Oracle Financial Services Compliance Regulatory Reporting

US SAR User Guide

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OFS CRR US SAR User Guide

Document Control

Table 1: Document Control

Revision Number	Revision Date	Change Log
2.1	February 2024	• Added new field - *Report Format Version* in Searching Reports • A note, *If the report version is 1.1, you cannot take any actions* is added in the Action Buttons section. • A note, *If the report version is 1.1, you cannot open a report. An error message is displayed. However, you can download the report PDF using the Download link from the Report List* is added in the Viewing the Draft Report section. • A note, *If the report version is 1.1, you cannot open a Report Details page. An error message is displayed* is added in the Components of Regulatory Report Details section.
2.0	December 2023	• Updated a screen shot in the Audit section. • Updated message xml details in the Rejecting Reports from an E-File section.
1.9	November 2023	• Updated Completing the SAR Process section to add comments to complete the SAR process.
1.8	October 2023	• Updated Closing Reports section.
1.7	September 2023	• Added Downloading Message File section. • Added a Note under *Automatic SDTM mode* sub section in the Uploading E-File Acknowledgment section. • Updated the naming convention of zip file in the Downloading E- File and Attachment section.
1.6	July 2023	• Added Updating TIN in Account Information Automatically.

Table 1: Document Control

Revision Number	Revision Date	Change Log
1.5	May 2023	- Updated date of birth field in the Managing Subject Information. - Updated Data Exporting section. - Updated Report Format Version and Draft Report fields in Table 9. - Updated Number of Subject row in Table 9. - Added Reported Subject First, Middle, and Last Name fields in Table 8 - Removed E-File Name and E-File Status fields from Table 27. - Updated Downloading E- File and Attachment section. - Updated Viewing E-File Details section.
1.4	March 2023	Added Continuing Activity Report section.
1.3	December 2022	- The user interface for US SAR has been migrated to Oracle's Jet technology. There are no significant changes in the user experience but small aspects of the user interface have improved. - Three new search filters are added on the Regulatory Reports Search and List page - E-File Reference, Approved By, and Approved Date in the chapter Searching Reports. - You can perform bulk actions on the Report Search and List page. These actions are limited to Reopen, Reassign, Set Due Date, and Cancel. This is updated in Action Buttons section. - The E-File naming convention for SDTM and Manual E-File generation is updated in the section Generating E-File. - Updated Closing Reports section.
1.2	July 2022	Added Table 25, which explains the statuses in which the Analyst, Supervisor, and Superuser users can perform the Set Due Date action.

Table 1: Document Control

Revision Number	Revision Date	Change Log
1.1	June 2022	• Added Reassign and Set Due Date user access details in User Access section. • Added two ways to upload an acknowledgment - Automatic (SDTM) mode and Manual mode in Uploading E-File Acknowledgment section. • Added two ways to submit an E-File to FinCEN - Automatic (SDTM) mode and Manual mode in Submitting the E-File at FinCEN section. • By default, the date range is set to one day difference in the Searching Reports, E-Filed Status, Searching Approved Reports, and Acknowledgement search sections. • Added new search filters such as Created By, Created Date From/To, Filing Type, and Assigned To in the Searching Reports section. • Added Efile name and Efile Status filters in the E-Filed Status section. • Added Reassigning Reports section in the Searching Report chapter. • Added Setting Due Date for Reports section in the Acting on Reports chapter. • Added Acknowledgment - Accepted, Acknowledgment - Accepted with Warnings, and Acknowledgment - Rejected statues in Status search filter in the Searching Reports. • Added Views section in the Searching Reports • In Uploading E-File Acknowledgment section, a validation is added- Report statuses are updated based on the Acknowledgment/Message XML received from FinCEN upon uploading Acknowledgment.
1.0	March 2022	• Added the XSD Validation Details section in the Managing Reports Details chapter. • Added the Acknowledgement section in the Filing Regulatory Reports chapter.

Contents

1   About This Guide

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

This chapter discusses the following topics:

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

1.1   Who Should Use This Guide

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

- **Analyst:** This user can view, create, and edit report details. An Analyst can request reports for approval, close reports, add comments to the report, and view the final PDF.
- **Supervisor:** This user can view, create, and edit report details. The Supervisor is responsible for taking action on the reports submitted by the Analyst, such as approve, reject, re-approve, or close reports. This user can also add comments to the report and view the final PDF.
- **Super User**: This user can create, update, approve, reject, re-approve, and close reports. The Super User can also generate e-file and file the reports with the regulatory bodies. This user can also perform all the tasks performed by an Analyst.
- **Auditor**: This user can add comments, generate a draft PDF, and view the final PDF.
- **RR Admin**: This user handles various configurations required to support the reporting workflow. For more information on administration activities, see Administration Guide.

For more information on user roles and functions, see Table 5.

1.2   How this Guide is Organized

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

- Chapter 2, About Compliance Regulatory Reporting, provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application.
- Chapter 3, Getting Started, explains the steps to log in to the Oracle Financial Services Compliance Regulatory Reporting application and provides a brief overview of the various users and their roles in the OFS CRR application.
- Chapter 4, Creating Reports, describes how to create new reports.
- Chapter 5, Searching Reports, explains different search options to filter the reports in the application.
- Chapter 6, Managing Report Details, explains how to view various tabs and update the selected report details.
- Chapter 7, Acting on Reports, explains various actions that can be performed on the reports.

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

1.3   Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide:* This guide explains the structures of the entities in the CRR data model and provides in-depth information on managing the data in the OFS CRR application.

- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide:* This guide explains how and in what format the source business data is provided to the OFS CRR application through a web service for the US SAR report type.

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

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

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

1.4   Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1: Conventions Used in this Guide

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

2   About Compliance Regulatory Reporting

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

- Introduction to US SAR
- About CRR Application
- Workflow

2.1   Introduction to US SAR

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

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

2.2   About CRR Application

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

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

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

2.3   Workflow

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

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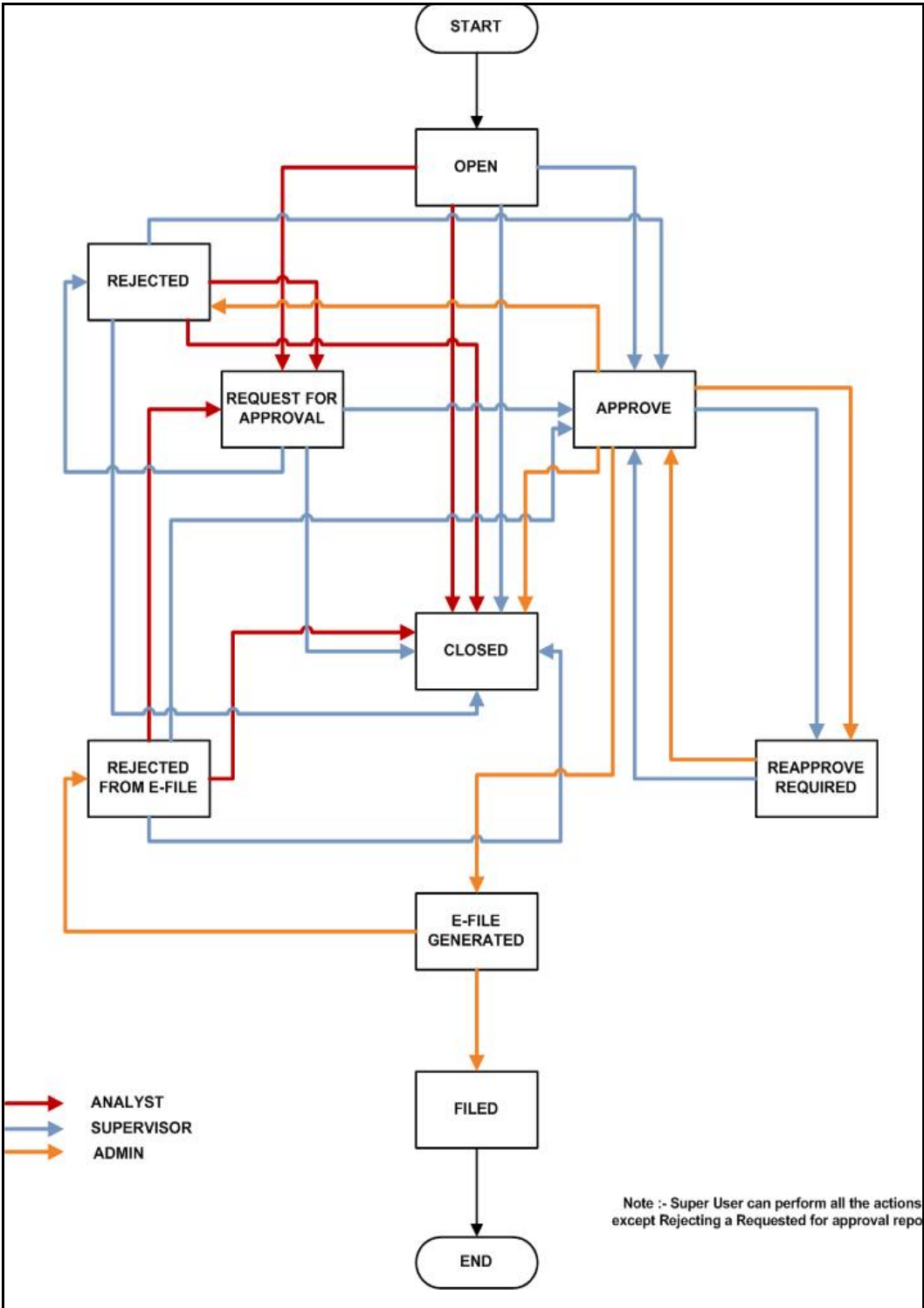
A report is created in the OFS CRR application either from OFS ECM or within the application. When a report is created in the application, the report details are entered and then submitted for approval. An authorized user validates the report details and either approves, rejects, or closes the report.

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

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

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

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

For more information on user roles, see Table 5.

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

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

Table 2: Action and Status

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

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

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

Table 3: Actions Performed by Various Users in Different Status

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

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

- Closed
- E-file Generated
- Filed

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

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

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

Report Status	Analyst	Supervisor	Super User	Auditor
Open	X	X	X	
Request for Approval		X	X	

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

Report Status	Analyst	Supervisor	Super User	Auditor
Approved		X	X	
Re-approve Required		X	X	
Closed			X	
Rejected	X	X	X	
E-file Generated				
Rejected from E-file	X	X	X	
Filed				

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

3   Getting Started

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

This chapter explains the following topics:

- User Access
- Logging in to the OFS CRR Application

3.1   User Access

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

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

Table 5: User Roles and Functions

Functions	Analyst	Supervisor	Super User	Auditor
Search and View Report	X	X	X	X
Edit Report	X	X	X	
Create a new Report	X	X	X	
Reassign a Report	X	X	X	
Setting due date for reports	X	X	X	
Request for Approval	X		X	
Approve Report		X	X	
Edit - Approved Report		X	X	
Reject Report		X	X	
Close Report	X	X	X	
Re-Approve Reports		X	X	
Reject Approved Reports			X	
Close Approved Reports			X	
Add Comments	X	X	X	X
Manage Documents	X	X	X	
Draft Report (PDF)	X	X	X	X
Reject E-File			X	
Generate E-File			X	
Upload Acknowledgment		X	X	
SAR Process Complete		X	X	
View / Edit Configuration			X	
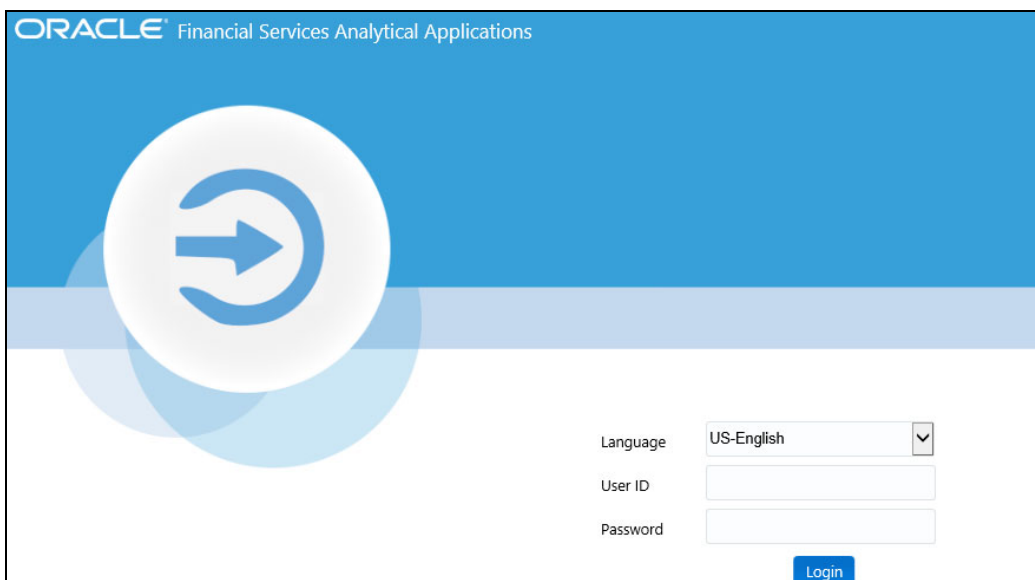
NOTE	For more information on View/Edit Configuration, see Administration Guide. Super User has all the privileges of Admin User as well.

