

Australian Government

AUSTRAC

# AUSTRAC Online user guide

2022



# Contents

#### Contents1

| 1.   | Introduction  | 3  |
|--|---|--|
| 1.1.   | What is AUSTRAC Online?   | 3  |
| 2.   | Help  | 4  |
| 2.1.<br>2.2.<br>2.3.   | The help icon 🕡<br>Who can help me with AUSTRAC Online?<br>What if I need translator or interpreter assistance?   | 4  |
| 3.   | How to log in to AUSTRAC Online   | 5  |
| 3.1.<br>3.2.   | Forgotten user ID or password<br>Businesses new to AUSTRAC  |  |
| 4.   | Enrolling or registering a reporting entity   | 7  |
| 4.1.<br>4.2.<br>4.3.<br>4.4.   | Should you enrol or register?<br>What happens after I submit my enrolment form?<br>Post-enrolment<br>How do I update my enrolment information through my AUSTRAC Online account?  | 7<br>7   |
| 5.   | Tips for navigating through AUSTRAC Forms   | 9  |
| 5.1.<br>5.2.<br>5.3.   | Navigating through AUSTRAC Online<br>Buttons<br>Scroll bars   |  |
| 5.4.<br>5.5.<br>5.6.<br>5.7.   | Switch page arrows<br>Radio buttons<br>Tick boxes<br>Text fields  |  |
| 5.8.   | Drop-down menus   |  |
| 6.   | Exception errors  |  |
| 7.   | Features of AUSTRAC Online  |  |
| 7.1.<br>7.2.<br>7.3.<br>7.4.<br>7.5.<br>7.6.   | Quick links<br>How to switch between businesses<br>If you are using Internet Explorer 8 or higher<br>How to update your personal details and change your password?<br>How to exit or log off from AUSTRAC Online<br>Menu options  |  |
| 8.   | 'My Business' menu options  | 15   |
| 8.1.<br>8.2.<br>8.3.<br>8.4.<br>8.5.<br>8.6.<br>8.7.<br>8.8.<br>8.9.<br>8.10.<br>8.11.<br>8.12.<br>8.13. | How to view your business Regulatory Profile?<br>'Contacts and Users'.<br>How to view, update or add your business' branch/retail outlet details.<br>How to add or update your business's agent details.<br>How to enrol or register another business with AUSTRAC<br>How to search the event log?.<br>How to create or become a member of a designated business group (DBG).<br>The AML/CTF compliance report.<br>How to create a new AML/CTF compliance report?<br>How to complete an AML/CTF compliance report?.<br>How to lodge an AML/CTF compliance report?<br>How to view a previous AML/CTF compliance report?<br>DBG compliance reports. | 16<br>23<br>24<br>25<br>25<br>26<br>33<br>34<br>34<br>36<br>40<br>43 |
| 9.   | 'My Affiliates' menu options  | 45   |
| 9.1.<br>9.2.<br>9.3.<br>9.4.<br>9.5.<br>9.6.<br>9.7.   | Create new application for affiliate<br>Remittance Network Provider – Renewals for affiliates<br>Using the Renewals screen<br>Using the Table to select renewable affiliate registrations<br>My Affiliates – 3-6-month renewal projection<br>Using the 3-6-month renewal projection screen<br>Using the affiliate renewal projection table to complete a maintenance task   | 46<br>46<br>48<br>50<br>51   |

| 10.            | 'Transaction Reporting' menu options                         |    |  |  |
|----------------|--|----|--|--|
| 10.1.<br>10.2. | Administration   |    |  |  |
| 10.2.          | Reporting methods<br>Reports Requiring Further Action (RRFA) |    |  |  |
| 10.4.          | Other useful features of transaction reporting               |    |  |  |
| 11.            | Role and function access maintenance                         | 82 |  |  |
| 11.1.          | Defining and maintaining local roles with role maintenance   |    |  |  |
| 11.2.          | Defining function access for user accounts and local roles   |    |  |  |
| 12.            | 'Remittance Sector Register' menu options                    | 89 |  |  |
| My Re          | egistrations   |    |  |  |
| 12.1.          | Search the Remittance Sector Register                        |    |  |  |
| 12.2.          | Download the complete register                               |    |  |  |
| 13.            | DCE Registrations  | 93 |  |  |
| My Di          | igital Currency Registrations                                |    |  |  |
| Append         | dix A: User types and default access levels                  | 95 |  |  |
| User           | types  |    |  |  |
|                | ult access levels  |    |  |  |
| Append         | dix B: User access function identifiers                      |    |  |  |
| Funct          | tion identifiers   |    |  |  |
| Funct          | tion access levels   |    |  |  |
| Append         | dix C: Registration Status Explanation                       |    |  |  |
|                |  |    |  |  |

#### Glossary 102

# 1. Introduction

# 1.1. What is AUSTRAC Online?

AUSTRAC Online is a web-based system that assists businesses to meet their obligations under the <u>Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act)</u> or <u>Financial</u> <u>Transaction Reports Act 1988 (FTR Act)</u>.

AUSTRAC Online allows businesses to:

- submit transaction reports
- enable businesses to view and maintain their own information with AUSTRAC
- submit AML/CTF compliance reports

# 2. Help

### 2.1. The help icon 0

This icon appears throughout AUSTRAC Online offering help and hints to assist you.

Click on the icon to view the help text. The text will open in a new pop-up window. To close the help window, click on the X which appears at the top right-hand side of the pop-up window.

### 2.2. Who can help me with AUSTRAC Online?

This guide should answer most questions. The AUSTRAC Contact Centre can assist you with further information about AUSTRAC Online, or help regarding your obligations under the AML/CTF Act or FTR Act.

The AUSTRAC Contact Centre can be contacted on:

- Ph: (local call within Australia) 1300 021 037
- **Ph**: (international) +61 2 9950 0055
- Email: contact@austrac.gov.au

#### National Relay Service (within Australia)

TTY or computer with modem users phone 133 677 and ask for 1300 021 037.

Speak and listen (speech to speech relay) users phone 1300 555 727 and ask for 1300 021 037.

### 2.3. What if I need translator or interpreter assistance?

AUSTRAC's business language is English, but translator or interpreter assistance is available.

Please call the translation and interpretation service (TIS) on 131 450 and ask for the AUSTRAC Contact Centre on 1300 021 037.

# 3. How to log in to AUSTRAC Online

Navigate to AUSTRAC Online .

If your business has an existing AUSTRAC Online business account, type your user ID and password into the required fields in the login zone (as shown below) and click **Login**.

If you have not signed up with AUSTRAC Online yet, you can do so using the **New businesses sign up** button. This will navigate you to the <u>Enrol or register with AUSTRAC</u> page on the AUSTRAC website where you can download the AUSTRAC Business Profile Form (ABPF form).

| Australian Government<br>Australian Transaction Reports<br>and Analysis Centre   | AUSTRAC Online  |
|--|---|
| Existing user User/Email address john.smith@bigbank1.com   |   |
| Password   | New businesses  |
| Login<br>Forgot your password? Terms of Use  | sign up<br>Who needs to sign up?  |
| Forgot your password? Terms of Use<br>If you require assistance, please contact the AUSTRA<br>Ph (within Australia): 1300 021 037 -<br>If you need a translator in order to speak to AUSTRAC,<br>131 450 and ask them to call<br>For more information about AUSTRA | C Contact Centre on email: <u>contact@austrac.gov</u><br>Ph (international): +61 2 9950 0055<br>please call the Translating and Interpreting Serv<br>AUSTRAC on 1300 021 037. |

**Note:** If your user ID is associated with more than one business, you will be prompted to select the business account that you wish to view or work on within AUSTRAC Online.

# 3.1. Forgotten user ID or password

If you have forgotten your user ID, please contact your AUSTRAC Online Administrator.

Tip: Your user ID is usually your email address.

Alternatively, if you have forgotten your password, go to the AUSTRAC login zone and click the 'Forgot your password?' link. You will be prompted to enter your user ID (this could be your email address) then click **Submit**. This will reset your password and an email will be sent to your email address containing a system-generated temporary password.

| * | Australian Government<br>Australian Transaction Re<br>and Austysis Contre | parti  | AUSTRAC Online |
|---|---|--|----------------|
|   |   | Reset Password   |                |
|   |   | To reset your password, please provide your user ID.<br>A new randomly generated, temporary password will be emailed to you. |                |
|   |   | Your user ID (this could be your email address)  |                |
|   |   | Subwet   |                |
|   |   |  |                |
|   |   |  |                |
|   |   |  |                |

Use this password along with your user ID to log in to AUSTRAC Online.

Once you have logged in, you will be prompted to enter a password of your choice.

Any passwords and user IDs which you use in AUSTRAC Online must be kept private and not disclosed to anyone. This is a security measure to protect you and your business.

**Note:** If you still can't access your account contact the **AUSTRAC Contact Centre** on 1300 021 037 or <u>contact@austrac.gov.au</u> for assistance.

### 3.2. Businesses new to AUSTRAC

If your business has not previously reported to AUSTRAC you can create an account so that you can submit transaction reports electronically. You can do this by downloading and completing an Australian Business Profile Form (ABPF form) from the <u>enrol or register with AUSTRAC</u> page of the AUSTRAC website.

For more information, see <u>section 4</u> below.

# I received an error message when I completed my enrolment using the AUSTRAC website. What does this mean?

It is most likely because you already have an AUSTRAC Online account.

# 4. Enrolling or registering a reporting entity

# 4.1. Should you enrol or register?

If your business provides a designated service<sup>1</sup> it is a reporting entity and must enrol with the Australian Transaction Reports and Analysis Centre (AUSTRAC).

If your business provides remittance or digital currency exchange services, you must provide further information to AUSTRAC which will be used to both enrol and register your business. Businesses that provide remittance services will be registered on the Remittance Sector Register (RSR), which is a publicly available register. Businesses that provide digital currency exchange services will be registered on the Digital Currency Exchange Register (DCER).

To enrol or register you complete and submit an AUSTRAC Business Profile Form (ABPF). The form and a guide to filling out the form is available on the <u>enrol or register</u> page.

**Note:** If your business is a motor vehicle dealer or solicitor, you are not required to enrol under the *Financial Transaction Reports Act 1988* (The FTR Act). Nonetheless you do need to create an AUSTRAC Online business account to enable you to submit reports online by completing and submitting the ABPF. See the *motor vehicle and solicitor ABPF guide* available on the <u>enrol or register</u> page.

# 4.2. What happens after I submit my enrolment form?

On submitting the AUSTRAC Business Profile Form (ABPF) a **Submission Confirmation** page will be presented.

This page will provide you with an ABPF submission receipt number and the option to either download a copy of the receipt or email it to a nominated email address. It is recommended that you record the ABPF submission receipt number for future reference with AUSTRAC if needed.

**Note:** The receipt that is issued to you when you submit your form is only to confirm that AUSTRAC has received your form and is not confirmation that you are enrolled.

AUSTRAC will notify you by email that you have successfully enrolled or registered (as applicable). You will also receive a unique AUSTRAC Account Number (AAN) that identifies the created AUSTRAC Online business account for you to refer to in future correspondence with AUSTRAC.

# 4.3. Post-enrolment

You need to notify AUSTRAC of any changes to your enrolment details within 14 days of the change arising.

<sup>&</sup>lt;sup>1</sup> You are only required to enrol or register with AUSTRAC if you provide designated services. You can check whether you offer any of these services in table 1 of section 6 of the <u>AML/CTF Act</u>

# 4.4. How do I update my enrolment information through my AUSTRAC Online account?

To do this:

- Log into <u>AUSTRAC Online</u> and click on **My Business** do not click on the + button next to this option.
- Click the **Download the business profile form (ATRC1002)** button. This form has been prepopulated with information that you have already provided to us. You should review this information and update it if it is no longer current.
- Complete your form or save it to your computer to return to at a later time to complete.
- Once the form is complete, click the 'Submit' button. The information you enter in the form will be sent securely to AUSTRAC.
- Click the 'Go to Submission Confirmation Page' button to save and print or email a copy of your completed form for your records.

#### Do I have to complete my enrolment in one session?

No. You can save the form to your computer and return to it at a later time. Please Note: you can only submit forms once. After your changes have been submitted, should you need to make any more changes you will need to download another form.

#### I no longer provide any designated services, what do I do?

If you no longer provide designated services or no longer operate as a motor vehicle dealer or solicitor, you should submit an RE Roll removal request.

To do this:

- Log into <u>AUSTRAC Online</u>
- Click on My Business
- Click on the **Reporting Entity Roll removal request form (ATRC1004)** link
- Review the Business Information, Complete the removal request form and declaration and submit.

# 5. Tips for navigating through AUSTRAC Forms

# 5.1. Navigating through AUSTRAC Online

Using the mouse or the 'Tab' key on your keyboard will allow you to move through the question and answer fields on the AUSTRAC Online pages and navigate through the system.

You can save any information you have entered by clicking on the **Submit** or **Save** button (where applicable) located at the bottom of the relevant page.

You can go back to previous pages at any time by clicking on the web browser's **Back** button to review your answers and/or change any of the information provided.

If AUSTRAC Online is required to alter the form you are completing according to the answers you have given, a spinning icon will appear while those changes are being processed.

Questions are answered in different ways including radio buttons, tick boxes, text fields and selection from drop-down menus.

### 5.2. Buttons

There are various buttons used throughout AUSTRAC Online which allow you to navigate through the system and to manage the information you enter. Refer to the list below for a description of some of the commonly used buttons and the functions associated with them.

#### **'PDF Output' button**

Where you see this **PDF Output** button, you are able to produce a PDF document relating to saved business profile information.

PDF Output

#### 'Save' button

Clicking the Save button allows you to save any information entered.

Save

#### **'Submit'** button

Clicking the **Submit** button will submit information to be processed or updated.

Submit

When a user doesn't have full submission access, such as users with Data Entry access, there is an alternative submission button labelled **Submit for Approval**. In this situation, the information is queued for another user within your business who has full submission access to review and/or alter the information prior to submitting it to AUSTRAC.

#### 'Validate' button

Clicking the **Validate** button allows you to verify that the format, content and context of information entered meets various requirements and expectations prior to submitting the information to AUSTRAC.

Validate

### 5.3. Scroll bars

Scroll bars are used on many pages in AUSTRAC Online. They are located on the right-hand side of the page and allow the user to move the page up and down.

### 5.4. Switch page arrows

Clicking on the arrows will switch the page and allow you to search through numerous pages of information.



### 5.5. Radio buttons

Radio buttons allow only one choice from a list. An example is:

- o quarterly
- O bi-annually
- annually
- ad-hoc
- o other

### 5.6. Tick boxes

Tick boxes allow multiple choices from a list. An example is:

- □ name of payer
- □ if applicable, payer's full business or residential address
- □ if applicable, identification number given to payer by the ordering institution

record kept of electronic fund transfer instruction for seven years after the transaction was completed

tracing information

# 5.7. Text fields

Text fields allow free formatting and variable length of entry. An example is:



# 5.8. Drop-down menus

Drop-down menus allow only one choice from a list. An example is:

| Please select one | • |
|-------------------|---|
| Please select one |   |
| 18-24             | _ |
| 25-30             |   |
| 30-34             |   |
| 35-39             |   |
| 40-44             |   |
| 45-49             |   |
| 50-55             | - |

# 6. Exception errors

The screen as shown below is an example of an exception error.

An exception error may occur while using the system for a number of reasons.

| Asstralian Generation<br>Accuration Tremaction Reports<br>and Analysis Contre |   | AUSTRAC Or  |
|---|---|---|
| Tos   | Return to the <u>losin ness</u> Netry the AUSTRAC help Desk e     Ph (within Australia):     Ph (wither Australia):     TTY access (within Australia     National Relay Service         - TTY/voice:         - speak & listen (SSR): Email: | 1300 021 037<br>+61 2 9950 0027   |
| We  | apologise for any inconvenienc  | <ul> <li>a) © Commonwealth of Australia AUSTRAC 2008</li> <li>Editorment   Dacidanter   Contact Us</li> </ul> |

If an exception error occurs while using AUSTRAC Online, please click the 'Send now' hyperlink. This will send a notification to our IT department detailing the error that has occurred.

You will still need to contact the AUSTRAC Contact Centre on 1300 021 037 or <u>contact@austrac.gov.au</u> if you require further assistance using AUSTRAC Online.

# 7. Features of AUSTRAC Online

All of the details you provide can be amended at any time using the AUSTRAC Business Profile Form (ABPF) through AUSTRAC Online.

# 7.1. Quick links

Within your AUSTRAC Online business environment, the quick links or commonly used links are located under the AUSTRAC Online banner on the right-hand side of the screen. The quick links displayed vary based on your user access level settings and whether your user account is associated with more than one business. Possible visible quick links are shown below:



### 7.2. How to switch between businesses

If your user ID is associated with more than one business account in AUSTRAC Online, you can use the 'Switch Business' quick link to change from one business account to another without having to log off and log back on.

By selecting the 'Switch Business' link, you will be presented with a menu of the businesses associated with your user ID.

If your computer has Internet Explorer 8 or higher installed you may be required to perform an additional step to make your system compatible with this switch business function.

### 7.3. If you are using Internet Explorer 8 or higher

If you are using Internet Explorer 8 or higher, you may need to make your internet browser compatible to AUSTRAC Online. You can do this by following the below steps.

- 1. Click the 'Tools' icon located at the top right of your browser.
- 2. Select the 'Compatibility View' option.

|   | New Window                   | Ctrl=N |  |
|---|------------------------------|--------|--|
| * | Cut                          | Ctrl+X |  |
| - | Сору                         | Ctrl+C |  |
| ۵ | Paste                        | Ctrl+V |  |
|   | All Accelerators             |        |  |
|   | Save As                      |        |  |
|   | Send Page by E-mail          |        |  |
|   | Send Link by E-mail          |        |  |
| 1 | Edit with Microsoft Office W | lord   |  |
| 8 | Compatibility View           |        |  |
|   | Compatibility View Settings  |        |  |

Alternatively, you may have a Compatibility View icon within your internet browser's address bar. Compatibility View is enabled when the icon is coloured blue; the icon's status can be changed by simply clicking on the icon.



Once this is done, the browser will refresh, immediately rectifying all related usability issues with AUSTRAC Online.

# 7.4. How to update your personal details and change your password?

To change your contact details or password, click the 'My Details' link.

Your details will be displayed with the options 'Update my Details' and 'Change my Password' available at the top of the screen. By selecting these options, you will be able to make changes to your details.

When you have completed your changes click **Update**. If you do not want to make changes, click **Cancel**.

# 7.5. How to exit or log off from AUSTRAC Online

To exit or log off from AUSTRAC Online, use the 'Log Off' link on the top right-hand side of the screen. This link will log you out of your user account and business environment within AUSTRAC Online and will return you to the AUSTRAC Online login zone.

# 7.6. Menu options

The AUSTRAC Online menus are located on the left-hand side of the screen. The menus displayed may vary, based on your user access level settings and some of the designated services provided by your business. The menu options are:

- 'My Business'<sup>2</sup> refer to <u>section 8</u> for details
- 'Transaction Reporting'<sup>3</sup> refer to <u>section 13</u> below for details
- Remittance Sector Register
- 'My Affiliates' (Displayed to Remittance Network Providers only)

Click on the  $\blacksquare$  to expand the menu options.

<sup>&</sup>lt;sup>2</sup> Available to AUSTRAC Online Administrators only

<sup>&</sup>lt;sup>3</sup> Available to all users where their business has transaction reporting obligations under either the AML/CTF Act or FTR Act

# 8. 'My Business' menu options

The 'My Business' menu option is only available to users with Administrator level user access. This section allows you to view and update your business details held with AUSTRAC and lodge AML/CTF

compliance reports. Click on the 🖿 to expand the My Business menu to view and access the sub-menu items.

Click on the actual words "My Business" to access the My Business screen, to view designated service information and update the business' enrolment details, see screen example below.

The designated service categories for which you are enrolled or registered are coloured green. Where a remittance or digital currency exchange registration is in the 90-day renewal period this changes to an orange colour. All other designated services (those for which you are neither enrolled nor registered) are coloured grey.

The orange colour for renewable registrations includes when the registration of an affiliate is due for renewal.

As an affiliate, you cannot renew your own registration and this is clearly indicated on the My Registrations screen – the name of the Remittance Network Provider responsible for renewing the affiliate registration and its expiry date are displayed.

To renew your Independent and / or Remittance Network Provider registration please refer to <u>Section 15</u>. To renew Affiliate registrations, please refer to <u>Section 12</u>. To renew your digital currency exchange registration, please refer to <u>Section 16</u>.

|   |   |  |                                       | Home   St  | witch Business   My Details   Log Off |
|---|---|--|---------------------------------------|--|---------------------------------------|
| My Business Regulatory Profile  | My Business   |  |                                       |  |                                       |
| Contacts and Users Contacts and Users Contacts and Users Compliance Reports Compliance R | To view or update your business' information,<br>DOWNLOAD<br>the business profile form (ATRC1002)<br>Business profile form evplanatory.guide  | You are on AUSTRAC'S Reporting<br>To be removed from the Reporting Entity<br>provide designated services, download t<br>(ATRC1004) | ies Roll because you have ceased to   |  |                                       |
| Transaction Reporting Administration Reports  | Business Details AUSTRAC account number (AAN): Legal name: Business structure: Company  |  |                                       |  |                                       |
| Remittance Sector Register     My Registrations     Search     Download complete register     (CSV)   | Dubliness SubLute: Company<br>Industry type: Fund Manager<br>Postal address:<br>Registered office address:<br>Primary contact:<br>M/L/CTF compliance officer: AMANDA WOOD   | phone: 0435 964 002 fax: email:<br>phone: 0435 964 002 fax: email:   | _                                     |  |                                       |
| AUSTRAC Online user guide<br>AUSTRAC Online user guide  | Designated services Financial services  Account and deposit taking services  Financing products   | Electronic funds transfers     Issuing chequebooks or debit cards  | Bullion services  Buy or sell bullion | Gambling services           Ø         Betting services           Ø         Betting services           Ø         Betting accounts | Registrations                         |
|   | O subcate original     Second Se | foreign exchange <u>0 subcategories</u> +  |                                       | <ul> <li>Games of chance or skill<br/>(excluding gaming<br/>machines and lotteries)</li> </ul>                                   | service provider                      |
|   | S Issuing money or postal orders  | Financial instruments<br><u>2 subcategories</u> +  |                                       | <ul> <li>Exchanging gaming chips,<br/>tokens or currency</li> </ul>  |                                       |
|   | Insurance and superannuation services<br><u>0 subcategories. +</u>  | Custodial and depository services<br><u>0 subcategories.</u> -   |                                       | Gaming machines  |                                       |
|   | Preparing pay-rolls   | Financial advisory services  |                                       |  |                                       |
|   |   |  |                                       |  |                                       |

There are several Designated Services that have subcategories and you can view these by clicking on the hyperlink within the cell. The individual subcategories are also colour coded to clearly indicate which services you provide (green) and which you do not (grey), as per the extract below. Click on the link a second time to close the subcategory list.

| Designated  | Designated services   |   |   |                     |  |  |  |
|-------------|---|---|---|---------------------|--|--|--|
| Financial s | services  |   |   | Bullion services    | Gambling services  | Registrations  |  |
| ©           | Account and deposit taking services   | Ø | Electronic funds transfers  | Buy or sell bullion | Betting services   |  |  |
| 8           | Financing products<br><u>0 subcategories</u> →<br>◎ Making loans                                  | 8 | Issuing chequebooks or debit cards  |                     | Betting accounts   | <ul> <li>Digital Currency Exchange<br/>service provider</li> </ul> |  |
| 0           | Guaranteeing loans  | 8 | Foreign exchange<br><u>0 subcategories</u> <del>-</del>   |                     | <ul> <li>Games of chance or skill<br/>(excluding gaming<br/>machines and lotteries)</li> </ul> |  |  |
| ۲           | <ul> <li>Factoring receivables</li> <li>Forfaiting bills of<br/>exchange or promissory</li> </ul> | Θ | Financial instruments<br><u>2 subcategories</u> +<br>O Issuing bills of exchange,   |                     | <ul> <li>Exchanging gaming chips,<br/>tokens or currency</li> </ul>                            |  |  |
| 0           | notes · · · · · · · · · · · · · · · · · · ·   | 8 | promissory notes or<br>letters of credit<br>Ø Dealing in securities,<br>derivatives or foreign  |                     | Gaming machines  |  |  |
| 0           |   | 8 | exchange contracts           Issuing or selling           Securities or derivatives           Dealing in bills of<br>exchange, promissory |                     |  |  |  |

By expanding (click the +) the 'My Business' menu and then clicking any of the items listed in the submenu you will be able to view, add and edit details. The sub-menu options are:

#### **My Business**

- Regulatory Profile
- Contacts and Users
- Branches
- Agents
- Designated Business Group
- Compliance Reports
- Add a New Business
- Search Event Log

Step-by-step instructions on how to access and change details are below.

### 8.1. How to view your business Regulatory Profile?

To view your business' regulatory profile, click on the 'Regulatory Profile' item in the 'My Business' menu.

The 'Regulatory Profile' presents details of your business' reporting obligations under the AML/CTF Act and/or FTR Act. These details are derived from your business' details, designated services provided by your business and the legislation.

# 8.2. 'Contacts and Users'

You can create, edit or deactivate users associated with your business by selecting the 'Contacts and Users' option from the 'My Business' menu.

|   |   |  |                      |                                 | Logged in as 100131315_adv | nin, [100131527] KASE CHEESLES (T/A PLATTER) 1/ | 4 Mar 2018 14:39:14 |
|---|---|--|----------------------|---------------------------------|----------------------------|---|---------------------|
| Australian Government<br>Australian Transaction Repo  | nts   |  |                      |                                 |                            | AUSTRAC (                                       | Online              |
|   |   |  |                      |                                 |                            | Home   Switch Business   My                     | Details   Log Off   |
| My Business     Areputatory Profile     Contacts and Users     Banches     Aparets     Designated Dusiness Orcup     Compliance Reports     Add a new Business     Search Event Log | Contacts and Users<br>Local a new person<br>The primary contact is Mrs Joanna Oltizm (change)<br>No primary contact for UTI Report Verifications has been<br>No primary contact for UTI Report Verifications has been | set for TEST ORGANISATION - DO NOT CO  | PY (T/A BUSINESS NAM | E). (Mrs Joanna Citizen)        | n)                         |   |                     |
| Transaction Reporting   | No primary contact for Threshold Report Verifications has   | been set for TEST ORGANISATION - DO NO | OT COPY (T/A BUSINES | S NAME) - (Mrs Joanna Citizen)  |                            |   |                     |
| Remittance Sector Register  | Enrolment Contacts The AML/CTF Compliance Officer is Mrs Joanna Citizen   |  |                      |                                 |                            |   |                     |
| 8) AUSTRAC Online user guide 8 AUSTRAC Online user guide  | If pulds The contact for Industry Contribution Matters is Mr John Doe   |  |                      |                                 |                            |   |                     |
|   | Show deactivated people # Refresh list  |  |                      |                                 |                            |   |                     |
|   | Name +  | Business Role +                        | Contact Role         | AUSTRAC Online<br>Access Role • | Phone                      | Date Added +                                    | Actions             |
|   | Mrs Joanna Cilizen [Primary]  |  |                      |                                 | 0449 123456739 (Tel)       | 09 Mar 2018                                     |                     |
|   | Mr John Doe   |  |                      | Administrator                   | 0449 123456789 (Tel)       | 08 Mar 2018                                     | Reset password      |
|   |   |  |                      |                                 |                            |   |                     |

**Note:** Certain business roles such as the AML/CTF Compliance Officer, the Industry Contribution contact officer and the Primary Contact person can only be maintained via the form (Update AUSTRAC Business Profile Form), available as a link through the AUSTRAC Online account on the 'contacts and Users' page.

#### Create a new person (a contact)

Click the 'Add a New Person' hyperlink at the top of the 'Contacts and Users' screen.

Complete all 'General Details' fields and check the relevant 'Contact Role' check box/s, then click Next.

You will then be prompted to 'Confirm New Person Details'. If the details listed on the confirmation page are correct, click **Confirm**. If the details entered are not correct click **Prev** to amend.

| ISON Details<br>JANE CITIZEN<br>COMPLIANCE OFFICER<br>Compliance Officer |  |
|--|--|
| JANE CITIZEN<br>COMPLIANCE OFFICER<br>Compliance Officer                 |  |
| COMPLIANCE OFFICER.<br>Compliance Officer                                |  |
| COMPLIANCE OFFICER.<br>Compliance Officer                                |  |
| Compliance Officer   |  |
| Compliance Officer   |  |
|  |  |
|  |  |
|  |  |
| Janecij) abcbank.com.au  |  |
| (Tel) 123456789  |  |
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| 1.10HN ST  |  |
| SYDNEY   |  |
| New South Itales<br>2000   |  |
| AUSTRALIA.   |  |
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|  |  |
| Compliance/Legal Hatters   |  |
| Confirm  |  |
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Once you click **Confirm** the details will be updated instantly creating the contact person. You may then create a user account for the contact person by clicking **Add a User Account**. Alternatively, if the new

contact does not require user access to the AUSTRAC Online business account click **Finish** as shown below.

**Note:** You have the ability to add a user account to an existing contact at any time.

|  | Home i Hy Details i Log.Off   |
|--|---|
| Wy Business     Reputary Profile     Contacts and Users     Backetes     Apente     Conjusce Reports     Add a new Eveness     Search Event Log      Transaction Reporting      Remitance Sector Register     AddSTRAC Online user guide     AddSTRAC Chiline user guide | New Person Added<br>JANE CITIZEN has been added and linked to BULLION INC.<br>You may finish now, or if you would like this person to have access to AUSTRAC Online then continue on to setup a user account for this person.<br>Finish Add a user accounts |

#### How to 'Add a User Account'

First you will need to create a new person (i.e. a contact) as described in section 8.

