Oracle® Financial Services CRR
goAML User Guide

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Document Control

Use this section to view latest changes updated in this document.

Table 1   Document Control

Version Number Revision	Date	Change Log
1.8	February 2026	No content updated for this release
1.7	August 2025	• Added Rejecting Reports section. • Added new rows for Reject from E-File in the Table 2-1, Table 2-2, and Table 3-1
1.6	April 2025	Added Downloading Bulk E-File section.
1.5	February 2025	No content updated for this release
1.4	September 2024	• Added Reported Subject First Name, Reported Subject Middle Name, Reported Subject Last Name, and Report Format Version fields in Advanced Search page. • Additional Info grid is added in the following tabs: – Reporting Entity Information Tab – Transaction Information Tab – Involved Account Tab - Account Details, Signatory Additional Info, and Director – Involved Person Tab- Additional Info – Involved Entity Tab- Director • Politically Exposed Person grid is added in the following tabs: – Involved Account Tab - Signatory Additional Info and Director – Involved Person Tab- Additional Info – Involved Entity Tab- Director

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About This Guide

The Oracle Financial Services Compliance Regulatory Reporting goAML Suspicious Transaction Reporting (OFS CRR goAML STR) User Guide provides step-by-step instructions to use the OFS CRR goAML STR 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 access the OFS CRR goAML STR regulatory reports, create new reports, edit or view report details, and add comments to the report. Users in this role can also request for approval, cancel the filing of reports in the Open and Reopen statuses, reopen canceled reports, and view or save the final report.

• **Supervisor**: This user can access the OFS CRR goAML STR regulatory reports, create new reports, edit and view report details, and add comments to the report. Users in this role can also take actions on reports such as approve, rework, and cancel the filing of reports. This user can also submit reports.

• **Auditor**: This user can only view and add comments to reports.

• **RR Admin**: This user handles various configurations required to support the reporting workflow.

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About goAML STR

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

In today's global economy, terrorist financing and money-laundering have assumed heightened importance. Money-laundering and the financing of terrorism are global problems that threaten the security and stability of financial institutions and also lead to undermining economic prosperity. A lot is being done in order to combat money laundering at the global level.

goAML is a UNODC response to combat money-laundering. It is an intelligence analysis system intended to be used by the FIU (Financial Intelligence Unit). FIUs have a big role to play as they have access to financially related information that provides a base for financial investigations. An FIU is responsible for receiving, analyzing, and processing reports required from financial institutions or persons referred to in national anti-money-laundering legislation.

Financial Intelligence Units play a leading role in any anti-money laundering regime as they are generally responsible for receiving, processing, and analyzing reports made by financial institutions or other entities according to the requirements of domestic anti-money laundering laws and regulations. Such reports and other information gathered by FIUs often provide the basis for investigations into money laundering, terrorist financing, and other serious offenses. This template allows the banks to generate the final Suspicious Transaction XML Report that is submitted to their regulator via the goAML application.

2.1 CRR goAML STR Application

The OFS CRR goAML STR application is used to analyze the reports and take appropriate action on the report for a resolution.

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

Using this information, authorized users analyze reports and report them to the FIU (Financial Intelligence Unit) or close them by providing appropriate details.

2.1.1 Report Life Cycle

The following image depicts the life cycle of a report.

Figure 2-1 CRR Application Workflow
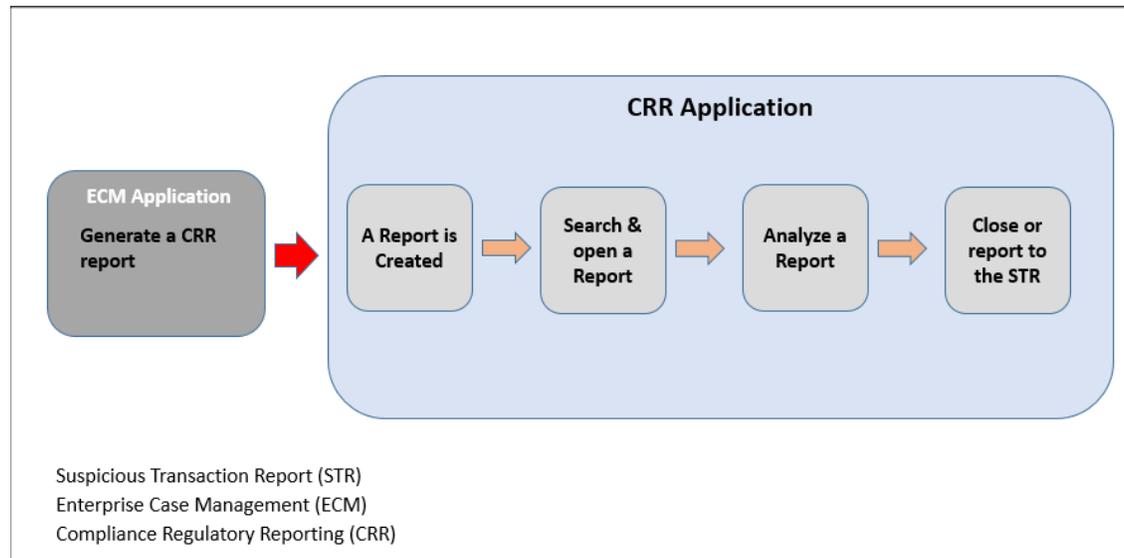
- **Generate a CRR Report**: After analyzing a suspicious case, if it is required to report to the regulator, you can act and create a report. For more information, see the *Acting on Cases* chapter in the ECM User Guide.

- **Create a Report**: A report is created in OFS ECM, and the related information is passed to the OFS CRR application using a web service. The newly created report is available in the *OFS CRR goAML STR* application, and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable. see Creating a Report

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

- **Search and Open a Report**: To analyze the existing reports, you should open reports using basic, advanced, or views search criteria. For more information, see Opening a Report.

- **Analyze a Report**: To take any kind of action on a selected report, you must thoroughly analyze the details. You should verify the details of the report, such as involved accounts, transactions, reporting entity details, related documents, narratives, and audit history. For more information, see Analyzing a Report.

- **Act on a Report**: Post analyses, you can take action on the selected report based on your privileges. For more information, see Acting on a Report.

2.2 User Workflow

This section explains the workflow of *OFS CRR goAML STR* for Analyst and Supervisor roles.

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

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

If the report is approved by the Supervisor, the Regulatory Reporting application generates the report in the final XML format after all the necessary validations. The report is then manually submitted to the Regulator. The submission to the Regulator occurs outside the *OFS CRR goAML STR* application. The report status can then be marked as *Submitted* in the *OFS CRR goAML STR* application.

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

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

For the complete list of actions the Analyst, Auditor, or Supervisor can perform on various report statuses, see . For more information on user roles, see .

A Report has a life cycle that begins with the *Open* status and ends when it is in the *Submitted* status. If the report is already opened by another user, then that report is locked and can only be viewed lists the actions that can be performed in various statuses by users.

