



# goAML Web

# New Registration and Web Report Forms



# Contents

1		Over	view		4
2		New	Registra	tion and Change Request Forms	5
	2.′	1	Activatir	ng the New Registration and Change Request forms	5
	2.2	2	Submitti	ng a New Registration	5
		2.2.1		Selecting Registration Type	5
		2.2.2		Filling out a Registration Form	7
		2.2.3		Preview and Submit a Registration	8
	2.3	3	Change	Requests	9
		2.3.1		Submitting New Change Requests	9
		2.3.2		Users	12
		2.3.3		Organisations	14
		2.3.4		Direct Edit	15
	2.4	4	Managir	ng Change Requests	15
		2.4.1		New Entity Registrations	15
		2.4.2		Change Request Actions and History	16
		2.4.3		Change Request Preview	18
		2.4.4		Change Request Workflows	20
3		New	Web Re	port Forms	23
	3.′	1	Activatir	ng the New Web Report forms	23
	3.2	2	Creating	a Web Report	23
	3.3	3	Report I	Main Page	24
		3.3.1		Report Main Page Tab	24
		3.3.2		Report Main Page Form	25
	3.4	4	Attachm	lents	27
		3.4.1		Attachments Tab	27
		3.4.2		Attachments Form	27
	3.5	5	Indicato	rs	28
		3.5.1		Indicators Tab	28
		3.5.2		Indicators Form	28
	3.6	6	Transac	tions	29
		3.6.1		Transactions List Tab	29
		3.6.2		Transactions List	30
		3.6.3		Transaction Tab	30
		3.6.4		Transaction Form	32
	3.7	7	Activity	Reports	37
	3.8	3	Transac	tions Upload/Download	38
		3.8.1		How to Download a Transactions	38
		3.8.2		How to Upload Transactions	40
		3.8.3		Linking of Accounts	43
4		Form	s Custor	nization	45
	4.′	1	Templat	e Sets	45



4.1.1	Create a Template Set	46
4.1.2	Indicators	48
4.1.3	Form Sections	50
4.1.4	Managing Template Sets	53



# 1 Overview

From release 4.6.0.0 the goAMLWeb application provides an alternative web report form (referred to as the **New Web Forms** or **NWF**) that can be used for manually entering reports.

From release 4.8.0.0 the goAMLWeb application provides an alternative registration form (referred to as the **New Registration Forms** or **NRF**) that is used to submit, verify and approve new Registrations and Change Requests for

The administrator can decide to configure the goAMLWeb application to use either the existing report forms or the New Web Forms but not both, and also separately whether to use the existing registration forms or the New Registration forms but not both.

Whichever report or registration forms are configured for the site these will be the forms used by all users when entering reports, registering or submitting a change request.

Support for the existing report forms and registration forms is limited to security fixes only. All new features and enhancements related to manual reports and registrations will be developed for the New Forms only.

From release 4.9.0.0 only the New Web Forms and the New Registration Forms will be available. If the site was configured to use the old forms before upgrading, the New Forms will automatically be enabled, it will not be possible to disable them.

The main advantage of the new forms is that they are customizable. Fields can be rearranged, hidden or made mandatory. Lookups can be filtered to remove any unwanted values.

For the web reports, several customizations can be created and mapped to report type, Reporting Entity type or a combination of them both.



# 2 New Registration and Change Request Forms

# 2.1 Activating the New Registration and Change Request forms

By default, after an upgrade the New Registration Forms are **not** enabled. For all new installations after **4.8.0.0** the New Registration Forms **are** enabled.

To activate the New Web Forms open the following grid Admin > Settings > Site Configuration and set the value of EnableNewRegistrationForms to Y

<ul> <li>EnableNewRegistrationForms</li> </ul>	Y	Y or N	
Enable the New Registration and	Change Request Fo	rms	

Once this setting is activated the new Change Request Forms will be used for changing, approving and previewing user and organisation details.

It is always advisable to restart IIS after making any changes to the site settings.

# 2.2 Submitting a New Registration

#### 2.2.1 Selecting Registration Type

The button to access the registration selection screen is located under the customizable content of column one on the home page.

Register	Contact	goPortfolio
Place note that in order to get access to the system, you first need to register as a reporting entity under "Register as an Organisation". Once the registration process has been succesfully completed, you can log in with the credentials you have previously defined. This content can be customised under the Site Content area "Responsive Home Page Column One"	For more information on goAML please contact the Request Processing Unit at rpu@unodc.org or phone (+43-1) 26060-4661 This content can be customised under the Site Content area " <i>Responsive Home Page Column</i> <i>Two</i> "	goPortfolio is a set of software products developed to help Member States strengthen their capacity to fight organised crime. This content can be customised under the Site Content area "Responsive Home Page Column Three"

NRF 1

Selecting this button will open the Registration Selection page shown below



Reporting Entity	Supervisory Body	Stakeholder
	. 🖕	<b>S</b>
	Register a new supervisory body	Register a new stakeholder
reports. Register a User		regise o nen sukenonee.
reports. Register a User		
Register a new organisation for submitting reports. Register a User User (Reporting Entity)	User (Individual)	
Register a new organisation for submitting reports. User (Reporting Entity)	User (Individual)	

NRF 2

There are 5 cards that will open a registration form for the corresponding registration form. The Header and Descriptions can be customized via the application translations.

You can show or hide the Stakeholder, Supervisory Body or Individual Registration buttons by the following setting in **Admin > Settings > Site Configuration** 

Þ	ShowIndividualUserRegistration	Y	'N' or 'Y' .	/ Edit
Þ	ShowStakeholderRegistration	Y	'N' or 'Y' .	
•	ShowSupervisoryBodyRegistration	Y	'N' or 'Y' .	/ Edit

In order to link to the registration selection page from another site use the link:

<<URL\_TO\_GOAML\_WEB>>/Content/NewWebForm/#/register

You can also link directly to each individual form by appending the registration type, **however** it is not possible to access these links if a user is currently logged in.

Registration	Link (~ is the path to goAMLWeb root)
Reporting Entity	~/Content/NewWebForm/#/register/RE
Supervisory Body	~/Content/NewWebForm/#/register/SUP
Stakeholder	~/Content/NewWebForm/#/register/SH
User (Reporting Entity)	~/Content/NewWebForm/#/register/IND_RE
User (Individual)	~/Content/NewWebForm/#/register/IND



### 2.2.2 Filling out a Registration Form

After selecting a registration type a form similar to the images below will be shown.

For an Organisation registration there will be 4 tabs in the navigator on the left. **Organisation**, **Administrator**, **Attachments** and **Preview and Submit** 

For a User registration there will be 3 tabs in the navigator on the left. **User, Attachments** and **Preview and Submit** 

1. Organisation	Organisation	Organisation						
2. Administrator	Organization Business Type is required!	Name is required!	arronum is required!					
3. Attachments	Signization business type is required.							
4. Preview and Submit	Email is required!	is financial	Swift/Bic					
Cannot submit until the form is complete	Incorp. Num	Commercial Name	Incorporation Legal Form					
	Incorp. City	Incorp. State	Incorp. Country					
	Name of holding company	Contact Person	URL					
	+ Addresses							
	+ Phones							

NRF 3 – Organisation Registration

1. User	User			
2. Attachments	User Name is required!	Password is required!	Confirm Password is required!	Title
3. Preview and Submit				
Cannot submit until the form is complete	First Name is required!	Last Name is required!	Email is required!	Gender
Cancel	Birth Date is required!	PersonReg SSN	Nationality	Occupation
	ID Number	Passport Number	Passport Country	~
	+ Addresses*	<b>∨</b> #1		
	1	Type is required! Address	; is required! Town	City is required!
		Zip Count	ry State	
		Comments		
	+ Phones*	✓ #1		
		Contact Type is required! Comm.	Type is required! Country Prefix is	required! Number is required!



Before the **Preview and Submit** tab is activated each tab above it must be completed and they can be completed in any order. Mandatory fields are marked with and asterisk and highlighted when they are empty. Tooltips also provide further information for the field.

Mandatory fields are marked with an asterisk and highlighted when empty. Tooltips can provide more information about the field.

The fields and the collections (Addresses and Phones) are displayed in the same manner as in the web report. <u>Please follow this link to the section below for more details.</u>



The indicator on the left of each tab shows whether the section is complete. In the image below the **Organisation** tab is complete so the indicator is green

1. Organisation	Organisation			
2. Administrator				
3. Attachments	Organization Business Type     BANK		• Name MyBank	MB1
4. Preview and Submit	* Email		is financial	Swift/Bic
	MyBank@goaml.com			
Cannot submit until the form is complete	Incorp. Num		Commercial Name	Incorporation Legal Form
Cancel				~
	Incorp. City		Incorp. State	Incorp. Country

NRF 5

Once all the sections are complete the **Preview and Submit** tab is available.

1. Organisation	Administrator	-								
2. Administrator	• Line Mana		• Deservered	* Canfirm Desmund		TAL				
3. Attachments 5	MyAdmin		- Password	Confirm Password		Inte				
A Proview and Submit	* First Name		* Last Name	* Email		Gender				
	John		Smith	Admin@goaml.com			``			
Cancel	* Birth Date		PersonReg SSN	Nationality		Occupation				
Cancer	11/7/2020	<b>#</b>			~					

NRF 6

### 2.2.3 Preview and Submit a Registration

When the **Preview and Submit** tab is available, selecting it shows a preview of all the data provided for the registration and opens the CAPTCHA box in the tab ready to submit the form.

1. Organisation	New Registration	on			
2. Administrator					
3. Attachments <b>5</b>	Attachments test1 - Copy (2).txt		0.12kb		
4. Preview and Submit	test1 - Copy (3).txt test1 - Copy (4).txt		0.12kb 0.12kb		
934276	test1 - Copy.txt test1.txt		0.12kb 0.12kb		
Enter the code above in the box below.	Organisation				
	Organization Business Type	BANK		Name	MyBank
	acronym	MB1		Email	MyBank@goaml.com
Submit New Organisation	is financial			Swift/Bic	
	Incorp. Num			Commercial Name	
Cancel	Incorporation Legal Form			Incorp. City	
cancer	Incorp. State			Incorp. Country	
	Name of holding company			Contact Person	
	URL				
	Administrator				
	User Name	MyAdmin		Title	
	First Name	John		Last Name	Smith
	Email	Admin@goaml.com		Gender	
	Birth Date	11/7/2020		PersonReg SSN	
	Nationality			Occupation	

NRF 7

Once the data is reviewed and the user is ready to submit. The CAPTCHA code needs to be entered that corresponds to the image above it. The select **Submit New Organisation** (or **Submit New User**)

The registration will be submitted, and the user will see a confirmation screen similar to the image below. The user should take not of the registration number provided as this can be used to reference the change request if they need to contact the FIU.



