



GO PORTFOLIO

goAML Web User Manual

<https://unite.un.org/goportfolio>



UNODC

United Nations Office on Drugs and Crime

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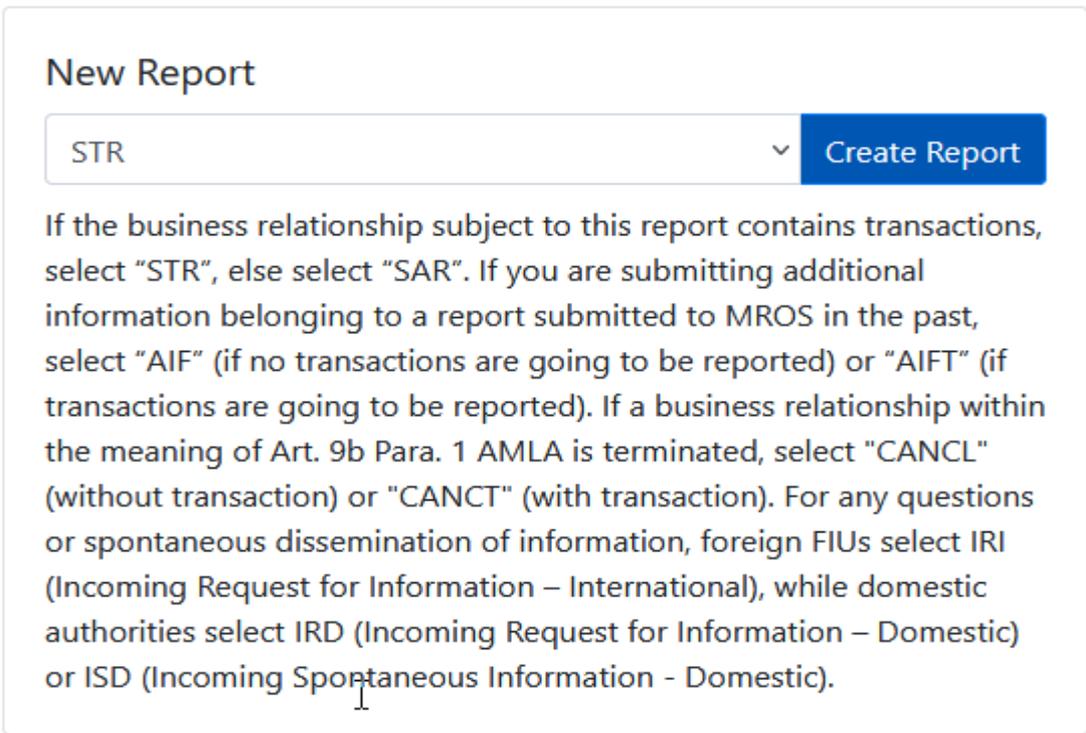
1 Web Report Forms

1.1 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**.

The report type can be changed after a report is created, see '[Switching Report Types](#)' below.



New Report

STR

If the business relationship subject to this report contains transactions, select "STR", else select "SAR". If you are submitting additional information belonging to a report submitted to MROS in the past, select "AIF" (if no transactions are going to be reported) or "AIFT" (if transactions are going to be reported). If a business relationship within the meaning of Art. 9b Para. 1 AMLA is terminated, select "CANCL" (without transaction) or "CANCT" (with transaction). For any questions or spontaneous dissemination of information, foreign FIUs select IRI (Incoming Request for Information – International), while domestic authorities select IRD (Incoming Request for Information – Domestic) or ISD (Incoming Spontaneous Information - Domestic).

Figure 1

1.2 Creating a Web Report from existing XML

Manual web reports can also be created by uploading partial or full XML reports that are in the same structure as determined by the goAML schema. The **report type** must exist in the XML so that the correct templates can be loaded for the manual report.

Dragging the XML to the **Create new report from XML** box or clicking **Select files...** to open the file selector will load the XML report into a new web report and assign it a new web report ID. The web report can now be edited, saved to draft and submitted as a normal web report.

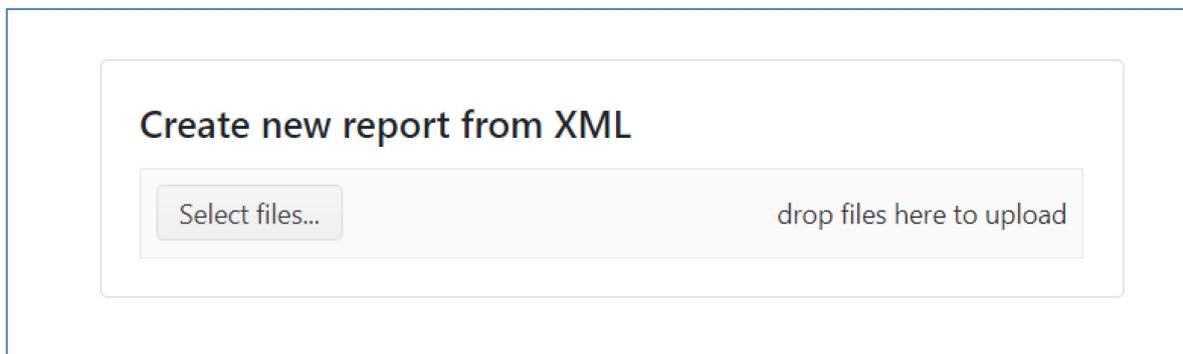


Figure 2

If the XML that is uploaded is either invalid or from a previous schema and has data in deprecated elements there will be there will be a dialog informing the user that the XML should be corrected upgraded.

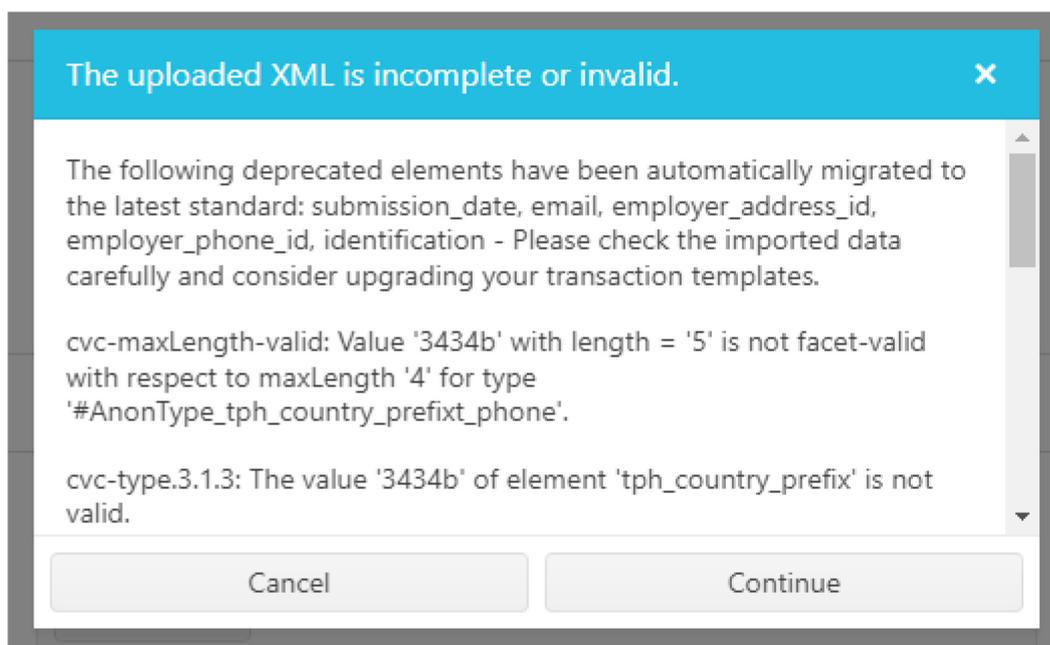


Figure 3

There will be a best effort to migrate the data in the deprecated elements to the new schema elements. The transformation that is applied is from the XLST that can be found in Appendix II

1.3 Report Main Page

1.3.1 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.

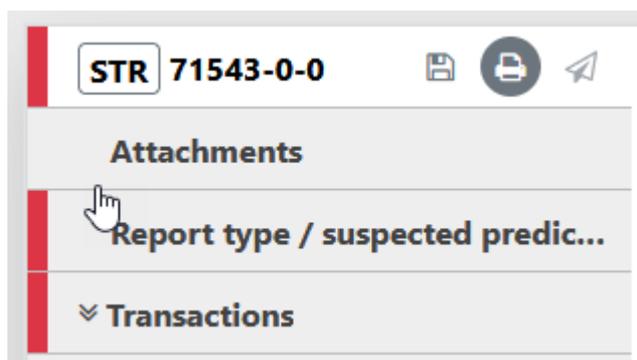


Figure 4

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 red too 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.



