

**Oracle Financial Services**

**CRR goAML STR**

**User Guide**

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**Financial Services**

OFS CRR goAML STR User Guide.

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# Document Control

**Table 1: Document Control**

Version Number	Revision Date	Change Log
1.2	August 2023	The ID Number field is removed from the <b>Director</b> section. To provide identification details, use the Director- Identification section.
1.1	February 2023	<ul style="list-style-type: none"><li>• Apply to All action is added in the <b>Involved Accounts Details</b> section.</li><li>• Add Existing director action is added in the <b>Director</b> section.</li></ul>
1.0	July 2021	This is the first publication of this guide.

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# 1 About This Guide

The *Oracle Financial Services Compliance Regulatory Reporting goAML Suspicious Transaction Reporting (OFS CRR goAML STR) User Guide* provides step-by-step instructions to use the *OFS CRR goAML STR* application.

## 1.1 Who Should Use This Guide

The *OFS CRR goAML STR User Guide* is designed for use by various *OFS CRR goAML STR* users. The roles and responsibilities of the *OFS CRR goAML STR* application, include the following:

- **Analyst:** This user can access the *OFS CRR goAML STR* regulatory reports, create new reports, edit or view report details, and add comments to the report. Users in this role can also request for approval, cancel the filing of reports in the *Open* and *Reopen* statuses, reopen canceled reports, and view or save the final report.
- **Supervisor:** This user can access the *OFS CRR goAML STR* regulatory reports, create new reports, edit and view report details, and add comments to the report. Users in this role can also take actions on reports such as approve, rework, and cancel the filing of reports. This user can also submit reports.
- **Auditor:** This user can only view and add comments to reports.
- **RR Admin:** This user handles various configurations required to support the reporting workflow.

## 1.2 How this Guide is Organized

The *OFS CRR goAML STR User Guide* includes the following chapters:

- *Chapter 2, About goAML STR*, provides an overview of the *OFS CRR goAML STR* application and its workflow.
- *Chapter 3, Getting Started*, explains the steps to log in to the *OFS CRR goAML STR* application and provides a brief overview of users and their roles in the application.
- *Chapter 4, Opening a Report*, describes various search options to open the existing reports in the application.
- *Chapter 5, Creating a Report*, explains how to create a new report manually.
- *Chapter 6, Analyzing a Report*, describes each tab (business and operational) pertaining to the selected report. This information aids you to take action on the selected report.
- *Chapter 7, Acting on a Report*, describes types of actions and steps to take these actions on the selected report.

## 1.3 Conventions Used in this Guide

*Table 1* lists the conventions used in this guide.

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

Conventions	Description
<i>Italics</i>	<ul style="list-style-type: none"> <li>• Names of books, chapters, and sections as references</li> <li>• Emphasis</li> </ul>

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

Conventions	Description
<b>Bold</b>	<ul style="list-style-type: none"><li>• The object of an action (menu names, field names, options, button names) in a step-by-step procedure</li><li>• Commands typed at a prompt</li><li>• User input</li></ul>
Monospace	<ul style="list-style-type: none"><li>• Directories and subdirectories</li><li>• File names and extensions</li><li>• Process names</li><li>• Code sample, including keywords and variables within the text and as separate paragraphs, and user-defined program elements within the text</li></ul>
Asterisk	Mandatory fields in the User Interface
<Variable>	Substitute input value

## 2 About goAML STR

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

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

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

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

### 2.1 CRR goAML STR Application

*The OFS CRR goAML STR application is used to analyze the reports and take appropriate action on the report for a resolution.*

Reports are generated in the OFS CRR goAML STR application as result of the *Generate STR* action taken on a case or cases in the Oracle Financial Services Enterprise Case Management (OFS ECM) application. The business data (transaction, account, and entity details) and operational data (narratives, documents, and comments) related to the case which led to the creation of a report are available in the OFS CRR goAML STR application.

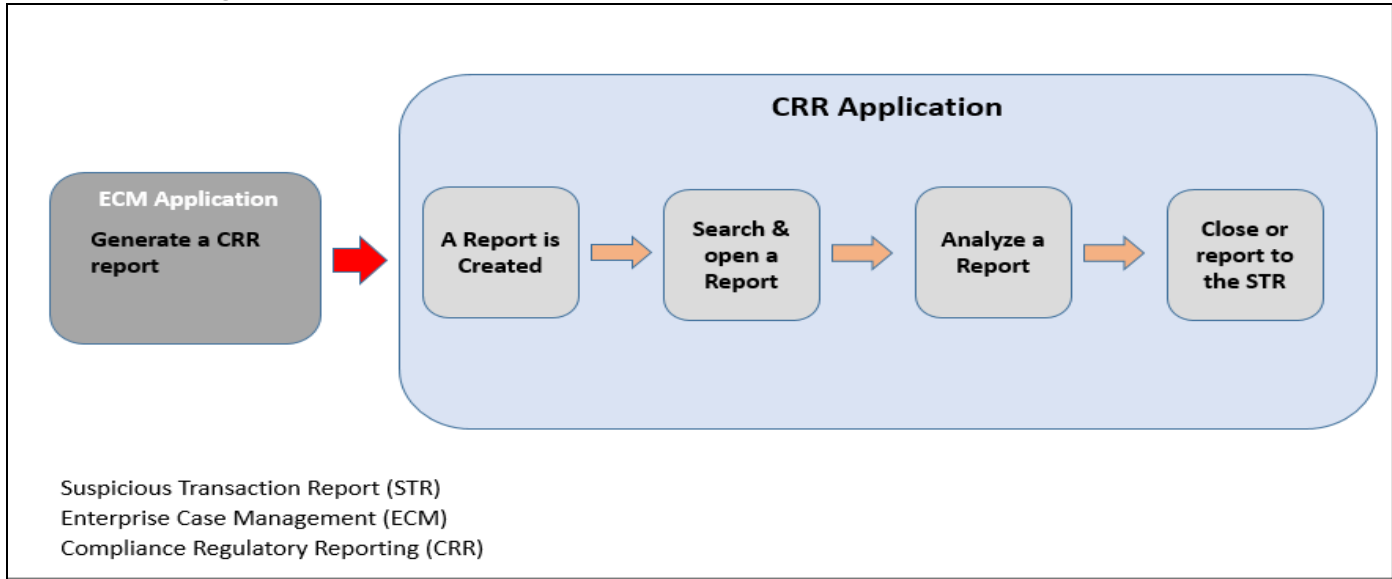
Using this information, authorized users analyze reports and report them to the FIU (Financial Intelligence Unit) or close them by providing appropriate details.

#### 2.1.1 Report Life Cycle

The following image depicts the life cycle of a report.



Figure 1: CRR Application Workflow



- **Generate a CRR Report:** After analyzing a suspicious case, if it is required to report to the regulator, you can take an action create a report. For more information, see the *Acting on Cases* chapter in the *OFS ECM User Guide*.
- **Create a Report:** A report is created in OFS ECM and the related information is passed to the OFS CRR application using web service. The newly created report is available in the *OFS CRR goAML STR* application and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable.

When you identify a report of suspicious behavior that is not reported through the OFS ECM application but want to report it to the regulator, you can manually create a new report using the *Create New Report* option in the *OFS CRR goAML STR* application. For more information, see *Manually Creating a Report from OFS CRR goAML STR*.

- **Search and Open a Report:** To analyze the existing reports, you should open reports using basic, advanced, or views search criteria. For more information, see *Opening a Report*.
- **Analyze a Report:** To take any kind of action on a selected report, you must thoroughly analyze the details. You should verify the details of the report such as involved accounts, transactions, reporting entity details, related documents, narratives, and audit history. For more information, see *Analyzing a Report*.
- **Act on a Report:** Post analyses, you can take action on the selected report based on your privileges. For more information, see *Acting on a Report*.

## 2.1.2 User Workflow

This section explains the workflow of *OFS CRR goAML STR* for Analyst and Supervisor role.

When a report is created in the *OFS CRR goAML STR* application through the OFS ECM application, the report details are auto-populated with information from the case, which triggered the action to generate the report. Users mapped to the role of Analyst can update a report that is in *Open* status and request the report's details for approval. During the edit and review process, the report is available to be viewed as a draft report.

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

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

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

Authorized users can reopen the canceled reports. The report status then changes to *Reopened*.

For the complete list of actions the Analyst, Auditor, or Supervisor can perform on various report statuses, see [Table 2](#). For more information on user roles, see [Table 4](#).

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

If the report is already opened by another user, then that report is locked and can only be viewed

[Table 2](#) List the action that can be performed in various statuses by users.

**Table 2: Action that can be performed in various statuses**

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

Table 3 explains the statuses in which an Analyst, Auditor, and Supervisor can edit the report details.

**Table 3: Statuses in which Reports can be viewed and edited by users**

Status	View/Edit Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
Open	View and Edit	View and Edit	View and Edit	View-only
Reopened	View and Edit	View and Edit	View and Edit	View-only
Requested for Approval	View-only	View-only	View and Edit	View-only
Approved	View-only	View-only	View-only	View-only
Rework	View and Edit	View and Edit	View and Edit	View-only
Submitted	View-only	View-only	View-only	View-only
Cancelled	View-only	View-only	View-only	View-only

## 3 Getting Started

This chapter explains the steps to login to the *OFS CRR goAML STR* application and provides a brief overview of the users and their roles.

