

FIUconnect

Connect - Visualize - Integrate

QUICK START GUIDE

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Connect - Visualize - Integrate

Introduction

FIUConnect® provides a powerful solution for Financial Intelligence Units (FIUs) in managing the receipt and dissemination of reports filed by institutions registered with the FIU. It offers advance custom configuration and a variety of views which displays information and relationships between reports and linked entities. FIUConnect is both a web application and database application.

Entering data

As a database application you can do all the things you would expect, such as adding records, deleting records, importing, and exporting records.

Coupled with these features, FIUConnect offers the following:

- **Data Storage**
- **Web Interface**
- **Case Management**
- **Custom Field Creation**
- **E-mail Notifications**
- **Level 5 Audit**
- **Analysis**
- **Connectivity Links**
- **Ticketing System**
- **Advance Access Management**
- **Discussion Feature**
- **Customized Role Creation**

Additional features

The features available to you in FIUConnect depend on the type of access which has been assigned to you during user creation. Only users with **Group Admin** properties are allowed to submit reports to the FIU. Users with **User** properties can only create *draft* reports within FIUConnect which are subsequently submitted by the Group Admin.

Integration with IBM i2 iBase

FIUConnect is closely integrated with *IBM® i2® iBase*. If this product is installed on your machine, you can use:

- *IBM® i2® iBase* to import data exported from FIUConnect directly into iBase by utilizing a manual or automatic export feature. *iBase Scheduler Service* can then be configured to manage the automated import of the exported data into *iBase*. Once imported, this information can then be charted to *IBM® i2® Analyst's Notebook* for further analysis and presentation.

DISCLAIMER: All persons and companies, natural or legal, appearing in this system is fictitious. Any similarity to actual persons living or dead or to actual companies is purely coincidental.

Logging in to FIUConnect

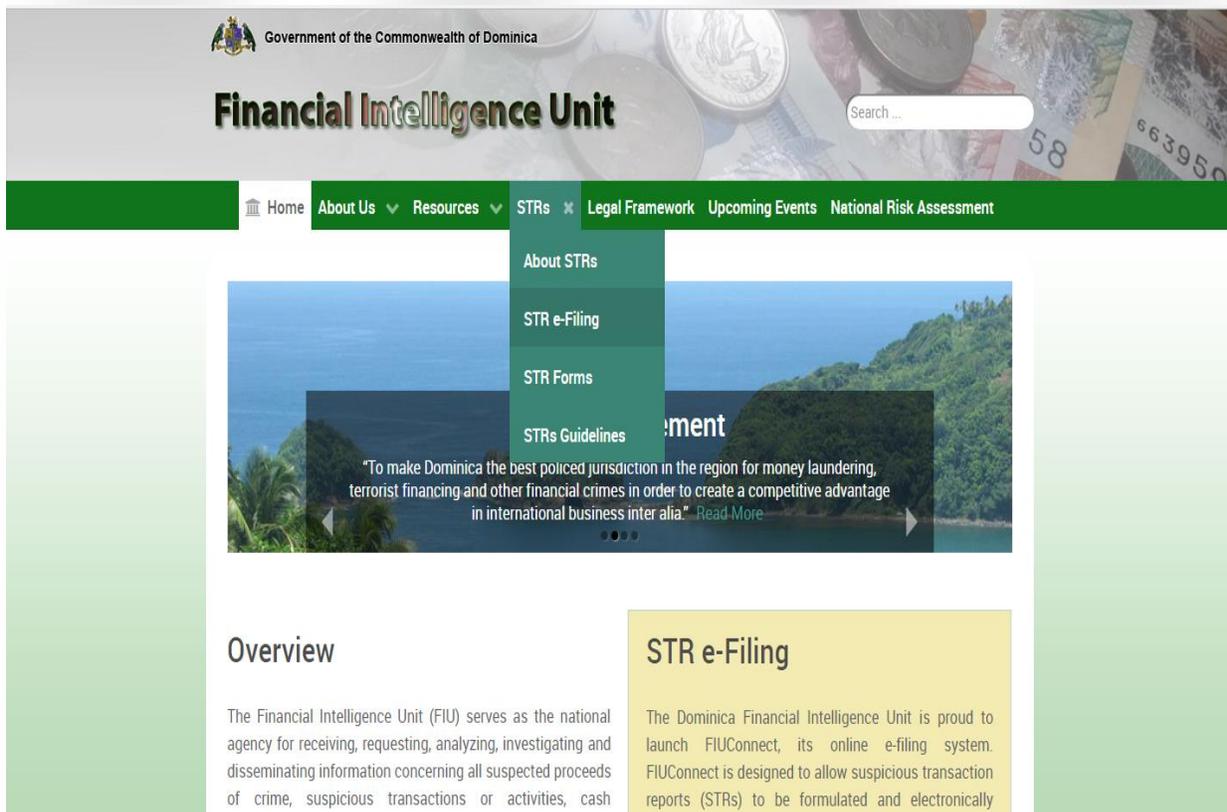
Before logging into FIUConnect you must first register your institution with the Financial Intelligence Unit (*hereinafter referred to as “Unit” or “FIU”*). Upon successful registration with the FIU, your login details will be sent to you via e-mail.

Please contact the FIU to obtain registration instructions.

The FIU can be contacted at via telephone at (767)-266-3349 or 3374 or via e-mail at fiu@dominica.gov.dm or georgep@dominica.gov.dm.

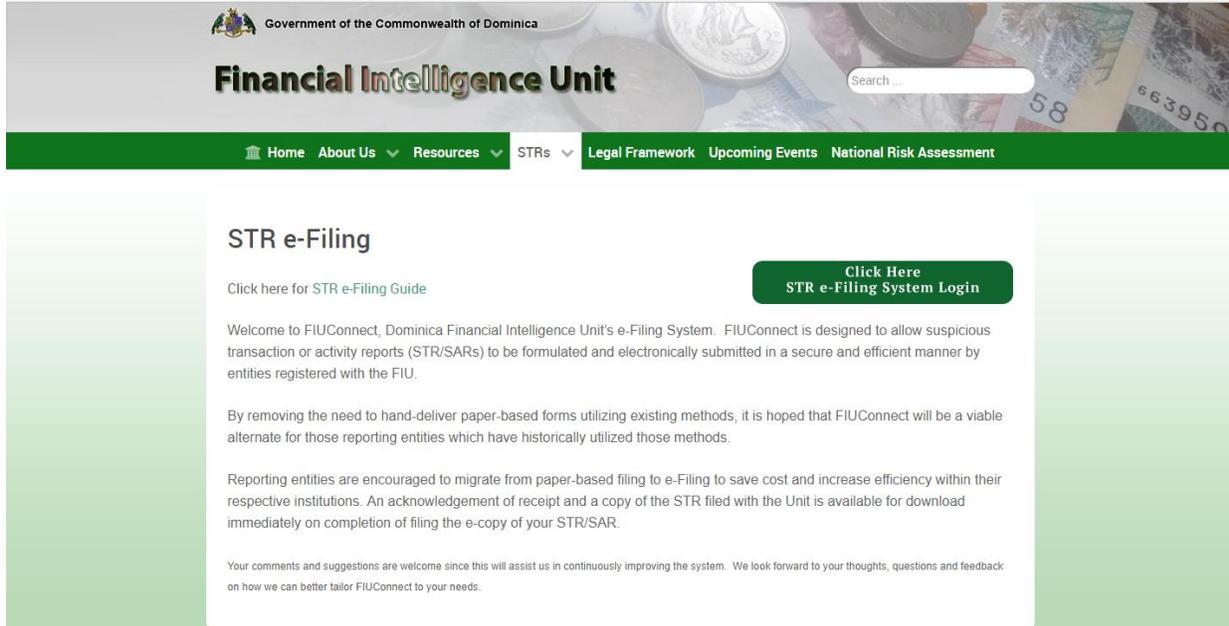
Once you have received your login details, proceed to the Unit’s website at www.fiu.gov.dm and navigate to the **STRs** menu. Click **STRs > STR e-Filing** found on the **STRs** menu item. Alternately, you could enter www.defs.fiu.gov.dm in your browser’s address, which will open up FIUConnect’s login page (*Figure 1*)

Figure 1



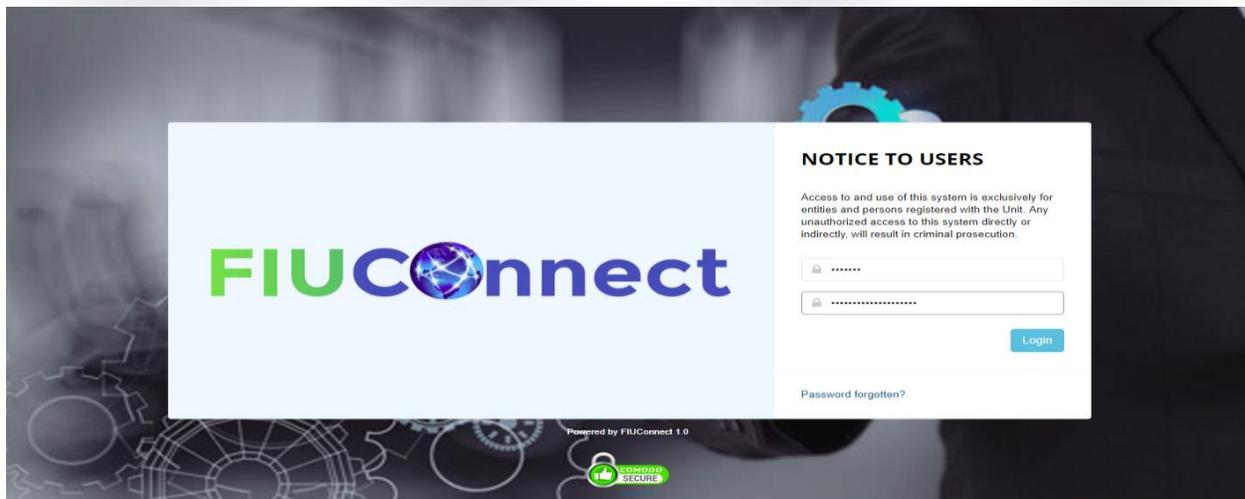
Having clicked on **STR e-Filing** the page below will open. The *STR e-Filing Guide* can be downloaded at the suffix of the text reading “**Click her for**” Click **Click Here STR e-Filing System Login**. (Figure 2)

Figure 2



Clicking **Click Here STR e-Filing System Login** will take you to the login page for FIUConnect. (Figure 3)

Figure 3



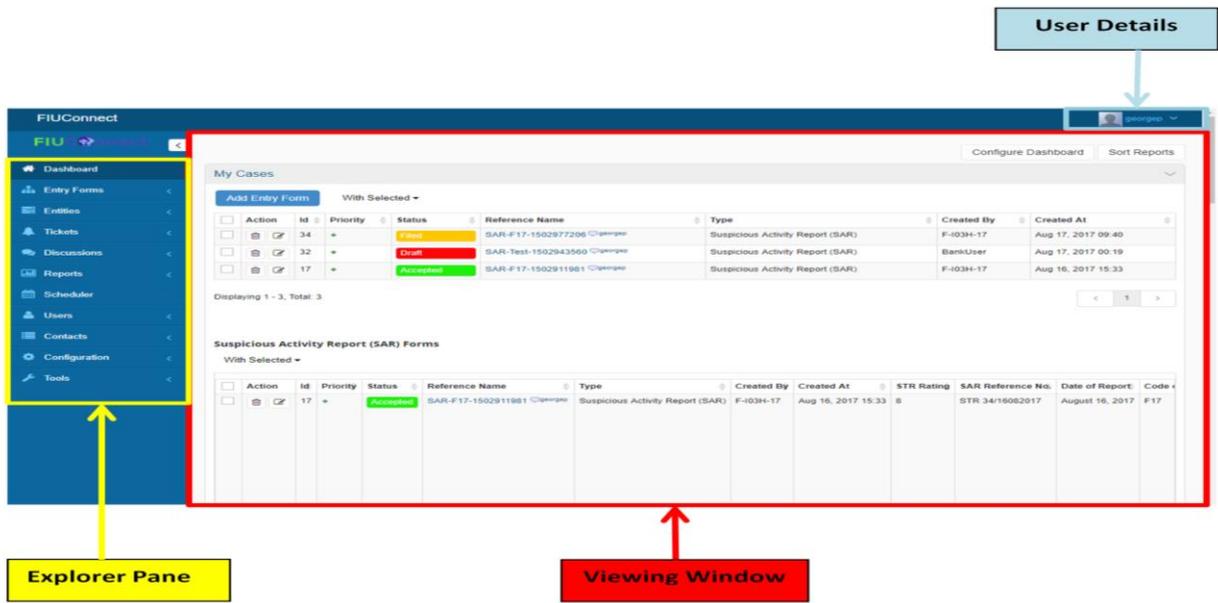
At the login screen, enter your **Code** and **Password**, sent to your via e-mail during successful account creation.

 Please check your junk folder if the e-mail referenced above is not found in your inbox.

FIUConnect Dashboard

Upon successful login, FIUConnect will open up by default in the **Dashboard** (Figure 4).

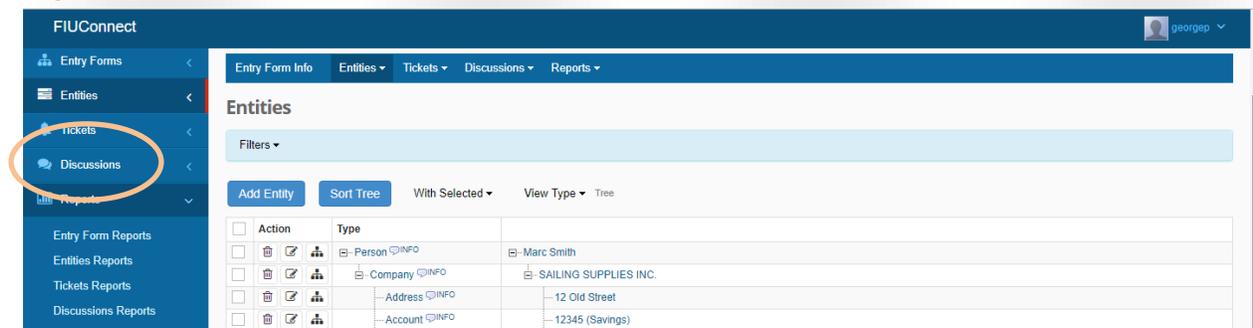
Figure 4



Configuring Your Dashboard

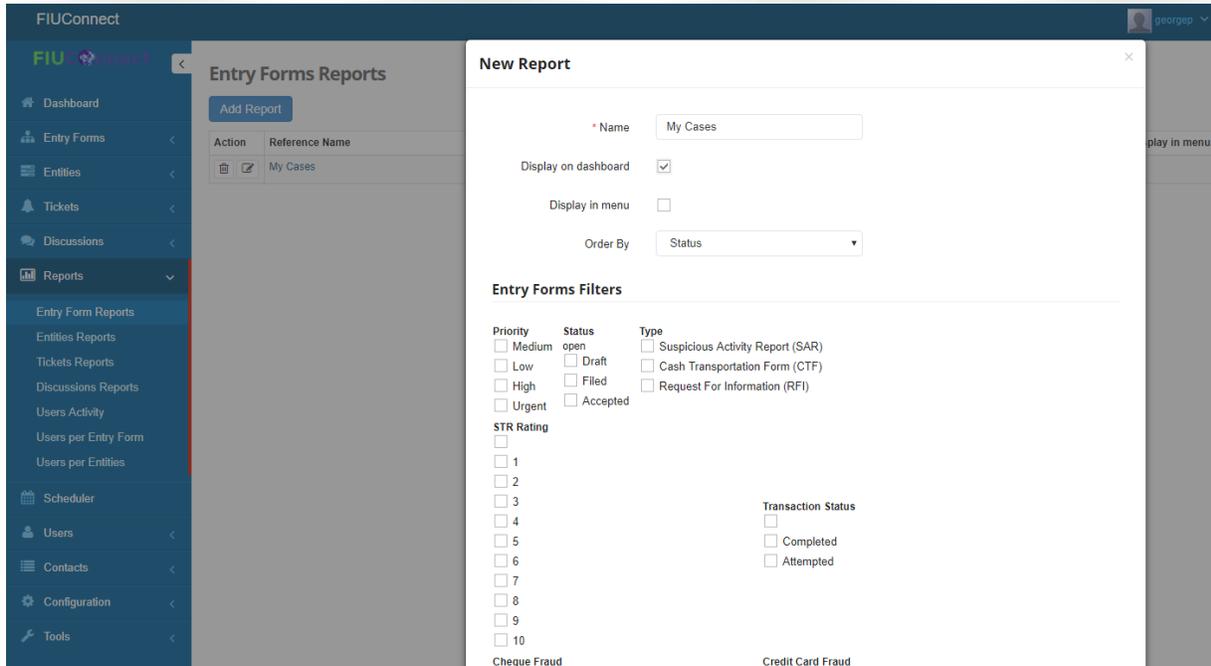
To configure your Dashboard, click **Reports** to display the various types of reports which can be configured. Select the appropriate report you want to create, and then select **Display in Dashboard** (Figure 5).

(Figure 5).



You may apply additional filters from the list of available fields on the reports configuration window as shown in **Figure 6** below. When you have completed configuring your reports, click **Save**.

