Document	User Manual – FINGate 2.0
Modules	Request Response
Version	1.0
Year	2023



Version Control Chart

Version	Date	Remarks
1.0	14-March-2023	Initial Version



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1 Introduction

1.1 Purpose

Project FINnet 2.0 envisions to streamline and redefine the process of collection, processing, and dissemination of data for the purpose of effectively generating meaningful intelligence to curb money laundering activities and enforce the provision of PMLA in India. This is a project of national importance and aims to strengthen the financial security architecture of India. The mission statement of FINnet 2.0 states – To provide quality financial intelligence for safeguarding the financial system from the abuses of money laundering, terrorism financing, and other economic offenses.

FINnet 2.0 is implemented as a set of three (3) systems to ensure that the data ingested and processed by the three is isolated and immune to security threats as much as possible and all data is secure. The systems are listed below -

- 1. FINGate Collection and pre-processing system
- 2. FINCore Processing and analysis system
- 3. FINex Dissemination system

The proposed FINGate system shall consist of multiple reporting mechanisms to ensure compliance and facilitate quick and easy reporting.

This document is the user manual for FINGate Portal – Request Response module of the FINnet 2.0 System. This module deals with the request-response functionality with the REs in the FINGate application. It covers the process of REs receiving requests for information from FIU-IND and REs responding to these requests. The RE User reviews the FIU-IND request, prepares information, and sends the response to FIU-IND.

To access the FINGate portal, navigate to https://fingate.gov.in

1.2 Scope

The scope of this document is to provide guidance on using the FINGate Request response module and act as a user manual. The functionalities covered in this user manual are:

- 1. Navigating to Request Response
- 2. Response to the Request
- 2 **Request Response**

As part of the Request Response, FIU-IND can request for information from the RE's. The request will have priority as P1, P2 or P3. The requested data have to be responded in the below formats:

- 1. KYC Details
- 2. Account Details
- 3. Transaction Details
- 4. Account Statement Details
- 5. Past Report Details

Request for information can be in unstructured format also.



2.1 Respond to the Request

1. The RE user lands on the homepage and clicks on the "RFI/RFAI" icon as shown in the image below.

वितीय आसूचना एकठ - Financial Intelligence स्वय की MINISTRY OF FINANCE	WHET: WE LINE: TRADE CONVERNMENT OF NOVA						A- A A+ 🛛 🖉 🍄 🛛 🔹 Heliol Jiva sharma
home	FINGate 2.0 > Home						
E My View	Dashboard	View All	Summa	ry View of Recent Ba	atches	View All	Compliance Score(Simulated test data)
1 My Reports	Report Submission Trend		5. No. 1	Batch Reference No © NTR-123	Report Type 👙	Number of Reports \oplus L	
Learning & Resources	40 22		2 3	CCR_13022023	CCR STR	3	40 60
Dashboard	20		4	AzadFinalTest AzadTest123456	CTR	3	20 - 54 Average
MIS	Z 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	s o 23	< Page 1 €	Df 6 🕶 🛛 5 Items Per Pag	e + Showing 1	- 5 of 26 results.	
Digital Signature	Report Submission Acknowledged (pen Status NA				← First Pr	revious Next Last→	
Registration							View Scores
RFI/RFAI							9

2. The RE user will be navigated to the "RFI/RFAI" screen.

वितीम आसूचना करूड - Pinancial Intelligence स्वत्र को MINISTRY OF FINANCE,	- NERT 10 Unit - India GOVENNMENT OF INDIA	FINGate 2.0			A- A A+ 💌	Hello! Rita update Kumari New
1n	FINGate 2.0 > RFI/RF/	AI				
	Show only Reques	st for Suprassed Response Due Dat	e 🗆			
My View	Priority	▼ Status	▼ Requestdate	Clear	Search	Search
PO Enrolment		Request Id	Priority Rating	Request Date	Response Due Date	Request Status
Ţ		RFI689280	P3	2023-03-10 00:00:00.0	2023-03-11 00:00:00	SENT
My Neports		RF1689282	P1	2023-03-10 00:00:00.0	2023-03-10 03:00:00	SENT
Learning & Resources		RFI689401	P3	2023-03-10 00:00:00.0	2023-03-11 00:00:00	DRAFT
Dashboard		RF1694704	P2	2023-03-13 00:00:00.0	2023-03-13 12:00:00	SENT
		RFI696613	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
MIS	0	RF1696705	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
Digital Signature		RFI696819	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
Registration	20 Entries + Showin	ng 1 to 7 of 7 entries.				< 1 →
RFI/RFAI	Review Request					Submit
Sitemap Disc	claimer		Copyright 2019 FIU-IND. All Rig	ghts Reserved.		\bigcirc

3. RE user will able to view the request received from FIU-IND user in the list view and the status of the request will be 'Received' as shown in the image below.



