

Oracle® Financial Services CRR

USSAR User Guide



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Document Control

This section outlines the most recent updates made to the document.

Table Document Control

Revision Number Change	Revision Date	Log
1.3	August 2025	<ul style="list-style-type: none">Added Filing Date From/To and Tracking ID fields in Searching Reports chapter.Added Filing Date and Tracking ID columns in List Matrix section Searching Reports chapter.A note-If the report version is 1.1, you cannot take any actions is added in Action Buttons section.A note, If the report version is 1.1, you cannot open a report. An error message is displayed. However, you can download the report PDF using the Download link from the Report List is added in the Viewing the Viewing the Draft Report section.A note, If the report version is 1.1, you cannot open a Report Details page. An error message is • displayed is added in the Components of Regulatory Report Details section.Added a note - Only configured domains are displayed in the drop-down list for the logged in user for Domain fields in Searching Reports, for Jurisdiction field in Create New Report, Components of Search Bar, Approved Reports Search Bar, and E-File Search Bar.A note - If the transactions are marked as Suspicious in a case, the suspicious labeled transaction only be consider for date/amount calculation in the Suspicious Activity Details Pane.A note -You can take the Generate C/A Report action only one time on the parent report added in Generating Correct/Amend Report and sections.Added a new row for Report Format Version in Components of Search Bar
1.2	April 2025	No content updates for this release.
1.1	February 2025	No content updates for this release.
1.0	September 2024	No content updates for this release.

1

About This Guide

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

Audience

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

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

2

About Compliance Regulatory Reporting

This chapter provides an overview of the *Oracle Financial Services Compliance Regulatory Reporting*

Topics:

- [Introduction to US SAR](#)
- [About CRR Application](#)
- [Workflow](#)

2.1 Introduction to US SAR

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

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

2.2 About CRR Application

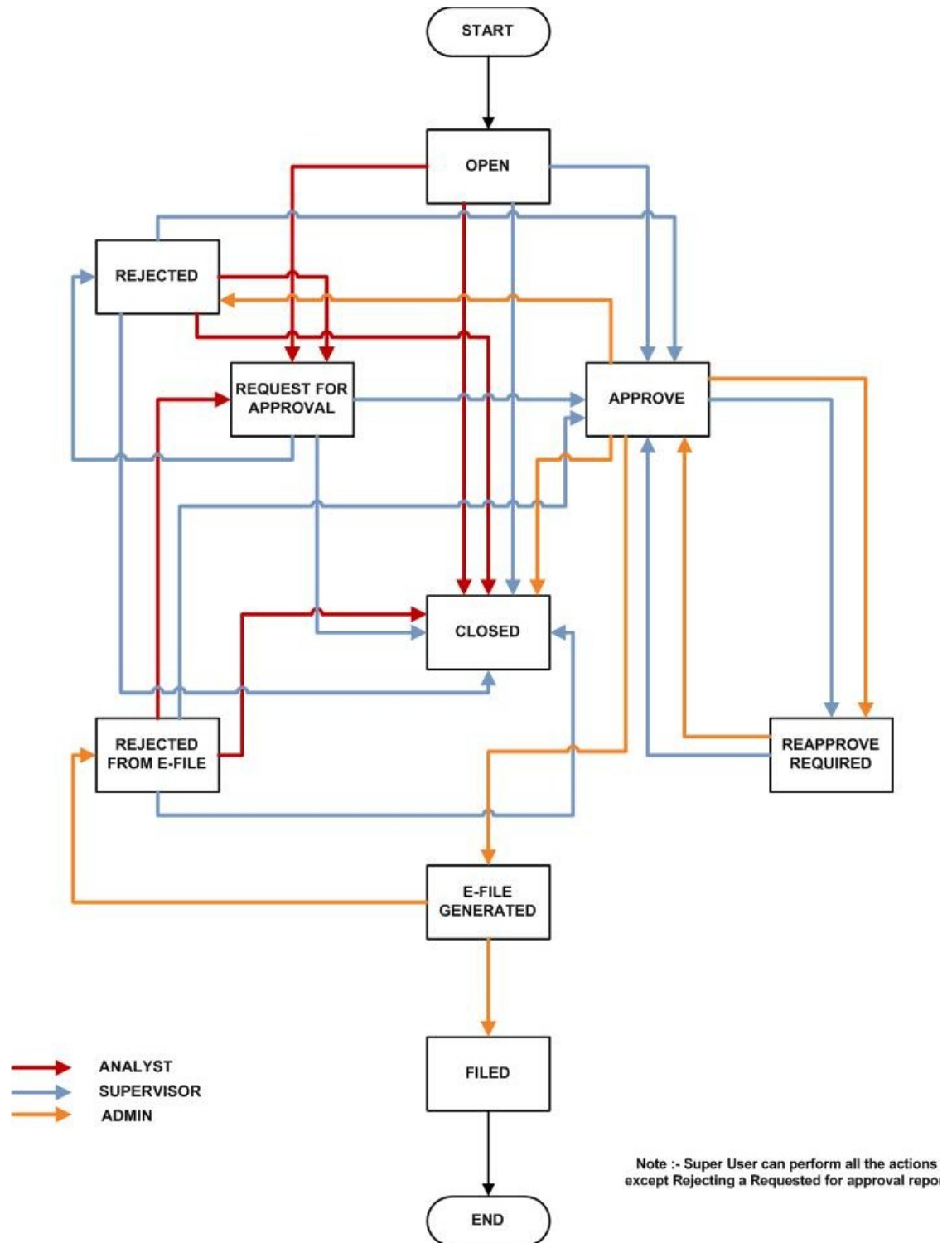
The *Oracle Financial Services Compliance Regulatory Reporting (OFS CRR)* application supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. As there are several differences in requirements for paper-based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

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

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

2.3 Workflow

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



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

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

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

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

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

For more information on user roles, see [Table 3-1](#).

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

Table 2-1 Action and Status

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

Table 2-1 (Cont.) Action and Status

Action Taken	Resulting Report Status
An authorized user has filed the regulatory report with the regulatory authorities.	Filed

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

Table 2-2 Actions Performed by Various Users in Different Statuses

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

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

- Closed
- E-file Generated
- Filed

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

mode.

Table 2-3 Status in Which Report Details are Editable by Different Users

Report Status	Analyst	Supervisor	Super User	Auditor
Open	Y	Y	Y	N
Request for Approval	N	Y	Y	N
Approved	N	Y	Y	N
Re-approve Required	N	Y	Y	N
Closed	N	N	Y	N
Rejected	Y	Y	Y	N
E-file Generated	N	N	N	N
Rejected from E-file	Y	Y	Y	N
Filed	N	N	N	N

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

3

Getting Started

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

Topics:

- [User Access](#)
- [Logging in to the OFS CRR Application](#)

3.1 User Access

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

Table 3-1 User Roles and Functions

Functions	Analyst	Supervisor	Super User	Auditor
Search and View Report	Y	Y	Y	Y
Edit Report	Y	Y	Y	N
Create a new Report	Y	Y	Y	N
Reassign a Report	Y	Y	Y	N
Setting a due date for reports	Y	Y	Y	N
Request for Approval	Y	N	Y	N
Approve Report	N	Y	YX	N
Edit - Approved Report	N	Y	Y	N
Reject Report	N	Y	Y	N
Close Report	Y	Y	Y	N
Re-Approve Reports	N	Y	Y	N
Reject Approved Reports	N	N	Y	N
Close Approved Reports	N	N	Y	N
Add Comments	Y	Y	Y	Y
Manage Documents	Y	Y	Y	N
Draft Report (PDF)	Y	Y	Y	Y
Reject E-File	N	N	Y	N
Generate E-File	N	N	Y	N

Table 3-1 (Cont.) User Roles and Functions

Functions	Analyst	Supervisor	Super User	Auditor
Upload Acknowledgment	N	Y	Y	N
SAR Process Complete	N	Y	Y	N
View / Edit Configuration	N	N	Y	N

3.2 Privileges, Function Code & Name and their Description

This section provides information about User privileges and functions.

Table 3-2 Privileges, Function Code & Name, and their Description

Privileges	V_FUNCTION_CODE	V_FUNCTION_NAME	V_FUNCTION_DESC
Access to CRR Menu	RRSMENU	Regulatory Reports Menu	Show Regulatory Reports Menu
Access to Create New USSAR Report	RRSEEDIT	Access the Create Report page	Access the Create Report page
Access to File Regulatory Report	RRSFILESAR	Show File Regulatory Report Menu	Show File Regulatory Report Menu
Access to Admin Menus	MENUACCESS	Admin Menu Access	Admin Menu Access
Access to USSAR Search List	RRSUSSAR	Access to the US SARDI - Regulatory Reports	Access to the US SARDI - Regulatory Reports
Access to CRR Menu	RRSACC	Access to RRS Menu	Access to RRS Menu
Access to the CRR pack	OFSRRS	Access to Compliance Regulatory Reporting Pack	Access to Compliance Regulatory Reporting Pack

3.3 Logging in to the OFS CRR Application

This section provide information about how to log into the CRR Application.

Note

For more information on View/Edit Configuration, see Administration Guide. Super User has all the privileges of Admin User as well.

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

1. Enter the URL into your browser using the following format:
2. <scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/login.jsp
3. The OFSAA Login page is displayed.
4. Select the Language from the **Language** drop-down list.

5. Enter your **User ID** and **Password**.
6. Click **Login**. The OFSAA Application page is displayed. Click **Financial Services Regulatory Reporting**.
7. Go to the *Navigation List*. Click **Compliance Regulatory Reporting** in LHS. The US SAR primary menu is displayed in the LHS.
8. Click **US SAR**. The **Regulatory Reporting** Landing page is displayed with the Search and List page as a default page.
9. To access other menus, hover over Regulatory Reports and the US SAR primary menu.
10. The US SAR menu displays the following sub-menus:
 - Search and List
 - File Regulatory Reports
 - Create New Regulatory Report

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

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

Table 3-3 Menus Accessible to OFS CRR Users

Pages	Analyst	Supervisor	Super User	Auditor
Search and List	Y	Y	Y	Y
File Regulatory Reports	N	N	Y	N
Create New Regulatory Report	Y	Y	Y	N
User Attributes	N	N	Y	N

NOTE

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

4

Searching Reports

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

The Reports List section displays the list of reports you have specified in the search parameters. Use the Search and List page to perform the search activities and view the results.

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

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

Figure 4-1 Advanced Search

The screenshot shows the 'Advanced Search' window with a dark header bar containing the title and a close button. The main area is a grid of search filters organized into rows and columns. Each filter has a label and an input field. Some input fields have a small menu icon (three horizontal lines) to the right. Date fields include a calendar icon. At the bottom, there are three buttons: 'Reset', 'Save as View', and 'Search'.