# Registration info has been submitted

Please wait for notification of acceptance/rejection by email. Your request has been given the following reference number:

# RE\_RP001431-11 NOV 2020

NRF 8

If there are any errors, a notification will be displayed so that the user can change the data and submit again.

4. Preview and Submit	test1 - Copy (3).txt test1 - Copy (4).txt test1 - Copy.txt test1.txt	0.12kb 0.12kb 0.12kb 0.12kb 0.12kb	
Enter the code above in the box below.	Organisation	Disco di scondo di sc	MyBank
		i use. Please choose another name	MyBank@goaml.com
Submit New Organisation	is financial	Swift/Bic	
•	Incorp. Num	Commercial Name	
Cancel	Incorporation Legal Form	Incorp. City	
cancer	Incorp. State	Incorp. Country	



A Registration is a **New Entity/Person Change Request** and will appear in the **Org Request Management** or the **User Request Management** grid as appropriate.

Drag a column header her	e to group by that	: column						
Change Request Ref.	Туре	Request Status	Org Name	Org ID	agency type	User Name	Created On  ∇	#
9	V	×	9	♥	×	♥	✓ ♥	
RE_RP001431-11 NOV 2020	New Entity	<u>Waiting for</u> <u>Supervisory Body to</u> <u>Verify</u>	MyBank123		BANK		11/11/2020	00
DE DD001427-11 NOV		Waiting for						

NRF 10

# 2.3 Change Requests

With the **EnableNewRegistrationForms** setting enabled the Change Request Forms will change to use new forms and preview similar to the registration forms shown above.

#### 2.3.1 Submitting New Change Requests

Most change requests are initiated by a user to update the details for their account or their Reporting Entity. These change request via the menu **My GoAML > My User Details** and **My GoAML > My Org Details** 



#### 2.3.1.1 My User Details

If the user has the permission *View My User Details* but NOT *Person Change Request submit change* then they will see a read only view of their details when **My User Details** is selected. An example of this view is shown below:

	Request: RE_RP001432-11 NOV 2020						
Request Type:	New User						
Request Status:	Activated						
User							
Organization ID	205	User Name	MyNewBank				
Title		First Name	MyNewBank				
Last Name	MyNewBank	Email	MyNewBank@goaml.com				
Gender		Birth Date	11/5/2020				
PersonReg SSN		Nationality					
Occupation		ID Number					
Passport Number		Passport Country					
Addresses							
Туре	Business	Address	MyAddress				
Town		City	MyCity				
7:5		Country					



If the user has the permission *View My User Details* AND *Person Change Request submit change* then they will see an editable form of their details when **My User Details** is selected.

ser						
	Organization ID		* User Nan	ne		Title
Attachments	205		MyNew	Bank		
	* First Name		* Last Nam	ie		* Email
Submit Request	MyNewBank		MyNew	Bank		MyNewBank@goaml.com
	Gender		* Birth Dat	e		PersonReg SSN
		~	11/5/202	20	<b>#</b>	
	Nationality		Occupation	n		ID Number
		~				
	Passport Number		Passport C	ountry		
					~	
	+ Addresses*	<b>∨</b> #1				
	ll.	* Type		* Address	Town	* City
		Pusinoss	· · ·	MyAddrocc		Mucity

NRF 12

This form can be updated, and the request submitted via the **Submit Request** button.

After submission the change request is shown along with any available actions that the user can do on this change request. An example is given below. While this change request is pending, this is what the user will see when they navigate to **My User Details** until the request is finalised (i.e. either recalled, rejected or approved)



Comments		Request: RE_F	RP001433-11 NO	/ 2020
Actions:	Request Type: Request Status:	Existing User Waiting for RE Admin to Verify		
Recall	Attachmonts			
Reject	Attaciments			
Verify	User	205	l Icer Name	MuNawBank
Approve	Title	205	First Name	MyNewBank
Finalize	Last Name Gender	MyNewBank	Email Birth Date	MyNewBank@goaml.com 11/5/2020
Change Request History	Occupation Passport Number		ID Number Passport Country	1234567
	Addresses			
	Туре	Business	Address	MyAddress
	Town		City	MyCityChange <del>MyCity</del>
	Zip		Country	SWITZERLAND
	State		Comments	

NRF 13

#### 2.3.1.2 My Organisation Details

If the user has the permission *View My Org Details* but NOT *Entity Change Request submit change* then they will see a read only view of the organisation details when **My Org Details** is selected. An example of this view is shown below:

Request: RE_RP001432-11 NOV 2020						
Request Type: Request Status:	New Entity Activated					
Organisation						
Organization Business Type	BANK	Name	MyNewBank			
acronym	MyNewBank	Email	MyNewBank@goaml.com			
is financial		Swift/Bic				
Incorp. Num		Commercial Name				
Incorporation Legal Form		Incorp. City				
Incorp. State		Incorp. Country				
Name of holding company		Contact Person				
URL						
Administrator						
User Name	MyNewBank	Title				
First Name	MyNewBank	Last Name	MyNewBank			
Email	MyNewBank@goaml.com	Gender				
Rirth Date	11/5/2020	PersonReg SSN				



If the user has the permission *View My Org Details* AND *Entity Change Request submit change* then they will see an editable form of their Reporting Entity details when **My Org Details** is selected. The Reporting Entity details in the form in **My Org Details** are for the users Reporting Entity that they are registered with, regardless of which entity they maybe logged in as if there are Reporting Entities delegating.



My Org Details			
Organisation	Organization ID 205	Organization Business Type     BANK     V	* Name MvNewBank
Attachments	* acronym MyNewBankChange	* Email MyNewBank@goaml.com	is financial
Submit Request	Swift/Bic	Incorp. Num 123456789	Commercial Name
	Incorporation Legal Form	Incorp. City	Incorp. State
	Incorp. Country	Name of holding company	Contact Person
	+ Addresses + Phones		

NRF 15

This form can be updated, and the request submitted via the **Submit Request** button.

After submission the change request is shown along with any available actions that the user can do on this change request. An example is given below. While this change request is pending, this is what the user will see when they navigate to My Org Details until the request is finalised (i.e. either recalled, rejected or approved)

	Request: RE	_RP001434-11 NO\	/ 2020
Request Type: Request Statu	Existing Entity Waiting for Supervisory Bo	dy to Verify	
Attachments			
equest History Organisa	tion		
Organization I	Business Type BANK	Name	MyNewBank
acronym	MyNewBankChange MyNewBank	Email	MyNewBank@goaml.com
is financial		Swift/Bic	
Incorp. Num	123456789	Commercial Name	
Incorporation	Legal Form	Incorp. City	
Incorp. State		Incorp. Country	
Name of hold	ng company	Contact Person	
URL			

NRF 16

#### 2.3.2 Users

Change requests can be raised for other users from the Active Users grid by selecting the 🕀 button in the right-hand side of the grid for that user. The button may not be available depending on the configuration. The following rules apply:



- Users from Delegating Organisations will only appear in the grid if the setting AllowManagementOfDelegates is enabled (Admin > Settings > Site Configuration)
- The Add New Change Request button 
   for Users will not be visible if the 3<sup>rd</sup> Party Portal

   Auto Form Population setting is enabled (Admin > Settings > 3<sup>rd</sup> Party Portal)

Active Users								
Start Date Mo	onday, January 1, 1900 👻	End Date Wednesday, November 1	1, 2020 🔻	2				
Drag a column header here to group by that col	umn							
Org Name	Org ID	User Name	User Status	Created On $\nabla$	#			
	· · · · · · · · · · · · · · · · · · ·	♥	V	V 🕈				
MyDelegatingBank	206	MyDelegatingBankUser	Active	11/11/2020	000			
MyNewBank	205	MyNewBankUser	Active	11/11/2020	000			
MyNewBank	205	MyNewBank	Active	11/11/2020	00			
Page 1 of 1 (3 items)				Pag	e size: 20 🗸			

NRF 17

Selecting the 🕀 button will cause a new pop-up window to open containing the form for the change request as shown below.

User	Organization ID		* Licor Nor	ne		Title	
Attachments	205		MyNew	BankUser		litte	
	* First Name	* First Name		ne		* Email	
Submit Request	MyNewBankUser		MyNew	MyNewBankUser		MyNewBankUser@goaml.com	
	Gender	Gender		te		PersonReg SSN	
		~	11/6/2020		<b>#</b>		
	Nationality	Nationality		Occupation		ID Number	
		~					
	Passport Number	Passport Country					
	2334232		AUSTRALIA 🗸		~		
	+ Addresses*	<b>∨</b> #1					
		* Type		* Address	Town		* City
		Operatio	onal 💙	HighStreet			232332
		Zip		* Country	State		
				SWITZERLAND ~			
		Comments					

It is not possible to submit a change request for a user who currently has a pending change request. If this is the case the new window will open containing the pending change request and any actions that are available, for example:



Request Type:	Fridation Hann		
Request Status:	Existing User Waiting for RE Admin to Verify		
Attachments			
User Organization ID	205	User Name	MyNewBankUser
Title Last Name	MvNewBankUser	First Name Email	MyNewBankUser MyNewBankUser@goaml.com
Gender PersonReg SSN Occupation		Birth Date Nationality	11/6/2020
Passport Number	2334232232 2334232	Passport Country	AUSTRALIA
Address	es		
Type Town Zip	Operational	Address City Country	HighStreet 232332 SWITZERLAND
	Attachments User Organization ID Title Last Name Gender PersonReg SSN Occupation Passport Number Address Type Town Zip State	Attachments	Attachments         User         Organization ID       205       User Name         Title       First Name         Last Name       MyNewBankUser       Email         Gender       Birth Date         PersonReg SSN       Nationality         Occupation       ID Number         Passport Number       2334232232         23342322       Passport Country         Z3342322       Country         Zip       City         Town       City         Zip       Country         State       Comments

NRF 19

#### 2.3.3 Organisations

Change Requests for other organisations can be raised from the **Active Organisations** page. In order to do this at the bottom of the page there is a select box that contains the list of organisations that are delegating to the reporting entity of the logged in user.

