GUIDANCE FOR REPORTING ENTITIES

ON THE SUBMISSION OF REPORTS PURSUANT TO THE UNITED NATIONS SECURITY COUNCIL RESOLUTIONS IMPLEMENTATION ACT

1. PURPOSE AND OBJECTIVE

1.1. From time to time, the United Nations Security Council, acting pursuant to powers under Chapter VII of the UN Charter, adopts resolutions relating to the prevention, suppression and disruption of proliferation of weapons of mass destructions (WMD) and its financing ("PF") which Member States are required to implement. Recommendation 7 of the Financial Action Task Force (FATF) Recommendations requires countries to implement targeted financial sanctions ("TFS") relating to the prevention of the proliferation of weapons of mass destruction. In particular, it requires countries to implement TFS measures necessary to comply with relevant United Nations Security Council Resolutions ("UNSCRs").

1.2. The United Nations Security Council Resolutions Implementation Act (UNSCRIA) is designed to facilitate Jamaica's implementation of these UNSCRs and compliance with Recommendation 7. The UNSCRIA enables Jamaica to give effect to applicable TFS by establishing procedures for the designation of persons as a proscribed person or entity ("UNSCRIA designations"). The UNSCRIA establishes the designated authority, competent authorities and reporting entities. It also imposes an obligation on reporting entities to report to the designated authority whether they are in possession or control of assets owned or controlled by or on behalf of a proscribed person or entity ("Proscribed Entity Reports").

1.3. This guidance document has been prepared to assist reporting entities with understanding some of their responsibilities and obligations under the UNSCRIA. In particular, it provides guidance on the reporting obligations and required actions when a reporting entity discovers **it is in possession or control of assets** owned or controlled by or on behalf of a proscribed person or entity or has engaged in certain transactions involving proscribed persons or entities.

1.4. The guidance provided in this document is not exhaustive. It does not replace or supersede Guidance Notes, guidelines or advisories issued by competent authorities. Rather, it should be construed as being complementary to those documents. Although this guidance focuses on financial sanctions and reporting obligations, reporting entities must also be aware of the nature and requirements of other types of sanctions measures. It is the responsibility of each reporting entity to put in place policies, procedures and controls that ensure compliance with the UNSCRIA and other pieces of legislation which form a part of Jamaica's broader sanctions regime.

2. DESIGNATED AUTHORITY, COMPETENT AUTHORITIES AND REPORTING ENTITIES

2.1. The Designated Authority

Section 5 of the UNSCRIA establishes the Chief Technical Director of the Financial Investigations Division as the Designated Authority to which the reporting entities are required to submit certain reports.

2.2. Competent Authorities

2.2.1. Competent Authorities include any authority falling within the definition of "relevant authority" set out in the UNSCRIA which is responsible for the regulation of financial and designated non-financial institutions or financial services or any activity designated as a non-financial business activity.

2.2.2. The Competent Authorities include the following agencies:

- Bank of Jamaica
- Betting, Gaming & Lotteries Commission
- Casino Gaming Commission
- Financial Services Commission
- General Legal Council
- Public Accountancy Board
- Real Estate Board

2.3. Reporting Entities

2.3.1. This guidance document addresses certain obligations applicable to all reporting entities identified under section 5(2) of the UNSCRIA. These entities are*, inter alia,* required to determine ***on a continuous basis*** whether they are in possession or control of assets owned or controlled by or on behalf of a person or entity proscribed by regulations made under section 3(2)(a) of the UNSCRIA or an order under Section 3A of the UNSCRIA. These entities include the following:

- foreign companies in respect of their business in Jamaica relating to banking, securities, insurance, investment advice or trusts;
- financial institutions;
- designated non-financial institutions;
- any entity or category of entity designated by the Minister, by order subject to affirmative resolution, as an entity to which the provisions of this section shall apply.

2.3.1.1. Financial institutions include:

(a) entities licensed under the Banking Services Act;

(b) a society registered under the Co-operative Societies Act, and which carries on credit union business;

(c) a person who

(i) carries on life insurance business, or

(ii) performs services as an insurance intermediary, in respect of life insurance business, within the meaning of the Insurance Act, but does not include an insurance consultant or an adjuster;

(d) a person licensed under the Bank of Jamaica Act to operate an exchange bureau;

(e) a person licensed under the Securities Act as a dealer or investment adviser;

(f) approved money transfer and remittance agents and agencies as defined in section 2 of the Bank of Jamaica Act;

(g) an entity licensed as a microcredit institution under the Microcredit Act, or

(h) any other person or category of persons declared by the Minister, by order subject to affirmative resolution, to be a financial institution for the purposes of the UNSCRIA.

2.3.1.2. Non-designated financial institutions include:

(a) persons not primarily engaged in carrying on financial business; and

(b) designated as:

(i) a non-financial institution pursuant to the Proceeds of Crime Act; or

(ii) an entity to which the provisions of section 15 of the Terrorism Prevention Act applies.

3. <u>TARGETED FINANCIAL SANCTIONS</u>

3.1. What are targeted financial sanctions?

3.1.1. According to the FATF Glossary, the term 'targeted financial sanctions' means both asset freezing and preventing funds or other assets from being made available, directly or indirectly, for the benefit of individuals, entities, groups, or undertakings who are sanctioned.

3.1.2. For the purposes of implementation of TFS under recommendation 7, the FATF defines freezing as the temporary prohibition of any transfer, conversion, disposition, alteration, use, dealing with or movement of funds or economic resources that would result in a change in their volume, amount, location, ownership, possession, nature or destination or that would in any way enable the use of such funds or economic resources for any purpose.

3.2. Who are proscribed persons and entities?

3.2.1. Proscribed persons and entities are (1) persons and entities proscribed by regulations made under Section 3(2) of UNSCRIA[1]; and (2) persons and entities declared to be so by an order issued by a Judge of the Supreme Court pursuant to Section 3A (2) of UNSCRIA.

3.2.2. At the time of publication of this guidance document, proscribed persons under ***The United Nations Security Council Resolutions Implementation (Democratic People's Republic of Korea Sanctions Regime) Regulations, 2021*** include a person or entity designated under regulation 4 of those regulations, or designated by the UN Security Council or the relevant UNSC Committee for the purposes of paragraph 8(d) of Resolution 1718; or a person to whom the measures mentioned in paragraph 8(d) of Resolution 1718 apply under a decision of the Security Council or relevant UNSC Committee.

3.2.3. With respect to **Iran**, proscribed persons are those persons listed in the Order issued pursuant Section 3A of the UNSCRIA dated March 19, 2026.

4. COMMUNICATION OF DESIGNATIONS

4.1. The Designated Authority communicates UNSCRIA designations directly to the reporting entities utilising the goAML platform. Competent Authorities will also communicate the designations to the heads of reporting entities and to their Nominated Officers. Competent Authorities will also publish orders relating to designations on their respective websites.

4.2. The Designated Authority and the Ministry of Foreign Affairs and Foreign Trade will also publish a copy of orders declaring a person or entity to be a proscribed person or entity on their respective websites and cause a copy of the order to be published in a daily newspaper in circulation in Jamaica.

5. STATUTORY OBLIGATIONS

5.1. Reporting Obligations

5.1.1. Reporting entities are required to submit Proscribed Entity Reports ("PERs") to the Designated Authority. All reporting obligations under the UNSCRIA are independent of and without prejudice to any reporting obligation under the Terrorism Prevention Act.

[1] They must be designated as proscribed persons or entities by a decision of the United Nations Security Council pursuant to Chapter VII of the Charter of the United Nations.

5.1.2. Reporting entities are required to determine on **a continuing basis** whether they are in possession or control of assets[2] that are owned or controlled by or on behalf of, or at the direction of, the person or entity that is proscribed including funds derived or generated from property owned or controlled directly or indirectly by a proscribed person or entity ("Proscribed Entity Assets").[3] Reporting entities must also, among other things, make reports of transactions or attempted transactions involving these assets.

5.2. Periodic Reporting Obligations

5.2.1. Reporting entities are specifically required to report to the Designated Authority, at least once every four calendar months, whether or not they are in possession or control of Proscribed Entity Assets. These reports are due as outlined in the reporting schedule prescribed in table 1.

Table 1: Reporting Schedule for Periodic Reporting of Proscribed Entities

Reporting Period	Reporting Month
January to April	May 1-31
May to August	September 1-30
September to December	January 1-31

5.2.2. PERs must be submitted through the goAML platform using the prescribed form. A report is required to be submitted even if an entity is not in possession or control of such assets.

5.2.3. Reporting entities should not wait for the reporting deadline above to report newly frozen Proscribed Entity Assets. All newly frozen Proscribed Entity Assets must be reported ***without delay***[4].

5.3. Reporting a Positive Match

5.3.1. Upon receipt of a notification or advisory from the Designated Authority of an Order for freezing of assets under the UNSCRIA or the coming into effect of regulations, reporting entities should check whether they are in possession of any Proscribed Entity Assets. It is important to note that a reporting entity may be liable for prosecution as knowingly holding, using or dealing with Proscribed Entity Assets constitutes an offence. Therefore, it is expected that a reporting entity will make comparative checks with the regulations or orders and the

[2] Assets are defined as property of any kind whether tangible or intangible, movable or immovable, however acquired; and owned wholly or jointly, directly or indirectly by a proscribed person or entity or a legal document or instrument evidencing title to or interest in such property including bank credits, travelers' cheques, money orders, shares, securities, bonds, debt instruments, drafts and letters of credit.

[3] Section 5(2), 5(3A) and 8A of the UNSCRIA.

[4] See appendix for explanation of timelines

database(s) of the reporting entity to ascertain whether or not it is in possession or control of freezable assets **immediately**[5] after being notified.

5.3.2. If having conducted the checks referenced in paragraph 5.3.1 above, a reporting entity determines that it **is** in possession or control of Proscribed Entity Assets or identifies any action listed under section 5(3A) of the UNSCRIA, that reporting entity must make a report **without delay**[6] to the Designated Authority.

