Oracle Financial Services
Compliance Regulatory Reporting
goAML User Guide

Release 8.0.8.0.0
December 2019

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goAML User Guide

Release 8.0.8.0.0
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Revision History

The following table describes the revision history of the goAML User Guide.

Table 1. Revision History

Date	Edition	Description
December 2019	The first edition of 8.0.8.0.0	No updates post the release of the 8.0.7.0.0 version.

Revision History

Contents

About This Guide

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

This chapter discusses the following topics:

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

Who Should Use This Guide

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

- **Analyst**: This user can access goAML regulatory reports, create new reports, edit/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/save the final report.

- **Supervisor**: This user can access goAML 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. 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 reporting workflow.

How this Guide is Organized

The *Oracle Financial Services goAML User Guide* includes the following topics:

- Chapter 1, *About goAML*, provides an overview of the Oracle Financial Services goAML Regulatory Reporting application.

- Chapter 2, *Getting Started*, explains the steps to log in to the Oracle Financial Services goAML Regulatory Reporting application and provides a brief overview of users and their roles in the application.

- Chapter 3, *Managing goAML*, explains how to create, search, analyze, and submit reports.

Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*: This guide explains the structure of the entities in the RR data model and provides in-depth information on managing the data in the goAML 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 goAML Regulatory Reporting application through a web service for the report type.

- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*: This guide provides step-by-step instructions for installing the Oracle Financial Services goAML 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 goAML Regulatory Reporting application.

- *Oracle Financial Services goAML Administration Guide*: This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services goAML Regulatory Reporting application. It also provides information about configuring and maintaining users and static data.

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	● Names of books, chapters, and sections as references ● Emphasis
Bold	● Object of an action (menu names, field names, options, button names) in a step-by-step procedure ● Commands typed at a prompt ● User input
`Monospace`	● Directories and subdirectories ● File names and extensions ● Process names ● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
Asterisk	Mandatory fields in User Interface
<Variable>	Substitute input value

CHAPTER 1

About goAML

This chapter provides an overview of the Oracle Financial Services goAML Regulatory Reporting application. It discusses the following topics:

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

Introduction to Compliance Regulatory Reporting

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

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

About Oracle Financial Services goAML Application

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

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

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

Financial Intelligence Units play a leading role in any anti-money laundering regime as they are generally responsible for receiving, processing, and analyzing reports made by financial institutions or other entities according to the requirements of domestic anti-money laundering laws and regulations. Such reports and other information gathered by FIUs often provide the basis for investigations into money laundering, terrorist financing and other serious offenses. This template allows the banks to generate the final Suspicious Transaction XML Report that are submitted to their regulator via the goAML application.

CHAPTER 2   *Getting Started*

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

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to goAML

User Roles

The following user roles are defined in the goAML application:

- **Analyst**: This user can access regulatory reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel the filing of reports from *Open* and *Reopen* status, reopen canceled reports, and also view/save the final report.
- **Auditor**: This user can view and add comments to the report.
- **Supervisor**: This user can access regulatory reports, create new reports, edit and view report details, and add comments to the report. This user can also approve, rework, submit, and cancel the filing of reports.
- **RR Admin**: This user is responsible for handling configurations required to support the reporting work flow.

User Access

Table 2 lists the tasks that can be permitted to different user roles in the goAML application.

Table 2. User Access

Function	Analyst	Supervisor	Auditor	RR Admin
View Report	x	x	x	
Request for Approval	x			
Approve		x		
Rework		x		
Cancel Filing from *Open* and *Reopen* status	x	x		
Cancel Filing from Requested for Approval and Approved status		x		
Add Report Comments	x	x	x	
View/Save Final Report	x	x	x	
Submit Approved Reports		x		
Reopen Canceled Reports	x	x		
View/Edit Configuration				x
Create a New Report	x	x		

Logging in to goAML

To access the goAML application, follow these steps:

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

   <scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/login.jsp>. The OFSAA Login page is displayed.
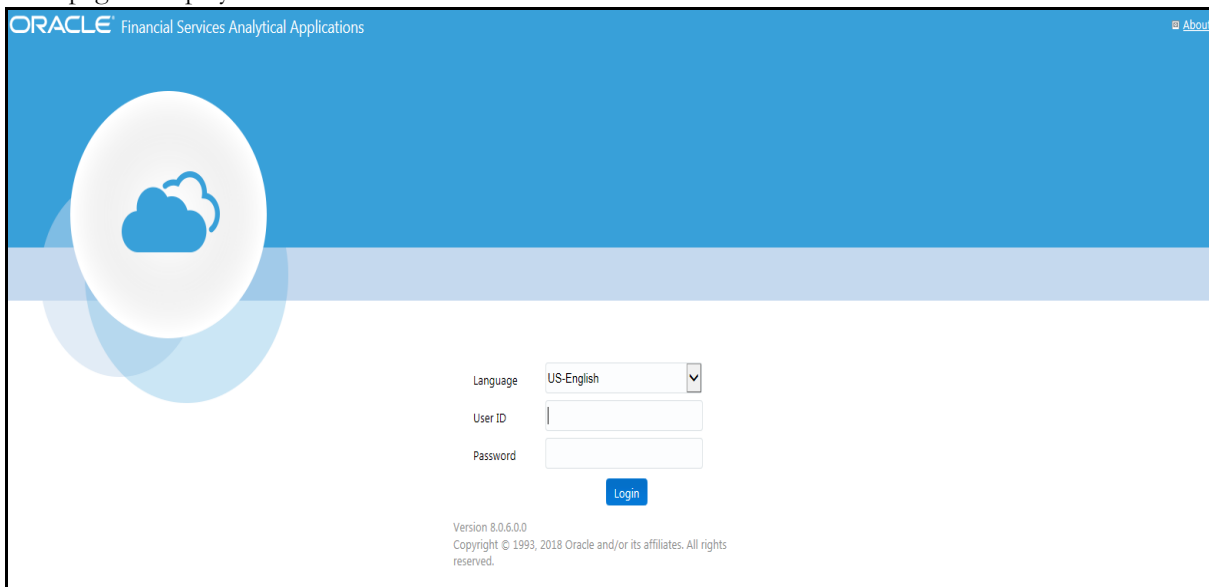
Figure 1. OFSAA login page

2. Select the language from the **Language** drop-down list.

3. Enter your **User ID** and **Password**.

4. Click **Login**. The OFSAA Application page is displayed.

   Note:

   ■   Users mapped to Analyst, Auditor, and Supervisor roles can access the Regulatory Reports menu.

