Oracle® FS CRR Canadian STR User Guide





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Document Control

Use this section to view latest changes to the document.

Table 1 Document Control

Revision Number	Revision Date	Change Log	
3.0	August 2025	Added Schema Error Section in Using Report Details, Error Details, and Schema Error Sections Sections.	
2.0	February 2025	No content updates for this release	
1.0	December 2024	 Report Type and Report Version fields in Advanced Search are updated The entire Analyzing a Report chapter is updated Added Automatic Splitting section Updated Uploading E-File Acknowledgment section Updated Generating Revised Reports section 	

About This Guide

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

Audience

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

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

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Conventions

The following text conventions are used in this document.

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.
italic	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.



Convention	Meaning
monospace	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

About Canadian STR

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

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

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

2.1 OFS CRR CA STR Application

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

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

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

2.1.1 CA STR Application Workflow

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



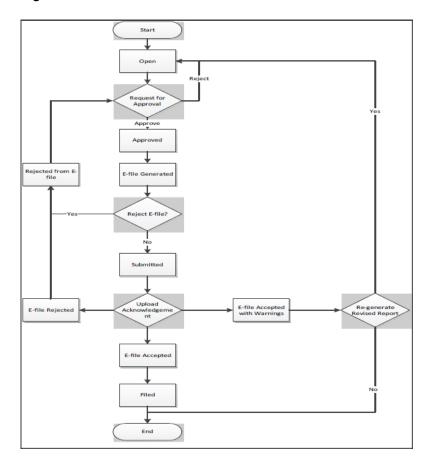


Figure 2-1 CA STR Workflow

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

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

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

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

If the report is approved by the Supervisor, the authorized user must generate an E-File or a batch E-File (an E-File consists of an approved report) to the FINTRAC E-Filing System. The submission to the FINTRAC E-Filing System is outside the OFS CRR CA STR application. The status of the report is marked as Submitted in the OFS CRR CA STR application.

The E-File is validated by FINTRAC and an acknowledgment is generated with one of the following Acknowledgment status - Acknowledgment - Accepted, Acknowledgment - Accepted with Warnings, and Acknowledgment - Rejected. This acknowledgment file must be downloaded from the FINTRAC E-Filing System and uploaded into the OFS CRR CA STR application to complete this workflow.



If the FINTRAC E-File System rejects the E-File, an authorized user must regenerate an E-File and rework on such reports before resubmitting into the FINTRAC E-File System.

If the FINTRAC E-File System populates an error message on a report in the E-File, an authorized user must correct or delete such a report and then generate a revised report and resubmit to the FINTRAC E-File System.

For the complete list of actions performed by the Analyst, Auditor, or Supervisor on various report statuses, see below table. For more information on user roles, see Table 3-1

A Report life cycle begins with the Open status and ends with the Submitted status

(i) Note

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

Table 2-1 Action that can be performed in different statuses

Report Status	Actions	User Roles	Status Changes To
Report Status	Actions	User Roles	Status Changes To
Open	Request for Approval	Analyst1 and Analyst2	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst1, Analyst2, and Supervisor	Canceled
Reopened	Request for Approval	Analyst1 and Analyst2	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst1, Analyst2, and Supervisor	Canceled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	Canceled
Approved	Cancel Filing	Supervisor	Canceled
E-File Generated	Submit	Supervisor and Analyst2	Submitted
Rework	Request for Approval	Analyst1 and Analyst2	Requested for Approval
Rejected from E-File	Request for Approval	Analyst1 and Analyst2	Requested for Approval
Canceled	Reopen	Analyst1, Analyst2, and Supervisor	Reopened
Acknowledged	Generate Revised Report	Analyst2 and Supervisor	Acknowledged

Table 2-2 Statuses in which Reports can be viewed and edited by users

	View and Edit Reports				
Status	Analyst1	Analyst2	Supervisor	Auditor	
Open	View and Edit	View and Edit	View and Edit	View-only	
Reopened	View and Edit	View and Edit	View and Edit	View-only	
Requested for Approval	View-only	View-only	View and Edit	View-only	
Approved	View-only	View-only	View-only	View-only	



Table 2-2 (Cont.) Statuses in which Reports can be viewed and edited by users

View and Edit Reports				
Status	Analyst1	Analyst2	Supervisor	Auditor
Rework	View and Edit	View and Edit	View and Edit	View-only
Submitted	View-only	View-only	View-only	View-only
Cancelled	View-only	View-only	View-only	View-only
Acknowledged	View-only	View-only	View-only	View-only
Rejected from E- File	View and Edit	View and Edit	View and Edit	View-only

Getting Started

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

Topics:

- User Access
- Accessing the CA STR Application

3.1 User Access

This section summarizes the tasks permitted to different user roles in the OFS CRR CA STR application.

Table 3-1 User Access

Actions	Analyst -I	Analyst -II	Superviso r	Auditor	RR Admin
Searching and Viewing Reports	Х	Х	Х	Х	
Administration Activities					х
View Report	Х	Х	Х	Х	
Request for Approval	Х	Х			
Approve			Х		
Rework			Х		
Cancel Filing from Open, Rejected from E-File, and Reopen status	Х	Х	Х		
Cancel Filing from Requested for Approval			Х		
Add Report Comments	Х	Х	Х	Х	
Reopen Canceled Reports	Х	Х	Х		
Create a New Report	Х	Х	Х		
Generate Revised Report		Х	Х		
Generate E-File		Х	Х		
Submit		Х	Х		
Upload Acknowledgment		Х	Х		
Reject from E-File Generated					
status	Х	Х	Х		
Set/View/Edit Due Date	Х	Х	Х		



3.2 Accessing the CA STR Application

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

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

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

- 1. Enter the URL in the web browser using the following format:
 - <Protocol>://<HostName>:<Port_Number >/crrcastr/login
- 2. The OFS Analytical Applications login page is displayed.
- 3. Select the required language. Enter your User ID and Password and click Login. The OFS Analytical Applications page is displayed.
- 4. Select the Financial Compliance Regulatory Reporting Application. The Financial Compliance Regulatory Reporting Application landing page is displayed.
- 5. From the Navigation List LHS menu, select Compliance Regulatory Reporting. The Compliance Regulatory Reporting menu is displayed. Click Canadian STR.

Compliance Regulatory Reporting application displays the following menu options:

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

Searching a Report

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

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

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

4.1 Advanced Search

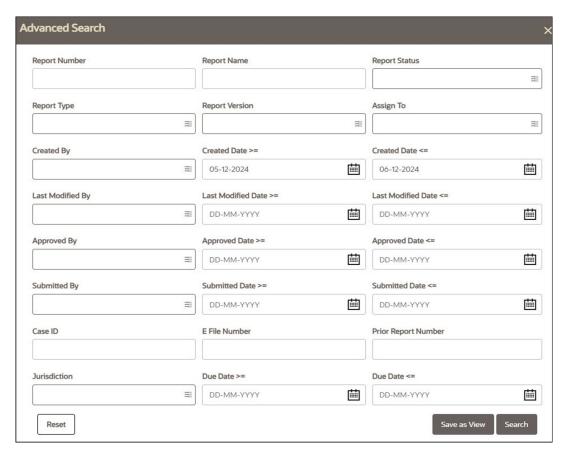
The Advanced Search offers an additional set of fields to the search fields provided with the Basic Search. This option helps you narrow down your search results. You can use combinations of these search criteria to quickly find the reports you are looking for.

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

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



Figure 4-1 Advanced Search



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



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

Table 4-1 Advanced Search

Fields	Description
Report Name	Enterthe report name you want to view. By default, it is a wildcard search. But you can also use '%' and '_' as wildcard indicators.
	NOTE: Enterat least three characters. You can enter a maximum of 50 characters in this field.



Table 4-1 (Cont.) Advanced Search

Fields	Description	
Report Status	Selectone or more statuses from the following options: Approved Cancelled E-File Generated (Not applicable for 'no batch filling') Open Rejectedfrom E- File (Not applicable for 'no batch filling') Reopened Requestedfor Approval Rework Submitted Acknowledgement- Accepted Acknowledgement- Accepted with warnings Acknowledgement- Reject.	
ReportVersion	Selectone of the report versions from the following options: Gen1 Gen2	
ReportType	Selectone or more report types from the following options: Submit Change Delete	
AssignedTo	Selecta role to assign from the drop-down list.	
CreatedBy	Selectthe user who has created the report. Youcan enter multiple names by using a comma to separate the entries.	
CreatedDate <=*	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 reportscreated during the date range. For example, reports created on or before December 26, 2019. NOTE:By default, the date range is set to one day difference, but user can configure based on their requirement.	
CreatedDate <=*	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 reportscreated during the date range. For example, reports created on or before December 26, 2019. NOTE:By default, the date range is set to one day difference, but user can configure based on their requirement.	
LastModified By	Selectthe user who last modified the report. Use this criterion to view all the reports modified by the user. For example, Analyst1, Supervisor2, and so on.	
Last Modified Date	Select the last modified date to view reports having a last modified date greater than or equal to the specified date. Using this criterion, you can view the reports modified during the date range. For example, reports modified on or after July 27, 2019	
Last Modified Date >=	Select the last modified date to view reports having a last modified date greater than or equal to the specified date. Using this criterion, you can view the reports modified during the date range. For example, reports modified on or after July 27, 2019. You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.	
Approved By	Select the name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.	



Table 4-1 (Cont.) Advanced Search

Fields	Description
Approved Date >=	Select the approved date to view reports having an approved date greater than or equal to the specified date. Using this criterion, you can view the reports approved during the date range. For example, reports approved on or after December 26, 2019.
Approved Date <=	Select the approved date from the calendar to view reports having an approved date lesser than or equal to the specified date. Using this criterion, you can view the reports approved during the date range. For example, reports approved on or before December 26, 2019.
Submitted By	Select the user(s) who submitted the report. For example, Analyst1, Analyst2, and so on.
Submitted Date >=	Select the submitted date to view reports having a submitted date greater than or equal to the specified date. For example, reports submitted on or after July 18, 2019.
Submitted Date <=	Select the submitted date to view reports having a submitted date lesser than or equal to the specified date. For example, reports submitted on or before July 18, 2019.
Case ID	Enter the case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure that you do not enter a space after the comma. This overrides all other filter criteria. For example, CA660,ca671. NOTE: This search is not case-sensitive. You can enter a maximum of 255 characters in this field.
	Case ID is the identifier that has triggered the creation of a report in the OFS CRR CA STR application.
E-File ID	Entera unique identification number of the E-File.
PriorReport Number	Enterthe prior report number to view the original report stored in the revised report.
Jurisdiction	Selectthe jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.
	Everyreport is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction associated with that case.
	Each user has access to a set of jurisdictions. Every report is associated with a singlejurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction.
DueDate>=	Selectthe 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 have a due date on or after December 26, 2019.
DueDate<=	Select the due date from the calendar to view reports having a due date lesser thanor 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 have a due date on or before December 26, 2019.

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



4.2 Views

Views search helps you quickly filter the reports based on pre-defined search queries. You can save your search criteria as Views.

To search reports using the Views option, follow these steps:

- 1. On the Search and List page, click Views to view the available options.
- 2. Select the following information in the Views Search pane as tabulated.

The following describes fields in the Views Search pane.

The Search and List page refreshes to show the results matching the View Search criteria. You can also create your pre-defined views. For more information, see Saving Views.

Table 4-2 Pre-defined views

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

4.3 Saving Views

Use the Save as View option to save your search criteria as a View. The saved views are available in the Views 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 Views. When you log in to the application next time, rather than re-entering the search criteria, you select the required pre- defined view as SupDecember and filter the reports. For more information, see <u>Views</u>.

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

- On the Search and List page, click the Advanced Search. The Advanced Search window is displayed.
- Enter the search criteria in the search fields. For more information on the search criteria, see Table 5.
- 3. Click **Save as View**. The Save as View window is displayed.
- 4. Enter the view name and view details. The field marked with * an asterisk is mandatory.





The View Details field allows a maximum of 255 characters.

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



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 List section to view the list on reports based on your search criteria.

Click the required report number to view additional information of reports that you can use to analyze or take action. By default, all reports are displayed if you do not use any search criteria to filter the list.

(i) Note

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

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

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

Creating a Report

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

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

5.1 Acknowledgment to OFS ECM

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

To send the acknowledgment, the OFS CRR CA STR Administrator must set the status to Y. If the status is set to N, the OFS CRR CA STR application does not send any status update to the OFS ECM application. By default, the ECM STATUS UPDATE FLAG is set to Y.