3.2 Logging in to the OFS CRR Application

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

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

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

3. The OFSAA Login page is displayed.

Figure 2: Login Page

4. Select the Language from the **Language** drop-down list.

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

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

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

8. Go to the *Navigation List*. Click **Compliance Regulatory Reporting** in LHS. The US SAR primary menu is displayed in the LHS.

9. Click **US SAR**. The **Regulatory Reporting** Landing page is displayed with the Search and List page as a default page.

10. To access other menus, hover over Regulatory Reports and US SAR primary menu.

11. The US SAR menu displays the following sub-menus:

    ▪ Search and List

    ▪ File Regulatory Reports

    ▪ Create New Regulatory Report

Regulatory Reports SAR is the primary menu. Regulatory Reports, File Regulatory Reports, and Create a New Regulatory Report are the secondary menus.

In addition, Super User can access the User Attributes menu through the Administration menu. This menu allows this user to map and maintain the security attributes for each user role.

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

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

Table 6: Menus Accessible to OFS CRR Users

	Analyst	Supervisor	Super User	Auditor
Search and List	X	X	X	X
File Regulatory Reports			X	
Create New Regulatory Report	X	X	X	
User Attributes			X	

NOTE	For more information on configuring user attributes, see Administration Guide.

4 Creating Reports

When a report is created in the OFS CRR US SAR 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 US SAR application and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable. Users who have the same security attributes as the Case posted from OFS ECM will be able to view the report in the OFS CRR US SAR application.

This chapter provides step-by-step instructions to create new reports in the OFS CRR US SAR application.

This chapter covers the following topics:

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

4.1 Creating SAR from OFSECM

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

For more information, see *Using Take Action Window* section in the OFS ECM User Guide.

4.2 Creating a New Report from OFSCRR Application

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

To create a new regulatory report, follow these steps:

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

   Figure 3: Create a New Regulatory Report Page

2. Enter the required information in the fields.

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

Table 7: Create New Report

Fields	Description
Report Name	Enter the report name. The report name can have a maximum of 60 characters. If you enter more than 60 characters for the report name, the following message displays: *Number of characters exceeded.*
Corrected Report	Select Yes or No to specify whether the report is corrected or not from the drop-down list. The Corrected report is a term used by FinCEN to identify a report that was previously submitted but is being resubmitted with modifications to correct the earlier provided information. A corrected SAR must reference the previously submitted SAR by virtue of the BSA ID of the previous SAR.
Report Type	Displays the report type. The application supports the generation of US SAR. Hence the value for report type has defaulted to *SAR*.
Domain 1	Select **Domain 1** from the drop-down list. Domain 1 through Domain 5 fields allows a user to associate security attributes to the Case being created, which can be used to control access to the case. For example, OFS CRR requires that Domain 1 always be associated with a business **Jurisdiction**. The specific jurisdiction values that will be available in the drop-down are defined at the firm level. After jurisdiction is assigned to a newly created report, only users with access to that jurisdiction will be able to see and work on the report.
Domain 2	Select **Domain 2** from the drop-down list. Domain 2 through Domain 5 can be associated with other attributes such as business domains or organizations. When assigned to a report at creation, these can also be used to control access. For information on how your firm is using Domain 2 through Domain 5, contact your system administrator.
Domain 3	Select **Domain 3** from the drop-down list.
Domain 4	Select **Domain 4** from the drop-down list.
Domain 5	Select **Domain 5** from the drop-down list.
Internal Control/File Number	Enter the internal control/file number. This number is the Case ID from OFSECM If the report is auto-generated from OFSECM. For manually created reports, clients will have the option to provide an internal control/file number to the new report.
Created On	Displays the date and time of report creation.
Created By	Displays the user who created the report.

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

4. Click **OK**. A new report is created and displayed on the Report List page.

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

5 Searching Reports

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

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 search activities and view the results.

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

1. Go to the **Regulatory Reporting** menu, hover over **US SAR** and click **Regulatory Reports**. The Search and List page is displayed.

2. Click **Advanced Search**. The Advanced Search window is displayed.

Figure 4: Advanced Search window

3. Enter the search components in the Search fields.

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

Table 8: Components of Search Bar

Fields	Description
Report Number	Enter the report number to display the report with the number as specified in the search criteria.
Report Name	Enter the report name to display the report with the name as specified in the search criteria. **NOTE**: This field supports a wildcard search, using the % as a wildcard indicator and allows you to enter a maximum of 61 characters.
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Every report is associated with jurisdiction, whether created manually or from a case (OFSECM). When a SAR is created from a case, the SAR inherits the jurisdiction that was associated with a case. When a SAR is created manually, the *Domain 1* field on the create SAR screen displays the list of available jurisdictions. Each user has access to a set of jurisdictions and each SAR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the SAR's jurisdiction. Jurisdiction is a mandatory field for the creation of SAR, whether manually or from the case.
Report Status	Select the report status from the drop-down list to display reports in the selected status. The Status search criteria are pre-selected with a configurable list of statuses. By default, the application displays the following statuses: • Open • Requested for Approval • Approved • Closed • Filed • E-File Generated • Rejected • Rejected from E-File • Re-Approve Required • Acknowledgment - Accepted • Acknowledgment - Accepted with Warnings • Acknowledgment - Rejected
Event/Case ID	Enter the Event or Case ID to display the reports with the selected Event or Case ID. Event or Case ID is the case that has triggered the creation of a report in the OFSCRR application. This field supports a wildcard search, use % as a wildcard indicator. For more information on how reports are auto-generated from OFSECM, see the *Taking Resolution Action* section in the ECM User Guide.

Table 8: Components of Search Bar

Fields	Description
SSN/EIN/TIN	Enter the SSN/EIN/TIN (Social Security Number, Employer Identification Number, or Taxpayer ID Number). This field supports a wildcard search, use % as a wildcard indicator.
Filing Type	Select the filing type of the report from the drop-down list. For example, Initial Report, Correct/Amend prior report, Continuing activity report, and Joint Report.
BSA ID	Enter the BSA ID. BSA stands for Bank Secrecy Act Identifier. The BSA ID is a distinct value assigned to each SAR submitted to FinCEN. The FinCEN will use this ID to track a SAR as well as any corrections or amendments to that SAR. **NOTE**: This field can have a maximum of 25 characters.
E-File Reference	Enter the E-File reference to display the E-File reference as specified in the search criteria
Created By	Select the name of the user who created the regulatory report from the drop-down list. **NOTE**: The Created By drop-down displays ten users at a time.
Created Date From	Select the created date from the calendar. *Created Date From* and *To* can be used independently. When both are used, it returns only those SARs within the selected dates inclusive of the selected dates. When only *From* is used, it returns reports with a create date greater than or equal to the selected *From* date. **NOTE**: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022. If you do not enter the date range, a warning message is displayed.
Created Date To	From the calendar to display reports created until this date, select the date from Created Date To. **NOTE**: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022). If you do not enter the date range, a warning message is displayed.
Assigned To	Select the user or users from the drop-down list.
Due Date From	Select the due date to view reports having a due date from 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, 2021.
Due Date To	Select the due date to view reports having a due date 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, 2021.
Approved By	Select the user or users from the drop-down list.
Approved Date From	Select the approved date to view reports having a approved date from the specified date. Using this criterion, you can view the reports that have a approved date during the date range. For example, reports having a approved date on or after December 26, 2021.

Table 8: Components of Search Bar

Fields	Description
Approved Date To	Select the approved date to view reports having a approved date from the specified date. Using this criterion, you can view the reports that have a approved date during the date range. For example, reports having a approved date on or before December 26, 2021.
Reported Subject First Name	Enter the subject first name. This field supports a wildcard search, use % as a wildcard indicator.
Reported Subject Middle Name	Enter the subject middle name. This field supports a wildcard search, use % as a wildcard indicator.
Reported Subject Last Name	Enter the subject last name. This field supports a wildcard search, use % as a wildcard indicator.
Report Format Version	Select the required report format version (1.1 or 1.2) from the drop-down.

4. Click **Search**. The relevant search list is displayed.

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

5.1   All 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 **All Views** to view the available options.

2. Select the options from the drop-down list. The required list of reports are displayed.

    You can create your pre-defined views. For more information, see Saving Views.

> **NOTE**   You can view only those options in the drop-down that you have created in Saving Views section.

5.2   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 Supervisor and reports approved on or before December 2021, 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* from the Views search option and filter the reports.

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

1. Open the **Search and List** page.

2. Enter the required search criteria in the search fields. For more information on the search criteria, see Table 5.

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

Figure 5: 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.

5.3   Components of Regulatory Reports List

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

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

5.3.1   Search Bar

The Search bar allows you to search and view the report details.

5.3.2   List Header

The header contains the title *Regulatory Reports* and displays the total number of reports. The header also provides pagination with forward and backward arrows for advancing page by page or for advancing to the first or last page. This is applicable only when the number of reports is more than 20.

5.3.3   Action Buttons

> **NOTE**   If the report version is 1.1, you cannot take any actions.

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

- Data Exporting
- Setting Due Date for Reports
- Reassigning Reports
- Closing Reports
- Reopening Reports
- Viewing the Draft Report

5.3.3.1   Data Exporting

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

To export the report details, follow these steps:

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

2. Click ⬈**Data Export**. The Export options Excel and .CSV are displayed.

> **NOTE**   All the reports in the Regulatory Reports List are exported into an Excel or .CSV files. You cannot export individual reports .

3. Select Excel or .CSV. The all reports are exported according to your selection and downloaded in your local system.

> **NOTE**   Open the file in Microsoft Excel or .CSV to edit as needed.

5.3.3.2   Setting Due Date for Reports

Set Due Date action allows you to set a due date or modify an existing due date of a SAR. The CRR application allows you to set the due date for SAR. The due date is set based on the date the SAR creation request is sent from the OFS ECM to OFS CRR. This is the period during which the SAR must be filed with FinCEN. The Due date is configurable and by default, it is set to 30 days from the date the SAR creation request is sent from the OFS ECM to OFS CRR. It includes only business days, excluding holidays and weekends. For more information, see Setting Due Date for Reports.

5.3.3.3   Reassigning Reports

This section describes how to reassign a report or reports to a different user. If a report's initial analysis reveals an issue that must be reviewed by another user, then you can reassign such reports to the most appropriate users. For more information, see Reassigning Reports.

5.3.3.4   Closing Reports

This section allows you to close one or more reports from the Search and List page results. You can close report in the *Requested for Approval, Approved, Rejected, Rejected from E-File, Open*, and *Reopen* statuses.

To close reports, follow these steps:

1. On Search and List page, select the required one or more reports.

2. Click **Close**. A confirmation message is displayed. The status the of the report changes to *Closed*.

5.3.3.5 Reopening Reports

This section allows you to reopen one or more reports which are in Closed statues on the Search and List page results.

To reopen reports, follow these steps:

1. On Search and List page, select the required one or more reports in the Closed status.

2. Click **Reopen Report**. A confirmation message is displayed.

> **NOTE**   You can perform bulk actions on the Report Search and List page. These actions are limited to Reopen, Reassign, Set Due Date, and Close.

5.3.4 Column Headings

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

The following sorting options display:

- Ascending
- Descending
- Clear Sort
- Field Chooser

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

5.3.5 List Matrix

The List matrix displays the summary of all reports.

