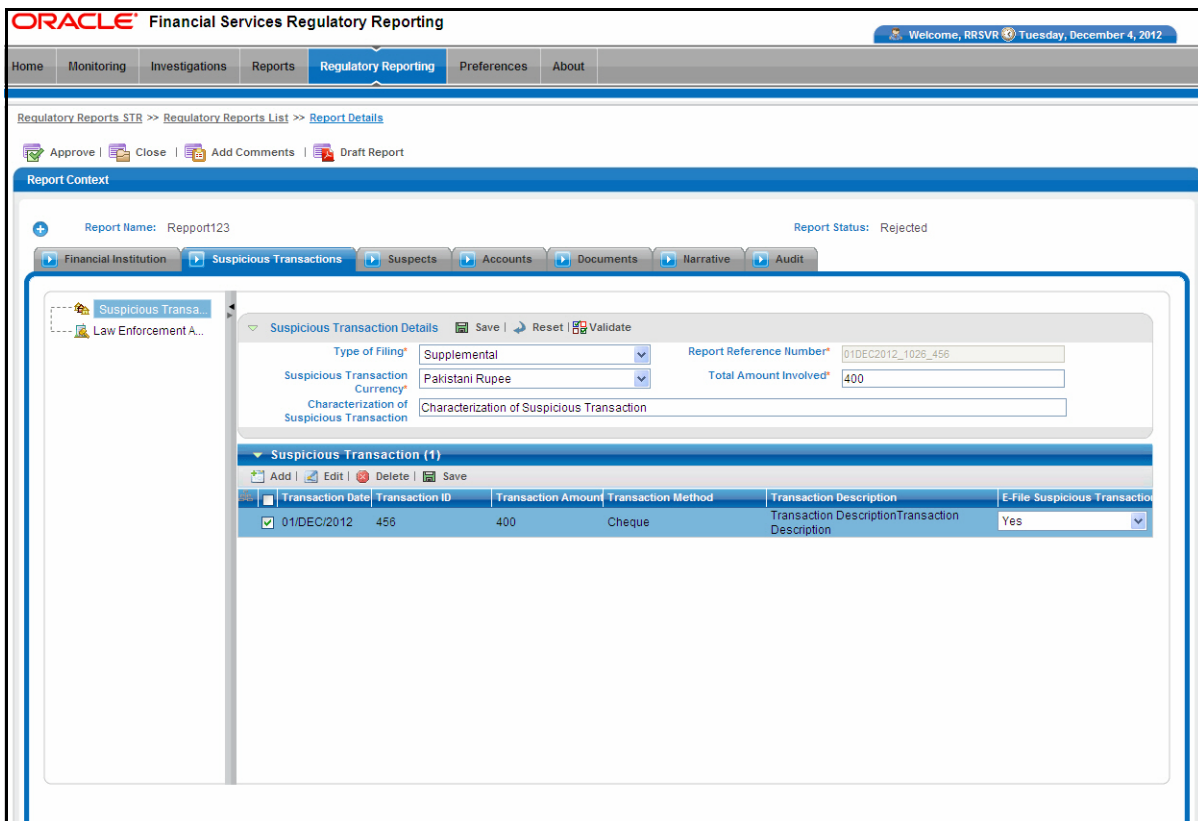


Figure 15. Marking a Suspicious Transaction

6. Select **Yes** from the drop-down list in the E-file Suspicious Transaction column.
7. Click **Save**. The *Update Operation Successful* message box displays.
8. Click **OK**. The application refreshes and displays the Suspicious Transaction grid.

Note:

- If STR format is PDF, it is not necessary to mark suspicious or related transactions.
- If the STR format is CSV, then it is mandatory to mark any one of the transaction as suspicious. If you click on **Validate** button without marking a suspicious transaction, the application displays the following error message: *Suspicious transaction has not been identified. One suspicious transaction should be identified to file the report.*
- If you try to mark more than one transaction as suspicious transaction, the application displays the following error message: *One transaction is already marked as suspicious for E Filing. Please uncheck the existing suspicious transaction to mark a new one.*
- If you click **Save**, without entering any of the mandatory fields, the following message displays: *You are missing some mandatory fields. Please be sure you have provided values for Type of Filing, Suspicious Transaction Currency, Total Amount Involved, Transaction Date and Transaction Amount.*

Managing Law Enforcement Agency Details

This page displays the list of Agencies which have been contacted by the organization regarding the suspicious transactions. This tab allows you to view, add, edit, or delete law enforcement agency details.

The screenshot shows the Oracle Financial Services Regulatory Reporting application. The top navigation bar includes 'Home', 'Monitoring', 'Investigations', 'Reports', 'Regulatory Reporting' (selected), 'Preferences', and 'About'. A user greeting 'Welcome, RRSVR' and the date 'Tuesday, December 4, 2012' are visible. The breadcrumb trail is 'Regulatory Reports STR >> Regulatory Reports List >> Report Details'. Below the breadcrumb, there are action buttons: 'Approve', 'Close', 'Add Comments', and 'Draft Report'. The 'Report Context' section shows 'Report Name: Report123' and 'Report Status: Rejected'. A series of tabs are present: 'Financial Institution', 'Suspicious Transactions', 'Suspects', 'Accounts', 'Documents', 'Narrative', and 'Audit'. The 'Suspicious Transactions' tab is active, showing a tree view with 'Suspicious Transac...' and 'Law Enforcement A...'. The 'Law Enforcement Agency Details (1)' section is expanded, displaying a table with the following data:

Law Enforcement Agency Name	Correspondent Contact	Comments
<input type="checkbox"/> Anti Narcotics Force	5689213	Law Enforcement

Figure 16. Law Enforcement Agency Details

Adding Law Enforcement Agency Details

To add law enforcement agency details, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspicious Transaction tab.
5. Click **Law Enforcement Agency Details** in the LHS menu. The Law Enforcement Agency Details grid displays.
6. Click **Add**. The Law Enforcement Details pop-up displays.

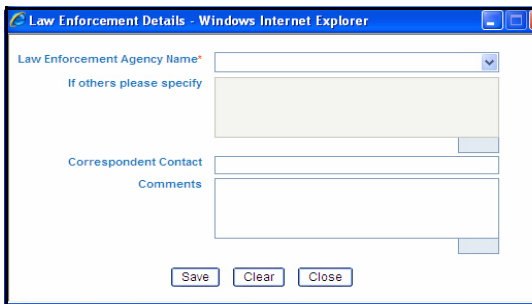


Figure 17. Law Enforcement Details Pop-up

The following table describes the fields in the Law Enforcement Details pop-up:

Table 14. Fields in Law Enforcement Details pop-up

Field Name	Description
Law Enforcement Agency Name	Select the law enforcement agency name from the drop-down list.
If others, please specify	Enter any information about the law enforcement agency name. Note: This field is enabled only if you select <i>Others</i> in the Law Enforcement Agency Name field. The application allows you to select <i>Others</i> option and define a law enforcement agency of your own. These details can be updated in <i>If Others Please Specify</i> field.
Correspondent contact	Enter the correspondent contact details.
Comments	Enter any additional comments.

7. Click **Save**. The *Update Operation Successful* message box displays.
8. Click **OK**. The application refreshes and displays the law enforcement agency details pop-up for addition of a new record.

Note: Click **Close** to view the newly added record in the Law Enforcement Agency details grid.

Note: If you click **Save** in the Law Enforcement Details Pop-up without entering the Law Enforcement Agency name, the application displays the following message: *Law Enforcement Agency Name is missing. Please enter a Law Enforcement Agency Name.*

Editing Law Enforcement Agency Details

Note: You can edit only one record per instance.

To edit law enforcement agency details, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspicious Transaction tab. The suspicious transaction details display.
5. Click **Law Enforcement Agency Details** in the LHS menu. The Law Enforcement Agency Details grid displays.
6. Select the law enforcement agency details you want to modify.
7. Click **Edit**. The Law Enforcement Agency details pop-up displays.
8. Modify the necessary information.
9. Click **Save**. The *Update Operation Successful* message box displays.
10. Click **OK**. The application displays the law enforcement agency details pop-up.

