

THEMIS MLRO Manual

States of Guernsey

Author	Trish McDonough
Position	Test Analyst
Contributors	Emma Quinn, Helen Ward
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Global House
Isle of Man Business Park
Cooil Road
Douglas
Isle of Man, IM2 2QZ
Tel: +44 (0) 1624 664000
Fax: +44 (0) 1624 678787
Email: sales@pdms.com
Web: www.pdms.com



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1 Terms of reference

This document provides the instructions on the usage of the Themis MLRO Portal.

1.1 Change history

Revision	Date	Author	Summary of changes
Draft	13/05/2010	Trish McDonough	None – 1 st Draft
1.0	14/05/2010	Trish McDonough	Updates made after initial review
1.1	27/05/2010	Trish McDonough	Update to include Town of Birth field
1.2	15/06/2010	Trish McDonough	Update to include amendments made during UAT testing
1.3	22/06/2010	Trish McDonough	Update to include Account amendments

2 Glossary / Abbreviations

Word	Description
CSV	Comma Separated Values. A file type that can be opened in Microsoft Excel
FIS	Financial Intelligence Service
FLN	Financial Liaison Notice
FSB	Financial Services Business
MLRO	Money Laundering Reporting Officer
PDF	Portable Document Format. A file type that can be opened in Adobe Acrobat Reader

3 Internet Browser Compatibility

The THEMIS MLRO Portal has been optimised for use in the following internet browsers:

- Internet Explorer version 6
- Internet Explorer version 7
- Internet Explorer version 8
- Firefox
- Safari
- Opera

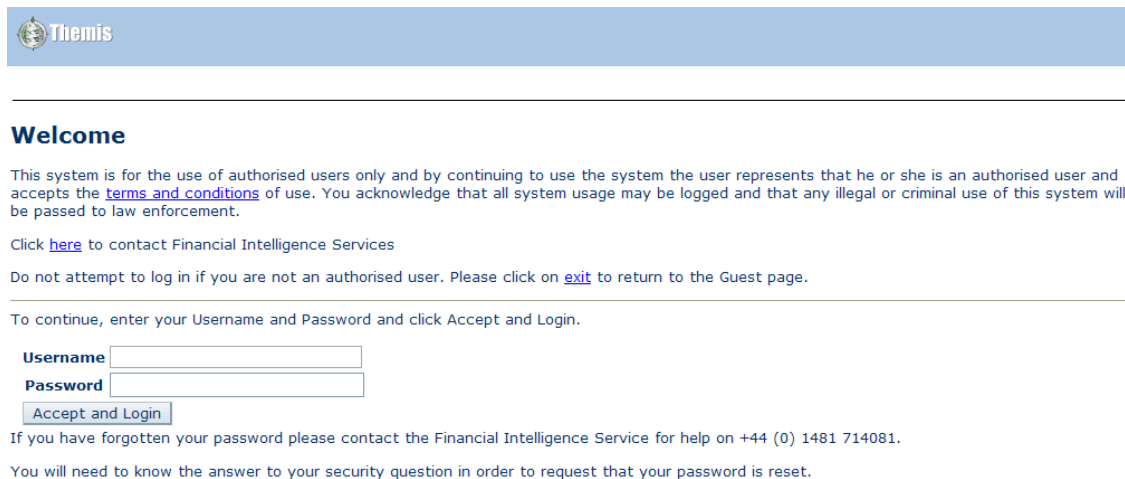
The MLRO Portal will operate successfully in Chrome but may have some cosmetic differences.

4 Login / Logoff

4.1 Login to the MLRO Portal

To login to the THEMIS MLRO Portal a user account and password are required.

When navigating to the THEMIS MLRO Portal the first screen that will appear will be a Welcome screen.



Welcome

This system is for the use of authorised users only and by continuing to use the system the user represents that he or she is an authorised user and accepts the [terms and conditions](#) of use. You acknowledge that all system usage may be logged and that any illegal or criminal use of this system will be passed to law enforcement.

Click [here](#) to contact Financial Intelligence Services

Do not attempt to log in if you are not an authorised user. Please click on [exit](#) to return to the Guest page.

To continue, enter your Username and Password and click Accept and Login.

Username

Password

If you have forgotten your password please contact the Financial Intelligence Service for help on +44 (0) 1481 714081.

You will need to know the answer to your security question in order to request that your password is reset.

To view the Terms and Conditions of the MLRO Portal




- 🖱 Click on the terms and conditions link
- ❖ This will open the system terms and conditions in a popup window.

To contact the Financial Intelligence Service

- 🖱 Click on the contact Financial Intelligence Service link
- ❖ This will display a screen with a form where a message can be entered for the Financial Intelligence Service.

This form is for general enquires only and not to be used for urgent or confidential matters.

To login to the system

-  Enter the correct username in the username field
-  Enter the correct password in the password field
-  Click Accept and Login

If the login is successful

- ❖ The welcome screen will be replaced with another screen.
 - If this is the first time a user has logged into the system or they have not changed their password recently the Change Password screen will be displayed.
 - If the user is representing more than one organisation, the Choose FSB screen will be displayed.
 - Alternatively the MLRO Portal Home page will be displayed.


If invalid credentials are entered

- ❖ A Login Failed message will be displayed on the Welcome screen

If the password is entered incorrectly three times then the user account will be suspended.

If it is thought that the correct credentials have been entered and the Login Failed message is displayed the account may be suspended. A FIS administrator will need to be contacted to have the account re-activated.

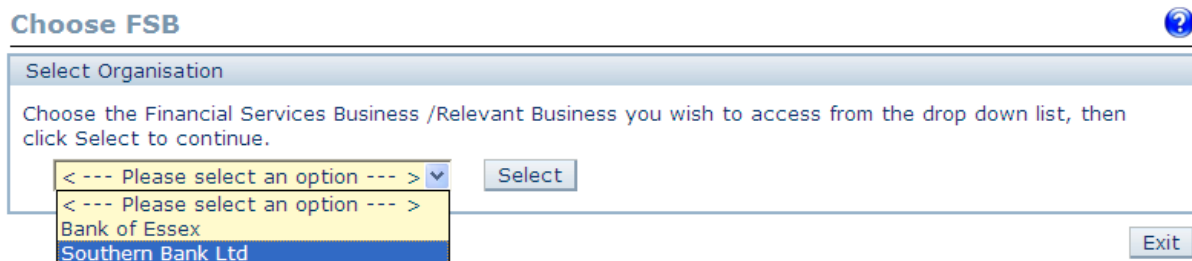
To exit the system without logging in

-  Click on the exit link
- ❖ This will exit the system and open the Guest screen.



4.1.1 MLRO Representing more than one organisation

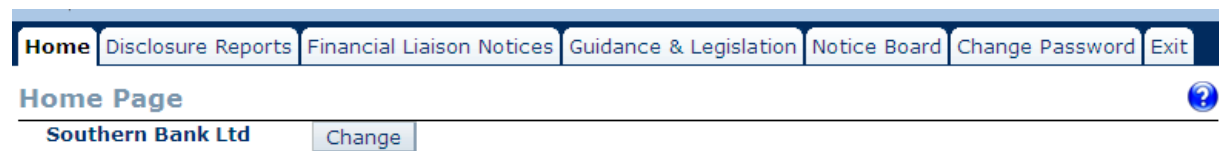
It is possible for one MLRO to represent more than one organisation. If this is the case, once the user has successfully logged in, the Choose FSB screen will be displayed to allow the user to select the organisation they are currently representing.

If a user only represents one organisation this screen will not be displayed.



To select the organisation to represent

-  Select the organisation from the dropdown list.
-  Click the Select button
- ❖ The homepage of the selected organisation will be displayed.



The name of the organisation currently represented will be displayed on the main screens of the site.

It is only possible to view records for one organisation at any given time.

To change the organisation represented

- ✎ Click the Change button on the homepage.
- ❖ This will return the user to the Choose organisation screen, where they may reselect an organisation.

To exit the system without proceeding

- ✎ Click the Exit button
- ❖ This will display the guest screen of the system.

4.2 Logoff



To logoff the MLRO Portal

- 🔑 Click on the Logoff link at the top of one of the main screens
- or
- 🔑 Click the Exit tab from one of the main screens.
- ❖ This will log the user off the site and display the guest page.

4.3 Change Password

In the following circumstances a user will not be able to continue to enter the system after logging in until the user's password is changed:

The first time a user logs into the system

The first time a user logs into the system after their password has been reset by FIS

A user logs in and their password has not been changed for a period of time

In these circumstances the Change Password screen will be displayed and it will not be possible to navigate to another area of the MLRO Portal.

The change password screen can also be displayed by clicking the Change Password tab at the top of the main screens, allowing a user to voluntarily change their password. In this case the user is not obliged to change their password and may navigate back to another area of the site.

Change Password ?

Details

Your new password must be at least 8 characters in length and contain both letters and numbers and cannot be a repeat of any of your previous 5 passwords.

Current Password	••••••••
New Password	
Confirm New Password	

If you have forgotten your password please contact the Financial Intelligence Service for help on +44 (0) 1481 714081

To change password

- 🔑 Enter the current password in the current password field
- ❖ Enter a new password in the New Password field, repeat the password in the Confirm New Password field.

The new password must be at least 8 characters in length; contain both letters and numbers and cannot be a repeat of any of the previous five passwords.

**Click Save**

- ❖ Validation will ensure the new password is suitably secure, the current password has been entered correctly and the password entered in the New Password field and Confirm New Password fields are the same. If validation fails an error message will be displayed at the top of the screen. If validation is successful the password will be changed and the Home Page will be displayed.

Clicking Exit on the Change Password screen will exit the MLRO Portal.

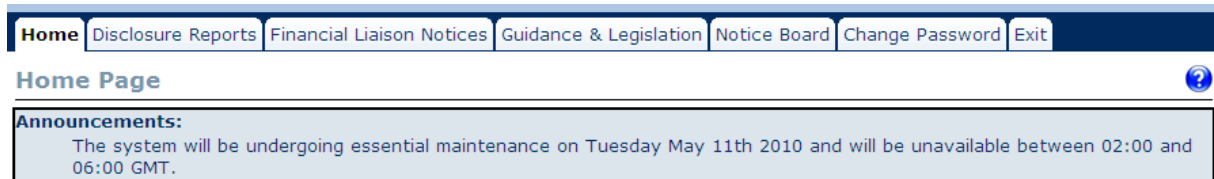
4.4 Timeout

If a user has not carried out any actions for a period of time they will be automatically logged out of the system.


Navigating within the site, clicking tabs and buttons constitute actions; however editing text does not, so it is advisable to Save regularly.

5 Announcements

On occasion FIS may display announcements on the homepage. Announcements will remain until removed by FIS.



The screenshot shows the FIS homepage with a navigation bar at the top containing links: Home, Disclosure Reports, Financial Liaison Notices, Guidance & Legislation, Notice Board, Change Password, and Exit. Below the navigation bar, the page is titled "Home Page" with a help icon. A blue-bordered box labeled "Announcements:" contains the text: "The system will be undergoing essential maintenance on Tuesday May 11th 2010 and will be unavailable between 02:00 and 06:00 GMT."

Home Disclosure Reports Financial Liaison Notices Guidance & Legislation Notice Board Change Password Exit
Home Page 
Announcements: The system will be undergoing essential maintenance on Tuesday May 11th 2010 and will be unavailable between 02:00 and 06:00 GMT.

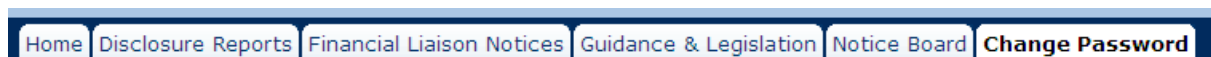
6 Common Functions, Features and Fields

Throughout the system a number of common functions and fields are repeatedly used. These are detailed in the sections below:

6.1 Navigating

After successfully logging in to the MLRO Portal the first screen displayed is the Home Page. From the Home Page it is possible to access the other areas of the site by using the tabs at the top of the screen.

Each of the main areas display tabs to allow navigation between the areas of the site.



The main areas are:

- Home Page
- Disclosure Reports
- Financial Liaison Notices
- Guidance and Legislation
- Notice Board
- Change Password

6.1.1 Exit button

When opening records such as disclosures and subparts of records, such as the details of a subject of a disclosure, the screens displayed have Exit buttons.

The Exit button on a screen will return the user to previous or 'parent' screen, until the user returns to one of main areas of the site where the tabs are displayed.

Do not use the browser Back button.

6.2 Help



All screens in the MLRO portal have a blue and white help icon in the top right hand corner of the screen.

To view the help for the screen

- Click the Help icon

- ❖ A popup window will open displaying further information about the fields and functionality of the screen.

If the user has a popup blocker enabled it may prevent the help window from opening.

To exit the help popup

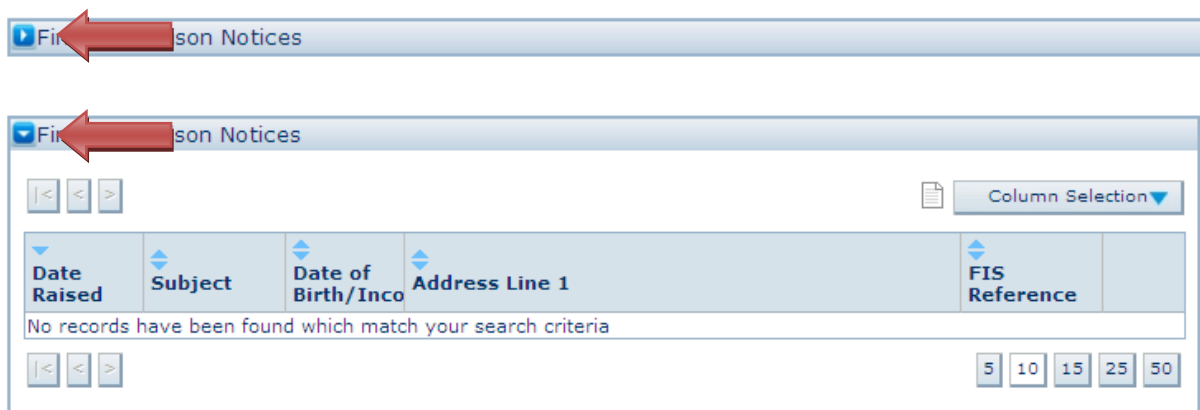
- Click the Close button

6.3 Collapse / Expand Areas

In some parts of the site, data is contained within a pane which can be expanded and collapsed on the screen, for example, search results and criteria.

To expand or collapse a pane

- Click the blue and white arrow icon on the left hand side of the title bar.



6.4 Datapagers

Datapagers are used to list records in a table format. Datapagers permit the user to modify the records currently displayed on the screen.

Record(s) 1-5 Turn row count on Column Selection ▼

Date Entered	Subject	Status	FIS Reference	Discloser Reference	Unread FIS Comm	Created By FIS	
12th May 2010	BLOGGS, Michael	Submitted	10 05 2537		Yes	No	View
12th May 2010	FERRET, Matthew	Submitted	10 05 2533		Yes	No	View
12th May 2010	BLOGGS, Michael	Submitted	10 05 2531		Yes	No	View
12th May 2010	The Kevinson Charitable Foundation	Submitted	10 05 2525		Yes	No	View
12th May 2010	BRADSHAW, James	Submitted	10 05 2523		Yes	No	View

Record(s) 1-5 Turn row count on 5 10 15 25 50

The functionality that is available in datapagers is described in the following sections.

6.4.1 Expand Column

When a Data Pager column contains more than one item, for example the subjects of a Disclosure, only the first item will be listed and a green arrow will appear next to the column.

9th Apr 2010	HARRISON, Terrence	▼	1	10 04 1923	Not yet received	DSU-223-0410	View
--------------	--------------------	---	---	------------	------------------	--------------	------

9th Apr 2010	HARRISON, Terrence Waydais Ltd	▲	10 04 1903	10 04 1923	Not yet received	DSU-223-0410	View
--------------	-----------------------------------	---	------------	------------	------------------	--------------	------

To view or hide additional information

- 🖱️ Click the green arrow
- ❖ The row will expand to show the additional items or collapse to only display the first item.

6.4.2 Export

<div> <div> <div>1</div> <div>2</div> </div> <div>Record(s) 1-5</div> <div>Turn row count on</div> </div> <div> <div>Column Selection</div> </div>							
Date Entered	Subject	Status	FIS Reference	Discloser Reference	Unread FIS Comm	Created By FIS	
12th May 2010	BLOGGS, Michael	Submitted	10 05 2537		Yes	No	View
12th May 2010	FERRET, Matthew	Submitted	10 05 2533		Yes	No	View
12th May 2010	BLOGGS, Michael	Submitted	10 05 2531		Yes	No	View
12th May 2010	The Kevinson Charitable Foundation	Submitted	10 05 2525		Yes	No	View
12th May 2010	BRADSHAW, James	Submitted	10 05 2523		Yes	No	View
<div> <div> <div>1</div> <div>2</div> </div> <div>Record(s) 1-5</div> <div>Turn row count on</div> </div> <div> <div>5</div> <div>10</div> <div>15</div> <div>25</div> <div>50</div> </div>							

To export the contents of the datapager

- 🖱️ Click the export icon at the top right of the datapager
- ❖ A CSV file will be produced which contains all records in the datapager in the current sort order.

For any records which have expandable column; only the first value in the column will appear in the CSV export.

6.4.3 Column Selection



To modify the columns displayed in a datapager

- ✎ Click the Column Selection button in the top right of the datapager
- ✎ Select or de-select one of more of the columns
- ✎ Click the Apply button
- ❖ The datapager will be updated to only contain the options selected.

Columns in the Data Pager that contain options, for example, view links or tag boxes cannot be de-selected.

6.4.4 Row Count

By default the number of records is not displayed in the datapager.

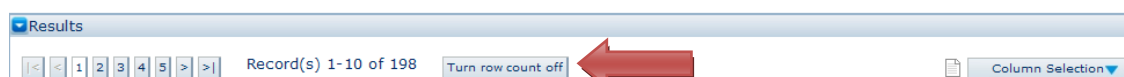
To see the number of records

- ✎ Click the Turn Row Count On button.
- ❖ The datapager will update to show the number of records at the top left of the datapager.



