



Fact Sheet goAML - Version 5.2



What's new / Handout for goAML Web users

This document is intended to provide quick information on new features of goAML Web 5.2 and should be consulted before attempting to create a manual or semi-automated report. While uploading a complete XML will not be much different than with goAML-Version 4.9.3, users attempting to enter data manually will see some changes and should take the following info into consideration. Some new functions also concern users who normally upload complete XML files as well. The goAML manual depicting these new features will not be released until Fall 2023, together with the final XSD Schema 5.2.

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1. Switch Delegation

goAML users of Reporting entities that are authorized to report for more than one financial intermediary (delegate functionality), can now switch between the financial intermediaries that they are authorized for while being logged in, simply by clicking on the “**Switch delegation**” button. This will open a new screen where one can see the different reporting entities for which authorization exists:

Change the Reporting Entity for this Session

You are currently reporting as: Mein Sparschwein AG

The screenshot shows a dialog box with a title bar. Below the title bar, it says 'You are currently reporting as: Mein Sparschwein AG'. There is a dropdown menu containing 'Mein Kreditschwein AG'. To the right of the dropdown is a green 'Change' button. Below the dropdown and button is a black 'Close' button.

2. XML-Upload

Dragging&dropping of files is now possible (red option) in addition to selecting files the classic way (green option).

The screenshot shows the 'XML Upload' section of a web application. At the top, there is a navigation bar with links: NEW REPORTS, DRAFTED REPORTS, SUBMITTED REPORTS, MY GOAML, STATISTICS, ADMIN, and HELP. Below the navigation bar, the title 'XML Upload' is displayed. There is a 'Select files...' button. Below the button is a large area with an upload icon and the text: 'Drag and drop an XML Report or ZIP file here. Maximum file size: 292969 KB. Allowed file types: .xml .zip'.

Simply open your local folder, where the XML and the attachments are stored and “drag&drop” them into the designated field.

3. Load XML into Web form to make changes

If a submitted report is rejected by MROS, it can now be edited manually, even if it was not entered in manual or semi-automatic mode but was generated automatically in advance. This user-friendly function enables compliance officers to process and correct incomplete or incorrect data records more easily and efficiently.

A previously automatically generated XML file can now be uploaded via the menu option “**New reports**” -> “**Web reports**” as well. By means of this new option, the data records contained in the file can then be added and edited directly in the entry mask before the report is transmitted via the “**Send**” button.


Step 1: Select “**New Report** → **Web reports** and upload your XML file in “**Create new report from XML file**” section (either via “Select file” button or directly via “drag & drop” function):

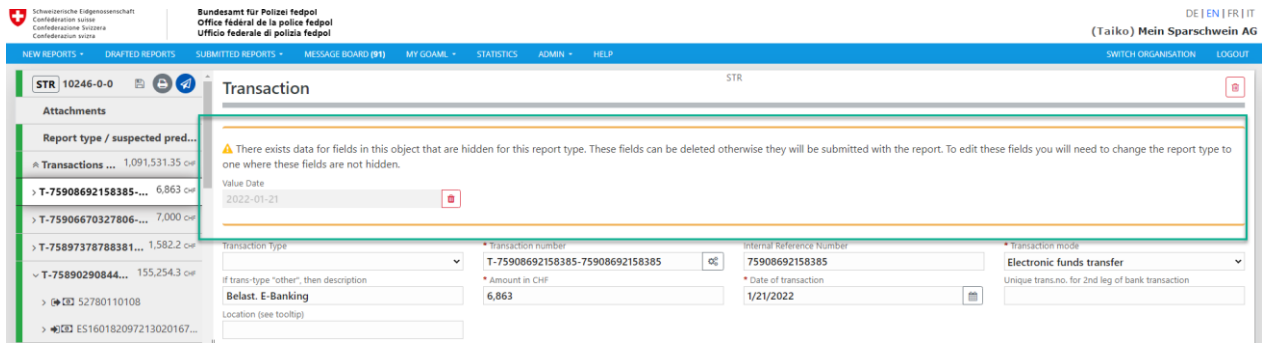


The screenshot shows the top navigation bar of the fedpol system with tabs for 'NEW REPORTS', 'DRAFTED REPORTS', 'SUBMITTED REPORTS', 'MESSAGE BOARD (93)', 'MY GOAML', 'STATISTICS', 'ADMIN', and 'HELP'. A dropdown menu under 'NEW REPORTS' is open, showing 'XML Upload', 'Web Reports', and 'XML Report Validator'. A green arrow points to 'Web Reports'. Below this, the 'New Report' form is visible, with a 'Create Report' button and a text area containing instructions. A second green arrow points to the 'Create new report from XML' section, which includes a 'Select files...' button and a 'drop files here to upload' area.

