



goAML PROCEDURE MANUAL

REPORTING ENTITIES - TPA REPORTING

OVERVIEW

All reporting entities are required to submit to the designated authority at least once in every four calendar months, or in response to a request made to it by the designated authority a **Listed Entity Report (LER)**. This report is a declaration by the reporting entity that it is either:

- **Not in** possession or control of any property by or on behalf of a listed entity; or
- **It is in** possession or control of such property, in which case it shall also report the number of persons, contracts or accounts involved and the total value of the property.

The reporting periods and deadlines for submission of the LER are as follows:

No.	Four Months Period	Due Date
1	January-April	May 31
2	May-August	September 30
3	September - December	January 31

Additionally, reporting entities are required to report to the designated authority in the form of a Terrorism Prevention Act (TPA) Suspicious Transaction Report (STR), all transactions, whether completed or not, which the entity suspects may be related to a terrorism offence and/ or terrorism financing. The submission of this report (TPA-STR) should be done as soon as is reasonably practicable and in any event within fifteen (15 days) after the suspicion or reasonable cause for suspicion arises.

This manual hereby provides the step-by-step procedures for entering these reports unto the goAML portal.

POSTING TO goAML

Take note of all the fields that have an **asterisk (*)** as this signifies that the fields are **mandatory**. Please note that fields not denoted to be mandatory should be completed once the reporting entity is in possession of the details.

Listed Entities Report – Not in Possession

1. Select **NEW REPORTS > Web Reports**
2. Select the report **TYPE > TPA-Listed Entities Report**.
3. Enter the reporting period in the following format in the **'Reporting Entity Ref#'** field – acronym of the reporting entity-**MMM-MMM-YYYY**. **For e.g. FIU-SEP-DEC-2019**.
4. Enter the **'Reason for Determination'** in the **'Reason'** field. See below:

The screenshot shows the goAML web application interface. The top navigation bar includes 'NEW REPORTS', 'DRAFTED REPORTS', 'SUBMITTED REPORTS', 'MY GOAML', 'STATISTICS', and 'ADMIN'. The user's email '(rae-ann.robinson@fid.gov.jm) Fin' is displayed in the top right. The main form is titled 'Report Type: TPA ID: ---'. It contains several input fields: 'Entity ID' (Financial Intelligence Unit (FIU)), 'Reporting Entity Branch', 'Type*' (TPA- Listed Entities Report), 'Reporting Entity Ref #' (FIU-SEP-DEC-2019), and 'Submission Date*' (23/01/2020). A 'Reason*' field contains the text: 'We have checked all our records of transactions for customers and compare the names with the UN Sanction List during the period January to April 2020 and found no match.' Below this is an 'Action' field. At the bottom, there is a 'Reporting Person' table with the following data:

First Name	Last Name	Birth Date	TRN	Passport Number
Rae-Ann	Robinson	27/11/1983	100000002	

- Select the plus (+) button at **Possible Report Triggers**. Then select **TPA – Not in possession/control of property owned/controlled** and **TPA – Regular Period**.
 - ✓ Select the plus (+) button at **Activity > Report Parties**. In the **Comments** field, enter the reporting period **'LER for the period September to December 2019'**.
 - ✓ Select **Person** for the **Party Type**, and then enter **NIL** in both the **First** and **Last Name** fields; those fields are mandatory and requires an input.

The screenshot shows the 'Possible Report Triggers' section with a plus (+) button. Below it, two triggers are listed: 'TPA - Not in possession of property owned or controlled of property owned (TPA)' and 'TPA - Regular Period', each with a minus (-) button. The 'Report Parties' section also has a plus (+) button. Below it, the 'Report Party' form is visible, showing 'Significance', 'Reason', and 'Comments' (LER for the period September to December 2019). The 'Party Type' is set to 'Person'. Below this, the 'Person' form is visible, showing fields for 'Title', 'Gender', 'First Name*' (NIL), 'Last Name*' (NIL), 'Middle Name', 'Prefix', 'Birth Date', 'Birth Place', 'Mother's Name', and 'Alias'. A 'Use an existing Person' button is also present.

