Standard Reporting Instructions and Specifications (XSD) for XML Reports

UNODC Version 4.0.2

FIU-Latvia version 1.3.1

Last update: 23/07/2021

Finanšu izlūkošanas dienests

UNODC
United Nations Office on Drugs and Crime

This document is a composite of UNODC documentation on goAML (version 4.0.2) and modifications made by the Financial Intelligence Unit of Latvia (FIU-LV)

Version number = *[schema changes by the UNODC].[element level changes by the FIU].[minor changes by the FIU]*

Remark: Document contains technical information with the purpose to explain goAML XML schema structure. Terminology used is for better perception. E-mail for related questions – info.goAML@fid.gov.lv

Version number UNODC=[schema changes by the UNODC]

Version number FIU-LV= 1. [FIU-LV element level changes by the FIU].[minor changes by the FIU LV (for example, changes in lookup values)]

UNODC version	FIU-LV version	Date	Author	Explanation
4.0.2	1.0.0	30.10.2020	FID	1. Adjustments have been made to the standard goAML XSD scheme. 2. The lookup values are not included in this Scheme document, which will be added after discussion with reporting entities.
4.0.2.	1.1.0.	11.01.2021	FID	- "**signatory**" set as mandatory for "*t_account_my_client*" - Enabled **"account_name"** in *"t_account_my_client"* and *"t_account.* - Enabled **"alias"** in *"t_person_my_client"* and *"t_person"* (only for FIU-LV use). - Enabled **"incorporation_state" in** *t_entity_my_client"* end *"t_entity"* (only for FIU-LV use). - Enabled **"zip"** in *"t_address".* - Enabled **"tph_country_prefix"** in *"t_phone"* - Enabled **"tph_extension"** in *"t_phone"*
4.0.2.	1.2.0.	05.03.2021	FID	- "tax_reg_number" is not in use for entity (*"t_entity_my_client" or "t_entity").* - **"gender"**, **"title"**, **"nationality3"**, **"occupation"**, **"employer_name"**, **"tax_reg_number"** are not use for person (*"t_person_my_client" or "t_person").* - **"late_deposit"** and **"date_posting"** are not in use under "transaction". - **"significance"** is mandatory in "report_party_type" if activity type peport is submitted. - **"role"** is mandatory if "director_id" is submitted *"t_entity_my_client" or "t_entity".* - **"role"** is mandatory if "*signatory*" is submitted in *"t_account_my_client" or "t_account".*
4.0.2	1.3.0	15.07.2021	FID	- "**branch**" not in use for *t_account* and *t_account_my_client* - Description added for complexType

				t_person_registration_in_report - Some descriptions revised. Enum list names added.
4.0.2	1.3.1	23.07.2021	FID	- Regex patterns added for elements *tph_country_prefix* and `tph_number` in *t_phone*. - Regex pattern modified for type *email_address*.

Finanšu izlūkošanas dienests

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Finanšu izlūkošanas dienests

1 Summary

This document provides detailed information on the structure of the XML schema for subjects in accordance with Section 3 of the AML/TF/PF Law and other persons in accordance with Section 3.1 of the AML/TF/PF Law (hereinafter referred to as Reporting Entities (RE)) who use the Financial Intelligence Service website https://goaml.fid.gov.lv in order to submit threshold declarations and reports of suspicious transactions and activities (hereinafter referred to as Reports).

When RE creates XML file, it is required to follow to the structure of the XML Schema (XSD).

The goAML system allows RE to submit several types of reports, which are often internationally understood in the same sense and coded in the same way, such as (Currently, there are 5 report types applicable for RE):

- Threshold declaration (CTR)
- Suspicious Transaction Report (STR)
- Suspicious Activity Report (SAR)
- Additional Information File (ATL) - To report transactions related to STR / SAR after reporting STR / SAR.
- Response to FIU request (DRF)

FIU-LV will adjust the types or Reports during the implementation and information will be included in document of Lookup values.

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The structure of all Reports is similar, but depending on the type of Report or information available, some elements in the XML file may or may not be mandatory for RE. Report may contain several transactions or several actions (previously, the term 'Activity' in the E-service), but not both in one Report.

RE must ensure that the Report corresponds not only with the requirements of XML schema, but also with the "Business Requirements Conditions" set by the FIU-LV (the document "Business Requirements Conditions" will be published by FIU-LV in the 2nd quarter of 2021). Report should be not only syntax valid, but also content valid.

Depending on the number of Reports and the frequency of reporting, RE submit Reports by the online form available on the website https://goaml.fid.gov.lv or by uploading an XML file prepared in accordance with the requirements of the XML schema.

1.1 Submission of Reports via https://goaml.fid.gov.lv with an online form

For RE with few reports or the little number of transactions in one report, the website https://goaml.fid.gov.lv with its online form may be more appropriate for submitting Reports than developing software for generating XML reports. It should be noted that Reports submitted on the website with online form will be converted into an XML file by the goAML program.

This document focuses on preparing XML files according to the requirements of the goAML XML schema with the aim of to be uploaded on website as XML file after.

1.2 Submission of Reports in XML form

RE can develop software solutions that automatically generate XML message files according to the goAML XML Schema (XSD) and can upload them at https://goaml.fid.gov.lv. This solution is recommended if RE has a large number of Reports. The development of an automatic XML file generation tool is a matter of choice, responsibility and competence for RE.

RE must ensure that the correct information is submitted to the FIU-LV using one of the above mentioned methods.

Structure of the XML Reports

1. The “report” shall contain information describing the basic details of the Report. For example, information about the RE, type of Report, number of Report, etc.

2. Then Report must be completed with the details on the “transaction” elements, which provide details of the transaction (Report can contain a series of “transaction” elements) For example, transaction number, description, funds type, date, amount, and type of transaction.

A transaction can be a “Bi-Party transaction”, where the transaction is with clearly known “from” and “to” parties, or “Multi-Party transaction” (which allows “one-party transaction” as well), A transaction that does not have “from ”and “to” parties, but the “parties” involved in particular transaction, and each “party” is identified by its role.

An XML report is linked to one RE, but may contain multiple transactions. An uploaded Report can be of ONE report type only.

The involved Persons, Accounts and Entities (PAEs) of the transaction may be clients of RE (hereinafter referred to as "My Client"), but may not be the client of RE (hereinafter referred to as "Non-My Client").

For “bi-party” transactions, depending on whether PAE is a client or not, the details should be reported using “t_from_my_client”, “t_from”, “t_to_my_client”, and “t_to” elements, as given below:

	To “My Client”	**To “Non-my Client”**
From “My Client”	“t_from_my_client” -> “t_to_my_client”	“t_from_my_client” -> “t_to”
From “Non-my Client”	“t_from” -> “t_to_my_client”	“t_from” -> “t_to”

3. For multi-party transactions, depending on whether the related parties are clients or not, details should be reported using relevant “my client” or “not my client” elements.

4. The parties in goAML reports are of three types, namely Person, Account and Entity.

- **Person**

  Although the element 't_person_my_client' is intended to provide information on natural persons who are clients of the RE and the element 't_person' is intended to provide information on natural persons who are not clients of RE, the structure of these two elements is identical. However, some fields in the "t_person_my_client" element are mandatory because RE should have more information about its clients. Otherwise, the natural person is "t_person".

- **Entity**

This element provides information on the legal entities involved in the transaction. The elements 't_entity_my_client' and 't_entity' are used for clients of RE and non-clients of RE, respectively. The element contains sub element “director_id”, which is a set of elements of “t_person” to provide details about the persons related to the legal entity (owners, officials, beneficial owners, etc.).

- **Account**

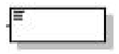
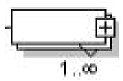
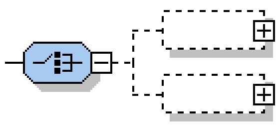
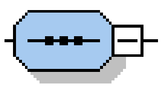
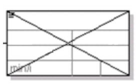
If natural person or entity (with the account) is involved in the transaction or activity, the elements “t_account_my_client” and “t_account” (account of RE and account of non-RE, respectively) are filled in. If account is for natural person, the element "signatory" must be filled. If account is for legal entity, the element "t_entity" element should be filled (with a sub-element "director_id").

An account owned by a natural person may not contain the element “t_entity”, while an account owned by a legal entity should have the element “signatory” if element “t_account_my_client” is selected. In case account is owned by legal person, the element “signatory” is for showing signatory/ signatories.

5. If the number of transactions to be reported per reporting period is large, it would not be practical to manually enter details to the web application and submit CTR/EFT/IFT reports as web reports. Therefore, Reporting Entities may have to develop software applications to generate those report types and upload them via the goAML web application as XML reports. On the other hand, if the number of transactions to be reported are low per reporting period, it will be more practical to submit those reports manually as web reports. For STRs and AIF/IRFs, either web reports or XML reports could be optimal, depending on the number of transactions to be reported in a single report.

6. Maximum number of “transaction” elements that can be included in one CTR/EFT/IFT report is 1000. If the number of transactions for the reporting period exceeds 1000, reporting entities should prepare separate XML reports containing 1000 or less “transactions” in each report and upload the reports to the goAML online system one by one, or put those XML reports in to a single zip file, and upload that zip file to the goAML online system.

2 Conventions used in this document

 	Required text element 1 to N values
	Optional text element for all report types
 	Optional nested element for all report types Required nested element
	Optional, but one of the two nodes should be provided
Integer	A 32 bit value
Date Time	A date and time value in the following format YYYY-MM-DDTHH:MM:SS (example: 2020-12-24T00:00:00)
	Sequence to sub elements (text or nested)
	Do not use for any reports
Mandatory (in field tables)	**Y** – Yes, **N** – No, **C** – Conditional Mandatory

For the purpose of this document, an element in a goAML XML report can be of two types:

1. **Text element** - contains only text (including numbers). It does not contain other elements. Example:

```
<rentity_id>LV9999</rentity_id>
```

2. **Nested element** - contains set of other elements. Example:

```
<phone>
        <tph_contact_type>2</tph_contact_type>
        <tph_communication_type>L</tph_communication_type>
        <tph_number>12345678</tph_number>
</phone>
```

3 Description of XML Elements

3.1 “report” Element

“report” element is the root element of the XML report and it is the highest-level nested element. Each XML report has one “report” element which includes all the sub elements (text and nested) about the report itself, RE and transactions/activities. Basic information about RE, reporting date and type of Report are given in the “report” element. Information included in one Report should be interrelated.

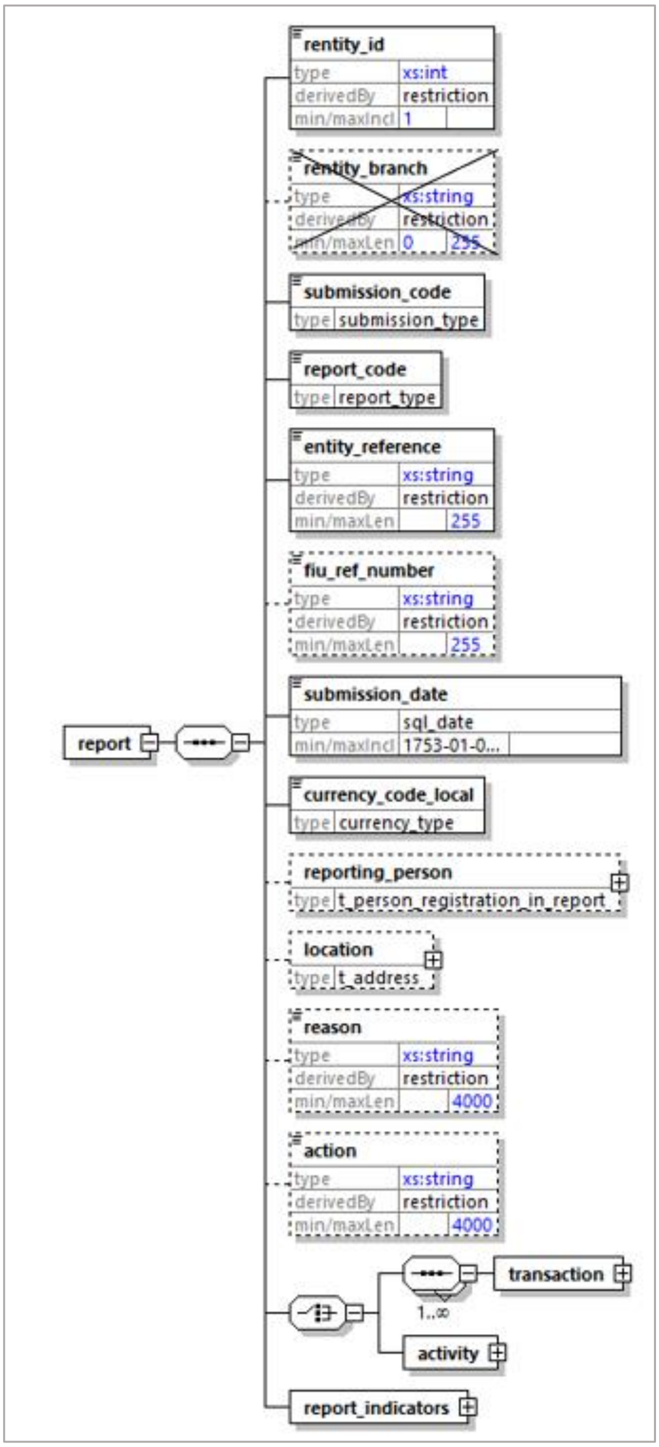


Figure 1: Overview Element “report”