To hide the number of records

- ✎ Click the Turn Row Count Off button.
- ❖ The datapager will update and will no longer show the number of records at the top left of the datapager.



6.4.5 Number of Results per page

By default the datapagers in the system will display up to 10 records.

Record(s) 1-5 Turn row count on Column Selection

Date Entered	Subject	Status	FIS Reference	Discloser Reference	Unread FIS Comm	Created By FIS	
12th May 2010	BLOGGS, Michael	Submitted	10 05 2537		Yes	No	View
12th May 2010	FERRET, Matthew	Submitted	10 05 2533		Yes	No	View
12th May 2010	BLOGGS, Michael	Submitted	10 05 2531		Yes	No	View
12th May 2010	The Kevinson Charitable Foundation	Submitted	10 05 2525		Yes	No	View
12th May 2010	BRADSHAW, James	Submitted	10 05 2523		Yes	No	View

Record(s) 1-5 Turn row count on 5 10 15 25 50

To increase or decrease the number of records displayed on each page

- Click the page size numbers at the bottom right of the datapager.

6.4.6 Paging

If there are more records in the datapager than the current page size, additional pages will be available.

Results

Record(s) 1-5 Turn row count on Column Selection

To display the next or previous page of records in a datapager

- Click the next or previous page number at the top or bottom left of the datapager
- or
- Click the right arrow (>) or left arrow (<) buttons at the top or bottom left of the datapager
- This will change the records displayed to be the records on the next or previous page.

When Row Count is turned off only the next page and previous page will be selectable.

When Row Count is turned on up to five pages will be selectable.

Results

Record(s) 1-5 Turn row count off Column Selection

To display a specific page of records in a datapager

- Click the page number required at the top or bottom left of the datapager.
- This will change the records displayed to be the records on the page number selected.

To display the first or last page of records in a datapager

- Click the (<) icon or the (>) icon at the top or bottom left of the datapager
- This will change the records displayed to be the records on the first or last page.

The last button (>) option is only available if Row Count is turned on.

6.4.7 Sorting

Columns in Data Paggers that can be sorted have up and down arrows above the column name.

The column that has only one arrow is the one that is currently sorted; in the example below, it is the Date Raised column.

Date Raised	Subject	Date of Birth/Incorp	Address Line 1	FIS Reference	
10th Jun 2010	JENNY CALLOW	1st Mar 1987	Not Available	10 06 1191	View
10th Jun 2010	CALLOW'S ABATTOIR	1st May 1923	Callow's Yard	10 06 1191	View
10th Jun 2010	CALLOW'S HAPPY CAMPERS	Not Available	Not Available	10 06 1191	View
10th Jun 2010	CALLOW'S YARD	5th Apr 2010	Not Available	10 06 1191	View

The direction of the arrow indicates the sort order of the column. If the arrow is pointing up then the column is sorted in ascending order. If the arrow is pointing down then the column is sorted in descending order.

To sort the datapager on a currently unsorted column

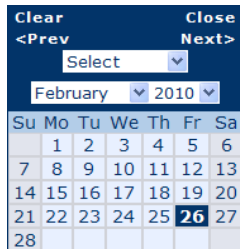
- Click anywhere in the heading cell of the column
- The datapager will be sorted on this column in descending order.

To change the sort order of a sorted column

- Click anywhere in the heading cell a sorted column.
- The datapager sort order will be reversed.

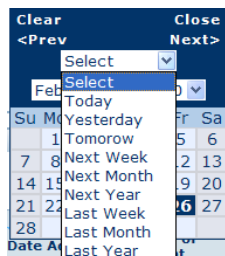
6.5 Entering dates using the calendar

To enter known dates using the calendar function



- ☞ Click the calendar icon next to any date field
- ❖ The calendar popup will appear and the current month will be displayed
- ☞ Navigate to the required date using the <Prev and Next> links or the Month and Year dropdowns.
- ☞ Click the date box to select the required date.
- ❖ The calendar popup will close and the date clicked will be populated in the date fields on the screen.

To enter relative dates using the calendar function



- ☞ Click the calendar icon next to any date field
- ❖ The calendar popup will appear and the current month will be displayed
- ☞ Select an option from the relative date dropdown, the options are; Today, Yesterday, Tomorrow, Next Week, Next Month, Next Year, Last Week, Last Month and Last Year
- ❖ The calendar popup will close and the date field will be populated with the appropriate date.

7 Home Page

The MLRO Portal Home Page is designed to allow instant viewing of items which are in progress or require attention.

The homepage is the first page displayed when the user logs into the MLRO portal for a particular organisation.

The Home page can be accessed once logged in by clicking the Home tab.

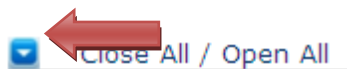
The homepage is split into four areas: Disclosure Report, Consent / Non-Consent, Financial Liaison Notices and Notice Board.

7.1 Expanding and collapsing home page areas

If any of the four areas; Disclosure Report, Consent / Non-Consent, Financial Liaison Notices or Notice Board, do not have records to display, the area pane will be collapsed and just the title bar will be displayed.

To expand a pane or collapse all homepage panes

- Click the blue and white arrow icon next to the Close All / Open All text at the top of the homepage.



7.2 Disclosure Report

This area lists all the Disclosures for the represented organisation that meet the following criteria:

- The disclosure has a status of Pending and has not been archived
- The disclosure has been submitted and has a communication from FIS that has not been read yet
- The disclosure has been created by FIS on behalf of the organisation

Disclosure Report							
<div> <div> <div></div> <div></div> <div>1</div> <div></div> <div></div> </div> <div>Record(s) 1-5</div> <div>Turn row count on</div> </div>		<div> <div></div> <div>Column Selection</div> </div>					
Date Entered	Subject	Status	FIS Reference	Discloser Reference	Unread FIS Comm	Created By FIS	
7th Jun 2010	Higgins Trading	Submitted	10 06 1003		Yes	No	View
7th Jun 2010	Bradford Accounts Ltd	Submitted	10 06 997		Yes	No	View
7th Jun 2010	DOE, Jane	Submitted	10 06 989	From DL	Yes	No	View
7th Jun 2010	Southern Bank	Pending	10 06 1007		No	No	View
21st May 2010	DOE, Jane	Submitted	10 05 2000	324234	No	Yes	View
<div> <div> <div></div> <div></div> <div>1</div> <div></div> <div></div> </div> <div>Record(s) 1-5</div> <div>Turn row count on</div> </div>		<div> <div>5</div> <div>10</div> <div>15</div> <div>25</div> <div>50</div> </div>					

The disclosures are initially sorted displaying any with Unread FIS Communications first, followed by those which have a Pending status as they have not yet been submitted to FIS, then Submitted items in descending order of date entered.

To view a disclosure from the home page

- ✎ Click the View link for the disclosure
- ❖ For a submitted report this will open the disclosure on the FIS Communication screen.
- ❖ For a pending report this will open the disclosure on the Subjects screen.

Clicking Exit when viewing a Disclosure Report will display the Disclosure Reports area.

For more information on Disclosure Reports see Section 8.

7.3 Consent / Non-Consent

This area lists all Consent Requests that have been submitted to FIS and meet the following criteria

- The consent request has not yet received a response.
- A response has been received which has not been read by a representative of the organisation.

Consent/ Non-Consent						
Record(s) 1-7		Turn row count on		Column Selection		
Date of Request	Subject	FIS Reference	Consent Request Ref	Date of Response	Discloser Reference	
12th May 2010	COCHRANE, Louise	10 05 2513	10 05 2549	Not yet received	Test extension numbers	View
12th May 2010	ROWLINS, Jenny	10 05 2519	10 05 2547	Not yet received		View
30th Apr 2010	ABC Finance	10 04 2327	10 04 2395	Not yet received		View
22nd Apr 2010	CARVEY, John	10 04 15058	10 04 2235	Not yet received	ABC123/j	View
22nd Apr 2010	HARRISON, Terrence	10 04 1903	10 04 2215	Not yet received	DSU-223-0410	View
15th Apr 2010	ABC Finance	10 04 2045	10 04 2059	12th May 2010	aaaqq11	View
9th Apr 2010	HARRISON, Terrence	10 04 1903	10 04 1923	12th May 2010	DSU-223-0410	View
Record(s) 1-7		Turn row count on		5 10 15 25 50		

To view a Consent Request from the home page

- ✎ Click the View for the consent request
- ❖ The View Consent Request screen will open.

Clicking Exit when viewing a Consent Request will return the user to the Home page.

For more information on Consent Requests see Section 8.16

7.4 Financial Liaison Notices

This area lists all Financial Liaison Notices that have not been marked as read by the current user.

Financial Liaison Notices					
Record(s) 1-2		Turn row count on		Column Selection	
Date Raised	Subject	Date of Birth/Incorp	Address Line 1	FIS Reference	
12th May 2010	JOHN CARVEY	14th Nov 1980	Heritage Clos, Les Genats Estate	10 04 15058	View
12th May 2010	BLACK ACCOUNTS LTD	1st Apr 2001	High Street	10 04 2073	View
Record(s) 1-2		Turn row count on		5 10 15 25 50	

To view a Financial Liaison Notice from the Home page

- ✎ Click the View link for the Financial Liaison Notice
- ❖ This will open the View Financial Liaison Notice screen.

Clicking Exit when viewing a Financial Liaison Notice will display the Financial Liaison Notices area.

For more information on Financial Liaison Notices see Section 9.

7.5 Notice Board

This area lists all Notices that have not been marked as read by the viewing user.

Notice Board			
Date	Subject	Notice Type	
9th Apr 2010	FIS Office has moved	Other	View

To view a Notice from the Home page

- Click the View link for the Notice

Clicking Exit and Mark as Read when viewing a Notice will display the Notice Board area.

For more information on Notices see Section 11.

8 Disclosure Reports

8.1 Disclosure List

Disclosure Reports can be created, viewed, printed, archived or deleted from the Disclosure List section of the MLRO Portal. The Disclosure List section can be accessed by clicking the Disclosure Reports tab.

The Disclosure List will contain disclosures that were created by the logged in user or other users in the same organisation and disclosures that were created by FIS on behalf of the organisation.

Results

<

>

1

2

Record(s) 1-10

Turn row count on

Column Selection

Tag	Date Entered	Subject	Status	FIS Reference	Discloser Reference	Archived	Unread FIS Comm	Created By FIS			
<input type="checkbox"/>	12th May 2010	BLOGGS, Michael	Submitted	10 05 2537		No	Yes	No	View	Print	New
<input type="checkbox"/>	12th May 2010	FERRET, Matthew	Submitted	10 05 2533		No	Yes	No	View	Print	New
<input type="checkbox"/>	12th May 2010	The Kevinson Charitable Foundation	Submitted	10 05 2525		No	Yes	No	View	Print	New
<input type="checkbox"/>	12th May 2010	BRADSHAW, James	Submitted	10 05 2523		No	Yes	No	View	Print	New
<input type="checkbox"/>	12th May 2010	ROWLINS, Jenny	Submitted	10 05 2519		No	Yes	No	View	Print	New
<input type="checkbox"/>	10th May 2010	GROVES, Davinia LEETHES, Tess	Submitted	10 05 2503		No	Yes	No	View	Print	New
<input type="checkbox"/>	5th May 2010	The Dancing Duck	Submitted	10 05 2463		No	Yes	No	View	Print	New
<input type="checkbox"/>	20th Apr 2010	CARVEY, John	Submitted	10 04 15058	ABC123/j	No	Yes	Yes	View	Print	New
<input type="checkbox"/>	16th Apr 2010	Black Accounts Ltd	Submitted	10 04 2073	SB-12214-455	No	Yes	No	View	Print	New
<input type="checkbox"/>	15th Apr 2010	ABC Finance	Submitted	10 04 2045	aaaqq11	No	No	No	View	Print	New

<

>

1

2

Record(s) 1-10

Turn row count on

510152550

Delete Selection

Archive Tagged Records

Unarchive Tagged Records

< --- Select --- >

Add New Disclosure

8.2 Disclosure Status

8.2.1 Pending Disclosures

Pending Disclosures are disclosures which have been created by users in the MLRO portal and have not yet been submitted to FIS. Pending disclosures can be edited by any user representing the organisation.

8.2.2 Submitted Disclosures

Submitted Disclosures are disclosures which are visible to FIS. Submitted disclosures have either been created by users in the MLRO portal and have been submitted to FIS or have been created by FIS on behalf of the organisation.

It is only possible to add additional documents, consent requests and further information to Submitted Disclosures. All other fields will be read-only.

8.2.3 Disclosures Created by FIS

If a disclosure has been created by FIS on behalf of the organisation, it will be displayed in the Disclosure List with a Yes indicator in the Created by FIS column. All disclosures created by FIS will have a submitted status.

8.2.4 Disclosures with Unread FIS Communication

If a disclosure has unread FIS communication, it will be displayed in the Disclosure List with a Yes indicator in the Unread FIS Communication column.

8.3 Searching Disclosures

The disclosures listed in the disclosure list can be filtered or searched using the Search fields at the top of the screen.

Disclosure List



Southern Bank Ltd

Search

Subject Name

Discloser Reference

FIS Reference

Date Entered

Status

Include Archived Reports

Unread FIS Communication

Disclosure created by FIS

10

04

1903

Between (Inclusive)

< -- Any -- >

No

< -- Any -- >

< -- Any -- >

Clear

Search

Results

< < 1 > >

Column Selection

Tag	Date Entered	Subject	Status	FIS Reference	Discloser Reference	Archived	Unread FIS Comm	Created By FIS			
<input type="checkbox"/>	9th Apr 2010	HARRISON, Terrence	Submitted	10 04 1903	DSU-223-0410	No	Yes	No	View	Print	New

< < 1 > >

5 10 15 25 50

Delete Selection

Archive Tagged Records

Unarchive Tagged Records



Non Profit Organisation

Add New Disclosure


The following fields are available to search disclosure reports.

- Subject Name
- Discloser Reference
- FIS Reference
- Date Entered. This can be used to return disclosures entered within specified date ranges as well as on specific dates by using the options provided in the dropdown list.
 - Between (inclusive)
 - On
 - Before
 - On or Before
 - After
 - On or After
- Status
- Include Archived Reports
- Unread FIS Communication
- Disclosure Created by FIS.

To search for a specific disclosure or group of disclosures

-  Enter the criteria in the Search fields at the top of the page
-  Click Search
- ❖ The screen will reload and display any Disclosures which match the entered search criteria in the Disclosure List.

To reset the search

-  Click Clear
- ❖ The search criteria will be reset to their default values and the Disclosure List will be reset to display all disclosures.

8.4 Sorting disclosures

The disclosures are initially sorted displaying any with Unread FIS Communications first, followed by those which have a Pending status as they have not yet been submitted to FIS then Submitted items in descending order of date entered.

It is possible to temporarily amend the sort order by clicking the column names on the disclosure list. The disclosure list can be sorted by the following columns.

- Date Entered
- Subject
- Status
- FIS Reference
- Disclosure Reference
- Archived
- Unread FIS Communication
- Created By FIS

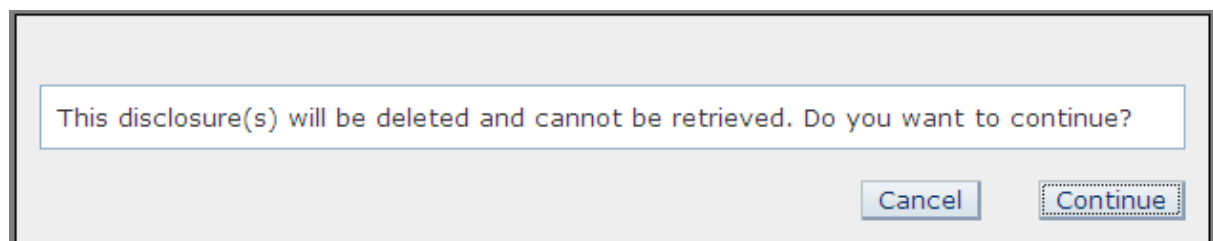
For more information on sorting datapagers see Section 6.4.7 Sorting.

8.5 Deleting Disclosures

It is possible to delete Disclosures which have a Pending status as they have not yet been submitted to FIS. Disclosures which have been entered by FIS or have been submitted to FIS cannot be deleted.

To delete one or more Pending records

- ☞ Select the checkbox(es) next to the record(s) in the Disclosure List
- ☞ Click the Delete Selection button.
- ❖ A message will appear stating “This disclosure(s) will be deleted and cannot be retrieved. Do you want to continue?”



- ☞ Click Cancel - will not delete the record and will redisplay the disclosure list with the Disclosures still checked.
- ☞ Click Continue - will permanently delete the selected disclosures.



It will not be possible to retrieve deleted disclosures.

8.6 Archiving and Unarchiving Disclosure Reports

Disclosure Reports can be archived so that they are not initially visible on the Disclosure screen. It is necessary to modify the Search Criteria to include Archived Reports to view Disclosures which have been archived.

If new FIS Communication is received for an archived disclosure it will be automatically unarchived.



To archive one or more disclosures

-  Select the checkbox(es) next to the record(s)
-  Click the Archive Tagged Reports button.
- ❖ The selected reports will set to an archived status

It is not possible to archive records which have communication from FIS which has not been read by the current user.

Archiving a disclosure only affects the visibility of the disclosure on the Disclosure Report screen for the represented organisation. FIS will not be notified that a disclosure has been archived.

To unarchive one or more disclosures

-  Select the checkbox next to the record(s)
-  Click Unarchive Tagged Reports button.
- ❖ The selected reports will set to an archived status









When a user archives or un-archives a record it will become archived or un-archived for all users of the currently represented organisation, regardless of whether they have any unread FIS communication or not.

8.7 Printing Disclosures

Results

Record(s) 1-10 Turn row count on

Column Selection

Tag	Date Entered	Subject	Status	FIS Reference	Discloser Reference	Archived	Unread FIS Comm	Created By FIS			
<input type="checkbox"/>	13th Apr 2010	VEALE, Lewis	Submitted	10 04 1997		No	Yes	No		Print	 New
<input type="checkbox"/>	12th Apr 2010	SMITH, John	Submitted	10 04 1981		No	Yes	No		View	 Print  New
<input type="checkbox"/>	9th Apr 2010	DAVIS, TK	Submitted	10 04 1947		No	Yes	No		View	 Print  New

To print an entire disclosure










- Click the Print link next to the disclosure on the Disclosure Reports list.
- This will produce a single file in PDF format containing all the information on the disclosure. The print function in the PDF viewer can then be used to print the Disclosure.

