



Government of the Republic of Trinidad and Tobago



FINANCIAL INTELLIGENCE UNIT OF TRINIDAD AND TOBAGO

USER'S GUIDE

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1. INTRODUCTION

The Financial Intelligence Unit of Trinidad and Tobago (“the FIUTT”) has upgraded its secure electronic reporting solution to its new version entitled caseKonnnect®. This solution is designed to allow only caseKonnnect® registered Financial Institutions and Listed Businesses (Reporting Entity’s Users - Compliance Officer (CO) and Alternate Compliance Officer (ACO).) to prepare and electronically submit Suspicious Transaction / Activity Reports and other Reports, as they become available, to the FIUTT, in a secure and efficient manner.

STRs/SARs play a crucial role in the fight against money laundering and financing of terrorism and the FIUTT is committed to ensuring that Reporting Entities in the Republic of Trinidad and Tobago submit STRs/SARs of the highest quality.

caseKonnnect® provides a powerful solution for the FIUTT to manage the receipt and processing of information submitted by all registered users with the FIUTT.

This guide provides the stages to follow in submitting the following electronic forms and is divided into sections as outlined in the Table of Contents:

1. STR/SAR – Suspicious Transaction/ Activity Report
2. ESR – Economic Sanctions Report
3. TFR – Terrorist Funds Report

2. NEW USER REGISTRATION

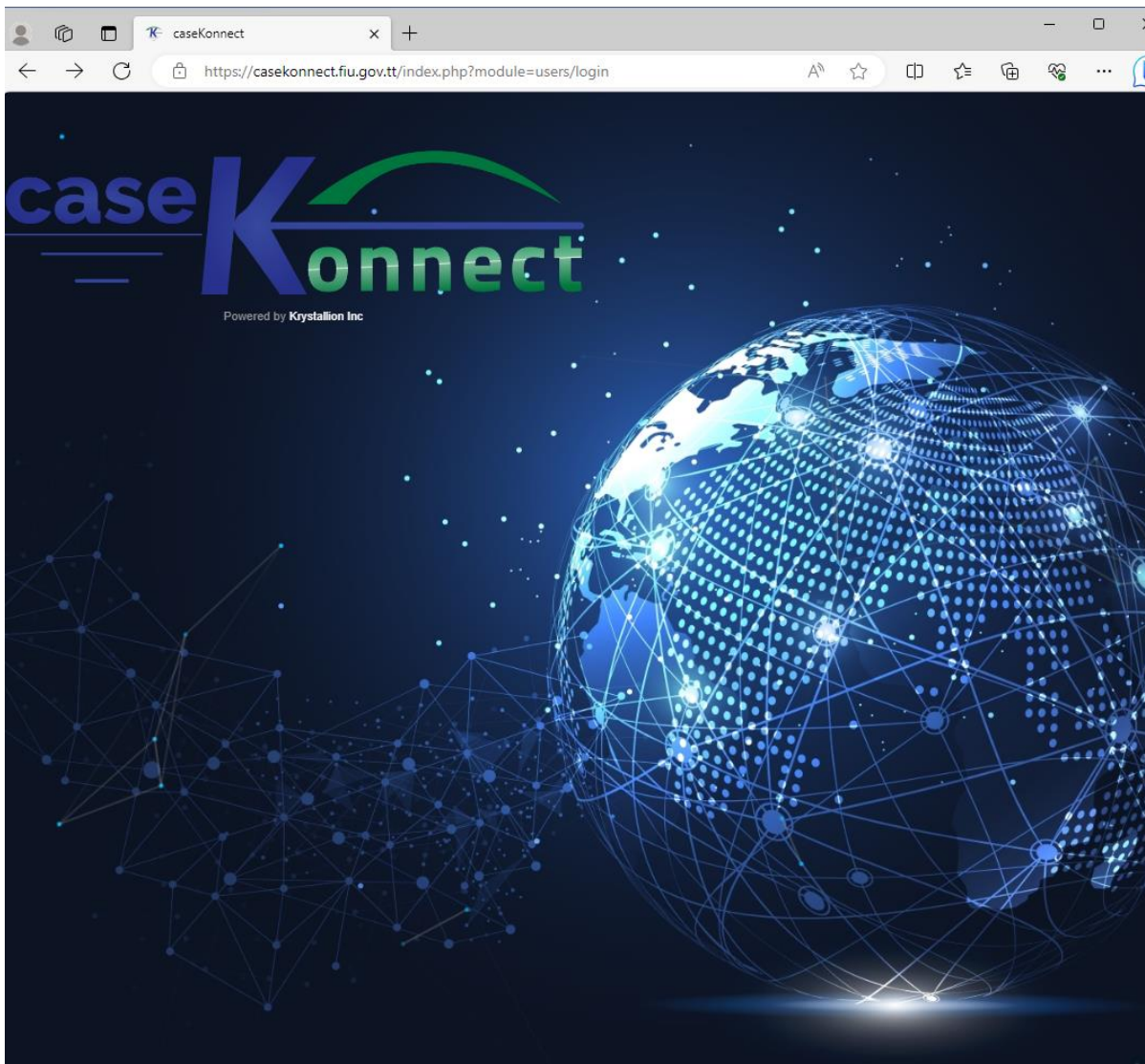
Each Reporting Entity's User is required to register as a user of caseKonnnect® before they can log into caseKonnnect® and must submit an application via caseKonnnect® to register with the FIUTT, along with the necessary attachments which include:

- ❖ The Supervisory Authority /Regulatory Approval Letter (FIUTT, TTSEC, CBTT)
- ❖ National Identification (ID/DP/PP)
- ❖ Entity Authorisation Letter (if applicable)

Firstly the Director, Compliance and Outreach (DCO) or Supervisor, Compliance and Outreach (SCO) of the FIUTT, reviews the application and attachments identified above and approves the (CO/ACO). Next the DCO/SCO determines whether or not the (CO/ACO) has received mandatory caseKonnnect® training. Once approved and training was received, the CO/ACO is issued their logon credentials.

New user registration is outlined in the following steps:

- Proceed to the FIU's webpage at <https://caseKonnnect.fiu.gov.tt/> , this would lead to the following screen:

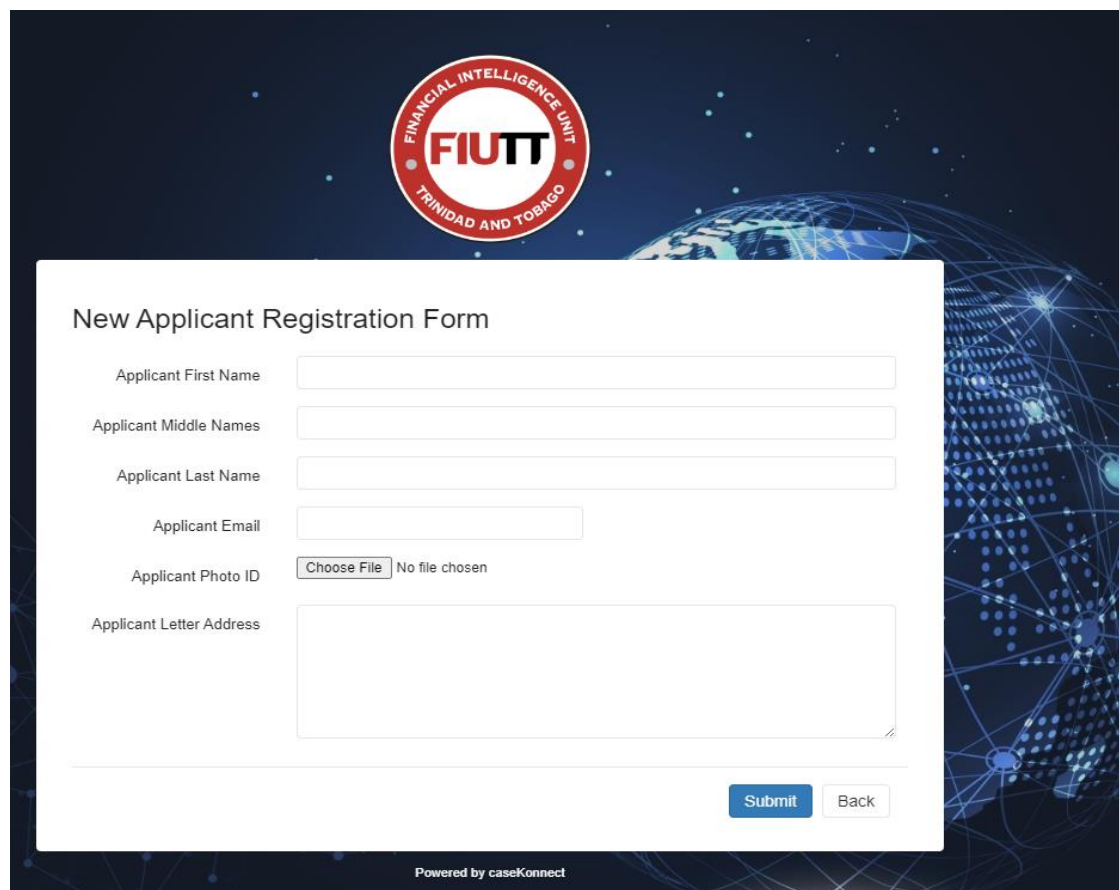


- Click anywhere on the screen and the login screen will appear as follows:



- Click on the [Click Here to Apply button](#)

The following form will appear requesting New Application Information:



The image shows a web form titled "New Applicant Registration Form" for the Financial Intelligence Unit (FIUTT) of Trinidad and Tobago. The form is set against a dark blue background with a globe and network lines. The FIUTT logo is in the top left. The form fields are: Applicant First Name, Applicant Middle Names, Applicant Last Name, Applicant Email, Applicant Photo ID (with a "Choose File" button and "No file chosen" text), and Applicant Letter Address. At the bottom right are "Submit" and "Back" buttons. At the bottom center, it says "Powered by caseKconnect".

