Oracle Financial Services Compliance Regulatory Reporting

US SAR User Guide

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OFS CRR US SAR User Guide

Document Control

Table 1: Document Control

Version Number	Revision Date	Change Log
1.0	July 2021	The first publication for this release.

Contents

1   About This Guide

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

This chapter discusses the following topics:

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

1.1   Who Should Use This Guide

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

- **Analyst:** This user can view, create, and edit report details. An Analyst can request reports for approval, close reports, add comments to the report, and view the final PDF.
- **Supervisor:** This user can view, create, edit report details. The Supervisor is responsible for taking action on the reports submitted by the Analyst, such as approve, reject, re-approve, or close reports. This user can also add comments to the report and view the final PDF.
- **Admin User:** This user can view reports, edit approved reports, re-approve, and close approved reports. An Admin User can add comments, generate e-file, and file them with the regulatory bodies.
- **Super User**: This user can create, update, approve, reject, re-approve, and close reports. The Super User can also generate e-file and file the reports with the regulatory bodies. This user can also perform all the tasks performed by an Analyst.
- **System/Application Administrator**: This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.
- **Auditor**: This user can view regulatory reports and draft PDF.
- **System Authorizer**: This user is responsible for authorizing configurations.

For more information on user roles, see Table 5.

1.2   How this Guide is Organized

The *Oracle Financial Services Compliance Regulatory Reporting User Guide US SAR* includes the following topics:

- Chapter 2, About Compliance Regulatory Reporting, provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application.
- Chapter 3, 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 OFS CRR application.
- Chapter 4, Creating Reports, describes how to create new reports.

- Chapter 5, Searching Reports, explains different search options to filter the reports in the application.

- Chapter 6, Managing Report Details, explains how to view various tabs and update the selected report details.

- Chapter 7, Acting on Reports, explains various actions that can be performed on the reports.

- Chapter 8, Filing Regulatory Reports, describes the process of filing the regulatory reports to the Regulatory Authorities and completing the SAR process.

1.3 Where to Find More Information

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

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

- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide:* This guide provides step-by-step instructions for installing the Oracle Financial Services Compliance Regulatory Reporting application on an existing Oracle Financial Services Enterprise Case Management hosted (OFS ECM) in a Windows environment.

- *Oracle Financial Services Compliance Regulatory Reporting Administration Guide:* This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Compliance 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 www.oracle.com/financialservices.

1.4 Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1: Conventions Used in this Guide

Conventions	Description
Italics	- Names of books, chapters, and sections as references - Emphasis
Bold	- The object of an action (menu names, field names, options, button names) in a step-by-step procedure - Commands typed at a prompt - User input

Table 1: Conventions Used in this Guide

Conventions	Description
`Monospace`	- Directories and subdirectories - File names and extensions - Process names - Code sample, including keywords and variables within the text and as separate paragraphs, and user-defined program elements within the text
Asterisk	Mandatory fields in the User Interface
`<Variable>`	Substitute input value

2   About Compliance Regulatory Reporting

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

- Introduction
- About CRR Application

2.1   Introduction

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

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.

2.2   About CRR Application

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

The *Oracle Financial Services Compliance Regulatory Reporting* application is integrated with the *Oracle Financial Services Enterprise Case Management* to allow you to generate reports automatically populated with information relevant to an investigation for any report filed.

The OFS CRR application helps in generating e-file in a .xml format according to specifications described in FinCEN Suspicious Activity Report (FinCEN SAR) Electronic Filing Requirements. After successfully e-filing, you can download the acknowledgment (*XML*) file from the BSA E-Filing System and upload the acknowledgment into OFS CRR, thereby completing the SAR process.

2.3   Workflow

The life cycle of the Compliance Regulatory Reports is described in the following workflow diagram.

Figure 1: Regulatory Reporting Workflow
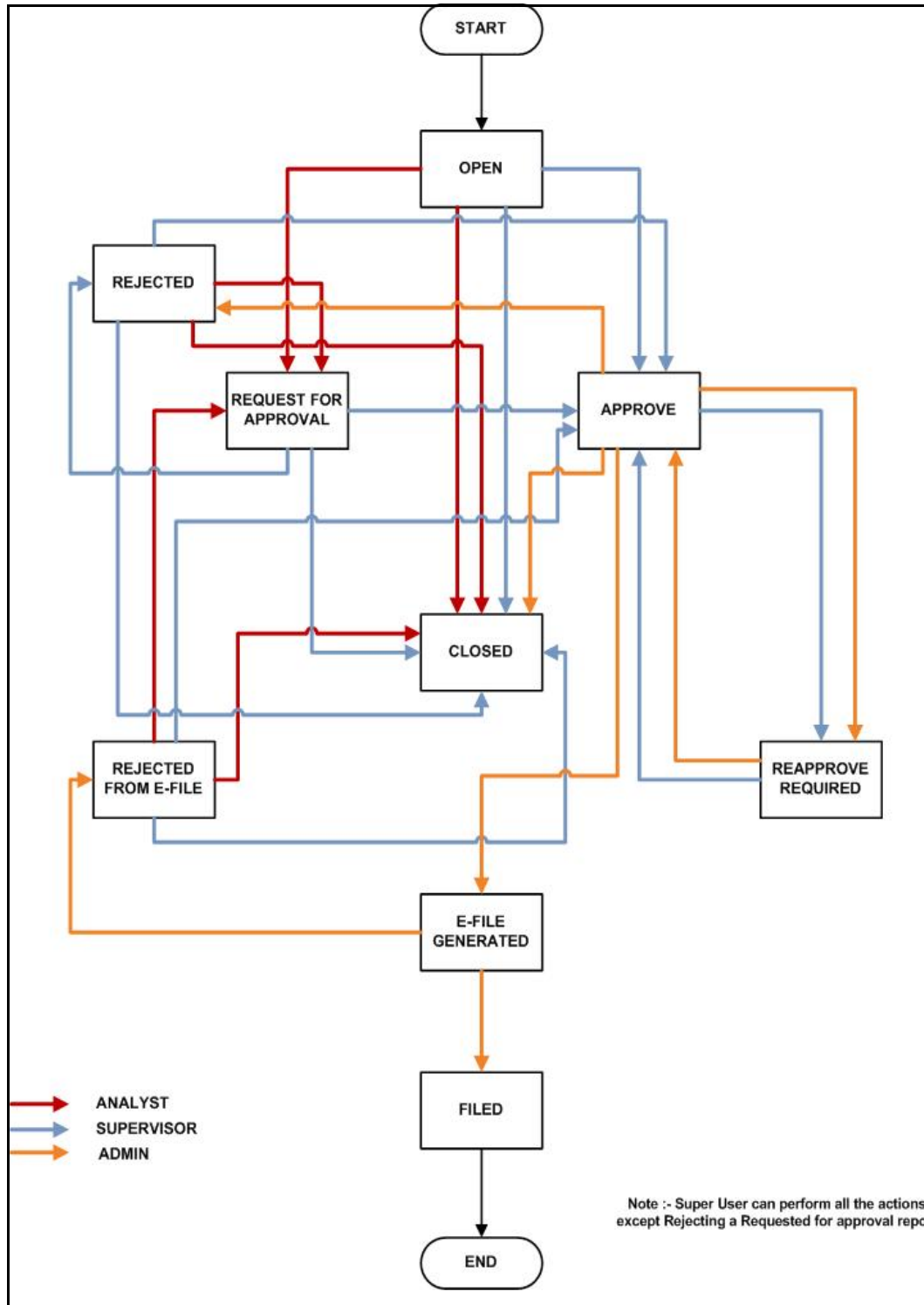
A report is created in the OFS CRR application either from OFS ECM or within the application. When a report is created in the application, the report details are entered and then submitted for approval. An authorized user validates the report details and either approves, rejects, or closes the report.

If the report is approved, an e-file is generated for the report. The generated e-file is submitted with the FinCEN's BSA E-Filing System. The e-file is validated and an acknowledgment (XML file) is generated. The acknowledgment file is then uploaded into the OFS CRR application, thereby completing the SAR process. The status of the report changes to *Filed*. The *Filed* status is the final status given to a SAR that has been submitted to and processed by FinCEN.

If the report is rejected, then you must rework the report and submit the report for approval or you can close the report. If you close the report after being rejected, then the status of the report changes to closed. But if you choose to rework the report, then the status of the report changes to request for approval, which must again be validated and approved by authorized users. This process continues until the report is approved or closed.

If there are any changes done to an approved report, the status of the report changes to Re-approve Required, which must be validated by authorized users.

If you determine that a SAR report should not be filed they can close it. The Closed status removes it from the work queue and helps to distinguish it from those in a *Filed* status. If the report is closed, the report details cannot be edited and the report is in View mode.

For more information on user roles, see Table 5.

Every report generated in the OFS CRR application can have various statuses.

Table 2 describes the action taken on the report and the resulting change in the report status.

Table 2: Action and Status

Action Taken	Resulting Report Status
A report is auto-generated or created manually.	Open
An authorized user has updated and submitted the report details for approval.	Request for Approval
An authorized user validates the report details and has taken approved action. The user can now file the report with the regulatory authority.	Approved
An authorized user has edited the approved report details. The user must take Re-approve action on the report to run the report validations and ensure that the editing did not introduce any report validation errors.	Re-Approve Required
An authorized user has taken close action on the report.	Closed
An authorized user has taken a reject action on the report.	Rejected
An authorized user has generated an e-file for an approved report.	E-file Generated
An authorized user has rejected the generated e-file from filing to the regulatory authorities.	Rejected from E-file
An authorized user has filed the regulatory report to the regulatory authorities.	Filed

The report has a life cycle, which begins with the *Open* status and ends when it is *Closed/Filed*.

Table 3 explains the possible actions the users can take in different statuses.

Table 3: Actions Performed by Various Users in Different Status

Status	Possible Action	Resulting Status	User Roles
Open	Request For Approval	Requested for Approval	Analyst/Super User
	Close	Closed	Analyst/Supervisor/ Super User
	Approve	Approved	Supervisor/Super User
Request for Approval	Approve	Approved	Supervisor/Super User
	Reject	Rejected	Supervisor
	Close	Closed	Supervisor/Super User
Approved	Re approve	Approved	Supervisor/Admin/ Super User
	Reject	Rejected	Admin/Super User
	Close	Closed	Admin/Super User
	Generate E- File	E-File Generated	Admin/Super User
Rejected	Request For Approval	Requested for Approval	Analyst/Super User
	Close	Closed	Analyst/Supervisor/ Super User
	Approve	Approved	Supervisor/Super User
E-File Generated	File	Filed	Admin/Super User
	Reject	E-File Rejected	Admin/Super User
Rejected from E-File	Request For Approval	Requested for Approval	Analyst /Super User
	Approve	Approved	Supervisor/Super User
	Close	Closed	Analyst/Supervisor/ Super User
RE-Approve Required	Re-approve	Approved	Supervisor/Admin/ Super User

The report is in *View* mode in the following statuses:

- Closed
- E-file Generated
- Filed

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

Table 4 explains the status in which the report details are editable by OFS CRR users.

Table 4: Status in Which Report Details are Editable by Different Users

Report Status	Analyst	Supervisor	Super User	Admin User
Open	X	X	X	
Request for Approval		X	X	
Approved		X	X	X
Re-approve Required		X	X	X
Closed			X	X
Rejected	X	X	X	
E-file Generated				
Rejected from E-file	X	X	X	
Filed				

To view report details, click the report name in the *List of Regulatory Reports*. If the report is already opened by another user, the report locked message displays.

3   Getting Started

This chapter explains the steps to log in to the OFS CRR application and provides a brief overview of the various users and their roles in the OFS CRR application.

This chapter explains the following topics:

- Overview
- User Access
- Logging in to Compliance Regulatory Reporting

3.1   Overview

The following are the user roles defined in the OFS CRR application:

- **Analyst**: 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/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 the filing of reports. This user can also submit the reports.

- **Super User**: 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. This user can also generate E File and then submit the E File.

- **Admin User**: This user can access File Regulatory Reports Menu, this user can generate E File and then submit the E File.

- System Administrator: This user is responsible for managing the static data used in the application, creating application users, mapping users to user groups, and configuring the various parameters used in the application.

- Auditor: This user can view and add comments to the report.

3.2   User Access

The following table explains the tasks that can be performed by various users in the OFS CRR application

Table 5 describes the user roles and functions available in the US SAR Application.

Table 5: User Roles and Functions

Functions	Analyst	Supervisor	Admin	Super User	Auditor
View Report	X	X	X	X	X
Edit Report	X	X		X	
Create a new Report	X	X		X	
Request for Approval	X			X	
Approve Report		X		X	
Reject Report		X		X	

Table 5: User Roles and Functions

Functions	Analyst	Supervisor	Admin	Super User	Auditor
Close Report	X	X		X	
Edit Request for Approval Report		X		X	
Edit Approved Report		X	X	X	
Re-Approve Reports		X	X	X	
Reject Approved Reports			X	X	
Close Approved Reports			X	X	
Add RR Comments	X	X	X	X	
Generate Draft PDF	X	X	X	X	
View Final PDF	X	X	X	X	
Edit E-File			X	X	
Reject E-File			X	X	
Generate E-File			X	X	
File E-File			X	X	
View / Edit Configuration					X

3.3 Logging in to Compliance Regulatory Reporting

To access the Compliance Regulatory Reporting application, follow these steps:

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

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

3. The OFSAA Login page is displayed.

Figure 2: Login Page
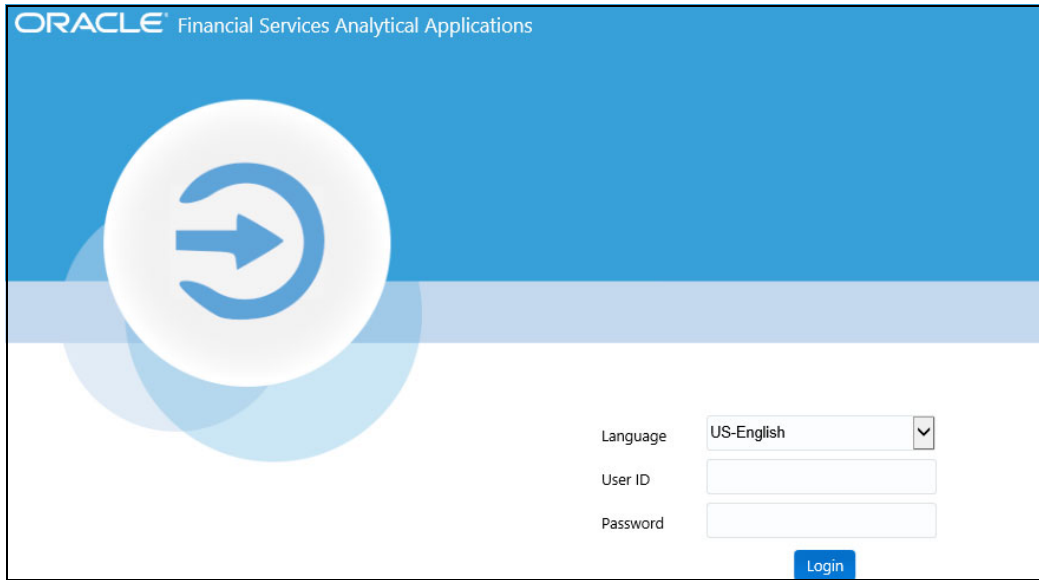
4. Select the Language from the **Language** drop-down list.

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

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

7. Click **Financial Services Regulatory Reporting**.

8. Go to the *Navigation List*. Click **Compliance Regulatory Reporting** in LHS. The Regulatory Reporting menu displays the Regulatory Reports SAR primary menu.