Table 2-1   Actions that can be performed in various statuses

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

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

Status	Analyst	Supervisor	Auditor
Open	View and Edit	View and Edit	View-only
Reopened	View and Edit	View and Edit	View-only
Requested for Approval	View-only	View and Edit	View-only
Approved	View-only	View-only	View-only
Rework	View and Edit	View and Edit	View-only
Submitted	View-only	View-only	View-only
Cancelled	View-only	View-only	View-only
Rejected from E-File	View and Edit	View and Edit	View-only

3

Getting Started

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

Topics:

- [User Access](#)
- [Accessing the OFS CRR goAML STR Application](#)

3.1 User Access

The tasks permitted to different user roles in the *OFS CRR goAML STR* application are summarized in .

Table 3-1   User Access

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

3.2 Accessing the OFS CRR goAML STR Application

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

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

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

1. Enter the URL in the web browser using the following format:

   <Protocol>://<HostName>:<Port_Number >/crrgoamlstr/login

2. The *OFS Analytical Applications* login page is displayed.

   Getting Started Accessing the OFS CRR goAML STR Application

3. Select the required language.

4. Enter your *User ID* and *Password* and click **Login**. The OFS Analytical Applications page is displayed.

5. Click the **Financial Compliance Regulatory Reporting Application**. The *Financial Compliance Regulatory Reporting Application* landing page is displayed.

6. From the **Navigation List** LHS menu, select **Compliance Regulatory Reporting.** The Compliance Regulatory Reporting menu is displayed.

7. Click **goAML STR**. By default, the *Search and List* page is displayed. Or, hover over **goAML STR** to open the *Create Report* or *File Report* page.

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

- – **Search and List**: Use this page to search and open the required reports.

  – **Create New Report:** Use this page to create reports manually.

  – **File Reports**: Use this page to generate an E-File and file regulatory reports.

  – **Administration**: Use this menu to view the following sub-menus:

    * **User Administration**: Use this sub-menu to map and maintain the security attributes for each user role.

    * **Web Service Configuration**: Use this sub-menu to reset the Web service password.

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Opening a Report

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

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

- Advanced Search : This search is based on the ability to specify an additional set of fields to narrow down your search results.

- Views : This search helps you to quickly filter the reports based on pre-defined search queries. Select the search criteria from the **Views** option and filter the list of reports.

- Saving Views: Use this option to save your search criteria as a *View*. The saved views are available in the drop-down list.

- Regulatory Reports List: This is the list of reports that match the search criteria provided.

- Downloading Bulk E-File: Use this section to download bulk E-Files

4.1 Advanced Search

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

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

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

Figure 4-1   Advanced Search

2. Enter the required fields as described in the following table.

   explains the field details in the Advanced search. Fields marked with *are mandatory.

Table 4-1   Advanced Search

Fields	Description
Report Number	Enter one or more report numbers you want to view. For multiple report numbers, separate the report numbers with a comma. Ensure that you do not enter a space after the comma. Report numbers are not case-sensitive. This overrides all other filter criteria. For example, 660,671. **NOTE:** You can enter a maximum of 50 characters in this field.
Report Name	Enter the report name you want to view. This field supports a wildcard search. You can use '%' and '_' as wildcard indicators. **NOTE:** You can enter a maximum of 50 characters in this field.

Table 4-1   (Cont.) Advanced Search

Fields	Description
Report Status	Select one or more statuses from the following options: • Select All • Acknowledged ('Not applicable for 'no batch filling') • Approved • Cancelled • E-File Generated (Not applicable for 'no batch filling') • Open • Rejected from E-File (Not applicable for 'no batch filling') • Reopened • Requested for Approval • Rework • Submitted
Type of Report	Select one or more report types from the following options: • Select All • Corrected • Delete • New
Reported Subject Name(s)	Enter the customer(s) name reported as subjects in the report. This field supports a wildcard search. You can use the '%' and '_' as wildcard indicators.
Account Number(s)	Enter account (s) involved in the Suspicious Activity Report. You can enter multiple account numbers by using a comma to separate the entries.
Created By	Select the user who has created the report. You can enter multiple names by using a comma to separate the entries.
Created Date >=	Select the created date to view reports having a created date greater than or equal to the specified date. Using this criterion, you can view the reports created during the particular date range. For example, reports created on or after December 26, 2019 You can either perform a range search using *'Created Date >='* and *'Created Date* <=' or use them independently.
Created Date <=	Select the created date from the calendar to view reports having a created date less than or equal to the specified date. Using this criterion, you can view the reports created during the particular date range. For example, reports created on or before December 26, 2019.
Last Modified By	Select the user who last modified the report. Use this criterion to view all the reports modified by the particular user. For example, Analyst, Supervisor2, and so on.
Last Modified Date >=	Select the last modified date to view reports having a last modified date greater than or equal to the specified date. Using this criterion, you can view the reports modified during the particular date range. For example, reports modified on or after July 27, 2019 You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.
Last Modified Date <=	Select the Last Modified Date from the calendar to view reports having a last modified date less than or equal to the specified date. Using this criterion, you can view the reports modified during the particular date range. For example, reports modified on or before July 27, 2019.

Table 4-1   (Cont.) Advanced Search

Fields	Description
Approved By	Select the name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.
Approved Date >=	Select the approved date to view reports having an approved date greater than or equal to the specified date. Using this criterion, you can view the reports approved during the particular date range. For example, reports approved on or after December 26, 2019.
Approved Date <=	Select the approved date from the calendar to view reports having an approved date less than or equal to the specified date. Using this criterion, you can view the reports approved during the particular date range. For example, reports approved on or before December 26, 2019.
Submitted By	Select the user(s) who submitted the report. For example, Analyst, and so on.
Submitted Date >=	Select the submitted date to view reports having a submitted date greater than or equal to the specified date. For example, reports submitted on or after July 18, 2019.
Submitted Date <=	Select the submitted date to view reports having a submitted date less than or equal to the specified date. For example, reports submitted on or before July 18, 2019.
Case ID	Enter the case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure that you do not enter a space after the comma. This overrides all other filter criteria. For example, CA660, ca671

NOTE: This search is not case-sensitive. You can enter a maximum of 255 characters in this field.

The Case ID is the identifier that has triggered the creation of a report in the OFS CRR application. |
| Acknowledgment ID/ Tracking ID | Enter the acknowledgment ID or tracking ID to view the report with the corresponding acknowledgment ID received as acknowledgment when the report was submitted to the regulator. |
| Prior Report Number | Enter the prior report number to view the original report stored in the revised report. |
| Jurisdiction | Select the jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.

Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction that was associated with that case.

Each user has access to a set of jurisdictions. Every report is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction. |
Due Date>=	Select the due date to view reports having a due date greater than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the particular date range. For example, reports having a due date on or after December 26, 2019.
Due Date<=	Select the due date from the calendar to view reports having a due date less than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the particular date range. For example, reports having a due date on or before December 26, 2019.
Reported Subject First Name	Enter the Reported Subject First Name

Table 4-1   (Cont.) Advanced Search

Fields	Description
Reported Subject Middle Name	Enter the Reported Subject Middle Name
Reported Subject Last Name	Enter the Reported Subject Last Name
Report Format Version	Select the name of the version.

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

4.2 Views

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

2. Select the out of box pre-defined views as described in the following table. The Search and List page refreshes to show the results matching the *View* search criteria.

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

explains the fields details in the pre-defined view.