   ■   Users mapped to the RR Admin role can access the Administration menu.
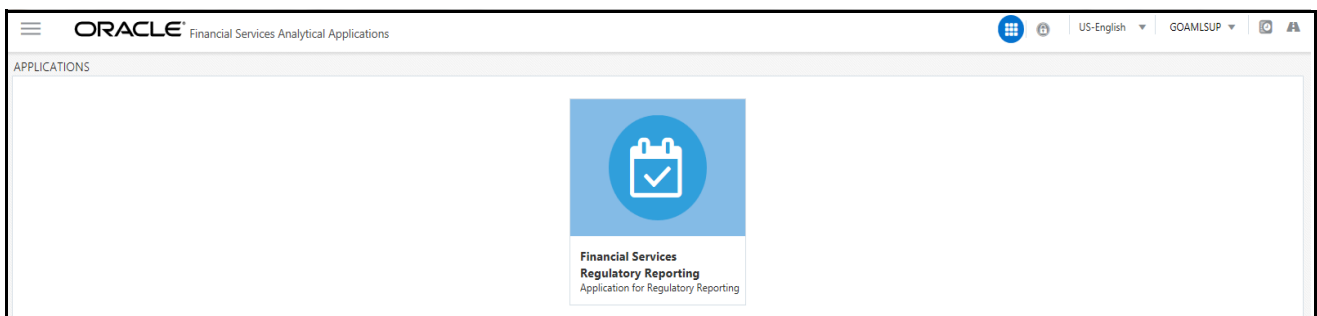
Figure 2. Application Page

5. Click **Financial Services Regulatory Reporting**. On the *Navigation List* Left Hand Side (LHS) menu, click **Compliance Regulatory Reporting** and then click **GoAMLSTR**. The GoAML home page is displayed depending on the user's user role and access permissions.
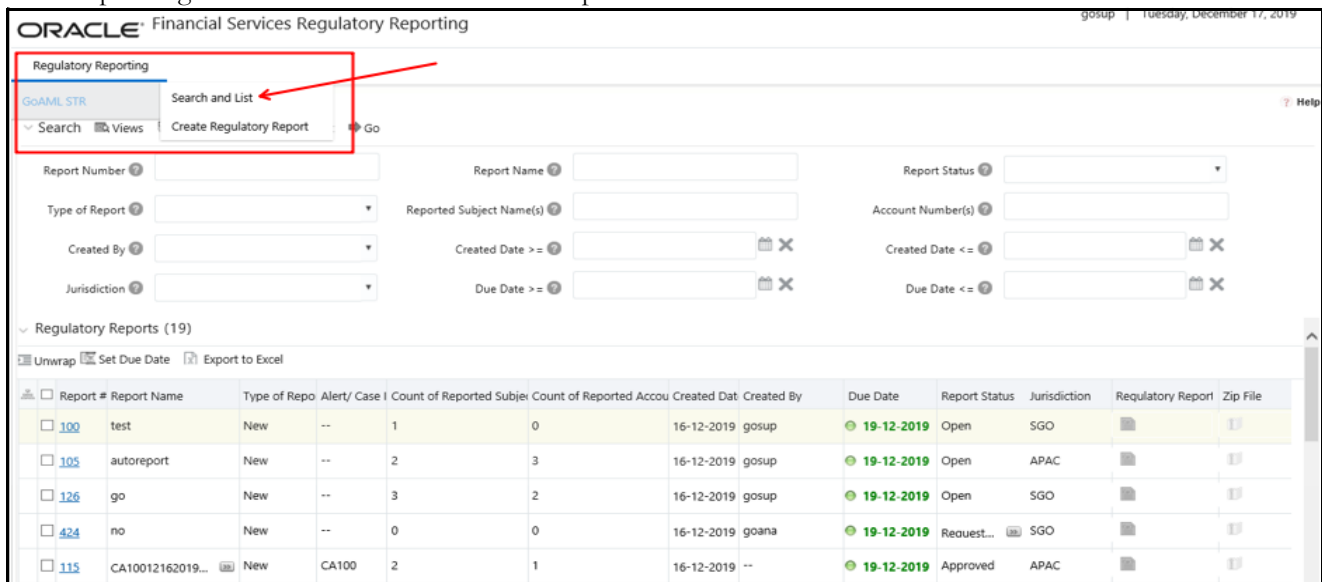
Figure 3. GoAML Search and List Page

6. Hover over **Regulator Reporting** and then click **GoAMLSTR**. Select **Search and List** or **Create Regulatory Report**. By default, the Search and List page is displayed.

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

- ■ **Search and List:** Use this option to navigate to the *Search and List* page. From this page, you can use different criteria to search for regulatory reports.

- ■ **Create New Report**: Use this option to navigate to the *Create New Reports* page where you can create new reports.

- ■ **Administration**: The Administration menu displays the following sub-menus:

  - ◆ **User Administration:** Use this option to map and maintain the security attributes for each user role.