Step 2: If a conversion hint like the one seen below appears, override it by clicking "*Continue*"

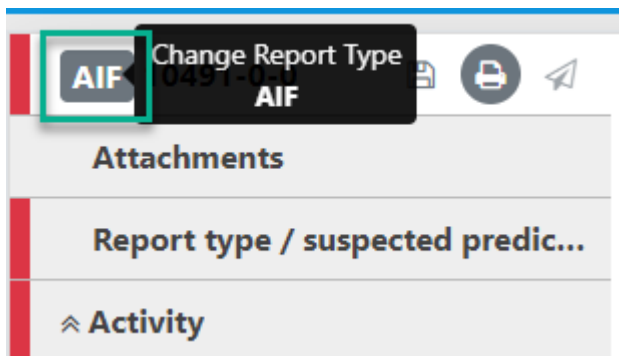
The screenshot shows an error dialog box with a blue header that reads 'The uploaded XML is incomplete or invalid.' Below the header, there is a message: 'The following deprecated elements have been automatically migrated to the latest standard: submission_date, email, signatory - Please check the imported data carefully and consider upgrading your transaction templates.' This is followed by a detailed error message: 'cvc-complex-type.2.4.a: Invalid content was found starting with element 'emails'. One of {addresses, email, occupation, employer_name, employer_address_id, employer_phone_id, identification, deceased, date_deceased, tax_number, tax_reg_number, source_of_wealth, comments} is expected.' At the bottom of the dialog, there are 'Cancel' and 'Continue' buttons. A green arrow points to the 'Continue' button. Below the dialog, a file named 'Sparschwein_SAR_Test.xml' is shown as 'File successfully uploaded.'

Step 3: Add or correct the desired data records directly in the data entry screen of the report, then save and submit the report by clicking on the icon shown in the green box . Please note that altering information that was based on the old schema in the Web Form, will automatically transform into goAML 5 schema-data.

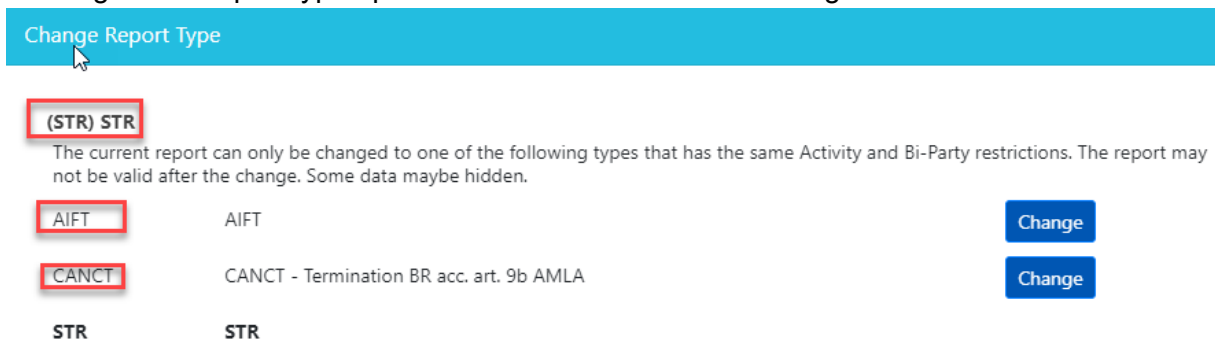


4. Switch report type

In the past, it often happened that a financial intermediary selected a wrong report type and as a consequence, had to re-enter all data as it was not possible to change the report type in a simple way. With goAML 5, there is now the option to change the report type within the same report category. Thus, an STR can be converted to an AIFT or CANCT, and a SAR can be converted to AIF or CANCL (or vice versa). To do this, the mouse pointer is moved over the report type. This option is not only available for new reports, but also available for reports that MROS had to reject for reason of wrong report type and that were reverted in the process.



