

Oracle Financial Services
Currency Transaction Reporting
User Guide

Release 1.2
December 2014



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User Guide

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Revision History

Table 1 describes the revision history of *Oracle Financial Services Currency Transaction Reporting User Guide, Release 1.2*

Table 1. Revision History

Date	Edition	Description
August 2012	First edition.	First release of <i>Oracle Financial Services Currency Transaction Reporting User Guide, Release 1.1</i>
December 2014	Second Edition	Second release of <i>Oracle Financial Services Currency Transaction Reporting User Guide, Release 1.2</i>

Revision History

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About this Guide

This guide explains the concepts of the Oracle Financial Services Currency Transaction Reporting, Release 1.2, and provides step-by-step instructions for navigating the Currency Transaction Reporting (CTR) user interface such as viewing, verifying, reviewing, approving, e-filing of the CTRs with FinCEN, creating exemptions, and managing the CTR process flow.

This chapter focuses on the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

Who Should Use this Guide

The *Oracle Financial Services Currency Transaction Reporting User Guide* is designed for use by a variety of Oracle Financial Services users. Their roles and responsibilities, as they operate within the CTR application, include the following:

- **Analyst:** This user is typically responsible for updating the status of listed CTRs through UI screens.
- **QA Analyst:** This user is responsible for verifying the details in the CTRs when the status of CTR is changed to Pending QA review. This user role will have access to Batch Approval action of CTRs.
- **Supervisor:** This user is typically responsible for verifying, reviewing and approving the CTRs before they are e-filed with the FinCEN. This user is also responsible for managing the workflow of Exemptions.
- **E-File Analyst:** This user is responsible for e-filing the CTRs with the regulatory authorities once verified by the QA Analyst. This user is responsible for changing the status of CTRs from **Ready for E-File** to **Filed**.
- **Exemption Analyst:** This user is responsible for creating and managing the exemptions through the UI screens.
- **Administrator:** This user is responsible for managing the static data used in the application, creating application users, mapping users to user roles, and configuring the various parameters used in the CTR application.

How this Guide is Organized

The *Oracle Financial Services Currency Transaction Reporting User Guide*, Release 1.2, includes the following sections:

- Chapter 1, *About CTR*, provides an overview of Currency Transaction Reporting application, describes the various user roles and the privileges associated with them, and includes instructions on accessing the CTR application.
- Chapter 2, *Managing Home Page*, describes the users who can access the home page and various options available for each user roles.
- Chapter 3, *Managing Currency Transactions Reports*, describes how to manage the CTR List and how to create a CTR.
- Chapter 4, *Managing E-File*, describes how to manage the E-File List and how to create an E-File.
- Chapter 5, *Managing Exemptions*, describes how to manage Exemptions List and how to create an Exemption.
- Chapter 6, *Generating Reports*, describes how to generate various reports from CTR, Exemption and Transaction Log dashboards respectively.

Where to Find More Information

For additional information about the Oracle Financial Services Currency Transaction Reporting application, refer to the following documents:

- *Oracle Financial Services Currency Transaction Reporting Data Interface Specification, Release 1.2*
- *Oracle Financial Services Currency Transaction Reporting Administration Guide, Release: 1.2*
- *Oracle Financial Services Currency Transaction Reporting Configuration Guide, Release: 1.2*
- *Oracle Financial Services Currency Transaction Reporting Installation Guide - Stage 3*
- *Oracle Financial Services Currency Transaction Reporting Release Notes, Release: 1.2*
- *Oracle Financial Services Analytical Applications Infrastructure User Manual, Release: 7.3*
- *Oracle Financial Services Analytical Applications Infrastructure Installation and Configuration, Release: 7.3*

To find additional information about how Oracle Financial Services Currency Transaction Reporting solves real business problems, see our website at www.oracle.com/financialservices.

Conventions Used in this Guide

Table 2 lists the conventions used in this guide.

Table 2. Conventions Used in this Guide

Convention	Meaning
<i>Italics</i>	<ul style="list-style-type: none">● Names of books, chapters, and sections as references● Emphasis
Bold	<ul style="list-style-type: none">● Object of an action (menu names, field names, options, button names) in a step-by-step procedure● Commands typed at a prompt● User input
Monospace	<ul style="list-style-type: none">● Directories and subdirectories● File names and extensions● Process names● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	<ul style="list-style-type: none">● Substitute input value

About CTR

This chapter gives an overview of Oracle Financial Services Currency Transaction Reporting application.

This chapter covers the following topics:

- Introduction to CTR
- Logging in CTR
- CTR Application Menu

Introduction to CTR

As part of Regulations and Compliances, organizations are required to perform appropriate analysis and report any suspicious activities that may lead to fraud or money laundering within the institution to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

Currency Transaction Reporting is a robust solution developed to meet operational and regulatory requirements of the FinCEN (Financial Crimes Enforcement Network). This product helps in minimizing repetitive data entry and supports parallel processing of CTRs. The CTR application also helps in reducing the process cycle time using STP (Straight Through Processing) and accommodates FinCEN compliance and real time environmental changes. This product automates the workflow, analysis and report production and offers integration capabilities with internal and external systems thereby improving the operational efficiency.

The CTR application supports the e-filing of cash transactions that are greater than \$10,000 or multiple transactions that aggregate to greater than \$10,000. The CTRs are created either at the branches or through the end of day files, where the CTR application aggregates multiple transactions performed at the branch, ATMs and Vaults. In addition, this application also captures and reports Monetary Instrument Purchases.

A CTR can be created in following three ways:

- System Generated CTRs
- Manual Creation of CTRs
- Branch Generated CTR

System Generated CTRs

The CTR application creates CTRs through batch processing of transaction data.

The following variations are possible for system generated CTRs:

- CTRs created on an exempted entity (Audit CTRs).
- Superseded CTRs in which the activity is the same or subset and the aggregation focus is less preferred to another CTR.
- CTRs that pass the initial validation are created with 'Pending QA Review' status (STP) and CTRs that do not pass initial validation are created with 'New' status.

Manual Creation of CTRs

You can manually create a CTR using the **Create New Report** submenu option from CTR menu in the CTR application. For detailed information on creating a CTR, refer to "Creating a CTR ," on page 41, for more information.

Branch Generated CTR

When a CTR application is integrated with the Retail Branches, a CTR is generated in the following manner:

1. The branch system identifies an eligible transaction during the teller session and communicates it to the CTR application to determine its exemption status. The CTR application returns an appropriate notification to Teller instructing whether a transaction is an exempt transaction or a CTR needs to be created.
2. Subsequently if a CTR is required, the teller enters the CTR data.
3. The CTR application will then validate the required fields, and pre-populate the customer/beneficiary information from CTR history files or from Customer Information Systems.

Thus, a branch CTR is generated.

Note: The CTR application will have standard work queues, user defined workflow and reporting functionality to manage exceptions, continuous quality reviews, and audits.

Logging in CTR

The Currency Transaction Reporting link is enabled for users who have access to the Oracle Financial Services CTR.

You can access the CTR application through the Web Browser once the software is installed and configured. The CTR login page will open in a pop-up window. This allows you to log into the CTR application (Figure 1).

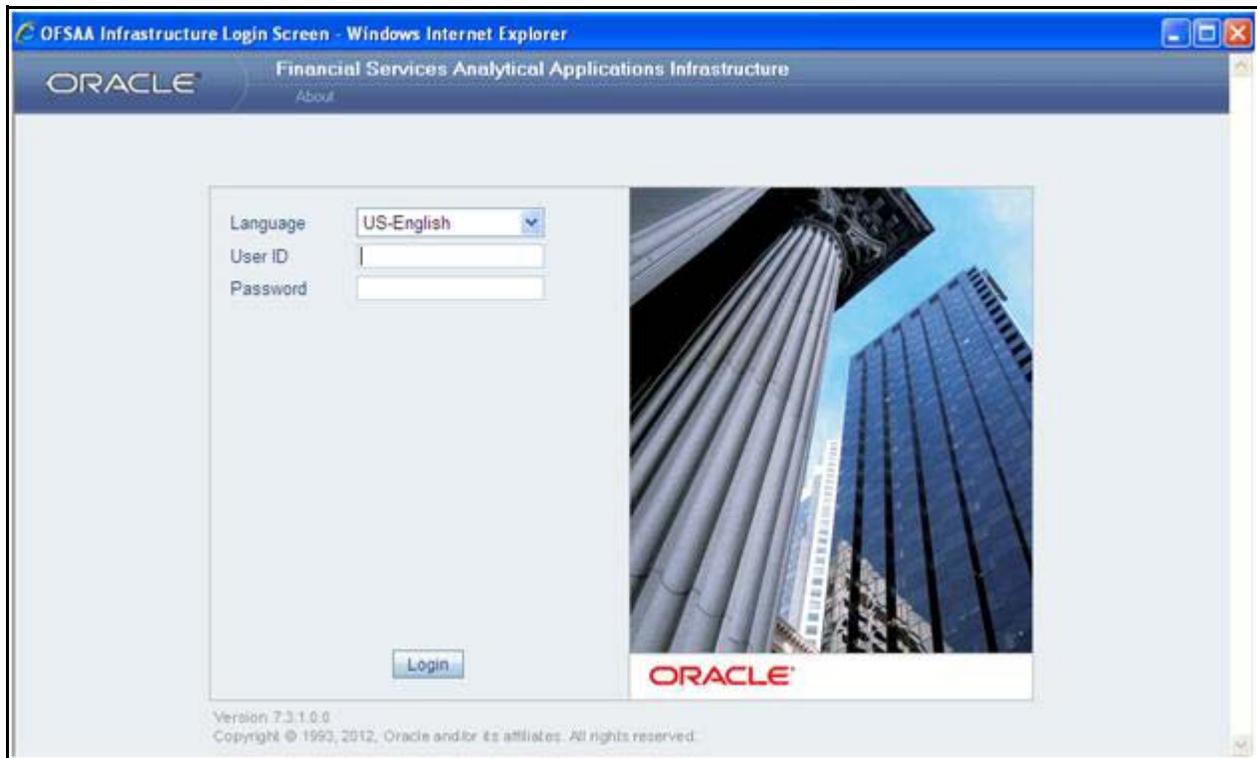


Figure 1. CTR Application Login

To log into the CTR application, follow these steps:

1. Select the **Language** for the application.
2. Enter your **User ID**.
3. Enter your **Password**.
4. Click **Login**. The following window is displayed.

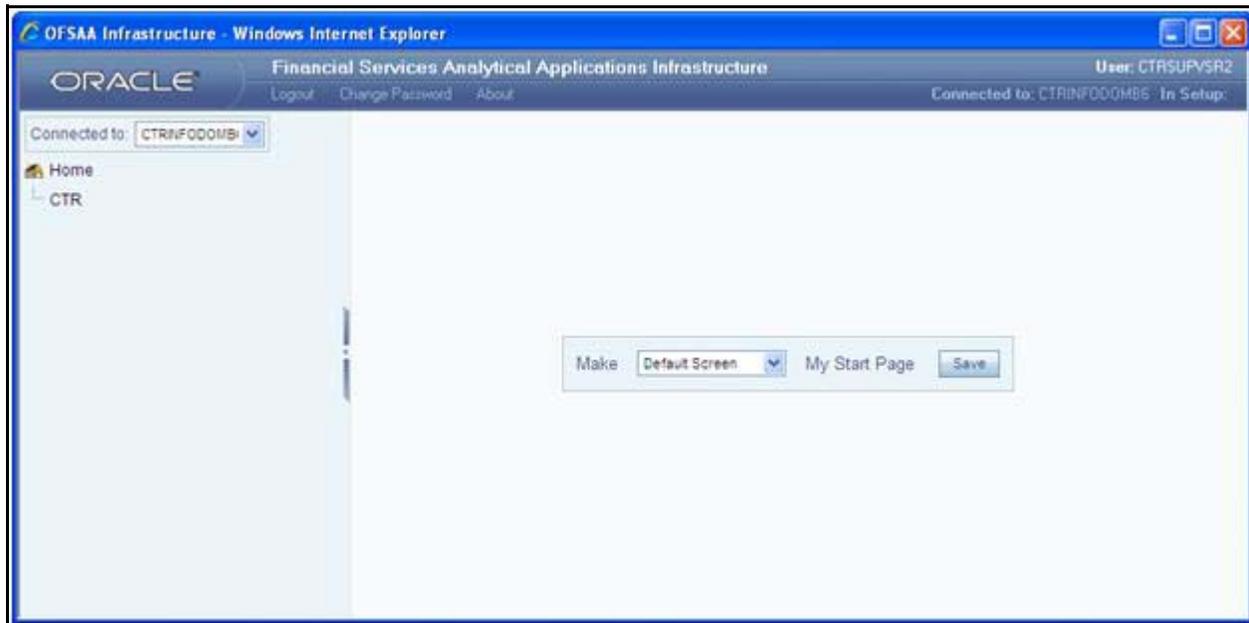


Figure 2. Landing Page for all the Roles (except the CTR System Administrator)

Note: The System Administrator can see all links on the application menu, whereas other users can see only the CTR link. Users will see the links as per their roles and privileges.

Figure 2 and Figure 3 shows the default screen for various users.

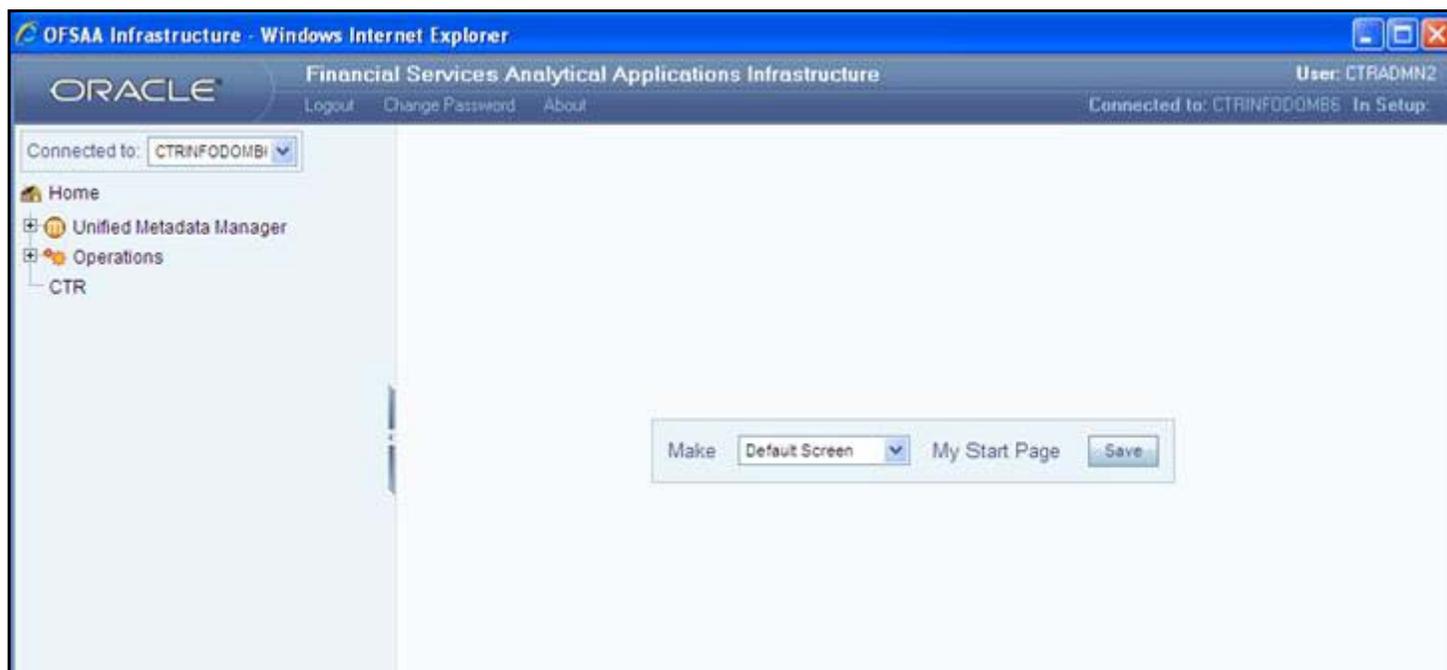


Figure 3. Landing Page for CTR System Administrator Role

CTR Home Page

After login into the application the CTR Home Page is displayed.

The CTR application page has Home, CTRs, E-File, Exemptions, and Reports menus.

CTR Productivity by Status

Status	Count
Pending QA Review	1
Open	1
New	180
In QA Review	1
Filed	1

No Results

The specified criteria didn't result in any data. This is often caused by applying filters and/or selections that are too restrictive or that contain incorrect values. Please check your Analysis Filters and try again. The filters currently being applied are shown below.

Status Desc is equal to /is in **Recertify**

[Refresh](#)

Priority List

CTR ID	CTR Title	CTR Focal Entity	Type Of Filing	Transaction Date	Source	Status	Created Date	Due Date	Owner	Cash-In Amount	Cash-Out Amount
7	CTR-11232014-7	TYSON	Initial report	12/10/2009	Alert	Ready for e-File	11/23/2014	12/08/2014	CTRSUPERVISOR	20000	--
8	CTR-11232014-8	DEVBURMAN	Initial report	12/10/2009	Alert	Ready for e-File	11/23/2014	12/08/2014	CTRSUPERVISOR	10001	--
9	CTR-11232014-9	ZHANG NAN	Initial report	12/10/2009	Alert	New	11/23/2014	12/08/2014	--	11200	--
10	CTR-11232014-10	JOHNSON	Initial report	12/10/2009	Alert	New	11/23/2014	12/08/2014	--	--	10536
11	CTR-11232014-11	KOO	Initial report	12/10/2009	Alert	New	11/23/2014	12/08/2014	--	10001	13503
12	CTR-11232014-12	DJOKOVIC	Initial report	12/10/2009	Alert	New	11/23/2014	12/08/2014	--	--	10500

Figure 4. CTR Application Page

CTR Application Menu

This section explains various menus that can be accessed through the CTR application User Interface. Each menu in the CTR application home page facilitates a set of possible actions, which are visible based on privileges assigned to user role and the status of a particular CTR. The CTR application menu includes links for Home, CTRs, E-File, Exemptions, and Reports..

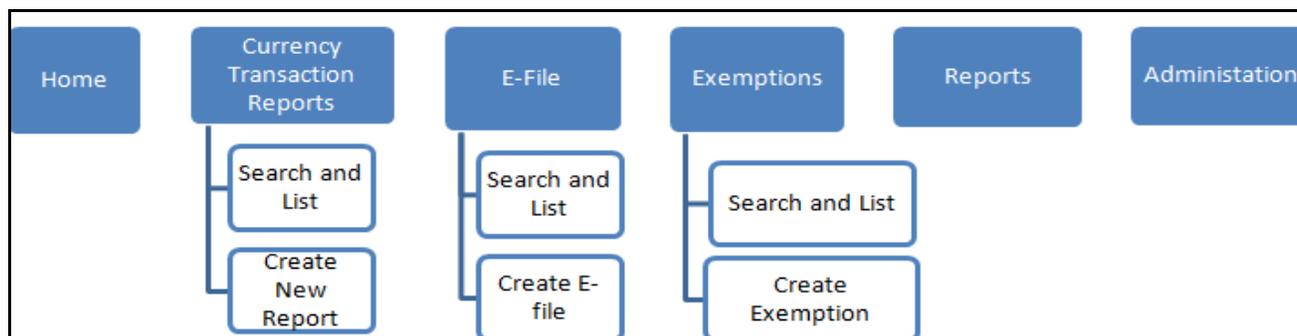


Figure 5. CTR Applications Menus

The following table shows the menu options accessible to users with different roles:

Table 3. CTR Application Menu-User Role Mapping Table

Menu	Roles					
	CTR Viewer	Analyst	Supervisor	QA Analyst	E-File Analyst	Exemption Analyst
Home		✓	✓	✓		
Currency Transaction Reports	✓	✓	✓	✓		
E-File			✓		✓	
Exemptions			✓			✓
Reports	✓	✓	✓	✓	✓	✓

Home Menu

The Home menu is accessible to users with the roles of Analyst, QA Analyst, and Supervisor. For detailed information, refer to *Chapter 2 - Managing Home Page* for more information.

Currency Transaction Reports Menu

The Currency Transaction Reports Menu is accessible to users with the roles of CTR Viewer, Analyst, QA Analyst and Supervisor.. The Currency Transaction Reports menu has two sub-menu options namely, Search and List, and Create New Report. Refer to *Chapter 3 - Managing Currency Transactions Reports*, for more information.

E-File Menu

The E-File menu is accessible to users with roles of E-File Analyst and Supervisor. The E-File menu has two sub-menu options namely, Search and List, and Create E-File. Refer to *Chapter 4 - Managing E-File*, for more information.

Exemptions Menu

The Exemption menu is accessible to users with roles of Exemption Analyst and Supervisor. A user with a Supervisory role in the CTR menu will have similar Supervisory role in exemptions menu as well. The Exemptions menu has two sub-menu options namely, Search and List, and Create Exemption. Refer to *Chapter 5 - Managing Exemptions*, for more information.

Reports Menu

The Reports menu is accessible to users with roles of CTR Viewer, Analyst, QA Analyst, Supervisor, E-File Analyst, and Exemption Analyst. For detailed information on Reports menu, refer to *Chapter 6 - Generating Reports*

This chapter describes the components of Home page and the various actions that can be performed by each user.

This chapter includes the following topics:

- Accessing Home Page

Accessing Home Page

On successful login into the CTR application, a default home page is displayed. The home page can be viewed only by users who have appropriate roles. The home page displayed for a Supervisor role has three sections namely, notifications, priority list, and reports.

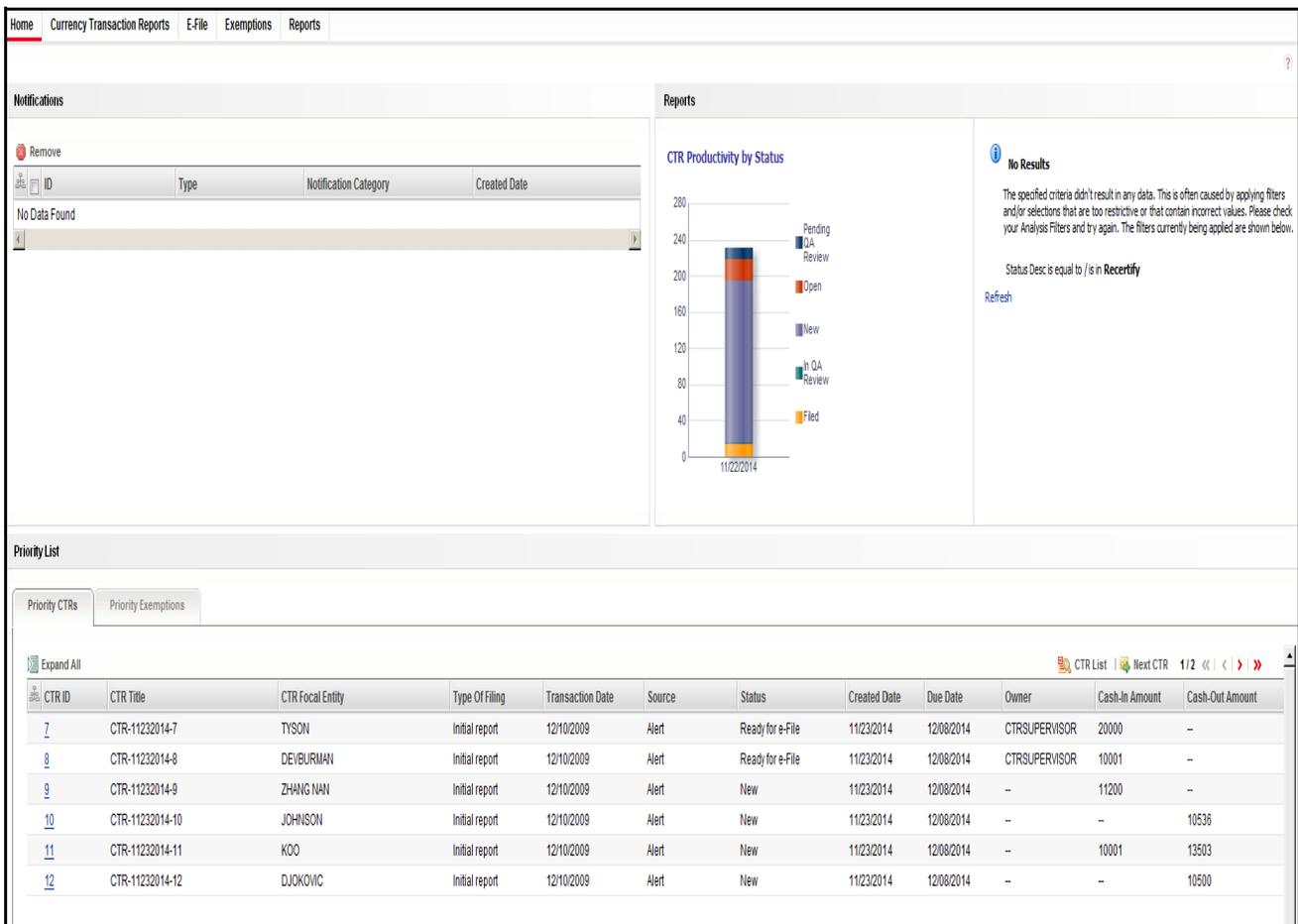


Figure 6. CTR Home Page

Viewing Notification

Users with access to CTRs will be able to view the notifications on CTRs, and users with access to Exemptions will get notifications on exemptions. Users who have access to both CTRs and exemptions will be able to view the notifications on both exemptions and CTRs.

The CTR notifications will be displayed for a user only if the user has access to the underlying CTR business domain and jurisdiction.

The E-File notifications will be displayed for CTR Supervisors only. An E-File analyst user will not have access to the Home page and will receive notifications via email.

The exemption notifications will be displayed for a user only if the user has access to the underlying exemptions business domain and jurisdiction.

Double click any notification from the notification list to open the Notifications Detail window.

Removing Notification

To remove a notification from the notification list, select a notification and click **Remove**.

Note: The action taken notification will not be generated for the action taking user.

Viewing Reports

Reports section in the home page will display graph/s based on the user role and access. A user with a CTR role can view the **CTR Trends** graphs and a user with an Exemption role can view the **Revoked Exemptions Ct.** graphs. Refer to *Table 20 "CTR Reports-User Roles Mapping Table," on page 102*, for more information.

Similarly, a user with a CTR Supervisor role upon login will be able to view the graphs of CTR Productivity by Status and Recertify Productivity Report in the Reports section of the home page.

Viewing Priority List

A user with access to both CTRs and Exemptions will be able to view two tabs namely Priority CTRs and Priority Exemptions.

Priority CTRs

A user with a CTR role can only view the CTR menu and Priority Currency Transaction Reports in the Priority List section. The CTRs listed in the Priority List will vary for each user with different access roles.

This tab helps you in taking appropriate action on CTRs that are approaching their due dates. The Priority Currency Transaction Reports will display up to 10 non-closed CTRs based on Due Date and CTR IDs. The CTRs are first arranged in chronological order of due dates and then in the ascending order of CTR IDs. The due dates of overdue CTRs are highlighted in red background and due dates of Near Due CTRs are highlighted in red.

Click **CTR List** button from Priority Currency Transaction Reports to navigate to CTR List page. From CTR List page, you can use the views drop-down options to view the list of CTRs in different statuses and take appropriate action.

Click **Next CTR** button from Priority Currency Transaction Reports to navigate to CTR Context page and subsequently assigning the new CTRs to the current user.

Note: For a user with CTR role, the **Priority CTRs** tab will be selected by default.

Priority Exemptions

A user with an Exemption role can only access Exemption menu and Priority Exemption in the Priority List section from home page.

