MOKAS
UNIT FOR COMBATING MONEY LAUNDERING

goAML Web User's Guide – Reporting Instructions

norway grants

UNODC
United Nations Office on Drugs and Crime

UNODC
SOFTWARE

Table of Contents

1 GETTING STARTED ... 5
1.1 LOGIN TO GOAML WEB ... 6
1.2 THE USER INTERFACE ... 7
2 NEW REPORTS ... 8
2.1 UPLOAD XML REPORT FILES ... 8
2.2 CREATE WEB REPORT ... 10
3 DRAFTED REPORTS ... 18
3.1 CURRENT REPORT ... 18
3.2 NOT SUBMITTED WEB REPORTS ... 19
4 SUBMITTED REPORTS ... 21
4.1 SUBMITTED XML REPORTS ... 21
4.2 SUBMITTED WEB REPORTS ... 23
5 MESSAGE BOARD ... 24
5.1 READ MESSAGE ... 26
5.2 REPLY TO MESSAGES ... 27
5.3 WRITE MESSAGE ... 28
5.4 SEARCH MESSAGE ... 29
6 MY GOAML ... 30
6.1 CHANGE PASSWORD ... 30
6.2 MY USER DETAILS ... 31
6.3 MY ORG DETAILS ... 32
7 ADMINISTRATION ... 33
7.1 ROLE MANAGEMENT ... 33
7.2 USER MANAGEMENT ... 36
7.3 USER ROLE MANAGEMENT ... 37
7.4 USER REQUEST MANAGEMENT ... 38
7.5 ORG REQUEST MANAGEMENT ... 39
7.6 REPORTING STATISTICS ... 40

Foreword

goAML is an integrated and modular system designed to fit the needs of a Financial Intelligence Unit. The goAML solution is executed in the following steps – collection, collation, analysis (rule-based, risk score and profiling), case workflow and intelligence dissemination. The data sent by the financial institutions goes to a common database and becomes accessible to the FIU management and analysis staff. The goAML system then permits data analysis. goAML processes and analyzes high volumes of reports on suspicious transactions or activities of any kind. The reports are fully populated with all the information needed for analysis to begin, from full customer details through to transactional details for multiple time frames. The system will also permit in the near future electronic data collection and dissemination from other sources such as Law Enforcement authorities, Tax Authorities, Registrar of Companies, Vehicle Registrar etc.

The audience of this guide are persons from collaborating agencies with access to the goAML Web application. The functionality of the goAML desktop application is not part of this document.

The language to be used throughout the goaml application including all fields in reporting sections as also in the XML uploaded files, is English. All names of persons and entities included in the reports should be in English characters as they appear in their ID or Passport, even if they are Greek or Cypriot nationals. The only exemption to this rule is the names of companies that are registered with Greek characters either in Cyprus or Greece.

1 Getting started

The goAML Web application ("goAML Web") is not freely accessible; you must have special access permissions for being able to work with it.

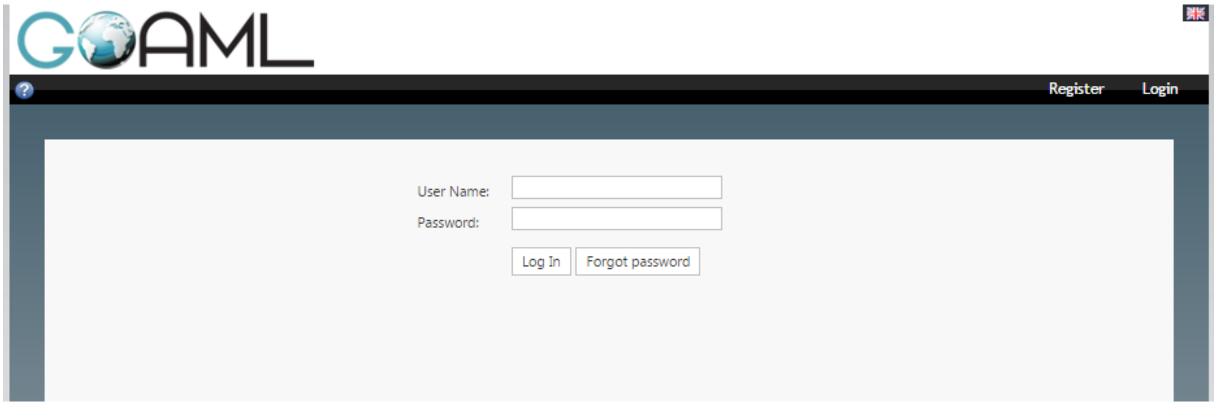
When you enter the URL into your Web browser window, *https://reports.mokas.law.gov.cy/test* for the testing environment or *https://reports.mokas.law.gov.cy/live* for the production environment, the goAML Home Page is launched. Make sure that a green locker appears in the URL bar. That means that the web page is properly encrypted. Click on Login on the top-right corner of the screen to log in.

If you already have your user credentials, you can just log in with them (see section 1.1: Login to goAML Web). If not, you have to register as a user first (see relevant manual for registration instructions: "goAML Web User's Guide – Registration Instructions").

1.1 Login to goAML Web

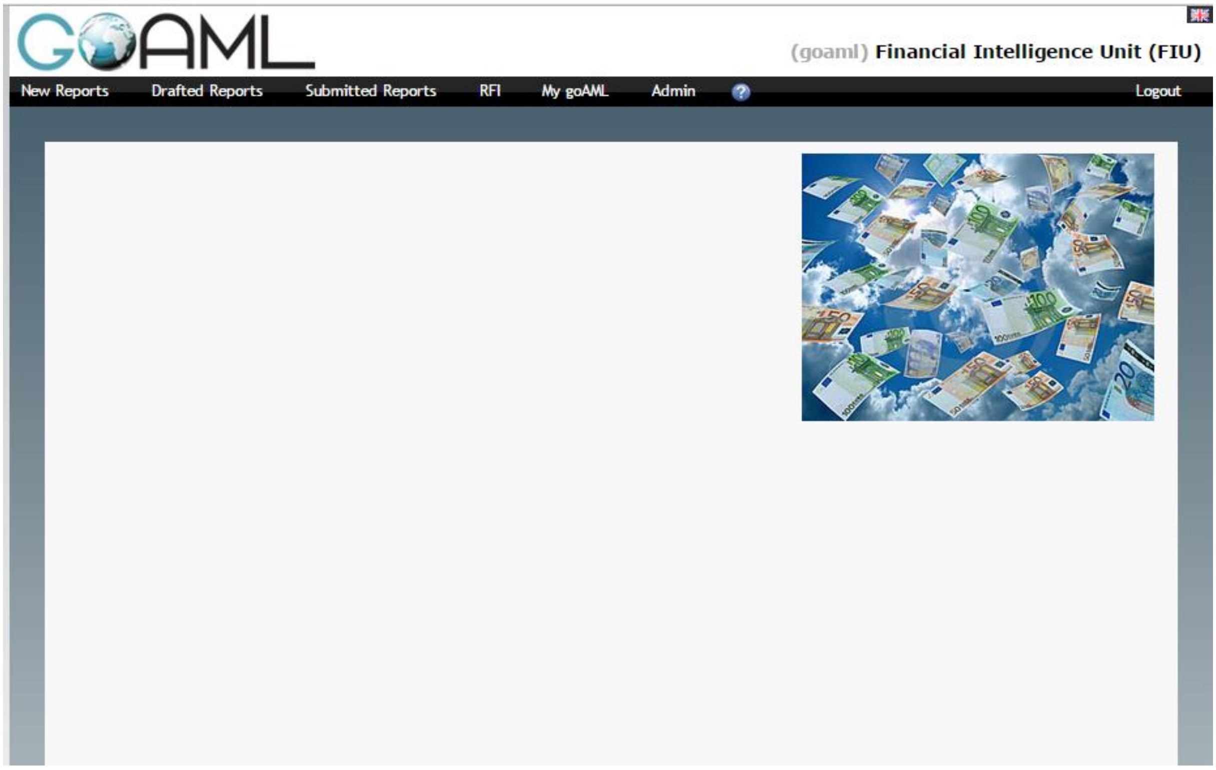
To log in and start a goAML Web session:

1. Click on **Login** in the navigation bar, if the login screen is not active.
2. Enter your login name into the field **User Name** and your password into the field **Password**:



3. Click on **Login**.

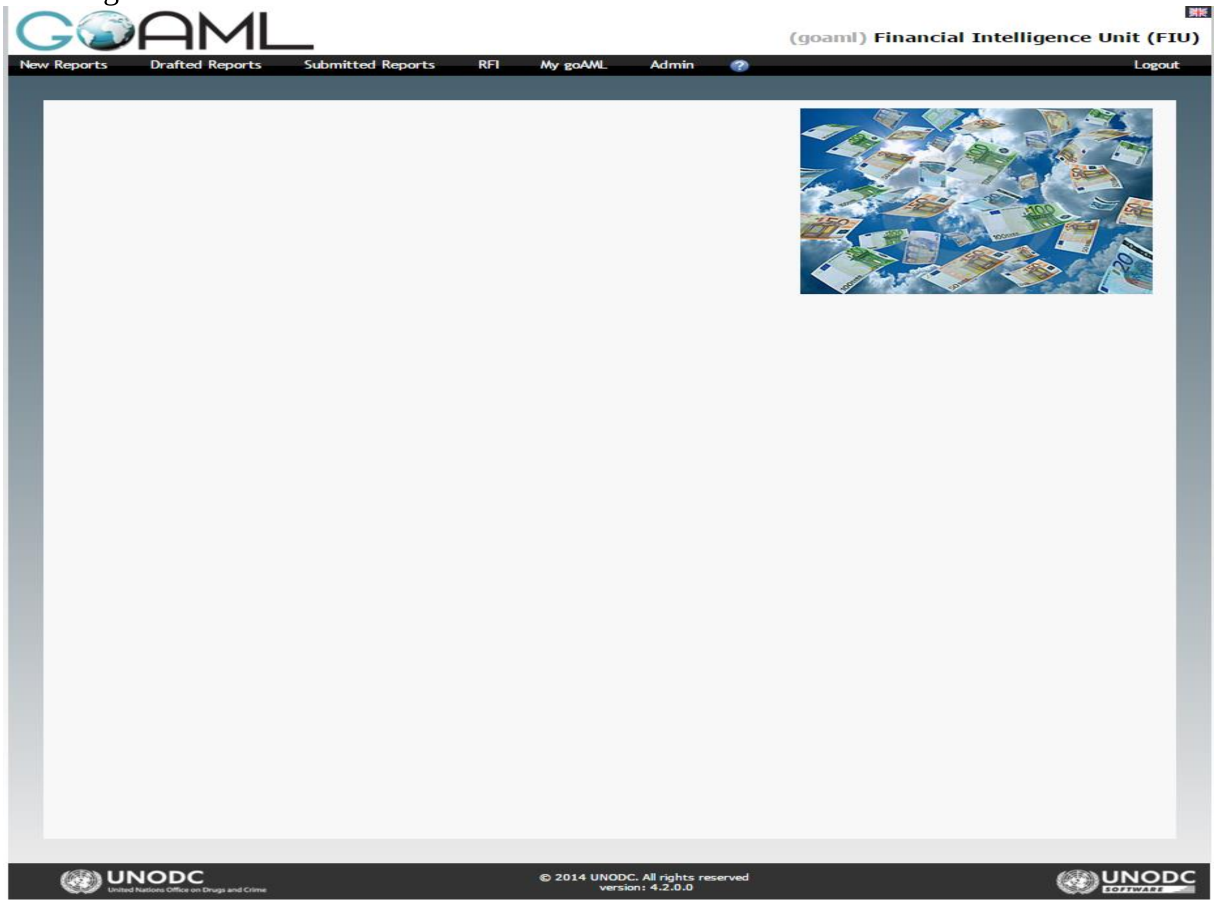
The application's home page is loaded and displayed:



Note: *The contents of the home page are widely configurable and thus might look different from the above screenshot.*

1.2 The user interface

The goAML WEB user interface is divided into several sections.



- **Header:** Contains the application's logo with the Home link. Click on the logo to return to the application's home page. It also displays the country flags corresponding to the language options available in the application. You can click on the flag to switch to the required application language.
- **Menu bar:** The element for navigating to the goAML Web functions. Hover over a link in the menu bar with the mouse pointer to see the functions it contains.
- **Information bar:** Shows the title of the current application page, a link to the online help and your login name and reporting entity name.
- **Footer:** Provides a link to the UNODC home page plus the copyright and version information.
- **Body:** The largest part of the application window; contains the functional elements of the current working context.

Note: *The availability of the different menu entries depends on your access permissions. Furthermore, goAML Web administrators can customize the looks of the application. Therefore, while the basic setup is the same, the window can nevertheless look quite different from the default settings as depicted above.*

2 New Reports

One of the main reasons for working with goAML Web is submitting financial reports to the goAML system. Reporting entities and persons, who do not have direct access to the goAML database can use goAML Web to provide their data.

Currently, reports can either be uploaded as XML files (see section 2.1: Upload XML report files) or entered directly into the Web interface (see section 2.2: Create Web Report).