Report Number	Report Name	Jurisdiction
<input type="text"/>	<input type="text"/>	<input type="text"/>
Report Status	Event/Case ID	SSN/EIN/TIN
<input type="text"/>	<input type="text"/>	<input type="text"/>
Filing Type	Tracking ID	BSA ID
<input type="text"/>	<input type="text"/>	<input type="text"/>
E-File Reference	Created Date From	Created Date To
<input type="text"/>	05/20/2025	05/22/2025
Created By	Due Date From	Due Date To
<input type="text"/>	MM/DD/YYYY	MM/DD/YYYY
Assigned To	Filing Date From	Filing Date To
<input type="text"/>	MM/DD/YYYY	MM/DD/YYYY
Approved By	Approved Date From	Approved Date To
<input type="text"/>	MM/DD/YYYY	MM/DD/YYYY
Reported Subject First Name	Reported Subject Middle Name	Reported Subject Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Reset Save as View Search

3. Enter the search components in the Search fields.

Table 4-1 Components of Search Bar

Fields	Description
Report Number	Enter the report number to display the report with the number as specified in the search criteria.
Report Name	<p>Enter the report name to display the report with the name as specified in the search criteria.</p> <p>NOTE: This field supports a wildcard search, using the % as a wildcard indicator, and allows you to enter a maximum of 61 characters.</p>
Jurisdiction	<p>Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction.</p> <p>NOTE: Only configured jurisdictions are displayed in the drop-down list for the logged-in user.</p> <p>Every report is associated with a jurisdiction, whether created manually or from a case (OFSECM). When a SAR is created from a case, the SAR inherits the jurisdiction that was associated with the case. When a SAR is created manually, the <i>Domain 1</i> field on the create SAR screen displays the list of available jurisdictions.</p> <p>Each user has access to a set of jurisdictions, and each SAR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the SAR's jurisdiction. Jurisdiction is a mandatory field for the creation of a SAR, whether manually or from the case.</p> <p>NOTE: Only configured domains are displayed in the drop-down list for the logged-in user.</p>
Report Status	<p>Select the report status from the drop-down list to display reports in the selected status.</p> <p>The Status search criteria are pre-selected with a configurable list of statuses. By default, the application displays the following statuses:</p> <ul style="list-style-type: none"> • Open • Requested for Approval • Approved • Closed • Filed • E-File Generated • Rejected • Rejected from E-File • Re-Approve Required • Acknowledgment - Accepted • Acknowledgment - Accepted with Warnings • Acknowledgment - Rejected
Event/Case ID	<p>Enter the Event or Case ID to display the reports with the selected Event or Case ID.</p> <p>The Event or Case ID is the case that has triggered the creation of a report in the OFSCRR application.</p> <p>This field supports a wildcard search; use % as a wildcard indicator. For more information on how reports are auto-generated from OFSECM, see the <i>Taking the Resolution Action</i> section in the</p>
SSN/EIN/TIN	<p>Enter the SSN/EIN/TIN (Social Security Number, Employer Identification Number, or Taxpayer ID Number).</p> <p>This field supports a wildcard search; use % as a wildcard indicator.</p>

Table 4-1 (Cont.) Components of Search Bar

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

Table 4-1 (Cont.) Components of Search Bar

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

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

NOTE

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

4.1 All Views

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

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

1. On the **Search and List** page, click **All Views** to view the available options.
2. Select the options from the drop-down list. The required list of reports is displayed. You can create your pre-defined views. For more information, see [Saving Views](#).

NOTE

You can view only those options in the drop-down that you have created in [Saving Views](#) section.

4.2 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 more information, see [All Views](#).

For example, if you regularly search for reports approved by the Supervisor and reports approved on or before December 2021, you can pre-define a search as *SupDecember* under Views. When you log in to the application next time, rather than re-entering search criteria, you select the required pre-defined view as *SupDecember* from the Views search option and filter the reports.

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

1. Open the **Search and List** page.
2. Enter the required search criteria in the search fields.
3. Click **Save as View**. The **Save as View** window is displayed.

4. Enter the View Name and View Details. The field marked with * an asterisk is mandatory.

NOTE

The View Details field allows a maximum of 255 characters.

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

NOTE

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

4.3 Components of Regulatory Reports List

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

- [Search Bar](#)
- [List Header](#)
- [Action Buttons](#)
- [Column Headings](#)
- [List Matrix](#)

4.3.1 Search Bar

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

4.3.2 List Header

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

4.3.3 Action Buttons

Note

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

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

- [Data Exporting](#)
- [Setting Due Date for Reports](#)
- [Reassigning Reports](#)
- [Closing Reports](#)
- [Reopening Reports](#)
- [Viewing the Draft Report](#)

4.3.3.1 Data Exporting

The List of Regulatory Reports allows you to export the report details into an Excel and .CSV files. To export the report details, follow these steps:

1. Go to the **Regulatory Reports List** page.
2. Click **Data Export**. The Export options, Excel and CSV are displayed.

NOTE

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

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

NOTE

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

4.3.3.2 Setting Due Date for Reports

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

4.3.3.3 Reassigning Reports

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

4.3.3.4 Closing Reports

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

To close reports, follow these steps:

1. On the Search and List page, select the required one or more reports.
2. Click **Close**. A confirmation message is displayed. The status of the report changes to *Closed*.

4.3.3.5 Reopening Reports

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

To reopen reports, follow these steps:

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

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

NOTE

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

4.3.3.6 Viewing the Draft Report

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

To view the draft report, follow these steps:

1. Go to the **Regulatory Reports List** page.
2. Click the Report Number. The Report Details page is displayed.

NOTE

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

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

NOTE

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

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

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

4.3.4 Column Headings

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

The following sorting options are displayed:

- Ascending
- Descending
- Clear Sort
- Field Chooser

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

4.3.5 List Matrix

The List matrix displays the summary of all reports.

Table 4-2 CRR List matrix

Columns	Description
Report Number	Displays the report number.
Report Name	Displays the report name.
Report Type	Displays the report type. SAR is the default value for the report type.
Jurisdiction	Displays the jurisdiction to which the report is mapped. Jurisdiction over a territory relates to the geographic area over which a court has the authority to decide cases. The following are the values for Jurisdiction: <ul style="list-style-type: none"> • CA • SA • US • INDA • AMEA • SGI • SGO • ENT
Event/Case ID	Displays the Cased ID that triggered the creation of the report in OFS CRR from OFSECM. This field displays as blank for the manually created report.
Subject Name	Displays the subject name.
Number of Subjects	Displays the number of subjects involved in the suspicious transaction. Click the number link. The Subject Information Details window is displayed. The list of subjects involved in the suspicious transaction is displayed.
Created Date	Displays the date of report creation.
Created By	Displays the user who created the report.
E-File reference	Displays the e-file reference number.
Acknowledgment Date	Displays the date on which the acknowledgment was received.
Status	Displays the status of the report.
Tracking ID	Displays Tracking ID.
BSA ID	Displays the BSA ID generated for the report. BSA stands for Bank Secrecy Act Identifier. The BSA ID is a distinct value assigned to each SAR submitted to FinCEN. The FinCEN will use this ID to track a SAR as well as any corrections or amendments to that SAR.
Report Format Version	Displays the format of the report. For example, xml.
Draft Report	Click the Download link to download the draft report.
Due Date	Displays the due date
Filing Date	Displays Filing Date.

5

Creating Reports

When a report is created in the OFS CRR US SAR application through the OFS ECM application, the report details are auto-populated with information from the Case, which triggered the action to generate the report. The newly created report is available in the OFS CRR US SAR application and assigned to a specific user with a due date to take appropriate action. These parameters are configurable. Users who have the same security attributes as the Case posted from OFS ECM will be able to view the report in the OFS CRR US SAR application.

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

This chapter covers the following topics:

- [Creating SAR from OFSECM](#)
- [Creating a New Report from OFSCRR Application](#)

5.1 Creating SAR from OFSECM

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

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

5.2 Creating a New Report from OFSCRR Application

Analyst, Supervisor, and Super User users can create new regulatory reports. To create a new regulatory report, follow these steps:

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

Figure 5-1 Creating New Report

Report Name *	Corrected Report *
<input type="text"/>	<input type="text"/>
Report Type	Domain 1 *
<input type="text" value="SAR"/>	<input type="text"/>
Domain 2	Domain 3
<input type="text"/>	<input type="text"/>
Domain 4	Domain 5
<input type="text"/>	<input type="text"/>
Internal Control/File Number	Assign To *
<input type="text"/>	<input type="text"/>
Created Date	Created By
<input type="text" value="12/9/2022"/>	<input type="text" value="unsup"/>
<input type="button" value="Reset"/> <input type="button" value="Save"/>	

2. Enter the required information in the fields.

Table 5-1 Create New Report

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

Table 5-1 (Cont.) Create New Report

Fields	Description
Domain 5	Select Domain 5 from the drop-down list. NOTE: Only configured domains are displayed in the drop-down list for the logged-in user. NOTE: Only configured domains are displayed in the drop-down list for the logged-in user.
Internal Control/File Number	Enter the internal control/file number. This number is the Case ID from OFSECM if the report is auto-generated from OFSECM. For manually created reports, clients will have the option to provide an internal control/file number to the new report.
Created On	Displays the date and time of report creation.
Created By	Displays the user who created the report.

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

NOTE

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

6

Managing Report Details

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

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

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

- [Components of Regulatory Reports List](#)
- [Filing Institution Information](#)
- [Financial Institution Where Activity Occurred](#)
- [Suspicious Activity Information](#)
- [Subject Information](#)
- [Documents](#)
- [Narrative](#)
- [XSD Validation Details](#)
- [Audit](#)

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

6.1 Components of Regulatory Report Details

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

Note

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

The following are the components of the Regulatory Report Details:

- [Action Buttons](#)
- [Report Context](#)
- [Report Details Tabs](#)

6.1.1 Action Buttons

The action buttons are displayed based on your role and the current status of the report.

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

- **Add Comments:** This button displays in the Regulatory Report Details in all the report statuses. It allows you to add comments to the report. For more information about adding comments, see [Adding Comments to Report](#).
- **Draft Report:** This button displays in all the report statuses. It allows you to view the report details in a PDF. For more information about the draft report, see [Viewing the Draft Report](#).
- **Request For Approval:** This button displays in the Regulatory Report Details when the report is in *Open*, *Rejected*, or *Rejected from e-file* status. It allows you to submit a report for approval. For more information about requesting approval, see [Requesting Approval](#).
- **Approve:** This button displays in the Regulatory Report Details when the report is in *Request for Approval* status for the Supervisor user and in *Open*, *Rejected*, *Rejected from e-file*, and *Request for Approval* status for Super User. It allows you to approve reports. For more information about approving reports, see [Approving Reports](#).
- **Re-approve:** This button displays in the Regulatory Report Details when the report is in *Approved* or *Re-approve Required* status for the Supervisor and Super User. It allows you to reapprove reports. For more information about reapproving reports, see [Re-Approving Reports](#).
- **Reject:** This button displays in the Regulatory Report Details when the report is in *Request for Approval*, *Approved*, and *E-file generated* status for the Supervisor and Super User. It allows you to reject reports. For more information about rejecting reports, see [Rejecting Reports](#).
- **Close:** This button displays in the Regulatory Report Details when the report is in *Request for Approval* status for the Supervisor user and in *Open*, *Approved*, *Rejected*, *Rejected from e-file*, *Request for Approval* status for the Super User. For more information about rejecting reports, see [Closing Reports](#).
- **Set Due Date:** The Set Due Date action allows you to set a due date or modify an existing due date of a SAR. The due date is set based on the date the SAR creation request is sent from the OFS ECM to OFS CRR. This is the period during which the SAR must be filed with FinCEN. The Due date is configurable, and by default, it is set to 30 days from the date of SAR creation. It includes only business days, excluding holidays and weekends. This action button is also available on the Report List page so that you can take action on multiple reports [Setting Due Date for Reports](#).

6.1.2 Report Context

The Report Context displays information about the report, and only the Report Name can be modified; the rest of the fields are non-editable. It contains minimize and maximize buttons that allow you to expand and collapse the details in the Report Context.

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

To modify the Report Name, follow these steps:

1. On the **Search and List** page, click the **Report Number** link, and the Report Details page



is displayed. Click the expanded Report Details page is displayed.

2. Click **Edit**. The Report Name field is enabled.

3. Modify the required changes and click **Save**. These changes will be captured in the Audit history.

NOTE

The report name is modified only when the selected report is in Editable mode.

6.1.3 Report Details Tabs

The Regulatory Report Details displays the following tabs:

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

NOTE

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

6.1.4 Adding Comments to Report

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

To add comments to a report, follow these steps:

1. Go to the Reports Details page.
2. Click **Add Comments**. The *Action Type: Add Comments* pop-up window displays.
3. Enter the comments in the **Comments** box.

NOTE

The comments box in the Action Type: Add Comments pop-up window allows you to enter a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message displays: Number of characters exceeded.