  - ◆ **Web Service Configuration:** Use this option to reset the Webservice password. For more information on resetting the User ID and Password, see *Oracle Financial Services goAML Administration Guide* in OHC.

CHAPTER 3

Managing goAML

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

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

goAML Workflow

An STR is created in the Regulatory Reporting application as a result of taking *GoAML* action from the Oracle Financial Services Enterprise Case Management (OFSECM) or manually creating a report from OFSgoAML. When an STR is created in the 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 can update the report in *Open* status and request the report details for approval. During the edit and review process, the STR is available to be viewed as a draft report.

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

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

The Supervisor can cancel submitted reports. The STR status then changes to *Canceled*.

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.

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

For the complete list of actions an Analyst, Auditor, and Supervisor can perform on various report statuses, see *Table 3*. For more information on user roles, refer to *Table 2*.

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

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

Note: If the report is already opened by another user, then that report is locked. You can only view such a report.

Table 3. Action that can be performed in various statuses

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

Table 4 explains the statuses in which an Analyst, Auditor, and Supervisor can edit the report details.

Table 4. Statuses in which Reports are editable by users

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

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

Table 5. Statuses in which Reports are viewed by users

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

Table 5. Statuses in which Reports are viewed by users

Status	View Report Details			
	Analyst1	**Analyst2**	**Supervisor**	**Auditor**
Approved	X	X	X	X
Rework	X	X	X	X
Canceled	X	X	X	X
Submitted	X	X	X	X

Creating an STR

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

This section covers the following topics:

- Generating STR from OFSECM

- Manually Creating STR from OFSgoAML

Generating STR from OFSECM

When a user with the appropriate access permission performs the **Generate STR** action on a case from OFSECM, the data is passed to the OFSgoAML through the web service and a new STR is created in the OFSgoAML. For more information, see ECM User Guide.

Sending Acknowledgment to OFSECM from OFSgoAML

The OFSgoAML 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 OFSgoAML application will send all the status updates to OFSECM. If the status is set to **N**, then the OFSgoAML application will not send any status update to the OFSECM.

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

- Case ID

- Acknowledgment Code – 0 (Meaning successful)

- Report ID (System Generated)

- Report Status

If there are any errors, the OFSgoAML application sends a negative acknowledgment to the 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 the OFSECM contains the following details:

- Case ID

- Acknowledgment Code

  - 1 stands for Invalid User ID

  - 2 stands for Mandatory Information Missing

  - 3 stands for Format Failure

  - 4 stands for System/Application Error

- Error Description

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

Manually Creating STR from OFSgoAML

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 the OFSgoAML application.

Note: Analyst and Supervisor users can create a new regulatory report.

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

1. Hover over **Regulator Reporting** and then click **GoAMLSTR**. Select **Create Regulatory Report.** The *Create New Report* window is displayed.

Figure 4. Create a New Report

2. Enter the required information.

   Note: Always specify values for fields marked as mandatory. The mandatory 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. **Note:** 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. **Note:** This field cannot be edited.

Table 6. Creating a New Report

Fields	Description
Attribute 1	Classifies the attribute of a report being created. Options in the drop-down list are based on your firm's configuration. For example, Jurisdiction. **Note:** This is a mandatory field.
Attribute 2	Classifies the attribute of a report being created. Options in the drop-down list are based on your firm's configuration. For example, Business Domain.
Attribute 3	Classifies the attribute of a report being created. Options in the drop-down list are based on your firm's configuration. For example, Case Type.
Attribute 4	Classifies the attribute of a report being created. Options in the drop-down list are based on your firm's configuration. For example, Sub Type.
Attribute 5	Classifies the attribute of a report being created. Options in the drop-down list are based on your firm's configuration. For example, Organization.
Created Date	This field is auto-populated with the current system date. **Note:** This field cannot be edited.
Created By	This field is auto-populated with the logged-in user's name. **Note:** This field cannot be edited.

3. Click **Save**. The 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.

Searching STRs

The OFSgoAML Search and List page enables you to filter the list of reports that you want to view, analyze, and take action. The OFSgoAML search bar supports three types of search: Views, Basic Search, and Advanced Search.

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

This section explains the following topics:

- Using Basic Search
- Using Advanced Search
- Using Pre-defined Views
- Saving Views
- Regulatory Reports List

Using Basic Search

This search is based on a limited set of search components and helps retrieve the required report's details.

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

1. Go to the *Search and List* page.

Figure 5. Basic Search

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

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, see *Table 7*.

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

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

Using Advanced Search

The Advanced Search offers the same search fields as provided for a Basic 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, you can filter the list of reports using the advanced search components.

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

1. Go to the *Search and List* page. Click **Advanced Search**. **T**he Advanced Search window is displayed.

Figure 6. Advanced Search

2. Enter the search components to filter the reports. For detailed descriptions of search fields, see *Table 7*.

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

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

Components of Search Bar

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

Table 7. Components of GoAML Search Bar

Criteria	Description	Search Components of Basic 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.	Basic 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 % and _ as wildcard indicators. You can enter a maximum of 50 characters in this field.	Basic Search and Advanced Search

Table 7. Components of GoAML Search Bar

Criteria	Description	Search Components of Basic and Advanced Search
Report Status	Select the report status from the drop-down list to display reports in the selected status. The following options are available: ● Select All ● Acknowledged ('Not applicable for 'no batch filling') ● Approved ● Cancelled ● E- File Generated (Not applicable for 'no batch filling') ● Open ● Rejected from E- File (Not applicable for 'no batch filling') ● Reopened ● Requested for Approval ● Rework ● Submitted **Note:** This field allows searching reports with multiple options selected.	Basic 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. The following options are available: ● Select All ● Corrected ● Delete ● New	Basic 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 % and _ as wildcard indicators**.**	Basic Search 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.	Basic Search and Advanced Search
Created By	Select the user who has created the report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected.	Basic Search and Advanced Search
Created Date >=	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. **Note:** You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.	Basic Search and Advanced Search