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
rentity_id	Reporting entity number given and approved by FIU at the registration.	Integer >= 1	**Y**	19
~~rentity_branch~~	Not in use	~~Text 255~~	~~N~~	
submission_code	Submission type	Enum "Submission Type"	**Y**	E
report_code	Type of report	Enum "Report Type"	**Y**	STR
entity_reference	Reference given by RE to the report (for further communications)	Text 255	**Y**	
fiu_ref_number	Reference given by the FIU to the report (for further communication on replies to FIU requests)	Text 255	N	
submission_date	Submission date and time	Datetime	**Y**	2020-03-25T00:00:00
currency_code_local	Local Currency code	Enum "Currency"	**Y**	only EUR
reporting_person	Full details of the report's reporting person (representative of RE)	Type "t_person_registration_in_report"	N	See 4.12 "t_person_registration_in_report"
location	Describes location of the reported report	tips "t_address"	N	See 4.8 "t_address"
reason	Why the Report was reported (especially or STRs)	Text 4000	C	Mandatory for STR/ SAR
action	Actions taken with the financial means mentioned in the report (description) in case of refraining	Text 4000	N	
Report should contain either transaction (or list of transactions) or one activity - a list of involved subjects (PEA) without the need of a transaction to link them				
transaction	Transaction information	Element "transaction"	**Y (one of both based on report_code)**	See 3.3. "transaction"
activity	Activity information	Element "activity"		See 3.2 "activity"

report_indicators	List of indicators for the current report	Type "indicator"	**Y**	See 3.1.1. sub-type "indicator"

Table 1: Details Element "report"

3.1.1 Sub-element "indicator"

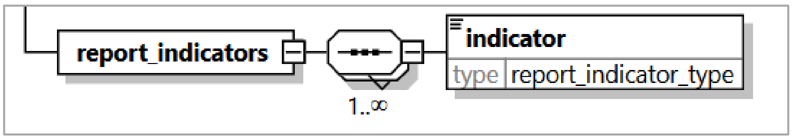


Figure 2: Overview Sub-element "indicator"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
indicator	For the threshold declaration – declaration indicator; For the Report - typology feature/-s, group of possible criminal offense; indicator that report / threshold declaration should be shared with the State Revenue Service	25	**Y**	

Table 2: Details Sub-element "indicator"

3.2 "activity" Element

The data set of the element "activity" contains all the information related to the suspicious activity report (the term "aktivitāte" used previously in the E-reporting). To be filled in also in cases when the details of the transaction are not known.

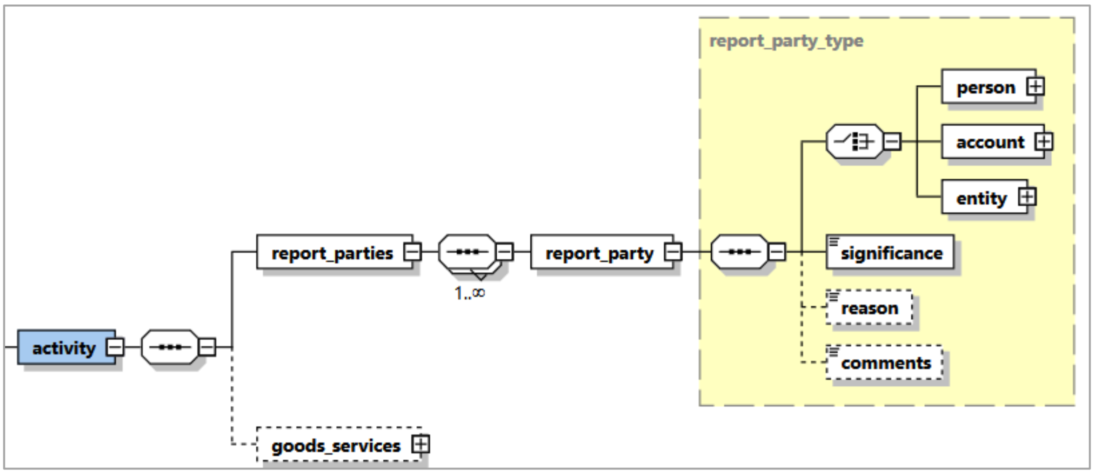


Figure 3: Overview Element "Activity"

NAME	DESCRIPTION	LENGTH/ TYPE	MANDATORY	EXAMPLE
report_parties	A set of elements for providing information on persons in Activity. The "report_parties" element may contain multiple "report_party_type" elements.		**Y**	
report_party	Each "report_party_type" element can contain information about one natural, legal person or account of PEA ("Not my client")	Type “report_ party _type”	Y	See 4.2. “t_person”, 4.4. “t_entitiy”, 4.6. “t_account”
significance	The PEA’s role in the report (scale from 1 to 10)	Integer	Y	0-10 (10 – central person; one PEA should have 10)
reason	Justification for reporting the specific activity, if necessary to emphasize this in addition to the justification for the report.	Text 4000	N	
comments	Other explanations for Activity	Text 4000	N	
goods_services	Goods or services related to the reported Activity	Type “t_trans _item”	N	See 3.4. “goods_services”

Table 3: Details Element “Activity”

3.3 “transaction” Element

“transaction” nested element is the element that encapsulates all the details pertaining to a single transaction in the report.

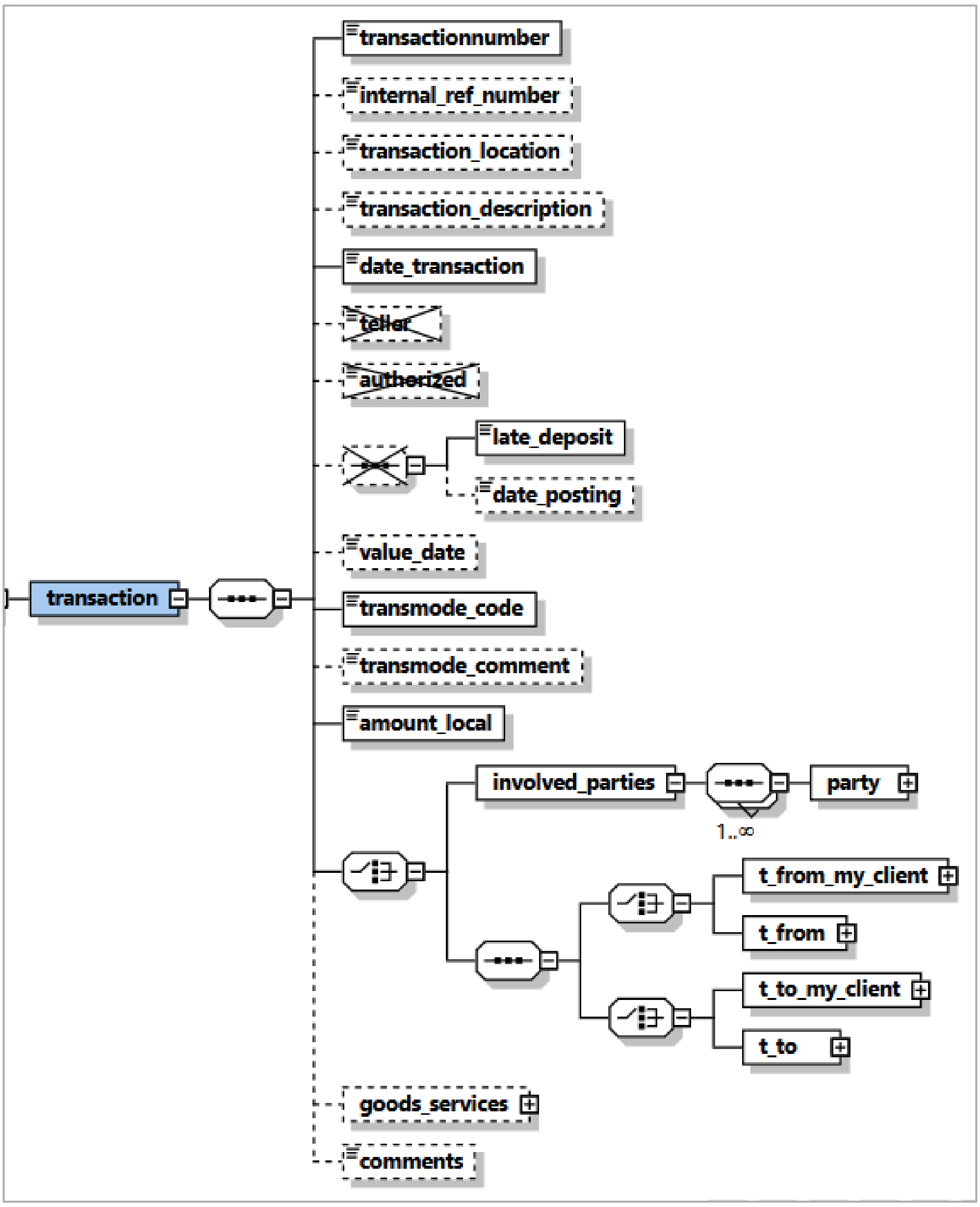
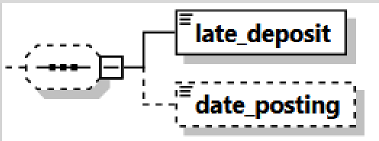


Figure 4: Overview Element “transaction”

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
transactionnumber	Unique reference number to identify a transaction	50	**Y**	
internal_ref_number	Reference used by RE	50	N	

	for the transaction			
transaction_location	Place where transaction took place (ATM, branch address etc.)	255	N	
transaction_description	Purpose of the transaction	4000	**C**	Mandatory for threshold declarations on cross-border transactions above 500 000 EUR
date_transaction	Date of the transaction	DateTime	**Y**	“2020-03-25T00:00:00”
~~teller~~	Not in use	~~20~~	~~N~~	
~~authorized~~	Not in use	~~20~~	~~N~~	
	~~Introductory element for the indication on use of transaction funds in the term deposit~~ Not in use		~~N~~	
~~late_deposit~~	Not in use		~~N~~	
~~date_posting~~	Not in use		~~N~~	
value_date	Value date	DateTime	**N**	2020-03-27T00:00:00
transmode_code	The field is used to display information about the type of transaction *(intended for the type of transfer (How the transaction was conducted))*	Enum “Transaction mode”	**Y**	
transmode_comment	Description of transmode_code	50	N	
amount_local	The value of the transaction in EUR (maximum two decimal places)	Decimal	**Y**	

Transactions must be **either** bi-party transactions with clear ‘From’ and ‘To’ sides, **or** multi-party transactions with parties (Persons/Accounts/Entities – PAEs) relevant to the transactions.

Bi-Party Transactions

One of the elements “t_from_my_client” or “t_from” should be provided, depending on the relationship with the PAE in the “from” side. Both CANNOT be present together in a transaction, but one of them should be

present.				
NAME	**DESCRIPTION**	**LENGTH/TYPE**	**MANDATORY**	**EXAMPLE**
t_from_my_client	Specifies where the money came from. If the source is client of RE, then this element should be provided		**Y** (one of them)	See 3.3.1. “t_from_my_client”
t_from	Specifies where the money came from. If the source is non-client of RE, then this element should be provided			See 3.3.2. “t_from”
One of the elements “t_to_my_client” or “t_to” should be provided, depending on the relationship with the PAE in the “to” side. Both CANNOT be present together in a transaction, but one of them should be present.				
t_to_my_client	Specifies where the money went. If the destination is client of RE, then this node should be provided		**Y** (one of them)	See 3.3.3. “t_to_my_client”
t_to	Specifies where the money went. If the destination is non-client of RE, then this node should be provided			See 3.3.4. “t_to”

Multi-Party Transactions

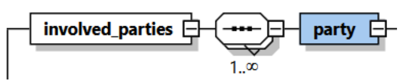
When there is no clear “From” and “To” sides of the transaction, it should be reported as a multi-party transaction with the details of the parties relevant to the transaction. The Multi-Pary Transaction contains information about the amount of money involved in the transaction and the date of the transaction. Each party to the transaction must indicate by its role according to the classifier. There can also be one person in a "multi-party" transaction.				
	Describes the involved party details (Persons/Accounts/Entities – PAEs)	Type “t_party”	**Y** **(if multi-party selected)**	See 4.7 “t_party”
goods_services	Goods or services related to the reported Transaction	Type “t_trans_item”	N	See 3.4. “goods_service”
comments	Generic comments field	4000	N	

Table 4. Details Element “transaction”

3.3.1 "t_from_my_client" Element

If party (PAE) in the source side of the transaction is a client of the RE, "t_from_my_client" element should be used in a "transaction" element. The details of the PAE will be included in either "from_account", "from_person" or "from_entity" element located in the "t_from_my_client" element.