वितीय आसूचना एक Financial Intellig	ছক – মাহবে gence Unit - India NCE, GOVERNMENT OF INDIA	FINGate 2.0			A- A A+ 💌 🌲	Provide the second s
fîn Home	FINGate 2.0 > RFI/	/RFAI				
•	Show only Req	juest for Suprassed Response D	ue Date 🗆			
My View	Priority	▼ Status	▼ Requestdat	Clear	Search	Search
PO Enrolment		Request Id	Priority Rating	Request Date	Response Due Date	Request Status
<u>1</u>		RFI689280	P3	2023-03-10 00:00:00.0	2023-03-11 00:00:00	SENT
		RFI689282	P1	2023-03-10 00:00:00.0	2023-03-10 03:00:00	SENT
Learning & Resources		RFI689401	P3	2023-03-10 00:00:00.0	2023-03-11 00:00:00	DRAFT
		RFI694704	P2	2023-03-13 00:00:00.0	2023-03-13 12:00:00	SENT
Dashboard		RFI696613	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
MIS	0	RFI696705	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
œ		RFI696819	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
Digital Signature Registration		RFI699215	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	RECEIVED
RFI/RFAI	20 Entries + Sho	owing 1 to 8 of 8 entries.				

4. RE user should select the checkbox of the request and needs to click on the 'Review Request' button to view the request details.

Show o	nly Request for Suprasse	d Response Due Date 🗆				
Priorit	у •	Status	 Requestdate 	Clear	Search	Search
	Request Id	Prior	ity Rating	Request Date	Response Due Date	Request Status
	RFI689280	P3		2023-03-10 00:00:00.0	2023-03-11 00:00:00	SENT
	RFI689282	P1		2023-03-10 00:00:00.0	2023-03-10 03:00:00	SENT
	RFI689401	P3		2023-03-10 00:00:00.0	2023-03-11 00:00:00	DRAFT
	RFI694704	P2		2023-03-13 00:00:00.0	2023-03-13 12:00:00	SENT
	RFI696613	P2		2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
	RFI696705	P2		2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
	RFI696819	P2		2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
	RFI699215	P2		2023-03-14 00:00:00.0	2023-03-14 12:00:00	RECEIVED
20 Entries ¢	Showing 1 to 8 of 8 er	ntries.				<
Paviaw Par	unet					

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fin Home	FINGate 2.0	> RFI/RFAI						
My View	G Back					Request ID : IN	FB1234H Priority : P1	
~	Review	FIU Request						
PO Enrolment	Requeste	ed Input						
1 My Reports	Row ID	Entity Type	Entity ID	Lea Case Reference ID	Name	Passport	Account Number	Brancł
Learning & Resources	○ 101	Organization 🗸	0	T1T2T3	ANUJ		0	Del
Dashboard	•							Þ
	Query Fro	om FIU						
MIS	Classif	ied message from	FIU-IND will be see	en here				



Dashboard	4					Þ
	Query From FIU					
MIS	Classified message	e from FIU-IND will b	be seen here			
Digital	Response					
Signature Registration	O Submit entire report	t as NIL				
	Respond with data					
RFI/RFAI	No. Of Entities	No. Of KYC	No. Of Accounts	No. Of Transactions	No. Of Account Satements	
	1	0	1	1	1	Enter Data
	Comment					
	upload-attachment					
	Choose File No file	e chosen				
	Attachment By FIU					
				Submit		

- 5. If RE does not have the information as per the requested details, then the RE user can select the "Submit entire report as NIL" button.
- 6. If RE user want to respond to the received request with data, then the RE User should select the row for which response need to be entered and click on 'Enter Data' as shown in the image below.