Clicking on the report type opens as new mask where the change can be made:





Change Report Type

(AIF) AIF

The current report can only be changed to one of the following types that has the same Activity and Bi-Party restrictions. The report may not be valid after the change. Some data maybe hidden.

AIF

AIF

CANCL

CANCL- Termination BR acc. art. 9b AMLA

Change

SAR

SAR

Change


5. Asserts / Assertions

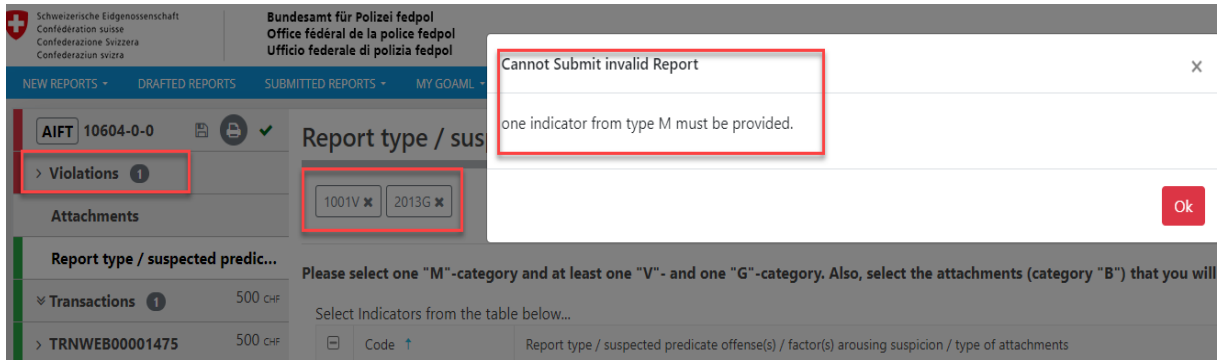
The new version of the goAML XSD (the backbone of goAML) allows to make new in-depth controls of the report resp. the XML file with "asserts" and "assertions". This means additional automatic controls and more help for financial intermediaries when uploading XML files and when entering data in the goAML web forms. An XML file or a manual entered report that does not meet an automatic check cannot be submitted to MROS. The following new controls were added in the XSD:

- If a value is recorded in the field "Balance", "Date of Balance" must be entered as well, and vice versa
- One Indicator M and at least one Indicator V and G must be entered
- Indicator 0003M must be applied only for SAR
- The field "fiu_ref_number" must be completed for CANCL and CANCT reports
- Verification of correct indicators for CANCT/CANCL reports

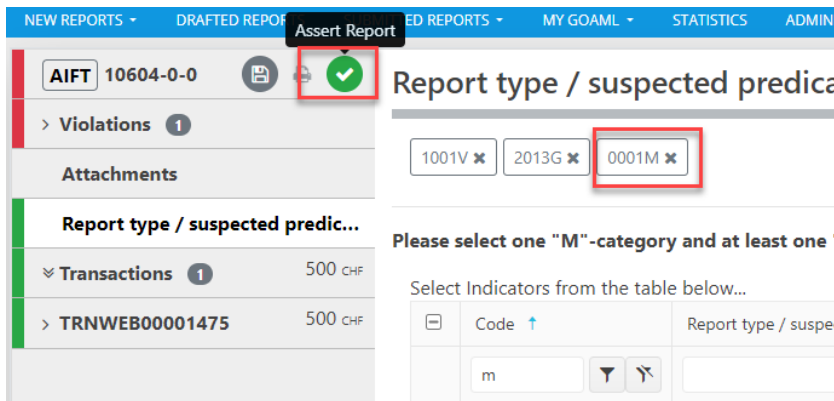
a. Example for assertions for indicators in Web Form

In the current version of goAML, so-called rejection rules control if a financial intermediary selects the proper indicators which must consist of one "M"-category and at least one "V"- and one "G"-category. Even without following these rules, it was possible to transmit the report to MROS, only to have the report rejected by latter for an incorrect indicator selection.

