



**financial intelligence centre**

**REPUBLIC OF SOUTH AFRICA**

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**USER GUIDE FOR SUBMITTING A  
SUSPICIOUS ACTIVITY REPORT (SAR)  
ON THE REGISTRATION AND  
REPORTING PLATFORM OF  
THE FINANCIAL INTELLIGENCE CENTRE  
WITH EFFECT 25 APRIL 2016**

**Version 1.0**

**22 April 2016**



# financial intelligence centre

REPUBLIC OF SOUTH AFRICA

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Private Bag X177, Centurion, 0046

+27 860 222 200

<http://www.fic.gov.za>

<http://www.fic.gov.za/Secure/Queries.aspx>

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## Objective of this user guide

The objective of this user guide is to define and outline the steps to be followed when submitting a Suspicious Activity Report (SAR) to the Financial Intelligence Centre (the Centre) in terms of section 29(1)(a) or (c) of the FIC Act. Please note that the reporter must acquire login credentials on the Centre's registration and reporting platform in order to access the reporting platform. Please refer to Public Compliance Communication 05A for further guidance on registration on the registration and reporting platform.

This user guide is applicable to a person who carries on a business or is in charge of or manages a business or is employed by a business and includes all accountable institutions listed in Schedule 1 to the FIC Act and all reporting institutions listed in Schedule 3 to the FIC Act.

## Access to the reporting platform

In order to submit SAR to the Centre, the institution must access the portal provided by the Centre for this purpose on the Centre's website at [www.fic.gov.za](http://www.fic.gov.za).

## Legal Disclaimer

The Centre reserve the right to amend, modify or change the contents of this document.

## Definitions

The guideline must be read in conjunction with the FIC Act and the Regulations in relation to the definitions of terms. In this guideline, unless the context indicates otherwise:

**“AI/RI”** refers to an Accountable Institution (listed in Schedule 1 to the FIC Act) and Reporting Institution (listed in Schedule 3 to the FIC Act).

**“Business”** refers to organisation or entity (ies) and can be used interchangeably.

**“S43CO”** refers to person who is tasked to submit reports to the Centre.

**“FIC Act”** refers to the Financial Intelligence Centre Act, 2001 (Act No 38 of 2001), as amended.

**“Regulations”** refer to the Money Laundering and Terrorist Financing Control Regulations made in terms of section 77 of the FIC Act and promulgated in Government Notice 1595 of 20 December 2002 as amended.

**“goAML”** refers to the an integrated software solution implemented by the Centre as its preferred IT platform for registration, reporting, data collection, analysis, case management and secure communications required for the Centre’s daily operational functions and requirements.

**“SAR”** refers to a suspicious or unusual activity report submitted in terms of Section 29(1)(a) or (c) of the FIC Act.

### Important information to remember when reporting on the Centre’s reporting platform:

- Accountable and reporting institutions must register in terms of section 43B of the FIC Act before a SAR can be submitted. Please refer to Public Compliance Communication 05A and other relevant user guides on registration on the registration and reporting platform.
- All fields with an asterisk (\*) are mandatory and should be completed.
- The user needs to consider business rules applicable to the various reports when reporting and apply them along with the applicable regulations and sections of the FIC Act.
- All First Letters must be in Capital Letter;
- Words typed in ALL Capital Letters are not allowed.

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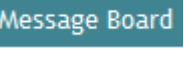



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## 1. Introduction

The Centre is implementing an integrated software solution as its preferred platform for registration, reporting, data collection, analysis, case management and secure communications required for the Centre's daily operational functions and requirements. The new registration and reporting platform is called goAML. A person who carries on a business or is in charge of or manages a business or is employed by a business, including all accountable institutions listed in Schedule 1 to the FIC Act and all reporting institutions listed in Schedule 3 to the FIC Act have an obligation to suspicious activity reports (SAR) to the Centre in terms of section 29(1)(a) or (c) of the FIC Act and must utilise goAML for submitting SAR to the Centre.

goAML is accessible by going to the Centre's website, [www.fic.gov.za](http://www.fic.gov.za), and selecting the reporting functionality.

## 2. goAML Web Icons

Icons	Description
	Add
	Add the captured detail
	Cancel instructs goAML not to capture the detail
	Close
	Preview
	Print
	Refresh
	Remove the uploaded document
	Upload a document
	Save
	Save a report
	Submit a report
	Shows the number of attached documents
	Upload XML and web reports
	Access drafted and submitted reports
	View submitted reports
	Access mail messages on goAML
	Change password and user details
	Access statistics
	Logout of goAML

### 3. Suspicious Activity Report (SAR) Baseline Scenario

The below process flow diagram demonstrates the end to end process of uploading a Suspicious Activity Report (SAR). This diagram is given greater detail in the content below. Fields in the flow diagram are labelled A to G.

#### 3.1 Field Definitions

- Report type (A) – The type of report (i.e. SAR)
- Reporting Person and Location (B)
  - Reporting Person - Linked to the logged in user details, this is the person uploading the SAR;
- Location - Describes the actual geographical area / branch where the unusual / suspicious activity / transaction(s) occurred. The address of the logged in user, is populated with selected report for capturing. The logged in user must edit or delete the address, if the populated address is not the actual location of where the transaction (series of transactions) and/or unusual/suspicious activity occurred.
- Indicators (C) – Refers to the relevant section of the FIC Act in terms of which the report is being made. An indicator in relation to SAR means the type of report submission.
- Activity (D) - means a transaction has not been concluded between a client and an accountable institution. An activity is based on suspicion.
- Reporting Parties (E) - Can either be a person / Account / Entity
- Person / Entity / Account (F)
  - Person- this refers to a natural person.  
Note: If a person physically receives or pays cash, “person” is selected
  - Entity- this refers to a legal person. Note that there is a natural person that will always be linked to an entity (i.e. The signatory).  
Note: If an entity physically receives or pays cash, “entity” is selected.
  - Account- this refers to an account held with an accountable or reporting institution (e.g. Cheque account held with a bank).  
Note: When cash is deposited or withdrawn to/from an account, then “account” will be selected.





- Mandatory Fields (G) – this refers to the fields that are compulsory to be completed. The information that is required is dependent on the fields selected in field G (i.e. Person / Entity / Account).




