



Standard XML Reporting Instructions and Specifications for goAML Adapted Version for FIU Switzerland

Version CH 2.0



Revision History

| Rev | Date | Description | Author |
|--------|--------------|---|---------------------------|
| CH 2.0 | January 2024 | Adaptation of FIU Switzerland document version CH 1.1.6 to comply with xsd schema version 5 | MROS (FIU Switzerland) |

Notes on the contents of the manual

The adaptations in XSD Schema 5 enable a more standardized transmission of information between the reporting entities (RE) and MROS.

Adjustments have been made at the transaction and account levels in particular, which will improve the quality of the transmissions and thus the analysis of the data.

Not all sectors will require the same adjustments, as MROS has structured the requirements specifically to the reported information, which generally reduces past “N/A” information in the new schema.

Chapters 1 - 5 present and discuss background information on the adjustments in the new Schema 5.

Chapters 6 - 8 illustrate the specific adjustments at the XSD level and used lookups. In addition, all nodes activated within the MROS are described.

For quick recognition, certain relevant sections have been coloured **yellow**.

Important (but not conclusive) focal points of the changes to goAML Scheme 5

- Adjustments to the permitted **report types per RE sector** ([Chapter 3.1](#))
- In Switzerland, reporting entities report suspicious business relationships. This can be specified again at the report level in goAML 5. At report level, the **number of reported business relationships** must be specified numerically under Additional Information. ([Chapter 3.2](#); [Chapter 6.1](#); [Business Rule Chapter 6.1.1](#))
- Information on the requirements for the cancellation notifications (**CANCL/CANCT**). ([Chapter 3.4](#))
- **New structure of information at transaction and account level**, which standardises the allocation of information. ([Chapter 3.5](#), (Table 3); transactions: [Chapter 6.3](#); account: “my client” [Chapter 7.1](#), “not my client” [Chapter 7.2](#))
- Bi-party transactions between a Reported Subject and a counterparty (not_my_client) only contain available information at the account level on the counterparty side. The account holder information is only added as an account comment. **No structured specification of account holders is required in the "account_not_my_client" node.** ([Chapter 3.5.1](#); [chapter 7.2](#))
- For better standardisation of transaction information, the **Transaction_mode** has been **replaced by the Transaction_type lookup** now used in goAML 5. This helps to better sign off the type of transaction. ([Chapter 8.6](#)) A detailed list of possible bi-party transaction types can be found in Table 11 in [chapter 6.3](#).
- **New assignments of entities in account roles.** It is now possible to report entities as such if they have other roles as contracting parties in an account relationship ([chapter 3.5.3](#)).
- New standard for labelling **attachments**. ([Chapter 3.6](#))

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- Dealing with **unavailable information**. ([Chapter 3.7](#))
- Schema 5 now offers the option of automatically rejecting reports if important structural information is missing or incorrect. This function is known as **asserts**. ([Chapter 6.1.2](#); [chapter 6.2.1](#)) In future, the network of asserts will be expanded by MROS; these will be created in accordance with the communicated guidelines and communicated through the established information channels.

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2. Summary

The purpose of this specifications document is to provide IT-personnel of reporting entities (RE) with the requirements and conditions for creating compatible XML files using the provided XSD schema for the different supported report types. This manual is not intended for goAML users that want to file a report via web forms. To do the latter, please consult the goAML Web manual available on the following web page:

<https://www.fedpol.admin.ch/fedpol/de/home/kriminalitaet/geldwaescherei/meldung.html>

The version number of the XSD schema file and of this document will always be in sync for easier referral.

A report file contains the following information which can be represented in the goAML Client after uploading and verifying the XML file:

- Basic information about the report
- Where does the money come from?
- Where does the money go to?
- Who conducted the transaction?
- Was the transaction related to a property transfer?
- Who reported the transaction(s)? (Optional)
- What was the reason for the report and which actions have been taken?
- In multi-party transactions, list of all involved parties and their respective roles in the transactions

This document will provide a reference to the schema, nodes and types as well as the lookup tables for enumeration values. (e.g., Country Codes). This document is based on the original Version 5.0 provided by UN-EAC and reflects the needs of the FIU Switzerland.

3. Important general information

This document explains the requirements and specifications of the XSD schema as defined by MROS for reporting entities. It is valid from **January 1st 2025** onwards. It amends and replaces all previous versions. Amendments on a smaller scale at a later date are not excluded. However, any such adjustments would be communicated ahead of time.

Legal requirements that have to be met by reporting entities while filing a report are defined in the relevant articles of the [MROS-Ordinance](#) (see notably article 3). This document describes in detail, where appropriate, how some of those requirements have to be met on a technical basis. Data transmitted to MROS within reports that do not observe the requirements described hereafter or with a structure that does not meet the technical specifications will be rejected.

Technical requirements and specifications are divided into two different categories. The first category is exposed in this chapter. It is related to general principles that have to be met by reporting entities while filing a report, such as, for instance, which type of technical report or which type of information has to be submitted, according to the type of activities conducted by the reporting entity, or else, how enclosed documents have to be structured, etc. The second category is exposed in the chapters 6 and 7. It is related to the various specifications of each node and field of the XSD schema, such as format requirements, mandatory information, or specific business rules and asserts.

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3.1 Overview: type of reports

According to Swiss laws and ordinances, reporting entities are confronted with different duties to report to MROS. Within goAML, specific report types have to be selected accordingly. In goAML there is a fundamental distinction between transaction (STR, AIFT, CANCT) and activity reports (SAR, AIF, CANCL). Only transaction reports contain structured transaction data. Activity reports do not. The following table gives an overview of the different report types and of their use.

| Report Type | Definition | Use for reporting entities |
|--------------|---|---|
| STR | Suspicious activity report <i>with transaction(s)</i> | <ul style="list-style-type: none"> - Suspicions of money laundering or terrorism financing etc. on the basis of Art. 9 para. 1 lit. <i>a or c</i> AMLA or Art. 305^{ter} para. 2 of the Swiss Criminal Code (SCC), <i>as a general rule</i> (please see table 2 for further details). - Reports issued by Supervisory authorities and supervisory organizations based on Art. 16 para 1 or on Art. 27 para 4 AMLA. |
| SAR | Suspicious activity report <i>without transaction(s)</i> | <ul style="list-style-type: none"> - Suspicions of money laundering or terrorism financing etc. on the basis of Art. 9 para. 1 lit. <i>a or c</i> AMLA or Art. 305^{ter} para. 2 of the Swiss Criminal Code (SCC) <i>for some financial intermediaries</i> (please see table 2 for further details). - Suspicions of money laundering or terrorism financing etc. on the basis of Art. 9 para. 1 lit. <i>b</i> AMLA (termination of negotiations aimed at establishing a business relationship). - Suspicions of money laundering or terrorism financing etc. based on Art. 9 1^{bis} AMLA (<i>dealers</i> according to Art. 8a AMLA reporting suspicions raised in the course of a commercial transaction). - Suspicions of money laundering or terrorism financing etc. on the basis of Art. 9 para. 1 lit. <i>a or c</i> AMLA or Art. 305^{ter} para. 2 of the Swiss Criminal Code (SCC) for operations over the counter for which no client information is available according to Art. 51 and Art. 51a FINMA Anti-Money Laundering Ordinance (please refer to section 3.5.2 below). |
| AIFT | Additional information report <i>with transaction(s)</i> | <ul style="list-style-type: none"> - Response to requests of MROS based on Art. 11a para. 1 and 3 AMLA or Art. 11a para. 2 resp. 2^{bis} and 3 AMLA, <i>where transactional information has been requested</i> (see section 3.3). - Addendum to a STR filed at the same time containing additional suspicious transactions, if the number of transactions to be reported exceeds 100. - Submission of additional information to a SAR/STR that has already been submitted within 40 working days of the date of receipt indicated on the receipt confirmation of the original report to MROS, based on Art. 9b AMLA, <i>with transaction(s) information</i>. |
| AIF | Additional information report <i>without transaction(s)</i> | <ul style="list-style-type: none"> - Response to requests of MROS based on Art. 11a para. 1 and 3 AMLA or Art. 11a para. 2 resp. 2bis and 3 AMLA, <i>where no transactional information has been requested</i> (see section 3.3). - Submission of additional information to a SAR/STR that has already been submitted within 40 working days of the date of receipt indicated on the receipt confirmation of the original report to MROS, based on Art. 9b AMLA, <i>without transaction information</i>. |
| CANCT | Report pursuant to the termination of a business relationship <i>with transaction(s)</i> | <ul style="list-style-type: none"> - Notification of the termination of a business relationship pursuant to art. 9b AMLA <i>with at least one specific transaction</i> (see section 3.4). |
| CANCL | Report pursuant to the termination of a business relationship <i>without transaction(s)</i> | <ul style="list-style-type: none"> - Notification of the termination of a business relationship pursuant to art. 9b AMLA <i>without specific transactions</i> (see section 3.4). |

Table 1: Overview: Definition of the report types for reporting entities

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Financial intermediaries conduct different types of activities. The type of report they have to select when reporting to MROS does not only depend on what has to be reported according to law (as described in the previous table), but also from a technical point of view on the type of activities conducted by the reporting entity. The major difference is related to the requirement to report suspicious transactions in a structured way or not (e.g., STR vs. SAR report type). The following table shows an overview of requirements applied to the different types of financial intermediaries. Details about these requirements are provided below ([see sections 3.2 to 3.5](#)).

| Type of report | Type of financial intermediary | |
|----------------|---|---|
| | Banks, Money Transmitters, Virtual Assets Service Providers (VASP) | All others (for instance Credit-/Debit card providers, Fiduciaries, Trustees, External asset managers, Casinos, Insurances, dealers according to Art. 8a AMLA, etc.). |
| STR |  (max. 100 suspicious transactions; no suspicious date range) |  |
| SAR |  (only Art. 9 para. 1 lit. b AMLA or for 'over the counter' operations where no client information is available Art 51 or 51a FINMA-Ord) |  (observe reported subject/Counterparty; linked bank accounts needed) |
| AIFT |  (max. 1,000 transactions per report, suspicious date range upon request MROS possible) |  |
| AIF |  (as an answer to MROS, only when no transactions have been asked) |  |
| CANCT |  (transactions only for relevant in- / outflows) |  |
| CANCL |  |  |

Table 2: Overview of report types for different categories of financial intermediaries or for dealers*

* Some specific conditions might apply to distinct types of businesses / activities. Those specificities are referred to hereafter under dedicated sections. The present table only sums up the overall requirements.

Important remarks:

In this document, the term “VASP” stands for “Virtual Asset Service Providers”. This terminology refers to financial intermediaries who provide services in relation to Virtual Assets such as exchangers, wallet providers or trading platforms.

3.2 General requirements related to STR/SAR report types

The report types STR/SAR are dedicated to reporting suspicions of money laundering or terrorism financing based on art. 9 para. 1 lit. a, b or c AMLA or art. 305^{ter} para. 2 of the Swiss Criminal Code (SCC). It is also dedicated to dealers reporting suspicious activities accordingly to art. 9 1^{bis} AMLA or to supervisory authorities and organizations reporting suspicions accordingly to art. 16 para 1 or art. 27 para 4. AMLA.

The following general provisions have to be respected for both STR and SAR report types:

- As a matter of principle, reporting entities shall report business relationships. Therefore, all active accounts of a reported business relationship must be recorded in an STR or SAR-report type. The number of business relationships reported, must be recorded in the designated field “additional information” on report level ([see 6.1](#)).
- The reports may involve multiple business relationships as long as these relationships are related to and relevant for the issue to be reported.
- A statement of assets in PDF format must be submitted as an attachment for all accounts (e.g., fiat, securities, virtual assets) of a reported business relationship.
- Additional documents according to OMLRO art. 3 such as opening documents, KYC, any media reports, etc. must also be submitted as attachment (see below, [section 3.6](#), for specific technical requirements);

3.2.1 In principle, reporting entities should report their suspicions with STR report type

As a general rule, reporting entities are requested to file reports containing suspicious transactions. Thus, the STR report type must be selected wherever possible.

The following general provisions apply:

- If multiple business relationships are reported in the same report, at least one (suspicious) BiParty transaction must be recorded per reported business relation (see below, [section 3.5.1](#)).
- Within the same business relationship, further accounts and/or securities accounts of the reported business relation(s) as well as additional information concerning natural or legal persons may be recorded by means of so-called MultiParty transaction (see below, [section 3.5.1](#) point B);
- Suspicious transactions have to be selected carefully and must be directly relevant to the reasons that raised the suspicions. For instance, all suspicious transactions mentioned as a reason for suspicion must also be recorded as structured transaction data.
- If none of the transactions on the accounts of the reported subject deems to be specifically suspicious, the reporting entity has to record the most important in- and outflow of funds.
- The reported transactions should not be chosen with a date range approach (= “all transactions between Date X and Date Y are suspicious”).
- Financial intermediaries are requested to refrain from transmitting transactions relating to account maintenance fees and charges, balancing fees, interest credits, etc.
- A maximum of **100 suspicious transactions** may be recorded and transmitted per STR; On rare occasions, when more than 100 transactions should be submitted, the reporting entity must discuss the exact submission procedure with MROS **in advance**; in most cases, the suspicious transactions exceeding this number will have to be submitted by the way of an additional report of type AIFT (see [section 3.3](#)).

3.2.2 Exception to the general rule: cases in which a report type SAR has to be chosen

The report type SAR has to be chosen only in the following circumstances:

- A) By all financial intermediaries: to report suspicions of money laundering or terrorism financing etc. accordingly to **art. 9 para. 1 lit. b AMLA** (termination of negotiations aimed at establishing a business relationship).
- B) By all reporting entities other than banks, money transmitters and Crypto businesses (VASP): to report suspicions of money laundering or terrorism financing etc. accordingly to art. 9 para. 1 lit. a or c AMLA or art. 305^{ter} para. 2 of the Swiss Criminal Code (SCC).
- C) By dealers according to art. 8a AMLA reporting suspicions of money laundering or terrorism financing etc. raised in the course of a commercial transaction based on art. 9 para. 1bis AMLA.
- D) By all financial intermediaries: to report suspicions of money laundering or terrorism financing etc. accordingly to art. 9 para. 1 lit. a or c AMLA or art. 305^{ter} para. 2 of the Swiss Criminal Code (SCC) for over-the-counter operations where no client information is available according to Art 51 or 51a FINMA-Ord.

These circumstances and the principles that do apply to each of them are described in the following lines.

In such cases, all details of the natural and legal persons or entities involved in the reported business relationship must be reported in the Activity node using the “my client” option (see below [section 3.5.2](#)).

A) *Termination of negotiations aimed at establishing a business relationship*

In such cases, no suspicious transaction has occurred and no transaction has to be recorded. All reporting entities should therefore use SAR-report types.

B) *By all reporting entities other than banks, money transmitters and Crypto businesses (VASP)*

This affects in particular the following reporting entities:

leasing institutes, casinos, life insurance providers, debit / credit card providers, external asset managers, fiduciaries, precious metal dealers, etc. Since the reasons that lead to suspicion of these reporting entities do not usually relate to the transactions that took place with them (e.g., payment of the initial leasing amount or the monthly instalments), but rather to the suspicious origin of the funds invested by the customer, these reporting entities should use a SAR report type. If payments (e.g., monthly instalments) have been made via bank accounts, those accounts must be recorded as accounts (counterparty “not my client”), including all details available to the reporting entity. The specific provisions that have to be met for such reports are described in the table “Objects in report types without transactions” (see below [section 3.5.2](#)).

C) *Dealers according to art. 8a AMLA reporting suspicions based on art. 9 1^{bis} AMLA.*

In such cases, the reporting dealer will fill in a SAR report type, and refer to the specific provisions applying to such reports (see [section 6.9](#)).

D) *Over the counter operations where no client information is available according to Art 51 or 51a FINMA-Ord.*

3.3 General requirements related to AIFT/AIF report types

The difference between the AIF and the AIFT report types is that the AIFT will contain transactions. An AIF is based on the same logic as a SAR whereas an AIFT is based on the STR logic. The information must be filled in, either in the ‘Transactions’ node for an AIFT report or in the ‘Activity’ node for an AIF report.

To determine if an AIF or an AIFT has to be submitted, reporting entities will rely on the type of information that has to be provided. If they want to report details about transactions, then an AIFT is requested. This will also be the case if they respond to a MROS request asking for transaction information, etc. Financial intermediaries that do not belong to the categories Bank, Money Transmitter or VASP do not have to file AIFT reports.

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The report types AIFT/AIF are dedicated to following circumstances:

- A) Submission of a response to requests for further information issued by MROS based on art. 11a para. 1 and 3 AMLA or art. 11a para. 2 resp. 2^{bis} and 3 AMLA.
- B) Submission of additional suspicious transactions to a STR if the number of reported transactions **exceeds 100**.
- C) Submission of additional information to a SAR/STR that has already been submitted within 40 working days of the date of receipt (date indicated on the receipt confirmation of the initial report to MROS), based on art. 9b AMLA. Otherwise, a new SAR/STR must be submitted.

The following general provisions have to be respected for AIFT/AIF report types:

- Transactions which have already been submitted to MROS previously (for instance within a STR) **must not be submitted again** via an AIFT report. A transaction must only be transmitted to MROS once.
- For AIFTs, and, if needed, for AIFs, the corresponding account statement containing all (requested) transactions must be attached as a PDF.
- The number of transactions in AIFTs is strictly limited to 1'000. Submissions exceeding this number should be split into multiple AIFTs so that none of the AIFTs exceeds the strict limit. In such cases, the reporting entity should contact MROS in advance.
- If MROS requests additional information from the reporting entity based on art. 11a para. 1 and 3 AMLA, an initial report to MROS already exists (e.g., SAR or STR). In this case, the MROS's reference number assigned to the initial report must be recorded in the Ref. no. MROS (fiu_ref_number) input field of the AIFT/AIFT ([see Section 3.2](#)).
- In the case of MROS requesting additional information based on art. 11a para. 2 resp. 2^{bis} and 3 AMLA, the reference number that MROS indicated in its request for the disclosure of information must be entered in the input field Ref. no. MROS (fiu_ref_number).
- The indicators, in the web input mask to be found in the tab 'Report type/suspected predicate offence(s)/factor(s) arousing suspicion/type of attachments' must be completed mandatorily. For the three categories "M" (Report type), "V" (suspected predicate offence(s)) and "G" (factor(s) arousing suspicion), the selection options art. 11a para. 1 and 3 AMLA or art. 11a para. 2 resp. 2^{bis} and 3 AMLA should be selected in each.
- Replies to requests for information resp. requests from MROS pursuant to art. 11a AMLA that are sent via goAML Message Board will be rejected.

3.4 General requirements related to CANCT/CANCL report types

The report types CANCT/CANCL are dedicated to reporting the termination notices based on art. 9b AMLA. According to this legal provision, financial intermediaries are allowed, under certain conditions, to terminate a business relationship that has previously been the subject of a suspicious activity report (SAR/STR). If they do so, they have to inform MROS without delay. This provision does not apply to business relationships indicated in reports whose information has already been transmitted to a law enforcement authority. The content of such termination notices of a business relationship is determined in art. 3 para. 1^{bis} of the Ordinance on the Money Laundering Reporting Office (OMLRO). For this purpose, the CANCL (without transaction) or CANCT (with transaction) report type should be selected.

From a technical point of view, it is optional to document the credit/debit of significant assets in the context of the termination of the business relationship (art. 3 para. 1^{bis} OMLRO) by means of transactions (CANCT report). Such withdrawal (or deposits) of significant assets might indeed never have taken place (e.g., if there were already no assets left in the business relationship at the time of the suspicious activity report). The terminated business relationship can therefore be reported to MROS by means of a CANCL report (without transactions – analogous to the SAR report) or, if necessary, by means of a CANCT report where any withdrawal of significant assets in the context of the termination of the business relationship can be reported by means of BiParty transactions. Additionally, for accounts without transactions or with zero balance as well as already closed accounts (without suspicious transactions), MultiParty dummy transactions should be entered.

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The following general provisions have to be respected for CANCT/CANCL report types:

- Reporting entities that do not have to file STRs according to [section 3.2.2](#), are requested to choose CANCL-report types exclusively to notify the termination of a reported business relationship.
- Any withdrawal of significant assets in the context of the termination of the business relationship must be documented by means of account statements attached to the report. This provision applies regardless of the report type.
- The termination of several business relationships may be reported at the same time in one termination notice, but only if they were originally reported under the same suspicious activity report (SAR/STR).
- As for the indicators, the codes **0024M**, **1207V**, **2103G** and **3023B** must be selected in the submenu "Report type / suspected predicate offense / factor(s) arousing suspicion / type of attachments".
- The reference number of the related previous report in which the terminated business relationship has been reported to MROS (e.g., STR-00021x) must always be entered in the field ref. No. MROS (fiu_ref_number). Only the reference number itself must be entered without any additional text such as "MROS Ref" (e.g., STR-123456).
- No matter if report type CANCL or CANCT was chosen, the node "account_my_client" has to be selected for all closed accounts and all details of said account must be provided.
- Closed account info must contain closing date, zero balance and account status "closed".

3.5 General requirements related to object information of related persons, entities, accounts in relation with report and transaction types

In all report types including transactions (STR, AIFT, CANCT), objects (namely persons, accounts, entities) are logically linked to specific transactions. Therefore, the information related to those objects will be delivered in a way determined by the relation between each of these objects and specific transactions. In report types without transactions (SAR, AIF, CANCL), information related to objects will be delivered directly in relation to the report and distinguished only between reported subject (t_account_my_client; t_person_my_client; t_entity_my_client) or "Other" (e.g., related subject or counterparties for instance for the account funding a reported credit card).

