

# Oracle® OFS RR Cloud Service

## goAML User Guide



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# 1

## Preface

Oracle Financial Services Compliance Regulatory Reporting Cloud Service goAML User Guide.

### 1.1 Audience

This document is intended for users who are responsible for provisioning and activating Oracle FCCM Cloud Service or for adding other users who would manage the services, or for users who want to develop Oracle Cloud applications.

### 1.2 Help

Use Help Icon  to access help in the application. If you don't see any help icons on your page, click your user image or name in the global header and select Show Help Icons. Not all pages have help icons. You can also access the <https://docs.oracle.com/en/> to find guides and videos.

### 1.3 Related Resources

For more information, see these Oracle resources:

- Oracle Public Cloud: <http://cloud.oracle.com>
- Community: Use <https://community.oracle.com/customerconnect/> to get information from experts at Oracle, the partner community, and other users.
- Training: Take courses on Oracle Cloud from <https://education.oracle.com/oracle-cloud-learning-subscriptions>.

### 1.4 Comments and Suggestions

Please give us feedback about Oracle Applications Help and guides! You can send an e-mail to: <https://support.oracle.com/portal/>.

## About goAML STR

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

In today's global economy, terrorist financing and money laundering have assumed heightened importance. Money laundering and the financing of terrorism are global problems that threaten the security and stability of financial institutions and lead to undermining economic prosperity.

A lot is being done to combat money laundering at the global level. Government Office Anti-Money Laundering (goAML) is a UNODC response to combat money laundering. It is an intelligence analysis system intended to be used by the FIU (Financial Intelligence Unit). FIUs have a big role to play as they have access to financially related information that provides a base for financial investigations.

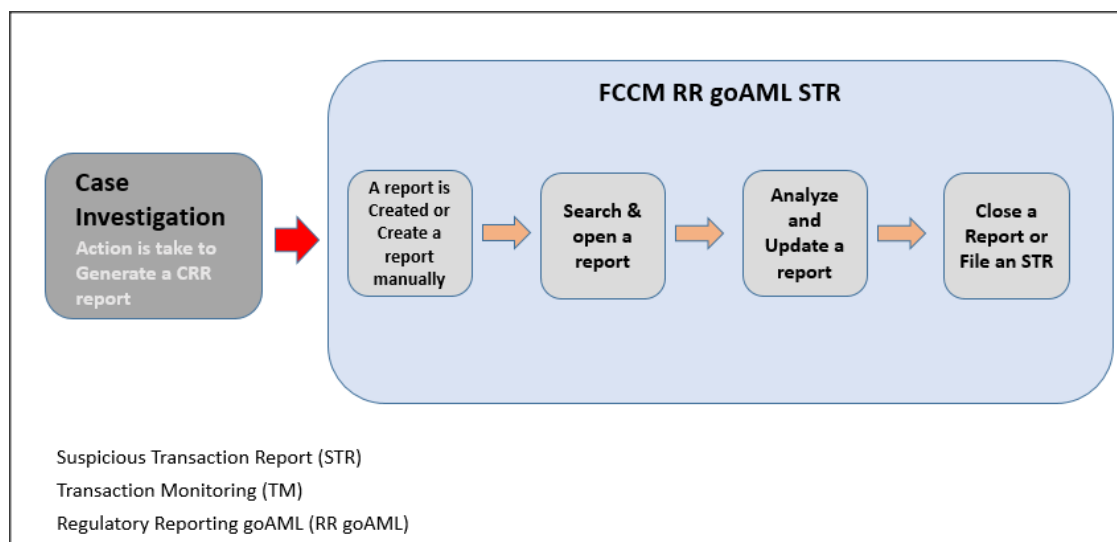
An FIU is responsible for receiving, analyzing, and processing reports required from financial institutions or persons referred to in national anti-money laundering legislation. This template allows the banks to generate the final Suspicious Transaction XML Report that is submitted to their regulator through the goAML application.

### 2.1 OFS CRR CS goAML Cloud Service

The Oracle Financial Services Compliance Regulatory Reporting Cloud Service (OFS CRR CS) goAML STR application is used to analyze the reports and take appropriate action on the report for a resolution.

Reports are created in the OFS CRR CS goAML STR application as a result of the Generate goAML STR action taken on a case or cases in the Oracle Financial Services Case Management application. The business data (transaction, account, and entity details) and operational data (narratives, documents, and comments) related to the case which led to the creation of a report are available in the OFS CRR CS goAML STR application. Using this information, authorized users analyze reports and report them to the FIU or close them by providing appropriate details.

Figure 2-1 Report Life Cycle in the OFS CRR CS goAML STR Application



- **Generatean OFS CRR RR Report:**After analyzing a suspicious case, if it is required to report to the regulator, you can take action to generate a report. For more information, see the Acting on Cases chapter in the OFS TM User Guide
- **Createa Report:**A report is created in the OFS TM Case Investigation application and the related information is passed to the OFS CRR CS goAML STR application using web service. The newly created report is available in the OFS CRR CS goAML STR application and it is assigned to a spe- cific user with a due date to take appropriate action by that date. When you identify a report of suspicious behavior that is not reported through the OFS TM Case Investigation application but want to report it to the regulator, you can manually create a new report using the Create New Report option in the OFS CRR CS goAML STR application.
- **Search and Open a Report:** To analyze the existing reports, you must open reports from the repost list or search using basic, advanced, or views search criteria. For more information, see Opening a Report
- **Analyze a Report:** To take any kind of action on a selected report, you must thoroughly analyze the details. You must verify the details of the report such as involved accounts, transactions, reporting entity details, related documents, narratives, and audit history.
- **Act on a Report:** Post analysis, you must take action on the selected report to close or report it to the regulator based on your privileges.

## 2.2 User Workflow

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

When a report is created in the OFS CRR CS goAML STR application through the OFS TM Case Investigation application, the report details are auto-populated with information from the case, which triggered the action to generate the report. Users mapped to the role of Analyst can update a report that is in Open status and request the report's details for approval. During the edit and review process, the report is available for view as a draft report. A Supervisor can approve, rework, or cancel the filing of reports after the Analyst requests for approval. Supervisors can also edit report details and approve reports directly if required.

If required, the Supervisor can send the reports for rework when the report is in Request for Approval status. The Analyst must then rework and re-submit the report for approval. This process continues until the report is approved or canceled. Authorized users can reopen the canceled reports. The report status then changes to Reopened. For the complete list of actions, the Analyst, Auditor, or Supervisor can perform on various report statuses, see

[Table 2-1](#). For more information on user roles, see

[Table 2-2](#).

**Table 2-1 Action that can be performed in various statuses**

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

**Table 2-2 User Statuses**

| Status                 | Analyst       | Supervisor    | Auditor   |
|------------------------|---------------|---------------|-----------|
| Open                   | View and Edit | View and Edit | View-only |
| Reopened               | View and Edit | View and Edit | View-only |
| Requested for Approval | View-only     | View and Edit | View-only |
| Approved               | View-only     | View-only     | View-only |
| Rework                 | View and Edit | View and Edit | View-only |
| Submitted              | View-only     | View-only     | View-only |
| Canceled               | View-only     | View-only     | View-only |



# 3

## Getting Started

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

**Topics:**

### 3.1 User Access

This chapter provides different user roles in the OFS CRR CS goAML STR.