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

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

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

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

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

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





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

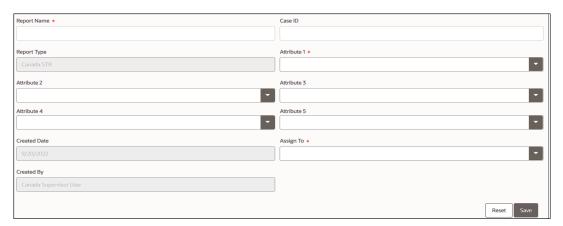
When you identify a report of suspicious behavior that is not reported through the OFS ECM application but want to report it to the regulator, you can manually create a new report using the Create New Report option in the OFS CRR CA STR application.

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

To create a new report, follow these steps:

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

Figure 5-1 Create a New Report



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

<u>Table 5-1</u> describes fields in the Creating New Report pane. Fields marked with an asterisk * is mandatory.

Table 5-1 Creating New Report

	<u>. </u>
Fields	Description
Report Name	Enter the name of the new report. Note: Enter up to fifty characters.
Case ID	Enter the unique case identification number.
Report Type	This field is auto-populated with the report type. For example, Canadian STR.
Attribute 1	This attribute specifies the jurisdiction for the report. For example, AMEA, JAPAC, and so on.
Attribute 2	This attribute specifies the business domain for the report. For example, bank, financial institute, and so on.
Attribute 3	This attribute specifies the case type for the report. For example, AML, KYC, and so on.



Table 5-1 (Cont.) Creating New Report

Fields	Description
Attribute 4	This attribute specifies the organization for the report. For example, the name of the organization.
Attribute 5	This attribute specifies the source of the report. For example, Money laundering, currency transactions, and so on.
Created Date	This is auto-populated with the current system date.
Assigned To	Select the user from the drop-down menu.
Created By	This is auto-populated with the logged-in user's name.

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

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

① Note

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

Analyzing a Report

To declare any report to be suspicious and report it to the FINTRAC, you must view and assess the selected report and its details. There can be one or more transactions associated with a report.

You must also know the types of transactions, entities, or individuals associated with it. You must study details of suspicion, documents, and audit history associated with the report before you take any type of action on the selected report.

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

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

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

- Accessing Report Details: Use this section to access the specific Report Details. Click the required Report Number on the Regulatory Reports List page to open the Report Details page.
- General Information: Use this section to view and update reporting entity, types of reporting entities, and Whom can FINTRAC contact about the selected Report, Ministerial directives, and Reporting entity report reference number.
- <u>Transaction Information</u>: This section allows you to update the date and time of the transaction, method of transaction, a location where the transaction was conducted, the purpose of the transaction, Whether the transaction is below or above \$10,000 CAD, and reporting entity transaction reference number. Use this section to add a new transaction to the selected report and update or remove existing transactions.
- Starting Action: This section allows you to update the amount and currency of cash
 received, information about the source of cash, conductor (person or entity that conducted
 the transaction and their associated information), and third party (person or entity on
 whose behalf the transaction is conducted and their associated information). Within each
 starting action, you must include multiple conductors, account holders, sources of funds or
 virtual currency, and third parties. If the conductor or third party is an entity, you must
 include information about the entity's director(s) as applicable.
- Completing Action: Use this section to provide information about how the transaction was
 completed. Such as Details of disposition, Amount and currency or virtual currency type,
 Virtual currency address, reference and/or account information, Any other person or entity
 involved in the completing action and their associated information, and Beneficiary (any
 person or entity that was the beneficiary of the transaction and their associated
 information).
- <u>Details of Suspicion</u>: This section is the narrative that explains your grounds for suspicion
 that led to your decision to submit a Suspicious Transaction Report to FINTRAC. You must
 describe in a clear, simple, and concise language your grounds for suspicion of a money
 laundering or terrorist financing offence including the facts, context, and indicators that
 allowed you to reach reasonable grounds for suspicion.
- <u>Documents</u>: Use this section to add related documents to the selected report.



 <u>Audit</u>: Use this section to view the audit history of a report. It provides complete details of the actions performed on the report and comments provided by the users in the various statuses.

6.1 Accessing Report Details

To access the Report Details page, follow these steps:

- On the Search and List page, click the required Report Number. The Reports Details
 page is displayed. By default, the General Information tab is displayed.
 - Use the Report Context pane to view the gist of the report details such as the report name, report status, the person who created it, and so on, to take further action.
- 2. Click to expand the Report Context pane

6.2 General Information

Use this section to view and update the reporting entity, types of reporting entities, and Whom can FINTRAC contact about the selected Report, Ministerial directives, and Reporting entity report reference number.

This section displays the Type of Report. This indicates the type of report such as submit, change, or delete.

Topics:

- Reporting Entity
- · Which one of the following types of reporting entities best describes you
- Whom can FINTRAC Contact About This Report
- Report Information

6.2.1 Reporting Entity

Use this section to view and update information about the reporting entity for this specific report. Such as Reporting Entity Number and Reporting entity report reference number.

To update the reporting entity, follow these steps:

Enter the following information in the Reporting Entity section as tabulated.

Reporting Entity describes fields in the Reporting Entity.

Table 6-1 Reporting Entity

Fields	Description
Reporting Entity Number	Select the reporting entity number from the drop-down list. You must enroll in the FINTRAC Web Reporting System (FWR) to submit reports electronically. Provide the 7-digit identifier number assigned to you by FINTRAC at enrollment.
Reporting entity report reference number	Displays the reporting entity report reference number. A number assigned to each report by: you (the reporting entity), or the individual or organization submitting the report on your behalf. This number must be unique to your business, meaning it can only be used once.

2. Click **Save**. The reporting entity details are saved.



6.2.2 Which one of the following types of reporting entities best describes you

Select the activity sector from the drop-down. For example, Accountant, Bank, and so on.

If you are involved in more than 1 type of business activity, indicate the one applicable to the transaction being reported.

If there is more than 1 business activity for 1 or more transactions on the report, select only 1 to indicate your principal type of business activity.

6.2.3 Whom can FINTRAC Contact About This Report

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

Enter the contact information of the person you would like FINTRAC to liaise with in the event that a follow-up is required.

You must ensure that all of your contacts' information is up to date in THE FINTRAC Web. Reporting System (FWR) prior to submitting your report(s).



(i) Note

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

- Select the contact identifier from the drop-down list (Contact identifier details are based on the Reporting Entity Number you have selected). Based on your selection, the person's details such as Surname, Given name, Other/initial, Telephone number, Extension, and Email address are displayed in the respective fields.
- Click **Save**. The selected information is updated.

6.2.4 Report Information

If a transaction is being reported to FINTRAC under a ministerial directive, then indicate this by selecting the ministerial directive in the report.

Leave this field blank if the transaction(s) are not part of a ministerial directive.



(i) Note

- Only one Ministerial Directive (IR2020) is available for a Suspicious Transaction report. If you select Ministerial Directive, then the report can only contain one transaction. This transaction must be a completed transaction that includes a starting and completing action. In addition, you must not complete the "Details of suspicion" and "Action taken" sections of the Suspicious Transaction Report form.
- If a transaction is being reported to FINTRAC under a Ministerial Directive and the transaction also meets the reasonable grounds to suspect threshold, then you must submit two reports to FINTRAC. In the first report, select Ministerial Directive and do not complete the "Details of suspicion" and "Action taken" sections of the Suspicious Transaction Report form. In the second report, do not select Ministerial Directive but complete all applicable fields of the form, including the "Details of suspicion" and "Action taken" sections.

Use this section to update Ministerial Directive.

To update the report information, follow these steps:

- 1. Select the Ministerial Directive from the drop-down list.
- 2. Click Save. The selected information is updated.

6.3 Transaction Information

This section allows you to update the date and time of the transaction, method of the transaction, location where the transaction was conducted, the purpose of the transaction, Whether the transaction is below or above \$10,000 CAD, and reporting entity transaction reference number.

Use this section to add a new transaction to the selected report and update or remove existing transactions.

Topics:

- Adding a Transaction
- Automatic Splitting

6.3.1 Adding a Transaction

Use this section to add a new transaction to the selected report.

To add and update the transactions, follow these steps:

 In the Transactions section. Click Add. The Information about the transaction section is displayed.



Figure 6-1 Information about the transaction



Enter the following information in Information about the transaction fields as tabulated.
 Information about the transaction table describes fields to add a transaction. Fields marked with an asterisk * are mandatory.

Table 6-2 Information About the Transaction

Fields	Description
Reporting entity transaction reference number	Displaysthe Reporting entity transaction reference number. NOTE: This information is displayed only when you add other details and save it.
Wasthe transaction attempted?	Specifywhether the transaction was attempted by selecting Yes or No from the drop-down list.
Reasontransaction was not completed	Mentionthe reason why the transaction was not completed. NOTE: This field is enabled only if you have selected <i>Yes</i> option in the <i>Was the transaction attempted?</i> field.
Dateof the	Selectthe date on which the transaction was conducted.
Transaction	Itcannot be a future date and must be different from the posting date.
	Thisfield is mandatory, unless you: are a financial entity, and indicate that the transaction was a night deposit or a quick drop.
	If you do not provide the date of the transaction in this field, you must provide the date of posting if different from the date of the transaction. Refer to the field Date of posting for more information.
Timeof the Transaction	Enter the time of the transaction or attempted transaction and provide the timezone (that is, UTC offset) based on the location where the transaction or attempted transaction took place (for example, the location where the cash was received).
	Thetime must be entered in the following format: HH:MM:SS±ZZ:ZZ.
	Forexample, 1:25:06 pm in Ottawa, ON would be reported as 13:25:06-05:00.
	Areport can contain multiple transactions that took place in different time zones.
	Ifyou do not know the time of an attempted transaction, but you are aware of the approximate time frame of when the attempted transaction occurred, you can indicate this in the narrative section of the report (Details of suspicion)— for example, afternoon, morning, between 3 to 4 pm.
Methodof the Transaction	Selectthe method that describes how the transaction occurred (for example, the method that describes how you received the cash, funds, or virtual currency).
	Ifthe method is not listed, select "Other."



Table 6-2 (Cont.) Information About the Transaction

Fields	Description
Date of posting (if differentfrom date of transaction)	Enterthe date the transaction is posted, if this differs from the date of the transaction. It cannot be a future date and it must be different from the transaction date.
	Thisfield is mandatory if:
	Thetransaction was a night deposit or quick drop and the date of the transaction was not provided, or
	Theposting date differs from the transaction date In all other cases, this is a reasonable efforts field.
Time of posting (if differentfrom time of transaction)	Enterthe time of posting, if this differs from the time of the transaction. The time must be entered in the following format: HH:MM:SS±ZZ:ZZ.
	Forexample, 1:25:06 pm in Ottawa, ON would be reported as 13:25:06-05:00.
Purposeof transaction	Enterthe purpose of the transaction.

3. Click **Save**. A new transaction is added to the list. The Information about where the transaction was conducted or attempted section is displayed.

6.3.1.1 Information About Where the Transaction was Conducted or Attempted

Provide information about the physical location where the transaction took place or was attempted. For example, if the transaction was conducted at:

- A branch, provide the reporting entity location number of that branch.
- An automated teller machine (ATM), provides the reporting entity location number of that ATM.

For the following situations, provide the location number of where the transaction was processed – this could be a branch location or a head office location, depending on your business process:

- There is no physical location (for instance, the transaction was conducted online).
- The location where the transaction occurred does not belong to your business (for instance the location of a white label ATM that you do not own).



Informationabout a location that does not belong to your business can be provided in the narrative section of the Suspicious Transaction Report.

1. Select the reporting entity location number from the drop-down list. Based on your selection, the rest of the fields such as City, Country, and so on are auto-filled.

This represents information about where the transaction took place. For example, if the client deposited cash at Branch 1, then select the location number that is associated with Branch 1.

If the client conducts a transaction online, then select the location number that is associated with the location that processes the client's online instructions – this could be a branch location or head office location, depending on your business process. The location



number is created and assigned to you by FINTRAC during the enrollment process to the FINTRAC Web Reporting System (FWR), and maintained by your FWR administrator.

- To remove the existing transactions from the list, select the required transaction from the list and click **Delete**. The selected transaction is removed.
- To valid the transaction, click **Validate** to authenticate the details.

6.3.2 Automatic Splitting

Use this section to split the transactions in a report. You can automatically split a report in the following scenarios:

- If there are more than 5000 transactions in a report
- If the transaction is through MDIR (Ministerial Directive) filings, then split a report per transaction.

To automatically split a report, follow these steps:

- Click the **Transaction Information** tab. The list of the Transaction is displayed.
- Click Automatic Split. A confirmation message is displayed. The transactions are split and new reports are created.

If there are no transactions to split, an error message is displayed.



Note

Automatic split is available only when the report type is Open, Rejected from E-File, and Reopen.

6.4 Starting Action

Use this section to provide information about how the transaction was started.

This section allows you to update the amount and currency of cash received, information about the source of cash, conductor (person or entity that conducted the transaction and their associated information), and third party (person or entity on whose behalf the transaction is conducted and their associated information).