Table 4-2   Pre-defined views

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

4.3 Saving Views

Use the *Save as View* option to save your search criteria as a *View*. The saved views are available in the

Views drop-down list. For more information, see Views.

For example, if you regularly search for reports approved by Supervisor1 and reports approved on or before December 2019, you can pre-define a search as *SupDecember* under *Views*. When you log in to the application next time, rather than re-entering search criteria, you select the required pre-defined view as *SupDecember* and filter the reports.

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

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

2. Enter the search criteria in the search fields. For more information on the search criteria, see Advanced Search.

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.

4.4 Regulatory Reports List

Use the *Regulatory Reports List* section to view the list of reports based on your search criteria. Click the required report number to view additional information about reports that you can use to analyze or take action. By default, all reports are displayed if you do not use any search criteria to filter the list.

NOTE

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

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

•   Select the required report(s) to take actions such as Set Due Date, Cancel Filing, Export to Excel, and so on.

•   Click the report number to view details pertaining to the report in the *Report Details* page.

•   Sort the list of values in the column by using *Sort Ascending*, *Sort Descending*, and *Clear the sort*

options. Right-click on the column and select the required sort option to view the list.

- View column headers (Report Name, Created Date, Due Date, and so on) of your choice by using the *Field Chooser* option. Right-click on the column and select the required column header names and the size of the column from the *Field Chooser* list to view.

- Navigate pages using the *Pagination* option. Enter the page number or use arrows to navigate to and from.

- In the *Due Date* column, dates in green will expire in a few days. Dates in yellow indicate that the due date is nearing, and dates in red indicate that the due date has expired.

4.5 Downloading Bulk E-File

Use this section to download bulk E-Files. To download bulk E-Files, follow these steps:

1. 1. On the Search and List page, click Bulk E-File Download.

2. 2. The E-File List window is displayed.

3. 3. Select the date range to filter the required e-files. The list of e-files is displayed.

4. 4. Click Bulk Download to download all the e-files in the list.

5. 5. If you want to download specific E-files or E-files, then select those E-files and click Bulk Download.

NOTE

The naming convention of the E-File will be GOAML_YYYY_M- M_DD_version.zip, where the version will be 01, 02, depending upon the number of bulk downloads in a day. This will reset to 01 for the next day.

5
Creating a Report

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

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

5.1 Acknowledgment to OFS ECM

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

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

The following information is sent as part of the acknowledgment:

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

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

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

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

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

NOTE

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

Creating a Report Manually Creating a Report from OFS CRR goAML STR

5.2 Manually Creating a Report from OFS CRR goAML STR

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

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

To create a new report, follow these steps:

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

Figure 5-1   Create New Report

2. Enter the required fields as described in the following table.

Table 5-1   Create New Report

Fields	Description
Report Name	Enter the name for the new report. **NOTE**: Enter up to fifty characters.
Report Type	This field is auto-populated with the report type. For example, goAML STR.
Attribute 1	This attribute specifies the jurisdiction for the report. For example, AMEA, JAPAC, and so on.
Attribute 2	This attribute specifies the business domain for the report. For example, a bank, a financial institution, and so on.
Attribute 3	This attribute specifies the case type for the report. For example, AML, KYC, and so on.
Attribute 4	This attribute specifies the organization for the report. For example, the name of the organization.
Attribute 5	This attribute specifies the source for the report. For example, Money laundering, currency transaction, and so on.
Created Date	This is auto-populated with the current system date.
Created By	This is auto-populated with the logged-in user's name.

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

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

NOTE

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

6
Analyzing a Report

Use the *Report Details* page to view, analyze, or update the report information depending on the report status. For more information on various statuses in which you can use the *Report Details* page, see .

The *Report Details* page includes the following sections:

- [Accessing Report Details](#) : Use this section to access the specific *Report Details* page. Click the required **Report Number** on the Regulatory Reports List page.

- [Reporting Entity Information](#): Use this section to know more about Report Details, Report Entity, and Reporting Person Details.

- [Transactions Information](#) : Use this section to know the list of transactions associated with the selected report.

- [Involved Accounts Details](#) : Use this section to know the list of accounts involved in the transaction and analyze the details pertaining to them.

- [Involved Entity Details](#) : Use this section to know the list of entities (Individual or Institution) involved in the transaction and analyze the details pertaining to them.

- [Involved Person Details](#) : Use this section to know the list of persons involved in the transaction and analyze the details pertaining to them.

- [Narrative](#) : Use the section to summarize any suspicious activity and to mention the action taken by the reporting entity.

- [Documents](#) : Use this section to add related documents to the selected report.

- [Audit](#) : Use this section to view the audit history of a report. It provides complete details of the actions performed on the report and comments provided by the users in the various statuses.

6.1 Accessing Report Details

To access the *Report Details* page, follow these steps:

1. On the *Summary Report* page, click the **Report Number** link. The *Reports Details* page is displayed. By default, the Reporting Entity Information section is displayed.

2. To view the gist of the selected report, click **+** on top of the page. The *Report Context* window displays the details of the report such as Report Name, Report Status, Created By, and so on.

3. To collapse the *Report Context* window, click**-**.

6.2 Reporting Entity Information

Use the *Reporting Entity Information* page to know and update the information pertaining to the entity that has reported this specific report, reporting person details, and report details. The Reporting Entity Information is the default section of the *Reports Details* page, and it provides the following information:

- Report Details : This section provides information related to the selected report.

- Report Entity : This section provides information about the entity that has reported this report to the regulator.

- Reporting Person Details : This section provides information about the person who reported it.

- Additional Information : This section provides additional information about the person who reported it.

6.2.1 Report Details

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

Enter the fields described in the following table.

Table 6-1   Report Details

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

6.2.2 Report Entity

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

Table 6-2   Report Entity

Fields	Description
Reporting Entity ID	Select the reporting entity.
Reporting Entity Branch	Select the reporting entity branch.
Reporting Entity Reference	The registration number of the reporting entity.
FIU Reference Number	The Financial Intelligence Unit (FIU) reference ID of the reporting entity.
Address Type	The address type of the reporting entity.
Address	The address of the reporting entity.
City	The city of the reporting entity.
Town	The town of the reporting entity.
Country	The country of the reporting entity.
State	The state of the reporting entity.
Currency	The currency of the reporting entity.
Zip	The zip code of the reporting entity.
Comments	The comments of the reporting entity.

> ⓘ **Note**
>
> All fields except *Reporting Entity ID* and *Reporting Entity Branch* are auto-populated as per the reporting entity selected.

6.2.3 Reporting Person Details

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

Table 6-3   Reporting Person Details

Fields	Description
Reporting Person's Name	Select the name of the reporting person.
Gender	The gender of the reporting person.
DOB	The date of birth of the reporting person.
Place of Birth	The reporting person's place of birth.
Mother's Name	The reporting person's mother name.
Alias	The alias of the reporting person.
Nationality 1	Nationality 1 of the reporting person.
Nationality 2	Nationality 2 of the reporting person.
Nationality 3	Nationality 3 of the reporting person.
Country of Residence	The country of residence of the reporting person.
Email ID	The email ID of the reporting person.
SSN	The social security number (SSN) of the reporting person.
ID Number	The additional identification number other than SSN and passport ID number of the reporting person.
Source of Wealth	The reporting person's source of wealth.
Deceased	Indicates if the reporting person is deceased.
Deceased Date	The date when the reporting person passed away.
Person Tax Number	The personal tax number of the reporting person.
Person Tax Registration Number	The person's tax registration number of the reporting person's.
Comments	Comments, if any.