<u>ি</u>	FI	NGate 2.0	> RFI/RFAI							
My View		G Back						Request ID : INF	B1234H	Priority : P1
2		Review	FIU Request							
PO Enrolment		Requeste	d Input							
<u>↑</u> My Reports		Row ID	Entity Type	Entity ID	Lea Case Reference ID	Name	Passport	Account Number	Branch Name	Mobile Number
Learning & Resources		701	Organization \checkmark	0				0		0
	L	Query Fror	m FIU ed message from I	FIU-IND will be seen here						•
Digital Signature Registration	R	esponse	2							
	0	Submit	entire report as NIL							
RFI/RFAI	۲	Respon	d with data							
		No. Of E	ntities	No. Of KYC	No. Of Accounts	No.	Of Transactions N	lo. Of Account Satements		
		1		0	1	0	0			Enter Data
		Comment								\bigcirc

7. On clicking 'Enter Data' the RE user will be redirected to the below screen.



î	FINGate 2.0 >	RFI/RFAI				
	Customer +	Non-Customer 🗸	Transaction Details 🗸	Account Statement		
My View	Add KYC					3 Back
PO Enrolment					_	
L My Reports						
Learning & Resources						
Dashboard						
MIS					No Data Available	
Digital Signature Registration						
RFI/RFAI						

8. RE user should select the required form and click on the 'Add' button to fill the details as shown in the image below.

fin Home	FINGate 2.0 > RF//RFAI
My View	Customer Non-Customer Transaction Details Account Statement Individual KYC Non-Individual KYC O Back
PO Enrolment	Account Details
 My Reports	Account Person Relation
Learning & Resources	Policy Person
Dashboard	
MIS	No Data Available
Digital Signature Registration	
RFI/RFAI	





fin Home	FINGate 2.0 > RFI/RFAI			
ē	Customer + Non-Customer + Transaction De	etails + Account Statement		
My View	New KYC Individual (KC1)			
PO Enrolment	Individual Identifier Details			
1 My Reports	UCIC*	PAN	Declaration (If PAN is not available)	PEKRN
	UCIC	PAN	PAN Not Available *	PEKRN
Learning & Resources	CKYC Number	Declaration (If CKYC is not available)	Passport Number *	Voter ID *
Dashboard	CKYC Number	CKYC Not Available *	Passport Number	Voter ID
	Drivers License Number *	NREGA Card *	NPR*	Identity verified using Aadhaar ID
MIS	Drivers License Number	NREGA Card	NPR	□ Identity Verified *
Digital Signature	DIN / DPIN			
Registration	DIN / DPIN			
RFI/RFAI	Individual Personal Details			
	First Name*	Middle Name	Last Name	Declaration (If Last name is not available)
	First Name	Middle Name	Last Name	Last Name Not Available*

9. RE user should fill all the mandatory details and click on the 'Save' button as shown in the image below.

Â	FINGate 2.0 > RFI/RFAI			
My View	Customer Non-Customer Transaction Detai	is 🗸 Account Statement		
PO Enrolment	New KYC Individual (KC1) Individual Identifier Details			
 My Reports	UCIC*	PAN	Declaration (If PAN is not available)	PEKRN
	UCIC	PAN	PAN Not Available*	PEKRN
Learning & Resources	CKYC Number	Declaration (If CKYC is not available)	Passport Number *	Voter ID *
Dashboard	CKYC Number	CKYC Not Available *	Passport Number	Voter ID
Ē	Drivers License Number *	NREGA Card *	NPR*	Identity verified using Aadhaar ID
MIS	Drivers License Number	NREGA Card	NPR	Identity Verified *
Digital Signature	DIN / DPIN			
Registration	DIN / DPIN			
RFI/RFAI	Individual Personal Details			
	First Name *	Middle Name	Last Name	Declaration (If Last name is not available)
	First Name	Middle Name	Last Name	Last Name Not Available *



Secondary Address 1		Secondary Address Locality		Select	Secondary Address Pin Code
Secondary Address State Name		Secondary Address District Name		Secondary Address City/Village/Town Name	
Secondary Address State Name		Secondary Address District Name		Secondary Address City / Village / Town	
Individual Profile Detail					
Customer Type *		Customer ID		Annual Income (INR)	Occupation
Select	•	Customer ID		Annual Income (INR)	Select 👻
Employer Name		Employer Address 1		Employer Address Locality	Employer Address Pin Code
Employer Name		Employer Address 1		Employer Address Locality	Employer Address Pin Code
Employer Address Country					
Afghanistan	•				
Employer Address State Name		Employer Address District Name		Employer Address City / Village / Town	
Employer Address State Name		Employer Address District Name		Employer Address City / Village / Town	
Date of Customer On-boarding *		Date of Last KYC / re-KYC *		Customer Risk Level *	
dd-mm-yyyy		dd-mm-yyyy		Select	
			Save	Close	

