



## Tool for financial intermediaries to manually record reports in the goAML data processing system.

*This document is intended to provide practical assistance in the recording of reports.*



A detailed description of the registration procedure and operation of goAML is available in the [goAML Web - Manual](#).

To initiate the manual recording process, log into goAML and select the 'Web Reports' option in the 'NEW REPORTS' menu.

All mandatory fields are colored **red** in the web application. In addition, various entries are necessary so that the report is complete and correctly recorded and can be processed accordingly. The following is an overview of the most important topics:

<p><b>Report type</b></p> <p><i>Invitation: "Select a report type to continue".</i></p> <p><i>The 'T' in the report type (STR or AIFT) means 'with transactions'.</i></p>	<p><b>Yes</b> = Report with transactions (report type STR) <b>No</b> = Report without transactions (report type SAR)</p> <p><b>Banks generally use an STR</b> ('Yes') unless it is a SAR under Art. 9 para. 1 lit. b AMLA.</p> <p>We ask insurance companies, asset managers, credit and leasing companies, and casinos to enter a SAR ('No') type report.</p> <p><b>AIF/AIFT</b> serve to provide further information on a suspicious activity report (SAR or STR) <b>during the 40 days following the date of acknowledgement of receipt</b> of the initial report forwarded to MROS or to comply with a request to disclose information pursuant to Art. 11a AMLA.</p>
<p><b>Main mask</b> <i>(see also Art. 3 OMLRO)</i></p>	<p>As detailed a description as possible of the business relation(s) and the suspicious facts on which the report is based, including explanations of the clarifications made pursuant to Article 6 AMLA.</p>
<p><b>Attachments</b> <i>(see also Art. 3 OMLRO)</i></p>	<p>All mandatory enclosures according to Art. 3 OMLRO in PDF (with automated text recognition OCR). The attachments are to be labeled comprehensibly according to the content of the document (not attachment 1, attachment 2, etc.; e.g. 1. opening documents business relation X; 2. account statement account XY May 20-June 21; 3. press articles, etc.).</p> <p>The maximum size of the entire report is <b>300 MB</b> and <b>20 MB</b> per attachment.</p>
<p><b>Type of report / suspected predicate offense / factor(s) arousing suspicion / type of attachment</b></p> <p>= <i>Indicators</i></p>	<p>It is <b>mandatory to select the</b> following indicators from the list by clicking to the left of the code:</p> <ul style="list-style-type: none"> <li>• Reporting type (only one may be selected), e.g. Art. 9 para. 1 lit. a AMLA or Art. 305ter para. 2 PC; codes with <b>'M'</b>.</li> <li>• At least one suspected predicate offense; codes with <b>'V'</b>; if none known = "Not classifiable" (code 1131V).</li> <li>• At least one factor arousing suspicion (reason); codes with <b>'G'</b>.</li> <li>• The attachments; codes with <b>'B'</b>.</li> </ul> <p>If a report does not contain a report type (code 'M'), at least one predicate offense (code 'V') and at least one reason (code 'G'), the report will be rejected by MROS.</p> <p><b>Selection at AIF/AIFT:</b></p> <ul style="list-style-type: none"> <li>• AIF/AIFT with additional information on a report still pending with MROS = same indicators as the original SAR/STR.</li> <li>• AIF/AIFT in response to a request under Art. 11a AMLA = for each mandatory code (M, V and G), the option "Art. 11a para. 1 and 3 AMLA" or "Art. 11a para. 2 and 3 AMLA" must be selected (e.g. for reporting type codes 0009M and 0010M respectively).</li> </ul> <p>In the selection under factor(s) arousing suspicion (reason), there is the code 2015G "MROS-Info (Art. 11a para. 2 AMLA)". This option is for reports that have a request according to Art. 11a para. 2 AMLA as a factor arousing suspicion and should not be used for responses to requests according to Art. 11a para. 1 AMLA.</p>