> ⓘ **Note**
>
> All fields except Reporting Person's Name are auto-populated as per the reporting entity selected.

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

6.2.4 Additional Information

Use the *Additional Information* section to update information pertaining to the selected Reporting Entity details.

To add a new additional information details, follow these steps:

1. On the *Reporting Entity Information* section, go to the **Additional Information** section.

2. Click **Add**. The Additional Information dialog is displayed.

3. Enter the field details in the Additional Information.

   The following table explains fields available in the Additional Information. Fields marked with * asterisk are mandatory.

   Table 6-4   Additional Information

Fields	Description
Info Type	Select the information type from the drop-down list.
Info Subject	Enter the subject information.
Info Text	Enter the text information.
Info Numeric	Enter the information numeric.
Info Date	Enter the information date.
Info Boolean	Select whether the information is Boolean.

4. Click **Save**. A confirmation message is displayed, and the newly added information appears in the *Additional Information* list.

5. Select the additional information you want to edit from the list. Modify the required information, and click **Save**.

6. Select the additional information you want to remove from the list. Click **Delete**.

6.3 Transactions Information

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

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

6.3.1 Transactions List

Use this section to view the transaction list.

Table 6-5   Transactions List.

Fields	Description
View	Click on the record number to view all details of the selected transaction. You can also use this icon to modify the transaction details. For more information, see .

Table 6-5   (Cont.) Transactions List.

Fields	Description
Record Number	The record number associated with the transaction.
Transaction Number	A unique number that defines the specific transaction.
Transaction Category	The type of category to which the selected transaction belongs to.
Transaction Date	The date on which the transaction has taken place.
Transaction Method	The transaction method. For example, cash, ATM, wire, and so on.
Amount	The amount involved in the transaction.
Value Date	The transaction value date.
Select	Use the check box to select the transaction to remove from the list.

6.3.2 Managing Transaction

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

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

1. On the Transaction section, click **+** . The Transaction Details window is displayed.

2. Enter the information in the Transaction Details page.

   The following table describes fields in the Add Transaction. Fields marked with * asterisk are mandatory.

   Table 6-6   Add Transaction

Fields	Description
Transaction Number	Enter a unique number to define the transaction.
Internal Reference Number	Enter the internal reference number.
Transaction Location	Enter the transaction location where the transaction has taken place. For example, town, city, and so on.
Transaction Description	Describe the transaction for further investigation.
Transaction Date	Select the date on which this transaction took place.
Teller	Enter the teller's name who was involved in this transaction.
Authorized By	Enter the name of the authority that approved this transaction.
Value Date	Select the value date of the transaction.
Late Deposit	Select whether the transaction is a late deposit or not.

Table 6-6   (Cont.) Add Transaction

Fields	Description
Date of Posting	Select the date of the posting.
Transaction Method	Select the transaction method. For example, In a branch, an ATM, a Wire Transaction, and so on.
Transaction Method Description	Describe the transaction method for further investigation.
Amount	Enter the amount involved in the transaction.
Comments	Enter the comment about the transaction.
Transaction Category	Specify the transaction as *Bi-Party* or *Multi-Party*. **NOTE:** Bi Party Transaction must have an originator and a beneficiary.

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

   Transaction list.

4. To edit the existing transaction, select the required transaction you want to modify. The Transaction Details window is displayed. Modify the necessary information and click **Save**. The transaction details are updated. For more information on the fields, see .

5. To delete the existing transaction, select the transaction and click **Remove**. The selected transaction is removed from the list.

6.3.3 Transaction Information

The *Transaction Information* section provides more insight into the transaction and its details such as the parties involved in the transaction and goods and services associated with the transaction.

This section covers the following topics:

- Involved Parties
- Goods and Services

6.3.3.1 Involved Parties

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

Use the *Involved Parties Information* section to add a new involved party to the transaction and edit or delete the involved parties associated with the transaction. For more information, see Involved Parties Details.

6.3.3.1.1 Involved Party List

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

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

1. Select the required Record Number in the Transaction list. The Involved Party details are displayed. The involved party can be an account, entity, or person.

2. Enter the involved party details as described in . Fields marked with * asterisk are mandatory. For more information, see Involved Parties Details.

3. Click **Save**. A confirmation message is displayed, and the involved party's information is updated.

6.3.3.1.2 Involved Parties Details

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

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

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

• A Person as an involved party: You can add a person as an involved party to the selected trans- action. The person that you add in this section is listed in the Involved Person Details section.

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

1. On the Involved Parties Information section, click for Account, Entity, or Person. The Add Involved Party section is expanded based on your selection (Account, Entity, or Person).

2. Enter the details in the involved party details fields .

Table 6-7   Add Involved Party

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

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

4. To edit an existing involved party, select the required record number. The Involved Party details are displayed. Modify the necessary information and click **Save**. The involved party details are updated.

5. To delete an existing involved party, select the involved party from the list and click Remove. The selected involved party is removed from the list

6. Click **Save**. A confirmation message is displayed, and the involved party's information is updated.

6.3.3.1.3 Additional Information

Use this section to additional information such as Device Number, Service Provider, IP Value, and so on to the selected transaction.

To add additional information to the selected transaction, follow these steps:

1. On the Involved Parties Information section, click for Account, Entity, or Person. The Add Involved Party section is expanded based on your selection (Account, Entity, or Person).

2. Enter the details in the additional information fields.

Table 6-8   Additional information

Fields	Description
Device Number	Enter the device number used by the involved party.
Operating System	Enter the operating system details.
Service Provider	Enter the server provide details.
NAT	Enter the Network Address Translation (NAT) details.
IP Type	Enter the Internet Protocol type.
IP Value	Enter the Internet Protocol value.
First Seen Date	Enter the first seen date.
Last Seen Date	Enter the last seen date.
Using Proxy	Select whether the user is a proxy.
City	Enter the name of the city where the involved party is using this device.
Country	Select the name of the country from which where involved party is using this device.
Comments	Enter the additional comments if you have.

3. Click **Save**. A confirmation message is displayed, and the involved party's information is updated.

6.3.4 Goods and Services

This section provides information about the goods and services associated with the selected transaction, such as item type, manufacturer, current owner, estimated value, and so on.

Use this section to add new goods and services to the selected transaction, edit or delete the existing goods and services from the list. For more information, see Goods and Services Details.

6.3.4.1 Goods and Services List

Use this section to view and update the list of goods and services associated with the selected transaction.

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

1. Select the required **Record Number** in the list. The goods and services details are displayed.

2. Enter the goods and service details as described in the Goods and Services Details table. Fields marked with * asterisk are mandatory.

3. Click **Save**. A confirmation message is displayed, and the goods and services information is updated.

6.3.4.2 Goods and Services Details

Use this section to goods and services Details to the selected transaction.