### 3.1 User Access

The tasks permitted to different user roles in the *OFS CRR goAML STR* application are summarized in [Table 4](#).

**Table 4: User Access**

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

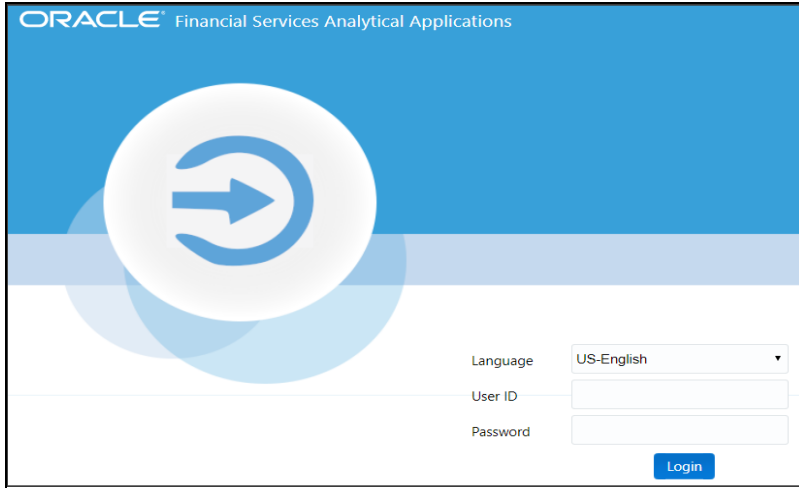
### 3.2 Accessing the OFS CRR goAML STR Application

The *OFS CRR goAML STR* application is qualified to run on Microsoft Internet Explorer (IE) or Google Chrome web browsers.

Your System Administrator provides the intranet address Uniform Resource Locator (URL), User ID, and Password to access the application. After your first login, you are prompted to change your password.

To access the *OFS CRR goAML STR* application, follow these steps:

1. Enter the URL in the web browser using the following format:  
`<Protocol>://<HostName>:<Port_Number >/crrgoamlstr/login`
2. The *OFS Analytical Applications* login page is displayed.



3. Select the required language.
4. Enter your *User ID* and *Password* and click **Login**. The OFS Analytical Applications page is displayed.
5. Click the **Financial Compliance Regulatory Reporting Application**. The *Financial Compliance Regulatory Reporting Application* landing page is displayed.
6. From the **Navigation List** LHS menu, select **Compliance Regulatory Reporting**. The Compliance Regulatory Reporting menu is displayed.
7. Click **goAML STR**. By default, the *Search and List* page is displayed.  
Or, hover over **goAML STR** to open *Create Report* or *File Report* page.

Report #	Report Name	Type of Report	Alert/Case ID	Count of Reported Subjects	Count of Reported Accounts	Created Date	Created By	Due Date	Report Status	Jurisdiction
3171	mirror1	New	--	0	1	05-03-2020	insup	10-03-2020	Open	SA
3066	NEW	New	--	0	1	04-03-2020	insup	09-03-2020	Open	SGI
2949	Mirror	New	--	0	1	04-03-2020	insup	09-03-2020	Open	INDA

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

- **Search and List:** Use this page to search and open required reports.
- **Create New Report:** Use this page to create reports manually.
- **File Reports:** Use this page to generate an E-File and file regulatory reports.

- **Administration:** Use this menu to view the following sub-menus:
  - **User Administration:** Use this sub-menu to map and maintain the security attributes for each user role.
  - **Web Service Configuration:** Use this sub-menu to reset the Web service password.

For more information on Administration and Web service guide, see [OHC](#).

## 4 Opening a Report

Use the *Search and List* page to filter the list of reports that you want to open, view, analyze, and/or take action.

The types of search supported are: Views, Basic Search, and Advanced Search. The Reports List section displays the list of reports you have specified in the search parameters. Use the Search and List page to perform the following search activities and view the results:

- **Basic Search:** This search is based on a limited set of search fields, such as Report Number, Report Status, and Report Name. This is the default search option.
- **Advanced Search:** This search is based on the ability to specify an additional set of fields to narrow down your search results.
- **Views:** This search helps you to quickly filter the reports based on pre-defined search queries. Select the search criteria from the **Views** option and filter the list of reports.
- **Saving Views:** Use this option to save your search criteria as a *View*. The saved views are available in the **Views** drop-down list.
- **Regulatory Reports List:** This is the list of reports that matches the search criteria provided.

### 4.1 Basic Search

This search is based on a limited set of search criteria and helps retrieve the required reports for your analysis. This search type is very useful if you know the report details such as report name, report number and so on. Only those reports that match the criteria you specify are displayed.

To search for reports using basic search criteria, follow these steps:

1. Go to the *Search and List page*. By default, the *Basic Search* option is displayed.

**Figure 2: Basic Search**

The screenshot shows the Basic Search interface with the following fields and options:

- Navigation: Search (selected), Views, Advanced Search, Reset, Go
- Report Number: Text input field
- Report Name: Text input field
- Report Status: Dropdown menu
- Type of Report: Dropdown menu
- Reported Subject Name(s): Text input field
- Account Number(s): Text input field
- Created By: Dropdown menu
- Created Date >=: Date input field with calendar icon and clear (X) button
- Created Date <=: Date input field with calendar icon and clear (X) button
- Jurisdiction: Dropdown menu
- Due Date >=: Date input field with calendar icon and clear (X) button
- Due Date <=: Date input field with calendar icon and clear (X) button

2. Enter the required fields as described in [Table 5](#).
3. Click **Search**. Report(s) matching your search criteria are displayed.

### 4.2 Advanced Search

The Advanced Search offers an additional set of fields to the search fields provided with the Basic Search. This option helps you narrow down your search results. You can use combinations of these search criteria to quickly find the reports you are looking for.

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

1. On the *Search and List* page, click **Advanced Search**. The *Advanced Search* window is displayed.

**Figure 3: Advanced Search**

Advanced Search Save as View Views Search Reset Go

Report Number: <input type="text"/>	Report Name: <input type="text"/>	Report Status: <input type="text"/>
Type of Report: <input type="text"/>	Reported Subject Name(s): <input type="text"/>	Account Number(s): <input type="text"/>
Created By: <input type="text"/>	Created Date >=: <input type="text"/>	Created Date <=: <input type="text"/>
Last Modified By: <input type="text"/>	Last Modified Date >=: <input type="text"/>	Last Modified Date <=: <input type="text"/>
Approved By: <input type="text"/>	Approved Date >=: <input type="text"/>	Approved Date <=: <input type="text"/>
Submitted By: <input type="text"/>	Submitted Date >=: <input type="text"/>	Submitted Date <=: <input type="text"/>
Alert/Case ID: <input type="text"/>	Prior Report Number: <input type="text"/>	Jurisdiction: <input type="text"/>
Due Date >=: <input type="text"/>	Due Date <=: <input type="text"/>	

2. Enter the required fields as described in the following table.

Table 5 explains the field details in the Advanced search. Fields marked with \*are mandatory.

**Table 5: Advanced Search**

Fields	Description
Report Number	Enter one or more report numbers you want to view. For multiple report numbers, separate the report numbers with a comma. Ensure that you do not enter a space after the comma. Report numbers are not case-sensitive. This overrides all other filter criteria. For example, 660,671. <b>NOTE:</b> You can enter a maximum of 50 characters in this field.
Report Name	Enter the report name you want to view. This field supports a wildcard search. You can use '%' and '_' as wildcard indicators. <b>NOTE:</b> You can enter a maximum of 50 characters in this field.
Report Status	Select one or more statuses from the following options: <ul style="list-style-type: none"> <li>• Select All</li> <li>• Acknowledged ('Not applicable for 'no batch filling')</li> <li>• Approved</li> <li>• Cancelled</li> <li>• E- File Generated (Not applicable for 'no batch filling')</li> <li>• Open</li> <li>• Rejected from E- File (Not applicable for 'no batch filling')</li> <li>• Reopened</li> <li>• Requested for Approval</li> <li>• Rework</li> <li>• Submitted</li> </ul>
Type of Report	Select one or more report types from the following options: <ul style="list-style-type: none"> <li>• Select All</li> <li>• Corrected</li> <li>• Delete</li> <li>• New</li> </ul>



**Table 5: Advanced Search**

Fields	Description
Reported Subject Name(s)	Enter the customer(s) name reported as subjects in the report. This field supports a wildcard search. You can use the '%' and '_' as wildcard indicators.
Account Number(s)	Enter account (s) involved in the Suspicious Activity Report. You can enter multiple account numbers by using a comma to separate the entries.
Created By	Select the user who has created the report. You can enter multiple names by using a comma to separate the entries.
Created Date >=	Select the created date to view reports having a created date greater than or equal to the specified date. Using this criterion, you can view the reports created during the particular date range. For example, reports created on or after December 26, 2019 You can either perform a range search using 'Created Date >=' and 'Created Date <=' or use them independently.
Created Date <=	Select the created date from the calendar to view reports having a created date lesser than or equal to the specified date. Using this criterion, you can view the reports created during the particular date range. For example, reports created on or before December 26, 2019.
Last Modified By	Select the user who last modified the report. Use this criterion to view all the reports modified by the particular user. For example, Analyst1, Supervisor2, and so on.
Last Modified Date >=	Select the last modified date to view reports having a last modified date greater than or equal to the specified date. Using this criterion, you can view the reports modified during the particular date range. For example, reports modified on or after July 27, 2019 You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.
Last Modified Date <=	Select the Last Modified Date from the calendar to view reports having a last modified date lesser than or equal to the specified date. Using this criterion, you can view the reports modified during the particular date range. For example, reports modified on or before July 27, 2019.
Approved By	Select the name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.
Approved Date >=	Select the approved date to view reports having an approved date greater than or equal to the specified date. Using this criterion, you can view the reports approved during the particular date range. For example, reports approved on or after December 26, 2019.
Approved Date <=	Select the approved date from the calendar to view reports having an approved date lesser than or equal to the specified date. Using this criterion, you can view the reports approved during the particular date range. For example, reports approved on or before December 26, 2019.

