caseKonnect

Government of the Republic of Trinidad and Tobago

FINANCIAL INTELLIGENCE UNIT OF TRINIDAD AND TOBAGO

USER'S GUIDE

Version No. 1

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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 caseKonnect®. This solution is designed to allow only caseKonnect® registered Financial Institutions and Listed Businesses (Reporting Entitiy'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.

caseKonnect® 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 caseKonnect® before they can log into caseKonnect® and must submit an application via caseKonnect® 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 caseKonnect® 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://caseKonnect.fiu.gov.tt/ , this would lead to the following screen:
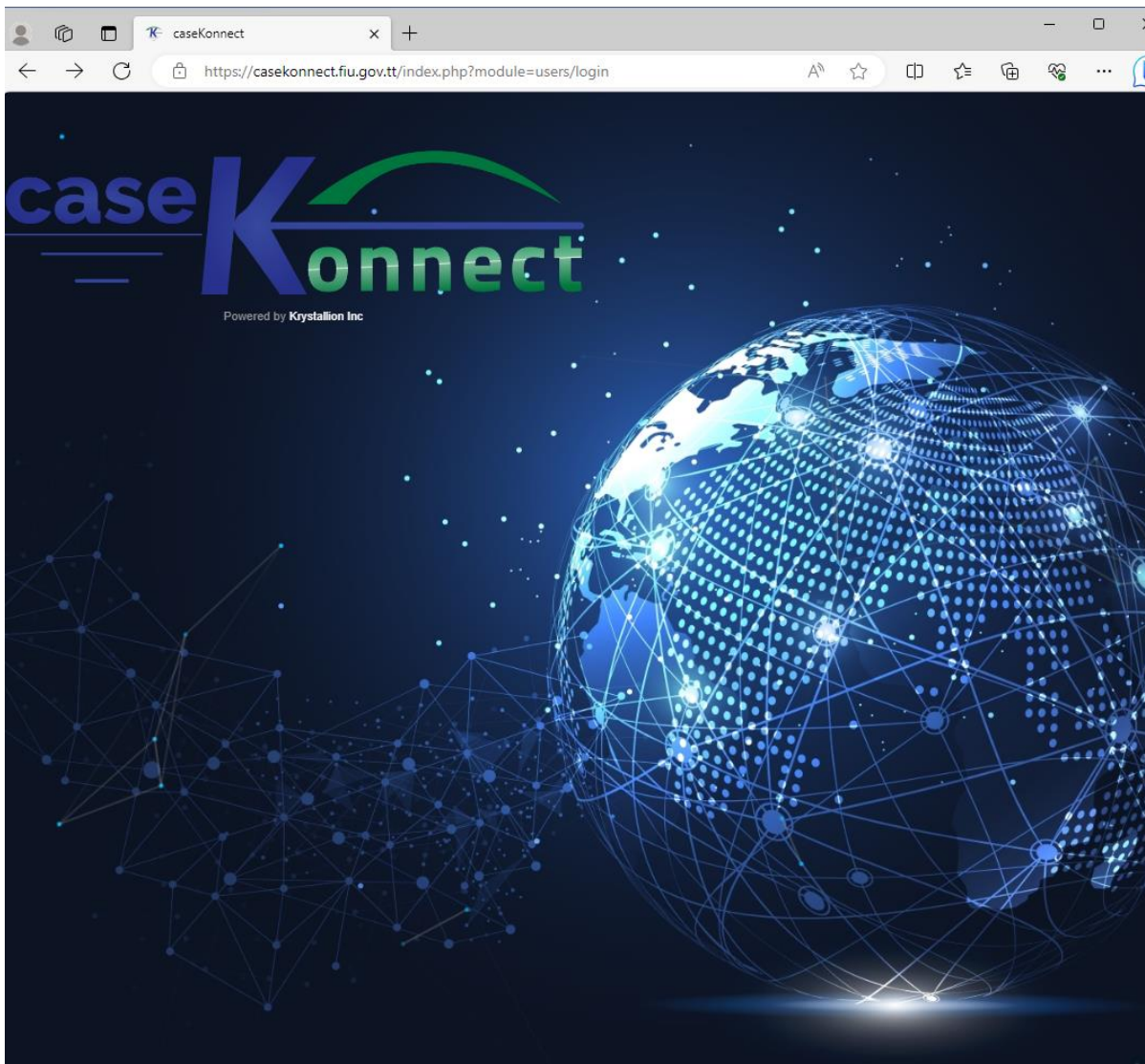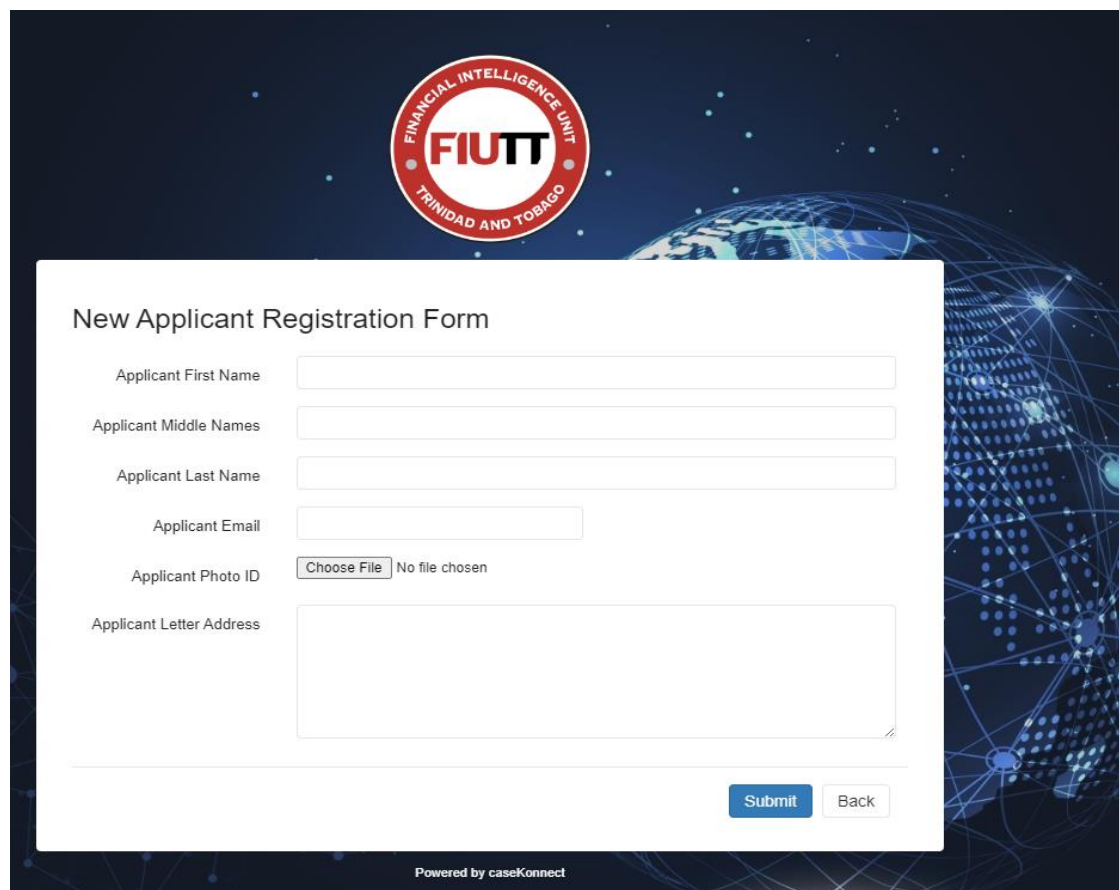
➢ Click anywhere on the screen and the login screen will appear as follows:

