

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

*Release 8.0.7.0.0*  
*November 2019*





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Compliance Regulatory Reporting  
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**User Guide**

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*November 2019*

Part Number: E86130-02

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Second Edition (November 2019)

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# *Revision History*

The following table describes the revision history of the Canada Suspicious Transaction Report User Guide.

**Table 1. Revision History**

<b>Date</b>	<b>Edition</b>	<b>Description</b>
November 2019	The second edition of 8.0.7.0.0	Introduced the following features: <ul style="list-style-type: none"><li>● Splitting reports</li><li>● Adding Default Disposition</li><li>● Reassigning reports</li><li>● Assigning reports</li></ul>
July 2019	The first edition of 8.0.7.0.0	Created the Guide.

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## Revision History

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# About This Guide

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

This chapter discusses the following topics:

- [Who Should Use This Guide](#)
- [How this Guide is Organized](#)
- [Where to Find More Information](#)
- [Conventions Used in this Guide](#)

## Who Should Use This Guide

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

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

## How this Guide is Organized

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

- *Chapter 1, About Compliance Regulatory Reporting*, provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application.
- *Chapter 2, Getting Started*, explains the steps to log in to the Oracle Financial Services Compliance Regulatory Reporting application and provides a brief overview of the various users and their roles in the Compliance Regulatory Reporting application.
- *Chapter 3, Creating Reports*, describes how to create reports in CRR and ECM applications.
- *Chapter 4, Searching Reports*, explains various search options available in CRR.
- *Chapter 5, Submitting Reports*, guides step-by-step instructions to submit reports.
- *Chapter 6, Acting on Reports*, explains how to take various actions on reports.
- *Chapter 7, Filing Regulatory Reports*, describes the process of filing the regulatory reports to the Regulatory Authorities and completing the STR process.

## Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*: This guide explains the structure of the entities in the CRR data model and provides in-depth information to manage the data in the Compliance Regulatory Reporting application.
- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide*: This guide explains how and in what format the source business data is provided to the Compliance Regulatory Reporting application through a web service for the report type.
- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*: This guide provides step-by-step instructions to install the Oracle Financial Services Compliance Regulatory Reporting application on an existing Oracle Financial Services Enterprise Case Management application hosted in the Windows environment.
- *Oracle Financial Services Compliance Regulatory Reporting Release Notes*: This guide provides details about the enhancements made to the features in the Oracle Financial Services Compliance Regulatory Reporting application.
- *Oracle Financial Services Compliance Regulatory Reporting Canada Administration Guide*: This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Compliance Regulatory Reporting application. Also provides information configure and maintain users and static data.

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

## Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

**Table 1. Conventions Used in this Guide**

Convention	Meaning
<i>Italics</i>	<ul style="list-style-type: none"> <li>Names of books, chapters, and sections as references</li> <li>Emphasis</li> </ul>
<b>Bold</b>	<ul style="list-style-type: none"> <li>An object of an action (menu names, field names, options, button names)</li> <li>Commands typed at a prompt</li> <li>User input</li> </ul>
Monospace	<ul style="list-style-type: none"> <li>Directories and subdirectories</li> <li>File names and extensions</li> <li>Process names</li> <li>Code sample, including keywords and variables</li> </ul>
Asterisk	Mandatory fields in User Interface
<Variable>	Substitute input value



# *About Compliance Regulatory Reporting*

This chapter provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application and discusses the following topics:

- [Introduction](#)
- [About Oracle Financial Services Compliance Regulatory Reporting Application](#)
- [Compliance Regulatory Reporting Workflow](#)

## ***Introduction***

As a part of regulations and compliances, a Financial Services Organization must perform appropriate analysis and report any suspicious activities that can 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 the country's security, and deterring and detecting criminal activity in the financial system.

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

## ***About Oracle Financial Services Compliance Regulatory Reporting Application***

The Oracle Financial Services Compliance Regulatory Reporting (OFSCRR) application supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. The Compliance Regulatory Reporting application supports the generation of Suspicious Transaction Reports (STR) for various countries. Since there are several differences in requirements for paper-based formats versus electronic formats, between different geographic regions, and the data elements that are required on these STRs, the approach to satisfy the end goal is to provide a Compliance Regulatory Reporting framework that is configured to support paper-based and electronic formats for different geographic regions and to generate and file different types of reports.

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

Users mapped to appropriate roles can update the report information and submit the report details for approval to the Supervisor. The Supervisor can approve, rework, cancel the filing, or reject the cancellation request of the report.

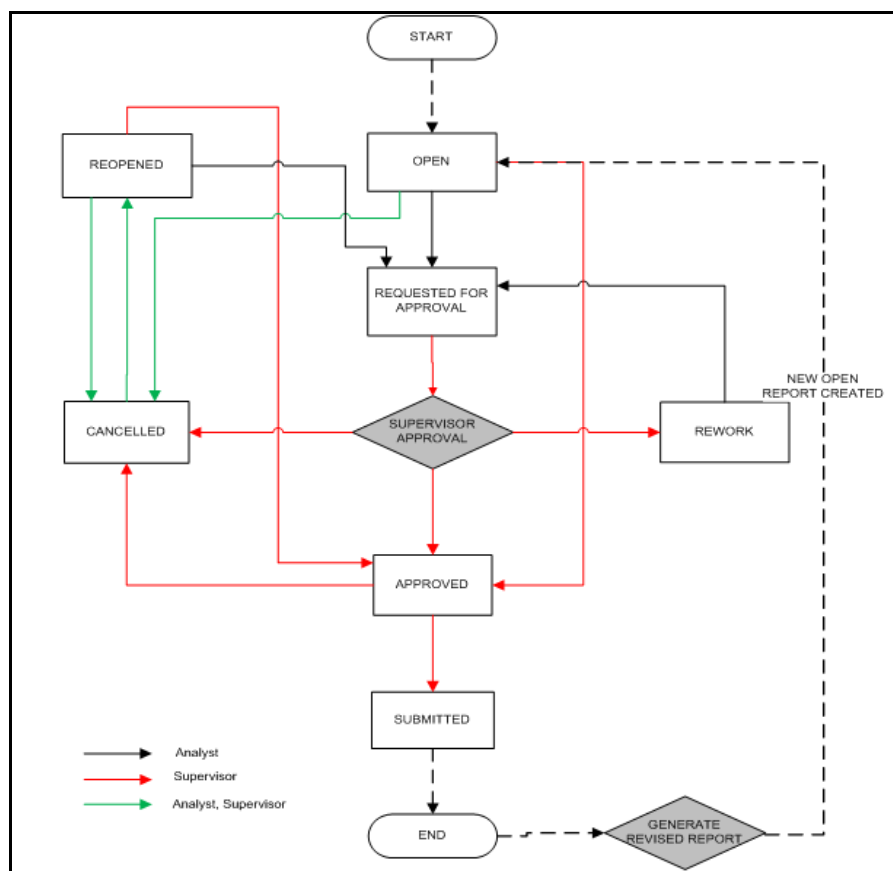
Once the STRs are approved and e-files are generated they can be submitted to the regulators. However, sending the documents to the regulator is the responsibility of the user and out of the scope of the application.

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

For more information on the workflow of the regulatory reports section, see [Table 5](#).

## Compliance Regulatory Reporting Workflow

This section explains the workflow of regulatory reports for users mapped to the role of Analyst and Supervisor. The [Figure 1](#) depicts the workflow involved in the Regulatory Reporting application.



**Figure 1. Compliance Regulatory Reporting workflow for Analyst and Supervisor**

An STR is created in the Compliance Regulatory Reporting application as a result of *Generate CA STR* action from within OFSECM or manually creating a report from OFSCRR. When an STR is created in the Compliance Regulatory Reporting application through OFSECM, the report details are auto-populated with information from the case which triggered the action to generate the STR.

Users mapped to the role of Analyst-I can update the report in *Open* status and request the report details for approval. Users mapped to the role of Analyst-II can generate an E-File, regenerate an E-File and upload acknowledgment. During the edit and review process, the STR is available to view as a draft report.



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

If the report is approved, then an E-File is generated for multiple approved reports. The generated E-File is submitted with the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) E-Filing System. The E-File is validated and an acknowledgment (.asc file) is generated. The acknowledgment file is then uploaded into the OFSCR application, thereby completing the STR process. The status of the report changes to Acknowledged. The Acknowledged status is the final status given to a STR that has been submitted to and processed by FINTRAC.

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

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

Analyst-II or Supervisor can generate an E-File from the approved reports. The status changes to *E-File Generated*. Depending on the information in the E-File, a report can be rejected by analyst or supervisor and the status changes to *Rejected from E-File*.

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

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

For the complete list of actions an Analyst, Auditor, and Supervisor on various report statuses, see [Table 2](#).

For more information on user roles, see [Table 5](#).

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

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

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

**Table 2. Action that can be Performed in Various Statuses**

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

**Table 2. Action that can be Performed in Various Statuses**

Report Status	Possible Actions	Who can Perform	Report Status Changes To
E-File Generated	Reject	Analyst1, Analyst2 and Supervisor	Rejected from E-File
	Submit	Analyst2 and Supervisor	Submitted
Canceled	Reopen	Analyst1, Analyst2, and Supervisor	Reopened
Rejected from E-File	Request for Approval	Analyst1 and Analyst2	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst1, Analyst2, and Supervisor	Canceled
Submitted	Upload acknowledgment	Analyst2 and Supervisor	Acknowledged
Acknowledged	Generate Revised Report	Analyst1, Analyst2, and Supervisor	No change in status
	Regenerate E-File	Analyst2 and Supervisor	E-File Generated

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

**Table 3. Statuses in which Reports are Editable by Users**

Status	Edit Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	
Reopened	X	X	X	
Requested for Approval			X	
Rework	X	X	X	

**Note:** You cannot edit the report details when the report is in **View-Only** mode. You can add comments to an STR in all statuses. For more information, see [Table 4](#).