Financial Intelligence Unit
FIUTT
TRINIDAD AND TOBAGO

New Applicant Registration Form

Applicant First Name

Applicant Middle Names

Applicant Last Name

Applicant Email

Applicant Photo ID No file chosen

Applicant Letter Address

Powered by caseKconnect

- Complete all of the information requested.

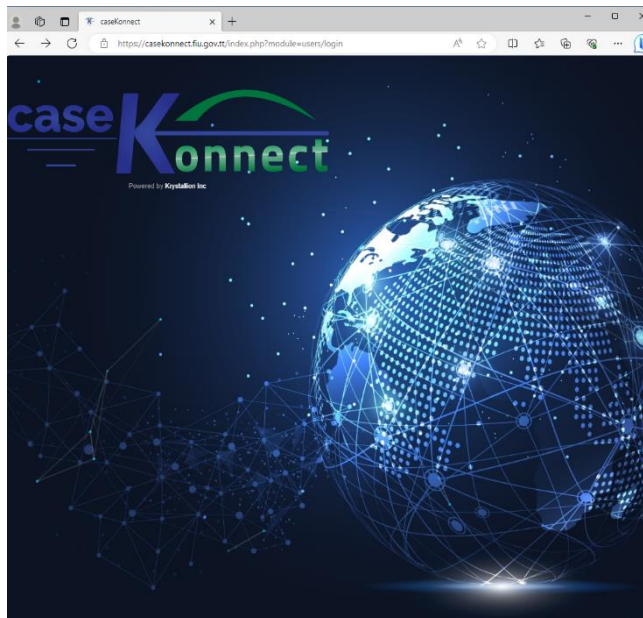
Next, you will receive an email indicating that you are registered. You will then be provided with your USER PROFILE and a TEMPORARY PASSWORD.

CONGRATULATIONS! You are now registered and once approved by the FIUTT you can begin submitting STRs/SARs, TFRs and ESRs.

3. LOG IN PROCEDURES

- To log onto caseKconnect®, proceed to the FIUTT's webpage at <https://caseKconnect.fiu.gov.tt/>.


This will bring you to the following screen



- Click anywhere on the screen, then the following login screen will appear as follows:



- Enter your USER CODE and PASSWORD and retype your password to confirm. Once this is done successfully, the **Login button** will appear as shown below.



Login

Welcome to the FIUTT's caseKconnect application.

Passwords Match!


Good

Login

Click on the Login button

This will take you to your dashboard, which looks like the figure below.

caseKconnect



<

Welcome to the caseKconnect – your new assistant in business management!

This is the main page for your system. It's empty now, but you can display various reports and counters.

In order to display your first report, select "Reports" on left navigation menu, create report and set option "In Dashboard".

Also we recommend you to visit the "Documentation". There you will find various tips on setting up the system.

Still have questions? You can always contact us!

www.casekconnect.com

Dashboard

Query Hub

Sanction List Search

STR_SAR

4. PASSWORD RECOVERY PROCEDURE

- If you forget your password, click on **Password forgotten** as indicated below:



- Click on the screen once more and the following screen will appear
- It will prompt you to enter your **email** and **user code** as shown in the following screen:



- Then you press the **Send tab**

You will then get the following message indicating that a new password has been sent to your email address

A new password has been sent to your e-mail address. ✕

- You can then check your email to retrieve your new password and log on.

5. DASHBOARD OPTIONS

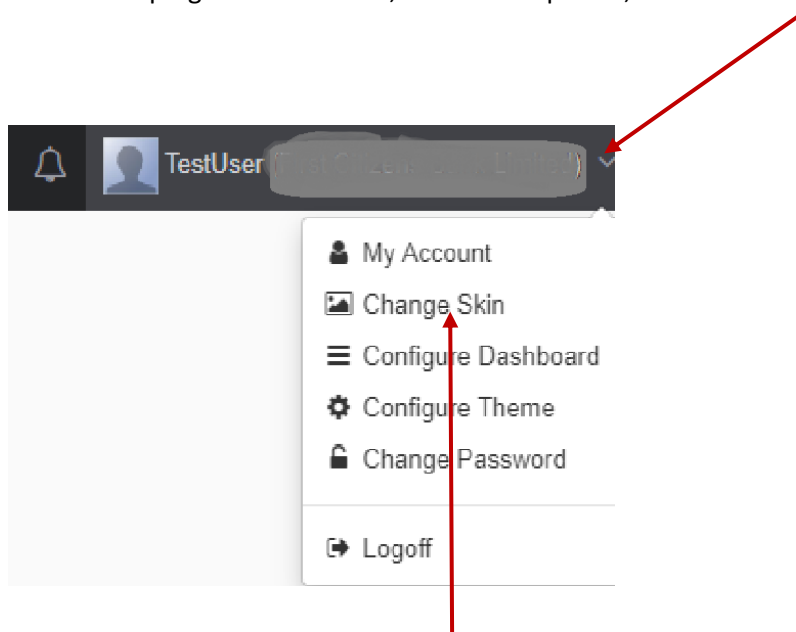
The user has the options to change or configure the following:

- Change The Skin
- Change The Password

5.1 Changing the Skin

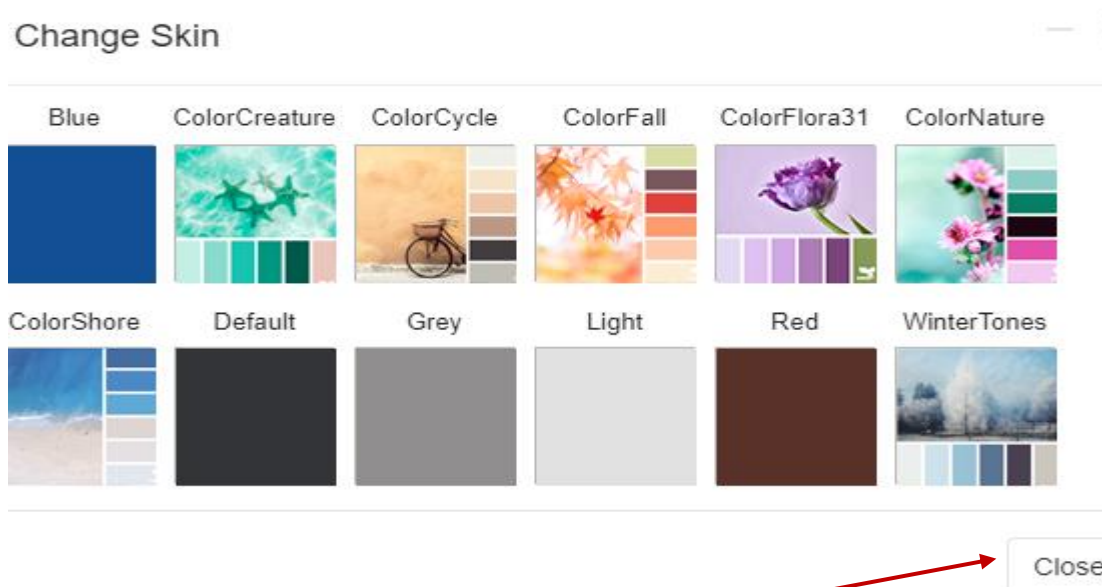
To change the skin, the user should do the following

- On the top right of the screen, on the user profile, click the down arrow



After, the user will get the option to **change skin**.