**Table 5: Advanced Search**

Fields	Description
Submitted By	Select the user(s) who submitted the report. For example, Analyst1, Analyst2, and so on.
Submitted Date >=	Select the submitted date to view reports having a submitted date greater than or equal to the specified date. For example, reports submitted on or after July 18, 2019.
Submitted Date <=	Select the submitted date to view reports having a submitted date lesser than or equal to the specified date. For example, reports submitted on or before July 18, 2019.
Case ID	Enter the case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure that you do not enter a space after the comma. This overrides all other filter criteria. For example, CA660,ca671 <b>NOTE:</b> This search is not case-sensitive. You can enter a maximum of 255 characters in this field. Case ID is the identifier that has triggered the creation of a report in the OFS CRR application.
Acknowledgment ID/ Tracking ID	Enter the acknowledgment ID or tracking ID to view the report with the corresponding acknowledgment ID received as acknowledgment when the report was submitted to the regulator.
Prior Report Number	Enter the prior report number to view the original report stored in the revised report.
Jurisdiction	Select the jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction that was associated with that case. Each user has access to a set of jurisdictions. Every report is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction.
Due Date>=	Select the due date to view reports having a due date greater than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the particular date range. For example, reports having a due date on or after December 26, 2019.
Due Date<=	Select the due date from the calendar to view reports having a due date lesser than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the particular date range. For example, reports having a due date on or before December 26, 2019.

- Click **Go**. The reports matching your search criteria are displayed on the *Search and List* page. To perform a different search, click the **Reset** button and enter your search criteria again.

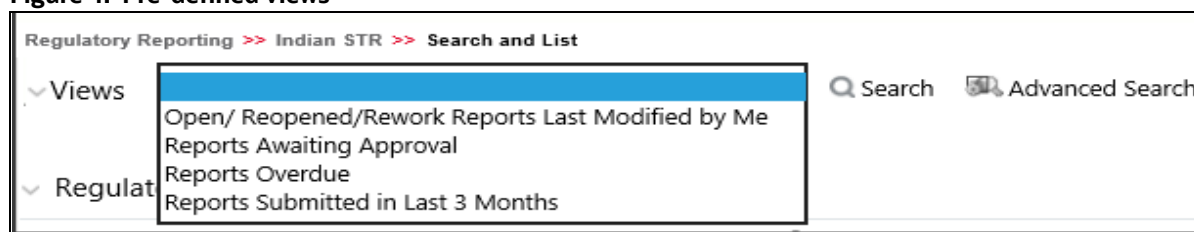
## 4.3 Views

Views search helps you quickly filter the reports based on pre-defined search queries. You can save your search criteria as *Views*. For more information on pre-defining the search as views, see [Saving Views](#).

To search reports using Views option, follow these steps:

1. On the *Search and List* page, click **Views** to view the available options.

**Figure 4: Pre-defined views**



2. Select the out of box pre-defined views as described in [Table 6](#). The Search and List page refreshes to show the results matching the *View* search criteria.

You can also create your pre-defined views. For more information, see [Saving Views](#)

[Table 6](#) explains the fields details in the pre-defined view.

**Table 6: Pre-defined views**

Views	Description
Open/ Reopened/ Rework - Reports Last Modified by Me	Select this option to view the list of reports in the <i>Open, Reopened, or Rework</i> status which you have modified in the last session. <b>NOTE:</b> This is the default view for an Analyst.
Reports Awaiting Approval	Select this option to view the list of reports in <i>Requested for Approval</i> status. <b>NOTE:</b> This is the default view for a Supervisor.
Reports Overdue	Select this option to view the list of reports that have exceeded their due dates.  When a report has passed its due date or when the due date is the same as the system date, the reports in the list are highlighted in <i>Red</i> .
Reports Submitted in Last 3 Months	Select this option to view the list of reports that were submitted in the last three months.
All Views saved by the user	Select <i>Views</i> that you have created and saved using the <b>Save as View</b> option. For more information, see <a href="#">Saving Views</a> .

## 4.4 Saving Views

Use *Save as View* option to save your search criteria as a *View*. The saved views are available in the *Views* drop-down list. For more information, see [Views](#).

For example, if you regularly search for reports approved by Supervisor1 and reports approved on or before December 2019, you can pre-define a search as *SupDecember* under *Views*. When you login to the application next time, rather than re-entering search criteria, you select the required pre-defined view as *SupDecember* and filter the reports.

To save your search criteria as a view, follow these steps:

1. On the *Search and List* page, click the **Advanced Search**. The *Advanced Search* window is displayed.
2. Enter the search criteria in the search fields. For more information on the search criteria, see [Table 5](#).

3. Click **Save as View**. The *Save as View* window is displayed.
4. Enter the view name and view details. The field marked with \* an asterisk is mandatory.

**NOTE** The View Details field allows a maximum of 255 characters.

5. Click **Save** to add a new pre-defined view.
6. Click **OK**. The view is saved and displayed in the *Views* drop-down list.

**NOTE** The saved view is available only to the user who has created it, not to other users.

## 4.5 Regulatory Reports List

Use the *Regulatory Reports List* section to view the list of reports based on your search criteria. Click the required report number to view additional information of reports that you can use to analyze or take actions. By default, all reports are displayed if you do not use any search criteria to filter the list.

**NOTE** If the report is already opened by another user, then that report is locked. You can only view that report.

Figure 5: Search and List page

Report #	Report Name	Type of Report	Alert/Case ID	Count of Reported Subjects	Count of Reported Accounts	Created Date	Created By	Due Date	Report Status	Jurisdiction
<a href="#">2949</a>	Mirror	New	--	0	1	04-03-2020	insup	09-03-2020	Open	INDA
<a href="#">2926</a>	jdj	New	--	0	1	04-03-2020	insup	09-03-2020	Open	AMEA
<a href="#">2845</a>	test	New	--	0	1	03-03-2020	insup	08-03-2020	Open	SGI
<a href="#">2810</a>	Manual	New	--	0	1	03-03-2020	insup	08-03-2020	Open	SGI
<a href="#">2795</a>	darshal	New	--	0	2	03-03-2020	insup	08-03-2020	Open	INDA
<a href="#">2431</a>	testing	Replace...	--	0	0	03-03-2020	insup	03-03-0020	Open	AMEA
<a href="#">2441</a>	testing	Replace...	--	1	1	03-03-2020	insup	03-03-0020	Open	AMEA
<a href="#">2421</a>	testing	Replace...	--	1	1	03-03-2020	insup	03-03-0020	Open	AMEA

Use the *Regulatory Reports* list section to perform the following tasks:

- Select the required report(s) to take actions such as Set Due Date, Cancel Filing, Export to Excel, and so on.
- Click the report number to view details pertaining to the report in the *Report Details* page.
- Sort list of values in the column by using *Sort Ascending*, *Sort Descending*, and *Clear the sort* options. Right-click on the column and select the required sort option to view the list.
- View column headers (Report Name, Created Date, Due date, and so on) of your choice by using the *Field Chooser* option. Right-click on the column and select the required columns header names and the size of the column from the *Field Chooser* list to view.
- Navigate pages using the *Pagination* option. Enter the page number or use arrows to navigate to and fro.
- In the *Due Date* column, dates in green will expire in few days. Dates in yellow indicate that due date is nearing, and dates in red indicate that the due date has expired.



## 5 Creating a Report

When a report is created in the *OFS CRR goAML STR* application through the OFS ECM application, the report details are auto-populated with information from the case, which triggered the action to generate the report. The newly created report is available in the *OFS CRR goAML STR* application and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable.

When you identify a report of suspicious behavior that is not reported through the OFS ECM application but want to report it to the regulator, you can manually create a new report using the *Create New Report* option in the *OFS CRR goAML STR* application. For more information, see [Manually Creating a Report from OFS CRR goAML STR](#).

### 5.1 Acknowledgment to OFS ECM

When the *OFS CRR goAML STR* application receives a report from the OFS ECM application, it sends an acknowledgment to the OFS ECM application when all the mandatory information is verified.