The object "account" is a general term for all sort of numbers that identify the sender or recipient of funds. For example, it can be a classic account number at a bank, an IBAN, a cellphone (e.g., for TWINT-payments), a virtual wallet or crypto address or even an email address. Important is that all such numbers, reported as "my_client" are categorized using the two lookups [8.22 account category](#) and [8.3 account type](#).

The object "person" is used for all natural persons while the object "entity" is used for any type of legal entity as described in section [8.11 entity legal form](#).

This section describes the logic according to which this object-related information has to be seized and the major requirements that have to be met, for both types of report categories (with or without transaction(s) respectively in both sections [3.5.1](#) and [3.5.2](#)).

At a very general level, please note that all relevant objects (natural persons / legal entities) that have a role in relation with a reported business relationship are to be recorded.

3.5.1 Objects in report types with transactions (STR, AIFT, CANCT)

In report types with transactions (STR, AIFT, CANCT), a distinction is drawn between two different types of transactions: the BiParty transaction (see letter A below) and the MultiParty transaction (see letter B below). The MultiParty transaction is in fact a functionality, which is used in transaction type reports to report objects that aren't directly connected to effective transactions. Hence, MROS requires all real transactions to be registered as BiParty transactions.

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A) Bi-Party transactions

BiParty transactions correspond to commonly-known transactions, where two parties are involved (the sender and the receiver of funds). Logically, BiParty transactions are composed of a source (From) and a destination (To). The source and destination may each either be the reported subject or a counterparty and, depending on the type of transaction, each may be an account, a person or an entity (see below, [section 6.3](#)).

In a BiParty transaction, at least one of the parties will be the client of the reporting entity. Therefore, it is mandatory to seize at least one party of a BiParty transaction as “my client”. As a rule, and according to legal requirements, reporting entities will generally have very extensive information about their clients, much less about the counterparty of a BiParty transaction. For instance, they wouldn’t know the balance on the “not my client” account. Hence, the amount of information that has to be provided for “my client” parties is higher. This materializes in the higher number of mandatory fields for “my client” objects (persons, entities, accounts).

The following general provisions apply for BiParty transactions:

- MROS considers a party as reported according to law only if it has been consistently marked as “my client”.
- Please note that in the nodes `t_entity_my_client`, `t_account_my_client` and `t_person_my_client`, only a “**Reported subject**” should be entered while in the sections `t_entity`, `t_account` and `t_person` the counterparty should be entered even if that person, account or entity is also a customer of the reporting entity (but is not suspicious / is not reported).
- As a general rule, the information provided on counterparties should be limited to what the reporting entity knows. So, for example, if a reported transaction is a transfer between two bank accounts, the information related to the counterparty will be limited to an account “not my client”. The account can be a normal bank account number, an IBAN, a wallet or even a phone number (e.g., for TWINT-payments) or any other number that helps to identify the counterparty of such a transaction.
- If the “not my client” side of a transaction is an account, all available information must be provided at account level. Information regarding the account holder (person or entity) and - if available - an address must be placed in the **account-commentary**. No additional person or entity should be created in relation with this account.
- If both sides of a transaction are reported (for instance, because a transaction occurs between two reported accounts), both sides of the transaction have to be marked as “my client” and the relevant information (account holder and signatory details, address info etc.) must be provided on both sides of the transaction and the further relevant objects (persons, entities) relating to persons or entities that have a relation to the account (beneficial owner etc.) must also be provided.
- On the counterparty side (either from or to) of a transaction, no correspondent bank or omnibus accounts should be recorded, but exclusively the effective accounts and or party of origin or destination (be it on the sender’s as well as on the receiver’s side).
Exception: If a reported suspicious transaction directly involves an omnibus (collection) account either on the sender or on the end beneficiary side, then this account must also be recorded.
- Some specific rules define whether the party of a transaction is an account, an entity or a person. Please refer to [section 6.3](#).
- Whenever a transaction involves bank accounts, the field BIC/SWIFT is mandatory on both sides of the transaction. If no BIC/SWIFT is known or the account holding bank does not have a BIC/SWIFT, any other unique identifier will do (SIC, Routing-Nr., BSB etc.). **“N/A” information in this field is not accepted.**
- On transaction level, the field “`transaction_description`” is used to provide details of the transaction such as payment reason (e.g., “loan agreement”), location of the use of the debit card or any other useful information pertaining to this transaction.

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B) MultiParty functionalities in transaction reports

MultiParty transactions are defined as transactions in the logic of goAML, but represent rather single objects such as accounts, persons or entities than transactions in a strict sense. MultiParty transactions are used in the following situations:

- If information related to persons, entities or accounts involved in the report must be provided and if those objects aren't directly involved in transactions as one of the counterparties. For instance, this can be an (active or already closed) account for which no suspicious transactions are reported. This can also be a person or an entity, for example the head of a criminal organization, which is identified by the reporting entity in connection with a reported business relationship and named in the statement of facts, but is not involved formally in any of the reported business relationships. The reporting entity may decide to enter details about this person as an additional involved person or entity using the MultiParty functionality in goAML.
- In CANCT reports, the MultiParty transaction must be used for accounts that were reported in the initial report, were subsequently closed but did not have any relevant closing transactions such as a transfer to or from another financial intermediary.

The following general provisions apply for MultiParty transactions:

- Please note that for MULTIPARTY Dummy transactions the transaction amount must always be **CHF 0.00**, otherwise the transaction will be rejected by the system.
- In the MultiParty node, it is not specified whether an involved party is the source (From) or the destination (To counterparty) of the funds, but it is crucial to define their role. For this reason, a list of roles is available (see lookup [8.17 party role type](#)) and mandatory.
- A Multiparty transaction can't stand alone in a transactional report (STR; AIFT; CANCT) but holds supporting information only. Therefore at least one Bi-Party transaction must be present when a Multiparty transaction is reported.

3.5.2 Objects in report types without transactions (SAR, AIF, CANCL)

In all report types without transactions (SAR, AIF, CANCL), the reported parties are identified through the node t_activity. As of version 5.2, the logic of "my_client / counterparty" is now also available in an activity report. An account, a person or an entity that has to be reported must therefore be entered under an object on the "my_client" node (t_account_my_client, t_person_my_client or t_entity_my_client). Hence, for report types without transactions, at least one of the selected t_account, t_person or t_entity must be of type "reported subject" and therefore t_account_my_client, t_person_my_client or t_entity_my_client.

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| FI-Type | Object myClient (reported subject) | PartyRole (for my Client Node) | Object_not my client (accounts/persons linked to reported subject) | PartyRole (for not my Client Node) | Commentary |
|----------------------------------|--|-----------------------------------|--|--|---|
| Credit-/Debit cards ¹ | Account (Credit card) Field account : credit card nr. Field iban : credit card nr. Field swift/bic : gem. RE Detail Field balance : balance of card Field: account_comm Field: entary : Exp. Date of Card | Reported account | Account (Account linked to fund the credit card) Person (Holder of a credit card that was issued for an entity such as lorry drivers, representatives etc.) | Related account Beneficiary | Parties within the account_my_client can be an entity and/or one or multiple person(s) |
| Insurance | Person | Reported person | Account (linked to pay premiums) Person (Beneficiary of insurance policy) | Beneficiary | For not_my_client info, please provide as much info as available For beneficiary (person): minimum of name, first name, date of birth and nationality |
| Casinos | Person | Reported person | Person (any other person linked to the reported subject) | Person linked to main subject(s) | For not_my_client info, please provide as much info as available |
| Fiduciary | Person / Entity/ (Account*) *for accounts with founding capital | Reported person / entity | Account (linked to reported subject) Person (any other person linked to the reported subject) | Person linked to main subject(s) | For not_my_client info, please provide as much info as available |

¹ Credit and debit card providers should report their suspicions using a SAR report type only. It is important that the credit / debit card is reported as "myClient"-account (t_account_my_client), while the related bank account, which is used to fund the credit card is entered as well but as "t_account" only. Important remark: this specific provision does not apply for banking institutions that do report transactions of their clients conducted with debit or credit cards. For this type of activity, please see below, section 6.3

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| | | | | | |
|---|------------------------|---|--|----------------------------------|--|
| External Asset manager EAM / Investment advisor ² | Person / Entity | Reported person / entity | Account (managed Swiss accounts) Person (any other person linked to the reported subject) | Person linked to main subject(s) | For not_my_client info, please provide as much info as available If the managed accounts are not held in Switzerland, please provide a list of them with all details as appendix. |
| Securities firm / Foreign Exchange Trader / Attorney & Notary / Distributor of investment funds / Loan, leasing and factoring business / Other FI / Dealers (acc. to art. 8 AMLA) | Person / Entity | Reported person / entity* <i>*in exceptional case for Foreign Exchange Traders</i> | Person (any other person linked to the reported subject) | Person linked to main subject(s) | For not_my_client info, please provide as much info as available |
| Commodity and precious metal trader | Person / Entity | Reported person / entity | Account (Debit or credit card) to process the transaction Person (any other person linked to the reported subject) | Person linked to main subject(s) | For not_my_client info, please provide as much info as available |
| Currency Exchange | Person | Reported person | Account (Debit or credit card) to process the transaction Person (any other person linked to the reported subject or person with exception according to Art. 51 or 51a GwV-FINMA) | Person linked to main subject(s) | For not_my_client info, please provide as much info as available |

Table 3: Objects in report types without transactions

² External asset managers (EAM) should report their customer in the nodes person_my_client or entity_my_client with all the details of the customer and should additionally enter all Swiss accounts that are managed by the EAM in the node "account". At least the account number, bank information and the account holder - person and/or entity - should be depicted. Please note that managed accounts abroad (outside of Switzerland) should not be entered as account in the system but listed on a separate sheet and uploaded as attachment

3.5.3 Entity to entity relationship and depiction of trust structures

Although goAML 5 technically allows to enter one entity and then add another entity one level below (hence creating a relation between the two entities as shown in table 3 below), entities should always be depicted in relation to the reported account (as shown in table 4).

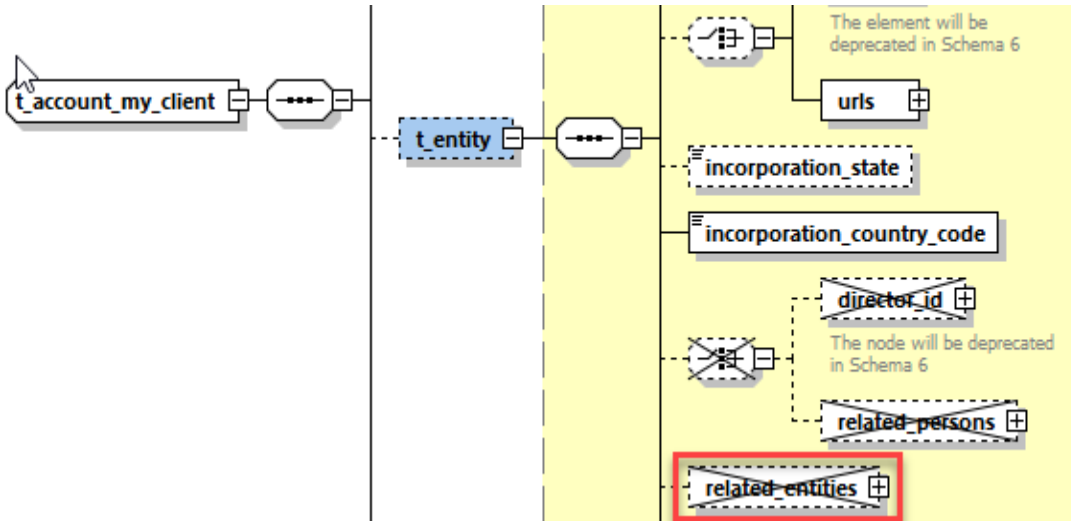


Table 4: Table of References

This means that within the reported account there is one entity reported as contracting party (node `t_entity`) while other(s) will be reported as related entity(ies) of the account (node `account_related_entity`), each of them depicted with the adequate account-entity-relation role. The same logic applies to other entities or persons that have a role within the account (e.g., power of attorney, trustee etc.). For category details please consult lookup [8.23 account entity relation type](#). If no applicable role is available, please chose “other” and describe the role of the entity in the `account_related_entity` commentary field.

The logic described above is especially important when depicting a trust structure that holds the reported account. goAML 5 allows more than one entity to be part of an account structure. This option allows it to depict a complete trust structure within the reported account. With goAML 4, as a workaround solution another than the account holding entity (contracting party) had to be entered in the `t_person_node`. It is therefore no longer necessary to add a multiparty transaction to the report that involves trust structures in order to give a complete overview of the trust.

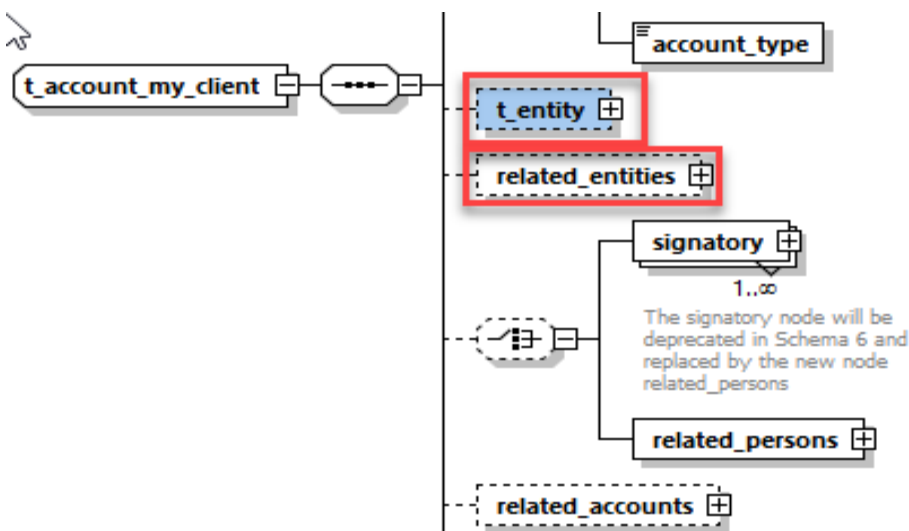


Table 5: Table of References

3.5.4 Multiple roles

goAML 5 allows depicting a person multiple times with different roles within the account. Since this option was not available with older versions of goAML, combined roles were created (e.g., contracting party & beneficial owner). These combined roles still have to be used and reporting entities are requested not to enter the same person more than once within the XML with different individual roles. For the various types of roles that a person can have within the account section, please refer to the lookup [8.15 account person role type](#).

3.6 General requirements related to attachments

While filing a report, reporting entities should ensure that all necessary attachments in accordance with the relevant legal requirements (Art. 3 OMLRO) or, if appropriate, documents requested by MROS have been uploaded. Not attaching all necessary documents to the report (e.g., asset overview/overview of all accounts and securities custody accounts belonging to the business relationship, including balance, any disclosure order(s) issued by prosecution authorities etc.) will lead to the report being rejected by MROS (as set out under art. 4 para. 1 OMLRO).

The following general requirements apply for attachments:

- Maximum size limit: The maximum size of the entire report is **300 MB** and **20 MB** per attachment.
- Naming convention for attachments: The attachments are to be labeled comprehensibly according to the content of the document

- o **not correct:** attachment 1, attachment 2, etc.;
- **correct:**
 1. opening documents - business relation X;
 2. account statement - account XY May 20-June 21;
 3. KYC - business relation X
press articles, etc.

- Text recognition: All mandatory enclosures according to art. 3 OMLRO have to be sent as PDF documents (with automated text recognition OCR). MROS reserves the right to reject reports if this is not the case.
- All attachments have to be free from password protection and / or encryption

3.7 Handling of missing information

Missing information must be handled following the general rules defined here:

- **Missing information in non-mandatory fields:**
 - If information for a non-mandatory field is unavailable, **leave the field blank** (do not enter "n/a", "unknown", "0", "X", or any other alternative value).
- **Missing information in mandatory fields:**
 - If information is unavailable for a mandatory field and if the field requests a value from a drop-down menu, use the item provided for this purpose, i.e., "-". If the field is not a drop-down menu enter "**n/a**" (but not "NA", "n.a.", "unknown", "null" or any other alternative text) for text, "**0.0**" for numeric, or "**1900-01-01**" for date fields.
- Please note that the BIC/SWIFT field must always be completed with a real value related to the name of the bank, "n/a" is not permitted (for further details please see section "Bi-party transactions" in [section 3.5.1](#)).


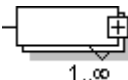



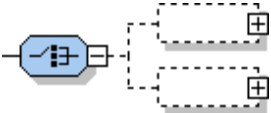

3.8 Miscellaneous

Code 2011G

Suspicious activity reports are often submitted due to a disclosure order of a prosecution authority. Nevertheless, the indicator “Information from prosecution authorities” (Code 2011G) is rarely selected. Please make sure to always select the correct indicator 2011G if applicable and to also add a copy of the underlying disclosure order issued by the prosecution authority to the attachments of the report.

4. Conventions used in this document

The following conventions are used in this document:

| Symbol | Description |
|---|---|
|  | Required field |
|  | Required, 1 to N values |
|  | Optional field |
|  | Optional sub node |
|  | Required sub node |
|  | Optional, but one of the two nodes should be provided |
| Integer | A 32 bit value |
| DateTime | A date value in the following format: YYYY-MM-DD (2006-03-25T11:55:00) |
| Date | The type date or sql_date is exactly the same format as this datetime however it restricts the input to contain a date with minimum value of year 1753. This is restricted as SQL databases do not allow for a date older than this year. |
|  | Sequence to sub nodes |

4.1 Format of tables

Within the tables we used different formats to define various meanings. The following table describes how to read the tables within the chapters 6 and 7.

| Format | Description |
|---------------------------|----------------------------|
| Normal | nothing special |
| <i>Normal cursive</i> | <i>Fixed value given</i> |
| Normal Bold | Mandatory Fields |
| Light Blue | Comment for following rows |
| Dark grey and bold | Table Header |
| Light green | Business Rule applied |
| Pink | Assert applied |

Please note that the inactive fields have been hidden in the web UI of goAML in most cases in order to improve the overall usability.

4.2 Remarks on Types entity, account and person

In the following chapters you will see a set of two types of **entity**, **account** and **person**:

- t_entity_my_client and t_entity;
- t_account_my_client and t_account;
- t_person_my_client and t_person.

The structure of the different types is similar. Therefore t_entity_my client has the same structure as t_entity; t_account_my_client the same as t_account and t_person_my_client the same as t_person. The difference can be within some restrictions, i.e., some nodes/fields which are not mandatory in “t_account” may be mandatory in “t_account_my_client”. These restrictions are defined by FIU Switzerland.

5. References

| ID | Document name | Description | Link to Document / Page |
|----|-------------------------|--|---|
| 1 | XML Reporting Schema CH | XML structure of goAML adapted to Swiss configuration as XSD-File | https://www.fedpol.admin.ch/dam/fedpol/de/data/kriminalitaet/geldwaescherei/aml/XML_Schema.xsd.download.xsd/XML_Schema.xsd |
| 2 | goAML Web – Manual | Web user guide by UNODC providing general information about the goAML Web application. | https://www.fedpol.admin.ch/dam/fedpol/en/data/kriminalitaet/geldwaescherei/aml/goaml-web-manual-e.pdf.download.pdf/goaml-web-manual-e.pdf |

Table 6: Table of References

6. Description of XML Nodes

6.1 Node “report”

Basic information about the RE, reporting date and type of report. It must contain either one or multiple transactions (for transactional reports such as STR, AIFT, CANCT) or one or multiple parties (for activity reports via node activity).