Within each starting action, you must include multiple conductors, account holders, sources of funds or virtual currency, and third parties. If the conductor or third party is an entity, you must include information about the entity's director(s) as applicable.

Topics:

- **Transaction**
- **Starting Action**
- **Starting Action Tabs**

6.4.1 Transaction

Use this section to view transactions associated with the selected report.

To view the transactions, follow these steps:



- 1. On the Reports Details page, click the **Starting Action** tab. The Starting Actions page is displayed. By default, Transaction section is displayed.
- Select a transaction reference number from the Transaction section. The Starting Actions section is displayed.

6.4.2 Starting Action

Use this section to add Direction of starting action (in or out), Amount and type of funds, assets or virtual currency (in or out), Currency or virtual currency type, Information about the source of funds, assets or virtual currency, Virtual currency address reference and/or account information, Information about how the funds or virtual currency were obtained, Conductor (person or entity that conducted or attempted the transaction and their associated information), Third party (person or entity on whose behalf the transaction is conducted or attempted and their associated information).

To add a new starting action, follow these steps:

- 1. On the Reports Details page, click the **Starting Action** tab. The Starting Action page is displayed.
- Select a transaction reference number from the Transaction section. The Starting Actions section is displayed.
- Click Add. The Add Starting Action section is displayed.

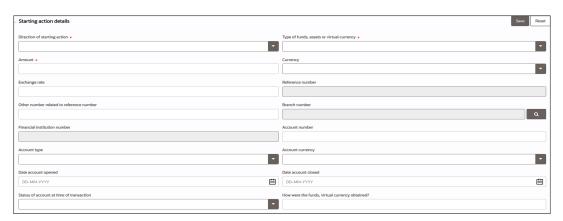


Figure 6-2 Starting Action

Enter the following information in the starting action fields as tabulated.

Starting Action describes fields to add a starting action. Fields marked with an asterisk * are mandatory.



Table 6-3 Starting Actions

Fields	Description
Direction of	Select thedirection of the starting as In or Out.
startingaction	The direction of the starting action is <i>In</i> when a client physically brings in or electronically transfers in funds, assets or virtual currency to your business to start a transaction.
	The direction of the starting action is Out when your client requests to start a transaction with client funds, assets or virtual currency already held by or deposited at your business.
	Forexample,
	Thedirection of the starting action is in, if a client brings cash to your business to purchase a bank draft.
	The direction of the funds is out for the starting action, if a client doesnot bring in any funds but requests to purchase a bank draft with the client's funds already held by or deposited at your business.
Typeof funds, assets or virtual currency	If the direction of the starting action is In , select one of the following based on what the client brought or transferred in to start the transaction: Bankdraft, Cash, Casino product, Cheque, Domestic funds transfer Email money transfer (EMT), International funds transfer Investment product, Jewellery, Mobile money transfer, Money order, Precious metals, Precious stones, Virtual currency, and Other.
	If the direction of the starting action is Out , select one of the following based on what the client used to start the transaction: Casino product, Funds withdrawal, Investment product, Virtual currency, and other.
Amount	Enterthe total amount of funds, assets, or virtual currency involved in the starting action.
	Ifthis amount was not in Canadian dollars (CAD), do not convert it to CAD but provide the currency or virtual currency type in the next field.
Currency	Selectthe currency type from the drop-down list.
	If the currency or virtual currency type is not in the lists provided, youmust select "Other" and provide the full name of the currency.
Exchangerate	Enterthe exchange rate that you used for the transaction.
	Thiscan be an exchange rate for fiat currency or virtual currency.
Reference number	Thereference number is auto populated when you save this section.
Othernumber related to reference number	Enterany other number related to the reference number as applicable.
Branchnumber	Searchand select the branch number.
Financialinstitution number	Enterthe financial institution number of the account from which the transaction was initiated.
Accountnumber	Ifthe transaction involves an account, then enter the account number.
Accounttype	Selectthe account type from the drop-down list.
	Ifthe account type is not in the list provided, you must select "Other" and provide the account type.
Accountcurrency	Enterthe account currency type code.
	Ifthe account currency type code cannot be found, you must select "Other" and provide the currency type.
Dateaccount opened	Providethe date the account was opened.
Dateaccount closed	Providethe date the account was closed.
Statusof account at time of transaction	Provide the status of the account at the time of the transaction (For example, active, inactive, dormant, closed).



Table 6-3 (Cont.) Starting Actions

Fields	Description
Howwere the funds, virtual currency obtained?	This is how the conductor initially acquired the funds or virtual currencyused for the transaction, not where the funds or virtual currency may have been transferred from.
	Forexample, you can obtain funds or virtual currency from activities such as:
	 I Employment I Saleof a large asset, and I Gifts Thisinformation must be reported if obtained.

Click Save. A new starting action is updated and tabs such as Account Holder, Source of Funds, Conductor, and On Behalf of are displayed.

6.4.3 Starting Action Tabs

Use this section to view and update the following tabs:

Topics:

- Account Holder
- Source of Funds
- Conductor
- · On Behalf of

6.4.3.1 Account Holder

Use this section to add, update, and view account holder details. An account holder can be a person or entity.

Topics:

- Person (Account Indicator)
- Entity (Account Indicator)

6.4.3.1.1 Person (Account Indicator)

Use this section to add, update, and view person details.

To add a new person, follow these steps:

- On the Starting Action tab, navigate to the Starting Action section and click the Account Holder tab. The Person section is displayed.
- 2. Click Add. The Person Details section is displayed.
- 3. Enter the following information in the person fields as tabulated.

Person Details table describes fields to add a person. Fields marked with an asterisk * are mandatory.



Table 6-4 Person Details

Fields	Description
Surname	Providethe last name of the person.
Givenname	Providethe first name of the person.
	NOTE:Ifa person has only a single name, enter "XXX" in the "Given name" field and the person's single name in the "Surname" field.
Other/initial details	Provide the middle or other name(s) of the person or their initial(s) if no other names apply.

- Click Save. A new person is added to the Person list.
- 5. To modify or remove existing persons, select the required person and modify the information, or click Delete to remove the person from the list.

6.4.3.1.2 Entity (Account Indicator)

Use this section to add, update, and view entity details.

To add a new entity, follow these steps:

- On the Starting Action tab, navigate to the Starting Action section and click the Account Holder tab. The Entity section is displayed.
- 2. Click **Add**. The Entity Details section is displayed.
- 3. Enter the full name of the entity.
- 4. Click Save. A new entity is added to the Entity list.
- To modify or remove the existing entity, select the required entity and modify the information, or click **Delete** to remove the entity from the list.

6.4.3.2 Source of Funds

If you have information on any source of funds or virtual currency involved in the transaction, you must report it. If there are multiple sources, you must provide information for each source.

Use this section to specify whether you know the source of funds. If you know then you must specify whether it is a person or entity and their details.

Topics:

- Source of Funds Indicator
- Person (Source of Funds)
- Entity (Source of Funds)

6.4.3.2.1 Source of Funds Indicator

Use this section to mention whether you know the source or funds.

To mention the source of funds, follow these steps:

- 1. On the Starting Action section, and click the **Source of Funds** tab. The Source of Funds Indicator section is displayed.
- Select Yes or No to specify whether the information about the source (person/entity) of funds or virtual currency obtained?'



If you know the source of funds, then select Yes and click Save. The Person or Entity Details sections are displayed.

6.4.3.2.2 Person (Source of Funds)

Use this section to add, update, and view person details.

This section is enabled only if you have selected the Yes option in the Was information about the source (person/entity) of funds or virtual currency obtained?' of the Source of Funds Indicator section.

To add a new person, follow these steps:

- 1. On the Source of Funds tab, go to the Source of Indicator section.
- Select Yes in the Was information about the source (person/entity) of funds or virtual currency obtained? The Person Details section is displayed.
- 3. Enter the following information in the person fields as tabulated.

Person Details Fields table describes fields to add a person. Fields marked with an asterisk * are mandatory.

Table 6-5 Person Details Fields

Fields	Description
Surname	Provide the last name of the person.
Givenname	Providethe first name of the person.
	NOTE: If a person has only a single name, enter "XXX" in the "Given name" field and the person's single name in the "Surname" field.
Other/initial details	Provide the middle or other name(s) of the person, or their initial(s) if no other names apply.
AccountNumber	Provide the account number for the source of funds.
	Itis acceptable to include the financial institution number and branch number as part of an account number.
Policynumber	Providethe policy number.
Identifyingnumber	If there is no account or policy number, provide an identifying number if available.

- 4. Click Save. A new person is added to the Person list.
- To modify or remove existing persons, select the required person and modify the information, or click Delete to remove the person from the list.

6.4.3.2.3 Entity (Source of Funds)

Use this section to add, update, and view entity details.

This section is enabled only if you have selected the Yes option in the Was information about the source (person / entity) of funds or virtual currency obtained?' of the Source of Funds Indicator section.

To add a new entity, follow these steps:

- 1. On the Source of Funds tab, go to the Source of Indicator section.
- 2. Select **Yes** in the Was information about the source (person/entity) of funds or virtual currency obtained? The Entity Details section is displayed.
- 3. Enter the following information in the entity fields as tabulated.



Entity Fields tale describes fields to add an entity. Fields marked with an asterisk * are mandatory.

Table 6-6 Entity Details Fields

Fields	Description
Nameof Entity	Providethe name of the entity.
AccountNumber	Providethe account number for the source of funds.
	Itis acceptable to include the financial institution number and branch number as part of an account number.
Policynumber	Providethe policy number.
Identifyingnumber	If there is no account or policy number, provide an identifying number if available.

- Click Save. A new entity is added to the Entity list.
- **5.** To modify or remove the existing entity, select the required entity and modify the information, or click **Delete** to remove the entity from the list.

6.4.3.3 Conductor

If you have information on any conductor involved in the transaction, you must report it.

Use this section to specify whether you know the conductor. If you know then you must specify whether it is a person or entity and their details.

Topics:

- Conductor Indicator
- Person (Conductor Indicator)
- Entity (Conductor Indicator)

6.4.3.3.1 Conductor Indicator

Use this section to mention whether you know the conductor.

To specify the conductor, follow these steps:

- 1. On the Starting Action tab, navigate to the Starting Action section and click the **Conductor** tab. The Conductor Indicator section is displayed.
- 2. Select **Yes** or **No** to specify whether you have obtained any conductor information related to this transaction or attempted (Only select No if the conductor is not your client and, after taking reasonable measures, you were not able to obtain any conductor details).
- If you know the conductor then select Yes and click Save. The Person or Entity Details sections are displayed.

6.4.3.3.2 Person (Conductor Indicator)

Use this section to add, update, and view person details. This section is enabled only if you have selected the Yes option in the Have you obtained any conductor information related to this transaction or attempted of the Conductor Indicator section.

To add a new person, follow these steps:

1. On the **Conductor** tab, go to the Conductor Indicator section.



- 2. Select **Yes** in the Have you obtained any conductor information related to this transaction or attempted. The Person section is displayed.
- 3. Click Add. The Person Details section is displayed.

6.4.3.3.3 Person Details (Conductor)

Use this section to udpate Person Details (Conductor).

To add a Person Details (Conductor), follow these steps:

Enter the following information in the director details fields as tabulated.
 Table describes fields to add a director. Fields marked with an asterisk * are mandatory.

Table 6-7 Person Details (Conductor)

Fie	lds	Description
Surname		Providethe last name of the director.
Giv	enname	Providethe first name of the director.
		NOTE:Ifa person has only a single name, enter "XXX" in the "Given name" field and the person's single name in the "Surname" field.
Oth	er/initial details	Provide the middle or other name(s) of the director, or their initial(s) if no other names apply.
Alia	as	Providethe name a person uses, or by which they are known, other than the name provided under surname, given name, or other/ initial.
Clie	ent number	Provideclient number. A unique identifying number is assigned by the reporting entity to the person conducting the transaction.
Cou	untry	Selectthe county from the drop-down list.
•	Apartment/Room/	Enterthe address details such as street address, district, and so on.
	Suite/Unitnumber	NOTE: If the Unstructured Address value is provided, other
•	House/Buildingnum-	addresscomponents, except Country, will not be considered for efiling.
	ber	Enterother details such as Telephone number, the URL (Enter the
	Streetaddress City	uniform resource location, commonly known as the web address, for
	District	the conductor. This includes the URL for personal or business websites, blogs, and any social media. If the conductor has more than
•	Provinceor state (name)	one URL, provide the main URL in this field and the others in the Details of Suspicion section. The URL does not include handles which
•	Province or state (code)	can be included in the Details of Suspicion section.), date of birth, and so on.
•	Sub-province and/or sub-locality	NOTE: Youmust only use the unstructured address field when it is not possible to separate the address information
•	Postalor zip code	
•	Unstructuredaddress details	
•	Telephone number	
•	Extension	
•	Emailaddress	
•	URL	
•	Dateof birth	
•	Countryof residence	
•	Countryof citizenship	
•	Occupation	
•	Nameof employer	

2. Click Save. A new person is added to the person list.



To modify or remove the existing person's details, select the required person and modify the information, or click **Delete** to remove the person from the list.