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

4. Click **Save**. A confirmation message is displayed.
5. Click **OK**. The *Action Type: Add Comments* window closes and displays the Regulatory Report Details.

NOTE

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

6.2 Filing Institution Information

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

This tab displays the following sections:

- [Reporting Information](#)
- [Managing Filing Institution Information](#)

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

Note

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

6.2.1 Reporting Information

This section displays information on the type of report filing. The following are the possible types of filing:

- **Initial Report:** These reports are submitted to the FinCEN for the first time.
- **Correct/Amend Prior Report:** These reports were previously submitted but are being resubmitted with modifications to correct earlier provided information. A corrected SAR must refer to the previously submitted SAR by virtue of the BSA ID of the previous SAR.
- **Continuing Activity Report:** A continuing report is filed on suspicious activity that continues after an initial SAR is filed with FinCEN.
- **Joint Report:** It is a suspicious activity report that is being filed by the current institution jointly in cooperation with another financial institution.
- **Filing Institution Note to FinCEN:** This field displays the notes that you want to mention to FinCEN.

Validation:

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

6.2.2 Managing Filing Institution Information

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

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

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

Figure 6-1 Filing Institution Information Tab

Report Name : REJECTTEST Report Status : Rejected from E-File

Filing Institution Information | Fin Inst Where Activity Occurred | Suspicious Activity Information | Subject Information | Document | XSD Validation Details | Narrative | Audit

Reporting Information

1. Type of Filing
☒ Initial Report ☐ Correct/Amend Prior Report ☐ Continuing Activity Report ☐ Joint Report

2. Filing Institution Note to FinCEN

Filing Institution Information

76. Filing Institution Name *
The Vanguard Group, Inc.

75. Primary Federal Regulator *
Office of the Comptroller of the Currency (OCC)

78. TIN Type *
Foreign Taxpayer Identification Number (TIN)

77. TIN *
123455563

79. Type of Fin Inst *
Depository Institution

Other Desc

80. Type of Securities and Futures Institution
Clearing broker-securities

Other Desc

81. Fin Inst ID
12344544

81. Fin Inst ID Type
National Futures Association (NFA) number

87. Alternate Name
Y.G INC

82. Address *
700 Admiral Nelson Drive,

83. City *
Malvern

84. State *
Arkansas

85. Postal Code *
19355

86. Country *
UNITED STATES

93. Filing Inst Contact Office *
SAR OFFICE

94. Filing Inst Contact Num *
18556830147

Extn
4534

88. Internal Control/File Number

Prior Report Doc Number
☐ Unknown

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

The following table explains the fields in the *Filing Institution Information* Tab

Table 6-1 Fields in the Filing Institution Information Tab

Fields	Description
Filing Institution Name	<p>Select the financial institution name from the drop-down list. All the related fields displaying the filing financial institution details get auto-populated on the selection of the Filing Institution name and will display as not editable.</p> <p>A firm may have one or more legal entities under which it files regulatory reports. The values available in the Filing Institution Name drop-down are defined by each client during installation. The system administrator enters the data into the database, where it can be selected by the user on the User Interface. This is handled during installation by the Excel upload of data.</p> <p>NOTE: If you have not given any value for Filing Institution Name, then the application displays the following message: <i>Filing institution should be present.</i></p>
Primary Federal Regulator	The primary federal regulator.
TIN Type	The TIN (Taxpayer ID Number) type. For example, Social Security Number (SSN)/Individual Taxpayer Identification Number (ITIN)

Table 6-1 (Cont.) Fields in the Filing Institution Information Tab

Fields	Description
TIN	The TIN (Taxpayer ID Number).
Type of Financial Institution	The type of financial institution. For example, a Depository institution.
Other Description	Any additional information about the type of financial institution?
Type of Securities and Futures Institution	The type of securities and futures institution. For example, CPO/CTA, Clearing broker-securities, Futures Commission Merchant, and so on.
Other Description	Any additional information about the type of securities and futures institution?
Financial Institution ID	The ID of the financial institution involved in suspicious activity.
Financial Institution Identification Type	The financial institution identification type. For example, the Central Registration Depository (CRD) number.
Alternate Name	The alternate name of the financial institution.
Address	The address of the financial institution.
City	The city where the financial institution is located.
State	The state where the financial institution is located.
Postal Code	The postal code of the financial institution.
Country	The country where the financial institution is located.
Filing Institute Contact Office	The filing institution's contact office name.
Filing Inst Contact Number	The filing institution's contact number.
Extension	The extension of the filing institution. The values in these fields are auto-populated based on the filing institution name you have selected.
Internal Control/File Number	Enter the internal control/file number. This is the Case ID from OFS ECM if the reports are auto-generated from OFS ECM. For manually created reports, clients will have the option to provide an internal control/file number to the new report.

Table 6-1 (Cont.) Fields in the Filing Institution Information Tab

Fields	Description
Prior Report Doc Number	<p>Enter the prior report document number.</p> <p>Prior Report Doc Number refers to the unique identifier assigned to a report that has been submitted to the regulatory body. This field is applicable when filing a continuing activity, corrected, or supplemental report on a previously submitted report.</p> <p>Select the Unknown check box if the prior report document number is unknown.</p> <p>Validations:</p> <p>If Prior Report Doc Number is not entered for Corrected, Supplemental, and Continuing Reports, nor if the Unknown check box field has been marked, the application displays the following message: <i>Prior Report Doc Number in Financial Institution Info Tab is mandatory for Corrected, Supplemental or Continuing Reports. Enter the value or check Unknown if the value is not known.</i></p> <p>If you have entered one or more prohibited words in fields Filing Institution Contact Office and Prior Report Doc Number, then the application displays the following message: <i>You are not allowed to enter prohibited words in Filing Institution Contact Office and Prior Report Doc Number. The following words are prohibited: AKA, COMPUTER GENERATED, CUSTOMER, DBA, NON CUSTOMER, NONE, NOT APPLICABLE, OTHER, SAME, SAME AS ABOVE, SEE ABOVE, SEE NARRATIVE, SIGNATURE CARD, T/A, UNKNOWN, VARIOUS, XX.</i></p>

Note

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

- Click **Save**. A confirmation message is displayed.
- Click **OK**. The Filing Institution Information page displays.

NOTE

If you click **Reset**, the unsaved data is reset to the last saved value in the Filing Institution Information page.

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

6.3 Financial Institution Where Activity Occurred

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

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

The first section provides you with the list of financial institutions where the Activity Occurred. The second section provides you with the details of the selected Financial Institution and associated Branch Details. The auto-populated pane has a left-hand side (LHS) menu with Financial Institution Details and Branch Details options. This page allows you to add a new financial institution and edit or delete the existing financial institution where the activity occurred, and the branch details.

Note

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

Table 6-2 Columns in Financial Institution Where Activity Occurred Grid

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

6.4 Managing Financial Institution Where Activity Occurred Details

Use this section to add a new financial institution where the activity occurred and related branch details.

You can add a financial institution where the activity occurred in the following ways:

Note

This depends on whether your organization has configured Automatic or Manual mode.

- **Automatic Mode:** When you want to add a new *Financial Institution Where the Activity Occurred* you have to enter only the *Loss Incurred During the Suspicious Activity*, *Legal Name of the Financial Institution*, or select *Role*. Based on your selection, the system retrieves all the information pertaining to the financial institution where the activity occurred.
- **Manual Mode:** When you want to add a new *Financial Institution Where the Activity Occurred* you must manually enter all the required fields. When you enter the *TIN* or *Financial Institution Code* field, if the related information is not in the system, the application displays a message- *Please enter the Financial Institution information*. You must enter the details of the new Financial Institution.

When you enter the *TIN* or *Financial Institution Code* field, if the related information is already present in the system, it displays information in all the fields.

These modes are configured by your Administrator according to the organization's requirement. For more information on the configuration, see

You can also edit and remove existing financial institutions where the activity occurred and related branch details.

To add a new financial institution where the activity occurred and modify or remove existing details, use Manual Mode or Automatic Mode.

6.4.1 Manual Mode

This mode is applicable only if your organization has opted for Manual mode.

1. On the **Fin Inst Where Activity Occurred** tab, click **Add**. The *Financial Institution Where Activity Occurred* window displays.
2. Enter the required information in the fields.

Table 6-3 Fields in Financial Institution Where Activity Occurred-Manual Mode

Fields	Description
TIN Type	Select the TIN type from the TIN Type drop-down list. NOTE: It is mandatory to select the TIN Type.
TIN	Enter the TIN. NOTE: <ul style="list-style-type: none"> • It is mandatory to select the TIN Type. • If you want to search a financial institution by TIN and TIN Type, then the Financial Institution code is not required.
Fin Inst Code	Enter the Financial Institution code. NOTE: If you want to search a financial institution by Fin Inst Code, then TIN Type and TIN are not required.

3. Click the **Search** icon . The Add Financial Institution Where Activity Occurred Window is displayed.
 - If you enter only *TIN* and *TIN Type* and click the search icon, if that TIN does not exist, the following message is displayed: *This TIN does not exist. Please enter the Financial Institution information.* You must enter the details of the new Financial Institution.
 - If you enter TIN and TIN Type and click the search icon, if that TIN information already exists. The Financial Institution information is displayed. Note: This information you cannot modify.
 - If you enter only the Fin Inst Code and click the search icon, if that Financial Institution does not exist, the following message is displayed: *This Financial Institution does not exist. Please enter the Financial Institution information.* You have to enter the details of the new Financial Institution.
 - If you enter only a Financial Institution and click the search icon, if that Financial Institution exists. The related Financial Institution information is displayed. Note: This information you cannot modify.

Figure 9: Add Financial Institution Where Activity Occurred Window

Figure 6-2 Add Financial Institution Where Activity Occurred Window

Add Financial Institution Where Activity Occurred

44

67. Loss to Fin Inst

56. Role

57. Legal name of the Fin Inst

☐ Unknown

58. Alternate Name

51. Type of Fin Inst *

Other Desc

Fin Inst Code

52. Primary Federal Regulator *

55. Fin Inst ID Type

55. Fin Inst ID

59. TIN

☐ Unknown

60. TIN Type

53. Type of Gaming Inst

Other Desc

54. Type of Securities and Futures Inst

Other Desc

61. Address

☐ Unknown

62. City

☐ Unknown

63. State

64. Postal Code

☐ Unknown

65. Country

☐ Unknown

Cancel

Clear

Save

4. Enter the required information in the fields.

NOTE

If the financial institution information is already present, all the details are displayed except *Loss to Financial Institution*, *Role*, and *Legal name of the Fin Inst*. You cannot modify the rest of the fields.