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

1. On the Goods and Services section, click . The Add Goods and Services section is displayed based on your selection.

2. Enter the details in the goods and service details fields .

3. Enter the details in the additional information fields.

Table 6-9   Goods and Services

Fields	Description
Item Type	Select the item type. For example, Bonds, Equity Funds, and so on.
Manufacturer	Enter the name of the manufacturer.
Previous Owner Name	Enter the name of the previous owner of the goods and services.
Current Owner Name	Enter the name of the current owner of the goods and services.
Estimated Value	Enter the estimated value of the goods and services.
Status	Enter the status of the transaction.
Disposed value	Enter the disposed value assigned for the goods and services.
Currency	Select the currency.
Total Area	Enter the total area required.
Unit Of Measurement	Enter the unit of measurement for the total area.
Registration Date	Select the registration date.
Registration Number	Enter the registration number for this transaction.
Identification Number	Enter the identification number.
Address Type	Select the address type.
Address	Enter the address for this transaction.
City	Enter the city name.
State	Select the state.
Country	Select the country.
Zip Code	Enter the zip code of the sate.
Address Comments	Enter comments for address, if required.
Item Description	Describe the item.

Table 6-9   (Cont.) Goods and Services

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

4. To edit the existing goods and services, click Report Number. The Goods and Service Details page is expanded. Modify the necessary information and click **Save**. The goods and services details are updated.

5. To delete existing goods and service details, select the goods and services from the list and click **Remove**. The selected goods and service are removed from the list .

6.4 Involved Accounts Details

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

You can add involved parties to the existing transactions by performing Apply to All action.

This helps to add involved parties to the transactions. It is mandatory that every involved party that you are adding to the transaction must have an account number.

To update Involved Accounts Details, follow these steps:

1. On the Involved Accounts Details tab, click the required transaction involved. The list of Involved Parties is displayed.

2. Select the required Record Number and click To Apply All. A confirmation message is displayed. This section covers the following topics:

   • Details

   • Additional Information

   • Signatory

   • Signatory Additional Information

   • Account Entity Owner

6.4.1 Details

Use the *Details* section to update information pertaining to the selected involved account details. To update account details, follow these steps:

1. On the Involved *Account Details Information* section, select the Involved Account **Report Number**. The Account Details section is displayed.

2. Enter the field details in the Account Details.

   The following explains fields available in the Account Details. Fields marked with * asterisk are mandatory.

Table 6-10   The following explains fields available in the Account Details. Fields marked with * asterisk are mandatory.

Fields	Description
Institution Name	Enter the institution name.
Non-Banking Institution	Select whether the institution is a non-banking or not.
Institution Code	Enter the institution code.
Swift	Enter the swift of the institution.
Branch	Enter the branch of the institution. This field is mandatory if the account is an internal account.
Currency	Select the currency used in this account.
Account Number	Enter the account number of the institution.
Account Name	Enter the account name of the institution.
IBAN	Enter the International Bank Account Number (IBAN) of the institution.
Client Number	Enter the client number of the institution.
Account Type	Select the account type related to the institution.
Account Status	Select the account status.
Account Opening Date and Time	Select the account opening date and time.
Account Closing Date and Time	Select the account closing date and time from the calendar.
Balance	Enter the balance amount.
Balance Date and Time	Select the balance date and time from the calendar.
Beneficiary	Enter the beneficiary's name.
Comment on Beneficiary	Enter a comment on the beneficiary, if any.
Comments	Enter comments, if any.

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

Involved Account list.

6.4.2 Additional Information

Use the *Additional Information* section to update information pertaining to the selected involved accounts' details.

To update additional details, follow these steps:

1. On the Involved *Account Details Information* section, select the Involved Account **Report Number**. The **Additional Information** section is displayed, followed by the Details section.

2. Click Add. The Additional Information dialog is displayed.

3. Enter the field details in the Additional Information.

Table 6-11   Additional Information

Fields	Description
Info Type	Select the information type from the drop-down list.
Info Subject	Enter the subject information.
Info Text	Enter the text information.
Info Numeric	Enter the information numeric..
Info Date	Enter the information date.
Info Boolean	Select whether information is boolean.

4. Click **Save**. A confirmation message is displayed, and the newly added information appears in the *Additional Information* list.

5. Select the additional information you want to edit from the list. Modify the required information, and click **Save**.

6. Select the additional information you want to remove from the list. Click **Delete**.

6.4.3 Signatory

Use the *Signatory* section to add and update information pertaining to the selected involved signatory details.

To add signatory details, follow these steps:

1. On the *Involved Signatory* section, click **Add**. The Signatory Details page is displayed.

2. Enter the information in the Signatory Details fields.

Table 6-12   Signatory

Fields	Description
Is Primary	Select whether the signatory is primary or not.
Role	Select the role of the signatory.
Title	Enter the title of the signatory.
Prefix	Enter the prefix of the signatory (Mr or Mrs)
First Name	Enter the first name of the signatory.
Middle name	Enter the middle name of the signatory.
Last Name	Enter the last name of the signatory.
Gender	Enter the gender of the signatory.
DOB	Select the date of birth of the signatory.
Place of Birth	Enter the place of birth of the signatory.
Mother's Name	Enter the signatory's mother's name.
Alias	Enter the alias of the signatory.
Nationality 1	Select the nationality 1 of the signatory.
Nationality 2	Select the nationality 2 of the signatory.
Nationality 3	Select the nationality 3 of the signatory.
Country of Residence	Select the country of residence of the signatory.
Email ID	Enter the email ID of the signatory.
SSN	Enter the SSN (Social Security number) of the signatory.
ID Number	Enter the unique identification number of the signatory.

Table 6-12   (Cont.) Signatory

Fields	Description
Source of Wealth	Select the source of the wealth of the signatory.
Passport Number	Enter the passport number of the signatory.
Passport Country	Select the country of the passport.
Deceased	Specify if the signatory is deceased.
Deceased Date and Time	If deceased, select the date and time of the signatory's death.
Person Tax Number	Enter the personal tax number of the signatory.
Person Tax Registration Number	Enter the personal tax registration number of the signatory.
Comments	Enter comments, if any.

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

3. Click **Save**. A confirmation message is displayed, and the newly added signatory details appear in the Signatory list.

4. To update an existing signatory, select the Involved Signatory Name and update the necessary information.

6.4.4 Signatory Additional Information

Use this section to add additional information and political exposed details after you added a signatory in the Signatory tab.

6.4.4.1 Politically Exposed Person

To add Politically Exposed Person details, follow these steps.

1. On the On the Signatory Addition Information section, select required signatory from the Signatory list.

2. The Politically Exposed Person section is displayed.

3. Click **Add**. The Politically Exposed Person details section is expanded.

4. Enter the information in the Politically Exposed Person fields.

Table 6-13   Politically Exposed Person

Fields	Description
PEP Country	Select the Politically Exposed Person country from the drop-down.
Function Name	Enter the Politically Exposed Person's functional name.
Function Description	Enter the description of the function held by the PEP
Valid From	Enter the valid from date.
Is Approx From Date	Select check box whether the Valid From Date accurate.
Valid To	Enter the valid to date.

Table 6-13   (Cont.) Politically Exposed Person

Fields	Description
Is Approx To Date	Select check box whether the Valid To Date accurate.
Comments	Enter the required comments.