6.4.3.3.4 Information About the Employer's Address

Use this section to view, add, and update information about the employer's address such as country, city, district, and so on.

To add information about the employer's address.

 Enter the following information in the Information about the employer's address fields as tabulated.

Information about the employer's address table describes fields to add Information about the employer's address. Fields marked with an asterisk * are mandatory.

Table 6-8 Information about the employer's address

Fields	Description
Country	Selectthe county from the drop-down list.
 Apartment/Room/ Suite/Unitnumber House/Buildingnum- ber I Streetaddress I City I District Provinceor state (name) I Province or state (code) Sub-province and/or sub-locality I Postalor zip code Unstructuredaddress details I Telephone number I Extension 	Enterthe address details such as street address, district, and so on. NOTE: If the Unstructured Address value is provided, other addresscomponents, except Country, will not be considered for efiling. Enterother details such as Telephone number, the URL (Enter the uniform resource location, commonly known as the web address, for the conductor. This includes the URL for personal or business websites, blogs, and any social media. If the conductor has more than one URL, provide the main URL in this field and the others in the Details of Suspicion section. The URL does not include handles which can be included in the Details of Suspicion section.), date of birth, and so on. NOTE:Youmust only use the unstructured address field when it is not possible to separate the address information

2. Click **Save**. Information about the employer's address is added.

6.4.3.3.5 Identification of the Person

Use this section to view, add, and update information about the identification of the person such as identification type, county, province, and so on.

To add the identification of the person, follow these steps:

- 1. Click Add. The Identification of the Person section displays.
- Enter the following information in the Identification of the person fields as tabulated.
 Identification of the person table describes fields to add information to the Identification of the person. Fields marked with an asterisk * are mandatory.



Table 6-9 Identification of the Person

Fields	Description
Identifiertype	Selectthe identifier type for the person or entity as applicable.
	Ifthe identifier type is not listed, select "Other" and provide details.
	If you use thedual process method to identify a person, you must provide details of both sources of information in the identifier type fields.
	NOTE: Donot report a Social Insurance Number (SIN) to FINTRAC. In addition, you cannot use documentation for identification purposes where it is prohibited by provincial legislation.
Numberassociated with	Providethe number associated with the identifier type.
identifier type	Thisis the number indicated on the identifier type that was used to verify the identity of the person or entity. For example, on a driver's license, the license number is the identification number and on a Certificate of Incorporation, the incorporation number is the identification number.
Jurisdictionof issue (country, province or state)	Enterthat country as the jurisdiction of the issue.
Jurisdiction of issue (province or state) (name)	Selectthe province or state code from the list of options.
Jurisdiction of issue (province or state) (code)	Enterthe province or state name as the jurisdiction of the issue, and the corresponding country information.

- 3. Click **Save**. Information about the Identification of the person is added.
- 4. To modify or remove existing details, select the required Identification of the person and modify the information, or click **Delete** to remove the Identification of the person from the list.

6.4.3.3.6 Information About Conducting or Attempting to Conduct the Transaction Online

Use this section to provide information about conducting or attempting to conduct the transaction online. Such as Type of device used, Username, Device identifier number, Internet protocol address, and so on.

 Enter the following information in the Information about conducting or attempting to conduct the transaction online fields as tabulated.

Information about conducting or attempting to conduct the transaction online table describes fields to add information about conducting or attempting to conduct the transaction online. Fields marked with an asterisk * are mandatory.

Table 6-10 Information about conducting or attempting to conduct the transaction online

Fields	Description
Typeof device used	Providethe type of device used.
	Ifthe "Other" type of device used is selected, you must specify the type of device used.
Username	Ausername is how a person or an entity refers to themselves online.
Deviceidentifier number	Thedevice identifier number is a number assigned to the device, such as a Media Access Control (MAC) address or International Mobile Equipment Identity (IMEI) number.



Table 6-10 (Cont.) Information about conducting or attempting to conduct the transaction online

Fields	Description
Internetprotocol address	Provide the Internet Protocol (IP) address. It is the unique identifying number assigned to every device connected to the internet.
Dateand time of online session in which request was made	Enterthe Date and time of the online session in which the request was made. This is the date and time the conductor accessed the online environment where the transaction was requested.

- 2. Click **Save**. The information about conducting or attempting to conduct the transaction online is added.
- 3. To modify or remove existing information about conducting or attempting to conduct the transaction online, select the required information about conducting or attempting to conduct the transaction online and modify the information, or click **Delete** to remove the information about conducting or attempting to conduct the transaction online from the list.

6.4.3.3.7 Entity (Conductor Indicator)

Use this section to add, update, and view entity details.

This section is enabled only if you have selected the Yes option in the Have you obtained any conductor information related to this transaction or attempted of the Conductor Indicator section.

To add a new entity, follow these steps:

- 1. On the **Conductor** tab, go to the Conductor Indicator section.
- Select Yes in the Have you obtained any conductor information related to this transaction or attempted. The Entity section is displayed..
- Click Add. The Entity Details section is displayed.

6.4.3.3.8 Entity Details

Use this section to update Entity Details.

To update the entity details, follow these steps:

Enter the following information in the entity details fields as tabulated.

Entity Details table describes fields to add an entity. Fields marked with an asterisk * are mandatory.

Table 6-11 Entity Details Fields

Fields	Description
Surname	Providethe last name of the person.
Client number	Provideclient number. A unique identifying number is assigned by the reporting entity to the person conducting the transaction.
Country	Selectthe county from the drop-down list.



Table 6-11 (Cont.) Entity Details Fields

Fie	lds	Description
	Apartment/Room/ Suite/Unitnumber House/Buildingnum- ber I Streetaddress I City I District Provinceor state (name) I Province or state (code) Sub-province and/or sub-locality I Postalor zip code Unstructuredaddress details I Telephone number I Extension I Emailaddress I URL	Enterthe address details such as street address, district, and so on. NOTE: If the Unstructured Address value is provided, other addresscomponents, except Country, will not be considered for efiling. Enterother details such as Telephone number, the URL (Enter the uniform resource location, commonly known as the web address, for the conductor. This includes the URL for personal or business websites, blogs, and any social media. If the conductor has more than one URL, provide the main URL in this field and the others in the Details of Suspicion section. The URL does not include handles which can be included in the Details of Suspicion section.), email, and so on. NOTE: Youmust only use the unstructured address field when it is not possible to separate the address information.

6.4.3.3.9 Information Respecting the Structure of Entity

Use this section to update Information respecting the structure of entity.

To update Information respecting the structure of entity, follow these steps.

 Enter the following information in the Information respecting the structure of entity fields as tabulated.

Information respecting the structure of entity table describes fields to add Information respecting the structure of an entity. Fields marked with an asterisk * are mandatory.

Table 6-12 Information respecting the structure of entity Fields

Fields	Description
Entity structure/type	Provide the entity ownership structure type: I Corporation I Theentity other than a corporation or trust If "Entity other than a corporation or trust" is selected, provide specification.
Natureof entity's principal business	Enterthe nature of the entity's principal business. Youmust be as descriptive as possible when entering the entity's principal business. Ifthe entity's principal business is "sales," provide the type of sales, such as "pharmaceutical sales" or "retail clothing sales." You can enter a numeric classification code and the code title in this field (for example, NAICS – North American Industry ClassificationSystem). However, a numeric code on its own is not sufficient, as you need a written description of the nature of the entity's principal business as explained above.
Do you have the entity's incorporationor registration information?	SelectYes or No to specify whether you have the entity's incorporation or registration information.



Table 6-12 (Cont.) Information respecting the structure of entity Fields

Fields	Description
Incorporatedor registered?	This field is enabled only if you have selected Yes in the <i>Do you havethe</i> entity's incorporation or registration information? field.
	Indicatewhether the entity is registered, incorporated, registered, and incorporated or unknown.

2. Click **Save**. Information about the information respecting the structure of the entity is added.

6.4.3.3.10 Director(s) of corporation

Use this section to provide information about the director of the corporation associated with the entity. This section is only enabled if you have selected the Corporation option in the Information respecting the structure of entity drop-down.

To update Director(s) of corporation, follow these section.

- 1. On the Information respecting the structure of the entity, when you select Corporation. The director(s) of the corporation section is displayed.
- 2. Click Add. The Director Details section is displayed.

6.4.3.3.11 Director Details (Conductor)

Use this section to update Director Details (Conductor).

To update Director Details (Conductor), follow these steps:

Enter the following information in the director details fields as tabulated.
 Table describes fields to add a director. Fields marked with an asterisk * are mandatory.

Table 6-13 Director Details

Fields	Description
Surname	Providethe last name of the director.
Givenname	Providethe first name of the director.
	NOTE:Ifa person has only a single name, enter "XXX" in the "Given name" field and the person's single name in the "Surname" field.
Other/initial details	Provide the middle or other name(s) of the director, or their initial(s) if no other names apply.
Client number	Provideclient number. A unique identifying number is assigned by the reporting entity to the person conducting the transaction.
Country	Selectthe county from the drop-down list.



Table 6-13 (Cont.) Director Details

Eiel	Fields Description		
	Apartment/Room/ Suite/Unitnumber House/Buildingnum- ber I Streetaddress I City I District Provinceor state (name) I Province or state (code) Sub-province and/or sub-locality I Postalor zip code Unstructuredaddress details I Telephone number I Extension	Enterthe address details such as street address, district, and so on. NOTE: If the Unstructured Address value is provided, other addresscomponents, except Country, will not be considered for efiling. Enterother details such as Telephone number, the URL (Enter the uniform resource location, commonly known as the web address, for the conductor. This includes the URL for personal or business websites, blogs, and any social media. If the conductor has more than one URL, provide the main URL in this field and the others in the Details of Suspicion section. The URL does not include handles which can be included in the Details of Suspicion section.), Postal or zip code, and so on. NOTE: Youmust only use the unstructured address field when it is not possible to separate the address information.	

- 2. Click Save. A new director is added to the director list.
- **3.** To modify or remove the existing director's details, select the required director and modify the information, or click **Delete** to remove the director from the list.

6.4.3.3.12 Person who Directly or Indirectly Owns or Controls 25% or More Shares of the Corporation (Conductor)

This section is displayed only if you have selected Corporation in the Entity structure/type field in the Information respecting the structure of entity section.

- Select Corporation in the Entity structure/type field in the Information respecting the structure of entity section. The Person who directly or indirectly owns or controls 25% or more shares of the corporation section is displayed.
- Click Add. The Person Details section is displayed.

6.4.3.3.13 Person Details (Conductor)

Use this section to udpate Person Details (Conductor).

To add a Person Details (Conductor), follow these steps:

1. Enter the following information in the director details fields as tabulated.

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

Table 6-14 Person Details (Conductor)

Fields	Description
Surname	Providethe last name of the director.
Givenname	Providethe first name of the director.
	NOTE: Ifa person has only a single name, enter "XXX" in the "Given name" field and the person's single name in the "Surname" field.



Table 6-14 (Cont.) Person Details (Conductor)

Other/initial details	Provide the middle or other name(s) of the director, or their initial(s) if no other names apply. Provide the name a person uses, or by which they are known, other
A I:	Providethe name a person uses or by which they are known other
Alias	than the name provided under surname, given name, or other/ initial.
Client number	Provideclient number. A unique identifying number is assigned by the reporting entity to the person conducting the transaction.
Country	Selectthe county from the drop-down list.
Apartment/Room/ Suite/Unitnumber House/Buildingnumber Streetaddress City District Provinceor state (name) Province or state (code) Sub-province and/or sub-locality Postalor zip code Unstructuredaddress details Telephone number Extension Emailaddress URL Dateof birth Countryof residence Countryof citizenship	Enterthe address details such as street address, district, and so on. NOTE: If the Unstructured Address value is provided, other addresscomponents, except Country, will not be considered for efiling. Enterother details such as Telephone number, the URL (Enter the uniform resource location, commonly known as the web address, for the conductor. This includes the URL for personal or business websites, blogs, and any social media. If the conductor has more than one URL, provide the main URL in this field and the others in the Details of Suspicion section. The URL does not include handles which can be included in the Details of Suspicion section.), date of birth, and so on. NOTE: Youmust only use the unstructured address field when it is not possible to separate the address information
OccupationNameof employer	

- 2. Click Save. A new person is added to the person list.
- To modify or remove the existing person's details, select the required person and modify the information, or click **Delete** to remove the person from the list.