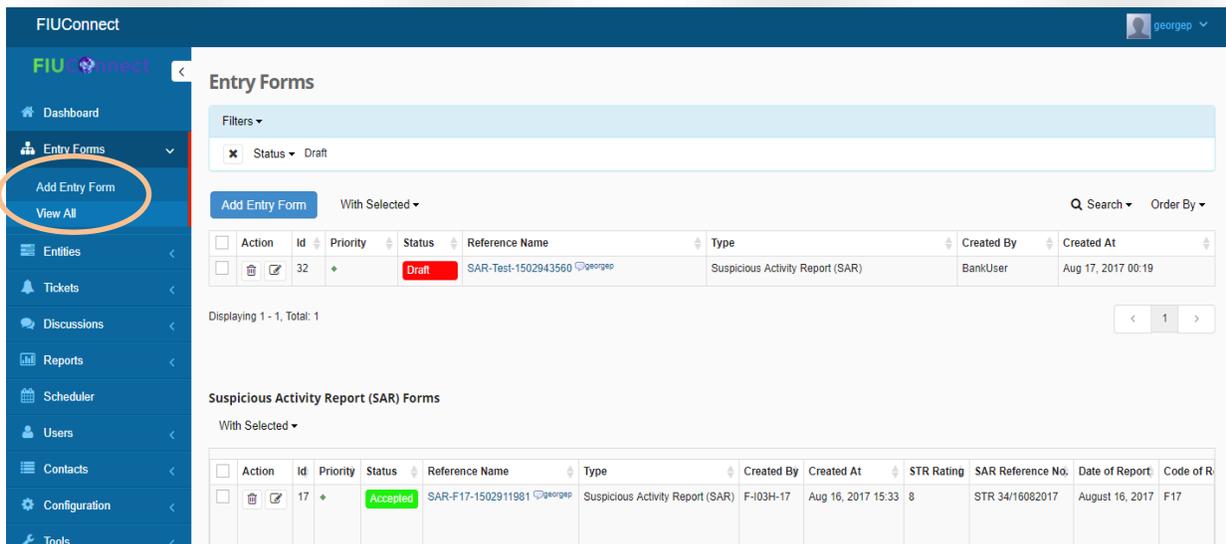
Figure 6



Data Entry

To file a report with the FIU click **Entry Forms > Add Entry Form**.

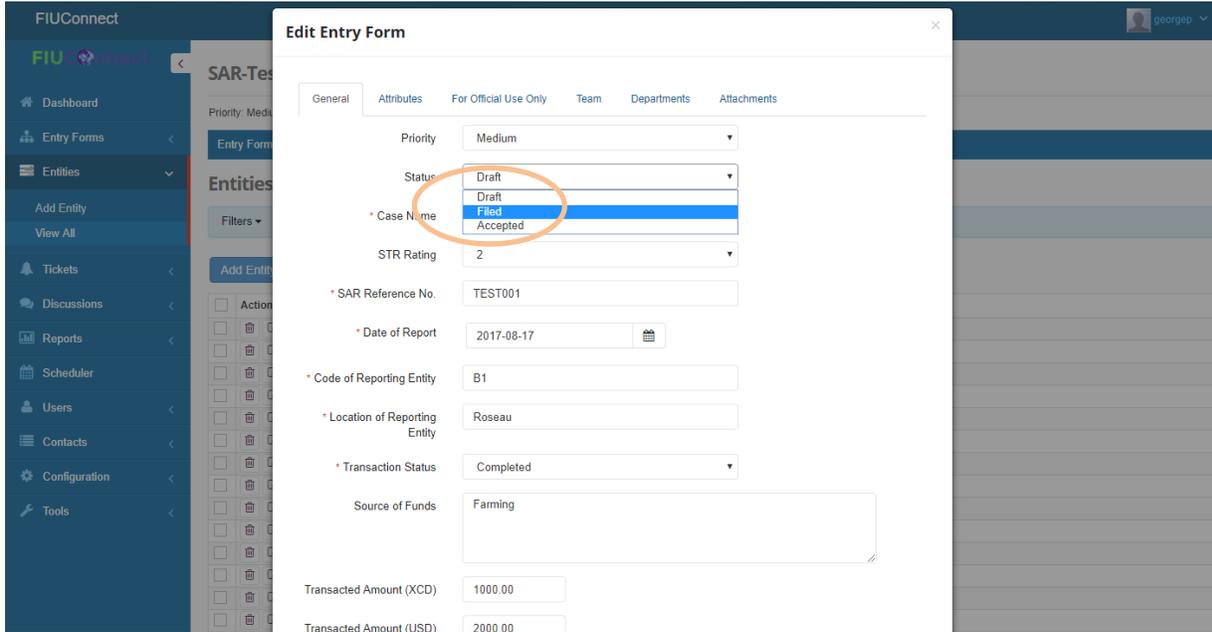
Figure 7





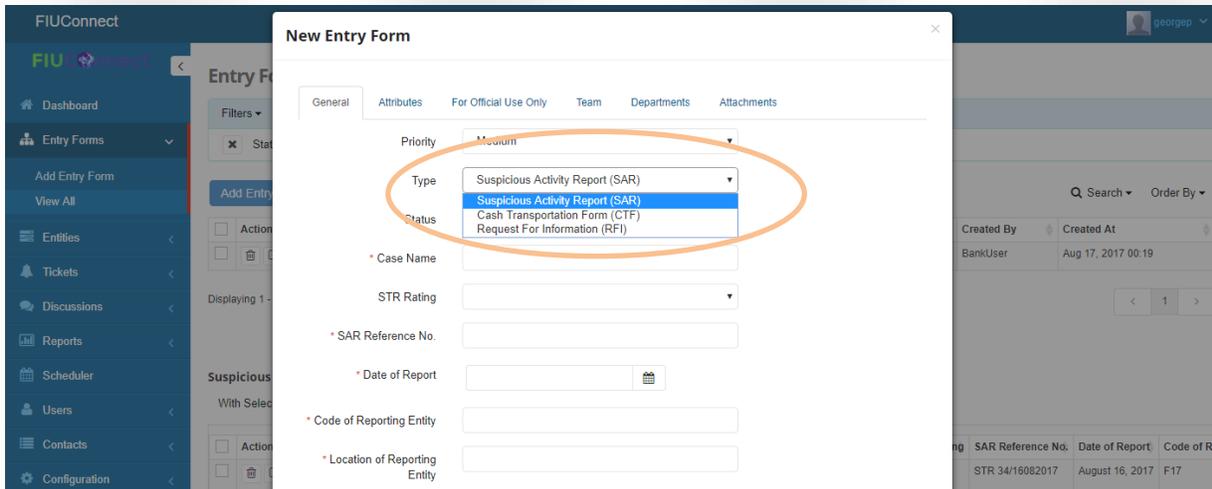
NB: On clicking Add Entry Form, FIUConnect defaults to “Draft” in the Status field. To submit your report to the FIU, change the status to “Filed” then click **Save**.

Figure 8



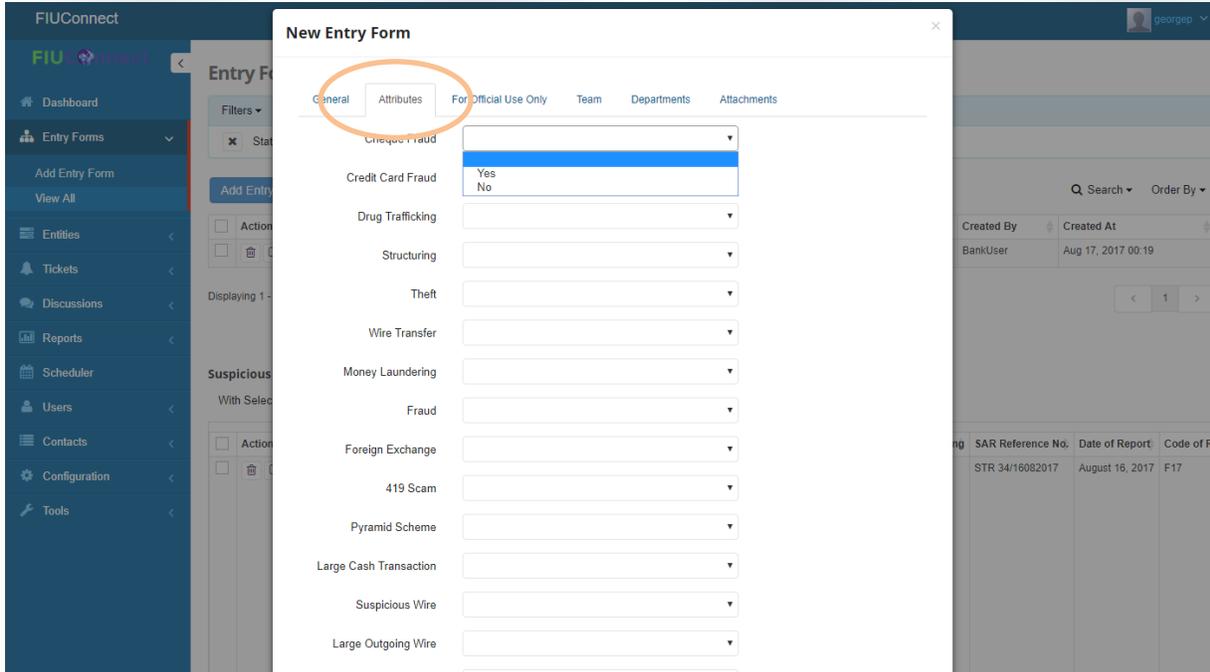
Select the appropriate entry form **Type** then proceed to fill out the all fields, where necessary.

Figure 9



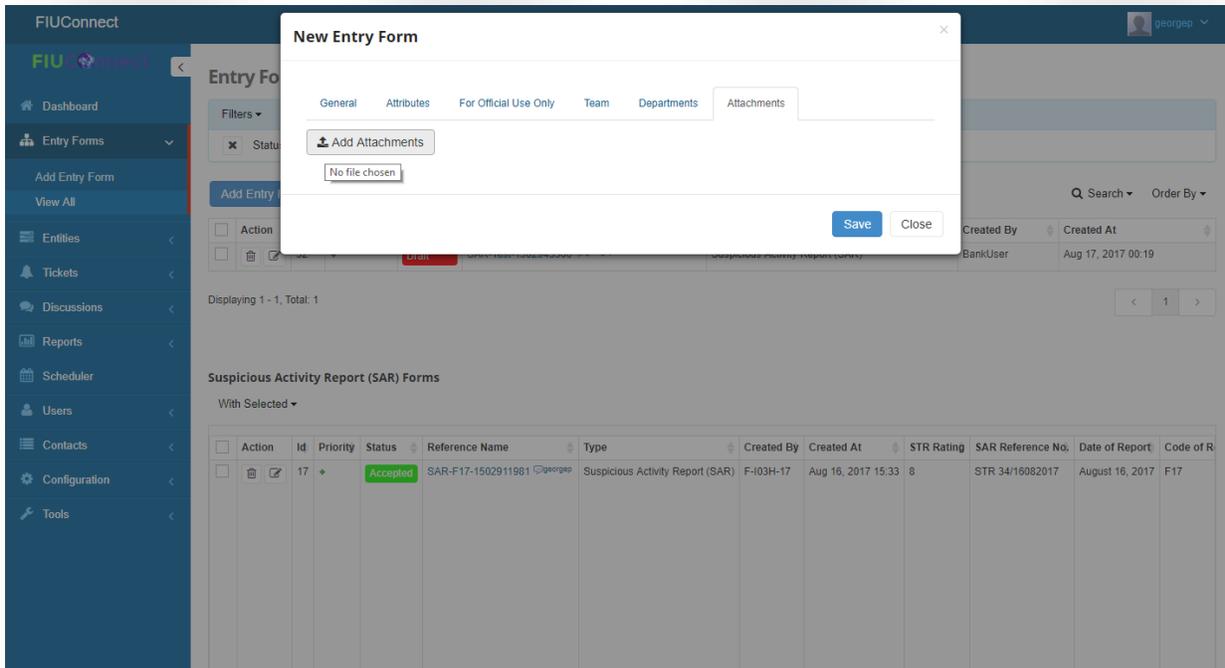
Click **Attributes** to add various attributes (or classifications) to your report (*Figure 10*)

Figure 10



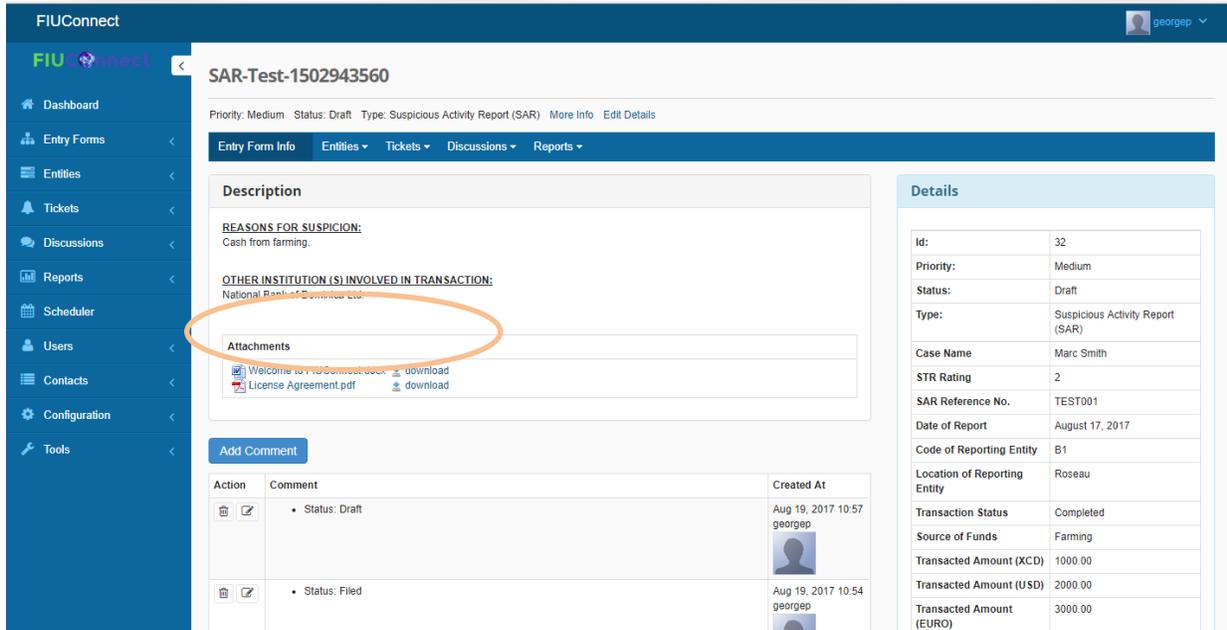
Click the **Attachments** tab to add attachments to your report (*Figure 11*).

Figure 11



Attachments

Figure 12



When you are through entering your report (or Entry Form) information, review your report then click save.

On clicking **Save** FIUConnect defaults to the view in *Figure 13* below.

To the right of the Viewing Window, the particulars of your report are visible in the **Details** insert. The upper half of the Viewing Window displays menu items where your entry form can be further edited.

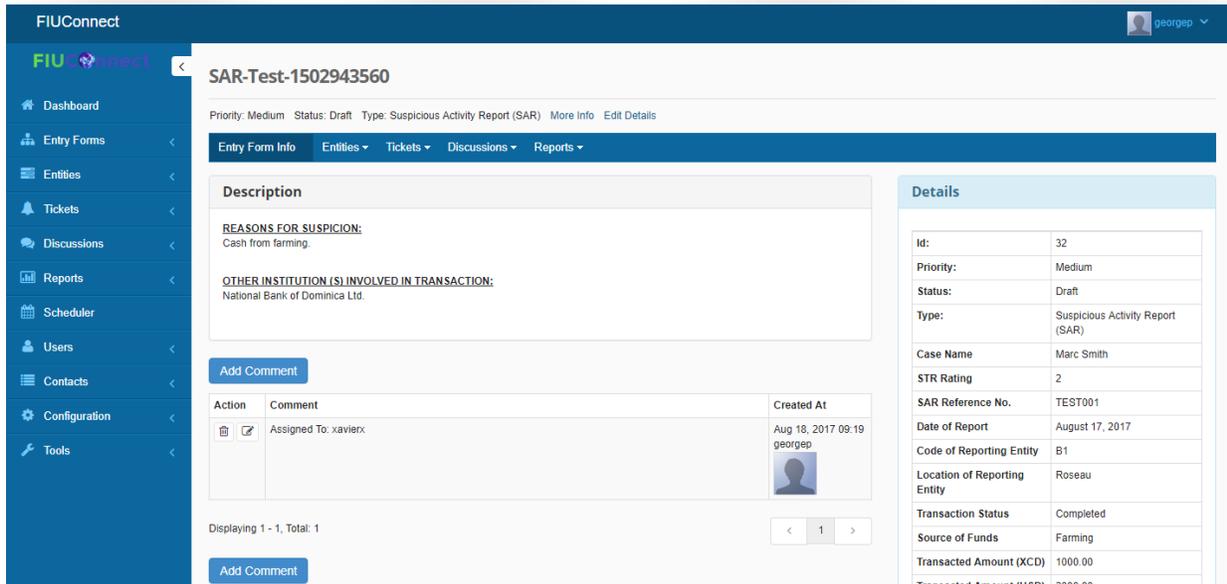
The report **Priority** is displayed; followed by the report **Status**; the report **Type**; **More Info** (which displays the content of your report when clicked). Finally, **Edit Details**, which is used to edit the contents of your report.

The following menu items are visible:

- ✓ **Entry Form Info**
- ✓ **Entities**
- ✓ **Tickets**
- ✓ **Discussions**
- ✓ **Reports**

You can switch between (Entry Form – Entities – Tickets – Discussions) views by **hovering** (not clicking) your mouse over each menu item and clicking **View All**.