- To change the skin select Change Skin and the following screen will appear

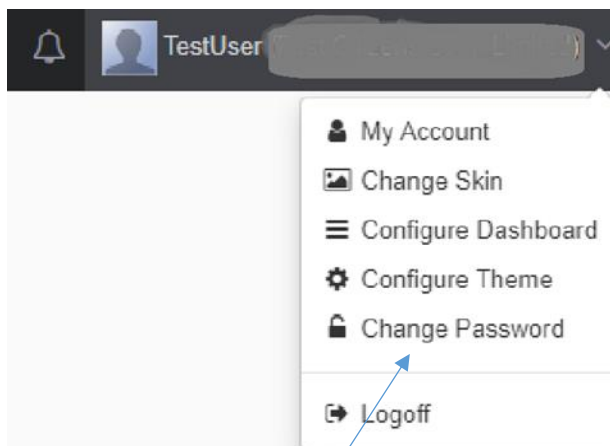


When you are finished selecting the skin you desire, Press the **Close button** and the change would be made

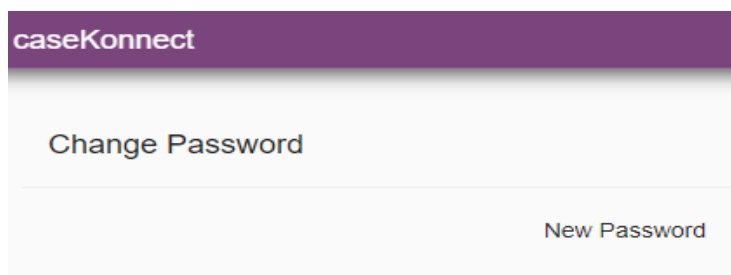
5.2 Changing a Password

To change the password, the user should do the following

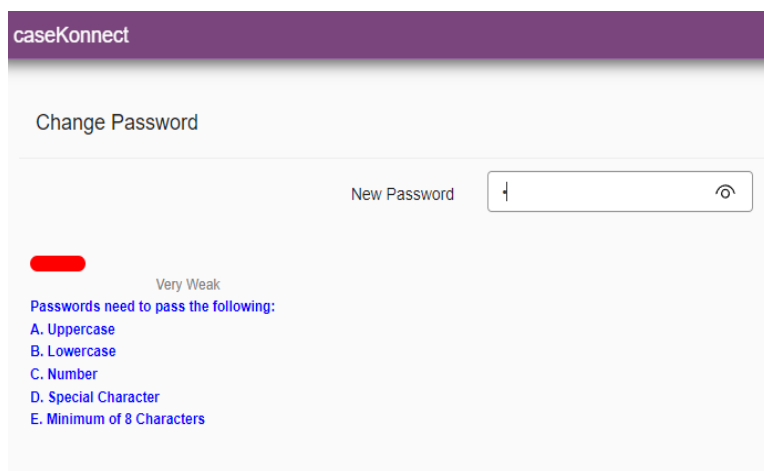
- On the top right of the screen, on the user profile, click the down arrow



- Select **Change Password** and the following screen will appear



- Type in the new Password, as you start to type the password the following messages will appear which indicates that you need to satisfy the criteria outlined for the password to be accepted.



As you start to satisfy the criteria, the strength of the password increases as shown below

caseKconnect

Change Password

New Password

Good

Passwords need to pass the following:

- A. Uppercase
- B. Lowercase
- C. Number
- D. Special Character
- E. Minimum of 8 Characters

- When it turns green and all the criteria is met, the password should be typed over for confirmation. At this juncture, the system would indicate there is a password match, and the button to change your Password should appear.

caseKconnect

Change Password

New Password

Password Confirmation

Strong

Change

Passwords Match!

- Press the **Change Button**

You will then see the following message

Your password has been successfully updated.

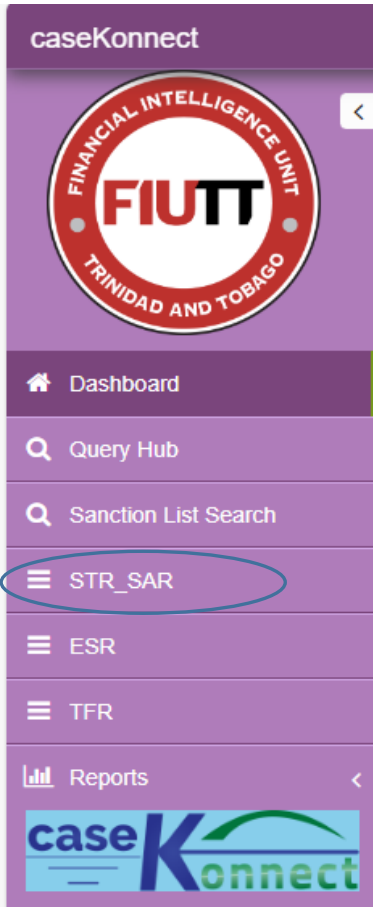
6. SUSPICIOUS TRANSACTION /ACTIVITY REPORT (STR/SAR)

Introduction

In compliance with the obligations outlined in sections 55A(1) of the Proceeds of Crime Act (POCA) and sections 22AB (d) and 22C of the Anti-Terrorism Act (ATA), Chapter 12:07, all Financial Institutions and Listed Businesses who knows or has reasonable grounds to suspect that funds used for a transaction are the proceeds of criminal conduct shall make a STR/SAR report to the FIUTT.

6.1 FILING A (STR/SAR)

Log on to the caseKonnnect® website and click on the following tab:



The following screen will open to display any STRs/SARs that you previously submitted. This allows you to view, edit, download or export each case that you may select.

STR_SAR

▼ + Applied Filters

Add

With Selected ▼

<input type="checkbox"/>	Action	Submitted	Date Updated	Created By	Internal Reference Number	Case: File Status
<input type="checkbox"/>	<div><div>Export</div><div>Download Summary</div></div>	3 14:46		TestUser	CASE-STR-B50-652D8507	Case is UN-FILED

Displaying 1 to 1 (of 1 items)

When filing a new STR/SAR, simply click the Add BUTTON. A new form will then open for you to begin the process.

This guide provides step by step instructions for adding the following sub-entitiy relationships for each of the STR/SAR forms:

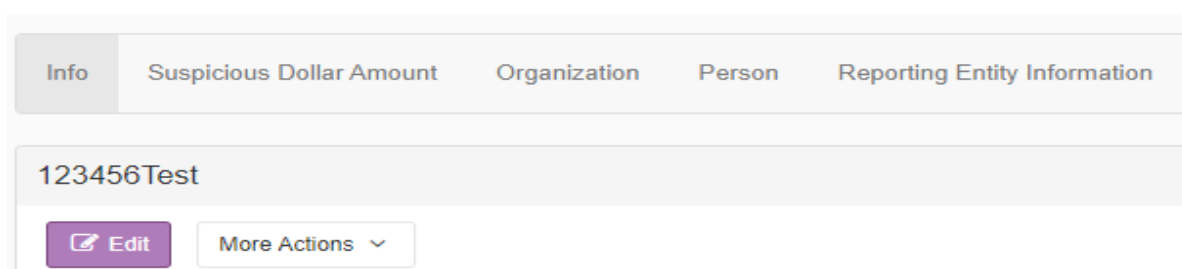
- Organization
 - Account
 - Account History
 - Address
 - Organization
 - Person
 - Telephone
 - Vehicle
- Suspicious Dollar (Mandatory)
- Person
 - Account
 - Account History
 - Address
 - Identification Document
 - MVTs
 - Organization
 - Person
 - Telephone
 - Vehicle
- Reporting Entity Information

All mandatory fields must be filled out. In addition, you must click the [SAVE button](#) for the form information to be submitted.

After completing and submitting the main STRs/SARs form above, you would be redirected to the following page which relates and links to sub-entities that must also be completed and also saved and submitted.

They are:

- Suspicious Dollar Amount
- Organization
- Person
- Reporting Entity Information



Info	Suspicious Dollar Amount	Organization	Person	Reporting Entity Information
123456Test				
<div><button>Edit</button><button>More Actions ▾</button></div>				

STR/SAR Main Form

Instructions

Type whatever you see on the form in here




* Entity Reference No.	<input type="text" value="1"/>
* Report Type	<input type="text" value="Please select"/>
* Initial Activity	<input type="text" value="Please select"/>
* Classification	<input type="text" value="Please select"/>
* Industry Sector	<input type="text" value="Please select"/>
* Source of Funds	<input type="text"/>
* Report Narrative	<input type="text"/>
* First Name	<input type="text"/>
Middle Name	<input type="text"/>
* Last Name	<input type="text"/>
* Title	<input type="text" value="Please select"/>
* Phone Number	<input type="text"/>
	Enter accepted digit format, for example: (999) 999-9999
* Type of Activity that Initiated Transaction	<input type="text" value="Select some options"/>
Supporting Documents	<input type="text" value="Select some options"/>
Supporting Document - Other	<input type="text"/>
State Retained Documents	<input type="text"/>
Details of Suspicious Transaction Activity	<input type="text" value="Select some options"/>
Virtual Asset - Specify Type	<input type="text"/>
Virtual Asset Service Provider - Specify Type	<input type="text"/>

The above main STR/SAR form captures the report that you are submitting to make/open a case. This information can be edited and resubmitted if any additional information is requested from the FIUTT.

Most of the fields are mandatory to ensure that all the relevant data is captured so that the analysis can begin without any delays.

6.2 FILLING OUT A SUSPICIOUS DOLLAR AMOUNT SUB ENTITY (MANDATORY FORM)

This entity captures the Suspicious Dollar information that is linked to the organization. Again, it is imperative that the data entered is true and validates the information pertaining to the organization.


Suspicious Dollar Relationship	<input type="text" value=""/>
* Transaction Status	<input type="text" value="Please Select"/>
* Date of Suspicious Transaction or Activity	<input type="text" value=""/> 
* Dollar Amount Involved in This Report	<input type="text" value=""/>
* Currency Type	<input type="text" value="TTD"/>
Isolated Incident	<input type="text" value=""/>
Start Date of Suspicious Activity	<input type="text" value=""/> 
End date of Suspicious Activity	<input type="text" value=""/> 

6.3 FILLING OUT THE MAIN ORGANIZATION SUB ENTITY

This entity captures the information on the subject or the case, such as the name of the business and any other relevant information pertaining to the subject. The person submitting the form must verify that all relevant attachments are uploaded to ensure that the analysis of the case is not delayed due to insufficient information.