➢ Click on the **Click Here to Apply button**

The following form will appear requesting New Application Information:

> ➢ 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 caseKonnect®, proceed to the FIUTT's webpage at https://caseKonnect.fiu.gov.tt/.

This will bring you to the following screen
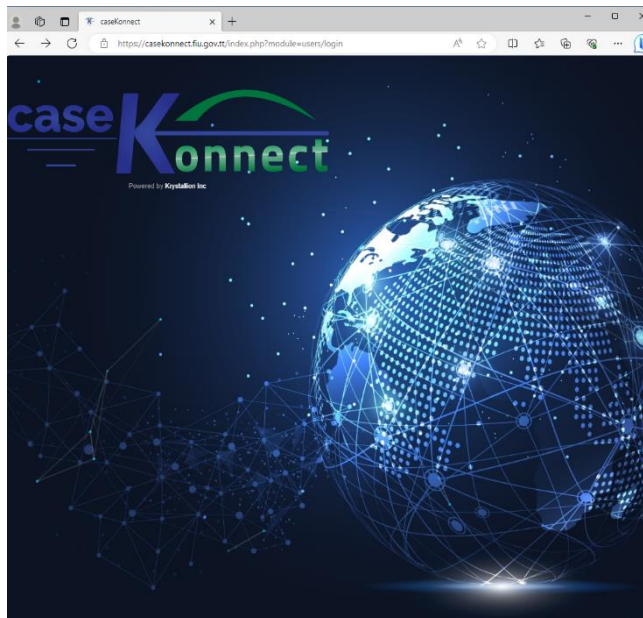
➢ Click anywhere on the screen, then the following login screen will appear as follows:

➢ 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.