Figure 5

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



Figure 6

The actions on the **Report Tab** are

	<p>Undo Delete</p> <p>This is only shown after a Delete operation. When clicked the deleted object will be restored.</p>
	<p>Save</p> <p>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.</p>
	<p>Print Preview</p> <p>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.</p>
	<p>Submit</p> <p>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.</p> <p>Clicking the submit button will show the dialogue below</p> <div data-bbox="384 1111 986 1379" style="border: 1px solid gray; padding: 10px; margin: 10px 0;"> <p>Submit Report ×</p> <hr/> <p>Once the form is submitted it will be locked for editing, do you want to proceed?</p> <p style="text-align: center;"> <input type="button" value="No"/> <input type="button" value="Yes"/> </p> </div> <p>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 Submitted Reports grid.</p>

1.3.2 Switching Report Types

When a report is being edited, if the incorrect Report Type was used when the report was created either by creating a new Web Report or uploading and XML, the report type can be changed in the Web Report Editor. Hovering the cursor over the Report Type in the **Report Main Page Tab** shows the current report type translation.

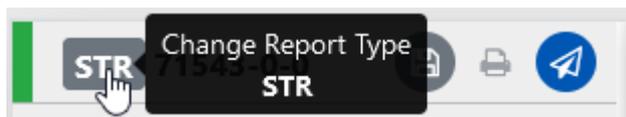


Figure 7

Clicking this button opens the **Change Report Type** dialog box

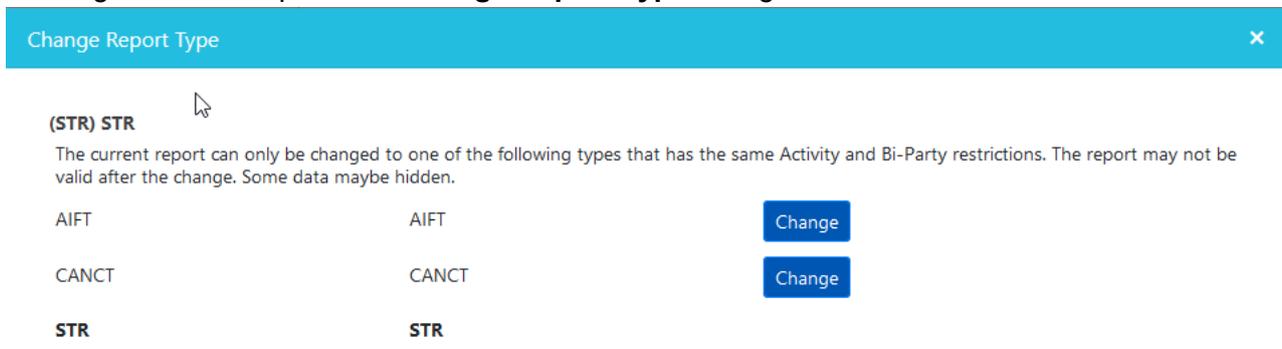


Figure 8

This dialog lists all of the report types that the current report can be changed to. This is a list of report types with same restrictions as the current report. For example, an Activity Report (SAR/AIF/CANCL) cannot be changed to a report type that contains transactions (STR/AIFT/CANCT) and vice versa.

Selecting a **change** button for one of the listed report types will reload the report page with the new report type. This will also load all of the templates for that report type (see Form Customization below).

1.3.3 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.

STR

Local Currency Code: CHF Reporting Entity: MROS (Financial Intelligence Unit) Reporting Entity: 1 Report ID: 71543-0-0

Reporting Entity Branch: Reporting Entity Reference: test-1 Report Date: 1/17/2024 Ref. No. MROS:

Previously Rejected Report Ref Number:

* Description of facts
 Test

* Reason for suspicion / what steps have been taken?
 Test

Address of reporting entity*

* Type: Business Address: Guisanplatz 1 City: Bern Zip: 3003

* Country: SWITZERLAND

Comments:

+ Additional Information

Figure 9

1.4 Attachments

1.4.1 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.



Figure 10

1.4.2 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 button and new attachments can be uploaded by clicking the button in the top right of the form.

Attachments		
File Name	File Size	
_tx_test_2.xml	424	
_NewDate.xml	1511	
_tx_test_1.xml	479	

Figure 11

1.5 Indicators

1.5.1 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.



Figure 12

1.5.2 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, one entry for each of the codes **M**, **V** and **G** have been checked.

Report type / suspected predicate offense(s) / factor(s) arousing suspicion / type of attachments ^{STR}

0001M ✕ 1006V ✕ 2026G ✕

Please select one "M"-category and at least one "V"- and one "G"-category. Also, select the attachments (category "B") that you will upload.

Select Indicators from the table below...

Code	Report type / suspected predicate offense(s) / factor(s) arousing suspicion / type of attachments
<input checked="" type="checkbox"/> 0001M	Art. 305ter para. 2 SCC
<input type="checkbox"/> 0002M	Art. 9 para. 1 letter a AMLA
<input type="checkbox"/> 0003M	Art. 9 para. 1 let. b AMLA
<input type="checkbox"/> 0004M	Art. 9 para. 1 letter c AMLA
<input type="checkbox"/> 0005M	Art. 16 para. 1 letter a AMLA
<input type="checkbox"/> 0006M	Art. 27 AMLA
<input type="checkbox"/> 0007M	Art. 7 FIAA

Figure 13

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 **x** next to the code.

0001M ✕ 1006V ✕ 2026G ✕ 3019B ✕ 3020B ✕

Figure 14

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 35

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 **M**

Report type / suspected predicate offense(s) / factor(s) arousing suspicion / type of attachments ^{STR}

0001M ✕

Please select one "M"-category and at least one "V"- and one "G"-category. Also, select the attachments (category "B") that you will upload.

Select Indicators from the table below...

Code	Report type / suspected predicate offense(s) / factor(s) arousing suspicion / type of attachments	Categories
<input checked="" type="checkbox"/> 0001M	Art. 305ter para. 2 SCC	Type of report
<input type="checkbox"/> 0002M	Art. 9 para. 1 letter a AMLA	Type of report
<input type="checkbox"/> 0003M	Art. 9 para. 1 let. b AMLA	Type of report
<input type="checkbox"/> 0004M	Art. 9 para. 1 letter c AMLA	Type of report
<input type="checkbox"/> 0005M	Art. 16 para. 1 letter a AMLA	Type of report
<input type="checkbox"/> 0006M	Art. 27 AMLA	Type of report
<input type="checkbox"/> 0007M	Art. 7 FIAA	Type of report

Figure 46

1.5.3 Indicators Categories

If indicators have been assigned to categories, then the **Categories** column will also be displayed in the indicators grid.

Please select one "M"-category and at least one "V"- and one "G"-category. Also, select the attachments (category "B") that you will upload.

Select Indicators from the table below...

<input type="checkbox"/>	Code ↑	Report type / suspected predicate offense(s) / factor(s) arousing suspicion / type of attachments	Categories
<input type="checkbox"/>	0001M	Art. 305ter para. 2 SCC	Type of report
<input type="checkbox"/>	0002M	Art. 9 para. 1 letter a AMLA	Type of report
<input type="checkbox"/>	0003M	Art. 9 para. 1 let. b AMLA	Type of report
<input type="checkbox"/>	0004M	Art. 9 para. 1 letter c AMLA	Type of report
<input type="checkbox"/>	0005M	Art. 16 para. 1 letter a AMLA	Type of report
<input type="checkbox"/>	0006M	Art. 27 AMLA	Type of report
<input type="checkbox"/>	0007M	Art. 7 FIAA	Type of report
<input type="checkbox"/>	0008M	Art. 9 para. 1bis AMLA (merchants)	Type of report

Figure 57

The **Categories** column can be filtered to only show indicators in a particular category by either selecting the category from the dropdown list or selecting the category name in one of the indicator rows.

Please select one "M"-category and at least one "V"- and one "G"-category. Also, select the attachments (category "B") that you will upload.

Select Indicators from the table below...