- ✓ Select all Save buttons until you are taken to the first screen that provides a summary of report data input and the options to either **'Submit Report'** or **'Save Report'** or **'Preview'** are available as seen below:

Report Type: TPA ID: 19037-0-0

Entity ID: Financial Intelligence Unit (FIU) Reporting Entity Branch:

Type: TPA- Listed Entities Report Reporting Entity Ref #: FIU-SEP-DEC-2019

Submission Date: 27/03/2020

Reason*
The names of all customers (company & individuals) that conducted transactions over the period have been checked against the current UN Sanctions List and no hits found.

Action

Reporting Person

First Name	Last Name	Birth Date	TRN	Passport Number
Rae-Ann	Robinson	27/11/1983	100000002	

Reporting Entity Location

Possible Report Triggers

Possible Report Trigger	
TPA - Not in possession of property owned or controlled of property owned (TPA)	<input checked="" type="checkbox"/>
TPA- Regular Period	<input checked="" type="checkbox"/>

Activity *

Number of Report Parties	Number of Goods and Services
1	0

Submit Report Save Report Show Attachments x 0 Preview

- ✓ If the reporting person has completed the process and wishes to submit the report, the “submit” option should be selected, otherwise, the report may be “saved” for submission at a later time.

Listed Entities Report – In Possession

1. Select **NEW REPORTS > Web Reports**
2. Select the report **TYPE > TPA-Listed Entities Report.**
3. Enter the reporting period in the following format in the '**Reporting Entity Ref#**' field – acronym of the reporting entity-**MMM-MMM-YYYY. For e.g. FIU-SEP-DEC-2019.**
4. Enter the '**Reason for Determination**' in the '**Reason**' field. See below:

Report Type: TPA ID: ---

Entity ID	Financial Intelligence Unit (FIU)	Reporting Entity Branch	
Type*	TPA- Listed Entities Report	Reporting Entity Ref #	FIU-SEP-DEC-2019
Submission Date*	23/01/2020	-	

Reason*

We have checked all our records of transactions for customers, compare the names with the UN Sanction List during the period January to April 2020, and found a match.

The Listed entity is a person and we have property owned by the listed entity, which is a property and has engaged in transactions involving the property that includes etc.

Action

A freeze and monitoring alert has been placed and the supporting documents for the transactions summarized above are attached.

Reporting Person

First Name	Last Name	Birth Date	TRN	Passport Number
Rae-Ann	Robinson	27/11/1983	100000002	

N.B. If a Suspicious Transaction Report TPA has been previously submitted to the FID on the same subject, this prior report should be referenced in the “**action**” section of the “**In Possession TPA**” currently being submitted.

LISTED ENTITY & STR (TPA) goAML REPORT SUBMISSION – PROCEDURE MANUAL

5. Select the plus (+) button at **Possible Report Triggers**. Then select **TPA – In possession of property owned or controlled of property owned** and **TPA – Regular Period**.
 - ✓ Select the plus (+) button at **Activity > Report Parties**. In the **Comments** field, enter the reporting period **'LER for the period September to December 2019'**.
 - ✓ Select the appropriate **'Party Type'** noting that more than one **'Party Type'** can be added to the report by selecting the **plus (+) button** after saving each detail. **ALL** details in the possession of the **Reporting Entity** should be provided in the fields available. Additionally, each **'Party Type'** has a comment section for the insertion of any other essential details that could not be captured in the available fields. See below, the fields available for each **'Party Type'**:

Select **PERSON** – if entity is an individual.

Select **ENTITY** – if entity is a **group, trust, partnership** or fund or an incorporated association or organization.

Select **ACCOUNT** – if property type is an account.

LISTED ENTITY & STR (TPA) goAML REPORT SUBMISSION – PROCEDURE MANUAL

Note the following:

- ❖ If the **Listed Entity** is a **Person(s)** and the **Property Type** held is an **Account** then both **Person** and **Account** **MUST** be selected for the **Report Parties**.
- ❖ If the **Listed Entity** is an **Entity** and the **Property Type** held is an **Account** then both **Entity** and **Account** **MUST** be selected for the **Report Parties**.
- ❖ If the **Listed Entity** is a **Person(s)** or an **Entity** and an **Agent** is used to represent either, the **Agent** information **MUST** be captured as a **Related Party** in addition to the **Person** or **Entity** being reported, with '**Person**' being selected as the '**Party Type**' and his/ her role stated in the '**Comments**' field.
- ❖ If the **Listed Entity** is an **Entity**, ensure that in the **Principals** section **ALL** partners or directors and shareholders with **10% or more shareholdings** are entered in the report.
- ❖ Given that the **Reporting Entity** is in possession of an asset for the '**Party Type**' then the **Goods and Service** section **MUST** be completed with all the details that are in the possession of the **Reporting Entity**. See below for the **Goods and Service** screen.

