



## **IEMS User Guide for Reporting Entities**

**UAE Financial Intelligence Unit**

**17/03/2022 – V2.1.2**

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## INTRODUCTION

The UAE Financial Intelligence Unit's Integrated Enquiry Management System (IEMS) automates and facilitates the execution process of requesting information, implementing public prosecutions' decisions and other types of requests regarding Anti Money Laundering and Combating Financing of Terrorism (AML/CFT) issued by all Domestic authorities in the UAE.

IEMS allows an end-to-end automated process between the UAEFIU, domestic authorities and reporting entities in the UAE. It offers a set of functionalities that strengthens the execution and monitoring of different requests from domestic authorities, in addition to an adequate statistical reporting module.

## GENERAL INSTRUCTIONS

- It is crucial to adhere to the due dates and follow the FIU instructions in the field "FIU Comments" & the attached notices.
- Make sure to pay attention to the time-period chosen by our stakeholders for the account statement and provide it in CSV and PDF format.
- Check the chosen items from the checklist and adhere to it.
- Update account review tab with your comments and if there is any ML/TF concerns.
- Freeze orders should be immediately implemented on the amount mentioned in the request or the entire account balance (based on the case) despite the existence of any liabilities on your customers.
- For review periods, please select the date of the same year e.g. Review period from 01/01/2021 Review period to 31/12/2021.
- For current balance, if it is not the same year of the request, then type NA in this field.
- Turnover is the turnover of the same selected period year.
- All the fields marked with \* are mandatory.

## USERS AND ROLES

IEMS has several types of roles:

### 1. Admin

This role can manage all users within an entity. It can create new users. Assign new roles and deactivate users.

### 2. Maker

This role can reply to requests and add the relevant attachments to the requests.

### 3. Checker

This role can only sign off or authorize the replies prepared by the maker. It can reject the reply if necessary. Requests will be returned to the **Maker** for amendment if rejected.

## DISCLAIMER

The UAEFIU reserves the right to amend, modify or change the contents of this document when deemed necessary. Please refer to the UAEFIU's website<sup>1</sup> for the most recent version.

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<sup>1</sup> <https://www.uaefiu.gov.ae/en/more/knowledge-centre/system-guides/>

# 1. IEMS REGISTRATION AND LOGIN

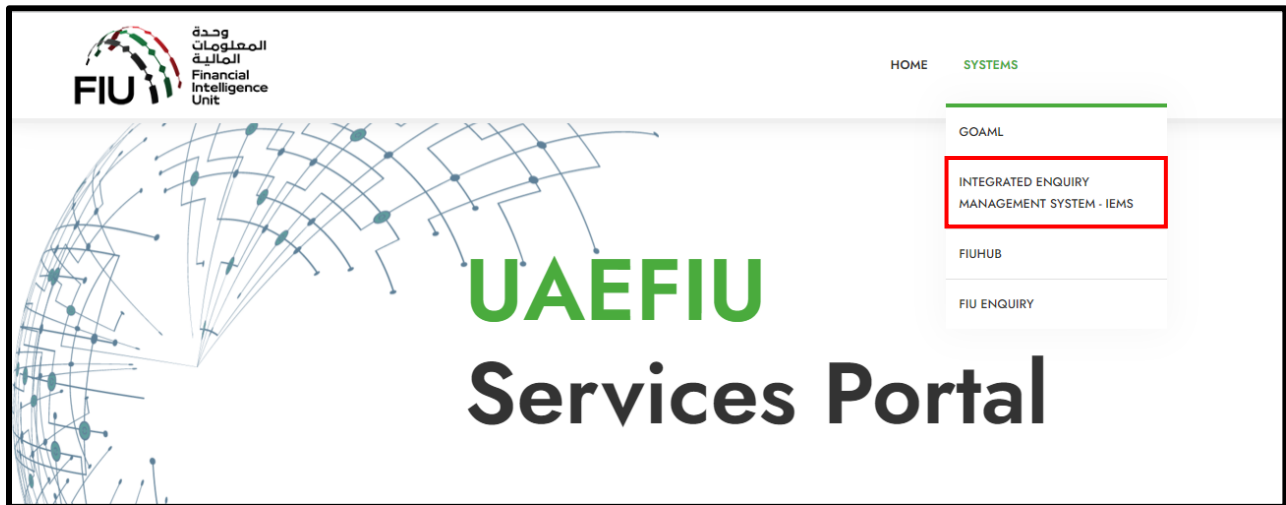
Reporting Entities (REs) registered on the UAEFIU's reporting system, goAML, will be able to access IEMS using their same goAML login credentials. The MLRO or Compliance Officer who is registered as the Admin user on goAML will also have the same Admin role on IEMS.