**Table 3-1 User Access**

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

## 3.2 Accessing the OFS CRR RR goAML STR Application

The OFS CRR goAML STR application is qualified to run on Microsoft Edge Chromium or Google Chrome web browsers.

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

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

1. Enter the URL in the web browser using the following format:  
<Protocol>://<HostName>:<Port\_Number >/crr/login <Enter a step example.>
2. The Transaction Monitoring Application login page is displayed.
3. Enter the login field details.

**Table 3-2 Login Fields**

| Fields    | Description                                                                                  |
|-----------|----------------------------------------------------------------------------------------------|
| User Name | Enter the unique identification of the user. You can enter up to twenty alphanumeric values. |
| Password  | Enter the unique password of the user. You can enter up to twenty alphanumeric values.       |

4. Click **Sign in**. The **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** landing page is displayed.
5. In the Left Hand Side (LHS) Navigation List, click **Compliance Regulatory Reporting**. The Compliance Regulatory Reporting tasks list is displayed.

## 3.3 Managing Preference

The preferences section enables you to set your OFS CRR default Home Page, time zone, and language.

To set the user preferences, follow these steps:

1. On the **Application** page, select Preferences from the **Application User** drop-down menu. The Preferences window is displayed.
2. Enter the required information in the **User Preference** fields.

**Table 3-3 User Preference**

| Fields     | Description                                                                                 |
|------------|---------------------------------------------------------------------------------------------|
| Start Page | Select the default page, which you want to display as your Home Page                        |
| Time Zone  | Select the time zone you prefer from the Time Zone drop-down                                |
| Locale     | Select the language you prefer from the Locale drop-down list. By default, it is US English |

3. Click **Save** to update the preference.

# 4

## Searching a Report

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

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

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

### 4.1 Basic Search

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

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

1. Go to the **Report Summary** page. By default, the **Basic Search** option is displayed.
2. Enter the following information in the Basic Search pane as tabulated.

**Table 4-1 Basic Search Fields**

| Fields    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Report ID | Enter one or more report IDs you want to search. For multiple report IDs, separate the report IDs with a comma (for example, 660, 671). Ensure that you do not enter a space after the comma. Report IDs are not case-sensitive. This overrides other filter criteria.<br><br>For example, if you enter Report ID in search criteria, then this option overrides other details that you have entered previously in other search criteria such as Report Status, Jurisdiction, and so on. <b>NOTE:</b> You can enter a maximum of 50 numeric values in this field. |

**Table 4-1 (Cont.) Basic Search Fields**

| Fields      | Description                                                                                                                                                                               |
|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Report Name | Enter the report name you want to view. This field supports a wildcard search. You can use '%' and _ as wildcard indicators. NOTE: You can enter a maximum of 50 characters in this field |

- Click **Search**. Report or reports matching your search criteria are displayed.

## 4.2 Advanced Search

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

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



- In the Summary Report page, click the **Advanced Search**. The Advanced Search window is displayed.



Use the Expand or Collapse buttons to maximize or minimize the window.

- Enter the following information in the Advanced Search window as tabulated. You can enter all the search fields or required fields. If you use more search fields, it will narrow down your search results.

**Table 4-2 Advanced Search Fields**

| Fields                   | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Report ID                | Enter one or more report IDs you want to search. For multiple report IDs, separate the report IDs with a comma (for example, 660, 671). Ensure that you do not enter a space after the comma. Report IDs are not case-sensitive. This overrides other filter criteria.<br><br>For example, if you enter Report ID in search criteria, then this option overrides other details that you have entered previously in other search criteria such as Report Status, Jurisdiction, and so on. <b>NOTE:</b> You can enter a maximum of 50 numeric values in this field. |
| Report Name              | Enter the report name you want to view. This field supports a wildcard search. You can use '%' and _ as wildcard indicators. NOTE: You can enter a maximum of 50 characters in this field                                                                                                                                                                                                                                                                                                                                                                         |
| Report Status            | Select one or more statuses from the drop-down list. For example, Approved, Reopened, and so on.                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Reported Subject Name(s) | Enter the name of the subject(s) who reported. This field supports a wildcard search. You can use the '%' and '_' as wildcard indicators.                                                                                                                                                                                                                                                                                                                                                                                                                         |

Table 4-2 (Cont.) Advanced Search Fields

| Fields                | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Case ID               | <p>Enter the Case ID to view reports associated with the specific Case ID. For multiple case IDs, separate them with a comma. Ensure you don't enter a space after the comma. For example, CA660, ca671. This overrides all other filter criteria.</p> <p><b>NOTE:</b> This search is not case-sensitive. You can enter a maximum of 255 characters in this field.</p> <p>Case ID is the identifier that has triggered the creation of a report in the OFS CRR AUSMR application.</p> |
| Report Offence        | Select the type of offence that led to the creation of this report. For example, Money laundering, Terror Financing, and so on                                                                                                                                                                                                                                                                                                                                                        |
| Last Modified By      | <p>Enter the customer or customer's name reported as subjects in the report.</p> <p>This field supports a wildcard search. You can use the '%' and '_' as wildcard indicators.</p> <p>Select the user who last modified the report. Use this criterion to view all the reports modified by the user. For example, Analyst1, Supervisor2, and so on.</p>                                                                                                                               |
| Last Modified Date >= | <p>Select the last modified date to view reports having a last modified date greater than or equal to the specified date. Using this criterion, you can view the reports modified during the date range. For example, reports modified on or after July 27, 2020</p> <p><b>NOTE:</b> You can either perform a range search using 'Last Modified Date &gt;=' and 'Last Modified Date &lt;=' or use them independently.</p>                                                             |
| Last Modified Date <= | Select the Last Modified Date from the calendar to view reports having a last modified date lesser than or equal to the specified date. Using this criterion, you can view the reports modified during the date range. For example, reports were modified on or before July 27, 2020.                                                                                                                                                                                                 |
| Approved By           | Select the name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.                                                                                                                                                                                                                                                                                                                                                      |
| Approved Date >=      | Select the approved date to view reports having an approved date greater than or equal to the specified date. Using this criterion, you can view the reports approved during the date range. For example, reports approved on or after December 26, 2019.                                                                                                                                                                                                                             |
| Approved Date <=      | Select the approved date from the calendar to view reports having an approved date lesser than or equal to the specified date. Using this criterion, you can view the reports that are approved during the date range. For example, reports are approved on or before December 26, 2019.                                                                                                                                                                                              |