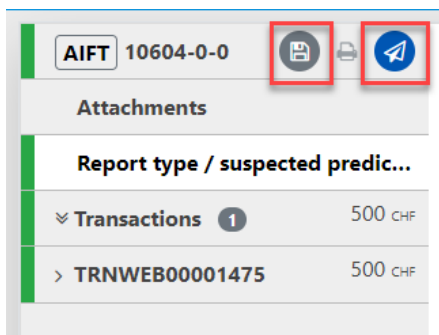
As stated above in point 5, with goAML 5, the XSD schema was amended with certain asserts and assertions, controlling the proper selection of indicators even before the report is sent off. In the following example only a "V"- and "G"-category was selected, missing the mandatory "M"-category. Although the report is ready to be sent off (the report is all green), the click on the "Send" icon  will throw an error like in the sample below and add a "violation" to the report, making the report partially "red":



This means that the report must be corrected before it can be sent. To do so, after clicking the red “ok” on the error message, one must add the missing indicator (in the example the “M”-category) and validate the correct selection with the green checkmark:



Once the validation has worked and the report is “green” again, it can be saved and sent off:



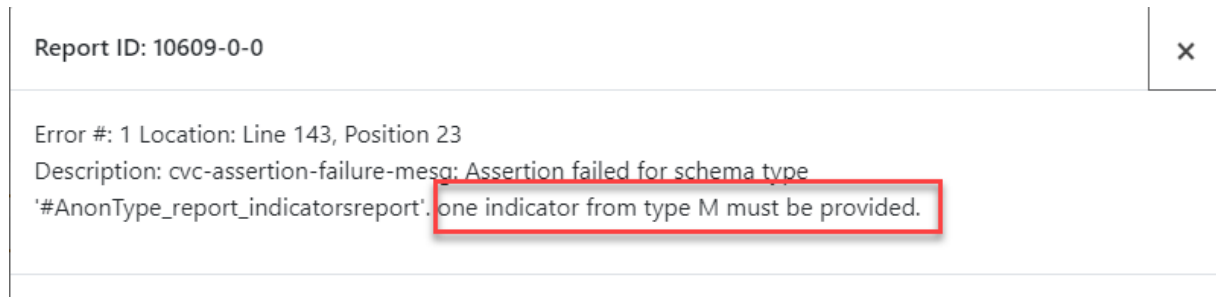
b. Example for assertions for indicators via XML file upload

In goAML 5, when an XML file is uploaded via *New Report* → *XML Upload* and sent off, during the upload process, goAML checks if the XML is valid against the asserts and assertions: if for example the indicator “M” is missing in the XML file, the report will get the status “*Failed Validation*”:

File Name	Last Updated By	Entity Name	Transactions	Entity Ref	No. Rejected	Status	Submitted On
_Web_Report_ReportID_1060...	solti711	Financial Intelligence Unit (FI...	1	fjdffhjh		F - Failed Validation	6/22/2023



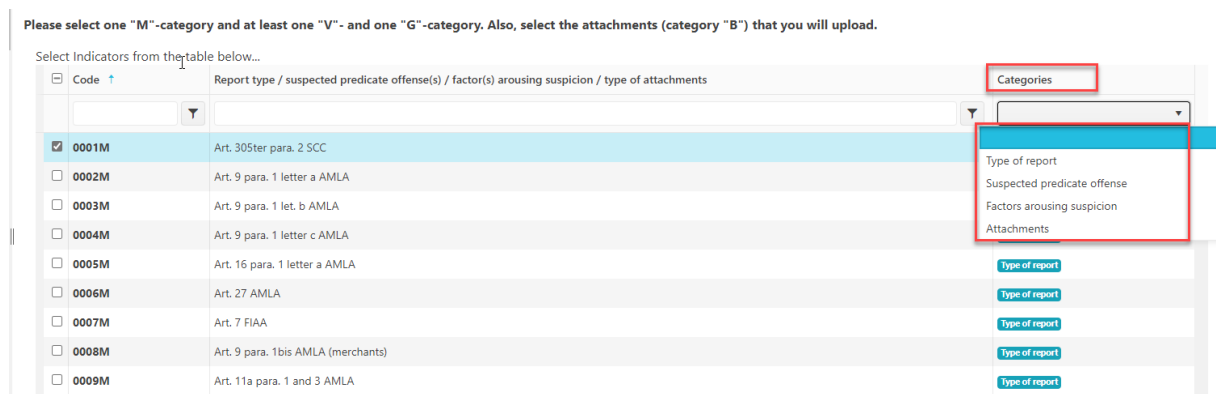
By clicking on the blue hyperlink “Failed Validation”, a new window opens with the detail of the error as in the example below:



If this is the case, the faulty XML can firstly be uploaded into the goAML Web forms (see point 3) and corrected, before being saved and sent off again.

6. Categorization of Indicators

A new option exists in the section “**Report type / suspected predicate offense(s) / factor(s) arousing suspicion / type of attachments**” It is now possible to filter indicators based on their categories:



The following categories exist:

- Type of report
- Suspected predicate offense
- Factors arousing suspicion
- Attachments

For certain report types (AIF/AIFT; CANCL/CANCT), the number of indicators shown will be reduced to the absolute minimum. These options will make entering reports much faster.

7. New section in person mask: 'PEPs' with corresponding fields

If a subject mentioned in a report is also a politically exposed person (PEP), this information previously had to be filled in the fields '**PEP: office held / term of office**' and '**PEP: in which country?**' (the technical name of these fields are: '**passport_number**' and '**passport_country**'). With goAML version 5, dedicated fields are now available for this in a separate selection node called '**PEPs**' in the person mask. In addition to the country



concerned, the function designation (e.g., member of the Parliament) and details of the office held (e.g., member of the National Council) must be entered in two distinct fields, as well as any remarks in a further field.

The new PEP node in the web portal looks like this (all three marked fields are mandatory), “**term of office**” is optional (but highly desired):

8. New designation: “Related persons” instead of previously “Contracting party / Beneficial owner(s) / Power of attorney/Signator(ies)” for the reported 'Account (reported subject)’.

The previous designation of the section “**Contracting party / Beneficial owner(s) / Power of attorney/Signator(ies)**” in the section 'Account (reported subject)', which is mandatory for reported accounts, is now called “**Related Persons**”. The type of the relationship can be specified as usual by means of the **'Role'** field.

9. Reported subject (“My Client”) also possible in SAR/AIF/CANCL

Until now, it was not possible to distinguish between "reported subject" and "counterparty" in a SAR (or AIF/CANCL). This repeatedly led to rejections by MROS, because certain fields are mandatory for reported subjects, but could not be displayed as such in the mask. With goAML 5, a clear distinction is now made between the reported subject and the counterparty. The financial intermediaries are advised to use the corresponding new mask for the reported parties:

With this change a new field “**Role**” is introduced, just as in report types STR/CANCT/AIFT. The old field “significance” is no longer mandatory:



Person (Reported subject) [refresh] [delete]

Role is required! Is Suspected

Address: info to role

Comments

Title * Gender / Entity is required! * First name / see tooltip is required! * Last name / Name Entity is required!

Middle Name * Birth date / Date of registration is required! Birth place / place of origin * Nationality 1 is required!

Nationality 2 Nationality 3 Occupation Source of Wealth

10. Entity-to-entity relationship (legal person to legal person) can now be mapped correctly

Up to now, it was only possible to enter a legal entity as a contracting party in the “**Entity as contracting party**” selection node provided for this purpose. If several legal entities have a role in the reported account (entity-to-entity relationship), the input mask ‘**Natural person**’ had to be used as a so-called workaround for the entry of an additional account-related involved legal entity (see chapter 9.4.2.6 of the [goAML manual](#)). This workaround is now obsolete, since the nodes ‘**Account**’ or ‘**Account (reported subject)**’ now offer a new option called “**Other Related Entities**”.

- + Entity as contracting party
- + Account Funds
- + **Other Related Entities**
- + Related Persons

The same logic applies and the same fields are mandatory in this new node as in the node “**Entity as contracting party**”. Additionally, you have to select a role that describes the relation between the entity and the account.

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