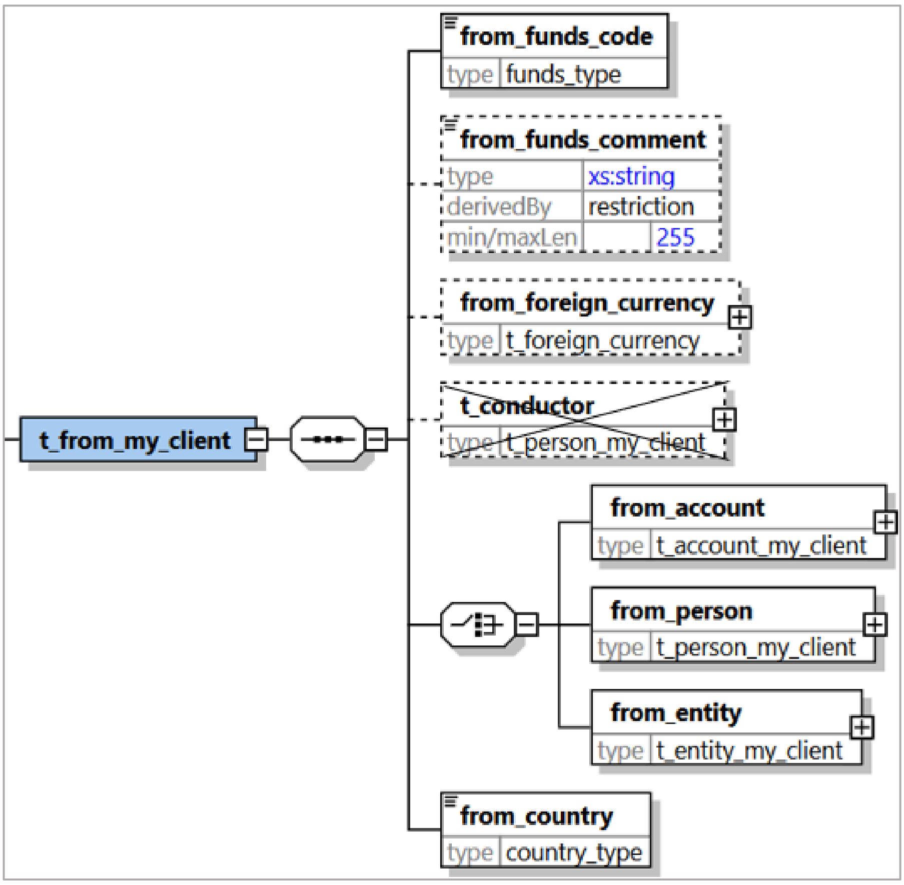


Figure 5. Overview Element "t_from_my_client"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
from_funds_code	Type of funds used in the transaction	Enum "Funds Type"	**Y**	
from_funds_ comment	Mandatory description, if "from_funds_code" is "Other".	Text 255	C	
from_foreign_ currency	If the transaction is conducted in foreign currency, then specify the foreign currency details.	type "t_foreign_ currency"	C	Becomes mandatory if the transaction performed in a foreign currency See 4.10 "t_foreign_currency "
~~t_conductor~~	Not in use	~~Type~~	~~N~~	

		~~“t_person_my_client”~~		
from_account	Element that holds account information	Type “t_account_my_client”	**Y** (one of three)	See 4.5 “t_account_my_client”
from_person	Element that holds person information.	Type “t_person_my_client”		See 4.1 “t_person_my_client”
from_entity	Element that holds entity information.	Type “t_entity_my_client”		See 4.3 “t_entity_my_client”
from_country	Country where transaction was initiated.	Enum “Country”	**Y**	

Table 3: Details Element “t_from_my_client”

3.3.2 “t_from” Element

When generating XML reports, if the party (person, account or entity) in the source side of the transaction is a NOT client of the Reporting Institution, “t_from” element should be used in a “transaction” element. The details of the party will be included in either “from_account”, “from_person” or “from_entity” element located in the “t_from” element.

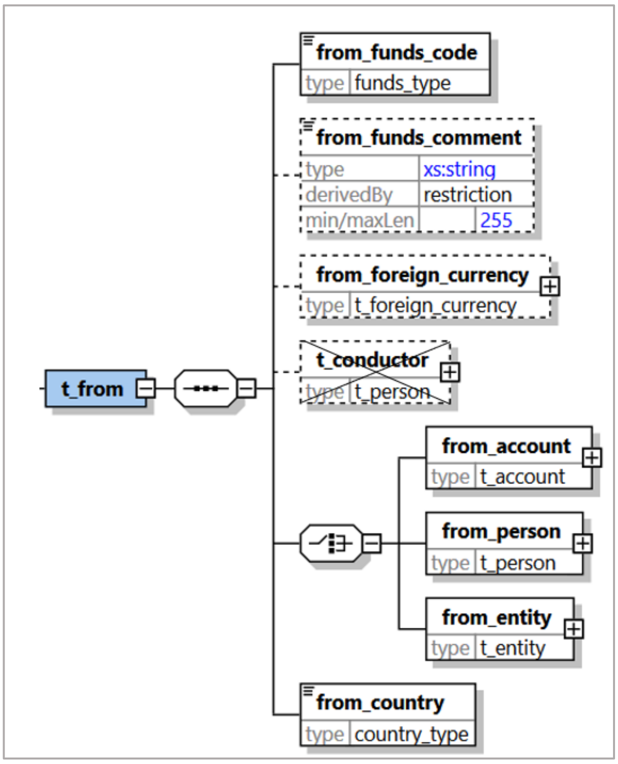


Figure 6: Overview Element “t_from”

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
from_funds_code	Type of funds used in the transaction	Enum "Funds Type"	**Y**	
from_funds_comment	**Mandatory description, if "from_funds_code" is "Other".**	Text 255	N	
from_foreign_currency	If the transaction is conducted in foreign currency, then specify the foreign currency details.	Type "t_foreign_ currency"	C	Becomes mandatory if the transaction performed in a foreign currency See 4.10 "t_foreign_currency"
~~t_conductor~~	Not in use	~~Type "t_person"~~	~~N~~	
from_account	Element that holds account information	Type "t_account"	**Y** (one of three)	See 4.6. "t_account"
from_person	Element that holds person information	Type "t_person"		See 4.2. "t_person"
from_entity	Element that holds entity information.	Type "t_entity"		See 4.4. "t_entity"
from_country	Country where transaction was initiated.	Enum "Country"	**Y**	

Figure 6: Overview Element "t_from"

3.3.3 "t_to_my_client" Element

When generating XML reports, if the party (PAE) in the destination side of the transaction is a client of the RE, "t_to_my_client" element should be used in a "transaction" element. The details of the client party will be included in either "to_account", "to_person" or "to_entity" element located in the "t_to_my_client" element.

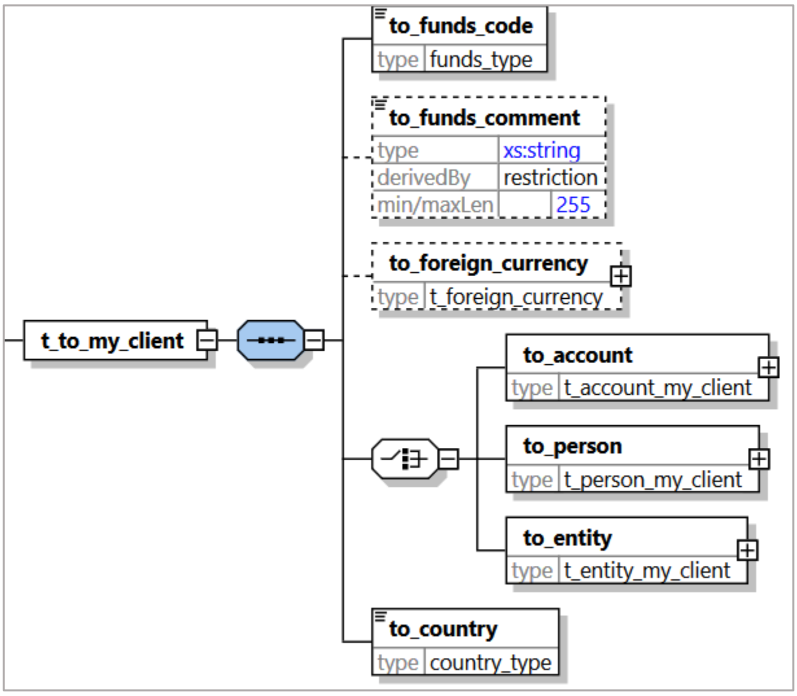


Figure 7: Overview Element "t_to_my_client"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
to_funds_code	Type of funds used in the transaction.	Enum "Funds Type"	**Y**	
to_funds_comment	**Mandatory description, if "to_funds_code" is "Other".**	Text 255	C	
to_foreign_currency	If the transaction is conducted in foreign currency, then specify the foreign currency details.	Type "t_foreign_ currency"	C	See 4.10. "t_foreign_ currency"
to_account	Element that holds account information	Type "t_account_ my_client"	**Y** (one of three)	See 4.5 "t_account_ my_client"
to_person	Element that holds person information	Type "t_person_ my_client"		See 4.1 "t_person_my_ client"
to_entity	Element that holds entity information.	Type "t_entity_my_cli ent"		See 4.3 "t_entity_my_ client"
to_country	Receiving country of the transaction	Enum "Country"	**Y**	

Table 7: Details Element "t_to_my_client"

3.3.4 "t_to" Element

When generating XML reports, if the party (PAE) in the destination side of the transaction is NOT a client of RE, "t_to" element should be used in a "transaction" element. The details of the party will be included in either "to_account", "to_person" or "to_entity" element located in the "t_to" element.

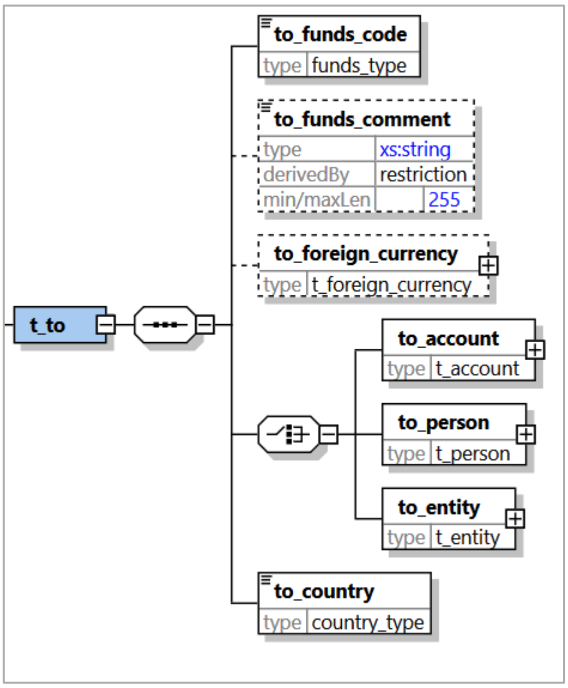


Figure 8: Overview Element "t_to"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
to_funds_code	Type of funds used in the transaction.	Enum "Funds Type"	**Y**	
to_funds_comment	**Mandatory description, if "to_funds_code" is "Other".**	Text 255	C	
to_foreign_currency	If the transaction is conducted in foreign currency, then specify the foreign currency details.	Type "t_foreign_currency"	N	See 4.10 "t_foreign_ currency"
to_account	Element that holds account information	Type "t_account"	**Y** (one of three)	See 4.6. "t_account"
to_person	Element that holds person information	Type "t_person"		See 4.2. "t_person"
to_entity	Element that holds entity information.	Type "t_entity"		See 4.4. "t_entity"
to_country	Receiving country of the transaction	Enum "Country"	**Y**	

Table8:DetailsElement"t_to"

3.4 “goods_services” Element

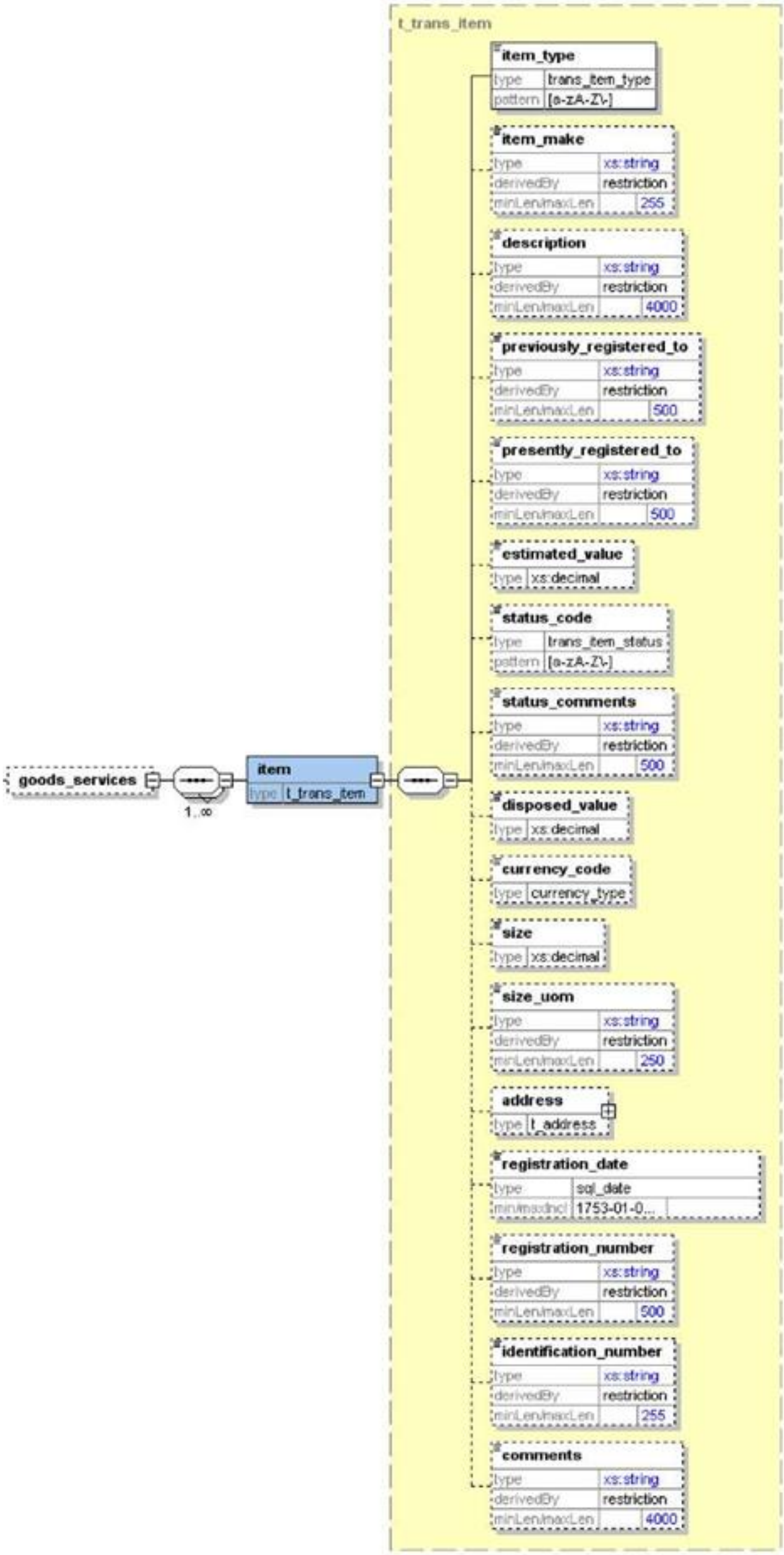


Figure 9: Overview Element “goods_sevices”