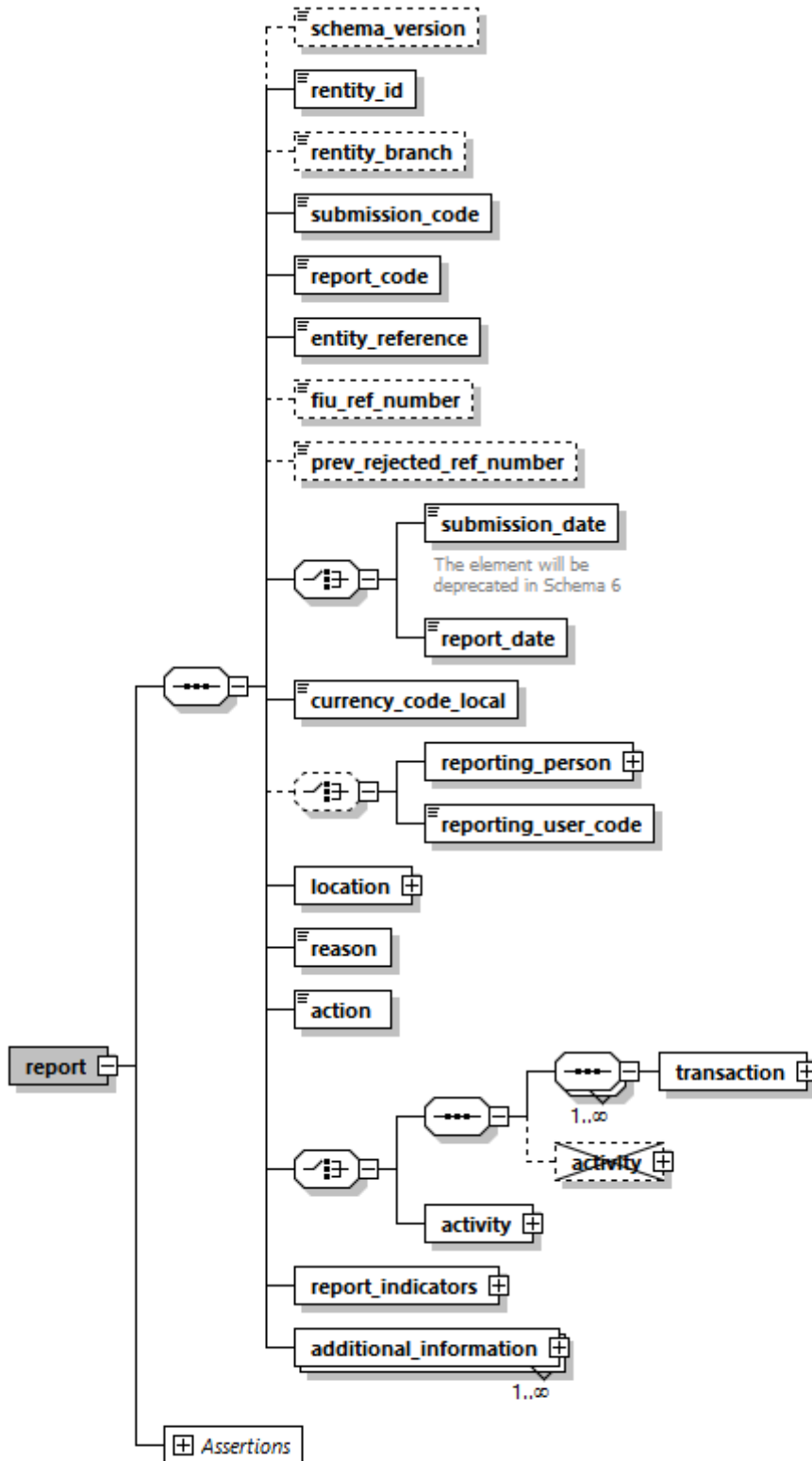


Figure 1: Overview node “report”

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| Name | Description | Length | Req. | Example |
|--------------------------|--|-----------------------------|----------|---|
| schema_version | Version of schema which report is based on | Char (25) | N | 5 |
| rentity_id | RE number defined by FIU | Integer | Y | 1237 |
| rentity_branch | Branch of current RE | Char (255) | N | Branch of Money Transmitter reporting the transactions |
| submission_code | Type of submission | Enumeration | Y | Value is fixed to "E" electronically |
| report_code ³ | Type of report depending on answer to question defined in tooltip of this field | Enumeration | Y | STR, SAR etc. see 8.8 Report Code for details |
| entity_reference | Reference to the report, used by RE | Char (255) | Y | STR Ref No 392 |
| fiu_ref_number | Ref. number used by MROS and related to a previous report | Char (255) | N | STR-000001 Note: If MROS requests additional info acc. to art. 11a para. 1 and 3 AMLA, RE must use that number in their reply. When entering a CANCL/CANCT-Report, always fill in the Ref. Nr. indicated by MROS (SAR/STR) |
| prev_rejected_ref_number | <i>Ref. number of previously rejected report</i> | <i>Char (255)</i> | <i>N</i> | <i>Report Key e.g., 61xxx-0-0</i> |
| report_date | Report date | Date | Y | Needs to be set for XML |
| currency_code_local | <i>Local Currency code</i> | <i>Type "Currency-type"</i> | <i>N</i> | <i>Value is fixed to: CHF</i> |

³ Explanations defined in a tooltip are as follows (as an example):

If the business relationship subject to this report contains transactions, select "STR", else select "SAR". If you are submitting additional information belonging to a report submitted to MROS in the past, select "AIF" (if no transactions are going to be reported) or "AIFT" (if transactions are going to be reported). If you are reporting the termination of a business relationship pursuant to art. 9b AMLA, select "CANCL" (without transactions) or "CANCT" (with transactions). For any questions or spontaneous dissemination of information, foreign FIUs select IRI (Incoming Request for Information – International), while domestic authorities select IRD (Incoming Request for Information – Domestic).

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| | | | | |
|-------------------------------|--|--|-------------------------|--|
| reporting_person | Full details of the report's reporting person | Type "t_person_registration_in_report" | Y | |
| reporting_user_code | User code for the reporting person | Char (50) | Y | |
| location | Describes location of the reporting entity | Type "t_address" | Y | |
| reason | Explanation of circumstances/activity that led to the report | Char (8000) | Y⁴ | In German: "Sachverhalt" |
| action | Describes the reason for suspicion and eventual measures/actions undertaken by RE | Char (8000) | Y⁵ | In German: "Grund für Verdacht / Was haben Sie bereits unternommen" |
| transaction | Transaction information | Type "transaction" | Y (one of the m) | See 6.3 Node "transaction" |
| activity | Involved subjects and items list linked directly to report | Type "t_person", "t_entity" or, "t_account" | | See 6.4 Node "activity" |
| report_indicators | List of indicators for the current reports | Subnode 1 ... many | Y | See 6.2 Subnode "report indicators" |
| Additional information | Generic node for adding additional information | Additional_info rmation_type | N | See 7.20 Type generic additional information type |

Table 7: Details node "report"

6.1.1 Business rules for Node "report"

| Name | Business rule (short description) |
|-----------------|---|
| rentity_branch | If "rentity-ID" is „Raiffeisen Schweiz“, then "rentity_branch" is mandatory |
| report_code | If "report_code" equals value "STR", then at least one Bi-Party transaction is mandatory |
| fiu_ref_number | If "report_code" equals "AIF", "AIFT", "CANCL" or "CANCT" then "fiu_ref_number" is mandatory |
| BR-Count | When report type is STR or SAR and indicator does not contain "0003M", additional information is mandatory and must include Info type "Number of business relationships in this report" and Info Numeric >0 |

Table 8: Business rules for Node report

⁴ This field is not to be filled in if in the field "report_code" the values "AIF", "AIFT", "CANCL" or "CANCT" are selected.

⁵ This field is not to be filled in if in the field "report_code" the values "AIF", "AIFT", "CANCL" or "CANCT" are selected.

6.1.2 Assert for Node “report”

| | |
|----------------|---|
| fiu_ref_number | The field “Ref. no. MROS” is mandatory for CANCL/CANCT reports. |
|----------------|---|

Table 9: Assert for Node report

6.2 Subnode “report indicators”

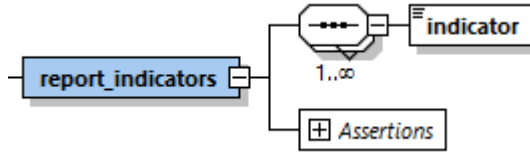


Figure 2: Overview subnode report_indicators

| Name | Description | Length | Req. | Example |
|-----------|---|-----------|------|--|
| indicator | <p>Classification on report type (M), suspected predicate offense (V) and reason for reporting (G)</p> <p>See asserts in 6.2.1. below</p> | Char (25) | Y | <p>See 8.18 Report Indicators</p> <p>Indicators; More than one can be chosen</p> |

Table 10: Details subnode report_indicators

Attachments: ensure all necessary attachments according to MROSO Art. 3 were added to the suspicious activity report before submission. Incomplete reports will be rejected by MROS!

6.2.1 Asserts for Node “report indicators”

| | |
|-----------|--|
| indicator | a category M (report types) indicator must be selected and at least one V (predicate offenses) and one G (reasons) indicator |
| indicator | The indicator code '0003M' must only be used for SARs |
| Indicator | CANCL resp. CANCT reports must have indicators 0024M, 1207V and 2103G |

6.3 Node “transaction”

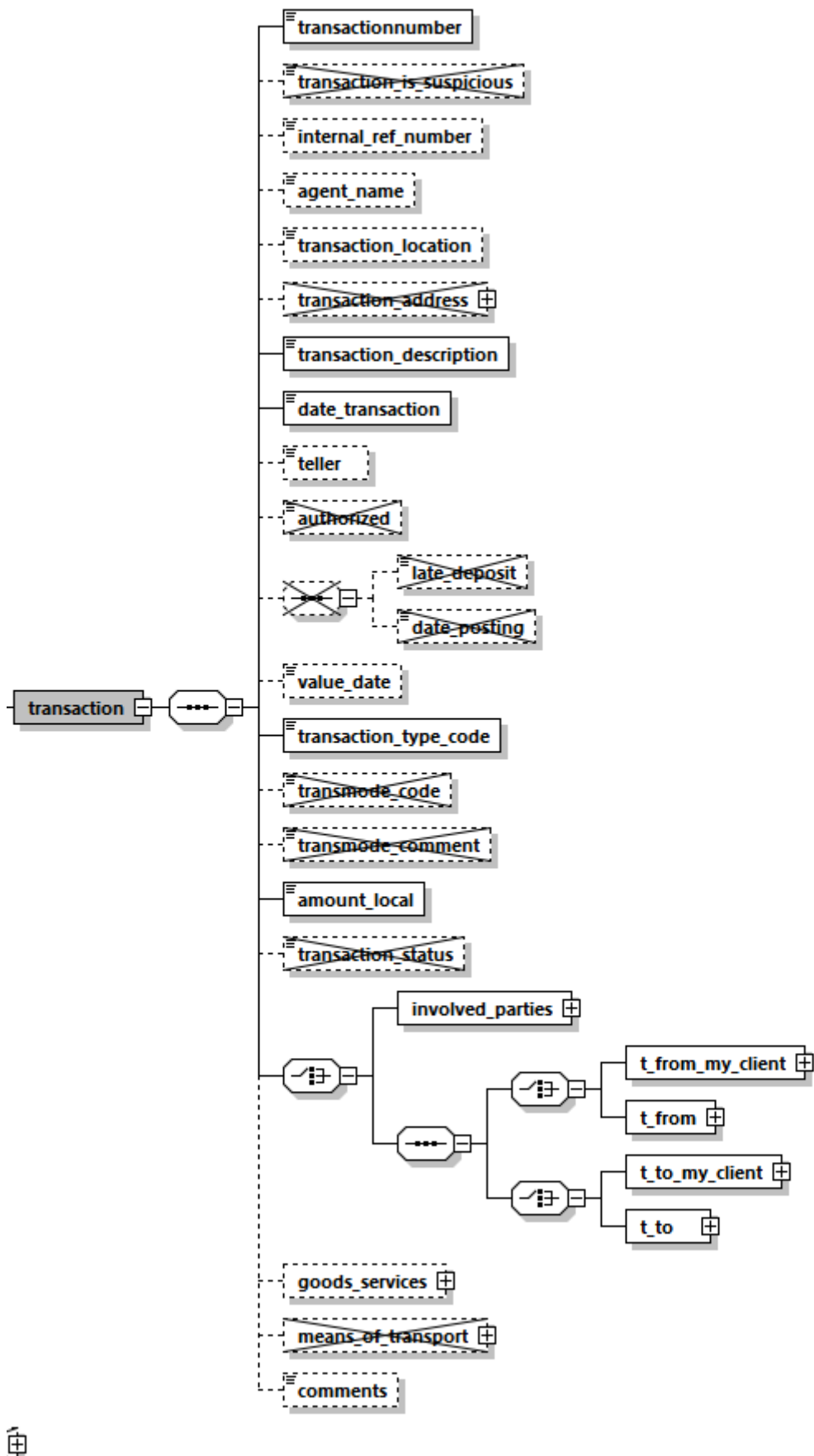


Figure 3: Overview node transaction

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| Name | Description | Length | Req. | Example |
|---|--|----------------|------|--|
| transactionnumber | Unique transaction number for bank transaction | Char (100) | Y | 20084711 |
| internal_ref_number | Additional RE internal transaction reference number | Char (100) | N | WU_BRNCH01_0001 |
| agent_name | Name of the operating agency | Char (255) | N | Agency XY |
| transaction_location | Country and city where "ATM" or "Counter" transaction took place | Char (255) | N | Branch 001 |
| transaction_description | Free text field to describe the purpose of the transaction | Char (8000) | Y | Darlehen |
| date_transaction | Date and time of the transaction | Date | Y | 03.08.2023T10:59:00 |
| teller | Unique transaction number for second leg of bank transaction | Char (20) | N | 123456 |
| value_date | Value date | Date | N | |
| Transaction_type_code | Description of transaction type | Enumeration | Y | See 8.6 Transaction type |
| amount_local | The value of the transaction in local currency (always CHF) | Decimal | Y | |
| Transaction could be either a bi-party transaction with clear "From" and "To" sides, or a multi-party transaction with unlimited list of subjects (Persons, Accounts and Entities) where each has a role rather than a clear "From" or "To" side. | | | | |
| Multi-Party Transaction | | | | |
| The Multi-Party functionality may only be used in Report type transactions additionally to BiParty Transactions when additional subjects, namely accounts, persons or entities, have to be entered (see Section 3.5.1 let. b). This can also be an active or closed account for which no transactions are being reported. A multi-party transaction never has an amount and does not depict a real transaction. | | | | |
| involved_parties | Describes the involved party details | Type "t_party" | Y | See 7.13 Type "t_party" |

Bi-Party Transaction

Note: Bi-directional transactions are composed of a source and destination. The source and destination may be either a person, an account or an entity. At least one transaction side (source or destination) has to be qualified as “my_client” (i.e., a reported subject, [see 4.2](#)) but if both accounts of a particular transaction are to be reported, both sides are to be depicted as “my client”. This requirement is ensured by the business rule described in [subsection 6.3.1](#)).

Most frequent examples and specific rules applying to them:

For account (ATM / cash) deposits, the source is a person and the destination is an account. The following transaction configuration should be depicted:

→ From_person and to_account

Note that at least one side must be a subnode of either t_from_my_client or t_to_my_client

For account (ATM / cash) withdrawals, the source is an account and the destination is a person. The following transaction configuration should be depicted:

→ From_account and to_person

Note that at least one side must be a subnode of either t_from_my_client or t_to_my_client

For money remittances, the source and destination is a person. The following transaction configuration should be depicted:

→ From t_person and to_person

Note that at least one side must be a subnode of either t_from_my_client or t_to_my_client

The same structure of person-to-person transactions can be used for any money service type of transaction.

For account transfers, the source and destination is an account. The following transaction configuration should be depicted:

→ From t_account to t_account

Note that at least one side must be a subnode of either t_from_my_client or t_to_my_client

For debit or credit card payments, the source is an account and the destination is an entity. The following transaction configuration should be depicted:

→ From t_account to t_entity

Note that at least one side must be a subnode of either t_from_my_client or t_to_my_client

Purchase/sale of securities

The purchase/sale of securities is entered as a BiParty account-to-account transaction. The transaction type 'Securities' should be selected. In the payment purpose field, users should enter the name of the security (and ISIN code if available) and the quantity of the traded security. For the monetary part of the transaction, the relevant account type (e.g., savings account) should be selected, as well as the equivalent value in CHF and in foreign currency if necessary. For the securities part of the transaction, the account type 'Securities custody account' should be selected, as well as the equivalent value in CHF and in foreign currency if necessary.

Receipt/delivery of securities

The delivery of securities is entered as a BiParty account-to-person transaction. The receipt of securities is entered as a BiParty person-to-account transaction. Both cases apply even if securities are held at a central securities depository such as SIX and moved from one bank to another, e.g., delivery free of payment). Users should select the transaction type Securities. In the Payment purpose field, they should enter the name and quantity of the security. The account type 'Securities custody account' should be selected, as well as the equivalent value in CHF and in foreign currency if necessary. If the counterparty is unknown, the delivering or receiving depository is recorded as an entity.

Corporate action/dividends

Corporate actions/dividends are entered as BiParty account-to-account transactions.

Users must select the transaction type Securities. In the Payment purpose field, they enter the name and quantity of the securities. The account type 'Securities custody account' has to be selected, as well as the equivalent value in CHF and in foreign currency if necessary. For the client side of the transaction, the relevant account type (e.g., savings account) must be selected, as well as the equivalent value in CHF and in foreign currency if necessary. The bank side (e.g., omnibus account) of the transaction needs to be entered as account with account type "Securities custody account". It should be noted that this is an account of a counterparty.

In this case, Corporate Action and the name of the bank have to be entered as the account number and additional information (e.g., Corporate Action Cantonal Bank XY).

One of the nodes *t_from_my_client* or *t_from* must be provided. Both CANNOT be present together in a transaction, but one of them must be present.

| | | | | |
|-------------------------|--|----------------|----------------------------|---|
| t_from_my_client | Specifies where the money came from. If the source is reporting bank's client and subject to be reported, then this node should be provided | Subnode | Y (one of them) | See 6.5 Node "t from my client" |
| t_from | Specifies where the money came from | Subnode | | See 6.6 Node "t from" |

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| | | | | |
|--|---|----------------|----------------------------|--|
| One of the nodes <i>t_to_my_client</i> or <i>t_to</i> must be provided. Both CANNOT be present together in a transaction, but one of them must be present. | | | | |
| t_to_my_client | Specifies where the money went. If the destination is reporting bank's client and subject to be reported, then this node should be provided | Subnode | Y (one of them) | See 6.7 Node "t_to_my_client" |
| t_to | Specifies where the money went | Subnode | | See 6.8 Node "t_to" |
| goods_services ⁶ | The goods/services linked to the transaction | Subnode | N | See 6.9 Subnode "goods_services" |
| comments | Generic comments field Details of account owner/transaction counterparty as available from payment system (e.g. content of SWIFT field 50a "Ordering Customer" or 59a "Beneficiary Customer"): name and address, if available, else "n/a" | Char (4000) | N | |

Table 11: Details node transaction

6.3.1 Business rules for Node Transaction

| Name | Business rule (short description) |
|---|---|
| Internal_ref_number | If rentity type is money transmitter, then mandatory |
| Transaction_location | If transaction_type (see 8.6) is IN (DEPAC, WITHD)), then mandatory. If value is unknown, enter "n/a". |
| Amount_local | If transaction_type equals "MULTIPARTY Dummy", then field "amount_local" must equal value zero (0), else field "amount_local" must be any other number value greater than zero. |
| t_from(_my_client); t_to(_my_client) | If it is a Bi-Party transaction, then either "t_from" or "t_to" must be of type "My Client" |

Table 12: Business rules for Node transaction

⁶ This node should only be used by dealers according to Art. 8a AMLA reporting suspicious activities according to Art. 9 para 1a AMLA. Hence, it should not be used by financial intermediaries.

6.4 Node “activity“

Reports can include an activity node to represent an event where a list of objects (person, entity, account) are related directly to the report without the need of a transaction. The activity node is only to be used when no transaction at all is involved ([see 3.2.2](#)). Certain reporting entity categories (e.g., fiduciaries, external asset managers, life insurance companies) are requested to forward reports which do **not** contain information concerning any transactions.



Figure 4: Overview node activity

| Name | Description | Length | Req. | Example |
|-----------------------------|--|--------------------------|------|---|
| report_parties | Represents a collection of involved subjects | | Y | |
| report_party | Represents a single involved subject. At least one party must be included. | Type “report_party_type” | Y | See 7.18 Type “report_party_type” |
| goods_services ⁷ | The goods/services linked to the transaction | Subnode | N | See 6.9 Subnode “goods_services” |

Table 13: Details node activity

6.4.1 Business rules for Node “activity”

| Name | Business rule (short description) |
|----------|--|
| account | <p>The following business rule only applies when the report type is CANCL:</p> <p>Closed is mandatory (Date of closing) Balance has to be zero (0)</p> <p>Status_Code has to be value “2” (closed)</p> |
| MyClient | <p>At least one party in a SAR must be of type “my_client”, either account_my_client, person_my_client or entity_my_client</p> |

Table 14: Business rule for node activity

⁷ This node should only be used by dealers according to Art. 8a AMLA reporting suspicious activities according to Art. 9 para 1a AMLA. Hence, it should not be used by financial intermediaries.

6.5 Node “t_from_my_client”

This node should be provided if the source side of the transaction is the reported subject and client of the reporting bank. Entity could be a direct party in bi-party transactions.

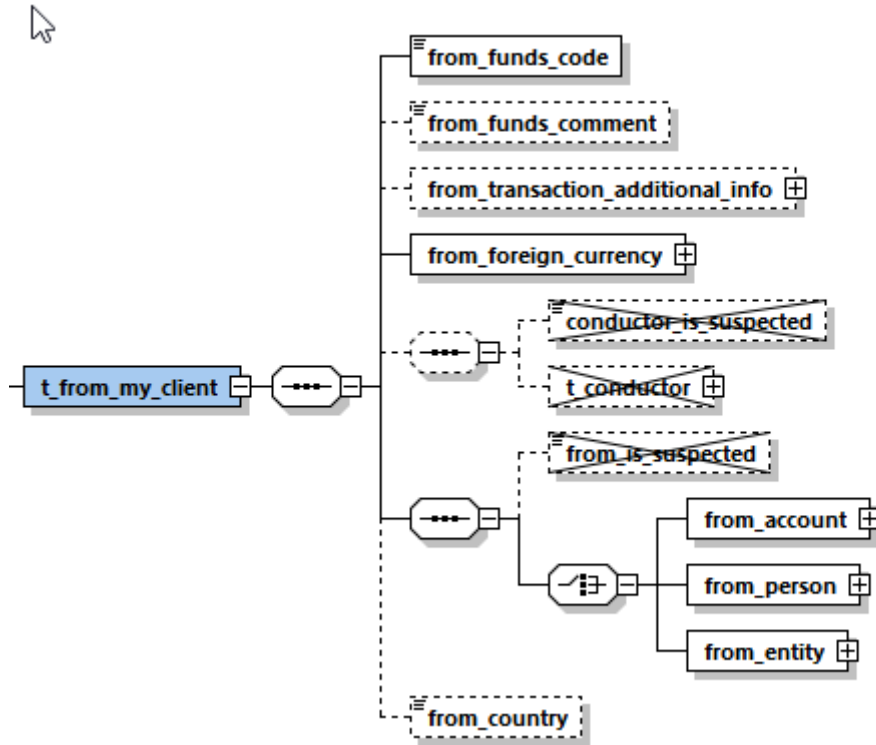


Figure 5: Overview node t_from_my_client

| Name | Description | Length | Req. | Example |
|----------------------------------|---|----------------------------------|---------------|--|
| from_funds_code | Type of funds used in initiating transaction | Enumeration | Y | See 8.2 “Funds Type” |
| from_funds_comment | Description, if funds_code is “O”(Other). | Char (255) | N | |
| From_transaction_additional_info | Supporting info regarding the transaction | Type transaction_additional_info | N | 8.26 Additional information type |
| from_foreign_currency | Specifies currency details and must be used for all transactions, i.e., for CHF and foreign currency transactions | Type “t_foreign_currency” | Y | See 7.16 Type “t foreign currency” |
| from_account | Subnode that holds account information | Type “t_account_my_client” | Y | See 7.1 Type “t account my client” |
| from_person | Subnode that holds “from person” | Type “t_person_my_client” | (one of them) | See 7.9 Type “t person my client” |

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| | | | | |
|---------------------|---|----------------------------------|---|---|
| | information | | | |
| from_entity | Subnode that holds “from entity” information | Type “t_entity_my_client” | | See 7.7 Type “t_entity_my_client” |
| from_country | Country where transaction was initiated | Enumeration | N | See 8.14 Country Codes |

Table 15: Details node t_from_my_client

6.5.1. Business rules for Node “t_from_my_client”

| Name | Business rule (short description) |
|------------|---|
| to_account | <p>The following business rule is only applicable, if the business type of your institution corresponds to one of the following:</p> <p>Bank or VASP</p> <p>IF “Transaction type” does not equal “MULTIPARTY Dummy” OR “report_indicators” does not equal “0003M” (Art. 9 para. 1 letter b AMLA), THEN node “from_account” or “to_account” is mandatory.</p> |

Table 16: Business rules for Node t_to_my_client

6.6 Node “t_from”

Source of the transaction. Can be either a person, an account or an entity.