Click **Exemption List** button from Priority Exemption tab to navigate to Exemption List page. From Exemption List page, you can use the views drop-down options to view the list of exemptions in different statuses and take appropriate action.

The Priority Exemption tab will display up to 10 non-closed exemptions based on its expiry date. The exemption listed in this tab will exclude exemptions which are Revoked, Rejected and Closed. The Expire Dates are arranged in chronological order first and then the Exemption IDs are arranged in the ascending order.

Note: For a user with an Exemption role, the Priority Exemption tab will be selected by default.

Managing Currency Transactions Reports

This chapter describes the workflow of a CTR, managing Search and List page, and managing CTR Context page. This chapter focuses on the following topics:

- Currency Transaction Report Workflow
- Managing CTR List
- Managing CTR Details
- Creating a CTR

Currency Transaction Report Workflow

The life cycle of the currency transaction report is illustrated in the following workflow diagram (Currency Transaction Reporting Workflow). The CTR can be in any of the following statuses at any point.

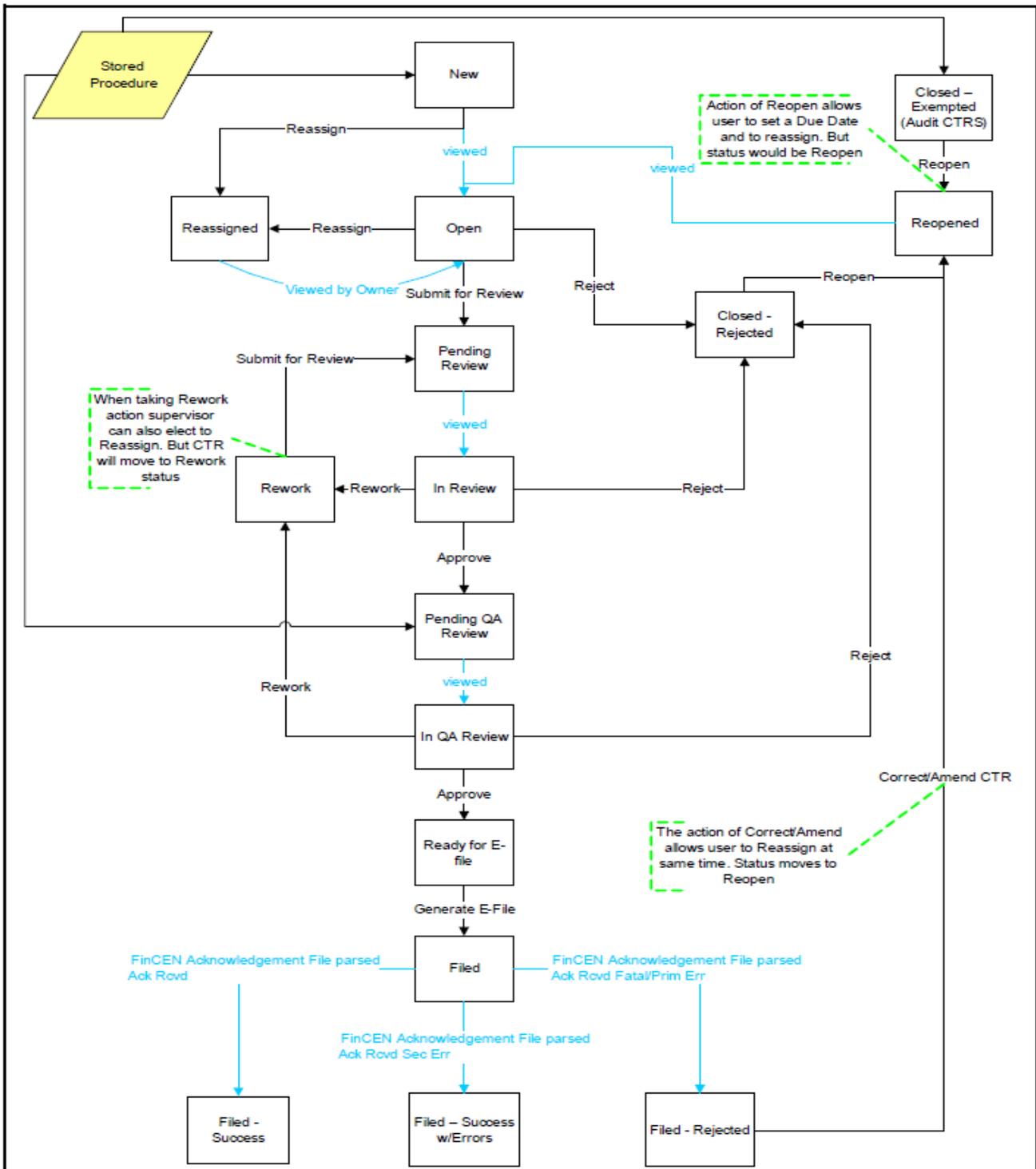


Figure 7. Currency Transaction Reporting Workflow

User Role-Status Mapping

The User Role-Status mapping available in CTR application is defined in the following table. The following table determines in which statuses CTRs will be viewable to different user roles:.

Table 4. User Role-Status Mapping

Status	Roles			
	CTR Viewer	Analyst	Supervisor	QA Analyst
New	✓	✓	✓	
Open	✓	✓	✓	
Reassigned	✓	✓	✓	
Pending Review	✓	✓	✓	
In Review	✓	✓	✓	
Pending QA Review	✓	✓	✓	✓
In QA Review	✓	✓	✓	✓
Rework	✓	✓	✓	
Reopened	✓	✓	✓	
Closed-Rejected	✓	✓	✓	
Closed-Exempted	✓		✓	
Ready for E-File	✓		✓	
Filed	✓		✓	
Filed-Success	✓		✓	
Filed-Success w/errors	✓		✓	
Filed-Rejected	✓		✓	
Filed-Rejection Corrected	✓		✓	
E-File Rejected			✓	

Managing CTR List

This section discusses the following topics:

- Accessing CTR List
- Components of CTR ListPage
- Searching and Viewing CTR List

Accessing CTR List

The CTR List page is available for only those users who have the appropriate roles.

To access CTR List, follow these steps:

1. Click **CTR List** from Priority Currency Transaction Reports in Home page.

(Or)

Mouse over Currency Transaction Reports tab in the application and click **Search and List** submenu. The CTR List page displays.

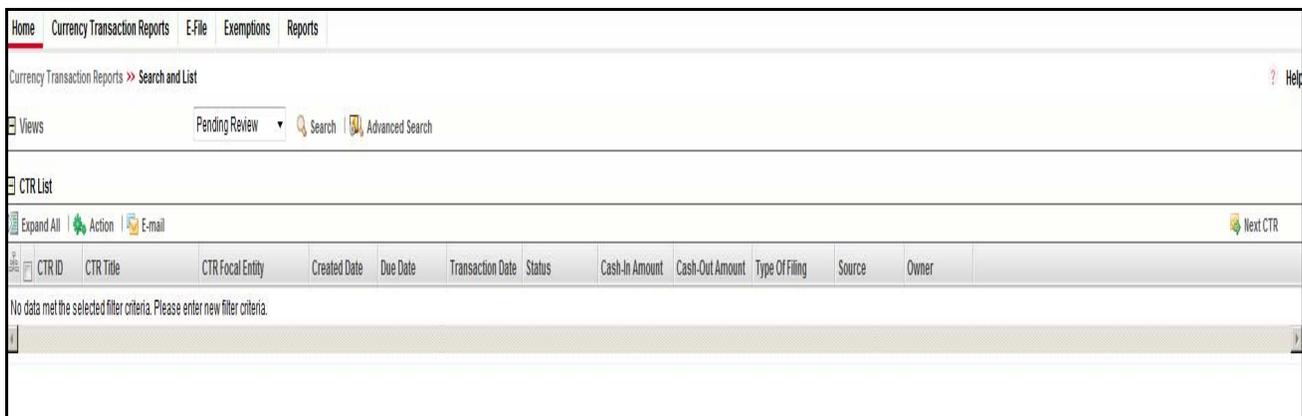


Figure 8. CTR List Page for Supervisor User

The screenshot displays the 'Currency Transaction Reports >> Search and List' page. At the top, there are navigation tabs: Home, Currency Transaction Reports, E-File, Exemptions, and Reports. Below the tabs, the page title is 'Currency Transaction Reports >> Search and List'. A search bar contains 'Search', 'Views', 'Advanced Search', 'Clear', and 'Go' buttons. The search criteria section includes several input fields: 'Created Date >=' (11/23/2014), 'Created Date <=' (11/24/2014), 'Due Date <=' (empty), 'Person Involved TIN:' (empty), 'Person Involved Name:' (empty), 'Person Involved Account:' (empty), 'CTR Focal Entity Type:' (dropdown), 'CTR Focal Entity:' (empty), 'Status:' (Pending QA Review), and 'Owner:' (dropdown). There is also a 'Search By CTR ID:' field with a note: 'Note: Search by CTR ID will ignore all other search criteria.' Below the search criteria, there is an 'Expand All' button and an 'Action' button. The main table has the following columns: CTR ID, CTR Title, CTR Focal Entity, Created Date, Due Date, Transaction Date, Status, Cash-In Amount, Cash-Out Amount, Type Of Filing, Source, and Owner. The table contains 11 rows of data, all with a status of 'Pending QA Review'.

CTR ID	CTR Title	CTR Focal Entity	Created Date	Due Date	Transaction Date	Status	Cash-In Amount	Cash-Out Amount	Type Of Filing	Source	Owner
260	CTR-11232014-260	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	10100	10500	Initial report	Branch	--
261	CTR-11232014-261	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	16000	10500	Initial report	Branch	--
262	CTR-11232014-262	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	11000	--	Initial report	Branch	--
263	CTR-11232014-263	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	10200	--	Initial report	Branch	--
264	CTR-11232014-264	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	12000	--	Initial report	Branch	--
265	CTR-11232014-265	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	--	11000	Initial report	Branch	--
266	CTR-11232014-266	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	--	10500	Initial report	Branch	--
267	CTR-11232014-267	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	--	11900	Initial report	Branch	--
268	CTR-11232014-268	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	--	12000	Initial report	Branch	--
269	CTR-11232014-269	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	11002	--	Initial report	Branch	--
270	CTR-11232014-270	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	10003	--	Initial report	Branch	--
271	CTR-11232014-271	--	11/23/2014	12/08/2014	12/10/2009	Pending QA Review	10003	--	Initial report	Branch	--

Figure 9. CTR List Page for QA Analyst User

Components of CTR List Page

The CTR List page is composed of the following components:

- CTR List Header
- Check boxes
- Action Buttons
- Column Headings

CTR List Header

The header contains the title as CTR List.

Check boxes

Check boxes are provided at the beginning of each row in the CTR List matrix. Select these boxes to take action on CTR List records and deselect the check box to clear it. You can select a record from Search and List page and take actions.

Action Buttons

The system provides the following action buttons that appear above the list of CTR List:

- **Expand All:** This option allows you to expand the complete details for the items where text cannot be accumulated in the column length. This can be vice

versa if you click **Collapse All**, and this takes you to the original view of CTR List.

- **Action:** This option allows you to take an action for the selected CTRs.
- **Email:** This option allows you to send an email.
- **Batch Approval:** This option allows you batch approve CTRs from Pending QA Review/In QA Review to Ready for E-File status. Only a user with QA Analyst role has access to this option.
- **Next CTR:** This option assigns a new CTR to the current user.

Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the CTR List matrix are sortable.

Right click on the column heading to sort the display. A list of sorting menu displays. For example, Ascending, Descending, Clear Sort, Field Chooser, and Transpose. Select the relevant sorting option. The Currency Transaction Reporting application refreshes the list and re-sorts the CTR List records based on the selected criteria.

The CTR List will have the following column heading:

- CTR ID
- CTR Title
- CTR Focal Entity
- Type of Filing
- Trans Date
- Source
- Status
- Created date
- Due Date
- Owner
- Cash-in amount
- Cash-out amount

Searching and Viewing CTR List

The CTR List page displays the summary information of the CTRs viewable for the current user.

To search CTR List, mouse hover Currency Transaction Reports tab in application and click **Search and List**. The CTR List page is displayed.

This section details about the following topics:

- Searching CTR List Using Search components
- Searching CTR List Using Pre-defined Views
- CTR Search and Views User Roles Table

Searching CTR List Using Search components

This page allows you to filter the CTR List using the search components

To search CTR List using search components, follow these steps:

1. Mouse hover Currency Transaction Reports tab in application and click **Search and List**. The CTR List page displays.
2. Click **Search/Advanced Search**. The search components page displays.

The screenshot shows the 'Currency Transaction Reports >> Search and List' page. It features a navigation bar with 'Home', 'Currency Transaction Reports', 'E-File', 'Exemptions', and 'Reports'. Below the navigation bar, there are search options: 'Search', 'Views', 'Advanced Search', 'Clear', and 'Go'. The search filters are organized into two columns:

- Left Column:
 - Created Date >=: 11/23/2014
 - Person Involved TIN: [Text Input]
 - CTR Focal Entity Type: [Dropdown]
 - Status: [Dropdown]
 - Search By CTR ID: [Text Input]
- Right Column:
 - Created Date <=: 11/24/2014
 - Person Involved Name: [Text Input]
 - CTR Focal Entity: [Text Input]
 - Owner: [Dropdown]

A note below the filters states: 'Note : Search by CTR ID will ignore all other search criteria.' Below the filters is a 'CTR List' section with 'Expand All', 'Action', and 'E-mail' options. A table header is visible with columns: CTR ID, CTR Title, CTR Focal Entity, Created Date, Due Date, Transaction Date, Status, Cash-In Amount, Cash-Out Amount, Type Of Filing, and Source. Below the table, a message reads: 'No data met the selected filter criteria. Please enter new filter criteria.'

Figure 10. CTR Search View

Figure 11. CTR Advanced Search View

3. Enter the search components and click **Go**. The relevant search results is displayed.

Searching CTR List Using Pre-defined Views

This page allows you to filter the CTR List using the pre-defined views.

To search CTR List using pre-defined views, follow these steps:

1. Mouse hover Currency Transaction Reports tab in application and click **Search and List**. The CTR List page displays.
2. Select any pre-defined views from Views drop-down list (for example, My Open CTRs record, All Open CTRs and so on). The relevant search list page displays.

Note: The default View option selected for a Supervisor role, QA Analyst role and an Analyst role are **Pending Review**, **Pending QA Review**, and **My Open CTRs** respectively. When a user accesses the CTR List page, the CTRs are listed based on a default search criteria. The listed CTRs are sorted by their Due Dates and CTR IDs. The CTRs are arranged first in chronological order of the due dates and then in descending order of the CTR IDs.

If there are more than 20 CTRs for a search criterion, the CTR application automatically displays pagination option.

The Due Date values in the CTR List page will display different color for Near Due and Overdue column values.

The Cash-in and Cash-out amounts in the CTR List page will be same as those in the Transactions summary records in CTR Details page.

CTR Search and Views User Roles Table The following table shows the various views accessible to users with different roles:

Table 5. CTR List Views User-Role Mapping

Views	Analyst	Supervisor	QA Analyst
My Open CTRs	✓ Note: This view is the default view for this user.	✓	
All Open CTRs		✓	
My Overdue CTRs	✓	✓	
My Near Due CTRs	✓	✓	
All Overdue CTRs		✓	
Pending Review	✓	✓ Note: This view is the default view for this user.	
MY Rework CTRs	✓		
Pending QA Review		✓	✓ Note: This view is the default view for this user.
Ready for E-File		✓	
Filed – Rejected		✓	
Filed		✓	
All Audit CTRs		✓	

Managing CTR Details

This section focuses on the following topics:

- Viewing CTR Context
- Performing an action on a CTR
- Sending an Email
- Approving Batch CTRs
- Adding a Value to User Field in Transaction Summary Tab
- Adding a Transaction
- Removing a Transaction
- Editing Persons Involved Details
- Adding Comments to Persons Involved Record
- Adding Attachments to Persons Involved Record
- Removing Attachments from Persons Involved Record
- Viewing Attachments of Persons Involved Record
- Changing Transaction FI
- Changing Parent FI
- Adding Comments to a CTR
- Adding Attachments to a CTR
- Removing Attachments from a CTR
- Viewing Attachments of a CTR

Viewing CTR Context

CTR Context displays detailed information about a CTR. In the CTR application, you can view a CTR Context in the following ways:

- In the CTR application home page under the Priority Currency Transaction Reports, click the required CTR ID to view the CTR Context.
- You can also view a CTR Context from the CTR IDs displayed in the CTR List page.
- You can also view a CTR Context by clicking the **Next CTR** button from CTR application Home page.

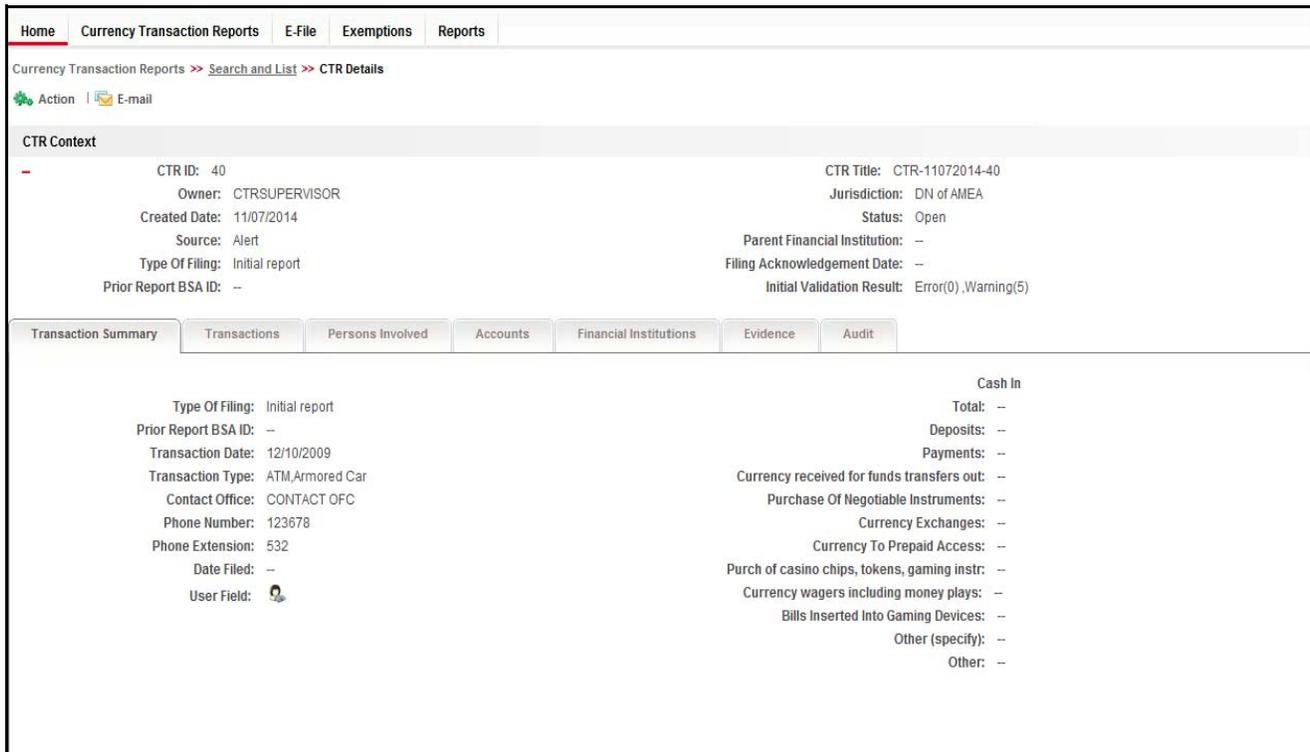


Figure 12. CTR Context Page

The following are the components of CTR Details page

- CTR Context
- CTR Details Tabs

CTR Context

CTR Context displays the detailed information about a CTR. By default, CTR ID, Due Date, CTR Focal Entity, and Status details are displayed. Click  to expand the CTR Context to display the following details:

- CTR Title
- Owner
- Jurisdiction
- Bus Domain
- Created date
- Trans Date
- Source
- Parent Fin Inst
- Type of Filing
- Filing Ack Dt

- BSA ID
- Prior Report BSA ID
- Initial Validation Result

CTR Details Tabs

The CTR Details page displays the following CTR Context tabs:

- **Transaction Summary:** The Transaction Summary tab displays summary information for all the transactions associated with a CTR. The fields appearing on Transaction Summary tab are from Form 3A of the efile. This tab provides the user a consolidated view of the values that the generated efile will have for that CTR.
- **Transactions:** The Transactions tab provides information on the transactions associated with the CTR, and allows the users to take certain actions based on their user roles. CTR Transactions tab displays the details of all the individual transactions, and allow the user to add or remove the transactions from the CTR. If the user adds or removes transactions on Transaction tab, the values on Transaction Summary tab will be updated accordingly. However, the Transaction Date will not be affected by adding or removing transactions. Adding or removing transactions will also affect Persons Involved, Accounts and Financial Institution information of a CTR.
- **Persons Involved:** The Persons Involved tab displays information on the individuals or entities associated with a CTR. You can also add or view attachments and comments for the persons involved in a CTR. There is only one record for a person on a CTR, even if the person is involved in multiple transactions on the CTR, with same or different involvement types. The information appearing on this tab is part of Form 4A of the E-File.

Note: You can add a User Filed value to a Persons Involved record by clicking the  button.

- **Accounts:** The Accounts tab displays the details of all the accounts associated with the transactions of the CTR. You cannot add, edit or remove any information on the Accounts tab. An account appears on the grid only once even if it is associated with more than one transaction of the CTR. If you add or remove a transaction on the Transaction tab, the accounts on the Accounts tab also get updated accordingly.
- **Financial Institutions:** The Financial Institutions tab displays the information on financial institutions information associated with the CTR. You can change the Transaction FI information and the Parent FI information present in the CTR using the **Change Transaction FI** option in the Transaction FI page and **Change Parent FI** option in Parent FI page respectively. The information appearing on this tab will be part of Form 2A and 2B of the E-File.

Note: You can add a User Field value to a Transaction FI record and Parent FI records by clicking the  button.

- **Evidence:** The Evidence tab displays the comments and documents associated with the CTR. It allows a user to add comments and add or remove documents. The records are displayed in reverse chronological order.
- **Audit:** The Audit tab displays the history of actions taken on the CTR along with the comments and attachments provided for each action. Any errors found in the initial validation and those returned by FinCEN in the acknowledgement file are also be displayed in the Audit tab.

Performing an action on a CTR

In CTR application, you can perform an action on a CTR based on user roles and the status of a CTR.

Note: If no action is available for the selected CTRs then the following Information window is displayed.

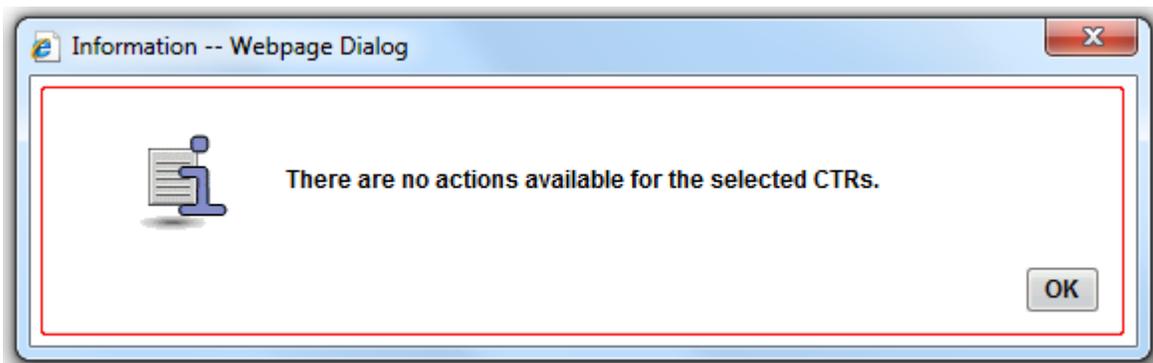


Figure 13. Information Window

To perform an action on a CTR, follow these steps:

1. Select one or more CTRs from the CTR List page and then click **Action** to take action on one or more CTRs.
(Or)
Click on the CTR ID from the CTR List page to view its details, and click **Action** from CTR Details page.

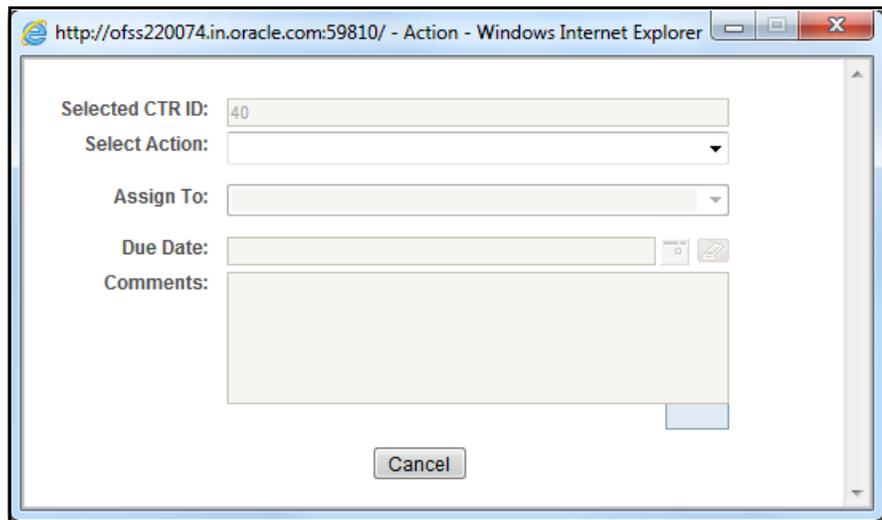


Figure 14. Actions Window

2. Enter the required fields as explained in the following table:

Table 6. Action Window Field Descriptions

Field	Description
Selected CTR ID	This field displays the IDs that were selected from CTR List results. Note: This field is not editable.
Select Action	The action button allows you take following actions on CTRs depending upon the user role and the current status: <ul style="list-style-type: none"> ● Reassign ● Submit for review ● Rework ● Approve[Supervisor] ● Approve[QA] ● Reject ● Reopen ● Correct/Amend CTR Note: If a user selects multiple CTRs from the list matrix, the available actions will be intersection of the actions allowed to individual CTRs based on the user role of the current user and the current statuses of the selected CTRs.

Table 6. Action Window Field Descriptions

Field	Description
Assign To	<p>This option is a single selectable field displaying the users to whom the CTR can be assigned to. This field is enabled only when a user selects any of the following actions in the Select Action field:</p> <ul style="list-style-type: none"> ● Reassign ● Submit for review ● Reopen ● Rework ● Correct/amend CTR <p>The drop-down list displays only those users who have at least one domain and at least one jurisdiction common with the CTR and have access to the resulting status of the CTR based on their user role</p> <p>If the user selects an assignee while taking an action other than Reassign, two actions are recorded. On Audit tab, reassigned will be recorded as the second action.</p>
Due Date	<p>Enter the due date for the selected CTRs.</p> <p>This field is enabled only if a user selects Reopen option in Select Action field.</p> <p>On saving the action, the user selected value in this field will be updated as the due date of the CTR.</p>
Comments	<p>Enter comments in the field. This field is a mandatory if a user selects any of the following actions:</p> <ul style="list-style-type: none"> ● Reopen ● Closed-Rejected ● Closed-Exempted ● Rework ● Correct/Amend CTR

3. Click **Save**.
The requested action is performed on the selected CTRs.
4. If you click **Save and Attach**, a confirmation window appears. Click OK.
An Actions window is displayed.
5. Enter a **Logical Name** and attach the required file using the **Browse** button.
6. Click **Attach File**. The file is attached.
The actions window gets refreshed and returns to default state.
7. Click **Cancel** to return to the CTR Details page.