Figure 13



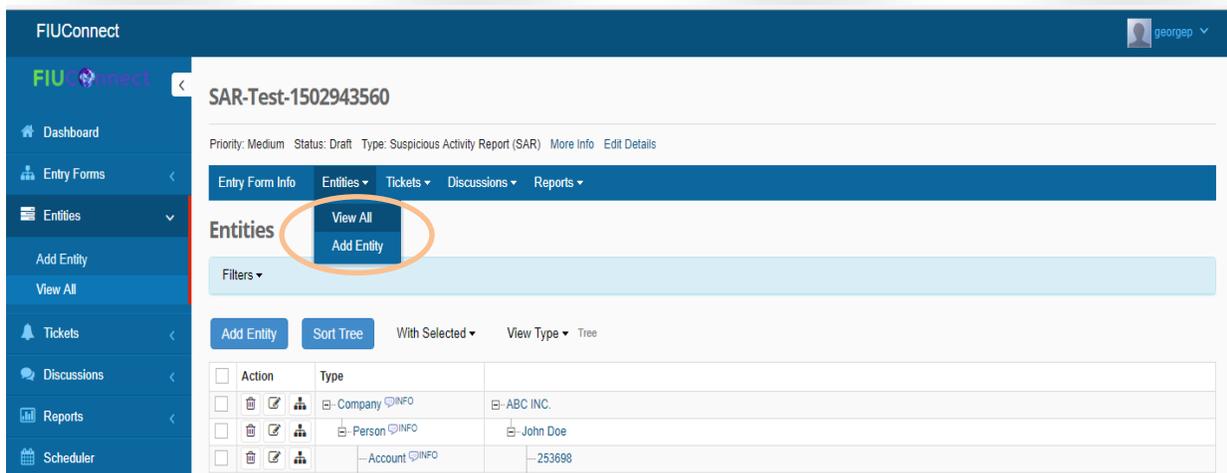
Hover your mouse over Entities and click **View All**. This will display the entities linked to your report (SAR) above.

In the example below, several entities are attached to the report **SAR-Test-1502943560**. If you have not yet added entities to your report, the entities view will not display any linked entities.

Adding Entities

To add entities to your report, click **Add Entity**.

Figure 14

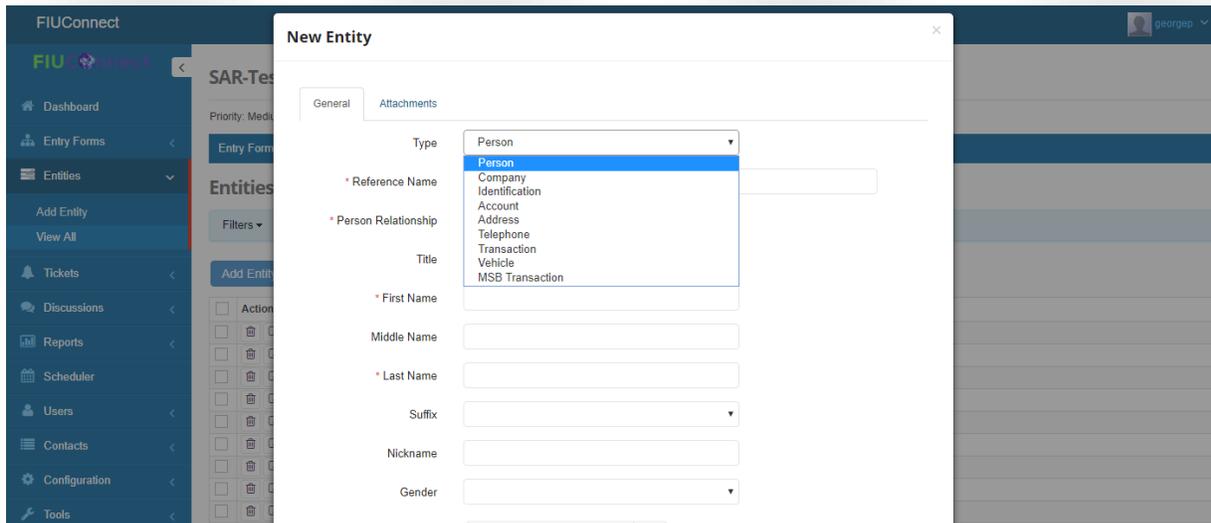


On clicking **Add Entity**, a **New Entity** window will open up. Select the type of entity which you would like to add to your report (i.e. a Person or a Company)



NB: Reports should only be filed on a person, Natural or Legal. All other entities should be linked or added to the person (s) against whom the report was filed.

Figure 15



The **Reference Name** on the entity form is a mandatory field. This field should be populated with a pertinent name which identifies the entity being added to the report.

The following are examples of Reference Name entries:

Ref. #	Entity Type	Reference Name
1.	Person	John Doe
2.	Company	ABC INC.
3.	Identification	R00100234
4.	Account	100027801 (Savings)
5.	Address	12 Old Street
6.	Telephone	767-235-1234
7.	Transaction	EC \$5,000.00 (Debit)
8.	Vehicle	PE123

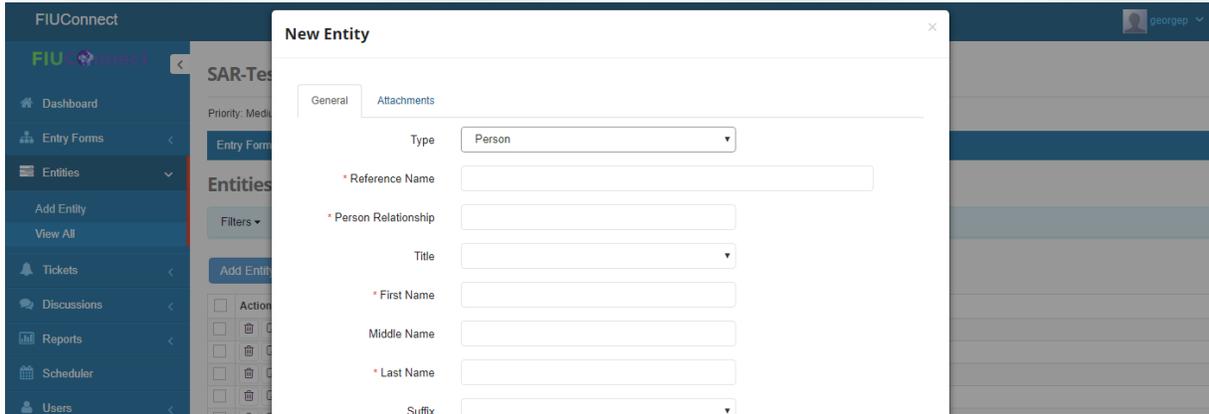
9. MSB Transaction

\$4,000.00 (Outgoing)

Complete the remainder of the fields on the form and click **Save**.

To add another entity to your report, click **Add Entity** on the menu item or click the **Add Entity** button.

Figure 16



Having added an entity to your report, FIUConnect will default to the view below at **Figure 17**.

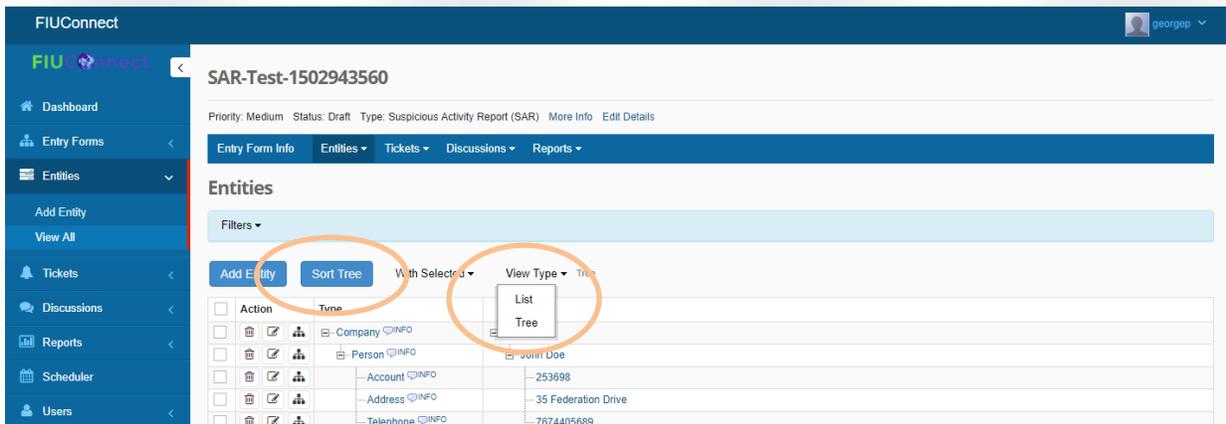
Hover your mouse over **View Type** and switch from **List** view to **Tree** view as shown below.

Switching to **Tree** view displays the **Add Child Entity** icon  immediately before the entity you previously added to your report.

Click on the **Add Child Entity**  to add child entities to parent entities.

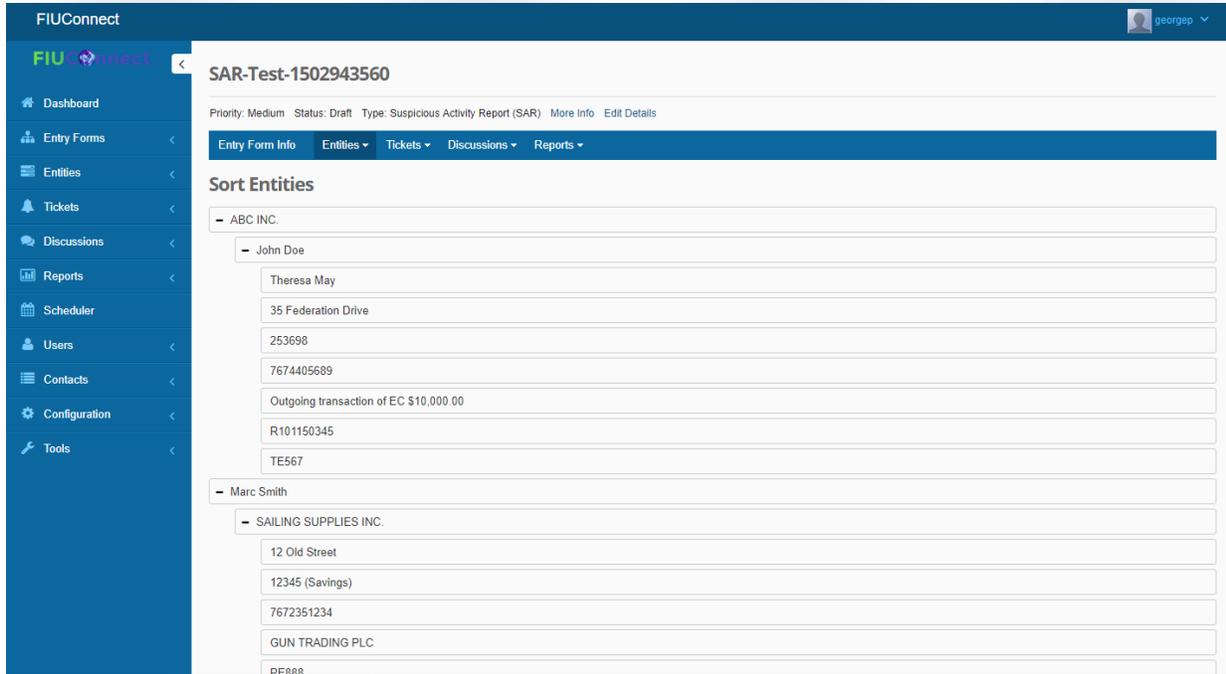
 In **Figure 0** below, **John Doe** is the parent entity of account number **253698**.

Figure 18



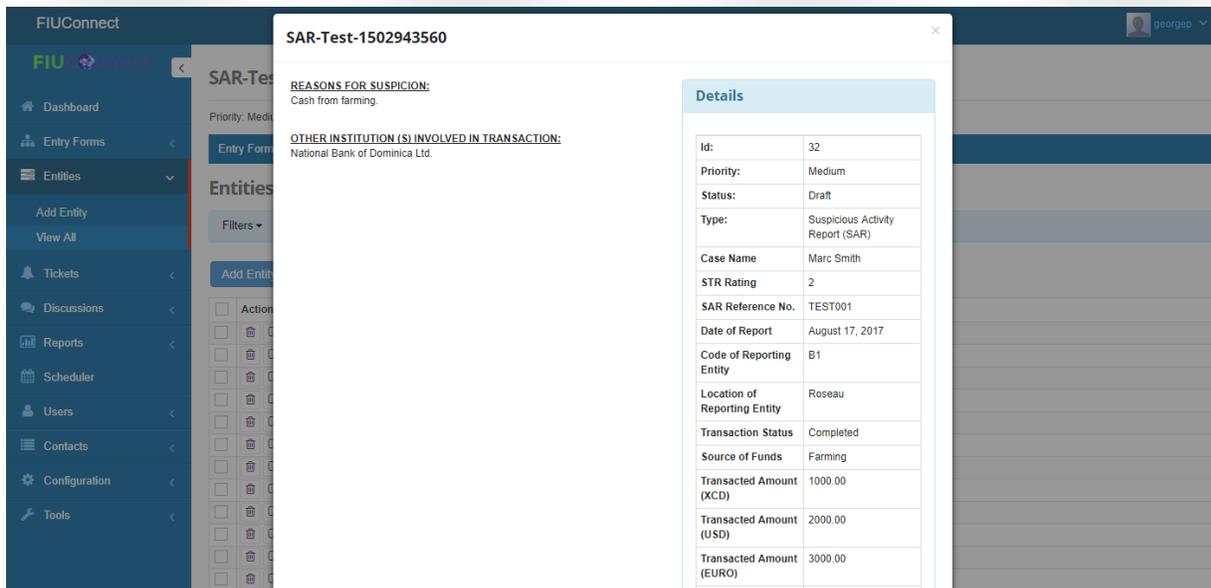
Clicking **Sort Tree** will display the **Sort Entities** view. At the **Sort Entities** view, you can left click any *child entity* and move (or drag) it up or down to your desired location.

Figure 19



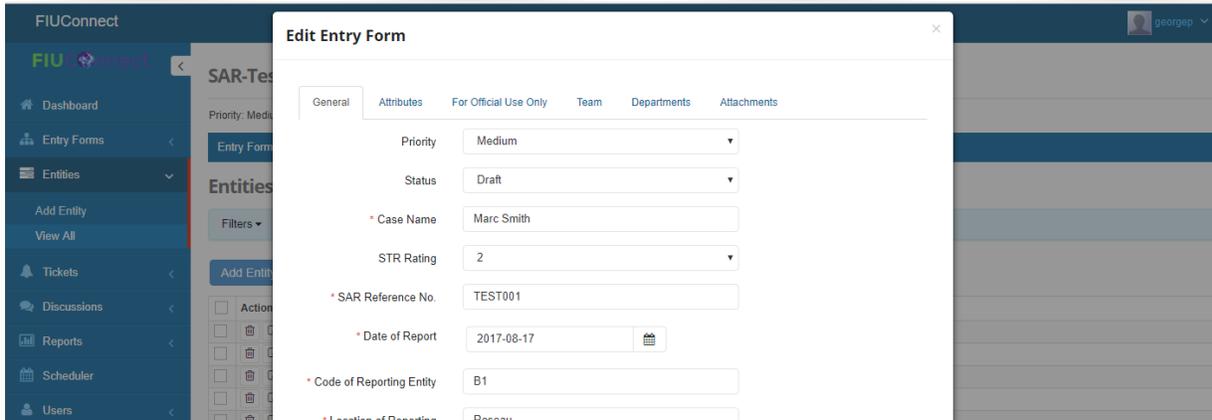
Clicking the **More Info** link will display a read only view of your report, as shown in **Figure 20** below.

Figure 20



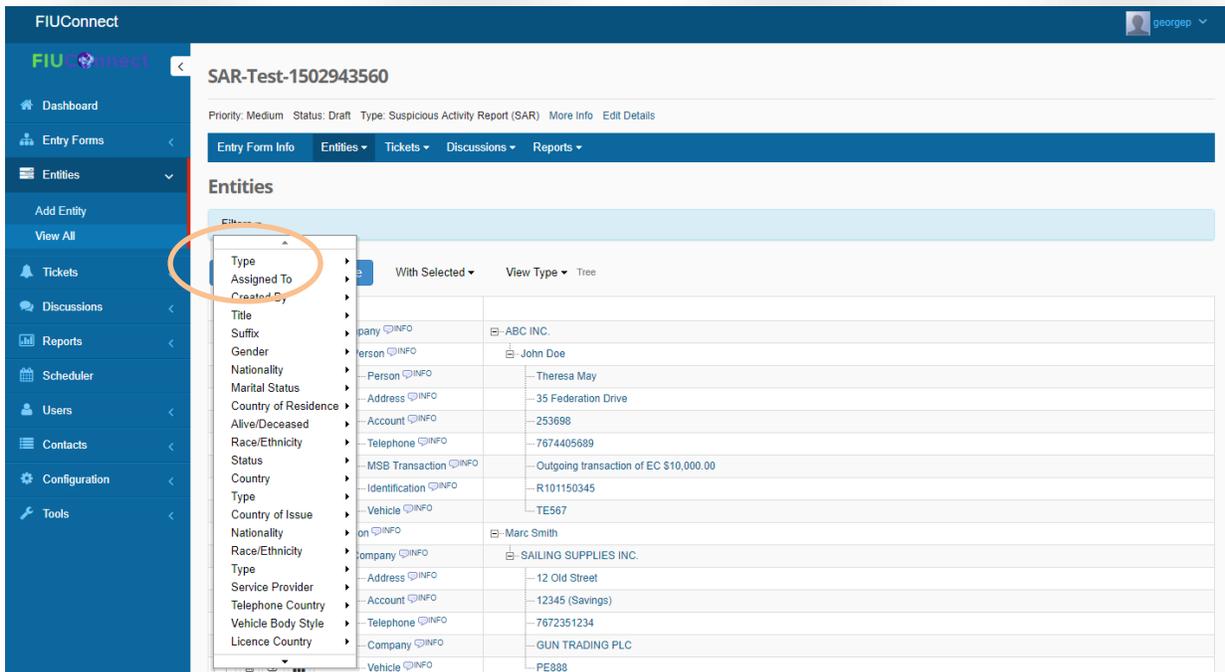
Clicking the **Edit Details** link will display an editable view of your report, as shown in **Figure 21** below.

