



goAML Web Submission Guide – Partial Name Match Report & Funds Freeze Report

UAE Financial Intelligence Unit

19/08/2021 – V1.0

Objective of this user guide

The objective of this user guide is to define and outline the steps to be followed when submitting a Partial Name Match Report (PNMR) and Funds Freeze (FFR) to the Financial Intelligence Unit (FIU).

This user guide is applicable to the designated MLRO or the deputy MLRO (should the lead MLRO be unavailable) of the reporting entity registered on the goAML.

Legal Disclaimer

The FIU reserves the right to amend, modify or change the contents of this document when deemed necessary.

Terms and Definitions

Terms & Definitions	Description
AML / CFT	Anti-Money Laundering / Countering Financing of Terrorism
FIU	Financial Intelligence Unit
MLRO	Money Laundering Reporting Officer or Compliance Officer
PNMR	Partial Name Match Report
FFR	Funds Freeze Report

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Reporting Requirements

Procedures

In line with the recent Supervisory Authorities communications on the subject and the obligation for TFS reporting, as stipulated in the Cabinet Decision (74) of 2020 “Regarding Terrorism Lists Regulation and Implementation of UN Security Council Resolutions on the Suppression and Combating of Terrorism, Terrorist Financing, Countering the Proliferation of Weapons of Mass Destruction and its Financing and Relevant Resolutions”, two new reports have been introduced into goAML for Reporting Entities (REs) to use in this regard:

1. **Funds Freeze Report (FFR)**: To be used to report any freezing measure, prohibition to provide funds or services, and any attempted transactions related to ‘confirmed matches’.
2. **Partial Name Match Report (PNMR)**: To be used to report any ‘potential match’.

Additionally, the following Reasons for Reporting (RFRs) have been created to be used with these reports. REs are asked to use the correct and most applicable Reasons for Reporting (RFRs) when submitting the aforementioned report types via goAML.

1. TFS/PFS – Domestic list
2. TFS/PFS - UNSCRs

Reporting Entities are expected to take all measures required as per cabinet decision (74) of 2020 in line with the procedures or guidance received from their supervisory authorities.














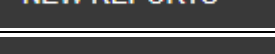
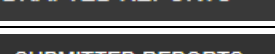
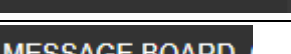
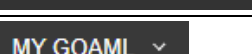


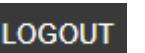

Reporting Entities should consult the published guidelines issued by their supervisory authorities and the Executive Office - IEC published guidelines, respectively, as updated from time to time in this regard.

A link to the Executive Office - IEC’s website is found herein: <https://www.uaieic.gov.ae/en-us/un-page>

For technical queries related to goAML, please contact the goAML Support team goaml@uaefiu.gov.ae

For any queries related to the implementation of TFS, please contact the Executive Office - IEC iec@uaieic.gov.ae and your Supervisory Authority.

1. goAML Web Icons

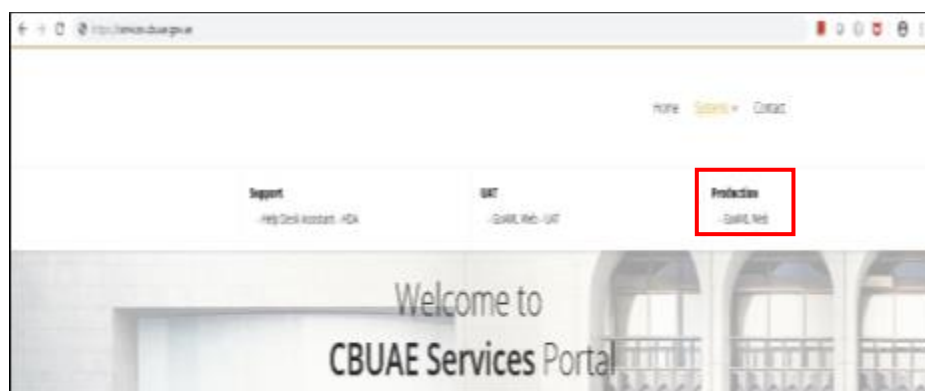
Icon	Description
	Add or Expand
	Add the captured detail
	Cancel the captured detail
	Close
	Preview
	Print
	Refresh
	Remove the uploaded document
	Upload a document
	Save
	Save a report
	Submit a report
	Shows the attached documents
	Upload XML and web reports
	Access drafted reports
	View submitted reports
	Access goAML Message Board
	Change password and user/organization details
	Access User Requests and Role Management
	Access Statistics
	Logout of goAML

2. Accessing goAML

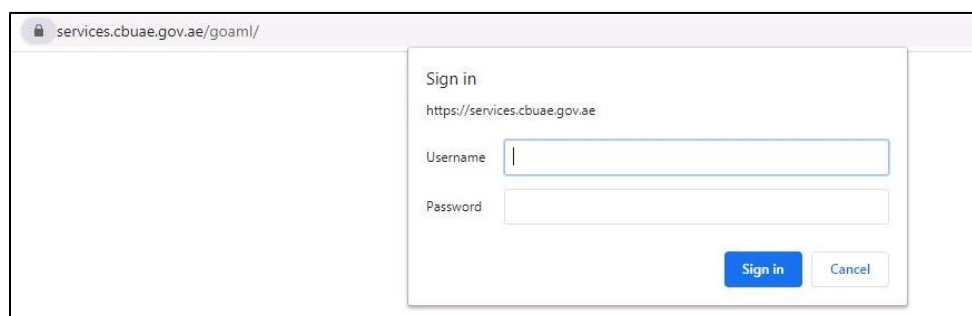
Reporting entities can access the goAML by utilizing the username and password they created during the registration process. However, all reporting entities registration requests should be approved by their respective regulator before the registering organization is on-boarded to the goAML. Such authentication will always be required before a reporting entity is granted access to the goAML.