Sending an Email

To send an E-mail, follow these steps:

1. Select one or more CTRs from the CTR List page and click **E-mail** to send an E-mail.
(Or)
Click on a CTR ID from the CTR List page to view its details, and click **E-mail** from CTR Details page.

Figure 15. E-Mail Window

2. Enter the required fields as explained in the following table:

Table 7. E-Mail Window Field Descriptions

Field	Description
Selected CTRs	This field pre-populates the CTR IDs that were selected for sending e-mail. This field is a non-editable list of comma-separated CTR IDs.
To	Enter semi-colon separated E-mail IDs of multiple recipients.
Subject	Editable list of comma-separated CTR IDs. The maximum length 150 characters.
Message	Enter the message for the email recipients
Comments	Enter comments in this field.

3. Click **Save**

An e-mail is sent to the specified recipients with the entered details.

Approving Batch CTRs

A user with a QA Analyst role only can approve batch CTRs and move them from Pending for QA Review statuses, and In QA Review statuses to Ready for E-File status.

To approve batch CTRs, follow these steps:

1. Login to the CTR application as a QA Analyst user.
2. In CTR application home page, click **CTR List** button from Priority Currency Transaction Reports.

(Or)

In the CTR application, mouse over CTRs menu and click **Search and List** submenu.

Note: For a QA Analyst user, by default the Pending QA Review view option is selected and displayed.

The screenshot shows the 'CTR List' page in the application. At the top, there are navigation tabs for 'Home', 'Currency Transaction Reports', and 'Reports'. Below the tabs, the breadcrumb path is 'Currency Transaction Reports >> Search and List'. A dropdown menu is set to 'Pending QA Review'. There are search and advanced search options. The main content area is titled 'CTR List' and includes action icons for 'Expand All', 'Action', 'E-mail', and 'Batch Approval'. A table displays a list of CTRs with columns for CTR ID, CTR Title, CTR Focal Entity, Created Date, Due Date, Transaction Date, Status, Cash-In Amount, Cash-Out Amount, Type Of Filing, Source, and Owner. The 'Due Date' column for all entries is highlighted in red, indicating they are due for review. The status for all entries is 'Pending QA Review'.

CTR ID	CTR Title	CTR Focal Entity	Created Date	Due Date	Transaction Date	Status	Cash-In Amount	Cash-Out Amount	Type Of Filing	Source	Owner
389	CTR-11072014-389	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	--	20000	Initial report	Branch	--
390	CTR-11072014-390	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	10504	--	Initial report	Branch	--
391	CTR-11072014-391	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	10001	10502	Initial report	Branch	--
392	CTR-11072014-392	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	--	10601	Initial report	Branch	--
393	CTR-11072014-393	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	10001	--	Initial report	Branch	--
394	CTR-11072014-394	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	--	10501	Initial report	Branch	--
395	CTR-11072014-395	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	--	13510	Initial report	Branch	--
396	CTR-11072014-396	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	11001	--	Initial report	Branch	--
397	CTR-11072014-397	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	--	11000	Initial report	Branch	--
398	CTR-11072014-398	--	11/07/2014	11/22/2014	12/10/2009	Pending QA Review	--	12001	Initial report	Branch	--

Figure 16. Batch Approve CTRs

3. Click **Batch Approval** to batch-approve all CTRs in Pending QA Review/In QA Review to Ready for E-File status.
A confirmation message window is displayed.

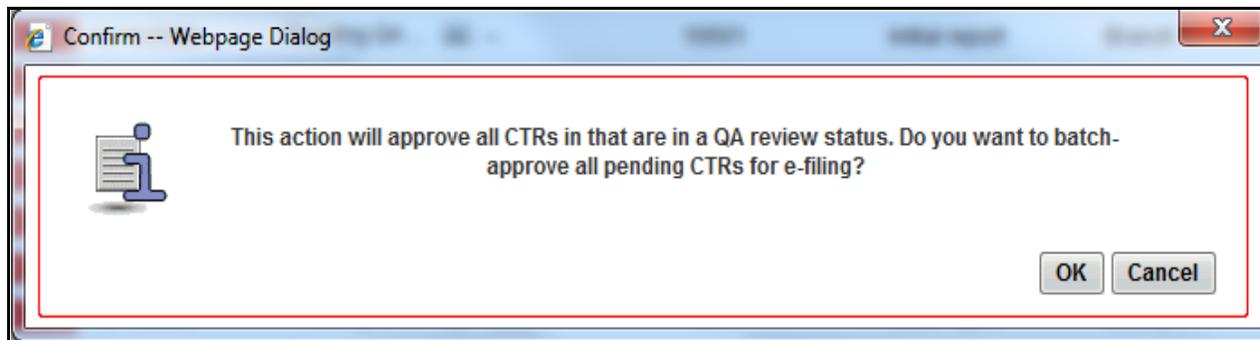


Figure 17. Batch Approval Confirm Window

4. Click **OK**.

Note: You can also select individual CTR IDs and use Action button for changing the status from Pending QA Review/In QA Review to Ready for E-File.

Adding a Value to User Field in Transaction Summary Tab

To add a value to the User Field in transaction summary tab, follow these steps:

1. When a user navigates to CTR Details page of a CTR ID, the Transaction Summary tab is selected by default and displayed.

2. Click  button against the User Field in the Transaction Summary tab.

A User Field window is displayed.

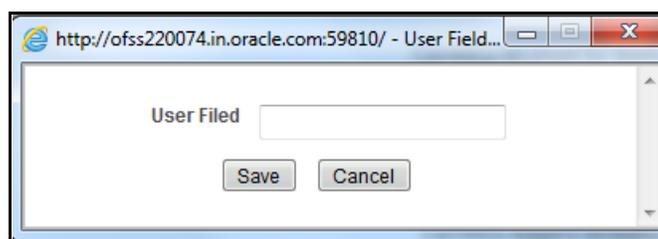


Figure 18. User Field Window

3. Enter any value in the User Field text box of maximum 10 characters.
4. Click **Save**.

The User Field in the Transaction Summary displays the added value.

Adding a Transaction

To add a transaction to a CTR, follow these steps:

1. In the CTR Details page, click **Transaction** tab to display the transactions of a CTR.
2. Click **Add** to search and add a new transaction to the CTR.

The Add Transaction window is displayed.

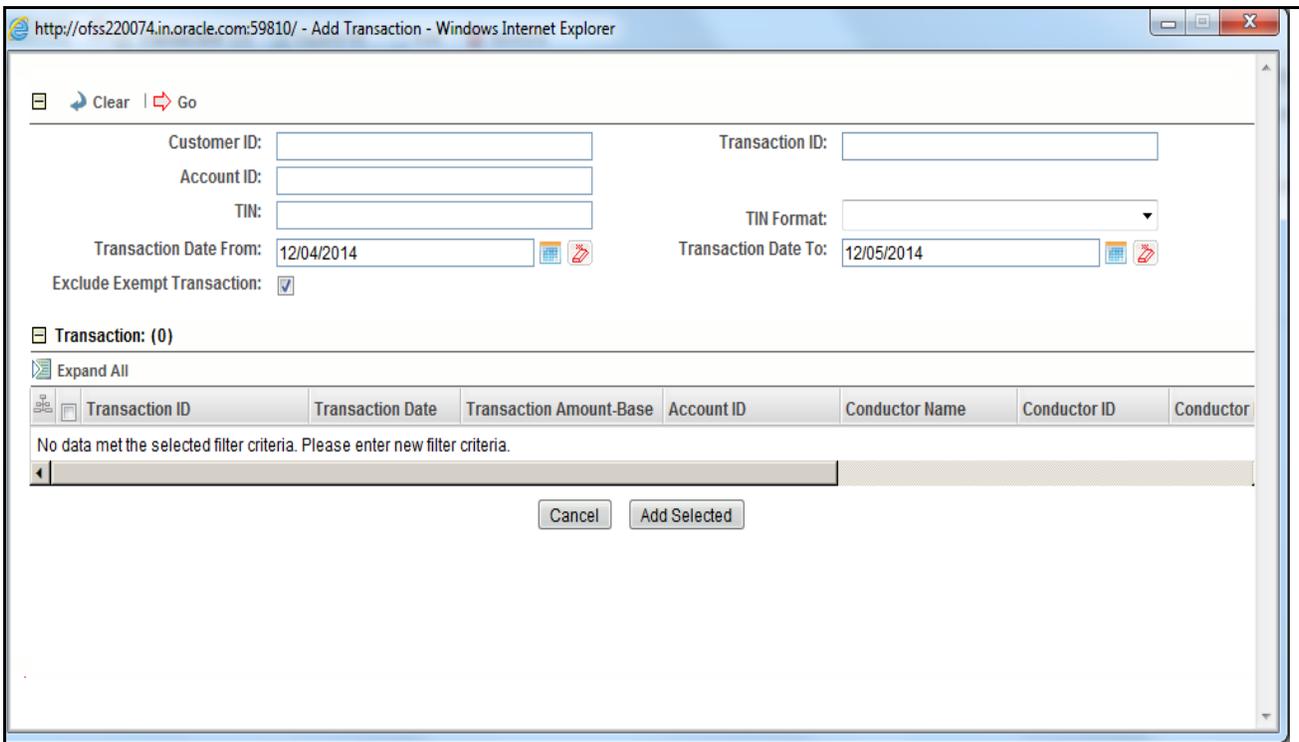


Figure 19. Add Transaction Window

3. Enter the required fields as explained in the following table:

Table 8. Add Transaction Field Description

Field	Description
Customer ID	Enter the Customer ID to search for accounts associated with the entered customer (in owning role) and its related transactions.
Transaction ID	Enter the Transaction ID in this field to search for associated accounts and related customer identifier. You can enter multiple Transaction IDs separated by a comma.
Account ID	Enter the Account ID in this field to search for transactions associated with the entered account identifier.
TIN	Enter TIN to search for transactions where conductor TIN matches the entered value along with the format. The CTR application also searches for transactions with non-null account where TIN of customer with owning role matches the entered value along with the format.
TIN Format	Select the required TIN format type from the drop-down list.

Table 8. Add Transaction Field Description

Field	Description
Transaction Date From	Enter the transaction date from using the calendar icon. The CTR application searches for transactions with transaction date greater than or equal to the entered date.
Transaction Date To	Enter the transaction date to field using the calendar icon. The CTR application searches for transactions with transaction date less than or equal to the entered date.
Exclude Exempt Transaction	This field is selected by default. Select this option to exclude the exempt transactions in the search results.

4. Click **Search** to search for transactions.
The search results are displayed.
5. Select the required transactions from the displayed search list, and click **Add selected**.
6. Click **OK** to confirm. The Transaction list is updated with the added transaction(s).

Removing a Transaction

To remove a transaction from a CTR, follow these steps:

1. In the CTR Details page, click **Transaction** tab to display the transactions of the selected CTR.
2. Select the required transaction(s) that you want to remove from the CTR.
3. Click **Remove** to remove the transaction.

A confirmation window is displayed.

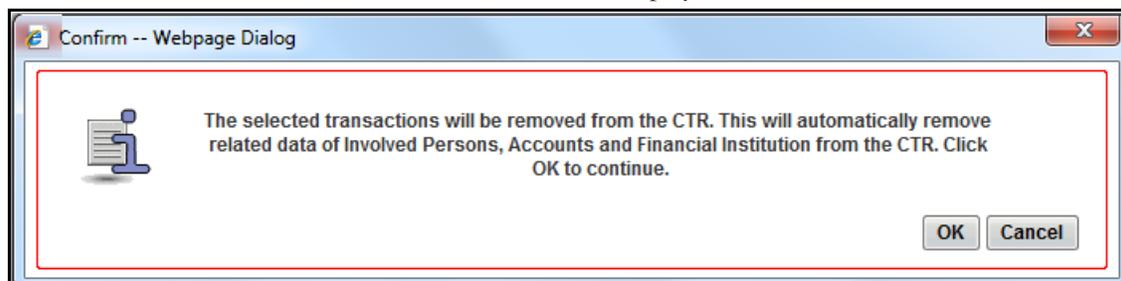


Figure 20. Remove Transaction Confirm Window

4. Click **OK** to confirm the removal of the selected transaction(s).

Editing Persons Involved Details

To edit persons involved information in a CTR, follow these steps:

1. In the CTR Details page, click **Persons Involved** tab to view the detailed information about persons involved.
2. Select a record from the list of Persons Involved and click **Edit**.

The Edit Person window is displayed.

The screenshot shows the 'Edit Person Window' with the following fields and values:

Last/Entity Name:	ORACLE	First name:	PETE
Middle Name:	PLAY	Alternate Name:	PETE
Name Suffix:	MR	DoB:	05/26/1988
Gender:	Female	Address:	191CHANDOK ESTATELIEA HUAQBEROI VILLAAAREA 960OAKLAND COUNTY
City:	IRVINE	State:	CALIFORNIA
Country:	UNITED STATES	Postal Code:	92702
ID Issuing State:		ID Issuing country:	
Phone Number:	3232213	Phone Extension:	8538
Email:	LKL@GMAIL.COM	NAICS Code:	(531) Real Estate
Occupation:	PLAYER		

At the bottom of the window are 'Save' and 'Cancel' buttons.

Figure 21. Edit Person Window

3. Edit the required persons information in the Edit Person window and click **Save**. The Persons Involved record is updated.

Adding Comments to Persons Involved Record

To add a comment to persons involved record, follow these steps:

1. In the CTR Details page, click **Persons Involved** tab to view the detailed information about persons involved.
2. Select a record from the list of Persons Involved records.
3. Select **Comments** from LHS menu option to display all comments related to a particular person involved record.
4. Click **Add** to add a comment.

The Add Comment window is displayed.

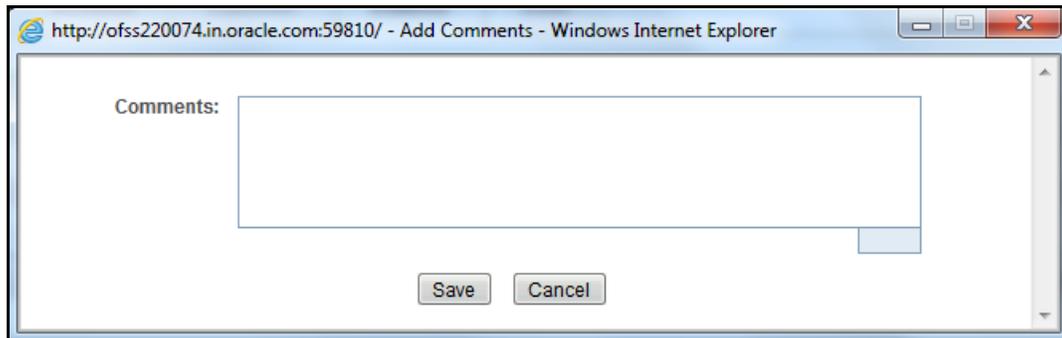


Figure 22. Add Comments Window

5. Enter comments in the comments field and click **Save**.
A confirmation window is displayed.
6. Click **OK** to confirm the addition of comments to the selected persons involved record.

Adding Attachments to Persons Involved Record

To add attachments to persons involved record, follow these steps:

1. In the CTR Details page, click **Persons Involved** tab to view the detailed information about persons involved.
2. Select a record from the list of Persons Involved records.
3. Select **Attachments** from LHS menu option to display all attachments related to a particular person involved record.
4. Click **Add** to add an attachment.

The Add Attachment window is displayed.

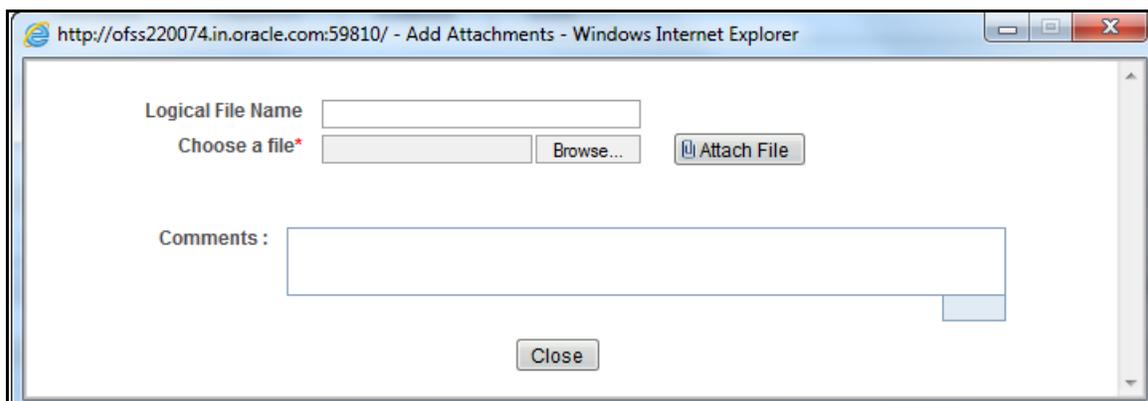


Figure 23. Add Attachments Window

5. Enter a logical file name for the attachment in the Logical File Name text field.
Note: This field is not a mandatory field.
6. Click **Browse** to select files to attach from **Choose File to Upload** window. You can also enter comments for the attachment(s) in the Comments field.
7. Click **Attach File**.

An Information window is displayed.

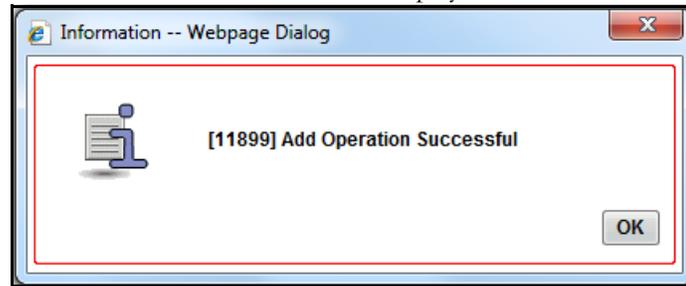


Figure 24. Add Attachment Information Window

8. Click **OK**. The attachment is added to the selected persons involved record and the user returns to Add Attachments window.
9. You can choose to add multiple attachments or click **Close** to close the Add Attachment window.

The Attachment page displays the updated list of attachments.

Removing Attachments from Persons Involved Record

To remove attachments from persons involved record, follow these steps:

1. In the CTR Details page, click **Persons Involved** tab to view the detailed information about persons involved.
2. Select a record from the list of Persons Involved records.
3. Select **Attachments** from LHS menu option to display all attachments related to a particular person involved record.
4. Click on the attachment icon in the attachment column to view the required attachment.
An Attachment List window is displayed.
5. Select the required attachments

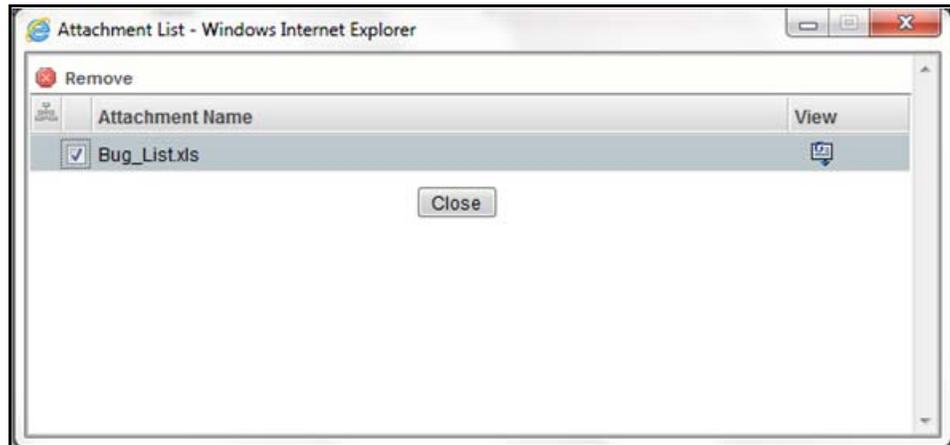


Figure 25. Remove Attachment List Window

6. Click **Remove**.
7. Add comments in the Comments field.
8. Click **Save**.
9. Click **OK** to confirm the removal of the attachment. The Attachment page displays the updated list of attachments for the selected persons involved record.

Viewing Attachments of Persons Involved Record

To view the attachments of persons involved record, follow these steps:

1. In the CTR Details page, click **Persons Involved** tab to view the detailed information about persons involved.
2. Select a record from the list of Persons Involved records.
3. Select **Attachments** from LHS menu option to display all attachments related to a particular person involved record.
4. Click on the attachment icon in the attachment column to view the required attachment.
An Attachment List window is displayed.
5. Select the required attachment and click **View**. A File Download window is displayed.

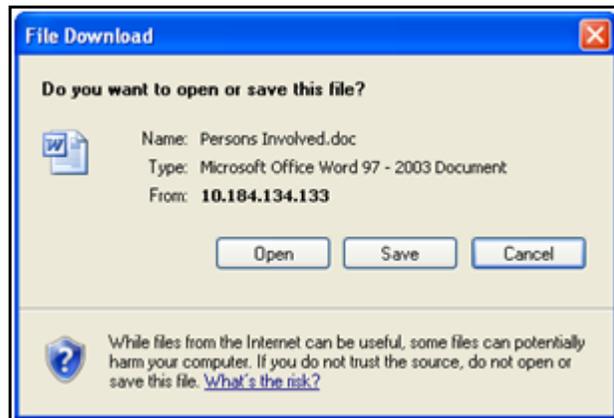


Figure 26. File Download Window

6. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine. Click **Cancel** to return to the Attachment list page.

Changing Transaction FI

To change the reporting financial institution (FI) of a CTR, follow these steps:

1. In the CTR Details page, click **Financial Institutions** tab to view the detailed financial institution information of transactions associated with a CTR. By default, the **Transaction FI (4A)** submenu option is selected.
2. Select a record from the list of transaction financial institution records.
3. Click **Change Transaction FI** to change the reporting financial institution information.

The Change Transaction FI window is displayed.

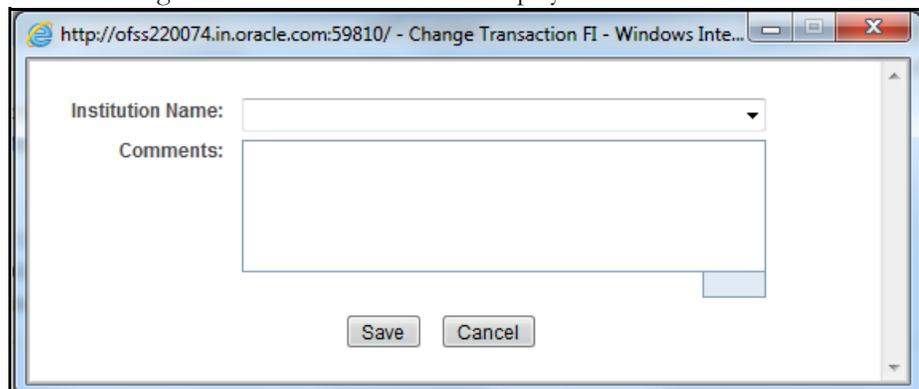


Figure 27. Change Transaction FI Window

4. Select the required Financial Institution name from the drop-down list and enter comments in the Comments field.
5. Click **Save**. A confirmation window is displayed.
6. Click **OK** to confirm the change of reporting financial institution information. The updated Financial Institution list page displays.

Changing Parent FI

To change the parent financial institution information of a CTR, follow these steps:

1. In the CTR Details page, click **Financial Institutions** tab to view the detailed financial institution information of transactions associated with a CTR.

Note: By default, the **Transaction FI (4A)** submenu option is selected.

2. Select **Parent FI (2A)** LHS submenu option to display the parent financial institution information.
3. Click **Change Parent FI**.

The Change Parent FI window is displayed.

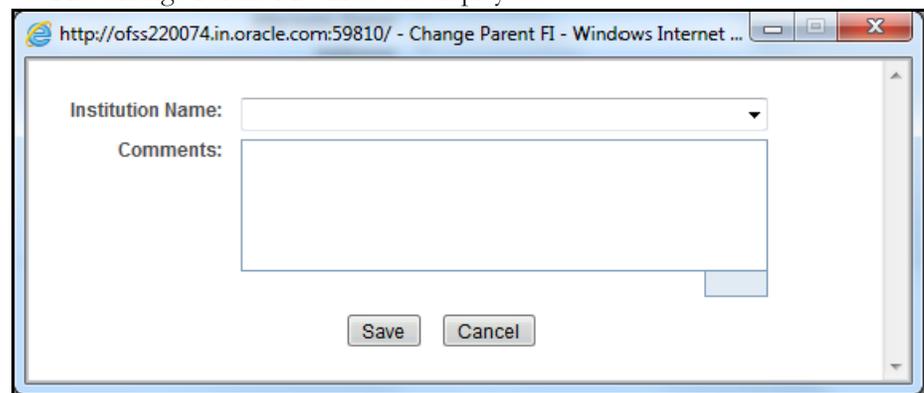


Figure 28. Change Parent FI Window

4. Select the required Financial Institution name from the drop-down list and enter comments in the Comments field.
5. Click **Save**. A confirmation window is displayed.
6. Click **OK** to confirm the change of parent financial institution information.
The Parent FI information is changed and displays the updated information.

Adding Comments to a CTR

To add comments to a CTR, follow these steps:

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a CTR.
2. Click **Add** from Comments list to add a comment.
An Add Comment window is displayed.
3. Enter comments in the comments field and click **Save**.
A confirmation window is displayed.
4. Click **OK** to confirm the addition of comment.

Adding Attachments to a CTR

To add attachments to a CTR, follow these steps:

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a CTR.
2. Select **Add** from Attachments list to add an attachment.

An Add Attachment window is displayed.

3. Enter a logical file name for the attachment in the Logical File Name text field. This field is not a mandatory field.

Note: Click **Browse** to select files to attach from **Choose File to Upload** window. You can also enter comments for the attachment(s) in the Comments field.

4. Click **Attach File**. An Information window is displayed.

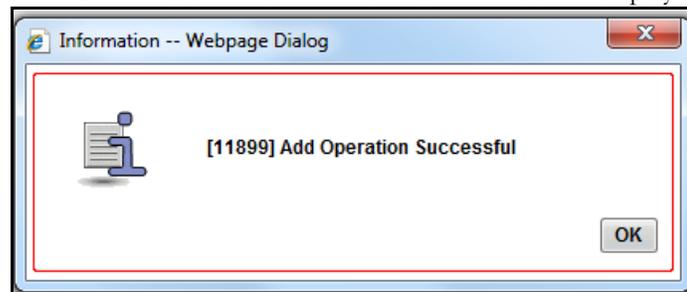


Figure 29. Add Attachments to CTR Information Window

5. Click **OK**. The attachment is added to the CTR and the user returns to Add Attachments window.
6. You can choose to add multiple attachments or click **Close** to close the Add Attachment window.

The Attachment page displays the updated list of attachments.

Removing Attachments from a CTR

To remove attachments from a CTR, follow these steps:

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a CTR.
2. Click on the attachment icon in the attachment column to view the required attachment. An Attachment List window is displayed.
3. Select the required attachment and click **Remove**.
4. Add comments in the Comments field.
5. Click **Save**. The Confirm window is displayed.
6. Click **OK** to confirm the removal of the attachment.

The Attachment page displays the updated list of attachments.

Viewing Attachments of a CTR

To view the attachments of persons involved record, follow these steps:

1. In the CTR Details page, click **Evidence** tab to view the list of comments and attachments associated with a CTR.
2. Click on the attachment icon in the attachment column to view the required attachment.
An Attachment List window is displayed.
3. Select the required attachment and click **View**.
A File Download window is displayed.
4. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine.
You can also click **Close** to return to the Attachment list page.

Creating a CTR

A CTR can be created either manually, or through system generated alerts. You can also create a Corrected Report for an Initial Report by taking Correct/Amend CTR action.

To manually create a CTR, follow these steps:

1. Select **Create New Report** submenu from CTRs menu.

The Create New Report window is displayed.

