

Completing and submitting Suspicious Activity Reports (SARs) using SAR Online

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SOCA Officer

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SERIOUS ORGANISED CRIME AGENCY



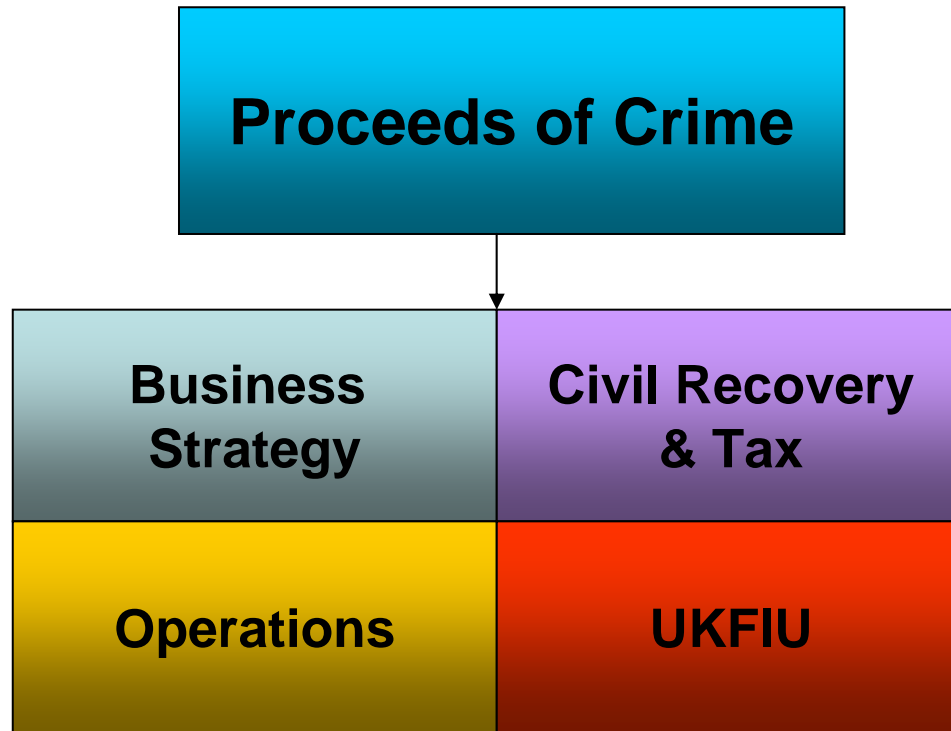


Please note

The names Chestnut Frames and Peter Jones used in this presentation are fictitious and intended for training purposes only. Any similarity to real persons or companies is completely coincidental.