## 1.1 Login

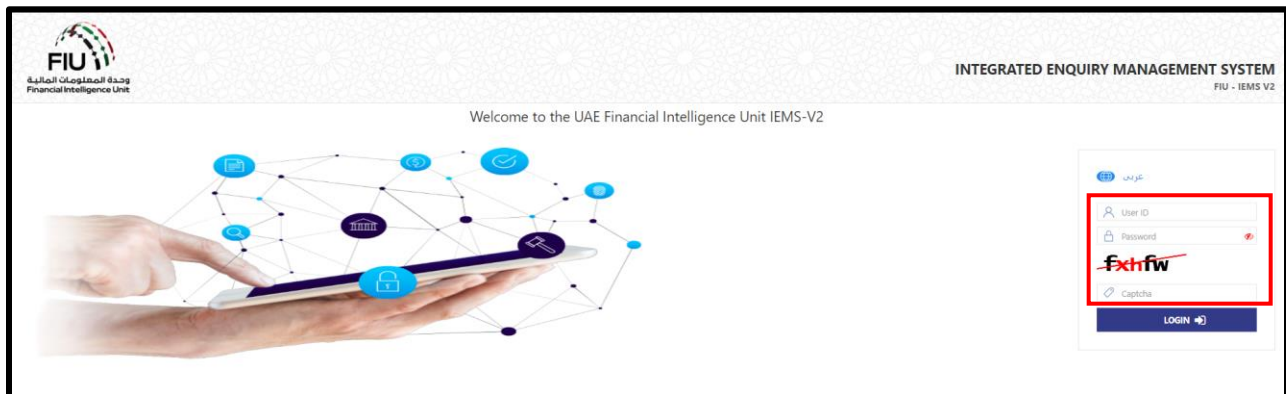
There are two ways to login to IEMS:

### 1.1.1 FIU Services Portal (MPLS Line)

For entities that have subscribed to the MPLS line, IEMS is available on the **UAEFIU Services Portal** <https://10.15.15.150/>



After selecting IEMS from the **SYSTEMS** menu on the UAEFIU Services Portal, the login screen will open as follows:

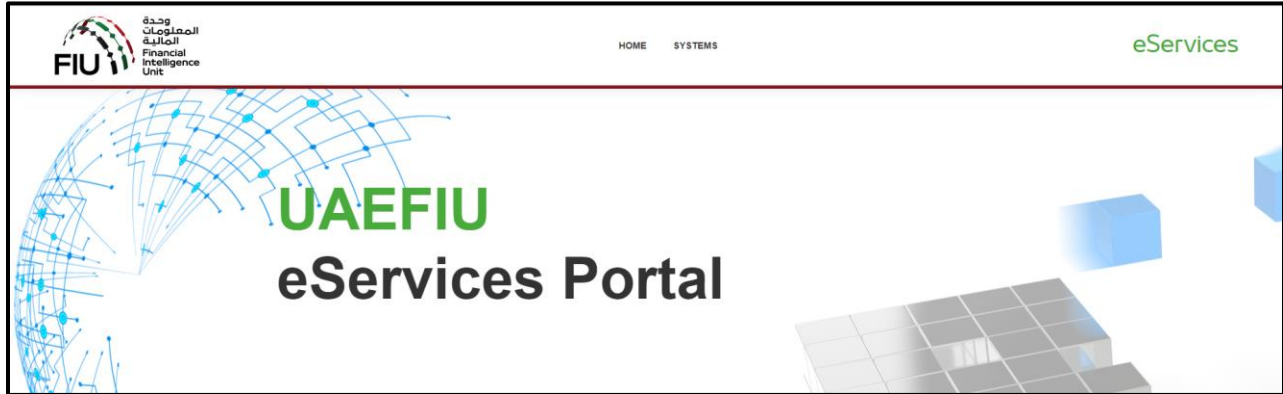


Use the goAML username and password to login after typing in the captcha as shown in the figure above.

If you are facing issues seeing the above screen, please ensure to disable the popup blocker on your web browser. The recommended web browser is Google Chrome V64+. Best viewed in 1600x900 or higher screen resolution.

### 1.1.2 FIU eServices Portal (over the internet)

For entities that have not subscribed to the MPLS line and are using internet, IEMS is available on the **UAEFIU eServices Portal** <https://services.uaefiu.gov.ae>



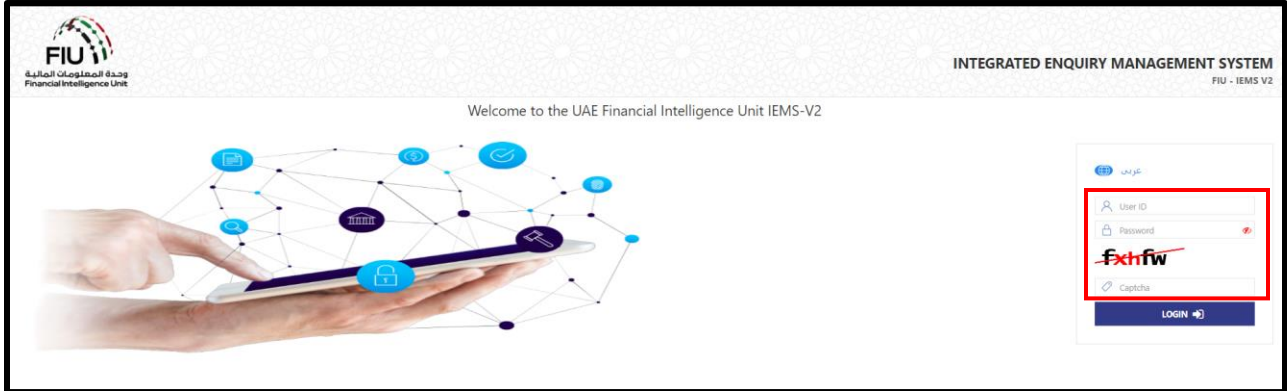
Click on **SYSTEMS** menu on the UAEFIU eServices Portal, and then select IEMS.