### 3.2 Baseline scenario for submitting suspicious activity report (SAR) to the Centre where the person is NOT the client of the AI/RI – displaying fields A to G to be completed

Baseline Scenario – Suspicious Activity Report (SAR) – Not my client							
Example	A Report Type	B Reporting Person, Location	C Indicators	D Activity	E Report Parties	F Person / Account Number / Entity / Transaction Item	G Mandatory fields: *
<div>Example</div> <div>Mr X attempts to deposit funds of R50 000 at an attorney. Mr X refuses to comply with S21 KYC requirements.</div>	<div>Log in: Attorney</div> <div>1. Report Type</div> <div>Suspicious Activity Report (SAR) <input checked="" type="checkbox"/></div> <div>Reason for Reporting (free text) Mr X refused KYC</div> <div>Action (free text) List relevant actions as per internal risk framework for example: *SAR reported to FIC *Internal flagging as per Internal Policy</div>	<div>2. Reporting Person, Location</div> <div>Attorney</div> <div>Reporting Person and Location of report information</div> <div>** Reporters information pulls through automatically</div>	<div>3. Indicators</div> <div>Select one or more applicable indicators</div>	<div>4a. Report Parties</div> <div>AND / OR</div> <div>4b. Goods and Services</div> <div>ONLY for physical assets</div>	<div>* Person</div> <div>*Account Number</div> <div>* Entity</div> <div>*Transaction Item</div>	<div>Person</div> <div>Mr X</div> <div>Item Type</div> <div>Description</div> <div>Address</div> <div>Estimated Value</div>	<div>* Person</div> <ul style="list-style-type: none"><li>Full name</li><li>Surname</li></ul> <div>* Account Number</div> <ul style="list-style-type: none"><li>Account number</li><li>Institution name</li></ul> <div>* Entity</div> <ul style="list-style-type: none"><li>Name</li></ul> <div>* Transaction Item</div> <ul style="list-style-type: none"><li>Item Type</li><li>Description</li><li>Estimated Value</li></ul>

User guide for submitting a suspicious activity report on the registration and reporting platform of the Financial Intelligence Centre

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### 3.3 Baseline scenario for submitting suspicious activity report (SAR) to the Centre where the person is the client of the AI/RI – displaying fields A to G to be completed

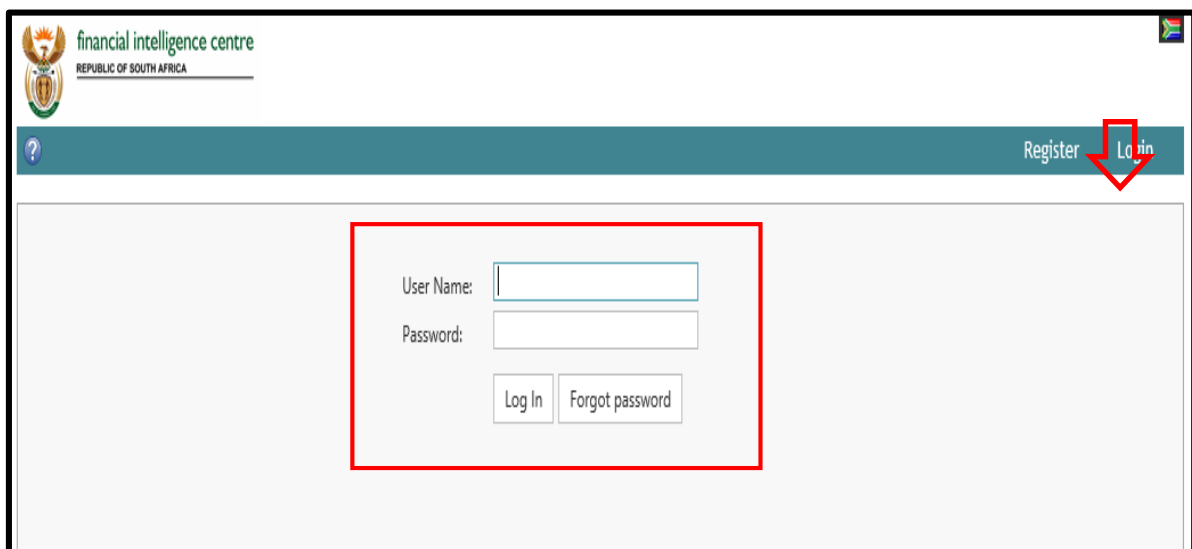
Baseline Scenario – Suspicious Activity Report (SAR) – My client							
Example	A Report Type	B Reporting Person, Location	C Indicators	D Activity	E Report Parties	F Person / Account Number / Entity / Transaction Item	G Mandatory fields: *
<p><b>Example</b></p> <p>Client Mr X of Bank Y attempts to deposit a cash amount of R45 000 at Branch Z. After enquiring about the source of funds, Mr X decides not to deposit the cash.</p>	<p>Log in: Bank Y</p> <p><b>1. Report Type</b></p> <p>Suspicious Activity Report (SAR) </p> <p>Reason for Reporting (free text) Mr X did not disclose source of funds</p> <p>Action (free text) List relevant actions as per internal risk framework for example: *SAR reported to FIC *Internal flagging as per Internal Policy</p>	<p><b>2. Reporting Person, Location</b></p> <p>Bank Y Branch Z</p> <p>Reporting Person and Location of report information</p> <p>** Reporters information pulled through automatically</p>	<p><b>3. Indicators</b></p> <p>Select one or more applicable indicators</p>	<p><b>4a. Report Parties</b></p> <p>AND / OR</p> <p><b>4b. Goods and Services</b> <small>ONLY for physical assets</small></p>	<p>* Person</p> <p>*Account Number</p> <p>* Entity</p> <p>*Transaction Item</p>	<p>Person Mr X</p> <p>Item Type</p> <p>Description</p> <p>Address</p> <p>Estimated Value</p>	<p><b>* Person</b></p> <ul style="list-style-type: none"> <li>Title</li> <li>Gender</li> <li>Full name</li> <li>Surname</li> <li>Date of birth</li> <li>ID number</li> <li>Nationality</li> <li>Residence</li> <li>Non-RSA ID / Passport</li> <li>Issuing country</li> <li>RSA Passport</li> <li>Address</li> <li>Telephone number</li> </ul> <p><b>* Account Number</b></p> <ul style="list-style-type: none"> <li>Account number</li> <li>Institution name</li> <li>Branch</li> <li>Financial Institution</li> <li>Institution code or Swift code</li> <li>Account type</li> <li>Status</li> <li>Currency code</li> <li>Date opened</li> <li>Balance</li> <li>Date of balance</li> <li>Entity</li> <li>Signatory</li> </ul> <p><b>* Entity</b></p> <ul style="list-style-type: none"> <li>Name</li> <li>Registered name</li> <li>Incorporated legal form</li> <li>Incorporation / Registration number</li> <li>Incorporation country</li> <li>Telephone number</li> <li>Address</li> <li>Director (one or more)</li> </ul> <p><b>* Transaction Item</b></p> <ul style="list-style-type: none"> <li>Item Type</li> <li>Description</li> <li>Estimated Value</li> <li>Address</li> </ul>

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#### 4. Accessing goAML

Accountable and reporting institutions can access the goAML platform by utilising the username and password captured during the registration process. Authentication will always be required before gaining access to goAML.