Drag a column header here to group by that column								
Org ID	Org Status	Org Name	is delegating	agency type	Created On 🗸	#		
8	×	9	٩					
206	Active	MyDelegatingBank	205	BANK	11/11/2020	۲		
205	Active	MyNewBank		BANK	11/11/2020	۲		
Page 1 of 1 (2 items) (( ) ( 1) MyDelegatingBank •) Change Selected Delagating Create New Delegating Org	> >> Organization	•			Page size:	0 🗸		
			NRF 20					

1111 20

Selecting a Reporting Entity from this list and then clicking **Change Selected Delegating Organisation** will open the change request for form for that Organisation.

If you are logged in as FIU you will see all of the registered entities in the **Active Organisations** as well as the **①** button for making change requests directly on any of the organisations in the grid.



Drag a column header here to group by that column									
Org ID		Org Status	Org Name	is delegating	agency type	Created On	#		
	Ŷ	~	♥	8		✓ ♥			
	208	Active	securities commission QAT		Securities Commission	11/11/2020	000		
	207	Active	QASECURITIES COMMISSION		Securities Commission	11/11/2020	000		
	206	Active	MyDelegatingBank	205	BANK	11/11/2020	000		
	205	Active	MyNewBank		BANK	11/11/2020	000		
	204	Active	SUPBODYDEC2020		Supervisory Body	11/10/2020	000		
	202	A 10	CURRORNAUCURADO			44/0/2020	000		

### 2.3.4 Direct Edit

If the user is logged in as an FIU user with administrative permissions, it is possible to edit a change request 'on-the-fly' before it is finalised. In the **User Request Management** or the **Org Request Management** grid there will be an **Edit** button **②**. Selecting this will open the change request in the form so that the details made be changed/corrected before the request is finalised.

Drag a column header here to group by	a column header here to group by that column						
Change Request Ref.	Туре	Request Status	Org Name	Org ID	User Name	Created On $\bigtriangledown$	#
♥	~	×		· · · · · · · · · · · · · · · · · · ·	9	✓ ♥	
RE_RP001437-11 NOV 2020	Existing User	<u>Waiting for RE Admin</u> to Verify	MyNewBank	205	MyNewBankUser	11/11/2020	•••

# 2.4 Managing Change Requests

#### 2.4.1 New Entity Registrations

Once a change request is submitted it will appear in either the **User Request Management** grid or the **Org Request Management** grid depending on whether the change request was for a Person or an Entity. For Organisation registrations, where an Administrator is also registered, the initial change request is in the **Org Request Management** grid.

Once a new Entity registration is finalised, the Administrator change request is automatically created and finalised at the same time. So for example, after registering **MyNewBank** the following row will appear in the **Org Request Management** grid. But there will be no rows for the associated Administrator in the **User Request Management** grid.

Drag a column header here	ag a column header here to group by that column							
Change Request Ref.	Туре	Request Status	Org Name	Org ID	agency type	User Name	Created On  ∇	#
9	×	~		♥	×		✓ ♥	
RE_RP001432-11 NOV 2020	New Entity	<u>Waiting for</u> <u>Supervisory Body to</u> <u>Verify</u>	MyNewBank		BANK		11/11/2020	00

After finalising this request there will be two **Activated** change requests, one in the **Org Request Management** grid, as shown below...

								- 1
RE_RP001435-11 NOV 2020	New User	Activated	MyNewBank	205	MyNewBankUser	11/11/2020	0	2
			···· = ·					*

...and one in the User Request Management grid, as shown below.

			Authority Safe many for a Secure Mark	once			
RE_RP001432-11 NOV 2020	New User	Activated	MyNewBank	205	MyNewBank	11/11/2020	0
		a second second	00000000000000		000000000000	1111000000	0.0

Im

## 2.4.2 Change Request Actions and History

In both the User and Organisation Change Request grids, when a action is still pending on a request the **Request Status** column will be shown as a hyperlink.

rag a column header here to group by that column							
Change Request Ref.	Туре	Request Status	Org Name	Org ID	User Name	Created On □ ▽	#
♥	~	~		<b>v</b>	Ŷ	✓ ♥	
RE_RP001450-11 NOV 2020	Existing User	<u>Waiting for RE Admin</u> to Verify	MyNewBank	205	MyNewBankUser	11/11/2020	•••

NRF 21

Clicking on the link will open the change request as in the example below.

ments		Request: RE_RP	001450-11 NO	V 2020
	Request Type:	Existing User		
ons:	Request Status:	Waiting for RE Admin to Verify	У	
Recall				
Reject	Attachments			
	User			
Verify	Organization ID	205	User Name	MyNewBankUser
Approve	Title		First Name	MyNewBankUser
Approve	Last Name	MyNewBankUser	Email	MyNewBankUser@goaml.com
Finalize	Gender		Birth Date	11/6/2020
	PersonReg SSN		Nationality	AUSTRALIA
	Occupation		ID Number	BadlDNumber
Change Request History	Passport Number	2334231678 2334232232	Passport Country	AUSTRALIA
	Address	es		
	Туре	Operational	Address	HighStreet
	Town		City	232332
	Zip		Country	SWITZERLAND
	State		Comments	
	Phones			
	Contact Ty	/pe Private	Comm. Type	Pager
	Country P	refix 2323	Number	2323
	Extension		Comments	

NRF 22

Fields that have changed are highlighted in **yellow**, fields that are new are highlighted in **green** and fields that are deleted are highlighted in **red** 

On the left-hand side are the available actions. These actions are determined by the permissions that have been granted to the user. Each action moves the change request along in the workflow. Comments can be assigned to each transition which are logged in the **Change Request history**.



The Change Request History can be viewed by clicking on the **Change Request History** button which will show a dialog in the change request, for example:

Comments			Reques	t: RE_RP001452-	11 NOV 2020	
Actions:	Recall	Re Re	equest Type: Existing User equest Status: Waiting for F	IU to Verify		
	Change Rec	At quest History	tachments			×
	Date	User	State From	State To	Comments	
Change	11/11/20	goaml	Not Exists	Waiting for RE Admin to Verify	Final approval	▲ ml.com
	11/11/20	goaml	Waiting for RE Admin to Verify	Waiting for RE Admin to Approve		
	11/11/20	goaml	Waiting for RE Admin to Approve	Waiting for Supervisory Body to Verify		
	11/11/20	goaml	Waiting for Supervisory Body to Verify	Waiting for FIU to Verify		
			Phones			
			Contact Type Prive Country Prefix 232: Extension	ate Con 3 Nu Con	mm. Type Pager mber 2323 mments	



When a change request is moved to a final state, the state and the change request number will be shown similar to the image below. Here the change request has been approved which results in state **Activated**. The other possible final states are **Rejected** and **Recalled** 



The followin	ng change request has been finalised
Activated	
R	RE_RP001450-11 NOV 2020
Close	
	NRE 24

# 2.4.3 Change Request Preview

The user can also preview all change requests in a print-friendly view by clicking on the 
button for any row in either of the change requests grids. An example of the preview is given below.



Request:	RE_	<b>RP001</b>	452-11	NOV	2020
----------	-----	--------------	--------	-----	------

Request Type:	Existing User			
Request Status:	Waiting for FIU to Verify			
Change Request History				
Date         User           11/11/2020         goaml           11/11/2020         goaml           11/11/2020         goaml           11/11/2020         goaml	State From Not Exists Waiting for RE Admin to Verify Waiting for RE Admin to Approve Waiting for Supervisory Body to Verify	State To Waiting for RE Admin to Verify Waiting for RE Admin to Approv Waiting for Supervisory Body to Waiting for FIU to Verify	Comments Final approval ve verify	
Attachments				
User				
Organization ID	205	User Name	MyNewBankUser	
Title		First Name	MyNewBankUser	
Last Name	MyNewBankUser	Email	MyNewBankUser@goaml.com	
Gender		Birth Date	11/6/2020	
PersonReg SSN		Nationality	AUSTRALIA	
Occupation		ID Number		
Passport Number	2334231678	Passport Country	AUSTRALIA	
Addresses				
Туре	Operational	Address	New Street	
Town		City	232332	
Zip		Country	SWITZERLAND	
State		Comments		
Phones				
Contact Type	Private	Comm. Type	Pager	
Country Prefix	2323	Number	2323	

NRF 25

The above preview was generated while logged in as an FIU user. When logged in as Reporting Entity, the Change Request history will mask any FIU users and replace with the user "**FIU**" as in the example below:

Request: RE_RP001452-11 NOV 2020								
Request Type: Request Status:		Existing User Waiting for FIU to Verify						
Change Req Date 11/11/2020 11/11/2020 11/11/2020 11/11/2020	uest History User FIU FIU FIU FIU	State From Not Exists Waiting for RE Admin to Verify Waiting for RE Admin to Approve Waiting for Supervisory Body to Verify	State To Waiting for RE Admin to Verify Waiting for RE Admin to Approve Waiting for Supervisory Body to Verify Waiting for FIU to Verify	Comments Final approval				

NRF 26



### 2.4.4 Change Request Workflows

The state transition diagrams show the possible flows of a change request from being created to being **Activated**, **Recalled** or **Rejected** 

Each transition represents an Action button that can appear in the Change Request. The permissions a user has determines what Actions the user sees at each state in the workflow. The table below gives some examples:

Change Request	Current State	Action	Required Permission
New User Registration	Waiting for RE Admin to Verify	Approve	RE Admin Approve new Person Change Request
Change Existing User	Waiting for Supervisory Body to Approve	Finalise	Sup Body Finalise change Person Change Request
New Entity Registration	Waiting for Supervisory Body to Approve	Finalise	Sup Body Finalise new Entity Change Request
Change Existing Entity	Waiting for <b>FIU</b> to Approve	Reject	FIU Reject change Entity Change Request

Table 1 - Change Request Workflow permission examples



2.4.4.1 User Change Request Workflow





2.4.4.2 Organisation Change Request Workflow





# 3 New Web Report Forms

# 3.1 Activating the New Web Report forms

By default, after an upgrade the New Web Forms are **not** enabled. For all new installations after 4.6.0.0 the New Web Forms **are** enabled.

To activate the New Web Forms open the following grid Admin > Settings > Site Configuration and set the value of EnableNewWebForms to Y

EnableNewWebForms	Y	Y or N	

It is always advisable to restart IIS after making any changes to the site settings.

# 3.2 Creating a Web Report

Manual web reports can be created by opening the menu item **New Reports > Web Reports** from the main menu.