Click on the Login button

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

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.
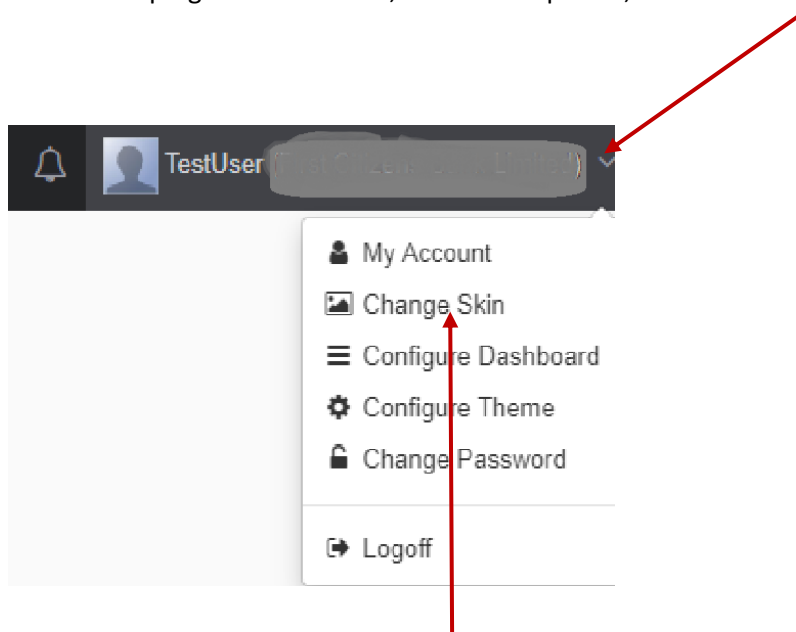
5. DASHBOARD OPTIONS

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

- ➢ Change The Skin
- ➢ Change The Password

5.1 Changing the Skin
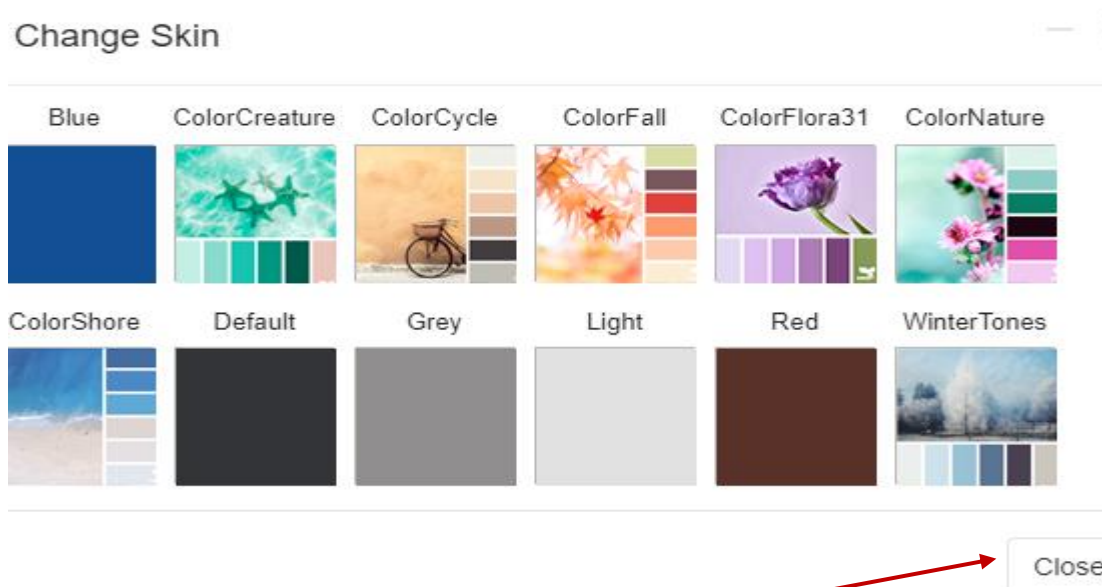
To change the skin, the user should do the following

- ▪ 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**.

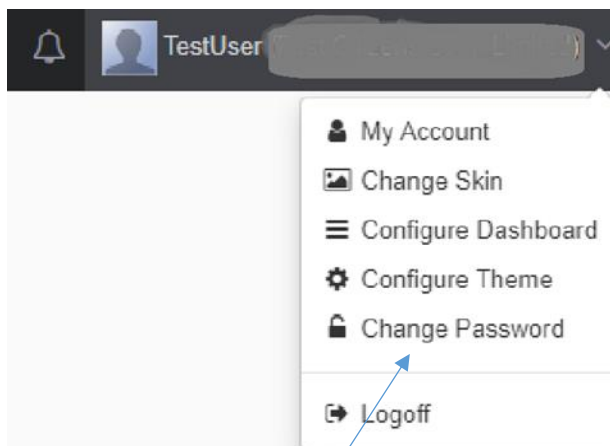- ▪ To change the skin select Change Skin and the following screen will appear