2.1 Login Process

1. Click on the **Login** link <https://services.cbuae.gov.ae>
2. Navigate to Systems
3. Click on **Production** – GOAML Web

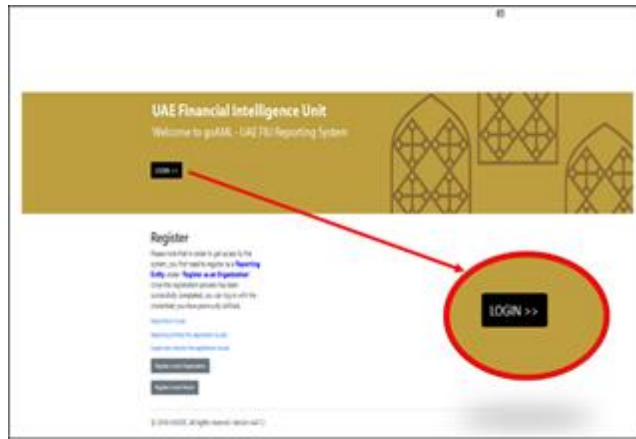


4. You will then see the below pop-up screen; where you need to use the username received from webmaster@eservices.centralbank.ae and the Google Authenticator Passcode as the password

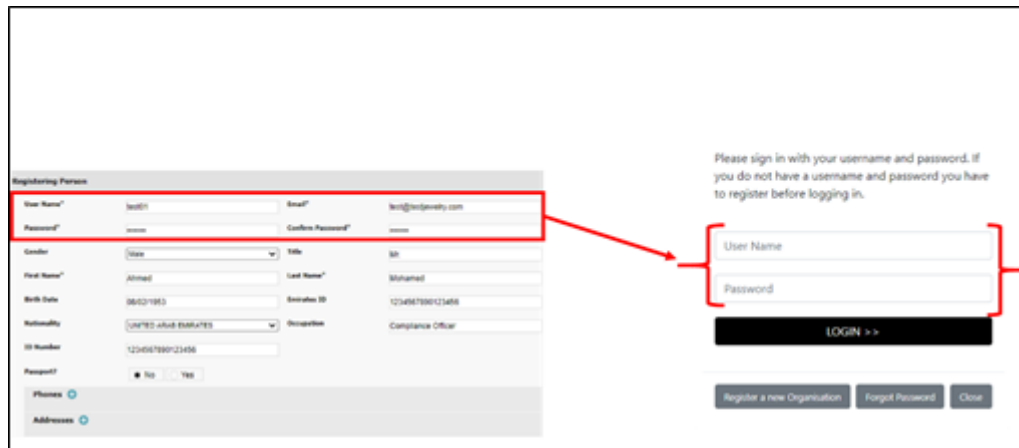


5. You will be directed to the goAML homepage

6. Click the Login Button



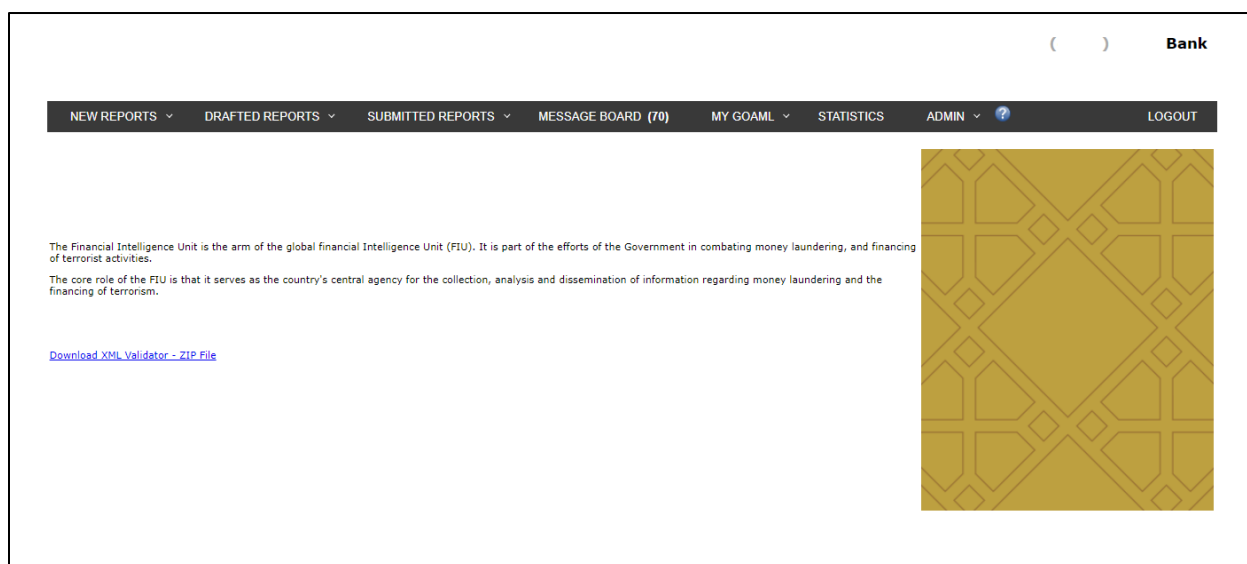
7. Type in the username and password you created at the time of registering on goAML then click login



2.2 goAML Platform Landing Page

The landing page has the following visible items

- **Logged in user details** - displays the username and the corresponding institution name (e.g. Ali from Gulf Global Bank).
- **Menu Bar** - contains New Reports / Drafted Reports / Submitted Reports / Message Board / My goAML / Statistics / Admin, clicking any of the link items will give a user access to the required functionality (e.g. clicking message board populates the message board).
- **Logout** – allows the user to logout.



3. Submitting a PNMR or FFR

3.1 Submission Options

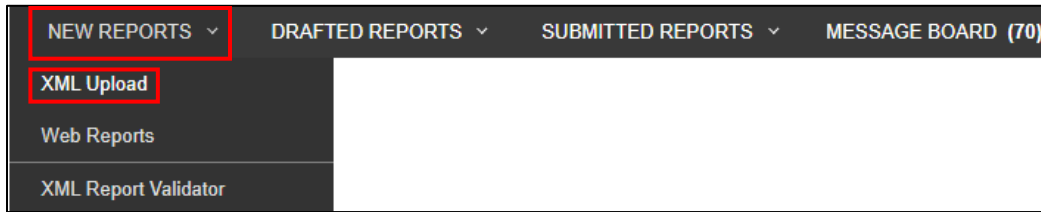
The goAML system allows users to submit a report through the following options:

3.1.1 XML Reports

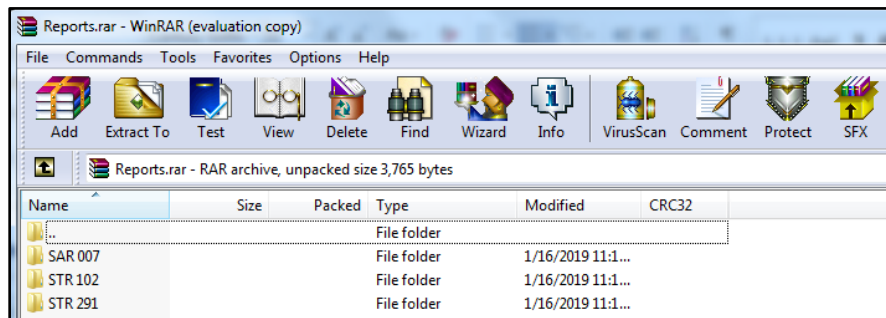
If the reporting entity has goAML- compliant XML files, then they may simply upload them to the goAML by uploading individual XML report files or XML reports in a ZIP file.