Before a report can be created the report type must be selected as different report types have different fields and layouts. In particular each report type is either a **Transactions** Report or and **Activity Report**. Select the required report type, for example **STR** as shown in the image below and then select **Create Report** 



Figure 1



# 3.3 Report Main Page

### 3.3.1 Report Main Page Tab

The Web Report Form is split into two main areas. On the left is the Navigation panel that allows the user to jump to different areas of the report and to see which areas are still missing or have invalid information. The image below is an example of how the navigation panel is shown for a new Transactions web report.

Report ID: 3236-0-0	🗸 🕒 🖶 🚿
Attachments	
Indicators	
Transactions	
E	

Figure 2

The **Report Tab** in the Navigation Panel is selected by default and is the Report Main Page. In this tab is the report ID and the actions that can be associated with a report.

The **Red** bar on the left of a tab indicates that the data for that tab is incomplete or invalid. Also, for the Report tab, the bar is also red if ANY of the other sections below are red. All of the red bars must be green for the report to be submitted. Tabs without a red or green bar are optional.

Report ID: 3236-0-0	
NRF 27	
Figure 3	

Once the whole report is complete and valid the bar on the left of the Report tab will appear green as shown below.





#### The actions on the **Report Tab** are

	Undo Delete		
Ċ	This is only shown after a <b>Delete</b> operation. When clicked the deleted object will be restored.		
	Save		
	Saves the report. This can be done at any time and allows the user to reload the report in its current state to be completed later.		
	Print Preview		
Ð	This opens the report in a new tab in a print ready format. If there are changes made in the report form since the report was last saved the button will be disabled. Once the report is saved it will be enabled again. This is because the preview shows the report that was last saved, so that there is no discrepancy between what is shown in the form and what is shown in the preview.		
	Submit		
	Once the form is complete and valid the bars on the right of each tab will appear green and the submit button will be enabled.		
	Clicking the submit button will show the dialogue below		
1	Submit Report ×		
<i>4</i> 1	Once the form is submitted it will be locked for editing, do you want to proceed?		
	No Yes		
	Once the form is submitted it will not be possible to edit or re-submit the report. Selecting yes will submit the report and return the user to the report type selection screen, The report will now be available in <b>Submitted Reports</b> grid.		

### 3.3.2 Report Main Page Form

The Report Main page shows the Report Headers, the Reporting Person and the Location sections of the Report. The report type is displayed at the top and underneath the Local **Currency Code** as determined by the site wide setting, the **Reporting Entity** and **Reporting Entity ID** are for the RE that the user is logged in as and the **Report ID** for the current report.



ocal Currency Code: ZAR	Reporting Entity: JohnSmithBank		Entity ID: 101	Report ID: 3239-0-0
Reporting Entity Branch	Reporting Entity Reference	* Reference Date 11/21/2019		FIU Reference
ason				
ction				
✓ Reporting Person				Load current u
itle	* First Name	* Last Name		Email
itle	* First Name John	* Last Name Smith		Email johnsmithbank@goaml.com
itle iender	<ul> <li>First Name</li> <li>John</li> <li>Birth Date</li> <li>11/9/2000</li> </ul>	• Last Name Smith SSN		Email johnsmithbank@goaml.com Nationality 1
ïtle Sender Occupation	<ul> <li>First Name</li> <li>John</li> <li>Birth Date</li> <li>11/9/2000</li> <li>Passport Number</li> </ul>	Last Name     Smith     SSN     Passport Country	٣	Email johnsmithbank@goaml.com Nationality 1
itte iender Cccupation Cccupation Cccupation	<ul> <li>First Name John</li> <li>Birth Date</li> <li>11/9/2000</li> <li>Passport Number</li> </ul>	Last Name     Smith     SSN     Passport Country	Ÿ	Email johnsmithbank@goaml.com Nationality 1
itte iender iccupation V Location Type	<ul> <li>First Name John         <ul> <li>Birth Date</li> <li>11/9/2000</li> <li>Passport Number</li> <li>Address</li> </ul> </li> </ul>	Last Name     Smith     SSN     Passport Country     Town	Y	Email johnsmithbank@goaml.com Nationality 1
itte iender iccupation V Location Type Operational	<ul> <li>First Name         John         <ul> <li>Birth Date</li> <li>11/9/2000</li> <li>Passport Number</li> <li>Address</li> <li>123 Hill Road</li> </ul> </li> </ul>	Last Name     Smith     SSN     Passport Country     Town	Y	Email johnsmithbank@goaml.com Nationality 1 • Gity Bristol
itte iender Ccupation Ccupation V Location Type Operational ip	<ul> <li>First Name         John         <ul> <li>Birth Date</li> <li>11/9/2000</li> <li>Passport Number</li> <li>Address</li> <li>123 Hill Road</li> <li>Country</li> </ul> </li> </ul>	Last Name     Smith     SSN     Passport Country     Town     State	Ŷ	Email johnsmithbank@goaml.com Nationality 1 • City Bristol

Figure 5

#### 3.3.2.1 Reporting Person

When a form is first loaded, the **Reporting Person** section is auto-populated with the details of the user you are logged in as

This person object cannot be edited in the same way that other person objects can be. Once the form is saved, the reporting person will stay the same

If another user opens the form, it is not automatically overridden by that user.

However, if you want to change the reporting person details with your own details. Or if you have updated the details that you want reflected in the saved report, click on the **Load Current User** button in the top right of the **Reporting Person** collection.

A confirmation dialog will be displayed asking if you wish to replace this person object with the details of the current user.



Load current user	×	
Do you wish to replace the existing Reporting Person details with those of the current user: johnsmithbank		
No Yes		
Figure 6		

Select **Yes** to make the replacement.

### 3.4 Attachments

#### 3.4.1 Attachments Tab

Selecting the attachments tab will show the attachments upload form. The total number of attachments uploaded to the report is shown in a badge next to the **Attachments** header.



### 3.4.2 Attachments Form

The attachments form displays a list of the attachments that have been uploaded for the report. Each attachment can be deleted by clicking the <sup>th</sup> button and new attachments can be uploaded by clicking the <sup>th</sup> button in the top right of the form.



Attachments			+
File Name	File Size		
_tx_test_2.xml	424		*
_NewDate.xml	1511	<b></b>	
_tx_test_1.xml	479		-

Figure 8

# 3.5 Indicators

### 3.5.1 Indicators Tab

Selecting the indicators tab will show the indicators selection form. The total number of indicators that have been selected for the report is shown in a badge next to the **Indicators** header.

Indicators 2
Figure 9

### 3.5.2 Indicators Form

The indicators form allows the navigation, selection and deletion of Report Indicators associated with the report. To select an indicator, check the box on the left of the indicators code in the main list. For example in the image below, codes **DRUG** and **TAX** have been checked.

Ir	ndicators				
	DRU	IG X TAX X			
		Code †	Indicator		
		Ţ	Y		
		AML	Money Laundering		
		DRUG	Drug Smuggling		
		ТАХ	Tax Evation		
		TERR	Terrorism Financing		

Figure 10



The list at the top of the indicators form shows all the selected indicators at a glance. They can be removed as necessary by selecting the  $\mathbf{x}$  next to the code.

DRUG	×	TAX	×	TERR	×	

The list can be sorted alphabetically (forward A-Z or reverse Z-A) by code or by indicator. This is done by clicking next on the header. A blue arrow will be shown in the header that is sorted and the direction in which they are sorted. The image below shows the default sorting which is by code, forward A-Z.

Code †	Indicator
	Figure 11

The list can also be filtered by text that is in the code or indicator. The image below shows the list filtered to show all indicators whose code contains the text **ML** 

Code <sup>†</sup>		Indicator	
мЦ	× v		T
AML		Money Laundering	
		Finance 40	

Figure 12

# 3.6 Transactions

#### 3.6.1 Transactions List Tab

Selecting the Transactions List tab will show the list of Transactions in a grid containing the Transaction Number, Date, Amount and Transmode code for each transaction. The total number of Transactions in the report is shown in a badge next to the **Transactions** header and the total amount of all the values of the transactions in the report are shown on the right of the tab.

Transactions	2	<b>246</b> zar
	Figure 13	

The image below is an example of when the mouse pointer is hovered over the Transactions List Tab. This shows the actions that can be done on the transactions list.



The actions on the transactions list are:

	Expand / Callance
«	Expand or collapse the transaction trees in the navigator. When the trees are collapse there is only a tab for each transaction in the list under the Transactions List tab.
	Download all the transactions in the report
*	See the section below on uploading/downloading transactions
	Upload transactions
<u>*</u>	See the section below on uploading/downloading transactions
+	Create a new Bi-Party transaction
×	Create a new Multi-party transaction
	This button will not be visible for Report types that are configured to be <b>Force Bi-Party</b>

### 3.6.2 Transactions List

Transaction	IS					⊷ 🛛
Status	Number	Date	Local Amount	Transmode Code		
×	TRNWEB0819 21 NOV 19	11/8/2019	123	ATM	Ø	*
×	TRNWEB0820 21 NOV 19	11/7/2019	123	Remittance		Ţ



### 3.6.3 Transaction Tab

Selecting the Transaction tab the transaction form in the editor for that particular transaction. The indicator  $\stackrel{\leftarrow}{\rightarrow}$  or  $\stackrel{\otimes}{\sim}$  shows if the transaction is a Bi-Party or Multiparty and the transaction number and amount are also displayed.



♥ ↔ TRNWEB1167 25 NOV 19	34344 CHF
Figure 16	

When the mouse pointer is hovered over the transaction tab the actions to download or delete the transactions are displayed.



When a transaction is populated, a sub-Tab is created under the Transaction Tab for each **Account**, **Person** or **Entity** that is added to the transaction. The image below shows a Bi-Party transaction from and Account called *MyAccName* to a Person called *James Smith*. The account contains an Entity called *MyEntityName* which in turn contains director (which is a person object) called *MyDirectorName*. Each of these sub-tabs can be selected to navigate immediately to that object in the transaction.



~ >	Expand / Collapse
$\Rightarrow$	Bi-Party Transaction
×	Multi-Party Transaction
•	From
	То



•	Account (account name is shown as title)
	Entity (entity name is shown as title)
4	Person including Directors (first name and last name are shown as title)

### 3.6.4 Transaction Form

Once a transaction is added the Transaction form will be shown. An example of a Bi-Party transaction form is given below. The fields which are mandatory will be displayed in pink with a red outline and depend on how the schema is configured.

