

Oracle Financial Services

CRR Canadian STR

User Guide

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ORACLE[®]
Financial Services

OFS CRR Canadian STR User Guide

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Document Control

Table 1: Document Control

Version Number	Revision Date	Change Log
1.2	February 2022	Updated E-File ID field in Table 6 .
1.1	December 2021	<ul style="list-style-type: none">• Added a note in the Advanced Search section- <i>Searching on Report Number will ignore any other search criteria provided. Searching on Report Name and/or Case ID will ignore the Created Date range.</i>• Added a note in the Searching E-Files section - <i>Searching on E-File Number or Report Number will ignore any other search criteria provided.</i>• Added three new statuses in Advanced Search Opening a Report chapter and Searching E-Files section of Filing Report chapter - Acknowledgement - Accepted, Acknowledgement - Accepted with warnings, and Acknowledgement - Reject.
1.0	October 2021	The first publication of this release.

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1 About This Guide

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

1.1 Who Should Use This Guide

The *OFS CRR CA STR User Guide* is designed for use by various OFS CRR CA STR users. The roles and responsibilities of the OFS CRR CA STR application users as follows:

- **Analyst-I:** This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from Open and Reopen status, reopen cancelled reports, and also view/save the final report.
- **Analyst-II:** This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from Open and Reopen status, reopen cancelled reports, and also view/save the final report. This user can also generate revised reports, and reject a report. This user can also generate revised report and regenerate E-File, submit, and upload acknowledgment.
- **Supervisor:** This user can access the OFS CRR CA 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 the reports.
- **RR Admin:** This user handles various configurations required to support the reporting workflow.

1.2 How this Guide is Organized

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

- [Chapter 2, About Canadian STR](#), provides an overview of the OFS CRR CA STR application and its workflow.
- [Chapter 3, Getting Started](#), explains the steps to log in to the OFS CRR CA 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) about 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.
- [Chapter 8, Filing Regulatory Reports](#), lists the steps to generate an e-file for an approved 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"> Names of books, chapters, and sections as references Emphasis
Bold	<ul style="list-style-type: none"> 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
Monospace	<ul style="list-style-type: none"> 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 User Interface
<Variable>	Substitute input value

2 About Canadian STR

As a part of regulations and compliances, a Financial Services Organization must perform appropriate analysis and report any suspicious activities that can lead to fraud and money laundering to the regulatory authorities.

The Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) is Canada's financial intelligence unit. Its mandate is to facilitate the detection, prevention, and deterrence of money laundering and the financing of terrorist activities while ensuring the protection of personal information under its control.

Financial entities such as banks (that is, those listed in Schedule I or II of the Bank Act) or authorized foreign banks with respect to their operations in Canada, credit unions, financial services cooperatives, credit union centrals (when they offer financial services to anyone other than a member entity of the credit union central), trust companies, loan companies and agents of the Crown that accept deposit liabilities) must report to FINTRAC.

2.1 OFS CRR CA STR Application

Oracle Financial Services Compliance Regulatory Reporting Canadian Suspicious Transaction Reporting (OFS CRR CA STR) application is used to analyze the reports and take appropriate action on the report for a resolution.

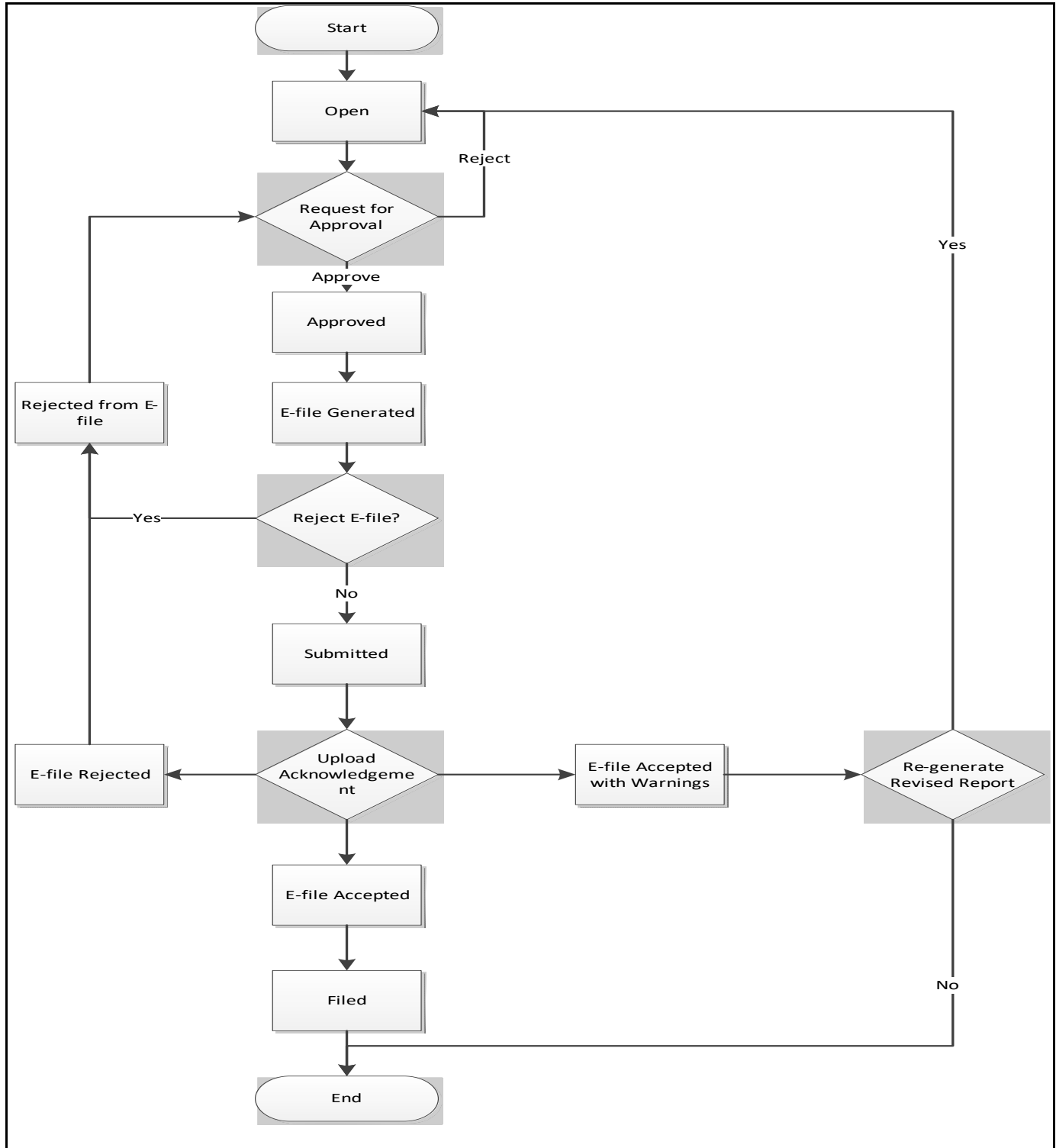
Reports are generated in the OFS CRR CA STR application as a result of the Generate STR action was taken on a case or cases in the Oracle Financial Services Enterprise Case Management (OFS ECM) application. The business data (transaction, account, and entity details) and operational data (narratives,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

Using this information, authorized users analyze the reports and file an STR to the FINTRAC or close them by providing appropriate details.

2.1.1 CA STR Application Workflow

This section explains the workflow of OFS CRR CA STR application.

Figure 1: CA STR Workflow.



- When a report is created in the OFS CRR CA 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 required, the Supervisor can send the reports for rework when the report is in Request for Approval status. The Analyst must then rework and resubmit 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.
- If the report is approved by the Supervisor, the authorized user must generate an E-File or a batch E-File (an E-File consists of an approved report) to the FINTRAC E-Filing System. The submission to the FINTRAC E-Filing System is outside the OFS CRR CA STR application. The status of the report is marked as Submitted in the OFS CRR CA STR application.
- The E-File is validated by FINTRAC and an acknowledgment is generated with one of the following Acknowledgment status - Acknowledgment - Accepted, Acknowledgment - Accepted with Warnings, and Acknowledgment - Rejected. This acknowledgment file must be downloaded from the FINTRAC E-Filing System and uploaded into the OFS CRR CA STR application to complete this workflow.

NOTE

If the acknowledgment receipt is **001** that means the E-File is accepted.

If the acknowledgment receipt is **002**, upon uploading the acknowledgment E-file status is changed to *Acknowledgment accepted with warning*.

If the acknowledgment receipt is **004** and **005**, upon uploading the acknowledgment E-file status is changed to *Acknowledgment Rejected*.

- If the FINTRAC E-File System rejects the E-File, an authorized user must regenerate an E-File and rework on such reports before resubmitting into the FINTRAC E-File System.
- If the FINTRAC E-File System populates an error message on a report in the E-File, an authorized user must correct or delete such a report and then generate a revised report and resubmit to the FINTRAC E-File System.
- For the complete list of actions performed by the Analyst, Auditor, or Supervisor on various report statuses, see [Table 2](#). For more information on user roles, see [Table 4](#).
- A Report life cycle begins with the Open status and ends with the Submitted status.

NOTE

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

Table 2 lists the actions performed by the users in different statuses.

Table 2: Action that can be performed in different 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
Rejected from E-File	Request for Approval	Analyst1 and Analyst2	Requested for Approval
Canceled	Reopen	Analyst1, Analyst2, and Supervisor	Reopened
<ul style="list-style-type: none"> • Acknowledgement Accepted • Acknowledgement Accepted with warnings • Acknowledgement Rejected 	Generate Revised Report	Analyst1, Analyst2, and Supervisor	Open

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

NOTE Generate Revised Report creates a new report with the report type as Corrected or Delete.

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

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

Status	View/Edit Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
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
<ul style="list-style-type: none"> • Acknowledgement - Accepted • Acknowledgement - Accepted with warnings • Acknowledgement – Rejected 	View-only	View-only	View-only	View-only
Rejected from E-File	View and Edit	View and Edit	View and Edit	View-only

3 Getting Started

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

3.1 User Access

Table 4: Summarizes the tasks permitted to different user roles in the OFS CRR CA STR application.

Table 4: User Access

Actions	Analyst-I	Analyst-II	Supervisor	Auditor	RR Admin
Search and View Reports	x	x	x	x	
Administration Activities					x
View Report (PDF)	x	x	x	x	
Request for Approval	x	x			
Approve			x		
Rework			x		
Cancel Filing from Open, Rejected from E-File, and Reopen status	x	x	x		
Cancel Filing from Requested for Approval			x		
Add Comments	x	x	x	x	
Manage Documents	x	x	x		
Reopen Canceled Reports	x	x	x		
Create a New Report	x	x	x		
Generate Revised Report		x	x		
Generate E-File		x	x		
Submit		x	x		
Upload Acknowledgment		x	x		
Reject from E-File Generated status	x	x	x		
Set/View/Edit Due Date	x	x	x		

3.2 Accessing the OFS CRR CA STR Application

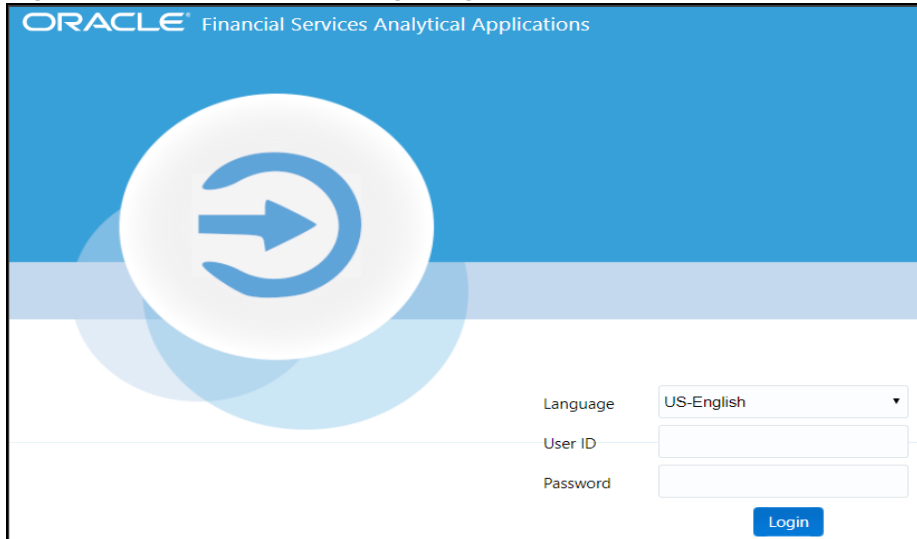
The OFS CRR CA STR application is qualified to run on Microsoft Internet Explorer (IE) or Google Chrome web browsers.