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

Table 9: Columns in CRR List Matrix

Columns	Description
Report Number	Displays the report number.
Report Name	Displays the report name.
Report Type	Displays the report type. SAR is the default value for the report type.

Table 9: Columns in CRR List Matrix

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

5.3.5.1 Viewing the Draft Report

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

To view the draft report, follow these steps:

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

2. Click the Report Number. The Report Details page is displayed.

| **NOTE** | If the report version is 1.1, you cannot open a report. An error message is displayed. However, you can download the report PDF using the Download link from the Report List. |

3. Click the **Draft Report** icon. The File is downloaded to your local system.

| **NOTE** | You can also view the report details in PDF by clicking the PDF icon in the Draft Report column in the Regulatory Reports List. |

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

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

Suspicious Activity Report   Version Number: 1.0

Filing Name	CUBENOWNCHGSURRR-004-0201201313302859

*1 Filing Type
(Check all that apply)

[X]	Initial report		[ ]	Correct/Amend prior report
[ ]	Continuing activity report		[ ]	Joint report

Prior report document control/file number

Attachment

1

Part IV Filing Institution Contact Information

*82	Type of financial institution	Casino/Card Club		Desc
*78	Primary federal regulator	Commodities Futures Trading Commission (CFTC)		
*79	Filer name (Holding company, lead financial institution, or agency, if applicable)	Thom Kobs		
*80	TIN	123455612	*81 TIN Type	EIN

83 Type of Securities and Futures institution or individual filing this report - check box(es) for functions that apply to this report

[X]	Clearing broker-securities	[ ]	Introducing broker-securities	[ ]	SRO Securities
[X]	CPO/CTA	[ ]	Investment Adviser	[ ]	Subsidiary of financial/bank holding company
[X]	Futures Commission Merchant	[ ]	Investment company	[ ]	Other Tet
[ ]	Holding company	[ ]	Retail foreign exchange dealer		
[ ]	Introducing broker-commodities	[ ]	SRO Futures		

84	Financial institution identification	Type	Central Registration Depository (CRD) number
		Number	12344544
*85	Address	Address of Filing Inst	
*86	City	City of Filing	
*87	State	AK	*88 ZIP/Postal Code 5624 *89 Country AF
90	Alternate name, e.g., AKA - individual or trade name, DBA - entity	AltName	
91	Internal control/file number	162048	
92	LE contact agency		
93	LE contact name		
94	LE contact phone number (Include Area Code)		Ext.
95	LE contact date		
*96	Filing institution contact office	sss	
97	Filing institution contact phone number (Include Area Code)	11111	Ext.
98	Date filed		(Date filed will be auto-populated when the form is signed.)

6   Managing Report Details

To declare any report to be suspicious and report it to the FinCEN, you must view and assess the selected report and its details. The *Regulatory Report Details* page allows you to view, enter, or update report information. Users who can view and updated report details are mentioned in Table 5.

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

The following topics help you to view and update Regulatory Report Details:

- Components of Regulatory Report Details
- Filing Institution Information
- Financial Institution Where Activity Occurred
- Suspicious Activity Information
- Subject Information
- Documents
- Narrative
- XSD Validation Details
- Audit

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

6.1   Components of Regulatory Report Details

This section provides the complete details of the components of the Regulatory Report Details page. Click the Report Number in the *Regulatory Reports* to view the Report Details.

> | **NOTE** | If the report version is 1.1, you cannot open a Report Details page. An error message is displayed. |

The following are the components of the Regulatory Report Details:

- Action Buttons
- Report Context
- Report Details Tabs

6.1.1   Action Buttons

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

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

- **Add Comments**: This button displays in the Regulatory Report Details in all the report statuses. It allows you to add comments to the report. For more information about adding comments, see Adding Comments to Report.

- **Draft Report**: This button displays in all the report statuses. It allows you to view the report details in a PDF. For more information about the draft report, see Viewing the Draft Report.

- **Request For Approval**: This button displays in the Regulatory Report Details when the report is in *Open, Rejected,* or *Rejected from e-file* status. It allows you to submit a report for approval. For more information about requesting for approval, see Requesting for Approval.

- **Approve**: This button displays in the Regulatory Report Details when the report is in *Request for Approval* status for the Supervisor user and in *Open, Rejected, Rejected from e-file, Request for Approval* status for Super User. It allows you to approve reports. For more information about approving reports, see Approving Reports.

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

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

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

- **Set Due Date**: Set Due Date action allows you to set a due date or modify an existing due date of a SAR. The due date is set based on the date the SAR creation request is sent from the OFS ECM to OFS CRR. This is the period during which the SAR must be filed with FinCEN. The Due date is configurable, and by default, it is set to 30 days from the date of SAR creation. It includes only business days excluding, holidays and weekends. This action button is also available on the Report List page so that you can take action on multiple reports.

6.1.2   Report Context

The Report Context displays information about the report and is non-editable. It contains minimize and maximize buttons that allow you to expand and collapse the details in the Report Context.

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

6.1.3   Report Details Tabs

The Regulatory Report Details displays the following tabs:

- Filing Institution Information
- Fin Inst Where Activity Occurred
- Suspicious Activity Information
- Subject Information
- Documents
- Narrative
- XSD Validation Details

- Audit

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

6.1.3.1 Adding Comments to Report

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

To add comments to a report, follow these steps:

1. Go to the Reports Details page.

2. Click **Add Comments**. The *Action Type: Add Comments* pop-up window displays.

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

> **NOTE** The comments box in the Action Type: Add Comments pop-up window allows you to enter a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message displays: Number of characters exceeded.
>
> If you click **Save**, without entering the comments in the *Action Type: Add Comments* pop-up window, the following message displays: *Mandatory fields are not entered.*

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

5. Click **OK**. The *Action Type: Add Comments* window closes and displays the Regulatory Report Details.

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

6.2 Filing Institution Information

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

This tab displays the following sections:

- Reporting Information
- Managing Filing Institution Information

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

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

6.2.1 Reporting Information

This section displays information on the type of report filing.

The following are the possible types of filing:

- **Initial Report**: These reports are submitted to the FinCEN for the first time.

- **Correct/Amend Prior Report**: These reports were previously submitted but are being resubmitted with modifications to correct earlier provided information. A corrected SAR must refer to the previously submitted SAR by virtue of the BSA ID of the previous SAR.

- **Continuing Activity Report**: A continuing report is filed on suspicious activity that continues after an initial SAR is filed with FinCEN.

- **Joint Report**: It is a suspicious activity report that is being filed by the current institution jointly in cooperation with another financial institution.

- **Filing Institution Note to FinCEN**: This field displays the notes that you want to mention to FinCEN.

Validations:

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

6.2.2 Managing Filing Institution Information

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

To enter or modify filing institution information, follow these steps:

1. Go to the **Filing Institution Information** section.

Figure 6: Filing Institution Information Tab

2. Enter or modify the required information in the fields.

Table 10 explains the fields in the *Filing Institution Information* Tab

Table 10: Fields in the Filing Institution Information Tab

Fields	Description
Filing Institution Name	Select the financial institution name from the drop-down list. All the related fields displaying the filing financial institution details get auto-populated on the selection of Filing Institution name and will display as not editable.
	A firm may have one or more than one legal entity under which they file regulatory reports. The values available in the Filing Institution Name drop-down are defined by each client during installation. The system administrator enters the data into the database where it can be selected by the user on the User Interface. This is handled during installation by the excel upload of data. For more information on Excel Upload, see Administration Guide.
	NOTE: If you have not given any value for Filing Institution Name, then the application displays the following message: *Filing institution should be present.*
Primary Federal Regulator	The primary federal regulator.
TIN Type	The TIN (Taxpayer ID Number) type. For example, Social Security Number (SSN)/Individual Taxpayer Identification Number (ITIN)
TIN	The TIN (Taxpayer ID Number) number.
Type of Financial Institution	The type of financial institution. For example, Depository institution.
Other Description	Any additional information about the type of financial institution.
Type of Securities and Futures Institution	The type of securities and futures institution. For example, CPO/CTA, Clearing broker-securities, Futures Commission Merchant, and so on.
Other Description	Any additional information about the type of securities and futures institution.
Financial Institution ID	The ID of the financial institution involved in suspicious activity.
Financial Institution Identification Type	The financial institution identification type. For example, Central Registration Depository (CRD) number.
Alternate Name	The alternate name of the financial institution.
Address	The address of the financial institution.
City	The city where the financial institution is located.
State	The state where the financial institution is located.
Postal Code	The postal code of the financial institution.
Country	The country where the financial institution is located.
Filing Institute Contact Office	The filing institution's contact office name.
Filing Inst Contact Number	The filing institution's contact number.

Table 10: Fields in the Filing Institution Information Tab

Fields	Description
Extension	The extension of the filing institution. The values in these fields are auto-populated based on the filing institution name you have selected.
Internal Control/File Number	Enter the internal control/file number. This is the Case ID from OFS ECM if the reports are auto-generated from OFS ECM. For manually created reports, clients will have the option to provide an internal control/file number to the new report.
Prior Report Doc Number	Enter the prior report document number. Prior Report Doc Number refers to the unique identifier assigned to a report that has been submitted to the regulatory body. This field is applicable when filing a continuing activity, corrected, or supplemental report on a previously submitted report. Select the **Unknown** check box if the prior report document number is unknown. **Validations**: If Prior Report Doc Number is not entered for Corrected, Supplemental, and Continuing Reports nor if the Unknown check box field has been marked, the application displays the following message: *Prior Report Doc Number in Financial Institution Info Tab is mandatory for Corrected, Supplemental or Continuing Reports. Enter the value or check Unknown if the value is not known.* If you have entered one or more prohibited words in fields Filling Institution Contact Office and Prior Report Doc Number, then the application displays the following message: *You are not allowed to enter prohibited words in Filling Institution Contact Office and Prior Report Doc Number. The following words are prohibited: AKA, COMPUTER GENERATED, CUSTOMER, DBA, NON CUSTOMER, NONE, NOT APPLICABLE, OTHER, SAME, SAME AS ABOVE, SEE ABOVE, SEE NARRATIVE, SIGNATURE CARD, T/A, UNKNOWN, VARIOUS, XX.*

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

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

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

NOTE	If you click **Reset**, the unsaved data is reset to the last saved value in the Filing Institution Information page. You cannot edit the report details when the report is in *View* mode. Action buttons, such as Save and Reset, are hidden in the Filing Institution Information tab when the report is in View mode

6.3 Financial Institution Where Activity Occurred

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

To access the Financial Institution Where Activity Occurred tab, select the **Fin Inst Where Activity Occurred** tab. The page refreshes and displays the Financial Institution Where Activity Occurred grid.

Figure 7: Financial Institution Where Activity Occurred

Financial Inst Name	Type	Primary Federal Regulator	Country	State	Fin Inst Code
FININST 2	Insurance company	Federal Reserve Board (FRB)	UNITED STATES	Alaska	D221146430

The first section provides you the list of Financial Institution Where Activity Occurred. The second section provides you the details of the selected Financial Institution and associated Branch Details. The auto-populated pane has a left-hand side (LHS) menu with Financial Institution Details and Branch Details options.

This page allows you to add a new financial institution and edit or delete the existing financial institution where the activity occurred and branch details.

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

Table 11 explains the columns in Financial Institution Where Activity Occurred grid.

Table 11: Columns in Financial Institution Where Activity Occurred Grid

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

6.3.1 Managing Financial Institution Where Activity Occurred Details

Use this section to add a new financial institution where the activity occurred and related branch details. You can also edit and remove existing financial institution where the activity occurred and related branch details.

To add a new financial institution where the activity occurred and modify or remove existing details, follow these steps:

1. On the **Fin Inst Where Activity Occurred** tab, click **Add**. The *Financial Institution Where Activity Occurred* window displays.

Figure 8: Financial Institution Where Activity Occurred Window

2. Enter the required information in the fields.

Table 12 explains the fields in the Financial Institution Where Activity Occurred window.

Table 12: Fields in Financial Institution Where Activity Occurred

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

Table 12: Fields in Financial Institution Where Activity Occurred

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

Table 12: Fields in Financial Institution Where Activity Occurred

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

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

4. Click **OK**.

5. Click **Close** to close the Financial Institution Where Activity Occurred window.

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

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

1. On the Financial Institution Where Activity Occurred list, select the check box of the Financial Institution Where Activity Occurred record that you want to modify.