**Table 4-2 (Cont.) Advanced Search Fields**

| Fields            | Description                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Submitted By      | Select the name of the user or users to search for reports submitted by the selected user. For example, Analyst1, Analyst2, and so on.                                                                                                                                                                                                                                                   |
| Submitted Date >= | Select the submitted date to view reports having a submitted date greater than or equal to the specified date. For example, reports submitted on or after July 18, 2020.                                                                                                                                                                                                                 |
| Submitted Date <= | Select the submitted date to view reports having a submitted date lesser than or equal to the specified date. For example, reports submitted on or before July 18, 2020.                                                                                                                                                                                                                 |
| Created By        | Select the user or users who have created the report.                                                                                                                                                                                                                                                                                                                                    |
| Created Date >=   | Select the created date to view reports having a created date greater than or equal to the specified date. Using this criterion, you can view the reports created during the date range. For example, reports were created on or after December 26, 2019.<br><b>NOTE:</b> You can either perform a range search using 'Created Date >=' and 'Created Date <=' or use them independently. |
| Created Date <=   | Select the created date from the calendar to view reports having a created date lesser than or equal to the specified date. Using this criterion, you can view the reports created during the date range. For example, reports were created on or before December 26, 2019.                                                                                                              |
| Jurisdiction      | Select one or more jurisdictions to view reports mapped to the jurisdiction.<br><b>NOTE:</b> Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction that was associated with that case.                                                                               |
| Due Date>=        | Select the due date to view reports having a due date greater than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the date range. For example, reports having a due date on or after December 26, 2019.                                                                                                                      |
| Due Date<=        | Select the due date from the calendar to view reports having a due date lesser than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the date range. For example, reports having a due date on or before December 26, 2019.                                                                                                    |

- Click **Apply Filter**. The reports matching your search criteria are displayed on the Report Summary page. Enter the next step.  
To perform a different search, click the **Reset** button and enter your search criteria again.
- To save this search as Views, Click **Save As View**. The Save As View window is displayed.
- Enter View Name and Description

6. Click **Save** to add a new pre-defined view
7. 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.

For example, if you regularly search for reports approved by Supervisor1 and reports approved on or before December 2019, you can pre-define a search as *SupDecember* under View. When you log in to the application next time, you need not enter all the search criteria again, select the pre-defined view as *SupDecember* and filter the reports.

## 4.3 View

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 the Views option, follow these steps:

1. On the **Summary** page, go to the View search option.
2. Select the pre-defined views from the View drop-down list. The Summary page refreshes to show the results matching the View search criteria.

 **Note:**

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

**Table 4-3 Pre-defined views**

| Views       | Description                                                                            |
|-------------|----------------------------------------------------------------------------------------|
| All My SMR  | Select this option to view all new SMRs assigned to you.                               |
| All New SMR | Select this option to view all new SMRs. These SMRs are not yet assigned to any users. |

You can sort report by Created Date, Due date, Report Name, Report status, and so on.

### 4.3.1 Saving Views

The Save as View option allows you to save your search criteria as a View. The saved views are available in the View drop-down list.

For example, if you regularly search for reports approved by Supervisor1 and reports approved on or before December 2019, you can pre-define a search as *SupDecember* under View. When you log in to the application next time, you need not enter all the search criteria again, select the pre-defined view as *SupDecember* and filter the reports.



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

1. In the Report Summary page, click **Advanced Search** . The Advanced Search window is displayed:
2. Enter the search criteria parameters in the search fields.
3. Click **Save as View**. The Save as View window is displayed.
4. Enter the view name and view details. The fields marked with asterisk \* are mandatory.

 **Note:**

The View Description field allows a maximum of 255 characters.

5. Click **Save**. A confirmation message is displayed
6. Click **OK**. The view is saved and is displayed in the View drop-down list

 **Note:**

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

## 4.4 Regulatory Reports List

Use the Regulatory Reports section to view the list of reports based on your search criteria. Additional information on the reports is provided for analyses or take actions.

By default, all reports are displayed if you do not use any search criteria to filter the list.

### 4.4.1 Regulatory Reports List Features

The Reports List pane displays the list of all or specific reports you are looking for. You can select a report by clicking the corresponding Report ID link to view the details, investigate, and take action based on your role privileges.

 **Note:**

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

The Reports List pane has the following User Interface (UI) controls.

- Sort Ascending/Descending: You can sort the Report List in ascending or descending



order using Ascending or Descending , respectively. By default, the Report List is in descend- ing order.

- **Column Labels:** The column labels provide you with the names of the columns. For example, Report Name, Report Type, and so on. This helps you to sort the information on the required report
- **Tool Tip:** A ToolTip that provides additional information is displayed when you position the cursor over a column label.
- **Column Size:** You can change the width of the column by dragging the column to right or left direction using the mouse or you can select the Resize Column option. To resize the column, right-click on the column. The Resize option is displayed.
- Click



arrow icons to decrease and



increase the size of the column or enter a number between 10 to 10,000 and click OK. The size of the column is updated based on your selection.

- **Page Display:** Use this option to modify the number of reports you want to view on a page (records per page) and also navigate back and forth between pages to view all reports in the Report List.  
To view a specific page, enter the page number, use arrow marks to go to the next or previous page, or click on the existing numbers such as 1, 2, 3, and so on to go directly to that page. The following table describes the column details.

**Table 4-4 Column Name and Details**

| Column Name    | Description                                                                                                                                                                                               |
|----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Report ID      | The unique report identification number. This is a link to navigate to the Report Details page for further analysis.                                                                                      |
| Report Name    | The name of the report.                                                                                                                                                                                   |
| Type of Report | The type of the report.                                                                                                                                                                                   |
| Case ID        | The case ID associated with the report.                                                                                                                                                                   |
| Created Date   | The date when the report was created.                                                                                                                                                                     |
| Created By     | The user who created the report.                                                                                                                                                                          |
| Report Status  | The status of the report. For example, Approved, Open, and so on. Based on the status you can open the Details page and take appropriate action on the report.                                            |
| Jurisdiction   | The jurisdiction to which the report is mapped. For example, AMEA, JAPAC, and so on. Jurisdiction over a territory relates to the geographic area over which the court has the authority to decide cases. |

# 5

## Creating Reports

When a report is created in the OFS CRR CS goAML STR application through the OFS Case Investigation 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 CS goAML STR application and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable.

When you identify a report of suspicious behavior that is not reported through the OFS Case Investigation application but want to report it to the regulator, you can manually create a new report using the Create New Report option in the OFS CRR CS goAML STR application. For more information, see [Table 5-1](#).

### 5.1 Update to OFS Case Investigation

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

To send the acknowledgment, the OFS CRR CS goAML STR Administrator must set the status to Y. If the status is set to N, the OFS CRR CS goAML STR application does not send any status update to the OFS CRR Case Investigation application. By default, the AML STATUS UPDATE FLAG is set to Y. For more information on configuration, see the OFS CRR Case Investigation Administration Guide.