- Go to the Centre's website, [www.fic.gov.za](http://www.fic.gov.za)
- Access goAML page by clicking on reporting forms; OR access the link directly by using [http://cengoweb01/goAMLWeb\\_PRD/Home](http://cengoweb01/goAMLWeb_PRD/Home).
- Click on the **Login** link
- Enter your user name in the standard format captured during registration.
- Enter your password in the standard format of Case sensitive, Alpha Caps, Alphanumeric, numeric & Char e.g. Test12345@ and click **Log In** button to proceed.

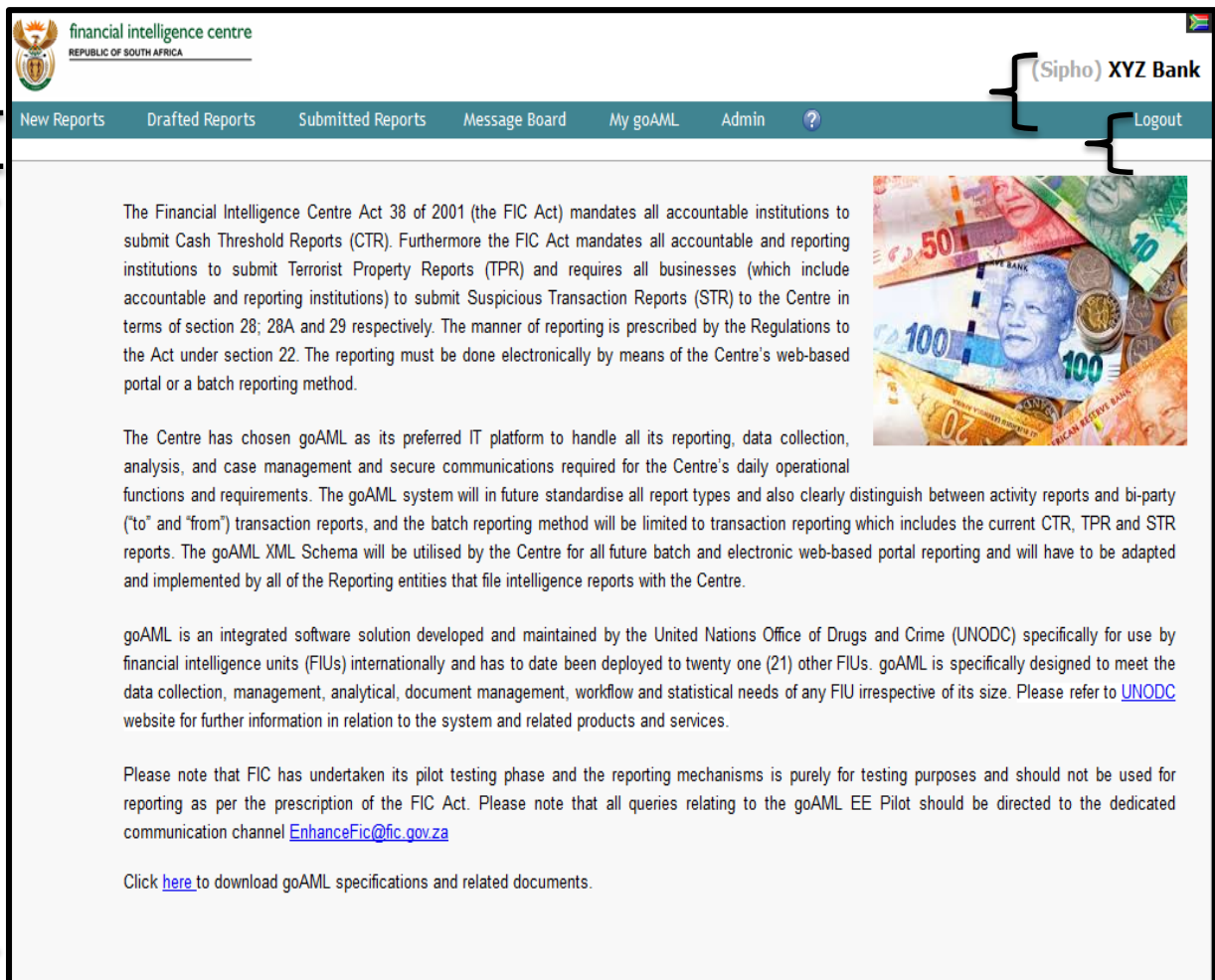


**Caution:** Remember to keep your username and password safe.

#### 4.1. goAML platform landing page

The landing page has the following visible items

- **Logged in user details** - details which user is logged in for which institution (e.g. Sipho from XYZ Bank).
- **Menu Bar** - contains **New Reports** / Drafted Reports / Submitted Reports / Message Board / MygoAML / Admin / Help / Logout, clicking any of the link item will give a user access to the functionality required (i.e. clicking message board populates the message board).
- **Information Bar** – contains the FIC information with links to download goAML documentation.
- **Logout** – allows you to logout as a user.



The Financial Intelligence Centre Act 38 of 2001 (the FIC Act) mandates all accountable institutions to submit Cash Threshold Reports (CTR). Furthermore the FIC Act mandates all accountable and reporting institutions to submit Terrorist Property Reports (TPR) and requires all businesses (which include accountable and reporting institutions) to submit Suspicious Transaction Reports (STR) to the Centre in terms of section 28; 28A and 29 respectively. The manner of reporting is prescribed by the Regulations to the Act under section 22. The reporting must be done electronically by means of the Centre's web-based portal or a batch reporting method.

The Centre has chosen goAML as its preferred IT platform to handle all its reporting, data collection, analysis, and case management and secure communications required for the Centre's daily operational functions and requirements. The goAML system will in future standardise all report types and also clearly distinguish between activity reports and bi-party ("to" and "from") transaction reports, and the batch reporting method will be limited to transaction reporting which includes the current CTR, TPR and STR reports. The goAML XML Schema will be utilised by the Centre for all future batch and electronic web-based portal reporting and will have to be adapted and implemented by all of the Reporting entities that file intelligence reports with the Centre.

goAML is an integrated software solution developed and maintained by the United Nations Office of Drugs and Crime (UNODC) specifically for use by financial intelligence units (FIUs) internationally and has to date been deployed to twenty one (21) other FIUs. goAML is specifically designed to meet the data collection, management, analytical, document management, workflow and statistical needs of any FIU irrespective of its size. Please refer to [UNODC](#) website for further information in relation to the system and related products and services.