8.8 Viewing Disclosures

Results

Record(s) 1-10 Turn row count on

Column Selection

Tag	Date Entered	Subject	Status	FIS Reference	Discloser Reference	Archived	Unread FIS Comm	Created By FIS			
<input type="checkbox"/>	13th Apr 2010	VEALE, Lewis	Submitted	10 04 1997		No	Yes	No		View	 Print  New
<input type="checkbox"/>	12th Apr 2010	SMITH, John	Submitted	10 04 1981		No	Yes	No		View	 Print  New
<input type="checkbox"/>	9th Apr 2010	DAVIS, TK	Submitted	10 04 1947		No	Yes	No		View	 Print  New

To view an existing disclosure

- Click the View link next to the disclosure on the Disclosure Reports list.
- On a submitted report the FIS Communication screen of the disclosure will open.
- On a pending report the Subjects screen of the disclosure will open.

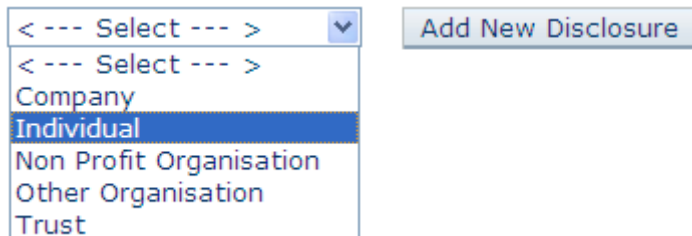
8.9 Creating a New Disclosure

There are three ways to create a new disclosure.



8.9.1 Creating a new disclosure with new subject(s)

This method should be used if a disclosure only concerns subjects which have not been already entered into the MLRO Portal.

At the bottom of the Disclosure Reports screen there is a dropdown list and an Add New Disclosure button.






The image shows a user interface element consisting of a dropdown menu and a button. The dropdown menu is open, displaying a list of subject types: 'Company', 'Individual' (highlighted in blue), 'Non Profit Organisation', 'Other Organisation', and 'Trust'. Above the list is a placeholder text '< --- Select --- >'. To the right of the dropdown is a button labeled 'Add New Disclosure'.

-  Select the type of subject which most closely reflects the primary subject of the disclosure.
-  Click Add New Disclosure.
- ❖ This will open the New Disclosure screen for the selected subject type.
- ❖ At the top of the New Disclosure screen there is a Discloser Reference field.



The image shows a form titled 'New Disclosure Details'. It contains a single text input field labeled 'Discloser Reference' with the value 'FFF-3234' entered.

-  Use this Discloser Reference field to enter a reference which identifies the disclosure within the represented organisation.
- ❖ The remainder of the screen will contain fields to be completed for the selected subject type.
-  Complete the subject details
-  Click the Create Disclosure Report button at the bottom of the screen.
- ❖ The new Disclosure report will be created, the subject will be saved and the Subject Details screen will be displayed to allow any further editing of the subject.

8.9.2 Creating a new disclosure from an FLN

A disclosure can be created in response to a Financial Liaison Notice.

Creating a Disclosure in this manner will indicate to FIS that the new disclosure relates to the FLN.

Open the Financial Liaison Notice by clicking the View button either on the Financial Liaison Notices screen or the homepage.

At the bottom of the screen there is a Create Disclosure Report button.

View Financial Liaison Notice

The Bank of Mum & Dad

NOT PROTECTIVELY MARKED

The Bank of Mum & Dad

Date : 07/06/2010
FIS Reference : 10 06 997
Discloser
Reference :

PRIVATE & CONFIDENTIAL - ADDRESSEE ONLY

Dear Sir

THIS INFORMATION IS CIRCULATED IN THE STRICTEST CONFIDENCE AND SHOULD NOT BE COMMUNICATED OUTSIDE POLICE, CUSTOMS AND FINANCIAL SERVICES BUSINESSES. UNAUTHORISED OR IMPROPER DISCLOSURE OF THE CONTENTS OF THIS NOTICE MAY CONSTITUTE A CRIMINAL OFFENCE.

The following individual has been arrested and charged with

Name: Higgins Trading
Date of Incorporation: 15th Jan 2002
Address: 58, Rue Jehannet, St. Martin, Guernsey, GY4 6JZ

Members are asked to check their records to establish if the above named hold(s) any accounts locally.

Should any account or other form of business relationship come to light concerning the person(s) mentioned, please contact the Financial Intelligence Service. Any queries that arise will be dealt with in the strictest confidence.

Yours sincerely



On Behalf of Director

Exit & Mark as Read

Create Disclosure Report

- 🖱️ Click the Create Disclosure Report button.
- ❖ This will open the New Disclosure screen.
- ❖ At the top of the New Disclosure screen there is a Discloser Reference field.

New Disclosure Details

Discloser Reference FFF-3234

- 🖱️ Use this Discloser Reference field to enter a reference which identifies the disclosure within the represented organisation.
- ❖ The rest of the screen contains the fields applicable to the type of subject the FLN concerned. The name, date of date of birth / incorporation, and address fields will be automatically populated if the details exist in the FLN.
- 🖱️ Add any known additional details of the subject

- 🔗 Click the Create Disclosure Report button at the bottom of the screen.
- ❖ The new Disclosure report will be created, the subject will be saved and the Subject detail screen will be displayed to allow any further editing of the subject.

8.9.3 Creating a new disclosure from a previous disclosure

If a new disclosure concerns one or more subjects which have previously been entered on a different disclosure, a new disclosure can be created from the old disclosure to minimise the need to re-enter subject and account information.

Creating a Disclosure in this manner will indicate to FIS that the new disclosure is linked to the old disclosure.

Reusing subjects and accounts this way effectively copies the information; any editing subsequently done on a subject or account will only affect the disclosure which the information was edited on.

- 🖨 In the Disclosure Reports List, locate the previously created disclosure which shares common subjects

- 🔗 Click the New link next to the Disclosure.

Results

Record(s) 1-10 Turn row count on Column Selection

Tag	Date Entered	Subject	Status	FIS Reference	Discloser Reference	Archived	Unread FIS Comm	Created By FIS			
<input type="checkbox"/>	12th May 2010	BLOGGS, Michael	Submitted	10 05 2537		No	Yes	No			
<input type="checkbox"/>	12th May 2010	FERRET, Matthew	Submitted	10 05 2533		No	Yes	No			
<input type="checkbox"/>	12th May 2010	The Kevinson Charitable Foundation	Submitted	10 05 2525		No	Yes	No			
<input type="checkbox"/>	12th May 2010	BRADSHAW, James	Submitted	10 05 2523		No	Yes	No			
<input type="checkbox"/>	12th May 2010	ROWLINS, Jenny	Submitted	10 05 2519		No	Yes	No			
<input type="checkbox"/>	10th May 2010	GROVES, Davinia LEETHES, Tess	Submitted	10 05 2503		No	Yes	No			
<input type="checkbox"/>	5th May 2010	The Dancing Duck	Submitted	10 05 2463		No	Yes	No			
<input type="checkbox"/>	20th Apr 2010	CARVEY, John	Submitted	10 04 15058	ABC123/j	No	Yes	Yes			
<input type="checkbox"/>	16th Apr 2010	Black Accounts Ltd	Submitted	10 04 2073	SB-12214-455	No	Yes	No			
<input type="checkbox"/>	15th Apr 2010	ABC Finance	Submitted	10 04 2045	aaaqq11	No	No	No			




Record(s) 1-10 Turn row count on 5 10 15 25 50

Delete Selection
Archive Tagged Records
Unarchive Tagged Records
< --- Select --- >
Add New Disclosure

8.9.3.1 Previous disclosure has one subject and no accounts

- ❖ Where the previous disclosure has only one subject and no accounts the New Disclosure screen will open.
- ❖ At the top of the New Disclosure screen there is a Discloser Reference field.

New Disclosure Details	
Discloser Reference	FFF-3234

-  Use the Discloser Reference field to enter a reference which identifies the disclosure within the represented organisation.
- ❖ The rest of the screen contains the details of the subject from the previous disclosure.
-  Amend the details if necessary
-  Click the Create Disclosure Report button at the bottom of the screen.
- ❖ The new Disclosure report will be created, the subject will be saved and the Subject Details screen will be displayed to allow any further editing of the subject.

8.9.3.2 Previous disclosure has multiple subjects and / or multiple accounts

- ❖ Where the previous disclosure has two or more subjects and or multiple accounts the Select Subjects / Accounts screen will open.

Select Subjects







New Disclosure Details		
Discloser Reference		

Select Subject		
Select one or more subjects from the list below. then click 'Create Disclosure Report' to create a new disclosure for the chosen subject(s). You will be able to change details, for example the address, and add additional subjects if necessary.		
	Subject	Primary Subject
<input type="checkbox"/>	HARRISON, Terrence	Yes
<input type="checkbox"/>	Waydais Ltd	No

- ❖ At the top of the New Disclosure screen there is a Discloser Reference field.

New Disclosure Details	
Discloser Reference	FFF-3234

-  Use the Discloser Reference field to enter a reference which identifies the disclosure within the represented organisation.
- ❖ A list of all the subjects on the previous disclosure will be displayed.
- ❖ For each subject a list of the accounts added for that subject on the previous disclosure will be displayed.
-  Select one or more checkboxes to select the subject(s) for the new Disclosure
- ❖ For each subject selected it will be possible to select any accounts added to the previous disclosure for that subject
-  Select any accounts to be added to the new disclosure
-  Click the Create Disclosure Report button.
- ❖ The new Disclosure report will be created and the Subjects List screen will be displayed.
- ❖ The Accounts and Transactions List will display all accounts selected from the previous disclosure. The details of any transactions and transactions parties from the previous disclosure will be part of the copied accounts.


8.10 Editing a disclosure

There are five sections in a pending disclosure; after the first subject has been created, the sections can be entered and edited in any order.

The sections are:

- Subjects
- Transactions
- Reason for Suspicion and Other Information
- Attachments
- Consent Requests

To navigate between the sections

-  Click the tab for the desired section at the top of the screen. The tabs are displayed on the main screen for each section.
- ❖ The main screen for the selected section will be displayed. The tab for the section will appear to be in front of the other tabs.

Subjects

Transaction

Reason for Suspicion and Other Information

Attachments

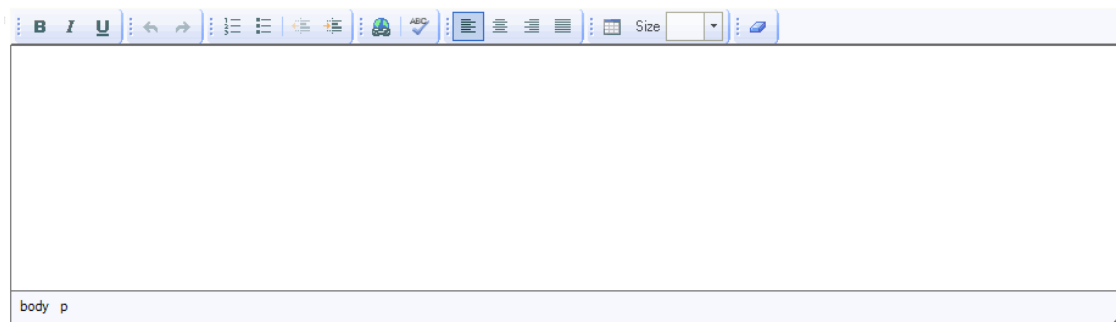
Consent

8.10.1 Special Field Types

Within a disclosure there are a number of different types of fields for entering data. Most users will be familiar with boxes for entering text and dropdown lists. The types of field which a user may not be familiar with are explained below.

8.10.1.1 Text Editor
















Some fields permit large amounts of text to be entered. These fields have a scrolling free text editor.





If the text entered is larger than the size of the box on the screen, a scroll bar will be displayed on the right hand side to enable the user to scroll through all the text.

The text can be formatted using the icons at the top of the editor.

The table below details the functionality of each of the icons in the text editor

Icon	Details
	Changes selected text to Bold
	Changes selected text to Italic
	Changes selected text to Underlined
	Undo
	Redo
	Changes selected text to be in a numbered list
	Changes selected text to be in a bullet pointed list
	Decreases the Indent of the Text
	Increases the Indent of the Text
	Inserts a link to a website
	Opens spell checker
	Changes selected text to be left aligned
	Changes selected text to be centre aligned
	Changes selected text to justified
	Inserts a table

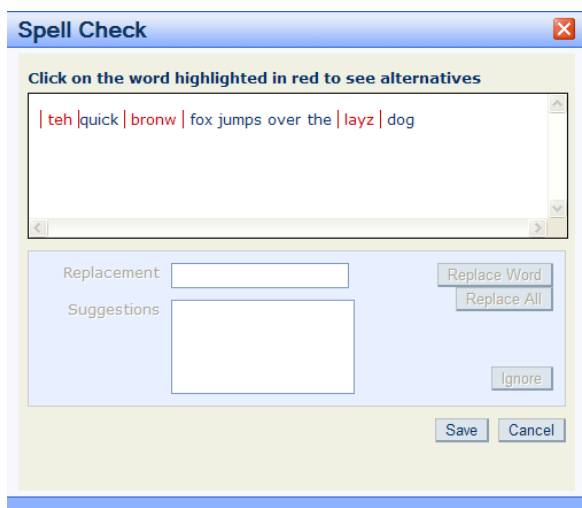
	Changes selected text size
	Removes formatting from the selected text

8.11 Spell Checking

All text editor fields in the system include a spell checker.

To spell check a text editor field




- ✎ Click on the Check Spelling icon
- ❖ This will open a screen that lists all recognised spelling mistakes.
- ❖ Words that have been recognised by the system as being spelt incorrectly will be highlighted in red.



To view suggestions for an incorrectly spelt word

- ✎ Click the word.
- ❖ The suggestions list will be populated and the colour of the word will change from red to blue.


To replace the incorrectly spelt word

-  Select a suggestion from the list
- or
-  Type a word into the replacement field
-  Click the Replace Word button.

The Replace Word button will not be enabled until a word has been selected or typed into the replacement field.

If an incorrectly spelt word is replaced with another incorrectly spelt word then the new incorrectly spelt word will not be highlighted until the area where the text is displayed has been clicked again.

To save the spelling corrections

-  Click the Save button
- ❖ The Spell Checker will close and the text in the text editor will be replaced with the corrected text.

To exit without changing the text

-  Click the Cancel button

8.11.1.1 Dropdown lists with additional text

When certain options are selected from a dropdown list, an additional textbox may appear.

This additional field must be completed if the option is selected from the dropdown list. If nothing is entered and Save is clicked a validation message will appear. The screen will not be saved until the field is completed.

Please check the following:

- Additional text is required for Individual Title.


10 04 2103 - HARRISON, Terrence; Waydais Ltd

Personal Details	
Title	<div>Duke of</div> <div></div>

8.11.1.2 Multiple Field Groups


Some subjects may have multiple instances of the same group of fields, for example; multiple addresses or passports.

To add an additional set of fields


 Click the green plus icon below the field group.

To remove a set of fields


 Click the red cross icon next to the field group to be removed.

Passport(s) 

Issuing Country	United Kingdom			
Passport Number	9857-5454-3245-5454			
Issue Date	04	03	2005	Expiry Date



Issuing Country	France			
Passport Number	7895-2145-1254-2699			
Issue Date	01	03	1995	Expiry Date




Additions and removals of field groups will not be permanent until Save has been clicked.

8.11.1.3 Mandatory Fields

Any field which must be completed before a disclosure can be submitted to FIS will appear on the screen with a yellow background.

Subjects Transaction **Reason for Suspicion and Other Information** Attachments Consent

Reason For Suspicion 

10 06 1399 - The TLA Association Lloyds TSB Bank

Reason for suspicion


Current Status of Business Relationship **New Application**

Legislation under which disclosure is made **The Criminal Justice (Proceeds of Crime) (Bailiwick of Guernsey) Law 1999**



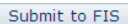
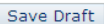
Relationship Start Date

Relationship End Date

Reasons for Suspicion and Any Additional Information



body p

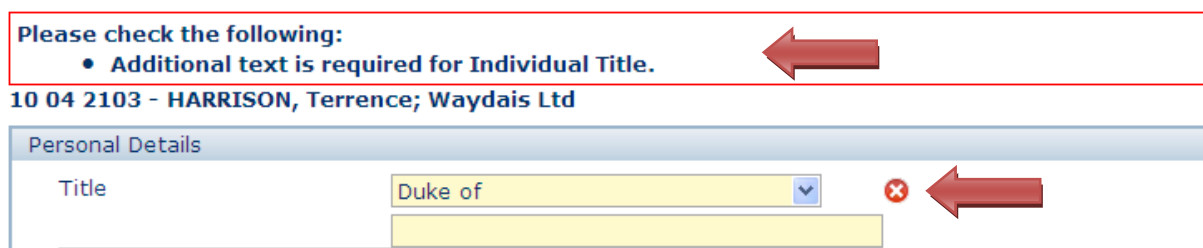
   

8.11.2 Saving and Submitting a Disclosure

8.11.2.1 Save and Save Draft buttons

To save the details entered on the current screen

- 🔑 Click Save or Save Draft
- ❖ The fields on the current screen will be validated to ensure they have been entered correctly.
 - ❖ If there are no validation errors the data entered on the screen will be saved.
 - ❖ If any field on the current screen has not been entered correctly a message will appear at the top of the screen to inform the user of the issue. Fields that have failed validation are indicated by a red and white cross icon.



The screenshot shows a validation error message at the top of a form. The message is enclosed in a red border and reads: "Please check the following:" followed by a bullet point "• Additional text is required for Individual Title." A red arrow points from this message to a dropdown menu in the form. The dropdown menu is labeled "Title" and currently shows "Duke of". To the right of the dropdown is a red and white cross icon, with another red arrow pointing to it. Below the dropdown is an empty text input field.