Figure 30. Create New Report

2. Enter the CTR Details fields as explained in the following table:

Table 9. CTR Details

Field Name	Description
CTR Title	Enter the CTR Title in this field.
CTR Focal Entity	Enter the CTR Focal Entity in this field.
CTR Focal Entity Type	Select a CTR Focal Entity Type as Conductor, Customer, or TIN.
Parent Fin Inst	Select a parent financial institution from the listed drop-down list.
Type of Filing	Select a type of filing as Initial report, Correct/amend prior report, or FinCEN directed Backfiling.
Jurisdiction	Select a jurisdiction from the listed drop-down options.
Domain	Select the required domain from the listed drop-down options.
Prior Report BSA ID	Enter the Prior Report BSA ID in this field. This field is enabled only if the type of filing is selected as Correct/Amend prior report.

3. Enter the required Search Transactions details as explained in the following table:

Table 10. Search Transactions

Field Name	Description
Customer ID	Enter the Customer ID in this field to search for accounts associated with the entered customer in controlling role and search for transactions which have the same accounts.
Transaction ID	Enter the Transaction ID in this field. You can enter multiple transaction IDs separated by a comma.
Account ID	Enter the Account ID to search for transactions associated with the entered accounts.
TIN	Enter the TIN to search for transactions where conductor TIN matches the entered value. The CTR application also searches for transactions with non-null account where TIN of the customer with controlling role matches the entered value.
TIN format	Select a TIN format from the listed drop-down options.
Lookback period	Select a lookback period from the listed drop-down options namely, 1, 3 or 5 days. The CTR application searches for transactions with transaction date from today's date. For example, X days to today's date, where X=1, 3 or 5.
Transaction Date From	Select a date using the calendar icon. The CTR application searches for transactions with transaction date greater than or equal to the entered date.
Transaction Date To	Select a date using the calendar icon. The CTR application searches for transactions with transaction date less than or equal to the entered date.
Exclude Exempt transactions	Select this option to exclude exempt transactions from the search results.

4. Click **Search** to search for transaction based on the entered criteria.

Transactions that match the entered criteria are displayed in the results lists with the following details:

- Trans Date
- Trans ID
- Acct ID
- Conductor Name
- Conductor ID
- Conductor ID Type
- Conductor Issuing Auth
- Dbt/Cdt
- Trans Amt – Base
- Trans Channel Type
- Trans Bus Reason
- Business Reason Desc
- Trans Amt – In

- Trans Amt – In Country
 - Trans Amt – Out
 - Trans Amt – Out Country
5. Select the required transactions and click **Create**.
A new CTR is created for the selected transactions.

Managing E-File

This chapter describes the workflow of a E-File, managing E-File List page, and managing E-File Details page. This chapter focuses on the following topics:

- E-File Workflow
- Managing E-File List
- Managing E-File Details Page
- Creating an E-File

E-File Workflow

The below figure illustrates the workflow of E-File in the CTR application:

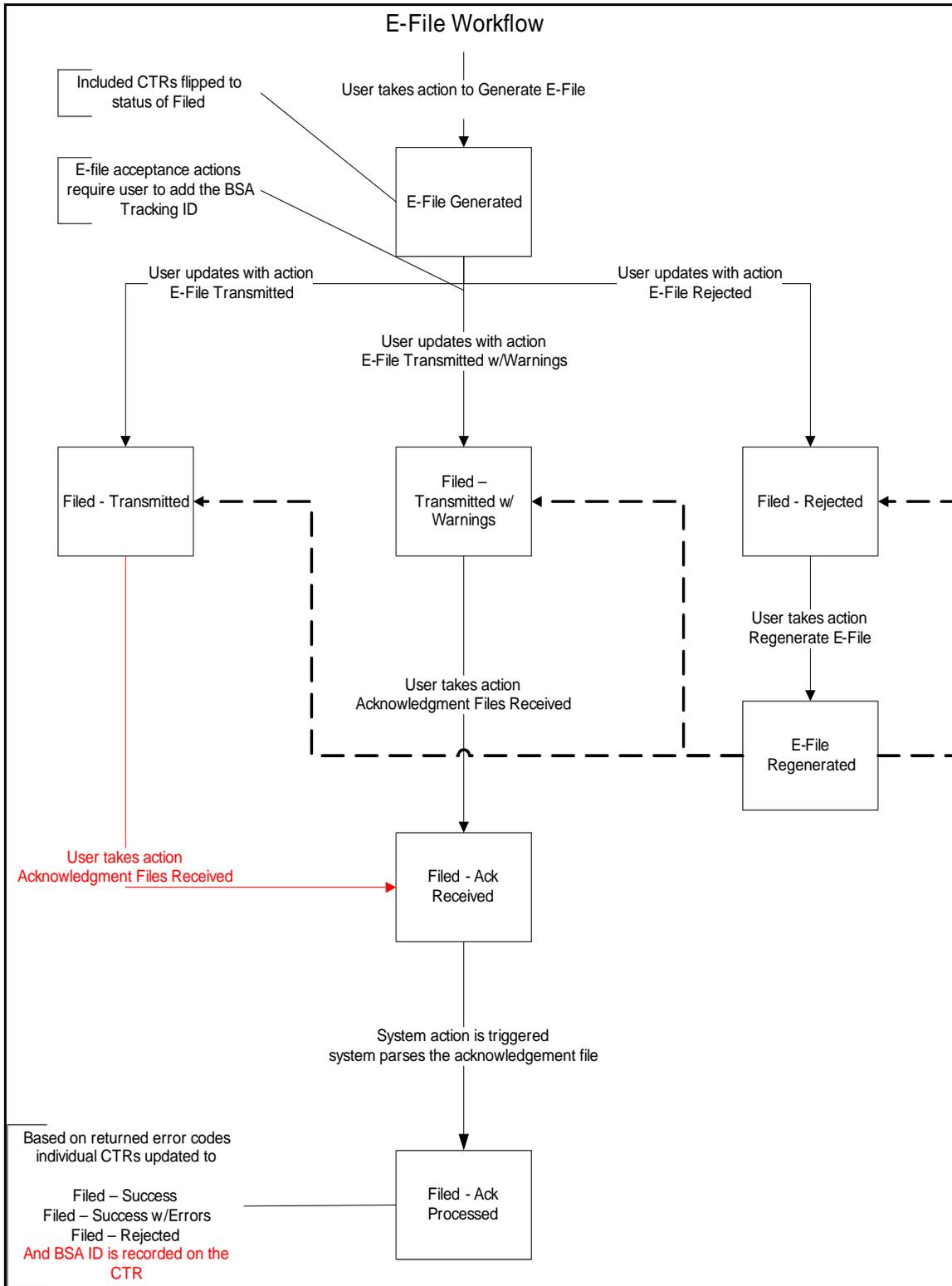


Figure 31. E-File Workflow

The following table shows the various actions a user can take from E-File Details page.

Table 11. Action-Status Mapping Table

Action Available From	Pre-action E-File Status	Action	Action Taker
Create E-File page	N/A	Generate E-File	E-File Analyst, Supervisor
E-File Details	E-File Generated	E-File Transmitted	E-File Analyst, Supervisor
E-File Details	E-File Generated	E-File Transmitted w/Warnings	E-File Analyst, Supervisor
E-File Details	E-File Generated	E-File Rejected	E-File Analyst, Supervisor
E-File Details	Filed - Transmitted	Acknowledgment Files Received	E-File Analyst, Supervisor
E-File Details	Filed - Transmitted w/Warnings	Acknowledgment Files Received	E-File Analyst, Supervisor
E-File Details	Filed - Ack Received	Acknowledgment Files Processed	System (triggered by the Ack Received Action)
E-File Details	Filed - Rejected	Regenerate E-File	E-File Analyst, Supervisor
E-File Details	E-File Regenerated	E-File Transmitted	E-File Analyst, Supervisor
E-File Details	E-File Regenerated	E-File Transmitted w/Warnings	E-File Analyst, Supervisor
E-File Details	E-File Regenerated	E-File Rejected	E-File Analyst, Supervisor
E-File Details	All Statuses	Download E-File	E-File Analyst, Supervisor
E-File Details	All Statuses	E-mail	E-File Analyst, Supervisor
E-File Details	All Statuses	Add Comment	E-File Analyst, Supervisor
E-File Details	All Statuses	Attach Document	E-File Analyst, Supervisor

Managing E-File List

This section discusses the following topics:

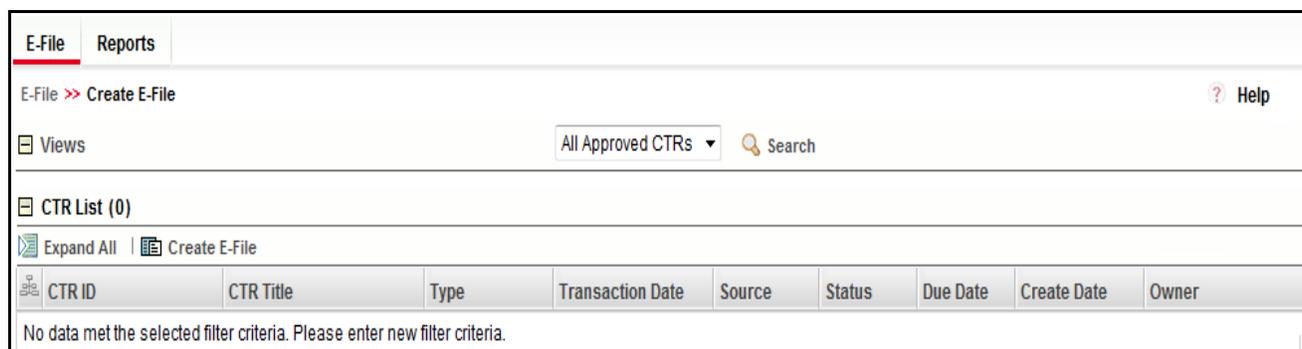
- Accessing E-File List
- Components of E-File List
- Searching and Viewing E-File List

Accessing E-File List

The E-File List page is available for users who have the role of an E-File Analyst or a Supervisor.

To access E-File List, mouse hover E-File tab in the CTR application and click **Search and List** submenu.

The E-File List page is displayed.



CTR ID	CTR Title	Type	Transaction Date	Source	Status	Due Date	Create Date	Owner
No data met the selected filter criteria. Please enter new filter criteria.								

Figure 32. E-File List

Components of E-File List

The E-File List page is composed of the following components:

- E-File List Header
- Action Buttons
- Column Headings

E-File List Header

The header contains the title as E-File List.

Action Buttons

The system provides the following action buttons that appear above the list of E-File List:

- **Export to Excel:** This option allows you to export the E-File list records to a spreadsheet.
- **Expand All:** This option allows you to expand the complete details for the items where text cannot be accumulated in the column length. This can be vice

versa if you click **Collapse All**, and this takes you to the original view of E-File List.

Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the E-File List matrix are sortable.

Right click on the column heading to sort the display. A list of sorting menu displays. For example, Ascending, Descending, Clear Sort, Field Chooser, and Transpose. Select the relevant sorting option. The CTR application refreshes the list and re-sorts the E-File List records based on the selected criteria.

The E-File list page has the following column headings:

- E-File ID
- E-File Name
- Status
- Created Date
- Filed Date
- Acknowledgement Date
- Created By
- Filed By
- Acknowledged By
- CTR Count
- BSA E-File Track ID
- E-File

Searching and Viewing E-File List

The E-File List page displays the summary of the E-File that are in various statuses.

To search E-File List, mouse hover E-File tab in CTR application and click **Search and List**. The E-File List page is displayed.

This section details about following topics:

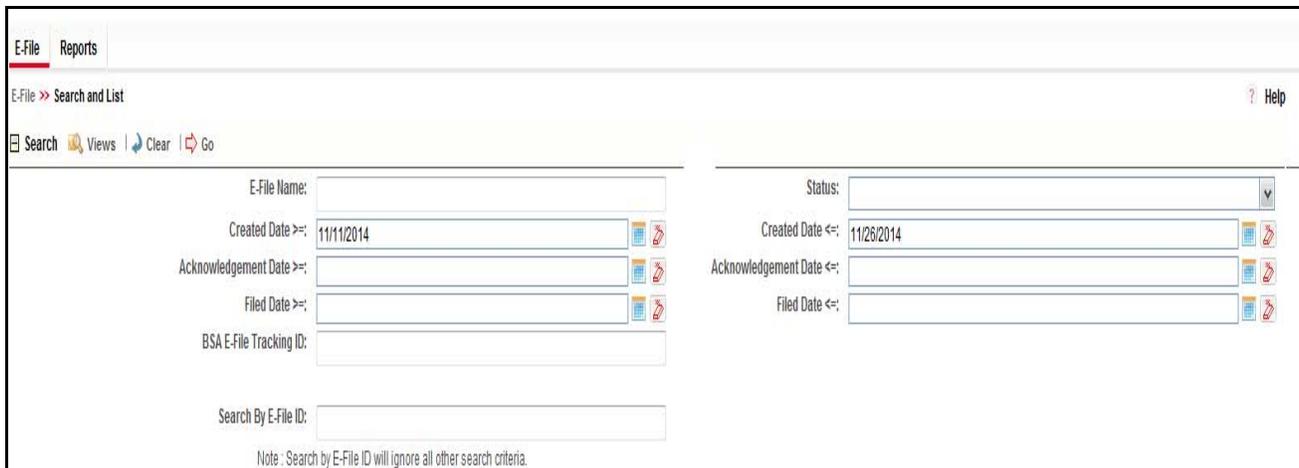
- Searching E-File List Using Search components
- Searching E-File List Using Pre-defined Views

Searching E-File List Using Search components

This page allows you to filter the E-File List using the search components.

To search E-File List using search components, follow these steps:

1. Mouse hover E-File tab in CTR application and click **Search and List**. The E-File List page is displayed.
2. Click **Search**. The search components page is displayed.



The screenshot shows a web application interface for searching E-File lists. It includes a navigation bar with 'E-File' and 'Reports' tabs. Below the navigation bar, there are search and navigation icons (Search, Views, Clear, Go) and a 'Help' link. The main search area contains several input fields: 'E-File Name', 'Created Date >=' (with a date picker set to 11/11/2014), 'Acknowledgement Date >=', 'Filed Date >=', 'BSA E-File Tracking ID', and 'Search By E-File ID'. On the right side, there are dropdown menus for 'Status' and date pickers for 'Created Date <=' (set to 11/26/2014), 'Acknowledgement Date <=', and 'Filed Date <='. A note at the bottom of the form reads: 'Note: Search by E-File ID will ignore all other search criteria.'

Figure 33. E-File List Search Components

3. Enter the details in the search fields as explained in the below table:

Table 12. E-File Search Field Descriptions

Column Name	Description
E-File Name	This field displays the name of the created batch file. The entered name must be the file name when it is submitted to FinCEN. This field supports wildcard.
Status	Select the required statuses from the options listed in the drop-down. The options listed in the status drop-down are as follows: <ul style="list-style-type: none"> ● E-File Generated ● Filed - Transmitted ● Filed - Transmitted w/Warnings ● Filed - Rejected ● Filed - Ack Received ● Filed - Ack Processed ● E-File Regenerated
Created Date From	Enter the date range for when E-File was generated. This field defaults to the current date.
Created Date To	Enter the date range for when E-File was generated. This field defaults to the current date.
Acknowledgement Date From	Enter the date range for acknowledgement from FinCEN was received. This field searches for E-File based on the action date of user action <i>Ack Rcvd</i> .
Acknowledgement Date To	Enter the date range for acknowledgement from FinCEN was received. This field searches for an E-File based on action date for user action of <i>Ack Rcvd</i> .

Table 12. E-File Search Field Descriptions

Column Name	Description
Filed Date From	Enter the date range for when submitted to FinCEN and submission tracked. This field searches for an E-File based on user action date that specifies the E-File site submission status namely, E-File Transmitted, E-File Transmitted w/Warnings, and E-File Rejected.
Filed Date To	Enter a date range to search for E-File which were submitted to FinCEN and whose submission was tracked. This field searches for an E-File based on user action date that specifies the E-File submission status namely, E-File Transmitted, E-File Transmitted w/Warnings, and E-File Rejected.
BSA E-File Tracking ID	Enter the BSA E-File Tracking ID to search for Tracking IDs associated with the submitted E-File. The tracking ID is defined by the FinCEN. This search is based on Tracking ID that were added to the E-File record by the user as part of one of the post E-File submission actions namely, E-File Transmitted, E-File Transmitted w/Warnings, and E-File Rejected.
E-File ID	Search by E-File ID is mutually exclusive of other search filters. Searching by ID will ignore other filters.

4. Click **Go**. The relevant search list page displays.

Searching E-File List Using Pre-defined Views

This page allows you to filter the E-File List using the pre-defined views.

To search E-File List using pre-defined views, follow these steps:

1. Mouse hover E-File tab in CTR application and click **Search and List**. The E-File List page is displayed.
2. Select any pre-defined views from Views drop-down list namely, E-Files for Submission, Rejected E-Files, and E-Files w/Warnings. The relevant search list page displays.

The following table lists the various pre-defined view options and its description:

Table 13. E-File Pre-defined Views

Views	Description
E-Files for Submission	Displays all E-Files that are in status of E-File Generated or Filed – Regenerated.
Rejected E-Files	Displays all E-Files that are in status of Filed – Rejected.
E-Files w/Warnings	Displays all E-Files that are in status of Filed – Transmitted w/Warnings.

Note: When a user accesses the E-File List page, the E-Files are listed based on a default search criteria. If there are more than 10 E-Files for a search criterion, the CTR application will automatically display pagination option.

Managing E-File Details Page

This section focuses on the following topics:

- Viewing E-File Details Page
- Sending an E-mail
- Downloading an E-File
- Changing the E-File Status to E-File Transmitted
- Changing the E-File Status to E-File Transmitted w/Warnings
- Changing the E-File Status to E-File Rejected
- Changing the E-File Status to Acknowledgement Received
- Changing the E-File Status to Regenerate E-File

Viewing E-File Details Page

An E-File Details page displays detailed information about an E-File. In the CTR application, you can navigate to an E-File Details page by clicking the E-File ID displayed in the E-File List page.

The screenshot displays the E-File Details page with the following information:

E-File ID: 1	E-File Name: CTR_BATCH_11072014_1	Created Date: 11/07/2014
Acknowledgement Date: --	Filed Date: 11/13/2014	
Coverage Begin Date: 12/10/2009	Coverage End Date: 12/10/2009	
Created By: EANALYST	Acknowledged By: --	Status: Filed - Transmitted w/Warnings
BSA E-File Tracking ID: 423423423	Number Of Included CTR(s): 1	Error Count: Fatal(0), Validation(0), File(0)

Navigation tabs: E-File CTR, E-File Error, Evidence, Audit

E-File CTR Summary

Parent Financial Institution Count: 1	Person Involved Count: --
Financial Institution Where Transaction Occurred Count: 3	Account Number (Cash In) Count: --
Transaction Summary Count: 1	Account Number (Cash Out) Count: --

E-File CTR Acknowledgement Summary

Filed - Success Count: --	Filed - Rejected Count: --
Filed - Success With Errors Count: --	Filed - Rejection Corrected Count: --

Figure 34. E-File Details Page

The following are the components of E-File Details page

- E-File Details

- E-File Details Tabs

E-File Details

E-File Details displays the detailed information about an E-File. By default E-File ID, E-File Name and Created Date details are displayed. Click  button to expand the E-File Details to display the following details:

- E-File ID
- E-File Name
- Created Date
- Acknowledgement Date
- Filed Date
- Coverage Begin Date
- Coverage End Date
- Created By
- Acknowledged By
- Status
- BSA E-File Tracking ID
- Number of Included CTR(s)
- Error Count

E-File Details Tabs

The E-File Details page has the following four tabs:

- E-File CTR Tab
- E-File Error(s) Tab
- Evidence Tab
- Audit Tab

E-File CTR Tab

The E-File CTR tab displays information about CTRs included in the E-File. This tab contains the following information:

- E-File CTR Summary
- E-File CTR Acknowledgment Summary

E-File CTR Summary

The following are the record types displayed in the E-File CTR Summary section:

- Parent Financial Institution Information Count (2A)
- Financial Institution Where Transaction(s) Take Place (2B)
- Transaction Summary Count (3A)
- Person Involved in Transaction(s) Count (4A)

- Account Number (Cash in) Count (4B)
- Account Number (Cash out) Count (4C)

E-File CTR Acknowledgment Summary

The following are the status of the CTRs included in E-File CTR Acknowledgment Summary:

- Filed – Success Ct
- Filed - Success w/Errors Ct
- Filed – Rejected Ct
- Filed – Rejection Corrected Ct

E-File Error(s) Tab

The E-File Error(s) tab displays information about the errors encountered during E-Filing. The E-File Error Tab displays the following information:

- E-File Fatal & Validation Error(s)
- E-File CTR File Error(s)

E-File Fatal & Validation Error(s)

This section displays information about E-File Fatal and Validation errors. Fatal and Validation errors results in the rejection of the E-File and CTRs will not have been processed by FinCEN. This section also displays the error code, error location, and description of a particular E-File.

Note: If there is no E-File rejected, then this section is displayed as empty.

E-File CTR File Error(s)

This section displays individual CTRs on which an error has occurred. The relationship to file error is based on the CTR ID, Transaction Sequence ID, and E-File ID.

Displays subset of fields from CTR List page and displays only those CTRs associated with error codes in the acknowledgement file.

Note: For files in Acknowledgement Processed status, the counts are based on the parsing of the ASCII Ack files.

Evidence Tab

The Evidence tab displays the comments and documents associated with an E-File. It allows a user to add comments and add or remove documents. The records are displayed in reverse chronological order.

The Audience tab has two sections namely, Comments and Attachments.

Audit Tab

The Audit tab displays the history of actions taken on an E-File along with the comments and attachments provided for each action.

Sending an E-mail

To send an E-mail, follow these steps:

1. In the E-File Details page, click **Email** button to send an e-mail.

The E-Mail window is displayed.

Figure 35. E-File E-mail Window

2. Enter the required fields as explained in the below table:.

Table 14. E-File E-Mail Window Field Descriptions

Field	Description
Selected IDs	This field pre-populates the selected E-File ID. This field is a not editable.
To	Enter semi-colon separated E-mail IDs of multiple recipients.
Subject	Enter a subject for the email
Message	Enter a message for the email recipients.
Comments	Enter comments in this field.

3. Click **Save**.

An e-mail is sent to the specified recipients with the entered details.

Downloading an E-File

To download an E-File, follow the below steps:

1. In the E-File Details page, click **Download E-File** button to download the E-File. The File Download window is displayed.

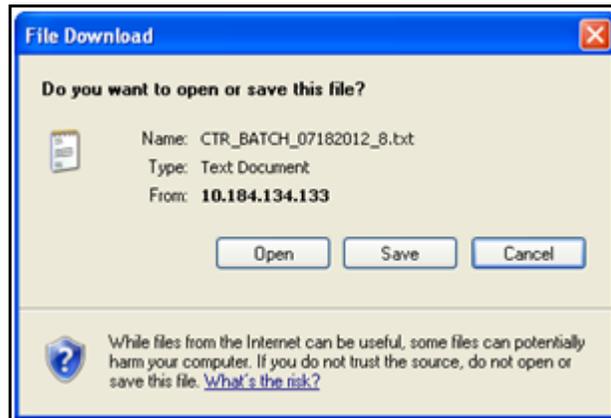


Figure 36. E-File Download Window

2. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine.
You can also click **Close** to return to the E-File Details page.

Changing the E-File Status to E-File Transmitted

When an E-File is in E-File Generated or Filed – Regenerated status, you can change the status to E-File Transmitted.

To change the status of an E-File to E-File Transmitted, follow the below steps:

1. In the E-File Details page, click **E-File Transmitted** button.

The Actions window is displayed.

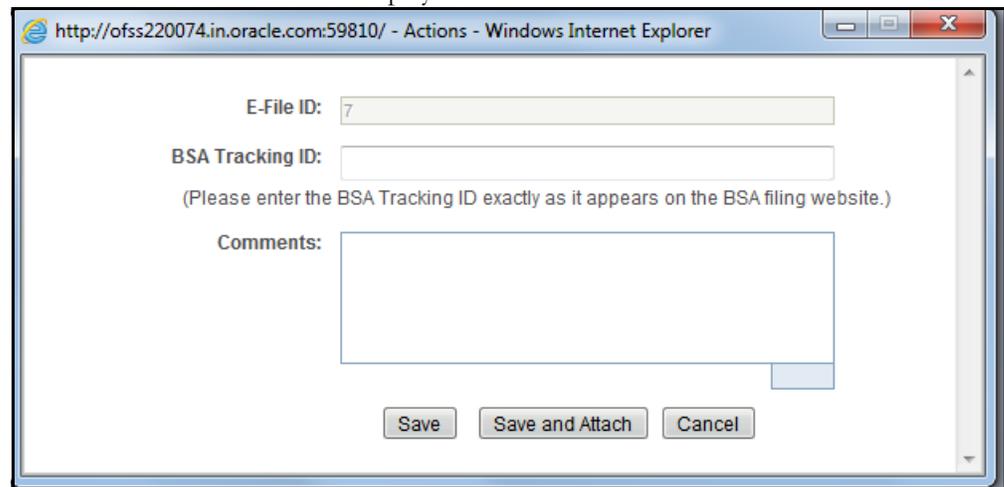


Figure 37. E-File Transmitted Actions Window

2. Click **Save**.

A confirmation window appears. Click **OK**. The status of the E-File is changed to E-File Transmitted.

3. If you click **Save and Attach**, a confirmation window appears. Click **OK**.

An Actions window is displayed.

4. Enter a Logical Name and attach the required file using the Browse button and click Attach File

The status of the E-File is changed to E-File Transmitted

5. Click **Cancel** to return to the E-File Details page.

Changing the E-File Status to E-File Transmitted w/Warnings

When an E-File is in E-File Generated or Filed – Regenerated status, you can change the status to E-File Transmitted w/Warnings.

To change the status of E-File to E-File Transmitted w/Warnings, follow the below steps:

1. In the E-File Details page, click **E-File Transmitted w/Warnings** button.

The Actions window is displayed.

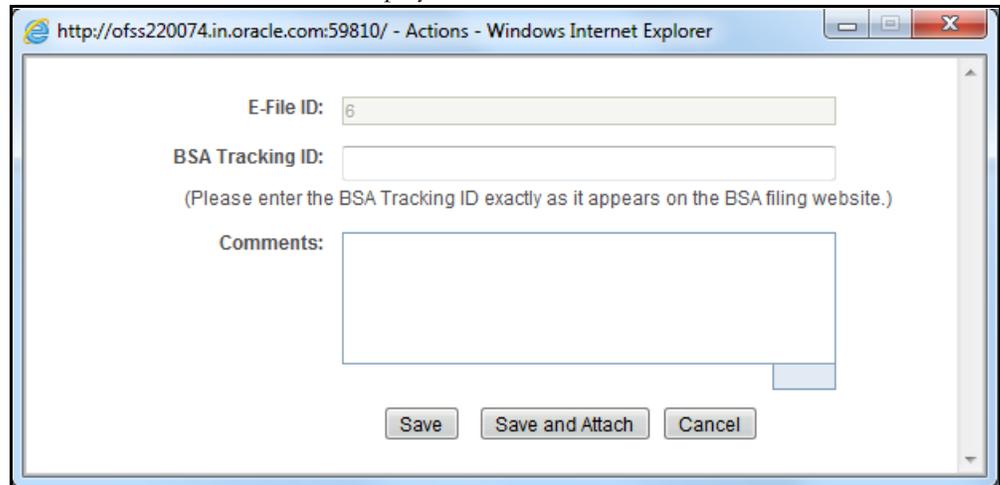


Figure 38. E-File Transmitted w/Warnings Actions Window

2. Enter the BSA Tracking ID and comments (if any) in the Actions window.
3. Click **Save**.

A confirmation window appears. Click **OK**. The status of the E-File is changed to E-File Transmitted w/Warnings.