9. Hover over Regulatory Reports SAR primary menu.

10. The Regulatory Reports SAR menu displays the following sub-menus:

    ■   Regulatory Reports

    ■   File Regulatory Reports

    ■   Create a New Regulatory Report

Regulatory Reports SAR is the primary menu. Regulatory Reports, File Regulatory Reports, and Create a New Regulatory Report are the secondary menus. In addition, the User Attributes menu displays. This menu allows you to map and maintain the security attributes for each user role.

The following table provides an overview of the menus that are accessible to the OFS CRR users

Table 6 describes the menus accessible for the OFS CRR users.

Table 6: Menus Accessible to OFS CRR Users

	Analyst	**Supervisor**	**Super User**	**Admin User**	**Auditor**
Regulatory Reports	X	X	X	X	X
File Regulatory Reports			X	X	X
Create New Regulatory Report	X	X	X		

Table 6: Menus Accessible to OFS CRR Users

	Analyst	Supervisor	Super User	Admin User	Auditor
User Attributes			X	X	

4   Creating Reports

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

You can create a new SAR when 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 chapter covers the following topics:

- Creating SAR from OFSECM
- Creating a New Report from OFSCRR Application

4.1   Creating SAR from OFSECM

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

For more information, see *Taking Resolution Action* section in the ECM User Guide.

4.2   Creating a New Report from OFSCRR Application

Analyst, Supervisor, and Super User users can create new regulatory reports.

To create a new regulatory report, follow these steps:

1. Go to the **Regulatory Reporting** menu, hover over **Regulatory Reports – SAR** and click **Create New Regulatory Report**. The Create New Regulatory Report page displays.

Figure 3: Create a New Regulatory Report Page

2. Enter the required information.

    Table 7 explains the fields in the *Create New Report* page.

Table 7: Create New Report

Fields	Description
Report Name	Enter the report name. The report name can have a maximum of 60 characters. If you enter more than 60 characters for report name, the following message displays: *Number of characters exceeded*.

Table 7: Create New Report

Fields	Description
Corrected Report	Select whether the report is corrected or not from the drop-down list.
	The Corrected report is a term used by FinCEN to identify a report that was previously submitted but is being resubmitted with modifications to correct the earlier provided information. A corrected SAR must reference the previously submitted SAR by virtue of the BSA ID of the previous SAR.
Report Type	Displays the report type.
	The application supports the generation of US SAR, hence the value for report type has defaulted to *SAR*.
Domain 1	Select **Domain 1** from the drop-down list.
	Domain 1 through Domain 5 fields allows a user to associate security attributes to the case being created, which can be used to control access to the case. For example, OFS CRR requires that Domain 1 always be associated with a business **Jurisdiction**. The specific jurisdiction values that will be available in the drop-down are defined at the firm level. After jurisdiction is assigned to a newly created report, only users with access to that jurisdiction will be able to see and work on the report.
Domain 2	Select **Domain 2** from the drop-down list.
	Domain 2 through Domain 5 can be associated with other attributes such as business domains or organizations. When assigned to a report at creation, these can also be used to control access.
	For information on how your firm is using Domain 2 through Domain 5, contact your system administrator.
Domain 3	Select **Domain 3** from the drop-down list.
Domain 4	Select **Domain 4** from the drop-down list.
Domain 5	Select **Domain 5** from the drop-down list.
Internal Control/File Number	Enter the internal control/file number.
	This will be the Case ID from OFSECM If the report is auto-generated from OFSECM. For manually created reports, clients will have the option to provide an internal control/file number to the new report.
Created On	Displays the date and time of report creation.
Created By	Displays the user who created the report.

3. Click **Save**. The following message displays: *Add Operation Successful*.

4. Click **OK**. The *Create New Report* page displays.

> **NOTE** To exit the Create New Report page, select Regulatory Reports or File Regulatory Reports from the Regulatory Reports-SAR primary menu.

5 Searching Reports

The Regulatory Reporting Search and List page enables you to filter the list of reports that you want to view, analyze, and take action.

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

1. Go to the **Regulatory Reporting** menu, hover over **Regulatory Reports - SAR** and click **Regulatory Reports**. The List of Regulatory Reports display.

Figure 4: List of Regulatory Reports

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

   Table 8 provides a list of search components that display in the CRR search bar.

Table 8: Components of Search Bar

Fields	Description
Report Name	Enter the report name to display the report with the name as specified in the search criteria.
	This field supports a wildcard search, using the % as a wildcard indicator and allows you to enter a maximum of 61 characters.
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.
	Every report is associated with jurisdiction, whether created manually or from a case (OFSECM). When a SAR is created from a case, the SAR inherits the jurisdiction that was associated with a case. When a SAR is created manually, *Domain 1* field on the create SAR screen displays the list of available jurisdictions.
	Each user has access to a set of jurisdictions and each SAR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the SAR's jurisdiction.
	Jurisdiction is a mandatory field for the creation of SAR whether manually or from the case.

Table 8: Components of Search Bar

Fields	Description
Status	Select the report status from the drop-down list to display reports in the selected status. The Status search criteria are pre-selected with a list of statuses that is configurable. By default, the application displays the following statuses: ● Open ● Request for Approval ● Approved ● Rejected ● Rejected from Efile
Case ID	Enter the Case ID to display the reports with the selected Case ID. Case ID is the case that has triggered the creation of a report in the OFSCRR application. This field supports a wildcard search, use % as a wildcard indicator. For more information on how reports are auto-generated from OFSECM, see *Taking Resolution Action* section in the ECM User Guide.
Subject Name	Enter the subject name to display reports with the selected subject name. This field supports a wildcard search, use % as a wildcard indicator.
SSN/EIN/TIN	Enter the SSN/EIN/TIN (Social Security Number / Employer Identification Number / Taxpayer ID Number) to display reports with the selected SSN/EIN/TIN. This field supports a wildcard search, use % as a wildcard indicator.
Created By (drop-down list)	Select the name of the user who created the regulatory report from the drop-down list to display reports created by the selected user. The Created By drop-down displays ten users at a time.
BSA ID	Enter the BSA ID of the report to display reports with the BSA ID as specified. BSA stands for Bank Secrecy Act Identifier. The BSA ID is a distinct value assigned to each SAR submitted to FinCEN. The FinCEN will use this ID to track a SAR as well as any corrections or amendments to that SAR. This field can have a maximum of 25 characters.
Created Date From	Select the created date from the calendar to display reports created from the selected date. *Created Date From* and *To* can be used independently. When both are used it returns only those SARs within the selected dates inclusive of the selected dates. When only *From* is used, it returns reports with a create date greater than or equal to the selected *From* date.
Created Date To	From the calendar to display reports created until this date, select the date from Created Date To.
Report Format Version	Select the report format version from the drop-down list. This denotes the final report format version that is used for this Report. It can be one of the following: 1) 1.1 (TXT/CSV) 2) 1.2 (XML)

Table 8: Components of Search Bar

Fields	Description
Due Date From	Select the due date from the calendar to display reports due from the selected date.
Due Date To	From the calendar to display reports due until this date, select the Due Date To.

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

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

5.1 Components of Regulatory Reports List

The List of Regulatory Reports displays the summary of all reports generated using the OFS CRR application and includes the following components:

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

5.1.1 Search Bar

The RR Search bar allows you to search and view the report details. For more information on searching reports.

5.1.2 List Header

The header contains the title *Regulatory Reports* and displays the total number of reports. The header also provides pagination with forward and backward arrows for advancing page by page or for advancing to the first or last page.

5.1.3 Action Buttons

The system provides the action button that appears above the Regulatory Report List matrix:

- **Export to Excel:** Allows you to export the report details into an Excel template. For more information on Exporting to Excel, see *Exporting to Excel,* on page 22.

5.1.4 Column Headings

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

The following sorting options display:

- Ascending
- Descending

- Clear Sort
- Field Chooser

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

5.1.5   List Matrix

The RR List matrix displays the summary of all reports.

Table 9 provides a list of columns and their descriptions in the CRR List matrix:

Table 9: Columns in CRR List Matrix

Columns	Description
Report Name	Displays the report name.
Report Type	Displays the report type. SAR is the default value for the report type.
Jurisdiction	Displays the jurisdiction to which the report is mapped. Jurisdiction over a territory relates to the geographic area over which a court has the authority to decide cases. The following are the values for Jurisdiction: • CA • SA • US • INDA • AMEA • SGI • SGO • ENT
Case ID	Displays the Cased ID that triggered the creation of the report in OFS CRR from OFSECM. This field displays as blank for the manually created report.
Subject Name	Displays the subject name.
Number of Subjects	Displays the number of subjects involved in the suspicious transaction
Created Date	Displays the date of report creation.
Created By	Displays the user who created the report.
E-File reference	Displays the e-file reference number.
Acknowledgment Date	Displays the date on which the acknowledgment was received.
Status	Displays the status of the report.
BSA ID	Displays the BSA ID generated for the report. BSA stands for Bank Secrecy Act Identifier. The BSA ID is a distinct value assigned to each SAR submitted to FinCEN. The FinCEN will use this ID to track a SAR as well as any corrections or amendments to that SAR.

Table 9: Columns in CRR List Matrix

Columns	Description
Draft Report	This column displays a PDF icon. Click the PDF icon to view the report details in PDF.
	For more information on the Draft report, see *Viewing the Draft Report,* on page 22.

5.1.5.1 Exporting to Excel

The List of Regulatory Reports allows you to export the report details into an Excel template.

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

1. Go to the **Regulatory Reports List** page.

2. Click **Export to Excel**. The Export Properties dialog box displays.

> **NOTE** All the reports in the Regulatory Reports List 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.

5. When processing is complete, the data displays in an IE window with a dialog bo.

6. Click **Save** from the dialog box. The Save As dialog box displays.

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.

5.1.5.2 Viewing the Draft Report

The *Regulatory Report Details* allows Analyst, Supervisor, Super User, and Admin User to view the draft report. You can view the draft PDF in any status.

To view the draft report, follow these steps:

1. Go to the **Regulatory Reports List** page.

2. Click the Report name to view the report details.

3. Click the **Draft Report**. The File Download box displays.

> **NOTE** You can also view the report details in PDF by clicking the PDF icon in the Draft Report column in RR List Matrix.

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

The following figure is an illustration of the initial pages of the draft report that you can view when you open the report. An old PDF is displayed for the old reports and new PDF is displayed for the newly submitted report.

Suspicious Activity Report   Version Number: 1.0

Filing Name   CUBENOWNCHGSURRR-004-0201201313302859

*1 Filing Type   [X] Initial report   [ ] Correct/Amend prior report
(Check all that apply)   [ ] Continuing activity report   [ ] Joint report

Prior report document control/file
number

Attachment

1

Part IV Filing Institution Contact Information

*82 Type of financial institution   Casino/Card Club   Desc
*78 Primary federal regulator   Commodities Futures Trading Commission (CFTC)
*79 Filer name (Holding company, lead financial institution, or agency, if applicable)   Thom Kobs
*80 TIN   123455612   *81 TIN Type   EIN
83 Type of Securities and Futures institution or individual filing this report - check box(es) for functions that apply to this report
[X] Clearing broker-securities   [ ] Introducing broker-securities   [ ] SRO Securities
[X] CPO/CTA   [ ] Investment Adviser   [ ] Subsidiary of financial/bank holding company
[X] Futures Commission Merchant   [ ] Investment company   [ ] Other   Tet
[ ] Holding company   [ ] Retail foreign exchange dealer
[ ] Introducing broker-commodities   [ ] SRO Futures
84 Financial institution identification   Type   Central Registration Depository (CRD) number
     Number   12344544
*85 Address   Address of Filing Inst
*86 City   City of Filing
*87 State   AK   *88 ZIP/Postal Code   5624   *89 Country   AF
90 Alternate name, e.g., AKA - individual or trade name, DBA - entity   AltName
91 Internal control/file number   162048
92 LE contact agency
93 LE contact name
94 LE contact phone number (Include Area Code)   Ext.
95 LE contact date
*96 Filing institution contact office   sss
97 Filing institution contact phone number (Include Area Code)   11111   Ext.
98 Date filed   (Date filed will be auto-populated when the form is signed.)

Figure 5:

6   Managing Report Details

The *Regulatory Report Details* page allows you to enter or update report information. For more information on the user roles, see Table 5.

You must enter the report details in the tabs present in the Regulatory Report Details.

The following are the tabs in the Regulatory Report Details:

- Components of Regulatory Report Details
- Managing Filing Institution Information
- Managing Financial Institution Where Activity Occurred
- Managing Suspicious Activity Information
- Managing Subject Information
- Managing Documents
- Adding Narrative
- Viewing Audit

All the fields in the Regulatory Report Details tabs have some numbers preceding the field labels. These numbers correspond to the numbers of the fields as they appear in FinCEN's SAR PDF that is used for discrete filing.

6.1   Components of Regulatory Report Details

This section provides the complete details on the components of the Regulatory Report Details page. Click the report name in the *List of Regulatory Reports* to view the Report Details.

The following are the components of the Regulatory Report Details:

- Action Buttons
- Report Context
- Report Details Tabs

6.1.1   Action Buttons

The action buttons are displayed based on your role and the current status of the report. For more information on the user roles, see Table 5.

The following are the action buttons in the Regulatory Report Details:

- **Add Comments**: This button displays in the Regulatory Report Details in all the report status. It allows you to add comments to the report. For more information about adding comments, see *Adding Comments to Report,* on page 26.
- **Draft Report**: This button displays in all the report status. It allows you to view the report details in a PDF. For more information about the draft report, see Viewing the Draft Report.
- **Request For Approval**: This button displays in the Regulatory Report Details when the report is in *Open, Rejected,* or *Rejected from e-file* status. It allows you to submit a report for approval. For more information about requesting for approval, see Requesting for Approval.
- **Approve**: This button displays in the Regulatory Report Details when the report is in *Request for Approval* status for the Supervisor user and in *Open, Rejected, Rejected from e-file, Request for*

Approval status for Super User. It allows you to approve reports. For more information about approving reports, see Approving Reports.

- **Re-approve**: This button displays in the Regulatory Report Details when the report is in *Approved* or *Re-approve Required* status for the Supervisor and Super User. It allows you to re-approve reports. For more information about re-approving reports, see Re-Approving Reports.

- **Reject**: This button displays in the Regulatory Report Details when the report is in *Request for Approval, Approved, and E-file generated* status for the Supervisor and Super User. It allows you to reject reports. For more information about rejecting reports, see Rejecting Reports.

- **Close**: This button displays in the Regulatory Report Details when the report is in *Request for Approval* status for the Supervisor user and in *Open, Approved, Rejected, Rejected from e-file, Request for Approval* status for the Super user. For more information about rejecting reports, see Closing Reports

- This button displays in the Regulatory Report Details when the report is in *Open, Rejected from e-file*, and *Rejected* status for users mapped to the role of Analyst.

- **Setting Due Date:** This button allows you to set the due date for reports. For more information on setting the due date, see *Setting Due Date for Reports,* on page 27.

6.1.2   Report Context

The Report Context 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.

The BSA ID (Bank Secrecy Act Identifier) is generated when the acknowledgment file (XML file) is uploaded into the OFS CRR application. After the XML file is uploaded into the OFS CRR application, the BSA ID field in the Report Context is auto-updated.

6.1.3   Report Details Tabs

The Regulatory Report Details displays the following tabs:

- Filing Institution Information
- Fin Inst Where Activity Occurred
- Suspicious Activity Information
- Subject Information
- Managing Documents
- Narrative
- Audit

6.1.3.1   Adding Comments to Report

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

To add comments to a report, follow these steps:

1. Go to the List of Regulatory Reports page.
2. Click the Report name to view the report details.
3. Click **Add Comments**. The *Action Type: Add Comments* pop-up window displays.