Reporting Entity Location +

Possible Report Triggers +

Possible Report Trigger	
TPA- In possession of property owned or controlled of property owned (TPA)	X
TPA- Regular Period	X

Activity * +

Activity

Report Parties * +

Goods and Services +

Transaction Item

Item Type*	Property	Item Make	
Description*	Art Bonds, stocks, or other securities Cash/ cash equivalent	Previously Registered To	
Presently Registered To	Chemicals Collectibles Consumer goods (electronics, furniture, etc.)	Estimated Value	
Status Code	Equipment Furniture	Disposed Value	
Currency Code	Industrial equipment Intellectual property rights	Size	
Size UOM	Jewellery Marine vessels Property	Registration Date	
Registration Number	Purchase into company Real estate Safety Deposit Box	Indentification Number	
Comments	Services Vehicle Weapon		
Street Address +			
Status Comments	<input type="text"/>		

Save Cancel

Save Cancel

For consistency, the following 'Item Type' MUST be completed as follows:

Item Type	Fields	Information Required:
Vehicle	Item Make	Brand name
	Description	Year, Model, Colour & Vehicle/Body Type
	Registration Number	Licence Plate No.
	Identification Number	Chassis number for motor vehicle or unique identifier marked on the vehicle
Real Estate	Item Make	Indicate whether the property is Residential/ Commercial/ Industrial/ Land
	Description	Indicate whether for: 1. Residential - Townhouse, 2 storey, single dwelling etc. 2. Commercial - Shopping Centre/ Mall, medical, hotel etc. 3. Industrial – manufacturing, warehouse etc. 4. Land – vacant land, working farms etc.
	Registration Number	Volume & Folio Number
	Identification Number	Valuation Number

For the other fields, once the reporting entity is in possession of the information, it is encouraged that the fields be completed. These fields are:

1. Previously Registered To – previous owner(s) name(s)
2. Presently Registered To – current owner(s) names(s)
3. Estimated Value - valuation report estimated price or market price knowledge
4. Status Code – active, dormant, transferred, deferred etc.
5. Disposed Value – valuation report market value
6. Currency Code - the currency of the quoted values, e.g. JMD, USD, GBP etc.
7. Size – engine size, property size or measurement of the asset
8. Size Unit of Measure (UOM) - the unit of measure used i.e. sq. meter, sq. feet, cubic meters etc.
9. Registration Date – date the asset was registered and/ or date of transfer of ownership
10. Comments – free text field for any other valuable statement
11. Street Address – address asset is maintained or held
12. Status Comments – free text field for any other valuable statement as it relates to the status of the asset(s)

VEHICLE:

Goods and Services +

Transaction Item

Item Type*	Vehicle	Item Make	Toyota
Description*	2017, Corolla, Silver, Sedan Motor Car	Previously Registered To	Mary Poppins
Presently Registered To	Tom Jones	Estimated Value	2500000.00
Status Code	Bought	Disposed Value	
Currency Code	Jamaican Dollar	Size	
Size UOM		Registration Date	06/11/2019
Registration Number	0011 CM	Identification Number	11211KHM98RR
Comments			

Street Address +

Status Comments

Save Cancel

REAL ESTATE:

Goods and Services +

Transaction Item

Item Type*	Real estate	Item Make	Residential
Description*	Single dwelling	Previously Registered To	Mary Poppins
Presently Registered To	Tom Jones	Estimated Value	15000000
Status Code	Bought	Disposed Value	
Currency Code	Jamaican Dollar	Size	1159
Size UOM	Square Metres	Registration Date	06/11/2019
Registration Number	VOL 2356 FOL 46	Identification Number	111445589
Comments			

Street Address +

Address Use an existing Address

Type*	Residential	Address*	11 Tom Drive
Town	Vineyard Manor	City*	Kingston 10
Zip		Country*	JAMAICA
State/Parish*	St. Andrew	Comments	

Save Cancel

Status Comments

Save Cancel

Report Type: TPA ID: ---

Entity ID: Financial Intelligence Unit (FIU) Reporting Entity Branch:

Type*: TPA- Listed Entities Report Reporting Entity Ref #:

Submission Date*: 11/02/2020

Reason*

We have checked all our records of transactions for customers, compare the names with the UN Sanction List during the period January to April 2020, and found a match. The Listed Entity is a person, we are in possession of a property owned by the listed entity, and several transactions have been conducted etc.