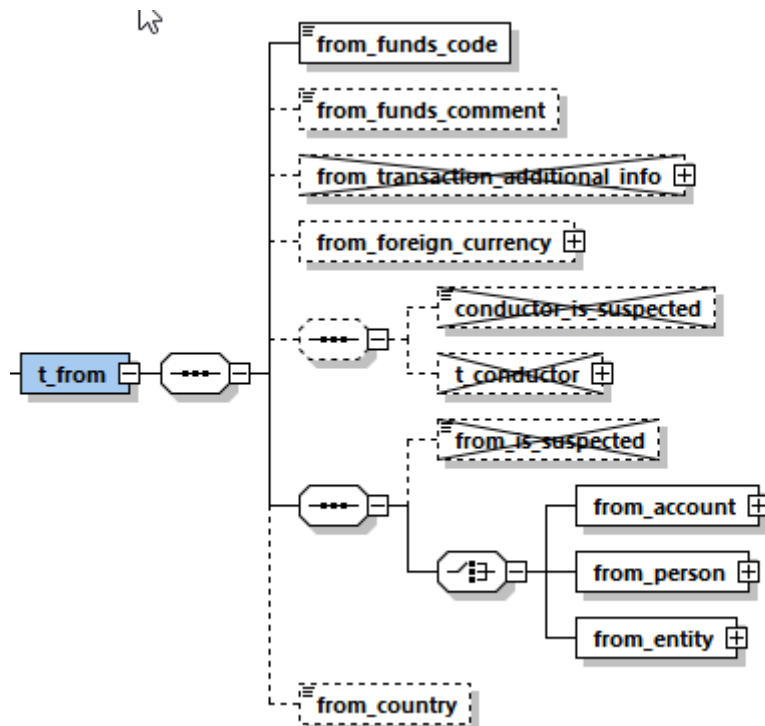


Figure 6: Overview node t_from

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| Name | Description | Length | Req. | Example |
|-----------------------|---|---------------------------|--------------------|--|
| from_funds_code | Type of funds used in initiating transaction | Enumeration | Y | See 8.2 Funds type |
| from_funds_comment | Description, if funds_code is "O" (Other). | Char (255) | N | |
| from_foreign_currency | This node aims at specifying currency details and is to be used for all transactions, i.e., for CHF and foreign currency transactions | Type "t_foreign_currency" | N | See 7.16 Type "t_foreign_currency" |
| from_account | Subnode that holds account information | Type "t_account" | Y (one of them) | See 7.2 Type "t_account" |
| from_person | Subnode that holds "from person" information | Type "t_person" | | See 7.10 Type "t_person" |
| from_entity | Subnode that holds "from entity" information | Type "t_entity" | | See 7.8 Type "t_entity" |
| from_country | Country where transaction was initiated | Enumeration | N | See 8.14 Country Codes |

Table 17: Details node t_from

6.7 Node "t_to_my_client"

This node should be provided if the destination side of the transaction is the reported subject and client of the reporting entity.

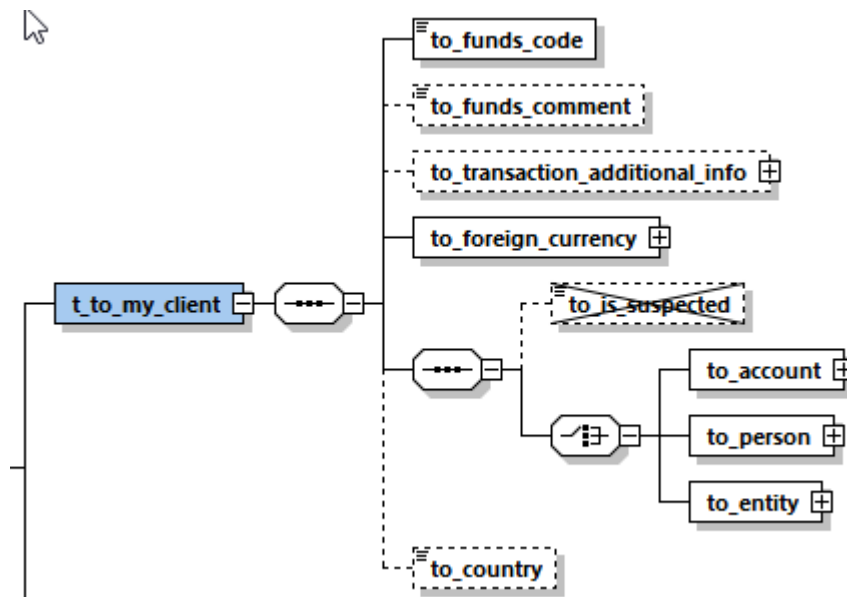


Figure 7: Overview node t_to_my_client

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| Name | Description | Length | Req. | Example |
|--------------------------------|---|----------------------------------|--------------------|---|
| to_funds_code | Disposition of funds | Enumeration | Y | See 8.2 Funds type |
| to_funds_comment | Description, if to_funds_code is "O" (Other). | Char (255) | N | |
| To_transaction_additional_info | Supporting info regarding the transaction | Type transaction_additional_info | N | See 8.26 additional info |
| to_foreign_currency | Specifies currency details and must be used for all transactions, i.e. for CHF <u>and</u> foreign currency transactions | Type "t_foreign_currency" | Y | See 7.16 Type "t_foreign_currency" |
| to_account | Subnode that holds account information | Type "t_account_my_client" | Y (one of them) | See 7.1 Type "t_account_my_client" |
| to_person | Subnode that holds person information | Type "t_person_my_client" | | 7.4 Type "t_account_related_person" (my client) |
| to_entity | Subnode that holds "to entity" information | Type "t_entity_my_client" | | 7.3 Type "t_account_related_entity" |
| to_country | Target country of the transaction | Enumeration | N | See 8.14 Country Codes |

Table 18: Details node t_to_my_client

6.7.1. Business rules for Node "t_to_my_client"

| Name | Business rule (short description) |
|------------|---|
| to_account | <p>The following business rule is only applicable, if the business type of your institution corresponds to one of the following:</p> <p>Bank or VASP</p> <p>IF "Transaction type" does not equal "MULTIPARTY Dummy" OR "report_indicators" does not equal "0003M" (Art. 9 para. 1 letter b AMLA), THEN node "from_account" or "to_account" is mandatory.</p> |

Table 19: Business rules for Node t_to_my_client

6.8 Node “t_to”

Information about the transaction disposition(s) - i.e., where the money went. “t_to” can point either to a person or to an account. See also the descriptions in [chapter 6.3](#).

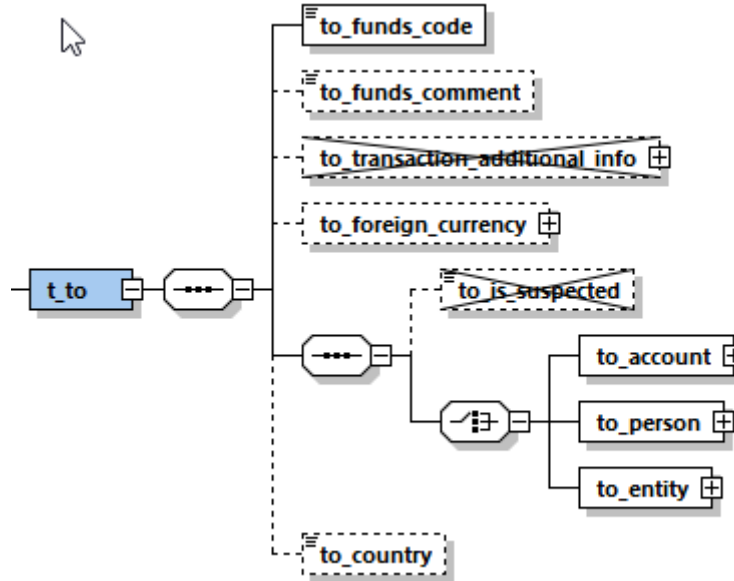


Figure 8: Overview node t_to

| Name | Description | Length | Req. | Example |
|---------------------|--|---------------------------|------------------|--|
| to_funds_code | Disposition of funds | Enumeration | Y | See 8.2 Funds type |
| to_funds_comment | Description, if to_funds_code is “O” (Other). | Char (255) | N | |
| to_foreign_currency | This node aims at specifying currency details and is to be used for all transactions, i.e., for CHF <u>and</u> foreign currency transactions | Type “t_foreign_currency” | N | See 7.16 Type “t_foreign_currency” |
| to_account | Subnode that holds account information | Type “t_account” | Y (one of the m) | See 7.2 Type “t_account” |
| to_person | Subnode that holds person information | Type “t_person” | | See 7.10 Type “t_person” |
| to_entity | Subnode that holds “to entity” information. | Type “t_entity” | | See 7.8 Type “t_entity” |
| to_country | Target country of the transaction | Enumeration | N | See 8.14 Country Codes |

Table 20: Details node t_to

6.9 Subnode “goods_services”

This node Goods and Services is used to record the traded goods or services that are the subject of reports submitted by dealers according to Art. 8a AMLA reporting

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suspicious activities according to Art. 9 para 1a AMLA. Hence, it must not be used by financial intermediaries.

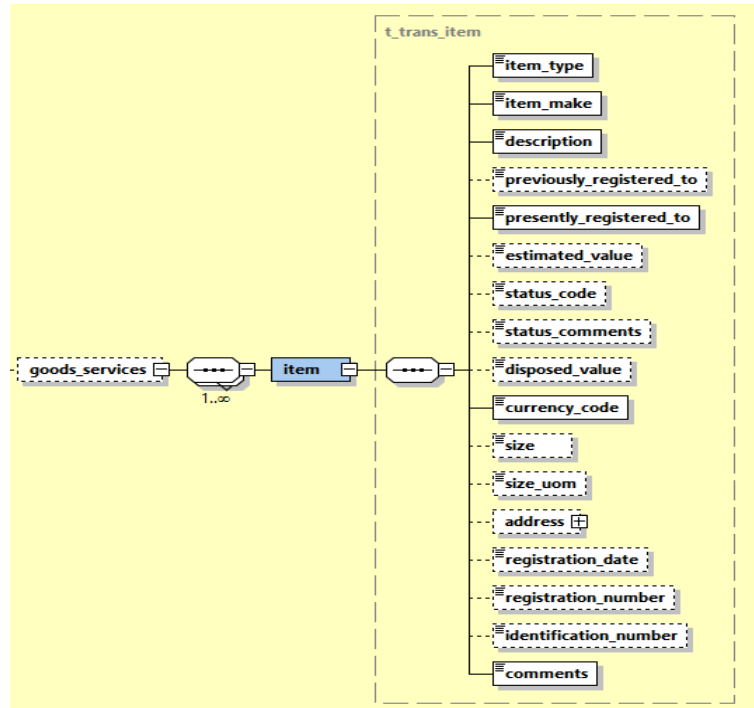


Figure 9: Overview subnode goods_services

Hint: Type t_trans_item is the same as subnode goods, see Figure 9: Overview subnode goods_services

| Name | Description | Length | Req. | Example |
|--------------------------|--|------------------------|------|---|
| item_type | Lookup code describes the item type | Type "trans_item_type" | Y | See 8.12 Transaction Item Type |
| item_make | Item Maker | Char (255) | Y | In case of a car e.g., BMW |
| description | Text | Char (8000) | Y | Apartment building |
| previously_registered_to | Name of seller | Char (500) | N | John Miller |
| presently_registered_to | Name of buyer | Char (500) | Y | Jane Smith |
| estimated_value | Estimated value of the property – Used (Currency is the one specified in node from_currency) | Decimal | N | 250,000.00 |
| status_code | Status code | Enumeration | N | See 8.8 Transaction Item Status / Property Status |
| status_comments | Status Comments. | Char (500) | N | |

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| | | | | |
|-----------------------|---|--------------------|----------|---|
| disposed_value | effective value for property transfer – Used Currency is the one specified in node <i>from_currency</i> | Decimal | N | 500000.00 |
| currency_code | Currency of “estimated_value” or “disposed_value” | Enumeration | Y | See 8.13 Currencies |
| size | Size of the property – in unit specified in node <i>size_uom</i> | Decimal | N | 150 |
| size_uom | Unit of measurement | Char (250) | N | Square meters |
| address | Address of the property | Type “t_address” | N | See 7.14 Type “t_address” |
| registration_date | Official registration date | Date | N | |
| registration_number | Official registration number | Char (500) | N | Car VIN Number |
| identification_number | Any number that can identify the item | Char (255) | N | Car Plate Number |
| comments | Additional comments Additional information (Art. 19 GwV) | Char (8000) | Y | |

Table 21: Details subnode goods_services

6.9.1. Business rules for Node “goods_services”

| Name | Business rule (short description) |
|-----------------|---|
| Estimated_value | Either estimated_value or disposed_value must be given |
| Disposed_value | Either disposed_value or estimated_value must be given |
| Status_comments | If item_type or status_code equals “other”, then mandatory |
| address | If field “Item_type” is “Property”, then field “address” is mandatory |

Table 22: Business rules for Node “goods_services”

7. Description of Common Types Used in the Schema

7.1 Type “t_account_my_client”

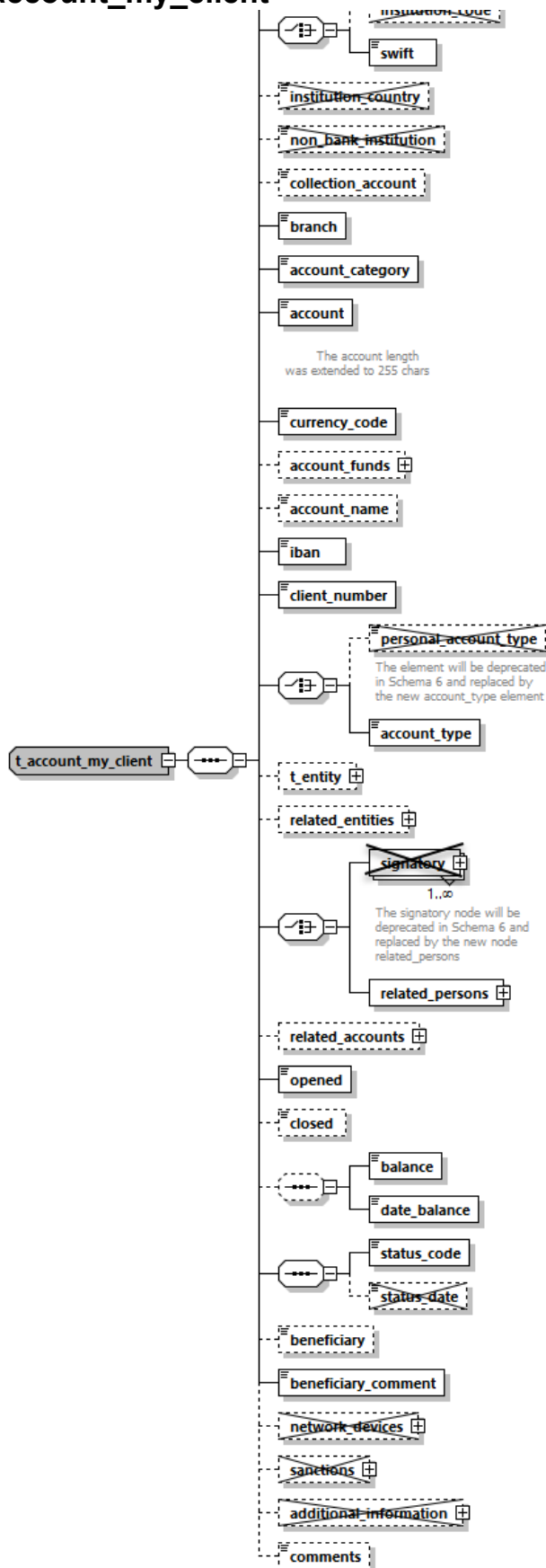


Figure 10: Overview type t_account_my_client

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| Name | Description | Length | Req. | Example |
|--------------------|---|---------------------------|------|---|
| institution_name | The name of the account holding Bank | Char (255) | Y | Bank XY |
| swift | BIC Number | Char (11) | Y | |
| collection_account | Indicate if collection account | Boolean | N | |
| branch | Canton of relationship | Char (2) | Y | e.g., BE See 8.20 for Allowed values for Cantons |
| account_category | Select a category of account | Type "account_category" | Y | e.g., Mobile |
| account | Account number | Char (255) | Y | 31032027088 |
| currency_code | Currency the account is kept in | Enumeration | Y | See 8.13 Currencies |
| Account_funds | Information on the currency, balance and date of an account | Type "account_fund" | N | |
| account_name | This is a free text field used to "label" the account, | Char (255) | N | "Vacation", "Household budget", "Invoices" |
| iban | IBAN | Char (34) | Y | LT6010100123 45678901 |
| client_number | Client number / Stammnummer | Char (30) | Y | 31032027088 |
| account_type | Account type | Type "account_type" | Y | See 8.3 Account Type |
| t_entity | Business entity owning the account | Type "t_entity_my_client" | N | See 7.7 Type "t_entity_my_client" |
| related_entity | Related entity | Type "entity_my_client" | N | See 7.8 Type "t_entity" |
| related_persons | Subnode holding detailed information about the signatory. | Type "t_person_my_client" | Y | See 7.9 Type "t_person_my_client" for account_ |

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| | Mandatory for signatories in the XML report. | | | person_relation |
|----------------------------|---|--------------------|----------|---|
| related_accounts | Identifies related accounts | | N | Virtual IBAN, QR-IBAN, personalisierte IBAN, Crypto, Mobile Money, etc. |
| opened | Date account opened | Date | Y | |
| closed | Date account closed | Date | N | |
| balance | The account balance in CHF at date of reporting | Decimal | N | 5,000.50 |
| date_balance | Specify the date of the reported balance. Application will show balance history | Date | N | |
| status_code | Account status when transaction was initiated | Enumeration | Y | See 8.4 Account status type |
| beneficiary | Balance of account in foreign currency | Decimal | N | E.g., 30,500.00 |
| beneficiary_comment | City of relationship | Char (255) | Y | E.g., Lugano |
| comments | Generic comments elements | Char (8000) | N | |

Table 23: Details type t_account_my_client

7.1.1. Business rules for t_account_my_client

| Name | Business rule (short description) |
|-----------------|--|
| Related persons | Related person must always be chosen |
| Closed | If no balance is given, then mandatory If report type is CANCL/CANCT: Value "Date of closing" is mandatory |
| Date_balance | If balance is given, then mandatory |
| Status_Code | If field "closed" is not blank, then field "status_code" must equal value "Closed" If report type is CANCL/CANCT: Value "Closed" is mandatory |
| Beneficiary | If ["currency_code" is not "CHF" and "status_code" is not "closed"] and if "personal_account_type" is not "safe depositbox", then "Beneficiary" is mandatory |

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| | |
|--------------|---|
| from_account | <p>The following business rule is only applicable if the business type registered for your institution in goAML corresponds to one of the following: <i>Bank or VASP</i></p> <p>IF "Transaction mode" does not equal "MULTIPARTY Dummy" OR "report_indicators" does not equal "0003M" (Art. 9 para. 1 letter b AMLA), THEN node "from_account" or "to_account" is mandatory.</p> |
| Comments | If _account_type equals "other", then mandatory |

Table 24: Business rules for t_account_my_client

7.1.2. Restriction in xsd-Schema for t_account_my_client

| | |
|---------|--|
| Balance | If a value is entered in the "Balance" field of a "my client" account (reported subject), then a value must also be entered in "Date_Balance" and vice versa |
|---------|--|