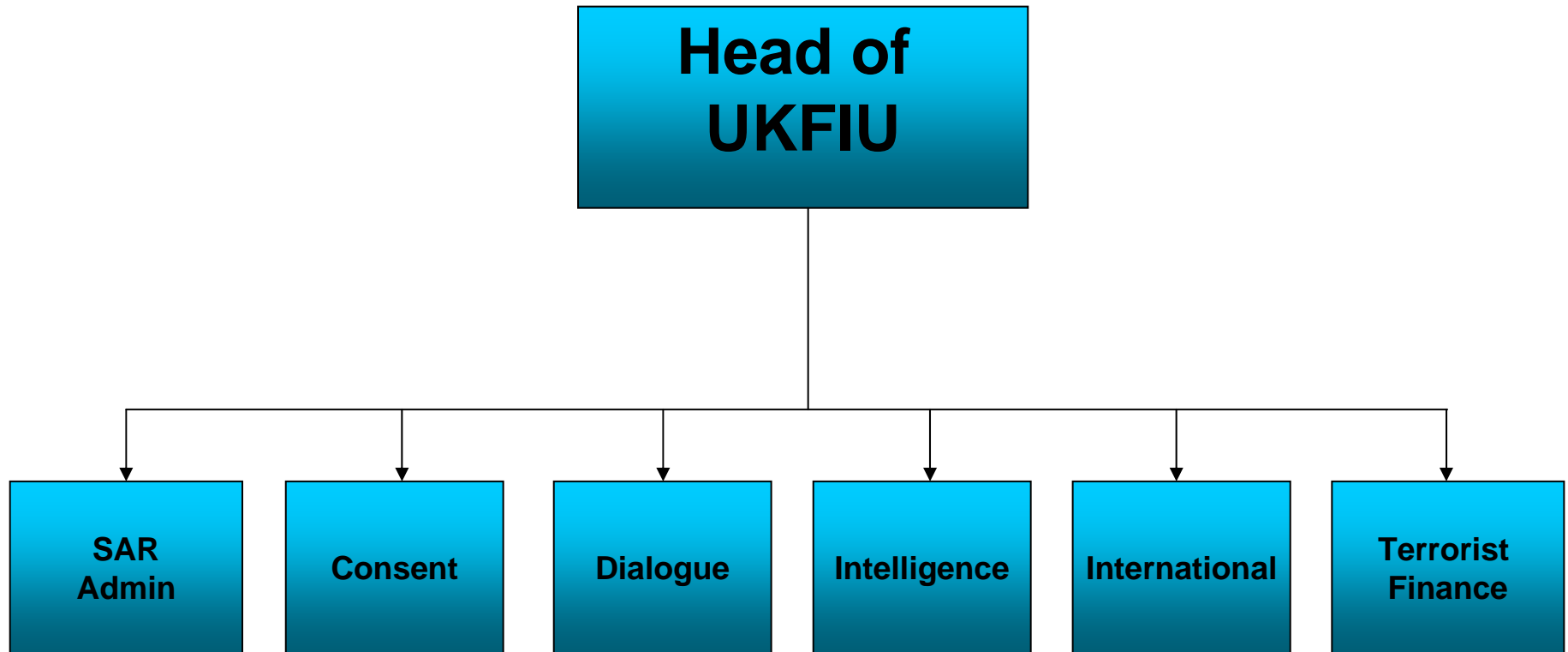


Proceeds of Crime





UKFIU Structure



NOT PROTECTIVELY MARKED

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Objectives of this session

To raise awareness of SAR Online

To inform the submission of Suspicious Activity Reports (SARs) via SAR Online





www.soca.gov.uk





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PROCEEDS OF CRIME



SOCA is responsible for dealing with financial information concerning suspected proceeds of crime in order to counter money laundering

- ▶ Proceeds of Crime Structure
- ▶ Legislation
- ▶ Terrorist Finance
- ▶ Suspicious Activity Reports (SARs)
- ▶ Obtaining consent

ORGANISED CRIME



Organised crime covers a very wide range of activity and individuals involved in a number of crime sectors

- ▶ Drug Trafficking
- ▶ Organised Immigration Crime
- ▶ Individual & Private Sector Fraud
- ▶ Money Laundering

RECRUITMENT



Joining SOCA means joining an organisation that is at the forefront of tackling organised national and transnational crime.

- ▶ Intervention
- ▶ Enforcement
- ▶ Corporate Services [Vacancies]
- ▶ Intelligence
- ▶ Diversity & Equal Opportunities

NEWS AND UPDATES

SOCA was launched by the Prime Minister on Monday 3 April 2006.
[More here](#)

Thursday 20th April.
Sir Stephen Lander's report on the review of the SARs regime can be found [here](#)

SOCA has commenced Sector Specific Seminars for Money Laundering Reporting Officers
[more here](#)

RELATED LINKS

- ▶ Police
- ▶ Home Office Organised Crime
- ▶ ~~How to complain about SOCA~~
- ▶ **Submit a Suspicious Activity Report**
- ▶ Child Exploitation and Online

SOCA

SERIOUS ORGANISED CRIME AGENCY





Welcome to the SOCA SAR Online System

This website is designed for use by those entities required by the Proceeds of Crime Act 2002 and the Terrorism Act 2000 to submit appropriate Suspicious Activity Reports (SARs) to SOCA. This online system is designed to allow SARs to be constructed and submitted in a secure and efficient manner. By removing the need to complete, post or fax paper-based forms and through the removal of existing certification processes that are required by some of the existing electronic reporting methods, it is hoped that SAR ONLINE will be suitable for use by those reporting entities which have historically utilised those methods.