Table 6-4 Fields in Financial Institution Where Activity Occurred

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

Table 6-4 (Cont.) Fields in Financial Institution Where Activity Occurred

Fields	Description
Role	<p>Enter the role of the financial institution in suspicious activity.</p> <p>These are values as defined by FinCEN. Role refers to the role played by the institution in the suspicious activity when certain product types or instruments/payment mechanisms were used in the activity.</p> <p>The Role is a drop-down list with the following options:</p> <p>Paying Location: The financial institution is considered to have played the role of <i>Paying Location</i> if the customer received payment from the institution for the products or instruments recorded on the SAR.</p> <p>Selling Location: The financial institution is considered to have played the role of <i>Selling Location</i> if the customer purchased products or instruments from the institution.</p> <p>Both A and B: You must select <i>Both A and B</i> if the financial institution was both a paying and selling location for the products or instruments recorded on the SAR.</p>
Legal name of the Financial Institution	Enter the legal name of the financial institution. If you do not know, select the Unknown checkbox.
Alternate Name	Enter the alternate name of the financial institution.
Type of Financial Institution	Select the type of financial institution from the drop-down list.
Other Description	Enter any additional information about the type of financial institution if you have selected the option - Other in the above field.
Financial Institution Code	Enter the financial institution code.
Primary Federal Regulator	<p>Select the primary federal regulator from the drop-down list.</p> <p>The Primary Federal Regulator is the state or federal regulatory agency that is the primary supervising entity of a financial institution.</p>
Financial Institution ID Type	Select the financial institution ID type from the drop-down list.
Financial Institution ID Number	Enter the financial institution ID number.
TIN	Enter the TIN (Taxpayer ID Number) number. If you do not know, select the Unknown checkbox.
TIN Type	Select the TIN (Taxpayer ID Number) type from the drop-down list.
Type of Gaming Institute	<p>Select the type of gaming institute from the drop-down list.</p> <p>NOTE: This field is enabled only if you have selected <i>Casino</i> or <i>Card Club</i> as an option in the Type of Fin Inst field.</p>
Other Description	Enter any additional information about the type of gaming institute if you have selected the option - Other in the above field.
Type of Securities and Futures Institution	<p>Select the type of securities and futures institution from the drop-down list.</p> <p>NOTE: This field is enabled only if you have selected <i>Securities</i> or <i>Futures</i> as an option in the Type of Fin Inst field.</p>
Other Description	Enter any additional information about the type of securities and futures institution if you have selected the option - Other in the above field.
Address	Enter the address of the financial institution where the suspicious activity occurred. If you do not know, select the Unknown checkbox.
City	Enter the City in which the institution involved in the suspicious activity is located. If you do not know, select the Unknown checkbox.

Table 6-4 (Cont.) Fields in Financial Institution Where Activity Occurred

Fields	Description
State	Select the State in which the institution involved in the suspicious activity is located from the drop-down list. If you do not know, select the Unknown checkbox.
Postal Code	Enter the postal code of the financial institution.
Country	Select the Country where the institution involved in the suspicious activity is located from the drop-down list. If you do not know, select the Unknown checkbox.

6.4.2 Automatic Mode:

This mode is applicable only If your organization opts for automatic mode.

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

Figure 6-3 Financial Institution Where Activity Occurred Window

Add Financial Institution Where Activity Occurred

67. Loss to Fin Inst

56. Role

57. Legal name of the Fin Inst *

58. Alternate Name

51. Type of Fin Inst *

Other Desc

Fin Inst Code *

52. Primary Federal Regulator *

55. Fin Inst ID Type

55. Fin Inst ID

59. TIN

60. TIN Type

53. Type of Gaming Inst

Other Desc

54. Type of Securities and Futures Inst

Other Desc

61. Address

62. City

63. State

64. Postal Code

65. Country

Cancel

Clear

Save

2. Enter the required information in the fields.

Table 6-5 Financial Institution Where Activity Occurred Window

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

Table 6-5 (Cont.) Financial Institution Where Activity Occurred Window

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

Table 6-5 (Cont.) Financial Institution Where Activity Occurred Window

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

3. Click **Save**. The following message displays: *Update Operation Successful*.
4. Click **OK**.
5. Click **Close** to close the Financial Institution Where Activity Occurred window. **Note:** If you click **Clear**, all the fields are set to default values that are blank.

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

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

NOTE

For Manual mode, you can modify all the fields.

For Automatic mode, you can only modify *Loss to Financial Institution*, *Role*, and *Legal name of the Fin Inst* fields.

2. If you are on Automatic mode, click **Edit**. The Financial Institution Where Activity Occurred window displays.
3. Modify the necessary information.
4. Click **Save**. The following message displays: *Update Operation Successful*.

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

1. On the Financial Institution Where Activity Occurred list, select the check box of the Financial Institution Where Activity Occurred record that you want to delete.
2. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*
3. Click **OK**. The following message displays: *Delete Operation Successful*.

6.4.3 Managing Branch Details

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

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

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

1. On the LHS menu, click **Branch Details**. The Branch Information section is displayed.
2. Click **Add**. The Add New Branch window is displayed.

3. Enter the required information in the fields.

Table 6-6 Add New Branch window

Fields	Description
Branch Code	<p>Enter the branch code.</p> <p>When you click after entering the branch code in the Add a New Branch pop-up window, all the related information gets auto-populated (except role) and is not editable. Clicking the search icon validates that the branch code entered is a valid branch for your institution.</p> <p>If you try to save the details in the Add a New Branch pop-up window without first identifying the branch, the following message displays: <i>Select a Branch before saving.</i></p>
Address	Enter the address details of the branch.
City	Enter the city where the branch is located.
State	Enter the state where the branch is located.
Zip Code	Enter the zip code where the branch is located.
Country	Enter the country where the branch is located.
RSSD ID Number	<p>Enter the RSSD number of the branch.</p> <p>The RSSD ID number is a unique identifying number assigned by the Federal Reserve for all financial institutions, main offices, and branches. RSSD specifically refers to the assigned identifier for <i>Research, Statistics, Supervision, and Discount</i> identification numbers.</p>
Role	<p>Enter the role of the financial institution branch in suspicious activity. These are values as defined by FinCEN. Role refers to the role played by the institution in the suspicious activity when certain product types or instruments/payment mechanisms were used in the activity.</p> <p>The Role is a drop-down list with the following options:</p> <ul style="list-style-type: none"> • Paying Location: The financial institution is considered to have played the role of <i>Paying Location</i> if the customer received payment from the institution for the products or instruments recorded on the SAR. • Selling Location: The financial institution is considered to have played the role of <i>Selling Location</i> if the customer purchased products or instruments from the institution. • Both A and B: You must select <i>Both A and B</i> if the financial institution was both a paying and selling location for the products or instruments recorded on the SAR.

4. Click **Save**. The following message displays: *Update Operation Successful.*
5. Click **OK**. The branch details are saved.
6. Click the **Validate** button in the Branch Details section to validate the information present in the Branch Details section and check for any missing mandatory information.

Validations

- If there are no branch details added and also the No Branch Involved check box is not checked, the following message displays on validation: You must either select a branch for this SAR or indicate No Branch Involved.
- If you try to add branch information when the No Branch Involved field is checked, the following message displays: You have indicated that no branch is involved. You must unselect that option before adding a branch.

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

To edit or remove Branch Details, follow these steps:

- a. On the Branch Details menu, select the branch details you want to edit.
- b. Click **Edit**. The Branch window displays.
- c. Modify the required information.
- d. Or, click **Delete**.
- e. Click **Save**. The following message displays: Update or Delete Operation Successful.
- f. Click **OK**. The page is refreshed and displays the modified data

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

6.5 Suspicious Activity Information

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

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

- [Suspicious Activity Details](#)
- [Activity Classification](#)
- [Law Enforcement Agency Details](#)
- [Additional Information](#)

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

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

6.5.1 Suspicious Activity Details

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

To add the suspicious activity details, follow these steps:

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

Figure 6-4 Suspicious Activity

▼ Suspicious Activity Occurred

30. Activity Date From * To

29. Amount 31. Cumulative Amount

29. Amount Unknown/ No Amount

Note: Cumulative Amount should be populated only if this report is a Continuing Activity Report

2. Enter the information in the fields.

The following table explains the fields in the Suspicious Activity details pane.

Table 6-7 Suspicious Activity details

Fields	Description
Activity Date From	<p>Enter the date on which the suspicious activity is started.</p> <p>If you click on the <i>Validate</i> tab, and if the date entered in the Activity Date From field is less than 1 January 1950, then the application displays the following message: <i>Enter a date in the field "Activity Date From" which is later than or equal to 1st January 1950.</i></p> <p>If you click the <i>Validate</i> button and if there is no value entered in Activity date, the application displays the following message: <i>Activity date from must be entered.</i></p> <p>NOTE: If the transactions are marked as Suspicious in a case, the suspicious labeled transaction will only be considered for date calculation.</p>
To	<p>Enter the date on which the suspicious activity is believed to have ended.</p> <p>If you click the <i>Validate</i> tab, and if the date entered in the Activity Date From field is greater than the date entered in the To Date field, the application displays the following message: <i>Activity Date From cannot be greater than the To Date.</i></p> <p>NOTE: If the transactions are marked as Suspicious in a case, the suspicious labeled transaction will only be considered for date calculation.</p>
Amount	<p>Enter the amount involved in the suspicious activity.</p> <p>If you click the <i>Validate</i> tab and the cumulative amount entered is less than the amount entered in the amount field of Suspicious activity details, then the application displays the following message: <i>Cumulative amount should not be less than the amount for suspicious activity.</i></p> <p>If you click the <i>Validate</i> tab and if you have entered ' 0 ' in the Amount field, then the application displays the following message: <i>Zero should not be entered in the Amount field in Suspicious Activity Information.</i></p> <p>NOTE: If the transactions are marked as Suspicious in a case, the suspicious labeled transaction will only be considered for date calculation.</p>

Table 6-7 (Cont.) Suspicious Activity details

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

3. Click **Save**. The following message displays: *Update Operation Successful*.
Note: If you click **Reset**, the page is refreshed and displays the last saved suspicious activity details.
4. Click **OK**. The suspicious activity details are saved.
5. Click the **Validate** button in the Suspicious Activity Details section to validate the information present in the Suspicious Activity Details section and check for any missing mandatory information.
6. Click the **Validate Tab** button in the Suspicious Activity Information tab to validate the information present in the Suspicious Activity Information tab and check for any missing mandatory information.

Validations:

- If you try to perform the Request for Approval action on the report without entering the Suspicious Activity Amount or without indicating that there is no amount involved or the amount is unknown, the following message displays: *Either the Amount or Amount Unknown/No Amount field should be entered in suspicious activity information.*
- If you specify an amount and also select No Amount Involved or Amount Unknown in the Suspicious Activity Details pane, the following message displays: *When no amount is involved or is unknown, then the amount should not be entered.*

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

6.5.2 Activity Classification

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

1. Click **Activity Classification** from the LHS menu. The *Activity Classification* pane is displayed with the following classification categories:
 - Structuring
 - Terrorist Financing
 - Fraud(Type)
 - Gaming Activities
 - Money Laundering
 - Identification/Documentation
 - Other Suspicious Activities
 - Insurance
 - Securities/Futures/Options
 - Mortgage Fraud
 - Cyber Events
 - Were any of the following product type(s) involved in the suspicious activity?
 - Were any of the following instrument type(s)/payment mechanism(s) involved in the suspicious activity?
2. Within each category, there are related options to select specific behavior that indicates why it was felt to the suspicious activity. Review these options within each category and select one or more that best describe the activity being reported.
3. Each of these classifications in the *Activity Classification* LHS menu contains subtypes. You can check all the options applicable to the suspicious activity.
4. If you do not find the relevant option in the required section, then select **Other** from the activity classification list and enter the description of the activity classification.
5. Click **Save**. All the details in the *Activity Classification* pane are saved.
6. Click the **Validate** button in the Activity Classification section to validate the information present in the Activity Classification section and check for any missing mandatory information.

Validations:

- If you click the Validate button and you have marked Other in any of the fields in the Activity Classification section without entering any description, then the application displays the following messages accordingly:
 - If you have marked Other in Instrument Type/Payment Mechanism Involved and have If no description is provided, then the application displays the following message: If Instru- ment Type/Payment Mechanism Involved contains Other, a brief description of the activity is mandatory in suspicious activity classification.

- If you have marked Other in Product type and have not provided any description, then the application displays the following message: If the product type involved contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Mortgage fraud and have not provided any description, then the application displays the following message: If mortgage fraud contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Securities/futures/options and have not provided any description, then the application displays the following message: If securities/futures/options contain Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Insurance and have not provided any description, then the application displays the following message: If insurance contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Identification documentation and have not provided any description, then the application displays the following message: If identification documentation contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Money laundering and have not provided any description, then the application displays the following message: If money laundering contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Gaming Activity and have not provided any description, then the application displays the following message: If casinos contain Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in fraud and have not provided any description, then the application displays the following message: If fraud contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Terrorist and have not provided any description, then the application displays the following message: If terrorist financing contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Structuring and have not provided any description, then the application displays the following message: If structuring contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Other Suspicious activity and have not provided any description, then the application displays the following message: If another suspicious activity contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have marked Other in Cyber Events activity and have not provided any description, then the application displays the following message: If another suspicious activity contains Other, a brief description of the activity is mandatory in suspicious activity classification.
- If you have not marked any of the activity classifications, then the application displays the following message: At least one activity classification should be present.
- If you click the Validate button and the information in the Activity Classification section is not correct, then the application displays the following message: Please validate the Section Activity Classification.

