



Website user guide

Part 5 Correspondence With the FIU

FIU Latvia version 3.0.0

Last change: *01.06.2023.*

The document is intended for users of the Latvia's Financial Intelligence Unit's website at <https://goaml.fid.gov.lv>. This part of the manual describes receiving requests and other documents from the Financial Intelligence Service and sending replies.

The document will be modified following the changes in the functionality of the goAML system and in other cases if such a need arises from the point of view of data analysis or legislation.

In case of questions, we invite you to contact us via info.goAML@fid.gov.lv.

FIU-LV revision	Date	Author	Explanation
1.0.0	22.09.2021	FIU	Initial version of the document covering the receiving of messages from the Financial Intelligence Unit and replying to the received requests.
1.1.0	05.10.2021	FIU	Correction regarding the use of DRF reports when replying to FIU orders.
2.0.0	24.07.2023	FIU	<ol style="list-style-type: none">1. Updated information and visuals on goAML web application user interface in accordance with the newest goAML version 5.2;2. Added information on classifier "Transaction sector".
3.0.0	01.06.2024	FIU	Updated information and visuals on goAML web application user interface in accordance with the newest goAML version 5.4.

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1 Introduction

This guide is intended for users of the <https://goaml.fid.gov.lv> website (“Website”) who, in accordance with the [Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing](#) (“Law”), use this Website in order to respond to the requests of the Financial Intelligence Unit of Latvia (“FIU”).

The FIU provides Website users with the following manuals:

1. User Registration
2. User Account Management
3. Transactions in goAML
4. Reporting
5. **Other Correspondence with the FIU (this document)**

2 Receiving FIU messages and documents in goAML

The Law provides for several occasions on which the FIU contacts the subjects of the Law (“Obligated entities”) and other goAML users. In a common case, the FIU sends requests for information to Obligated entities in accordance with Article 31.⁴ (2) of the Law¹ and other information related to freezing orders issued by the FIU in accordance with Articles 32.¹ and 32.²

The documents sent by the FIU are received in the **Message Board**.

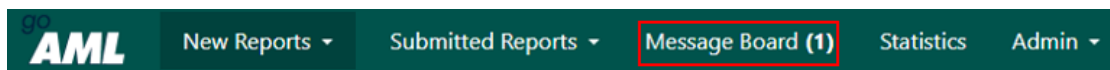


Figure 1. This is how the notification of new (unread) message from the FIU appears on the main menu bar.

At the same time, to ensure timely notification of the users regarding new messages in the Message Board, automated emails are sent to the reporting entity’s email address. This email does not include the content of the request, but only a notification.

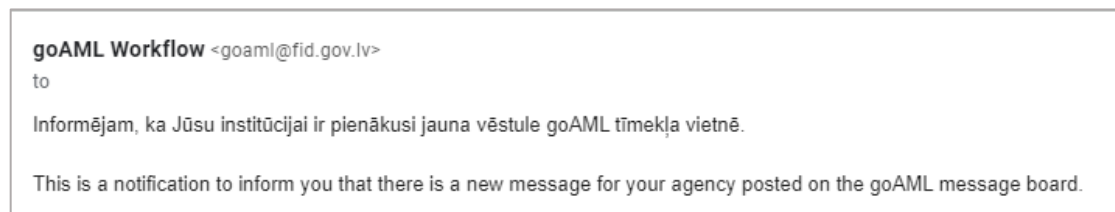


Figure 2: The message in the notification email.

To view the message or document sent by the FIU, login to the goAML website, open the

¹ Here and hereinafter – all the references to the Law on the Prevention of Money Laundering and Terrorism and Proliferation Financing are made to the version in force.

Message Board and the message, download the received documents and, if necessary, file them in the reporting entity's record-keeping system.