To send the acknowledgment, the *OFS CRR goAML STR* Administrator must set the status to Y. If the status is set to N, the *OFS CRR goAML STR* application does not send any status update to the OFS ECM application. By default, the ECM STATUS UPDATE FLAG is set to Y. For more information on configuration, see the [OFS ECM Administration Guide](#).

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

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

If there is an error, the *OFS CRR goAML STR* application sends a negative acknowledgment to the OFS ECM application. The error may be due to the following reasons:

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

The acknowledgment sent to the OFS ECM application contains the following details:

- Case ID
- Acknowledgment Code:
  - 1 for Invalid User ID
  - 2 for Mandatory Information Missing
  - 3 for Format Failure
  - 4 for System/Application Error
- Error Description

**NOTE** If a case fails to complete the *Generate Report* action successfully, the failure is recorded in the *Case Audit History*.

## 5.2 Manually Creating a Report from OFS CRR goAML STR

When you identify a report of suspicious behavior that is not reported through the OFS ECM application but want to report it to the regulator, you can manually create a new report using the *Create New Report* option in the *OFS CRR goAML STR* application.

Only Analyst and Supervisor users can create a new regulatory report.

To create a new report, follow these steps:

1. On the *Search and List* page, click **Create New Report**. The *Create New Report* window is displayed.

**Figure 6: Create New Report**

2. Enter the required fields as described in the following table.

**Table 7** explains fields available in the Create New Report page. Fields marked with \* an asterisk are mandatory.

**Table 7: Creating a New Report**

Fields	Description
Report Name	Enter the name for the new report. <b>NOTE:</b> Enter up to fifty characters.
Report Type	This field is auto-populated with the report type. For example, goAML STR.
Attribute 1	This attribute specifies the jurisdiction for the report. For example, AMEA, JAPAC, and so on.
Attribute 2	This attribute specifies the business domain for the report. For example, bank, financial institute, and so on.
Attribute 3	This attribute specifies the case type for the report. For example, AML, KYC, and so on.
Attribute 4	This attribute specifies the organization for the report. For example, the name of the organization.
Attribute 5	This attribute specifies the source for the report. For example, Money laundering, currency transaction, and so on.
Created Date	This is auto-populated with the current system date.
Created By	This is auto-populated with the logged-in user's name.

3. Click **Save** to create a new report. The newly created report is available in the Report List for further analysis and actions.

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

---

**NOTE**

The report details of a manually created report are not sent to the OFS ECM application.



## 6 Analyzing a Report



Use the *Report Details* page to view, analyze, or update the report information depending on the report status. For more information on various statuses in which you can use the *Report Details* page, see [Table 2](#).

The *Report Details* page includes the following sections:

- **Accessing Report Details:** Use this section to access the specific *Report Details* page. Click the required **Report Number** on the [Regulatory Reports List](#) page.
- **Reporting Entity Information:** Use this section to know more about [Report Details](#), [Report Entity](#), and [Reporting Person Details](#).
- **Transactions Information:** Use this section to know the list of transactions associated with the selected report.
- **Involved Accounts Details:** Use this section to know the list of accounts involved in the transaction and analyze the details pertaining to them.
- **Involved Entity Details:** Use this section to know the list of entities (Individual or Institution) involved in the transaction and analyze the details pertaining to them.
- **Involved Person Details:** Use this section to know the list of persons involved in the transaction and analyze the details pertaining to them.
- **Narrative:** Use the section to summarize any suspicious activity and to mention the action taken by the reporting entity.
- **Documents:** Use this section to add related documents to the selected report.
- **Audit:** Use this section to view the audit history of a report. It provides complete details of the actions performed on the report and comments provided by the users in the various statuses.

### 6.1 Accessing Report Details

To access the *Report Details* page, follow these steps:

1. On the *Summary Report* page, click the **Report Number** link. The *Reports Details* page is displayed. By default, Reporting Entity Information section is displayed.
2. To view the gist of the selected report, click  on top of the page. The *Report Context* window displays the details of the report such as Report Name, Report Status, Created By, and so on.
3. To collapse the *Report Context* window, click .

### 6.2 Reporting Entity Information

Use the *Reporting Entity Information* page to know and update the information pertaining to the entity who has reported this specific report, reporting person details, and report details. The Reporting Entity Information is the default section of the *Reports Details* page and it provides the following information:

- **Report Details:** This section provides information related to the selected report.
- **Report Entity:** This section provides information about the entity that has reported this report to the regulator.
- **Reporting Person Details:** This section provides information about the person who reported it.

#### 6.2.1 Report Details

Use this section to analyze and update the details pertaining to the selected report.

1. Enter the fields described in the following table.
2. **Table 8** explains fields available in the Report Details page. Fields marked with \* asterisk are mandatory.

**Table 8: Report Details**

Fields	Description
Submission Date and Time	Displays the date on which the report is submitted. You can also modify the submission date.
Currency	Select the currency used in the transaction.
Report Indicator	Enter the report indicator for the report.

## 6.2.2 Report Entity

Use this section to analyze and update the information about the reporting entity. For example, reporting branch, reporting entity unique identification, and so on.

**Figure 7: Report Entity**

The screenshot shows a form titled "Reporting Entity" with the following fields and values:

- Reporting Entity ID\*: PNB
- Reporting Entity Branch\*: IND
- Reporting Entity Reference: 0987654323
- FIU Reference Number: FIA\_ID2
- Address Type: C
- Address: D-555, Block12, Type1 Quaters
- City: bangalore
- Town: town4
- Country: INDIA
- State: STATE2
- Currency: USD
- Zip: 6767677
- Comments: Global Axis--Type

3. Enter the fields described in the table 9.
- Table 9** provides fields available in the Report Entity. Fields marked with \* asterisk are mandatory.

**NOTE** All fields except *Reporting Entity ID* and *Reporting Entity Branch* are auto-populated as per the reporting entity selected.

**Table 9: Report Entity**

Fields	Description
Reporting Entity ID	Select the reporting entity.
Reporting Entity Branch	Select the reporting entity branch.
Reporting Entity Reference	The registration number of the reporting entity.

**Table 9: Report Entity**

Fields	Description
FIU Reference Number	The Financial Intelligence Unit (FIU) reference ID of the reporting entity.
Address Type	The address type of the reporting entity.
Address	The address of the reporting entity.
City	The city of the reporting entity.
Town	The town of the reporting entity.
Country	The country of the reporting entity.
State	The state of the reporting entity.
Currency	The currency of the reporting entity.
Zip	The zip code of the reporting entity.
Comments	The comments of the reporting entity.

### 6.2.3 Reporting Person Details

Use this section to analyze and update the information about the person who has reported it. For example, name, gender, place of birth, and so on.

**Figure 8: Reporting Person Details**

The screenshot shows a form titled "Reporting Person Details" with the following fields:

- Name\* (First Name) [Dropdown]
- Gender (Female) [Text]
- Date Of Birth [Text]
- Place Of Birth (Egypt) [Text]
- Mother's Name (Mother Name) [Text]
- Alias [Text]
- Nationality 1 [Text]
- Nationality 2 [Text]
- Nationality 3 [Text]
- Country of Residence (India) [Text]
- Email ID (name@sys.com) [Text]
- SSN (1234567) [Text]
- ID Number (3434) [Text]
- Source of wealth [Text]
- Passport Number (P123) [Text]
- Passport Country [Text]
- Deceased [Text]
- Deceased Date [Text]
- Person Tax Number [Text]
- Person Tax Registration Number [Text]
- Comments [Text]

4. Enter the fields described in the table 10.

**Table 10** provides fields available in the Reporting Person Details. Fields marked with \* asterisk are mandatory.

**NOTE** All fields except *Reporting Person's Name* are auto-populated as per the reporting entity selected.

**Table 10: Reporting Person Details**

Fields	Description
Reporting Person's Name	Select the name of the reporting person.
Gender	The gender of the reporting person.
DOB	The date of birth of the reporting person.
Place of Birth	The reporting person's place of birth.
Mother's Name	The reporting person's mother name.
Alias	The alias of the reporting person.
Nationality 1	Nationality 1 of the reporting person.
Nationality 2	Nationality 2 of the reporting person.
Nationality 3	Nationality 3 of the reporting person.
Country of Residence	The country of residence of the reporting person.
Email ID	The email ID of the reporting person.
SSN	The social security number (SSN) of the reporting person.
ID Number	The additional identification number other than SSN and passport ID number of the reporting person.
Source of Wealth	The reporting person's source of wealth.
Deceased	Indicates if the reporting person is deceased.
Deceased Date	The date when the reporting person passed away.
Person Tax Number	The personal tax number of the reporting person.
Person Tax Registration Number	The person's tax registration number of the reporting person.
Comments	Comments, if any.

For more information on Address, Phone, Identification, and Employer Details, see the [Person Details](#) section.

5. Click **Save**. A confirmation message is displayed and the reporting entity information is updated.

## 6.3 Transactions Information

Use the *Transactions Info* section to know the list of the transactions associated with the selected report. All transactions linked to the report are listed here. You can view, add, edit, or remove transactions. For more information, see [Managing Transaction](#).