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
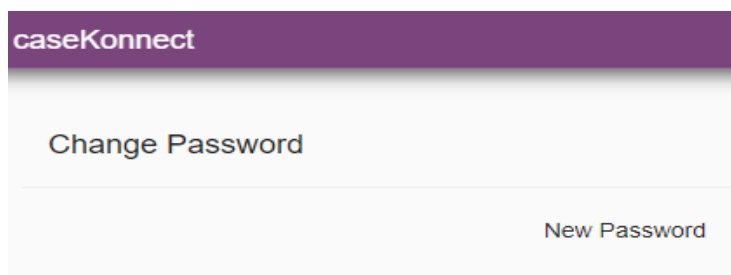
➢ Type in the new Password, as you start to type the password the following messages will appear which indicates that you need to satisfy the criteria outlined for the password to be accepted.
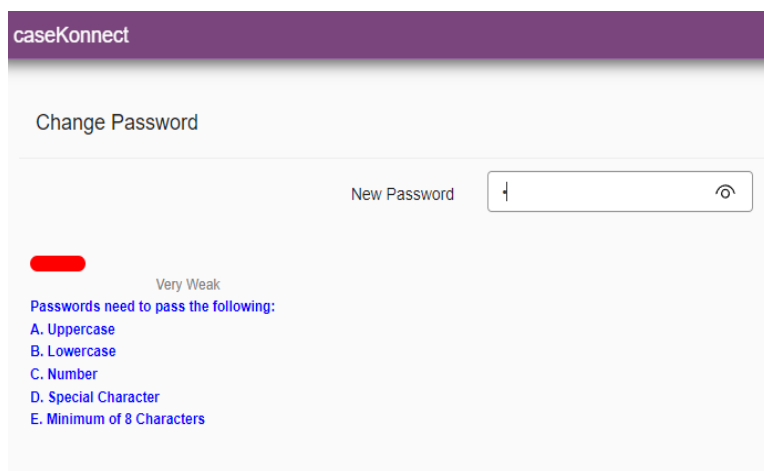
As you start to satisfy the criteria, the strength of the password increases as shown below

> ➤ 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.

> ➤ 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 tranaction 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 caseKonnect® website and click on the following tab:
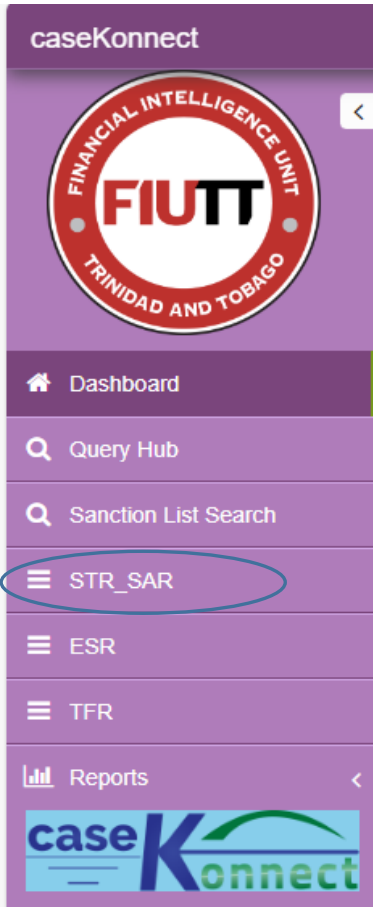
The following screen will open to display any STRs/SARs that you previously submitted. This allows you to view, edit, download or export each case that you may select.

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:
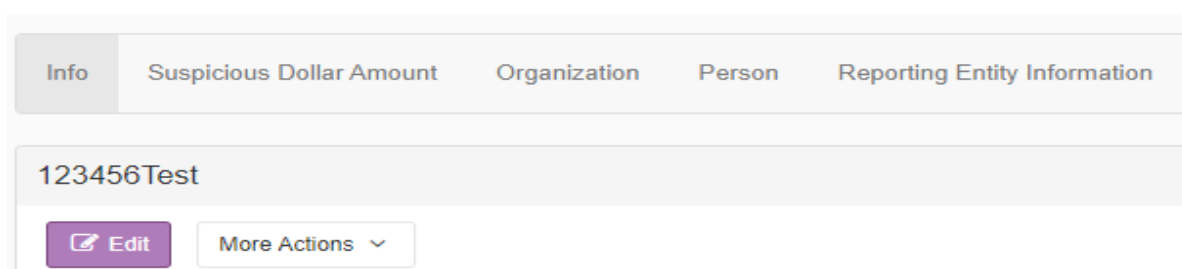
- Organization
  - Account
    - Account History
  - Address
  - Organization
  - Person
  - Telephone
  - Vehicle
- Suspicious Dollar (Mandatory)
- Person
  - Account
    - Account History
  - Address
  - Identification Document
  - MVTS
  - Organization
  - Person
  - Telephone
  - Vehicle
- Reporting 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 submited.

They are:

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

STR/SAR Main Form

Instructions

Type whatever you see on the form in here

* Entity Reference No.

* Report Type — Please select

* Initial Activity — Please select

* Classification — Please select

* Industry Sector — Please select

* Source of Funds

* Report Narrative

* First Name

Middle Name

* Last Name

* Title — Please select

* Phone Number

Enter accepted digit format, for example: (999) 999-9999

* Type of Activity that Initiated Transaction — Select some options

Supporting Documents — Select some options

Supporting Document - Other

State Retained Documents

Details of Suspicious Transaction Activity — Select some options

Virtual Asset - Specify Type

Virtual Asset Service Provider - Specify Type

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.