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 CA STR application, follow these steps:

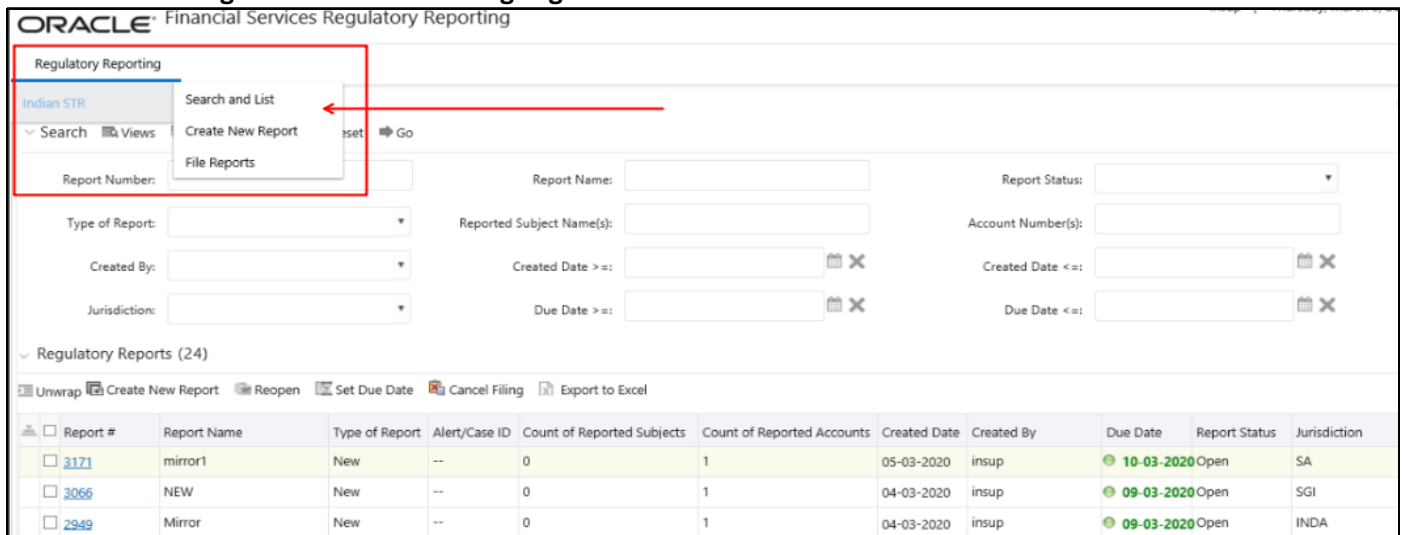
1. Enter the URL in the web browser using the following format:
<Protocol>://<HostName>:<Port_Number >/crrcastr/login
2. The OFS Analytical Applications login page is displayed.

Figure 2: OFS CRR Application Login Page



3. Select the required language.
4. Enter your User ID and Password and click **Login**. The **OFS Analytical Applications** page is displayed.
5. Select 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 **Canadian STR**. By default, the **Search and List** page is displayed.
Or, hover over **India STR** to open Search and List, Create Report, or File Report page.

Figure 3: OFS CRR Landing Page



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

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

[Table 5](#) describes the menus accessible for the OFS CRR users.

Table 5: Menus Accessible to OFS CRR Users

Menu	Analyst-I	Analyst-II	Supervisor	Auditor	Admin User
Search and List	X	X	X	X	
Create New Report	X	X	X		
File Reports	X	X	X		

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 4: Basic Search Option

The screenshot shows a search form with the following fields and values:

- Report Number: [Empty]
- Report Name: [Empty]
- Report Status: [Dropdown arrow]
- Type of Report: [Dropdown arrow]
- Assigned To: [Dropdown arrow]
- Account Number(s): [Empty]
- Created By: [Dropdown arrow]
- Created Date >=: 10-01-2022 [Calendar icon] [X icon]
- Created Date <=: 11-01-2022 [Calendar icon] [X icon]
- Jurisdiction: [Dropdown arrow]
- Due Date >=: [Empty] [Calendar icon] [X icon]
- Due Date <=: [Empty] [Calendar icon] [X icon]
- Reported Subject's First Name: [Empty]
- Reported Subject's Middle Name: [Empty]
- Reported Subject's Last Name: [Empty]
- Case ID: [Empty]

Note : Searching on Report Number will ignore any other search criteria provided. Searching on Report Name and/or Case ID will ignore the Created Date range.

2. Enter the required fields as described in [Table 6](#).
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 5: Advanced Search Option

The screenshot shows the 'Advanced Search' pane with the following fields and controls:

- Report Number:
- Report Name:
- Report Status:
- Type of Report:
- Assigned To:
- Account Number(s):
- Created By:
- Created Date >=:
- Created Date <=:
- Jurisdiction:
- Due Date >=:
- Due Date <=:
- Reported Subject's First Name:
- Reported Subject's Middle Name:
- Reported Subject's Last Name:
- Case ID:

Note: Searching on Report Number will ignore any other search criteria provided. Searching on Report Name and/or Case ID will ignore the Created Date range.

2. Enter the following information in the **Advanced Search** pane as tabulated.

NOTE Searching on Report Number will ignore any other search criteria provided. Searching on Report Name and/or Case ID will ignore the Created Date range.

Table 6 describes fields in the **Advanced Search** pane. Fields marked with an asterisk * are mandatory.

Table 6: 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. NOTE: You can enter a maximum of 50 characters in this field.
Report Name	Enter the report name you want to view. By default, it is a wildcard search. But you can also use '%' and '_' as wildcard indicators. NOTE: Enter at least three characters. 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"> • Select All • Approved • Cancelled • E- File Generated (Not applicable for 'no batch filling') • Open • Rejected from E- File (Not applicable for 'no batch filling') • Reopened • Requested for Approval • Rework • Submitted • Acknowledgement - Accepted • Acknowledgement - Accepted with warnings • Acknowledgement - Reject

Table 6: Advanced Search

Fields	Description
Type of Report	Select one or more report types from the following options: <ul style="list-style-type: none"> • Select All • Corrected • Delete • New
Assigned To	Select a role to assign from the drop-down list.
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 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. NOTE: By default, the date range is set to one day difference, but user can configure based on their requirement.
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 date range. For example, reports created on or before December 26, 2019. NOTE: By default, the date range is set to one day difference, but user can configure based on their requirement.
Last Modified By	Select the user who last modified the report. Use this criterion to view all the reports modified by the 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 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 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.

Table 6: Advanced Search

Fields	Description
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 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 date range. For example, reports approved on or before December 26, 2019.
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 NOTE: 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 CA STR application.
E-File ID	Enter the E-File ID to view the reports corresponding to that E-File.
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 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 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 date range. For example, reports having a due date on or before December 26, 2019.

Table 6: Advanced Search

Fields	Description
Reported Subject Name(s)	Enter the customer’s first name. You can also use ‘%’ and ‘_’ as wildcard indicators.
Reported Subject’s Middle Name	Enter customer’s middle name. You can also use ‘%’ and ‘_’ as wildcard indicators.
Reported Subject’s Last Name	Enter customer’s last name. You can also use ‘%’ and ‘_’ as wildcard indicators.

3. 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.

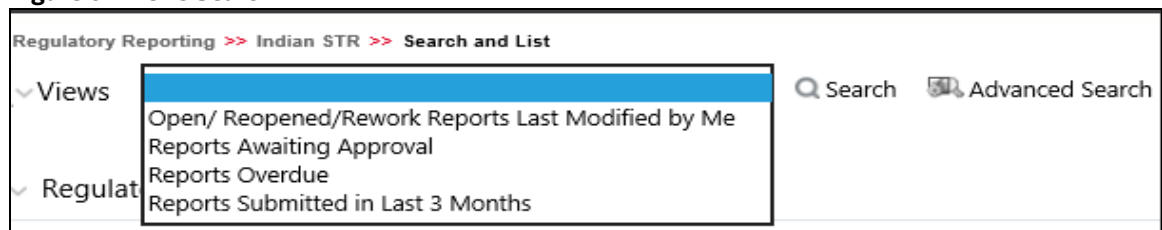
4.3 Views

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 6: Views Search



2. Select the following information in the **Views Search** pane as tabulated.

[Table 7](#) describes fields in the **Views Search** pane. 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 7: Pre-defined views

Views	Description
Open/ Reopened/ Rework - Reports Last Modified by Me	Select this option to view the list of reports in the Open, Reopened, or Rework status which you have modified in the last session. NOTE: This is the default view for an Analyst.
Reports Awaiting Approval	Select this option to view the list of reports in Requested for Approval status. NOTE: This is the default view for a Supervisor.

Table 7: Pre-defined views

Views	Description
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 Red.
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 Save as View option. For more information, see Saving Views .

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 log in 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 6](#).
3. Click **Save as View**. The **Save as View** window is displayed.

Figure 7: Save as View

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 action. 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 8: Report List

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
2949	Mirror	New	--	0	1	04-03-2020	insup	09-03-2020	Open	INDA
2926	jdj	New	--	0	1	04-03-2020	insup	09-03-2020	Open	AMEA
2845	test	New	--	0	1	03-03-2020	insup	08-03-2020	Open	SGI
2810	Manual	New	--	0	1	03-03-2020	insup	08-03-2020	Open	SGI
2795	darshal	New	--	0	2	03-03-2020	insup	08-03-2020	Open	INDA
2431	testing	Replace...	--	0	0	03-03-2020	insup	03-03-0020	Open	AMEA
2441	testing	Replace...	--	1	1	03-03-2020	insup	03-03-0020	Open	AMEA
2421	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 a few days. Dates in yellow indicate that the 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 CA 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 CA 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 CA STR* application. For more information, see [Manually Creating a Report from OFS CRR CA STR](#).

5.1 Acknowledgment to OFS ECM

When the OFS CRR CA 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 CA STR Administrator must set the status to Y. If the status is set to N, the OFS CRR CA 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 CA 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 CA 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 CA 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 9: Create New Report

2. Enter the following information in the **Create New** pane as tabulated.

Table 8 describes fields in the **Creating New Report** pane. Field marked with an asterisk * is mandatory.

Table 8: Creating a New Report

Fields	Description
Report Name	Enter the name for the new report. NOTE: Enter up to fifty characters.
Report Type	This field is auto-populated with the report type. For example, Canadian 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

To declare any report to be suspicious and report it to the FINTRAC, you must view and assess the selected report and its details. There can be one or more transactions associated with a report. You must also know the types of transactions, entities, or individuals associated with it. You must study narrations, documents, and audit history associated with the report before you take any type of action on the selected report.

When you identify a suspicious transaction is associated with the selected report and it is not reported through the OFS ECM application, but you want to report it to the FINTRAC, then you can manually add a new transaction to the report.

Use the Report Details page to view, analyze, and update the report information. You can add, delete, and modify the reports based on the status of the report and your user privileges. For more information on reports and user privileges, see [Table 3](#).