Table 25: Restriction in xsd-Schema for t_account_my_client

7.2 Type “t_account”

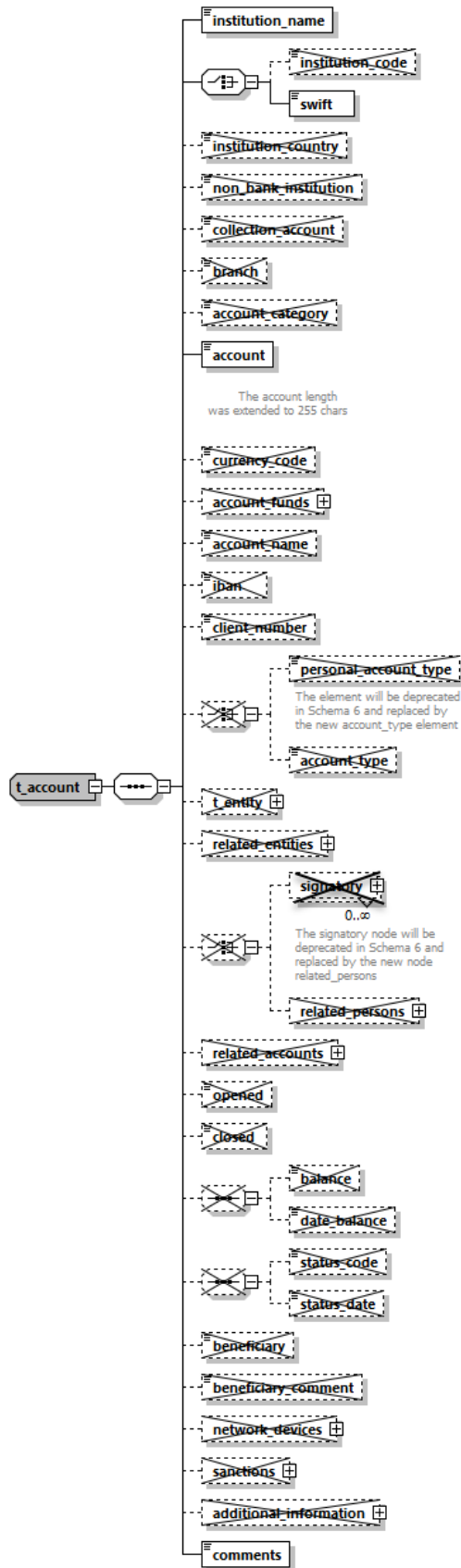


Figure 11: Overview type `t_account`

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| Name | Description | Length | Req. | Example |
|------------------|---|-------------|------|---------------------------------------|
| institution_name | The name of the account holding Bank | Char (255) | Y | Bank XY |
| swift | BIC Number | Char (11) | Y | |
| account | Account number / IBAN | Char (255) | Y | 31032027088 |
| comments | Details of account owner/transaction counterparty as available from payment system (e.g., content of SWIFT field 50a “Ordering Customer” or 59a “Beneficiary Customer”): name and address, if available, else “n/a” | Char (8000) | Y | John Doe, Main Street, Timbuktu, Mali |

Table 26: Details type t_account

7.3 Type “t_account_related_entity”

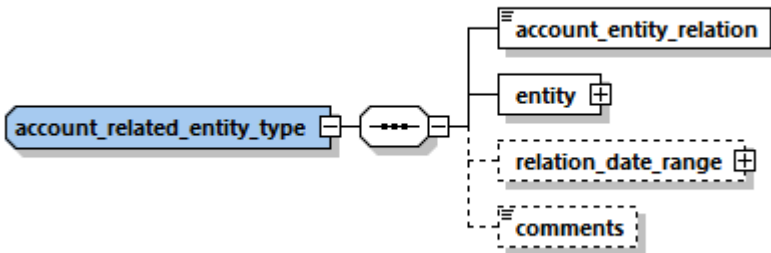


Figure 12: Overview type t_account_related_entity

| Name | Description | Length | Req. | Example |
|-------------------------|---------------------------------------|---------------|------|--|
| account_entity_relation | Relation of the entity to the account | Enumeration | N | See 8.22 Account entity relation |
| entity | Name of the entity | Type t_entity | N | Abc Inc. |
| relation_date_range | Date range of the relation | Date range | N | |
| comments | Generic comments field | Char (8000) | N | |

Table 27: Details type t_account_related_entity

7.4 Type “t_account_related_person” (my_client)

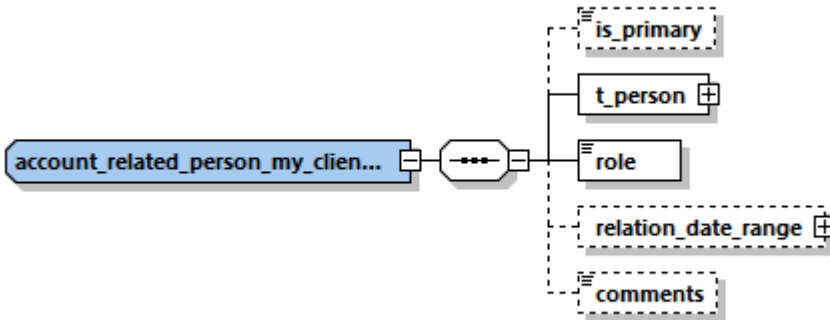


Figure 13: Overview type t_account_related_person (my_client)

| Name | Description | Length | Req. | Example |
|-------------------------|---|---------------|------|---|
| is_primary | Identifies the primary account holder. Only one related person should be marked as is_primary. Has to be 'true' when node is set. | Boolean | N | |
| t_person | Person | Type t_person | Y | |
| role | Role | Enumeration | Y | See 8.15 Account person role type |
| Relation_date_r ange | Date range | Date | N | |
| Comments | General comments field | Char (8000) | N | |

Table 28: Details type t_account_related_person (my_client)

7.5 Type “t_account_related_account”

This node is foreseen to hold alternative account information related to a reported account, such as for instance a second virtual IBAN used for a specific account.

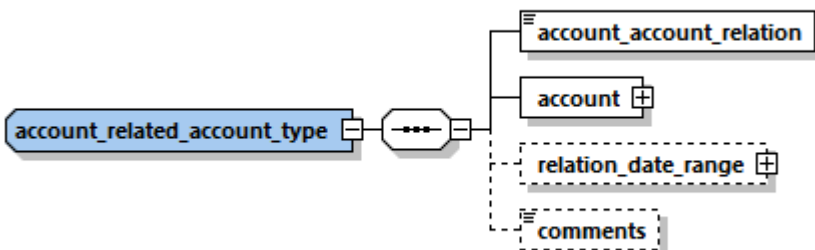


Figure 15: Overview type t_account_related_account

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| Name | Description | Length | Req. | Example |
|--------------------------|----------------------------|----------------|------|--|
| Account_account_relation | Type of relation | Enumeration | | See 8.21 Account-Account relation type |
| account | Account | Type t_account | N | |
| relation_date_range | Date range of the relation | Date range | N | |
| comments | Generic comments field | Char (8000) | N | |

Table 29: Details type t_account_related_account

7.6 Type “t_account_funds”

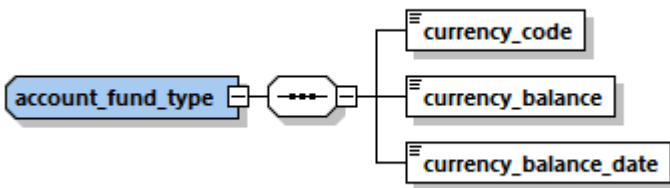


Figure 16: Overview type t_account_funds

| Name | Description | Length | Req. | Example |
|-----------------------|---------------------|-------------------|------------------------------|---|
| Account_fund | Fund of the account | Type account_fund | N (Yes if node is active) | |
| Currency_code | Currency code | Enumeration | N (Yes if node is active) | See 8.13 currency codes |
| Currency_balance | Balance | Decimal | N (Yes if node is active) | |
| Currency_balance_date | Balance date | Date | N (Yes if node is active) | |

Table 30: Details type t_account_funds

7.7 Type “t_entity_my_client”

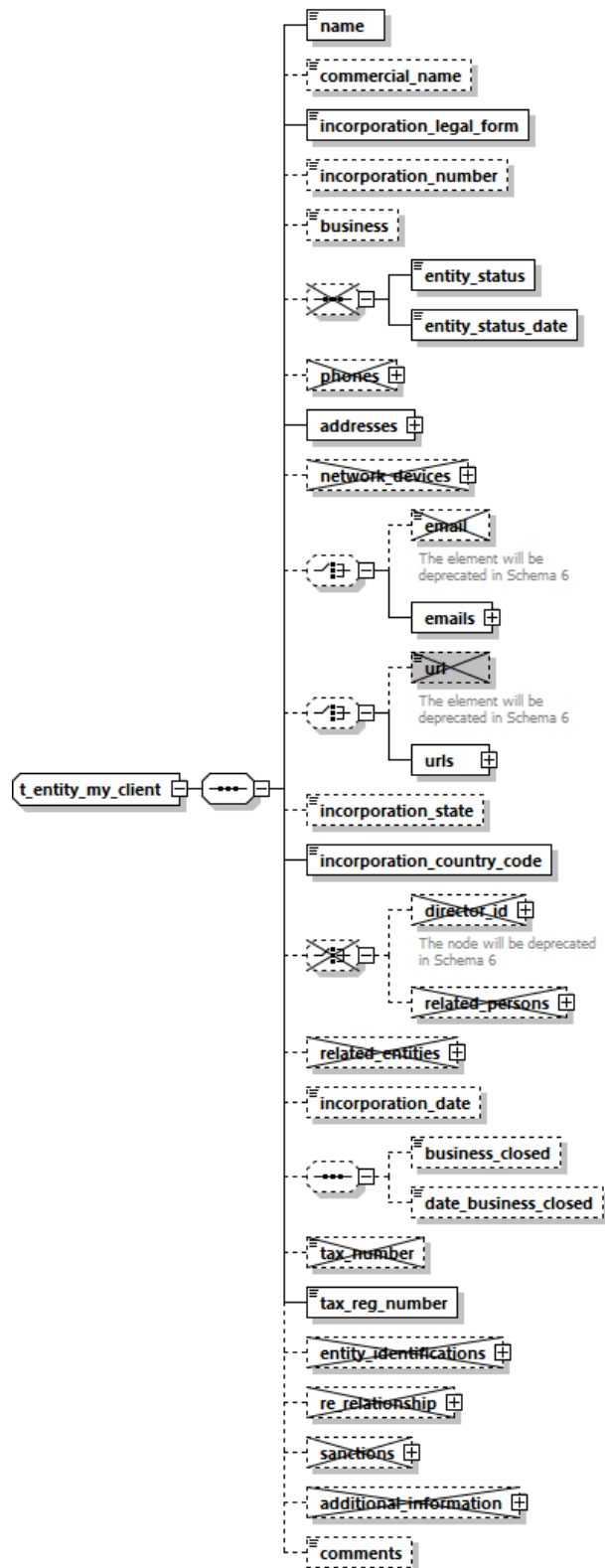


Figure 17: Overview type `t_entity_my_client`

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| Name | Description | Length | Req. | Example |
|------------------------------------|--|------------------------------------|----------|--|
| name | Name of Entity | Char (255) | Y | Doe Inc. |
| commercial_name | Short version of the entityname (company abbreviation) | Char (255) | N | |
| incorporation_ legal_form | The legal form of theentity | Type "legal_for m_type" | Y | See 8.11 Entity Legal Form Type |
| incorporation_ number | The registration number of the entity / "company" in the relevant authority (e.g. Chamber of Commerce) | Char (50) | N | UUID-Nr. 12345 |
| business | Business area of the entity | Char (255) | N | Free text describing business e.g. IT Services |
| addresses | A Holder node for a1...many Addresses | Type "t_addresses" | Y | See 7.14 Type "t_address" |
| emails | Email addresses | Type "email_address" Char (255) | N | |
| URLs | Websites | Type "url-address" Char (255) | N | |
| Incorporation state | State of incorporation | Char (155) | N | |
| incorporation_ country_code | Country of incorporation | Enumeration | Y | See 8.14 Country Codes |
| incorporation_date | Incorporation registrationdate | Date | N | |
| business_closed | Boolean to indicate if thecompany is closed down | Boolean | N | |
| date_business_closed | If entity is closed then specify close date. | Date | N | |
| tax_reg_number | Is it a domicile company?⁸ | Char (100) | Y | See 8.27 Allowed values for fields with yes/no answers |
| comments | Generic comments field | Char (8000) | N | |

Table 31: Details type t_entity_my_client

⁸ Financial intermediaries are required to comply with the special due diligence obligations in connection with domicile companies pursuant to Art. 2 lit. a para. 1 and 2 and Art. 13 AMLO-FINMA.

7.7.1. Business rules for t_entity_my_client

| Name | Business rule (short description) |
|----------------------|--|
| Date_business_closed | If field business_closed equals Y, then specify close date |
| Comments | If incorporation_legal_form equals "other", then specify |

Table 32: Business rules t_entity_my_client

7.8 Type “t_entity”

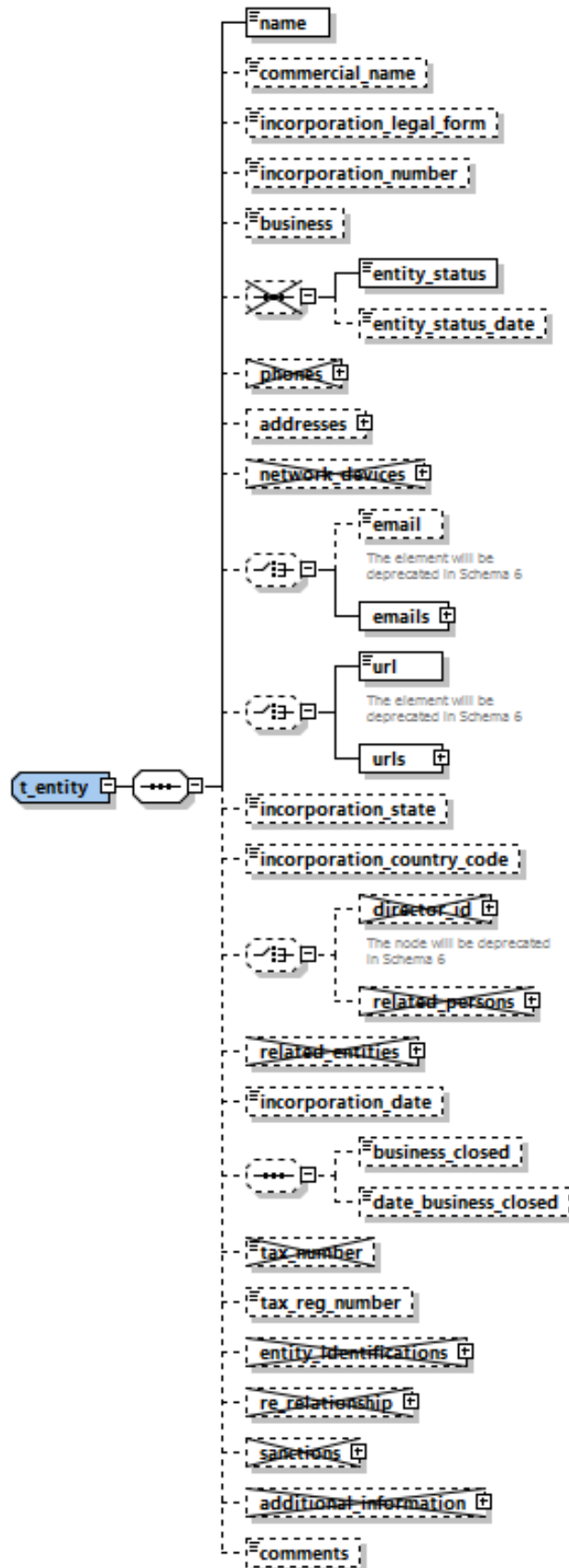


Figure 18: Overview type `t_entity`

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| Name | Description | Length | Req. | Example |
|----------------------------|--|------------------------|----------|---|
| name | Name of Entity | Char (255) | Y | Doe Inc. |
| commercial_name | Short version of the entity name (company abbreviation) | Char (255) | N | |
| incorporation_legal_form | The legal form of the entity | Type "legal_form_type" | N | See 8.11 Entity Legal Form Type |
| incorporation_number | The registration number of the entity / "company" at the relevant authority (e.g. Chamber of Commerce) | Char (50) | N | UUID-Nr. 12345 |
| addresses | A Holder node for a 1...many Addresses | | N | |
| address | One occurrence of address node | Type "t_address" | N | See 7.14 Type "t_addresses" |
| incorporation_country_code | Country of incorporation | Enumeration | N | 8.14 Country Codes |
| comments | Generic comments field | Char (8000) | N | |

Table 33: Details type t_entity

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7.9 Type "t_person_my_client"

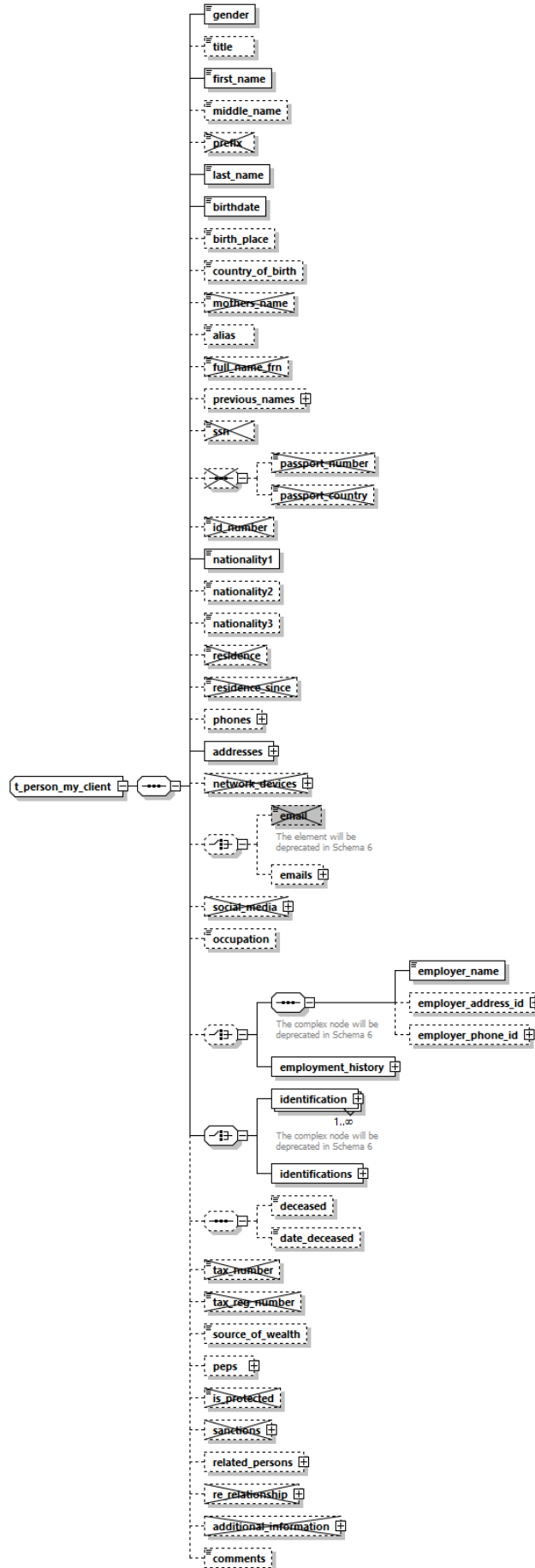


Figure 19: Overview type t_person_my_client

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| Name | Description | Length | Req. | Example |
|---------------------------------|--|---------------------------------|----------|---|
| gender | Gender | Enumeration | Y | See 8.19 Gender type |
| Title | Title | Char (30) | N | Professor |
| first_name | First name | Char (100) | Y | Hans |
| middle_name | Middle name | Char (100) | N | Peter |
| last_name | Last name of person | Char (100) | Y | Muster |
| birthdate | Birth date of person | Date | Y | 2023/09/24 |
| birth_place | Place of origin for Swiss citizens / Place of birth for other | Char (255) | N | Olten |
| Country_of_birth | Country of birth | Enumeration | N | Malta |
| Previous_names | Subnode that holds person information This node can be used to register different names (such as alternative spellings or previous names) of a persons' name. | Type "t_person" | N | See 7.10 Type "t_person" |
| nationality1⁹ | Country of nationality | Enumeration | Y | See 8.14 Country Codes |
| nationality2 | Country of Nationality (2) | Enumeration | N | See 8.14 Country Codes |
| nationality3 | Country of Nationality (3) | Enumeration | N | See 8.14 Country Codes |
| phones | A Holder node for a 1...many Phones | | N | |
| phone | One occurrence of phone node | Type "t_phone" | N | See 7.15 Type "t_phone" |
| addresses | A Holder node for a 1...many Addresses | | Y | |
| address | One occurrence of address node | Type "t_address" | Y | See 7.14 Type "t_address" |
| emails | Email addresses | Type "email_address" (Char 255) | N | |

⁹ If the person in question is of Swiss nationality and possesses additional nationalities, use the nationality1 field for the Swiss nationality and the nationality 2 to 3 fields for the remaining nationalities in alphabetical order of the corresponding country codes.