Note: Click **Close** to view the changes made to the record in the Law Enforcement Agency details grid.

Deleting Law Enforcement Agency Details

To delete law enforcement agency details, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspicious Transaction tab. The suspicious transaction details display.
5. Click **Law Enforcement Agency Details** in the LHS menu. The Law Enforcement Agency Details grid displays.
6. Select the law enforcement agency details you want to delete.
7. Click **Delete**. The *Are you sure you want to delete this record message box displays*.
8. Click **OK**. The *Delete Operation Successful* message box displays.
9. Click **OK**. The application refreshes and displays the law enforcement agency details grid.

Managing Suspects

The Suspect tab displays a list of suspects and additional details regarding the suspect.

The Suspect Information tab displays the suspect information list and the Suspect details container. This page allows you to add or delete suspect information.

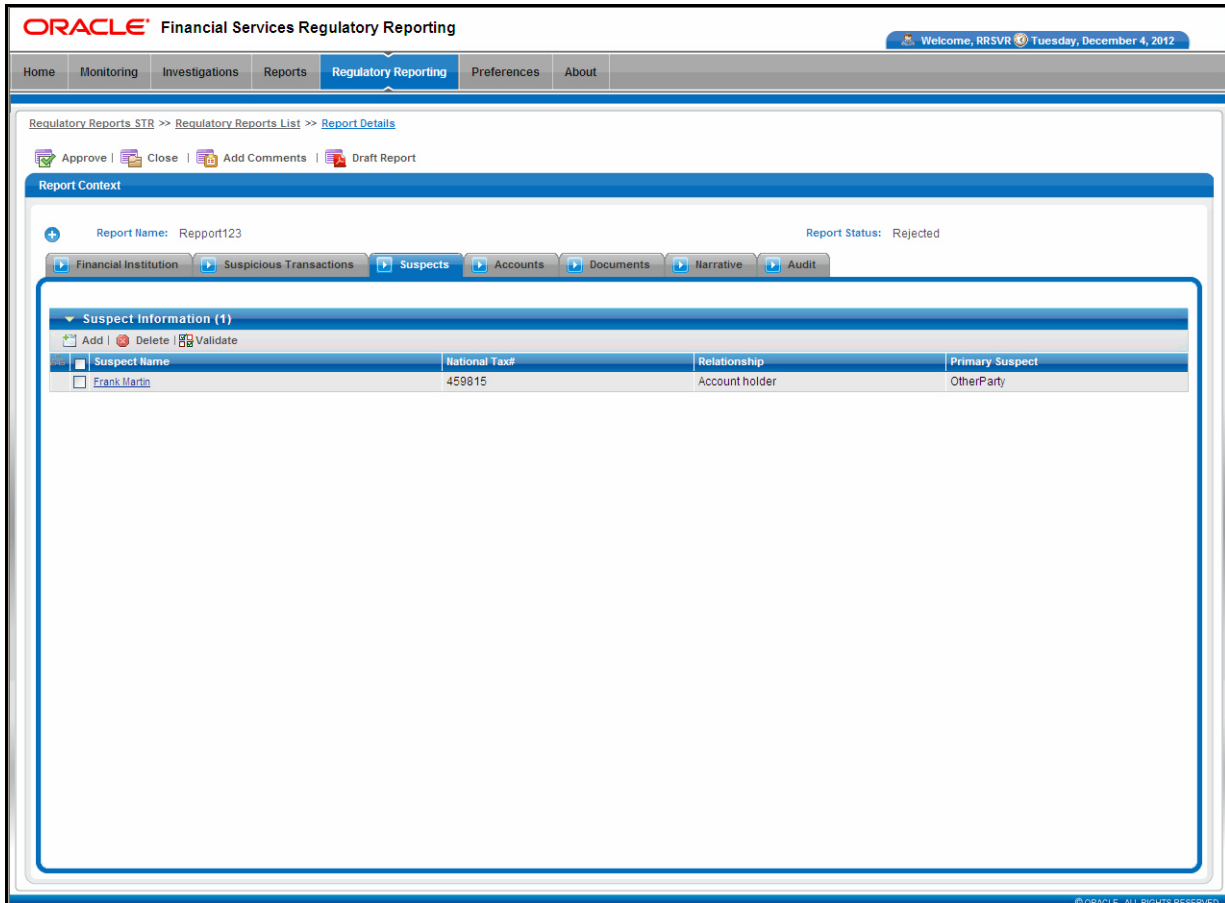


Figure 18. Suspects Tab

Adding Suspect Information

To add suspect information, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspects tab. The suspect details display.
5. Click **Add**. The Suspect information pop-up displays.

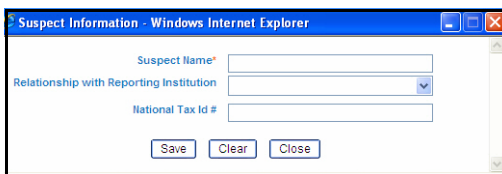


Figure 19. Suspect information pop-up

The following table explains the fields in the Suspect information pop-up.

Table 15. Fields in Suspect Information pop-up

Field Name	Description
Suspect Name	Enter the suspect name.
Relationship with Reporting Institution	Select the relationship of the suspect with the reporting institution.
National Tax ID Number	Enter the National tax ID number, if not present. Note: In the Suspect information pop-up, if you click Save without entering the suspect name, the application displays the following message: <i>Suspect Name is missing. Please enter the Suspect Name.</i>

6. Click **Save**. *You have successfully added suspect: XXX* displays where XXX is the suspect name.
Note: Click **Clear** to clear the values in the Suspect Information pop-up or click **Close** to close the Suspect information pop-up.
7. Click **OK**. The application refreshes and displays the suspect information pop-up for addition of new suspect.
Note: Click **Close** to view the newly added suspect in the Suspect Information grid.
The suspect details container allows you to add any additional information related to the suspect. To view suspect details, click on the suspect name in the Suspect information grid. The Suspect Details container displays below the Suspect information grid.
8. To add additional suspect information, click on the Suspect name in the Suspect Information grid. The Suspect Details container displays below the Suspect Information grid.

The Suspect Details container consists of suspect information categorized into the following three sections:

- Personal Details

- Contact Details
- Suspect's Relationship Details

The following table explains the fields in Personal Details section of the Suspect Details container:

Table 16. Fields in Personal Details Section

Field Name	Description
Suspect Name	Enter the suspect name.
Father/Husband's Name	Enter the father/husband name of the suspect.
CNIC#	Enter the CNIC number, if not present.
NIC#	Enter the NIC number, if not present.
Any Other ID Number and Type	Enter other ID number or type, if any.
National Tax#	Enter the national tax number, if not present.
Date of Birth	Select the suspect date of birth from the calendar.
Nationality	Select the nationality of the suspect from the drop-down list.
Occupation	Enter the occupation of the suspect.

The following table explains the fields in Contact Details section of the Suspect Details container:

Table 17. Fields in Contact Details Section

Field Name	Description
Office Phone	Enter the office phone number of the suspect.
Residence Phone	Enter the residence phone number of the suspect.
Fax #	Enter the fax number of the suspect.
Cell #	Enter the mobile number of the suspect.
Permanent Address	Enter the permanent address of the suspect.
Present Address	Enter the present address of the suspect.
Other Available Address	Enter any other address details of the suspect.

The following table explains the fields in Suspect's Relationship Details of the Suspect Details container.

Table 18. Fields in Suspect's Relationship Details Section

Field Name	Description
Is suspect primary	Select if the suspect is primary from the radio buttons.
Relationship with Reporting Institution	Select the relationship of the suspect with the reporting institution from the drop-down list.
If others please specify	Enter any other relationship of the suspect with the reporting institution. Note: This field is enabled only when the option <i>Other</i> is selected in the Relationship with Reporting Institution field. The application allows you to select <i>Others</i> option and define suspect relationship with financial institution of your own. These details can be updated in <i>If Others Please Specify</i> field.