To use the *Transactions* for your analysis, click **Transactions Info** on the *Reports Details* page.

### 6.3.1 Transactions List

Use this section to view the transaction list.

[Table 11](#) explains the column details in the Transactions List.

**Table 11: Transaction**

Fields	Description
View	Click on the record number to view all details of the selected transaction. You can also use this icon to modify the transaction details. For more information, see <a href="#">Table 12</a> .
Record Number	The record number associated with the transaction.
Transaction Number	A unique number that defines the specific transaction.
Transaction Category	The type of category to which the selected transaction belongs to.
Transaction Date	The date on which the transaction has taken place.
Transaction Method	The transaction method. For example, cash, ATM, wire, and so on.
Amount	The amount involved in the transaction.
Value Date	The transaction value date.
Select	Use the check box to select the transaction to remove from the list.

#### 6.3.1.1 Managing Transaction

You can add a new transaction to the selected report and also modify or delete the existing transactions from the list.

To add a transaction to a report, follow these steps:

1. On the Transaction section, click **+**. The Transaction Details window is displayed.

**Figure 9: Transaction Details**

2. Enter the information in the Transaction Details page.

**Table 12** describes fields in the Add Transaction. Fields marked with \* asterisk are mandatory.

**Table 12: Add Transaction Details**

Fields	Description
Transaction Number	Enter a unique number to define the transaction.
Internal Reference Number	Enter the internal reference number.
Transaction Location	Enter the transaction location where the transaction has taken place. For example, town, city, and so on.
Transaction Description	Describe the transaction for further investigation.
Transaction Date	Select the date on which this transaction has taken place.
Teller	Enter the teller name who was involved in this transaction.
Authorized By	Enter the name of the authority who approved this transaction.
Value Date	Select the value date of the transaction.
Late Deposit	Select whether the transaction is a late deposit or not.
Date of Posting	Select the date of the posting.
Transaction Method	Select the transaction method. For example, In branch, ATM, Wire Transaction, and so on.
Transaction Method Description	Describe the transaction method for further investigation.
Amount	Enter the amount involved in the transaction.
Comments	Enter the comment about the transaction.
Transaction Category	Specify the transaction as <i>Bi-Party</i> or <i>Multi-Party</i> . <b>NOTE:</b> Bi Party Transaction must have an originator and a beneficiary.

3. Click **Save**. A confirmation message is displayed and the newly added transaction appears in the *Transaction* list.
4. To edit the existing transaction, select the required transaction you want to modify. The *Transaction Details* window is displayed. Modify the necessary information and click **Save**. The transaction details are updated. For more information on the fields, see [Table 12](#).
5. To delete the existing transaction, select the transaction and click **Remove**. The selected transaction is removed from the list.

## 6.3.2 Transaction Information

The *Transaction Information* section provides more insight into the transaction and its details such as the parties involved in the transaction and goods and services associated with the transaction.

### 6.3.2.1 Involved Parties

This section provides information about the type of parties involved in the transaction. For example, account, entity, or person. For more information, see [Involved Party List](#).

Use the *Involved Parties Information* section to add a new involved party to the transaction and edit or delete the involved parties associated with the transaction. For more information, see [Involved Parties Details](#).

#### 6.3.2.1.1 Involved Party List

Use this section to view and update the list of parties involved in the transaction. This section provides you information such as record number, party role, funds code, foreign currency, and country of the parties involved.

To view and update the involved party details, follow these steps:

1. Select the required **Record Number** in the *Transaction* list. The Involved Party details are displayed. The involved party can be an account, entity, or person.
2. Enter the involved party details as described in [Table 13](#). Fields marked with \* asterisk are mandatory. For more information, see [Involved Parties Details](#).
3. Click **Save**. A confirmation message is displayed and the involved party information is updated.

#### 6.3.2.1.2 Involved Parties Details

Use this section to add a new involved party (account, entity, or person) to the selected transaction. You can also edit or delete an involved party associated with the selected transaction.

- **An Account as an involved party:** You can add an account as an involved party to the selected transaction. The account that you add in this section is listed in the [Involved Accounts Details](#) section.
- **An Entity as an involved party:** You can add an entity (organization or institution) as an involved party to the selected transaction. The entity that you add in this section is listed in the [Involved Entity Details](#) section.
- **A Person as an involved party:** You can add a person as an involved party to the selected transaction. The person that you add in this section is listed in the [Involved Person Details](#) section.

To add an involved party to the selected transaction, follow these steps:

1. On the *Involved Parties Information* section, click **+** for Account, Entity, or Person. The Add Involved Party section is expanded based on your selection (Account, Entity, or Person).

**Figure 10: Add Involved Party**

2. Enter the details in the involved party details fields.

[Table 13](#) describes fields in the Add Involved Party. Fields marked with \* asterisk are mandatory.

**Table 13: Involved Party**

Fields	Description
Party Type	Select the party type. For example, External Person Internal Account, External Entity, and so on.
Party Role	Select the party role (Beneficiary, Conductor, and Originator).
Funds Code	Select the fund's code (Bank Draft, Cash, Cheque, Fund Description, Other).
Funds Code Description	Enter the description for the fund code, if required.
Amount	Enter the amount involved in the transaction.
Currency	Select the type of currency.
Country	Select the country.
Exchange Rate	Enter the exchange rate of the country selected.
Significance	Enter the significance of the involved party.
Comments	Enter comments, if required.

3. Click **Save**. A confirmation message is displayed and the newly added involved party appears in the *Involved Party* list. The newly added entities are also listed in their respective pages. For example, if you add the account as an entity, it is also displayed on the [Involved Accounts Details](#) page. Similarly, for [Involved Entity Details](#) and [Involved Person Details](#).
4. To edit an existing involved party, select the required record number. The Involved Party details are displayed. Modify the necessary information and click **Save**. The involved party details are updated.
5. To delete an existing involved party, select the involved party from the list and click **Remove**. The selected involved party is removed from the list.

### 6.3.2.2 Goods and Service

This section provides information about the goods and services associated with the selected transaction, such as item type, manufacturer, current owner, estimated value, and so on.

Use this section to add new goods and services to the selected transaction, edit or delete the existing goods and services from the list. For more information, see [Goods and Services Details](#).

#### 6.3.2.2.1 Goods and Services List



Use this section to view and update the list of goods and services associated with the selected transaction.

To view and update the goods and services, follow these steps:

1. Select the required **Record Number** in the list. The goods and services details are displayed.
2. Enter the goods and service details as described in [Table 14](#). Fields marked with \* asterisk are mandatory.
3. Click **Save**. A confirmation message is displayed and the goods and services information is updated.

### 6.3.2.2.2 Goods and Services Details

To add new goods and services to the selected transaction, follow these steps:

1. On the *Goods and Services* section, click **+**. The *Add Goods and Services* section is displayed based on your selection.

**Figure 11: Goods and Services Details**

The screenshot shows a web form titled "Goods and Services Details" with "Save" and "Reset" buttons in the top right. The form contains two identical rows of input fields. Each row includes:
 

- Item Type\***: A dropdown menu.
- Manufacturer**: A text input field.
- Previous Owner Name**: A text input field.
- Current Owner Name**: A text input field.
- Estimated Value**: A text input field with a help icon.
- Status**: A dropdown menu.
- Disposed value**: A text input field (only present in the second row).
- Currency**: A dropdown menu (only present in the second row).

2. Enter the details in the goods and service details fields.

[Table 14](#) describes Goods and Services Details fields. Fields marked with \* asterisk are mandatory.

**Table 14: Goods and Service Details**

Fields	Description
Item Type	Select the item type. For example, Bonds, Equity Funds, and so on.
Manufacturer	Enter the name of the manufacturer.
Previous Owner Name	Enter the name of the previous owner of the goods and services.
Current Owner Name	Enter the name of the current owner of the goods and services.
Estimated Value	Enter the estimated value of the goods and services.
Status	Enter the status of the transaction.
Disposed value	Enter the disposed value assigned for the goods and services.
Currency Code	Select the currency code.

**Table 14: Goods and Service Details**

Fields	Description
Total Area	Enter the total area required.
Unit Of Measurement	Enter the unit of measurement for the total area.
Registration Date	Select the registration date.
Registration Number	Enter the registration number for this transaction.
Identification Number	Enter the identification number.
Address Type	Select the address type.
Address	Enter the address for this transaction.
City	Enter the city name.
State	Select the state.
Country	Select the country.
Zip	Enter the zip code of the sate.
Address Comments	Enter comments for address, if required.
Item Description	Describe the item.
Status Comments	Enter status comments, if required.
Comments	Enter comments for the goods and services, if required.

3. Click **Save**. A confirmation message is displayed and the newly added goods and services information appears in the *Goods and Service Details* list.
4. To edit the existing goods and services, click **Report Number**. The *Goods and Service Details* page is expanded. Modify the necessary information and click **Save**. The goods and services details are updated.
5. To delete existing goods and service details, select the goods and services from the list and click **Remove**. The selected goods and service are removed from the list.

## 6.4 Involved Accounts Details

The *Involved Account Details* section displays the list of accounts involved in the transaction. This list provides information such as involved party role, involved party type, type of foreign currency used for the transaction, and so on.