You will then be prompted to enter a username and a password:

The image shows a 'Sign in' form. At the top, it says 'Sign in' and the URL 'https://services.uaefiu.gov.ae'. Below this are two input fields: 'Username' and 'Password'. The 'Username' field has a blue border and a vertical cursor. Below the input fields are two buttons: a blue 'Sign in' button and a white 'Cancel' button with a blue border.

Please use the same username that you use to log into the same screen for goAML as well as the Google Authenticator 6-digit passcode as your password.

The screen will then take you to the IEMS login screen:



Use the goAML username and password to login after typing in the captcha as shown in the figure above.

If you are facing issues seeing the above screen, please ensure to disable the popup blocker on your web browser. The recommended web browser is Google Chrome V64+. Best viewed in 1600x900 or higher screen resolution.

## 2. MAIN SCREENS AND FUNCTIONALITIES

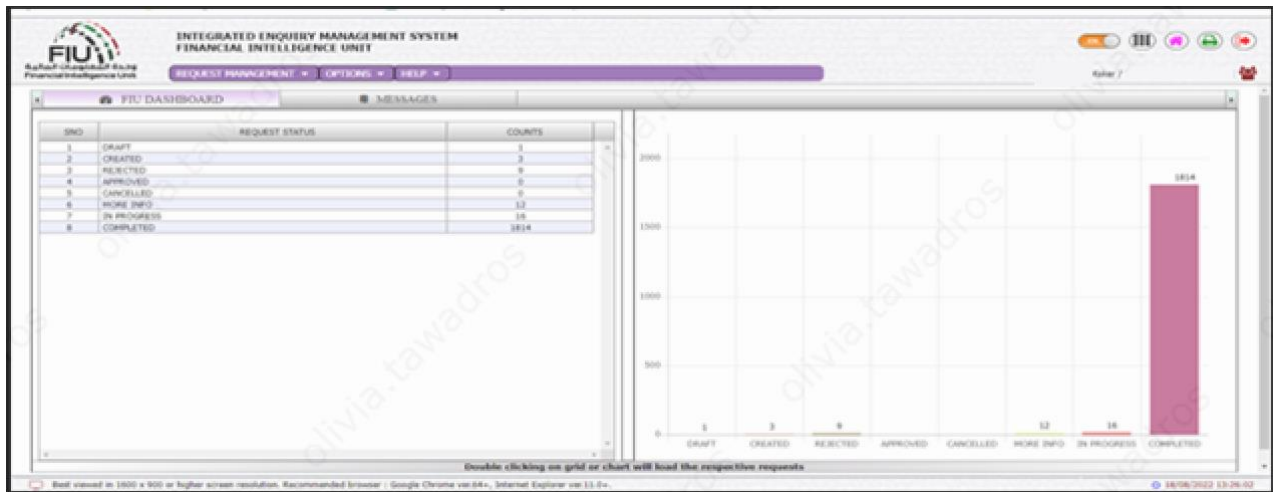
### 2.1 Main page



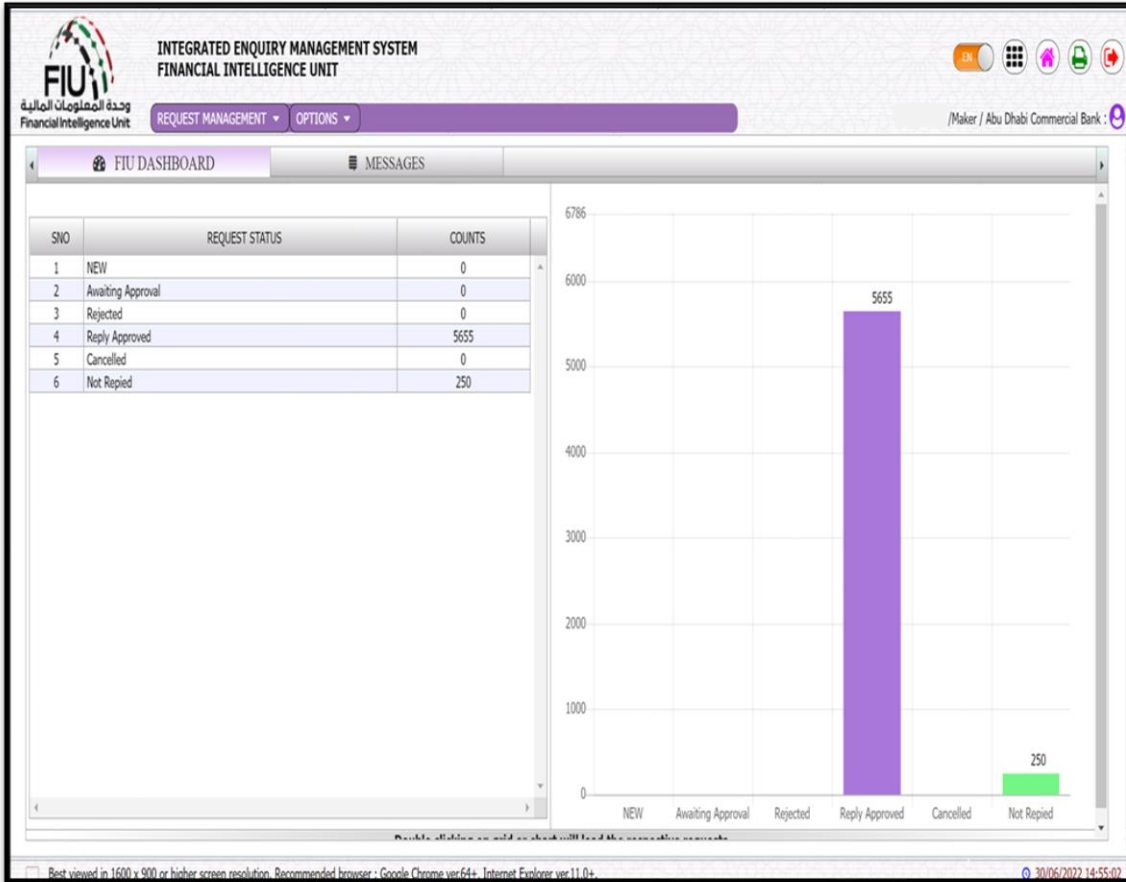
Main page has the User ID of the logged in user on the top right corner, the Name of the entity and the selected language of the system.