The screenshot shows a web form titled 'Info' with a close button (X) in the top right corner. The form contains the following fields and labels:

- * Case Organization Relationship: Select some options
- * Name: [Text input field]
- Trading Name: [Text input field]
- * Nature of Business: Bank/Financial Institution (dropdown menu)
- * Company or Business #: [Text input field]
- Company or Business Identifier: [Text input field]
- * Business Activity: [Text input field]
- Shares: [Text input field]
- Website: [Text input field]
- Description: [Text input field]
- * Date Registered: [Date picker]
- Company Status: [Dropdown menu]
- Country of Incorporation: [Dropdown menu]
- Date Continued: [Date picker]
- Business Activity: [Dropdown menu]
- Bankers: [Dropdown menu]
- Folio: [Text input field]
- BK No.: [Text input field]
- RIP Number: [Text input field]






However, after completing and submitting the organization sub-entity , the other sub-entities are available for completion when you click the  button :

- Account
 - Account History
- Address
- Organization
- Person
- Telephone
- Vehicle

The screenshot shows the caseKonnnect interface. The breadcrumb navigation at the top reads: STR_SAR > 1234567TT > Organization > . Below this is a horizontal tab bar with the following tabs: Info, Account, Address, Asset Information, Organization, Person, Telephone, and Vehicle. The 'Organization' tab is currently selected. Below the tabs, the name 'Rhona' is displayed. At the bottom, there are two buttons: 'Edit' (with a pencil icon) and 'More Actions' (with a dropdown arrow).

6.3.1 Filling out an Account sub entity

The account sub entity captures the Bank Account information of the subject of the case. This information is linked to the main STR/SAR and organization sub entity form.

* Organization Account Relationship	Account Hc	▼
* Account Name	<input type="text"/>	
* Account Number	<input type="text"/>	
Type of Account	<input type="text"/> ▼	
Account Status	<input type="text"/> ▼	
Financial Institution	<input type="text"/> ▼	
Branch	<input type="text"/>	
Country	<input type="text"/> ▼	
Date Opened	<input type="text"/>	
Date Closed	<input type="text"/>	
Current Balance	<input type="text"/>	
Description/Remarks	<div><div></div><div></div></div>	
Other Type of Account	<input type="text"/>	
As At	<input type="text"/>	
Account Active	<input type="text"/> ▼	
Restrained	<input type="text"/> ▼	
Date Restrained	<input type="text"/>	
Discharged	<input type="text"/> ▼	
Date Discharged	<input type="text"/>	

All banking information pertaining to the subject of the case, can be added here. Each bank account can be added on a separate or new “account” form under the main organization entity tab.

6.3.2 Filling out an Address sub entity

The address sub entity captures the Address(es) information for each of the subjects' information that is listed.

* Organization Address Relationship	Lessee
Apartment Suite Number	
* Street Name	
Community Village	
PO Box	
* City	
Zip Code	
Postal Code	
* Country	Albania
Description	
House Pole Number	
Office Type	
Deed Number	
Value	
Date Property Obtained	
Restrained	
Date Restrained	
Discharged	
Date Discharged	

Here, you can add multiple “addresses” for the subject of the case. This means that you can press the “ADD” button and enter a new address record for each of the subjects' sub-offices or branches.

Info	Account	Address
Address		
Applied Filters		
Add	With Selected	

6.3.3 Filling out an Organization sub entity

This entity captures other sub Organization information within the structure of the 'subject organisation' of the case. For instance, if there are other subsidiaries/branches, of the 'subject organisation'.


* Name	<input type="text"/>
Trading Name	<input type="text"/>
* Nature of Business	<input type="text" value="Bank/Financial Institution"/>
Registration No	<input type="text"/>
Company Incorporation No	<input type="text"/>
Certificate of Incorporation	<input type="button" value="Add Attachments"/>
* Business Activity	<input type="text"/>
Shares	<input type="text"/>
Website	<input type="text"/>
Description	<input type="text"/>
* Date Registered	<input type="text"/> <input type="button" value="Calendar"/>
New Registration Number	<input type="text"/>
Company Status	<input type="text"/>
Country of Incorporation	<input type="text"/>
Date Continued	<input type="text"/> <input type="button" value="Calendar"/>
Business Activity	<input type="text"/>
Bankers	<input type="text"/>
Folio	<input type="text"/>
BK No.	<input type="text"/>

The above form captures this information as some organisation's can have multiple business trading under the same name.

Again, each business must be captured in a new sub entity form under the Main organisation form.

6.3.4 Filling out a Person sub entity

This entity captures the Person information under the subject organisation.

Organization Person Relationship	<input type="text"/>
Title	<input type="text"/>
* First Name	<input type="text"/>
Middle Name or Initial	<input type="text"/>
* Last Name	<input type="text"/>
Suffix	<input type="text"/>
Nickname	<input type="text"/>
* Gender	<input type="text" value="Prefer Not to Say"/>
* Date of Birth	<input type="text"/> 
Age	<input type="text"/>
Marital Status	<input type="text"/>
Place of Birth	<input type="text"/>
Nationality	<input type="text"/>
Citizenship	<input type="text"/>
* Place of Residence	<input type="text"/>
Country of Residence	<input type="text"/>
* Occupation	<input type="text"/>
* Employer	<input type="text"/>
Employment Status	<input type="text"/>
Profession	<input type="text"/>
Email Address	<input type="text"/>
BIR Number	<input type="text"/>

Each person that is linked to the organisation and is being queried, their data must be filled out here.

Again, the submitter must add a new sub person form each individual.

6.3.5 Filling out a Telephone sub entity






This entity captures the Telephone information for the organization.

Organization	<input type="text"/>
Telephone	<input type="text"/>
Relationship	<input type="text"/>
* Number	<input type="text"/>
Service Provider	<input type="text"/>
Phone Type	<input type="text"/>
Area Code	<input type="text"/>
Attachments	<input type="button" value="Add Attachments"/>

Multiple telephone information records can be entered in this sub entity. That is, there should be a record for each service provider.

6.3.6 Filling out a Vehicle sub entity


This entity captures the Vehicle information for the ‘subject organization’.

Organization Vehicle Relationship	<input type="text" value=""/>
* VIN Number	<input type="text" value=""/>
* Registration number	<input type="text" value=""/>
* Date of Registration	<input type="text" value=""/> 
Year	<input type="text" value=""/> 
Type	<input type="text" value=""/>
Make	<input type="text" value=""/>
Colour	<input type="text" value=""/>
Vehicle Body Style	<input type="text" value=""/>
Value	<input type="text" value=""/>
Currency	<input type="text" value=""/>
Description	<input type="text" value=""/>
Registered Owner As Per Cert Copy	<input type="text" value=""/>
Chassis Number	<input type="text" value=""/>
Model	<input type="text" value=""/>
Certified Copy Obtained	<input type="checkbox"/>
As At	<input type="text" value=""/> 
Restrained	<input type="checkbox"/>
Date Restrained	<input type="text" value=""/> 
Discharged	<input type="checkbox"/>
Date Discharged	<input type="text" value=""/> 

A record for each of the vehicle which forms part of the STR/SAR submission, must be submitted.

6.4 FILLING OUT PERSON SUB ENTITIES UNDER THE MAIN STR/SAR

This entity captures the Main Person information under the STR/SAR.

Organization Person Relationship	<input type="text"/>
Title	<input type="text"/>
* First Name	<input type="text"/>
Middle Name or Initial	<input type="text"/>
* Last Name	<input type="text"/>
Suffix	<input type="text"/>
Nickname	<input type="text"/>
* Gender	<input type="text" value="Prefer Not to Say"/>
* Date of Birth	<input type="text"/> 
Age	<input type="text"/>
Marital Status	<input type="text"/>
Place of Birth	<input type="text"/>
Nationality	<input type="text"/>
Citizenship	<input type="text"/>
* Place of Residence	<input type="text"/>
Country of Residence	<input type="text"/>
* Occupation	<input type="text"/>
* Employer	<input type="text"/>
Employment Status	<input type="text"/>
Profession	<input type="text"/>
Email Address	<input type="text"/>
BIR Number	<input type="text"/>

Again, this form can capture all the persons related to the STR/SAR report that is being submitted.

For each person, a new form or record can be submitted. All mandatory information must be entered in order for the case to be submitted.

6.4.1 Filling out Additional sub entities under the Main STR/SAR – Person

The following screen opens when you complete filling out the Person entity main form. This form is similar to the person sub-entity that was linked to the main organization.

The screenshot shows a web interface for the STR/SAR Person entity. At the top, a breadcrumb trail reads: STR_SAR > 1234567TT > Person > Rhona. Below this is a horizontal tab bar with the following tabs: Info, Account, Address, Identification Document, MVTs, Organization, Person, Telephone, and Vehicle. The 'Person' tab is currently selected. The main content area is titled 'Rhona' and contains an 'Edit' button (with a pencil icon) and a 'More Actions' dropdown menu. Below this is a 'Description' field containing the text '234324'.

On this form, you have the option to fill out the following sub entities under the person entity:

- Account
 - Account History
- Address
- Identification Document
- MVTs
- Organization
- Person
- Telephone
- Vehicle

6.4.2 Filling of an Account History under Account under a Person STR/SAR

The following screen opens when you complete filling out the Account entity main form. This form allows you to enter the history associated with an account for each year.