4. If you click **Save and Attach**, a confirmation window appears. Click **OK**.

An Actions window is displayed.

5. Enter a Logical Name and attach the required file using the Browse button and click Attach File

The status of the E-File is changed to E-File Transmitted w/Warnings.

6. Click **Cancel** to return to the E-File Details page.

Changing the E-File Status to E-File Rejected

When an E-File is in E-File Generated or Filed – Regenerated status, you can change the status to E-File Rejected.

To change the status of E-File to E-File Rejected, follow the below steps:

1. In the E-File Details page, click **E-File Rejected** button.

An Actions window is displayed.

The screenshot shows a web browser window titled 'Actions - Windows Internet Explorer'. The main content area contains a form with the following elements:

- E-File ID:** A text input field containing the value '35'.
- BSA Tracking ID:** A text input field containing the value '123456'. Below this field is a note: '(Please enter the BSA Tracking ID exactly as it appears on the BSA filing website.)'
- Comments:** A large text area containing the word 'Rejecting'. A small blue box with the number '3991' is located at the bottom right of this text area.
- Logical File Name:** A text input field containing the value 'Test'.
- Choose a file*:** A file selection field showing the path 'C:\Users\shamram\Desktop' and a 'Browse...' button.
- Buttons:** An 'Attach File' button is positioned to the right of the file selection field. At the bottom of the form are two buttons: 'Save and Parse' and 'Cancel'.

Figure 39. E-File Rejected Actions Window

2. Enter the BSA Tracking ID and comments (if any).
3. Enter a Logical Name and attach the .xml file downloaded from Fin CEN website.
4. Click **Attach File**.

The Actions window gets refreshed and returns to default state.

5. Click **Save and Parse**.

A confirmation window appears.

6. Click **OK**.

The status of E-File is changed to Filed - E-File Rejected.

7. Click **Cancel** to return to the E-File Details page.

Changing the E-File Status to Acknowledgement Received

When an E-File status is in E-File Transmitted or E-File Transmitted w/Warnings, you can change the status to Acknowledgement Received.

To change the status of an E-File to Acknowledgement Received, follow these steps:

1. In the E-File Details page, click Acknowledgement Received.

An Actions window is displayed.

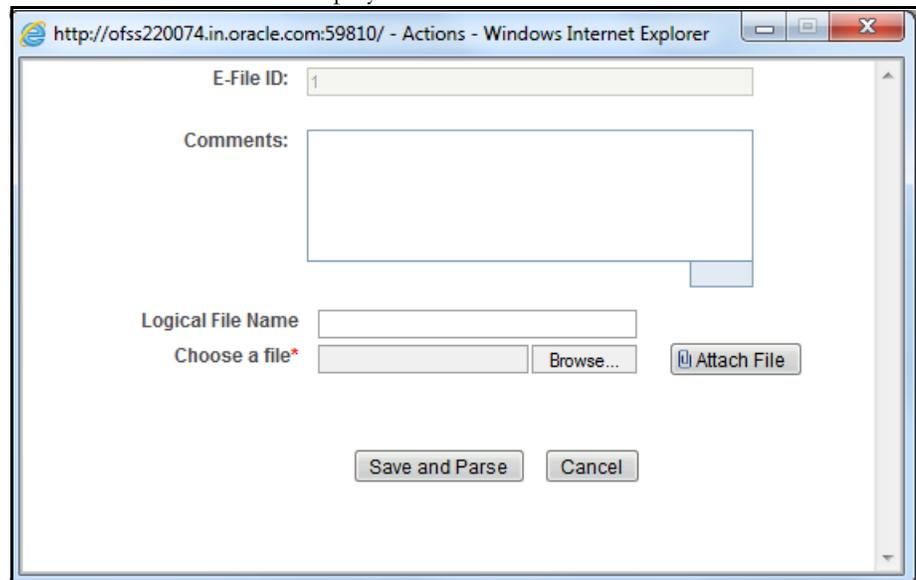
The image shows a screenshot of a web browser window titled "Actions - Windows Internet Explorer". The address bar shows the URL "http://ofss220074.in.oracle.com:59810/". The main content area contains a form for updating an E-File. At the top, there is a text input field labeled "E-File ID:" with the value "1". Below it is a large text area labeled "Comments:". Further down is a text input field labeled "Logical File Name". Below that is a "Choose a file*" section with a file selection button, a "Browse..." button, and an "Attach File" button. At the bottom of the form are two buttons: "Save and Parse" and "Cancel".

Figure 40. E-File Acknowledgement Received Actions Window

2. Enter a Logical Name and attach the .asc file received from FinCEN in **Choose a File** field.

3. Click **Attach File**. The file is attached.

The actions window gets refreshed and returns to default state.

4. Click **Save and Parse**.

A confirmation window appears.

5. Click **OK**. The status of E-File is changed to 'Filed - Ack Processed'.

Changing the E-File Status to Regenerate E-File

When an E-File is in Filed – Rejected status, you can change the status to E-File Regenerated.

To regenerate an E-File that is Filed – Rejected status, follow these steps:

1. In the E-File Details page, click **Regenerate E-File** button.

A Generate E-File window is displayed.



Figure 41. Regenerate E-File Actions Window

2. Enter comments in the comments field and click **Save**.

A confirmation window is displayed.

3. Click **OK**.

The status of an E-File changes to E-File Regenerated and a new copy of the E-File with the same E-File ID is created.

Creating an E-File

You can create an e-file either

To create an E-File, follow the below steps:

1. Select **Create E-File** from the E-File menu to display the following window:

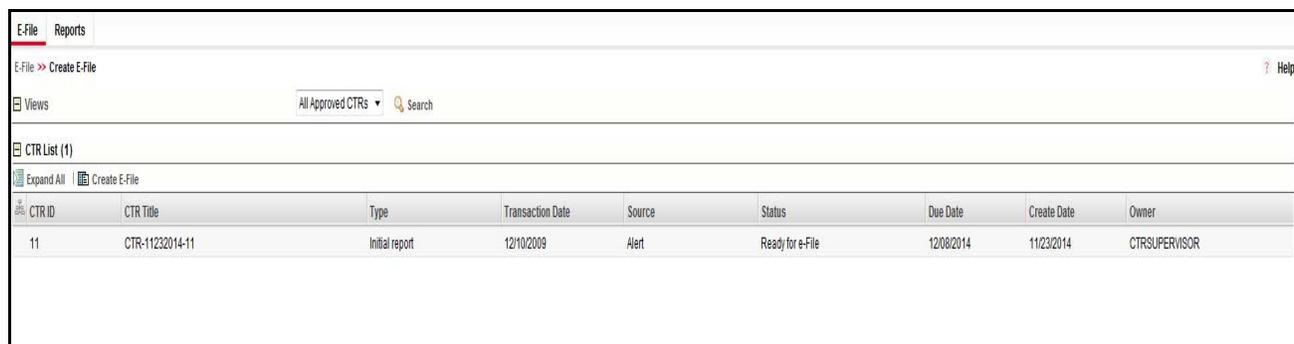


Figure 42. Create E-File Page

2. If there are any CTRs listed in the CTR List for the default 'All Approved CTRs' View option, you can click **Create E-File** button to batch E-File all the CTRs listed in the CTR List.

(Or)

If you want to E-File only selected CTRs, you can filter them using the Search option.

3. Click **Search** to filter the required CTRs in Ready for E-File status.
The following window is displayed.

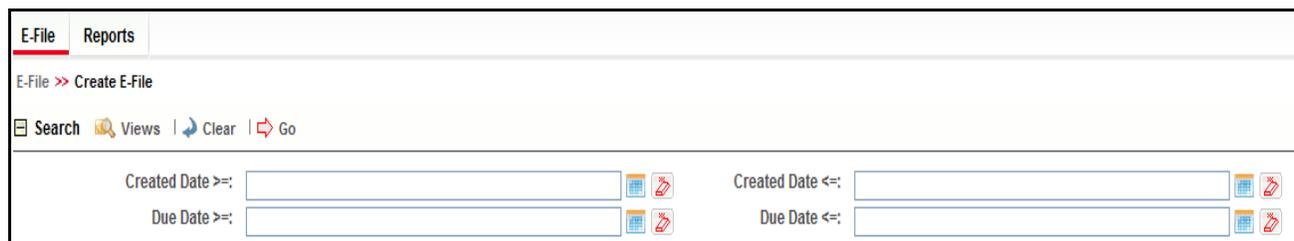


Figure 43. Create E-File Search Fields

4. In the search section, enter the Created Date From and Created Date To range to search for CTRs that are ready for filing.
5. Click **Go**.
CTR in 'Ready for E-File' status are filtered and displayed in the CTR List page.
6. Select **Create E-File** button to display the below pop up window:



Figure 44. Generate E-File Window

7. Enter any comments in the Comments field and click **Save**.

All the CTRs displayed in the E-File List results are E-Filed.

Notification Email for E-File

1. If the E-Filing is successful, an email is sent to the action taker with the following details:
 - From – CTR Application
 - Subject – E-File Generated Successfully
 - Body – *'E-File ID XXX has been successfully generated and is ready for submission.'*
2. If the E-Filing is not successful, an email is sent to the action taker with the following details:
 - From – CTR Application
 - Subject – E-File Generation Failed
 - Body – *'We were unable to complete creation of requested e-file due to an error. Please contact your application administrator for details of the error and how to proceed.'*

Managing Exemptions

This chapter describes the workflow of an Exemption, managing Exemption List page, and managing Exemption Details page. This chapter focuses on the following topics:

- Exemption WorkFlow
- Managing Exemption List
- Managing Exemption Details Page
- Creating an Exemption

Exemption Workflow

The following diagram illustrates the workflow of the Exemption:

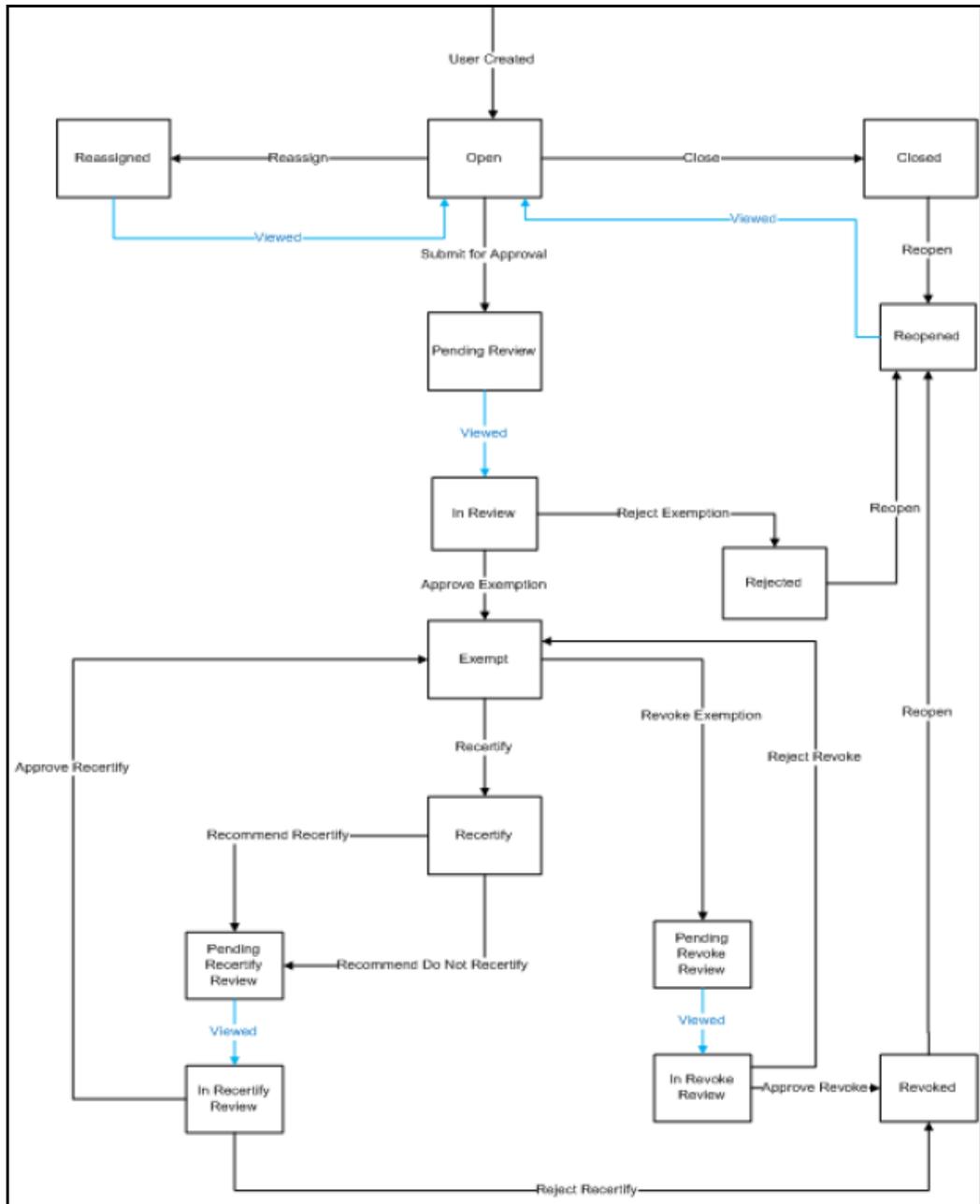


Figure 45. Exemption Workflow

Life Cycle of an Exemption

Open

When a user creates a new exemption or re-opens an exemption, the status of that exemption is changed to Open. All Exemptions need to be created manually.

Closed	A user can close an exemption if its status is changed to Open or Re-Open from Revoked Rejected or Closed status.
Pending review	<p>The status of an exemption is changed to Pending Review in the following scenarios:</p> <ul style="list-style-type: none">● When a user takes a Submit for approval action or any other action taken along with Submit for approval● When a supervisor submits for exemption approval while creating new Exemption/Reopening rejected/Revoked/Closed Exemptions
Reassign	<p>An Exemption can be reassigned when its in the below status</p> <ul style="list-style-type: none">● Open● Pending review● In- review● Pending Recertify Review● In Recertify Review● Pending Revoke Review● In Revoke Review● Reopened● Reassigned● Recertify <p>Reassign is not possible on an exemption when its in below status</p> <ul style="list-style-type: none">● Exempt● Revoked● Closed● Rejected
Reopen	The status of an Exemption can be changed to reopen when its in Rejected, Revoked, and Closed status.
In-review	The status of an Exemption changes to In-review, when a Supervisor views an exemption which is in Pending Review status.
Exempt	<p>The status of an Exemption can be changed to Exempt when Supervisor approves an exemption</p> <p>An exemption can move to Exempt status in following cases:</p> <ul style="list-style-type: none">● When a newly created Exemption is approved by the supervisor to be Exempt.● When an existing Exemption which goes through yearly recertify process as a result of system triggered/user submitted and get Recertified

- When Revoked/Rejected Exemptions which are Reopened and Exempted again
- When Rejected/Closed Exemption which are reopened and Exempted.

Exempt Date

Exempt Date is the date on which the entity exempted for filing CTR for the first time.

The following are the scenarios when an exemption date is recorded in the CTR application:

- When an exemption which get Recertified (Approve - Recertify) as a result of system triggered/user submitted Recertify action. The exempt date is not changed but only the status is changed to Exempt
- When an Exemption which is Reopened from the Rejected or Closed status and got exempted for the first time, records the Exempt Date.
- Exemption which is reopened from the Rejected status and if such Exemption had already been approved at least once before, then it gets rejected and does not record an exempt date and gets Exempt status again.

Note: The CTR application does not extend the expiration date on the exemption if the Exempt status has resulted from the Reject Revoke action.

Revoked

The status of an Exemption can be changed to Revoked in the following scenarios:

- Revoke action can be taken on Exemption which is in Exempt status however this action results in Pending Revoke Review status. Once supervisor approves the Revoke, (Approve – Revoke) Exemption moves to Revoked status, if supervisor rejects (Reject – Revoke) the exemptions status changes to Exempt.
- Submit for Revoke action can be taken on Exemption which is in Recertify status however this action results in Pending Recertify Review status. Once the supervisor approves the Reject Recertify Exemption moves to Revoked status, if supervisor Approve Recertify the exemption is extended for next one year from the date of Approve Recertify action and Exemption status changes to Exempt.
- Exemptions which are in Revoked status can be reopened to reinstate the exemption.
- CTR application expires the exemptions on the date of expiry irrespective of the status however the exemption status remains unchanged.
- When the Exemptions status which are in Pending Recertify Review, In Recertify Review, Pending Revoke Review, and In Revoke Review pass the expiry date, the CTR application revokes exemption by clearing the exempt date from the exemption without changing the status.

Note: For exemptions that are moved to the Revoked status, the expiration date is cleared.

Recertify

The status of an Exemption can be changed to Recertify in the following scenarios:

- Upon an exemption record moving to Exempt status the CTR application applies an Initiate Recertification Date that is current day + 320 calendar days (45 days prior to yearly review date)
- When a user recertifies (Approve – Recertify) and the status returns to an exempt status and the process repeats (initiate recertification date is reset).
- When a user doesn't recertify (Rejected – Recertify) Exemption status moves to Revoked and initiate recertification and expiration dates are cleared.

Recertify Date

The following are the scenarios when a recertify date is recorded in the CTR application:

- Recertify (Last Renewal) date is recorded when an exemption gets recertified.
- Recertify (Last Renewal) date is not recorded when an exemption is exempted for the first time.

In Revoke Review

The status of an Exemption can be changed to In-Revoke Review in the following scenarios:

- When a supervisor views an Exemption which is in the status of Pending Revoke Review, the status changes to In Revoke Review. The possible actions on In Revoke Review state are Approve Revoke or Reject Revoke.
- Expire Date is not cleared on the Exemption until an exemption is in In Revoke Review status. Clearing of Expire Date on Exempt Entity depends on the supervisor action. If a supervisor takes Reject Revoke action Expire Date stays on the Exempt entity as is. In case of Approve Revoke action Expire Date is cleared from the exemption entity from the immediate effect.

In Recertify Review

The status of an Exemption can be changed to In-Recertify Review in the following scenarios:

- When a supervisor views an exemption which is in Pending Recertify Review, the status changes to In Recertify Review.
- A supervisor can take Approve Recertify action which change Exemption status to Exempt and can extend the expiry date to next one year from the date of Approve Recertify action.

Rejected

The status of an Exemption can be changed to Rejected when Exemptions are denied. This status is considered as inactive status of exemption.

Pending Revoke Review

The status of an Exemption can be changed to Pending Revoke Review when Submit for Revoke Exemption action is taken on Exemption which is in Exempt status.

Pending Recertify Review

The status of an Exemption can be changed to Pending Recertify Review when a user takes Submit for Renewal Approval action on the exemption which is in Recertify status.

Managing Exemption List

This chapter discusses the following topics:

- Accessing Exemption List
- Components of Exemption List Page
- Searching and Viewing Exemption List

Accessing Exemption List

The Exemption List page is available for users with appropriate roles.

To access Exemption List,

1. Click **Exemption List** button from Priority Exemptions tab in Home page.
(Or)
2. Mouse over Exemptions tab in the application and click **Search and List** submenu.

The Exemption List page is displayed.

Exempt ID	Entity Name	Entity ID	TIN	Exempt Date	Initiate Recert Start	Last Renewal Date	Expire Date	Status	Owner
4	AC SHILPA	ACBSACTRC...	Tax ID	11/09/2014	--	--	--	Open	EXANALYST

Figure 46. Exemption List

Components of Exemption List Page

The Exemption List page is composed of the following components:

- Exemption List Header
- Check boxes
- Action Buttons
- Column Headings

Exemption List Header

The header contains the title as Exemption List.

Check boxes

Check boxes are provided at the beginning of each row in the Exemption List matrix. Select these boxes to take action on Exemption List records and deselect the check box to clear it. A user can select a record from Exemption List page and take actions.

Action Buttons

The system provides the following action buttons that appear above the list of Exemption List:

- **Action:** This option allows you to set an action for the selected Exemptions.
- **Email:** This option allows you to email Exemption List IDs.
- **Expand All:** This option allows you to expand the complete details for the items where text cannot be accumulated in the column length. This can be vice versa if you click **Collapse All**, and this takes you to the original view of Exemption List.

Column Headings

Column headings provide labels that tell you what kind of information displays in the columns. Most of the column headings in the Exemption List matrix are sortable.

Right click on the column heading to sort the display. A list of sorting menu displays. For example, Ascending, Descending, Clear Sort, Field Chooser, and Transpose. Select the relevant sorting option. The Currency Transaction Reporting application refreshes the list and re-sorts the Exemption List records based on the selected criteria.

The Exemption List will have the following column headings:

- Exemption ID
- Entity Name
- Entity ID
- TIN
- Exempt Date
- Initiate Recert Start
- Last Renewal Date
- Expire Date
- Status
- Owner

Searching and Viewing Exemption List

The Exemption List page displays the summary information of the Exemptions viewable for the current user.

To search Exemption List, mouse hover Exemptions tab in application and click **Search and List**. The Exemption List page displays.

The screenshot shows the 'Exemption List' page. At the top, there are navigation tabs: Home, Exemptions (selected), and Reports. Below the tabs, the breadcrumb 'Exemptions >> Search and List' is visible. A search bar contains 'My Open Exemptions' and a search icon. Below the search bar, there are icons for 'Expand All', 'Action', and 'E-mail'. The main content is a table with the following columns: Exempt ID, Entity Name, Entity ID, TIN, Exempt Date, Initiate Recert Start, Last Renewal Date, Expire Date, Status, and Owner. The table contains one row with the following data: Exempt ID: 4, Entity Name: AC SHILPA, Entity ID: ACBSACTRC..., TIN: TaxID, Exempt Date: 11/09/2014, Initiate Recert Start: --, Last Renewal Date: --, Expire Date: --, Status: Open, Owner: EXANALYST.

Exempt ID	Entity Name	Entity ID	TIN	Exempt Date	Initiate Recert Start	Last Renewal Date	Expire Date	Status	Owner
4	AC SHILPA	ACBSACTRC...	TaxID	11/09/2014	--	--	--	Open	EXANALYST

Figure 47. Exemption List

This section details about following topics:

- Searching Exemption List Using Search/Advanced Components
- Searching Exemption List Using Pre-defined Views

Searching Exemption List Using Search/Advanced Components

This page allows you to filter the Exemption List using the search components. To search Exemption List using search components, follow these steps:

1. Mouse over Exemptions tab in application and click **Search and List**. The Exemption List page displays.
2. Click **Search/Advanced Search**. The search components page displays.

The screenshot shows the 'Exemption List Search Components' page. At the top, there are navigation tabs: Home, Currency Transaction Reports, E-File, Exemptions (selected), and Reports. Below the tabs, the breadcrumb 'Exemptions >> Search and List' is visible. A search bar contains 'Search' and a search icon. Below the search bar, there are icons for 'Views', 'Advanced Search', 'Clear', and 'Go'. The main content is a search form with the following fields: Entity Type (dropdown), Exempt Class (dropdown), TIN Format (dropdown), Entity Identifier (text), Entity Name (text), Status (dropdown), Owner (dropdown), TIN (text), Initiate Recertify Start Date >= (text), Initiate Recertify Start Date <= (text), Expiration Date >= (text), Expiration Date <= (text), and Search by Exemption ID (text). Below the search form, there is a note: 'Note : Search by Exemption ID will ignore all other search criteria.' Below the note, there are icons for 'Expand All', 'Action', and 'E-mail'. The main content is a table with the following columns: Exempt ID, Entity Name, Entity ID, TIN, Exempt Date, Initiate Recert Start, Last Renewal Date, Expire Date, Status, and Owner. The table is empty, and a message at the bottom says: 'No data met the selected filter criteria. Please enter new filter criteria.'

Figure 48. Exemption List Search Components

Figure 49. Exemption List Advanced Search Components

3. Enter the search components and click **Go**. The relevant search list page displays.

Searching Exemption List Using Pre-defined Views

This option allows you to filter the Exemption List using the pre-defined views.

To search Exemption List using pre-defined views, follow these steps:

1. Mouse hover Exemptions tab in application and click **Search and List**. The Exemption List page displays.
2. Select any pre-defined views from Views drop-down list (for example, **My Open Exemptions** record, All Open Exemptions and so on). The relevant search list page displays.

Note: If there are more than 15 Exemptions for a search criterion, the CTR application will automatically display pagination option.

Views are predefined search available to a user with access to Exemption search and list page. The list of view would differ based on each role. Results returned from views would be filtered based on user jurisdiction and business domain.

The below table shows the various views that are accessible to users with different roles:

Table 15. Pre-Defined Exemption Views Table

Views	Exemption Analyst	Supervisor
My Open Exemptions	Displays exemption which is in open status and where the current user is the owner. This view is selected as the default view for this user.	Displays exemptions which are in open status and where the current user is the owner
All Open Exemptions	Displays all open an exemption to which user has access to.	Displays all open exemptions to which user have access to.
Recertify Exemptions	Displays all exemptions which are Recertify Exemption status which are owned by current user.	Displays all exemptions which are in 'Recertify' status
Recent Rejected Exemptions	All exemptions which are Rejected in last 15 days which are owned by current user and currently in 'Rejected' status.	Displays all exemptions which are rejected in last 15 days and in 'Rejected' status.
Recent Revoked Exemptions	Displays exemptions which are 'Revoked' in last 15 days owned by the current user which are currently in status of 'Revoked'.	Displays exemptions which are 'Revoked' in last 15 days and in status of 'Revoked'.
Pending Review	Displays all Exemptions which are owned by current user and whose status is in Pending Review	Displays all exemptions which are in 'Pending Review' status. This view is selected as the default view for this user.
Pending Revoke Review	Displays all Exemptions which are owned by current user and whose status is in Pending Revoke Review	Displays all exemptions which are in 'Pending Recertify Revoke Review' status.
Pending Recertify Review	Displays all Exemptions which are owned by current user and whose status is in Pending Recertify Review	Displays all Exemptions which are in 'Pending Recertify Review' status.

Table 15. Pre-Defined Exemption Views Table

Views	Exemption Analyst	Supervisor
In review	Displays all Exemptions which are owned by current user and whose status is in In Recertify Review	Displays all Exemptions which are in 'In Review' status
In Revoke Review	Displays all Exemptions which are owned by current user and whose status is in In Revoke Review	All Exemptions which are in 'In Revoke Review' status
In Recertify Review	Displays all Exemptions which are owned by current user and whose status is in In Recertify Review	Displays all Exemptions which are in 'In Recertify Review' status

Managing Exemption Details Page

This chapter focuses on the following topics:

- Viewing Exemption Details Pagee
- Exemption Context
- Exemption Details Tabs
- Performing an action on a Exemption
- E-mailing an Exemption
- Editing Exemption Details
- Adding Comments to an Account
- Adding Attachments to an Account Record
- Removing Attachments from an Account Record
- Viewing Attachments of an Account Record
- Adding Comments to a Customer
- Adding Attachments to a Customer
- Removing Attachments from a Customer
- Viewing Attachments of a Customer
- Adding Attachments to an Exemption
- Removing Attachments from an Exemption
- Viewing Attachments of an Exemption

Viewing Exemption Details Page

An Exemption Details page displays detailed information about an Exemption. In the CTR application, a user can view an Exemption Details page in the following ways:

- In the CTR application home page under the Priority Exemptions tab, click the required Exemption ID to view the Exemption Details page.
- A user can also view an Exemption Details page from the Exemption IDs displayed in the Exemption List page.