The circumstances when fields may fail validation are:

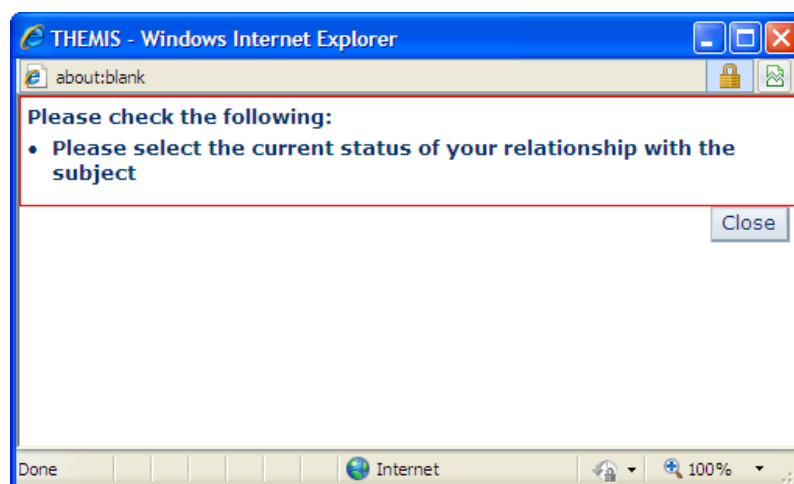
- An invalid date has been entered into the field
- Invalid data has been entered into the field, for example text instead of numbers have been entered into a length or value field
- The order of from and to dates is invalid, for example, the from date has been entered as later than the to date
- Not all components have been entered, for example, an address has been entered but not an address type.
- A dropdown list selection requires additional text to be entered and no additional text has been entered

If there are any validation errors the data on the screen will not be saved; to save the entered data it is necessary to rectify the errors and click Save or Save Draft again.

8.11.2.2 Submit to FIS button

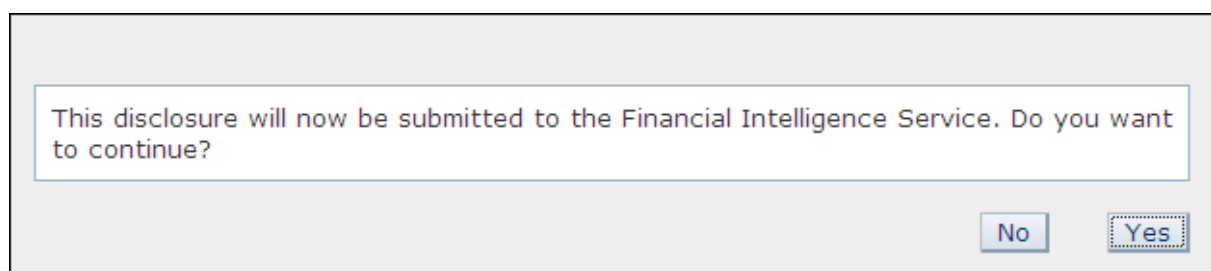
To submit a disclosure to FIS

- ✎ Click the Submit to FIS button
- ❖ The fields on the current screen will be validated to ensure they have been entered correctly and all the mandatory fields within the disclosure have been completed.
- ❖ If there are any validation errors an error message will appear at the top of the screen to inform the user of the issue(s). An additional popup window will appear listing the validation errors; this is to assist the user by providing a list of the issues, which they can refer to as they visit different areas within the disclosure to rectify the errors.



If Submit to FIS is clicked and the disclosure failed validation any data entered on the current screen will not be saved; if all the errors are not on the current screen it will be necessary to click Save Draft before navigating to a different area of the disclosure.

- ❖ If there are no validation errors the data entered will be saved and a message will appear asking for confirmation to submit the disclosure to FIS.



- ✎ Click No to continue editing the disclosure.
- ✎ Click Yes to submit the disclosure to FIS.

- ❖ Once the disclosure has been submitted the Consent Request screen of the disclosure will be displayed with a confirmation message.

Consent Requests
FIS Communications
Further Information
Subjects
Transaction
Reason for Suspicion and Other Information
Attachments

Consent Requests
?

10 06 1003 - Higgins Trading
Southern Bank

Your disclosure, reference 10 06 1003, under the provisions of the The Criminal Justice (Proceeds of Crime) (Bailiwick of Guernsey) Law 1999 concerning Higgins Trading has been successfully submitted to the Financial Intelligence Service at 10:40:31 on 7th Jun 2010. Please make a note of this reference and use it in any further correspondence regarding this matter.

8.11.3 Reset

All screens which have fields where data can be entered and saved also have a Reset button.

When the Reset button is clicked the details on the screen will be reset to the values they were the last time the record was saved.

When the Reset button is clicked a message will be displayed to the user informing them that if they continue then any changes will be lost. The user will have the option to click Cancel and continue editing or click OK and discard the changes.

8.11.4 Exit

When the Exit button is clicked on a screen when details have been entered and not saved a message will be displayed to the user informing them that if they continue then any changes will be lost.










The user will have the option to click Cancel and continue editing or click OK and discard the changes.

The Exit button will close the record or part of the record. If the button is used to exit the disclosure it will unlock the disclosure to allow other users to edit it.

8.11.5 Record Locking

To prevent two users from editing the same disclosure and overwriting each other's changes the system uses record locking functionality.


In the search results screens if a record is locked, a padlock icon will appear next to the record. Hovering over the icon will display the name of the user that has locked the record.

	Tag	Date Entered	Subject	Status	FIS Reference	Discloser Reference	Archived	Unread FIS Comm	Created By FIS			
	 <input type="checkbox"/>	30th Mar 2010	CARVEY, John 	Submitted	10 03 1703		No	No	No	 View	 Print	 New
<div>   </div> <div>Locked to: Smith, John</div> <div><div>510152550</div></div>												

If a record is locked to a user, other users can view the record but all editing features will be disabled.

When viewing a locked record a message will appear at the top of the screen to inform the user the record is locked and indicate whom it is locked to.

[Consent Requests](#) [FIS Communications](#) [Further Information](#) **[Subjects](#)** [Transaction](#) [Reason for Suspicion and Other Information](#) [Attachments](#)

Subject List 

Please check the following:

- **This Record is currently locked to John Smith**

10 03 1703 - CARVEY, John Southern Bank Ltd

To release the lock on a record the user must use the Exit button to exit the record. If the user does not use the Exit button the record will remain locked.

If a record is accidentally left locked, then the record will be automatically unlocked after a set period of time after the last action was carried out.

8.12 Subjects

Subjects are divided into five types; one individual subject type and four organisation subject types.

The type of subject will determine the fields available for completion.

One disclosure can contain multiple subjects of different types.

8.12.1 Subject List

All subjects of a disclosure will be listed in the datapager on the Subjects screen of the disclosure.

Subject List

10 04 2103 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

Disclosure Details

Discloser Reference: SDF-342-1009

< --- Select --- > Add Subject

Subject	Primary Subject		
HARRISON, Terrence	Yes	View Subject	Remove Subject
Waydais Ltd	No	View Subject	Remove Subject

Exit Submit to FIS Save Draft

8.12.2 Add a New Subject

A new subject can be added to the existing disclosure from the Subjects List screen.

- ☞ From the dropdown list select the type of subject to be added.
- ☞ Click the Add Subject button
- ❖ This will open a new subject screen for the selected subject type.
- 📄 Enter the details of the new subject
- ☞ Click the Save button at the bottom of the screen
- ❖ This will save the subject and add it to the disclosure.



After all editing has been completed click the Exit button to return to the Subjects List screen where the new subject will be listed.

To cancel the adding of the new subject


- ☞ Click the Exit button at the bottom of the screen before saving the subject.
- ❖ This will display the Subjects List screen, no new subject will be added.

8.12.3 View or Edit an existing subject

On the Subjects list screen

-  Locate the existing subject to be viewed or edited
-  Click the View Subject link.

Subjects Transaction Reason for Suspicion and Other Information Attachments Consent

Subject List 





10 04 2103 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

Disclosure Details



Discloser Reference SDF-342-1009

< --- Select --- > Add Subject


Subjects

Subject	Primary Subject		
HARRISON, Terrence	Yes	 View Subject	 Remove Subject
Waydais Ltd	No	 View Subject	 Remove Subject

Exit Submit to FIS Save Draft



- ❖ This will open the subject details screen.
-  If required, edit the subject.
-  Click Save to save any changes

To exit the subject details screen


-  Click the Exit button at the bottom of the screen

8.12.4 Removing a subject

On the Subjects list screen

-  Locate the subject to be removed
-  Click the Remove Subject link.

Subjects Transaction Reason for Suspicion and Other Information Attachments Consent

Subject List 





10 04 2103 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

Disclosure Details



Discloser Reference SDF-342-1009

< --- Select --- > Add Subject

Subjects

Subject	Primary Subject		
HARRISON, Terrence	Yes	 View Subject	 Remove Subject
Waydais Ltd	No	 View Subject	 Remove Subject

Exit Submit to FIS Save Draft

- ❖ A message will appear asking for confirmation of the delete.
-  Click OK to permanently remove the details of the subject, any accounts belonging to the subject and their role as a party in any transactions.
-  Click Cancel to display the subject details screen without removing the subject.

8.12.5 Individual Subject Details

8.12.5.1 Personal Details

The following fields are available for completion of an individual's personal details.

- Title
- Forename or Initials
- Surname
- Date of Birth or Estimated Age
- Gender
- Place Of Birth
- Town Of Birth

It is mandatory that the Title and Gender fields and at least one of the Forename or Initials field or the Surname field is completed or any individual subject.

It is possible to add multiple Other Name(s) to an individual.

For each other name the following fields can be completed.

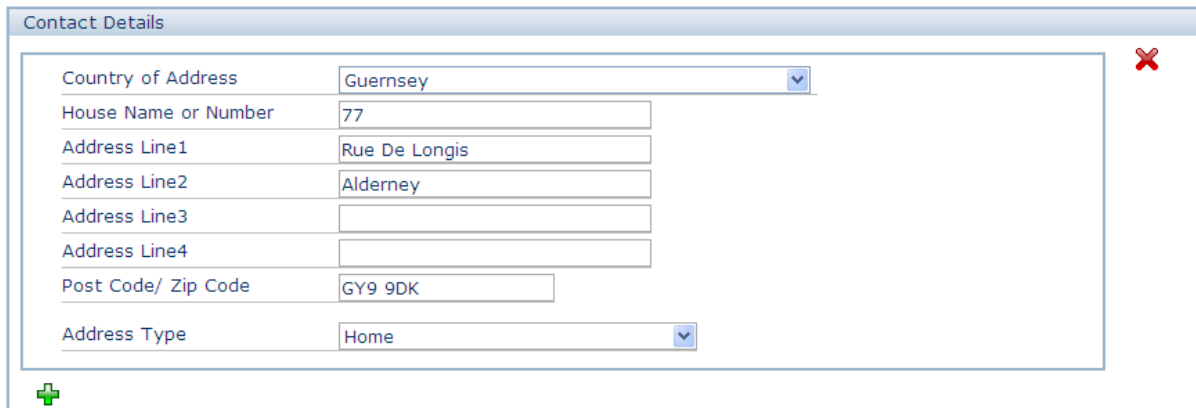
- Name Type
- Individual Title
- Forename(s) or Initials
- Surname
- Name Used From Date
- Name Used To Date

If a Name Type is selected one of either the Forename or Initials field or the Surname field must be completed for an Other Name. If any of the Other Name fields are completed Name Type must be completed.

Personal Details	
Title	Mr
Forename or Initials	Terrence
Surname	Harrison
Date Of Birth	06 07 1965
Age : 0 - Or Estimated Age	
Gender	Male
Place of Birth	Guernsey
Town Of Birth	St. Peter Port
Other Name(s)	
Name Type	Also Known As
Individual Title	Mr
Forename or Initials	Terry
Surname	Harrison
Name Used From Date	06 07 1965
Name Used To Date	14 04 1964

8.12.5.2 Contact Details

8.12.5.2.1 Addresses



The screenshot shows a web form titled "Contact Details". It contains several input fields and dropdown menus. The fields are: "Country of Address" (dropdown menu with "Guernsey" selected), "House Name or Number" (text box with "77"), "Address Line1" (text box with "Rue De Longis"), "Address Line2" (text box with "Alderney"), "Address Line3" (empty text box), "Address Line4" (empty text box), "Post Code/ Zip Code" (text box with "GY9 9DK"), and "Address Type" (dropdown menu with "Home" selected). There is a red "X" icon in the top right corner of the form area and a green "+" icon in the bottom left corner.

It is possible to add multiple addresses for a subject; for each address the following fields are available for completion.

- Country of Address
- House Name or Number
- Address Line 1
- Address Line 2
- Address Line 3
- Address Line 4
- Post Code / Zip Code
- Address Type

It is not possible to enter an address without first selecting a country. If an Address Line field is completed then the previous Address Line must also be completed. If any fields of the address are entered then an address type must be selected. If an address type is selected then an address must be entered.

8.12.5.2.1.1 Address Search

To use the Address search to populate an address in Guernsey

- ☞ Select Guernsey as the country
- ❖ An Address Search popup box appears with the search fields, Post code, House Name or Number and Street.

CAF Address Search
Enter a postcode if available. Otherwise enter the House Number or name and Street, Then click "Find Address" to search the CAF database, if the address appears in the selection box below, select it, then click "Select" or click "Cancel" to exit this screen.

Post Code	<input type="text"/>
House Name Or Number	<input type="text"/>
Street	<input type="text" value="longis"/>

Find Address 122 results.

< > Record(s) 1 to 10

1, Rue De Longis,Alderney,GY9 3YB
1, Simons Place,Rue De Longis,Alderney,GY9 3YN
2, Simons Place,Rue De Longis,Alderney,GY9 3YN
3, Simons Place,Rue De Longis,Alderney,GY9 3YN
4, Rue De Longis,Alderney,GY9 3YB
4, Simons Place,Rue De Longis,Alderney,GY9 3YN
4a, Rue De Longis,Alderney,GY9 3YB
5, Rue De Longis,Alderney,GY9 3YB
6, Champs Beulai,Rue De Longis,Alderney,GY9 3YB
6, Simons Place,Rue De Longis,Alderney,GY9 3YN

Cancel Select

- ☞ Complete one or more of the search fields
- ☞ Click Find Address.
- ❖ Matching addresses are returned in the table, if more than 10 matching addresses are found the arrow buttons can be used to navigate through the list.
- ☞ Click the required address to select it
- ☞ Click the Select button
- ❖ The popup will close and the address details will be populated.

To exit the Address search without selecting an address

- ☞ Click the Cancel button
- ❖ The address details for the subject can be entered manually.

8.12.5.2.2 Telephone Numbers

Telephone Number	<input type="text" value="+(44)7456655675"/>
Extension Number	<input type="text"/>
Telephone Type	<input type="text" value="Mobile"/>



It is possible to add multiple telephone numbers for a subject; for each telephone number the following fields are available for completion.

- Telephone Number
- Extension Number
- Telephone Type

The telephone number should be entered with no spaces and containing only numbers and the characters () or +. If a Telephone type is selected then the telephone number must be completed. If the Telephone number is completed the Telephone type must be selected.

8.12.5.2.3 Email Addresses

It is possible to add multiple email addresses for a subject.

Email Address	<input type="text" value="dave987654@hotmail.com"/>
---------------	---



Email Address	<input type="text" value="ddavis1978@gmail.com"/>
---------------	---



The email address must be properly formatted.

8.12.5.3 Other Details

The screenshot shows the 'Other Details' section of a form. It includes a 'Nationalities' dropdown with 'Guernsey' selected, a 'Passport(s)' section with fields for issuing country, number, and dates, and fields for occupation, employer, and country of residence.

In the Other Details section the following fields are available for completion.

- **Nationality.** This field allows multiple nationalities to be selected should the subject have, for example, dual nationality. When a country of birth is selected the nationality dropdown will automatically be set to the same country; however, it is necessary add the nationality to list before it can be saved.

To add a nationality to the list

- ✓ Select it from the dropdown list
- ✓ Click on the green plus icon

To remove a nationality from the list

- ✓ Click to select it
- ✓ Click on the red cross icon.

Additions and removals from the Nationality dropdown list will not be permanent until Save has been clicked.

- **Passport(s).** It is possible to add multiple Passports for an Individual subject; for each passport the following fields are available for completion.
 - Issuing Country
 - Passport Number
 - Expiry Date
- **Occupation(s)**
- **Employer(s)**
- **Country of Residence.** If an address has been entered this field will initially contain the country of the first country selected for the address of the subject. This field will subsequently require manually updating.

- Further Information. This large scrolling textbox can be used to enter any information about the subject not already completed in the fields above.

8.12.6 Organisation Subject Common Fields

The following details are available for completion on all Organisation subject types, Company, Trust, Non Profit Organisation and Other Organisation.

8.12.6.1 Organisation Details

Every organisation type has a field to enter the name of the organisation. This field is mandatory for all organisation subject types.

It is possible to add multiple Other Name(s) to an organisation; for each Other Name the following fields can be completed.

- Organisation Name
- Organisation Name Type
- Name Used From Date
- Name Used To Date

If an Organisation Name is entered an Organisation Name Type is required. If an Organisation Name Type is selected an Organisation Name must be entered.

8.12.6.2 Contact Details

Addresses, Email addresses and telephone numbers can be added for Organisation subjects in the same way as they are added for Individual subjects. See Section 8.12.5.2.

8.12.6.3 Officials

For each organisation type is possible to enter multiple officials.

In the Other Details section there is an Add Official(s) area.

Add Official(s) ✖

Contact, Miss, Kelly, Robinson	Edit Details
	Edit Details ✖

+

To view, edit or enter the details of an official

- ☞ Click the Edit Details button in the official area
- ❖ The Officials details pop up box appears
- 📄 If required; enter or modify the details
- ☞ Click Close
- ❖ The popup will close.

The official details will not be validated or saved until the organisation is saved.

Official Details

?

Official Type	<input type="text" value="Contact"/> <div style="border: 1px solid #ccc; border-top: none; padding: 2px 5px; font-size: 0.8em;">▼</div>
Title	<input type="text" value="Miss"/> <div style="border: 1px solid #ccc; border-top: none; padding: 2px 5px; font-size: 0.8em;">▼</div>
First Name	<input type="text" value="Kelly"/>
Surname	<input type="text" value="Robinson"/>
Date Of Birth	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <div style="border: 1px solid #ccc; border-top: none; padding: 2px 5px; font-size: 0.8em;">📅</div>
Country of Address	<input type="text" value="France"/> <div style="border: 1px solid #ccc; border-top: none; padding: 2px 5px; font-size: 0.8em;">▼</div>
House Name or Number	<input type="text" value="Halfmine, 36d"/>
Address Line1	<input type="text" value="Le Banquage Estate"/>
Address Line2	<input type="text" value="Rue De Beaumont"/>
Address Line3	<input type="text" value=""/>

[Close](#)

The Officials Details popup has a scrollbar; scroll down to view all available fields.