4. Enter the comments in the *Action Type: Add Comments* pop-up window.

> **NOTE**   The comments box in the Action Type: Add Comments pop-up window allows you to 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 displays: Number of characters exceeded.

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

6. Click **OK**. The *Action Type: Add Comments* pop-up window closes and displays the Regulatory Report Details.

> **NOTE**   The Regulatory Report Comments grid in the Audit tab displays the comments added to the report.

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

6.1.3.2   Setting Due Date for Reports

Set Due Date action allows you to set a due date or modify an existing due date of an SAR.

The CRR application allows you to set the due date for SAR. The due date is set based on the date SAR creation request is sent from the OFS ECM to OFS CRR. This is the period during which the SAR must be filed with FinCEN. The Due date is configurable and by default, it is set to 30 days from the date SAR creation request is sent from the OFS ECM to OFS CRR. It includes only business days excluding holidays and weekends. This period is configurable.

There are two roles defined for the *Set Due Date* functionality.

- **Due Date with View and Edit**: Users mapped to this role can view, set, and edit due date for reports.

- **Due Date with View**: Users mapped to this role can only view the due date for reports.

    Note: The roles are mapped based on the configurations in the Application Parameters table.

    Table 10 explains the configuration for these roles:

Table 10: Set Due Date Functionality Configuration

Set Due Date Action	Due Date With View & Edit		Due Date View Only	
	Take Set Due Date Action	**View Date**	**Take 'Set Due Date' Action**	**View Due Date**
Open	X	X		X
Requested for Approval	X	X		X
Rejected	X	X		X
Rejected from E-File	X	X		X

Table 10: Set Due Date Functionality Configuration

Set Due Date Action	Due Date With View & Edit		Due Date View Only	
	Take Set Due Date Action	View Date	Take 'Set Due Date' Action	View Due Date
Approved		X		X
Closed				
E-File Generated		X		X
Filed				
Reapprove Required		X		X

To set a due date of an SAR, follow these steps:

1. Go to the **Report Details** page of a report.

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

Figure 6: Set Due Date Window

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

   Note: This is a mandatory field.

4. Enter the comments in the *Set Due Date* action pop-up window.

5. If you click **Save** without entering the Set Due Date and Comments, in the **Set Due Date** Action pop-up 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 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..

6.2   Managing Filing Institution Information

The Filing Institution Information tab is the default tab for the Regulatory Report Details page.

This tab displays the following sections:

- Reporting Information
- Filing Institution Information

This tab has a single **Validate** button that checks the information present in both the Reporting Information container and the Filing Institution Information container.

If you click on request for approval and if there is an error in the details of the Filing Institution Information tab, then the application displays the following message: *Please Validate Filing Institution Information.*

6.2.1 Reporting Information

This container displays information on the type of report filing.

The following are the possible types of filing:

- **Initial Report**: These reports are submitted to the FinCEN for the first time.
- Correct/Amend Prior Report: These reports were previously submitted but are being resubmitted with modifications to correct earlier provided information. A corrected SAR must refer to the previously submitted SAR by virtue of the BSA ID of the previous SAR.
- Continuing Activity Report: These reports are reporting on additional and continuing behavior as related to one or more previously submitted SARs on the same subjects. If a SAR is designated as a Continuing Activity report then you must provide the Prior BSA Number of the previously filed report.
- Joint Report: It is a suspicious activity report that is being filed by the current institution jointly in cooperation with another financial institution.
- Filing Institution Note to FinCEN: This field displays the notes that you want to mention to FinCEN.

Validations

If you have selected the report as *Joint Report* and have not selected *Initial Report or Correct/Amend Prior Report* or *Continuing Activity Report*, then the application displays the following message: *Select at least one of the Initial Report, Correct/Amend Prior Report or Continuing Activity Report.*

6.2.2 Filing Institution Information

This section provides details about the filing institution which is reporting the suspicious activity. There can be only one filing institution reporting the suspicious activity.

This section covers the following topics:

- Components of Filing Institution Information Tab
- Entering Filing Institution Information
- Editing Filing Institution Information

6.2.2.1 Components of Filing Institution Information Tab

Figure 7: Filing Institution Information Tab - Edit Mode

Table 11 explains the fields in the *Filing Institution Information* Tab

Table 11: Fields in the Filing Institution Information Tab

Fields	Description
Filing Institution Name	Select the financial institution name from the drop-down list. All the related fields displaying the filing financial institution details get auto-populated on the selection of Filing Institution name and will display as not editable.
	A firm may have one or more than one legal entity under which they file regulatory reports. The values available in the Filing Institution Name drop-down are defined by each client during installation. The system administrator enters the data into the database where it can be selected by the user on the User Interface. This is handled during installation by the excel upload of data. For more information on Excel Upload, see Oracle Financial Services Regulatory Reporting Administration Guide.
	If you have not given any value for Filing Institution Name, then the application displays the following message: *Filing institution should be present.*
Primary Federal Regulator	Displays the primary federal regulator.
TIN Type	Displays the TIN (Taxpayer ID Number) type.
TIN	Displays the TIN (Taxpayer ID Number) number.
Type of Financial Institution	Displays the type of financial institution.
Other Description	Displays any additional information about the type of financial institution.

Table 11: Fields in the Filing Institution Information Tab

Fields	Description
Type of Securities and Futures Institution	Displays the type of securities and futures institution.
Other Description	Displays any additional information about the type of securities and futures institution.
Financial Institution ID	Displays the ID of the financial institution involved in suspicious activity.
Financial Institution Identification Type	Displays the financial institution identification type.
Alternate Name	Displays the alternate name of the financial institution.
Address	Displays the address of the financial institution.
City	Displays the city where the financial institution is located.
State	Displays the state where the financial institution is located.
Postal Code	Displays the postal code of the financial institution.
Country	Displays the country where the financial institution is located.
Filing Institute Contact Office	Displays the filing institution's contact office name.
Filing Inst Contact Number	Displays the filing institution's contact number.
Extension	Displays the extension of the filing institution. The fields *Filing Inst Contact Office*, *Filing Inst Contact Number*, and *Extension* are configurable. That is the values in these fields are auto-populated, which can be edited if required.
Internal Control/File Number	Enter the internal control/file number. This will be the Case ID from OFSECM if the reports are auto-generated from OFSECM. For manually created reports, clients will have the option to provide an internal control/file number to the new report.

Table 11: Fields in the Filing Institution Information Tab

Fields	Description
Prior Report Doc Number	Enter the prior report document number.
	Prior Report Doc Number refers to the unique identifier assigned to a report that has been submitted to the regulatory body. This field is applicable when filing a continuing activity, corrected, or supplemental report on a previously submitted report.
	Select the unknown check box if the prior report document number is unknown.
	Validations:
	If Prior Report Doc Number is not entered for Corrected, Supplemental, and Continuing Reports nor if the Unknown check box field has been marked, the application displays the following message: *Prior Report Doc Number in Financial Institution Info Tab is mandatory for Corrected, Supplemental or Continuing Reports. Enter the value or check Unknown if the value is not known.*
	If you have entered one or more prohibited words in fields Filling Institution Contact Office and Prior Report Doc Number, then the application displays the following message: *You are not allowed to enter prohibited words in Filling Institution Contact Office and Prior Report Doc Number. The following words are prohibited: AKA, COMPUTER GENERATED, CUSTOMER, DBA, NON CUSTOMER, NONE, NOT APPLICABLE, OTHER, SAME, SAME AS ABOVE, SEE ABOVE, SEE NARRATIVE, SIGNATURE CARD, T/A, UNKNOWN, VARIOUS, XX.*

> **NOTE** If you have not entered the values for mandatory fields such as Filing Institution Name, Contact Office, and Contact Number, the application displays the following message: You have not given values for some mandatory fields. Make sure you enter values for mandatory details i.e. Filing Institution Name, Contact Office and Contact Number.

6.2.2.2   Entering Filing Institution Information

To enter details about the filing institution information, follow these steps:

1. Go to the **Regulatory Report Details** page.

2. Click the **Filing Institution Information** tab. The *Filing Institution* details display.

3. Enter the required information. For more information on the fields in the Filing Institution Information tab, see Table 11.

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

5. Click **OK**. The Filing Institution Information page displays.

   Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Filing Institution Information page.

6.2.2.3   Editing Filing Institution Information

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

1. Go to the **Regulatory Report Details** page.

2. Click the **Filing Institution Information** tab. The **Filing Institution** details display.

3. Modify the required information in the fields in the *Filing Institution Information* tab.

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

5. Click **OK**. The Filing Institution Information page displays.

   Note: You cannot edit the report details when the report is in *View* mode. Action buttons, such as Save and Reset, are hidden in the Filing Institution Information tab when the report is in View mode.

6.3 Managing Financial Institution Where Activity Occurred

This section covers the following topics:

- Adding Financial Institution Where Activity Occurred

- Editing Financial Institution Where Activity Occurred Details

- Deleting Financial Institution Where Activity Occurred

The Financial Institution Where Activity Occurred tab captures the data of the financial institution where the suspicious activity has occurred and also the associated branches of the financial institution that are involved in the suspicious activity.

Select the **Fin Inst Where Activity Occurred** tab. The page refreshes and displays the Financial Institution Where Activity Occurred grid. The Financial Institution details of the first record is auto-populated down the grid. The auto-populated pane has a left-hand side (LHS) menu with Financial Institution Details and Branch Details options.

This page allows you to add, edit or delete details about the financial institution where the activity occurred and branch details.

The Internal Control/File Number field displays in the Financial Institution Where Activity Occurred tab only in View mode. Editing or entering a value for this field must be done from the Financial Institution Information tab.

The **Validate** button in this tab checks for any missing mandatory information.

Table 12 explains the columns in Financial Institution Where Activity Occurred grid.

Table 12: Columns in Financial Institution Where Activity Occurred Grid

Field	Description
Financial Institution Name	Displays the name of the financial institution.
Type	Displays the type of financial institution.
Primary Federal Regulator	Displays the primary federal regulator.
State	Displays the state in which the institution involved in the suspicious activity is located.
Country	Displays the country in which the institution involved in the suspicious activity is located.
Financial Institution Code	Displays the financial institution code assigned to the institution involved in the suspicious activity.

6.3.1 Adding Financial Institution Where Activity Occurred

To add information about the financial institution where the activity occurred, follow these steps:

1. Go to the **Regulatory Report Details** page.

2. Click the **Fin Inst Where Activity Occurred** tab.

3. Click **Add** in the Financial Institution Where Activity Occurred grid. The *Financial Institution Where Activity Occurred* pop-up window displays.

Figure 8: Financial Institution Where Activity Occurred Pop-up Window

4. Enter the required information. For more information on the fields in the Financial Institution Where Activity Occurred pop-up window, see Table 13.

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

6. Click **OK**.

7. Click **Close** to close the Financial Institution Where Activity Occurred pop-up window.

   Note: If you click **Clear**, all the fields are set to default values that are blank.

6.3.1.1 Components of Financial Institution Where Activity Occurred Pop-up Window

Table 13 explains the fields in the Financial Institution Where Activity Occurred pop-up window.

Table 13: Fields in Financial Institution Where Activity Occurred

Fields	Description
Loss to Financial Institution	Enter the loss incurred during the suspicious activity.

Table 13: Fields in Financial Institution Where Activity Occurred

Fields	Description
Role	Enter the role of the financial institution in suspicious activity.
	These are values as defined by FinCEN. Role refers to the role played by the institution in the suspicious activity when certain product types or instruments/payment mechanisms were used in the activity.
	The Role is a drop-down list with the following options:
	Paying Location: The financial institution is considered to have played the role of *Paying Location* if the customer received payment from the institution for the products or instruments recorded on the SAR.
	Selling Location: The financial institution is considered to have played the role of *Selling Location* if the customer purchased products or instruments from the institution.
	Both A and B: You must select *Both A and B* if the financial institution was both a paying and selling location for the products or instruments recorded on the SAR.
Legal name of the Financial Institution	Select the legal name of the financial institution from the drop-down list.
	All other information except the loss of financial institution and role gets auto-populated on the selection of this field and is not editable.
Alternate Name	Displays the alternate name of the financial institution.
Type of Financial Institution	Displays the type of financial institution.
Other Description	Displays any additional information about the type of financial institution.
Financial Institution Code	Displays the financial institution code.
Primary Federal Regulator	Displays the primary federal regulator.
	Primary Federal Regulator is the state or federal regulatory agency that is the primary supervising entity of a financial institution.
Financial Institution ID Type	Displays the financial institution ID type.
Financial Institution ID Number	Displays the financial institution ID number.
TIN	Displays the TIN (Taxpayer ID Number) number.
TIN Type	Displays the TIN (Taxpayer ID Number) type.
Type of Gaming Institute	Displays the type of gaming institute.
Other Description	Displays any additional information about the type of gaming institute.
Type of Securities and Futures Institution	Displays the type of securities and futures institution.
Other Description	Displays any additional information about the type of securities and futures institution.
Address	Displays the address of the financial institution where the suspicious activity occurred.

Table 13: Fields in Financial Institution Where Activity Occurred

Fields	Description
City	Displays the City in which the institution involved in the suspicious activity is located.
State	Displays the State in which the institution involved in the suspicious activity is located.
Postal Code	Displays the postal code of the financial institution.
Country	Displays the Country in which the institution involved in the suspicious activity is located.

6.3.1.2 Editing Financial Institution Where Activity Occurred Details

To edit details about the financial institution where the activity occurred, follow these steps:

1. Go to the **Regulatory Report Details** page.
2. Click **Fin Inst Where Activity Occurred** tab. The Financial Institution Where Activity Occurred grid displays.
3. Select the check box of the Financial Institution Where Activity Occurred record you want to modify.
4. Click **Edit**. The Financial Institution Where Activity Occurred pop-up window displays.
5. Modify the necessary information.
6. Click **Save**. The following message displays: *Update Operation Successful*.
7. Click **OK**. The Financial Institution Where Activity Occurred pop-up window displays.
8. **Note**: Click **Close** in the Financial Institution Where Activity Occurred pop-up window. The changes made are displayed in the Financial Institution Where Activity Occurred grid.

6.3.1.3 Deleting Financial Institution Where Activity Occurred

To delete details about the Financial Institution Where Activity Occurred, follow these steps:

1. Go to the **Regulatory Report Details** page.
2. Click **Fin Inst Where Activity Occurred** tab. The Financial Institution Where Activity Occurred grid lists all the details of the financial institution where the activity occurred.
3. Select the check box of the financial institution you want to delete.
4. Click **Delete**. The following message displays: *Are you sure you want to delete this record*?
5. Click **OK**. The following message displays: *Delete Operation Successful.*
6. Click **OK**. The Financial Institution Where Activity Occurred grid displays.

6.3.1.4 Managing Branch Details

The Branch Details LHS menu displays the branch data of the currently selected financial institution involved in suspicious activity.

This section covers the following topics:

- Adding Branch Details
- Editing Branch Details

- Deleting Branch Details

  Table 14 explains the columns in the Branch Details grid.

  Table 14: Branch Details

Fields	Description
Branch Code	Displays the branch code.
Address	Displays the address details of the branch.
City	Displays the city where the branch is located.
State	Displays the state where the branch is located.
Postal Code	Displays the zip code where the branch is located.
Country	Displays the country where the branch is located.
RSSD ID Number	Displays the RSSD number of the branch. The RSSD ID number is a unique identifying number assigned by the Federal Reserve for all financial institutions, main offices, and branches. RSSD specifically refers to the assigned identifier for *Research, Statistics, Supervision, and Discount* identification numbers.
Branch Role	Displays the role of the financial institution branch in suspicious activity. These are values as defined by FinCEN. Role refers to the role played by the institution in the suspicious activity when certain product types or instruments/payment mechanisms were used in the activity. The Role is a drop-down list with the following options: • **Paying Location**: The financial institution is considered to have played the role of *Paying Location* if the customer received payment from the institution for the products or instruments recorded on the SAR. • **Selling Location**: The financial institution is considered to have played the role of *Selling Location* if the customer purchased products or instruments from the institution. • **Both A and B**: You must select *Both A and B* if the financial institution was both a paying and selling location for the products or instruments recorded on the SAR.