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

- Case ID
- Acknowledgment Code – 0 (Meaning successful)
- Report ID (System Generated)
- Report Status
- In case of any error, the OFS CRR goAML STR application sends a negative acknowledgment to the OFS CRR Case Investigation application. The error can be due to the following reasons:
  - User ID failure
  - Unsuccessful mandatory information verification
  - System or Application Error
  - The acknowledgment sent to the OFS Case Investigation application contains the following details:
    - Case ID
    - Acknowledgment Code: 1
    - Invalid User ID 2
    - Mandatory Information Missing 3
    - Format Failure System/Application Error

- Error Description

**Note:**

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

## 5.2 Creating a Report Manually

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

Only Analyst and Supervisor users can create a new report.

To create a new report from the OFS CRR goAML STR application, follow these steps:

1. In the Report Summary page, click **Create Regulatory Report** . The Create Report window is displayed.
2. Enter the following information in the Create Report window as tabulated.

**Table 5-1 Creating a New Report fields**

| Fields          | Description                                                                              |
|-----------------|------------------------------------------------------------------------------------------|
| Report Name     | Enter the name for the new report.                                                       |
| Report Type     | Select the report type from the drop-down list. For example, AML_DD, AML_PAT, and so on. |
| Jurisdiction    | Select the jurisdiction from the drop-down list.                                         |
| Business Domain | Select the business domain from the drop-down list                                       |

3. Click **Save**. A confirmation message is displayed. The newly created report is available in the Report Summary List for further analysis and actions.

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

**Note:**

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

# 6

## Analyzing a Report

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

Use the Report Details page to view, analyze, and update the report information. You can add, delete, and modify the reports based on the status of the report and your user privileges.

The Report Details page includes the following sections:

- **Accessing Report Details:** Use this pane to access the specific Report Details page. Click the required Report Number on the Regulatory Reports Listpage.
- **Reporting Entity Information:**Use this pane to know more about Report Details, Report Entity, and Reporting Person Details.
- **Transactions Info:**Use this pane to know the list of transactions associated with the selected report.
- **Involved Accounts Details:**Use this pane to know the list of accounts involved in the transaction and analyze the details pertaining to them.
- **Involved Entity Details:** Use this pane to know the list of entities (Individual or Institution) involved in the transaction and analyze the details pertaining to them.
- **Involved Person Details:**Use this pane to know the list of persons involved in the transaction and analyze the details pertaining to them.
- **Adding Comments:**Use this pane to add comments to a report in any status. By adding comments, the status of the report does not change.
- **Adding Narrative:**Use this pane to add narrative to a report in any status. By adding narratives, the status of the report does not change.
- **Audit:** Use the Audit pane to view the audit history of a report.
- **Adding Documents:** Use this pane to add documents to a report in any status. By adding documents, the status of the report does not change.

### 6.1 Accessing Report Details

To access the Report Details page, follow these steps:

1. In the **Report Summary** page, click the required **Report Number** link. The Reports Details page is displayed. By default, the Reporting Entity Information pane is displayed  
To view the report details, click the **More Details** tab on the top of the page. The Reporting Context window is displayed. The Reporting Context window details Report Name, Report Status, Created By, and so on
2. To collapse the **Reporting Context** window, click LessDetails

 **Note:**

You must validate every tab before you move to the next tab. The tab color changes to green if validation is successful or it will be yellow.

## 6.2 Reporting Entity Information

Use the Reporting Entity Information page to know and update the information pertaining to the entity (banks or financial institutions) that have reported this specific report, reporting person details, and report details.

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

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

### 6.2.1 Report Details

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

Enter the following information in the Report Details pane as tabulated.

**Table 6-1 Report Details Fields**

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

### 6.2.2 Report Entity

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

Enter the following information in the Report Entity pane as tabulated.

 **Note:**

- Fields in this pane are displayed based on the selection you make in the Reporting Entity ID and Reporting Entity Branch.
- If the desired values for Reporting Entity ID and Reporting Entity Branch which are required for final report- submission are not displayed in the drop-down, then you must contact your Administrator.

**Table 6-2 Report Details Fields**

| Fields                     | Description                                                                         |
|----------------------------|-------------------------------------------------------------------------------------|
| Submission Date and Time   | The date on which the report is submitted. You can also modify the submission date. |
| Currency                   | Select the currency used in the transaction.                                        |
| Reporting Entity ID        | Select the reporting entity.                                                        |
| Reporting Entity Branch    | Select the reporting entity branch.                                                 |
| Reporting Entity Reference | The registration number of the reporting entity.                                    |
| FIU Reference Number       | The Financial Intelligence Unit (FIU) reference ID of the reporting entity.         |
| Address Type               | The address type of the reporting entity. For example, business or domestic.        |
| Address                    | The address of the reporting entity.                                                |
| City                       | The city of the reporting entity.                                                   |
| Town                       | The town of the reporting entity.                                                   |
| Country                    | The country of the reporting entity.                                                |
| State                      | The state of the reporting entity.                                                  |
| Currency                   | The currency of the reporting entity.                                               |
| Zip                        | The zip code of the reporting entity.                                               |
| Comments                   | The comments of the reporting entity.                                               |

## 6.2.3 Reporting Person Details

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

1. Enter the following information in the Reporting Person Details pane as tabulated.

 **Note:**

- Fields in this pane are displayed based on the Reporting Person's Name selection.
- If the desired values for Reporting Person which are required for final report-submission are not displayed in the drop-down then you must contact your Administrator.

**Table 6-3 Reporting Person Details Fields**

| Fields                  | Description                                |
|-------------------------|--------------------------------------------|
| Reporting Person's Name | Select the name of the reporting person.   |
| Gender                  | The gender of the reporting person.        |
| DOB                     | The date of birth of the reporting person. |
| Place of Birth          | The reporting person's place of birth.     |
| Mother's Name           | The mother's name of reporting person.     |
| Alias                   | The alias of the reporting person.         |

**Table 6-3 (Cont.) Reporting Person Details Fields**

| Fields                         | Description                                                                                        |
|--------------------------------|----------------------------------------------------------------------------------------------------|
| Nationality 1                  | Nationality 1 of the reporting person.                                                             |
| Nationality 2                  | Nationality 2 of the reporting person.                                                             |
| Nationality 3                  | Nationality 3 of the reporting person.                                                             |
| Country of Residence           | The country of residence of the reporting person.                                                  |
| Email ID                       | The email ID of the reporting person.                                                              |
| SSN                            | The social security number (SSN) of the reporting person.                                          |
| ID Number                      | The additional identification number other than SSN and passport ID number of the reporting person |
| Source of wealth               | The reporting person's source of wealth.                                                           |
| Deceased                       | It indicates if the reporting person is deceased.                                                  |
| Deceased Date                  | The date when the reporting person passed away.                                                    |
| Person Tax Number              | The personal tax number of the reporting person.                                                   |
| Person Tax Registration Number | The personal tax registration number of the reporting person.                                      |
| Comments                       | Add comments, if any.                                                                              |

For more information on Address, Phone, Identification, and Employer Details, see the Person Details section