2. Click **Edit**. The Financial Institution Where Activity Occurred window displays.

3. Modify the necessary information.

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

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

1. On the Financial Institution Where Activity Occurred list, select the check box of the Financial Institution Where Activity Occurred record that you want to delete.

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

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

4. Click **OK**. The Financial Institution Where Activity Occurred grid displays.

6.3.1.1   Managing Branch Details

After adding Financial Institution Details, you can add the branch details too.

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

To add new branch details, modify, or delete existing branch details, follow these steps:

1. On the LHS menu, click **Branch Details**. The Branch Information section is displayed.

2. Click **Add**. The Add New Branch window is displayed.

Figure 9: Add a New Branch Window

3. Enter the required information in the fields.

    Table 13 explains the fields in the Branch Details.

    Table 13: Branch Details

Fields	Description
Branch Code	Enter the branch code.
	When you click [🔍] after entering the branch code in the Add a New Branch pop-up window, all the related information gets auto-populated (except role) and is not editable. Clicking the search icon validates that the branch code entered is a valid branch for your institution.
	If you try to save the details in the Add a New Branch pop-up window without first identifying the branch, the following message displays: *Select a Branch before saving.*
Address	Enter the address details of the branch.
City	Enter the city where the branch is located.
State	Enter the state where the branch is located.
Zip Code	Enter the zip code where the branch is located.

Table 13: Branch Details

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

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

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

6. Click the **Validate** button in the Branch Details section to validate the information present in the Branch Details section and check for any missing mandatory information.

   Validations:

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

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

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

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

To edit Branch Details, follow these steps:

1. On the **Branch Details** menu, select the branch details you want to edit.

2. Click **Edit**. The Branch window displays.

3. Modify the required information.

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

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

To delete Branch Details, follow these steps:

1. On the **Branch Details** menu, select the branch you want to delete.

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

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

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

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

6.4 Suspicious Activity Information

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

This tab allows you to update the following sections in the LHS menu:

● Suspicious Activity Details

● Activity Classification

● Law Enforcement Agency Details

● Additional Information

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

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

6.4.1 Suspicious Activity Details

This section allows you to add details pertaining to the suspicious activity. This is a default section displayed when you open the Suspicious Activity Information tab.

To add the suspicious activity details, follow these steps:

1. On the **Suspicious Activity Information** tab, click **Suspicious Activity** in the LHS menu. The Suspicious Activity details section is displayed.

Figure 10: Suspicious Activity

2.   Enter the information in the fields.

Table 14 explains the fields in the Suspicious Activity details pane.

Table 14: Fields in Suspicious Activity Details Pane

Fields	Description
Activity Date From	Enter the date on which the suspicious activity is started.
	If you click on the *Validate* tab and If the date entered in the Activity Date From field is lesser than 1 January 1950, then the application displays the following message: *Enter a date in the field "Activity Date From" which is later than or equal to 1st January 1950.*
	If you click the *Validate* button and if there is no value entered in Activity date, the application displays the following message: *Activity date from must be entered.*
To	Enter the date on which the suspicious activity is believed to have ended.
	If you click the *Validate* tab and If the date entered in the *Activity Date From* field is greater than the date entered in the *To* date field, the application displays the following message: *Activity Date From cannot be greater than the To Date*.
Amount	Enter the amount involved in the suspicious activity.
	If you click the *Validate* tab and if the cumulative amount entered is less than the amount entered in the amount field of Suspicious activity details, then the application displays the following message: *Cumulative amount should not be less than the amount for suspicious activity.*
	If you click the *Validate* tab and if you have entered '*0*' in the Amount field, then the application displays the following message: *Zero should not be entered in the Amount field in Suspicious Activity Information.*

Table 14: Fields in Suspicious Activity Details Pane

Fields	Description
Cumulative Amount	Enter the cumulative amount involved in suspicious activity.
	Cumulative Amount must be populated only if the report is a Continuing Activity Report.
	If the Cumulative Amount is blank for a Continuing Activity Report, then the application displays the following message: *The report is marked as "Continuing Activity Report" and Cumulative Amount is missing. If the Cumulative Amount is unknown or there is no Cumulative Amount involved please enter 0.*
	If you click the *Validate* button and when the report is not a Continuing Activity Report with a value entered in the Cumulative Amount field, the application displays the following message: *The report is not a "Continuing Activity Report" so Cumulative Amount field in Suspicious Activity tab should be left blank. Also, it should not be entered as 0.*
Amount Unknown/no Amount	Select the amount unknown or no amount involved from the drop-down list.
	Select the **amount unknown** if the amount involved in suspicious activity is unknown.
	Select **No amount involved** if there is no amount involved in the suspicious activity.
	If you click the *Validate* button in the Suspicious Activity Details section without entering any value in the Amount field or if you do not select either Amount unknown, nor No amount involved, then the application displays the following message: *Either Amount or Amount Unknown/No Amount field should be entered in suspicious activity information.*
	If you have entered a value in the *Amount* field and also selected the No Amount Involved or Amount Unknown option, then the application displays the following message: *When no amount is involved or is unknown, then Amount should not be entered.*

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

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

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

5. Click the **Validate** button in the Suspicious Activity Details section to validate the information present in the Suspicious Activity Details section and check for any missing mandatory information.

6. Click the **Validate Tab** button in the Suspicious Activity Information tab to validate the information present in the Suspicious Activity Information tab and check for any missing mandatory information.

   Validations:

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

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

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

6.4.2   Activity Classification

This section allows you to specify the type of suspicious activity such as Fraud, Terrorist Financing, Insurance, Casinos, and so on.

1. Click **Activity Classification** from the LHS menu. The *Activity Classification* pane is displayed with the following classification categories:

   - Structuring

   - Terrorist Financing

   - Fraud(Type)

   - Gaming Activities

   - Money Laundering

   - Identification/Documentation

   - Other Suspicious Activities

   - Insurance

   - Securities/Futures/Options

   - Mortgage Fraud

   - Cyber Events

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

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

2. Within each category, there are related options to select specific behavior that indicates why it was felt the suspicious activity. Review these options within each category and select one or more that best describes the activity being reported.

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

4. If you do not find the relevant option in the required section, then select **Other** from the activity classification list and enter the description of the activity classification.

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

6. Click the **Validate** button in the Activity Classification section to validate the information present in the Activity Classification section and check for any missing mandatory information

   Validations:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

6.4.3   Law Enforcement Agency Details

This section allows you to update the Law Enforcement (LE) Agency details contacted by the firm regarding the suspicious activity.

1. Click **Law Enforcement Agency Details** in the LHS menu. The Law Enforcement Agency Details pane is displayed.

Figure 11: Law Enforcement Agency Details

2. Enter the information in the fields.

   Table 15 explains the fields in the *Law Enforcement Agency Details*.

Table 15: Law Enforcement Agency Details

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

3. Click **Save**. The Law Enforcement Agency pane is saved.

4. Click the **Validate** button in the Law Enforcement Agency section to validate the information present in the Law Enforcement Agency section and check for any missing mandatory information.

6.4.4   Additional Information

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

The following are the types of additional information:

- **Additional Information**: Details about the attributes of the assets that are involved in this activity.
- **IP Address Details**: Details about the system (IP Address) that is reported in this activity.
- **Cyber Event Details**: Details about the Cyber event types that are used in this activity.

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

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

6.4.4.1 Managing Additional Information

To add new additional information, and modify or remove existing additional information about the suspicious activity, follow these steps:

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

Figure 12: Add Additional Information Pop-up Window

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

To edit the additional information, follow these steps:

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

To delete the additional information, follow these steps:

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

6.4.4.2 Managing IP Address Details

To add a new IP Address, and modify or remove an existing IP Address about the suspicious activity, follow these steps:

1. Click **Additional Information** on the LHS menu. The IP Address Details grid displays.

2. Click **Add**. The IP Address Details window displays.

Figure 13: Add IP Address Details Window

3. Enter the appropriate IP Address Details.

4. Select the Activity Date from the calendar.

5. Enter Activity Time.

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

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

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

To edit the IP Address Details, follow these steps:

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

2. Click **Edit**. The IP Address Details pop-up window displays.

3. Modify the required information.

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

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

To delete the IP Address Details, follow these steps:

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

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

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

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

6.4.4.3   Managing Cyber Event Details

To add a new Cyber Event, and modify or remove an existing Cyber Event, follow these steps:

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

2. Click **Add**. The Cyber Event Details window displays.

Figure 14: Add Cyber Event Details Window

Table 16 explains the fields in the Cyber Event Details.

Table 16: Cyber Event Details

Fields	Description
Cyber Event Type	Select the cyber event type from the drop-down list.
Cyber Event Description	Enter the Cyber Event description.
Other Description	Enter additional or any other description.
Activity Date	Select the activity date from the calendar.
Activity Time	Enter activity time.

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

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

    Validations:

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

- URL/Domain names: Must contain at least one period, no spaces, cannot begin or end with a dash.
- Media Access Control (MAC) Addresses: Must be in the format XX:XX:XX:XX:XX:XX
- Email Addresses: Must contain @ symbol and at least one period following the @ symbol.

To edit Cyber Event Details, follow these steps:

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

To delete Cyber Event Details, follow these steps:

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

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

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

6.5   Subject Information

This section covers the following topics:

- Overview
- Managing Subject Information
- Address
- Phone

- Form of Identification
- Alternate Name
- Email Address
- Website (URL) Address
- Account Information
- Relationship with Financial Institution

6.5.1 Overview

A subject is a person who is involved in a suspicious activity. The *Subject Information* section provides the details of the subject for the selected report. This section contains details of the subject's Address, Phone, Form of Identification, Alternate Name, Email address, Website (URL) Address, Account Information, and Relationship With Financial Institution.

Table 17 explains the columns in the Subject Information grid.

Table 17: Subject Information

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

6.5.2   Managing Subject Information

In the Subject Information section, you can add a new subject and modify or remove existing Subject Information.

> **NOTE**   A maximum of 999 records can be added to one report or suspicious activity

To add a new Subject Information, and modify or remove an existing Subject Information, follow these steps:

1. Click the **Subject Information** tab. The Subject Information page is displayed.

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

Figure 15: Adding Subject Information

3. Enter the required information in the fields.

   Table 18 explains the fields in the Subject Information pop-up window.

Table 18: Subject Information

Fields	Description
Is critical information unknown?	Select this check box if all critical information about the subject is unavailable. Critical information is considered to be: • Last Name/Entity Name • First Name • TIN • DOB • Address • Identification

Table 18: Subject Information

Fields	Description
Is subject an Entity	Select this check box if the subject is an entity. Some of the fields such as first name, middle name, suffix, gender, date of birth, and so on are disabled on the selection of this check box.
Last Name/Entity Name	Select check box if the Last Name/Entity Name is unknown. Enter the last name of the entity or subject.
Middle Name	Enter the subject's middle name.
First Name	Select check box if the first name is unknown. Enter the subject's first name if you know.
Suffix	Enter the subject suffix.
DOB	Select check box if the date of birth is unknown. Select the subject's date of birth from the drop-down list if you know. **Note**: It it mandatory to select year of birth.
Gender	Select the subject's gender from drop-down list.
TIN	Select check box if the TIN is unknown. Enter the subject TIN number.
TIN Type	Select the subject TIN type from drop-down list.
NAICS Code	Select the NAICS code. NAICS stands for *The North American Industry Classification System*. It is used by business and government to classify and measure economic activity in Canada, Mexico, and the United States. The NAICS numbering system is a six-digit code. The first five digits are generally the same in all three countries. The last digit designates national industries. The first two digits designate the largest business sector, the third digit designates the sub-sector, the fourth digit designates the industry group, and the fifth digit designates particular industries.
Occupation/Type of Business	Enter the occupation or type of business of the subject.
Corroborative Statement Received?	Select whether the corroborative statement is received. As per FinCEN, a corroborative statement is considered to be where the subject has made a statement to the filing institution admitting to the involvement or otherwise substantiating the suspicious activity. If such a statement was made, you must select **Yes**. If not, select **No**. If you select Yes, then the nature of that statement should be captured in the report *Narrative*. If you click Save without selecting any value in this field, then the application displays the following message: *You have not selected any value for Corroborative Statement Received for Suspect ID- <Suspect ID>.*
Subject role	Select the role of the subject in the suspicious activity.