The Report Details helps you analyze the selected report and includes the following sections:

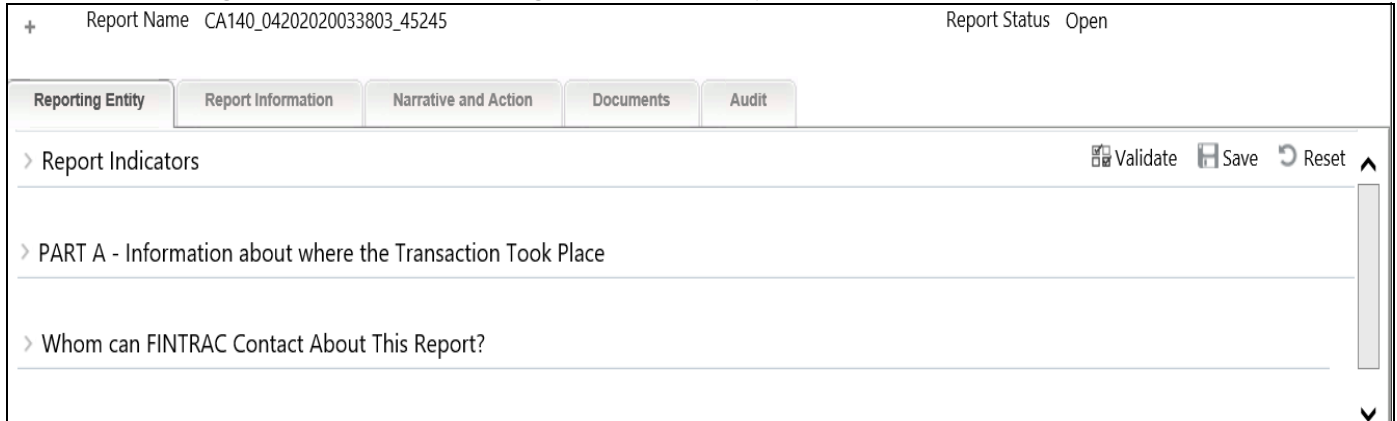
- **Accessing Report Details:** Use this section to access the specific Report Details. Click the required Report Number on the Regulatory Reports List page to open the Report Details page. Click **View Report** (PDF icon) to view the draft copy of the report in the PDF format.
- **Reporting Entity:** Use this section to view and update information about the reporting entity for specific report and where the transaction took place.
- **Report Information:** Use this section to view the list of transactions involved with the selected report. You can analyze the details pertaining to them and if required you can also modify, delete, and add a new transaction to the report. You can also split reports using Automatic split or Manual split option.
- **Narrative and Actions:** Use this section to summarize any suspicious activity and 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 **Search and List** page, click the required **Report Number**. The **Reports Details** page is displayed. By default, the **Report Entity** tab is displayed.

Figure 10: Reports Details Page and Report Entity Tab

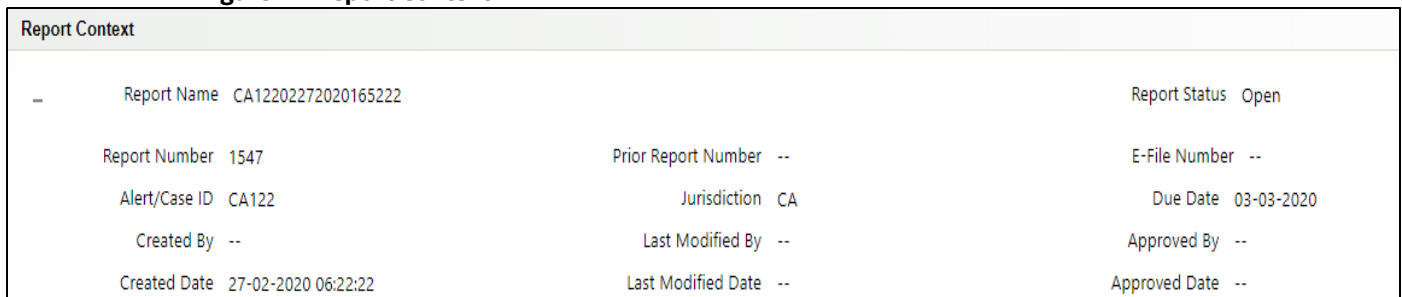


Click **Report Information**, **Narrative and Actions**, **Documents**, or **Audit** tabs to view more details pertaining to the selected report.

Use the Report Context pane to view the gist of the report details such as the report name, report status, the person who created, and so on to take further action.

2. Click **+** to expand the **Report Context** pane.

Figure 11: Report Context



3. Click **-** to collapse the **Report Context** pane.

6.2 Reporting Entity

Use this section to view and update information about the reporting entity (banks or financial institutions) for this specific report, such as entity name, identification number, branch details, and so on. The details of the reporting entity are displayed based on the branch where the transaction took place.

The Reporting Entity Information is the default section of the Reports Details page and it provides the following information:

- **Report Indicators:** Use this section to indicate the type of transaction attempted or completed.
- **Part-A Information about where the Transaction Took Place:** Use this section to view and update the transaction information.

6.2.1 Report Indicators

Use this section to view the type of report such as new, corrected, or revised, and the status of the transaction if it is completed or attempted. Based on this selection, other details of the transaction are displayed.

Figure 12: Report Indicator Fields

- Enter the following information in the **Report Indicator** pane as tabulated.

Table 9 describes fields to select a report indicator.

Table 9: Report Indicators

Fields	Description
Type of Report	This indicates the type of report such as new, revised, or deleted.
Attempted Transaction Indicator	Select the transaction status as completed or attempted. By default, the transaction indicator status shows Completed.

NOTE

Ensure that indicators type is selected before validating a transaction.

6.2.2 Part-A Information about where the Transaction Took Place

The reporting entity is required to report the transaction to FINTRAC and also provide the physical location where the transaction took place.

Use this section to view the information about the reporting entity of the transaction and who initiated it.

Figure 13: Reporting Entity Information

- Select the Reporting Entity's Identifier Number (this is the seven-digit identifier number assigned to an entity by FINTRAC at the time of enrollment). The information about the

reporting entity is displayed. For example, Reporting Entity's Full Name and type of reporting entity.

NOTE This information is pre-populated on taking auto-split action in the Transaction grid of Report Information tab. This action also pre-populate the contact person's details of the reporting Institution.

6.2.2.1 Whom can FINTRAC Contact About This Report

The reporting entity must provide the telephone number of the individual so that FINTRAC can contact that person in the future for clarification on the report. Use this section to select the person to whom FINTRAC can contact about this report.

NOTE If this information is not provided, the report will be rejected.

Figure 14: Whom can FINTRAC Contact About This Report

6. Select the contact person's name. The details of that person such as contact telephone and extension are displayed.
7. Click **Validate** to authenticate the details and click **Save** to update the reporting entity's information.

6.3 Report Information

Transactions or dispositions details are key information for a report to be declared suspicious or not. Transactions provide information on how the funds came in and dispositions provide information on how the funds moved out. This also details the entity or individual involved in the transaction or disposition.

Use this section to view and update information about the transactions or dispositions involved in the selected report and covers the following topics:

- **Transactions List:** Use this section to view the transaction number, check if it is transaction or disposition, the location where the transaction took place, date of transaction, the type transaction, and so on.
- **Transaction or Disposition Details:** Use this section to view transactions or dispositions associated with the selected report. Based on your analysis, you can also modify transaction or disposition details.
- **Adding Transactions or Disposition:** Use this section to manually add a new transaction or disposition to the report.
- **Splitting Reports:** Use this section to split the reports based on the FINTRAC guidelines.

To view and update transactions or dispositions associated with the selected report, click the **Report Information** tab.

Figure 15: Transaction List page

Record #	Transaction Number	Transaction or Disposition?	Location	Date of Transaction	Transaction Type
<input type="checkbox"/> 1	TRXN_WIRE_CA200_D	Transaction	LONDON & AREA	20-04-2020	Wire
<input type="checkbox"/> 2	TRXN_WIRE_CA200_C	Transaction	LONDON & AREA	20-04-2020	Wire
<input type="checkbox"/> 3	TRXN_MI_CA200_D	Transaction	EAST NEW BRU...	09-03-2020	Monetary Instrument
<input type="checkbox"/> 4	TRXN_MI_CA200_C	Transaction	EAST NEW BRU...	19-03-2020	Monetary Instrument

6.3.1 Transactions List

Use this section to view the transaction number, check if it is transaction or disposition, the location where the transaction took place, date of transaction, and the type transaction.

Using this transaction list, you can take action such as automatic split, manual split, remove, default disposition, and export to excel.

You can also view and update an individual transaction or disposition. For more information, see [Transaction or Disposition Details](#).

6.3.2 Transaction or Disposition Details

Use this section to view transactions or dispositions associated with the selected report. Based on your analysis, you can also modify these transactions or dispositions details.

- **Transaction:** Provides information on how a transaction was initiated with related information. This provides information about the source of funds and types of transactions - Completed transactions and Attempted transactions.
- **Disposition:** Provides information on how a transaction was completed with related information. This provides information on how the funds were disposed of- in the form of gold, diamond, securities, or other sources.

To view and update the transaction or disposition details, follow these steps:

1. In the **Transactions** pane list, select the required record number. The **Transaction or Disposition Details** page is displayed.

Figure 16: Transaction or Disposition Details

Transaction or Disposition Details Validate Save Reset

Transaction or Disposition? Transaction Disposition

AttemptedTransaction Indicator: Completed If Disposition, which Transaction Number is it Related?

Location*: EAST NEW BRUNSWICK & PEI

2. Select **Transaction** or **Disposition**. The respective details are displayed.
3. Select whether the transaction is **attempted** or **completed** in the **Attempted/Transaction Indicator** field.

NOTE This field is enabled only if Transaction is selected.

- Select the transaction number in the **If Disposition, which Transaction Number is it Related?** field.

NOTE

- This field is enabled only if the **Disposition** is selected.
- The location of the transaction is displayed based on the transaction number you have selected.

If the Transaction is selected, the following sections are displayed.

- PART B1 - Information About How the Transaction was Initiated**
- Subject Information**

If the Disposition is selected, the following sections are displayed.

- PART B2 - Information About How the Transaction was Completed**
- Account Information**
- Part E: Entities on whose Behalf the Transaction was Conducted**
- Part F: Individual on whose Behalf the Transaction was Conducted**

6.3.2.1 PART B1 - Information About How the Transaction was Initiated

This part details the transaction or transactions that led to the suspicion of money laundering or terrorist financing. Use this part to know how the transaction was initiated, that is, the source of money involved in the transaction. For the attempted transaction, this includes information about how the transaction was proposed to initiate. If your suspicion is based on a series of transactions, then include information on each transaction that led to the suspicion in this report.

Use this section to view how the transaction was initiated and its details such as time of the transaction, date of transaction, transaction type, and so on. This helps you to analyze the transaction associated with the report. You can also modify and update the information.

NOTE

This pane is displayed only if you have selected **Transaction** in the **Transaction or Disposition?** option.

Figure 17: PART B1 - Information About How the Transaction was Initiated

The screenshot shows a web form titled "PART B1 - Information About How the Transaction was Initiated". At the top right, there are buttons for "Validate", "Save", and "Reset". The form contains the following fields:

- Transaction Number***: Text input field containing "Transaction Reference ID f".
- 1. Date of the Transaction***: Date picker showing "06-03-2020".
- 4. Date of Posting***: Date picker (empty).
- 5. Detail of Funds Involved in Initiating the Transaction***: Dropdown menu showing "Precious metals".
- 6. Amount of Transaction***: Text input field containing "9".
- 7. Account Currency***: Dropdown menu showing "Canadian Dollar".
- 8. Other Institution Name and Number or Other Person or Entity***: Text input field containing "Send FI f".
- 3. Night Deposit Indicator***: Checkmark box (checked).
- 2. Time of the Transaction***: Time input field showing "07:08:05".
- Transaction Type**: Dropdown menu showing "Wire".
- 5A. If Other, Specify***: Text input field (empty).
- 9. Other Person or Entity Account or Policy Number***: Text input field containing "ACCOUNT ID1".

1. Enter the following information in the **PART B1 - Information About How the Transaction was Initiated** pane as tabulated.