Transaction				
Number is required!	Internal Reference Number	Internal Reference Number		Transmode Comment
Local Amount is required! Teller	Date is required! M/d/yyyy authorized		Late Deposit?	Posting Date M/d/yyyy
Description is required! Comments				
From + 1 Acco	unt Account (My Client)	+ 4	Person (My Client)	+ 📃 Entity Entity (My Client)
To + O Acco + Goods and Services	unt Account (My Client)	+ 4	Person (My Client)	+ 🖪 Entity Entity (My Client)

Figure 19

Multi-party transactions appear the same except there is a section for **Involved Parties** as shown below instead of the **From** and **To** sections

	Invo	ve	d Pa	arties									
		+	Ø	Account	Account (My Client)	+	4	Person	Person (My Client)	+	Entity	Entity (My Client)	
L							Figu	ire 20					

To add a party to either the **From**, **To** or **Involved Parties** select one of the 6 buttons **Account**, **Account My Client**, **Person**, **Person My Client**, **Entity** or **Entity My Client** 



3.6.4.1 Fields

Mandatory fields a shown by a red asterisk next to the field name.

* Address	
Some Address	

If there are validation errors on the field the field is highlighted pink and the error is shown in place of the field name.

Address is required!						

Hovering the mouse pointer over the field name provide a Tooltip for the field. There may be extra information available here to determine what values should be entered.

First Name Tooltip	
* First Name	
James Smith	

Tooltips also show the error messages if there is not enough room to show them in the form.

Birth Date Tooltip	
* FirsThe date must not be later	
J <sub>an</sub> than the field: Date of Death	
The date must not be later than th	ie
11/1/2019	

Some fields are mutually exclusive, such as the **institution code** and **swift** in the Account object. Only one of them can be selected and is required. Use the radio buttons on the left of the field to activate the field before entering data.

Institution	Code is required!	* Swift
۲		0

Date fields depend on what culture is selected in the language selector at the top right of the application. For example the two images below show a date field for the **fr-FR** culture code when empty and filled out with 21<sup>st</sup> November 2019.



Date de la transaction is required!	* Date de la transaction	
dd/MM/yyyy	21/11/2019	m

The second two images below show the same date field but with the **en-US** culture code selected which shows a different placeholder with the date format when the field is empty.

Date is required!		* Date	
M/d/yyyy		11/21/2019	

#### 3.6.4.2 Collections

Some objects contain a collection of other objects, for example Figure 21 below shows some of the collections for a **Person** object.

Clicking on the + button on the left of the collection name adds another object to this collection. Once the maximum number of objects have been added the button is greyed out. In the image below the **Employer Address** button is greyed out because only a maximum of 1 object can be added. Where as the **Addresses** Collection button is still active even though there are 2 two objects already added as there is not limit on the objects for the Addresses collection. If there is a minimum of 1 object required in the collection then the object will be added automatically when the Person, Account or Entity is created. These minimum and maximums vary from system to system and are defined by the administrators.

÷	Employer Address	~			<b>3</b>
		Type is required!	Address is required!	Town	City is required!
		Zip	* Country SWITZERLAND	State	
		Comments			
					1.
+	Employer Phone				
+	Addresses	<b>∨</b> #1			<b>3</b>
		Type is required!	Address is required!	Town	City is required!
		Zip	* Country	State	
			SWITZERLAND •		
		Comments			
					li.
		<b>∨</b> #2			<b>3</b> 🗇
		Type is required!	Address is required!	Town	City is required!
		Zip	* Country	State	
		Comments	SWITZERLAND •		

Figure 21



#### 3.6.4.3 Reuse of objects

Several objects in the web form can be reused to prevent having to repeat filling out the data multiple times. The objects are **Account**, **Person**, **Entity** and **Address**. (and the associated '**My Client**' objects)

This is done by selecting the icon in the top right corner of a reusable object this will open a dialog, like the one shown below for **Persons** below.

Select		×
First Name	Last Name	Birth Date
John	Smith	
James	Smith	
		Select Cancel

Figure 22

Select a row for the object you wish to re-use and then select the **Select** button. The data from the object will be copied into the form from where the dialog was opened.

**N.B.** Once an object is re-used it is linked. This means that when an object is reused, any changes in either of those objects will be reflected in the other. So for example if a **Person** *John Smith* was re-used in several transactions in the form. If the last name was changed in one of those objects it will be reflected in all of the other instance. The headers of the reusable object are **NOT** copied or linked.

When adding a party to a Transaction the headers of the object are slightly different depending on where the party is being added to the transaction.

For example the three images below show a **Person** object added as a **From**, **To** and **Involved Party** respectively. The headers of the party are shown with a blue dotted line.

These headers are **NOT** copied across when an object is re-used and are specific to that particular party instance.



🕩 From - Person					۵ 🗈
Funds Code is required!	Funds Comment	Country			
	Y		•		
+ Foreign Currency					
+ Conductor					
Title	Gender	* First Name		* Last Name	
		▼ James		Smith	
Middle Name	Prefix	Birth Date		Birth Place	
		M/d/ana/	<u>eee</u>		

Figure 23

Funds Code is required!	Funds Comment	Country	Ŧ	
+ Foreign Currency	Goodor	* First Namo	* Last Namo	
nue	Gender	▼ John	Smith	
Middle Name	Prefix	Birth Date	Birth Place	
		NA /al /anna i	00	

			•		
Comments is required!					
Gender		* First Name		* Last Name	
	•	John		Smith	
Prefix		Birth Date		Birth Place	
	Gender Prefix	Gender Prefix	Gender First Name Prefix Birth Date	Gender • First Name John Prefix Birth Date	Gender  First Name John Smith Prefix Birth Date Birth Place

When objects are re-used, they are linked. There is a linked badge that is shown next to the object buttons along with a number that identifies how many other objects are linked to this one.

> Person	First Name John	Last Name Smith	Birth Date	<b>%</b> 3 🗂 🔟
> Person	First Name John	Last Name Smith	Birth Date	<b>%</b> 3 <mark>0</mark> ₪
> Person	First Name John	Last Name Smith	Birth Date	<b>6</b> 03 🗂 🗎



In the Navigation panel – selecting a re-used object also identifies which other objects are linked to that one. In the figure below, when the selecting the *John Smith* person, both *John Smith* person objects show an icon indicating there are linked.

V 🔀 New Transaction		
🗸 🛓 John Smith	Q <sub>O</sub>	
✓ X New Transaction		
🗸 🛔 James Smith		
✓ X New Transaction		
🗸 🛔 John Smith	00	

Figure 27

# 3.7 Activity Reports

Activity Reports are filled out in the same way as Transaction Reports and the objects in the navigator can be selected to jump directly to that object in the form. There are no actions on the Activity tab.

N.B. Activities cannot be downloaded or uploaded like transactions can.

Activity
✓ 💿 MyAccount
🗸 📃 MyEntity
Figure 28



Activity		
Report Parties	+ 🌢 Person	+ 🖪 Entity
+ Goods and Services		

Figure 29

# 3.8 Transactions Upload/Download

The goAML Web Form provides the ability to upload and download, full and partial transactions as XML files. This allows users to create and re-use templates that can speed up the manual entry of reports.

### 3.8.1 How to Download a Transactions

*Figure 30* shows a goAMLWeb report that has been partially completed. It contains a single multiparty transaction with an Account. It maybe required that the user wishes to submit several multiparty transactions that contain this account and will therefore want to download the transaction as it is so that it can be re-used as a template.

Any transactions can be downloaded, it is not necessary for a transaction to be valid or complete.

In order to download the transaction as XML, hover the mouse over the Transaction in the navigator pane on the left of the report and the download icon <sup>(2)</sup> will appear. Hovering over this will show the tooltip **Download Transaction (XML)** or the equivalent translation for the selected culture.

Clicking this button will download the transaction.



Report ID: 3058-0-0 🗸	Transaction			
Attachments	Number is required!	Internal Reference Number	* Transmode Code	Transmode Comment
Indicators	08		Electronic transaction 🔹	
Transactions 1 Download	Transaction (XML)	* Date	* Late Deposit? 🔲	
✓ X New Transaction		07/08/2019	Levelien	
	Teller	authorized	Location	
✓ I Adam123	Description			
	Comments			
	+ (1) Account Account	t (My Client) + 🌢 Perso	n Person (My Client)	Entity Entity (My Client)
	✓ Account			% <mark>0</mark> 🖻
	* Role	Funds code	* Country	Significance
	Payee / Sender 🔻	T	ANDORRA *	
	runds comment	Comments		
	+ Foreign Currency			
	* Account Number	Name	* Institution Name	Branch
	Adam123		Alpha Bank	
	Account_Non_Banking_Institution	* Institution Code	* Swift	Account Type
		ADWER2323	0	¥
	Status Codo	Curronay Codo	Bonoficiany	IRAN

Figure 30

*Figure 31* - Downloaded Transaction XML below shows the resulting XML that is downloaded. Only the fields that are provided in the report are given in the XML. Some fields that are mandatory, such as **transactionnumber** are also included, but are provided as an empty tag.



Figure 31 - Downloaded Transaction XML

Everything inside the <transaction> tags follow the structure of the goAML Schema.



The difference between the XML used to download/upload transactions and the schema is that the transactions are *wrapped* in the <reportdata> and <transactions> tags. This is because multiple transactions can be downloaded or uploaded at once, and so a root element is required (**reportdata**). The group element (**transactions**) is used so that the functionality can be extensible in the future to accommodate other groups of reusable objects such as Persons, Accounts and Entities.

The following XML example shows how multiple transactions will appear when downloaded.

<reportdata> <transa< th=""><th>ctions&gt;</th></transa<></reportdata>	ctions>
	<transaction></transaction>
	 <transaction></transaction>
<td>actions&gt;</td>	actions>

All transaction files that are downloaded can be used immediately for uploading as templates for new transactions.

*Figure 32* - Download All Transactions shows where to download all the transactions in the report. Hovering the mouse pointer over the **Transactions** header in the left navigator will display the button.

Attachments			
Indicators	Download All Transactions (XML)	Number is required!	Internal Reference Nu
Transactions <b>1</b>	▲ ± ↔ X	Local Amount is required!	* Date
🗸 🔀 New Transacti	on	Teller	07/08/2019 authorized

Figure 32 - Download All Transactions

### 3.8.2 How to Upload Transactions

The first thing to do before uploading transactions is to make sure that the XML is correct.