Table 18. Fields in Suspect's Relationship Details Section

Field Name	Description
Is relationship with the suspect active	Select whether the relationship between the reporting institution and suspect is active from the drop-down list.
Relationship Termination Date	Enter the date of termination of relationship between the suspect and the reporting institution. Note: This field is enabled only if the option <i>No</i> is selected in the <i>Is relationship with the suspect active</i> field.
Transaction Capacity	Select the transaction capacity from the drop-down list.
If others please specify	Enter any other transaction capacity. Note: This field is enabled only if the option <i>Other</i> is selected in <i>Transaction Capacity</i> field. The application allows you to select <i>Others</i> option and define transaction capacity of your own. These details can be updated in <i>If Others Please Specify</i> field.
Business Relationship with Suspect	Enter the business relationship of the reporting institution with the suspect.
Identity of Other Persons Involved	Displays the involved parties in the suspicious transaction. The involved party names are comma separated. Note: This field is auto-populated for primary suspect and the identity of Other Person Involved field is enabled only for Primary Suspect.

9. Enter the required information in the Suspect Details container.
10. Click **Save**. The *Update Operation Successful* message box displays.
11. Click **OK**. The application refreshes and displays the Suspect details container.

Note: If you click **Reset**, the application resets the unsaved data in the Suspect details container to last saved value.

Marking a Primary Suspect

It is mandatory to identify any one of the suspect as primary suspect in STR of both PDF and CSV formats. You can mark a suspect as primary, by selecting the *Primary* option for *Is Suspect Primary* field in the Suspect Details container. Other than the primary suspect, all the other suspects listed in the suspect information grid will be marked as *Other party* in the suspicious transaction report. The Other party names will appear as comma separated values in the STR.

Note: You can select only one suspect as Primary. If you try selecting more than one suspect as primary, the following message displays: *Suspect has already been identified as primary. Only one suspect can be marked as primary. Click OK to make the current suspect primary or click CANCEL to return to previous page.*

To mark a suspect as primary, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspects tab. The Suspect Information grid displays.
5. Click on the suspect name of the suspect you want to mark as primary. The Suspect Details container displays.
6. Select *Primary* radio button in the *Is suspect primary* field.
7. Click **Save**. The *Update Operation Successful* message displays.

The screenshot shows the Oracle Financial Services Regulatory Reporting application interface. The top navigation bar includes 'Home', 'Monitoring', 'Investigations', 'Reports', 'Regulatory Reporting', 'Preferences', and 'About'. The 'Regulatory Reporting' tab is active. The main content area displays the 'Report Details' for 'Report Name: Repport123' with a status of 'Rejected'. The 'Suspects' tab is selected, showing a table with one suspect: 'Frank Martin' with National Tax# '459815' and Relationship 'Account holder'. Below the table is the 'Suspect Details' form for 'Frank Martin'. The 'Is Suspect Primary?' field is set to 'Primary'. The form includes sections for Personal Details, Contact Details, and Suspect's Relationship Details.

Suspect Name	National Tax#	Relationship	Primary Suspect
Frank Martin	459815	Account holder	OtherParty

Is Suspect Primary? Other Party Primary

Personal Details

Suspect Name* Father/ Husband's Name

CHIC# IIC#

Any Other ID Number and Type National Tax#

Date of Birth Nationality

Occupation

Contact Details

Residence Phone Office Phone

Fax # Cell #

Permanent Address

Present Address

Other Available Address

Suspect's Relationship Details

Relationship with Reporting Institution If others please specify

Is relationship with the suspect active Relationship Termination Date

Transaction Capacity If others please specify

Business Relationship with Suspect

Figure 20. Marking Primary Suspect

8. Click **OK**. The application refreshes and displays the changes made in the Suspect Details container with the suspect marked as Primary.

Note:

1. If you click **Save** while marking a primary suspect when there is a primary suspect already existing for a report, the application displays the following message: *One suspect has already been identified as primary. Please uncheck it to identify a new primary suspect.*
2. In Suspect Information tab if you click **Validate** without identifying a primary suspect, the application displays the following message: *Primary suspect information is not available. One primary suspect should be identified to file report.* If primary suspect has been identified the application must proceed with mandatory field check only for the suspect information marked as primary.
3. If you click **Validate** with missing information in the personal details section of suspect details container of the primary suspect, the application displays the following message: *One of the identification fields is mandatory for the primary suspect. Please specify either CNIC or NIC or NTN or Other Identification number.*
4. If you click **Validate** with contact information missing in the contact details section of suspect details container of the primary suspect, the application displays the following message: *One of the contact number fields is mandatory for the primary suspect. Please specify either residence phone or office phone or fax or cell number.*
5. If you click **Validate** with address information missing in the contact details section of suspect details container of the primary suspect, the application displays the following message: *One of the address fields is mandatory for the primary suspect. Please specify either Permanent Address or Present Address or Other Address.*

Deleting Suspect Information

To delete suspect information, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Suspects tab. The Suspect Information grid displays.
5. Select the suspect information you want to delete.
6. Click **Delete**. The *Are you sure you want to delete this record message box* displays.
7. Click **OK**. The *Delete Operation Successful* message box displays.
8. Click **OK**. The application refreshes and displays the suspect information grid.

Managing Accounts

The Accounts tab displays the suspicious accounts in relation with the suspicious transaction. This tab allows you to add, delete, or validate the account details. In addition, you can also decide as to which accounts need to be included or excluded in the suspicious transaction report.

The Accounts tab displays the Account information grid which contains a list of accounts related to the suspicious activity. Click on the Account number in the Account Information grid. The Account Details container expands below the Account Information grid. You can modify the account details in the Account Details container.