**Table 4. Statuses in which Reports are Viewed by Users**

Status	View Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	X
Reopened	X	X	X	X
Requested for Approval	X	X	X	X
Approved	X	X	X	X
Rework	X	X	X	X
E-File Generated	X	X	X	X

**Table 4. Statuses in which Reports are Viewed by Users**

Status	View Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
Canceled	X	X	X	X
Rejected from E-File	X	X	X	X
Submitted	X	X	X	X
Acknowledged	X	X	X	X



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

This chapter explains the following topics:

- [User Roles](#)
- [User Access](#)
- [Logging in to Compliance Regulatory Reporting](#)

## User Roles

The following user roles are defined in the OFSCRR application:

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

## User Access

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

**Table 5. User Access**

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

## Logging in to Compliance Regulatory Reporting

The following users can access the OFSCRR application:

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

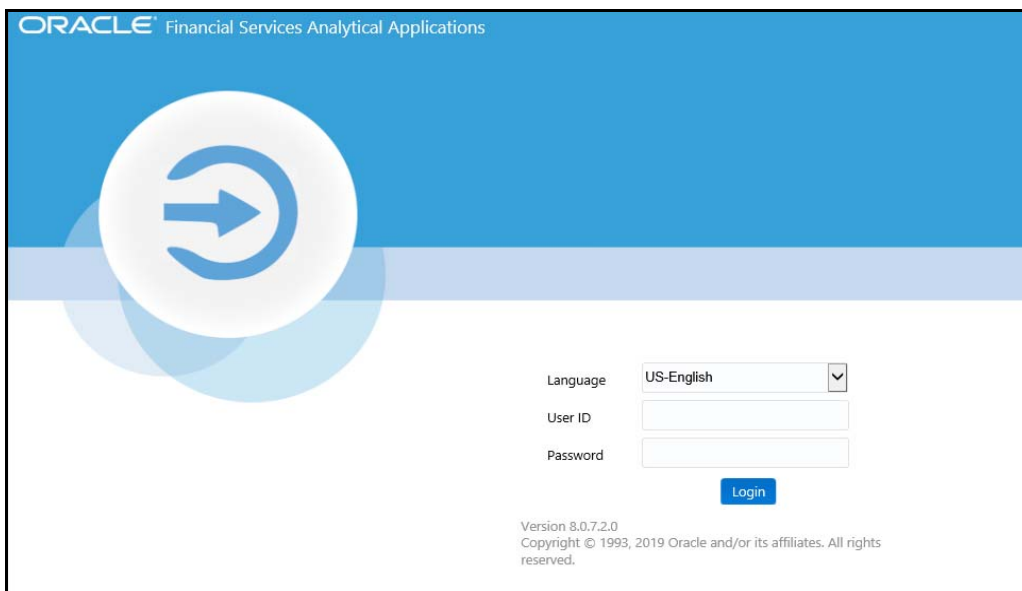
Based on the user roles and access permission, the OFSCRR application displays the following menu options:

- **Search and List:** This menu option allows you to navigate to the Search and List page. From this page, you can use various criteria to search for Regulatory Reports.

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

To access the OFSCRR application, follow these steps:

1. Go to the Oracle Financial Services Analytical Applications (OFSAA) Login page.



**Figure 2. OFSAA Login Page**

2. Select the **Language** for the application.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The OFSAA Home page is displayed.
6. Click **Financial Services Regulatory Reporting**.
7. Go to the Navigation List. Click the **Compliance Regulatory Reporting** menu.
8. Hover over **Canada STR**, and click **Search and List**. The Regulatory Reporting Search and List page opens.

## Logging in to Compliance Regulatory Reporting Chapter 2—Getting Started

Regulatory Reporting >> Canada STR >> Search and List ? Help

Search

Report Number:  Report Name:  Report Status:

Type of Report:  Reported Subject Name(s):  Account Number(s):

Created By:  Created Date >=:   Created Date <=:

Jurisdiction:  Due Date >=:   Due Date <=:

Assigned To:

Report #	Report Name	Type of Report	Alert/Case ID	Count of Reported Accounts	Count of Reported Subjects	Created Date	Created By	Due Date	Report Status	Jurisdiction
<a href="#">53631</a>	CA164-112...	New	CA164	--	1	25-11-2019	--	<span style="color: green;">30-11-2019</span>	Open	APAC

Figure 3. CRR Search And List Page



This chapter provides step-by-step instructions to create new reports in the OFSCRR application.

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

This section covers the following topics:

- [Creating STR from OFSECM](#)
- [Creating a New STR from OFSCRR](#)

## Creating STR from OFSECM

When a user with appropriate access permission performs the **Generate CA STR** action on a case from OFSECM, the data is passed to the OFSCRR application through the web service and a new STR is created in OFSCRR.

For more information, see *Taking Resolution Action* section in the [ECM User Guide](#).

## Sending Acknowledgment to OFSECM from OFSCRR

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

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

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

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

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

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

The negative acknowledgment sent to OFSECM contains the following details:

- Case ID
- Acknowledgment Code
  - 1 stand for Invalid User ID

- 2 stands for Mandatory Information Missing
- 3 stands for Format Failure
- 4 stands for System/Application Error
- Error Description

**Note:** If a case fails to successfully complete the Generate CA STR action, then the failure is recorded in the or case audit history.

## Creating a New STR from OFSCRR

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

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

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

1. Navigate to Regulatory Reporting menu, hover over Canada STR and click **Create New Report**. The Create New Report page is displayed.

**Figure 4. Create a New Report**

2. Enter the required information in the fields.

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

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

**Table 6. Creating a New Report**

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

**Table 6. Creating a New Report**

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

3. Click **Save**. The confirmation message is displayed.
4. Click **OK**. The Report Details page is displayed.

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

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



This chapter provides step-by-step instructions to search reports in Oracle Financial Services Compliance Regulatory Reporting (OFSCRR).

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

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

This section explains the following topics:

- [Searching Reports Using Simple Search](#)
- [Searching Reports Using Advanced Search](#)
- [Searching Reports Using Predefined Views](#)
- [Components of Search Bar](#)
- [Regulatory Reports List](#)
- [Saving Views](#)

## Searching Reports Using Simple Search

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

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

1. Navigate to Regulatory Reporting menu, hover over Canada STR and click **Search and List**. The Search and List page is displayed.

**Figure 5. Searching Reports using Simple Search**

**Note:** By default, the Simple **Search** option is selected.

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, see [Table 8](#).
3. Click **Go**. The relevant search list is displayed.

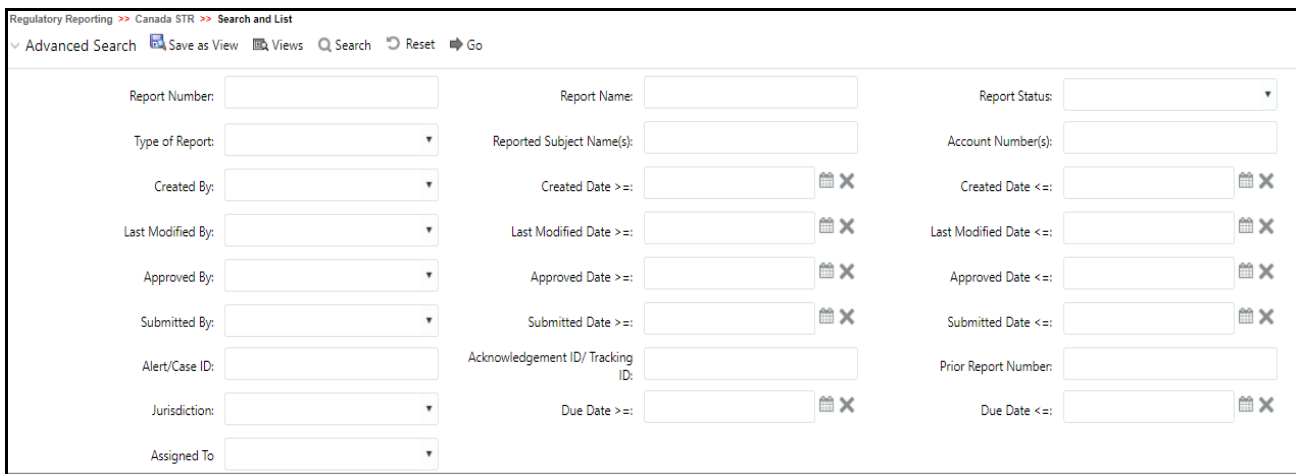
**Note:** If there is no match for the entered search criteria, the application displays the following message: *No Data Found*.

## Searching Reports Using Advanced Search

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

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

1. Navigate to the Regulatory Reporting menu, hover over Canada STR and click **Search and List**. The Search and List page is displayed.



**Figure 6. Advanced Search**

2. Click **Advanced Search** on the **Search** toolbar
3. Enter the search components to filter the reports. For detailed descriptions of search fields, see [Table 8](#).
4. Click **Go**. The relevant search list is displayed.

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

## Searching Reports Using Predefined Views

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

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

1. Navigate to the Regulatory Reporting menu, hover over Canada STR and click **Search and List**. The Search and List page is displayed.

**Note:** By default, the Regulatory Reporting Search and List page displays all the records.

2. Click **Views** from the Search bar.

3. Select any of the pre-defined views from the Views drop-down list. The List page refreshes to show results matching the View criteria.



**Figure 7. Searching Reports using Pre-defined Views**

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

**Table 7. Pre-defined Views**

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

## Components of Search Bar

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

**Table 8. Components of CRR Search Bar**

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



**Table 8. Components of CRR Search Bar**

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

Table 8. Components of CRR Search Bar

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

**Table 8. Components of CRR Search Bar**

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

**Table 8. Components of CRR Search Bar**

Criteria	Description	Search Components of Simple and Advanced Search
Due Date<=	<p>Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date.</p> <p><b>Note:</b> If there is a value provided for Due Date&gt;= and if there is no value provided for Due Date&lt;=, then all the reports which are created after the Due Date are displayed.</p> <p><b>Validations:</b></p> <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Due date &lt;=' less than 'Due date &gt;=', the application displays the following message: <i>Please enter a 'Due Date &lt;=' which is equal to or greater than 'Due Date &gt;='.</i></li> </ol>	Simple Search and Advanced Search
Assigned To	Select the a role to assign from the drop-down list.	Simple Search and Advanced Search

## Regulatory Reports List

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

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

This list displays the following columns:

- Report Number
- Report Name
- Type of Report
- Case ID
- Count of Reported Subjects
- Count of Reported Accounts
- Created Date

- Created By
- Due Date
- Report Status
- Jurisdiction
- Regulatory Report
- Documents
- Approved By
- Approved Date
- Submitted By
- Submitted Date
- Last Modified By
- Last Modified Date
- Prior Report Number
- E-File Number

**Note:**

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

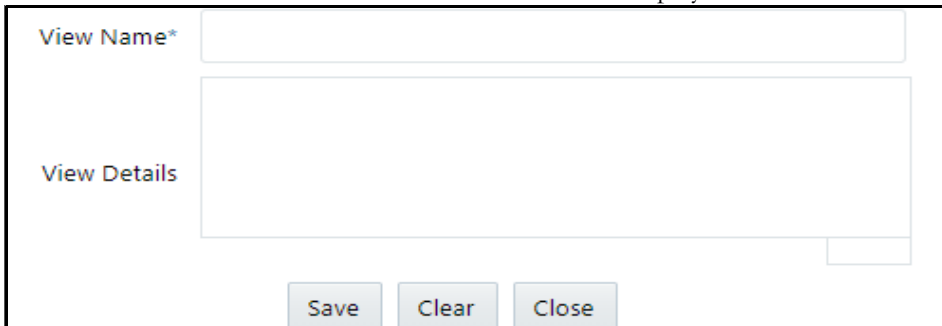
## ***Saving Views***

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

To save a view, follow these steps:

1. Navigate to the Regulatory Reporting menu, hover over Canada STR and click **Search and List**. The Search and List page is displayed.
2. Click **Advanced Search**. The Advanced Search page is displayed.
3. Enter the search criteria you want to save as a view.

4. Click **Save as View**. The *Save as View* window is displayed.



The screenshot shows a window titled "Save as View". At the top left, there is a label "View Name\*" followed by a text input field. Below this, there is a larger text area labeled "View Details". At the bottom of the window, there are three buttons: "Save", "Clear", and "Close".

**Figure 8. Save As View Window**

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

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

This chapter provides step-by-step instructions to update report details and submit reports in the Oracle Financial Services Compliance Regulatory Reporting (OFSCRR).