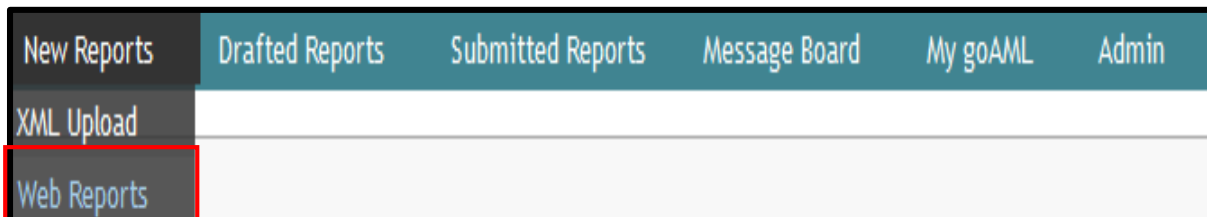
Please note that FIC has undertaken its pilot testing phase and the reporting mechanisms is purely for testing purposes and should not be used for reporting as per the prescription of the FIC Act. Please note that all queries relating to the goAML EE Pilot should be directed to the dedicated communication channel [EnhanceFic@fic.gov.za](mailto:EnhanceFic@fic.gov.za)

Click [here](#) to download goAML specifications and related documents.

## 5. Capturing a Suspicious Activity Report

### 5.1 Select a new Report

- The link for uploading reports is accessible by hovering the mouse pointer on the menu bar;  
**New Reports > click Web Reports**



- Once selected, a general reporting template will be generated.

### 5.2 Reporting template- overview

The form for creating new reports is loaded and displayed. The form fields **Entity** and **Reporting Person** are automatically completed and cannot be changed. The Reporting Person details are linked to the logged in user details.

Report Type: ID: ---

Entity	XYZ Bank	Reporting Entity Branch	
Type*		Reporting Entity Reference	
Submission Date*		FIC Ref Number	

Reason for Reporting

n/a

Action

n/a

Reporting Person *				
First Name	Surname/Last Name	Birth Date	RSA ID Number	Passport/Foreign ID/Permit/Refugee /Residence Number
Sipho	Mohlala	2016/01/30	8701302526985	

Location *				
Address	City	Province/State	Postal/Zip	Country
Bilding 11	Pretoria	Gatueng	0145	SOUTH AFRICA

Indicators \* +

Transactions \* +

## BASELINE SCENARIO FIELD A – REPORT TYPE

### 5.3 Select Report Type

- The type of report to be submitted is selectable from the **Type** drop down list, each report will have unique fields i.e. transactional reports fields will differ from activity report fields

Report Type: ID: ---

Entity: XYZ Bank Reporting Entity Branch:

Type\*  Reporting Entity Reference:

Submission Date\*  FIC Ref Number:

Reason for Reporting: n/a

Action: n/a

Reporting Person \*

First Name	Surname/Last Name	Birth Date	RSA ID Number	Passport/Foreign ID/Permit/Refugee /Residence Number
Sipho	Mohlala	2016/01/30	8701302526985	

Location \*

Address	City	Province/State	Postal/Zip	Country
Bilding 11	Pretoria	Gatung	0145	SOUTH AFRICA

- To capture a SAR, select from the **Type** drop down list > select **Suspicious Activity Report**

Type\*

Submission Date\*

Reason for Reporting: n/a

Suspicious Activity Report (SAR)

Report Type window populates with the following fields:

Report Type: SAR ID: ---

Entity  Reporting Entity Branch

Type\*  Reporting Entity Reference

Submission Date\*  FIC Ref Number

Reason for Reporting

Action

Reporting Person \*

First Name	Surname/Last Name	Birth Date	RSA ID Number	Passport/Foreign ID/Permit/Refugee /Residence Number
Sipho	Mohlala	2016/01/30	8701302526985	

Location \*

Address	City	Province/State	Postal/Zip	Country
Bilding 11	Pretoria	Gatueng	0145	SOUTH AFRICA

Indicators \* +

Activity \* +

Submit Report Save Report Show Attachments x 0

- Entity – Automatically filled in and cannot be changed (Linked to Login ID)
- Type – Type of Report (e.g. SAR)
- Submission Date – Automatically generated once the report is submitted.
- Reason for Reporting (mandatory) - Grounds for suspicion
- Action (mandatory) - Action taken (e.g. Reported the activity to Law Enforcement)
- Reporting Entity Branch – Branch where the transaction took place (mandatory)
- Reporting Entity Reference – Reporting Entity internal transaction reference number
- FIC Ref Number - This field is for resubmitting failed / rejected reports and needs to reference the original report number issued by the FIC



## BASELINE SCENARIO B – REPORTING PERSON AND LOCATION



### 5.4 Reporting Person

- Reporting Person - Full details of the report's reporting person automatically filled in (Linked to Login ID)

Reporting Person *					
First Name	Surname/Last Name	Birth Date	RSA ID Number	Passport/Foreign ID/Permit/Refugee /Residence Number	
Sipho	Mohlala	2016/01/30	8701302526985		



### 5.5 Location

Describes the actual geographical area / branch where the transaction or series of transactions occurred. The address of the logged in user is pre-populated with the address of the registered profile. The logged in user must edit or delete the address if the populated address is not the actual location of where the transaction (series of transactions) activity occurred.

Location *					
Address	City	Province/State	Postal/Zip	Country	
XYZ Bank, Complex 90, Sandton Square	Johannesburg	Gauteng	7452	SOUTH AFRICA	 

## 5.6 Editing the location

- Clicking the edit icon

Location *					
Address	City	Province/State	Postal/Zip	Country	
XYZ Bank, Complex 90, Sandton Square	Johannesburg	Gauteng	7452	SOUTH AFRICA	 

- Address form populates > Edit the fields

The **“Use an existing Address”** button is used to populate Address information that was already captured on the web session on goAML

Address				Use an existing Address
Type*	<input type="text"/>	Address*	<input type="text"/>	
Town	<input type="text"/>	City*	<input type="text"/>	
Postal/Zip	<input type="text"/>	Country*	SOUTH AFRICA <input type="text"/>	
Province/State	<input type="text"/>	Comments	<input type="text"/>	
Save		Cancel		

- Type – It can be Business, Operational, Private, Public, Unknown
- Town – Name of town / district as part of a city
- Postal / Zip – The postal code of the city
- Province / State – Name of the province
- Address – Physical Address - details like street name, house number etc.
- City – Name of the city
- Country – Name of the country
- Comments – If any