10. After saving the response user will redirect to list view and will be able to view and edit the response. User can also add more response by clicking on 'Add' as shown in the image below.

fin Home	FINGate 2.0 > RFI/RFAI				
	Customer Non-Customer	Transaction Details - Account Statement			
	Add Account				G Back
PO Enrolment	Account Number	Create Date	Status	Actions	
<u>t</u>	6567576867	2023-03-14 18:37:47.254	0	⊙ ₹	
My Reports	97654321032	2023-03-14 17:00:43.423	0	٠	
Learning & Resources					
Dashboard					
MIS					

11. RE user should click on 'Back' button and should redirect to the screen as shown in the image below.



ណ្ដ	FINGate 2.0 > RFI/	RFAI				
	Show only Req	uest for Suprassed Response	Due Date 🗆			
My View	Priority	▼ Status	▼ Requesto	Clear	Search	Search
PO Enrolment		Request Id	Priority Rating	Request Date	Response Due Date	Request Status
1.		RFI689280	P3	2023-03-10 00:00:00.0	2023-03-11 00:00:00	SENT
My Reports		RFI689282	P1	2023-03-10 00:00:00.0	2023-03-10 03:00:00	SENT
Learning & Resources		RFI689401	P3	2023-03-10 00:00:00.0	2023-03-11 00:00:00	DRAFT
		RFI694704	P2	2023-03-13 00:00:00.0	2023-03-13 12:00:00	SENT
Dashboard		RFI696613	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
MIS		RFI696705	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
œ		RFI696819	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
Digital Signature Registration		RFI699215	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	DRAFT

12. RE user should select the record with status 'Draft' and click on 'Review Request' as shown in the image below.

ណ	FINGate 2.0 > I	RFI/RFAI					
	Show only I	Request for Suprassed	l Response Due Date 🗆				
My View	Priority	-	Status	▼ Requestdate	Clear	Search	Search
PO Enrolment		Request Id	Prior	rity Rating	Request Date	Response Due Date	Request Status
<u>1</u>		RFI689280	P3		2023-03-10 00:00:00.0	2023-03-11 00:00:00	SENT
My Reports		RFI689282	P1		2023-03-10 00:00:00.0	2023-03-10 03:00:00	SENT
Learning & Resources		RFI689401	P3		2023-03-10 00:00:00.0	2023-03-11 00:00:00	DRAFT
		RFI694704	P2		2023-03-13 00:00:00.0	2023-03-13 12:00:00	SENT
Dashboard		RFI696613	P2		2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
MIS		RFI696705	P2		2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
		RFI696819	P2		2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
Digital Signature Registration		RFI699215	P2		2023-03-14 00:00:00.0	2023-03-14 12:00:00	DRAFT
	20 Entries o	Showing 1 to 8 of 8 en	tries.				< 1 >
REV REAL	Review Request						() t

13. To send request back to the FIU-IND user, click on 'Submit button as shown in the image below.



विशिव आसूचना करूक Financial Intelligent MINISTRY OF FINANCE	- VIRT LIGO UNIT - India E, GOVERNMENT OF INDIA	ate 2.0				A- A A+	≥ ⁽¹⁵⁹	Hello! Rita update Kumari New
ណ	FINGate 2.0 > RFI/RFAI							
Mr. View	@ Back					Request ID : INI	FB1234H Pr	iority : P1
<u>\$</u>	Review FIU Request							
PO Enrolment	Requested Input							
⊥ My Reports	Row Entity Type ID	Entity ID	Lea Case Reference ID	Name	Passport	Account Number	Branch Name	Mobile Number
Learning & Resources	○ 701 Organization	0				0		0
Dashboard MIS	Query From FIU Classified message from	n FIU-IND will be seen here	2					•
Digital Signature Registration	Response O Submit entire report as Ni	IL						
My Reports	ID							
Learning & Resources	○ 701 Organization ♥	0				0		0
Dashboard	4							•
MIS	Query From FIU Classified message from	n FIU-IND will be seen here	2					
Digital Signature	Response							
Registration	 Submit entire report as NI 	IL						
RFI/RFAI	Respond with data							
	No. Of Entities	No. Of KYC	No. Of Accounts	No. Of Transa	ctions	No. Of Account Satements		
	1	0	2	0		0		Enter Data
	Comment							
	Choose File No file chose	ien						
				Submit	t			
Sitemap Disc	claimer		Copyright 2019 FIU-IN	D. All Rights Reserved.				(Line)

14. On clicking 'Submit' the response will be sent to FIU-IND user and status should be changed to 'Sent' as shown in the image below.