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

## 6.3 Transactions Info

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

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

**Table 6-4 Transaction fields**

| Fields               | Description                                                                                                                                                                                                                                                                                                |
|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| View                 |  <p>Click  View to view all details of the selected transaction. You can also use this icon to modify the transaction details.</p> |
| Record Number        | The transaction record number.                                                                                                                                                                                                                                                                             |
| Transaction Number   | A unique number that defines the specific transaction.                                                                                                                                                                                                                                                     |
| Transaction Category | The type of category to which the selected transaction belongs.                                                                                                                                                                                                                                            |
| Transaction Date     | The date on which the transaction has taken place.                                                                                                                                                                                                                                                         |



**Table 6-4 (Cont.) Transaction fields**

| Fields             | Description                                                      |
|--------------------|------------------------------------------------------------------|
| Transaction Method | The transaction method. For example, cash, ATM, wire, and so on. |
| Amount             | The amount involved in the transaction.                          |
| Value Date         | The date on which monetary instrument transaction was issued.    |

## 6.3.1 Managing Transaction

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

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

1. In the Transaction pane, click **Add** . The Add Transaction window is displayed.
2. Enter the following information in the Add Transaction Details pane as tabulated.

**Table 6-5 Add Transaction Details Fields**

| Fields                         | Description                                                                                                                                     |
|--------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|
| Transaction Number             | Enter a unique number to define the transaction.                                                                                                |
| Internal Reference Number      | Enter the internal reference number.                                                                                                            |
| Transaction Location           | Enter the transaction location where the transaction has taken place. For example, town, city, and so on.                                       |
| Transaction Description        | Describe the transaction for further investigation.                                                                                             |
| Transaction Date               | Enter the date on which the transaction was conducted.                                                                                          |
| Teller                         | Enter the teller's name who was involved in this transaction.                                                                                   |
| Authorized By                  | Enter the name of the authority who approved this transaction.                                                                                  |
| Value Date                     | Select the value date of the transaction.                                                                                                       |
| Late Deposit                   | Select Yes or No to specify whether the transaction is a late deposit.                                                                          |
| Date of Posting                | The date on which the transaction was cleared. It is applicable only if the clearing date is different from the actual date of the transaction. |
| Transaction Method             | Select the transaction method. For example, in the branch, ATM, wire transaction, and so on.                                                    |
| Transaction Method Description | Describe the transaction method for further investigation.                                                                                      |
| Amount                         | Enter the amount involved in the transaction.                                                                                                   |
| Comments                       | Enter the comment about the transaction. Select Bi-Party or Multi-Party to specify the type of transaction.                                     |

**Table 6-5 (Cont.) Add Transaction Details Fields**

| Fields               | Description                                                                                                                                                                                                                   |
|----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Transaction Category | Bi-Party means transactions that happened between two entities or persons. Multi-Party means transactions happened between many persons or entities.<br>NOTE: Bi Party Transaction must have an originator and a beneficiary. |

3. Click **Save**. A confirmation message is displayed and the newly added transaction appears in the Transactions list.



4. To edit the existing transaction, click **View** against the transaction you want to modify. The Transaction Details window is displayed. Modify the necessary information and click **Save**. The transaction details are updated.
5. To delete the existing transaction, select the transaction and click



**Delete** . The selected transaction is removed from the list.

## 6.4 Involved Party Information

This pane provides information about the type of parties involved in the transaction. For example, account, entity, or person. For more information, see Involved Party List.

Use the Involved Parties Information pane to add a new involved party to the transaction and edit or delete the involved parties associated with the transaction.

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

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

1. Click on the required **Record Number** in the Transaction list. The Involved Party details are displayed. The involved party can be an account, entity, or person.
2. Enter the involved party details.
3. Click **Save**. A confirmation message is displayed and the involved party information is updated.

### 6.4.1 Involved Parties Details

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

- **An Account as an involved party:** You can add an account as an involved party to the selected transaction. The account that you add in this section is listed in the Involved Accounts Details section.

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

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

1. In the Involved Parties Information pane, click **Add** for Account, Entity, or Person. The Add Involved Party pane is expanded based on your selection (Account, Entity, or Person).
2. Enter the following information in the Involved Parties Details-Account pane as tabulated.

**Table 6-6 Involved Party Fields**

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

3. Click Proceed. A confirmation message is displayed and the newly added involved party appears in the Involved Party-list. The newly added entities are also listed in their respective panes. For example, if you add the account as an entity, it is also displayed on the Involved Accounts Details page. Similarly, for Involved Entity Details and Involved Person Details.



4. To edit an existing involved party, click **View**. The Involved Party details are displayed. Modify the necessary information and click Save. The involved party details are updated.
5. To delete an existing involved party, select the involved party from the list and click **Delete**. The selected involved party is removed from the list.

## 6.4.2 Goods and Service

This pane details goods and services associated with the selected transaction, such as item type, manufacturer, current owner, estimated value, and so on.

Use this pane to add new goods and services to the selected transaction, edit or delete the existing goods and services from the list. Use this pane to view and update the list of goods and services associated with the selected transaction.

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

1. In the Good Services pane, click on the required **Record Number** in the list. The Goods and Services Details pane is displayed.
2. Update the goods and service details as described in the following table.
3. Click **Save**. A confirmation message is displayed and the goods and services information is updated.

### 6.4.2.1 Adding Goods and Services

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

1. In the Goods and Services pane, click **Add** . The Goods and Services Details window is displayed.
2. Enter the following information in the Goods and Service Details window as tabulated.

**Table 6-7 Goods and Service Details Fields**

| Fields                | Description                                                                                                                                                                                      |
|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Item Type             | Select the item type. For example, Bonds, Equity Funds, and so on.                                                                                                                               |
| Manufacturer          | Enter the name of the manufacturer.                                                                                                                                                              |
| Previous Owner Name   | Enter the name of the previous owner of the goods and services.                                                                                                                                  |
| Current Owner Name    | Enter the name of the current owner of the goods and services.                                                                                                                                   |
| Estimated Value       | Enter the estimated value of the goods and services.                                                                                                                                             |
| Status                | Enter the status of the transaction. For example, bought, donated, and so on.                                                                                                                    |
| Disposed value        | Enter the disposed value assigned for the goods and services.                                                                                                                                    |
| Currency Code         | Select the currency code.                                                                                                                                                                        |
| Total Area            | Enter the total area required for the goods and services.<br><b>NOTE:</b> Enter a maximum of 20 digits before the decimal point and 8 digits after the decimal point. Enter up to 29 characters. |
| Unit Of Measurement   | Enter the unit of measurement for the total area.                                                                                                                                                |
| Registration Date     | Select the registration date.                                                                                                                                                                    |
| Registration Number   | Enter the registration number for this transaction.                                                                                                                                              |
| Identification Number | Enter the identification number for this transaction.                                                                                                                                            |
| Address Type          | Select the address type. For example, business, private, and so on.                                                                                                                              |
| Address               | Enter the address for this transaction.                                                                                                                                                          |
| City                  | Enter the city name.                                                                                                                                                                             |
| State                 | Select the state.                                                                                                                                                                                |
| Country               | Select the country.                                                                                                                                                                              |
| Zip                   | Enter the zip code of the city.                                                                                                                                                                  |
| Address Comments      | Enter comments for address, if required.                                                                                                                                                         |
| Item Description      | Describe the items involved in the goods and services.                                                                                                                                           |

**Table 6-7 (Cont.) Goods and Service Details Fields**

| Fields          | Description                                             |
|-----------------|---------------------------------------------------------|
| Status Comments | Enter status comments, if required.                     |
| Comments        | Enter comments for the goods and services, if required. |

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

## 6.5 Involved Accounts Details

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

Use this section to view and update: Accounts Details, Signatory, Account Entity Owner, and Director Details details.