  If there is no branch involved in the suspicious activity, check *Unknown* in the Branch Information grid. It is mandatory to either select the *Unknown* check box or add branch details to the report.

1. If there are no branch details added and also the No Branch Involved check box is not checked, the following message displays on validation: *You must either select a branch for this SAR or indicate No Branch Involved.*

2. If you try to add branch information when the *No Branch Involved* field is checked, the following message displays: *You have indicated that no branch is involved. You must unselect that option before adding a branch.*

3. If you select the check box for *No Branch Involved* when there are existing records on the grid, the following message displays: *You have selected No branch involved with branch records already present. Click OK to continue and delete all existing branch records or Cancel to cancel the selection.*

4. If you select **OK**, the *No Branch Involved* check box will be marked and permanently deletes all the existing branch details.

6.3.1.4.1 Adding Branch Details

To add branch data about the financial institution involved in the suspicious activity, follow these steps:

1. Go to the **Regulatory Report Details** page.
2. Click **Fin Inst Where Activity Occurred** tab.
3. Click **Branch Details** in the LHS menu. The Branch Information grid displays.
4. Click **Add**. The Add a New Branch pop-up window displays.

Figure 9: Add a New Branch Pop-up Window

5. Enter the required information.
6. Click **Save**. The following message displays: *Update Operation Successful*.
7. Click **OK**. The branch details are saved.
8. If you click **Clear**, the details in the Add a New Branch pop-up window is reset to blank values. Click **Close** to close the Add a New Branch pop-up window.

   When you click 🔍 after entering the branch code in the Add a New Branch pop-up window, all the related information gets auto-populated (except role) and is not editable. Clicking the search icon validates that the branch code entered is a valid branch for your institution.

   If you try to save the details in the Add a New Branch pop-up window without first identifying the branch, the following message displays: *Select a Branch before saving.*

6.3.1.4.2 Editing Branch Details

To edit branch data about the financial institution involved in the suspicious activity, follow these steps:

1. Go to the **Regulatory Report Details** page.
2. Click **Fin Inst Where Activity Occurred** tab.

3. Click **Branch Details** in the LHS menu. The Branch Information grid displays.

4. Select the branch details you want to edit.

5. Click **Edit**. The Add a New Branch pop-up window displays.

6. Modify the required information.

7. Click **Save**. The following message displays: *Update Operation Successful*.

8. Click **OK**. The page is refreshed and displays the modified data.

6.3.1.4.3   Deleting Branch Details

To delete branch data about the financial institution involved in the suspicious activity, follow these steps:

1. Go to the **Regulatory Report Details** page.

2. Click **Fin Inst Where Activity Occurred** tab.

3. Click **Branch Details** in the LHS menu. The Branch Information grid displays.

4. Select the branch details you want to delete.

5. Click **Delete**. The following message displays: A*re you sure you want to delete this record*?

6. Click **OK**. The following message displays: *Delete Operation Successful.*

7. Click **OK**. The branch details are deleted.

You cannot edit the report details when the report is in *View* mode. Action buttons, such as Add, Edit, and Delete, are hidden in the Branch Information grid when the report is in *View* mode.

6.4   Managing Suspicious Activity Information

The *Suspicious Activity Information* tab lists all the suspicious activity related information such as Activity Classification, Law Enforcement Agency details, Additional Information related to suspicious activity, and so on.

This tab displays the following options in the LHS menu:

*   Adding Suspicious Activity Details
*   Managing Activity Classification
*   Managing Law Enforcement Agency Details
*   Managing Additional Information

This tab displays the *Validate* button and *Validate* tab button. The Validate button checks the information on the current section, whereas the Validate tab button validates information for all the sections on this tab.

If you click on request for approval and if there is an error in the details of the Suspicious Activity tab, then the application displays the following message: Validate Suspicious Activity.

6.4.1   Adding Suspicious Activity Details

You can add details about the suspicious activity in the Suspicious Activity Details pane. This pane is displayed by default.

To add details about the suspicious activity, follow these steps:

1. Go to the **Regulatory Report Details** page.
2. Click the **Suspicious Activity Information** tab.
3. Click **Suspicious Activity** in the LHS menu. The Suspicious Activity details display.

   Table 15 explains the fields in the Suspicious Activity details pane.

Table 15: Fields in Suspicious Activity Details Pane

Fields	Description
Activity Date From	Enter the date on which the suspicious activity is started.
	If you click on the *Validate* tab and If the date entered in Activity Date From field is lesser than 1 January 1950, then the application displays the following message: *Enter a date in the field "Activity Date From" which is later than or equal to 1st January 1950.*
	If you click the *Validate* button and if there is no value entered in Activity date, the application displays the following message: *Activity date from must be entered.*
To	Enter the date on which the suspicious activity is believed to have ended.
	If you click the *Validate* tab and If the date entered in *Activity Date From* field is greater than the date entered in the *To* date field, the application displays the following message: *Activity Date From cannot be greater than the To Date.*
Amount	Enter the amount involved in the suspicious activity.
	If you click the *Validate* tab and if the cumulative amount entered is less than the amount entered in the amount field of Suspicious activity details, then the application displays the following message: *Cumulative amount should not be less than the amount for suspicious activity.*
	If you click the *Validate* tab and if you have entered '**0**' in the Amount field, then the application displays the following message: *Zero should not be entered in the Amount field in Suspicious Activity Information.*
Cumulative Amount	Enter the cumulative amount involved in suspicious activity.
	Cumulative Amount must be populated only if the report is a Continuing Activity Report.
	If the Cumulative Amount is blank for a Continuing Activity Report, then the application displays the following message: *The report is marked as "Continuing Activity Report" and Cumulative Amount is missing. If the Cumulative Amount is unknown or there is no Cumulative Amount involved please enter 0.*
	If you click the *Validate* button and when the report is not a Continuing Activity Report with a value entered in the Cumulative Amount field, the application displays the following message: *The report is not a "Continuing Activity Report" so Cumulative Amount field in Suspicious Activity tab should be left blank. Also, it should not be entered as 0.*

Table 15: Fields in Suspicious Activity Details Pane

Fields	Description
Amount Unknown/no Amount	Select the amount unknown or no amount involved from the drop-down list.
	Select the **amount unknown** if the amount involved in suspicious activity is unknown.
	Select **No amount involved** if there is no amount involved in the suspicious activity.
	If you click the *Validate* button in the Suspicious Activity Details section without entering any value in Amount field or if you do not select either Amount unknown, nor No amount involved, then the application displays the following message: *Either Amount or Amount Unknown/No Amount field should be entered in suspicious activity information.*
	If you have entered a value in the *Amount* field and also selected No Amount Involved or Amount Unknown option, then the application displays the following message: *When no amount is involved or is unknown, then Amount should not be entered.*

4. Enter the required information.

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

6. **Note**: If you click **Reset**, the page is refreshed and displays the last saved suspicious activity details.

7. Click **OK**. The suspicious activity details are saved.

   - If you try to perform **Request for Approval** action on the report without entering the Suspicious Activity Amount or without indicating that there is no amount involved or amount is unknown, the following message displays: *Either Amount or Amount Unknown/No Amount field should be entered in suspicious activity information.*

   - If you specify an amount and also select *No Amount Involved* or *Amount Unknown* in the Suspicious Activity Details pane, the following message displays: *When no amount is involved or is unknown, then the amount should not be entered.*

   - If you click the *Validate* Tab button and if the information in the Suspicious Activity Details section is not correct, then the application displays the following message: *Validate the Section Suspicious Activity Details.*

6.4.2 Managing Activity Classification

This section provides options to describe the type of suspicious activity such as Fraud, Terrorist Financing. Insurance, Casinos, and so on.

1. Select **Activity Classification** from the LHS menu to view the *Activity Classification* pane.

2. The *Activity Classification* displays the following classification categories:

- Structuring

- Terrorist Financing

- Fraud

- Gaming Activities

- Money Laundering

- Identification/Documentation

- Other Suspicious Activities

- Insurance

- Securities/Futures/Options

- Mortgage Fraud

- Cyber Events

- Were any of the following product type(s) involved in the suspicious activity?

- Were any of the following instrument type(s)/payment mechanism(s) involved in the suspicious activity?

3. Within each category, there are options such as Structuring, Terrorist Financing, and so on to select specific behavior that indicates why it was felt the suspicious activity. Review these options within each category and select one or more that best describes the activity being reported.

4. Each of these classifications in the *Activity Classification* LHS menu contains subtypes. You can check all the options applicable to the suspicious activity.

5. Select **Other** from the activity classification list and enter the description of the activity classification.

6. Click **Save**. All the details in *Activity Classification* pane are saved.

6.4.2.1   Validations for Activity Classification

- If you click the *Validate* button and you have marked *Other* in any of the fields in *Activity Classification* section without entering any description, then the application displays the following messages accordingly:

  - If you have marked **Other in Instrument Type/Payment Mechanism Involved** and have not provided any description, then the application displays the following message: *If Instrument Type/Payment Mechanism Involved contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

  - If you have marked **Other** in Product type and have not provided any description, then the application displays the following message: *If product type involved contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

  - If you have marked **Other** in Mortgage fraud and have not provided any description, then the application displays the following message: *If mortgage fraud contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

  - If you have marked **Other** in Securities/futures/options and have not provided any description, then the application displays the following message: *If securities/futures/options contain Other, a brief description of the activity is mandatory in suspicious activity classification.*

  - If you have marked **Other** in Insurance and have not provided any description, then the application displays the following message: *If insurance contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

  - If you have marked **Other** in Identification documentation and have not provided any description, then the application displays the following message: *If identification documentation contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked **Other** in Money laundering and have not provided any description, then the application displays the following message: *If money laundering contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked **Other** in Gaming Activity and have not provided any description, then the application displays the following message: *If casinos contain Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked **Other** in fraud and have not provided any description, then the application displays the following message: *If fraud contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked **Other** in Terrorist and have not provided any description, then the application displays the following message: *If terrorist financing contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked **Other** in Structuring and have not provided any description, then the application displays the following message: *If structuring contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked **Other** in Other Suspicious activity and have not provided any description, then the application displays the following message: *If another suspicious activity contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have marked **Other** in Cyber Events activity and have not provided any description, then the application displays the following message: *If another suspicious activity contains Other, a brief description of the activity is mandatory in suspicious activity classification.*

- If you have not marked any of the activity classifications, then the application displays the following message: *At least one activity classification should be present.*

- If you click the *Validate* button and if the information in the Activity Classification section is not correct, then the application displays the following message: *Please Validate the Section Activity Classification.*

6.4.3   Managing Law Enforcement Agency Details

You can update the Law Enforcement (LE) Agency details contacted by the firm regarding the suspicious activity in this pane.

1. Select **Law Enforcement Agency Details** from the LHS menu to view the Law Enforcement Agency Details pane.

   Table 16 explains the fields in the *Law Enforcement Agency Details*.

   Table 16: Law Enforcement Agency Details

Fields	Description
LE Contact Agency	Enter the law enforcement contact agency.

Table 16: Law Enforcement Agency Details

Fields	Description
LE Contact Name	Enter the law enforcement contact name. Click on the **Validate** button and if there are one or more prohibited words entered in LE Contact Agency and LE Contact Name fields, then the application displays the following message: *You are not allowed to enter prohibited words in LE Contact Agency and LE Contact Name. The following words are prohibited: AKA, COMPUTER GENERATED, CUSTOMER, DBA, NON CUSTOMER, NONE, NOT APPLICABLE, OTHER, SAME, SAME AS ABOVE, SEE ABOVE, SEE NARRATIVE, SIGNATURE CARD, T/A, UNKNOWN, VARIOUS, XX.*
Contact Number	Enter the contact number of the law enforcement agency.
Extension	Enter the extension number of the law enforcement agency.
LE Contact date	Select the date on which the law enforcement agency was contacted.

2. Click **Save**, all the details in Law Enforcement Agency pane are saved.

3. Click on the **Validate** button. If the information in the Law Enforcement Agency Details section is not correct, then the application displays the following message: *Please Validate the Section Law Enforcement Agency Details.*

6.4.4 Managing Additional Information

Additional information includes specifics regarding any of the following that may have been involved in the activity being reported.

The following are the types of additional information:

- Additional Information: This provides details about the attributes of the assets that are involved in this activity.
- IP Address Details: This provides the IP address details about the system that is reported in this activity.
- Cyber Event Details: This provides the details of the Cyber event types that are used in this activity.

Select **Additional Information** from the LHS menu to view the Additional Information pane. You can add any additional information about the suspicious activity that has been identified.

The Additional Information grid displays an additional information type and description fields.

Figure 10: Additional Information – Edit Mode
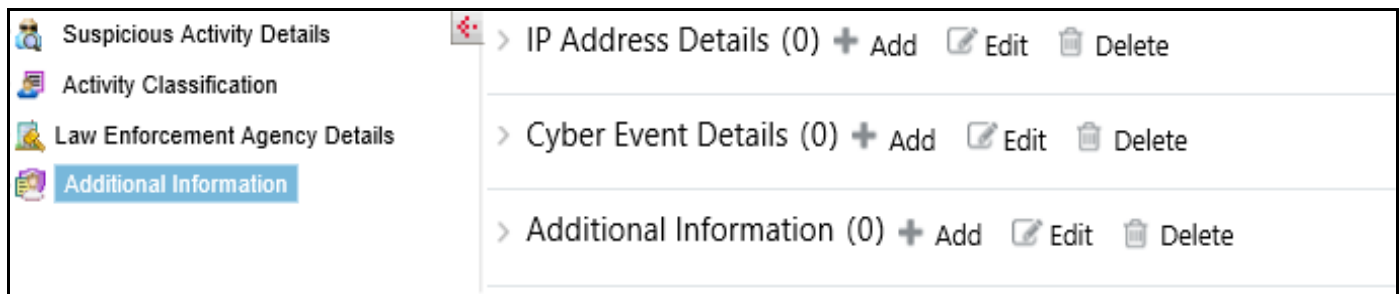
6.4.4.1 Using Additional Information

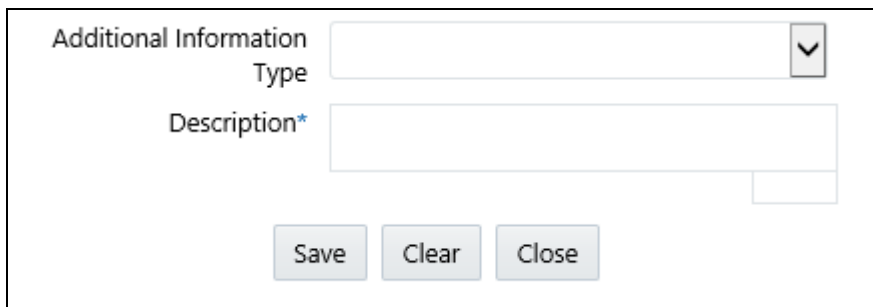This section covers the following topics:

- Adding Additional Information
- Editing Additional Information
- Deleting Additional Information

6.4.4.1.1 Adding Additional Information

To add the additional information about the suspicious activity, follow these steps:

1. Click **Additional Information** on the LHS menu. The Additional Information grid displays.
2. Click **Add**. The Additional Information pop-up window displays.

Figure 11: Add Additional Information Pop-up Window

3. Select the appropriate additional information type.
4. Enter the description. You can enter maximum 50 characters.
5. Click **Save**. The following message displays: *Update Operation Successful*.
6. Click **OK**. The additional information details are saved.