Table 7. Components of GoAML Search Bar

Criteria	Description	Search Components of Basic and Advanced Search
Created Date <=	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*	Basic Search and Advanced Search
Last Modified By	Select the user who has last modified the report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected with user names displayed as drop-down options.	Advanced Search
Last Modified Date >=	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date. You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.	Advanced Search
Last Modified Date <=	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: *Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.* 2. If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: *Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Approved By	Select the name of the approver to search for reports approved by the selected user. **Note:** This field allows searching of reports with multiple options selected with user names displayed as drop-down options.	Advanced Search
Approved Date >=	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.	Advanced Search

Table 7. Components of GoAML Search Bar

Criteria	Description	Search Components of Basic and Advanced Search
Approved Date <=	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: *Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.* 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: *Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Submitted By	Select the name of the user from the drop-down list options to search for reports submitted by the selected user. **Note:** This field allows searching of reports with multiple options selected.	Advanced Search
Submitted Date >=	Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date.	Advanced Search
Submitted Date <=	Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: *Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.* 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: *Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Case ID	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. **Note:** Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.	Advanced Search
Acknowledgment ID/ Tracking ID	Enter the Acknowledgment ID/ Tracking ID to display the report with the corresponding Acknowledgment ID that was received as acknowledgment when the report was submitted to the regulator.	Advanced Search

Table 7. Components of GoAML Search Bar

Criteria	Description	Search Components of Basic and Advanced Search
Prior Report Number	Enter the Prior Report Number to display the original report stored in the revised report.	Advanced Search
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When an STR is created from a case, the STR inherits the jurisdiction that was associated to 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.	Basic Search and Advanced Search
Due Date>=	Select the due date from the calendar to display reports having a due date greater than or equal to the specified date.	Basic Search and Advanced Search
Due Date<=	Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date. **Note:** If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then all the reports which are created after the Due Date are displayed. **Validations:** 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*	Basic Search and Advanced Search

Using Pre-defined Views

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

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

1. Go to the Search and List page is displayed.

   Note: By default, the 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.
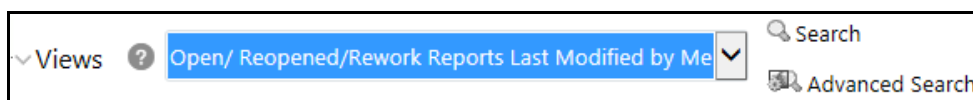

Figure 7. Searching Reports using Pre-defined Views

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

Table 8. Pre-defined Views

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

Saving Views

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

To save a view, follow these steps:

1. Go to 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.

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.

> **Note:** The saved view is available only to the user creating the view and will not be available to any other user.

Regulatory Reports List

The *Regulatory Reports* grid is displayed per the search criteria in the GoAML search page. The application supports Context menu (right-click) options on some columns within the List header that allow users to specify sort and hide or display columns.

- **Ascending** - Use this option to sort the selected column in ascending order.

- **Descending** - Use this option to sort the selected column in descending order.

- **Clear Sort** - Use this option to clear the selected sort option.

- **Field Chooser** - Use this option 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** to save the selected settings for future logins.

- **Group by Tab** - Use this option to group reports and display them in different tabs per the selected column.

- **Group By Tree** - Use this option to group reports and display them in tree format 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

- Zip File

    Note:

    - This application does not generate Zip file of the generated XML report and attached evidences or attachments.

    - Count of Reported Subjects displays the total number of subjects reported in the STR.

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

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details
- Taking Action on Reports

Entering Report Details

The *Report Details* page allows Analyst and Supervisor users to enter or update report information depending on 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 required report name in the *Regulatory Report* lists in the *Search and List* page to navigate to the Report Details page.

Use the Report Details page to manage the following sections:

- Report Context
- Managing Reporting Entity Information
- Managing Transaction Information
- Managing Involved Account Details
- Managing Involved Entity Details
- Managing Involved Person Details
- Managing Narrative
- Managing Audit
- Managing Documents
- Personal Details

Report Context

The Report Context section in the *Report Details* page displays information about the report and is non-editable. Use the minimize and maximize buttons to expand and collapse the details in the Report Context. By default, the report context container is minimized.

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

Figure 9. Report Context

The report context includes the following information:

- Report Name
- Report Number

- Case ID

- Created By

- Created Date

- Prior Report Number

- Jurisdiction

- Last Modified By

- Last Modified Date

- Report Status

- E-file Number

- Due Date

- Approved By

- Approved Date

Managing Reporting Entity Information

The Reporting Entity Information tab is divided into three parts:

- **Report Details**: This section provides information related to the report that is created.

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

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

Figure 10. Reporting Entity Information Tab

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

- Report Details

- Reporting Entity

- Reporting Person Details

Report Details

This section refers to the details specific to the *Report Details*. *Table 9* explains the fields in the Report Details section:

Table 9. Report Details

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

Reporting Entity

Table 10 table details specific information about *Report Entity*. It includes the following fields:

Table 10. Report Entity Details

Fields	Description
Reporting Entity ID	Select the reporting entity from the *Reporting Entity* drop-down list.
Reporting Entity Branch	This field displays the category of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Reporting Entity Reference	This field displays the registration number of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
FIU Reference Number	This field displays the Financial Intelligence Unit (FIU) reference ID of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Address Type	This field displays the address type of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Address	This field displays the address of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
City	This field displays the city of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Town	This field displays the town of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Country	This field displays the country of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
State	This field displays the state of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Currency	This field displays the currency of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Zip	This field displays the zip code of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Comments	This field displays the comments of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.