5.3.3. The report should include the number of persons, contracts or accounts (as the case may require) involved and the total value of the assets. Reporting entities should refer to the guidance provided below by the Designated Authority when completing the relevant goAML report:

a) Appendix 1 – goAML screenshots
b) Appendix 2 – UNSCRIA – Prescribed Entity Report (PER) – "in possession or control of assets".

5.3.4. Where a reporting entity has previously submitted a report on a proscribed person or entity and continues to be in possession or control of those assets, the reporting entity must continue to make periodic reports to the Designated Authority per the reporting schedule outlined in table 1. The reporting entity is required to ensure that these subsequent periodic reports submitted to the Designated Authority has the Determination – "IS IN possession …." selected and the details of the person and/ or asset inserted in the report.

5.3.5. In making a report, the reporting entities must comply with any directions of the Designated Authority.

5.4. Required Actions Where a Reporting Entity Determines it is in Possession or Control of Proscribed Entity Assets

5.4.1. Where a reporting entity is in possession of Proscribed Entity Assets, the reporting entity is **immediately** required to cease or refrain from the following:

a) dealing directly or indirectly with Proscribed Entity Assets until further directed by the Designated Authority[7];
b) entering into or facilitating a transaction involving Proscribed Entity Assets;
c) providing financial, legal or other services in respect of Proscribed Entity Assets;

[5] See appendix for explanation of timelines
[6] See appendix for explanation of timelines
[7] As an example, if a reporting entity has monies on account for a client who is a proscribed entity, no further steps can be taken to return the monies or to transmit the funds elsewhere. The monies should remain in the reporting entity's client account until further directed by the Designated Authority.

d) making property available to the proscribed person or entity;
e) converting or disguising Proscribed Entity Assets, and
f) any other action under section 8A (1) of the UNSCRIA

5.5. Required Actions Where There is no Match

5.5.1. A reporting entity is **<u>not</u>** required to provide a report to the Designated Authority if, having conducted the checks referenced in subparagraph 5.3.1 above, that reporting entity determines that it is **<u>not</u>** in possession or control of Proscribed Entity Assets or there are no relevant transactions. The reporting entity is still however required to submit its periodic reports in accordance with table 1 above.

6. <u>DEFINITION OF TIMEFRAMES</u>

In this guidance document, the following definitions apply with respect to references to time made herein:

1. **Without Delay**- Unless otherwise specified, where an action is required to be done without delay it is expected to be done expeditiously, ideally within a matter of hours of notification of a designation by the United Nations Security Council or its relevant Sanctions Committee. The phrase without delay should be interpreted in the context of the need to prevent the flight or dissipation of funds or other assets which are linked to terrorists, terrorist organisations, and to the financing of proliferation of weapons of mass destruction, and the need for global, concerted action to interdict and disrupt their flow swiftly.

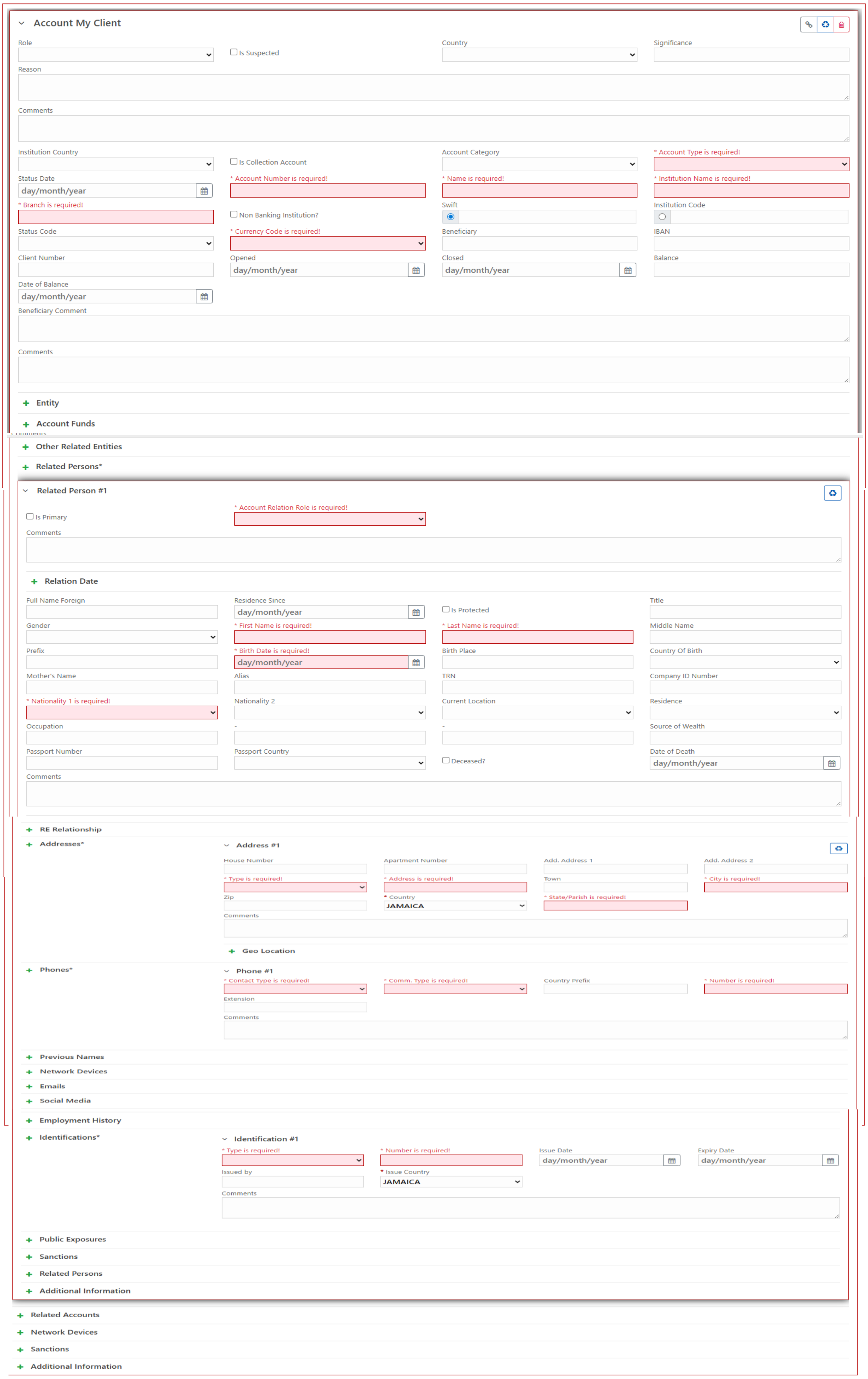
2. **Immediately-** Where an action is to be done immediately it shall mean it is to be done without any lapse of time or without any intervening time or space from when an entity or authority first becomes aware of a required action or event and the action or event itself

APPENDIX 1

goAML SCREENSHOTS

Table of Contents

ACCOUNT



Account My Client

Role
Is Suspected
Country
Significance
Reason
Comments
Institution Country
Is Collection Account
Account Category
* Account Type is required!
Status Date
day/month/year
* Account Number is required!
* Name is required!
* Institution Name is required!
* Branch is required!
Non Banking Institution?
Swift
Institution Code
Status Code
* Currency Code is required!
Beneficiary
IBAN
Client Number
Opened
day/month/year
Closed
day/month/year
Balance
Date of Balance
day/month/year
Beneficiary Comment
Comments
Entity
Account Funds
Other Related Entities
Related Persons*

Related Person #1
* Account Relation Role is required!
Is Primary
Comments
Relation Date
Full Name Foreign
Residence Since
day/month/year
Is Protected
Title
Gender
* First Name is required!
* Last Name is required!
Middle Name
Prefix
* Birth Date is required!
day/month/year
Birth Place
Country Of Birth
Mother's Name
Alias
TRN
Company ID Number
* Nationality 1 is required!
Nationality 2
Current Location
Residence
Occupation
-
-
Source of Wealth
Passport Number
Passport Country
Deceased?
Date of Death
day/month/year
Comments
RE Relationship
Addresses*
Address #1
House Number
Apartment Number
Add. Address 1
Add. Address 2
* Type is required!
* Address is required!
Town
* City is required!
Zip
* Country
JAMAICA
* State/Parish is required!
Comments
Geo Location
Phones*
Phone #1
* Contact Type is required!
* Comm. Type is required!
Country Prefix
* Number is required!
Extension
Comments
Previous Names
Network Devices
Emails
Social Media
Employment History
Identifications*
Identification #1
* Type is required!
* Number is required!
Issue Date
day/month/year
Expiry Date
day/month/year
Issued by
* Issue Country
JAMAICA
Comments
Public Exposures
Sanctions
Related Persons
Additional Information
Related Accounts
Network Devices
Sanctions
Additional Information

PERSON/ RELATED PERSON

Entity My Client

Role | Is Suspected | Country | Significance

Reason

Comments

Entity Status | Entity Status Date: day/month/year | * Name is required! | Trading As

* Incorporation Legal Form is required! | * Business is required! | Incorporation Number | Incorporation Date: day/month/year

Incorporation State | * Incorporation Country: JAMAICA | TRN | * Reg. Number is required!

Comments

Business Closed? | Date Closed: day/month/year

+ RE Relationship

+ Emails

+ Urls

+ Addresses*

Address #1

House Number | Apartment Number | Add. Address 1 | Add. Address 2

* Type is required! | * Address is required! | Town | * City is required!

Zip | * Country: JAMAICA | * State/Parish is required!

Comments

+ Geo Location

+ Phones*

Phone #1

* Contact Type is required! | * Comm. Type is required! | Country Prefix | * Number is required!