1 Home	FINGate 2.0 > RFI/RF/	м				
€Ξ My View	Show only Reques	t for Suprassed Response Due D	ate 🗆	_		_
a contraction of the second se	Priority	Status	Requestdate	Gear Doguest Date	Search	Search Dogwood Status
1.		RFI689280	P3	2023-03-10 00:00:00.0	2023-03-11 00:00:00	SENT
My Reports	0	RFI689282	P1	2023-03-10 00:00:00.0	2023-03-10 03:00:00	SENT
Learning & Resources		RFI689401	P3	2023-03-10 00:00:00.0	2023-03-11 00:00:00	DRAFT
Dashboard		RFI694704	P2	2023-03-13 00:00:00.0	2023-03-13 12:00:00	SENT
MIS		RFI696705	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
Digital Sonature		RFI696819	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SDAT
Registration	0	RFI699215	P2	2023-03-14 00:00:00.0	2023-03-14 12:00:00	SENT
RFI/RFAI	20 Entries ¢ Showin	g 1 to 8 of 8 entries.				< 1 →
	Review Request					() ()



3 Annexures

3.1 Acronyms and Abbreviations

Sr. No.	Acronym	Definition			
1.	A/C	Account			
2.	AML	Anti-Money Laundering			
3.	API	Application Programming Interface			
4.	ATM	Automated Teller Machine			
5.	CBDT	Central Board of Direct Taxes			
6.	CBWT	Cross Border Wire Transfer (transaction)			
7.	CBWTR	Cross Border Wire Transfer Reports			
8.	CCR	Counterfeit Currency Report			
9.	CDD	Customer Due Diligence			
10.	CIN	Company Identification Number			
11.	CTR	Cash Transaction Report			
12.	DQR	Data Quality Report			
13.	DSC	Digital Signature Certificate			
14.	FAQ	Frequently Asked Questions			
15.	FCRN	Foreign Company Registration Number			
16.	FLLPIN	Foreign Limited Liability Partnership Identification Number			
17.	FINCore	Financial Intelligence Network Core			
18.	FINex	Financial Intelligence Network Exchange			
19.	FINGate	Financial Intelligence Network Gateway			
20.	FINnet 2.0	Financial Intelligence Network 2.0			
21.	FIU-IND	Financial Intelligence Unit, India			
22.	FIUREID	FIU Reporting Entity ID			
23.	FRS	Functional Requirement Specifications			
24.	GoS	Grounds of Suspicion			
25.	GST	Goods and Services Tax			
26.	GSTIN	Goods and Services Tax Identification Number			
27.	GUI	Graphical User Interface			
28.	IRDA	Insurance Regulatory and Development Authority			
29.	IFSC	Indian Financial System Code			
30.	IPR	Immovable Property Report			
31.	IBO	Intermediate Beneficiary Owner			
32.	KPI	Key Performance Indicator			
33.	КҮС	Know Your Customer			
34.	LEA	Law Enforcement Agency			
35.	LLPIN	Limited Liability Partnership Identification Number			
36.	LMS	Learning Management System			
37.	MCA	Ministry of Corporate Affairs			
38.	MIS	Management Information System			
39.	MMID	Mobile Money Identifier			



Sr. No.	Acronym	Definition
40.	MSP	Managed Service Provider
41.	MTSS	Money Transfer Service Scheme
42.	NPCI	National Payments Corporation of India
43.	NTR	Non-Profit Transaction Reports
44.	PAN	Permanent Account Number
45.	PMLA	Prevention of Money Laundering Act
46.	PO	Principal Officer
47.	PTR	Property Transaction Reports
48.	RE-TAD	Reporting Entity Technology Assessment Document
49.	RE	Reporting Entity
50.	RFP	Request for Proposal
51.	RBI	Reserve Bank of India
52.	SEBI	Securities and Exchange Board of India
53.	SMS	Short Message Service
54.	SRS	System Requirement Specifications
55.	STR	Suspicious Transaction Report
56.	UBO	Ultimate Beneficiary Owner
57.	UCC	Unified Communication Centre
58.	UTR	Unique Transaction Reference Number
59.	XML	eXtensible Markup Language
60.	UML	Unified Modelling Language
61.	VPA	Virtual Payment Address