Click on the picture on the left side of the screen (**FIU**) to move to the next screen.


### 2.2 Dashboard



The dashboard shows the Request Status for each Maker. It also provides a **Messages** tab for correspondence with the UAEFIU.



By clicking on each item under Request Status, the user will be able to see the requests that fall under the selected status.


**INTEGRATED ENQUIRY MANAGEMENT SYSTEM**  
**FINANCIAL INTELLIGENCE UNIT**

وحدة المعلومات المالية  
 Financial Intelligence Unit

REQUEST MANAGEMENT    OPTIONS

/Maker / Abu Dhabi Commercial Bank

FIU DASHBOARD    MESSAGES

| SNO | <input type="checkbox"/> ACTION | TYPE                   | SUBJECT                                       | DESCRIPTION  | PUBLISHED ON        | READ DT |
|-----|---------------------------------|------------------------|---|--|---------------------|---------|
| 1   | <input type="checkbox"/>        | Holiday Alert          | Holiday Alert                                 | Holiday has been declared from 2021-07-19 to 2021-07-22<br>EID AL Adha 2021  | 18/07/2021 11:43:14 |         |
| 2   | <input type="checkbox"/>        | Holiday Alert          | Holiday Alert                                 | Holiday has been declared from 2021-05-11 to 2021-05-15<br>EID ul Fitr 2021 Holiday  | 10/05/2021 14:16:13 |         |
| 3   | <input type="checkbox"/>        | Alert                  | Scheduled maintenance window                  | IEMS will be down for scheduled maintenance from 9:00 AM to 3:00 PM on 29-05-2020  | 29/05/2020 08:35:27 |         |
| 4   | <input type="checkbox"/>        | Holiday Alert          | Holiday Alert                                 | Holiday has been declared from 2020-05-22 to 2020-05-26<br>EID ul Fitr 2020 Holiday  | 22/05/2020 20:27:33 |         |
| 5   | <input type="checkbox"/>        | Holiday Alert          | Holiday Alert                                 | Holiday has been declared from 2020-01-01 to 2020-01-01<br>New Year Holiday  | 30/12/2019 15:43:02 |         |
| 6   | <input type="checkbox"/>        | Holiday Alert          | Holiday Alert                                 | Holiday has been declared from 2019-12-01 to 2019-12-03<br>UAE National Holiday  | 28/11/2019 10:25:08 |         |
| 7   | <input type="checkbox"/>        | Changes & Enhancements | File uploading options for reporting entities | IEMS system under FIU now allows reporting entities to allow uploading CSV Types   | 13/10/2019 11:03:22 |         |
| 8   | <input type="checkbox"/>        | Holiday Alert          | Holiday Alert                                 | Holiday has been declared from 2019-08-10 to 2019-08-13<br>EID AL Adha 2019  | 06/08/2019 14:00:28 |         |
| 9   | <input type="checkbox"/>        | New release            | Scheduled System Maintenance                  | IEMS system will be down from 10:00 a.m. on Friday, June 28th, 2019 to 08:00 a.m. on Saturday, June 29th, 2019 for scheduled system maintenance.   | 27/06/2019 12:55:55 |         |
| 10  | <input type="checkbox"/>        | Changes & Enhancements | Do you know about DUE DATE?                   | You must complete all steps of replying before the due date or else your reply will be ignored by the system and mark your status as NOT REPLIED after the due date. The two major steps include INPUT by Maker and AUTHORIZED BY Checker (both steps must be completed on or before Due Date) | 12/03/2019 12:12:45 |         |
| 11  | <input type="checkbox"/>        | Changes & Enhancements | Welcome to our portal                         | Integrated Enquiry Management System Financial Intelligence  | 07/03/2019 15:58:26 |         |

Best viewed in 1600 x 900 or higher screen resolution. Recommended browser : Google Chrome ver.64+, Internet Explorer ver.11.0+.

04/07/2022 13:55:02

In the messages tab, the user will be able to see messages that the UAEFIU sends with instructions, updates, announcements, etc.