5. Click **Save**. A confirmation message is displayed, and the newly added Politically Exposed Person details appear in the list.

6. Select the Politically Exposed Person details you want to edit from the list. Modify the required information and click **Save**.

7. Select the Politically Exposed Person details you want to remove from the list. Click **Delete**.

6.4.4.2 Additional Information

To add additional information, follow these steps.

1. On the Signatory Addition Information section, select the required signatory from the Signatory list.

2. The Additional Information section is displayed.

3. Click **Add**. The Additional Information section is expanded. For more information, see Additional Information.

6.4.5 Account Entity Owner

Use the *Account Entity Owner* section to update information pertaining to the entity owner of the account.

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

1. On the *Account Entity Owner* section, enter the details of the account entity owner.

Table 6-14   Account Entity Owner

Fields	Description
Name	Enter the name of the entity.
Commercial Name	Enter the commercial name of the entity.
Incorporation Number	Enter the incorporation number of the entity.
Legal Form	Select the legal form of the entity.
Type of Business	Select the type of business of the entity.
Email	Enter the email ID of the entity.
Company URL Address	Enter the company URL address.
Incorporation Date and Time	Select the incorporation date and time of the entity.
Incorporation State	Select the state of the entity.
Incorporation Country	Select the country of the entity.
Business Closed	Specify if the business has closed down.
Business Closed Date and Time	If the business has closed down, select the date and time.
Entity Tax Number	Enter the entity tax number.

Table 6-14   (Cont.) Account Entity Owner

Fields	Description
Entity Tax Registration Number	Enter the entity tax registration number.
Comments	Enter comments, if any.

2. Click **Save**. A confirmation message is displayed, and the newly added account entity owner details appear in the list.

6.4.5.1 Director

Use the *Director* section to add and update information pertaining to the director's details. You can also add the existing directors to the involved party by searching for directors using filters such as first name and last name. When you add an existing director to the involved party, the selected director's details, such as address, phone, and identification, are added to the involved party.

NOTE

This section is displayed only if you have added information in the Account Entity Owner Details section and the Signatory is an entity.

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

1. On the *Director* section, click **Add**. The Director Details page is displayed.

2. Enter the details of Director.

Table 6-15   Director

Fields	Description
Role	Select the role of the director.
Title	Enter the title of the director.
Prefix	Enter the prefix of the director.
First Name	Enter the first name of the director.
Middle name	Enter the middle name of the director.
Last Name	Enter the last name of the director.
Gender	Enter the gender of the director.
DOB	Select the date of birth of the director.
Place of Birth	Enter the place of birth of the director.
Mother's Name	Enter the director's mother's name.
Alias	Enter the alias of the director.
Nationality 1	Select the nationality 1 of the director.
Nationality 2	Select the nationality 2 of the director.
Nationality 3	Select the nationality 3 of the director.
Country of Residence	Select the country of residence.
Email ID	Enter the email ID of the director.
SSN	Enter the social security number (SSN) of the director.
ID Number	Enter the unique identification number of the director.
Source of Wealth	Select the source of the wealth of the director.

Table 6-15   (Cont.) Director

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

3. Click **Save**. A confirmation message is displayed and the newly added director details appear in the list.

4. To modify the existing director's details, select the required director name and update the necessary information.

5. To delete an existing director from the list, select the required director name and click **Remove**.

6. To add an existing director to the involved party, click **Add Existing**. The Director List pop-up is displayed. Search (using First Name or Last Name) or select the required director and click **Add**. The selected director along with the complete details such as address, phone, and identification are added to the involved party.

6.4.5.1.1 Politically Exposed Person

To add Politically Exposed Person details, follow these steps.

1. On the Director section, select required director from the Director list. The Politically Exposed Person section is displayed.

2. Click **Add**. The Politically Exposed Person details section is expanded.

3. Enter the information in the Politically Exposed Person fields.

Table 6-16   Politically Exposed Person

Fields	Description
PEP Country	Select the Politically Exposed Person country from the drop-down.
Function Name	Enter the Politically Exposed Person's functional name.
Function Description	Enter the description of the function held by the PEP
Valid From	Enter the valid from date.
Is Approx From Date	Select check box whether the Valid From Date accurate.
Valid To	Enter the valid to date.
Is Approx To Date	Select check box whether the Valid To Date accurate.
Comments	Enter the required comments.

4. Click **Save**. A confirmation message is displayed, and the newly added Politically Exposed Person details appear in the list.

5. Select the Politically Exposed Person details you want to edit from the list. Modify the required information and click **Save**.

6. Select the Politically Exposed Person details you want to remove from the list. Click **Delete**.

6.4.5.1.2 Additional Information

Use the *Additional Information* section to update information pertaining to the selected director details.

To update additional details, follow these steps:

1. On the Director section, select required director from the Director list. The **Additional Information** section is displayed, followed by the Details section.

2. Click **Add**. The Additional Information dialog is displayed.

3. Enter the field details in the Additional Information.

Table 6-17   Additional Information

Fields	Description
Info Type	Select the information type from the drop-down list.
Info Subject	Enter the subject information.
Info Text	Enter the text information.
Info Numeric	Enter the information numeric..
Info Date	Enter the information date.
Info Boolean	Select whether information is boolean.

4. Click **Save**. A confirmation message is displayed, and the newly added information appears in the *Additional Information* list.

5. Select the additional information you want to edit from the list. Modify the required information, and click **Save**.

6. Select the additional information you want to remove from the list. Click **Delete**.

6.5 Involved Entity Details

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

Use this section to view and update: [Entity Details](#)and [Director](#) details.

6.5.1 Entity Details

Use the *Entity Details* section to view and update information pertaining to the selected involved entity details.

To update the entity details, follow these steps:

1. In the *Involved Entity Details* Information section, select the Involved Entity **Report Number**. The Entity Details section is displayed.

2. Enter the information in the involved party details.

Table 6-18   Entity Details

Fields	Description
Name	Enter the name of the entity.
Commercial Name	Enter the commercial name of the entity.
Incorporation Number	Enter the incorporation number of the entity,
Legal Form	Select the legal form of the entity.
Type of Business	Select the type of business of the entity.
Email	Enter the email ID of the entity.
Company URL Address	Enter the company URL address.
Incorporation Date and Time	Select the incorporation date and time of the entity.
Incorporation State	Select the incorporation state of the entity.
Incorporation Country	Select the incorporation country of the entity.
Business Closed	Specify if the business has closed.
Business Closed Date and Time	If the business has closed down, select the date and time when the business closed down.
Entity Tax Number	Enter the entity tax number.
Entity Tax Registration Number	Enter the entity tax registration number.
Comments	Enter comments, if any.

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

6.5.1.1 Director

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

6.6 Involved Person Details

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

This section covers the following topics:

• Person Detail

• Person Additional Info

6.6.1 Person Detail

This section covers the following topics:

• Person Details

• Address

• Phone

• Identification

• Identification

- [Employer Details](#)

6.6.1.1 Person Details

Use the *Person Details* section to view and update information pertaining to the selected involved person.

To update the involved person's details, follow these steps:

1. On the *Involved Person* section, select the Involved Person **Report Number**. The Person Details section is displayed.