The screenshot shows a form for entering account history. It features several input fields and dropdown menus. The first section is labeled 'Person Account History Relationship' and includes a dropdown menu. Below this is a 'Year' field with a calendar icon. The next section is labeled 'Total Annual Deposits' and includes a text input field. Below this is a 'Total Annual Deposits Currency Type' dropdown menu. The next section is labeled 'Total Annual Withdrawals' and includes a text input field. Below this is a 'Total Annual Withdrawals Currency Type' dropdown menu. At the bottom right of the form are 'Save' and 'Close' buttons.

6.4.3 Filling of an Identification Document under a Person STR/SAR

This entity captures the Identification information for each person linked.

Person Identification Relationship

Identification Type

* Identification Number

Issuing Authority

Date Issued

Expiry Date

Hair Color

Eye Color

Race Ethnicity

Save

Close

6.4.4 Filling of an MVTs a Person STR/SAR

This entity captures the MVTs information for each person.

Person MVTs Relationship

Name of MVTs

Money Transfer Control No

Sender

Sender Address

Senders Country

Date of Transaction

Currency Type

Amount

Description

Receiver

Receiver Address

Receiver Country

Save

Close

6.4.5 Filling out a Reporting Entity sub-entity

This entity captures the Reporting Information

Relationship

* Name

Financial Entity Type

* Main Address 1

Main Address 2

* Branch Address 1

Branch Address 2

Main Address 3

Main Address 4

Branch Address 3

Branch Address 4



Asset Size

Currency

Save Close

Once you have completed filling out ALL the sub-entities, you can now successfully file your SAR.

This can be done by simply clicking on the “File this case” button on the screen that would appear where all SARs and other forms have been saved.

<div>Add With Selected ▾</div>							
<input type="checkbox"/>	Action	ID	Date Added	Date Updated	Created By	Internal Reference Number	Case: File Status
<input type="checkbox"/>	 	11	16/10/2023 14:46		TestUser	CASE-STR-B50-652D8507	<div>File this Case</div> <div>Mark Case as Classified</div>

Once the case is filed, you cannot go back and make any changes on that form. However, you can go and download your receipt after submission.

If changes are required or new information is now received, this can be submitted using a corrected or supplemental form via the CaseKonnnect.

If you have not filed a saved form yet, you have up to one month in order to do so before the form is purged from the system.

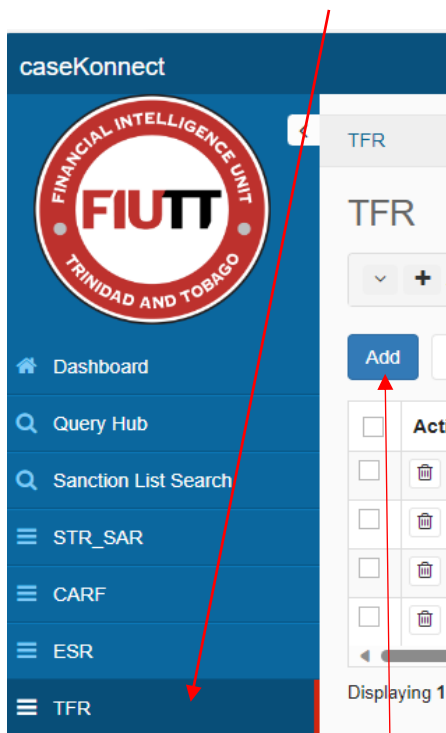
7. TERRORIST FUND REPORT (TFR)

Introduction

In compliance with the obligations outlined in sections 22AB and 22C of the Anti-Terrorism Act (ATA), Chapter 12:07, all Financial Institutions and Listed Businesses are required to promptly report any suspicious funds related to terrorism. This reporting must be done without delay to the FIUTT. Such reporting is facilitated through the submission of Terrorist Funds Reports (TFR).

7.1 Filing a TFR

- Select the **“TFR” tab** in the left column



- Select the **blue “Add” button** and that will generate the following form:

The following form will become accessible, enabling the Compliance Officer or Alternate Compliance Officer (ACO), to input the necessary information into the fields.

Please note that some fields are mandatory and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

Below is a sample of the form that will appear:

Info

* Entity Reference No

* Report Narrative

* First Name

Middle Initial

* Last Name

Title

* Phone Number

Attachments

Add Attachments

Save

Close

After all fields are filled out,
Press the **Save** button

After filing out all the information, the form is saved and the following screen will appear:

TFR > 12 > Organization

Info

Organization

Person

Organization

Applied Filters

Add

With Selected

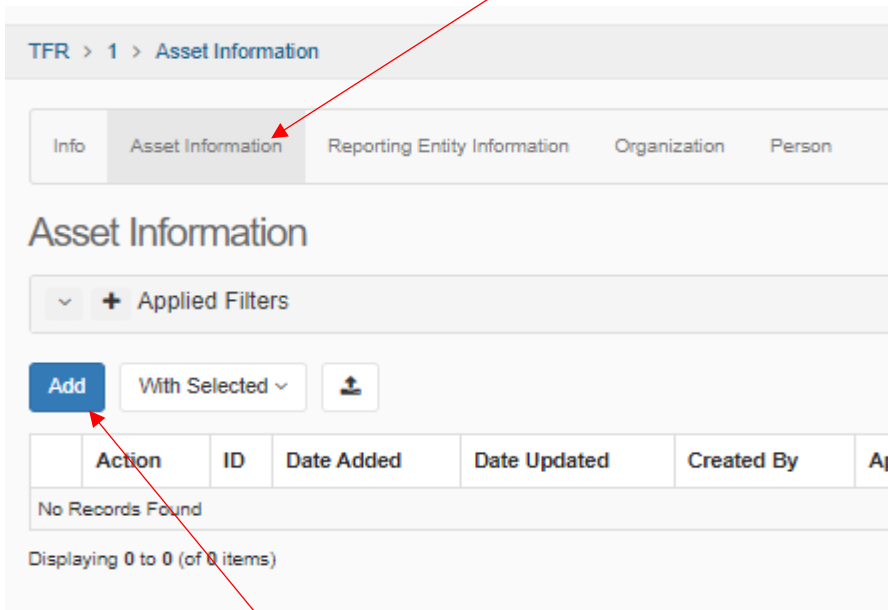
	Action	ID	Date Added	Date Updated	Created By	Applicant Created By	Internal Reference Number
No Records Found							

Displaying 0 to 0 (of 0 items)

From here, one can submit on one or more organization or person.

7.1.1 Filling out an Asset Information sub entity

- To submit on asset(s), select the **Asset Information tab** as illustrated below

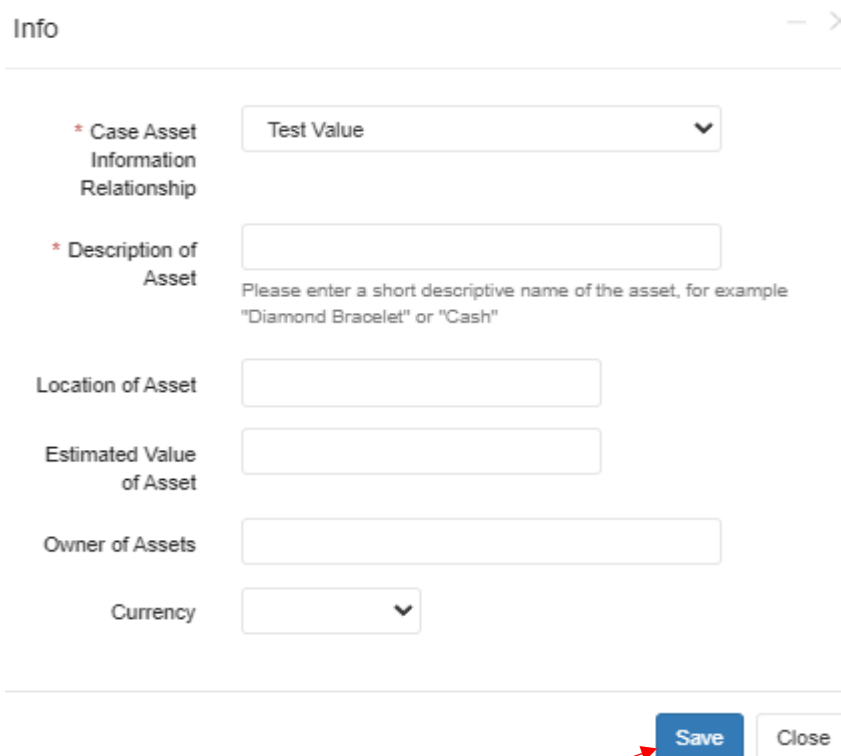


The screenshot shows the 'TFR > 1 > Asset Information' breadcrumb. Below the breadcrumb is a tabbed interface with five tabs: 'Info', 'Asset Information', 'Reporting Entity Information', 'Organization', and 'Person'. The 'Asset Information' tab is selected and highlighted. Below the tabs is the title 'Asset Information'. Underneath is a filter section with a dropdown arrow and the text '+ Applied Filters'. Below that is a row of buttons: a blue 'Add' button, a 'With Selected' dropdown, and an upload icon. Below the buttons is a table with columns: 'Action', 'ID', 'Date Added', 'Date Updated', 'Created By', and 'A'. The table is empty, showing 'No Records Found'. At the bottom, it says 'Displaying 0 to 0 (of 0 items)'. Two red arrows point to the 'Asset Information' tab and the 'Add' button.