## 2.3 Request Management

By clicking on **Request Management** menu, the Request management screen will be shown. This is where all the requests received can be found. Request reference number would blink on the due date to alert users.

The screenshot displays the 'REQUEST MANAGEMENT' screen within the 'INTEGRATED ENQUIRY MANAGEMENT SYSTEM' (EIMS) of the 'FINANCIAL INTELLIGENCE UNIT'. The interface includes a navigation menu with 'REQUEST MANAGEMENT' and 'OPTIONS' highlighted. A 'MANAGE REQUEST(S)' button is also visible. The main area contains a table of requests with columns for SNO, LOCK, CUSTOMER TYPE, CUSTOMER NAME ENG, CUSTOMER NAME ARB, REQUEST TYPE, STATUS, PUB DATE, DUE DATE, REF NUMBER, MAKER, and MAKER DATE. The 'DUE DATE' column is highlighted in red, and the 'DUE DATE' values are also highlighted in red. The table shows 17 requests, with the first 16 having a 'Not Replied' status and the 17th having a 'Replied' status. The 'DUE DATE' values range from 2022-01-26 to 2022-05-15. The interface also includes a search bar, a 'Re Load' button, and a page indicator showing 'Page 1/282'.

| SNO | LOCK | CUSTOMER TYPE    | CUSTOMER NAME ENG  | CUSTOMER NAME ARB  | REQUEST TYPE               | STATUS      | PUB DATE   | DUE DATE   | REF NUMBER       | MAKER | MAKER DATE |
|-----|------|------------------|--------------------|--------------------|----------------------------|-------------|------------|------------|------------------|-------|------------|
| 1   |      | Natural Person   | Frozen Amount test | Frozen Amount test | Search and Freeze to all F | Not Replied | 2022-04-27 | 2022-05-15 | 27042022-0008835 |       |            |
| 2   |      | Juridical Person | TEST06APRIL        | TEST06APRIL        | Search and Freeze to all F | Not Replied | 2022-04-14 | 2022-04-26 | 06042022-0008833 |       |            |
| 3   |      | Juridical Person | test               | test               | Search to all FIs          | Not Replied | 2022-04-14 | 2022-04-26 | 06042022-0008832 |       |            |
| 4   |      | Natural Person   | test               | test               | Search to specific FIs     | Not Replied | 2022-03-17 | 2022-03-16 | 17032022-0008827 |       |            |
| 5   |      | Natural Person   | test               | test               | Search to all FIs          | Not Replied | 2022-03-17 | 2022-03-16 | 10032022-0008826 |       | 2022-03-17 |
| 6   |      | Account number   |                    |                    | Account review and analy   | Not Replied | 2022-03-08 | 2022-03-19 | 07032022-0008825 |       | 2022-03-08 |
| 7   |      | Juridical Person | ذ م م              | TEST               | Search to specific FIs     | Not Replied | 2022-03-24 | 2022-04-05 | 07032022-0008815 |       | 2022-03-25 |
| 8   |      | Natural Person   | aaa                | aaa                | Search to specific FIs     | Not Replied | 2022-03-25 | 2022-03-26 | 04032022-0008811 |       |            |
| 9   |      | Natural Person   | TEST               | TEST               | Search to all FIs          | Not Replied | 2022-03-10 | 2022-03-11 | 03032022-0008810 |       |            |
| 10  |      | Natural Person   | 2343243            | 234234             | Search to all FIs          | Not Replied | 2022-02-22 | 2022-03-05 | 22022022-0008808 |       |            |
| 11  |      | Juridical Person | test               | test               | Account review and analy   | Replied     | 2022-02-03 | 2022-02-02 | 03022022-0008806 |       | 2022-02-03 |
| 12  |      | Juridical Person | test               | test               | Search to specific FIs     | Not Replied | 2022-02-03 | 2022-02-02 | 03022022-0008804 |       | 2022-02-03 |
| 13  |      | Juridical Person | test               | test               | Search to specific FIs     | Replied     | 2022-02-03 | 2022-02-15 | 03022022-0008803 |       | 2022-02-03 |
| 14  |      | Natural Person   | TEST               | TEST               | Search to all FIs          | Not Replied | 2022-02-03 | 2022-02-04 | 03022022-0008802 |       | 2022-02-03 |
| 15  |      | Juridical Person | TEST MZ            | TEST MZ            | Search and Freeze to all F | Not Replied | 2022-02-03 | 2022-05-21 | 03022022-0008800 |       | 2022-02-03 |
| 16  |      | Juridical Person | TEST MZ            | TEST MZ            | Search and Freeze to all F | Replied     | 2022-02-03 | 2022-03-20 | 03022022-0008799 |       | 2022-02-03 |
| 17  |      | Account number   |                    |                    | Search to all FIs          | Not Replied | 2022-01-14 | 2022-01-26 | 14012022-0008792 |       |            |