Action

A freeze and monitoring alert has been placed and the supporting documents for the transaction summarized above are attached.

Reporting Person

First Name	Last Name	Birth Date	TRN	Passport Number
Rae-Ann	Robinson	27/11/1983	10000002	

Reporting Entity Location +

Possible Report Triggers +

Possible Report Trigger	
TPA- In possession of property owned or controlled of property owned (TPA)	<input checked="" type="checkbox"/>
TPA- Regular Period	<input checked="" type="checkbox"/>

Activity *

Number of Report Parties	Number of Goods and Services	
1	1	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>

Activity

Report Parties * +

Person / Account / Entity	Name	Identification	Date	
Person	Tom Wheeler	TRN:111111111	DoB:08/01/1976	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>

Goods and Services +

Item Type	Description	Estimated Value	Currency	
Vehicle	Carrier Vehicle	9000000	JMD	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>

Save Cancel

- Select all Save buttons until you are taken to the first screen that provides a summary of report data input and the options to either 'Submit Report' or 'Save Report' or 'Preview' are available as seen below:

LISTED ENTITY & STR (TPA) goAML REPORT SUBMISSION – PROCEDURE MANUAL

Report Type: TPA ID: ---

Entity ID: Financial Intelligence Unit (FIU) Reporting Entity Branch:

Type*: TPA- Listed Entities Report Reporting Entity Ref #:

Submission Date*: 11/02/2020 -

Reason*

We have checked all our records of transactions for customers, compare the names with the UN Sanction List during the period January to April 2020, and found a match. The Listed Entity is a person, we are in possession of a property owned by the listed entity, and several transactions have been conducted etc.

Action

A freeze and monitoring alert has been placed and the supporting documents for the transaction summarized above are attached.

Reporting Person 

First Name	Last Name	Birth Date	TRN	Passport Number
Rae-Ann	Robinson	27/11/1983	100000002	

Reporting Entity Location 

Possible Report Triggers 

Possible Report Trigger	
TPA- In possession of property owned or controlled of property owned (TPA)	
TPA- Regular Period	

First Name	Last Name	Birth Date	TRN	Passport Number
Rae-Ann	Robinson	27/11/1983	100000002	

Reporting Entity Location 

Possible Report Triggers 

Activity *

Number of Report Parties	Number of Goods and Services	
1	1	 

Submit Report Save Report Preview

- ✓ If the reporting person has completed the process and wishes to submit the report, the “**submit**” option should be selected, otherwise, the report may be “**saved**” for submission at a later time.

TPA – Suspicious Transaction Report

1. Select **NEW REPORTS > Web Reports**
2. Select the report **TYPE > TPA – Suspicious Transactions Report**.
3. In the '**Reporting Entity Ref#**' field – the following format can be followed: acronym of the reporting entity-date of submission in the format DDMMYYYY-sequential number. **For e.g. FIU-31JAN2019-001**.
4. Enter the reason for believing that the transaction is suspicious in the '**Reason**' field. See below:

Report Type: TPA2 ID: 18982-0-0

Entity ID	Financial Intelligence Unit (FIU)	Reporting Entity Branch	
Type*	TPA- Suspicious Transactions Report	Reporting Entity Ref #	
Submission Date*	24/01/2020		
Reason*	Reason for reporting activity as TPA Suspicious.		

Action

A freeze and monitoring alert has been placed and the supporting documents for the transactions summarized above are attached.

Reporting Person					
First Name	Last Name	Birth Date	TRN	Passport Number	
Rae-Ann	Robinson	27/11/1983	100000002		

Select the plus (+) button at Possible Report Triggers. Then select, **TER – Terrorism/Terrorist/Financing** and any other related triggers. Please note the **TER – Terrorism/Terrorist/Financing** option **must** be selected once filing a **TPA - Suspicious Transactions Report**.

5. Select the plus (+) at **Transactions**
 - ✓ All fields marked by an asterisk (*) are mandatory and should be entered. These include:
 - **Transaction #** - If the entity does not have one generated internally, the gears option to the right of the field should be selected in order for a number to be generated automatically.
 - **Transaction Type**
 - **Transaction Date**
 - **Location/Branch**
6. In the **From Type**, either the **My Client** or **Not My Client** should be selected accordingly. The plus (+) at the **From My Client** should then be selected.