The link for uploading reports is accessible by hovering the mouse pointer on the menu bar:

- **New Reports** > select **XML Upload**



- Click on **Browse** and select the XML file to be uploaded. The user can select either a single XML file or a zipped file. In case of a zipped file, the user may enter multiple XML files along with attachments granted that they are in the appropriate format as depicted below:



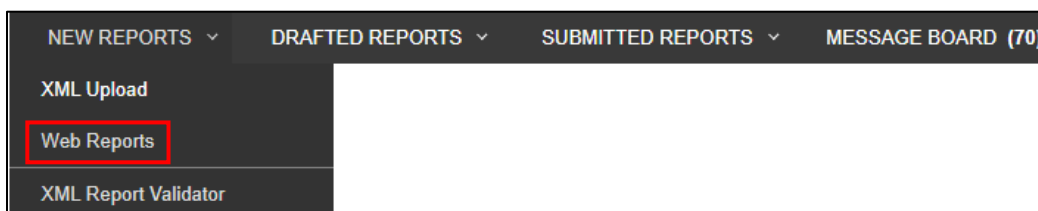
- Click on **Upload**. The data is then uploaded to the goAML for acceptance or rejection.

3.1.2 Web Reports

If the reporting entity wishes to submit a report but does not have the data available in XML format, then they may enter the report directly onto a web form available on the goAML platform.

The link for uploading reports is accessible by hovering the mouse pointer on the menu bar:

- **New Reports > select Web Reports**



Once selected, a new general reporting template will be generated which will be discussed in detail in the following sections.

3.2 How to submit a PNMR & FFR

3.2.1 An Overview of the Report Cover

The form for creating new reports is loaded and displayed. Kindly note the form fields 'Reporting Entity ID' and 'MLRO' are auto-populated and cannot be changed. The Reporting Person details are linked to the logged in user details. Kindly note that all fields denoted with an asterisk (*) in the goAML are mandatory and must be completed in order to submit the report. Additional fields that are not denoted with an asterisk, are mandated. Please refer to the Business Rejection Rules (BRRs) for more information.

Report Type: PNMR		Report No.: ---	
Reporting Entity ID	<input type="text"/>	Reporting Entity Branch	<input type="text"/>
Report Type*	Partial Name Match Report	Reporting Entity Ref #*	<input type="text"/>
Submission Date*	08/18/2021	FIU Reference	<input type="text"/>
Description of the Report			
<input type="text"/>			
Action Taken By Reporting Entity			
<input type="text"/>			
MLRO *			
First Name	Last Name	Birth Date	Emirates ID
goaml	goaml		
Passport Number			
<input type="text"/>			
Location of Incident +			
<input type="text"/>			
Reason for Reporting * +			
<input type="text"/>			
Transactions * +			
<input type="text"/>			
<input type="button" value="Submit Report"/> <input type="button" value="Save Report"/> <input type="button" value="Show Attachments x 0"/>			

3.2.2 Select the Report Type

The report type to be submitted can be selected from the ‘**Report Type**’ drop-down menu.

- To submit a report, open the ‘**Report Type**’ drop-down menu and select the type of the report you want to file, “**Partial Name Match Report**” or “**Funds Freeze Report**”.



This screenshot shows a web form with a dropdown menu for 'Report Type*'. The dropdown is open, and 'Funds Freeze Report' is highlighted in blue. Other options in the list include 'Additional Information File With Transaction', 'Additional Information File Without Transaction', 'Dealers in Precious Metals and Stone Report', 'High Risk Country Activity Report', 'High Risk Country Transaction Report', 'Internal Transactions Report', 'Partial Name Match Report', 'Postponement of Suspicious Transaction Report', 'Request for Information with Transactions', 'Request for Information without Transactions', 'Suspicious Activity Report', and 'Suspicious Transaction Report'. The form also has fields for 'Submission Date*', 'Description of the Report', and 'Action Taken By Reporting Entity'.



This screenshot shows the same web form as the previous one, but with 'Partial Name Match Report' selected in the 'Report Type*' dropdown menu. The list of options is identical, but 'Partial Name Match Report' is now highlighted in blue. The other form fields are visible but not selected.

After selecting the “Partial Name Match Report” or the “Funds Freeze Report” option, the MLRO may now proceed with populating all available details in the Report Cover as depicted below:

Report Type: PNMR Report No.: ---

Reporting Entity ID	<input type="text"/>	Reporting Entity Branch	<input type="text"/>
Report Type*	Partial Name Match Report	Reporting Entity Ref #*	<input type="text"/>
Submission Date*	08/18/2021	FIU Reference	<input type="text"/>

Description of the Report

Action Taken By Reporting Entity

MLRO *

First Name	Last Name	Birth Date	Emirates ID	Passport Number
goaml	goaml			

Location of Incident +

Reason for Reporting * +

Transactions * +

Submit Report Save Report Show Attachments x 0

- **Reporting Entity ID** – Entity name as per the registration (auto-generated)
 - **Report Type*** – Kindly select the relevant report. “Partial Name Match Report” or “Funds Freeze Report”.
- **Submission Date*** – Date of submitting the report to the FIU (auto-generated)
- **Reporting Entity Branch** – Branch where the main subject(s) of the report were identified
- **Reporting Entity Ref #*** – Internal report reference number i.e. the reference number assigned to this report within your organization
- **FIU Reference** – *Only applicable in the case of AIF/RFI/AIFT/RFIT reports.* Kindly quote the corresponding case number as specified in the Message Board communication sent by the FIU
- **Description of the Report*** – Kindly provide a detailed description for the suspicions and reason for submitting this report to the FIU.
- **Action Taken by Reporting Entity*** – The action(s) taken by the reporting entity post-identifying the reason for suspicion/submission

3.2.3 MLRO Details

This section of the report includes full details of the reporting person, which are automatically populated using the details provided during the registration phase.