Extension

Comments

+ Related Entities

Related Person #1

* Role is required! | Share Percentage | Voting Percentage

Comments

+ Relation Date Range

Full Name Foreign | Residence Since: day/month/year | Is Protected | Title

Gender | * First Name is required! | * Last Name is required! | Middle Name

Prefix | Birth Date: day/month/year | Birth Place | Country Of Birth

Mother's Name | Alias | TRN | Company ID Number

Nationality 1 | Nationality 2 | Current Location | Residence

Occupation | - | - | Source of Wealth

Passport Number | Passport Country | Deceased? | Date of Death: day/month/year

Comments

+ RE Relationship

+ Addresses

+ Phones

+ Previous Names

+ Network Devices

+ Emails

+ Social Media

+ Employment History

+ Identifications

+ Public Exposures

+ Sanctions

+ Related Persons

+ Additional Information

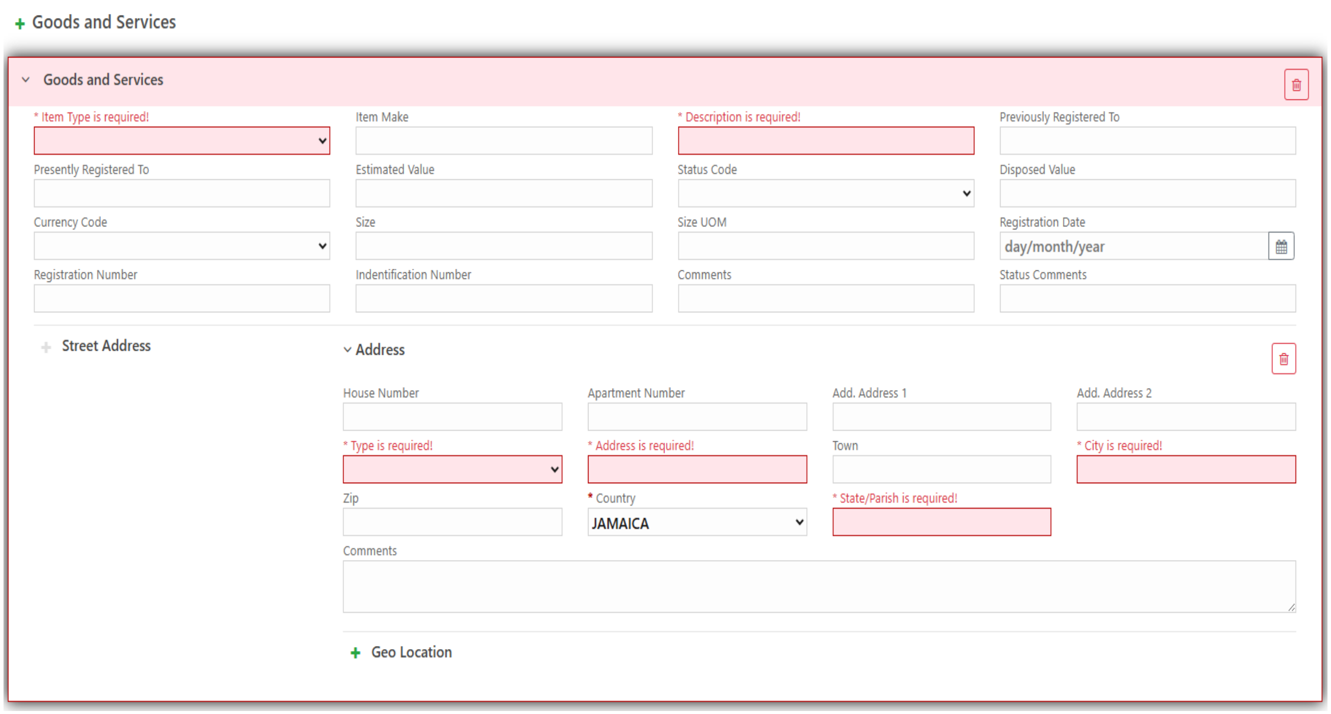
+ Network Devices

+ Identifications

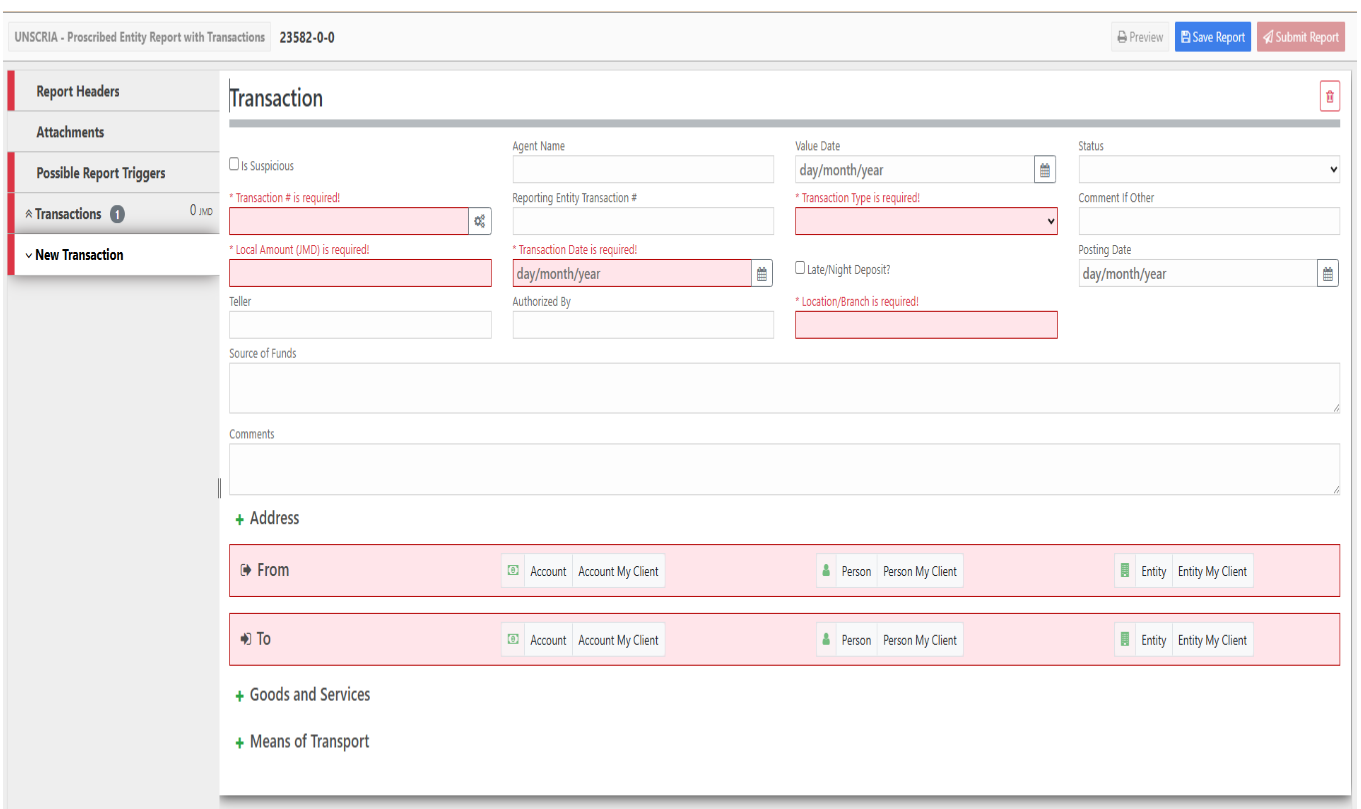
+ Sanctions

+ Additional Information

GOODS & SERVICES



TRANSACTION



APPENDIX 2

goAML GUIDELINE

REPORTING ENTITIES – UNSCRIA REPORTING

Contents

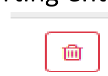
OVERVIEW

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

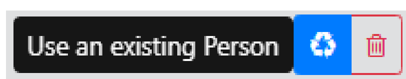
- **Not in** possession or control of any property by or on behalf of a listed entity; or
- **It is in** possession or control of such property, in which case it shall also report the number of persons, contracts or accounts involved and the total value of the property.

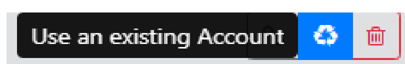
The reporting periods and deadlines for submission of the **PER** are as follows:

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

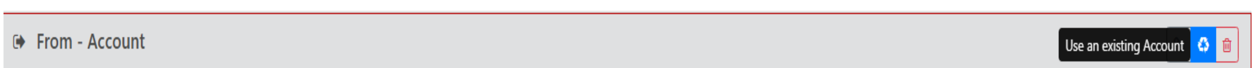
This guideline hereby provides the step-by-step guide for creating and submitting the **UNSCRIA – Proscribed Entity Report (IS in possession…)** on the goAML portal. Note mandatory fields are usually highlighted in **"Pink",** however reporting entities are encouraged to provide all information in its possession in the available fields. If an area is expanded inadvertently as the reporting entity would not have the necessary information to insert in the available fields, a garbage bin icon  is available at each dialogue box expanded.

Other useful icons are the:

- **Use an existing Person** 

- **Use an existing Account"** 

that are usually to the right hand corner of each Party Type dialogue box



UNSCRIA – Proscribed Entity Report (IS in Possession)

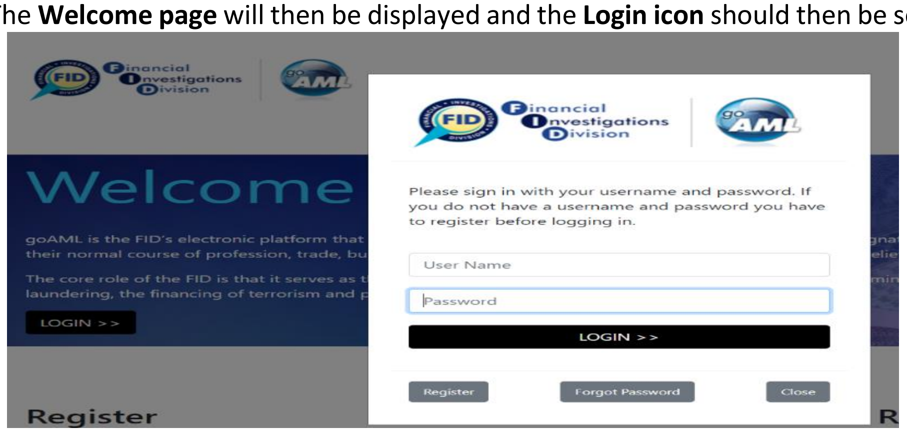
1. Getting Started

1.1 Login to goAML

By inserting the following website, address in your URL https://goaml.fid.gov.jm/

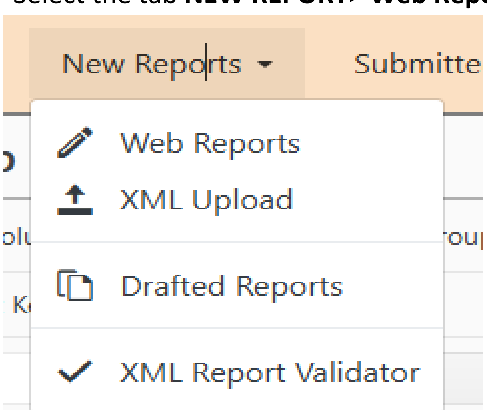
For the live environment, select the **LOGIN icon** with the goAML in the **blue banner**.