IT IS VERY IMPORTANT THAT, BEFORE USING THE WEBSITE, YOU READ THE FOLLOWING EXPLANATORY TEXT. FAILURE TO DO SO MAY RESULT IN MANY OF THE FACILITIES BEING UNAVAILABLE TO YOU OR YOUR COLLEAGUES. THE EXPLANATORY TEXT DESCRIBES THE STRUCTURE OF THE SITE, THE STEPS TO BE FOLLOWED FOR THE KEY PROCESSES AND THE DIRECTION OF USERS TO OTHER USEFUL INFORMATION. PLEASE ALSO READ AND ACTION ANY APPROPRIATE INSTRUCTIONS AS DETAILED WITHIN THE TECHNICAL DETAILS WHICH WILL ENSURE THAT YOU MAKE OPTIMUM USE OF THE SITE THROUGH, FOR EXAMPLE, THE CORRECT SET UP OF YOUR BROWSER SPECIFICATION.

THE PROCESS

The following describes the procedural steps that are to be taken by users. Specific details are provided on each page throughout these stages.

1. REGISTRATION





New User Registration

Important: As your email address is used as part of the activation process, if you inadvertently enter and confirm an incorrect email address, this part of the process will be unsuccessful. Therefore one potential reason for non-arrival of an activation code to your email address may be that your address was entered incorrectly. Please therefore exercise care at this stage.

Email *

Confirm Email *

Enter disguised code: *



NEW USER REGISTRATI
Enter the ema
address that y
would like to r
with to use thi
system.

You must also
the disguised
code that app
the image. Th
test to disting
between a hu
a computer. I
security meas
designed to re
automated att
the system.

Reporting Institution Registration

REPORTING INSTITUTION DETAILS

Reporting Institution Name *	<input type="text" value="collinsward"/>
Type *	<input type="text" value="Accountant"/>
Regulator *	<input type="text" value="Association of Certified Chartered Accountants"/>
Regulator ID	<input type="text" value="123456"/>
Professional / Trade Body	<input type="text" value="Institute of Chartered Accountants for England and Wales"/>
Professional / Trade Body ID	<input type="text"/>
Additional Information / Comments (max 255 characters)	<input type="text"/>

REPORTING INSTITUTION REGISTRATION

The following data is key to ensuring that we hold accurate and useful data about your Reporting entity. Therefore, please enter the details of your organisation and the relevant people to contact within the organisation in these fields, as comprehensively as possible. There may be circumstances where these details are not those of the person completing the form.

Once you have submitted your registration you will be provided with two activation codes. The first within

MAIN CONTACT DETAILS

Surname *	<input type="text"/>
Forename *	<input type="text"/>
Position *	<input type="text"/>
Address 1 *	<input type="text"/>
Address 2 *	<input type="text"/>



Success

Your application for registration to use this system has been successful

Below is Activation Code 1.

THIS CODE WILL ONLY APPEAR ON THIS SCREEN AND WILL BE LOST IF YOU LEAVE THE SCREEN. IT MUST THEREFORE BE RECORDED ACCURATELY AND SECURELY UNTIL REQUIRED. IT CANNOT BE OBTAINED AT A LATER DATE AND THEREFORE THE FAILURE TO RECORD IT ACCURATELY NOW WILL MEAN THAT THE REMAINDER OF THE PROCESS CANNOT BE COMPLETED. Activation Code 2 has been sent to the email address that you entered on the New User Registration Page. You should therefore access the appropriate Inbox to obtain the required data.

Both Codes will be required for the next stage - ACTIVATION.

Activation Code 1: **Y7u5gA (YANKEE SEVEN uniform FIVE golf ALPHA)**

This code should be retained until activation has been successfully completed. It can then be discarded as it will serve no further purpose.

The activation code above will expire 7 days from now. If you allow the code to expire your registration will be discarded, and you should complete the registration process again.



Success

Your application for registration to use this system has been successful

Below is Activation Code 1.

THIS CODE WILL ONLY APPEAR ON THIS SCREEN AND WILL BE LOST IF YOU LEAVE THE SCREEN. IT MUST THEREFORE BE RECORDED ACCURATELY AND SECURELY UNTIL REQUIRED. IT CANNOT BE OBTAINED AT A LATER DATE AND THEREFORE THE FAILURE TO RECORD IT ACCURATELY NOW WILL MEAN THAT THE REMAINDER OF THE PROCESS CANNOT BE COMPLETED. Activation Code 2 has been sent to the email address that you entered on the New User Registration Page. You should therefore access the appropriate Inbox to obtain the required data.