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

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

The Report Details page enables you to manage the following sections:

- [Report Context](#)
- [Managing Reporting Entity](#)
- [Managing Report Information](#)
- [Managing Narrative and Action](#)
- [Managing Documents](#)
- [Viewing Audit](#)

## Report Context

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

Report Name	report3	Report Status	E-File Generated
Report Number	4949035531	Prior Report Number	--
Alert/Case ID	--	Jurisdiction	CA
Created By	lbsuper	Last Modified By	lbsuper
Created Date	06-11-2019 15:01:15	Last Modified Date	06-11-2019 15:11:52
Assigned To	LB_SUPER	Approved By	lbsuper
		Approved Date	06-11-2019 15:11:20
		E-File Number	4949035684
		Due Date	11-11-2019

**Figure 9. Report Context**

The report context includes the following information:

- Report Name
- Report Status
- Report Number
- Prior Report Number
- E-File Number
- Case ID

- Jurisdiction
- Due Date
- Created By
- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date

## ***Managing Reporting Entity***

This tab refers to the **Reporting Entity** section.

Reporting Entity | Report Information | Narrative and Action | Documents | Audit

Report Indicators Validate Save Reset

Type of Report: New | 12. Attempted Transaction Indicator: Completed

PART A - Information about where the Transaction Took Place

1. Reporting Entity's Identifier Number\*  
12. Reporting Entity's Full Name  
11. Type of Reporting Entity  
1A. Reporting Entity Location Number\*  
Reporting Entity Name  
3. Street Address  
4. City  
5. Province  
6. Postal Code

Whom can FINTRAC Contact About This Report?

7-9. Contact - Person\*  
10. Contact - Telephone Number | 10A. Contact - Telephone Extension Number

**Figure 10. Reporting Entity Tab**

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

- Report Indicators
- Part A: Information about where the Transaction Took Place



## Report Indicators

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

**Table 9. Report Indicators Details**

Fields	Description
Type of Report	This field displays the type of Report. For a newly created Report, this field displays 'New' as default value. For Revised Reports, it can be 'Corrected' or 'Deleted'. <b>Note:</b> This field cannot be edited.
Attempted Transaction Indicator	This field displays the default value of 'Completed'. This field can be edited to 'Attempted'.

**Note:** Ensure that type of indicator is selected before validating transaction in the Transaction tab.

### Part A: Information about where the Transaction Took Place

This section refers to the details specific to the Information about where the Transaction Took Place. It includes the following sections:

- [Information about where the Transaction Took Place](#)
- [Where did the Transaction Take Place](#)
- [Whom can FINTRAC Contact About This Report](#)

#### *Information about where the Transaction Took Place*

This section refers to the details specific to the Information about where the Transaction Took Place. The following table explains the fields in the Information about where the Transaction Took Place section:

**Table 10. Information about where the Transaction Took Place Details**

Fields	Description
Reporting Entity's Identifier Number	Select the Reporting Entity's Identifier Number from the drop-down list.
Reporting Entity's Full Name	This field displays the full name of the Reporting Entity. <b>Note:</b> This field is auto-populated as per the Reporting Entity's Identifier Number selected.
Type of Reporting Entity	This field displays the type of the Reporting Entity. <b>Note:</b> This field is auto-populated as per the Reporting Entity's Identifier Number selected.

#### *Where did the Transaction Take Place*

This section refers to the details specific to the Where did the Transaction Take Place?. The following table explains the fields in the Where did the Transaction Take Place section:

**Table 11. Where did the Transaction Take Place details**

Fields	Description
Reporting Entity's Location Number	Select the Reporting Entity's Location Number from the Location lookup.
Reporting Entity's Name	This field displays the name of the Reporting Entity. <b>Note:</b> This field is auto-populated as per the Reporting Entity's Location Number selected.
Street Address	This field displays the Street Address of the Reporting Entity. <b>Note:</b> This field is auto-populated as per the Reporting Entity's Location Number selected.
City	This field displays the City of the Reporting Entity. <b>Note:</b> This field is auto-populated as per the Reporting Entity's Location Number selected.
Province	This field displays the Province of the Reporting Entity. <b>Note:</b> This field is auto-populated as per the Reporting Entity's Location Number selected.
Postal Code	This field displays the Postal Code of the Reporting Entity. <b>Note:</b> This field is auto-populated as per the Reporting Entity's Location Number selected.

### ***Whom can FINTRAC Contact About This Report***

This section refers to the details specific to the Whom can FINTRAC Contact About This Report?. The following table explains the fields in the Whom can FINTRAC Contact About This Report? section:

**Table 12. Whom can FINTRAC Contact About This Report details**

Fields	Description
Contact - Person	Select the Contact Person's name from the drop-down list.
Contact - Telephone Number	This field displays the Telephone Number of the Contact Person. <b>Note:</b> This field is auto-populated as per the Contact - Person selected.
Contact - Telephone Extension Number	This field displays the Telephone Extension Number of the Contact Person. <b>Note:</b> This field is auto-populated as per the Contact - Person selected.

## Managing Report Information

This tab includes the following sections:

- [Managing Transactions](#)
- [Transaction Details](#)
- [Disposition Details](#)

### Managing Transactions

This section covers the following topics:

- [Splitting Reports](#)
- [Adding Transaction or Disposition](#)
- [Removing Transaction or Disposition](#)
- [Click Default Disposition. The default disposition is added to the transactions.](#)
- [Adding Default Disposition](#)

### Splitting Reports

This option enables you to split reports.

- **Auto-split:** This option enables you to auto-split the report if the report is directly created from ECM based on the following criteria:
  - **Attempted or completed transactions** - Attempted transactions are transactions attempted by the customer but not executed. For example, a customer requested details about a product repeatedly but didn't complete it.
  - **Branch and Legal Entity** - Reports are split based on legal entity and branch mapping. There can be many from a branch to a legal entity. In this scenario, the system selects the legal entities mapped to the branch based on weight as the reporting entity. This enables you to edit.
  - **Transactions** - While splitting a base report, the system ensures that any report will not have more than 99 transactions
- **Manual Split:** This option enables you to split a report manually for the following reasons:
  - If transactions must be reported separately
  - If any new transactions related to the different branch are to be added

**Note:** You cannot split a report if the split report action is already taken.

To split reports, follow these steps:

1. Navigate to the Report Information page.
2. For Auto Split, click **Automatic Split**. The existing reports are split automatically.  
Or, for Manual Split, click **Manual Split**. The Create New Report window is displayed.

**Note:** Automatic Split can be performed only once on the report.

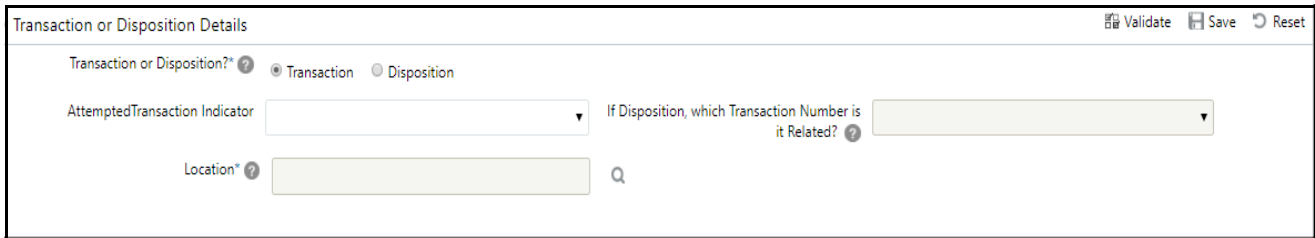
3. Select or Search the Report Number and click **Create New Report**. The confirmation message is displayed.

## Adding Transaction or Disposition

This option enables to add transaction or disposition.

To add transaction or disposition., follow these steps:

1. Navigate to the Report Information page.
2. Click **Add**. The Transaction or Disposition Details section is expanded.



The screenshot shows the 'Transaction or Disposition Details' form. At the top right, there are buttons for 'Validate', 'Save', and 'Reset'. Below the title, there are two radio buttons: 'Transaction' (selected) and 'Disposition'. Underneath, there are three input fields: 'AttemptedTransaction Indicator' (a dropdown menu), 'Location\*' (a text input field with a search icon), and 'If Disposition, which Transaction Number is it Related?' (a dropdown menu).

**Figure 11. Add Transaction**

3. Enter the required fields. For more information on fields, see *Transaction or Disposition Details*.

## Removing Transaction or Disposition

This option enables you to remove transaction or disposition.

To remove a transaction or disposition., follow these steps:

1. Navigate to the Report Information page.
2. Select required transaction or disposition.
3. Click **Remove**. The Transaction or Disposition list is updated.

## Adding Default Disposition

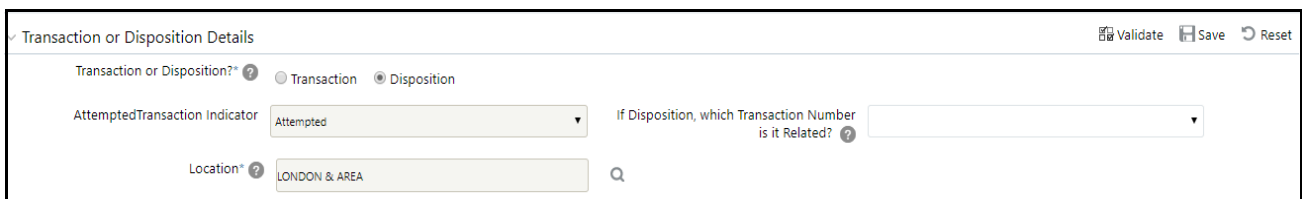
This option enables you to add a dummy default disposition to any transactions which do not have any dispositions.

To add a default disposition to the transactions, follow these steps:

1. Navigate to the Report Information page.
2. Click **Default Disposition**. The default disposition is added to the transactions.

## Transaction or Disposition Details

This section refers to the details specific to Transaction or Disposition Details. The transaction is where the money came from and Disposition is where money is going.



The screenshot shows the 'Transaction or Disposition Details' form. At the top right, there are buttons for 'Validate', 'Save', and 'Reset'. Below the title, there are two radio buttons: 'Transaction' and 'Disposition' (selected). Underneath, there are three input fields: 'AttemptedTransaction Indicator' (a dropdown menu with 'Attempted' selected), 'Location\*' (a text input field with 'LONDON & AREA' entered and a search icon), and 'If Disposition, which Transaction Number is it Related?' (a dropdown menu).

**Figure 12. Transaction or Disposition Details**

The following table explains the fields in the Transaction or Disposition Details section:

**Transaction or Disposition Details**

Fields	Description
Transaction or Disposition?	Select whether Transaction or Disposition. <b>Note:</b> For cases, the default value is Transaction.
If Disposition, which Transaction Number is it Related?	This field is enabled only if the previous field is selected as Disposition'. Select the Transaction Number that is related to the Disposition. <b>Note:</b> This field is mandatory if the type is of Disposition.

Based on whether Transaction or Disposition is selected, the following sections will be displayed:

- Part B1, part D:
  - Will only be displayed if the transaction or disposition field (Radio Button) in Transaction Grid is selected as “Transaction”
- Part B2, Part C, Part E, Part F
  - Will only be displayed if Transaction or disposition field (Radio Button) in Transaction Grid is selected as “Disposition”.
  - Part B2 and Part C will always get displayed when “Disposition” is selected.
  - If “Not Applicable” is selected for "On behalf of indicator?", Part E and Part F will not be displayed.
  - If “On Behalf of an Entity” is selected for "On behalf of indicator?", Only Part E will be displayed.
  - If “On behalf of another Individual” is selected for "On behalf of indicator?", Only Part F will be displayed.