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

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

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

   You can now view sections such as Address, Phone, Form of Identification, Alternate Name, Email address, Website (URL) Address, Account Information, and Relationship With Financial Institution where you can enter the required subject details.

6. Click the **Validate** button in the Subject Information section to validate the information present in the Subject Information section and checks for any missing mandatory information

To edit the subject information, follow these steps:

1. Select the record you want to edit in the Subject Information section. The page expands below the section displaying all Subject Information.

2. Modify the necessary information.

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

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

To delete the subject information, follow these steps:

1. Select the record you want to delete in the Subject Information section.

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

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

4. Click **OK**. The Subject information is deleted.

   Validations:

1. If *Is critical information unknown?* is unchecked and you have not entered information for at least one critical field or have not checked all of the subject info associated with Unknown check boxes, the following message displays: *Sub# Subject Record- "Is critical information unknown" is not checked and some mandatory fields are missing. Please make sure you enter values for mandatory Subject details i.e. (Last Name/ Entity Name, First Name, TIN, DOB, address, and Identification Information or mark fields as Unknown.*

2. If you are adding or editing the subject details and select the *Is critical information unknown?* check box after entering information in one or more critical fields, the following message displays: *All critical information of the subject i.e. Last Name/ Entity Name, First Name, TIN, DOB, Address details and Identification Information will be cleared if the critical information unknown field is checked. Click OK to continue and clear values from the mandatory fields or Cancel to modify your selection.*

3. If you select the *Critical Information Unknown* check box, you will not be able to add subject address and identification details and the following message displays: *You are not allowed to add address and identification info when 'Is critical information unknown?' field is true.*

4. In the *Subject Information* tab, if you click on the **Validate** button and if there are no records present in the Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: *There is no Record present to Validate the information.*

5. In the *Subject Information* tab, if you click on the **Validate** button and if there is a blank record present in the Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: *There is Blank Record present to Validate the information. Please enter the information in the record and then Validate.*

6.5.3   Address

The address section provides the location details of the subject involved in the suspicious activity. This option allows you to add new Address details of the subject. You can add new address details only after new Subject Details are added to the selected report. You can also modify and remove the existing Subject Address.

To add a new Subject Address, and modify or remove an existing Subject Address, follow these steps.

1. On the **Subject Information** tab.

2. Select the record to which you want to add the subject Address details. The page expands below the section and it displays the following details: Address, Phone, Form of Identification, Alternate Name, Email address, Website (URL) Address, Account Information, and Relationship With Financial Institution where you can enter the required subject details.

3. On the **Address** section, click **Add**. The Address window displays.

Figure 16: Address Window

4. Enter the required information in the Address window.

> **NOTE**   You must either provide a value for each field or select the Unknown check box if you are not aware of any part of the address.

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

6. Click **OK**. The Subject Address details are saved.

7. Click the **Validate** button in the Address section to validate the information present in the Address section and check for any missing mandatory information.

Validations:

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

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

- You must not enter more than 100 characters in the Address field.
- You must not enter more than 50 characters in the city field.
- For the US, the postal code must contain only numbers, either 5 or 9 in length.
- For the US, the postal code should not end with 0000 and 9999.

To edit the subject address, follow these steps:

1. On the **Address** section, click **Edit**. The Address window displays.
2. Modify the required information.
3. Click **Save**. The following message displays: *Update Operation Successful*.
4. Click **OK**. The subject address details are saved.

To delete the subject address details, follow these steps:

1. Select the record you want to remove in the Address section.
2. Click **Delete** in the Address grid. The following message displays: *Are you sure you want to delete this record*.
3. Click **OK**. The following message displays: *Delete Operation Successful*.
4. Click **OK**. The subject address detail is deleted.

6.5.4 Phone

The Phone section provides the telephone details of the subject involved in the suspicious activity. This option allows you to add new Phone details of the subject. You can add new Phone details only after new Subject Details are added to the selected report. You can also modify and remove the existing Phone Numbers.

To add new subject phone details and modify or remove existing phone details, follow these steps:

1. Go to the **Phone** section.
2. Click **Add**. The Phone window displays.

Figure 17: Phone Window

3. Enter the required information in the Phone window.

| NOTE | The type in the Phone window represents the mode of communication used to interact with the subject. |

4. The following options are available for Type in the Phone window:

    - Fax

    - Mobile

    - Work

    - Home

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

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

7. Click **Clear** to clear the entries in the Phone window and click **Close** to close the Phone window.

8. Click the **Validate** button in the Phone section to validate the information present in the Phone section and check for any missing mandatory information.

Validations:

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

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

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

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

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

To edit the subject phone details, follow these steps:

1. Select the record you want to edit in the Phone section.

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

3. Modify the required information.

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

5. Click **OK**. The subject's phone details are saved.

To delete the subject phone details, follow these steps:

1. Select the record you want to remove in the Phone section.

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

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

4. Click **OK**. The Subject's phone details are deleted.

6.5.5 Form of Identification

Form of identification provides the unique identifier associated with the subject involved in the suspicious activity such as Driver's license, Passport, and so on. This option allows you to add new identification details of the subject. You can also modify and remove the existing identification details.

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

To add the subject identification details, follow these steps:

1. Go to the **Form of Identification** section.

2. Click **Add**. The Form of Identification window displays.

Figure 18: Form of Identification Window

3. Enter the required information in the *Form of Identification* window.

   Table 19 explains the fields in the Form of Identification Details.

Table 19: Form of Identification Details

Fields	Description
Identification Type	Select the Identification type associated with the subject from the drop-down list.
Other	Enter the other identification type associated with the subject if it is not present in the drop-down list.
Identification Number	Enter unique Identification number.
Country	Select the country where the identification was issued that is associated with the subject.
State	Select the state where the identification was issued that is associated with the subject.

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

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

6. Click the **Validate** button in the Form of Identification section to validate the information present in the Form of Identification section and check for any missing mandatory information.

Validations:

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

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

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

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

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

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

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

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

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

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

To edit the subject identification details, follow these steps:

1. Select the record you want to edit in the Form of Identification section.

2. Click **Edit**. The Form of Identification window displays.

3. Modify the required information.

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

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

To delete the subject identification details, follow these steps.

1. Select the record you want to delete in the Form of Identification section.

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

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

4. Click **OK**. The subject identification details are removed.

6.5.6   Alternate Name

Alternate Name is another name of the subject. The Alternate Name section provides the alternate names associated with the subject involved in the suspicious activity. This option allows you to add new alternate name details of the subject. You can also modify and remove the existing alternate name detail.

To add a new alternate name of the subject and modify or remove an existing alternate name, follow these steps.

1. Go to the **Alternate Name** section.

2. Click **Add**. The Alternate name window displays.

3. Enter the required information in the Alternate Name window.

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

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

6. Click the **Validate** button in the Alternate Name section to validate the information present in the Alternate Name section and check for any missing mandatory information.

Validations:

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

* You should not enter more than 150 characters for an alternate name.
* You should not use prohibited words such as AKA, computer-generated, customer, DBA, Non-customer, none, not applicable, other, same, same as above, see above, see narrative, signature card, T/A, unknown, various, and so on.

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

1. Select the record you want to edit in the Alternate Name section.
2. Click **Edit** in the Alternate Name grid. The Alternate Name pop-up window displays.
3. Modify the required information.
4. Click **Save**. The following message displays: *Update Operation Successful*.
5. Click **OK**. The alternate name details are saved.

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

1. Select the record you want to delete in the Alternate Name section.
2. Click **Delete** in the Alternate Name grid. The following message displays: *Are you sure you want to delete this record*.
3. Click **OK**. The following message displays: *Delete Operation Successful*.
4. Click **OK**. The Subject alternate name details are deleted.

6.5.7   Email Address

The Email Address section provides details of the email address associated the subject involved in the suspicious activity. This option allows you to add new email address details of the subject. You can also modify and remove the existing email address.

To add new email details and modify or remove existing email addresses, follow these steps.

1. Go to the Email Address section.
2. Click **Add** in the Email Address section. The Email Address window displays.
3. Enter the required information in the Email Address pop-up window.
4. Click **Save**. The following message displays: *Update Operation Successful*.
5. Click **OK**. The email details are saved.
6. Click the **Validate** button in the Email Address section to validate the information present in the Email Address section and check for any missing mandatory information.

Validations:

1. If you enter an invalid Email address, the application displays the following message: *Invalid Email Id.*
2. The application performs the following validations while entering subject email details:
   * You should not enter more than 50 characters in the Email ID field.
   * One or more Email ID(s) is in invalid format. Email addresses must contain only one "@" sign and a period in the text following the "@" sign.

To edit the subject email address, follow these steps:

1. Select the record to which you want to modify the subject's Email Address details.

2. Click **Edit** in the Email Address section. The Email Address window displays.

3. Modify the required information.

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

5. Click **OK**. The subject's email details are saved.

To delete the subject email details, follow these steps.

1. Select the record you want to delete in the Email Address section.

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

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

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

6.5.8   Website (URL) Address

Website (URL) Address section provides the details of the website (URL) associated with the subject involved in the suspicious activity. This option allows you to add new website details of the subject. You can also modify and remove the existing website details.

To add new subject website details and modify or remove the existing website (URL) address, follow these steps.

1. Go to the **Website (URL) Address** section.

2. Click **Add** in the Website (URL) Address section. The Website (URL) Address window displays.

3. Enter the required information in the URL address window.

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

5. Click **OK**. The Website (URL) Address details are saved.

6. Click the **Validate** button in the Website (URL) Address section to validate the information present in the Website (URL) Address section and check for any missing mandatory information.

Validations:

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

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

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

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

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

1. Select the record for which you want to modify the Website (URL) Address details.

2. Click **Edit** in the Website (URL) Address section. The Website (URL) Address window displays.

3. Modify the required information.

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

5. Click **OK**. The subject Website (URL) Address details are saved.

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

1. Select the record you want to delete in the Website (URL) Address section.

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

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

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

6.5.9   Account Information

The Account Information section provides the details of the accounts associated with the subject involved in the suspicious activity. This option allows you to add new account details of the subject. You can also modify and remove the existing accounts details.

| NOTE | If there are no accounts involved in the suspicious activity, check *If No Account Involved, check this box.* If the *If No Account Involved, check this box* checkbox is checked, then you cannot add any account information. |

To add new subject account details and modify or remove existing accounts, follow these steps:

1. Go to the **Account Information** section.

2. Click **Add**. The *Account Add* window displays.

Figure 19: Account Add Window

Table 20 explains the fields in the Account Details window.

Table 20: Account

Fields	Description
Non-US Financial Institution	Select *No* if the financial institution associated with the account is a US-based financial institution. Select *Yes* if the financial institution associated with the account is a non-US institution.
Financial Institution TIN	Enter the financial institution's TIN number.
Account Number	Enter the account number.

Table 20: Account

Fields	Description
Is Account Closed	Select whether the account is closed or not.
	If you have not selected any value in the field *Is Account Closed,* the application displays the following message: *You have not selected any value for field Is Account Closed.*

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

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

5. Click the **Validate** button in the Account Information section to validate the information present in the Account Information section and check for any missing mandatory information.

   Validations:

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

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

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

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

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

To edit the subject account details, follow these steps:

1. Select the account you want to edit in the Account Information section.

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

3. Modify the required information.

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

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

To delete the subject account details, follow these steps:

1. Select the account you want to delete in the Account Information section.

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

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

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

6.5.9.1 Updating TIN in Account Information Automatically

This section explains how TIN is automatically updated for the selected filing Institution in the following scenarios.

- On the Filing Institution Information tab, when you select the Filing Institution Name, the TIN value associated with the selected Filing Institution name is auto populated and shown in the Account Information section of the Subject Information tab - TIN field. You can modify this TIN number here.

- If you have not added a Filing Institution, the TIN field will be empty in the Account Information section of Subject Information tab. However, you can add the TIN number manually here.

- When you modify the Filing Institution for the report that has already accounts details and click **Save**. The TINs for all the accounts associated with the report will be overwritten with the new Filing Institution TIN value.