MLRO					
First Name	Last Name	Birth Date	Emirates ID	Passport Number	
goaml	goaml				

3.2.4 Location of the Incident

Describes the location where the suspicious incident/transaction took place. This is mandatory to avoid rejection of your report.

Location of the Incident					
Address	City	State/Emirate	ZIP/Postal Code	Country	
Central Park Towers, DIFC	Dubai	Dubai	20499	UNITED ARAB EMIRATES	 

- To edit the location, press the ‘Edit’ icon.

Location of the Incident					
Address	City	State/Emirate	ZIP/Postal Code	Country	
Central Park Towers, DIFC	Dubai	Dubai	20499	UNITED ARAB EMIRATES	 

The “Use an existing Address” button is used to populate Address information that was already captured on the same web session on goAML. Alternatively, the user may fill in other location details as required.

Address				Use an existing Address
Type*	<input type="text"/>	Address*	<input type="text"/>	
Name of Free Zone (if FZ entity)	<input type="text"/>	City*	<input type="text"/>	
ZIP/Postal Code	<input type="text"/>	Country*	UNITED ARAB EMIRATES	
State/Emirate*	<input type="text"/>	Comments	<input type="text"/>	
		Save	Cancel	

- Type*** – Type of address (drop-down menu)
- Name of Free Zone (if FZ entity)** – The name of the UAE free zone (if applicable)
- Zip/Postal Code** – Please provide the PO Box/Zip code
- State/Emirate*** – Please provide the state name in full form(or Emirate in case of UAE)
- Address*** – Physical address (details such as street name, office floor, etc.)
- City*** - Name of the city (full form)
- Country*** – Name of Country
- Comments** – If any

3.2.5 Reason for Reporting



The user is required to select the most appropriate reason for reporting available from the menu selection provided. Multiple reasons may also be provided, if deemed necessary. In order to select the appropriate reason:

- Click ‘Add’ to select the appropriate reason for the report.

Reason for Reporting * 

Select the reason(s) applicable and then press ‘Close’. Alternatively, the user may search for reasons using the search bar available on the top left when expanding the form.

Reason for Reporting
Close

Code	Indicator	
TFSDL	TFS/PFS - Domestic list	▲
TFSUN	TFS/PFS - UNSCRs	▼

It is imperative that a minimum of one reason for reporting must be selected to avoid rejection of the report by the system. PNMRs and FFRs will be rejected if neither of these two RFRs is selected.

3.2.6 Transactions


If the report contains transaction(s), then the transaction details may be added as follows:


- Click ‘Add’ button to capture transaction details for the report

Transactions * 

Once the Transaction tab is expanded, a screen opens up that should be populated with the details of the transaction.

Transaction

Transaction Ref. No.* <input type="text"/>		Internal Reference Number <input type="text"/>
Transaction Type* <input type="text" value="v"/>		Late deposit (Y/N)* <input type="text"/>
Total Amount (AED)* <input type="text"/>		Date* <input type="text"/>

- **Transaction Ref. Number*** – Kindly use the auto-generate button adjacent to this field to generate a unique identification number  only if the RE is not a Bank/Exchange House.
- **Transaction Type*** – Kindly specify the mode used to conduct the transaction being reported
- **Total Amount*** (AED) – Transaction amount in AED
- **Internal Reference Number*** – Reporting entity's internal transaction reference number
- **Late Deposit*** – Does this transaction account as a late deposit? (Yes or No. to be used by Banks only.
- **Date*** – Transaction date

Indemnified for Repatriation Yes No

Transaction Executed by (Staff Name) Authorizer

Branch executing the transaction*

Purpose of the Transaction*

Transaction Comments

Transaction Type: MultiParty BiParty

Goods and Services

- **Indemnified for Repatriation*** – Kindly specify if the reporting entity has received an indemnity for repatriation. This is only applicable in fraud related STRs.
- **Authorizer** – Name of the staff member responsible for authorizing the transaction
- **Transaction Executed by (Staff Name)** – Name of the staff member who executed the transaction
- **Date of receipt for recall request*** (that field will only show if YES was selected for Indemnified for Repatriation) – Kindly mention the date when the reporting entity received the fund recall request
- **Branch executing the transaction*** – Branch where the transaction was executed
- **Transactions Comments** – Comments (if any)
- **Purpose of the Transaction*** – Purpose for executing the transaction as informed by customer

Date of receipt for recall request	<input type="text"/>
------------------------------------	----------------------

3.2.6.1 Transaction Type

Transaction Type:	<input type="radio"/> MultiParty	<input type="radio"/> BiParty
--------------------------	----------------------------------	-------------------------------

The user will have the option to select '**BiParty**' if the transaction involves only two parties, and the option to select '**MultiParty**' should one or multiple parties be involved in the transaction.

3.2.6.2 From Type / To Type¹

Transactional reports on goAML are structured as bi-party transactions with a '**From**' and '**To**' party to every transaction. A transaction report will always have a From (Payee/Remitter/Sender) and To (Receiver/Beneficiary) side which will need to be completed by the user/ MLRO.

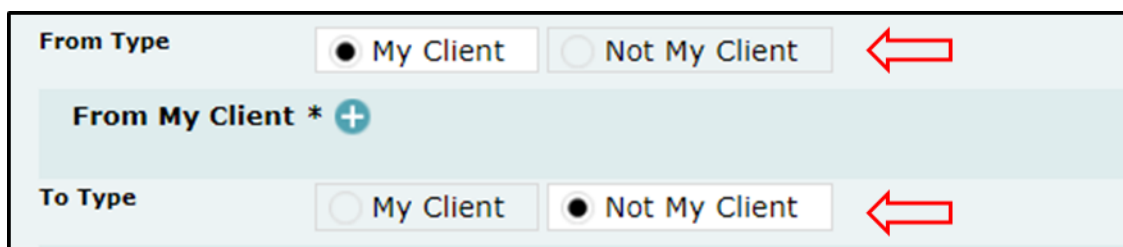
	From Type	<input type="radio"/> My Client	<input type="radio"/> Not My Client
	To Type	<input type="radio"/> My Client	<input type="radio"/> Not My Client

¹ This sub-menu will appear only in case the user/ reporting officer selects '**BiParty**' in the 'Transaction Type' field.