6.5.3 Law Enforcement Agency Details

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

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

The following table explains the fields in the *Law Enforcement Agency Details*.

Table 6-8 Law Enforcement Agency Details

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

3. Click **Save**. The Law Enforcement Agency pane is saved.
4. Click the **Validate** button in the Law Enforcement Agency section to validate the information present in the Law Enforcement Agency section and check for any missing mandatory information.

6.5.4 Additional Information

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

The following are the types of additional information:

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

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

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

6.5.4.1 Managing Additional Information

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

1. Click **Additional Information** on the LHS menu. The Additional Information grid is displayed.
2. Click **Add**. The Additional Information pop-up window displays.
3. Select the appropriate additional information type.
4. Enter the description. You can enter maximum of 50 characters.
5. Click **Save**. The following message displays: *Update Operation Successful*.
6. Click **OK**. The additional information details are saved.

To edit the additional information, follow these steps:

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

To delete the additional information, follow these steps:

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

6.5.4.2 Managing IP Address Details

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

1. Click **Additional Information** on the LHS menu. The IP Address Details grid displays.
2. Click **Add**. The IP Address Details window displays.
3. Enter the appropriate IP Address Details.
4. Select the Activity Date from the calendar.
5. Enter Activity Time.
6. Click **Save**. The following message displays: *Update Operation Successful*.
7. Click **OK**. The additional information details are saved.

NOTE

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

To edit the IP Address Details, follow these steps:

1. Select the IP Address Details you want to edit.
2. Click **Edit**. The IP Address Details pop-up window displays.
3. Modify the required information.
4. Click **Save**. The following message displays: *Update Operation Successful*.
5. Click **OK**. The IP Address Details are saved. To delete the IP Address Details, follow these steps:
 - a. Select the IP Address Details you want to delete.
 - b. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*
 - c. Click **OK**. The following message displays: *Delete Operation Successful*.
 - d. Click **OK**. The IP Address Details are deleted.

6.5.4.3 Managing Cyber Event Details

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

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

Table 6-9 Cyber Event Details

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

3. Click **Save**. The following message displays: *Update Operation Successful*.
4. Click **OK**. The Cyber Event Details are saved. **Validations:**
 - The value provided must adhere to the following requirements: 4000 characters or less; must be in the following format based on these specific types of cyber events. Command and Control/Suspicious IP Addresses: If the IP address is IPv4, use a variation of the format nnn.nnn.nnn.nnn (n = number) with periods between the segments. The first set of numbers must be values between 1-255 (inclusive); a second, third, and fourth set of numbers must be values between 0-255 (inclusive). If the IP address is IPv6, use a variation of the format cccc:cccc:cccc:cccc:cccc:cccc:cccc:cccc (c = character, IPv6 is alphanumeric in some segments) with colons between the segments.
 - URL/Domain names: Must contain at least one period, no spaces, cannot begin or end with a dash.
 - Media Access Control (MAC) Addresses: Must be in the format XX:XX:XX:XX:XX:XX
 - Email Addresses: Must contain the @ symbol and at least one period following the @ symbol. To edit Cyber Event Details, follow these steps:
1. Select the Cyber Event Details you want to edit.

2. Click **Edit**. The Cyber Event Details pop-up window displays.
3. Modify the required information.
4. Click **Save**. The following message displays: *Update Operation Successful*.
5. Click **OK**. The additional information details are saved. To delete Cyber Event Details, follow these steps:
 - a. Select the Cyber Event Details you want to delete.
 - b. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*
 - c. Click **OK**. The following message displays: *Delete Operation Successful*.
 - d. Click **OK**. The Cyber Event Details are deleted.

NOTE

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

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

Note

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

6.6 Subject Information

This section covers the following topics:

- [Overview](#)
- [Managing Subject Information](#)
- [Address](#)
- [Phone](#)
- [Form of Identification](#)
- [Alternate Name](#)
- [Email Address](#)
- [Website \(URL\) Address](#)
- [Account Information](#)
- [Relationship with Financial Institution](#)

6.6.1 Overview

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

Table 6-10 Subject Information

Fields	Description
Subject Record #	Displays the subject record number. It is a system-generated, unique number that identifies the subject for this report. It is used for confirmation messages to identify the subjects whose information does not meet validation or approval requirements.
Subject Name	Displays the subject name.
TIN	Displays the subject TIN.
Occupation/Type of Business	Displays the occupation/type of business of the subject.
Role	Displays the role of the subject in the suspicious activity that is reported. The Role is a drop-down list with the following options: <ul style="list-style-type: none">• Purchaser/Sender: If the subject purchased, sent the instruments, or products involved in the suspicious activity, then they are considered to have played the role of <i>Purchaser/Sender</i>.• Payee/Receiver: If the subject received the instruments or products involved in suspicious activity, then they are considered to have played the role of the <i>Payee/Receiver</i>.• Both A and B: Select this option if the subject acted as both <i>Purchaser/Sender</i> and <i>Payee/Receiver</i>.

6.6.2 Managing Subject Information

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

Note

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

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

1. Click the **Subject Information** tab. The Subject Information page is displayed.
2. Click **Add**. The Subject Details window expands below the section. where you can enter the required subject information.

Figure 6-5 Subject Information

Subject Information Details

☐ 3. Is Critical Information Unknown?

4. Last Name/Entity Name

☐ Unknown

asfdslf

5. First Name

☐ Unknown

19. DOB

☐ Unknown

MM

DD

YYYY

16. TIN

☐ Unknown

10a. NAICS Code

23. Corroborative Statement Received?

☐ NO ☐ Yes

☐ Is subject an entity?

6. Middle Name

7. Suffix

8. Gender

17. TIN Type

10. Occupation/Type Of Business

28. Subject role

Reset

Save

3. Enter the required information in the fields.

Table 6-11 Subject Information

Fields	Description
Is critical information unknown?	Select this check box if all critical information about the subject is unavailable. Critical information is considered to be: <ul style="list-style-type: none">Last Name/Entity NameFirst NameTINDOBAddressIdentification
Is subject an Entity	Select this check box if the subject is an entity. Some of the fields, such as first name, middle name, suffix, gender, date of birth, and so on, are disabled on the selection of this check box.
Last Name/Entity Name	Select the check box if the Last Name/Entity Name is unknown. Enter the last name of the entity or subject.
Middle Name	Enter the subject's middle name.
First Name	Select the check box if the first name is unknown. Enter the subject's first name if you know.
Suffix	Enter the subject suffix.
DOB	Select the check box if the date of birth is unknown. Select the subject's date of birth from the drop-down list if you know. Note: It is mandatory to select the year of birth.
Gender	Select the subject's gender from the drop-down list.
TIN	Select the check box if the TIN is unknown. Enter the subject TIN number.
TIN Type	Select the subject TIN type from the drop-down list.

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Table 6-11 (Cont.) Subject Information

Fields	Description
NAICS Code	<p>Select the NAICS code.</p> <p>NAICS stands for <i>the North American Industry Classification System</i>. It is used by business and government to classify and measure economic activity in Canada, Mexico, and the United States.</p> <p>The NAICS numbering system is a six-digit code. The first five digits are generally the same in all three countries. The last digit designates national industries. The first two digits designate the largest business sector, the third digit designates the sub-sector, the fourth digit designates the industry group, and the fifth digit designates particular industries.</p>
Occupation/Type of Business	Enter the occupation or type of business of the subject.
Corroborative Statement Received?	<p>Select whether the corroborative statement is received.</p> <p>As per FinCEN, a corroborative statement is considered to be where the subject has made a statement to the filing institution admitting to the involvement or otherwise substantiating the suspicious activity. If such a statement was made, you must select Yes. If not, select No. If you select Yes, then the nature of that statement should be captured in the report <i>Narrative</i>.</p> <p>If you click Save without selecting any value in this field, then the application displays the following message: <i>You have not selected any value for Corroborative Statement Received for Suspect ID- <Suspect ID></i>.</p>
Subject role	Select the role of the subject in the suspicious activity.

NOTE

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

- Click **Save**. The following message displays: *Update Operation Successful*.
- Click **OK**. The subject information is saved.

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

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

To edit the subject information, follow these steps:

- Select the record you want to edit in the Subject Information section. The page expands below the section displaying all Subject Information.
- Modify the necessary information.
- Click **Save**. The following message displays: *Update Operation Successful*.
- Click **OK**. The subject information is saved.

To delete the subject information, follow these steps:

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

2. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*
3. Click **OK**. The following message displays: *Delete Operation Successful*.
4. Click **OK**. The Subject information is deleted.

Validations:

- If Is critical information unknown? is unchecked and you have not entered information for at least one critical field or have not checked all of the subject info associated with Unknown check boxes, the following message displays: Sub# Subject Record- "Is critical information unknown" is not checked and some mandatory fields are missing. Please make sure you enter values for mandatory Subject details, i.e., (Last Name/ Entity Name, First Name, TIN, DOB, address, and Identification Information or mark fields as Unknown.
- If you are adding or editing the subject details and select the Is critical information unknown? check box after entering information in one or more critical fields, the following message displays: All critical information of the subject, i.e., Last Name/ Entity Name, First Name, TIN, DOB, Address details and Identification Information will be cleared if the critical information unknown field is checked. Click OK to continue and clear values from the mandatory fields or Cancel to modify your selection.
- If you select the Critical Information Unknown check box, you will not be able to add subject address and identification details, and the following message displays: You are not allowed to add address and identification info when 'Is critical information unknown?' field is true.
- In the Subject Information tab, if you click on the Validate button and if there are no records present in the Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: There is no Record present to validate the information.
- In the Subject Information tab, if you click on the Validate button and if there is a blank record present in the Address, Alternate Name, Phone, Email, Website, and Accounts grid, then the application displays the following message: There is Blank Record present to Validate the information. Please enter the information in the record and then Validate.

6.6.3 Address

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

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

1. On the **Subject Information** tab.
2. Select the record to which you want to add the subject's Address details. The page expands below the section, and it displays the following details: Address, Phone, Form of Identification, Alternate Name, Email address, Website (URL), Account Information, and Relationship With Financial Institution, where you can enter the required subject details.
3. On the **Address** section, click **Add**. The Address window displays.
4. Enter the required information in the Address window.

NOTE

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

5. Click **Save**. The following message displays: *Update Operation Successful*.
6. Click **OK**. The Subject Address details are saved.
7. Click the **Validate** button in the Address section to validate the information present in the Address section and check for any missing mandatory information.

Validation:

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

- You are not allowed to add Address and Identification Information when Is critical information unknown? the field is true.
- You must not enter more than 100 characters in the Address field.
- You must not enter more than 50 characters in the city field.
- For the US, the postal code must contain only numbers, either 5 or 9 in length.
- For the US, the postal code should not end with 0000 and 9999

To edit the subject address, follow these steps:

- a. On the Address section, click **Edit**. The Address window displays.
- b. Modify the required information.
- c. Click **Save**. The following message displays: *Update Operation Successful*.
- d. Click **OK**. The subject address details are saved.

To delete the subject address details, follow these steps:

- a. Select the record you want to remove in the Address section.
- b. Click **Delete** in the Address grid. The following message displays: *Are you sure you want to delete this record?*
- c. Click **OK**. The following message displays: *Delete Operation Successful*.
- d. Click **OK**. The subject address detail is deleted.