	<p><b>Indicators which lead to a reject in case of incorrect entry/missing:</b></p> <ul style="list-style-type: none"> <li>• For reports which have as a factor arousing suspicion (reason) an order for production of documents from a public prosecutor's office, the code 2011G "Information from prosecution authorities" must be selected.</li> <li>• If negotiations to establish a business relation are broken off, it is mandatory to select the reporting type code 0003M "Art. 9 para. 1 lit. b AMLA".</li> </ul>
<p><b>Transactions (for STR and AIFT)</b></p>	<p> Suspicious transactions are recorded as <b>BiParty</b> transactions</p> <p>Important notes on transactions:</p> <ul style="list-style-type: none"> <li>• Each transaction is recorded in the direction of the asset flow ("From" / "To counterparty")</li> <li>• For at least one party ("From" or "To counterparty") the option with the addition 'Reported subject' must be selected</li> <li>• Electronic funds transfers are always to be recorded from account to account (with at least one 'Reported subject')</li> <li>• Cash transactions (counter (Cash) / ATM) always have an account and a person as party. Example: Cash payment at the counter or cash withdrawal at the ATM -&gt; From 'Account (Reported subject)' / To 'Person'</li> <li>• A maximum of 100 transactions are to be entered in one STR</li> <li>• Up to a maximum of 5,000 transactions can be filed by means of an AIFT. If more than 5,000 transactions are involved, several AIFTs with a maximum of 5,000 each can be compiled and transmitted.</li> </ul> <p>Important notes on the '<b>Reported subject</b>' accounts:</p> <ul style="list-style-type: none"> <li>• In the 'Exchange rate' field, the number '1' must always and exclusively be entered</li> <li>• In the case of an active account, the 'Account balance in CHF' must always be entered as of the reporting date. If the account is a foreign currency account, the 'Account balance in foreign currency' must also be entered.</li> <li>• For an active account, the 'Account balance as of' field must be recorded (this should be as close as possible to the reporting date and correspond to the balance sheet (PDF) in the attachment)</li> <li>• In case of a closed account, leave the fields 'Account balance' empty, please also do not enter a '0'.</li> <li>• In case of a closed account, it is mandatory to record the closed date</li> <li>• For each registered account, the respective legal entities or natural persons must be added by means of the symbol '+'.</li> <li>• For accounts of a reported business relation without suspicious transactions, we refer to the explanations on MultiParty functionality</li> </ul> <p>Important notes about the <b>accounts (those of the third party institution)</b>:</p> <ul style="list-style-type: none"> <li>• If an IBAN exists, it must be entered in the additional field 'IBAN' (this is not colored red)</li> <li>• The BIC/SWIFT must be filled in correctly, this is essential information. If not available, this can be determined by means of the IBAN number</li> </ul> <p>Important information on the <b>registration of legal entities and natural persons</b></p> <ul style="list-style-type: none"> <li>• The option 'Entity as contracting party' is only selected if the contracting party (or the counterparty according to the transfer information) is a legal entity. If the option was clicked by mistake, the tab can be deleted again using the trash can icon in the upper right corner.</li> <li>• The correct role of the natural person must be selected, combinations must be observed</li> <li>• When entering a natural person, the option 'Entity' in the field 'Gender' should only be selected in exceptional cases (see goAML Web - manual chapter 'Natural person')</li> <li>• The correct format for entering the date of birth depending on the language option in goAML must be taken into account (German: dd.MM.yyyy; English: M.d.yyyy)</li> </ul> <p> Using the <b>MultiParty</b> functionality</p> <p>This is not an actual transaction, but is used exclusively to record additional elements such as:</p> <ul style="list-style-type: none"> <li>• Active accounts (Reported subject) of the reported business relation(s) for which no suspicious transaction has been recorded.</li> <li>• Relevant closed accounts of the reported business relation(s) for which no BiParty transaction was recorded</li> <li>• Materially relevant natural persons and/or legal entities (at least all persons/entities according to the text in the main screen must be entered), which have not already been entered in connection with the entry of a BiParty transaction</li> </ul>