6.4.4.2 Editing Additional Information

To edit the additional information, follow these steps:

1. Select the additional information you want to edit.
2. Click **Edit**. The Additional Information pop-up window displays.
3. Modify the required information.
4. Click **Save**. The following message displays: *Update Operation Successful*.
5. Click **OK**. The additional information details are saved.

6.4.4.3 Deleting Additional Information

To delete the additional information, follow these steps:

1. Select the additional information you want to delete.
2. Click **Delete**. The following message displays: *Are you sure you want to delete this record*?
3. Click **OK**. The following message displays: *Delete Operation Successful*.
4. Click **OK**. The additional information details are deleted.

6.4.4.4   Using Adding IP Address Details

This section covers the following topics:

- Adding IP Address Details
- Editing IP Address Details
- Deleting IP Address Details

6.4.4.4.1   Adding IP Address Details

To add the IP Address Details about the suspicious activity, follow these steps:

1. Go to the **Regulatory Report Details** page.
2. Click the **Suspicious Activity Information** tab.
3. Click **Additional Information** on the LHS menu. The IP Address Details grid displays.
4. Click **Add**. The IP Address Details pop-up window displays.

Figure 12: Add IP Address Details Pop-up Window

5. Enter the appropriate IP Address Details.
6. Select the Activity Date from the calendar.
7. Enter Activity Time.
8. Click **Save**. The following message displays: *Update Operation Successful*.
9. Click **OK**. The additional information details are saved.

    If the IP address is IPv4, use a variation of the format nnn.nnn.nnn.nnn (n = number) with peri-ods between the segments. The first set of numbers must be valued between 1-255 (inclusive). The second, third, and fourth sets of numbers must be valued between 0-255 (inclusive). If the IP address is IPv6, use a variation of the format cccc:cccc:cccc:cccc:cccc:cccc:cccc:cccc (c = charac-ter, IPv6 is alphanumeric in some segments) with colons between the segments.

6.4.4.4.2   Editing IP Address Details

To edit the IP Address Details, follow these steps:

1. Select the IP Address Details you want to edit.
2. Click **Edit**. The IP Address Details pop-up window displays.
3. Modify the required information.

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

5. Click **OK**. The IP Address Details details are saved.

6.4.4.4.3   Deleting IP Address Details

To delete the IP Address Details, follow these steps:

1. Select the IP Address Details you want to delete.

2. Click **Delete**. The following message displays: *Are you sure you want to delete this record*?

3. Click **OK**. The following message displays: *Delete Operation Successful*.

4. Click **OK**. The IP Address Details details are deleted.

6.4.4.5   Using Cyber Event Details

This section covers the following topics:

- Adding Cyber Event Details

- Editing Cyber Event Details

- Deleting Cyber Event Details

6.4.4.5.1   Adding Cyber Event Details

To add the Cyber Event Details about the suspicious activity, follow these steps:

1. Click **Additional Information** on the LHS menu. The Cyber Event Details grid displays.

2. Click **Add**. The Cyber Event Details pop-up window displays.

Figure 13: Add Cyber Event Details Pop-up Window

Table 17 explains the fields in the Cyber Event Details.

Table 17: Cyber Event Details

Fields	Description
Cyber Event Type	Select the cyber event type from the drop-down list.
Cyber Event Description	Enter the Cyber Event description.

Table 17: Cyber Event Details

Fields	Description
Other Description	Enter additional or any other description.
Activity Date	Select the activity date from the calendar.
Activity Time	Enter activity time.

3. Click **Save**. The following message displays: *Update Operation Successful*.

4. Click **OK**. The Cyber Event Details details are saved.

   ■ The value provided must adhere to the following requirements: 4000 characters or less; must be in the following format based on these specific types of cyber events: ? Command and Control/Suspicious IP Addresses: If the IP address is IPv4, use a variation of the format nnn.nnn.nnn.nnn (n = number) with periods between the segments. First set of numbers must be values between 1-255 (inclusive); second, third and fourth set of numbers must be values between 0-255 (inclusive). If the IP address is IPv6, use a variation of the format cccc:cccc:cccc:cccc:cccc:cccc:cccc:cccc (c = character, IPv6 is alphanumeric in some segments) with colons between the segments.

   ■ URL/Domain names: Must contain at least one period, no spaces, cannot begin or end with a dash.

   ■ Media Access Control (MAC) Addresses: Must be in the format XX:XX:XX:XX:XX:XX

   ■ Email Addresses: Must contain @ symbol and at least one period following the @ symbol.

6.4.4.5.2 Editing Cyber Event Details

To edit Cyber Event Details, follow these steps:

1. Select the Cyber Event Details you want to edit.

2. Click **Edit**. The Cyber Event Details pop-up window displays.

3. Modify the required information.

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

5. Click **OK**. The additional information details are saved.

6.4.4.5.3 Deleting Cyber Event Details

To delete Cyber Event Details, follow these steps:

1. Select the Cyber Event Details you want to delete.

2. Click **Delete**. The following message displays: *Are you sure you want to delete this record*?

3. Click **OK**. The following message displays: *Delete Operation Successful*.

4. Click **OK**. The Cyber Event Details details are deleted.

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

You cannot edit the report details when the report is in View mode. Action buttons, such as Save and Reset are hidden in the Law Enforcement Agency Details when the report is in View mode

Figure 14: Law Enforcement Agency Details – View Mode.

You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, and Delete are hidden in the Additional Information grid when the report is in View mode.

6.5 Managing Subject Information

This section covers the following topics:

- Subject Information Overview
- Using Subject Information
- Using Subject Address
- Using Subject Phone Details
- Using Subject Alternate Name Details
- Using Subject Email Address
- Using Subject Website (URL) Address
- Using Account Information
- Using Subject Relationship with Financial Institution

6.5.1 Subject Information Overview

The *Subject Information* page lists information related to the subject, accounts associated with the subject, and the subject's relationship with the financial institution. A maximum of 999 records can be added to one report or suspicious activity.

The *Validate* button in the Subject Information grid checks for any missing mandatory information.

Table 21 explains the columns in the Subject Information grid.

Table 18: Subject Information

Fields	Description
Subject Record #	Displays the subject record number. It is a system-generated unique number that identifies the subject for this report. It is used for confirmation messages to identify the subjects whose information does not meet validation or approval requirements.
Subject Name	Displays the subject name.
TIN	Displays the subject TIN number.
Occupation/Type of Business	Displays the occupation/type of business of the subject.
Role	Defines the role of the subject in the suspicious activity that is reported. The Role is a drop-down list with the following options: ● **Purchaser/Sender**: If the subject purchased, sent the instruments, or products involved in the suspicious activity, then they are considered to have played the role of *Purchaser/Sender*. ● **Payee/Receiver**: If the subject received the instruments or products involved in suspicious activity, then they are considered to have played the role of the *Payee/Receiver*. ● **Both A and B**: Select this option if the subject acted as both *Purchaser/Sender* and *Payee/Receiver*.

6.5.2   Using Subject Information

This section covers the following topics:

- Adding Subject Information
- Editing Subject Information
- Deleting Subject Information

6.5.2.1   Adding Subject Information

To add the subject information, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Subject Information** tab.

3. Click **Add**. The Subject Details window expands below the section where you can enter the required subject information.

Figure 15: .Adding Subject Information

Table 19 explains the fields in the Subject Information pop-up window.

Table 19: Subject Information

Fields	Description
Is critical information unknown?	Select this check box if all critical information about the subject is unavailable. Critical information is considered to be: ● Last Name/Entity Name ● First Name ● TIN ● DOB ● Address ● Identification
Is subject an Entity	Select this check box if the subject is an entity. Some of the fields such as first name, middle name, suffix, gender, date of birth, and so on are disabled on the selection of this check box.
Last Name/Entity Name	Enter the last name of the entity or subject.
Middle Name	Enter the subject's middle name.
First Name	Enter the subject's first name.
Suffix	Enter the subject suffix.
DOB	Enter the subject's date of birth.
Gender	Enter the subject's gender.
TIN	Enter the subject TIN number.
TIN Type	Enter the subject TIN type.

Table 19: Subject Information

Fields	Description
NAICS Code	Select the NAICS code. NAICS stands for *The North American Industry Classification System*. It is used by business and government to classify and measure economic activity in Canada, Mexico, and the United States. The NAICS numbering system is a six-digit code. The first five digits are generally the same in all three countries. The last digit designates national industries. The first two digits designate the largest business sector, the third digit designates the sub-sector, the fourth digit designates the industry group, and the fifth digit designates particular industries.
Occupation/Type of Business	Enter the occupation or type of business of the subject.
Corroborative Statement Received	Select whether the corroborative statement is received. As per FinCEN, a corroborative statement is considered to be where the subject has made a statement to the filing institution admitting to the involvement or otherwise substantiating the suspicious activity. If such a statement was made, you must select **Yes**. If not, select **No**. If you select Yes, then the nature of that statement should be captured in the report *Narrative*. If you click Save without selecting any value in this field, then the application displays the following message: *You have not selected any value for Corroborative Statement Received for Suspect ID- <Suspect ID>*.
Subject role	Select the role of the subject in the suspicious activity.

4. Enter the required information.

   Note: For some fields where information may not be known there is an option to select the *Unknown* check box. A value must be provided for those fields where the unknown check box is not selected unless the *Is All Critical Information* check box is selected, in which case these fields will be considered unknown.

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

6. Click **OK**. The subject information is saved.

   You can now view grids such as Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

6.5.2.2   Editing Subject Information

To edit the subject information, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Subject Information** tab.

3. Select the record you want to edit in the Subject Information grid. A window expands below displaying all the Subject Information.

4. Modify the necessary information.

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

6. Click **OK**. The subject information is saved.

6.5.2.3 Deleting Subject Information

To delete the subject information, follow these steps:

1. Go to the **Regulatory Reports Details** page.
2. Click the **Subject Information** tab.
3. Select the record you want to delete in the Subject Information grid.
4. Click **Delete**. The following message displays: *Are you sure you want to delete this record*?
5. Click **OK**. The following message displays: *Delete Operation Successful*.
6. Click **OK**. The Subject information is deleted.

1. If *Is critical information unknown?* is unchecked and you have not entered information for at least one critical field or have not checked all of the subject info associated with Unknown check boxes, the following message displays: *Sub# Subject Record- "Is critical information unknown" is not checked and some mandatory fields are missing. Please make sure you enter values for mandatory Subject details i.e. (Last Name/ Entity Name, First Name, TIN, DOB, address, and Identification Information or mark fields as Unknown.*
2. If you are adding or editing the subject details and select the *Is critical information unknown?* check box after entering information in one or more critical fields, the following message displays: *All critical information of the subject i.e. Last Name/ Entity Name, First Name, TIN, DOB, Address details and Identification Information will be cleared if the critical information unknown field is checked. Click OK to continue and clear values from the mandatory fields or Cancel to modify your selection.*
3. If you select the *Critical Information Unknown* check box, you will not be able to add subject address and identification details and the following message displays: *You are not allowed to add address and identification info when 'Is critical information unknown?' field is true.*
4. In the *Subject Information* tab, if you click on the **Validate** button and if there are no records present in Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: *There is no Record present to Validate the information.*
5. In the *Subject Information* tab, if you click on the **Validate** button and if there is a blank record present in Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: *There is Blank Record present to Validate the information. Please enter the information in the record and then Validate.*

6.5.3 Using Subject Address

This section covers the following topics:

- Adding Subject Address
- Editing Subject Address Details
- Deleting Subject Address Details

6.5.3.1 Adding Subject Address

To add the subject address details, follow these steps.

1. Go to the **Regulatory Reports Details** page.
2. Click the **Subject Information** tab.

3. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

4. Click **Add** in the Address grid. The Address pop-up window displays.

Figure 16: Address Pop-up Window

5. Enter the required information in the Address pop-up window.

    Note: You must either provide a value for each field or select the Unknown check box for any part of the address that is not known.

6. Click **Save**. The following message displays: *Update Operation Successful*.

7. Click **OK**. The subject address details are saved.

8. Click **Clear** to clear the entries in the Address pop-up window and click **Close** to close the Address pop-up window.

Validations:

The OFS CRR application performs the following validations while entering subject address details:

- You are not allowed to add Address and Identification Information when *Is critical information unknown?* the field is true.

- You must not enter more than 100 characters in the Address field.

- You must not enter more than 50 characters in the city field.

- For the US, the postal code must contain only numbers, either 5 or 9 in length.

- For the US, the postal code should not end with 0000 and 9999.

6.5.3.2   Editing Subject Address Details

To edit the subject address, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Subject Information** tab.

3. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification,

URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

4. Click **Edit** in the Address grid. The Address pop-up window displays.

5. Modify the required information.

6. Click **Save**. The following message displays: *Update Operation Successful*.

7. Click **OK**. The subject address details are saved.

6.5.3.3   Deleting Subject Address Details

To delete the subject address details, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Subject Information** tab.

3. Select the record you want to delete in the Address grid.

4. Click **Delete** in the Address grid. The following message displays: *Are you sure you want to delete this record*.

5. Click **OK**. The following message displays: *Delete Operation Successful*.

6. Click **OK**. The subject address detail is deleted.

    The *Validate* button in the Address grid validates the information present in the Address section and checks for any missing mandatory information.

6.5.4   Using Subject Phone Details

This section covers the following topics:

- Adding Subject Phone Details
- Editing Subject Phone Details
- Deleting Subject Phone Details

6.5.4.1   Adding Subject Phone Details

To add the subject phone details, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Subject Information** tab.

3. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

4. Click **Add** in the Phone grid. The Phone pop-up window displays.

Figure 17: Phone Pop-up Window

5. Enter the required information in the Phone pop-up window.

6. **Note**: The type in the Phone pop-up window represents the mode of communication used to interact with the subject.

7. The following options are available for Type in the Phone pop-up window:

   - Fax

   - Mobile

   - Work

   - Home

8. Click **Save**. The following message displays: *Update Operation Successful*.

9. Click **OK**. The phone details are saved.

10. Click **Clear** to clear the entries in the Phone pop-up window and click **Close** to close the Phone pop-up window.

Validations:

1. User can only enter numeric values in this field and user cannot enter any letters or special characters.

2. If you select the phone number type and you have not provided the phone number, the application displays the following message: *You have provided a Phone Number Type but no Phone Number. Please add a phone number or clear your selection of Phone Number Type.*

3. The application performs the following validations while entering subject phone details:

- You must not enter more than 16 characters in the phone number field.

- You must not enter more than 6 characters in the extension field.

6.5.4.2   Editing Subject Phone Details

To edit the subject phone details, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Subject Information** tab.

3. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

4. Select the record you want to edit in the Phone grid.

5. Click **Edit** in the Phone grid. The Phone pop-up window displays.

6. Modify the required information.

7. Click **Save**. The following message displays: *Update Operation Successful.*

8. Click **OK**. The subject phone details are saved.

6.5.4.3 Deleting Subject Phone Details

To delete the subject phone details, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Subject Information** tab.

3. Select the record you want to delete in the Phone grid.

4. Click **Delete** in the Phone grid. The following message displays: *Are you sure you want to delete this record*.

5. Click **OK**. The following message displays: *Delete Operation Successful.*

6. Click **OK**. The Subject phone details are deleted.

   The Validate button in the Phone grid validates the information present in the Phone section and checks for any missing mandatory information.