- Select the blue **"Add" button** and that will generate the following form:

Please note that some fields are mandatory, and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

Below is a sample of the form that will appear:



The screenshot shows the 'Info' form for an asset. It has a title bar 'Info' with a close button. The form contains several fields: a dropdown menu for 'Case Asset Information Relationship' with 'Test Value' selected; a text input field for 'Description of Asset' with a placeholder text 'Please enter a short descriptive name of the asset, for example "Diamond Bracelet" or "Cash"'; a text input field for 'Location of Asset'; a text input field for 'Estimated Value of Asset'; a text input field for 'Owner of Assets'; and a dropdown menu for 'Currency'. At the bottom right, there are two buttons: a blue 'Save' button and a 'Close' button. A red arrow points to the 'Save' button.

After all fields are filled out, Press the **Save Button**

7.1.2 Filling out a Reporting Entity Information sub entity

- To file on one or more Reporting Entity, select the **Reporting Entity Information tab** as illustrated below

TFR > 1 > Reporting Entity Information

Info Asset Information **Reporting Entity Information** Organization Person

Reporting Entity Information

Applied Filters

Add With Selected

Action	ID	Date Added	Date Updated	Created By	Applied
No Records Found					

Displaying 0 to 0 (of 0 items)

- Select the blue **"Add" button** and that will generate the following form:

Please note that some fields are mandatory, and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

Below is a sample of the form that will appear:

Info

* Case Asset Information Relationship Test Value

* Description of Asset

Please enter a short descriptive name of the asset, for example "Diamond Bracelet" or "Cash"

Location of Asset

Estimated Value of Asset

Owner of Assets

Currency

Save Close

After all fields are filled out, Press the Save Button

7.1.3 Filling out an Organization Sub Entity

To submit on organization(s), select the **Organization tab** as illustrated below

The screenshot shows the 'Organization' tab selected in a navigation bar. The breadcrumb trail is 'TFR > 17 > Organization'. Below the navigation bar, there are tabs for 'Info', 'Asset Information', 'Reporting Entity Information', 'Organization' (which is highlighted), and 'Person'. The main heading is 'Organization'. Below this, there is a filter section with a dropdown arrow and a plus sign, followed by the text 'Applied Filters'. There is an 'Add' button (highlighted with a red arrow) and a 'With Selected' dropdown menu. Below these is a table with columns: 'Action', 'ID', 'Date Added', 'Date Updated', 'Created By', and 'Applicant Created By'. The table is currently empty, showing 'No Records Found'. At the bottom, it says 'Displaying 0 to 0 (of 0 items)'.

- Select the **blue “Add” button** and that will generate the following form:

Please note that some fields are mandatory, and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

Below is a sample of the form that will appear:

Info

The form is titled 'Info' and contains several fields with labels and asterisks indicating mandatory fields:

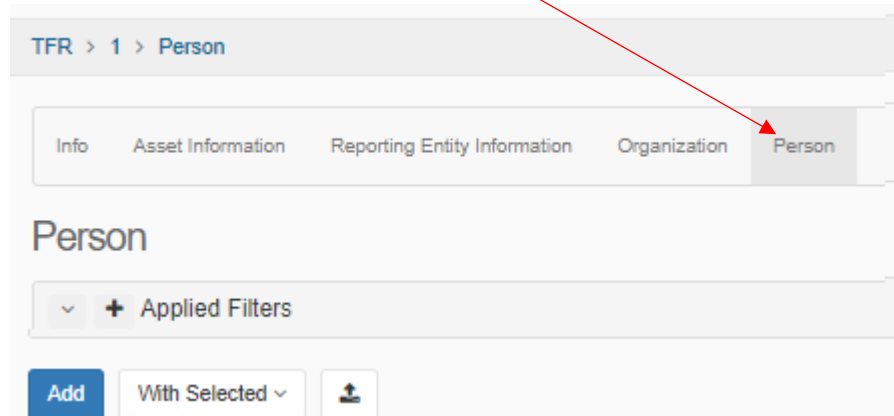
- * Case Organization Relationship: A dropdown menu with the text 'Select some options'.
- * Name: A text input field.
- Trading Name: A text input field.
- * Business Activity: A dropdown menu with the text 'Bank/Financial Institution' and a downward arrow.
- * Company or Business #: A text input field.
- Company or Business Identifier: A text input field.
- * Nature of Business: A text input field.

After all fields are filled out, Press the **Save button**

Two buttons are shown: a blue 'Save' button (highlighted with a red arrow) and a grey 'Close' button.

7.1.4 Filling out a Person sub entity

To submit on Person(s), select the **Person tab** as illustrated below

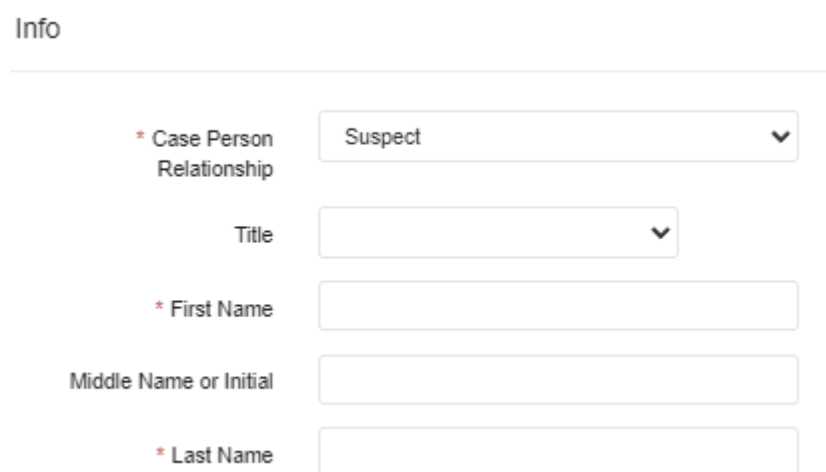


The screenshot shows the 'TFR > 1 > Person' breadcrumb. Below it are five tabs: 'Info', 'Asset Information', 'Reporting Entity Information', 'Organization', and 'Person'. The 'Person' tab is highlighted. Below the tabs is a 'Person' header and a filter bar with a dropdown arrow and '+ Applied Filters'. At the bottom left is a blue 'Add' button, followed by a 'With Selected' dropdown and an upload icon. Red arrows point from the text above to the 'Person' tab and the 'Add' button.

- Select the blue **"Add" button** and that will generate the following form:

Please note that some fields are mandatory, and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

Below is a sample of the form that will appear:



The form is titled 'Info'. It contains the following fields:

- * Case Person Relationship: A dropdown menu with 'Suspect' selected.
- Title: A dropdown menu.
- * First Name: A text input field.
- Middle Name or Initial: A text input field.
- * Last Name: A text input field.


After all fields are filled out, Press the **Save button**



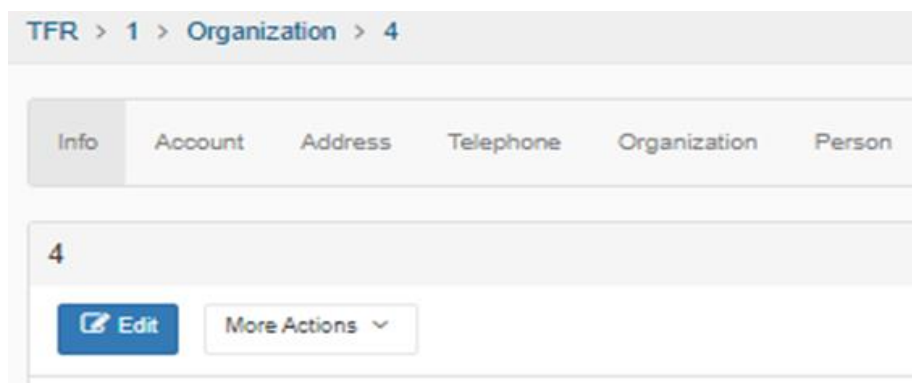
Two buttons are shown: a blue 'Save' button and a grey 'Close' button.

7.1.5 Filling out sub entities under Organization and Person


Filling sub entities under Organization

After completing and submitting the organization sub-entity, the following sub-entities are available for completion when you click the  button:

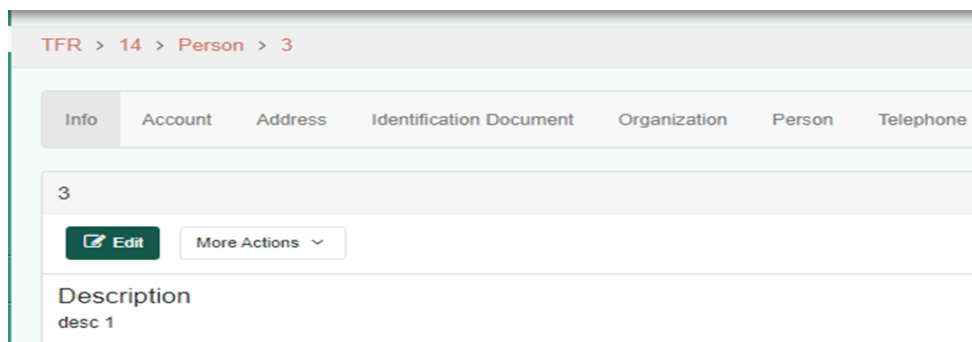
- Account Information
 - Account History
- Address Information
- Telephone
- Organization
- Person



Filling sub entities under Person

However, after completing and submitting the organization sub-entity, the following sub-entities are available for completion when you click the  button:

- Account Information
 - Account History
- Address Information
- Identification Document
- Organization
- Person
- Telephone



Below are the sub entities under Organization and Person and reference to where the steps are for filing them out:

Filling out Account Information/ Account History sub entity

Filling an Account sub entity for an Organization/Person sub entity under TFR is similar to the filling an Account sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.1](#).