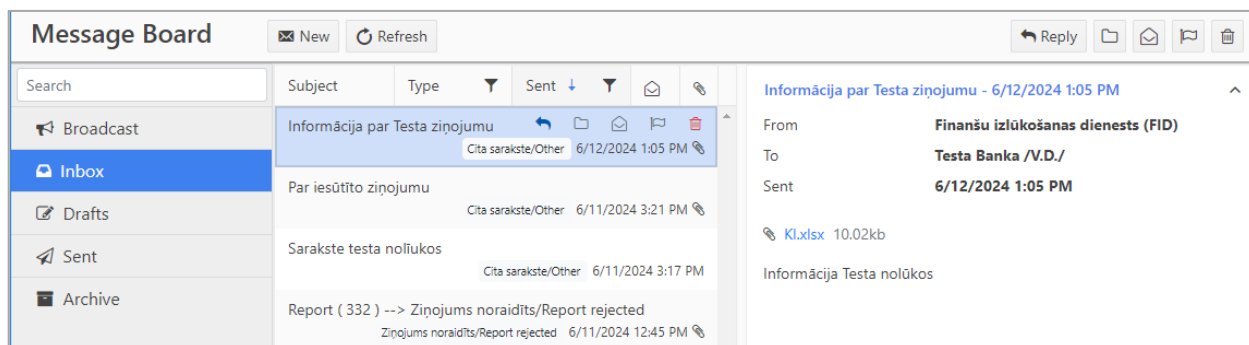


Figure 3. The goAML Message Board

3 Submission of information and documents to the FIU

When replying to the FIU requests or orders, use the reporting functionality of the Website (section “New Reports”) and choose the report type “DRF – Response File to FIU Request”. For the description of the website reporting interface, see Part 4 of the user guide “Reporting”.

DRF report is a STR type of report that requires at least one transaction. The transaction may be either *Bi - party* (a transaction with exactly two parties) or *Multi-party* (a transaction with one or more parties). Therefore, efforts should be made to provide transaction information in a structured manner as complete as possible.

If the request is only for information on a natural person/legal entity/account, add one *Multi-party* transaction with the transaction type “DUMMY” (meaning a non-existent transaction) and include the requested object as the transaction party with the corresponding information available.

For example, if the request is for information on the beneficial owner of an account, add the account as the transaction party along with the information on the account holder and its beneficial owner.

If the FIU requests information about a legal entity, but it is found that the entity is linked to an account, then the transaction party in the response report is the account with the requested entity as the account holder.

For all the parties included in the response report a general rule applies: if the party is a client of the reporting entity, include the party as “My client”, e.g., “Account (My Client)”.

When replying to a FIU order, include a *Multi-party* transaction of type “DUMMY” with the concerned account/person/entity as the transaction party. The information regarding the execution of the FIU order, including the execution dates, must be entered “Report Justification” field of the main report form.

For other type of communication and correspondence, use the Message Board functionality,

similar to traditional email clients:

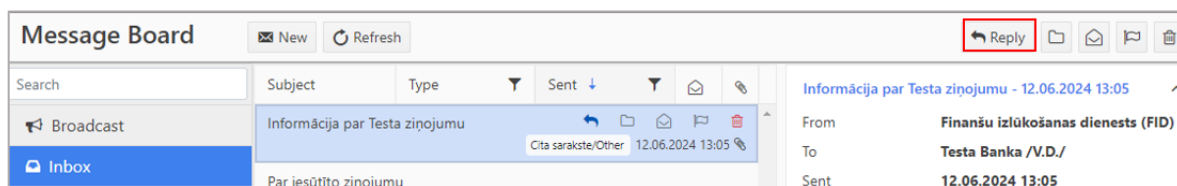


Figure 4. In the Message Board, after a message is selected, the message contents opens on the right side of the window. To reply to the message, press "Reply".

The screenshot shows the "Send Message" window. At the top, there are buttons for "Send" (with a red "5." next to it), "Save as Draft", and "Cancel". Below these are input fields for "Subject *" (containing "1."), "Ref. Num.", "Priority" (set to "Normal"), and "Type *" (containing "2."). A large text area for "Message *" contains the word "Text" and a red "3.". At the bottom, there is a "Select attachments for upload..." section with a "4. Select files" button and a "drop files here to upload" area.

Figure 5. In the Message Board, pressing "Reply" or 'New' opens the "Send Message" window in which you can specify the subject (1), choose message type (2), enter the message text (3) add attachments (4), and send the message (5), just as in a traditional e-mail application. Reference number is optional field.