6.4.3.3.14 Person who directly or indirectly owns or controls 25% or more of an entity other than a corporation or trust (Conductor)

This section is displayed only if you have selected an Entity other than a corporation or trust in the Entity structure/type field in the Information respecting the structure of entity section.

For the rest of the steps, see the <u>Person who Directly or Indirectly Owns or Controls 25% or More Shares of the Corporation (Conductor)</u>.



6.4.3.3.15 Incorporation of the Entity

Use this section to provide information about the incorporation of the entity.

This section is enabled only if you have selected Registration or Incorporated or registered in the Incorporated or registered? field in the Information respecting the structure of entity section.

To add an Incorporation of the entity, follow these steps:

- 1. Click **Add**. The Incorporation of the entity section displays.
- Enter the following information in the Incorporation of the entity fields as tabulated.

Incorporation of the entity describes fields to add information to the Incorporation of the entity. Fields marked with an asterisk * are mandatory.

Table 6-15 Incor	poration of t	the entity	Fields
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Fields	Description
Incorporationnumber	Provide the incorporation number of the entity conducting the transactionfor each jurisdiction where the entity is incorporated.
Jurisdictionof issue (country) of incorporation	Provide the jurisdiction of issue (country) of incorporation for each jurisdiction where the entity is incorporated.
Jurisdiction of issue (province or state) of incorporation	Provide the jurisdiction of issue (province or state) of incorporation for each jurisdiction where the entity is incorporated.
	Ifthe jurisdiction is a province or state in Canada, the United States or Mexico, select the code from the list of options.
	Ifthe jurisdiction is outside Canada, the United States or Mexico, provide the name of the province or state.

- 3. Click **Save**. Information about the Incorporation of the entity is added.
- 4. To modify or remove the existing Incorporation of the entity, select the required Incorporation of the entity and modify the information, or click **Delete** to remove the Incorporation of the entity from the list.

6.4.3.3.16 Registration of the Entity

Use this section to provide the information about the registration of the entity.

This section is enabled only if you have selected Registration or Incorporated or registered in the Incorporated or registered? field in the Information respecting the structure of entity section.

To add a registration of the entity, follow these steps:

- 1. Click Add. The Registration of the entity section displays.
- 2. Enter the following information in the Registration of the entity fields as tabulated.

Registration of the entity table describes fields to add information to the Registration of the entity. Fields marked with an asterisk * are mandatory.



Table 6-16 Registration of the entity

Fields	Description
Incorporationnumber	Provide the Registration number of the entity conducting the transactionfor each jurisdiction where the entity is Registered.
Jurisdictionof issue (country) of Registration	Provide the jurisdiction of issue (country) of Registration for each jurisdiction where the entity is Registered.
Jurisdiction of issue (province or state) of	Provide the jurisdiction of issue (province or state) of Registration for each jurisdiction where the entity is Registered.
Registration	Ifthe jurisdiction is a province or state in Canada, the United States or Mexico, select the code from the list of options.
	Ifthe jurisdiction is outside Canada, the United States or Mexico, provide the name of the province or state.

- 3. Click **Save**. Information about the Registration of the entity is added.
- 4. To modify or remove the existing Registration of the entity, select the required Registration of the entity and modify the information, or click **Delete** to remove the Registration of the entity from the list.

6.4.3.3.17 Identification of the Entity

Use this section to provide the information that was used to verify the identity of the entity on whose behalf the transaction was conducted.

To add an Identification of the entity, follow these steps:

- 1. Click Add. The Identification of the entity section displays.
- 2. Enter the following information in the Identification of the entity fields as tabulated.

Identification of the entity table describes fields to add information to the Identification of the entity. Fields marked with an asterisk * are mandatory.

Table 6-17 Identification of the entity

Fields	Description
Identifiertype	Selectthe identifier type for the entity.
	Ifthe identifier type is not listed, select "Other" and provide details.
	If you use thedual process method to identify a person, you must provide details of both sources of information in the identifier type fields.
	NOTE: Donot report a Social Insurance Number (SIN) to FINTRAC. In addition, you cannot use documentation for identification purposes where it is prohibited by provincial legislation.
Numberassociated with identifier type	Provide the number associated with the identifier type. This is the number indicated on the identifier type that was used to verify the identity of the person or entity. For example, on a driver's licence, the licence number is the identification number and on a Certificate of Incorporation, the incorporation number is the identification number.
Country	Enterthat country as the jurisdiction of the issue.
Provinceor state	Selectthe province or state code from the list of options.
Provinceor state code	Enterthe province or state code as the jurisdiction of the issue.



- Click Save. Information about the Identification of the entity is added.
- 4. To modify or remove existing details, select the required Identification of the entity and modify the information, or click **Delete** to remove the Identification of the entity from the list.

6.4.3.3.18 Information About Conducting or Attempting to Conduct the Transaction Online

Use this section to provide information about conducting or attempting to conduct the transaction online. Such as Type of device used, Username, Device identifier number, Internet protocol address, and so on.

1. Enter the following information in the Information about conducting or attempting to conduct the transaction online fields as tabulated.

Information about conducting or attempting to conduct the transaction online table describes fields to add information about conducting or attempting to conduct the transaction online. Fields marked with an asterisk * are mandatory.

Table 6-18 Information about conducting or attempting to conduct the transaction online

Fields	Description
Typeof device used	Providethe type of device used.
	Ifthe "Other" type of device used is selected, you must specify the type of device used.
Username	Ausername is how a person or an entity refers to themselves online.
Deviceidentifier number	Thedevice identifier number is a number assigned to the device, such as a Media Access Control (MAC) address or International Mobile Equipment Identity (IMEI) number.
Internetprotocol	Providethe Internet Protocol (IP) address.
address	Itis the unique identifying number assigned to every device connected to the internet.
Dateand time of online session in which request was made	Enterthe Date and time of the online session in which the request was made. This is the date and time the conductor accessed the online environment where the transaction was requested.

- 2. Click **Save**. The information about conducting or attempting to conduct the transaction online is added.
- 3. To modify or remove existing information about conducting or attempting to conduct the transaction online, select the required information about conducting or attempting to conduct the transaction online and modify the information, or click **Delete** to remove the information about conducting or attempting to conduct the transaction online from the list.

6.4.3.3.19 Person Authorized to Bind the Entity or Act with Respect to the Account

If the conductor is an entity, you must provide the information for up to three persons who are authorized to bind the entity or act with respect to the account.

To add Person authorized to bind the entity or act with respect to the account, follow these steps:

- Click Add. The Person authorized to bind the entity or act with respect to the account section is displayed.
- Enter the following information in the Person authorized to bind the entity or act with respect to the account fields as tabulated.



Person authorized to bind the entity or act with respect to the account describes fields to add a Person authorized to bind the entity or act with respect to the account. Fields marked with an asterisk * are mandatory.

Table 6-19 Person authorized to bind the entity or act

Fields	Description
Surname	Providethe last name of the person.
Givenname	Providethe first name of the person.
	NOTE: Ifa person has only a single name, enter "XXX" in the "Given name" field and the person's single name in the "Surname" field.
Other/initial details	Provide the middle or other name(s) of the person, or their initial(s) if no other names apply.
Alias	Provide the name a person uses, or by which they are known, other than the name provided under surname, given name, or other/initial.
Nameof entity	Providethe full name of the entity.

Click Save. A new person authorized to bind the entity or act with respect to the account is added to the list

6.4.3.4 On Behalf of

Use this section to update the transaction conducted or attempted on behalf of another person or entity.

Topics:

- · On Behalf of Indicator
- Person (On Behalf of Indicator)

6.4.3.4.1 On Behalf of Indicator

Use this section to mention whether the transaction was conducted or attempted on behalf of another person or entity. If so, specify the relationship of the person named above to the person or entity conducting or attempting to conduct the transaction.

To specify on behalf of, follow these steps:

- On the Starting Action tab, navigate to the Starting Action section, and click the On Behalf of tab. The On Behalf of Indicator section is displayed.
- 2. Select Yes or No to specify whether this transaction was conducted or attempted on behalf of another person or entity?
- 3. If you select Yes and click Save. The Person or Entity Details sections are displayed.

6.4.3.4.2 Person (On Behalf of Indicator)

Use this section to add, update, and view person details.

For more information, see Person.



6.4.3.4.3 Relationship of Person Named Above to the Person or Entity Conducting or Attempting to Conduct the Transaction

Use this section to specify the relationship of the person named above to the person or entity conducting or attempting to conduct the transaction.

This section is displayed when you save person details in the <u>Person Details (Conductor)</u> section.

To specify the relationship, follow these steps:

- Select the relationship from the Relationship drop-down list. For example, accountant, broker, agent, and so on.
- 2. Click **Save**. A relationship is updated with the person.

6.4.3.4.4 Information About the Employer's Address.

Use this section to update Information About the Employer's Address.

For more information, see <u>Information About the Employer's Address</u>.

6.4.3.4.5 Identification of the Person

Use this section to update Identification of the person.

For more information, see <u>Identification of the Person</u>.

6.4.3.4.6 Entity (On Behalf of Indicator)

Use this section to add, update, and view entity details.

For more information, see Entity Details.

6.4.3.4.7 Relationship of Person Named Above to the Person or Entity Conducting or Attempting to Conduct the Transaction

Use this section to specify the relationship of the person named above to the person or entity conducting or attempting to conduct the transaction.

This section is displayed when you save entity details in the Entity section.

To specify the relationship, follow these steps:

- 1. Select the relationship from the Relationship drop-down list. For example, accountant, broker, agent, and so on.
- 2. Click **Save**. A relationship is updated with the person.

6.4.3.4.8 Information Respecting the Structure of Entity

Use this section to update Information respecting the structure of entity.

For more information, see Information Respecting the Structure of Entity.

6.4.3.4.9 Director(s) of Corporation

Use this section to update Director(s) of corporation.



For more information, see <u>Director(s)</u> of corporation.

6.4.3.4.10 Person Who Directly or Indirectly Owns or Controls 25% or More Shares of the Corporation

Use this section to update Person who directly or indirectly owns or controls 25% or more shares of the corporation.

For more information, see <u>Person who Directly or Indirectly Owns or Controls 25% or More Shares of the Corporation (Conductor).</u>

6.4.3.4.11 Person Who Directly or Indirectly Owns or Controls 25% or More of an Entity Other than a Corporation or Trust

Use this section to update Person who directly or indirectly owns or controls 25% or more of an entity other than a corporation or trust.

For more information, see <u>Person who directly or indirectly owns or controls 25% or more of an entity other than a corporation or trust (Conductor)</u>.

6.4.3.4.12 Incorporation of the Entity

Use this to update Incorporation of the entity.

For more information, see <u>Incorporation of the Entity</u> Incorporation of the entity.

6.4.3.4.13 Registration of the Entity

Use this section to update Registration of the entity.

For more information, see Registration of the Entity.

6.4.3.4.14 Identification of the Entity

Use this section to update Identification of the entity.

For more information, see Identification of the Entity.

6.4.3.4.15 Information About Conducting or Attempting to Conduct the Transaction Online

Use this section to update Information about conducting or attempting to conduct the transaction online.

For more information, see <u>Information about conducting or attempting to conduct the</u> transaction online.

6.4.3.4.16 Person Authorized to Bind the Entity or Act with Respect to the Account

Use this section to update Person authorized to bind the entity or act with respect to the account.

For more information, see <u>Person Authorized to Bind the Entity or Act with Respect to the Account.</u>



6.5 Completing Action

Use this section to provide information about how the transaction was completed. Such as Details of disposition, Amount and currency or virtual currency type, Virtual currency address, reference and/or account information, Any other person or entity involved in the completing action and their associated information, and Beneficiary (any person or entity that was the beneficiary of the transaction and their associated information).

Topics:

- Transaction
- Completing Actions
- Completing Action Tabs

6.5.1 Transaction

Use this section to view transactions associated with the selected report.

To view the transactions, follow these steps:

- On the Reports Details page, click the Completing Action tab. The Completing Action page is displayed. By default, Transaction section is displayed.
- Select a transaction reference number from the Transaction section. The Completing Actions section is displayed

6.5.2 Completing Actions

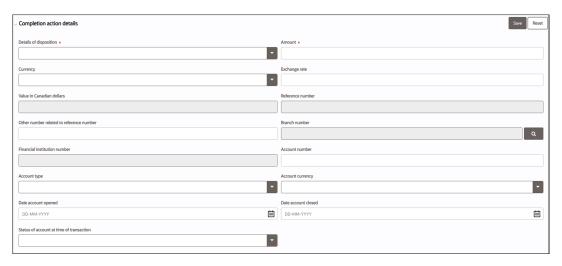
Use this section to update details of disposition, Amount, Currency, Exchange rate, and so on.