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
Item_type	Type of good / service	Enum "Transaction Item Type"	**Y**	
Item_make	Service provider / good manufacturer	Text 255	N	
description	Description of the product / service	Text 4000	N	
previously_registered_to	Previous owner	Text 500	N	
presently_registered_to	Current owner	Text 500	N	
estimated_value	Value of the good / service in EUR	Decimal	N	
status_code	Product / service status	Enum "Property Status"	N	
status_comments	Comments on the status of the product / service	Text 500	N	
disposed_value	Sales value	Decimal	N	
currency_code	Currency code if the good / service is sold in a foreign currency	Enum "Currency"	N	
size	Size of the product / service	Decimal	N	
size uom	Unit of measure of the size of a good / service	Text 250	N	
address	Product / service addresses	Type t_address	N	See 4.8. t_address
registration_date	Official registration date for the product / service	DateTime	N	2020-12-17T09:30:47
registration_number	Number of the good / service included in the official register	Text 500	N	
Identification_number	Product / service identification number	Text 255	N	
Komentāri	Product / service comments	Text 4000	N	

*Table 9: Overview Element **"goods_services"***

4 Description of Common Types used in the Schema

In an XML schema, specially designed data types are not elements (nodes), but are a set of elements that characterize a certain structure (for example, person's data, address data structure, etc.). An unlimited number of XML elements with different names of the same type are possible in one message (for example, the type of address field data will be the same for both natural and legal persons). When an XML element is created as a specific type, that element inherits the structure specified in the XML type.

4.1 Type "t_person_my_client"

"t_person_my_client" XML type is for the XML elements which provide details about the persons relating to a transaction, who are clients of RE. Therefore, RE should have more details about the person obtained via the Customer Due Diligence (CDD), hence more fields in this type are mandatory.

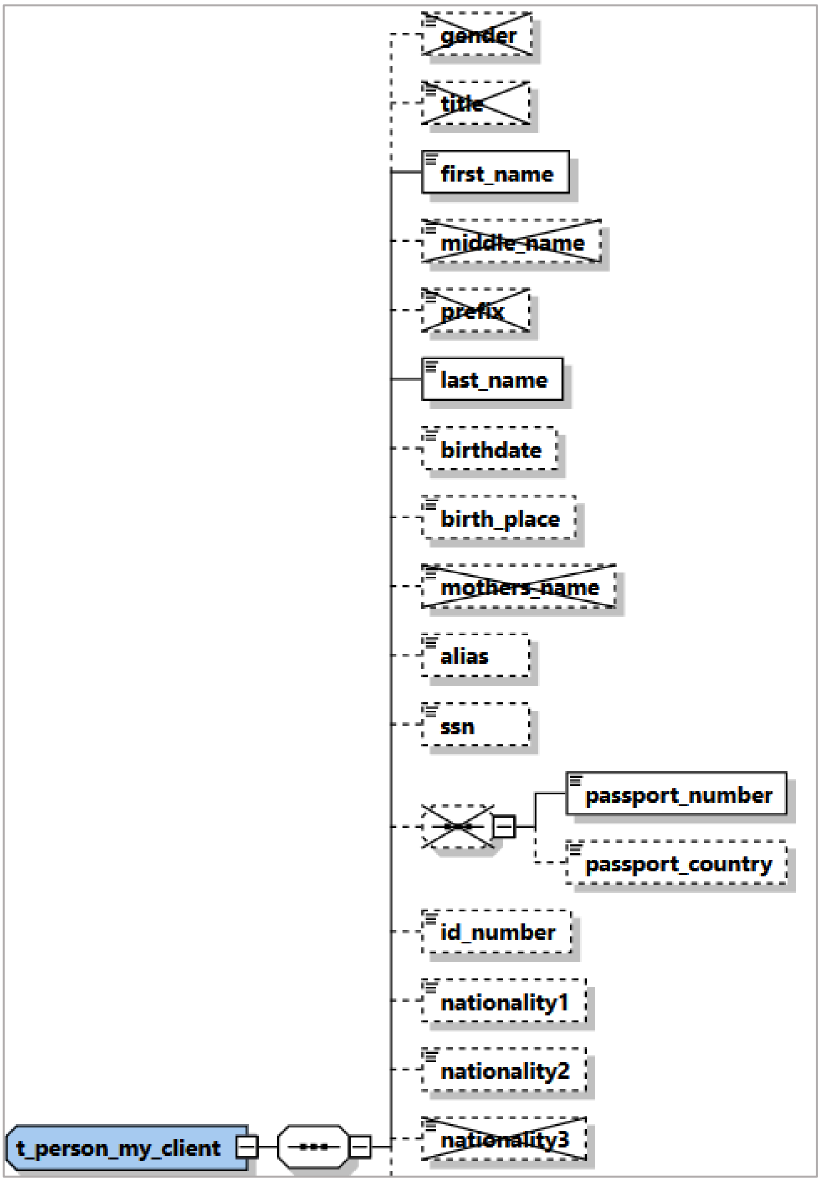


Figure 10: Overview Type "t_person_my_client"

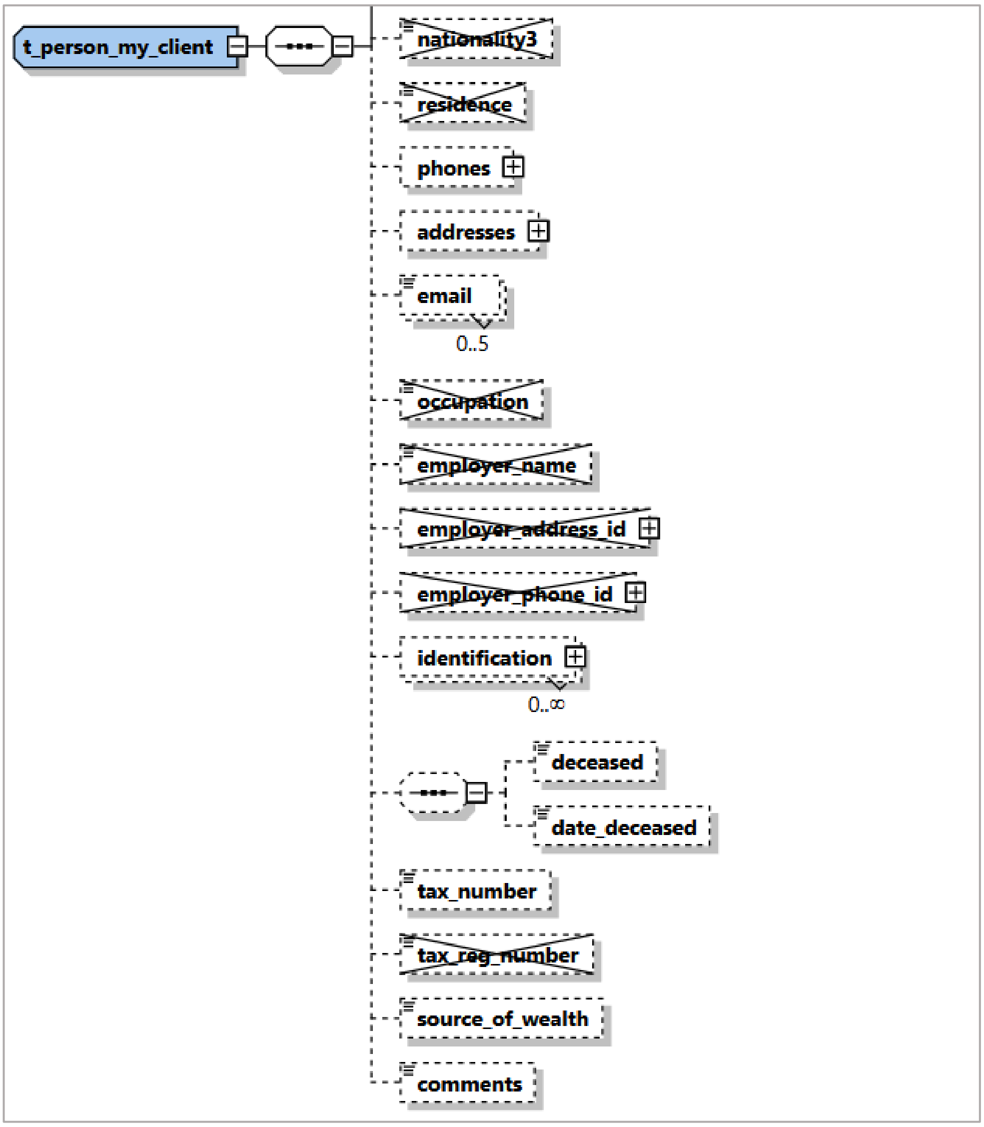


Figure 11: Overview Type "t_person_my_client"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
~~gender~~	Not in use	~~Enumeration~~	~~N~~	
~~title~~	Not in use	~~Text 30~~	~~N~~	~~Dr.~~
Only surname / last name of the person should be given in the "last_name" field, and all other parts of the name should be given in the "first_name" field.				
first_name	All parts of the name, except the last name.	Text 100	**Y**	
~~middle_name~~	Not in use	~~Text 100~~	~~N~~	
~~prefix~~	Not in use	~~Text 100~~	~~N~~	
last_name	Last name	Text 100	**Y**	
birthdate	Birth date	DateTime	**C** (if no information given in	1953-01-25 T00:00:00

			id_number field)	
birth_place	Place of birth of the person	Text 255	N	
~~mothers_name~~	Not in use	~~Text 100~~	~~N~~	
alias	Only for FIU use (not in use for RE)	Text 100	N	
SSN	Foreign ID number	Text 25	N	
~~passport_number~~	Not in use	~~Text 25~~	~~N~~	Use fields “Identification”
~~passport_country~~	Not in use	~~Text 25~~	~~N~~	
id_ number	Latvian ID number with “-“	Text 25	**C**	111111-11111
nationality1	Nationality	Enum “Country”	N	
nationality2	If the customer has more than one citizenship, report the second nationality	Enum “Country”	N	
~~nationality3~~	Not in use	~~Enumeration~~	~~N~~	
~~residence~~	~~Residence country~~ Not in use	~~Enumeration~~	~~N~~	
phones	A Holder element for 1- ∞ “phone” elements		C	
phone	Element for providing phone details	Type “t_phone”	C	See 4.9. “t_phone”
addresses	A Holder element for 1- ∞ “address” elements		C	
address	Element for providing address details	Type “t_address ”	C	See 4.8. “t_address”
email	Email address	Type “email_address”	N	
~~occupation~~	Not in use	~~Text 255~~	~~N~~	
~~employer_name~~	~~Employer name~~ Not in use	~~Text 255~~	~~N~~	
~~employer_address_id~~	Not in use	~~Type “t_address”~~	~~N~~	
~~employer_phone_id~~	Not in use	~~Type “t_phone”~~	~~N~~	
identification	A Holder element for 1 - ∞ “t_person_identificati	Type “t_person _identification”	**C**	See 4.11 “t_person_ identification”

	on" elements, to provide details of identity documents			
deceased	Indicates that person is dead	Boolean	N	It is expected to be marked deceased & deceased_date or deceased
deceased_date	Date of death	DateTime	N	
tax_number	Personal taxpayer code abroad	Text 100	N	
~~tax_reg_number~~	~~Personal taxpayer code in Latvia~~ Not in use	~~Text 100~~	~~N~~	
source_of_wealth	Source of wealth	Text 255	N	
comments	Generic comments field	4000	N	

Table 10: Details Type "t_person_my_client"

4.2 Type "t_person"

"t_person" XML type is for the XML elements which provide details about the persons relating to a transaction, who are NOT clients of RE. This element has the same structure of the "t_person_my_client" type, but only minimum fields are mandatory. However, RE should submit every detail regarding the person, if available.

If the person has an account (of any type) maintained with the RE, persons is a "t_person_my_client". Otherwise, person is a "t_person".