**Transaction Details**

This section refers to the details specific to the Transaction. This section is enabled only if Transactions is selected in the Transaction or Disposition Details section. It consists of the following sections:

- [Part B1 - Information About How the Transaction was Initiated](#)
- [Subject Information](#)
- [Part D - Information about the Individual Conducting the Transaction](#)

**Part B1 - Information About How the Transaction was Initiated**

This section refers to the details specific to the Information About How the Transaction was Initiated. This section is enabled only if the **Transaction** is selected in the *Transaction or Disposition Details* grid.

Figure 13. Report Information Tab - Part B1

The following table explains the fields in the Information About How the Transaction was Initiated section:

Table 13. Part B1- Information About How the Transaction was Initiated Details

Fields	Description
Transaction Number	Enter the Transaction Number.
Night Deposit Indicator	This field indicates if the transaction was made within normal Business hours. Select this button if the transaction was made outside of normal business hours
Date of the Transaction	Select the date when the transaction was made. <b>Note:</b> This field is not mandatory if the Night Deposit Indicator is selected. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Time of the Transaction	Enter the time when the Transaction was made. <b>Note:</b> This field is not mandatory if the Night Deposit Indicator is selected. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Date of Posting	Select the date of Posting if the Transaction was cleared on a different day from when the Transaction was made. <b>Note:</b> If the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted', then this field is disabled.
Transaction Type	Select the type of Transaction from the drop-down list.
Detail of Funds Involved in Initiating the Transaction	Select the type of funds involved in initiating the Transaction. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
If Other, Specify	Enter the type of funds involved in initiating the Transaction if you have selected 'Other' from the previous field. <b>Note:</b> This field is enabled only if 'Other' is selected in Detail of Funds Involved in Initiating the Transaction field.
Amount of Transaction	Enter the amount of Transaction. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Transaction Currency Code	Enter the Currency in which the Transaction was made. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Other institution Name and Number or Other Entity or Person Name	Enter the Name and the Identification Number of another person or entity or any other institution if applicable.

Fields	Description
Other Entity or Person Account Number	Enter the Account Number of another person or entity.
How was the Transaction Conducted?	Select the method the Transaction was made. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
If Other, Specify	Enter the method of Transaction that was made if you have selected 'Other' from the previous field. <b>Note:</b> This field is enabled only if 'Other' is selected in How was the Transaction Conducted? field.
Identification Number of the Person Initially Identifying a Suspicious Transaction	Enter the Identification Number of the person initially identifying the Suspicious Transaction.

### Subject Information

This section refers to the details specific to Subject Information. This section is enabled only if **Transaction** is selected in the *Transaction or Disposition Details* grid. The Subject Information list displays the following columns:

- Record Number
- Person Name
- Entity Client Number
- Transaction Role
- Country of Residence
- Individual's Employer
- Include in Report

**Note:** This list is not editable.

### Part D - Information about the Individual Conducting the Transaction

This section refers to the details specific to the Information About the Individual Conducting the Transaction. This section is enabled only if the **Transaction** is selected in the *Transaction or Disposition Details* grid.

**Figure 14. Report Information Tab - Part D**

The following table explains the fields in the Information About the Individual Conducting the Transaction section:

**Table 14. Part D- Information About the Individual Conducting the Transaction details**

Fields	Description
Include in Report?	Select 'Yes' or 'No' based on whether you want the individual who made the transaction in the Report.
Transaction Role	Select the type of role the person who made the transaction holds.
Surname / Last Name	Enter the Surname / Last Name of the person who made the Transaction.
Given Name / First Name	Enter the Given Name / First Name of the person who made the Transaction.
Other/Middle Name	Enter the other / Middle Name of the person who made the Transaction.
Entity Client Number	Enter the Entity Client Number of the person who made the Transaction.
Street Address	Enter the Street Address of the person who made the Transaction.
City	Enter the City of the person who made the Transaction.
Country	Select the country of the person who made the transaction from the drop-down list.
Province or State	Select the Province or State of the person who made the Transaction from the drop-down list.
Postal or Zip Code	Enter the Postal or Zip Code of the person who made the Transaction.
Country of Residence	Select the Country of Residence of the person who made the Transaction from the drop-down list.
Country of Citizenship	Select the Country of Citizenship of the person who made the Transaction from the drop-down list.
Home Telephone Number	Enter the Home Telephone Number of the person who made the Transaction.
Individual's Identifier	Select the Identification Proof of the person who made the Transaction from the drop-down list.
Home Telephone Number	Enter the Home Telephone Number of the person who made the Transaction.
If Other, Specify	Enter the Identification Proof of the person who made the Transaction if you have selected 'Other' from the previous field. <b>Note:</b> This field is enabled only if 'Other' is selected in the Individual's Identifier field.
Identification Number	Enter the Identification Number of the Identification proof provided by the person who made the Transaction.
Place of Issue - Country	Select the Country where the Identification proof was issued of the person who made the Transaction, from the drop-down list.
Place of Issue - Province or State	Select the Province or State where the Identification proof was issued of the person who made the Transaction, from the drop-down list.
Individual's Date of Birth	Select the Date of Birth of the person who made the Transaction.
Individual's Business Telephone Number	Enter the Business Telephone Number of the person who made the Transaction.
Telephone Extension Number	Enter the Telephone Extension Number of the person who made the Transaction.
Individual's Occupation	Enter the Occupation of the person who made the Transaction.
Individual's Employer	Enter the Employer Name of the person who made the Transaction.
Employer's Street Address	Enter the Street Address of the Employer of the person who made the Transaction.
Employer's City	Enter the City of the Employer of the person who made the Transaction.
Employer's Country	Enter the Country of the Employer of the person who made the Transaction.
Employer's Province or State	Enter the Province or State of the Employer of the person who made the Transaction.
Employer's Postal or Zip Code	Enter the Postal or Zip Code of the Employer of the person who made the Transaction.



Fields	Description
Employer's Business Telephone Number	Enter the Business Telephone Number of the Employer of the person who made the Transaction.
Telephone Extension Number	Enter the Telephone Extension Number of the Employer of the person who made the Transaction.

## Disposition Details

This section refers to the details specific to the Disposition. This section is enabled only if the Disposition is selected in the Transaction or Disposition Details section. It consists of the following sections:

- [Part B2 - Information About How the Transaction was Completed](#)
- [Part C: Account Information](#)
- [Part E: Information about the Entity on whose Behalf the Transaction was Conducted](#)
- [Part F - Information about the Individual on whose Behalf the Transaction was Conducted](#)

### Part B2 - Information About How the Transaction was Completed

This section refers to the details specific to the Information About How the Transaction was Completed. This section is enabled only if the **Disposition** is selected in the *Transaction or Disposition Details* section.

**Figure 15. Report Information Tab - Part B2**

The following table explains the fields in the Information About How the Transaction was Completed section:

**Table 15. Part B2- Information About How the Transaction was Completed details**

Fields	Description
Transaction Number	Enter the Transaction Number.
Transaction Type	Select the type of Transaction from the drop-down list.
Disposition of Funds	Select the method in which the disposition of funds was made. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.

Fields	Description
If Other, Specify	Enter the method in which the disposition of funds was made if you have selected 'Other' from the previous field. <b>Note:</b> This field is enabled only if 'Other' is selected in the Disposition of Funds field.
Life Insurance Policy Number	Enter the Life Insurance Policy Number if you have selected 'Life Insurance Policy Number' from the Disposition of Funds field. <b>Note:</b> This field is enabled only if 'Life Insurance Policy Number' is selected in the Disposition of Funds field.
Time of the Transaction	Enter the time when the Transaction was made. <b>Note:</b> <ul style="list-style-type: none"> <li>• This field is not mandatory if the Night Deposit Indicator is selected.</li> <li>• This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.</li> </ul>
Date of Disposition	Select the date when the disposition of funds was made.
Amount of Disposition	Enter the amount of funds dispositioned. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Disposition Currency Code	Select the Currency in which the Disposition of funds was made. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.
Other institution Name and Number or Other Entity or Person Name	Enter the Name and the Identification Number of another person or entity or any other institution if applicable.
Other Entity or Person Account Number	Enter the Account Number of another person or entity.
On Behalf of Indicator?	Select on whose behalf the Disposition of funds was made. <b>Note:</b> This field is not mandatory if the Attempted Transaction Indicator of the Reporting Entity Tab is selected as 'Attempted'.

### Account Information

This section refers to the details specific to Account Information. This section is enabled only if **Disposition** is selected in the *Transaction or Disposition Details* grid. The Account Information list displays the following columns:

- Record Number
- Account Number
- Type of Account
- Branch or Transit Number where the Account is Held
- Date Opened
- Date Closed
- Include in Report

**Note:** This list is not editable.

### Part C: Account Information

This section refers to the details specific to Account Information. This section is enabled only if the **Disposition** is selected in the *Transaction or Disposition Details* grid.

**Figure 16. Report Information Tab - Part C**

The following table explains the fields in the Account Information section:

**Table 16. Part C- Account Information details**

Fields	Description
Include in Report?	Select 'Yes' or 'No' based on whether you want the account in the Report.
Transaction Role	Select the type of role the account holds.
Branch or Transit Number where the Account is Held	Enter the Branch or Transit Number where the Account is held.
Account Number	Enter the Account Number.
Account Type	Select the type of the Account from the drop-down list.
If Other, Specify	Enter the type of the Account if you have selected 'Other' from the previous field. <b>Note:</b> This field is enabled only if 'Other' is selected in the Account Type field.
Account Currency Code	Select the Currency of the account from the drop-down list.
Status of the Account	Select the Status of the account from the drop-down list.
Date Opened	Select the Date when the account was opened.
Date Closed	Select the Date when the account was closed.

**Part C:** Account Information section also contains another grid as follows:

**Full Name of each Account Holder {The Individual (s) or Entity that Hold the Account}**

This section refers to the details specific to Account Holder. The Account Holder could be an individuals or an entity. The following table explains the fields in this section:

**Table 17. Full Name of Account Holder details**

Fields	Description
Name 1	Enter the name of the Account Holder (individual or entity)
Name 2	Enter the name of the Account Holder (individual or entity)
Name 3	Enter the name of the Account Holder (individual or entity)

**Part E: Information about the Entity on whose Behalf the Transaction was Conducted**

This section refers to the details specific to the entity on whose behalf the transaction was made. This section is enabled only if the **Disposition** is selected in the *Transaction or Disposition Details* grid and **On behalf of an entity** is selected for *On Behalf of Indicator?* in *Part B2*.

**Figure 17. Part E- Information about the Entity on whose Behalf the Transaction was Conducted**

This section consists of the **Entities on whose Behalf the Transaction was Conducted** grid and **Part E- Information about the Entity on whose Behalf the Transaction was Conducted**.

The **Entities on whose Behalf the Transaction was Conducted** grid displays the following columns:

- Record Number
- Name of Corporation, Trust or Other Entity
- Type of Business
- Incorporation Number
- City
- Country
- Include in Report

This list is not editable.