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| | | | | |
|------------------------|--|---|----------|--|
| occupation | Occupation | Char (255) | N | Financial Analyst |
| employer_name | Employer's name | Char (255) | N | Bank Y |
| employer_address_id | Employer's address | Type "t_address" | N | See 7.14 Type "t_address" |
| Employment_history | | Type "t_employer" | N | |
| Identifications | Subnode(s) for identification documents | Type "t_person_identification" (This subnode can be repeated to specify multiple identification documents) | Y | See 7.17 Type "t_person_identification" |
| deceased | A Boolean to indicate if person has passed away (should only be set if person is deceased) | Boolean | N | |
| date_deceased | If deceased, then RE must report deceased date | Date | N | Since CH 1.1.4 this is no longer a mandatory field but is checked by a business rule |
| peps | Politically exposed persons (PEP) | Type "pep_details" | N | |
| comments | Generic comments field | Char (8000) | N | Provide additional info you deem relevant, e.g. changed his name and nationality |

Table 34: Details type t_person_my_client

7.9.1. Business rules for t_person_my_client

| Name | Business rule (short description) |
|-------------------------|---|
| Deceased_date_mandatory | If field "deceased" has been checked, then the field "date_deceased" is mandatory |

Table 35: Business rules for t_person_my_client

7.10 Type “t_person”

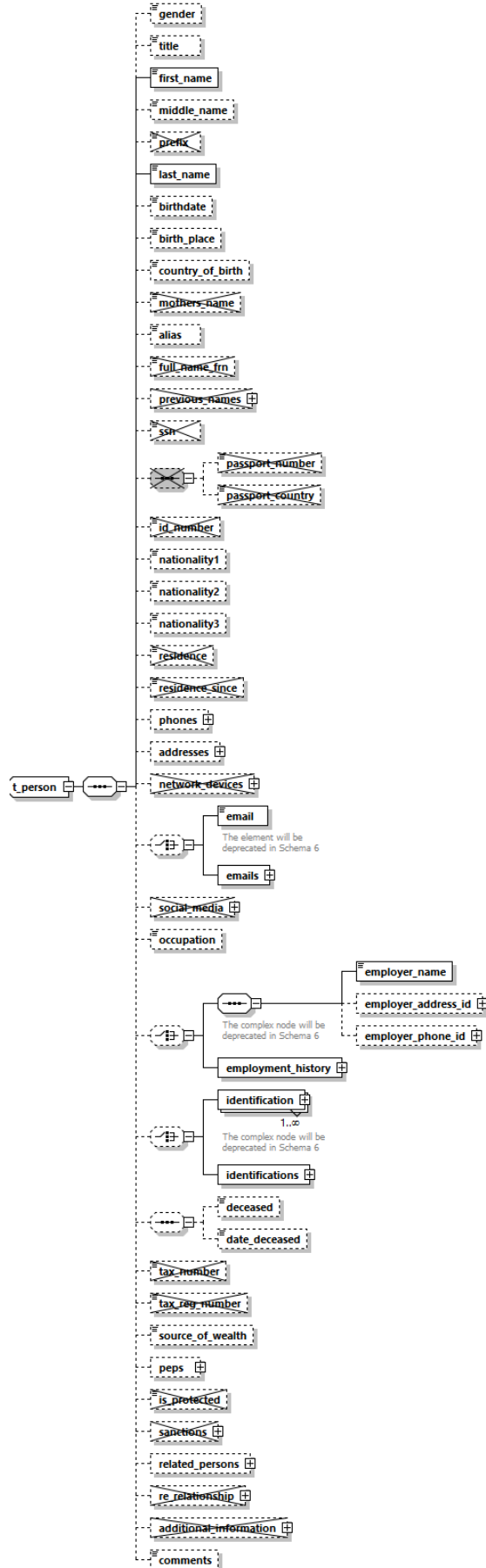


Figure 20: Overview type t_person

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Adapted for Switzerland

| Name | Description | Length | Req. | Example |
|----------------------------|--|-------------------|----------|---|
| gender | Gender | Enumeration | N | See 8.19 Gender type |
| first_name | First name (enter “n/a” if an entity is being registered) | Char (100) | Y | Hans |
| middle_name | Middle name | Char (100) | N | Peter |
| last_name | Last name of person / name of entity | Char (100) | Y | Muster |
| birthdate | Birth date of person | Date | N | |
| birth_place | Heimatort for Swiss citizen / Place of birth | Char (255) | N | Olten |
| Country_of_birth | Country of birth | Char (255) | N | Malta |
| Previous_names | Subnode that holds person information This node can be used to register different names (such as alternative spellings or previous names) of a persons' name. | Type “t_person” | | See 7.10 Type “t_person” |
| nationality1 ¹⁰ | Country of nationality/incorporation (1) | Enumeration | N | See 8.14 Country Codes |
| nationality2 | Country of Nationality (2) | Enumeration | N | See 8.14 Country Codes |
| nationality3 | Country of Nationality (3) | Enumeration | N | See 8.14 Country Codes |
| addresses | A Holder node for a 1...many Addresses | | N | |
| address | One occurrence of address node | Type “t_address” | N | See 7.14 Type “t_address” |

¹⁰If the person in question is of Swiss nationality and possesses additional nationalities, use the nationality1 field for the Swiss nationality and the nationality 2 to 3 fields for the remaining nationalities in alphabetical order of the corresponding country codes.

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| | | | | |
|-----------------|---|---|---|---|
| identifications | Subnode(s) for identification documents | Type "t_person_id entification" (This subnode can be repeated to specify multiple identification documents) | N | See 7.17 Type "t_person_id entification" |
| comments | Generic comments field | Char (8000) | N | Provide additional info you deem relevant, e.g., changed his name and nationality |

Table 36: Details type t_person

7.11 Type "t_peps"

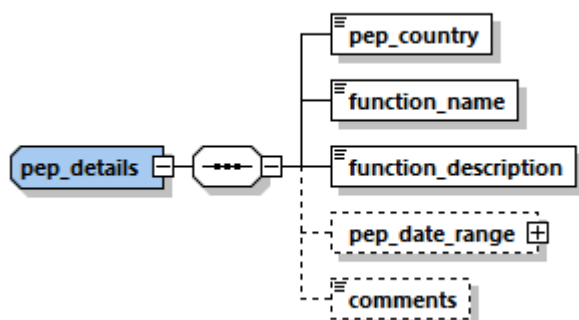


Figure 21: Overview type t_peps

| Name | Description | Length | Req. | Example |
|----------------------|----------------------------|-------------|------|--|
| pep_country | Country of function | Enumeration | Y | |
| function_name | Name of the function | Char (255) | Y | Member of the government |
| function_description | Description | Char (8000) | Y | Minister of the Defense |
| pep_date_range | Date range of the function | Date range | N | |
| comments | Generic comments field | Char (8000) | N | Provide comments you consider relevant: e.g. for years, X was the closest person to President Y of country Z |

Table 37: Details Type t_peps

7.12 Type `t_person_registration_in_report`

The structure of `t_person_registration_in_report` is similar to the one of type `t_person`, however, adapted to the person submitting the report to MROS.

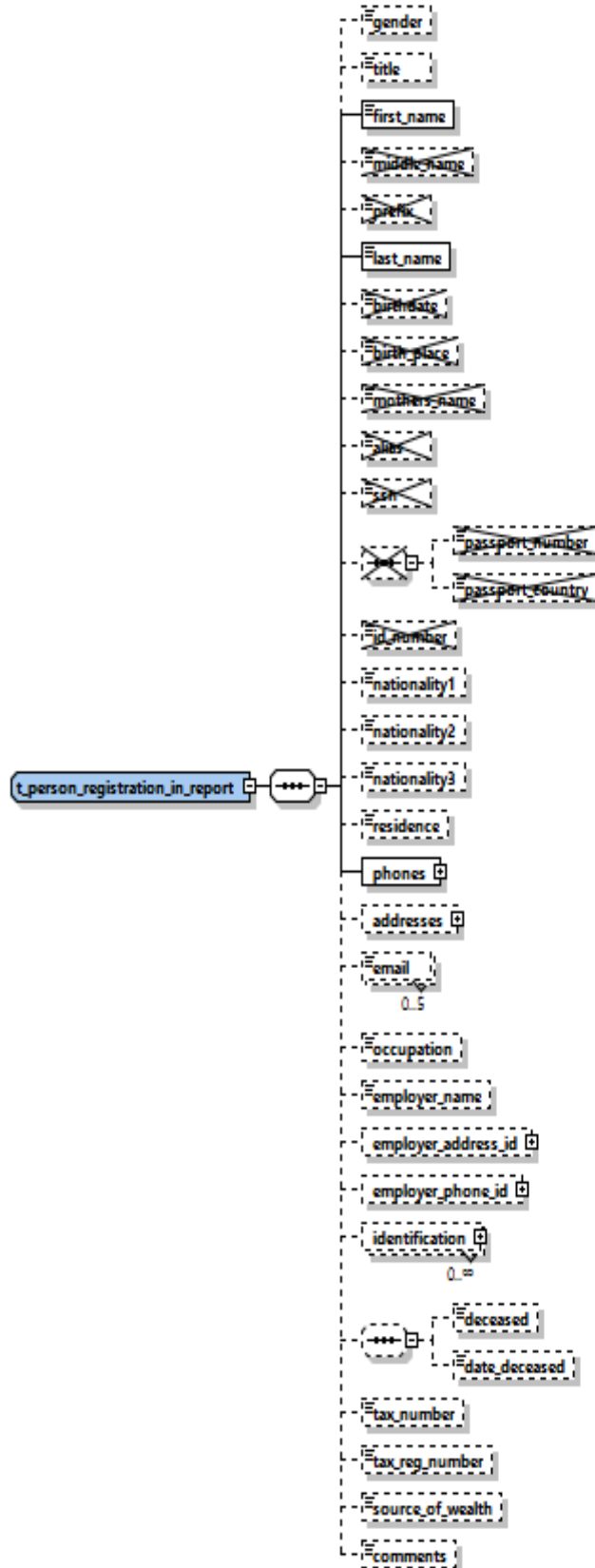


Figure 22: Overview `t_person_registration_in_report`

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| Name | Description | Length | Req. | Example |
|------------|-------------------------------------|------------------------|------|---|
| gender | Gender | Enumeration | N | See 8.19 Gender type |
| first_name | First name | Char (100) | Y | Hans |
| last_name | Last name | Char (100) | Y | Muster |
| phones | A Holder node for a 1...many Phones | | Y | |
| phone | One occurrence of phone node | Type "t_phone" | Y | See 7.15 Type "t_phone" |
| Email | Email address | Type "t_email_address" | Y | hans.muster@xyz.com |
| comments | Generic comments field | Char (8000) | N | |

Table 38: Details Type t_person_registration_in_report

7.13 Type "t_party"

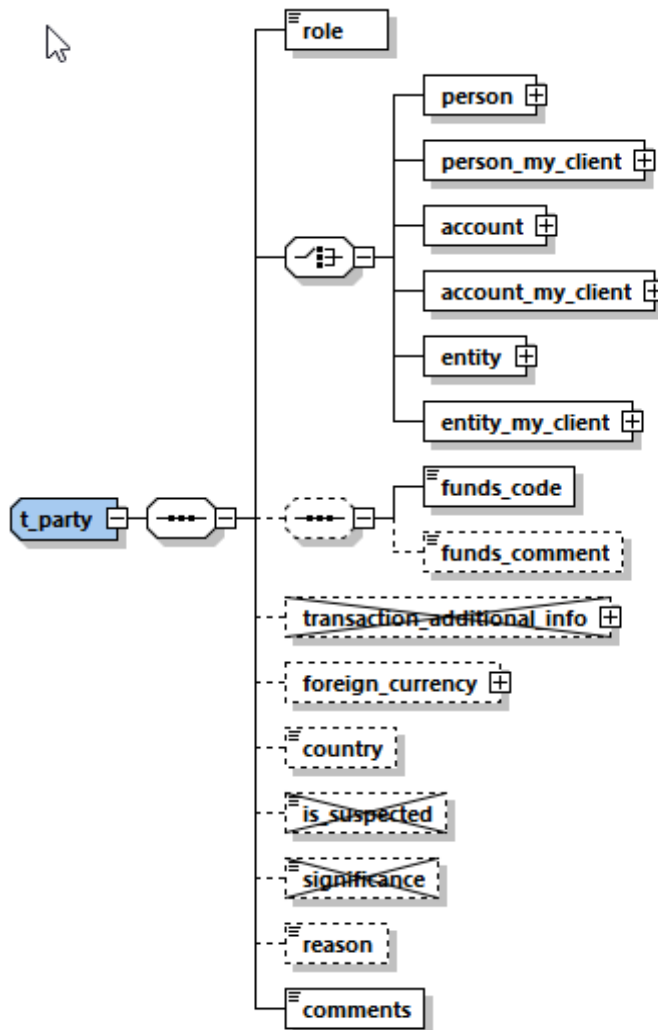


Figure 23: Overview type t_party

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| Name | Description | Length | Req. | Example |
|-------------------|---|----------------------------|---|--|
| role | Subject role in the transaction | Enumeration | Y | See 8.17 Party role Type |
| person | Involved Person | Type "t_person" | Y (One of them must be selected and of type my_client) | See 7.10 Type "t_person" |
| person_my_client | Involved Person | Type "t_person_my_client" | | See 7.9 Type "t_person_my_client" |
| account | Involved Account | Type "t_account" | | See 7.2 Type "t_account" |
| account_my_client | Involved Account | Type "t_account_my_client" | | See 7.1 Type "t_account_my_client" |
| entity | Involved Entity | Type "t_entity" | | See 7.8 Type "t_entity" |
| entity_my_client | Involved Entity | Type "t_entity_my_client" | | See 7.7 Type "t_entity_my_client" |
| funds_code | Type of funds used in initiating transaction | Enumeration | Y | See 8.2 Funds type |
| funds_comment | Additional information to the funds_code if funds_type is "other". | Char (255) | N | |
| foreign_currency | If the transaction is conducted in foreign currency, then specify the foreign currency details. | Type "t_foreign_currency" | N | See 7.16 Type "t_foreign_currency" |
| country | Country | Enumeration | N | See 8.14 Country Codes |
| comments | Provide additional information to the role and the background of the involved person | Char (8000) | Y | |

Table 39: Details type t_party

7.13.1 Business rules for t_party

| Name | Business rule (short description) |
|------------|---|
| Funds_code | If funds_code is not "MULTIPARTY Dummy", then reject. |

Table 40: Business rules for t_party

7.14 Type “t_address”

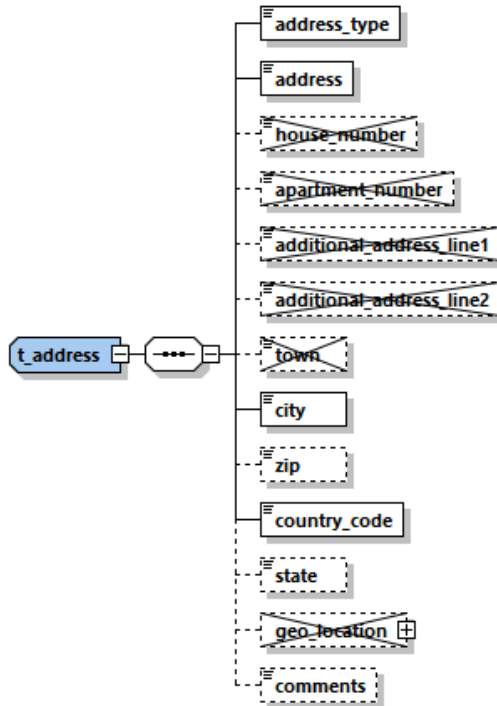


Figure 24: Overview type t_address

| Name | Description | Length | Req. | Example |
|--------------|---------------------------------|-------------------------------|------|---|
| address_type | The contact type of the address | Enumeration | Y | e.g., Private see 8.9 Phone Address Type |
| address | Street name and house number | Char (100) | Y | |
| city | City | Char (255) | Y | e.g., Bern (please no combination of zip + city) |
| zip | Zip | Char (10) | N | e.g., 3008 (please no combination of country +zip) |
| country_code | Country | Enumeration | Y | See 8.14 Country Codes |
| state | Canton | Type “state_type” Char (2) | N | For Swiss addresses provide Canton exclusively as a two-character code (e.g., GE, TI etc.). See 8.20 |

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| | | | | |
|----------|------------------|-------------|---|---|
| | | | | Allowed values for Cantons |
| | | | | Note: For foreign addresses provide name of State, Prefecture, District, etc. |
| comments | Generic comments | Char (8000) | N | |

Table 41: Details type t_address

7.15 Type “t_phone”

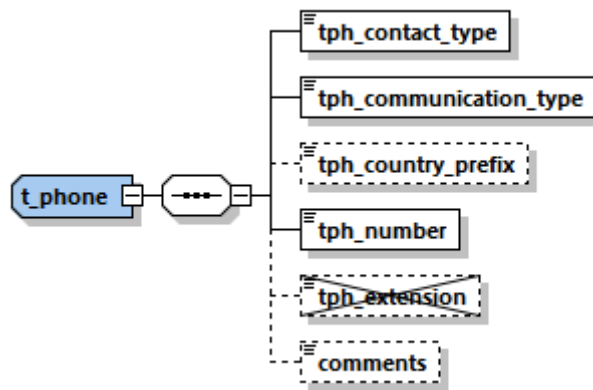


Figure 25: Overview type t_phone

| Name | Description | Length | Req. | Example |
|------------------------|---------------------------------|-------------|------|--|
| tph_contact_type | The contact type of the Phone | Enumeration | Y | See 8.9 Phone Address Type |
| tph_communication_type | Communication type of the Phone | Enumeration | Y | See 8.10 Communication Type |
| tph_country_prefix | Country phone code | Char (4) | N | ++41 |
| tph_number | Phone number | Char (50) | Y | 0794587798 ; Provide phone number without special characters and country codes. Register the country code in the dedicated tph_country_prefix-field only |
| comments | Generic comments | Char (8000) | N | |

Table 42: Details type t_phone

7.16 Type “t_foreign_currency”

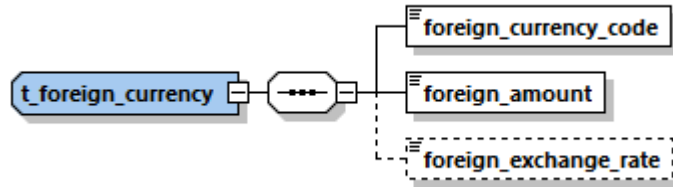


Figure 26: Overview type t_foreign_currency

| Name | Description | Length | Req. | Example |
|-----------------------|---|-------------|------|--|
| foreign_currency_code | Currency Code according to ISO 4217 | Enumeration | Y | See 8.14 Country Codes |
| foreign_amount | Transaction amount in <u>original</u> currency (CHF or foreign currency depending on transaction) | Decimal | Y | 1300.50 |
| foreign_exchange_rate | Exchange rate used for transaction | Integer | Y | Must be set to 1 |

Table 43: Details type t_foreign_currency

7.16.1 Business rules for t_foreign_currency

| Name | Business rule (short description) |
|----------------|---|
| foreign_amount | If transaction_type equals “MULTIPARTY Dummy”, then field “foreign_amount” must be zero (0) |

Table 44: Business rules t_foreign_currency

7.17 Type “t_person_identification”

This chapter is dedicated to the documents that allow to identify subjects (individuals) such as passports, national IDs, driver licenses or any other legal document. If more than one identification is available, please provide all of them

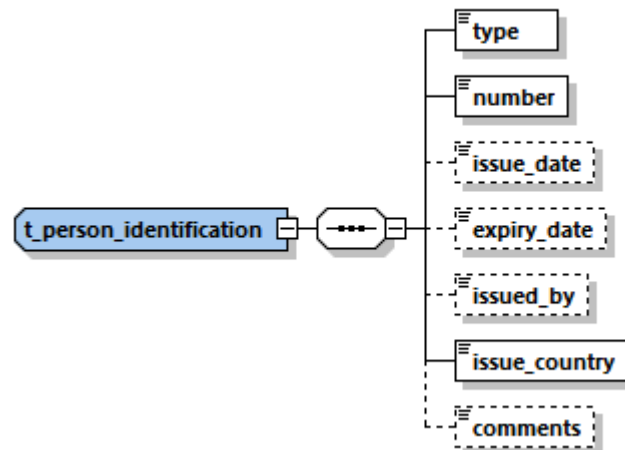


Figure 27: Overview type t_person_identification

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| Name | Description | Length | Req. | Example |
|----------------------|--|--------------------|----------|---|
| type | Document type | Enumeration | Y | See 8.5 Identifier type |
| number | ID of the identification document | Char (255) | Y | AT08154711 |
| issue_date | Identification document issue date | Date | N | |
| expiry_date | Identification document expiry date | Date | N | |
| issued_by | Name of Authority issued the document | Char (255) | N | Interior Ministry |
| issue_country | Country where the document was issued | Enumeration | Y | See 8.14 Country Codes |
| comments | Generic comments field | Char (8000) | N | |

Table 45: Details type t_person_identification

7.17.1 Business rules for t_person_identification

| Name | Business rule (short description) |
|----------|--|
| comments | If type is “other”, then give additional information |

Table 46: Business rules t_person_identification

7.18 Type “report_party_type”

Represents an involved subject in a report and its details. Subject can be a Person, an Account or an Entity – one of them must be included per involved party.