Once this has been completed, click the **Add a User Account** button. Complete the 'User ID' field (this should be the person's email address) then select an 'Access Role' from the drop down menu and click **Next**.

|  |                                       |  |                         | Home   Hy Details   Log Off |
|--|---------------------------------------|--|-------------------------|-----------------------------|
| My Business     Regulatory Profile     Contacts and Users        | User Account                          |  |                         |                             |
| E Branches<br>E Agenty   | User account details for 34NE CITIZEN |  |                         |                             |
| Cesignated Business Group<br>Compliance Reports                  | User ID<br>Access Roles               | jc@abcbank.com.au                                      | Minimum of 6 characters |                             |
| <ul> <li>Add a new Business</li> <li>Search Event Log</li> </ul> | AUSTRAC Online access role            | - Please select - R                                    |                         |                             |
| E Transaction Reporting  | Cancel Next                           | Administrator<br>Approval and Submission<br>Data Entry |                         |                             |
| Rentillance Sector Register                                      |                                       |  |                         |                             |
| AUSTRAC Online user guide  |                                       |  |                         |                             |
| AUSTRAC Online user guide  |                                       |  |                         |                             |
|  |                                       |  |                         |                             |
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|  |                                       |  |                         |                             |

Verify the information on the 'Confirm New User Access Details' page and click **Confirm** if correct. If the details entered are not correct click **Prev** to amend.

|   |  |                      | Home   Hy Delaits   Log Off |
|---|--|----------------------|-----------------------------|
| E My Business   | Confirm New User Access D                    | etails               |                             |
| <ul> <li>Contacts and Users</li> <li>Branchest</li> </ul>                                     | User ID:                                     | joBabdank.com.au     |                             |
| (b) Agents  | Emeil:                                       | Janec@ebcbank.com.au |                             |
| Designated Business Droup     Compliance Reports     Add a new Desirents     Search Event Log | Access Bales:<br>AUSTRAC Online Access Fale: | Administrator        |                             |
| (E) Transaction Reporting   |  |                      |                             |
| Remitance Sector Register   |  |                      |                             |
| AUSTRAC Online user gude  |  |                      |                             |
| AUSTRAC Online user guide   |  |                      |                             |
|   |  |                      |                             |

The new user will receive a system-generated email confirming the creation of their new AUSTRAC Online user account. They will also receive an email containing a temporary password. The system will prompt the new user to select their own password when they log in for the first time.

**Note:** If your user ID has Administrator level user access to more than one business account in AUSTRAC Online, you can link the user to them as well. Refer to <u>Add business links</u> below.

#### Edit an existing user profile

Navigate to the 'Contacts and Users' screen and a list of contacts and users will be displayed to you.

If you have more than 15 users associated with your business, you may be required to conduct a search for the user (if you search without any entries in the search criteria, all users will be displayed).

|  |  |  |  |                                 |                           | er   Hy Details             |         |
|--|--|--|--|---------------------------------|---------------------------|-----------------------------|---------|
| By Business                                      | Contacts and Use   | rs   |  |                                 |                           |                             |         |
| Conflacts and Users     Examples     Agents      | 👗 ASLA DER DESSE   |  |  |                                 |                           |                             |         |
| Designated Busiversi Group<br>Compliance Reports | The primary contact is   | 20HB COE Column  | 0  |                                 |                           |                             |         |
| Add a res Basmese                                | The AHL/CTF Complian   | nce Officer is 2019  | DOE (change)   |                                 |                           |                             |         |
| E Search Erent Log                               | No primary contact for   | Compliance/Legal   | Matters has been set for BULLION INC. (change)   |                                 |                           |                             |         |
| E Transaction Reporting                          | No primary contact for   | IFTI Report Verific  | ations has been set for BULLION INC. (change)  |                                 |                           |                             |         |
| <ul> <li>Intersection suppring</li> </ul>        | the second sectors for   | Supplices Matters  | Report Verifications has been set for BULLION INC. (change)  |                                 |                           |                             |         |
|  | teo primary contact for  | to primary contact for Threshold Report Verifications has been set for BULLION DVC. (chance)               |  |                                 |                           |                             |         |
| Remiliance Sector Register                       |  |  |  |                                 |                           |                             |         |
| E Remittance Sector Register                     | No primary contact for   | Threshold Report   |  |                                 |                           |                             |         |
| Ramiliance Sector Ragister                       | No primary contact for<br>The primary contact fo   | Threshold Report V<br>or Cost Recovery Ma  | verifications has been set for BULLION INC. (chance)   |                                 |                           |                             |         |
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| AUSTRAC Online user guide                        | No primary contact for<br>The primary contact for<br>People linked to 000                                    | Threshold Report V<br>or Cost Recovery Ha<br>LION INC  | verifications has been set for BULLION DVC. (change)<br>etters is <u>contributed</u> (change)                                | AUSTRAC Online<br>Access Role # | Place                     | Date Added a                | Actions |
| AUSTRAC Online user guide                        | the primary centact for<br>The primary contact for<br>People linked to OUT<br>I from deaction and o          | Threshold Report V<br>or Cost Recovery Ha<br>AJON INC<br>scale Ø Refresh In                                | verifications has been set for BULLION DVC. ( <u>change</u> )<br>etters is <u>JOHN DOC (change</u> )                         |                                 | Phone<br>1234581198 (Tel) | Date Added a<br>05 Jan 2015 | Actions |
| AUSTRAC Online user guide                        | No primary contact for<br>The primary contact for<br>People linked to BUI<br>of these deschated of<br>Name a | Threshold Report V<br>or Cost Recovery Ha<br>Allow INC<br>Cost B Ednah In<br>Dasiness Role a<br>Compliance | verifications has been set for BULLION DVC. ( <u>change</u> )<br>etters is <u>confit DCC (change</u> )<br>if<br>Contact Rate | Access Role #                   |                           |                             | Easel   |

Select from the list the contact or user you wish to edit by clicking their name and their 'Person Details' will be displayed on the next screen.

|  |  |  | Home   My Details   Log Off |
|--|--|--|-----------------------------|
| My Busines My Busines Paguatary Inside Contexts and Durns Damaches | Person Details   | at modified: 65 Jan 2015<br>Janii CTITZIN  |                             |
| (K) Transaction Reporting  | Birth date:<br>Job title:  | COMPLIANCE OFFICER   |                             |
| Remittance Sector Register   | Business role:<br>Department:  | Compliance Officer   |                             |
| AUSTRAC Online user pulde     AUSTRAC Online user pulde  | Email:<br>Contact Number:<br>Paer<br>Alternative:<br>Business Address: | Janes (Piblicherk.com.ax<br>(Ter) 123456799<br>3 Schett ST<br>Ströker<br>New South Wales<br>2000 |                             |
|  | Postal Address:  | australia  |                             |
|  | Contact Roles  |  |                             |
|  | Contact for:   | Compliance/Legal Matters   |                             |
|  | Access Details (for BU   | LION ENC)  |                             |
|  | teast.answed   | Suspect user access  |                             |
|  | User ID:<br>AUSTRAC Online access                                      | joBebcbank.com.au<br>ole: Administrator  |                             |
|  | Close  |  |                             |

To edit these details click the 'Edit Person Details' hyperlink. You may change the details as required and then click **Update**. The profile will be updated immediately.

#### Add business links

Select the contact or user from the list that you wish to edit by clicking on their name and their 'Person Details' will be displayed on the next screen. To link the user to another business, click the 'Add Business Links' hyperlink, you will then be presented with a list of available businesses.

**Note:** You may only grant a contact/user access to an AUSTRAC Online business account for which you have Administrator level user access yourself.

| Person Detail     | s                                      |               |                          |               |
|-------------------|--|---------------|--------------------------|---------------|
| Constitute        |  |               |                          |               |
| Edit person (     | fetala                                 |               |                          |               |
|                   |  |               |                          |               |
| General Details   |  |               |                          |               |
| Created: 21 Jul 2 | 009 Last modified: 21 Jul 2009         |               |                          |               |
| Name:             | JANE CITIZEN                           |               |                          |               |
| Birth date:       | 05 Jul 1965                            |               |                          |               |
| lob title:        | COMPLIANCE OFFICER                     |               |                          |               |
| Susiness role:    | Compliance Officer                     |               |                          |               |
| Department:       | Compliance                             |               |                          |               |
| Email:            | Jog Bluecredit.com                     |               |                          |               |
| Telephone:        | 854965896                              |               |                          |               |
| Гані              |  |               |                          |               |
| Mobile:           |  |               |                          |               |
| Alternative:      |  |               |                          |               |
| Address:          | 1 LUCK ST<br>NSW<br>2000<br>AUSTRALIA  |               |                          |               |
| Contect for:      | Compliance/Legal Natters               |               |                          |               |
| AUSTRAC Onlin     | e Access Details                       |               |                          |               |
| ant cannot        | and Suspend AUSTRAC Online user access |               |                          |               |
| User ID:          | JC@BLUECREDIT.COM                      |               |                          |               |
| Access role:      | Administrator (for GREEN CREDIT UNION) |               |                          |               |
| Linked Dusinesse  |  |               |                          |               |
|                   | inia 🛞 Remove Suameas inia             |               |                          |               |
| -                 | Business Name                          | Business Role | Contact Bole             | Access Role   |
| -                 | NION                                   |               | Compliance/Legal Matters | Administrator |

Select the business you wish to add by using the cursor to highlight the name from the 'Businesses Available to Link' list and click **Add**. Alternatively, you can click **Add All** to select all available businesses. Once the name of the new business is in the 'Links to Add' list, click **Next**.

|                                      | Home   Switch.Business   Hy.Details   )   | -   |
|--------------------------------------|---|-----|
| d Business Links                     |   |     |
| may choose to link JANE CITIZEN to a | y of he businesses for which you have Administrator access, as listed below. Once linked they will appear in the persons list for I | the |
| ed businesses.                       |   |     |
| sinesses Available to Link           | Links to Add  |     |
| ELLOW CREDIT UNION                   | BLUE CREDIT UNION   |     |
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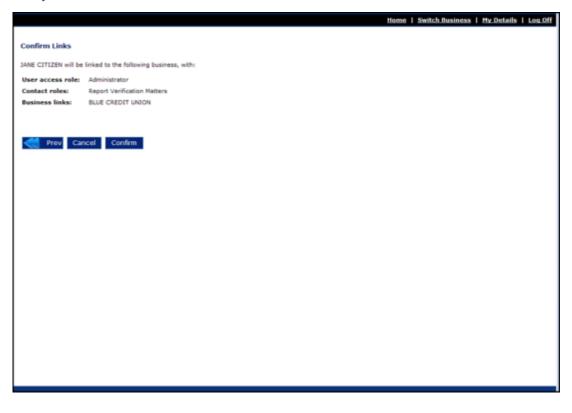
You will be required to select a user access role from the 'AUSTRAC Online Access Role' drop- down list.

**Note:** If you are linking new businesses to a contact (i.e. a person without user access), you will be presented with a notice advising that the contact does not have a user account which means they cannot be assigned a user access role.

Select a contact role/s by checking the relevant box/s. When this is complete, click Next.

On the following screen, shown below, you are required to confirm the business link. Be sure to check that the user access role, contact role/s and business links information is correct. If you are satisfied the information is correct click **Confirm**.

If any of the information is incorrect, click **Prev** to amend details.



#### **Remove business links**

Select the contact or user from the list that you wish to edit by clicking their name and their 'Person Details' will be displayed on the next screen. To remove business links, click the 'Remove Business Links' hyperlink and you will then be presented with a list of businesses available for removal.

**Note:** Removing the business link for a user to the AO account that the Administrator performing this task is currently logged into is not permitted.

Select the business you wish to remove by using the cursor to highlight the name from the 'Business Links Available for Removal' list and click **Add**. Alternatively, you can click **Add All** to select all available businesses. Once the name of the newly added business in the 'Links to Remove' list, click **Next**.

|  |  | Home   Switch Business   My Details   Log Off |
|--|--|---|
| Remove Business Links<br>You may choose to remove any of the business links for JANE CITEZ<br>Note that removing a business link will also remove the person's acc<br>Some links have been excluded from the list of links ava<br>link would have impair the administration of the target b<br>reason they cannot be removed are as follows:<br>• Link for: GREEN CREDIT UNION Reason: Current Busines | ess to AUSTRAC Online for the affected businesses.<br>alable for removal because removing the<br>austness in some way. These links and the |   |
| Business Links Available for Removal   | Links to Remove  |   |
| Li+ Ada Ad<br>- Ada<br>- Ada<br>- Finision<br>- Remove Ad  | BLUE CREDIT UNION (Administrator)  |   |
| Cancel Next  |  |   |

On the next screen as shown below, you will be required to confirm removal of the business link. If you are satisfied the information is correct click **Confirm**.

If any of the information is incorrect, click **Prev** to amend details or **Cancel** to abort the business link removal and return to the users 'Person Details' page.

|  | Home   Switch Business   My Details   Log O |
|--|---|
| Confirm Business Link Removal  |   |
| Removing a business link will also remove the person's access to AUSTRAC Online for the affected businesses. | ]   |
| The link for JANE CITIZEN will be removed from the following business:                                       |   |
| BLUE CREDIT UNION  |   |
| Prev Cancel Confirm  |   |
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#### Deactivating or reactivating a contact or user profile

Navigate to the 'Contacts and Users' screen and search for the contact or user (if you search without any entries in the search criteria, all contacts and users will be displayed).

Select from the list the contact or user you wish to deactivate by clicking their name and their 'Person Details' will be displayed on the next screen.

Click the 'Deactivate' or 'Reactivate' hyperlink at the top of the screen (whichever the case may be). On the next screen click **Confirm** to deactivate/reactivate the contact or user. Alternatively, click **Cancel** to abort the action.

**Note:** Contacts and users cannot be removed from the system for audit purposes. However, users can be deactivated so that they cannot access the system and contacts can be deactivated to hide them from view on the 'Contacts and Users' main screen. AUSTRAC Online does not allow a user to deactivate their user account or contact profile.

#### Changing a password

Navigate to the 'Contacts and Users' screen and if your business has more than 15 users you will need to conduct a search for the user (if you search without any entries in the search criteria, all users will be displayed).

Click the 'Reset Password' hyperlink in the right-hand column of the list for the applicable user and on the next screen click **Confirm** to reset the password or **Cancel** to abort the action.

Once you have reset the password, the user will receive an auto-generated email containing a temporary password. Upon their next login to AUSTRAC Online, the user will be prompted to change the password to one of their own choosing.

#### Maintaining local roles for users

If you have created specific user roles in the Transaction Reports environment of AUSTRAC Online for reporting purposes, known as 'local roles' you are now able to apply these to new and existing users in the 'Contacts and Users' editing functions as set out in <u>section 14</u>.

# 8.3. How to view, update or add your business' branch/retail outlet details

Click on 'Branches' under the 'My Business' menu. A screen will display allowing you to add new branches, or search for and update existing branches.

When creating a new branch, conduct a search prior to ensure that the branch does not already exist in the system.

To add a new branch, click the 'Add New Branch' hyperlink and complete the fields. Click **Add** or **Cancel** to abort the action.

|  |                                    |  | Home I Hutbelais I Lou.Off  |
|--|------------------------------------|--|---|
| II. My Desires                                 | Branches administration            |  |   |
| B Rendlance Services Reputations               | This function allows your business | to maintain a list of its branches (i.e. ret | al outlets, offices, etc. owned and operated by your business). Please note, branch information is: |
| Bogulatory Profile                             |                                    |  | FTR. Act for the location of where a transaction was conducted or initiated.                        |
| Providers of Designated<br>Remittance Services |                                    |  | ted remittance services or registrable remittance network services under the AML/CTF Act, if your   |
| Branch<br>Contacts and Users                   | business has branches.             |  |   |
| B Barches                                      | OAdd New Branch ODewnload S        | Inanches                                     |   |
| D Agents                                       |                                    |  |   |
| Designated Business Group                      | Branch Search Fields               |  |   |
| Compliance Reports                             | Branch Name contains               |  |   |
| Add a new Business                             | Branch Edentification Number       |  |   |
| B Search Event Log                             | contains                           |  |   |
|  | Suburb/town/city contains          |  | Suburb Help   |
| H Transaction Reporting                        | State                              | - Please select -                            |   |
|  | Postcode contains                  | Postuade.rtela                               |   |
| Ramittance Sector Register                     | Branch status                      | Active                                       |   |
| AUSTRAC Online user guide                      | Identifier status                  | Active .                                     |   |
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**Note:** When adding a new branch, you must fill in both the 'Location Name' and 'Branch Identification Number'. These can be names, numbers or a combination of both. The 'Location Names' and 'Branch Identification Number' of a particular branch may be different or can have the same value.

To search for a branch you can either click the **Search** button to display all your branches. Alternatively, you can use the search criteria fields provided to narrow the search results.

By selecting the 'Branch ID' hyperlink in the search results list you can view the applicable branch details, edit the details or make the branch inactive.

Click **Update** to save information once you have entered it or click **Cancel** to abort the action.

# 8.4. How to add or update your business's agent details

Click on the 'Agents' item under the 'My Business' menu and a screen will display allowing you to add new agents or search for and update existing agents' details. When adding a new agent, conduct a search prior to ensure that the agent's record does not already exist in the system.

To add a new agent click on the 'Add New Agent' hyperlink and complete the details. Once completed click **Add** to create the agent record or **Cancel** to abort the action.

|  | -   |   |  | theme   Hz Details   Log Off   |
|--|---|---|--|--|
| Vy Darkerst     Nontraces Territors Regulations     Regulatory Trolls     Provides of Designated<br>Reinitizators Services     Section     Services     Service | businesses which subscribe to a<br>1. A reportable detail in tra              | nd use your remittance netwo<br>reaction reports under the AM<br>usinespes which provide regist | dk, etc.). Please n<br>L/CTF Act and FTR | Intells of other businesses such as franchises, businesses which provide services on your behalf,<br>the, agent/Affiliate information is:<br>.Att for the location of where a transaction was conducted or indicated.<br>entitiance services or registratic remittance network services under the IMNUCTF Act, if your |
| Add a new Business     Search Event Log  | Registration/license number<br>contains<br>Registration/license type          | - Please select -   |  |  |
| Transaction Reporting  | Business Name contains<br>Agent ID contains                                   |   |  |  |
| Remittance Sector Register   | Suburb/town/city contains   |   | 1000                                     | Suburb Help  |
| <ul> <li>AUSTRAC Online user guide</li> <li>AUSTRAC Online user guide</li> </ul>   | State Postode contains Agent status Number of rows per page Search PDF Output | Please select -     Pastoodic Itsie     Active     10   |  |  |

**Note:** When adding a new agent, you must fill in both the 'Location Name' and 'Agent ID'. These can be names, numbers or both. The 'Location Names' and 'Agent IDs' of a particular agent may be different or can have the same value.

To search for an agent, click **Search** to display all of your agents. Alternatively, you can use the search criteria fields provided to narrow the search results.

By selecting the 'Agent ID' hyperlink in the search results list you can view the applicable agent details, edit the details or make the agent inactive.

Click **Update** to save information once you have entered it or click **Cancel** to abort the action.

# 8.5. How to enrol or register another business with AUSTRAC

If you are associated with another business with AML/CTF Act or FTR Act obligations, which hasn't already been enrolled or registered with AUSTRAC, you can use the 'Add a new business' option of the 'My Business' to do so.

By utilising this function, AUSTRAC Online Administrators ensure that their user account is associated with the new business account. This means that they are able to use the same user ID and password to log into the new business account and link other contacts and users to it as required.

### 8.6. How to search the event log?

The 'Search Event Log' function allows you to view details of events (actions) that have taken place within your AUSTRAC Online business account.

This function provides an audit trail for your business account.

To search the event log, select 'Search Event Log' in the 'My Business' menu.

- Select an 'Event type' from the drop-down menu;
- Select a 'From' and 'To' date and click **Search** (Note that the default date range is only 90 days);
- Click **Clear** to clear search criteria.

|   |  | Home   Mr.Details   Lou.Off |
|---|--|-----------------------------|
| My Business     Menufance Services Regulations     Megatatory Nulls     Pouncess d'Augustation     Beand ance Services     Search     Confects and Uners     Search     Add a new Business     Search Event Log      Transaction Reporting      Transaction Reporting | Event Log View Event Search Fields Event type(s) All oversts All CTF Compliance Officer changed Agent details changed Agent details changed Evalue LogIN and LOGOUT Dete range From Default search range at 90 days |                             |
| R Romitance Sector Register   | Search Clear   |                             |
| <ul> <li>AUSTRAC Online user guide</li> <li>AUSTRAC Online user guide</li> </ul>  | Search Rosults<br>No Events Found  |                             |

# 8.7. How to create or become a member of a designated business group (DBG)

#### **Getting started**

Before forming a designated business group (DBG) in AUSTRAC Online, ensure that:

- All intended DBG members are eligible to be part of the group (as per Chapter 2 of the AML/CTF Rules);
- The Nominated Contact Officer (NCO) for the DBG is an Administrator for one of the intended members in AUSTRAC Online.

The NCO is responsible for forming and maintaining the DBG and serves as the group's primary contact with AUSTRAC. The NCO is defined in Chapter 2 of the AML/CTF Rules as 'the holder from time to time of one of the following positions:

- (a) an "officer" as defined in the *Corporations Act 2001*, of a member of a designated business group; or
- (b) the AML/CTF Compliance Officer of a member of a designated business group, where that officer or compliance officer has been appointed by the designated business group to hold the position of the 'Nominated Contact Officer'.

#### Forming a designated business group – overview

Forming a DBG is performed entirely online by:

- Completing a **single** 'Form 2' which establishes the DBG;
- Completing a 'Form 1' **for each proposed group member** listed in the 'Form 2' (each Form 1 confirms the entity's election to be a member of the DBG); and
- Processing of your DBG formation application by AUSTRAC.

Upon completion of the above three steps, AUSTRAC will notify you to advise your DBG formation application has been processed.

The process steps are detailed in the sections below.

#### Forming a designated business group – instructions

**Note:** When performing the steps listed below, information can be saved at any time simply by clicking **Save**.

To create a DBG online, complete the following steps:

- 1. Log in to AUSTRAC Online business account for the entity that wishes to initiate the DBG. This could be any of the businesses which is intended to be a member of the DBG.
- 2. Click on 'Designated Business Group' in the 'My Business' menu;
- 3. Click the 'Create a new DBG' hyperlink;

| Designated Business Group (DBG) Administration   |
|--|
| The AML/CTF Act allows for associated businesses or reporting entities to form a designated business group and become members of that group. |
| Currently there is no active Designated Business Group 😌 <u>Create a new DBG</u>   |

4. Complete the 'Designated Business Group name' and 'Establishment date' fields

| Designated Business Group (DBG  | ) Administration |
|---|------------------|
| Form 2: Formation of a Designated Busi                                  | ness Group       |
| Designated Business Group name  |                  |
| Establishment date  |                  |
| Nominated Contact Officer<br>Select a Nominated Contact Officer         |                  |
| Elected Members   |                  |
| JAY'S BANK  | remove           |
| Add a business (as a member)  |                  |
| Select existing business - Please sele<br>OR<br>Enter new business name | ct - ▼           |
| Submit Save Cancel  |                  |

5. Select the NCO for the DBG by clicking the 'Select a Nominated Contact Officer' hyperlink and conduct a name search to find the required person.

**Note:** The persons available for selection as the NCO are limited to those listed as a contact or user on the AUSTRAC Online business account you are logged in to. Search either via first name, last name or just click Search to view all contacts and users. If the NCO is not a current user or contact, you will need to create them or link them in 'Contacts and Users'. Refer to <u>section 8</u>.

|     | ninated Cont                    |         |             |         |
|-----|---------------------------------|---------|-------------|---------|
| Ele | Select existing                 | person  |             | ×       |
| JA  | Name or<br>user ID<br>contains: |         |             | Search  |
| S   | elect existing bi               | isiness | - Please se | elect - |

6. Select the nominated NCO from the search results list by clicking on the email address hyperlink of the applicable. The NCO details will then be displayed.

|     | ninated Contact Officer<br>ct a Nominated Contact Officer |           |                        |  |  |  |  |  |  |
|-----|---|-----------|------------------------|--|--|--|--|--|--|
| Ele | Select existing person                                    |           | ×                      |  |  |  |  |  |  |
| JA  | Name or user ID contains: jay                             | Searc     | 1                      |  |  |  |  |  |  |
| Ade | Number of results: 1                                      |           |                        |  |  |  |  |  |  |
|     | Name 🔺  | User ID ¢ | Email address <b>‡</b> |  |  |  |  |  |  |
|     | JAY SOUTH   | jaysouth  | testemail@jmail.com    |  |  |  |  |  |  |
|     |   |           | «« « » »»              |  |  |  |  |  |  |
| L   |   |           |                        |  |  |  |  |  |  |
|     |   |           |                        |  |  |  |  |  |  |

7. DBG members now need to be elected. If you want to add a business for which you are already a user, select it from the drop-down menu. Alternatively, type the legal name of the business in the 'Business Name' field and click **Add** (the business name must be typed in full). Note that you may be prompted by the system to supply the ABN or ACN for the business.

Once complete, the elected member will appear under 'Elected Members'. If the business was added in error, click on the remove hyperlink.

| JAY'S BANK                    |                   | remove |  |
|-------------------------------|-------------------|--------|--|
| dd a business (as a memb      | er)               |        |  |
| Select existing business      | - Please select - | · · ·  |  |
| OR<br>Enter new business name | - Please select - |        |  |
| Add                           | TEST ENTITY       |        |  |
|                               | TEST ENTITY       |        |  |
| ubmit Save Cancel             | TEST ENTITY       |        |  |
| ected Members                 |                   | 1      |  |
| AY'S BANK                     |                   | remove |  |
| dd a business (as a membe     | er)               |        |  |
|                               |                   |        |  |

| Enter new business name | - |
|-------------------------|---|
| Submit Save Cancel      |   |

8. Repeat the above step for each business that will form part of the DBG.

**Note:** You may save your work at any time by clicking Save.

9. Once all members of the DBG have been elected, click **Submit** and a confirmation screen will be displayed. Click the hyperlink to be returned back to the 'Designated Business Group (DBG) Administration' screen. The status under 'Form 2: Formation of a Designated Business Group' will read 'Incomplete. Form 1s must be submitted to complete the DBG creation'.

| he AML/CTF Act allows for as   | sociated businesses or reportin | ng entities to form a designated business | group and become members | of that group. |             |  |  |  |
|--|---------------------------------|---|--------------------------|----------------|-------------|--|--|--|
| Currently there is no active Designated Business Group 😌 <u>Create a new DBG</u> |                                 |   |                          |                |             |  |  |  |
| Form 1: Election to be a Me  | mber of a Designated Busir      | ness Group                                |                          |                |             |  |  |  |
| Creation Date ¢  | DBG Name +                      | Business Name ¢                           | Election Status          | Action         | Processed ¢ |  |  |  |
| Dec 19 2018  | TEST DBG                        | JAY'S BANK                                | Incomplete               | update         |             |  |  |  |
| Dec 19 2018  | TEST DBG                        | TEST ENTITY                               | Incomplete               | update         |             |  |  |  |
| Dec 19 2018  | TEST DBG                        | TEST ENTITY                               | Incomplete               | update         |             |  |  |  |
|  |                                 |   |                          |                |             |  |  |  |
| Form 2: Formation of a Des   | ignated Business Group          |   |                          |                |             |  |  |  |
| Creation Date ¢  | DBG Name ¢                      | Formation                                 | n Status                 | Action         | Processed ¢ |  |  |  |
|  |                                 |   |                          |                |             |  |  |  |

10. If you wish, you may click the 'Print' hyperlink that appears in the Form 2 section of the Designated Business Group (DBG) Administration screen and the PDF document 'Form 2: Formation of a Designated Business Group' will open. You may save an electronic copy of the PDF and/or print to retain a hard copy for your records.

**Note:** You are <u>not</u> required to submit a hard copy of Form 2 to AUSTRAC.

**Note:** The following steps (11–15) must be completed by each of the proposed DBG members to confirm their election. They must each log in to AUSTRAC Online and navigate to **Designated Business Group** in the 'My Business' menu.