Each transaction should be inside a <transaction> tag and must follow the goAML schema structure, however it does not have to be valid, i.e. the data does not have to be complete or conform to the restrictions of the schema such as mandatory, min/max, decimal etc.

The transactions should then be placed inside <<u>reportdata</u>> and <<u>transactions</u>> tags as shown in Figure 33 below. It is also possible to upload each transaction individually in separate files however even a single transaction must be contained in these *wrapper* tags for it to be uploaded successfully.





Figure 33

Once the file is ready for upload, place the mouse over the **Transactions** header in the left hand navigator so that the **Upload Transactions(XML)** button is displayed as shown in Figure 34 and click it to open the file dialog.

Indicators	Upload Transactions (XML)	Local Currency Code: CHF	Repo
Transactions		Reporting Entity Branch is	Rep
		Reason is required!	
	Figure 34		

Select the file containing the transactions and click the Upload button as shown in Figure 35



stem	Import XML Transact	ions	×	(goa
SUBMITTED REPO				
	Select files			
	my_transactions.xml		×	
R	Clear	Upload	enc	e Date
L			3/2	2019
R				
	Fiau	re 35		

The file will be read and the transactions will be added to the report as shown in Figure 36.

Report ID: 3060-0-0 🗸 🖹 🖉	Comments			
Attachments	Involved Parties			l.
Transactions 2 0 CHF	+ 🖸 Account Account (	(My Client) + 🌢 Person	Person (My Client)	Entity Entity (My Client)
✓ ⊠ New Transaction				
✓	✓ Account			<b>∞</b> 🗘 🗎
✓ X New Transaction	* Role Payee / Sender	Funds code	ANDORRA T	Significance
✓	Funds comment	Comments		
-	+ Foreign Currency			
	* Account Number Adam123	Name	* Institution Name Alpha Bank	Branch

Figure 36

All transactions are added to the report as they are shown in the file. There is no processing on the report or file. For example, if there is an existing transaction in the report with the same number as one in the file, it will result in two transactions in the report with the same number. Any linking of accounts must also be done manually after the transactions have been uploaded.

When uploading a transaction, the system will validate the file and if there are any warnings that the XML is incomplete these will be shown as in the image below. However this is just for reference, or to allow you to make any changes and try again, you can still click **Continue** and the XML will be processed into the report.



TRINWEB1559.06 JUL	7/2/2021	CVCVC
The uploaded XML is incomp	lete or invalid.	×
cvc-complex-type.2.4.b: The content c complete. One of '{transactionnumber	of element 'transaction' is not '}' is expected.	
Cancel	Continue	

### 3.8.3 Linking of Accounts

After transactions have been uploaded, all objects such as Persons, Accounts and Entities are treated individually, that means that changing the data on one object will not change the data on any of the other objects even if they have the same data.

For Accounts, it is possible to link objects that share a matching **Account Key** so that any changes to one of those Account objects will be reflected in all others. The Account key is based on the *IBAN* ignoring other account information for matching. Lacking the IBAN a combination of *Account Number* + *Institution Name* + *Institution Code* or Swift makes up the account key. See "



Forms Customization

The New Registration and Report forms can be customized. This means that fields can be rearranged, hidden (if not mandatory) and forced to be mandatory. Dropdown lists can also be filtered to hide unnecessary items.

The Report Forms can be customized per Agency Type and Report Type. This means that a Reporting Entity of type **BANK** can see different layouts and fields when filling out different reports (e.g. **CTR**, **STR**) which in turn can be different from the **CTR**'s and **STR**'s that a Reporting Entity of type **Casino** will see.

The Registration Forms can be customized per Registration Type so that Reporting Entities, Supervisory Bodies and Stakeholders can have a different registration form.

The customizations are created via the Report Form Configurator. This is available to FIU users with the **Site Customization** permission under the menu item **Admin > Report Form Configurator** 

# 3.9 Template Sets

The customizations are created in **Template Sets** in the Report Form Configurator. By default, there are no template sets and the configurator will appear as the image below

F	Report Form Configurator						
	Create New Configuration						
		Name	Agency Type	Report Type	Description		
			No Saved C	Configurations			
						v	

Form Configurator 1

When there are no Template Sets the default mappings are used. The default mappings use the schema to determine which fields are mandatory and an internal predefined order for the fields (not necessarily the same as the order of the fields in the schema).

The example that will be used to describe the configuration will be for the **Address** template. The example schema type for **t\_address** that will be used is:





</xs:restriction> </r></r></r> </xs:element> <xs:element name="city"> <xs:simpleType> <xs:restriction base="xs:string">
<xs:restriction base="xs:string">
<xs:maxLength value="255" />
<xs:minLength value="1" /> </xs:restriction> </xs:simpleType> </xs:element>
<xs:element minOccurs="0" name="zip"> <xs:simpleType> </xs:simpleType> </r></r></r> </xs:element name="country\_code" type="country\_type" />
<xs:element minOccurs="0" name="state"> <xs:simpleType> <xs:restriction base="xs:string">
<xs:restriction base="xs:string">
<xs:minLength value="1" />
<xs:maxLength value="255" /> </rs:restriction> </xs:element>
<xs:element minOccurs="0" name="comments"> <xs:simpleType> xs:simple(ype> <xs:restriction base="xs:string"> <xs:millength value="0" /> <xs:maxLength value="4000" /> </xs:restriction> </xs:simpleType> </xs:element> </xs:sequence> </r></r></r>

Without any **Template Set**s created, the default view of the **Address** form, based in the schema type above is as shown in the image below.

+	Addresses	<b>∨</b> #1			<b>O</b>
		Type is required!	Address is required!	Town	City is required!
		Zip	* Country SWITZERLAND	State	
		Comments			

Form Configurator 2

3.9.1 Create a Template Set

To create a new Template Set click the Create New Configuration button

Create New Configuration					
	Name	Agency Type	Report Type	Description	
	MyFirstTemplateSet	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		Add Discard



Then provide a **Name** and select the **Agency Type** and **Report Type** mappings and if necessary a **Description**.

The **Agency Type** and **Report Type** are used to determine when this Template Set is used. Agency Type takes precedence. The table below shows how Template Sets are applied to reports.

Precedence	Agency Type	Report Type	When it is used
1	Defined (e.g. <b>BANK</b> )	Defined (e.g. <b>STR</b> )	Reporting Entity is type BANK is creating an STR report
2	Defined (e.g. <b>BANK</b> )	DEFAULT	There is no mapping above and the Reporting Entity is type <b>BANK</b>
3	DEFAULT	Defined (e.g. <b>STR</b> )	There is no mapping above and the Report type is <b>STR</b>
4	DEFAULT	DEFAULT	There is no mapping above (all other reports)
-	-	-	If there are no mappings for any of the above, the default system layout is used.
Special case	REGISTRATION	REGISTRATION	Special mapping for Registration and Change Request Templates.

Form Configurator 3 - Agency Type / Report Type mappings

Click Add. A new Template Set will be created that is ready for customizations.

	Name	Agency Type	Report Type	Description		
Edit Configuration 0 / 23	MyFirstTemplateSet	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		<mark>ර</mark> ි එ 💼	4

Select the **Edit Configuration** button to bring up the **Configuration Editor** dialog. The dialog is where the individual forms are customized for this particular mapping. The Agency Type and Report Type are displayed in the header and there is a **Form Selection** drop down box.



Configuration Editor	Agency Type DEFAULT (All Agency Types)	Report Type DEFAULT (All Report Types)	×
Select a form section			
	No Form Section selected		

#### 3.9.1.1 Registration and Change Request Template Set

When creating or editing a Tempalte Set, if the Agency Type or Report Type is set to **REGISTRATION** both the Agency Type and Report Type will be set to this value:

	Registration	REGISTRATION	•	REGISTRATION	•		Add	Discard
L						//		

This is a special case for the Registration and Change Request Form sections.

When the Form Configurator dialog is opened the Form Section drop down box will show a different set of options that are only for the Registration and Change Request Forms

Configuration Editor	Agency Type REGISTRATION	Report Type REGISTRATION	□ ×
Select a form section REGISTRATION - Registration_Person REGISTRATION - Reporting Entity REGISTRATION - Supervisory Body REGISTRATION - Stakeholder REGISTRATION - Stakeholder REGISTRATION - Address REGISTRATION - Phone	No Form Sectio	n selected	

Form Configurator 4

### 3.9.2 Indicators

Selecting **Indicators** from the Form Selection drop down will bring up a table showing all the available indicators and all of them will be selected by default.



Cor	figuration Editor	Agency Type DEFAULT (All Agency Types)	Report Type DEFAULT (All Report Types)		×
Inc	dicators 🔹 Sav				
	Code †	Indicator			
	Ţ			Ŧ	
	001	Account Statement Attached			
	002	Account Opening Docs Attached			
	AML	Money Laundering			
	DRUG	Drug Smuggling			
	QATEST1	QATEST1			
	QATEST2	QATEST2			
	QATEST3	QATEST3			
	TAX	Tax Evation			
	TERR	Terrorism Financing			Ŧ

Form Configurator 5

If there are indicators that you do not want to show for the current Template Set, simply unselect the indicators and click **Save** 

Conf	ïguration Editor	Agency Type DEFAULT (All Agency Types)	Report Type DEFAULT (All Report Types)		×
Indi	cators Sav	2			
	Code †	Indicator			
	T			Ŧ	
	001	Account Statement Attached			-
	002	Account Opening Docs Attached			
	AML	Money Laundering			
	DRUG	Drug Smuggling			
	QATEST1	QATEST1			
	QATEST2	QATEST2			
	QATEST3	QATEST3			
	TAX	Tax Evation			
	TERR	Terrorism Financing			Ŧ

Form Configurator 6

Now when a report is created that uses this Template Set the list of indicators will be filtered based on those saved in the configurator as shown in the image below.