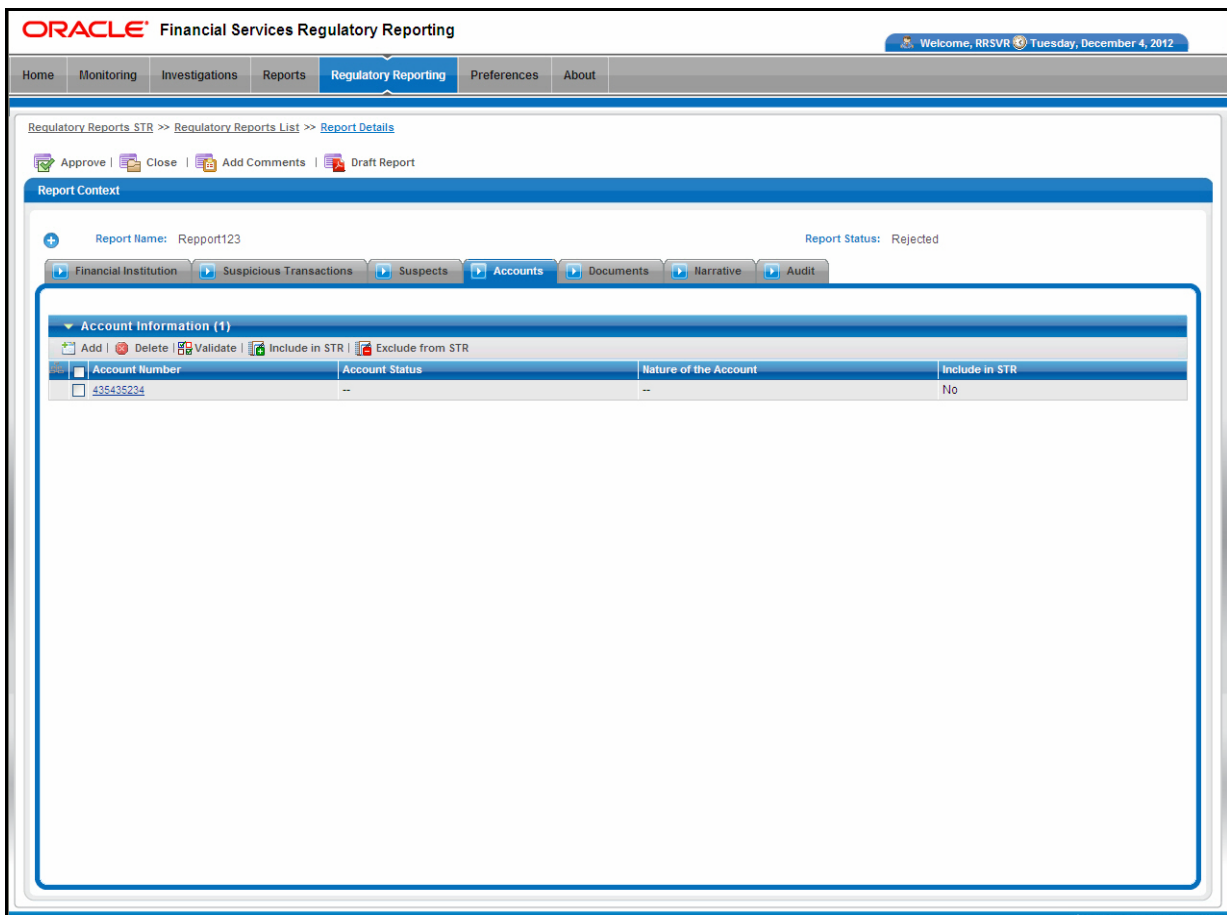


Figure 21. Account Information Tab

Adding Account Information

To add account information, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Account tab. The account details display.
5. Click **Add**. The Account Information pop-up displays.

Figure 22. Account Information Pop-up

The following table explains the fields in Account Information pop-up:

Table 19. Fields in Account Information Pop-up

Field Name	Description
Account Number	Enter the account number.
Account Status	Select the account status from the drop-down list.
Nature of the Account	Select the nature of the account from the drop-down list.
If others please specify	Enter the nature of the account. Note: This field is enabled only if option <i>Other</i> is selected in the <i>Nature of the Account</i> field. The application allows you to select <i>Others</i> option and define the nature of the account of your own. These details can be updated in <i>If Others Please Specify</i> field.

6. Click **Save**. *You have successfully added account XXX displays; where XXX is the account number newly added* message displays.
7. Click **OK**. The application refreshes and displays the newly added account in the Account Information grid.
8. Enter the required information in the Account Details container.

Note: Click on the Account number in the Account information grid. The Account Details container displays. You can add any additional account details in the Account Details container.

The following table explains the fields in the Account Details container:

Table 20. Fields in Account Details Container

Field Name	Description
Account number	Enter the account number of the suspect.
Account Opening Date	Select the suspect account opening date from the calendar.
Account Status	Select the status of the account from the drop-down list.
Nature of Account	Select the nature of the account from the drop-down list.
If Others Please Specify	Enter the nature of the account. Note: This field is enabled only if Others option is selected in the Nature of Account field.
Purpose of Account	Enter the purpose of the account.
Average Monthly Turnover	Enter the average monthly turnover of the suspect account.
Aggregate Debit in last 3 years	Enter the aggregate debit of the suspect account in the past three years.
Aggregate Credit in last 3 years	Enter the aggregate credit of the suspect account in the past three years.
Peek Balance during last 3 years	Enter the peek balance in the suspect account in the past three years.

9. Click **Save** in the Account Details grid. The *Update Operation Successful* message box displays.
10. Click **OK**. The details are saved in the Account Details container.

Deleting Account information

To delete account information, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Account tab. The account details display.
5. Select the account information you want to delete from the Account Information grid.
6. Click **Delete**. The *Are you sure you want to delete this record* message box displays.
7. Click **OK**. The *Delete Operation Successful* message box displays.
8. Click **OK**. The application refreshes and displays the Account Information grid.

Including in STR

You can chose as to which suspect account details must display in the suspicious transaction report. You can choose to include one or more accounts to include in the STR.

To include an account in STR, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Account tab. The account details display.
5. Select the account information you want to include in STR.
6. Click **Include in STR**. *The following accounts will be included in STR XXX* message displays, where XXX is the account number.
7. Click **OK**. The Include in STR column in Account Information grid is updated with option *Yes*.

Note: By default the Include in STR column in Account Information grid is set to *No*.

Excluding from STR

You can exclude only those accounts that have been selected to include in STR.

Note: By default, the accounts are selected to be excluded from STR.

To exclude an account from STR, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Account tab. The account details display.
5. Select the account information you want to exclude from STR
6. Click **Exclude from STR**. *The following accounts will now be excluded from STR XXX* message, where XXX is the account number displays.
7. Click **OK**. The Include in STR column in Account Information grid is updated with option *No*.

Note:

1. If you click **Exclude from STR** without selecting any of the account, the following message box displays: *You clicked on 'Exclude from STR' button but no accounts have been checked for exclusion. Please select atleast an account.*
2. If you click **Include in STR** without selecting any of the account, the following message box displays: *You clicked on 'Include in STR' button but no accounts have been checked for inclusion. Please select at least an account.*
3. If you click **Request for Approval/Approve** button without including any accounts in STR, the application displays the following message: *No accounts have been identified for inclusion in the report. If this is as intended click OK to proceed or click CANCEL to go back and include accounts.*
4. For STR in PDF format, there is a technical constraint that a maximum 8 accounts can be included in STR. If you click **validate** with more than 8 accounts marked for inclusion in STR, the application displays the following message: *You have selected more than eight accounts to include in the STR. The STR PDF form is not able to display more than eight accounts. Please select only eight accounts for inclusion in the STR. Information on additional accounts can be captured in the Other Relevant Information narrative.*

5. For STR in CSV format, there are no restrictions on the number of accounts included in STR.
6. Mandatory field will be verified only for the accounts that have been marked for inclusion in the STR. In case the mandatory fields are missing for included accounts, the application displays the following message on click of validate button: *Account Number is mandatory for all accounts included in STR. Please make sure account number is available for all included accounts.*
7. While adding account information in the account information pop-up, if you click **Save** without entering the account number, the application displays the following message: *Account Number is missing. Please enter an Account Number.*
8. An STR can have 0 or more accounts included in the STR. If there no available accounts in the Account tab and if you click **Validate**, the application displays the following message: *No account information is available to validate.*

Managing Documents

The documents tab allows you to view, add or delete documents. The documents added in the Document tab are sent to the FMU along with the suspicious transaction report. The application checks the respective document types in the PDF and updates the same in CSV.

If you click Zip icon in the RR Search List page available for approved reports, the application will zip the attached documents in the Document tab along with the STR in a zipped folder. You can also save the zip folder in your local machine.