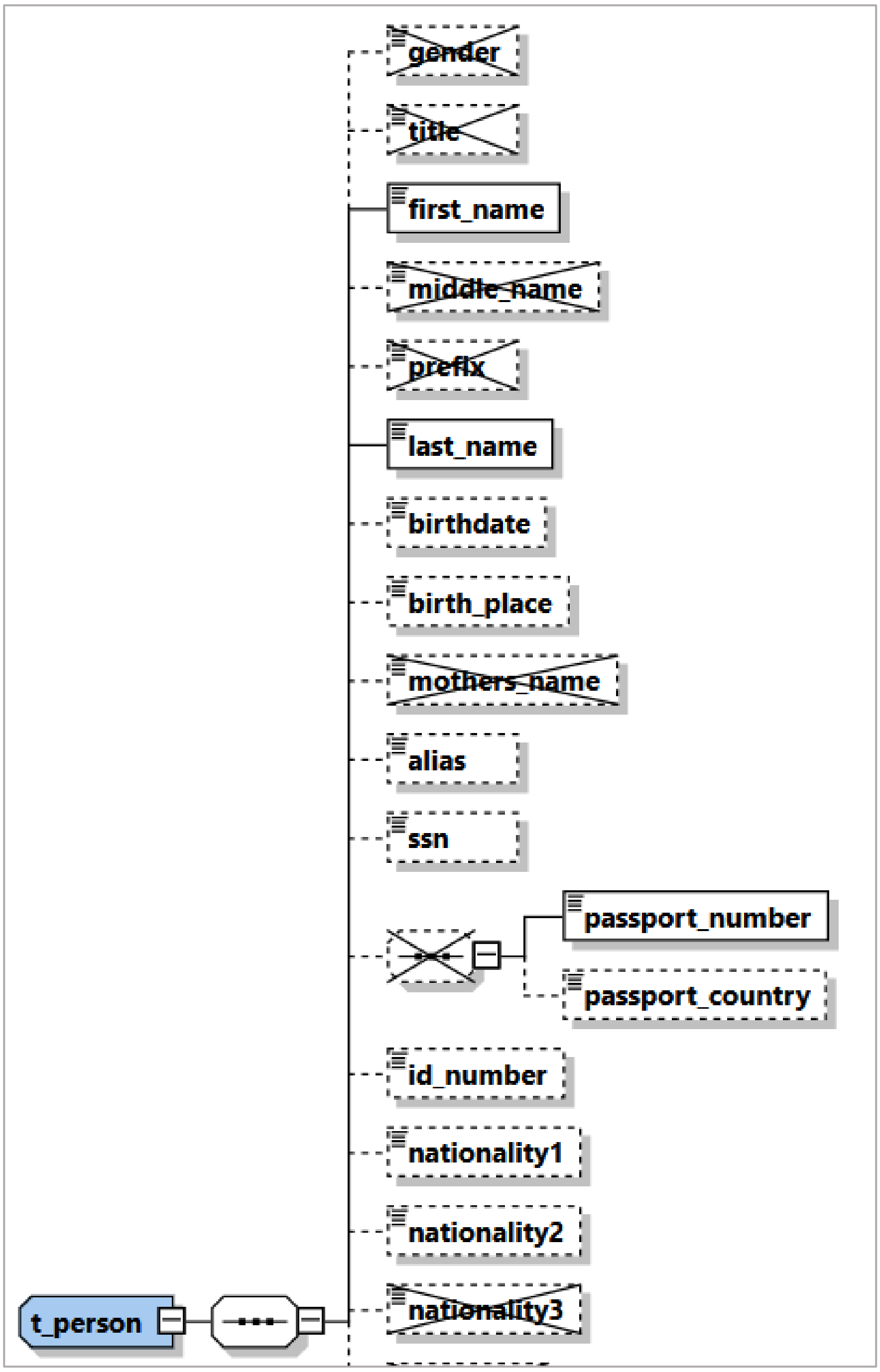


Figure 12: Overview Type "t_person"

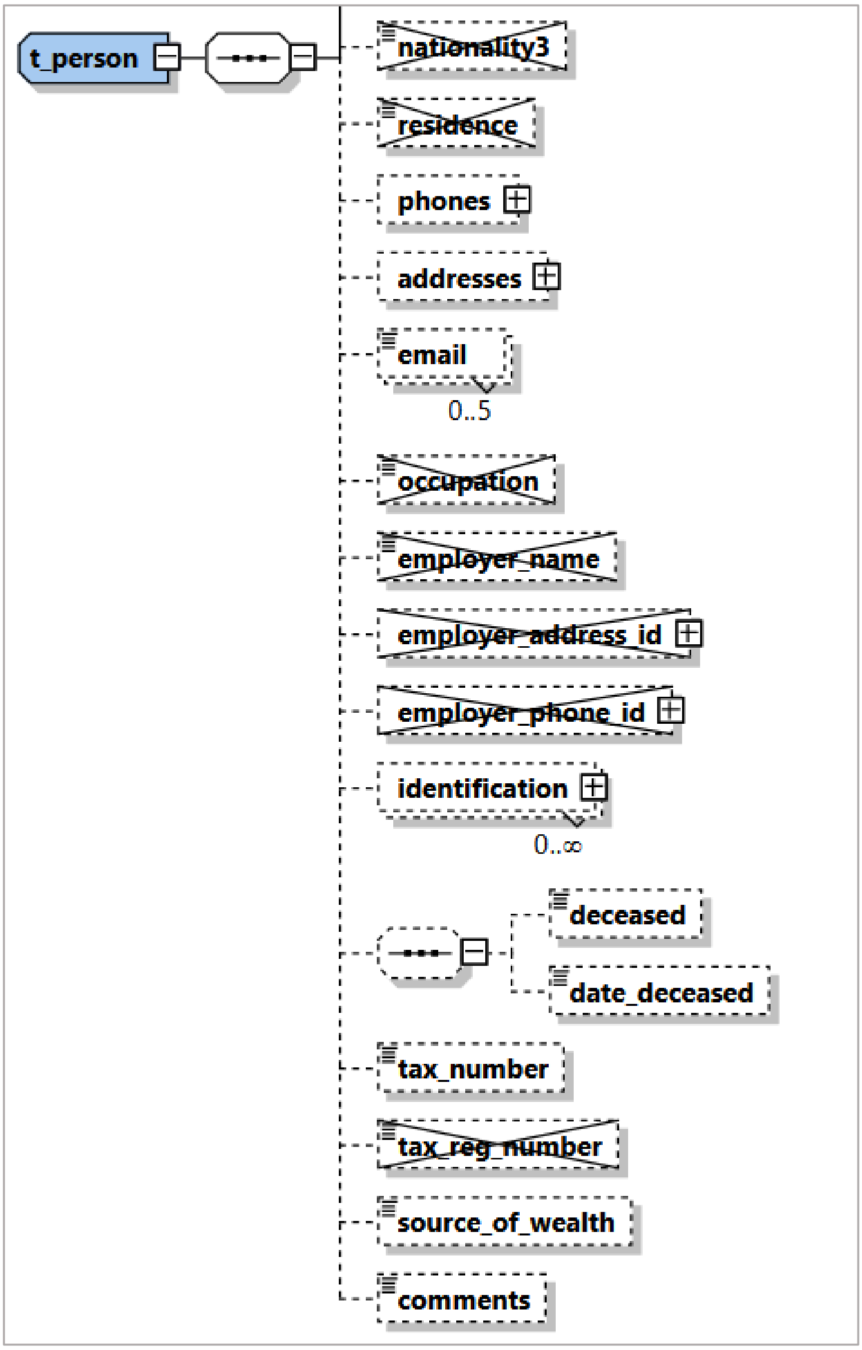


Figure 13: Overview Type "t_person"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
~~gender~~	Not in use	~~Enumeration~~	~~N~~	
~~title~~	Not in use	~~Text 30~~	~~N~~	~~Dr.~~
Only surname / last name of the person should be given in the "last_name" field, and all other parts of the name should be given in the "first_name" field.				
first_name	All parts of the name, except the last name.	Text 100	**Y**	
~~middle_name~~	Not in use	~~Text 100~~	~~N~~	

~~prefix~~	Not in use	~~Text 100~~	~~N~~	
last_name	Last name	Text 100	**Y**	
birthdate	Birth date	DateTime	N	1953-01-25 T00:00:00
birth_place	Birth place	Text 255	N	
~~mothers_name~~	Not in use	~~Text 100~~	~~N~~	
alias	Only for FIU use (not in use for RE)	Text 100	N	
SSN	Foreign ID number	Text 25	N	
~~passport_number~~	Not in use	~~Text 25~~	~~N~~	Use fields “Identification”
~~passport_country~~	Not in use	~~Text 25~~	~~N~~	
id_ number	Latvian ID number with “-“	Text 25	N	111111-11111
nationality1	Country of Nationality	Enum “Country”	N	
nationality2	If the customer has more than one citizenship, report the second nationality	Enume “Country”	N	
~~nationality3~~	Not in use	~~Enumeration~~	~~N~~	
~~residence~~	~~Residence country~~ Not in use	~~Enumeration~~	~~N~~	
phones	A Holder element for 1-∞ “phone” elements		N	
phone	Element for providing phone details	Type “t_phone”	N	See 4.9. “t_phone”
addresses	A Holder element for 1-∞ “address” elements		N	
address	Element for providing address details	Type “t_address ”	N	See 4.8. “t_address”
email	Email address	Type “email_address”	N	
~~occupation~~	Not in use	~~Text 255~~	~~N~~	
~~employer_name~~	-Not in use	~~Text 255~~	~~N~~	
~~employer_address_id~~	Not in use	~~Type “t_address”~~	~~N~~	
~~employer_phone_id~~	Not in use	~~Type “t_phone”~~	~~N~~	
identification	A Holder element for 1 -∞ “t_person_identification” elements, to provide details of identity documents	Type “t_person _identification”	N	See 4.11 “t_person_ identification”

deceased	Indicates that person is dead	Boolean	N	It is expected to be marked deceased & deceased_date or deceased
deceased_date	Date of death	DateTime	N	
tax_number	Personal taxpayer code abroad	Text 100	N	
~~tax_reg_number~~	Not in use	~~Text 100~~	~~N~~	
source_of_wealth	Source of wealth	Text 255	N	
Comments	Generic comments field	4000	N	

Table 11: Details Type "t_person"

4.3 Type "t_entity_my_client"

"t_entity_my_client" XML type is for the XML elements which provide details about the entities relating to a transaction, who are customers of RE. Therefore, RE should have more details about the entity obtained via the Customer Due Diligence (CDD), hence more fields in this type are mandatory.

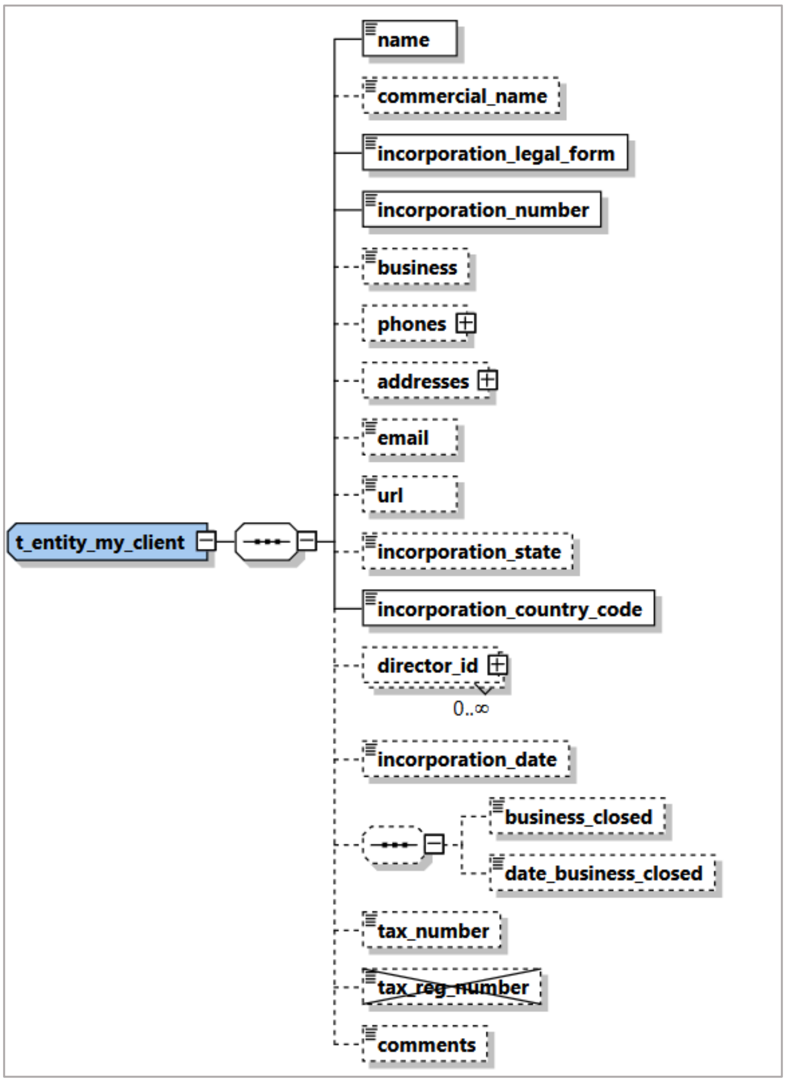
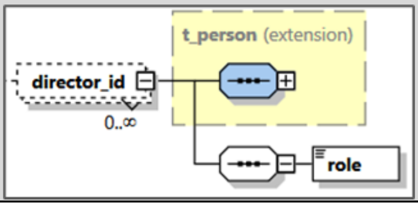


Figure 14: Overview Type "t_entity_my_client"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
name	Name of entity	Text 255	**Y**	
commercial_name	Commercial name of the entity, if different from the registered name	Text 255	N	
incorporation_legal_form	The legal form of the entity	Enum "Legal Form"	**Y**	
incorporation_number	**Registration Number of entity**	Text 50	**Y**	
business	Nature of business activities from NACE v.2 code list published by FIU-LV (provide a code or multiple semicolon-separated codes)	Text 255	**C**	A01.1;C10.6
phones	A Holder element for 1-∞ "phones" elements		C	
phone	Element for providing phone details	Type "t_phone"	C	See 4.9. "t_phone"
addresses	A Holder element for 1- ∞ "address" elements		C	
address	Element for providing address details	Type "t_address"	C	See 4.8. "t_address"
email	Email address	Text 255	N	
url	URL of entity	Text 255	N	
incorporation_state	Only for FIU use (not in use for RE)	Text 255	N	
incorporation_country _code	Entity incorporated country	Enum "Country"	**Y**	
director_id 	A holder element for 1 - ∞ entity owners (Information block on natural persons related to the company (owners,	Type "t_person"	**C**	See 4.2 "t_person"

	beneficial owners, etc.)			
role	Role of the person given in “director_id”	Enum “Entity Person Role Type””	**C**	Mandatory if “director_id” is included
incorporation_date	Incorporation registration date	DateTime	N	
business_closed	Boolean to indicate if the company is closed down	Boolean	N	
date_business_closed	If entity is closed date of business closure	DateTime	N	
tax_number	The entity tax number (for foreign entities in their incorporation country)	Text 100	N	
~~tax_reg_number~~	Not in use	~~Text 100~~	~~N~~	
comments	Generic comments field	Text 4000	N	

Table 12: Details Type “t_entity_my_client”

4.4 Type “t_entity”

“t_entity” XML type is for the XML elements which provide details about the entities relating to a transaction, who are NOT client of the RE. This element has the same structure of the “t_entity_my_client” type, but only the name field is mandatory. However, RE should submit every detail regarding the entity, if available.