<input type="checkbox"/>	Code ↑	Report type / suspected predicate offense(s) / factor(s) arousing suspicion / type of attachments	Categories
<input type="checkbox"/>	1001V	Misappropriation (Art. 138 SCC)	Suspected predicate offense
<input type="checkbox"/>	1002V	Theft (Art. 139 SCC)	Suspected predicate offense
<input type="checkbox"/>	1003V	Unauthorised obtaining of data (Art. 143 SCC)	Suspected predicate offense
<input type="checkbox"/>	1004V	Fraud (Art. 146 SCC)	Suspected predicate offense
<input type="checkbox"/>	1005V	Computer fraud (Art. 147 SCC)	Suspected predicate offense
<input type="checkbox"/>	1006V	Counterfeiting of goods (Art. 155 para. 2 SCC)	Suspected predicate offense
<input type="checkbox"/>	1007V	Extortion (Art. 156 SCC)	Suspected predicate offense
<input type="checkbox"/>	1008V	Criminal mismanagement (Art. 158 no 1 and 2 SCC)	Suspected predicate offense
<input type="checkbox"/>	1009V	Trafficking in human beings (Art. 182 SCC)	Suspected predicate offense

Figure 68

1.6 Transactions

1.6.1 Transactions List Tab

Selecting the Transactions List tab will show the list of Transactions in a grid containing the Transaction Number, Date, Amount and Transaction mode 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.



Figure 19

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.

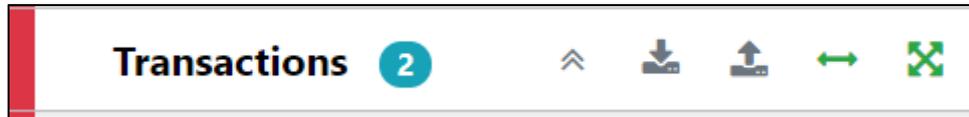


Figure 20

The actions on the transactions list are:

	<p>Expand / Collapse</p> <p>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.</p>
	<p>Download all the transactions in the report</p> <p><i>See the section below on uploading/downloading transactions</i></p>
	<p>Upload transactions</p> <p><i>See the section below on uploading/downloading transactions</i></p>
	<p>Create a new Bi-Party transaction</p>
	<p>Create a new Multi-party transaction</p>

1.6.2 Transactions List

Transactions 					
Status	Number	Date	Local Amount	Transmode Code	
x	TRNWEB0819 21 NOV 19	11/8/2019	123	ATM	
x	TRNWEB0820 21 NOV 19	11/7/2019	123	Remittance	

Figure 21

1.6.3 Transaction Tab

Selecting the Transaction tab opens the transaction form in the editor for that particular transaction. The indicator or shows if the transaction is a Bi-Party or Multiparty and the transaction number and amount are also displayed.

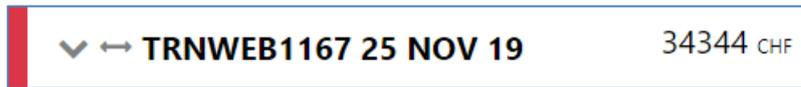


Figure 22

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



Figure 23

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.

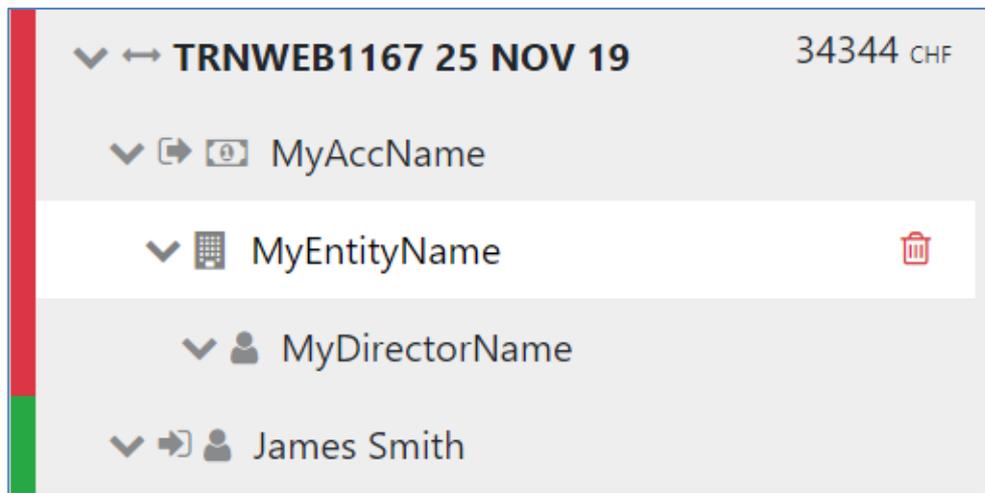


Figure 24

	Expand / Collapse
	Bi-Party Transaction
	Multi-Party Transaction
	From
	To
	Account (account name is shown as title)
	Entity (entity name is shown as title)
	Person including Directors (first name and last name are shown as title)

1.6.4 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

Transmode Code is required!

Transmode Comment

Local Amount is required!

Date is required!

Late Deposit?

Posting Date

Teller

authorized

Location

Description is required!

Comments

From

+
Account
Account (My Client)
+
Person
Person (My Client)
+
Entity
Entity (My Client)

To

+
Account
Account (My Client)
+
Person
Person (My Client)
+
Entity
Entity (My Client)

+ Goods and Services

Figure 25

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

The 'Involved Parties' section contains three main categories, each with a '+ My Client' sub-option:

- Account**: Account (My Client)
- Person**: Person (My Client)
- Entity**: Entity (My Client)

Figure 26

To add a party to either the **From**, **To** or **Involved Parties** select one of the 6 buttons **Account**, **Account (Reported subject)**, **Person**, **Person (Reported subject)**, **Entity** or **Entity (Reported subject)**

1.6.4.1 Fields

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

* Address

Figure 27

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!

Figure 28

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

Figure 29

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

Birth Date Tooltip

* Birth Date The date must not be later than the field: Date of Death

The date must not be later than the ...

Figure 30

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.



Figure 31

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 21st November 2019.



Figure 32

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.



Figure 33

1.6.4.2 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. Whereas 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.

Figure 34

1.6.5 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.

First Name	Last Name	Birth Date
John	Smith	
James	Smith	

Figure 35

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 and 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.

Figure 36

Figure 37

Figure 38

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	3
> Person	First Name John	Last Name Smith	Birth Date	3
> Person	First Name John	Last Name Smith	Birth Date	3

Figure 39

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.

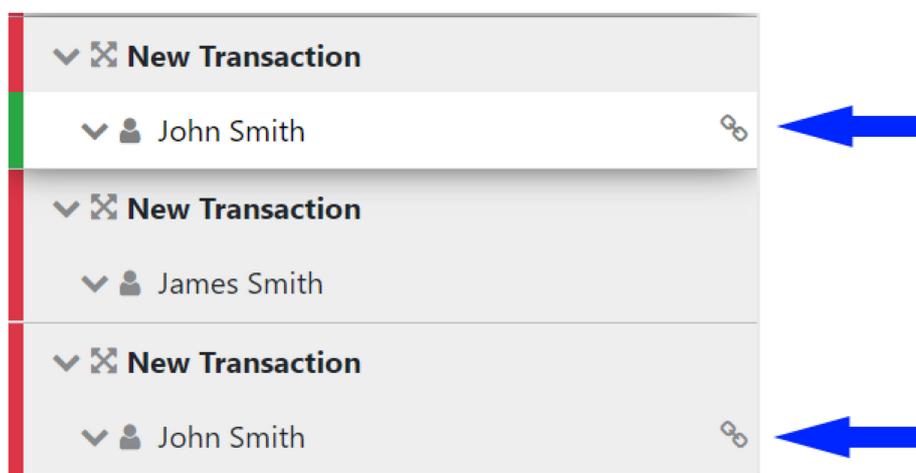


Figure 40

1.6.5.1 Limitation of hierarchy levels in object relations.

Accounts, Entities and Person objects can all have the ability to assign related re-usable objects.

- **Accounts** can have related **Accounts**, **Entities** and **Persons**.
- **Entities** can have related **Entities** and **Persons**.
- **Persons** can have related **Persons**.

Between 2 objects of the same type, there can only be a hierarchy of one level deep. So an Entity can have a related Entity, but the child Entity cannot also have a related Entity.

In the example below there are 4 accounts. 3 Accounts are involved parties of the transaction **ACC1**, **ACC2** and **ACC3**. **Rel-ACC4** is a related Account of **ACC3**.

Figure 41

When adding a related Account for **ACC2** it is possible to select **ACC3** even though this Account also has a related Account.

Account Number	Name	Institution Name
ACC1	AccountOne	
ACC2		
Rel-ACC4		
ACC3		

Figure 42

When **ACC3** is added as a related Account to **ACC2**, **ACC2** becomes **invalid**. This is because it has a related object of the same type (Account) that also has a related Account.