By clicking on a request, the request page will open to show the below:

|                           |   |
|---------------------------|---|
| <b>Reference No</b>       | Request reference number  |
| <b>Due Date</b>           | Due date assigned by UAEFIU for this request                          |
| <b>FIU Comments</b>       | Any comments or instructions from UAEFIU                              |
| <b>Customer Type</b>      | Natural Person, Legal Person/Entity or Account                        |
| <b>Full Name Eng</b>      | Subject of interest full name in English                              |
| <b>Full Name Arb</b>      | Subject of interest full name in Arabic                               |
| <b>Alias/AKA Name Eng</b> | Any known aliases for the subject of interest in English              |
| <b>Alias/AKA Name Arb</b> | Any known aliases for the subject of interest in Arabic               |
| <b>Date of Birth</b>      | Subject of interest's date of birth. Format: YYYY-MM-DD               |
| <b>Emirates ID</b>        | Subject of interest's Emirates ID number                              |
| <b>Passport No</b>        | Subject of interest's passport number                                 |
| <b>Nationality</b>        | Subject of interest's nationality as per the above mentioned passport |



## 2.4 Reply & Attachments

FIU - IEMS  
REQUEST STATUS >>> FIU Rejected Reply

REQUEST DETAILS | **REPLY & ATTACHMENTS** | CORRESPONDENCE | MESSAGE BOARD

\*Relationship : Customer  
Please Select  
Customer  
Not Customer  
Relative  
Counterpart  
Customer Company  
Remittance only

\*Reply Action : NA

ATTACHMENTS | ACCOUNT HOLDER DETAILS | ACCOUNT SIGNATORY DETAILS | ACCOUNT REVIEW DETAILS

Add Delete

|                     |   |
|---------------------|---|
| <b>Relationship</b> | A dropdown to select the entity's relationship to the subject of interest. Options are: Customer, Not Customer, Relative, Counterpart, Customer Company, Remittance Only) |
|---------------------|---|

FIU - IEMS  
REQUEST STATUS >>> FIU Rejected Reply

REQUEST DETAILS | **REPLY & ATTACHMENTS** | CORRESPONDENCE | MESSAGE BOARD

\*Relationship : Customer

Fis Review on the Subject : test

\*Reply Action : NA  
Please Select  
No action taken  
Recommended action taken  
NA

|                     |   |
|---------------------|---|
| <b>Reply Action</b> | A dropdown to select the course of action the entity is taking in this reply. Options are: No action taken, Recommended action taken or NA. |
|---------------------|---|

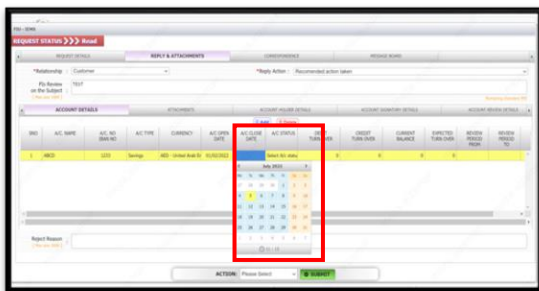
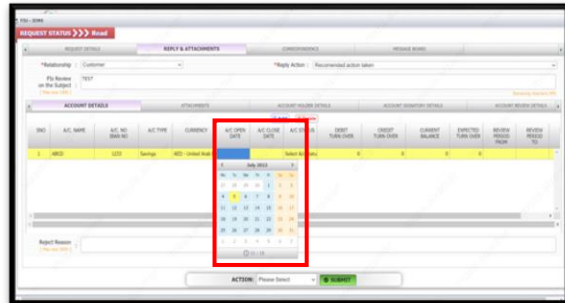
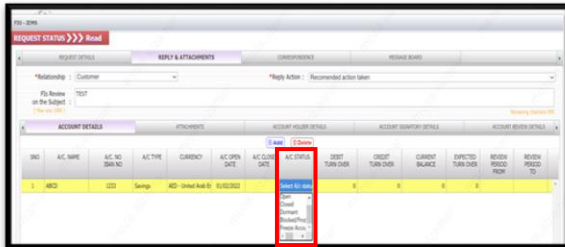
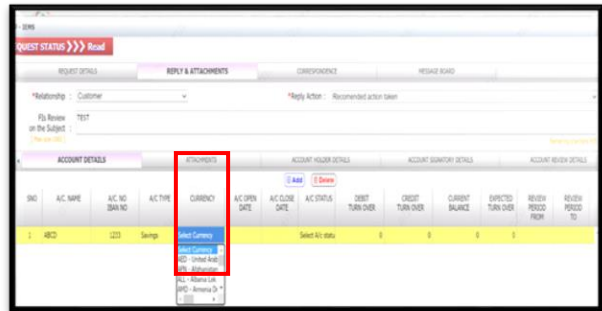
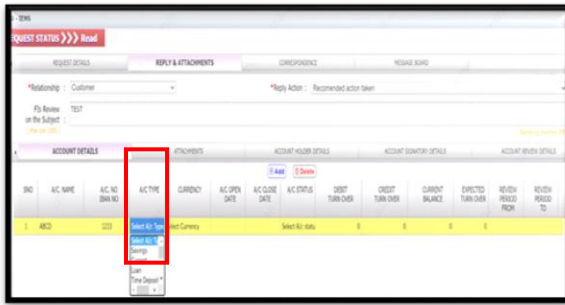
### 2.4.1 Account Details

Customer Account details have to be entered if the request is an action against a customer. If the request is about a non-customer, relevant relationship has to be selected.