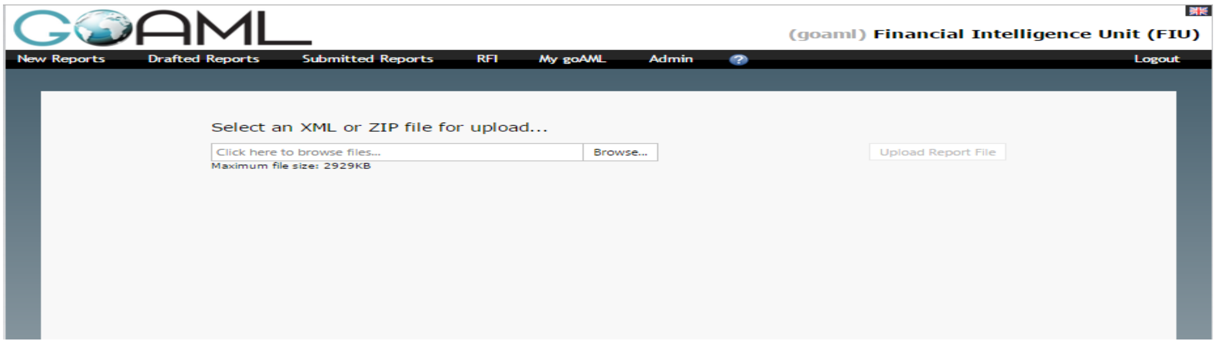
Note: *Only reporting entities can upload XML reports by default. Reporting individuals have to apply for this permission or create Web reports instead.*

2.1 Upload XML report files

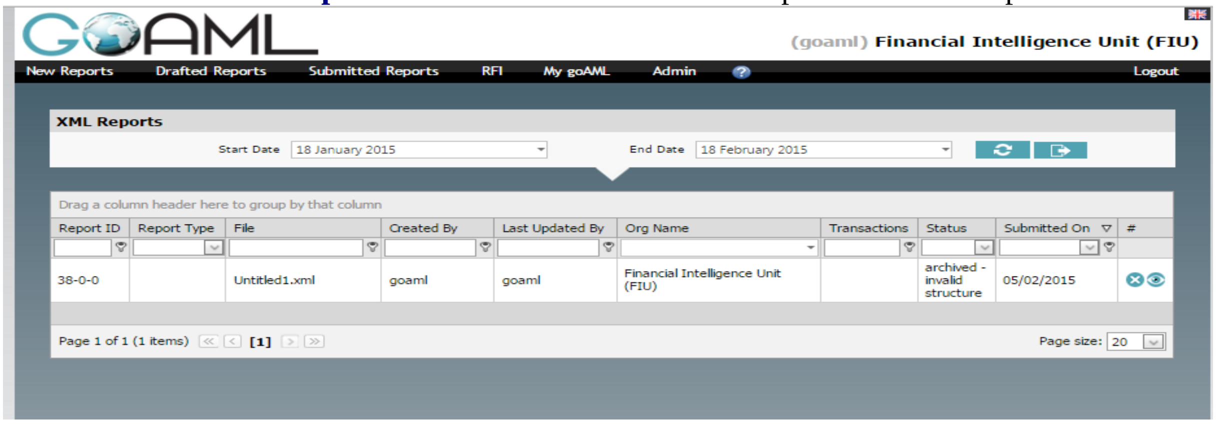
If you have your financial transaction reports available as goAML-compliant XML files, then you can simply upload them to the goAML database.

Note: *To learn more about the XML structure of these reports, seek help from a goAML application administrator for the latest version of the goAML Schema.*

1. Select **New Reports ▸ XML Upload** from the menu bar. The upload screen is loaded and displayed:



2. Click on **Browse** and select the XML file to be uploaded. You can select either a plain XML file or a zipped file. In both cases, the maximum file size is 10 MB.
3. Click on **Upload**. The data is uploaded to the goAML database in the name of your reporting entity or, if you work as an individual, in your name. A goAML user will check your submitted data and either accept or reject it.
4. Click on the **XML Upload List** to see the list of all the uploaded XML Reports.



***Note**: Whether the file is accepted or rejected, you will be notified via the goAML message board (see section 5: Message Board).*

5. **It is strongly recommended that users of goaml web should read the entire manual, even if will submit XML reports. The present manual contains valuable information and explains what the FIU expects to receive in all fields of a report.**

2.2 Create Web Report

If you want to submit a report to goAML but do not have the data as goAML-compliant XML files at hand (see section 2.1: Upload XML report files for details), you can enter the report directly into goAML Web.

1. Select **New Reports > Web Reports** from the menu bar. The form for creating new reports is loaded and displayed.

   Note *: Entity ID and the Reporting Person field is automatically filled in and cannot be changed.*

2. Select the **Report Type** you want to submit from the **Type** drop-down field. The fields in the page are adjusted to match the input requirements for this kind of report. **You should choose one of the following types:**
   - Suspicious Activity Report (SAR - no transactions included). This type of report will be used in the case where either there are no transactions conducted in the accounts of the client or the reporting entity does not consider any specific transaction as suspicious but would like to report a suspicious behaviour.
   - Suspicious Transaction Report (STR - transactions included). This type of report will be used in the case where specific transactions are considered suspicious.
   - Additional Information File-SAR (can be used for example to send additional information in relation to an SAR already submitted).
   - Additional Information File-STR (can be used for example to send additional information in relation to an STR already submitted).

3. Fill in the data fields of the **Report Cover** (see below for details; fields marked with an asterisk are mandatory).
4. **Save** the report.
5. After you save the report you have the option to add attachments. Click on **Show Attachments** in order to attach documents.

AIF/ SAR/ STR cover:

- **Submission date:** Automatically generated once the report is submitted.
- **Reporting Entity Reference:** The internal reference number of the Reporting Entity.
- **Reason:** Enter an explanation why you are suspicious about the reported information.
- **Action:** The actions already taken for this suspicious report.
- **Reporting Entity Reference :** The internal reference number of the reporting entity.

Location :

- **Type/Address/ City / Country:** Enter the location where the report is drafted. These are mandatory fields and need to be entered.

Report Indicators:

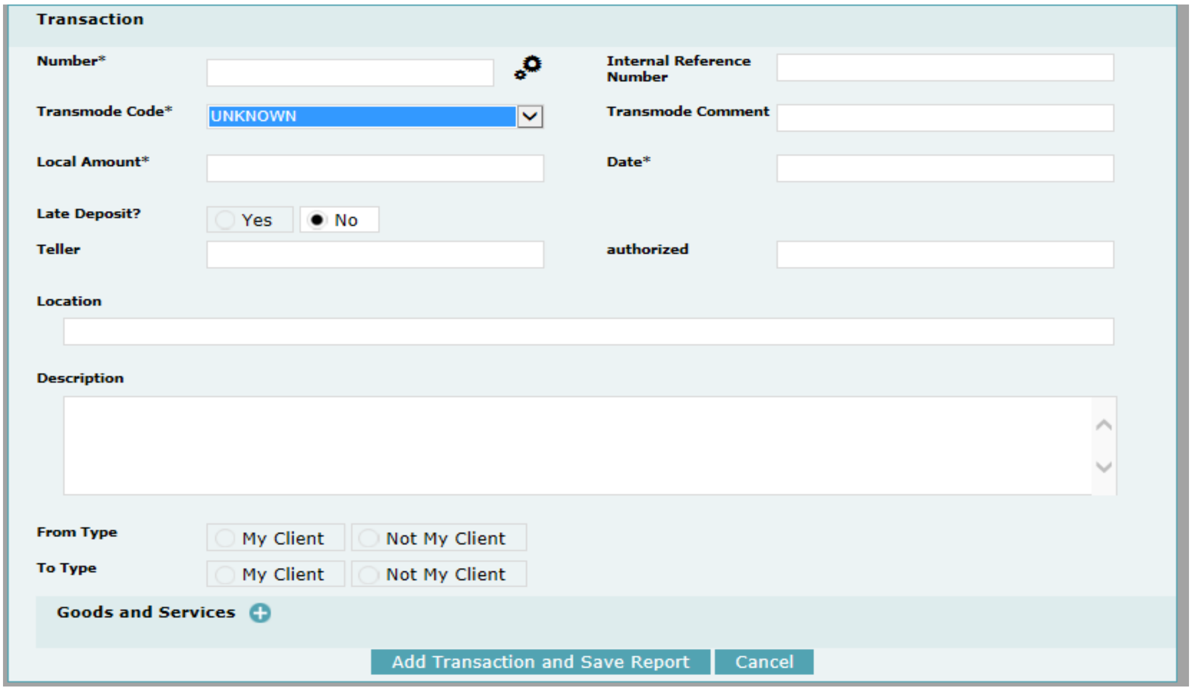
1. To add certain report indicators (e.g. Cash deposits, Carousel fraud) select from the Indicators grid. You can choose the relevant code/indicator and select the check-box next to it. You can choose more than one report indicator.
2. To remove a report indicator, select it in the list and click on √.
3. **As there is no special report category for terrorism financing reports, make sure that in case of suspicious activity or suspicious transaction involving terrorist financing, at least the indicator "Terrorism financing" is selected.**

Transaction:

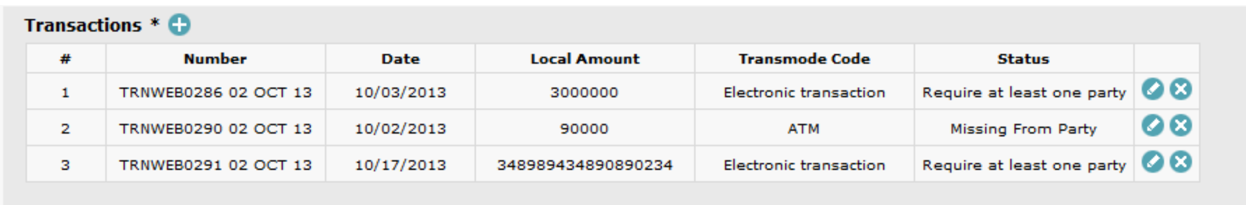
1. Click on to add Transactions to the Web Report

2. Fill in all the relevant transaction details on the Transaction form.

3. Click on **Add Transaction and Save Report**.



4. All the Transactions that have been added and saved appear in the Transactions grid.



Transactions *

#	Number	Date	Local Amount	Transmode Code	Status	
1	TRNWEB0286 02 OCT 13	10/03/2013	3000000	Electronic transaction	Require at least one party	
2	TRNWEB0290 02 OCT 13	10/02/2013	90000	ATM	Missing From Party	
3	TRNWEB0291 02 OCT 13	10/17/2013	348989434890890234	Electronic transaction	Require at least one party	

1. Fill in the transaction details (fields marked with an asterisk are mandatory):

   i. **Transaction No.:** Enter a unique identification number for the transaction or generate one automatically by clicking on.

ii. **Transaction date:** Select the transaction date (DD/MM/YYYY) into the field or select it using the calendar pop-up ().
iii. **Transmode Code:** Select one of the available transaction types (e.g. "in branch") from the drop-down list.
iv. **Transaction mode comment:** If you want, add a comment to the transaction mode – especially if your choice is "other" or "unknown".
v. **Amount (local):** The exact amount in the local currency (Euro).
vi. **Late deposit:** Specify whether the transaction was a late deposit or not, e.g. whether a person systematically approaches the bank during the closure time of the branch or makes deposits after office hours through the ATM.
vii. **Date posting:** If the transaction is a late deposit, fill in this field with the appropriate date.
viii. **Location:** The branch or location where the transaction took place.
ix. **Description:** Free text field for describing the purpose of the transaction.

4. Click on **Add Transaction and Save Report** to add the data to the Web report.

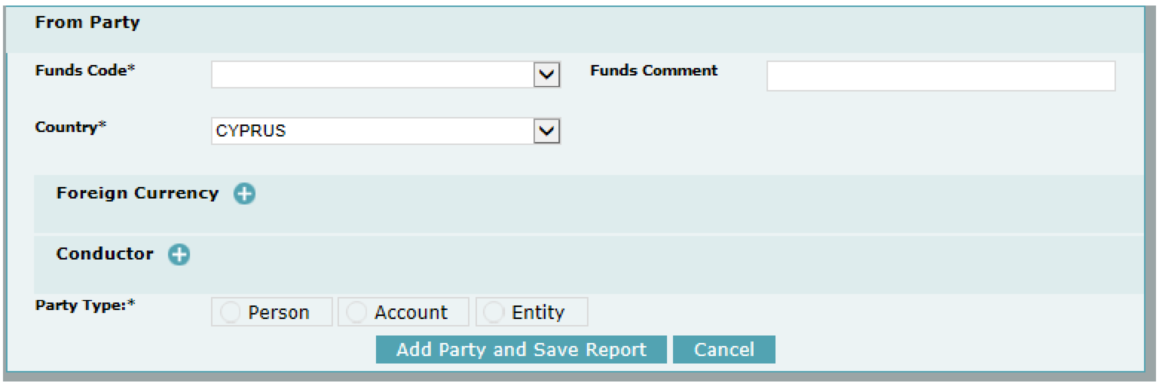
Involved Parties:

For every submitted transaction, the involved parties have to be defined.