Table 10 describes fields to view or modify the information how the transaction was Initiated. Fields marked with an asterisk * are mandatory.

Table 10: PART B1 - Information About How the Transaction was Initiated Fields

Fields	Description
Transaction Number	The sequence number of the reportable transaction.
Night Deposit Indicator	Specify whether the transaction was conducted outside normal business hours. NOTE: Select the check box only if the transaction was conducted outside of normal business hours.
Date of the Transaction	The date on which the transaction was conducted. NOTE: If the transaction was conducted outside normal business hours, and you do not know the date, use the Night Deposit Indicator field.
Time of the Transaction	The time when the transaction was conducted. NOTE: If the transaction was conducted outside normal business hours, and you do not know the time, use the Night Deposit Indicator field.
Date of Posting	The date on which the transaction was cleared. It is applicable only if the clearing date is different from the actual date of the transaction.
Transaction Type	The type of transaction whether it is cash, wire, back office, or insurance.
Detail of Funds Involved in Initiating the Transaction	The type of funds involved in initiating the transaction. For example, real estate, diamond, gold, other, and so on.
If Other, Specify	The type of funds involved in initiating the transaction. It is applicable only if Other is selected in the Detail of Funds Involved in Initiating the Transaction field.
Amount of Transaction	The total amount received to start the transaction.
Transaction Currency Code	The currency used in the transaction.
Other institution Name and Number or Other Entity or Person Name	The name and the identification number of another person, entity, or institution involved in the transaction.
Other Entity or Person Account Number	The account number of another involved person or entity.
How was the Transaction Conducted?	The method by which the transaction was conducted. For example, courier, mail deposit, other, and so on.
If Other, Specify	The method by which the transaction was conducted. It is applicable only if Other is selected in the How was the Transaction Conducted? field.

Table 10: PART B1 - Information About How the Transaction was Initiated Fields

Fields	Description
Identification Number of the Person Initially Identifying a Suspicious Transaction	The identification number of the person who initially identified the suspicious behavior leading to the report. NOTE: As per FINTRAC guidelines, this information is not required to publish in the E-File.

2. Click **Save** to update the changes.

6.3.2.2 Subject Information

Use this section to view the details of the subject (individual) who has conducted the transaction. Based on your analysis you can modify the details of the subject. You can also add a new subject or remove an existing subject.

Figure 18: Subject Information

Record Number	Person Name	Entity Client Number	Transaction Role	Country of Residence	Individual's Employment Status
1	LASTBENWIRED FIRSTBEN...	BENCUST200WIRED	--	BERMUDA	OFSS
2	LASTWIRED FIRSTWIRED...	ORIGCUST200WI...	--	BERMUDA	OFSS

To view and update the details of an individual who has conducted the transaction, follow these steps:

1. In the **Subject Information** pane, select the required record number. The **PART D - Information about the Individual Conducting the Transaction** pane is displayed.
2. View a person's details who has conducted the transaction. Update the existing information if required. For more information on the fields, see [Table 11](#).
3. Click **Save** to update the changes.
4. To remove an existing individual who has conducted the transaction from the records list, select the required record number, and click **Remove**. The selected record is deleted from the list.

6.3.2.2.1 Adding a New Subject Information

When you identify an individual (subject) has conducted suspicious transaction and that is not reported through the OFS ECM application but want to report it to the regulator, you can manually add a new subject.

To add a subject who has conducted the transaction, follow these steps:

1. In the subject information pane, click **Add**. The **PART D - Information about the Individual Conducting the Transaction** pane is displayed.

Figure 19: Add Subject Information

ST D - Information about the Individual Conducting the Transaction Save

Include in Report? Yes No Transaction Role

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

3. Other Name/Initial 4. Entity Client Number

5. Street Address

6. City 7. Country

8. Province or State 9. Postal or Zip Code

10. Country of Residence 10A. Country of Citizenship

11. Home Telephone Number

12. Individual's Identifier 12A. If Other, Specify

8. Province or State 9. Postal or Zip Code

10. Country of Residence 10A. Country of Citizenship

11. Home Telephone Number

12. Individual's Identifier 12A. If Other, Specify

13. Identification Number 14. Place of Issue - Country

15. Place of Issue - Province or State 16. Individual's Date of Birth

18. Individual's Business Telephone Number 18A. Individual's Business Telephone Extension Number

17. Individual's Occupation 19. Individual's Employer

20. Employer's Street Address

21. Employer's City 22. Employer's Country

2. Select **Yes** or **No** to specify whether to include an individual conducting the transaction in the report.
3. Select the role of the person who conducted the transaction whether beneficiary, conductor, or originator.
4. Enter other details of the person who conducted the transaction. For example, a person's name, address, telephone number, and so on.
5. Click **Save**. The details of the newly added person who has conducted the transaction are displayed in the **Subject Information** pane.

6.3.2.3 PART B2 - Information About How the Transaction was Completed

Use this section to view how the transaction was completed (disposition of funds) with details such as the amount of disposition, date of disposition, and so on. You can also modify and update the disposition information. For an attempted transaction, this includes information about how it was proposed to complete.

NOTE

This pane is displayed only if you have selected **Disposition** in the **Transaction** or **Disposition?** option.

Figure 20: PART B2- Information About How the Transaction was Completed

1. Enter the following information in the **PART B2 -Information About How the Transaction was Completed** pane as tabulated.

Table 11 describes fields to view or modify the Information how the transaction was completed. Fields marked with an asterisk * are mandatory.

Table 11: PART B2- Information About How the Transaction was Completed Fields

Fields	Description
Transaction Number	The transaction number used for the disposition.
Transaction Type	The type of transactions such as wire, cash, back office, and so on.
Disposition of Funds	The method in which the funds were disposed of whether the purchase of diamonds, purchase of jewelry, purchase of money order, other, and so on.
If Other, Specify	The method in which the funds were disposed of. This is applicable only if Other option is selected in the Disposition of Funds field.
Life Insurance Policy Number	The life insurance policy number. This is applicable only if the Life Insurance Policy option is selected in the Disposition of Funds field.
Date of Disposition	The date on which the funds were disposed of.
Amount of Disposition	The total amount of funds disposed of.
Disposition Currency Code	The currency in which the funds were disposed of.
Other institution Name and Number or Other Entity or Person Name	The name and the identification number of another person, entity, or institution involved in the disposition.
Other Entity or Person Account Number	The account number of another person or entity.
On Behalf of Indicator?	On whose behalf the disposition of funds was conducted.

2. Click **Save** to update the changes.

6.3.2.4 Account Information

Use this section to view the details of the accounts associated with the transaction. Based on your analysis, you can modify the details of the account. You can also add a new account or remove an existing account associated with the transaction.

It is possible to have more than one transaction per the report, and more than one disposition per transaction. Provide the account information, if applicable, for each transaction included in the report.

For an attempted transaction, this includes information about the account that was proposed to be involved.

Figure 21: Account Information

Record #	Account Number	Type of Account	Branch or Transit Number where the Account is Held	Date Opened	Date Closed
1	ACCOUNT ID1	Business	--	06-03-2020	06-03-2020

To view and update the account information, follow these steps:

1. In the **Account Information** pane, select the required record number. The **PART C - Account Information** pane is displayed.
2. View the details of the account used for the transaction. Update the existing information if required. For more information on the fields, see [Table 12](#).
3. Click **Save** to update the changes.
4. To remove the existing accounts from the list, select the required record number, and click **Remove**. The selected record is deleted from the list.

6.3.2.4.1 Adding a New Account

When you identify a suspicious account is associated with the transaction and it is not reported through the OFS ECM application but want to report it to the regulator, you can manually add an account to the selected transaction.

To add an account, follow these steps:

1. In the **Account Information** pane, click **Add**. The **PART C - Account Information** pane is displayed

Figure 22: Account Information

7. Part C: Account information Validate Save Reset

Include in Report? Yes No

Transaction Role

1. Branch or Transit Number where the Account is Held*

2. Account Number*

3. Account Type*

3A. If Other, Specify

4. Account Currency Code*

8. Status of the Account*

6. Date Opened

7. Date Closed

1. Enter the following information in the **Account Information** pane as tabulated. [Table 12](#) describes fields to add a new account. Fields marked with an asterisk * are mandatory.

Table 12: Part C: Account Information Fields

Fields	Description
Include in Report?	Select Yes or No to specify whether to include an account in the report.
Transaction Role	The type of transaction that the account holds such as beneficiary, conductor, or originator.

Table 12: Part C: Account Information Fields

Fields	Description
Branch or Transit Number where the Account is Held	The branch number, transit number, or another appropriate identifying number of the entity where the account is held. For example, if it is a bank account, enter the five-digit bank branch number.
Account Number	The account number from which the funds were disposed.
Account Type	The type of account whether it is business, trust, personal, or other.
If Other, Specify	The type of the account. This is applicable only if you have selected Other option in the Account Type field.
Account Currency Code	The currency used in the account at the time of the transaction.
Status of the Account	The status of the account whether it is active, dormant, or inactive at the time of the transaction.
Date Opened	The date when an individual or entity opened the account. NOTE: It must be later than 1900 and cannot be a future date.
Date Closed	The date when an individual or entity closed the account. NOTE: It cannot be a future date and not be earlier than the date opened.

2. Go to the **Full Name of each Account Holder** pane.

Figure 23: Full Name of each Account Holder

5. Full Name of each Account Holder (The Individual (s) or Entity that Hold the Account)

5A. Name 1*

5B. Name 2

5C. Name 3

1. Enter the following information in the **Full Name of each Account Holder** pane as tabulated.

Table 13 describes fields to add full names of each account holder. You can enter up to three names of the account holder. The account holder can be an individual or an entity.

Table 13: Full Name of each Account Holder Fields

Fields	Description
Name 1	Enter the name of the account holder (individual or entity)
Name 2	Enter the name of the account holder (individual or entity)
Name 3	Enter the name of the account holder (individual or entity)

2. Click **Save**. The details of the newly added account are displayed in the **Account Information** list pane.

6.3.2.5 Part E: Entities on whose Behalf the Transaction was Conducted

This part applies only if the disposition was conducted or attempted on behalf of a third party other than an individual.

Use this section to view the details of an entity on whose behalf the transaction was conducted such as the name of the corporation, type of business, and so on. You can also modify and update the entity information.

NOTE This pane is displayed only if you have selected **On behalf of an entity** in the On Behalf of Indicator field of the **PART B2 - Information About How the Transaction was Completed** pane.

Figure 24: Entities on whose Behalf the Transaction was Conducted list

Entities on whose Behalf the Transaction was Conducted							
Unwrap + Add Remove Validate Export to Excel							
Record #	Name of corporation, trust or other entity	Type of business	Incorporation number	City	Country	Include in Rep	
<input type="checkbox"/> 2	sumat	jetty	--	--	BAHRAIN	Yes	
<input type="checkbox"/> 1	er	dfd	786	--	ARUBA	No	

To view and update the entities on whose behalf the transaction was conducted, follow these steps:

1. Select the required record number from the list. The **Part-E Entities on whose Behalf the Transaction was Conducted** pane is displayed.
2. View the details of the entities on whose behalf the transaction was conducted for disposition. Update the existing information if required. For more information on the fields, see [Table 14](#).
3. Click **Save** to update the changes.
4. To remove the existing entities on whose behalf the transaction was conducted for disposition, select the required record number, and click **Remove**. The selected record is deleted from the list.

6.3.2.5.1 Adding a New Entity

When you identify a suspicious entity on whose behalf the transaction was conducted in association with the disposition of the funds and that is not reported through the OFS ECM application but want to report it to the regulator, you can manually add an entity on whose behalf the transaction was conducted.

To add an entity, follow these steps:

1. In the **Entities on whose Behalf the Transaction was Conducted** pane, click **Add**. The **PART E - Information About the Entity on whose Behalf the Transaction was Conducted** pane is displayed.