11. Click the 'Update' link that appears under the 'Form 1: Election to be a Member of a Designated Business Group' section as illustrated below.

| Designated Business Group (DBG) Administration |  |        |                    |                 |            |             |        |             |  |
|--|--|--------|--------------------|-----------------|------------|-------------|--------|-------------|--|
| The AML/CTF Act allows for as                  | The AML/CTF Act allows for associated businesses or reporting entities to form a designated business group and become members of that group. |        |                    |                 |            |             |        |             |  |
| Currently there is no active D                 | Currently there is no active Designated Business Group 😳 <u>Create a new DBG</u>   |        |                    |                 |            |             |        |             |  |
| Designated Business Group(s)                   |  |        |                    |                 |            |             |        |             |  |
| Show history                                   |  |        |                    |                 |            |             |        |             |  |
|  | DBG Name   |        |                    | Members         |            |             |        | Status      |  |
| Form 1: Election to be a Me                    | ember of a Designated Business Group   |        |                    |                 |            |             |        |             |  |
| Creation Date ¢                                | DBG Name ¢   |        | Business N         | lame ≑          | Elect      | tion Status | Action | Processed ¢ |  |
| Dec 19 2018                                    | TEST DBG   | J      | AY'S BANK          |                 | Incomplete |             | update |             |  |
| Form 2: Formation of a De                      | signated Business Group  |        |                    |                 |            |             |        |             |  |
| Creation Date ¢                                | DBG Name ¢   |        |                    | Formation Sta   | tus        |             | Action | Processed ¢ |  |
| Dec 19 2018                                    | TEST DBG   | Incomp | olete. Form 1s mus | t be submitted. |            |             | print  |             |  |
| Form 3: Variations                             |  |        |                    |                 |            |             |        |             |  |
| Creation Date ¢                                | DBG Name ¢   |        | Туре               | Status          | ÷          | Action      |        | Processed ¢ |  |
|  |  |        |                    |                 |            |             |        |             |  |

Select the person who elects the entity to be a member of the DBG by clicking the 'Select Electing Person' hyperlink and conduct a name search to find the required person.

| Des  | signated Business Group (DBG)                                 | Administration   |
|------|---|--|
| Des  | signated Business Group Details                               |  |
| Des  | signated Business Group name                                  | TEST DBG   |
|      | ablishment date   | Dec 19 2018  |
|      | m 1: Election to be a Member of a Desi<br>ect Electing Person | gnated Business Group  |
| Nan  | me of business  | JAY'S BANK   |
| This | s business' relationship to other members (                   | of the <b>'TEST DBG'</b> group (please select one of the following options):   |
|      | a) This business is related to each me                        | mber of the 'TEST DBG' group within the meaning of section 50 of the Corporations Act 2001; or   |
|      | b) This business is providing a designa                       | ated service pursuant to a joint venture agreement to which each member of the 'TEST DBG' group is a party; or   |
|      |   | which, if it were resident in Australia would be a reporting entity, and is, within the meaning of section 50 of the Corporations Act ther member of the group your business is related to):select |
|      | d) This business is a reporting entity o                      | or is an entity in a foreign country, which if it were resident in Australia would be a reporting entity, and is:  |
|      | (i) an accounting practice as defined                         | in Rule 2.1.3(6); or   |
|      | (ii) a person, other than an individua                        | al, which the accounting practice in (i) controls; or  |
|      | (iii) an accounting practice which is or                      | providing a designated service pursuant to a joint venture agreement, to which each member of the 'TEST DBG' group is a party;   |
|      | (iv) a person that provides or assist                         | s in the provision of a designated service to the customers of the accounting practice; or   |
|      | e) This business is a reporting entity o                      | or is an entity in a foreign country, which if it were resident in Australia would be a reporting entity, and is:  |
|      | (i) a law practice as defined in Rule                         | 2.1.3(7); or   |
|      | (ii) a person, other than an individua                        | al, which the law practice in (i) controls; or a person, other than an individual, which the law practice in (i) controls; or  |
|      | (iii) a law practice which is providing                       | a designated service pursuant to a joint venture agreement, to which each member of the 'TEST DBG' group is a party; or  |
|      | (iv) a person that provides or assiste                        | s in the provision of a designated service to the customers of the law practice; or  |
|      | f) This business is a reporting entity, a                     | and is a money transfer service provider as defined in Rule 2.1.3(9); or   |
|      | g) This business is a reporting entity,                       | and is a representative of a money transfer service provider as defined in Rule 2.1.3(11); or  |
|      | h) This business is a reporting entity,                       | and is a sub-representative of a money transfer service provider as defined in Rule 2.1.3(13).   |
| Sut  | bmit Save Cancel  |  |

**Note:** The persons available for selection as the electing person are limited to those listed as a user on the AUSTRAC Online business account you are logged in to. Search either via first name, last name or just click **Search** to view all users.

- 12. Select the electing person from the search results list by clicking on the email address hyperlink of the applicable person. The electing person's details will then be displayed.
- 13. Select the appropriate option to confirm the business' relationship to other DBG members by clicking the applicable check boxes and click **Submit**. In the confirmation screen click the hyperlink to return back to the 'Designated Business Group (DBG) Administration' screen.
- 14. Note, now that the status under 'Form 1: Election to be a Member of a Designated Business Group' will be 'Complete'. To produce a PDF document for this Form 1, click the 'Print' hyperlink and the PDF document 'Form 1: Election to be a Member of a Designated Business Group' will open. You may wish to save an electronic copy of the PDF form and/or print to retain a hard copy for your records.

Note: You are <u>not</u> required to submit a hard copy of Form 1 to AUSTRAC.

| Designated Business Group (DBG) Administration |  |                 |                                |                |             |  |  |  |
|--|--|-----------------|--------------------------------|----------------|-------------|--|--|--|
| Currently there is no active De                | esociated businesses or reportions of the second seco |                 | ess group and become members ( | of that group. |             |  |  |  |
| Creation Date +                                | DBG Name +   | Business Name 🛊 | Election Status                | Action         | Processed ¢ |  |  |  |
| Dec 19 2018                                    | TEST DBG   | JAY'S BANK      | Complete                       | print          |             |  |  |  |
| Dec 19 2018                                    | TEST DBG   | TEST ENTITY     | Incomplete                     | <u>update</u>  |             |  |  |  |
| Dec 19 2018                                    | TEST DBG   | TEST ENTITY     | Incomplete                     | update         |             |  |  |  |
| Form 2: Formation of a Des                     | signated Business Group  |                 |                                |                |             |  |  |  |
| Creation Date ¢                                | DBG Name ¢   | Forma           | tion Status                    | Action         | Processed ¢ |  |  |  |
|  |  |                 |                                |                |             |  |  |  |

#### What happens next?

Once the Form 2 and all Form 1s have been completed in AUSTRAC Online, AUSTRAC will be automatically notified (no further action from you is required).

AUSTRAC will then review and process your DBG formation. You will be notified once this is complete (please allow up to two weeks for AUSTRAC processing).

When your DBG is active, the 'Designated Business Group (DBG) Administration' page will show a status of 'Active' against the DBG name.

| Designated Business Group (DBG) Admir  | Designated Business Group (DBG) Administration |                 |                   |        |  |  |  |  |
|--|--|-----------------|-------------------|--------|--|--|--|--|
| The AML/CTF Act allows for associated businesses or reporting entities to form a designated business group and become members of that group. |  |                 |                   |        |  |  |  |  |
| DBG Name   | Members  |                 |                   | Status |  |  |  |  |
| SAMPLE 1   | Business Name 🜩                                | Election Date + | Withdrawal Date 🛊 | Active |  |  |  |  |
|  | TEST ENTITY                                    | Nov 09 2009     |                   |        |  |  |  |  |
|  | TEST ENTITY                                    | Nov 09 2009     | -                 |        |  |  |  |  |
|  | TEST ENTITY                                    | Apr 09 2008     |                   |        |  |  |  |  |

#### Variations to a designated business group

AUSTRAC Online allows you to perform a variation to a DBG to:

- Withdraw a member;
- Elect a new member
- Terminate the entire DBG;
- Change the name of the DBG; or
- Change the NCO.

Note: Variations to a DBG will only take effect after being processed by AUSTRAC.

To make a variation to a DBG, complete the following steps:

- 1. Log in to AUSTRAC Online and select 'Designated Business Group' from the 'My Business' menu to view the 'Designated Business Group (DBG) Administration' page.
- 2. Click the 'New Form 3: Variation' hyperlink.

#### Designated Business Group (DBG) Administration

The AML/CTF Act allows for associated businesses or reporting entities to form a designated business group and become members of that group.

| DBG Name | Me              | Members          |                    |        |  |  |  |  |
|----------|-----------------|------------------|--------------------|--------|--|--|--|--|
| MPLE 1   | Business Name ¢ | Election Date \$ | Withdrawal Date \$ | Active |  |  |  |  |
|          | TEST ENTITY     | Nov 09 2009      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Nov 09 2009      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Apr 09 2008      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Jan 06 2014      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Apr 09 2008      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Mar 03 2009      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Sep 28 2017      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Sep 28 2017      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Sep 28 2017      |                    |        |  |  |  |  |
|          | TEST ENTITY     | Sep 28 2017      |                    |        |  |  |  |  |

- 3. On the following screen select the DBG you would like to make the variation to, from the drop-down menu (if applicable).
- 4. Select the variation type from the drop-down menu:
  - Withdrawal: remove a member from the DBG
  - Election: elect a new member to join the DBG
  - Terminate: disband the DBG
  - Other Contact Name: change the NCO
  - Other DBG Name: change the name of the DBG.

**Note:** Before withdrawing a member ensure that the NCO's details are sourced from another continuing member of the DBG. AUSTRAC Online will not permit the Withdrawal of a member that is used to source the NCO's details. This may require a change of Contact Name to be processed before the Withdrawal.



- 5. Once your variation information is complete, click **Submit** and a confirmation screen will be displayed. Click the hyperlink to return back to the 'Designated Business Group (DBG) Administration' page.
- 6. The status under 'Form 3: Variations' will read 'Pending processing'. If you wish, you may click the 'Print' hyperlink and the PDF document 'Form 3: Variations' will open. You may save an electronic copy of the Form 3 in PDF and/or print to retain a hard copy for your records.

Note: You are not required to submit a hard copy of Form 3 to AUSTRAC.

|               | Form 3: Variations |            |  |                       |               |             |  |  |
|---------------|--------------------|------------|--|-----------------------|---------------|-------------|--|--|
|               | Creation Date +    | DBG Name ¢ | Туре                                   | Status +              | Action        | Processed + |  |  |
| $\rightarrow$ | 24 Aug 2012        | SAMPLE 1   | Other - DBG Name change to<br>SAMPLE 2 | Pending<br>processing | print process |             |  |  |

#### What happens next?

Once you submit your variation request, AUSTRAC will be automatically notified (no further action from you is required).

AUSTRAC will then review and process your variation request. You will be notified once this is complete (please allow up to two weeks for AUSTRAC processing).

| Form 3: Variations |            |                                     |          |               |             |
|--------------------|------------|-------------------------------------|----------|---------------|-------------|
| Creation Date \$   | DBG Name + | Туре                                | Status + | Action        | Processed + |
| 24 Aug 2012        | SAMPLE 2   | Other - DBG Name change to SAMPLE 2 | Active   | print receipt | 24 Aug 2012 |

### 8.8. The AML/CTF compliance report

During the AML/CTF compliance report lodgement period reporting entities are able to create, complete and submit their AML/CTF compliance report via AUSTRAC Online. The system tailors the report depending on the responses provided as you are completing it and DBG membership status (for instructions on how to set up a DBG, refer to <u>section 10</u> in this guide).

| ANU (OTT Comelling of Descent  |                                  |  |  |                         |
|--|----------------------------------|--|--|-------------------------|
| AML/CTF Compliance Report  |                                  |  |  |                         |
| The Anti-Money Laundering and Counter-Terr<br>information about your compliance with the A |                                  | ML/CTF Act) requires reporting entities to submit comp   | liance reports at the request of the AUSTRAC CEO. The report pr            | ovides AUSTRAC with     |
| More information about AML/CTF compliance  | report is available on the AL    | JSTRAC website.  |  |                         |
|  |                                  |  |  |                         |
|  |                                  |  |  |                         |
| Your Current Compliance Reports  |                                  |  |  |                         |
| Tour current compliance reports  |                                  |  |  |                         |
|  |                                  |  |  |                         |
| You must submit this report before 31 March 2  | .019.                            |  |  |                         |
| Before you start   |                                  |  |  |                         |
| Ensure your business details are current and acc   | urate. Please review and update  | your information on My Business section or contact AUSTRAC   | Contact Centre.  |                         |
|  |                                  |  |  |                         |
| DBG members  | none group (DBC) must ledge th   | a rapad as habalf of the whole DPC. All members of the DPC u   | rill be able to view the group response once it has been submitted.        |                         |
| -  |                                  |  | riding the DBG report. The override option will be available on the AUSTR. | AC Online website after |
| the DBG report has been submitted. Please note   | AUSTRAC does not notify indiv    | ridual DBG members of the group report submission.   |  |                         |
| Your new Compliance Report   |                                  |  |  |                         |
| The Compliance Report 2018 relates to your bus   | iness activities from 01 Jan 201 | 8 - 31 Dec 2018  |  |                         |
| To commence or resume working on the report p  |                                  |  |  |                         |
|  |                                  | Open Compliance Report   |  |                         |
|  |                                  | open compliance report   |  |                         |
|  |                                  |  |  |                         |
| Current Compliance Reports   |                                  |  |  |                         |
| Reporting Period   | Status                           | Lodgement details  | User lodging report  | Override Receipt        |
|  |                                  |  |  |                         |
| Previous compliance reports  |                                  |  |  |                         |
| Your compliance reports for the reporting per  | riod 2016 and prior can be a     | ccessed from the archive.  |  |                         |
| rear compliance reports for the reporting per  | tea zeze ana prior can be a      | and a second sec |  |                         |

For an entity that is not obligated to submit a Compliance report they will be presented with the following screen and be unable to open/submit the report:

| AML/CTF Compliance Report   |   |
|---|---|
| The Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act) requires reporting entities to submi<br>AUSTRAC with information about your compliance with the AML/CTF Act and Rules. | t compliance reports at the request of the AUSTRAC CEO. The report provides                 |
| More information about AML/CTF compliance report is available on the AUSTRAC website.   |   |
|   |   |
| Your Current Compliance Reports   |   |
| Based on your business' details and designated services provided, your business currently does not have an AML/CTF compliance report<br>reasons:  | t obligation to submit a response to the current report due to one or more of the following |
| <ul> <li>your business has an exemption under the AML/CTF Act or Rules as your business profile indicates you do not provide any desi</li> </ul>  | anated services covered by this report: or  |
| <ul> <li>your business is a foreign based business; or</li> </ul>   |   |
| <ul> <li>your business' commencement date is later than the end of AML/CTF compliance report reporting period.</li> </ul>   |   |
|   |   |
| Still believe your business has an obligation to submit an AML/CTF compliance report?   |   |
| Please review your enrolment details, including the designated services you provide, in your AUSTRAC business profile form. You can de  | ownload this form from the My Business section or contact AUSTRAC Contact Centre.           |
|   |   |
|   |   |
| Your Submitted Compliance Reports   |   |
| Reporting Period Status Lodgement details   | User lodging report Override Receip   |
|   |   |
| Previous compliance reports   |   |
| Your compliance reports for the reporting period 2016 and prior can be accessed from the archive.   |   |
|   |   |

# 8.9. How to create a new AML/CTF compliance report?

If your business has an obligation to submit an <u>AML/CTF compliance report</u> this is undertaken via AUSTRAC Online. This is an efficient and secure method to submit an AML/CTF compliance report.

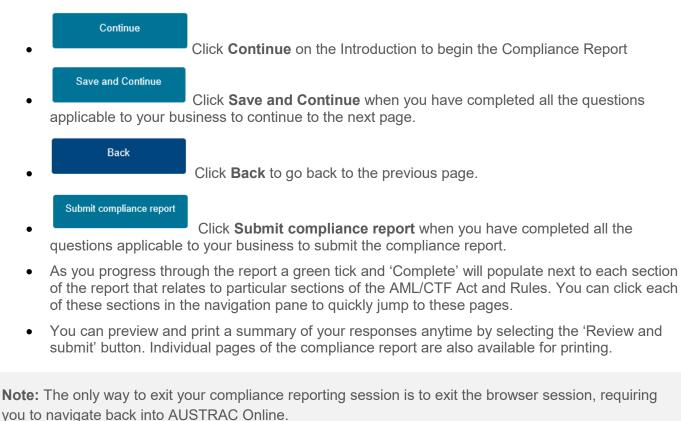
To submit your AML/CTF compliance report via AUSTRAC Online, please complete the following steps:

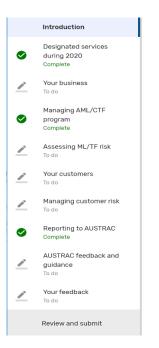
- 1. Log into your AUSTRAC Online business account;
- 2. Expand the 'My Business' menu and select 'Compliance Reports';
- 3. To create the compliance report, click on the 'Open compliance report' hyperlink. If you are submitting on behalf of a DBG, it will say 'Open compliance report for DBG'.
- 4. The Compliance Report will open in the same browser window.

| Australian Government<br>Australian Transaction Rep<br>and Australia Centre  | ports   |  |   |   | AUS  | STRAC On                          | lin       |
|--|---|--|---|---|--|-----------------------------------|-----------|
|  |   |  |   |   |  | Home   My Defails                 | 1 1.01    |
| Ay Business<br>1 Rogulatory Profile<br>2 Contacts and Univers<br>3 Guardies<br>4 Apents<br>5 Designated Business Group | AML/CTF Compliance Report<br>The Anti-Money (aundering and Counter Terronism<br>Hore information about AMU/CTF compliance report  |  | Act) requires reporting entities to submit compliance reports at the requires of the<br>includes.   | AUSTRAC CEO. The report provides AUST                         | RAC with information about your complia        | ince with the AML/CTF Act and R   | ules.     |
| Compliance Reports   | Your Current Compliance Report ~ 2020   |  |   |   |  |                                   | _         |
| Transaction Reporting  | Defore you start  |  |   |   |  |                                   |           |
| Inerstaction Reporting<br>Remittance Sector Register<br>AUSTRAC Online user guide<br>AUSTRAC Online user guide         | DEG members<br>A reminated representative of a <u>designated logingue</u> or  | the other DBG) must lodge the report on<br>the other DBG members may choose<br>chultes from 1 January 2020 - 31 Da                       | emailos on Mr. <u>Districts and to</u> IF you have difficultes, grease context AUSTRUC Context C<br>en aetad of the whole DBG AI memoires of the CBG will be after to new the progressores<br>can to submit an attenuities compliance impair by surviving the DBG report. The interview opt<br>December 2009. | nse it has been submitted.                                    | ste aller the DISC report has been kull mittee | Press not austraction not not     | ity indiv |
| enittasse Sector Register<br>AUSTRAC Online user guide   | Disers pair basises details are carried and accurate to<br>DBG members<br>A noninelect expresentative of a <u>descended contrasts</u> or<br>Any member of the DBC has a substantially different to<br>DBC members of the group pair submission.<br>Your sever Compliance Report<br>The 22000 expressions are reported as a substantial or<br>the 22000 expressions are reported.  | the other DBG) must lodge the report on<br>the other DBG members may choose<br>chultes from 1 January 2020 - 31 Da                       | in behalf of the vehicle DBG. All memorys of the DBG will be able to since the group response<br>see to submit an alternative compliance impart by sventions the DBG report. The oversee opt<br>December 2009.  | nse it has been submitted.                                    | ste aller the DIG report has been kut mittee   | Prese non, AUSTRAC does not ou    | ofy indo  |
| ienittake Sector Register<br>AUSTRAC Online user guide   | Disease your business details are current and accurate to<br>DBC members<br>An oroinded representation of a (province) con-<br>acy member of the CDD project attentions<br>DBC members of the CDD project attentions<br>DBC and the Compliance Report<br>The 20th compliance report initiate to your between a<br>The assessment or resume rending on the speed passes<br>Compliance reports - 2015 to present  | essec.GBD: most solge the report on<br>the other CBCs memores may choose<br>choise from 1. January 2021 - 31 De<br>whet the batter below | n Sehal of the virble DBO. All members of the DBO will be store to view the group response<br>see to submit an alternative compliance inport by seeming the DBO report. The overlase of<br>December 2009.<br>Congramment decisions  | nse it has been submitted.<br>on with the AUSTINAC Online wet | Site after the DBS report has been submitted   | Prese Inde, AUSTRIAC does not not | Rives     |
| enittasse Sector Register<br>AUSTRAC Online user guide   | Chinese your business defails are ourself and accurate to DBC members An ornised representative of a <u>constrained portions</u> of a <u>constrained protection</u> and an ornised are the <u>constrained portions</u> of the <u>constra</u> | ESSE_DEE: multiloge the report on<br>the other DBG monitors may choose<br>shiften from 1 January 2020 - 31 Da<br>elect the sutton below  | n Behalf of the vehice DBD. All members of the DBD will be able to view the group response<br>one to submit an alternative compliance mpairt by cuentions the DBD seport. The version opt<br>December 1909.   | nse it has been submitted.                                    |  | Override                          |           |

Navigation of the online compliance report

To navigate through the online AML/CTF compliance report, use the following functions:





**Note:** If you do save and exit your compliance report your responses are saved at the last available save point. However the navigation pane will show all sections as 'To do' on re-entering the report.

# 8.10. How to complete an AML/CTF compliance report?

You will be presented with questions that are applicable to your business and you must answer every question accurately. You will be presented with a mix of multiple choice and free text response options.

Please read the 'Introduction' page of the AML/CTF compliance report screen and click **Continue**.

# Introduction

Business legal name: AUSTRAC HELP DESK AUSTRAC account number: 100057430

Welcome to the compliance report for 2020.

The questions in this report refer to your business activities from **01 January 2020 to 31 December 2020**, unless otherwise stated.

You must complete and submit this form no later than 31 March 2021.

Please ensure that the responses you provide in your compliance report are true and correct. Review your answers prior to submitting the report.

Penalties apply for giving false or misleading information under section 136 of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act).

# How to complete this form

- Some questions are conditional and will only be available based on your responses to preceding questions. A full set of all compliance report questions is available on the **AUSTRAC website** <sup>I</sup>.
- Guidance on how to answer specific questions is available via the help panel ? or via a linked part of the question. For example, 'What are your <u>customer types</u>? ?:
- The compliance report can be saved and recommenced at any time before the deadline. To access the report you will need to sign in to AUSTRAC Online.
- You can preview and print a summary of your responses anytime by selecting the 'Review and submit' button. Individual pages of the compliance report are also available for printing.
- When you open the compliance report, a session will be established. This session has a time limit and will expire after 9 hours. When the session expires, any information that you have entered on the form, but did not save, will be lost.
- If you are unable to submit the compliance report by 31 March 2021, please notify AUSTRAC as soon as possible.

Please answer the question regarding Designated services provided in the period and click **Save and Continue**.

#### AUSTRAC





Designated services during 2020 To do

Your feedback

Review and submit

## Designated services during 2020

All questions must be answered in order to complete the form, unless marked as 'optional'.

Did you offer <u>designated services</u> <sup>□</sup> during all or part of the reporting period (1 January 2020 to 31 December 2020)?

🔵 Yes 🔘 No

#### Are you sure?

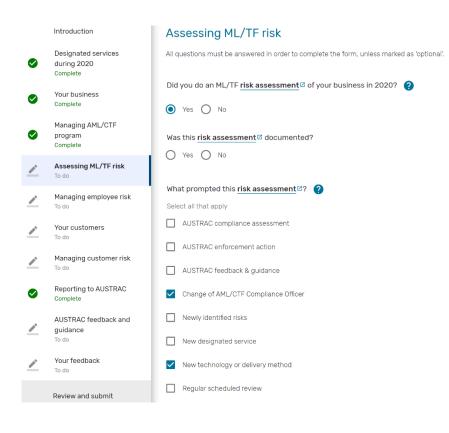
You have been enrolled as providing designated services during this period.

- If you offered any designated services during the reporting period, you must change the answer that you provided above.
- If you have stopped providing designated services and do not expect to provide designated services again, you must <u>request</u> <u>removal</u> <sup>2</sup> from the Reporting Entities Roll in addition to completing this form.
- If you have stopped providing designated services but are likely to provide designated services again in the future, you do not need to request removal from the Reporting Entities Roll. However, AUSTRAC may be in touch with you to understand your plans to recommence providing designated services.

Save and continue

Answer all questions accurately, ensuring you press **Save and Continue** once you have completed each page.

Back



If you have failed to answer a question relevant to your business before clicking **Save and Continue**, the question/s you have missed will be shaded in red. You must answer these questions to be able to ultimately submit your report.

|   | Introduction                                   |  |
|---|--|--|
| 0 | Designated services<br>during 2020<br>Complete | Errors have occurred on this page. Please review the question(s) in error and correct it. Select the 'Save and Continue' button to ensure that the corrections have been accepted. |
| 0 | Your business<br>Complete                      | Assessing ML/TF risk   |
| 0 | Managing AML/CTF<br>program<br>Complete        | All questions must be answered in order to complete the form, unless marked as 'optional'.   |
| 0 | Assessing ML/TF risk<br>Incomplete             | Did you do an ML/TF <u>risk assessment</u> <sup>22</sup> of your business in 2020?   |
|   | Managing employee risk<br>To do                | Ves No   |
|   | Your customers<br>To do                        | <ul> <li>Error detected. Documentation of risk assessment question is mandatory, please select an option.</li> <li>Was this risk assessment 2 documented?</li> </ul>               |
|   | Managing customer risk<br>To do                | O Yes O No   |
| 0 | Reporting to AUSTRAC<br>Complete               | What prompted this <u>risk assessment</u> <sup>12</sup> ? ?  |
|   | AUSTRAC feedback and guidance<br>To do         | Select all that apply           AUSTRAC compliance assessment  |
|   | Your feedback<br>To do                         | AUSTRAC enforcement action AUSTRAC feedback & guidance   |
|   | Review and submit                              | Change of AML/CTF Compliance Officer   |

If you need to correct your submitted compliance report contact the **AUSTRAC Contact Centre** on 1300 021 037 or <u>contact@austrac.gov.au</u> for assistance.

# 8.11. How to lodge an AML/CTF compliance report?

Once you have answered all relevant questions in the compliance report you will have the opportunity to provide your feedback to AUSTRAC on the 'Your feedback' screen. Complete the optional feedback questions or alternatively leave them blank. Ensure you click on 'Save and Continue'.

Once you have answered all relevant sections of the compliance report you will be presented with the 'Review and submit' screen. This screen contains a summary of your answers for your review.

|          | Introduction                                   | Summary (DRAFT)  |
|----------|--|--|
| 9        | Designated services<br>during 2020<br>Complete | Business legal name:AUSTRAC HELP DESKAUSTRAC account number:100057430  |
| 0        | Your business<br>Complete                      | Designated services during 2020<br>Did you offer designated services during all or part of the reporting period (1 January 2020 to 31 December |
| <b>S</b> | Managing AML/CTF<br>program                    | 2020)? - Yes   |
|          | Complete                                       | Your business  |
| Ø        | Assessing ML/TF risk<br>Complete               | Do you have less than five employees? - <b>No</b>  |
|          | Managing employee risk                         | How did you provide designated services in 2020?   |
|          | Complete                                       | • Email  |
|          | Your customers<br>Complete                     | • Face to face   |
|          | Managing customer risk                         | Were any of the above delivery methods introduced in 2020? - <b>No</b>   |
|          | Complete                                       | Did you outsource customer identification? - <b>No</b>   |
|          | Reporting to AUSTRAC<br>Complete               | Did you outsource AML/CTF program development? - <b>No</b>   |
|          | AUSTRAC feedback and                           | Did you outsource transaction monitoring? - <b>No</b>  |
| <b>S</b> | guidance<br>Complete                           | Did you outsource transaction reporting? - <b>No</b>   |
|          | Your feedback<br>Complete                      | Managing AML/CTF program   |
|          |  | Do you have an AML/CTF program? - <b>Yes</b>   |
|          | Review and submit                              | Has your AML/CTF program been approved? - <b>Yes</b>   |

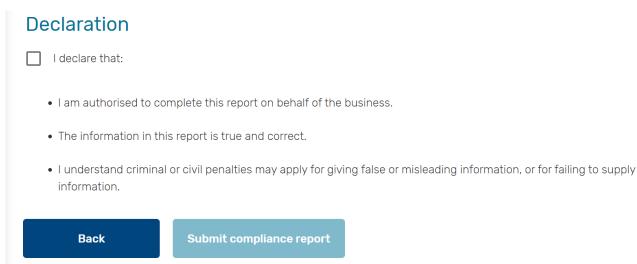
This screen will also alert you to any sections that you have left incomplete.

|          | Introduction                                   | Summary (DRAFT)  |
|----------|--|--|
| ⊘        | Designated services<br>during 2020<br>Complete | Business legal name:       AUSTRAC HELP DESK         AUSTRAC account number:       100057430   |
| 9        | Your business<br>Complete                      | The following section(s) has not commenced.  |
| 0        | Managing AML/CTF<br>program<br>Complete        | Please return to the section(s) listed below and complete them. Select the 'Save and continue' button to ensure that the corrections have been accepted. |
| 9        | Assessing ML/TF risk<br>Complete               | • <u>Your feedback</u>   |
| 9        | Managing employee risk<br>Complete             | Designated services during 2020  |
| 0        | Your customers<br>Complete                     | Did you offer designated services during all or part of the reporting period (1 January 2020 to 31 December 2020)? - <b>Yes</b>                          |
| 0        | Managing customer risk<br>Complete             | Your business  |
| 9        | Reporting to AUSTRAC<br>Complete               | Do you have less than five employees? - <b>No</b><br>How did you provide designated services in 2020?  |
| <b>S</b> | AUSTRAC feedback and guidance                  | • Email<br>• Face to face  |
|          | Complete<br>Your feedback<br>To do             | Were any of the above delivery methods introduced in 2020? - <b>No</b>   |
|          | Review and submit                              | Did you outsource customer identification? - <b>No</b><br>Did you outsource AML/CTF program development? - <b>No</b>                                     |

## The Summary page can also be printed.

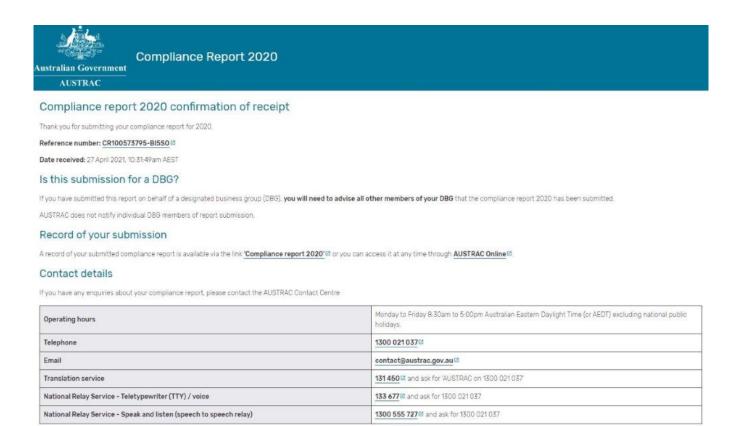
| 182021 Compliance report 2020<br>OFFICIAL: Sensitive (when complete)<br>Compliance Report 2020                                    | • | Print           |     |                 | 5 pages |
|---|---|-----------------|-----|-----------------|---------|
| Australian Government<br>AUSTRAC  |   | Destination     |     | Save as PDF     | •       |
| Summary (DRAFT)<br>Business legal name: AUSTRAC HELP DESK<br>AUSTRAC account number: 100057430<br>Designated services during 2020 |   | Pages           | All |                 | •       |
| Did you offer designated services during all or part of the reporting period (1 January 2020 to 31 December 2020)? - <b>Yes</b>   |   | Pages per sheet | 1   |                 | •       |
| Your business   |   | Margins         | De  | fault           | •       |
| Do you have less than five employees? - <b>No</b><br>How did you provide designated services in 2020?<br>• <b>Email</b>           |   | Options         |     | Headers and foo | oters   |
| Face to face  |   |                 |     | Background gra  | phics   |
| Were any of the above delivery methods introduced in 2020? - No   |   |                 |     |                 |         |
| Did you outsource customer identification? - No   |   |                 |     |                 |         |
| Did you outsource AML/CTF program development? - No Did you outsource transaction monitoring? - No                                |   |                 |     |                 |         |
| Did you outsource transaction reporting? - No   |   |                 |     |                 |         |
|   |   |                 |     |                 |         |
| OFFICIAL: Sensitive (when complete)   |   |                 |     |                 |         |
| https://ds-pp.app.cre.austrac.gov.au/compliance-report/summary-page 1/5   | • |                 |     | Save            | Cancel  |

When you have reviewed all of your responses for completion and accuracy, read the **Declaration** section and tick the **Declaration checkbox**.