Transaction

Transaction #*  Reporting Entity Transaction #

Transaction Type* Comment If Other

Local Amount (JMD)* Transaction Date*

Late/Night Deposit? Yes No

Teller Authorized By

Location/Branch*

Source of Funds

Comments

From Type My Client Not My Client

From My Client * 

To Type My Client Not My Client

Goods and Services 

From Party

Funds Type* Comment If Other

Country*

Transaction Currency *

Currency Code	Amount	Exchange Rate	
JMD	1800000	1	 

Agent 

Party Type: Person Account Entity

Person My Client * 

7. Either **Person**, **Account** or **Entity** option should be selected and all the mandatory fields completed. Please be reminded that once the reporting entity is in possession of any information in relation to the reported transaction, it should be provided in the relevant field of the portal.
8. In the **To Type** either the **My Client** or **Not My Client** should be selected accordingly. The plus (+) at the **To My Client** should then be selected.

LISTED ENTITY & STR (TPA) goAML REPORT SUBMISSION – PROCEDURE MANUAL

9. Either **Person**, **Account** or **Entity** option should be selected and all the mandatory fields completed. Please be reminded that once the reporting entity is in possession of any information in relation to the reported transaction, it should be provided in the relevant field of the portal.
10. Select all Save buttons until you are taken to the first screen that provides a summary of report data input and the options to either **Submit Report** or **Save Report** or **Preview** are available as seen below:

Report Type: TPA2 ID: 18982-0-0

Entity ID Financial Intelligence Unit (FIU) **Reporting Entity Branch**

Type* TPA- Suspicious Transactions Report **Reporting Entity Ref #**

Submission Date* 24/01/2020 -

Reason*
Reason for reporting activity as TPA Suspicious.

Action
A freeze and monitoring alert has been placed and the supporting documents for the transactions summarized above are attached.

Reporting Person

First Name	Last Name	Birth Date	TRN	Passport Number
Nicolai	Green	29/09/1987	000000000	

Reporting Entity Location +

Possible Report Triggers +

Possible Report Trigger
Terrorism/terrorist financing

Transactions * +

#	Transaction #	Transaction Date	Local Amount (JMD)	Transaction Type	Status
1	TRN-W-20200124-00002	08/01/2020	18000000	Courier	Complete

Submit Report Save Report Preview

- ✓ Ensure that in the **'Transactions'** summary section the **'Status'** states **'Complete'** before proceeding to select **'Submit Report'**.
- ✓ If the reporting person has completed the process and wishes to submit the report, the **"submit"** option should be selected, otherwise, the report may be **"saved"** for submission at a later time.

APPENDIX

Note the following proposed '**Rejection Rules**' will be added to the existing '**Rejection Rules**' in order to aid in validating the proper completion of the reports (legislated by the Terrorism Prevention Act (TPA), 2005 and amended 2011, 2013 and 2019.)

Additional Rejection Rules:**1.0 A Reason** is required for the following **Report Types**:

- TPA – Listed Entities (Declaration)
- TPA – Suspicious Transaction Reports
- TPA – Suspicious Activity Reports

2.0 A Report Trigger is required for the following **Report Types**:

- TPA – Listed Entities (Declaration)
- TPA – Suspicious Transaction Reports
- TPA – Suspicious Activity Reports

3.0 One of these **Report Triggers** must be selected for the **Report Type**: TPA- Listed Entities Report

- TPA –Not in possession of property owned or controlled of property owned
- TPA – In possession of property owned or controlled or controlled of property owned

4.0 These **Report Triggers** cannot be selected together

- TPA –Not in possession of property owned or controlled of property owned
- TPA – In possession of property owned or controlled or controlled of property owned

5.0 One of these **Report Triggers** must be selected for **TPA-Listed Entities Report**

- TPA – Initial Report (*this should be selected if it's the first report being submitted due to your company recently being licensed to operate as reporting entity*).
- TPA – Special Report (*this should be selected once the submission of the report is based on a special request from the Designated Authority*)
- TPA – Regular Report (*this should be selected all the time if the report is NOT an Initial or Special Report defined above*)

6.0 The reporting period must be entered in the **Reporting Entity Ref#** using the format :

- Acronym-MMM-MMM-YYYY