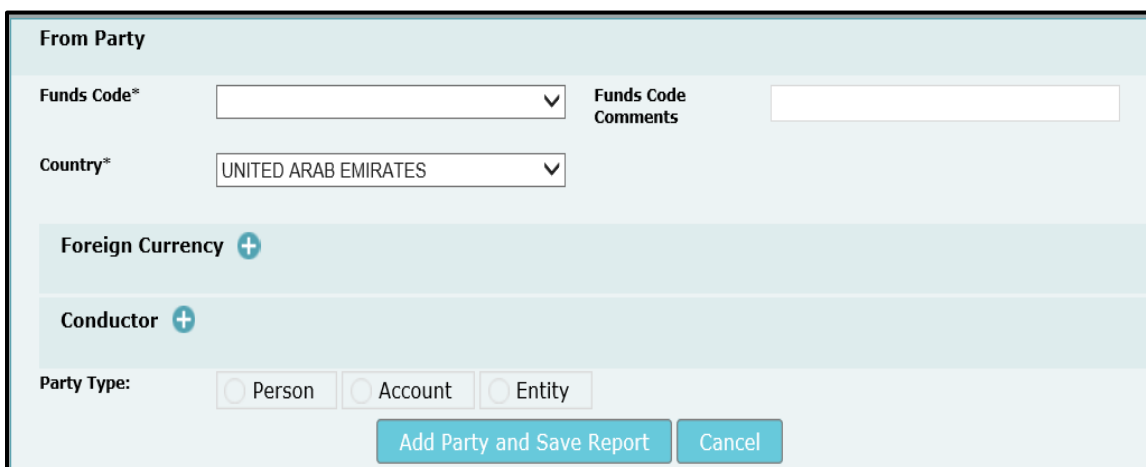
3.2.6.3 My Client / Not My Client²

The MLRO is required to specify within '**From Type**' / '**To Type**' sub-menu whether the concerned subject is '*My Client*' or '*Not my Client*'. Regardless whether the MLRO's selection is '*My Client*' or '*Not my Client*', there must be an account, entity and/or person involved as applicable.

- Click the > '**My Client**' radio button > The '**From My Client**' button displays > click the '**Add**' button



The 'From Party' form will then open, in which the reporting officer will populate the details of the subject who initiated the transaction.

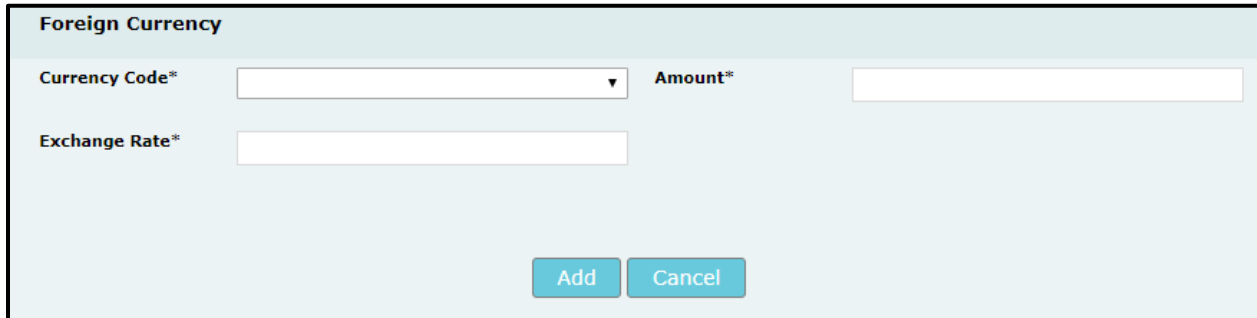


- **Funds Code*** – Please specify the type of funds used
- **Funds Code Comments** – Comments (if any)
- **Country*** – Country where the transaction has originated from

3.2.6.4 Foreign Currency

² For illustrational purposes, the relationship with the subjects of the report here is 'My Client' in order to provide a holistic view on all the fields that need to be completed.

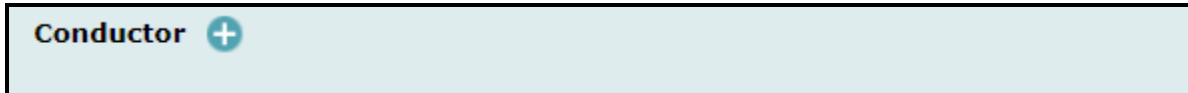
By clicking the '+' icon next to the '**Foreign Currency**' sub-menu, the user will expand the form which is applicable to transactions involving the use of foreign currency.



- **Currency Code*** – Describes the currency for the transaction
- **Amount*** – Transaction amount in foreign currency
- **Exchange Rate*** – The equivalent of one foreign currency unit in AED at the time of transaction

3.2.6.1 Conductor

By clicking the '+' icon next to the '**Conductor**' sub-menu, the user will expand the form which is applicable to transactions initiated by a conductor. A conductor is a person carrying out the transaction,



By attempting to add a '**Conductor**' to the transaction, the system will generate a '**Person**' form, which will be discussed in detail in Section 3.2.6.2.

3.2.6.2 Person

The below screen will be generated once the user has opted to add a Conductor. "**Use an existing Person**" button is used to populate Person information that was already captured on the same web session on goAML.

Person		Existing	
Title	<input type="text"/>	Gender*	<input type="text" value="▼"/>
First Name*	<input type="text"/>	Last Name*	<input type="text"/>
Middle Name	<input type="text"/>	Prefix	<input type="text"/>
Birth Date*	<input type="text"/>	Birth Place	<input type="text"/>
Mothers Name	<input type="text"/>	Alias	<input type="text"/>
Emirates ID	<input type="text"/>	Id Number*	<input type="text"/>
Nationality 1*	<input type="text" value="▼"/>	Nationality 2	<input type="text" value="▼"/>
Nationality 3	<input type="text" value="▼"/>	Residence*	<input type="text" value="▼"/>

- **Title** – e.g. Mr./Mrs./Dr.
- **Prefix** – Prefix Name e.g. Von, Jr.
- **Middle Name** – Middle name of the person
- **Birth Date** (is mandatory for my client) – Date of birth of the person
- **Mother's Name** – Name of the person's mother (if available)
- **ID Number** (is mandatory for my client) – ID number. Kindly input the number without using any spaces/hyphens
- **Nationality 1** (is mandatory for my client) – First nationality of the person
- **Nationality 3** – Third nationality of the person
- **Gender** (is mandatory for my client) – Male / Female
- **First Name*** – First name of the person
- **Last Name*** – Last name of the person
- **Birth Place** – Location where the person was born
- **Emirates ID** – Emirates ID number. Kindly input the number without using any spaces/hyphens. This is mandatory for all UAE residents
- **Alias** – A known alias for the person (if applicable)
- **Nationality 2** – Second nationality of the person
- **Residence** (is mandatory for my client) - Country of residence