Figure 21



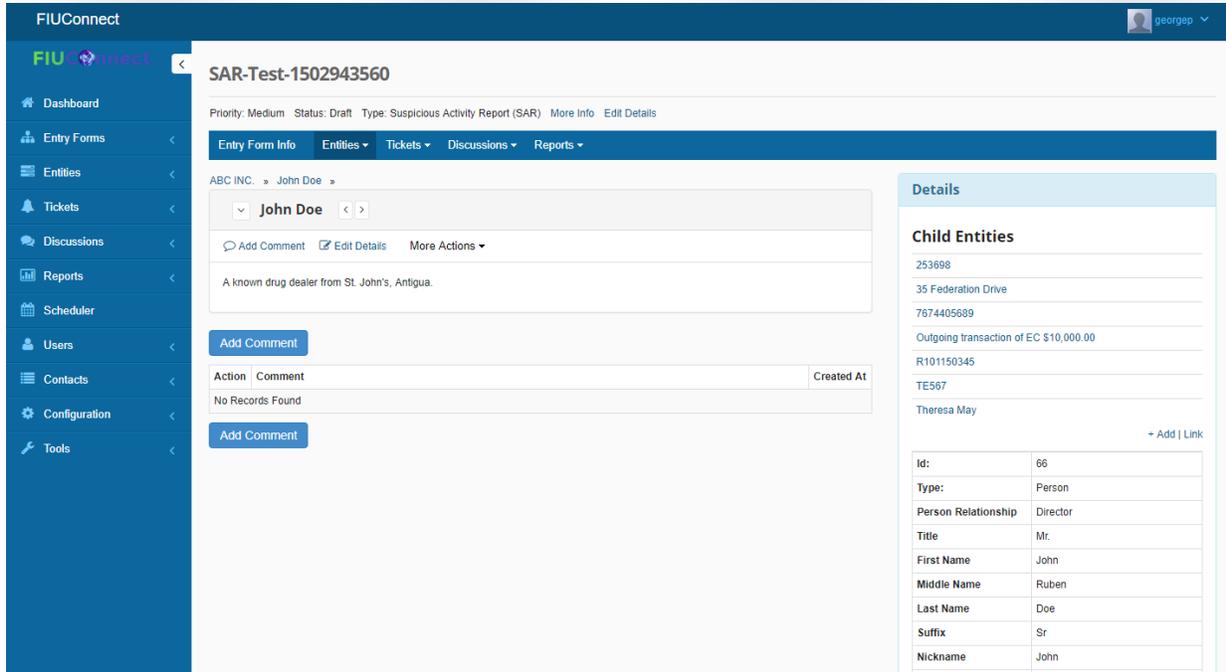
A filtered view of the entity items linked to or added to your report can be displayed by clicking Filters while in entity view, as shown in **Figure 22** below.

Figure 22



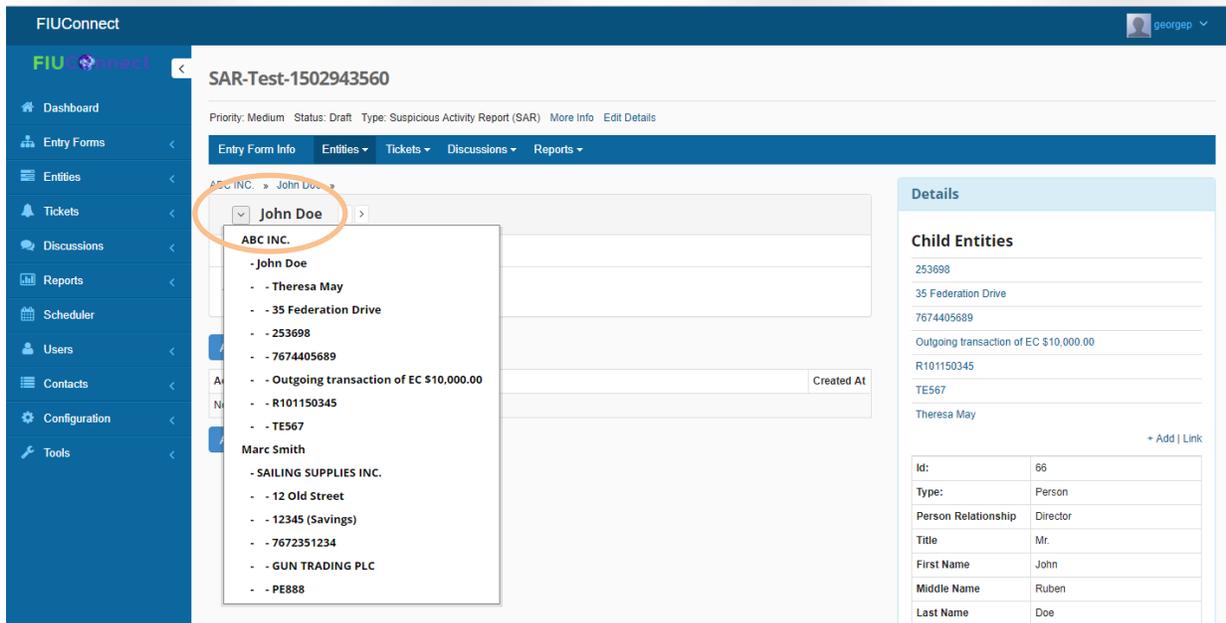
Clicking on an entity linked to or added to your report will display the entities details view as shown in **Figure 23** below.

Figure 23



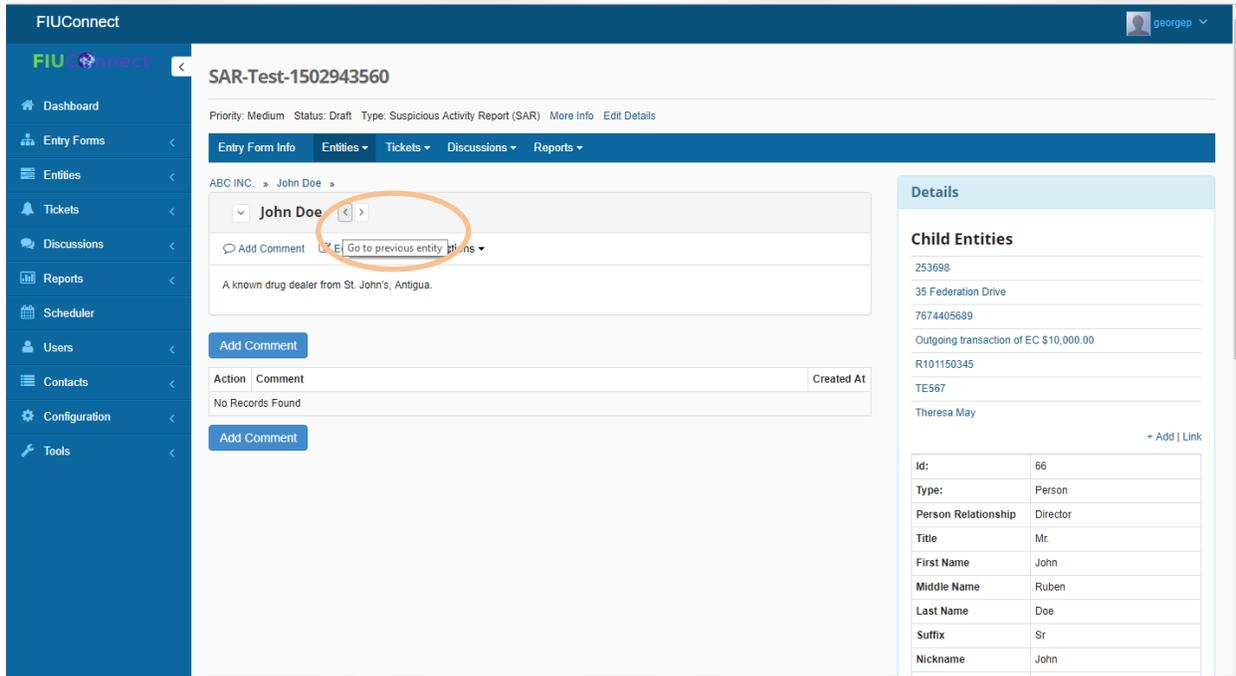
Clicking on the down arrow before the highlighted entity (**John Doe**) will display all the entities linked to your report, as shown in **Figure 24** below. Each entity can be selected from within this view.

Figure 24



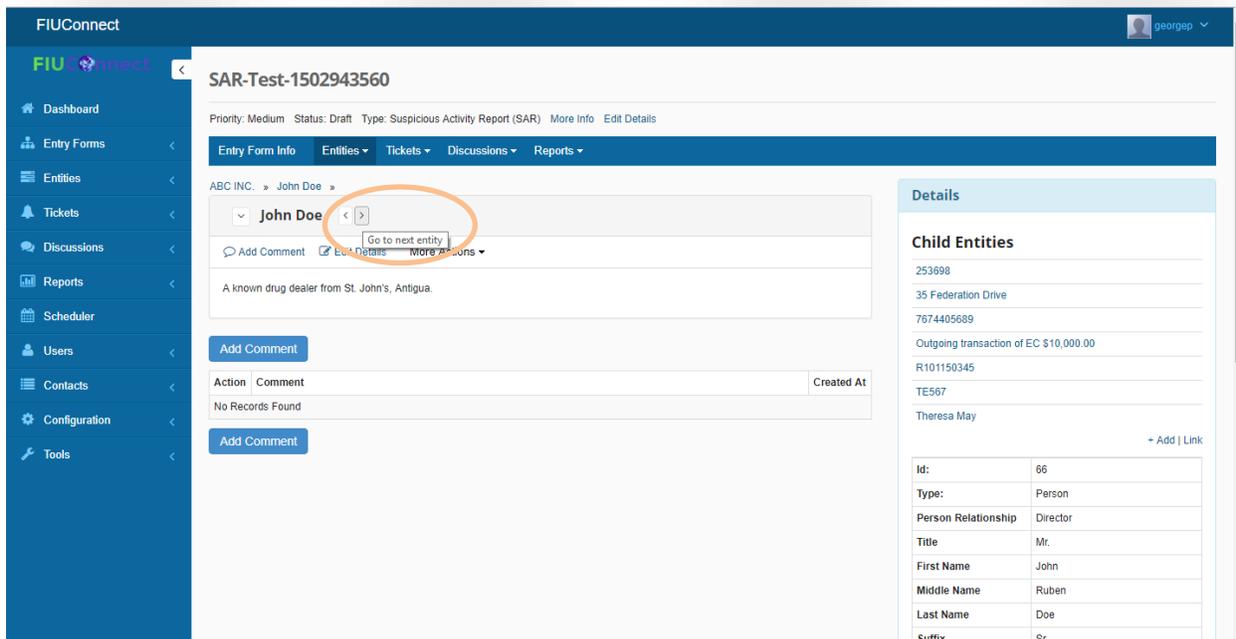
Clicking the two arrows after the entity (**John Doe**) allows you to navigate to the previous or next entity.

Figure 25



Go to Next Entity.

Figure 26

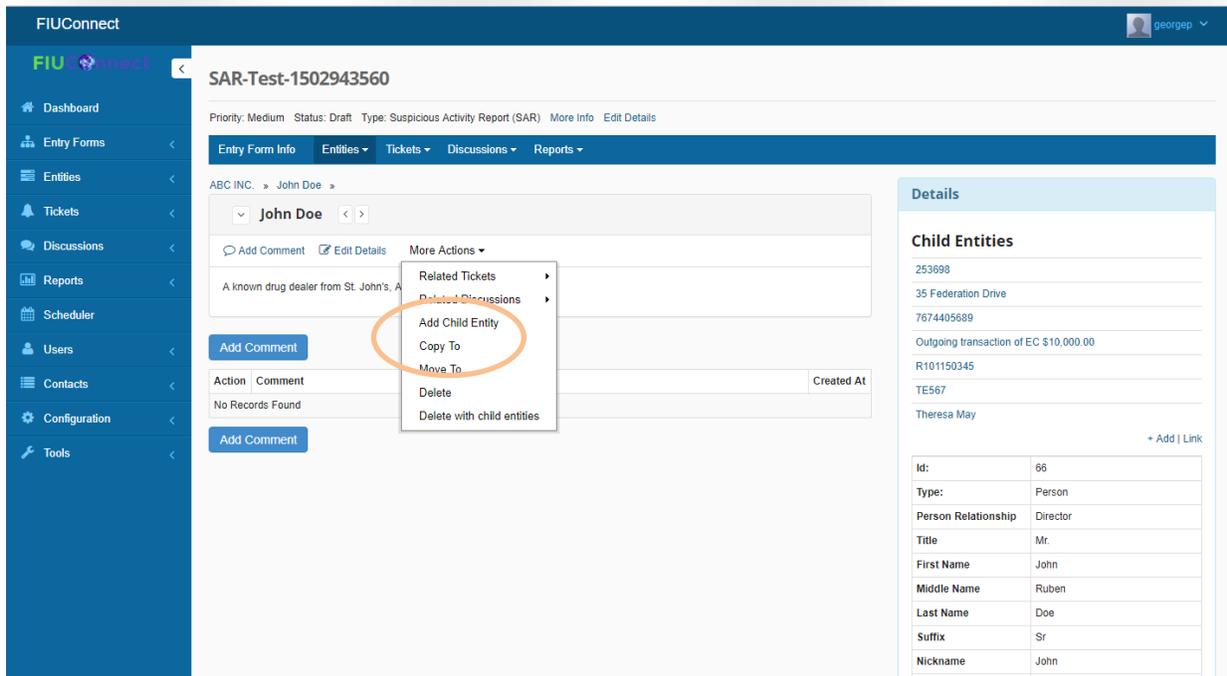


From within the entities view, FIUConnect allows you to perform the following actions when the following menu items are clicked (*Figure 26*)

:

Ref. #	More Action Items	Action Details
1.	Related Tickets	View related tickets linked to your report;
2.	Related Discussions	View related Discussions linked to your report;
3.	Add Child Entity	Add child entity to parent (displayed) entity;
4.	Copy To	Copy the displayed entity to another report;
5.	Move To	Moved the displayed entity to another report;
6.	Delete	Delete the displayed entity; and
7.	Delete with child entities	Delete displayed entities along with child entities.

Figure 27



Binding Entities

Parent and child entities linked or added to an entry form can be bound to another (Parent/Child) entity. This feature allows the user to create a copy of the selected entity, along with its child entities, and link them to another entity, without the need for re-entering the entity a second time.

In the example below in **Figure 28**, **Marc Smith** who was previously linked to the SAR has been bound to **John Doe**.

Figure 28

The screenshot shows the FIUConnect interface with the 'Entities' list. The 'Marc Smith' entity is highlighted with an orange circle. The list includes various entity types such as Company, Person, Address, Account, Telephone, and Vehicle, each with associated details like names, addresses, and phone numbers.

Action	Type	Entity Name
<input type="checkbox"/>	Company	ABC INC.
<input type="checkbox"/>	Person	John Doe
<input type="checkbox"/>	Person	Theresa May
<input type="checkbox"/>	Address	35 Federation Drive
<input type="checkbox"/>	Person	Marc Smith
<input type="checkbox"/>	Company	SAILING SUPPLIES INC.
<input type="checkbox"/>	Address	12 Old Street
<input type="checkbox"/>	Account	12345 (Savings)
<input type="checkbox"/>	Telephone	7672351234
<input type="checkbox"/>	Company	GUN TRADING PLC
<input type="checkbox"/>	Vehicle	PE888
<input type="checkbox"/>	Account	253698
<input type="checkbox"/>	Telephone	7674405689

Note that after binding **Marc Smith** to **John Doe** all the child entities for **Marc Smith** accompanied the entity.

Figure 29

The screenshot shows the FIUConnect interface with the 'Entities' list. The 'Marc Smith' entity and its child entities are now listed under the 'John Doe' parent entity, indicating that they have been bound to it.

Action	Type	Entity Name
<input type="checkbox"/>	Person	Marc Smith
<input type="checkbox"/>	Company	SAILING SUPPLIES INC.
<input type="checkbox"/>	Address	12 Old Street
<input type="checkbox"/>	Account	12345 (Savings)
<input type="checkbox"/>	Telephone	7672351234
<input type="checkbox"/>	Company	GUN TRADING PLC
<input type="checkbox"/>	Vehicle	PE888
<input type="checkbox"/>	Company	ABC INC.
<input type="checkbox"/>	Person	John Doe
<input type="checkbox"/>	Person	Theresa May
<input type="checkbox"/>	Address	35 Federation Drive
<input checked="" type="checkbox"/>	Person	Marc Smith
<input type="checkbox"/>	Company	SAILING SUPPLIES INC.
<input type="checkbox"/>	Address	12 Old Street
<input type="checkbox"/>	Account	12345 (Savings)
<input type="checkbox"/>	Telephone	7672351234

To bind an entity to another entity, click the entity to display its properties, as per **Figure 30** below. Click **Link**, which will open a **Link Entities** dialog. From within this dialog select the entity you want to bind to the parent entity then click **Bind** as per **Figure 31** below.