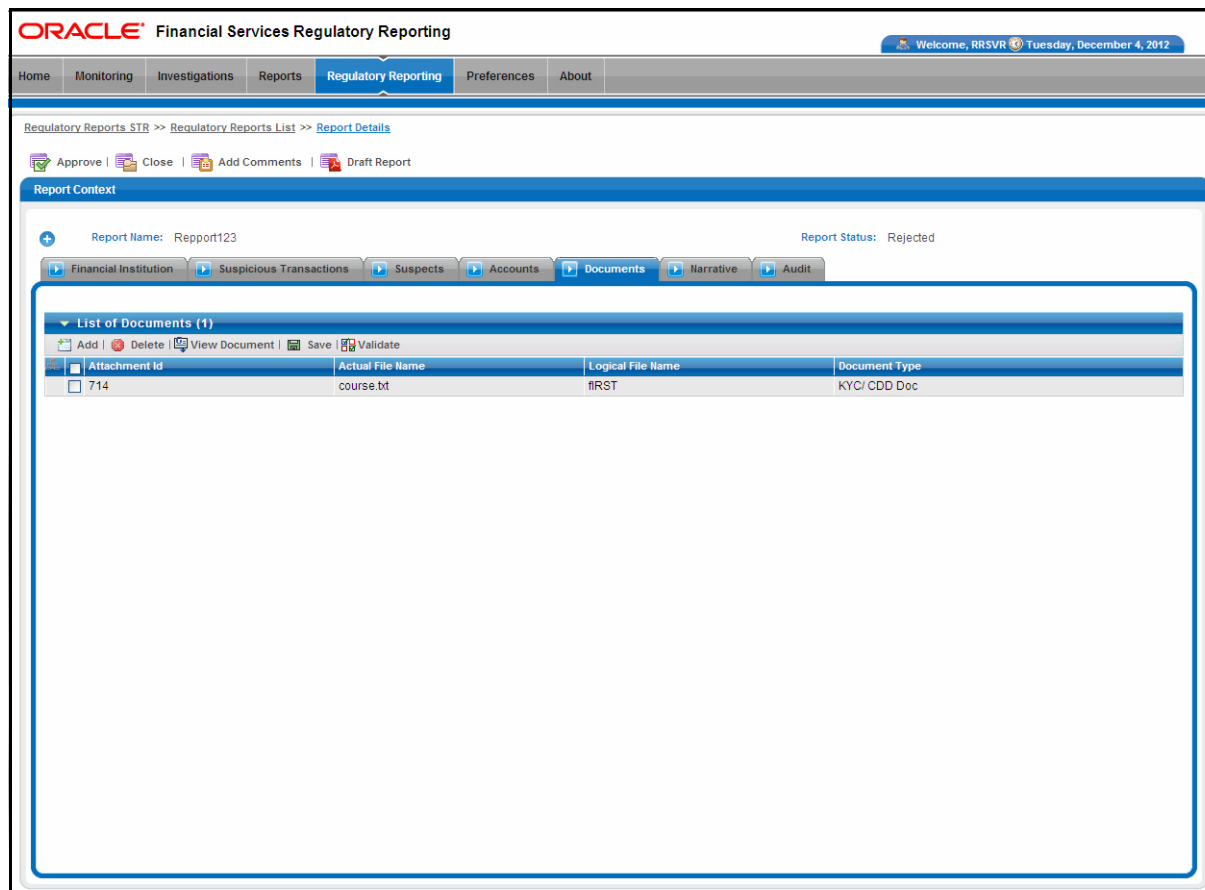


Figure 23. Documents Tab

Adding Documents

To add documents, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Documents tab. The document details display.
5. Click **Add**. The Attach document pop-up displays.

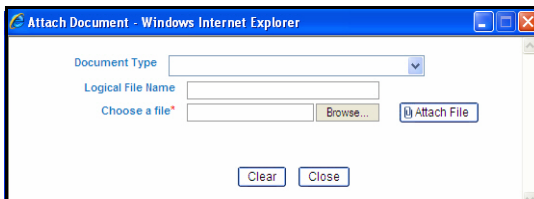


Figure 24. Attach Document pop-up

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

Table 21. Fields in Attach Document pop-up

Field Name	Description
Document Type	Select the document type from the drop-down list.
Logical File Name	Enter the file name of the document to be attached. Note: If the file name is not specified, the application takes the file name by default.
Choose a File	Select the file that needs to be attached. Note: You can attach all the file formats supported by the toolkit.

6. Click **Browse** in Choose a file field. Select the document that must be attached from the local system.
7. Click **Attach file**. The *Add Operation Successful* message displays.
8. Click **OK**. The application refreshes and displays the Attach Document pop-up for attaching a new document.
Note: Click Close to view the newly added document in the List of Documents grid.
Note: The file name of the attachment must be less than 120 characters.

Viewing Documents

To view the documents attached, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Documents tab. The document details display.
5. Select the document you want to view from the List of Documents grid.
6. Click **View Document**. A File Download box displays.
7. Click **Open** in the File Download box to view the document attached. Click **Save** to save a copy of the attached document in your local system or click **Cancel** to close the File Download Box.

Deleting Documents

To delete the documents, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Documents tab. The document details display.
5. Select the document you want to delete.
6. Click **Delete**. The *Are you sure you want to delete this record* message box displays.
7. Click **OK**. The *Delete Operation Successful* message box displays. If you click **Cancel**, the document is not deleted.
8. Click **OK**. The application refreshes and displays the List of Documents grid.

Modifying Logical File Name and Document Type

The save button in the List of Documents grid allows you to modify the logical file name and document type.

To modify the logical file name and document type of the attachment, follow these steps

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Click the Report name in the RR Search List page. The Report Details page displays.
4. Click Documents tab. The document details display.
5. Select the document for which you want to modify the document type and logical file name.
Note: On selection of the row in List of Document grid, the fields logical file name and document type becomes editable.
6. Make the necessary changes in the document type and logical file name field.
7. Click **Save** in List of Document grid. The *Update Operation Successful* message box displays.
8. Click **OK**. The application refreshes and displays the List of Documents grid.

Note:

1. The Logical file name of the attachment must not contain any white spaces. If the file name contains white spaces and if you click Validate button, the application displays the following message: *Attachment's Logical File Name format is incorrect. File name shouldn't contain any whitespaces.*
2. The file name of the document to be attached must not exceed 100 characters.
3. If you click **validate** and if the Logical file name is more than 100 characters, the application displays the following message: *Attachment's Logical File name contains more than 100 characters. File name shouldn't contain more than 100 characters.*
4. If you click **Validate** when there are no documents attached, the application displays the following message: *No attachment information is available to validate.*
5. If you click **Save** when you have deleted the logical file name of the document while editing and is blank, the application displays the following message: *Attachment's Logical File Name is missing. Please enter Logical File Name.*

Managing Narrative

The Narrative tab allows you to add reason for suspicion and other important information about the suspicious transaction.

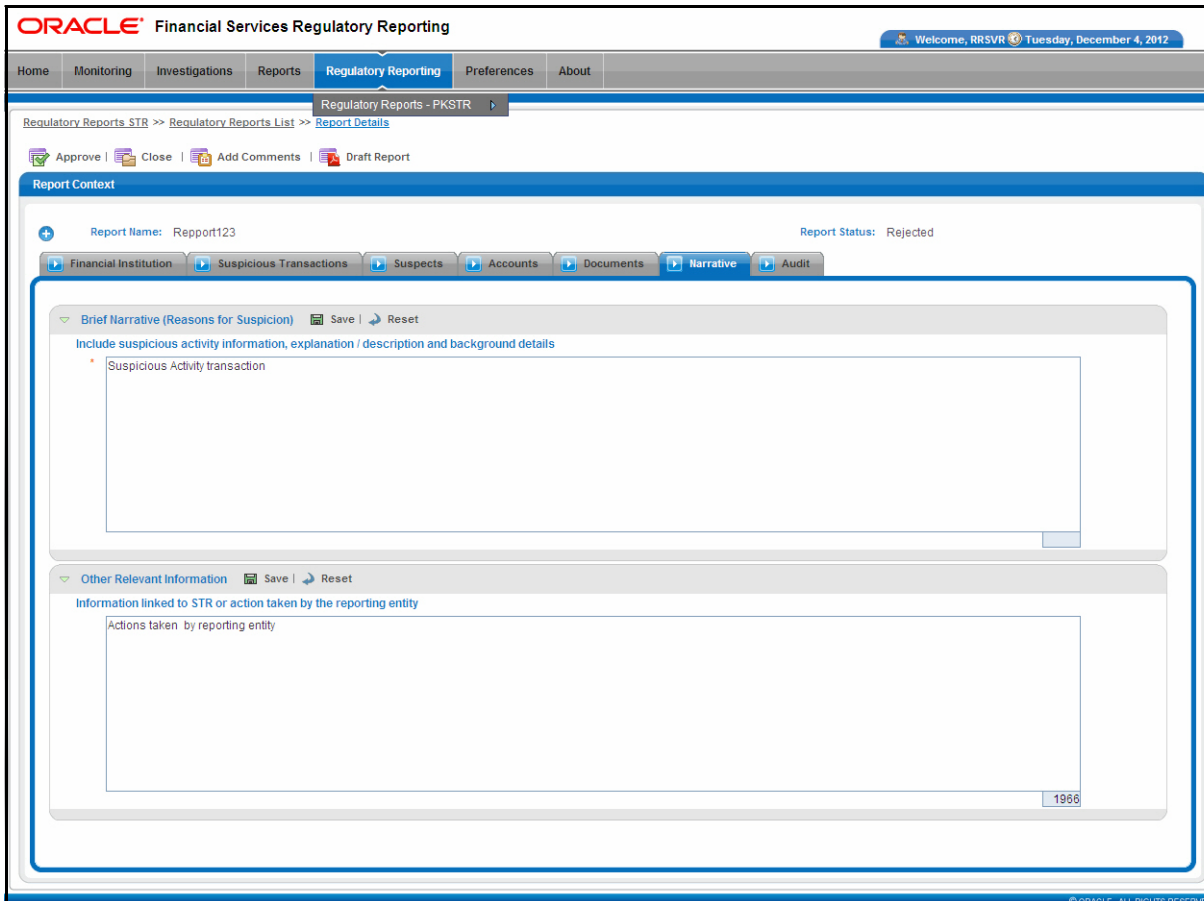


Figure 25. Narrative Tab

The Narrative tab displays the following containers:

- **Brief Narrative (reason for Suspicion):** Enter a brief narrative or description of the suspicious activity along with background details of the suspicious transaction. This field should be attached to the transaction marked as suspicious in CSV format .
- **Other relevant details:** enter any other information linked to STR.