CTR: 6227-0-0 🖺 🕒 🛠	1	ndi	cators	CTR - ENG	
Attachments	1.5				
Indicators					
Transactions					
		•.	Code †	Indicator	
			T		т
		•	001	Account Statement Attached	•
		•	AML	Money Laundering	
		•	ТАХ	Tax Evation	
		•	TERR	Terrorism Financing	

#### 3.9.3 Form Sections

Selecting a Form section other than Indicators shows the fields available for that section in the order that they will be shown in the web report. This example shows **Address** selected and is using the defaults based on the schema type given at the start of this section

Configuration Editor	Agency Type DEFAULT (All Agency Types)	Report Type DEFAULT (All Report Types)	□ ×
Address	Save Load Default		
address_type	t] [text] address	[text] town Force Mandatory Hide	[text]
[te:	t] [select] country_code	[text] state Force Mandatory Hide Force Mandatory Hide	[textarea]

Form Configurator 8

The following buttons are available:

- Save saves the Form Section configuration for the current Template Set
- Load Default loads default configuration for the current Form Section
- **Undo** (only visible after an unsaved change has been made) Loads the previously saved configuration for this Form Section.

|--|

3.9.3.1 Ordering

Form Configurator 7



Fields can be dragged and dropped to change the order that they appear in the report. It is necessary to save after any changes have been made.

Configuration Edi	tor	Agency Type <b>DEFAULT (Al</b>	l Agency Types)	Report Type DEFAULT (All	Report T	ypes)	□ ×
Address	•	Save Load Defa	ult				
address addres	[text]	address_type	[select]	<b>OWN</b> ] Force Mandatory 🗌 Hide	[text]	city	[text]
zip	lide	country_code	[select]	<b>tate</b> ] Force Mandatory 🗌 Hide	[text]	<b>comments</b> Force Mandatory Hide	[textarea]

#### Form Configurator 9

#### 3.9.3.2 Hide

Fields that are not mandatory in the schema can be hidden so that they do not show in the report.

ect]	town Force Mandatory V Hide	[text]	ac
ext]		[text]	
	Form Configurator 10		

#### 3.9.3.3 Force Mandatory

Fields that are not mandatory in the schema can be *Forced Mandatory* so that they appear as required in the report.



Form Configurator 11



#### 3.9.3.4 Past Date

Some Date fields are enforced to be in the *Past Only*. This means that the UI will not allow the user to select a date in the future for this field. This can be overridden (to allow future dates) by unchecking the **Past Date** checkbox

_						
e]		[date]				
		closed				
		ciosed				
		🗌 Force Mandatory 🔲 Hide 🗹 Past Date				
-1		[toytaroa]				
Form Configurator 12						

3.9.3.5 Lookup Filter

Fields that are associated with a lookup table can have their values filtered so they only show certain values per Template Set.



Form Configurator 13

3.9.3.6 Example

The following images show an example of a saved configuration and how it is shown in the report.



Configuration Editor		Agency Type DEFAULT (All Agency Ty)	pes)	Report <b>DEFA</b>	Type ULT (All Report T	ypes)	□ ×
Address	•	Save Load Default					
address_type	ect]	[te town Force Mandatory V Hide	ext]	address	[text]	city	[text]
zip	ext]	[te state Force Mandatory Hide	ext]	country_code	[select]	<b>comments</b> Force Mandatory Hide	[textarea]

#### Form Configurator 14

+ Addresses	<b>∨</b> #1			<b>3</b> 🖻
	Type is required!	Address is required!	City is required!	Zip
	Private Type 5	* Country SWITZERLAND Y		
	F	Form Configurator 15		

#### 3.9.4 Managing Template Sets

Customizing the Reports can become inherently complex as the combination of template sets, form sections and configurations can become very large very quickly.

The number how many Form Sections have customizations (that is how many are different from the default values) is shown next to the **Edit Configuration** button



These Form Sections are highlighted in the **Form Section** drop down list in the Configuration Editor

Safe money for a Secure Market					
Select a form section					
Indicators					
Account					
Account My Client					
Address					
Entity					
Entity My Client					
Foreign Currency					
From					
From My Client					
Identification					
Form Configurator 17					

#### 3.9.4.1 Copy Template Sets

The copy template button allows the user to create a direct clone of the current configuration



This will create a new Template Set that contains all the Form Section configurations of the source Template Set. The Agency Type/Report Type will need to be changed so that it is not the same as the source otherwise it cannot be saved.

	Name	Agency Type	Report Type	Description	
This will copy the configuration from: <b>MyFirstTemplateSet</b>	MyFirstTemplateSet (	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		Add Discard
Edit Configuration 2/23	MyFirstTemplateSet	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		☑ ④ ■

The new template set will have the same number of customizations in the **Edit Configuration** badge and can now be customized separately.

	Name	Agency Type	Report Type	Description	
Edit Configuration 2/23	MyFirstTemplateSet (COPY)	Police Region	DEFAULT (All Report Types)		C 2 🗎
Edit Configuration 2/23	MyFirstTemplateSet	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		<b>2</b> 4 =



### Account matching logic" for examples.

For example:

Indicators	-			Link Accounts
Transactions 3 0 ZAR				Tooltip
	From - Account			ର 🙃 💼
	* Funds Code	Funds Comment	* Country	
✓	UNKNOWN	•	NETHERLANDS	•
	+ Foreign Curre	ency		
✓ 🗭 💷 Adam123	* Account Number	Name	Institution Name	Branch
	Adam123			
✓ ↔ New Transaction	Account_Non_Banking_	Institution* Institution Code	* Swift	Account Type
✓ ● ③ Sarah123		Adam123	0	Ŧ
	Status Code	Currency Code	Beneficiary	IBAN



In Figure 37 there are three uploaded transactions each with an Account. The first two Accounts have the same Account number **Adam123**. The first account is selected and highlighted in the editor.

By clicking on the **Link Accounts** button of the first account, all the information of the first account will be copied to the second account (and any other accounts that have this number). After this any change to either of these accounts will be reflected in the other. The account **Sarah123** is not affected.

The green box in Figure 38 shows the areas that contain the linked account data. The red boxes show **From** and **Foreign Currency** objects which are not part of the **Account** object and are therefore not linked.

🗭 From - Account			% 🗘 💼
* Funds Code	Funds Comment	* Country	
UNKNOWN •		NETHERLANDS *	
+ Foreign Currency			
* Account Number	Name	Institution Name	Branch
Adam123			
Account_Non_Banking_Institu	ition* Institution Code	* Swift	Account Type
	Adam1236		•
Status Code	Currency Code	Beneficiary	IBAN
•	•		
Client Number	Opened	Closed	Balance
	M/d/yyyy 🛗	M/d/yyyy	
Date of Balance	Beneficiary Comment	Comments	
M/d/yyyy 🛗			
+ Entity			
+ Signatory(ies)			

Figure 38



# 4 Forms Customization

The New Registration and Report forms can be customized. This means that fields can be rearranged, hidden (if not mandatory) and forced to be mandatory. Dropdown lists can also be filtered to hide unnecessary items.

The Report Forms can be customized per Agency Type and Report Type. This means that a Reporting Entity of type **BANK** can see different layouts and fields when filling out different reports (e.g. **CTR**, **STR**) which in turn can be different from the **CTR**'s and **STR**'s that a Reporting Entity of type **Casino** will see.

The Registration Forms can be customized per Registration Type so that Reporting Entities, Supervisory Bodies and Stakeholders can have a different registration form.

The customizations are created via the Report Form Configurator. This is available to FIU users with the **Site Customization** permission under the menu item **Admin > Report Form Configurator** 

# 4.1 Template Sets

The customizations are created in **Template Sets** in the Report Form Configurator. By default, there are no template sets and the configurator will appear as the image below

Report Form Configurator						
Create New Configuration						
	Name	Agency Type	Report Type	Description		
					*	
	No Saved Configurations					
					×	

Form Configurator 1

When there are no Template Sets the default mappings are used. The default mappings use the schema to determine which fields are mandatory and an internal predefined order for the fields (not necessarily the same as the order of the fields in the schema).

The example that will be used to describe the configuration will be for the **Address** template. The example schema type for **t\_address** that will be used is:

<xs:complexType name="t address"> <xs:sequence> <xs:element name="address\_type" type="contact\_type" /> <xs:element name="address"</pre> <xs:maxLength value="100"
<xs:minLength value="1" /> </rs:restriction> </rs:simpleType> </xs:element> <xs:element minOccurs="0" name="town">



<xs:simpleType> </r> </r></r></r></r></r> </xs:element>
<xs:element name="city">
<xs:element name="city">
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:restriction base="xs:string">
<xs:restriction base="xs:string">
<xs:restriction base="xs:string">
<xs:restriction base="xs:string">
</xs:restriction base="xs:string"</xs:restriction base="xs:string">
</xs:restriction base="xs:string">
</xs:restriction base="xs:string"</xs:restriction base="xs:string">
</xs:restriction base="xs:string"</xs:restriction base="xs:string"</xs:restriction base="xs:string"</xs:restriction base="xs:string"</xs:restriction base="xs:string"</xs:restriction base="xs:string"</xs:restriction base="xs:string"</p> </xs:restriction> </xs:simpleType> </r></r> <xs:element minOccurs="0" name="zip"> </rs:restriction> </r></r></r></r></r> <xs:element name="country\_code" type="country\_type" />
<xs:element minOccurs="0" name="state"> </rs:restriction> </rs:simpleType> </xs:element>
<xs:element minOccurs="0" name="comments"> </r></r></r> </r></r></r> </xs:sequence> </xs:complexType>

Without any **Template Sets** created, the default view of the **Address** form, based in the schema type above is as shown in the image below.

+	Addresses	<b>∨</b> #1			<b>O</b>
		Type is required!	Address is required!	Town	City is required!
		Zip	* Country SWITZERLAND	State	
		Comments			
					//

Form Configurator 2

4.1.1 Create a Template Set

To create a new Template Set click the **Create New Configuration** button

Create New Configuration					
	Name	Agency Type	Report Type	Description	
	MyFirstTemplateSet	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		Add Discard



Then provide a **Name** and select the **Agency Type** and **Report Type** mappings and if necessary a **Description**.

The **Agency Type** and **Report Type** are used to determine when this Template Set is used. Agency Type takes precedence. The table below shows how Template Sets are applied to reports.

Precedence	Agency Type	Report Type	When it is used
1	Defined (e.g. <b>BANK</b> )	Defined (e.g. <b>STR</b> )	Reporting Entity is type <b>BANK</b> is creating an <b>STR</b> report
2	Defined (e.g. <b>BANK</b> )	DEFAULT	There is no mapping above and the Reporting Entity is type <b>BANK</b>
3	DEFAULT	Defined (e.g. <b>STR</b> )	There is no mapping above and the Report type is <b>STR</b>
4	DEFAULT	DEFAULT	There is no mapping above (all other reports)
-	-	-	If there are no mappings for any of the above, the default system layout is used.
Special case	REGISTRATION	REGISTRATION	Special mapping for Registration and Change Request Templates.