6.6.4 Phone

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

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

1. Go to the **Phone** section.
2. Click **Add**. The Phone window displays.
3. Enter the required information in the Phone window.

NOTE

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

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

- Mobile
 - Work
 - Home
5. Click **Save**. The following message displays: *Update Operation Successful*.
 6. Click **OK**. The phone details are saved.
 7. Click **Clear** to clear the entries in the Phone window and click **Close** to close the Phone window.
 8. Click the **Validate** button in the Phone section to validate the information present in the Phone section and check for any missing mandatory information.

Validations:

- Users can only enter numeric values in this field, and users cannot enter any letters or special characters.
- If you select the phone number type and you have not provided the phone number, the application displays the following message: You have provided a Phone Number Type but no Phone Number. Please add a phone number or clear your selection of Phone Number Type.
- The application performs the following validations while entering subject phone details:
 - You must not enter more than 16 characters in the phone number field.
 - You must not enter more than 6 characters in the extension field.

To edit the subject phone details, follow these steps:

- a. Select the record you want to edit in the Phone section.
- b. Click **Edit** in the Phone grid. The Phone pop-up window displays.
- c. Modify the required information.
- d. Click **Save**. The following message displays: *Update Operation Successful*.
- e. Click **OK**. The subject's phone details are saved.

To delete the subject phone details, follow these steps:

- a. Select the record you want to remove in the Phone section.
- b. Click **Delete** in the Phone grid. The following message displays: Are you sure you want to delete this record.
- c. Click **OK**. The following message displays: *Delete Operation Successful*.
- d. Click **OK**. The Subject's phone details are deleted.

6.6.5 Form of Identification

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

Note

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

To add the subject identification details, follow these steps:

1. Go to the **Form of Identification** section.
2. Click **Add**. The Form of Identification window displays.
3. Enter the required information in the *Form of Identification* window.

Table 6-12 Form of Identification

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

4. Click **Save**. The following message displays: *Update Operation Successful*.
5. Click **OK**. The subject identification details are saved.
6. Click the **Validate** button in the Form of Identification section to validate the information present in the Form of Identification section and check for any missing mandatory information.

Validations:

- If you select the Unknown check box when a report already contains one or more identification details, the application displays the following message: You have selected No identification details are available with identification details already present. Click OK to continue and delete all existing identification details or Cancel to cancel the selection.
- If you try to add new identification details when you have already selected the Unknown check box, the application displays the following message: You have indicated that no identification details are available. You must unselect that option before adding identification information.
- The application performs the following validations while entering subject identification details:
 - You are not allowed to add Address and Identification Information when Is critical information unknown? the field is true.
 - It is mandatory to enter the Identification type for Identification details.
 - It is mandatory to enter a brief description of Identification if the Identification type is Other.
 - You should not enter a description of Identification when the Identification type is not Other.
 - You should not enter more than 24 characters in the Identification number field.
 - You should not enter more than 50 characters in the Other field. The Country is mandatory for all the identification details entered.

To edit the subject identification details, follow these steps:

- a. Select the record you want to edit in the Form of Identification section.
- b. Click **Edit**. The Form of Identification window displays.
- c. Modify the required information.
- d. Click **Save**. The following message displays: Update Operation Successful.
- e. Click **OK**. The subject identification details are saved.

To delete the subject identification details, follow these steps.

- a. Select the record you want to delete in the Form of Identification section.
- b. Click **Delete** in the Form of Identification grid. The following message displays: Are you sure you want to delete this record.
- c. Click **OK**. The following message displays: Delete Operation Successful.
- d. Click **OK**. The subject identification details are removed.

6.6.6 Alternate Name

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

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

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

Validations:

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

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

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

- a. Select the record you want to edit in the Alternate Name section.
- b. Click **Edit** in the Alternate Name grid. The Alternate Name pop-up window displays.
- c. Modify the required information.
- d. Click **Save**. The following message displays: Update Operation Successful.
- e. Click **OK**. The alternate name details are saved.

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

- a. Select the record you want to delete in the Alternate Name section.
- b. Click **Delete** in the Alternate Name grid. The following message displays: Are you sure you want to delete this record?
- c. Click **OK**. The following message displays: Delete Operation Successful.
- d. Click **OK**. The Subject alternate name details are deleted.

6.6.7 Email Address

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

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

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

Validations:

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

To edit the subject email address, follow these steps:

- a. Select the record to which you want to modify the subject's Email Address details.
- b. Click **Edit** in the Email Address section. The Email Address window displays.
- c. Modify the required information.
- d. Click **Save**. The following message displays: Update Operation Successful. 5. Click **OK**. The subject's email details are saved.

To delete the subject email details, follow these steps.

- a. Select the record you want to delete in the Email Address section.
- b. Click **Delete** in the Email Address grid. The following message displays: Are you sure you want to delete this record?
- c. Click **OK**. The following message displays: Delete Operation Successful. 4. Click **OK**. The Subject email details are deleted.

6.6.8 Website (URL) Address

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

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

1. Go to the **Website (URL) Address** section.
2. Click **Add** in the Website (URL) Address section. The Website (URL) Address window displays.
3. Enter the required information in the URL address window.
4. Click **Save**. The following message displays: *Update Operation Successful*.
5. Click **OK**. The Website (URL) Address details are saved.
6. Click the **Validate** button on the Website (URL) Address section to validate the information present in the Website (URL) Address section and check for any missing mandatory information.

Validations:

- If you enter an invalid URL address, the application displays the following message: Invalid URL.
- The application performs the following validations while entering the subject website details:
 - You should not enter more than 517 characters in the URL field.
 - The URL addresses must contain a dot (.) and must not include the "@" character.

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

- a. Select the record for which you want to modify the Website (URL) Address details.
- b. Click **Edit** on the Website (URL) Address section. The Website (URL) Address window displays.
- c. Modify the required information.
- d. Click **Save**. The following message displays: *Update Operation Successful*.
- e. Click **OK**. The subject Website (URL) Address details are saved.

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

- a. Select the record you want to delete on the Website (URL) Address section.
- b. Click **Delete** on the Website (URL) Address grid. The following message displays: Are you sure you want to delete this record.
- c. Click **OK**. The following message displays: *Delete Operation Successful*.
- d. Click **OK**. The Subject URL details are deleted.

6.6.9 Account Information

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

Note

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

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

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

Table 6-13 Account Information

Fields	Description
Non-US Financial Institution	Select <i>No</i> if the financial institution associated with the account is a US-based financial institution. Select <i>Yes</i> if the financial institution associated with the account is a non-US institution.
Financial Institution TIN	Enter the financial institution's TIN.
Account Number	Enter the account number.
Is Account Closed	Select whether the account is closed or not. If you have not selected any value in the field <i>Is Account Closed</i> , the application displays the following message: <i>You have not selected any value for field Is Account Closed</i> .

3. Click **Save**. The following message displays: *Update Operation Successful*.
4. Click **OK**. The account details are saved.
5. Click the **Validate** button in the Account Information section to validate the information present in the Account Information section and check for any missing mandatory information.

Validations:

- If you click the check box *If No Account Involved, check this box* when the report already contains one or more account details, the following message displays: *You have selected No known account involved with account records already present. Click Ok to continue and delete all existing account records or cancel to cancel the selection.*
- If there are no account details and *If No Account is involved, check this box* is not checked, the following message displays: *You must either enter account information or indicate No known account involved for Subject record # 12345.*
- If you try to add a new account when no Account is involved, check this box field is checked, the following message displays: *You have indicated that no known accounts are involved. You must unselect that option before adding an account.*
- While adding an account, you must specify either the TIN or the Account Number (at least one of them). In case you fail to mention both the TIN and the Account Number, the following message displays: *Account Details must contain at least an Affected Account or a Financial Institution TIN. Please provide at least one.*
- If you enter TIN type as SSN/ITIN or EIN and if it is more than 9 digits or if it contains any special characters, then the application displays the following message: *12345*

Subject # - For TIN type, SSN/ITIN or EIN length of tin number should be 9 and it must contain only numbers. It should not contain any special characters.

To edit the subject account details, follow these steps:

- a. Select the account you want to edit in the Account Information section.
- b. Click **Edit**. The Account Add pop-up window displays.
- c. Modify the required information.
- d. Click **Save**. The following message displays: Update Operation Successful.
- e. Click **OK**. The subject account details are saved.

To delete the subject account details, follow these steps:

- a. Select the account you want to delete in the Account Information section.
- b. Click **Delete**. The following message displays: Are you sure you want to delete this record.
- c. Click **OK**. The following message displays: Delete Operation Successful.
- d. Click **OK**. The subject account detail is deleted.

6.6.9.1 Updating TIN in Account Information Automatically

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

- On the Filing Institution Information tab, when you select the Filing Institution Name, the TIN value associated with the selected Filing Institution name is auto populated and shown in the Account Information section of the Subject Information tab - TIN field. You can modify this TIN number here.
- If you have not added a Filing Institution, the TIN field will be empty in the Account Information section of the Subject Information tab. However, you can add the TIN number manually here.
- When you modify the Filing Institution for the report that has already account details and click **Save**. The TINs for all the accounts associated with the report will be overwritten with the new Filing Institution TIN value.

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

6.6.10 Relationship with Financial Institution

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

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

1. Go to the **Relationship with Financial Institution** section.
2. Click **Add**. The Relationship with Financial Institution window displays.
3. Enter the required information in the Relationship with Financial Institution fields.

Table 6-14 Add Relationship with Financial Institution

Fields	Description
Financial Institution TIN	Enter the TIN of the financial institution.
Relationship with Financial Institution	<p>Select the relationship of the subject with the financial institution from the drop-down list.</p> <p>This field provides the following options in the drop-down list:</p> <ul style="list-style-type: none"> • Accountant • Agent • Appraiser • Attorney • Borrower • Customer • Director • Employee • No relationship to the institution • Officer • Owner or Controlling shareholder. • Other
Description (Relationship type “Other”)	<p>Enter the relationship of the subject with the financial institution.</p> <p>If the relationship of the subject with the financial institution is anything other than the options provided in the Relationship with Financial Institution drop-down list, then you must select Other and provide a description of the relationship.</p>
Status	<p>Select the status of the relationship of the subject with the financial institution from the drop-down list.</p> <p>This field provides the following options in the drop-down list:</p> <ul style="list-style-type: none"> • Resigned • Suspended/Barred • Terminated • Relationship continues
Action Date	<p>Select the date of termination of the subject related to the financial institution.</p> <p>Note: This field must be updated only if the relationship status is Terminated.</p>

4. Click **Save**. The following message displays: *Update Operation Successful*.
5. Click **OK**. The Relationship with the Financial Institution details is saved.
6. Click the **Validate** button in the Relationship With Financial Institution section to validate the information present in the Relationship With Financial Institution section and check for any missing mandatory information. Also identifies any disallowed combinations of Relationship types and the inclusion of an Action Date.

Validations:

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

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

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

- b. Click **Edit**. The Relationship with Financial Institution pop-up window displays.
- c. Modify the required information.
- d. Click **Save**. The following message displays: Update Operation Successful.
- e. Click **OK**. The Relationship with the Financial Institution details is saved.

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

- a. Select the record you want to delete from the Relationship with Financial Institution grid.
- b. Click **Delete**. The following message displays: Are you sure you want to delete this record?
- c. Click **OK**. The following message displays: Delete Operation Successful.
- d. Click **OK**. The Relationship with the Financial Institution detail is deleted.

Note

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

6.7 Documents

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

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

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

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

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

To add the documents, follow these steps:

1. On the **Documents** tab, click **Add**. The Attach Document window displays.
2. Click the **Attachment Icon** to add one or more documents. Select the document that must be attached from the local system.
3. Click **Add**. The following message displays: *Add Operation Successful*.
4. Click **Close** to view the newly added document in the List of Documents section.
5. To view documents, click **View Document**. A File Download box displays.
6. Click **Open** in the File Download Box to view the document attached. Click **Save** to save a copy of the attached document in your local system or click **Cancel** to close the File Download Box.