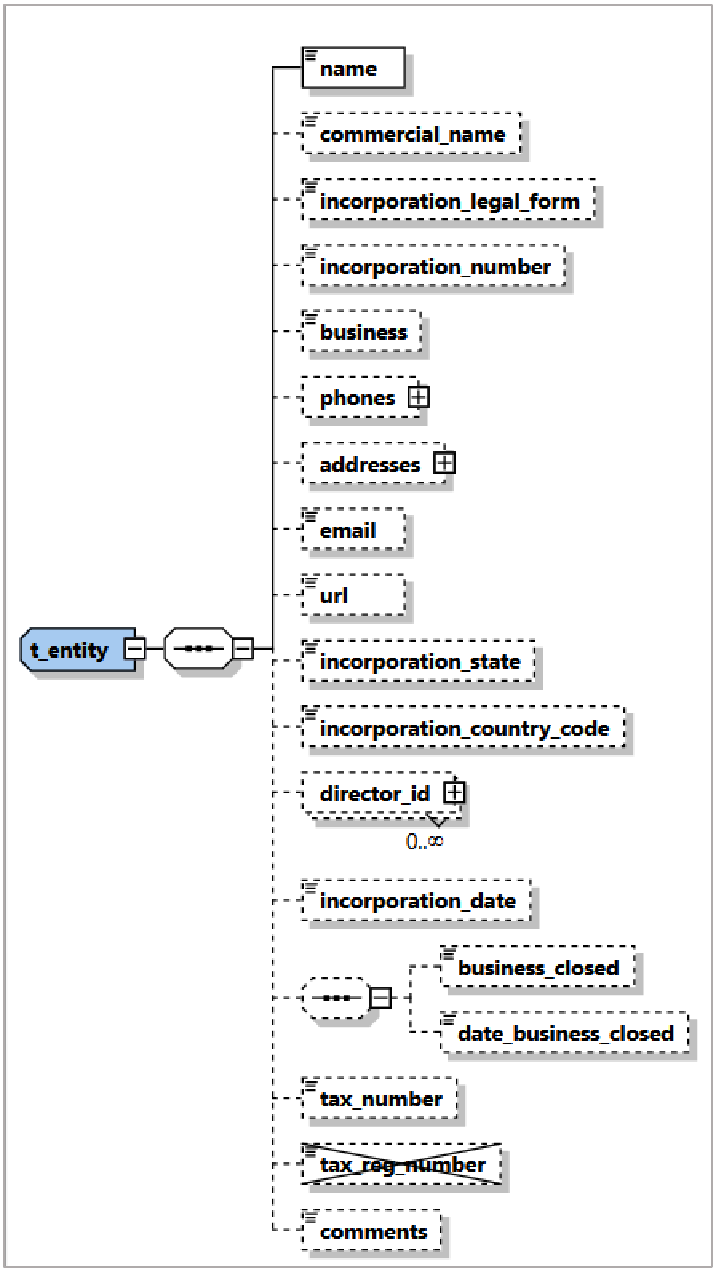
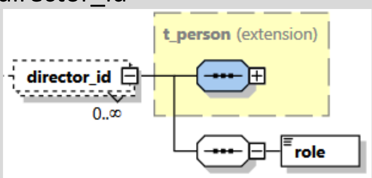


Figure 15: Overview Type "t_entity"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
name	Name of entity	Text 255	**Y**	
commercial_name	Commercial name of the entity, if different from the registered name	Text 255	N	
incorporation_legal_form	The legal form of the entity	Enum "Legal Form"	N	

incorporation_number	Business Registration Number of the registered entities	Text 50	N	
business	Nature of business activities from NACE v.2 code list published by FIU-LV (provide a code or multiple semicolon-separated codes)	Text 255	N	A01.1;C10.6
phones	A Holder element for 1-∞ “phones” elements		N	
phone	Element for providing phone details	Type “t_phone”	N	See 4.9. “t_phone”
addresses	A Holder element for 1- ∞ “address” elements		N	
address	Element for providing address details	Type “t_address”	N	See 4.8. “t_address”
email	Email address	Text 255	N	
url	URL of entity	Text 255	N	
incorporation_state	Only for FIU use (not in use for RE)	Text 255	N	
incorporation_country _code	Entity incorporated country	Enum “Country”	N	
director_id 	A holder element for 1 - ∞ entity owners (Information block on natural persons related to the company (owners, beneficial owners, etc.)	Type “t_person”	N	See 4.2 “t_person”
role	Role of the person given in “director_id”	Enum “Entity Person Role Type””	C	Mandatory if “director_id” is included
incorporation_date	Incorporation registration date	DateTime	N	
business_closed	Boolean to indicate if the company is closed down	Boolean	N	
date_business_closed	If entity is closed date of business closure	DateTime	N	

tax_number	The entity tax number (for foreign entities in their incorporation country)	Text 100	N	
~~tax_reg_number~~	-Not in use	~~Text 100~~	~~N~~	
comments	Generic comments field	Text 4000	N	

Table 13: Details Type "t_entity"

4.5 Type "t_account_my_client"

"t_account_my_client" XML type is for the XML elements which provide details about the accounts relating to a transaction, which are held by RE. Therefore, RE should have more details about the account, and the persons and entities associated with the account, obtained via the Customer Due Diligence (CDD). Hence more fields in this type are mandatory.

In terms of reporting structure, an account should have persons or entities associated to it in "signatory" element or "t_entity" element respectively. If the account holder (entity) is client of RE, element "signatory" should be given under "t_entity_my_client" element.

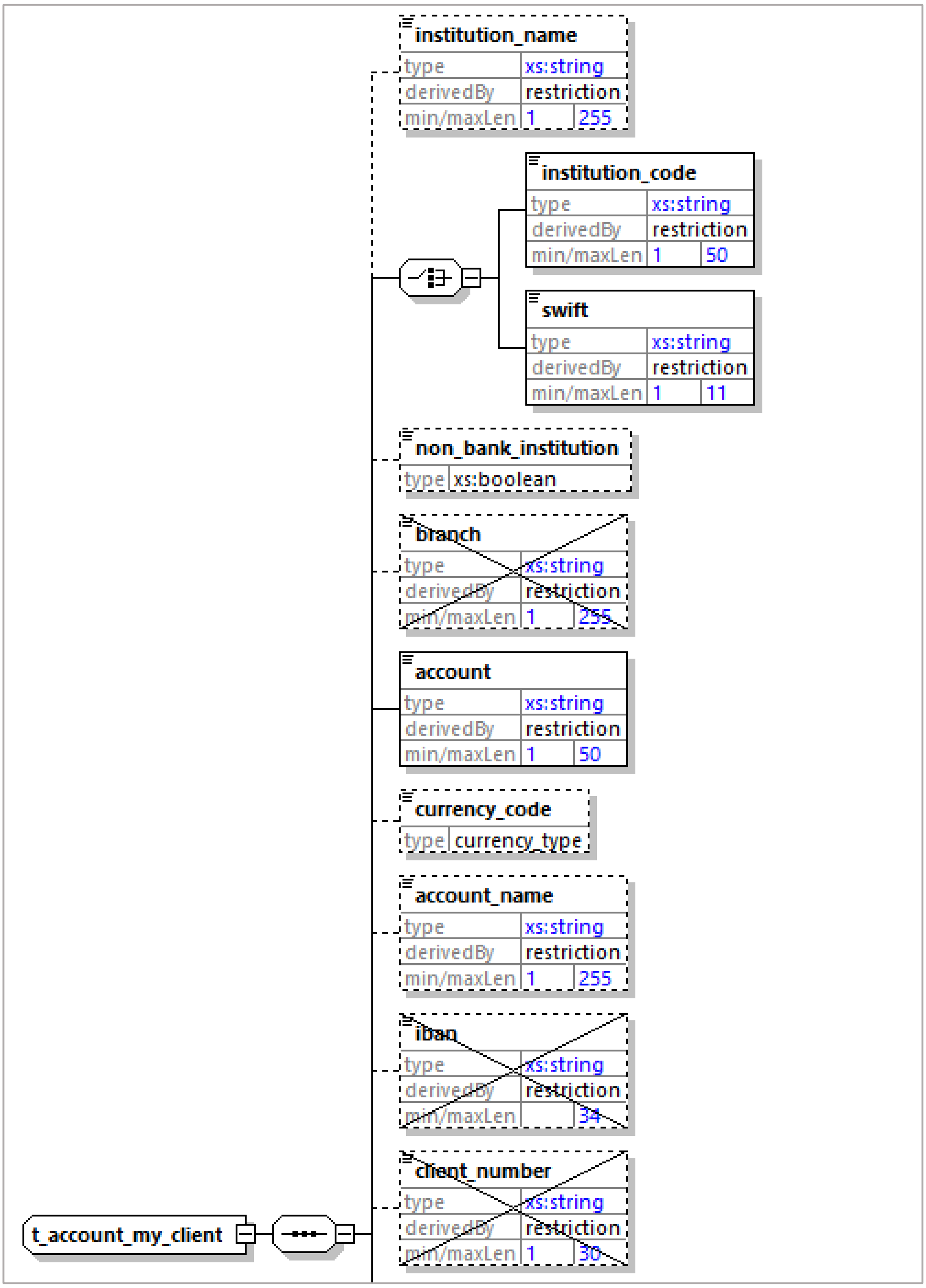


Figure 16: Overview Type "t_account_my_client"

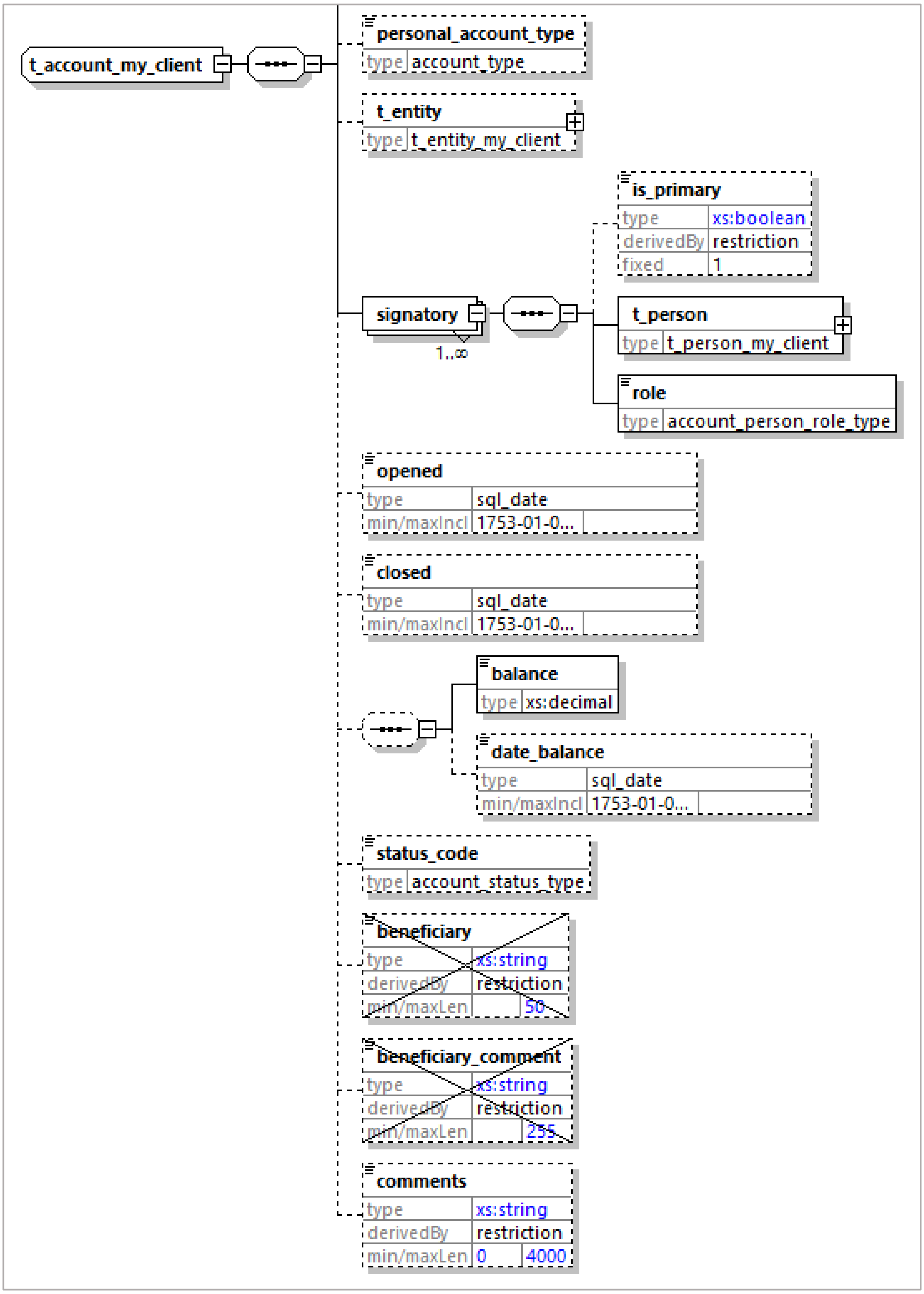
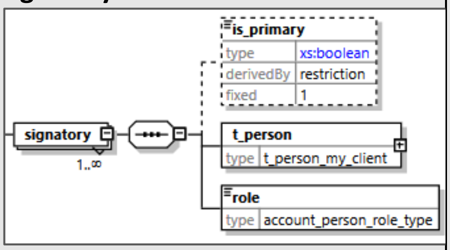