The following fields are available for completion for each official.

- Official Type

- Title
- First Name
- Surname
- Date of Birth
- Country of Address
- House Name or Number
- Address Line 1
- Address Line 2
- Address Line 3
- Address Line 4
- Post Code / Zip Code
- Address Type
- Official Additional Information

Where an official name is entered an official type is required. Where an official type is entered an official first name or surname must be entered.

Addresses for Officials are handled in a similar way to addresses for subjects.

It is not possible to enter official address details without first selecting a country. If Guernsey is selected as the country the Address Search can be used. If an Address Line field is completed the previous Address Line must also be completed. If any fields of the address are entered an address type must be selected. If an address type is selected an address must be entered.

To exit the official popup without saving the official

- ✎ Click the Exit button
- ❖ The popup will close and no changes will be made.



8.12.6.4 Further Information

Each organisation subject type has a large Further Information box in the Other Details area. This large scrolling textbox can be used to enter any information about the subject for which there is not a dedicated field.

8.12.7 Company Subject Details

Company Subjects have the following fields to allow details to be entered which are specific to Companies.





- Registration Number
- Place of Incorporation
- Relevant Date

Registration Number	<input type="text"/>
Place of Incorporation	< --- Please select an option --- > 
Relevant Date	<input type="text"/> <input type="text"/> <input type="text"/> 

8.12.8 Non Profit Organisation Subject Details

Non Profit Organisation Subjects have the following fields to allow details to be entered which are specific to Non Profit Organisations.



- Registration Number
- Date of Registration
- Country of Registration
- Area of Benefit
- Area of Operation

Registration Number	<input type="text"/>	Date of Registration	<input type="text"/> <input type="text"/> <input type="text"/> 
Country of Registration	< --- Please select an option --- > 		
Area of Benefit	< --- Please select an option --- > 		
Area of Operation	< --- Please select an option --- > 		

8.12.9 Trust Subject Details

Trust Subjects have the following fields to allow details to be entered which are specific to Trusts.

- Country of Administration
- Country Settled
- Date Settled

Country of Administration	< --- Please select an option --- > 
Country Settled	< --- Please select an option --- > 
Date Settled	<input type="text"/> <input type="text"/> <input type="text"/> 

8.12.10 Other Organisation Subject Details

Other Organisation Subjects have the following fields to allow details to be entered which are specific to Other Organisations.

- Legal Number / Other Registration or Reference Code
- Date of Formation / Creation
- Country of Operation

Legal Number/ Other Registration or Reference Code	<input type="text"/>
Date of Formation/ Creation	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Country of Operation	< --- Please select an option --- >

8.13 Accounts, Transactions and Parties

Accounts, Transactions and Parties to a transaction can be added to Disclosures before they are submitted to FIS. After the disclosure has been submitted it is not possible to add or edit accounts, transactions or parties.

8.13.1 Accounts and Transactions List

The Account Details datapager on the transaction screen will list any accounts entered for the currently selected subject.

To view accounts for a different subject

- ☞ Select the name of the subject from the dropdown list at the top of the screen
- ☞ Click the View Accounts button
- ❖ The Account details datapager will be populated with any entered accounts of the selected subject.

Subjects Transaction Reason for Suspicion and Other Information Attachments Consent

Accounts and Transactions List

10 04 1903 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

HARRISON, Terrence

Account Details

Record(s) 1-2 Column Selection ▼

Account No	Type	Opened	Closed	Currency	Balance	Balance Date	
02987 98746444	Deposit account	1st Sep 2004	Not Available	GBP	98,770.00	9th Apr 2010	View Account/Transactions
05497 45552246	International Currency Trading Account	1st Jun 2009	Not Available	USD	10,000.00	9th Apr 2010	View Account/Transactions

Record(s) 1-2 5 10 15 25 50

8.13.2 Add Account

New accounts can be added to Disclosures which have not yet been submitted to FIS.

From the top of the Accounts and Transactions List screen .

- ☞ Select the name of the subject who owns the account
- ☞ Click View Accounts.
- ❖ The screen will reload and any existing accounts for the subject will be displayed in the Account Details datapager.
- ☞ Click the Add Account button at the bottom of the screen.

Subjects Transaction Reason for Suspicion and Other Information Attachments Consent

Accounts and Transactions List

10 04 1903 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

HARRISON, Terrence View Accounts

Account Details

Record(s) 1-2 Turn row count on Column Selection


Account No	Type	Opened	Closed	Currency	Balance	Balance Date	
02987 98746444	Deposit account	1st Sep 2004	Not Available	GBP	98,770.00	9th Apr 2010	View Account/Transactions
05497 45552246	International Currency Trading Account	1st Jun 2009	Not Available	USD	10,000.00	9th Apr 2010	View Account/Transactions

Record(s) 1-2 Turn row count on 5 10 15 25 50

Exit Add Account S Save Draft

- ❖ The Maintain Account screen will be displayed.
- ❖ The following fields are available for completion:
 - ❖ Account Name
 - ❖ Account Holders. Multiple account holders can be added. To add an account holder who already exists as part of the disclosure (either as a subject, official or transaction party), select Existing Individual / Organisation and choose the from the dropdown list. To add a new Account Holder, select Other Individual or Other Organisation and type the Account Holder's name in the box(es) provided.
 - ❖ Account / Product Type
 - ❖ Account / Product Name
 - ❖ Account / Product No.
 - ❖ Financial Institution
 - ❖ Swift / BIC Address
 - ❖ Sort Code
 - ❖ Date Opened
 - ❖ Date Closed
 - ❖ Account Balance. To enter an account balance; first select the account currency, the account balance box will then appear. It is not mandatory to enter an amount, even if a currency is selected.

❖ Date of Balance

 Complete all known details




 Click the Save button



Maintain Account

10 04 1903 - HARRISON, Terrence; Waydais Ltd

Southern Bank Ltd

Add Account - HARRISON, Terrence


Account Holder Name	T Harrison Esq.		
Account / Product Type	International Currency Trading Account ▼		
Account / Product Name	USD Investment Account		
Account / Product No	05497 45552246		
Date Opened	01	06	2009 
Date Closed			
Account Balance	USD ▼	10000	
Date of Balance	09	04	2010 

- ❖ The new account details will be saved. The Maintain Account screen will reload to allow Account Transactions to be entered.

For each account an Account Name and a Financial Institution must be entered. If an Account Holder type has been selected an Account Holder must be selected or entered. If a Swift / BIC address is entered it must be either 8 or 11 characters with no spaces. If a Sort Code is entered it must be exactly 6 numbers.

To exit the Maintain Account screen without adding a new account or after adding a new account

 Click the Exit button

- ❖ The Accounts and Transactions list screen will be displayed.

8.13.3 Transactions

Each account can have multiple transactions. A transaction must be part of an account and cannot be added until an account has been added.

The Account Transactions datapager appears below saved Account details on the Maintain Account screen (to locate the screen follow the procedure detailed in Section 8.13.11).

Maintain Account



10 04 2037 - Jerry's Canteen; JAMES, Janey

Southern Bank Ltd

Edit Account - JAMES, Janey					
Account Holder Name	Mrs J James				
Account / Product Type	Savings Account				
Account / Product Name	Premium Savings				
Account / Product No	204578 22111455				
Date Opened	17	5	2001		
Date Closed					
Account Balance	GBP	6000.00			
Date of Balance	16	4	2010		

Exit

Delete

Reset

Save

Account Transactions						
<div> <div> <</div> <div><</div> <div>1</div> <div>></div> <div> ></div> </div>				<div> <div></div> <div>Column Selection</div> <div>▼</div> </div>		
Transact Date	Type	Currency	Amount	Method	Parties	
1st Apr 2010	Other (Debit)	GBP	15000.00	Cheque	Not available	<div> <div></div> <div>View Transaction</div> </div>
<div> <div> <</div> <div><</div> <div>1</div> <div>></div> <div> ></div> </div>				<div> <div>5</div> <div>10</div> <div>15</div> <div>25</div> <div>50</div> </div>		

Add Transaction

8.13.4 Add Transaction

Open the Maintain Account screen (to locate the screen follow the procedure detailed in Section 8.13.11).

Account Transactions

Navigation: |< < 1 > >

Column Selection

Transact Date	Type	Currency	Amount	Method	Parties	
1st Apr 2010	Other (Debit)	GBP	15000.00	Cheque	Not available	View Transaction

Navigation: |< < 1 > >

5 10 15 25 50

Add Transaction

Click the Add Transaction button at the bottom of the screen.

The Maintain Transaction screen will open.

Maintain Transaction

10 04 1903 - HARRISON, Terrence; Waydais Ltd

Southern Bank Ltd

Account Details

Account Holder Name: HARRISON, Terrence

Account/Product No: 05497 45552246

Transaction Details

Transaction Date: 01/09/2010

Transaction Amount: USD 10000

Transaction Type: Credit

Transaction Method: BACS Transfer

Save

The following fields will be available for completion

- ❖ Transaction Date
- ❖ Transaction Type
- ❖ Transaction Amount. To enter a transaction amount; first select the transaction currency, the amount box will then appear.
- ❖ Transaction Method

Complete all known details

Click the Save button

This will save the new transaction details. The Maintain Transaction screen will reload to allow Transaction Parties to be entered.

For each transaction; the transaction date, transaction type, transaction amount and transaction method fields must be completed.

To exit the Maintain Transaction screen without adding a new transaction or after adding a new transaction

- ✎ Click the Exit button
- ❖ The Maintain Account screen will be displayed.

8.13.5 Parties

The details of transaction parties on disclosures which have not yet been submitted to FIS can be edited. Once the disclosure has been submitted to FIS the transaction party information will be read only.

Each transaction can have multiple parties. A party to a transaction cannot be added until the transaction has been saved.

The Parties Involved in this Transactions datapager appears below the saved Transaction Details.

Maintain Transaction

10 04 2037 - Jerry's Canteen; JAMES, Janey
Southern Bank Ltd

Account Details

Account Holder Name	JAMES, Janey
Account/Product No	204578 22111455

Transaction Details

Transaction Date	<input type="text" value="1"/> <input type="text" value="5"/> <input type="text" value="2001"/>	Transaction Amount	<input type="text" value="GBP"/> <input type="text" value="343.00"/>
Transaction Type	<input type="text" value="Other (Debit)"/>	Transaction Method	<input type="text" value="BACS Transfer"/>

Parties Involved in this Transaction

Role	Name	
Depositor	Jerry's Canteen	✖ Remove Party
Account Holder	JAMES, Janey	✖ Remove Party

8.13.6 Add a Party or Parties involved in a Transaction

To add a new party to a transaction open the Maintain Transaction details screen (to locate the screen follow the procedure detailed in Section 8.13.9).

- Click the Add Party button at the bottom of the screen

Maintain Transaction ?

10 04 2037 - Jerry's Canteen; JAMES, Janey Southern Bank Ltd

Account Details

Account Holder Name	JAMES, Janey
Account/Product No	204578 22111455

Transaction Details

Transaction Date	1 5 2001	Transaction Amount	GBP ▼ 343.00
Transaction Type	Other (Debit) ▼	Transaction Method	BACS Transfer ▼

Parties Involved in this Transaction

Role	Name	
Depositor	Jerry's Canteen	Remove Party
Account Holder	JAMES, Janey	Remove Party

Exit Delete ➔ Add Party Save

- ❖ This will open the Maintain Transaction Parties screen.

8.13.6.1 Subjects of the record as transaction parties

Any subjects already added to the disclosure will appear as potential parties to the transaction.

Any officials added to organisation subjects will appear as potential parties to the transaction.

8.13.6.2 Additional parties who are not subjects of the record

It is possible to add additional parties to a transaction which are not subjects of the record.

To add a new Individual as a Party

- Click the Add Individual Party button

Maintain Transaction Parties ?

10 04 2263 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

Add Additional Transaction Parties


Name	Role
Harrison, Terrence	< --- Please select an option --- >
Waydais Ltd	< --- Please select an option --- >
Bank of Kelvin	< --- Please select an option --- >



- Forename(s) or Initials and Surname fields to be completed for the new individual party will be displayed at the bottom of the screen.

Enter Individual Party Details

Forename(s) or Initials Surname



- Complete the fields.
- Click the Add button to add the new party details to the list at the top of the screen.

To add a new Organisation as a Party


- Click the Add Organisation Party button

Maintain Transaction Parties ?

10 04 2263 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

Add Additional Transaction Parties


Name	Role
Harrison, Terrence	< --- Please select an option --- >
Waydais Ltd	< --- Please select an option --- >
Bank of Kelvin	< --- Please select an option --- >



- An Organisation name to be completed for the new organisation party will be displayed at the bottom of the screen.

Enter Organisation Party Details

Organisation Name



- Complete the field.

- Click the Add button to add the new party details to the list at the top of the screen.

The additional parties will not be saved to the transaction until their roles have been selected and Add Selected Parties has been clicked – see 8.13.6.3 Adding parties and their roles below.

8.13.6.3 Adding parties and their roles



Maintain Transaction Parties 

10 04 2037 - Jerry's Canteen; JAMES, Janey Southern Bank Ltd

Add Additional Transaction Parties	
Name	Role
Jerry's Canteen	Account Holder
James, Janey	< --- Please select an option --- >
Newton, Kary	Intermediary

The Maintain Transaction Parties screen will contain all subjects of the record and any additional parties added using the method described above.

- For each party to be added to the transaction select the role the party played from the dropdown list(s)
- Click Add Selected Parties button
- The Maintain Transaction Parties screen will close and the Maintain Transaction screen will be displayed again.
- The newly added parties and their roles will be displayed in the Parties Involved in this Transaction datapager at the bottom of the screen.

Parties Involved in this Transaction		
Role	Name	
Account Holder	Jerry's Canteen	 Remove Party
Intermediary	NEWTON, Kary	 Remove Party

To exit the Maintain Transaction Parties screen without adding new parties or their roles

- Click the Exit button
- The Maintain Transaction screen will be displayed without adding any additional parties or their roles.

8.13.7 Removing Parties involved in a Transaction




To remove a party from a transaction open the Maintain Transaction details screen (to locate the screen follow the procedure detailed in Section 8.13.9).

Maintain Transaction**10 04 2037 - Jerry's Canteen; JAMES, Janey****Southern Bank Ltd**

Account Details	
Account Holder Name	JAMES, Janey
Account/Product No	204578 22111455

Transaction Details	
Transaction Date	1 5 2001
Transaction Amount	GBP 343.00
Transaction Type	Other (Debit)
Transaction Method	BACS Transfer

Parties Involved in this Transaction	
Role	Name
Depositor	Jerry's Canteen
Account Holder	JAMES, Janey

 Remove Party
 Remove Party

Exit


Delete

Reset

Add Party

Save

 Locate the party to be removed in the Parties Involved in this Transaction datapager at the bottom of the screen.

 Click the Remove Party link next to the party to be removed.

8.13.8 Editing Parties involved in a Transaction

To edit a party to a transaction, for example to modify the party role, remove the party using the method described in 8.13.7 Removing Parties involved in a Transaction and then add a new party using the method described in 8.13.6 Add a Party or Parties involved in a Transaction.

Add a Party or Parties involved in a Transaction.

8.13.9 View or Edit a Transaction

The details of transactions on disclosures which have not yet been submitted to FIS can be edited. Once the disclosure has been submitted to FIS the transaction information will be read only.

Open the Maintain Account screen (to locate the screen follow the procedure detailed in Section 8.13.11).

Account Transactions

Navigation: |< < 1 > > Column Selection ▼

Transact Date	Type	Currency	Amount	Method	Parties	
1st Apr 2010	Other (Debit)	GBP	15000.00	Cheque	Not available	View Transaction

Navigation: |< < 1 > > 5 10 15 25 50

Add Transaction

☞ Click the View Transaction link next to the transaction to be edited.

❖ The Maintain Transaction screen will open.

Maintain Transaction ?

10 04 1903 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

Account Details

Account Holder Name: HARRISON, Terrence
Account/Product No: 05497 45552246

Transaction Details

Transaction Date: 01/09/2010
Transaction Type: Credit
Transaction Amount: USD 10000
Transaction Method: BACS Transfer

Exit Reset Save

✎ Amend the details of the transaction

☞ Click Save.

❖ The amended transaction details will be saved. The Maintain Transaction screen will reload for further editing.

To exit without editing a transaction or after editing a transaction

☞ Click the Exit button

❖ The Maintain Account screen will be displayed.

8.13.10 Delete Transaction

To delete a transaction open the Maintain Transaction screen (to locate the screen follow the procedure detailed in Section 8.13.9).

- Click the Delete button at the bottom of the screen.

Maintain Transaction ?

10 04 2037 - Jerry's Canteen; JAMES, Janey Southern Bank Ltd



Account Details


Account Holder Name	JAMES, Janey
Account/Product No	204578 22111455

Transaction Details

Transaction Date	1 5 2001	Transaction Amount	GBP 343.00
Transaction Type	Other (Debit)	Transaction Method	BACS Transfer

Parties Involved in this Transaction

Role	Name	
Depositor	Jerry's Canteen	 Remove Party
Account Holder	JAMES, Janey	 Remove Party



- A message will appear asking you to confirm you would like to Delete the transaction.
- Clicking No will not delete the transaction and you will remain on the Maintain Transaction screen.
- Clicking Yes will permanently delete the transaction and any information relating to parties involved in the transaction. The Maintain Account screen which the transaction belonged to will be displayed the transaction will no longer appear in the Account Transactions datapager at the bottom of the screen.

It is not possible to recover deleted information.

8.13.11 Editing Accounts

The details of accounts on disclosures which have not yet been submitted to FIS can be edited.

From the top of the Accounts and Transactions List screen

- ✎ Select the name of the subject who owns the account
- ✎ Click View Accounts.
- ❖ The screen will reload and any existing accounts for the subject will be displayed in the Account Details datapager.
- ✎ Click the View Account/Transactions link next to the account to be edited.