In the navigator this is shown by a Warning symbol and hovering over the warning symbol shows a tooltip explaining why the object is invalid.

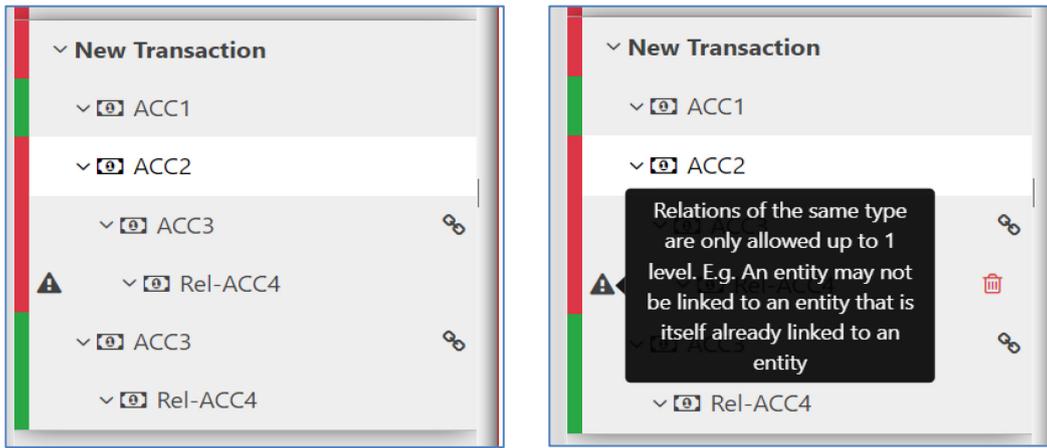


Figure 43

Removing the **Rel-ACC4** account will validate the form

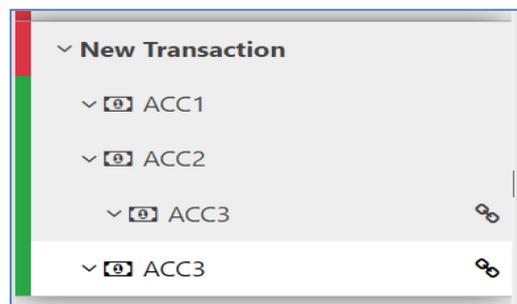


Figure 44

The hierarchy restriction of 1 level deep is only for objects of the same type. The following shows what is allowed and not allowed in the hierarchy.

- Account
 - Related Account
 - ~~Related Account~~ (not allowed)
 - Related Entity
 - Related Entity
 - ~~Related Entity~~ (not allowed)
 - Related Person
 - Related Person
 - ~~Related Person~~ (not allowed)
 - Related Person
 - Related Person
 - ~~Related Person~~ (not allowed)
 - Related Entity
 - Related Entity
 - ~~Related Entity~~ (not allowed)
 - Related Person
 - Related Person
 - ~~Related Person~~ (not allowed)

role field will not be reflected in the other linked person objects. This is to prevent invalid XML being generated where role is not an expected element in the other person objects.

1.7 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.



Figure 46

Report Parties



Figure 47

1.8 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.

N.B. A note on back-compatibility from 5.2 onwards: Previous versions of goAMLWeb used the following wrapper for uploading and downloading transactions. *Transaction elements were surrounded by a <transactions> element and a <reportdata> element.* For convenience and for extending ability to allow full report uploads to the web report, the upload and download of transactions now use the same structure as defined by the goAML Schema. That is that the <transaction> objects are only surrounded by a <report> element. The upload is back compatible with previous transaction uploads so the templates should not need to be changed.

1.8.1 How to Download a Transactions

Figure 50 shows a goAMLWeb report that has been partially completed. It contains a single multiparty transaction with an account. It may be 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 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.

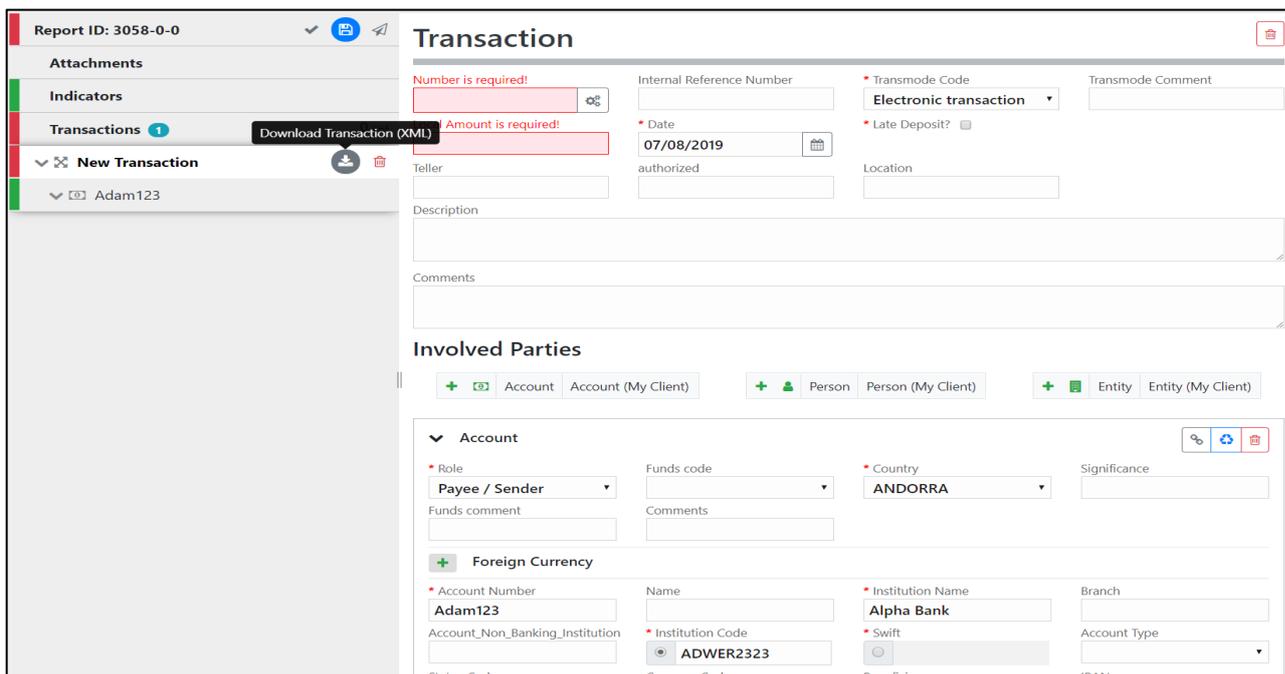


Figure 48

Figure 51 - 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.

```
<?xml version="1.0"?>
- <report>
  - <transaction>
    <date_transaction>2022-09-08T00:00:00</date_transaction>
    <transmode_code>C</transmode_code>
    <amount_local>232323</amount_local>
    - <involved_parties>
      - <party>
        <role>B</role>
        - <account>
          <swift>ALP123</swift>
          <account>AlphaAccount</account>
          <account_name>AlphaBank</account_name>
          <account_type>2</account_type>
        </account>
        <funds_code>D</funds_code>
        <country>AF</country>
      </party>
    </involved_parties>
  </transaction>
</report>
```

Figure 49

Everything inside the `<report>` tag follow the structure of the goAML Schema.

Figure 52 - 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.