You can add involved parties to the existing transactions by performing Apply to All action.

This helps to add involved parties to the transactions. It is mandatory that every involved party that you are adding to the transaction must have an account number.

To update Involved Accounts Details, follow these steps:

1. On the Involved Accounts Details tab, click the required transaction involved. The list of Involved Parties is displayed.
2. Select the required Record Number and click **To Apply All**. A confirmation message is displayed.

Use this section to view and update: [Accounts Details](#), [Signatory](#), [Account Entity Owner](#), [Director](#).

## 6.4.1 Accounts Details

Use the *Accounts Details* section to view and update information pertaining to the selected involved account details.

To update account details, follow these steps:

1. On the *Involved Account Details Information* section, select the Involved Account **Report Number**. The Account Details section is displayed

**Figure 12: Accounts Details**

2. Enter the field details in the Account Details.

**Table 15** explains fields available in the Account Details. Fields marked with \* asterisk are mandatory.

**Table 15: Involved Accounts Details**

Fields	Description
Institution Name	Enter the institution name.
Non-Banking Institution	Select whether the institution is a non-banking or not.
Institution Code	Enter the institution code.
Swift	Enter the swift of the institution.
Branch	Enter the branch of the institution. This field is mandatory if the account is an internal account.
Currency	Select the currency used in this account.
Account Number	Enter the account number of the institution.
Account Name	Enter the account name of the institution.
IBAN	Enter the International Bank Account Number (IBAN) of the institution.
Client Number	Enter the client number of the institution.
Account Type	Select the account type related to the institution.
Account Status	Select the account status.
Account Opening Date and Time	Select the account opening date and time.
Account Closing Date and Time	Select the account closing date and time from the calendar.

**Table 15: Involved Accounts Details**

Fields	Description
Balance	Enter the balance amount.
Balance Date and Time	Select the balance date and time from the calendar.
Beneficiary	Enter the beneficiary name.
Comment on Beneficiary	Enter a comment on the beneficiary, if any.
Comments	Enter comments, if any.

3. Click **Save**. A confirmation message is displayed and the newly added account appears in the *Involved Account* list.

## 6.4.2 Signatory

Use the *Signatory* section to view, add, and update information pertaining to the selected involved signatory details.

To add signatory details, follow these steps:

1. On the *Involved Signatory* section, click **Add**. The Signatory Details page is displayed.

**Figure 13: Signatory**

2. Enter the information in the Signatory Details fields.

**Table 16** explains fields available in the Signatory. Fields marked with \* asterisk are mandatory.

**Table 16: Signatory Details**

Fields	Description
Is Primary	Select whether the signatory is primary or not.
Role	Select the role of the signatory.
Title	Enter the title of the signatory.
Prefix	Enter the prefix of the signatory (Mr or Mrs)
First Name	Enter the first name of the signatory.
Middle name	Enter the middle name of the signatory.
Last Name	Enter the last name of the signatory.

**Table 16: Signatory Details**

Fields	Description
Gender	Enter the gender of the signatory.
DOB	Select the date of birth of the signatory.
Place of Birth	Enter the place of birth of the signatory.
Mother's Name	Enter the signatory's mother's name.
Alias	Enter the alias of the signatory.
Nationality 1	Select the nationality 1 of the signatory.
Nationality 2	Select the nationality 2 of the signatory.
Nationality 3	Select the nationality 3 of the signatory.
Country of Residence	Select the country of residence of the signatory.
Email ID	Enter the email ID of the signatory.
SSN	Enter the SSN (social security number) of the signatory.
ID Number	Enter the unique identification number of the signatory.
Source of Wealth	Select the source of the wealth of the signatory.
Passport Number	Enter the passport number of the signatory.
Passport Country	Select the country of the passport.
Deceased	Specify if the signatory is deceased.
Deceased Date and Time	If deceased, select the date and time of the signatory's death.
Person Tax Number	Enter the personal tax number of the signatory.
Person Tax Registration Number	Enter the personal tax registration number of the signatory.
Comments	Enter comments, if any.

For more information on Address, Phone, Identification, and Employer Details, see the [Person Details](#) section.

3. Click **Save**. A confirmation message is displayed and the newly added signatory details appear in the Signatory list.
4. To update an existing signatory, select the Involved Signatory Name and update the necessary information.

### 6.4.3 Account Entity Owner

Use the *Account Entity Owner* section to view and update information pertaining to the entity owner of the account.

To update the entity owner of the account, follow these steps:

1. On the *Account Entity Owner* section, enter the details of the account entity owner.

Table 17 describes fields available in the Account Entity Owner. Fields marked with \* asterisk are mandatory.

**Table 17: Account Entity Owner**

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

2. Click **Save**. A confirmation message is displayed and the newly added account entity owner details appear in the list.

### 6.4.3.1 Director

Use the *Director* section to view, add, and update information pertaining to the director's details.

This section is displayed only if you added information in the Account Entity Owner Details section and the Signatory is an entity.

To add a new director's details, follow these steps:

1. On the *Director* section, click **Add**. The Director Details page is displayed.

**Figure 14: Director**

The screenshot shows a web form titled "Director Details". At the top right, there are "Save" and "Reset" buttons. The form contains the following fields:

- Role:** A dropdown menu with "Board" selected.
- Alias:** A text input field.
- Nationality 1:** A dropdown menu.
- Nationality 2:** A dropdown menu.
- Nationality 3:** A dropdown menu with radio buttons for "No" and "Yes" below it.
- Mother's Name:** A text input field.
- Country of Residence:** A dropdown menu with a calendar icon and a close icon.
- Person Tax Number:** A text input field.
- Person Tax Registration Number:** A text input field.
- Comments:** A text area at the bottom.

2. Enter the details of Director.

**Table 18** explains fields available in the Director page. Fields marked with \* asterisk are mandatory.

**Table 18: Director**

Fields	Description
Role	Select the role of the director.
Title	Enter the title of the director.
Prefix	Enter the prefix of the director.
First Name	Enter the first name of the director.
Middle name	Enter the middle name of the director.
Last Name	Enter the last name of the director.
Gender	Enter the gender of the director.
DOB	Select the date of birth of the director.
Place of Birth	Enter the place of birth of the director.
Mother's Name	Enter the director's mother's name.
Alias	Enter the alias of the director.
Nationality 1	Select the nationality 1 of the director.
Nationality 2	Select the nationality 2 of the director.
Nationality 3	Select the nationality 3 of the director.
Country of Residence	Select the country of residence.
Email ID	Enter the email ID of the director.
SSN	Enter the social security number (SSN) of the director.
Source of Wealth	Select the source of the wealth of the director.
Passport Number	Enter the passport number of the director.
Passport Country	Select the country of the passport.

**Table 18: Director**

Fields	Description
Deceased	Specify if the director is deceased.
Deceased Date and Time	If the director has passed away, select the date and time of death.
Person Tax Number	Enter the person's tax number.
Person Tax Registration Number	Enter the person's tax registration number.
Comments	Enter comments, if any.

3. Click **Save**. A confirmation message is displayed and the newly added director details appear in the list.
4. To modify the existing director's details, select the required director name and update the necessary information.
5. To delete an existing director from the list, select the required director name and click **Remove**.
6. To add an existing director to the involved party, click **Add Existing**. The Director List pop-up is displayed. Search (using First Name or Last Name) or select the required director and click **Add**. The selected director along with the complete details such as address, phone, and identification are added to the selected involved party.

## 6.5 Involved Entity Details

The *Involved Entity Details* section provides the list of entities (Institutions) involved in the transaction. It provides details such as involved party roles, fund code, and so on.

Use this section to view and update: [Entity Details](#) and [Director](#) details.

### 6.5.1 Entity Details

Use the *Entity Details* section to view and update information pertaining to the selected involved entity details.

To update the entity details, follow these steps:

1. In the *Involved Entity Details* Information section, select the Involved Entity **Report Number**. The Entity Details section is displayed.



**Figure 15: Entity Details**

2. Enter the information in the involved party details.

Table 19 explains fields available in the Entity Details. Fields marked with \* are mandatory.

**Table 19: Involved Entity**

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

For more information on Address, Phone, Identification, and Employer Details, see the [Person Details](#) section.

### 6.5.1.1 Director

This section provides details about the entity director. For more information, see the [Director](#) section.

## 6.6 Involved Person Details

The *Involved Person Details* section provides a list of the persons involved in the transaction. This section also provides complete information about the person’s details such as an address, phone details, identification details, and employer details that led to the creation of the report.

Use this section to view and update: [Person Details](#), [Address](#), [Phone](#), [Identification](#), and [Employer Details](#).

### 6.6.1 Person Details

Use the *Person Details* section to view and update information pertaining to the selected involved person.

To update the involved person’s details, follow these steps:

1. On the *Involved Person* section, select the Involved Person **Report Number**. The Person Details section is displayed.