It is possible to create new folders in the "Message board" and organize the division of received messages into folders.

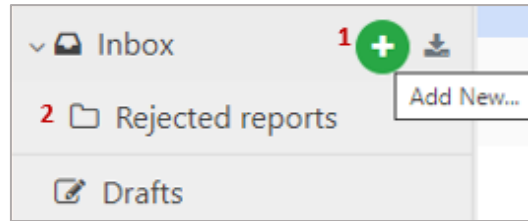


Figure 6. Creating a new folder. New created folder “Rejected reports”

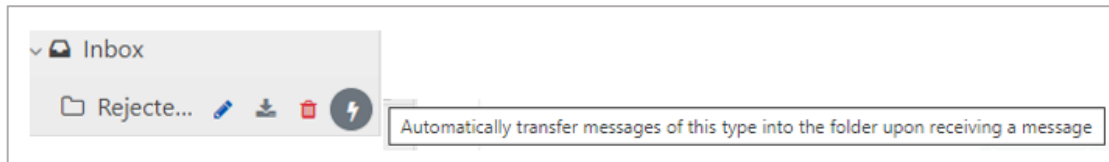
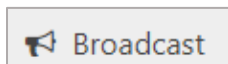


Figure 7. Option to set conditions for filling the new folder



The mail section **Broadcast** is intended for sending information from the FIU Latvia to all goAML users or to a specific group of reporters. It is not possible to reply to it and the message will remain as unread for a certain number of days (for example, 7 days).

3.1 What to take into account when replying to requests and orders

When replying to a FIU request or order, choose the report type “DRF – Response File to FIU Request”.

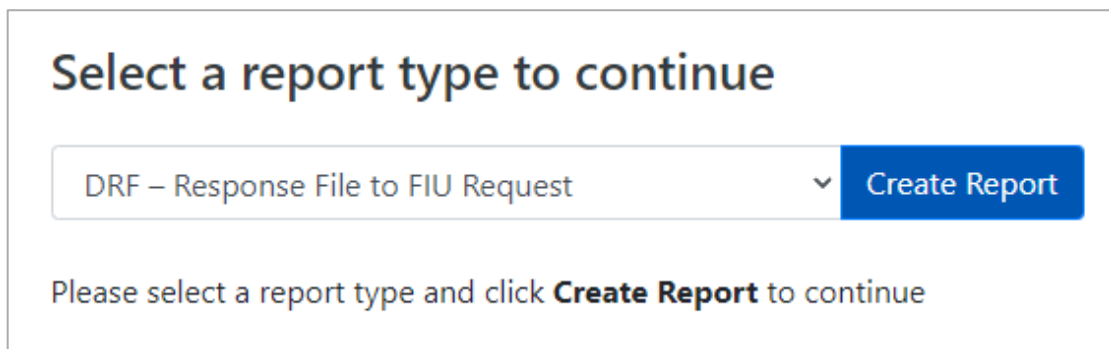


Figure 8. Choose the DRF report type.

The response report must contain both the number assigned to the document by the reporting entity (**Reporting Entity reference**) and the number of the FIU request or order (**Reference to FIU document**). Both fields are located in the main report form. **Rejected Report Ref Number** we invite users who populate XML files with data outside goAML to indicate the number of the previous rejected report (the system automatically populates it only for goAML reports that we’re created through Web Report form).

DRF – Response File to FIU Request

Local Currency Code: **EUR** Reporting Entity: **AS Lielā banka/M.P.C./** Entity ID: **2227** Report ID: **48678-0-0**

* Report Date:

Previously Rejected Report Ref N...:

* Reporting Entity Reference:

* Reference to FIU document:

Figure 9. An example with the reference fields filled in.

Use the “Report Justification” field for a written descriptive response. The character limit for the field is 8000, which is about two average A4 pages of text.

The response report must include the BATB indicator (“Providing the information and documents to FIU”). If the response is related to matters discussed within the cooperation coordination group (“CCG”), the BSKG indicator has to be added. The Web Report form lists only the indicators that are applicable to the DRF report.