Click **Save** to save the details entered in the Narrative tab. Click **Reset** to reset the values in the Brief Narrative (reason for Suspicion) and Other relevant details fields to last saved values.

If you click on Request for Approval/ Approve button and if Reason for Suspicion is missing in the Narrative tab, the application displays the following message: *Brief Narrative (Reasons for Suspicion) in Narrative Tab is missing. Please enter the Brief Narrative(Reasons for Suspicion).*

Viewing Audit

The Audit tab displays the list of Regulatory report actions and list of user comments.

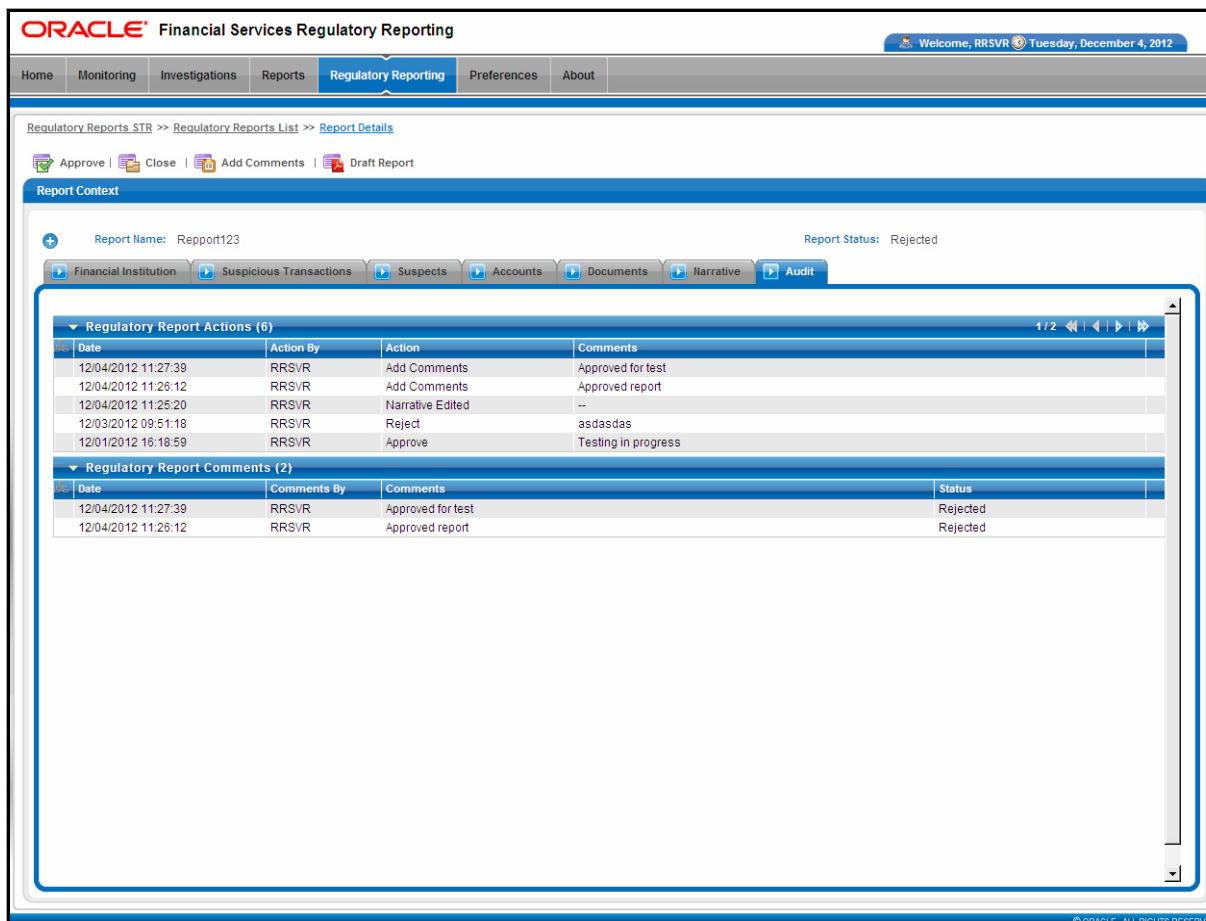


Figure 26. Audit Tab

The Audit tab displays the following grids:

- Regulatory Report Actions
- Regulatory Report Comments

Regulatory Report Actions

Displays the actions taken on the regulatory report. This grid displays the following fields:

Table 22. Fields in Regulatory Report 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	Displays a short description of the action as captured in Audit log table.
Comments	Displays the comments entered by the user while performing the action.

Regulatory Report Comments

Lists all the comments from different users from the Audit log.

The Regulatory Report Comments grid displays the following fields:

Table 23. Fields in Regulatory Report Comments Grid

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

This chapter explains the various actions that can be performed in the Compliance Regulatory Reporting application.

This chapter includes the following topics:

- *Exporting Report Details to Excel*
- *Adding Comments*
- *Viewing Draft Report*
- *Approving Reports*
- *Rejecting Reports*
- *Closing Reports*
- *Marking Reports as Closed*
- *Marking Reports as Filed*
- *Viewing Suspicious Transaction Reports*

Exporting Report Details to Excel

The Regulatory Report List page allows users mapped to the role of Analyst/Supervisor to export the report details into an Excel template. The application allows exporting report details into an excel template irrespective of the status of the report.

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

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Select the report you want to export from the RR Search List page.
4. Click **Export to Excel** in the action bar. The Export properties dialog box displays.

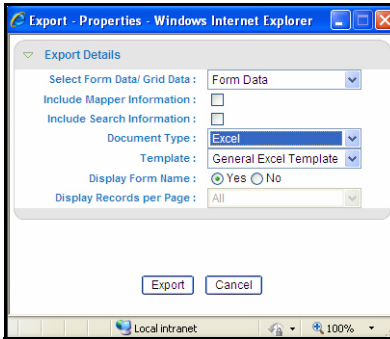


Figure 27. Export properties dialog box

5. Select the required options in the Export properties dialog box.
6. Click **Export** in the Export details container. The File Download box displays.

Click **Cancel** to cancel the Export properties dialog box.

Note: The date formats for CSV may not appear as desired when opened in Excel, but appears as per requirement when opened in Notepad.

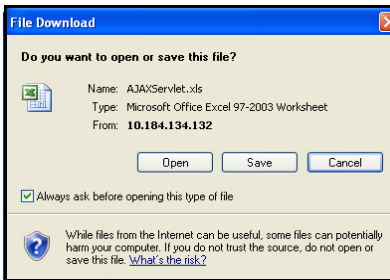


Figure 28. File Download Box

7. Click **Open** to view the report details in an excel template. Click **Save** to save the excel in your local system or click **Cancel** to close the File Download box.

Adding Comments

The Regulatory Report Details page allows users mapped to the role of Analyst/Supervisor to add/tag comments to a report. The application allows adding comments to a report irrespective of the status of the report.

To add comments to a report, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays
3. Select the report you want to add comments for and click on the Report name to view the report details.
4. Click **Add Comments** in the action bar. The Action pop-up displays.