The following table explains the fields in the **Part E- Information about the Entity on whose Behalf the Transaction was Conducted** section:

**Table 18. Part E - Information about the Entity on whose Behalf the Transaction was Conducted details**

Fields	Description
Include in Report?	Select 'Yes' or 'No' based on whether you want the information about the entity on whose behalf the transaction was made in the Report.
Subject ID	Enter the Subject ID of the transaction.
Name of Corporation, Trust or Other Entity	Enter the Name of Corporation, Trust or Other Entity on whose behalf the transaction was made.
Type of Business	Enter the Type of Business of the entity on whose behalf the transaction was made.
Street Address	Enter the Street Address of the entity on whose behalf the transaction was made.
City	Enter the City of the entity on whose behalf the transaction was made.

Fields	Description
Country	Select the Country of the entity on whose behalf the transaction was made, from the drop-down list.
Province or State	Select the Province or State of the entity on whose behalf the transaction was made, from the drop-down list.
Postal or Zip Code	Enter the Postal or Zip Code of the entity on whose behalf the transaction was made.
Business Telephone Number	Enter the Business Telephone Number of the entity on whose behalf the transaction was made.
Telephone Extension Number	Enter the Telephone Extension Number of the entity on whose behalf the transaction was made.
Place of Issue - Country	Select the Country where the Identification proof was issued of the entity on whose behalf the transaction was made, from the drop-down list.
Place of Issue - Province or State	Select the Province or State where the Identification proof was issued of the entity on whose behalf the transaction was made, from the drop-down list.

Part E: Information about the Entity on whose Behalf the Transaction was Conducted section also contains another grid as follows:

**Individual(s) Authorized to Bind the Entity or Act with Respect to the Account (Up to Three)**

This section refers to the details specific to the individuals who are authorized to bind the entity or act with respect to the account. A list of three individuals can be listed here. The following table explains the fields in this section:

**Table 19. Full Name of Account Holder details**

Fields	Description
Name 1	Enter the name of the Individual authorized to bind the entity.
Name 2	Enter the name of the Individual authorized to bind the entity.
Name 3	Enter the name of the Individual authorized to bind the entity.

**Part F - Information about the Individual on whose Behalf the Transaction was Conducted**

This section refers to the details specific to the individual on whose behalf the transaction was made. This section is enabled only if **Disposition** is selected in the *Transaction or Disposition Details* grid and **On behalf of another individual** is selected for *On Behalf of Indicator?* in Part B2.

▼ PART F - Information about the individual on whose behalf the transaction was conducted Save Reset

Include in Report?  Yes  No Subject ID

1. Surname / Last Name  2. Given Name / First Name

3. Other Name/Initial

4. Street Address

5. City  6. Country

7. Province or State  8. Postal or Zip Code

22. Employer's Province or State  23. Postal or Zip Code

24. Employer's Business Telephone Number  24A. Telephone Extension Number

25. Relationship to Individual  25A. Other Relationship

**Figure 18. Part F - Information about the individual on whose behalf the transaction was conducted details**

This section consists of the **Individual Information** grid and **Part F - Information about the individual on whose behalf the transaction was conducted**.

The **Individual Information** grid displays the following columns:

- Record Number
- Name of the Individual
- Subject ID
- ID Number
- Individual's Employer
- Country of Residence
- Individual's Occupation
- Include in Report

**Note:** This list is not editable.

The following table explains the fields in the **Part F - Information about the individual on whose behalf the transaction was conducted** section:

**Table 20. Part F - Information about the individual on whose behalf the transaction was conducted details**

Fields	Description
Include in Report?	Select 'Yes' or 'No' based on whether you want the information about the individual on whose behalf the transaction was made in the Report.
Subject ID	Enter the Subject ID of the transaction.
Surname / Last Name	Enter the Surname / Last Name of the individual on whose behalf the transaction was made.
Given Name / First Name	Enter the Given Name / First Name of the individual on whose behalf the transaction was made.
Other/Middle Name Initial	Enter the other / Middle Name of the individual on whose behalf the transaction was made.

Fields	Description
Street Address	Enter the Street Address of the individual on whose behalf the transaction was made.
City	Enter the City of the individual on whose behalf the transaction was made.
Country	Select the Country of the individual on whose behalf the transaction was made, from the drop-down list.
Province or State	Select the Province or State of the individual on whose behalf the transaction was made, from the drop-down list.
Postal or Zip Code	Enter the Postal or Zip Code of the individual on whose behalf the transaction was made.
Home Telephone Number	Enter the Home Telephone Number of the individual on whose behalf the transaction was made.
Individual's Date of Birth	Select the Date of Birth of the individual on whose behalf the transaction was made.
Business Telephone Number	Enter the Business Telephone Number of the individual on whose behalf the transaction was made.
Telephone Extension Number	Enter the Telephone Extension Number of the individual on whose behalf the transaction was made.
Individual's Identifier	Select the Identification Proof of the individual on whose behalf the transaction was made, from the drop-down list.
If Other, Specify	Enter the Identification Proof of the individual on whose behalf the transaction was made, if you have selected 'Other' from the previous field. <b>Note:</b> This field is enabled only if 'Other' is selected in Individual's Identifier field.
ID Number	Enter the Identification Number of the Identification proof provided by the individual on whose behalf the transaction was made.
Place of Issue of Individual's Identifier- Country	Select the Country where the Identification proof was issued of the individual on whose behalf the transaction was made, from the drop-down list.
Place of Issue of Individual's Identifier- Province or State	Select the Province or State where the Identification proof was issued of the individual on whose behalf the transaction was made, from the drop-down list.
Individual's Occupation	Enter the Occupation of the individual on whose behalf the transaction was made.
Individual's Employer	Enter the Employer Name of the individual on whose behalf the transaction was made.
Employer's Street Address	Enter the Street Address the Employer of the individual on whose behalf the transaction was made.
Employer's City	Enter the City, the Employer of the individual on whose behalf the transaction was made.
Employer's Country	Enter the Country the Employer of the individual on whose behalf the transaction was made.
Employer's Province or State	Enter the Province or State the Employer of the individual on whose behalf the transaction was made.
Postal or Zip Code	Enter the Postal or Zip Code the Employer of the individual on whose behalf the transaction was made.
Employer's Business Telephone Number	Enter the Business Telephone Number of the Employer of the individual on whose behalf the transaction was made.
Telephone Extension Number	Enter the Telephone Extension Number of the Employer of the individual on whose behalf the transaction was made.

Fields	Description
Relationship to Individual	Select the Relationship that the account holder holds with the individual on whose behalf the transaction was made.
If Other, Specify	Enter the Relationship that the account holder holds with the individual on whose behalf the transaction was made, if you have selected 'Other' from the previous field. <b>Note:</b> This field is enabled only if 'Other' is selected in the Relationship to Individual field.

## ***Managing Narrative and Action***

This tab refers to the Suspicious Activity Information and the Action Taken on it. This tab includes the following sections:

- [Part G: Description of Suspicious Activity](#)
- [Part H: Action Taken](#)

**Figure 19. Narrative and Action tab**

### **Part G: Description of Suspicious Activity**

This section refers to the details specific to the Suspicious Activity. Enter the details related to the Suspicious Activity in the field **Description of Suspicious Activity**. This is a mandatory field.

### **Part H: Action Taken**

This section refers to the details specific to any Action Taken on the Suspicious Activity. Enter the details related to the action taken on the Suspicious Activity in the field **Description of Action Taken**.

## ***Managing Documents***

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

- ID
- Name



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

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

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

To attach a document, follow these steps:

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

**Figure 20. Add Document Window**

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

**Table 21. Add Document Fields description**

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

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

## Editing the Document Details

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

To edit the fields, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Documents** tab.

The list of added documents associated with the report is displayed in the Documents grid.

3. Select the checkbox at the beginning of an added document row or click anywhere in the row.

The document record changes into an editable mode.

4. Edit the required field.

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

6. Click **OK**. The document is updated with the latest changes.

## Removing Documents

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

To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Documents** tab.

The list of documents associated with the reports is displayed in the Documents grid.

3. Select the checkbox of the document you want to delete.

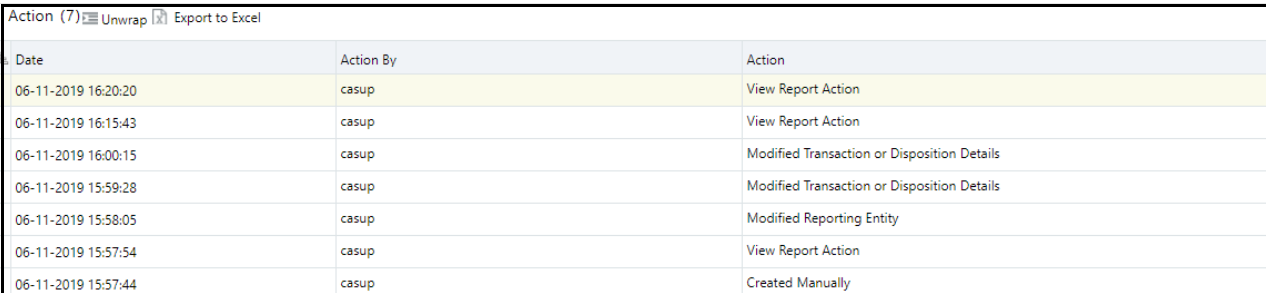
4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record (s)?*

5. Click **OK**. The following message is displayed: *Record Removed Successfully*.

6. Click **OK**. The document is removed from the Documents grid.

## Viewing Audit

The Audit tab displays actions taken on the report.



The screenshot shows a table titled "Action (7)" with columns for Date, Action By, and Action. The table contains seven rows of data, each representing an action taken on the report. The actions include "View Report Action", "Modified Transaction or Disposition Details", "Modified Reporting Entity", and "Created Manually".

Date	Action By	Action
06-11-2019 16:20:20	casup	View Report Action
06-11-2019 16:15:43	casup	View Report Action
06-11-2019 16:00:15	casup	Modified Transaction or Disposition Details
06-11-2019 15:59:28	casup	Modified Transaction or Disposition Details
06-11-2019 15:58:05	casup	Modified Reporting Entity
06-11-2019 15:57:54	casup	View Report Action
06-11-2019 15:57:44	casup	Created Manually

**Figure 21. Audit Tab**

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

OFSCRR captures the following actions in the Audit tab:

- Created From Case
- Created Manually
- Modified Reporting Entity
- Modified Transaction or Disposition Details
- Modified Part B1 in Report Information
- Modified Part B2 in Report Information
- Modified Part C in Report Information
- Modified Part D in Report Information
- Modified Part E in Report Information
- Modified Part F in Report Information
- Modified Narrative and Action
- Added New Document
- Modified Document
- Removed Document
- Edit/ Delete Report
  - Originating Report
  - New Report
- E-File Generation Unsuccessful
- Acknowledgment Details
  - If the report is accepted then "Upload Acknowledgment" (Comments displayed will be "Report is Accepted")
  - If the report is rejected then "Upload Acknowledgment" (Comments displayed will be "Report is Rejected" along with error message)

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

**Table 22. Actions Grid Field Descriptions**

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



This chapter provides step-by-step instructions to actions on reports in the Oracle Financial Services Compliance Regulatory Reporting (OFSCRR) application and includes the following topics:

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

- [Reassigning Reports](#)
- [Requesting the Report for Approval](#)
- [Approving Reports](#)
- [Reworking on Reports](#)
- [Cancel Filing of Reports](#)
- [Reopening Reports](#)
- [Generating Revised Reports](#)
- [Adding Comments to an STR](#)
- [Setting Due Date of an STR](#)
- [Exporting the Report Details to Excel](#)

**Note:**

- To take actions on multiple reports, use the Report Search and List page.
- To take actions on a report, use the Report Search and List page or Report details page.