DRF – Response File to FIU Request

Indicators

Select Indicators from the table below.

<input type="checkbox"/>	Code ↑	Indicator
<input checked="" type="checkbox"/>	BATB	BATB – Providing the information and documents to FIU
<input type="checkbox"/>	BSKG	BSKG – Report related to matters discussed within the CCG

Figure 10. The Indicators Form. In the DRF reports, the indicator BATB is mandatory.

Since the DRF type report is based on the STR type report, it requires at least one transaction. The transaction may be either *Bi - party* (a transaction with exactly two parties) or *Multi-party* (a transaction with one or more parties).

If the response does not require transaction information, add a Multi-party transaction of type “DUMMY” (a pseudo transaction), set the transaction amount to zero and date to 1/1/1900.

DRF – Response File to FIU Request

Transaction

* Number
TRNWEB-4434-03.07.2

M/d/yyyy
01.01.1990

* Transaction Amount in EUR
0

Internal Reference Number

* Status is required!

Location

* Darījuma veids
DUM – DUMMY

* Transaction sector is required!

Financial sector
Non-financial sector

Agent Name

Transaction sector details

Purpose of Transaction as Stated in the Transfer Form

Additional Comments about the Transaction and Transaction Status

+ Address

Involved Parties

Account Account (My Client)
Person Person (My Client)
Entity Entity (My Client)

Figure 11. If the response does not require transaction information, add a Multi-party transaction of type "DUMMY", set the transaction amount to zero and date to 1/1/1900.

From now on reporting entities and individuals are obliged to provide information on the sector where transaction was carried out (see explanation below) and status of the transaction. For "DUMMY" transactions the transaction status should be selected as "Other", but the Transaction Sector should be adapted to the context of the message or response.

Financial sector – financial service provider such as credit institutions, payment service providers, life insurance service providers and others.

Non-financial sector – legal service providers, auditors, tax consultants, real estate brokers and others.

3.2 Reports After Submission

The submitted DRF-reports can be monitored and accessed together with other submitted reports from the main menu section "Submitted Reports" which is divided depending on the submission type.



Figure 12. The Web Reports are the ones that are submitted by filling-out an online form. The XML Reports are created and submitted as XML files.

Report Key	Report Type	Last Updated By	Created On	Entity Name	Transactions	Entity Ref No. Rejected	Status	Submitted On	Days before Cleanup
50179-0-0	DRF - DRF - Respon...	karlistest	11/23/2023	Finanšu izlōko...	1	dddd...	2 - archived - accepted	11/23/2023	
50178-0-0	DRF - DRF - Respon...	karlistest	11/23/2023	Finanšu izlōko...	1	dddd...	3 - archived - invalid structure	11/23/2023	
50163-0-0	DRF - DRF - Respon...	karlistest	11/22/2023	Finanšu izlōko...	1	asdas...	X - Transferred From Web	11/22/2023	
50124-0-0	DRF - DRF - Respon...	karlistest	11/16/2023	Finanšu izlōko...	1	asddd...	3 - archived - invalid structure	11/16/2023	
49827-0-0	DRF - DRF - Respon...	FIDadminMPC	10/25/2023	Finanšu izlōko...	1	VP-20...	2 - archived - accepted	10/25/2023	
49826-0-0	DRF - DRF - Respon...	FIDadminMPC	10/25/2023	Finanšu izlōko...	1	awdawd	2 - archived - accepted	10/25/2023	
49801-0-0	DRF - DRF - Respon...	FIDadminMPC	10/23/2023	Finanšu izlōko...	2	awd	2 - archived - accepted	10/23/2023	

Figure 13. The Report List with the submitted DRF type reports and their statuses, filtered by the column "Report Type".

Please note that the column "Days before Cleanup" are shown days before the current report will be deleted and inaccessible from the web interface.

Note concerning the quality assessment of the DRF reports

The FIU does not intend to carry out a quality assessment of the submitted DRF reports. Only for new reporting entities that just have started using goAML, reports with major deficiencies will be rejected.