Figure 30

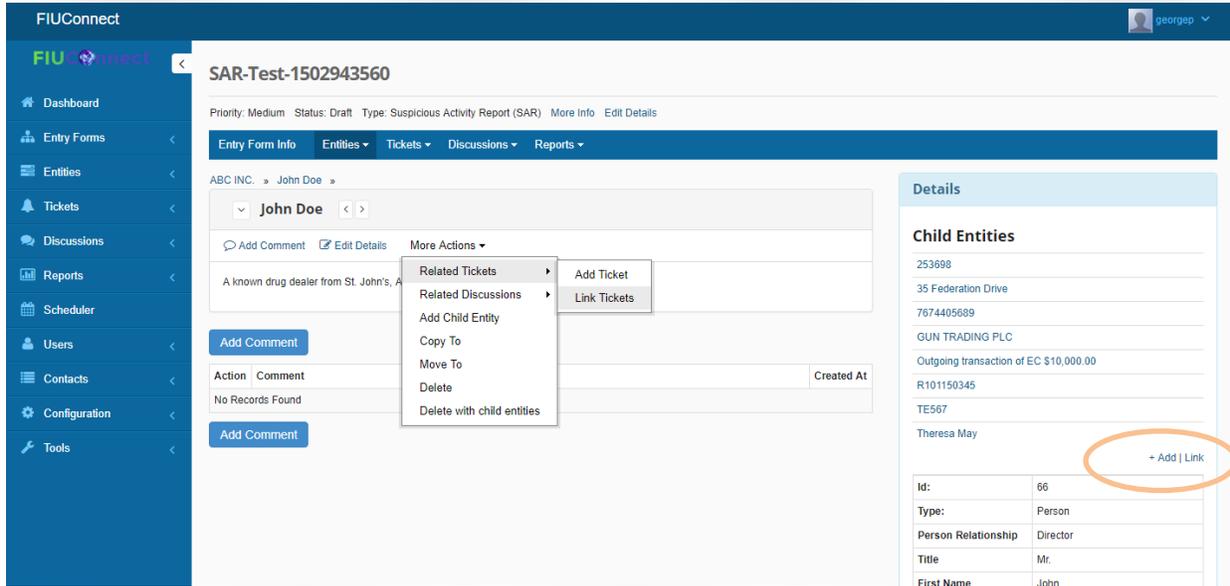
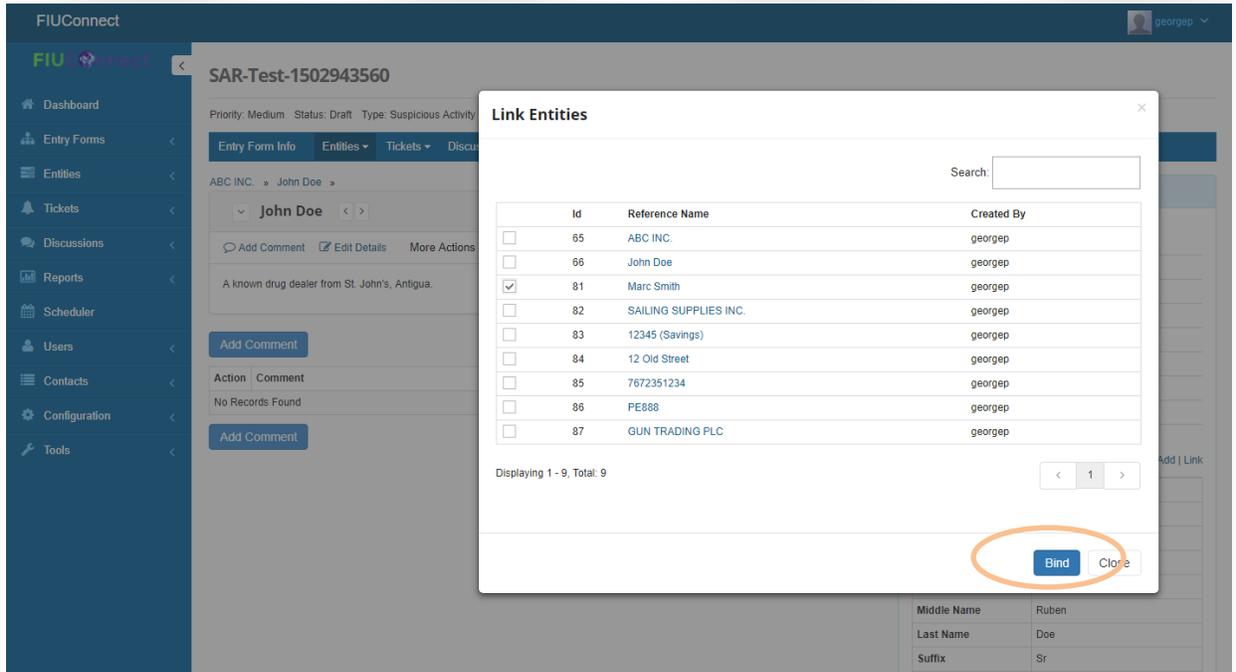
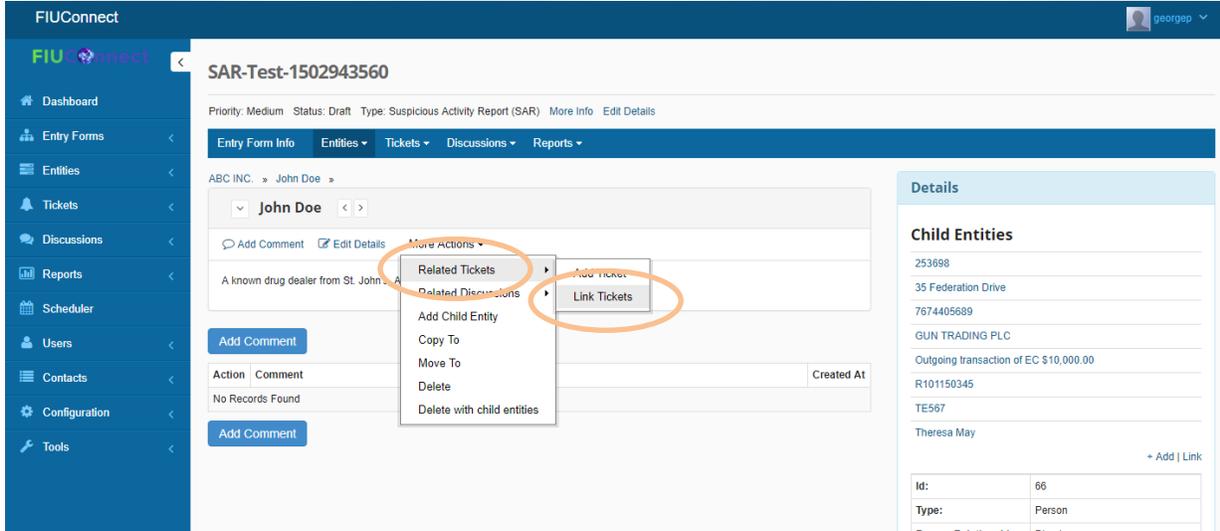


Figure 31



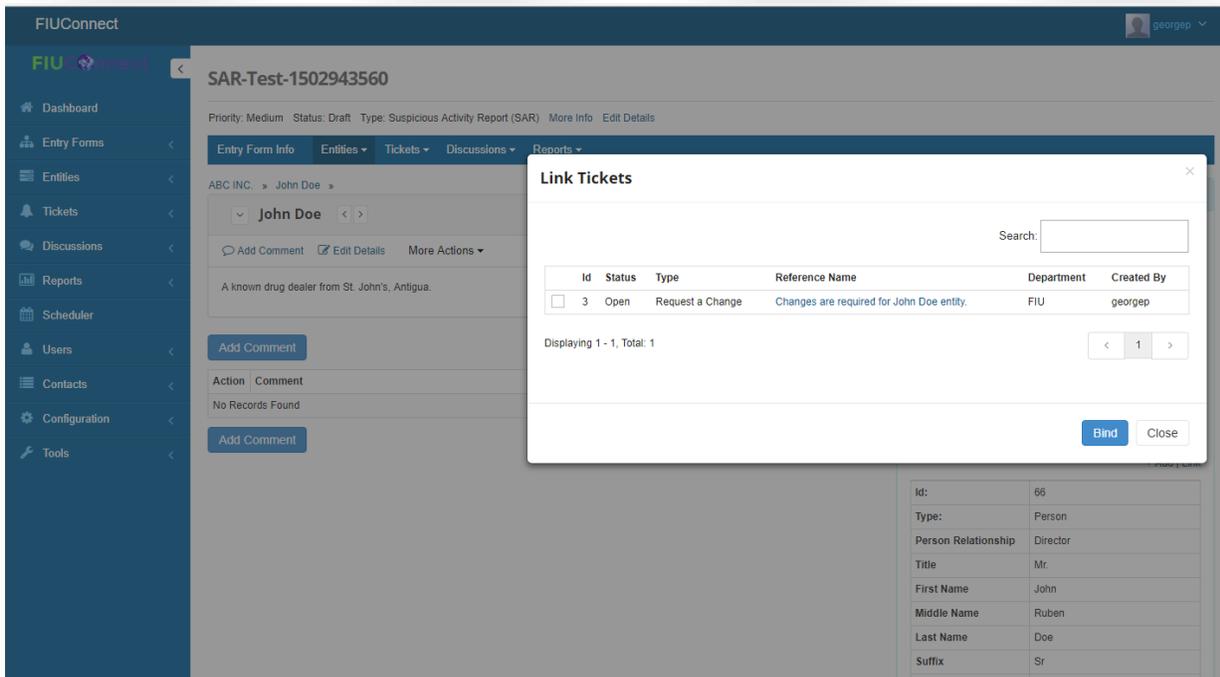
To view linked Tickets related to the entry form, click **Related Tickets > Link Tickets**. This will display the entities linked to the selected entry form as shown in **Figure 32** below.

Figure 32



From with the **Link Entities** dialog, you can bind a Ticket to another entry form similarly as you did for an entity.

Figure 33



Adding Comments

Comments can be added to any entity or entry form by a User with access to Comments. Entities and Entry Form. **Figure 33** below displays the dialog when **Add Comment** is clicked. **Figure 34** displays the entity with the Comment added.

Figure 33

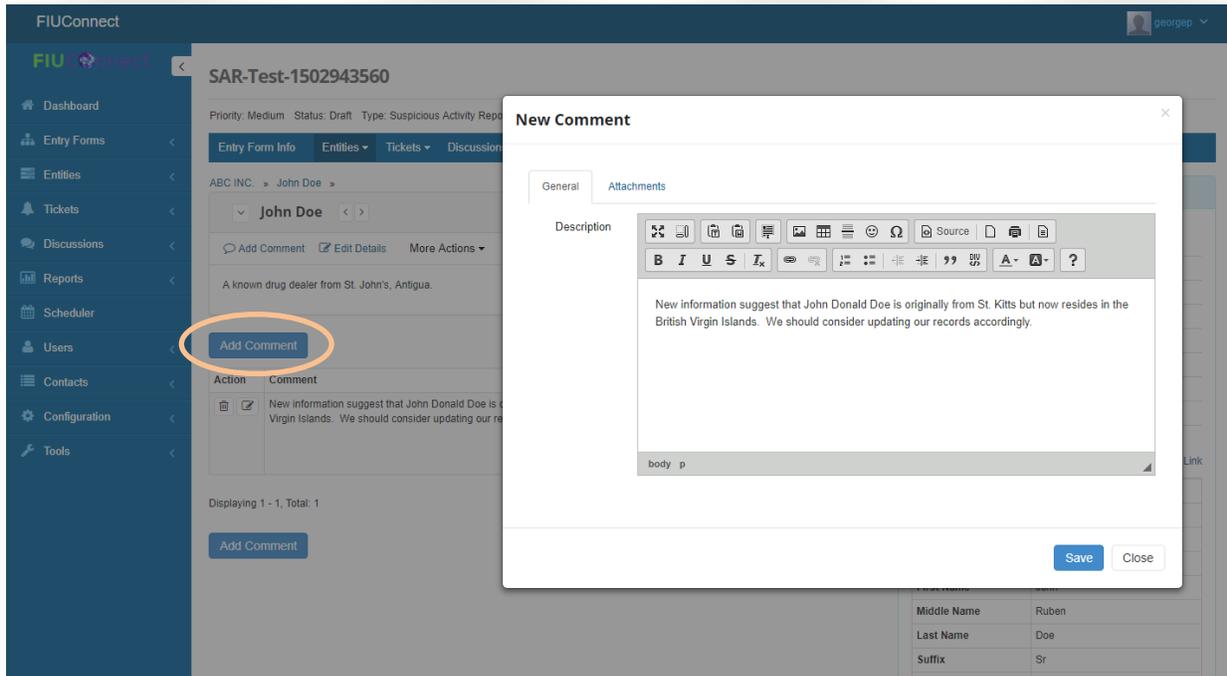
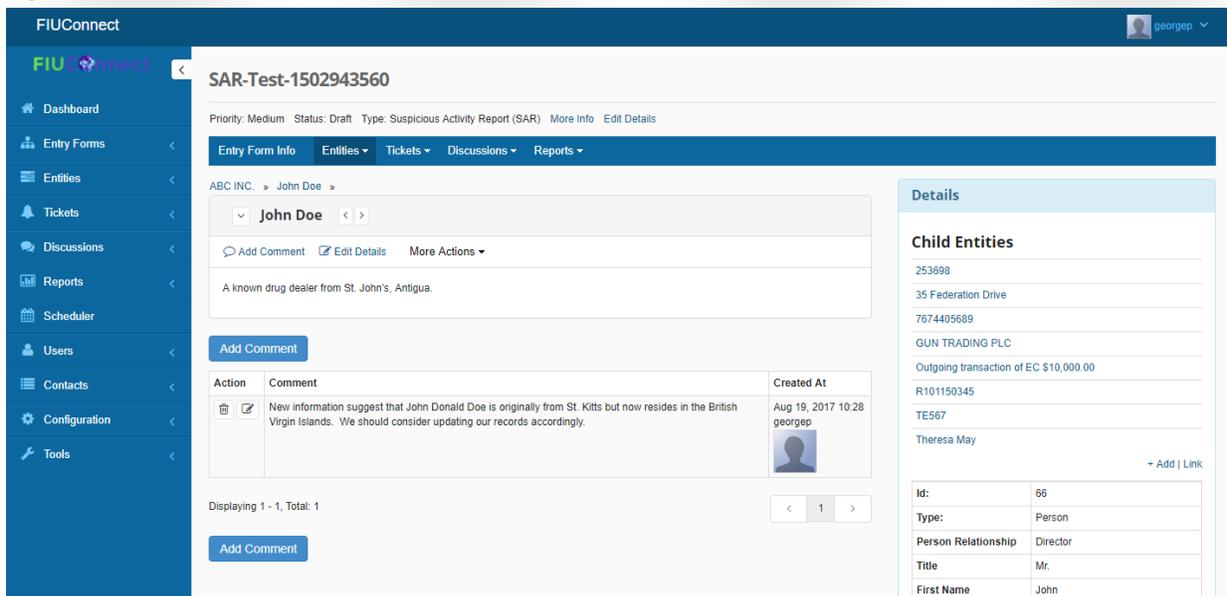


Figure 34



Using Filters

Filters are available throughout FIUConnect and are visible on Entry Forms and Entities. Filters can be used to narrow your search results by selecting a single or combination of fields **Figure 35**. To apply a filter, simply click **Filters** and select the appropriate filter you desire then apply the filter by clicking the lower end of the filter dialog as per **Figure 36** below.

Figure 35

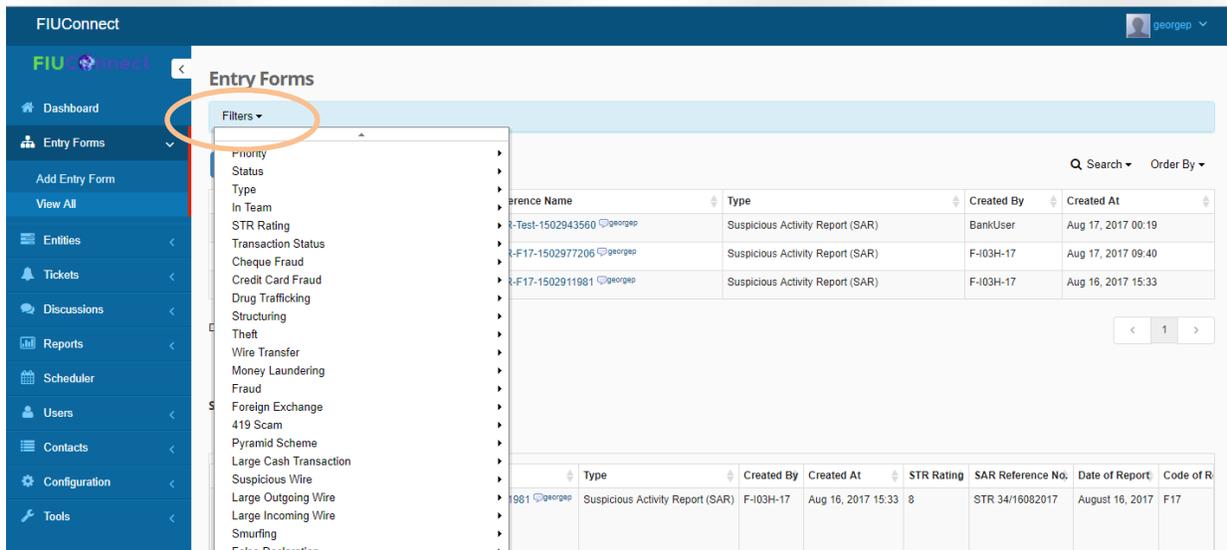
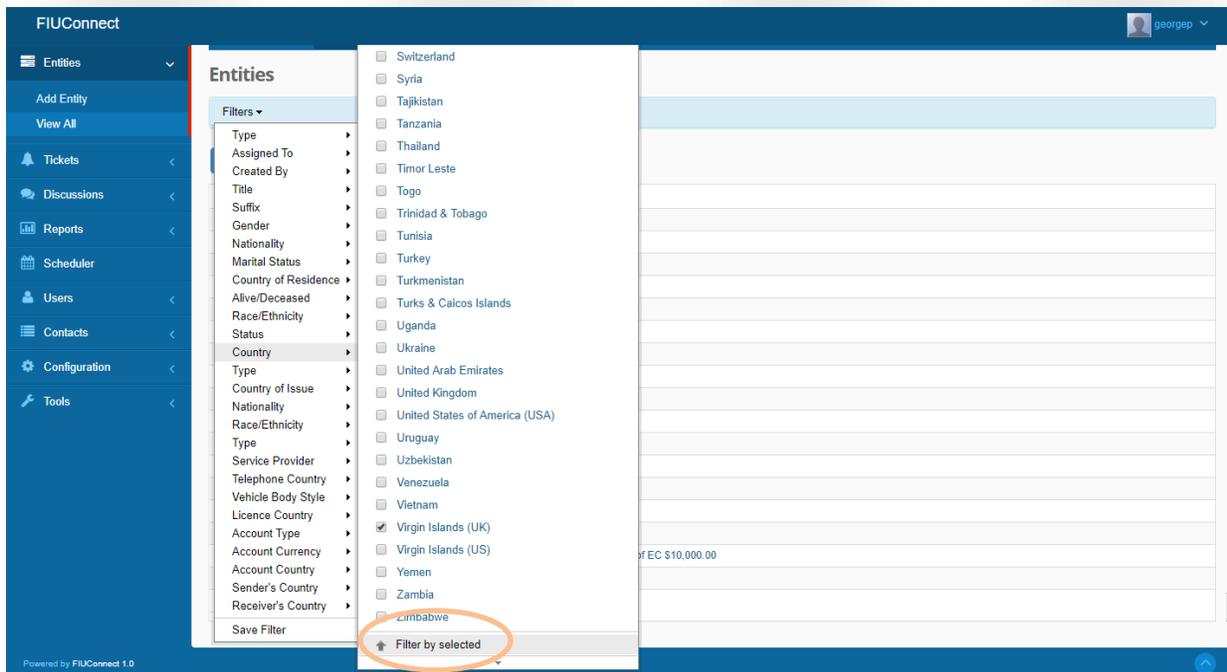


Figure 36



Searching

FIUConnect contains a search feature which allows users to search through individual or a series of fields within the entry forms or entities. Click **Search** and select the field or fields within which you want to search. Type in your keyword then click **Search** as shown in **Figure 37**.