## Reassigning Reports

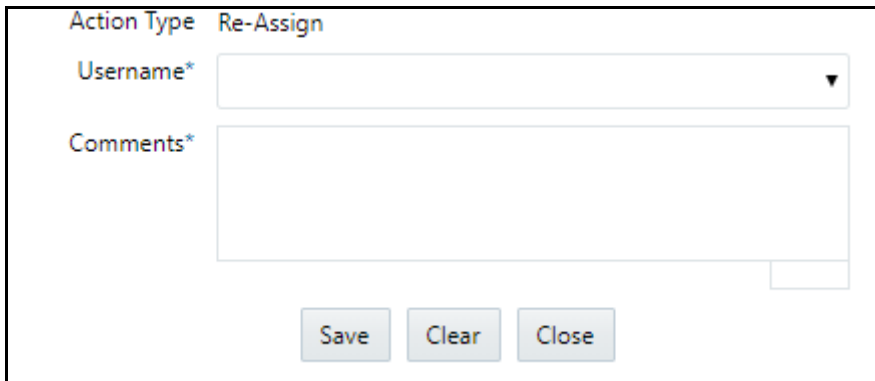
This enables you to reassign the report or reports to other users. You can reassign reports only if the reports are in the following statuses and based on your privilege.

**Table 23. Statuses in which Reports are reassigned by Users**

Status	Reassign Reports		
	Analyst1	Analyst2	Supervisor
Open	X	X	X
Reopened	X	X	X
Requested for Approval		X	X
Rework	X	X	X
Rejected from E-File	X	X	X

To reassign reports, follow these steps:

1. Navigate to the Search and List or the Reports Details page.
2. Select one or more reports from the list or navigate to the Reports Details page.
3. Click **Reassign**. The Reassign window is displayed.



The screenshot shows a window titled "Action Type Re-Assign". Inside the window, there is a "Username\*" dropdown menu, a "Comments\*" text area, and three buttons: "Save", "Clear", and "Close".

**Figure 22. Reassign Window**

4. Select the user name from the drop-down list.
5. Enter relevant comments for reassigning the report.

Click Save. The report is assigned to the respective user.

## ***Requesting the Report for Approval***

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

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

For more information, see [Table 5](#).

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

1. Navigate to the Search and List page or Reports Details page of the report in either *Open*, *Reopen*, or *Rework* status.

2. Click **Request for Approval**.

The screenshot shows a window titled "Request for Approval". At the top left, it says "Action Type name Request for Approval". Below this, there is a text input field labeled "Username\*" and a larger text area labeled "Comments\*". At the bottom of the window, there are three buttons: "Save", "Clear", and "Close".

**Figure 23. Request for Approval Window**

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

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

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

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

## Approving Reports

Authorized users can approve a report when it is in *Open*, *Reopened*, *Requested for Approval*, or *Rework* status. For more information, see [Table 3](#).

To approve an STR, follow these steps:

1. Navigate to the Search and List page or Report Details page of a report in *Open*, *Reopened*, *Requested for Approval*, or *Rework* status

2. Click **Approve**.



**Figure 24. Approve Reports Window**

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

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

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

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

**Note:** The naming convention for final STR is in the format STR\_Case ID\_Approved Date (DD-MM-YYYY\_HH24-MM-SS).doc, if the report is created from OFSECM. You can rename the final STR while saving.

**Note:** When the report is created manually, the naming convention for final STR is in the format STR\_Manual\_Approved Date (DD-MM-YYYY\_HH24-MM-SS).doc.

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

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

## Reworking on Reports

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

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

To send a report for rework, follow these steps:

1. Navigate to the Search and List page or Report Details page.



2. Click **Rework**. The *Rework* window is displayed.

**Figure 25. Rework Window**

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

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

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

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

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

## Cancel Filing of Reports

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

The Report Details page allows authorized users to cancel the reports from being filed. For more information on users who can take cancel filing action, see *Table 5*.

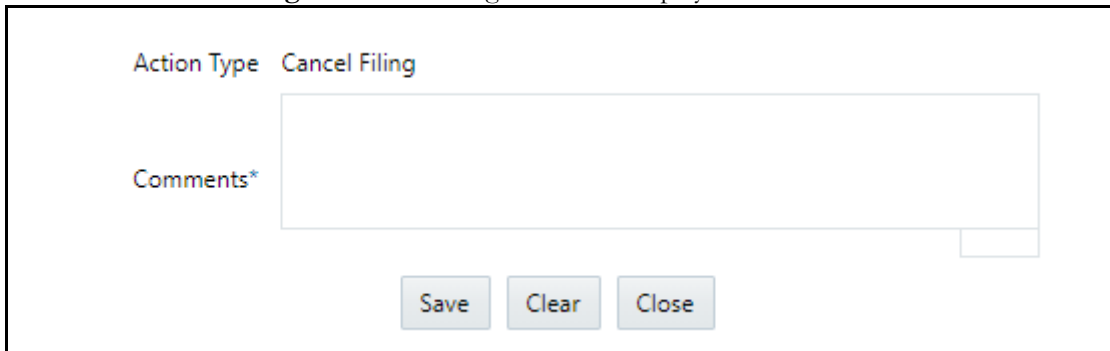
Once the report is canceled, you cannot edit the report details and the report changes into **View Only** mode.

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

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

1. Navigate to the Search and List page or Report Details page.

2. Click **Cancel Filing**. The *Cancel Filing* window is displayed.



**Figure 26. Cancel Filing Window**

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

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

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

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

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

## Reopening Reports

The Search and List page and the Report Details page allows authorized users to initiate reopen action on a report. For more information, see [Table 5](#).

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

1. Navigate to the Search and List page or Report Details page of a report in *Canceled* status.

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

**Figure 27. Reopen Reports Window from Report Details Page**

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

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

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

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

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

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

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

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

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

Report Name	Due Date	Comments
disposition	--	--

**Figure 28. Reopen Reports Window from Search and List Page**

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

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

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

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

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

## Generating Revised Reports

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

**Note:** You can take this action only when the original report is in the *Acknowledged* status.

To generate revised reports, follow these steps:

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

**Figure 29. Generate Revised Reports Window**

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

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

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

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

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

## Adding Comments to an STR

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

To add comments to a report, follow these steps:

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

**Figure 30. Add Comments Window**

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

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

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

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

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

## Setting Due Date of an STR

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

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

**Table 24. Behavior and Attributes for Various Roles**

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

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

**Table 25. Statuses where Analyst and Supervisor can perform Set Due Date action**

Menus	Roles			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	
Reopened	X	X	X	
Requested for Approval	X	X	X	
Rework	X	X	X	
Approved	X	X	X	
Cancelled				

**Table 25. Statuses where Analyst and Supervisor can perform Set Due Date action**

Menus	Roles			
	Analyst1	Analyst2	Supervisor	Auditor
Acknowledged				
Rejected from E-File				
E-File Generated	X	X	X	
Submitted				

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

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

1. Navigate to the Search and List page or Report Details page of a report.
2. Click **Set Due Date**. The *Set Due Date* window is displayed.

**Figure 31. Set Due Date Window**

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

**Note:** This field is a mandatory field.

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

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

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

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

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

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

1. Navigate to the Search and List page.

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

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

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

**Note:** This field is a mandatory field.

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

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

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

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

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

## ***Exporting the Report Details to Excel***

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

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

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



Export Details

Select Form Data/ Grid Data : Form Data ▼

Include Mapper Information :

Include Search Information :

Document Type : Word ▼

Template : General Word Template ▼

Display Form Name :  Yes  No

Export Cancel

**Figure 32. Export Properties Window**

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

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

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

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

The application saves your file to the specified location.

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



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

This chapter discusses the following topics:

- [Overview](#)
- [Using Approved Reports Tab](#)
- [Using E-File Status Tab](#)
- [Using Acknowledgment Tab](#)

## Overview

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

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

This chapter explains the steps involved in filing approved reports.

## Using Approved Reports Tab

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

**Note:** Supervisor, Analyst1 and Analyst2 can reject or close approved reports from this tab.

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

- [Searching Approved Reports](#)
- [Approved Report List](#)
- [Generating E-File](#)
- [Exporting Approved Report Details to Excel](#)

## Searching Approved Reports

To search for approved reports, follow these steps:

1. Login to the OFSCRR application as a Supervisor or Analyst.

- Navigate to the Regulatory Reporting menu, hover over **Regulatory Reporting** and click **Canada STR** and **File Reports**. The File Report page displays.
- Click **Approved Reports** tab. The Advanced Report List page displays all the reports in *Approved* status.

**Figure 33. Approved Reports List**

- To further filter the list of Approved reports, enter criteria in one or more of the provided filters, as described in the following table:

**Table 26. Approved Reports Search Bar Field Descriptions**

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

**Table 26. Approved Reports Search Bar Field Descriptions**

Field Name	Description
Case ID	<p>Enter the Case ID to display approved reports with the selected Case ID. You can perform a multiple Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive.</p> <p>You can enter a maximum of 255 characters in this field.</p> <p><b>Note:</b> Case ID is the identifier that has triggered the creation of a report in the Compliance Regulatory Reporting application.</p>
Approved By	<p>Select the name of the approver to search for approved reports approved by the selected user.</p> <p><b>Note:</b> This field enables searching of reports with multiple options selected with user names displayed as drop-down options.</p>
Approved Date >=	<p>Select the approved date from the calendar to display approved reports having an approved date greater than or equal to the specified date.</p>
Approved Date <=	<p>Select the approved date from the calendar to display approved reports having an approved date lesser than or equal to the specified date.</p> <p><b>Validations:</b></p> <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Approved Date &lt;=' less than 'Approved Date &gt;=', the application displays the following message: <i>Please enter a 'Approved Date &lt;=' which is equal to or greater than Approved Date &gt;=.</i></li> <li>2. If you enter a value in 'Approved Date &lt;=' greater than the system date, the application displays the following message: <i>Please enter a 'Approved Date &lt;=' which is earlier than or equal to sysdate.</i></li> </ol>
Created By	<p>Select the user who has created the approved report from the drop-down list.</p> <p><b>Note:</b> This field enables searching of reports with multiple options selected.</p>
Created Date >=	<p>Select the created date from the calendar to display approved reports having a created date greater than or equal to the specified date.</p> <p><b>Note:</b> You can either perform a range search using 'Created Date &gt;=' and 'Created &lt;=' or use them independently.</p>
Created Date <=	<p>Select the created date from the calendar to display approved reports having a created date lesser than or equal to the specified date.</p> <p><b>Validations:</b></p> <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Created Date &lt;=' less than 'Created Date &gt;=', the application displays the following message: <i>Please enter a 'Created Date &lt;=' which is equal to or greater than 'Created Date &gt;=.</i></li> <li>2. If you enter a value in created date &lt;= greater than the system date, the application displays the following message: <i>Please enter a 'Created Date &lt;=' which is earlier than or equal to sysdate.</i></li> </ol>

Table 26. Approved Reports Search Bar Field Descriptions

Field Name	Description
Due Date >=	Select the due date from the calendar to display approved reports having a due date greater than or equal to the specified date.
Due Date <=	Select the due date from the calendar to display approved reports having a due date lesser than or equal to the specified date.  <b>Note:</b> If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then all the reports which are created after the Due Date are displayed. <b>Validations:</b> <ol style="list-style-type: none"><li>1. While performing a range search, if you enter a value in 'Due date &lt;=' less than 'Due date &gt;=', the application displays the following message: <i>Please enter a 'Due Date &lt;=' which is equal to or greater than 'Due Date &gt;='.</i></li></ol>

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

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

## Approved Report List

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

This displays the following columns:

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

- Last Modified Date
- Prior Report Number

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

## Generating E-File

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

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

To generate an e-file, follow these steps:

1. Login as a Supervisor/Analyst.
2. Navigate to Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.
3. In the **Approved Reports** tab, the Advanced Report List page displays all the reports in *Approved* status. You can also use the Approved Report Search to filter the required reports in *Approved* status.
4. Click. **Generate E-File**. The Generate E-File window is displayed.

