

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.

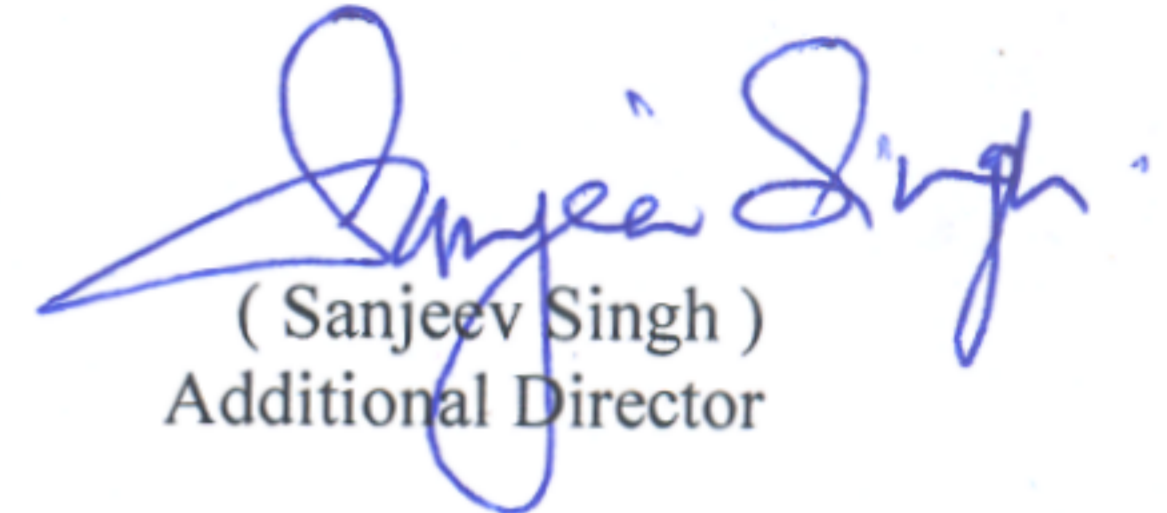
6. The following documents have been placed in the 'Downloads' section of the FIU-IND website (<http://fiuindia.gov.in>).

- (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)
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 Tsegial Tashi, Director (Tourism), Government of Sikkim, Gangtok.