2. Enter the information in the person's details fields.

Table 6-19   Person Details

Fields	Description
Title	Enter the title of the person.
Prefix	Enter the prefix of the person (Mr or Mrs).
First Name	Enter the first name of the person.
Middle name	Enter the middle name of the person.
Last Name	Enter the last name of the person.
Gender	Enter the gender of the person.
DOB	Select the person's date of birth.
Place of Birth	Enter the place of birth of the person.
Mother's Name	Enter the mother's name of the person.
Alias	Enter the alias of the person.
Nationality 1	Select the nationality 1 of the person.
Nationality 2	Select the nationality 2 of the person.
Nationality 3	Select the nationality 3 of the person.
Country of Residence	Select the country of residence.
Email ID	Enter the email ID of the person.
SSN	Enter the Social Security number (SSN) of the person.
ID Number	Enter the unique identification number of the person.
Source of Wealth	Select the source of the wealth of the person.
Passport Number	Enter the passport number of the person.
Passport Country	Select the person's country of passport.
Deceased	Select whether the person is deceased or not.
Deceased Date and Time	If the person is deceased, select the deceased date and time.
Person Tax Number	Enter the person's tax number.
Person Tax Registration Number	Enter the person's tax registration number.
Comments	Enter comments, if any.

3. Click **Save**. A confirmation message is displayed, and details are updated in the selected involved person's details.

6.6.1.2 Address

Use the *Address* section to know the communication address of the person involved in the transaction that led to the creation of the report.

You can use this section to view, add, or delete the address of the person. To update the address details, follow these steps:

1. On the *Involved Person* section, go to the **Address** section. The list of addresses pertaining to the selected person is displayed.

   This section provides you with the complete details of the involved person's address. For example, local address, state, zip code, and so on. You can also add a new address to this list.

2. To add a new address, click **Add**. The Address Details section is displayed.

3. Enter the information in the Address Details fields.

Table 6-20   Address

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

4. Click **Save**. A confirmation message is displayed, and the newly added address is displayed in the

   Address list.

5. To delete an existing address from the list, select the required address and click **Remove**. The Address list is updated.

6.6.1.3 Phone

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

You can use this section to view, add, or delete a person's telephone. To update phone details, follow these steps:

1. In the *Involved Person* section, go to the **Phone** section. The phone details pertaining to the selected person are displayed.

   This section provides you the details of the phone that belongs to the involved person. For example, phone number, contact type, extension, and so on. You can also add a new phone to this list.

2. To add a new phone, click **Add**. The *Phone Details* section is displayed.

3. Enter the information in the Phone Details fields.

Table 6-21   Phone Details

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

4.   Click **Save**. A confirmation message is displayed, and the newly added phone is displayed on the

   Phone list.

5.   To delete an existing phone from the list, select the required phone number and click **Remove**. The Phone list is updated.

6.6.1.4 Identification

Use the Identification section to know the identification type of the person involved in the transaction that led to the creation of the report. Identification can be address identification, photo identification, and so on.

You can use this section to view, add to, or delete the identification of the person. To update the identification details, follow these steps:

1.   On the *Involved Person* section, go to the **Identification** section. The identification details pertaining to the selected person are displayed.

   This section provides you with the details of the identification of the person. For example, Identification Type, Identification Number, Issue Date, Expiry Date, Issuing Country, and so on.

   You can also add new identification details to this list.

2.   To add a new identification, click **Add**. The *Identification Details* section is expanded.

3.   Enter the information in the Identification Details fields.

Table 6-22   Identification

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

4.   Click **Save**. A confirmation message is displayed, and the newly added identity is displayed in the Identification list.

5. To delete an existing identity from the list, select the required identity and click **Remove**. The Identification list is updated.

6.6.1.5 Employer Details

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

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

1. On the *Involved Person* section, go to the **Employer** section. The list of employers pertaining to the selected person is displayed.

   This section provides you the details of the employer of the person. For example, employer name, occupation, address type, and so on. You can also add new employer details to this list.

2. To add a new employer, click **Add**. The *Employer Details* section is expanded.

3. Enter the information in the Employer Details fields.

Table 6-23   Employer Details

Fields	Details
Employer Name	Enter the name of the employer.
Occupation	Enter occupation details.
Address Type	Select the address type of the employer.
Address	Enter the address.
Town	Enter the town name.
City	Enter the city name.
Zip Code	Enter the zip code of the city.
Country	Select the country of the employer.
State	Select the state of the employer.
Address Comments	Enter comments for the address, if any.
Contact Type	Enter the contact type.
Communication Type	Enter the communication type.
Country Phone Code	Enter the country code.
Phone Number	Enter the phone number.
Extension	Enter the extension number.
Comments	Enter comments, if any.

4. Click **Save**. A confirmation message is displayed, and a newly added employer is displayed in the Employer list.

5. To delete an existing employer from the list, select the required employer and then click **Remove**. The Employer list is updated.

6. Click **Save** to update the information**.**

6.6.2 Person Additional Info

This section covers the following sections.

Politically Exposed Person

To add Politically Exposed Person details, follow these steps.

1. On the Involved Person section, select the required involved person from the Involved Persons list. The Politically Exposed Person section is displayed.

2. Click **Add**. The Politically Exposed Person details section is expanded.

3. Enter the information in the Politically Exposed Person fields. For more information, see .

Additional Information

To add additional information, follow these steps.

1. n the Involved Person section, select the required involved person from the Involved Persons list. The Additional Information section is displayed.

2. Click **Add**. The Additional Information section is expanded. For more information, see .

6.7 Narrative

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

To use the *Narrative* option, follow these steps:

1. On the *Reports Details* page, click the **Narrative** tab. The Narrative page is displayed.

2. Enter the following information in the respective fields. Fields marked with * are mandatory.

   - – Description of Suspicious Activity: Enter the following information:

     * Background/profile/occupation of the customer and other related individuals/ entities.

     * When did the relationship with the customer begin?

     * How was suspicion detected?

     * What information was linked or collected during the review process?

     * What explanation was provided by the subject(s) or other persons (without tipping off)?

     * Summary of suspicion of whether the suspicious activity is an isolated incident or relates to another transaction?

     * Who benefited, financially or otherwise, from the transaction(s), how much, and how (if known)?

     * What is the volume of transactions in reported accounts in the financial year, and what is the volume of cash transactions? Whether any STR been filed for the customer earlier?

     * Any additional information that might assist law enforcement authorities.

   – Action Taken by Reporting Entity: Enter the following details.

     * Details about the investigation being conducted, covering the name of the agency, contact person, and contact details.

     * The source of the investigation could be both internal to the reporting entity and any investigation by a law enforcement agency.

     * Whether any Law enforcement agency is informed about the incident reported in the STR.

     * Contact details of the person in the law enforcement agency that is conducting the investigation.

3. Click **Save** to update the narration of suspicious activity.

The *Audit* section tracks both actions and comments entered while performing the *Narrative*

action.

6.8 Documents

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

An Analyst or a Supervisor can attach, modify, or delete documents in all statuses except when the report is in *View Only* mode. For more information on user roles, see Table 4*.*

To modify or attach a document, follow these steps:

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

2. Enter the information in the Documents fields.

Table 6-24   Documents

Fields	Description
Description	Enter a brief description of the document attached.
Type of Document	Enter the type of document.
Document Date	Enter the date of the document.
Sending Option	Enter the option for sending the document.