## BASELINE SCENARIO FIELD C – INDICATORS

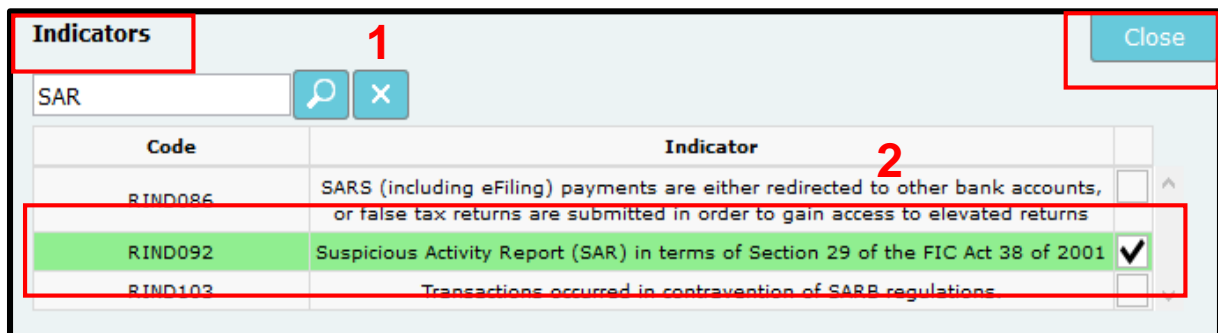
### 5.7 Indicators

Indicators are classification for the report. More than one “**Report Indicator**” may be provided. To select the appropriate indicator:

- Click **Add** to select the appropriate indicator for the report

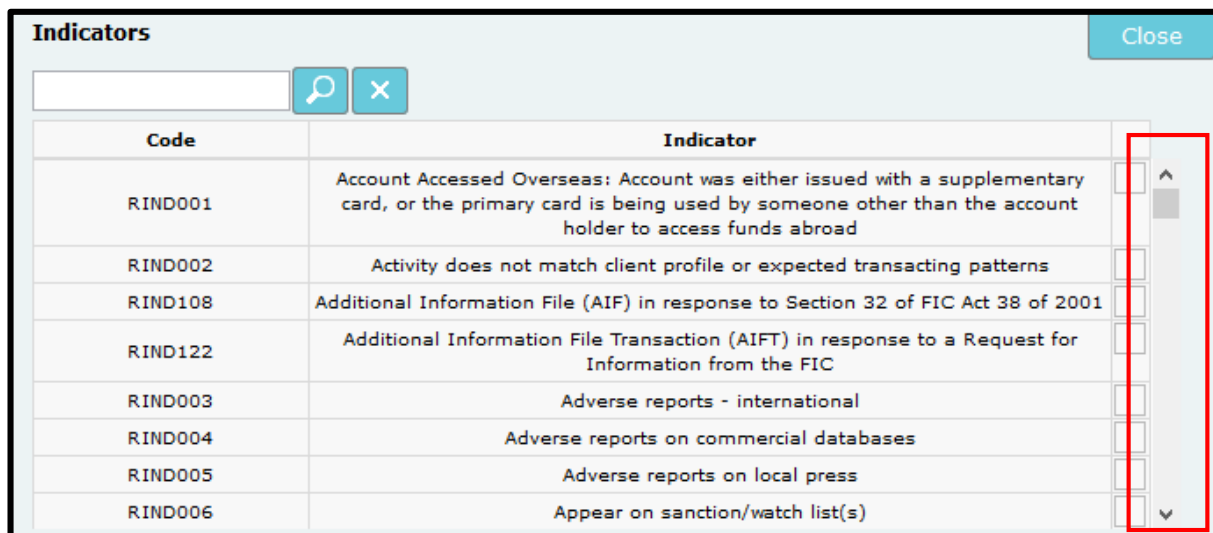


- Type in the **Indicator Code** > click **Search Button** > select by checking the **Indicator** > **Close**.



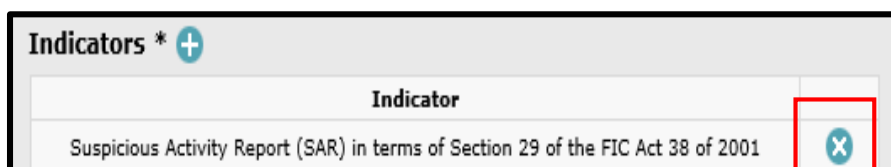
Code	Indicator	
RIND086	SARS (including eFiling) payments are either redirected to other bank accounts, or false tax returns are submitted in order to gain access to elevated returns	
RIND092	Suspicious Activity Report (SAR) in terms of Section 29 of the FIC Act 38 of 2001	<input checked="" type="checkbox"/>
RIND103	Transactions occurred in contravention of SARB regulations	

- Or **Scroll** > select by checking the **Indicator** > **Close**.



Code	Indicator	
RIND001	Account Accessed Overseas: Account was either issued with a supplementary card, or the primary card is being used by someone other than the account holder to access funds abroad	
RIND002	Activity does not match client profile or expected transacting patterns	
RIND108	Additional Information File (AIF) in response to Section 32 of FIC Act 38 of 2001	
RIND122	Additional Information File Transaction (AIFT) in response to a Request for Information from the FIC	
RIND003	Adverse reports - international	
RIND004	Adverse reports on commercial databases	
RIND005	Adverse reports on local press	
RIND006	Appear on sanction/watch list(s)	

- The selected **Indicator** will be displayed on the form. Click **X** to delete the searched indicator



Indicator	
Suspicious Activity Report (SAR) in terms of Section 29 of the FIC Act 38 of 2001	<input checked="" type="checkbox"/>

Whilst multiple report indicators may be provided, a business rule exists that indicates that a minimum of one report indicator per report must be included.

## BASELINE SCENARIO FIELD D – ACTIVITY

### 5.8 Activity

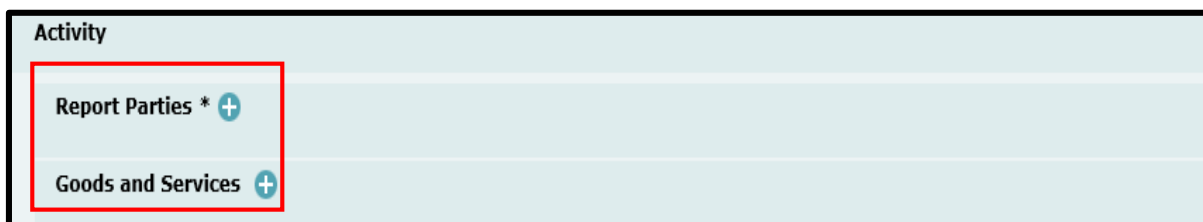
An **Activity** form represents an event where a list of subjects (person / account / entity) and goods and services are related directly to the report without the need of a transaction:

- Click **Add** button to capture activity details for the report and details of the report need to be completed



A screenshot of a grey rectangular button with the text "Activity" followed by an asterisk and a plus sign icon. A red rectangular box highlights the plus sign icon.