6.5.4.4 Using Subject Identification Details

This section covers the following topics:

- Adding Subject Identification Details
- Editing Subject Identification Details
- Deleting Subject Identification Details

6.5.4.5 Adding Subject Identification Details

To add the subject identification details, follow these steps:

1. Go to the **Subject Information** tab.

2. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

3. Click **Add** in the Form of Identification grid. The Form of Identification pop-up window displays.

Figure 18: Form of Identification Pop-up Window

4. Enter the required information in the *Form of Identification* pop-up window.

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

6. Click **OK**. The subject identification details are saved.

7. Click **Clear** to clear the entries in the Form of Identification pop-up window and click **Close** to close the Form of Identification pop-up window.

    Select the **Unknown** check box if you do not want to enter any information for Forms of Identification.

Validations:

1. If you select the Unknown check box when a report already contains one or more identification details, the application displays the following message: *You have selected No identification details are available with identification details already present. Click Ok to continue and delete all existing identification details or Cancel to cancel the selection.*

2. If you try to add new identification details when you have already selected the Unknown check box, the application displays the following message: *You have indicated that no identification details are available. You must unselect that option before adding identification information.*

3. The application performs the following validations while entering subject identification details:

-   You are not allowed to add Address and Identification Information when *Is critical information unknown?* the field is true.

-   It is mandatory to enter the Identification type for Identification details.

-   It is mandatory to enter a brief description of Identification if the Identification type is *Other*.

-   You should not enter a description of Identification when the Identification type is *not Other*.

-   You should not enter more than 24 characters in the *Identification number* field.

-   You should not enter more than 50 characters in the *Other* field.

-   The Country is mandatory for all the identification details entered.

6.5.4.6   Editing Subject Identification Details

To edit the subject identification details, follow these steps:

1. Go to the **Subject Information** tab.

2. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

3. Select the record you want to edit in the Form of Identification grid.

4. Click **Edit** in the Form of Identification grid. The Form of Identification pop-up window displays.

5. Modify the required information.

6. Click **Save**. The following message displays: *Update Operation Successful*.

7. Click **OK**. The subject identification details are saved.

6.5.4.7   Deleting Subject Identification Details

To delete the subject identification details, follow these steps.

1. Go to the **Subject Information** tab.

2. Select the record you want to delete in the Form of Identification grid.

3. Click **Delete** in the Form of Identification grid. The following message displays: *Are you sure you want to delete this record*.

4. Click **OK**. The following message displays: *Delete Operation Successful*.

5. Click **OK**. The subject identification details are deleted.

   The Validate button in the *Form of Identification* grid validates the information present in this section and checks for any missing mandatory information.

6.5.5 Using Subject Alternate Name Details

This section covers the following topics:

- Adding Subject Alternate Name Details
- Editing Subject Alternate Name Details
- Deleting Subject Alternate Name Details

6.5.5.1 Adding Subject Alternate Name Details

To add the subject alternate name details, follow these steps.

1. Go to the **Subject Information** tab.

2. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

3. Click **Add** in the Alternate Name grid. The Alternate name pop-up window displays.

4. Enter the required information in the Alternate Name pop-up window.

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

6. Click **OK**. The alternate name details are saved.

7. Click **Clear** to clear the entries in the Alternate Name pop-up window. Click **Close** to close the Alternate Name pop-up window.

Validations:

The application performs the following validations while entering subject alternate name details:

- You should not enter more than 150 characters for an alternate name.

- You should not use prohibited words such as AKA, computer-generated, customer, DBA, Non-customer, none, not applicable, other, same, same as above, see above, see narrative, signature card, T/A, unknown, various, and so on.

6.5.5.2 Editing Subject Alternate Name Details

To edit the subject alternate name details, follow these steps:

1. Go to the **Subject Information** tab.

2. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

3. Select the record you want to edit in the Alternate Name grid.

4. Click **Edit** in the Alternate Name grid. The Alternate Name pop-up window displays.

5. Modify the required information.

6. Click **Save**. The following message displays: *Update Operation Successful*.

7. Click **OK**. The alternate name details are saved.

6.5.5.3 Deleting Subject Alternate Name Details

To delete the subject alternate name details, follow these steps.

1. Go to the **Subject Information** tab.

2. Select the record you want to delete in the Alternate Name grid.

3. Click **Delete** in the Alternate Name grid. The following message displays: *Are you sure you want to delete this record*.

4. Click **OK**. The following message displays: *Delete Operation Successful*.

5. Click **OK**. The Subject alternate name details are deleted.

    The Validate button in the Alternate name grid validates the information present in this section and checks for any missing mandatory information.

6.5.6 Using Subject Email Address

This section covers the following topics:

- Adding Subject Email Address
- Editing Subject Email Address
- Deleting Subject Email Address

6.5.6.1 Adding Subject Email Address

To add the subject email details, follow these steps.

1. Go to the **Subject Information** tab.

2. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

3. Click **Add** in the Email Address grid. The Email Address pop-up window displays.

4. Enter the required information in the Email Address pop-up window.

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

6. Click **OK**. The email details are saved.

7. Click **Clear** to clear the entries in the Email Address pop-up window and click **Close** to close the Email Address pop-up window.

Validations:

1. If you enter an invalid Email address, the application displays the following message: *Invalid Email Id.*

2. The application performs the following validations while entering subject email details:

- You should not enter more than 50 characters in the Email ID field.

- One or more Email ID(s) is in invalid format. Email addresses must contain only one "@" sign and a period in the text following the "@" sign.

6.5.6.2 Editing Subject Email Address

To edit the subject email address, follow these steps:

1. Go to the **Subject Information** tab.

2. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

3. Click **Edit** in the Email Address grid. The Email Address pop-up window displays.

4. Modify the required information.

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

6. Click **OK**. The subject email details are saved.

6.5.6.3 Deleting Subject Email Address

To delete the subject email details, follow these steps.

1. Go to the **Subject Information** tab.

2. Select the record you want to delete in the Email Address grid.

3. Click **Delete** in the Email Address grid. The following message displays: *Are you sure you want to delete this record*.

4. Click **OK**. The following message displays: *Delete Operation Successful*.

5. Click **OK**. The Subject email details are deleted.

   The Validate button in the E-mail address grid validates the information present in this section and checks for any missing mandatory information.

6.5.7 Using Subject Website (URL) Address

This section covers the following topics:

- Adding Subject Website (URL) Address

- Editing Subject Website (URL) Address

- Deleting Subject Website (URL) Address

6.5.7.1 Adding Subject Website (URL) Address

To add the subject website details, follow these steps.

1. Go to the **Subject Information** tab.

2. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

3. Click **Add** in the Website (URL) Address grid. The Website (URL) Address pop-up window displays.

4. Enter the required information in the Website (URL) Address pop-up window.

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

6. Click **OK**. The URL details are saved.

7. Click **Clear** to clear the entries in the Website (URL) Address pop-up window and click **Close** to close the Website (URL) Address pop-up window.

Validations:

1. If you enter an invalid URL address, the application displays the following message: *Invalid URL.*

2. The application performs the following validations while entering subject website details:

    ▪   You should not enter more than 517 characters in the URL field.

    ▪   The URL addresses must contain a dot (.) and must not include the "@" character.

6.5.7.2   Editing Subject Website (URL) Address

To edit the subject website (URL) address, follow these steps:

1. Go to the **Subject Information** tab.

2. Select the record for which you want to add the subject phone details. A window expands below the section and it displays the following details: Phone, Address, Email, Form of Identification, URL, Alternate Name, Email address, URL address, Account Information, and Relationship with the financial institution where you can enter the required subject details.

3. Click **Edit** in the Website (URL) Address grid. The Website (URL) Address pop-up window displays.

4. Modify the required information.

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

6. Click **OK**. The subject URL details are saved.

6.5.7.3   Deleting Subject Website (URL) Address

To delete the subject website (URL) details, follow these steps.

1. Go to the **Subject Information** tab.

2. Select the record you want to delete in the Website (URL) Address grid.

3. Click **Delete** in the Website (URL) Address grid. The following message displays: *Are you sure you want to delete this record*.

4. Click **OK**. The following message displays: *Delete Operation Successful*.

5. Click **OK**. The Subject URL details are deleted.

    The Validate button in the Website (URL) grid validates the information present in this section and checks for any missing mandatory information.

6.5.8   Using Account Information

This section covers the following topics:

*   Adding Subject Account Information

*   Editing Subject Account Information

*   Deleting Subject Account Information

6.5.8.1 Adding Subject Account Information

The account information container captures the Account details of the Subject. The **Validate** button in the Account Information grid checks for any missing mandatory information. You can add, edit, or delete subject account information.

If there are no accounts involved in the suspicious activity, check *Unknown.* If the Unknown checkbox is checked, then you cannot add any account information.

1. If you click the check box *If No Account Involved, check this box* when the report already contains one or more account details, the following message displays: *You have selected No known account involved with account records already present. Click Ok to continue and delete all existing account records or Cancel to cancel the selection.*

2. If there are no account details and *If No Account Involved, check this box* is not checked, the following message displays: *You must either enter account information or indicate No known account involved for Subject record # 12345.*

3. If you try to add a new account when *If No Account Involved, check this box* field is checked, the following message displays: *You have indicated that no known accounts are involved. You must unselect that option before adding an account.*

4. While adding an account you must specify either the TIN or the Account Number (at least one of them). In case you fail to mention both the TIN and the Account Number, the following message displays: *Account Details must contain at least an Affected Account or a Financial Institution TIN. Please provide at least one.*

5. If you enter TIN type as SSN/ITIN or EIN and if it is more than 9 digits or if it contains any special characters, then the application displays the following message: *12345 Subject # - For TIN type, SSN/ITIN or EIN length of tin number should be 9 and it must contain only numbers. It should not contain any special characters.*

To add the subject account details, follow these steps:

1. Go to the **Subject Information** tab.

2. Click **Account Details** in the LHS menu. The *Account Information* grid displays.

3. Click **Add**. The *Account Add* pop-up window displays.

Figure 19: Account Add Pop-up Window

Table 20 explains the fields in the Account Details pop-up window.

Table 20: Account

Fields	Description
Non-US Financial Institution	Select *No* if the financial institution associated with the account is a US-based financial institution. Select *Yes* if the financial institution associated with the account is a non-US institution.
Financial Institution TIN	Enter the financial institution TIN number.
Account Number	Enter the account number.
Is Account Closed	Select whether the account is closed or not. If you have not selected any value in the field *Is Account Closed,* the application displays the following message: *You have not selected any value for field Is Account Closed.*

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

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

6. Click **Clear** to clear the account details entered and click **Close** to close the Account Details pop-up window.

6.5.8.2 Editing Subject Account Information

To edit the subject account details, follow these steps:

1. Go to the **Subject Information** tab.

2. Click **Account Details** in the LHS menu. The Account Information grid displays.

3. Select the account you want to edit in the Account Information grid.

4. Click **Edit**. The Account Add pop-up window displays.

5. Modify the required information.

6. Click **Save**. The following message displays: *Update Operation Successful*.

7. Click **OK**. The subject account details are saved.

6.5.8.3 Deleting Subject Account Information

To delete the subject account details, follow these steps:

1. Go to the **Subject Information** tab.

2. Click **Account Details** in the LHS menu. The Account Information grid displays.

3. Select the account you want to delete in the Account Information grid.

4. Click **Delete**. The following message displays: *Are you sure you want to delete this record*.

5. Click **OK**. The following message displays: *Delete Operation Successful.*

6. Click **OK**. The subject account detail is deleted.

6.5.9 Using Subject Relationship with Financial Institution

The Relationship with Financial Institution container provides data regarding the Relationship of the Subject with the Financial Institutions mentioned in the report.

This section covers the following topics:

- Adding Subject Relationship with Financial Institution

- Editing Subject Relationship with Financial Institution

- Deleting Subject Relationship with Financial Institution

The Relationship with Financial Institution container provides data regarding the Relationship of the Subject with the Financial Institutions mentioned in the report.

The *Validate* button in the Subject information tab checks for any missing mandatory information and identifies any disallowed combinations of Relationship types and the inclusion of an Action Date.

If you click Save without entering any value in *Relationship with Financial Institution*, the application displays the following message: *You have not selected any value for "Relationship with Financial Institution". If there is no relationship then please select "No relationship to an institution" from the drop-down.*

Table 21 explains the columns in the Relationship With Financial Institution grid.

Table 21: Relationship With Financial Institution

Fields	Description
Financial Institution TIN	Displays the TIN number of the financial institution.
Relationship with Financial Institution	Displays the relationship of the subject with the financial institution.
Status	Displays the status of the relationship of the subject with the financial institution.
Action Date	Displays the action date from the calendar.

6.5.9.1 Adding Subject Relationship with Financial Institution

You can add, edit, validate, or delete the relationship of the subject with financial institution details.

To add the subject relationship with a financial institution, follow these steps:

1. Go to the **Subject Information** tab.

2. Click **Relationship with financial institution** LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.

3. Click **Add**. The Relationship with Financial Institution pop-up window displays.

Figure 20: Add Relationship with Financial Institution Pop-up Window

Table 22 explains the fields in the Add Relationship with Financial Institution pop-up window.

Table 22: Add Relationship with Financial Institution

Fields	Description
Financial Institution TIN	Enter the TIN number of the financial institution.
Relationship with Financial Institution	Select the relationship of the subject with the financial institution from the drop-down list. This field provides the following options in the drop-down list: • Accountant • Agent • Appraiser • Attorney • Borrower • Customer • Director • Employee • No relationship to the institution • Officer • Owner or Controlling shareholder • Other
Description (Relationship type "Other")	Enter the relationship of the subject with the financial institution. If the relationship of the subject with the financial institution is anything other than the options provided in the Relationship with Financial Institution drop-down list, then you must select **Other** and provide a description of the relationship.

Table 22: Add Relationship with Financial Institution

Fields	Description
Status	Select the status of the relationship of the subject with the financial institution from the drop-down list. This field provides the following options in the drop-down list: • Resigned • Suspended/Barred • Terminated • Relationship continues
Action Date	Select the date of termination of the subject related to the financial institution. **Note:** This field must be updated only if the relationship status is Terminated.

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

5. Click **OK**. The Relationship with Financial Institution details is saved.

6. Click **Clear** to clear the subject relationship with financial institution details entered. Click **Close** to close the Subject Relationship With Financial Institution pop-up window.

6.5.9.2 Editing Subject Relationship with Financial Institution

To edit the subject relationship with a financial institution, follow these steps:

1. Go to the **Subject Information** tab.

2. Click **Relationship with financial institution** LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.

3. Select the record you want to edit from the Relationship with Financial Institution grid.

4. Click **Edit**. The Relationship with Financial Institution pop-up window displays.

5. Modify the required information.

6. Click **Save**. The following message displays: *Update Operation Successful.*

7. Click **OK**. The Relationship with Financial Institution details is saved.

6.5.9.3 Deleting Subject Relationship with Financial Institution

To delete the subject relationship with a financial institution, follow these steps:

1. Go to the **Subject Information** tab.

2. Click **Relationship with financial institution** LHS menu in the Subject Information tab. The Relationship with Financial Institution grid displays.

3. Select the record you want to delete from the Relationship with Financial Institution grid.

4. Click **Delete**. The following message displays: *Are you sure you want to delete this record.*

5. Click **OK**. The following message displays: *Delete Operation Successful.*

6. Click **OK**. The Relationship with Financial Institution detail is deleted.

You cannot edit the report details when the report is in View mode. Action buttons, such as Add, Edit, Delete, and Validate, are hidden in the Subject Details when the report is in View mode.

6.6   Managing Documents

The Documents tab lists all the documents that are attached to the report. It also allows you to add additional documents. You can upload files of any format with a size of less than 1 MB.

Table 23 explains the fields in the Documents grid.

Table 23: Documents

Fields	Description
Actual file name	Displays the actual file name of the document attached.
File name	Displays the logical file name assigned by the user.
Include this file in the report	Displays whether the attached document is included in the final report or not.

You can upload files of any format in the Documents tab. You can choose to include the attached document in the report.