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.

However, after completing and submiting 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

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.

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 subsidaries/branches, of the 'subject organisation'.

Field	Value
* Name	
Trading Name	
* Nature of Business	Bank/Financial Institution ▾
Registration No	
Company Incorporation No	
Certificate of Incorporation	⬆ Add Attachments
* Business Activity	
Shares	
Website	
Description	
* Date Registered	🗓
New Registration Number	
Company Status	⌄
Country of Incorporation	⌄
Date Continued	🗓
Business Activity	⌄
Bankers	⌄
Folio	
BK No.	

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	[⌄]
Title	[⌄]
* First Name	[ ]
Middle Name or Initial	[ ]
* Last Name	[ ]
Suffix	[⌄]
Nickname	[ ]
* Gender	[Prefer Not to Say ⌄]
* Date of Birth	[📅]
Age	[ ]
Marital Status	[⌄]
Place of Birth	[ ]
Nationality	[⌄]
Citizenship	[⌄]
* Place of Residence	[ ]
Country of Residence	[⌄]
* Occupation	[ ]
* Employer	[ ]
Employment Status	[⌄]
Profession	[ ]
Email Address	[ ]
BIR Number	[ ]

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.

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'.

Field	
Organization Vehicle Relationship	[dropdown]
* VIN Number	[text field]
* Registration number	[text field]
* Date of Registration	[date field]
Year	[date field]
Type	[dropdown]
Make	[dropdown]
Colour	[dropdown]
Vehicle Body Style	[dropdown]
Value	[text field]
Currency	[dropdown]
Description	[text area]
Registered Owner As Per Cert Copy	[text field]
Chassis Number	[text field]
Model	[text field]
Certified Copy Obtained	[checkbox]
As At	[date field]
Restrained	[checkbox]
Date Restrained	[date field]
Discharged	[checkbox]
Date Discharged	[date field]

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.

Field	
Organization Person Relationship	
Title	
* First Name	
Middle Name or Initial	
* Last Name	
Suffix	
Nickname	
* Gender	Prefer Not to Say
* Date of Birth	
Age	
Marital Status	
Place of Birth	
Nationality	
Citizenship	
* Place of Residence	
Country of Residence	
* Occupation	
* Employer	
Employment Status	
Profession	
Email Address	
BIR Number	

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.

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.

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

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.

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 CaseKonnect.

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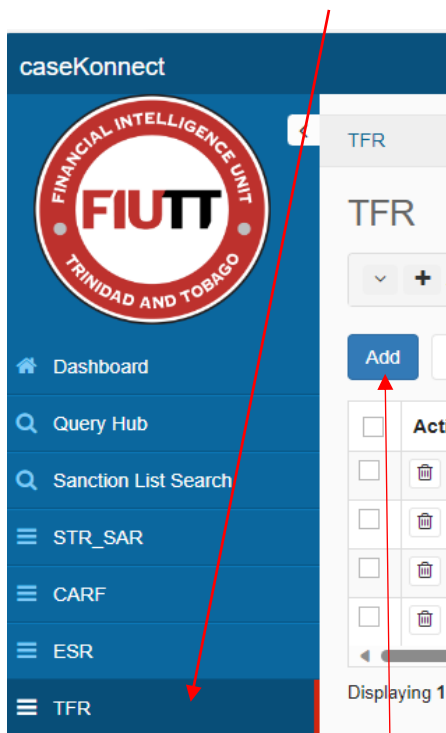
- Select the **blue "Add" button** and that will generate the following form:

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]

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

[**Save**] [Close]

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 ⌄] [⬆]
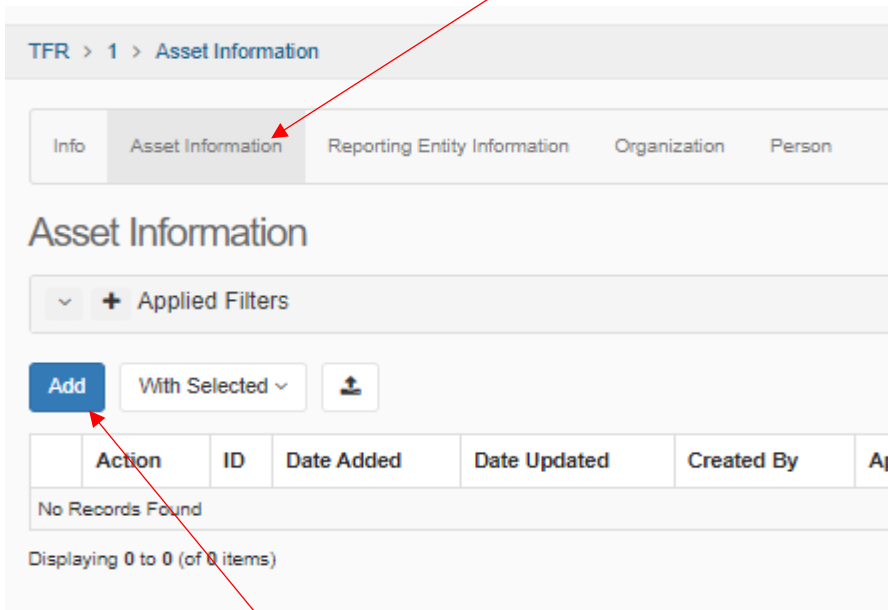
	Action	ID	Date Added	Date Updated	Created By	Applicant Created By	Internal Reference Number
No Records Found							