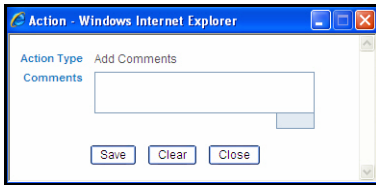


Figure 29. Action pop-up

The following table explains the fields in the Action pop-up.

Table 24. Fields in Action pop-up

Field Name	Description
Action type	Displays the action type.
Comments	Enter the comments you want to add to the report.

5. Enter the comments in the Action pop-up.
6. Click **Save**. The *Add operation Successful* message box displays.
Note: Click **Clear** to clear the data in the Action pop-up and click **Close** to close the Action pop-up.
7. Click **OK**. The application closes the action pop-up and displays the Report Details page.
Note: The Regulatory Report Comments grid in the Audit tab displays the comments added to the report.

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

Viewing Draft Report

The Regulatory Report Details page allows users mapped to the role of Analyst/Supervisor to view the draft report. The application allows viewing the report in PDF irrespective of the status of the report.

To view draft report, follow these steps:

1. Login to the RR application. The RR Home page displays.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays
3. Select the report you want to view the draft report for and click on the Report name to view the report details.
4. Click **Draft Report** in the action bar. The File Download box displays.

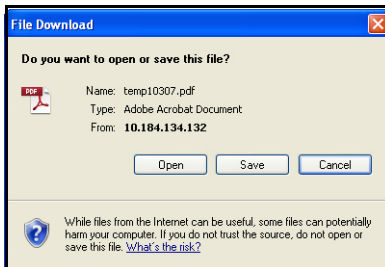


Figure 30. File Download Box

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

Requesting for Approval

The Regulatory Report Details page allows users mapped to the role of Analyst to submit a report for approval by the RR Supervisor. An analyst can initiate request for Approval action, only when the report is in open status.

Note: The application allows users mapped to the role of Analyst to request for approval when all the mandatory fields in the Report Details tabs are complete.

To submit a report for approval, follow these steps:

1. Login to the RR application with RR analyst role.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Select the report you want submit for approval and click on the Report name to view the report details.
4. Click **Request for Approval** in the action bar. The Request for approval action pop-up displays.

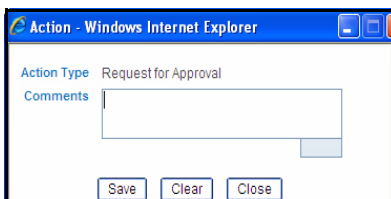


Figure 31. Request for Approval Action Pop-up

5. Enter the comments in the Action pop-up.
6. Click **Save**. The *Add Operation Successful* message box displays.
Note: Click **Clear** to clear the data in the Action pop-up and click **Close** to close the Action pop-up.
7. Click **OK**. The application refreshes and displays the report audit details.

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

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

Approving Reports

The Regulatory Report Details page allows users mapped to the role of Supervisor to approve reports for filing. A Supervisor can approve reports when the report is in approved/rejected status.

Note: The application allows the Supervisor to approve the report only when all the mandatory fields in Report Details tabs are complete.

To approve a report for filing, follow these steps:

1. Login to the RR application with RR Supervisor role.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Select the report you want to approve and click on the Report name to view the report details.
4. Click **Approve** in the action bar. The Approve action pop-up displays.

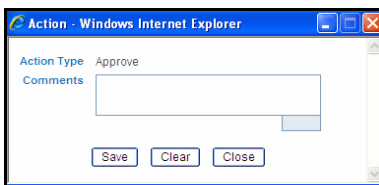


Figure 32. Approve Action Pop-up

5. Enter the comments in the Action pop-up.
6. Click **Save**. The *Update Operation Successful* message box displays.

Note: Click **Clear** to clear the data in the Action pop-up and click **Close** to close the Action pop-up.
7. Click **OK**. The application refreshes and displays the report audit details.

Note: The Regulatory Report Action grid in the Audit tab displays the comments added in the Approve Action Pop-up.

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

Rejecting Reports

The Regulatory Report Details page allows users mapped to the role of Supervisor to reject reports for filing. A Supervisor can reject reports when the report is in approved/Request for approval status.

To reject a report, follow these steps:

1. Login to the RR application with RR Supervisor role.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.

3. Select the report you want to reject and click on the Report name to view the report details.
4. Click **Reject** in the action bar. The Reject action pop-up displays.

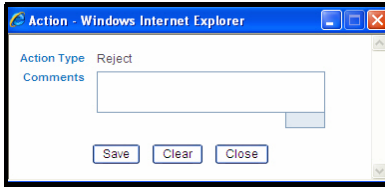


Figure 33. Reject Action Pop-up

5. Enter the comments in the Action pop-up.
6. Click **Save**. The *Add Operation Successful* message box displays.
Note: Click **Clear** to clear the data in the Action pop-up and click **Close** to close the Action pop-up.
7. Click **OK**. The application refreshes and displays the report audit details.
Note: The Regulatory Report Action grid in the Audit tab displays the comments added in the Reject Action Pop-up.

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

Closing Reports

The Regulatory Report Details page allows users mapped to the role of Supervisor to close reports without filing. A Supervisor can close reports when the report is in approved/request for approval/rejected status.

To close a report, follow these steps:

1. Login to the RR application with RR Supervisor role.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Select the report you want to close and click on the Report name to view the report details.
4. Click **Close** in the action bar. The Close action pop-up displays.

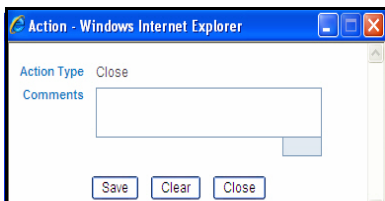


Figure 34. Close Action Pop-up

5. Enter the comments in the Action pop-up.
6. Click **Save**. The *Add Operation Successful* message box displays.
Note: Click **Clear** to clear the data in the Action pop-up and click **Close** to close the Action pop-up.

- Click **OK**. The application refreshes and displays the report audit details.

Note: The Regulatory Report Action grid in the Audit tab displays the comments added in the Close Action Pop-up.

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

Marking Reports as Closed

The Regulatory Report List page allows users mapped to the role of Supervisor to mark the reports as closed without filing. A Supervisor can mark a report as closed when the report is in Open/Request for Approval/Rejected/Approved status.

To mark a report as closed, follow these steps:

- Login to the RR application with RR Supervisor role.
- Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
- Select the report you want to mark as closed.

Note: The report must be in Open/Request for Approval/Rejected/Approved status to mark the report as closed.

- Click **Mark as Closed** in the action bar. The Mark as Closed/Filed pop-up displays.

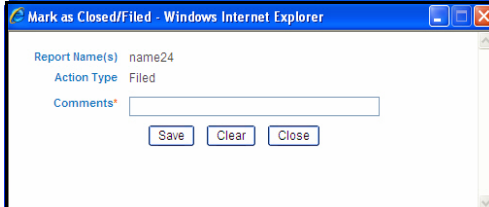


Figure 35. Mark as Closed/Filed pop-up

- Enter the comments in the Mark as Closed/Filed pop-up.
- Click **Save**. The *Reports Successfully Closed* message box displays.

Note: Click **Clear** to clear the data in Mark as Closed/Filed pop-up and click **Close** to close the Mark as Closed/Filed pop-up.

- Click **OK**. The application refreshes and displays the RR Search List page with the report in closed status.

Note: If you try to mark the report as closed when the report is in Filed/Closed status, the following message displays: *None of the selected reports are eligible to be moved to closed status.*

Note: If you click Save, without entering the comments in the Mark as Closed/Filed pop-up, the following message displays: *Mandatory fields are not entered.*

Marking Reports as Filed

The Regulatory Report List page allows users mapped to the role of Supervisor/analyst to mark approved reports as filed. A Supervisor/Analyst can mark the report as filed only when the report is in approved status.

To mark the reports as filed, follow these steps:

1. Login to the RR application with RR Supervisor/Analyst role.
2. Click **Compliance Regulatory Reporting** in the RR Home page. The RR Search List page displays.
3. Select the approved report you want to file.
4. Click **Mark as Files** in the action bar. The Mark as Closed/Filed pop-up displays.