- Clicking the **Activity** add button generates the activity form and details of the report need to be completed. Two fields are generated > **Report Parties** and **Goods and Services**



A screenshot of a light blue rectangular form titled "Activity". Inside the form, there are two buttons: "Report Parties \* +" and "Goods and Services +". A red rectangular box highlights the "Report Parties \* +" button.

## BASELINE SCENARIO FIELD E – REPORTING PARTIES

### 5.9 Reporting Parties

Report parties represents a collection of involved subjects (Account (s) / Entity (ies) / Person (s)) for the activity report. To capture the details of the involved parties

- Click **Report Parties** add button > The **Report Party** form populates. Complete the reporting party details, at least one party should be included

Report Party

Significance

Reason

Comments

Party Type

☐ Person
☐ Account
☐ Entity

- Significance - The significance value refers to the scale of involvement of a person. If a person's significance value is 9, it means this subject is highly involved in a transaction whereas, a subject will value 2 is mildly involved
- Reason – Why the subject is involved in the current report
- Comments – If any

## BASELINE SCENARIO FIELD F – PARTY TYPE (PERSON / ACCOUNT / ENTITY)

### 5.10 Party Type

The field party type in an activity report it is mandatory; the reporter must indicate whether the party type is a person, account or entity, as the report does not have a **From** (payee) and **To** (receiver) side like a transactional report. Party Type has three radio button **Person / Account / Entity** that are discussed next:

Party Type:\*

☐ Person
☐ Account
☐ Entity

### 5.11 Person Form

- Click the **Person** radio button > The Person add button displays > Click the Add button > the Person add button, to generate the **Person** form

Party Type

☒ Person
☐ Account
☐ Entity

Person \*

+





The below screen will generate once the conductor has been selected. “Use an existing Person” button is used to populate Person information that was already captured on the web session on goAML.

Person		<a href="#">Use an existing Person</a>	
Title	<input type="text"/>	Gender	<input type="text"/>
First Name*	<input type="text"/>	Surname/Last Name*	<input type="text"/>
Middle Name	<input type="text"/>	Prefix	<input type="text"/>
Birth Date	<input type="text"/>	Birth Place	<input type="text"/>
Mothers Name	<input type="text"/>	Alias/ Known As	<input type="text"/>
RSA ID Number	<input type="text"/>	RSA Passport	<input type="text"/>
Nationality 1	<input type="text"/>	Nationality 2	<input type="text"/>
Country of Origin	<input type="text"/>	Residence	<input type="text"/>
Occupation	<input type="text"/>	Employer Name	<input type="text"/>
Tax Number	<input type="text"/>	Tax Reg. Number	<input type="text"/>
Source of Wealth	<input type="text"/>		
Non RSA ID/Passport?	<input checked="" type="radio"/> No <input type="radio"/> Yes		
Deceased?	<input checked="" type="radio"/> No <input type="radio"/> Yes		

- Clicking the Yes radio button populates additional fields to be completed

Non RSA ID/Passport?	<input type="radio"/> No <input checked="" type="radio"/> Yes		
Foreign Passport/Foreign ID/Permit/Refugee	<input type="text"/>	Issuing Country*	<input type="text"/>
Deceased?	<input type="radio"/> No <input checked="" type="radio"/> Yes		
Date of Death	<input type="text"/>		



- Title – e.g. Ms / Dr / Mrs
- First Name – First name of the person
- Middle Name – Middle name of the person
- Birth Date – Date of birth/ can be typed in / from calendar in ccyy/mm/dd format
- Mothers Name – Maiden Name
- RSA ID No – 13 digit South African ID Number  
This is a mandatory field in the event that it is my client and said client has a SA ID Number (e.g. 7404080408069)
- Nationality 1 – The status of belonging to a particular nation, whether by birth or naturalisation
- Country of Origin – The country in which a person is deemed to have originated
- Occupation – Job title of the person
- Gender – Male / Female
- Surname / Last Name – Surname of the reported person
- Prefix – Any name prefix (e.g. titles of nobility - Duke)
- Birth Place – Place of birth
- Alias / Known As – Also known as name or other aliases
- RSA Passport – South African passport number
- Nationality 2 – The status of belonging to a particular nation, whether by birth or naturalisation
- Residence – Select the current residence country of the person
- Employer Name – Record of Employer details
- Tax Number – The tax number of the individual whose details are being captured
- Tax Reg. Number – The person's tax registration number issued by tax authorities
- Source of Wealth – The source of wealth / income of the individual whose details are being captured
- Non RSA ID / Passport? – No / Yes
- Foreign Passport / Foreign ID / Permit / Refugee / Residence Number – If reported person is not a South African citizen/resident (thus no SA ID Number and/or SA Passport Number) and thus the Non South African Number/Document field is "Yes", the completion of a Passport / Foreign ID / Permit/Refugee / Residence number is mandatory"
- Issuing Country – The country which issued the respective Foreign Passport / Foreign ID / Permit / Refugee / Residence Number
- Deceased – No / Yes, if the person has passed away
- Date of Death – If the person has passed away, then the date of passing is required in ccyy/mm/dd format



## 5.12 Phone

Phone			
Contact Type*	<input type="text"/>	Comm. Type*	<input type="text"/>
Country Prefix*	<input type="text"/>	Number*	<input type="text"/>
Extension	<input type="text"/>	Comments	<input type="text"/>

- Contact Type - It can be Business, Operational, Private, Public, Unknown
- Country Prefix - e.g. 27
- Extension - Numeric
- Comm. Type - It can be Landline, Mobile, Satellite
- Number - Numeric, digits (e.g. 0128012556)
- Comments - if any

## 5.13 Address

Address			
Type*	<input type="text"/>	Address*	<input type="text"/>
Town	<input type="text"/>	City*	<input type="text"/>
Postal/Zip	<input type="text"/>	Country*	<input type="text" value="SOUTH AFRICA"/>
Province/State	<input type="text"/>	Comments	<input type="text"/>