1. Select one of the check-boxes for **Party is** : **My Client** or **Not My Client** as the case maybe.

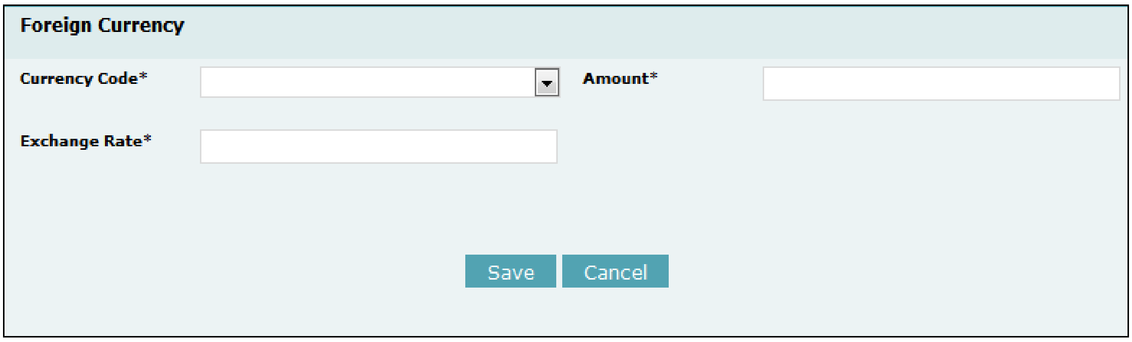
2. Select the Party Type checkbox : **Person**, **Account** or **Entity**

3. Depending on the **Party Type** selection, the corresponding form for the details will open up.



4. Enter the details for the involved party (fields marked with an asterisk are mandatory):

i. **Funds Code:** Select a type of funds from the drop down menu provided i.e cash, cheque etc.
ii. **Funds Comment:** If you want, add a comment about the type of funds transferred.
iii. **Country:** Select the country of this transaction party.
iv. **Foreign Currency:** Click on the icon to open up the Foreign Currency window

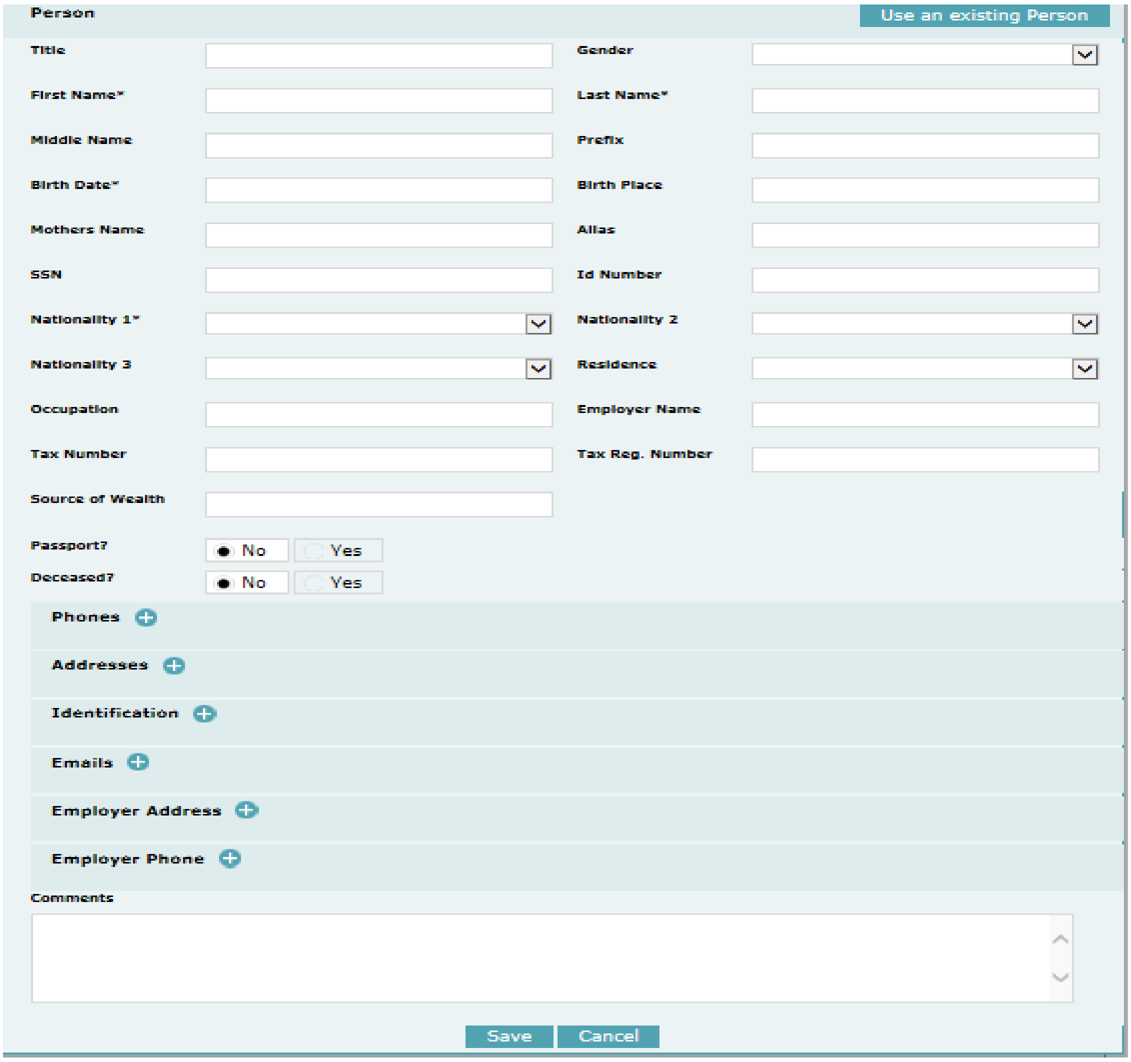


a) **Currency Code:** The currency in which the transaction was at this state. Select one from the drop-down list

b) **Amount:** The amount of the transaction in the foreign currency

c) **Exchange rate:** The exchange rate between the foreign currency and the default currency of your FIU's country

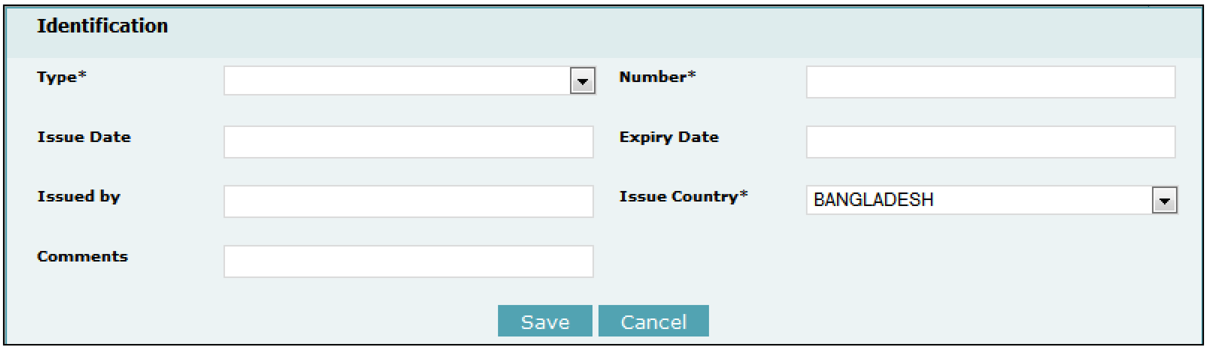
v. **Conductor:** If the transaction party (see above) is a person, click on the  icon to open up the Conductor window



1. Enter the **Person Details** (fields marked with an asterisk are mandatory; however, try to submit as much information as possible):

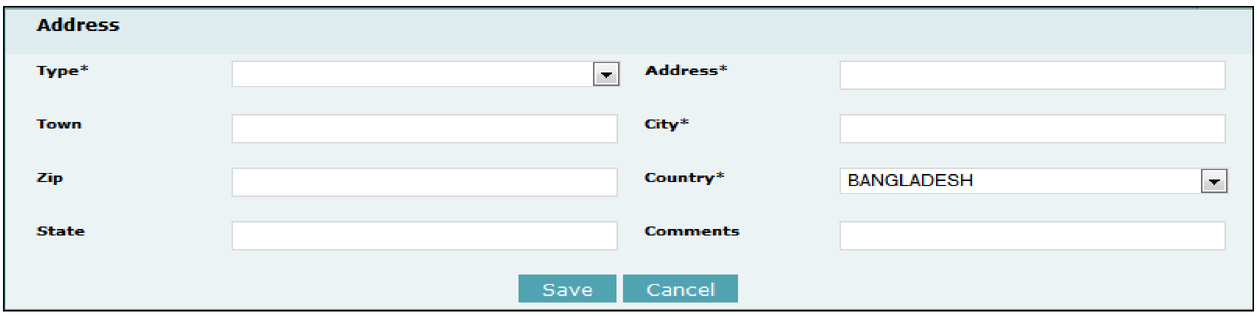
    i. **Gender:** If you know it, select whether the person is male or female.
    ii. **First/ Middle/ Last name:** The name of the person.
    iii. **Title:** The form of address.
    iv. **Prefix:** Any name prefix (e.g.titles of nobility).
    v. **SSN:** The social security number of the person.
    vi. **Mother's name:** Can be used as father, mother, second name, other name etc. as per country's regulation.
    vii. **Date of birth:** Enter the date of birth of the person (using the United Nations date format: DD/MM/YYYY) into the field or select it using the calendar pop-up ( ).
    viii. **Place of birth:** The reported place of birth of the person.
    ix. **Nationality:** Select the nationality that the person currently uses from the drop-down list.
    x. **Residence:** Select the current residence country of the person.
    xi. **Occupation:** The person's reported occupation.
    xii. **Email:** A reported email address of this person.

2. If you have an identity document of the person, click on the icon to add an Identification.



    i. **Type :** Select the type of the document from the drop-down list (e.g. a passport).
    ii. **Number :** The identification number of the document.
    iii. **Issue Date :** Enter the issue date of the document into the field or select it using the calendar pop-up ( ).
    iv. **Expiry Date:** The last date of validity of this document.
    v. **Issue Country:** Select the country issuing the document.

3. If you know the address of the person, click on icon to unfold this section of the window. Fill in the mandatory fields with the address details.



i. **Type** : Select the type of address : Business, Residential, Registered, Mailing, Head Office etc.
ii. **Address**: Address of the selected Type i.e. House #, Street name etc.
iii. **City/Country** : Name of the city, country etc.

4. For available Email of the person, click on icon to unfold this section. Enter the known Email address of the person in the given field.

5. If you have details about the employer of the person, click on the icon of the **Employer Address** and/or **Employer Phone** to unfold the appropriate sections of the window. Fill in the mandatory fields and also other fields with the known details.

6. Click on **Save**. The person information is added to the transaction and the dialogue window closes.

7. Save the transaction again.

Finally, click on **Add Party and Save Report** to add it to Involved Parties transaction.

Note 1: **The current version of goaml does not support a corporate structure in which a company might be director or secretary or shareholder or introducer of another company. As this will be incorporated in the next major release of the software, a work-around solution should be temporarily applied. In the event where we have a company being a director or secretary or shareholder or introducer of another company, the financial institution should include in the "comments" field of the entity involved the details (at least: name, incorporation country) of the company being director or shareholder or secretary or introducer and the relationship. For example, if company A is director of company B, then company B should be added as usual and in the "comments" field of company B the minimum details of company A and the their relationship should be indicated. In the case of introducer the business acticity should be also indicated e.g. lawyer, accountant, etc.**

Note 2: In the **Director(s)** section of **Entity (My Client)**, the reporting entity should include **at least** the ultimate beneficial owner, shareholder, director, secretary, signatory and introducer of the reported entity, indicating for each of them their **role**, in cases where these are individuals (see note 1 above for entities).

Note 3: In the **Signatory(ies)** section of **Account (My Client)**, the reporting entity should include the holder(s) **and** the signatory(ies) of the account, indicating for each of them their **role.**

Show Attachments :

Each report should contain at least the following attachments:

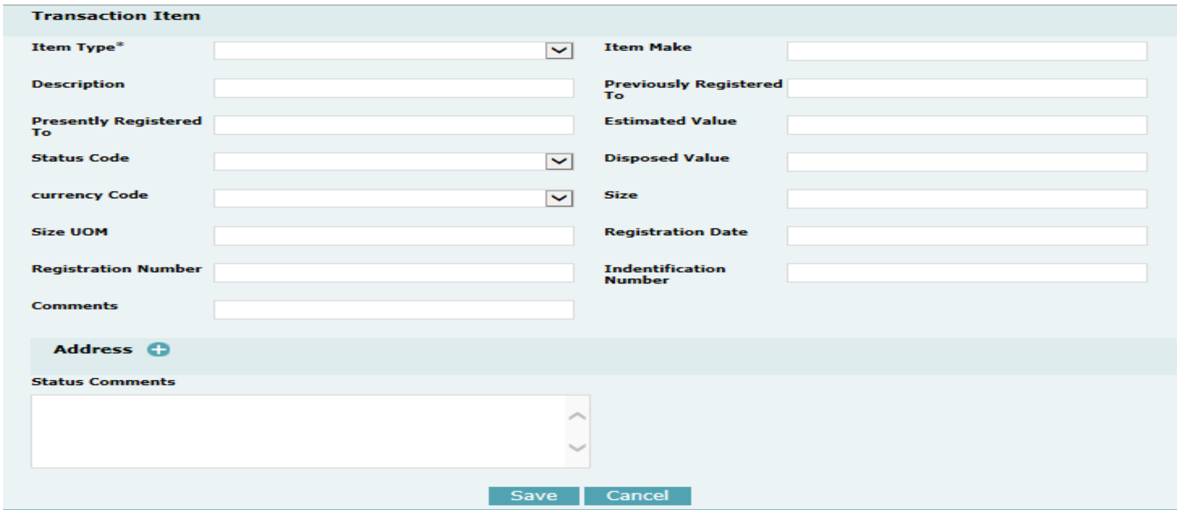
i. ID or passport copies of beneficial owners of reported entities and of reported individuals
ii. Certificate of incorporation of reported entities
iii. Certificate of directors and shareholders or partners of reported entities
iv. Declaration of ultimate beneficial owner
v. Any other supporting documents the compliance officer may consider necessary, e.g. contracts, invoices etc.