To add a new Completing action, follow these steps:

- On the Reports Details page, click the Completing Action tab. The Completing Action page is displayed.
- Select a transaction reference number from the Transaction section. The Completing Actions section is displayed.
- Click Add. The Add Completing Action Details section is displayed.



Figure 6-3 Completing Actions



4. Enter the following information in the Completing action fields as tabulated.

Completing Action table describes fields to add a Completing action. Fields marked with an asterisk * are mandatory.

Table 6-20 Completing Actions

Detailsof disposition Select the details of the disposition from the drop-down list. For example, Purchase of bank draft, Purchase of jewelery, Purchase of /Payment of services, and so on. Thisfield describes what happened to the cash involved in the transact NOTE: If the disposition is "Other", provide details that describe the disposition of the transaction in the field If "Other", please specify". Amount Enterthe amount involved in the completing action. For example, this in be the amount of: I Virtualcurrency after an exchange to virtual currency Fundsbeing initiated for an outgoing international funds transfer I Fundsindicated on the bank draft Currency Selectthe currency from the drop-down list.	
example, Purchase of bank draft, Purchase of jewelery, Purchase of /Payment of services, and so on. Thisfield describes what happened to the cash involved in the transact NOTE: If the disposition is "Other", provide details that describe the disposition of the transaction in the field If "Other", please specify". Amount Enterthe amount involved in the completing action. For example, this not be the amount of: I Virtual currency after an exchange to virtual currency Fundsbeing initiated for an outgoing international funds transfer I Fundsindicated on the bank draft	
Thisfield describes what happened to the cash involved in the transact NOTE:If the disposition is "Other", provide details that describe the disposition of the transaction in the field If "Other", please specify". Amount Enterthe amount involved in the completing action. For example, this is be the amount of: I Virtualcurrency after an exchange to virtual currency Fundsbeing initiated for an outgoing international funds transfer I Fundsindicated on the bank draft	
NOTE:Ifthe disposition is "Other", provide details that describe the disposition of the transaction in the field If "Other", please specify". Amount Enterthe amount involved in the completing action. For example, this not be the amount of: I Virtualcurrency after an exchange to virtual currency Fundsbeing initiated for an outgoing international funds transfer I Fundsindicated on the bank draft	
disposition of the transaction in the field <i>If "Other", please specify"</i> . Amount Enterthe amount involved in the completing action. For example, this n be the amount of: I Virtualcurrency after an exchange to virtual currency Fundsbeing initiated for an outgoing international funds transfer I Fundsindicated on the bank draft	nay
be the amount of: I Virtualcurrency after an exchange to virtual currency Fundsbeing initiated for an outgoing international funds transfer I Fundsindicated on the bank draft	nay
 Fundsbeing initiated for an outgoing international funds transfer I Fundsindicated on the bank draft 	
I Fundsindicated on the bank draft	
Currency Selectthe currency from the drop-down list.	
1	
If the currency type is not in the list provided, you must select "Other" a provide the name of the currency.	nd
Exchangerate Enterthe exchange rate that you used for the transaction.	
Thiscan be an exchange rate for fiat currency or virtual currency.	
Valuein Canadian dollar value of the disposition if not in fiat or virtu currency.	al
Forexample, provide the Canadian dollar value of the jewelery, precious stones that were purchased.	S
This may be themarket, retail or other value that you would use in the ordinary course of your business at the time of transaction, and as det by and in accordance with your policies and procedures.	ailed
Reference number	
Othernumber related to the reference number as applicable.	
Branchnumber Searchand select the branch number.	



Table 6-20 (Cont.) Completing Actions

Fields	Description
Financialinstitution number	Enterthe financial institution number of the account from which the transaction was initiated.
Accountnumber	Ifthe transaction involves an account then enter the account number.
Accounttype	Selectthe account type from the drop-down list.
	Ifthe account type is not in the list provided, you must select "Other" and provide the account type.
Accountcurrency	Enterthe account currency type code.
	Ifthe account currency type code can not be found, you must select "Other" and provide the currency type.
Dateaccount opened	Providethe date the account was opened.
Dateaccount closed	Providethe date the account was closed.
Statusof account at time of transaction	Provide the status of the account at the time of the transaction (For example, active, inactive, dormant, closed).

5. Click **Save**. A new starting action is updated and tabs such as Account holder, Involved in the completing action, and Beneficiary are displayed.

6.5.3 Completing Action Tabs

Use this section to view and update the following tabs:

Topics:

- Account Holder
- Involved in the Completing Action
- Beneficiary

6.5.3.1 Account Holder

Use this section to add, update, and view account holder details. An account holder can be a person or entity.

Topics:

- Person (Account Indicator)
- Entity (Account Indicator)

6.5.3.1.1 Person (Account Indicator)

Use this section to add, update, and view person details.

To add a new person, follow these steps:

- On the Completing Action tab, navigate to the Completing Action section and click the Account Holder tab. The Person section is displayed.
- 2. Click Add. The Person Details section is displayed.
- 3. Enter the following information in the person fields as tabulated.

Person Details table describes fields to add a person. Fields marked with an asterisk \ast are mandatory.



Table 6-21 Person Details

Fields	Description
Surname	Providethe last name of the person.
Givenname	Providethe first name of the person.
	NOTE:Ifa person has only a single name, enter "XXX" in the "Given name" field and the person's single name in the "Surname" field.
Other/initial details	Provide the middle or other name(s) of the person or their initial(s) if no other names apply.

- Click Save. A new person is added to the Person list.
- To modify or remove existing persons, select the required person and modify the information, or click **Delete** to remove the person from the list.

6.5.3.1.2 Entity (Account Indicator)

Use this section to add, update, and view entity details.

To add a new entity, follow these steps:

- On the Completing Action tab, navigate to the Completing Action section and click the Account Holder tab. The Entity section is displayed.
- 2. Click Add. The Entity Details section is displayed.
- 3. Enter the full name of the entity.
- 4. Click **Save**. A new entity is added to the Entity list.
- 5. To modify or remove the existing entity, select the required entity and modify the information, or click **Delete** to remove the entity from the list.

6.5.3.2 Involved in the Completing Action

If you have information about other persons involved in the completing action, you must include it.

Use this section to specify whether you know information about other persons involved in the completing action. If you know then you must specify whether it is a person or entity and their details.

Topics:

- Involvement Indicator
- Person (Involvement indicator)
- Entity (Source of Funds)

6.5.3.2.1 Involvement Indicator

Use this section to mention whether you know the persons involved in the completing action.

To mention the persons involved in the completing action, follow these steps:

- On the Completing Action section, and click the Person involved in the completing action tab. The Involvement indicator section is displayed.
- 2. Select **Yes** or **No** to specify whether you know the information about the other persons involved in the completing action.



3. If you know the other persons involved in the completing actions then select **Yes** and click **Save**. The Person or Entity Details sections are displayed.

6.5.3.2.2 Person (Involvement indicator)

Use this section to add, update, and view person details.

This section is enabled only if you have selected the Yes option in the Was there any other person or entity involved in the completing action? of the Involvement Indicator section.

To add a new person, follow these steps:

- On the Person involved in the completing action tab, go to the Involvement indicator section.
- 2. Select **Yes** in the Was there any other person or entity involved in the completing action? In the Involvement Indicator section. The Person Details section is displayed
- 3. Enter the following information in the person fields as tabulated.

Person Details Fields table describes fields to add a person. Fields marked with an asterisk * are mandatory.

Table 6-22 Person Details Fields

Fields	Description
Surname	Provide the last name of the person.
Givenname	Providethe first name of the person.
	NOTE: If a person has only a single name, enter "XXX" in the "Given name" field and the person's single name in the "Surname" field.
Other/initial details	Provide the middle or other name(s) of the person, or their initial(s) if no other names apply.
AccountNumber	Provide the account number for the source of funds.
	Itis acceptable to include the financial institution number and branch number as part of an account number.
Policynumber	Providethe policy number.
Identifyingnumber	If there is no account or policy number, provide an identifying number if available.

- Click Save. A new person is added to the Person list.
- To modify or remove existing persons, select the required person and modify the information, or click **Delete** to remove the person from the list.

6.5.3.2.3 Entity (Source of Funds)

Use this section to add, update, and view entity details.

This section is enabled only if you have selected the Yes option in the Was there any other person or entity involved in the completing action? of the Involvement Indicator section.

To add a new entity, follow these steps:

- 1. On the Person involved in the completing action tab, go to the Involvement indicator section.
- Select Yes in the Was there any other person or entity involved in the completing action? in the Involvement Indicator section. The Entity Details section is displayed.
- 3. Enter the following information in the entity fields as tabulated.



Entity Fields tale describes fields to add an entity. Fields marked with an asterisk * are mandatory.

Table 6-23 Entity Details Fields

Fields	Description
Nameof Entity	Providethe name of the entity.
Account Number	Providethe account number for the source of funds.
	Itis acceptable to include the financial institution number and branch number as part of an account number.
Policy number	Providethe policy number.
Identifying number	If there is no account or policy number, provide an identifying number if available.

- 4. Click Save. A new entity is added to the Entity list.
- 5. To modify or remove the existing entity, select the required entity and modify the information, or click **Delete** to remove the entity from the list.

6.5.3.3 Beneficiary

If you have information about the beneficiary in the completed action, you must mention it.

A beneficiary can be the person who receives the virtual currency, the person named on a money order, or the person who receives the jewelery. The beneficiary can be the same person or entity that conducts the transaction or someone else. The beneficiary cannot be the reporting entity.

Use this section to specify whether you know information about the beneficiary involved in the completed action. If you know then you must specify whether it is a person or entity and their details.

6.5.3.3.1 Involvement Indicator (Beneficiary)

Use this section to mention whether you know the beneficiary involved in the completing action.

To mention the beneficiary involved in the completing action, follow these steps:

- On the Completing Action section and click the Beneficiary tab. The Beneficiary indicator section is displayed.
- 2. Select Yes or No to specify whether you know the information about the beneficiary involved in the Have you obtained any beneficiary information related to this transaction or attempted drop-down list.
- 3. If you know the other beneficiary in the completed actions then select Yes and click **Save**. The Person or Entity Details sections are displayed.

6.5.3.3.2 Person (Beneficiary)

Use this section to add, update, and view person details. This section is enabled only if you have selected the Yes option in the Have you obtained any beneficiary information related to this transaction or attempted drop-down list.

To add a new person, follow these steps:

1. On the Beneficiary tab, go to the Beneficiary indicator section.



- Select Yes in the Have you obtained any beneficiary information related to this transaction or attempted drop-down list. The Person Details section is displayed.
- 3. Enter the information in the person fields.
- 4. Click **Save**. A new person is added to the Person list.
- To modify or remove an existing person, select the required person and modify the information, or click **Delete** to remove the person from the list.

6.5.3.3.3 Identification of the Person

Use this section to view, add, and update information about the identification of the person such as identification type, county, province, and so on.

To add a new identification of the person, follow these steps:

- 1. Click Add. The Identification of the Person section displays.
- 2. Enter the information in the Identification of the person fields. For more information, see Identification of the Person.

6.5.3.3.4 Entity (Beneficiary)

Use this section to add, update, and view entity details. This section is enabled only if you have selected the Yes option in the Have you obtained any beneficiary information related to this transaction or attempted drop-down list.

To add a new entity, follow these steps:

- 1. On the Beneficiary tab, go to the Beneficiary indicator section.
- Select Yes in the Have you obtained any beneficiary information related to this transaction or attempted drop-down list. The Entity Details section is displayed.
- 3. Enter the information in the entity fields.



Along with the following fields: Do you have the entity's incorporation or registration information? Incorporated or registered?

- 4. Click **Save**. A new entity is added to the Entity list.
- To modify or remove an existing entity, select the required entity and modify the information, or click **Delete** to remove the entity from the list.

6.5.3.3.5 Incorporation of the Entity

Use this section to update Incorporation of the entity.

For more information, see <u>Incorporation of the Entity</u>.

6.5.3.3.6 Registration of the Entity

Use this section to update Registration of the entity.

For more information, see Registration of the Entity.



6.5.3.3.7 Identification of the Entity

Use this section to update Identification of the entity.

For more information, see Identification of the Entity.

6.5.3.3.8 Person Authorized to Bind the Entity or Act with Respect to the Account

Use this section to update Person authorized to bind the entity or act with respect to the account.

For more information, see <u>Person Authorized to Bind the Entity or Act with Respect to the Account</u>

6.6 Details of Suspicion

This section is the narrative that explains your grounds for suspicion that led to your decision to submit a Suspicious Transaction Report to FINTRAC.

You must describe in a clear, simple and concise language your grounds for suspicion of a money laundering or terrorist financing offense – including the facts, context, and indicators that allowed you to reach reasonable grounds for suspicion.

Topics:

- Suspicion Details
- Related Reports
- · Related Transactions

6.6.1 Suspicion Details

The Details of suspicion section of the Suspicious Transaction Report form must not be completed if the transaction is being reported to FINTRAC under a Ministerial Directive in the Generic Information tab.