Reporting Person Details

This grid gives the personal details of the person involved in the reporting entity. After the user selects the name from the displayed field in the grid, the remaining fields are auto-populated.

Table 11. Report Person Details

Fields	Description
Name	Select the name from the reporting person drop-down box.
Gender	This field displays the gender of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
DOB	This field displays the date of birth of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Place of Birth	This field displays the place of birth of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Mother's Name	This field displays the mother's name of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Alias	This field displays the alias of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Nationality 1	This field displays the nationality 1 of the Reporting Entity. **Note:** This field is auto-populated as per the Reporting Entity's name selected.
Nationality 2	This field displays the nationality 2 of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Nationality 3	This field displays the nationality 3 of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Country of Residence	This field displays the country of residence of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Email ID	This field displays the email ID of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
SSN	This field displays the social security number (SSN) of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
ID Number	This field displays the additional identification number other than SSN and passport ID number of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Source of Wealth	This field displays the source of wealth of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Deceased	This field indicates if the Reporting Entity has passed away. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Deceased Date	This field displays the date when the Reporting Entity passed away. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Person Tax Number	This field displays the person tax number of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Person Tax Registration Number	This field displays the person tax registration number of the Reporting Entity. **Note:** This field is auto-populated per the Reporting Entity's name selected.
Comments	Enter the comments, if any.

For details on Address, Phone, Identification and Employer Details, see the *Personal Details* section.

Managing Transaction Information

This tab contains detailed information about the transaction details of the report. All transactions linked to the report are listed here. On clicking the **Transaction Information**, the details are displayed. The transaction details, Involved part, and Goods and Services details are explained in this section.

Figure 11. Transaction Information Tab

The following is the list of columns in the transactions involved table:

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

A transaction can be added here by clicking the **Add** button. You can then click Add to open transaction grid.Enterthe details and save. You can also remove or validate the transaction.

Figure 12. Transaction tab details

Transaction Details

Table 12 shows the fields you need to enter. After the data is entered and saved, it gets listed in the transaction involved table. If you are checking an existing transaction, details are displayed per the data saved.

Table 12. Transaction Details

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

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

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

- Involved Party

- Goods and Services

Involved Party

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

- Record Number

- Involved Party Name

- Party Role

- Party Type

- Funds Code

- Foreign Currency

- Country

Involved Party Details

Table 13 shows the fields you need to enter. After the data is entered and saved, it gets listed in the Involved Party details table.

Table 13. Involved Party Details

Fields	Description
Party Type	Select the party type from the party type drop-down list. The options available are: External Person and Internal Person.
Party Role	Select the party role from the party role drop-down list. The options available are: Beneficiary, Conductor, and Originator.
Funds Code	Select the fund's code from the *Funds Code* drop-down list. The following options are available: • Bank Draft • Cash • Cheque • Fund Desc • Other
Funds Code Description	Enter the description for the fund code, if required.
Amount	Enter the amount involved in the transaction.
Currency	Select the currency from the currency drop-down list.

Fields	Description
Exchange Rate	Enter the exchange rate of the country selected.
Country	Select the country from the country drop-down list.
Significance	Enter the significance of the involved party.
Comments	Enter comments, if required.

Goods and Services

The following columns are displayed in the Goods and Services table:

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

Goods and Services Details

Table 14 shows the fields you must enter. After the data is entered and saved, it gets listed in the Goods and Services Details table.

Table 14. Goods and Services Details

Fields	Description
Item Type	Select the item type from the Item *Type* drop-down list. For example, Bonds, Equity Funds, and so on.
Manufacturer	Enter the name of the manufacturer.
Previous Owner Name	Enter the name of the previous owner of the goods and services.
Current Owner Name	Enter the name of the current owner of the goods and services.
Estimated Value	Enter the estimated value of the goods and services.
Status	Enter the status of the transaction.
Disposed value	Enter the disposed value assigned for the goods and services.
Currency Code	Select the currency code from the currency code drop-down list.
Total Area	Enter the total area required.
Unit Of Measurement	Enter the unit of measurement for the total area.
Registration Date	Select the registration date from the calendar.
Registration Number	Enter the registration number for this transaction.
Identification Number	Enter the identification number.
Address Type	Select the address type from the address type drop-down list.
Address	Enter the address for this transaction.

Fields	Description
City	Enter the city name.
State	Select the state from the state drop-down list.
Country	Select the country from the country drop-down list.
Zip	Enter the zip code of the sate.
Address Comments	Enter comments for address, if required.
Item Description	Enter the description required for the item in this transaction.
Status Comments	Enter status comments, if required.
Comments	Enter comments for the goods and services, if required.

Managing Involved Account Details

This tab provides account details of the party involved and the account entity. The following topics are covered in this section.

- Transaction Details
- Involved Party - Account
  - Account Details

Transaction involved

This grid contains the list of transactions mentioned in the transaction tab, which is a non-editable grid. For more details, see *Transaction Details*. The following columns are displayed in the Transaction Involved table:

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

Involved Party - Account

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

- Record Number
- Involved Party Name
- Party Role
- Party Type
- Funds Code

- Foreign Currency

- Country

Account Details

Select the required **Record Number** to view and update the involved account in the selected Involved Party. *Table 15* shows the fields required in this section:

Table 15. Account Details

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

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

- Signatory

- Account Entity Owner Detail

  - Director

Signatory

This section explains the details of Signatory. The following columns are displayed based on the data fetched from the Signatory sub-sections:

- Signatory Name

- Is Primary

- Role

- Gender

- DOB (Date of Birth)

- Nationality 1

- Country of Residence

- SSN (social security number)

- Person Tax Number

Table 16 explains the fields in the Signatory Details section:

Table 16. Signatory Details

Fields	Description
Is Primary	Select the *Yes* or *No* option to determine whether the signatory is primary or not.
Role	Select the role from the drop-down list.
Title	Enter the title of the signatory.
Prefix	Enter the prefix of the signatory (Mr or Mrs)
First Name	Enter the first name of the signatory.
Middle name	Enter the middle name of the signatory.
Last Name	Enter the last name of the signatory.
Gender	Enter the gender of the signatory.
DOB	Select the date of birth of the signatory from the calendar.
Place of Birth	Enter the place of birth of the signatory.
Mother's Name	Enter the mother's name of the signatory.
Alias	Enter the alias of the signatory.
Nationality 1	Select the nationality 1 of the signatory from the drop-down list.
Nationality 2	Select the nationality 2 of the signatory from the drop-down list.
Nationality 3	Select the nationality 3 of the signatory from the drop-down list.
Country of Residence	Select the country of residence from the drop-down list.
Email ID	Enter the email ID of the signatory.
SSN	Enter the SSN (social security number) of the signatory.
ID Number	Enter the unique identification number of the signatory.
Source of Wealth	Select the source of wealth from the drop-down list.
Passport Number	Enter the passport number of the signatory.
Passport Country	Select the country of the passport from the drop-down list.
Deceased	Select the *Yes* or *No* option to indicate if the signatory is deceased.
Deceased Date and Time	Select the deceased date and time from the calendar.
Person Tax Number	Enter the personal tax number.
Person Tax Registration Number	Enter the personal tax registration number.
Comments	Enter comments, if any.

For details of Address, Phone, Identification, and Employer Details, see *Personal Details* section.

Account Entity Owner

This section explains the details of the entity owner of the account. *Table 17* explains the fields in the section:

Table 17. Account Entity Owner Details

Fields	Description
Name	Enter the name of the entity.
Commercial Name	Enter the commercial name.
Incorporation Number	Enter the incorporation number of the entity.
Legal Form	Select the legal form from the drop-down list.
Type of Business	Select the type of business from the drop-down list.
Email	Enter the email ID.
Company URL Address	Enter the company URL address.
Incorporation Date and Time	Select the incorporation date and time from the calendar.
Incorporation State	Select the state from the drop-down list.
Incorporation Country	Select the country from the country drop-down list.
Business Closed	Select the appropriate option to indicate if the business has closed.
Business Closed Date and Time	Select the date and time the business was closed from the calendar.
Entity Tax Number	Enter the entity tax number.
Entity Tax Registration Number	Enter the entity tax registration number.
Comments	Enter comments, if any.

For details on Address, Phone, Identification and Employer Details, see *Personal Details* section.

Director

This grid contains the details of the director. Click **Add** to expand the section and fill in the details. The following columns are displayed in the Director section:

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

You can *Add*, *Remove*, or *Validate* the data from this section. The director details fields are explained in the *Table 18*.

Table 18. Director Details

Fields	Description
Role	Select the role from the drop-down list.
Title	Enter the title of the director.
Prefix	Enter the prefix of the director.
First Name	Enter the first name of the director.
Middle name	Enter the middle name of the director.
Last Name	Enter the last name of the director.
Gender	Enter the gender of the director.
DOB	Select the date of birth of the director from the calendar.
Place of Birth	Enter the place of birth of the director.
Mother's Name	Enter the mother's name of the director.
Alias	Enter the alias of the director.
Nationality 1	Select the nationality 1 of the director from the drop-down list.
Nationality 2	Select the nationality 2 of the director from the drop-down list.
Nationality 3	Select the nationality 3 of the director from the drop-down list.
Country of Residence	Select the country of residence from the drop-down list.
Email ID	Enter the email ID of the director.
SSN	Enter the social security number (SSN) of the director.
ID Number	Enter the ID number of the director.
Source of Wealth	Select the source of wealth from the drop-down list.
Passport Number	Enter the passport number of the director.
Passport Country	Select the country of the passport from the drop-down list.
Deceased	Select the *Yes* or *No* option to indicate if the director is deceased.
Deceased Date and Time	Select the deceased date and time from the calendar.
Person Tax Number	Enter the person tax number.
Person Tax Registration Number	Enter the person tax registration number.
Comments	Enter comments, if any.

For details on the sub-section; Address, Phone, Identification and Employer Details, see *Personal Details* section.

Managing Involved Entity Details

This tab provides account details of the involved party and the account entity. The following are the sections covered in this topic.

- Involved Party - Entity
    - Account Details

Involved Party - Entity

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

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

Entity Details

This section contains the details about the entity involved in report creation. You can *Save*, *Validate*, or *Reset* the data based on the requirement. *Table 19* table explains the fields in the grid.

Table 19. Entity Details

Fields	Description
Name	Enter the name of the entity.
Commercial Name	Enter the commercial name.
Incorporation Number	Enter the incorporation number of the entity,
Legal Form	Select the legal form from the drop-down list.
Type of Business	Select the type of business from the drop-down list.
Email	Enter the email ID.
Company URL Address	Enter the company URL address.
Incorporation Date and Time	Select the incorporation date and time from the calendar.
Incorporation State	Select the state from the drop-down list.
Incorporation Country	Select the country from the country drop-down list.
Business Closed	Select the option that indicates if the business has closed.
Business Closed Date and Time	Select the Business closed date and time from the calendar.
Entity Tax Number	Enter the entity tax number.
Entity Tax Registration Number	Enter the entity tax registration number.
Comments	Enter comments, if any.

For details on Address, Phone, Identification and Employer Details, see *Personal Details* section.