	<p>Further to note:</p> <ul style="list-style-type: none"> <li>• (Fictitious) transaction number can be generated automatically by goAML by clicking on the gear wheel icon</li> <li>• The amount of a MultiParty transaction is always <b>CHF 0.00</b> (field must not be left empty)</li> <li>• Under transaction type 'MULTIPARTY Dummy' is to be selected</li> <li>• Use the date of the report as transaction date</li> <li>• The value "n/a" can be entered in the 'Reason for payment' field</li> </ul>
<b>Activity (for SAR and AIF)</b>	<p>Basically, all accounts of a reported business relation are to be recorded. Likewise, all relevant natural persons / legal entities are to be recorded.</p> <p>It is recommended to start with the registration of accounts, because in this context, contracting parties/beneficial owners/authorized signatories will be registered at the same time.</p> <p>Detailed information on the registration of accounts is specified in the upper part 'Transactions' under 'Important notes on the 'Reported subject' accounts:'.</p> <p>Central to the entry of persons is the 'Role' field, in which the appropriate number must be entered:</p> <p>0 = Contracting party; 1 = Beneficial owner(s)/Control owner(s)/Controller(s); 2 = Power of attorney(ies)/Authorized signatory(ies); 3 = Business partner; 4 = Buyer/seller; 5 = Trust; 6 = Settlor; 7 = Trustee; 8 = Protector; 9 = Beneficiary; 10 = Other</p> <p>If the number 10 (Other) is entered, the specification of the role of the person is to be entered as free text in the field 'Additional info on role'.</p>
<b>More tips and information</b>	<p>Most fields have a <b>'tooltip'</b>. If the cursor is moved over the title of the respective field, further explanations appear.</p> <p>As soon as the <b>'Other' option</b> is selected in a field, the 'Remarks' (or additional information) field must always be filled in. Otherwise, the report will be rejected. Examples: Address, Identification, Role, etc.</p> <p>The <b>option 'Goods and services'</b> is intended for merchants and is not to be used by financial intermediaries.</p> <p>As soon as all necessary mandatory fields of the report have been filled in, the vertical bars on the left of the main menu appear green and the report can be submitted. <b>Not all mandatory entries listed in this document are immediately checked by the system.</b> Thus, the entire report can be shown green in the web form and still be rejected by MROS.</p>
<b>Procedure after a rejection of the report (Reject)</b>	<p>A notification to the stored email address is triggered with the information that a message has been received in goAML. In the message board there is a message with the title 'Technical rejection'. The reason for the rejection is explained in the document.</p> <p>In order not to have to carry out a complete new entry of the report, the following procedure can be followed:</p> <ul style="list-style-type: none"> <li>• Under 'Submitted reports' in the 'Status' column, click on the blue underlined word 'Rejected'.</li> <li>• The reasons for the technical rejection are listed, in case of questions the indicated phone number can be called</li> <li>• Then click on 'Revert'.</li> <li>• The report changes status and can be edited again under 'Drafted reports' by clicking the pencil icon and making the necessary corrections</li> <li>• Subsequently submit the report to MROS again</li> </ul>

## Liability

Although the federal authorities take every care to ensure that the information published is correct, no warranty can be given with regard to the correctness, accuracy, up-to-dateness, reliability and completeness of the content of this information.

The federal authorities expressly reserve the right to change, delete or temporarily not publish content in whole or in part at any time without notice.



Schweizerische Eidgenossenschaft  
Confédération suisse  
Confederazione Svizzera  
Confederaziun svizra

Federal Department of Justice and Police FDJP

**Federal Office of Police fedpol**  
Crime Prevention & Law  
Money Laundering Reporting Office Switzerland

Liability claims regarding damage caused by the use of any information provided, including any kind of information, which is incomplete or incorrect, will therefore be rejected.