Figure 17: Overview Type "t_account_my_client"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
institution_name	The name of the account holding entity	Text 255	N	

institution_code	Institution registration number in a public register	Text 50	**Y (one of them)**	
swift	SWIFT code	Text 11		Mandatory for RE who has SWIFT
non_bank_institution	Notification that account is **not** opened in bank	Boolean	N	
~~branch~~	Not in use	Text 255	N	
account	Account number	Text 50	**Y**	
currency_code	Currency of the account	Enum "Currency"	N	
account_name	Non-bank account, "*wallet*" (e.g. at payment institutions)	Text 255	C	
~~iban~~	Not in use	Text 34	N	
~~client_number~~	Not in use	Text 30	N	
personal_account_type	Account Type	Enum "Account Type"	**N**	
t_entity	Mandatory for entity accounts Holder element for one "t_entity_my_client" element to provide details of the entity owning the account	Type "t_entity_my_client"	**C**	See 4.3 "t_entity_my_client"
signatory 	Mandatory for natural persons' accounts Holder element for 1-∞ "t_person_my_client" elements to provide details of signatory/ -ies of account which belongs to legal person		**Y**	
is_primary	Identifies the primary account holder (shows that account belongs to natural person). Only one signatory should be marked as "is_primary".	Boolean	C	

t_person	Element to provide details of the persons associated with the account	Type "t_person_my_client"	**Y**	See 4.1 "t_person_my_client"
role	Role of the person associated with the account	Enum "Account Person Role Type"	**Y**	
opened	Opening date of the account	DateTime	N	
closed	Closing date of the account (if closed)	DateTime	N	
balance	The account balance after the transaction was conducted.	Decimal	N	
date_balance	A date field to specify the date of the reported balance.	DateTime	N	
status_code	Account status when transaction was initiated	Enum "Account Status"	N	
~~beneficiary~~	Not in use	Text 50	~~N~~	Beneficiary should be included in "director_id", under "entity"
~~beneficiary_comment~~	Not in use	Text 255	~~N~~	
comments	Generic comments element	4000	N	

Table 14: Details Type "t_account_my_client"

4.6 "t_account"

"t_account" XML type is for the XML elements which provide details about the accounts relating to a transaction, which are NOT held by RE. This element has the same structure of the "t_account_my_client" type, but only the name & code of the institution holding the account, the account number and minimum information on account holder (Person/Entity) are mandatory. However, Reporting Institutions should submit every detail regarding the account, if available.

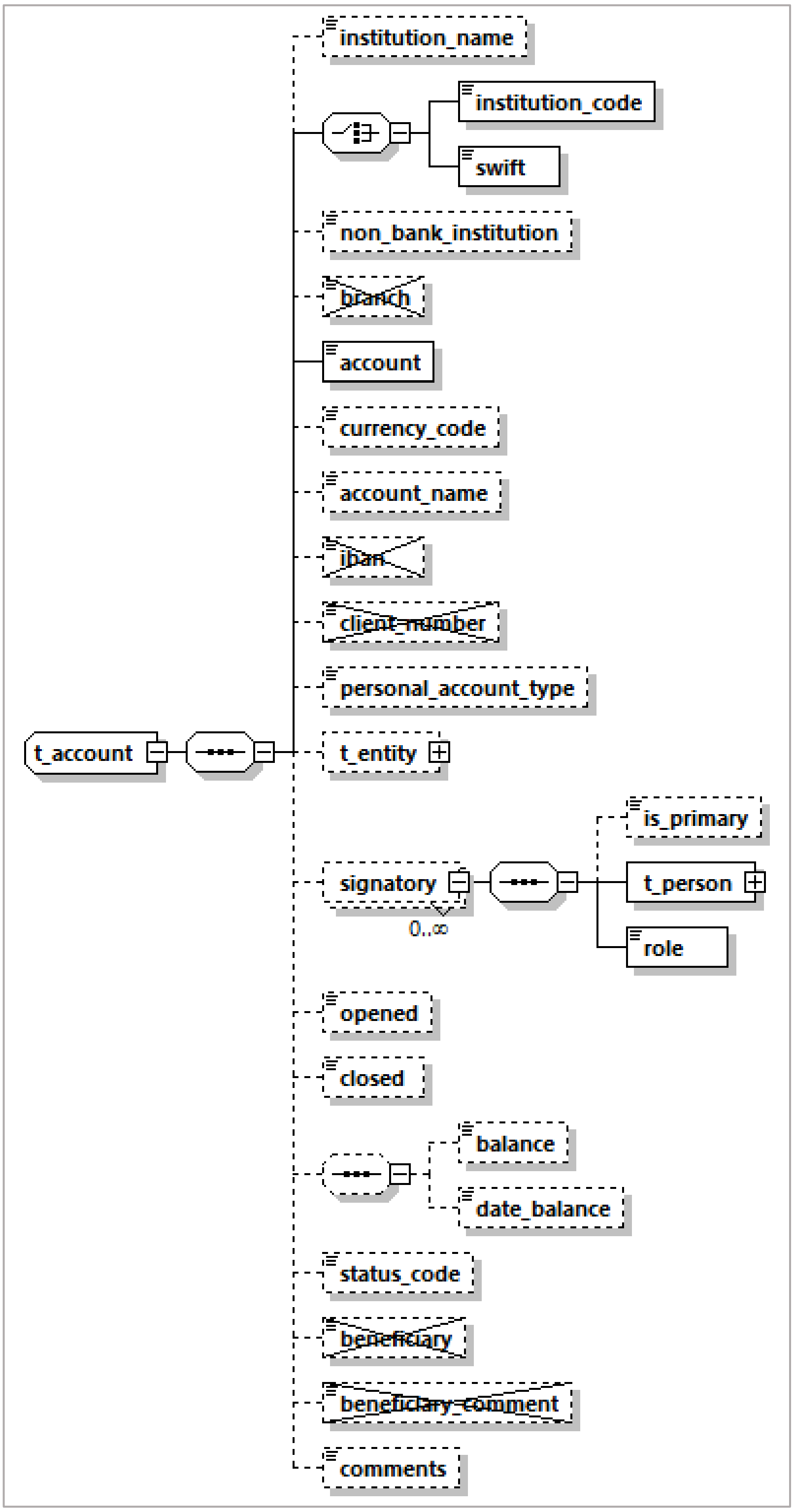
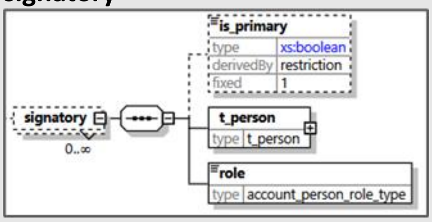


Figure 18: Overview Type "t_account"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
institution_name	The name of the account holding entity	Text 255	N	
institution_code	Institution registration	Text 50	**Y**	

	number in a public register		**(one of them)**	
swift	SWIFT code	Text 11		Mandatory for RE who has SWIFT
non_bank_institution	Notification that account is **not** opened in bank	Boolean	N	
~~branch~~	Not in use	Text 255	N	
account	Account number	Text 50	**Y**	
currency_code	Currency of the account	Enum “Currency”	N	
account_name	Non-bank account, “*wallet*” (e.g. at payment institutions)	Text 255	**C**	
~~iban~~	Not in use	Text 34	N	
~~client_number~~	Not in use	Text 30	N	
personal_account_type	Account Type	Enum “Account Type”	**N**	
t_entity	Mandatory for entity accounts Holder element for one “t_entity_my_client” element to provide details of the entity owning the account	Type “t_entity_my_client”	**C**	See 4.3 “t_entity_my_client”
signatory  	Mandatory for natural persons’ accounts Holder element for 1-∞ “t_person_my_client” elements to provide details of signatory/ -ies of account which belongs to legal person		C	
is_primary	Identifies the primary account holder (shows that account belongs to natural person). Only one signatory should be marked as “is_primary”.	Boolean	C	

t_person	Element to provide details of the persons associated with the account	Type "t_person_ my_client"	C	See 4.1 "t_person_ my_client"
role	Role of the person associated with the account	Enum "Account Person Role Type"	C	Mandatory if "signatory" is included
opened	Opening date of the account	DateTime	N	
closed	Closing date of the account (if closed)	DateTime	N	
balance	The account balance after the transaction was conducted.	Decimal	N	
date_balance	A date field to specify the date of the reported balance.	DateTime	N	
status_code	Account status when transaction was initiated	Enum "Account Status"	N	
~~beneficiary~~	Not in use	Text 50	~~N~~	Beneficiary should be included in "director_id", under "entity"
~~beneficiary_comment~~	Not in use	Text 255	~~N~~	
comments	Generic comments element	4000	N	

Table 15: Details Type "t_account"

4.7 Type "t_party"

"t_party" XML type is for "party" XML elements in multi-party transactions, where the details of PAEs involved in the transaction can be reported with the transaction, without from/to direction. A multi-party transaction can have 1 to many PAEs in the "involved_parties" element within the "transaction" element, which is a collection of "party" elements of "t_party" type. Each "party" element can have one Person, Account, or Entity (my clients or not my clients) element, and their role in the transaction should be reported within the "party" element.

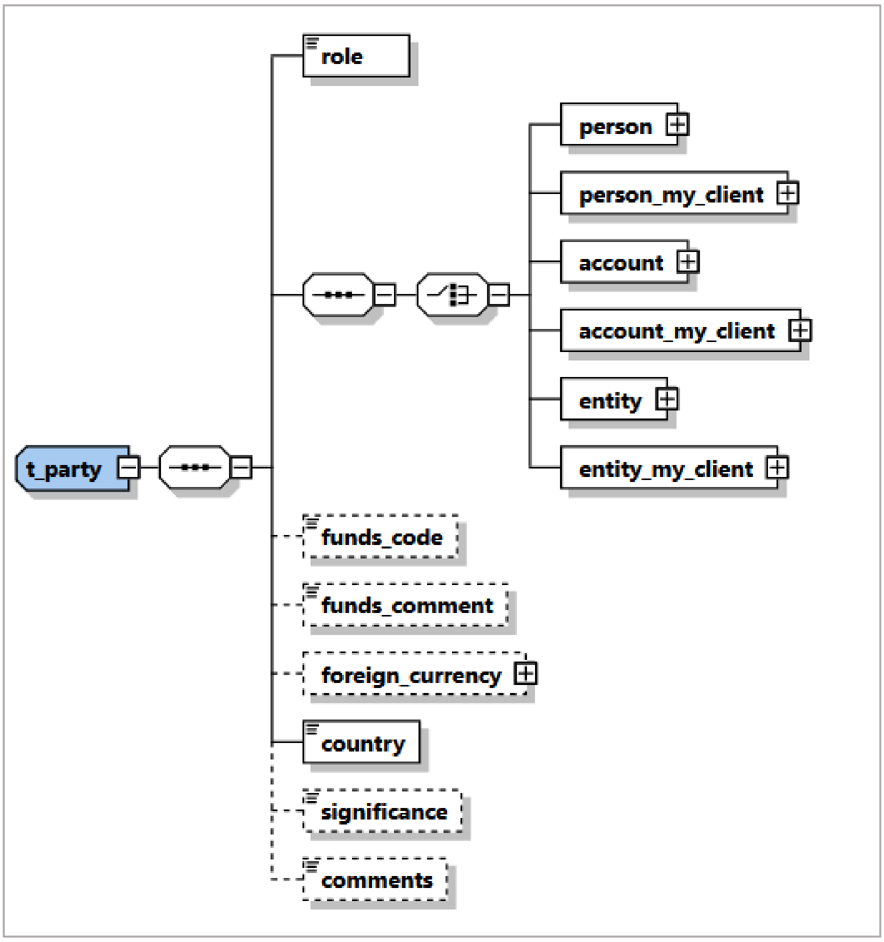


Figure 19: Overview Type "t_party"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
role	Role of the PAE in the transactions	Enum "Party role"	**Y**	
person	Involved natural person (not my client)	Type "t_person"	**Y (one of them)**	See 4.2 "t_person"
person_my_client	Involved natural person (my client)	Type "t_person_my_client"		See 4.1 "t_person_my_client"
account	Involved account (not my client)	Type "t_account"		See 4.6 "t_account"
account_my_client	Involved account (my client)	Type "t_account_my_client"		See 4.5 "t_account_my_client"
entity	Involved entity (not my client)	Type "t_entity"		See 4.4 "t_entity"
entity_my_client	Involved entity (my client)	Type "t_entity_my_client"		See 4.3 "t_entity_my_client"
funds_code	Type of funds used in transaction	Enum "Funds Type"	N	

funds_comment	Description (regarding funds)	255	C	
foreign_currency	If the transaction is conducted in foreign currency, then specify the foreign currency details.	Type "t_foreign_currency"	N	See 4.10 "t_foreign_currency"
country	Country of the transaction	Enum "Country"	**Y**	
significance	The PEA's role in the report (scale from 1 to 10)	Integer	**C**	0-10 (10 – central person; one PEA should have 10)
comments	Generic comments	4000	N	

Table 16: Details Type "t_party"

4.8 Type "t_address"

"t_address" XML type is for XML elements which provide address details of persons and entities.