Director

This section contains details about the director. Click **Add** fill in the details. Based on the information provided, a table with the following columns is generated:

- Director Name

- Occupation

- Role

- Gender

- DOB

- Nationality 1

- Country of Residence

- SSN

- Person Tax Number

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

Table 20. Director Details

Fields	Description
Role	Select the role from the drop-down list.
Title	Enter the title of the director.
Prefix	Enter the prefix of the director.
First Name	Enter the first name of the director.
Middle name	Enter the middle name of the director.
Last Name	Enter the last name of the directory.
Gender	Enter the gender of the director.
DOB	Select the date of birth of the director from the calendar.
Place of Birth	Enter the place of birth of the directory.
Mother's Name	Enter the mother's name of the director.
Alias	Enter the alias of the director.
Nationality 1	Select the nationality 1 of the director from the drop-down list.
Nationality 2	Select the nationality 2 of the director from the drop-down list.
Nationality 3	Select the nationality 3 of the director from the drop-down list.
Country of Residence	Select the country of residence from the drop-down list.
Email ID	Enter the email ID of the director.
SSN	Enter the social security number (SSN) of the director.
ID Number	Enter the ID number of the director.
Source of Wealth	Select the source of wealth from the drop-down list.
Passport Number	Enter the passport number of the director.
Passport Country	Select the country of the passport from the drop-down list.
Deceased	Select the option to indicate if the person is deceased.
Deceased Date and Time	Select the deceased date and time from the calendar.
Person Tax Number	Enter the personal tax number.
Person Tax Registration Number	Enter the person tax registration number.
Comments	Enter comments, if any.

For details on Address, Phone, Identification and Employer Details, seethe *Personal Details* section.

Managing Involved Person Details

This tab provides details of the person involved in the report creation. The tab has the following columns based on the data fetched from the *Personal* details sub-section:

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

You can *Save*, *Validate*, or *Reset* the information per your requirement. *Table 21* explains the fields in the Personal Details section:

Table 21. Person Details

Fields	Description
Title	Enter the title of the person.
Prefix	Enter the prefix of the person.
First Name	Enter the first name of the person.
Middle name	Enter the middle name of the person.
Last Name	Enter the last name of the person.
Gender	Enter the gender of the person.
DOB	Select the date of birth of the person from the calendar.
Place of Birth	Enter the place of birth of the person.
Mother's Name	Enter mother's name of the person.
Alias	Enter the alias of the person.
Nationality 1	Select the nationality 1 of the director from the drop-down list.
Nationality 2	Select the nationality 2 of the director from the drop-down list.
Nationality 3	Select the nationality 3 of the director from the drop-down list.
Country of Residence	Select the country of residence from the drop-down list.
Email ID	Enter the email ID of the person.
SSN	Enter the social security number (SSN) of the person.
ID Number	Enter the ID number of the person.
Source of Wealth	Select the source of wealth from the drop-down list.
Passport Number	Enter the passport number of the person.
Passport Country	Select the country of the passport from the drop-down list.
Deceased	Select the option to indicate if the person is deceased.
Deceased Date and Time	Select the deceased date and time from the calendar.

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

For details on Address, Phone, Identification, and Employer Details, seethe *Personal Details* section.

Managing Narrative

This tab explains the summary and description of Suspicious Activity and the resultant Action Taken by the Reporting Entity.

Figure 13. Narrative tab

Enter the following information:

- **Description of Suspicious Activity:** Enter the summary of the Suspicious Activity. This is a mandatory field.

- **Action Taken by Reporting Entity:** Enter the action taken by the reporting entity. This is a mandatory field

Managing Audit

The Audit tab displays audit history of the report.

Figure 14. Audit Tab

The Audit tab captures the following actions:

- Created From Case
- Created Manually
- Modified Reporting Entity
- Modified Account Involved Details
- Modified Person or Account Owner details
- Modified Transaction Details
- Modified Suspicious Activity Description
- Modified Narrative and Action
- Added New Document
- Modified Document
- Removed Document
- Edit/ Delete Report
    - Originating Report
    - New Report
- E-File Generation Unsuccessful
- Acknowledgment Details
    - If 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 has occurred.
Action By	Displays the name of the user who performed the action.
Action	Displays a short description of the action.
Comments	Displays comments entered while performing an action.

Managing Documents

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

Users with Analyst and Supervisor roles can attach or 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 can edit the report details, see *Table 4*.

To attach a document, follow these steps:

1. Click **Documents** tab. The Documents section is displayed.

2. Click **Add**. The Add Document window is displayed.

Figure 15. Add Document Window

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

Table 23. Add Document Fields description

Fields	Description
Description	Enter a brief description of 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.

Table 23. Add Document Fields description

Fields	Description
Logical File Name	Enter a logical file name for the document. **Note:** If a logical name is not entered, the document name will be considered as the Logical File Name.
Choose a File	Browse for the file on your machine and upload it.

4. Click **Attach File**. The following message is displayed: *Add Operation Successful*

5. Click **OK**. The file is attached and you are navigated back to the Add Document pop-up window.

6. Click **Close** to navigate back to the Document tab or continue to attach additional documents.

7. To edit the document, select the required document from the list and click **Edit**. The Add Document window is displayed. Modify the necessary details and click **OK**.

8. To remove the document, select the required document from the list and click **Delete**. The confirmation message is displayed. Click **OK** to confirm the deletion.

Personal Details

This section explains the four sub-sections common to the reporting process:

- Address
- Phone
- Identification
- Employer Details

Address

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

Table 24. Address Details

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

Phone

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

Table 25. Phone Details

Fields	Description
Contact Type	Select the contact type from the drop-down list.
Communication Type	Select the communication type from the drop-down list.
Country Phone Code	Enter the code of the country phone.
Phone Number	Enter the phone number.
Extension	Enter the extension number.
Comments	Enter comments, if any.

Identification

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

Table 26. Identification Details

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

Employer Details

This grid provides the Employer details of the person or the entity involved in the report creation process. You can add, remove, or validate the data based on the requirement.