### 6.5.1 Accounts Details

Use the Accounts Details pane to view and update information about the selected involved account details.

To update account details, follow these steps:

1. In the Involved Account Details Information pane, select the involved account Record

Number. The Account Details pane is displayed. If it is collapse, click  to expand the pane.

2. Enter the following information in the Involved Accounts Details pane as tabulated.

**Table 6-8 Involved Accounts Details Fields.**

| Fields                  | Description                                                                  |
|-------------------------|------------------------------------------------------------------------------|
| Institution Name        | Enter the institution name to whom this account belongs to.                  |
| Non-Banking Institution | Select Yes or No to specify whether the institution is a non-banking.        |
| Institution Code        | Enter the institution code.                                                  |
| Swift                   | Displays the swift details of the branch from where the account is operated. |
| Branch                  | Enter the branch name from where the account is operated.                    |
| Currency                | Select the currency used to operate using this account.                      |
| Account Number          | Enter the account number.                                                    |

**Table 6-8 (Cont.) Involved Accounts Details Fields.**

| Fields                        | Description                                                                 |
|-------------------------------|-----------------------------------------------------------------------------|
| Account Name                  | Enter the account holder's name.                                            |
| IBAN                          | Enter the International Bank Account Number (IBAN) of the account holder.   |
| Client Number                 | Enter the customer (client) linked to the account.                          |
| Account Type                  | Select the account type. For example, personal, trust, and so on.           |
| Account Status                | Select the account status. For example, dormant, active, closed, and so on. |
| Account Opening Date and Time | Enter the account opening date and time.                                    |
| Account Closing Date and Time | Enter the account closing date and time.                                    |
| Balance                       | Enter the balance amount in the account.                                    |
| Balance Date and Time         | Enter the date on which the account balance was verified.                   |
| Beneficiary                   | Enter the beneficiary name.                                                 |
| Comment on Beneficiary        | Enter a comment on the beneficiary, if any.                                 |
| Comments                      | Enter other comments on the account, if any.                                |

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

## 6.5.2 Signatory

Use the Signatory pane to view, add, and update information about the selected involved signatory details. A Signatory is a person who is authorized to manage the account.

To add signatory details, follow these steps:

1. In the **Involved Account Details** page, go to the Involved Signatory pane and click **Add**. The Signatory Details window is displayed.
2. Enter the following information in the Signatory Details window as tabulated.

**Table 6-9 Signatory Details Fields**

| Fields         | Description                                                   |
|----------------|---------------------------------------------------------------|
| Is Primary     | Select Yes or No to specify whether the signatory is primary. |
| Role           | Select the role of the signatory.                             |
| Title          | Enter the title of the signatory.                             |
| Prefix         | Enter the prefix of the signatory (Mr or Mrs)                 |
| First Name     | Enter the first name of the signatory.                        |
| Middle name    | Enter the middle name of the signatory.                       |
| Last Name      | Enter the last name of the signatory.                         |
| Gender         | Enter the gender of the signatory.                            |
| DOB            | Select the date of birth of the signatory.                    |
| Place of Birth | Enter the place of birth of the signatory.                    |
| Mother's Name  | Enter the signatory's mother's name.                          |
| Alias          | Enter the alias of the signatory.                             |
| Nationality 1  | Select the nationality 1 of the signatory.                    |

**Table 6-9 (Cont.) Signatory Details Fields**

| Fields                         | Description                                                     |
|--------------------------------|-----------------------------------------------------------------|
| Nationality 2                  | Select the nationality 2 of the signatory.                      |
| Nationality 3                  | Select the nationality 3 of the signatory.                      |
| Country of Residence           | Select the country of residence of the signatory.               |
| Email ID                       | Enter the email ID of the signatory.                            |
| SSN                            | Enter the SSN (social security number) of the signatory.        |
| ID Number                      | Enter the unique identification number of the signatory.        |
| Source of Wealth               | Select the source of the wealth of the signatory.               |
| Passport Number                | Enter the passport number of the signatory.                     |
| Passport Country               | Select the country of the passport.                             |
| Deceased                       | Specify if the signatory is deceased.                           |
| Deceased Date and Time         | If deceased, select the date and time of the signatory's death. |
| Person Tax Number              | Enter the personal tax number of the signatory.                 |
| Person Tax Registration Number | Enter the personal tax registration number of the signatory.    |
| Comments                       | Enter comments, if any.                                         |

For more information on Address, Phone, Identification, and Employer Details, see the Person Details section.

3. Click **Save**. A confirmation message is displayed and the newly added signatory details appear in the Signatory list.
4. To update an existing signatory, select the **Signatory Name** and update the necessary information.
5. To delete an existing signatory, select the required signatory from the Signatory list and click **Delete**. The selected signatory is removed from the list.

## 6.5.3 Account Entity Owner

Use the Account Entity Owner pane to view and update information about the entity owner of the account.

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

1. In the **Involved Account Details** page, go to the Account Entity Owner Details pane.
2. Enter the following information in the **Involved Account Details** pane .

**Table 6-10 Account Entity Owner Fields**

| Fields               | Description                                   |
|----------------------|-----------------------------------------------|
| Name                 | Enter the name of the entity.                 |
| Commercial Name      | Enter the commercial name of the entity.      |
| Incorporation Number | Enter the incorporation number of the entity. |
| Legal Form           | Select the legal form of the entity.          |
| Type of Business     | Select the business type of the entity.       |
| Email                | Enter the email ID of the entity.             |

**Table 6-10 (Cont.) Account Entity Owner Fields**

| Fields                         | Description                                                                                 |
|--------------------------------|---------------------------------------------------------------------------------------------|
| Company URL Address            | Enter the company URL address.                                                              |
| Incorporation Date and Time    | Select the incorporation date and time of the entity.                                       |
| Incorporation State            | Select the state of the entity.                                                             |
| Incorporation Country          | Select the country of the entity.                                                           |
| Business Closed                | Select Yes or No to specify whether the business is closed.                                 |
| Business Closed Date and Time  | If the business has closed down, select the date and time on which the business was closed. |
| Entity Tax Number              | Enter the entity tax number.                                                                |
| Entity Tax Registration Number | Enter the entity tax registration number.                                                   |
| Comments                       | Enter comments, if any.                                                                     |

- Click **Save**. A confirmation message is displayed and the newly added account entity owner appears on the list.