To delete the attached documents, follow these steps:

1. Select the document you want to delete.
2. Click **Delete**. The following message displays: *Are you sure you want to delete this record?*
3. Click **OK**. The following message displays: *Delete Operation Successful*.
4. If you click **Cancel**, the document is not deleted.
5. Click **OK**. The List of Documents grid displays.

6.7.1 Including Documents in the Report

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

To include the attached document, follow these steps:

1. On the **Documents** tab, the documents attached display in the List of Documents section.
2. Select the check box of the document you want to include in the report.
3. Click **Include in Report**.
4. Click **Save** in the List of Documents grid. The following message displays: *Update Operation Successful*.
5. Click **OK**. The List of Documents grid displays. **Validations:**

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

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

NOTE

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

6.8 Narrative

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

To update the Narrative section, follow these steps:

1. Click the **Narrative** tab. The Narrative pane displays.
2. Enter the information in the Narrative pane.

NOTE

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

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

NOTE

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

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

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

NOTE

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

6.9 XSD Validation Details

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

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

To view errors in SAR details, follow these steps:

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

Table 6-15 Error Details

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

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

6.10 Audit

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

The Audit tab displays the following grids:

- [Regulatory Report Actions](#)
- [Regulatory Report Comments](#)

6.10.1 Regulatory Report Actions

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

Table 6-16 Actions

Fields	Description
Action	<ul style="list-style-type: none"> Filing Institution Information Modified Added Financial Institution Modified Financial Institution Removed Financial Institution Added Branch Information Modified Branch Information Delete Branch Information Added New Subject – Subject Record # (When you click Save) Removed Subject – Subject Record # Modified Subject Details – Subject Record # Modified Suspicious Activity Details Modified Suspicious Activity Classification Modified Law Enforcement Information Added Suspicious Activity Additional Information Modified Suspicious Activity Additional Information Removed Suspicious Activity Additional Information Added New Document – Name of the added document. Removed Document – Name of the removed document. Added Relationship with Financial Institution Modified Relationship with Financial Institution Removed Relationship with Financial Institution Added New Account - Account Number Modified New Account - Account Number Removed New Account - Account Number Narrative Added Due Date Modified

6.10.2 Regulatory Report Comments

The *Regulatory Report Comments* provides a list of all the comments from different users from the Audit log.

Table 6-17 Regulatory Report Comments

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

7

Acting on Reports

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

- [Requesting Approval](#)
- [Approving/Rejecting/Closing Reports](#)
- [Setting Due Date for Reports](#)
- [Reassigning Reports](#)
- [Generating Correct/Amend Report](#)
- [Filing Regulatory Reports](#)

7.1 Requesting Approval

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

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

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

To submit a report for approval, follow these steps:

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

NOTE

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

If the report size is more than 60 MB, the following message is displayed: *The report contents exceeded the efile size limit. Please reduce report contents before proceeding further.*

2. Enter the comments in the Action window. You can enter a maximum of 120 characters.
3. Click **Save**. The following message displays: *Update Operation Successful*.
4. Click **Clear** to clear the data in the Action window and click **Close** to close the Action window. The report audit details display.

NOTE

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

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

NOTE

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

7.2 Approving/Rejecting/Closing Reports

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

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

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

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

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

This section covers the following topics:

- [Approving Reports](#)
- [Rejecting Reports](#)
- [Closing Reports](#)

7.2.1 Approving Reports

To approve a report, follow these steps:

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

NOTE

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

If the report size is more than 60 MB, the following message is displayed: *The report contents exceeded the efile size limit. Please reduce report contents before proceeding further.*

2. Enter the comments in the Action window.

NOTE

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

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

NOTE

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

4. Click **OK**. The report audit details display. The Regulatory Report Action grid in the Audit tab displays the comments added in the Approve Action pop-up window.
5. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.

7.2.1.1 Re-Approving Reports

The Regulatory Report Details page allows you to re-approve reports. You can re-approve reports when the report is in *Re-Approve Required* status. This action must be performed if the report has been edited in any way. Taking the action of Re-Approve will re-run the report validations and ensure that the editing did not introduce any report validation errors.

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

To re-approve a report, follow these steps:

1. On the **Regulatory Report Details** page, click **Re-approve**. The *Re-approve Action* window displays.
2. Enter the comments in the *Action* pop-up window. You can enter a maximum of 120 characters.
3. Click **Save**. The following message displays: *Update Operation Successful*.
4. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.
5. Click **OK**. The report audit details display.

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

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

7.2.2 Rejecting Reports

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

If a report is rejected, the status of the report changes to *Rejected*. To reject a report, follow these steps:

1. On the **Regulatory Report Details** page, click **Reject**. The *Reject Action* window displays.
2. Enter the comments in the Action pop-up window. You can enter a maximum of 120 characters.
3. Click **Save**. The following message displays: *Update Operation Successful*.

NOTE

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

4. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.
5. Click **OK**. The report audit details display.
6. The Regulatory Report Action grid in the Audit tab displays the comments added in the Reject Action pop-up window.

7.2.2.1 Updating Rejected Reports

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

7.2.3 Closing Reports

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

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

After the report is closed, you cannot edit the report details, and the report is in View mode. If a report is closed, the status of the report changes to *Closed*.

To close a report, follow these steps:

1. On the **Regulatory Report Details** page, click **Close**. The Close Action window displays.
2. Enter the comments in the Action pop-up window. You can enter a maximum of 120 characters.
3. Click **Save**. The following message displays: *Update Operation Successful*.
4. Click **Clear** to clear the data in the Action pop-up window and click **Close** to close the Action pop-up window.
5. Click **OK**. The report audit details display.
6. The Regulatory Report Action grid in the Audit tab displays the comments added in the Close Action pop-up window.
7. If you click **Save** without entering the comments in the Close Action pop-up window, the following message displays: *Mandatory fields are not entered*.

7.3 Generating Correct/Amend Report

When a SAR filing is completed, the status of the report is *Filed* then a *Generate C/A Report* button is displayed on the Report Details page and Report List section in the E-File Status tab.

Note

The *Generate C/A Report* button is enabled only in SDTM mode.

To generate a correct/amended report, follow these steps:

1. On the Search and List page, select the report number with the Filed status. The Reports Details page is displayed.
2. On the **Regulatory Report Details** page, click the **Generate C/A Report** button. A new report is generated with an Open status.

NOTE

You can take *Generate C/A Report* action only one time on the parent report.

7.4 Setting Due Date for Reports

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

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

The following table explains the statuses in which the Analyst, Supervisor, and Superuser users can perform the Set Due Date action.

Table 7-1 User Roles and Set Due Date Action

Menu	Analyst	Supervisor	Super User	Auditor
Open	Y	Y	Y	N
Requested for Approval	Y	Y	Y	N
Approved	N	N	N	N
Rejected	Y	Y	Y	N
Rejected from E-File	Y	Y	Y	N
E-File Generated	N	N	N	N

Note

An Auditor can only view the Due Date.

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

1. Go to the **Report List** or **Report Details** page of a report. On the Report List page, you can select multiple reports and set the due date. On the Report Details page, you can set the due date for the selected report.
2. Click **Set Due Date**. The Set Due Date Action window is displayed.
3. Select a date from the calendar icon.
4. Enter the comments in the Comments box.

NOTE

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

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

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

NOTE

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

7.5 Reassigning Reports

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

Note

By taking this action, the status of the report doesn't change.

You cannot reassign when one or more reports are in different statuses. You must select reports of the same status to reassign.

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

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

NOTE

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

2. Select a user from the drop-down list.
3. Enter the comments in the Comments box. You can enter a maximum of 255 characters.
4. Click **Save**. A confirmation message is displayed. The user assigned to these reports is displayed in the Assigned To column on the Report List page.

8

Filing Regulatory Reports

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

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

- [Overview](#)
- [Approved Reports](#)
- [E-Filed Status](#)
- [Acknowledgement](#)

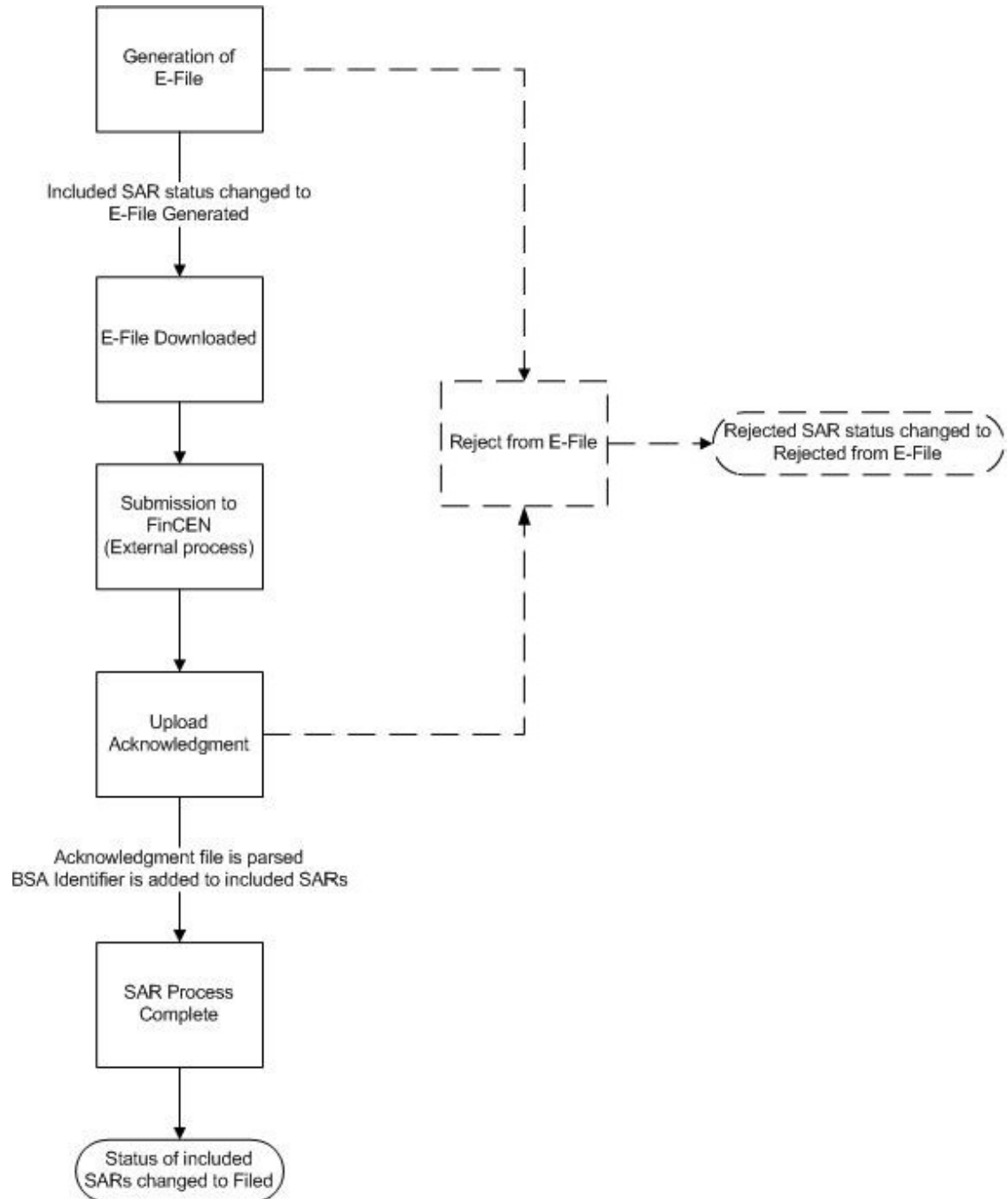
8.1 Overview

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

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

8.1.1 Workflow for Filing the Regulatory Report

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

Figure 8-1 Filing Regulatory Reporting Workflow

8.2 Approved Reports

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

Topics:

- [Searching Approved Reports](#)
- [Generating E-File](#)

- [Rejecting Approved Reports](#)
- [Closing Approved Reports](#)

8.2.1 Searching Approved Reports

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

Super Users can reject or close approved reports from this tab. To search for approved reports, follow these steps:

1. Go to the **Regulatory Reporting** menu, hover over **Regulatory Reports – SAR** and click **File Regulatory Reports**. The *File Regulatory Report* page displays.
2. Click the **Approved Reports** tab. The Approved Report List page displays all the reports in *Approved* status.
3. To further filter the list of Approved reports, enter criteria in one or more filters.

