CDSL/OPS/DP/POLCY/3252 **September 29, 2012**

UPLOADING OF REPORTS TO FIU-IND THROUGH THE FINnet GATEWAY

SEBI has intimated that FIU-IND has informed that a new reporting format for CTRs and STRs has been developed under the FINnet PROJECT. The new format is available under the `Downloads' section on the FIU-IND website (http://fiuindia.gov.in). FIU-IND has informed that reporting entities are now required to initiate submission of reports on the FINnet gateway using the "Test Mode" in order to test the new system. (copy of the FIU-IND letter enclosed, see **Annexure A**).

DPs are advised to take note of the same and ensure compliance, as directed.

Queries regarding this communiqué may be addressed to:

- **CDSL-Principal Officer** on telephone (022) 2272-8687 or email ID: iyerk@cdslindia.com.
- **CDSL-Helpdesk** on telephone no. (022) 2272-8642, 2272-8427, 2272-8624, 2272-8693, 2272-8639, 2272-1261 or 2272-2075. Emails may be sent to: helpdesk@cdslindia.com.

sd/-

Nayana Ovalekar
Sr. Vice President – Operations

F.No.9-29/2011-FIU-IND
Government of India
Ministry of Finance
Department of Revenue
Financial Intelligence Unit-India

6th Floor, Hotel Samrat
Chanakyapuri,
New Delhi-110021

Date: August 28, 2012

OFFICE MEMORANDUM

Subject:- Upload of Reports in 'Test Mode' on FINnet Gateway

Kindly refer to OM of even no. dated 31st March, 2011 releasing the new reporting format under Project FINnet (copy enclosed). The reporting entities were advised to initiate urgent steps to build capacity to generate reports, which are compliant with the XML format specifications.

2. You may kindly now advise the reporting entities to initiate submission of reports on the FINnet gateway in 'TEST MODE' from 31-08-2012 to test their ability to upload the report electronically. The reporting entities may contact FIU Help Desk at email helpdesk@fiuindia.gov.in or phone numbers 011-24109792/93 for any clarification or assistance.

3. The reporting entities may continue to submit the reports to FIU-IND in CD form as per earlier prescribed reporting format till go-live date (provisional go-live date is 1st October, 2012) after which the earlier procedure will be discontinued. The go-live date will be communicated to the reporting entities separately.

4. This issues with the approval of Director (FIU-IND).

Sanjeev Singh

(Sanjeev Singh)
Additional Director

To

1. Smt. Sudha Damodar, Chief General Manager, Department of Banking Operations and Development, Reserve Bank of India, 13th Floor, Central Office, Shahid Bhagat Singh Road, Fort, Mumbai-400 0001.
2. Shri Vijay K. Chugh, Chief General Manager (Department of Payment System and Settlement), Reserve Bank of India, 14th Floor, Central Office, Shahid Bhagat Singh Road Fort, Mumbai-400 0001.
3. Ms. Sujatha E. Prasad, Chief General Manager (Foreign Exchange Department), 11th Floor, Reserve Bank of India, Central Office, Shahid Bhagat Singh Road, Fort, Mumbai-400 0001.
4. Shri P.K. Nagpal, Executive Director, Securities and Exchange Board of India, SEBI Bhawan, Plot C4-A, G Block, Bandra Kurla Complex, Bandra (E), Mumbai-400 051
5. Shri J. Hari Narayan, Chairman, Insurance Regulatory & Development Authority of India, Parishram Bhavan, 3rd Floor, Basheer Bagh, Hyderabad-500 004
6. Shri R.V. Verma, Chairman & Managing Director, National Housing Bank, Core 5-A, 3rd Floor, India Habitat Centre, Lodhi Road, New Delhi-110003
7. Shri G.C. Panigrahi, Chief General Manager, National Bank for Agriculture & Rural Development, 7th Floor, C-Wing, C-24, G Block, Bandra Kurla Complex, Bandra (East), Mumbai-400 005
8. Shri Rajiv Verma, Special Secretary (Home), Government of Goa, Goa.
9. Shri Tsegyal Tashi, Director (Tourism), Government of Sikkim, Gangtok.