Form Configurator 3 - Agency Type / Report Type mappings

Click Add. A new Template Set will be created that is ready for customizations.

	Name	Agency Type	Report Type	Description		
Edit Configuration 0 / 23	MyFirstTemplateSet	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		🕜 එ 💼	4

Select the **Edit Configuration** button to bring up the **Configuration Editor** dialog. The dialog is where the individual forms are customized for this particular mapping. The Agency Type and Report Type are displayed in the header and there is a **Form Selection** drop down box.



Configuration Editor	Agency Type DEFAULT (All Agency Types)	Report Type DEFAULT (All Report Types)	×
Select a form section			
	No Form Section selected		

#### 4.1.1.1 Registration and Change Request Template Set

When creating or editing a Tempalte Set, if the Agency Type or Report Type is set to **REGISTRATION** both the Agency Type and Report Type will be set to this value:

	Registration	REGISTRATION	•	REGISTRATION	•		Add	Discard
L						//		

This is a special case for the Registration and Change Request Form sections.

When the Form Configurator dialog is opened the Form Section drop down box will show a different set of options that are only for the Registration and Change Request Forms

Configuration Editor	Agency Type REGISTRATION	Report Type REGISTRATION	□ ×
Select a form section REGISTRATION - Registration_Person REGISTRATION - Reporting Entity REGISTRATION - Supervisory Body REGISTRATION - Stakeholder REGISTRATION - Stakeholder REGISTRATION - Address REGISTRATION - Phone	No Form Sectio	n selected	

Form Configurator 4

### 4.1.2 Indicators

Selecting **Indicators** from the Form Selection drop down will bring up a table showing all the available indicators and all of them will be selected by default.



Cor	figuration Editor	Agency Type DEFAULT (All Agency Types)	Report Type DEFAULT (All Report Types)	I	×
Inc	licators Save	2			
	Code †	Indicator			
	T			Ŧ	
	001	Account Statement Attached			
	002	Account Opening Docs Attached			
	AML	Money Laundering			
	DRUG	Drug Smuggling			
	QATEST1	QATEST1			
	QATEST2	QATEST2			
	QATEST3	QATEST3			
	ТАХ	Tax Evation			
	TERR	Terrorism Financing			Ŧ

Form Configurator 5

If there are indicators that you do not want to show for the current Template Set, simply unselect the indicators and click **Save** 

Cont	figuration Editor	Agency Type DEFAULT (All Agency Types)	Report Type DEFAULT (All Report Types)		×
Indi	cators Sav				
	Code †	Indicator			
	T			T	
	001	Account Statement Attached			-
	002	Account Opening Docs Attached			
	AML	Money Laundering			
	DRUG	Drug Smuggling			
	QATEST1	QATEST1			
	QATEST2	QATEST2			
	QATEST3	QATEST3			
	ТАХ	Tax Evation			
	TERR	Terrorism Financing			•

Form Configurator 6

Now when a report is created that uses this Template Set the list of indicators will be filtered based on those saved in the configurator as shown in the image below.



CTR: 6227-0-0 🖺 🕒 🛠	1	ndi	cators	CTR - ENG	
Attachments	1.5				
Indicators					
Transactions					
		•.	Code †	Indicator	
			T		Τ
		•	001	Account Statement Attached	•
		•	AML	Money Laundering	
		•	ТАХ	Tax Evation	
		•	TERR	Terrorism Financing	

Form Configurator 7	,
---------------------	---

#### 4.1.3 Form Sections

Selecting a Form section other than Indicators shows the fields available for that section in the order that they will be shown in the web report. This example shows **Address** selected and is using the defaults based on the schema type given at the start of this section

Configuration Editor	Agency Type DEFAULT (All Agency Types)	Report Type DEFAULT (All Report Types)	□ ×
Address	Save Load Default		
address_type	t] [text] address	[text] town Force Mandatory Hide	[text]
[te:	t] [select] country_code	[text] state Force Mandatory Hide Force Mandatory Hide	[textarea]

Form Configurator 8

The following buttons are available:

- Save saves the Form Section configuration for the current Template Set
- Load Default loads default configuration for the current Form Section
- **Undo** (only visible after an unsaved change has been made) Loads the previously saved configuration for this Form Section.

|--|

4.1.3.1 Ordering



Fields can be dragged and dropped to change the order that they appear in the report. It is necessary to save after any changes have been made.

Configura	tion Editor		Agency Type DEFAULT (All Agency Ty	/pes)	Report Type <b>DEFAULT (Al</b>	l Report T	ypes)	n ×	
Address		•	Save Load Default						
address	address	[text]	address type	lect]	town	[text]	city	[text	t]
zip	datory 🗌 Hide		country_code	lect]	<b>state</b> Force Mandatory Hide	[text]	<b>comments</b> Force Mandatory Hide	[textarea	3]

#### Form Configurator 9

#### 4.1.3.2 Hide

Fields that are not mandatory in the schema can be hidden so that they do not show in the report.

ect]	town Force Mandatory V Hide	[text]	ac
ext]		[text]	
	Form Configurator 10		

#### 4.1.3.3 Force Mandatory

Fields that are not mandatory in the schema can be *Forced Mandatory* so that they appear as required in the report.



Form Configurator 11



#### 4.1.3.4 Past Date

Some Date fields are enforced to be in the *Past Only*. This means that the UI will not allow the user to select a date in the future for this field. This can be overridden (to allow future dates) by unchecking the **Past Date** checkbox

_					
e]		[date]			
		closed			
		ciosed			
		🗌 Force Mandatory 🗌 Hide 🗹 Past Date			
-1		[toytaroa]			
Form Configurator 12					

4.1.3.5 Lookup Filter

Fields that are associated with a lookup table can have their values filtered so they only show certain values per Template Set.



Form Configurator 13

4.1.3.6 Example

The following images show an example of a saved configuration and how it is shown in the report.



Configuration Editor		Agency Type DEFAULT (All Agency Ty	pes)	Report DEFA	Type ULT (All Report T	ypes)	□ ×
Address	•	Save Load Default					
address_type	ect]	[town Force Mandatory V Hide	ext]	address	[text]	city	[text]
zip	ext]	[tt state Force Mandatory	ext]	country_code	[select]	<b>comments</b> Force Mandatory Hide	[textarea]

#### Form Configurator 14

+	Addresses	<b>∨</b> #1			[	<b>⇔</b>
		Type is required! Business Other Private Type 5 Comments	Address is required! * Country SWITZERLAND ~	City is required!	Zip	1
		-				

#### Form Configurator 15

### 4.1.4 Managing Template Sets

Customizing the Reports can become inherently complex as the combination of template sets, form sections and configurations can become very large very quickly.

The number how many Form Sections have customizations (that is how many are different from the default values) is shown next to the **Edit Configuration** button



These Form Sections are highlighted in the **Form Section** drop down list in the Configuration Editor

Authority Safe money for a Secure Market					
Select a form section					
Indicators					
Account					
Account My Client					
Address					
Entity					
Entity My Client					
Foreign Currency					
From					
From My Client					
Identification					
Form Configurator 17					

#### 4.1.4.1 Copy Template Sets

The copy template button allows the user to create a direct clone of the current configuration



This will create a new Template Set that contains all the Form Section configurations of the source Template Set. The Agency Type/Report Type will need to be changed so that it is not the same as the source otherwise it cannot be saved.

	Name	Agency Type	Report Type	Description	
This will copy the configuration from: <b>MyFirstTemplateSet</b>	MyFirstTemplateSet (	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		Add Discard
Edit Configuration 2/23	MyFirstTemplateSet	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		☑ ④ ■

The new template set will have the same number of customizations in the **Edit Configuration** badge and can now be customized separately.

	Name	Agency Type	Report Type	Description	
Edit Configuration 2/23	MyFirstTemplateSet (COPY)	Police Region	DEFAULT (All Report Types)		C 2 🗎
Edit Configuration 2/23	MyFirstTemplateSet	DEFAULT (All Agency Types)	DEFAULT (All Report Types)		<b>2</b> 4 =



# Appendix I. Account matching logic

Ideal account matching based on the IBAN	1	result
IBAN: DE91 1000 0000 0123 4567 89	IBAN: DE91 1000 0000 0123 4567 89	Match
Account Number: 11111	Account Number: 11111	
Institution Name: BankA	Institution Name: BankA	
IBAN: DE91 1000 0000 0123 4567 89	IBAN: DE91 1000 0000 0123 4567 89	Match
Account Number: 11111	Account Number: 22222	
Institution Name: BankA	Institution Name: BankB	
IBAN: DE91 1000 0000 0123 4567 89	IBAN: DE91 1000 0000 0123 4567 89	Match
Account Number: 11111	Account Number: 22222	
Institution Name: BankA	Institution Name: BankB	
Institution Code: BABA	Institution Code: BABC	
Fallback account matching based on comb	ination of account data	result
Account Number: 11111	Account Number: 11111	Match
Account Number: 11111	Account Number: 11111	Match
Institution Name: BankA	Institution Name: BankA	
Account Number: 11111	Account Number: 11111	Match
Institution Code: BABA	Institution Code: BABA	
Account Number: 11111	Account Number: 11111	Match
Swift: ABC	Swift: ABC	
Account Number: 11111	Account Number: 11111	Match
Institution Name: BankA	Institution Name: BankA	
Institution Code: BABA	Institution Code: BABA	
Account Number: 11111	Account Number: 11111	Match
Institution Name: BankA	Institution Name: BankA	
Institution Code: BABA	Institution Code: BABA	
Swift: ABC	Swift: XYZ	
Account Number: 11111	Account Number: 11111	Match
Institution Name: BankA	Institution Name: BankA	
Swift: ABC	Swift: ABC	
Account Number: 11111	Account Number: 11111	No match
Institution Name: BankA	Institution Name: BankA	
Swift: ABC	Swift: XYZ	
Account Number: 11111	Account Number: 11111	No match
Institution Name: BankA	Institution Name: BankA	
Institution Code: BABA	Institution Code: BABC	
Swift: ABC	Swift: ABC	
Account Number: 11111	Account Number: 11111	No match
Institution Name: BankA	Institution Name: BankB	
Swift: ABC	Swift: XYZ	
Account Number: 11111	Account Number: 11111	No match
Institution Name: BankA	Institution Name: BankB	
Account Number: 11111	Account Number: 22222	No match