Figure 37

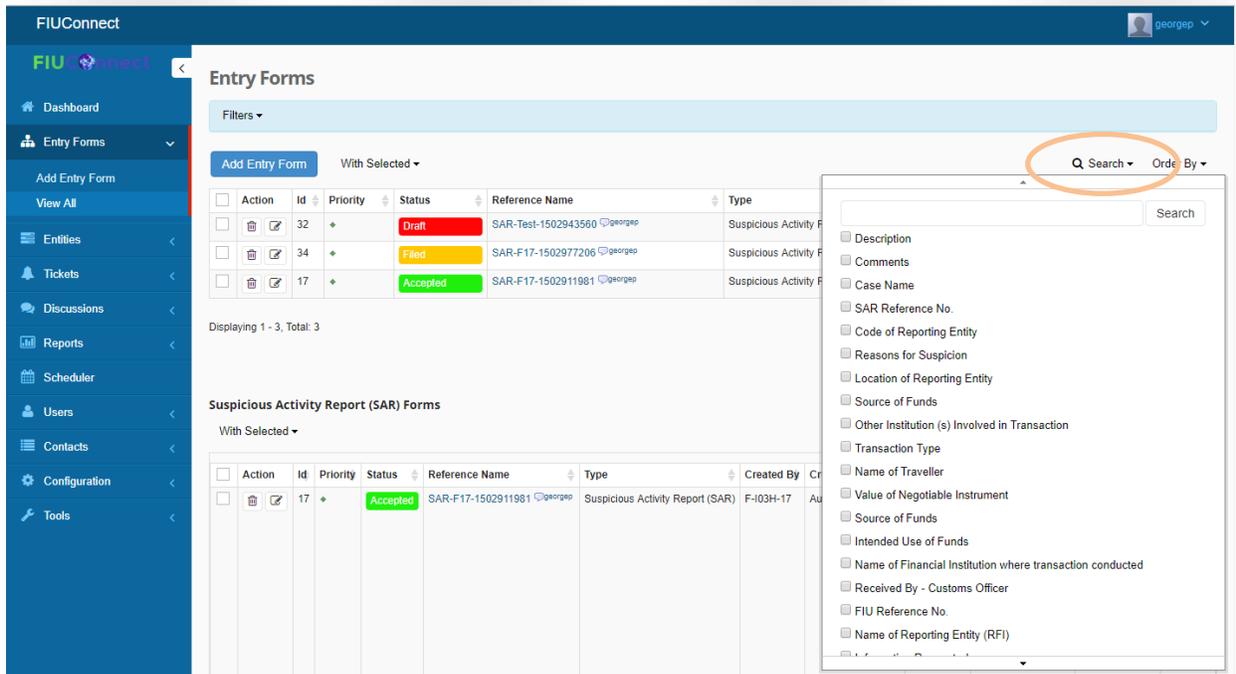
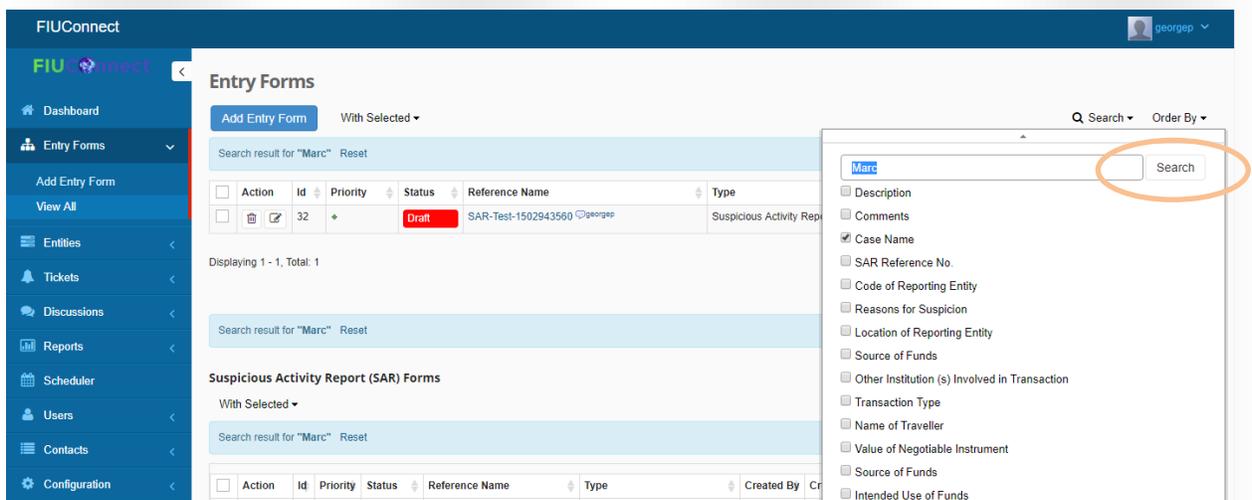


Figure 38 - Search Results



Searching through entities within FIUConnect is similar to searching through entry forms. The example in **Figure 39** below displays a search being conducted for “George” within the “First” and “Last” fields. The results of the search are displayed in **Figure 40** below.

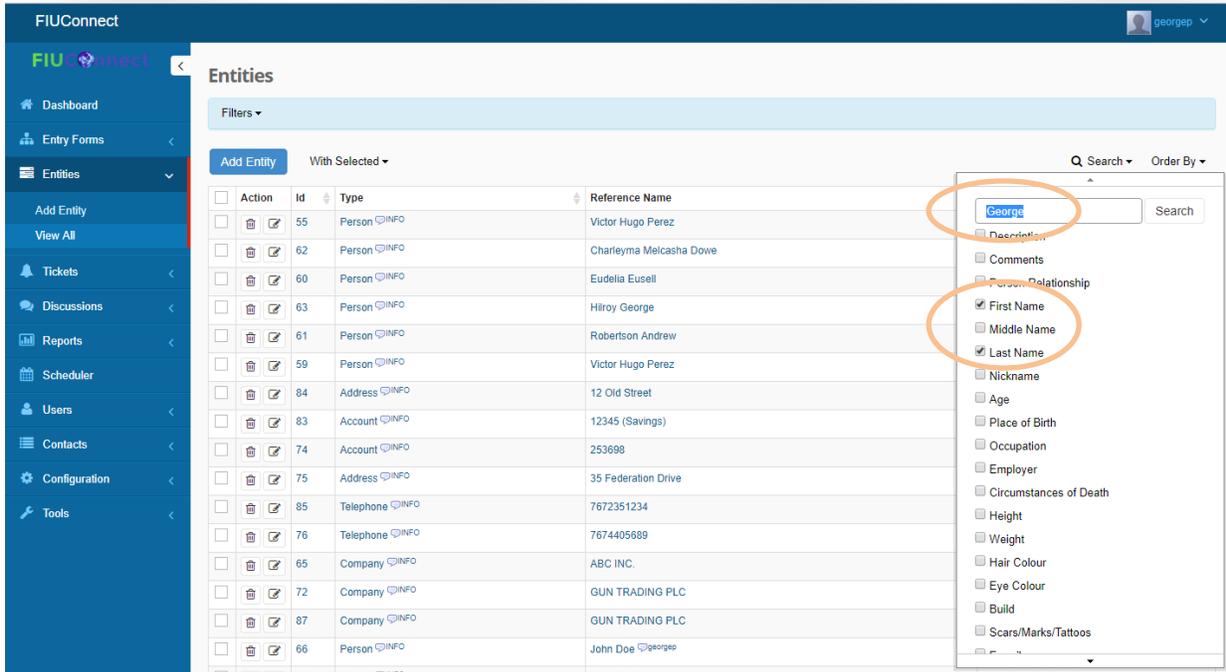
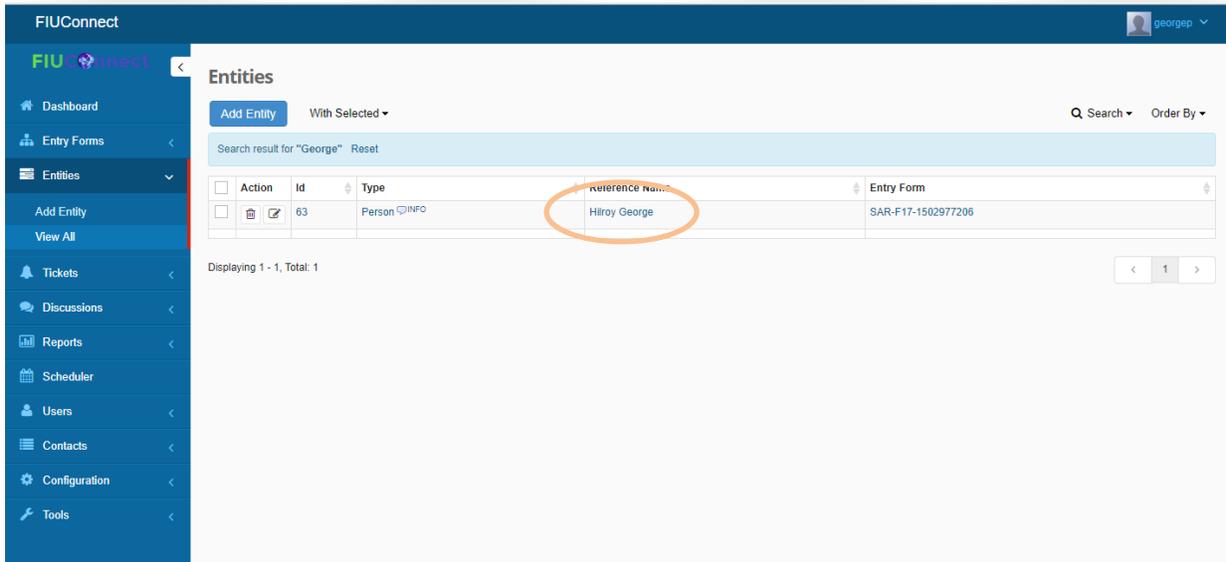


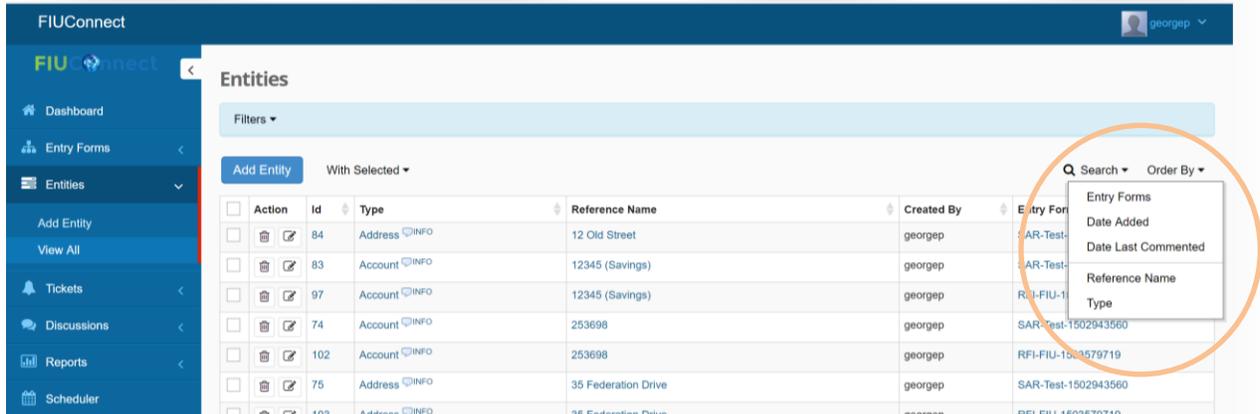
Figure 40 - Entity search results



Sorting Entities and Entry Forms

Entities and entry forms can be further sorted by clicking **Order By** as displayed in *Figure 41* below and selecting the appropriate sort order.

Figure 41

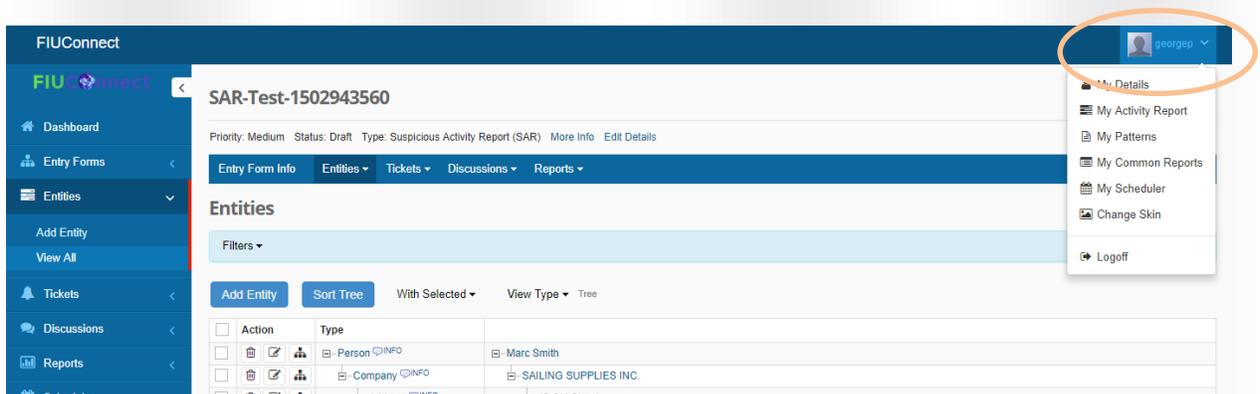


User Details

Located at the top right hand corner of FIUConnect is the **User Details** properties pane. Clicking your displayed username or code will open a small dialog as shown in *Figure 42*.

Information displayed in this list is filtered due to the permissions of the User.

Figure 42



My Details

Clicking **My Details** will display the User properties as shown in **Figure 43** below. From this window, the User can change his password and the **Start Page**.

Figure 43

The screenshot shows the 'My Account' page with the following details:

- Group:** Sr. Financial Investigator
- * Full Name:** georgep
- New Password:** (empty field)
- * Email:** georgep@dominica.gov.dm
- Photo:** Choose File | No file chosen
- Language:** English
- Start Page:** Dashboard

My Activity Report

Clicking **My Activity Report** will display the changes made by the User within a particular period, with reference to a particular entry form as shown in **Figure 44** below.