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

6.9 Audit

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

To use the *Audit* tab, follow these steps:

1. On the *Reports Details* page, click the **Audit** tab. The Audit window is displayed.

A record is created in the Audit tab when a user performs any of the following actions:

- – Created From Case
  - – Created Manually
  - – Modified Reporting Entity
  - – Modified Account Involved Details
  - – Modified Person or Account Owner details
  - – Modified Transaction Details
  - – Modified Suspicious Activity Description
  - – Modified Narrative and Action

- – Added New Document

- – Modified Document

- – Removed Document

- – Edit/ Delete Report

  - * Originating Report

  - * New Report

- – E-File Generation Unsuccessful

- – Acknowledgment Details

  - * If the report is accepted, then *Upload Acknowledgment* (Comments displayed - *Report is Accepted*)

  - * If the report is rejected, then *Upload Acknowledgment* (Comments displayed- *Report is Rejected* along with error message)

The *Actions* section displays all the actions taken on the report.

Table 6-25   Audit

Fields	Description
Date	The date on which the action occurred.
Action By	The name of the user who acted on this.
Action	A short description of the action.
Comments	The comments are entered while performing an action.

7

Acting on a Report

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

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

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

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

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

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

- Submitting the Reports : After the reports are validated, they must be submitted. As an Analyst or a Supervisor, click **Submit** button to submit the report.

- Adding Comments : You can add comments to a report in any status. By adding comments, the status of the report does not change.

- Generating PDF : You can generate a new PDF whenever you do changes in the Report Details page.

- Setting a Due Date : You can set a due date for a report in any status. By setting dates, the status of the report doesn't change.

7.1 Requesting the Report for Approval

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

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

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

2. Enter the comments in the *Request for Approval* window.

   NOTE

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

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

7.2 Approving Reports

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

status.

To approve a report, follow these steps:

1. On the *Reports Details* page, click **Approve**. The *Approve* window is displayed.

2. Enter the Comments in the *Approve* window.

   NOTE

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

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

   NOTE

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

   When the report is created manually, the naming convention for final STR is in the format STR_Manual_Approved Date (DD-MM- YYYY_HH24-MM-SS).doc.

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

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

7.3 Reworking Reports

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

To send a report for rework, follow these steps:

1. On the *Reports Details* page, click **Rework**. The *Rework* window is displayed.

2. Enter the Comments in the *Rework* window.

   NOTE

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

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

4. Click **OK**. The Report Details page is displayed and the status of the report changes to *Rework*. The Audit section tracks both actions and comments entered while performing the *Rework*

action.

7.4 Canceling Report Filing

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

Only authorized users can cancel a report from filing.

To cancel filling the report, follow these steps:

1. On the *Reports Details* page, click **Cancel Filing**. The *Cancel Filing* window is displayed.

2. Enter comments in the *Comments* box.

   NOTE

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

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

4. Click **OK**. The *Report Details* page is displayed, and the status of the report changes to *Canceled.*

   NOTE

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

   action.

   The Audit section tracks both actions and comments entered while performing the *Cancel*

   action.

7.5 Reopening Reports

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

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

1. On the *Reports Details* page, click **Reopen**. The *Reopen Reports* window is displayed.

2. Enter comments in the *Reopen* window.

   NOTE

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

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

4. Click **OK**. The *Report Details* page is displayed, and the status of the report changes to *Reopen*ed. The Audit section tracks both actions and comments entered while performing the *Reopen*

action.

7.6 Submitting the Reports

Authorized users can submit a report after the report is validated. To submit a report, follow these steps:

1. On the *Reports Details* page, click **Submit**. The *Submit* window is displayed.

2. Enter *Comments,* if required.

3. Click **Save**, and the report is submitted.

The following activities are allowed after submitting a report:

- – The final report can be viewed, saved as a local copy, or printed.

  – The report can be edited by any user.

  – System-initiated feedback to OFS ECM can be sent on processing *Generate Revised Reports*

actions.

- – In the revised reports, the feedback is sent to the original case from which the revised report is created. For manually created reports, no feedback is sent.

7.7 Adding Comments

An Analyst, Auditor, or Supervisor can add comments to a report in any status. To add comments to a report, follow these steps:

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

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

   NOTE

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

3. Click **Done**. The Audit section tracks both actions and comments entered while performing the

Set Due Date action.

7.8 Generating PDF

An Analyst, Auditor, or Supervisor can generate a PDF of a report in any status.

You can generate a new PDF whenever you make changes in the Report Details page. To generate/download a new or existing PDF, follow these steps:

1. On the *Reports Details* page, click **Generate PDF**. The **Report PDF List** window is displayed.

2. Click **Generate PDF**. The latest generated PDF is listed in the Report PDF List. Click **Refresh** to check the latest generated PDF.

> ⓘ **Note**
>
> - If you try to generated a PDF without changing any information in the Report Details page, an error message is displayed.
>
> - It takes few moments to generate any new PDF.

3. Click on the name of the report link to download the latest PDF.

7.9 Rejecting Reports

A Supervisor can reject a report that is in the E-File Generated status. Once rejected, the report's status changes to Rejected from E-File. A privileged user (Analyst or Supervisor) then reviews the rejected report and makes any necessary corrections. If an Analyst updates the report, it is sent for approval.

To reject a report, an analyst or supervisor must follow these steps:

1. On the Reports List page, select the report in E-File Generated status, and click Reject. The Reject window is displayed.

2. Select one or more reports from the list. Enter the due date and provide comments for the selected reports. Or, to apply the same comment to all selected reports, check the box labeled Apply a single comment to all included reports and enter the comments in the Comments box.

> ⓘ **Note**
>
> In the comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save** to confirm the action. The Report List will be refreshed.

7.10 Setting a Due Date

Analysts and supervisors can set a due date or modify an existing due date of a report to close or report to the regulator by that date.

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

Table 7-1   Behavior and Attributes for Due Date

Attribute Name	Value	Behavior
Due Date with edit	-	Users mapped to this role can set/edit/view the due date.
Due date with a view	-	Users mapped to this role can only view the due date.

Table 7-1   (Cont.) Behavior and Attributes for Due Date

Attribute Name	Value	Behavior
Number of Days	N	When a report is created either manually or through action from the case, the application automatically sets the due date to the action date + N calendar days. If the parameter is blank, no date is set. The default is five days.

Table 7-2   User Roles and Set Due Date Action

Menu	Analyst	Supervisor	Auditor
Open	Y	Y	N
Reopened	Y	Y	N
Requested for Approval	Y	Y	N
Rework	Y	Y	N
Approved	Y	Y	N
Cancelled	N	N	N
Acknowledged	N	N	N
Rejected from E- File	N	N	N
E-File Generated	Y	Y	N
Submitted	N	N	N

NOTE

An Auditor can only view the Due Date.

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

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

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

   NOTE

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

3. Select a date from the calendar.

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

5. Click **OK**. The updated *Report Details* page is displayed.

The Audit section tracks both actions and comments entered while performing the *Set Due Date*

action.