Subjects Transaction Reason for Suspicion and Other Information Attachments Consent

Accounts and Transactions List

10 04 1903 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

HARRISON, Terrence View Accounts

Account Details

Record(s) 1-2 Turn row count on Column Selection

Account No	Type	Opened	Closed	Currency	Balance	Balance Date	
02987 98746444	Deposit account	1st Sep 2004	Not Available	GBP	98,770.00		
05497 45552246	International Currency Trading Account	1st Jun 2009	Not Available	USD	10,000.00	9th Apr 2010	

Record(s) 1-2 Turn row count on 5 10 15 25 50

Exit Add Account Submit to FIS Save Draft

- ❖ The Maintain Account will open.
- ✎ Amend the details of the account
- ✎ Click Save.
- ❖ The amended account details will be saved. The Maintain Account screen will reload for further editing.

To exit the Maintain Account screen without editing an account or after editing an account

- ✎ Click the Exit button
- ❖ The Accounts and Transactions list screen will be displayed.

8.13.12 Deleting Accounts

Accounts on disclosures which have not yet been submitted to FIS can be deleted. Deleting an account will delete all information about the account including Transactions and Parties to Transactions. It is not possible to recover deleted information.




To delete an Account open the Maintain Account screen for the account to be deleted (to locate the screen follow the procedure detailed in Section 8.13.11).

Maintain Account

10 04 2037 - Jerry's Canteen; JAMES, Janey

Southern Bank Ltd

Edit Account - JAMES, Janey

Account Holder Name	Mrs J James		
Account / Product Type	Savings Account ▼		
Account / Product Name	Premium Savings		
Account / Product No	204578 22111455		
Date Opened	17	5	2001 
Date Closed			
Account Balance	GBP ▼	6000.00	
Date of Balance	16	4	2010 

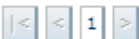
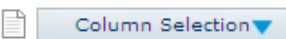



Delete

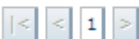
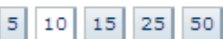
Reset

Save




Account Transactions

Transact Date	Type	Currency	Amount	Method	Parties	
1st Apr 2010	Other (Debit)	GBP	15000.00	Cheque	Not available ▼	 View Transaction

Add Transaction

-  Click the Delete button.
- ❖ A message will appear asking you to confirm you would like to Delete the account.
-  Clicking Yes will permanently delete the account and any information relating to transactions on that account and parties of those transactions. The Accounts and Transactions List screen will be displayed and the Account will no longer appear in the datapager.
-  Clicking No will not delete the account and you will remain on the Maintain Account screen.

8.14 Reason for Suspicion

The Reason for Suspicion section of the disclosure is accessed by clicking the Reason for Suspicion and Other Information tab of the Disclosure.

The screenshot shows the 'Reason for Suspicion' form. The top navigation bar includes 'Subjects', 'Transaction', 'Reason for Suspicion and Other Information' (selected), 'Attachments', and 'Consent'. The form title is 'Reason For Suspicion'. Below the title, the disclosure reference is '10 06 1399 - The TLA Association' and the institution is 'Lloyds TSB Bank'. The form is divided into two main sections. The first section, 'Reason for suspicion', contains four fields: 'Current Status of Business Relationship' (dropdown menu showing 'New Application'), 'Legislation under which disclosure is made' (dropdown menu showing 'The Criminal Justice (Proceeds of Crime) (Bailiwick of Guernsey) Law 1999'), 'Relationship Start Date' (calendar icon), and 'Relationship End Date' (calendar icon). The second section, 'Reasons for Suspicion and Any Additional Information', is a large text area with a rich text editor toolbar. At the bottom of the form are four buttons: 'Exit', 'Reset', 'Submit to FIS', and 'Save Draft'.

This screen is only editable before the disclosure is submitted to FIS. Once the disclosure has been submitted the information will be read-only.

The following fields are available for completion.

- Current Status of Business Relationship
- Legislation under which Disclosure is made
- Relationship Start Date
- Relationship End Date
- Reason for Suspicion and Any Additional Information

It is mandatory that the Current Status of Business Relationship, Legislation under which Disclosure is made and Reason for Suspicion and Any Additional Information fields are completed before the disclosure can be submitted to FIS.

8.15 Attachments

Additional documents or images may be submitted as attachments to a disclosure. It is possible to add attachments to submitted disclosures but it is not possible to edit or remove attachments from submitted disclosures. Attachments on submitted disclosures are view only.

🖱️ Click the Attachments tab on a disclosure to open the Attachments screen.

8.15.1 Attached Documents

A datapager at the top of the Attachments screen lists all the documents or images, which have been uploaded to the disclosure.

Documents List

10 04 1903 - HARRISON, Terrence; Waydais Ltd

Southern Bank Ltd

Attached Documents

Description	Format	Uploaded By	Added	
Client 1547 ID scan.jpg	JPG Image	SMITH, John, MLRO, Southern Bank Ltd	9th Apr 2010	View

Add Document

8.15.1.1 Adding a new attachment

To add a new attachment to a disclosure

- Click the Add Document button on the Attachments screen.

Documents List

10 04 1903 - HARRISON, Terrence; Waydais Ltd

Southern Bank Ltd

Attached Documents

Description	Format	Uploaded By	Added	
Client 1547 ID scan.jpg	JPG Image	SMITH, John, MLRO, Southern Bank Ltd	9th Apr 2010	View

Add Document

- This opens the Select Document(s) for Upload screen.

- Click the Browse button on this screen.

Select Document(s) for Upload

10 04 2097 - Kid Trust

Southern Bank Ltd

Selected Document(s) / Image(s)

Document Name	Document Format	Added Time	
bob.JPG	JPG Image	21st Apr 2010 18:26:22	Remove

Add New

Search for Document [Browse...](#) [Add](#)

[Exit](#) [Next](#)

- This will open a window which will allow a document to be selected from the user's computer or network. Once a file has been selected the Search for Document path will be populated.

- ☞ Click the Add button to upload the file.
- ❖ The screen will reload and the uploaded document will be listed at the top of the screen. Multiple documents can be uploaded on this screen by repeatedly browsing for a file and clicking the Add button. Uploading a zip file will extract the individual files and list them at the top of the screen.

To remove a document at this stage

- ☞ Click the Remove link.

Once all the required documents are listed at the top of the screen.

- ☞ Click the Next button.

Select Document(s) for Upload



10 04 2097 - Kid Trust

Southern Bank Ltd

Selected Document(s) / Image(s)			
Document Name	Document Format	Added Time	
bob.JPG	JPG Image	21st Apr 2010 18:26:22	Remove

Add New

Search for Document
Browse...

Add

Next

- ❖ The Add Document(s) Details screen will load; a set of fields will be displayed for each document uploaded on the previous screen. Each document has a Short Description and scrolling free text field to enter details about the document. The Short Description field is mandatory for all uploaded documents.
- ☞ Click Save to save the uploaded documents.

Add Document(s) Details



10 04 2097 - Kid Trust

Southern Bank Ltd

bob.JPG Details

Name
bob.JPG

Format
JPG Image

Added to System
21st Apr 2010

Short Description

Image Description

B I U

Size

body p

E

Save

- ❖ The Add / Edit Document Details screen will close and the Attachments screen will reload with the new documents in the Attached Document list.

To cancel uploading the documents at any point

- ✎ Click the Exit button.
- ❖ The Attachments screen will be displayed.

8.15.1.2 Viewing an attachment

To view an uploaded attachment

- ✎ Click the name of the document on the Attachments screen.

Attached Documents

<< < 1 > >>

Column Selection

	Description	Format	Uploaded By	Added	
bob.JPG	CCTV image of BB	JPG Image	SMITH, John, MLRO, Southern Bank Ltd	13th May 2010	View

<< < 1 > >>

5 10 15 25 50

Add Document

- ❖ This will open the appropriate program to view the attachment, provided it is installed on the user's computer.

To view the details entered about an attachment

- ✎ Click the View link of the document on the Attachments screen.

Attached Documents

1

Column Selection

	Description	Format	Uploaded By	Added	
bob.JPG	CCTV image of BB	JPG Image	SMITH, John, MLRO, Southern Bank Ltd	1	<div><div></div>View</div>

1

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Add Document

- ❖ This will open the Edit Document Details screen displaying the attachment details. If the attachment has been submitted to FIS, the fields on this screen will be read-only.

8.15.1.3 Edit the details of an attachment

Attachment details can be edited on disclosures which have not yet been submitted to FIS.

- ❖ Click the View link of the document on the Attachments screen.

Attached Documents

Description	Format	Uploaded By	Added	
bob.JPG	JPG Image	SMITH, John, MLRO, Southern Bank Ltd	10	View

5 10 15 25 50

Add Document

- ❖ This will open up the Edit Document Details screen.
- ✎ Amend the details of the attachment
- 💾 Click the Save button.

Edit Document Details

10 04 2097 - Kid Trust Southern Bank Ltd

bob.JPG Details

Name: bob.JPG

Format: JPG Image

Reference: IMG 10 04 2193 Added to System: 21st Apr 2010

Short Description: CCTV image of BB

Image Description: Taken 13/04/2010 in Central station.

Exit Delete Save

- ❖ The changes will be saved the Edit Document Details screen will closed and Attached Documents screen will be displayed.

To exit the Edit Document screen without making any changes.

- ❖ Click the Exit button.
- ❖ The Attachments screen will be displayed.

8.15.1.4 Delete an attachment

Attachments can be removed from disclosures which have not yet been submitted to FIS.

- ❖ Click the View link of the document on the Attachments screen.

Attached Documents

<<


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1

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>>

Column Selection

	Description	Format	Uploaded By	Added	
bob.JPG	CCTV image of BB	JPG Image	SMITH, John, MLRO, Southern Bank Ltd	10	 View

<<

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1

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>>

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Add Document

- ❖ This will open up the Edit Document Details screen.
- 🖱️ Click the Delete button.

Edit Document Details		Southern Bank Ltd	
bob.JPG Details			
Name	bob.JPG		
Format	JPG Image		
Reference	IMG 10_04_2193	Added to System	21st Apr 2010
Short Description	CCTV image of BB		
Image Description	<p>Taken 13/04/2010 in Central station.</p>		

- ❖ A message will appear asking you to confirm the deletion.
 - 🖱 Clicking Cancel will close the message and remain on the Edit Document Details screen.
 - 🖱 Clicking OK will permanently delete the attachment and redisplay the Attachments screen.

8.15.2 Other Documents

Add Document

Other Documents

List here any documents which are not being uploaded with this submission and which will be submitted by post or fax. Please ensure that the reference of this disclosure is attached to any document which is sent by post or fax.

B I U

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ABC ✓

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☰ ☲ ☱

☰ ☲ ☱

Size

✎

body p

Exit

Reset

Submit to FIS

Save Draft

The bottom half of the Attachments screen is a scrolling free text field. This should be used to enter the details of any documents which will be submitted via post or fax.

This field can be edited on both pending and submitted disclosures.

To save the details of the Other Documents field

- Click the Save Draft or Save buttons.

8.16 Consent Requests

8.16.1 Adding a Consent Request



Consent Requests can be added to Disclosures on the Consent Request tab.

8.16.1.1 Consent Requests on Pending Disclosures

Before the disclosure is submitted to FIS the Consent tab contains a single scrolling text box.

The screenshot shows a web application interface for submitting a consent request. At the top, there are tabs for 'Subjects', 'Transaction', 'Reason for Suspicion and Other Information', 'Attachments', and 'Consent'. The 'Consent' tab is active. Below the tabs, the title 'Submit Consent Request' is displayed, followed by the date '10 04 2079' and the name 'Jerry's Canteen'. The 'Southern Bank Ltd' logo is visible in the top right corner. The main section is titled 'Details of Request' and contains a text area for entering details. Below the text area, there are four buttons: 'Exit', 'Reset', 'Submit to FIS', and 'Save Draft'.

To submit a Consent Request along with the disclosure

-  Enter the details of the request in the Details of Request field
-  Click Save Draft

8.16.1.2 Consent Requests on Submitted Disclosures

At the bottom of the Consent Request screen for a submitted disclosure there is a Request Consent button.

To submit a new Consent Request on a submitted disclosure

- Click the Request Consent button

Consent Requests FIS Communications Further Information Subjects Transaction Reason for Suspicion and Other Information Attachments

Consent Requests 10 04 1903 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

Consent Requests

Record(s) 1-2 Turn row count on Column Selection

Date Of Request	Consent Request Ref	Date Of Response	Read/ Unread	
9th Apr 2010	10 04 1923	Not Yet Received	Unread	View
9th Apr 2010	10 04 1931	9th Apr 2010	Read	View

Record(s) 1-2 Turn row count on 5 10 15 25 50

Request Consent

- The Submit Consent Request screen will open containing a single scrolling text box. This is similar to the screen that is displayed prior to the Disclosure being submitted.
- Enter the details of the request in the Details of Request field.
- Click Submit to send the request to FIS.
- The Consent Requests screen will be displayed and the new Consent Request will be listed in the datapager.

To cancel without submitting the request

- Click the Exit button.
- The Consent Request screen will be displayed.

8.16.2 Viewing Consent Requests

The Consent Request tab on a submitted disclosure contains a datapager listing all consent requests.

Consent Requests which have been submitted to FIS but have not yet been responded to will say Not Yet Received in the Date of Response column.

Consent Requests which have received responses from FIS will have a date of response in the Date of Response column in the datapager on the Consent Requests screen of the Disclosure.

If the Consent Request has not been viewed by any user representing the organisation the Read / Unread status will be Unread.

8.16.2.1 Submitted Consent Requests

To view a submitted Consent Request

- Click the View link for the Consent Request on the Consent Requests screen.

- ❖ If the Consent Request has not been responded to the details of the submitted request will be displayed in the View Consent Request screen.

View Consent Request



10 04 1903 - HARRISON, Terrence; Waydais Ltd

Southern Bank Ltd

Request			
FIS Reference:	10/04/1903	Submitted:	9th Apr 2010 13:07:48
We request permission to withdraw £500 from the current account of Terrence Harrison.			
Requested By:	SMITH, John		
			<input type="button" value="Print"/>

To print a submitted Consent Request

- 🖨 When viewing the submitted Consent Request. Click the Print button.
- ❖ This will create a PDF file containing the details of the consent request. The print function in the PDF viewer can then be used to print the Consent Request.

To exit a submitted Consent Request

- 🖨 When viewing the submitted Consent Request. Click the Exit button
- ❖ The Consent Requests screen will be displayed.

8.16.2.2 Consent Request Responses

To view a Consent Request Response

- ❖ Click the View link for the Consent Request on the Consent Requests screen.

Consent Requests FIS Communications Further Information Subjects Transaction Reason for Suspicion and Other Information Attachments

Consent Requests 

10 04 1903 - HARRISON, Terrence; Waydais Ltd Southern Bank Ltd

Consent Requests

Record(s) 1-2 Turn row count on Column Selection

Date Of Request	Consent Request Ref	Date Of Response	Read/ Unread	
9th Apr 2010	10 04 1923	Not Yet Received	Unread	 View
9th Apr 2010	10 04 1931	9th Apr 2010	Read	 View

Record(s) 1-2 Turn row count on

5 10 15 25 50

Exit Request Consent

- ❖ If the Consent Request has been responded to the details of the submitted request will be displayed followed by the details of the response.

View Consent Request

10 04 1903 - HARRISON, Terrence; Waydais Ltd


Southern Bank Ltd

Request

FIS Reference: 10/04/1903 Submitted: 9th Apr 2010 13:47:52

Client has been enquiring why transaction of 4th April has not yet been actioned. Please grant consent to make transaction in order to avoid 'tipping off'.

Requested By: SMITH, John



Response

FIS Request Reference: 10/04/1903 Response Dated: 9th Apr 2010

Discloser Reference: DSU-223-0410


Thank you for the disclosure of information you have provided under the provisions of the Disclosure (Bailiwick of Guernsey) Law, 2007 concerning Terrence Harrison.

Your suspicions have been noted.


Based upon the information provided you do have consent to process the transaction made on the 4th April 2010.

This does not release you from your obligation in respect of all future transactions on the account or arising from the relationship to comply with the relevant anti money laundering legislation and to have due regard to the Guernsey Financial Services Commission Handbook on countering financial crime and terrorist financing.

Thank-you for your continued co-operation.



Attachments

Document Name	Subject	Type	
Guidelines.pdf	MLRO Guidelines	PDF	 View

Exit & Mark as Read

-
- ❖ Any attachments added to the Consent Request response by FIS will be listed at the bottom of the screen.
 - 🔗 Click the View link to open any attachments
 - ❖ The attachment will open in the appropriate program provided it is installed on the computer of the user.

To exit a Consent Request Response

The first time a Consent Request Response is viewed by any user representing the organisation the only option to exit the screen is to click Exit and Mark as Read. If the consent request is viewed subsequently it is possible to click Exit.

- 🔗 Click Exit or Exit and Mark as Read
 - ❖ If Exit and Mark as Read is clicked the Consent Request as marked as read for all users of the organisation.
- ❖ Consent Requests screen will be displayed.

To print a Consent Request Response

- 🔗 Click the Print button on the Response
- ❖ This will create a PDF file containing the details of the consent request response. The print function in the PDF viewer can then be used to print the Consent Request Response.

To print both the response and the request it is necessary to use both Print buttons.

8.17 Further Information

Submitted Disclosures have a Further Information tab, to allow information that was not in the original submission to be added to the Disclosure.

The screenshot displays the 'Further Information' tab within a web application. At the top, there are several tabs: 'Consent Requests', 'FIS Communications', 'Further Information' (which is active), 'Subjects', 'Transaction', 'Reason for Suspicion and Other Information', and 'Attachments'. Below the tabs, the header shows '10 04 1903 - HARRISON, Terrence; Waydais Ltd' and 'Southern Bank Ltd'. The main content area is titled 'Further Information' and contains a table with two columns: 'Date of Submission' and 'FIS Submission Ref'. The first row of the table shows '9th Apr 2010' and '10 04 1929'. A red arrow points from the 'FIS Submission Ref' cell to a 'View' link. The interface also includes navigation buttons, a 'Column Selection' dropdown, and an 'Add Further Information' button at the bottom.

8.17.1 Adding Further Information

At the bottom of the Further Information screen there is an Add Further Information button.

- ☞ Click the Add Further Information button
- ❖ The Submit Further Information Screen will open containing a single scrolling text box.
- 📝 Enter the information in this field.