The screenshot shows the FIU-IRMS interface with the 'ACCOUNT HOLDER DETAILS' tab selected. The 'A/C NO - IBAN NO' field is highlighted with a red box and contains a dropdown menu with 'Please Select' and '1233'.

| SNO | A/C NO<br>IBAN NO     | CUSTOMER<br>TYPE | CUSTOMER NAME | NATIONALITY /<br>LIC ISSUE PLACE | DATE OF BIRTH /<br>LIC ISSUED DATE | PASSPORT NO /<br>LICENSE NO | EMIRATES ID | UNIFIED NO | RESIDENCY VISA | RELATED<br>ACCOUNT NO | RELAT  |
|-----|-----------------------|------------------|---------------|----------------------------------|------------------------------------|-----------------------------|-------------|------------|----------------|-----------------------|--------|
| 1   | Please Select<br>1233 | Natural Person   |               | Please Select                    |                                    |                             |             |            |                |                       | Please |

|                  |  |
|------------------|--|
| A/C NO - IBAN NO | Should be manually filled by the user. |
|------------------|--|



|                       |  |
|-----------------------|--|
| <b>A/C TYPE</b>       | Please select account type from dropdown         |
| <b>CURRENCY</b>       | Please select account currency from dropdown     |
| <b>A/C STATUS</b>     | Please select account status from dropdown       |
| <b>A/C OPEN DATE</b>  | Please select account opening date               |
| <b>A/C CLOSE DATE</b> | Please select account closure date if applicable |

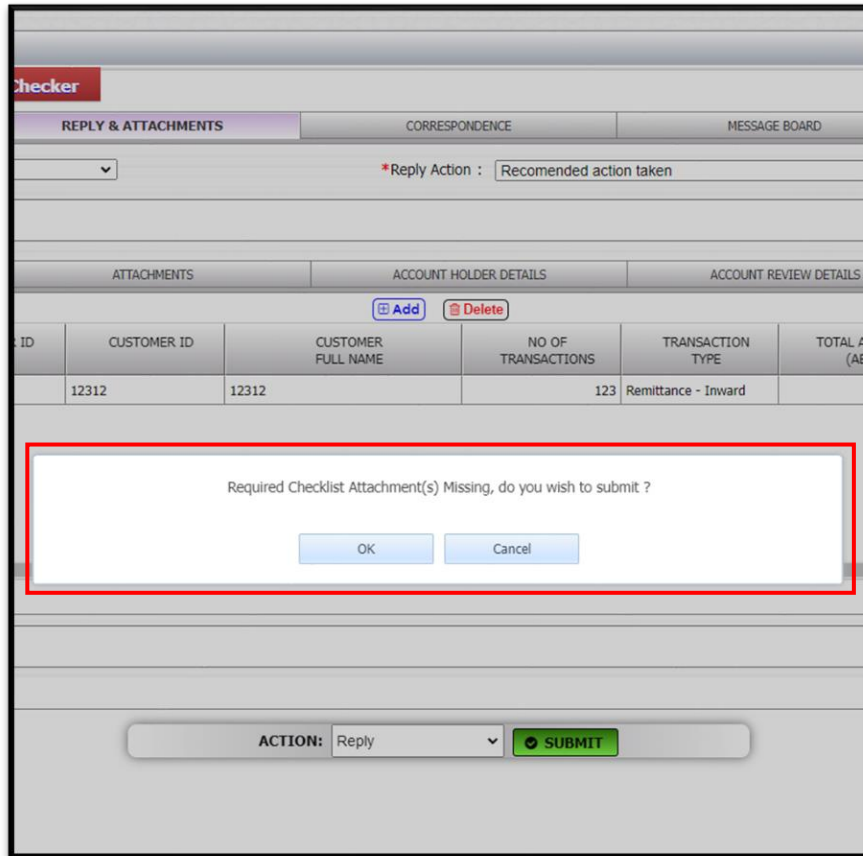
## 2.4.2 Attachments

| SNO | FILE TYPE        | FILE NAME           | DESCRIPTION   |
|-----|------------------|---------------------|---|
| 1   | Reply Attachment | Test March 2022.pdf | Please select<br>Bank Comments in Arabic ( if Available)<br>Source of Funds<br>Available Account Balance<br>Credit Card Statement - Main & Supplementary<br>Credit facilities ( Personal -Business - Car- Mortgage )<br>Other |

In order to standardize the name of the requested documents, a dropdown list is there to reflect the documents checklist in the attachments description. Users can choose the relevant option.

System will show a confirmation message if the required checklist attachments are not available while replying as shown below:

| SNO | SELECT                              | DOCUMENT   |
|-----|-------------------------------------|--|
| 1   | <input checked="" type="checkbox"/> | Account Opening Form /KYC                                |
| 2   | <input type="checkbox"/>            | Account Statement in Arabic (if Available)               |
| 3   | <input type="checkbox"/>            | Any Other Docs   |
| 4   | <input type="checkbox"/>            | Any written communications                               |
| 5   | <input type="checkbox"/>            | Available Account Balance                                |
| 6   | <input type="checkbox"/>            | Bank Comments in Arabic ( if Available)                  |
| 7   | <input type="checkbox"/>            | Bank's Review on the Account- Arabic if possible         |
| 8   | <input type="checkbox"/>            | Cash deposit slips                                       |
| 9   | <input type="checkbox"/>            | CC TV / ATM images                                       |
| 10  | <input type="checkbox"/>            | Copies of Cheques  |
| 11  | <input type="checkbox"/>            | Credit Card Statement - Main & Supplementary             |
| 12  | <input type="checkbox"/>            | Credit facilities ( Personal -Business - Car- Mortgage ) |
| 13  | <input type="checkbox"/>            | Driving License  |
| 14  | <input type="checkbox"/>            | Emirates ID  |
| 15  | <input type="checkbox"/>            | Family Book  |
| 16  | <input type="checkbox"/>            | Other  |



While replying to the request, the **Maker** has to attach the relevant supporting documents. Attachments are mandatory.