- Type - It can be Business, Operational, Private, Public, Unknown
- Town - Name of Town / district as part of a city
- Postal / Zip - the postal code of the city (e.g. 0122)
- Province / State - name of the province (e.g. Gauteng)
- Address - Physical Address - details like street name, house number etc.
- City - Name of the city
- Country - name of the country
- Comments - if any

## 5.14 Identification

Identification			
Type*	<input type="text"/>	Number*	<input type="text"/>
Issue Date	<input type="text"/>	Expiry Date	<input type="text"/>
Issued by	<input type="text"/>	Issue Country*	<input type="text" value="SOUTH AFRICA"/>
Comments	<input type="text"/>		

- Type – It can be Travel Document / Permit / Passport etc.
- Issue Date – Identification document issue date
- Issued by - Name of authority that issued the document (e.g. Department of Home Affairs)
- Comments – If any
- Number - alphanumeric value of the ID document (e.g. AT08154711 or 8104226008085)
- Expiry Date - The last date of validity of the Identification document
- Issue Country - Country where the document was issued

## 5.15 Email

E-mail	
E-mail Address*	<input type="text"/>

- Email – person's email address

## 5.16 Employer Address and Employer Phone

Clicking the **Employer Address / Phone** add button generates person's employers form to be completed

Employer Address	
Employer Phone	



## Save and Cancel Button



- Save – The save button adds information to the person's form
- Cancel – To cancel or discard the current screen information



## 5.17 Account


Clicking the Account radio button generates Account field > click the Add button to generate the form

- Whenever the involved **Account** / **Person** / **Entity** is the client of the reporting entity, more details may be demanded on the client, and the reporting entity must have the information as part of the adherence to the “Know Your Customer” (KYC) requirements of the FIC Act.
- In the instance of an account of a minor both the details of the minor and guardian authorised to transact on his/her behalf should be captured.

The “**Use an existing Account**” button is used to populate Account information that was already captured on the web session on goAML

- Account – Account number (for **Non-Banking** institution the account number can refer to the client number/profile number assigned by the institution)
- Name - The type of account that is being referred to (e.g. Trust account, savings account or client account etc.)
- Institution Registration Name - Name of the institution where account is held
- Branch – Branch where the account is held

- Non Banking Institution? – Yes (if institution is **not** a bank) / No (If institution is a bank)
- Institution Code - Institution code is the code issued to Reporting Entity by FIC
- Code or SWIFT? – Choose Institution Code



Non Banking Institution?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Code or SWIFT?	<input type="radio"/> Institution Code <input checked="" type="radio"/> Swift
Swift*	<input type="text"/>


- Non Banking Institution? – Yes (if institution is **not** a bank) / No (If institution is a bank)
- Code or SWIFT? – Choose SWIFT Code
- SWIFT – SWIFT code according to ISO 9362 (e.g. XYZ001)


**Please Note:** When a branch / business unit / franchise is reporting an account which belongs to a group / head office or other registered reporting entity on goAML- the relevant goAML Org ID of said group/head office / reporting entity must be listed to ensure that bucket / ledger / suspense accounts are reported properly


Account Type	<input type="text"/>	Status Code	<input type="text"/>
Currency Code	<input type="text"/>	Beneficiary	<input type="text"/>
IBAN	<input type="text"/>	Client Number	<input type="text"/>
Opened	<input type="text"/>	Closed	<input type="text"/>
Balance?	<input checked="" type="radio"/> Yes <input type="radio"/> No		
Balance	<input type="text"/>	Date of Balance	<input type="text"/>

- Account Type - Type of account (e.g. Trust or Client)
- Currency Code - Currency the account is kept in
- IBAN (International Bank Account Number) - is a number attached to all accounts, the code identifies the country the account belongs to, the account holder's bank and the account number
- Status Code - Account status when transaction was initiated (e.g. Active / Closed)
- Beneficiary - Ultimate beneficiary of the account (Should be completed where the beneficiary is different from signatory)
- Client Number - Client number
- Closed - Date account closed
- Date of Balance – The date of account balance
- Opened – Date account opened in ccyy/mm/dd format
- Balance - The account balance at the time of reporting

Entity 

Clicking the **Entity**  add button generates the **Entity** form, the form is used to complete the details of the business entity owning the account, for **Entity** form refer to **5.18**

Signatory(ies) \* 

Clicking the **Signatory (ies)**  add button generates the **Signatory (ies)** form, the form is used to complete the details of the Person(s) with access to the account

**Signatory**

Is Primary?

☐ Yes ☐ No

Role

Person \* 

- Is Primary – Identifies the primary account holder. Only one signatory may be marked as is primary
- Role - The role of the signatory (e.g. Beneficiary, Account Holder)
- Person - clicking the person add button populates for person form, for **Person** form refer to **5.11**

**Please Note:** In instances where an account has multiple signatories all of the signatory details need to be captured.

Beneficiary Comment

Comments



- Beneficiary Comments – Any special remark on the beneficiary
- Comments - If any