**Figure 16: Person Details**

The screenshot shows a web form titled "Person Details" with a "Save" button and a "Reset" button. The form contains the following fields:

- Title\* (text input)
- Mother's Name (text input)
- Nationality 1\* (dropdown menu)
- Nationality 3 (dropdown menu)
- ID Number (text input)
- Passport Number (text input)
- Deceased (checkboxes for "Mr" and "Mrs")
- Prefix (text input)
- Alias (text input)
- Nationality 2 (dropdown menu)
- Country of Residence\* (dropdown menu)
- Source of wealth (text input)
- Passport Country (text input)
- Deceased Date (calendar icon and "X" icon)

2. Enter the information in the person’s details fields.

**Table 20** describes fields available in the Person Details page. Fields marked with \* asterisk are mandatory.

**Table 20: Involved Person**

Fields	Description
Title	Enter the title of the person.
Prefix	Enter the prefix of the person (Mr or Mrs).
First Name	Enter the first name of the person.
Middle name	Enter the middle name of the person.
Last Name	Enter the last name of the person.
Gender	Enter the gender of the person.
DOB	Select the person’s date of birth.
Place of Birth	Enter the place of birth of the person.

**Table 20: Involved Person**

Fields	Description
Mother's Name	Enter the mother's name of the person.
Alias	Enter the alias of the person.
Nationality 1	Select the nationality 1 of the person.
Nationality 2	Select the nationality 2 of the person.
Nationality 3	Select the nationality 3 of the person.
Country of Residence	Select the country of residence.
Email ID	Enter the email ID of the person.
SSN	Enter the social security number (SSN) of the person.
ID Number	Enter the unique identification number of the person.
Source of Wealth	Select the source of the wealth of the person.
Passport Number	Enter the passport number of the person.
Passport Country	Select the person's country of passport.
Deceased	Select whether the person is deceased or not.
Deceased Date and Time	If the person is deceased, select the deceased date and time.
Person Tax Number	Enter the person's tax number.
Person Tax Registration Number	Enter the person's tax registration number.
Comments	Enter comments, if any.

3. Click **Save**. A confirmation message is displayed and details are updated in the selected involved person details.

## 6.6.2 Address

Use the *Address* section to know the communication address of the person involved in the transaction that led to the creation of the report.

You can use this section to view, add, or delete the address of the person.

To update the address details, follow these steps:

1. On the *Involved Person* section, go to the **Address** section. The list of addresses pertaining to the selected person is displayed.

This section provides you the complete details of the involved person's address. For example, local address, state, zip code, and so on. You can also add a new address to this list.

2. To add a new address, click **Add**. The Address Details section is displayed.

**Figure 17: Address**

3. Enter the information in the Address Details fields.

**Table 21** describes fields available in the Address page. Fields marked with \* asterisk are mandatory.

**Table 21: Address**

Fields	Description
Address Type	Select the address type.
Address	Enter the address details (lane, street, and so on).
Town	Enter the town name.
City	Enter the city name.
State	Select the State.
Zip	Enter the zip code of the city.
Country	Select the country.
Comments	Enter comments, if any.

4. Click **Save**. A confirmation message is displayed and a newly added address is displayed in the *Address* list.
5. To delete an existing address from the list, select the required address and click **Remove**. The Address list is updated.

### 6.6.3 Phone

Use the *Phone* section to know the phone details of the person involved in the transaction that led to the creation of the report.

You can use this section to view, add, or delete a person's telephone.

To update phone details, follow these steps:

1. In the *Involved Person* section, go to the **Phone** section. The phone details pertaining to the selected person are displayed.

This section provides you the details of the phone that belongs to the involved person. For example, phone number, contact type, extension, and so on. You can also add a new phone to this list.

2. To add a new phone, click **Add**. The *Phone Details* section is displayed.

**Figure 18: Phone**

3. Enter the information in the Phone Details fields.

Table 22 explains fields available in the Phone Details page. Fields marked with \* asterisk are mandatory.

**Table 22: Phone**

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

4. Click **Save**. A confirmation message is displayed and a newly added phone is displayed on the *Phone* list.
5. To delete an existing phone from the list, select the required phone number and click **Remove**. The Phone list is updated.

## 6.6.4 Identification

Use the Identification section to know the identification type of the person involved in the transaction that led to the creation of the report. Identification can be address identification, photo identification, and so on.

You can use this section to view, add, or delete the identification of the person.

To update the identification details, follow these steps:

1. On the *Involved Person* section, go to the **Identification** section. The identification details pertaining to the selected person are displayed.

This section provides you the details of the identification of the person. For example, Identification Type, Identification Number, Issue Date, Expiry Date, Issuing Country, and so on.

You can also add new identification details to this list

2. To add a new identification, click **Add**. The *Identification Details* section is expanded.

**Figure 19: Identification**

3. Enter the information in the Identification Details fields.

Table 23 describes fields available in the Identification page. Fields marked with \* asterisk are mandatory.

**Table 23: Identification**

Fields	Description
Identification Type	Select the identification type.
Identification Number	Enter the identification number.
Issue Date	Select the date on which the identity (ID) was issued.
Expiry Date	Select the date on which the identity (ID) will expire.
Issuing Country	Enter the name of the country that has issued this identity.
Issuing Authority	Enter the name of the issuing authority.
Comments	Enter comments, if any.

4. Click **Save**. A confirmation message is displayed and newly added identity is displayed in the Identification list.
5. To delete an existing identity from the list, select the required identity and click **Remove**. The Identification list is updated.

## 6.6.5 Employer Details

Use the *Employer* section to know the employer’s details with whom the involved person is employed. You can use this section to view, add, or delete the *employer* of the person.

To update the employer’s details, follow these steps:

1. On the *Involved Person* section, go to the **Employer** section. The list of employers pertaining to the selected person is displayed.  
  
This section provides you the details of the employer of the person. For example, employer name, occupation, address type, and so on. You can also add new employer details to this list.
2. To add a new employer, click **Add**. The *Employer Details* section is expanded.

**Figure 20: Employer Details**

3. Enter the information in the Employer Details fields.

**Table 24** explains fields available in the Employer Details. Fields marked with \* asterisk are mandatory.

**Table 24: Employer**

Fields	Description
Employer Name	Enter the name of the employer.
Occupation	Enter occupation details.
Address Type	Select the address type of the employer.
Address	Enter the address.
Town	Enter the town name.
City	Enter the city name.
Zip Code	Enter the zip code of the city.
Country	Select the country of the employer.
State	Select the state of the employer.
Address Comments	Enter comments for the address, if any.
Contact Type	Enter the contact type.
Communication Type	Enter the communication type.
Country Phone Code	Enter the country code.
Phone Number	Enter the phone number.
Extension	Enter the extension number.
Comments	Enter comments, if any.

4. Click **Save**. A confirmation message is displayed and a newly added employer is displayed in the Employer list.
5. To delete an existing employer from the list, select the required employer and then click **Remove**. The Employer list is updated.
6. Click **Save** to update the information.

## 6.7 Narrative

Use the *Narrative* option to summarize suspicious activity and mention the action taken by the reporting entity.

To use the *Narrative* option, follow these steps:

1. On the *Reports Details* page, click the **Narrative** tab. The Narrative page is displayed.

**Figure 21: Narrative**

2. Enter the following information in the respective fields. Fields marked with \* are mandatory.
  - Description of Suspicious Activity: Enter the following information:
    - Background/profile/occupation of the customer and other related individuals/entities.
    - When did the relationship with the customer begin?
    - How was suspicion detected?
    - What information was linked or collected during the review process?
    - What explanation was provided by the subject(s) or other persons (without tipping off)?
    - Summary of suspicion of whether the suspicious activity is an isolated incident or relates to another transaction?
    - Who benefited, financially or otherwise, from the transaction(s), how much, and how (if known)?
    - What is the volume of transactions in reported accounts in the financial year, and what is the volume of cash transactions? Whether any STR filed for the customer earlier?
    - Any additional information that might assist law enforcement authorities.
  - Action Taken by Reporting Entity: Enter the following details.
    - Details about the investigation being conducted covering the name of the agency, contact person, and contact details.
    - The source of the investigation could be both internal to the reporting entity or any investigation by the law enforcement agency.
    - Whether any Law enforcement agency is informed about the incident reported in the STR.
    - Contact details of the person in the law enforcement agency which is conducting the investigation.
3. Click **Save** to update the narration of suspicious activity.



The *Audit* section tracks both actions and comments entered while performing the *Narrative* action.

## 6.8 Documents

While filing the report with regulatory authorities, you can also send additional documents. This additional information aids in taking the correct decision on the report. When you attach a document to a report, the status of that report does not change. However, the attachment is added to the report's history.

An Analyst or a Supervisor can attach, modify, or delete documents in all statuses except when the report is in *View Only* mode. For more information on user roles, see [Table 4](#).

To modify or attach a document, follow these steps:

1. On the *Reports Details* page, click the **Document** tab and click **Add** to attach a new document to the selected report. The Add Document window is displayed.

**Figure 22: Documents**

2. Enter the information in the Documents fields.
3. [Table 25](#) describes fields available in the Documents page.

**Table 25: Add Document**

Fields	Description
Description	Enter a brief description of the document attached.
Type of File	Enter the type of document.
Document Date	Enter the date of the document.
Logical Name	Enter the logical name.
Sending Option	Enter the option for sending the document.

4. Click **Browse** to select the document from your computer and then click **Attach File**. The file is attached to the selected report.