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The activation code above will expire 7 days from now. If you allow the code to expire your registration will be discarded, and you should complete the registration process again.





Activate / Re-Activate Your Account

Reminder: It is important that the Activation Codes provided for this section are accurately used in order to ensure the success of this process.

Enter Email Address

*

Enter Activation Code 1

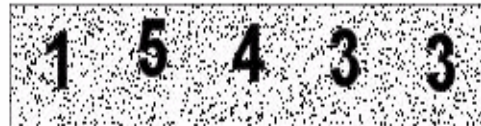
*

Enter Activation Code 2

*

Enter disguised code

*



Activate

Cancel

ACTIVATE / REACTIVATE ACCOUNT

Important reminder
- Please take care when keying the activation codes. Each part of the code must be replicated in the exact manner as they were advised. Both parts of the Activation Code are case sensitive and deliberately contain a combination of lower & upper case characters and numbers. Each Activation Code should be 6 characters in length



SAR Online

- Register using an email address
- Activation Code 1 provided on screen
- Activation Code 2 sent to the email address
- Account activated using Codes 1 and 2
- Password created
- Log-in
- Complete and submit SAR



SAR Online - Advantages

- SARs can be marked 'shared' or 'private' to an individual user
- Once a report is submitted an acknowledgement is sent via email containing unique reference number
- Help text available on every page
- Errors highlighted with explanatory messages
- Pop-up tool tips available on certain pages
- SAR Online is free and secure




Microsoft Internet Explorer provided by CSS

es Tools Help

Search Favorites Media

sociu.gov.uk/(tvrboxvb4uhnu5snycdz2255)/SAR_Pages/SAR_Header.aspx

Go Links



SOCA
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e, Coleridge & Son (test data)] soca.gov.uk | Home | SAR List | User Administration | Log Out | Information | FAQ

[step 1] HEADER	step 2 MAIN SUBJECT	step 3 ASSOCIATED SUBJECT	step 4 TRANSACTION	step 5 REASON / SUBMIT
----------------------	------------------------	------------------------------	-----------------------	---------------------------

SAR Header

Your Reference: *

SAR Type: *

SAR Creation Date: * - -

Related Disclosure IDs:

Consent Required:

Reporting Institution: *

Branch/Office/Outlet: * or

SAR Access Level: *

When you have completed this page, proceed to step 2.

A SAR consists of five steps. To complete the SAR, move from Step 1 through to Step 5 following the instructions on each page.

SAR HEADER
Please enter the introductory details about the SAR.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.

Please remember to save your work as you go along.

© Copyright SOCA Serious Organised Crime Agency. All rights reserved 2006. **Session Timeout:** 18:11:1

Internet

Internet Network H... 11826 on 'Netsrv04... SAR Header deta... SAR Online untitled - Paint 14:53





[step 1]
HEADER

step 2
MAIN SUBJECT

step 3
ASSOCIATED SUBJECT

step 4
TRANSACTION

step 5
REASON / SUBMIT

SAR Header

Your Reference: *

SAR Type: *

SAR Creation Date: * - -

Related Disclosure IDs:

Consent Required: *

Reporting Institution: *

Branch/Office/Outlet: * or

SAR Access Level: *

When you have completed this page, proceed to step 2.

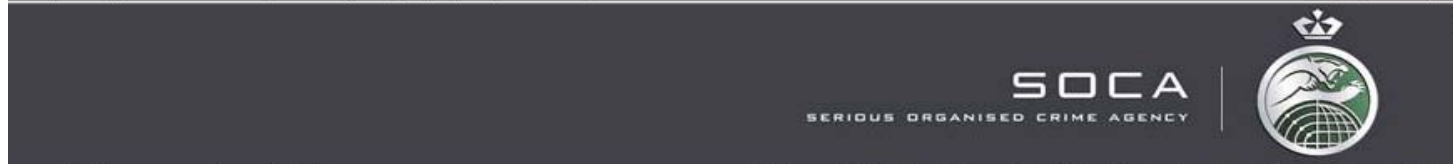
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More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.

Please remember to save your work as you go along.





step 1
HEADER

[step 2]
MAIN SUBJECT

step 3
ASSOCIATED SUBJECT

step 4
TRANSACTION

step 5
REASON / SUBMIT

PERSON
Firstly complete the Person Subject details.

What do you know about the Main Person?