Click the **Submit compliance report button** to automatically submit your compliance report to AUSTRAC.

Upon submission, you will be presented with the Compliance report submission receipt page:



# 8.12.How to view a previous AML/CTF compliance report?

If you have previously used AUSTRAC Online to submit a compliance report you are able to view a list of AML/CTF compliance reports for the previous reporting periods as well as any outstanding reports via the *Your Submitted Compliance Reports* table on the Compliance Reports screen.

If you wish to view and continue working on an incomplete report for the current reporting period, click on the **Open Compliance Report** button (see <u>section 11.1</u> above) to re-open the current compliance report. Information previously entered in this report will be retained. Once opened, the report will be available for editing, saving changes or submitting when complete.

To view and/or print a copy of a submitted compliance report from 2016 onwards, click the **View report link** that appears in blue in the *Your Submitted Compliance Reports* table.

| Your Submitted Compliance Reports |           |                              |                     |          |                |
|-----------------------------------|-----------|------------------------------|---------------------|----------|----------------|
| Reporting Period                  | Status    | Lodgement details            | User lodging report | Override | Receipt        |
| 01 Jan 2018 - 31 Dec 2018         | Submitted | Lodged on: 23 Nov 2018 11:47 | (23 Nov 2018 11:47) |          | View<br>report |

To view compliance reports for the reporting period 2016 and prior, you can click on the 'archive' link.

| Reportir   | g Period   | Status  |  |   |
|--|--|---|--|---|
|  |  |   |  |   |
| revious compliance reports   | 5  |   |  |   |
| our compliance reports for the   | reporting period 20  | 016 and prior can be accessed from the archive.   |  |   |
|  |  |   |  |   |
|  |  |   |  |   |
|  |  |   |  |   |
| 4L/CTF Compliance Report   |  |   |  |   |
|  |  |   |  |   |
| tion 47 of the AML/CTF Act requires reporting e  | ntities to periodically lodge an A   | ML/CTF compliance report with the AUSTRAC CEO in relation to their compliance   | ce with the AML/CTF Act, the regulations and the AML/CTF Rules.  |   |
| Are information about AML/CTF compliance rep   | ort.   |   |  |   |
|  |  |   |  |   |
|  |  |   |  |   |
| Existing Reports List  |  |   |  |   |
|  |  |   |  |   |
| Reporting Period   | Status   | Due   | Last Updated by User   |   |
| Designated Business Group -  |  |   |  |   |
| Designated Business Group -<br>13 Dec 2006 - 31 Dec 2007   | Submitted  | Due<br>Lodged on 30 May 2008  | Last Updated by User<br>(30 Mey 2008 10:08)  | PDF   |
| Designated Business Group -<br>13 Dec 2006 - 31 Dec 2007<br>Designated Business Group -  | Submitted  | Lodged on 30 May 2008   | (30 May 2006 10.08)  |   |
| Designated Business Group -<br>13 Dec 2006 - 31 Dec 2007<br>Designated Business Group -<br>01 Jan 2008 - 31 Dec 2008   |  |   |  | PDF<br>PDF  |
| Designated Business Group -<br>13 Dec 2006 - 31 Dec 2007<br>Designated Business Group -<br>01 Jan 2008 - 31 Dec 2008<br>Designated Business Group -  | Submitted<br>Submitted   | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009  | (30 Mey 2008 10:08)<br>27 Mer 2009 17:40)  | PDF   |
| Designated Business Group -<br>13 Dec 2006 - 31 Dec 2007<br>Designated Business Group -<br>01 Jan 2008 - 31 Dec 2008<br>Designated Business Group -<br>01 Jan 2009 - 31 Dec 2009   | Submitted  | Lodged on 30 May 2008   | (30 May 2006 10.08)  |   |
| Designated Business Group -<br>13 Dec 2007 -<br>Designated Business Group -<br>01 Jan 2008 - 31 Dec 2008<br>Designated Business Group -<br>1 Jan 2009 - 31 Dec 2009<br>Designated Business Group -   | Submitted<br>Submitted   | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010   | (30 Mey 2008 10 08)<br>(27 Mar 2009 17 40)<br>(31 Mar 2010 12:37)  | PDF<br>PDF  |
| Designated Business Group -<br>13 Dec 2005 - 31 Dec 2007<br>Designated Business Group -<br>10 Jan 2006 - 31 Dec 2008<br>Designated Business Group -<br>10 Jan 2009 - 31 Dec 2009<br>Designated Business Group -<br>01 Jan 2010 - 31 Dec 2010   | Submitted<br>Submitted   | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009  | (30 Mey 2008 10:08)<br>27 Mer 2009 17:40)  | PDF   |
| Designated Business Group -<br>13 Dec 2005 - 31 Dec 2007<br>Designated Business Group -<br>10 Jan 2008 - 31 Dec 2008<br>Designated Business Group -<br>10 Jan 2009 - 31 Dec 2009<br>Designated Business Group -<br>10 Jan 2010 - 31 Dec 2010<br>Designated Business Group -  | Submitted<br>Submitted<br>Submitted<br>Submitted                           | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011  | (30 Mey 2008 10:08)<br>27 Mer 2009 17:40)<br>31 Mer 2010 12:37)<br>14 Feb 2011 13:52)  | PDE<br>PDE<br>PDE   |
| Designated Business Group -<br>13 Dec 2007<br>Designated Business Group -<br>01 Jan 2008 - 31 Dec 2008<br>Designated Business Group -<br>10 Jan 2009 - 31 Dec 2009<br>Designated Business Group -<br>01 Jan 2010 - 31 Dec 2010<br>Designated Business Group -<br>01 Jan 2011 - 31 Dec 2011   | Submitted<br>Submitted   | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010   | (30 Mey 2008 10 08)<br>(27 Mar 2009 17 40)<br>(31 Mar 2010 12:37)  | PDF<br>PDF  |
| Designated Business Group -           13 Dec 2006 - 31 Dec 2007           Designated Business Group -           01 Jan 2006 - 31 Dec 2009           Designated Business Group -           01 Jan 2009 - 31 Dec 2009           Designated Business Group -           01 Jan 2010 - 31 Dec 2010           Designated Business Group -           01 Jan 2010 - 31 Dec 2010           Designated Business Group -           01 Jan 2011 Dec 2011           Designated Business Group -   | Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted              | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011<br>Lodged on 20 Feb 2012   | (30 Mey 2008 10.08)<br>27 Mer 2009 17.40)<br>31 Mer 2010 12.37)<br>14 Feb 2011 13.52)<br>(20 Feb 2012 14.53)   | PDE<br>PDE<br>PDE<br>PDE  |
| Designated Business Group -<br>13 Dec 2005 - 31 Dec 2007<br>Designated Business Group -<br>01 Jan 2006 - 31 Dec 2008<br>Designated Business Group -<br>01 Jan 2006 - 31 Dec 2009<br>Designated Business Group -<br>01 Jan 2010 - 31 Dec 2010<br>Designated Business Group -<br>01 Jan 2011 - 31 Dec 2011<br>Designated Business Group -<br>01 Jan 2012 - 31 Dec 2012   | Submitted<br>Submitted<br>Submitted<br>Submitted                           | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011  | (30 Mey 2008 10:08)<br>27 Mer 2009 17:40)<br>31 Mer 2010 12:37)<br>14 Feb 2011 13:52)  | PDE<br>PDE<br>PDE   |
| Designated Business Group -           13 Dec 2006 - 31 Dec 2007           Designated Business Group -           01 Jan 2008 - 31 Dec 2008           Designated Business Group -           10 Jan 2009 - 10 Dec 2009           Designated Business Group -           01 Jan 2009 - 10 Dec 2009           Designated Business Group -           01 Jan 2010 - 31 Dec 2010           Designated Business Group -           01 Jan 2011 - 31 Dec 2011           Designated Business Group -           01 Jan 2013 - 10 Dec 2011           Designated Business Group -           01 Jan 2014 - 10 Dec 2012           Designated Business Group -           01 Jan 2014 - 10 Dec 2012           Designated Business Group -           01 Jan 2012 - 10 Dec 2012           Designated Business Group -  | Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted              | Lodged on 30 May 2006<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011<br>Lodged on 20 Feb 2012<br>Lodged on 06 Mar 2013                          | (30 Mey 2008 10 08)<br>(27 Mar 2009 17 40)<br>(31 Mar 2010 12:37)<br>(44 Feb 2011 13:52)<br>(20 Feb 2012 14:53)<br>(06 Mar 2013 16:58)   | PDE<br>PDE<br>PDE<br>PDE<br>PDE   |
| Designated Business Group -<br>13 Dec 2005 - 31 Dec 2007<br>Designated Business Group -<br>Designated Business Group -<br>11 Jan 2008 - 31 Dec 2009<br>Designated Business Group -<br>11 Jan 2010 - 31 Dec 2019<br>Designated Business Group -<br>11 Jan 2011 - 10 Dec 2011<br>Designated Business Group -<br>11 Jan 2012 - 31 Dec 2012<br>Designated Business Group -<br>11 Jan 2013 - 31 Dec 2013<br>Di Jan 2013 - 31 Dec 2013   | Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted              | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011<br>Lodged on 20 Feb 2012   | (30 Mey 2008 10.08)<br>27 Mer 2009 17.40)<br>31 Mer 2010 12.37)<br>14 Feb 2011 13.52)<br>(20 Feb 2012 14.53)   | PDE<br>PDE<br>PDE<br>PDE  |
| Designated Business Group -           13 Dec 2006 - 31 Dec 2007           Designated Business Group -           14 Jan 2008 - 31 Dec 2008           Designated Business Group -           90 Jan 2008 - 31 Dec 2009           Designated Business Group -           14 Jan 2009 - 31 Dec 2010           Designated Business Group -           11 Jan 2010 - 31 Dec 2010           Designated Business Group -           11 Jan 2011 - 31 Dec 2011           Designated Business Group -           11 Jan 2012 - 31 Dec 2012           Designated Business Group -           10 Jan 2013 - Dec 2012           Designated Business Group -           10 Jan 2014 - Dec 2013           Designated Business Group -  | Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted              | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011<br>Lodged on 20 Feb 2012<br>Lodged on 06 Mar 2013<br>Lodged on 10 Mar 2014 | (30 Mey 2008 10 08)<br>(27 Mar 2009 17 40)<br>(31 Mar 2010 12:37)<br>(44 Feb 2011 13:52)<br>(20 Feb 2012 14:53)<br>(06 Mar 2013 16:58)   | PDE<br>PDE<br>PDE<br>PDE<br>PDE<br>PDE  |
| Designated Business Group -<br>13 Dec 2006 - 31 Dec 2007<br>Designated Business Group -<br>D1 Jan 2008 - 31 Dec 2008<br>Designated Business Group -<br>D1 Jan 2001 - 10 Dec 2009<br>Designated Business Group -<br>D1 Jan 2011 - 31 Dec 2010<br>Designated Business Group -<br>D1 Jan 2011 - 31 Dec 2011<br>Designated Business Group -<br>D1 Jan 2013 - 31 Dec 2012<br>Designated Business Group -<br>D1 Jan 2013 - 31 Dec 2013<br>Designated Business Group -<br>D1 Jan 2014 - 31 Dec 2014   | Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted | Lodged on 30 May 2006<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011<br>Lodged on 20 Feb 2012<br>Lodged on 06 Mar 2013                          | (30 Mey 2008 10:08)<br>27 Mer 2009 17:40)<br>31 Mer 2010 12:37)<br>14 Feb 2011 13:52)<br>(20 Feb 2012 14:53)<br>(20 Feb 2012 14:53)<br>(10 Mar 2013 16:58)<br>(10 Mar 2014 16:50)                        | PDE<br>PDE<br>PDE<br>PDE<br>PDE   |
| Designated Business Group -           13 Dec 2006 - 31 Dec 2007           Designated Business Group -           01 Jan 2006 - 31 Dec 2008           Designated Business Group -           01 Jan 2009 - 31 Dec 2009           Designated Business Group -           01 Jan 2010 - 31 Dec 2019           Designated Business Group -           01 Jan 2010 - 31 Dec 2010           Designated Business Group -           01 Jan 2011 - 31 Dec 2011           Designated Business Group -           01 Jan 2013 - 31 Dec 2012           Designated Business Group -           01 Jan 2013 - 31 Dec 2013           Designated Business Group -           01 Jan 2013 - 31 Dec 2013           Designated Business Group -           01 Jan 2014 - Bec 2014           Designated Business Group -           01 Jan 2014 - Bec 2014           Designated Business Group -           01 Jan 2014 - Bec 2014           Designated Business Group - | Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011<br>Lodged on 20 Feb 2012<br>Lodged on 06 Mar 2013<br>Lodged on 10 Mar 2014 | (30 Mey 2008 10:08)<br>27 Mer 2009 17:40)<br>31 Mer 2010 12:37)<br>14 Feb 2011 13:52)<br>(20 Feb 2012 14:53)<br>(20 Feb 2012 14:53)<br>(10 Mar 2013 16:58)<br>(10 Mar 2014 16:50)                        | PDE           PDE |
| Designated Business Group -<br>13 Dec 2005 - 31 Dec 2007<br>Designated Business Group -<br>10 Jan 2008 - 31 Dec 2008<br>Designated Business Group -<br>01 Jan 2009 - 31 Dec 2009<br>Designated Business Group -<br>01 Jan 2011 - 31 Dec 2011<br>Designated Business Group -<br>10 Jan 2012 - 31 Dec 2012   | Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted<br>Submitted | Lodged on 30 May 2008<br>Lodged on 27 Mar 2009<br>Lodged on 31 Mar 2010<br>Lodged on 14 Feb 2011<br>Lodged on 20 Feb 2012<br>Lodged on 06 Mar 2013<br>Lodged on 10 Mar 2014 | (30 Mey 2008 10.08)<br>27 Mar 2009 17.40)<br>31 Mar 2010 12:37)<br>14 Feb 2011 13:52)<br>(20 Feb 2012 14:53)<br>(20 Feb 2012 14:53)<br>(20 Mar 2013 16:58)<br>(10 Mar 2013 16:58)<br>(24 Mar 2015 15:57) | PDE<br>PDE<br>PDE<br>PDE<br>PDE<br>PDE  |

To view and/or print a PDF copy of a compliance report in this screen, click the **PDF link** that appears in blue.

If you require assistance completing your AML/CTF compliance report contact the **AUSTRAC Contact Centre** on 1300 021 037 or <u>contact@austrac.gov.au</u> for assistance.

# 8.13.DBG compliance reports

If you are a member of a DBG, the AML/CTF compliance report needs to be submitted by one of the members on behalf of all active members in the group.

However, if answers to some compliance report questions vary for particular members, they are required to amend the responses individually by using the 'Override' function.

**Note**: AUSTRAC recommends that all active members of the DBG coordinate to decide who will be submitting the group response. Where a member of the DBG initiates the group response, other active members in the DBG will not be aware of it when logging in to AUSTRAC Online. As such, it is possible for a subsequent group response to be initiated, replacing any previous group response not yet submitted.

To override the answers to the submitted DBG compliance report, complete the following steps:

- 1. Log into the AUSTRAC Online business account for the entity that needs to be amended;
- 1. Expand the 'My Business' menu and select 'Compliance Reports';
- 2. Click the **Override** button as shown in the screen shot illustration below;

| AML/CTF Compliance Report  |                    |                                   |  |  |  |  |  |
|--|--------------------|-----------------------------------|--|--|--|--|--|
| The Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act) requires reporting entities to submit compliance reports at the request of the AUSTRAC CEO.<br>The report provides AUSTRAC with information about your compliance with the AML/CTF Act and Rules. |                    |                                   |  |  |  |  |  |
| More information about AML/CTF con   | npliance report is | available on the AUSTRAC website. |  |  |  |  |  |
|  |                    |                                   |  |  |  |  |  |
|  |                    |                                   |  |  |  |  |  |
| Current Compliance Reports   |                    |                                   |  |  |  |  |  |
| Reporting Period Status Lodgement details User lodging report Override Receipt   |                    |                                   |  |  |  |  |  |
| Designated Business Group - WESTPAC DESIGNATED BUSINESS GROUP  |                    |                                   |  |  |  |  |  |
| Jan 01 2018 - Dec 31 2018         Submitted         Lodged on: Dec 07 2018 17:06         RODNEY WILLIS         View report   |                    |                                   |  |  |  |  |  |

3. Confirm that you wish to complete action by clicking **Proceed with override** or click **Cancel** to abort the operation;

| Confirmation Override report   |       |
|--|-------|
| Override this Report?  |       |
| The Override option can be used to customise the report if this report<br>entity is substantially different to the DBG and requires a variation to<br>submitted report. Please note, this override functionality can be perfor-<br>only once for each member of the DBG. | o the |
| Proceed with override Cancel   |       |
| LIMITED)   |       |
|  |       |

- 4. The DBG compliance report will open and allow you to change the pre-populated responses to the questions as required. Once the amendments have been completed, submit the report as outlined in <u>section 11.3</u> above.
- 5. The **Current Compliance Reports** table will now reflect that the member has submitted the variation to the DBG compliance report.

| Current Compliance Reports            |                                      |                              |                     |                 |                              |
|---------------------------------------|--------------------------------------|------------------------------|---------------------|-----------------|------------------------------|
| Reporting Period                      | Status                               | Lodgement details            | User lodging report | Override        | Receipt                      |
| Designated Business Group - TEST DE   | Designated Business Group - TEST DBG |                              |                     |                 |                              |
| Jan 01 2018 - Dec 31 2018             | Submitted                            | Lodged on: Dec 07 2018 17:06 | John Smith          | <u>Override</u> | <u>View</u><br><u>report</u> |
| Member businesses with a variation to | the group compliand                  | e report:                    |                     |                 |                              |
| TEST ENTITY                           | Variance<br>Submitted                | Variance: Dec 13 2018 09:25  | Jamie Smith         |                 | <u>View</u><br>report        |

# 9. 'My Affiliates' menu options

The 'My Affiliates' menu allows <u>Remittance Network Provider</u> (RNP) administrators to create and maintain a network of registered affiliates. As the administrator you can submit applications for new affiliates, manage the registrable details of your existing affiliates, renew existing registrations and when required remove them from your network if applicable.

Click the plus sign icon + to expand the 'My Affiliates' menu and view the options:

- Renewals
- 3 6 month renewals projection

Clicking on 'My Affiliates' will present an overview of your current network of affiliates and gives you visibility of all previous affiliates and applications (please refer to **Appendix C** for the 'Registration Status Explanation' table). In addition, it provides a link to Enrol and / or register a new affiliate. This is an opportunity to individually submit a form for either enrolment of a new organisation as an affiliate of your network or to register an organisation that is already on the Reporting Entity Roll.

| Australian Government<br>Australian Transiston Repo   | AUSTRAC Online   |
|---|--|
|   | Hores   Ny, Datails   Log Off  |
| H by Business   | My Affiliates  |
| 8 My AtMates  | Control and/or resolver as affines   |
| IE Transaction Reporting                              | Browse   |
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|   | Legal Name + AIN + ACN + Status + Registration # + Application Date + Registration Date + Expiry Date + Application Receipt + Conditions +                   |
|   | 0 item(z)  |
|   |  |
|   | 3.18.0.0.594495001 (energia) & Commonwealth of Australia AUSTRAC 2006<br>AUSTRAC   Calentials   Privace Policy   Disclamme   Cantlact.uk   Supported Economy |

# 9.1. Create new application for affiliate

Click the link is at the top of the screen, either:

- a. Download Affiliate Enrolment and Registration Form (applicable for new Affiliates not already on the Reporting Entities Roll)
- b. Download Affiliate Registration Form (applicable for Affiliates already on the Reporting Entities Roll).

Complete the Form and submit.

| Australias Geogrammed<br>Australias Transaction Report<br>and Analysis Control | i   | AUSTRAC Online   |
|--|---|--|
| A CONTRACTOR OF A CONTRACT   |   | Hanne   My Details   Log Off   |
| E Ny Buchess   | My Affiliates -> Enrol and/or regi                    | ster an affiliate  |
| III My Athlates  | Download Affiliate Enrolment and<br>Registration Form | Complete this form if you are authorized to carel your affiliate with AUSTRAC under Fart 3A of the Anti-Money<br>Landoning and Doublet-Terreine Francisco Aut 2006 (APRUCTP Aut) and require to register your affiliate with AUSTRAC<br>under Part 5 th the AUX/CTP Aut. |
| I Transaction Regarding  | Download Affiliate Registration Form                  | Complete this form if you only wish to register your efficies with AUSTRAC under Part 5 of the AMU/CTF Act.  |
| 8 Remitance Sector Register  |   |  |
| 🐮 Austrikac Online user guide<br>😤 Austrikac Online user guide                 |   |  |
|  |   |  |

# 9.2. Remittance Network Provider – Renewals for affiliates

When you do have renewable affiliate registrations, your screen will present a graph and a table as an easy way to view the progression of the registrations towards the expiry date, as well as a logical way to prioritise the renewal request process for your administration staff.

Affiliate registrations will expire three (3) years after the date of registration. AUSTRAC will provide access for you to request renewal of an affiliate registration 90 days prior to the expiry date. A renewable affiliate registration is one that falls due within the next 90 days and for which you have not yet submitted a renewal request.

In some circumstances you may not have any renewable affiliate registrations, in which case a message will be displayed on your screen.

**Note**: Unlike Remittance Network Provider and Independent registrations, AUSTRAC will not issue any system generated email notifications with respect to Affiliate registration renewals.

| Australian Government<br>Australian Transaction Reports<br>and Analysis Centre      | AUSTRAC Online  |
|---|---|
| Wy Business   | My Affiliates - Renewals                              |
| My Affliates     Annewals     D - 6 Month cenewals projection     Buk registrations | You do not have any renewable affiliate registrations |
| Transaction Reporting     Remitiance Sector Register                                |   |
| <ul> <li>AUSTRAC Online user guide</li> <li>AUSTRAC Online user guide</li> </ul>    |   |

# 9.3. Using the Renewals screen

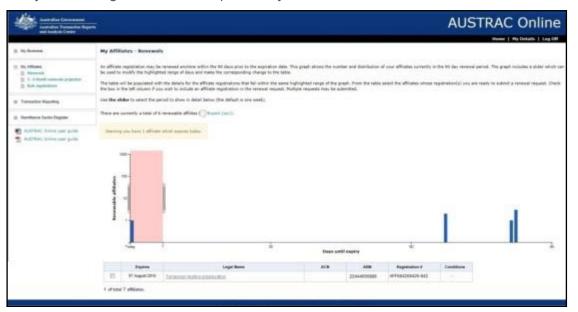
- 1. Expand the My Affiliates menu and click 'Renewals'
- 2. The system displays a page titled 'My Affiliates Renewals'

By using the slider tool additional help text will be displayed. This will assist in using the graph displayed on the screen.

Under the explanation text, a link, "Export CSV", is incorporated to enable you to download a list of registrations that fall within the 90-day renewal period, as a file in a Comma Separated Value (CSV) format.

| Andresian Community<br>Andresian Community<br>Andresian Comm                       | AUSTRAC Online   |
|--|--|
| ii iiyhaan   | My Affiliates - Renewally  |
| () Ny Alfants<br>() Annuah<br>() 1 - Hand semain properties<br>() Nutrequilitation | A affiliate regulation may be renewed evolves within the 00 days prior to the segretarian date. This grant draws the number and biblishades of you efficates summity in the 10 day renewed period. The peak includes a older which are be ased to molify the highlighted range of bear and more the comparison that full which the table. The peak includes a older which are bear with the compared with the descent to the efficience system that full which the search highlighted range of the graph, from the descent to the efficience system that full which the search highlighted range of the graph, from the descent to define whose regardinate() via war weak (to addres a movie request. Charts the search text is advected. |
| it Toronton Reporting  | (the file shifter in origin the period to show in detail before (the default is one week).   |
| a Nextlana locis ingeler   | There are currently a total of & neurosolite of Disard (2001).   |
| <ul> <li>AUTRIC Onive set parts</li> <li>AUTRIC Onive set parts</li> </ul>         | Topres lager tense. A.N. Althe Suggestioner Construes  |

- 3. When the graph is populated, it will default to show the details of the affiliates that expire within the next seven days. This default range is lightly shaded on the screen and will be easily identifiable. The details of the affiliate registrations within the shaded area will be populated in a table below the graph
- 4. At times, there may be a 'warning', under the explanation text that there are Affiliates due to expire "Today" (if there is a warning message of this nature, please ensure that you action these affiliate renewals on that day) the warning is clearly identifiable and the message advises how many affiliate registrations will expire today



5. Looking at the X axis, the 'Days until expiry' and has markings for: Today; 7 days; 30 days; 60 days and 90 days. Each vertical 'bar' represents the number of affiliate registrations that will expire on that one day.

**Note**: The graph displays every calendar day. A registration can expire on any day / date of the year, including non-business and non-working days.

- 6. Functions of the 'slider' (handles, linked to either end of the shaded area) you can drag the slider to the left or right to expand or contract the selection of Affiliates
- 7. Looking at the 'Renewable Affiliates' on the Y axis of the graph there are markings for various numbers such as: 1; 10; 100 and 1000. The volume of affiliates managed by RNPs varies

significantly and this graph is designed to be useful when displaying the number of renewable registrations.

8. Moving the slider will populate the table below the graph. Select a date range that suits your need and observe the table content change.



# 9.4. Using the Table to select renewable affiliate registrations

- 1. When the table is populated you will have the ability to select one or many registrations for renewal and this is done by clicking into the check box on the left hand side of each registration expiry date. The table is presented in expiry date order with the shortest renewal period at the top of the list. The list cannot be re-sorted.
- 2. The Legal Name field contains a link to the affiliate registration (General Details) screen; from there you can verify other registration details and / or submit a registration update form, Registration removal form or Reporting Entities Roll removal form.
- 3. To select renewable registrations, place a check mark in the box the left hand side of each affiliate's registration details. The system will count the selections and this is displayed in a blue button on the bottom of the screen.

| "Gegot" Australias Transcher Bepets<br>and Intelliais Contra   |  |   |  |  |   |  | AUST | RAC On            |         |
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4. The following screen requires a confirmation from you of the list that you have produced. This list is not sortable or editable, but serves as a way for you to confirm the registrations you are ready to include in a renewal request.

| Aperation Government<br>Australian Transaction Paper<br>and Analysis Conce           | T.       |                 |   |                         | AU          | ISTRAC (         |                   |
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- 5. Clicking on the button 'Continue to renewal form' will produce a prepopulated<sup>4</sup> affiliate registration renewal request form (ATRC1021).
- 6. Carefully read and check all sections of the form before submitting the form.
- 7. You will be issued with a reference number and an opportunity to download the receipt. It is recommended that you download and retain a copy of your receipt for your records as this will list all of the affiliates that you have just renewed with a single receipt number.
- 8. Close the form and the screen 'My Affiliate Renewals' will display a button allowing you to "Return to Renewals"

<sup>&</sup>lt;sup>4</sup> The affiliate renewal request form has a restriction to the number of affiliate registrations that can be submitted via the one form. An error will be display if you have attempted to submit over the limit.

| Antonian Government<br>Association Transaction Report<br>and Association County   | ·  | AUSTRAC Online              |
|---|--|-----------------------------|
| R. M. Sarres  | Ny Afflictes - Renewals  | Hame I PhySickels I Log.201 |
| <ul> <li>Ny Alfanya</li> <li>Newsonik</li> <li>Alfanya</li> <li>Alfanya</li> <li>Alfanya</li> <li>Alfanya</li> <li>Alfanya</li> </ul> | Please complete the AMMade Registration Research form to consist reasonal requests for the 3 selected registration(s).<br>You can refer to the Research page to view the status of the recencil request. |                             |
| IC Taractic Rearing   |  |                             |
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- 9. You will be return to the original screen with the graph.
- 10. The affiliates for which you have already submitted a registration renewal request form will NOT be visible on the graph or on the table below the graph area. You cannot submit multiple renewal requests for an affiliate registration at the same time.
- 11. As an RNP compliance officer, you will receive written confirmation of the outcome of the renewal request submitted on behalf of your affiliate. Your affiliate's compliance officer will also receive written confirmation of the outcome of the renewal request.
- 12. As long as an RNP submits an affiliate renewal form prior to the expiry date the entity can continue to operate until AUSTRAC makes a decision regarding the registration.