Attachments can be added to the report in the following format:
.doc,.docx,.xml,.png,.jpg,.pdf,.xls,.xlsx,.rtf.

Goods and Services:

If the transaction includes items of any kind, then these items have to be defined here as well.

1. In the transaction window, click on the icon for **Transaction items**. An input window is shown:



2. Enter the details for the item (fields marked with an asterisk are mandatory):

   i. **Item Type:** Select the type of item (e.g. a weapon) from the drop-down list.
   ii. **Description:** Describe the item (e.g. a “Walther PPK”).
   iii. **Previously Registered To/ Presently Registered To:** Enter the name of the previous and current owners here.
   iv. **Status:** Select the status of the item (donated, sold, destroyed…).
   v. **Size:** The measure and unit of the item.

Note: *Available units can be anything from square meters for real estate to calibre for weapons and are defined via customization. If you need an additional unit, contact your goAMLWeb representative.*

   i. **Registration number / Registration date:** If the item is registered, enter the number and date of the registration here.
   ii. **Item make:** The manufacturer of the item.
   iii. **Comments:** Add personal comments here.
   iv. **Estimated value:** Assign a reasonable value to the item.
   v. **Disposed value:** The effective value for this item in the transaction.

3. If the item is a property, click on the icon to unfold the **Address** section.
4. Enter all the available address details. Click on **Save**.
5. You can add comments in the **Status Comments** field if you have any. It can be anywhere b/w 0 and 500 characters.
6. Click on **Save Item**. The item information is added to the transaction and the dialogue window closes.
7. Save the transaction again.

Submit Report:

After you have completed the Web Report, added all the transactions, the transaction parties and items associated with the transactions, you can save all the details and **Preview** it before clicking on the Submit button.

1. Click on the **Submit Report** link. After a security check, the report is added to the submitted reports in the goAML Web database.

3 Drafted Reports

The Drafted Reports menu allows you quick access to the report you are currently working on (see section3.1: Current Report) and a list of all Not Submitted Web Reports (see section 3.2: Not Submitted Web Reports).

3.1 Current Report

The term "current report" refers to the unfinished goAML Web report you were last working on. To get back to this report:

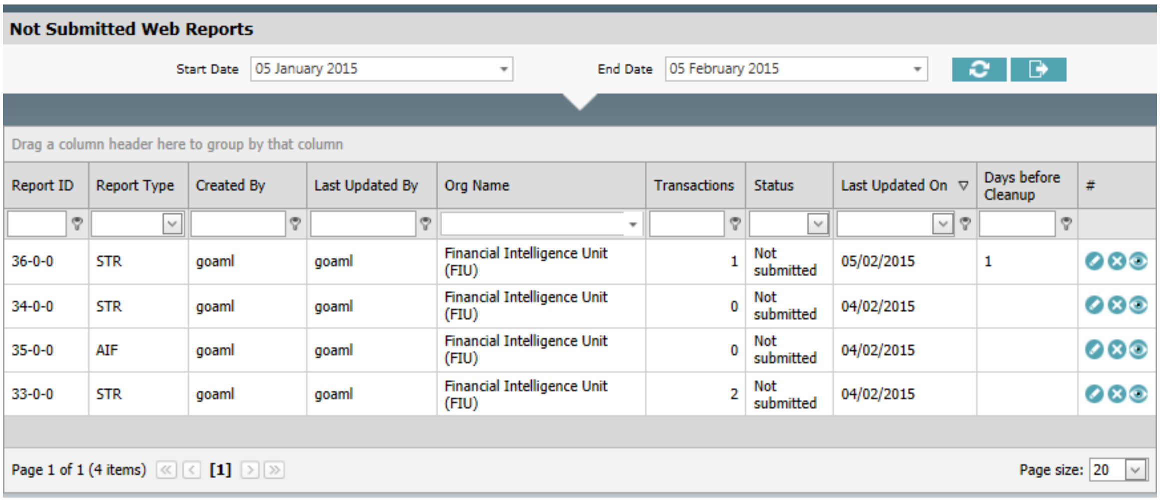
1. Select **Drafted Reports ▸ Current Report** from the menu bar. The report sheet is loaded and displayed.

Note: See section2.2: Create Web Report for details on creating Web reports.

3.2 Not Submitted Web Reports

While working with goAML Web, you will most probably have a number of yet unfinished reports that are shown as a list. These reports can be viewed, resumed or deleted. Furthermore, the list view can be filtered, if necessary.

1. Select **Drafted Reports ▸ Not Submitted Web Reports** from the menu bar. The list is loaded and displayed:



Filter view:

You can filter the list of incomplete Web reports view by selecting any of the given filter criteria Start Date and End Date. You can also filter by any of the columns provided if a column header is dragged and dropped in the area above columns.

2. Click on button in order to refresh the list.
3. Click on button in order to export the list in to pdf or excel file.

Resume editing a report:

To proceed with an unfinished report:

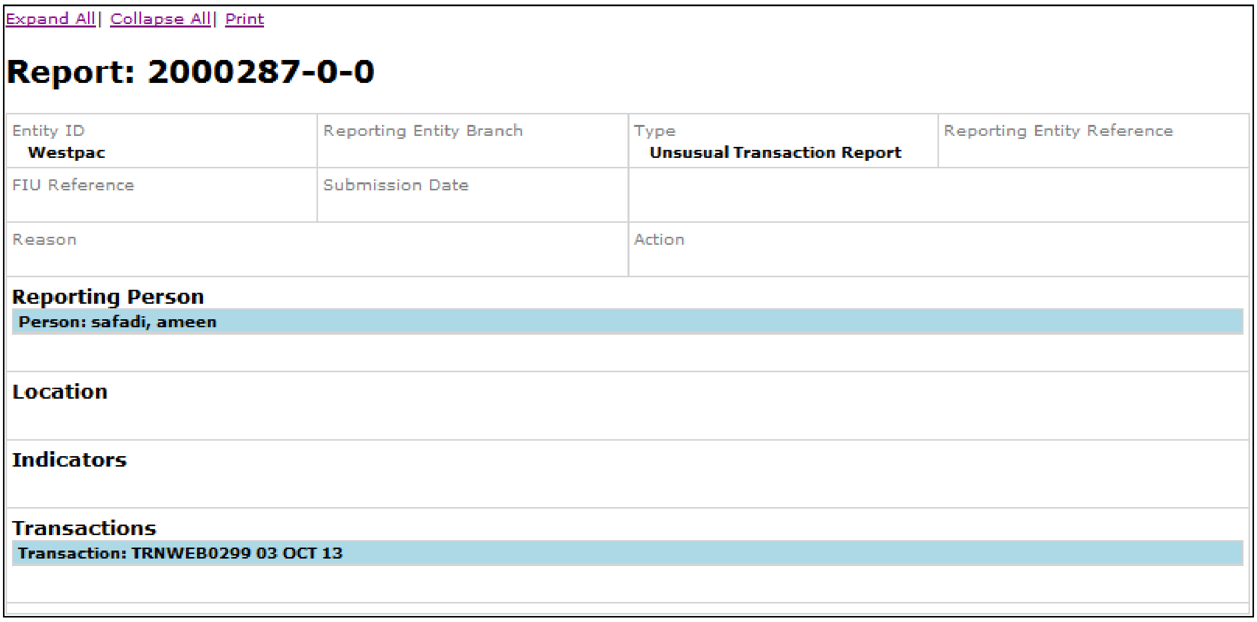
1. Click on icon or on the report's ID hyperlink. The report sheet is loaded and displayed.
2. Continue editing as required.

Note: See section 2.2: Create Web Report for details on creating Web reports.

Preview report document:

To preview the document of an unfinished report as it would look right now:

1. Click on **preview** The report form is generated and displayed. Click on the **Expand All** link to see all the report in its entirety or you click on **Collapse All** link to see the abridged form.



2. Click on **Print** link to make a printout.

Delete a report:

To delete an unfinished report:

1. Click on ✕. After a security check, the report is deleted.

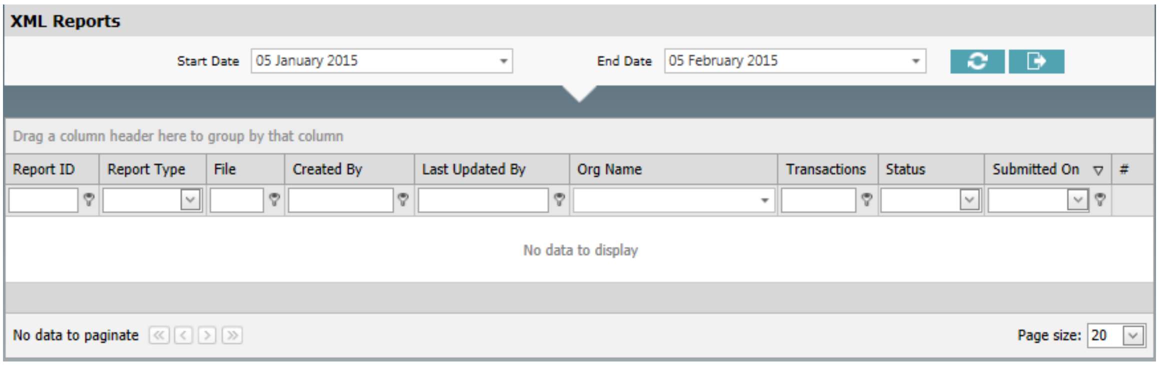
4 Submitted Reports

Every user can view his or her already submitted reports in their current state. goAML Web separates them into two lists containing uploaded XML reports (see section 4.1: Submitted XML reports) and manually created Web Reports (see section 4.2: Submitted Web Reports) respectively.

4.1 Submitted XML reports

To view the uploaded XML reports and their current state:

1. Select **Submitted Reports ▸ XML Reports** from the menu bar. The list is loaded and displayed:



Filter view:

You can filter the uploaded reports list by selecting any of the given filter criteria Start Date and End Date. You can also filter by any of the columns provided if a column header is dragged and dropped in the area above columns.

2. Click on  button in order to refresh the list.
3. Click on  button in order to export the list in to pdf or excel file.

Preview report document:

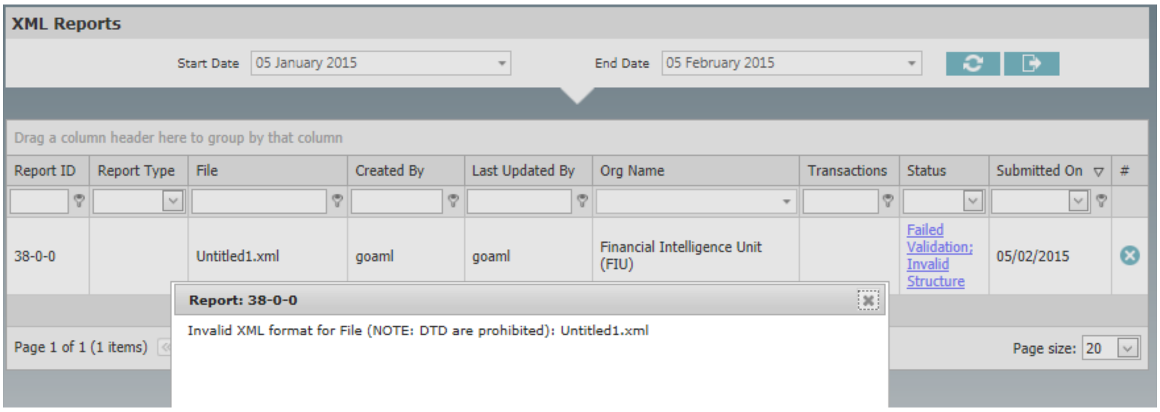
To preview the document of an unfinished report as it would look right now:

1. Click on  The report form is generated and displayed
2. Click on **Print this page** to make a printout.

Check failures:

To view the reason for a failed upload:

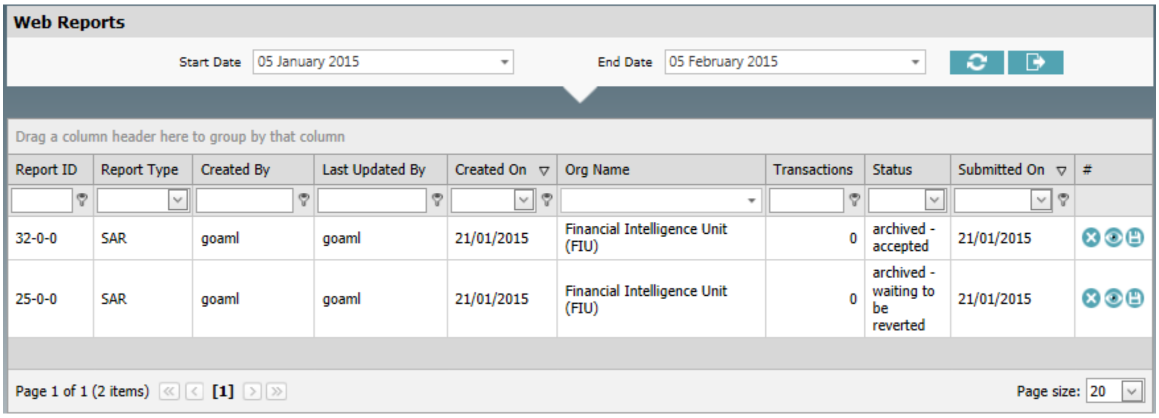
1. Click on the failure link in the **Status** column. The error message is displayed:


XML Reports
Start Date
05 January 2015
End Date
05 February 2015
Drag a column header here to group by that column
Report ID
Report Type
File
Created By
Last Updated By
Org Name
Transactions
Status
Submitted On
#
38-0-0
Untitled1.xml
goaml
goaml
Financial Intelligence Unit (FIU)
Failed Validation; Invalid Structure
05/02/2015
Report: 38-0-0
Invalid XML format for File (NOTE: DTD are prohibited): Untitled1.xml
Page 1 of 1 (1 items)
Page size: 20

4.2 Submitted Web Reports

To view the submitted Web Reports and their current state:

1. Select **Submitted Reports ▸ Web Reports** from the menu bar. The list is loaded and displayed:



Filter view:

You can filter the submitted reports list by selecting any of the given filter criteria Start Date and End Date. You can also filter by any of the columns provided if a column header is dragged and dropped in the area above columns.

1. Click on button in order to refresh the list.
2. Click on button in order to export the list in to pdf or excel file.

Download XML:

1. Click on . The report form is generated in XML format.
2. Click on **Print this page** to make a printout.

Preview report document:

To preview the document of a submitted report:

3. Click on . The report form is generated and displayed:
4. Click on **Print this page** to make a printout.

Delete a report:

To delete submitted report:

1. Click on . After a security check, the report is deleted.

Note: *When deleting, the submitted report is just removed from this view. No action is taken in the goAML database.*

5 Message Board

The goAML message board is the internal means of communication between goAML users. The intention is to connect the users of the goAML application with the reporting entities and stakeholders using the goAML Web Portal.

The advantage of an internal communication channel is that the two parties mentioned above can communicate from within the system. Reporting entities and stakeholders are notified immediately and automatically if their reports are accepted or rejected.

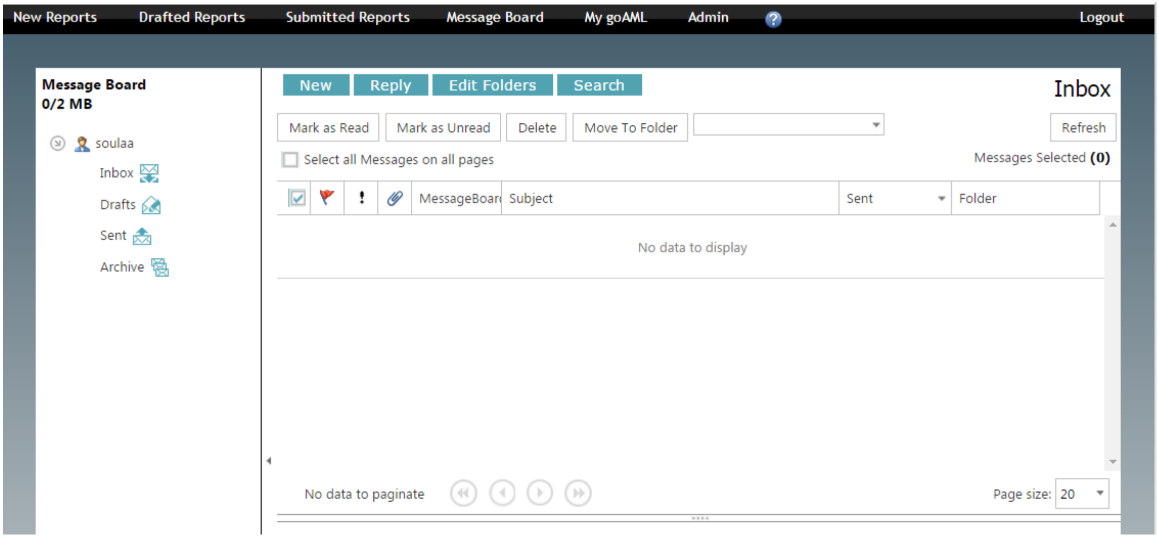
Properties:

- For practical reasons, the message board is organized like an email client.
- However, messages can only be sent from the users to the Financial Investigation Unit they report to and vice versa. Using it as an email replacement between the users of a task force or work group is not an application scenario.
- All users of a reporting entity or a stakeholder see the same messages. There are no individual message boxes.

Load Message Board:

To view your messages:

1. Select **Message Board** from the menu bar. The goAML message board is loaded and the **Inbox** displayed:



The user interface:

The message board interface consists of navigation panels and a tabular list of messages. The navigation panels offer hyperlinks for the following views:

- **Inbox:** All incoming messages.
- **Drafts:** All outgoing messages which are ready or in preparation, but not yet dispatched.
- **Sent:** All already sent messages.

- **Archive :** Remove/Hide the messages from the Inbox view but keep them for future reference.

Note: *The number in brackets indicates the number of unread messages in the inbox or the number of unsent drafts respectively.*

2. Click on a link to load the corresponding view.

The messages in the list provide the following information:

- **Check ( ):** The functional checkbox for the message (see below).
- **Flag ( ):** An optical reminder you can set if you want to draw your attention to that message (no processing features).
- **Priority (!):** Can be either high ( ), normal (default; no icon) or low ( ).
- **Attachment ( ):** Shows the paper clip icon, if the message contains an attachment.
- **Message Board Type:** Different view of automated messages regarding goAML reports in the inbox, filtering for different states i.e. Report fully accepted / Partially accepted / Rejected.
- **Subject:** The subject of the message. Automated messages regarding reports have a fixed subject structure Report– (attached file's name)– status.
- **Sent:** Time stamp when the message in the sent view was dispatched.
- **Folder:** in which folder the message is saved.

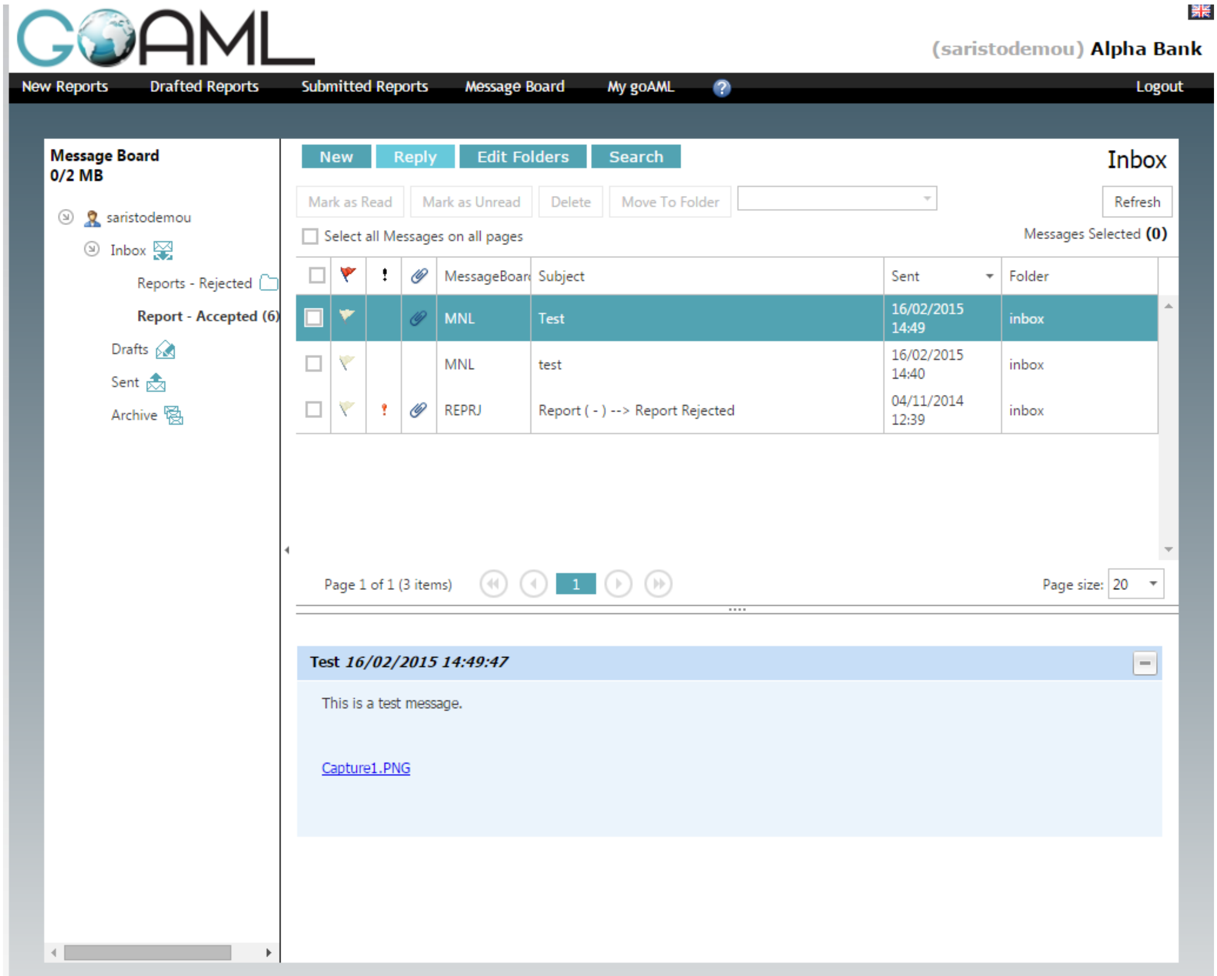
3. Click into the **Flag** column of a message to set or remove the flag symbol ( ).
4. To change the view state of a message, activate its checkbox and click on **Mark as Read** or **Mark as Unread** or **Delete** or to **Move to Folder** respectively.

You can read messages (see section 5.1: Read Message), reply to incoming messages (see section 5.2: Reply to Messages) or write new messages (see section 5.3: Write a Message).

5.1 Read Message

To read a message:

1. Click on the message subject. The message is displayed below:

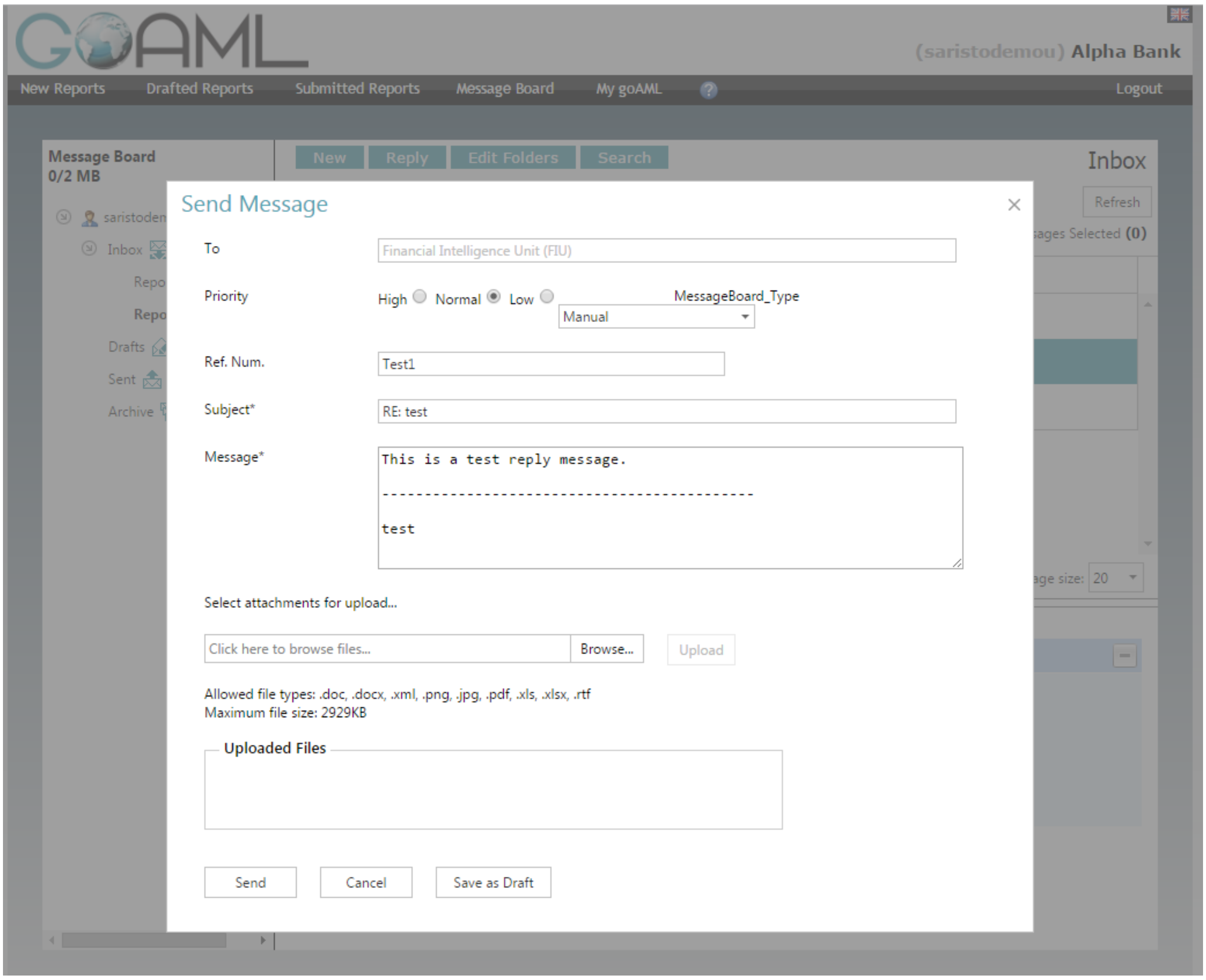


2. Click on **the attachment link(s)** to download and view the attachment(s).

5.2 Reply to Messages

To reply to an incoming message:

1. Click on **Post a reply**. An input form is loaded and displayed:

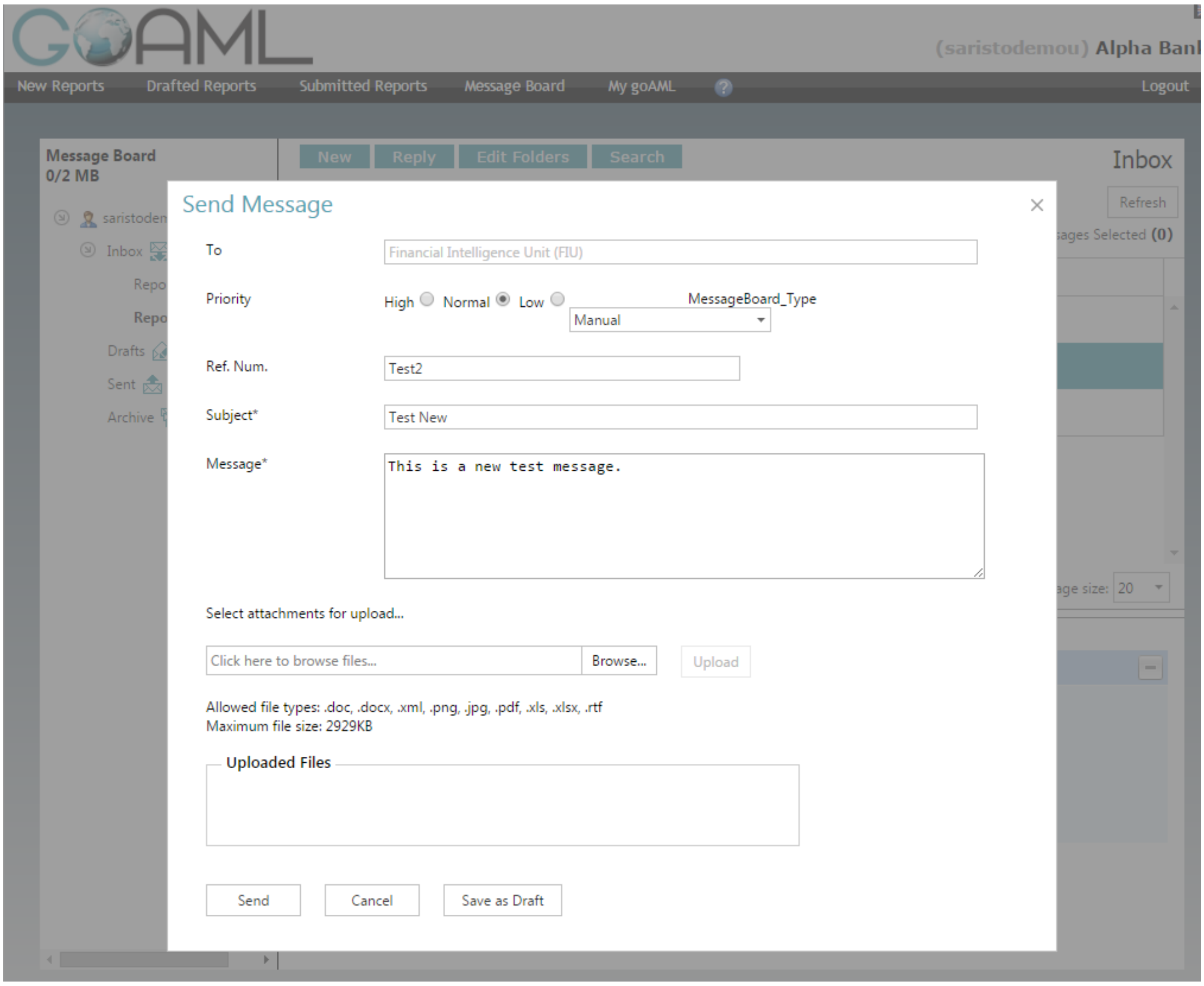


2. Select the **Priority** of your reply (high– normal– low).
3. Enter your reply into the text field.
4. If you want to attach a file, click on **browse** and select the file, you want to send with the reply.
5. Click on **Send** to dispatch the message or on **Save Draft** to save it for later use.

5.3 Write Message

To write a new message:

1. Click on **New** in the message board. An input window pops up:

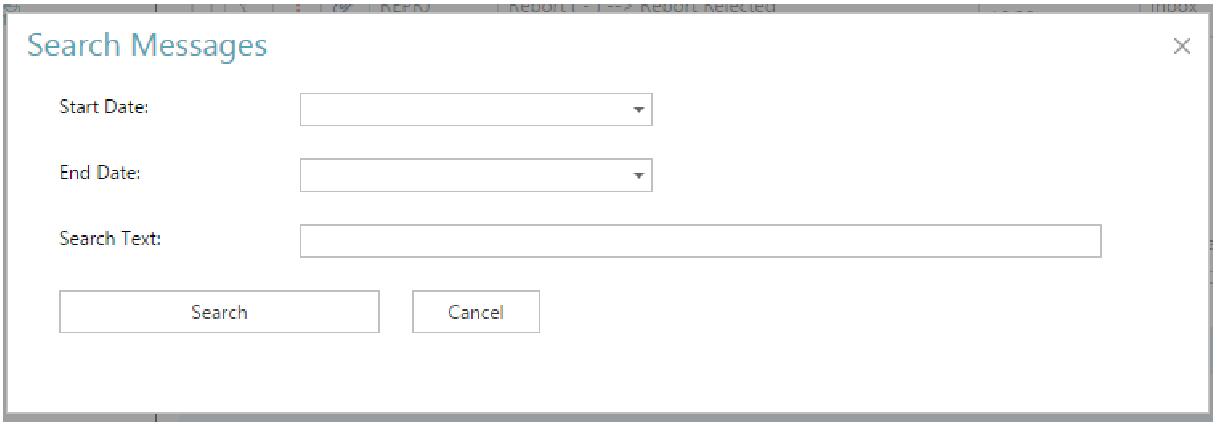


2. Select the **Priority** of your reply (high– normal– low).
3. Type a meaningful subject in to the field **Subject**.
4. Enter your message into the text field **Message**.
5. If you want to attach a file, click on **browse** and select the file you want to send with the message.
6. Click on **Send** to dispatch the message or on **Save Draft** to save it for later use.

5.4 Search Message

Any message that has been written, sent or archived can be searched using the **Message Search** feature.

You can filter the search results by date, or by typing a word in the **search text** field.



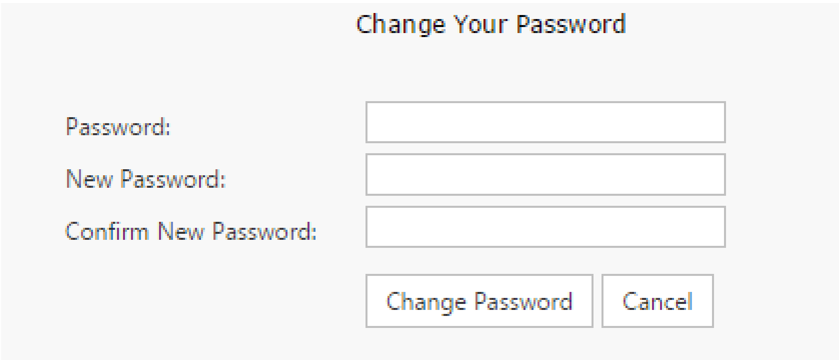
6 . My goAML

My goAML is the personal maintenance section for the individual goAML Web users. Here you can change your password (see section: 6.1 Change password), modify your personal data (see section: 6.2 My User Details) and modify the organisations data (see section: 6.3 My Org Details).

6.1 Change password

To change your goAML Web password:

1. Select **My goAML ▸ Change Password** from the menu bar. The password maintenance screen is loaded and displayed:



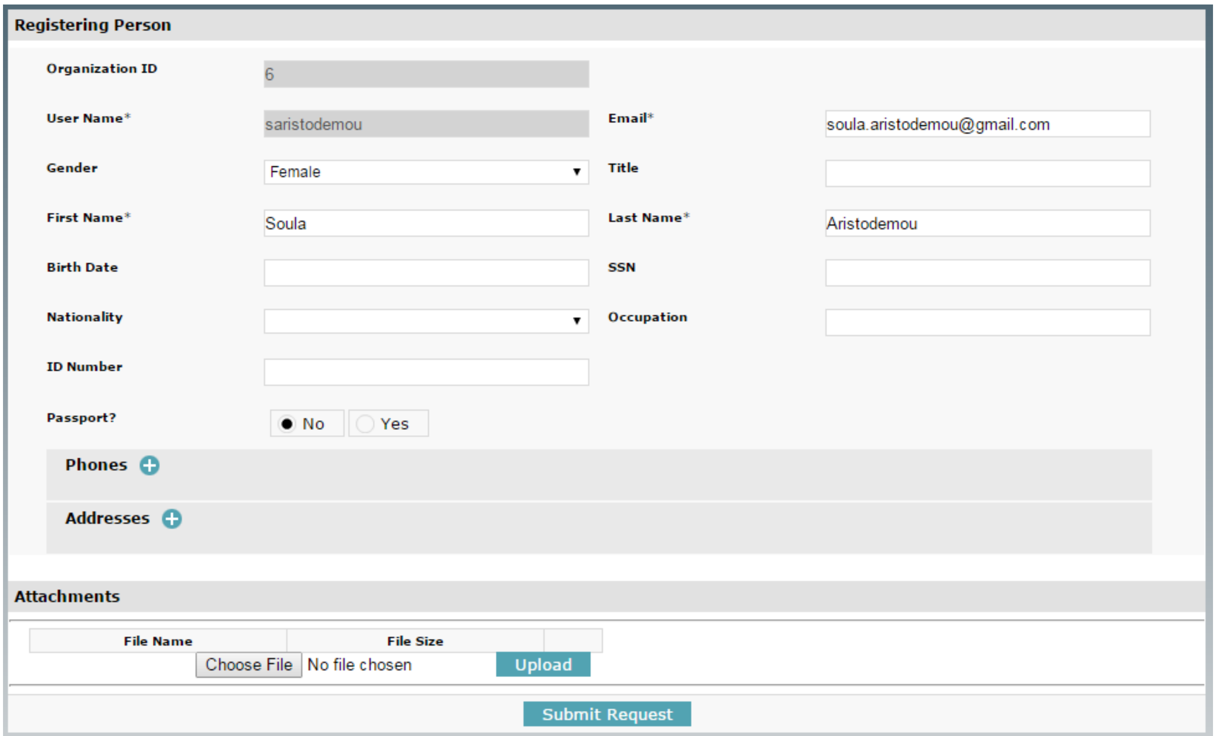
2. Enter your current password into the field **Password**.
3. Enter your new password into the fields **New Password** and **Confirm New Password** (at least 5 characters).
4. Click on **Change Password**. The new password is stored in the database and available for your next login.