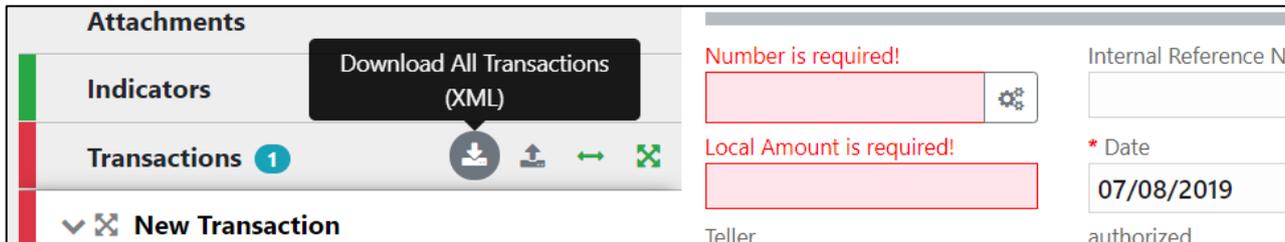


Figure 70

Downloading all transactions will result in repeated `<transaction>` elements, for example

```

<?xml version="1.0"?>
- <report>
  - <transaction>
    <date_transaction>2022-09-08T00:00:00</date_transaction>
    <transmode_code>C</transmode_code>
    <amount_local>232323</amount_local>
    - <involved_parties>
      - <party>
        <role>B</role>
        - <account>
          <swift>ALP123</swift>
          <account>AlphaAccount</account>
          <account_name>AlphaBank</account_name>
          <account_type>2</account_type>
        </account>
        <funds_code>D</funds_code>
        <country>AF</country>
      </party>
    </involved_parties>
  </transaction>
  - <transaction>
    - <involved_parties>
      - <party>
        <role>C</role>
        - <person>
          <first_name>James</first_name>
          <last_name>Smith</last_name>
        </person>
        <funds_code>K</funds_code>
        <country>AF</country>
      </party>
    </involved_parties>
  </transaction>
</report>

```

Figure 51

1.8.2 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 `<reportdata>` and `<transactions>` tags as shown in Figure 54 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.

```

- <reportdata>
  - <transactions>
    - <transaction>
      <transactionnumber/>
      <date_transaction>2019-08-07T00:00:00</date_transaction>
      <transmode_code>C</transmode_code>
      <amount_local/>
      - <involved_parties>
        - <party>
          <role>A</role>
          - <account>
            <institution_name>Alpha Bank</institution_name>
            <institution_code>ADWER2323</institution_code>
            <account>Adam123</account>
          </account>
          <country>AD</country>
        </party>
      </involved_parties>
    </transaction>
    - <transaction>
      <transactionnumber/>
      <date_transaction>2019-08-10T00:00:00</date_transaction>
      <transmode_code>C</transmode_code>
      <amount_local/>
      - <involved_parties>
        - <party>
          <role>A</role>
          - <account>
            <institution_name>Alpha Bank</institution_name>
            <institution_code>ADWER2323</institution_code>
            <account>Adam123</account>
          </account>
          <country>AD</country>
        </party>
      </involved_parties>
    </transaction>
  </transactions>
</reportdata>

```

Figure 52

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 55 and click it to open the file dialog.

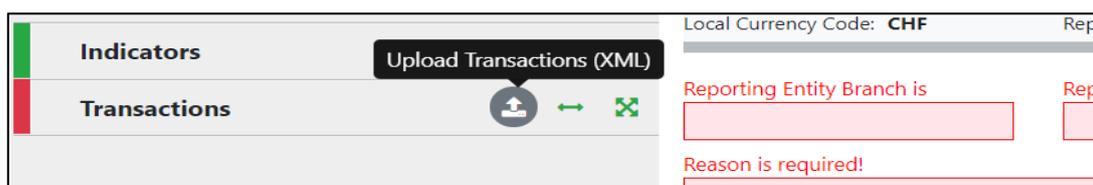


Figure 53

Select the file containing the transactions and click the **Upload** button as shown in Figure 56

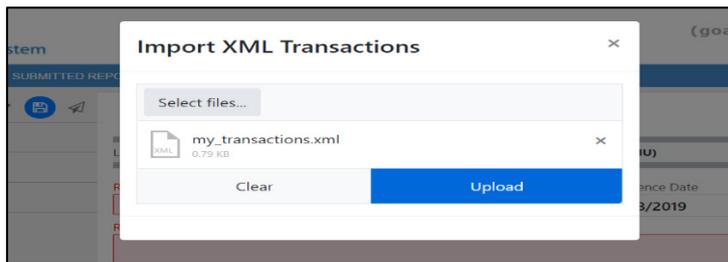


Figure 54

The file will be read and the transactions will be added to the report as shown in Figure 57.

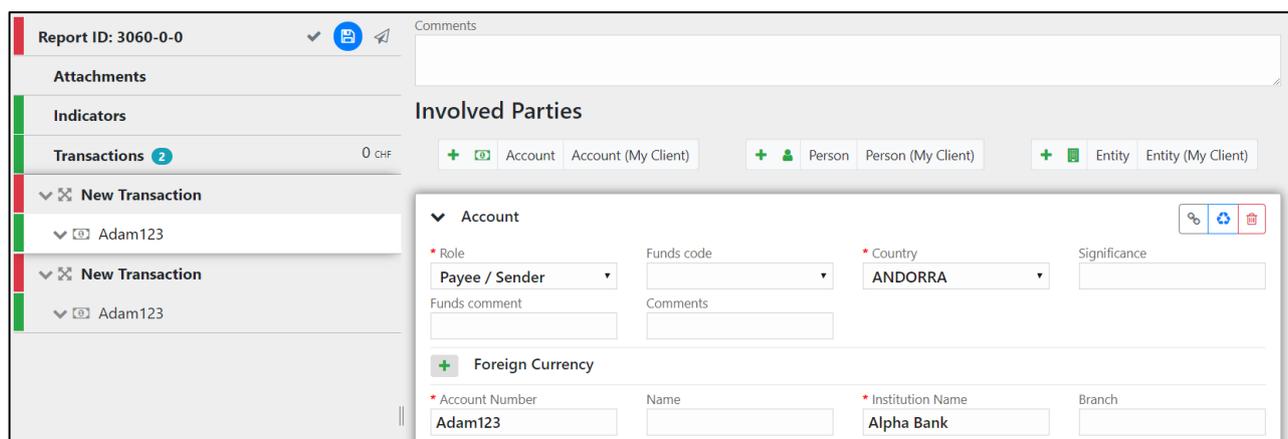


Figure 55

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.

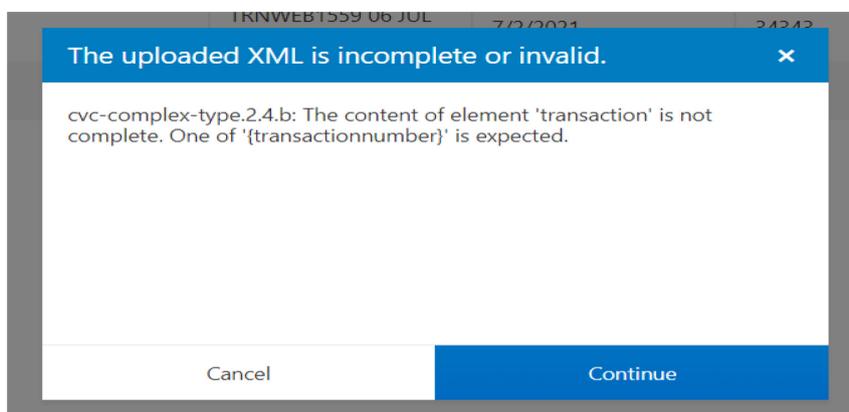


Figure 56

If the transactions contain data for deprecated elements from a previous schema, there will be a best effort to migrate the data in the deprecated elements to the new schema elements. The transformation that is applied is from the XSLT that can be found in Appendix II.

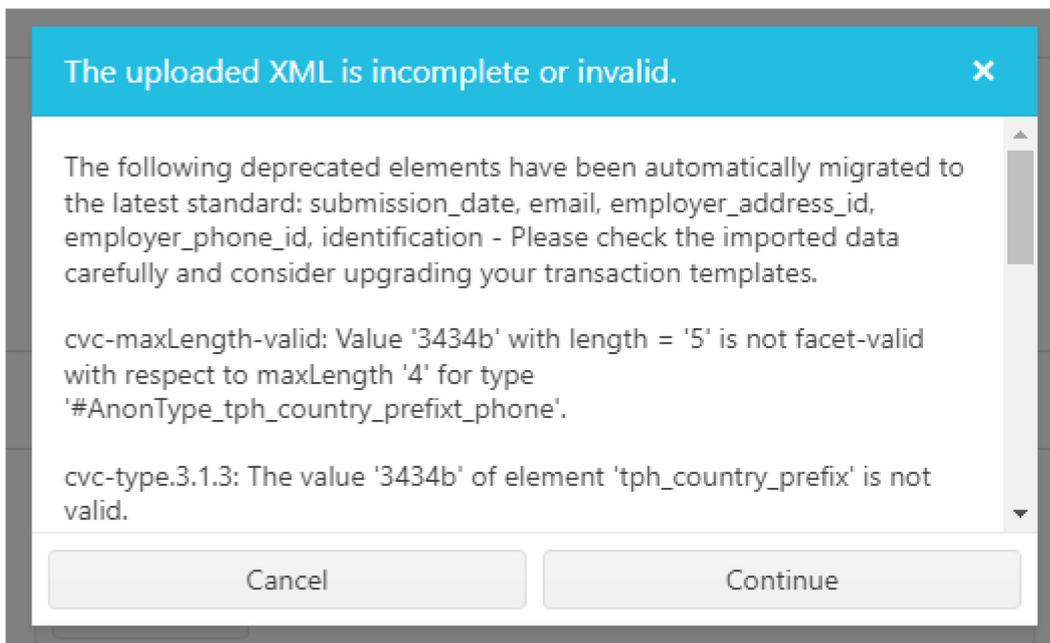


Figure 57

1.8.3 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 “**Account matching logic**” for examples.