- If there are no accounts present in the report or if you select the *No Account Involved* field check box, then there will be no updates on the TIN field if you add or edit Filing Institution.

6.5.10 Relationship with Financial Institution

The relationship with Financial Institution section provides the details of the relation of the subject with the Financial Institutions mentioned in the report. This option allows you to add new relation of the subject with the Financial Institutions. You can also modify and remove the existing relation of the subject with the Financial Institutions.

To add a new subject relationship with a financial institution and modify or remove existing subject relationship with a financial institution, follow these steps:

1. Go to the **Relationship with Financial Institution** section.

2. Click **Add**. The Relationship with Financial Institution window displays.

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

3. Enter the required information in the Relationship with Financial Institution fields.

Table 21 explains the fields in the Add Relationship with Financial Institution window.

Table 21: Add Relationship with Financial Institution

Fields	Description
Financial Institution TIN	Enter the TIN number of the financial institution.
Relationship with Financial Institution	Select the relationship of the subject with the financial institution from the drop-down list. This field provides the following options in the drop-down list: ● Accountant ● Agent ● Appraiser ● Attorney ● Borrower ● Customer ● Director ● Employee ● No relationship to the institution ● Officer ● Owner or Controlling shareholder ● Other
Description (Relationship type "Other")	Enter the relationship of the subject with the financial institution. If the relationship of the subject with the financial institution is anything other than the options provided in the Relationship with Financial Institution drop-down list, then you must select **Other** and provide a description of the relationship.
Status	Select the status of the relationship of the subject with the financial institution from the drop-down list. This field provides the following options in the drop-down list: ● Resigned ● Suspended/Barred ● Terminated ● Relationship continues
Action Date	Select the date of termination of the subject related to the financial institution. **Note:** This field must be updated only if the relationship status is Terminated.

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

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

6. Click the **Validate** button in the Relationship With Financial Institution section to validate the information present in the Relationship With Financial Institution section and check for any missing mandatory information. Also identifies any disallowed combinations of Relationship types and the inclusion of an Action Date.

Validations:

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

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

1. Select the record you want to edit from the Relationship with Financial Institution section.

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

3. Modify the required information.

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

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

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

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

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

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

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

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

6.6   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.

Analyst, Supervisor, and Super User can attach, modify, or delete documents in all statuses except when the report is in View-Only mode.

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

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

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

To add the documents, follow these steps:

1. On the **Documents** tab, click **Add**. The Attach Document window displays.

Figure 21: Attach Document Pop-up Window
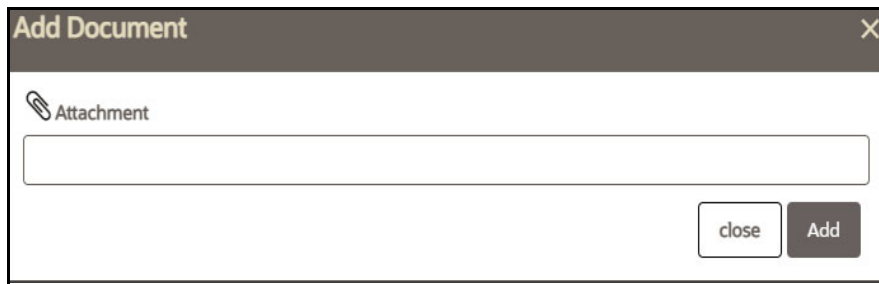
2. Click **Attachment Icon** to add one or more documents. Select the document that must be attached from the local system.

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

4. Click **Close** to view the newly added document in the List of Documents section.

5. To view documents, click **View Document**. A File Download box displays.

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

To delete the attached documents, follow these steps:

1. Select the document you want to delete.

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

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

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

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

6.6.1 Including Documents in the Report

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

To include the attached document, follow these steps:

1. On the **Documents** tab, the documents attached display in the List of Documents section.

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

3. Click **Include in Report**.

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

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

   Validations:

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

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

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

6.7 Narrative

The narrative section of the report is critical to understanding the nature and circumstances of the suspicious activity. The narrative may determine whether the described activity and its possible criminal nature are clearly understood. You must provide a clear, complete, and concise description of the activity, including what was unusual or irregular that caused suspicion.

To update the Narrative section, follow these steps:

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

   Figure 22: Narrative page
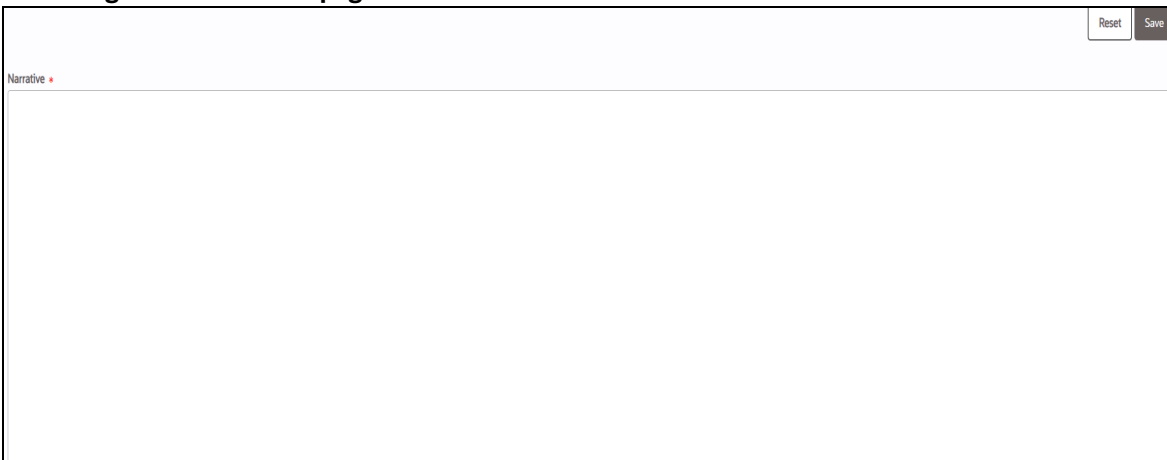
2. Enter the information in the Narrative pane.

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

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

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

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

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

> **NOTE**   You cannot edit the report details when the report is in View mode. Action buttons, such as *Save* and *Reset* are hidden in the Narrative tab when the report is in View mode.

6.8   XSD Validation Details

The XSD Validation Details tab allows to validate report formats/details against the XSD (XML Schema Definition) files. If there are any errors related to XSD, those errors will be listed in the XSD Validation Details tab. This feature helps avoid E-Files being rejected from the FinCEN E-File System due to errors during submission.

This allows Analysts to validate each detail before they request SAR approval, and helps Super Users or Supervisor users validate errors and approve the report. If there are any errors related to XSD, it will not allow them to approve the report until the errors are rectified.

To view errors in SAR details, follow these steps:

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

2. Click the **XSD Validation Details** tab. The XSD Validation Details page is displayed with the list of errors present in the SAR.

   Table 22 describes error details on the XSD Validation Details page.

   Table 22: Error Details

Fields	Description
Date	Displays the date on which the XSD validation errors are recorded.
Section	Displays the name of the tab under which the errors are recorded.
Involved Record	Displays the description of the record which has the error. Involved Record shows an individual record of sections. For example, if there is an error in the branch code in the Financial Institutions tab or Subject Record in the Subject Information tab, and so on.
Error Description	Displays the description of the XSD error.

These error details will help you to go back to the respective tabs such as Filing Institution Information, Financial Institution Where Activity Occurred, Suspicious Activity Information, and so on to rectify the mistakes and take further actions.

6.9   Audit

Use the Audit tab to view the audit history of a report. It provides details of actions performed on the report and comments provided by the users in the various statuses. This tab contains the Regulatory Report Actions section and the Regulatory Report Comments section.

Figure 23: Audit Tab

The Audit tab displays the following grids:

- Regulatory Report Actions

- Regulatory Report Comments

6.9.0.0.1   Regulatory Report Actions

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

Table 23 displays the action fields.

Table 23: Actions

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

6.9.0.0.2 Regulatory Report Comments

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

Table 24 displays the Regulatory Report Comments fields.

Table 24: Regulatory Report Comments

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

7   Acting on Reports

This chapter explains various actions that can be performed on the reports.

Topics:

- Requesting for Approval
- Approving/Rejecting/Closing Reports
- Setting Due Date for Reports
- Reassigning Reports
- Filing Regulatory Reports

7.1   Requesting for Approval

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

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

For example, an Analyst user updates the report details and submits the report for approval. The Supervisor user verifies the report and either Approves, Closes or Rejects the report.

To submit a report for approval, follow these steps:

1. On the **Regulatory Report Details** page, click **Request for Approval**. The Request for Approval Action window is displayed.

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

2. Enter the comments in the Action window. You can enter a maximum of 120 characters.

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

4. Click **Clear** to clear the data in the Action window and click **Close** to close the Action window.

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

NOTE	The Regulatory Report Action section in the Audit tab displays the comments added in the Request for Approval Action window.

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

NOTE	Super User and Supervisor users can edit a report in the Request for Approval status before approving it.

7.2   Approving/Rejecting/Closing Reports

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

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

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

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

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

This section covers the following topics:

- Approving Reports
- Rejecting Reports
- Closing Reports

7.2.1 Approving Reports

To approve a report, follow these steps:

1. On the **Regulatory Report Details** page, click **Approve**. The Approve action window displays.

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

2. Enter the comments in the Action window.

NOTE	The comments box in the Action pop-up window allows entering a a maximum of 120 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 120 characters in the Comments box, the following message displays: *Number of characters exceeded*.

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

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

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

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

7.2.1.1 Re-Approving Reports

The Regulatory Report Details page allows you to re-approve reports. You can re-approve reports when the report is in *Re-Approve Required* status. This action must be performed if the report has been

edited in any way. Taking the action of Re-Approve will re-run the report validations and ensure that the editing did not introduce any report validation errors.

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

To re-approve a report, follow these steps:

1. On the **Regulatory Report Details** page, click **Re-approve**. The *Re-approve Action* window displays.

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

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

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

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

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

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

7.2.2   Rejecting Reports

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

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

To reject a report, follow these steps:

1. On the **Regulatory Report Details** page, click **Reject**. The Reject Action window displays.

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

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

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

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

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

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

7.2.2.1   Updating Rejected Reports

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

7.2.3   Closing Reports

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

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

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

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

To close a report, follow these steps:

1. On the **Regulatory Report Details** page, click **Close**. The Close Action window displays.

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

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

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

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

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

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

7.3   Setting Due Date for Reports

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

The due date is set based on the date the SAR creation request is sent from the OFS ECM to OFS CRR. This is the period during which the SAR must be filed with FinCEN. The Due date is configurable, and by default, it is set to 30 days from the date of SAR creation. It includes only business days excluding, holidays and weekends. This action button is also available on the Report List page so that you can take action on multiple reports.

Table 25 explains the statuses in which the Analyst, Supervisor, and Superuser users can perform the Set Due Date action.

Table 25: User Roles and Set Due Date Action

Menu	Role			
	Analyst	**Supervisor**	**Super User**	**Auditor**
Open	X	X	X	
Requested for Approval	X	X	X	
Approved				
Rejected	X	X	X	
Rejected from E-File	X	X	X	
E-File Generated				

NOTE	An Auditor can only view the Due Date.

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

1. Go to the **Report List** or **Report Details** page of a report. On the Report List page, you can select multiple reports and set the due date. On the Report Details page, you can set the due date for the selected report.

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

Figure 24: Set Due Date Window

3. Select a date from the calendar icon.

4. Enter the comments in the Comments box.

NOTE	If you click **Save** without entering the due date and comments, an error message is displayed.

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

6. Click **OK**. The Report Details page is displayed with a new set due date.

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

7.4   Reassigning Reports

This section describes how to reassign a report or reports to a different user. If a report's initial analysis reveals an issue that another user must review, you can reassign such reports to the most appropriate users.

NOTE	By taking this action, the status of the report doesn't change.
	You cannot reassign when one or more reports are in different statuses. You must select reports of the same status to reassign.

To reassign a report or reports to another user, follow these steps:

1. On the **Regulatory Report Details** page, select one or more reports and click **Reassign**. The Reassign window is displayed.

NOTE	If you select a report or reports with Closed status and try to reassign, an error message is displayed.