### 2.4.3 Account Holder Details

This tab will need to be completed for each account mentioned in the account details tab. After clicking on Account No, Customer type and customer name fields, previously entered details will automatically populate and users will have to select them.

The screenshot displays the 'REPLY & ATTACHMENTS' tab in the FIU - IEMS system. The 'ACCOUNT HOLDER DETAILS' section is active, showing a table with the following data:

| A/C. NO<br>IBAN NO | CUSTOMER<br>TYPE | CUSTOMER NAME | NATIONALITY /<br>LIC ISSUE PLACE | DATE OF BIRTH /<br>LIC ISSUED DATE | PASSPORT NO /<br>LICENSE NO | EMIRATES ID | UNIFIED NO | RESIDENCY VISA | RELATED<br>ACCOUNT NO | RELATION      |
|--------------------|------------------|---------------|----------------------------------|------------------------------------|-----------------------------|-------------|------------|----------------|-----------------------|---------------|
| Please Select      | Juridical Person | ABCD          | Please Select                    | 2022/07/01                         |                             |             |            |                |                       | Please Select |

The 'RELATION' dropdown menu is open, showing the following options: Please Select, Customer, Not Customer, Relative, and Counterpart. The 'ACTION' dropdown is set to 'Reply' and a 'SUBMIT' button is visible.

Customer Type, Nationality/ License Issue place and Relation are to be selected from dropdown lists. Whereas, Passport No/ License No, Emirates ID, Unified No, Residency Visa and related Account No will need to be entered manually.

## 2.4.4 Account Signatory Details

Account signatory details will need to be provided for each account provided in the Account Details tabs. After clicking on Account No, Customer type and customer name fields will be auto-populated and users will have to select them.

The screenshot displays the 'ACCOUNT SIGNATORY DETAILS' tab in the FTU - IEMS system. The interface includes a 'REQUEST STATUS' bar at the top, navigation tabs for 'REQUEST DETAILS', 'REPLY & ATTACHMENTS', 'CORRESPONDENCE', and 'MESSAGE BOARD'. Below these, there are dropdown menus for '\*Relationship' (set to 'Customer') and '\*Reply Action' (set to 'NA'). A text area for 'FIs Review on the Subject' contains the text 'TEST'. The main section is a table with columns: SNO, A/C. NO IBAN NO, CUSTOMER TYPE, CUSTOMER NAME, NATIONALITY / LIC ISSUE PLACE, DATE OF BIRTH / LIC ISSUED DATE, PASSPORT NO / LICENSE NO, EMIRATES ID, UNIFIED NO, RESIDENCY VISA, RELATED ACCOUNT NO, and RELAT. The first row has SNO '1', A/C. NO '1233', CUSTOMER TYPE 'Natural Person', CUSTOMER NAME 'ABCD', and NATIONALITY / LIC ISSUE PLACE 'Please Select'. A dropdown menu is open for the 'Please Select' cell, showing options: 'Please Select', 'Abu Dhabi', 'Dubai', 'Sharjah', and 'Ajman'. Below the table is a 'Reject Reason' text area. At the bottom, there is an 'ACTION' dropdown set to 'Reply' and a green 'SUBMIT' button.

| SNO | A/C. NO IBAN NO | CUSTOMER TYPE  | CUSTOMER NAME | NATIONALITY / LIC ISSUE PLACE | DATE OF BIRTH / LIC ISSUED DATE | PASSPORT NO / LICENSE NO | EMIRATES ID | UNIFIED NO | RESIDENCY VISA | RELATED ACCOUNT NO | RELAT   |
|-----|-----------------|----------------|---------------|-------------------------------|---------------------------------|--------------------------|-------------|------------|----------------|--------------------|---------|
| 1   | 1233            | Natural Person | ABCD          | Please Select                 |                                 |                          |             |            |                |                    | Pleas ^ |

Customer Type, Nationality/ License Issue place and Relation are to be selected from dropdown lists. Whereas, Passport No/ License No, Emirates ID, Unified No, Residency Visa and related Account No will need to be entered manually.

## 2.4.5 Account Review

User should type down the entity's review on the accounts and transactions available at their entity including any related concerns.

The screenshot displays the 'FIU - IEMS' interface with the 'REQUEST STATUS' set to 'Replied as Draft'. The 'ACCOUNT REVIEW DETAILS' tab is active, showing a form with the following fields:

- Relationship:** Customer
- Reply Action:** NA
- Fis Review on the Subject:** TEST
- Account/Transaction Review:** TEST
- AML Concern:** Yes (dropdown menu)
- AML Concern Description:**
- Reject Reason:**

The 'ACTION' dropdown is set to 'Please Select', and there is a green 'SUBMIT' button.

Additional information can be requested by the UAEFIU after submitting the reply via the Correspondence tab.

-- End of Document --