# 9.5. My Affiliates – 3-6-month renewal projection

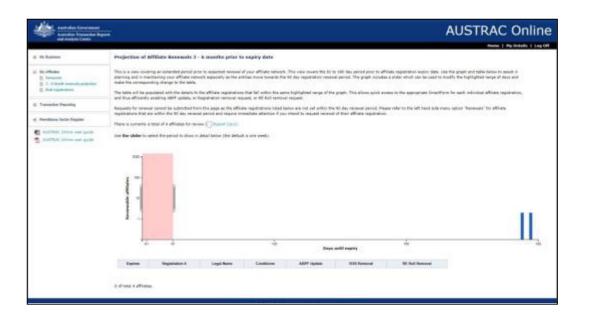
Prior to submitting a renewal request for your affiliates you must be sure that their registrable details are current and correct. In order to assist you in prioritising these activities we have included a screen that will show the affiliate registrations that fall due in the next 3 - 6 months' timeframe. This will allow a full three months in which to conduct any necessary checks and administration work before the affiliate registrations move into the 90-day renewable period.

The 3-6-month renewal projection screen displays a graph and a table that is populated from the graph. The table offers the opportunity to view the affiliate's Legal name and from there go directly to a variety of forms such as registration update form, registration removal form or the RE Roll removal form.

To view the screen, expand 'My Affiliates' menu; click once on '3-6-month renewal projection'. If there are no affiliate registrations that fall within the renewal period, the screen will indicate that you do not have any renewable affiliate registrations.

| Australian Government<br>Australian Transaction Reports<br>and Analysis Centre   | AUSTRAC Online   |
|--|--|
|  | Home   My Details   Log Off  |
| My Business  | Projection of Affiliate Renewals 3 - 6 months prior to expiry date |
| Ny Afflates     Renewate     3 - 6 Month research projection     Suit registrations     Transaction Reporting     Remittance Sector Register | You do not have any renexable affiliate registrations              |
| <ul> <li>AUSTRAC Online user guide</li> <li>AUSTRAC Online user guide</li> </ul>   |  |
|  |  |

However, if you do have affiliate registrations that fall within the 3-6-month period the graph and table will appear. Below is an example of the screen and how it operates.



# 9.6. Using the 3-6-month renewal projection screen

- 1. Expand the My Affiliates menu and click '3-6-month renewal projection'
- The system displays a page titled 'Projection of Affiliate Renewals 3 6 months prior to expiry date'

At the top of the screen there is a general description of the purpose of the graph and table and how the screen is intended to be helpful.

There is additional pop-up text if you hover your mouse over '**the slider**' which should assist in using the graph displayed on the screen.

Under the explanation text, a link, 'Export CSV', is incorporated to enable you to download a list of registrations that fall within the 3-6-month projection period, as a file in Comma Separated Value (CSV) format. It will download only the displayed information in relation to the affiliate registrations.

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| 1 | A          | B   | с   |  | D   |                         | E              |   |                       | F   |  |
| 1 | Expires    | Legal Name  | ABN   | 1                                      | ACN |                         | Registration # | umber   | Application           | n Receipt                                     |  |
| 2 | 27/11/2015 | Iris Regression Test One  | 11000   | 222333                                 | 4   | 6456654                 | AFF963852741   | -147  | Bulk uploa            | d 140-11408                                   |  |
| 3 | 27/11/2015 | Iris Regression Test Two  | 66333   | 999666                                 | 1   | 23123321                | AFF369258147   | -369  | Bulk uploa            | d 140-11409                                   |  |
| 4 | 29/11/2015 | Iris Regression Test Three  | 55888   | 222333                                 | 7   | 39789987                | AFF852741963   | -852  | Bulk uploa            | d 140-11410                                   |  |
| 5 | 29/11/2015 | iris test of registered addresses   | 77888   | 1999444                                |     |                         | AFF258147369   | -258  | ATRC1101-             | 10752-148                                     |  |
| 6 | 100.000    |   |   |  |     |                         |                |   |                       |   |  |
| 7 |            |   |   |  |     |                         |                |   |                       |   |  |
| 8 |            |   |   |  |     |                         |                |   |                       |   |  |

3. By default, the graph will display the first seven (7) days of the period. The selected area of the graph is lightly shaded on the screen and should be easily identifiable. The details of the affiliate registrations within the shaded area will be populated in the table below the graph.

| And Andread on Property in Street  |  |   |   |  |                                |                                | AUSTR  | RAC Online                |
|--|--|---|---|--|--------------------------------|--------------------------------|--|---------------------------|
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| No Reasons   | Projection of AHD  | Raie Research 1   | & manths prior to angley                                      | date   |                                |                                |  |                           |
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- 4. Looking at the 'slider' (handles, linked to either end of the shaded area) you can drag the slider to the left or right to expand or contract the selection of Affiliates
- 5. The X axis displays the 'Days until expiry' having markings for: 91, 120, 150 & 180 days. Each vertical 'bar' represents the number of affiliate registrations that will expire on that one day.

**Note:** The graph displays every day. A registration can expire on any day / date of the year, including non-business and non-working days.

- 6. 'Reviewable Affiliates' is the vertical axis on the graph and has markings for: 1; 10; 100 and 1000. The volume of affiliates managed by RNPs varies significantly and this graph is designed to be useful where the number of renewable registrations is small and also be useful when the number of renewable registration is significantly more (hundreds).
- 7. Moving the slider will select a date range and you can observe the table content change.

# 9.7. Using the affiliate renewal projection table to complete a maintenance task

When the table is populated you will have the ability to select a registration maintenance form for single affiliates such as:

- "Edit Registration": this form will prepopulate with the information last submitted by you and can be updated and submitted for processing by AUSTRAC.
- "Registration Removal": you can submit a request for AUSTRAC terminate the affiliate registration, when this is processed by AUSTRAC you will be notified in writing and the registration will no longer be visible on the graph or table.

**Note:** This function is only available if the RNP enrolled the entity: "Remove affiliate from Reporting Entities Roll" (and Remittance Sector Register): you can submit a request for AUSTRAC to remove the affiliate from Reporting Entities Roll, which will also terminate the affiliate's registration, when this is processed by AUSTRAC you will be notified in writing and the registration will no longer be visible on the graph or table.

The affiliate registrations will stay visible on the screen while any form is being processed by AUSTRAC and will either be removed or will 'move' to the renewals period.

An affiliate registration that has been removed will not be renewable or editable.

| Australian Government<br>Australian Transaction Reports                               | AUSTRAC Online  |
|---|---|
| and Analysis Centre   | Home   My Details   Log Off   |
| 🛞 My Business   | Affiliate Registration  |
| My Affiliates     Renewals     3 - 5 Month renewals projection     Bulk registrations | This registration is REMOVED  |
| Transaction Reporting   | General Details<br>Registration number: AFF147258369-369<br>Registered: 07/12/2012 (Application Receipt: 140-11413) |
| Remittance Sector Register  | Expiry date: 17/02/2015   |
| <ul> <li>AUSTRAC Online user guide</li> <li>AUSTRAC Online user guide</li> </ul>      | Registered Entity Details Legal name: Inis Regression Test Six ADN: ACN:  |
|   | Registration Conditions<br>Nil  |
|   | Back  |
|   |   |
|   |   |

# 10. 'Transaction Reporting' menu options

The 'Transaction Reporting' menu option allows you to access and submit AML/CTF Act and FTR Act transaction reports via the electronic reporting methods.

Click on the actual words, "Transaction Reporting" to access the Transaction Reporting screen. This screen contains a link to sample AML/CTF Act report forms, related file specifications and explanatory guides. Menu option shown below is indicative only.

| Admin Admin Set you Report  | IS CONTRACTOR OF CONTRACTOR   | cure messages or refine user access for transaction reporting.   |
|---|---|--|
| Transaction Reporting Create,   | amend and submit transaction reports to AUSTRAC.                                  |  |
| Remittance Sector Register  | F Act reporting forms, file specification and explanatory                         | ouides previous versions can be found in the archive)  |
| AUSTRAC Online user guide     Tip: Cl   | ick on the $\ensuremath{^\textcircled{B}}$ to expand the menu options or click    | on the menu item.  |
| ist of Files  | Bottom of next page   |  |
| he XML schema specifications are avai<br>Report types and other resound the resou | Iable to download from this table:<br>Irce File format schemas and specifications | Sample report forms and<br>explanatory guides  |
| Suspicious Matter Report  | SMR-2-0.zip (xsd & spec)  | Paper form guides:<br>SMR-form-Dec2008.pdf<br>SMR-guide-Dec2008.pdf<br>SMR-guickguide-Dec2008.pdf<br>Data entry form guides:<br>SMR-guide-May2019.pdf<br>SMR-guickguide-May2019.pdf  |
|   |   | Paper form guides:   |
|   | il and TTR-FBS-3-0.zip (xsd & spec)   | TTR-FBS-form-Oct2011.pdf<br>TTR-FBS-quide-Oct2011.pdf<br>TTR-FBS-quickguide-Oct2011.pdf<br>Data entry form guides:<br>TTR-FBS-quide-May2019.pdf<br>TTR-FBS-quide-May2019.pdf   |
| Bullion services)<br>Threshold Transaction Report (Investm  | TIR-PBS-3-0.2ip (xsd & spec)  | TTR-FBS-guide-Oct2011.pdf<br>TTR-FBS-guickguide-Oct2011.pdf<br>Data entry form guides:   |
| Bullion services)<br>Threshold Transaction Report (Investm<br>Superannuation Insurance)<br>Threshold Transaction Report (Money  | TIR-PBS-3-U.Zip (Xsd & spec)  | TTR-FBS-guide-Oct2011.pdf<br>TTR-FBS-guickguide-Oct2011.pdf<br>Data entry form guides:<br>TTR-FBS-guide-May2019.pdf<br>TTR-FBS-guide.May2019.pdf<br>TTR-FISI-form.pdf<br>TTR-ISI-form.pdf<br>TTR-ISI-guide.pdf   |
| Bullion services)<br>Threshold Transaction Report (Investm<br>Superannuation Insurance)<br>Threshold Transaction Report (Money<br>Services Businesses)<br>Threshold Transaction Report (Gamblin   | ITR-ISI-2-0c.zip (xsd & spec) TTR-MSB-2-0c.zip (xsd & spec)                       | TTR-FBS-guide-Oct2011.pdf<br>TTR-FBS-guickguide-Oct2011.pdf<br>Data entry form guides:<br>TTR-FBS-guickguide-May2019.pdf<br>TTR-FBS-guide.gdf<br>TTR-ISI-form.pdf<br>TTR-ISI-guickguide.pdf<br>TTR-MSB-form.pdf<br>TTR-MSB-guide.pdf<br>TTR-MSB-guide.pdf  |
| Threshold Transaction Report (Financia<br>Bullion services)<br>Threshold Transaction Report (Investm<br>Superannuation Insurance)<br>Threshold Transaction Report (Money<br>Services Businesses)<br>Threshold Transaction Report (Gamblin<br>Services)  | TTR-ISI-2-0c.zip (xsd & spec)<br>TTR-MSB-2-0c.zip (xsd & spec)                    | TTR-FBS-guide-Oct2011.pdf<br>TTR-FBS-guickguide-Oct2011.pdf<br>Data entry form guides:<br>TTR-FBS-guickguide-May2019.pdf<br>TTR-FBS-guickguide-May2019.pdf<br>TTR-ISI-form.pdf<br>TTR-ISI-guickguide.pdf<br>TTR-MSB-form.pdf<br>TTR-MSB-guickguide.pdf<br>TTR-MSB-guickguide.pdf<br>TTR-MSB-guickguide.pdf<br>TTR-MSB-guickguide.pdf<br>TTR-MSB-guickguide.pdf |

Click the plus sign icon + to expand the Transaction Reporting menu to access the following sub-menu items:

- Administration
- Reports

# 10.1.Administration

The 'Administration' menu display varies depending on your user access level settings. Click the plus sign icon + to expand and view the menu options:

• Preferences.

Or click on the 'Administration' hyperlink to gain access to:

- Secure messages
- Role maintenance<sup>5</sup>
- Function access maintenance.

## Preferences

The 'Preferences' page allows you to choose settings or preferences for your user account, such as:

- The auto save interval for reports
- The number of reports/rows per exported spreadsheet
- The number of items/rows per page to be displayed in a list.

To edit your preferences, simply amend the value in the fields provided and click **Save**.

### Secure messages

The 'Secure Messages' function provides a secure means of sending and receiving messages containing confidential report information between yourself and AUSTRAC.

AUSTRAC recommends the use of the secure messages function over unsecured electronic means, such as email, when you or AUSTRAC need to communicate on sensitive and confidential matters relating to customers and their transactions or activities.

For example, if you have already submitted a transaction report with incorrect information, you would advise AUSTRAC by sending a secure message using this functionality. If however you had a general query about transaction reporting obligations, or if you were experiencing technical difficulty with using the transaction reporting environment of AUSTRAC Online you would not use this service. AUSTRAC recommends you contact the **AUSTRAC Contact Centre** on 1300 021 037 or <u>contact@austrac.gov.au</u> for assistance.

<sup>&</sup>lt;sup>5</sup> Available to AUSTRAC Online administrator users only

|                  | Australian Governm<br>Australian Transaction<br>and Analysis Centre |         |   |  |
|------------------|---|---------|---|--|
| Secure           | Message   | e List  |   |  |
| Find             | Clear   |         |   |  |
| Show Message     | Where I Am Rec  | cipient | * |  |
| Message Status   |   | *       |   |  |
| Send Secure M    | <u>essage</u>   |         |   |  |
| No Records Found |   |         |   |  |

To send a secure message, click the 'Secure Message' hyperlink. In the new popup window that is displayed, click the 'Send Secure Message' hyperlink, enter the subject and message details then click **Send**.

You can also search and display previous messages you have sent to or received from AUSTRAC:

- 1. To find a message or filter the secure message list, select the applicable option from the 'Show Messages Where I Am' and 'Message Status' drop-down menus;
- 2. Click **Find**;
- 3. To select and view a message, click on the hyperlinked subject text of the message. From the 'View Secure Message' screen you can reply to, delete, retract the selected message or create a new message.

Note: You can only retract unread messages you have sent.

### **Role maintenance**

The 'Role Maintenance' function allows your AUSTRAC Online Administrator to define and maintain customised local user roles to suit the operational needs for your business in relation to transaction reporting. Your Administrator can create and name user roles which are meaningful to your business as well as increase or decrease access authority levels at discrete function levels beyond the standard default settings.

For further information about creating and maintaining local user roles, refer to section 14 below.

### **Function access maintenance**

'Function Access Maintenance' allows your AUSTRAC Online Administrator to grant or deny access to transaction reporting functions report types and reporting methods by user account or local user role.

For further information about function access maintenance and applying functions to user accounts and local roles, refer to <u>section 14</u> below.

# Reports

The 'Reports' menu options are based on your user access level settings; therefore, you may have one or more of the below options displayed:

- Create/amend reports<sup>6</sup>
- Report file upload<sup>7</sup>
- Report a Cross Border Movement of Monetary Instruments<sup>8</sup>
- Receipts
- Statistics.<sup>9</sup>

Click the plus sign icon + to expand the menu options; or click on 'Reports' to go directly to the 'Create/amend reports' screen.

## **Create/amend reports**

'Create/amend reports' provides the access point to create and submit AML/CTF Act or FTR Act transaction report types relevant to your business. Access to the report types are derived by your business' details and the designated services your business provides:

- 1. AML/CTF Act transaction reporting obligations:
  - a. There is one report type available under section 41 reports of suspicious matters
    - i. Suspicious Matter Report (SMR)
  - b. There are four report types available under section 43 reports of threshold transactions
    - i. Threshold Transaction Report \$10,000 or more Financial and Bullion Services (TTR-FBS)
    - ii. Threshold Transaction Report \$10,000 or more Gambling Services (TTR-GS)
    - iii. Threshold Transaction Report \$10,000 or more Investment/superannuation/insurance (TTR-ISI)
    - iv. Threshold Transaction Report \$10,000 or more Money Services Businesses (TTR-MSB)
  - c. There are two report types available under section 45 reports of international funds transfer instructions
    - i. International Electronic Funds Transfer Instruction Report (IFTI-E)
    - ii. International Funds Transfer Instruction Report under a Designated Remittance Arrangement (IFTI-DRA).

The screen shot below illustrates a typical AML/CTF Act 'Create/amend reports' display for a financial services business:

<sup>&</sup>lt;sup>6</sup> Only available to users with access to one or more AML/CTF Act or FTR Act report type

<sup>&</sup>lt;sup>7</sup> Only available to businesses and users with permission to use the file upload function

<sup>&</sup>lt;sup>8</sup> Available to all AUSTRAC Online 'administrator' and 'approval and submission' users

<sup>&</sup>lt;sup>9</sup> Available to all AUSTRAC Online administrator users by default and to other user types on a permission basis

| Report type | Single<br>report | Spreadsheet                                | Incomplete | Awaiting<br>approval | Returned by<br>AUSTRAC | Default                              |
|-------------|------------------|--|------------|----------------------|------------------------|--------------------------------------|
| IFTI-E      | Create           | Create incoming (0)<br>Create outgoing (0) | <u>0</u>   | <u>0</u>             | <u>0</u>               | Default incoming<br>Default outgoing |
| SMR         | Create           | Not applicable                             | <u>0</u>   | <u>0</u>             | <u>0</u>               | <u>Default</u>                       |
| TTR-FBS     | Create           | Create (0)                                 | <u>0</u>   | <u>0</u>             | <u>0</u>               | Default                              |

The screen shot below illustrates a typical AML/CTF Act 'Create/amend reports' display for the gambling sector:

| Anti-Money L | nti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act) |                |            |                      |                        |                |  |  |  |
|--------------|---|----------------|------------|----------------------|------------------------|----------------|--|--|--|
| Report type  | Single report   | Spreadsheet    | Incomplete | Awaiting<br>approval | Returned by<br>AUSTRAC | Default        |  |  |  |
| SMR          | Create  | Not applicable | <u>0</u>   | <u>0</u>             | <u>0</u>               | Default        |  |  |  |
| TTR-GS       | Create  | Create (0)     | <u>0</u>   | <u>0</u>             | <u>0</u>               | <u>Default</u> |  |  |  |

The screen shot below illustrates a typical AML/CTF Act 'Create/amend reports' display for a remittance service provider:

| Report type | Single<br>report | Spreadsheet                                | Incomplete | Awaiting<br>approval | Returned by<br>AUSTRAC | Default                              |
|-------------|------------------|--|------------|----------------------|------------------------|--------------------------------------|
| IFTI-DRA    | <u>Create</u>    | Create incoming (0)<br>Create outgoing (0) | <u>0</u>   | <u>0</u>             | <u>0</u>               | Default incoming<br>Default outgoing |
| SMR         | Create           | Not applicable                             | <u>0</u>   | <u>0</u>             | <u>0</u>               | <u>Default</u>                       |
| TTR-MSB     | Create           | Create (0)                                 | <u>0</u>   | <u>0</u>             | 0                      | Default                              |

- 2. FTR Act transaction reporting obligations:
  - a. There is one report type available under section 7 reports of significant cash transactions by cash dealers:
    - i. Significant Cash Transaction Report \$10,000 or more Cash Dealers (SCTR)
  - b. There is one report type available under section 15A reports of significant cash transactions by solicitors:
    - ii. Significant Cash Transaction Report \$10,000 or more Solicitors (SCTRS)
  - c. There is one report type available under section 16 reports of suspicious transactions:
    - iii. Suspicious Transaction Report (SUSTR)

The screen shot below illustrates a typical FTR Act 'Create/amend reports' display for a solicitor:

| Financial Transaction Reports Act 1988 (FTR Act) |        |            |                      |                        |                |  |
|--|--------|------------|----------------------|------------------------|----------------|--|
| Report type                                      | Create | Incomplete | Awaiting<br>approval | Returned by<br>AUSTRAC | Default        |  |
| SCTRS  | Create | <u>0</u>   | <u>0</u>             | <u>0</u>               | <u>Default</u> |  |

The screen shot below illustrates a typical FTR Act 'Create/amend reports' display for an insurance intermediary:

| Financial Transac | inancial Transaction Reports Act 1988 (FTR Act) |            |                      |                        |                |  |  |
|-------------------|---|------------|----------------------|------------------------|----------------|--|--|
| Report type       | Create  | Incomplete | Awaiting<br>approval | Returned by<br>AUSTRAC | Default        |  |  |
| SCTR-CD           | Create  | <u>0</u>   | <u>0</u>             | <u>0</u>               | <u>Default</u> |  |  |
| SUSTR             | Create  | <u>0</u>   | <u>0</u>             | <u>0</u>               | <u>Default</u> |  |  |

The 'Create/amend reports' option allows for:

• Data entry of a single report type by clicking on the 'Create' hyperlink in the 'Create' column;

- Data entry of multiple reports of the same type via a spreadsheet by clicking on the 'Create' hyperlink in the 'Spreadsheet' column;
- Review and amendment of incomplete reports which have been previously saved but not submitted by clicking on a numbered hyperlink in the 'Incomplete' column;
- Review and amendment of reports awaiting approval from a user with submission authority access within your business by clicking on a numbered hyperlink in the 'Awaiting Approval' column;
- Review and amendment of Reports Requiring Further Action (RRFA) by clicking on a numbered hyperlink in the 'Returned by AUSTRAC' column; and
- Users to define and save default values for information that remains relatively static between each report submission by clicking on the 'Default' hyperlink in the 'Default' column.

For information regarding various reporting methods, such as data entry and spreadsheet reporting, refer to <u>section 13.2</u> below.

#### Note:

1. You will only have access to the report types that are applicable to your business. Access to the various report types are derived from details about your business and the designated services your business provides. Your AUSTRAC Online administrator is required to regularly review and keep these details up to date.

2. Access to report types and various reporting methods may further be restricted based on your user access levels as defined by your AUSTRAC Online Administrator.

### **Report file upload**

The 'File Upload' page allows users to search, select and submit a file containing transaction reports to AUSTRAC.

Any file containing transaction reports that:

- Have been created through a file extraction process for either AML/CTF Act or FTR Act reporting; or
- Is a comma separated (.csv) file generated from an AUSTRAC-supplied Microsoft Excel template for FTR Act reporting purposes;

can be submitted using this function.

| My Business                               | File Upload  |
|---|--|
| <ul> <li>Transaction Reporting</li> </ul> | You are able to upload FTR Act tag file format, FTR Act CSV (comma-separated values) file format and<br>AML/CTF Act XML file format files via this mechanism.  |
| Administration                            | NOTE: AUSTRAC requires reporting entities to undergo a test process prior to uploading AML/CTF Act XML files.  |
| <ul> <li>Reports</li> </ul>               | Reporting entities who have not undergone the test file process will not have access to upload AML/CTF Act XMI<br>files. To schedule your test process contact AUSTRAC's Data Integrity team on 02 9950 0447 or email: |
| Create/amend reports                      | filespecs@austrac.qov.au.  |
| Report file upload                        |  |
| Receipts                                  |  |
| Statistics                                | Click the Browse button to select the file that you want to upload.  |
|   | Browse   |
| Remittance Sector Register                | Maximum file size is 40MB. Files larger than this must be zipped before loading.   |
| AUSTRAC Online user guide                 | Click the Submit button to transmit the file to AUSTRAC.   |
| AUSTRAC Online user guide                 | Submit   |

1. Electronic report file format specifications for a file extraction process are available from 'AML/CTF Act reporting forms, file specifications and explanatory guides' on the Transaction Reporting page in AUSTRAC Online.

2. An automation option for the 'Report File Upload' function is also available. Please refer to the report file transmission specification available from 'AML/CTF Act reporting forms, file specifications and explanatory guides' on the Transaction Reporting page in AUSTRAC Online.

To submit a report file, click the **Browse** button to search for and select the file you want to upload, and then click **Submit**.

The system will notify you of the success or failure of a report file upload as illustrated in the screen shot below.

| File Upload               |   |  |
|---------------------------|---|--|
|                           | TR Act tag file format files, FTR Act excel spreadsheet.csv and AML/CT      |  |
|                           |   | CTF Act XML files. Reporting entities who have not undergone the test file process will<br>RAC's Data Integrity team on 02 9950 0447 or email: <u>filespecs@austrac.qov.au</u> . |
| Click the Browse button   | to select the file that you want to upload, or type the full path to the fi | file in the box below.   |
|                           | Br  | Browse   |
|                           |   |  |
| Click the Submit button t | to transmit the file to AUSTRAC.  |  |
| Submit                    |   |  |
|                           |   |  |
|                           |   |  |
| File upload successful    | l - the file was transferred. 🗲   |  |
| File name: TTF            | R-FBS2009071301.xml   |  |
| Transfer started: 15      | Jul 2009 10:14  |  |
| Transfer completed: 15    | Jul 2009 10:14  |  |
| Bytes transferred: 490    | 04  |  |
| Reports read: 2           |   |  |
| Reports transferred: 2    |   |  |
|                           |   |  |

In the case of a failed report file upload, use the error messages to determine the cause of the problem and attempt to rectify the problem before contacting the AUSTRAC Contact Centre.

Previous report file upload success or failure details are also available through the 'Receipts' function (refer to <u>Receipts</u> below).

#### File Upload

You are able to upload FTR Act tag file format files, FTR Act excel spreadsheet.csv and AML/CTF Act XML file format files via this mechanism. NOTE: AUSTRAC requires reporting entities to undergo a test process prior to uploading AML/CTF Act XML files. Reporting entities who have not undergone the test file process will not have access to upload AML/CTF Act XML files. To schedule your test process contact AUSTRAC's Data Integrity test mon 02 9950 0447 or enail: <u>filespece@austrac.gov.au</u>.

Could not process the transmitted file - see error message(s) below.

Click the Browse button to select the file that you want to upload, or type the full path to the file in the box below.

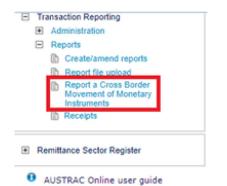
Browse... Click the Submit button to transmit the file to AUSTRAC. Submit Error(s) occurred while uploading the file IFTI-E2009071301.xml. 2 record(s) Message cvc-complex-type.2.4.a: Invalid content was found starting with element 'country'. One of "{"http://austrac.gov.au/schema/reporting/IFTI-E-1":city}" is expected Excerpt from transmitted file: [41:18] <country>AUSTRALIA</country> Additional information: [line:column] location in XML structure [2:241] <ifti-eLIST> [6:23] <swift id='ID\_IRO1'> [38:36] <beneficiaryInstn id='ID\_IRO6'> [39:33] <institution id='ID\_IRO7'> [40:15] <name>MAJOR BANK LIMITED</name> Found 2 actual number of reports in the <ifti-eList> report list which is inconsistent with the value of 3specified in the <reportCount> element Excerpt from transmitted file [86:14] </ifti-eList> Additional information [line:column] location in XML structure [2:241] <ifti-eList> [3:13] <reNumber>2283</reNumber> [4:13] <fileName>EFTI-E209071301.xml</fileName> [5:16] <reportCount>3</reportCount> [5:23] <sWift id='ID\_LR01'> [5:23] <sWift id='ID\_LR01'>

### **Report a Cross Border Movement of Monetary Instruments**

All Australian based and active REs will be given access to the CBM reporting menu in AO, and all newly enrolled REs will be given access upon enrolment.

Reporting of Cross Border Movement of Monetary Instruments (CBM-MI) is only available for two AUSTRAC Online user roles; the Administrator role and the Approval and Submission role.

Once the "Report a Cross Border Movement of Monetary Instruments" menu option is clicked another screen will open called the CBM Dashboard.



#### The CBM-MI Dashboard

The CBM-MI dashboard contains the following features:

- Information about CBM-MI reports
- Buttons to create new CBM-MI reports

 A listing of key fields from recently submitted CBM-MI reports, including the ability to search certain fields

#### Information

If you are **sending or have received** physical currency and/or Bearer Negotiable Instruments into or out of Australia, with a combined value of AUD10,000 or more (or foreign currency equivalent), click **'Report sending/received CBM-MI'** and follow the steps to complete the submission.

If you are *carrying* physical currency and/or Bearer Negotiable Instruments into or out of Australia, with a combined value of AUD10,000 or more (or foreign currency equivalent), click '*Report carrying CBM-MI*' and follow the steps to complete the submission.