However, only one file of .csv format can be included in the report. You cannot include files of any other format other than .csv in the report.

This section covers the following topics:

- Adding Documents
- Viewing Documents
- Deleting Documents
- Validate a Document
- Including Documents in the Report

6.6.1   Adding Documents

To add the documents, follow these steps:

1. Go to the Regulatory Reports Details page.
2. Click the **Documents** tab. The document details display.
3. Click **Add**. The Attach Document pop-up window displays.

Figure 21: Attach Document Pop-up Window

Table 24 explains the fields in the Attach Document pop-up window.

Table 24: Attach Document

Fields	Description
Logical File Name	Enter the file name of the document to be attached.
Choose a File	Select the file that needs to be attached. You can attach files of any format in the Documents tab.

4. Click **Browse** in the *Choose a file* field. Select the document that must be attached from the local system.

5. Click **Attach File**. The following message displays: *Add Operation Successful*.

6. Click **OK**. The Attach Document pop-up window displays for attaching a new document.

7. Click **Close** to view the newly added document in the List of Documents grid.

6.6.2   Viewing Documents

To view the documents attached, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Documents** tab. The Document details display.

3. Select the document you want to view from the List of Documents grid.

4. Click **View Document**. A File Download box displays.

5. Click **Open** in the File Download Box to view the document attached. Click **Save** to save a copy of the attached document in your local system or click **Cancel** to close the File Download Box.

6.6.3   Deleting Documents

To delete the attached documents, follow these steps:

1. Go to the Regulatory Reports Details page

2. Click the **Documents** tab. The document details display.

3. Select the document you want to delete.

4. Click **Delete**. The following message displays: *Are you sure you want to delete this record*.

5. Click **OK**. The following message displays: *Delete Operation Successful*.

6. If you click **Cancel**, the document is not deleted.

7. Click **OK**. The List of Documents grid displays.

6.6.4   Validate a Document

While creating the report, if you select **Include in Report** option, then the Report (.csv format) will get validated here. Only *.csv* format is accepted as an attachment in the document tab.

6.6.5   Including Documents in the Report

You can include the document attached in the Documents tab in the report. Only one file of .csv format can be included in the report. You cannot include files of any other format.

To include the attached document, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Documents** tab. The documents attached display in the List of Documents grid.

3. Select the check box of the document you want to include in the report.

4. Select **Yes** from the drop-down list in the *Include This File in Report* column.

5. Click **Save** in the List of Documents grid. The following message displays: *Update Operation Successful*.

6. Click **OK**. The List of Documents grid displays.

   If you try to include files of any other format (other than .csv format), the following message displays: *Only a document with csv extension can be included in the report.*

   If you try to include more than one .csv file in the report, the following message displays: *Only one document can be made primary for a report.*

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

6.7   Adding Narrative

The Narrative tab displays the description of the suspicious activity. It also displays any additional information related to suspicious activity.

To update the Narrative tab, follow these steps:

1. Go to the **Regulatory Reports Details** page.

2. Click the **Narrative** tab. The Narrative pane displays.

3. Enter the information in the Narrative pane.

   > **NOTE**   You can enter a maximum of 20000 characters in the narrative pane.

4. Click **Save**. The following message displays: *Update Operation Successful. Carriage returns (if any) will be removed when submitting to FinCEN.*

   > **NOTE**   The line breaks in the Narrative tab is removed while submitting the e-file to FinCEN.

5. Click **OK**. The narrative details are saved.

6. To clear the changes made in the Narrative tab, click **Reset**. The page refreshes to display the last saved data.

Figure 22: Narrative Tab - Edit Mode
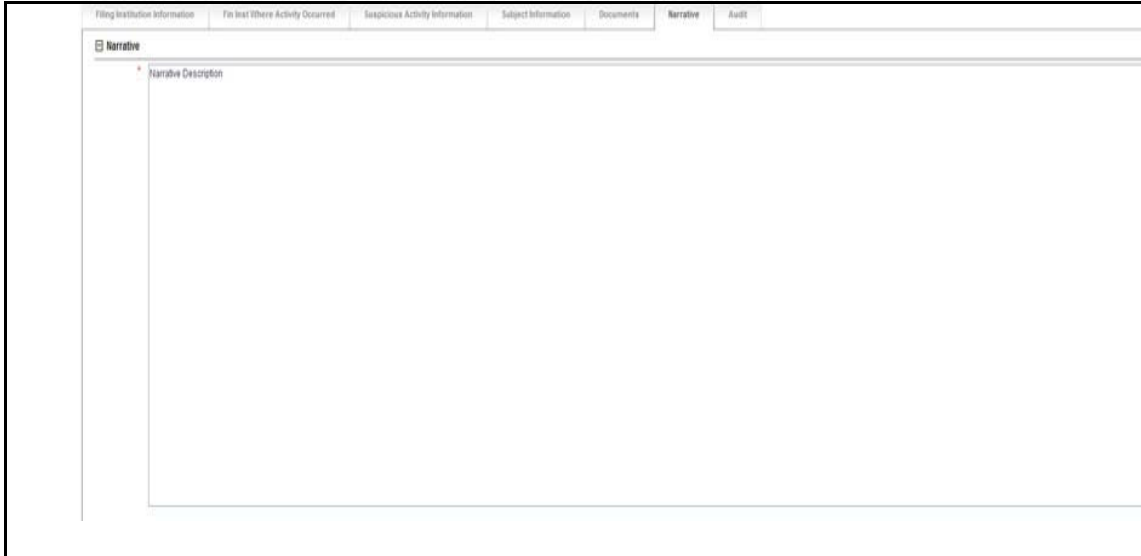
You cannot edit the report details when the report is in View mode. Action buttons, such as *Save* and *Reset* are hidden in the Narrative tab when the report is in View mode.

6.8 Viewing Audit

The Audit tab displays actions taken on the report. This tab contains the Regulatory Report Actions Grid and the Regulatory Report Comments Grid.

Figure 23: Audit Tab

The Audit tab displays the following grids:

- Regulatory Report Actions
- Regulatory Report Comments

6.8.0.0.1 Regulatory Report Actions

The *Regulatory Report Actions* displays the actions taken on the regulatory report.

Table 25 displays the actiion fields.

Table 25: Actions

Fields	Description
Action	• Filing Institution Information Modified • Added Financial Institution • Modified Financial Institution • Removed Financial Institution • Added Branch Information • Modified Branch Information • Delete Branch Information • Added New Subject – Subject Record # (When you click Save) • Removed Subject – Subject Record # • Modified Subject Details – Subject Record # • Modified Suspicious Activity Details Modified Suspicious Activity Classi-fication • Modified Law Enforcement Information • Added Suspicious Activity Additional Information • Modified Suspicious Activity Additional Information • Removed Suspicious Activity Additional Information • Added New Document – Name of the added document • Removed Document – Name of the Removed document • Added Relationship with Financial Institution • Modified Relationship with Financial Institution • Removed Relationship with Financial Institution • Added New Account - Account Number • Modified New Account - Account Number • Removed New Account - Account Number • Narrative Added • Due Date Modified

6.8.0.0.2 Regulatory Report Comments

The Regulatory Report Comments provides the lists of all the comments from different users from the Audit log.

Table 26 displays the Regulatory Report Comments fields.

Table 26: Regulatory Report Comments

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

7   Acting on Reports

This chapter explains various actions that can be performed on the reports and includes the following topics:

- Requesting for Approval
- Approving/Rejecting/Closing Reports
- Filing Regulatory Reports

7.1   Requesting for Approval
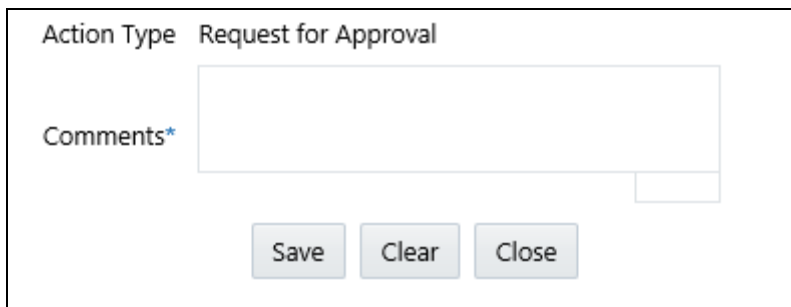
After updating the report details, they must be validated. The Regulatory Report Details page allows you to submit a report for approval. You can validate the report details and can either Approve, Close, or Reject the report. For more information on user roles, see Table 5.

You can initiate Request for Approval action, only when the report is in *Open/Rejected/Rejected from e-file* status.

To submit a report for approval, follow these steps:

1. Go to the Regulatory Report Details.

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

Figure 24: Request for Approval Action Pop-up Window

3. Enter the comments in the Action pop-up window. You can enter maximum 120 characters.

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

5. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

> **NOTE**   The Regulatory Report Action grid in the Audit tab displays the comments added in the Request for Approval Action pop-up window.

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

7.2   Approving/Rejecting/Closing Reports

The *Regulatory Report Details* allows you to approve, reject, or close the regulatory reports.

You can approve, reject, or close the report only when all the mandatory fields in Report Details tabs are complete.

If the report is approved, an e-file is generated for the report. The generated e-file is submitted with the FinCENs BSA E-Filing System.

If the report is rejected, then you must re-work on the report and submit the report for approval or you can close the report. If you close the report after being rejected, then the status of the report changes to Closed. But if you choose to rework on the report, then the status of the report changes to Request for Approval, which must again be validated and approved by authorized users. This process continues until the report is approved or closed.

If you close the report, the report details cannot be edited and the report is in View mode. For more information on user roles, see Table 5.

This section covers the following topics:

- Approving Reports
- Rejecting Reports
- Closing Reports

7.2.1   Approving Reports

To approve a report, follow these steps:

1. Go to the **Regulatory Report Details** page.

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

Figure 25: Approve Action Pop-up Window

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

4. **Note**: The comments box in the Action pop-up window allows 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*.

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

6. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

7. Click **OK**. The report audit details display. The Regulatory Report Action grid in the Audit tab displays the comments added in the Approve Action pop-up window.

8. If you click **Save**, without entering the comments in the Approve Action pop-up window, the following message displays: *Mandatory fields are not entered*. If the report is approved, the status of the report changes to *Approved*.

7.2.1.1   Re-Approving Reports
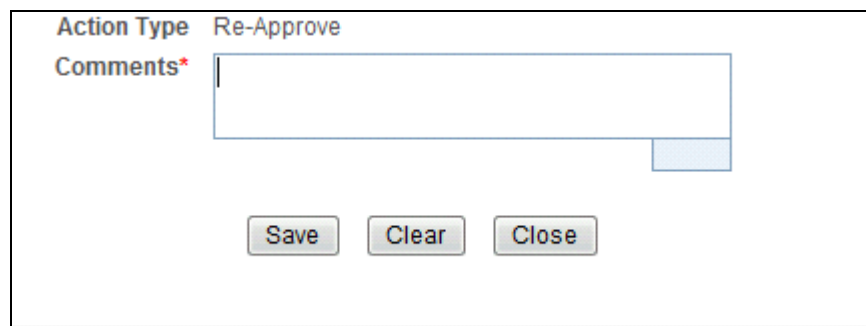
The Regulatory Report Details allows you to re-approve reports. You can re-approve reports when the report is in *Re-Approve Required* status. This action must be performed if the report has been edited in any way. Taking the action of Re-Approve will re-run the report validations and ensure that the editing did not introduce any report validation errors.

If an approved report is edited in any way, the status of the report changes to *Re-approve Required*. When a report in *Re-approve Required* status is re-approved, the status of the report changes to *Approved*.

To re-approve a report, follow these steps:

1. Go to the **Regulatory Report Details** page.

2. Click **Re-approve**. The *Re-approve Action* pop-up window displays.

Figure 26: Re-Approve Action Pop-up Window

3. Enter the comments in the *Action* pop-up window. You can enter maximum 120 characters.

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

5. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

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

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

7.2.2   Rejecting Reports

The Regulatory Report Details page allows you to reject reports from filing. You can reject the report when the report is in Approved or Request for Approval status. If a report is rejected, then the requester must re-work on the report and re-submit the report for approval. This process continues until the report is approved or closed.

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

To reject a report, follow these steps:

1. Go to the **Regulatory Report Details** page.

2. Click **Reject**. The Reject Action pop-up window displays.

Figure 27: Reject Action Pop-up Window

3. Enter the comments in the Action pop-up window. You can enter maximum 120 characters.

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

5. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

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

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

7.2.2.1 Updating Rejected Reports

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

7.2.3 Closing Reports

If you determine that an SAR report should not be filed, then you can close it. The Closed status removes it from the work queue and helps to distinguish it from those in the Filed status.

You can choose to close a report that is in an approved state if for any reason, it is determined that the SAR no longer needs to be filed. This may be because of late arriving information for the investigation or other subsequent events that eliminate the need for reporting the activity.

The Regulatory Report Details allows you to close reports without filing. You can close reports when the report is in Approved, Request for approval, or Rejected status.

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

If a report is closed, the status of the report changes to *Closed*.

To close a report, follow these steps:

1. Go to the **Regulatory Report Details** page.

2. Click **Close**. The Close Action pop-up window displays.

Figure 28: Close Action Pop-up Window

3. Enter the comments in the Action pop-up window. You can enter maximum 120 characters.

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

5. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

6. Click **OK**. The report audit details display.

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

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

7.3   Filing Regulatory Reports

After the report is approved, you must file the regulatory reports with the regulatory bodies.

The OFS CRR application helps in generating e-file for an approved report. The e-file generated is in a .xml format that is according to the specifications described in FinCEN Suspicious Activity Report (FinCEN SAR) Electronic Filing Requirements. After successfully e-filing, you can download the acknowledgment (*XML*) file from the BSA E-Filing System and upload the acknowledgment into OFS CRR, thereby completing the SAR process. The status of the report changes to *Filed*.

Filed status is the final status given to a SAR that has been submitted to and processed by FinCEN.

For more information on user roles, see Table 5.

For more information on filing regulatory reports, see the chapter Filing Regulatory Reports.

8   Filing Regulatory Reports

This chapter describes the instructions for generating an e-file, filing a regulatory report at FinCEN, uploading the acknowledgment, and completing the SAR process. Only users mapped to the role of *Super User* or *Admin User* can generate the e-file.

This chapter discusses the following topics:

- Overview
- Workflow for Filing the Regulatory Report
- Searching Approved Reports
- Generating E-File
- Searching E-File Status
- Viewing E-File, E-File Details, and E-File Attachments
- Downloading the E- File
- Submitting the E-File at FinCEN
- Saving E-File Acknowledgments from FinCEN
- Uploading E-File Acknowledgment into OFS CRR Application
- Rejecting SAR(s) from E-File
- Completing the SAR Process
- Adding Comments to E-File

8.1   Overview

When a report is created in the application, the report details are entered and then submitted for approval. After the report is submitted for approval, you can validate the report details and either approve, reject, or close the report.

If you approve the report then the report is available for e-file generation. The generated e-file is submitted to FinCENs BSA E-Filing System. The e-file is validated by FinCEN and an acknowledgment (*XML* file) is generated. Then the acknowledgment file can be uploaded into the OFS CRR application. The application will associate the FinCEN returned BSA Identifier to each SAR within the e-file. Now, you can mark that the SAR process is completed.

This chapter explains the steps involved in filing approved reports.