Figure 25: An Entity on whose Behalf the Transaction was Conducted

▼ PART E - Information About the Entity on whose Behalf the Transaction was Conducted Save Reset

Include in Report? Yes No Subject ID

1. Name of Corporation, Trust or Other Entity

2. Type of Business 9. Incorporation Number

3. Street Address

4. City 5. Country

6. Province or State 7. Postal or Zip Code

8. Business Telephone Number 8A. Business Telephone Number Extension

10. Country of Incorporation 11. Province/State of Incorporation

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

12A. Name 1

12B. Name 2

12C. Name 3

1. Enter the following information in the **Entity on whose Behalf the Transaction was Conducted** pane as tabulated.

Table 14 describes fields to add a new entity on whose behalf the transaction was conducted. Fields marked with an asterisk * are mandatory.

Table 14: Entity on whose Behalf the Transaction was Conducted Fields

Fields	Description
Include in Report?	Select Yes or No to specify whether to include an entity on whose behalf the transaction was conducted in the report.
Subject ID	The unique identification number of the entity on whose behalf the transaction was conducted or attempted. NOTE: It must match the unique identification number of the corresponding disposition in Part B2.
Name of Corporation, Trust or Other Entity	The full name of the corporation, trust, or other entity on whose behalf the transaction was conducted or attempted.
Type of Business	The type of business of the entity.
Street Address	The full civic address of the entity.
City	The town or city of the entity.
Country	The country of the entity.
Province or State	The province or state of the entity.
Postal or Zip Code	The postal or zip code of the entity.
Business Telephone Number	The business telephone number of the entity.
Telephone Extension Number	The telephone extension number of the entity.
Place of Issue - Country	The country where the identification proof was issued to the entity.

Table 14: Entity on whose Behalf the Transaction was Conducted Fields

Fields	Description
Place of Issue - Province or State	The province or state where the identification proof was issued to the entity.

2. Enter the following information in the **Name of the Individuals Authorized to Bind the Entity** pane as tabulated.

Table 15 describes fields to add names of each authorized entity. You can enter up to three names of the authorized entity.

Table 15: Name of the Individuals Authorized to Bind the Entity Fields

Names	Description
Name 1	Enter the name of the individual authorized to bind the entity.
Name 2	Enter the name of the individual authorized to bind the entity.
Name 3	Enter the name of the individual authorized to bind the entity.

3. Click **Save**. The details of the newly added entity on whose behalf the transaction was conducted in the report is displayed in the list.

6.3.2.6 Part F: Individual on whose Behalf the Transaction was Conducted

This part applies only if the disposition was conducted or attempted on behalf of a third party that is an individual.

If the individuals conducted the disposition on their behalf, this part does not apply. In that case, information about the individuals should be put in Part D. If the disposition was conducted or attempted on behalf of an entity (other than employees depositing cash in their employer's business account), Part E should be completed.

Use this section to view the details of individuals on whose behalf the transaction was conducted such as the name of an individual, address of an individual, country of an individual, and so on. You can also modify and update the individual information.

NOTE This section is displayed only if you have selected **On behalf of another individual** in the On Behalf of Indicator field of the **PART B2 - Information About How the Transaction was Completed** section.

Figure 26: Individuals on whose Behalf the Transaction was Conducted list

Individuals on whose Behalf the Transaction was Conducted								
Record #	Name of the Individual	Subject Id	ID Number	Individual's Employer	Country of Residence	Individual's Occupation	Include	
<input type="checkbox"/> 1	Kurbenet	2432	--	--	--	--	Yes	
<input type="checkbox"/> 2	Thomas Yu	--	--	--	--	--	No	

To view and update the individuals on whose behalf the transaction was conducted, follow these steps:

1. In the Individuals list pane, select the required Record. The **Part-F Information about the individual on whose Behalf the Transaction was Conducted** pane is displayed.

- View the details of the Individuals on whose behalf the transaction was conducted for disposition. Update the existing information if required. For more information on the fields, see [Table 16](#).
- Click **Save** to update the changes.

6.3.2.6.1 Adding a New Individual

When you identify a suspicious individual on whose behalf the transaction was conducted in association with the disposition of the funds and that is not reported through the OFS ECM application but want to report it to the regulator, you can manually add an individual on whose behalf the transaction was conducted.

To add an individual, follow these steps:

- In the **Individual on whose Behalf the Transaction was Conducted** pane, click **Add**. The PART F - Information About the Individual on whose Behalf the Transaction was Conducted pane is displayed.

Figure 27: Individual on whose Behalf the Transaction was Conducted

- Enter the following information in the **Individual on whose Behalf the Transaction was Conducted** pane as tabulated.

[Table 16](#) describes fields to add a new individual on whose behalf the transaction was conducted. Fields marked with an asterisk * are mandatory.

Table 16: Individual on whose Behalf the Transaction was Conducted Fields

Fields	Description
Include in Report?	Select Yes or No to specify whether to include an individual on whose behalf the transaction was conducted in the report.
Subject ID	The unique identification number of the individual.
Surname / Last Name	The surname or last name of the individual.
Given Name / First Name	The given name or first name of the individual.

Table 16: Individual on whose Behalf the Transaction was Conducted Fields

Fields	Description
Other/Middle Name Initial	The other or middle name of the individual.
Street Address	The street address of the individual's permanent residence.
City	The city of the individual's permanent residence.
Country	The country of the individual's permanent residence.
Province or State	The province or state of the individual's permanent residence.
Postal or Zip Code	The area postal or zip code of the individual's permanent residence.
Home Telephone Number	The home telephone number of the individual.
Individual's Date of Birth	Individual's date of birth.
Business Telephone Number	The business telephone number of the individual.
Telephone Extension Number	The business telephone's extension number of the individual.
Individual's Identifier	The identification proof of the individual. For example, passport, birth certificate, other, and so on.
If Other, Specify	The identification proof of the individual. This is applicable only if you have selected Other option in the Individual's Identifier field.
ID Number	The identification number of the identification proof. NOTE: A Social Insurance Number (SIN) should not be provided in this field
Place of Issue of Individual's Identifier-Country	The country where the identification proof was issued to the individual.
Place of Issue of Individual's Identifier-Province or State	The province or state where the identification proof was issued to the individual.
Individual's Occupation	The occupation of the individual.
Individual's Employer	The employer's name where the individual is working.
Employer's Street Address	The street address of the employer.
Employer's City	The city of the employer.
Employer's Country	The country of the employer.
Employer's Province or State	The province or state the employer.
Postal or Zip Code	The postal or zip code the employer.
Employer's Business Telephone Number	The business telephone number of the employer.
Telephone Extension Number	The telephone extension number of the employer.

Table 16: Individual on whose Behalf the Transaction was Conducted Fields

Fields	Description
Relationship to Individual	The relationship of the account holder with the individual. For example, broker, agent, other, and so on.
If Other, Specify	The relationship of the account holder with the individual. This is applicable only if you have selected Other option in the Relationship to Individual field.

6.3.3 Adding Transactions or Disposition

When you identify a suspicious transaction or disposition was conducted in association with the selected report and it is not reported through the OFS ECM application but want to report it to the FINTRAC, you can manually add a new transaction or disposition to the report.

To manually add a new transaction or disposition, follow these steps:

1. In the **Transactions** pane, click **Add**. The **Transaction** or **Disposition Details** page is displayed.

Figure 28: Add a Transaction or Disposition

2. Select **Transaction** or **Disposition**. The respective pane is displayed.
3. Select whether the transaction is **attempted** or **completed** in the **Attempted/Transaction Indicator**.

NOTE This field is enabled only if you have selected Transaction.

4. Search and select the transaction location from a **Location** search option.

NOTE This field is enabled only if you have selected Transaction.

5. Select the transaction number in the **If Disposition, which Transaction Number is it Related?** field.

NOTE

- This field is enabled only if you have selected Disposition.
- The Location of the transaction is displayed based on the transaction number you have selected.

6. Click **Save**. The new transaction or disposition is added to the Transaction list.
7. To remove the existing transactions or dispositions from the Transaction list, select the required transaction or disposition, and click **Remove**. The selected transaction or disposition is deleted from the Transaction list pane.

6.3.4 Splitting Reports

Use this section to split reports based on the FINTRAC guidelines. The following sections detail the types of report splits and guidelines of FINTRAC.

- **Automatic Split:** Use this section to split the reports automatically.
- **Manual Split:** Use this section to split the reports manually.
- **Default Disposition:** Use this section to add a dummy default disposition to transactions, which do not have any disposition.

6.3.4.1 Automatic Split

The FINTRAC guidelines expect reports that must contain attempted or completed transaction but not both. A report must not have more than 99 transactions, and so on.

Use this option to split a report automatically if the report is created from the OFS ECM application and falls under the following criteria.

- **Attempted or completed transactions** - Reports must be split for both attempted or completed transactions. A transaction must be attempted or completed.
 - **Attempted transactions:** Transactions attempted by a customer but not executed. For example, a customer requested the details about the product (deposit, insurance, and so on) repeatedly but did not complete it.

For example, if a customer tries to conduct a transaction and later realizes that this transaction will be reported to the regulator and backs off. Such a transaction must be reported to the FINTRAC.
 - **Completed transactions:** Transactions that are completed by the customer without any hurdles.
- **Branch and Legal Entity** : Reports must be split based on the legal entity and branch mapping.

For example, an ABC bank has two reporting entities- retail and mortgage. The retail entity has a branch in Toronto and Ottawa. The mortgage entity has a branch in Montreal. A report is created from OFS ECM which has three transactions conducted in Toronto (Retail), Ottawa (Retail,) and Montreal (Mortgage). When an automatic split action is taken on this report, the system creates two new reports, which have transactions from two branches (Ottawa and Montreal). Now all together, there will be three reports for all three branches.

NOTE There is no specific order in which the reports are split.

- **Domicile Branch of the Account:** Reports must split based on the transit of the domiciled branch if the transaction location of transit is a different legal entity.

For example, if you have an account in the XYZ branch of ABC Bank and you operate in the SRS branch of ABC Mortgage, then the transaction will be reported to both the legal entities (XYZ branch of ABC bank and SRS branch of ABC Mortgage).
- **Transactions:** If any report has more than 99 transactions that report must be split.

To split a report automatically, follow these steps:

1. On the **Report Information** tab.

Figure 29: Report Information tab

Reporting Entity	Report Information	Narrative and Action	Documents	Audit			
Transactions (2) Unwrap Add Remove Validate Automatic Split Manual Split Default Disposition Export to Excel							
Record #	Transaction Number	Transaction or Disposition?	Location	Date of Transaction	Transaction Type	Amount Involved	Originating Party
<input type="checkbox"/> 1	--	Disposition	EAST NEW BRU...	--	--	--	--
<input type="checkbox"/> 2	TRXN_MI_CA200_C	Transaction	EAST NEW BRU...	19-03-2020	Monetary Instrument	CAD 5000	RemNameMIC

2. Click **Automatic Split**. The system splits the report automatically.

NOTE

- Automatic Split can be performed only once on a report.
- If the above-mentioned criteria are not met, an error message is displayed.

6.3.4.2 Manual Split:

Use this option to split an existing report manually and create a new report if the transactions need to be reported separately or If they belong to the different branches.

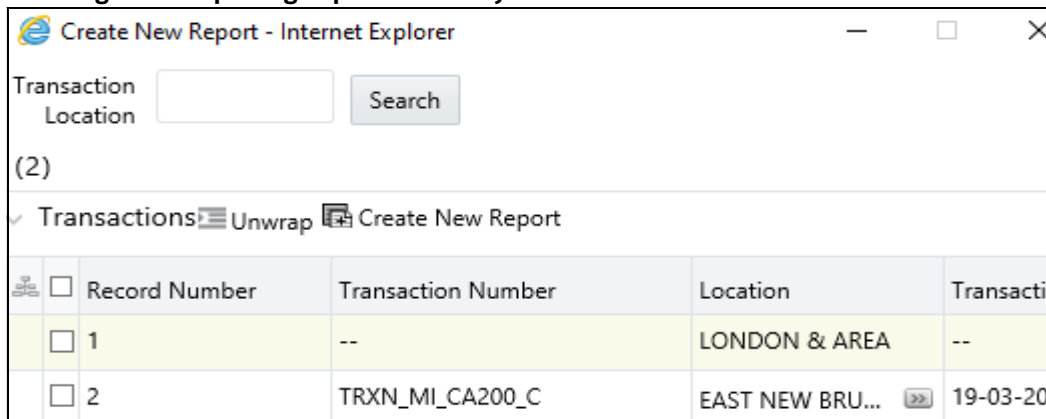
NOTE

You can only split a report, which has more than one transaction.