Figure 44

The screenshot shows the 'Personal Activity' page with the following details:

- Entry Form:** SAR-Test-1502943560
- From:** 2017-08-01
- To:** 2017-08-19
- Days before today:** (dropdown menu) | Update

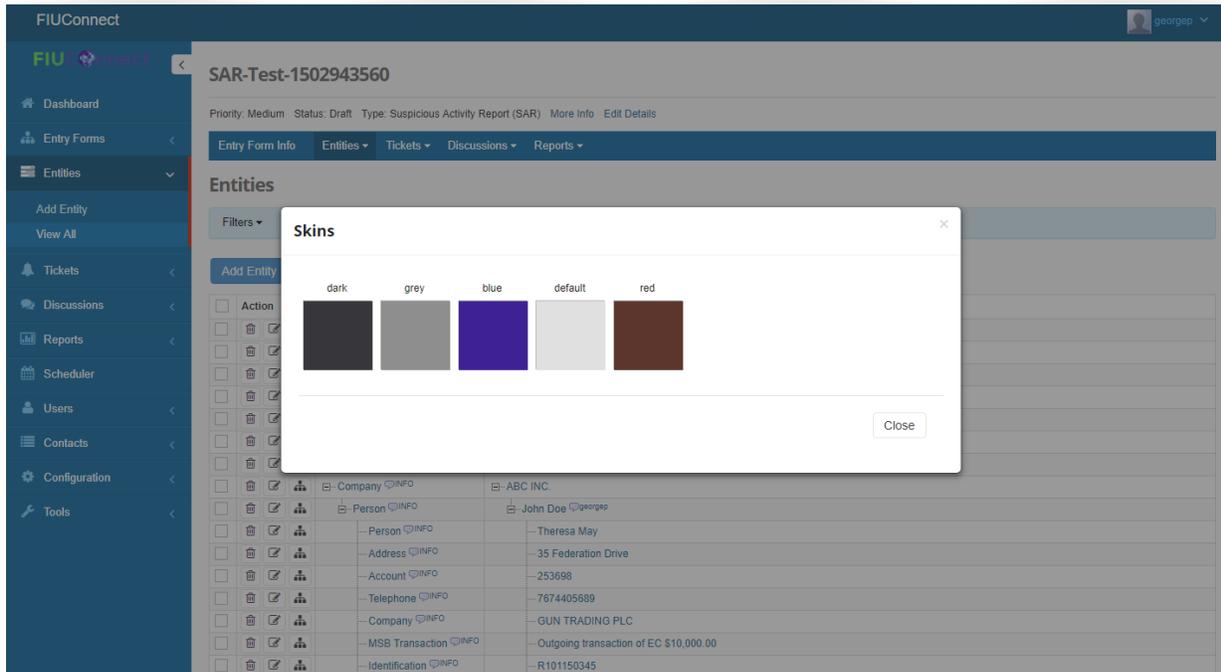
August 19, 2017

- 10:28 **Comment for Entities: John Doe** created by georgep
New information suggest that John Donald Doe is originally from St. Kitts but now resides in the British Virgin Islands. We should consider u...
- 10:27 **Ticket: Changes are required for John Doe entity,** created by georgep
Please change the middle name of John Doe to John Donald Doe.
- 10:25 **Comment for Entry Form: SAR-Test-1502943560** created by georgep
Assigned To: georgep
- 10:18 **Entity: GUN TRADING PLC** created by georgep
Company is a known to be a local firearm importing company.
- 10:18 **Entity: FE888** created by georgep
Vehicle identified for SAILING SUPPLIES INC.
- 10:17 **Entity: 7672351234** created by georgep
Number identified for SAILING SUPPLIES INC.
- 10:17 **Entity: 12 Old Street** created by georgep

Change Skin

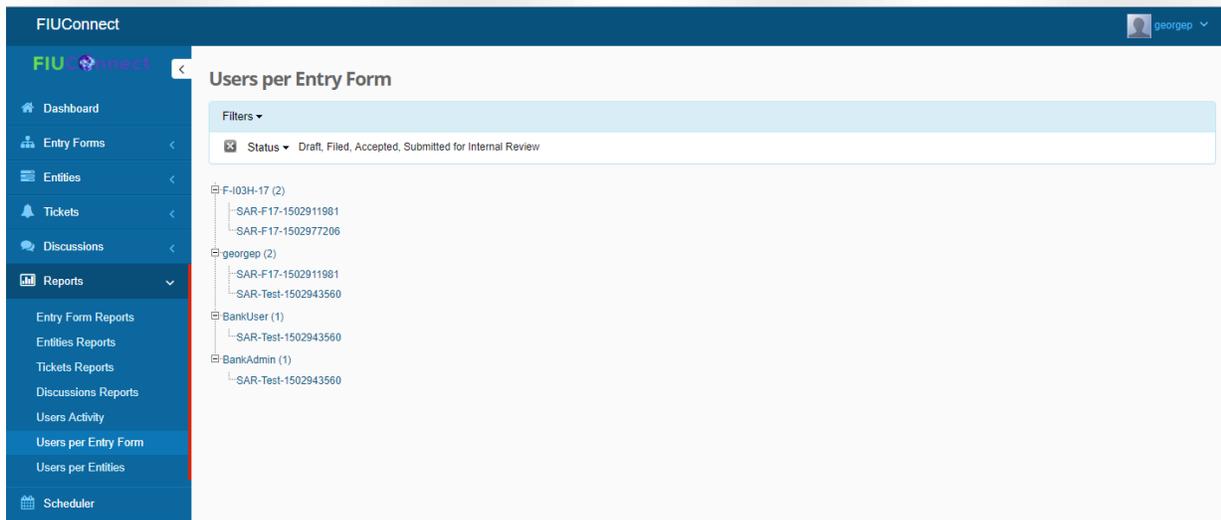
Clicking **Skins** allows the User to change the skin colour of FIUConnect to the User's preference. There is a collection of five different skins to choose from as shown in *Figure 45* below.

Figure 45



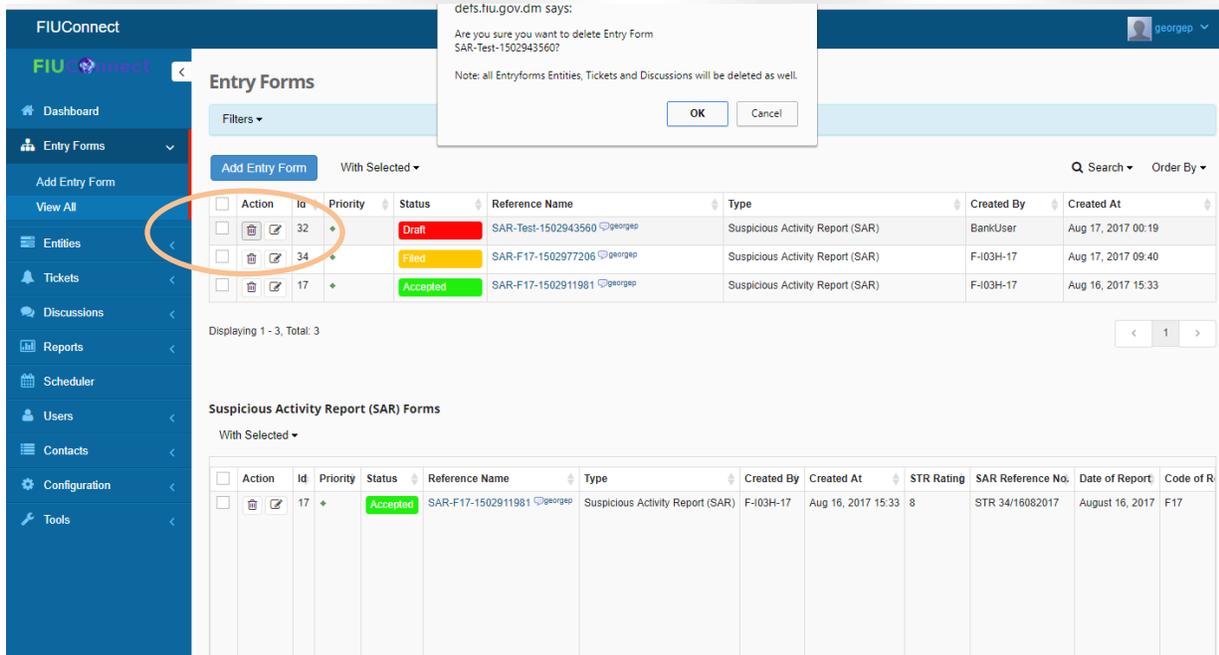
To view the number of persons linked or assigned to individual entry forms, click **Users per Entry Form** and expand the appropriate User.

Figure 46



To delete a record select the checkbox next to the record and click the delete icon  next to the checkbox. A dialog will open prompt you to confirm your action. Click **OK**. Your record will be deleted.

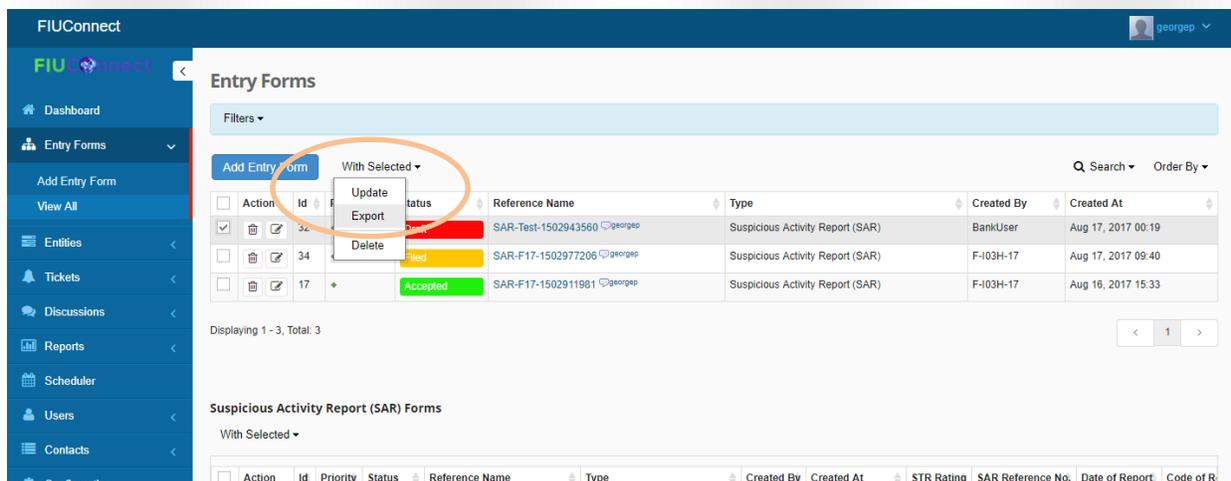
Figure 47



Report Download

To download a copy of your report, select the checkbox next to the appropriate entry form, hover your mouse over **With Selected** and click **Export**. This will open the Export Dialog.

Figure 48



Give a report a unique name in the **Filename** field, select the appropriate report format and click **Export**.

 The file formats available is dependent on the level of access the User has been given by the System Administrator.

Figure 49

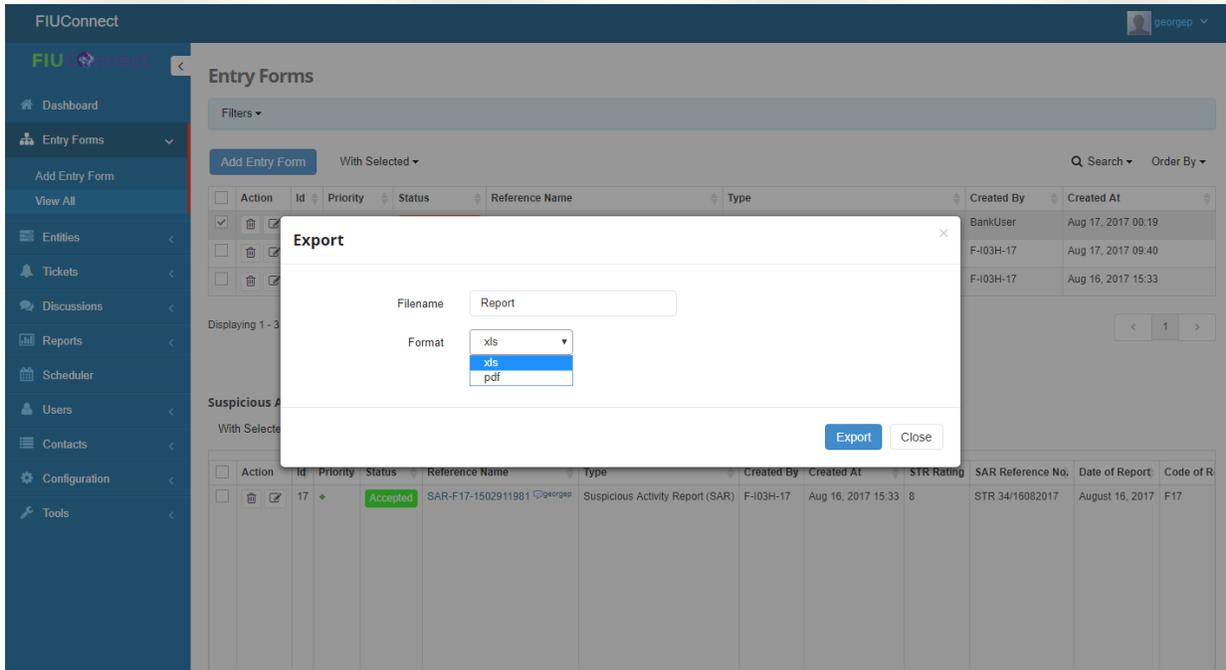


Figure 50 – Entry Form and Figure 51 – Linked Entity below depicts a sample report exported from FIUConnect. The main report type and linked entities are appended to the report.

Figure 50

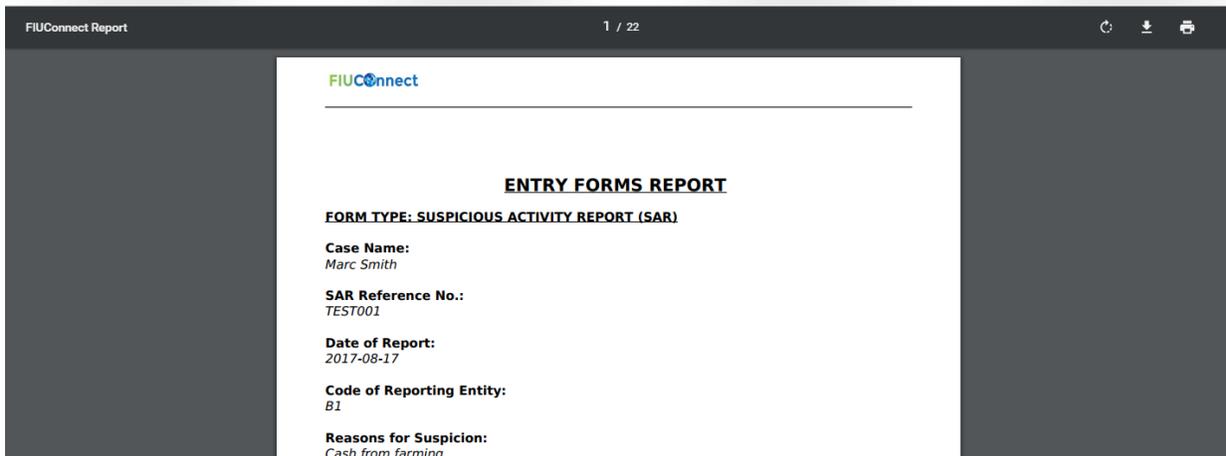
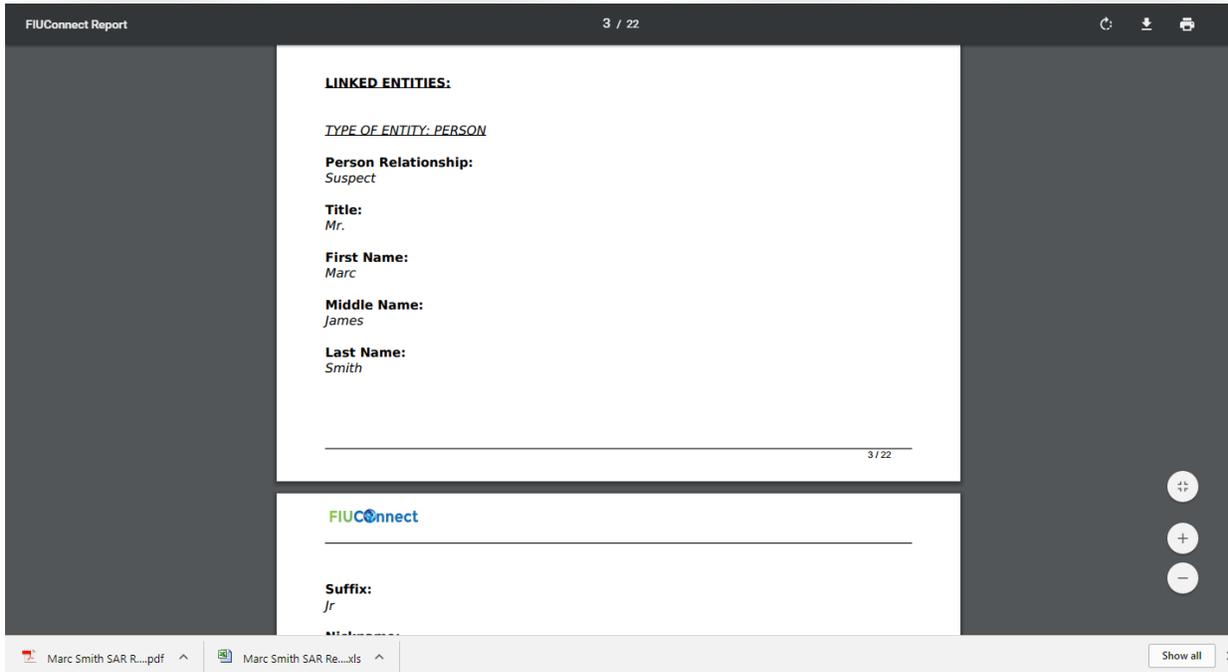


Figure 51 - Linked Entities

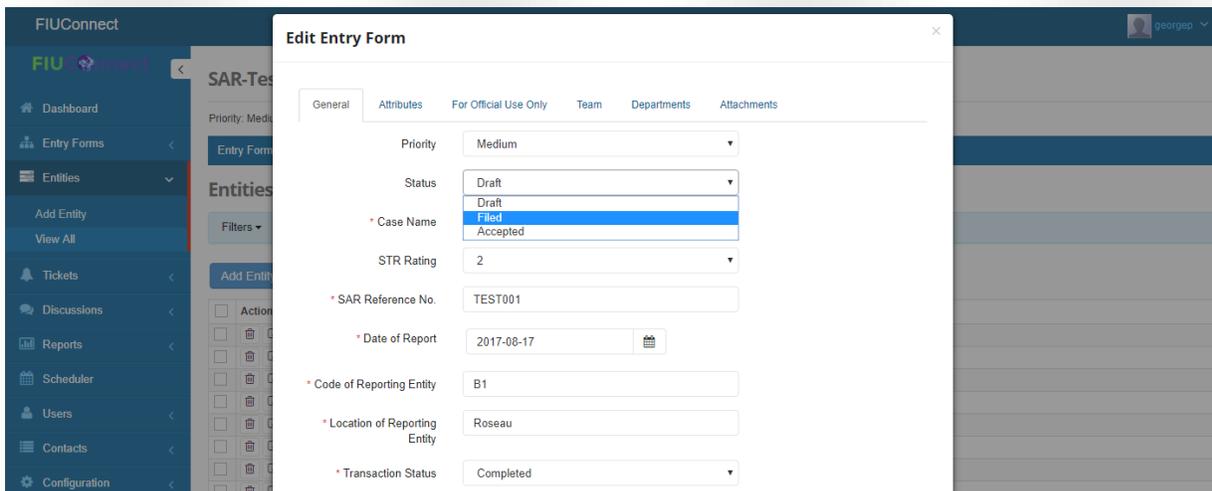


Submitting Your Report

To file your report, click **Edit Details** on the entry form and change the status from **Draft** to Filed and click **Save**. On clicking **Save**, your report will be submitted to the FIU and will be displayed as **Filed** in your **Dashboard**.