## 6.9 Audit

Use the *Audit* tab to view the audit history of a report. It provides details of actions performed on the report and comments provided by the users in the various statuses.

To use the *Audit* tab, follow these steps:

1. On the *Reports Details* page, click the **Audit** tab. The Audit window is displayed.

**Figure 23: Audit**

Date	Action By	Action
02-03-2020 08:34:21	insup	Added Account Involved Details
02-03-2020 08:33:16	insup	Added Account Involved Details
02-03-2020 08:32:34	insup	Added Account Involved Details
02-03-2020 08:32:24	insup	Added Account Involved Details
02-03-2020 08:16:22	insup	Added Transaction
02-03-2020 06:30:42	insup	Amended Report Created.
02-03-2020 06:18:12	insup	Modified Account Involved Details
02-03-2020 06:17:55	insup	Modified Account Involved Details
02-03-2020 06:17:39	insup	Modified Account Involved Details

A record is created in the Audit tab when a user performs any of the following actions:

- Created From Case
- Created Manually
- Modified Reporting Entity
- Modified Account Involved Details
- Modified Person or Account Owner details
- Modified Transaction Details
- Modified Suspicious Activity Description
- Modified Narrative and Action
- Added New Document
- Modified Document
- Removed Document
- Edit/ Delete Report
  - Originating Report
  - New Report
- E-File Generation Unsuccessful
- Acknowledgment Details
  - If the report is accepted then *Upload Acknowledgment (Comments displayed - Report is Accepted)*

- If the report is rejected then *Upload Acknowledgment* (Comments displayed- *Report is Rejected* along with error message)

The *Actions* section displays all the actions taken on the report.

**Table 26** explains columns available in the Audit page.

**Table 26: Actions Grid Field Description**

Fields	Description
Date	The date on which the action has occurred.
Action By	The name of the user who acted on this.
Action	A short description of the action.
Comments	The comments entered while performing an action.

## 7 Acting on a Report

After reports are analyzed using the Reports Details page, an authorized user can take the following actions on reports:

- **Requesting the Report for Approval:** As an Analyst, you can request the supervisor to approve the report for filing when it is in the Open, Reopened, Requested for Approval, or Rework status. Click **Request Report for Approval** to take this action. The status of the report changes to Requested for Approval.
- **Approving Reports:** As a Supervisor, you can assess the reports that are requested for your approval. You can approve reports that are in Open, Reopened, Requested for Approval, or Rework status. Click **Approve Report** to take this action. If you approve the request, the status of the report changes to Approved.
- **Reworking Reports:** As a Supervisor, you can send reports for rework if they are incomplete or need more investigation. You can order reports for rework when they are in the Open, Reopened, Requested for Approval, or Rework status. Click **Rework Report** to take this action. The status of the report changes to Rework.
- **Canceling Report Filing:** As an Analyst or a Supervisor, you can decide to cancel the filing of the report. You can cancel the reports from filing when they are in the Open, Reopened, Requested for Approval, or Approved status. Click **Cancel Filing** to take this action. The status of the report changes to Canceled.
- **Reopening Reports:** If a report is canceled for any reason and needs to be evaluated again, an Analyst or a Supervisor can reopen a report. You can reopen a report only when it is in the Canceled status. Click **Reopen a Report** to take this action. The status of the report changes to Reopen.
- **Submitting the Reports:** After the reports are validated, they must be submitted. As an Analyst or a Supervisor, click **Submit** button to submit the report.
- **Adding Comments:** You can add comments to a report in any status. By adding comments, the status of the report does not change.
- **Setting a Due Date:** You can set due date to a report in any status. By setting dates, the status of the report doesn't change.

### 7.1 Requesting the Report for Approval

An Analyst requests the Supervisor to approve the report for filing when it is in the *Open*, *Reopened*, *Requested for Approval*, or *Rework* status. A Supervisor evaluates and then approves the report, sends the report for rework, or cancels the filing of the report.

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

1. On the *Reports Details* page, click **Request for Approval**. The *Request for Approval* window is displayed.
2. Enter the comments in the *Request for Approval* window.

**NOTE** In the comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save** to confirm the action. The *Report Details* page is displayed and the status of the report changes to *Requested for Approval*. The Audit section tracks both actions and comments entered while performing the Request for Approval action.

## 7.2 Approving Reports

A Supervisor can approve a report when it is in the *Open*, *Reopened*, *Requested for Approval*, or *Rework* status.

To approve a report, follow these steps:

1. On the *Reports Details* page, click **Approve**. The *Approve* window is displayed.
2. Enter the Comments in the *Approve* window.

**NOTE** In the comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.

**NOTE** The naming convention for the final STR is in the format STR\_Case ID\_Approved Date (DD-MM-YYYY\_HH24-MM-SS).doc. If the report is created from the OFS ECM, you can rename the final STR while saving.

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

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

After the report is approved, the application generates the final report containing the required information that must be submitted to the regulatory authority. The Audit section tracks both actions and the comments entered while performing the *Approve* action.

## 7.3 Reworking Reports

A Supervisor can send a report for rework, if it is incomplete, inaccurate, or needs additional investigation. If a report is sent for rework, an Analyst must rework the report and submit it again for the approval. This process continues until the report is approved or canceled.

To send a report for rework, follow these steps:

1. On the *Reports Details* page, click **Rework**. The *Rework* window is displayed.
2. Enter the Comments in the *Rework* window.

**NOTE** In the comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The Report Details page is displayed and the status of the report changes to *Rework*.  
The Audit section tracks both actions and comments entered while performing the *Rework* action.

## 7.4 Canceling Report Filing

For any valid reasons, if you determine that a report should not be filed, then you can cancel it. After the report is canceled, you cannot edit the report details.

Only authorized users can cancel a report from filing. For more information on user privileges, see [Table 4](#).

To cancel filling the report, follow these steps:

1. On the *Reports Details* page, click **Cancel Filing**. The *Cancel Filing* window is displayed.
2. Enter comments in the *Comments* box.

**NOTE** In the Comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The *Report Details* page is displayed and the status of the report changes to *Canceled*.

**NOTE** The due date of the report is deleted on taking the *Cancel Filing* action.

The Audit section tracks both actions and comments entered while performing the *Cancel* action.

## 7.5 Reopening Reports

If a report is canceled for any reason or it needs to be evaluated again, an Analyst or a Supervisor can reopen a report in the *Canceled* status.

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

1. On the *Reports Details* page, click **Reopen**. The *Reopen Reports* window is displayed.
2. Enter comments in the *Reopen* window.

**NOTE** In the Comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The *Report Details* page is displayed and the status of the report changes to *Reopened*.

The Audit section tracks both actions and comments entered while performing the *Reopen* action.

## 7.6 Submitting the Reports

Authorized users can submit a report after the report is validated.

To submit a report, follow these steps:

1. On the *Reports Details* page, click **Submit**. The *Submit* window is displayed.
2. Enter *Comments*, if required.
3. Click **Save**, the report is submitted. The final report can be viewed, saved as a local copy, or printed.

## 7.7 Adding Comments

An Analyst, Auditor, or Supervisor can add comments to a report in any status.

To add comments to a report, follow these steps:

1. On the *Reports Details* page, click **Audit**. The *Audit* window is displayed.
2. Enter the comments in the *Comments* box.

**NOTE** In the Comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Done**. The Audit section tracks both actions and comments entered while performing the *Set Due Date* action

## 7.8 Setting a Due Date

Analyst and Supervisor can set a due date or modify an existing due date of a report to close or report to the regulator by that date.

The **Set Due Date** action is available in the application only when an Administrator set the **Edit Due Date Flag** attribute to **Y** in the *Application Parameters* table

Table 27 explains Setting a Due Date.

**Table 27: Behavior and Attributes for Due Date**

Attribute Name	Value	Behavior
Due Date with edit		Users mapped to this role can set/edit/view the due date.
Due date with view		Users mapped to this role can only view the due date.
Number of Days	N	When a report is created either manually or through action from the case, the application automatically sets the due date to action date + N calendar days. If the parameter is blank, no date is set. The default is five days.

Table 28 explains the statuses in which the Analyst and Supervisor users can perform the *Set Due Date* action:

**Table 28: User Roles and Set Due Date Action**

Menu	Role			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	
Reopened	X	X	X	
Requested for Approval	X	X	X	
Rework	X	X	X	

**Table 28: User Roles and Set Due Date Action**

Menu	Role			
	Analyst1	Analyst2	Supervisor	Auditor
Approved	X	X	X	
Cancelled				
Acknowledged				
Rejected from E-File				
E-File Generated	X	X	X	
Submitted				

**NOTE** An Auditor can only view the Due Date.

To set a due date for a report, follow these steps:

1. On the *Reports Details* page, click **Set Due Date**. The *Set Due Date* window is displayed.

2. Enter the comments in the *Comments* box.

**NOTE** In the Comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Select a date from the calendar.
4. Click **Save**. A confirmation message is displayed.
5. Click **OK**. The updated *Report Details* page is displayed.

The Audit section tracks both actions and comments entered while performing the *Set Due Date* action.



## OFSAA Support Contact Details

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