Occupation	<input type="text"/>	Employer Name	<input type="text"/>
Tax Number	<input type="text"/>	PEP (Y/N)*	<input type="text"/>
Source of Funds	<input type="text"/>		
Passport?	<input checked="" type="radio"/> No <input type="radio"/> Yes		
Deceased?	<input checked="" type="radio"/> No <input type="radio"/> Yes		
Phones * <input style="float:right" type="button" value="+"/>			
Addresses <input style="float:right" type="button" value="+"/>			
Identification * <input style="float:right" type="button" value="+"/>			
Emails <input style="float:right" type="button" value="+"/>			
Employer Address <input style="float:right" type="button" value="+"/>			
Employer Phone <input style="float:right" type="button" value="+"/>			
Comments			
<input style="width:100%; height:50px;" type="text"/>			

- **Occupation** – Known occupation of the subject
- **Tax Number** – Tax number for outside UAE without hyphens/spaces (e.g. FATCA number for US citizens)
- **Source of funds** – Primary source of funds used for the reported transaction
- **Passport Number*** – Kindly input the passport number without any spaces/hyphens only in the absence of an Emirates ID
- **Deceased** – Is the person deceased? (Y/N)
- **Employer Name** – Name of the person’s current employer
- **PEP (Y/ N)** (is mandatory for my client) – Kindly specify if the person is a politically exposed person. Input "Y" or "N" accordingly.
- **Passport*** – Kindly select if the passport details are available (Y/N)
- **Passport Country*** – Country of the passport provided
- **Date of Death** – Date when the person died (applicable only if “Y” was provided in the ‘Deceased’ field)

Deceased?	<input type="radio"/> No <input checked="" type="radio"/> Yes
Date of Death	<input type="text"/>

Passport?	<input type="radio"/> No <input checked="" type="radio"/> Yes
Passport Number	<input type="text"/>
Passport Country	<input type="text"/>

Important: While populating the fields detailed above, kindly note that all reporting entities are expected to comply with the following principles in order to avoid rejection of the report by the system:

- ❖ The 'First Name' field will consist of the first name as per the customer's identification. The 'Last Name' field will consist of all the name words present after the first name as per the customer's identification. For example, if the customer's passport has the full name "Mohamad Ali Al-Jaber", then the first name in this scenario would be "Mohamad", while the last name would be "Ali Al-Jaber".
- ❖ In case the person is a UAE resident, then the MLRO should fill in both the 'Emirates ID' and 'ID Number' field using the same identification number in the appropriate format. Both fields are mandatory in case of UAE residents.

3.2.6.3 Phone

Phone			
Contact Type*	<input type="text"/>	Comm. Type*	<input type="text"/>
Country Code	<input type="text"/>	Number*	<input type="text"/>
Extension	<input type="text"/>	Comments	<input type="text"/>
<input type="button" value="Save"/> <input type="button" value="Cancel"/>			

- **Contact Type*** – Drop-down menu to specify the contact type (e.g. Business, Operational, etc.)
- **Country Prefix** – e.g. 971
- **Extension** – Numeric
- **Comm. Type*** – Drop-down menu to specify the communication type (e.g. Landline, Mobile, etc.)
- **Number*** – Kindly enter the number without prefixing "00" or "+" or using any hyphens/spaces
- **Comments** – Comments (if any)

3.2.6.4 Address

Address		Use an existing Address	
Type*	<input type="text"/>	Address*	<input type="text"/>
Name of Free Zone (if FZ entity)	<input type="text"/>	City*	<input type="text"/>
ZIP/Postal Code	<input type="text"/>	Country*	UNITED ARAB EMIRATES ▼
State/Emirate*	<input type="text"/>	Comments	<input type="text"/>
<input type="button" value="Save"/> <input type="button" value="Cancel"/>			

- **Type*** – address type
- **Name of Free Zone (if FZ entity)** – The UAE free zone (if applicable)
- **Zip/Postal Code** – Postal code number
- **State/Emirate*** – The state name in full letters (or Emirate in the case of UAE)
- **Address*** – Available Address
- **City*** – City of address
- **Country*** – Country of address
- **Comments** – Comments (if any)

3.2.6.5 Identification

Identification	
Type*	<input type="text"/>
Issue Date*	<input type="text"/>
Issued by	<input type="text"/>
Comments	<input type="text"/>
Number*	<input type="text"/>
Expiry Date	<input type="text"/>
Issue Country*	UNITED ARAB EMIRATES ▼
<input type="button" value="Save"/> <input type="button" value="Cancel"/>	

- **Type*** – ID Type is directly related to the country of residence. e.g. if Residence is UAE then ID type should be Emirates ID
- **Issue Date*** – Date of ID issuance
- **Issued By** – Issuing Country/Authority
- **Comments** – Comments (if any)
- **Number*** – ID number without any spaces/hyphens
- **Expiry Date*** – Date of ID expiry
- **Issue Country*** – Issuing Country

3.2.6.6 Emails

Email

Email Address*

- **Email Address** – person’s email address

3.2.6.7 Employer Address and Employer Phone

Employer Address +

Employer Phone +

By clicking the **‘Add’** button on the Employer Address and Employer Phone forms, the website will expand the forms for **‘Address’** and **‘Phones’**, which can be found in Section 3.2.6.4 and 3.2.6.3 respectively.

3.2.6.8 Party Type

The **‘Party Type’** refers to the source and destination party in relation to the report being submitted to the FIU. This initiating or receiving party can be either a Person, Account or Entity, and/or a combination of these. This means the transaction source can be either a Person, Account or Entity. Similarly, the destination party can be either a Person, Account or Entity.

3.2.6.9 Party Type: Person

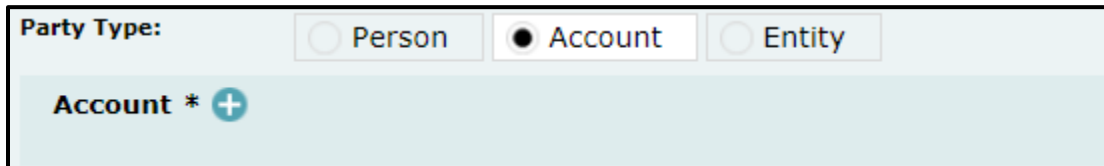
Party Type: Person Account Entity

Person * +

Where the subject initiating or receiving the transaction is a person, clicking the **‘Person’** radio button will generate the form discussed in Section **3.2.6.2**.