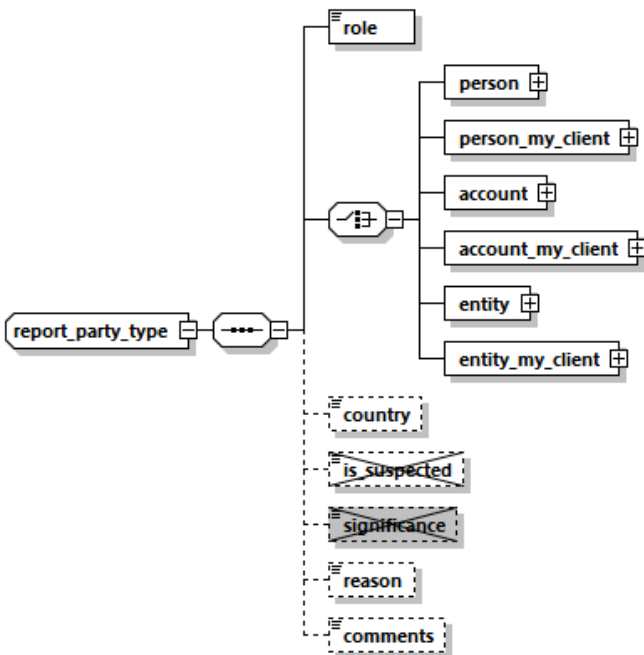


Figure 28: Overview report_party_type

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| Name | Description | Length | Req. | Example |
|-------------------|--|-------------------------------|------|--|
| role | Role | Enumeration | Y | See 8.28 Report Party role |
| person | Involved person | Type "t_person" | N | See 7.10 Type "t_person" |
| person_my_client | Person as reported subject (my client) | Type "t_person_my_client" | N | See 7.9 Type "t_person_my_client" |
| account | Involved account | Type "t_account" | N | See 7.2 Type "t_account" |
| account_my_client | Account as reported subject (my client) | Type "t_account_my_client" | N | See 7.1 Type "t_account_my_client" |
| entity | Involved entity | Type "t_entity" | N | See 7.8 Type "t_entity" |
| entity_my_client | | Type "t_entity_my_client" | N | See 7.7 Type "t_entity_my_client" |
| country | | Type "t_country" | N | See 8.13 Country Codes |
| reason | Register additional information to the role of the corresponding subject. | Char (8000) | N | |
| comments | Generic comments; e.g., why the subject is involved in the current report. | Char (8000) | N | |

Table 47: Details report_party_type

7.18.1. Business rules for t_report_party_type

| Name | Business rule (short description) |
|------|---|
| | if SAR and indicator is not '0003M', then either "account_my_client", "person_my_client" or "entity_my client" is mandatory. If "entity my client", then "person my client" is mandatory. |

Table 48: Business rules t_report_party_type

7.19 Type t_trans_item

For information on this Type, please look at [6.9 Subnode "goods services"](#).

7.20 Type generic additional information type

A new optional generic node for adding any number of unplanned extra information in a controlled way.

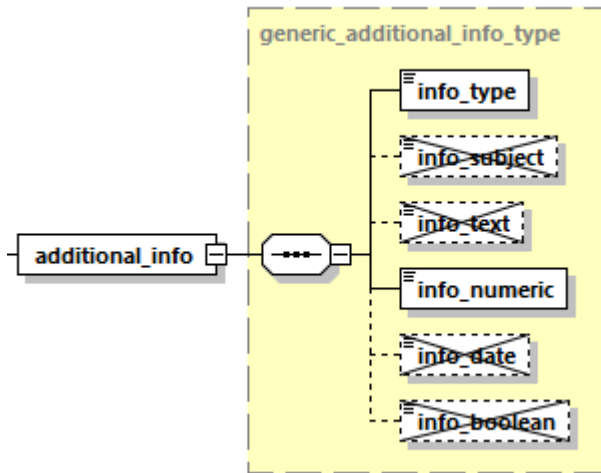


Figure 29: Overview generic_additional_information_type

| Name | Description | Length | Req. | Example |
|--------------|---|-------------|------|--|
| info_type | Type of the provided info | Enumeration | Y | See 8.26 Additional information type |
| Info_numeric | Number of reported business relationships | decimal | Y | 5 |

Table 49: Details generic_additional_information_type

8. Lookup Values

All schema lookups are defined as enumerations. The goAML application has the option to update the schema automatically with the lookup codes defined by the FIU in the “Lookup Master” screen. Reporting entities will not be able to submit reports with undefined lookup codes.

The lookups mentioned in the following chapters reflect the lookup tables defined by FIU Switzerland.

8.1 Submission type

| Value | Description |
|-------|----------------|
| E | Electronically |

Table 50: submission type

8.2 Funds type

| Value | Description |
|-------|-------------------------|
| 2 | Virtual Assets (Crypto) |
| 6 | Precious metals |
| 14 | Casino chips |
| 20 | Securities |
| 23 | Cheque |
| 25 | MULTIPARTY Dummy |
| 26 | Cash |
| 27 | Fiat money |

Table 51: Funds type

8.3 Account type

| Value | Description |
|-------|---|
| 1 | Business account |
| 2 | Current account |
| 5 | Capital payment account |
| 6 | Precious metals account |
| 7 | Commodity account |
| 8 | Loan account |
| 9 | Credit card account |
| 10 | Debit card account |
| 12 | Insurance policy |
| 13 | Custody account (Securities) |
| 14 | Other |
| 15 | Savings account |
| 17 | Safe deposit box |
| 18 | Custody Account (Virtual Assets) |
| 19 | External-Custodial Address (Virtual Assets) |
| 20 | Fiat Custody Account for VASP |

Table 52: Account type

8.4 Account status type

| Value | Description |
|-------|-------------|
| 1 | Active |
| 2 | Closed |
| 3 | Dormant |
| 4 | Unknown |

Table 53: Account status type

8.5 Identification type

| Value | Description |
|-------|---------------------|
| 1 | Driver's license |
| 2 | Identity Card |
| 3 | Passport |
| 4 | Other |
| 5 | Residence permit |
| 6 | Commercial register |

Table 54: Identification type

8.6 Transaction Type

| Value | Description |
|-------|---|
| B2BWT | Bank2Bank wire transfer |
| FXOFC | Currency exchange office |
| DEPAC | Deposit (ATM or Counter) |
| WITHD | Withdrawal (ATM or Counter) |
| INTAT | Internal Account transfer |
| MOMOT | Money transfer by cell phone |
| POSAL | POS (Point of Sale) |
| PREMT | Precious metals (sale or purchase) |
| SECCA | Securities (dividends or corporate actions) |
| SECSP | Securities (sale or purchase) |
| SECIO | Securities (transfer in or out) |
| VASSP | Virtual assets (sale or purchase) |
| VASIO | Virtual assets (transfer in or out) |
| MUPAD | MultiParty Dummy |
| CASHT | Cash money transfer |

Table 55: Transaction Type

8.7 Transaction Item Status / Property Status

| Value | Description |
|-------|-------------|
| 1 | UNKNOWN |
| 2 | Bought |
| 3 | Sold |
| 4 | Let |
| 5 | Hired |
| 6 | Exchanged |
| 7 | Donated |
| 8 | Destroyed |
| 9 | Other |

Table 56: Transaction Item Status

8.8 Report Code

| Value | Description |
|-------|--|
| STR | Suspicious Transaction Report (with transactions) |
| SAR | Suspicious Activity Report (without transactions) |
| AIF | AIF - Additional information based on art. 11a para. 1 / 2 / 3 AMLA (without transactions) |
| AIFT | AIFT - Additional information based on art. 11a para. 1 / 2 / 3 AMLA (with transactions) |
| CANCL | Termination of a business relationship based on art. 9b AMLA (without transactions) |
| CANCT | Termination of a business relationship based on art. 9b AMLA (with transactions) |
| IRD | Incoming request for information ¹¹ |
| ISD | Incoming spontaneous disclosure of information ¹² |

Table 57: Report Code

8.9 Phone Address Type

| Value | Description |
|-------|-------------|
| 1 | Unknown |
| 2 | Other |
| 3 | Private |
| 4 | Business |

Table 58: Contact Type

8.10 Communication Type

| Value | Description |
|-------|----------------|
| 1 | Landline Phone |
| 2 | Mobile Phone |
| 3 | E-Mail |
| 4 | Other |
| 5 | Fax |
| 6 | Unknown |

Table 59: Communication Type

8.11 Entity Legal Form Type

| Value | Description |
|-------|-----------------------------|
| 1 | Unknown |
| 2 | Association (bisher NGO) |
| 3 | Charity |
| 4 | Other |
| 5 | Trust |
| 6 | Sovereign wealth fund |
| 7 | Investment company |
| 8 | Limited |
| 9 | LLC |
| 10 | Single-member company |
| 11 | Partnership |
| 12 | Private limited partnership |

¹¹ Only relevant for authorities / REs do not have this report type available

¹² Only relevant for authorities / REs do not have this report type available

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| | |
|----|-------------------------------|
| 13 | Club |
| 14 | Foundation |
| 15 | Cooperative |
| 16 | Simple partnership |
| 17 | Holding |
| 18 | Public law corporation (OERK) |

Table 60: Legal Form Type

8.12 Transaction Item Type

| Value | Description |
|-------|---------------|
| 1 | Unknown |
| 2 | Other |
| 3 | Equipment |
| 4 | Object of art |
| 5 | Furniture |
| 6 | Jewellery |
| 7 | Property |
| 8 | Vehicle |
| 9 | Weapon |

Table 61: Transaction Item Type

8.13 Currency codes

World Currencies listed by ISO 4217

| Value | Description |
|-------|------------------------------------|
| AFN | Afghan afghani |
| DZD | Algerian Dinar |
| AOA | Angolan kwanza |
| ARS | Argentinean Nuevo Peso |
| AWG | Aruban Guilder |
| AUD | Australian Dollar |
| AZN | Azerbaijani manat |
| BSD | Bahamian Dollar |
| BHD | Bahraini Dinar |
| THB | Baht |
| PAB | Balboa |
| BBD | Barbados Dollar |
| BYR | Belarussian Rouble |
| BZD | Belize Dollar |
| BMD | Bermudian Dollar |
| BTC | Bitcoin |
| BOB | Boliviano |
| BND | Brunei Dollar |
| BGN | Bulgarian lev |
| BIF | Burundi Franc |
| CAD | Canadian Dollar |
| KYD | Cayman Islands Dollar |
| CLP | Chilean Peso |
| XTS | Code reserved for testing purposes |
| COP | Colombian Peso |

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| | |
|-----|--|
| KMF | Comorian Franc |
| CDF | Congolese franc |
| BEC | Convertible Belgian Franc (no longer in use) |
| BAM | Convertible Mark |
| NIO | Cordoba oro |
| CRC | Costa Rican Colón |
| HRK | Croatian Kuna |
| CUP | Cuban Peso |
| CZK | Czech Koruna |
| GMD | Dalasi |
| DKK | Danish Krone |
| KPW | Democratic People's Republic of Korean Won |
| DJF | Djibouti Franc |
| STD | Dobra |
| XDG | Dogecoin |
| DOP | Dominican Republic Peso |
| AMD | Dram |
| XCD | East Caribbean Dollar |
| EGP | Egyptian Pound |
| ERN | Eritrean Nakfa |
| CVE | Escudo Caboverdiano |
| ETH | Ethereum |
| ETB | Ethiopian Birr |
| EUR | Euro (replacement name for the ECU) |
| XBA | European Composite Unit |
| XBB | European Monetary Unit |
| XBD | European Unit of Account 17 |
| XBC | European Unit of Account 9 |
| FKP | Falkland Pound |
| FJD | Fiji Dollar |
| BEL | Financial Belgian Franc (no longer in use) |
| HUF | Forint |
| XAF | Franc de la Communauté financière africaine |
| XPF | Franc des Comptoirs français du Pacifique |
| GHS | Ghanaian cedi |
| GIP | Gibraltar Pound |
| XAU | Gold |
| HTG | Gourde |
| PYG | Guarani |
| GNF | Guinean franc |
| GYD | Guyana Dollar |
| HKD | Hong Kong Dollar |
| UAH | Hryvna |
| ISK | Icelandic Króna |
| UKP | Incorrectly used for GBP |
| INR | Indian Rupee |
| XDR | International Monetary Fund Special Drawing Rights |

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| | |
|-----|---|
| IRR | Iranian Rial |
| IQD | Iraqi Dinar |
| JMD | Jamaican Dollar |
| JOD | Jordanian Dinar |
| KES | Kenyan Shilling |
| PGK | Kina |
| LAK | Kip |
| EEK | Kroon |
| KWD | Kuwaiti Dinar |
| AOK | Kwanza |
| MMK | Kyat |
| KGS | Kyrgyzstani Som |
| GEL | Lari |
| LVL | Lats |
| LBP | Lebanese Pound |
| ALL | Lek |
| HNL | Lempira |
| SLL | Leone |
| LRD | Liberian Dollar |
| LYD | Libyan Dinar |
| SZL | Lilangeni |
| LTL | Litas |
| LTC | Litecoin |
| LSL | Loti |
| MKD | Macedonian Dinar |
| MGA | Malagasy ariary |
| MWK | Malawian Kwacha |
| LSM | Maloti |
| MTP | Maltese Pound, replaced by Maltese Lira |
| MUR | Mauritius Rupee |
| MXN | Mexican New Peso (replacement for Mexican Peso) |
| MDL | Moldavian Leu |
| MAD | Moroccan Dirham |
| MZN | Mozambican metical |
| NGN | Naira |
| NAD | Namibian Dollar |
| NPR | Nepalese Rupee |
| ANG | Netherlands Antilles Guilder |
| PEN | New Sol |
| CDZ | New Zaïre |
| NZD | New Zealand Dollar |
| PLN | New Zloty |
| BTN | Ngultrum |
| NOK | Norwegian Krone |
| OMR | Omani Rial |
| OVC | Other Virtual Currencies |
| MRO | Ouguiya |

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| | |
|------|--|
| TOP | Pa'anga |
| PKR | Pakistani Rupee |
| XPD | Palladium (one troy ounce) |
| MOP | Pataca |
| PHP | Philippines Peso |
| XPT | Platinum (one troy ounce) |
| GBP | Pound Sterling (United Kingdom Pound) |
| BWP | Pula |
| QAR | Qatari Riyal |
| GTQ | Quetzal |
| ZAR | Rand |
| BRL | Real |
| BUK | Replaced by MMK |
| KRW | Republic of Korean Won |
| KHR | Riel |
| MYR | Ringgit (also known as Malaysian Dollar) |
| RON | Romanian new leu |
| MVR | Rufiyaa |
| IDR | Rupiah |
| RUB | Russian Federation Rouble (formerly RUR) |
| RWF | Rwandan Franc |
| SAR | Saudi Riyal |
| RSD | Serbian dinar |
| SCR | Seychelles Rupee |
| ILS | Shekel |
| XAG | Silver (one troy ounce) |
| SGD | Singapore Dollar |
| PES | Sol (replaced by New Sol [PEN]) |
| SBD | Solomon Islands Dollar |
| SOS | Somali Shilling |
| SSP | South Sudanese Pound |
| LKR | Sri Lankan Rupee |
| SHP | St Helena Pound |
| XLM | Stellar |
| SDG | Sudanese pound |
| SRD | Surinamese dollar |
| SEK | Swedish Krona |
| CHF | Swiss Franc |
| GNS | Syli (also known as Guinea Franc) |
| SYP | Syrian Pound |
| TWD | Taiwan Dollar |
| TJS | Tajikistani somoni |
| BDT | Taka |
| WST | Tala |
| TZS | Tanzanian Shilling |
| KZT | Tenge |
| USDT | Tether |

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| | |
|-----|--|
| TPE | Timorian Escudo |
| TTD | Trinidad and Tobago Dollar |
| MNT | Tugrik |
| TND | Tunisian Dinar |
| TRY | Turkish lira |
| TMT | Turkmenistani manat |
| UGX | Ugandan shilling |
| XFU | UIC franc (special settlement currency) |
| COU | Unidad de Valor Real |
| CLF | Unidades de Fomento |
| AED | United Arab Emirates Dirham |
| USD | United States Dollar |
| USN | United States Dollar (Next day) |
| USS | United States Dollar (Same day) |
| UYU | Uruguayan New Peso |
| UYP | Uruguayan Peso, replaced by Uruguayan New Peso (UYU) |
| UZS | Uzbekistani Som |
| VUV | Vatu |
| VEF | Venezuelan bolívar fuerte |
| VND | Viet Nam Đông |
| XOF | West African Franc |
| CHW | WIR Bank (complementary currency) |
| CHE | WIR Bank (complementary currency) |
| XRP | XRP |
| YER | Yemeni Riyal |
| JPY | Yen |
| CNY | Yuan Renminbi |
| ZMW | Zambian Kwacha |
| ZMK | Zambian Kwacha (obsolete) |

Table 62: Currency Codes

8.14 Country Codes

This list shows the country names (official short names in English) in alphabetical order as given in ISO 3166-1 and the corresponding ISO 3166-1-alpha-2 code elements.

| Value | Description |
|-------|----------------------|
| AD | ANDORRA |
| AE | UNITED ARAB EMIRATES |
| AF | AFGHANISTAN |
| AG | ANTIGUA AND BARBUDA |
| AI | ANGUILLA |
| AL | ALBANIA |
| AM | ARMENIA |
| AN | NETHERLANDS ANTILLES |
| AO | ANGOLA |
| AQ | ANTARCTICA |
| AR | ARGENTINA |
| AS | AMERICAN SAMOA |

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| | |
|----|---------------------------------------|
| AT | AUSTRIA |
| AU | AUSTRALIA |
| AW | ARUBA |
| AX | ÅLAND ISLANDS |
| AZ | AZERBAIJAN |
| BA | BOSNIA AND HERZEGOVINA |
| BB | BARBADOS |
| BD | BANGLADESH |
| BE | BELGIUM |
| BF | BURKINA FASO |
| BG | BULGARIA |
| BH | BAHRAIN |
| BI | BURUNDI |
| BJ | BENIN |
| BL | SAINT BARTHÉLEMY |
| BM | BERMUDA |
| BN | BRUNEI DARUSSALAM |
| BO | BOLIVIA |
| BQ | BONAIRE, SAINT EUSTATIUS AND SABA |
| BR | BRAZIL |
| BS | BAHAMAS |
| BT | BHUTAN |
| BV | BOUVET ISLAND |
| BW | BOTSWANA |
| BY | BELARUS |
| BZ | BELIZE |
| CA | CANADA |
| CC | COCOS (KEELING) ISLANDS |
| CD | CONGO, THE DEMOCRATIC REPUBLIC OF THE |
| CF | CENTRAL AFRICAN REPUBLIC |
| CG | CONGO |
| CH | SWITZERLAND |
| CI | COTE D'IVOIRE |
| CK | COOK ISLANDS |
| CL | CHILE |
| CM | CAMEROON |
| CN | CHINA |
| CO | COLOMBIA |
| CR | COSTA RICA |
| CU | CUBA |
| CV | CAPE VERDE |
| CW | CURAÇAO |
| CX | CHRISTMAS ISLAND |
| CY | CYPRUS |
| CZ | CZECH REPUBLIC |
| DE | GERMANY |
| DJ | DJIBOUTI |
| DK | DENMARK |
| DM | DOMINICA |
| DO | DOMINICAN REPUBLIC |

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| | |
|----|--|
| DZ | ALGERIA |
| EC | ECUADOR |
| EE | ESTONIA |
| EG | EGYPT |
| EH | WESTERN SAHARA |
| ER | ERITREA |
| ES | SPAIN |
| ET | ETHIOPIA |
| FI | FINLAND |
| FJ | FIJI |
| FK | FALKLAND ISLANDS (MALVINAS) |
| FM | MICRONESIA, FEDERATED STATES OF |
| FO | FAROE ISLANDS |
| FR | FRANCE |
| GA | GABON |
| GB | UNITED KINGDOM |
| GD | GRENADA |
| GE | GEORGIA |
| GF | FRENCH GUIANA |
| GG | GUERNSEY |
| GH | GHANA |
| GI | GIBRALTAR |
| GL | GREENLAND |
| GM | GAMBIA |
| GN | GUINEA |
| GP | GUADELOUPE |
| GQ | EQUATORIAL GUINEA |
| GR | GREECE |
| GS | SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS |
| GT | GUATEMALA |
| GU | GUAM |
| GW | GUINEA-BISSAU |
| GY | GUYANA |
| HK | HONG KONG |
| HM | HEARD ISLAND AND MCDONALD ISLANDS |
| HN | HONDURAS |
| HR | CROATIA |
| HT | HAITI |
| HU | HUNGARY |
| ID | INDONESIA |
| IE | IRELAND |
| IL | ISRAEL |
| IM | ISLE OF MAN |
| IN | INDIA |
| IO | BRITISH INDIAN OCEAN TERRITORY |
| IQ | IRAQ |
| IR | IRAN, ISLAMIC REPUBLIC OF |
| IS | ICELAND |
| IT | ITALY |
| JE | JERSEY |

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| | |
|----|--|
| JM | JAMAICA |
| JO | JORDAN |
| JP | JAPAN |
| KE | KENYA |
| KG | KYRGYZSTAN |
| KH | CAMBODIA |
| KI | KIRIBATI |
| KM | COMOROS |
| KN | SAINT KITTS AND NEVIS |
| KP | KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF |
| KR | KOREA, REPUBLIC OF |
| KS | KOSOVO (old – KS) |
| KW | KUWAIT |
| KY | CAYMAN ISLANDS |
| KZ | KAZAKHSTAN |
| LA | LAO PEOPLE'S DEMOCRATIC REPUBLIC |
| LB | LEBANON |
| LC | SAINT LUCIA |
| LI | LIECHTENSTEIN |
| LK | SRI LANKA |
| LR | LIBERIA |
| LS | LESOTHO |
| LT | LITHUANIA |
| LU | LUXEMBOURG |
| LV | LATVIA |
| LY | LIBYAN ARAB JAMAHIRIYA |
| MA | MOROCCO |
| MC | MONACO |
| MD | MOLDOVA, REPUBLIC OF |
| ME | MONTENEGRO |
| MF | SAINT MARTIN (FRENCH PART) |
| MG | MADAGASCAR |
| MH | MARSHALL ISLANDS |
| MK | MACEDONIA |
| ML | MALI |
| MM | MYANMAR |
| MN | MONGOLIA |
| MO | MACAO |
| MP | NORTHERN MARIANA ISLANDS |
| MQ | MARTINIQUE |
| MR | MAURITANIA |
| MS | MONTserrat |
| MT | MALTA |
| MU | MAURITIUS |
| MV | MALDIVES |
| MW | MALAWI |
| MX | MEXICO |
| MY | MALAYSIA |
| MZ | MOZAMBIQUE |
| NA | NAMIBIA |