After filling an Account sub entity, one would further need to file Account History sub entity, filling Account History sub entity for an Organization/Person sub entity under TFR is similar to the filing Account History for a Person sub entity in STR/SAR therefore please refer to [6.4.2](#).

Filling out Address sub entity

Filling an Address sub entity for an Organization/Person sub entity under TFR is similar to the filling an Address sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.2](#).

Filling out Organization sub entity

Filling an Organization sub entity for an Organization/Person sub entity under TFR is similar to the filling an Organization sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.3](#).

Filling out Person sub entity

Filling a Person sub entity for an Organization/Person sub entity under TFR is similar to the filling a Person sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.4](#).

Filling a Telephone sub entity

Filling a Telephone sub entity for an Organization sub entity under TFR is similar to the filling a Telephone sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.5](#).

Filling out Identification Document

Filling a Identification sub entity for a Person sub entity under TFR is similar to the filling an Identification Document sub entity for a Person sub entity in STR/SAR therefore please refer to [6.4.3](#).

Please note filing an TFR is similar to filing a STR/SAR therefore please refer to [6.5](#)

8. ECONOMIC SANCTIONS REPORTING FORM (ESR)

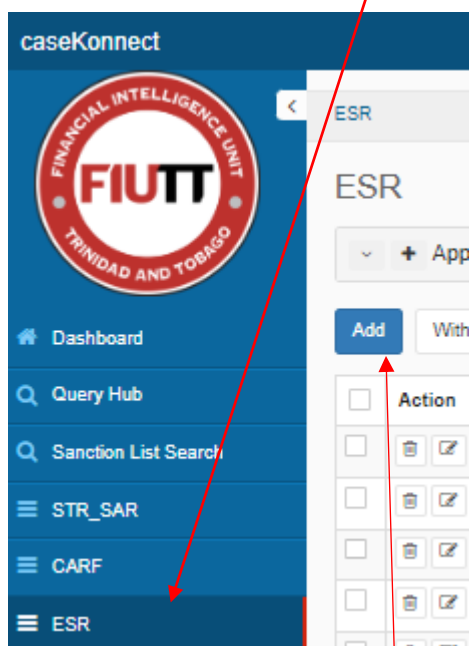
Introduction

In compliance with the regulations outlined in section 4(1) of the Economic Sanctions Act, Chapter 81:05 and Orders made thereunder, Financial Institutions or Listed businesses **MUST** immediately inform the FIUTT where any of the following apply –

- The Financial Institution or Listed Business has knowledge or reasonably suspects that any entity named in the Court Order has property or funds within the Financial Institution or Listed Business; or
- There is a transaction being conducted by a person involving property or funds owned or controlled, whether directly or indirectly, by an entity named in the Court Order in the form made by the Economic Sanctions Act, Chap 81:05, the Economic Sanctions Reporting Form.

8.1 Filing an ESR Form

- Select the “**ESR**” tab in the left column.



- Select the blue “**Add**” button and that will generate the following form:

An ESR form will become accessible, enabling the Compliance Officer or Alternate Compliance Officer (ALO), to input the necessary information into the fields.

Please note that some fields are mandatory, and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

Below is a sample of the form that will appear:

Info

* Entity Reference No

* Report Narrative

* First Name

Middle Initial


* Last Name

Title

▼

* Phone Number

Attachments

 Add Attachments

After all fields are filled out, Press the **Save button**



Save

Close

After the above form is saved, the following screen will appear,

ESR > 9 > Asset Information

Info

Asset Information

Organization

Person


Asset Information

▼

+ Applied Filters

Add

With Selected ▼



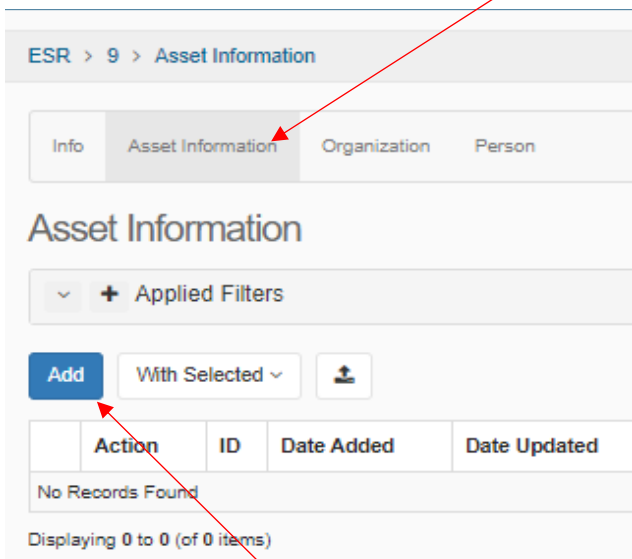
	Action	ID	Date Added	Date Updated
No Records Found				

Displaying 0 to 0 (of 0 items)

From here one can file on one or more forms on asset information, organization or person.

8.1.1 Filling out an Asset Information sub entity

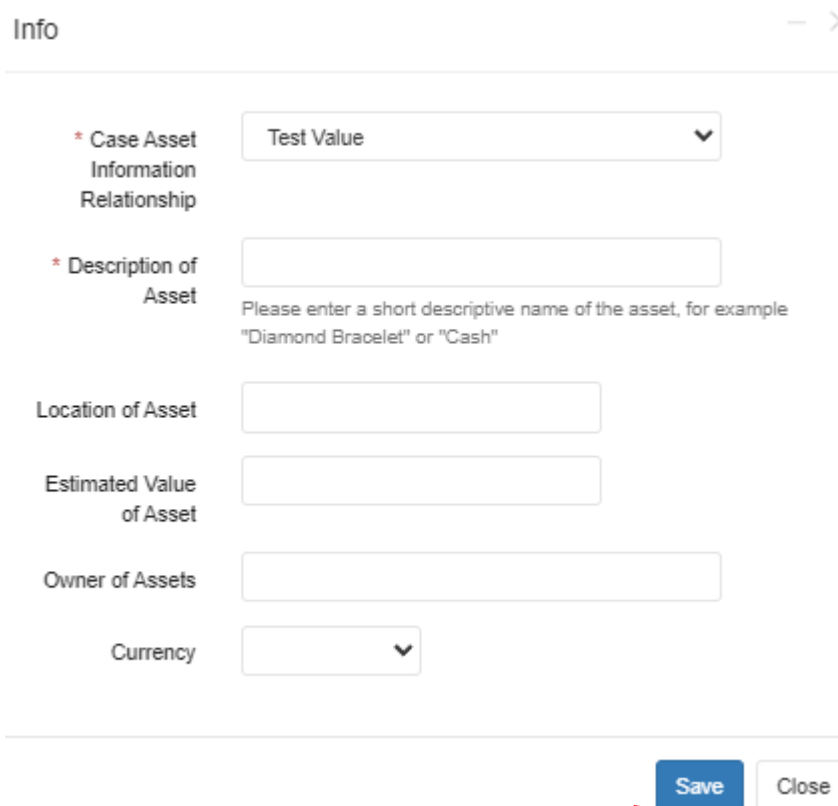
- To submit on asset(s), select the **Asset Information tab** as illustrated below



- Select the **blue “Add” button** and that will generate the following form:

Please note that some fields are mandatory, and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

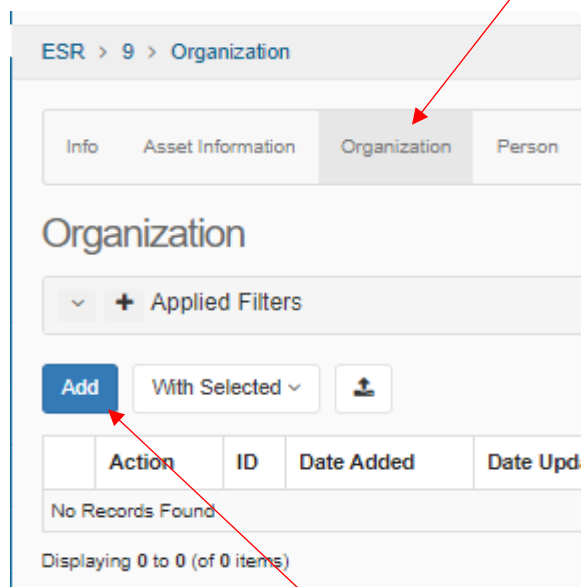
Below is a sample of the form that will appear:



After all fields are filled out, Press the **Save button**.