8.2   Workflow for Filing the Regulatory Report

The following figure illustrates the workflow of E-File in the OFS CRR application

Figure 29: Filing Regulatory Reporting Workflow
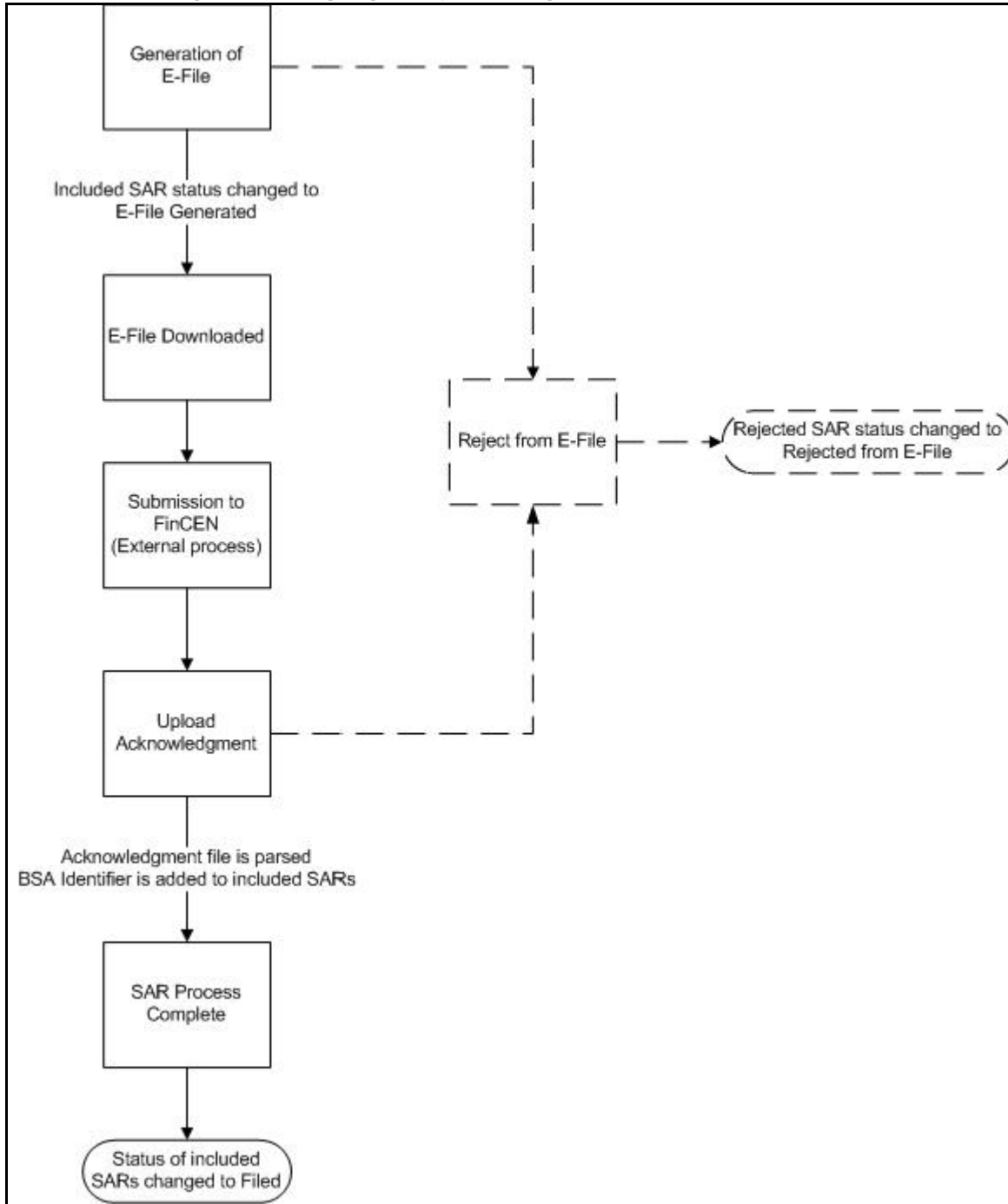
8.3   Searching Approved Reports

The File Regulatory Reports workflow contains two tabs namely, Approved Reports and E-File Status. 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.

Super Users and Admin Users can reject or close approved reports from this tab.

To search for approved reports, follow these steps:

1. Login to the OFS CRR application as a Super User/Admin User.

2. Go the **Regulatory Reporting** menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The *File Regulatory Report* page displays.

3. Click the **Approved Reports** tab. The Advanced Report List page displays all the reports in *Approved* status.

Figure 30: Approved Reports List

4. To further filter the list of Approved reports, enter criteria in one or more filters, as described in Table 27 describes the list of filters in the Approved Search Bar fields.

Table 27: Approved Reports Search Bar Field Descriptions

Fields	Description
Case ID	Enter the Case ID for the report.
Created By	Select the user role(s) from the drop-down list to search for reports created by the selected user roles.
Approved By	Enter the name of the approver to search for reports approved by the selected user.
Approved From Date	Select the approved date from the calendar to display reports approved from the selected date.
Approved To Date	Select the approved date from the calendar to display reports approved until this date.
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.

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

8.4   Generating E-File

After the status of a regulatory report changes to *Approved*, you can generate the e-file for those report(s) and upload the resultant *.xml* file into FinCEN' BSA E-Filing System.

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 SAR within the E-File.

To generate e-file, follow these steps:

1. Go to the **File Regulatory Report** page.

2. 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.

3. From the Approved Report List, select the required report(s) for which you want to generate e-file.

4. Click **Generate E-File**. The following message displays: *E-File Generated Successfully*.

5. 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 the *E-File* list.
	• If you try to generate e-file for the same report(s) which is already locked by another user, 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 or reject a report which is already locked by another user, 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 is already generated or 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 you cannot perform this action.*

8.5 Searching E-File Status

Use the E-File Status tab in the File Regulatory Reports page to manage the generated e-files. Use the E-Filed Status search bar to search E-Files in different statuses and perform the following actions:

• Adding Comment

• Uploading Acknowledgment

• Completing the SAR Process

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

1. Go to the **Regulatory Report** page.

2. Click the **E-Filed Status** tab

Figure 31: E-File List

3. To filter the list of e-files, enter criteria in one or more filters.

    Table 28 describes the E-File search bar fields.

Table 28: E-File Search Bar Field Descriptions

Fields	Description
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.
Case ID	Enter the Case ID of the report.
E-File Generated By	Select a user role to search for e-files generated by the selected user.
E-File Generated From Date	Select the e-file generated date from the calendar to display e-files created from this date.
E-File Generated To Date	Select the e-file generated to date from the calendar to display e-files generated until this date.
Jurisdiction	Select the jurisdiction from the drop-down list to display e-files generated for the reports mapped to the selected jurisdiction.

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

8.6   Viewing E-File, E-File Details, and E-File Attachments

From the E-File list results page, you can view the generated e-file, e-file details, and e-file attachments. In the E-File List, the e-files are arranged in ascending order of SAR document number.

To view the generated e-file text file, follow these steps:

1. Go to the **E-File** list results page.

2. Select a record and click ▤ in the e-file column. A file download window prompts to **Open** or **Save** the e-file.

3. To view the e-file details, select a record and click 🔍 in the Details column. This e-file details column displays the number of SARs included in the selected e-file within brackets.

4. Click on the Details icon to view the details of all the SARs included in the e-file. These details are displayed below the E-File List.

5. To view the e-file attachments, select a record and click in the Attachments column. A file download window prompts to **Open** or **Save** the attachments zip file. The attachments zip file contains the .csv file included for a report from the Regulatory Reports Details page.

8.7   Downloading the E- File

After you generate an e-file, the OFS CRR application generates a *.xml* file with its content formatted according Financial Crimes Enforcement Network (FinCEN) specifications for electronic filing. You must save this *.xml* file and submit to FinCEN's BSA E-Filing System.

To download the generated e-file, follow these steps:

1. Go to the **File Regulatory Report** page.

2. Click the **E-Filed Status** tab. By default, the E-File List displays a list of e-files in different statuses.

3. Select a record and click in the E-File column. A File Download window displays.

4. Click **Save** to save a local copy of the file to your computer. The E-File is downloaded successfully.

8.8   Submitting the E-File at FinCEN

After the e-file is generated, you must file them with the FinCEN's BSA E-Filing System which in turn generates an acknowledgment or (*XML*) file.

To submit the E-File at BSA E-Filing System, follow these steps:

1. Login to the **BSA E-Filing System** website.

2. From the left-hand side menu pane click **New Reports**, then select **File Batch FinCEN SAR**. An Open an Existing Form window displays.

Figure 32: Open Existing Form Window

3.   Click **Open New Form**. A BSA E-Filing SAR Batch Form opens.

Figure 33: BSA E-Filing SAR Batch Form

4. Enter the information in the required fields.

Table 29 describes fields in the BSA E-Filing SAR Batch.

Table 29: BSA E-Filing SAR Batch Form

Fields	Description
Filing Name	Enter the filing name.
	There is no specific requirement for the name of the filing. It is recommended that it must be a unique name as this can be used to identify the e-file on the BSA E-Filing site after submission.
Batch File	Attach the e-file that was downloaded from the CRR application using the *Add File* button.
	The e-file must be in .xml format.
Attachments File	Add the e-file attachment *.zip* file that was downloaded from the CRR application along with the E-File.
Number of Forms in Batch	Enter the number of individual SAR reports an e-file contains.

5. Click **Sign with PIN** and enter the title and date in the respective fields. The following message is added to the header and footer of the document: *This form has been signed with a PIN and cannot be altered*.

> **NOTE** This is the unique identifier assigned by BSA and FinCEN to ensure only authorized individuals are submitting SAR filings.

6. Click **Save** to save the filled BSA E-Filing SAR Batch Form. After you save the form, the **Submit** button is enabled.

7. Click **Submit**. A confirmation window displays the following message: *We have received your submission. Please confirm the following information and retain it for your records. Please track the status of your submission using the 'Track Status' function in the BSA E-Filing system*.

   The status of a submitted E-file can be any of the following:

   - Transmitted
   - Transmitted with Warnings
   - Rejected

8. Click the **Accepted with Warning** or **Rejected** status hyperlink in the Status column of Track Status page to view the submission errors on the e-file that are in *Accepted with Warning* or *Rejected* status.

9. Click **OK**. The e-file is successfully submitted at FinCEN.

8.9   Saving E-File Acknowledgments from FinCEN

When the BSA E-Filing System Track Status page shows that the submitted file is acknowledged, then you can retrieve an acknowledgment file from the BSA E-Filing System Secure Messaging center. This file in a *XML* format. You must save this acknowledgment file and upload it into the OFS CRR application.

An acknowledgment file is not generated when an e-filing is rejected.

To save the acknowledgment file from BSA E-Filing System, follow these steps:

1. Login to the **BSA E-Filing System**.

2. From **Secure Messaging**, select **View Inbox** to display a list of acknowledgments.

3. Click the **Subject** of the required acknowledgment. A BSA E-Filing Secure Message Reply Form displays.

Figure 34: BSA E-Filing Secure Message Reply Form Window

4. Click **View/Save Attachment**. A window opens to list the acknowledgment (XML) file.

5. Click **View/Save** to save the XML file to your computer.

8.10 Uploading E-File Acknowledgment into OFS CRR Application

After downloading the acknowledgments from BSA E-Filing System, you can update the status of regulatory reports in the OFS CRR application. After you upload the acknowledgment (*XML*) file into the application, the file is then parsed to retrieve the BSA Identifier that is assigned by FinCEN to each report. This BSA Identifier is then added to the report record.

To upload the acknowledgment, follow these steps:

1. Go to the **File Regulatory Report** page.

2. Click the **E-Filed Status** tab.

3. From the **E-File List** results, select the record for which you want to upload the acknowledgment.

4. Click **Upload Acknowledgment**. A SAR Acknowledgment window display

Figure 35: SAR Upload Acknowledgment

5. Enter the details in the SAR Acknowledgment window.

Table 30 describes fields in the SAR Acknowledgment window.

Table 30: SAR Acknowledgment Window Field Descriptions

Fields	Descriptions
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.

Table 30: SAR Acknowledgment Window Field Descriptions

Fields	Descriptions
EFile Comments	Enter the required comments.
Logical File Name	Enter a Logical File Name for the acknowledgment.

6. Click **Choose a File** field and upload the respective *XML* file saved from the BSA E-Filing System.

7. Click **Attach File**. The following message displays: *Add Operation Successful*.

8. Click **OK**.

9. Click **Save and Parse**. The following message displays: *Update Operation Successful.*

10. Click **OK**. You are navigated back to E-File List results.

- After you upload the acknowledgment file for an e-file, a BSA ID is associated with the respective report.

- After you upload the acknowledgment file successfully into the OFS CRR application, the *XML* 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 *XML* file.

- When you try to upload an acknowledgment file for an e-file for which a XML file is already uploaded, the following warning message is displayed: *Acknowledgment has already been uploaded*

- When an upload acknowledgment action doesn't pass the validation check, the following error message is displayed: *The number of SARs in the acknowledgment file does not match the number of SARs in the selected e-file. No updates will be made. Please verify you have the correct acknowledgment file.*

8.11 Rejecting SAR(s) from E-File

You can reject SAR(s) from an e-file at any point of time before completing the SAR process. After a SAR 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*.

For SAR(s) that are not rejected, a new e-file is regenerated. If the acknowledgment file is already uploaded, you can complete the SAR process of the regenerated e-file by clicking **Complete SAR Process**.

You can correct/amend a rejected report and submit for Super User/Admin User role's approval. After the corrected report is approved, you can follow the workflow of filing a regulatory report all over again. Subsequently, while uploading the acknowledgment (*XML*) file received from FinCEN into the OFS CRR application, a new BSA Identifier overwrites the previously associated BSA Identifier of the rejected SAR(s).

After an e-file is uploaded and accepted by FinCEN, you cannot reject SARs from the e-file until the acknowledgment file is 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 FinCEN's BSA E-Filing System to get the latest acknowledgment file.

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

1. Go to the **File Regulatory Report** page.

2. Click **E-Filed Status** tab.

3. From E-File List results, select an e-file record that you want to reject.

4. Click to view the e-file details.

5. From **Report** list page, select the required SAR(s) and click **Reject**. An E-File Rejected window displays.

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 allows 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.

8.12   Completing the SAR Process

After the status of the regulatory reports reflects the acknowledgment action and the BSA Tracking Identifier, you can complete the suspicious activity reporting process by clicking the **Complete SAR Process**. The status of all regulatory reports included in the e-file then changes to *Filed*. After a report is moved to the *Filed* status it cannot be edited.

To complete the SAR process, follow these steps:

1. Go to the **File Regulatory Report** page.

2. Click the **E-Filed Status** tab.

3. Search for the report using the E-File Search bar or from the E-File List results.

4. Select the e-file for which you want to complete the SAR process.

5. Click **SAR Process Complete**. The following message displays: *Update Operation Successful*.

6. Click **OK**.

- When you try to take **Complete SAR Process** action before performing the Upload Acknowledgment action the following warning message displays: *You must first upload an acknowledgment file before taking this action*.

- When you try to take **Upload Acknowledgment** action on a file for which SAR process is already completed, the following warning message displays: *The SAR process is complete for this file. No further action is permitted*.

8.13   Adding Comments to E-File

You can add comments to an e-file record at any time using the Comment button. Adding comments to an e-file does not have any impact on the reports included in the e-file. If you select to add a Comment to an e-file with an existing report you can either append to the previous comment or replace it completely.

To add comments to an e-file, follow these steps:

1. Go to the **File Regulatory Report** page.

2. Click **E-Filed Status** tab.

3. From **E-File List** results, select an e-file record for which you want to add a comment.

4. Click **Add Comments**. An E-File Comments window displays.

5. Enter comments in the comments field and click **Save**. The following message displays: *Update Operation Successful*.

6. **Note**: The comments box in the E-filing Comments window allows entering a maximum of 250 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 250 characters in the Comments box, the following message displays: *Number of characters exceeded*.

7. Click **OK**. The E-File Comments window displays.

8. Click Close. The E-File List results page displays.

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