The screenshot displays the 'Submit Further Information' screen. At the top, there are several tabs: 'Consent Requests', 'FIS Communications', 'Further Information' (which is active), 'Subjects', 'Transaction', 'Reason for Suspicion and Other Information', and 'Attachments'. Below the tabs, the header shows '10 04 1903 - HARRISON, Terrence; Waydais Ltd' and 'Southern Bank Ltd'. The main content area is titled 'Submit Further Information' and contains a large text box for entering information. The text box has a rich text editor toolbar with options for bold, italic, underline, and other formatting. The interface also includes navigation buttons, a 'Column Selection' dropdown, and an 'Add Further Information' button at the bottom.

- ☞ Click Submit to send the information to FIS.
- ❖ The View Further Information screen will be displayed, showing the details of the information which was just submitted.

Once Further Information has been submitted it is possible to view the information but it is not possible to edit it.

To cancel without submitting the information

- ✎ Click the Exit button
- ❖ The Further Information screen will be displayed.

Multiple pieces of Additional Information can be added if required.

8.17.2 Viewing Further Information

Submitted information will be listed in a datapager on the Further Information screen.

Further Information		
<div> <div> <div><</div> <div>></div> <div>1</div> </div> <div>Record(s) 1-2</div> <div>Turn row count on</div> </div>		<div> <div>Column Selection</div> </div>
Date of Submission	FIS Submission Ref	
22nd Apr 2010	10 04 2201	View
9th Apr 2010	10 04 1929	View
<div> <div> <div><</div> <div>></div> <div>1</div> </div> <div>Record(s) 1-2</div> <div>Turn row count on</div> </div>		<div> <div>5</div> <div>10</div> <div>15</div> <div>25</div> <div>50</div> </div>

To view the details of the information submitted

- ✎ Click the View link.
- ❖ This will open the View Further Information screen. The information cannot be edited as it has been submitted to FIS.

View Further Information

10 04 1903 - HARRISON, Terrence; Waydais Ltd

Southern Bank Ltd

Additional Information Submitted	
FIS Reference:	10 04 1929
Submitted:	9th Apr 2010 13:43:54
Further Information	<div> Terrence Harrison has been questioning why the transaction on the 4th April 2010 from Waydais Ltd to his current account still hasn't been received. </div>
Submitted By:	SMITH, John

Exit

Print

To print the Further Information

- ✎ Click the Print button
- ❖ This will create a PDF file containing the details of the Further Information. The print function in the PDF viewer can then be used to print the Further Information.

To return to the Further Information screen

- ✎ Click the Exit button.


8.18 FIS Communications

Submitted Disclosures have a FIS Communications tab.

This screen lists communication sent from FIS regarding the disclosure.

Any FIS Communications sent regarding a Disclosure prior to a user beginning to represent the organisation will not appear in the FIS Communication tab for that user.



Consent Requests
FIS Communications
Further Information
Subjects
Transaction
Reason for Suspicion and Other Information
Attachments

FIS Communications


10 04 1903 - HARRISON, Terrence; Waydais Ltd
Southern Bank Ltd

FIS Communication

|< < 1 > >
Record(s) 1-2
Turn row count on
Column Selection

Date	Type	Read/ Unread	FIS Communication Ref	
22nd Apr 2010	Feedback Letter	Unread	10 04 15270	 View
9th Apr 2010	DL Acknowledgment Letter	Read	10 04 13592	 View

|< < 1 > >
Record(s) 1-2
Turn row count on
5 10 15 25 50

Exit

8.18.1 New FIS Communication

When a new FIS Communication is distributed to an organisation all MLRO portal users currently representing that organisation will receive email notification.

8.18.2 View FIS Communication

FIS Communication which has not been viewed by the user will have a Read / Unread status of Unread.

To view a FIS Communication

- 🖱️ Click the View link.
- ❖ This will open the View FIS Communication screen.

View FIS Communication 

10 04 1903 - HARRISON, Terrence; Waydais Ltd **Southern Bank Ltd**

Communication - DL Acknowledgment Letter

Ms S Duki Southern Bank Ltd Southern Comfort, Rue Jacques St. Sampson GY2 4NJ Guernsey	Date : 09/04/2010 FIS Reference : 10 04 1903 Discloser Reference : DSU-223-0410
---	---

PRIVATE & CONFIDENTIAL - ADDRESSEE ONLY

Dear Ms S Duki

Thank you for the disclosure of information you have provided under the provisions of The Disclosure (Bailiwick of Guernsey) Law, 2007 concerning:-

Mr Terrence Harrison

Waydais Ltd

The information has been noted.

Thank you for your continued co-operation.

Yours sincerely



On Behalf of Director

[Exit & Mark as Read](#) [Print](#)

To print the FIS Communication

When viewing a FIS Communication

- 🖱️ Click the Print button.
- ❖ This will produce a file in PDF format. The print function in the PDF viewer can then be used to print the letter.

To exit the FIS Communication

The first time a FIS Communication is viewed by the user the only option to exit the screen is to click Exit and Mark as Read. If the FIS Communication is subsequently viewed it is possible to click Exit.


- ✎ Click Exit or Exit and Mark as Read
 - ❖ If Exit and Mark as Read is clicked the FIS Communication will be marked as read for that user only. It will remain unread for other users of the organisation.
 - ❖ The FIS Communication screen of the disclosure will be displayed.

9 Financial Liaison Notices

Financial Liaison Notices distributed by FIS to the organisation will be listed in the Financial Liaison Notices area.

Any Financial Liaison Notices which were distributed prior to a user beginning to represent the organisation will not appear in the Financial Liaison Notices list for that user.

John Smith | [Test - External] | Logout | 23 Apr 2010



Home | Disclosure Reports | **Financial Liaison Notices** | Guidance & Legislation | Notice Board | Change Password | Exit

Financial Liaison Notices

Southern Bank Ltd

Search

Subject Name

Date of Birth or Incorporation

Address

Our Reference






Date Raised Between (Inclusive) and

Read or Unread Read and UnRead

Include Archived Reports No

Results

Record(s) 1-5

Tag	Date Raised	Subject	Date of Birth/Incorp	Address Line 1	FIS Reference	Archived	Read/Unread	
<input type="checkbox"/>	22nd Apr 2010	KID TRUST	24th April 1998	London Road	10 04 2089	No	UnRead	 View
<input type="checkbox"/>	23rd Apr 2010	TERRENCE HARRISON	6th Jul 1965	Champs Beulai, Rue De Longis	10 04 2263	No	UnRead	 View
<input type="checkbox"/>	15th Apr 2010	ABC FINANCE	Not Available	Not Available	10 04 14392	No	Read	 View
<input type="checkbox"/>	16th Apr 2010	BLACK ACCOUNTS LTD	1st Apr 2001	High Street	10 04 2073	No	Read	 View
<input type="checkbox"/>	16th Apr 2010	JOHN JONES	25th Jan 1983	Not Available	10 04 2089	No	Read	 View

Record(s) 1-5

9.1 New Financial Liaison Notice

When a new Financial Liaison Notice is distributed to an organisation, all MLRO portal users currently representing that organisation will receive email notification.



9.2 Searching Financial Liaison Notices

The FLNs listed in the Financial Liaison Notices list can be filtered or searched using the Search fields at the top of the screen.


The following fields are available to search Financial Liaison Notice.

- Subject Name
- Date of Birth or Incorporation
- Address
- Our Reference
- Date Raised. This can be used to return FLNs entered within specified date ranges as well as on specific dates by using the options provided in the dropdown list.
 - Between (inclusive)
 - On
 - Before
 - On or Before
 - After
 - On or After
- Read or Unread
- Include Archive Reports

To search for a specific Financial Liaison Notice or Notices

-  Enter the criteria in the Search fields at the top of the page
-  Click Search
- ❖ The screen will reload the screen and display any FLNs which match the entered search criteria in the Financial Liaison List.

To reset the search

-  Click Clear
- ❖ The search criteria will be reset to their default values and the Financial Liaison List datapager will be reset to contain all non-archived Financial Liaison Notices.

9.3 Sorting Financial Liaison Notices

The FLNs are initially sorted by Date Raised in descending order with any unread notices displayed first.

It is possible to temporarily amend the sort order by clicking the column names on the notices list. The notices list can be sorted by the following columns.

- Date Raised
- Subject
- Date of Birth / Incorporation
- Address Line 1
- FIS Reference
- Archived
- Read / Unread



For more information on sorting datapagers see Section 6.4.7 Sorting.

9.4 Archiving and Unarchiving Financial Liaison Notices

It is possible to archive Financial Liaison Notices from the Financial Liaison Notices list.

Archived Notices are not initially visible, it is necessary to modify the Search Criteria to include Archived Reports to view FLNs which have been archived.



To archive one or more notices

-  Select the checkbox(es) next to the notice(s)
-  Click the Archive Tagged Notices button.

It is not possible to archive notices which have not been read by the user.

Archiving a notice only affects the visibility of the Financial Liaison Notice on the Financial Liaison Notices screen for the represented organisation. FIS will not be notified that an FLN has been archived.

To unarchive one or more notices

-  Select the checkbox(es) next to the notice(s)
-  Click Unarchive Tagged Notices.

When a user archives or un-archives a notice it will become archived or un-archived for all users of the currently represented organisation, regardless of whether they have read it or not.

9.5 Viewing Financial Liaison Notices

Results								
<input type="checkbox"/> < 1 2 >		Record(s) 1-5		Turn row count on		Column Selection		
Tag	Date Raised	Subject	Date of Birth/Incorp	Address Line 1	FIS Reference	Archived	Read/Unread	
<input type="checkbox"/>	22nd Apr 2010	KID TRUST	24th April 1998	London Road	10 04 2089	No	UnRead	View
<input type="checkbox"/>	23rd Apr 2010	TERRENCE HARRISON	6th Jul 1965	Champs Beulai, Rue De Longis	10 04 2263	No		View
<input type="checkbox"/>	15th Apr 2010	ABC FINANCE	Not Available	Not Available	10 04 14392	No	Read	View
<input type="checkbox"/>	16th Apr 2010	BLACK ACCOUNTS LTD	1st Apr 2001	High Street	10 04 2073	No	Read	View
<input type="checkbox"/>	16th Apr 2010	JOHN JONES	25th Jan 1983	Not Available	10 04 2089	No	Read	View
<input type="checkbox"/> < 1 2 >		Record(s) 1-5		Turn row count on		<input type="button" value="5"/> <input type="button" value="10"/> <input type="button" value="15"/> <input type="button" value="25"/> <input type="button" value="50"/>		

- Click the View link next to a Financial Liaison Notice
- The View Financial Intelligence Notice screen will open.

View Financial Liaison Notice



The Bank of Mum & Dad

NOT PROTECTIVELY MARKED

The Bank of Mum & Dad

Date : 07/06/2010
 FIS Reference : 10 06 997
 Discloser
 Reference :

PRIVATE & CONFIDENTIAL - ADDRESSEE ONLY

Dear Sir

THIS INFORMATION IS CIRCULATED IN THE STRICTEST CONFIDENCE AND SHOULD NOT BE COMMUNICATED OUTSIDE POLICE, CUSTOMS AND FINANCIAL SERVICES BUSINESSES. UNAUTHORISED OR IMPROPER DISCLOSURE OF THE CONTENTS OF THIS NOTICE MAY CONSTITUTE A CRIMINAL OFFENCE.

The following individual has been arrested and charged with

Name: Higgins Trading
Date of Incorporation: 15th Jan 2002
Address: 58, Rue Jehannet, St. Martin, Guernsey, GY4 6JZ

Members are asked to check their records to establish if the above named hold(s) any accounts locally.

Should any account or other form of business relationship come to light concerning the person(s) mentioned, please contact the Financial Intelligence Service. Any queries that arise will be dealt with in the strictest confidence.

Yours sincerely

On Behalf of Director


[Exit & Mark as Read](#)

[Print](#)

[Create Disclosure Report](#)


To print the Financial Liaison Notice

When viewing a Financial Liaison Notice

-  Click the Print button.
- ❖ This will produce a file in PDF format. The print function in the PDF viewer can then be used to print the notice. The PDF formatted Financial Liaison Notice includes additional formatting.

To exit the Financial Liaison Notice

The first time a Financial Liaison Notice is viewed by the user the only option to exit the screen is to click Exit and Mark as Read. If the Financial Liaison Notice is subsequently viewed it is possible to click Exit.

-  Click Exit or Exit and Mark as Read
 - ❖ If Exit and Mark as Read is clicked the FLN will be marked as read for that user only. It will still appear as unread for other users.
- ❖ The Financial Liaison Notice List screen will be displayed.

9.6 Creating a Disclosure from a FLN

It is possible to create a disclosure directly from an FLN by using the Create Disclosure Report button on the View Financial Liaison Notices screen.


For more information on creating disclosures from FLNs see Section 8.9.2.

10 Guidance and Legislation


The Guidance and Legislation area will contain documents submitted for the information of users of the MLRO portal by FIS.

Guidance and Legislation Documents will appear for all users as long as the information is current.

John Smith | [Test - External] | Logoff | 23 Apr 2010

 Themis

Home Disclosure Reports Financial Liaison Notices **Guidance & Legislation** Notice Board Change Password Exit

Guidance and Legislation 

Southern Bank Ltd

Search

Subject or document name

Document Type

Clear Search

Results

Record(s) 1-2 Turn row count on Column Selection

Document Name	Subject	Document Type	Document Format	Date Last Updated
Disclosure (Bailiwick of Guernsey) Law 2007.pdf	Full Text of Legislation	Guidance & Legislation	PDF	23rd Apr 2010
Guernsey FSC Handbook.pdf	Disclosure Handbook	Guidance & Legislation	PDF	23rd Apr 2010

Record(s) 1-2 Turn row count on 5 10 15 25 50

10.1 New Guidance and Legislation

When a new Guidance and Legislation document is distributed by FIS users of the MLRO portal will receive email notification.



10.2 Searching Guidance and Legislation

The Guidance and Legislation listed can be filtered or searched using the Search fields at the top of the screen.


The following fields are available to search Guidance and Legislation.

- Subject or document name
- Document Type



To search for a specific Guidance and Legislation

-  Enter the criteria in the Search fields at the top of the page
-  Click Search
- ❖ The screen will reload the screen and display any Guidance and Legislation which match the entered search criteria in the Guidance and Legislation List.

To reset the search

-  Click Clear
- ❖ The search criteria will be reset to their default values and the Guidance and Legislation List datapager will be reset to contain all Guidance and Legislation records.

10.3 View a Guidance and Legislation document

-  Locate the Guidance and Legislation Document in the Guidance and Legislation list.
-  Click the document name
- ❖ This will open the attachment in an appropriate program, if an appropriate program is installed on the user's computer.

10.4 Sorting Guidance and Legislation

The Guidance and Legislation are initially sorted by Date Last Updated in descending order.

It is possible to temporarily amend the sort order by clicking the column names on the datapager. The guidance and legislation list can be sorted by the following columns.

- Document Name
- Subject
- Document Type
- Document Format
- Date Last Updated


For more information on sorting datapagers see Section 6.4.7. Sorting.

11 Notice Board

The Notice Board will contain Notices submitted for the information of users of the MLRO portal by FIS. A Notice may contain general information for all users or information specific to organisation.

Financial Liaison Notices distributed by FIS to the organisation will be listed in the Financial Liaison Notices area.

Home Disclosure Reports Financial Liaison Notices Guidance & Legislation **Notice Board** Change Password Exit

Notice Board Search 

Search

Subject

Notice Type



Date Raised Between (Inclusive) and

Read or Unread

Include Archived Reports

Results

Record(s) 1-2

Tag	Subject	Notice Type	Date	Read/Unread	Archived/Unarchived	
<input type="checkbox"/>	Statement format	System Information	9th Apr 2010	Read	Yes	 View
<input type="checkbox"/>	System will be down between 1am and 4am on Saturday 26th June 2010	System Information	9th Apr 2010	UnRead	No	 View

Record(s) 1-2

11.1 New Notice

When a new Notice is distributed to an organisation, all MLRO portal users currently representing that organisation will receive email notification.

11.2 Searching Notices



The Notices listed in the Notice Board can be filtered or searched using the Search fields at the top of the screen.

The following fields are available to search Notices.


- Subject
- Notice Type
- Date Raised. This can be used to return FLNs entered within specified date ranges as well as on specific dates by using the options provided in the dropdown list.
 - Between (inclusive)
 - On
 - Before

- On or Before
 - After
 - On or After
- Read or Unread
- Include Archive Reports

To search the notices

-  Enter the required search criteria at the top of the screen.
-  Click Search
- ❖ The screen will reload and display any Notices which match the entered search criteria in the Notice Board in the lower half of the screen.

To reset the notice board

-  Click Clear
- ❖ The screen will reload and the search criteria will reset to their default values and the Notice Board datapager will contain all non-archived notices.

11.3 Sorting Notices

The Notices are initially sorted by Date Raised in descending order with any unread notices displayed first.

It is possible to temporarily amend the sort order by clicking the column names on the Notice Board. The notices list can be sorted by the following columns.

- Subject
- Date
- Read / Unread
- Archived / Unarchived



For more information on sorting datapagers see Section 6.4.7 Sorting.

11.4 Archiving and Unarchiving Notices

It is possible to archive a Notice from the Notice Board.

Archived Notices are not initially visible, it is necessary to modify the Search Criteria to include Archived Reports to view Notices which have been archived.

To archive one or more notices

-  Select the checkbox(es) next to the notice(s)
-  Click the Archive Tagged Notices button.

- ❖ The selected reports will set to an archived status

It is not possible to archive notices which have not been read by the user.

Archiving a notice only affects the visibility of the notice on the Notice Board for the represented organisation. FIS will not be notified that a notice has been archived.

To unarchive one or more notices

- ☞ Select the checkbox(es) next to the notice(s)
- ☞ Click Unarchive Tagged Notices
- ❖ The selected reports will set to an archived status

When a user archives or un-archives a notice it will become archived or un-archived for all users of the currently represented organisation, regardless of whether they have read it or not.

11.5 Viewing and Printing Notices

To view a Notice

- ☞ Click the View link next to a Notice.