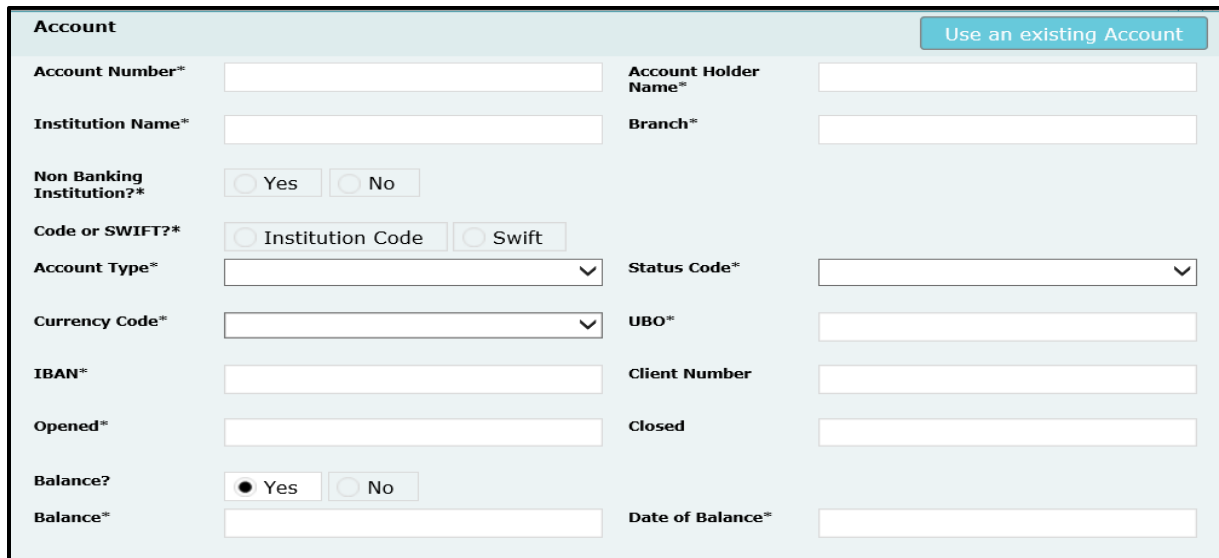
Additionally, the user will find multiple options to populate information including phones (is mandatory for **My Client**), addresses, identification (is mandatory for **My Client**), emails, employer address and phone, which are discussed in detail in Sections 3.2.6.3 - 3.2.6.4 - 3.2.6.5.

3.2.6.10 Party Type: Account



Where the transaction was initiated or received through an account, clicking the '**Account**' radio button will generate the respective form.

The "Use an existing Account" button can be leveraged to populate Account information that was already captured on the same web session on goAML.



- **Account Number*** – Account number without any spaces/hyphens
- **Institution Name*** – Name of the bank where the account is maintained
- **Non Banking Institution*** – Is the mentioned account held in a bank or otherwise (Y/N)
- **Account Holder Name*** – Account holder name
- **Branch*** (is mandatory for my client) – Branch where the account is maintained
- **Code or Swift*** – Mention the swift of the code of the bank maintain this account

- **Account Type** (is mandatory for **My Client**) – Drop-down menu for type of account
- **Currency Code** (is mandatory for **My Client**) – Currency of the account
- **IBAN** – IBAN as per standard format (no spaces/hyphens)
- **Opened*** – Date of account opening
- **Balance?*** – Credit / Debit or Zero balance of the account at the time of reporting.
- **Date of balance*** – Date when the balance was recorded in this report
- **Status Code** (is mandatory for **My Client**) – Account status when transaction was initiated
- **UBO*** – Name the beneficial owner of the account
- **Client Number** – Client Number as per reporting entity's records
- **Closed** – Date of account closure
- **Balance*** (if yes radio button selected) – The current balance amount in AED

Entity +

Clicking the **'Add'** button generates the **'Entity'** form, which is discussed in detail in Section 3.2.6.11.

Signatory(ies) +

Clicking the **'Add'** button generates the **'Signatory(ies)'** form. This form will be mandatory in the case of reports involving accounts that are classified as **'My Client'** in respect to the reporting entity.

Signatory

Is Default?* Yes No Role*

Person * +

- **Is Default?*** - Identifies the primary/default account holder. Only one signatory may be marked as default account holder, the rest should have different roles
- **Role*** - The role of the signatory (e.g. Beneficiary, Account Holder)
- **Person*** – populates the **'Person'** form discussed in Section 3.2.6.2

Important: When account information is entered in which the account holder is a person, then the user is required to enter all involved signatories. In the case, the account holder name is an

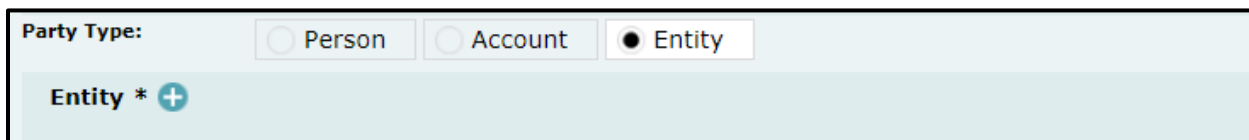
entity name, then the user is required to populate the **Entity** details. Kindly note that for instances where an account has multiple signatories, all of the signatory details need to be captured.



- **UBO Comments** – Any remark(s) concerning the beneficial owner of the account
- **Comments** – If any

For example, if the primary account holder is a minor, it is recommended that you capture all details pertaining to transactions being conducted on behalf of minors through the above fields. This would include all relevant relationship details between the conductor of the transaction and the minor involved.

3.2.6.11 Party Type: Entity



Where the transaction was initiated through an Entity, clicking the **'Entity'** radio button will generate the respective form.

The **"Use an existing Entity"** button is used to populate Entity information that was already captured on the same web session on goAML.