Please ensure that you download a copy of the receipt. Visit the AUSTRAC website of for more information.

| SIR Report sending/received CBM-MI C Report carrying CBM-MI |            |                      |  |  |  |  |  |
|---|------------|----------------------|--|--|--|--|--|
| CBM-MI type   | Receipt id | Movement date (±1) 🕕 |  |  |  |  |  |
|   | -          | Select date          |  |  |  |  |  |
| 🗘 RESET 🔍 S   | EARCH      |                      |  |  |  |  |  |

Beneath the buttons there are search fields, and a list of previous CBM-MI report submissions.

Please note that first time CBM-MI users will receive the message "No match found" as shown in the screen capture below. This message will appear until at least one CBM-MI report is submitted. Once a CBM-MI report is submitted, the report summary will be shown in place of the message.

| CBM-MI type | Receipt id | Movement date (±1) 🕕 |
|-------------|------------|----------------------|
|             | *          | Select date          |
| 🗘 RESET 🔍 Q | SEARCH     |                      |
|             |            |                      |
|             |            |                      |
|             |            |                      |

Ith of Australia - AUSTRAC 2022 (@)

Search of previously submitted CBM-MI reports can be done using the following parameters:

- Receipt ID
- CMB-MI type
- Transaction date (±1): movement date

#### Reporting a CBM-MI

Click on the green button to open a new CBM-MI report. A new browser window will open with a CBM-MI report. The only reporting method available for CBM-MI is single data entry. Please note, there is no

save and return functionality, and an incomplete report will not time out provided that the browser cookies are not cleared.

To navigate through the CBM-MI report, you can navigate by clicking the 'Next' button at the bottom of each page or by clicking on the stepper icons across the top (pictured below for the Carrying form) and it will take you to the respective page. You can also click on the sub-title in the Summary & Declaration page to go to the respective page.





Some fields in the form are mandatory. Where the page has an incomplete response, you will receive an error message on that page and on the Summary & Declaration page directing you to complete the required fields.

Some of the fields in the report have suggestion boxes, such as:

- Address lookup
- Currency code
- Telephone prefix

You can add multiple monetary instrument, and also multiple persons in both the 'on behalf of' and 'delivering to' sections of the report.

Once each page is complete click **Submit** on the Summary & Declaration page.

As shown below, a receipt page will be presented with your report details.

Note: Click the "Download PDF" button to save this receipt for your records.



#### **OFFICIAL: Sensitive**

Please download and keep a copy of this Receipt. Please keep this receipt for presentation to an Australian Border Force officer or police officer if asked. If you are unable to show this receipt, you may be asked to fill in a paper version of this form at the border.

#### P DOWNLOAD PDF

#### Receipt id: PRSTFR-116650

Date of submission (DD/MM/YYYY): 16/06/2022

| Summary of declaration  |  |
|---|--|
| Full name<br>Date of birth (DD/MM/YYYY)<br>Arrival date (DD/MM/YYYY)<br>Australian city/town where you are clearing customs<br>Provide passport or travel document that you are travell<br>on | Tester 1<br>Not provided<br>16/06/2022<br>Sydney<br>ing Not provided |
| Estimated total amount in AUD   | \$15,000.00  |
|   |  |
| Part A - Travel details   |  |
| Are you arriving into Australia or departing from Australi<br>Australian city/town where you are clearing customs<br>Arrival date (DD/MM/YYYY)<br>Flight number OR ship name                  | a? ARRIVING into Australia<br>Sydney<br>16/06/2022<br>QA123          |
| Part B - Monetary instrument(s)   |  |
| Foreign (not Australian) city and country the mone  | etary instrument(s) are being carried from                           |
| Town or city<br>Country   | Argentina<br>ARGENTINA   |
| Monetary instrument: Physical currency/cash   |  |
| Currency code   | Amount Amount (AUD) est.   |

15,000

## **Receipts**

AUD - AUSTRALIAN DOLLAR

The 'Receipts' page allows users to search for receipts of previously submitted reports by user ID<sup>10</sup>, reporting method, creation date, reference number and/or submission status.

\$15,000.00

<sup>&</sup>lt;sup>10</sup> Available to AUSTRAC Online administrator users only

|                        |  | Home   Hy Details   Log Off |
|------------------------|--|-----------------------------|
|                        | Receipte       User ID       Reparing wethod       Delse entry       State |                             |
| Reindanot Denis Rupter | Receipt List<br>Please enter your search offeria in the fields above.      |                             |
|                        |  |                             |

The status links will change (e.g. from 'Created' to 'Transferred' to 'Complete') as reports progress through the system.

A status of 'Failed' does not change and any failed submissions will need to be monitored and managed by your business.

## **Statistics**

The 'Statistics' function is a statistical reporting facility to view and analyse reporting activities to AUSTRAC within your business by value, timing, volume and reporting obligations.

|  |  | Home   He Details   Log Off |
|--|--|-----------------------------|
| 31 My Dusiness   | Statistical reports  |                             |
| E Transaction Reporting  | Auroantia<br>Report account can be insured on addigation, and insenantion, data                            |                             |
| Advantation     Apports     Counterparts   | Comparisons  |                             |
| Crases several reports     B Trecempts     B Statistics                            | 1711 vs. 711/3278.comparison.in: Internation.date  |                             |
|  | Timing of reports by reporting obligation and processing data  |                             |
| E Reathrase Sector Register  | Volume<br>Daily/readily meant volumes by transaction date  |                             |
| <ul> <li>AutiTRAC Online user guide</li> <li>AutITRAC Online user guide</li> </ul> | Marchite report, solveres bo unteressive date<br>Report, volveres by reporting method and transaction date |                             |
|  | Easort volverses by transaction, date for the too.30 branches/offices/retell.collete.at.locators           |                             |
|  |  |                             |
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|  |  |                             |
|  |  |                             |

This facility is available to all AUSTRAC Online Administrators by default and is available to other user types on a permission basis.

# 10.2.Reporting methods

AUSTRAC provides three submission methods for electronic reporting via AUSTRAC Online.

For reporting entities submitting AML/CTF Act transaction reports:

- 1. Data entry (i.e. data entry of a single report)
- 2. Spreadsheet (i.e. data entry of multiple reports of the same report type)
- 3. Extraction (i.e. file submission/transmission based on AUSTRAC's electronic report file format specifications).

For motor vehicle dealers and solicitors submitting FTR Act transaction reports, the following are available:

- 1. Data entry (i.e. data entry of a single report)
- 2. Excel (i.e. data entry of multiple reports of the same report type through an AUSTRAC-supplied Microsoft Excel template which is submitted to AUSTRAC via the report file upload function)
- 3. Extraction (i.e. file submission/transmission based on AUSTRAC's electronic report file format specifications).

## Data entry

Single report data entry is useful for businesses with low volumes of reports or for ad hoc reporting. It is also the method used for reviewing intercepted reports from the extraction reporting method or for reports returned by AUSTRAC for verification or further clarification.

#### Creating and submitting a single report

Complete the following steps to submit a single transaction report:

1. Click on the 'Create' hyperlink for the appropriate report type;

| Report type                  | Single<br>report | Spreadsheet                                | Incomplete | Awaiting<br>approval | Returned by<br>AUSTRAC | Default                              |
|------------------------------|------------------|--|------------|----------------------|------------------------|--------------------------------------|
| IFTI-E                       | Create           | Create incoming (0)<br>Create outgoing (0) | <u>0</u>   | <u>0</u>             | <u>0</u>               | Default incoming<br>Default outgoing |
| SMR                          | Create           | Not applicable                             | <u>0</u>   | <u>0</u>             | <u>0</u>               | <u>Default</u>                       |
| TTR-FBS                      | Create           | Create (0)                                 | <u>0</u>   | <u>0</u>             | <u>0</u>               | Default                              |
|                              |                  | 1  |            |                      |                        |                                      |
| inancial Trai<br>Report type |                  | ports Act 1988 (I                          | aplete A   | waiting              | Returned by<br>AUSTRAC | Default                              |
|                              | e Cre            | eate Incon                                 | aplete A   | -                    |                        | Default<br><u>Default</u>            |
| Report type                  | e Cre            | eate Incon                                 | nplete 4   | pproval              | AUSTRAC                |                                      |

- 2. Enter the details about the transaction or suspicious matter as per the requirements of the associated legislation;
- 3. Save the report. This is optional, but recommended to reduce the risk of losing the report and/or its contents since the last save;
- 4. Validate the report and correct any errors (if applicable) and save the report again, if need be;
- 5. Submit the report;
- 6. You may wish to print the receipt for your records and/or create another report.

**Note:** The latter is only available for AML/CTF Act reports.

7. Close the receipt page.

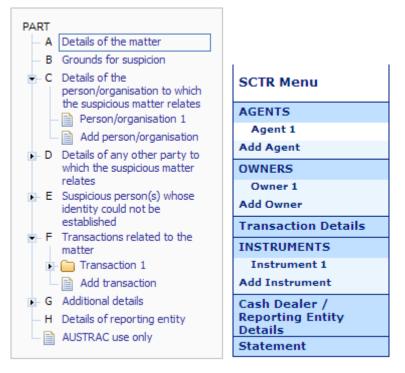
For more detailed assistance related to a specific AML/CTF Act report type, utilise the associated transaction report explanatory guide available in the 'AML/CTF Act reporting forms, file specifications and explanatory guides' on the Transaction Reporting page in AUSTRAC Online.

#### Adding and deleting additional items

To add additional customers, recipients, transactions, etc. to a transaction or suspicious matter report, use one of the 'Add' hyperlinks in the report form tree menu (see the left side of the screen).

It is recommended that the need for additional items within the report be considered before initially creating the report. While additional items can be added at any time while completing a report, the time required to add items is impacted by any entered details in the report.

Furthermore, please prepare, and have available, all documents (spreadsheets, PDF files, etc.) to be attached to the report before initially creating the report to complete.



To add additional accounts, identification documents, etc. use the 'Add' hyperlinks provided in the report form:

| 11 | How was the identity of the o    | ustomer verified? |   | - ? |
|----|----------------------------------|-------------------|---|-----|
|    | Documentation                    |                   |   |     |
|    | Driver's licence                 |                   | ~ |     |
|    | ID type                          |                   |   |     |
|    | 9999AZ                           | RTANSW            |   |     |
|    | ID number                        | Issuer            |   |     |
|    | AUSTRALIA                        |                   |   |     |
|    | Country of issue                 | -                 |   |     |
|    | Add another form of document ide | ntification 🔶     |   |     |

To delete accounts, customers, identification documents, recipients, transactions, etc. use the delete icon 🚺 :



## Spreadsheet

Spreadsheet reporting is only available for AML/CTF Act reporting and is useful for businesses with medium volumes of reports. There are two ways of using spreadsheet reporting:

- 1. Directly enter information into an AUSTRAC Online spreadsheet; and/or
- 2. Copy and paste rows of reports, from a template you have previously exported from AUSTRAC Online, into an AUSTRAC Online spreadsheet.

Initially, only a single row is visible when you create a new AUSTRAC Online spreadsheet. New rows will be automatically created as you type into an empty row or paste reports into the spreadsheet.

To export your own Microsoft Excel spreadsheet template (or similar with other spreadsheet applications) from an AUSTRAC Online spreadsheet:

1. Click on the 'Create' hyperlink in the spreadsheet column for the required report type.

| Report type | Single<br>report | Spreadsheet                                | Incomplete | Awaiting<br>approval | Returned by<br>AUSTRAC | Default                              |
|-------------|------------------|--|------------|----------------------|------------------------|--------------------------------------|
| IFTI-E      | Create           | Create incoming (0)<br>Create outgoing (0) | ← º        | <u>0</u>             | <u>0</u>               | Default incoming<br>Default outgoing |
| SMR         | Create           | Not applicable                             | <u>0</u>   | <u>0</u>             | <u>0</u>               | Default                              |
| TTR-FBS     | Create           | Create (0)                                 | ← 0        | <u>0</u>             | <u>0</u>               | Default                              |

2. Click **Export** to save the template into your preferred spreadsheet application (e.g. into a Microsoft Excel workbook) and save it as a template.

| Thre        | eshold <sup>•</sup> | Fransactio   | n Report \$1 | <b>10,000</b> or           | r more. Fin  | ancial and Bu | Illion Services |   |
|-------------|---------------------|--------------|--------------|----------------------------|--------------|---------------|-----------------|---|
| 5           | ave                 | Submit       | Validate     | Delete                     | Export       | Close         |                 |   |
|             |                     | r text here: |              | bronoto                    |              | Continue      |                 |   |
|             | <b>a</b> 1          | File Do      | wnload       |                            |              |               | _               | X |
| D<br>e      | Custo<br>Full na    |              | ou want to o | pen or sav                 | ve this file | ?             |                 |   |
| l<br>t<br>e |                     |              | Туре         | : TTR-FBS.:<br>: Microsoft | Excel Works  | heet          |                 |   |
|             |                     |              | From         | : ao.austra                | c.gov.au     | Save          | Cancel          |   |

3. Click **Close** in AUSTRAC Online.

Once you have saved the spreadsheet, you can compile your AML/CTF Act reports offline by using the exported template. When you are ready to submit the reports, log into AUSTRAC Online, create a new spreadsheet as described above and complete the following steps:

1. Copy the rows (i.e. reports) from your template/workbook;

|   | A                         | В                                |          | С                           |                         |
|---|---------------------------|----------------------------------|----------|-----------------------------|-------------------------|
| 1 | Customer 1                |                                  |          |                             | Customer 1              |
| 2 | Full name                 | lf known by<br>any other<br>name | (if a    | e of birth<br>an<br>vidual) | Business/<br>box addres |
| 3 | Australian Nuclear Scienc | ANSTO                            |          |                             | ANSTO T                 |
| 4 | Bertram Russell           | Earl Russell                     | ×        | Cu <u>t</u>                 | St                      |
| 5 | Fred Hollows              |                                  | E)       | <u>С</u> ору                | PI                      |
| 6 | Gianni Versace            |                                  | <b>1</b> | Paste                       | ic                      |
| 7 | Iris Murdoch              | Dame Jean Iris                   |          | Paste Spe                   | cial a                  |
| 8 | John Smith                |                                  |          |                             | r                       |

2. Paste the rows into the text box labelled 'Paste your text here' and click Continue;

| Thre   | eshold Transactio    | on Report \$1 | 0,000 o | r more. Investr              | nent/ | superannuation/    | in |
|--------|----------------------|---------------|---------|------------------------------|-------|--------------------|----|
| S      | ave Submit           | Validate      | Delete  | Export Clo                   | se    |                    |    |
| Pa     | aste your text here: |               |         | Co                           | ntin  | ue                 |    |
|        | Customer 1           |               |         |                              |       |                    | С  |
| D      | Full name            |               |         | If known by ar<br>other name | ıy    | Date of birth      | B  |
| e<br>I |                      |               |         | other name                   |       | (if an individual) | (1 |
| e<br>+ |                      |               |         |                              |       |                    | L  |
| e      |                      |               |         |                              |       |                    |    |
|        |                      |               |         |                              |       |                    |    |
|        |                      |               |         |                              |       |                    |    |

- 3. The system will automatically populate AUSTRAC Online with the reports you pasted in and validate the reports. You are required to correct any errors shown in red text on the right-hand side of the screen. Once all corrections have been made click **Save** and **Validate** the reports, again if need be;
- 4. **Click** Submit and all successful reports will be submitted and you will receive confirmation on screen.

**Note:** If you need to delete reports from a spreadsheet, click on **Delete** to select all reports or click on the check box to the left of individual reports to select them then click on the **Delete** button.

There are two spreadsheets associated with international funds transfer instructions (IFTIs) to make it easier to understand the differing requirements between the direction of transfer instructions (i.e. into Australia or out of Australia.

When using the spreadsheet method to submit reports, ensure no more than 50 rows are submitted at any one time. Response times may deteriorate with large numbers of reports.

You are limited by the number of parties which can be reported via an AUSTRAC Online spreadsheet (such as ordering customers and beneficiary customers or payers and payees for IFTI reports and customers and recipients for TTR reports). If the spreadsheet has insufficient space to report all parties associated with a transaction, use the data entry reporting method instead to report the transaction (refer to <u>Data Entry</u> above for details).

Your default settings (refer to <u>Default values</u> below) will be transferred to each spreadsheet template you create using the export feature. If you change your default settings, you should also create a new template.

Any spreadsheet template you create using the export feature will be limited by the number of reports/rows specified in your preferences settings (refer to <u>Preferences</u> above).

Spreadsheet templates can be release and configuration dependent. AUSTRAC will notify reporting entities when spreadsheet templates need to be updated.

## Excel

Excel reporting is only available for FTR Act reporting and is useful for businesses with medium volumes of reports.

AUSTRAC provides formatted Microsoft Excel templates (.xlt files) for this reporting method for the following FTR Act report types:

• Significant Cash Transaction Report \$10,000 or more – Cash Dealers (SCTR)

To create and submit a file of reports using an Excel template:

- 1. Open the appropriate Excel template.
- 2. Enter the relevant information. Each row represents one report. You can enter up to a maximum of 100 reports. The column headers indicate the type of information expected.
- 3. Save the Excel workbook to retain a copy of the reports you are about to submit to AUSTRAC.
- 4. Use the 'Save as' function to create a comma delimited file (.csv).
- 5. Submit the comma delimited file to AUSTRAC via the report file upload function of AUSTRAC Online (refer to <u>Report file upload</u> above).

### Extraction

Extraction reporting is available for both AML/CTF Act and FTR Act reporting and is useful for businesses with large volumes of reports.

Extraction is a process of programmatically retrieving information from computer based systems and placing that information into a file in a format acceptable to AUSTRAC. The file then needs to be submitted via the 'Report File Upload' function of AUSTRAC Online or transmitted via a HTTP request to AUSTRAC Online (refer to <u>Report file upload</u> above).

Copies of the various electronic report file format specifications, report file transmission specification and associated XML schemas can be downloaded from the 'AML/CTF Act reporting forms, file specifications and explanatory guides' page on the Transaction Reporting page in AUSTRAC Online.

# 10.3. Reports Requiring Further Action (RRFA)

AUSTRAC may return submitted transaction reports to the reporting entity for a number of reasons, for instance where the report is missing data or where the reporting entity realised that the report was incorrect and requested it to be returned for correction.

Transaction reports returned by AUSTRAC appear directly in the *Returned by AUSTRAC* queue of the individual AUSTRAC Online user who submitted the report. Additionally, a notification email is sent to the nominated contact officer (as listed on the My Business *Contacts and Users* page). Each RRFA will have an AUSTRAC stipulated timeframe for resubmission. This timeframe usually ranges from 3 to 10 days.

## Viewing the RRFA reports list

The RRFA report/s are accessible in the *Returned by AUSTRAC* queue. This is available in the *Transaction Reporting* menu > *Reports* > *Create/amend reports*.

The RRFA report is returned to the queue of the person who submitted the report.

AO Users with Administrator level access can view their queue, the queue of another user in their business, or the queue for all users:

- By default, <u>your reports queue</u> will display when you navigate to the *create/amend reports* page
- For AO Users with Administrator level access, to view <u>the report queues for all users</u> for the RRFA reports, remove their user id from the Report Search User ID box (so that it is empty) and then click the *Search* button.

The grid shows the number of reports for all users where a report is:

- Incomplete (created but not submitted)
- Awaiting approval (to be submitted)
- Had a report Returned by AUSTRAC (awaiting a response and resubmission).
- For AO Users with Administrator level access, to view the <u>queue of another user</u>, you may enter the (AUSTRAC Online User ID (if known) or click on the *Search for a user…* hyperlink, located below the User Id box. This will take you to a search screen, where you can search on a full or partial name

A search against a specified User ID will only return results applicable to that one User ID.

| Transaction Re                                   | ports   |   |   |   |   |
|--|---|---|---|---|---|
| Report Search<br>User ID acuser1<br>Search for a | user  |   |   |   |   |
| Search Clear                                     | ion Reports Ac  | t 1988 (FTR Act)  |   |   |   |
| Report type                                      | Create  | Incomplete  | Awaiting<br>approval  | Returned by<br>AUSTRAC  | Default   |
| IFTI   |   | 2   | 2   | 2   | Default   |
| SCTR-CD  | Greate  | 2   | 2   | 2   | Default   |
| SUSTR  | Create  | 9   | 0   | 0   | Default   |
|  | Report Search<br>User ID aduser1<br>Search Clear<br>Financial Transact<br>Report type<br>IFTI | User ID acuser1<br>Search for a user<br>Search Clear<br>Financial Transaction Reports Act<br>Report type Create | Report Search         User ID accuser1         Search for a user         Plinancial Transaction Reports Act 1988 (FTR Act)         Report type       Create       Incomplete         IFTI       2       2 | Report Search         User ID_acuserI         Search for a usering         Search for a usering         Search for a usering         Search for a usering         Financial Transaction Reports Act 1988 (FTR Act)         Report type       Create       Incomplete       Awaiting approval         IFTI       Q       Q | Report Search         User ID adduser1         Search for a user         Search Clear         Financial Transaction Reports Act 1988 (FTR Act)         Report type       Create       Incomplete       Awaiting approval       Returned by AUSTRAC         IFTI       Q       Q       Q |

## Access the returned report

To access the returned report/s click on the hyperlinked number listed in the *Returned by AUSTRAC* column for the corresponding *Report Type*.

Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF Act)

| Single report | Spreadsheet                                | Incomplete  | Awaiting<br>approval  | Returned by<br>AUSTRAC  | Default   |
|---------------|--|---|---|---|---|
| Create        | Create incoming (0)<br>Create outgoing (0) | <u>0</u>  | <u>0</u>  | <u>0</u>  | Default incoming<br>Default outgoing  |
| Create        | Not applicable                             | <u>0</u>  | <u>0</u>  | <u>0</u>  | Default   |
| Create        | Create (0)                                 | <u>0</u>  | <u>0</u>  | 1   | Default   |
|               | Create<br>Create                           | Create     Create incoming (0)<br>Create outgoing (0)       Create     Not applicable | Create     Create incoming (0)<br>Create outgoing (0)     0       Create     Not applicable     0 | Single report         Spreadsneet         Incomplete         approval           Create         Create incoming (0)<br>Create outgoing (0)         0         0         0           Create         Not applicable         0         0         0 | Single report         Spreadsneet         Incomplete         approval         AUSTRAC           Create         Create incoming (0)<br>Create outgoing (0)         0         0         0         0           Create         Not applicable         0         0         0         0         0 |

As shown below, a report list for that report type will display. The report list grid is a search facility with the option to select, edit or view each report listed. In addition, there are 5 buttons: *Search, Clear, Reassign, Select all on page, Select all.* An option to either *Edit* or *View* the report is displayed as a hyperlink on the right-hand-side of the page.

| ser ID             |                         | Search                            | for a user |                          |                       |          |       |       |
|--------------------|-------------------------|-----------------------------------|------------|--------------------------|-----------------------|----------|-------|-------|
| ransact            | ion date                | From                              |            | To                       |                       | (D       | о ммм | YYYY) |
|                    | C reference number      |                                   |            |                          |                       |          |       |       |
| eporting<br>TV Num | g entity internal refer | rence number                      |            |                          |                       |          |       |       |
|                    |                         |                                   |            |                          |                       |          |       |       |
| Search             | Clear Reassig           | n Select all on                   | page Sel   | ect all                  |                       |          |       |       |
| leport I           | ist                     |                                   |            |                          |                       |          |       |       |
|                    | rd(s) for [1] THE B     | USINESS ACCOUNT                   | -          | THE EN                   | TIRE BUSINES          | S REPORT | S     |       |
| Select             | Transaction date        | Reporting entity<br>reference no. | User ID    | AUSTRAC<br>reference no. | AUSTRAC<br>report no. | QTV no.  |       |       |
|                    | 22 Jul 2013             |                                   | hbaloo     | 10387690                 | 381442702             | 63906    | Edit  | View  |
|                    | 22 Jul 2013             |                                   | aouser3    | 10387689                 | 381442701             | 63906    | Edit  | View  |
|                    | 22 Jul 2013             |                                   | aouser3    | 10387688                 | 381442207             | 63906    | Edit  | View  |
|                    | 22 Jul 2013             |                                   | aouser3    | 10387687                 | 381442199             | 63906    | Edit  | View  |
|                    | 19 Jul 2013             |                                   | aouser3    | 10387686                 | 381440832             | 63906    | Edit  | View  |
|                    | 19 Jul 2013             | -                                 | aouser3    | 10387685                 | 381440831             | 63906    | Edit  | View  |
|                    | 18 Jul 2013             | -                                 | aouser3    | 10387684                 | 381437287             | 63906    | Edit  | View  |
|                    | 18 Jul 2013             | _                                 | aouser3    | 10387683                 | 381437286             | 63906    | Edit  | View  |
|                    | 18 Jul 2013             | -                                 | aouser3    | 10387682                 | 381436552             | 63906    | Edit  | View  |
|                    | 18 Jul 2013             | -                                 | aouser3    | 10387681                 | 381436551             | 63906    | Edit  | View  |
| <b></b>            | 18 Jul 2013             |                                   | aouser3    | 10387680                 | 381436545             | 63906    | Edit  | View  |
|                    | 17 Jul 2013             | -                                 | aouser3    | 10387679                 | 381434373             | 63906    | Edit  | View  |
|                    |                         |                                   | aouser3    | 10387678                 | 381434372             | 63906    | Edit  | View  |

**Note:** While you may view reports returned to another AO user, you will need to reassign the report to your user id so that you can save changes and/or submit the report back to AUSTRAC.

Alternatively, you may prefer to view the report and then refer the individual who originally submitted the report to attend to the matter and resubmit the report to AUSTRAC.

Please refer to the following section for information on the Reassign function.

### Reassign a Returned Report to a different user

Note: If this section does not apply, please go to section 3.

- 1. Select the required report/s from the report list
- 2. Click the Reassign button

| ser ID     |                              | Search                            | h for a user |                          |                       |         |       |       |
|------------|------------------------------|-----------------------------------|--------------|--------------------------|-----------------------|---------|-------|-------|
| ransact    | ion date                     | From                              |              | То                       |                       | 0) 🛅    | D MMM | YYYY) |
| USTRAC     | C reference number           |                                   |              |                          |                       |         |       |       |
|            | g entity internal refer      | ence number                       |              |                          |                       |         |       |       |
| QTV Nun    | nber                         |                                   |              |                          |                       |         |       |       |
| Search     | Clear Reassig                | n Select all on                   | page Sel     | ect all                  |                       |         |       |       |
|            |                              |                                   |              |                          |                       |         |       |       |
| Report I   | List<br>rd(s) for [1] THE BI | JSINESS ACCOUNT                   | r            |                          |                       |         |       |       |
| Select     | Transaction date             | Reporting entity<br>reference no. | User ID      | AUSTRAC<br>reference no. | AUSTRAC<br>report no. | QTV no. |       |       |
|            | 22 Jul 2013                  |                                   | hbaloo       | 10387690                 | 381442702             | 63906   | Edit  | View  |
|            | 22 Jul 2013                  |                                   | aouser3      | 10387689                 | 381442701             | 63906   | Edit  | View  |
| <b>1</b>   | 22 Jul 2013                  | 1                                 | aouser3      | 10387688                 | 381442207             | 63906   | Edit  | View  |
| <b>[</b> ] | 22 Jul 2013                  |                                   | aouser3      | 10387687                 | 381442199             | 63906   | Edit  | View  |
|            | 19 Jul 2013                  |                                   | aouser3      | 10387686                 | 381440832             | 63906   | Edit  | View  |
| <b>[</b> ] | 19 Jul 2013                  | -                                 | aouser3      | 10387685                 | 381440831             | 63906   | Edit  | View  |
|            | 18 Jul 2013                  |                                   | aouser3      | 10387684                 | 381437287             | 63906   | Edit  | View  |
| <b>[</b> ] | 18 Jul 2013                  | 1                                 | aouser3      | 10387683                 | 381437286             | 63906   | Edit  | View  |
|            | 18 Jul 2013                  | 1                                 | aouser3      | 10387682                 | 381436552             | 63906   | Edit  | View  |
|            | 18 Jul 2013                  |                                   | aouser3      | 10387681                 | 381436551             | 63906   | Edit  | View  |
| <b>m</b>   | 18 Jul 2013                  |                                   | aouser3      | 10387680                 | 381436545             | 63906   | Edit  | View  |
|            | 17 Jul 2013                  | 1                                 | aouser3      | 10387679                 | 381434373             | 63906   | Edit  | View  |
|            | 17 Jul 2013                  | 1                                 | aouser3      | 10387678                 | 381434372             | 63906   | Edit  | View  |

3. A new screen will display. Type the User ID that you want the RRFA reassigned to, or to locate a user use the *Search for a user* hyperlink. Click on the *Reassign* button to complete the action.

| Reassign  | ·  |                   |                                     |
|---|--|-------------------|-------------------------------------|
|   | be reassigned:                                   |                   |                                     |
|   | be reassigned:<br>Reporting entity reference no. | User ID           | AUSTRAC reference no. ¢             |
| Return to RRFA list<br>2 TTR-FBS report(s) wil<br>Transaction date +<br>22 Jul 2013 | -  | User ID<br>hbaloo | AUSTRAC reference no. ¢<br>10367690 |

4. You will be advised that the report/s were successfully reassigned. Note, that the User ID has changed in the User ID column. Click on the Return to RRFA list to go back to the previous page. If you reassigned the report/s to yourself you will now be able to edit and submit reports back to AUSTRAC.

| Select   | Transaction date | Reporting entity<br>reference no | User ID | AUSTRAC<br>reference no | AUSTRAC<br>report no | QTV no. |             |      |
|----------|------------------|----------------------------------|---------|-------------------------|----------------------|---------|-------------|------|
| <b>1</b> | 22 Jul 2013      |                                  | hbaloo  | 10387690                | 381442702            | 63906   | Edit        | View |
|          | 22 Jul 2013      |                                  | aouser3 | 10387689                | 381442701            | 63906   | Edit        | Viev |
|          | 22 Jul 2010      |                                  | 0005015 | 10007000                | 001112207            | 00000   | <u>5.00</u> | VIC  |
|          | 22 Jul 2013      |                                  | aouser3 | 10387687                | 381442199            | 63906   | Edit        | Viev |
|          | 19 Jul 2013      |                                  | aouser3 | 10387686                | 381440832            | 63906   | Edit        | Viev |
|          | 19 Jul 2013      | 1                                | aouser3 | 10387685                | 381440831            | 63906   | Edit        | Viev |
| -        | 18 Jul 2013      |                                  | aouser3 | 10387684                | 381437287            | 63906   | Edit        | Viev |
|          | 18 Jul 2013      | 1                                | aouser3 | 10387683                | 381437286            | 63906   | Edit        | View |
| -        | 18 Jul 2013      | 1                                | aouser3 | 10387682                | 381436552            | 63906   | Edit        | Viev |
|          | 18 Jul 2013      | -                                | aouser3 | 10387681                | 381436551            | 63906   | Edit        | View |
|          | 18 Jul 2013      |                                  | aouser3 | 10387680                | 381436545            | 63906   | Edit        | Viev |
|          | 17 Jul 2013      | 1                                | aouser3 | 10387679                | 381434373            | 63906   | Edit        | Viev |
|          | 17 Jul 2013      | 1                                | aouser3 | 10387678                | 381434372            | 63906   | Edit        | View |

### Action the RRFA

- 1. In the reports returned by AUSTRAC page, click on the *Edit* hyperlink.
- 2. The "AUSTRAC Requests Verification of Report Details"- page will display. Read the AUSTRAC comments and Note the listed date for the *Return to AUSTRAC* for the relevant requirements. The AUSTRAC comments explain why AUSTRAC returned the transaction report.

| A Details of the castometry.<br>A Details of the castometry.<br>C C basis of the provide of the relationship<br>D basis of the provide of the relationship<br>D basis of reporting entity.<br>D basi | Image: Vertication Regard         Image: Number of the control of the | PART  | AUSTRAC REQUESTS VERIFICATION OF REPORT DETAILS  | AUSTRAC comments:   |
|--|---|---|--|---|
| the Your Response box. Next asso >>>  Entry Validate Class Print preview   | Pre Your Response hox. Next annum host  | Ventication request     A Details of the customer(s)     B Details of the individual(s)     conducting the transaction     C Details of the transaction | Return to AUSTRAC by: 03 Aog 2013 - Due date for the return Convents:  Systems in #DEMDAG an:29-Au-2012 Systems to #DEMDAG an:29-Au-2012 Returned to AUSTRAC Provided Statement who respect is returned to AUSTRAC Date and the statement who respect is returned to AUSTRAC Date 2014 | Py User Id:HENDENE on:29-541- 2013     Rease verify this     transaction involved physical     obs of 200 540,000 or more     worked 200 540,000 or mo |
|  |   |   | the "Your Response' box.   |   |
| Messages   | Messages  |   | Barre Validate Close Print preview   | *   |
|  |   |   |  | Messages  |

- 3. Review the details of the report in line with the verification request outlined in the *AUSTRAC comments*. Make all amendments to the report as necessary.
- 4. As part of your response you will need to complete one of the options on the right-hand-side of the screen. Select the most relevant option from the list provided and complete the '*Your response*' box.