To split an existing report manually, follow these steps:

1. On the **Report Information** page, click **Manual Split**. The **Create New Report** window is displayed.

Figure 30: Splitting Reports Manually



2. Select the required transaction record or records from the list and select the required location from the Transaction Location search option.
3. Click **Create New Report**. A new report is created for the selected transaction or transactions and is displayed in the report list.

6.3.4.3 Default Disposition

As per the FINTRAC guideline, every transaction must have one disposition.

Use this option to add a dummy default disposition to transactions that do not have any dispositions.

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

1. Go to the **Report Information** tab.
2. Click **Default Disposition**. The system identifies the transaction which does not have the disposition and creates a dummy disposition to associate it with that transaction.

6.4 Narrative and Actions

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

To use the Narrative and Actions option, follow these steps:

1. In the Reports Details page, click the **Narrative and Action** tab. The **Part G: Description of Suspicious Activity** window is displayed.

Figure 31: Narrative and Actions

2. Enter the Grounds/Summary of Suspicion details.
3. Enter the Description of Suspicious Activity/Investigation Details
4. Click **Save** to update the narration of suspicious activity.

The Audit pane tracks actions and comments entered while performing the Narrative action.

6.5 Documents

When filing the report with regulatory authorities, you can also send additional documents. This additional information aids in taking the correct decision about 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-I, Analyst-II, 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. In 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 32: Add Document

1. Enter the following information in the **Add Document** window as tabulated.

Table 17 describes fields to add a document. Fields marked with an asterisk * are mandatory.

Table 17: Add Document Fields

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

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

6.6 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. In the Reports Details page, click the **Audit** tab. The Audit window is displayed.

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

Figure 33: Audit 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 pane displays all the actions taken on the report. [Table 18](#) describes fields of the Action grid.

Table 18: Actions Grid Field Description Fields

Fields	Description
Date	The date on which the action has occurred.
Action By	The name of the user who acted on this.

Table 18: Actions Grid Field Description Fields

Fields	Description
Action	A short description of the action.
Comments	The comments entered while performing an action.

6.6.1 Feedback to ECM Application

Any action taken on the reports are communicated to the respective case in the OFS ECM application from which the report was created. This is also applicable to the split reports.

For the following actions in the OFS CRR CA STR application, audit details are updated for the corresponding case:

- Automatic split
- Manual split
- Request for approval
- Approve
- Rework
- E-File generation
- E-File Submission
- Regenerating E-File

NOTE This is not applicable to the reports that are created manually.

7 Acting on a Report

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

- **Reassigning Reports:** This enables you to reassign the report or reports to other users based on the status of the report.
- **Requesting the Report for Approval:** As an Analyst, you can request for 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. Note that 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.
- **Generating E-File:** After the reports are approved then an Analyst or a Supervisor can generate reports by clicking Generate Report. The status of the report changes to E-File Generated.
- **Submitting the Reports:** After the reports are validated, they must be submitted. As an Analyst or a Supervisor, you can submit a report by clicking the Submit button.
- **Adding Comments:** You can add comments to a report in any status. By adding comments, the status of the report doesn't change.
- **Setting a Due Date:** You can set the due date to a report in any status. By setting dates, the status of the report doesn't change.

7.1 Reassigning Reports

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

Table 19 explains the statuses in which you can reassign a report to another user.

Table 19: Statuses in which Reports can be reassigned

Status	Reassigned Report		
	Analyst1	Analyst2	Supervisor
Open	Yes	Yes	Yes

Table 19: Statuses in which Reports can be reassigned

Status	Reassigned Report		
	Analyst1	Analyst2	Supervisor
Reopened	Yes	Yes	Yes
Requested for Approval	No	Yes	Yes
Rework	Yes	Yes	Yes
Rejected from E-File	Yes	Yes	Yes

To reassign a report, follow these steps:

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

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

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

7.2 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 of 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 tab tracks both actions and comments entered while performing the Request for Approval action.

7.3 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 of 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 tab tracks both actions and the comments entered while performing the Approve action.

7.4 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 of 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 tab tracks both actions and comments entered while performing the Rework action.

7.5 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 of 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 tab tracks both actions and comments entered while performing the Cancel action.

7.6 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 of 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 tab tracks both actions and comments entered while performing the **Reopen** action.

7.7 Generating E-File

After the report is approved, authorized users can generate the E-File.

To generate an E-File, follow these steps:

1. On the **Reports Details** page, click **Generate E-File**. The **Generate Reports** window is displayed.
2. Enter comments in the **Generate Reports** window.

NOTE In the Comments box of 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 **E-File Generated**.

The Audit tab tracks both actions and comments entered while performing the **Generate Reports** action.

7.8 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 in the **Comments** box, if required.
3. Click **Save**, the report is submitted.

The following activities are allowed after submitting a report:

- The final report can be viewed, saved as a local copy, or printed.
- The report can be edited by any user.
- In the revised reports, the feedback is sent to the original case from which the revised report is created. For manually created reports, no feedback is sent.

7.9 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 of the Request for Approval window, you can enter a maximum of 255 characters.

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

7.10 Setting a Due Date

Analyst or 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 20 explains the behavior and attributes for Due Date.

Table 20: 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 21 explains the statuses in which the Analyst and Supervisor users can perform the Set Due Date action.

Table 21: 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	
Approved	X	X	X	
Cancelled				
<ul style="list-style-type: none"> • Acknowledgement - Accepted • Acknowledgement - Accepted with warnings • Acknowledgement - Rejected 				
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 tab tracks both actions and comments entered while performing the **Set Due Date** action.

8 Filing Reports

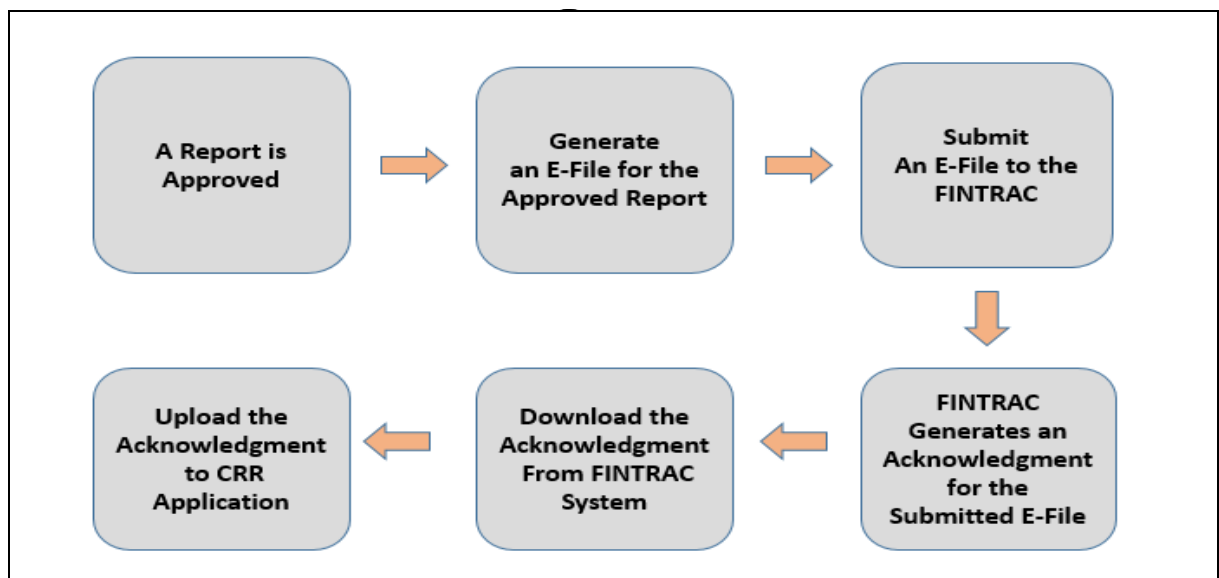
After a report is created, the details are analyzed, and then submitted for approval. An authorized user validates the report details and either approves, rejects, or closes the report.

If the report is approved the report is available for E-File generation by an authorized user. An E-File consists of an approved report. You can also generate and submit a batch E-File. The batch E-File is the set of reports with the same legal entity and location.

The generated E-File is submitted to the FINTRAC E-Filing System (this activity is done outside the OFS CRR CA STR application). The E-File is validated by FINTRAC and an acknowledgment is generated with one of the following Acknowledgment status: Acknowledgment - Accepted, Acknowledgment - Accepted with Warnings, and Acknowledgment - Rejected.

This acknowledgment file must be uploaded into the OFS CRR CA STR application to complete this workflow.

Figure 34: E-Filing Workflow



Only the users mapped to the role of Supervisor and Analyst2 can generate the E-File and upload the acknowledgment.

This chapter covers the following topics:

- **Approved Reports:** Use this section to filter and select the approved report for E-File generation.
- **E-File Status:** Use this section to filter E-Files, submit E-Files, and upload acknowledgment into the OFS CRR CA STR application.
- **Acknowledgment:** Use this section to view list of E-Files accepted or rejected by the FINTRAC E-File System. The date on which the batch was processed, total reports processed, and acknowledgment (.text) file reports which have errors and warning messages.

8.1 Approved Reports

Use this section to search for reports that are in the Approved status for E-Filing. You can also use this section to generate the E-File. A Supervisor, Analyst1, and Analyst2 can reject or close approved reports from this tab.

The tasks you can perform are as follows:

- **Searching Approved Reports:** Use this section to filter the required approved reports that can be used to generate an E-File.
- **Generating E-File:** Use this section to generate an E-File for the approved report(s) and submit.
- **Exporting Approved Report Details to Excel:** Use this section to export approved reports details to an Excel sheet.

8.1.1 Searching Approved Reports

Use this section to filter the required approved reports that can be used for to generate an E-File.

To search for the approved reports, follow these steps:

1. From the **Navigation List** LHS menu, select **Compliance Regulatory Reporting**. The **Compliance Regulatory Reporting** menu is displayed. For more information, see [Getting Started](#).
2. Click **Canadian STR** and select **File Report**. The **File Reports** page is displayed. By default, the **Approved Reports** tab is displayed.

Figure 35: Approved Report Search

The screenshot shows the 'Approved Reports' search interface. At the top, there are tabs for 'Approved Reports', 'E-file Status', and 'Acknowledgement'. Below the tabs is a search bar with 'Search', 'Reset', and 'Go' buttons. The search criteria are organized into three columns:

- Column 1:** Report Number (text input), Jurisdiction (dropdown), Approved By (dropdown), Created By (dropdown), Due Date >= (calendar icon and 'X' button).
- Column 2:** Report Name (text input), Account Number (text input), Approved Date >= (calendar icon and 'X' button), Created Date >= (calendar icon and 'X' button), Due Date <= (calendar icon and 'X' button).
- Column 3:** Type of Report* (dropdown), Alert/Case ID (text input), Approved Date <= (calendar icon and 'X' button), Created Date <= (calendar icon and 'X' button), Legal Entity* (dropdown).

Below the search criteria, there is a section for 'Approved Report List (0)' with buttons for 'Unwrap', 'Generate E-File', and 'Export to Excel'. At the bottom, a table header is visible with columns: Report #, Report Name, Type of Report, Accounts Involved, Number of Subjects, Number of Transactions, Number of Dispositions, Jurisdiction, Due Date, and Created By.