Entity		Use an existing Entity	
Name*	<input type="text"/>	Commercial Name	<input type="text"/>
Business Activity*	<input type="text" value="v"/>	Licensing Authority*	<input type="text"/>
Trade License Number*	<input type="text"/>	Establishment Date*	<input type="text"/>
Place of Incorporation*	<input type="text"/>	Incorporation Country*	<input style="border: 1px solid black;" type="text" value="UNITED ARAB EMIRATES"/>
Email	<input type="text"/>	Website	<input type="text"/>
Tax Number	<input type="text"/>	PEP (Y/N)*	<input type="text"/>
Comments <input type="text"/>			
Business Closed? <input type="radio"/> Yes <input checked="" type="radio"/> No			

- **Name*** – Legal name as per documentation
- **Business Activity** (is mandatory for My Client) – Business activity of entity (drop-down)
- **Trade License Number** (is mandatory for My Client)
- **Place of incorporation** – Kindly specify the city (emirate in case of a UAE entity)
- **Email** – Registered email for the entity (if any)
- **Tax Number** – Tax number for outside UAE without hyphens/spaces(e.g. FATCA number for US citizens)
- **Comments** – Comments (if any)
- **Commercial Name** – Commercial name as per documentation
- **Licensing Authority** (is mandatory for My Client) – Regulatory authority responsible for licensing the entity
- **Establishment Date** (is mandatory for My Client) – Date when entity was established
- **Incorporation Country** (is mandatory My Client) – Country where the entity was incorporated (drop-down)
- **Website** – Website for the entity (if any)
- **PEP (Y/ N)** (is mandatory for my client) – Kindly specify if the person is a politically exposed person. Input "Y" or "N" accordingly.

Phones +

Clicking the 'Add' button generates the 'Phones' form, which is discussed in detail in Section 3.2.6.3.

Addresses +

Clicking the 'Add' button generates the '**Addresses**' form, which is discussed in detail in Section 3.2.6.4. Kindly note this section is mandatory only when the subject entity is classified as '**My Client**'.

Controlling Person(s)/ Beneficial Owner(s) * +

Clicking the '**Add**' button generates the '**Controlling Person(s)/ Beneficial Owner(s)**' form, which is similar to the form found in Section 3.2.6.2. Kindly note this section is mandatory only when the subject entity is classified as '**My Client**'.

3.2.6.12 Involved Parties³

Involved Parties * +

When there are multiple parties involved in the report, clicking the '**Add**' button generates the '**Involved Parties**' form. This will be populated if the MLRO selects 'Multiparty'

Involved Party			
Role*	<input type="text"/>	Funds Code*	<input type="text"/>
Country*	UNITED ARAB EMIRATES	Significance	<input type="text"/>
Funds Comment	Comments		
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>		

- **Role*** – Nature of association with the transaction
- **Country*** – Country of the involved party (drop-down menu)
- **Funds comment** – Comments on use of funds (if any)
- **Funds Code*** – The type of funds
- **Significance** – Rate the significance of the concerned subject from 0 - 10 (0 being the lowest and 10 being the highest score)
- **Comments** – Comments (if any)

³ The '**Involved Parties**' form will be shown only in the case '**MultiParty**' is selected in the '**Transaction Type**' field.

Foreign Currency +

Clicking the 'Add' button generates the 'Foreign Currency' form, which is discussed in detail in Section 3.2.6.4.

Party is: My Client Not My Client

The web form will then ask whether the reported subject is a client of the reporting institution or otherwise, as discussed in-depth in Section 3.2.6.1.

3.2.6.13 Goods and Services

Goods and Services +

By clicking the 'Add' button on the 'Goods and Services' form, the website will expand the corresponding form applicable to transactions where the exchange of goods and service was used.

Transaction Item			
Item Type*	<input type="text" value="v"/>	Manufacturer/Provide	<input type="text"/>
Description	<input type="text"/>	Previously Registered To	<input type="text"/>
Presently Registered To	<input type="text"/>	Estimated Value	<input type="text"/>
Status Code	<input type="text" value="v"/>	Invoice Amount	<input type="text"/>
currency Code	<input type="text" value="v"/>	Size	<input type="text"/>
Size UOM	<input type="text"/>	Registration Date	<input type="text"/>
Registration Number	<input type="text"/>	Identification Number	<input type="text"/>
Comments	<input type="text"/>		

- **Item Type*** – The type of item (e.g. Vehicle)
- **Description** – Description of the item (e.g. Luxury Car)
- **Manufacturer** – Item maker (e.g. if the item is a car - BMW)
- **Previously Registered To** – Name of previous owner

- **Presently Registered To** – Name of current owner
- **Status Code** – Stats code (e.g. Bought, Hired)
- **Currency Code** – Used to report service conducted in foreign currency
- **Size UOM** – Unit of measurement (e.g. square meters, carat)
- **Registration Number** – Official registration number (e.g. Car VIN Number)
- **Comments** – If Any
- **Estimated Value** – Estimated value of the item
- **Invoice Amount** - Value paid for the item as shown on the invoice (value must be in AED) – *Mandatory for DPMSRs only*
- **Size** – Size of the item
- **Registration Date** - Official registration date (in MM/DD/YYYY format)
- **Identification Number** - Any number that can identify the item (e.g. Car Plate Number)

Address +

Clicking the 'Add' button generates the '**Addresses**' form, which is discussed in detail in Section 3.2.6.7.

Status Comments

- Status Comments – (If any)

3.3 Saving / Submitting the Report

Report Type: PNMR Report No.: ---

Reporting Entity ID	<input type="text"/>	Reporting Entity Branch	<input type="text"/>
Report Type*	Partial Name Match Report	Reporting Entity Ref #*	<input type="text"/>
Submission Date*	08/18/2021	FIU Reference	<input type="text"/>

Description of the Report

Action Taken By Reporting Entity

MLRO *				
First Name	Last Name	Birth Date	Emirates ID	Passport Number
goaml	goaml			

Location of Incident +

Reason for Reporting * +

Transactions * +

Submit Report Save Report Show Attachments x 0

- **Submit Report** - Reports can be submitted using the Submit Report Button.
- **Save Report** - Save the reports for editing later.
- **Show Attachments x 0** – documents can only be attached after saving the report, this button must be used to attach documents such as identification document (ID), proof of address, deposit slips, multimedia files and client information. Please note that each attachment should be a maximum of 5 MB and a total of 20 MB is allowed per report. Attachment file names should be short and should not contain any special characters.
It is important to note that documents are mandatory for submitting PNMRs and FFRs to prove the potential name match and/or proof of fund freeze.

For the full list of **Business Rejection Rules**, please refer to the hyperlink on the goAML web homepage named the same.