8.1.2 Filling out an Organization sub entity

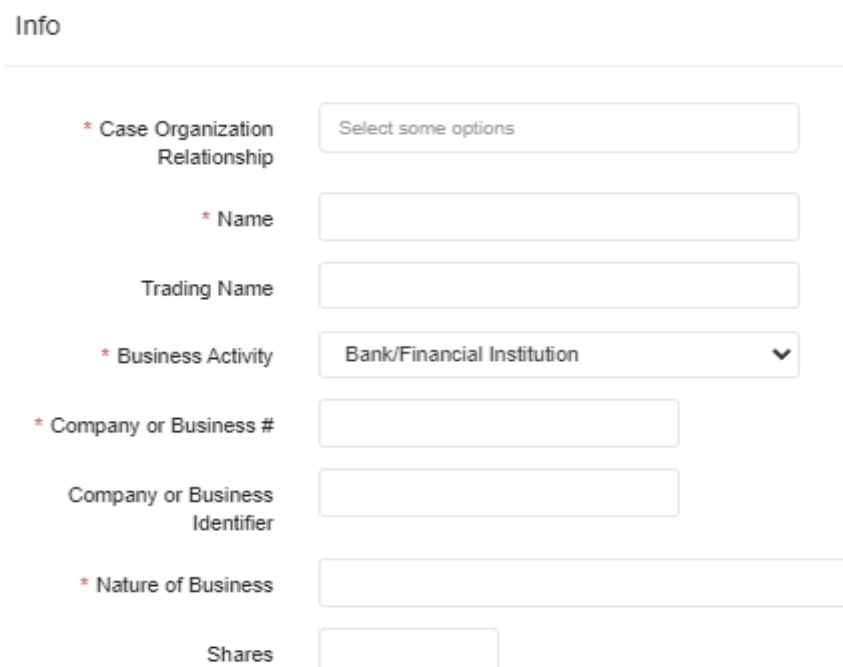
- To submit on organization(s), select the **Organization tab** as illustrated below



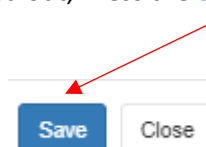
- Select the **blue “Add” button** and that will generate the following form:

Please note that some fields are mandatory, and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

Below is a sample of the form that will appear:



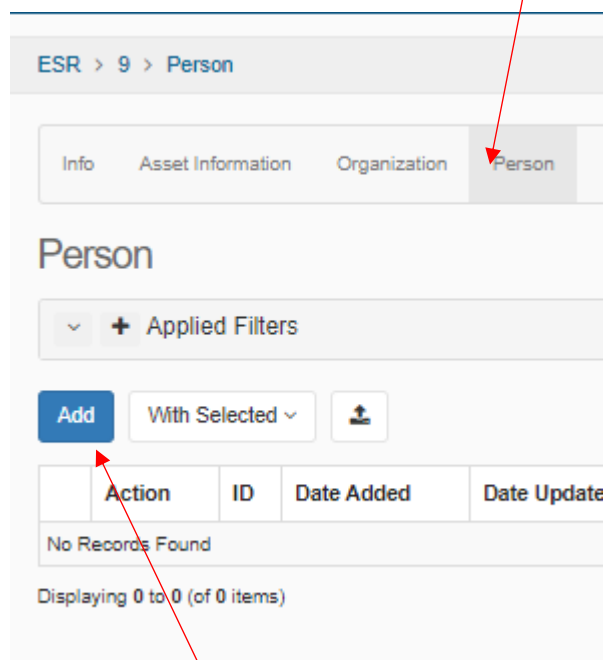
After all fields are filled out, Press the **Save button**



8.1.3 Filling out a Person sub entity

- To submit on person(s), select the **Person tab** as illustrated below

This should bring you to the following screen



ESR > 9 > Person

Info Asset Information Organization **Person**

Person

Applied Filters

Add With Selected

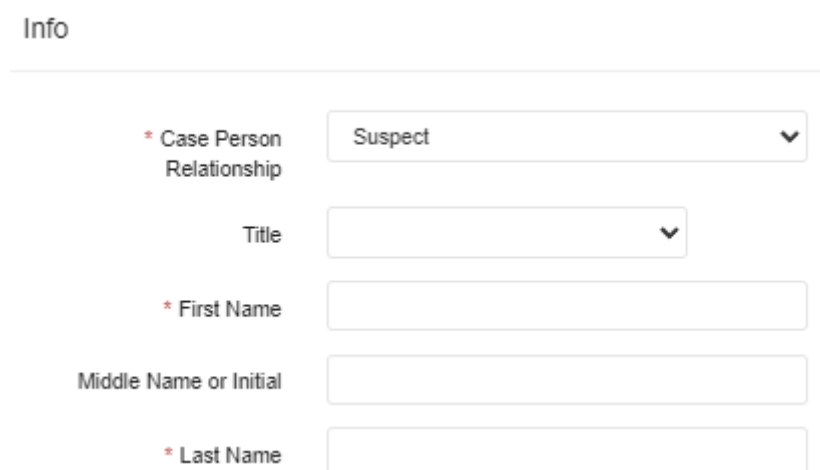
Action	ID	Date Added	Date Update
No Records Found			

Displaying 0 to 0 (of 0 items)

- Select the blue **"Add" button** and that will generate the following form:

Please note that some fields are mandatory, and you will not be able to proceed unless they are completed. Field names that are not marked with an asterisk (*) must be completed if the data is known and left blank if unknown.

Below is a sample of the form that will appear:



Info

* Case Person Relationship Suspect

Title

* First Name

Middle Name or Initial

* Last Name


After all fields are filled out, Press the **Save button**



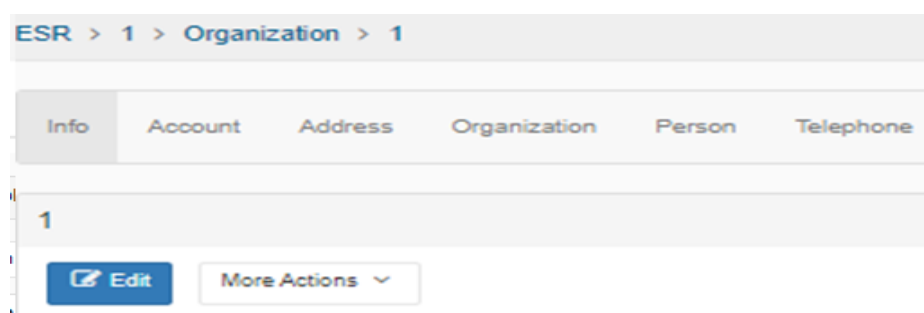
Save Close

8.1.4 Filling out sub entities under Organization and Person


Filing sub entities under an Organization

After completing and submitting the organization sub-entity, the following sub-entities are available for completion when you click the  button:

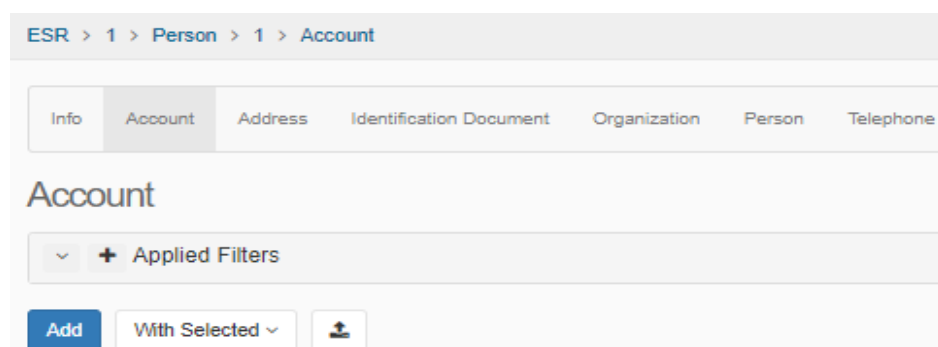
- Account
 - Account History
- Address Information
- Organization
- Person
- Telephone



Filing sub entities under Person

However, after completing and submitting the organization sub-entity, the following sub-entities are available for completion when you click the  button:

- Account Information
 - Account History
- Address Information
- Identification Document
- Organization
- Person
- Telephone



Below are the sub entities under Organization and Person and reference to where the steps are for filing them out:

Filling out Account Information/ Account History sub entity

Filling an Account sub entity for an Organization/Person sub entity under ESR is similar to the filling an Account sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.1](#).

After filling an Account sub entity, one would further need to file Account History sub entity, filling Account History sub entity for an Organization/Person sub entity under ESR is similar to the filing Account History for a Person sub entity in STR/SAR therefore please refer to [6.4.2](#).

Filling out Address sub entity

Filling an Address sub entity for an Organization/Person sub entity under ESR is similar to the filling an Address sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.2](#).

Filling out Organization sub entity

Filling an Organization sub entity for an Organization/Person sub entity under ESR is similar to the filling an Organization sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.3](#).

Filling out Person sub entity

Filling a Person sub entity for an Organization/Person sub entity under ESR is similar to the filling a Person sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.4](#).

Filling a Telephone sub entity

Filling a Telephone sub entity for an Organization sub entity under ESR is similar to the filling a Telephone sub entity for an Organization sub entity in STR/SAR therefore please refer to [6.3.5](#).

Filling out Identification Document

Filling a Identification sub entity for a Person sub entity under ESR is similar to the filling an Identification Document sub entity for a Person sub entity in STR/SAR therefore please refer to [6.4.3](#).

Please note filing an ESR is similar to filing a STR/SAR therefore please refer to [6.5](#)

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