3. Enter the following information in the **Approved Report Search** page as tabulated.

[Table 22](#) describes fields for the approved report search. Fields marked with an asterisk * are mandatory.

Table 22: Approved Reports Search Fields

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. NOTE: You can enter a maximum of 50 characters in this field.

Table 22: Approved Reports Search Fields

Fields	Description
Report Name	<p>Enter the report name you want to view.</p> <p>This field supports a wildcard search. You can use ‘%’ and ‘_’ as wildcard indicators.</p> <p>NOTE: You can enter a maximum of 50 characters in this field.</p>
Type of Report	<p>Select one or more report types from the following options:</p> <ul style="list-style-type: none"> • Select All • Corrected • Delete • New • Corrected or Deleted
Jurisdiction	<p>Select the jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.</p> <p>Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction associated with that case.</p> <p>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.</p>
Account Number	<p>Enter account number or numbers involved in the Suspicious Activity Report.</p> <p>You can enter multiple account numbers by using a comma to separate the entries.</p>
Created By	<p>Select the user who has created the report.</p> <p>You can enter multiple names by using a comma to separate the entries.</p>
Created Date >=	<p>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 date range. For example, reports created on or after December 26, 2019</p> <p>You can either perform a range search using ‘Created Date >=’ and ‘Created Date <=’ or use them independently.</p>
Created Date <=	<p>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 date range. For example, reports created on or before December 26, 2019.</p>
Approved By	<p>Select the name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.</p>
Approved Date >=	<p>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 date range. For example, reports approved on or after December 26, 2019.</p>
Approved Date <=	<p>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.</p>

Table 22: Approved Reports Search Fields

Fields	Description
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 NOTE: 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 CA STR application.
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 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 date range. For example, reports having a due date on or before December 26, 2019.
Legal Entity	Select the legal entity associated with the approved report.

4. Click **Search**. The relevant search list is displayed. If you click **Reset**, all search fields are set to default values (blank).

8.1.2 Generating E-File

Use this section to generate an E-File for the approved report and submit the resultant **.txt** file into the FINTRAC's E-Filing System (using the external system).

You can also generate and submit a batch E-File (set of reports). A batch E-File is a consolidated set of reports with a same legal entity or report type. You must segregate the reports with the same legal entity or same report type using the [Searching E-Files](#) section.

NOTE It is mandatory to select a legal entity and report type to generate a batch E-File.

To generate an E-File or a batch E-File, follow these steps:

1. On the **Approved Reports tab**, select the required report or reports and click **Generate E-File**. The Generate E-File window is displayed.

For a batch E-File, select reports with the same legal entity or same report type.

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

Figure 36: Generate E-File Window

2. Enter the comments in the **Comments** field.
3. Click **Save**. A confirmation message displays.
4. Click **OK**. The status of the report changes to E-File Generated.

NOTE The reports used to Generate E-File are moved from the Approved Reports list to the E-File status List.

8.1.3 Exporting Approved Report Details to Excel

Use the File Reports window to export the approved report list into an Excel sheet.

To export the approved reports into an Excel sheet, follow these steps:

1. On the **Approved Report List**, select the required reports.
2. Click **Export to Excel**. All the approved reports in the Approved Reports Search and List page is exported into an Excel sheet.

NOTE You cannot export individual reports into an Excel sheet.

8.2 E-File Status

An E-File is a set of approved reports used to submit into the FINTRAC E-Filing system (using the external system).

Use the E-File Status section to perform the following tasks.

- **Searching E-Files:** Use this section to filter the required E-Files to submit FINTRAC E-Filing System.
- **Submitting E-Files:** Use section to submit an E-File to FINTRAC E-Filing System, which is in the E-File Generated or E-File Regenerated status.
- **Uploading E-File Acknowledgment:** Use this section to download the acknowledgments from FINTRAC E-Filing System and upload it into the OFS CRR CA STR application.
- **Acknowledgment:** Use this section to filter the acknowledgment receipts processed by the FINTRAC E-File System for further verifications.
- **Rejecting Reports from E-Files:** Use this section to reject report and reports from an E-File. Only those reports, which are in E-File Generated status can be rejected. After the report is rejected

from an E-File, it is removed from the E-File Reports list to Regulatory Report List, and the status of the report changes to Rejected from E-File. This report is available in the [Regulatory Reports List](#).

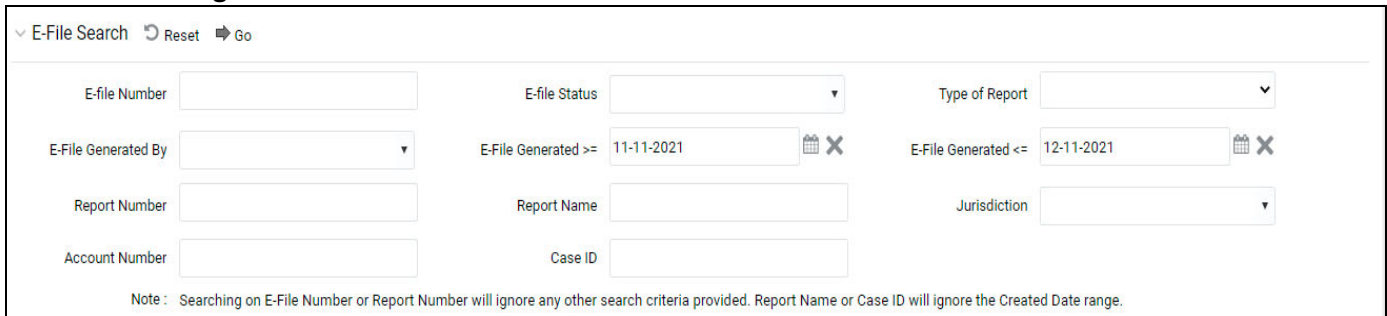
8.2.1 Searching E-Files

Use this section to filter the required E-Files to submit to the FINTRAC E-Filing System.

To search an E-File, follow these steps:

1. On the **File Reports** page, click the **E-File Status** tab. The **E-File Status Search and List** page is displayed

Figure 37: . E-File Status Search and List



2. Enter the following information on the **E-File Status Search** page as tabulated.

NOTE Searching on Report Number will ignore any other search criteria provided. Searching on Report Name and/or Case ID will ignore the Created Date range.

[Table 23](#) describes fields for the E-File status search. Fields marked with an asterisk * are mandatory.

Table 23: E-File Search Bar Field Description

Fields	Description
E-File Number	Enter the E-File number.
E-File Status	Select the status of the E-File. For example, Select All, Acknowledgment - Accepted, Acknowledgment - Accepted with warnings, Acknowledgment - Rejected, E-File Generated, or Submitted.
Type of Report	Select the type of report. For example, New, Corrected, Delete, and Corrected and Deleted.
E-File Generated By	Select a user who generated the E-File.

Table 23: E-File Search Bar Field Description

Fields	Description
E-File Generated >=*	<p>Select the E-File generated date to view E-Files having a generated date greater than or equal to the specified date (less than current date). Using this criterion, you can view the E-File generated during the date range. For example, E-File generated on or after December 26, 2019</p> <p>You can either perform a range search using E-File generated Date >= and E-File generated Date <= or use them independently.</p> <p>NOTE: By default, the date range is set to one day difference, but user can configure based on their requirement.</p>
E-File Generated <=*	<p>Select the E-File generated date to view E-Files generated lesser or equal to this date.</p> <p>Select the E-File generated date from the calendar to view reports having a generated date lesser than or equal to the specified date (not greater than current date). Using this criterion, you can view the E-File generate during the date range. For example, E-File generate on or before December 26, 2019.</p> <p>NOTE: By default, the date range is set to one day difference, but user can configure based on their requirement</p>
Report Number	<p>Enter one or more report numbers for which the E-File is generated. 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.</p> <p>You can enter a maximum of 50 characters in this field</p>
Report Name	<p>Enter the report name you want to view.</p> <p>This field supports a wildcard search. You can use ‘%’ and ‘_’ as wildcard indicators.</p> <p>NOTE: Enter at least three characters. You can enter a maximum of 50 characters in this field.</p>
Jurisdiction	<p>Select the jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.</p> <p>Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction associated with that case.</p> <p>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</p>
Account Number	<p>Enter the account (s) involved in the report.</p> <p>You can enter multiple account numbers by using a comma to separate the entries.</p>
Case ID	<p>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</p> <p>NOTE: This search is not case-sensitive. You can enter a maximum of 255 characters in this field.</p> <p>Case ID is the identifier that has triggered the creation of a report in the OFS CRR CA STR application.</p>

3. Click **Search**. The E-File list displays.

4. In the E-File list, click **E-File number**. The Report List is expanded. This displays the list of reports associated with the selected E-File and report details such as report name, type of report, status of the report and so on.

8.2.2 Submitting E-Files

Use this section to submit an E-File into FINTRAC E-Filing System. The status of the E-Files must E-File Generated or E-File Regenerated. After the E-File is submitted, the status of the E-File changes to Submitted, you must go to the FINTRAC system to submit this E-File to FINTRAC E-Filing System.

To submit an E-File into FINTRAC E-Filing System, follow these steps:

1. On the **E-File List** pane, select the required record or records.
2. Click **Submit**. The **Submit E-File** window is displayed.
3. Enter the comments in the **Comments** field and click **Save**. The status of the E-File changes to Submitted and you must go to the FINTRAC E-Filing System and submit it. To acknowledge the receipt for submitting the E-File, the FINTRAC E-Filing System generates an acknowledgment.

8.2.3 Uploading E-File Acknowledgment

The E-File is validated by FINTRAC E-Filing System and an acknowledgment is generated. Download the acknowledgments (.text file) from FINTRAC E-Filing System.

NOTE The FINTRAC provides a sequence identification number but not the E-File number in the .text file.


To upload an acknowledgment into OFS CRR CA STR application, follow these steps:

1. On the E-File List pane, select the required record in the **Submitted** status and click **Upload Acknowledgment**. An **Acknowledgment** window is displayed.

Figure 38: Upload Acknowledgment

2. Enter a **Logical File Name** for the acknowledgment.
3. Click **Choose File** to upload the respective .text file saved from FINTRAC's E-Filing System and click **Attach File** and enter comments in the **Comments** field.
4. Click **Save**. A confirmation message is displayed.
5. Click **OK**. You are navigated back to the E-File List results.

- After you have uploaded the acknowledgment file successfully into the OFS CRR CA STR application, the .text file can be viewed and saved from the Acknowledgment tab.

To view the acknowledgment file, select a record and click **Download** . A file download window prompts to **Open** or **Save** the .text file.

NOTE

- If you try to upload an acknowledgment file for an E-File, which is already uploaded, a warning message is displayed.
- If an uploaded acknowledgment action does not pass the validation check, an error message is displayed.

8.2.4 Using Acknowledgment Tab

An Acknowledgment is the receipt generated by the FINTRAC E-File System when you submit an E-File or a Batch E-File. The acknowledgment with multiple reports is called a Batch Acknowledgment.

Use this section to view acknowledgment details such as the date on which the batch was processed, list of rejected reports, total reports processed, and acknowledgment (.text) file.

After processing the E-File or Batch E-File, FINTRAC E-File System rejects or accepts the reports. Use this section to filter the acknowledgment receipts processed by the FINTRAC E-File System for further verifications. This list provides the status of the E-File whether it is accepted or rejected.