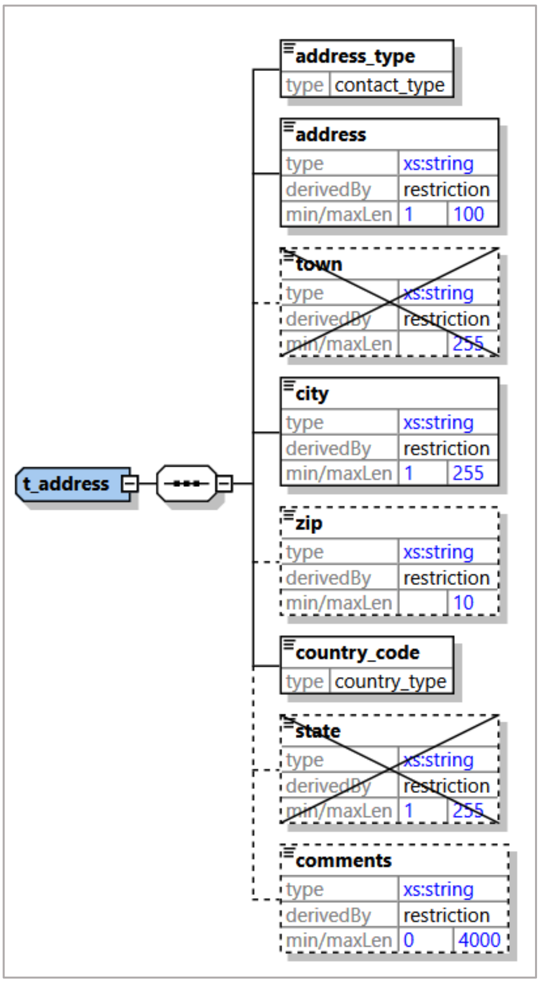


Figure 20: Overview Type "t_address"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
address_type	The contact type of the address	Enum "Phone Address Type"	**Y**	
address	Street, house number of building/house name, apartment number	Text 100	**Y**	
~~town~~	Not in use	Text 255	~~N~~	
city	City/town or region/county	Text 255	**Y**	
zip	Postal code	10	N	
country_code	Country of the address	Enum "Country"	**Y**	
~~state~~	Not in use	Text 255	N	
comments	Generic comments	Text 4000	N	

Table 17: Details Type "t_address

4.9 Type "t_phone"

"t_phone" XML type is for XML elements which provide telephone details of persons and entities.

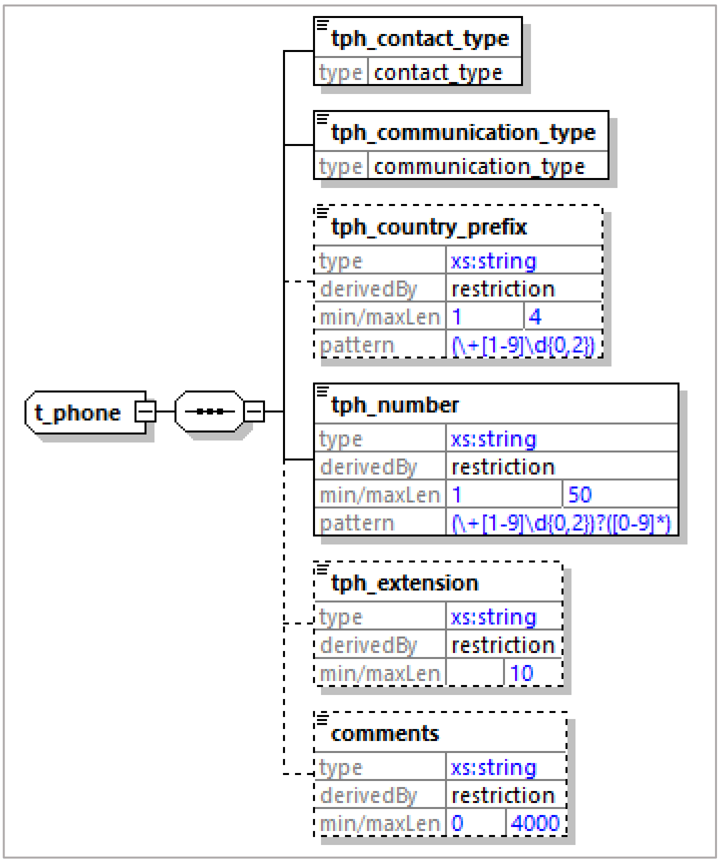


Figure 21: Overview Type "t_phone"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
tph_contact_type	The contact type of the phone	Enum "Phone Address Type"	**Y**	
tph_communication_type	The communication type of the phone	Enum "Communication Type"	**Y**	
tph_country_prefix	Country calling code (must start with +)	Text 4	Y	
tph_number	Phone number (digits only)	Text 50	**Y**	
tph_extension	Phone number extension	Text 10	N	
comments	Generic comments	Text 4000	N	

Table 18: Details Type "t_phone"

4.10 Type "t_foreign_currency"

"t_foreign_currency" XML type is for XML elements which provide details of foreign currencies used in the transaction.

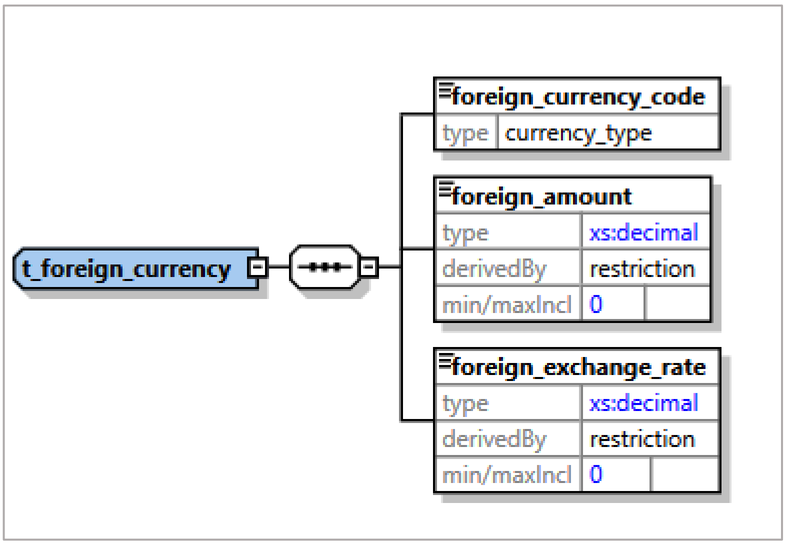


Figure 22: Overview Type "t_foreign_currency"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
foreign_currency_code	Currency Code	Enum "Currency"	**Y**	
foreign_amount	Transaction amount in foreign currency (maximum 2 decimal places)	Decimal	**Y**	
foreign_exchange_rate	Currency exchange rate	Decimal	**Y**	

	to EUR			

Table 19: Details Type "t_foreign_currency"

4.11 Type "t_person_identification"

"t_person_identification" XML type is for XML elements which provide details of identification of person.

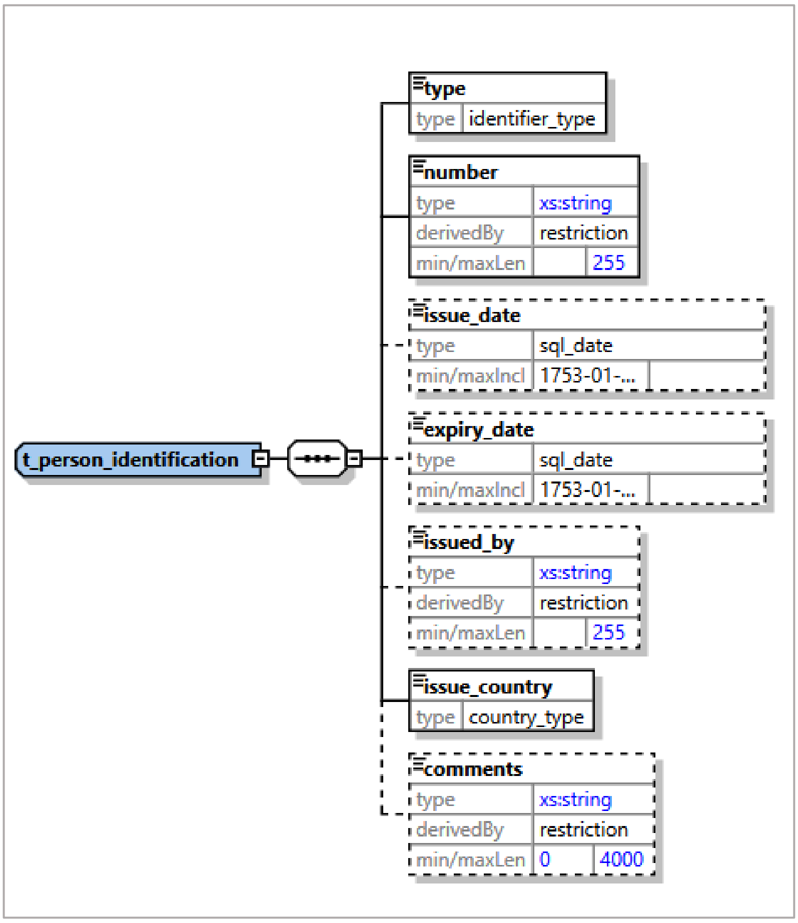


Figure 23: Overview Type "t_person_identification"

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
type	ID document type	Enum "Identification Type"	**Y**	
number	Number of the identification document, without spaces	Text 255	**Y**	
issue_date	Identification document issue date	DateTime	N	
expiry_date	Identification document expiry date	DateTime	N	
issued_by	Name of Authority issued the document	Text 255	N	
issue_country	Country where the document was issued	Enum "Country"	**Y**	
comments	Generic comments field	Text 4000	N	

Table 20: Details Type "t_person_identification"

4.12 Type "t_person_registration_in_report"

"t_person_registration_in_report" XML type is for XML which provide details of the person submitting the report (representative of RE). If you choose to include such details, only the mandatory fields are mandatory. Other required fields are yet to be determined and will be given in later revisions of this document.

NAME	DESCRIPTION	LENGTH/TYPE	MANDATORY	EXAMPLE
Only surname / last name of the person should be given in the "last_name" field, and all other parts of the name should be given in the "first_name" field.				
first_name	All parts of the name, except the last name.	Text 100	**Y**	
last_name	Last name	Text 100	**Y**	
birthdate	Birth date	DateTime	N	1953-01-25 T00:00:00
SSN	Foreign ID number if the person does not have a Latvian ID.	Text 25	N	
passport_number	Only for persons that do not have a Latvian ID	Text 25	N	
passport_country	Only for persons that do not have a Latvian ID. If the passport country is provided, this field is mandatory	Text 25	N	
id_ number	Latvian ID number with "-"	Text 25	N	111111-11111
nationality1	If the person does neither have a Latvian ID nor a passport, a country of origin/nationality can be provided.	Enum "Country"	N	
phones	A Holder element for 1-∞ "phone" elements		N	
phone	Element for providing phone details	Type "t_phone"	N	See 4.9. "t_phone"
addresses	A Holder element for 1-∞ "address" elements		N	
address	Element for providing address details	Type "t_address "	N	See 4.8. "t_address"
email	Email address	Type "email_address"	N	
comments	Generic comments field	4000	N	

5 Enumerations

Enumerations lists are used in certain XML elements to ensure data quality. If the data type of the XML element is "Enum", then one value from the relevant list of classifiers shall be specified in the respective element. The only exception is the classifiers in the “indicators” section, where it is possible to select several values.

The goAML XSD contains most of the enumeration values, which will make it easier for reporters to create XML files and check enumerations values.

Initially, the enumerations will be published in a separate MS EXCEL file and only in the end will their values be included in this document. In addition, the MS EXCEL file will be updated periodically, so REs should review and evaluate the current content of this file over time. A machine-readable format TSV is provided as well.