## Save and Cancel Button


Save

Cancel

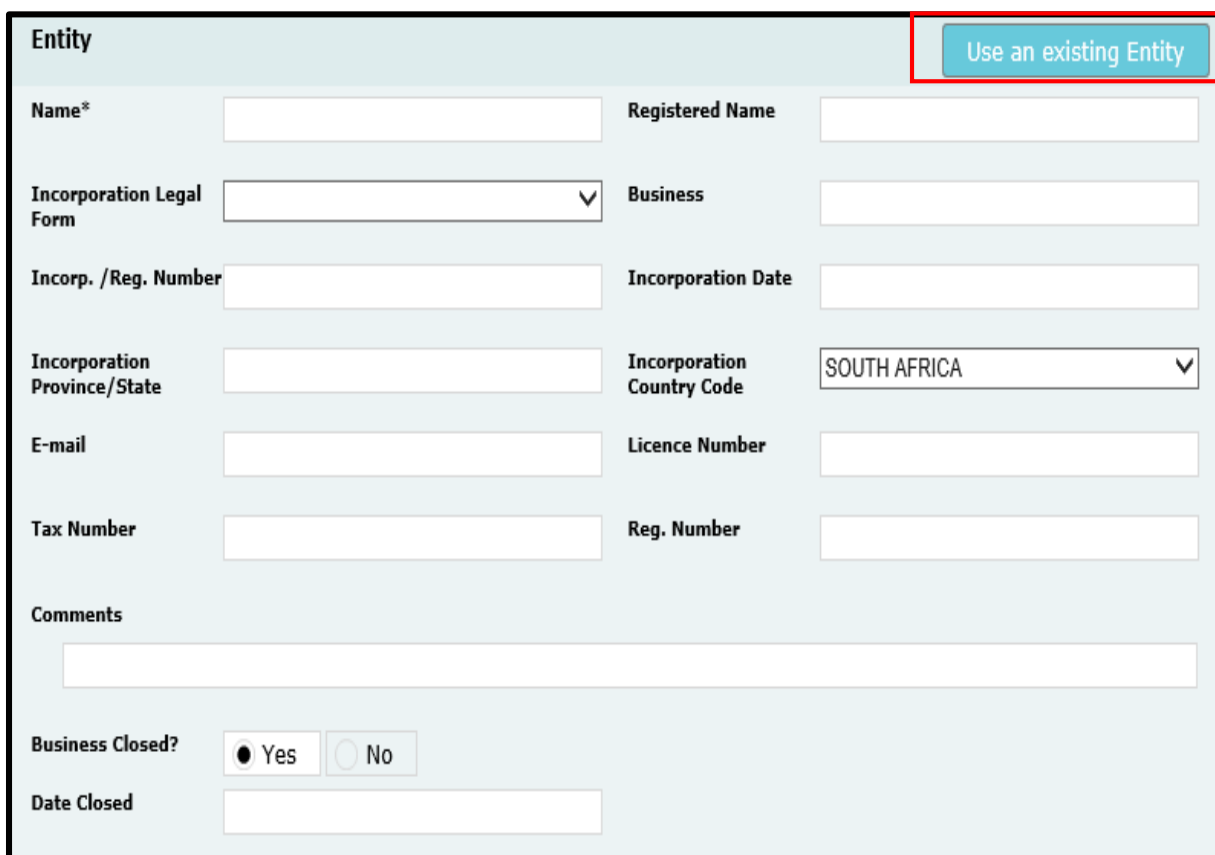
- Save – The save button adds information to the account form
- Cancel – To cancel or discard the current screen information

## 5.18 Entity

Clicking the **Entity** radio button generates **Entity** > click the add button to generate the **Entity** form



The “**Use an existing Entity**” button is used to populate Entity information that was already captured on the web session on goAML




- Name – Name of the entity
- Registered Name– The trading name of the entity
- Incorporation Legal Form - The legal form of the entity
- Business - Business area of the entity.
- Incorporation Number - The registration number of the entity / company in the relevant authority (e.g. Chamber of Commerce/ CIPC etc.)
- Incorporation Date - Incorporation registration date in ccyy/mm/dd format
- Incorporation Country Code - Incorporation registration country code, select from a list


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- Incorporation State / Province - Name of the province
- E-mail - Entity email address
- Tax Number – The entity tax number
- Comments – If any
- Business Closed? – Yes / No
- Date Closed – If entity is closed, specify the date of closure in ccyy/mm/dd format
- Licence Number - License Number issued by the applicable supervisory body as per schedule 2 of the FIC Act
- Reg. Number - Registration Number provided to the tax authority and also extend to include relevant licensing or supervisory registration / trading number provided to the institution


Phones 


Clicking the **Phones**  add button generates the phones form, for **Phone** form refer to **5.12 Phone**

Addresses \* 

Clicking the **Address**  add button generates the address form, for **Address** form refer to **5.13 Address**

Director(s) \* 

Clicking the **Director(s)**  add button generates the Person (s) form, complete the details of the individual authorised as directories, for **Person** form refer to **5.11 Person**

Phones 

## BASELINE SCENARIO FIELD G – GOODS AND SERVICES



## 5.19 Goods and Services

Clicking the Goods and Services Add button generates Transaction form

Goods and Services 

- The **Transaction** form is used to capture the transaction item details

Transaction Item			
Item Type*	<input type="text"/>	Item Make	<input type="text"/>
Description*	<input type="text"/>	Previously Registered To	<input type="text"/>
Presently Registered To	<input type="text"/>	Estimated Value	<input type="text"/>

- Item Type – The type of item (e.g. Vehicle)
- Description – Description of the item (e.g. Luxury Car)
- Presently Registered To - Name of current owner
- Item Make – Item maker (e.g. if the item is a car - BMW)
- Previously Registered To - Name of previous owner
- Estimated Value - Estimated value of the item


Status Code	<input type="text"/>	Disposed Value	<input type="text"/>
currency Code	<input type="text"/>	Size	<input type="text"/>
Size UOM	<input type="text"/>	Registration Date	<input type="text"/>
Registration Number	<input type="text"/>	Identification Number	<input type="text"/>
Comments	<input type="text"/>		

- Size UOM – Unit of measurement (e.g. square meters)
- Registration Number – Official registration number (e.g. Car VIN Number)
- Comments – If Any
- Registration Date - Official registration date in ccyy/mm/dd format
- Identification Number - Any number that can identify the item (e.g. Car Plate Number)

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Addresses \* 

Clicking the Address  add button generates the address form, for Address form refer to **5.13 Address**

Status Comments



- Status Comments - If any

## 5.20 Adding Multiple Parties to Activity Report

goAML users are able to add multiple parties on a single activity report. To add **Multiple Report Parties**

Activity

Report Parties \* 

Person / Account / Entity	Name	Identification	Date	
Person	Sebogodi Setlatla	RSA ID Number:8708050225025	DoB:1987/08/05	 

- Click the **Report Parties Add** button field (refer to 5.9) > the **Report Party** form will populate > complete the details and Save. Captured report parties are editable by clicking the **Edit** button

## 5.21 Saving / Submitting the report

Report Type: SAR ID: ---

Entity: XYZ Bank Reporting Entity Branch:

Type\*: Suspicious Activity Report (SAR) Reporting Entity Reference:

Submission Date\*:  FIC Ref Number:

Reason for Reporting:

Action:

Reporting Person \*

First Name	Surname/Last Name	Birth Date	RSA ID Number	Passport/Foreign ID/Permit/Refugee /Residence Number
Sipho	Mohlala	2016/01/30	8701302526985	

Location \*

Address	City	Province/State	Postal/Zip	Country
Bilding 11	Pretoria	Gatueng	0145	SOUTH AFRICA

Indicators \* +

Activity \* +

Submit Report Save Report Show Attachments x 0

**Submit Report** - SAR reports can be submitted using the **Submit Report** Button.

**Save Report** - Save the SAR reports for editing later.

**Show Attachments x 0** – documents can only be attached after saving the report, this button must be used to attach documents such as identification document (ID), proof of address, deposit slips, multimedia files and client information

**Please Note:** All activity information must be captured as structured information per report type and **no activity and/or** transactional information that should have been captured as structured data may be attached

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--Ends--

**Issued by**  
**The Financial Intelligence Centre**  
**22 April 2016**