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

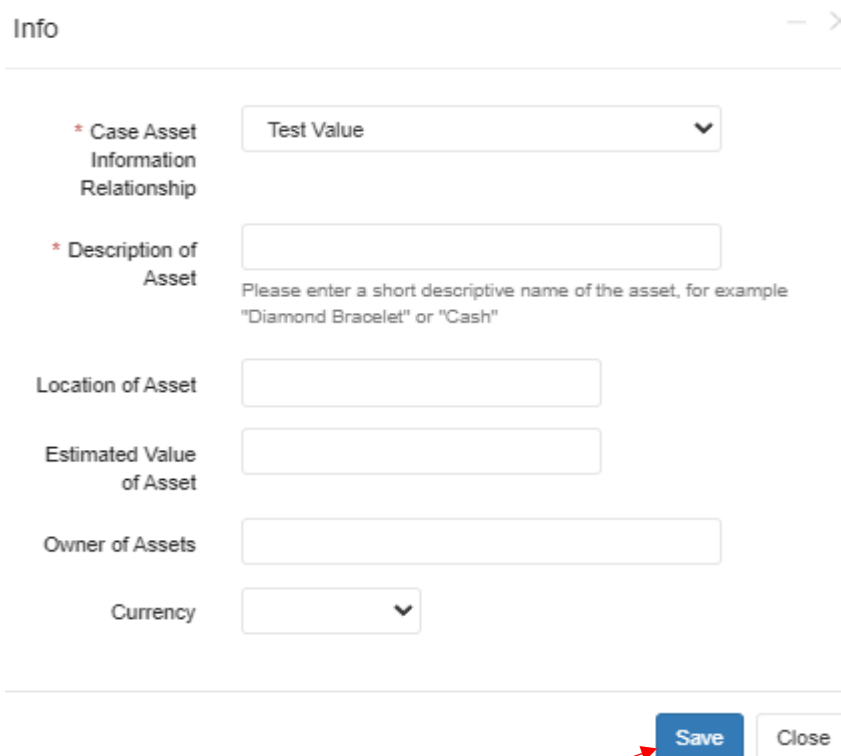- To submit on asset(s), select the **Asset Information tab** as illustrated below

- 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**

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

- 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

7.1.3 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**

7.1.4 Filling out a Person sub entity

To submit on Person(s), select the **Person 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**

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 [i] 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 [i] 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

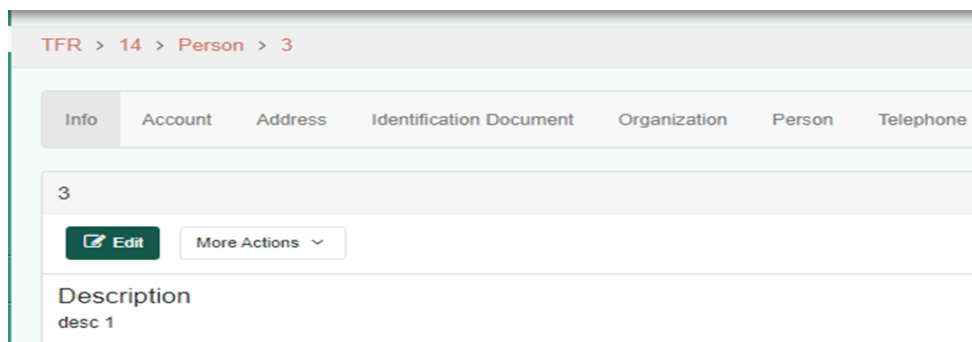Filling a Telephone sub entity for an Organization sub entity under TFR is similar to the filling a Telephone sub entity for an Organization sub entity in STR/SAR therefore please refer to **6.3.5**.