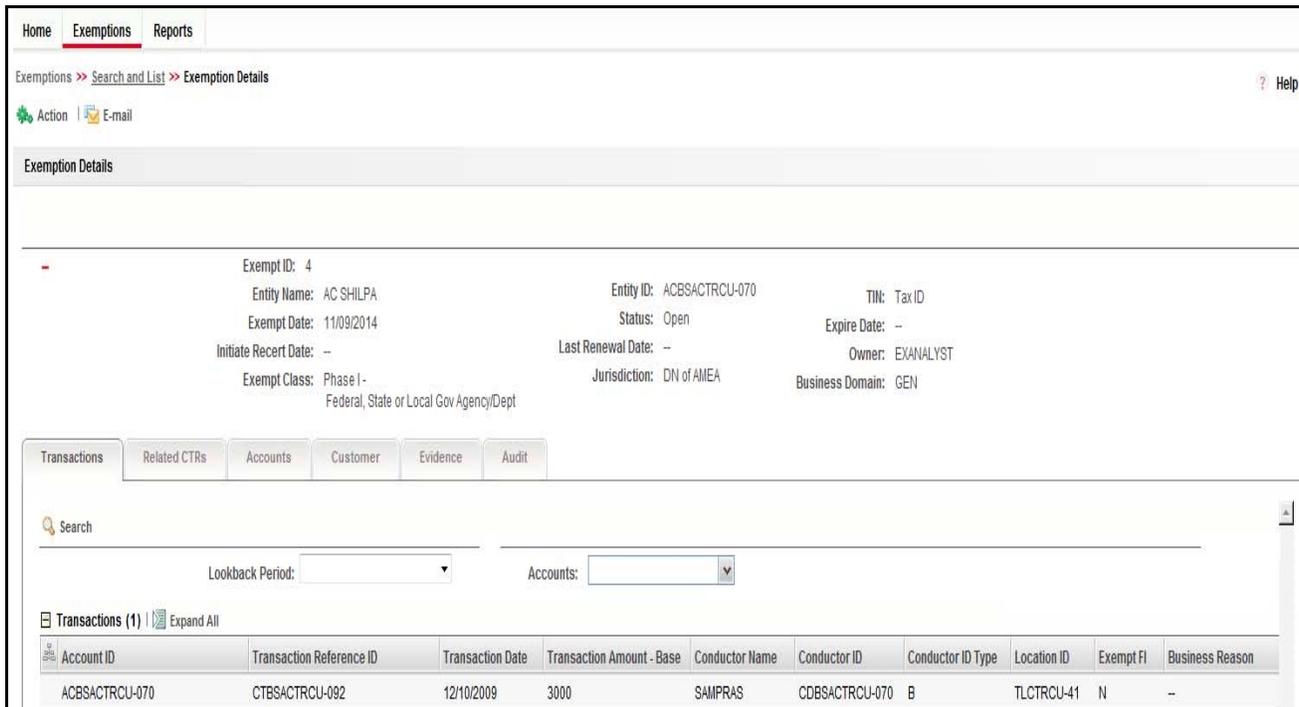


Figure 50. Exemption Details Page

The following are the components of Exemption Details page:

- Exemption Context
- Exemption Details Tabs

Exemption Context

Exemption Details displays the detailed information about a Exemption. By default, Exemption ID, Expire Date, and Entity Name details are displayed. Click  button to expand the Exemption Details to display the following details:

- Exemption ID
- Entity Name
- Entity ID
- TIN
- Exempt Date
- Status
- Expire Date
- Initiate Recert Date
- Last Renewal Date
- Owner
- Exempt Class

- Jurisdiction
- Bus Domain

The following table explains the field descriptions of the Exemption Details page:

Table 16. Exemption Details

Field	Description
Exemption ID	The ID generated for the Exemption.
Entity Name	Entity type concatenated with Name of the exempt Entity from the exemption table.
Entity ID	Entity ID from the exemption table. Based on the Customer or Account Identifier on which the exemption is created.
Owner	The current owner of the Exemption.
Jurisdiction	Jurisdiction of the exempt entity from the exemption table. This field is populated based on the Customer or an Account.
Domain	This field represents the business domain of the exempt entity. This field is based on the domain of the customer or account on which the exemption has been created.
TIN	This field represents the tax identifier format and Tax Identifier of the account or customer on which the exemption is created.
Exempt Date	Date on which Exemption is granted on the focus of the exemption.
Expire Date	Expiry date of exemption.
Initiate Recert Date	Initiate Recertify start date is the date by which the recertification process for the entity's exemption renewal must begin.
Last Renewal Date	The date on which the exemption was last renewed. This field would be blank for the exemptions which are newly created or exemptions which did not go through a single recertify cycle.
Exempt Classification	The grouping of exemption under any one of the FinCEN granted Exempted Person category. The user has to select any one group from the following drop down options while creating an exemption and also at further stage of the exemption life cycle: Phase I - Bank Phase I - Federal, State or Local Gov Agency/Dept Phase I - Entity Exercising Govt'l Authority w/in US Phase I - NYSE/ASE Listed; NASDAQ Mkt Sec Listed Phase I - Subsidiary of NYSE/ASE Listed; NASDAQ Mkt Sec Listed Phase II - Payroll Customer Phase II – Eligible Non-Listed Business
Status	The current status of the Exemption.

**Exemption Details
Tabs**

The Exemption Details page displays the following Exemption Details tabs:

- **Transaction:** The transaction tab on an Exemption Details page provides information on the transactions associated with the Audit CTRs and Related CTRs where the Exempt Entity or its accounts appears as beneficiary, originator of the transaction. When an exemption is on Account, the transaction tab will show transaction/s where the exempt account appears on a transaction associated with any of the currency transactions which have been

included in any CTR.

When an exemption is on a Customer ID, the transaction tab displays all transactions that have been matched to a CTR where the account on the transaction is mapped to the Exempted Customer ID or is owned by the exempt Customer. A user can filter transactions either selecting the Lookback Period drop-down options or by selecting both Lookback Period and Account drop-down options. If the transactions list exceeds 15 records, the CTR application will display the pagination options.

Note: By default in the All Transaction and All Accounts are selected in the Lookback Period filter and Account filter respectively.

The Transaction tab includes the following fields.

- Acct ID
- Trans Ref
- Trans Dt
- Trans Type
- Trans Am - Base
- Conductor Name
- Conductor ID
- Conductor ID Type
- Location ID
- Exempt Fl
- Bus Reason
- **Related CTRs:** The Related CTRs displays all CTRs and Audit CTRs where the exempt entity appears as Involved Party. If the exemption is on Account, all the CTRs are displayed on which the exempt account exists in any of the transaction. If the exemption is on Customer, all the CTRs are displayed on which exempt entity exist as a person involved in the transaction. A user can filter transactions by selecting the Lookback Period drop-down options. If the Related CTRs list exceeds 15 records, the CTR application will display the pagination options.

Related CTRs displays the following fields:

- CTR ID
- CTR Title
- CTR Focal Entity
- CTR type
- Transaction Date
- Source
- Status

- Created date
- Due Date
- Owner
- Cash-in amount
- Cash-out amount

A user with a CTR Supervisor role can click on the CTR IDs in the Related CTRs list page to navigate to CTR Details page subject to access to business domain and jurisdiction similar to the CTR ID. A user with no access to business domain and jurisdiction of the selected CTR cannot view the hyper link on the CTR IDs in Related CTRs list page.

- **Accounts:** The Accounts tab displays list of all the accounts that are exempted under the Current exemption ID. If the exemption is on AC, Account tab would display only one Account. If the exemption is on Customer ID, Account tab would display all the accounts where customer has an owning role and is mapped to the Customer ID.

When new accounts are mapped to the exempted Customer ID in the business data, the CTR application displays those newly mapped accounts while viewing an exemption on a Customer ID. New accounts are automatically exempted for the exempt customer if customer has owning role on the newly added accounts. The accounts in the account list page are sorted based on the Account Open Date in a chronological (Descending) order. If the date of Account open is same then the accounts are sorted by the Account Number in ascending order. By default, the first account is selected and viewed in the account list page.

The Account tab has the following three LHS menu options:

- Details
- Comments
- Attachments

The Account list page displays the account records displaying the following fields:

- Account ID
- Type
- Account Name
- Open Date
- Status
- Branch
- TIN concatenate format code + Account Tax Identifier

The Details LHS menu option in Account list displays detailed information of a selected account with following fields:

- Account ID

- Account Type concatenation of Account Type 1 and Account Type 2 fields
- Account Name
- Account Status
- Reporting Currency
- Business Domain
- Account Purpose
- Open Date
- Last Activity Date
- Prmry Customer ID
- TIN concatenate format code + Account Tax Identifier
- Registration Type:
- **Customer:** The Customer tab displays only one customer record for the exempt customer. If the exempt entity is of type Account this list would display all customers currently having an owning role on the exempt account. The Customer tab has the following five LHS menu options:
 - Details
 - Contact Info
 - Accounts
 - Attachment
 - Comments

The Details LHS menu option in Customer list displays detailed information of a selected customer with following fields:

- Cust ID
- Cust Type
- Cust Name
- Legal Structure
- Org Name
- Bus Domain
- Dt of Incorporation
- Total No of Acct
- Industry
- NAICS Code
- ID Issuing Country
- TIN
- Cust Status

- Open Date
- Credit Rating
- Country of Taxation
- Reg Type

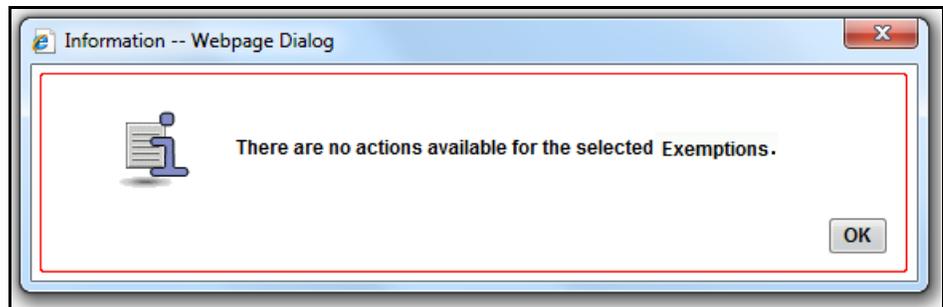
The Contact Info LHS menu displays the contact information of the selected customer. The Account LHS menu option displays all the accounts that are mapped to the selected Customer ID where customer has owning role.

- **Evidence:** The Evidence tab displays the comments and documents associated with the Exemption. It allows a user to add comments and add or remove documents. The records are displayed in reverse chronological order.
- **Audit:** The Audit tab displays the history of actions taken on the Exemption along with the comments and attachments provided for each action.

Performing an action on a Exemption

In Exemption application, a user can perform an action on an Exemption based on user roles and the current status of an Exemption.

Note: If no action is available for the selected Exemptions, the following Information window is displayed.



To perform an action on an Exemption, follow the below steps:

1. Select one or more Exemptions from the Exemption List page and then click **Action** button to take action on multiple Exemptions. (Or)
2. Click on the Exemption ID from the Exemption List page to view its details, and click **Action** button from Exemption Details page.

The screenshot shows a web browser window titled "http://ofss220074.in.oracle.com:59810/ - Actions - Windows Internet ...". The main content area contains a form with the following elements:

- Selected Exemption ID:** A text input field containing the number "4".
- Select Action:** A dropdown menu.
- Assign To:** A dropdown menu.
- Comments:** A large, empty text area.
- Cancel:** A button located at the bottom center of the form.

Figure 51. Actions Window

3. Enter the required fields as explained in the following table.

Table 17. Exemptions Action Window Field Description

Field	Description
Selected Exemption ID	This field displays the IDs that were selected from Exemption List results. This field is not editable.
Select Action	<p>The action button allows you take following actions on Exemptions depending upon the user role and the current status.</p> <p>Actions available for Exemption Supervisor Role</p> <ul style="list-style-type: none"> ● Reassign ● Submit for Approval ● Close ● Recommend Recertify ● Recommend Do Not Recertify ● Approve Recertify ● Reject Recertify ● Approve Exemption ● Reject Exemption ● Revoke Exemption ● Approve Revoke ● Reject Revoke ● Recertify ● Reopen <p>Actions available for Exemption Analyst Role</p> <ul style="list-style-type: none"> ● Reassign ● Submit for Approval ● Close ● Recommend Recertify ● Recommend Do Not Recertify ● Recertify ● Reopen ● Revoke Exemption

Table 17. Exemptions Action Window Field Description

Field	Description
Assign To	<p>This option is a single selectable drop-down field displaying the users to whom the Exemption can be assigned to. This field is enabled only when a user selects any of the following actions in the Select action field:</p> <ul style="list-style-type: none"> ● Reassign ● Submit for approval ● Recommend Recertify ● Recommend Do Not Recertify ● Revoke Exemption ● Reopen ● Recertify
Due Date	Enter the due date for the selected Exemptions.
Comments	Enter comments in the field.

4. Click **Save**

The requested action is performed on the selected Exemptions.

Note: A user can perform a re-open action from the exemptions which are in closed status (Closed/Rejected/Revoked) if there exist an Exemption on the same entity or on Customer ID in the Active or In process of being created.

E-mailing an Exemption

To E-mail an Exemption, follow the below steps:

1. Select one or more Exemptions from the Exemption List page and click **E-mail** button to E-mail multiple Exemptions.
(Or)
2. Click on a Exemption ID from the Exemption List page to view its details, and click **E-mail** button from Exemption Details page.

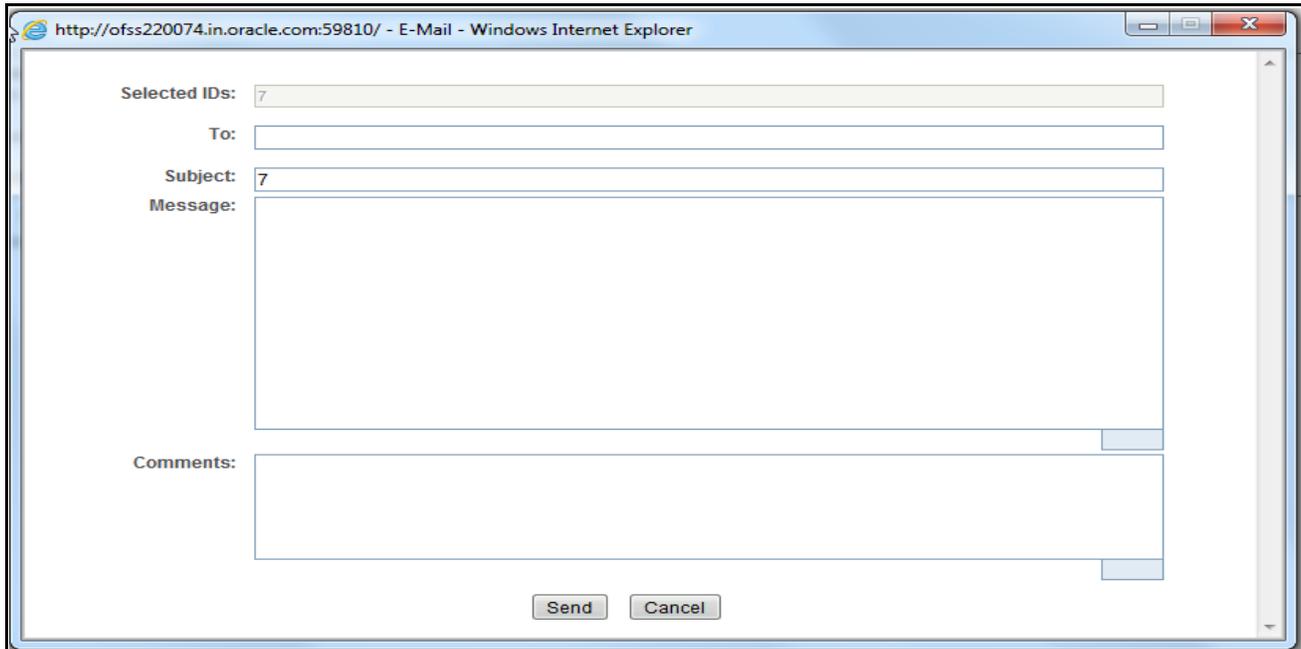


Figure 52. E-mail Window

3. Enter the required fields as explained in the below table:

Table 18. Exemption E-mail Window Field Descriptions

Field	Description
Selected Exemptions	This field pre-populates the Exemption IDs that were selected for sending e-mail. This field is a non-editable list of comma-separated Exemption IDs.
To	Enter semi-colon separated E-mail IDs of multiple recipients.
Subject	Editable list of comma-separated Exemption IDs. The maximum length 150 characters.
Message	Enter the message for the email recipients.
Comments	Enter comments in this field.

4. Click **Save**.

An e-mail is sent to the specified recipients with the entered details.

Editing Exemption Details

To edit exemption details information in a CTR, following the below steps:

1. In the Exemption Details page, click **Edit** to open the following pop-up window:

Figure 53. Edit Context window

2. You can only edit Exempt Class, Entity Name and add Comments in the Edit Context window.
3. Edit the required exemption details information and click **Save**.

The Exemption Details page gets updated.

Adding Comments to an Account

To add a comment to an account, follow the below steps:

1. In the Exemption Details page, click **Accounts** tab to display all accounts that are exempted under the viewed exemption ID.
2. Select a record from the list of Accounts.
3. Select **Comments** from LHS menu option to display all comments related to the particular account.
4. Click **Add** button to add a comment.

The Add Comment window is displayed.

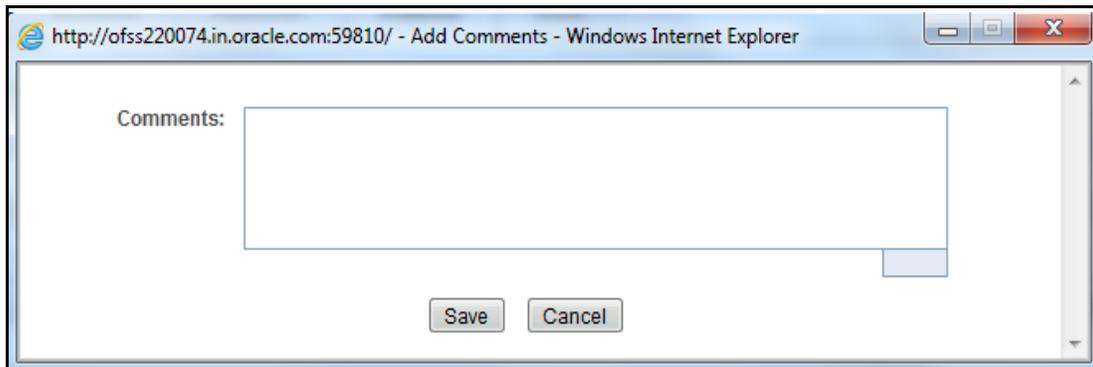


Figure 54. Exemption Add Comments Window

5. Enter comments in the comments field and click **Save**.

A confirmation window is displayed.

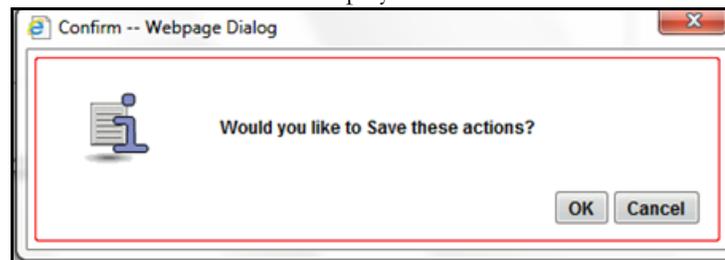


Figure 55. Exemption Add Comments Confirmation Window

6. Click **OK** to confirm the addition of comments to the selected account record.

Adding Attachments to an Account Record

To add an attachment to an account, follow the below steps:

1. In the Exemption Details page, click **Accounts** tab to display all accounts that are exempted under the viewed exemption ID.
2. Select a record from the list of Accounts.
3. Select **Attachments** from LHS menu option to display all attachments related to the particular account.
4. Click **Add** button to add a comment.

The Add Attachments window is displayed.

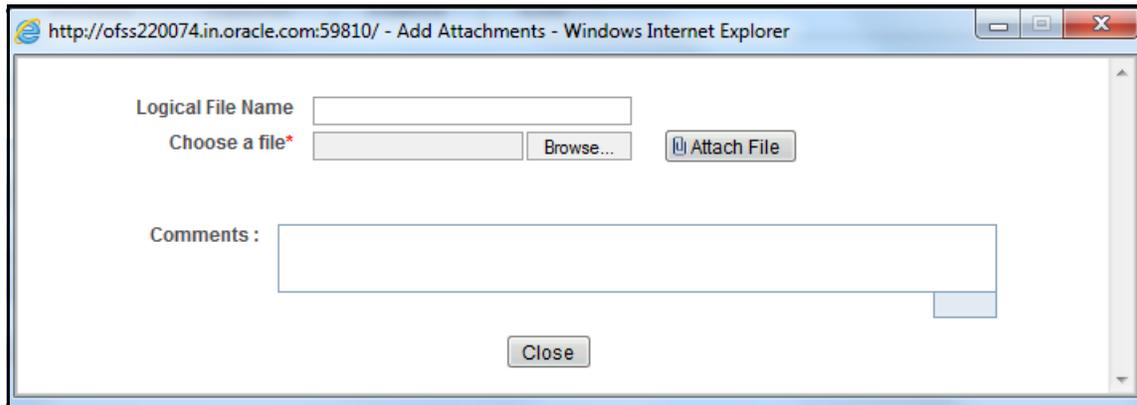


Figure 56. Exemptions Add Attachments Window

5. Enter a logical file name for the attachment in the Logical File Name text field. This field is not a mandatory field.
6. Click **Browse** button to select files to attach from **Choose File to Upload** window. You can also enter comments for the attachment(s) in the Comments field.
7. Click **Attach File**.
An Information window is displayed.

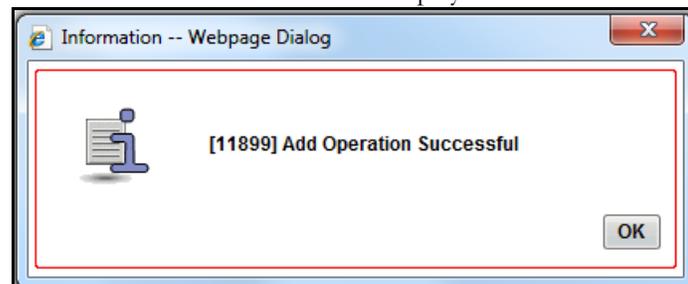


Figure 57. Exemption Information Window

8. Click **OK**.
The attachment is added to the selected account record and the user returns to Add Attachments window.
9. You can choose to add multiple attachments or click **Close** to close the Add Attachment window
The Attachment page displays the updated list of attachments.

Removing Attachments from an Account Record

To remove an attachment from an account, follow the below steps:

1. In the Exemption Details page, click **Accounts** tab to display all accounts that are exempted under the viewed exemption ID.
2. Select a record from the list of Accounts.

3. Select **Attachments** from LHS menu option to display all attachments related to the particular account.
4. Click on the attachment icon in the attachment column to view the required attachment.

An Attachment List window is displayed.

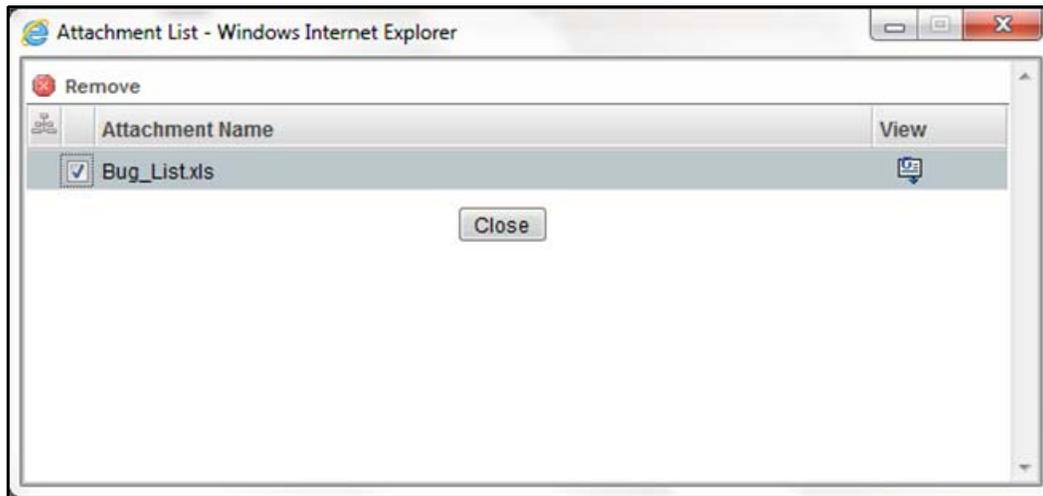


Figure 58. Exemption Attachment List

5. Select the required attachment and click **Remove**.
The following window displays:
6. Add comments in the Comments field.
7. Click **Save**
A Confirm window is displayed.
8. Click **OK** to confirm the removal of the attachment.
The Attachment page displays the updated list of attachments for the selected account record.

Viewing Attachments of an Account Record

1. To view the attachments of an account record, follow the below steps:
In the Exemption Details page, click **Accounts** tab to display all accounts that are exempted under the viewed exemption ID.
2. Select a record from the list of Accounts.
3. Select **Attachments** from LHS menu option to display all attachments related to the particular account.
4. Click on the attachment icon in the attachment column to view the required attachment.

An Attachment List window is displayed.

5. Select the required attachment and click **View**

A File Download window is displayed.

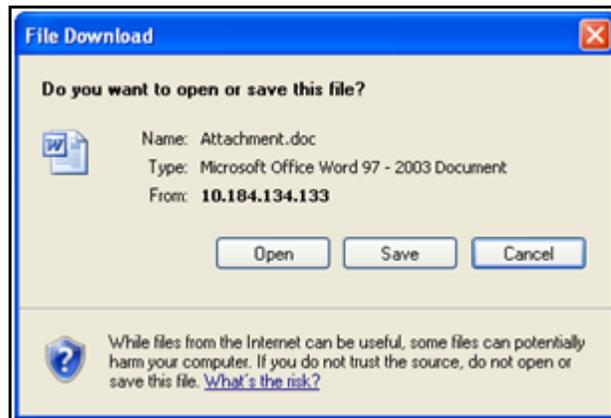


Figure 59. Exemption Attachment File Download Window

6. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine.

Click **Cancel** to return to the Attachment list page.

Adding Comments to a Customer

To add a comment to a customer, follow the below steps:

1. In the Exemption Details page, click **Customer** tab to display the customer details of the exempt customer. If the exempt entity is of type Account this list displays all customers currently having an owning role on the exempt account.
2. Select a record from the list of customers.
3. Select **Comments** from LHS menu option to display all comments related to the particular customer.
4. Click **Add** button to add a comment.
The Add Comment window is displayed.
5. Enter comments in the comments field and click **Save**.
A confirmation window is displayed.
6. Click **OK** to confirm the addition of comments to the selected customer.

Adding Attachments to a Customer

To add an attachment to a customer, follow the below steps:

1. In the Exemption Details page, click **Customer** tab to display the customer details of the exempt customer. If the exempt entity is of type Account this list displays all customers currently having an owning role on the exempt account.
2. Select a record from the list of customers.
3. Select **Attachments** from LHS menu option to display all attachments related to the particular customer.
4. Click **Add** button to add a comment.
The Add Attachments window is displayed.
5. Enter a logical file name for the attachment in the Logical File Name text field.
This field is not a mandatory field.
6. Click **Browse** button to select files to attach from **Choose File to Upload** window. You can also enter comments for the attachment(s) in the Comments field.
7. Click **Attach File**.
An Information window is displayed.
8. Click **OK**.
9. The attachment is added to the selected customer record and the user returns to Add Attachments window.
10. You can choose to add multiple attachments or click **Close** to close the Add Attachment window
The Attachment page displays the updated list of attachments.