### 6.5.3.1 Director Details

Use the Director Details pane to view, add, and update information about the director. A director is a person who manages the account.

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

- In the **Director Details** pane, click **Add**. The Director Details page is displayed.
- Enter the following information in the Director pane.

**Table 6-11 Director Fields**

| Fields               | Description                                             |
|----------------------|---------------------------------------------------------|
| Role                 | Select the role whether Director or Board member.       |
| Title                | Enter the title of the director.                        |
| Prefix               | Enter the prefix of the director.                       |
| First Name           | Enter the first name of the director.                   |
| Middle name          | Enter the middle name of the director.                  |
| Last Name            | Enter the last name of the director.                    |
| Gender               | Enter the gender of the director.                       |
| DOB                  | Select the date of birth of the director.               |
| Place of Birth       | Enter the place of birth of the director.               |
| Mother's Name        | Enter the director's mother's name.                     |
| Alias                | Enter the alias of the director.                        |
| Nationality 1        | Select the nationality 1 of the director.               |
| Nationality 2        | Select the nationality 2 of the director.               |
| Nationality 3        | Select the nationality 3 of the director.               |
| Country of Residence | Select the country of residence.                        |
| Email ID             | Enter the email ID of the director.                     |
| SSN                  | Enter the social security number (SSN) of the director. |



**Table 6-11 (Cont.) Director Fields**

| Fields                         | Description                                                         |
|--------------------------------|---------------------------------------------------------------------|
| ID Number                      | Enter the unique identification number of the director.             |
| Source of Wealth               | Select the source of the wealth of the director.                    |
| Passport Number                | Enter the passport number of the director.                          |
| Passport Country               | Select the country of the passport.                                 |
| Deceased                       | Specify if the director is deceased.                                |
| Deceased Date and Time         | If the director has passed away, select the date and time of death. |
| Person Tax Number              | Enter the person's tax number.                                      |
| Person Tax Registration Number | Enter the person's tax registration number.                         |
| Comments                       | Enter comments, if any.                                             |

3. Click **Save**. A confirmation message is displayed and the newly added director appears on the list.
4. To modify the existing director's details, select the required director name, and update the necessary information.
5. To delete an existing director, select the required director from the Director list and click **Delete**. The selected director is removed from the list.

## 6.6 Involved Entity Details

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

Use this section to view and update: Entity Details and Director details.

Use the Entity Details pane to view and update information about the selected involved entity.

To update the entity details, follow these steps:

1. In the Involved Entity Information page, select the **Involved Entity Record Number**. The Entity Details section is displayed.
2. Enter the following information in the Involved Entity pane.

**Table 6-12 Involved Entity Fields**

| Fields                      | Description                                           |
|-----------------------------|-------------------------------------------------------|
| Name                        | Enter the name of the entity.                         |
| Commercial Name             | Enter the commercial name of the entity.              |
| Incorporation Number        | Enter the incorporation number of the entity.         |
| Legal Form                  | Select the legal form of the entity.                  |
| Type of Business            | Select the type of business of the entity.            |
| Email                       | Enter the email ID of the entity.                     |
| Company URL Address         | Enter the company URL address.                        |
| Incorporation Date and Time | Select the incorporation date and time of the entity. |
| Incorporation State         | Select the incorporation state of the entity.         |
| Incorporation Country       | Select the incorporation country of the entity.       |

**Table 6-12 (Cont.) Involved Entity Fields**

| Fields                         | Description                                                                                  |
|--------------------------------|----------------------------------------------------------------------------------------------|
| Business Closed                | Select Yes or No to specify whether the business is closed.                                  |
| Business Closed Date and Time  | If the business has closed down, select the date and time when the business was closed down. |
| Entity Tax Number              | Enter the entity tax number.                                                                 |
| Entity Tax Registration Number | Enter the entity tax registration number.                                                    |
| Comments                       | Enter comments, if any.                                                                      |

For more information on Address, Phone, Identification, and Employer Details, see the Person Details section.

This pane also provides details about the entity director. For more information, see the Director Details section.

## 6.7 Involved Person Details

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

Use this section to view and update: Person Details, Address, Phone, Identification, and Employer Details.

### 6.7.1 Address

Use the Address pane to know the communication address of the person involved in the transaction that led to the creation of the report. You can use this pane to view, add, or delete the address of the person.

To update the address details, follow these steps:

1. In the Involved Person page, go to the Address pane. The list of addresses about the selected person is displayed. This section provides you the complete details of the involved person's address. For example, local address, state, zip code, and so on. You can also add a new address to this list.
2. To add a new address, click **Add**. The Address Details pane is displayed.

**Table 6-13 Address Fields**

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

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

## 6.7.2 Phone

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

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

To update phone details, follow these steps:

1. In the Involved Person page, go to the **Phone** pane. The phone details pertaining to the selected person are displayed.
2. This section provides you the details of the phone that belongs to the involved person. For example, phone number, contact type, extension, and so on. You can also add a new phone to this list.
3. To add a new phone, click Add. The Phone Details pane is displayed.
4. Enter the following information in the Phone pane.

**Table 6-14 Phone**

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

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

## 6.7.3 Identification

Use the Identification pane to know the identification type of the person involved in the transaction that led to the creation of the report. Identification can be address identification, photo identification, and so on. You can use this pane to view, add, or delete the identification of the person.

To update the identification details, follow these steps:

1. In the Involved Person page, go to the Identification Info pane. The identification details pertaining to the selected person are displayed. This section provides you the details of the identification of the person. For example, Identification Type, Identification Number, Issue Date, Expiry Date, Issuing Country, and so on. You can also add new identification details to this list.
2. To add a new identification, click Add. The Identification Details section is expanded.

3. Enter the following information in the Identification pane.

**Table 6-15 Identification Fields**

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

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

## 6.7.4 Employer Details

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

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

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

**Table 6-16 Employer Fields**

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

**Table 6-16 (Cont.) Employer Fields**

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

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

## 6.8 Comments

To record the information on a selected report, users can use the Audit Details window to update the details. An Analyst, Auditor, or Supervisor can add comments to a report in any status.

To add comments to a report, follow these steps:



1. In the Reports Details page, click **Audit**. The Audit Details window is displayed.
2. Enter the comments in the Comments field.
3. Click **Done**. The Audit Details tracks both actions (the actions taken on the report) and comments entered.

## 6.9 Narrative

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

To use the Narrative option, follow these steps:

1. In the Reports Details page, click **Narrative**. The Description of Activity window is displayed.
2. Enter the following information in the respective text fields. Fields marked with Asterisk \* are mandatory.
  - Description of Suspicious Activity: Enter the summary of the suspicious activity. You can enter up to 4000 characters.
  - Action Taken by Reporting Entity: Enter the action taken by the reporting entity.
3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The updated Report Details page is displayed. The Audit section tracks both actions (the actions are taken on a report) and comments entered while performing the Narrative action.