2. Select a user from the drop-down list.

3. Enter the comments in the Comments box. You can enter a maximum of 255 characters.

4. Click **Save**. A confirmation message is displayed. The user assigned to these reports is displayed in the Assigned To column on the Report List page.

7.5   Filing Regulatory Reports

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

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

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

For more information on user roles, see Table 5.

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

8   Filing Regulatory Reports

This chapter describes the instructions for generating an E-File, filing a regulatory report at FinCEN, uploading the acknowledgment, and completing the SAR process.

Only users mapped to the role of *Super User* can generate an E-File.

Topics:

- Overview
- Approved Reports
- E-Filed Status
- Acknowledgement

8.1   Overview

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

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

8.1.1   Workflow for Filing the Regulatory Report

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

Figure 25: Filing Regulatory Reporting Workflow
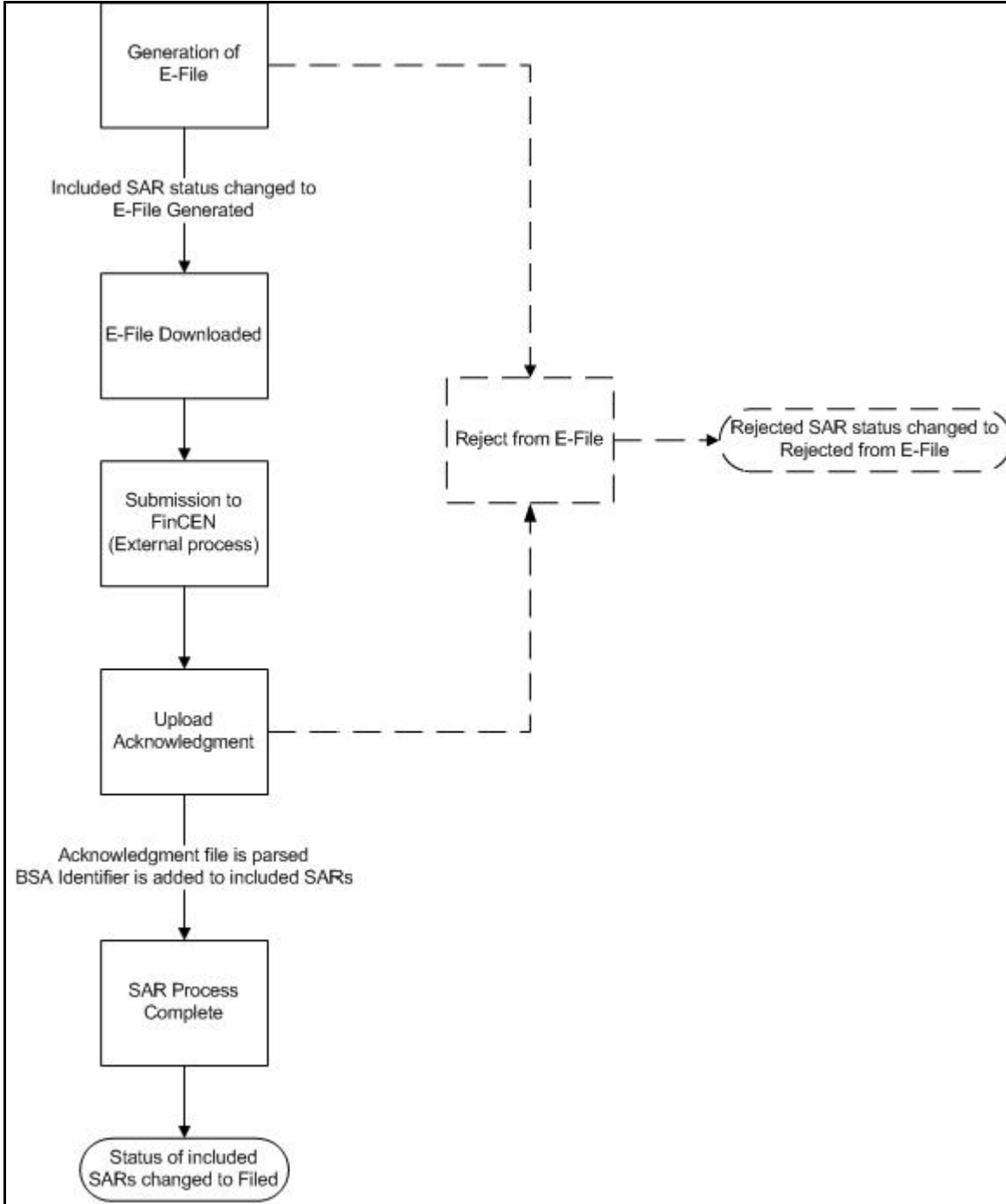
8.2 Approved Reports

This section explains how to filter the approved reports, generate an E-File, and act on the approved reports.

Topics:

- Searching Approved Reports

- Generating E-File
- Rejecting Approved Reports
- Closing Approved Reports

8.2.1   Searching Approved Reports

The Approved Reports tab enables you to search for and display reports that are in an Approved status and are ready for e-filing. It is from this tab that you can generate the E-File.

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

To search for approved reports, follow these steps:

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

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

Figure 26: Approved Reports List

3. To further filter the list of Approved reports, enter criteria in one or more filters.

    Table 26 describes the list of filters in the Approved Search Bar fields.

Table 26: Approved Reports Search Bar Field Descriptions

Fields	Description
Report Name	Enter the report name.
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.
Event/Case ID	Enter the Case ID for the report.
Approved By	Select the name of the approver from the drop-down menu to search for reports approved by the selected user.
Approved =>	Select the approved date from the calendar to display reports approved from the selected date. **NOTE**: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022. If you do not enter the date range, a warning message is displayed.
Approved<=	Select the approved date from the calendar to display reports approved until this date. **NOTE**: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022. If you do not enter the date range, a warning message is displayed.

Table 26: Approved Reports Search Bar Field Descriptions

Fields	Description
Created By	Select the user role(s) from the drop-down list to search for reports created by the selected user roles.

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

8.2.2   Generating E-File

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

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

To generate an E-File, follow these steps:

1. Go to the **Approved Report List** section, select the required report(s) for which you want to generate an E-File.

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

3. Click **OK**. The status of the regulatory report changes to *E-File Generated*.

NOTE	- For manual E-File generation, the E-File naming convention will be: <E-file number>.xml. For example: 1123.xml. - For SDTM, the E-File naming convention will be: <SARXST.<DATETIMESTAMP>.<SDTM_UID>[.xml|.zip]>. For example: SARXST.20220826161243.sdtmprtgobnk.xml. - The reports on which **Generate E-File** action is taken are moved from the *Approved Reports* list to the *E-File* list. - If you try to generate E-File for the same report(s) which is already locked by another user, the following message displays: *One or more reports selected by you are locked by another user for generating E File or it has already been generated. Click OK to refresh the list* - If you try to E-File or reject a report which is already locked by another user, the application displays the following message: *<Report nm1>-<user>, <Report nm2>-<user>….. One or more r Report(s) selected by you are locked by another user and not available for action.* - If you try to E-File a report which is already generated or rejected, the application displays the following message: *<Report nm1>, <Report nm2>….. Report(s) selected by you has already been actioned to either include in an E-File or rejected from the E-File. So you cannot perform this action.*

8.2.3   Rejecting Approved Reports

Use this section to reject one or more reports that are in Approved status in an E-File. 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. Users can rework the report and request approval. This workflow continues till the report is closed or the report is filed at the FinCEN E-File system.

To reject approved reports, follow these steps:

1. Go to the **Approved Report List** section.

2. Select the required report or reports and click **Reject**. A confirmation message is displayed.

> | **NOTE** | If you try to reject a report which is already locked by another user, the application displays the following message: *<Report nm1>-<user>, <Report nm2>-<user>….. One or more r Report(s) selected by you are locked by another user and not available for action.* |

8.2.4 Closing Approved Reports

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

The Approved Report section allows you to close reports without filing. You can close reports when the reports are in Approved status. After the report is closed, you cannot edit the report details and the report is in View mode. If a report is closed, the status of the report changes to *Closed* and you cannot take any action on this report.

To close approved reports, follow these steps:

1. Go to the **Approved Report List** section.

2. Select the required report or reports and click **Close**. A confirmation message is displayed.

8.3 E-Filed Status

The E-Filed Status tab provides the list of E-Files so that you can take different actions on the selected E-File such as Downloading the E- File, Submitting the E-File at FinCEN, Saving E-File acknowledgments from FinCEN, and so on.

Topics:

- Searching E-Files
- Using E-File List
- Adding Comments to E-File
- Uploading E-File Acknowledgment
- Rejecting Reports from an E-File
- Completing the SAR Process
- Continuing Activity Report
- Adding Comments to E-File
- Export to Excel

8.3.1 Searching E-Files

This section explains how to filter E-Files using different search criteria. The filtered E-Files are displayed in the E-File list section. From this E-File List section, you can open the E-Files to take further action.

To search E-Files, follow these steps:

1. Go to the **E-Filed Status** tab.

Figure 27: E-File List

2. Enter the information in the fields. Table 27 describes the E-File search bar fields.

Table 27: E-File Search Bar Fields

Fields	Description
Report Name	Enter the name of the regulatory report for which the E-File is generated. Wildcard searches are supported using % as the wildcard symbol.
Jurisdiction	Select the jurisdiction from the drop-down list to display E-Files generated for the reports mapped to the selected jurisdiction.
Case ID	Enter the Case ID of the report.
E-File Generated By	Select a user role to search for E-Files generated by the selected user.
E-File Generated =>	Select the E-File generated to date from the calendar to display E-Files created from this date. **NOTE**: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022). If you do not enter the date range, a warning message is displayed.
E-File Generated <=	Select the E-File generated to date from the calendar to display E-Files generated until this date. **NOTE**: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022). If you do not enter the date range, a warning message is displayed.

3. Click **Search**. The relevant search list is displayed in the **E-File List** section.

8.3.2   Using E-File List

- Viewing E-File Details
- Downloading E- File and Attachment
- Submitting the E-File at FinCEN
- Saving E-File Acknowledgments from FinCEN

8.3.2.1   Viewing E-File Details

From the E-File list results page, you can view the generated E-File details. Each E-File provides of the list of Reports included in the E-File. This details displays the Report Number, Report Name, Due Date and so on. The E-Files are arranged in ascending order of SAR document number.

To view the generated E-File file details, follow these steps:

1. Go to the **E-Filed Status** tab.

2. Click **E-file Number** link on the E-File Number column. This E-File displays the number of SARs included in the selected E-File under the Report List section below the E-File List.

8.3.2.2 Downloading E- File and Attachment

After you generate an E-File, the OFS CRR application generates a *.xml* file with its content formatted according to Financial Crimes Enforcement Network (FinCEN) specifications for electronic filing. You must save this *.xml* file and submit it to FinCEN's BSA E-Filing System. You can also download an E-File attachment, which contains .csv document that are included in the SAR.

To download the generated E-File and attachment, follow these steps:

1. On the **E-Filed Status** tab, click **Download link** in the E-File column. A File Download window displays. Click **Save** to copy .xml file to your system.

2. To download the E-File attachments, click **Download** link in the Attachments column for the corresponding E-File. A file download window prompts to **Open** or **Save** the attachments zip file. The attachments zip file contains the .csv file included for a report from the Regulatory Reports Details page.The naming convention of this zip file is - *Attachment.<E-File Number>.xml.zip*. For example, Attachment.5244.xml.zip.

8.3.2.3 Downloading Message File

When you upload an E-File to the FinCEN's BSA E-Filing System, it will validate xml and revert with a message file. If an E-File is accepted or accepted with warning then FinCEN will send you a valid acknowledgment after few days.

If FinCEN has rejected or accepted the E-File, the status of the message is displayed in the *Message Status* column. The date the message is uploaded to the CRR application via Message batch is displayed in the *Message Date* column. The message file is displayed in the *Message File* column with a Download link. You can download the file to verify the message file for further action.

> **NOTE** This is applicable only if you have enabled SDTM mode.

To download the Message File, follow these steps:

On the **E-Filed Status** tab, click **Download** link in the Message File column. A File Download window displays. Click **Save** to copy the file to your system.

8.3.2.4 Submitting the E-File at FinCEN

There are two ways to submit an E-File at FinCEN - Automatic (SDTM) mode and Manual mode.