Use this section to provide information about the suspicion details.

To add suspicion details, follow these steps:

 On the Reports Details page, click the Details of Suspicion tab. The Suspicion Details page is displayed.

Figure 6-4 Suspicion Details



2. Enter the following information in Suspicion Details fields as tabulated.



Completing Action describes fields to add Suspicion Details. Fields marked with an asterisk * are mandatory.

Table 6-24

Fields	Description
Suspiciontype	Selectthe type of suspicion from the drop-down list. money laundering terroristfinancing moneylaundering and terrorist financing lfyour primary suspicion type is sanctions evasion, and you do not have the system capability at this time to select the new sanctions evasion option, you must select "money laundering" as a suspicion type from the drop-down list and add #SANCTIONS as part of the grounds for suspicion in the Description of suspicious activity section.
Public- Privatepartnership name	Select the public-private partnership project name that the SuspiciousTransaction Report is associated with, if applicable.
Does this report include informationabout an individual you have determined to be a politically exposed person (PEP)?	SelectYes or NO from the Does this report include information about an individual you have determined to be a politically exposed person (PEP)? drop-down list
Descriptionof suspicious activity	Enterthe description of suspicious activity. You can enter up to 4000 characters.
Actiontaken Detailed description	NOTE: The"Action taken" section of the Suspicious Transaction Report form must not be completed if the transaction is being reported to FINTRAC under a Ministerial Directive.
	Describethe action(s) that you have taken or will be taking as a result of the suspicious transaction(s). Thefollowing are examples of actions taken: Reporting the information directly to law enforcement; Initiating enhanced transaction monitoring; Closing the account(s) in question or exiting the business relationship; and/or
	Cancelling,reversing or rejecting the transaction.

3. Click **Save**. The suspicion details are saved.

6.6.2 Related Reports

Use this section to add, update, and view previously submitted reports that may relate to the suspicious activity mentioned in this report.

To add a report, follow these steps:

- 1. On the Details of Suspicion tab, go to the Related Report section.
- 2. Click Add. The Report Details section is displayed.
- 3. Provide the reporting entity report reference number(s) of the previously submitted report(s) that may relate to the suspicious activity mentioned in this Suspicious Transaction Report in the Reporting entity report reference number fields.



- Click Save. A report is added to the Report list and the Related Transaction List section is displayed.
- To modify or remove an existing report, select the required report and modify the information, or click **Delete** to remove the report from the list.

6.6.3 Related Transactions

Use this section to add, update, and view transactions associated with the report.

To add a transaction, follow these steps:

- 1. On the Details of Suspicion tab, go to the Related Transaction section.
- 2. Click Add. The Transaction Details section is displayed.
- 3. Provide the reporting entity transaction reference number(s) of the previously submitted report(s) that may relate to the suspicious activity mentioned in this Suspicious Transaction Report. in the Reporting entity report reference number fields.
- Click Save. A transaction is added to the Transaction list.
- 5. To modify or remove an existing transaction, select the required transaction and modify the information, or click **Delete** to remove the transaction from the list.

6.7 Documents

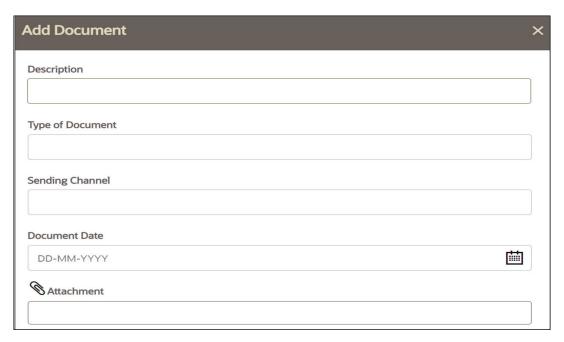
When filing the report with regulatory authorities, you can also send additional documents. This additional information aids in taking the correct decision about the report. When you attach a document to a report, the status of that report does not change. However, the attachment is added to the report's history. An Analyst or a Supervisor can attach, modify, or delete documents in all statuses except when the report is in View-Only mode.

To modify or attach a document, follow these steps:

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



Figure 6-5 Add Document



2. Enter the following information in the Add Document window as tabulated.

Add Document table describes fields to add a document. Fields marked with an asterisk * are mandatory.

Table 6-25 Add Documents

Fields	Description
Description	Entera brief description of the document attached.
Typeof File	Enterthe type of the document.
SendingChannel	Enterthe option for sending the document.
DocumentDate	Enterthe date on which the document was created.

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

6.8 Audit

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

To use the Audit tab, follow these steps:

- 1. In the Reports Details page, click the **Audit** tab. The Audit window is displayed.
 - A record is created in the Audit tab when a user performs any of the following actions:
 - Created From Case
 - Created Manually
 - Modified Reporting Entity
 - Modified Account Involved Details



- Modified Person or Account Owner details
- Modified Transaction Details
- Modified Suspicious Activity Description
- Modified Narrative and Action
- Added New Document
- Modified Document
- Removed Document
- Edit/ Delete Report
 - Originating Report
 - New Report
- E-File Generation Unsuccessful
- Acknowledgment Details
 - If the report is accepted, then Upload Acknowledgment (Comments displayed -Report is Accepted)
 - If the report is rejected, then Upload Acknowledgment (Comments displayed-Report is Rejected along with error message)

The Actions pane displays all the actions taken on the report.

Actions Grid table describes fields of the Action grid.

Table 6-26 Action Grid

Fields	Description
Date	Thedate on which the action has occurred.
Action By	Thename of the user who acted on this.
Action	Ashort description of the action.
Comments	Thecomments entered while performing an action.

2. This allows to view all details.

6.8.1 Feedback to ECM Application

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

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

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



Regenerating E-File



(i) Note

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

Acting on a Report

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

Reassigning Reports: This enables you to reassign the report or reports to other users based on the status of the report.

Requesting the Report for Approval: As an Analyst, you can request for the Supervisor to approve the report for filing when it is in the Open, Reopened, Requested for Approval, or Rework status. Click Request Report for Approval to take this action. The status of the report changes to Requested for Approval.

<u>Approving Reports</u>: As a Supervisor, you can assess the reports that are requested for your approval. You can approve reports that are Open, Reopened, Requested for Approval, or Rework status. Click Approve Report to take this action. If you approve the request, the status of the report changes to Approved.

Reworking Reports: As a Supervisor, you can send reports for rework if they are incomplete or need more investigation. You can order reports for rework when they are in the Open, Reopened, Requested for Approval, or Rework status. Click Rework Report to take this action. The status of the report changes to Rework.

Canceling Report Filing: As an Analyst or a Supervisor, you can decide to cancel the filing of the report. You can cancel the reports from filing when they are in the Open, Reopened, Requested for Approval, or Approved status. Click Cancel Filing to take this action. The status of the report changes to Canceled.

Reopening Reports: If a report is canceled for any reason and needs to be evaluated again, an Analyst or a Supervisor can reopen a report. Note that you can reopen a report only when it is in the Canceled status. Click Reopen a Report to take this action. The status of the report changes to Reopen.

<u>Generating E-File</u>: After the reports are approved then an Analyst or a Supervisor can generate reports by clicking Generate Report. The status of the report changes to E-File Generated.

<u>Submitting the Reports</u>: After the reports are validated, they must be submitted. As an Analyst or a Supervisor, you can submit a report by clicking the Submit button.

<u>Adding Comments</u>: You can add comments to a report in any status. By adding comments, the status of the report doesn't change.

<u>Setting a Due Date</u>: You can set the due date to a report in any status. By setting dates, the status of the report doesn't change.

7.1 Reassigning Reports

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

Statuses in which Reports table explains the statuses in which you can reassign a report to another user.



Table 7-1 Statuses in which Reports can be reassigned

	ReassignedReport		
Status	Analyst1	Analyst2	Supervisor
Open	Yes	Yes	Yes
Reopened	Yes	Yes	Yes
Requestedfor Approval	No	Yes	Yes
Rework	Yes	Yes	Yes
Rejectedfrom E-File	Yes	Yes	Yes

To reassign a report, follow these steps:

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



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

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

7.2 Requesting the Report for Approval

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

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

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

Note

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

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

7.3 Approving Reports

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

To approve a report, follow these steps:



- On the Reports Details page, click Approve. The Approve window is displayed.
- Enter the comments in the Approve window.
- 3. Click **Save**. A confirmation message is displayed.

① Note

The naming convention for the final STR is in the format STR_Case ID_Approved Date (DD-MM-YYYY_HH24-MM-SS).doc. If the report is created from the OFS ECM, you can rename the final STR while saving. When the report is created manually, the naming convention for the final STR is in the format STR_Manual_Approved Date (DD-MM-YYYY_HH24-MM-SS).doc.

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

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

7.4 Reworking Reports

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

To send a report for rework, follow these steps:

- On the Reports Details page, click Rework. The Rework window is displayed.
- 2. Enter the comments in the Rework window.
- 3. Click **Save**. A confirmation message is displayed.
- 4. Click OK. The Report Details page is displayed and the status of the report changes to Rework. The Audit tab tracks both actions and comments entered while performing the Rework action.

7.5 Canceling Report Filing

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

To cancel filling the report, follow these steps:

- On the Reports Details page, click Cancel Filing. The Cancel Filing window is displayed.
- 2. Enter comments in the Comments box.
- 3. Click **Save**. A confirmation message is displayed.
- Click OK. The Report Details page is displayed and the status of the report changes to Canceled.

(i) Note

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



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

7.6 Reopening Reports

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

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

- 1. On the Reports Details page, click Reopen. The Reopen Reports window is displayed.
- 2. Enter comments in the Reopen window.
- 3. Click **Save**. A confirmation message is displayed.
- Click OK. The Report Details page is displayed and the status of the report changes to Reopened.

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

7.7 Generating E-File

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

To generate an E-File, follow these steps:

- On the Reports Details page, click Generate E-File. The Generate Reports window is displayed.
- Enter comments in the Generate Reports window.
- 3. Click **Save**. A confirmation message is displayed.
- 4. Click **OK**. The Report Details page is displayed and the status of the report changes to E-File Generated. The Audit tab tracks both actions and comments entered while performing the Generate Reports action.

7.8 Submitting the Reports

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

To submit a report, follow these steps:

- 1. On the Reports Details page, click **Submit**. The Submit window is displayed.
- Enter comments in the Comments box, if required.
- 3. Click Save, and the report is submitted.

The following activities are allowed after submitting a report:

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



7.9 Adding Comments

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

To add comments to a report, follow these steps:

- On the Reports Details page, click Audit. The Audit window is displayed.
- Enter the comments in the Comments box.
- Click Done. The Audit tab tracks both actions and comments entered while performing the Set Due Date action.

7.10 Setting a Due Date

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

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

Behavior and Attributes for Due Date table explains the behavior and attributes for the Due Date.

User Roles and Set Due Date Action table explains the statuses in which the Analyst and Supervisor users can perform the Set Due Date action.

Table 7-2 User Roles and Set Due Date Action

	Roles			
Menu	Analyst1	Analyst2	Supervisor	Auditor
Open	Х	Х	Х	
Reopened	Х	Х	Х	
Requestedfor Approval	Х	Х	Х	
Rework	Х	Х	Х	
Approved	Х	Х	Х	
Cancelled				
Acknowledged				
Rejectedfrom E- File				
E-FileGenerated	Х	Х	Х	
Submitted				

(i) Note

An Auditor can only view the Due Date.

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

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



- 2. Enter the comments in the Comments box.
- 3. Select a date from the calendar. 4. Click Save. A confirmation message is displayed.
- 4. Click **OK**. The updated Report Details page is displayed. The Audit tab tracks both actions and comments entered while performing the Set Due Date action.

Filing Reports

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

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

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

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

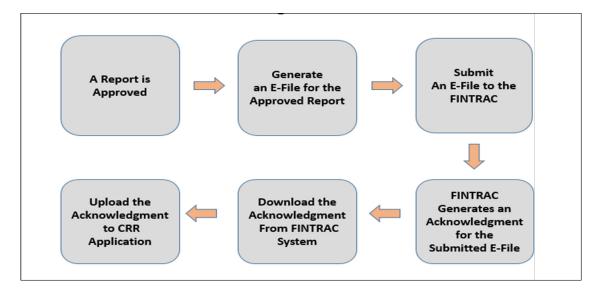


Figure 8-1 E-Filing Workflow

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

This chapter covers the following topics:

- Approved Reports: Use this section to filter and select the approved report for E-File generation.
- <u>E-File Status</u>: Use this section to filter E-Files, submit E-Files, and upload acknowledgment into the OFS CRR CA STR application.
- <u>Acknowledgment</u>: Use this section to view a list of E-Files accepted or rejected by the FINTRAC E-File System. The date on which the batch was processed, total reports



processed, and acknowledgment (.Json) file reports which have errors and warning messages.