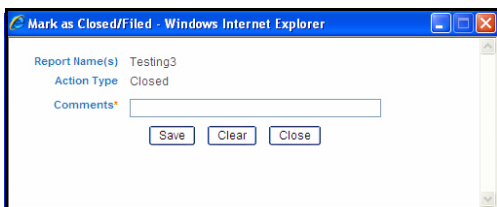


Figure 36. Mark as Closed/Filed pop-up

5. Enter the comments in the Mark as Closed/Filed pop-up.
6. Click **Save**. The *Reports Successfully Filed* message box displays.
Note: Click **Clear** to clear the data in Mark as Closed/Filed pop-up and click **Close** to close the Mark as Closed/Filed pop-up.
7. Click **OK**. The application refreshes and displays the RR Search List page with the report in filed status.
Note: If you try to mark the report as filed when the report is in Open/Request For Approval/Filed/Closed/Rejected status, the following message displays: None of the selected reports are eligible to be moved to filed status.

Note: If you click Save, without entering the comments in the Mark as Closed/Filed pop-up, the following message displays: *Mandatory fields are not entered.*

Viewing Suspicious Transaction Reports

The application supports generating STR in the following two formats:

- PDF
- CSV

Note: For more information on configuring the application to generate the STR in either PDF or CSV format, refer *Oracle Financial Services Compliance Regulatory Reporting Administration Guide PK STR*.

Once the reports are marked as filed or when the report is in approved status, an STR is generated. The STR generated can be viewed in the RR Search List page. The Report column in the RR Search List page displays the STR generated. You can view the STR details by clicking on or icon in the Report column. The Zip file icon in the RR Search List page contains zipped folder containing the generated STR and the documents attached to the report in

the Documents tab. You can also save the zipped folder containing the e-file and the documents attached in your local system.

Note: The PDF icon displays in Report column in the RR Search List page if the STR output is in PDF format and icon displays when the STR is in CSV format.

The recommended date format for STR of CSV format is DD-MON-YYYY. If you open the STR in CSV, the date format in CSV may vary from the format recommended by FMU. But, if you open the CSV file in Notepad, the correct date format as specified by FMU displays. The following table explains the differences between STR of PDF and CSV format.

Table 25. Differences in PDF and CSV Format

S No	Field Name	Tab/Page Details	CSV Format	PDF format
1	Report column	RR Search List page	Displays the icon in the Report column and opens the final report in CSV format.	Displays the icon in the Report column and opens the final report in PDF format.
2	Report Reference Number field	Suspicious Transaction Details	This field is mandatory for CSV STR and is displayed in the UI.	This field is not available in the UI, if the STR format is PDF.
3	E File Suspicious Transaction field	Suspicious Transaction grid	This column is visible in the UI, if the STR format is CSV.	This column is not available in the UI, if the STR format is PDF.
4	Type of Filing field	Suspicious Transaction details, Create New report	The Type of filing dropdown lists the following options if the STR format is CSV: <ul style="list-style-type: none"> ● Initial - INI ● Corrected - COR 	The Type of filing dropdown lists the following options if the STR format is PDF: <ul style="list-style-type: none"> ● Initial - INI ● Corrected - COR ● Supplemental - SUP
5	Suspicious Transaction Currency	Suspicious Transaction Details	This currency is attached to the transaction identified as E File Suspicious Transaction.	This field is related to Total Amount Involved (field 45) in STR form.

Table 25. Differences in PDF and CSV Format

S No	Field Name	Tab/Page Details	CSV Format	PDF format
6	Transaction Date	Suspicious Transaction Grid	CSV will display the field as in the grid, one per transaction.	The PDF populates all the transaction dates from the grid as in Transaction Date (field 44). Multiple dates are comma separated.
7	Number of accounts	Account Info	No restriction on the number of accounts that can be included in the STR.	The application supports max of eight accounts that can be included in STR.

This chapter provides information on mapping the security attributes for each user role.

This chapter includes the following topics:

- *About User Setup*
- *Viewing Security Attribute Mapping*
- *Adding Security Attribute Mapping*
- *Deleting Security Attribute Mapping*

About User Setup

This section shows how to map and maintain the security attributes for each user role. Security Attributes are configured for an installation by the System Administrator. These security attribute can then be mapped to users. Attributes of generated reports are based on the Alert or Case for which the report is generated. Users can access reports based on the Security Attributes mapped to each user and report.

This is available for the Admin role only.

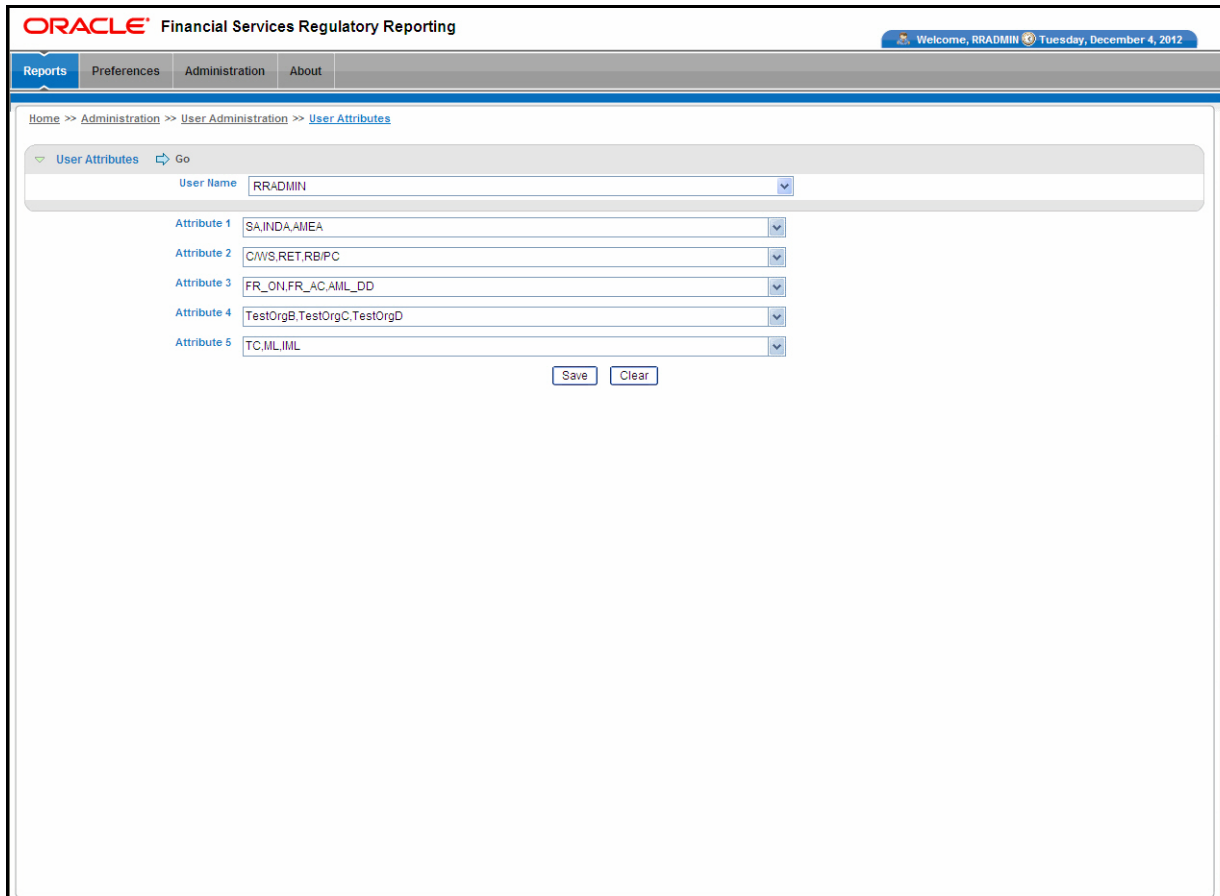


Figure 37. User Administration

Viewing Security Attribute Mapping

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

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

Adding Security Attribute Mapping

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

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

Deleting Security Attribute Mapping

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

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