Removing Attachments from a Customer

To remove an attachment from a customer, follow the below steps:

1. In the Exemption Details page, click **Customer** tab to display the customer details of the exempt customer. If the exempt entity is of type Account this list displays all customers currently having an owning role on the exempt account.
2. Select a record from the list of customers.
3. Select **Attachments** from LHS menu option to display all attachments related to the particular customer.
4. Click on the attachment icon in the attachment column to view the required attachment.
An Attachment List window is displayed.
5. Select the required attachment and click **Remove**
6. Add comments in the Comments field.
7. Click **Save**.
A confirm window is displayed.
8. Click **OK** to confirm the removal of the attachment.
The Attachment page displays the updated list of attachments for the selected customer record.

Viewing Attachments of a Customer

To view the attachments of a customer, follow the below steps:

1. In the Exemption Details page, click **Customer** tab to display the customer details of the exempt customer. If the exempt entity is of type Account this list displays all customers currently having an owning role on the exempt account.
2. Select a record from the list of customers.
3. Select **Attachments** from LHS menu option to display all attachments related to the particular customer.
4. Click on the attachment icon in the attachment column to view the required attachment.
An Attachment List window is displayed.
5. Select the required attachment and click **View**
A File Download window is displayed. ‘
6. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine.
Click **Cancel** to return to the Attachment list page.

Adding Comments to an Exemption

To add comments to an Exemption, follow the below steps:

1. In the Exemption Details page, click **Evidence** tab to view the list of comments and attachments associated with an Exemption.
2. Click **Add** from Comments list to add a comment.
The Add Comment window is displayed.
3. Enter comments in the comments field and click **Save**.
A confirmation window is displayed.
4. Click **OK** to confirm the addition of comment(s).

Adding Attachments to an Exemption

To add attachments to an Exemption, follow the below steps:

1. In the Exemption Details page, click **Evidence** tab to view the list of comments and attachments associated with an Exemption.
2. Select **Add** from Attachments list to add an attachment.
The Add Attachment window is displayed.
3. Enter a logical file name for the attachment in the Logical File Name text field.
This field is not a mandatory field.
4. Click **Browse** button to select files to attach from **Choose File to Upload** window. You can also enter comments for the attachment(s) in the Comments field.
5. Click **Attach File**.
An Information window is displayed.
6. Click **OK**.
The attachment is added to the Exemption and the user returns to Add Attachments window.
7. You can choose to add multiple attachments or click **Close** to close the Add Attachment window
8. The Attachment page displays the updated list of attachments.

Removing Attachments from an Exemption

To remove attachments from an Exemption, follow the below steps:

1. In the Exemption Details page, click **Evidence** tab to view the list of comments and attachments associated with an Exemption.
2. Click on the attachment icon in the attachment column to view the required attachment.
An Attachment List window is displayed.
3. Select the required attachment and click **Remove**.
4. Add comments in the Comments field.
5. Click **Save**
The Confirm window is displayed.
6. Click **OK** to confirm the removal of the attachment.
The Attachment page displays the updated list of attachments.

Viewing Attachments of an Exemption

1. To view the attachments of an Exemption, follow the below steps:
In the Exemption Details page, click **Evidence** tab to view the list of comments and attachments associated with an Exemption.
2. Click on the attachment icon in the attachment column to view the required attachment.
An Attachment List window is displayed.
3. Select the required attachment and click **View**
A File Download window is displayed.
4. Click **Open** to view the attachment. You can also choose to **Save** the attachment in your local machine.
You can also click **Close** to return to the Attachment list page.

Creating an Exemption

A user can designate a particular account or customer as an Exempt Person from filing Currency Transaction Report by creating an Exemption on Account or Customer and getting Exempt approval from the Supervisor.

Creating Exemption on Customer/Account

A user can create exemptions either on a customer or on an account through the CTR application.

To create exemption on a customer/account, follow these steps:

1. Select **Create Exemptions** from Exemptions menu.

The screenshot shows the 'Create Exemption' search page. At the top, there are navigation tabs: Home, Currency Transaction Reports, E-File, Exemptions (selected), and Reports. Below the tabs, the page title is 'Exemptions >> Create Exemption'. There are 'Clear' and 'Go' buttons. The search criteria section includes:

- Customer ID: [Text Input]
- Customer Name: [Text Input]
- Account ID: [Text Input]
- Limit Search To: [Dropdown Menu]
- TIN Format: [Dropdown Menu]
- TIN: [Text Input]

 Below the search criteria, there are two sections:

- Customers (0)**: Includes an 'Expand All' button and a table with columns: Customer ID, Customer Name, Type, TIN, Ownership Type, Industry, Status, Open Date, Account Count, Exempt ID, Exempt, Exempt Status. A message below the table reads: 'No data met the selected filter criteria. Please enter new filter criteria.'
- Accounts (0)**: Includes an 'Expand All' button and a table with columns: Account ID, Account Name, Type, Status, Account Purpose, Primary Customer ID, Customer Name, TIN, Open Date, Exempt ID, Exempt, Exempt Status. A message below the table reads: 'No data met the selected filter criteria. Please enter new filter criteria.'

 At the bottom of the page, there are 'Create' and 'Cancel' buttons.

Figure 60. Create Exemption Search Page

2. Enter the details in the search fields as described in the following table:

Table 19. Create Exemption Field Description

Field	Description
Customer ID	Enter the Customer ID(s) in this field to search for Customer IDs in the Customer Identifier column in the Customer Table. This field is mutually exclusive of other fields in the Create Exemption search fields. This field allows comma separated search up to 50 characters in length.
Customer Name	Enter the Customer Name to search for Customer Names and associated Customer IDs with ownership role in the Customer Table. This field supports wild card character searching.
Account ID	Enter the Account ID to search for Account IDs in the Account Identifier column in the Account Table. This field allows comma separated search.

Table 19. Create Exemption Field Description

Field	Description
Limit Search To	Select either Account or Customer from Limit Search To drop-down list to limit the Tax Identifier search to Accounts or Customers.
TIN Format	Select any TIN format the following options: EIN Foreign ITIN SSN Tax ID Note: TIN Format, TIN and Limit Search To fields are dependent on each other while performing search. When searching through Tax Identifier, you need to enter TIN Format, TIN and Limit Search To mandatorily.
TIN	Enter the TIN Identifier in this field along with Limit Search To and TIN Format when performing a Tax Identifier search. This field supports comma separated search with a maximum of 50 characters.

3. Click **Search**.
4. If you have selected Limited Search To as Account, the CTR application searches for entered TIN in the Account Table and displays the results of Accounts in the Accounts Grid.

(Or)
If you have selected Limited Search To as Customer, the CTR application searches for entered TIN in Customer Table and displays the results of Customers in Customer Grid.
5. From Accounts results list, when you select a particular account against a particular Account ID, the Customer list gets refreshed to display the Customer ID(s) of customers to which the selected account is mapped and where customers have an owning role on the account.

(Or)
From Customer results list, when you select a particular Customer ID, the Account List records gets refreshed to show all the accounts that are associated with the selected Customer ID.
6. Select either a Customer ID or an Account ID from Customers list records and Account list records respectively on which you want to create an exemption.
7. Click **Create**. A Create Exemption pop up window is displayed.

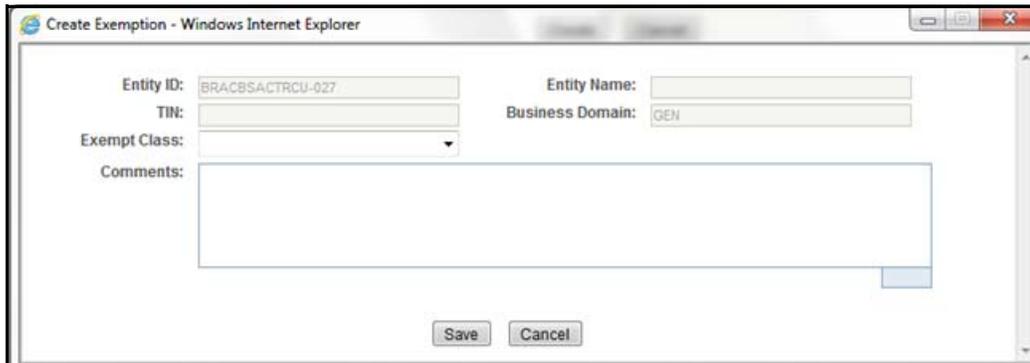


Figure 61. Create Exemption Dialogue window

8. Select an Exempt Class from the drop-down options and enter comments (if any).

Note: Entity ID, Entity Name, TIN, and Business Domain fields in the Create Exemption pop up window are pre-populated and are not editable.

9. Click **Save**.

A confirm window is displayed.

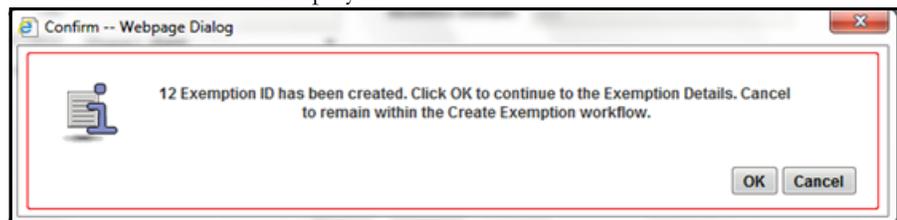


Figure 62. Create Exemption Confirm Window

10. Click **OK**.

A new exemption is created and you are navigated to the Exemption details page.

Note:

- If there exists an exemption on the Customer of the selected account in the active or process of being created/approved the CTR application displays the following message *'An exemption already exists or is in the process of being created/ approved for an owning customer of this Account. This account inherits its exempt status from its exempt owning customer. This action creation action cannot be completed.'*
- If there are exemptions on accounts mapped to the selected customer ID in the status of 'Rejected' 'Closed' or 'Revoked' the CTR application displays the following message *'Inactive Exemption/s exists on the Account(s) mapped to the selected customer ID. Click OK to continue with creating as a new exemption. Click Cancel if you would prefer to discontinue creation. A user can choose to reopen the inactive exemption from the Exemption Search and List page.'*

Generating Reports

This chapter describes how to generate various reports related to CTR, Exemptions and Transaction Logs accessible from Reports menu. The reports are displayed in Column Bar Charts, Tabular Reports, and Line Graphs.

Note: You need to have Oracle Business Intelligence, Enterprise Edition (OBIEE) installed, to access the Reports menu.

This chapter covers the following topics:

- Accessing Reports
- Dashboard Types

Accessing Reports

To access Reports from home page, mouse over Reports menu in the CTR application and click **Reports**.

The screenshot shows the Oracle Business Intelligence Reports interface. At the top, there are navigation tabs: Home, Currency Transaction Reports, E-File, Exemptions, and Reports (which is selected). Below the navigation, there are three main sections:

- Notifications:** A section with a 'Remove' button and a table with columns: ID, Type, Notification Category, and Created Date. The table is currently empty, displaying 'No Data Found'.
- Reports:** A section containing a stacked bar chart titled 'CTR Productivity by Status' for the date 11/22/2014. The chart shows the following categories: Pending DA Review (dark blue), Open (red), New (purple), In DA Review (light blue), and Filed (orange). To the right of the chart is a 'No Results' message: 'The specified criteria didn't result in any data. This is often caused by applying filters and/or selections that are too restrictive or that contain incorrect values. Please check your Analysis Filters and try again. The filters currently being applied are shown below. Status Desc is equal to / is in Recertify'. There is a 'Refresh' link below the message.
- Priority List:** A section with two tabs: 'Priority CTRs' (selected) and 'Priority Exemptions'. Below the tabs is a table with columns: CTR ID, CTR Title, CTR Focal Entity, Type Of Filing, Transaction Date, Source, Status, Created Date, Due Date, Owner, Cash-In Amount, and Cash-Out Amount. The table contains six rows of data:

CTR ID	CTR Title	CTR Focal Entity	Type Of Filing	Transaction Date	Source	Status	Created Date	Due Date	Owner	Cash-In Amount	Cash-Out Amount
7	CTR-11232014-7	TYSON	Initial report	12/10/2009	Alert	Ready for e-File	11/23/2014	12/08/2014	CTRSUPERVISOR	20000	--
8	CTR-11232014-8	DEVBURMAN	Initial report	12/10/2009	Alert	Ready for e-File	11/23/2014	12/08/2014	CTRSUPERVISOR	10001	--
9	CTR-11232014-9	ZHANG NAN	Initial report	12/10/2009	Alert	New	11/23/2014	12/08/2014	--	11200	--
10	CTR-11232014-10	JOHNSON	Initial report	12/10/2009	Alert	New	11/23/2014	12/08/2014	--	--	10536
11	CTR-11232014-11	KOO	Initial report	12/10/2009	Alert	New	11/23/2014	12/08/2014	--	10001	13503
12	CTR-11232014-12	DJOKOVIC	Initial report	12/10/2009	Alert	New	11/23/2014	12/08/2014	--	--	10500

Figure 63. Accessing Reports

The Reports page is displayed. The reports page varies depending upon the users roles.

From Dashboards drop-down menu, you can select **CTR, Exemption, and Transaction Logs** dashboards under CTR submenu option.

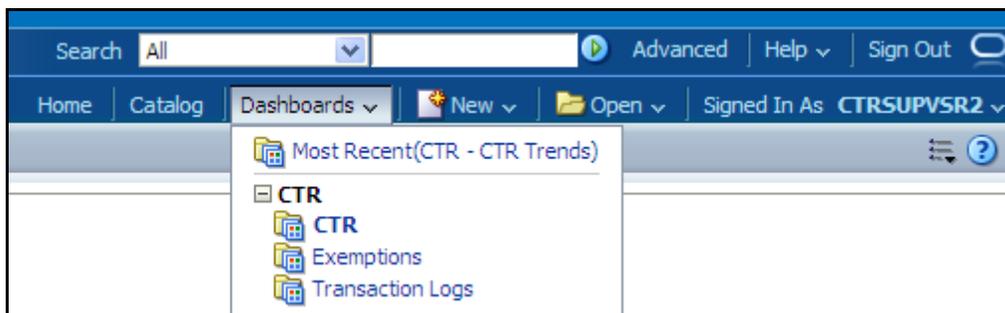


Figure 64. Reports Dashboard List

After selecting a dashboard, various report types related to CTR, Exemption, and Transaction dashboards are displayed in the Reports page depending upon the user role.

CTR Reports-User Role Mapping

The following table illustrates the various CTR Reports that are accessible for each user role.

Table 20. CTR Reports-User Roles Mapping Table

CTR Reports	Roles			
	CTR Analyst	QA Analyst	Exemption Analyst	CTR Supervisor
CTR Productivity by Status				✓
CTR Trends	✓	✓		✓
CTR Detail - TIN Report	✓	✓		✓
High Volume CTR Entities			✓	✓
Revoked Exemptions			✓	✓
Recertify Productivity Report				✓
Exempt Entity Report			✓	✓
New Exemptions Report			✓	✓
Audit CTR Report			✓	✓
MI Transaction Log	✓	✓		✓
Currency Transaction Journal	✓	✓		✓

Dashboard Types

There are three types of dashboards and they are as follows:

- CTR Dashboard
- Exemption Dashboard
- Transaction Logs Dashboard

CTR Dashboard

The following are the reports generated for CTRs Dashboard:

- CTR Productivity by Status
- CTR Trends
- CTR Detail – TIN Report

CTR Productivity by Status

The ‘CTR Productivity by Status’ report shows the CTRs by statuses for the selected transaction dates or CTR due dates. This report is a column bar chart that shows the counts of certain statuses based on current status code of CTR record. This report includes CTRs in all statuses except CTRs in status Filed - Success/Closed - Rejected/Closed - Exempt/Superseded.

Only a user with a Supervisor role can view and generate this report.

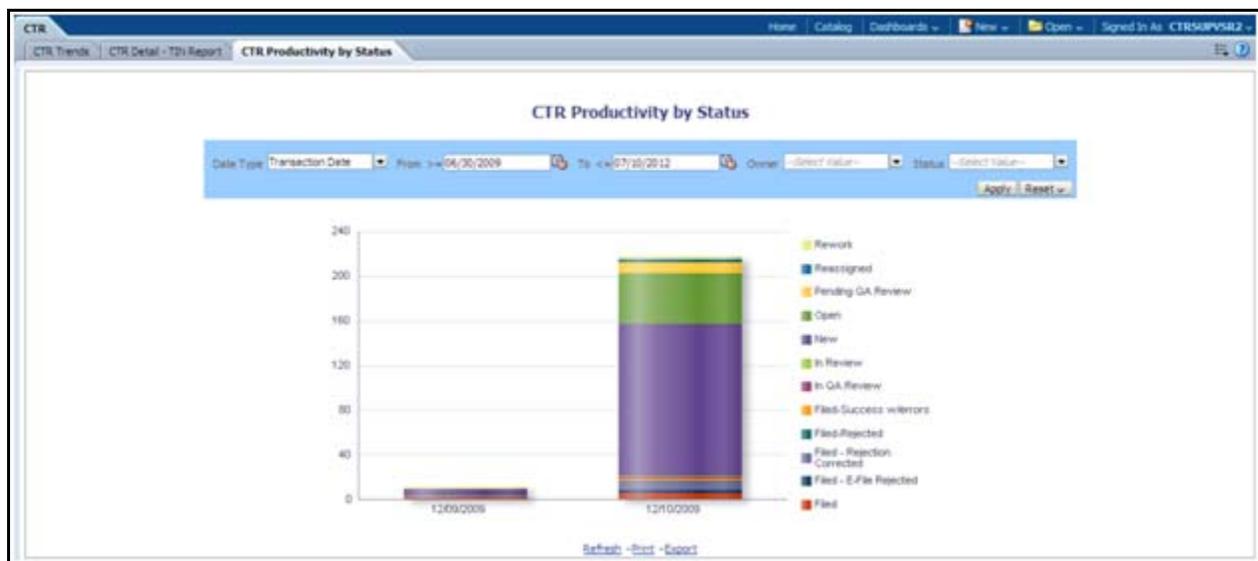


Figure 65. CTR Productivity by Status

To generate CTR Productivity by Status Report, follow these steps:

1. From Reports page, click **Dashboard** drop-down menu to display the list of dashboards.
2. Select **CTR** dashboard.

Different report types related to CTR dashboards are displayed in tabs depending upon the user role.

3. Select **CTR Productivity by Status** tab.
The CTR Productivity by Status page is displayed with default values entered in the filters.
4. To view the CTR Productivity by Status report, enter the details as described in the following table:

Table 21. CTR Productivity by Status Filter Descriptions

Filter Name	Description
Date Type	Select a date type option either as Transaction Date, or as Due Date
From >=	This field defaults to ten days less than the current date.
To <=	This field defaults to current date.
Owner	Select the owner(s) from the multi-select drop-down options.
Status	Select the status from the multi-select drop-down options.

5. Click **Apply**.
A column bar report is displayed. You can also click **Reset** to reset all the field values to default values.
6. Click on the column bar to view the detailed count of each statuses in a tabular format.

Owner	Open	Reassigned	Pending Review	In Review	Pending QA Review	In QA Review	Rework	Ready for e-File	Filed	Filed-Success w/errors	Filed-Rejected	Filed - Rejection Corrected
CTRANALYST2	3	6	0	0	0	0	0	0	0	0	0	0
CTRSUPVSR2	3	0	0	0	0	1	1	0	2	0	0	1
ctrsupervisor	17	0	0	1	0	0	0	0	0	0	0	0
	5	0	0	0	46	6	0	0	2	0	2	0

Figure 66. CTR Productivity by Status Detailed Report

7. You can also choose to **Refresh**, **Print**, **Export** and **Create Bookmark Link** the displayed report.
8. Click **Return** to go back to the CTR Productivity by Status column bar report

CTR Trends

The CTR Trends report includes CTR Processing Trends - Internal and CTR Processing Trends - FinCEN Acknowledgements. This section includes the following two topics:

- Generating CTR Processing Trends- Internal
- Generating CTR Processing Trends - FinCEN Acknowledgements

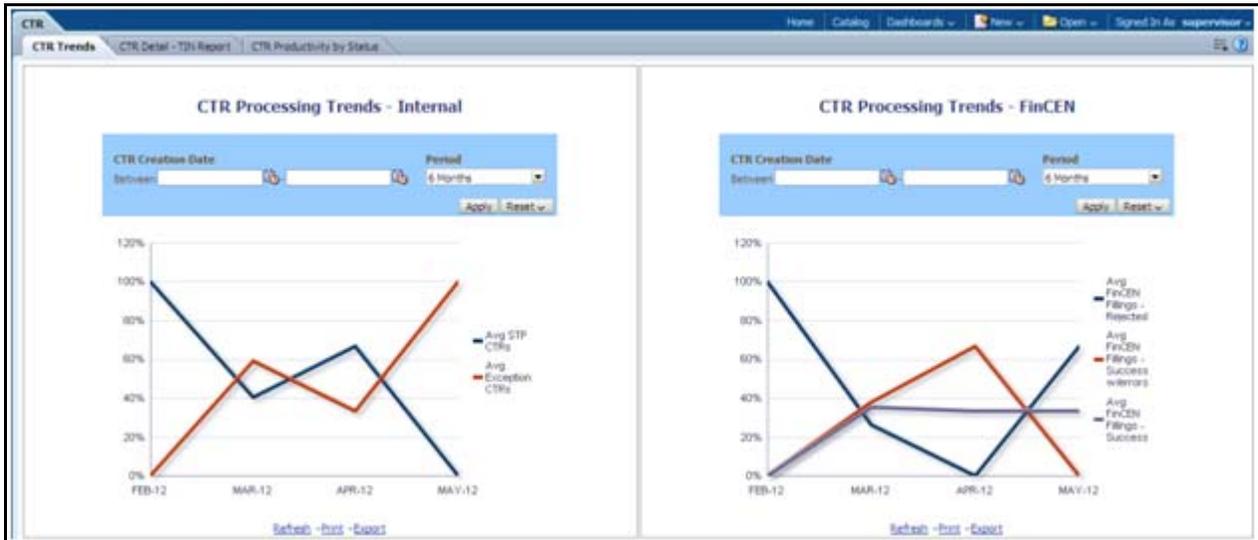


Figure 67. CTR Trends

Generating CTR Processing Trends- Internal

The Generating CTR Processing Trends- Internal report shows the trends of CTRs based on those that require exception processing those that are handled in straight through processing (STP). This report measures the Avg STP CTRs and Avg Exception CTRs. This line graph report includes CTRs that are in the following statuses at the time of report generation and within a specified date range:

- Closed - Rejected
- Filed - Success
- Filed - Success w/Errors
- Filed - Rejected
- Filed - Rejection Corrected

To generate the CTR Processing Trends- Internal report, follow these steps:

1. From Reports page, click **Dashboard** drop-down menu to display the list of dashboards.
2. Select **CTR** dashboard.

Different report types related to CTR dashboards are displayed in tabs depending upon the user role.

3. Select CTR Trends tab.

The CTR Processing Trends- Internal and the CTR Processing Trends - FinCEN Acknowledgements page is displayed with default values entered in the filters.

- To view the CTR Processing Trends- Internal report, enter the details as described in the following table:

Table 22. Generating CTR Processing Trends - Internal Filter Descriptions

Filter Name	Description
CTR Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
CTR Creation Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Period	Select a period from the drop-down options. This field defaults to six months.

- Click **Apply**.
 A line graph report showing CTR Processing Trends- Internal is displayed. You can also click **Reset** to reset all the field values to default values.
- You can choose to Refresh, Print and Export the displayed report.

Generating CTR Processing Trends - FinCEN Acknowledgements

CTR Processing Trends - FinCEN Acknowledgements report shows the trend of CTRs filed successfully or with failure based on the acknowledgements from FinCEN within a specified range. This report measures the Avg FinCEN Filings - Rejected, Avg FinCEN Filings - Success w/errors, and Avg FinCEN Filings – Success.

This line graph report includes CTRs that are in the following statuses at the time of report generation and within a specified date range:

- Filed - Success
- Filed - Success w/Errors
- Filed - Rejected (include in this count also Filed - Rejection Corrected)

To generate the CTR Processing Trends - FinCEN Acknowledgements report, follow these steps:

- From Reports page, click **Dashboard** drop-down menu to display the list of dashboards.
- Select **CTR** dashboard.
 Different report types related to CTR dashboards are displayed in tabs depending upon the user role.
- Select **CTR Trends** tab.

The CTR Processing Trends- Internal and the CTR Processing Trends - FinCEN Acknowledgements page is displayed with default values entered in the filters.

- To view the CTR Processing Trends - FinCEN Acknowledgements report, enter the details as described in the following table:

Table 23. Generating CTR Processing Trends - FinCEN Acknowledgements Filter Descriptions

Filter Name	Description
CTR Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
CTR Creation Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Period	Select a period from the drop-down options. This field defaults to six months.

- Click **Apply**.
A line graph report showing CTR CTR Processing Trends - FinCEN Acknowledgements is displayed. You can also click **Reset** to reset all the field values to default values.
- You can choose to Refresh, Print and Export the displayed report.

CTR Detail – TIN Report

The CTR Detail – TIN Report shows the CTR history for last two years on each TIN with various accounts on a TIN with ‘Cash Ins’ and ‘Cash Outs’ amounts. This tabular report displays the CTR Count, TIN #, Total Cash In Amount, and Total Cash Out Amount. This report includes the CTRs in the following statuses:

- Filed – Success
- Filed - Success w/errors
- Closed - Exempted status (If Include Exempted CTRs option is set to Y)

The screenshot shows the 'CTR Detail - TIN Report' interface. At the top, there are navigation tabs for 'CTR Trends', 'CTR Detail - TIN Report', and 'CTR Productivity by Status'. Below the tabs is a filter bar with the following fields: 'CTR Create Date' (Between: 07/12/2010 to 07/12/2012), 'SSN/TIN' (empty), 'SSN/TIN Format' (Select state), and 'Include Exempted CTRs' (Y). There are 'Apply' and 'Reset' buttons. Below the filter bar is a table with the following data:

CTR Count	TIN #	Tot Cash In Amt	Tot Cash Out Amt
1	SSN 554455608	600	600
3	SSN 554455608	154500	154500
1	SSN 554455703	900	900
1	SSN MY-01	900	900
1	SSN MY-02	38426	38426
1	SSN MY-07	16700	16700
1	SSN MY-08	900	900
1	Tax ID TAXCIBPRCOUTLSHAC-01	1005000	1005000

At the bottom of the table, there are 'Refresh', 'Print', and 'Export' buttons.

Figure 68. CTR Detail – TIN Report

To generate the CTR Detail – TIN Report, follow these steps:

- From Reports page, click **Dashboard** drop-down menu to display the list of dashboards.
- Select **CTR** dashboard.

Different report types related to CTR dashboards are displayed in tabs depending upon the user role.

3. Select CTR Detail – TIN Report tab.
 The CTR Detail – TIN Report page is displayed with default values entered in the filters.
4. To view the CTR Detail – TIN Report, enter the details as described in the following table:

Table 24. CTR Detail – TIN Report Filter Descriptions

Filter Name	Description
CTR Create Date Between	Enter a date range for the search using the Select Date icon. This field defaults to two years less than the current date.
CTR Create Date To	Enter a date range for the search using the Select Date icon. This field defaults to the current date.
SSN/TIN	Enter the SSN or TIN in this field.
SSN/TIN Format	Select a SSN/TIN format from the drop-down options namely, SSN, Tax ID, ITIN, EIN, and Foreign.
Include Exempted CTRs	Select Y or N if you want to include exempted CTRs in your report. This field defaults to N. Note: If you select 'Include Exempted CTRs' option as N, Audit CTRs from the search results is excluded.