For example, if the transaction is correct and no changes are needed, select the option *Report is correct – No change* and enter a brief explanation in the '*Your response*' field.

Other possible scenarios are available depending on the *Report Type* and the circumstance. For example, in relation to a TTR there are "*Suspend report – Non cash*"; "*Report is a duplicate*"; and "*I have amended this report*".

All returned reports will require a comment added to the 'Your response' field.

- 5. Click on the Validate button to check for any errors in the report.
- 6. If there are validation errors, they will appear in the Messages box. Click on the errors and they will reopen the report. Fix the error/s and repeat this exercise (*Validate* button validation error fix) until *no validation error* is returned.
- 7. Click on the *Submit* button once you are satisfied that the report is an accurate representation of the transaction.
- 8. After the successful submission, a copy of the submitted transaction report is presented for you to print for your records (*Print* button is at the bottom of the screen).
- 9. Click Close.
- 10. The RRFA will no longer appear in the list.

# 10.4. Other useful features of transaction reporting

Other useful features of transaction reporting are:

- Default values
- Flexible date formats
- Linked reporting obligations
- Lookups
- Online help
- Report form navigation
- Suggestion boxes.

## **Default values**

If you find you are repeatedly entering the same information for a report type, you may set up default values which will pre-populate fields in each new data entry report you create.

To set up default values, use the following general steps:

1. Click on the 'Default' hyperlink for the applicable report type;

| PAR | C - DETAILS OF THE TRANSACT   | ION               |                      |              |   |   |
|-----|---|-------------------|----------------------|--------------|---|---|
| 24  | Date of transaction   | 7.31.09           |                      |              |   | ? |
| 25  | Transaction reference number  |                   |                      |              |   | ? |
| 26  | Total amount of transaction (inc<br>components. If foreign currency<br>dollars) |                   | AUD<br>Currency code | Amount/value |   | 2 |
| 27  | Designated service to which the threshold transaction relates                   | - Please select - |                      | 1            | • | 2 |

- 2. Enter your default value settings;
- 3. Save your default value settings; and
- 4. Close the report defaults page.

You can also modify or delete your default value settings.

**Note**: Default value settings are used for each new single data entry report or each new AUSTRAC Online spreadsheet you create.

### Flexible date formats

The default date format is based on your computer/system's regional settings. For example, if your regional setting is set to use English (Australia), the default date format will be DD MMM YYYY or where DD represents the day of the month, MMM represents month and YYYY represents year. Alternatively, English (United States) uses the default date format MMM DD YYYY where MMM represents month, DD represents the day of the month and YYYY represents year.

| PAR | C - DETAILS OF THE TRANSACTI  | ON                |                      |              |   |   |
|-----|---|-------------------|----------------------|--------------|---|---|
| 24  | Date of transaction   | 31.7.09           |                      |              |   | ? |
| 25  | Transaction reference number  |                   |                      |              |   | ? |
| 26  | Total amount of transaction (inc<br>components. If foreign currency<br>dollars) |                   | AUD<br>Currency code | Amount/value |   | ? |
| 27  | Designated service to which the threshold transaction relates                   | - Please select - |                      |              | ~ | ? |

| PAR | C - DETAILS OF THE TRANSACT   | ION               |                      |              |   |   |
|-----|---|-------------------|----------------------|--------------|---|---|
| 24  | Date of transaction   | 7.31.09           |                      |              |   | ? |
| 25  | Transaction reference number  |                   |                      |              |   | ? |
| 26  | Total amount of transaction (inc<br>components. If foreign currency<br>dollars) |                   | AUD<br>Currency code | Amount/value |   | ? |
| 27  | Designated service to which the threshold transaction relates                   | - Please select - |                      |              | ~ | ? |

You are not restricted to the format indicated by a date field caption. For example, depending on your regional setting, 31 July 2012 can be entered as:

- dd/mm/yy so that 31/7/12 or 31/07/12 is converted to 31 Jul 2012
- dd-mm-yy so that 31-7-12 or 31-07-12 is converted to 31 Jul 2012
- dd.mm.yy so that 31.7.12 or 31.07.12 is converted to 31 Jul 2012.

**Note:** Flexible date formats are only available for AML/CTF Act single data entry and spreadsheet reports.

### Linked reporting obligations

One transaction can trigger more than one reporting obligation.

For example, your business may observe a customer acting suspiciously (with regard to money laundering risks or terrorism financing risks), who arranges for an international funds transfer of AUD15,000 and uses cash to cover the value of the transfer and any relevant fees/charges for the service. This is one transaction; however, it meets the criteria of all three reporting obligations under the AML/CTF Act:

- 1. The international funds transfer triggers a report for an international funds transfer instruction (IFTI) report;
- 2. The use of cash greater than or equal to AUD10,000 (or its foreign equivalent) triggers a report for a threshold transaction; and
- 3. The person acting suspiciously triggers a report for a suspicious matter.

Upon submission of an AML/CTF Act single data entry report, the report receipt will notify you of any other possible reporting obligations in relation to the transaction. The report receipt will also provide you the opportunity to create, if needed, another reporting obligation report pre-filled with information from the submitted report as illustrated in the screen shot below:

|                   | Report submitted successfully to AUSTRAC  |  |  |  |  |  |  |
|-------------------|---|--|--|--|--|--|--|
|                   | Sensitive (when complete)   |  |  |  |  |  |  |
| Impo              | rtant notice  |  |  |  |  |  |  |
| Thre              | hold transaction reporting obligation   |  |  |  |  |  |  |
| more<br>a com     | port of an international funds transfer instruction indicates an amount of AUD10,000 (or foreign equivalent) or<br>has been received from the payer. If your business received these funds as physical currency or e-currency and<br>esponding threshold transaction report for financial and bullion services (TTR-FBS) report has not been previously<br>ted, your business is obligated to report a TTR-FBS under section 43 of the AML/CTF Act. |  |  |  |  |  |  |
| Click (<br>report | n the TTR-FBS link to create a report of a threshold transaction and pre-populate it with information from this   |  |  |  |  |  |  |
| Susp              | cious matter reporting obligation   |  |  |  |  |  |  |
| If you            | business suspects on reasonable grounds that:   |  |  |  |  |  |  |
| 1.                | Any person/organisation or agent involved or associated with this international funds transfer is not who they claim to be; or  |  |  |  |  |  |  |
| 2                 | Any person/organisation, agent or this international funds transfer is involved or associated with:   |  |  |  |  |  |  |
|                   | a. Money laundering; or   |  |  |  |  |  |  |
|                   | b. Financing of terrorism; or   |  |  |  |  |  |  |
|                   | c. Offence(s) against a Commonwealth, State or Territory law; or  |  |  |  |  |  |  |
|                   | d. Proceeds of crime; or  |  |  |  |  |  |  |
|                   | e. Tax evasion  |  |  |  |  |  |  |
|                   | corresponding suspicious matter report (SMR) has not been previously submitted, your business is also obligated<br>ort a SMR to AUSTRAC under section 41 of the AML/CTF Act.  |  |  |  |  |  |  |
| Click             | n the SMR link to create a report of a suspicious matter and pre-populate it with information from this report.   |  |  |  |  |  |  |
|                   |   |  |  |  |  |  |  |
| Inte              | rnational Electronic Funds Transfer Instruction Report  |  |  |  |  |  |  |
| instr             | ete this form if you are a reporting entity sending or receiving an international electronic funds transfer<br>action as specified under items 1 and 2 of section 46 of the Anti-Money Laundering and Counter-Terrorism<br>cing Act 2006 (AML/CTF Act).   |  |  |  |  |  |  |

**Note:** These notices are displayed whenever a trigger for another reporting obligation has been detected. However, the link to create another reporting obligation report is only displayed when the user, who submitted the original report, has the relevant access to create the other report.

### Lookups

If your business maintains a list of branches, offices, retail outlets or locations in AUSTRAC Online (refer to <u>section 9</u> above), this information can be utilised for reporting purposes through the 'Lookups' function.

'Lookups' are denoted by hyperlinks starting with the word 'Search' as illustrated in the screen shot below.

| Address of the other states of the second se |                  |                         |                   |   |          |                  | Me               |
|--|------------------|-------------------------|-------------------|---|----------|------------------|------------------|
|  |                  | eer)<br>COF             |                   | 22283<br>UNIVERSAL BANKING<br>CORPORATION |          |                  |                  |
|  | number of branch | h/office at wh          | ich the threshold |   |          |                  |                  |
| arch for a branch/office   | I                |                         |                   |   |          |                  |                  |
|  |                  |                         |                   |   |          | _                |                  |
|  |                  | Identifier status Activ |                   | ve 💌                                      |          | City/town/suburb |                  |
| Branch ID  | Ide              | indites avenues [*      | ACUVE             |   |          |                  |                  |
| Location   |                  | ation status            |                   | •   | Postcode |                  | State            |
|  |                  |                         |                   |   |          |                  | State [          |
| Search Clear   |                  |                         | Active            | •   |          | State +          | State Postcode e |
| Search Clear<br>record(s)  | Loci             | ation status            | Active            | •   | Postcode | State +          |                  |

**Note:** This feature is only available with the single report data entry reporting method.

#### **Online help**

#### Data entry

To access online help for a particular field when using the single report data entry method, place the cursor over the question mark icon to the right of the field.

| PAF | RT A - DETAILS OF THE CUSTOMER   | (S)          |     |   |
|-----|----------------------------------|--------------|-----|---|
| С   | istomer 1                        |              |     |   |
| 1   | Full name                        |              | Fu  | ll name   |
| 2   | If known by any other name, pl   | ease specify | rel | ter the name of the customer who is a party to the transaction<br>ated to the designated services that you or your organisation<br>wides.   |
|     | Add another name                 |              | an  | te: For an individual, enter all given names and family name. For<br>ion-individual, enter the full legal name of the organisation.<br>oid using initials where full names are available. |
| 3   | Date of birth (if an individual) | DD MMM YYYY  | -   |   |

#### Spreadsheet

To access online help for a particular field when using the AUSTRAC Online spreadsheet, place the cursor over the field label.

|             | PAR           | FA - DETAILS OF THE CUSTOMER   |            |  |
|-------------|---------------|--|------------|--|
|             | Cust          | omer   | Customer o | cont   |
|             | - "           | Full same  |            | <u>.                                    </u> |
| D<br>e<br>l | <u>Full r</u> | Full name<br>Enter the name of the customer who is a party to the transaction related to the d<br>services that you or your organisation provides.                         | esignated  | ider<br>addr                                 |
| e + e       |               | Note: For an individual, enter all given names and family name. For a non-individ<br>full legal name of the organisation. Avoid using initials where full names are availa |            |  |
|             |               |  |            |  |

Field help is also available for exported spreadsheet templates. To access field help, place the cursor over the comment icon associated with a field or use the display commands of your spreadsheet application to show or hide comments.

|   | A                                | B         | C |          | D   | E               | F         | G | Н    |
|---|----------------------------------|-----------|---|----------|---|-----------------|-----------|---|------|
| 1 | PART A - DETAILS OF THE CUSTOMER |           |   |          |   |                 |           |   |      |
| 2 | Customer                         |           |   | cu       | stomer contact details  |                 |           |   | _    |
| 3 | Full name                        | any other |   | Bu<br>bo | Date of birth (if an individual)<br>If the customer is an individual er | nter their date | of birth. |   | itry |
| 4 |                                  |           |   |          |   |                 |           |   |      |

### **Report form navigation**

There are various ways to navigate through a report form, such as:

- Moving sequentially forward and back through the pages with the 'Next Page >>>' and '<<<
   Previous Page' hyperlinks;</li>
- Utilising the menu tree to skip parts of the report form that may not be relevant to your business or to go directly to a part/section without having to page through the report;

| <ul> <li>A Details of the customer(s)</li> </ul>  |  |                               |
|---|--|-------------------------------|
| <u>Customer 1</u>   | 12 How was the transaction conducted?  | ?                             |
| Add customer     How was the     Conducted     Details of the ind     C Details of the tra     D Details of the tra | tial Address<br>John Citizen<br>U205C/601 High<br>Street<br>Penrith 2751<br>NSW<br>Australia<br>Australia<br>Part B<br>go to Part C<br>art C<br>Cility, go to Part<br>Cility, go to Part<br>Ci |                               |
|   | <u>Clear</u><br><<< Previous page<br>Save Validate Submit Close Delete   | <u>Next page &gt;&gt;&gt;</u> |

 Utilising the 'Validation Error Message' links to go directly to the field where an error has been detected.

| PART  | PART C - DETAILS OF THE TRANSACTION  | Messages   |
|---|--|--|
| A Details of the customer(s)     Details of the customer(s)     Customer 1     Add customer | 24 Date of transaction Do Ameri 2017   | PART C - Transaction      Must enter date of transaction                     |
| How was the transaction   | 25 Transaction reference number DEP20101007-0775   | PART D - Details of reporting entity   |
| B Details of the individual(s)<br>conducting the transaction     im Individual 1            | 26 Total amount of transaction (include cash and other<br>components. If foreign currency involved, convert to Australian<br>dollars) Convertione Amountaine | Must enter name of branch/location     Must enter address of branch/location |
| C Details of the transaction     Transaction  | 27 Designated service to which the Account/deposit taking services V   |  |
| Recipient I   | Complete BOTH sections 1 and 2 to reconcile the exchange of money/value in the<br>transaction  |  |

**Note:** These navigational features are only available with the single report data entry and spreadsheet reporting methods.

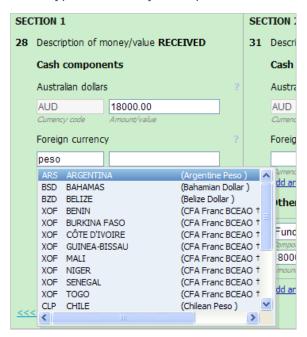
### **Suggestion boxes**

Suggestion boxes are available for some fields such as:

City/town/suburb

- Country
- Currency code
- Electronic data source
- ID issuer
- Occupation, business or principal activity
- Type of authorisation.

For example, if you do not know the currency code for a country, you can enter the name of the country or the type of currency to be presented with a list of suggestions to choose from.



**Note:** This feature is only available with the single report data entry reporting method for AML/CTF Act reports.

# 11. Role and function access maintenance

# 11.1.Defining and maintaining local roles with role maintenance

The 'Role Maintenance' function can be used by your AUSTRAC Online Administrator to define and maintain customised local user roles to suit the operational needs of your business in AUSTRAC Online.

A local role is role definition which can be applied to multiple users and it is useful for when your business needs to apply a function access change to a number of users at a time, instead of applying the change user by user.

Once a local role has been associated with a user, this local role and associated function access levels overrides the default global role assigned to the user.

**Note:** To access the role maintenance function, click on 'Administration' under the 'Transaction Reporting' menu and then click on 'Role Maintenance'.

| Role List         |
|-------------------|
| Find Clear        |
| Role Id           |
| Role Display Name |
| Role Description  |
| Role Type 🔽       |
| Add New Role      |

From the 'Role List' screen, you can:

1. Search for existing global and local roles by clicking on the **Find** button.

| Role List                       |                             |                                 |                  |
|---------------------------------|-----------------------------|---------------------------------|------------------|
| Find Clea                       | ar                          |                                 |                  |
| Role Id                         |                             |                                 |                  |
| Role Display Name               |                             |                                 |                  |
| Role Description                |                             |                                 |                  |
| Role Type                       | ~                           |                                 |                  |
| Add New Role                    |                             |                                 |                  |
| 3 records in 1 page displayed   |                             |                                 |                  |
| Role ID                         | Role Display Name           | Description                     | Туре             |
| registration authoriser<br>user | Administrator<br>Data Entry | Registration Authoriser<br>User | Global<br>Global |
| verifier                        | Approval And Submission     | Verifier                        | Global           |

**Note:** Click on a role ID link to go to the 'Role Maintenance' screen to view, edit or delete the role details.<sup>11</sup>

- 2. Or to add a new local role:
  - a. Click on the 'Add New Role' hyperlink. This will take you to the 'Role Maintenance' screen.
  - b. Enter the local 'Role Id', role display name and role description details for the local role. This needs to be something meaningful to suit your business' operational requirements.
  - c. Click the **Add** button to create a local role.

| Role Mainte             | enance                                     |
|-------------------------|--|
| Role added successfully | ,<br>,                                     |
| Add Chan                | ge Delete                                  |
| Role Id                 | eft_clerk                                  |
| Role Display Name       | EFT Clerk                                  |
| Role Description        | Electronic funds transfer data entry clerk |

From the 'Role Maintenance' screen, you can also:

- 1. Alter the role ID, role display name or role description details by updating any of these details and clicking on the **Change** button; or
- 2. Delete a local role by clicking on the **Delete** button.

Note:

<sup>&</sup>lt;sup>11</sup> Only local roles can be changed or deleted

1. Once a local role has been created, you will need to add function access definitions to the role. You will then need to associate the role to user accounts. Refer to <u>section 14.2</u> below for details.

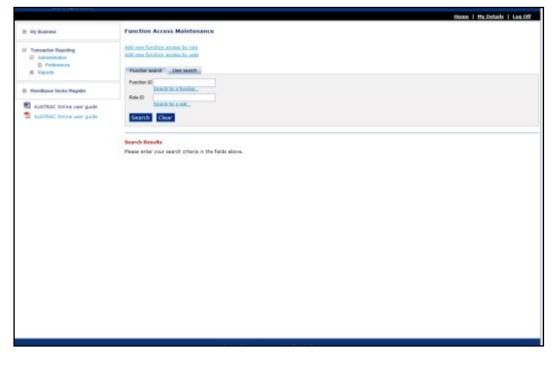
2. Deleting a local role that has associated user accounts will result in those user accounts reverting to their global role (or AUSTRAC Online access role) setting.

# 11.2.Defining function access for user accounts and local roles

'Function Access Maintenance' is used to maintain the access of a single user or local role (i.e. multiple users) to transaction reporting functions (such as the statistical reports page function), report types and reporting methods. This is achieved by adding, varying or deleting function access definitions (also known as a 'Function ID') to a user account or local role.

To access, click on 'Administration' under the 'Transaction Reporting' menu and then select 'Function Access Maintenance'.

A function access definition is a predefined set of screens and processes in AUSTRAC Online. Refer to Appendix B for a full list of function IDs.<sup>12</sup>



### Defining and maintaining function access definitions for local roles

To add a function access definition to a local role:

1. Click the 'Add new function access by role' hyperlink;

<sup>&</sup>lt;sup>12</sup> AUSTRAC Online administrators will only see and have access to a subset of function IDs. Namely, the function IDs relevant to their business, which is derived from the business details and designated services provided to customers.

| My Business   | Add Function Access  |
|---|--|
| <ul> <li>Transaction Reporting</li> <li>Administration</li> <li>Preferences</li> <li>Reports</li> </ul> | Function ID     Search for a function       Role ID     Search for a role       Access level |
| Remittance Sector Register  | Add Cancel   |
| AUSTRAC Online user guide   | Return to function access maintenance  |

- 2. Enter (or search and select) the 'Function ID' to be associated with the local role (refer to Appendix B for a list of function IDs).
- 3. Enter (or search and select) the 'Role ID' of the local role (previously created using the role maintenance function, refer to <u>section 14</u> above for details).
- 4. Select the required access level (refer to Appendix B.2 for a list of access level values and descriptions).

| Transaction Reporting                                   | Function ID Iffi_e_data_entry<br>Search for a function |
|---|--|
| <ul> <li>Administration</li> <li>Preferences</li> </ul> | Role ID eft_clerk Search for a role                    |
| Reports   | Access level   |
| Remittance Sector Register                              | Add Can No Access                                      |
| AUSTRAC Online user guide                               | Return to func Submit Admin                            |
| AUSTRAC Online user guide                               |  |

- 5. Click Add to associate the function access definition with the local role;
- 6. Repeat steps 2 through 5 for each function access definition to be associated with the local role;
- 7. Associate the local role to the applicable user accounts, as required. This step is required for new local roles to become effective. It is not required when adjusting access levels for an existing local role.

To change or delete a function access definition for a local role:

- 1. Select the 'Function search' tab in the 'Function Access Maintenance' screen;
- 2. Default or enter (or search and select) the 'Function ID'.
- 3. Default or enter (or search and select) the 'Role ID' of the local role; and
- 4. Click the **Search** button;

5. Select the function ID by clicking on the 'Role access' link;

| Edit Functi    | on Access                      |
|----------------|--------------------------------|
| Function ID    | ifti_data_entry                |
| Role ID        | eft_clerk<br>Search for a role |
| Access level   | No Access 💌                    |
| Update         | Delete Cancel                  |
| Return to fund | ction access maintenance       |

6. Click **Update** to alter any details or **Delete** to remove the function ID association from the local role.

### Applying local roles to user accounts

A local role comes into effect once it is associated with at least one user account. To apply a local role to a user account, select the required local role from the list of global and local roles in the drop-down list for the 'Transaction Reporting access role' field when adding a new user account or updating an existing user account.

| Access Details                    |  |   |
|-----------------------------------|--|---|
| User ID                           | jcitizen@bluecompliance.com  |   |
| AUSTRAC Online access role        | Data Entry   | * |
| Transaction Reporting access role | EFT Clerk  | * |
| Cancel Update                     | - Please select -<br>Administrator<br>Approval And Submission<br>Data Entry<br>EFT Clerk |   |

Refer to <u>section 8</u> above for details on how to add a user account and edit an existing user account respectively.

**Note:** Users may be required to log off and log back in to AUSTRAC Online to refresh any changes in their transaction reporting access role.

### Defining and maintaining function access definitions for user accounts

To add a function access definition to a user account:

1. Click on 'Add new function access by user';

| My Business  | Add Function Access  |
|--|--|
| Transaction Reporting Administration Preferences Reports                               | Function ID     Search for a function       User ID     Search for a user       Access level |
| Remittance Sector Register     AUSTRAC Online user guide     AUSTRAC Online user guide | Add Cancel<br>Return to function access maintenance  |

- 2. Enter (or search and select) the 'Function ID' to be associated with the user account (refer to Appendix B for a list of function IDs);
- 3. Enter (or search and select) the user ID of the user account;
- 4. Select the required access level (refer to Appendix B.2 for a list of access level values and descriptions).

| My Business   | Add Function Access  |
|---|--|
| <ul> <li>Transaction Reporting</li> <li>Administration</li> <li>Preferences</li> <li>Reports</li> </ul> | Function ID       ifi_e_spreadsheet         Search for a function         User ID       citizen@bluecompliance.         Search for a user         Access level |
| Remittance Sector Register     AUSTRAC Online user guide     AUSTRAC Online user guide                  | Add Cancel Return to function access maintenance   |

5. Click Add to associate the function access definition with the user account;

6. Repeat steps 2 through 5 for each function access definition to be associated with the user account.

To change or delete a function access definition for a user account:

- 1. Select the 'User search' tab in the 'Function Access Maintenance' screen;
- 2. Default or enter (or search and select) the user ID of the user account;
- 3. Click the **Search** button;

|   | s Maintenance       |               |        |               |
|---|---------------------|---------------|--------|---------------|
| Add new function ac<br>Add new function ac          | ccess by user       |               |        |               |
| Function search                                     | User search         |               |        |               |
| User ID jcitizen@bl<br>Search for a<br>Search Clear | user                |               |        |               |
| Search Results                                      |                     |               |        |               |
| Search Results<br>3 record(s) found                 | I                   |               |        |               |
|   | Role Display Name 🕈 | Role access ¢ | User ¢ | User access ¢ |
| 3 record(s) found                                   |                     | Role access ¢ | User ≑ | User access ¢ |
| 3 record(s) found<br>Function ID \$                 | Role Display Name 🕈 |               | User ¢ | User access ≑ |

4. Select the 'Function ID' and/or user ID by clicking on the 'User access' link.

| Edit Function Access |  |  |  |
|----------------------|--|--|--|
| Function ID          | ifti_e_spreadsheet                             |  |  |
| User ID              | jcitizen@bluecompliance.(<br>Search for a user |  |  |
| Access level         | Access 💌                                       |  |  |
| Update               | Delete Cancel                                  |  |  |
| Return to fun        | ction access maintenance                       |  |  |

5. Click **Update** to alter any details or **Delete** to remove the function ID association from the user account.

**Note:** Deleting a function access definition from a user account will result in either the user losing access to the function completely or reverting to the access setting of the user's global or local role, if any. The user's global or local role listed under 'Role access' in a 'User search' of the 'Function Access Maintenance' screen.

# 12. 'Remittance Sector Register' menu options

The 'Remittance Sector Register' menu option can be used to maintain your registration or to conduct a word or registration id number search on the AUSTRAC Remittance Sector Register.

Click the plus sign icon + to expand the menu and view the options. AUSTRAC does not attest to the accuracy of the information contained and published in the register, other than to the extent:

- that an entity's inclusion on the register is subject to conditions and the details of any conditions imposed
- the entity's registration number is correct

**Note:** AUSTRAC makes every effort to ensure the information entered on the Remittance Sector Register is accurate at the time of submission.

# My Registrations

All of the registrations that are currently, or have previously been submitted for your organisation will be displayed on this screen. If your business does not have any current or previous registrations you will see the screen, however a message will display advising that there are no registrations (or registration history) associated with this business.