The **Welcome page** will then be displayed and the **Login icon** should then be selected where the USER will be prompted to insert his/her login credentials, i.e. **Username and Password.**



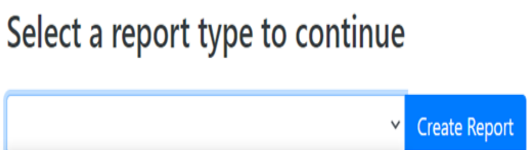
2. Creating Report

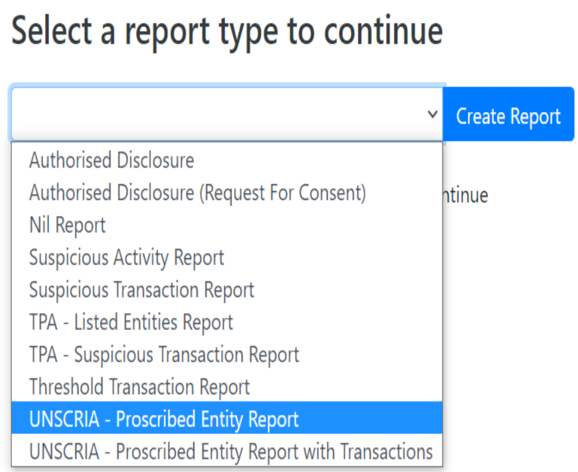
Select the tab **NEW REPORT> Web Report.**



2.1 Activity Based Report (i.e. Report without Transactions)

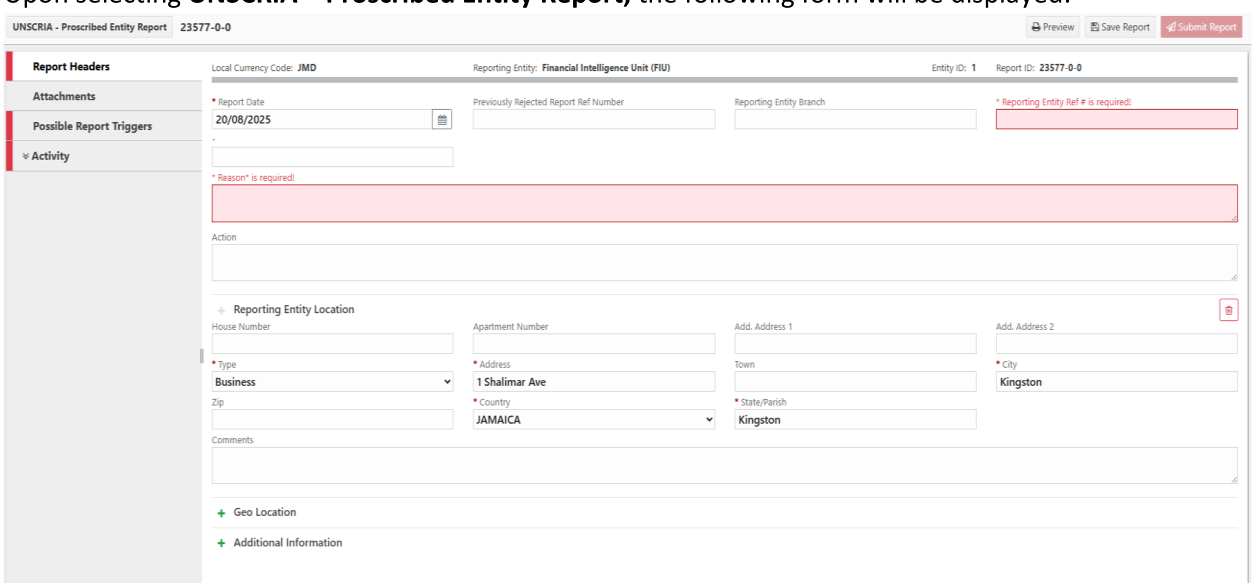
The USER will select **Create Report**. This will provide a drop down list of all reports that can be submitted via the goAML Platform. The user will then select **UNSCRIA – Proscribed Entity Report.**





2.1.2 Completing the Report

Upon selecting **UNSCRIA – Proscribed Entity Report,** the following form will be displayed:



2.1.2.1 Report Headers

Two (2) fields must be completed for this section of the report, i.e. the **Reporting Entity Ref #** field and the **Reason** field.

➢ <u>**Reporting Entity Ref#:**</u>

The **Reporting Entity Ref#** field should contain the reporting period that should be entered in the following format:

Reporting Entity Acronym-MMM-MMM-YYYY

The following defines each element of the required referencing:

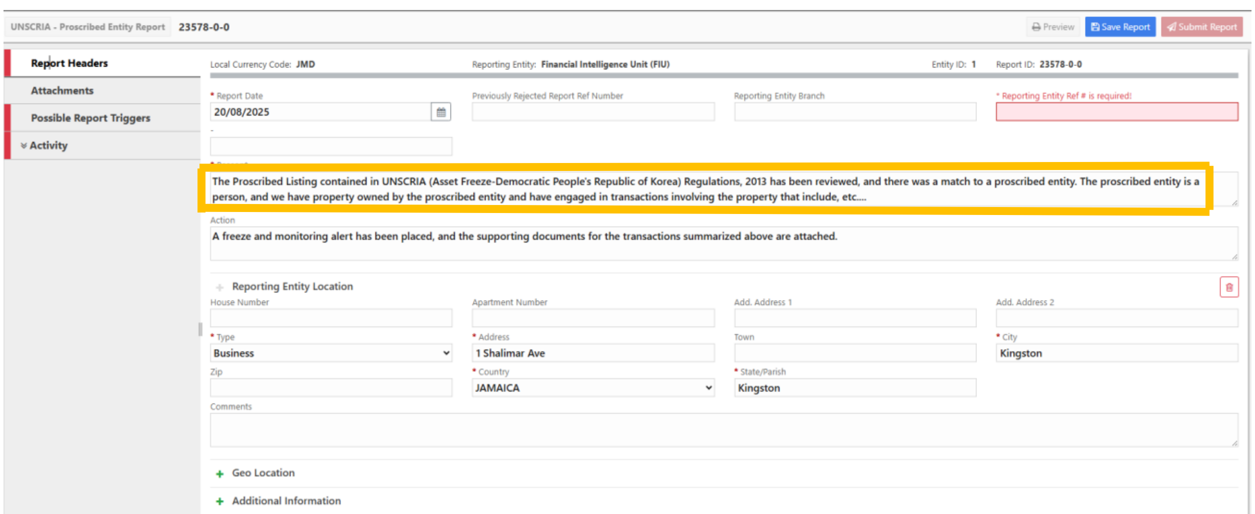
- **Reporting Entity Acronym**: An Acronym representing the name of the entity making the report
- **MMM**: The first three letters of the month being reported
- **YYYY**: The four digits of the year for which the report is being reported

Example: FIU-SEP-DEC-2022

Note that each element inserted in the Reporting Entity Ref # field is separated by a dash NOT a space and/ or any other special character.

➢ **Sample Text for the Reason:**
"The Proscribed Listing contained in UNSCRIA (Asset Freeze-Democratic People's Republic of Korea) Regulations, 2013 has been reviewed, and there was a match to a proscribed entity. The proscribed entity is a person, and we have property owned by the proscribed entity and have engaged in transactions involving the property that include, etc....".

➢ **Sample Text for the Action:**
"A freeze and monitoring alert has been placed, and the supporting documents for the transactions summarized above are attached."

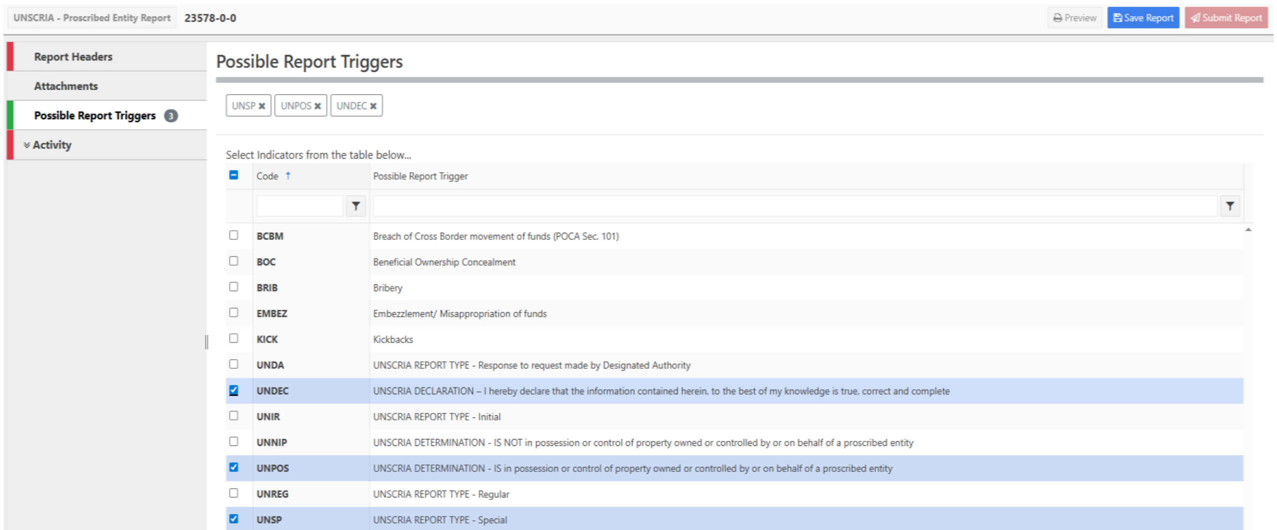


2.1.2.2 Possible Report Triggers

After completing the three (3) fields, the USER will then proceed to select the **Possible Report Triggers** section of the report. Then three (3) triggers must be selected:

➢ A **UNSCRIA Report Type** – for first report submission **UNSCRIA REPORT TYPE – Initial (UNIR)**, subsequent report submission **UNSCRIA REPORT TYPE – Regular (UNREG),** if the Designated Authority has made a request **UNSCRIA REPORT TYPE – Response to request made by Designated Authority**; with a designation **UNSCRIA REPORT TYPE – Special**

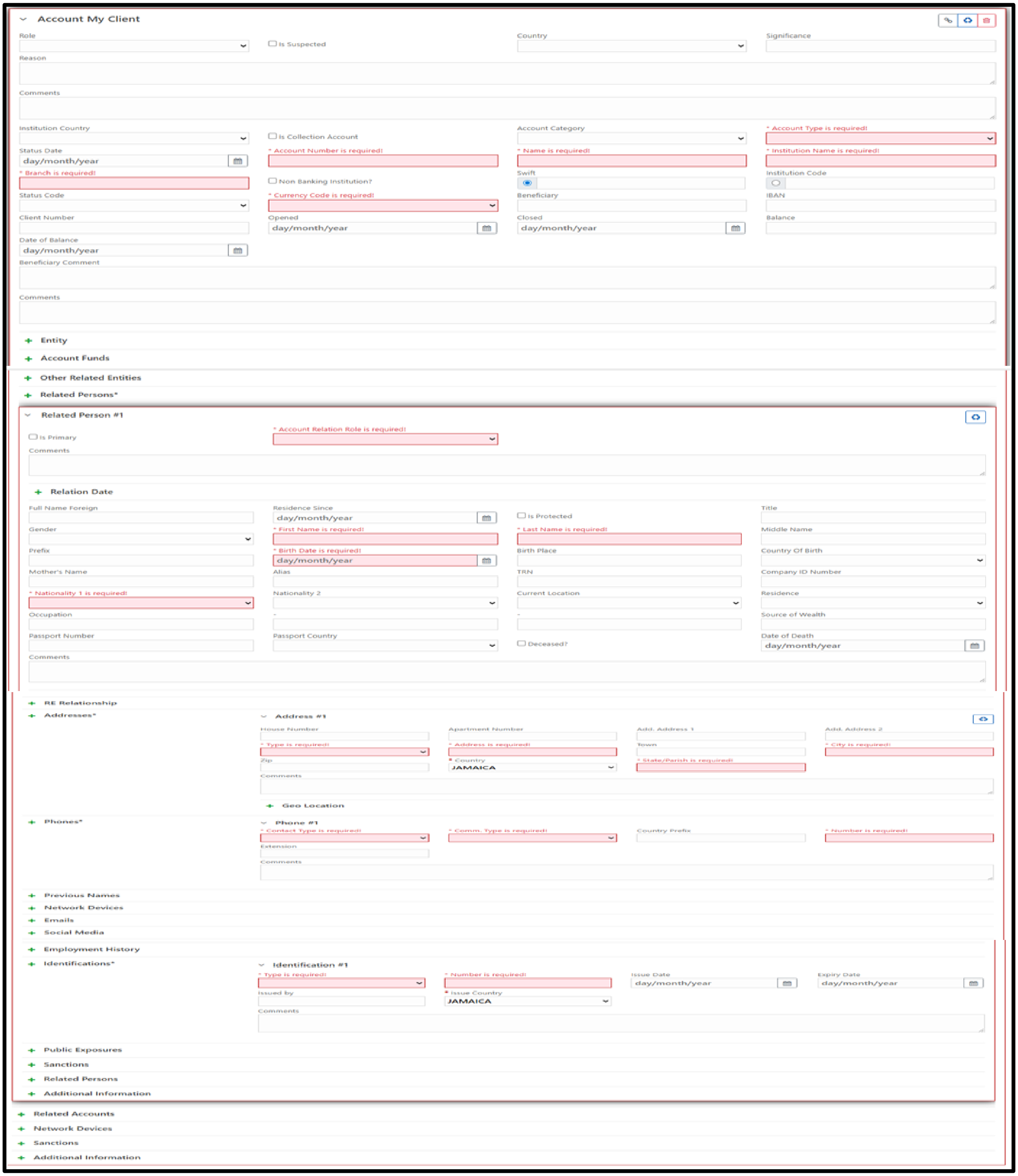
- **UNSCRIA Declaration (UNDEC)** – I hereby declare that the information contained herein, to the best of my knowledge is true, correct and complete;
- A UNSCRIA Determination – if there is **'a match'** then **UNSCRIA DETERMINATION – IS in possession of control of property owned or controlled by or on behalf of a proscribed entity (UNNIP).**



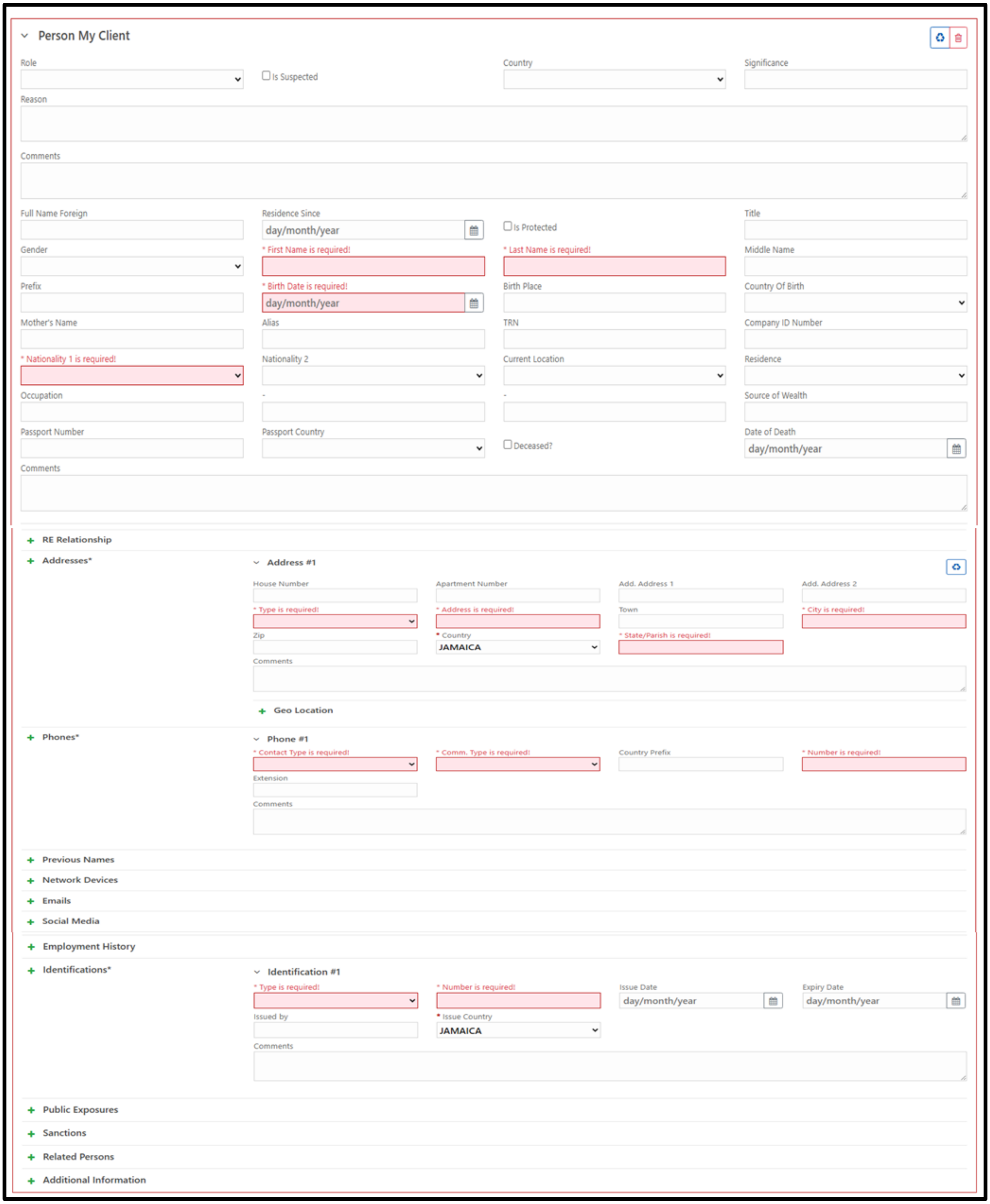
2.1.2.3 Activity

The USER will then proceed to select the **Activity Section** of the report. Then for **Report Parties,** the appropriate **Party Type(s)** must be selected with the **ALL** details in the possession of the **Reporting Entity** be inserted in the fields available. Additionally, each **'Party Type'** has a comment section for the insertion of any other essential details that could not be captured in the available fields. See below, the fields available for each **'Party Type'**:

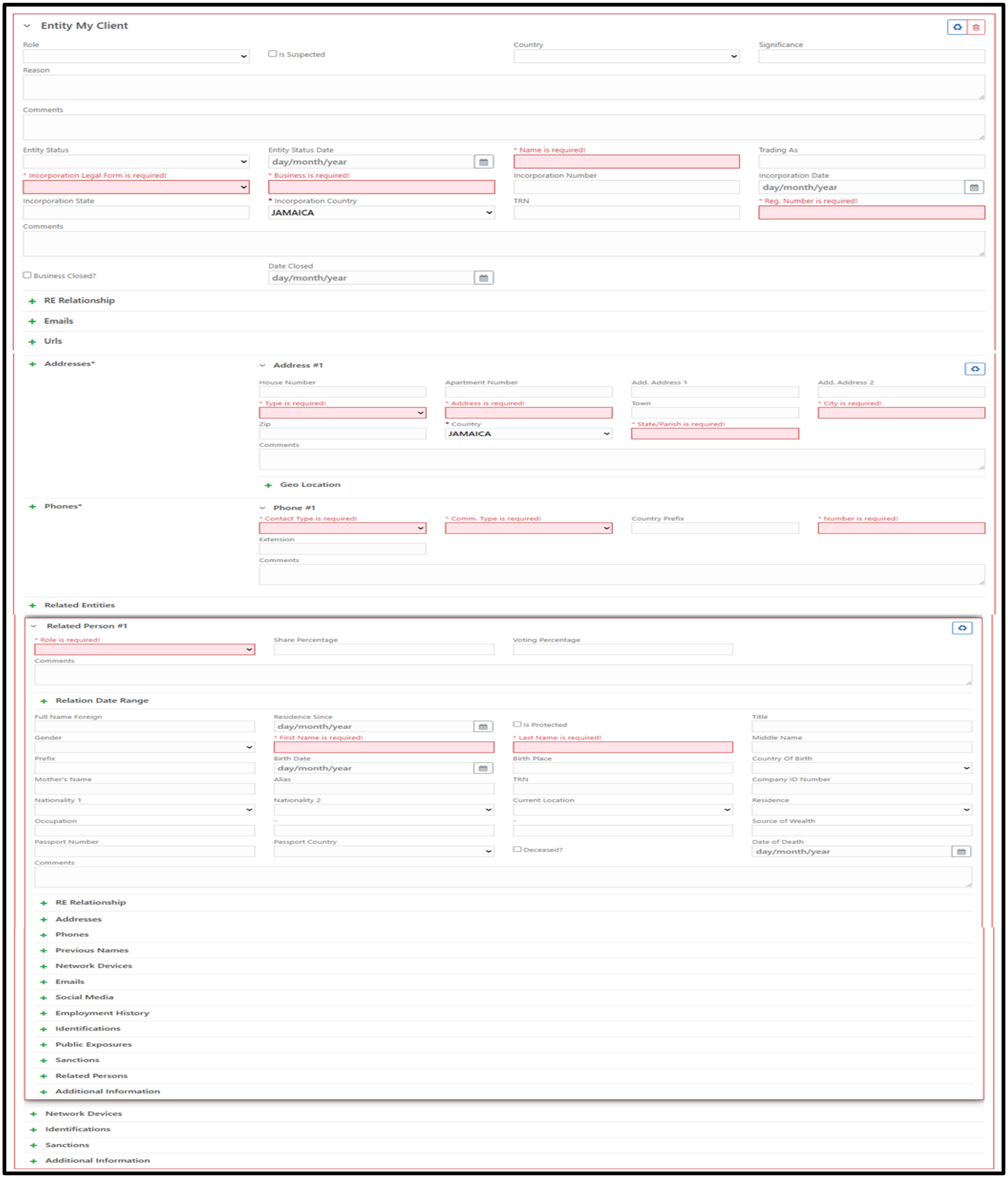
a) **Select ACCOUNT(MY CLIENT) –** if the **proscribed entity** maintains **an account** with the **Reporting Entity**



b) Select PERSON (MY CLIENT) – if the proscribed **entity** is **an individual**.



c) **Select ENTITY (MY CLIENT) –** if the **proscribed entity** is **a business**



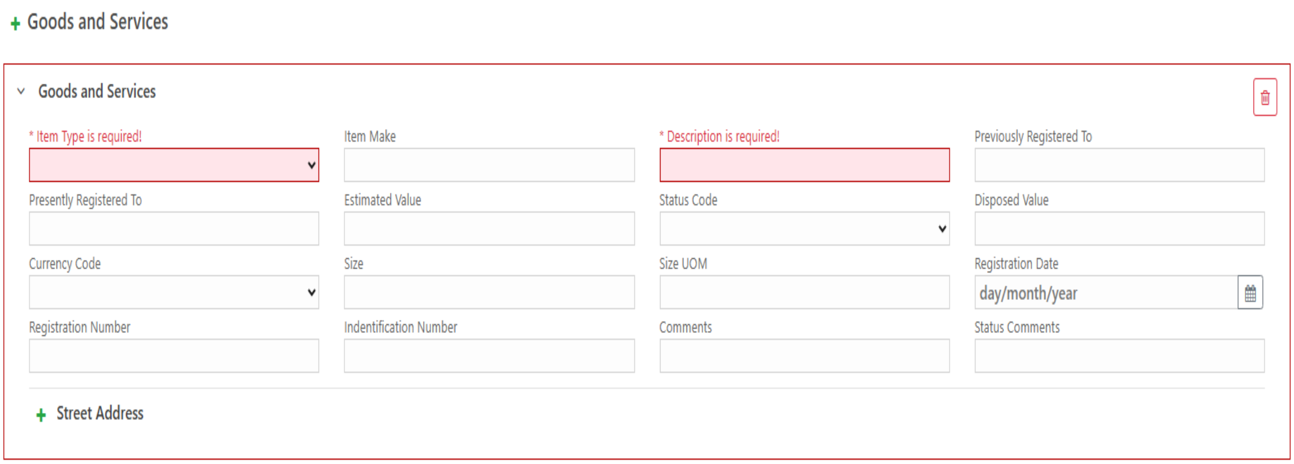
Note the following:

- If the **Listed Entity** is a **Person(s)** and the **Property Type** held is an **Account** then both **Person** and **Account MUST** be selected for the **Report Parties.**
- If the **Listed Entity** is an **Entity** and the **Property Type** held is an **Account** then both **Entity** and **Account MUST** be selected for the **Report Parties.**
- If the **Listed Entity** is a **Person(s)** or **an Entity** and **an Agent** is used to represent either, the **Agent** information **MUST** also be captured as a **Related Party** with **Person** being selected.
- If the **Listed Entity** is an **Entity** ensure that in the **Principals** section **ALL** directors and shareholders with **10% or more shareholdings** are entered in the report.

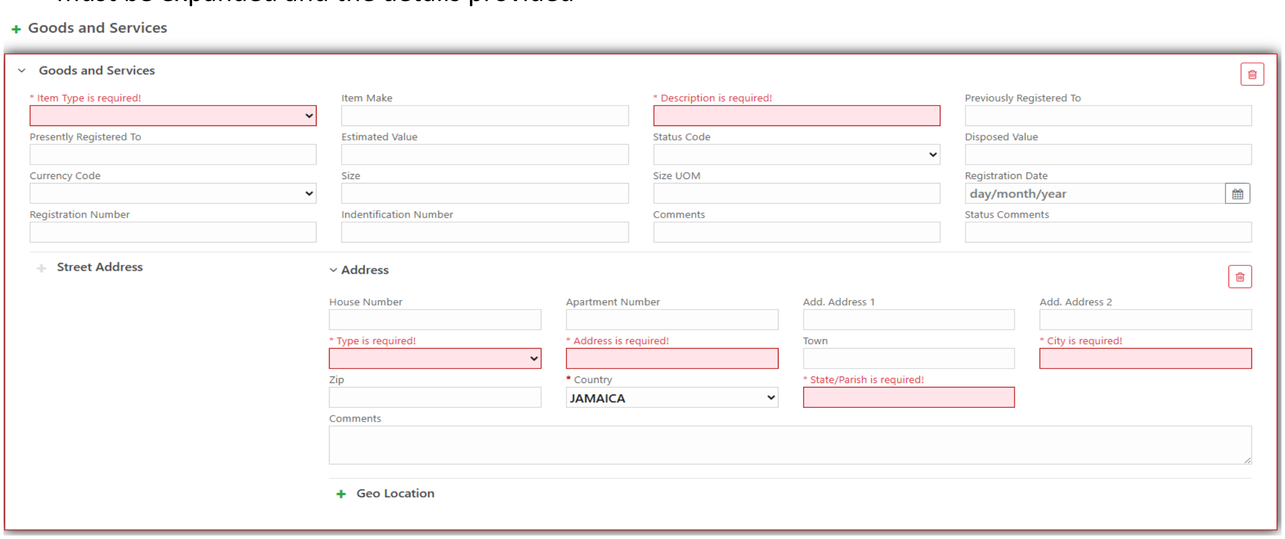
2.1.2.4 Goods and Services

If the **Reporting Entity** is in possession of **an asset**, other than **an account**, then the **Goods and Service** section **MUST** be completed with all the details that are in the possession of the **Reporting Entity** by:

- Selecting the plus (+) button at **Goods and Services** to expand the fields.

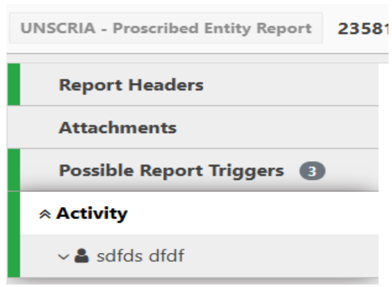


- If the Street Address is known where the asset is located then the plus (+) button at **Street Address** must be expanded and the details provided



2.1.2.4 Submit Report

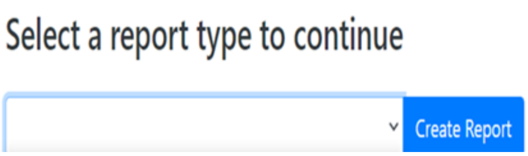
Once all mandatory fields that are highlighted in **Pink** are completed in each section, the different headers will turn from **Red** to **Green**

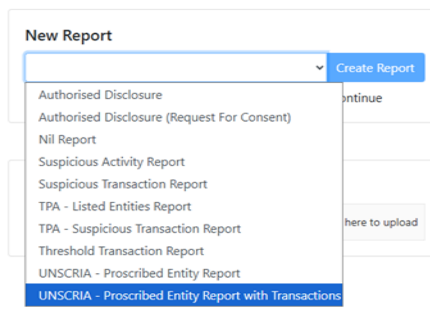


Then the **Submit Report** icon will turn **blue** for submission:

2.2 Transactional Based Report

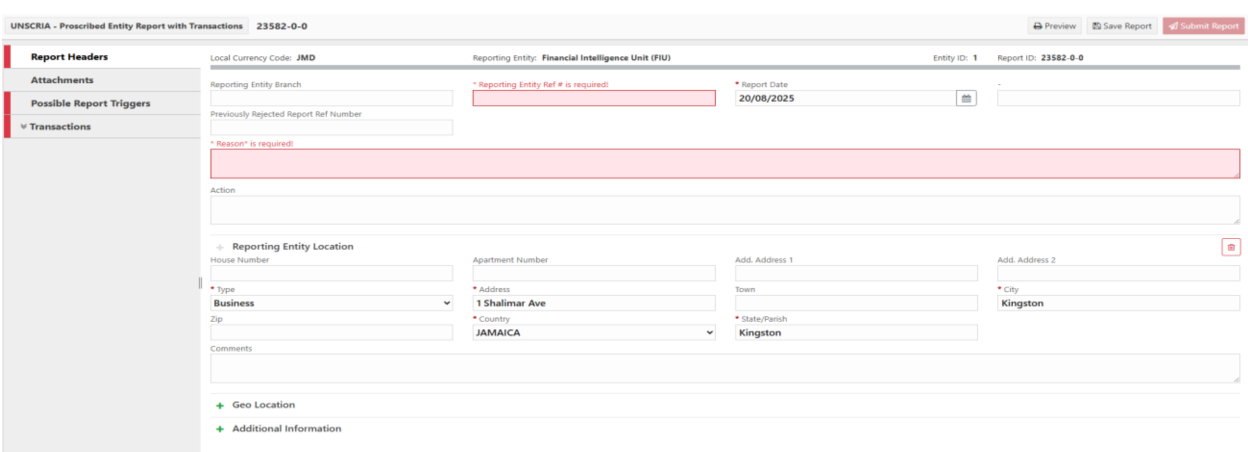
The USER will select **Create Report**. This will provide a drop down list of all reports that can be submitted via the goAML Platform. The user will then select **UNSCRIA – Proscribed Entity Report with Transactions.**





2.2.2 Completing the Report

Upon selecting **UNSCRIA – Proscribed Entity Report with Transactions,** the following form will be displayed:



2.2.2.1 Report Headers

Two (2) fields must be completed for this section of the report, i.e. the **Reporting Entity Ref #** field and the **Reason** field.

➢ **Reporting Entity Ref#:**

The **Reporting Entity Ref#** field should contain the reporting period that should be entered in the following format:

Reporting Entity Acronym-MMM-MMM-YYYY

The following defines each element of the required referencing:

- **Reporting Entity Acronym**: An Acronym representing the name of the entity making the report
- **MMM**: The first three letters of the month being reported
- **YYYY**: The four digits of the year for which the report is being reported

Example: FIU-SEP-DEC-2022

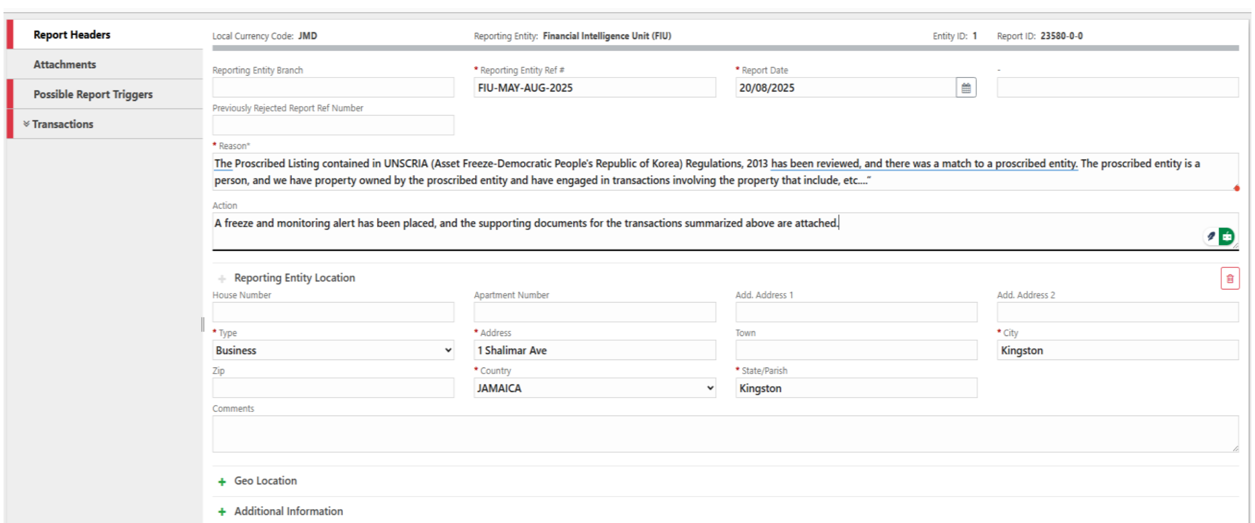
Note that each element inserted in the Reporting Entity Ref # field is separated by a dash NOT a space and/ or any other special character.

➢ **Sample Text for the Reason:**

"The Proscribed Listing contained in UNSCRIA (Asset Freeze-Democratic People's Republic of Korea) Regulations, 2013 has been reviewed, and there was a match to a proscribed entity. The proscribed entity is a person, and we have property owned by the proscribed entity and have engaged in transactions involving the property that include, etc....".

➢ **Sample Text for the Action:**

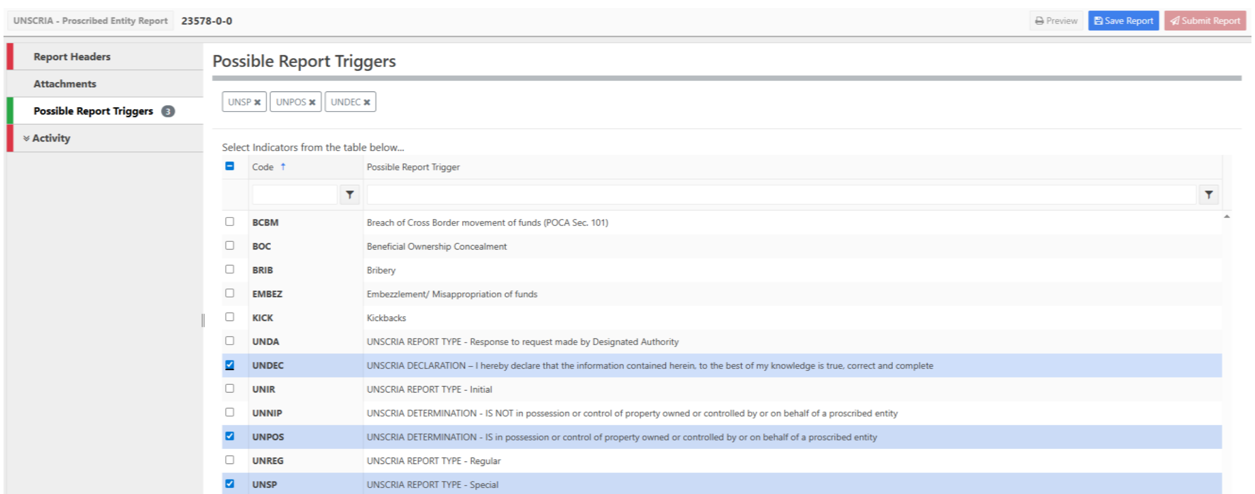
"A freeze and monitoring alert has been placed, and the supporting documents for the transactions summarized above are attached."



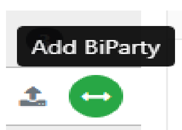
2.2.2.2 Possible Report Triggers

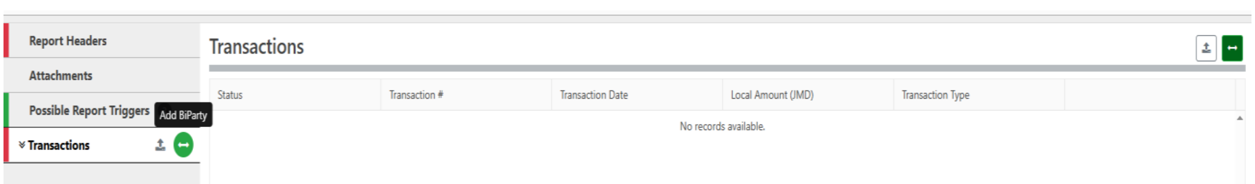
After completing the three (3) fields, the USER will then proceed to select the **Possible Report Triggers** section of the report. Then three (3) triggers must be selected:

- A **UNSCRIA Report Type** – for first report submission **UNSCRIA REPORT TYPE – Initial (UNIR)**, subsequent report submission **UNSCRIA REPORT TYPE – Regular (UNREG),** if the Designated Authority has made a request **UNSCRIA REPORT TYPE – Response to request made by Designated Authority**; with a designation **UNSCRIA REPORT TYPE – Special**
- **UNSCRIA Declaration (UNDEC)** – I hereby declare that the information contained herein, to the best of my knowledge is true, correct and complete;
- A UNSCRIA Determination – if there is **'a match'** then **UNSCRIA DETERMINATION – IS in possession of control of property owned or controlled by or on behalf of a proscribed entity (UNNIP).**