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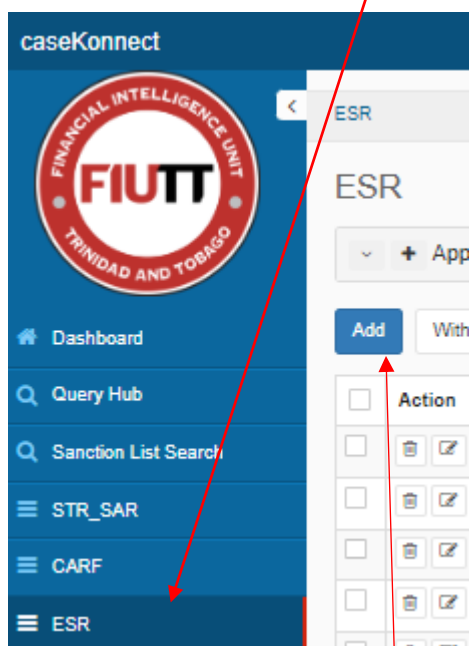
- Select the **blue "Add" button** and that will generate the following form:

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
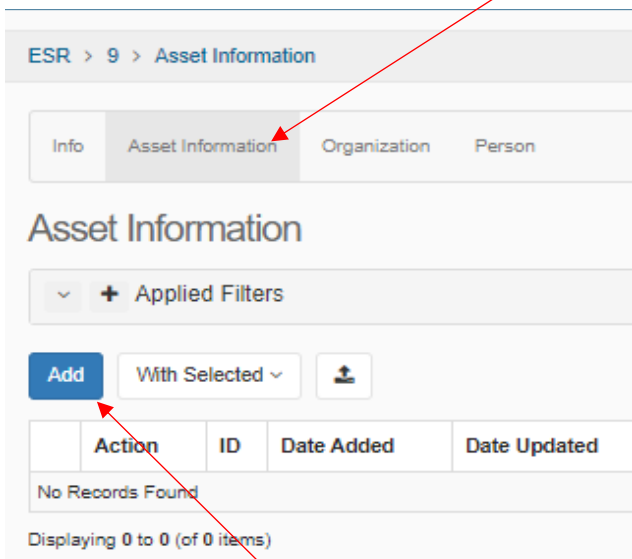
Add   With Selected ⌄   ⬆

	Action	ID	Date Added	Date Upda
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
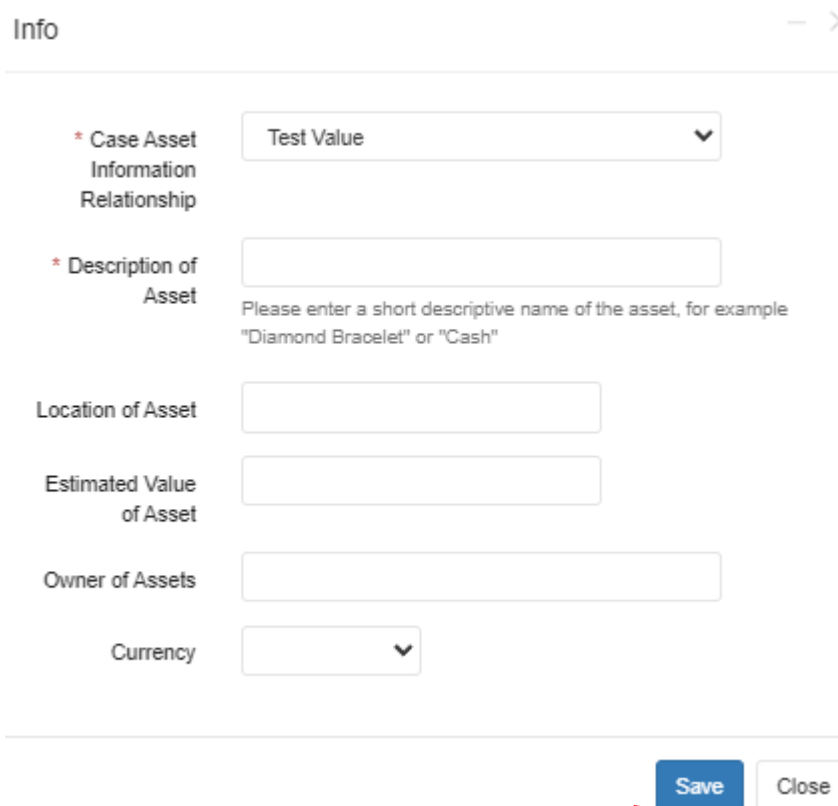
- To submit on organization(s), select the **Organization tab** as illustrated below

- 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

- 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.
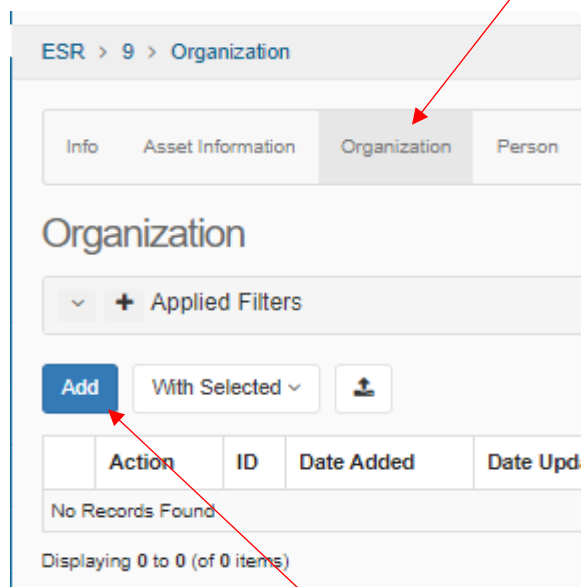
Below is a sample of the form that will appear:

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

8.1.4 Filling out sub entities under Organization and Person
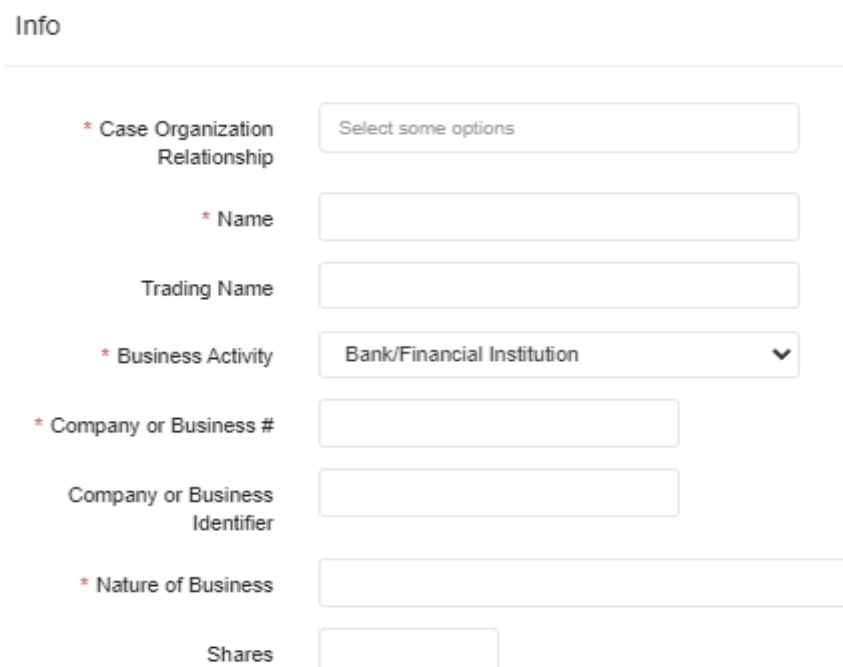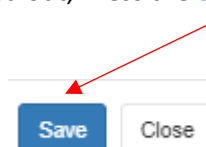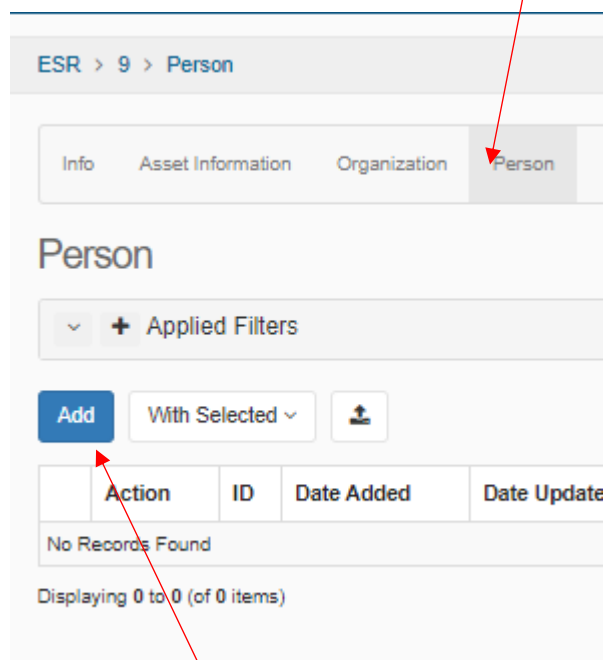
Filing sub entities under an Organization

After completing and submitting the organization sub-entity, the following sub-entities are available for completion when you click the ![i] 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 ![i] 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

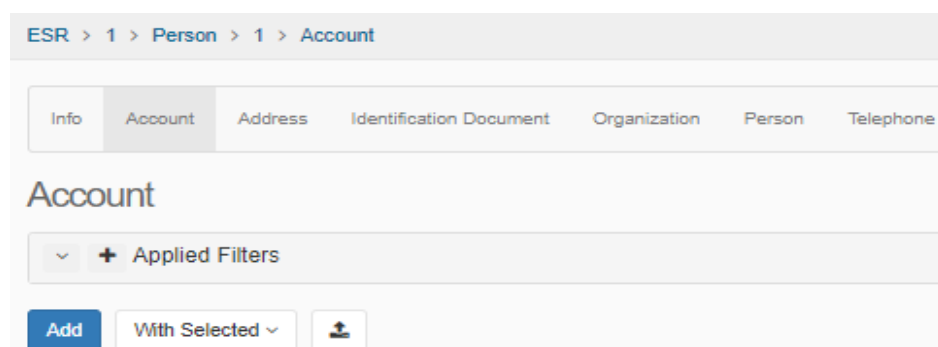Filling an Account sub entity for an Organization/Person sub entity under ESR is similar to the filling an Account sub entity for an Organization sub entity in STR/SAR therefore please refer to **6.3.1**.

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 an 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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