**Figure 34. Generate E-File Window**

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

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

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

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

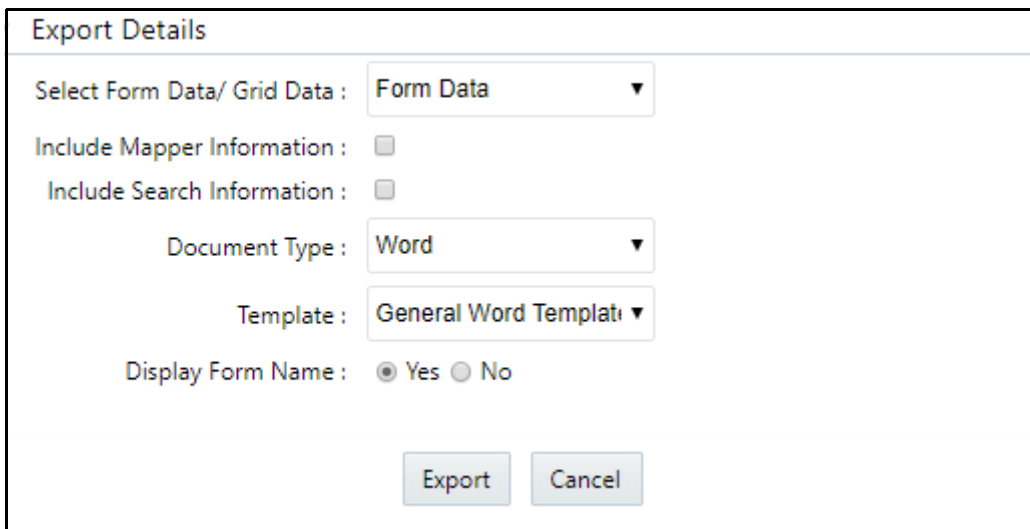
If you try to E File a report which has already been generated/rejected, the application displays the following message: <Report nm1>, <Report nm2>..... Report(s) selected by you has already been actioned to either include in an e-file or rejected from the e-file. So cannot perform this action.

## Exporting Approved Report Details to Excel

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

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

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



The screenshot shows a dialog box titled "Export Details". It has the following fields and controls:

- Select Form Data/ Grid Data :** A dropdown menu with "Form Data" selected.
- Include Mapper Information :** An unchecked checkbox.
- Include Search Information :** An unchecked checkbox.
- Document Type :** A dropdown menu with "Word" selected.
- Template :** A dropdown menu with "General Word Template" selected.
- Display Form Name :** Radio buttons for "Yes" (selected) and "No".
- At the bottom, there are two buttons: "Export" and "Cancel".

**Figure 35. Export Properties Window**

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

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

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

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



The application saves your file to the specified location.

**Note:** Open the file in Microsoft Excel to edit.

## Using E-File Status Tab

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

- [Searching E-File](#)
- [E-File List](#)
- [Exporting E-File Details to Excel](#)
- [Submitting an E-File](#)
- [Uploading E-File Acknowledgment into OFSCRR Application](#)
- [Regenerating E-File](#)
- [Rejecting STR\(s\) from E-File](#)

### Searching E-File

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

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

The screenshot shows the E-File Status Tab interface. At the top, there is an 'E-File Search' section with a 'Reset' button and a 'Go' button. Below this are several search filters: 'E-file Number', 'E-file Status' (dropdown), 'Type of Report' (dropdown), 'E-File Generated By' (dropdown), 'E-File Generated >=' (calendar icon and 'X'), 'E-File Generated <=' (calendar icon and 'X'), 'Report Number', 'Report Name', 'Jurisdiction' (dropdown), 'Account Number', and 'Alert/Case ID'. Below the filters is an 'E-File List (24)' section with buttons for 'Unwrap', 'Export to Excel', 'Submit', 'Regenerate E-File', and 'Upload Acknowledgement'. The table below shows two rows of e-files:

E-File Number	Type of Report	E-File Generated Date	E-File Generated By	Comments	E-File Status	E-File
<a href="#">4949035684</a>	New	06-11-2019	lbsuper	cxzxcz	E-File Generated	
<a href="#">4949035517</a>	New	06-11-2019	lbsuper	sadfsdgsd	E-File Generated	

**Figure 36. E-File Status Tab**

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

**Table 27. E-File Search Bar Field Description**

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

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

## E-File List

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

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

- E-File

### Report List

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

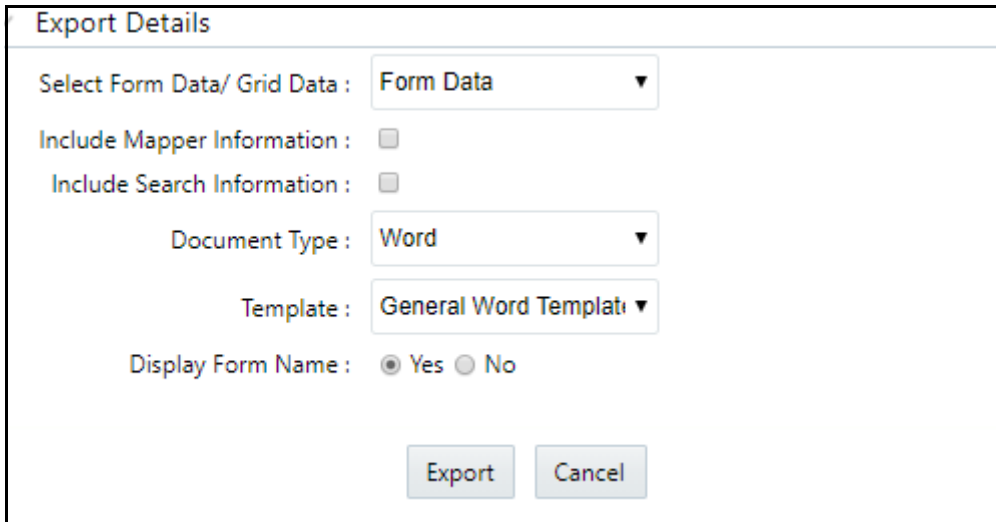
- Report Number
- Report Name
- Type of Report
- Accounts Involved
- Number of Subjects
- Number of Transactions
- Number of Dispositions
- Jurisdiction
- Due Date
- Created By
- Created Date
- Regulatory Report
- Case ID
- Approved By
- Approved Date
- Submitted By
- Submitted Date
- Last Modified By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

### Exporting E-File Details to Excel

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

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

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



**Figure 37. Export Properties Window**

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

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

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

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

The application saves your file to the specified location.

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

## Submitting an E-File

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

1. Login to the OFSCRR application as a Supervisor/ Analyst.
2. Navigate to the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.
3. In the **E-File Status** tab, select a record/ records which are in the *E-File Generated* or *E-File Regenerated* status from the E-File List.
4. Click **Submit**. The Submit E-File window is displayed.

Updated By casup

Check here to apply single comment to all included E-File

<input type="checkbox"/> E-File Number
<input type="checkbox"/> 4949035684

**Figure 38. Submit E-File Details**

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

## Uploading E-File Acknowledgment into OFSCRR Application

After downloading the acknowledgments from FINTRAC, you can update the status of regulatory reports in the OFSCRR application. Once you upload the acknowledgment (.asc) file into the application, the file is then parsed to each report.

To upload the acknowledgment, follow these steps:

1. Login to the OFSCRR application as Supervisor/ Analyst.
2. Navigate to the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.
3. Click the **E-File Status** tab. From the E-File List results, select the record for which you want to upload the acknowledgment. This record should be in *Submitted* status.
4. Click **Upload Acknowledgment**. An STR Acknowledgment window displays.

Action Type Upload Acknowledgement

E-File Number 53913

Logical File Name

Choose a file\*  No file chosen

Comments\*

**Figure 39. Upload Acknowledgment Window**


5. Enter a **Logical File Name** for the acknowledgment.
6. Click **Choose a File** field and upload the respective *.asc* file saved from FINTRAC's E-Filing System.
7. Click **Attach File**. The following message displays: *Add Operation Successful*.
8. Click **OK**.
9. Enter the details in the STR Acknowledgment window as described in the following table:

**Table 28. Acknowledgment Window Field Descriptions**

Field Name	Description
E-File Name	Displays the e-file name. Note: This field is auto-generated
Ack Updated By	Displays the name of the user role who is updating the acknowledgment. Note: This field is auto-generated.
Ack Received On	Select the date from the calendar on which the acknowledgment was received.
Ack Number	Enter the acknowledgment number.
EFile Comments	Enter any comments in this field.

10. Click **Save**. The following message displays: *Update Operation Successful*.
11. Click **OK**. You are navigated back to E-File List results.

**Note:**

- Once you have uploaded the acknowledgment file successfully into the OFSCRR application, the *.asc* file can be viewed and saved from the e-file list results. To view the acknowledgment file, select a record and click . A file download window prompts to **Open** or **Save** the *.asc* file.
- When you try to upload an acknowledgment file for an e-file for which a *.asc* file is already uploaded, the following warning message is displayed: *Acknowledgment has already been uploaded*
- When an upload acknowledgment action does not pass the validation check, the following error message is displayed: *The number of STRs in the acknowledgment file does not match the number of STRs in the selected e-file. No updates will be made. Please verify you have the correct acknowledgment file.*

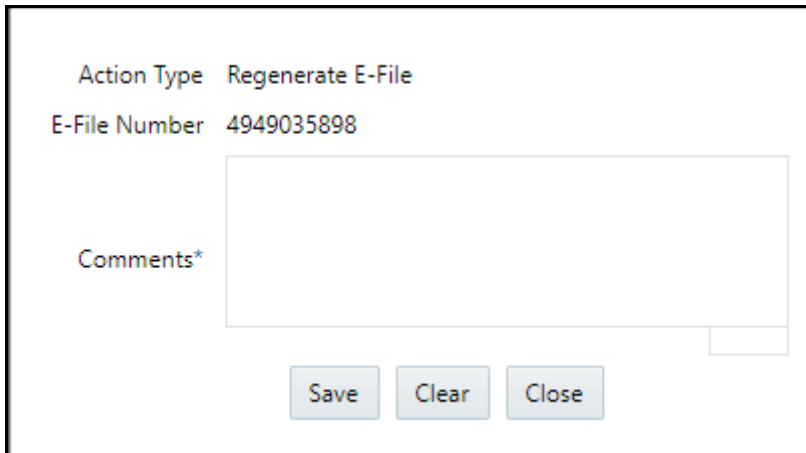
## Regenerating E-File

The File Reports page enables you to regenerate an E-File that is in the *Acknowledged- Rejected* status. If you try to regenerate an E File which is any other status, the application displays the following message: *Regenerate E-File action can only be taken on Acknowledged- Rejected E-File.*

To export regenerate an E-File, follow these steps:

1. Login as a Supervisor/ Analyst.
2. Navigate to the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.
3. In the **E-File Status** tab, the Advanced Report List page displays all the reports in *Approved* status. You can also use the Approved Report Search to filter the required reports in *Approved* status.