Subject Status:

Surname: * JONES

Forename:

Other names:

Title:

Date of Birth: - -

Gender: * Male

Occupation:

Save Save and Exit

Do you have Addresses or Additional Information for this Person ? If not, proceed to step 3 .

Add Address Add Info

step 3 >>

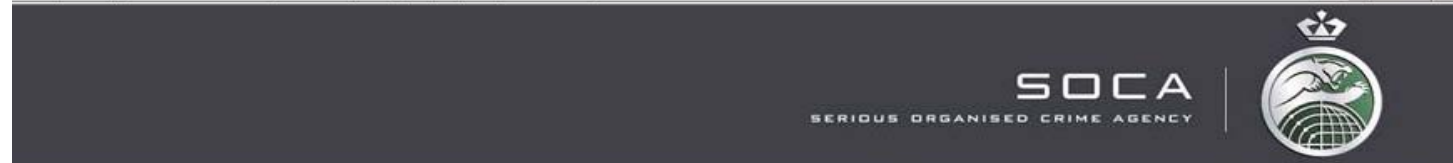
You can then add any addresses and/or additional information for this person.

When all the subject information has been entered, proceed to the next step.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.

Please remember to save your work as you





step 1
HEADER

[step 2]
MAIN SUBJECT

step 3
ASSOCIATED SUBJECT

step 4
TRANSACTION

step 5
REASON / SUBMIT

PERSON
Firstly complete the Person Subject details.

What do you know about the Main Person?

Subject Status:

Surname: *

Forename:

Other names:

Title:

Date of Birth: - -

Gender: *

Occupation:

Save Save and Exit

Do you have Addresses or Additional Information for this Person ? If not, proceed to step 3 .

Add Address Add Info

step 3 >>

You can then add any addresses and/or additional information for this person.

When all the subject information has been entered, proceed to the next step.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.

Please remember to save your work as you





step 1 HEADER [step 2] MAIN SUBJECT step 3 ASSOCIATED SUBJECT step 4 TRANSACTION step 5 REASON / SUBMIT

ADDRESS Complete the Address details using the field help.

You can then add further addresses and/or additional information for this subject.

When all the subject information has been entered, proceed to the next step.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.

Please remember to

Enter the address details

House Number/Name:

Street:

City/Town:

City/Town/County:

Country:

Post Code: *

Address Type: *

Current Address:

Save Save and Exit

Do you have another Address or additional Information for this Subject ? If not, proceed to Step 3 .

Add Another Address Add Info step 3 >>



ciu.gov.uk/(tvrbxvb4uhnu5snycedz2255)/SAR_Pages/SAR_Information.aspx

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e, Coleridge & Son (test data)] soca.gov.uk | Home | SAR List | User Administration | Log Out | Information | FAQ

step 1
HEADER

[step 2]
MAIN SUBJECT

step 3
ASSOCIATED SUBJECT

step 4
TRANSACTION

step 5
REASON / SUBMIT

INFORMATION
Complete the Information details using the field help.

Once completed you should click the 'Save' button to save the details. If you wish to add further pieces of information you should click the 'Info' button to complete the necessary details. Using this process you can then add further information records and/or additional addresses for this subject.

When all the subject information has been entered, proceed to the next step.

Enter the information details

Information Type: *

Unique Information Identifier: *

Extra Information Description: (max 255 characters)

Any further relevant details. You can type up to 255 characters in this field.

Save Save and Exit

Do you have any further Information or an Address for this Subject ? If not proceed to Step 3 .

Add More Info Add Address step 3 >>





step 1

HEADER

step 2

MAIN SUBJECT

[step 3]

ASSOCIATED SUBJECT

step 4

TRANSACTION

step 5

REASON / SUBMIT

LEGAL ENTITY

Complete the Legal Entity details.

You can then add any addresses and/or additional information for this legal entity, or add another Associated Subject.

When all the subject information has been entered, proceed to the next step.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.

Please remember to save your work as you go along.

What do you know about the Associated Legal Entity?

Subject Status:

Legal Entity Name:

* Chestnut Frames

Legal Entity Number:

VAT Number:

Business Type:

Country of Registration:

Reason for association:

Save

Save and Exit

Do you have Addresses or Additional Information for this Legal Entity, or another Associated Subject ? If not, proceed to step 4 .