## 6.10 Audit

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

To use the Audit option, follow these steps:

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

## 6.11 Documents

While analyzing the report, you can also add additional documents to support your analysis. This additional information aids in taking a correct decision on the report.

When you attach a document to a report, the status of that report does not change. However, the attachment is added to the report's history. An Analyst or a Supervisor can attach or delete documents in all statuses except when the report is in View only mode.

To attach a document, follow these steps:

1. In the Reports Details page, click **Upload Documents** . The Upload Documents window is displayed.
2. Enter the following information in the Add Document pane.

**Table 6-17 Document Fields**

| Fields         | Description                                       |
|----------------|---------------------------------------------------|
| Description    | Enter a brief description of the document.        |
| Type of File   | Enter the type of document.                       |
| Document Date  | Enter the date on which the document was created. |
| Sending Option | Enter the option for sending the document.        |

3. Click **Drop Files Here** or Click to **Upload** to select the document from your computer. The selected file is displayed in the document list. The document list provides the information of the document such as file name, size of the document, and type of document.
4. Click **Delete** to remove the document from the list.
5. Select the document from the list and click **Upload**. The document is attached to the selected report.

## Acting on a Report

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

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

### 7.1 Requesting the Report for Approval

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

To request a report for approval, follow these steps:

1. On the Reports Details page, click **Take Action**. The Report Actions window is displayed.
2. Select Request for Approval.
3. Enter the comments in the Comments field.

 **Note:**

You can enter up to 255 characters.

4. Click **Save**. A confirmation message is displayed and on the Report Details page, the status of the report changes to Requested for Approval. The Audit page tracks both actions and comments entered while performing the Request for Approval action.

## 7.2 Approving Reports

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

To approve a report, follow these steps:

1. On the Reports Details page, click **Take Action**. The Report Actions window is displayed.
2. Select **Approve..**
3. Enter the comments in the Comments field.

 **Note:**

You can enter up to 255 characters.

4. Click **Save**. A confirmation message is displayed and on the Report Details page, the status of the report changes to Approved. The Audit page tracks both actions and comments entered while performing the Approve action.

 **Note:**

The naming convention for the final STR is in the format STR\_Case ID\_Aproved Date (DD-MM-YYYY\_HH24-MM-SS).doc. If the report is created from the OFS AML application, you can rename the final STR while saving. When the report is created manually, the naming convention for the final STR is in the format STR\_Manual\_Aproved Date (DD- MM-YYYY\_HH24-MM-SS).doc. After the report is approved, the application generates the final report containing the required information that must be submitted to the regulatory authority.

## 7.3 Reworking on Reports

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

To send a report for rework, follow these steps:

1. On the **Reports Details** page, click **Take Action**. The Report Actions window is displayed.
2. Select **Rework**.
3. Enter the comments in the Comments field.



 **Note:**

You can enter up to 255 characters.

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

## 7.4 Canceling Report Filing

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

To cancel filling report, follow these steps:

1. On the Reports Details page, select the report. Click **Take Action**. The Report Actions window is displayed..
2. Select **Cancel Filing**.
3. Enter the comments in the Comments field.

 **Note:**

You can enter up to 255 characters.

4. Click **Save**. A confirmation message is displayed and in the Report Details page, the status of the report changes to Canceled. The Audit page tracks both actions and comments entered while performing the Cancel.

## 7.5 Reopening Reports

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

To reopen a report, follow these steps:

1. On the **Reports Details** page, click **Take Action**. The Report Actions window is displayed.
2. Select **Reopen**.
3. Enter the comments in the Comments field.

 **Note:**

You can enter up to 255 characters.

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

## 7.6 Generating E-File

Authorized users can generate an E-File after the report is approved.

To generate an E-File, follow these steps:

1. On the **Reports Details** page, click **Take Action**. The Report Actions window is displayed.
2. Select **generate an E-File**.
3. Enter the comments in the Comments field.

 **Note:**

You can enter up to 255 characters.

4. Click **Save**. A confirmation message is displayed and on the Report Details page, the status of the report changes to Generate E-File. The Audit page tracks both actions and comments entered while performing the Generate E-File action. Once the E-File is generated, you can go to Report List and download the E-File.

## 7.7 Submitting the Reports

Authorized users can submit a report after the report is generated and the status of the report must be E-File Generated.

To submit a report, follow these steps:

1. On the **Reports Details** page, click **Take Action**. The Report Actions window is displayed.
2. Select **Submit**.
3. Enter the comments in the Comments field and FIU Reference Number(It is an acknowledgment number received from the regulator).

 **Note:**

You can enter up to 255 characters.

4. Click **Save**. A confirmation message is displayed and on the Report Details page, the status of the report changes to Submitted. The Audit page tracks both actions and comments entered while performing the Submit action.

The following activities are allowed after submitting a report:

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

## 7.8 Setting a Due Date

Analyst and Supervisor can set a due date or modify an existing due date to provide a resolution to the report.

The Set Due Date action is available in the application only when an Administrator set the Edit Due Date Flag attribute to Y in the Application Parameters table. For more information, see the OFS Case Investigation Administration Guide.

**Table 7-1 Behavior and Attributes for Due Date Fields**

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

**Table 7-2 User Roles and Set Due Date Action Fields**

| Menu                   | Analyst1 | Analyst2 | Supervisor | Auditor |
|------------------------|----------|----------|------------|---------|
| Open                   | X        | X        | X          |         |
| Reopened               | X        | X        | X          |         |
| Requested for Approval | X        | X        | X          |         |
| Rework                 | X        | X        | X          |         |
| Approved               | X        | X        | X          |         |
| Cancelled              |          |          |            |         |
| Acknowledged           |          |          |            |         |
| Rejected from E-File   |          |          |            |         |
| E-File Generated       | X        | X        | X          |         |
| Submitted              |          |          |            |         |



**Note:**

An auditor can only view the Due Date.

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

1. On the Reports Details page, click **Set Due Date**. The Report Actions window is displayed.
2. Enter the comments in the Comments field.
3. Enter or click Calendar to select the due date.

4. Click **Save**. A confirmation message is displayed and the Report Details page is updated with a new due date. The Audit page tracks both actions and comments entered while performing the Set Due Date action.

## 7.9 Rejecting a Report

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

When a report is in the E-File Generated status an authorized user can take a reject action. Once the reject action is taken, the E-File for that report is no longer available for download. Reports are made editable so that they can be reviewed and re-submitted to the regulatory body.

To reject a report from E-File, follow these steps:

1. On the **Reports Details** page, click **Take Action**. The Report Actions window is displayed.
2. Select **Reject E-File**.
3. Enter the comments in the Comments field.

 **Note:**

You can enter up to 255 characters.

4. Click **Save**. A confirmation message is displayed and on the Report Details page, the status of the report changes to Rejected from E-File. The Audit page tracks both actions and comments entered while performing the Reject E-File action.