2.2.2.3 Inserting the Transaction(s)

a) Select the double arrow  at **Transactions**

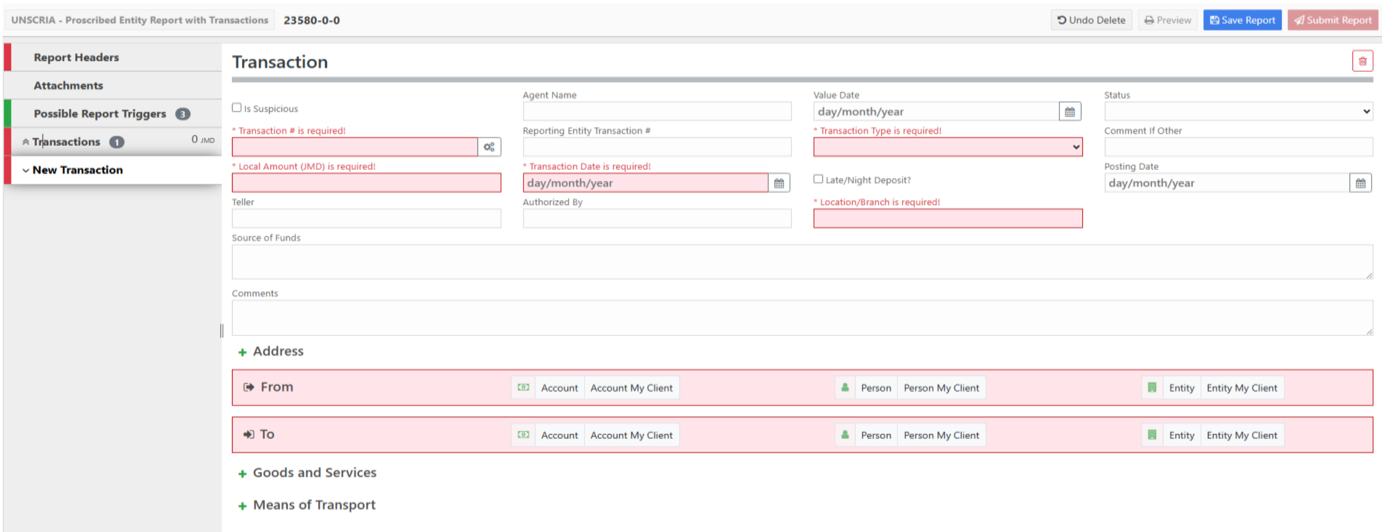


A transaction is reported as a BI-PARTY relationship, i.e where the funds are coming **FROM** and where the funds are going **TO**

b) All fields highlighted in **pink** are mandatory and should be entered. These include:

- Transaction #. If the entity does not have one generated internally, the gears option to the right of the field should be selected in order for a number to be generated automatically.

- ➢Transaction Type
- ➢Local Amount (JMD) is required
- ➢Transaction Date
- ➢Location/Branch



c) In the **"FROM"** section select the appropriate **Party Type** based on where the funds are coming from whether

- ➢ Account
- ➢ Person
- ➢ Entity

Noting that if the source is from the reporting entity's client then the option with **"My Client"** beside the Party Type must be selected

d) In the **"TO"** section select the appropriate **Party Type** based on where the funds are coming from whether

- ➢ Account
- ➢ Person
- ➢ Entity

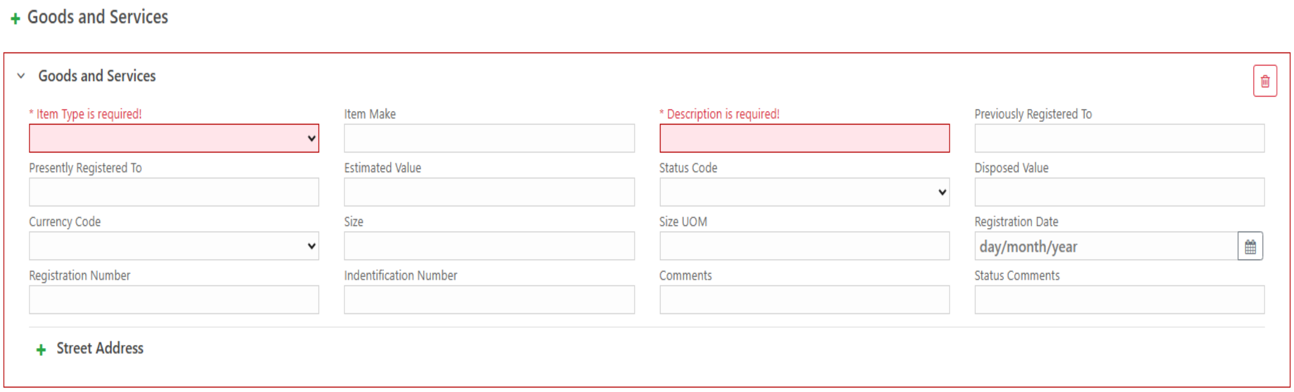
Noting that if the source is from the reporting entity's client then the option with **"My Client"** beside the Party Type must be selected

N.B. Please use screen shots for ACCOUNT, PERSON and ENTITY above to be guided by the mandatory fields to be completed.

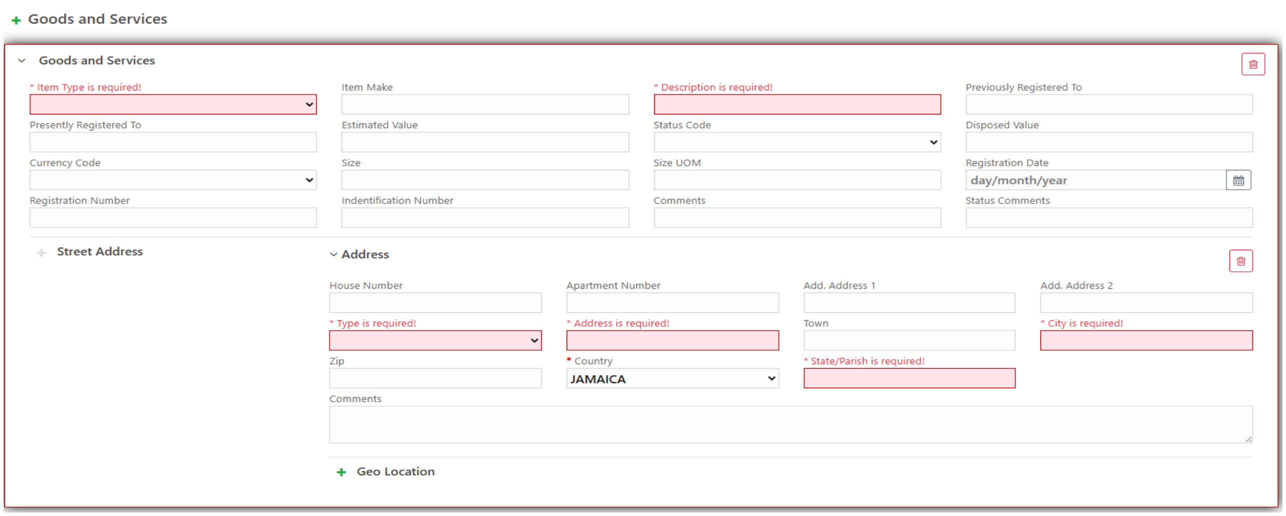
2.2.2.4 Goods and Services

If the **Reporting Entity** is in possession of **an asset**, other than **an account**, then the **Goods and Service** section **MUST** be completed with all the details that are in the possession of the **Reporting Entity** by:

➢ Selecting the plus (+) button at **Goods and Services** to expand the fields.

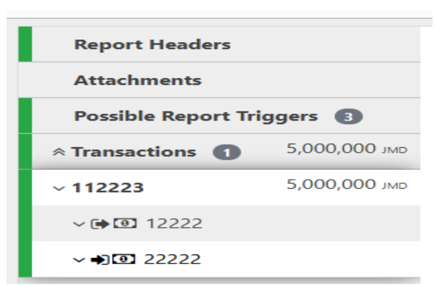


➢ If the Street Address is known where the asset is located then the plus (+) button at **Street Address** must be expanded and the details provided



2.1.2.5 Submit Report

Once all mandatory fields that are highlighted in **Pink** are completed in each section, the different headers will turn from **Red** to **Green**



Then the **Submit Report** icon will turn **blue** for submission:

APPENDIX

Note that with a report submission there is a two (2)-tier verification process. The first checks all mandatory fields for the report are completed, upon submission the report is then checked against established '**Business Rules**' or **'Rejection Rules'** in order to aid in validating the proper completion of the reports**.**

The established '**Business Rules**' or **'Rejection Rules'** for **UNSCRIA – Proscribed Entity Report** are as listed below

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

  Acronym-MMM-MMM-YYYY

  The following defines each element of the required referencing:

  - **Reporting Entity Acronym**: An Acronym representing the name of the entity making the report
  - **MMM**: The first three letters of the month being reported
  - **YYYY**: The four digits of the year for which the report is being reported

  Not if the format is not inserted as specified, the report will be automatically rejected for the necessary amendments to be completed within the reporting timeline, which is fro, the 1st to the last day of the reporting month (i.e. 30th or 31st).

  Additionally, late reports cannot be accepted by the system, as **UNSCRIA – Proscribed Entity Report** submitted after the due date will be automatically rejected.
- A **Reason** is required for the **UNSCRIA – Proscribed Entity Report**
- A **Report Trigger** is required for the **UNSCRIA – Proscribed Entity Report**
- One (1) of these **Report Triggers** must be selected for the **UNSCRIA – Proscribed Entity Report:**
  - UNSCIRA DETERMINATION –Not in possession of property owned or controlled of property owned
  - UNSCIRA DETERMINATION – In possession of property owned or controlled or controlled of property owned
- These **Report Triggers** cannot be selected together:
  - UNSCIRA DETERMINATION –Not in possession of property owned or controlled of property owned
  - UNSCIRA DETERMINATION – In possession of property owned or controlled or controlled of property owned

- One (1) of these **Report Triggers** must be selected for the **UNSCRIA – Proscribed Entity Report:**
  - UNSCRIA REPORT TYPE – Initial Report *(this should be selected if it's the first report being submitted due to your company recently being licensed to operate as reporting entity).*
  - UNSCRIA REPORT TYPE – Special Report *(this should be selected once the submission of the report is based on a special request from the Designated Authority)*
  - UNSCRIA REPORT TYPE – Regular Report *(this should be selected all the time if the report is NOT an Initial or Special Report defined above)*
- These **Report Triggers** cannot be selected together:
  - UNSCRIA REPORT TYPE – Initial Report *(this should be selected if it's the first report being submitted due to your company recently being licensed to operate as reporting entity).*
  - UNSCRIA REPORT TYPE – Special Report *(this should be selected once the submission of the report is based on a special request from the Designated Authority)*
  - UNSCRIA REPORT TYPE – Regular Report *(this should be selected all the time if the report is NOT an Initial or Special Report defined above)*
- This Report Trigger must be selected for the **UNSCRIA – Proscribed Entity Report:**

  UNSCRIA DECLARATION – I hereby declare that the information contained herein, to the best of my knowledge is true, correct and complete