5. Click **Apply**.
 A tabular report showing CTR Detail – TIN Report is displayed. You can also click **Reset** to reset all the field values to default values.
6. Click any TIN # value in the tabular report to view a detailed report on that particular TIN.

CTR ID	CTR Date	Trxn Date	TIN #	Account Id	Tot Cash In Amt	Tot Cash Out Amt
218	04/12/2012	12/10/2009	SSN 554455688	ACHRTRHREEN-001	51500	51500
219	04/12/2012	12/10/2009	SSN 554455688	ACHRTRHREEN-001	51500	51500
318	04/16/2012	12/10/2009	SSN 554455688	ACHRTRHREEN-001	51500	51500

[Return](#) - [Refresh](#) - [Print](#) - [Export](#) - [Create Bookmark Link](#)

Figure 69. Detailed TIN # Report

7. From detailed report, you can choose to **Refresh**, **Print**, **Export**, and **Create Bookmark Link**
8. Click **Return** on the detailed report to navigate back to the CTR Detail - TIN Report.

Exemption Dashboard

The following are the reports generated for Exemption dashboard:

- Recertify Productivity Report
- Revoked Exemptions
- New Exemption Reports
- High Volume CTR Entities
- Audit CTR Report
- Exempt Entity Report

Recertify Productivity Report

Recertify Productivity report displays exemptions that are currently in recertify status, count of exemptions nearing their expiration date for which the review has not started and count of exemptions that are expired.



Figure 70. Recertify Productivity Report

This bar report also shows a tabular display of counts by owner. Click on any exemption column bar to display a detailed list of exemptions in that count.

Entity Type	Entity	SSN/TIN	Entity Classification	Initiate Recert Date	Exempt Exp Date	Owner
AC	MOHET	Tax Id	Phase I - Entity Exercising Govtl Authority w/in US	05/21/2013	07/05/2013	ctrsupervisor
CU	APARNA POPAT	SSN 221133444	Phase I - Federal, State or Local Gov Agency/Dept	05/21/2013	07/05/2013	ctrsupervisor
CU	FU HIFUNG	Tax Id 112233449	Phase II Eligible Non-Listed Business	05/21/2013	07/05/2013	ctrsupervisor
CU	JWALA GUTTA	Tax Id 221133442	Phase I - Federal, State or Local Gov Agency/Dept	05/21/2013	07/05/2013	ctrsupervisor
CU	LIN DAN	Tax Id 112233446	Phase I - Entity Exercising Govtl Authority w/in US	05/21/2013	07/05/2013	ctrsupervisor
CU	SAJNA NEHWAL	Tax Id 221133441	Phase I - Subsidiary of NYSE/ASE Listed; NASDAQ Mkt Sec Listed	05/21/2013	07/05/2013	ctrsupervisor

Figure 71. Recertify Productivity Report - Details

From detailed report, you can choose to **Refresh**, **Print**, **Export**, and **Create Bookmark Link**. Click **Return** on the detailed report to go back to the Recertify Productivity Report column bar.

Revoked Exemptions The Revoked Exemptions report displays exemptions which are in the revoked status within a specified date range.



Figure 72. Revoked Exemptions

To generate Revoked Exemptions report, follow these steps:

1. Mouse over Reports menu in the CTR application and click **Reports**.
The Reports home page is displayed. The home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under CTR submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select Revoked Exemptions tab.
The Revoked Exemptions report page is displayed with default values entered in the filters.
4. To view the Revoked Exemptions report, enter the details as described in the following table:

Table 25. Revoked Exemptions Filter Descriptions

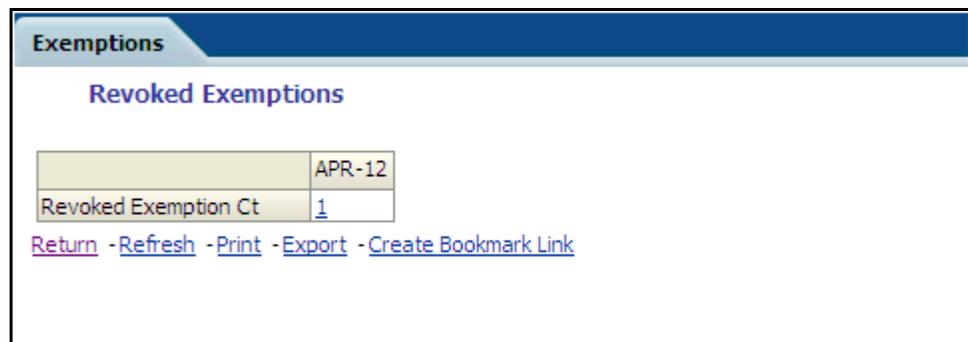
Filter Name	Description
Revoked Date From	Enter a date range for the search using the Select Date icon. This field defaults to 365 days less than the current date.
Revoked Date To	Enter a date range for the search using the Select Date icon. This field defaults to current date.
Display Period	Select a period from the drop-down options namely, Monthly, Quarterly, and Yearly. This field defaults to Monthly.

5. Click **Apply**.

A bar report showing Revoked Exemptions is displayed. You can also click **Reset** to reset all the field values to default values.

6. Click on the column bar to view the details of revoked exemptions count for the selected period in a tabular report.

The following window is displayed.



7. From detailed report, you can choose to **Refresh**, **Print**, **Export**, and **Create Bookmark Link**. Click **Return** on the detailed report to navigate back to

(Or)

You can click on the count of Revoked Exemptions in the details table to navigate to Exemption List and Search page with the details of all exemptions listed in the Exemption List page. Click **Reports** menu to navigate back to Revoked Exemptions column bar report.

New Exemption Reports

New Exemption Reports shows the number of new CTR exemptions added during a specified date range.

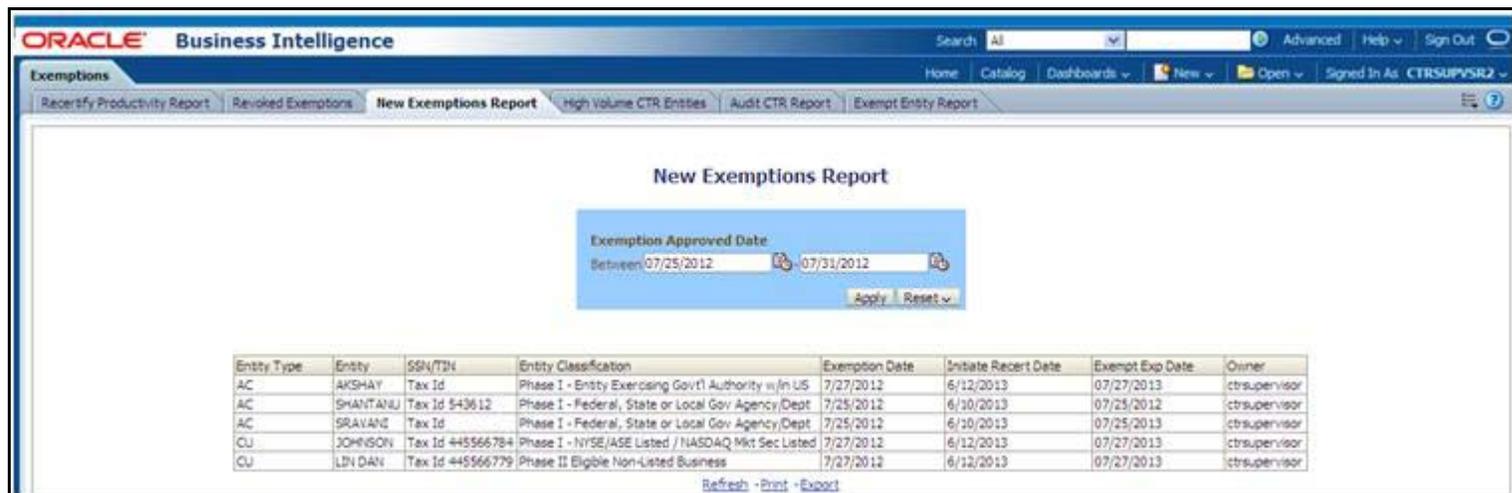


Figure 73. New Exemption Reports

To generate New Exemption Reports, follow these steps:

1. Mouse over Reports menu in the CTR application and click **Reports**.The Reports home page is displayed. The home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under CTR submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select New Exemption Reports tab.
The New Exemption Reports page is displayed with default values entered in the filters.
4. To view the New Exemption Reports, enter the details as described in the following table:

Table 26. New Exemption Reports Filter Descriptions

Filter Name	Description
Exemption Approved Date Between	Enter a date range for the search using the Select Date icon. This field defaults to one day less than the current date.
Exemption Approved Date To	Enter a date range for the search using the Select Date icon. This field defaults to current date.

5. Click **Apply**.
A tabular report showing New Exemption Reports is displayed. You can also click **Reset** to reset all the field values to default values.
6. You can choose to Refresh, Print and Export the displayed report.

High Volume CTR Entities

The High Volume CTR Entity report displays a tabular report of customers who had high number of CTRs filed on them in a specified range namely, monthly, quarterly,

yearly, etc. This report includes CTRs in all statuses except CTRs in Closed – Rejected, Closed – Exempted, Filed - Rejection Corrected and Audit CTRs.

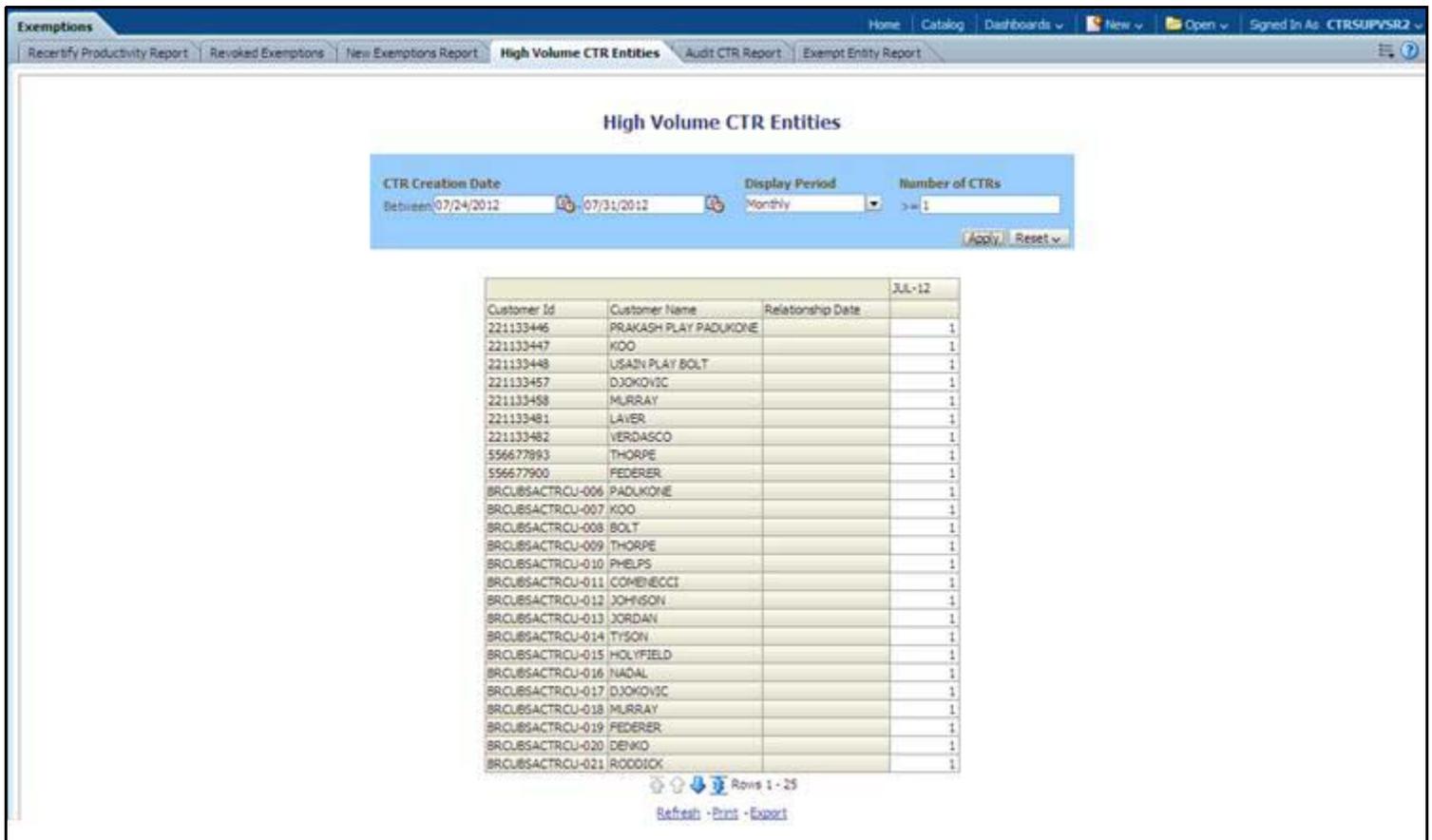


Figure 74. High Volume CTR Entities

To generate High Volume CTR Entity report, follow these steps:

1. Mouse over Reports menu in the CTR application and click **Reports**. The Reports home page is displayed. The home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Exemption** dashboard under CTR submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select High Volume CTR Entity report tab.
The High Volume CTR Entity report page is displayed with default values entered in the filters.
4. To view the High Volume CTR Entity report, enter the details as described in the following table:

Table 27. High Volume CTR Entities Filter Descriptions

Filter	Description
CTR Creation Date Between	Enter a date range for the search using the Select Date icon. This field defaults to blank.
CTR Creation Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Display Period	Select a period from the Display Period drop-down options. This field defaults to Monthly.
Number of CTRs >=	Enter the number of high volume CTRs filed on a customer that you want to search for. This field defaults to 25.

5. Click **Apply**.

A tabular report showing High Volume CTR Entity report is displayed. You can also click **Reset** to reset all the field values to default values.

6. You can choose to Refresh, Print and Export the displayed report.

Audit CTR Report

The Audit CTR Report shows the number of CTRs that an exempt customer or an account is saved from creating and processing.

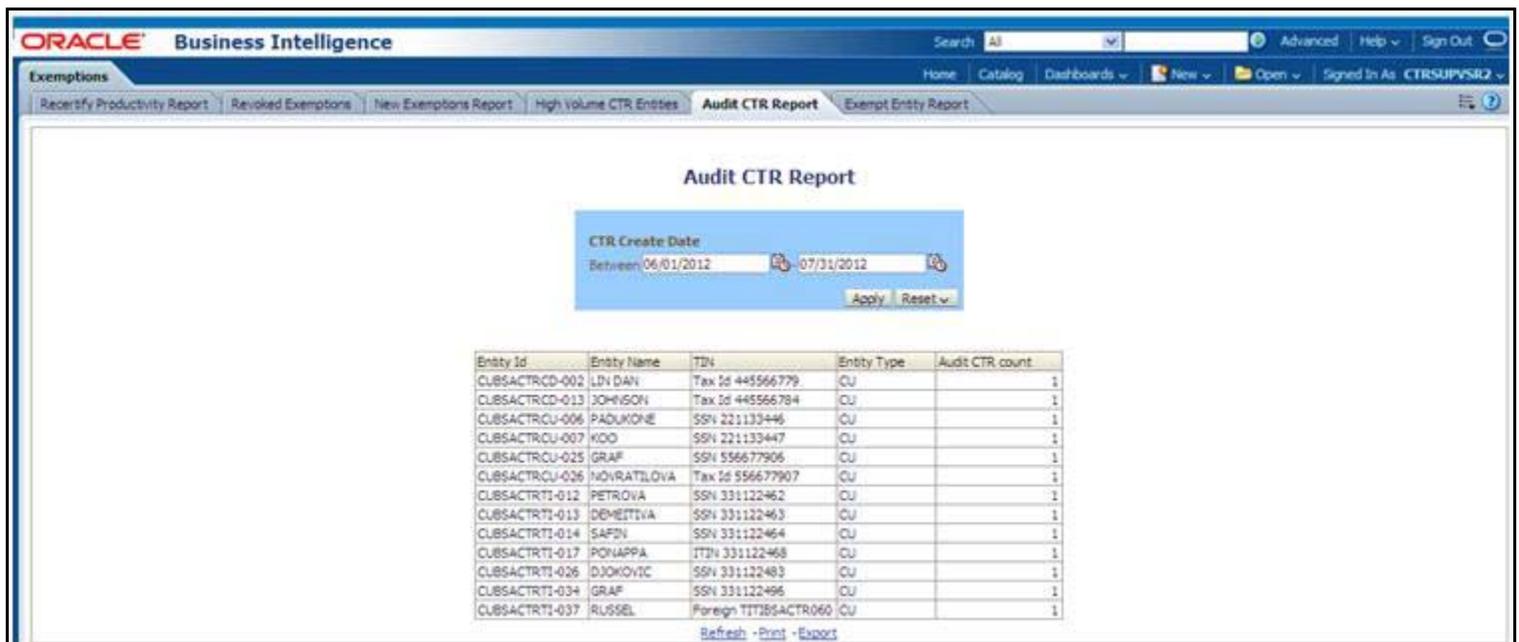


Figure 75. Audit CTR Report

To generate Audit CTR Report, follow these steps:

1. Mouse over Reports menu in the CTR application and click **Reports**.

The Reports home page is displayed. The home page varies depending upon the users roles.

- From Dashboards drop-down menu select **Exemption** dashboard under CTR submenu option.
Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
- Select Audit CTR Report tab.
The Audit CTR Report page is displayed with default values entered in the filters.
- To view the Audit CTR Report, enter the details as described in the following table:

Table 28. Audit CTR Report Filter Descriptions

Filter	Description
CTR Created Between	Enter a date range for the search using the Select Date icon. This field defaults to 60 days less than the current date.
CTR Created To	Enter a date range for the search using the Select Date icon. This field defaults to current date.

- Click **Apply**.
A tabular report showing Audit CTR Report is displayed. You can also click **Reset** to reset all the field values to default values.
- You can choose to Refresh, Print and Export the displayed report.

Exempt Entity Report

The Exempt Entity Report shows the CTR exemptions filtered by search criteria namely, Exempt Year From, Exempt Year To, Business Type, Initiate Recertify Date, State, and Exempt Classification.

Entity Type	Entity	SSN/TIN	Business Type	State	Entity Classification	Status	Exemption Date	Initiate Recert Date	Exempt Exp Date	Last Renewal Dt	Owner	Audit CTRs
CU	GRAF	SSN 331122496	4237	CA	Phase I - Federal, State or Local Gov Agency/Dept	In Recertify Review	07/30/2012	06/15/2013	07/30/2013	07/30/2012	ctr:supervisor	1
CU	PETROVA	SSN 331122462	712	CA	Phase I - Federal, State or Local Gov Agency/Dept	Pending Revoke Review	07/30/2012	06/15/2013	07/30/2013		CTRSLPVSR2	1
CU	PONAPPA	ITIN 331122468	812	MS	Phase I - Federal, State or Local Gov Agency/Dept	In Revoke Review	07/30/2012	06/15/2013	07/30/2013		CTRSLPVSR2	1
CU	RUSSEL	Foreign TIT285ACTR060	4241	CA	Phase I - Federal, State or Local Gov Agency/Dept	Pending Revoke Review	07/30/2012	06/15/2013	07/30/2013		CTRSLPVSR2	1

Figure 76. Exempt Entity Report

To generate Exempt Entity Report, follow these steps:

- Mouse over Reports menu in the CTR application and click **Reports**.

The Reports home page is displayed. The home page varies depending upon the users roles.

2. From Dashboards drop-down menu select **Exemption** dashboard under CTR submenu option.
 Different report types related to Exemption dashboards are displayed in tabs depending upon the user role.
3. Select Exempt Entity Report tab.
 The Exempt Entity Report page is displayed with default values entered in the filters.
4. To view the Exempt Entity Report, enter the details as described in the following table:

Table 29. Exempt Entity Report Filter Descriptions

Filter Name	Description
Exemption Year From	This field defaults to current year.
Exemption Year To	This field defaults to current year.
Business Type	Select a business type from the drop-down option. This field is a multi-select list with NAICS codes.
Initiate Recertify Date From	Enter a date range for the search using the Select Date icon. This field defaults to blank.
Initiate Recertify Date To	Enter a date range for the search using the Select Date icon. This field defaults to blank.
State	Select a state from the drop-down option. This field is a multi-select drop-down with states.
Exemption Classification	Select an exemption classification from the drop-down list. The following are the multi-selectable exemption classification options displayed: Phase I - Bank Phase I - Federal, State or Local Gov Agency/Dept Phase I - Entity Exercising Gov't Authority w/in US Phase I - Listed Entity Phase I - Subsidiary of Listed Entity Phase II - Payroll Customer Phase II - Eligible Non-Listed Business

5. Click **Apply**.
 A tabular report showing Exempt Entity Report is displayed. You can also click **Reset** to reset all the field values to default values.
6. You can choose to Refresh, Print and Export the displayed report.

Transaction Logs Dashboard

The following are the reports generated for Transaction Logs dashboard:

- MI Transaction Log
- Currency Transaction Journal

MI Transaction Log

The MI Transaction Log report shows the cash purchases of monetary instruments where the total purchase amounts aggregated to between \$3000 and \$10,000, inclusive, in a calendar day.

Trans Date	Trans Amt - Base	Debit/Credit	Instrument Desc	Instrument Num	Account ID	Cond ID	Cond ID Type	Conductor	Conductor TDN	Cond Type	Conductor DOB	Location ID	Location Type	Exmpt Trans	Adjust Trans	ID Issuing Auth	Trans Ref Intri ID
12/10/2009	300.00	C	Monetary Instrument	12454	ACBSAMLCU-002	CDBSAMLCU-001	C	ORACLE	SSN CDS-5	CA	03/25/1987	TLML-2		N	N	CA	TRBSAMLCU-002
12/10/2009		C		12455	ACBSAMLCU-001	CDBSAMLCU-001	C	ORACLE	SSN CDS-5	CA	05/30/1984	TLML-2		N	N	CA	TRBSAMLCU-003
12/10/2009	400.00	C	Monetary Instrument	12453	ACBSAMLCU-001	CDBSAMLCU-001	C	ORACLE	SSN CDS-5	CA	12/10/1987	TLML-2		N	N	CA	TRBSAMLCU-001
12/10/2009	1000.00	C	Monetary Instrument	12345	ACBSAMLCD-001	CDBSAMLCD-001	C	ORACLE	SSN CDS-1	CA	05/26/1988	TLML-1		N	N	CA	TRBSAMLCD-001
12/10/2009		C		12466	ACBSAMLTI-001	CDBSAMLTI-001	C	ORACLE	SSN CDS-10	CA	12/05/1986	TLML-3		N	N	CA	TRBSAMLTI-001
12/10/2009	1200.00	C	Monetary Instrument	12469	ACBSAMLTI-003	CDBSAMLTI-003	C	ORACLE	SSN CDS-12	CA	12/05/1986	TLML-3		N	N	CA	TRBSAMLTI-004-1
12/10/2009	1500.00	C	Monetary Instrument	66421	ACBSAMLTI-001	CDBSAMLTI-001	C	ORACLE	SSN CDS-10	CA	11/25/1987	TLML-3		N	N	CA	TRBSAMLTI-001-1
12/10/2009	2000.55	C	Monetary Instrument	12471	ACBSAMLTI-004	CDBSAMLTI-004	C	ORACLE	SSN CDS-15	CA	05/26/1988	TLML-3		N	N	CA	TRBSAMLTI-006-1
12/10/2009	4000.55	C	Monetary Instrument	12456	ACBSAMLCU-003	CDBSAMLCU-004	C	ORACLE	SSN CDS-6	CA	11/25/1996	TLML-2		Y	N	CA	TRBSAMLCU-004
12/10/2009	4999.99	C	Monetary Instrument	12467	ACBSAMLTI-002	CDBSAMLTI-002	C	ORACLE	SSN TIS-2	CA	05/26/1988	TLML-3		N	N	CA	TRBSAMLTI-002-1
12/10/2009	5000.00	C	Monetary Instrument	12467	ACBSAMLTI-002	CDBSAMLTI-002	C	ORACLE	SSN TIS-2	CA	11/26/1988	TLML-3		N	N	CA	TRBSAMLTI-002
12/10/2009		C			ACBSACTRCD-039	CDBSACTRCD-039	O	MARAT	ITIN 112233411	CA	11/25/1987	TLCTRCD-40		Y	N	CA	CTBSACTRCD-096
12/10/2009	5999.44	C	Monetary Instrument	12457	ACBSAMLCU-004	CDBSAMLCU-004	C	ORACLE	SSN CDS-6	CA	09/24/1984	TLML-2		Y	N	CA	TRBSAMLCU-005
12/10/2009	9999.99	C	Monetary Instrument	12346	ACBSAMLCD-002	CDBSAMLCD-002	C	ORACLE	SSN CDS-2	CA	12/10/1987	TLML-1		N	N	CA	TRBSAMLCD-002

Figure 77. MI Transaction Log

To generate MI Transaction Log report, follow these steps:

1. Mouse over Reports menu in the CTR application and click **Reports**. The Reports home page is displayed. The home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Transaction Logs** dashboard under CTR submenu option. Different report types related to Transaction Logs dashboards are displayed in tabs depending upon the user role.

3. Select MI Transaction Log tab.
 The MI Transaction Log page is displayed with default values entered in the filters.
4. To view the MI Transaction Log report, enter the details as described in the following table:

Table 30. MI Transaction Log Filter Descriptions

Filter Name	Description
Transaction Date Between	Enter the transaction date using the Select Date icon. This field defaults to one calendar day less than the current date.
Transaction Date To	Enter the transaction date using the Select Date icon. This field defaults to current date.
TIN Type	Select a TIN Type from the drop-down options.
TIN	Enter the TIN # in this field.
Transaction Address	Enter the transaction address in this field. This field supports wildcard searching.
Transaction City	Enter the transaction city in this field. This field supports wildcard searching.
Transaction State	Select a state from the Transaction State drop-down option.
Transaction Country	Select multiple countries from the Transaction Country drop-down option.

5. Click **Apply**.
 A tabular report showing MI Transaction Log report is displayed. You can also click **Reset** to reset all the field values to default values.
6. You can choose to Refresh, Print and Export the displayed report.

Currency Transaction Journal

Trans Date	Trans Amt - Base	Debit/Credit	Account Id	Cond Id	Cond Type	Cond ID Type	Cond Nm	Cond Entry Nm	Conductor TIN	Trans Bus Reason	Location ID	Location Type	Trans Amt - In	Trans Amt - In Entry	Trans Amt - Out	Trans Amt - Out Entry	Exempt Trans	Adjust Trans	Trans Ref ID
07/25/2012	5000.00	Debit	ACBSACTRCU-048	CDBSACTRCU-048		A	MONICA	SELES	B 221133467	TI	TLCTRCU-28						Yes	No	CTBSACTRCU-065

Figure 78. Currency Transaction Journal

To generate Currency Transaction Journal report, follow these steps:

1. Mouse over Reports menu in the CTR application and click **Reports**.The Reports home page is displayed. The home page varies depending upon the users roles.
2. From Dashboards drop-down menu select **Transaction Logs** dashboard under CTR submenu option.
Different report types related to Transaction Logs dashboards are displayed in tabs depending upon the user role.
3. Select Currency Transaction Journal tab.
The Currency Transaction Journal page is displayed with default values entered in the filters.
4. To view the Currency Transaction Journal report, enter the details as described in the following table:

Table 31. Currency Transaction Journal Filter Descriptions

Filter Name	Description
Transaction Date Between	Enter the transaction date using the Select Date icon. This field defaults to one calendar day less than the current date.
Transaction Date To	Enter the transaction date using the Select Date icon. This field defaults to current date.

5. Click **Apply**.
A tabular report showing Currency Transaction Journal report is displayed. You can also click **Reset** to reset all the field values to default values.
6. You can choose to Refresh, Print and Export the displayed report.