Automatic (SDTM) Mode

If you select submission mode as S and enable SDTM as Y then E-Files are transferred automatically to the designated directory. If you select submission mode as S and enable SDTM as N then you have to run the E-File batch to transfer E-Files to the designated directory.

The FinCEN's E-Filing system retrieves these transferred E-Files from the designated directory and uploads them to its system.

For more information, see *Configuring Secure Direct Transfer Mode (SDTM)* section in Administration Guide.

Manual Mode

If you select submission mode as M then you have to manually submit the E-Files in the FinCEN's E-Filing system and you have to download a confirmation message XMLs from the same system.

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

1. Login to the **BSA E-Filing System** website (http://bsaefiling.fincen.treas.gov.)

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

Figure 28: Open Existing Form Window

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

Figure 29: BSA E-Filing SAR Batch Form

BSA E-Filing SAR Batch Form   Version Number: 1.0

The attachments may contain SAR filings and the supporting documents for SAR filings .

The form can only be submitted with one batch file and one attachment file. If more than one file is attached for batch or attachment, an alert window will be displayed and the form cannot be submitted. Only one batch file and one attachments file may be attached to each form. If there is a need to submit multiple batch files, use a separate form for each file. A batch file may contain multiple filings. The attachment file must be a zip file, in which one supporting document at most per filing is allowed. Each supporting document must be a comma separated (.CSV) file and must not exceed 1MB. Please click here for more information.

Do not use the built-in Adobe Reader attachments functionality to add or delete files on this form. Use the "Add File" and "Delete File" buttons on this form instead. This software automatically compresses files during the upload process.

Do not submit any test files into the BSA E-Filing system without first coordinating with the Help desk at 1-866-346-9478 [option 1] or e-mail at BSAEFilingHelp@fincen.gov. The Help Desk regular hours of operation are 8:00 AM - 6:00 PM East Coast Time, Monday - Friday. Please note that the Help Desk is closed on federal holidays.

Filing Name:

Batch File:

| Add File | Delete File | View/Save File |

Attachments File:

| Add File | Delete File |

Number of Forms in Batch:

| Save | Validate | Submit | Print | Close |

Affidavit

Under penalties of perjury, I declare that I have examined this transmittal, including accompanying documents, and to the best of my knowledge and belief it is correct and complete. In the case of documents without recipient's identifying numbers, I have complied with the requirements of the law in attempting to secure such numbers from the receipts. I declare that this filing represents all Documents filed during this reporting period except for those transactions reported on paper.

| Sign with PIN | Title: | Date: |

4. Enter the information in the required fields.

Table 28 describes fields in the BSA E-Filing SAR Batch.

Table 28: BSA E-Filing SAR Batch Form

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

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

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

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

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

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

   ▪ Transmitted

   ▪ Transmitted with Warnings

   ▪ Rejected

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

9. Click **OK**. The E-File is successfully submitted at FinCEN.

8.3.2.5   Saving E-File Acknowledgments from FinCEN

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

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

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

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

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

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

Figure 30: BSA E-Filing Secure Message Reply Form Window

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

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

8.3.3   Uploading E-File Acknowledgment

There are two ways to upload an acknowledgment - Automatic (SDTM) mode and Manual mode.

Automatic (SDTM) Mode

An Acknowledgement batch must be executed to parse an acknowledgement received from the FinCEN E-Filing system upon submitting an E-File. The FinCEN's E-Filing system transfers acknowledgements to the configured Acknowledgment directory. Once the batch is successful, all the acknowledgements are parsed against the respective E-Files and acknowledgement XMLs are transferred to the Archive directory. These acknowledgements are populated in the Acknowledgment tab of OFS CRR US SAR application UI.

> **NOTE**   If you have enabled SDTM mode, you can not upload acknowledgement manually.

For more information, see *Configuring Secure Direct Transfer Mode (SDTM)* section in Administration Guide.

Manual Mode

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

To upload the acknowledgment, follow these steps:

1. Go to the **E-Filed Status** tab.

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

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

Figure 31: SAR Upload Acknowledgment

4. Enter the details in the SAR Acknowledgment window.

Table 29 describes fields in the SAR Acknowledgment window.

Table 29: SAR Acknowledgment Window Field Descriptions

Fields	Descriptions
E-File Name	Displays the E-File name. Note: This field is auto-generated
Ack Updated By	Displays the name of the user role who is updating the acknowledgment. **Note**: This field is auto-generated.
Ack Received On	Select the date from the calendar on which the acknowledgment was received.
Ack Number	Enter the acknowledgment number that is received from FINCEN.
EFile Comments	Enter the required comments.
Logical File Name	Enter a Logical File Name for the acknowledgment.

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

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

7. Click **OK**.

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

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

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

   ▪ After you upload the acknowledgment file successfully into the OFS CRR application, the *XML* file can be viewed and saved from the E-File list results. To view the acknowledgment file, select a record and click [icon]. A file download window prompts to **Open** or **Save** the *XML* file.

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

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

   ▪ Report statuses are updated based on the Acknowledgment/Message XML received from FinCEN upon uploading Acknowledgment. The status of the reports changes to Accepted, Acknowledgment - Accepted with Warnings, and Acknowledgment - Rejected.

8.3.4   Rejecting Reports from an E-File

You can reject reports from an E-File at any point in time before completing the SAR process. After a SAR report is rejected from an E-File, it is removed from the reports list and the status of the rejected report changes to *Rejected from E-File*.

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

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

In the SDTM mode, when rejected Message XML is uploaded via batch while parsing the Message.xml if the value for attribute "Level" is as FATAL or WARN, the associated reports in the corresponding E-File will be automatically rejected. This will be captured in the Audit history for each report being rejected. It will also have associated rejected Message XML, which can be downloaded from the Attachment column in the Audit tab.

With the reports left after the automatic rejection of reports, a new E-File will be regenerated and will be transferred to the configured location as per the transfer settings done for SDTM mode.

With the reports, left after the automatic rejection of reports, a new E-File will be regenerated and will be transferred to the configured location as per the transfer settings done for SDTM mode..

After an E-File is uploaded and accepted by FinCEN, you cannot reject SARs from the E-File until the acknowledgment file is uploaded and parsed. If you reject a report after submission but before processing the acknowledgment files there will be a mismatch in the files referenced in the acknowledgment file and the current E-File. If a report is rejected prior to uploading the acknowledgment into the application, then you have to re-submit the E-File at FinCEN's BSA E-Filing System to get the latest acknowledgment file.

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

10. Go to the **E-Filed Status** tab.

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

12. Click [icon] to view the E-File details.

13. From the **Report** list page, select the required reports and click **Reject**. An E-File Rejected window displays.

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

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

15. Click **OK**. The rejected E-File is removed from the E-File List results.

8.3.5   Completing the SAR Process

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

To complete the SAR process, follow these steps:

1. Go to the **E-Filed Status** tab.

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

3. Select the E-File for which you want to complete the SAR process.

4. Click the **SAR Process Complete**. A SAR Process Complete dialog is displayed. Enter the required comments and click **Save**. This comment is displayed in E-File list Completion Comment column. The following message displays: *Update Operation Successful*.

5. Click **OK**.

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

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

8.3.6   Continuing Activity Report

A continuing report is filed on suspicious activity that continues after an initial SAR is filed with FinCEN. The FCCM ECM and CRR solutions can be configured to assist with this process.

In the ECM system, when you close and file a SAR on an AML case, a new Continuing Activity (AML_CA) case is created, and an Initial Report is created in the CRR system.

In the CRR system, when an initial SAR is filed with FinCEN an Acknowledgement generated by the FinCEN E-File System. For more information on the Acknowledgement, see Acknowledgement section. If using SDTM integration with FinCEN, this Acknowledgement is automatically processed. If not using SDTM, you can complete the suspicious activity report process by performing the Complete SAR Process action. For more information on SDTM, see Configuring Secure Direct Transfer Mode (SDTM) section in USSAR Administration Guide.

Once the Acknowledgment is processed, information about the SAR filing will be available in the Previous Report Summary tab of the CAR case in the ECM system.

The Continuing Activity (CAR) case allows investigators to review activities that occurred after filing the SAR on the previous case. This case must be investigated and concluded within your firm's review period, typically 90-120 days. After this period, if the individual involved in the case continues to be engaged in reportable behavior, a continuing SAR must be filed.

When you file a SAR for the CAR case, the relevant information of the previously filed report will be provided to the Continuing Activity filing and pre-populated in the relevant fields.

The workflow continues in both CRR and ECM systems till the case is closed in the ECM system.

When Continuing Activity Report SAR is generated, the following field details are auto-populated in the CRR application.

-   Filing Institution Information tab

    -   Type of Filing Section: The Continuing Activity Report box is auto checked.

    -   Filing Institution Information section: Prior Report Doc Number is auto populated.

-    Suspicious Activity Information tab: field 30. Activity Date from and To and field 31. Cumulative Amount details are auto populated.

8.3.7   Adding Comments to E-File

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

To add comments to an E-File, follow these steps:

1. Go to the **E-Filed Status** tab.

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

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

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

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

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

7. Click **Close**. The E-File List results page displays.

8.3.8 Export to Excel

In the E-File List, you can export the report details into an Excel template.

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

1. Go to the **E-File List** page.

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

> | NOTE | All the reports in the E-File List are exported into an Excel template. You cannot export individual reports into Excel. |

3. Set Document Type as *Excel* and select Form Data/Grid Data as *Grid Data*.

4. Select Include Mapper Information and Include Search Information.

5. Select Document Type from the drop-down list (Word, Excel, or PDF).

6. Select Template from the drop-down list.

7. Select Yes or No to Display form Name

8. Click **Export** in the Export Properties dialog box.

9. When processing is complete, the data displays in an Internet Browser window and the file is downloaded to your local system with a dialog box.

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

11. Select a directory location where you want to save the file.

8.4 Acknowledgement

An Acknowledgement is a receipt generated by the FinCEN E-File System when you submit an E-File. After submitting an E-File, the FinCEN E-File System sends an acknowledgement. The

acknowledgement file contains a BSA Identifier and corresponding acknowledgement errors associated with each SAR element received via automatic or manual submission.

This feature helps filter acknowledgement receipts processed by the FinCEN E-File System for further verifications in the Acknowledgement tab of the OFS CRR US SAR application.

To search and view the acknowledgement receipts, follow these steps:

1. On the **File Reports** page, click the **Acknowledgements** tab. The **Acknowledgement Receipts Search and List** page is displayed.

Figure 32:   Acknowledgement Search and List

2. Enter the following information in the **Acknowledgement Search** page as tabulated.

Table 30 describes fields for the acknowledgement search. Fields marked with an asterisk * are mandatory.

Table 30: Acknowledgement Search

Fields	Description
E-File Number	Enter the E-File number.
Acknowledgement Uploaded Date >= *	Select the acknowledgement uploaded date to view acknowledgment receipts having a date greater than or equal to the specified date (less than the current date). Using this criterion, you can view the acknowledgment uploaded during the date range. For example, acknowledgment uploaded on or after March 26, 2022. **NOTE**: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022). If you do not enter the date range, a warning message is displayed.
Acknowledgement Uploaded Date <= *	Select the acknowledgment uploaded date to view acknowledgement receipts having a date lesser than or equal to the specified date (not greater than the current date). Using this criterion, you can view the acknowledgment uploaded during the date range. For example, acknowledgment uploaded on or before March 26, 2022. **NOTE**: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022). If you do not enter the date range, a warning message is displayed.
Report Number	Enter report number.

3. Click **Go**. The relevant search list is displayed with Acknowledgement Name, Efile Name, Filing Date, Status, BSA Tracking ID.

4. To view acknowledgment and report detail, select the required record number and click on the row from the list. The **Acknowledgment Errors** pane is displayed. This pane details the Report

ID, Level (Fatal, warning, and so on), Context (issues related to address, phone, and son), Code (FinCEN code), Description (reason for rejection).

OFSAA Support Contact Details

Raise a Service Request (SR) in My Oracle Support (MOS) for queries related to OFSAA applications.

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- Did you find any errors?

- Is the information clearly presented?

- Do you need more information? If so, where?

- Are the examples correct? Do you need more examples?

- What features did you like most about this manual?

If you find any errors or have any other suggestions for improvement, indicate the title and part number of the documentation along with the chapter/section/page number (if available) and contact the Oracle Support.

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