For example:

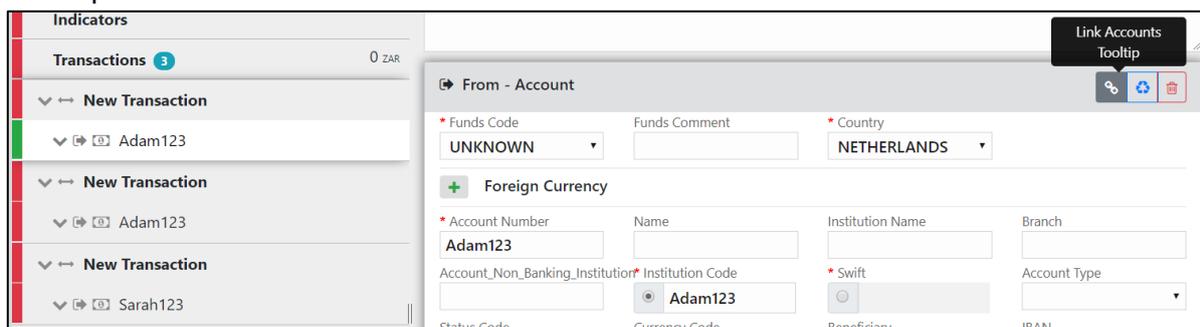


Figure 58

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.

Figure 59

2 XML and ZIP Upload

The XML Upload screen is accessed via the main menu **New Reports > XML Upload**

The initial page shows a file input to select an XML or ZIP file. Alternatively, the user can drag and drop the files to upload

Figure 60

If a ZIP is selected the user has the option to **Upload** the file or **Clear** the file.

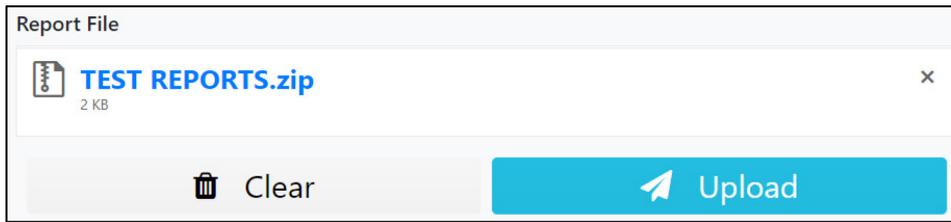


Figure 61

Selecting **Upload** will show a confirmation dialog box for the **ZIP** file

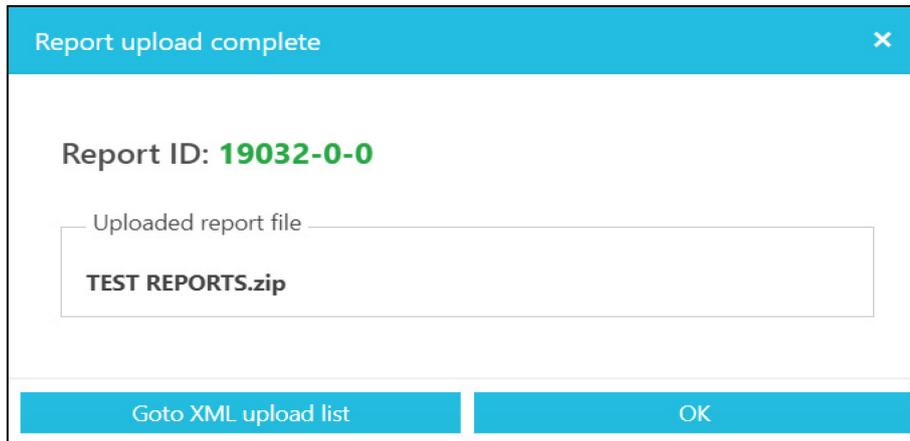


Figure 62

If an XML file is selected, an attachments area is shown so that the user can select files to upload with the XML file as attachments.

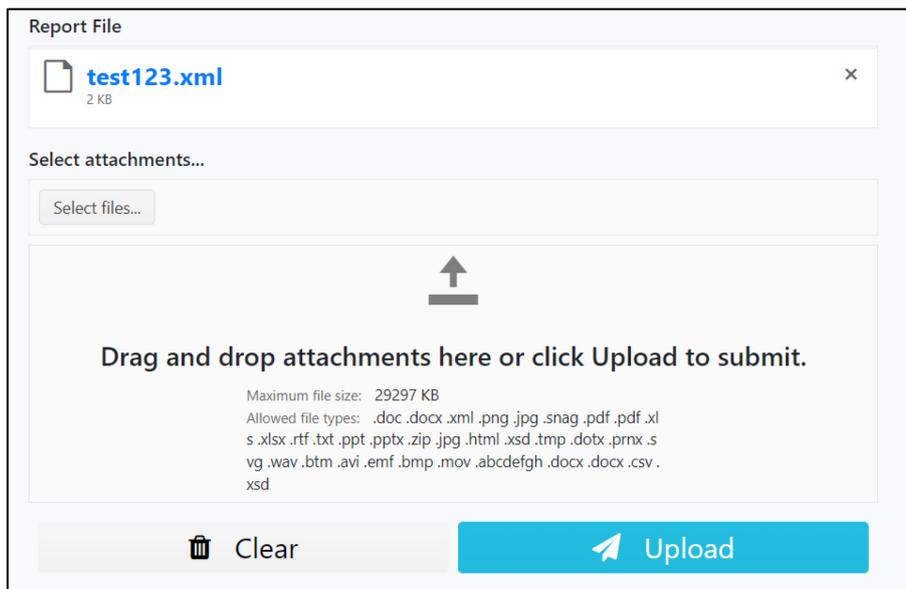


Figure 63

Attachments can either be added by checking **Select files...** or by dragging and dropping the files into the attachments area.

The attachments can be individually removed by clicking the **x** button for that attachment or selecting the **Clear attachments** button to remove all attachments.