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| | |
|----|---------------------------------|
| NC | NEW CALEDONIA |
| NE | NIGER |
| NF | NORFOLK ISLAND |
| NG | NIGERIA |
| NI | NICARAGUA |
| NL | NETHERLANDS |
| NO | NORWAY |
| NP | NEPAL |
| NR | NAURU |
| NU | NIUE |
| NZ | NEW ZEALAND |
| OM | OMAN |
| PA | PANAMA |
| PE | PERU |
| PF | FRENCH POLYNESIA |
| PG | PAPUA NEW GUINEA |
| PH | PHILIPPINES |
| PK | PAKISTAN |
| PL | POLAND |
| PM | SAINT PIERRE AND MIQUELON |
| PN | PITCAIRN |
| PR | PUERTO RICO |
| PS | PALESTINIAN TERRITORY, OCCUPIED |
| PT | PORTUGAL |
| PW | PALAU |
| PY | PARAGUAY |
| QA | QATAR |
| RE | REUNION |
| RO | ROMANIA |
| RS | SERBIA |
| RU | RUSSIAN FEDERATION |
| RW | RWANDA |
| SA | SAUDI ARABIA |
| SB | SOLOMON ISLANDS |
| SC | SEYCHELLES |
| SD | SUDAN |
| SE | SWEDEN |
| SG | SINGAPORE |
| SH | SAINT HELENA |
| SI | SLOVENIA |
| SJ | SVALBARD AND JAN MAYEN |
| SK | SLOVAKIA |
| SL | SIERRA LEONE |
| SM | SAN MARINO |
| SN | SENEGAL |
| SO | SOMALIA |
| SR | SURINAME |
| SS | SOUTH SUDAN |
| ST | SAO TOME AND PRINCIPE |
| SV | EL SALVADOR |

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| | |
|-----|--------------------------------------|
| SY | SYRIAN ARAB REPUBLIC |
| SZ | SWAZILAND |
| SX | SINT MAARTEN (DUTCH PART) |
| TC | TURKS AND CAICOS ISLANDS |
| TD | CHAD |
| TF | FRENCH SOUTHERN TERRITORIES |
| TG | TOGO |
| TH | THAILAND |
| TJ | TAJIKISTAN |
| TK | TOKELAU |
| TL | TIMOR-LESTE |
| TM | TURKMENISTAN |
| TN | TUNISIA |
| TO | TONGA |
| TR | TURKEY |
| TT | TRINIDAD AND TOBAGO |
| TV | TUVALU |
| TW | TAIWAN, PROVINCE OF CHINA |
| TZ | TANZANIA, UNITED REPUBLIC OF |
| UA | UKRAINE |
| UG | UGANDA |
| UM | UNITED STATES MINOR OUTLYING ISLANDS |
| UNK | UNKNOWN |
| US | UNITED STATES |
| UY | URUGUAY |
| UZ | UZBEKISTAN |
| VA | HOLY SEE (VATICAN CITY STATE) |
| VC | SAINT VINCENT AND THE GRENADINES |
| VE | VENEZUELA |
| VG | VIRGIN ISLANDS, BRITISH |
| VI | VIRGIN ISLANDS, U.S. |
| VN | VIET NAM |
| VU | VANUATU |
| WF | WALLIS AND FUTUNA |
| WS | SAMOA |
| XK | KOSOVO |
| YE | YEMEN |
| YT | MAYOTTE |
| ZA | SOUTH AFRICA |
| ZM | ZAMBIA |
| ZW | ZIMBABWE |

Table 63: Country Codes

8.15 Account person role type

| Value | Description |
|-------|---|
| 1 | Addressee |
| 6 | Other |
| 7 | Control owner / Controller |
| 13 | Beneficial owner |
| 14 | Contracting party |
| 15 | Power of attorney / Authorised signatory |
| 17 | Sender of funds |
| 18 | Receiver of funds |
| 19 | Contracting party & Beneficial owner |
| 20 | Contracting party & Control owner/controller |
| 21 | Contracting party & Power of attorney / Authorised signatory |
| 22 | Beneficial Owner & Power of attorney / Authorised signatory |
| 23 | Control owner / controller & Power of attorney / Authorised signatory |
| 24 | Contracting party & Beneficial Owner & Power of attorney / Authorised signatory |
| 25 | Contracting party & Control owner / controller & Power of attorney / Authorised signatory |

Table 64: account_person_role_type

8.16 Entity person role type

| Value | Description |
|-------|--|
| 2 | CEO |
| 3 | Beneficial Owner |
| 4 | CFO |
| 5 | Power of attorney / Authorised signatory |
| 6 | Director |
| 7 | Settlor |
| 8 | Trustee |
| 9 | Protector |
| 10 | Trust |
| 11 | Guarantor |
| 12 | Member of management |
| 13 | Owner |
| 14 | Control owner / Controller |
| 15 | Partner |
| 16 | Other |
| 17 | Parent company |
| 18 | Subsidiary |
| 19 | Beneficiary |
| 20 | Board of Directors member / Board of Directors president |

Table 65: entity_person_role_type

8.17 Party role type

| Value | Description |
|-------|----------------------------|
| 1 | Unknown |
| 2 | CEO |
| 3 | CFO |
| 4 | Director |
| 5 | Settlor |
| 6 | Trustee |
| 7 | Protector |
| 8 | Trust |
| 9 | Guarantor |
| 10 | Member of management |
| 11 | Owner |
| 12 | Control owner / Controller |
| 13 | Partner |
| 14 | Other |
| 15 | Legal representative |
| 16 | Shareholder |
| 17 | Employer |
| 18 | Colleague |
| 19 | Acquaintance |
| 20 | Relative |
| 21 | Domicile holder |
| 22 | Company's founder |
| 23 | Business partner |
| 24 | Customer |
| 25 | Employee |
| 26 | President |
| 27 | Auditor |
| 28 | Member of the board |
| 29 | Supervisor |
| 30 | Buyer |
| 31 | Seller |
| 32 | Beneficiary |
| 33 | Prospect |

Table 66: party_role_type

8.18 Report Indicators

This list contains more than only one category and is split in subchapters. These can be differentiated by looking at the Code. All report types end with “M”, predicate offenses to money laundering end with “V”; reasons for suspicion with “G” and attachments with “B”

| Code | Description |
|-------|--|
| 0001M | Art. 305ter para. 2 SCC |
| 0002M | Art. 9 para. 1 letter a AMLA |
| 0003M | Art. 9 para. 1 letter b AMLA |
| 0004M | Art. 9 para. 1 letter c AMLA |
| 0005M | Art. 16 para. 1 letter a AMLA |
| 0006M | Art. 27 AMLA |
| 0007M | Art. 7 FIAA |
| 0008M | Art. 9 para. 1bis AMLA (merchants) |
| 0009M | Article 11a paragraph 1 and 3 AMLA |
| 0010M | Article 11a paragraph 2 and 3 AMLA |
| 0011M | For Swiss authorities: IRD (Request for info/Spontaneous dissemination of info) |
| 0012M | For foreign authorities: IRI (Request for info/Spontaneous dissemination of info) |
| 0013M | For Swiss authorities: Article 29a paragraph 1 AMLA |
| 0014M | For Swiss authorities: Article 29a paragraph 2 AMLA |
| 0024M | Termination of a business relationship pursuant to art. 9b AMLA |
| 1001V | Misappropriation (Art. 138 SCC) |
| 1002V | Theft (Art. 139 SCC) |
| 1003V | Unauthorized obtaining of data (Art. 143 SCC) |
| 1004V | Fraud (Art. 146 SCC) |
| 1005V | Computer fraud (Art. 147 SCC) |
| 1006V | Counterfeiting of goods (Art. 155 para. 2 SCC) |
| 1007V | Extortion (Art. 156 SCC) |
| 1008V | Criminal mismanagement (Art. 158 no 1 and 2 SCC) |
| 1009V | Trafficking in human beings (Art. 182 SCC) |
| 1010V | Counterfeiting money (Art. 240 para. 1 SCC) |
| 1011V | Import, acquisition and storage of counterfeit money (Art. 244 para. 2 SCC) |
| 1013V | Criminal organization (Art. 260ter SCC) |
| 1014V | Financing terrorism (Art. 260quinquies SCC) |
| 1015V | Abuse of public office (Art. 312 SCC) |
| 1016V | Misconduct in public office (Art. 314 SCC) |
| 1022V | Federal Act on the Proscription of the Groups «Al-Qaeda» and «Islamic State» and Associated Organizations (Art. 2) |
| 1073V | Endangering public safety with weapons (Art. 260quater SCC) |
| 1090V | Forgery of military orders or instructions (Art. 277 no 1 SCC) |
| 1091V | Hostility towards a country at war or foreign troops (Art. 300 SCC) |
| 1099V | Infringement of a design right (Art. 41 para. 2 DesA) |
| 1102V | Patent infringement (Art. 81 para. 3 PatA) |
| 1103V | Agriculture Act (Art. 172 para. 2 AgricA) |
| 1104V | Topographies Act (Art. 11 para. 2 ToG) |
| 1105V | Federal Act on Foodstuffs and Utility Articles (Art. 63 para. 2 FSA) |
| 1106V | Therapeutic Products Act (Art. 86 para. 2 TPA) |
| 1107V | Sport Promotion Act (Art. 22 para. 2 and 3 SpoPA) |
| 1108V | Goods Control Act (Art. 14 para. 2 GCA) |
| 1109V | Gambling Act (Art. 130 para. 2 GambIA) |

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| | |
|-------|--|
| 1110V | Weapons Act (Art. 33 para. 3 WA) |
| 1116V | Misdemeanors against Federal Act on the Implementation of International Sanctions (Art. 9 para. 2 EmbA) |
| 1119V | child trafficking (Art. 24 para. 2 HCAA) |
| 1120V | Transplantation Act (Art. 69 para. 2) |
| 1121V | Stem Cell Research Act (Art. 24 para. 3 StRA) |
| 1124V | Chemicals Act (Art. 49 para. 2 and 4 ChemA) |
| 1125V | Federal Act on Illegal Employment, offences against official duty (Art. 19 BGSA) |
| 1126V | Collective Investment Schemes Act (Art. 148 para. 1bis CISA) |
| 1127V | Banking Act (Art. 47 para. 1bis BankA) |
| 1128V | Financial Institutions Act (Art. 69 para. 2 FSA) |
| 1129V | Endangering the health of another (Art. 63 para. 2 FSA) |
| 1130V | Aggravated tax misdemeanor (Art. 305bis no 1 and 1bis SCC) |
| 1131V | Not classifiable |
| 1132V | Art. 11a para. 1 and 3 AMLA |
| 1133V | Art. 11a para. 2 resp. 2bis and 3 AMLA |
| 1134V | For Swiss authorities: IRD/ISD (Request for info/Spontaneous dissemination of info) |
| 1135V | For foreign authorities: IRI (Request for info/Spontaneous dissemination of info) |
| 1136V | For Swiss authorities: Art. 29a para. 1 AMLA |
| 1137V | For Swiss authorities: Art. 29a para. 1 AMLA |
| 1138V | Forgery of documents (art. 251 para.1, art. 253, art. 254, art. 317 para. 1 SCC) |
| 1139V | Corruption (Art. 322ter, Art. 322quater, Art. 322septies SCC) |
| 1140V | Narcotics Crimes (art. 19 para. 2, art. 2 para. 2 NarcA) |
| 1141V | Insider trading or market manipulation (art. 154 para. 2, art. 155 para. 2 FinMA) |
| 1142V | Trademark law (art. 61 para. 3, art. 62 para. 2, art. 63 para. 4, art. 64 para. 2 TmPA) |
| 1143V | Homicide offences (art. 111, art. 112, art. 113, art. 115 SCC) |
| 1144V | Personal injury (art. 122, art. 124 SCC) |
| 1145V | Endangering life and health (art. 127, art. 129, art. 134 SCC) |
| 1146V | Other crimes against wealth (art. 140, art. 144bis para. 2, art. 148, art. 157, art. 160 SCC) |
| 1147V | Bankruptcy and debt collection crimes (art. 163 para. 1, art. 164 para. 1, art. 165, art. 171 para. 1 SCC) |
| 1148V | Crimes against freedom (art. 183, art. 185 SCC) |
| 1149V | Sexual Offences (art. 187 para. 1, art. 189, art. 190, art. 191, art. 195, art. 197 para. 4 SCC) |
| 1150V | Public dangerous crimes (art. 221, art. 223 para. 1 no. 1, art. 224 para. 1, art. 225, art. 226, art. 226bis, art. 226ter, art. 227 SCC) |
| 1151V | Crimes against public health (art. 230bis para. 1, art. 231 para. 1, art. 232 para. 1 no. 2, art. 234 para. 1 SCC) |
| 1152V | Crimes against public transport (art. 237 para. 1 no. 2, art. 238 para. 1 SCC) |
| 1153V | Counterfeiting of money, measure and weight (art. 241 para. 1, art. 248 SCC) |
| 1154V | Genocide and crimes against humanity (art. 264, art. 264a SCC) |
| 1155V | War Crimes (art. 264c, art. 264d, art. 264e, art. 264f, art. 264g SCC) |
| 1156V | Crimes or offences against the State (art. 265, art. 266bis, art. 266b, art. 267 para. 1 and 2, art. 271 para. 1 no. 4, para. 2 and 3 SCC) |
| 1157V | Prohibited intelligence (art. 272 para. 2, art. 273 para. 3, art. 274 para. 1 no. 3 SCC) |
| 1158V | Crimes against the administration of justice (art. 303 para. 1, art. 207 para. 1 and 2 SCC) |

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| | |
|-------|--|
| 1159V | Tax crimes (art. 14 para. 4 ACLA, art. 51 NESAs) |
| 1160V | Copyright law (art. 67 para. 2, art. 69 para. 2 CopA) |
| 1161V | War Material Law (art. 33 para. 2, art. 34 para. 1, art. 35, art. 35a para. 1, art .35b para. 1 WMA) |
| 1162V | Foreigners and Integration Law (art. 116 para. 3, art. 118 para. 3 FNIA) |
| 1163V | Nuclear Energy Law (art. 88 para. 2, art. 89 para. 2 NEA) |
| 1164V | Other offences |
| 1165V | For Swiss authorities: for proceedings based on art. 102 SCC |
| 1166V | Recruiting, training and travelling with a view to committing a terrorist offence (art. 260sexies SCC) |
| 1167V | Illegal wildlife trafficking (art. 26 para. 2 BGCITES) |
| 1206V | For Swiss authorities: Money laundering |
| 1207V | Termination of a business relationship pursuant to art. 9b AMLA |
| 2001G | Cash transaction |
| 2002G | Check transaction |
| 2003G | Various |
| 2004G | Transitory / suspense account |
| 2005G | Precious metals |
| 2006G | Opening of account |
| 2007G | Forgery |
| 2008G | Currency exchange |
| 2009G | Third-party information |
| 2010G | Information from within corporate group |
| 2011G | Information from prosecution authorities |
| 2012G | Loan transaction |
| 2013G | High-risk countries |
| 2014G | Life insurance |
| 2015G | MROS-Info (Art. 11a para. 2 AMLA) |
| 2016G | Audit / supervisory board |
| 2017G | Smurfing |
| 2018G | Transactions-monitoring |
| 2019G | Trust activity |
| 2020G | Non-cash cashier transaction |
| 2021G | Securities |
| 2022G | Economic background |
| 2023G | Media |
| 2024G | Request for information accordingly to article 11a paragraph 1 and 3 AMLA |
| 2025G | Request for information accordingly to article 11a paragraph 2 and 3 AMLA |
| 2026G | For Swiss authorities: IRD (Request for info/Spontaneous dissemination of info) |
| 2027G | For foreign authorities: IRI (Request for info/Spontaneous dissemination of info) |
| 2028G | For Swiss authorities: Article 29a paragraph 1 AMLA |
| 2029G | For Swiss authorities: Article 29a paragraph 2 AMLA |
| 2103G | Termination of a business relationship pursuant to art. 9b AMLA |
| 3001B | Identification documents of contracting party |
| 3002B | Documentation on establishment of the business relationship / For money transmitters: client master data sheet |
| 3003B | Power(s) of attorney |
| 3004B | Form A and/or Form K / I / R / S / T |
| 3005B | Documentation on beneficial owner(s) / authorised signatories/power of attorney holder / control owners |

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| | |
|-------|--|
| 3006B | Assets involved: balance overview |
| 3007B | Account statements |
| 3008B | Detailed documents on suspicious or non-plausible transactions incl. payment orders and/or credit memos (details on beneficiary/contractor including account details) |
| 3009B | Documentary records of suspicious facts (e.g. printout of World-Check entries, press or media reports, etc. and/or other tangible documents (e.g. orders from prosecution authorities)) |
| 3010B | Clarification on suspicious and / or implausible transactions |
| 3011B | Form according to art. 21 para. 1 AMLO (merchants) |
| 3012B | KYC documentation |
| 3013B | Documentation of special due diligence obligations according to Art. 6 AMLA resp. documentation of internal clarifications on e.g. business relations with increased risks / transactions with increased risks / additional clarification on increased risks (Articles 13 - 15 AMLO-FINMA) |
| 3014B | Debit advice if relationship already terminated |
| 3015B | Form related to suspicious activity report under art. 7 FIAA (mandatory if report is based on FIAA) |
| 3016B | Other attachments |
| 3017B | Article 11a paragraph 1 and 3 AMLA |
| 3018B | Article 11a paragraph 2 and 3 AMLA |
| 3019B | For Swiss authorities: IRD (Request for info/Spontaneous dissemination of info) |
| 3020B | For foreign authorities: IRI (Request for info/Spontaneous dissemination of info) |
| 3021B | For Swiss authorities: Article 29a paragraph 1 AMLA |
| 3022B | For Swiss authorities: Article 29a paragraph 2 AMLA |
| 3023B | Proof of balance due to termination of a business relationship pursuant to art. 9b AMLA |

Table 67: report_indicators

8.19 Gender type

| Code | Description |
|------|-------------|
| W | Female |
| M | Male |
| X | Transgender |
| U | Unknown |

Table 68: gender_type

8.20 Allowed values for Cantons

For fields where a Swiss canton has to be entered the following values are allowed (always uppercase, always two characters):

| Code | Description |
|------|------------------------|
| AG | Aargau |
| AI | Appenzell Innerrhoden |
| AR | Appenzell Ausserrhoden |
| BE | Bern |
| BL | Basel Land |
| BS | Basel Stadt |
| FR | Freiburg |
| GE | Genf |

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| | |
|----|--------------|
| GL | Glarus |
| GR | Graubünden |
| JU | Jura |
| LU | Luzern |
| NE | Neuenburg |
| NW | Nidwalden |
| OW | Obwalden |
| SG | St. Gallen |
| SH | Schaffhausen |
| SO | Solothurn |
| SZ | Schwyz |
| TG | Thurgau |
| TI | Tessin |
| UR | Uri |
| VD | Waadt |
| VS | Wallis |
| ZG | Zug |
| ZH | Zürich |

Table 69: Values for cantons

8.21 Account-Account relation type

| Value | Description |
|-------|------------------|
| A2A1 | Main/Sub-Account |
| A2A2 | Part of |
| QRIBA | QR IBAN |
| VIBAN | Virtual IBAN |
| 4 | Other |

Table 70: account_account_relation

8.22 Account Category type

| Value | Description |
|-------|-----------------|
| ACCNT | Fiat account |
| MOB | Mobile number |
| VADDR | Virtual Address |
| OTHER | Other |

Table 71: account_category_type

8.23 Account entity relation type

| Value | Description |
|-------|------------------------|
| BEOWN | Beneficial Owner |
| ACCCO | Control Owner |
| CORAD | Correspondence address |
| EXTAM | External Asset Manager |
| INSUR | Premium Payer |
| ACCPR | Proxy |
| TRSTE | Trustee |
| UNLAY | Underlying Company |
| OTHER | Other |

Table 72: account_entity_relation_type

8.24 Entity to Entity relation type

| Value | Description |
|-------|----------------------|
| BENEF | Beneficiary |
| COOWN | Co-owner |
| GUARA | Guarantor |
| LEGRE | Legal representative |
| MEMBA | Member of management |
| PROTC | Protector |
| SETTL | Settlor |
| TRUSE | Trustee |
| UNDCO | Underlying company |

Table 73: entity_to_entity_relation_type

8.25 Person to Person relation type

| Value | Description |
|-------|------------------|
| 2 | Boss / Employee |
| BUIPA | Business partner |
| HUWIF | Husband / Wife |
| 3 | Other |
| 1 | Relative |

Table 74: person_to_person_relation_type

8.26 Additional information type

| Value | Description |
|-------|---|
| BRNR | Number of Business Relationships in this report |

Table 75: additional information type

8.27 Allowed values for fields with yes/no answers

For fields like “domiciled company” the following values are allowed:

Yes, No, yes, no, Ja, Nein, ja, nein, Si, No, sì, no, Oui, Non, oui, non

8.28 Report Party type

| Value | Description |
|-------|---|
| 0 | Contracting party |
| 1 | Beneficial Owner / Control owner / controller |
| 2 | Power of attorney / Authorized signatory |
| 3 | Business partner |
| 4 | Buyer / seller |
| 5 | Trust |
| 6 | Settlor |
| 7 | Trustee |
| 8 | Protector |
| 9 | Beneficiary |
| 10 | Other (please specify in text field below) |

Table 76: Report_Party_type

9. Disclaimer

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