4. Select a record which is in the *Acknowledged- Rejected* status. Click **Regenerate E-File**. The Regenerate E-File window is displayed.



The screenshot shows a dialog box titled 'Regenerate E-File'. It contains the following fields and controls:

- Action Type:** Regenerate E-File
- E-File Number:** 4949035898
- Comments\*:** A large text area for entering comments.
- Buttons:** Save, Clear, and Close.

5. Enter the Comments and click **Save**. The following message displays: *E-File Generated Successfully*
6. Click **OK**. The E-File is regenerated with the same E-File Number. The status changes to *E-File Generated*.

## Rejecting STR(s) from E-File

You can reject STR(s) from an e-file at any point of time before completing the STR process. Once an STR report is rejected from an e-file, it is removed from the reports list and the status of the rejected report changes to *Rejected from E-File*.

Only the records which are in *E-File Generated* status can be rejected. For STR(s) that are not rejected, a new e-file is regenerated.

You can correct/amend a rejected report and submit for Supervisor's approval. Once the corrected report is approved, you can follow the workflow of filing a regulatory report all over again as explained earlier.

**Note:** Once an e-file has been uploaded and accepted by FINTRAC, it is advised that you do not reject STRs from the e-file until after the acknowledgment file has been uploaded and parsed. If you reject a report after submission but before processing the acknowledgment files there will be a mismatch in the files referenced in the acknowledgment file and the current e-file. If a report is rejected prior to uploading the acknowledgment into the application, then you have to re-submit the e-file at FINTRAC's E-Filing System to get the latest acknowledgment file.

To reject STRs from an e-file, follow these steps:

1. Login to the OFSCRR application as a Supervisor/Analyst.
2. Navigate to the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.
3. Click the **E-File Status** tab.
4. From E-File List results, click E-File Number of an e-file record that you want to reject. The Reports that are a part of the corresponding E-File are displayed.
5. Click **Reject**.



**Figure 40. E-File Rejected Window**

6. Enter comments in the comments field and click **Save**. The following message displays: *Reports Successfully removed from E-File.*

**Note:** The comments box in the E-File rejected window enables entering a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: *Number of characters exceeded.*

7. Click **OK**. The rejected e-file is removed from the E-File List results.

## Using Acknowledgment Tab

The Acknowledgment tab in the File Reports page enables for the management of the Acknowledgments that have been uploaded. The Acknowledgment tab enables you to perform any of the following actions:

- [Searching Acknowledgment](#)
- [Acknowledgment Receipts List](#)
- [Exporting Acknowledgment Receipt Details to Excel](#)
- [Viewing Batch Acknowledgment and Report Details](#)

### Searching Acknowledgment

The Acknowledgment tab in the File Reports page enables for the management of the Acknowledgments that have been uploaded.

To search for Acknowledgment receipts using the Acknowledgment search bar, follow these steps:

1. Login to the OFSCRR application as a Supervisor/Analyst.
2. Navigate to the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and click **File Reports**. The File Report page displays.
3. Click the **Acknowledgments** tab.





**Figure 41. Acknowledgment Tab**

- To further filter the list of Acknowledgment receipts, enter criteria in one or more of the provided filters, as described in the following table:

**Table 29. Acknowledgment Search Bar Field Description**

Field Name	Description
E-file Number	Enter the E-File Number to search for acknowledgments uploaded.
Acknowledgment Uploaded Date >=	Select the Acknowledgment uploaded date from the calendar to display Acknowledgment receipts uploaded greater or equal to the selected date.
Acknowledgment Uploaded Date <=	Select the Acknowledgment uploaded date from the calendar to display acknowledgment receipts uploaded lesser or equal to this date.

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

## Acknowledgment Receipts List

The *Acknowledgment Receipts List* grid is displayed as per the search criteria in the Acknowledgment page. This displays the following columns:

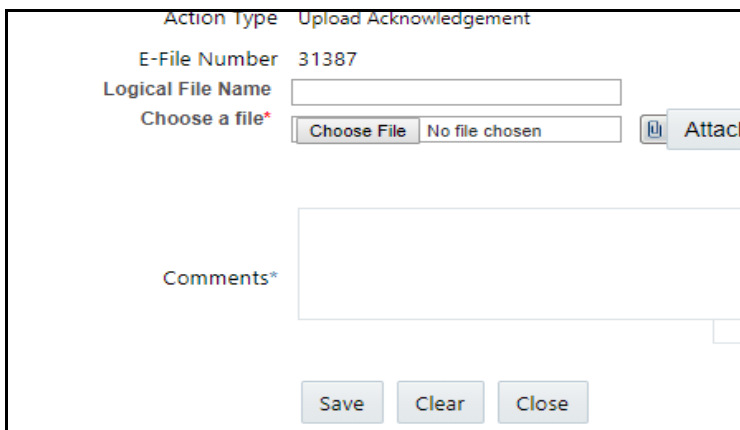
- Record Number
- E-File Number
- Report Type
- Date batch processed by FINTRAC
- Batch Status
- Reports Rejected
- Total reports processed
- Acknowledgment File
- Time batch processed by FINTRAC
- Sub-Headers Accepted
- Duplicate reports ignored
- Reports Deleted
- New reports accepted

## Exporting Acknowledgment Receipt Details to Excel

The File Reports page enables you to export the Acknowledgment Receipt details into an Excel template.

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

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



**Figure 42. Export Properties Window**

All the Acknowledgment Receipts in the Acknowledgment Receipts List are exported into an Excel template.

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

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

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

The application saves your file to the specified location.

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

## Viewing Batch Acknowledgment and Report Details

When you click on an Acknowledgment Receipt record, the Batch Acknowledgment and Report details are displayed. This information is retrieved from parsing an E-File.

The following information is displayed in the Batch Acknowledgment Details section:

- E-File Number
- Report Type
- Batch Date
- Batch Time
- Batch Sequence ID
- Operational Mode
- Date Batch Processed by FINTRAC
- Time Batch Processed by FINTRAC
- Batch Status
- Reports Rejected
- Sub-Headers Accepted
- Duplicate Reports Ignored
- Reports Deleted
- New Reports Accepted
- Total Reports Processed

This section also displays the reports included in the E-File which has received a warning/ error message.

The screenshot shows a web interface with tabs for 'Approved Reports', 'E-file Status', and 'Acknowledgement'. Below the tabs is a search bar with 'Search', 'Go', and 'Reset' buttons. There are input fields for 'E-File Number', 'Acknowledgement Uploaded Date >=:', and 'Acknowledgement Uploaded Date <=:'. Below the search bar, it says 'Acknowledgement Receipts (3)'. There are 'Unwrap' and 'Export to Excel' buttons. The main part of the screenshot is a table with the following columns: Record #, E-File Number, Report Type, Date batch processed by FINTRAC, Batch Status, Reports rejected, Total reports processed, and Acknowledgement File. The table contains three rows of data.

Record #	E-File Number	Report Type	Date batch processed by FINTRAC	Batch Status	Reports rejected	Total reports processed	Acknowledgement File
3	54075	STR	19-11-2019	Accepted	0	1	
1	31387	STR	22-11-2019	Accepted	0	1	
2	31115	STR	22-11-2019	Accepted	0	1	

**Figure 43. Acknowledgment Tab - Report Details**

The following columns are displayed:

- Record Number
- Report Number
- Sub-Header Sequence Number
- Report Sequence Number
- Transaction Sequence Number
- Disposition Sequence Number
- Field Number
- Reject Code
- Error Messages
- Error Status

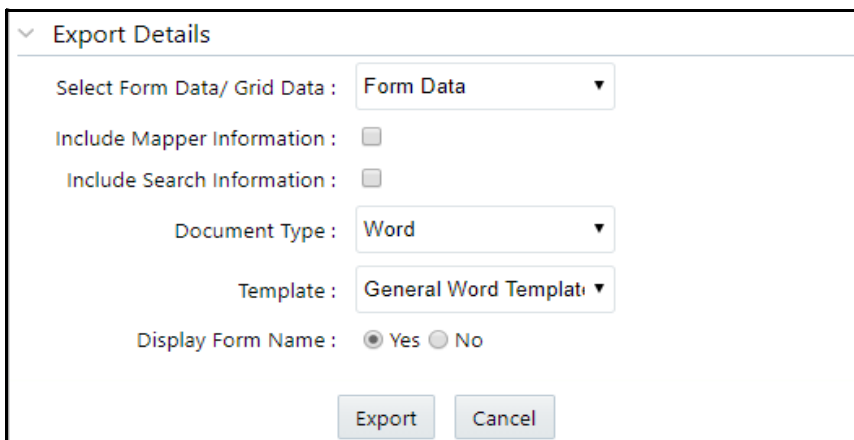
- Comments

### Exporting Report Details to Excel

The File Reports page enables you to export the report list which has received error/ warning messages into an Excel Template.

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

1. Login to the OFSCRR application as Analyst2.
2. Navigate to the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.
3. In the **Acknowledgment** tab, from the Reports List section, select the records that you want to export to Excel. Click **Export to Excel**. The *Export Properties* Window is displayed.



Export Details

Select Form Data/ Grid Data : Form Data ▼

Include Mapper Information :

Include Search Information :

Document Type : Word ▼

Template : General Word Templat ▼

Display Form Name :  Yes  No

Export Cancel

**Figure 44. Export Properties Window**

All the reports in the Reports List are exported into an Excel template.

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

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

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

The application saves your file to the specified location.

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

### Updating Reports in E-File

The Acknowledgment tab enables you to update the reports which have received error/ warning messages. To update the reports, follow these steps:

1. Login to the OFSCRR application as a Supervisor/ Analyst.
2. Navigate to the Regulatory Reporting menu, hover over **Regulatory Reports**, click **Canada STR** and then **File Reports**. The File Reports page displays.
3. In the Acknowledgment tab, from the Reports List section, select the records that you want to update. Click **Mark as Corrected**. The *Mark as Corrected* Window is displayed.

Updated By Canada Analyst2

Check here to apply single comment to all included Errors

Comment

**Mark as Corrected (1)**

<input checked="" type="checkbox"/>	Report ID	Comments
<input checked="" type="checkbox"/>	25889	<input type="text"/>

**Figure 45. Acknowledgment Tab- Mark as Corrected**

4. Enter the reasons and comments if the error/ warning of the record has been corrected in the **Comments** field. This is a mandatory field.
5. Click **Save**. The Error Status changes to *Corrected* in the Report Details list.