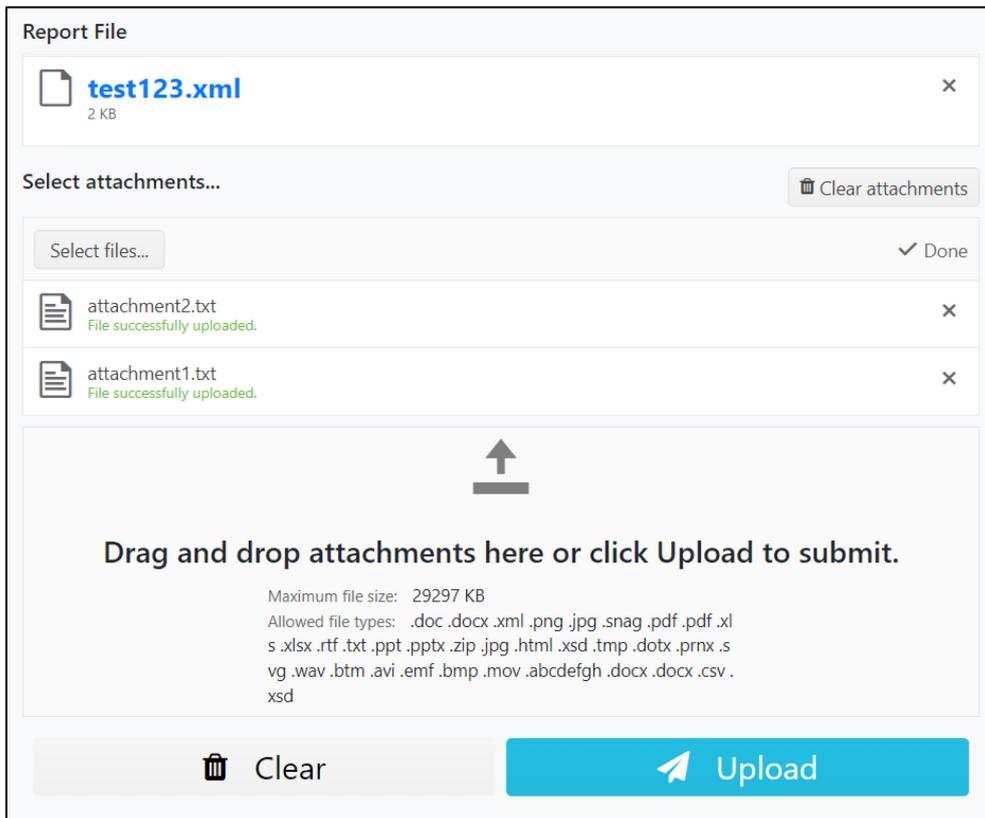


Figure 64

Deleting the XML report at any point will also remove all the attachments

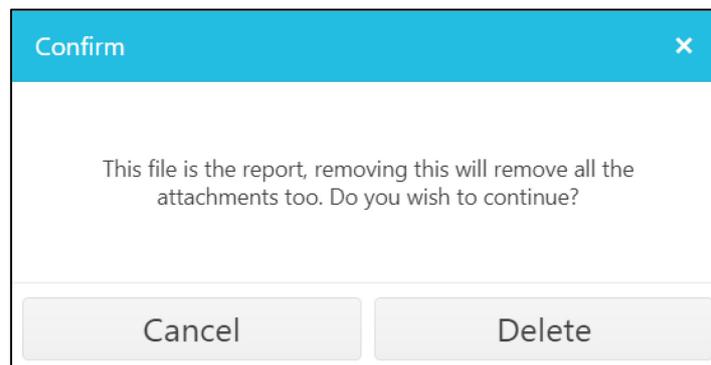


Figure 65

Click on the **Upload Report File** button to ensure that the XML and attachments (or ZIP file) are uploaded

A confirmation dialog box appears to confirm that the files have been uploaded

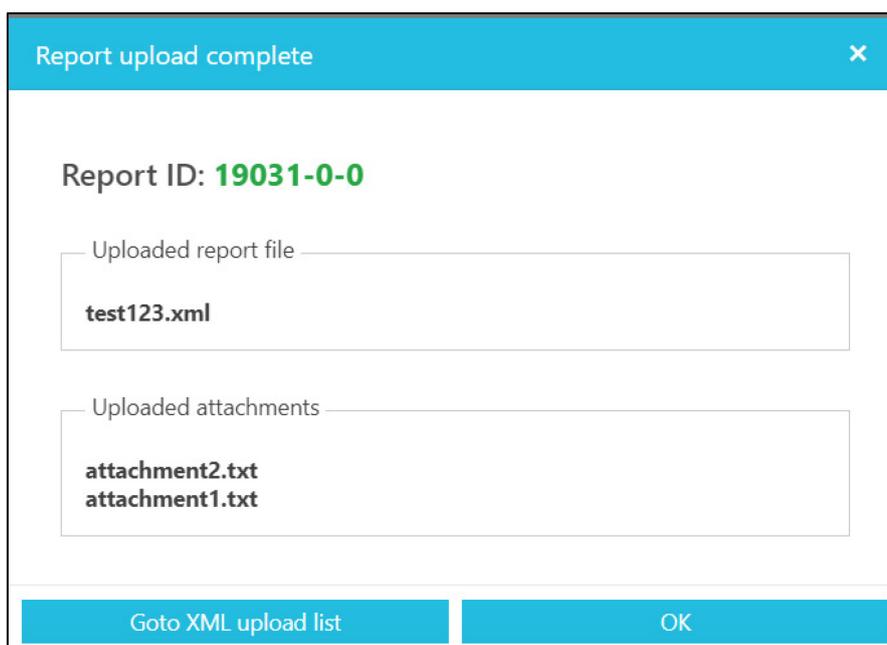


Figure 66

2.1 File rules

XML Files should be encoded in **UTF-8**.

Zip files are used to group together XML reports and attachments to upload as one file. The files inside the zip file must be structured in a specific way to be accepted by the goAML Web application.

The zip file must contain one of the following file arrangements

- A single XML report file with zero or more non-XML attachments
- Multiple XML report files with no attachments
- One or more folders that each contain:
 - One XML report file with zero or more non-XML attachments

2.2 Report Numbering

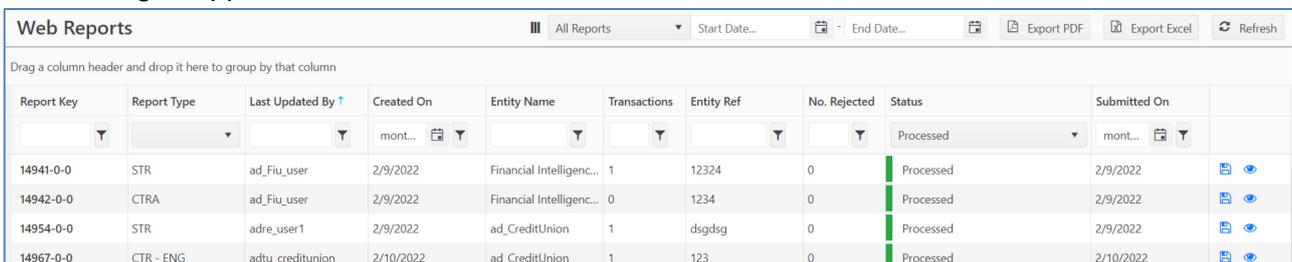
Each XML document and ZIP file that is uploaded to the Web Application is assigned a **Report Key** this is held in the **rfd_report_key** column of the **r_file_drop** table in the web database. It is the common id to reference a specific XML report between the Web and the Client. It is also the report key shown in the grids and referenced by the users.

The Report key is three numbers in the form **x-y-z** where x, y and z are integers.

- **X** is the sequential number. The incremented number of the last row of the **r_file_drop** table
- **y** is the file number within a zip file. For web reports and zip files, this is 0. If the report was uploaded in a zip file and was the third file processed in the zip the value will be 3.
- **z** is the version number. If a report fails validation, then it can be reverted, this creates a new row in the table for the report with an incremented version number. For details on reverted reports, refer to the **Report Workflow** section.

3 Report Grids

Three grids in the Web Application show the report data. The following image shows the header how each grid appears:



Report Key	Report Type	Last Updated By	Created On	Entity Name	Transactions	Entity Ref	No. Rejected	Status	Submitted On
14941-0-0	STR	ad_Fiu_user	2/9/2022	Financial Intelligenc...	1	12324	0	Processed	2/9/2022
14942-0-0	CTRA	ad_Fiu_user	2/9/2022	Financial Intelligenc...	0	1234	0	Processed	2/9/2022
14954-0-0	STR	adre_user1	2/9/2022	ad_CreditUnion	1	dsgdsg	0	Processed	2/9/2022
14967-0-0	CTR - ENG	adtu_creditunion	2/10/2022	ad_CreditUnion	1	123	0	Processed	2/10/2022

Figure 67

1. Each grid can be filtered by a date range by entering the Start Date and End Date or using one of the quick filters. The start and end dates filter based in the date the report was initially created.

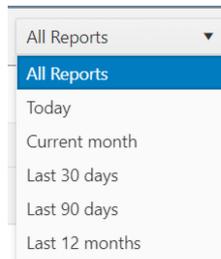


Figure 68

The **Current Month** filters all the reports from the 1st day of the current month until today.

2. The Export PDF and Export Excel buttons   opens a dialog to export the currently viewed grid as a PDF or Excel document.
3. Each grid can be filtered by selecting from the dropdown box, the date selector or entering a value, depending on the column type, in the filter boxes at the head of the columns

Report Key	Report Type	Last Updated By
932	STR	Mar
9322-0-0	STR	MARIO

Figure 69

- Column headers can also be dragged into the grouping header to group by that column.

Report Key	Report Type	Last Updated By	Created On
932	STR	Mar	
Report Type: STR			
9322-0-0	STR	MARIO	2021-07-06T08:32:16.213

Figure 70

- A column selector shown by the button in the header allows the user to add or hide columns from the current grid view:

All Reports

Columns

- Report Key
- Report Type
- File Name
- Created By
- Last Updated By
- Created On
- Entity Name
- Submitting Entity

Reset Apply

Figure 71

3.1 Not Submitted Web Reports

The **Not Submitted Web Reports** grid (**Draft Reports**) is where all **Web Reports** that have been saved but not submitted are sent, as well as reports that have been reverted.