8.1 Approved Reports

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

The tasks you can perform are as follows:

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

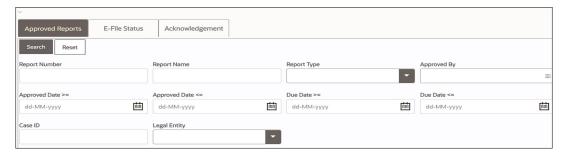
8.1.1 Searching Approved Reports

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

To search for the approved reports, follow these steps:

- From the Navigation List LHS menu, select Compliance Regulatory Reporting. The Compliance Regulatory Reporting menu is displayed. For more information, see Getting Started.
- Click Canadian STR and select File Report. The File Reports page is displayed. By default, the Approved Reports tab is displayed.

Figure 8-2 Approved Reports Search



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

Approved Reports Search table describes fields for the approved report search. Fields marked with an asterisk * are mandatory.



Table 8-1 Approved Report Search

Fielde	Description
Fields	Description
Report Number	Enter one or more report numbers you want to view. For multiple report numbers, separate the report numbers with a comma. Ensure that you do not enter a space after the comma. Report numbers are not case-sensitive. This overrides all other filter criteria. For example, 660,671.
	NOTE: Youcan enter a maximum of 50 characters in this field.
ReportName	Enterthe report name you want to view.
	Thisfield supports a wildcard search. You can use '%' and '_' as wildcard indicators.
	NOTE: Youcan enter a maximum of 50 characters in this field.
ReportType	Selectone or more report types from the following options:
	SelectAll
	• Change
	Delete
A managed Dec	• Changeor Deleted
Approved By	Selectthe name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.
Jurisdiction	Selectthe jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.
	Everyreport is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction associated with that case.
	Each user has access to a set of jurisdictions. Every report is associated with a singlejurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction.
CreatedBy	Selectthe user who has created the report.
	Youcan enter multiple names by using a comma to separate the entries.
CreatedDate >=	Select the created date to view reports having a created date greater than or equalto the specified date. Using this criterion, you can view the reports created during the date range. For example, reports created on or after December 26, 2019
	Youcan either perform a range search using 'Created Date >=' and 'Created Date
	<='or use them independently.
CreatedDate <=	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 reportscreated during the date range. For example, reports created on or before December 26, 2019.
ApprovedDate >=	Selectthe 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.
ApprovedDate <=	Selectthe approved date from the calendar to view reports having an approved date lesser than or equal to the specified date. Using this criterion, you can view the reports approved during the particular date range. For example, reports approved on or before December 26, 2019.
DueDate>=	Selectthe 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.



Table 8-1 (Cont.) Approved Report Search

Fields	Description
DueDate<=	Select the due date from the calendar to view reports having a due date lesser thanor 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.
CaseID	Enterthe case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure that you do not enter a space after the comma. This overrides all other filter criteria. For example, CA660,ca671
	NOTE: Thissearch is not case-sensitive. You can enter a maximum of 255 characters in this field.
	CaseID is the identifier that has triggered the creation of a report in the OFS CRR CA STR application.
LegalEntity	Selectthe legal entity associated with the approved report.

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

8.1.2 Generating E-File

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

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



(i) Note

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

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

1. On the Approved Reports tab, select the required report or reports and click Generate E-File. The Generate E-File window is displayed. For a batch E-File, select reports with the same legal entity or the same report type.



(i) Note

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

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





(i) Note

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

8.1.3 Exporting Approved Report Details to Excel

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

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

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



Note

You cannot export individual reports into an Excel sheet.

8.2 E-File Status

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

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

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

8.2.1 Searching E-Files

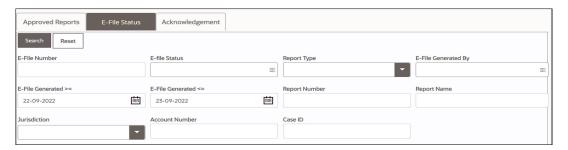
Use this section to filter the required E-Files to submit to the FINTRAC E-Filing System.

To search an E-File, follow these steps:

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



Figure 8-3 E-File Status Search and List



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



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

E-File Search Bar table describes fields for the E-File status search. Fields marked with an asterisk * are mandatory.

Table 8-2 E-File Search Bar Field Description

Fields	Description
E-FileNumber	Enterthe E-File number.
E-FileStatus	Select the status of the E-File. For example, Select All, Acknowledgment - Accepted, Acknowledgment - Accepted with warnings, Acknowledgment - Rejected, E-File Generated, or Submitted.
Typeof Report	Selectthe type of report. For example, Change, Delete, and Change and Delete.
E-FileGenerated By	Selecta user who generated the E-File.
E-FileGenerated >=*	Select the E-File generated date to view E-Files having a generated date greater thanor equal to the specified date (less than the current date). Using this criterion, you can view the E-File generated during the date range. For example, E-File generated on or after December 26, 2019
	Youcan either perform a range search using E-Filegenerated Date >= and E-File generated Date <= or use them independently.
	NOTE :By default, the date range is set to one day difference, but user can configure based on their requirement.
E-FileGenerated	Selectthe E-File generated date to view E-Files generated lesser or equal to this date.
	Select the E-File generated date from the calendar to view reports having a generated date lesser than or equal to the specified date (not greater than the currentdate). Using this criterion, you can view the E-File generated during the date range. For example, E-File generated on or before December 26, 2019.
	NOTE:By default, the date range is set to one day difference, but the user can configure based on their requirement



Table 8-2 (Cont.) E-File Search Bar Field Description

Fields	Description
Report Number	Enterone or more report numbers for which the E-File is generated. For multiple report numbers, separate the report numbers with a comma. Ensure that you do not enter a space after the comma. Report numbers are not case-sensitive. This overrides all other filter criteria. For example, 660,671.
	Youcan enter a maximum of 50 characters in this field.
ReportName	Enterthe report name you want to view.
	Thisfield supports a wildcard search. You can use '%' and '_' as wildcard indicators.
	NOTE :Enter at least three characters. You can enter a maximum of 50 characters in this field.
Jurisdiction	Selectthe jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.
	Everyreport is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction associated with that case.
	Each user has access to a set of jurisdictions. Every report is associated with a singlejurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction.
CaseID	Enterthe case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure that you do not enter a space after the comma. This overrides all other filter criteria. For example, CA660,ca671
	NOTE: Thissearch is not case-sensitive. You can enter a maximum of 255 characters in this field.
	CaseID is the identifier that has triggered the creation of a report in the OFS CRR CA STR application.

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

8.2.2 Submitting E-Files

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

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

- 1. On the E-File List pane, select the required record or records.
- 2. Click **Submit**. The Submit E-File window is displayed.
- 3. Enter the comments in the Comments field and click Save.

The status of the E-File changes to Submitted and you must go to the FINTRAC E-Filing System and submit it. To acknowledge the receipt for submitting the E-File, the FINTRAC E-Filing System generates an acknowledgment.



8.2.3 Uploading E-File Acknowledgment

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

The FINTRAC provides a sequence identification number but not the E-FIle number in the .json file.

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

- On the E-File List pane, click Upload Acknowledgment. An Acknowledgment window is displayed.
- 2. Enter the comments in the Comments box.
- Click Choose File to upload the respective .json file saved from FINTRAC's E-Filing System.
- 4. Click Save. A confirmation message is displayed.
- 5. Click OK. You are navigated back to the E-File List results.
- After you have uploaded the acknowledgment file successfully into the OFS CRR CA STR application, the json file can be viewed and saved from the Acknowledgment tab.

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

Note

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

8.3 Using Acknowledgment Tab

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

Use this section to view acknowledgment details such as the date on which the batch was processed, the list of rejected reports, the total reports processed, and the acknowledgment (.Json) file. After processing the E-File or Batch E-File, the FINTRAC E-File System rejects or accepts the reports.

Use this section to filter the acknowledgment receipts processed by the FINTRAC E-File System for further verifications. This list provides the status of the E-File whether it is accepted or rejected. For the rejected E-Files, you can rework and resubmit an E-File into the FINTRAC E-File System.

To view batch acknowledgment and report details, select the required record number from the list. The Batch Acknowledgment Details pane is displayed. This pane details the batch date, batch status, total reports processed, and so on. For the reports with errors and issues, you can generate revised reports. For more information, see<u>Generating Revised Reports</u>.

To search the acknowledgment receipts, follow these steps:



- On the File Reports page, click the Acknowledgments tab. The Acknowledgment Receipts Search and List page is displayed.
- Enter the following information in the Acknowledgment Search page as tabulated.

(i) Note

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

Acknowledgment Search table describes fields for the acknowledgment search. Fields marked with an asterisk * are mandatory.

Table 8-3 Acknowledgment Search

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

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

8.3.1 Using Report Details, Error Details, and Schema Error Sections

When you upload an acknowledgment, each report can fall into one of three possible statuses:

- Accepted without Warnings
- Accepted with Warnings
- Rejected

Based on the acceptance status, error or validation details will be shown in the Report Details, Error Details, or Error Schema sections. If a report is rejected, the schema error details will appear in the corresponding grid.



8.4 Rejecting Reports from E-Files

Use this section to reject reports from an E-File. Only those reports, which are in E-File Generated and Acknowledgment - Rejected status can be rejected.

After the report is rejected from an E-File, it is removed from the E-File Reports list and the status of the report changes to Rejected from E-File. The rejected report is available in the Regulatory Reports List. You can correct a rejected report and resubmit it Supervisor's approval. After the Change report is approved, you can follow the workflow of filing a regulatory report all over again as explained earlier.

(i) Note

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

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

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

8.5 Generating Revised Reports

When you download an acknowledgment from FINTRAC E-File System and identify there are errors or issues in the reports they are not rejected. You can delete or correct such reports in the E-File and resubmit an E-File with revised reports into the FINTRAC E-File System again. To correct or delete reports in E-File, the status of the report must be in the Acknowledged status. On such reports, you can take the Generate Revised Report action.

Note

You cannot take Generate Revised Report action multiple times on the same report.



- When you take a Generate Revised Report action on a report, a copy of the report is created with the same information but with the differ- ent Report number. When you take the Generate Revised Report action on a report using the Change or Delete option, a new report is created with the same information and the status of the report is Open with the Change or Delete report type. The report with Open status is available in the Regulatory Reports List. To submit the revised report into the FINTRAC E-File System again, follow the workflow. For example, If you have submitted report number 4458 into the FINTRAC E-File System and received an acknowledgment with errors or issues. You have two options to revise the report and resubmit into the FINTRAC E-File System:
- Changing and submitting: Open Report Number 4458 in the Acknowledge status and click Generate Revised Report. In the Generate Revised Report window, select the Change option, enter comments, and save. A copy of Report Number 4458 was created with the new Report Number 2234 with the same information. The status of the report is Open and the report type is Change. Now follow the workflow and resubmit into the FINTRAC E-File System. The FINTRAC E-File System verifies the report and replaces this new report in its system.
- Deleting and submitting: Open Report Number 4458 in the Acknowledge status and click Generate Revised Report. In the Generate Revised Report window, select the Delete option and save. A copy of the Report Number 4458 created with new Report Number 2234 with the same information. The status of the report is Open and the report type is Delete. Now follow the workflow and resubmit into FINTRAC E-File System. The FINTRAC E-File System verifies the report and removes this report from its system.

8.5.1 Generating Revised Reports Using Search and List page

To generate a revised report, follow these steps:

- 1. In the Reports Search and List page, select the report with the Acknowledged status.
- 2. Click Generate Revised Report. The Generate Revised Report window is displayed.
- 3. In the Type of Report field, select Correct or Delete and enter the required comments in the Comments field.
- **4.** Click **Save**. A revised report is created with the report type as Change or Delete with the same information. The status of the report is Open.
- 5. Make the required corrections to the report and get approved to resubmit it into the FINTRAC E-File System. The FINTRAC E-File System verifies the report, and replaces this report in its system for correction and removes report details for the delete option.
- 6. Post submission, go to the Acknowledgment tab and mark the report as Change.

8.5.2 Generating Revised Reports Using E-File Tab

You can also generate revised reports using the E-File tab.

To generated revised reports from an E-File Status tab, follow these steps:

- 1. Click the E-File Status tab. The E-File List page is displayed.
- 2. Click the E-File Number. The list of reports for the corresponding E-File is displayed.
- Select the required report number from the list and click Generate Revised Report. A confirmation message is displayed.



8.6 Acknowledgment

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

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

FAQs

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

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

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

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

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

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

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

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

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

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

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

To correct or delete the reports with warning messages, you must take the Generate Revised Report action. For more information, see <u>Generating Revised Reports</u>.