Note: *If your password has been reset by a goAML administrator, then changing the password is the only action you can do right after your next login. After changing the system password to your own one, your full functionality is available again.*

6.2 My User Details

When something in your user data changes (e.g. you get a new phone number or change in the office address), you have to update your goAML Web user data accordingly:

1. Select **My goAML ▸ My User Details** from the menu bar. The user details screen with your user data is loaded and displayed:



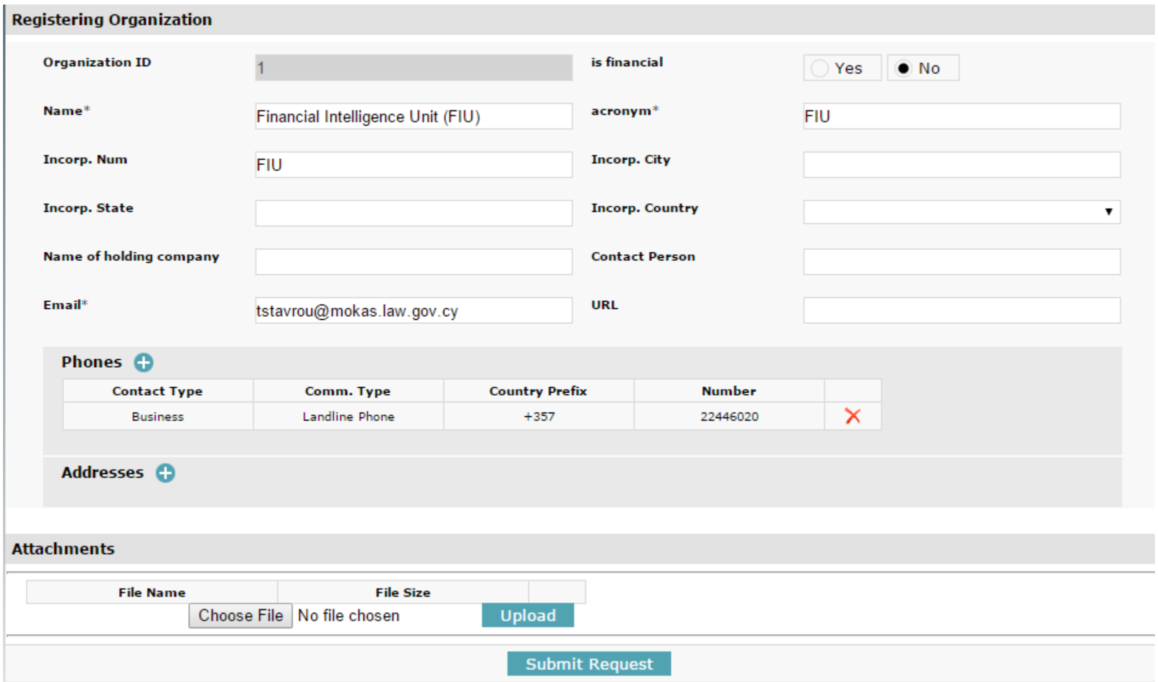
2. Adjust the data in the fields as necessary.
3. Click on **Save**. The changes are stored in the goAML Web database.

Note: *You cannot change your login name or form of address this way.*

6.3 My Org Details

If there is a change in the registering organization details (e.g. change in the phone number or address), you have to update your goAML Web user data accordingly (given that you have the access rights to do that):

1. Select **My goAML > My Org Details** from the menu bar. The Registering Organization details screen is loaded and displayed:



<u>Note:</u> All banking institutions have already been registered by the Project Team. The unique id of the banking institutions will be provided in due time. As some of the details of the organisations might change, we urge the compliance departments of the banking institutions to review their organisation details and update them accordingly.

7 Administration

For goAML Web users with administration rights, an additional menu **Admin** is available in the menu bar. Here you can customize the role (see section 7.1: Role Management) and user rights.

Note: *If you see the menu but not all entries mentioned above, then you simply do not have access permissions for all of them.*

7.1 Role Management

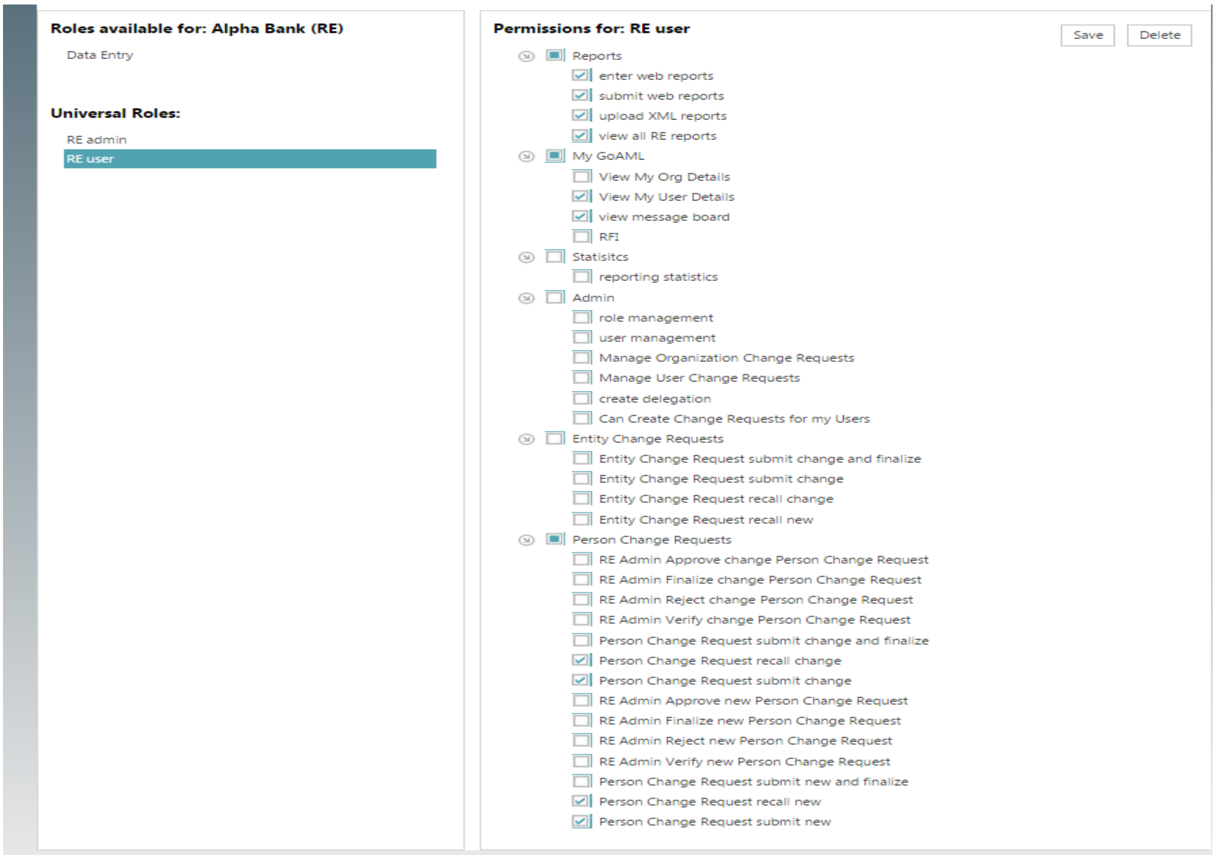
Roles in goAML are permission groups. In order to fulfil certain tasks, a person needs a certain set of access permissions, while other functions are not necessary for him or her. For instance, a controller needs wide access, but not to the maintenance modules, as this is intended for administrators only.

The role maintenance page is the location where such permission groups (“controller”, “administrator” etc.) are set up. Every role defines specific permissions for goAML Web. These roles are assigned to user accounts and thus define the users’ permissions

1. Select **Admin ▸ Role Management** from the menu bar. The role management page is loaded and displayed.

Note: “Ordinary” administrators can only edit the roles of their own reporting entity; the field is visible but deactivated for them.

2. Click on a **Role** to view the **Permissions** of that role:

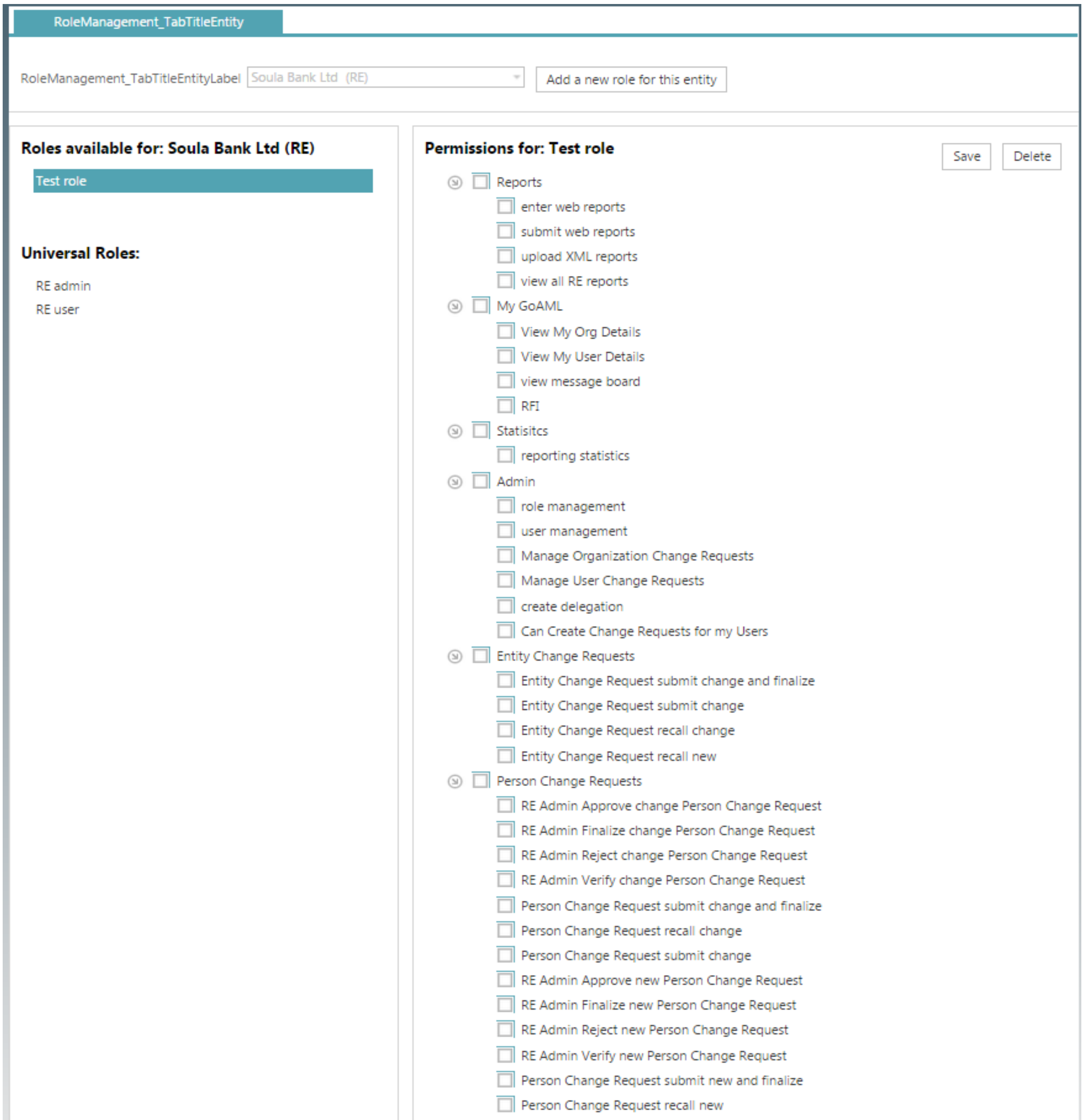


By default, three roles are available for every reporting entity: One for minimum access (user role), one general permissions package and one for the reporting entity's administrators. The permissions for these roles are part of the goAML Web set-up and thus cannot be modified. However, administrators can create their own roles with tailor-made access permissions at any time.

Add Role:

To create a new role:

1. Click on **Add new role**. An input form is loaded and displayed.
2. Enter a name for the new role into the field R**ole Name** and click **Create Role**.
3. Select the check box for the permissions you would like to give to certain role.



4. Click on **Save**. The new role is created in the goAML Web database and added to the list.

Edit Role:

To edit a role:

1. Select the role by clicking on its **Role name**.
2. Add permissions by activating (☑) or remove them by deactivating (☐) the respective checkboxes.
3. Click on **Save**. The role is updated accordingly in the goAML Web database.

Delete Role:

To delete an obsolete role from the database:

1. Select the role by clicking on its **Role name**.
2. Click on **Delete**. After a security check, the role is deleted and removed from all users having it.

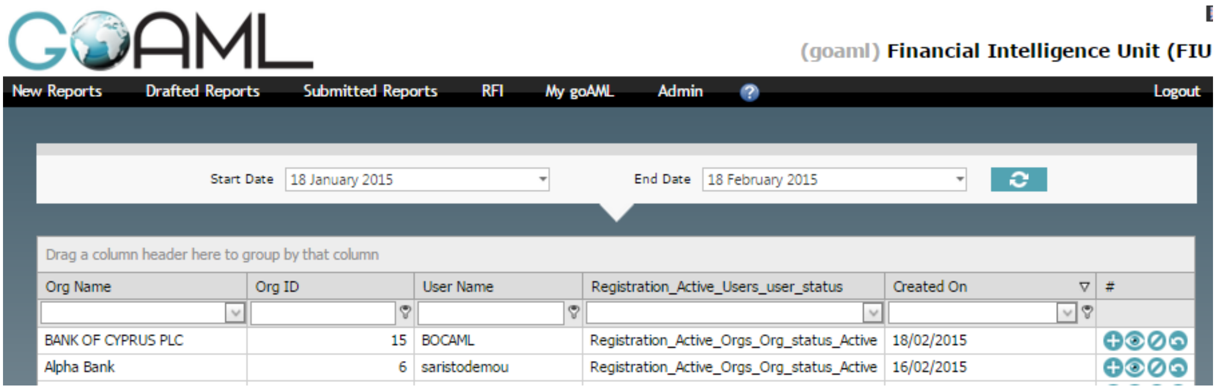
Note: *When a role is deleted, which was the last role a user had, then the user cannot login to goAML Web until a new role is assigned.*

7.2 User Management

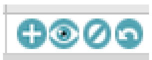
The user management module allows administrators to maintain the registered goAML Web users. Basically, this covers resetting their passwords if necessary and assigning or removing user roles (see section 7.1: User role management details on roles and permissions).