F.No.9-29/2011-FIU-IND
Government of India
Ministry of Finance
Department of Revenue
Financial Intelligence Unit-India

6th Floor, Hotel Samrat
Chanakyapuri,
New Delhi-110021

Date: 31st March, 2011

OFFICE MEMORANDUM

Subject:- Reporting Format under Project FINnet

The Prevention of Money laundering Act (PMLA) and the Rules there under require every reporting entity (banking company, financial institution and intermediaries) to furnish to FIU-IND Cash Transaction reports (CTRs), Suspicious Transaction Reports (STRs), Counterfeit Currency Reports (CCRs) and Non Profit Organization Transaction Reports (NTRs).

2. The earlier prescribed multiple data files reporting format is being replaced by a new single XML file format. FIU-IND has prepared a comprehensive reporting format guide to describe the specifications of prescribed reports to FIU-IND.

3. The reporting formats specified in the reporting format guide are:

(i) Account based reporting format (ARF) for reporting of account based CTRs, STRs and NTRs

(ii) Transactions based reporting format (TRF) for reporting of transaction based CTRs, STRs and NTRs

(iii) CCR reporting format (CRF) for reporting of counterfeit currency reports (CCRs)

4. The reporting guide presents details of the XML schema and provides implementation guidance to the reporting entities in preparation and submission of reports. In addition, fixed width text file format specifications specified earlier are also revised as version 2.0 to assist reporting entities in migration to the XML format specifications.

5. FIU-IND has developed a Report Generation Utility and Report Validation Utility to assist reporting entities in the preparation of the prescribed reports. Reporting entities, which have necessary technical capabilities, may generate XML reports directly from their systems. Reporting entities are encouraged to shift to the fixed width data structure version 2.0 before generating XML reports at their end.

6. The following documents have been placed in the 'Downloads' section of the FIU-IND website (http://fiuindia.gov.in).

(i) Reporting Format Guide

(ii) XML Schemas: AccountBasedReport.xsd, TransactionBasedReport.xsd, CCRBasedReport.xsd, FIU-INDSchemaLibrary.xsd and DataQualityReport.xsd

(iii) User Guides: Report Generation Utility User Guide and Report Validation Utility User Guide

7. You may kindly advise the reporting entities to carefully go through the reporting formats. It would be necessary for the reporting entities to initiate urgent steps to build capacity to generate reports, which are compliant with the XML format specifications. The date of transition from the old reporting format to the new reporting format will be communicated to the reporting entities separately.

This issues with the approval of Director (FIU-IND).

Sanjeev Singh

(Sanjeev Singh)
Additional Director

To

1. Shri Vinay Baijal, Chief General Manager, Department of Banking Operations and Development, Reserve Bank of India, 13th Floor, Central Office, Shahid Bhagat Singh Road, Fort, Mumbai-400 0001.

2. Shri G. Padmanabhan, Chief General Manager (Department of Payment System and Settlement), Reserve Bank of India, 14th Floor, Central Office, Shahid Bhagat Singh Road Fort, Mumbai-400 0001.

3. Smt. Meena Hemchandra, Chief General Manager (Foreign Exchange Department), 11th Floor, Reserve Bank of India, Central Office, Shahid Bhagat Singh Road, Fort, Mumbai-400 0001.

4. Shri S. Ramann, Chief General Manager, Securities and Exchange Board of India, SEBI Bhawan, Plot C4-A, G Block, Bandra Kurla Complex, Bandra (E), Mumbai-400 051

5. Shri J. Hari Narayan, Chairman, Insurance Regulatory & Development Authority of India, Parishram Bhavan, 3rd Floor, Basheer Bagh, Hyderabad-500 004

6. Shri R.V. Verma, Chairman & Managing Director, National Housing Bank, Core 5-A, 3rd Floor, India Habitat Centre, Lodhi Road, New Delhi-110003

7. Shri G.C. Panigrahi, Chief General Manager, National Bank for Agriculture & Rural Development, 7th Floor, C-Wing, C-24, G Block, Bandra Kurla Complex, Bandra (East), Mumbai-400 005

6. Shri Rajiv Verma, Special Secretary (Home), Government of Goa, Goa.

7. Shri Tsegyal Tashi, Director (Tourism), Government of Sikkim, Gangtok.