Your **Filed** reports will be reviewed by the FIU and will **Accepted** after it has been reviewed for consistency and accuracy.

Figure 52



Acknowledgement of Receipt

Based on your browser configuration, FIUConnect will prompt you to save or will download an **Acknowledgement of Receipt** relating to the report you have filed with the Unit (*Figure 53*).

By default FIUConnect can display the full addressee information on the Acknowledgement of Receipt based on the User that is logged in at the time, as oppose to the Code of the logged in User, for example:

Ms. Mary Jane

Compliance Officer

Western Union

34 Rose Street, Roseau

Dominica

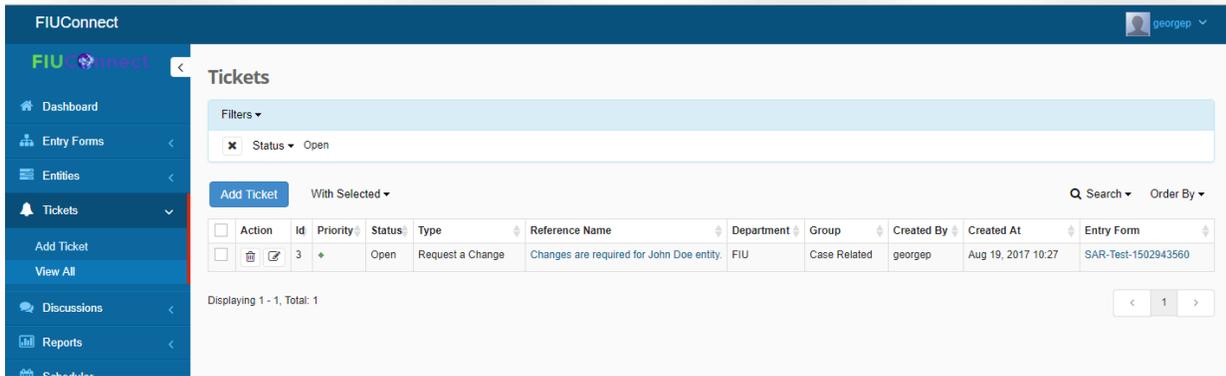
Figure 53



Adding Ticket

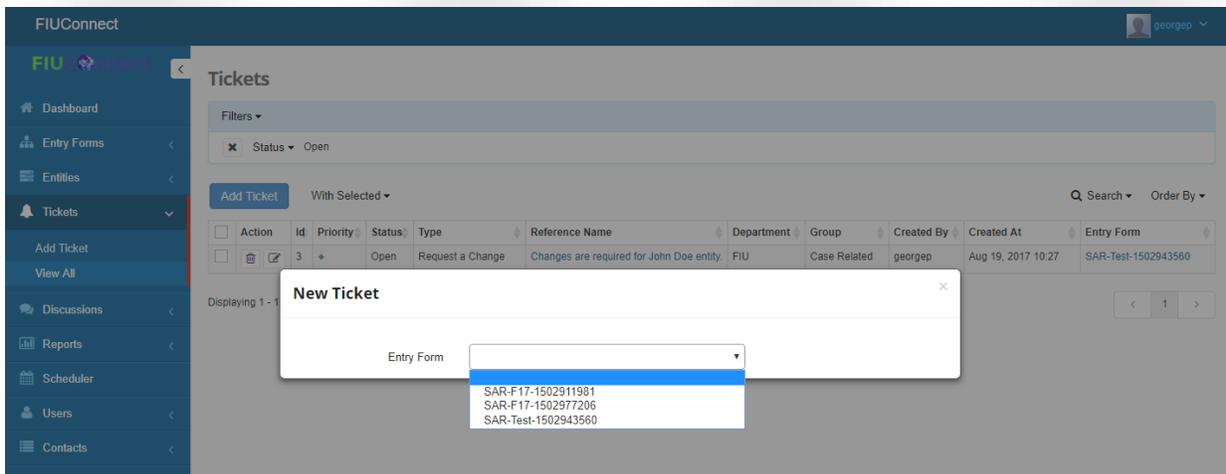
During the review of your report, should any inconsistencies or errors be identified within your report, a Ticket will be created and appended to your report detailing the issues found. A notification will be automatically sent to your designated e-mail notifying you of the Ticket which has been opened.

Figure 54



To a Ticket to an entry form click **Add Ticket**. A **New Ticket** dialog will be displayed prompting you to select the appropriate entry form to which you will like to append the Ticket. Select the appropriate entry form and click **OK**.

Figure 55



A **New Ticket** window will open. Select the appropriate field properties and enter a Ticket subject and narrative. You may also select other Users who you would like to have notified of your Ticket by scrolling to the end of the form and selecting the appropriate User.

Figure 56

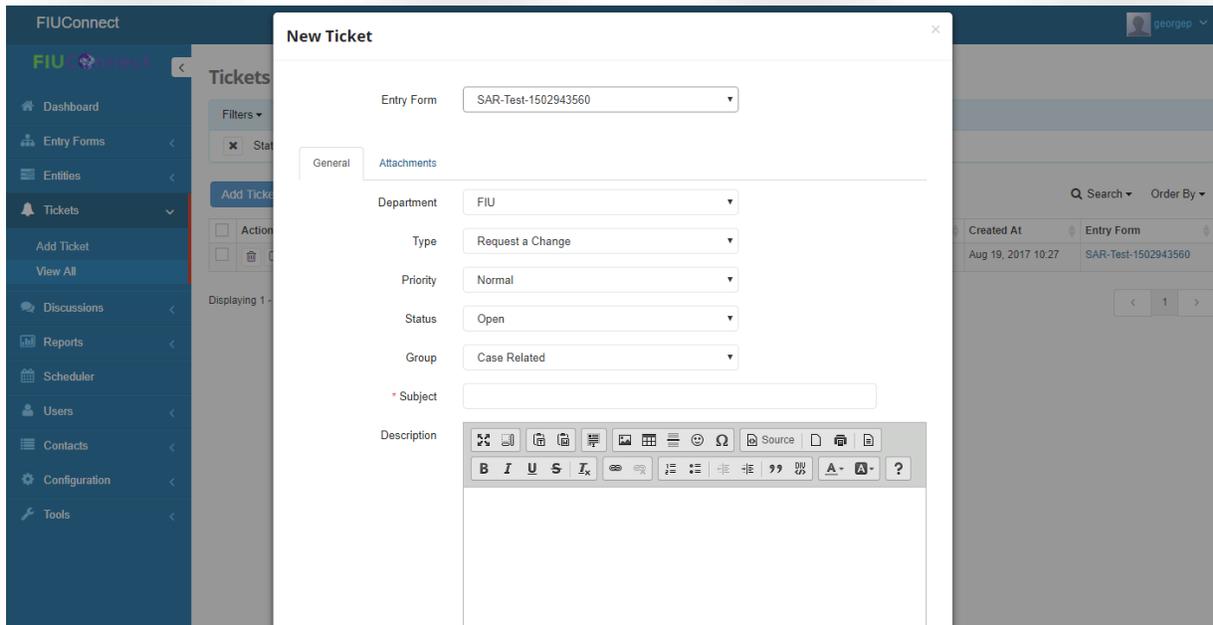
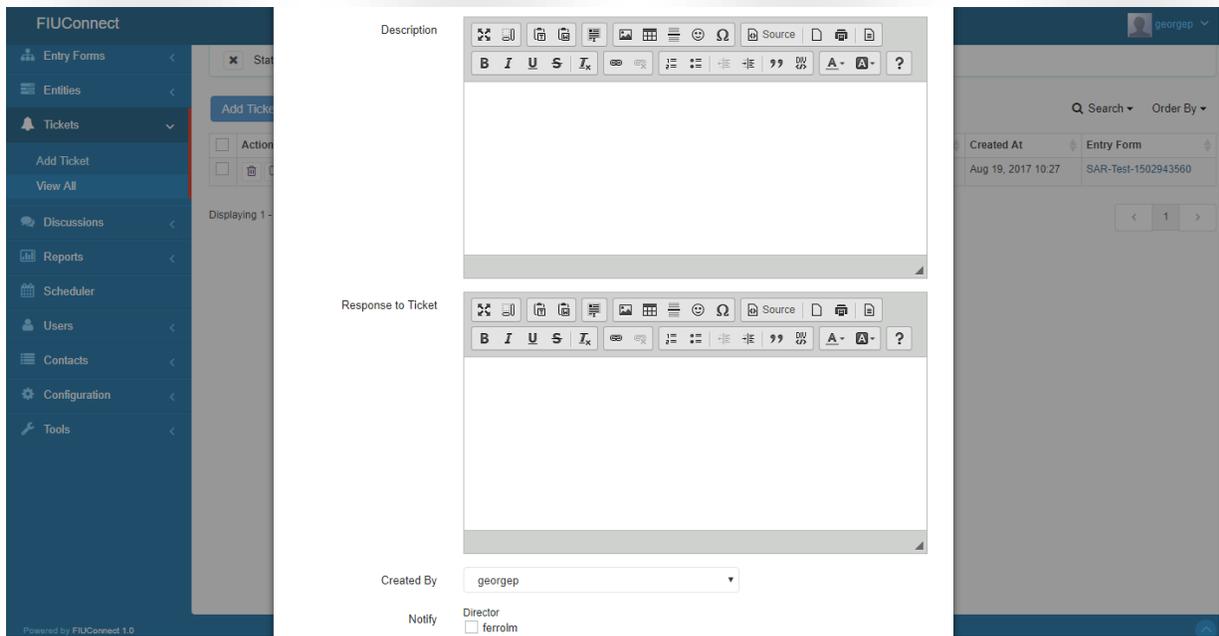


Figure 57 - Ticket Part 2



Adding Discussions

To add Discussions to an entry form, select **Add Discussion** and follow the steps in Adding Tickets above.

Figure 58

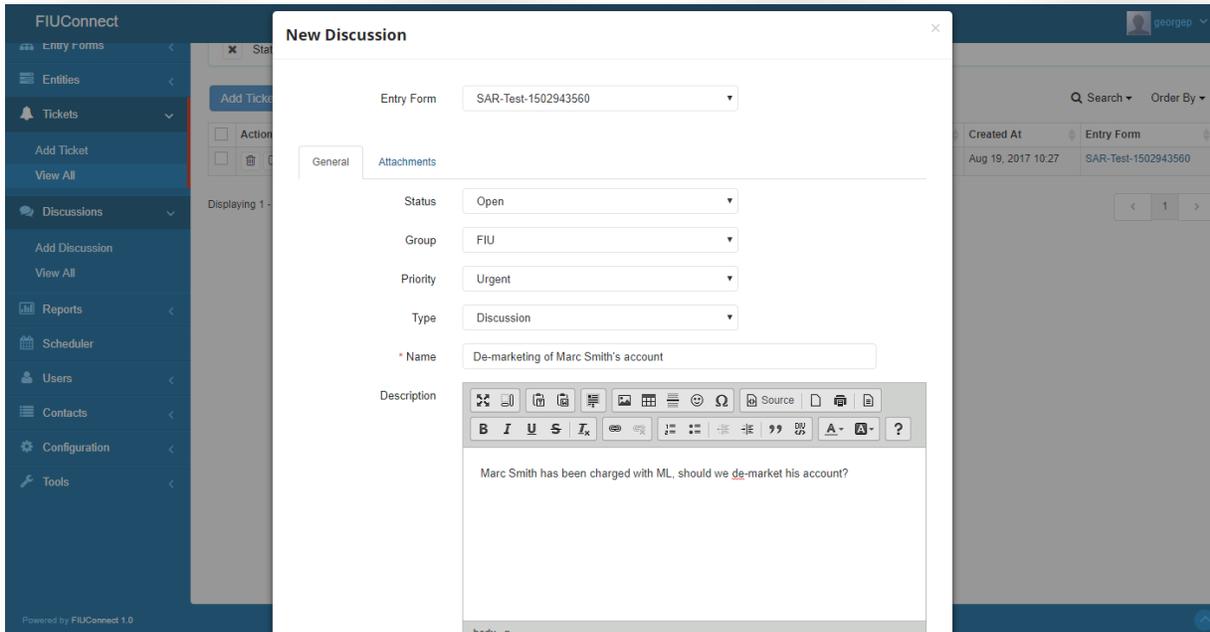
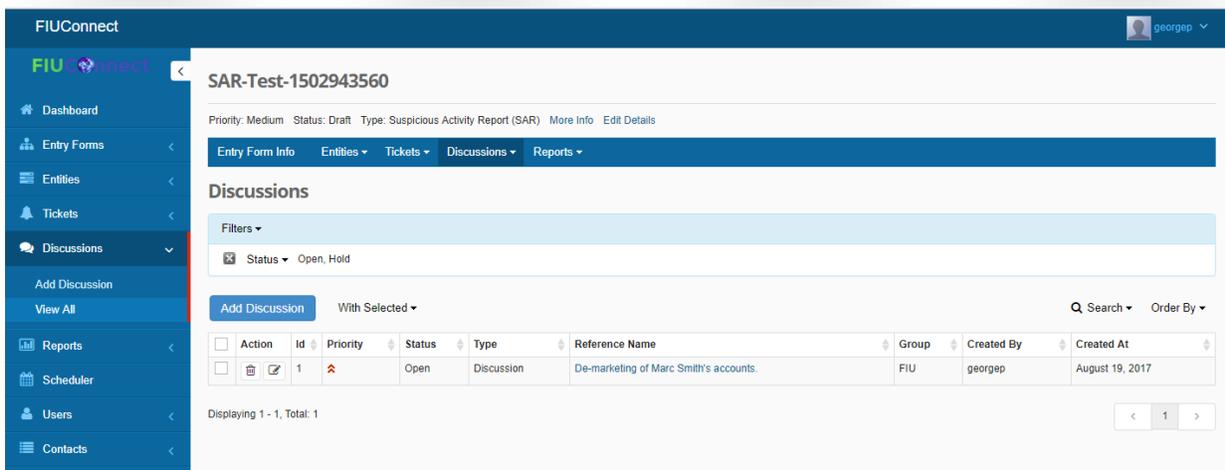


Figure 59



Tickets and Discussions can be filtered based on the User's preference.

Figure 60

The screenshot shows the FIUConnect interface for a discussion entry titled "SAR-Test-1502943560". The user is logged in as "georgep". The interface includes a sidebar with navigation options like Dashboard, Entry Forms, Entitles, Tickets, Discussions, Add Discussion, View All, Reports, Scheduler, and Users. The main content area shows the discussion details and a "Discussions" section with a filter dropdown menu open. The filter menu lists options: Priority, Status, Group, Type, Assigned To, and Created By. The "With Selected" dropdown is set to "With Selected". Below the filter menu is a table with one row of discussion data.

Priority	Status	Type	Reference Name	Group	Created By	Created At
High	Open	Discussion	De-marketing of Marc Smith's accounts.	FIU	georgep	August 19, 2017

Displaying 1 - 1, Total: 1

APENDICES

FIUConnect Web Security Policy Statement

Due to the fact that the FIUConnect application, and the website it is affixed to, (FIUConnect) uses the ID/password combination for purposes of authentication, and that transmits and receives data classified as “Legally/Contractually Restricted”, the FIUConnect therefore shall and does:

- Employ **Transport Layer Security (TLS)** or their equivalent cryptographic (2048-bit minimum) protocols for authenticating and establishing identities, and maintaining encrypted communications channels between endpoints; and
- Use a **Secure Hypertext Transport Protocol (HTTPS)** connection based on server-side **SSL certificates** signed by a recommended trusted third-party certificate provider; and
- Implement web communication security in full compliance with **PCI-DSS, HIPAA and NIST** recommendations.

Self-signed certificates are NOT permitted for these systems and conditions.

Policy/Procedures:

FIUConnect employs **CSRF Protection**, necessary to prevent submissions by unauthenticated users.

FIUConnect password policy ensures at least ONE of each of the following:

- Uppercase;
- Lowercase;
- Number;
- Special Character; and
- Password minimum length of 8 characters.

FIUConnect employs for the username, a **masked code entry system** for increased login security.

FIUConnect automatically terminates an entry session after a specified period.

Certificate Solutions are installed and maintained in strict adherence to the provider’s instructions to help ensure that the security and integrity of the certificate processes are preserved.

The Transport Layer Security 1.2 protocol is the minimum installation permitted. The protocol allows client/server applications to communicate in a way that is designed to prevent eavesdropping, tampering, or message forgery.

System administrators track certificate expiration dates to ensure that certificates are kept current to avoid adverse impact to operations.

Strict adherence to certificate provider instructions for implementation and maintenance is ensured.

FIUConnect Developer

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FIUconnect
Connect - Visualize - Integrate