Table 8-1 Approved Reports Search Bar Field Descriptions

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

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

8.2.2 Generating E-File

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

When an E-File is generated, an attachment zip file is created for the E-File with a *.csv* file in it. This *.zip*

file is only available if attachments were associated with any SAR within the E-File. To generate an E-File, follow these steps:

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

NOTE

If the size of E-File is more than 60 MB, the following message is displayed:

*"The efile is exceeding the size limit. To automatically split the efile, click on **OK** or else reduce the number of report selection before proceeding to generate an efile."*

2. Click **Generate E-File**. The following message displays: *E-File Generated Successfully*. The status of the regulatory report changes to *E-File Generated*.

NOTE

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

8.2.3 Rejecting Approved Reports

Use this section to reject one or more reports that are in Approved status in an E-File. After the report is rejected from an E-File, it is removed from the E-File Reports list, and the status of the report changes to Rejected from E-File. The rejected report is available in the Regulatory Reports List. Users can rework the report and request approval. This workflow continues till the report is closed or the report is filed at the FinCEN E-File system.

To reject approved reports, follow these steps:

1. Go to the **Approved Report List** section.
2. Select the required report or reports and click **Reject**. A confirmation message is displayed.

NOTE

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

8.2.4 Closing Approved Reports

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

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

To close approved reports, follow these steps:

1. Go to the **Approved Report List** section.
2. Select the required report or reports and click **Close**. A confirmation message is displayed.

8.3 E-Filed Status

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

Topics:

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

8.3.1 Searching E-Files

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

To search E-Files, follow these steps:

1. Go to the **E-Filed Status** tab.
2. Enter the information in the fields.

Table 30:

Table 8-2 E-File Search Bar Fields

Fields	Description
Report Name	Enter the name of the regulatory report for which the E-File is generated. Wildcard searches are supported using % as the wildcard symbol.

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

Fields	Description
Jurisdiction	Select the jurisdiction from the drop-down list to display E-Files generated for the reports mapped to the selected jurisdiction. NOTE: Only configured domains are displayed in the drop-down list for the logged-in user.
Case ID	Enter the Case ID of the report.
E-File Generated By	Select a user role to search for E-Files generated by the selected user.
E-File Generated =>	Select the E-File generated to date from the calendar to display E-Files created from this date. NOTE: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022). If you do not enter the date range, a warning message is displayed.
E-File Generated <=	Select the E-File generated to date from the calendar to display E-Files generated until this date. NOTE: By default, the date range is set to one day difference (for example, 03/23/2022 to 03/24/2022). If you do not enter the date range, a warning message is displayed.

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

8.3.2 Using E-File List

Topics:

- [Viewing E-File Details](#)
- [Downloading E-File and Attachment](#)
- [Submitting the E-File at FinCEN](#)
- [Saving E-File Acknowledgments from FinCEN](#)

8.3.2.1 Viewing E-File Details

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

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

- Go to the **E-Filed Status** tab.
- Click the **E-file Number** link in the E-File Number column. This E-File displays the number of SARs included in the selected E-File under the Report List section below the E-File List.

8.3.2.2 Downloading E-File and Attachment

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

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

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

8.3.2.3 Submitting the E-File at FinCEN

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

Automatic (SDTM) Mode

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

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

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

Manual Mode

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

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

1. Log in to the BSA E-Filing System website (<http://bsaefiling.fincen.treas.gov>.)
2. From the left-hand side menu pane, click New Reports, then select File Batch FinCEN SAR. The Open an Existing Form window displays.
3. Click Open New Form. A BSA E-Filing SAR Batch Form opens.
4. Enter the information in the required fields.

Table 8-3 BSA E-Filing SAR Batch Form

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

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

Note

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

6. Click **Save** to save the filled BSA E-Filing SAR Batch Form. After you save the form, the Submit button is enabled.
7. Click **Submit**. A confirmation window displays the following message: We have received your submission. Please confirm the following information and retain it for your records. Please track the status of your submission using the 'Track Status' function in the BSA E-Filing system. The status of a submitted E-File can be any of the following:
 - Transmitted
 - Transmitted with Warnings
 - Rejected
8. Click the Accepted with Warning or Rejected status hyperlink in the Status column of the Track Status page to view the submission errors on the E-File that are in Accepted with Warning or Rejected status.
9. Click **OK**. The E-File is successfully submitted to FinCEN.

8.3.2.4 Saving E-File Acknowledgments from FinCEN

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

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

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

1. Log in to the **BSA E-Filing System**.
2. From **Secure Messaging**, select **View Inbox** to display a list of acknowledgments.
3. Click the **Subject** of the required acknowledgment. A BSA E-Filing Secure Message Reply Form displays.
4. Click **View/Save Attachment**. A window opens to list the acknowledgment (XML) file.
5. Click **View/Save** to save the XML file to your computer.

8.3.3 Adding Comments to E-File

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

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

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

2. From the **E-File List** results, select an E-File record for which you want to add a comment.
3. Click **Add Comments**. An E-File Comments window displays.
4. Enter comments in the comments field and click **Save**. The following message displays:
Update Operation Successful.
5. **Note:** The comments box in the E-filing Comments window allows entering a maximum of 250 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 250 characters in the Comments box, the following message displays: *Number of characters exceeded.*
6. Click **OK**. The E-File Comments window displays.
7. Click **Close**. The E-File List results page displays.

8.3.4 Uploading E-File Acknowledgment

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

Automatic (SDTM) Mode

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

Note

If you have enabled SDTM mode, you can not upload the acknowledgement manually.

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

Manual Mode

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

To upload the acknowledgment, follow these steps:

1. Go to the E-Filed Status tab.
2. From the **E-File List** results, select the record for which you want to upload the acknowledgment.
3. Click **Upload Acknowledgment**. A SAR Acknowledgment window displays.
4. Enter the details in the SAR Acknowledgment window.

Table 8-4 SAR Acknowledgment Window Field Descriptions

Fields	Description
E-File Name	Displays the E-File name. Note: This field is auto-generated

Table 8-4 (Cont.) SAR Acknowledgment Window Field Descriptions

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

5. Click the Choose a File field and upload the respective XML file saved from the BSA E-Filing System.
6. Click Attach File. The following message displays: Add Operation Successful.
7. Click **OK**.
8. Click Save and Parse. The following message displays: Update Operation Successful.
9. Click **OK**. You are navigated back to the E-File List results.
 - After you upload the acknowledgment file for an E-File, a BSA ID is associated with the respective report.
 - After you upload the acknowledgment file successfully into the OFS CRR application, the XML file can be viewed and saved from the E-File list results. To view the acknowledgment file, select a record and click. A file download window prompts to Open or Save the XML file.
 - When you try to upload an acknowledgment file for an E-File for which an XML file is already uploaded, the following warning message is displayed: Acknowledgment has already been uploaded.
 - When an upload acknowledgment action doesn't pass the validation check, the following error message is displayed: The number of SARs in the acknowledgment file does not match the number of SARs in the selected E-File. No updates will be made. Please verify you have the correct acknowledgment file.
 - Report statuses are updated based on the Acknowledgment/Message XML received from Fin-CEN upon uploading the Acknowledgment. The status of the reports changes to Accepted, Acknowledgment - Accepted with Warnings, and Acknowledgment - Rejected.

8.3.5 Rejecting Reports from an E-File

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

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

You can correct/amend a rejected report and submit it for the Super User's approval. After the corrected report is approved, you can follow the workflow of filing a regulatory report all over again. Subsequently, while uploading the acknowledgment (XML) file received from FinCEN

into the OFS CRR application, a new BSA Identifier overwrites the previously associated BSA Identifier of the rejected reports.

In the SDTM mode, when a rejected Message XML is uploaded via batch while parsing the Message.xml, if the value for the attribute "Level" is FATAL or WARN, the associated reports in the corresponding E-File will be automatically rejected. This will be captured in the Audit history for each report being rejected. It will also have associated rejected Message XML, which can be downloaded from the Attachment column in the Audit tab. With the reports left after the automatic rejection of reports, a new E-File will be regenerated and will be transferred to the configured location as per the transfer settings done for SDTM mode. With the reports left after the automatic rejection of reports, a new E-File will be regenerated and will be transferred to the configured location as per the transfer settings done for SDTM mode.

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

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

1. Go to the E-Filed Status tab.
2. From the E-File List results, select an E-File record that you want to reject.
3. Click Search Icon to view the E-File details.
4. From the Report list page, select the required reports and click Reject. An E-File Rejected window displays.
5. Enter comments in the comments field and click Save. The following message displays: Reports Successfully removed from E-File.

Note

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

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

8.3.6 Completing the SAR Process

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

To complete the SAR process, follow these steps:

1. Go to the **E-Filed Status** tab.
2. Search for the report using the E-File Search bar or from the E-File List results.
3. Select the E-File for which you want to complete the SAR process.
4. Click the **SAR Process Complete**. A SAR Process Complete dialog is displayed. Enter the required comments and click **Save**. This comment is displayed in the E-File list

Completion Comment column. The following message displays: *Update Operation Successful.*

- When you try to take the **Complete SAR Process** action before performing the Upload Acknowledgment action, the following warning message displays: *You must first upload an acknowledgment file before taking this action.*
- When you try to take the **Upload Acknowledgment** action on a file for which the SAR process is already completed, the following warning message displays: *The SAR process is complete for this file. No further action is permitted.*

8.3.7 Continuing Activity Report

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

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

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

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

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

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

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

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

- Filing Institution Information tab
 - Type of Filing Section: The Continuing Activity Report box is auto-checked.
 - Filing Institution Information section: Prior Report Doc Number is auto-populated.
- Suspicious Activity Information tab: field 30. Activity Date from and To and field 31. The Cumulative Amount details are auto-populated.

8.3.8 Export to Excel

In the E-File List, you can export the report details into an Excel or CSV format. To export the report details into an Excel or CSV format, follow these steps:

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

2. Click **Export to Excel**. Select either the Excel or .CSV option. The complete list of E-Files is exported in Excel or .CSV format based on your selection and saved in your local directory.

NOTE

You cannot export individual reports into Excel or CSV format.

8.4 Acknowledgement

An Acknowledgement is a receipt generated by the FinCEN E-File System when you submit an E-File. After submitting an E-File, the FinCEN E-File System sends an acknowledgement. The acknowledgement file contains a BSA Identifier and corresponding acknowledgement errors associated with each SAR element received via automatic or manual submission.

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

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

1. On the **File Reports** page, click the **Acknowledgements** tab. The **Acknowledgement Receipts Search and List** page is displayed.
2. Enter the following information in the **Acknowledgement Search** page as tabulated.

Table 8-5 Acknowledgement Search

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

3. Click **Go**. The relevant search list is displayed with Acknowledgement Name, Efile Name, Filing Date, Status, and BSA Tracking ID.
4. To view the acknowledgment and report detail, select the required record number and click on the row from the list. The **Acknowledgment Errors** pane is displayed. This pane details the Report ID, Level (Fatal, warning, and so on), Context (issues related to address, phone, and so on), Code (FinCEN code), and Description (reason for rejection).