Table 27. Employer Details

Fields	Description
Employer Name	Enter the name of the employer.
Occupation	Enter occupation details.
Address Type	Select the address type from the address drop-down list.
Address	Enter the address.
Town	Enter the town name.
City	Enter the city name.
Zip Code	Enter the zip code of the city.
Country	Select the country from the drop-down list.
State	Select the state from the drop-down list.
Address Comments	Enter comments for the address, if any.

Fields	Description
Contact Type	Enter the contact type.
Communication Type	Enter the communication type.
Country Phone Code	Enter the country code.
Phone Number	Enter the phone number.
Extension	Enter the extension number.
Comments	Enter comments, if any.

Taking Action on Reports

Authorized users can use the Report Details page to take the following actions on reports.

- Requesting the Report for Approval

- Approving Reports

- Reworking on Reports

- Cancel Filing of Reports

- Reopening Reports

- Submitting the Reports

Requesting the Report for Approval

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

A Supervisor can view/edit the report submitted for approval by an analyst and can either approve the report, send the reports for rework, or cancel the filing of the report. For more information, see *Table 2*.

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

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

2. Click **Request for Approval**. The *Request for Approval* window is displayed

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

    Note: In the comments box in the Request for Approval window, you can enter 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 actions and 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 Report Details page of a report in *Open*, *Reopened*, *Requested for Approval*, or *Rework* status.

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

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

    Note: In the comments box in the *Approve* window, you can enter 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*.

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

    Note: After the report is approved, the 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 actions and the comments entered while performing the **Approve** action.

Reworking on Reports

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

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

To send a report for rework, follow these steps:

1. Navigate to the Report Details page.

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

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

    Note: In the comments box in the *Rework* window, you can enter 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 actions and comments entered while performing the **Rework** action.

Cancel Filing of Reports

If you determine that a report should not be filed, you can cancel it.

Authorized users can cancel reports from being filed using the Report Details page. For more information on users who can cancel filing reports, see *Table 2*.

After 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 filing a report, follow these steps:

1. Navigate to the Report Details page.

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

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

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

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

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

5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Canceled*. The due date of the report is deleted on taking canceled action.

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

Reopening Reports

Authorized users can initiate reopen action on a report in the *Canceled* status using the Report Details page. For more information, see *Table 2*.

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

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

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

3. Enter comments in the *Reopen* window.

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

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

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

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Reopen*ed.
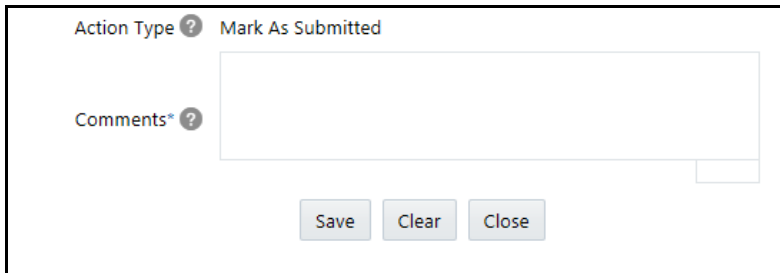
    Note: The Actions section in the Audit tab tracks both **Actions** and **Comments** entered while performing the Reopen action.

Submitting the Reports

After a report is validated, it must be submitted. Authorized users can submit a report after validating it using the Report Details page. For more information, see *Table 2*.

To submit a report, follow these steps:

1. Navigate to the Report Details page.

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

Figure 16. Submit Window

3. Enter *Comments,* if required.

4. Click *Save*, the report is submitted.

The following activities are allowed after submitting a report:

1. The final report can be viewed/saved as a local copy/printed.

2. The report can be edited by any user.

3. System Initiated feedback to OFS ECM can be sent on processing Generate Revised Reports actions.

4. For Revised Reports, the feedback is sent to the original case only and the report from which the revised report is created.

5. For Manually Created Reports, no feedback is sent.

Adding Comments to an STR

Users in the role of Analyst, Auditor, or Supervisor can add comments to a report. Comments to a report can be added when it is in any status.

To add comments to a report, follow these steps:

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

2. Click **Add Comments**. The *Add Comments* window is displayed.

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

   In the comments box in the *Add Comments* window, you can enter 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 actions and 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 application only when you set the **Edit Due Date Flag** attribute to **Y** in the *Application Parameters* table.

Table 28. Behavior and Attributes for Various Roles

Attribute Name	Value	Behavior
Due Date with edit		Users mapped with this role will be able to set/edit/view 'due date'.
Due date with view		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, the application automatically sets the due date to action date + N calendar days. If the parameter is blank, no date is set. The default is five days.

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

Table 29. Statuses in which Analysts and Supervisors can perform the Set Due Date action

Menus	Roles			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	
Reopened	X	X	X	

Table 29. Statuses in which Analysts and Supervisors can perform the Set Due Date action

Menus	Roles			
	Analyst1	**Analyst2**	**Supervisor**	**Auditor**
Requested for Approval	X	X	X	
Rework	X	X	X	
Approved	X	X	X	
Cancelled				
E-File Generated	X	X	X	
Submitted				

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

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

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

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

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

    Note: This field is mandatory.

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

    Note: In the comments box in the *Set Due Date* window, you can enter 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 actions and comments entered while performing the **Set Due Date** action.

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

1. Navigate to the GoAML Search and List page.

2. Select the check-box of the report you want to set a due date for.

3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

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

4. Select a date from the calender icon.

    Note: This field is a mandatory field.

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

   Note: In the comments box in the *Set Due Date* window, you can enter 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 GoAML Search and List page is displayed.

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

Exporting the Report Details to Excel

Use the Search and List page 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.

   All reports in the *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 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.