Report Key	Report Type	Last Updated By	Created On	Entity Name	Transactions	Status	Days before Cleanup
9331-0-0	STR	goaml	7/6/2021	Financial Intelligen...	0	Not submitted	
9328-0-0	STR	ADAM_3	7/6/2021	ADAM_3	0	Not submitted	
9327-0-0	STR	goaml	7/6/2021	Financial Intelligen...	0	Not submitted	
9326-0-0	STR	MARIO1	7/6/2021	QA2106	0	Not submitted	
9325-0-0	MIXEDRE2.0	MARIO1	7/6/2021	QA2106	0	Not submitted	

Figure 72

Actions available for the Not Submitted Reports grid

Action Name	Description
Edit	Opens the report for editing. This is only visible for reports that have not been archived.
Delete	Deletes the report, this is only visible if the report has not been archived
Preview	Opens the report in the preview format for viewing and printing. This is only visible for reports that have not been archived.

3.2 XML Reports

The XML Reports grid is where all the files and reports from the **XML Upload** page are displayed. For zip files that are uploaded there will be one row for the zip file and one row for each of the contained XML reports. The status column will contain a link if there are actions or error data available for that row.

Report Key	Report Type	File Name	Last Updated By	Entity Name	Transactions	Status	Submitted On
9330-0-0	ACT-TRANS Report	_Web_Report_Repo...	goaml	Financial Intelligenc...	1	Processed	7/6/2021
9329-0-0		RPA007_2021531.xml	MARIO	QA2106	0	Failed Validation: Invalid Structure	7/6/2021
9316-0-0	STR	xmlreport0507.xml	goaml	ADAM_3	1	Processed	7/6/2021
9315-0-0	STR	xmlreport0507.xml	ADAM_3	ADAM_3	1	Failed Validation: Invalid Structure	7/6/2021
9307-0-0	STR	xmlreport0507.xml	goaml	BubyRE	1	Processed	7/5/2021

Figure 73

Actions available for the XML Reports grid

Action Name	Description
Preview	Opens the report in the preview format for viewing and printing. This is only visible for the XML documents not the ZIP files and only if the report has not been archived.
Save	Download the report as an XML document. Not available if the report fails validation.

3.3 Web Reports

The Web Reports grid is where all of the submitted web reports are displayed. The status column will contain a link if there are actions or error data available for that row.

Report Key	Report Type	Last Updated By ↑	Created On	Entity Name	Transactions	Entity Ref	No. Rejected	Status	Submitted On
14941-0-0	STR	ad_Fiu_user	2/9/2022	Financial Intelligenc...	1	12324	0	Processed	2/9/2022
14942-0-0	CTRA	ad_Fiu_user	2/9/2022	Financial Intelligenc...	0	1234	0	Processed	2/9/2022
14954-0-0	STR	adre_user1	2/9/2022	ad_CreditUnion	1	dsgdsg	0	Processed	2/9/2022
14967-0-0	CTR - ENG	adtu_creditunion	2/10/2022	ad_CreditUnion	1	123	0	Processed	2/10/2022

Figure 74

Actions available for the Not Submitted Reports grid

Action Name	Description
Preview 	Opens the report in the preview format for viewing and printing. This is only visible for reports that have not been archived. Not available if the report fails validation.
Save 	Download the report as an XML document Not available if the report fails validation.
Revert (from Failed Validation)	Creates a new revision for editing that will appear in the Not Submitted Reports grid. Please refer to the Report Workflow
Reset (from <i>Unexpected Error</i> or <i>Processing</i>)	Resets the report status to Uploaded so that the report can be processed again. This can only be done by the FIU.
Reject (from <i>Unexpected Error</i> or <i>Processing</i>)	Reject the report that has become stuck in processing or failed due to an unexpected error. This can only be done by the FIU.

3.3.1.1 Report Grid Column Definitions

Each report grid uses columns from the same set of columns. The screen shots above show which columns are available in each grid.

Column Name	Description
Report ID	The report key for the report.
Report Type	The type of report (lookup table ref: lk_report_type)
File	The file name for XML and ZIP uploads

Created By	The user who added the report
Last Updated By	The user who last edited or changed the status of the report
Created On	The date the row was added to the database (in r_file_drop this is rfd_date)
Org Name	The Reporting Entity name that is in the report. If the REID in the report is invalid for the user that is uploading the report, then this value will appear as the user's Reporting Entity
Submitting Org	The Reporting Entity of the user that submitted the report.
Transactions	The number of transactions in the report
Entity Ref	The value given in the Report's Reporting Entity Reference field. If there is one.
No. Rejected	The number of transactions in the report that have been rejected (if any) by the client. This is only populated once the report is processed on the client.
Status	The status of the report
Last Updated On	(in r_file_drop this is lup_date)
Submitted On	<p>The date when a report is submitted. This is not extracted from the report, which might contain a different submission date. (in r_file_drop this is rfd_submit_date)</p> <p>In the web report the translation for Report_Submission_Date should be Reference Date not 'Submission Date'</p> <p>This is understandably confusing since the tag in the XML is still <submission_date>. In the next schema a new tag <reference_date> is proposed that will run alongside the submission date tag which will eventually be deprecated.</p>
Days before Cleanup	The number of days before the row is archived. (Refer to the Cleanup settings)

Appendix I. Account matching logic

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

Appendix II. Deprecated fields transformation (XSLT)

This XSLT given below is what is used to transform any XML based on the 4.x schema that is uploaded into the new Web Forms. For example, the snippet:

```
<!-- deprecated in 5.0 in favour of report_date -->
<xsl:template match="submission_date">
  <report_date>
    <xsl:apply-templates select="@*|node()" />
  </report_date>
</xsl:template>
```

Shows that if the **submission_date** element exists it will be replaced with **report_date** element.

```
<?xml version="1.0" encoding="UTF-8" ?>
<xsl:transform xmlns:xsl="http://www.w3.org/1999/XSL/Transform" version="2.0">

  <xsl:template match="@*|node()">
    <xsl:copy>
      <xsl:apply-templates select="@*|node()" />
    </xsl:copy>
  </xsl:template>

  <!-- deprecated in 5.0 in favour of report_date -->
  <xsl:template match="submission_date">
    <report_date>
      <xsl:apply-templates select="@*|node()" />
    </report_date>
  </xsl:template>

  <!-- deprecated in 5.1 in favour of account_type -->
  <xsl:template match="personal_account_type">
    <account_type>
      <xsl:apply-templates select="@*|node()" />
    </account_type>
  </xsl:template>

  <!-- deprecated in 5.1 in favour of related_persons -->
  <xsl:template match="signatory">
    <related_persons>
      <account_related_person>
        <xsl:apply-templates select="@*|node()" />
      </account_related_person>
    </related_persons>
  </xsl:template>

  <!-- deprecated in 5.2 in favour of related_persons -->
  <xsl:template match="director_id">
    <related_persons>
      <entity_related_person>
        <person>
          <xsl:apply-templates select="@*|node()" />
        </person>
      </entity_related_person>
    </related_persons>
  </xsl:template>

  <!-- deprecated in 5.2 in favour of emails -->
  <xsl:template match="email[name(..)!='emails']">
    <emails>
      <email>
        <xsl:apply-templates select="@*|node()" />
      </email>
    </emails>
  </xsl:template>
```

```

        </email>
    </emails>
</xsl:template>

<!-- deprecated in 5.2 in favour of urls -->
<xsl:template match="url[name(..)!='urls']">
    <urls>
        <url>
            <xsl:apply-templates select="@*|node()"/>
        </url>
    </urls>
</xsl:template>

<!-- deprecated in 5.2 in favour of identifications -->
<xsl:template match="identification[name(..)!='identifications']">
    <identifications>
        <identification>
            <xsl:apply-templates select="@*|node()"/>
        </identification>
    </identifications>
</xsl:template>

<!-- deprecated in 5.2 in favour of employer_history -->
<xsl:template match="node()[starts-with(name(),
'employer_')][name(..)!='employment']"></xsl:template>
<xsl:template match="node()[starts-with(name(),
'employer_')][name(..)!='employment'][1]">
    <employment_history>
        <!--copy all employer_ elements into the new collection-->
        <employment>
            <xsl:copy-of select="."/>
            <xsl:if test="../employer_address_id/*">
                <employer_addresses>
                    <address>
                        <xsl:copy-of
select="../employer_address_id/*"/>
                    </address>
                </employer_addresses>
            </xsl:if>
            <xsl:if test="../employer_phone_id/*">
                <employer_phones>
                    <phone>
                        <xsl:copy-of
select="../employer_phone_id/*"/>
                    </phone>
                </employer_phones>
            </xsl:if>
        </employment>
    </employment_history>
</xsl:template>
</xsl:transform>

```