The screenshot shows the 'Notice Board Search' interface for Southern Bank Ltd. The top navigation bar includes links for Home, Disclosure Reports, Financial Liaison Notices, Guidance & Legislation, Notice Board, Change Password, and Exit. The search section has filters for Subject, Notice Type, Date Raised, Read or Unread, and Include Archived Reports. Below the search filters is a 'Results' section displaying a table of notices. A red arrow points to the 'View' link in the 'Archived/Unarchived' column of the first notice.

Tag	Subject	Notice Type	Date	Read/Unread	Archived/Unarchived	
<input type="checkbox"/>	FIS Office has moved	Other	9th Apr 2010	UnRead	No	View
<input type="checkbox"/>	System will be down between 1am and 4am on Saturday 26th June 2010	System Information	9th Apr 2010	Read	No	View

- ❖ This will open the View Notice screen.

View Notice



Southern Bank Ltd

Notice Detail

THIS INFORMATION IS CIRCULATED IN THE STRICTEST CONFIDENCE AND SHOULD NOT BE COMMUNICATED OUTSIDE THE POLICE, CUSTOMS AND FINANCIAL SERVICES BUSINESSES. UNAUTHORISED OR IMPROPER DISCLOSURE OF THE CONTENTS OF THIS NOTICE MAY CONSTITUTE A CRIMINAL OFFENCE.

Notice Type - System Information

System will be down between 1am and 4am on Saturday 26th June 2010

The Themis MLRO system will be down for essential maintenance between 1am and 4am on Saturday 26th June 2010.

An 'Undergoing Maintenance' screen will be displayed. Please see attached for an example.

Any users logged into the system at 1am on Saturday 26th June will be automatically logged out, any unsaved work will be lost.

We apologise for any inconvenience this may cause.

Themis System Administrators.

Message Created 15:56 09/04/2010

Attachments

Document Name	Subject	Document Format
Screen.JPG	Example of screen which will be displayed during maintenance	JPG Image

Exit & Mark as Read

Print

- ❖ Some notices may have attachments. These will be listed at the bottom of the screen.

To view an attachment

- 🖱 Click the Document name.
- ❖ This will open the attachment in an appropriate program, if an appropriate program is installed on the user's computer.

To print a Notice

- 🖱 Click the Print button
- ❖ This will create a file in PDF format of the notice. The print function in the PDF viewer can then be used to print the Notice.

Attachments will be listed in the PDF but not printed. The attachments should be printed separately using the print function within the program they are opened in.

To exit from viewing a Notice

The first time a Notice is viewed by a user the only option to exit the screen is to click Exit and Mark as Read. If the Notice is subsequently viewed it is possible to click Exit.

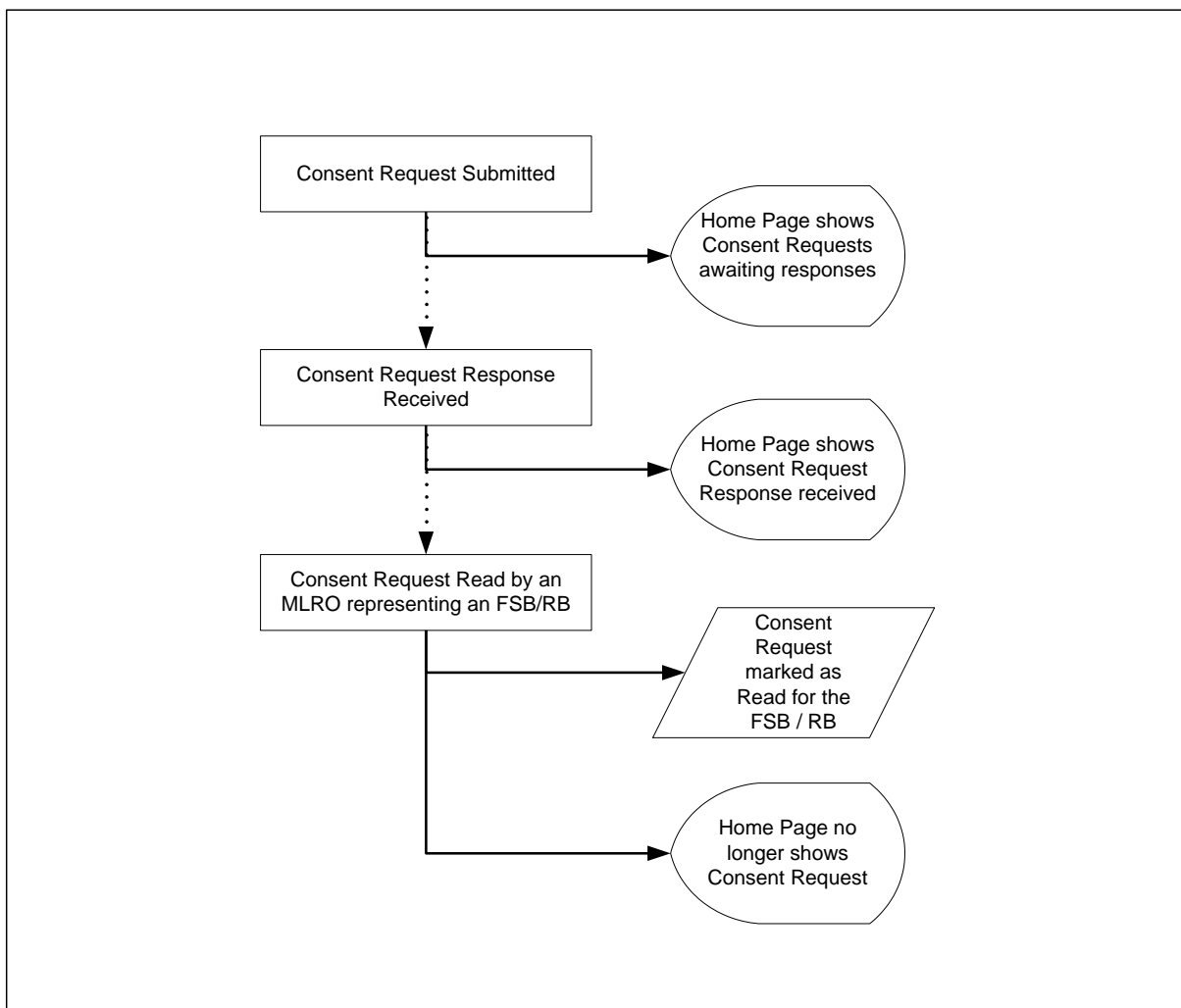
- 🖱 Click Exit or Exit and Mark as Read
- ❖ If Exit and Mark as Read is clicked the Notice will be marked as read for that user only.
- ❖ The Notice Board will be displayed.

Appendix A. Workflow

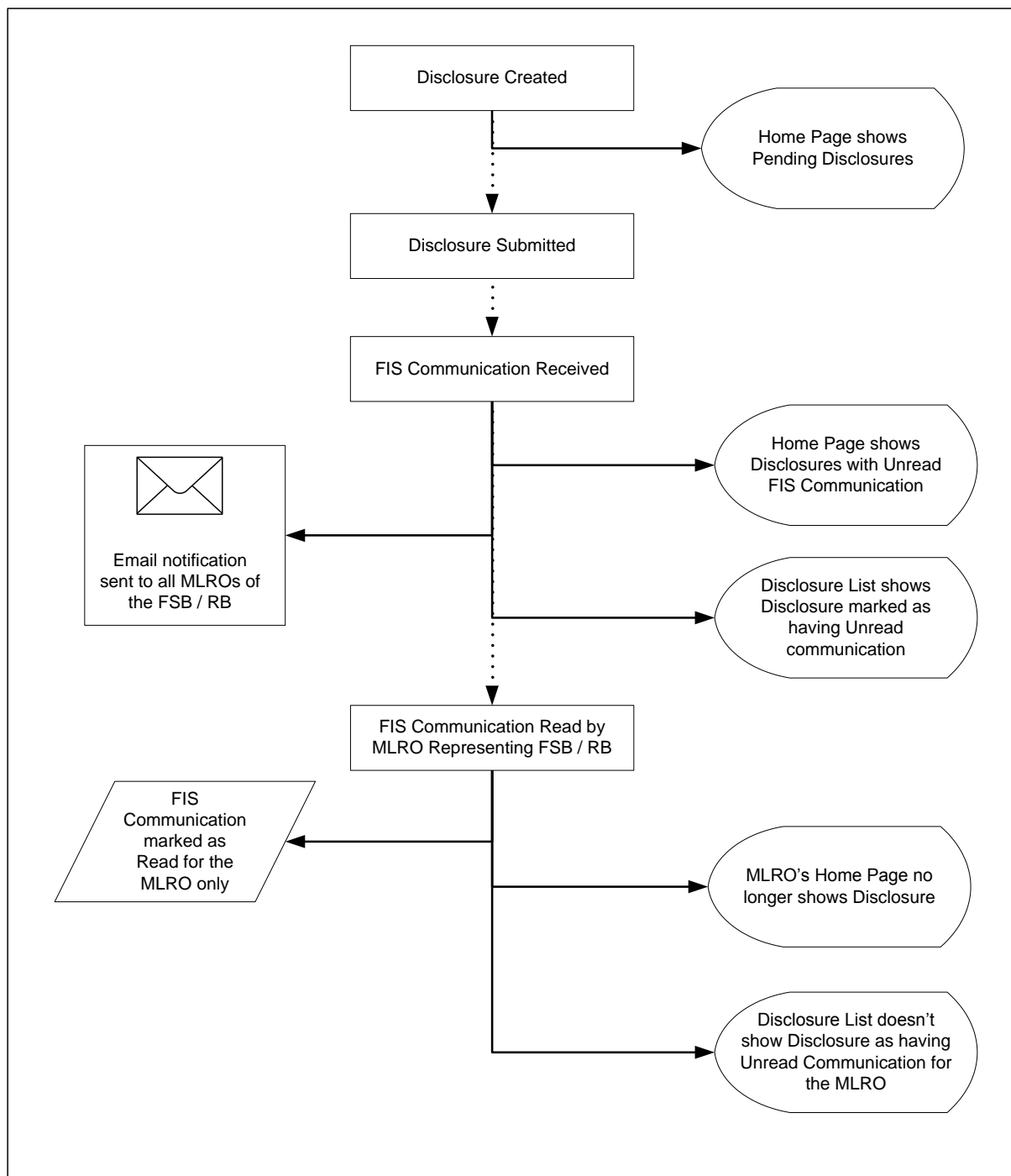
Email notification, the ability to mark items as 'read', and the homepage have all been implemented into the MLRO Portal to assist users to easily identifying records which are in progress or need attention.

The following four diagrams illustrate how the system is updated when Disclosures, Consent Requests, Financial Intelligence Notices, Guidance & Legislation and Notices change status.

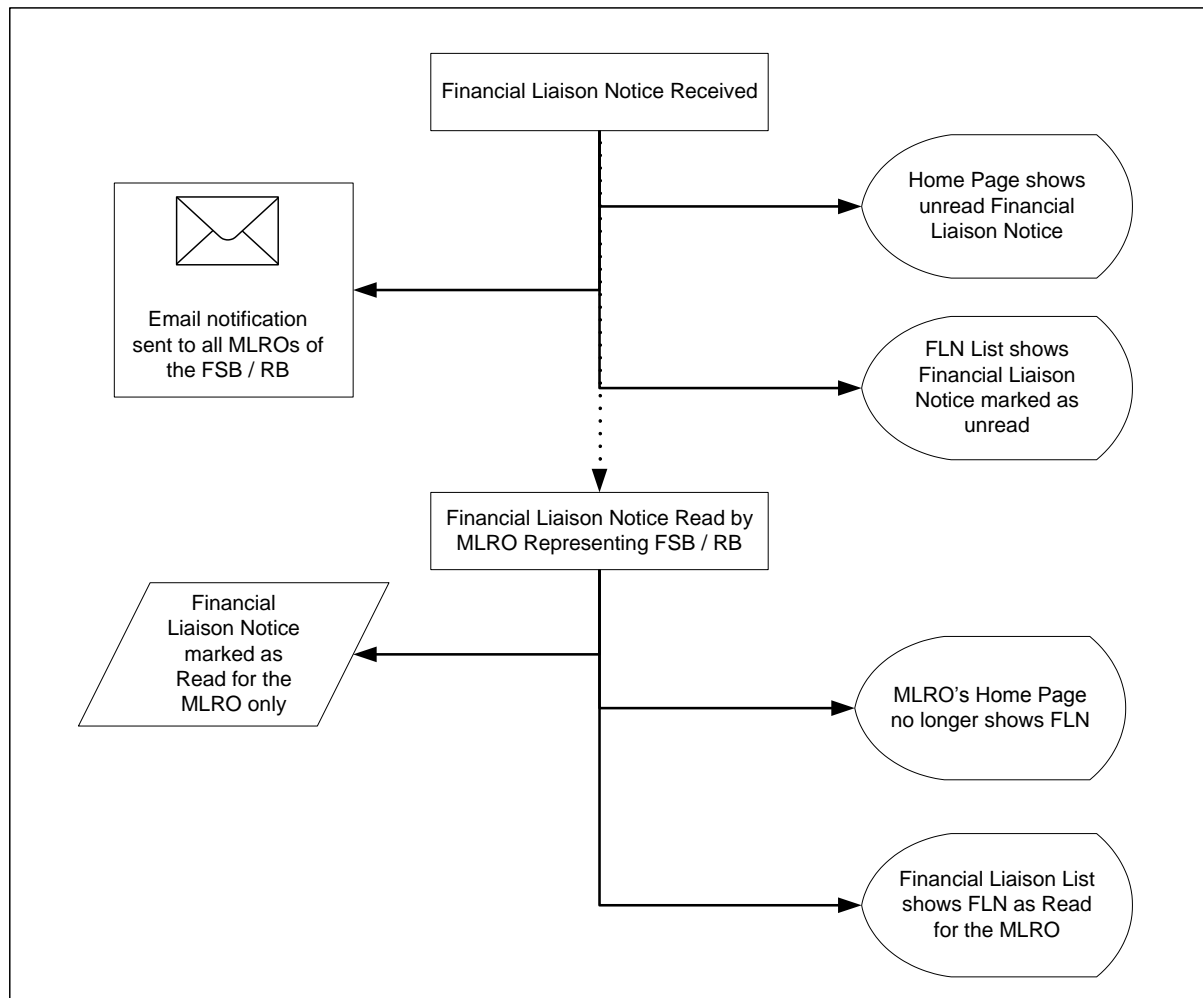
11.6 Consent Request Workflow



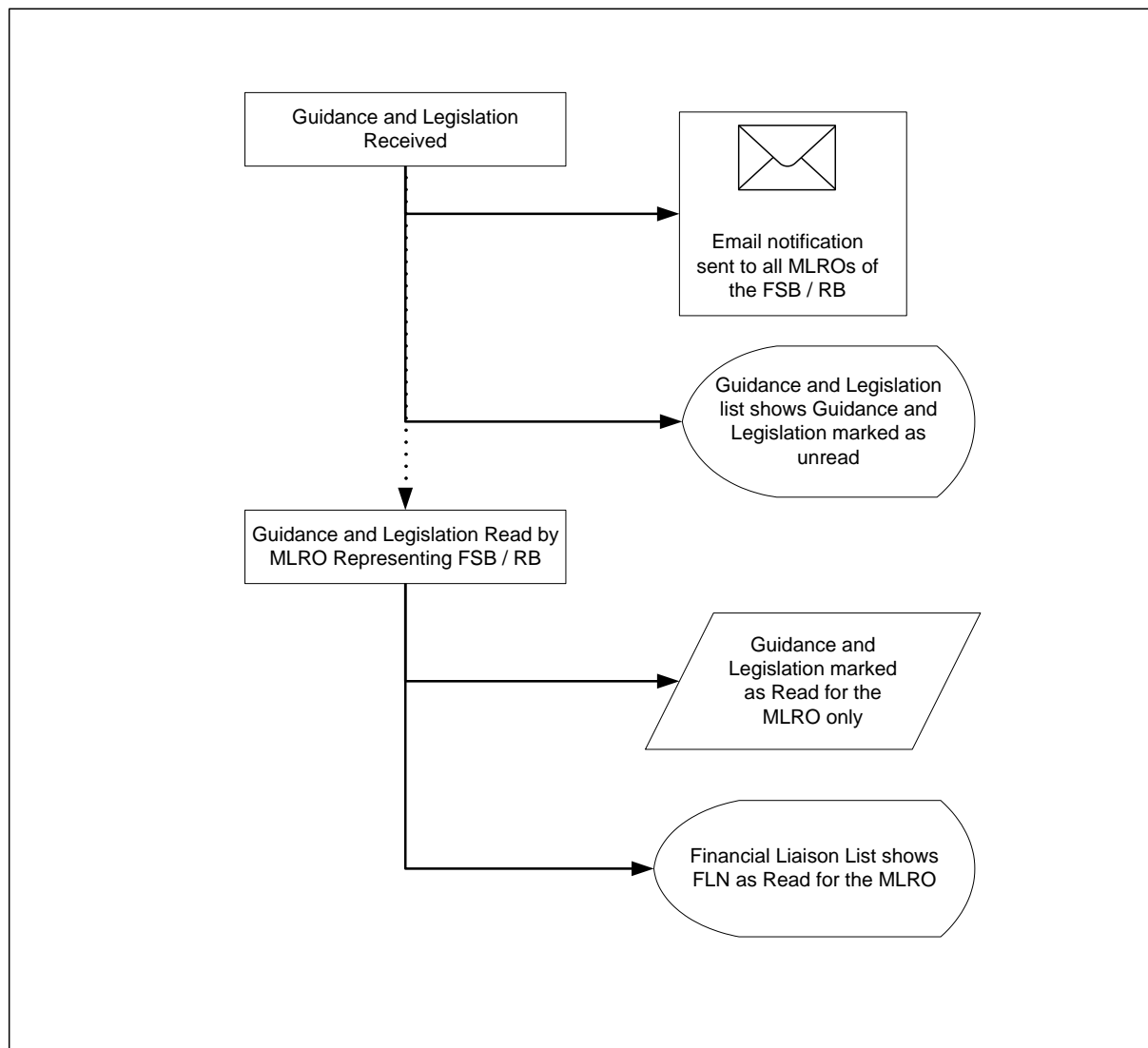
11.7 Disclosure and FIS Communication Workflow



11.8 Financial Liaison Notice Workflow



11.9 Guidance and Legislation Workflow



11.10 Notices Workflow