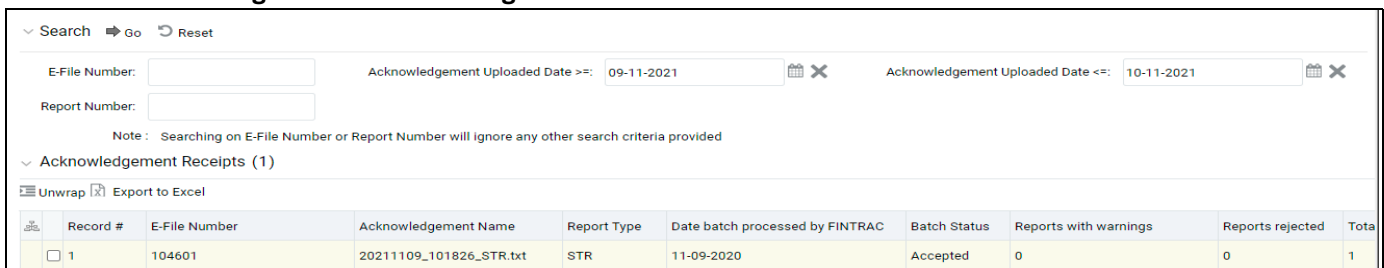
For the rejected E-Files, you can rework and resubmit an E-File into FINTRAC E-File System. To view batch acknowledgment and report detail, select the required record number from the list. The Batch Acknowledgment Details pane is displayed. This pane details the batch date, batch status, total reports processed, and so on.

For the reports with errors and issues, you can generate revised reports. For more information, see [Generating Revised Reports](#).

To search the acknowledgment receipts, follow these steps:

- On the **File Reports** page, click the **Acknowledgments** tab. The **Acknowledgment Receipts Search and List** page is displayed.

Figure 39: Acknowledgments List



The screenshot shows a search interface with the following elements:

- Search bar with "Go" and "Reset" buttons.
- Search filters: E-File Number, Report Number, Acknowledgement Uploaded Date >= (09-11-2021), and Acknowledgement Uploaded Date <= (10-11-2021).
- Note: Searching on E-File Number or Report Number will ignore any other search criteria provided.
- Section: Acknowledgement Receipts (1)
- Buttons: Unwrap, Export to Excel
- Table with columns: Record #, E-File Number, Acknowledgement Name, Report Type, Date batch processed by FINTRAC, Batch Status, Reports with warnings, Reports rejected, Total.

Record #	E-File Number	Acknowledgement Name	Report Type	Date batch processed by FINTRAC	Batch Status	Reports with warnings	Reports rejected	Total
1	104601	20211109_101826_STR.txt	STR	11-09-2020	Accepted	0	0	1

- Enter the following information in the **Acknowledgment Search** page as tabulated.

NOTE

Searching on E-File Number or Report Number will ignore any other search criteria provided.

Table 24 describes fields for the acknowledgment search. Fields marked with an asterisk * are mandatory.

Table 24: Acknowledgment Search

Fields	Description
E-File Number	Enter the E-File number.
Acknowledgment Uploaded Date >= *	Select the acknowledgment uploaded date to view acknowledgment receipts having a date greater than or equal to the specified date (less than current date). Using this criterion, you can view the acknowledgment uploaded during the date range. For example, acknowledgment uploaded on or after December 26, 2019. NOTE: By default, the date range is set to one day difference, but user can configure based on their requirement.
Acknowledgment Uploaded Date <= *	Select the acknowledgment uploaded date to view acknowledgment receipts having date lesser than or equal to the specified date (not greater than current date). Using this criterion, you can view the acknowledgment uploaded during the date range. For example, acknowledgment uploaded on or before December 26, 2019. NOTE: By default, the date range is set to one day difference, but user can configure based on their requirement.
Report Number	Enter report number. NOTE: System will retrieve Acknowledgment Receipts of the E-Files only if there are any warnings or errors against the mentioned report in the acknowledgment.

3. Click **Search**. The relevant search list is displayed.
4. To view batch acknowledgment and report detail, select the required record number from the list. The **Batch Acknowledgment Details** pane is displayed. This pane details the batch date, batch status, total reports processed, and so on.

8.2.5 Rejecting Reports from E-Files

Use this section to reject reports from an E-File. Only those reports, which are in E-File Generated and Acknowledgment - Rejected status can be rejected. After the report is rejected from an E-File, it is removed from the E-File Reports list and the status of the report changes to *Rejected from E-File*. The rejected report is available in the [Regulatory Reports List](#).

You can correct a rejected report and resubmit for Supervisor’s approval. After the corrected report is approved, you can follow the workflow of filing a regulatory report all over again as explained earlier.

NOTE

After an E-File has been uploaded and accepted by FINTRAC E-File System, Supervisor should not reject the reports from the E-File until the acknowledgment file is uploaded to OFS CRR CA STR application. If you reject a report after submission but before processing the acknowledgment files there will be a mismatch in the files referred in the acknowledgment file and the current E-File. If a report is rejected before uploading the acknowledgment into the OFS CRR CA STR application, then you have to re-submit the E-File at FINTRAC E-File System to get the latest acknowledgment file.

To reject reports from an E-File, follow these steps:

1. On the **E-File List** page, click the **E-File Number** to reject the reports. The list of reports for the corresponding E-File is displayed.

Report #	Report Name	Type of Report	Accounts Involved	Number of Subjects	Number of Transactions	Number of Dispositions	Jurisdiction	Due Date	Created By	Created Date	Regulator
49811		New							werg		
48618		New							cqwdqw		
48339		New							sam1		
48335		New							sam1		
48183		New							df		
46820		New							hyg		
63354	CA140 0430...	New	1	1	1	2	APAC	05-05-2020	CAANA	30-04-2020	

Figure 40: E-File Report List

2. Select the required report number from the list and click **Reject**. A confirmation message is displayed.
3. Click **OK**. The **E-File Reject** dialog is displayed.
4. Enter comments in the **Comments** field and click **Save**. A confirmation message is displayed.
5. Click **OK**. The report is rejected and it is removed from the E-File List. The status of the report change to **Rejected from E-File**. The rejected report is listed in the **Regulatory Reports List**. Rework on this report and resubmit into FINTRAC E-Filing System following the workflow.

8.2.6 Generating Revised Reports

When you download an acknowledgment from FINTRAC E-File System and identify there are errors or issues in the reports but they are not rejected. You can delete or correct such reports in the E-File and resubmit an E-File with revised reports into FINTRAC E-File System again. To correct or delete reports in E-File, the status of the report must be in the Acknowledged (Acknowledgement - Accepted, Acknowledgement - Accepted with warnings, Acknowledgement – Rejected)

)status. On such reports, you can take the Generate Revised Report action.

NOTE

- You cannot take Generate Revised Report action multiple times on the same report.
- When you take a **Generate Revised Report** action on a report, a copy of the report is created with the same information but with different Report number.

When you take the **Generate Revised Report** action on a report using **Corrected** or **Delete** option, a new report is created with the same information and the status of the report is **Open** with **Corrected** or **Delete** report type. The report with **Open** status is available in the **Regulatory Reports List**. To submit the revised report into the FINTRAC E-File System again, follow the workflow.

For example, If you have submitted report number 4458 into FINTRAC E-File System and received an acknowledgment with errors or issues. You have two options to revise the report and resubmit into FINTRAC E-File System:

- **Correcting and submitting:** Open Report Number 4458 in the Acknowledge status and click **Generate Revised Report**. In the Generate Revised Report window, select the **Corrected** option and save. A copy of the Report Number 4458 created with new Report Number 2234 with the same information. The status of the report is **Open** and the report type is **Corrected**. Now follow the workflow and resubmit into FINTRAC E-File System. The FINTRAC E-File System verifies the report and replaces this new report in its system.
- **Deleting and submitting:** Open Report Number 4458 in the Acknowledge status and click **Generate Revised Report**. In the Generate Revised Report window, select the **Delete** option and save. A copy of the Report Number 4458 created with new Report Number 2234 with the same information. The status of the report is **Open** and the report type is **Deleted**. Now follow the workflow and resubmit into FINTRAC E-File System. The FINTRAC E-File System verifies the report and removes this report from its system.

To generate a revised report, follow these steps:

1. In the **Reports Search and List** page, select the report with the **Acknowledged** (*Acknowledgement - Accepted, Acknowledgement - Accepted with warnings, or Acknowledgement - Rejected*) status.

Figure 41: Report Details Page

2. Click **Generate Revised Report**. The Generate Revised Report window is displayed.

Figure 42: Generate Revised Report

3. In the **Type of Report** field, select **Correct** or **Delete** and enter the required comments in the **Comments** field.

4. Click **Save**. A revised report is created with report type as **Corrected** or **Delete** with the same information. The status of the report is **Open**.
5. Make the required corrections to the report and get approved to resubmit into FINTRAC E-File System. The FINTRAC E-File System verifies the report and replaces this report in its system for correction and removes report details for the delete option.
6. Post submission, go to the **Acknowledgment** tab and mark the report as **Corrected**. For more information, see [Marking Reports as Corrected](#).

8.3 Acknowledgment

An Acknowledgment is the receipt generated by the FINTRAC E-File System when you submit an E-File or a Batch E-File. The acknowledgment with multiple reports is called a Batch Acknowledgment.

Use this section to view Batch Acknowledgments details, the date on which the batch was processed, list of rejected reports, total reports processed, and acknowledgment (.text) file. You can also update the reports which have error and warning messages.

8.3.0.1 Marking Reports as Corrected

In the Report list pane of the Acknowledgments tab, you can view the list of corrected reports, which were rejected by the FINTRAC E-File System. You can also view the error messages against them. You can mark such corrected and revised reports as Corrected.

To mark the reports as corrected, follow these steps:

1. On the **Acknowledgments** tab, go to the **Report List** pane.
2. Select the records and click **Mark as Corrected**. The **Mark as Corrected** Window is displayed.

Figure 43: Acknowledgment Tab- Mark as Corrected

Updated By Canada Analyst2

Check here to apply single comment to all included Errors

Comment

Mark as Corrected (1)

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

Save Clear Close

3. Select **Check here to apply single comment to all included Errors** to apply a single comment for all the reports and enter the comments in the **Comment** field.
4. Or, select the report from the Report ID list and enter the comments for an individual report in the **Comments** field.
5. Click **Save**. The Error Status changes to Corrected in the **Report Details** list.

9 FAQs

This chapter details Frequently Asked Questions (FAQs) in the OFS CRR CA STR application.

9.1 FINTRAC E-File Acknowledgment

Q-1: *When a batch E-File is submitted to the FINTRAC E-File System and all reports are accepted, what happens to the individual report in the batch E-File, and what is the status of batch E-File?*

Answer: All reports are accepted, reports move to **Acknowledged** status, and E-File status changes to **Acknowledged – Accepted**.

Q-2: *When a batch E-File is submitted to the FINTRAC E-File System and all reports are rejected, what happens to the individual report in the batch E-File, and what is the status of batch E-File?*

Answer: All reports are rejected, reports move to **Acknowledged** status, and E-File status changes to **Acknowledged – Rejected**.

Q-3: *How to work on the rejected reports in the E-File?*

Answer: Navigate to the E-File which is in the 'Acknowledgment - Rejected' status. Click on the E-File ID hyperlink, which enables the reports list (this lists the reports submitted for e-file), identify the reports which are rejected (from the Acknowledgment tab). Select the report and click on the 'Reject' button. The report is removed from the report list and the status of the report changes to 'Rejected from E- File. You can start working on the report and make the changes to resubmit to FINTRAC.

Q-4: *When a batch E-File is submitted to FINTRAC E-File System and four reports are rejected and three are accepted, what happens to the individual report in the batch E-File, and what is the batch E-File status?*

Answer: The status of reports is **Acknowledged**, and E-File status changes to **Acknowledged – Rejected**. The **Acknowledgment** tab lists reports that are rejected and accepted. To resolve rejected reports issues, see Q-3 and answer.

Q-5: *When a batch E-File is submitted to FINTRAC E-File System and four reports are rejected, two are accepted, and one has a warning message, what happens to the individual reports in the batch E-File and what is the batch E-File status?*

Answer: The status of reports is **Acknowledged**, and E-File status changes to **Acknowledged – Rejected**. The **Acknowledgment** tab lists reports that are rejected and accepted. To resolve rejected reports issues, see Q-3 and answer.

To correct or delete the reports with warning messages, you must take the **Generate Revised Report** action. For more information, see [Generating Revised Reports](#).

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