Current and previous registrations are visible on the same screen. You will have the ability to manage only your current registrations via the links available on the screen. 'Renew' is a link that is displayed if your registration expiry date falls within the following 90 days.

| <ul> <li>My Business</li> </ul> |   |  | Home   Hy Details   Log Of  |
|---------------------------------|---|--|---|
|                                 | My Registrations  |  |   |
| AO Admin                        | Current registrations                                   | Remove this registrationRemove this registration | To view or update your business' information,   |
| Transaction Reporting           | Independent remitter dealer, registered 30 Apr 2018     | Burning on education of the second               | OPEN<br>the business profile form (ATRC1002H)   |
| Remitance Sector Register       | Expiry date: 30 Apr Registration expires in 3 days 2021 | 2 Renew  | Business profile form explanatory guide   |
| Providence and respect          | Previous registrations                                  |  | AUSTRAC is working on modernising our online forms. I<br>you wish to use the old form, you can download it here |
| Administration                  |   |  | Note that both versions of the form collect exactly the   |
| AUSTRAC Online user guide       | You have no previous registrations                      |  | same information.   |
| AUSTRAC Online user guide       |   |  |   |
| RSR risk management methodology |   |  |   |
| RSR risk indicators fact sheet  |   |  |   |

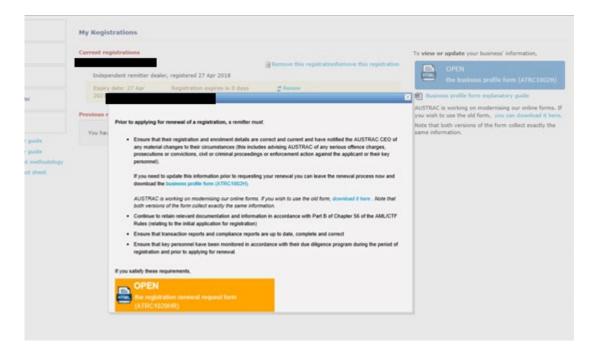
Affiliate registrations for your organisation are also visible on this screen. Please communicate directly with your network provider for maintenance / changes / renewals of your affiliate registration.

The 'My Registration' screen will display all of your registrations on the one screen. These entries are sorted in EXPIRY DATE order – so the one NEXT due for renewal is always at the top and any that have CEASED, expired or removed are always at the bottom.

AUSTRAC will send reminder email messages regarding the expiry of all independent remittance dealers and remittance network provider registrations prior to their expiry. – Reminders will be sent 90 days, 60 days, and 30 days prior to their expiry, and on the final day. As soon as possible following this notification, you should action these reminders and take steps to renew your registration.

When a registration falls into the 90-day renewal period the registration details appear in a highlighted area and a link to 'Renew' to download the Form is visible.

Clicking on the renewal link will result in a popup dialogue that asks the administrator to consider whether they need to complete an update to their details and will offer them a link to the AUSTRAC Business Profile Form (ABPF) Update. There is an obligation to maintain the enrolment and registration details within 14 days of a change occurring.



When you select the option to update the organisation details, you are immediately taken to the ABPF Update form in a new tab. This enables you to submit the update form before following the renewal process.

To complete the renewal form, click on the renew icon and then click on the yellow button – that says "OPEN the registration renewal request form (ATRC1020HR)".

The renewal request form will open. Complete the form; please consider all the questions and statements to ensure you are making an accurate declaration on the form. Submit the form using the submit button on the last page.

While AUSTRAC is considering your renewal request the screen below will show that renewal request receipt.



Registered remittance businesses can continue to operate once the renewal form is submitted until a decision is made by AUSTRAC regarding the renewal. This includes if the expiry date passes.

AUSTRAC will respond in writing with the renewal decision, and the new expiry date will be populated.

If you choose not to submit a renewal request by the expiry date your registration will EXPIRE. This is a system function and will operate every day of the year, it will not be possible to extend or change the expiry date of your registration. Expiry is the end of this registration and the business must cease operating as a remittance business immediately. Should you wish to recommence offering to provide a remittance service you MUST apply for a new registration by submitting the appropriate online registration application form. It is not possible to operate during this period as you do not have a current registration.

# 12.1. Search the Remittance Sector Register

From the left hand side 'Remittance Sector Register' menu, you can choose the search option. When the screen is displayed a free text box will offer you the ability to search for a full or partial legal or trading name, or a business registration number such as ABN, ACN, or ARBN.

|   | these I MxDetails I Los Off   |
|---|---|
| ≘ Ay Bosiew   | About Its amounter  |
| II Transaction Reporting  | Remittance Sector Register Search far: Driar a business legal name, Inding name, ACN, ADN or ARDN (the business numbers should be entered without speces) |
| ExecutiveCas Sector Register     Site Register     Sector     Sector     Sector     Sector     Sector     Sector     Sector     Sector     Sector | Search<br>Remitter List   |
| AULTIAC Online user public     AULTIAC Online user public   | Please enter your search oriens in the field above.   |

Click the Search button and the results will be displayed on this screen as per below

| Gagette Assessed as Reports<br>and Assessed Conser   |  |  |             |         |              | AUSTRA   | ιu      | nin         |
|--|--|--|-------------|---------|--------------|--|---------|-------------|
|  |  |  |             |         |              | fors   | it male | dalle i Lie |
| · Ny Barray  |  |  |             |         |              |  |         | (instation) |
| i is chain   | Resultance Sector Register Reset las. Noting againation Data a Sector Register | trading name, with, Allin or Allini the last |             |         |              |  |         |             |
| 2 Taxaatha Paarithg  | Teach  |  |             |         |              |  |         |             |
| E Heretholog Sector Register<br>D: My Registrations<br>D: Stream<br>D: Stream Action Control on Appendix<br>(2009) | Namedia Gol<br>Kreatijo havi   |  |             |         |              |  |         |             |
| E Australia Contra and Bolly   | Lagel taxes w  | Tasting terms if                             |             | JOR 4   | Aller        | Address v  | Cent.s  | / POF       |
| antikar to be see gots.  | TESTING DRIGHNSATION<br>DAMAGE FTY LTD   | 1  | -           | 1011010 |              | 1 AND 1 01 1206/04/612 1401 2588-40                                      |         | 13          |
|  | INVATION TURNE   | + TELEVIS DEGREGATION                        | 0000777988  |         |              | STREET ADDRESS FOR PRINCIPAL<br>NUMETRAL RUDBEL and COMPL. HERE 2018. AN |         |             |
|  | LOPACY MATCHING ORGANISATION   | <ul> <li>da maar</li> </ul>                  | 10000444005 |         |              | LOPOCITE STREE, STORET, MAY, 2008, AU                                    |         | *           |
|  | HEREPERSONAL APPENDICUS PTV LTD  | - TESTING DRUMBATION PTV LTD                 | 10004(1111) |         | dersensenser | PALIFIC HERRING DISTRICTOR SIZE 2017 AL                                  |         | -           |
|  |  |  |             |         |              | REACEPTIC PLACE ROOMINGTON 34 STILL AU                                   |         | 1           |

If AUSTRAC has applied conditions to a registration an icon will displayed in the 'Cond" column alongside the address details of the registered organisation. The icon is not a link and cannot be expanded in this screen.

At the right hand end of each row there is an icon in the column headed 'PDF'. When you click on the icon a PDF version of the data visible on the search screen will download. If the registration has conditions applied the PDF download will include the text of the conditions.

# 12.2. Download the complete register

From the left hand side 'Remittance Sector Register' menu, you can choose the option to "Download complete register". The details supplied will be as per the extract – namely the Legal and Trading name fields, the registration ID number of the organisation, the address and the conditions, should any be applied. The file presented to you will be as a Comma Separated Values (CSV) list.

#### Note:

1. AUSTRAC makes every effort to ensure the information entered on the Remittance Sector Register is up to date. However, there may be a delay between when AUSTRAC is notified of new or amended information for the register and the publishing of that information.

2. If you choose to download the Remittance Sector Register the download is only accurate at the time of the download.

# 13. DCE Registrations

# My Digital Currency Registrations

All of the digital currency registrations that are currently, or have previously been submitted for your organisation will be displayed on this screen.

To navigate to this screen go to the **My Business** page and click on the underlined 'Registration' hyperlink in the Designated services – Registrations section;

|                                |   |  |  |  |   | Home   Hy Details                   | Leg (F |
|--------------------------------|---|--|--|--|---|-------------------------------------|--------|
| My fammers                     | Hy Business   |  |  |  |   |                                     |        |
| AD Admin                       | To view or update over business' information including even<br>the Reporting Entities Roll,   | ling with AUSTRAC for  | Top are on AUSTRAC's Report  | ing Ealthies Roll<br>Hitles Roll because you have seased to provid |   |                                     |        |
| Transaction Reporting          | CPEN<br>the business profile form (A/RC1002H)   |  | designated services, download the <u>B</u><br>Reporting Criticies Rull removal form          | eporting Entities Ball removal form (ATRC200)                      | es.   |                                     |        |
| Remillance Sector Register     | 🐑 basenaa arafiis farm axalembera aada  |  |  |  |   |                                     |        |
| Administration                 | AUSTRAC is working on modernising our online forms. If you form, you can described it have.   |  |  |  |   |                                     |        |
| AUSTRAC Online user guide      | Note that both versions of the form collect exactly the same of   | damation.  |  |  |   |                                     |        |
| AUSTRAC Online unity guide     |   |  |  |  |   |                                     |        |
| DCE risk management<br>delege  | Business Details  |  |  |  |   |                                     |        |
| DCE risk indicators fact sheet | AUSTRAC account number (AAA):   |  |  |  |   |                                     |        |
|                                | Legal name:<br>Business structure:  |  |  |  |   |                                     |        |
|                                | Business develore:<br>Enduates type:  |  |  |  |   |                                     |        |
|                                | Postal address:   |  |  |  |   |                                     |        |
|                                | Principal bosiness address:   |  |  |  |   |                                     |        |
|                                | Registered office address:  |  |  |  |   |                                     |        |
|                                | Primary contact:  |  |  |  |   |                                     |        |
|                                | AMU/CIV compliance officies:<br>AD Statue: Enrolled [cha  | and a  |  |  |   |                                     |        |
|                                |   | ineu.  |  |  |   |                                     |        |
|                                | Designated services   |  |  |  |   |                                     |        |
|                                | Pinancial annuices  |  |  |  |   |                                     |        |
|                                | P BRANCHER BREVER BR  |  |  | Bullion services   | Gambling services   | Registrations                       |        |
|                                | Account and depead falling services   | • their  | nic funds transfers  | But as and fadian  | betting services  | Regardrations<br>Rendtance services |        |
|                                | Account and depend taking services  |  |  |  | 0 dating arrives  |                                     |        |
|                                | Account and depeat taking services  |  | esic hands travellers<br>a chequedooles or debit cards                                       |  |   |                                     | -      |
|                                | Account and depret failing services     Financing products  | 0 Intit  |  |  | fotting services     fotting services     fotting seconds     fotting seconds     fotting seconds   |                                     |        |
|                                | Account and depend halong services     Financing products     E-ablotitiencies, +   | Insure     Insure     Insure     Insure     Insure     Insure     Insure   | g elwayoebooks or delet cards  |  | Betting services     Betting accounts   |                                     |        |
|                                | Account and depend taking services     Francing products     Exclose(SECSE), *     Jaming atoms robust confix     Second promy or postal orders | Interview     Interview     Interview     Interview     Interview     Interview     Interview  | y drogodoski or debit cards<br>n enstange<br>alexensti, *<br>ali neuronesti<br>alisanisti, * |  | Anting services     Anting services     Anting services     Anting services     Anting services     Anting services of dull     Anting services and dull     Anting services and services     Nature of correctly |                                     |        |
|                                | Account and depend taking services     Francing products     Exhibititeties, *     Assessing strand value cards                                 | Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern<br>Intern | y degoelenis ar debit cards<br>n exchange<br>afiniseise. *                                   |  | Anting services     Anting seconds     Anting seconds     Anting seconds     Anting seconds in cAB     Installing seconds in cAB     Installing seconds in cAB     and Interview)                                 |                                     |        |

Current and previous registrations are visible on the same screen. You will have the ability to manage (view / update or remove) only your current registrations via the links available on the screen.

| and Analysis Centre   |  |  |   |
|---|--|--|---|
|   |  |  | Home   Hy Details   Log Off   |
| 3 My Dusiness   | My Digital Currency Registrations                          |  |   |
| ) AO Admin  | Current registrations                                      | Remove this registrationRemove this registration | To view or update your business' information including<br>enrolling with AUSTRAC for the Reporting Entities Roll,                       |
| Transaction Reporting   | Digital Currency Exchange provider, registered 30 Apr 2018 | -  | DPEN OPEN   |
| Remittance Sector Register  | Expiry date: 30 Apr Registration expires in 3 days 2021    | 2 Renew  | the business profile form (ATRC1002H)   |
| i Administration  | Previous registrations                                     |  | AUSTRAC is working on modernising our online forms. If  |
|   | You have no previous registrations                         |  | you wish to use the old form, you can download it here.<br>Note that both versions of the form collect exactly the<br>same information. |
| AUSTRAC Online user guide   |  |  | same montation.   |
| <ul> <li>AUSTRAC Online user guide</li> <li>DCE risk management<br/>hodology</li> </ul> |  |  |   |
| DCE risk indicators fact sheet  |  |  |   |

## **Remove Digital Currency Registration**

1. To remove your digital currency registration select the blue **Remove this registration** hyperlink

- 2. This will produce a prepopulated 'Request for removal from the Digital Currency Exchange Register Form' (ATRC1003-DCER)
- 3. Carefully read and check all sections of the form before submitting the form.
- 4. You will be issued with a reference number and an opportunity to download the receipt. It is recommended that you download and retain a copy of your receipt for your records.

# Appendix A: User types and default access levels

# User types

There are three (3) basic AUSTRAC Online user types:

- Administrator this user has full function access in order to manage and maintain business and registration details and user accounts, to create and submit reports, and to oversee the activities of other users.
- **Approval & Submission** this user type has limited function access in order to submit reports and to oversee the activities of data entry users.
- **Data Entry** this user type has function access limited to creating and editing reports only. Once this type of user has submitted a report for approval, an 'Administrator' or 'Approval & Submission' user will need to review and submit the report to AUSTRAC.

# Default access levels

The following table outlines the default menu options and functions available for each user type:

|                                | User type     |                          |            |  |
|--------------------------------|---------------|--------------------------|------------|--|
| Menu option/function           | Administrator | Approval &<br>Submission | Data Entry |  |
| My Business                    | Y             | Ν                        | Ν          |  |
| Regulatory Profile             | Y             | Ν                        | Ν          |  |
| Contacts and Users             | Y             | Ν                        | Ν          |  |
| Branches                       | Y             | Ν                        | Ν          |  |
| Agents                         | Y             | Ν                        | Ν          |  |
| Designated Business Group      | Y             | Ν                        | Ν          |  |
| Compliance Reports             | Y             | Ν                        | Ν          |  |
| Add a New Business             | Y             | Ν                        | Ν          |  |
| Search the Event Log           | Y             | Ν                        | Ν          |  |
| Transaction Reporting          | Y             | Y                        | Y          |  |
| AML/CTF A                      | ct reporting  |                          |            |  |
| Create reports                 |               |                          |            |  |
| Data entry (single report)     | Y             | Y                        | Y          |  |
| Spreadsheet (multiple reports) | Y             | Y                        | Y          |  |

|  |                 | User type                |                 |
|--|-----------------|--------------------------|-----------------|
| Menu option/function                             | Administrator   | Approval &<br>Submission | Data Entry      |
| Report file upload (extracted reports)           | N <sup>13</sup> | Ν                        | N <sup>14</sup> |
| Amend reports                                    |                 |                          |                 |
| Incomplete report queue                          | Y               | Y                        | Y               |
| Awaiting approval report queue                   | Y               | Y                        | Ν               |
| Returned by AUSTRAC report queue                 | Y               | Y                        | Y               |
| FTR Act  | reporting       |                          |                 |
| Create reports                                   |                 |                          |                 |
| Data entry (single report)                       | Y               | Y                        | Y               |
| Report file upload (extracted and Excel reports) | N               | Ν                        | Ν               |
| Amend reports                                    |                 |                          |                 |
| Incomplete report queue                          | Y               | Y                        | Y               |
| Awaiting approval report queue                   | Y               | Y                        | Y               |
| Returned by AUSTRAC report queue                 | Y               | Y                        | Y               |
| Administrat                                      | ion functions   |                          |                 |
| Preferences                                      | Y               | Y                        | Y               |
| Secure messages                                  | Y               | Y                        | Y               |
| Role maintenance                                 | Y               | Ν                        | Ν               |
| Function access maintenance                      | Y               | Ν                        | Ν               |
| Other report                                     | ing functions   |                          |                 |
| Defaults   | Y               | Y                        | Y               |
| Help   | Y               | Y                        | Y               |
| Receipts   | Y               | Y                        | Y               |
| Statistics                                       | Y               | Ν                        | Ν               |
| Policies   | Y               | Y                        | Y               |

<sup>&</sup>lt;sup>13</sup> AUSTRAC will grant access upon successful completion of a test process for file extraction programs

<sup>&</sup>lt;sup>14</sup> Your AUSTRAC Online administrator (or AUSTRAC) can grant access for the individual user at the user or local role level

**Note:** Access to all of the above can be customised by your AUSTRAC Online administrator (or by AUSTRAC) by altering a role or the individual's access settings (refer to <u>Appendix B</u> and <u>section 14</u> above for more details).

# **Appendix B**: User access function identifiers

# Function identifiers

AUSTRAC Online administrator users can customise access to the transaction reporting facilities for their business by:

- creating local user roles; or
- overriding user account default access settings by adding or restricting access to various function identifiers.

The following table is a list of all user access function identifiers associated with transaction reporting:

| Function ID          | Description  |
|----------------------|--|
| ifti_data_entry      | FTR Act international funds transfer instruction (IFTI) report – single data entry function  |
| ifti_excel_upload    | FTR Act international funds transfer instruction (IFTI) report – Excel file upload function  |
| ifti_file_upload     | FTR Act international funds transfer instruction (IFTI) report – extraction file upload function   |
| ifti_dra_data_entry  | AML/CTF Act international funds transfer instruction under a designated remittance arrangement (IFTI-DRA) report – single data entry function      |
| ifti_dra_file_upload | AML/CTF Act international funds transfer instruction under a designated remittance arrangement (IFTI-DRA) report – extraction file upload function |
| ifti_dra_spreadsheet | AML/CTF Act international funds transfer instruction under a designated remittance arrangement (IFTI-DRA) report – spreadsheet function            |
| ifti_e_data_entry    | AML/CTF Act international electronic funds transfer instruction (IFTI-E) report – single data entry function                                       |
| ifti_e_file_upload   | AML/CTF Act international electronic funds transfer instruction (IFTI-E) report – extraction file upload function                                  |
| ifti_e_spreadsheet   | AML/CTF Act international electronic funds transfer instruction (IFTI-E) report – spreadsheet function   |
| receipts             | Receipts page function   |
| sctr_data_entry      | FTR Act significant cash transaction report (SCTR) for cash dealers – single data entry function   |
| sctr_excel_upload    | FTR Act significant cash transaction report (SCTR) for cash dealers – Excel file upload function   |
| sctr_file_upload     | FTR Act significant cash transaction report (SCTR) for cash dealers – extraction file upload function  |
| sctrb_data_entry     | FTR Act significant cash transaction report (SCTRB) for betting services – single data entry function  |
| sctrb_excel_upload   | FTR Act significant cash transaction report (SCTRB) for betting services – Excel file upload function  |
| sctrb_file_upload    | FTR Act significant cash transaction report (SCTRB) for betting services – extraction file upload function   |
| sctrc_data_entry     | FTR Act significant cash transaction report (SCTRC) for casinos – single data entry function   |
| sctrc_excel_upload   | FTR Act significant cash transaction report (SCTRC) for casinos – Excel file upload function   |
| sctrc_file_upload    | FTR Act significant cash transaction report (SCTRC) for casinos – extraction file upload function  |

| Function ID         | Description   |
|---------------------|---|
| sctrs_data_entry    | FTR Act significant cash transaction report (SCTRS) for solicitors – single data entry function                                       |
| smr_data_entry      | AML/CTF Act suspicious matter report (SMR) – single data entry function   |
| smr_file_upload     | AML/CTF Act suspicious matter report (SMR) – extraction file upload function  |
| stat_charts         | Statistical reports page function   |
| sustr_data_entry    | FTR Act suspect transaction report (SUSTR) – single data entry function   |
| sustr_file_upload   | FTR Act suspect transaction report (SUSTR) – extraction file upload function  |
| ttr_fbs_data_entry  | AML/CTF Act threshold transaction report (TTR-FBS) for financial and bullion services – single data entry function                    |
| ttr_fbs_file_upload | AML/CTF Act threshold transaction report (TTR-FBS) for financial and bullion services – extraction file upload function               |
| ttr_fbs_spreadsheet | AML/CTF Act threshold transaction report (TTR-FBS) for financial and bullion services – spreadsheet function                          |
| ttr_gs_data_entry   | AML/CTF Act threshold transaction report (TTR-GS) for gambling services – single data entry function                                  |
| ttr_gs_file_upload  | AML/CTF Act threshold transaction report (TTR-GS) for gambling services – extraction file upload function                             |
| ttr_gs_spreadsheet  | AML/CTF Act threshold transaction report (TTR-GS) for gambling services – spreadsheet function  |
| ttr_isi_data_entry  | AML/CTF Act threshold transaction report (TTR-ISI) for investment/superannuation/insurance services – single data entry function      |
| ttr_isi_file_upload | AML/CTF Act threshold transaction report (TTR-ISI) for investment/superannuation/insurance services – extraction file upload function |
| ttr_isi_spreadsheet | AML/CTF Act threshold transaction report (TTR-ISI) for investment/superannuation/insurance services – spreadsheet function            |
| ttr_msb_data_entry  | AML/CTF Act threshold transaction report (TTR-MSB) for money services businesses - single data entry function                         |
| ttr_msb_file_upload | AML/CTF Act threshold transaction report (TTR-MSB) for money services businesses – extraction file upload function                    |
| ttr_msb_spreadsheet | AML/CTF Act threshold transaction report (TTR-MSB) for money services businesses – spreadsheet function                               |

**Note:** Refer to <u>section 14</u> above for details on how to set up local user roles and how to override user account default access settings.

# Function access levels

The following table is a list of all the transaction reporting function access levels and how these access levels can be applied:

| Access level | Applies to                                | Description   |
|--------------|---|---|
| Access       | All functions except data entry functions | Permit access for the user account or local role to the function. |

| Access level | Applies to                   | Description  |
|--------------|------------------------------|--|
| Admin        | Data entry functions<br>only | Gives the user the same authority level as <b>Submit</b> access, but also allows the user to amend, save and submit reports from the 'Incomplete Queue' of other users. That is, a person with <b>Admin</b> access can review and manage the reports of all users, which can be handy when another user is absent.   |
| Edit         | Data entry functions only    | Permits users to create and submit reports for approval only. That is, the report is placed in the 'Awaiting Approval' queue and is not submitted to AUSTRAC until another user with a higher authority level has approved the details within the report.  |
| No access    | All functions                | Deny access for the user account or local role to the function.<br>This access level should ideally be used to override an existing access grant that a user already<br>has by default, by virtue of their global role. This access level is not necessary for local roles. If<br>there is no need for a local role to have access to a function, simply do not add the function to<br>the role. |
| Submit       | Data entry functions only    | <ol> <li>Permits users to create and submit reports directly to AUSTRAC. It also allows users to:</li> <li>Approve and submit reports in the 'Awaiting Approval' queue which were created by users who only have <b>Edit</b> access to the report type; and</li> <li>To view reports in the 'Incomplete Queue' of other users.</li> </ol>  |

# **Appendix C**: Registration Status Explanation

| Status                        | Explanation   |
|-------------------------------|---|
| Awaiting Approval<br>(Queued) | A registration application waiting to be or is being in the process of being reviewed / processed by AUSTRAC.   |
| Registered                    | The registration application has been approved by AUSTRAC. Written notification of this decision has been sent to the applicant.  |
| Expired                       | The registration has not been renewed before the end of the 3 year registered period. Written notification of this decision has been sent to the nominated POC.   |
| Removed                       | The registration has been removed either on request of the entity or the RNP or<br>by way of decision of the AUSTRAC CEO. Written notification of this removal has<br>been sent to the nominated POC.   |
| Withdrawn                     | A registration application has been withdrawn by request from the applicant.  |
| Rejected                      | AUSTRAC has been unable to process a registration application. Written notification of this decision has been sent to the applicant including details of the reason for the application being unable to be processed and how to rectify this. |
| Refused                       | This is also where the AUSTRAC CEO has made a decision to refuse the application. Alternatively, The AUSTRAC CEO has not made a decision on the application within the relevant period.   |
| Suspended                     | The AUSTRAC CEO has decided to suspend the registration. Written notification of this decision will be sent to the nominated POC.   |
| Cancelled                     | The AUSTRAC CEO has decided to cancel a registration. Written notification of this decision has been sent to the nominated POC.   |

# Glossary

| Acronym or term  | Definition  |
|------------------|---|
| ABN              | Australian Business Number  |
| ACN              | Australian Company Number   |
| ADI              | Authorised deposit-taking institution as defined by section 5 of the AML/CTF Act  |
| Affiliate        | An affiliate of a remittance network provider is a business that provides remittance services to customers as part of a remittance network operated by a remittance network provider.   |
| AFSL             | Australian financial services licence   |
| AML/CTF Act      | Anti-Money Laundering and Counter-Terrorism Financing Act 2006  |
| AML/CTF program  | under the AML/CTF Act, reporting entities must have an AML/CTF program consisting of Part A (general, relating to money laundering and terrorism financing risk) and Part B (customer identification)   |
| AML/CTF Rules    | the Anti-Money Laundering and Counter-Terrorism Financing Rules   |
| AO               | AUSTRAC Online  |
| ARBN             | Australian Registered Body Number   |
| AUD              | Australian dollars  |
| AUSTRAC          | Australian Transaction Reports and Analysis Centre  |
| AUSTRAC CEO      | the Chief Executive Officer of AUSTRAC  |
| AUSTRAC Online   | An internet based application for businesses regulated under the AML/CTF Act or FTR Act to:   |
|                  | <ol> <li>Enrol/register and keep their business details up to date with AUSTRAC.</li> <li>Form and maintain a designated business group.</li> <li>Complete and submit AML/CTF compliance reports to AUSTRAC.</li> <li>Complete and submit AML/CTF Act or FTR Act transaction reports to AUSTRAC.</li> </ol> |
| Cash dealer (CD) | A person or organisation carrying on a business which has obligations under the FTR Act (refer to section 3 of the FTR Act).  |
|                  | <b>Please Note:</b> The terminology for cash dealer and reporting entity may be interchanged throughout this document, as both are about businesses with legislative obligations, the only difference being under which Act.  |

| Acronym or term                       | Definition   |
|---------------------------------------|--|
| Designated<br>business group<br>(DBG) | A group of 2 more businesses which meet the formation and membership requirements of section 5 of the AML/CTF Act and chapter 2 of the AML/CTF Rules and form a group known as a designated business group.  |
|                                       | Members of the group may discharge or share their obligations as a designated business group for sections 36, 47, 85, 106-108, 112-114 and 116 of the AML/CTF Act.   |
| Digital currency<br>exchange (DCE)    | The definition of digital currency covers a digital representation of value that meets the following specified criteria:   |
|                                       | • consistent with the general understanding of currency, it must function as a medium of exchange, a store of economic value, or a unit of account   |
|                                       | • it must not be issued by or under the authority of a government body   |
|                                       | • it must be interchangeable with money (including through the crediting of an account) and may be used as consideration for the supply of goods or services, and  |
|                                       | <ul> <li>it must be generally available to members of the public without any<br/>restriction on its use as consideration.</li> </ul>   |
|                                       | The last two criteria above exclude such things as loyalty programs (e.g. frequent flyer programs) where points may not be redeemed as money, and game money or credits issued by the operators of massively-multiplayer online role-playing games where its use is limited to a specific community. |
| EDDSWeb                               | Electronic data delivery system web version - an internet based application for businesses regulated under the FTR Act to electronically submit transaction reports to AUSTRAC.  |
|                                       | Please Note: EDDSWeb has been superseded by AUSTRAC Online.  |
| FTR Act                               | Financial Transaction Reports Act 1988   |
| Independent<br>remittance dealer      | An independent remittance dealer is a business that provides remittance services to customers using its own systems and processes.   |
| IFTI                                  | international funds transfer instruction (IFTI) report (FTR Act)   |
| IFTI-DRA                              | An AML/CTF Act report type known as the international funds transfer under a designated remittance arrangement (IFTI-DRA) report (AML/CTF Act)   |
| IFTI-E                                | An AML/CTF Act report type known as the international electronic funds transfer (IFTI-E) report (AML/CTF Act)  |

| Acronym or term                | Definition  |
|--------------------------------|---|
| Remittance<br>network provider | A remittance network provider is a non-financier who operates a network of persons by providing a platform or operating system where the persons in the network are also non-financiers and provide a designated remittance service as defined under the AML/CTF Act, section 6, table 1, items 32 and/or 33. |
| Reporting entity<br>(RE)       | A person or organisation carrying on a business which has obligations under the AML/CTF Act (refer to section 5 of the AML/CTF Act).  |
|                                | <b>Please Note:</b> The terminology for cash dealer and reporting entity may be interchanged throughout this document, as both are about businesses with legislative obligations, the only difference being under which Act.  |
| SCTR                           | significant cash transaction report (SCTR) for cash dealers (FTR Act)   |
| SCTRB                          | significant cash transaction report (SCTRB) for betting services (FTR Act)  |
| SCTRC                          | significant cash transaction report (SCTRC) for casinos (FTR Act)   |
| SCTRS                          | significant cash transaction report (SCTRS) for solicitors (FTR Act)  |
| SMR                            | suspicious matter report (AML/CTF Act)  |
| SUSTR                          | suspect transaction report (FTR Act)  |
| TTR-FBS                        | threshold transaction report for financial and bullion services (AML/CTF Act)   |
| TTR-GS                         | threshold transaction report for gambling services (AML/CTF Act)  |
| TTR-ISI                        | threshold transaction report for investment/superannuation/insurance services (AML/CTF Act)   |
| TTR-MSB                        | threshold transaction report for money services businesses (AML/CTF Act)  |