You can configure the active users associated with it here.

1. Select **Admin ▸ Active User Management** from the menu-bar. The User Management page is loaded and displayed.



2. Select the **Collaborating Agency** from the drop-down menu.

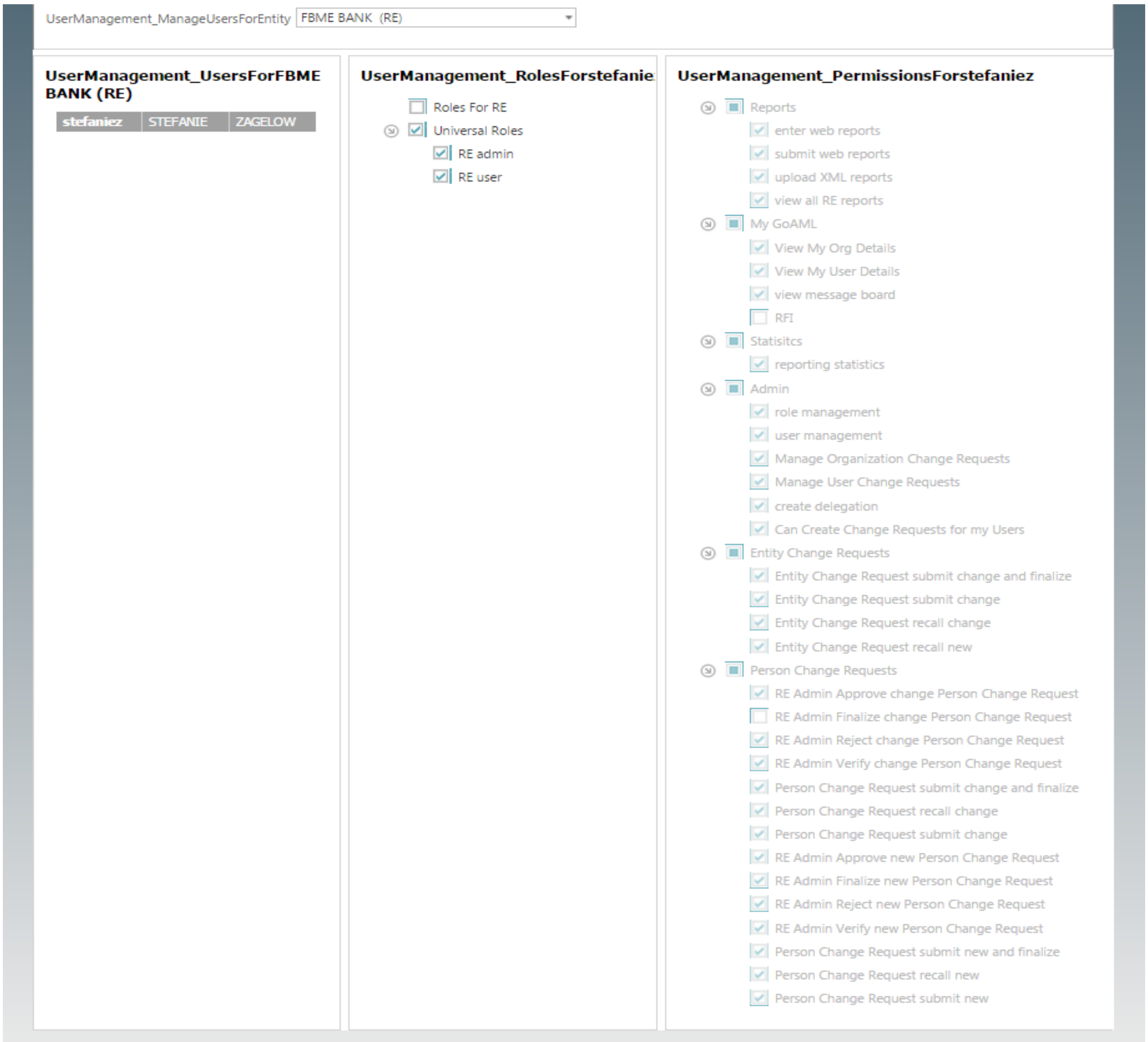
3. Select the **Org Name** and click  in order to update information, to preview relevant user information, to disable user or reset password respectively.

Note: *"Ordinary" administrators can only edit the users of their own reporting entity; the field is visible but deactivated for them.*

7.3 User Role Management

You can configure the user access roles with it here.

Select **Admin ▸ User Role Management** from the menu-bar. The User Role Management page is loaded and displayed.



3. Click on a **User** in the list to view the active (☑) **Roles** and **Permissions** of that user and if the user is currently active (☑) and thus can login to goAML Web or disabled (☐).

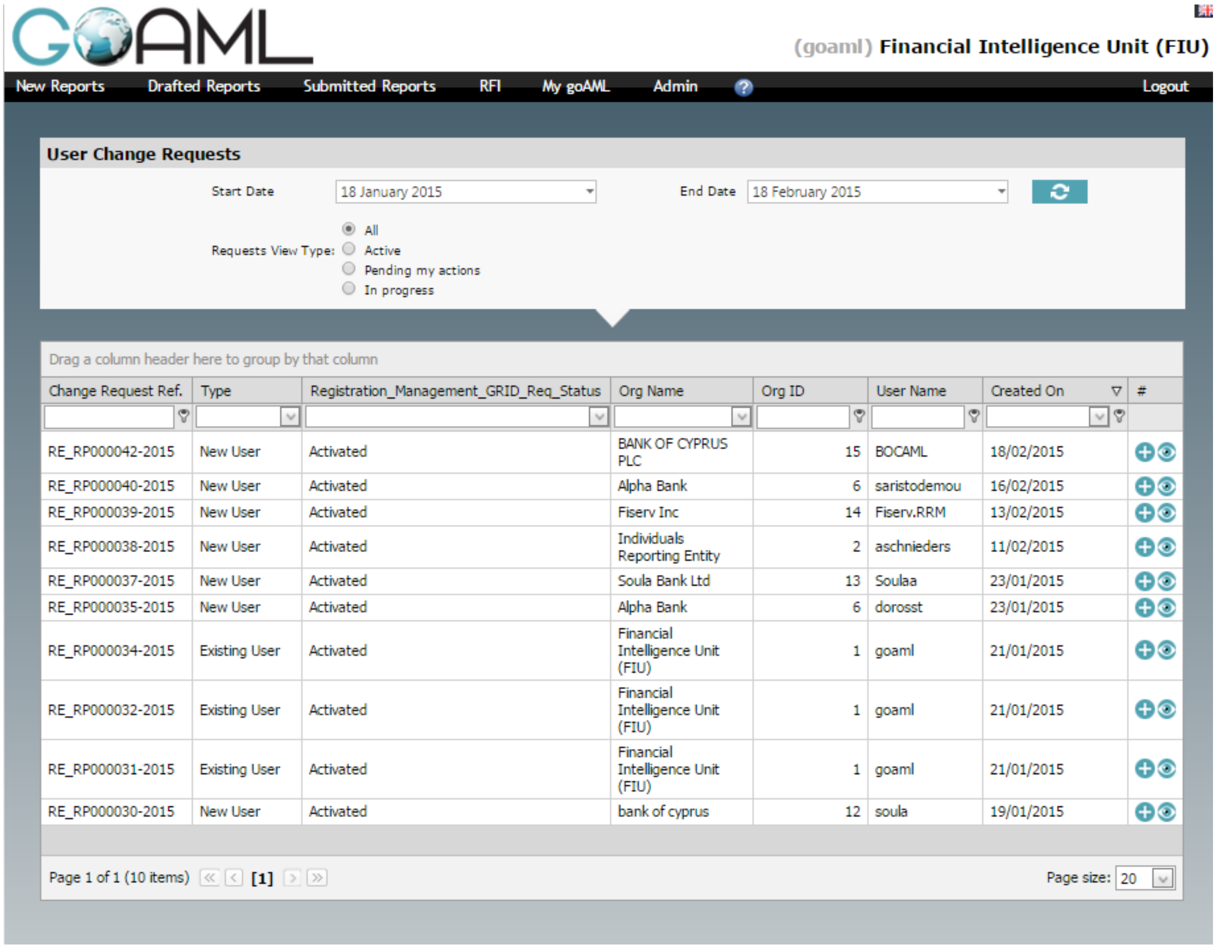
Edit role assignments:

To modify the roles and, as a consequence, the access permissions of a user:

1. Select the user by clicking on it in the **User** column.
2. Add roles by activating (☑) or remove them by deactivating (☐) the respective checkboxes in the **Roles** column. The permissions in the **Permission Preview** are updated accordingly.
3. Click on **Save**. The role is updated accordingly in the goAML Web database.

7.4 User Request Management

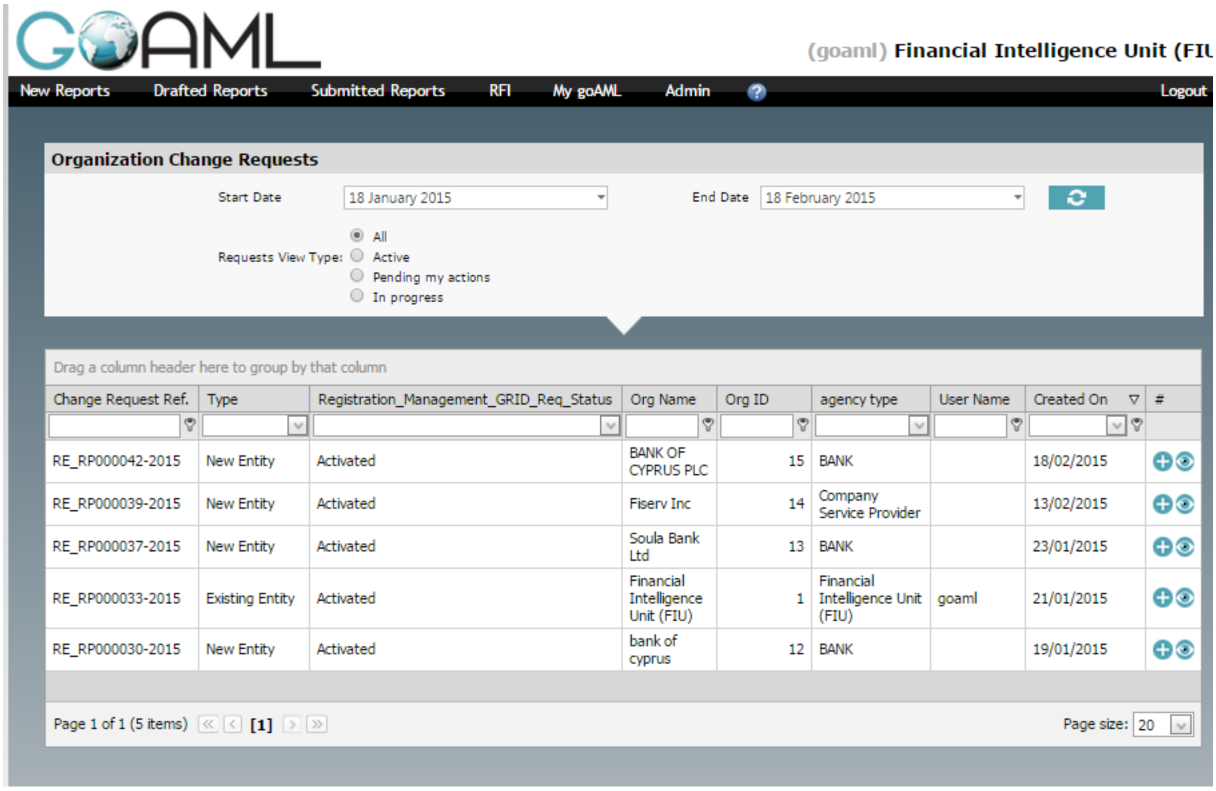
This allows you to view all the change requests made by the user. It is possible to filter these requests by **Start Date** , **End Date** or **Request Ref**, **Request type, Request Status**, **Reporting Entity** etc.



7.5 Org Request Management

This allows you to view all the change requests made by the organization. It is possible to filter these requests by **Reference, Type**, **Status**, **Org Name**, **Org ID**, **Agency Type**, **Created By** and **Created On**.

1. You can change the Selected Delegating Organization from the drop-down menu.



7.6 Reporting Statistics

This allows for an overview of all the Report Types (STR, SAR etc) uploaded in goAML and they can be displayed in any of the available formats. The different Report Types can be filtered and displayed in a Pivot grid by different parameters. The graphic representation of the data is also possible in one of the options available in the **Chart Type** drop-down. This can be used for presenting the data for analytical purposes. You can export the grid as PDF or Excel file. You may also export the chart as xls, xlsx, mht, jpeg, bmp, tiff, gif, png format.