Add Address

Add Info

Add another Subject

step 4 >>





step 1
HEADER

step 2
MAIN SUBJECT

step 3
ASSOCIATED SUBJECT

[step 4]
TRANSACTION

step 5
REASON / SUBMIT

What are the details of the Transaction?

Date: - -

Amount: Currency: *

Credit/Debit: * Type:

Notes:
(max 1000 characters)

What are the details of this subject's Account?

Account Holder:

Account Number:

Institution Name:

Sort Code:

Date Opened: - - Date Closed: - -

Account Balance: Balance Date: - -

Turnover Credit: Turnover Debit:

Turnover period:

TRANSACTION(S)

You may enter multiple transaction records. When this is done, proceed to Step 5.

If you are entering multiple transactions with the same Account details you can copy the previous transaction's account details using the 'Copy Previous' buttons.

Credit/Debit, Currency and Type are only mandatory when other transaction details are entered on this page.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.

Please remember to



step 1 step 2 step 3 [step 4] step 5
HEADER MAIN SUBJECT ASSOCIATED SUBJECT TRANSACTION REASON / SUBMIT

What are the details of the Transaction?

Date: 17 - 09 - 2008
Amount:
Credit/Debit: * **Credit** Currency: * **GBP**
Type: * **Cheque**
Notes: (max 1000 characters)

What are the details of this subject's Account?

Account Holder: JONES
Account Number: 5006032
Institution Name: Nat West
Sort Code: 205658
Date Opened: Date Closed: Balance Date: Turnover Debit: Turnover Credit: Turnover period:

TRANSACTION(S)
You may enter multiple transaction records. When this is done, proceed to Step 5.

If you are entering multiple transactions with the same Account details you can copy the previous transaction's account details using the 'Copy Previous' buttons.

Credit/Debit, Currency and Type are only mandatory when other transaction details are entered on this page.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.



View/Edit Reason for Suspicion/Knowledge

We act as accountants for Chestnut Frames, following a routine visit we were informed that numerous sums of cash in settlement of accounts due to the company had been paid to a staff member. Mr Jones had then met this individual to take the cash from him. A list of customer debts suggests that funds in the region of £60,000 may have been diverted from the company in this way.

We have also been informed that Mr Jones has instructed customers of the company to pay other amounts by cheque to him personally and not the company. Our suspicions are that fraud may have been committed by the subject on the company.

(max 8000 characters)

View/Edit Report Activity Assessment

- Drugs
- Missing Trader, Inter Community (VAT) fraud
- Immigration
- Tobacco/Alcohol Excise Fraud
- Personal Tax Fraud
- Corporate Tax Fraud
- Market Abuse Directive

Save

Save and Exit

Delete this SAR

When you have completed this page, proceed to the SAR submission page.

Submit SAR >>

enter 8000 characters in this field. When you are satisfied that Steps 1-5 have been completed fully, press 'Submit SAR'. You will be able to view a summary of the SAR, Print and Save a local copy before finally submitting to SOCA.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the field label only.



Limited Intelligence Value Reports

[step 1]
HEADER

step 2
MAIN SUBJECT

step 3
ASSOCIATED SUBJECT

step 4
TRANSACTION

step 5
REASON / SUBMIT

A SAR consists of five steps. To complete the SAR, move from Step 1 through to Step 5 following the instructions on each page.

SAR Header

Your Reference:

*

SAR Type:

*

SAR Creation Date:

* - -

Related Disclosure IDs:

Consent Required:

Reporting Institution:

*

Branch/Office/Outlet:

* or

SAR Access Level:

*

Save

Save and Exit

SAR HEADER

Please enter the introductory details about the SAR.

More detailed help is available via tooltips. To access this information simply hold your cursor over the field or field label. Alternatively, Javascript enabled users can double-click the field label. Note that help for dropdown lists is available on the



Summary

- Asterisks denote mandatory fields
- Save information regularly to prevent data loss
- Reports should be made as soon as suspicion is aroused
- The 'Consent Required' box must be ticked on Step 1 when consent is required
- Provide a full subject name and DOB where available
- A Trading name should be provided if different from the registered Company name
- Provide current addresses and postcodes where possible
- All other additional information (in appropriate fields) will enhance the analysis and value of this data



CONTACT DETAILS

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Email: ukfiu@soca.x.gsi.gov.uk



Questions?

